

**Quality and Productivity Commission**  
**34<sup>th</sup> Annual Productivity and Quality Awards Program**  
**“Leading with Excellence”**

**2021 APPLICATION**

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

**NAME OF PROJECT: E-PERSONNEL DIGITIZATION AND RECORDS MANAGEMENT**

**DATE OF IMPLEMENTATION/ADOPTION:** JANUARY 1, 2019

CHECK HERE IF THIS PROJECT IS BEING SUBMITTED FOR THE **COVID-19 IMPACT AWARD ONLY**. (Projects must be implemented on or before December 31, 2020. **Note:** Projects implemented less than one year ago will not be eligible for any other PQA awards. In addition, once a project is submitted, you cannot submit the same project for awards consideration in subsequent years).

**PROJECT STATUS:** \_\_\_\_\_ Ongoing       One-time only

**HAS YOUR DEPARTMENT PREVIOUSLY SUBMITTED THIS PROJECT?** \_\_\_\_\_ Yes       No

**EXECUTIVE SUMMARY:**

1 The Department of Human Resources (DHR), Department of Register-Recorder/County  
 2 Clerk (RR/CC), and Department of Internal Services (ISD) developed and implemented  
 3 the Electronic Personnel Digitization and Records Management (ePR) system, a  
 4 central, online repository of Countywide personnel files and records. The system  
 5 replaces the manual process of maintaining paper files with an automated central  
 6 trusted system of electronic employee personnel records, providing real-time secure  
 7 access to personnel records by employees, supervisors, and human resources (HR)  
 8 staff as appropriate across the County. The system is integrated with key County  
 9 enterprise systems, providing real time document access and updates as records are  
 10 being finalized. The ePR system eliminates the need for physical storage and  
 11 transportation, safeguards documents, provides recovery in the event of a natural  
 12 disaster, and increases employee productivity by reducing manual processes. In  
 13 addition, the system established a high-taxonomy for all record types and is designed to  
 14 adhere to standard retention policies in accordance with County policies.  
 15

**BENEFITS TO THE COUNTY**

(1) ACTUAL/ESTIMATED ANNUAL COST AVOIDANCE	(2) ACTUAL/ESTIMATED ANNUAL COST SAVINGS	(3) ACTUAL/ESTIMATED ANNUAL REVENUE	(1) + (2) + (3) = TOTAL ANNUAL ACTUAL/ESTIMATED BENEFIT	SERVICE ENHANCEMENT PROJECT
<b>\$ 2.9 M</b>	<b>\$ 500,000</b>	<b>\$</b>	<b>\$ 3.4 M</b>	<input checked="" type="checkbox"/>

ANNUAL = 12 MONTHS ONLY

<b>SUBMITTING DEPARTMENT NAME AND COMPLETE ADDRESS</b> Department of Human Resources 500 W. Temple Street, Los Angeles, CA 90012		<b>TELEPHONE NUMBER</b>
<b>PROGRAM MANAGER'S NAME</b> Roozan Zarifian RZarifian@hr.lacounty.gov		<b>TELEPHONE NUMBER</b>  <b>EMAIL</b>
<b>PRODUCTIVITY MANAGER'S NAME AND SIGNATURE</b> <small>(PLEASE CALL (213) 893-0322 YOU DO NOT KNOW YOUR PRODUCTIVITY MANAGER'S NAME)</small> Leslie Foxvog "SIGNATURE ON FILE"		<b>TELEPHONE NUMBER</b> (213) 974-2515; (213) 074-1528 <b>EMAIL</b> <a href="mailto:LFoxvog@hr.lacounty.gov">LFoxvog@hr.lacounty.gov</a> ; <a href="mailto:mgonzalez@hr.lacounty.gov">mgonzalez@hr.lacounty.gov</a>
<b>DEPARTMENT HEAD'S NAME AND SIGNATURE</b> Lisa Garrett – "SIGNATURE ON FILE"		<b>TELEPHONE NUMBER</b> (213) 974-2406

\*\*ELECTRONIC, WET, OR SCANNED SIGNATURES ARE ACCEPTABLE\*\*

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**Challenge:**

Los Angeles County has 36 departments, approximately 110,000 active employees and 33,000 inactive employees (going back 5 years only), and more than 1000 facilities across 4,083 square miles. Each County department maintains their own employee official personnel files. On average, each County employee file contained approximately 300 documents. In the past, these files were usually paper-based and maintained in file cabinets. File sharing was done manually using County couriers and HR staff, which was labor intensive, slow and not entirely secure. In order to view an official personnel file, employees had to make an appointment and often travel to remote locations to see their file.

In addition, large storage areas were needed to keep the physical files and records. These storage areas utilized valuable space already available to departments or, in some instances, utilized additional storage areas obtained by departments at additional cost.

Finally, managing paper files across County departments introduced compliance and security risk and was not conducive to timely responses to requests for records pursuant to information-access legislation or to a subpoena.

**Solution:**

The key objectives of the creation of the ePR system were to: eliminate paper-based personnel files; provide employees real-time and secure electronic access to their official personnel file; automate the manual process of collecting and managing information; provide a uniform application of records retention policies; protect the sensitive and confidential employee information and enable County departments to transform information sharing.

The action taken was to replace the prior manual process of maintaining paper-files with an automated central trusted system of electronic employee personnel records, providing real-time secure access to personnel records by employees, supervisors, and HR staff as appropriate across the County.

In addition, the solution established a standard way of digitizing, storing and managing all electronic employee personnel records, and streamlined onboarding of new employees through electronic forms with eSignature capability.

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The ePR system is built using OpenText Documentum Content Management technology with an established file structure and searchable index keys. A secure single sign-on access to system is provided through the cloud-based enterprise Office 365 Microsoft SharePoint online portal for easy access and management of records by all County employees.

The solution provides a certified central system of record for HR documents and an Electronic Records Managements system for all County record types. It established a high-level taxonomy for all record types according to County Retentions Schedules, which sets the foundation for digitizing and adding future record series to the repository.

In addition, the system is integrated with several key County enterprise systems, providing real time document access and updates as records are being finalized.

- O365 SharePoint Online serves as the UI for employees to view and initiate request for adding and/or removing information from their personnel file.
- eHR, County’s Human Resources enterprise resource planning (ERP) system provides the employee demographic information.
- Performance Management Tracking System (PMTS) automatically transmits the final employee discipline outcome documentation to the ePR system.
- Learning Management System (LMS) imports the PDF training completion certificates of employees required education and training.
- Electronic Personnel Action Request (ePAR) exports the supporting documents of all personnel transaction requests for hiring, transfers, etc.
- eFORMs transmits the completion of annual mandatory forms that all employees are required to complete and Management Appraisal and Performance Planning (MAPP) assessments and evaluation for designated employees.
- Employee Performance System (EPS) transfers the closed employee performance evaluations for all non-MAPP employees.

A critical component of this project incorporated conducting an independent evaluation of the ePR system to ensure the infrastructure processes, procedures, and system alignment with the recommended practices of the LA County Trusted Electronic Records Management System (TERMS) Standards and Guidelines. Having a “trusted” system allowed the County to transition away from paper-based workflows and physical record storage.

To date, over 17 Million employee personnel documents have been digitized.

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The ePR supports the County’s Strategic Plan **Goal Number III, Realize Tomorrow’s Government Today** by transforming how information is accessed and shared, while protecting the privacy of individual departments to meet their core mission.

- *Strategy III.2.3 - Prioritize and Implement Technology Initiatives That Enhance Service Delivery and increase Efficiency*
- *Strategy III.3.2 Manage and Maximize County Assets*
- *Strategy III.4 - Engage and Share Information with Our Customers, Communities and Partners*
- *Strategy III.2.1 Enhance Information Technology Platforms to Securely Share and Exchange Data*

The Key benefits for HR Staff:

- Eliminated the dependency on paper files, reduced need for physical storage and decrease transportation costs. On the average, each County employee file contains approximately 300 documents.
- Increased HR staff productivity by automating the current manual processes to manage physical personnel files and records.
- Enabled departmental HR staff search and retrieve information digitally and use advanced discovery features.
- Automated workflow to request file review during hiring process for managers.
- Enabled electronic exchange of personnel data through secure integration with enterprise HR systems.

Key benefits for Record Managers:

- Provided official digitized records for external audits in a timely compliant and verified manner.
- Provided digital retention and records management.
- Safeguarded documents and provide recovery in the event of a natural disaster.

Key benefits for Employees:

- Streamlined onboarding of new employees by eliminating the need to complete and mail paper documents.
- Provided employees real-time and secure electronic access to their official personnel file without having the need to travel to remote sites to view documents.

The creation and integrated use of the ePR system transformed the manner in which the County manages its employee personnel files.

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**COST AVOIDANCE, COST SAVINGS, AND REVENUE GENERATED (ESTIMATED BENEFITS TO THE COUNTY):** If you are claiming cost benefits, include a calculation on this page. Please indicate whether these benefits apply in total or on a per unit basis, e.g., per capita, per transaction, per case, etc. You must include an explanation of the County cost savings, cost avoidance or new revenue that matches the numbers in the box. Remember to keep your supporting documentation. Use Arial 12-point font

**Cost Avoidance:** Costs that are eliminated or not incurred as a result of program outcomes. Please indicate whether these are costs to the County or to other entities.

**Cost Savings:** A reduction or lessening of expenditures as a result of program outcomes. Please indicate whether these were expenditures by the County or by other entities.

**Revenue:** Increases in existing revenue streams or new revenue sources to the County as a result of program outcomes.

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<b>\$ 2.9 M</b>	<b>\$ 500 K</b>	<b>\$</b>	<b>\$ 3.4 M</b>	<input checked="" type="checkbox"/>

Transitioning to ePR management has led to tangible cost benefits in the following key areas:

- Area of HR and related records requests. This involves the time spent by an employee or hiring manager from another department requesting and scheduling to view an individual personnel file and lost productivity by possibly traveling to view hard copy record. This amounted to **\$2,359,399.61** in Cost Avoidance.
- Area of disposition and certification management which involves activities of tracking, managing, and carrying out records disposition and managing employee certifications. This amounted to **\$528,160.21** in Cost Avoidance.
- Area of misplaced documents recovery which accounts for the time spent tracking down and locating misplaced personnel files or documents. This amounted to **\$21,894.62** in Cost Avoidance
- The fourth area is that of real estate and other costs, inclusive of the rent being paid to physically house the personnel folders for the more than 100,000 employees, volunteers and temporary workers across Los Angeles County. This amounted to **\$477,565.58** in Cost Avoidance.

There are also intangible areas such as the amount of time spent by HR staff to find a file that was misplaced, time spent by employees traveling to remote locations to see their file, or liability costs associated with the keeping of records as physical files.


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**FOR COLLABORATING DEPARTMENTS ONLY**

*(For single department submissions, do not include this page)*

<b>DEPARTMENT NO. 2 NAME AND COMPLETE ADDRESS</b>	
Internal Services Department, 1100 N. Eastern Avenue, Los Angeles, CA 90063	
<b>PRODUCTIVITY MANAGER'S NAME AND SIGNATURE</b> <i>Sonia Fernandez</i> EMAIL : <u>sfernandez@isd.lacounty.gov</u>	<b>DEPARTMENT HEAD'S NAME AND SIGNATURE</b>  EMAIL : <u>Shollins@isd.lacounty.gov</u>
<b>DEPARTMENT NO. 3 NAME AND COMPLETE ADDRESS</b>	
<b>PRODUCTIVITY MANAGER'S NAME AND SIGNATURE</b> EMAIL: _____	<b>DEPARTMENT HEAD'S NAME AND SIGNATURE</b> EMAIL: _____
<b>DEPARTMENT NO. 4 NAME AND COMPLETE ADDRESS</b>	
<b>PRODUCTIVITY MANAGER'S NAME AND SIGNATURE</b> EMAIL: _____	<b>DEPARTMENT HEAD'S NAME AND SIGNATURE</b> EMAIL : _____
<b>DEPARTMENT NO. 5 NAME AND COMPLETE ADDRESS</b>	
<b>PRODUCTIVITY MANAGER'S NAME AND SIGNATURE</b> EMAIL: _____	<b>DEPARTMENT HEAD'S NAME AND SIGNATURE</b> EMAIL: _____
<b>DEPARTMENT NO. 6 NAME AND COMPLETE ADDRESS</b>	
<b>PRODUCTIVITY MANAGER'S NAME AND SIGNATURE</b> EMAIL : _____	<b>DEPARTMENT HEAD'S NAME AND SIGNATURE</b> EMAIL: _____
<b>DEPARTMENT NO. 7 NAME AND COMPLETE ADDRESS</b>	
<b>PRODUCTIVITY MANAGER'S NAME AND SIGNATURE</b> EMAIL: _____	<b>DEPARTMENT HEAD'S NAME AND SIGNATURE</b> EMAIL: _____