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REPORT

Analysis of D. H. and B.'s Records Management Needs

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PURPOSE

The purpose of this report is to provide the analysis and assessment of Decker, Hubbard and Brown's Records Management Program for the creation of content and documenting the processes of the business activities. Documenting and conducting analysis of the Records Management Program will provide Decker, Hubbard and Brown with the assessment of the current state of the organization's Information Management Policies and should be taken into consideration before moving forward with any modifications or development and design of a Records Management Program.

The report identifies the dependencies between workflow processes and the business actions that generate records and the associated information (metadata) that needs to be created or captured as part of the Records Program to better understand where the organization is with respect to records management.





EXECUTIVE SUMMARY

Decker, Hubbard and Brown is in the process of reviewing the enterprise records management challenges associated with being a financial services company in the technology vertical. It is the goal of the organization to improve knowledge sharing and better equip staff to perform their jobs and to be as efficient, effective and consistent as possible.

The Objective...

In order to improve staff access to information and increase knowledge share, the Records Management Program must be able to provide the compliance, ease of access, efficiency and continuity of all of Decker, Hubbard and Brown's records. In order to fulfill these goals and objectives of Decker, Hubbard and Brown, the program should address the following needs:

- Organize content that has been accumulating into a centralized location with a standardized process and procedures.
- Develop a roadmap for long term goals and objectives of the company's enterprise Records Management Program.
- Identify and categorize the vital documents and records generated within the organization.
- Comply with regulatory requirements and prioritize the importance of records.
- Provide a complete review and audit of existing processes that generate records.
- Identify stakeholders for the Records Management Program.
- Deliver technology requirements for the Records Management Program.
- Identify resources for the program.



The Opportunity...

The Records Management Program is an important component for Decker, Hubbard and Brown to continue to be a leader in the financial services industry. The Records Management Program will be able to satisfy Decker, Hubbard and Brown's needs to be competitive in the financial services market and build a foundation for the records management controls and processes to govern the vast amount of information created, received, and used in the conduct of Decker, Hubbard and Brown's activities.

- Goal #1: Design an enterprise Records Management Program to demonstrate the company's understanding of the nature of its records and compliance with legislation, policies, principles, processes and procedures for managing the organization's knowledge.
- Goal #2: Develop a long term plan for the care and security of the company's records and to provide fast access to content. Allow personnel to make intelligent and well informed decisions from the most relevant and up-to-date data.
- Goal #3: Identify the company's processes and the technologies for best practices of records life cycle management.





RECORDS MANAGEMENT

The company's primary focus of records is for the functional areas within the organization that generate high volumes of content and meet the goals of the Records Management Program. A current inventory of Decker, Hubbard and Brown's documents and records is recommended to define the as-is state and identify departments or business units that have gaps in standards and procedures for Records Management. As part of the formal program assessment, a review of all content in context of the Records Management Program will help Decker, Hubbard and Brown develop policies and procedures for the new program. The policies and procedures should be authorized and adopted through change management and delivered to the organization with training.

The goal of the Records Management Program is to develop policies that clearly identify the sources of content, categories of records, and the appropriate retention period.

Content Source	Description	Location	Owner
Network File Share	The group of electronic documents created for developing collateral for the purpose of sales activates to include sales, marketing, training, and projects.	Server A – UNC Path	Sales Marketing Professional Services
File Cabinets	The HR group's documentation of an individual's employment, assessing and directing employee progress toward performance goals, investigating and responding to employee misconduct, grievances and disciplinary matters.	2rd floor room 202	HR
Line of Business Application	Accounting software	Server B	Accounting
ECM	Document libraries	Server D, E F	Projects, Marketing, Sales, Software.
FTP	Misc. docs	Server C	Misc. Docs



Policy and Procedure List

The following is a list of Decker, Hubbard and Brown's current policies dealing with information and records management related matters:

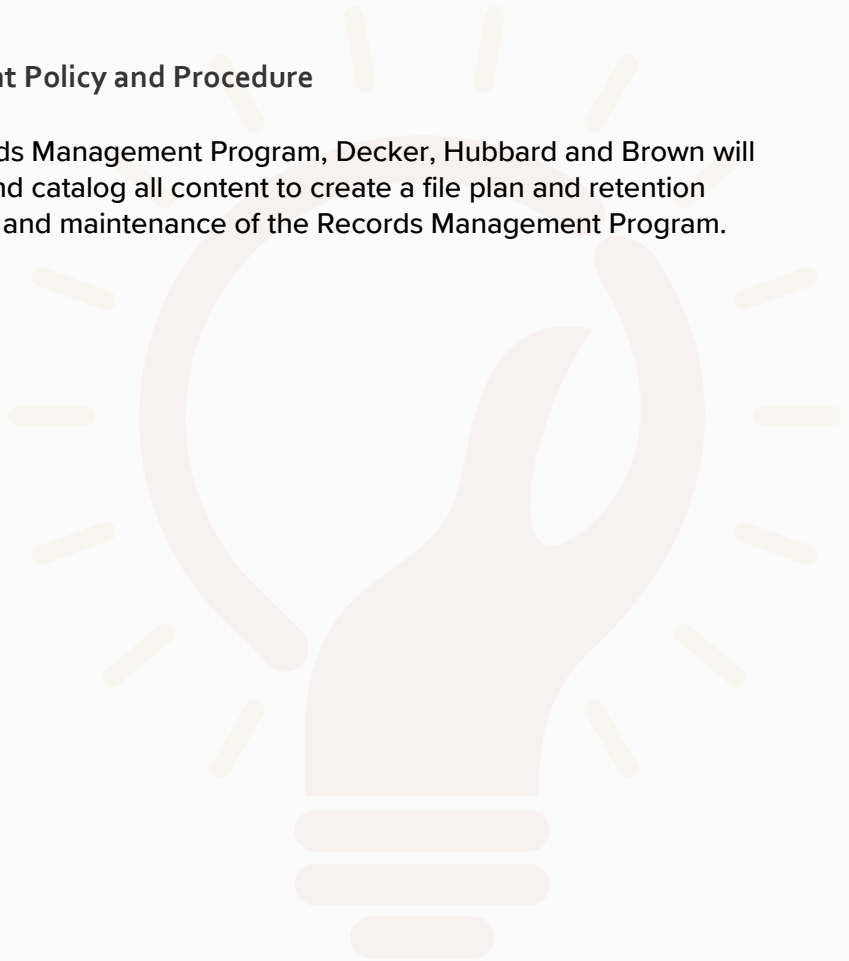
Title	Latest Version Date	Description	Purpose of the Policy	Source
Electronic Records and Email Policy	5/20XX	Policy and procedure for managing records	Identify the employee's responsibilities for storing and deleting paper and electronic documents, including emails and records management requirements	Business
Business Computer Equipment Policy	6/20XX	Policy for use of organization's computer equipment	Identify the responsibility for safeguarding the data on local machines and servers	Business
File System and Temporary File Shares Policy	8/20XX	Policy for using a temporary share location and retaining short-lived records	Conform to security and access-related guidelines	Business
File Naming and Versioning Procedure	7/20XX	Version control reduces the risks of using the wrong documents and enhances the ability to secure records and provide better information auditing	Ensure documents are correct, current, and support productivity though using standards and templates	Business
Accounting Policy and Procedure	6/20XX	Accounting policies and procedures for income and expenses	(Handled by bookkeeper, accountant or software such as Quickbooks (Online, Simple Start or Pro) SAP, or Peachtree Accounting) Manage receipts, invoices and canceled checks	Regulatory
Logo Use and Guidelines Policy and Procedure	8/20XX	Company branding documents and templates	Standardize on document creation	Business



Audit	7/20XX	Specific retention periods and standards for documentation surrounding an audit	Conform to any policy, procedures or guidelines specific to an industry	Regulatory
Secure FTP Server Policy and Procedure	2/20XX	Organization of information on the FTP server and purging	Organize and manage objects placed on the FTP server	Business
Expense Accounts, Diaries, Log Books, and Other Records	6/20XX	Policy for travel, car, meals, and entertainment costs	Meet record keeping guidelines for the management of receipts for an expense, and standardize the written record of the purpose of the expense, the date it was incurred, and other information, depending on the nature of the expense	Regulatory

Gaps in Records Management Policy and Procedure

For the purposes of the Records Management Program, Decker, Hubbard and Brown will perform a records inventory and catalog all content to create a file plan and retention schedule for the development and maintenance of the Records Management Program.

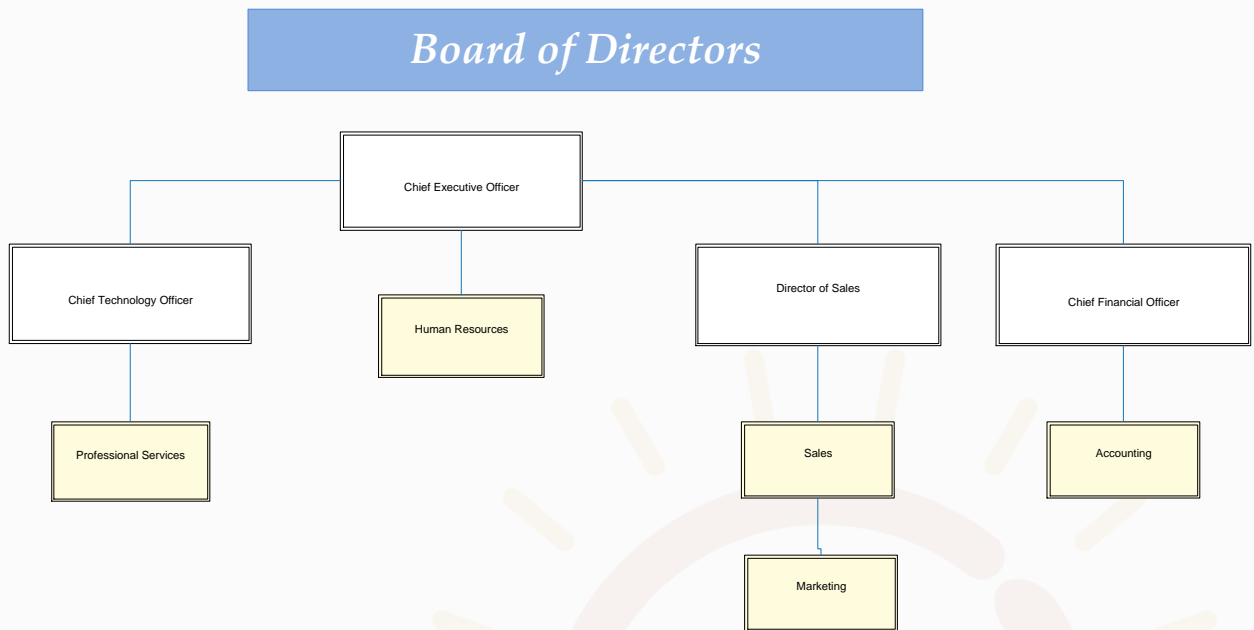




ORGANIZATIONAL STRUCTURE

The following outlines Decker, Hubbard and Brown’s organizational structure with the purpose and details of each unit. The purpose or function of each unit in the structure of Decker, Hubbard and Brown will aid in the creation of the File Plan to categorize records, define ownership and locations of content, and aid in defining taxonomy.

Organizational Chart



The following is a list of departments and functions within Decker, Hubbard and Brown.

Name and Acronym of Business Unit	Function of Business Unit	Description	Specific details about business unit content
Professional Services	The functions relating to the management of projects	Documents created by project managers and consultants' projects, pre-sales activities, training, support	Project Plan Project Charter Estimates Design Document Consulting Reports
Human Resource Management	The function of managing the workforce	Documents created for personnel management, regulations,	Employee Files Regulations Recruiting



		personnel development and on-boarding	
Marketing	The function of managing the production and organization of creating, communicating, delivering, and promoting the organization's mission and goals to customers, clients, partners, and internal departments	The activity of promotion and design elements of the organization	Sales Collateral Tradeshows Campaigns Social Media Standards Templates
Sales	The function of distributing collateral for goods and services in response to acquisition requests and promotion of the organization's products and services	Promoting the organization's products, professional services, and maintaining account activity	Call List Quotes RFP Presentations Account Activity
Financial Management	The functions related to the fiscal management of the collection, investment and disbursement of funds	The activity of the expense and administration of debt owed to suppliers and transactions dealing with the billing of goods and services, and administration of debt owed to the business	Accounts Payable Accounts Receivable Checks Purchase Orders Invoice
Administration (Board of Directors)	The functions relating to the management of the organization and its general administration	The activity of miscellaneous operating records	Insurance Policies Business Planning Emergency Documents Security Tapes





REGULATIONS

The following outlines Decker, Hubbard and Brown's regulatory or legal compliance requirements for managing the documents and records created in the daily activities of running the business.

The regulatory environment for Decker, Hubbard and Brown consists of the internal audits and IRS regulations for records management.

Regulatory Environment Elements

- Decker, Hubbard and Brown's internal audit operations, including reports
- IRS-required documents for recordkeeping
- Material safety data sheets (MSDS)
- Sarbanes- Oxley (SOX)
- JCAHO (Joint Commission on Accreditation of Healthcare Organizations)
- HIPAA (Health Insurance Portability and Accountability Act)
- ISO (International Organization for Standardization) regulations

Internal Audits: Decker, Hubbard and Brown uses a third-party auditing firm to provide evidence of sound financial reporting and ensure the company is in compliance with laws and regulations.

IRS-Required: Decker, Hubbard and Brown is required to keep business documents supporting federal tax regulations and provide a summary of business transactions. The Records Management Program will include the creation and disposition of the company's financial records (for example: accounting journals, supporting documents, expenses, travel, transportation, entertainment, and taxes).

Material Safety Data Sheet (MSDS): Decker, Hubbard and Brown must catalog and maintain MSDS documents. The Occupational Safety and Health Administration (OHSA) requires that MSDS documents be available to employees in the workplace and to local fire departments and local and state emergency planning officials in the event of an emergency. Part of Decker, Hubbard and Brown's Records Management Program is to provide online access and management MSDS sheets.



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