

# 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 cross the organization.

# Building a Business Case for Records Management

- ▶ 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

# 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 and destruction of electronic and paper information.
  - ▣ The authority on inactive/active records in the agency and how long they need to be retained
  - ▣ Responsible for establishing standards relating to business requirements and needs which ensure the legal legitimacy of record-keeping systems.
  - ▣ If possible, provide or oversee services which are designed to help ensure that the agency is meeting its record-keeping responsibilities.

# 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

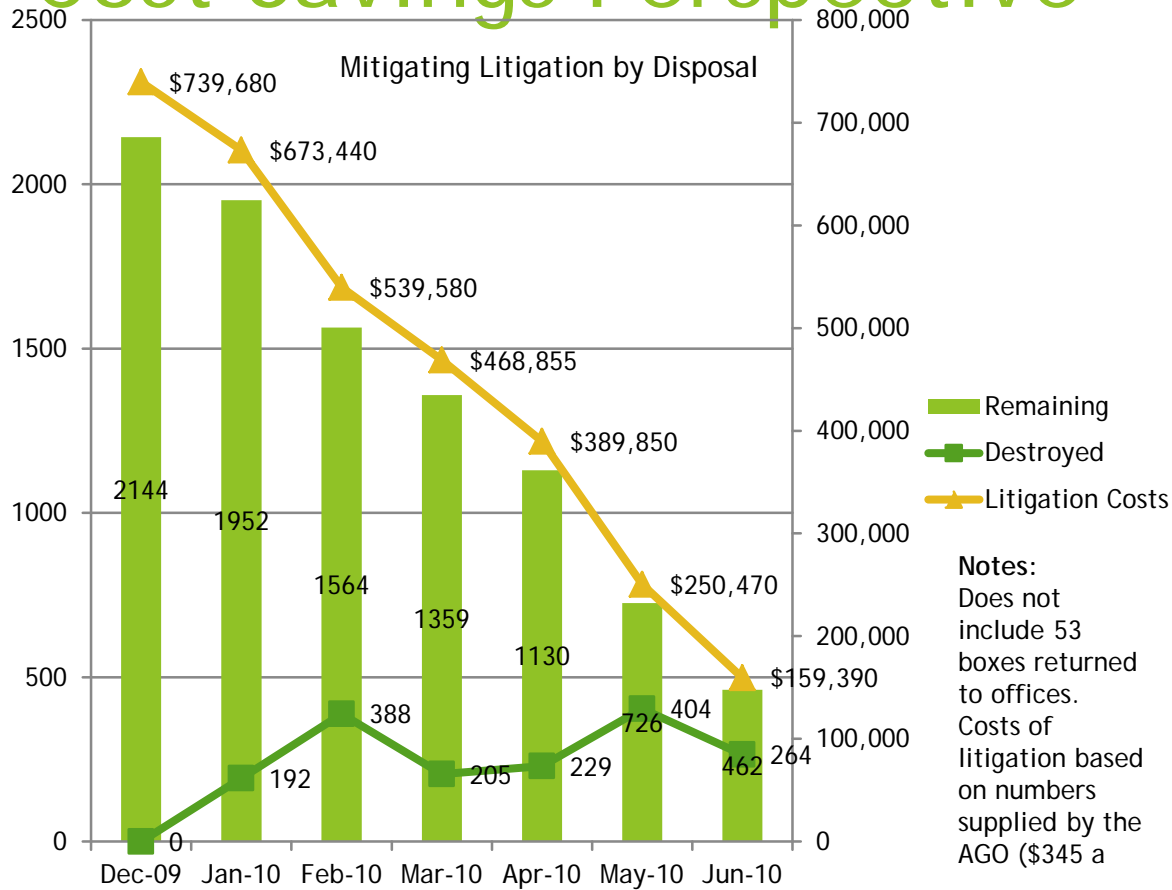
- ❑ Communication plan for top management
  
- ❑ Communication plan for your clients
  - Client success often draws the attention of top management

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.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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