Holistic Records and Information Management

Because RIM doesn’t work in a vacuum!

Donna Read, CRM, CDIA
FRMA Conference
May 2019
AGENDA

 What in the world does “Holistic” mean

 List of components you need to pay attention to

 Close look at each component

 Look at the “whole”

 Summary
Definition: Holistic

“Characterized by comprehension of the parts of something as intimately interconnected and explicable only by reference to the whole.”
Who do you need to play ball with?

- Who are your stakeholders?
- A stakeholder is either an individual, group or organization who is impacted by the outcome of a project.
- What are their responsibilities to you?
- What are your responsibilities to them?
- Will they even talk to you?
The High Level Internal Stakeholders

1. Senior Management (C Level)

2. Records and Information Management Program

3. IT (Information Technology – Management & Staff)

4. Legal: E-Discovery, Holds, etc.

5. Finance wizards (accountants)
More Internal Stakeholders

- History/Archive

- Information Security (keep hackers out) IAM?

- Physical Security (keep the riff raff out)

- Social Media Group (Facebook, Instagram, YouTube, etc. etc. etc.

- Disaster Prep and Recovery

- Compliance

- Staff responsible for public records requests
And More Internal Stakeholders

- Data Governance
- Privacy
- Risk Management
- Data Storage and Archiving
- Knowledge Management
- Content Management
- Audit
- Big Data, Dark Data
- Enterprise Architecture
ROOMMATES

❖ Senior Management
  ❖ Who will they always listen to?
    ❖ Legal
    ❖ Finance

❖ Who make their budget look good?
  ❖ Anyone who can increase operational efficiency
ROOMMATES cont.

Records and Information Management

- History/Archives
- Privacy
- Vital/Essential Records
- Disaster Prep and Recovery
- Public Records Requests
IT

- IAM – Identity Access Management
- Security – servers – websites
- Data Governance
- Content Management
- Knowledge Management
- Document Management
- Big Data – Dark Data
- Enterprise Architecture
- Data Storage and Archiving
ROOMMATES cont.

LEGAL

- Compliance
- E-discovery (includes holds)
- Audit
OUTLIERS

- Risk Management
- Social Media Group
- Physical Security
GLOSSARY

- Whose dictionary are you going to use?
  - IT
  - Records management
  - Legal
  - Accounting
  - Management

- You need a combination glossary.
  - How do you define:
    - “record”
    - “archive”
    - “file”
SENIOR MANAGEMENT
Single Point of Failure

- Most important element affecting the success or failure of your records and information management program is.......
How does your management view the records & Information management program?

- Do they know it exists?
- Do they even begin to understand the purpose of records and information management?
- Do they consider it a soft cost that has to be endured?
- Do they care at all?
Can we make them care?

What motivates your management?

- The budget, keeping costs down?
- Avoiding law suits?
- Responding to public records requests?
- Being able to find information in a timely manner?
- Knowing the information is correct?
- Being more efficient?
Be prepared to educate

- Senior level executives seldom know what RIM is or why it is essential.

- Time for “show and tell” – have photos that show the situation, statistics from IT on server costs, how many GB or TB is your organization holding of unstructured data.

- What are the costs of litigation or finding responsive documents for records requests.

- Use the voice of others to show the importance of this function, newspapers, reports, etc.
Find a champion(s) in your organization

- Do your homework – who is the executive who has the most to lose when records and information management goes South?

- Does anyone have an assigned responsibility for records and information performance? (Affects their performance review)

- Who is the person who would benefit the most when records and information management is done correctly?
RECORDS AND INFORMATION MANAGEMENT
Key RIM Goals

- Conduct business in an orderly, efficient, & accountable manner
- Deliver services in a consistent & equitable manner
- Support and document policy formation & managerial decision-making
- Provide consistency, continuity, and productivity in management and administration
- Meet legislative and regulatory requirements
- Provide protection and support in litigation
- Protect the interests of the organization, the rights of employees, clients, and present and future stakeholders
- Support and document current and future research and development activities
- Provide evidence of business, personal & cultural identify
- Maintain corporate, personal, or collective memory
The 8 principles of records management

- Principle of Accountability
- Principle of Transparency
- Principle of Integrity
- Principle of Protection
- Principle of Compliance
- Principle of Availability
- Principle of Retention
- Principle of Disposition
Treat Your RIM program like you are running a small business

- You will have to market RIM to the rest of the organization

- Selling the fact that records and information are assets that must be protected and treated properly

- Helping others to understand there are hard costs associated with poorly done RIM
RIM Treat It Like a Business

- Act as if the RM program was your own business.
- How would you promote it?
- What would you do to get it in tip top shape?
- How would you do to keep it going strong?
- How would make sure everyone knew what needed to be done?
- How would make people care about records if your livelihood depended on it?
- How can you help others get their jobs done through Records Management?
Promotion – can be fun

- Let your creativity out!!!!
- You have a product to sell
- Let the customer know WIIFM (What’s In It For Me?)
- Describe the benefits
- Emphasize the special features

Selling Points Include:
- Control of growth of records
- Reduction of operating costs
- Improved efficiency and productivity
- Ensuring regulatory compliance
- Minimizing litigation risks
- Safeguarding vital records
- Provide management with better information to make decisions
Promotion – use the tools at hand

- Email newsletters
- SharePoint RM page for internal use
- Send out a tip for the day
- Webinars to do training – add on an advertisement
- Contests for best poster slogan
- Humor
- Get Senior Management to participate in awarding people tockies or certificates for cleanest desk, etc.
Create statistics – use existing statistics

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<th>Weeks Worked in a Year</th>
<th>Total Hrs Spent in a Year Searching</th>
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RIM ASSESSMENT

- **What is your current state of affairs**

- **What do you have?**
  - Senior level support
  - Any dedicated records staff
  - How many RMLO’s or Custodians
  - A budget
  - Storage facility(s) (physical and servers)
  - Software tools in place to manage records
  - Was there a predecessor who left behind information
  - Policy and procedures already established
  - RIM handbook or manual in place
  - Retention schedule already written
  - File plans in place
  - IT support
  - Is there a training program in place
  - How are records destroyed/deleted
  - Vital records identified and preserved
Assessment – Any Ugly situations?

- Any current litigation holds (talk to legal department)
- Expected litigation
- Records at risk anywhere (electronic or hard copy)
- Any missing records
- Excessive public scrutiny or your records
- The organization is “re-organizing”
- Moving to new buildings or within the current space
Why Do We Care?

- **Operational Efficiency**

- To get the job done we need the ability to deliver products and services in a cost effective manner.

- **Laws**  Florida's records management program is authorized by section 257.36, Florida Statutes and applies to public records as defined in 119.011(12), F.S. - Sarbanes Oxley, CFR, etc.
1. What is the definition of a public record?

What is the definition of a Public Record?

› All documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software or other material.
› Regardless of physical form, characteristics, or means of transmission.
› Made or received in accordance with law or in connection with the official business of an agency.
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<td>State and Local Government Agencies</td>
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<td>GS2</td>
<td>Law Enforcement, Correctional Facilities and District Medical Examiners</td>
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<td>GS15</td>
<td>Public Libraries</td>
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Skills you didn’t know you needed to do records management

- Salesmanship & Marketing
Delivering the message

- Package – how will the message be delivered?
  - Internal RIM site
  - Brochures
  - Contests
  - Bulletins – Newsletters
- Compelling visuals are crucial
- Frequency
- Consistency
- Production and Distribution
- Good Design has an impact
Use Someone else’s voice to give your message

- Organization policy
- Compliance requirements
- Interview key stakeholders and capture their comments
- The newspaper
- Social Media
Collect these items

- **Success stories** both inside and outside your organization

- Collect **“best/worst case scenario”** stories

- Create **visuals of good RIM and bad RIM**

- Keep up with the **cost of IT support**

- **Subscriptions** to free tech and legal magazines
St. Louis clerk sentenced for misfiling veteran records

by Associated Press
KMOV.com
Posted on January 30, 2014 at 1:20 PM
Updated yesterday at 7:04 PM

ST. LOUIS -- A former clerk at a federal records warehouse in St. Louis has pleaded guilty to misfiling hundreds of military records. Twenty-eight-year-old Lonnie Halkmon was sentenced Thursday to two years of probation. He had previously pleaded guilty to a misdemeanor charge of destroying government records at the National Personnel Records Center. The center is part of the National Archives and Records Administration.

Halkmon was charged after a 2012 audit found that he had wrongly filled nearly three-fourths of 1,200 files assigned over a three-month period. Archives workers could earn bonus pay through an incentive program for completing more filings.

City of Sarasota emails secretly deleted, tech says

In a Jan. 6 meeting at City Hall, City Manager Bob Bartolotta, center, listens as John Jorgensen, of Sylint Cyber Security, Intelligence & Analysis, lower left, presents findings on a review of city computers and deleted emails during a City Commission special meeting. (STAFF PHOTO/EJALINE LITHERLAND)

By J. David McSwane
Published: Wednesday, January 11, 2012 at 3:39 p.m.

SARASOTA - A flaw in the city's computer archive system has for years made it possible for employees to secretly delete emails before they could be stored, effectively violating public records laws.

Spoliation of e-mail leads to monetary sanction on SunTrust in subprime mortgage suit

Author:
David Quinones
Date:
Friday, May 6, 2011

There's no telling if Mary Pettitt knew she was costing her employer hundreds of thousands, perhaps millions, of dollars when she tried to rewrite history on the archived e-mails. But at least one federal judge thinks the former SunTrust senior vice president -- along with the bank's senior executives, general counsel and outside counsel -- should have known better.

Social media open new doors for litigation

 Authorities say some people just can't help it when it comes to posting personal information online.

By Laurence Flammack
911-3139

Next to a shoebox stuffed with cash, Derrick Evans posed for the video camera while wearing a T-shirt that read, "Can't sell dope forever."

The video first appeared on Evans' MySpace page. It later appeared as evidence against him in federal court in Abingdon, where the once promising hip-hop musician pleaded guilty to his role in a major crack cocaine distribution ring.

Now serving a life sentence, Evans also serves as an example of how posts to social media sites can come back to haunt someone in a courtroom.

"We're always a little surprised at how in-your-face and blatant people can be" on social media, said Assistant U.S. Attorney Zach Lee, whose job of prosecuting Evans was made easier by the video and other MySpace posts.

"I think there's the general feeling that law enforcement is not looking at these sites."
There is good news too

Good Deeds
County e-recording system saves citizens time and money through online filing.

By Brian Heaton / Staff Writer

A new software program has made it easier to record legal documents in Richland County, S.C., and is saving citizens money and time, according to local officials.

Designed by the county’s IT department, the Web-based Register of Deeds e-Recording System has increased efficiency at the county’s Register of Deeds office (ROD) by reducing on-site foot traffic and streamlining the document filing process.

Instead of trekking into the office, people can record their documents online. The county estimates the change will save constituents roughly $174,000 per year.

The county launched December 2010 and created software using a federal grant for “green” projects. Critical online recordings have been handled quickly since the program launched and estimates that the county should see a 5 percent of all documents filed online.

In addition to the savings, Richland County residents have been realizing from the e-recording program, the ROD is seeing much better. The office has seen...
How does RIM **add value** – “scare tactics” don’t work

- **Reduction in costs** for storage – both digital and physical
- **Increased bandwidth** once the ROT is gone
- **Redirection of IT support** – less of a digital landfill to support can use limited resources elsewhere
- **Ability to locate correct information** quickly
- **Operational efficiency** increased throughout the enterprise – less time looking more time working
RIM value cont.

- Improves workflow/makes everyone’s job easier
- Improves the quality of the final product
- Saves money
- Saves time
- Serves the customer better

- Mitigates Risk
  - Disaster planning – litigation – audits – adverse publicity – privacy protection
TRAINING

- Purpose of Training
  Increase skills and knowledge
  Promotional tool for your program

- Benefits of Records Management Training
  Leads to effective administrative support of programs
  Fosters economy and efficient use of resources
  Preserves the records by guarding against loss
  Motivates staff to implement RM responsibilities
Training assessments

- What training does the staff need?
- Who really needs it?
- What new skills will result from the training?
- What are the learning objectives?
- How will you evaluate the effectiveness of the training?
- Who will provide the training?
Training methods

- How will the training be delivered?
- Instructor-led training (ILT)
- Web-based training (WBT)
- Computer-based Training (CBT)
- Self-Study (SS)
- On-the-Job Training (OJT)

- Usually a combination of all of the above – Blended Learning
Training never stops

- A process not a project
- Current staff needs training
- New employees need training
- Exiting employees need reminder training (You don’t get to take the records home with you!)
- New processes, new schedules, new litigation, it never stops!
Hidden data management costs

- **Security** – more stuff to protect
- **Access** – controlling access to the data
- **Backups** – too much data backups can’t be performed in a timely manner
- **Retrieval** (including e-discovery requests)
- **Duplication** up to (40%)
- **Misuse** – too much unused data floating around
- **Transition** form existing systems to new technologies
- **Staff training** – helping the newbies find stuff
Simple math again

- Assume low duplication of your data – 20%

- How many servers does your IT department support – 10

- Reduce the duplication alone and 20% of the server needs goes away

- Find out the costs IT pays per server – not just the hardware but the full amount needed to support a single server.
Formats

Over 17,000 different format being used
You know about .jpg - .png - .docx - .xls - .pptx

What about all the others?
.cpio
.shar
.LBR
.iso
.mar
.tar
.bz2
.gz
.sfark
.arj
.dar
.dgc
 Formats Have Versions

- File formats are subject to rapid obsolescence and evolution and the process of selection and assessment of options for preservation is largely one of **risk reduction**.

- PDF has issued more than 15 different iterations since the early 90’s

  **But only promised 20 years of backwards compatibility (which is more than most manufacturers).**
Technology Will Die – It’s Inevitable

I know what I’m talking about. I have thirty years in this industry!

How does that help you understand technology that is six months old in a youth-oriented culture?

Please don’t hit me with your modem.

Grrr...
Medium - Media

- Medium - the *way in which the content is transferred*
  The definition of media is the plural of medium, or ways to communicate information.
Pay Attention

- You need to do an inventory of what media exists in your organization.

- Check 1st with IT to see if a data map has already been generated – it should contain the types of media.

- Are there restrictions on the use of external media in your organization?

- Is there a migration plan in place for the data kept on the media?
If IT Has Inherited Old Media

- Often old media is left over from departing staff, reorganizations, changes in management, etc.

- If no one is around who has an idea about the content on the media, then you must do an sampling of the data. Usually 3% is sufficient.

- The best way is to find staff with corporate memory who can help with identification of the data.
So Why Do You Care About Contents On Old Medium?

- **Because it may hold information of value:**
  - Official Records
  - Personal Information (PII)
  - Classified Data

- It might be the only copy of the original drawing for the engineering project back in 1993.
If the volume is large you may have to do a risk assessment to determine the ROI on ascertaining the contents before destruction.

If you no longer have the hardware/software to read the data on the old media then you may have no choice but to destroy the media and its contents.

1st Notify staff that this media is being destroyed unless someone knows the content and reason to keep it.

Prior to destruction document to the best of your ability the medium, the capture any metadata that may exist on the medium.
Create the Record

- Explain what media was found & how much (video tapes on VHS- 15 in a box)
- Document where it was located (in back storage room in the IT department, with no climate control)
- If there are dates anywhere, capture them (1976-1985 written on the case)
- Copy all metadata available about the possible content (site visit by Colonel Mustard)
- Document efforts to obtain information about content (put out a broadcast email seeking information)
- Document the destruction date and by whom
Have A Migration Policy

- Have a policy in your organization that makes individuals who store data and records outside of the live system responsible for the migration to newer medium.

- Do no allow the use of external storage devices in the organization (good luck with this one)

- Have health check/migration plan in place for older media (the boxes of microfilm that no one looks at)
ELECTRONIC RECORDS
**What is F.A.C. 1B-26.003?**

<table>
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<th>Detailed set of rules for electronic record (master) copies of public records</th>
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<td>Applies to any “agency” as defined by 119.011(11), F.S.</td>
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What does it cover?

Electronic F.O.R.

- Creation
- Utilization
- Maintenance
- Retention
- Preservation
- Storage
- Disposal

Types of data:
- Numeric
- Graphic
- Audio
- Video
- Text
1B-26.003

Electronic Recordkeeping

1. Purpose. These rules provide standards for record (master) copies of public records which reside in electronic recordkeeping systems. Recordkeeping requirements must be incorporated in the system design and implementation of new systems and enhancements to existing systems. Public records are those as defined by section 119.011(11), F.S.

2. Authority. The authority for the establishment of this rule is sections 257.14 and 257.36(1) and (6), F.S.


(a) These rules are applicable to all agencies as defined by section 119.011(2), F.S.

(b) These rules establish minimum requirements for the creation, utilization, maintenance, retention, preservation, storage and disposition of electronic record (master) copies, regardless of the media.

(c) Electronic records include numeric, graphic, audio, video, and textual information which is recorded or transmitted in analog or digital form.

4. These rules apply to all electronic recordkeeping systems, including but not limited to, microcomputers, minicomputers, mainframe computers, and image recording systems (regardless of storage media) in network or stand-alone configurations.

(b) Before existing records are committed to an electronic recordkeeping system, the agency shall conduct a cost benefit analysis to insure that the project or system contemplated is cost effective.

(c) Intent. Electronic recordkeeping systems in use at the effective date of this rule, that are not in compliance with the requirements of this rule, may be used until the systems are replaced or upgraded. New and upgraded electronic recordkeeping systems created after the effective date of this rule shall comply with the requirements contained herein. The department is aware that it may not be possible to implement this rule in its entirety immediately upon its enactment, and it is not the intent by this rule to disrupt existing recordkeeping practices provided that agencies make no further disposition of public records without approval of the Division of Library and Information Services of the Department of State.

5. Definitions. For the purpose of these rules:

(a) "ASCII" means the American Standard Code for Information Interchange, a 7-bit coded character set for information interchange which was formerly ANSI (American National Standards Institute) Standard X3.4 and has since been incorporated into the Unicode standard as the first 128 Unicode characters.

(b) "Database" means an organized collection of automated information.

(c) "Database management system" means a set of software programs that controls the organization, storage and retrieval of data (fields, records and files) in a database. It also controls the security and integrity of the database.

(d) "Digital signature" means a type of electronic signature (any letters, characters, or symbols executed with an intent to authenticate) that can be used to authenticate the identity of the sender of a message or the signer of a document and to ensure that the original content of the message or document that has been sent is unchanged. Digital signatures can be created through hashing algorithms.

(e) "Electronic record" means any information that is recorded in machine readable form.

(f) "Electronic recordkeeping system" means an automated information system for the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures.

(g) "Hashing algorithm" (hash function, checksum) means a formula or procedure for checking that electronically transmitted messages or documents have not been altered by transforming a string of characters into a usually shorter fixed-length "hash value" or key that represents the original string. The receiver of the message can execute the same hashing algorithm as the sender and compare the resulting hash values; any difference in the hash values indicates an alteration of the message or document sent. Hashing algorithms can be used to create digital signatures.

(h) "System design" means the design of the nature and content of input, files, procedures, and output and their interrelationships.

(i) "Permanent or long-term records" means any public records as defined by section 119.011(11), F.S., which have an established retention period of more than 10 years.

(j) "Record (master) copy" means public records specifically designated by the custodian as the official record.

(k) "Geographic information system" means a computer system for capturing, storing, checking, integrating, manipulating, analyzing and displaying data related to positions on the Earth's surface.

(l) "Open format" means a data format that is defined in complete detail, allows transformation of the data to other formats without loss of information, and is open and available to the public free of legal restrictions on use. An open format may be either
1B-26.003 cont.

- New and upgraded electronic recordkeeping systems created after the effective date of this rule shall comply with the requirements contained herein.

- Except as otherwise provided by law, no agency shall enter into a contract with, or otherwise obligate itself to, any person or entity for electronic recordkeeping hardware, software, systems, or services if such contract or obligation impairs the right of the public under state law to inspect or copy the agency’s nonexempt public records, or impairs the agency’s ability to retain the records in accordance with established records retention schedules.
(b) The physical and technical characteristics of the records, including a record layout or markup language that describes each file or field including its name, size, starting or relative position, and description of the form of the data (such as alphabetic, decimal, or numeric), or a data dictionary or the equivalent information associated with a database management system including a description of the relationship between data elements in databases;

Provide an appropriate level of security to ensure the integrity of the records, in accordance with the requirements of chapter 282, F.S. Security controls should include, at a minimum, physical and logical access controls, backup and recovery procedures, and training for custodians and users.
(b) Substantiate that security procedures prevent unauthorized addition, modification, or deletion of a record and ensure systems are protected against such problems as power interruptions.

(c) Identify the electronic media on which records are stored throughout their life cycle, the maximum time span that records remain on each storage media, and the official retention requirements as approved by the Division of Library and Information Services.

(e) Standard. Agencies shall prohibit smoking, eating, and drinking in areas where electronic records are created, stored, used, or tested.
NEW TECHNOLOGY

- Do we understand Blockchain Technology?
- Do we understand IAM (Identity Access Management)?
- Is there new tech that is waiting to put a monkey wrench in the RIM program?
ATTORNEYS

- Responsible for defending the organization in court
- Ultimately in the press
- E-discovery
- Litigation holds
- Should be weighing on in destruction of records
- Is your Legal department responsible for compliance?
Landscape is Changing

- What can be produced from social media pages?
- What laws affect what is produced?
- What do you know about Office 365 and E-Discovery?
- What are the policies regarding data on mobile devices?
- Do you understand TAR (Technology Assisted Review)?
FINANCE
RIM REQUIRES MONEY

- Funding for RIM systems
- Funding for staff
- Funding for storage of physical records
- Funding for destruction of records in all formats
- Funding for maintenance of whatever system is in place
- Funding for new systems
Previous Education

- Helping others to understand why Records and Information is an asset not a liability.

- You must be able to show with hard data that RIM is cost effective.

- You must tie the operational efficiency to all departments.
Summary

- What are we talking about when we say “Holistic” view?

- Who are the stakeholders?

- Why do we care?

- How do we raise the profile of RIM?
Questions?

ANY questions?
Thank you for your Attention

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Oil Painting by Donna Read