



## Big Bucket Retention Schedules – Then What?

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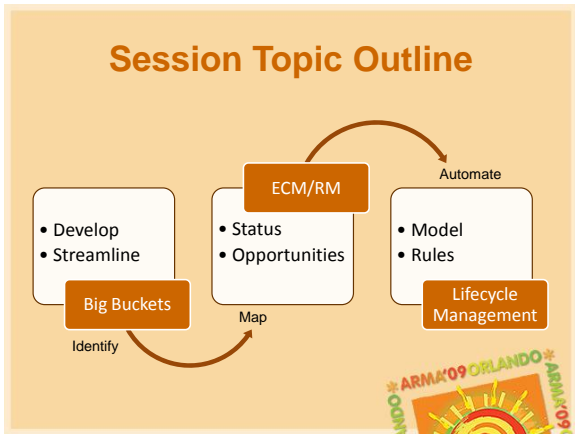
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## Learning Objectives


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

1. Identify options for developing and streamlining retention schedules to 50-100 retention categories or buckets
2. Map the streamlined retention schedule to an ECRM folder hierarchy
3. Increase adoption, usability, and sustainability of ECRM systems

## Developing / Streamlining Retention Schedules

- \* Departmental v. functional/process model
- \* Big bucket approach
- \* Benefits of big buckets
- \* How to develop a new big bucket retention schedule
- \* How to streamline an existing retention schedule
- \* Lessons learned




## Developing / Streamlining Retention Schedules

- \* Departmental model
  - Hundreds or thousands of record 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

- \* Retention schedule has 1 purpose - retention
- \* Record series/categories or “buckets”
  - Same or similar business processes
  - Same or similar legal and regulatory requirements
  - Maintained for the same amount of time
- \* Fewer/bigger “buckets”
  - Easier for users to apply
  - Improves ability to accurately and consistently retain records
  - Reduces risk for keeping records too long or not long enough



## NARA and 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



## Benefits

- \* Lower total cost of ownership
  - Few categories to update legal research
  - Fewer staff or consultant hours to maintain
  - Simplified user training
- \* Easier for users to manually classify content
  - Keep retention periods transparent to users
  - Customize drop-down menus by role or department



## More Benefits

- \* Electronic systems are more efficient in categorizing content for retention because it is more obvious to software which category is correct choice
  - Physical records – box inventory cleanup
  - Electronic records – shared drive cleanup
- \* Internal system efficiency will improve
- \* Disposition processing will run faster and complete sooner



## How to Develop Big Buckets

- \* 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 Develop Big Buckets

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



## How to Develop Big Buckets

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



## Examples

- BEFORE (5 record series/buckets)

Record Series	Legal Group*	Retention Period
Cost Accounting	AC10	6 years
General Accounting	AC10	6 years
Intercompany Accounting	AC10	6 years
Production Accounting	AC10	6 years
Retail Accounting	AC10	6 years

- AFTER (1 record series/bucket)

Record Series	Legal Group*	Retention Period
<b>General Accounting:</b> Includes cost, intercompany, production, and retail accounting.	AC10	6 years

\* AC10 is a legal group containing laws and regulations related to the same or similar business process to which the longest retention period is assigned (Skupsky approach)

## Examples

- BEFORE (1 record series/bucket)

Record Series	Legal Group	Retention Period
<b>Physical Security -</b> Records related to general security activities work such as camera/remote monitoring, employee badges, visitor access logs, and reports on security-related investigations.	NONE	3 years

- AFTER (2 record series/buckets)

Record Series	Legal Group	Retention Period
<b>Physical Security, General:</b> Records related to general security activities such as employee badges, visitor access logs, and reports on security-related investigations.	NONE	3 years
<b>Physical Security, Camera/Remote Monitoring -</b> Records related to access to facilities involving camera/remote monitoring.	NONE	3 months

## Examples

- BEFORE (2 record series/buckets)

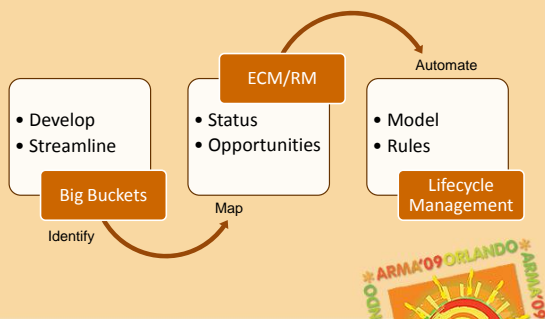
Record Series	Legal Auth	Retention Period
<b>Gaming Records, General:</b> Records related to casino games used to monitor, accumulate, and record meter information from gaming devices. Includes records of shipments made out-of-state for gaming device parts.	Nevada Gaming Control Board Regulation 14.310	5 years
<b>Gaming Records, Slots:</b> Records related to wagering instruments including slot machine vouchers and slot machine coupons.	Nevada Gaming Control Board MICS 212 (b)	14 days

- AFTER?

## Lessons Learned Big Buckets

- \* “Gold standard” is 100 record series
  - \* Automate electronic records destruction when possible and sustainable
    - Assumes approved retention schedule is in place
    - Assumes standardized process for applying and removing retention holds is in place
    - “Taking Out the E-Trash”
- <http://content.ama.org/IMM>

## Session Topic Outline



## Enterprise Content Management and Records Management (ECM/RM)

- \* What is ECM/RM
- \* Business Drivers
- \* Where We Are
- \* Where We Are Going
- \* The BIG Opportunity

## ECM/RM: A Definition

- \* Enterprise Content Management and Records Management (ECM/RM) is necessary for the governance of information assets (semi-structured/unstructured) and includes methods, policies, processes, metrics, and software solutions/tools.

**2008 AIIM Study – 90% of the respondents view their ability to manage electronic information as critical to their future**



## Business Drivers

- \* Cost Reduction and Disaster Recovery
- \* Workflow and Productivity
- \* Enterprise Information Integration
- \* Business Continuity and Business Resumption
- \* Records Management
- \* Compliance – Legal & Regulatory
- \* Enterprise Search
- \* Enterprise Risk Management
- \* Enterprise Information Efficiency



## Where We Are

- \* Industry consolidation of enterprise-class solution providers
- \* History of ECM/RM as a 'big company' solution
- \* Microsoft 'commoditizing' the market
  - ECM/RM suites less relevant (too hard?)
  - Users driving acceptable solutions (UI and Search)
  - Microsoft (SharePoint) product evolution shaping the market
  - 'Enterprise' really possible



## Where We Are Going

- \* Moving beyond repositories to support collaborative processes
  - Content under management processes (rules)
  - Content value hierarchies (record, business information, non-business information)
  - Content re-use and federation
- \* Process analytics and metrics improve auditing and compliance
- \* End user 'transparency' with common tools/interfaces
- \* Culture of information management



## The BIG Opportunity

- \* Consistent management of enterprise information
  - Common Approach for Retention Management of 'Records' and 'Non Records'
  - Big Bucket Retention Schedule – simplified for records management
  - Taxonomy – classification for user access (ECM/RM)
    - Content Categories (tied to retention)
    - Content Types (tied to categories)

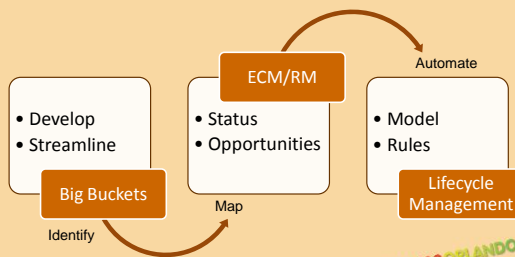


## Mapping Big Bucket Retention Schedule to ECM/RM

- \* Exercise
  - Use accounting business function from retention schedule
  - Map to repository of record
- \* Instructions
  - Work in teams
  - 15 minutes
  - Pick team reporter



## Session Topic Outline



## Lifecycle Management

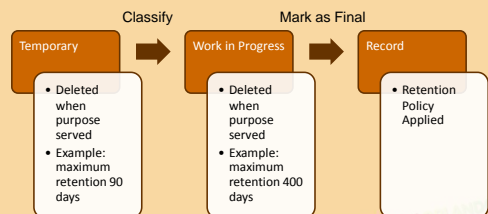
- \* Usability and Adoption
- \* Lifecycle Model
- \* Lifecycle Rules
- \* ECM/RM Strategy
- \* Sustainability of ECM/RM Program

## ECM/RM Usability & Adoption

- \* Easy-to-Use
  - Logical (Enterprise, Teams, Individual)
  - Intuitive (UI design and navigation)
- \* Matches my work process and content (information) management requirements
  - Supports collaboration, information access, and information sharing
  - Applies business rules transparently

## Information Lifecycle Model

- \* Defines 'states' for all information that is created or received



## Lifecycle Business Rules

- \* Repositories/Location
- \* Security
- \* Version Control
- \* Metadata
- \* Retention
- \* Disposition

## Assigning Retention Rules to Lifecycle States

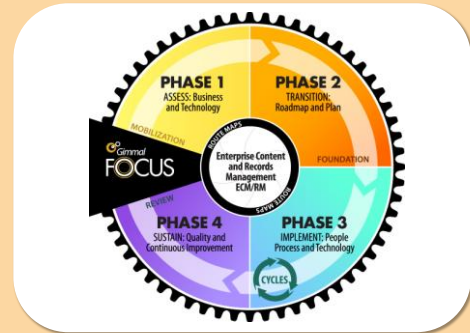
- \* Exercise
  - Extend work from previous exercise
  - Define Lifecycle States
  - Assign 'Retention Rules'
- \* Instructions
  - Work in teams
  - 10 minutes
  - Pick team reporter

## Lifecycle Model is Foundational to ECM/RM Strategy

- \* Enables lifecycle management (all information) according to a standard
  - Taxonomy
  - Retention Schedule
- \* Electronic or physical
- \* Multiple repositories
- \* Human or automated processes
- \* Not technology dependent



## FOCUS Methodology



## Sustainability of ECM/RM

- \* Compliance auditing
- \* Standards, policies, and procedures
- \* Information quality
- \* Infrastructure
- \* Information management organization



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### Please Complete Your Session Evaluation

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