



Thank you for attending the Twin Cities ARMA chapter meeting. We all know that the world of RIM is constantly changing. To help you get the most out of your Twin Cities ARMA Chapter monthly meetings, we have put together this document full of resources, tips, as well as an overview of the information that was shared at this month's meeting.

Records Management and Compliance Issues

Presented by:

Lynnette Downing, CRM

Cathy Beil

Alan Lybeck, CRM

Focus

In the Twin Cities ARMA chapter meeting, we participated in a panel discussion lead by three fellow TC ARMA members to gain an understanding of how each organizations RIM Program functions within the organization.

Key Points

Understand how the RIM Program fits and is viewed within your organization.

Planning for the Future

Ask these questions about your RIM Program to help determine where it fits and is viewed within your organization:

Where does the Records Manager role fit into your organization?

- Where the Records Management position is housed within your organization will effect how the position is received in the work environment.
 - Compliance Department can have the effect of authority.
 - Legal and IT understanding the role of the Records Manager can help ensure compliance.
- As a key player in the success of the RIM Program at your organization, remember to wear different hats. Understand the many different roles within your organization. Find different ways to help user's comply with the RIM Program polies and procedures.

How does your RIM Program work?

- What systems are being used?
 - Purchase products to assist with compliance.
- How do those systems assist with the RIM Program's goals?
 - Auto assigns retention lengths?
 - Clearly identify retention buckets/individual codes?
 - Identifies destruction eligibility as the records and information become obsolete.
- Audit Management

How do the users, use the RIM Program?

- Are they aware of the RIM Program?
 - Add web pages about the program to the organizations intranet or other web based tools.
- Is the RIM Program transparent?
- Do they understand who are the key players?
 - Lynnette Downing found that if the user's didn't know the Records Manager, they didn't feel as if they were doing someone else's job by complying with the policies/procedures.

Are the policies easy to understand?

- Do any of the policies conflict with others?
- Is there a code of conduct policy at your organization? Can the RIM Program policies be incorporated into that policy?
 - All employees must review the code of conduct policy, if the RIM Program policies are tied to the code of conduct, it becomes an easier vehicle to use to get information about the RIM Policies out to the general population of the organization.
- Can the polices be simplified so that the average user can comprehend and easily comply?
 - Avoid adding to much detail. This is confusing and tends to waste people's time with information they may be unable to retain.
 - Understand that the policies should bring the procedures and the systems together.
- Does upper management buy into the the RIM Program?
 - Do they assist with the "trickle down" effect of enforcing the policies?
- Is the organization able to add compliance with the polices to the annual employee review process?
 - Add Records Management to the employee's job description.
 - Audits will help define where individuals and departments are within the compliance of the policy.
 - Align audits with the department's clean up days.

Risk Assessment

- Determine the risk within in your RIM Program.
 - E-Discovery Costs
 - Personal use devices
 - Outdated:
 1. Systems
 2. Polices/Procedures
 3. Records and Information stored
- Understand that the RIM Program cannot stop everything, balance the risk accordingly.

Change Management

- Determine when change is necessary.
 - Review the department's work flow
 - Is it efficient
 - Is it a law
- Only involve those that need to know.
 - Most user's do not want to learn a new program and/or procedure even if it is easier than the previous one.
 - Set expectations, explain what people need to do.

Training

- Conduct training on the individuals that need to know.
- Avoid giving too much information in training.
- Train individuals on policies via e-mail
 - Meeting in person to read a policy can be a waste of an individual's time. Consider what that person needs to retain vs what is nice to know.

Resources

- 7 Keys to Information Management Compliance, second Ed. by: Randolph A. Kahn & Blair Barclay
- ARMA International Online: <http://www.arma.org/>
- Code of Professional Responsibility, <http://www.arma.org/about/overview/ethics.cfm>
- GARP – Generally Accepted Recordkeeping Principles, <http://www.arma.org/garp/>
- GARP Maturity Model <http://www.arma.org/garp/metrics.cfm>
- Standards and Best Practices, <http://www.arma.org/standards/index.cfm>
- RIM Fundamentals, <http://www.arma.org/rim/fundamentals/index.cfm>
- RIM 101, <http://www.arma.org/rim/101/index.cfm>
- TC ARMA Chapter Library, http://www.twincitiesarma.org/atcwff_014.htm

Stay connected with your Twin Cities Chapter resources. Please visit the chapter website at <http://www.twincitiesarma.org/home.html> .

In addition save the date for our monthly meeting educational topics. Follow this link for a preview of what to expect this program year. http://www.twincitiesarma.org/linked/program_summary.pdf

CRM Credits

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Sincerely,

Your Twin Cities ARMA Program Committee