

# Role of the Records Management Officer

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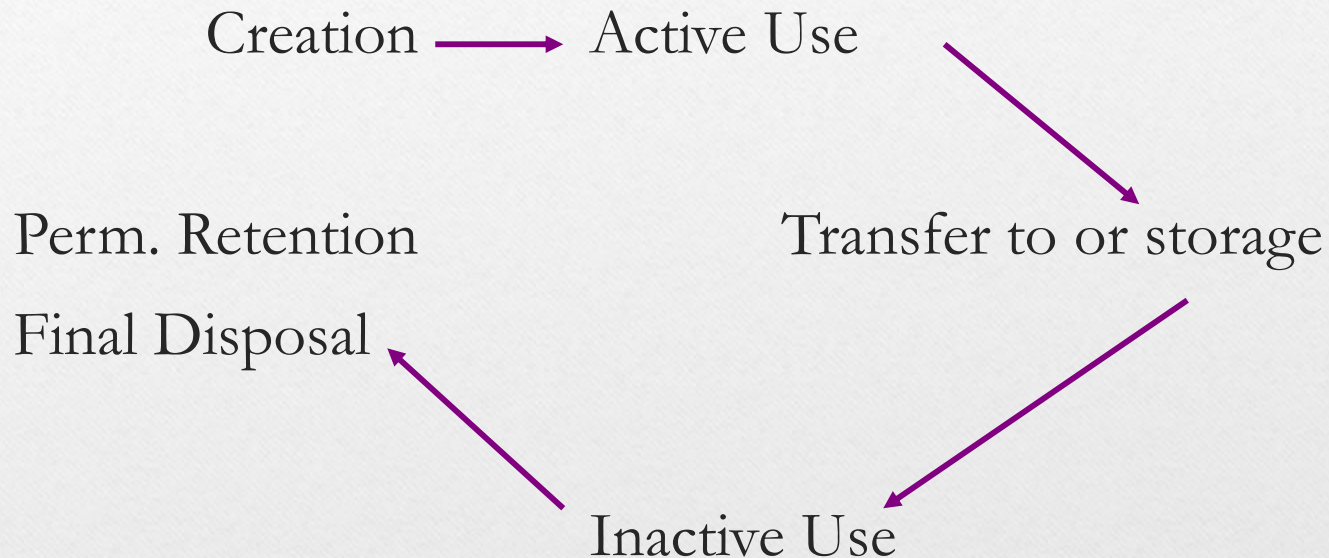
# What is Records Management?

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- Specialized business discipline
- Involves the analysis and control of recorded information of an organization
- Involves controlling the life cycle of a record

# Life Cycle of a Record

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# GARP Principles

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- Accountability
- Integrity
- Protection
- Compliance

# GARP Principles Cont'd.

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- Availability
- Retention
- Disposition
- Transparency

# Core Records Management Program Components

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- Records retention
- Compliance with laws and regulations
- Management of inactive records
- Management of active records
- Protection of vital records

# The Records Management Officer

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## The **RMO**

Oversees and coordinates  
the records management program

In local governments,

# Who is the RMO?

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- Local Government Records Law
  - Each government must have an RMO
  - In towns and villages, the clerk is RMO
  - In fire districts, the secretary is RMO
  - CEO designates RMO in other governments



Regulations Relating to....

# The Local Government RMO

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- Regulations of the Commissioner of Education
  - Provide further details on RMOs in local government (Part 185)
  - Head of each state agency's governing board must appoint an RMO (Part 188)

# General Responsibilities of RMOs

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- Oversee and coordinate management of all records from creation
- Liaison with other departments
- Delegate responsibility as needed
- Constantly promote the program
- Local Government RMOs - Follow State Archives guidelines

**Core RMO Responsibilities as they  
Relate to RM  
Program Components**

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- Records retention
- Compliance with laws and regulations
- Management of inactive records
- Management of active records
- Protection of vital records

# Records Retention

## A Core Responsibility of the RMO

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- Specific Activities:
  - Determine retentions
  - Destroy obsolete records
  - Preserve permanent records
  - Migrate electronic records

# Records Retention Activities

## Determine Retentions

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- Use the appropriate records schedule
  - To keep records as long as required
  - To discard records no longer needed
  - To improve records retrieval
  - To save money
  - To save space
  - To identify permanent records

# Records Retention Activities

## Determine Retentions

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- Develop and use an office schedule
  - Conciseness
  - Longer retentions
  - Different organization
  - Use of common names for records
  - Office retention
  - Other useful information

# Records Retention Activities

## **Destroy Obsolete Records**

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- Choose a method of destruction
- Dispose of records appropriately
- Destroy confidential records totally
- Maintain record of all records destroyed
  - To keep track of records destroyed
  - For your protection
  - To prove you disposed of records legally

# Records Retention Activities

## **Preserve Permanent Records**

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- Stabilizing the environment
- Protecting from disaster
- Storing records in proper folders and boxes
- Reformatting
- Taking conservation measures



# Records Retention Activities

## **Migrate Electronic Records**

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- Periodic transfer of data to newer system
  - Before old system becomes obsolete
  - Not refreshing (transfer of data to new media)
- Can do item-by-item migration
- Or programmed mass migration

## Compliance with Laws and Regulations

# A Core Responsibility of the RMO

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- Specific Laws:
  - FOIL
  - Privacy Laws
  - CPLR 4518 – Duplicates admissible in court
  - CPLR 4539 – Best evidence rule

# Compliance with Laws and Regulations Activities

## **FOIL and Privacy Laws**

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- Balances access and security
- Requires a subject matter list
- May involve fees
- Must respond within 5 business days
- 2006 amendment (Chapter 182)

# Compliance with Laws and Regulations Activities

## **CPLR 4518**

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- Applies to using digital images of records as evidence
  - Need to prove:
    - Digital images are accurate and true copies which preserves all significant record detail
    - Achieved through use of lossless compression for digital images (TIFF) no image enhancement created in normal course of business
- Duplicates are admissible when made in regular course of business and accurately reproduce the documents.

# Compliance with Laws and Regulations Activities

## **CPLR 4539**

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- Best evidence rule - Best evidence precludes use of copies in court unless absence of original records can be satisfactorily explained
- Also applies to using digital images of records as evidence
  - Need to prove:
    - Digital images are accurate and true copies and the copies preserves all significant record detail

## Management of Inactive Records

# A Core Responsibility of the RMO

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- Maintain a good storage environment
- Use appropriate equipment
- Keep storage areas organized
- Store all backups offsite

# Management of Inactive Records Activities

## Maintain a good storage environment

- Control temperature and humidity
  - 65-72°F (lower is better)
  - 35-45% relative humidity
- Keep air pollutants to a minimum
- Good air exchange but minimal outside air

# Management of Inactive Records

## Activities

### Use appropriate equipment

- Shelving units
- Microfilm cabinets
- Flat files and map cases
- Platform ladders





# Management of Inactive Records Activities

## Use appropriate equipment cont'd

- Boxes
- Standard file cabinets
- Miscellaneous



# Management of Inactive Records Activities

## Keep storage areas organized

- Use steel shelving
- Establish shelving layout
- Establish box contents policies

# Management of Inactive Records Activities

## **Store all backups offsite**

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- Backups are not simply duplicate copies of files
- You can easily lose computerized information
  - Use backups to protect against such possibilities
- But determine what type and level of backup you need
- Frequency of backups
- Do you need to back up all files or only certain files?

## Management of Active Records

# A Core Responsibility of the RMO

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- Create records for a reason
- Control copies
- Identify record copy
- Address retention and disposition when designing an eRecords system
- Preserve historical records as you create them

Management of Active Records Activities

## **Create records for a reason**

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- Create records efficiently
- For Legal, Fiscal, Administrative Reasons

# Management of Active Records Activities

## **Control copies**

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- Limit the number of photocopies
- Control electronic versions
- Control distribution

# Management of Active Records Activities

## Identify the record copy

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- Records schedules apply primarily to the record copy
- With eRecords record copy is often not the original

# Management of Active Records Activities

## **Address retention and Disposition for eRecords**

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- Timely destruction
- Control copies
- Destroy different copies at different times
- Purge hard drives



Management of Active Records Activities

**Preserve Historical Records**

***As they are created***

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- Preserve minutes as you create them
- Create digital images to meet NYSA Guidelines

## Protection of Vital Records

# A Core Responsibility of the RMO

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- Develop a disaster recovery program
- Develop a vital records program
  - Archival Records
    - Provide access to historical records
    - Promote archives as a resource
    - Encourage their use for education
    - Prepare finding aids

# Protection of Vital Records Activities

## **Develop a disaster recovery program**

- Increase safety for records
- Increase security for records
- Efficient response to records disasters
- Involves vital records protection
- To increase chances of easy resumption of normal operations

# Protection of Vital Records Activities

## Develop a vital records program

- Identification of vital records
- Development of methods of protection
- Development of procedures

# Protection of Vital Records Activities

## Develop an archival records program

- Arrangement
- Access and Reference
- Outreach and Promotion
- Preservation
- Description

# Additional, Second-Tier Responsibilities of RMOs

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- Develop Policies and Procedures to Guide the Program
- Work with upper management
- Work with IT staff
- Work with the historian
- Work with legal counsel
- Document everything

# Additional, Second-Tier Responsibilities of RMOs

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- Learn new things
- Educate Others
- Emphasize the Benefits of Records Management
- Seek additional funding for the RM Program
- Encourage continued growth
- Thank everyone!

# Thank you! Questions?

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