



DHPS|NY

DOCUMENTARY HERITAGE  
& PRESERVATION SERVICES  
*FOR NEW YORK*

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# Agenda

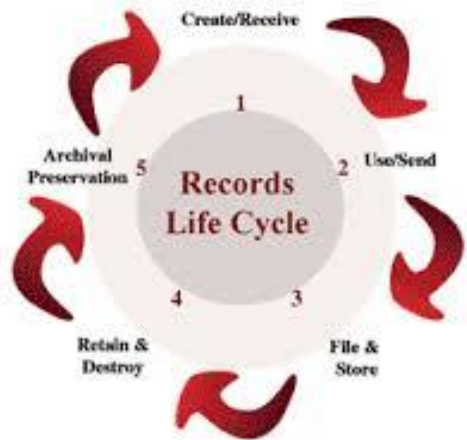




# Essential Terms

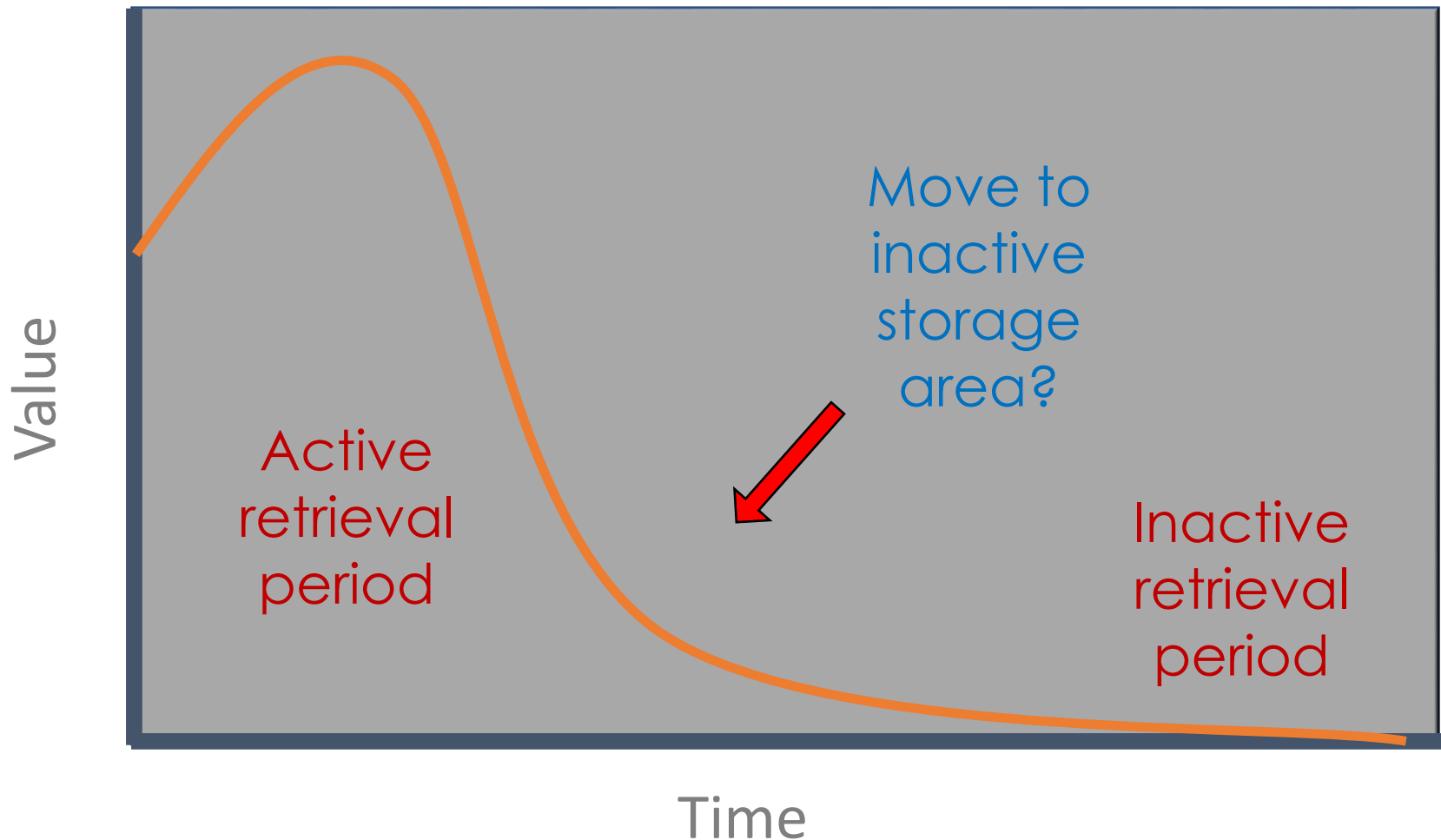
- Record
  - Recorded information created or received
- Record series
  - Records of like function
- Records management
  - Control of records through life cycle
- Records Manager
  - Person responsible for meeting RM program goals

# The Records Lifecycle



- Basic Steps
  - Creation
  - Active Use
  - Inactive Use
  - Disposition

# Active vs Inactive Records



# Archive v Record

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- An archival record is a record with a permanent retention
  - Secondary Value v Primary Value
  - Preservation v Disposition
  - Archivist focuses on researcher, records manager on staff
  - Both focused on access

# Managing Records

- Records management
  - Pertains to all records, regardless of format
  - Occurs throughout their lifecycle
  - Involves more than just a “Records Manager”

# Why Records Management is Essential



Ensures compliance



Protects a valuable  
asset (The Records!)



Reduces risk



Promotes  
institutional  
accountability



Saves time and  
money



# Legal Compliance

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- Ensure compliance with federal and state laws
  - Employment Laws
  - Safety Regulations
  - HIPAA, and FRCP
- Individual and corporate responsibility
  - Ensure compliance with institutional policies

# Importance and Value

## Administrative

- Needed to be able to perform your job

## Fiscal

- Invoices, contracts, tax collection

## Legal

- Contracts and agreements, mandated reporting

## Historical

- Significant event, recording; Institutional memory

# Risk Reduction



- Protect organization and individual stakeholders
  - Litigation protection; lower risk; fine avoidance
  - Improves ability to respond to discovery requests

Documents  
government activity

Preserves citizens'  
rights

Creates institutional  
memory

Identifies essential  
records

- Via disaster management
- Ensuring business continuity

Preserves heritage

- Secondary value of records

Promotes Government  
Accountability

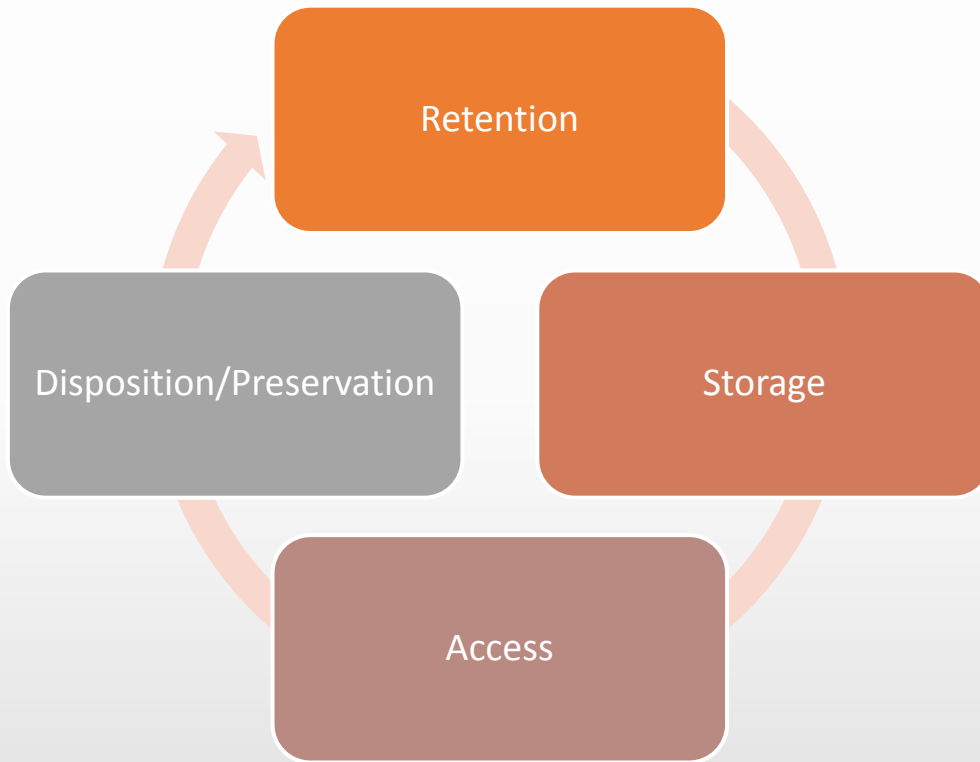
# Saves Time and Money

## Easier access

- Easier to find (less to search through)
- Easier to figure out what can be disposed
- Easier to manage
- Improved service to constituents via instant access

## Lower costs

- Less kept equals less space needed
- Reduces volume of records
- Improves efficiency



# Basic Program Elements

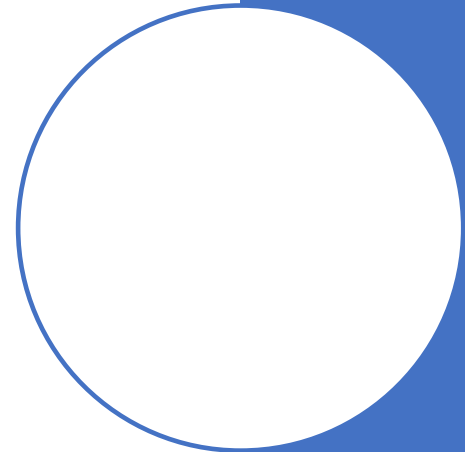


# Retention

RETENTION IS THE  
FOUNDATION OF A  
RECORDS MANAGEMENT  
PROGRAM

# Retention Schedules

Legal mandate setting a minimum amount of time you must retain a record





# Benefits of Retention Schedules

1

Saves money

2

Releases your organization from liability and costs

3

Provides legal protection for records disposition

- “Defensible Destruction”

# Electronic Records Retention



- **They don't take up space, why not just keep them all?**
- System performance
- Migration costs
- Liability and legal requirement to produce

## Implementing Retention



Record disposition dates on  
boxes/in data base/in ECM



Scheduled annual dispositions  
(Early January)



Create office schedules



Staff training

# Storage

- Secure
- Well organized
- Environmentally stable



# Secure



- Paper
  - Locked doors
  - Limited access to keys
  - Sign out system
  - Fire resistant materials
  - Security cameras, sprinkler system

# Well organized



- Use the right equipment
  - Lateral filing cabinets or shelving for active records
  - 18 gauge 42x16 steel shelving for inactive records
  - Use one cubic storage boxes that are clearly labeled
  - Track boxes with a database

# Environmentally Stable



- Temperature between 65 and 72 degrees
- Humidity between 40% and 55%
- Good air circulation
- Avoid sunlight

# Access

01

You should be able to find a record within 3 minutes (paper records)

02

Keep an up-to-date inventory with records location

03

Have a clear, easy to use filing system

04

Index certain records (use a database)

- Minutes
- Vital records
- Student files

05

Reformat some paper records to digital images



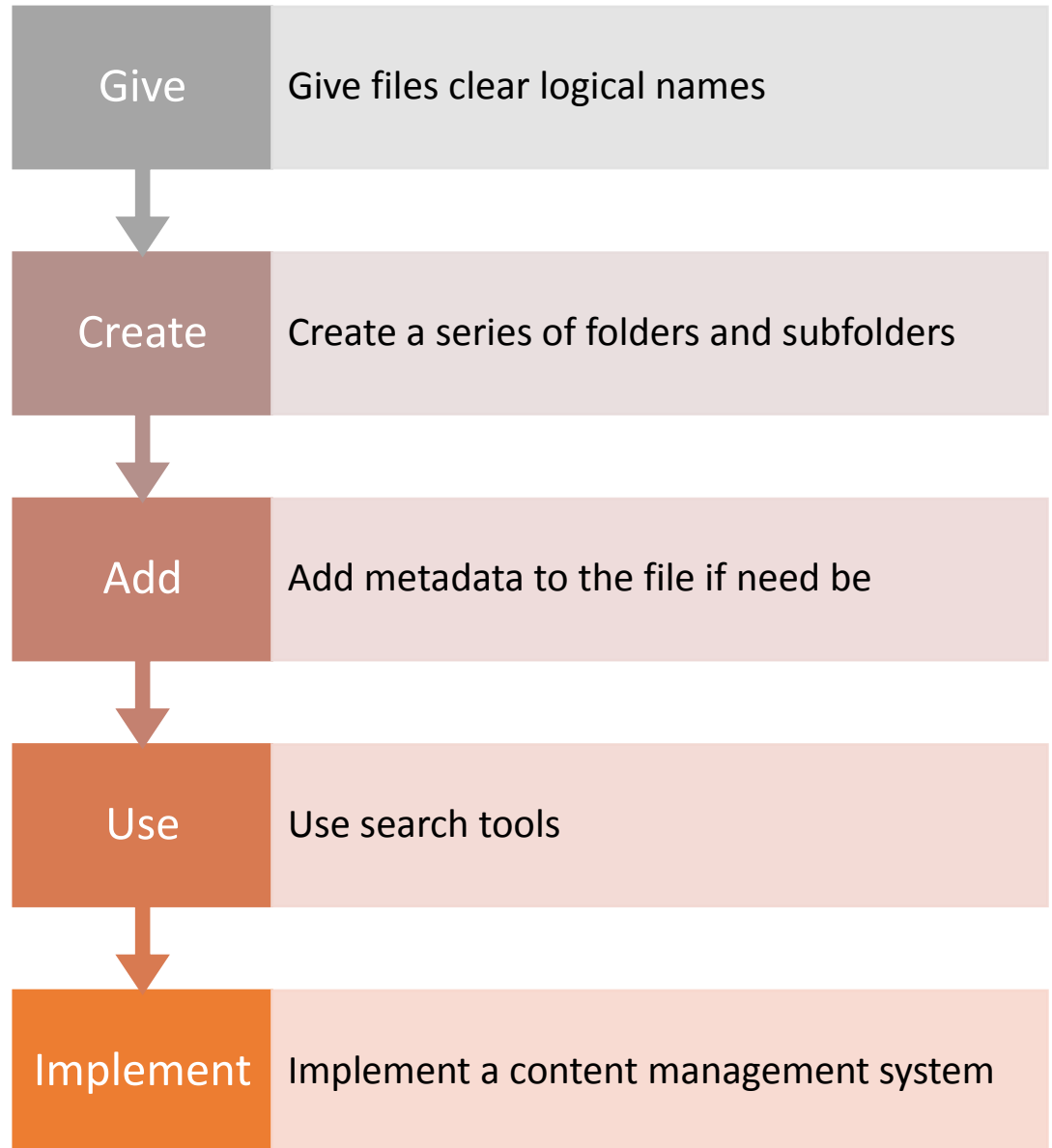
The background of the slide features several thin, curved lines in shades of gray, some solid and some dashed, creating a modern, abstract design. On the left side, there is a blue graphic element consisting of a horizontal bar and a larger square below it, with a small triangular pointer at the bottom center.

## File Plan

- Administrative (ADM)
  - Agreements
    - Property Leases
    - Engineer Contracts

## Access

Make sure to  
organize and  
index your  
electronic  
records



# Disposition



- Always document all records destruction
- Paper
  - Shred
  - Recycle
- Electronic
  - Don't just hit the delete button
  - Use software to wipe the hard drive
  - Degauzing
  - Physically destroy removable media

- Permanent records should be created on a stable medium
- Stored in climate controlled storage area (archival vault)
- Reformat to microfilm as a backup
- Have a migration plan for electronic records

Preservation

# The Basic Steps in Program Development

## Records inventory

- Records management plan
- Office schedules

## Inactive records storage facility

## Files management

## Electronic records issues

- Digitizing
- ECM implementation

## Archival program

# Standard Inventory Worksheet

See instructions in Publication #76, *Inventory and Planning*, before completing this form.

1a. GOVERNMENT/AGENCY		1b. DEPARTMENT/UNIT	
2. RECORDS SERIES TITLE			
3. DATE SPAN			
4. RECORDS SERIES DESCRIPTION (Describe content and characteristics of records)			
5. ARRANGEMENT <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Alphanumeric <input type="checkbox"/> Other (Specify):			
6a. RETENTION <input type="checkbox"/> Not scheduled <input type="checkbox"/> Permanent <input type="checkbox"/> Appraise for historical value <input type="checkbox"/> Scheduled retention:			
6b. SCHEDULE AND ITEM NUMBER, OR REASON FOR PROPOSED RETENTION			
7. LOCATION			
8. FORMAT <input type="checkbox"/> Paper <input type="checkbox"/> Audiovisual <input type="checkbox"/> Micrographic <input type="checkbox"/> Electronic			
9. TOTAL QUANTITY (In cubic feet <i>or</i> number of items):		Type of items:	
<input type="checkbox"/> Cubic feet:		<input type="checkbox"/> Items:	
10. ANNUAL ACCUMULATION (In cubic feet <i>or</i> number of items):			
<input type="checkbox"/> Cubic feet:		<input type="checkbox"/> Items:	
11. FREQUENCY OF USE: <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Seldom <input type="checkbox"/> Never			
12. RESTRICTIONS ON USE			
RECORDS ARE 13. <input type="checkbox"/> IN POOR CONDITION 14. <input type="checkbox"/> VITAL (Essential to operations) 15. <input type="checkbox"/> OFFICIAL COPIES			
16a. NAME OF PERSON COMPLETING FORM		16b. DATE	

# Preparing a Records Management Plan

- Create to guide development of program
- Use formal or informal analysis
- Include both short- and long-term goals
- Focus on one area or organization-wide
- Use to keep program development on track



1

Year 1: Set up a  
Records storage  
area

2

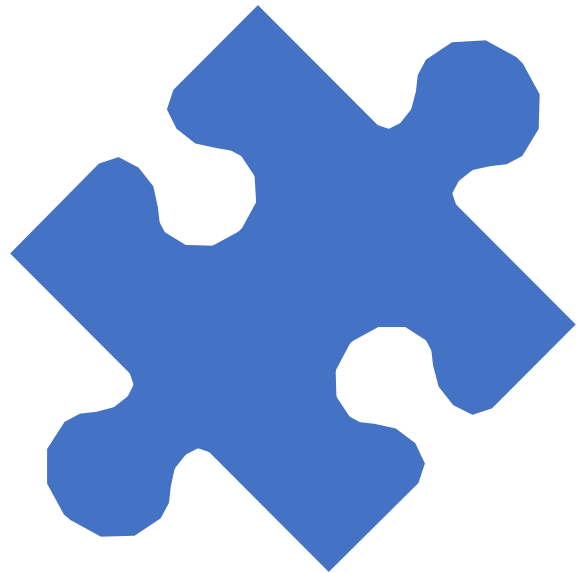
Year 2: Digitize  
frequently used  
records starting  
with Payroll  
Records

3

Year 3: Create a  
plan for managing  
email.

## Sample Records Management Plan





Putting it all  
together:  
policies and  
procedures



## **Policy = What**

General rule to be followed

Desired outcome that is broad in scope

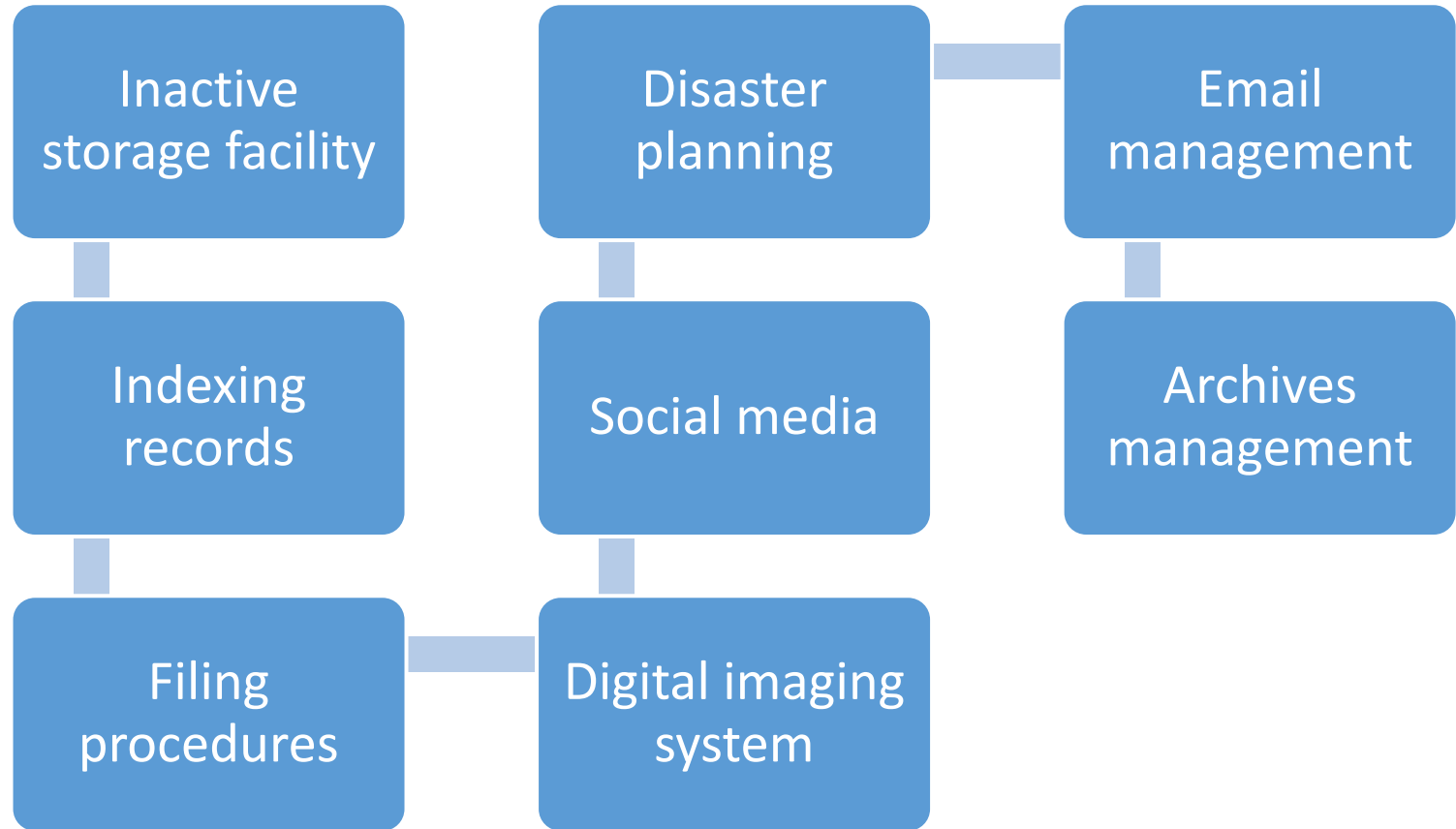


## **Procedure = How**

Specific action or established method for reaching desired outcome

Detailed, precise in scope

Policy vs. Procedure



Develop for each aspect of your program



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## *Questions?*

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