Introduction to Modern Records Mangement

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

READY. COMPLIANT. IN CONTROL.

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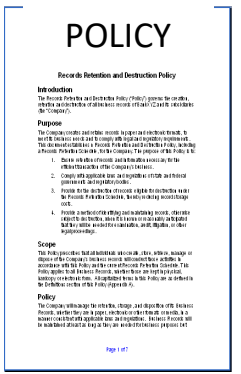


Problems with Employees Hoarding Documents

Non-compliance with Record Policies

3 Years

7 Years


POLICY

Records Retention and Destruction Policy

Introduction

Purpose

Scope

Policy

5 Years

Indefinite

Increased Risk of Data Breaches



Increased Discovery Costs and Risks

FRCP

Legal Holds



Rule 26f

Decrease in Employee Productivity & Collaboration



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Success is a Behavior Change Management Problem

Current Employee Behavior and Practices

- "Save everything everywhere"
- "My data"
- All information should be available to everyone
- Access anywhere, anytime
- No understanding of corporate privacy responsibilities or consequences

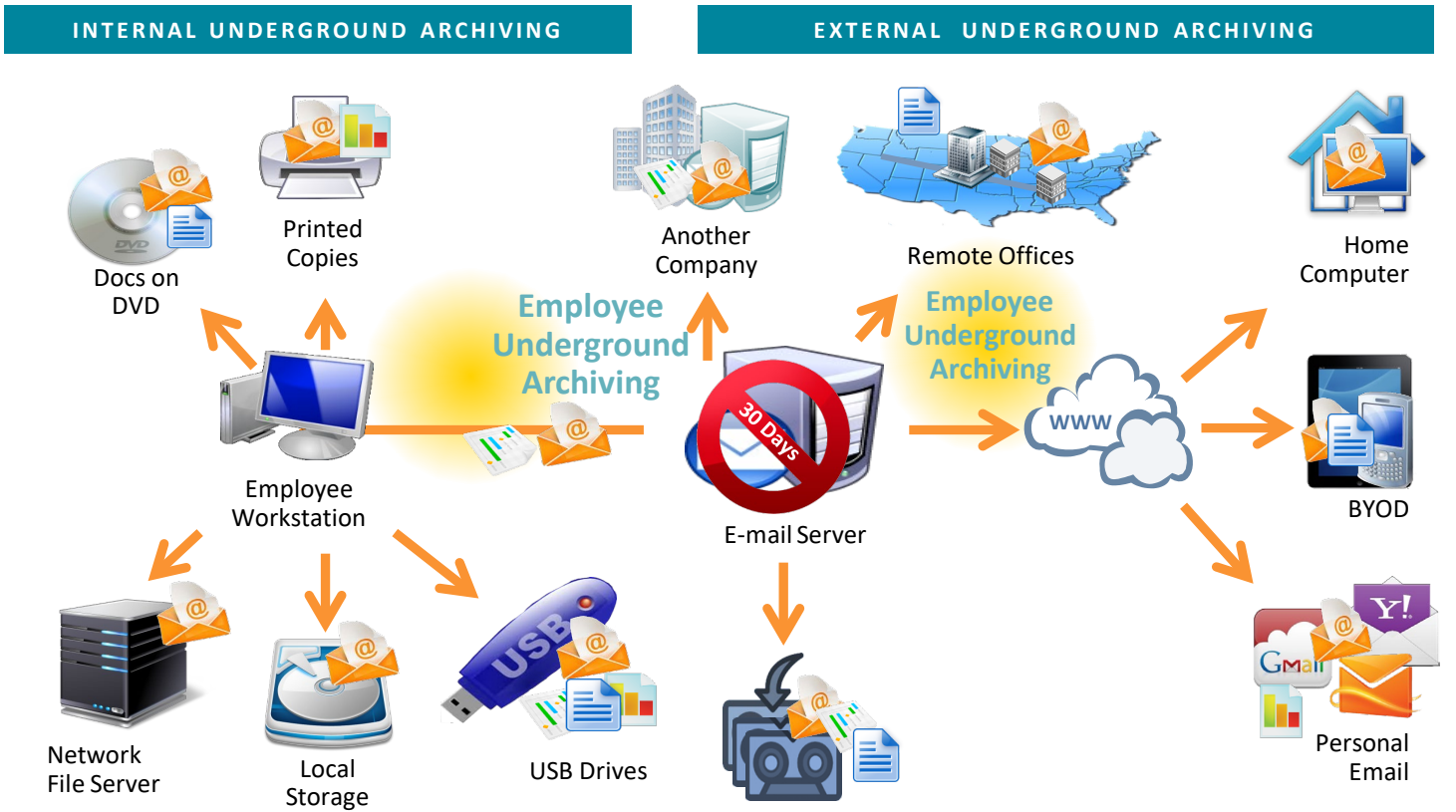


Desired State

- Increased productivity
- Data only in designated repositories
- Appropriate use and access of information
- Awareness of responsibilities and consequences
- Reduced risk of unintentional disclosure

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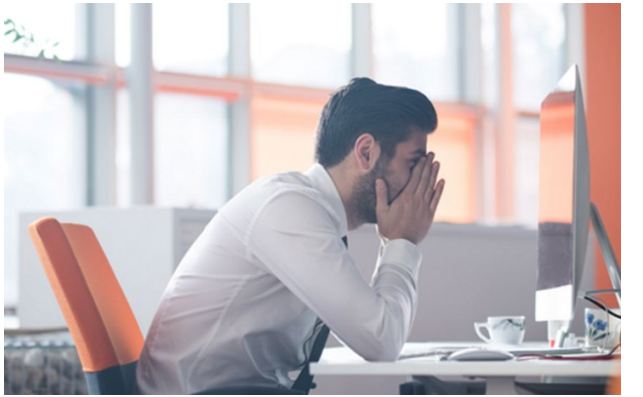
Aggressive Deletion



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Self-Certification



Approach: Employees

Tactics:

- Employees sent monthly email with link to confirm retention policy compliance and document destruction
- Employee click on link to confirm compliance
- All employees monitored to ensure they acknowledged compliance

Case Study: Large High Technology Company
Approach: Policy self-certification
Result: Majority of employees clicked link

But… Subsequent audits revealed significant non-compliance.

Reasons included:

- "I'll get to it later, I need to get back to work now."
- "This does not apply to me."
- "To be honest, I just clicked. Wasn't sure why I was supped to click."

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Getting Strategy Buy-in



Constituency	Buy-in Needed
Stakeholder Steering Committee	• Why this needs to be addressed • Approach, budget, and timeframe
Senior Management	• Strategy awareness • Impact of problem on business • Communicating the message downward
Mid-level Management	• Strategy awareness • How this will help business • Impact on their employees • Identify champions in their groups
Departmental Record Coordinators	• Understand key messages • Role and time commitment
Employees	• Buy-in • Making their lives easier • Communication and Training is mandatory

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Understanding Employee and Business Unit Pain





- Average Employee Spends 4 to 6 hours per week searching and managing email, files and paper
- Enterprise-wide processes can break when information is siloed within individual departments

Employees' Comments
"We are drowning in e-mail"
"Don't have time to organize"
"Was on verge of sending out contract when email box full"
"Every time we reinvent the wheel when I know someone has created this before."
"I spent the first two months on the job combing through my predecessor's email."

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Understanding Behavior



"Pilers," 50% - 60%

Accumulation in inboxes, desktops



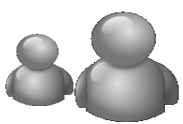
"Filers," 35% - 45%

Documents go in folders



"Deleters," 5% - 10%

Few documents are saved, most are deleted



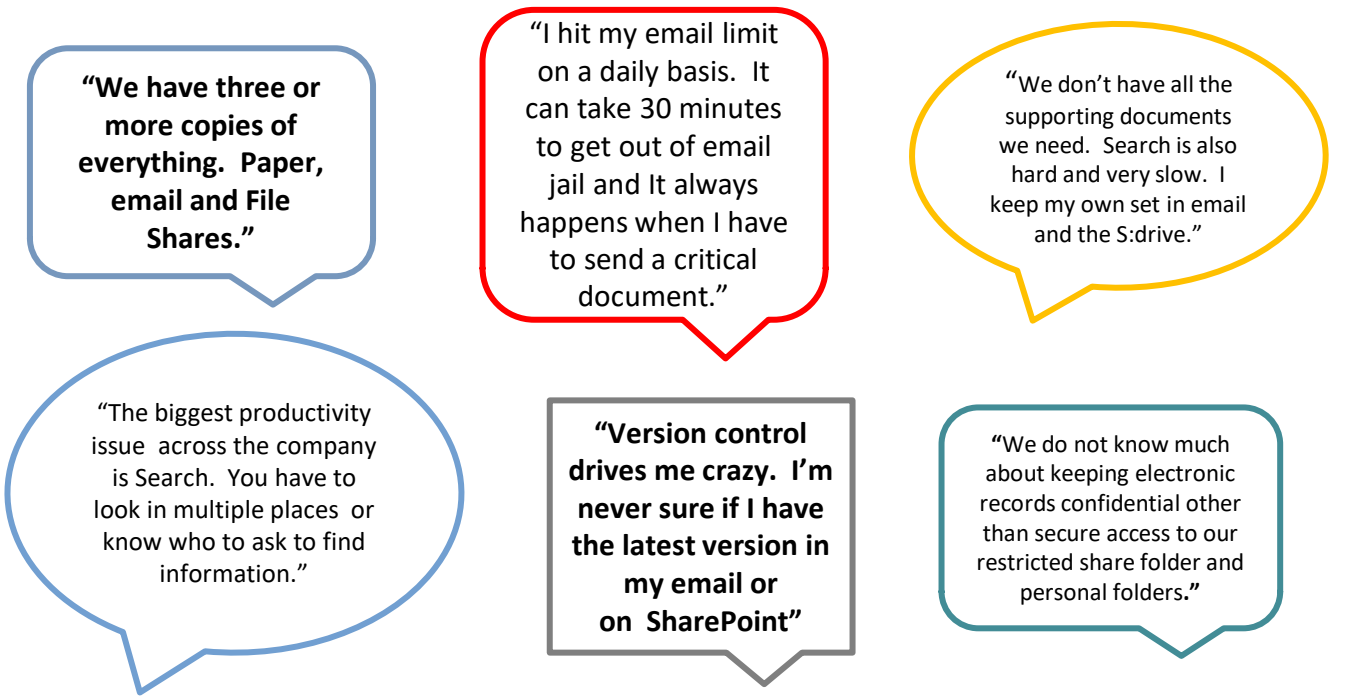
"Can-you-get-me's," 5%

Documents retrieved from assistants

- Where are you saving?
  - Employees' work spaces
  - Production applications
  - Desktops/laptops
  - File shares
  - Remote offices
  - E-mail stores
  - PST/NSF files
  - Secure repositories
  - Hosted applications
  - Cloud storage
  - Third-party providers
  - Facebook/LinkedIn
  - iCloud
- How much is tied to business process?
- Ticketing system
  - Which of your records are created, or stored in e-mail, files?
  - How does this vary across business units, functions and roles?
  - What do employees believe they need to do their jobs?

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Talk About Records Through Employees' Plainspoken Needs



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Before You Get Started….

- ☑ Up-to-date retention policy and schedule
- ☑ Defensible legal hold policy and process
- ☑ Information Governance technology roadmap
- ☑ Participation from key stakeholders: legal, compliance, audit, IT
- ☑ Have the organizational will and desire to change

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Communications Plan and Training Tactics



- Communication Plan: Identifies which audience segments: executives, managers, sales, record coordinators, and messages to these audiences.
  - "Hunting License"
- Training Plan: Audiences, timeline, definitions, content, media, trainers.
- Train the trainer model and CBT can deliver the same content.
- Trainer can take Q&A. Many will do a hybrid approach with CBT and lunch and learn.
- Extra training for IT and the helpdesk – may need extra help
- Including email usage guidelines: Most companies have them and need to have them updated and revised
- 24/7 hotline, roaming the floor during cutover
- Most want to limit training to 30 minutes or less

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Creative Employee Engagement





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Communicate, Communicate, Communicate

1) Designate target message deliverer & recipient

- Senior Executives
- Steering Committee
- Business Unit Heads
- Records Coordinators
- Managers, Supervisors
- Employees

2) Decide on message timing

- Initial Orientation
- Annual Training
- Monthly Updates
- Quarterly Reviews

...and determine a mode of communication

E-mail		Focus Groups	
Intranet Postings		Risk Assessments	
Break Room Flyers		Learning Management Systems	
Surveys		In-Person Training	

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Program Rollout

Pilot rollout:

- Always do a pilot(s) first along with technology pilot
- Survey and audit users after the pilot, and adjust
- Modify training for different audience segments -- i.e. “Sales only wants training via iPad.”



General rollout:

- Do rollout in waves
- In parallel with communication
- Do another audit on the backend
- “White Glove Treatment” for senior executives

Legacy data rollout:

- OK to address legacy data as follow on
- May involve different strategies, e.g. discovery tool
- Legacy data remediation can piggy back large ediscovery

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The Hidden Blocker…Legal

- Disposition targets circulated to legal for approval
- Legal receives
- Awaiting legal's approval
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Level of Hires - Information Governance Staffing Roles

IG Organization Roles:

Four possible roles:

- **IG Steering Committee** representing key stakeholders and largest business entities; no reporting lines
- **IG Program Executive** acts as the functional head of the IG Program; typically a direct report to Legal , Compliance or IT
- **IG Compliance Leads** are strategically placed based on the matrix structure selected;
- **Records Coordinators** facilitate implementation of the IG Program activities support to execute program activities



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Core Skills for Records Management and Information Governance Hires



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Defining the Role: Builder v. Maintainer

Program Builder	Program Maintainer
Likes building IG programs	Prefers managing over building
Prefers challenge of constructing something new	Enjoys managing an ongoing effort
Happy to be a bit on “cutting edge”	Content to make incremental improvements
Can get bored once program is complete	Has ability to focus on the details
Sometimes lacks patience when faced with a slower pace	Has ability to stay with a task over a longer duration
Often have a limited tenure	Has the potential to stay in the role for a long time

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Defining the Role: Full-Time or Part-Time

M – T – W – Th – F

FTEs are almost always difficult to justify…

Key Considerations:

- Number of employees
- Number of locations and geographies
- Regulatory environment
- Audit findings
- Litigation and FOIA profile
- Flexibility in re-assigning internal resources
- Potential for using contract resources
- Build phase may require full-time resource but could transition to part-time role for maintenance phase

M – T – W – Th – F

Consider a Part-Time Role

Key Considerations:

- Program maturity (maintenance)
- Program complexity
- Budget constraints
- Potential for using a phased program rollout (adding resources over time)
- Flexibility in re-assigning internal resources
- Potential for using contract resources

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The Last Word: Don't Let Perfect Be the Enemy of Good

- You will never get to perfection
- Legal standard is "Good faith, reasonable efforts"
- Long wait for perfection - risky
- Start with good today
- Improve over time



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About Contoural

Largest independent strategic consulting services provider serving more than 30% of the Fortune 500 plus many small and mid-sized companies. Services including records and information management, litigation readiness and control of sensitive information consulting services. Sponsor of the ACC Information Governance Network.

Independent – Contoural does not sell any products, provide document storage services or offer "reactive," matter-specific discovery services.

Cross Functional – Our engagements incorporate a combination of legal, compliance, records management, information technology, security and change management best practices.

Flexible – Contoural services can be tailored either for some part of a specific project or an entire enterprise-wide program.

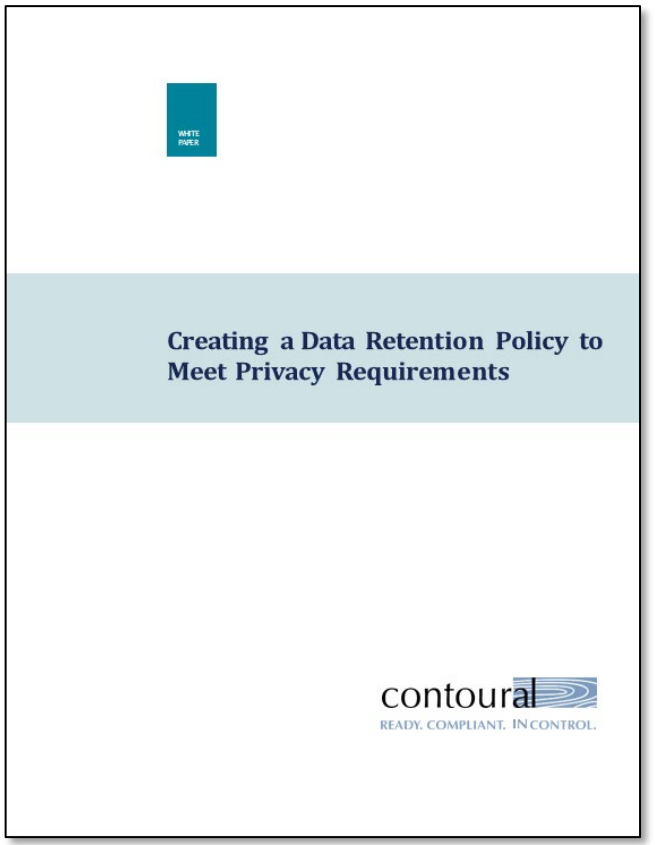
Experienced – Contoural has served more than 30% of the Fortune 500, a number of federal agencies, as well as numerous mid-sized companies and public entities. Our consultants average more than 24 years of experience in their respective field.

Real Impact – Contoural services provide measurable impact on real-world business needs.

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Creating a Privacy-enabled Records Retention Schedule

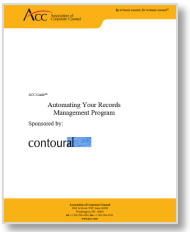
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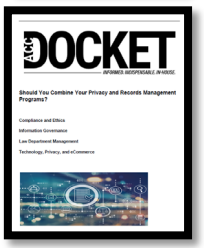
White Paper: *Creating a Data Retention Policy to Meet Privacy Requirements*

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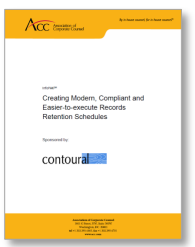
Questions and Additional Content



Guide: *Deleting Emails and Files Quickly and Defensibly*



Article: *Should You Combine Your Privacy and Records Management Program*



Guide: *Creating Modern, Compliant and Easier-to-Execute Records Retention Schedules*



Article: *Upgrading Your Traditional, Paper-centric Records Program to Be More Modern, Compliant and Useful*



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