

**For Good Measure: Developing  
Information & Records Management  
Metrics**

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Records Management Subcommittee of the  
State Agency Coordinating Committee (SACC)

# Speakers

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Commission



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# What Is the SACC?

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**The purpose of the State Agency Coordinating Committee (SACC) is to examine administrative and management practices, review problems or issues that have an impact across agency lines, and encourage and foster management practices that are beneficial and cost effective for all state agencies.**

## Who Is the SACC?

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### Member Agencies

- Dept. of Information Resources
- Texas Workforce Commission
- Dept. of Family & Protective Services
- Texas Commission on Environmental Quality
- Texas Dept. of Criminal Justice
- Texas Dept. of Insurance
- Texas Dept. of Public Safety
- Texas Dept. of Transportation
- Texas Education Agency
- Texas Health & Human Services Commission
- Texas Juvenile Justice Dept.
- Texas Parks & Wildlife Dept.
- Dept. of State Health Services

## Who Is the SACC?

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### Subcommittees

- Finance
- Human Resources
- State Agency Internal Audit Forum (SAIAF)
- Information Technology
- Legal Affairs
- Public Information
- Purchasing
- Training and Development
- Records Management
- Quality, Process Improvement, and Innovation

# SACC RM: Our Mission

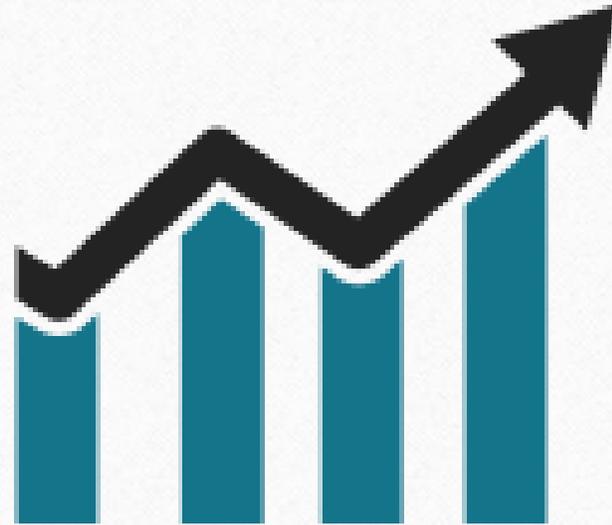
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- To provide the State Agency Coordinating Committee member agencies with the knowledge and tools to have robust and compliant records management programs by:
  - Identifying common challenges and collaborating on and recommending potential solutions
  - Serving as subject matter experts and advisors regarding best practices, industry standards and emerging trends

# What gets measured, gets managed.

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- And more importantly, gets funded!



# The Benefits

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- Demonstrate Value: “With \$\$, we’ve been able to accomplish X. Here’s what we could do with \$\$\$!”
  - Metrics can demonstrate cost or space savings by showing where your program has eliminated unnecessary file rooms, reduced paper usage, or shrunk the need for off-site storage or server space.
  - Metrics can identify efficiencies gained through application of records management practices by looking at completion times for common records tasks or success rates for accessing the records you need.

# The Benefits

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- Focus Your Efforts: “This program has been really effective, so let’s make sure it stays at the top of our annual business plan.”
  - Metrics can tell you where you are meeting your goals (or statutory guidelines) and where you aren’t performing as well as you’d hoped.
  - Metrics can help you identify risk areas by finding program areas with low compliance rates and high-value data.

# The Benefits

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- Save Time on Analytics: “You need numbers for your director’s meeting tomorrow? No problem!”
  - When you measure before you make a program change, you can set a baseline for a long-term project and provide data along the way, not just at the point of completion.
  - Metrics can show management how you are aligning your efforts with your organization’s priorities by protecting high-value information and supporting your organization’s staff in their day-to-day business.

# Performance Metric: A Definition

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- A quantifiable indicator used to assess how well an organization or business is achieving its desired objectives. (BusinessDictionary.com)
- Performance measures can represent your program's actions, abilities, and overall quality.

# SMART(ER) Goals

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- The most successful metrics often follow the SMART format:
- **S** – Specific
- **M** – Measurable
- **A** – Achievable
- **R** – Relevant
- **T** – Time-Bound
- **E** – Evaluate
- **R** – Readjust

# Key Performance Indicator (KPI)

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- Just like records, not all metrics are created equal!
- KPIs take you from simple numbers into the context of the what you are measuring and the story that it tells you.
- KPIs:
  - Start with a baseline (lagging indicator)
  - State a desired outcome (target)
  - Identify and measure the behavior needed to meet that outcome (leading indicator)

# KPIs: An Example

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- Lagging Indicator: In FY19 sent 1200 boxes to off-site storage.
- Target: Reduce the volume of incoming boxes for off-site storage by 10% in the next fiscal year.
- Leading Indicator: Send no more than 90 boxes to off-site storage each month.

# Quantitative vs Qualitative

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## Quantitative

- More easily measured and compared to similar things
- Typically has a representative population
- Lends itself to visualization (charts, graphs, etc.)

## Qualitative

- Tends to be more individualized and may not be easy to compare to others
- Usually a smaller data set to work from
- May provide context for data visualizations or point towards quantitative measures that are needed.



# Metrics Drive Behavior (Good and Bad)

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- When selecting what to measure, make sure that your improved numbers will actually reflect on improved performance!
- Sometimes we can shift the numbers to look good on paper by (accidentally) encouraging bad behavior.
- Example: If you want to send fewer boxes to off-site storage, make sure that people know they should be keeping more things electronically, not hiding their boxes in sheds and basements!

# Values & Priorities

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- What does your organization value?

Productivity

Time spent searching for data

PIR response time

- What are the Priorities?

Statutory Requirements

Strategic Plan

Public need vs. Management need

# High Risk

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## Risky Data

- Medical
- Criminal Justice
- Tax
- Payments/Bank Cards
- Personnel – HR/Benefits
- Distribution Programs



## Risky Business

- Data breach
- Unknown record sources
- Too many convenience copies
- Public Information Requests
  - Too long to find data
  - Can't locate data
  - Locate data that we shouldn't have

# High Risk Mitigation

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## Process = Vulnerability

1. Identify the process around each high risk area (risky data)
2. Analyze for gaps and potential breaches
3. Visit with the business owners
4. Apply Process Improvement practices to eliminate gaps and develop a joint plan for mitigation

Q - Who to ask?

A – Your IT partners & content owners

Q – But what do I ask?

A – Do you have a listing of systems?

A – Who is the owner for each?

# Quick Wins

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## Disposition

- Number of requests/disposals
  - Volume of...
    - Electronic vs. Physical
    - Official Record vs. Convenience Copy
    - PII

## Existing Data

- Storage Volume
  - Electronic & Physical
    - On premise vs. Cloud
    - Onsite vs. Offsite

# Quick Wins

- Process
- Inventory
- Retention Schedule
- Training



# How do I get started?

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Make Friends

Benchmarking

SMART Metrics

# Make Friends: Records Information Management & Cyber Security

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- Focus on the similarities; not the differences between the two roles
  - Highlight information that will be of value to both groups
- Develop a solid relationship with your partners
  - Icebreakers to kick off the meeting
- Develop joint policies and procedures
  - Break down the barriers between the two professions
- Frequently check in
  - Maintain the relationship for continued success

# Partners in Protection

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- How will RIM metrics help you avoid and/or recover from a data breach?



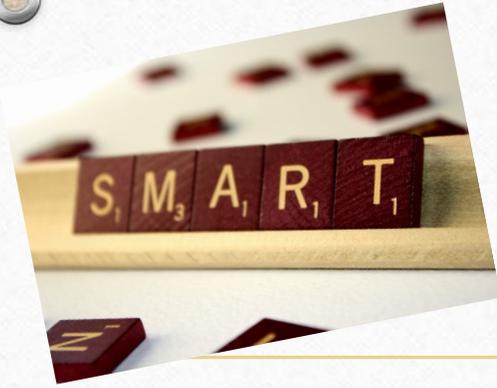
1. Knowledge of where your PII and other vital/essential records are will allow you to behave both proactively to prevent breaches and respond rapidly if a breach occurs.
2. Identifying and prioritizing high-risk data for disposition review can remove confidential information from your custody before a breach can occur.
3. Tracking the centralization of your data repositories can lower the number of storage locations and data-holding applications that need protection, allowing your organization to focus on protecting a few things well.

# Benchmarking

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- Inventory and/or Audit
- Determine what you will measure first (Quick Wins)
- Obtain Buy-In
- Establish baseline numbers





# SMART(ER) Metrics: An Example

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- **S** – Specific: Clearly identify; Disposition Request
- **M** – Measurable: What can you measure from disposition (volume, record type, etc.)
- **A** – Achievable: YES!
- **R** – Relevant: PII data vs. routine data
- **T** – Time-Bound: Monthly, Quarterly (FY or Calendar), Annually and Biannually
- **E** – Evaluate: Review and assess; can you improve?
- **R** – Readjust: Adjust the process base on the evaluation results

# “A World of Pure Imagination”

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# How to Get Involved with SACC RM

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- Meetings are held on the 3<sup>rd</sup> Thursday of every month both in-person and via conference call.
- Send us an email if you'd like to join us or have a problem you'd like us to tackle!

# Additional Reading

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- “4 Ways to Measure the Effectiveness of Your Records Management System.” *Infolinx*, 30 October 2017. <https://blog.infolinx.com/4-ways-to-measure-the-effectiveness-of-your-records-management-system>. Accessed 6 September 2019.
- Anderson, Kerry. “A Case for a Partnership Between Information Security and Records Information Management.” *ISACA*, vol. 2, 2012, <https://m.isaca.org/Journal/archives/2012/Volume-2/Documents/12v2-A-Case-for-a-Partnership.pdf>. Accessed 11 September 2019.
- “How to Choose the Right Metrics for Your Records Management Program.” *TAB*, 13 December 2013. <https://recordsmanagement.tab.com/electronic-records-management/how-to-choose-the-right-metrics-for-your-records-management-program/>. Accessed 6 September 2019.

# Additional Reading

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- “Metrics-Based Information Governance: Five Ways to Measure Program Effectiveness.” *Contoural*, 2013, [https://www.contoural.com/whitepaper\\_summary.php?id=28](https://www.contoural.com/whitepaper_summary.php?id=28) (full text available with registration). Accessed 10 October 2019.
- “Monitoring Recordkeeping Performance.” *New South Wales Government: State Archives & Records*, <https://www.records.nsw.gov.au/recordkeeping/advice/monitoring/recordkeeping-performance>. Accessed 6 September 2019.

# Additional Reading

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- Poole, Roger. “Cyber Security – What Is its Relationship with Records and Data Management?” *Cyber World*, 23 January 2017, [https://cyberworld.news/opinion-analysis/expert-opinion-and-analysis/. cyber-security-what-is-its-relationship-with-records-and-data-management/](https://cyberworld.news/opinion-analysis/expert-opinion-and-analysis/.cyber-security-what-is-its-relationship-with-records-and-data-management/). Accessed 11 September 2019.

# Thank you!

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