

RECORDS & INFORMATION MANAGEMENT

**ROADMAP TO MANAGING ONSITE
RECORDS; VENDOR MANAGEMENT;
INVENTORY; SYNERGY WITH E-RECORDS**

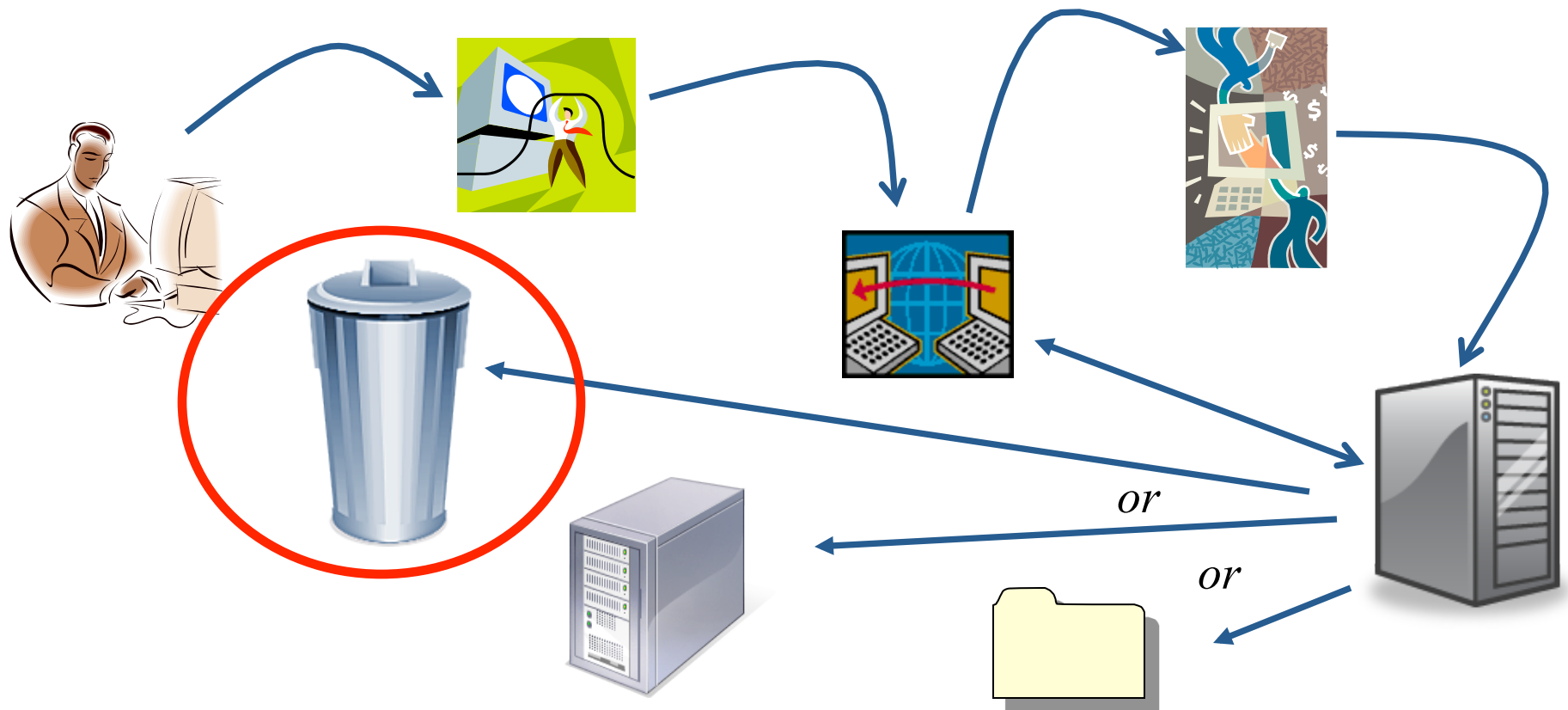
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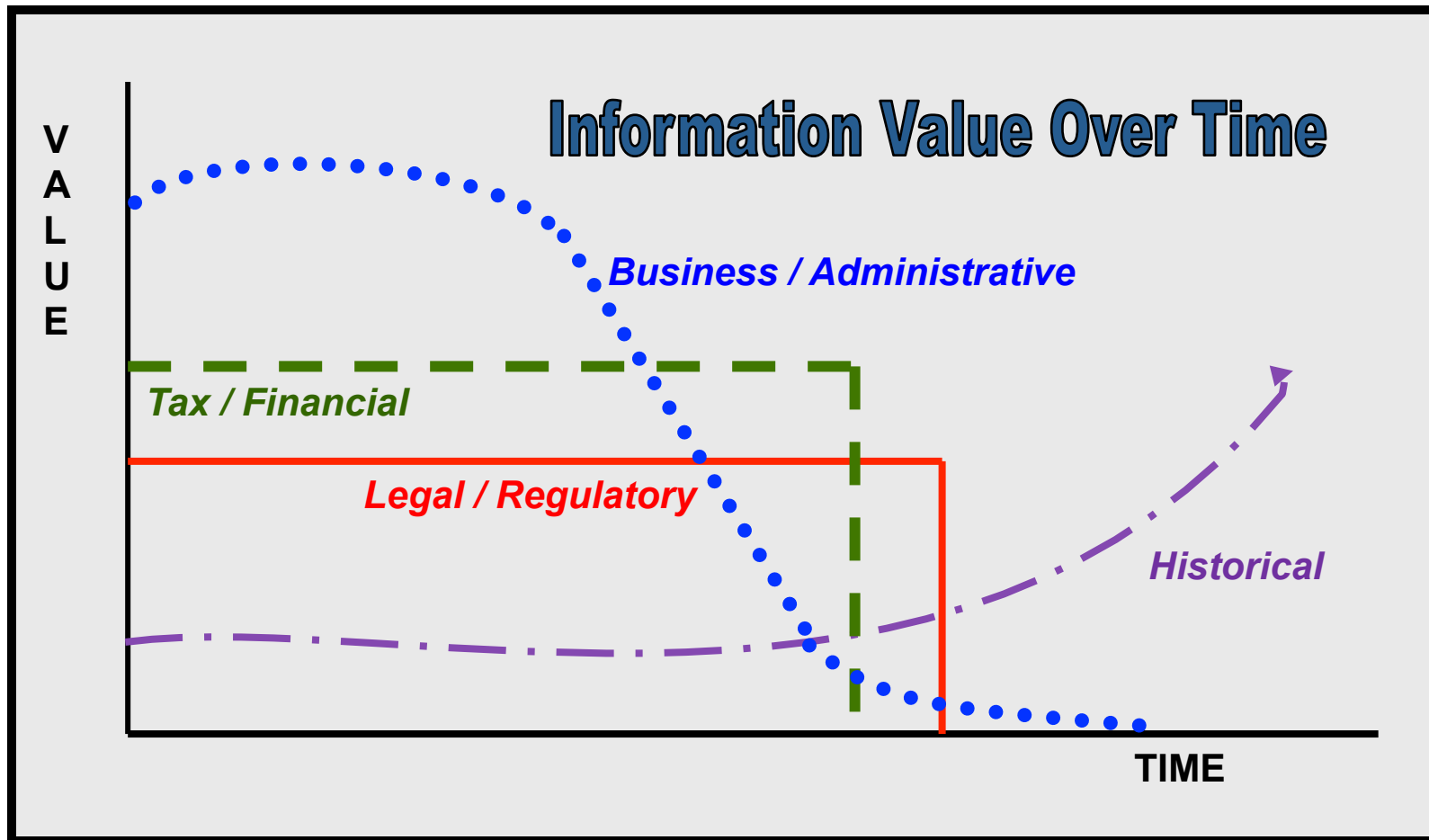
MAY 14TH, 2014

INFORMATION & RECORDS LIFECYCLE

The stages . . . creation . . . storage, and final disposition



APPRAISING INFORMATION CONTENT



RECORDS RETENTION SCHEDULE

❑ Tool – supporting policy

- ✓ Cornerstone for managing records
- ✓ Unifies understanding of an organization's records
- ✓ Actions are taken – disposition
- ✓ Manages the Records / Information Life Cycle
- ✓ Integrated into any Records Management System

❑ What is it; What are the components

- ✓ Identifies records
- ✓ Categorizes or classifies records by type
- ✓ Defines retention period
- ✓ Provides legal / regulatory citation

GOVERNANCE

☐ Road to Retention Schedule Approval

- ✓ Equals a process of decision making
- ✓ First step to implementation

☐ Best Practice

- ✓ Develop a governance board
 - Members are senior enough to make decisions
 - Function similarly to a project sponsor

MAKING IT MATTER

WHERE THE TANGIBLE MEETS IDEALS

❑ Identify the need

- ✓ What are the pain points?
 - Finding information
 - Costs

❑ Demonstrate capability

- ✓ Objectives – that are measurable
 - What is possible
- ✓ Immediate wins – low hanging fruit
 - Keep the long-term goals

❑ Senior Management Commitment

- ✓ Shared goals: identified and agreed to
- ✓ Manage expectations
 - Under commit, over deliver

RECORDS INVENTORY – HARDCOPY

☐ Where are the records?

- ✓ Usually the first concern
- ✓ Where do they need to be
 - Access requirements

☐ What are the records?

- ✓ Indeed are they records
 - Convenience copies

☐ Inventory survey required?

- ✓ Determine what will an inventory serve
 - Not for creating a records retention schedule
- ✓ Back to – where are the records *or* where should the records be

MANAGING HARDCOPY RECORDS

☐ Options – Not Mutually Exclusive

- ✓ Off-site storage vendor
- ✓ Onsite file room
- ✓ End-user managed

☐ Services

- ✓ Storage – not only
- ✓ Providers include outsource personnel

☐ Vendors

- ✓ One size fits all?
- ✓ Selecting: criteria and process

VENDOR SELECTION

☐ Identify requirements

- ✓ Storage
- ✓ Access services
 - Service Levels
- ✓ Scanning services options

☐ Marketplace – What is known

- ✓ Request For Information (RFI)
 - Where requirements are documented
 - No quotes provided – only capability
 - Narrow the choices to 4 – 5

☐ Making a selection

- ✓ Request For Proposal (RFP)
 - Commercials are provided (*aka* prices)

☐ Assume there is a project plan

- ✓ Keeping the process on course
- ✓ Ensuring all key stakeholders are engaged

TOOLS TO HELP MANAGE

Project Management

☐ When is it needed

- ✓ Current and new initiatives
 - Vendor selection – RFPs
 - Application implementation
- ✓ Inventory management
 - Legacy records
 - Disposition

☐ Components

- ✓ Problem statement – can be reframed as Opportunity Statement
- ✓ Goal – measurable
- ✓ Scope – In scope, Out of scope, Dependencies and Synergies
- ✓ Business case: Benefits and Costs
- ✓ Timeline – no longer than a year
- ✓ Project team – including stakeholders and Subject Matter Experts

☐ Why – credit and recognition, ensuring shared accountability

TOOLS TO HELP MANAGE

Procedures

- ❑ Difference between policy
 - ✓ Documents daily work
 - Ensures business as usual (BAU) is understood
 - ✓ Directive
 - Can be followed
 - Instructive
 - ✓ Can change frequently
 - Review annually
- ❑ Policy support
 - ✓ Provides the means to fulfill the policy
 - ✓ Compliance and due diligence = RIM team to attest to knowing and understanding
 - ✓ Internal audit looks for procedures
 - And measures against

ELECTRONIC RECORDS – PROCESS SYNERGIES

❑ Fundamental process milestones

- ✓ Just as policy states that it applies regardless of record media, so must processes
- ✓ Hardcopy records are tangible and recognizable: processes, procedures, rules are easier to grasp impact than electronic records

❑ Hardcopy = Convenience Copy

- ✓ 85% - 90% of all hardcopy documents are merely printouts
 - When are the printouts records
 - What is acceptable to manage convenience copies

❑ Paperless is at a price

- ✓ If born electronic, retain as electronic
 - Beware of scanning such
- ✓ Scanning justifications – storage is not an adequate reason
 - Multiple users, multiple access
 - Used dispersed geographically

ONE ADDITIONAL SESSION

THE FOURTH & FINAL

June 4th

Electronic Records:

Pain Points & Opportunities, Email, Metadata Management, Best Practices

- Role of Technology
- Application Appraisal
- Metadata, Email & ESI – Oh My!