

Building Support For Records Management

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Strategies for Effective Records Mgmt: Sowing Seeds for Accountability

- ❑ The regulations of the Commissioner of the Education, part 185,8NYCRR requires that local governments designate a records management officer to ensure that the program has the necessary structure to be effective.
- ❑ Each region has a regional advisory officer for support and direction.
- ❑ Pieces of the structure include policies and procedures, initiatives to promote program awareness, and records retention standards that span the organization.

Building a Business Case for a Successful Records Management Program

- ▶ Have support from the top
 - ▶ Resolution
 - ▶ Budget
 - ▶ Written policy and procedure
- ▶ Assemble a Cross-Disciplinary Team
- ▶ Identify Records Management Risks
- ▶ Quantify and Prioritize Records Management Risks
- ▶ Use Case Studies to Show Consequences and Gain Support
- ▶ Propose a Plan and Estimate a Budget
- ▶ Comprehensive: to include active, inactive, historical and electronic records

Role of Records Management

What is your program there to accomplish?

- ❑ Manages and oversees compliance with state/school/municipal laws and regulations relating to the preservation, access and destruction of electronic and paper information.
- ❑ The authority on inactive/active records, including eRecords, in the agency and how long they need to be retained according to SARA
- ❑ Responsible for establishing standards/policies relating to business requirements and needs which ensure the legal legitimacy of record-keeping systems.
- ❑ If possible, Provide or and oversee services which are designed to help ensure that the agency is meeting its record-keeping responsibilities.

Elements of an Effective Records Management Program

- ❑ Local Law or Resolution Authorizing
- ❑ Reports to governing board
 - Accomplishments of Program
 - Cost savings
- ❑ Budget line
- ❑ Records Advisory Board
- ❑ Program Policies and Procedures
- ❑ Annual Destruction of Obsolete Records
- ❑ Include all records, paper records, e-mail, ECMS, electronic and historical records
- ❑ Migration Plan
- ❑ Disaster Recovery Plan
- ❑ Technology Steering Committee

Support What?

What exactly are you asking for...

Management support and authority to:

- Counsel and advise on the implementation of policy and procedure which promotes adherence to NYS Archive standards?
- Write local retention schedules based on NYS Archive schedule?
- Provide inactive storage?
- Responsibility for final destruction of records?
- Depositions and Interrogatories?
- Public records requests?
- Develop a plan to retain a permanent record and make it accessible for the life of records?

Add Value

What will you do to make Records Management a Value Added Proposition?

- Reduce the cost of record keeping
- Compliance
- Risk Management

ROI of Records Management

ROI is Opportunity

- ❑ Reduces the cost of record keeping
 - Save time
 - Save space
 - Save money
 - Vital records identification/protection/reconstruction

- ❑ Legislative/Audit compliance issues
 - Costly fines and penalties
 - Reliability of record keeping systems

- ❑ Risk abatement/management
 - Limiting risk through retention schedules

Obtain Support

New York State Laws and Regulations Relevant to State Government Records

- School District Policy

Something that establishes the legitimacy of the program and your role and authority in the organization—which is approved by top management (i.e. Board resolution for RMO)

Importance of Communication

Communicating THE vision

Communicate YOUR vision

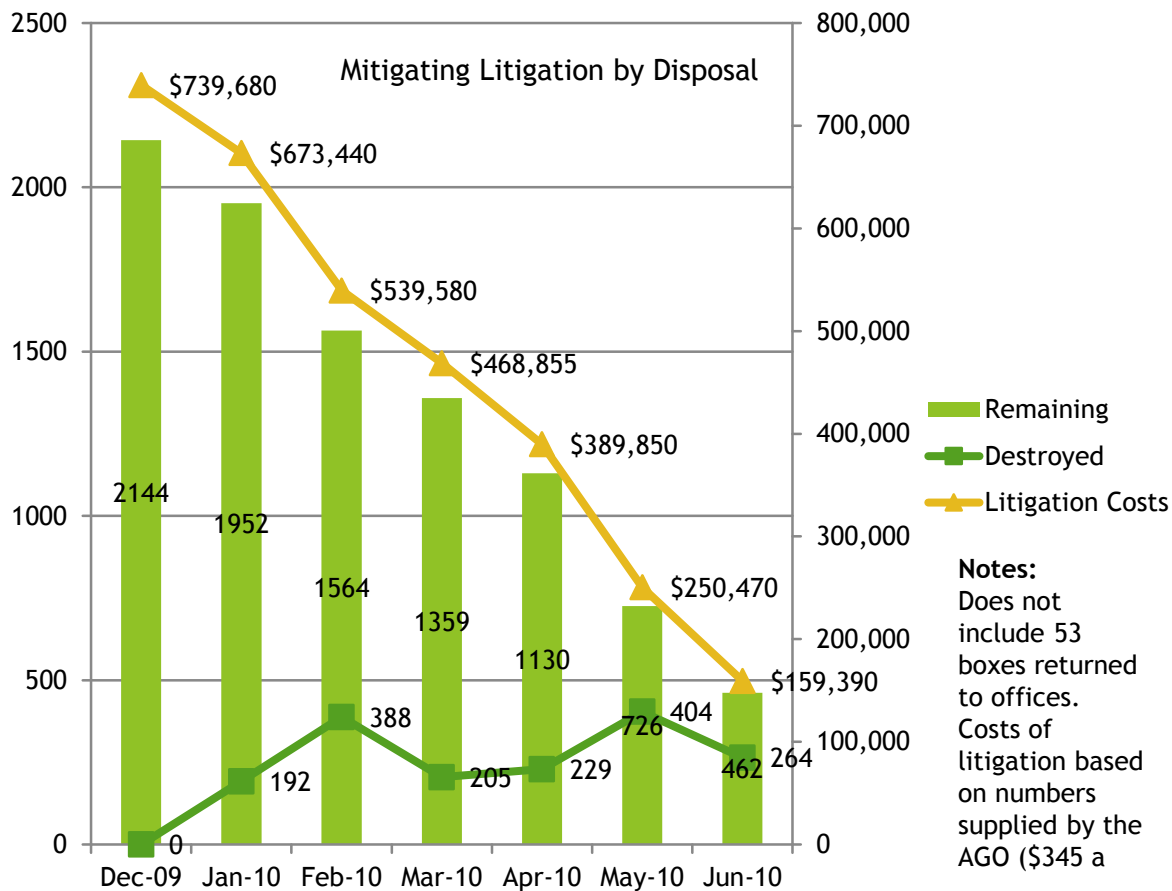
- ❑ Communication plan for top management
- ❑ Communication plan for your clients
 - Client success often draws the attention of top management

How will you convince people of the story?

Communication for Top Management

- Presentations
 - 60 second elevator speech
 - 15 minute limit
- Reports
- Statistical summaries, goals and objectives

Financial Measure 1: Cost Savings Perspective



Definition:

This measure shows the percentage of cost savings resulting from timely and proper disposal of boxes eligible for disposal. The goal is to destroy all boxes within a 6 month period. Each quarter should show 50% of the boxes eligible for destruction disposed of.

Analysis:

As the number of boxes eligible for destruction are destroyed, the liability for having to produce the records in litigation decreases.

Next Steps: Try to destroy a greater number boxes monthly.

Communication for Clients

- ❑ Website
- ❑ Email
- ❑ Newsletters
- ❑ Blogs
- ❑ Twitter
- ❑ Training
- ❑ Best Practices

Establish Credibility

If you have a strong positive reputation in your organization management will notice

- ❑ Promote the program
- ❑ Training
- ❑ Web presence
- ❑ Process partners—with a vested interest
 - ❑ Legal, Audit, IS/IT
- ❑ Become an expert on the organization and the records it creates and receives
- ❑ Become an expert on your retention schedules
- ❑ Become an expert on electronic records—all issues
- ❑ BE A RESOURCE
- ❑ Be Flexible and ready to compromise

Resources

<http://content.arma.org/IMM/online/InformationManagement.aspx>

http://www.archives.nysed.gov/a/records/mr_laws_state.shtml

<http://www.archives.gov/research/>

<http://www.isaca.org/Journal/Past-Issues/2010/Volume-6/Pages/Building-a-Business-Case-for-Records-Management.aspx>

Questions?

Thank You for Your Time

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