

RECORDS MANAGEMENT

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



6/30/2022

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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. 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 Digitizing and automating outdated paper-based processes will enable employees to work more effectively and efficiently, and better serve Virginians.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 Virginia IT Agency (VITA) catalogue. VDH has finalized the storage solution design and plan for scanning activities and kicked off scanning activities with ODW. The plan for the next quarter is to complete scanning activities with the initial ODW field offices, begin scanning activities with OVR and OLC, and conduct change management with the rest of VDH. These accomplishments 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 (April – June 2022)

Since reporting on updated activities in January 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 April 2022:

Key Activities and Accomplishments

- **Office of Drinking Water**
 - Conducted pilot scans with Virginia Correctional Enterprises and assessed quality of scanning outputs
 - Developed operational plan for the end-to-end process for digitization that includes roles and responsibilities, full quality control process with points of contact, and contingency steps
 - Developed Manifest Form and Response Sheet for the Office of Drinking Water
 - Developed and presented communication materials for office-wide announcement of project launch
- **Office of Licensure and Certification**
 - Discussed current state snapshot, aligned on next steps, and gathered information to inform future state
- **Office of Vital Records**
 - Discussed current state snapshot, aligned on next steps, and gathered information to inform future state
- **Overall Records Management**
 - Prepared to initiate scanning with the Office of Drinking Water's Richmond Office by conducting Virginia Correctional Enterprises kick-off meeting

- Gained Virginia Correctional Enterprises exemption and approval for request for proposal release for scanning support to offices that cannot utilize Virginia Correctional Enterprises scanning services
- Hired and onboarded Document Preparation Contract Manager to supervise sorting and indexing of documents to enter into bankers boxes and manifest document
- Hired SharePoint Architect to design SharePoint document storage sites for Virginia Department of Health offices to access documents after they have been digitized
- Developed Purging Communications Plan and materials for campaign to socialize purging guidance widely across the Virginia Department of Health
- Prepared draft budget and time/effort estimate for digitization of all Virginia Department of Health offices
- Developed and validated Key Performance Indicators to track progress of the overall Records Management Initiative

Anticipated Next Quarter Activities (July – September 2022)

The following outlines the activities and tasks planned from July through September 2022:

- Select (via RFP process) and onboard vendor for scanning support to offices that cannot utilize Virginia Correctional Enterprises scanning services
- Present records management initiative at the Agency Forum to highlight awareness and communicate status of initiative to all VDH offices
- Select and sequence the next few Virginia Department of Health offices for scanning and begin communications with offices interested in scanning in 2022
- Develop plan for ongoing scanning operations at the Office of Drinking Water
- Begin scanning with the Office of Licensure and Certification and the Office of Vital Records, which includes creating a manifest, building a storage solution site, developing operational plans, prepping documents, and training scanning vendors on scanning processes
- Launch agency-wide campaign to encourage purging and archiving of documents across VDH to reduce the amount of documents that need to be scanned and digitized

Risks and Risk Management

There are no active risks.

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 is 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 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 – including records purging, scanning, digital storage, and the establishment of new recordkeeping processes – that may impact VDH employees' day-to-day activities. As each office moves through the digitization process, the agency will develop and implement change management, communications, and engagement strategies that include communication of goals, preparation and alignment of the changes, and confidence-building exercises promoting the benefits of the changes. 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. They will also include guidance and training for staff on the use of new digital storage solutions, which will house scanned documents and future digital records.

To date, the agency has developed office-specific change communications materials for the launch of scanning within the Office of Drinking Water, which will be the first VDH office to undergo digitization over the course of 2022. The Records Management team has also crafted an agency-wide change communications plan in preparation for scanning across the remaining VDH Central Offices. Change communications and engagement activities will serve to transition agency leadership and staff from a state of general awareness to commitment to the effort through agency-wide briefings and emails, updates to the ARPA Records Management Intranet site, a shared inbox to respond to questions from stakeholders, and a survey requesting information from offices on their current paper record volume, storage use, etc. while also promoting understanding of the office-level impacts of digitization. VDH is in the process of developing materials for a record purging campaign that will guide offices in how to identify obsolete paper documents for discard, which is the first step in the digitization process.

Project Budget

The following appropriation is broken down by the project categories defined in the work plans submitted on 9/30/2021.

Total Appropriation: \$30,000,000

FY22 Appropriation: \$10,000,000

Budget, Obligations, Actuals, and Remaining Spend as of June 15, 2022

Project Category	FY22 Budget	FY22 YTD Obligations	FY22 YTD Expenditures*	Current Period Expenditures*	FY22 Remaining Spend
Office of Drinking Water	\$ 3,150,000	\$ 571,500	\$ 226,000	\$ 75,500	\$ 2,924,000
Office of Licensure and Certification	\$ 3,150,000	\$ 571,500	\$ 226,000	\$ 75,500	\$ 2,924,000
Office of Vital Records	\$ 3,150,000	\$ 571,500	\$ 226,000	\$ 75,500	\$ 2,924,000
Overall Records Management	\$ 550,000	\$ 161,500	\$ 1,000	\$ 1,000	\$ 549,000
Total	\$ 10,000,000	\$ 1,876,000	\$ 679,000	\$ 227,500	\$ 9,321,000

*Expenditures represent transactions that have posted in Cardinal F&A as of 6/15/2022