



KNOW YOUR AUDIENCE

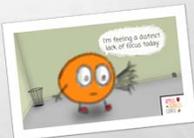
- CITY RECORDERS
- COUNTY RECORDERS
- RECORD MANAGERS
 - SCHOOL DISTRICTS
 - SPECIAL SERVICE DISTRICTS
 - STATE ENTITIES
- ELECTED OFFICIALS, CITY MANAGERS, OR ATTORNEYS





FOCUS OF OUR DISCUSSION

- VITAL ROLE OF RECORDS OFFICERS IN MANAGING GOVERNMENT RECORDS
- HOW TO GAIN ADMINISTRATIVE SUPPORT FOR RECORDS MANAGEMENT.



VITAL ROLE OF RECORDS OFFICERS IN MANAGING GOVERNMENT RECORDS

- ACT AS THE HISTORIAN FOR THE CITY
 - NEW EMPLOYEES, PARTICULARLY NEW CITY MANAGERS, APPRECIATE AND NEED ACCURATE RECORDKEEPING
- IMPORTANT TO BE ABLE TO ACCESS AND RETRIEVE RELEVANT INFORMATION IN A TIMELY MANNER FOR INTERNAL USE AND GRAMA REQUESTS
- NAVIGATE THE COMPLICATED RULES AND REGULATIONS TO PROTECT THE CITY AND ITS RESIDENTS

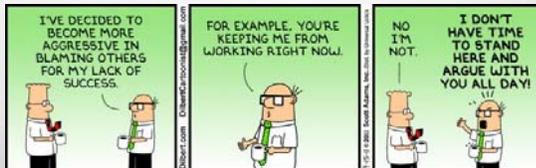


WHAT ARE THE NEGATIVE IMPACTS?

- FINANCIAL LOSS
- LOST OPPORTUNITY
- LITIGATION/AUDIT/INVESTIGATION
- SYSTEM REPAIR/RECOVERY COSTS
- CUSTOMER INCONVENIENCE
- LOST TIME/PRODUCTIVITY
- PUBLIC EMBARRASSMENT OR SCRUTINY



WHO IS AT FAULT?



HOW TO MITIGATE RISK?

- SELECT APPROPRIATE RECORDKEEPING SYSTEM
- POLICIES, PROCEDURES, DOCUMENTATION
- SECURITY (INAPPROPRIATE USE OR ALTERATION, PROTECT PRIVATE INFORMATION)
- SYSTEM BACKUP
- REDUNDANCY
- DISASTER PLAN
- IMPLEMENT RETENTION ROUTINELY IN ACCORDANCE WITH APPROVED SCHEDULE
- MAINTAIN PROPER STORAGE CONDITIONS



THE TRAP



- LITIGATION STRATEGY UTILIZED BY LAWYERS

"WE WRITE THEM A LETTER ADVISING THEM WE ARE CONSIDERING LITIGATION, SENDING IT TO THE LOWEST LEVEL PERSON IN THE LEGAL GROUP. WE KNOW IT WILL TAKE AT LEAST A MONTH FOR THIS LETTER TO BUBBLE UP. AFTER 120 DAYS WE ACTUALLY FILE THE SUIT. OUR FIRST ACTION IS TO DISCOVER EMAIL, FOCUSING ON FINDING THE EMAIL THAT WE CREATED WHEN THE INITIAL LETTER WAS SENT. TYPICALLY, THESE HAVE NOT BEEN SAVED, AND THE BACKUP TAPES HAVE ALREADY BEEN ROTATED. WE IMMEDIATELY PRESS FOR A SUMMARY JUDGMENT BASED ON DESTRUCTION OF EVIDENCE."



HOW TO GAIN ADMINISTRATIVE SUPPORT FOR RECORDS MANAGEMENT?

- FROM YOUR PERSPECTIVE, HOW ARE CHIEF ADMINISTRATIVE OFFICERS BETTER ABLE TO FULLY SUPPORT YOUR ROLE AS RECORDS MANAGERS?
- WHAT CHALLENGES DO SOME OF YOU FACE WHEN FULFILLING YOUR ROLES AND RESPONSIBILITIES AS RECORDS MANAGERS?
- WHAT SUCCESSFUL EFFORTS HAVE SOME OF YOU IMPLEMENTED TO GAIN ADMINISTRATIVE SUPPORT?



WHO IS AT FAULT?

- EMPLOYER: DID NOT ESTABLISH POLICIES, AND DID NOT TRAIN EMPLOYEES ABOUT THE POLICIES – EMPLOYER IS AT FAULT
- EMPLOYEE: RECEIVED THE POLICIES AND THE TRAINING, BUT FAILED TO FOLLOW THEM – EMPLOYEE IS AT FAULT
- ATTORNEY: RECEIVED NOTIFICATION ABOUT LITIGATION, BUT FAILED TO NOTIFY CUSTODIANS OF THE EVIDENCE – ATTORNEY IS AT FAULT
- IT: DID NOT INVENTORY ASSETS AND ESTABLISH DATA MAINTENANCE POLICIES – IT IS AT FAULT



WHAT I NEED FROM A CITY RECORDER

- DISTRIBUTE SCHEDULES TO STAFF
 - PUBLISH AND MAKE AVAILABLE FOR EMPLOYEE ACCESS
 - BRIEF SUPERVISORS ABOUT THE IMPORTANCE OF FOLLOWING THE SCHEDULE, EXPECTATIONS AND CONSEQUENCES
- HAVE STAFF IDENTIFY ANY RECORDS THAT ARE NOT LISTED ON AN APPROVED SCHEDULE
 - CREATE AN AGENCY-SPECIFIC SCHEDULE APPROVED TO AUTHORIZE THEIR DESTRUCTION
- TRAINING: ENSURE ALL STAFF HAVE SOME BASIC AWARENESS OF THE RECORD RETENTION REQUIREMENTS RELEVANT TO THEIR JOB



- SEPARATE OFFICIAL RECORDS FROM NON-RECORDS
- SEPARATE PUBLIC RECORDS FROM PERSONAL RECORDS
- KEEP RECORDS THAT DOCUMENT A BUSINESS PROCESS TOGETHER
- ESTABLISH A ROUTINE FOR DESTROYING RECORDS THAT HAVE MET THEIR RETENTION PERIOD AS PART OF YOUR NORMAL COURSE OF BUSINESS
- MANAGE EMAIL DAILY
 - DON'T LET THE VOLUME OF EMAIL GET OUT OF CONTROL
 - DON'T EMPLOY AUTOMATIC PURGING ROUTINES
 - ANALYZE BACKUP SYSTEMS AND PROCEDURES



MOST IMPORTANTLY....



I NEED THE RECORDS MANAGER TO BE THE EXPERT AND CONTINUE TO ADVISE THE ADMINISTRATIVE STAFF ON ISSUES THAT COULD BE POTENTIALLY HARMFUL TO THE CITY. IF THE ADMINISTRATIVE STAFF CHOOSES TO IGNORE YOUR ADVISE, YOU HAVE FULFILLED YOUR JOB AND IT IS NOW ON THE SHOULDERS OF THE ADMINISTRATIVE STAFF AND LEGAL COUNSEL.





**KEEP CALM
AND FIND YOUR
RECORDS
MANAGER**



BRANT T. HANSON
CITY MANAGER
EPHRAIM CITY
(435) 283-4631
BRANT.HANSON@EPHRAIMCITY.ORG