ARMA AUSTIN FEBRUARY 2010

RIM 101 Workshop

Records Inventory and Retention Scheduling

****Disclaimer: All opinions/views expressed today are those of the speakers and do not necessarily represent the views of their employers.**

AGENDA

- Records Inventory
  - Purpose/Benefits
  - Planning an Inventory: Six Steps
  - Conducting an Inventory: Methods
  - Group Exercise: Completing an Inventory
- Break
- Retention Schedule
  - Purpose/Benefits
  - Research for Retention Periods
  - Creating the Schedule: Components
  - Approval/Publish
  - Updates
  - Group Exercise: Building a Schedule
- Resources
- Contact Information

****Disclaimer: All opinions/views expressed today are those of the speakers and do not necessarily represent the views of their employers.**

WHAT IS A RECORDS INVENTORY?

- It is a complete and accurate survey of an organization's file contents".
- The records Inventory is the "first phase" in the development and implementation of a RM Program

Robek

- Inventories capture the types of information that are being retained by an organization
  - Enable you to know what you have and where it is being kept

BENEFITS

- Helps build the Retention Schedule
- Facilitates retrieval in the event of an internal/external business event (Audit/Legal, etc.)
- Inventory is multi-purpose
  - Establish vital records
  - Business Process Improvements
  - Facilitate retrievals

Planning an inventory: 6 steps

RM Best Practice: Alleviate problems by establishing a plan.

1. Commitment from Top Management
2. Establishing a work schedule/timeline
3. Communicate
4. Project Staffing and Training
5. Set Goals and Objectives
6. Design of an Inventory Form

Planning an inventory: step 1
Commitment from management

- Golden Rule: Start at the top.
- Determine the appropriate level of Exec Endorsement
  - CEO, Legal, Finance, RM, etc…
- Obtain a documented commitment
  - Ask Executive to send endorsement to Dept Mgmt or to all employees
- Use the Exec Endorsement to rally additional support
  - During project kick-off; Within project training materials

Planning an inventory: step 2
Establishing a work schedule/timeline

- Departments who will be participating
  - Locations/Offices (Local/State/Regional)
  - Look at Company Org Chart
- Contact Names
  - Department Manager who you will be reaching out to
- Estimated Start/Finish Date
- Track information in a spreadsheet/database

Planning an inventory: Step 3 Communicate

- Communicate to Department Management
  - Draft a Communication: Provide background info, estimated project timeframe, expectations
    - Reference the Exec Management's Endorsement
    - Ask for the appointment of a Departmental SME (subject matter expert)
  - Determine who will be sending out the Communication
    - Records Manager, RM Analyst, etc..
- Provide updates: Escalations/Progress Reports
- Project end: Send final work product

Planning an inventory: step 4 project staffing and training

- Determine your available resources
  - Internal Records Management Staff
  - Departmental Staff
    - SME – someone who is knowledgeable of the records
  - Outside Consultants
- Pull together training materials
  - Include basic RM info-Assume they know nothing
  - Include the Executive Endorsement
  - Develop a list of “probing” questions

Planning an inventory: step 5
set goals and objectives

- Inventory Objective: Obtain sufficient information about the records in order to make good decisions
- Determine the Scope: Inventory everything; Only records, etc…
- Short Term Goals
  - Develop a Retention Schedule
  - Record Storage and Retrieval System
  - Vital Records Protection
  - Utilization of Office Equipment/Space
- Long-Term Goals
  - Business Process Automation
  - Report/Forms Control

PLANNING AN INVENTORY: STEP 6 DESIGN YOUR INVENTORY FORM

- Standard fields :
  - Department or organization name
  - Contact name
  - Name of record series/Description of record series:
  - Dates of the records-how far back do they have it?
  - Storage location
- Determine the format of the form: Electronic/Hardcopy
- Instruction sheet/explanation of fields/definitions
  - Include the definition of a record
  - Request that the business does not use "Acronyms"
  - Ask a non-RM person to review
- Sample Inventory Forms: Detailed/Simple

INVENTORY FORM EXAMPLES:

						RIM USE ONLY	
Records Series	Description of Record	Location of Record	Date Range	Originals or Copies?	Record Owner	Retention Code	Retention Period

Identify Core Functional Records created throughout your daily business process. List records you/your teams currently retain on harddrives, shared drives, homeshares, IT or Client Supported applications you may own, etc.. List one record series per cell.

Detailed description of the Record Series. Describe how it is used.

List specific location. i.e. datashare, harddrive, filing cabinet, etc..Please include specific path of server if records are maintained electronically. (example: datashare- \\ausdsrr205 \test1)

Inventory Form Examples:

rmd103.doc

Conducting an inventory: methods

- Do your homework:
  - Request Org Charts
  - Look at departmental websites, etc.. use to identify records
- Work with the Assigned Department Contact
  - Request Org Chart
- Initial Interview (Onsite/Phone)
  - Provide a brief training: include RM basics and the inventory process/timeframe
  - Review Org chart/discuss business processes/records
  - Review the inventory form and how to complete
  - Due Date: Send Reminders/Escalate when necessary

Records inventory tips

- **Obtain Exec Endorsement-Top Down Approach Works!**
- **Determine Project Scope: Who/What**
  - Look at Organizational Charts
  - Records/Non-Records
- **Draft your Communication Templates**
  - Determine who is sending Communications to Departments
  - Use the Exec Endorsement-Helps break down walls
- **Assume the Departments "know nothing" about RM**
  - Take the opportunity to train on basic RM principles
  - Do your homework: Look at their Dept Org Chart, website, etc..
  - Draft some probing questions: what are you storing on file shares, SharePoint, File Cabinets, etc…
  - Be prepared to do some hand holding
  - Be Flexible—Some groups will be independent ☺
- **Keep everything simple-Forms, Training Materials**
  - Don't start from "scratch"-use resources available
  - If something is not working-Change It! Find what works for your Org!

Exercise:
Departmental Records Inventory

- Each table represents a Functional Business Area
- Each table is assigned 3 Record Series and must complete the Records Inventory Form

Business Area	Record Series
Table1: Accounting	Expense Reports, Policies, Invoices
Table2: Human Resources	Employee Files, HR reports, Training Records
Table3: Legal	Contracts, Board Meeting Minutes, Litigation Files
Table4: Payroll	Time Cards, Direct Deposit Forms, W-2's
Table5: Sales	Contracts, Proposals, Purchase Orders
Table6: Marketing	Marketing Plans, Price Lists, Campaigns
Table7: Information Technology	Project Plans, Asset Listing, Service Requests

15 minute Break

RECORDS RETENTION SCHEDULE

- The Records Retention Schedule constitutes an organization's official policy for information retention and disposal.

Robek

RECORDS RETENTION SCHEDULE

- Purpose
  - Provides for the identification of records
    - For Business Purposes
    - For Business Continuity – Vital records
  - Helps conserve office space
    - Housing only active records in expensive office space
    - Transfer records to less expensive space when inactive
  - Provides for the systematic disposition of records
    - Destruction where they no longer serve Business Purpose
    - Archive where they provide historical perspective of organization
      - For Research
      - For Other Business Purposes

RECORDS RETENTION SCHEDULE

- Benefits
  - Economic
  - Legal
  - Business Value/Increased Efficiencies

RECORDS RETENTION SCHEDULE

- Research for Retention Periods
  - Consult with organization's legal counsel
    - What activities are subject to statutes and regulations?
      - See Resources provided.
    - What products or services are subject to legal recordkeeping requirements
    - What's the location of the business?
    - What's the litigation history of the organization?

RECORDS RETENTION SCHEDULE

- Creating the Schedule
  - Components
    - Records Series Titles
    - Records Series Numbering Scheme
    - Records Retention Period
    - Confidential/Open Designation
    - Archival/Vital Designations
    - Remarks
      - Statutes
      - Regulations
      - Other pertinent comments
    - Storage Information
    - Notation of Amendment/Revisions

RECORDS RETENTION SCHEDULE

- Approval
  - Records Management Officer
  - Executive Officer
  - Legal Counsel
  - Other
- Publish
  - Provide for use in various formats
    - Paper document
    - On the web
    - On the intranet

RECORDS RETENTION SCHEDULE

- Updates
  - How often?
  - Why??
- Amendments
  - Revised document
    - Different Retention Period
    - Different Records Series
      - Added
      - Removed
- Complete Revision
  - Entire Document Revised

RECORDS RETENTION SCHEDULE

- Group Exercise
  - Building a Records Retention Schedule
  - Each table should use the completed inventory forms to start building the Retention Schedule

Helpful resources

- ARMA International: www.arma.org
  - ARMA Austin: www.arma-austin.org
- AIIM: www.aiim.org
- Code of Federal Regulations:
  - http://www.gpoaccess.gov/CFR/
- National Archives and Records Administration:
  - http://www.archives.gov/
- Texas State Library and Archives Commission:
  - http://www.tsl.state.tx.us/index.html
- Book: Information and Records Management, Fourth Edition
  - Authors: Robek, Brown, Stephens

Thank You for Joining Us.

Tammy Russo, CRM
Dell
Email: tammy_russo@dell.com

Kim K Scofield, CRM
Office of the Attorney General
Email: kim.scofield@oag.state.tx.us

****Disclaimer: All opinions/views expressed today are those of the speakers and do not necessarily represent the views of their employers.**