Scanning Project 101

Practical Advice and

Assistance for

ECMS Scanning Projects

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Scheduling the first meeting to develop a scanning project

What *not* to do at the first scanning project meeting:

- Tell colleagues "They are going to love it!"
- Use acronyms and/or hi-tech vocabulary
- Start without a plan

Steps that were helpful:

1) **Find out what records colleagues need better access to**
2) **Use the MU-1 (or applicable schedule) to a identify a record series for scanning**
3) **Identify resources you need to be successful**

The Choice to Scan by:

Department

Document

or Project?

We consider a "scanning project" in terms of a **record series** (as outlined in the MU-1 Schedule).

"Just the right size" for us was a finite project such as "claims" or a specific set of board minutes or local laws (by month and year).

Scanning by "Project"

- Colleagues view claims on a regular basis for a variety of reasons.

- 150 claims a month for payment; Storing 6 years of claims used 25 cubic feet of records storage space.

- Our short-term goal was implement electronic records mgmt. with a meaningful project and utilize a temporary and later, part-time records clerk.

RETENTION: 0 after no longer needed

3.[55] **Special budget filed with State or Federal agency:**
RETENTION: **PERMANENT**

4.[56] **Budget status report on allocation, receipts, expenditures, encumbrances, and unencumbered funds**

a. Cumulative report:
RETENTION: 6 years

b. Monthly or quarterly report:
RETENTION: 1 year

5.[57] **Budgetary change request, (if not included in minutes) including approval or denial for change in approved budget and including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds:**
RETENTION: 6 years

♦6.[720] **Copies of county, special district or other budgets, received and maintained for informational purposes:**
RETENTION: 0 after no longer needed

CLAIMS AND WARRANTS

♦1.[275] **Claim for payment (approved or disallowed), including claim, vendor's voucher and bill:**
RETENTION: 6 years

2.[277] **State or Federal-State reimbursement claim file, including but not limited to summary and detail of claim, worksheets and other supporting documents:**
RETENTION: 6 years

3.[278] **Summary record of outstanding or paid warrants or claims:**
RETENTION: 6 years

4.[279] **Notice of claim record and index as required by Section 50-f of the General Municipal Law:**
RETENTION: 6 years after final disposition of claim

5.[280] **Order or warrant to pay monies**

Who to include in a developing a scanning project:

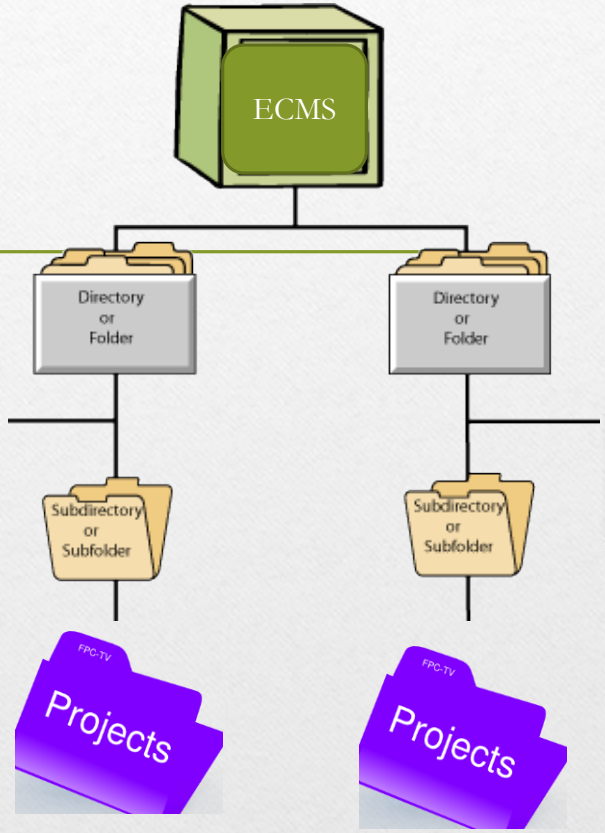
- Department Head
- Key Department Staff person (who will use info)
- RMO
- IT Department
- Records Clerk

If using an outsource vendor:

- Purchasing agent (RFP/RFQ)
- Fiscal ($)

Step 1: Create the Master Folder System in the ECMS

Master folders are generally named by departments or function.



Subfolders will generally be categories/names of records series that have :

- an MU-1, MI-1, CO-2 or ED-1 Item No. and required retention period.

- parameters for search and retrieval (date, name, a number or other standardized identifiers) to assign to a template.

Example of a Master Folder file named by a *function*:

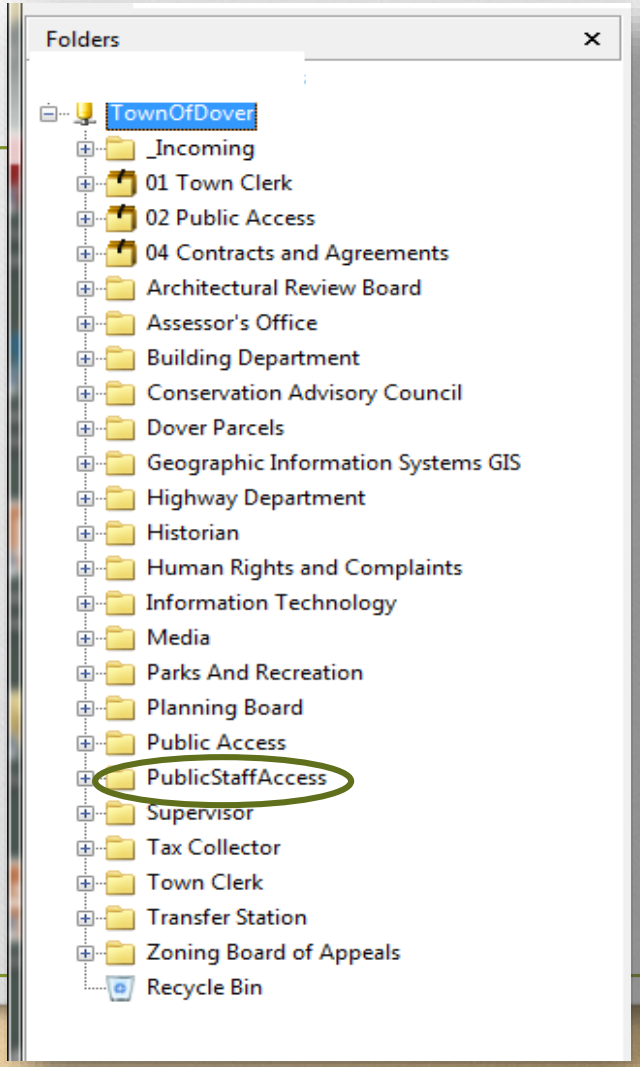
"PublicStaffAccess is a Master Folder to store information needed by multiple town departments. We store "Claims" in this master folder.

- May be viewed with "read-only" ECMS access

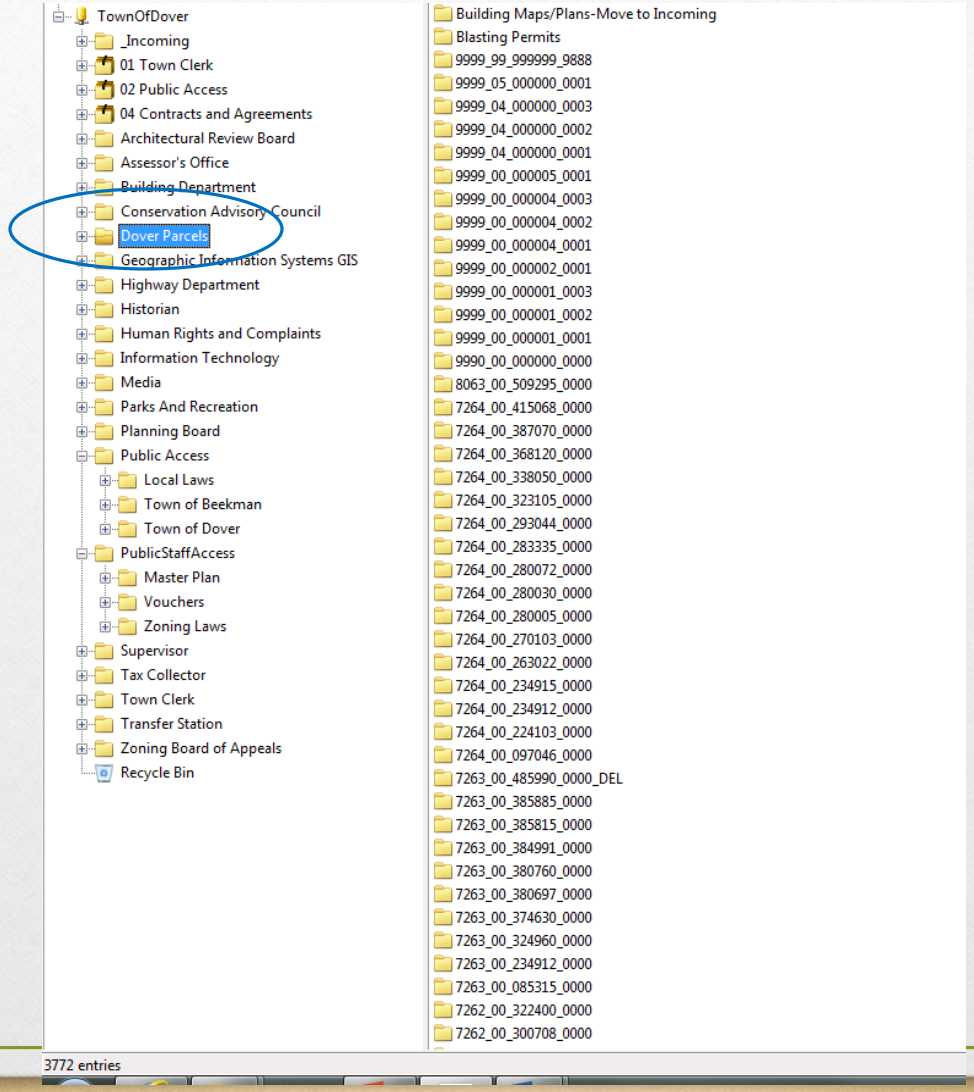
- Other documents that may be scanned to this folder in the future:

  Town policies & procedures

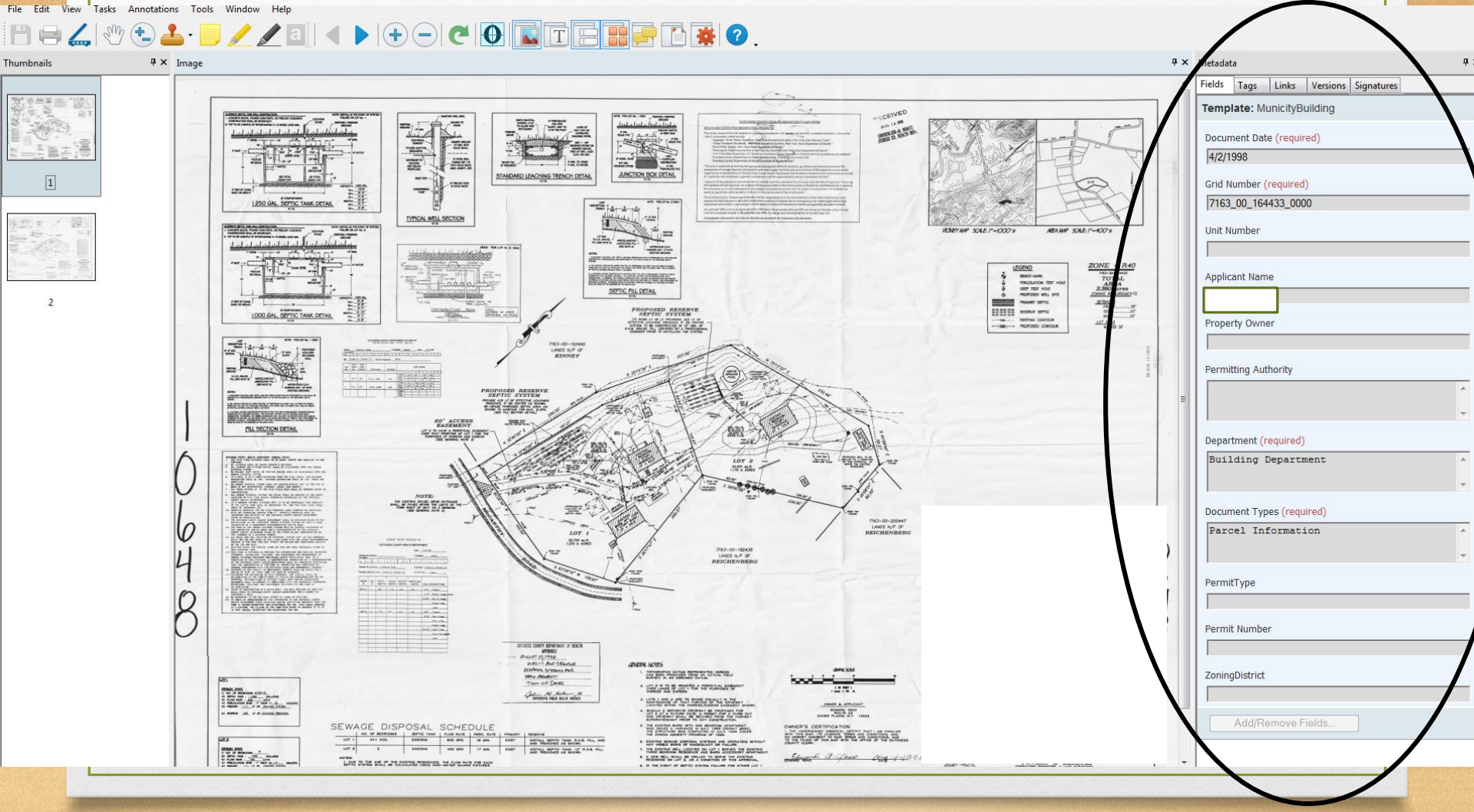
  Blank Employee-related forms



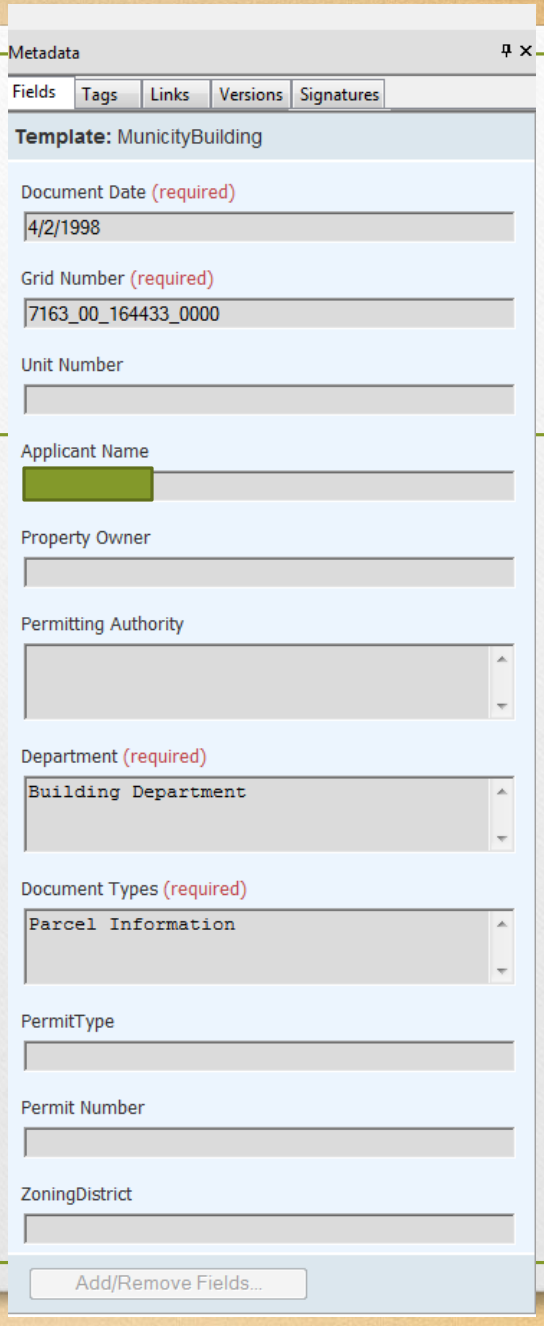
"Dover Parcels" is an ECMS Master Folder (Function) with Town of Dover Parcel Information (3772 subfolders)



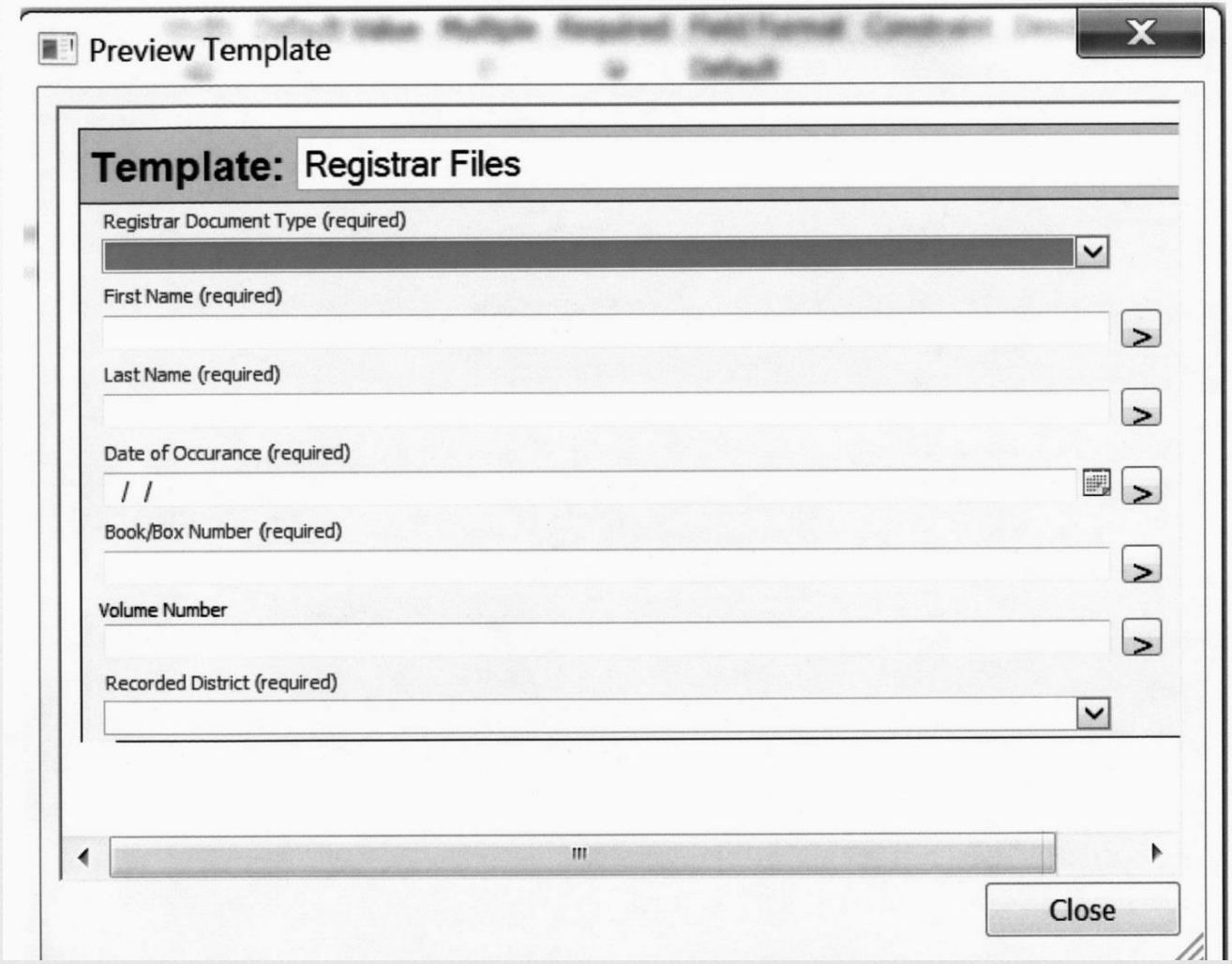
Step 2: Create a template to assign information to a scanned record for search and retrieval



Close up of a "Dover Parcels" Template



Close up of a Registrar's record template



Using a Scanning Project Request Form…

- Organizes information *before* a scanning project is implemented to save time and mistakes
- Integrates stakeholders in the ECMS development process
- Transforms departmental "silos" to afford access to a record's information through its entire lifecycle.

Sample ECMS
New Scanning Project Request Form

For Completion by Department Staff or Head (and Submission to the Records Management Officer)

Department: ☐ Assessor ☐ Building ☐ Bookkeeper ☐ Highway ☐ Historian ☐ Planning

☐ Recreation ☐ Registrar ☐ Supervisor ☐ Tax Collector ☐ Town Board ☐ Town Clerk ☐ ZBA

What Master Folder (and subfolder) will you access these records through? _____ Master Folder _____ Subfolder

What are the MU-1 Item No. and Retention Period for this records series? _____ MU-1 Item no. _____ Retention Period

What types of information would you use to search for this document?
(these terms will become the template fields- please indicate "(R)" after if the field should be "Required."

_____ _____ _____ _____ _____

_____ _____ _____ _____ _____

Person requesting project: _____ Submission date: _____

I acknowledge that no documents will be disposed of without written authorization from the RMO.

Employee signature: _____

For Completion by Records Management Officer and Forwarded to ECMS Manager

Create/Assign to Master Folder: _____

Create/Assign to subfolder: _____

RMO's Initials _____ Date forwarded to ECMS Manager: _____

For Completion by the ECMS Manager and Return to Records Management Officer

Name of Folder Structure(s) Assigned/Created: _____

(If workflowed) Record Series/Retention Assigned: _____ Yes _____ No workflow done at this time

Template Fields Created: _____ _____ _____

_____ _____ _____

Workflow created and tested: _____

Date folders are available for use: _____

ECMS Manager's Initials _____ Date returned to RMO: _____

Benefits of a well-executed scanning project

- *You* will be able to search and retrieve records with confidence and accuracy.

- *Others* will have access to documents (within their permission rights) at need and convenience to serve residents and the public efficiently and effectively.

- *Your organization* can securely retain records for their retention period and reduce storage footprint with optimal access and functionality.

Thank you!

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Shared Services
Towns of Amenia • Dover • Beekman • North East