



University of California
San Francisco

Open Plan – Paper Light

Carolyn Tuft
REPCAPS

2/27/2018



Agenda

- Moving to an open plan paper light workspace
- Benefits
- Going paper light
- Records and Information Management Best Practices

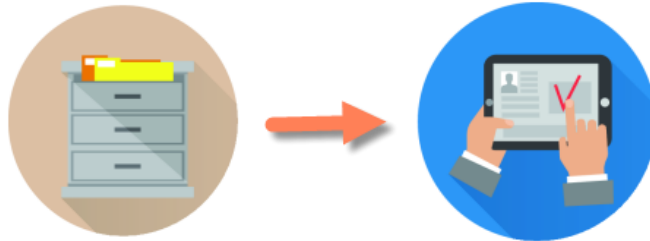


Paper Light Workspace

Transforming records and information management

Why change to a paper light workspace?

- [The intervention](#)
- Use onsite space for people not paper
- Support UCSF sustainability goals
- Information is available whenever you need it, where ever you are



Paper isn't bad – but how it's used is changing

- Documents are “born digital”
- Electronic documents may be printed out to read and/or marked up
- But the electronic copy is the “record” copy
- We are moving away from using paper as a storage format



Mission Hall – Lessons learned

- Start planning early
- Budget for resources (time, people, budget)
- Utilize resources
 - Change agents
 - Digital Project Manager
- Going to an open plan transforms how teams work

Open Plan – Paper Light – Workstation – 654 Minnesota

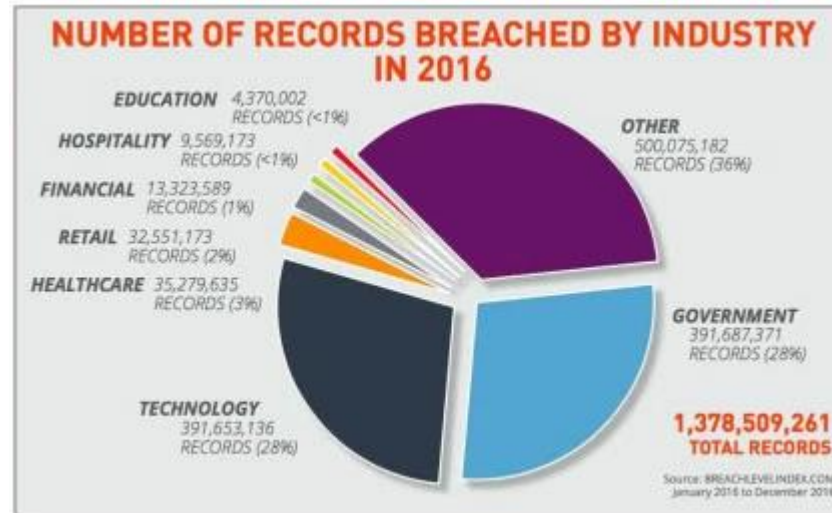


- 2 drawer file cabinet
- 1 overhead bin
- 1 pedestal file cabinet
- 9 linear feet of storage

Benefits

Managing the document life cycle reduces risk

Good records and information management can improve accessibility, security and reduce risk



Good record management can help



- In 2015, the US Office of Personnel Management suffered a 21 million record [‘data breach’](#)
- The records included personally identifiable information from anyone who had applied for a security clearance over the last several years
- Effective record and information lifecycle management would likely have made the data breach less damaging and maybe prevented it altogether

How does it impact UCSF? Example: public records requests

Costs

- Data breaches - \$217 per record
 - Source IBM and the Ponemon Institute
- \$120 in labor for 1 misfiled document
- ~25 hours are spent recreating a lost document
- Employees average 400 hours per year searching for documents
- A 4 drawer file cabinet holds ~12,000 documents, uses 9 square feet of floor space and costs \$1500 per year
 - [Sources: Gartner Group, AIIM, US Dept of Labor, Imaging Magazine, Coopers & Lybrand](#)

Open Plan - Readiness

Reducing paper stored onsite

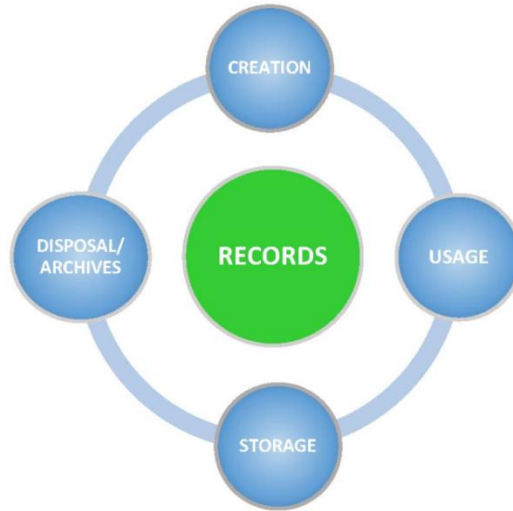
Figure out
what
information
is important



Figure out
how long we
need to
keep it



Get rid of it
when it is no
longer
needed



Managing information – common pain points

- Not enough time to manage paper or electronic documents?
- Is it easy or challenging to locate documents?
- Do you always know if you have the most current version?
- Can you tell if documents need to be kept or if they can be deleted?



Move readiness: Actions to take now

▪ Assess your current state

- Do you have paper documents?
- How many?
- Where are they?
- Do you have kits or other materials that need storage?
- Some of this work may have been done during programming



Plan for reducing paper

- Plan for processing paper records (electronic too)
 - Plan for budget, staff time and tools
 - Paper can be stored, digitized or shredded
- Next Steps
 - Determine what has met it's retention time and dispose
 - Review what is left and determine how it needs to be stored

Open Plan – Paper Light: Timeline

* timeline is an estimate for planning purposes

Jan – June 2018	July – Dec 2018	Jan – June 2019	July –Dec 2019	2019 Move In
Paper document assessment				
Develop plan to process paper				
	Document destruction or move to UCSF Archives			
	Pack and move paper records to offsite storage			Move paper records based on space allocation
	Scanning plan (budget/staff time/vendor vs in-house)	Bring in resources and start scanning	Complete scanning included QC process	
Develop plan for scanned electronic documents	Identify electronic document storage location (may need to implement new system)	Determine file plan and meta data for documents	Move to document storage system	Maintain documents (upload, meta data) and manage document lifecycle

How REPCAPS Can Help

Assist with records and information needs, such as:

- Evaluating and facilitate storage options for paper or digitized records
- Analyzing scanning projects - Does scanning make sense?
- Develop best practices for in-house scanning
- Develop scanning specifications to create a RFP and obtain bids, manage project
- Build and standardize meta data, naming conventions and classifications
- Provide assistance thinning files, boxing, and labeling
- Records and information management training
- Contact: Carolyn Tuft, Carolyn.Tuft@ucsf.edu



Readiness – Contacts and Guidance Documents



Resources

- Carolyn Tuft – Sr Project Manager – Carolyn.Tuft@ucsf.edu
- Brenda Gee – UCSF Record Coordinator – Brenda.Gee@ucsf.edu

How to documents

- UC Record Retention Schedule Snapshot
- Record and Information Management Move Preparation Guide
- Record Review Tips
- [UCSF Space Website>Resources](#)

Policies and Record Retention Schedule

The framework for managing records and
information

UCOP and UCSF Policies provide the framework for protecting and managing the lifecycle of records and documents

- [Records Management Policies](#)
- [IS-3 Electronic Information Security Policy](#)
- [UCSF Policy 650-16 Addendum F, UCSF Data Classification Standard](#)
- [UCOP Privacy Policies](#)
- [UCSF Privacy Office](#)
- [The Runaway File](#) (video)



Where can I find out how long to keep records?



- [UC Records Retention Schedule \(UC RRS\)](#)
- [UC RRS Webinar](#)
- [Administrative Records Relating to Research: Retention and Disposition Requirements](#)
- [Record Retention Schedule Snapshot](#) with most common record categories available to simplify determining how long to keep a record
- [The buried file](#) (video)

Record Processing Options

■ Scan

- In-house
- Vendor



■ Move to UCSF Archives



■ Store

- Offsite Vendor
- Onsite (minimize volume)



■ Dispose

- Shred
- Recycle
- Delete



Best Practices

Managing the lifecycle of records and information

Paper records offsite storage

- Infrequently referenced
- Still need to be kept
- Securely stored
- Offsite storage is the least expensive storage option
- UCSF has contracts with Excela Technologies (formerly SourceHOV) BAA in place, Iron Mountain (no BAA) and DataSafe (no BAA)
- Records needed for audit or that are frequently used may be candidates for onsite storage or scanning



Electronic Records – Document Storage Options

- [UCSF Box](#) - Collaboration by computer, phone, tablet
- [UCSF Secure Box](#) offers encryption, accessible to UCSF email addresses
- Perceptive Content – Migrating to Onbase (enterprise content management) – workflows, OnBase integrated with DocuSign
- The Document Management Scoping Project is identifying the needs of campus groups in order to transition to digital document management and will recommend ways to address identified needs



Clinical Trial Records

- Oncore

- All clinical trials or research studies requiring Coverage Analysis must have a record in OnCore
- **May 2018**, enroll and track subjects in OnCore for clinical trials billed through APeX

- Secure Box

- UCOP - Feb 2018 update to May 2012 guidance on e-signatures for human research
- E-signatures ok as long as all regulatory requirements are met

Scanning - decision points

- Records reference on a regular basis ✓
- Used by teams in multiple campuses ✓
- Need to be kept per the UC Record Retention Schedule ✓
- No space onsite to store the physical records ✓
- Team has the resources (budget, staff, time) to insure scanned records are readable and meet requirements ✓



Archive or dispose? Paper or electronic documents

- Has meet UC record retention time ✓
- Is not needed for a legal matter, audit or investigation ✓
- Has ongoing historical value to UCSF ✓
- Is a copy or draft that is no longer useful ✓
- Is not a record (vendor brochure, personal notes, blank forms, etc) ✓

- Securely destroyed if it contains Personal Health Information (PHI), Personally Identifiable Information (PII) or Personal Credit Card Information (PCI)

UCSF Archives



Ready to Transfer Your Files?

- Please contact the UCSF Archivist, Polina Ilieva: polina.ilieva@ucsf.edu . She or a member of her team can visit you in your office to examine your records, arrange for their transfer, and offer additional assistance as needed.
- Completing a [Records Transmittal Form](#) or Deed of Gift will provide a record of the materials given and finalize the donation.
- Detailed info: <https://www.library.ucsf.edu/archives/donate/records/>

UCSF Archives



Administrative Records

Records of **enduring historical value** should be formally transferred to the UCSF Archives when no longer needed for current operational business

- Records in any format (print or digital) are accepted for transfer into the archives
- Records should be “inactive” (no current administrative use to the unit that created them)
- Includes records that document the university's history, development, decision-making process, and campus culture

UCSF Archives



UCSF Faculty Papers

- Faculty papers contain significant information on teaching, research, and professional activities, areas through which researchers can gain a valuable perspective on the intellectual vitality of the university community. They can be rich resources of university history in addition to documenting the careers of individuals.
- UCSF Archives acquires non-current administrative records and papers of individuals key to the history of UCSF and the health professions. We are particularly interested in materials that indicate the rationale for decision-making and administrative operations or that document the careers of professionals who are leaders in their field.

UCSF Archives

Historical Materials

Chronicle the UCSF campus life and its mission:

- Campus publications: announcements, bulletins, catalogs, newsletters, news releases, symposium proceedings, directories, personnel lists, administrative notices, annual reports
- Biographical files
- Photographs
- Memorabilia and artifacts



UCSF Archives



Websites, blogs, some social media

- UCSF Archives actively crawls and collects websites of internal departments and offices as well as outside organizations, groups, and individuals whose records contribute to educational and research programs of the University. These sites document the public face of UCSF and the way the University communicates its mission and its work.
- Request a site capture through this form:
<https://www.library.ucsf.edu/archives/ucsf/web/>

Additional Resources

- Privacy
- IT security
- Archives
- UCSF Contracted Secure Shred Bin Vendor: **Shred-it**
 - **Contact Person:** Shred-it Account Manager, Dianna Scholberg
 - **Phone:** 650.245.0889
 - **Email:** Dianna.Scholberg@STERICYCLE.com
- [UCSF Drive, Tape, and Data Destruction](#)

Thank you

