

Big Buckets for Enterprise Records Management

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Learning Objectives

Upon completion of this session, participants will be able to:

- Identify options for streamlining retention schedules to 50-100 retention categories or buckets
- Expand the retention schedule to include metadata for search/retrieval throughout the information lifecycle
- Determine additional attributes to be associated with records as they are declared and classified in an ERK, including vital records, “at risk” records, retention rules, security classification, and official owners

Exponential Growth of eRecords

“... the solution to the overabundance of information is more information.”

David Weinberger
Everything is Miscellaneous. New York: Henry Holt
& Company, 2007



Enterprise Records Management

- Need unified strategy
 - Common taxonomy to organize, describe, and link records (classification scheme)
 - Single set of retention policies for all physical and electronic records, including email (retention schedule)
 - Standardized indexing (metadata)
- Need “easy button”



Types of Retention Schedules

- Departmental Model
 - Hundreds or thousands of records series
 - Duplication between departments
- Functional/Process Model
 - Broader classification, fewer record series
 - Represents core business function/process regardless of departmental ownership
 - Adopted by ISO 15489



Big Bucket Approach

- Record series or “buckets” have same or similar:
 - Business processes
 - Legal and regulatory requirements
 - Business requirements
 - Retention periods



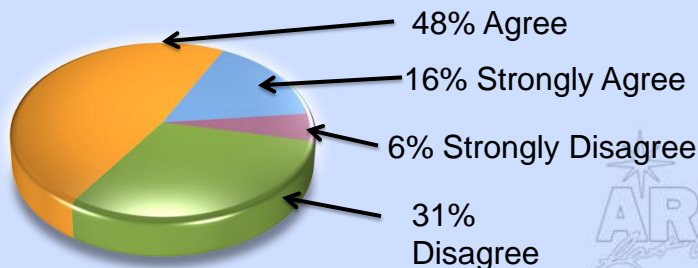
Business Drivers Behind “Flexible Scheduling”

- US National Archives and Records Administration (NARA) was early promoter
 - Advanced “bigger bucket” approach to improve efficiency of records appraisal processes
 - Granular retention schedules required too much effort in inventorying and scheduling routine records



Cohasset/ARMA/AIIM Survey 2007

- Do you believe the “big bucket approach” is the best way to meet the challenge of classifying large daily volumes of electronic records?



What is a Reasonable # of Buckets?

- About 100 categories total
- Cohasset/ARMA/AIIM Survey 2007
 - 26% have 100-250 record series
 - 31% have fewer than 100 record series



Benefits of Big Buckets

- Easier for users to manually classify content for retention
 - Keep retention periods transparent to users
 - May need to customize drop-down menus by role or department
- Mitigates risk from retaining records too long
- Lower total cost of ownership



Benefits of Big Buckets

- Compelling benefits from technical perspective:
 - Easier for computer systems to automatically categorize content for retention
 - More obvious to software which category is correct choice
 - Internal system efficiency will improve
 - Disposition processing will run faster and complete sooner



Reservations

- How to handle case-type files?
 - Often contain records with varying retention requirements
 - Consider cost/risk factors - separate series for more risk-prone records?
- How to handle event-driven retention or “indefinite” requirements?
 - 30 to 50% of records series
 - Consider assigning a fixed number of retention years



More Reservations

- What if legal requirements change?
- Records managers and attorneys often rely heavily on descriptive information embedded in retention schedules
 - With ECRM can leverage additional metadata
 - Use powerful search tools



How to: Big Bucket Approach

- When developing a **new** retention schedule
 - Develop list of records series organized by business functions/processes
 - Map relevant legal and regulatory requirements to record series
 - Map business requirements to record series
 - Produce first draft big bucket retention schedule



How to: Big Bucket Approach

- When developing a **new** retention schedule (cont.)
 - Consolidate record series into bigger buckets
 - Need active participation from legal, RM, IT, and key stakeholders
 - Involve end user community
 - Consider organization's risk tolerance, history of litigation, intensity of regulatory scrutiny, record volumes, and resource constraints



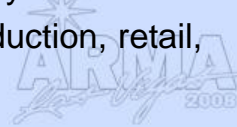
How to: Big Bucket Approach

- When streamlining an **existing** retention schedule
 - Update legal & business requirements every 18-24 months
 - Consolidate record series related to same/similar business into bigger buckets
 - Provide crosswalks to legacy records classified to the old schedule



Example Big Bucket Approach

- Old Schedule (5 record series/buckets)
 1. Cost Accounting AC10 6 years
 2. General Accounting AC10 6 years
 3. Intercompany Accounting AC10 6 years
 4. Production Accounting AC10 6 years
 5. Retail Accounting AC10 6 years
- New Schedule (1 record series/bucket)
 1. General Accounting AC10 6 years
Includes cost, intercompany, production, retail,
and revenue accounting



QUESTIONS?



Buckets & Email Management

- Bigger buckets support management of email
 - Fewer options for classification!
 - Facilitate assignment of series to “roles”
 - “Auto-assignment” of email to series
 - Drop-down of relevant series for user selection
 - Rules associated with series used to dispose of email records per the retention schedule



Data Management

- Describe information to facilitate:
 - Access
 - Control
 - Lower cost of storage

throughout the information lifecycle!
- Consider risk and cost when determining data elements for capture
- Assign as early in lifecycle as possible



Biggest Bang Out of Buckets

- Apply “macro” level descriptors inherent to bucket/series
 - Classification code (taxonomy/semantics)
 - Retention rule
 - Access rights: public, confidential, privileged/private, secret, internal, third party access/restriction
 - Regulatory body: HIPAA, GLB, SOX, OSHA
 - Controlled documents (ISO)
 - Storage platform/location



Additional Descriptors

- Apply “micro” level descriptors to information (non-native attributes)
 - Identifiers: customer, vendor, project/program, well number, asset, contract, country, case
 - Vital record status
 - Suspended destruction/hold status
 - Destruction authorization
 - Encryption requirement
 - Restoration rule
 - Red flag status



Assigning Attributes

- Determine information lifecycle
 - Begin with most at-risk or most critical business processes
- Select data elements that support the business process
- Keep to a minimum
 - Provide as much user-assisted support as possible



How To

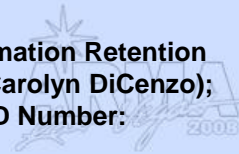
- Create templates for repeat documents
 - Static attributes: record series, security/privacy classification, controlled document indicator
 - Field(s) for dynamic attributes: customer name/ID, contract number, country
- Assign attributes to folders – file shares, ECRM
 - Users drag and drop into bucket/sub-bucket (customer, vendor, asset)



How To

- Employ technology whenever possible
 - Role-based assignment
 - Rule-based assignment
 - Drop down options
 - Pop-up fields for master information such as customer, vendor, well number
- XML tags – could be a standard at some point in the future*

*What Organizations Need to Do About Information Retention Management and Archiving; Kenneth Chin, Carolyn DiCenzo); Gartner Publication Date: 22 February 2008 ID Number: G00155476



Implementation

- Pilot program
 - Test user capacity/tolerance for tagging information
 - Test accuracy of user assignment of descriptors
 - Test ease of locating information for reference, investigation, discovery, audit
 - Recalibrate process, as required



Implementation

- Phased roll-out
 - Target at-risk or critical processes first
 - Use eLearning tools to train and “certify” understanding of process
 - Use departmental/business unit “hands on” training sessions for supplemental department-specific instructions
 - Monitor for compliance and accuracy of assigning attributes to information



Conclusion

- Take advantage of big buckets to:
 - Simplify classification of information
 - Further define information for access and control throughout its lifecycle
- Consider additional attributes to enhance access and control over information



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Please Complete Your Session Evaluation

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