Traditional Records Management Programs

Is it defensible?
Master of Information Management Capstone
Which department do you support?

How many years of experience do you have?
Outline

• Research Study
• Research Question
• Experts Insight
• Risks for a Traditional Program
• Methodology for Case Study
• Conclusions
• Recommendations
Records Organization Campaign: A Case Study on Defensibility
What is ROC?

- ROC = Records Organization Campaign

- Activities included:
  - Training accountability network
  - Training general staff
  - Organizing content
  - Classifying content
  - Disposition
Research Goal & Question

ROC is a compliance requirement (BU’s must participate):
• Are all staff participating and really completing ROC activities?
• Is the retention schedule being followed during the destruction phase of ROC?

Research Question:
• Are the business units destroying records in the shared environments per the retention schedule?
  • Are the records classified correctly?
  • Is there a flagging system in place to identify legal hold order (LHO) information?
  • Do they have written procedures for managing their information?
  • If there are measurable items per the written procedure, is there evidence that they are being followed correctly?
Basic Records Management Programs…

- Records Policy
- Records Retention Schedule
- Annual Purge Day
- Pizza Day
Experts Insight

• “A well-executed records management program helps mitigate these risks [compliance issues, confidentiality breaches, security threats] in much of the same way that legal counsel or an insurance policy does—by acting as a safeguard against unexpected future events” (Bieri, 2014, para. 1).

• “These programs [records management programs] must be rigorously enforced by management in order to minimize liability” (Minton, 1993, p.50).

• “Just one employee maintaining his own personal set of records can undermine an entire document management program” (Minton, 1993, p. 50).
Experts Insight

• Diamond (2008) stated: "A records policy and schedule that is not followed is worse and puts the organization at greater risk than having no policy whatsoever" (p.15).

• “Everyone is presumed to know the law. Thus, ignorance of the law is no excuse for failure to comply with a legally-mandated retention period” (Skupsky, 1994, p.43).
Is ROC Defensible:

YES

Routine process supported by policies, procedures, and retention schedule
The defensible portion of the ROC event “annual purge day” rests on the fact that employees would not knowingly destroy data on legal hold and that employees are following the company’s program and not destroying regulatory records early.
Risks of a Traditional RM Program

• Premature destruction of records:
  • Employees not discerning an original master copy versus duplicate.
  • Wrongful retention classification

• Deletion of legal hold order information:
  • Due to unknown location, in place preservation, or orphaned content.

• Not having a routine process documented with clear direction on the requirements for an annual purge day.
Scope & Methodology

Shared storage repositories

Unstructured information and records.

Assessments – 76 questions

- Completed in the same manner as an audit; no human interaction.

Interviews – 32 questions

- Staff with responsibility and accountability for management of records or the storage repository.
## Conclusions

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<tr>
<th>Corporate Governance</th>
<th>Inadequately Trained Staff</th>
<th>Absence of Technology</th>
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| • Lacking general oversight | • Responsible without knowledge of:  
  • Regulatory requirements  
  • Business operation changes  
  • No formal training provided | • Manual effort to locate, identify, and tag (or track) documents  
  • Metadata is non-existent or functionality is not available to use |
| • Change Management |                          |                       |
| • Assessment/Auditing |                          |                       |
Recommendations – Short Term

RM Governance Committee

Provide oversight and structure to support the business units.

Defer ROC (Annual Purge Day)

Until classifications are assigned correctly
LHO tracking is completed, and individuals are trained on event triggers

Assign RM roles to business

From Admins to business operations – those that are familiar with the information.

Provide action items

Plans and templates to explain the “how” on managing information.
Recommendations – Long Term

RM Governance Organization

- Ongoing direction (assist people, create process, enhance technology)
- Conduct assessments/audits for compliance validation

Offer basic training

- Provide RM principles training to staff

Provide compliance strategy

- Provide the “what” and “how” to achieve compliance

Embed RM in operations

- Set an IM strategy for RM lifecycle management to be embedded into the business operations
What were the surprises?

THE RESULTS
What were the surprises?

• Managing unstructured content in a file share is nearly impossible.
  • Status
  • Record & status dates (event triggers)
  • LHO tracking
  • Ownership assignment

• If that’s the case for a shared drive, imagine what the personal drive looks like?
What can you do?

Validate that the process is fully documented and completed routinely.

Ensure employees are trained appropriately:
- Master copy versus duplicate
- Correct retention classification
- Preserve and track information on legal hold
Key Point

A traditional records program is still applicable and defensible, as long as there is a provision for all of the necessary requirements.
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