

ROLES & RESPONSIBILITIES OF RECORDS MANAGER

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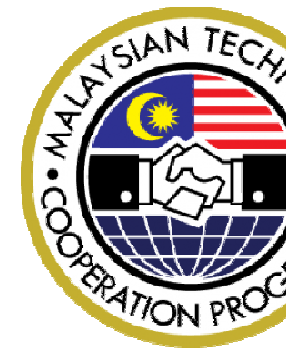


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**KEEP
CALM
AND
LISTEN TO A
RECORDS MANAGER**

INTRODUCTION

“Make your job easier and help your colleagues”

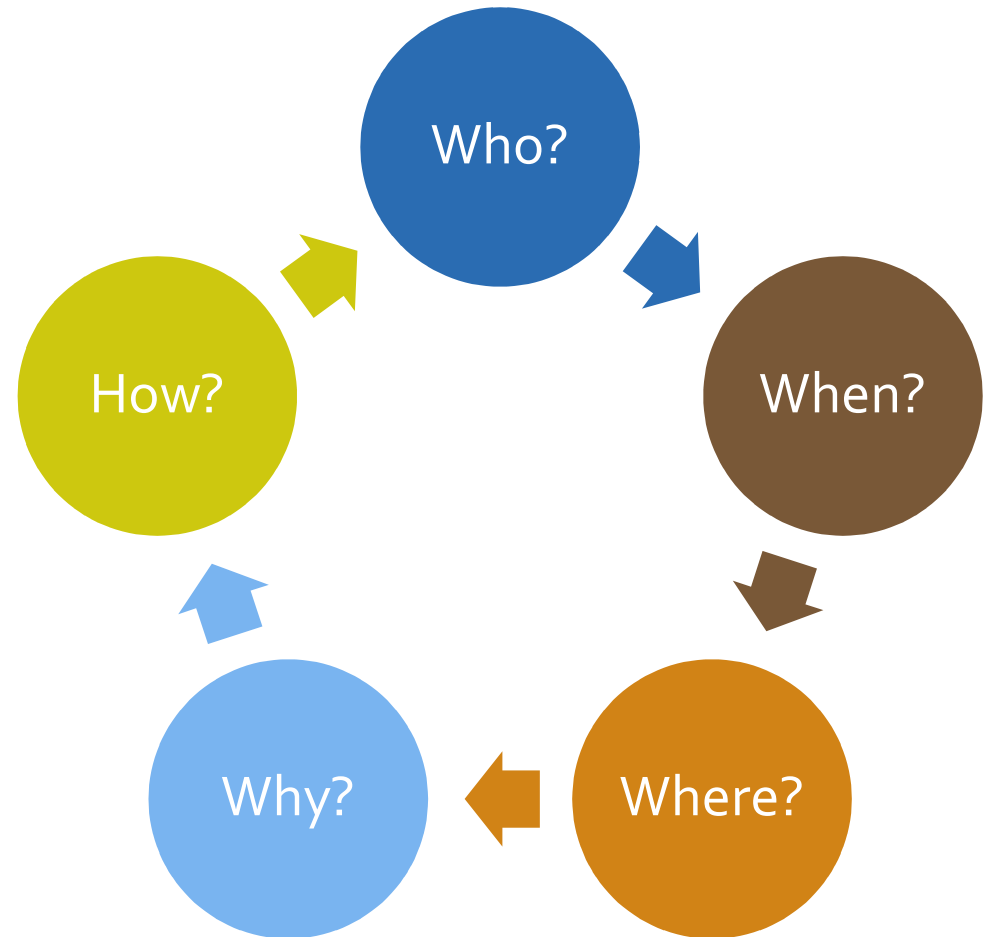


“Capture email where others can find and access it when required”



RECORDS MANAGER

- 4W's & 1H principle
- Understanding the existence of records manager
- Developing the roles and responsibilities for records manager



RECORDS MANAGER: WHO?

- The person who covers the management of records, regardless of age, to meet the needs of private and public sector organizations and wider society as well as the research community;
- They earn their place in the life of organization through their contribution to business aims and organization goals.



RECORDS MANAGER: WHEN?

- By the mid 20th century, records managers were employed by archival institutions in the public sector, with the aim of controlling the inflow of 'modern records' into historical archives.



RECORDS MANAGER: WHERE?

- Public Sector
- Private Sector
- Non Government Organizations (NGO)
- Charitable Organization / Non-Profit Organization
- Families



United Nations
Archives and Records Management Section

International Records Management Trust



RECORDS MANAGER: WHY?

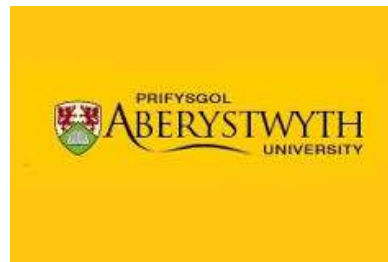
- To conduct business effectively
- To account for what has happened in the past
- To make decision about the future / support decisions making
- To provide evidence of actions and decisions
- To support accountability and transparency
- To comply with legal and regulatory obligations
- To protect the interest of staff, stakeholders and customers
- To maintain privacy and confidentiality



RECORDS MANAGER: HOW?

1st

- Experience Workers
 - Admin Clerk, Admin Officer, Temporary Worker
- Academic Qualifications
 - Short courses, Continuing Professional Development (CPD), Certificate/Diploma,
 - Bachelor Degree, Master Degree, PhD



RECORDS MANAGER: HOW?

2nd

- Professional Bodies / Associations
 - ARMA International, founded 1955, based in USA, member 27k, at <http://www.arma.org/>
 - Institute of Certified Records Manager (ICRM) , founded 1975, based in USA, at <http://www.icrm.org/>
 - Information and Records Management Society (IRMS), launched 1983, based in UK, at <http://www.irms.org.uk/>
 - Association of Commonwealth Archivist and Records Manager (ACARM) , founded 1984, based in UK, at <http://www.acarm.org/>
 - Association of Information and Image Management (AIIM), founded 1943, based in USA & UK, members 80k, at <http://www.aiim.org/>

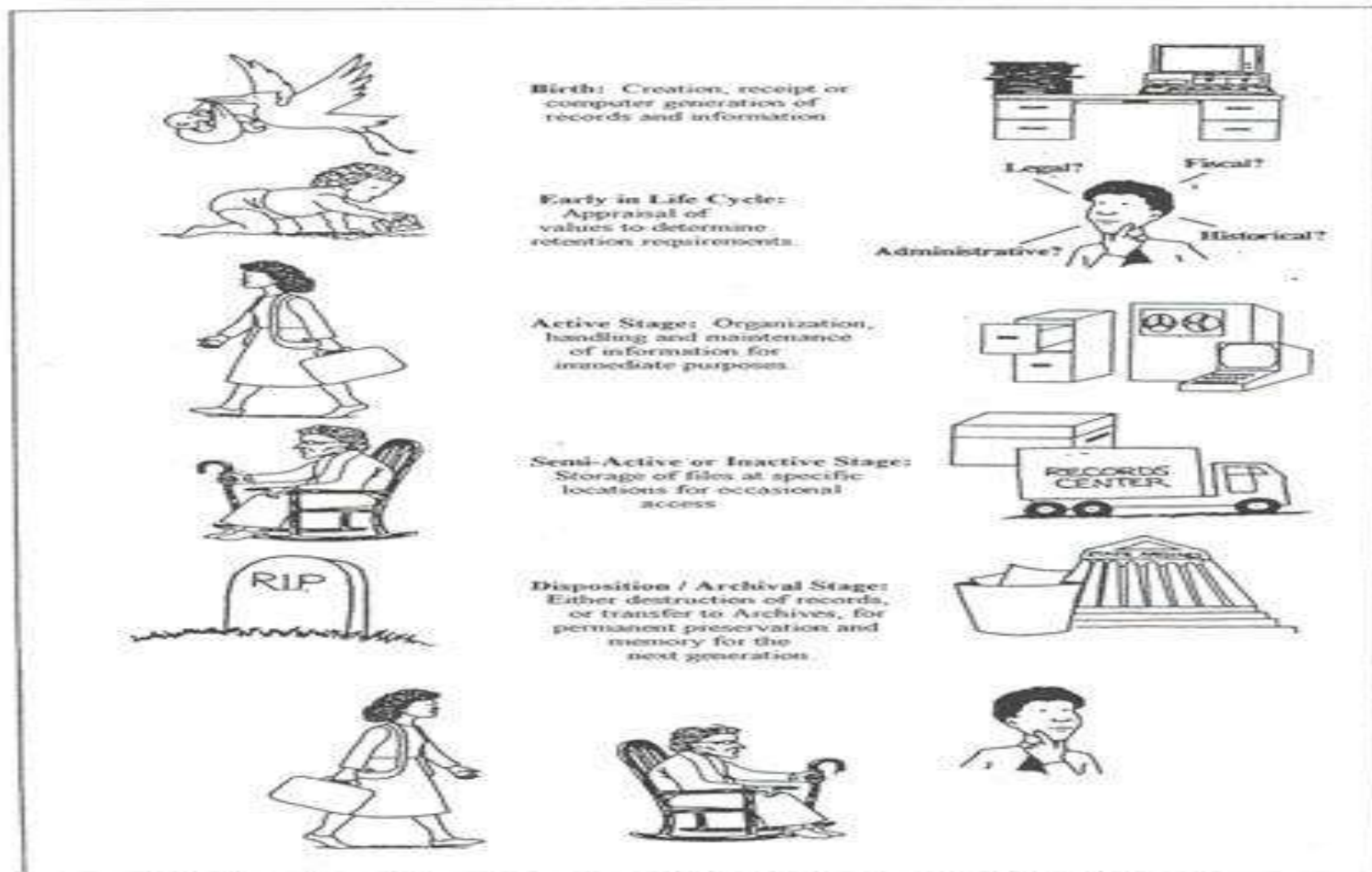


RECORDS MANAGER: ROLES AND RESPONSIBILITIES



RECORDS MANAGER: ROLES AND RESPONSIBILITIES

LIFE CYCLE OF RECORDS



Adapted from: State of Wisconsin, *Filing Systems* (Madison, 1991), as it appeared in Society of American Archivists, *Archival Fundamental Series, Appraising Archives and Manuscripts* (Chicago, 1993).

RECORDS MANAGER: ROLES AND RESPONSIBILITIES

- DEFINITION:

- Roles:

- * the function performed by someone or something in a particular situation or process
 - * proper or customary function

- Responsibilities:

- * a duty you have to do because it is part of your job or position
 - * the state or fact of being responsible, answerable, or accountable for something within one's power, control, or management

RECORDS MANAGER: ROLES

- Basic Roles:
 - Strategic coordination of information resources across the organizations (physical and digital formats)
 - Must be aware of what information is being created in the organizations
 - Where it is located
 - Managing access
 - Ensuring security
 - Providing practical advice to organizations staff
 - Training
 - Budgeting
 - Administrative Task

RECORDS MANAGER: ROLES

UC San Diego Records Manager Roles:

1. **Managers and supervisors** have responsibility as outlined in the [Handbook of Administrative Responsibilities](#) [Administrative Task]
2. **Record proprietors** determine which records will be created, gathered, and maintained, and produce records for audit and other purposes. Records proprietors may be the manager of an operational unit. For large enterprise records repositories or multiple record filing systems, there may be more than one proprietor.
3. **Record custodians** maintain, secure, and care for records in accordance with [University Records Management Program](#) guidelines. This individual is the manager of the unit designated by the record proprietor as custodian. In some cases the record proprietor and record custodian may be the same person, or there may be more than one custodian.
4. **Local records management coordinators** create, publish, and maintain local record-retention schedules. The coordinator may propose records to include in the schedules, convey the interests of the campus to the University Records Management Committee, and serve as a local resource for retention questions.
5. **The university archivist** preserves records that have value to the university or the research community because they reflect historical events or document University history. This includes permanent maintenance of records that are designated for permanent retention with instructions to "transfer to University Archives."

Reference: <http://blink.ucsd.edu/HR/policies/conduct/records.html>

RECORDS MANAGER: RESPONSIBILITIES



RECORDS MANAGER: RESPONSIBILITIES

8 main responsibilities for Records Manager:

- Accountability
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition
- Transparency

RECORDS MANAGER: RESPONSIBILITIES

1) Accountability

- Making sure the organization adopts policies and procedures to guide personnel
- Developing records management program
- Assigning defined roles and responsibilities to different staff
- Documenting program policies and procedures
- Auditing the process
- Identifying areas for improvement

2) Integrity

- Correctness of and adherence to the organization's policies and procedures
- Reliability of the information management and governance training and direction given to the employees who interact with all systems
- Reliability of the records and information created
- An acceptable audit trail
- Reliability of the systems that control information, including hardware, software, and infrastructure

RECORDS MANAGER: RESPONSIBILITIES

3) Protection

- Constructing a reasonable level of protection to records (i.e. private, confidential, privileged, secret or classified)
- Ensuring the availability of critical records during or after crisis
- Applying protection control (security, access control, storage, declassification, from creation to disposition)

4) Compliance

- Complying with applicable laws and other binding authorities, as well as with organization policies (Official Secret Act, Freedom of Information Act, National Archives Act etc)
- Organization policies, codes of conduct, ethic rules etc
- Adopting and enforcing suitable policies

RECORDS MANAGER: RESPONSIBILITIES

5) Availability

- Maintaining records in a manner that ensures timely, efficient and accurate retrieval of needed information
- Providing the right records to the right person at the right time (3R)
- Organizing efficient and intuitive set of methods (clear access and retrieval policy/system)
- Protecting valuable records from being lost, corrupted or stolen

6) Retention

- Maintaining records for appropriate time (cost effective, storage, maintenance)
- Developing records retention schedule (what information to retain, how long to maintain, how to dispose – based on records life cycle)
- Based on 4 aspects:
 - i. Legal and regulatory (local, national and international)
 - ii. Fiscal (financial, audits and tax)
 - iii. Operational (business needs and operational value)
 - iv. Historical (depict the history of organization)

RECORDS MANAGER: RESPONSIBILITIES

7) Disposition

- Providing secure and appropriate records disposition
- Ensuring it is transported securely, destroyed completely and irreversibly
- Transferring records to historical archives
- Documenting disposition process

8) Transparency

- All business processes and activities shall be documented in an open and verifiable manner
- Available to all personnel and appropriate interested parties
- Clear procedures to control access to information

Electronic Records

“Electronic records pose the biggest challenge ever to record keeping in the Federal Government and elsewhere. There is no option to finding answers, the alternative is irretrievable information, unverifiable documentation, diminished government accountability, and lost history” - John W. Carlin, 8th Archivist of the United States, 1995 - 2005

Transformation from conventional record keeping (paper based) to electronic record keeping

Critical success factors:

- Participation from top and senior management
- Good records management program
- Good agency business practices
- Reliable information technology infrastructures

RECORDS MANAGER: ISSUES & CHALLENGES

2) Career Development

- “Passion is the difference between having a job and having a career” – Anonymous
- Differences career path between Public and Private Sector
- Membership of professional organizations
- Formal training and continuing education

Freedom of Information (FOI)

"Access to public records gives citizens the opportunity to participate in public life, help set priorities, and hold their governments accountable. A free flow of information can be an important tool for building trust between a government and its citizens. It also improves communication within government to make the public administration more efficient and more effective in delivering services to its constituency. But, perhaps most importantly, access to information is a fundamental human right and can be used to help people exercise other critical human rights, such as clean water, healthcare, and education. Access to information has been more recently recognized as an instrument that can be utilized to fight poverty in developing nations."

The Carter Center, Americas program, http://cartercenter.org/peace/america/s/nav_question4.html, accessed 11 May 2009.

RECORDS MANAGER: ISSUES & CHALLENGES

- To confers a general right of access, on request, to information held by public authorities.
- Number of exemption such as security matters, trade agreement, personal data, health records
- Selected countries implementing FOI:
 - USA – 1967
 - Australia – 1982
 - United Kingdom – 2005
 - India – 2005
 - Bangladesh – 2009
 - Malaysia – 2011 (State enactment)



RECORDS MANAGER: CONCLUSION

ISO15489-1:2001 Clause 7.2,

1. The authenticity and integrity of records need to be **guaranteed** over time, so that users can be **confident** that records are **genuine and trustworthy** and that no illicit alterations have been made to them.
2. Records need to be **usable**: they must be **accessible** to authorized users and provide sufficient evidence of the **context of their creation** to support user's understanding of their significance. Records created within an organization should also be **reliable and accurate** in their content.

RECORDS MANAGER: CONCLUSION



REFERENCES

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- Iron Mountain, *Best Practices: A Practical Approach to Building a Comprehensive and Compliant RIM Program*, available at http://www.ironmountain.com/~media/Files/Iron%20Mountain/Knowledge%20Center/Reference%20Library/Best%20Practices/Records_Management_Best_Practices_Guide
- Macmillan Dictionary available at <http://www.macmillandictionary.com>
- National Archives of Australia, *Allocate roles and responsibilities in records management*, available at <http://www.naa.gov.au/records-management/strategic-information/linking/rmroles.aspx>
- The National Archives and Records Administration (NARA), *Senior Records Manager Principal Duties and Responsibilities*, available at <http://www.archives.gov/records-mgmt/policy/senior-records-manager.html>
- ISO15489-1:2001 *Information and documentation – records management – part 1: general*, International Standards Organization



TERIMA KASIH &
THANK YOU

