

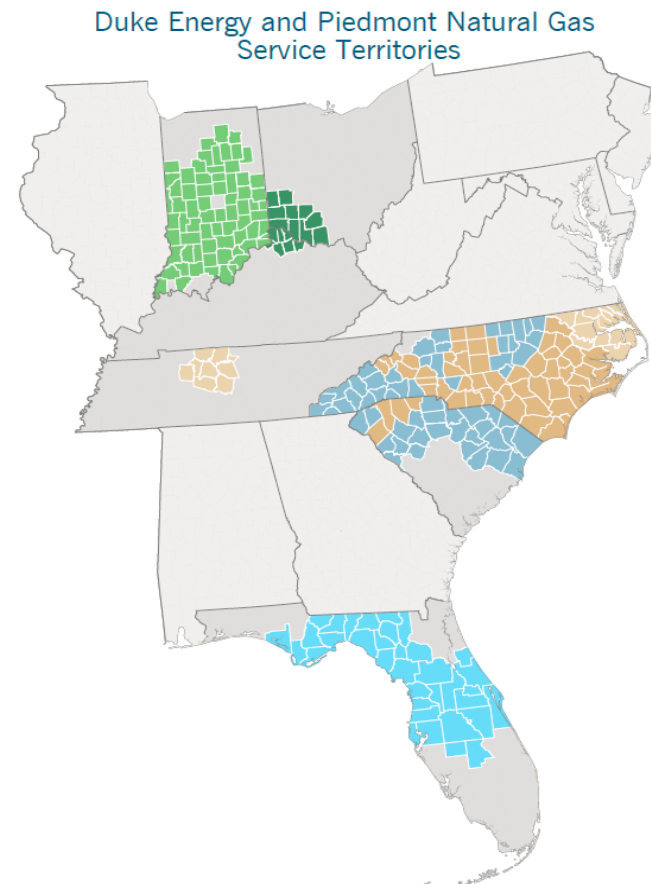
# The Struggle is Real: How to Effectively Communicate Compliance

ARMA Triangle Chapter



## Duke Energy Overview

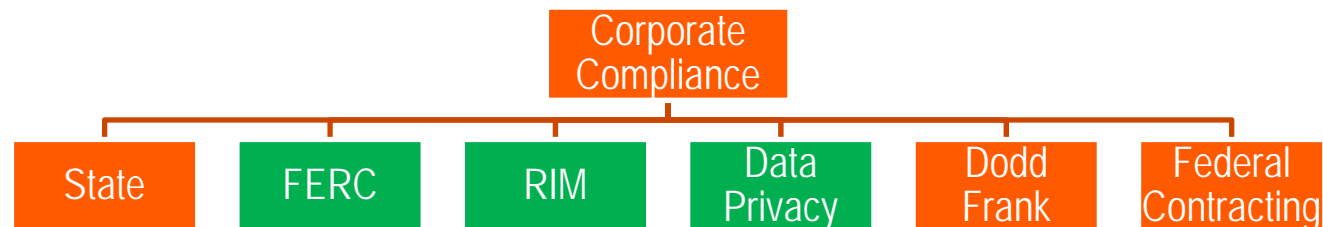
- 47,000 employees (including contractors)
- 7 states: North Carolina, South Carolina, Florida, Indiana, Ohio, Kentucky, Tennessee



Leadership challenged Corporate Compliance to increase awareness across the enterprise

### Goals

- Drive workers to Corporate Compliance portal pages
- Educate workers on resources to assist in daily activities
- Use various messaging tools to engage the workforce



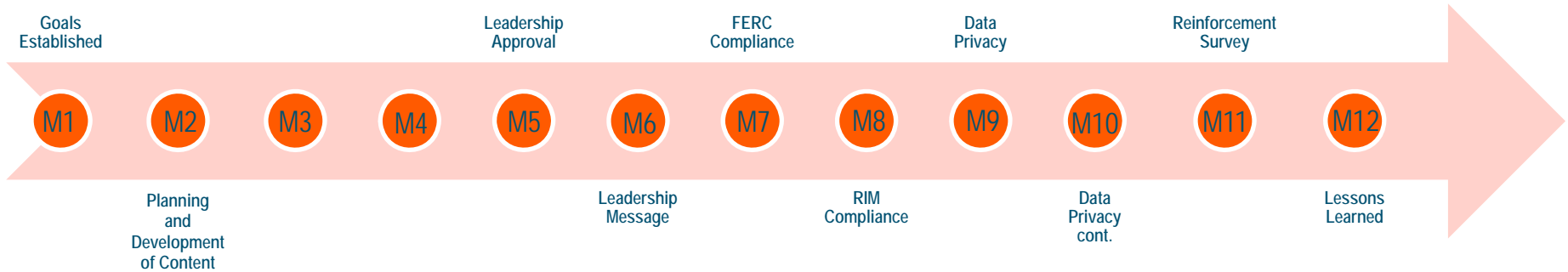
# Compliance Awareness Campaign Timeline

## Planning

- Partner with Corporate Communications
  - Determine Communication Cadence
- Collaborate with Creative Services
- Engage Stakeholders



## Monthly Timeline




## RIM Topics

- What is RIM Compliance?
- Records Destruction – Should I keep or delete?
- What is a Records Coordinator?

Communication Methods	Audience	Use
Enterprise Emails	Company-wide	Promote the Campaign
Management Emails – “Managing Ahead”	Managers	Promote the Campaign
Portal Articles	Company-wide	Primary Messages
Digital Boards located by elevator banks	Corporate locations	Reinforce Messaging
This Week @ Duke newsletter	Company-wide	Reinforce Messaging
4 Things You May Have Missed video	Company-wide	Reinforce Messaging
Targeted Messaging - RC Newsletter	Records Coordinators	Reinforce Messaging

# What is RIM Compliance?

1. Defined RIM Compliance
2. Established importance
3. What is a Record? [video](#)




HOME myHR NEWS TOOLS & RESOURCES COMMUNI

## What is RIM compliance?

8/7/2018

At Duke Energy, we create a large amount of information and data to support company operations and meet regulatory obligations. The Records & Information Management (RIM) Compliance team is a resource for organizations and provides valuable guidance to ensure compliance with record keeping requirements.

The RIM Compliance team manages the [Records Retention Schedule](#), which provides a comprehensive list of record categories and recordkeeping guidance based on regulatory requirements, industry benchmarks and sound business practices. The RIM Compliance team also facilitates the [Records Destruction](#) process once records have met their retention obligations and no longer provide a business value.



### Why is Records & Information Management Important?

Proper management of records is essential in providing reliable energy to our customers. Records support regulatory obligations and help keep our workers and communities safe.

# Records Destruction: Should I Keep or Delete?

1. Overview of Records Management
2. Provided Keep or Delete [Infographic](#)
3. Records Destruction [video](#)

HOME myHR NEWS TOOLS & RESOURCES COMMUNITIES OUR COMPANY


## Records destruction: Should I keep or delete?

By Paige Pompeii 8/14/2018

Comments Share

We recently introduced you to [Records & Information Management \(RIM\) Compliance](#) and answered the question "What is a record?" So how do organizations play a role in records management?

Organizations must maintain their records in both electronic and hardcopy formats by routinely reviewing their information and records and participating in regularly scheduled purge, pitch & delete events.



Maintenance includes frequently:

- Checking access permissions to ensure confidential and restricted records and information are not available to workers who do not require access for their roles
- Preserving both records and information currently on legal hold
- Determining when records have met their retention requirements and are eligible for destruction
- Destroying information when it no longer has business value

Once records are eligible for destruction, RIM Compliance will assist organizations with carrying out responsible records destruction. Note that if information is not a business record, is not on legal hold, and no longer provides a business value, workers should destroy this information and can execute at any time.

Now, let's dive a little deeper into records destruction. Watch the video below for an overview of Duke Energy's record destruction processes.

# What is a Records Coordinator?

1. Define Records Coordinator Role
2. Interview with a RC
3. The Ask: Find your Records Coordinator using the desktop guide

The screenshot shows a web page with a navigation bar at the top containing links for HOME, myHR, NEWS, TOOLS & RESOURCES, COMMUNITIES, and OUR COMPANY, along with a search icon. The main heading is "RIM Compliance: What is a Records Coordinator?" with a sub-heading "Meet Records Coordinator Liberty Johnson". Below the heading is a date "8/21/2018" and options for "Comments" and "Share". The article text begins with "Did you know that each organization at Duke Energy has a Records Coordinator? Records Coordinators act as liaisons between RIM Compliance and their organization and are responsible for:" followed by a bulleted list of three responsibilities: "Partnering with RIM Compliance to coordinate the enterprise records destruction efforts", "Annually reviewing and validating their organization's retention schedule", and "Answering records questions for their organization". The text continues with "Let's find out more about what activities Liberty Johnson is responsible for in her role as the Environmental, Health & Safety Records Coordinator." and a sub-section titled "Why is records management important to EHS?". This section explains the complexity of the field and the need to manage information. A photo of Liberty Johnson, a woman with blonde hair wearing a blue Duke Energy polo shirt, is shown to the right of the text. Below the photo is her name "Liberty Johnson". The article concludes with the text "As a Records Coordinator, I see myself as the organizer of our information. I help to build and improve our records management".



### Total Portal Site Visits

- 54% increase in Site Visits
- 55% increase in Unique Viewers

### Total Video Views

- 3,191 Views
- 2,835 Workers

### Reinforcement Survey

- 2,083 Survey Respondents
- 71% Survey Respondents responded correctly

## Communicating in 2019 and Beyond

- Developing O365 communications to support new applications and compliance requirements
  - [SharePoint Storage Considerations infographic](#)
  - Policy Update – Teams messaging
    - Integrated enterprise messaging from IT, RIM and eDiscovery
    - Updated resources for end users: [chart](#)
- Continue to develop communications, videos and infographics based on business need
  - [Email Retention](#)

- Technology
  - Understand what communication avenues are already available at your company
  - Research tools that can assist your team in producing content
- Collaborate
  - Build a relationship with your communications department
  - Establish buy-in with stakeholders
  - Utilize focus groups
  - Anticipate review time
- Content
  - Create engaging content that will get a lot of “clicks”
  - Cross-reference content in multiple places that are applicable
  - Incorporate a variety of tactics (staff meetings, roadshows, corporate newsletters, digital boards, etc.)

Vyond

<https://www.vyond.com/>



Visme

[https://www.visme.co/?utm\\_source=visme.com](https://www.visme.co/?utm_source=visme.com)





*BUILDING A SMARTER ENERGY FUTURE<sup>SM</sup>*