RECORDS MANAGEMENT FROM SCRATCH

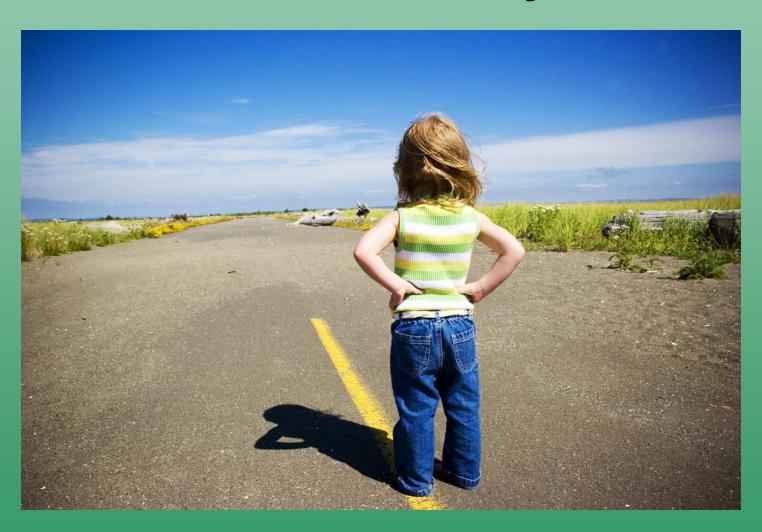## RISK MANAGEMENT AGENCY

Presented by

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Who Am I

- Joined Risk Management Agency (RMA) in September 2006

- Received National Archives and Records Administration (NARA) Certification in May 2007

- Designated Agency Records Managers October 2007

    – Erin Tecce
    – Debbie Lackey

Our Journey

Where We've Been

- Agency file plan was insufficient
- Documents sorted randomly
  - Name
  - Subject
  - Alphabetical
  - Numerical
- No consistency between offices

Where We've Been (Cont'd)

- Records retention
  - Many schedules were outdated
  - Records destroyed unlawfully
    - Office Relocation
    - Changing Desks
    - Deleting e-mails
- Record Transfers
  - Various series are intermingled
  - Majority of transfers were submitted under an incorrect disposition schedules

Where We've Been (Cont'd)

- Records Management handbooks were not available

- No electronic records management program

- Guidance regarding Personal Identifiable Information (PII) and proper shredding techniques were inadequate

- Litigation holds had a negative affect on agency records

- Inadequate number of record management staff

Where We Are Today

- Obtain Agency Leadership endorsement
- Secured funding from Chief Information Officer
- Entered into Target Assistance Program with NARA
- Building a comprehensive and proactive Records Management program
- Identified agency roles and responsibilities
- Building tools, resources, skills and a vital network
  - Identified key players
  - Created an agency website
  - Created a transfer handbook
  - Created a records management tri-fold
  - Created a records management handbook
- Establishing consistency between offices

Where We Are Today (Cont'd)

- Completed risk analysis
- Determined business process should define how records are sorted
- Used records inventory process to create a detailed file plan
- Created and submitted new record schedules
- Revised outdated record schedules
- Established a electronic records management program

Where We Are Today (Cont'd)

- Completed records management training for all Product Management employees
- Working with NARA representative to complete the agencies electronic records scheduling
- Established Litigation hold notification policy
- New PII policy implemented
- Determining agency vital records and ensure records incorporated in emergency disaster plan

Electronic Records Management

- Manages
  - Paper Records
  - Emails
  - Instant Messages
  - PC Files
- Characteristics
  - Reliability
  - Authenticity
  - Integrity
  - Usability

Electronic Records Requirements

- The following requirements are essential for our recordkeeping system
  - Creation
  - Metadata
  - Maintenance
  - Disposition

Future Of The Agency's Electronic Records Program

- Electronic records management SharePoint implementation

  - Product Management

  - Insurance Services

  - Compliance

  - Office of the Administrator

- Estimated completion December 2009

Where We Are Going

- Complete employee training
- Complete electronic records scheduling

Questions and Answers