

RECORDS MANAGEMENT

American Rescue Plan Act (ARPA) State and Local Fiscal Recovery Fund (SLFRF)



3/31/2022

Table of Contents

Report Mandate	3
Context for ARPA Initiatives	3
Executive Summary	3
Objective(s)	4
Overview of Quarterly Progress (Jan – March 2022)	4
Digitization Strategy Activities	4
Scanning Activities	5
Digital Storage Platform Selection Activities	5
Change Management Activities	5
Comments on Alignment to Quarterly Report Submitted in Dec 2021	6
Anticipated Next Quarter Activities (Jan – March 2022)	6
Risks and Risk Management	7
Change Management Considerations	8
Project Budget	9
The following appropriation is broken down by the project categories defined in the work plans submitted on 9/30/2021. Please refer to this documentation for further clarification.	9
Total Appropriation	9
Cumulative Actuals, Obligations, and Appropriations, through March 14, 2022	9

Report Mandate

Chapter 1 Enactment Clause 1, paragraph B.2.P.9., of the amended 2021 Acts of Assembly states, “The department shall communicate a detailed plan and implementation schedule to the Governor, the Chairs of the House Appropriations and Senate Finance and Appropriations Committees, and the Director of the Department of Planning and Budget by September 30, 2021. Additionally, the department shall report quarterly to the Governor, the Chairs of the House Appropriations and Senate Finance and Appropriations Committees, and the Director of the Department of Planning and Budget on progress made, with the first progress report to be delivered not later than December 31, 2021.”

Context for ARPA Initiatives

The Virginia Department of Health (VDH) is excited about the opportunity presented by the appropriation of ARPA State Fiscal Funds in the August 2021 Special Session II of the General Assembly to improve public health in Virginia. VDH views this investment as a once in a generation opportunity and VDH will work tirelessly to maximize use of funds to create and sustain these initiatives. Simultaneously, VDH is fully engaged in responding to COVID-19 and protecting the health of Virginians. Currently, VDH is creating project plans to minimize the impacts of the public health emergency on local health departments in the first year and will be flexible in the implementation of these initiatives as dictated by the emergency response. Modifications to VDH’s plans will be reflected in future quarterly reports.

Executive Summary

The Virginia Department of Health (VDH) seeks to digitize and automate its current paper-based records management processes to make information and records across all offices more accessible and interoperable. The existing paper-based processes make it challenging to react and respond to requests, which greatly increased throughout the COVID-19 pandemic. These inefficiencies result in time consuming manual searches for records and could cause delays in processing. The physical space needed to house the records is significant and growing, which requires resources and consumes valuable space. Digitizing and automating outdated paper-based processes will enable employees to work more effectively and efficiently, and better serve Virginians. Since many records are currently only maintained in paper form, there is no contingency plan should the records be lost or damaged by fire, flood, or other natural disaster.

Over the last three months, VDH has completed current state assessments of three priority offices (Office of Drinking Water (ODW), Office of Vital Records (OVR), and Office of Licensure and Certification (OLC)), continued planning for the scanning activities and assessed the digital storage solutions available through the VITA catalogue. In the next quarter, the focus will be on finalizing the storage solution design and plan for scanning activities, and digitize records for the three priority offices. These accomplishments in the first few months have set the Records Management Initiative on the path to successfully digitize VDH’s paper records within the ARPA SLFRF funding window.

Objective(s)

VDH aims to digitize existing paper records, destroy unnecessary paper records, and streamline paper-based records management processes to:

- Allow for easier and more efficient access to data across the organization and to customers
- Allow for integration and interoperability of data across central offices and local health districts (LHD)
- Eliminate the time and effort associated with retrieving paper documents in multiple locations
- Free physical storage space in VDH facilities by digitizing or destroying paper records and removing the file storage containers

Overview of Quarterly Progress (Jan – March 2022)

Since reporting on updated activities in December 2021, VDH has continued to advance the Records Management Initiative by planning an efficient and effective method to digitize files in the coming quarter. The following key activities have been accomplished since January 2022:

Digitization Strategy Activities

- Developed project implementation plan and digitization strategy, planned activities and dependencies for the three priority offices: Office of Drinking Water (ODW), Office of Vital Records (OVR), and Office of Licensure and Certification (OLC)
- Office of Drinking Water (ODW)
 - Conducted current state assessment to understand the current paper-based records and processes in all ODW office locations. The current state assessment was developed through stakeholder interviews and includes location/office-specific findings to help identify existing pain points and considerations at the office-wide level as well as location-specific needs.
 - Developed file hierarchy structure for future state storage solution, assigned metadata fields for each document type, and shared a demo of SharePoint solution to start planning for the future storage solution.
 - Designed user groups and associated security access permissions for future state storage solution platform.
 - Continued coordination with Virginia Correctional Enterprises (VCE), to plan and start the scanning activities for ODW documents.
- Office of Licensure and Certification (OLC)

- Conducted current state assessment to understand the current paper-based records and processes in OLC. The current state assessment was developed through stakeholder interviews, and includes Division-specific findings to help identify existing pain points and considerations and inform the office's future state design and digitization.
- Developed scanning hierarchy and file organization for future state storage solution.
- Office of Vital Records (OVR)
 - Conducted current state assessment to understand the current paper-based records and processes in OVR. The current state assessment was developed through stakeholder interviews and includes Team-specific findings to help identify existing pain points and considerations at the Office-wide level as well as team level. The current state assessment will inform the office's future state design and digitization approach.
 - Began developing scanning hierarchy and file organization for future state storage solution.

Scanning Activities

- Assessed Virginia Correctional Enterprises (VCE) to perform the scanning activities
 - Reviewed the processes and requirements for working with VCE.
 - Identified the Office of Drinking Water as the first office to have documents scanned by VCE.
- Developed initial requirements for use in evaluating private scanning vendors

Digital Storage Platform Selection Activities

- Collaborated with VITA to confirm the eligibility and capability of various storage solutions to accommodate storage space, file type and security requirements.
- Assessed price structure and storage capacity/limitations for various storage solutions
- Identified Box or SharePoint and developed use cases to support decision making
- Selected SharePoint as the document management solution for ODW

Change Management Activities

- Identified records management stakeholders and developed a stakeholder communications plan to ensure thorough collaboration and communication
- Began developing a broader change management plan for pilot offices to capture lesson learned during full implementation

Comments on Alignment to Quarterly Report Submitted in Dec 2021

In alignment with the anticipated activities for this past quarter as outlined in the December 2021 Quarterly Report, VDH has conducted current state assessments of pilot offices selected a scanning vendor for ODW and developed RFP requirements to support the procurement of additional vendors and digital storage solution development of a change management plan.

The December 2021 Quarterly Report also anticipated that January – March 2022 activities would include the following activities, which were not realized:

- Begin scanning/destruction/digital workflow implementation
 - Additional time was taken to thoroughly assess the current state of priority offices and ensure that proper document preparation procedures and logistics were in place prior to beginning scanning. The actual scanning, destruction, and digital implementation is expected to begin in the next quarter
- Identify next priority offices for digitization efforts and begin the engagement effort with them
 - Prior to identifying the next offices for digitization, VDH aims to begin scanning efforts on the existing priority offices to ensure that lessons learned can be leveraged when selecting and digitizing future offices. As such, VDH plans to identify the next offices in the next quarter, once digitization has begun on the current priority offices

Anticipated Next Quarter Activities (Jan – March 2022)

The following outlines the activities and tasks planned from January through March 2022:

- Publish RFP and review responses to select additional private vendors for digitization
- Office of Drinking Water (ODW)
 - Finalize scanning and digitization logistics
 - Develop and implement SharePoint digital storage solution
 - Catalogue and prepare documents for scanning
 - Begin scanning documents and uploading to storage solution
 - Develop CONOPS for future scanning and digital record operations
- Office of Licensure and Certification (OLC)
 - Finalize scanning vendor
 - Coordinate with vendor to finalize scanning and digitization logistics

- Select and implement digital storage solution
- Catalogue and prepare documents for scanning
- Begin scanning documents and uploading to storage solution
- Develop CONOPS for future scanning and digital record operations
- Office of Vital Records (OVR)
 - Finalize scanning vendor
 - Coordinate with vendor and finalize scanning and digitization logistics
 - Develop and implement SharePoint digital storage solution
 - Catalogue and prepare documents for scanning
 - Begin scanning documents and uploading to storage solution
 - Develop CONOPS for future scanning and digital record operations
- Identify next offices for scanning and begin program communications

Risks and Risk Management

- **Risk 1:** Volume and variety of records adds complexity and time to the scanning initiative
 - **Mitigation Strategy:** Develop detailed scanning plan to include retention policy, metadata, and other attributes for each document type. Identify contractor to prepare documents before scanning.
- **Risk 2:** Some pilot offices may express concerns with quality and pace of scanning performed by VCE
 - **Mitigation Strategy:** Develop detailed guidance for VCE and communicate scanning plan, SLAs, and project metrics to with pilot offices to enhance their confidence.
- **Risk 3:** Reduced scope may cause concern and confusion for how to mature records management processes once the pilot concludes
 - **Mitigation Strategy:** Develop a communications plan to share the initial scope of the project and plan to address the more robust workflow solution as needed in the future.
- **Risk 4:** Availability of a solution that can scale to the volume needed by each office over three years
 - **Mitigation Strategy:** Evaluate vendors on the capacity to meet VDH needs and timeframes and include specific considerations and project requirements in the vendor RFP.

- **Risk 5:** Ability to develop a system infrastructure to effectively store documents prior to the procurement of a vendor and the initiation of digitization
 - **Mitigation Strategy:** VDH has selected a suite of possible storage platforms and will continue collaborating with VDH and VITA resources to ensure that office storage solutions are developed prior to the full digitization of documents. VDH will hire solution architects to design and configure selected digital storage platforms.
- **Risk 6:** Ability to digitize records without hindering VDH’s ability to conduct business while still allowing for access to vital records
 - **Mitigation Strategy:** By coordinating actively with each office about their specific business needs and time constraints as part of the current state assessments, office specific requirements will be identified and incorporated into the office’s digitization plan and process.
- **Risk 7:** Ability for VDH staff to adjust to a new records management system and process
 - **Mitigation Strategy:** The development of a change management plan will help to ensure that upcoming changes and associated benefits will be effectively communicated to staff. Additionally, VDH plans to develop training, education, and additional communication materials for each office as part of the digitization process. Solution architects will configure digital storage solution sites and ensure VDH staff are trained and provide support as requested.

Change Management Considerations

VDH understands that successful transformation initiatives rely on more than just the right technology, processes, and resources. They also depend on effective change management, engagement, and training strategies to ensure stakeholders are equipped with the information and guidance that they need to support the change. A robust change management effort will be essential to the success of the Records Management initiative, which represents a significant organizational transformation that will impact and rely on a wide variety of stakeholders.

A key objective of VDH’s Organizational Change Management (OCM) Plan will be to ensure that these stakeholders are prepared for the Records Management change in order to accelerate the capability of the new record keeping process, minimize disruptions to daily operations, and reduce the risk of project delays. VDH has identified the digitization activities that may impact VDH employees’ day-to-day activities in each priority office. As each office is digitized, the agency plans to develop and implement change management and communications strategies that include communication of goals, preparation and alignment of the changes, and confidence-building exercises promoting the benefits of the changes. The change activities will accommodate the needs of offices to retain access to files while they are in the process of being digitized and stored offsite.

As indicated in the overview of quarterly progress above, the agency has begun to develop the necessary resources – including an initial map of initiative stakeholders – that will serve as the foundation for the OCM plan. VDH is also currently developing a “Case for Change” that will equip VDH Leaders with a clear

and compelling narrative to effectively engage stakeholders on the importance of the change. Additional activities may include a change readiness assessment, communication/engagement strategy, and training plan to guide VDH in its efforts to prepare stakeholders for adoption of the new process.

Project Budget

The following appropriation is broken down by the project categories defined in the work plans submitted on 9/30/2021. Please refer to this documentation for further clarification.

Total Appropriation: \$30,000,000

FY22 Appropriation: \$10,000,000

Cumulative Actuals, Obligations, and Appropriations, through March 14, 2022

Project Group	Current Period Actuals	FY22 YTD Actuals	FY22 YTD Obligations	FY22 Appropriations
Office of Drinking Water	\$116,000	\$116,000	\$211,000	\$3,150,000
Office of Licensure and Certification	\$116,000	\$116,000	\$211,000	\$3,150,000
Office of Vital Records	\$116,000	\$116,000	\$211,000	\$3,150,000
Overall Records Management				\$550,000
Total	\$348,000	\$348,000	\$633,000	\$10,000,000

*Actuals represent transactions that have posted in Cardinal Web F&A as of 3/14/2022