COR Concepts

Information Governance

Agenda

- What is Information Governance
- How does it relate to Records management
- Generally Accepted Recordkeeping Principles

IG – What is it?

- the specification of decision rights and an accountability framework to encourage desirable behaviour in the valuation, creation, storage, use, archival and deletion of information. It includes the processes, roles, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals

Gartner – from Wikipedia

Governance Framework

	Set Direction	Implement	Assure
Steer Set priorities Set resources	Overall Objectives	Strategy	Audit and assurance policies
Manage Align resources, goals and standards Manage people, risks and events	Policies and practices	Planning and execution	Technical verification
Execute Build processes and systems	Detailed standards and tools	Hands on execution	Peer review

Source: Graham Oakes – AIIM Europe conference

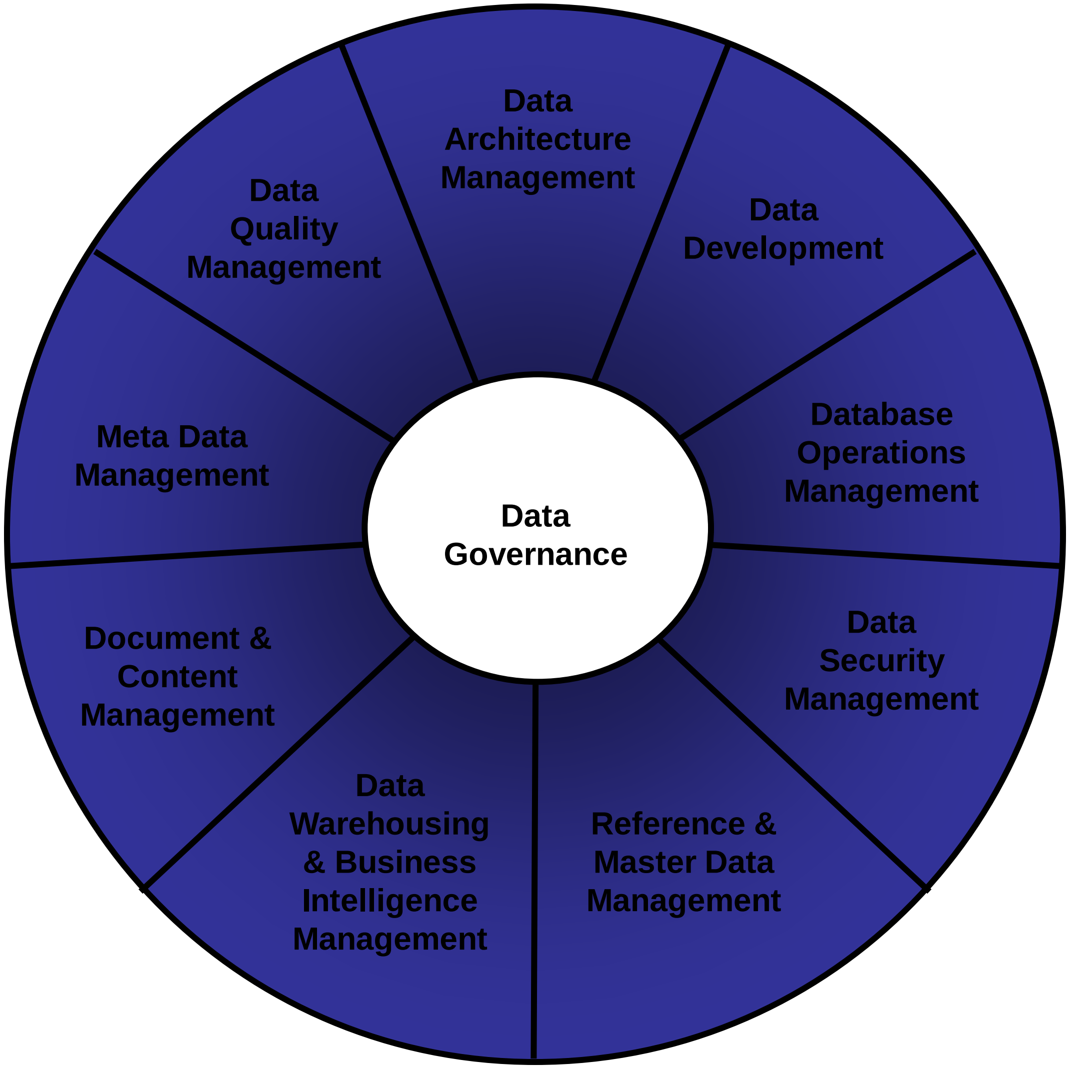
Governance framework

Take	Org Awareness & Structure	Implementing structures, change management & culture
Take	Stewardship	Who is responsible and for what?
Take	Policy	A range of policies and procedures
Take	Data Risk Management	What risks exist? Mitigation procedures
Take	Value Creation	What value do records provide. How to add value.
Take	Data Quality	Quality controls and processes
Take	ILM	Information Life Cycle management
Take	Security	Security throughout the process
Take	Data Architecture	Integration between all information elements
Take	Metadata	Capture and preservation of metadata
Take	Audit	Review and revision on an ongoing basis

Typical drivers

- Information security
- IT Governance
- Records Management
- Data Privacy (protection of personal Information)
- Other legal frameworks
- Data governance
- Data quality

Data Management Body of Knowledge (DM BOK)



Data Management Body of Knowledge (DM BOK)

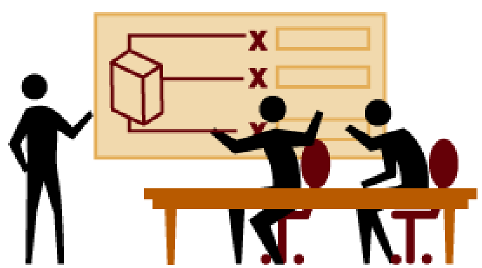
Governance and Control

Steering Committee (*Business sponsor)*

- IT
- Operational Divisions
- Group Support Services
- Legal
- Compliance
- Risk
- Records Management

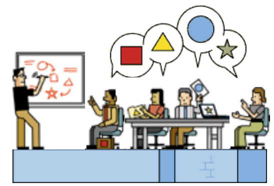
Working Group

- **IT**
- **Operational Divisions**
- **Group Support Services**
- **Records Management**



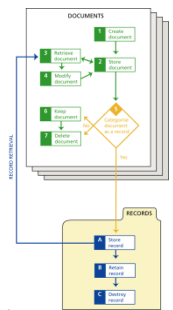
The purpose of these teams are to ensure that the necessary governance instruments are in place, maintained, reviewed, & refined as appropriate.

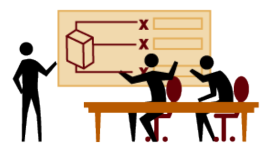
Governance Inter-relationships



Steering Committee

Policies, Procedures
and Group standards





Working
Group

Proposed Implementations
Project teams

Center of Excellence

IG and Records Management

- Aligning Information Governance to the ARMA GARP Model
- GARP = generally Accepted Recordkeeping Principles

The GARP Principles

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.

The GARP Principles

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.

The GARP Principles

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.

The GARP Principles

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.

Accountability

- The senior executive in charge should establish a method to design and implement a structure to support the recordkeeping program.
- Governance structure should be established for program development and implementation.
- Necessary components include an accountable person and a developed program.
- A recordkeeping program should have documented and approved policies and procedures to guide its implementation.
- Auditability enables the program to validate its mission and be updated as appropriate.

Integrity

- Correctness of and adherence to the policies and procedures of the organization
- Reliability of the information management training and direction given to the employees who interact with all systems
- Reliability of the records created
- An acceptable audit trail
- Reliability of the systems that control the recordkeeping including hardware, network infrastructure, and software

Protection

- Information audit determines the records and the required protection
- Implementation of appropriate controls throughout the lifecycle
- Systems to have adequate controls
- Physical and system controls
- Vetting of staff
- E-mail and removable media controls
- Implementing sensitivity classification

Compliance

1. The recordkeeping system must contain information showing that the organization's activities are conducted in a lawful manner.

2. The recordkeeping system is itself subject to legal requirements such as requirements to maintain tax or other records.

- Know what information must be entered into its records to demonstrate that its activities are being conducted in a lawful manner
- Enter that information into its records in the manner prescribed by law
- Maintain its records in the manner and for the time prescribed by law

Availability

Organizations must have the ability to identify, locate, and retrieve the records and related information required to support its ongoing business activities. These records are used by:

- Individuals and groups to reference, share, and support their work
- Legal and compliance for discovery and regulatory review purposes
- Numerous corporate functions to validate management decisions and account for the resources of the organization.

Retention

Implement Retention periods including requirements for:

- Legal and regulatory
- Fiscal
- Operational
- Historical

Disposition

- At the completion of the retention period for an organization’s records, the records must be designated for disposition.
- Transfer or destruction
- Implement records holds
- Formal approval and documentation of all disposition activities

Transparency

Records documenting the records management program must:

- Document the principles and processes that govern the program
- Accurately and completely record the activities undertaken to implement the program
- Be written or recorded in a manner that clearly sets forth the information recorded
- Be readily available to legitimately interested parties

Formats for Information Governance

- Born digital documents
  - Should they be printed
  - Legal principles
  - The role of signatures
- Conversion of paper to electronic
  - When to scan
  - What to scan
  - Scan and destroy
- Are digital documents fool proof?
  - Pdf
  - Word

Knowledge Management

Remember how it fits together

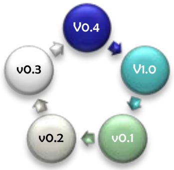
Knowledge environment

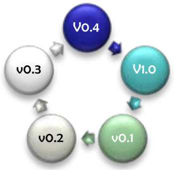
Tacit Knowledge

Codified Knowledge

NON-Records

Records





Policies
File plans
Procedures
Retention
Disposition

What is Knowledge Management?

- Defined in a variety of ways.
- a strategy to enable people to develop a set of practices to create, capture, share & use knowledge to advance.
- KM focuses on:
  - people who create and use knowledge.
  - processes and technologies by which knowledge is created, maintained and accessed.
  - artifacts in which knowledge is stored (manuals, databases, intranets, books, heads).

Sources: Petrides, L.A. & Nodine, T.R (2003). Knowledge management in education: Defining the landscape. Edvinsson, L. & Malone, M.S. (1997). *Intellectual capital: Realizing your company's true value by finding its hidden brainpower*. Ford, N. (1989). From information- to knowledge-management. *Journal of Information Science Principles & Practice.*

What is Knowledge Management?

"Knowledge management is a discipline that promotes an integrated approach to identifying, managing and sharing all of an enterprise's information needs. These information assets may include databases, documents, policies and procedures as well as previously unarticulated expertise and experience resident in individual workers."

Source: GartnerGroup Research.

What is Knowledge?

- Knowledge is a fluid mix of framed experience, values, contextual information and expert insight that provides a framework for evaluating and incorporating new experience and information. It originates and is applied in the minds of knowers. In organizations it often becomes embedded not only in documents or repositories but also in organizational processes, practices and norms. Davenport, T.H. & Prusak, L (1998). *Working Knowledge*.
- Knowledge is information in action. O'Dell C. & Grayson Jr., C.J. (1998). *If only we knew what we know.*

Data, Information & Knowledge

	DATA	INFORMATION	KNOWLEDGE
Definition	Raw facts, figures and records contained in a system.	Data placed into a form that is accessible, timely and accurate.	Information in context to make it insightful and relevant for human action.
Reason	Processing	Storing / Accessing.	Insight, innovation, improvement.

Source: Luan, J & Serban, A. (2002, June). Knowledge management concepts, models and applications. Paper presented at Annual AIR Forum, Toronto.

"We are drowning in information but starved for knowledge"
Naisbitt , J. (1984*) Megatrends: Ten new directions transforming our lives.*

What is Content?

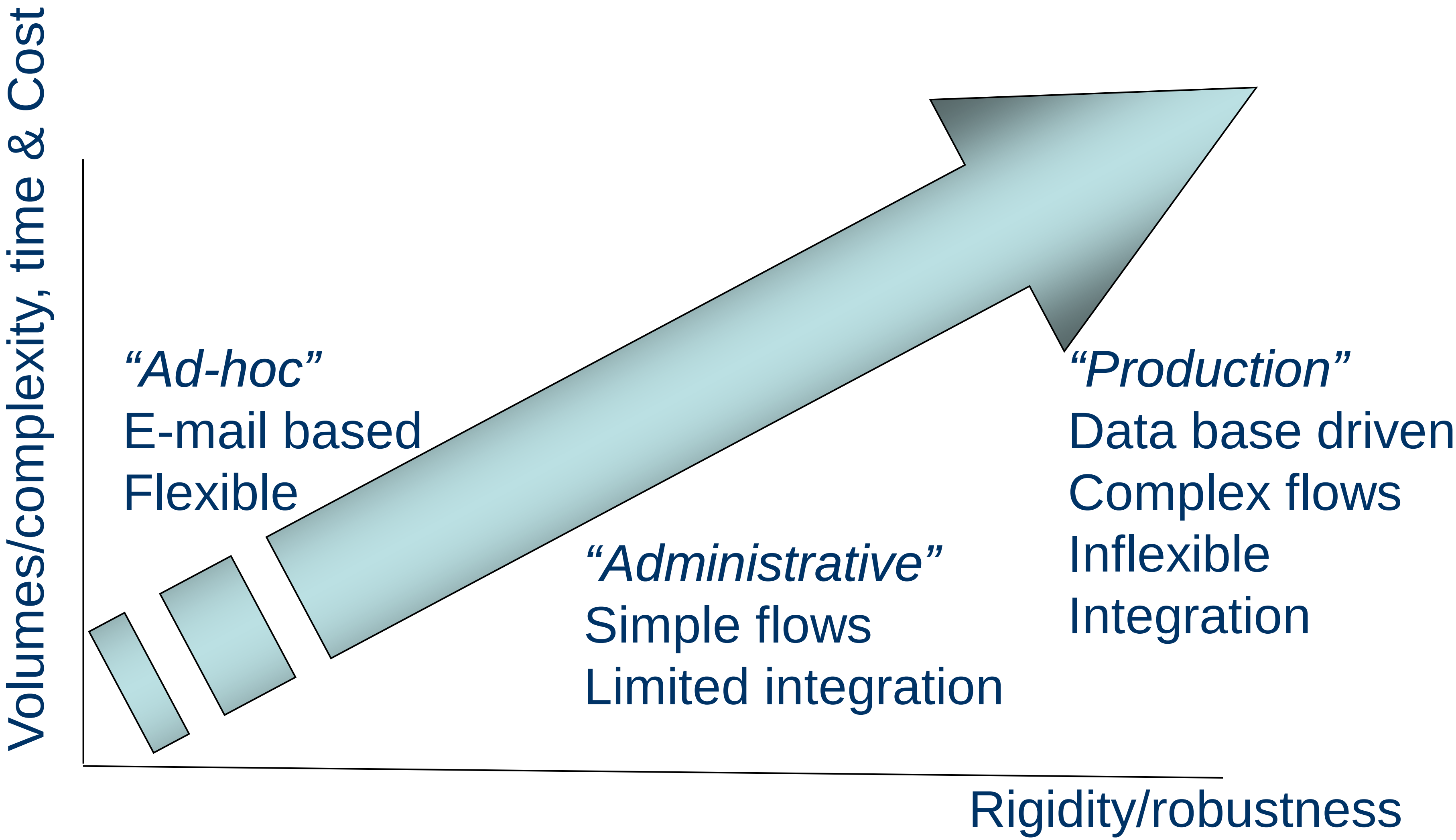
Workflow and BPM

Consists of analyzing, streamlining, modeling, and automating procedures and flows of information.

Source: Meta Group

- Automation of processes
- Rules based
- Separation of rules from applications
- Ensure all process steps are completed
- Availability of management information
- Cost reduction
- Process complexities
- Customer satisfaction

Workflow

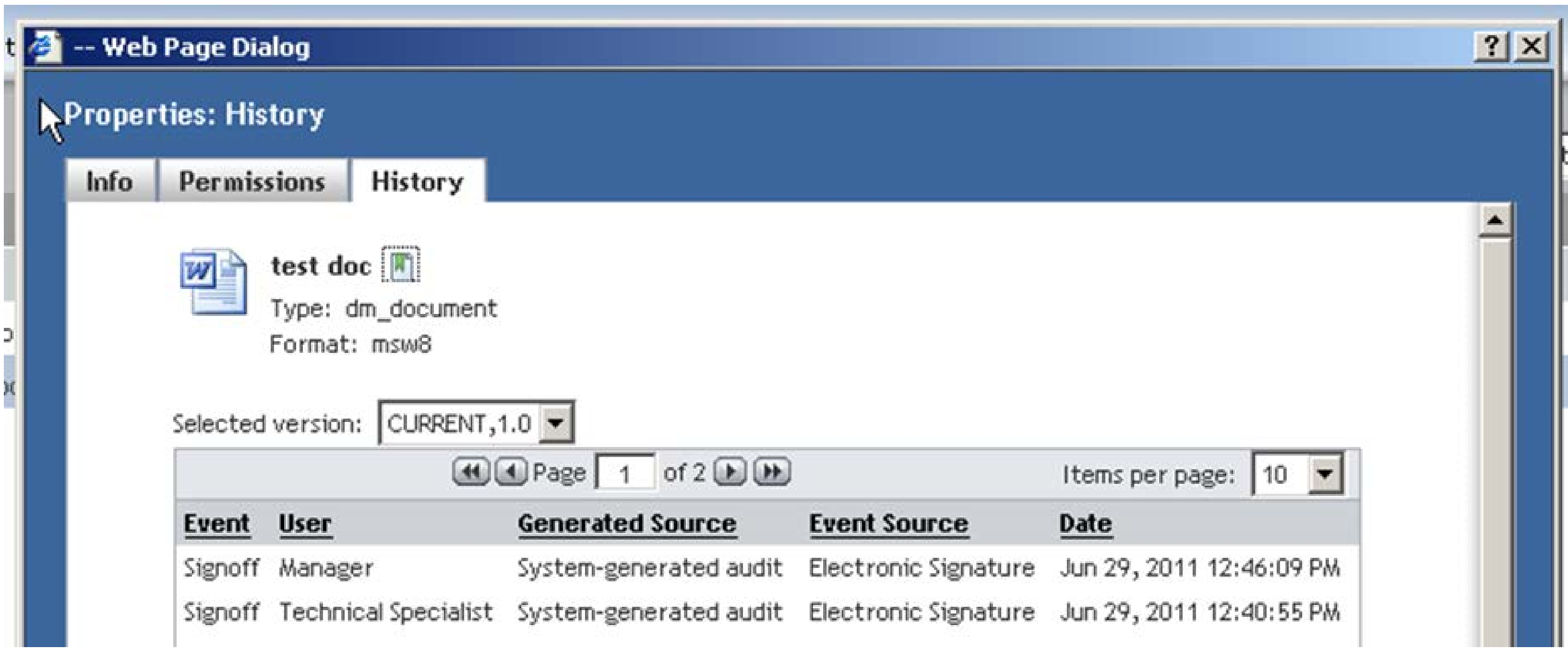


Volumes/complexity, time & Cost
“Ad-hoc”
E-mail based
Flexible
“Administrative”
Simple flows
Limited integration
“Production”
Data base driven
Complex flows
Inflexible
Integration
Rigidity/robustness

Records Management and workflow

- Try and build records management into business processes
- Records are captured at time of transaction – not at a later stage
- All metadata must be captured
- Use system metadata as much as possible
- Use workflow for approval and review processes
- Use workflow as part of a “signature” process

"Digital signature" audit trail

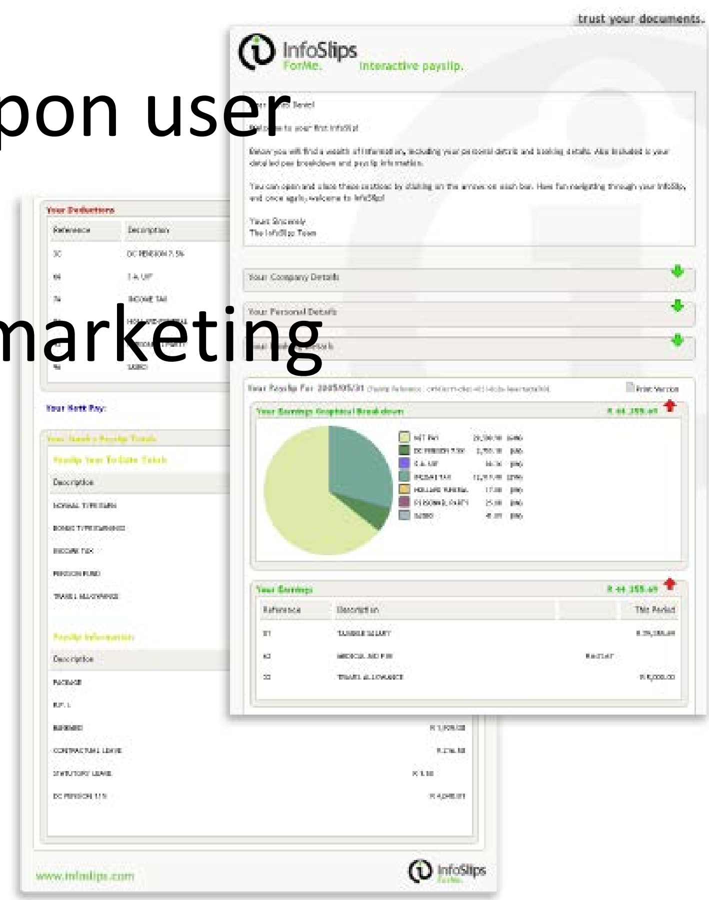


Forms Management

- Forms creation
- Forms repositories
  - Ensure consistent use of standard forms
- Re-usable forms for different applications
  - Paper form
  - Published to web site for download or web completion
  - Complete on-line, or print and complete
  - Mobile applications
  - In e-mail messages
- Populate and validate data:
  - Within the form
  - On the web

Forms Management

- Workflows predefined for forms, such as approval processes
- Flexible forms dependent upon user characteristics
- Ability to include graphics, marketing messages etc



Summary

- Information Governance can mean many things
- It is not just IT Governance
- It is not just Records management
- It includes all content, including paper
- It includes a migration to using and storing more “born digital” content. If it starts its life electronically- keep it electronic

Questions?