

# Records Management Needs Assessments:

## Lessons Learned in Real Time

### What is a Needs Assessment

- ◆ Review compliance
- ◆ Analyze risks
- ◆ Identify areas of best practices
- ◆ Perform file mapping and measuring
- ◆ Finding surprise accumulations
- ◆ Understanding the lay of the land

## Performing a Needs Assessment

- ◆ Identify positions & functionality
- ◆ Build questions based on required records management functionality
- ◆ Pre-select interviewees
- ◆ Conduct interviews by department
- ◆ Search record storage areas & note volume
- ◆ Document results

## Interviews: What to Expect

- ◆ Nervousness
- ◆ Possessiveness
- ◆ Defensiveness
- ◆ Awesome ideas for improvement
- ◆ Genuine concern and enthusiasm
- ◆ Interviewees using the process as an opportunity to express their opinions

## Global vs. Local Participation

- ◆ Anticipate satellite operations to be a contributor to RM challenges
- ◆ Physically review remote locations if possible
- ◆ Look behind “closed doors”
- ◆ Incorporate records volumes in findings and recommendations

## Analysis

- ◆ Does the organization comply with current day legal requirements?
- ◆ Is there a legally responsive Records Retention Schedule?
- ◆ Is ownership defined at the department level?
- ◆ Are there carefully documented policies & procedures – are they followed?

## Analysis

- ◆ Is there records training?
- ◆ Is there enforceability?
- ◆ Can the existing processes withstand an audit?
- ◆ Are e-records included?
- ◆ Has the organization lost in court due to their record keeping practices?

## Assessment

- ◆ Findings and Recommendations
- ◆ "Report Card"
- ◆ Summary
- ◆ RIM Organizational Chart
- ◆ Execution Plan with Time Line

## Building an Execution Plan

- ◆ Prioritize according to risk
- ◆ Time phase the implementation in consideration of work-load
- ◆ Involve IT and Legal Representatives
- ◆ Document Execution Plan with specific assignments for all participants
- ◆ Build an Executive Statement mandating participation prior to implementation

## Lessons Learned

- ◆ Plan your deliverables (RFP).
- ◆ Use outside consultant if possible.
- ◆ Stay involved in total process.
- ◆ Document, document, document
- ◆ Work with consultant on final written assessment & Power Pt presentation.
- ◆ Give presentation to full executive staff.

Remember . . .  
a picture is worth a 1,000 words.



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