



Evaluating Your Records Program

BY JAMES M. TAMMARO

NEW YORK ASSOCIATION OF LOCAL GOVERNMENT RECORDS OFFICERS

2019 SCHOOL

JUNE 3, 2019

ALEXANDRIA BAY, NY

Today's Topics

- ▶ Parameters for evaluating the program
- ▶ Measuring the parameters
- ▶ Effecting the changes needed based on the evaluation

Parameters For Evaluating The Program

▶ **The tangible ones:**

- ▶ The disposal of records
- ▶ The transfer of records to a records center
- ▶ Responding to requests for records
- ▶ The management of electronic records
- ▶ Cost avoidance

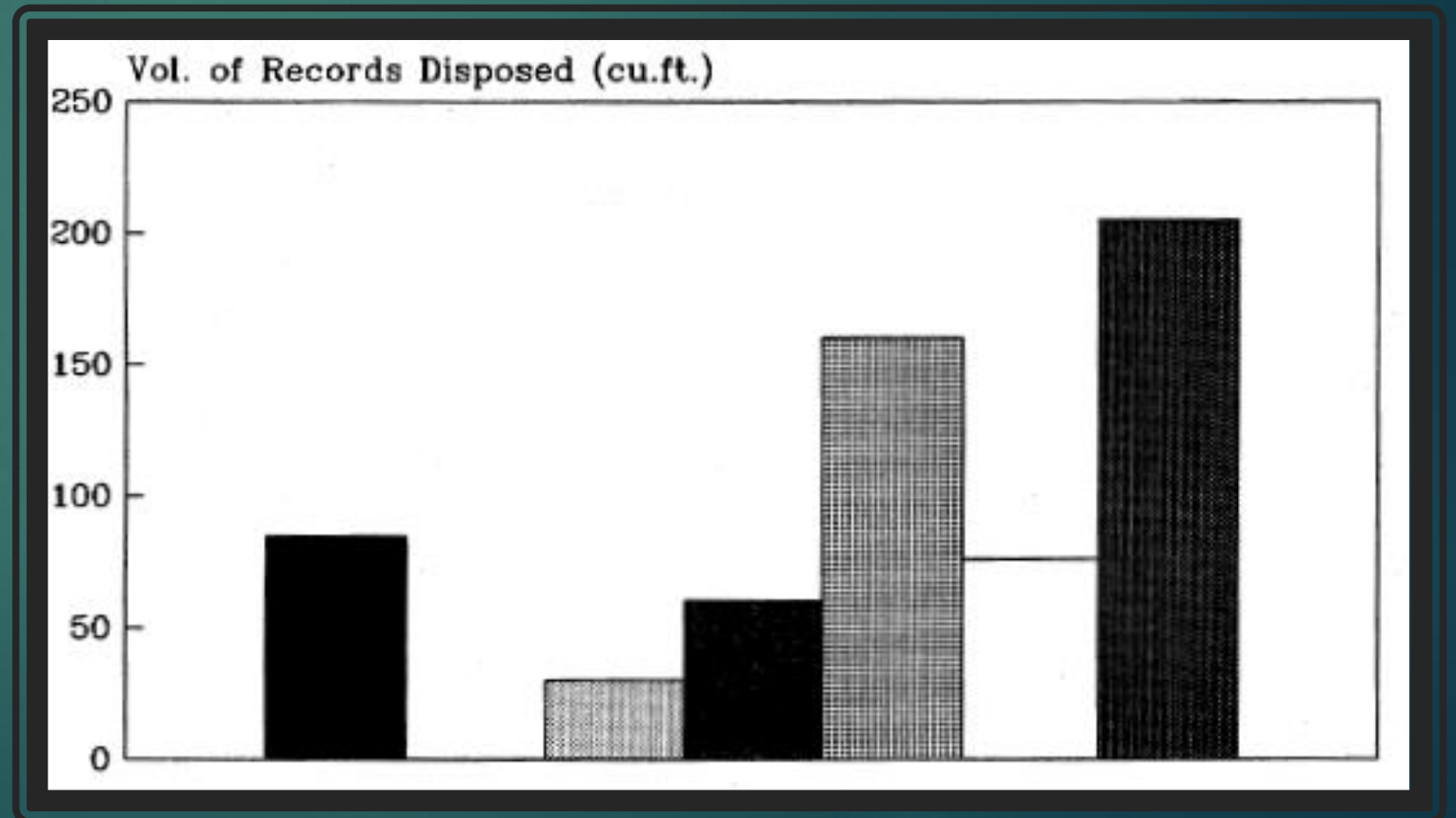
Parameters For Evaluating The Program

▶ The intangible ones:

- ▶ Organizational morale
- ▶ General satisfaction with records handling practices
- ▶ Employee productivity
- ▶ Quality of service for the organization's customers

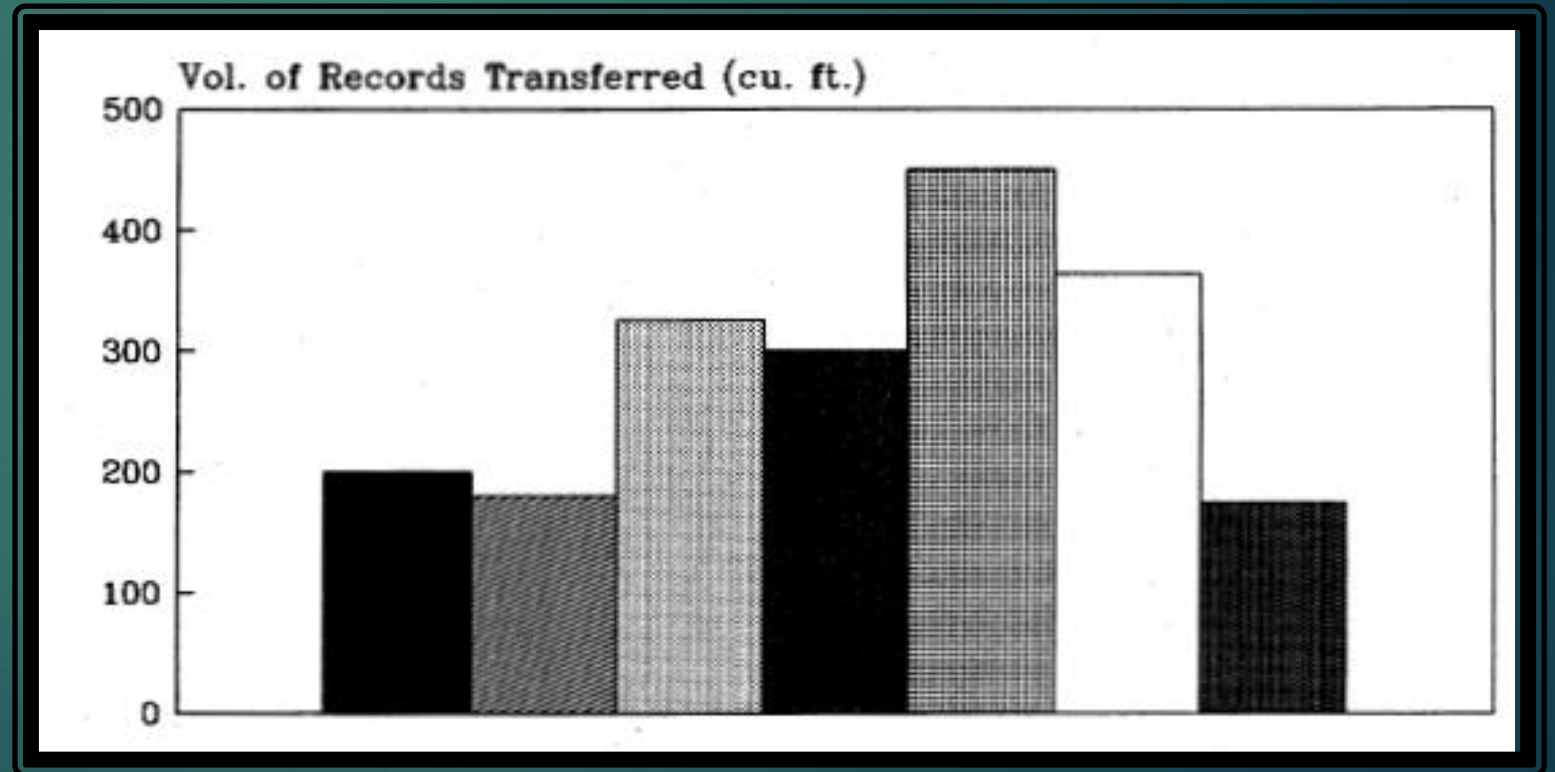
Parameters For Evaluating The Program – **The Tangible ones**

- ▶ **The Disposal of records**
 - ▶ **Years 1-7**



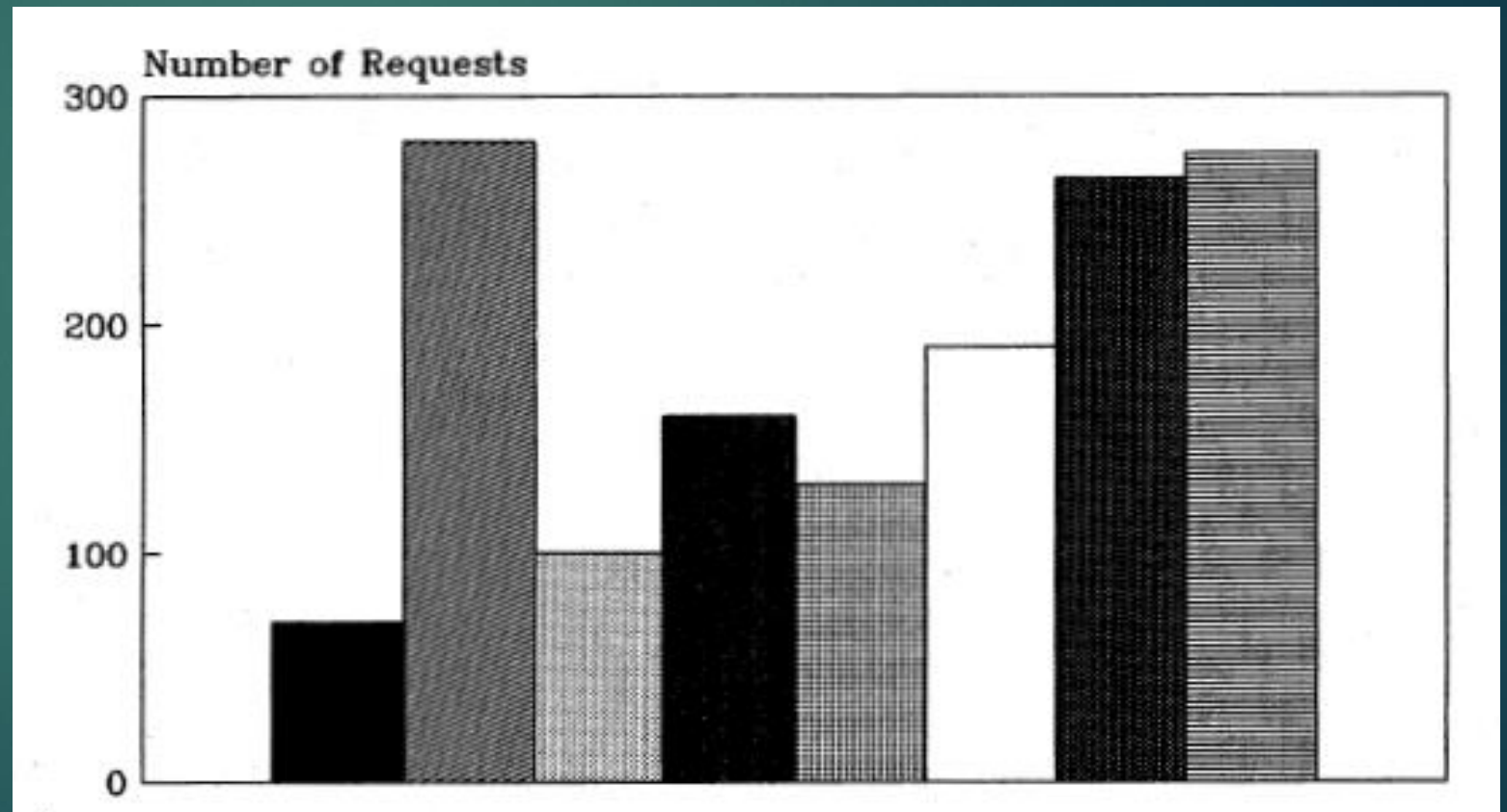
Parameters For Evaluating The Program – **The Tangible ones**

- ▶ **The Transfer of Inactive Records**
 - ▶ **Years 1-7**



Parameters For Evaluating The Program – **The Tangible ones**

- ▶ Handling requests for records
 - ▶ Years 1-7



Parameters For Evaluating The Program –

Cost Avoidance – *Tangible and intangible*

- ▶ Based on records transfers
- ▶ Not self-evident
- ▶ Needs to be clearly illustrated
- ▶ Cite related statistics
- ▶ Include general cost savings



Parameters For Evaluating The Program – **Effectively managing Electronic Records**

- **Considerations for preservation**
 - Perfect translation
 - Accessible
 - Low cost
 - Functionality
 - Extensibility
 - Now labor intensive
 - Uniform

Parameters For Evaluating The Program –

The Intangible ones

- ▶ **Organizational morale**
- ▶ **General satisfaction with records handling practices**
- ▶ **Employee productivity**
- ▶ **Quality of service for the organization's customers**
 - ▶ Established strong lines of communication?
 - ▶ Established strong relationships?
 - ▶ Adapted a proactive strategy?
 - ▶ Established a vision?

The Intangible Parameters

Establishing Strong Lines of Communication

- ▶ Reaching all levels of the organization
- ▶ Reaching out effectively to individual staff members
- ▶ Stressing risk management
- ▶ Making the case for protecting an intangible resource

The Intangible Parameters

Establishing Strong Lines of Communication

- ▶ **Stressing efficiency and effectiveness**
- ▶ **Stressing other records management benefits**

The Intangible Parameters

Establishing Strong Relationships

- ▶ **Serving as the internal consultant**
- ▶ **Building a strong relationship with IT**
- ▶ **Focusing on the entire life-cycle**
- ▶ **Acting as the gatekeeper for new initiatives**

The Intangible Parameters

Establishing Strong Relationships

- ▶ **Anticipating and responding to corporate trends**
- ▶ **Building trust**

The Intangible Parameters

Adopting a Proactive Strategy

- ▶ **Relating to vital records**
- ▶ **Being proactive with technological solutions**
- ▶ **Being the risk manager**

The Intangible Parameters

Establishing a Vision

- ▶ **Determining a unique vision**
- ▶ **Connecting to the organization's vision**
- ▶ **Getting support for RM vision**

The Intangible Parameters

Quantifying Objectives

- ▶ Establishing the RM department's objectives
- ▶ Incorporating visions and goals
- ▶ Developing the short-term and long-term plans

Measuring the Parameters

- ▶ Documentation
- ▶ Re-inventory efforts
- ▶ Informal surveys
- ▶ Carrying out KM techniques

Measuring the Parameters **Documentation**

- ▶ The use of forms
- ▶ Disposal of records

(Local Government Name)

Records Disposal Form

Title of Record	Dates	Disposed of

New York State Archives Retention Schedule Requirements
(for records listed above):

●—————●

Office of Origin: _____

Volume of records in cubic feet: _____

●—————●

Authorizing Signatures:

Department Head (where record was created): _____

Records Management Officer (RMO): _____

Measuring the Parameters

Documentation

- ▶ The use of forms
- ▶ Transfer of records to the records center

Measuring the Parameters **Documentation**

- ▶ The use of forms
- ▶ Requests for records from the records center

REQUEST FOR RECORDS

RECORD (S) _____

REQUESTED BY: _____

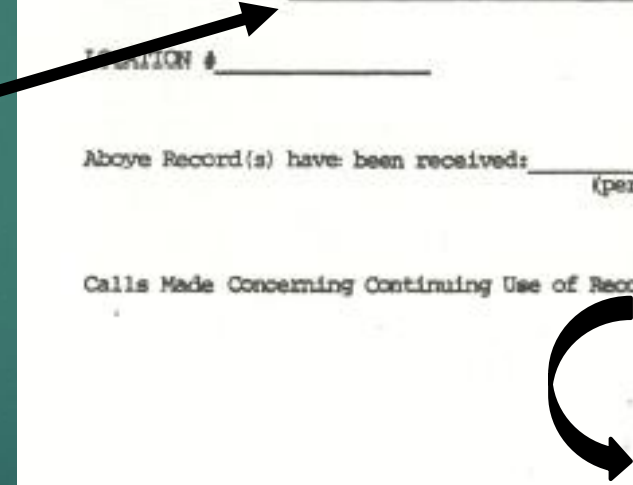
DATE OF REQUEST: _____

IDENTIFICATION # _____

Above Record(s) have been received: _____
(person receiving record)

Calls Made Concerning Continuing Use of Records: _____

Above Record(s) have been returned: _____
(Records Manager)



Measuring the Parameters

The Re-inventory

- ▶ For non-electronic records
- ▶ Analyzing the statistics
 - ▶ *Format*
 - ▶ *Annual accumulation*
 - ▶ *Frequency of use*

Records Inventory Data Worksheet
See instructions in Publication #76, *Inventory and Planning*, before completing this form.

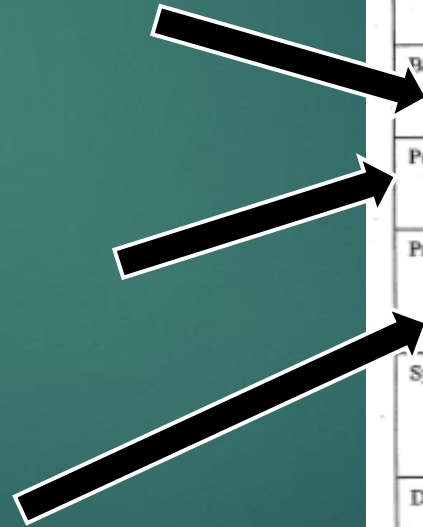
1a. GOVERNMENT/AGENCY		1b. DEPARTMENT/UNIT	
2. RECORDS SERIES TITLE			
3. DATE SPAN			
4. RECORDS SERIES DESCRIPTION (Describe content and characteristics of records)			
5. ARRANGEMENT <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Alphanumeric <input type="checkbox"/> Other (Specify):			
6a. RETENTION <input type="checkbox"/> Not scheduled <input type="checkbox"/> Permanent <input type="checkbox"/> Appraise for historical value <input type="checkbox"/> Scheduled retention:			
6b. SCHEDULE AND ITEM NUMBER, OR REASON FOR PROPOSED RETENTION			
7. LOCATION			
8. FORMAT <input type="checkbox"/> Paper <input type="checkbox"/> Audiovisual <input type="checkbox"/> Micrographic <input type="checkbox"/> Electronic			
9. TOTAL QUANTITY (In cubic feet or number of items) <input type="checkbox"/> Cubic feet <input type="checkbox"/> Items		Type of items:	
10. ANNUAL ACCUMULATION (In cubic feet or number of items) <input type="checkbox"/> Cubic feet <input type="checkbox"/> Items			
11. FREQUENCY OF USE <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Seldom <input type="checkbox"/> Never			
12. RESTRICTIONS ON USE			
RECORDS ARE 13. <input type="checkbox"/> IN POOR CONDITION 14. <input type="checkbox"/> VITAL (Essential to operations) 15. <input type="checkbox"/> OFFICIAL COPIES			
16a. NAME OF PERSON COMPLETING FORM		16b. DATE	

New York State Archives GRS-1 (1/2002) 15-1000-000

Measuring the Parameters

The Re-inventory

- ▶ For electronic records
- ▶ Analyzing the statistics
 - ▶ *Back-up procedures*
 - ▶ *Purging procedures*
 - ▶ *Provisions for upgrades or migration*

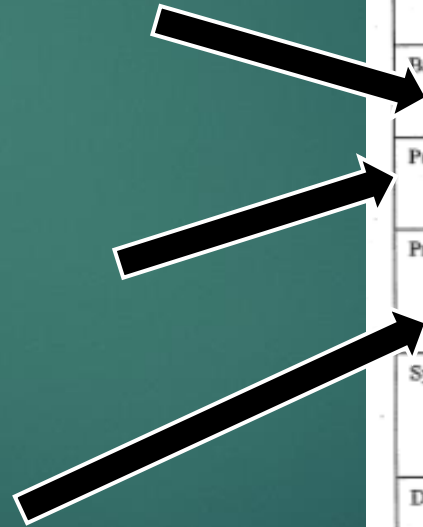


Information System Inventory Data Worksheet	
Organization:	
System Name:	Alternate Name:
System Owner:	System Analyst:
System is: <input type="checkbox"/> Off the Shelf <input type="checkbox"/> Custom, Inhouse	Implementation Date:
System Description:	
Hardware:	
Software:	
Back-up Procedures:	
Purging Procedures:	
Provisions for upgrades or migration:	
System Documentation:	
Department(s) using System:	
Number of Records Series on system (attach inventory worksheets to this form, if necessary):	

Measuring the Parameters

The Re-inventory

- ▶ For electronic records
- ▶ Analyzing the statistics
 - ▶ *Back-up procedures*
 - ▶ *Purging procedures*
 - ▶ *Provisions for upgrades or migration*



Information System Inventory Data Worksheet	
Organization:	
System Name:	Alternate Name:
System Owner:	System Analyst:
System is: <input type="checkbox"/> Off the Shelf <input type="checkbox"/> Custom, Inhouse	Implementation Date:
System Description:	
Hardware:	
Software:	
Back-up Procedures:	
Purging Procedures:	
Provisions for upgrades or migration:	
System Documentation:	
Department(s) using System:	
Number of Records Series on system (attach inventory worksheets to this form, if necessary):	

Measuring the Parameters

Informal Surveys

- ▶ During the re-inventory process
 - ▶ Personal observation by technicians
 - ▶ Comments by department liaison
- ▶ Via the Intranet
- ▶ Customer surveys

Measuring the Parameters

Carrying out KM Techniques

- Lessons Learned Databases
- Expertise location
- Communities of practice

Effecting the Changes Needed

- ▶ Establish/utilize a records advisory board
- ▶ Select a “champion” from upper management
- ▶ Implement a partial program
- ▶ Monitor the environment proactively
- ▶ Promote a culture of shared purpose
- ▶ Foster experimentation
- ▶ Establish informal team roles

Effecting the Changes Needed

Utilize a Records Advisory Board

- ▶ A group to deal with RM initiatives
- ▶ Helps ensure proper input
- ▶ Helps establish a wide base of support for change
- ▶ “Sell” the board first on changes needed

Effecting the Changes Needed

Find that “Champion”!

- ▶ Evaluate who is influential
- ▶ Find someone who has the interest
- ▶ Nurture that interest
- ▶ Make the “champion” your salesperson

Effecting the Changes Needed

Start that Partial Program!

- ▶ It's not a total commitment
- ▶ It's a limited program
- ▶ Get your foot in the door
- ▶ Target a cooperative department

Effecting the Changes Needed

Monitor the Environment Proactively

- ▶ Seek out potential disturbing information
- ▶ Identify potential disruptions
- ▶ Look for early warning signals that the improvements may not be meeting stakeholder expectations

Effecting the Changes Needed

Promote a Culture of Shared Purpose

- ▶ Promote a culture of shared values that focuses on:
 - ▶ The impact of the changes being made
 - ▶ Building pride that can help sustain the changes

Effecting the Changes Needed

Foster Experimentation

- ▶ Foster a culture of experimentation and innovation
 - ▶ Encouraging staff to try new things

Effecting the Changes Needed

Establish Informal Team Roles

- ▶ Practice “advocacy” characterized by informal team roles
- ▶ Limit the focus on standard operating procedures
- ▶ Deep improvisation
- ▶ Rapid cycles
- ▶ Empowerment of special teams

“Leading Archives and Records Management Programs”

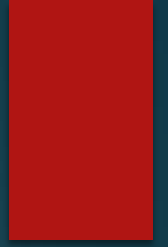
By Bruce W. Dearstyne

- ▶ The role of leadership
- ▶ Three models for developing strong programs
- ▶ Identifying and implementing successful strategies

The role of leadership:

- ▶ Understanding leadership principles
- ▶ Leadership and communication are linked!
- ▶ Having a champion
- ▶ Seize opportunities

Three Models for Strong Programs:



- ▶ Program building through systematic stages of change
- ▶ Moving from merely good to truly great
- ▶ Becoming resilient

Identifying and Implementing Successful Strategies

- ▶ Define achievement and greatness
- ▶ Build understanding and support
- ▶ Keep the program in a learning/adaptive mode
- ▶ Concentrate on people

Concluding Remarks



- ▶ Measure and analyze the parameters
- ▶ Establish a plan of action for effecting the changes needed

Thank you!

▶ **James M. Tammaro**

▶ jmtmls@gmail.com

▶ 716.479.5509