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Virtual Coffee with Consulting

Beyond Records: The Future is Process-Driven Retention Management

Thursday, Feb. 5

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Meet Our Presenters

Records & Information Management Experts

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

Senior Consultant / Consulting Co-Manager

Warren Bean, CRM, CISM

VP Technology &
Product Development

Rick Surber, CRM, IGP Licensed Attorney

Senior Consultant / Consulting Co-Manager
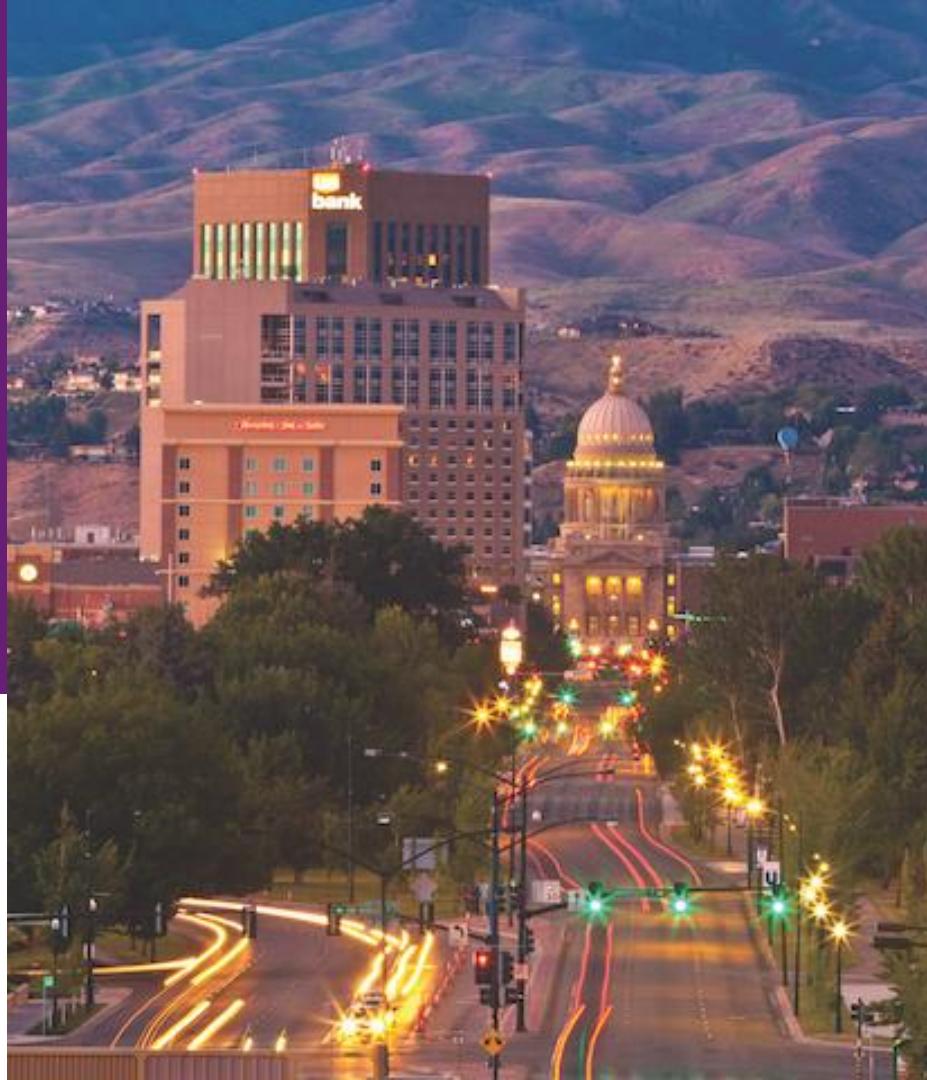
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About Zasio

In Case You Hadn't Heard, Zasio…

- Established in 1987 by Kevin Zasio
- IG software & consulting
- First full lifecycle RM software
- Global IG consulting
- Electronic and paper records management
- Retention schedule development

Today's Agenda

- Introduction & context
- Traditional retention scheduling
- The complication of data
- The complication of privacy
- A new approach
- Examples
- Implementation
- Q & A

INTRODUCTION & CONTEXT

"Without records that show how, why and by whom data was collected, it's easy to misinterpret. What we preserve helps turn raw information into real understanding."

Lauren Singer Katz, Outreach and Advocacy Manager
Utah State Archives

Can I Destroy That?
(old school)

- Fundamental records management question
- Output/document centric
- Self-contained information
- Content based
  - Records retention schedule classification
- When it's gone, it's gone

Then came data
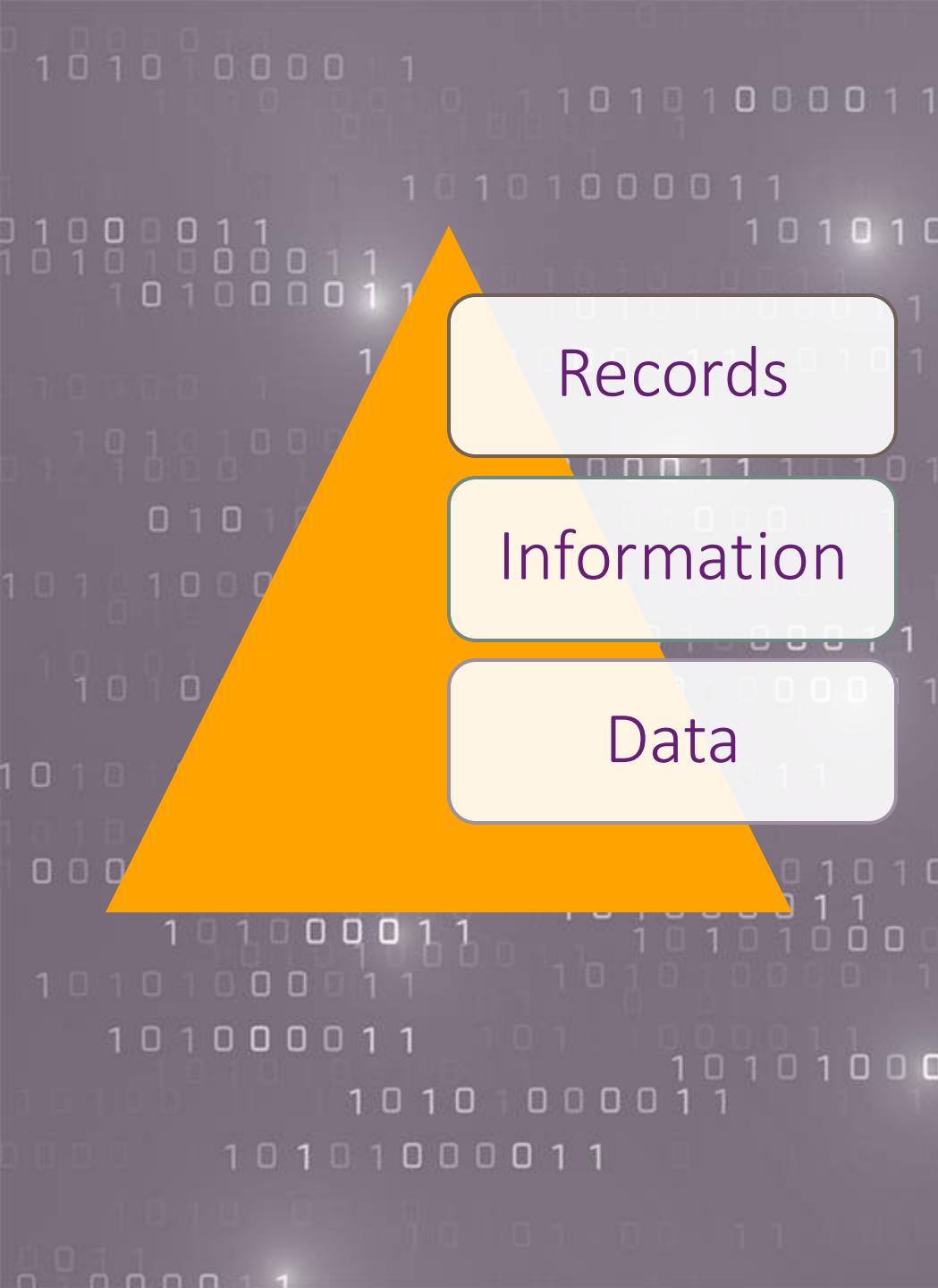
Records

Information

Data

Does data = records?

- Data: raw material of computing
- Information: processed data
- Records: information documented as evidence of activities
  - Not self-contained
  - May be regenerated after deletion
  - Various media
- Not typically in the retention schedule
- To keep, or not to keep?

Let's Play a Game

Data, Information, or Record?

- 01
- 01010111
- Will
- Final Will and Testament
- Will Fletcher
- Will Fletcher, DOB xx/xx/xxxx, SSN: 123-45-6789, Hire Date: xx/xx/xxxx

Source
:   n/a
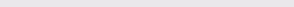
Then came privacy

- The right to be forgotten

- Compelled disposition maximums

- Conflicts with retention minimums

- Data dependency conflicts

- Not traditionally covered by the RRS

- When *must* I delete that?

Forget me ~~not~~

Source: n/a

User Poll

How much has privacy or embedded data impacted your ability to implement your retention schedule?

A New Approach: Process Driven Retention

Process-driven Retention Management considers the context of a given piece of information by incorporating upstream and downstream dependencies, along with privacy, legal, and risk concerns when assessing the overall lifecycle.
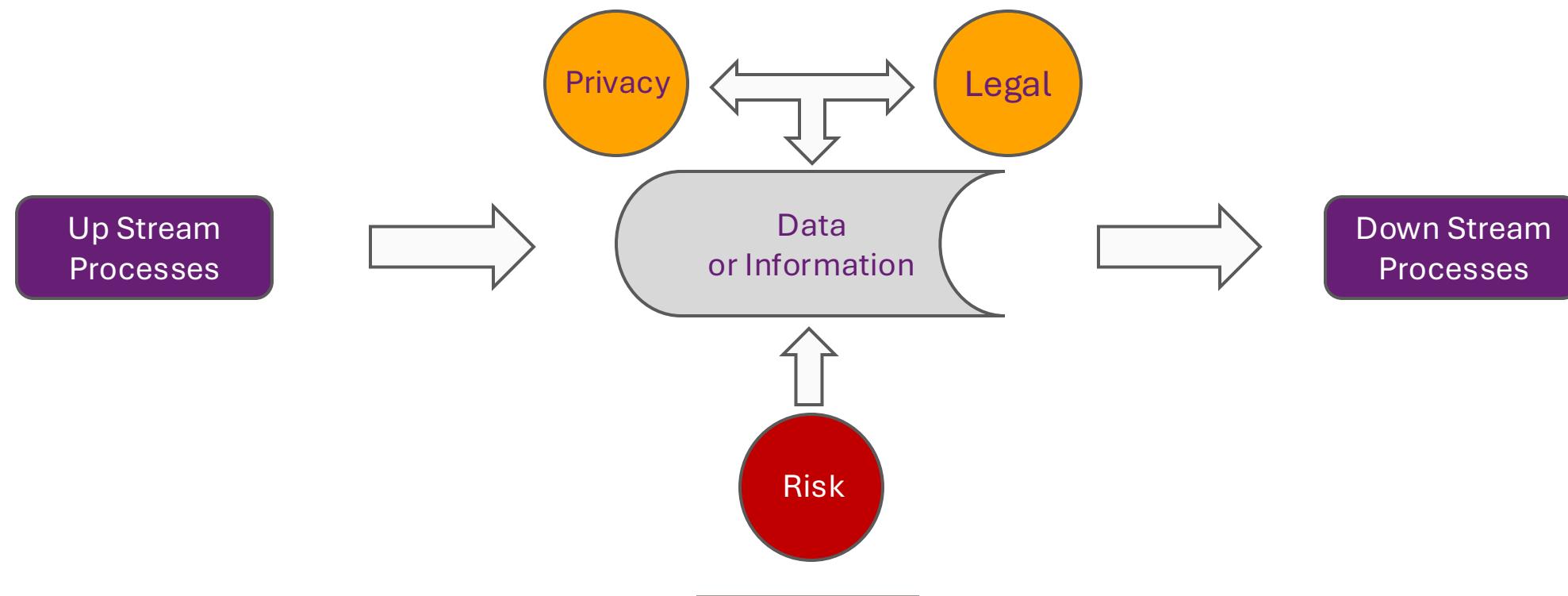
# **Characteristics** of Process Driven Retention

- Process based methodology
- Purpose driven
- Holistic, *fabric* oriented
  - Metadata
  - Privacy
  - Security
  - Risk
- Positional/relational (i.e. GPS)
  - Generators
  - Processors
  - Storers
- Not siloed
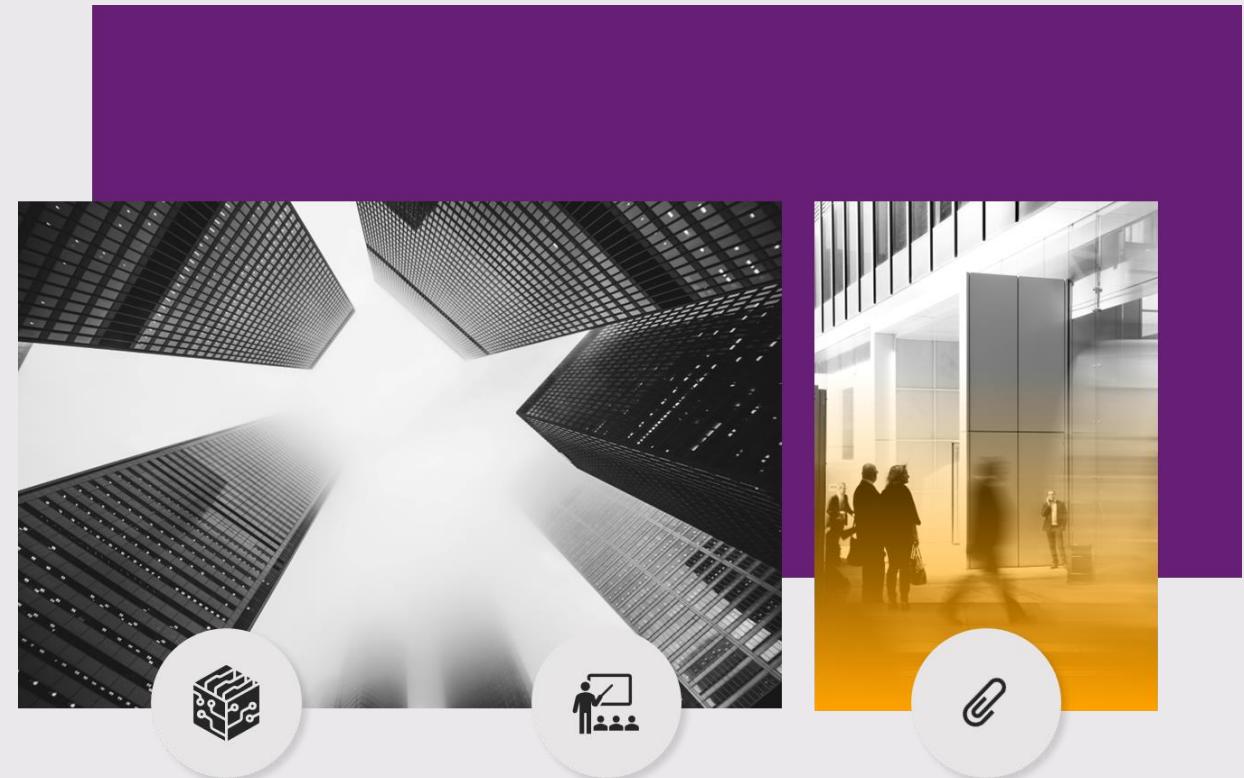
Process-driven retention flow

Continued...

Keep for no longer than necessary based on the original purpose for collection and in conformance to minimum and maximum privacy retention regulations

Work with legal/compliance to evaluate PII risk

Does it involve privacy data? — Yes

Consider adding it to the RRS

No

Can it be separated and deleted on its own?

Evaluate risk/benefit factors — Yes

Can it be separated and deleted on its own?

No — Anonymize/sanitize/consolidate, keep until related data destroyed

Yes

Delete when no longer needed, or when risk level is too high

No

Keep until related data has been destroyed

End/Destroy

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Customer Energy Consumption: **Example 1**

Entity: Electric utility

Data: Hourly energy consumption logs collected from meters

Question: Can you delete this data? When?

Investigative questions

1. What are the record outputs?

2. What are the process considerations?

3. What are the retention considerations?

- n/a

Customer Energy Consumption: Example 1

Entity: Electric utility

**Data**: Hourly energy consumption logs collected from meters

Record outputs

- Billing statements
- Demand/usage/outage reports
- Energy efficiency reports
- Usage forecast reports

Process considerations

- Sales project management
- Customer success management
- Marketing project management

Retention considerations…

- n/a
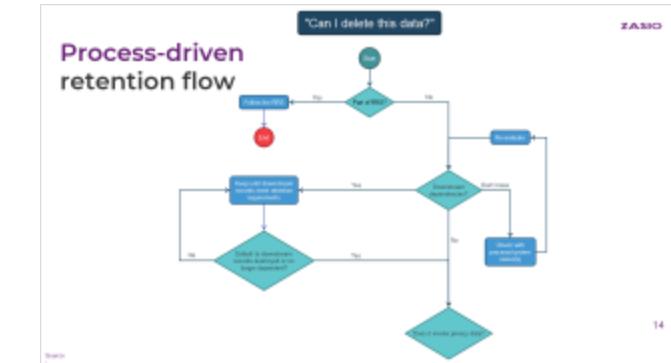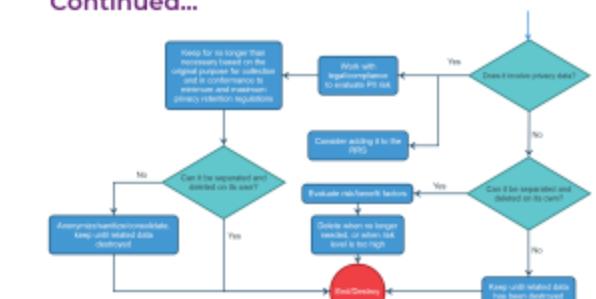
User Poll

Which example do you want to go through next?

HR Information System: Example 2

Entity: Internal human resources department

Data: Clock-in/out logs for hourly employees

Question: Can you delete this data? When?

Investigative questions

1. What are the record outputs?

2. What are the process considerations?

3. What are the retention considerations?

• n/a

HR Information System: Example 2

Entity: Internal human resources department

Data: Clock-in/out logs for hourly employees

Record outputs
- Timesheets
- Payslips
- Withholding records
- Pension / benefits eligibility

Process considerations
- Accounts payable
- Employee time management
- Payroll and PTO/leave management
- Performance review
- Benefits management

Retention considerations...
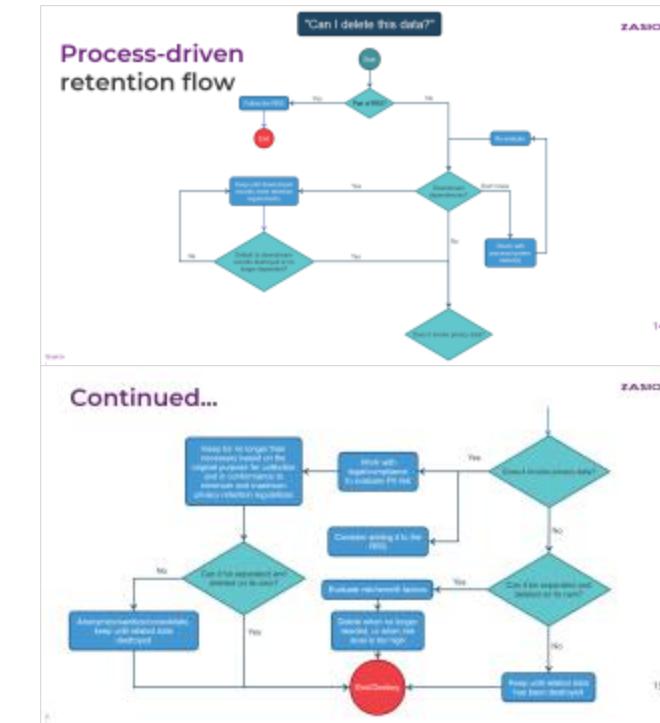
- n/a

Customer Relationship Management Platform: Example 3

Entity: Sales department

Data: Customer email address

Question: Can you delete this data? When?

Investigative questions

1. What are the record outputs?

2. What are the process considerations?

3. What are the retention considerations?

• n/a

Customer Relationship Management Platform: Example 3

Entity: Sales department

Data: Customer email address

Record outputs
- Sales quote
- Order Summary
- Contract
- Rewenal

Process considerations
- Sales
- Customer account management
- Customer satisfaction
- Legal

Retention considerations…
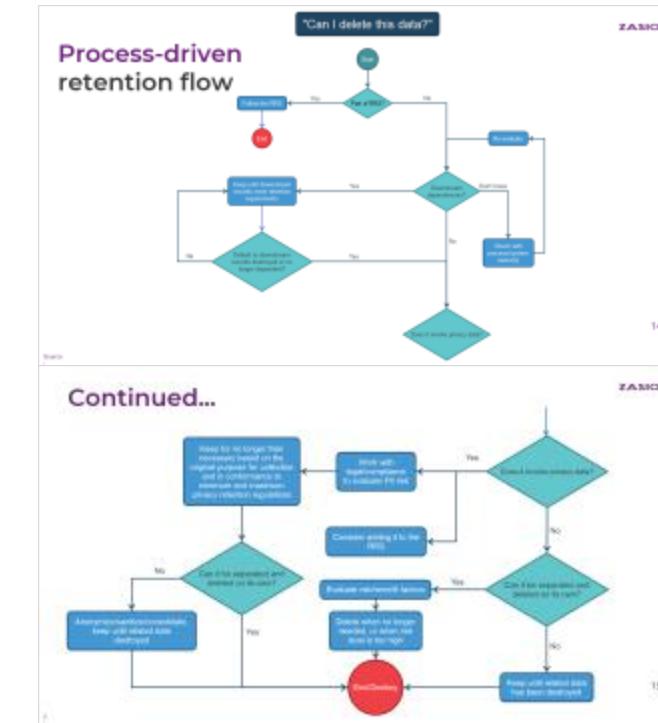
Implementation

- Foundational change
- Steering committee
  - Interdepartmental
  - Risk analysis
  - Dependency analysis
- Policy changes
- RRS changes
- System/data mapping
- Aggregate data where possible
- System onboarding/offboarding

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QUESTIONS?

Rick Surber
CRM, IGP, Licensed Attorney
Senior Consultant
rick.surber@zasio.com

Jennifer Chadband

CRM, IGP, CIPP/E, ECM
Senior Consultant
jennifer.chadband@zasio.com

Warren Bean
CRM, CISM
VP of Technology & Product
Development
warren.bean@zasio.com

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THANK YOU!