Records and Information Management

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Define Records and Information Management

Records management, also known as records and information management or RIM, is the professional practice of managing the records of an organization throughout their life cycle, from the time they are created to their eventual disposal. This includes identifying, classifying, storing, securing, retrieving, tracking and destroying or permanently preserving records.

Why Records Management?

The purpose of records management is part of an organization's broader function of Governance, Risk, and Compliance (or "GRC") and is primarily concerned with the managing the evidence of an organization's activities as well as the reduction or mitigation of risk associated with it.
What is Information Governance?

Information governance, or IG, is the activities and technologies that organizations employ to maximize the value of their information while minimizing associated risks and costs.

-Information Governance Initiative

Opportunity: Information Governance

Information governance encompasses more than traditional records management. It incorporates information security and protection, compliance, data governance, electronic discovery, risk management, privacy, data storage and archiving, knowledge management, business operations and management, audit, analytics, IT management, master data management, enterprise architecture, business intelligence, big data, data science, and finance.
Agency Mandate: 2011 Presidential Memorandum

Directs agency heads to take specific steps to reform and improve records management policies and practices:

i. Creating a Government wide records management framework that is more efficient and cost effective;

ii. Promoting records management policies and practices that enhance the capability of agencies to fulfill their statutory missions;

iii. Maintaining accountability through documentation of agency actions;

iv. Increasing open Government and appropriate public access with applicable legal requirements related to the preservation of information relevant to litigation; and

v. Transitioning from paper-based records management to electronic records management where feasible.
RIM Myths

• RIM is only needed by large corporations, or those in highly-regulated industries
  – If you have data, you’re impacted, and who doesn’t have data?
  – *If you have customers, suppliers, partners, products or services, you have exposure*

• RIM belongs to a small group of dedicated people, such as Legal, Records Management, etc.
  – *Problem and solutions have grown beyond the ability of traditional records managers*
  – *New skill sets are needed. Records managers need to be technologists, business people and lawyers now, not just librarians*
Develop a RIM Program

• Enterprise Overview
• Define Policy by Regulatory and Business need
• Discuss IT Department Representative(s) responsibility in supporting and managing Records and Information
• Compliance with the Records Retention Schedule (RRS)
• Records and Information Management (RIM) Procedures Manual and Industry Standards and Best Practices
• Education
Some Considerations in a RIM Program

1. RIM Program Overview
2. RIM Fundamentals & Policy
3. Records Retention Schedule
4. RIM Procedures Manual
5. Disposition & Legal Hold
6. Shared Drives & Folder Structure
7. Systems of Records
8. Guidelines and Functional Requirements
9. Next Steps
Records and information shall be created, protected, managed and disposed of in accordance with applicable laws, regulations and requirements of this policy and company policies.
Risks of Not Managing Records

• Fines, sanctions and penalties
• Legal Obligations
• Fiduciary Duties
• Work Processes Impacted
• Increased Cost of Legal Discovery
What are Records?

Any recorded information, regardless of medium or characteristic, created, received, maintained, and retained by an organization in pursuance of legal obligations or in the transaction of business.

Records can be found in any format:

- electronic
- email
- paper
- other media

• Official Records are the version of a record or information that must be retained for the Official Records Retention Period.
Records Lifecycle

- **Creation/Receipt**
- **Classification**
- **Retention**
- **Use**
- **Disposition**
Components of the Program

1. RIM Policy & Glossary
2. Records Retention Schedule (RRS)
3. Legal Hold
4. RIM Procedures Manual
5. Departmental Procedures
6. Auditing
7. Records Coordinators & Associate Training
RIM Policy Overview

The Policy establishes Company policy for:
- Ownership of Company records
- Records creation
- Retention and preservation
- Disposition
- Compliance with legal and regulatory requirements
- Data protection
  - Records should be classified and protected
  - Access to them controlled according to their Security Level
The Role of Department IT Representatives

- The IT Representative(s) is the contact to support the Records Coordinators (RCs) within each department and the Corporate Records Management Department
- Help Record Coordinators (RCs) with the management and disposition of department electronic files and Official Records, and support general compliance with the RIM Program
- Implement and maintain the Guidelines and Functional Requirements for digital records management systems
- Ensure that records subject to Legal Holds, Audits and Investigations are protected from disposition
- Control Access and Security
Records and information are managed in Systems of Records, Shared Drives, Department Servers and e-mail according to the Records Retention Schedule.

Periodically, Records Coordinators will request a Records Inventory Report of records that are eligible for disposition.

Records Coordinators will submit request to IT to generate Records Inventory Reports to identify official records, convenience information and/or transitory records/information subject to disposition.

IT Representatives generate Records Inventory Reports upon approval from Department Management.

Disposition approval will be sent to the Department IT Representative.

Tax, Legal and Compliance conduct the final review of records subject to disposition.

Records Inventory list is reviewed and approved by the Corporate Records Management Department. Some records may be held due to litigation or audit.

Records Coordinators review and highlight exceptions to disposition. Department Managers review the report.
Disposition Procedures Overview

• Disposition of Records Procedures support the RIM Policy and define rules and requirements for:
  – Retention and disposition of records
  – Preservation for Legal Holds
  – Protection of records
Disposition of Records

Records Coordinators
- Identify records subject to disposition using the RRS
- Retain records identified as subject to a Legal hold
  - Work with Key Custodians within their departments to ensure records that are subject to Legal/Audit Holds are retained accordingly
- In preparation for the RIM Review Day disposition process, review Electronic Inventory Reports to ensure official records are protected and validate records class codes are accurate in compliance with disposition authority
- Submit Disposition Approval Request to the Department Management and the Corporate Records Management Department
Disposition of Records (cont’d)

IT Representatives

– Verify with the Records Coordinator information has been tagged for disposition according to the RRS and the Procedures Manual

– Confirm disposition authorization with the Corporate Records Management Department

– Retain records identified by Associates as subject to a Legal hold and/or Audit hold

– Review Records Inventory Reports in preparation for the RIM Review Day disposition process to ensure official records are protected and validate records class codes are accurate in compliance with disposition authority
RIM and Legal Hold

• Legal Hold is a communication issued by the Legal Department as a result of current or reasonably anticipated litigation, audit, government investigation, or other such matters that suspends (or stops) the normal disposition or processing of records and information.

• A legal hold applies to both Official Records and non-records.

• Penalties can be significant – criminal in government investigations.
Disposition of Electronic Records & Email

- Disposition for a record, is the final action taken per the Records Retention Schedule, concluding with destruction, transfer, or permanent preservation, or, for records with historical value, transfer to a historical records archive.

- Prior to disposition of electronic records or email, Associates shall obtain authorization from Department Management and the Corporate Records Management Department to delete documents.

- Documents to be deleted must have passed their retention period or be Convenience Information.

- IT deletes documents from file shares, document management systems, or archives upon direction from Corporate Records Administration or the Information Owner.
Why Get Your House In Order?

• Efficiency
• If you are offering services related to Records and Information Management, you might consider how your own organization manages information
• Information has both value and risk. Depending on your organizational profile, the ROI is probably there
• Low-cost and free tools are available from providers like Microsoft through non-profit programs like TechSoup.org
Tools: Office365 for Non-Profits

Do more good with Office 365 Nonprofit

Free for nonprofits

With the Office 365 Nonprofit donation, qualified nonprofits get Office 365 for free or at a significant discount. Office 365 will reduce your costs, increase your organizational capacity, and foster better team collaboration, so you can do more good and create more impact.
Tools: Office365 for Non-Profits

Are You Ready for Microsoft Office 365 for Nonprofits?
Find out if your organization can benefit from moving to Office in the cloud

Ginny Mies - September 10, 2013

Is your staff spread across several locations? Do you have a limited budget for IT support like installations and upgrades? Are your staff and volunteers requesting to work from personal devices, such as their smartphones or tablets? Your nonprofit or charity might be ready to migrate to the cloud. But you might also have some trepidation about going completely online, especially if you’re working with sensitive information. Microsoft Office 365 for Nonprofits allows you to have both the full capabilities and secure environment of installed software with the collaborative, anywhere availability of the cloud.

Eligible nonprofits and charities can now receive donated and newly discounted versions of Office 365 tailored especially toward nonprofits. And because nonprofits come in different sizes and have diverse technology needs, there are four plans to choose from.

Benefits of Office 365
Office 365 deepens the word processing, data analysis, communication, and productivity features of Office that your staff is already familiar with. Here are some of its key benefits:

- **Office Web Apps.** You’re on your way home from the office and realize that you forgot to update an important document. What do you do? With Office Web Apps, you can open, view, and edit documents right from your browser (Internet Explorer, Chrome, Firefox, or Safari) on your home computer. Your staff can use Office 365 on up to five of their own devices, giving them the flexibility to work wherever and whenever they need to.
- **Hosted email.** With Microsoft Exchange Online, you can access your email, shared calendars, and contacts from your PC, Mac, Windows Phone, or smartphone with web or mobile apps.

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• Computer Technicians
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