

## **Any Enterprise Google Apps User, Company or Government Agency With Compliance Requirements May be In Violation of Legal & Organizational Compliance Standards. Learn How To Avoid it.**

### **The problem**

More than 30 million users within businesses, government agencies, schools and other organizations world-wide have switched to Google Apps (adding over 3,000 businesses per day). Unfortunately, those that have compliance requirements may not be able to use all of the applications within Google Apps since it does not have *any* built-in document compliance or records management features to meet organizational standards and legal regulations. In fact, if you are governed by such regulations--you may not be able to use Google Apps for any of your records without being in violation!

### **Purpose of this document**

Within this document we discuss how to achieve regulatory and policy compliance with Google Apps. We begin by evaluating the potential risks that users with compliance requirements may face while using Google Apps.

We then propose the standards that any software add-on should meet to bring users of Google Apps into full document compliance. We outline items to look for and suggest attributes to look for--such as being easy to deploy and intuitive to use--since that is the same attribute that users appreciate in Google Apps. As such, it can increase efficiency and maximize security. Better yet, users of this kind of software can be confident that they can be in full compliance with organization and government standards.

This guide was written for end-users, records managers and compliance officers within organizations that use Google Apps. The problems discussed are universal and of growing concern as users of Google Apps continue to grow in number. In short, this document applies to you.

### **Is there really a problem? Do I need to address this?**

- Fact: Google Apps does not have *any* built-in document compliance (also known as records management) to meet compliance standards and regulations.
- Fact: More than 30 million users within businesses, government agencies, schools and other organizations world-wide have switched to Google Apps.
- Fact: Approximately 3,000 new organizations sign up with Google Apps daily.
- Fact: Many organizations with compliance requirements may not be able to use all of the applications within Google Apps without being in *violation*.

More importantly, it is critical to know if *you* are at risk of violating organizational and/or government standards while using Google Apps?

**Consider the five essential requirements for regulatory compliance listed below**

- 1) Centrally controlled document access management.
- 2) Document classification policy management.
- 3) Retention policy management.
- 4) Destruction and disposition policy management.
- 5) Legal hold management.

These five requirements support all of the principles outlined in the Generally Accepted Recordkeeping Principles (GARP), created by the *Association of Records Managers and Administrators* (ARMA). These principles are:

*Principle of Accountability*

An organization shall assign a senior executive who will oversee a recordkeeping program and delegate program responsibility to appropriate individuals, adopt policies and procedures to guide personnel, and ensure program auditability.

*Principle of Integrity*

A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.

*Principle of Protection*

A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity.

*Principle of Compliance*

The recordkeeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.

*Principle of Availability*

An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.

*Principle of Retention*

An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational, and historical requirements.

*Principle of Disposition*

An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization's policies.

### *Principle of Transparency*

The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.

Without the five capabilities outlined above, Google Apps is unable to comply with the principles of GARP.

For more information about GARP, please visit <http://www.arma.org/garp/>.

### **Significance of records management and compliance**

As defined by ARMA, records management is "the systematic control of records throughout their life cycle."

Many organizations are switching to cloud based communication systems like Google Apps for increased efficiency, better group collaboration, and to save cost. Some document management or records management applications might offer compliance limited to e-mail correspondence, or filing systems for documents saved online. However, achieving regulatory compliance *requires* at least the five capabilities listed above--and most document or records management systems that were not specifically made for Google Apps only meet one or two of the requirements at best.

Compliance and records management is especially of concern to organizations that must uphold internal document/policy guidelines, as well as government regulations.

*"Records are evidence of what the organization does. They capture its business activities and transactions... When there's a lawsuit, all [records] – including the copies that individuals have retained and any items prematurely deleted or destroyed – may be identified as discoverable. This means they could be used against the organization in a lawsuit."*

For more info, visit <http://www.arma.org/>.

Risking penalties and possible criminal charges during litigation as a result of not having and/or following compliance and records management standards is NOT a risk worth taking.

### **Consider the following concerns**

- **Violation** – Are you currently using Google Apps and concerned that compliance and records management standards are *not* being met?

- **Legal Compliance** – Has your legal department warned you of the implications of using Google Docs without ensuring you have also instigated records management capabilities?
- **Security** – Are records administrators able to fully track legal holds, transfers, disposition and destruction of documents for which the organization is held accountable?
- **Access** – Is the organization able to track which people are authorized to access and make changes to files?
- **Protection** – Have records been destroyed too early or misplaced?
- **Efficiency** – Are you interested in simplifying the processes used to manage the organization's document management?
- **Avoidance** – Are you putting off using Google Apps out of fear of non-compliance?

So what can be done? How can organizations use Google Apps *and* ensure proper organizational and legal document compliance?

## **Solution**

Perhaps you should consider compliance and records management software for Google Apps.

There are three essential elements to consider when looking at a compliance and records management application for Google Apps. 1) First, the application should provide complete compliance and records management with features designed to meet standards for regulatory compliance. 2) Second, the application must be easy to deploy. 3) Finally, the application should be intuitive and easy to use--transparent to the user if possible.

### **Let's consider each of these essential elements:**

- 1) **Complete Compliance and Records Management.** *The compliance and records management application* needs to provide ALL of the essential compliance features:
  - a. Access Management. Central control over which users have access to the shared documents in Google Apps. Access control is one of the most essential elements of compliance.
  - b. Classification Management. Control classification of records for better logical grouping and security.

- c. Retention Management. The ability to apply the correct retention to records of any type from a central application. This helps you keep the records for the required amount of time, but deletes them when the retention policy requires it.
- d. Destruction Management. You should be able to track all stages of destruction to show a history of approvals (if required) and adherence to policies. This ensures you meet compliance regulations requiring the destruction or archiving of records after a certain period of time.
- e. Holds Management. This prevents destruction of documents if they are under litigation hold. It ensures an organization will not fall out of compliance with court orders and risk fines and criminal prosecution.

## 2) It Must also be Easy To Deploy

- a. Easy to Order. Google Apps Marketplace is the most common distribution method for Google Apps and Add-ons. The application should also be available from qualified resellers who can integrate and train if needed. The ability to add-on *compliance and records management* directly from the Google Apps Marketplace also ensures you can be up and running in minutes.
- b. Easy to Install. Any *compliance and records management application* should be integrated with Google Apps. You should be able to sign into Google Apps and have immediate access to the *compliance and records management application* through the Google Universal Navigation menu.
- c. Easy Setup. Your records manager or compliance officer should be able to enter your organization's policy information into the *compliance and records management application* and all documents are instantly and automatically accessed, classified, retained, held or deleted according to your new compliance policies. It should be that easy!

## 3) Intuitive and Easy to Use

- a. Drag and Drop Compliance. Users should not have to change their method of using Google Apps. They should be able to drag and drop their documents into the shared Google Apps folders controlled by the *compliance and records management application*. Users never have to know the software exists and all compliance to all policies should happen behind the scenes. It should be that easy to use!

*The compliance and records management application should be designed to help organizations achieve required regulatory and policy compliance through Google Apps with as little time and energy as possible.*

The choices are simple:

- Google Apps users can continue to use some, but not all\_of the available applications in order to avoid compliance and records management issues. But many users don't even know what they should and should not be using.
- Google Apps users can use all the applications and risk being in violation--very risky and illegal in some cases if the users are bound by compliance requirements.
- Or, Google Apps users can download *compliance and records management software*, which takes only minutes to deploy. In no time users will have all the tools at their fingertips necessary to ensure regulatory and policy compliance.

### **What's Holding You Back?**

Following are a few common questions about the *compliance and records management application* that are worth considering:

- **How long does *compliance and records management software* take to install?** With the hosted SaaS (Software as a Service) model you can be up and running in *minutes*.
- **Can I try it first?** It is reasonable to expect a FREE trial of the *compliance and records management software*, complete with free support and setup assistance.

### **Imagine This...**

With *compliance and records management software*, you can *finally* use the full power of Google Docs and always be in full compliance with all organization and government standards. All the essential features of compliance and records management are contained in the new *compliance and records management application*. It is easy to deploy and almost invisible to use.

Combine the *compliance and records management application* with Google Apps and the result is one of the most affordable, powerful and compliant combinations available--potentially saving organizations time, resources, a lot of money and legal risks.

## **Brought to You By**

This document is brought to you by RecMan, Inc., makers of RecMan for Google Apps, the world's first compliance and records management application for Google Apps. More information to help guide your decision is available online through the following resources:

- Website. You can find out more at [www.recman.net](http://www.recman.net).
- Webinar. You can see RecMan in action by attending one of the free RecMan webinars.
- PowerPoint. You can request the RecMan PowerPoint that will help you explain RecMan and the need for compliance within your organization.
- Contact Us. Call with any questions.

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### About RecMan Inc.

RecMan Inc. develops world-class compliance and records management software. With offices in Austin, TX and Yokohama, Japan, RecMan was developed by Richard Roberts, the same designer that engineered the world's first web-based compliance and records management software that is used by thousands of users world-wide. RecMan for Google Apps is the world's first and only application that brings enterprise-grade records management and compliance to Google Apps.