

Business Case #96

(50 Points)

BARON'S CHILD CENTER

Main Topic: Record Retention

Subtopics: Communication, Compliance, Creating Policy, Litigation, Procedures

ANSWER:

GENERAL GUIDANCE:

Please read the business case that was given to the candidate.

The goal of this case study is to evaluate the candidate's proficiency in developing a business case. The candidate is asked to write a clear, well-organized business case using a narrative format appropriate for the designated audience. The business case may contain lists, as often used in presentations to management. However, if lists are used, the candidate must devote a paragraph to explain why the actions are appropriate. The answer may not consist only of lists. The business case should explain the underlying problems found and recommend solutions to these problems. The candidate has been told penalty points may be levied by graders for incorrect format, poor grammar, poor spelling, and/or poor organization of the answer.

The candidate **MUST** introduce the report with an Executive Summary. The Executive Summary should contain 2-3 paragraphs explaining the basic overall problem(s) identified, the key issues or factors to be resolved in order to achieve the final result, and a high level description of the recommended outcome. Following the Executive Summary, the business case analysis should describe the specific issues found and the suggested recommendations.

The candidate is expected to state any facts that are assumed in developing the business case and should support the answer. Topics not specifically mentioned also may be included in the business case and are acceptable so long as they are considered relevant and well explained.

Specific Points:

The candidate is instructed to introduce the business case with an Executive Summary, followed by the Analysis section consisting of several specific sections. Each of the following parts should be graded and weighted as follows:

I. Executive Summary: 10 points maximum

This section serves as the introduction to the business case. The candidate has been instructed to identify key issues or factors to be resolved in order to achieve the final result, along with a high level description of the recommended outcome in no more than 2-3 paragraphs. Specific recommendations to resolve the problems should not be listed in this summary. No extra credit is awarded for this section. A sample Executive Summary for this business case would be:

“Having just settled a lawsuit out of court, Baron’s Child Center (BCC) has become aware of inconsistent records management and communications practices among its franchises. The different locations generate and receive similar records, but differing local laws and requirements involving issues such as health record security and health issue reporting, complicate records management and retention practices.

BCC has tested the use of technology with newer franchises with success. BCC should support the dissemination of the tested technology and provide training and procedures to franchise employees. This will streamline and make consistent their records practices and will benefit the franchises, parent company, and clients. It will also help to prevent situations that might result in litigation.”

II. Analysis:

40 points maximum

This section should deal with the specific problems and issues discovered during your review of the Findings. Your proposal should include identification of the problems and recommendations.

A. Identification of Problems

15 points total

Identify the various problems seen in the business case and why they are considered RIM issues. The candidate may include some of the following examples or think of others on their own. The grader has the flexibility to decide relevance on issues listed that do not appear as an example. Possible examples include:

- While record types are similar across the franchises, each franchise handles records a different way, putting each franchise and the parent company at risk of not being able to produce records when needed.
- The lack of time available to teaching staff to collect, organize, and properly file paperwork has led to problems with reporting health issues to the proper authorities and to the parent company.
- There is a lack of dedicated staff to handle recordkeeping, which can increase chances of documents getting lost or the franchise not being able to respond to record requests or needs in a timely manner.
- There is little guidance from the parent company on how to manage handle records. Failure to identify, document, and communicate requirements to franchise staff with no records training may lead to legal problems for the company and franchises.
- Confidential health records are not adequately protected, which can lead to loss or a breach of security.

- Older franchises are unwilling or unable to purchase the technology that might assist their recordkeeping needs. This perpetuates their reliance on staff that cannot dedicate the time or attention needed to managing records.
- There is no current process for distributing company orientation, training, and education videos. This is another example of how the parent company is not able to provide information that is needed, such as employee training issues, back to the franchises, leaving them again without guidance.

B. Recommendations

25 points total

Below are possible recommendations for BCC. The grader is granted flexibility to evaluate the proposed items, so long as the candidate's response demonstrates a logical understanding of the problem and provides explanations for each recommendation.

- Leverage the use of the existing content management system. Not only can it be used for storing electronic versions of paper records, but it can be used by franchises to access and display training and entertainment videos.
- Create an appropriate company-wide taxonomy or filing structure for records storage in the content management system to ensure consistency of use.
- Provide incentives or discounts to the older franchises to encourage the acceptance of scanning documents into the corporate content management system.
- Develop an overarching records policy for the company and franchisees. Create documentation that can be distributed and train employees at all levels in their use.
- Be proactive in identifying areas of risk and implementing uniform protective RIM practices for records with special handling or management requirements, such as PII, financial, or health records.
- Prepare easy to follow records management procedures to facilitate compliance by franchises. The recordkeeping burden on the participating franchises will also be reduced by the participation in centralized billing and online tuition payment.
- Develop records retention guidance for the franchises. Perform the research at the corporate level for the retention requirements based on the location of the franchises. Incorporate and enforce reporting requirements to the parent company and local officials for critical issues such as disease outbreaks.
- Add electronic records management software to the content management system to help reduce the time needed to administer retention periods for records.
- Investigate the development of a litigation readiness plan to not only map where documents are stored, but to have procedures in place ahead of time.