BUILDING BLOCKS OF RECORDS AND INFORMATION MANAGEMENT

By Janet Ruhala Johnson, CRM
AGENDA

Building Blocks of RIM - RIM Basics

Building Blocks of RIM - Why RIM?

Building Blocks for Your Future
WHAT IS A RECORD?

- Recorded information, regardless of medium or characteristics, made or received by an organization that is evidence of its operations, and has value requiring its retention for a specific period of time.

- From the Glossary of Records and Information Management Terms 2000, Association of Records Managers and Administrators
Electronic and paper: correspondence, chats, faxes, reports, databases, emails, videos, photographs, slides, audio recordings, CDs, DVDs, microfilm and others
WHERE ARE THE RECORDS?

- In file rooms, Records Centers, off-site storage, email system, PC hard drive, portable devices, company repositories, file shares, applications, internet, clouds, iPhones and more
Records and information is:
- Retained only for as long as necessary as per requirements
- Located when needed
- Read when found
- Destroyed at the appropriate time in the regular course of business
- Managed with consistency, accountability, authenticity and trustworthiness
- Managed to reduce duplication and volume
RECORDS LIFECYCLE - PAPER

Creation or Receipt
Maintenance and Use
Disposition

Temporary

Permanent
**Records Lifecycle - Electronic**

**Creation or receipt**
- Format
- Software
- Hardware
- Duplicates
- What is legally acceptable as a record (i.e., images, signatures)

**Maintenance & Use**
- Meta-Data
- Taxonomy
- Classification
- Confidentiality
- Accessibility
- Security
- Retention
- Authenticity
- Reliability
- Trustworthy
- Migration
- Preservation

**Disposition**
- Dispose / delete so that it is irretrievable
- How long to keep data?
- Keep long-term
- Historical
- Transfer to archives
RIM policies tell WHAT is required and may cover:
- How to manage records and information
- Roles and responsibilities
- Data privacy
- Secure disposal
- Types of records (e.g., social media, internet/intranet, eRooms, mobile phones, portable storage devices)

Procedures tell HOW to manage records
WHAT IS A RECORDS RETENTION SCHEDULE?

- It lists what to keep and for how long
- It authorize the orderly destruction of records
- It is the cornerstone of a sound records management program
- Takes into consideration the different values
  - Regulatory
  - Operational / business
  - Legal
  - Historic
# 1.1 ADMINISTRATION (GENERAL)

*The activity associated with the day-to-day operations of the agency. Includes short-term records that can be disposed of as part of normal administrative practice.*

<table>
<thead>
<tr>
<th>ITEM NO.</th>
<th>DESCRIPTION OF RECORDS</th>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.1</td>
<td>ACCREDITATION, CERTIFICATION, AND LICENSE DOCUMENTATION FOR AGENCY FUNCTIONS AND OPERATIONS</td>
<td>GS50-01-42 Rev. 0</td>
<td>Until superseded or terminated plus 6 years</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Includes documentation of any mandatory or voluntary accreditation, certification or licenses for any aspect of an agency's functions and/or operations.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.2</td>
<td>ADMINISTRATIVE WORKING FILES</td>
<td>GS50-01-02 Rev. 0</td>
<td>Destroy when obsolete or superseded - elected official, executive and department head files are potentially archival - See remarks</td>
<td>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Subject files containing informational copies of various records organized by issue, person, subject, or other areas of interest.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Remarks: Contact your Regional Archivist before disposing of elected official, executive or department head files. Records from this series may be selected for transfer to and preservation at a Regional Archives branch.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.3</td>
<td>APPOINTMENT CALENDARS</td>
<td>GS50-01-35 Rev. 0</td>
<td>Destroy when obsolete or superseded See remarks</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Remarks: Elected officials and department heads may want to retain appointment calendars to document activities and appointments for a longer period of time.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.4</td>
<td>CHRONOLOGICAL REFERENCE FILE</td>
<td>GS50-01-03 Rev. 0</td>
<td>Destroy when obsolete or superseded</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Also known as reading or day file. Used as a chronological reference source supplemental to correspondence and subject reference files.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
OTHER RETENTION CONSIDERATIONS

- Master or a copy
- Required or not
- Active or inactive
- Trigger date (when does retention period start)
- Records can take on another retention period if they support other records (e.g., legal contracts, correspondence, purchasing records). It may be part of a larger file this taking on a longer retention period
**Taxonomy, Metadata, Index**

- **Taxonomy** is...a classification of things or concepts, as well as to the principles underlying such a classification.
- **Metadata** is...data about data and describes the contents and context of data files.
- **Index** is...a list of words or phrases (headings) and associated pointers (locators) to where useful material relating to that heading can be found in a document.
What is a Vital Record?

- A record that is needed to resume normal business immediately following a disaster or an emergency

- A vital records plan:
  - Identifies vital records
  - Provides recovery procedures
  - Provides mandatory back-ups
PROTECTION AND STORAGE

- Identify of storage repositories
- Vendor site or in-house
- What controls are required to protect the records (e.g., accessibility and security)
- Must have policies & procedures
- Identify responsibilities and train
- Perform quality checks
DISPOSITION PROGRAM

- Records become eligible for disposition
- How often to hold a disposition program
- What approvals are needed
- How to check for holds
- Use secure disposal
- What documentation to retain for a defensible program
- Perform quality and compliance checks
If there is a policy, it should be followed
Have a plan
Choose communication and training methods and tools
Follow-up and check effectiveness
Consider change management
Utilize the intranet
Target groups
Focus on risk mitigation
WHAT IS A LEGAL HOLD?

- Must be implemented if you learn of an impending or actual litigation, investigation or audit
- Stops the destruction of records at any point and supersedes retention periods
- Procedures to identify responsive records, preserve and release them
- Maintain proper documentation of the program and actions taken
- Educate employees of their responsibilities
COMPLIANCE

- Audits, assessments, self-checks, metrics and reporting, incident reporting
- Identify areas of greatest risk
- Collaborate and partner with others
- Check compliance with what?
- Scope
- How often
- Report findings
- Follow up on remedial efforts
Include the all types of records types (and tools) in your RIM program:
- Email
- Instant messages
- Unstructured data
- Structured data
- Social media
- Mobile devices
WHAT TO DO WITH ALL THE DATA

/std Unstructured Data
  - Office documents
  - Images, graphics, drawings
  - Web pages and content
  - Video

/std Structured Data
  - Databases
  - XML data
  - Data warehouses
  - Enterprise systems (CRM, ERP, etc)
MAKE IT EASY FOR END USERS
BUILDING
BLOCKS OF RIM -
WHY RIM?
WHY IS RIM IMPORTANT

- More than 7,000 U.S. federal and state laws and regulations impact record keeping requirements
- All organizations are regulated - many are highly regulated
- Organizations must be efficient and create revenue
- Information is an asset and needed to protect shareholders and employees
- Some records have proprietary and historical value
So instead of all the complicated rules and the possibility of sanctions why not just keep everything forever?
Increased risk of outdated documents being exposed to damage company’s legal position

Increased costs in discovery in litigation - someone has to find, collect and read all the materials

Internal systems, hard drives, shared drives and networks are filled with useless and outdated information

Difficult to respond quickly to regulators, investigators and court orders
Know the Value of RIM

- Increased executive, managerial and operational effectiveness
- Measurable increases in staff productivity
- Legal defensibility
- Improved customer service
- Reduced operating costs
- Reduced storage requirements
DEVELOP RELATIONSHIPS

- Get a seat at the table...
  - Develop and keep up relationships
  - Include IT, Legal, department representatives, Quality & Risk Management
  - Share ideas and goals
  - Ask for feedback
  - Ask questions

TIP: Be sure you can speak the language...
Gigabyte Cloud storage
Drivers
Unstructured data
Fiber Optic
LAN
Podcasts
CD-ROM
eRooms
Tagging
Blogging
Twitter
Wikis
Gigabyte
Unstructured data
Fiber Optic
LAN
Podcasts
CD-ROM
eRooms
Tagging
Blogging
Twitter
Wikis
Gigabyte
SPEAK THE LANGUAGE - LEGAL

eDiscovery
Collections
Preservation
Forensics
Spoliation
Analytics
FRCP
Court cases
Meta-data
The Principles by ARMA international

- Information management and governance of record creation, organization, security, maintenance and other activities used to effectively support recordkeeping of an organization.
A TIP CARD

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition
STRATEGY, VISION, AND GOALS

- Align RIM program with organizational goals
- Focus on high risk area
- Work with your steering committee
- Set achievable goals with impact
- Create and seek your vision
- Re-evaluate every year at least
- Stay relevant
- Stay visible
YOUR CAREER PATH OPTIONS

- Certified Records Manager (CRM)
- Project Management Professional (PMP)
- Juris Doctor (JD)
- Certified Information Privacy Professional (CIPP)
- Certified Business Continuity Professional (CBCP)
- Certified eDiscovery Specialist (CEDS)
- Certified Information Professional (CIP)
- Electronic Discovery Reference Model (EDRM)
- Six Sigma
- Paralegal
- Compliance, Quality & Risk Management
CONTACT INFORMATION

Janet Ruhala Johnson, CRM
janet.johnson@ey.com
404-817-4672 (office)
QUESTIONS