

RECORDS & INFORMATION MANAGEMENT

**GOVERNANCE & POLICY DEVELOPMENT,
WORKING WITH STAKEHOLDERS AND
POLICY IMPLEMENTATION**

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DRIVERS: WHY MANAGE

☐ Information Explosion

- ✓ It is predicted that the growth of data will be 800%
- ✓ 80% unstructured data in the next 5 years
- ✓ While enterprise data is growing at a rate of 40% to 60% annually

☐ Regulations

- ✓ Financial Industry
- ✓ Pharmaceutical & Health Industry
- ✓ Energy Industry

☐ Litigation – e-Discovery

- ✓ The effort to comply to an eDiscovery request is often time-consuming and expensive due to the volume of information.

☐ Business

- ✓ Information Access
- ✓ Reduce or Contain Costs
- ✓ Intellectual Capital (R & D)
- ✓ Efficiency

Voluminous growth

Bits And Bytes

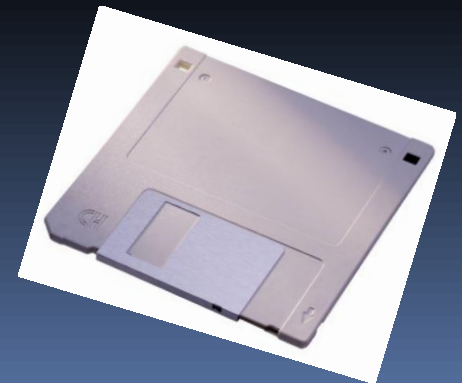
- 100 bytes = telegram
or a punched card
- 1000 bytes = kilobyte
or a very short story
- 2 kilobytes = typewritten page
- 10 kilobytes = an encyclopedic page
or a deck of punched cards
- 100 kilobytes = a low resolution photo



More Bits And Bytes



- 1,000,000 bytes = megabyte
- 10,000 punched cards (*50 boxes of punched cards*)
or a 3.5 inch floppy disk
- 5 megabytes = the complete works of Shakespeare
- 10 megabytes = 1 minute of high-fidelity sound
- 100 megabytes = 1 meter of shelved books
- 500 megabytes = a CD-ROM



Even More Bits And Bytes

- 1,000,000,000 = gigabyte
(a pick-up truck filled with paper)
or a movie at TV quality
- 2 gigabytes = 20 meters of shelved books
- 20 gigabytes = a good collection of the works of Beethoven
- 100 gigabytes = a floor of academic journals



Lots More Bits And Bytes

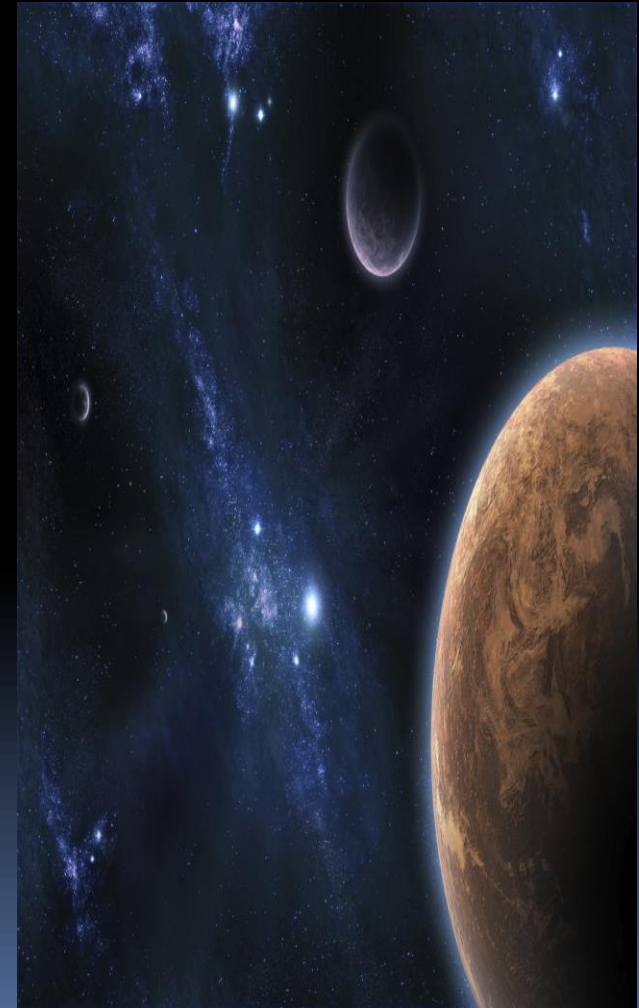
- 1,000,000,000,000 = terabyte
- All the X-ray films of a large hospital
or 50,000 trees made into paper and printed



Beyond Bits And Bytes

- 1,000,000,000,000,000 = petabyte
- 250 billion pages of text
- 2,000 miles high tower of 3.5 inch floppy disks (1 Mb)

Capability to produce \neq Ability to manage



GOVERNANCE & POLICY DEVELOPMENT

- ☐ **Governance**
- ☐ **Policy – Overarching**
- ☐ **Stakeholders**
- ☐ **Records Retention Schedule Creation**
- ☐ **Policy Implementation**

GOVERNANCE

❑ Governance

- ✓ Policy
- ✓ Accountability
- ✓ Transparency
- ✓ Connecting all information rule-sets

POLICY DEVELOPMENT

❑ Policy – Overarching

- ✓ Roles & Responsibilities
- ✓ Define scope – but all encompassing
- ✓ Grant authority

❑ Stakeholders

- ✓ Senior / Executive management
- ✓ Legal and Compliance
- ✓ Shared Services: IT, Finance/Tax and HR
- ✓ The Business

RECORDS RETENTION SCHEDULE

❑ Tool – supporting policy

- ✓ Cornerstone for managing records
- ✓ Unifies understanding of an organization's records
- ✓ Actions are taken – disposition
- ✓ Manages the Records / Information Life Cycle
- ✓ Integrated into any Records Management System

❑ What is it; What are the components

- ✓ Identifies records
- ✓ Categorizes or classifies records by type
- ✓ Defines retention period
- ✓ Provides legal / regulatory citation

RECORDS RETENTION SCHEDULE

(cont.)

Records Retention Schedule Creation

□ Types of schedule

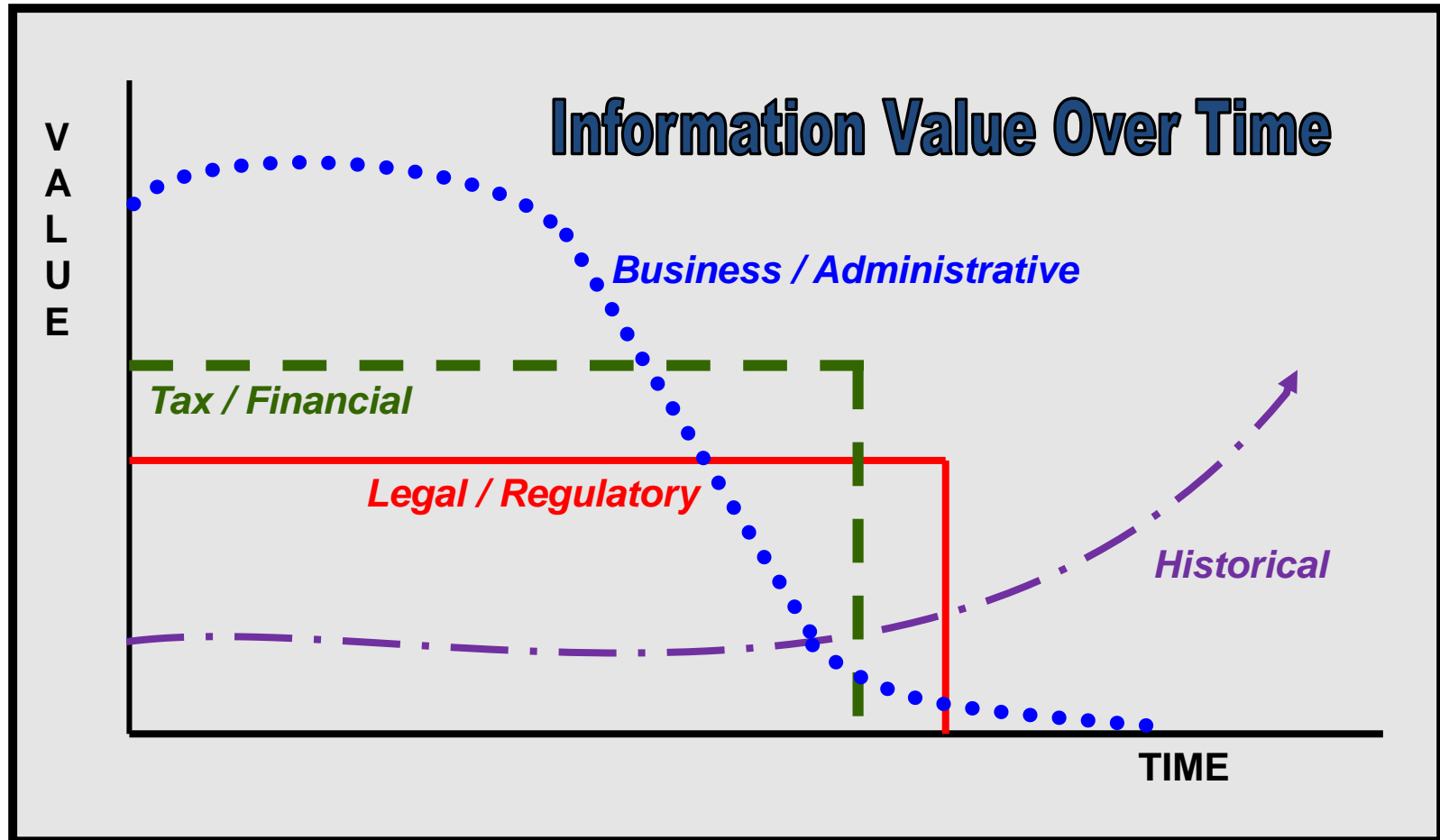
Department Based	Business Function Based
<ul style="list-style-type: none">▪ Reflects organization structure – at least at some point	<ul style="list-style-type: none">▪ Department name changes and re-orgs do not affect headings
<ul style="list-style-type: none">▪ May already exist	<ul style="list-style-type: none">▪ Reduces information silos and duplication
<ul style="list-style-type: none">▪ Easy to understand	<ul style="list-style-type: none">▪ Aligns with business processes
<ul style="list-style-type: none">▪ Requires frequent changes due to organizational changes	<ul style="list-style-type: none">▪ Allows records classification of data in applications
<ul style="list-style-type: none">▪ Duplication is inherent	<ul style="list-style-type: none">▪ Requires central oversight
<ul style="list-style-type: none">▪ Inconsistent naming conventions	<ul style="list-style-type: none">▪ Jurisdictional variations must be identified

APPRAISING INFORMATION CONTENT

❑ Criteria Categories

- ✓ Business / Administrative
 - Operational & Organizational Needs
- ✓ Legal / Regulatory
 - Statutory Requirements
- ✓ Tax / Financial
 - Evidence of assets and liabilities
- ✓ Historical
 - Significant past events for archival preservation

APPRAISING INFORMATION CONTENT



RECORDS RETENTION SCHEDULE

Creation = Research + Drafting

☐ Research

- ✓ What do you know about the business and functions
 - Educate yourself – prepare
- ✓ Know the drivers – for RIM & the Organization
 - Regulations, litigation, environment, efficiencies
- ✓ Appraisal interview

☐ Drafting

- ✓ Analysis is the front-end of any draft schedule
- ✓ Decisive schedules solicit the best feedback

RECORDS RETENTION SCHEDULE

‘Rite, Review, Revise, Repeat

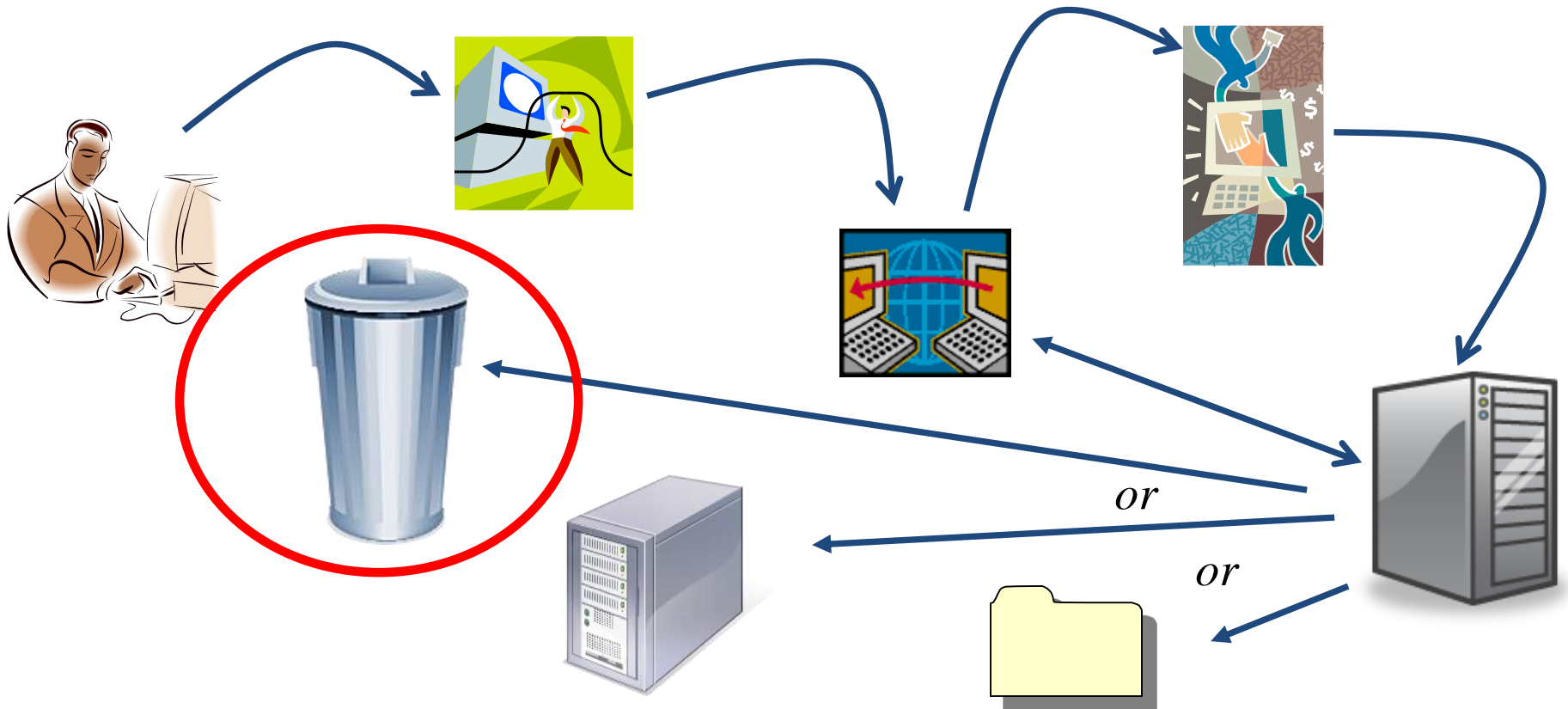
- ❑ Compose the skeleton of the organization’s functions
- ❑ Plot all records and information outputs per function
 - ✓ Identify what the information / records support
 - ✓ Identify how & where information is created
 - ✓ Identify where and what type of storage

Note: though this is not be stated on a schedule, it may dictate retention requirements

- ❑ Analyze commonalities and duplication
 - ✓ Report names may differ, for instance, but support the same process
- ❑ Share section drafts with business for feedback

INFORMATION & RECORDS LIFECYCLE

The stages . . . creation . . . storage, and final disposition



GOVERNANCE

☐ Road to Retention Schedule Approval

- ✓ Equals a process of decision making
- ✓ First step to implementation

☐ Best Practice

- ✓ Develop a governance board
 - Members are senior enough to make decisions
 - Function similarly to a project sponsor
- ✓ Do not be tentative or falsely shy to seek empowered leadership in your organization

POLICY DEVELOPMENT

☐ Policy Implementation

- ✓ Determine what actions are required
- ✓ Communication Plan essential
 - Articulate pain points that will be alleviated
- ✓ Process replicates Records Retention Schedule drafting
 - Business leaders and staff are vested in the policy they help create

☐ Records Retention Schedule integration into a records management system includes training – serves to effectively implement policy

MAKING IT MATTER

Policy & Records Retention Schedule Implementation Matters

☐ Identify the need

- ✓ Pain points
- ✓ Pressing issue – recent events
- ✓ Opportunities for improvement

☐ Demonstrate capability

- ✓ Immediate wins – low hanging fruit
- ✓ Objectives – that are measurable

☐ Senior Management Commitment

- ✓ Shared Goals
- ✓ Decisions

TWO ADDITIONAL SESSIONS

3. May 14th

Roadmap to Managing Records Inventory

- Procedures, Guidelines
- Legacy Records – Project Approach
- Vendor Management

4. June 6th

Electronic Records

- Role of Technology
- Application Appraisal
- Metadata, Email & ESI – Oh My!