



Completing the Project Plan and Timeline for a Records Management Program

Planning Phase

Recap From November

- ▶ November Presentation Recap
 - ▶ Example of an RM project in progress at WaterOne.
- ▶ Agenda
 - ▶ This presentation will work through the process of creating an example plan and timeline for your own RM project.
 - ▶ Records Management Program Objectives
 - ▶ Takeaways on gkcarma.org

Records Management Program Deliverables

- ▶ Policy
 - ▶ Captures the intent to meet requirements
- ▶ Compliance Controls
 - ▶ The external drivers and requirements
- ▶ File Plan / Record Schedule
 - ▶ Record Categories - Describes Numbering/Coding/Authority
- ▶ Procedure / Work Instruction
 - ▶ Describes actions needed to satisfy the RM policy
 - ▶ Prescriptive about how to and execution
- ▶ Training

Major Tasks - Revisit November Slides

1. Define Records Policy for the Organization
2. Define Communications Plan for the Project & Program
3. Establish the Compliance Controls Relevant to the Organization
4. Build the File Plan for the Organization
5. Write Procedures and Work Instructions
6. Define Training Classes and Just In Time Help
7. Deploy Program, including IT Solution
8. Pulse on Metrics for Compliance with Program Objectives

Team Member Personas

- ▶ Compliance Officer
- ▶ Records Manager
- ▶ Legal
- ▶ Information Technology (IT) Manager
- ▶ Business Manager

Align Tasks and Time Line

- ▶ Complete the plan and timeline
- ▶ Holidays
- ▶ Vacations
- ▶ Competing IT and/or Business System Releases
- ▶ Align with Business Goals



Project Leader: Christine Adcock

Project: Records Management Project

01/01/18

Project Objective: Implement Records Management Program to Bring Company into Compliance

| Objectives | Major Tasks | Project Completed By: 12/31/2013 | | | | | | | | | | | | Owner / Priority | | | | | | | | | | | | |
|---|--|----------------------------------|---|---|----------|-------|-------|------|------|------|--------|-----------|---------|------------------|----------|--------------------|-----------------|----------|--------|------------------|--------|-------------|---|-------|----------|-------|
| • ○ | 1 Define Records Policy for the Organization | • | | | | | | | | | | | | | | | | | | | | | | | | |
| | 2 Define Communications Plan for the Project & Program | • | ○ | ○ | ○ | | | | | | | | | | | | | | | | | | | | | |
| | 3 Establish the Compliance Controls Relevant to the Organization | | | | ○ | ○ | | | | | | | | | | | | | | | | | | | | |
| • ○ | 4 Build the File Plan for the Organization | • | ○ | ○ | ○ | ○ | ○ | | | | | | | | | | | | | | | | | | | |
| • ○ | 5 Write Procedures and Work Instructions | • | ○ | ○ | ○ | ○ | ○ | | | | | | | | | | | | | | | | | | | |
| • ○ | 6 Define Training Classes and Just In Time Help | • | ○ | ○ | ○ | ○ | ○ | | | | | | | | | | | | | | | | | | | |
| • ○ | 7 Deploy Program | • | ○ | ○ | ○ | ○ | ○ | | | | | | | | | | | | | | | | | | | |
| | 8 Pulse on Metrics for Compliance with Program Objectives | | | | | | | | | | | | | | | | | | | | | | | | | |
| • ○ | A Policy | | | | | | | | | | | | | | | | | | | | | | | | | |
| • ○ | B Compliance Controls | | ○ | | | | | | | | | | | | | | | | | | | | | | | |
| | C File Plan | | | | | | | | | | | | | | | | | | | | | | | | | |
| ○ | D Communications Plan & Mascot | | • | | | | | | | | | | | | | | | | | | | | | | | |
| ○ | E Procedures & Work Instructions | | | | | | | | | | | | | | | | | | | | | | | | | |
| ○ | F Training | | | | | | | | | | | | | | | | | | | | | | | | | |
| • ○ | G | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | # People working on the project | | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 0.00 | 0.00 | 0.00 | 0.00 | | | | | | | | | | | |
| Regulatory Compliance Corporate Risk Reduction | Major Tasks | | | January | February | March | April | May | June | July | August | September | October | November | December | Compliance Officer | Records Manager | Legal | IT | Business Manager | | | | | | |
| | Objectives | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Summary & Forecast | | | <table border="1"> <caption>Costs Summary</caption> <thead> <tr> <th>Category</th> <th>Expended</th> <th>Budgeted</th> </tr> </thead> <tbody> <tr> <td>Budget</td> <td>13,632</td> <td>54,005</td> </tr> <tr> <td>Contingency</td> <td>0</td> <td>8,101</td> </tr> <tr> <td>Expenses</td> <td>2,724</td> <td>8,000</td> </tr> </tbody> </table> | | | | | | | | | | | | Category | Expended | Budgeted | Budget | 13,632 | 54,005 | Contingency | 0 | 8,101 | Expenses | 2,724 |
| Category | Expended | Budgeted | | | | | | | | | | | | | | | | | | | | | | | | |
| Budget | 13,632 | 54,005 | | | | | | | | | | | | | | | | | | | | | | | | |
| Contingency | 0 | 8,101 | | | | | | | | | | | | | | | | | | | | | | | | |
| Expenses | 2,724 | 8,000 | | | | | | | | | | | | | | | | | | | | | | | | |

Questions?

Planning Phase