



Funding Your Records Management Project

By Diane R. Gladwell, MMC

Records Management Technical Bulletins

This publication, one of sixteen bulletins in the *2012 Local Government Records Management Technical Publication Series*, is a joint effort of the Municipal Clerks Education Foundation (MCEF), the International Institute of Municipal Clerks (IIMC), and the National Association of Government Archives and Records Administrators (NAGARA). Funding for this project was made available, in part, by a grant from the National Historical Publications and Records Commission.



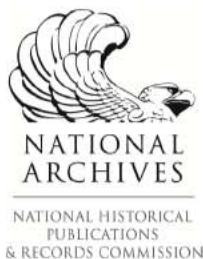
The Municipal Clerks Education Foundation (MCEF), established in 1984, is a tax-exempt, nonprofit foundation under Section 501 (C) (3) created to raise funds for its partner, the International Institute of Municipal Clerks. IIMC uses these funds to promote, train and educate Municipal Clerks, making them proficient in the services they provide for the citizens of their community. MCEF is a diverse team of volunteers who are passionately committed to helping IIMC pursue its educational objectives.



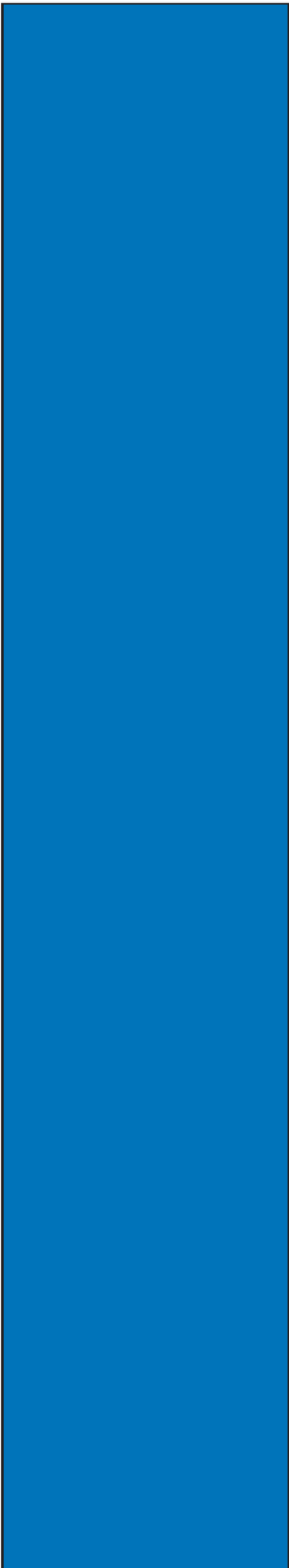
The International Institute of Municipal Clerks (IIMC) is devoted to advancing the professionalization of the Office of Municipal Clerk and improving the efficiency of municipal government. The IIMC provides its members with educational, conference, reference, research, and informational services designed to keep them informed of changes in the professional community.



The National Association of Government Archives and Records Administrators (NAGARA) is a professional association dedicated to the improvement of federal, state, and local government records and information management programs and the professional development of government records administrators and archivists.



The National Historical Publications and Records Commission (NHPRC), a statutory body affiliated with the National Archives and Records Administration (NARA), supports a wide range of activities to preserve, publish, and encourage the use of documentary sources, created in every medium ranging from quill pen to computer, relating to the history of the United States.



Like every organization, local governments create and maintain large quantities of records. Many of these records not only are of great value to the local government, but also are of concern and essential to the citizens of the community. Federal and state-mandated program requirements, changes in growth and development patterns, expanded service needs, the use of computers and other technologies for creating and using information, and the proliferation of copies in various formats, have all contributed to this enormous accumulation of records. Each publication is intended to make available to local governments the basic principles, policies, and guidelines that should be followed in establishing a sound records management program and in carrying out sound records management practices.

The series is intended for local officials, with limited resources, who lack formal records management or archival training but who have custodial responsibility for records. These local governments include townships, villages, cities, counties, school districts, and other local political subdivisions and special-purpose districts. Each of the following publications in the series includes a bibliography that refers to other reading for more detailed information and guidance.

Overview:

Starting a Records Management Program, The Daily Management of Records and Information, Making Your Records Management Program Successful, Managing Records on Limited Resources, Funding Your Records Management Project

Creation, Collection and Storage:

Identifying and Locating Your Records, Establishing Records Retention, The Selection and Development of Local Government Records Storage Facilities, Developing a Records Storage System

Preservation, Promotion, Use and Access:

Archives for Local Governments, Protecting Records, Using and Storing Microfilm

Care, Management, and Preservation of Electronic Records:

E-Mail Management, Selecting and Using Document Imaging Systems, Managing Electronic Records, Preparing for E-Discovery

Copies of these bulletins are available on the IIMC and NAGARA websites.
IIMC at www.iimc.com • www.nagara.org

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Citation example: Author Last Name, Author First Name. "Title of Bulletin." Local Government Records Management Technical Publication Series. Ed. Julian L. Mims III. Rancho Cucamonga, CA: MCEF, IIMC and NAGARA, 2012. Print (or Web. Date of Access).

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INTRODUCTION

Obtaining funding to develop and implement your organization's records management program is key to its success.

This technical bulletin will help you obtain funding, no matter how large and overwhelming the program's scope may seem.

"Real-world" examples and ideas from many municipal governments are included to assist in requesting, communicating, and successfully obtaining a budget that can appropriately support the records management function in your organization.

Many alternatives and options may be available to locate and achieve funding. Select those ideas and approaches from this technical bulletin that will be the most successful (the best "fit") in your organization.

PHASE 1: Establish Goals for Your Program

Goals support the vision, mission, and values of your organization. Look at your organization's formal budget, strategic plan, or other planning document, and review objectives for the legislative body and departments that are articulated.

What records management goals will support aims stated in the budget and/or strategic plan? The more closely records management purposes are tied to budget or other goals established by your organization, the more likely your project is to be funded.

Here are some ideas for goals as suggestions (use them as "idea launchers" for your program.)

- **Increase Transparency.** By increasing accessibility to records, you increase trust and participation.
- **Increase Customer Service Levels.** Finding records quickly is highly valued by both internal and external customers.
- **Reduce Expenses.** Eliminate unnecessary records and expedite procedures, reduce the cost of records storage.
- **Free Office Space.** Implementing records programs can save significant dollars in remodeling

costs, and avoid purchasing new filing cabinets and other equipment.

- **Ensure Accurate, Complete, Trustworthy Records.** Records must meet evidentiary requirements, and provide accurate evidence of the government's activities.
- **Emergency Preparedness.** Identifying, protecting, and making vital records available despite a fire or flood protects the lives and property of our citizens.
- **Protect our Environment.** By reducing the amount of paper our organizations use, recycling, and through other measures, records management is an important part of "green initiatives."
- **Provide Accountability.** Documentation underwrites checks and balances, to help ensure legal, ethical decisions.
- **Protect Citizens Rights.** Property records, permits, licenses, and other records protect citizens' rights, and shield them from harm.
- **History and Culture.** Records provide a framework and context of how and why decisions were made.
- **Avoid Expensive Records Productions.** Many local governments have spent huge sums of money producing / reviewing multiple drafts or copies of unnecessary records. The cost of having an attorney review these documents is very high, and is a chief motivating factor in funding many records management programs.
- **Comply with Laws (local / State / Provincial / National.)**

Look for opportunities. Several jurisdictions have funded records management implementation projects as a way to avoid expensive capital expenditures in remodeling and/or creating extra office space. One jurisdiction even funded their records management project under "City Hall Expansion" – they avoided expanding City Hall by implementing their records management program.

PHASE 2: Assess the Scope of the Problem and Develop Possible Solutions

An assessment of the state of your records management program will reveal where your program needs improvement.



City of Sausalito, CA records room prior to disposition, digitization, and reorganization projects.

This can be accomplished several ways, including:

- In-house assessment
 - The Records Manager (or person responsible for the records management program,) conducts the assessment, meeting with each Department using tools designed to obtain factual information.
 - Department employees conduct a “self-assessment” using tools provided by the Records Manager (or person responsible for the records management program.)
- Hire an outside expert to conduct your assessment.

Each alternative will have advantages and disadvantages. In-house assessments are usually less expensive; however, executives and the budget decision-makers may be less likely to fund the resulting recommendations. This “not a prophet in your own land” syndrome has been experienced by many expert records management professionals. You may have a better chance of successfully funding your project if an outside expert conducts the assessment and makes the recommendation.

Task 2a: Benchmark Your Program

Benchmarking, or comparing your effort to records management legal requirements, standards, “Best Practices” and programs in other like organizations, is the next task.

Develop a tool to ensure your benchmarks are appropriate, accurately reflect legal mandates / standards, and are equitably applied among different departments and functions in your organization.

Once established, measure progress against your benchmarks at least annually (and present results to the Executive Team.)

Task 2a – 1: Legal Mandates

Know what legal mandates your records management program has to comply with, and include these in your benchmarks.

Benchmarks should include not only a determination whether your organization is in compliance with the law, but quantities where possible (e.g., the number of records requests, the number of labor hours required to comply, and any costs associated with providing the records.)

Legal mandates should include compliance with Federal and local:

- Public records access laws,
- Records retention requirements (even if those retention requirements are unknown, or undetermined)
- Records destruction laws,
- Disaster recovery / vital records mandates,
- Storage requirements,
- Document imaging mandates (e.g., what is required if you want to destroy the paper version of the document to rely on the image as the original),
- Electronic records mandates, including e-mail,
- Litigation discovery mandates,
- Any other legal mandate for your jurisdiction.



Legal Mandates: Disaster Recovery Planning

Open files stored in the Juneau, Alaska Community Development Department, which is housed in the fourth floor of a combined office/apartment complex. The fifth floor contains residential units which have had frequent plumbing problems, including overflowing kitchen sinks and leaking tubs.

Task 2a – 2: Standards

Review various standards that may be applicable to your jurisdiction, some of which are provided below.

Even if these standards do not specifically apply to your jurisdiction, you can still benchmark your program against them:

- The Generally Accepted Recordkeeping Principles (GARP), published by ARMA International
- ISO (International Organization for Standardization) 15489-1: Information and Documentation – Records Management
 - Part 1: General
 - Part 2: Guidelines
- ISO/S 23081-1: 2006 – Information and Documentation – Metadata for records
 - Part 1: Principles,
 - Part 2: Conceptual and implementation issues
- NISO TR-01, Environmental Guidelines for Storage of Paper Records
- ANSI/ARMA TR-01, Records Center Operations. ARMA International
- NFPA 232, Protection of Records. National Fire Protection Association,
- Shelving and Racking Guideline. PRISM International

- 36 CFR Part 1228, Subpart K – Facility Standards for Records Storage Facilities (United States of America)
- 36 CFR 1236, Management of Vital Records (United States of America)
- ANSI/ARMA 5-2005: Retention Management for Records and Information
- FC311(M), Standard for Record Storage, Fire Commissioner of Canada
- Standard for the Physical Storage of Commonwealth Records, National Archives of Australia
- Records Management Standard: Storage of Semi-Current Records, United Kingdom Public Record Office
- Technical Bulletin Series, various records management subjects, IIMC & NAGARA (of which this Technical Bulletin is a part.)

Many other standards can be found on the websites from the organizations listed in the “Resources” section of this technical bulletin.

Task 2a -3: Studies and Statistics

Many records management industry groups conduct periodic studies, and have statistics that you can use to benchmark your program to.

Among other organizations, AIIM, ARMA, and IIMC’s Records Management Committee regularly conduct surveys and studies; check their websites for the most recent applicable study for your particular issues.

Don’t forget local jurisdictions and state associations. In addition, some Master’s or Doctoral candidates have conducted studies which can be useful to you.

It may be helpful to develop your own “local” survey. A study or survey can be distributed to nearby jurisdictions, among association members, or to the “comparable agencies” that your Human Resources Department uses to compare job descriptions and salaries. Ensure your survey is applicable and meaningful to those that will be making the decision on whether or not to fund your project.

Options for conducting a survey to develop benchmarks for your project include records management or municipal clerk's Listservs, telephone calls, mail, or by using Survey Monkey or other internet survey tools.

Task 2a – 4: Analyze Costs

Accurately account for all costs regarding your records management project.

Here are some areas that are typically unaccounted for:

- Commercial off-site storage costs. Many departments contract this individually ... be sure to specifically inquire about these:
 - U-store it storage units
 - Records management company storage costs, including the cost to retrieve and re-file records.
- Microfilming costs
- Outsourced imaging / scanning costs
- Your organization's overhead costs for records storage areas (lease and/or purchase costs). Your real estate or department responsible for acquiring office space can assist with this.

Task 2b: Identify Unmet Needs / Areas Not in Compliance / Improved Efficiencies and Cost Savings

Review the results of your benchmarks and costs of the current program in all areas, and identify areas that need improvement.

Prioritize the unmet needs / areas for improvement in your program.

There is no shame in having program areas that are not meeting all mandates or standards and/or needs improvement in the cost/benefit ratio. Document these areas.

If you have no unmet needs, you don't require any funds for your project(s)!

Other ideas that may assist you:

- Take pictures! Most executives won't have the time to do a site visit, but a picture is worth a 1,000 words.

Los Alamos County Records

June 2009 – Annex Warehouse

THEN



June 2010 – Airport Basin – Temporary Location

NOW



Storage of Drawings

Exposure – Rolled, Frayed, Sunlight, Dust, Extensive Damage

Then



New System can Store Approx. 15K Flat File Oversized Drawings

NOW



- Track the hours spent, and total duration of time (e.g., 3 days) to locate an important record needed by an employee or a member of the public. Calculate the "burdened cost" – salary and benefits – of producing the record.
- Loss or damage to important documents
- Inadequate facilities (e.g. below sea level, not in compliance with environmental control standards, or boxes stored on the floor, etc.)
- Retention schedules that need review for legal compliance.



Unmet Needs – Inadequate facilities

Barbara Berg, Juneau, Alaska Public library director stands near one many shelves of government documents that were taking up valuable library shelfspace. Many are duplicate, not record copies.

Document any deficiencies in the program, and make recommendations to correct them.

Several Records Managers have been fired from their positions after a flood, broken pipe, or other event that resulted in damaged records or unfavorable publicity to their organization. You want to ensure that if there is a deficiency in your program, you have identified it and made a recommendation to correct it.

Task 2c: Identify Possible Solutions

For each unmet need, several options may provide solutions. Evaluate each on a cost/benefit basis.

Vendors can assist by providing estimates for services; most will do this at no charge. Some of these “guestimates” could entail the following:

- Records retention schedule development
- Develop project plans, timelines and budgets

- RFP development, vendor selection and contract negotiation
- Software
- Hardware (Scanners, etc.)
- Shelving or Equipment
- Conversion of Systems (paper, electronic)
- Policy development or improvements (such as records destruction, or e-mail management.)
- Electronic records standards, policies, procedures
- SharePoint governance policies and procedures
- Employee training

When you use vendor estimates, a profit motive may affect their recommendation. The most reliable recommendations come from vendors that do not sell systems (software / hardware.)

Most records management programs are phased in over several years ... an everything-at-once approach may not be optimal and result in employee push-back and funding problems.

Target your solution for the best possible outcome (don't short-change the solution you recommend.) A records management program is an important part of your organization, and deserves to be funded at the same service levels as other programs provided by local government.

PHASE 3: Develop Your Project Plan and Budget

Present solutions as a written prioritized project plan, with budgets. One of the first questions in everyone's mind will be, “What kind of money are we talking about?”

Be prepared to answer this question, even if it is an estimate, and even if your plan is not fully developed. Decision makers are far more likely to set aside budget provisions for a project when a price range is perceived. Even a ballpark range will be helpful. Here's a sample answer:

I think a project between \$20,000 and \$30,000 will address this issue, and prevent us from having to spend a much higher amount in the event of

A sample project budget is included in this technical bulletin in Appendix A.

PHASE 4: Identify and Quantify Benefits

Although it may be difficult to quantify benefits in records management, the process assists toward obtaining funding for your projects. Here are some ideas:

Task 4a: Use Statistics

Ensure that statistics are current and applicable. Use the “Resources” Section of this technical bulletin and the Internet to find statistics that prove the value of your records management project. Here are some examples:

A recent study by AIIM found:

- It costs \$20 to file a document, \$120 to find a misfiled document, and \$220 to reproduce a lost document.
- 7.5 percent of all documents get lost; 3 percent of the remainder are misfiled.
- The average document is photocopied 19 times.
- Professionals spend only 5-15% of their time reading information, but up to 50% of their time looking for the right information.

Forty-nine percent of workers indicate problems with finding information - AIIM Study, 2009

Task 4b: Gather Publications

Many organizations listed in the “Resources” section of this technical bulletin have brochures, posters, bookmarks, or other material to assist in communicating the importance of funding records management programs.

Ensure that publications you use are current, and applicable to your organization and situation. Using the Internet in combination with the “Resources” section of this technical bulletin is an efficient and effective way to do this.

Trade magazines and publications, whether delivered in print or via electronic media, are a rich source of material.

Publications can assist in making your message professional, providing “outside experts” to validate

your request, and heightening the awareness of your program, and the importance of addressing areas of unmet needs.

Task 4c: Use Quotes from Outside Experts

Here are some samples:

A records management program is actually a money saver ... a protection against ineffective operations. It is even more significant as a safeguard against disaster and lawsuits.

Julian L. Mims III, Records Management: A Practical Guide for Cities and Counties, published by the International City/County Management Association (ICMA).

Without a set program for destruction of outdated e-records, a company faces the possibility that a subpoena will require the retrieval and legal review of so many e-mails and other electronic files that the most economical decision is to settle the case.

John F. Mancini, CEO, AIIM International

Records, whether they are on paper or electronic, must be managed in the same fashion to ensure they can be properly retrieved when needed and are purged on a set schedule...

Peter R. Hermann, CEO, ARMA, International

The following excerpts are all from ISO15489, parts 1 and 2, Information and Documentation – Records Management:

“Organizations should define and document policies for records management and should ensure that the policies and implementation are maintained at all levels in the organization.”

“All employees are responsible and accountable for keeping accurate and complete records of their activities.”

...organizations should maintain authentic, reliable and useable records, and protect the integrity of those records for as long as required. To do this, organizations should institute and carry out a comprehensive records management program which includes...

...eliminating, as early as possible and in an authorized, systematic manner, records which are no longer required ...

Systems for electronic records should be designed so that records will remain accessible, authentic, reliable and usable through any kind of system change, for the entire period of their retention.

Compliance monitoring should be regularly undertaken to ensure that the records systems procedures and processes are being implemented according to the organizational policies and requirements and meet anticipated outcomes.

Using resources listed in this bulletin, find other quotes from outside experts that will validate your recommendations.

PHASE 5. Develop Your Communication Plan

Communicating your message is critical to success. Think about what your message is going to be, and how you are going to approach different stakeholders in the budget process.

Task 5a: Identify the Budget Decision Makers

Identify who makes the decisions in your budget process. Decision makers for your budget (what gets funded, what does not) may not follow your organization chart or formal reporting relationships; ask questions and observe who has the power / influence in your organization.

In many local governments, it is an assistant manager level that makes the preliminary decisions on what is funded ... make sure you accurately identify who this is in your organization.

Develop a message that appeals to issues that they think are important.

Task 5b: Develop Your Message

What is the compelling need to fund the project?

Ensure you are thinking of this from the point of view of the budget decision makers identified in the previous task.

Develop several different versions of your message:

- A short, one or two sentence “elevator speech” that is appropriate to use when you see someone in the hallway, in the break room or an elevator.
- A five-minute speech that is suitable for Department Staff Meetings (ask to be on other department’s Staff Meeting agenda for five minutes), or for an Executive Team presentation.
- A longer, more detailed message that is proper for an organization-wide presentation, or a talk to your records management staff ... which can be an excellent approach to “vetting” your message so it is more effective.
- Develop FAQ’s (Frequently Asked Questions) for your program, and publish them on your organization’s intranet. The easier it is to locate / comprehend your program, the more impact you will have.



The Council of State Archivists offers a number of free, downloadable “Advocacy and Awareness” materials which can assist local government officials build the “case” for supporting local government archives and records management programs. Visit www.statearchivists.org to obtain these resources.

PHASE 6. Seek Advice and Partnerships

Refer to other Technical Bulletins in this series (in particular, Successful Records Management Programs,) which can provide more information.

Surround with urgency the necessity of addressing unmet need(s) in the records management program.

Clearly communicate the compelling need for change from their perspective, not yours.

A good approach is to ask their advice, then outline the problem / unmet need. Seek their ideas for alternatives, and ask what their concerns are. It is critical to get them to identify their concerns, so you can develop a program that overcomes / solves those concerns.

Ask how they would recommend seeking funding. Are there any delayed or cancelled projects that could be utilized?

Whatever solutions are discussed will be more likely to have their ownership and buy-in, and lead to funding.

Task 6a: Identify the Decision Makers

Here are some ideas:

- Create a Stakeholder Team with representatives from all departments
 - You can have a management-level team and a support-staff-level team to address different aspects of your program (Policy for the management-level team, Procedures for the support-staff level team.)
 - Seek Partnerships from other departments with vested interests in your program, partners who will benefit from your program:
- Risk Management. Huge unfunded / unanticipated costs have been incurred as a result of discovery costs, responding to public records requests, fines for non-compliance with laws (e.g. the US Federal Rules of Evidence regarding litigation holds).
- Emergency Preparedness / Disaster Recovery. Public Safety Departments, including Fire and Police, have funding streams, and a special

interest in ensuring vital records are available. These parties favor a records management plan to bring full reimbursement for costs are received following a disaster.

- Building Official, other Permitting Departments. Many departments rely heavily on referring to past projects in order to process current applications. These are usually excellent supporters for your project.
- Information Technology has an interest in lowering their operating costs, and avoiding spending time performing e-discovery functions.
- Finance, or other departments with a high volume of records, have a vested interest in controlled costs associated with storing records
- Archives or Historical Societies want to ensure records with significant historical value are appropriately preserved and made available to the public.
- Seek out Opinion Leaders in your organization.
 - Look for persuasive people who influence decisions.
 - They may not have impressive titles or positions, but have significant input on those that do (e.g., executive assistants)

Task 6b: Build Positive Relationships

It is important to build a positive relationship with these decision makers and/or opinion leaders.

- Establish rapport:
 - Find common ground
 - Ask questions
 - Seek advice
 - Listen actively
- Make short presentations at other department's staff meetings. Make sure your message is targeted to what will benefit them. Ask for their ideas and advice, which will provide higher levels of ownership and buy-in.
- Arrange for a breakfast meeting prior to work ... and yes, you buy. This is a successful strategy to get time with a busy executive.

- What about a coffee break at a local coffee house? It is helpful to get them out of the office where interruptions happen.
- If you have a past bad experience with them, it's time to apologize, and change the dynamics of your relationship. Turn over a new leaf!

PHASE 7: Create Revenue Streams for Your Program

Many local governments have utilized the following revenues, and allocated them to records management programs.

Here are some examples:

- Building Permits / Planning Applications. A “technology fee,” “imaging fee,” “records retention fee,” or other similar charge as part of the permit fee has been successfully implemented by many jurisdictions. Ensure the fee provides complete cost recovery of employee labor for preparation, scanning / microfilming, indexing, quality checking, and to meet any other mandates.
- Counter Fees: Any over-the counter fees received by the clerk's office are devoted to records management.
- Permits / Licenses / Citations. If you are asked to collect any fines, permit fees or citations (or take on any new program,) ensure the funds received are allocated to your records management program. In several jurisdictions, parking citations or passport revenues support the records management program.
- Legislation for Funding. In many states, a percentage of different programs / budgets are devoted to archives or records management.
- Applicant Responsibility. In any process where an applicant is generating the records necessary to process the application, ensure a records management fee is part of the permit charge.

Note: Typically, the Finance Department will want to direct these revenues to the general fund.

If at all possible, keep these as a separate fund to be used for Records Management projects only, to be managed and allocated by the Records Manager. If you can, have the allocation made via legislation to prevent “raiding” of the funds for other purposes.

PHASE 8: Locate Funding Opportunities

There are usually sufficient funds to provide for programs that decision-makers feel are important. Here are some ideas:

- Funding for a cancelled or delayed program. For example, an election that was cancelled because there are the same number of candidates as open positions.
- Combine funds from several departments. Using Fire, Police, and Building Departments to combine funding for your projects has been utilized by several agencies.
- Wrap your project into another project:
 - Emergency Preparedness / Disaster Recovery
 - Public Safety / Crime Prevention
 - E-mail management, document imaging (scanning) projects, SharePoint, and other electronic records projects first require the establishment of a records retention project; include the development of policies and procedures related to records retention into these projects.
- Look for funds currently allocated to another less critical project. You may have to spend time reviewing the budgets and asking questions in order to identify these.
- Enterprise Funds or Utilities can be funding sources. Often they have money when General Funds do not.



The National Endowment for the Humanities (NEH) offers Preservation Assistance Grants for Smaller Institutions in amounts of up to \$6,000. This may be a good funding source for local governments in need of preservation assessments for collections of vital records, land records, and other materials of interest to researchers.

- Grants
 - Your best source for grants is from your State or other local agency. Many State Archives and/or state associations grant funds available on a competitive basis; Georgia, Missouri, New York, and West Virginia all have grant programs for the preservation or local government records.
 - Grants from private foundations or the National Historical Publications and Records Commission (NHPRC) or the National Endowment for the Humanities for preservation supplies are available, but be aware that these grants are very competitive.

CONCLUSION

“Never, Never, Never, Never give up!”

—Winston Churchill

Helpful Hints

- **Tell stories.** Specific examples of either your organization’s experience, or an experience from a like agency, can be very powerful. Examples: A records request that resulted in Attorney’s costs to review unnecessary e-mails, drafts and copies that were retained by employees.
- **Don’t be afraid to hire a consultant** to help develop your project, and to make recommendations for you. In many cases, recommendations from outside experts are funded at a much higher level than recommendations from employees.
- **Be persistent!** Some projects have requested funding every year for five or ten years before they are funded. Just because there are no funds available this fiscal year doesn’t mean the project isn’t needed, nor does it mean that the project isn’t important.
- Use everyday opportunities to expose the specifics of the records management problem(s). For example, if an employee is ill, or called out for a family emergency, and co-workers have difficulty locating records in order to continue business,

- **Hold a celebration and highlight records.** Celebrate an anniversary of an important ordinance or law in your jurisdiction by making a special display and serving refreshments. Issue invitations and hold the party in a location where the records management program is visible. Be sure to invite personally budget decision-makers, and ensure that they will stop by, and provide enticing refreshments (e.g. pie from a favorite local bakery.) Feed them, and they will come!
- **Maintain a professional, positive demeanor.** Don’t become negative, point fingers, be demeaning, critical, or condescending of other employees or departments. Be optimistic and supportive.
- **Don’t wait until budget time to make your request.** Laying the foundation of unmet needs in your program, and the compelling demand to solve it throughout the year will give your budget request credibility.



Since 2006, the Society of American Archivists has provided public relations kits to its members that provide ideas, tips, and tools to help institutions enhance public awareness of their holdings. Prior years’ press kits are available for free download. Many other state and national organizations participate in this advocacy effort and offer free promotional materials and guidance. A small display, bookmarks, or presentations before service clubs are just some of the examples of small, inexpensive ways that institutions can participate in this national advocacy effort.

use the opportunity to point out the benefits of having standardized records management practices.

- Share Newspaper or Magazine Articles. This is an excellent way to motivate others to comply with the records management program in a non-confrontational manner.

There are many positive consequences resulting from efforts in gaining funding for your records

management project:

- You will be taken more seriously in the organization – you will build credibility.
- You will promote the municipal clerk's office and role in the organization.
- You will become an expert on records management, and be viewed as such.

Resources

AIIM (Association for Information and Image Management), www.aiim.org

American Association for State & Local History (AASLH), www.aaslh.org

Association for Information and Image Management (AIIM) www.aiim.org

Association of Records Managers and Administrators, International (ARMA, International), www.arma.org

Council of State Archivists (CoSA), www.statearchivists.org

International Institute of Municipal Clerks (IIMC) www.iimc.com

International Organization for Standardization (ISO), www.iso.org/iso

National Archives and Records Administration (NARA), www.archives.gov

National Association of Government Archives (NAGARA), www.nagara.org

Particularly: www.NAGARAResources.org

National Endowment for the Humanities (NEH), www.neh.gov

National Fire Protection Association (NFPA), www.nfpa.org

National Historical Publications and Records Commission (NHPRC), www.archives.gov/nhprc

Professional Records and Information Services Management, International (PRISM, International), www.prismintl.org

Society of American Archivists, www.archivists.org

Dearstyne, Bruce ed. *Leading and Managing Archives and Records Programs: Strategy for Success*. New York: Neal-Schuman, 2008. Print

Freeman, Robert, Mark R. W. LeMahieu, Jason Sanders, David O. Stephens, Julian L. Mims III (editor), *Electronic Records Management*. International City-County Management Association (ICMA), 2006. Print

Mims III, Julian L, *Records Management: A Practical Guide for Cities and Counties*. International City-County Management Association (ICMA), 1996. Print

Appendix A: Sample Project Budget

RECORDS MANAGEMENT PROJECT TASK		Priority	Estimated Cost
1.	Maintain "Decentralized" Records Management Structure	1	(cost avoidance /savings)
2.	Revise City-wide Records Retention Schedules	1	\$8,500
3.	Develop Destruction, Inventorying / Boxing / Labeling Procedures; Train Employees	1	\$2,300
4.	Implement a Document Maintenance Fee for Building Permits	1	(unknown income)
5.	Develop ECMS Policies, Procedures, Plans and Provide Training	1	\$9,750 +
6.	Move Human Resources Records to a Secure Area	1	\$0
7.	Purchase and Install Steel Shelving for Boxed Records in off-site storage room	1	\$4,000
8.	Discontinue Utilizing Old Legislative History Program	1	(cost avoidance/savings)
9.	Improve the City Clerk's Filing System	1	\$0
10.	Develop and Implement Electronic Data Standards	1	\$5,500
11.	Conduct a "Free the Files" Day or Week on an Annual Basis	1	\$1,300
12.	Fund the Imaging of Community Development Records Stored a Commercial Storage Unit	2	\$30,000
13.	Implement End-Tabbed, Color Coded Labeling System for Paper Files in Community Development	2	\$2,000
14.	Provide Employee Training and an updated Records Management Manual	3	\$7,500
15.	Conduct an Annual Records Management Audit to Assess Progress and Identify Areas for Improvement	3	\$1,300
TOTAL COST:			\$72,000 + \$300 annually

Sample budget developed by Gladwell Governmental Services, Inc.