

Information Evolution From Beginning to End

Salt Lake City ARMA Seminar
March 25, 2010

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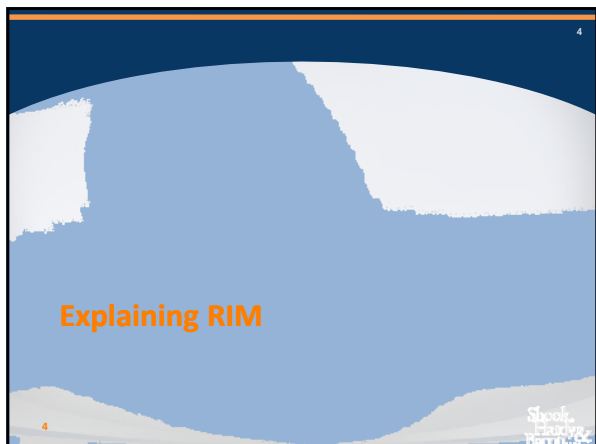
"All things, except bad emails, have a beginning and an end called a lifecycle."

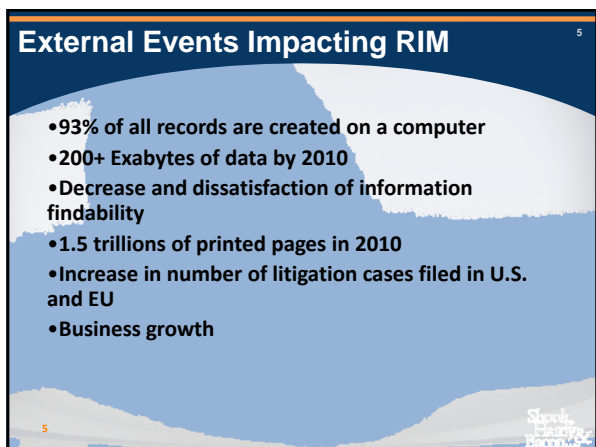
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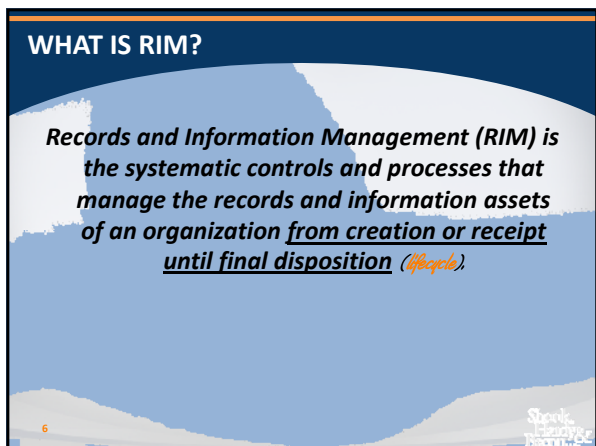
Session Agenda

1. Explaining Records and Information Management (RIM)
2. Principles of Recordkeeping
3. Building a RIM Program
4. Measuring the Program's Maturity

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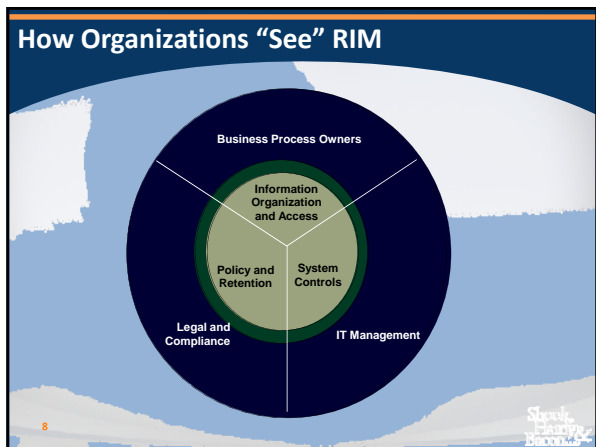


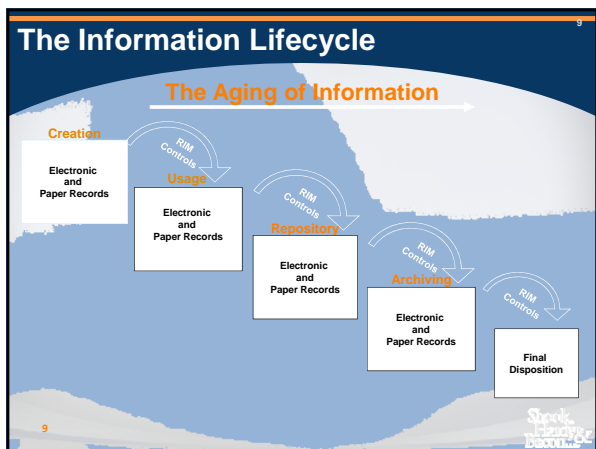
RIM Provides Answers

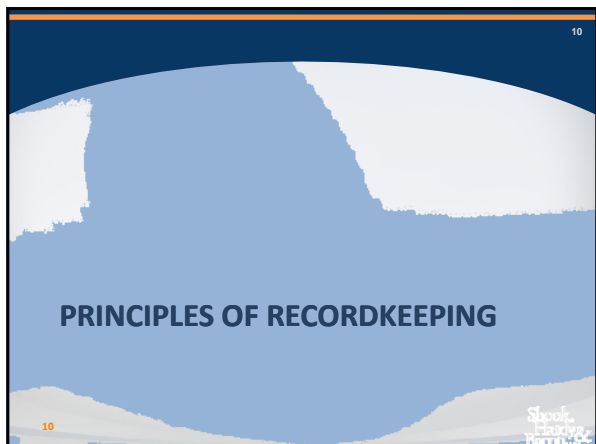
- Requirements for the design of new technology—rules on information in distributed environments
- Retention requirements reduce increasing volumes of data and paper
- Consistency of process demonstrates repeatability
- Controls address the demands from increased litigation
- Classification improves “Findability”

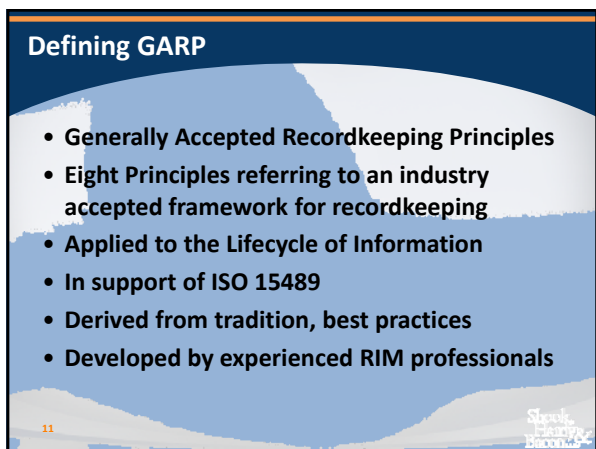
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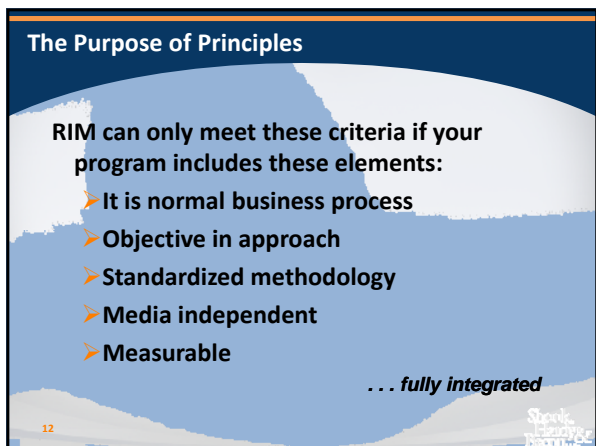













Principle of Accountability

Someone is assigned. . .

- Senior level executive assigned accountability for the RIM Program
- Governance Committee provides oversight
- People are assigned responsibility for every element of the Program
- Established and published roles and responsibilities


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Principle of Integrity

Demonstrate information is authentic

Demonstrate information is reliable


Records are created, dated and signed when, and as, appropriate




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Principle of Protection


- Information is secure from external threats
- Information is protected from unauthorized access
- Access rights are determined on every category of information



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Principle of Compliance


- Legal and regulatory requirements are known and applied
- Practices for managing information abide by laws, regulations and company policy
- Employees are informed of their expectations and know what to do

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Principle of Availability


- Information is findable
- Information access is timely
- Access is efficient & accurate

Taxonomies
File Plans
Quality Control

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Principle of Retention

- Company shall develop a Records Retention Schedule (RRS)
- RRS shall take into account legal, fiscal, operational and historical needs
- Records and information will not be retained beyond its required retention period

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Principle of Disposition

- Determining disposition shall be "business routine"
- Disposition is timely and efficient
- Records to be preserved are identified and properly managed
- Obsolete information is disposed

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Principle of Transparency

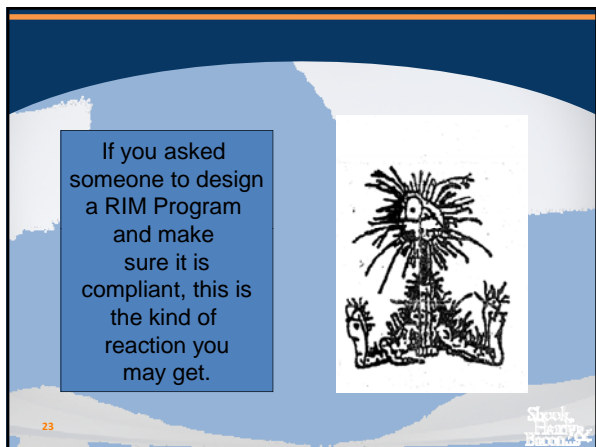
RIM Program processes shall be documented
Documented procedures shall be available to staff
Adequate training shall be offered to ensure understanding
Policy and procedures shall be published in a public locale to ensure access

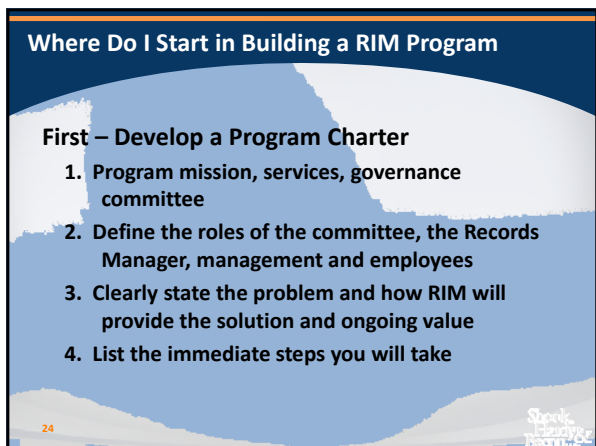
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RIM Applies Throughout Lifecycle

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Choosing Program Elements

Elements for Today and Long-Term:


- Strategy and Roadmap
- Policy and Records Retention Schedule
- Processes and Controls
- Tools
- Communication and Training
- Technology
- Litigation Support

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Develop a Strong Policy

Policy Governs


**Creation
Usage
Maintenance
Storage
Disposition**

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Establish a Governing Model

Establish the Rules

Program Policy	The WHY and rules
Specifications & Standards	The WHAT and WHO
Procedures (SOPs, Work Instructions, or Desk Procedures)	The HOW, WHO and WHERE
Tools and Forms (Checklists, Templates, Guidelines, etc.)	Tools and resources for implementation


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Strategic vs. Tactical

Strategic Elements	Tactical Elements
<ul style="list-style-type: none">➤ Program vision & direction➤ Policy & retention requirements➤ Organization glossary➤ Discovery participation➤ Process design➤ Standards for technology➤ Establishing standards for e-records➤ Audit criteria & monitoring compliance➤ Education	<ul style="list-style-type: none">➤ Managing File Rooms➤ Managing offsite storage➤ Managing archiving of electronic media➤ Oversight in system design or data mapping➤ Scanning & indexing services➤ Hold order communication➤ Procedural training

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And Remember . . .



Getting from the here (where you are today) to there (where you want the program to be) is a journey and does not happen by magic. . .

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Build and Foster Key Relationships

Key relationships RIM should have:


- ❖ Legal provides the legal requirements and the compliance demands
- ❖ IT has tools for creating the records and information and tools for managing
- ❖ Records Management applies the business process to complete the third leg of a stool


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Measuring Maturity

Methods of Measuring Maturity:


- Surveys
- Audits
- Reporting (Monitoring)
- Inspections
- Etc.



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Measuring Maturity


Accountability – *who is responsible*
Governance – *policy, procedures & RRS*
Training – *education; not just showing them how to do something, but why*
Measuring – *controls; repeatable*
Auditing – *checking to see that it works*
Infrastructure – *having people on the team to inform, communicate, sponsor and partner*

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Characteristics of Mature Programs

- Understanding** – *measurable employee awareness*
- Sustainability** – *year-over-year procedures that are repeatable*
- Compliance** – *improved use of services*
“if you build it, they will come”
- Findability** – *broadened knowledge of where records and information are located*
- Readiness** – *improved litigation response time*
- Integration** – *system designs include RM requirements to improve findability, accessibility and retrievability*


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Session Takeaways

1. Programs founded on the GARP principles are a great place to begin
2. RIM sets the rules and processes for managing the lifecycle of information assets
3. RRS and Policies are key cornerstones for good governance
4. Building a Program is a step-by-step process and takes time

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