

CGOC 2006 SUMMIT

From Retention to Preservation: **Soup to Nuts**

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SYSTEMS

Next Level Retention Management

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Biography

Marilyn T. Bota

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As president of Bluestone Process Dynamics, Marilyn brings over 20 years of GE executive, international business, design engineering, and document life cycle management experience. She developed programs introducing quality, records management and consultative selling in the aircraft engine industry and at Genworth Financial, formerly GE Financial. Her role prior to leaving GE was VP, Records Management where she created and implemented a company-wide Records Management program, as well as comprehensive business policies for all associates.

Program development, leading change and focusing on the client experience are Marilyn's areas of expertise. Marilyn credentials include Six Sigma Quality Leader and Master Black Belt certifications, MBA from Xavier University and BE degree in Structural Engineering from Youngstown State University.

Marilyn is Chairman-elect of Junior Achievement of Central Virginia and is in the 2006 class of Leadership Metro Richmond.

What You Heard in 2005



- ✓ Drive Buy-in
- ✓ Prepare Your Policy and Retention Schedule
- ✓ Automate
- ✓ Develop Training
- ✓ Introduce Program through Multiple Communications
- ✓ Punctuate with a Records Management Event
- ✓ Never Stop Communicating
- ✓ Now for the Document Creation Guidelines
- ✓ Measure, Monitor, Audit
- ✓ Change the Culture

The Message for 2006

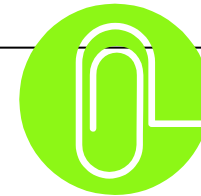
“If you do what you’ve always done,
you’ll get what you’ve always got”

Make Records Management
Compliance Easy for Employees

Preservation Notices

Layer simple over detail

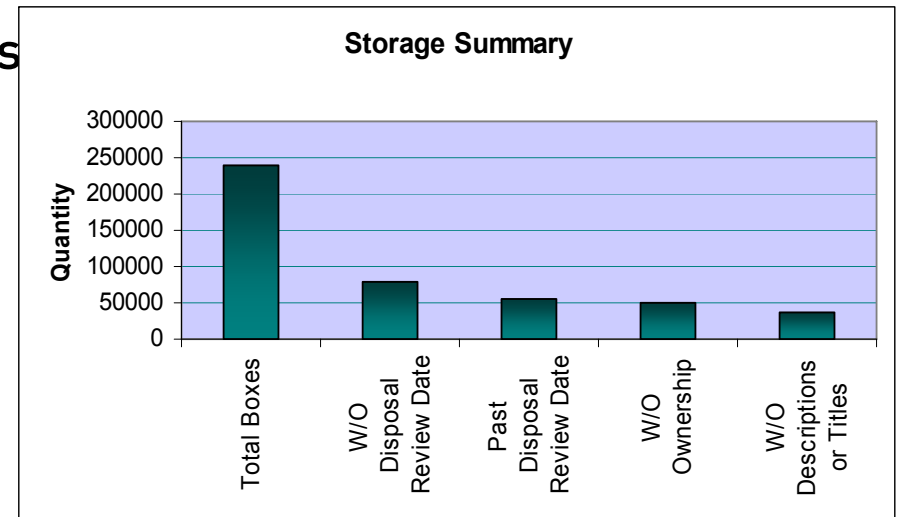
E-Mail Bullet Points and
Key Messages with
Reminder of Obligation
to Read Attachment



Attachment with Detailed
Preservation Notice

Paper Records

- Identify Locations for Stored Records
 - Vital Records
 - Business Records
 - Obsolete Records
- “Go To” Person in Each Business
- Statistics are the Key
 - Content Identified
 - Disposal Review Dates
 - Ownership
 - Document Type / Age

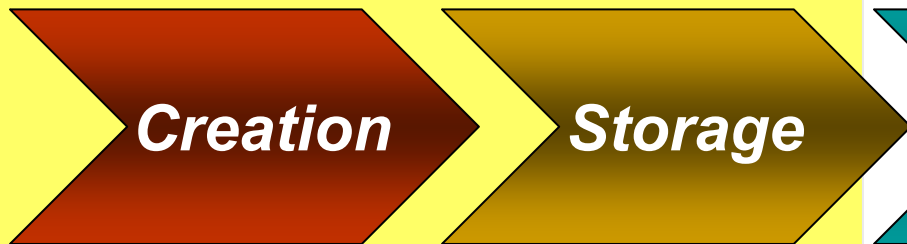


- Walk the Floors and Warehouses

Maintain Global Perspective

Electronic Media

Cause



Effect



Solutions

Full Information Lifecycle Management Compliance of
All Employees

~ or ~

Thin Client

~ or ~

Tag Documents at Creation

Natural Life Cycle of a Document

More on Electronic Media

- Back-up Tapes – One Process and Timeline, then Deal with Exceptions... Legacy Often the Driver
- Instant Messaging – Broker-Dealer Related “Records”... Precedent is Set
- e-Mail – Archiving Does Not Take the Place of Managing e-Mail as Records
- Quick Places & Websites – The Black Hole of Records, Procedures and Related Communications Often Lacking
- Ghost Images of Hard Drives – Expensive and Time Consuming... Use Sparingly
- Establish a Records Information Management (RIM) Steering Committee - Include IT and Operations Leaders

Communications

- Who needs to:
 - Decide
 - Influence
 - Implement
- Define your audiences
 - What do you want each to do/think/feel
- Partner with Communications, Public Relations, and Marketing
- Consider multiple media, methods, and events
- Validate effectiveness
- Repeat

The Perpetual Action Item

Preparing the Message

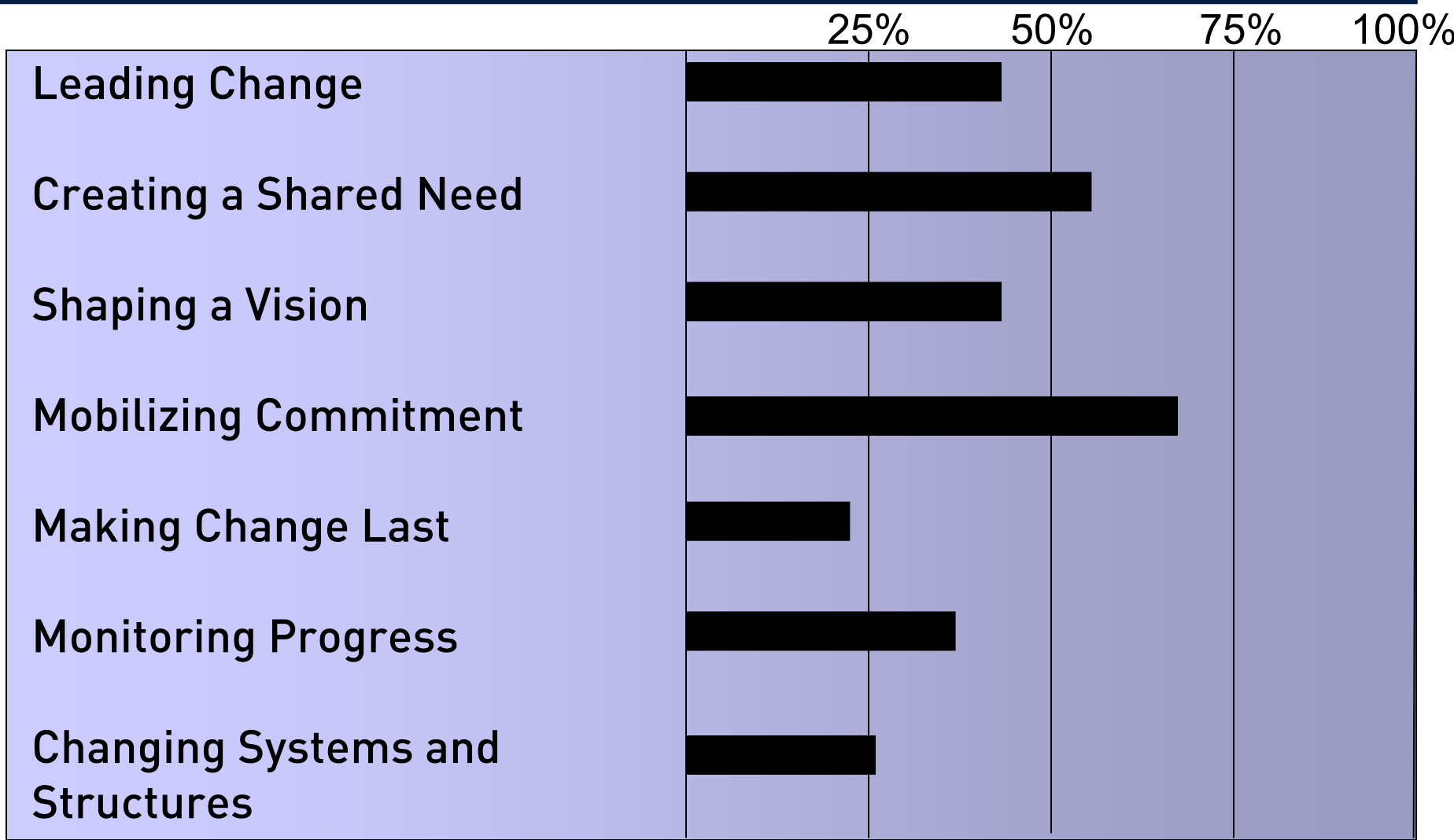
Play to Win

- Respond to customer requests quickly
- Increase productivity
- Storage recapture
- Associate level controllership
- Cost reductions offsite and onsite
- Collective intelligence

Play to Avoid Losing

- Cost avoidance – obsolete records removed when appropriate
- Improved responsiveness during investigations, audits, litigation
- No surprises
- Shred to protect private and proprietary information

Sustainable Change Checklist



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Source: www.gecorporatefinance.com/access_ge

Keys to Sustainable RIM Success

- Be Prepared for Changes in Regulations, Laws, and Business Needs
- Automate, Automate, Automate
- Where Burden can not be Lifted from Employee, Drive Responsibility of Controllorship
- K.I.S. (KEEP IT SIMPLE)
- Communication Never Stops – Humor Helps
- Programs and Events to Mitigate Present/Future and Legacy Challenges
- Look for Leaders
 - To Own the Program
 - For Best Practices
- This is a Team Sport – Success Lies in the Collective Knowledge of an Organization

Questions / Discussion?

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