Introduction to Modern Records Mangement

Class 3
Automating Records Management

READY. COMPLIANT. IN CONTROL.

contoural



Records Management University Syllabus, cont.

Class 3: Automating Records Management

- **The Five Second Rule – Creating combined records management, privacy, data classification and access control processes that employees can follow quickly**
- **A quick review of technologies to automate programs, including technologies that most companies already own today**
- **How to delete email, files and other information quickly and defensibly**
- **Combining policies, processes and technologies to automate records management**

Class 4: Records Management Training, Employee Behavior Change Management and Organizational Development

- How messaging, communications plans, training and audit can be combined into an effective employee behavior change management strategy
- Creating records management messages that resonate, even for employees that don't care about records management
- Creating and staffing a records management organization

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

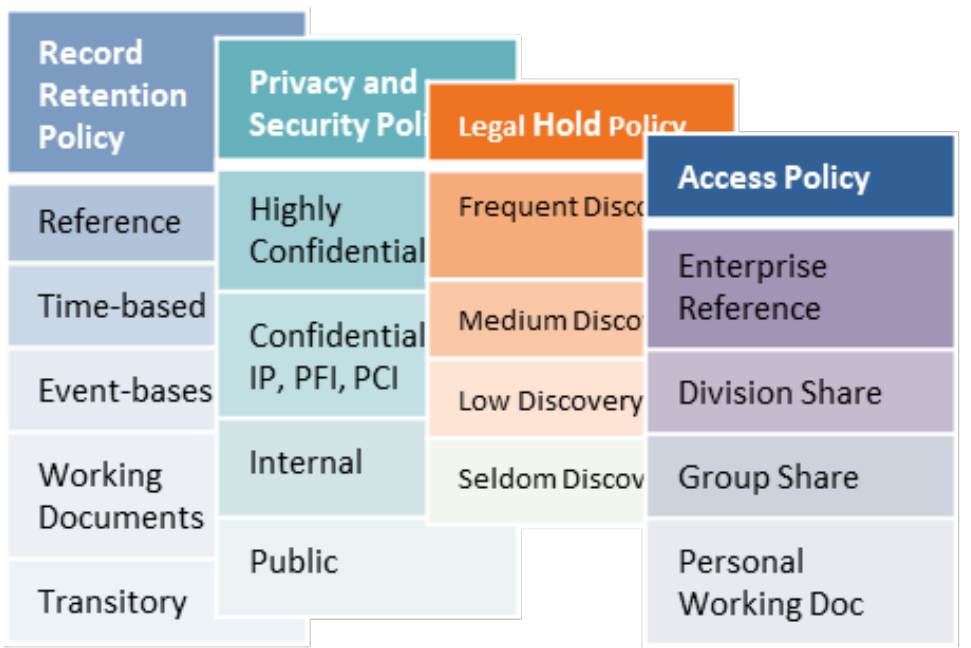
The Five Second Rule



"Five-Second Rule" – Employees will spend up to five seconds manually classifying documents. If it takes longer, they will use the five seconds to subvert the classification process.

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Much of Information Governance Should Be Automated



+



"Five Second Rule"
Employees will spend up to five seconds manually classifying documents. If it takes longer, they will use the five seconds to subvert the classification process.

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Automation for Whom?



Records Managers



Records Coordinators



IT



All Employees

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

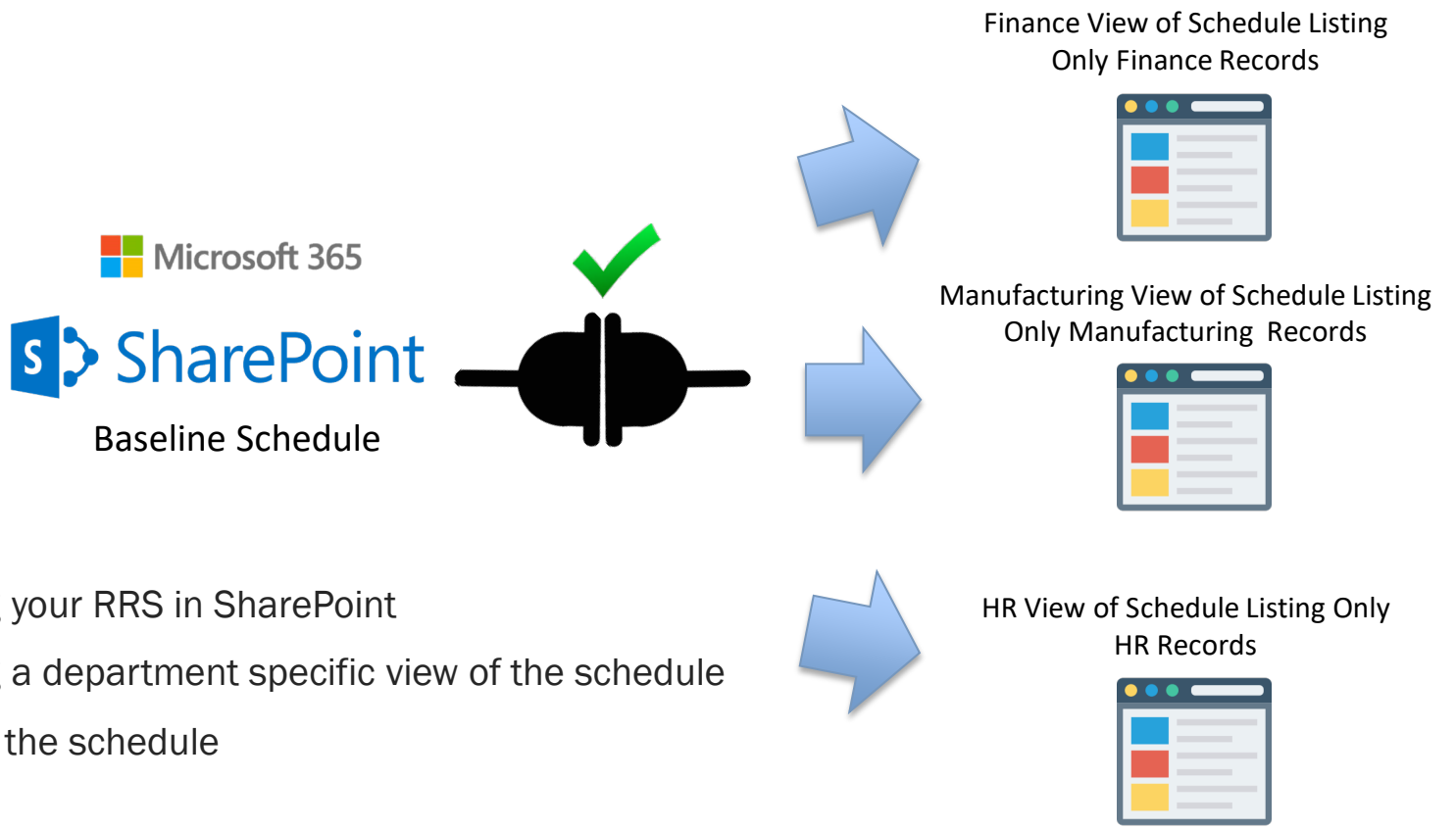
READY. COMPLIANT. IN CONTROL. contoural

Records Management Automation Strategies That Do Not Crack the Top 5

- Updating citations online
- Integrated offsite cube storage and destruction
- Compliance dashboards
- Save everything and search everything
- Content analytics-based taxonomy development
- ….

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Strategy 1: Automate the Publishing of Your Schedule



- Publishing your RRS in SharePoint
- Publishing a department specific view of the schedule
- Searching the schedule

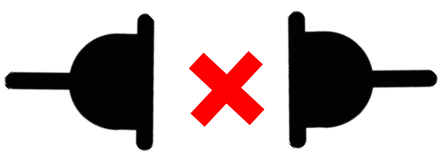
 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

The Compliance Risks of Disconnected Retention Schedules



Cloud-based Citations and Schedule Updates

Compliance Gap 1
Business value retention information not enabled or lost



Always-updating Retention Schedules





Compliance Gap 2
Automatically updated Schedule changes not propagated to implementation



Training Programs



Content Management Configurations



Privacy Access and Deletion Requests

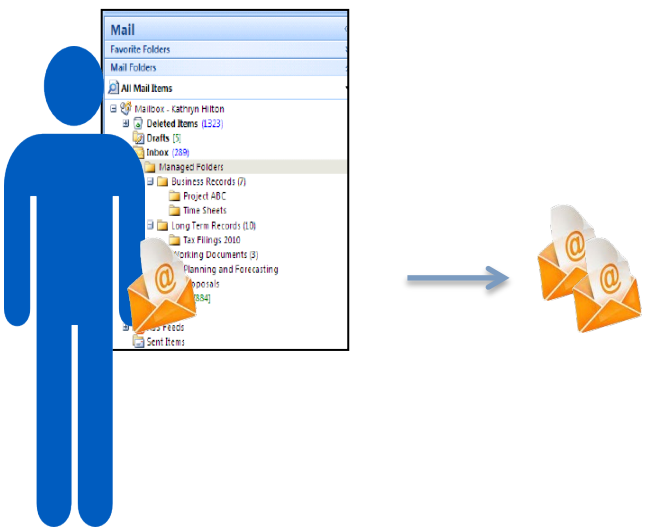
Source: Contoural, Inc.

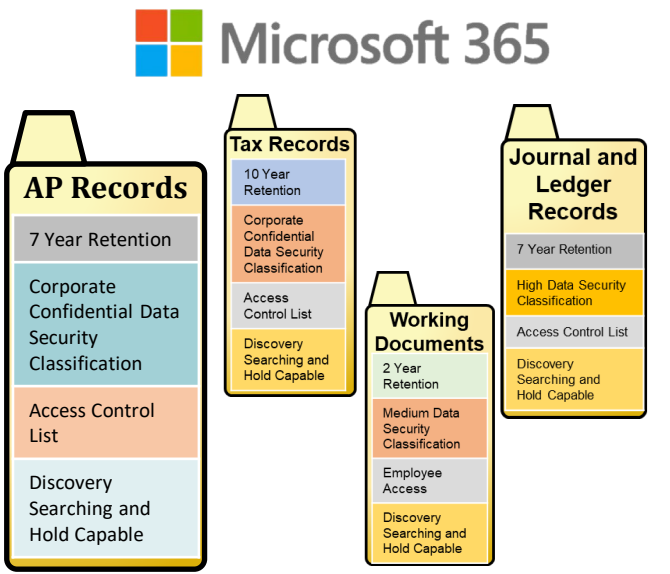
 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Strategy 2: Automate Classification

Drag and Drop Inheritance for Classification

Finance employee drags and drops email records from inbox into appropriate Microsoft 365 Managed Email Folder





When email is placed in a folder, Microsoft 365 automatically tags it with a retention label

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Applying Automated Retention and Disposition Everywhere

Microsoft 365 Exchange for corporate email

Capabilities:

- *Send and receive individual email*
- *Manage email by policies*
- *Email anywhere on any device*
- *Shared mailboxes*

Replaces on-premises Exchange

Microsoft 365 OneDrive for individual file storage and working area

Capabilities:

- Sync Desktop/My Documents to the cloud
- Store files in the cloud
- Allows sharing single files
- Access to files from a mobile device

Replaces individual share drive

SharePoint Online for group records, reference, working areas

Capabilities:

- Department storage and knowledge base
- Version control and Information Governance
- Retention by library and folder
- Workflows, publishing, applications

Replaces group/department file shares

Microsoft 365 Teams for a collaborative area for projects, activities

Capabilities:

- Chat, screen sharing, video/audio conferencing
- Working document file storage
- Group shared mailbox

Replaces Skype, file shares, shared mailboxes, Dropbox, Google Drive

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Case Study: Avoid Short-term Deletion Fixes



Approach: Clean up older files, emails and other documents from file shares, PST files, workstations

Case Study

Organization: Large Manufacturer
Problem: Significant over retention on corporate file shares
Approach: Initiated electronic clean up day, followed up by identifying top 10% of file share users (100 employees out of 5000)

Result: Reduced documents on file shares by 43%

But… Eighteen months later file share storage volume exceeded previous level

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Strategy 3: Automate Retention and Disposition

- Keep documents accessible
- Give users an option
- Centralize control of deletion
- Drive deletion based on user inactivity



 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Enabling Fully Compliant Automatic Disposition



 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

“Where Did My Files Go?”

Behavior Change Management



- Users must know where their information is always
- Do not move information into a new repository without user education
- Deletion must be socialized
- Autoclassification requires even stronger employee behavior change management programs

 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Automation Will Not Solve Lack of Agreement on Policy

- Legal, IT, Compliance and Business Units must agree on what to save and not save
- Autoclassification will not solve lack of agreement
- Executing autoclassification and deletion without agreement may be your last project



 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Retention Schedules are Not File Plans or Taxonomies

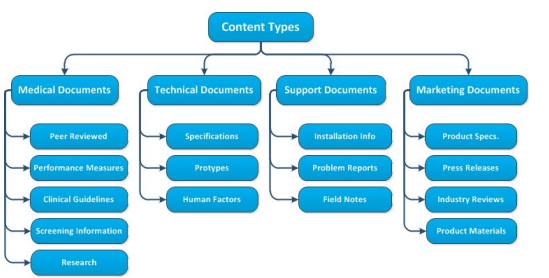
File Plans

- Identify which records are to be retained exclusively in e-mail vs. other media
- Specify which function or organization will be the record owner (vs. convenience copies)
- Determine necessary roles and functional requirements
- Address country-specific privacy exceptions or customizations
- Address go-forward strategy and legacy data migration
- Create archive or content management and e-mail server system configuration settings
- Determine strategy for time-based and event-based records



Taxonomy

- A framework for classifying documents and within Information Governance used to configure SharePoint, Enterprise Content Management and archiving systems.



 Copyright © 2006-2023 Contoural, Inc. Confidential materials, may not be distributed or reproduced outside of Contoural without written authorization

Questions?



Tom Mighell, COO
tmighell@contoural.com

READY. COMPLIANT. IN CONTROL.

contoural