

ACC ONLINE EDUCATION

ACC Records Management University

Class 3: Automating Records Management



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Today's Faculty



Tom Mighell, Esq., COO, Contoural

With over 25 years of experience in compliance, litigation, privacy and information governance, Tom regularly works with corporations to develop information governance programs and is a Certified EU Privacy Professional. Tom served as Chair of ABA TECHSHOW 2008 and 2018, and as 2011-2012 Chair of the ABA's Law Practice Division.



Mark Diamond President & CEO, Contoural

As founder and CEO of Contoural, Inc. Mark Diamond is one of the industry thought leaders in proactive records management, privacy, litigation readiness, compliance and governance strategies. As a trusted advisor he and his company work with more than 30% of the Fortune 500, plus many mid-sized firms, federal agencies, as well as non-profits. Contoural is also helping the Association for Corporate Counsel launch a law firm security assessment program.

ACC Records Management University Syllabus

Available On-Demand – Class 1: Introduction to Modern Records Management: Creating a Records Policy and Schedule

- Key concepts of a modern records program
- Creating a compliant and easier-to-execute records retention schedule
- How privacy, data governance and other initiatives fit into a records program

Available On-Demand – Class 2: Records Program Execution

- Determining the right level of program maturity for your company
- Getting a records program started or restarted
- How to avoid from getting stuck, or restarting a stalled initiative
- Designing a records program so it drives effective privacy, eDiscovery, and employee productivity

ACC Records Management University Syllabus, cont.

Class 3: Automating Records Management

- **The Five Second Rule – Creating combined records management, privacy, data classification and access control processes that employees can follow quickly**
- **A quick review of technologies to automate programs, including technologies that most companies already own today**
- **How to delete email, files and other information quickly and defensibly**
- **Combining policies, processes and technologies to automate records management**

Available On-Demand – Class 4: Records Management Training, Employee Behavior Change Management and Organizational Development

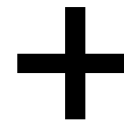
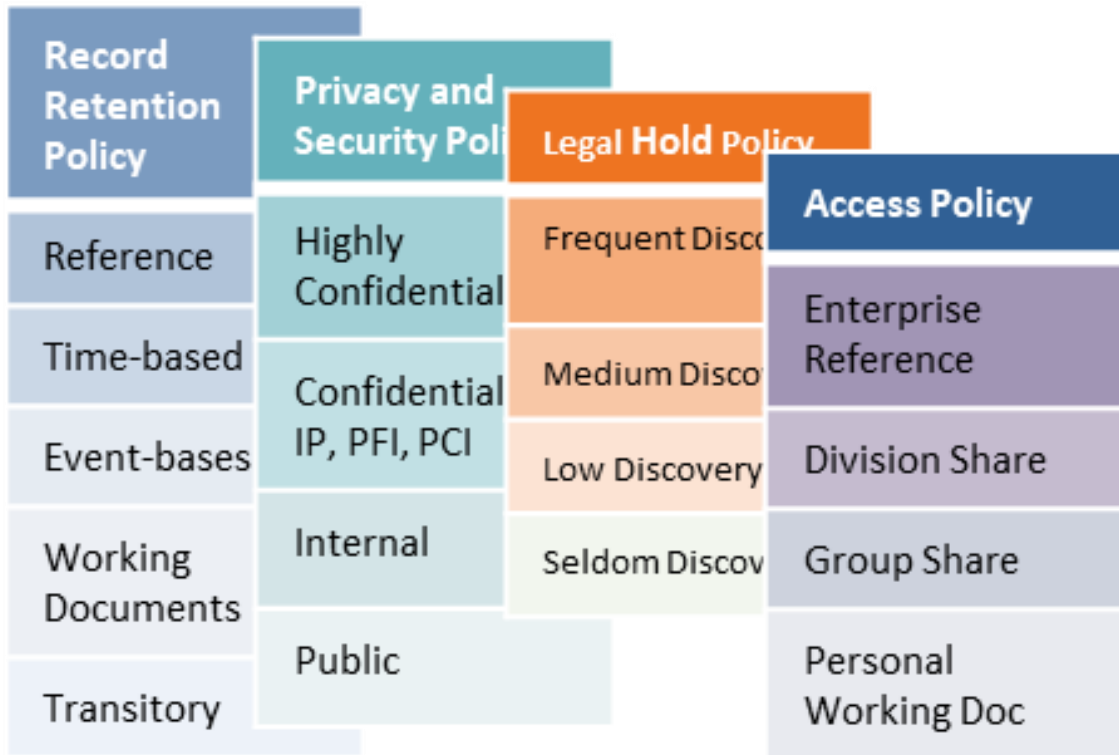
- How messaging, communications plans, training and audit can be combined into an effective employee behavior change management strategy
- Creating records management messages that resonate, even for employees that don't care about records management
- Creating and staffing a records management organization

The Five Second Rule



“Five-Second Rule” – *Employees will spend up to five seconds manually classifying documents. If it takes longer, they will use the five seconds to subvert the classification process.*

Much of Information Governance Should Be Automated



“Five Second Rule”
Employees will spend up to five seconds manually classifying documents. If it takes longer, they will use the five seconds to subvert the classification process.

Automation for Whom?



Records Managers



Records Coordinators



IT

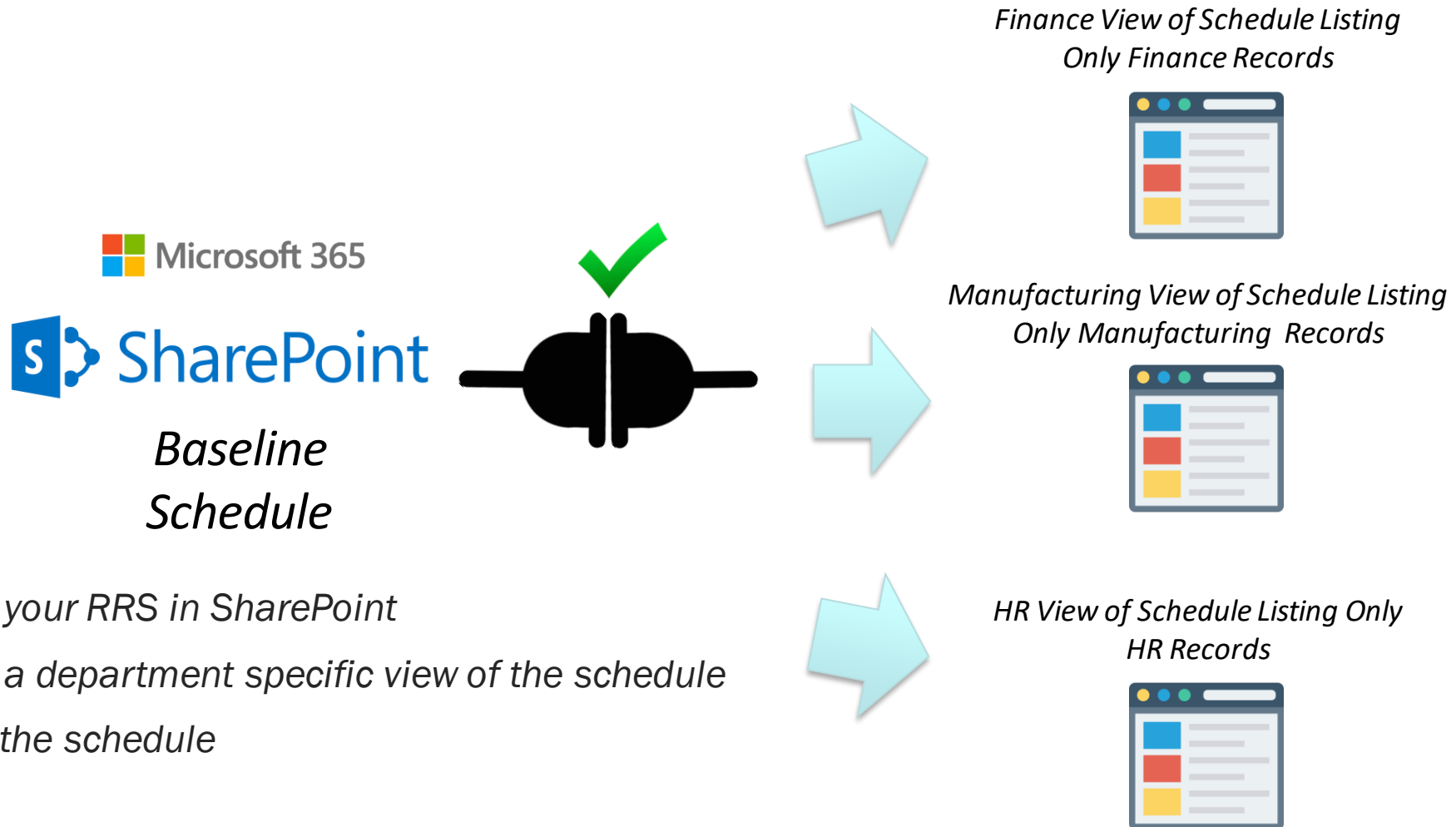


All Employees

Records Management Automation Strategies That Do Not Crack the Top 5

- Updating citations online
- Integrated offsite cube storage and destruction
- Compliance dashboards
- Save everything and search everything
- Content analytics-based taxonomy development
-

Strategy 1: Automate the Publishing of Your Schedule



- Publishing your RRS in SharePoint
- Publishing a department specific view of the schedule
- Searching the schedule

The Compliance Risks of Disconnected Retention Schedules



Cloud-based Citations and Schedule Updates

Compliance Gap 1
Business value retention information not enabled or lost



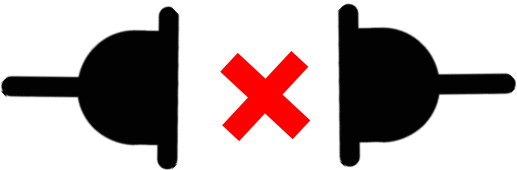
Source: Contoural, Inc.

Always-updating Retention Schedules

Records Classification - Workflow Management

Record Classification	Retention Schedule	Retention Period	Retention Trigger
9900-1000 - Benefit Enrollment and Participation	Records related to the enrollment and participation of employees in benefit programs such as pension, savings, retirement, health, and welfare plans. These records document the	Period: 40 Years	Trigger: The date that the employee
9900-1001 - Employee Citizenship and Right to Work	Records related to proof of citizenship and employee or immigration status of employees transferring to and from facilities. Includes country specific documentation to	Period: 40 Years	Trigger: The date that the employee
9900-1002 - Employee Medical Records	Records documenting medical conditions, medical history, medical records, medical records resulting from an HRIS system and accident and injury and doctor's billing records	Period: 40 Years	Trigger: The date that the employee
9900-1003 - Employee Recruitment and Selection	Records related to recruitment and selection of individuals for employment with the Company. These records document the recruitment and selection process, including	Period: 5 Years	Trigger: The date that the records is

Compliance Gap 2
Automatically updated Schedule changes not propagated to implementation



Training Programs



Content Management Configurations

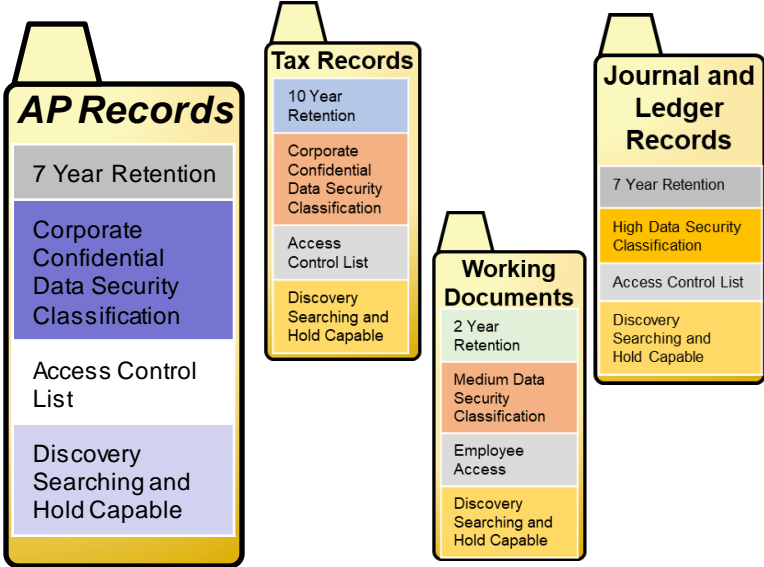
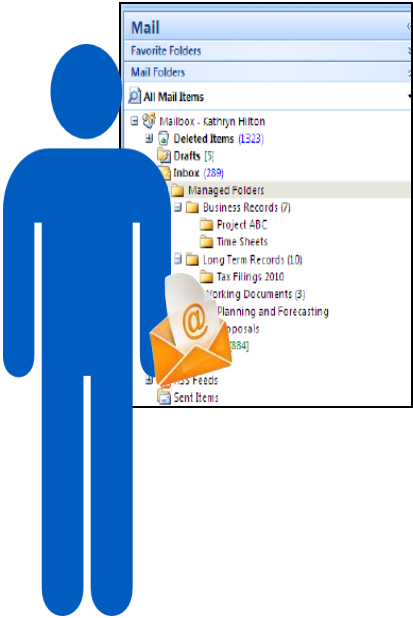


Privacy Access and Deletion Requests

Strategy 2: Automate Classification

Drag and Drop Inheritance for Classification

Finance employee drags and drops email records from inbox into appropriate Microsoft 365 Managed Email Folder



When email is placed in a folder, Microsoft 365 automatically tags it with a retention label

Applying Automated Retention and Disposition Everywhere

Microsoft 365 Exchange for corporate email

Capabilities:

- Send and receive individual email
- Manage email by policies
- Email anywhere on any device
- Shared mailboxes

Replaces on-premises Exchange



Microsoft 365 OneDrive for individual file storage and working area

Capabilities:

- Sync Desktop/My Documents to the cloud
- Store files in the cloud
- Allows sharing single files
- Access to files from a mobile device

Replaces individual share drive



SharePoint Online for group records, reference, working areas

Capabilities:

- Department storage and knowledge base
- Version control and Information Governance
- Retention by library and folder
- Workflows, publishing, applications

Replaces group/department file shares



Microsoft 365 Teams for a collaborative area for projects, activities

Capabilities:

- Chat, screen sharing, video/audio conferencing
- Working document file storage
- Group shared mailbox

Replaces Skype, file shares, shared mailboxes, Dropbox, Google Drive



Case Study: Avoid Short-term Deletion Fixes



Approach: Clean up older files, emails and other documents from file shares, PST files, workstations

Case Study

Organization:	Large Manufacturer
Problem:	Significant over retention on corporate file shares
Approach:	Initiated electronic clean up day, followed up by identifying top 10% of file share users (100 employees out of 5000)

Result: Reduced documents on file shares by 43%

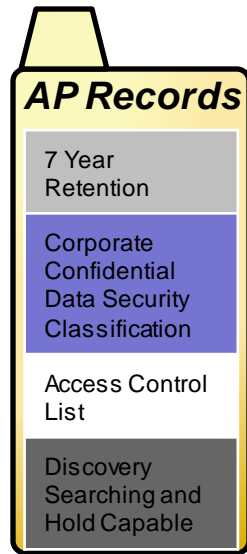
But... Eighteen months later file share storage volume exceeded previous level

Strategy 3: Automate Retention and Disposition

- *Keep documents accessible*
- *Give users an option*
- *Centralize control of deletion*
- *Drive deletion based on user inactivity*



Enabling Fully Compliant Automatic Disposition



“Where Did My Files Go?”

Behavior Change Management

- Users must know where their information is always
- Do not move information into a new repository without user education
- Deletion must be socialized
- Autoclassification requires even stronger employee behavior change management programs



Automation Will Not Solve Lack of Agreement on Policy

- Legal, IT, Compliance and Business Units must agree on what to save and not save
- Autoclassification will not solve lack of agreement
- Executing autoclassification and deletion without agreement may be your last project



Retention Schedules are Not File Plans or Taxonomies

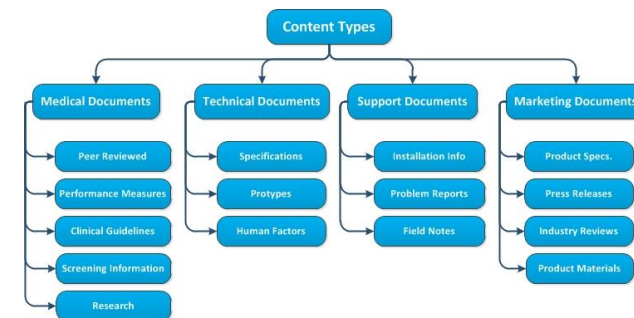
File Plans

- Identify which records are to be retained exclusively in e-mail vs. other media
- Specify which function or organization will be the record owner (vs. convenience copies)
- Determine necessary roles and functional requirements
- Address country-specific privacy exceptions or customizations
- Address go-forward strategy and legacy data migration
- Create archive or content management and e-mail server system configuration settings
- Determine strategy for time-based and event-based records



Taxonomy

- A framework for classifying documents and within Information Governance used to configure SharePoint, Enterprise Content Management and archiving systems.



ACC Records Management University

In-house Tales from the Trenches

- 20-minute Recordings-on-demand:
- *Building Shared Records Program Ownership Across Legal, IT and the Business Units*
- *Getting Legal, IT, and Everyone Else to Agree on What Email, Files and Other Information to Save and Not Save*
- *How To Develop Program Support (and Funding) from Senior Management*
- *Key Lessons I Learned in Executing My Records Program*
- *How We Unstuck Our Records Program*
- *How We Learned to Have Records Play Well With Privacy and Other Compliance Programs*

About Contoural

Largest independent strategic consulting services provider serving more than 30% of the Fortune 500 plus many small and mid-sized companies. Services including records and information management, litigation readiness and control of sensitive information consulting services. Sponsor of the ACC Information Governance Network.

Independent – *Contoural does not sell any products, provide document storage services or offer “reactive,” matter-specific discovery services.*

Cross Functional – *Our engagements incorporate a combination of legal, compliance, records management, information technology, security and change management best practices.*

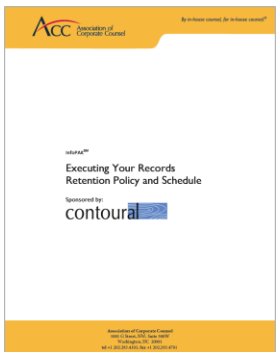
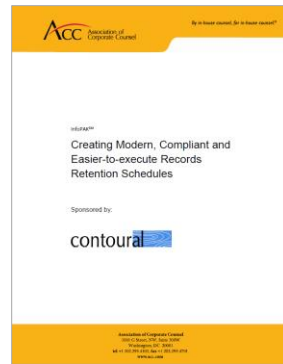
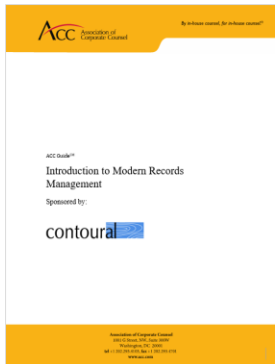
Flexible – *Contoural services can be tailored either for some part of a specific project or an entire enterprise-wide program.*

Experienced – *Contoural has served more than 30% of the Fortune 500, a number of federal agencies, as well as numerous mid-sized companies and public entities. Our consultants average more than 24 years of experience in their respective field.*

Real Impact – *Contoural services provide measurable impact on real-world business needs.*

Additional Content

Contoural complimentary content and additional resources at www.contoural.com or email info@contoural.com



- **Guide:** *Introduction to Modern Records Management*
- **InfoPAK:** *Creating Modern, Compliant and Easier-to-Execute Records Retention Schedules*
- **InfoPAK:** *Executing Your Records Retention Policy and Schedule*
- **Article:** *Upgrading Your Traditional, Paper-centric Records Program to Be More Modern, Compliant and Useful*