



RIM Fundamentals

ARMA RIM 101

Importance of Information

By John Naisbitt, Megatrends Magazine

- Information society - source of power not money in hands of a few but information in hands of many
- Information economy - value increased not by labor but by knowledge
- Value of information is directly related to its accessibility

Records and Information Management

- The efficient and systematic control of all records from their creation or receipt, through their processing, distribution, organization, storage, and retrieval to their ultimate disposition.

Objectives of a RIM Program

- Furnish accurate, timely, and complete information
- Process information efficiently
- Provide information at lowest possible cost
- Render maximum service
- Dispose of records no longer needed

Elements of a RIM Program

- Support from Administration
 - Gain support of management
 - Strategic plan for RIM improvement
 - Clear vision for RIM
 - Delineation of short and long-term goals
 - Integration of documents, files and records with information systems
 - Empower all to seek “continuous improvement”

Elements of a RIM Program

continued

- Program Development
 - Management and staffing
 - Placement of Program
 - Policy Statement
 - Advisory Committee

Elements of a RIM Program

continued

- Life Cycle Management
 - Creation
 - Distribution and use
 - Storage and maintenance
 - Retention and disposition
 - Archival preservation

Elements of a RIM Program

continued

- Records Inventory
 - Complete and accurate survey of file contents
 - To evaluate, appraise, and organize
- Retention Schedules
 - A comprehensive list of records series, indicating for each the length of time it is to be maintained and its disposition

Elements of a RIM Program

continued

- Training
- Disposition Management
 - Final action with regard to destruction, transfer to archives, or permanent preservation
 - Policy and procedures

Elements of a RIM Program

continued

- Monitoring
- Vital Records
 - Fundamental to functioning
 - Necessary to continue operations in event of disaster

Elements of a RIM Program

continued

- Disaster Planning and Recovery
 - Ensures the continued viability of the organization and the businesses it operates
 - Advance planning and preparations
 - Vital records and information protection one of key elements

Elements of a RIM Program

continued

- Marketing
 - Ensures the organization is aware of your program and services
 - Ensures resources are available to staff to ensure
 - Report progress and barriers to management

10 Business Reasons for RIM

1. Control of Creation and Growth
 - Creation-control
 - Records retention
2. Reduce Operating Costs
 - In office vs. offsite storage
3. Improve Efficiency and Productivity

10 Business Reasons for RIM

continued

4. Assimilate New RM Technologies
5. Ensure Regulatory Compliance
 - RM program responsible for regulatory compliance
 - Work closely with organization's legal department

10 Business Reasons for RIM

continued

6. Minimize Litigation Risks
 - Reduce liabilities associated with disposal
7. Safeguard Vital Information
 - Disaster prevention and recovery
8. Support Better Management Decision Making

10 Business Reasons for RIM

continued

9. Preserve Corporate/Organization Memory
 - Historical Files
 - Irreplaceable asset
10. Foster Professionalism in Running the Business

Laws and Regulations

- Federal Statutes
 - Sarbanes Oxley
 - Federal Rules of Civil Procedures Rule #26
 - IRS Revenue Bulletins
 - HIPAA
- State statutes
 - Texas Government Code 441.180
 - Local Government Records Act
 - Public Information Act

Standards and Best Practices

File Classification Systems

- Classification system
 - A logical and systematic arrangement for classifying records into subject groups or categories based on some definite scheme of natural relationships representing number, letters, or key words for identification

Standards and Best Practices

Objectives of File Classification

- To provide:
 - Overall view of information
 - Listing or data bank
 - Critical path
 - Uniformity
 - Method of flagging
 - Listing by type
 - Continuity

Standards and Best Practices Principles of File Classification

- Logic – major to minor
- Standardization
- Practicality
- Simplicity
- Functionality
- Retention
- Mutual Exclusivity
- Flexibility
- Perspective

Standards and Best Practices

Filing Systems

- The systematic indexing and arrangement of records based on established procedures, supplies, and housing
- Type of filing systems
 - Alphabetic, Subject Filing
 - Numeric, Alphanumeric

Standards and Best Practices

Filing Systems

- Objectives
 - Retrieval of Information
 - Identify and preserve set order
 - Establish common titles
- File Plan – specifies order of files, arrangement by which documents identified, stored and retrieved

Standards and Best Practices

Building Relationships

- Establish network
 - Set up a RIM Team
 - Member from each division/department
 - All levels within organization
 - Build relationships with
 - Information Technology
 - Legal
 - Audit/Compliance

Functions Related to RIM

- Forms Management
 - Standards for:
 - Creation
 - Design
 - Analysis
 - Revision
 - Procurement
 - Warehousing

Functions Related to RIM continued

- Archives Management
 - Preservation of existence, operations, and functions
 - Acquire, preserve, and make available records having permanent business, research or historical value

Functions Related to RIM continued

- Enterprise Content Management (ECM)
 - Technologies, strategies, methods and tools used to:
 - Capture
 - Manage
 - Store
 - Preserve
 - Deliver
 - Allow management of unstructured information

Functions Related to RIM continued

- E-mail Management & E-mail Archiving.
 - Electronic message management policies, procedures, and practices should lead to preserving declared electronic records with the characteristics of authenticity, reliability, integrity, and usability.

Challenges for RIM

- Programs do not generate income
- Not the organization's primary business
- Programs are usually discretionary

Benefits of a RIM Program

- Maintain accountability to customer
- Accurately document business
- Reduce cost
- Maintain control of records
- Identification and protection
- Reduce liability
- Ensure compliance

Resources

- ARMA International
- ARMA Austin Chapter
- TSL
- List Serve

Summary

- Obtain management support
- Develop a policy
- Identify responsible staff
- Create a team
- Develop a plan for implementation
- Monitor
- Report progress
- Use the local resources

Questions

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