HOW TO BUILD AND SUSTAIN YOUR IG PROGRAM WITH A PLAYBOOK

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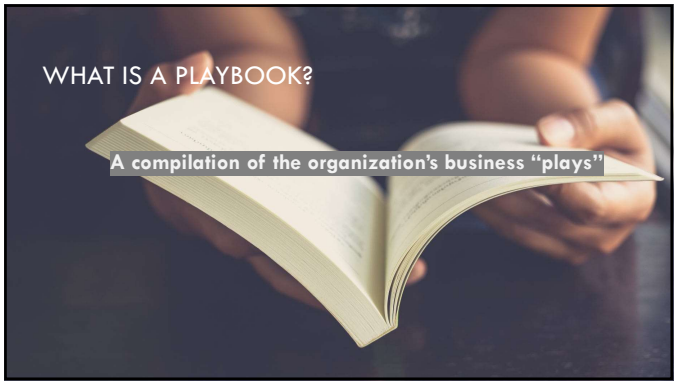
Disclaimer: Modified from original presentation prepared by Athro Consulting & Helias Consulting

AGENDA

- What is a playbook
- The value of a playbook
- Building your playbook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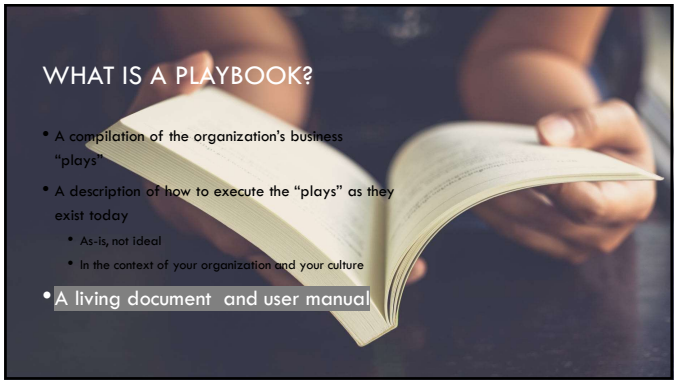
WHAT IS A PLAYBOOK?
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• A description of how to execute the "plays" as they exist today
• As-is, not ideal
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• A living document and user manual

WHAT THE PLAYBOOK IS NOT

- A regurgitation of industry standards and "best practices"
- A copy of how another company may have chosen to do it
- A set of detailed procedures
- A strategy

THE VALUE OF A PLAYBOOK

BENEFITS OF USING A BUSINESS PLAYBOOK

- Organization
- Efficiency
- Cost Savings
- Work Quality
- Employee Training
- Independence
- Improvement

Source Indeed com https://www.indeed.com/career-advice/career-development/what-is-a-playbook-in-business

ORGANIZATION

Hey, it's what we do!

The playbook includes everything you need to execute your program's plays – all in one place.

WORK QUALITY

Consistency in **what** tasks are performed…

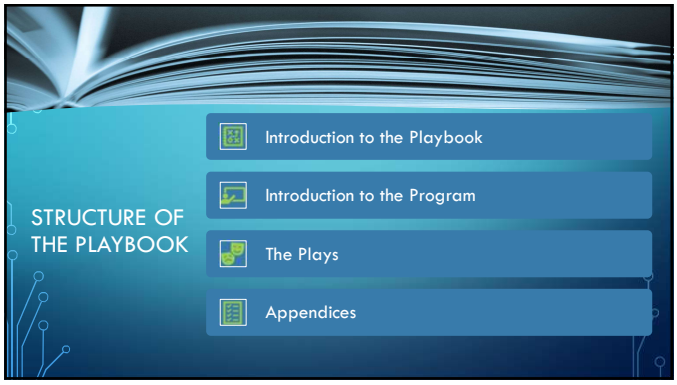
Even if you're out of the office and not the one performing them

EMPLOYEE TRAINING

- **Improve employee onboarding and training efficiency and consistency**
- **Set them up for success and accountability**

THE PLAYBOOK SHOULD ANSWER THESE QUESTIONS:
What would your replacement need to know to do your job for 30-60-90 days?
What are the things you do, create, monitor, or report regularly?
What are the questions you answer every day/week/month?

BUILDING YOUR PLAYBOOK


STRUCTURE OF THE PLAYBOOK
Introduction to the Playbook
Introduction to the Program
The Plays
Appendices

THE ARCHITECTURE OF A PLAY

- The purpose of the play
- A description of the play
- The players involved in the play
- The frequency and schedule of the play
- The references, guidelines, standards, checklists, etc. required to execute the play
- The metrics associated with the play

HOW DO YOU DETERMINE WHAT PLAYS TO INCLUDE?

1. Analyze your existing processes and procedures
2. Review any guidelines, templates, and job aids
3. Make a list of job responsibilities for you/your staff
4. DON'T review an RM textbook….

SOME EXAMPLES OF PLAYS YOU MAY BE INCLUDED

INFORMATION GOVERNANCE PLAYS

Inventory	Inventory systems, information, and processes
Assess	Assess proposed new technology solutions
Conduct	Conduct annual IG assessment
Review	Review and maintain policies and other documentation

RECORDS MANAGEMENT PLAYS

- Maintain the Retention Schedule
- Assess and Audit the Program
- Conduct Scheduled Disposition Activities
- Administer Recordkeeping System(s)

PRIVACY PLAYS

- Conduct data privacy impact assessments
- Respond to data subject access requests
- Review and maintain privacy disclosures
- Report privacy program status

INFORMATION SECURITY PLAYS

Ensure	Ensure PCI compliance
Conduct	Conduct technical security assessments
Review and Maintain	Review and maintain a security incident response plan
Assess and Manage	Assess and manage access controls

EDISCOVERY PLAYS

- Develop a collection and legal hold strategy
- Communicate placement and lifting of legal holds
- Apply and lift legal holds
- Collect information relevant to investigations or other legal matters

EXAMPLE PLAY: SEND BOXES TO OFFSITE STORAGE

Play: Send Boxes to Offsite Storage

Many records are required to be kept for longer periods of time than they are actively accessed and used, because of legal or regulatory requirements. Those records can be stored in our offices, but those take up valuable office space and we pay for that space. We save significant money by moving inactive records to StorageCo, our offsite storage vendor, and freeing up that space for more productive uses.

When records are ready to be moved offsite, the records analyst will inventory each box and place a copy of the inventory sheet inside. StorageCo will pick up the records around the 25th of each month. Once the records are stored in their warehouse, they will transmit tracking information to the records manager, who will update the records management system with that information.

Responsible	Accountable	Consult	Inform
Records Analyst	Records Manager	Offsite storage vendor	Records owner

Schedule:

- Upon request from business owner, no more frequently than monthly

Relevant policies and procedures:

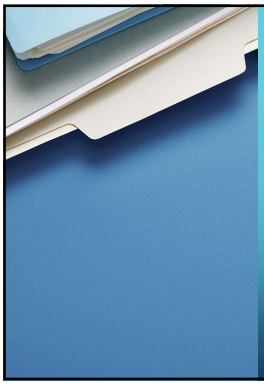
- Records policy, last updated 12/15/2021
- Physical records offsite storage process, last updated 4/30/2020
- StorageCo contract dated 1/1/2022

Metrics:

- Number of boxes stored offsite
- Rate of growth or decline, month to month and year over year
- Annual cost of offsite storage

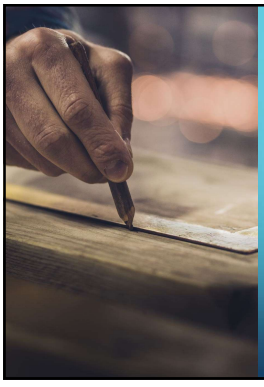
WHO SHOULD BUILD THE PLAYBOOK?

- You
- The subject matter expert / process expert
- With management support and signoff



WHERE DO YOU BUILD AND KEEP YOUR PLAYBOOK?

- **Wherever it can be accessed by the ones who need to access it**
- **Wherever it can be readily updated**



MAINTAINING YOUR PLAYBOOK

- Remember it is a living document
- Only as valuable as it is current
- New processes / plays
- Legal or operational updates
- Changes to tools or configuration
- Implement a regular review cycle!

Connect For More Information

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