

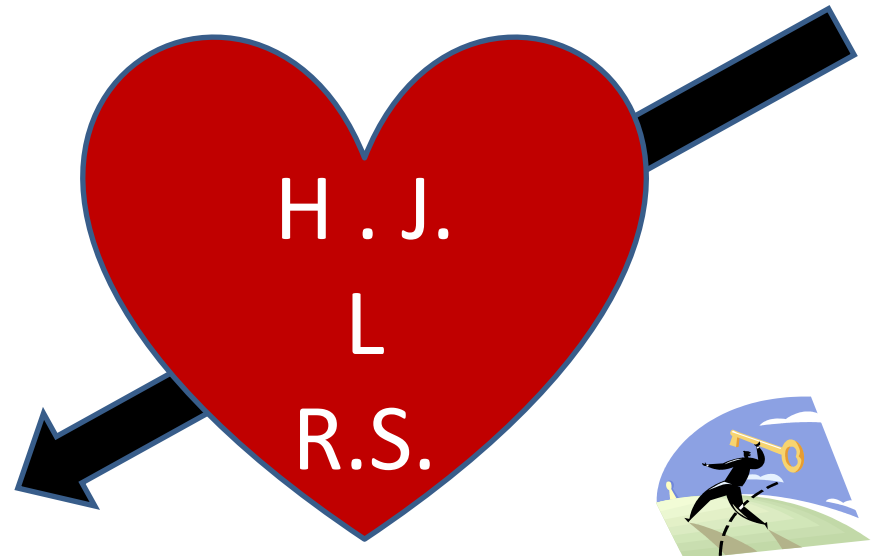
Why I Love Retention Schedules

IRMS North
16th October, 2014
Heather Jack
HJBS Ltd



Details about our love affair

- FOI(S)A, Rec Mgmt Code 61
 - Regulator compliance
- [SCARRS](#) — Scottish Council on Archives Records Retention Schedules
- Major project with Scottish local authority
- Love song ...





To be sung to the tune of “Blueberry Hill

We found our thrill on data landfill
On data landfill goodbye to dismay
Retention will.... resolve data landfill
Disposal as wellWill see an end to this hell

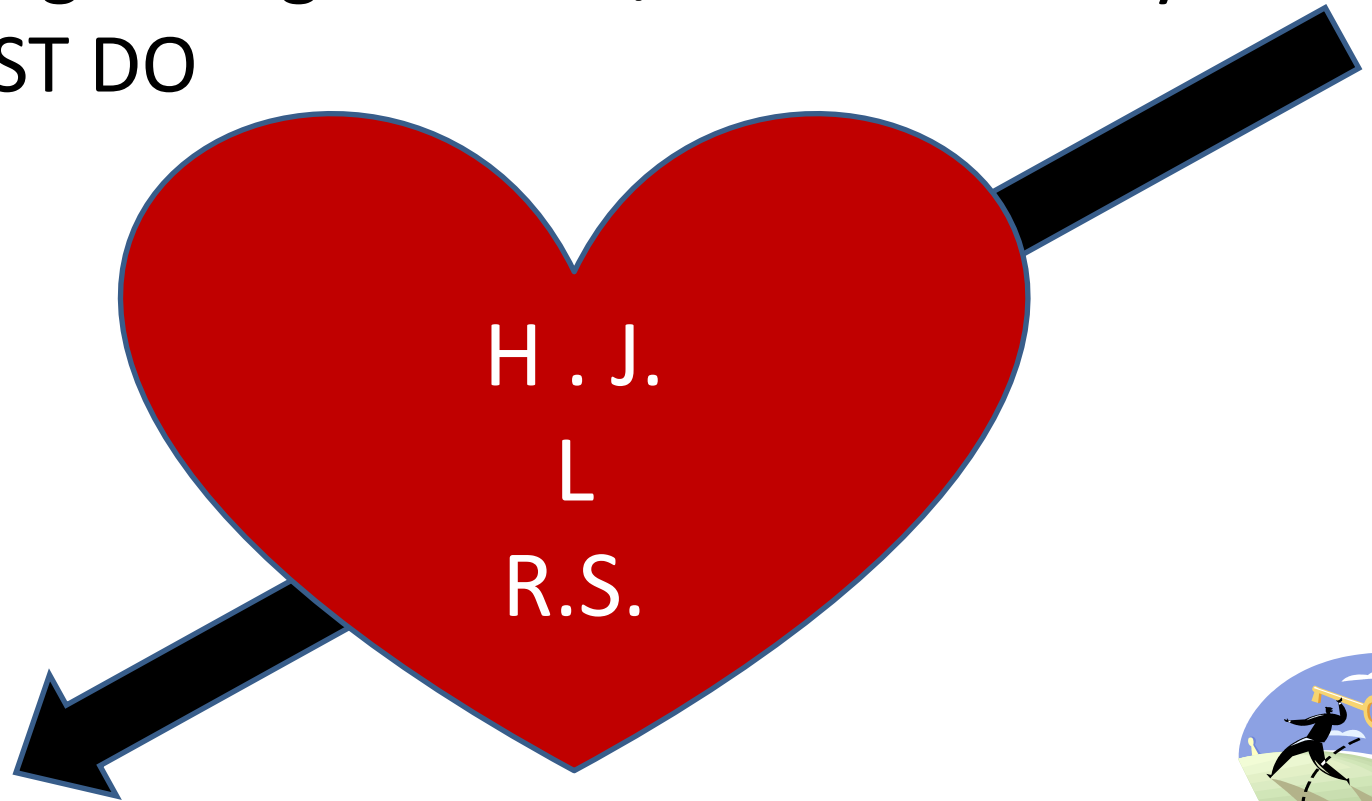
triggers and actions help... and timescales as well
And mapped to the work we do our value we'll sell

We've seen the last
... of risk and expense
Cos we've closed the till
.....on data landfill



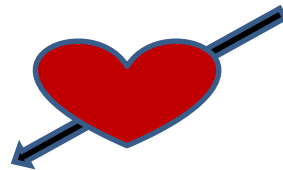
Why I love that R.S. dude

1. Makes a fundamental contribution to everything an organisation/business entity does and MUST DO



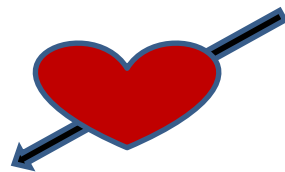
Enabler of efficient, effective compliant business delivery and performance

- Business Needs
- Business Benefits



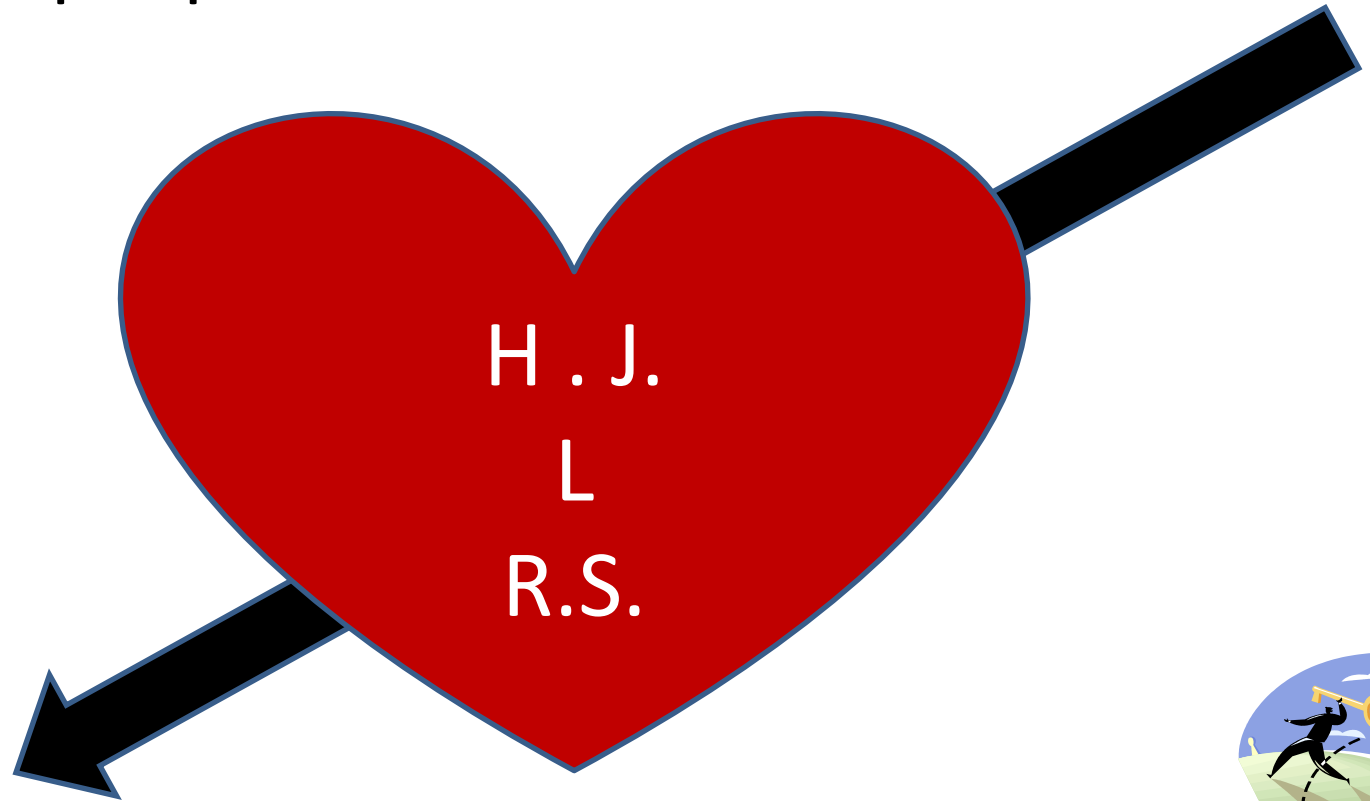
Enabler of efficient, effective compliant business delivery and performance

- Business Needs
 - Compliance
 - Governance and accountability
 - Business operations
 - Business development
 - Knowledge exploitation
 - Corporate memory
- Business Benefits
 - Save time
 - Save money
 - Increase opportunity
 - Add value
 - Reduce risk
 - Litigation
 - Reputation



Why I love that R.S. dude

2. Helps me (RM practitioners) make friends and influence people



“It’s the way [you] tell them”



© 1983 Mirrorpix

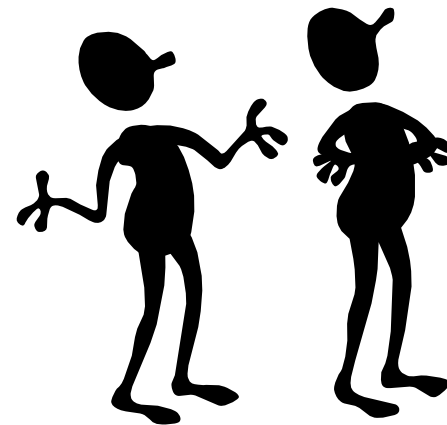
motivating?
↓

http://headrush.typepad.com/creating_passionate_users/2006/09/motivating_othe.html



“...because it’s good for you”

Records (stuff)
retention NOT IN
CONTEXT



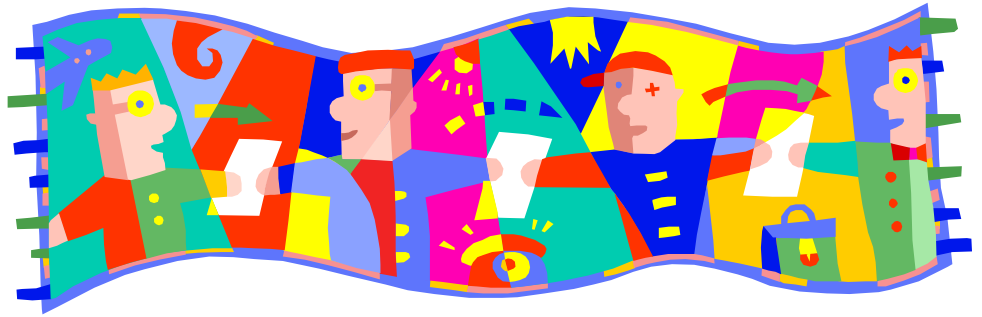
Repositioning Retention (RM/IG/IRM/IAM)

- Risk
- Opportunity
- Efficiency
- Governance
- Compliance
- Knowledge



Making friends & influencing people

- Property rationalisation
- IT Infrastructure
- Audit & compliance
- Finance
- Legal
- End users

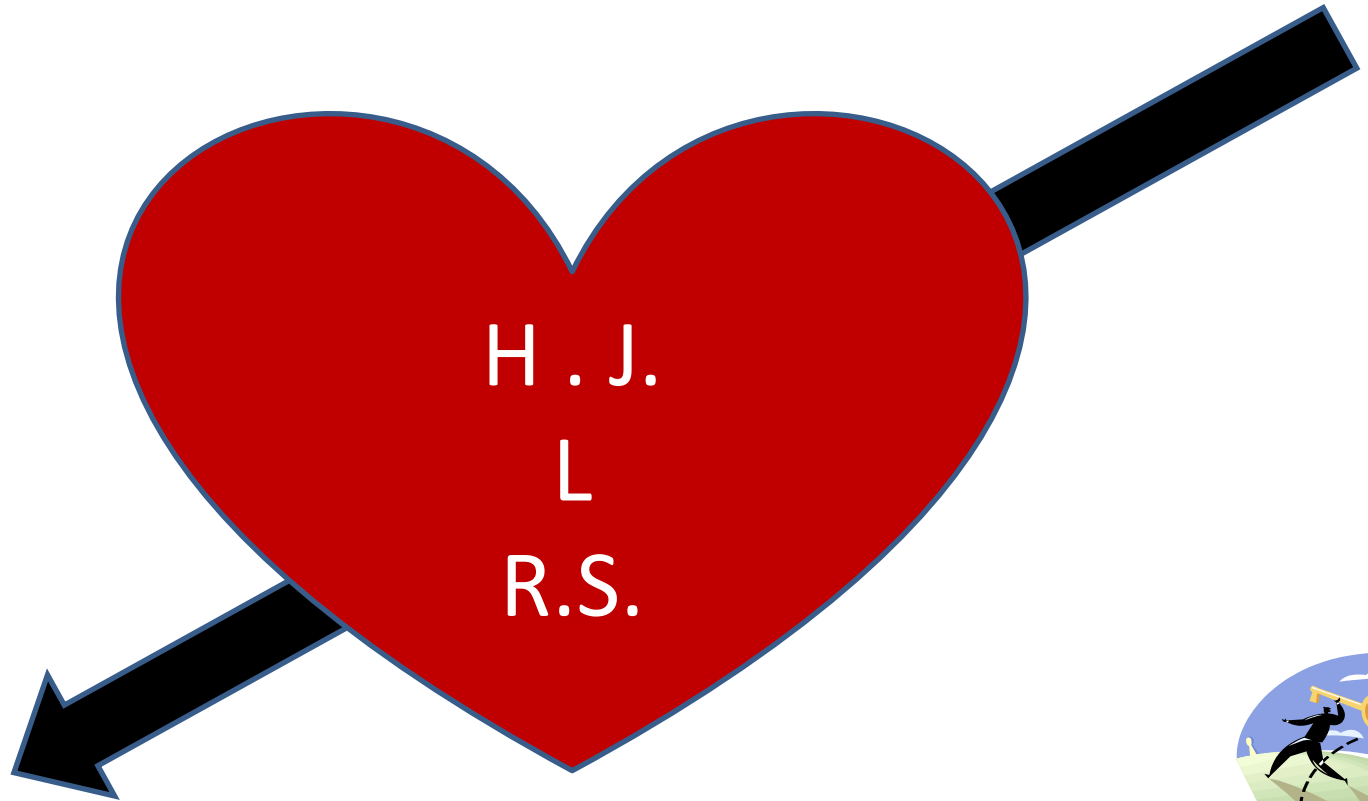


How would/do you R.S. enable these people?
Others?



Why I love that R.S. dude

3. Because I love the challenge of
“making them real”

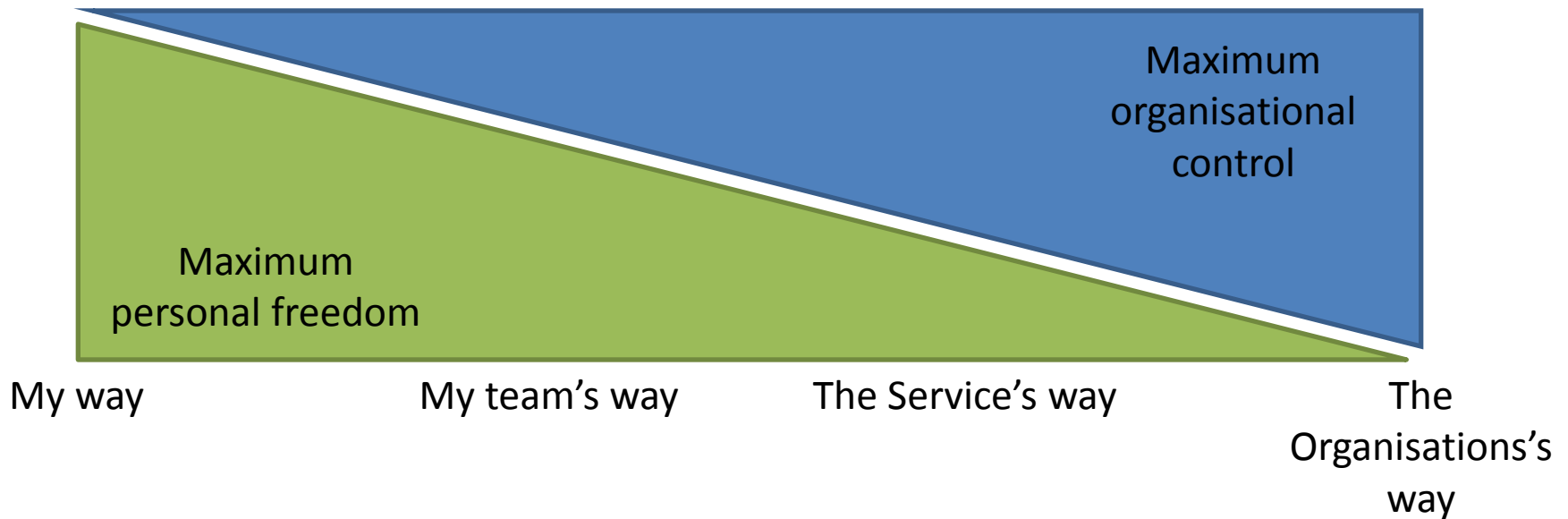


Development Challenges

- Getting ownership & consensus
 - **People types**
 - Lack of resources
 - Lack of awareness/responsibility/collaboration of regulating bodies
 - “You’re the records manager ... you tell me”
 - Quibbling over periods
 - Fear of destruction
 - trust - non-record copies and access issues



Conflicting Requirements



Different user types!



- Sarah Squirrel
- Connie Clear-out
- Tommy Top-secret
- Fred Free-for-all
- Clare Chaotic
- Oliver Organised



Development Challenges

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Development Challenges

Legislation and regulation – pure dead grey

- Explicit
 - [The Looked After Children \(Scotland\) Regulations](#)
- Implicit
 - Evidence of compliance
 - [Data Protection Act 1998](#)
 - Limitation Act (Prescription & Limitation (Scotland) Act)
- Issues
 - Conflicting
 - Interpretation
 - Minimum period
 - No guidance



Development Challenges

- typically unwieldy tools for developing and maintaining them
 - death by spreadsheet
 - lots of different flavours for different audiences
 - and issue of keeping them all up to date



1	Function Level 1	Activities Level 2	Sub-Activities Level 3	Core or supporting function?	Directorate-Service-Team
145	Information management	Access to information	Data Protection	Core	CG-CPCP-Information Compliance
146	Information management	Access to information	FOISA and EIRs	Core	CG-CPCP-Information Compliance

147	Information management	1 Directorate-Service-Team	A Master RMP Version	B Service Contact	C Status 18/02/2014	D Action due	E Detailed notes
59		EPI-AMO-Property Estates	Stage 2 v0.1		Draft core file plan with Service - due for return 10/02/2014	With Service - due 10/02/2014	Have left non Council Prop rows in the Coun Prop plan until service returns but have added them to the BCS
60		EPI-AMO-Property Investment	Stage 2 v0.2		Draft core file plan returned by Service	HJ QA	Am note 'I'm a bit confused about the category of transaction that you are describing in rows 2 and 3 of the spreadsheet. All property acquisitions and disposals are dealt with by Stephen Booth's Estates Team rather than by my Investment Team. I've filed in the spreadsheet anyway, but you may want to 'phone me about this, to confirm that we are both describing the same thing'
61		EPI-Directorate Support			Service has prepared a sample plan for review prior to rolling out across the rest of Directorate Support	HJ to send out all EPI plans for Val to support	
62		EPI-EBD-Business Growth			Draft core file plan with Service - due for return 17/02/2014- Elaine said she will treat as priority (20/02/2014)	With Service - due 17/02/2014	
63		EPI-EBD-City Promotions	Stage 2 v0.1		Draft core file plan with Service - due for return 10/02/2014	With Service - due 10/02/2014	Have left non Econ Bus Dev rows in the EBD plan until service returns - they have been added to the BCS

1	Core team responsible	Function Level 1	Activities Level 2	Sub-Activities Level 3	Record Series	Series Types	Trigger: What action triggers the retention period?	Retention period	Action	Legislative / Business Reason	Format held H and / or E	Location information
1	HE- HCS-Emergency Planning	Emergency Planning	Emergency Risk Assessment		Records documenting the assessment of the risk of an emergency occurring and of its potential impact.		End of current year	5 years	Destroy	Civil Contingencies Act 2004	Both	Emergency Planning Computer distribute-copies
2	HE- HCS-Emergency Planning	Emergency Planning	Emergency Response Planning	Advice and guidance	Records documenting the provision of advice and assistance to an external organisation to prepare and maintain an emergency response plan.		End of current year	5 years	Destroy	Civil Contingencies Act 2004	Electronic	Emergency Planning Computer
3	HE- HCS-Emergency Planning	Emergency Planning	Emergency Response Planning	Emergency contacts	Emergency contact directory		Date superseded.	Nil	Update contacts as required	Business requirement	Both	Emergency Planning Computer distribute-copies (also on restricted of Zone)
4	HE- HCS-Emergency Planning	Emergency Planning	Emergency Response Planning	Emergency response pol	Policy and procedures		Date superseded.		Destroy	Business requirement	Both	Emergency Planning Computer Hard Cop (soon als zone)
5												

Main reasons not implemented successfully ... or at all

- developed for tick box compliance



focus on creating them, not on implementing them

- attempt to achieve perfection and complete coverage rather than priority/risk based
- too complicated/too simple



Main reasons not implemented successfully ... or at all



- approach not been adapted to meet new ways of working = #NextGenRM
 - **disconnect between IRM & IT**
 - traditional paper-based approach = finalised/inactive records ... BUT
 - retention/ disposal drivers now go beyond records (& paper)
 - final disposition, not info life-cycle

. Transfer . Transition . Partner Working . Out-sourced



Council Example Relationship & Information Flow Complexity

Community . Corporate & Customer . Development and Infrastructure

Councillors . Senior Management . Service Management . Teams . Employees

Planning . Consulting . Advising . Delivering . Enquiring . Monitoring . Reporting . Sharing

Customers

- Internal
- Residents
- Local Businesses
- Other local authorities

External Partners

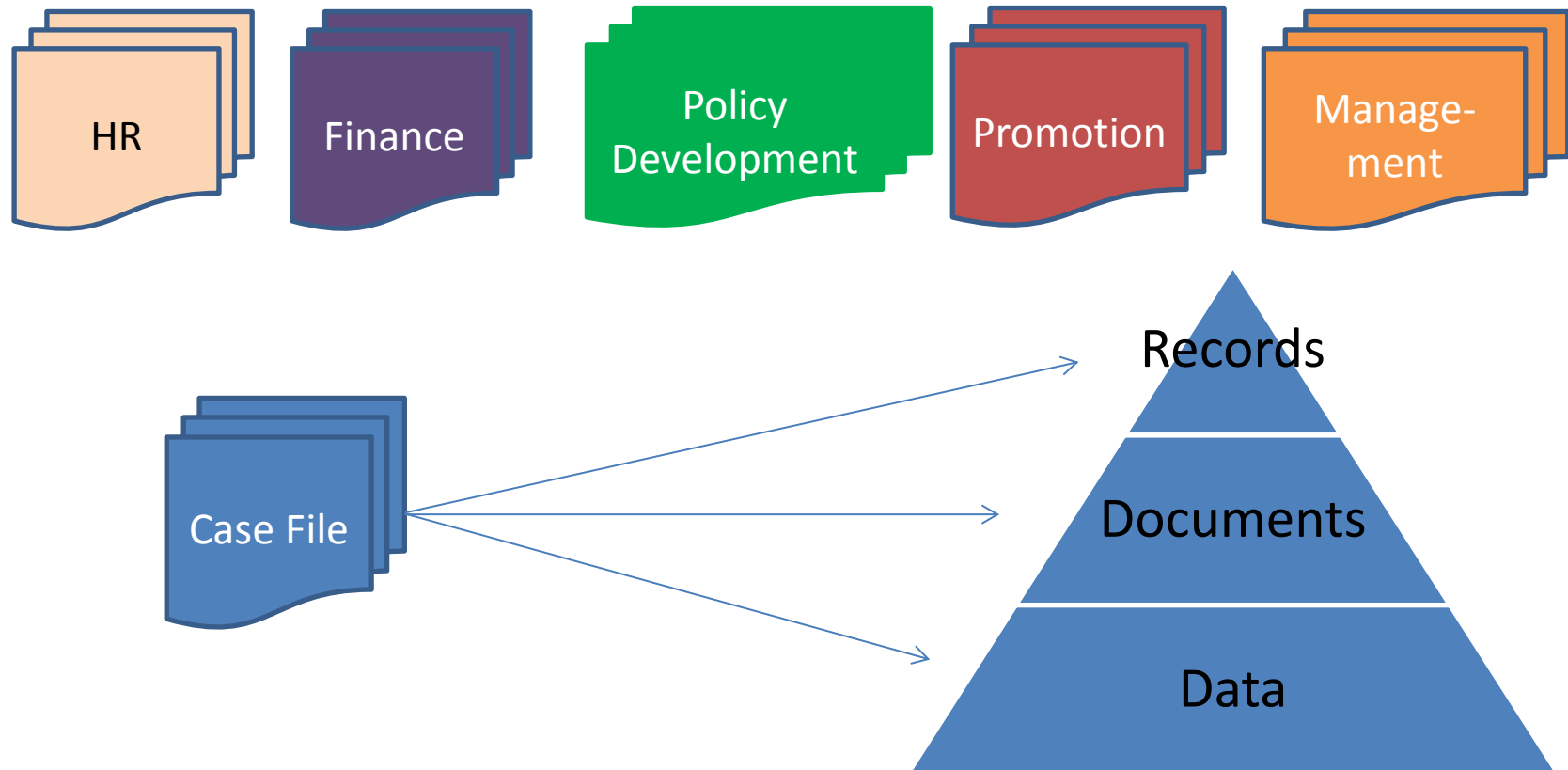
- Arms length bodies
- Police, NHS
- Local communities
- Voluntary sector
- Businesses

Legislators and Regulators

- The Council itself
- Central Govt & EU
- Function specific
- ICO & HSE

Main reasons not implemented successfully ... or at all

- only implemented in EDRMS - which contains v small proportion of orgs. information



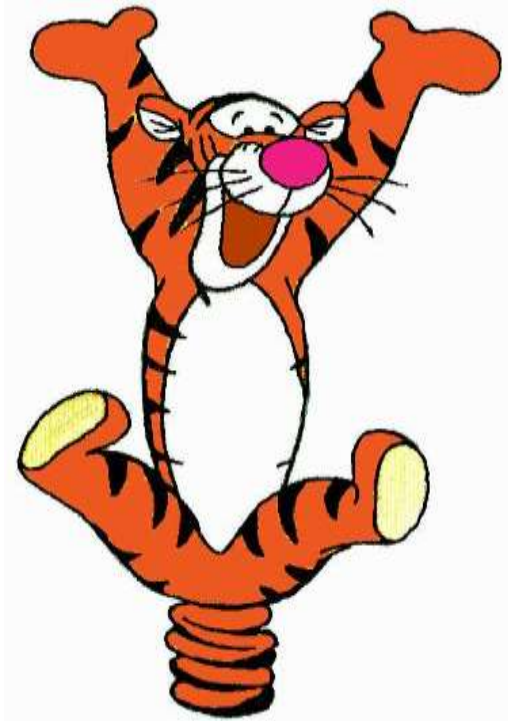
Main reasons not implemented successfully ... or at all

- The trouble with triggers
 - Often not specified
 - Tied to business process
 - Date or event related



<http://www.atomic-arts.org/>

<http://freedisneyclipartsite.com/>



Main reasons not implemented successfully ... or at all

Records retention policies not configured/adapted for different information management environments

- Paper-based filing systems
- Shared network drives
- EDRMS
 - Traditional
 - Content management/information portal systems
- “Line of business” applications
- Social media



Development / Implementation Challenges

- Main reasons not implemented successfully ... or at all
 - Your experiences?????



ISO 15489 REVISION??

**IRMS
Retention
Wiki**

**ESD Standards for
Records Retention:
LG Inform Plus**

**GOOD
NEWS**

**Enterprise/
Info Architecture
& Metadata
interoperability
standards**

**ICO Scot Govt, Heads
of Planning, Scotland
joint guidance**

**Public Records
(Scotland) Act**

Success Factors

Developing schedules

- Roles, responsibilities & ownership
- Holistic information landscape
- Risk based approach
 - Prioritise
 - Be pragmatic
- Engagement, review and approval at all levels
 - trust



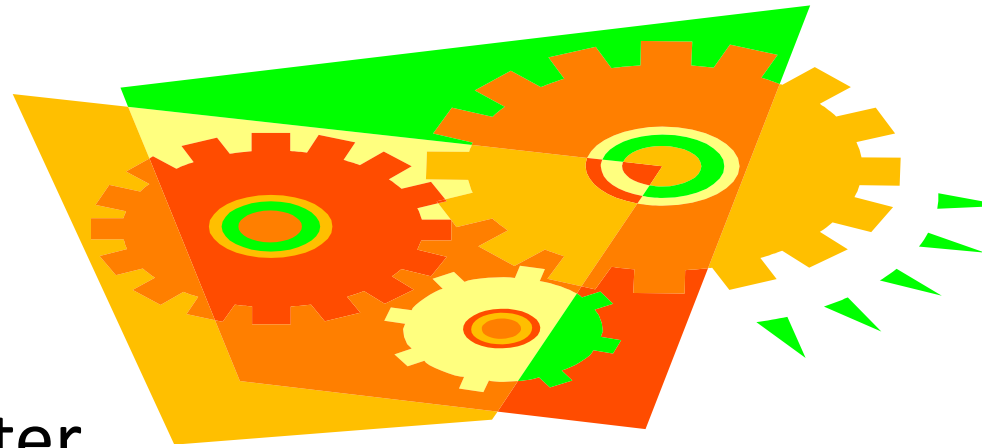
Success Factors

Engagement

- Org. stakeholders
- External resources
 - [SCARRS](#) /LGAPlus
 - [JISC](#)
- Community collaboration
 - IRM professional & regulatory
 - Core function
 - Peer bodies



Success Factors



Holistic = Integration

- information asset register
 - connected metadata rather than isolated narrative
 - business & security classification
- IG layer of enterprise architecture
- master data sets
- related business processes & workflows
- life-cycle management of information
- exploit technology to apply & automate “in-place” retention & disposal



Success Factors

Practical standards policies and procedures

- Retention metadata standards
 - consistency & interoperability
- Appraisal and disposal procedures
- Destruction arrangements
- Evidence of disposal
- Long term preservation & sustainability
- Internal audit & contract monitoring area



Success Factors

Key Performance Indicators

- Business case
- Measurable performance improvement
 - How do you measure retention & disposal success?



Success Factors

Maintenance, development and improvement

- Specification of requirements & systems design
- Impact assessments
- Monitoring, feedback and review





Retention schedules are for life,
not just for Christmas 😊



Any Final Questions?

Heather Jack

HJBS Ltd

Heather@hjbs.com

www.hjbs.com

[@akaIRMbigyin](#)

07753740109