Establishing Policies and Procedures for a Records Management Program

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Policy vs. Procedure

- Policy = What
  - General rule
  - Broad in scope
- Procedure = How
  - Specific action or established method
  - Detailed, precise, in scope

How to Write Policies and Procedures: Step I

- Identify the broad policy

  IV.2 Fire Prevention and Suppression:

  "We will use a system of levels of fire protection to protect our records"

How to Write Polices and Procedures: Step II

- Determine procedures to implement policy
  - Document procedures already in place
  - Document procedures you need or are developing
  - Break each procedure into steps
  - Individual procedures form a complete policy

How to Write Policies and Procedures: Step III

- Tailor policy to your situation
- Write steps one at a time
- Ensure the steps fit together
- Assign responsibility
- Review for accuracy
- Have others read for clarity

Two Categories of Policies and Procedures

- Category #1:
  - Addressing "Traditional" Records Management Activities
- Category #2:
  - Addressing the Management of Electronic Records

Policies Covering "Traditional" Records Management Activities

- Managing the Transfer of records
- Responding to requests for records
- Disposing of records

Policies Covering the Transfer of Records to the Records Center

- Use of standard records storage boxes
- Completing a records inventory sheet
- Completing a records transfer sheet

Use of standard records storage boxes

- Use of one-cubic-foot boxes
  - 10 ½"x 12"x15"
  - Stores standard documents one way
  - Stores legal documents the other way
  - Should store efficiently on standard shelving

Policies Covering the Transfer of Records to the Records Center

Completing RM Inventory Sheet

Date: 1

Records Management Inventory Sheet

Title of Record	Inclusive Dates	Location	Disposed Jan.
2	3	4	5

(form updated 1/27/84)

Office of Origin: 6

7 State Archives Retention/Disposition Requirements:

Completed by: 8

Date: 1

Records Management Inventory Sheet

Title of Record	Inclusive Dates	Location	Disposed Jan.
2	3	4	5

(form updated 1/27/84)

Office of Origin: 6

State Archives Retention/Disposition Requirements: 7

Completed by: 8

Completing a RM Inventory Sheet

Item #1- Date
Item #2 – Title of records
Item #3 – Inclusive dates
Item #4 – Location
Item #5 – Disposed Jan.
Item #6 – Office of origin
Item #7 – NEW YORK STATE ARCHIVES retention /disposition
Items #8 – Completed by

Date: 12/15/08

Records Management Inventory Sheet

Title of Record	Inclusive Dates	Location Box or Shelf	Disposed Jan.
Vouchers	2008	10	

(form updated 6/15/10)

Office of Origin: Bookkeeper

New York State Archives Retention/Disposition Requirements:
#??? – 6 Years

Completed by: JMT

Policies Covering the Transfer of Records to the Records Center

Completing a Records Transfer Sheet

Date: 1

START HERE!

RECORDS TRANSFER SHEET

Title	Inclusive Dates
2	3

New York State Archives Retention/Disposition Schedule Requirements:

4

Office of Origin: 5

Records Transferred to: 6

Volume: 7 cu. Ft. Records on Microfilm: 8 Y ___N

Authorizing Signatures:

Transfer Authorized By: 9 Date: _____

Transfer Received By (RMO): 10 Date: _____

Completed by: 11

(updated 6/10/10)

9

Date: 1

START HERE!

RECORDS TRANSFER SHEET

Title	Inclusive Dates
2	3

New York State Archives Retention/Disposition Schedule Requirements:

4

Office of Origin: 5

Records Transferred to: 6

Volume: 7 cu. Ft. Records on Microfilm: 8 Y ___N

Authorizing Signatures:

Transfer Authorized By: 9 Date: _____

Transfer Received By (RMO): 10 Date: _____

Completed by: 11

(updated 6/10/10)

Completing a Records Transfer Sheet

Item #1- Date
Item #2 – Title of records
Item #3 – Inclusive dates
Item #4 – NEW YORK STATE ARCHIVES retention /disposition
Item #5 – Office of origin
Item #6 – Records transferred to
Items #8 – Records on microfilm
Item #9 – Transfer authorized by
Item #10 – Records received by
Item #11 - Completed by

Date: 12/15/09

RECORDS TRANSFER SHEET

Title	Inclusive Dates
Check Register	2007

New York State Archives Retention/Disposition Schedule Requirements:
(224) 10 Years

Office of Origin: Bookkeeper

Records Transferred to: Records Center

Volume: .40 cu. Ft. Records on Microfilm: ___Y XX N

Authorizing Signatures:

Transfer Authorized By: John Brown Date: 1/10/06

Transfer Received By (RMO): Michele Smith Date: 1/12/06

(updated 6/10/10)

Policies for responding to requests for records

- From the records center/vault, etc.
- Usually an internal request
- Establish standard deadline for response

Policies for responding to requests for records

Completing Request for Records Form

Town of Bergen

REQUEST FOR RECORDS

1

Record(s) _____

_____

2

_____

3

Requested by: _____

4

Date of Request: _____

Location: _____

5

Above Record(s) have been received: _____
(Person receiving record) 6

Above record(s) have been returned: _____
(RMO)

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Town of Bergen

REQUEST FOR RECORDS

1

Record(s) _____

_____

2

_____

3

Requested by: _____

4

Date of Request: _____

Location: _____

5

Above Record(s) have been received: _____
(Person receiving record)

6

Above record(s) have been returned: _____
(RMO)

Town of Bergen

REQUEST FOR RECORDS

Record(s) 2008 Assessment Rolls

Requested by: Town Assesosr.

Date of Request: 5/1/09

Location: shelf 7 in vault

Above Record(s) have been received: John Brown
(Person receiving record)

Above record(s) have been returned: Michele Smith
(RMO)

Updated 6/10/10

Policies for disposing of records

- Use of a disposition of records form
- To document what was disposed of, when and why
- To “protect” you!

Policies for disposing of records

Use of a disposition of records form

Date: _____

DISPOSITION OF RECORDS

Title	Inclusive Dates	Dispose of

New York State Archives Retention/Disposition Schedule Requirements:

_____

Office of Origin: _____

Volume: _____ cu. Ft. Records on Film: ___

Authorizing Signatures:

Department head:_____

Town Clerk/RMO: _____

Date: _____

DISPOSITION OF RECORDS

Title	Inclusive Dates	Dispose of

New York State Archives Retention/Disposition Schedule Requirements:
_____

Office of Origin: _____

Volume: _____ cu. Ft. Records on Film: ___

Authorizing Signatures:

Department head:_____

Town Clerk/RMO: _____

Policies for disposing of records

Use of a Disposition of Records Form

Item #1- Date
Item #2 – Title of records
Item #3 – Inclusive dates
Item #4 – Dispose of
Item #5 – NYS Archives Retention/Disposition Requirements
Item #6 – Office of origin
Items #7 – Volume
Item #8 – Records on film
Item #9 – Department head signature
Item #10 – RMO signature

Date: _____

DISPOSITION OF RECORDS

Title	Inclusive Dates	Dispose of
Vouchers	2000	12/18/83

New York State Archives Retention/Disposition Schedule Requirements: (240) 6 Years after end of fiscal year in which payment was made

Office of Origin: Bookkeeper

Volume: 1 cu. Ft. Records on Film: No

Authorizing Signatures:

Department head: Joe Jones

Town Clerk/RMO: Miche Smith

Policies for managing Electronic records

- Based on Town of Batavia Manual
  - Standard Operating Procedure Manual
    - *For a ECMS*
  - Produced in 2010!
    - *Little dated*

A Review of Sections of the Batavia SOP for it's ECMS

- Selective Review
  - Sections illustrating policies and procedures for eRecords
    - *Introduction*
    - *Guidelines for using the manual*
    - *eRecords Filing Plan*
    - *Training*
    - *Security Issues*
    - *Records Creation Issues*

A Review of Sections of the Batavia SOP for it's ECMS

Section 1: Introduction

- Explain the reasons for the policies and procedures
- Explain how policies and procedures were arrived at
- Incorporate the policies and procedures into a manual

A Review of Sections of the Batavia SOP for it's ECMS

Section 2: Guidelines for Using the Manual

- Reinforce upper-management support for policies
- "Getting around" the manual
- State where to go for more information

A Review of Sections of the Batavia SOP for it's ECMS

Section 3: The Electronic Records Filing Plan

- Strive for consistency
- Base the filing plan on business needs
- Keep it simple

Section 4: Training

- Helps ensure authenticity and legality
- Require *initial* training
- Require *upgrades* training

Section 5: Security Issues

- Physical security measures
- Technical security measures
- Backing up eRecords

A Review of Sections of the Batavia SOP for it's ECMS

Section 8: Records Creation Issues

- Document Preparation
- Image capture
- Indexing electronic records
- Filing electronic records

Thank you!

Questions?

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