

ZASIO

YOUR COMPLETE INFORMATION GOVERNANCE PARTNER

Kickstart 2025: Revamp Your RIM Program!

February 18, 2025

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Meet Our Presenters

Records & Information Management Experts



**Jennifer Chadband, CRM, IGP,
CIPP/E, Licensed Attorney**

Senior Consultant / Consulting Co-Manager



**Rick Surber, CRM, IGP
Licensed Attorney**

Senior Consultant / Consulting Co-Manager

Today's Agenda

Discussion

- Why?
- Fundamental Program Components
- Conducting Assessments
- Common Findings
- Practical Tips

Questions



Why? Robust RIM Program Benefits

- Legal & Regulatory Compliance
- Risk Mitigation & Liability Reduction
- Increased Operational Efficiency & Cost Savings
- Protection of Sensitive, Confidential, Proprietary Information
- Enhancement of Business Continuity & Disaster Preparedness
- Supports Informed Decision-Making
- Facilitates Digital Transformation & Information Governance



RIM Program Components

- Governance
- RIM Practices
- Work Culture & Behavior
- Technology
- Risk Management & Security
- Compliance



Benchmarking & Industry Common Practice

- ARMA
 - Principles (Generally Accepted Recordkeeping Principles)
 - ARMA Maturity Model
- ISO
 - 15489-1:2016: RIM
 - 24143:2022-05: IG
- Others
- Identify gaps
- Prioritize areas for improvement
 - First priorities should align or address your “Why” and purpose for assessment



General Assessment Approach

Risk & Maturity

- Starting from scratch
 - General risk approach
- Minimally developed
 - General Risk approach & Some Maturity
- Substantive maturity
 - Primarily Maturity & Targeted Identified Risks



Assessment Planning & Considerations

- **Objectives & Scope**
 - Why is it being conducted?
 - Risk, compliance, efficiency, modernization, adverse audit finding, all the above?
 - What will be assessed?
 - Policies, procedures, retention schedules, technology, practices, compliance, etc.
 - Identify the scope of outreach & assessment
 - Organization-wide, specific business area, electronic v. physical records

Assessment Planning & Considerations

Stakeholder Engagement

- **Identify key stakeholders**
 - Legal, business areas, IT, records managers/liaisons, privacy
- Conduct **Surveys & Follow-Up Interviews**
- Gain **executive buy-in** for assessment results and recommendations for future



Assessment Planning & Considerations

Existing RIM Framework & Policies

- Review current **records retention schedule** and classification structures.
- Assess **policy documentation** for clarity, accessibility, and enforcement.
- Evaluate RIM and **disposition practices**—is unnecessary data being properly destroyed? Are records being captured and maintained appropriately?

Assessment Planning & Considerations

Technology & Systems

- Assess records management software (RMS), ECM, or other information governance tools.
- Assess current systems and capabilities.
- Identify integration gaps with IT systems (e.g., ERP, CRM, email management).
- Consider automation opportunities for classification, retention, and disposal.
- Standard for onboarding new technology conducive to retention and disposition.



Assessment Planning & Considerations

Records Lifecycle & Governance Practices

- Evaluate **how records are created, stored, accessed, and disposed of.**
- Identify **information silos** or redundant/obsolete information.
- Determine whether **metadata and classification standards** are consistently applied.

Assessment Planning & Considerations

Risk & Security Considerations

- Identify vulnerabilities related to **data breaches, loss, or unauthorized access.**
- Assess **disaster recovery and business continuity plans.**
- Evaluate how sensitive records (e.g., Confidential, PII, PHI, financial data) are protected.



Assessment Planning & Considerations

Efficiency & Process Optimization

- Identify manual, redundant, or inefficient processes.
- Assess user adoption of RIM tools and adherence to policies.
- Look for opportunities to **streamline workflows, reduce costs, or improve automation.**



Reporting & Recommendations

- Develop a report with findings, risk areas, and recommendations.
 - Risk based report v. maturity report.
 - Prioritize based on risk, compliance, business impact.
 - Consider tasks that can commence and run concurrently.
 - Create a roadmap for implementing changes, gaining leadership buy-in, and supporting continuous improvement.
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Developing a Roadmap Summary & Timeline

Phase	Key Focus	Timeframe	Milestone
1	Assessment & Gap Analysis	0–3 Months	RIM Assessment Report
2	Policy & Governance Enhancement	3–6 Months	Updated RIM Governance Framework
3	Technology & Process Optimization	6–12 Months	Automation & ECM Implementation
4	Training & Change Management	12–18 Months	Organization-wide Adoption
5	Continuous Improvement	18+ Months	Future-Proofed RIM Strategy

Save the Date!

Tuesday, March 25 at 9 a.m. (MT)

Watch for the registration link

ZASIO **WEBINAR**
Information Governance Experts

When Data Becomes a Record: Tackling the Master Data Retention Question

 **RICK SURBER**
SENIOR CONSULTANT

 **WARREN BEAN**
VP TECHNOLOGY &
PRODUCT DEVELOPMENT.

JOIN US

 **TUESDAY**
03 | 25 | 2025

 **9 AM**
MT

ZASIO
(800) 513-1000 | connect@zasio.com | zasio.com



Thank You!

Questions?