Getting to the Next Level™ in Information Governance: A Roadmap for Turning Information Into An Asset

Presented by
Priscilla Emery, CIP, IGP, ERMs - e-Nterprise Advisors
Certified IGA Facilitator
Setting Expectations

- It is impossible to provide a “one size fits all” information governance benchmark set of recommendations. Examples provided are just that - examples.

- Nothing discussed in this session constitutes legal advice. Each organization should consult its own legal counsel before taking specific action with respect to setting information governance practices and procedures.
Agenda

- What is Information Governance?
- The Principles
- Why Do an Information Governance Assessment?
- Next Level ™ Assessment “Demo” and Real Example
Information Governance EDRM Model

- **BUSINESS**
  - Profit
  - Value
  - Create, Use
  - Hold, Discover
  - Retain, Archive
  - Dispose
  - Store, Secure

- **LEGAL**
  - Risk
  - Duty
  - Process Transparency

- **RIM**
  - Risk
  - Process Transparency

- **IT**
  - Efficiency
  - Asset

- **UNIFIED GOVERNANCE**
Information Governance (IG)

Gartner Group describes it as:
Information governance is the specification of decision rights and an accountability framework to ensure appropriate behavior in the valuation, creation, storage, use, archiving and deletion of information. It includes the processes, roles and policies, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals."
What Is ARMA?

- Non-profit professional association for records and information managers and related industry practitioners and vendors
- Founded in 1955
- Over 27,000 members in over 30 Countries
- Provides educational opportunities and educational publications covering the principles of records management
- Known worldwide for its standards and guidelines.
What are The Principles?

- ARMA International recognized that a clear statement of Generally Accepted Information Governance standards (The Principles) would guide:
  - CEOs in determining how to protect their organizations in the use of information assets;
  - Legislators in crafting legislation meant to hold organizations accountable; and
  - Records management professionals in designing comprehensive and effective records management programs.

- Recently updated ARMA International TR 30-2017 available on ARMA Bookstore
The Principles

- What are the Principles?
  - Set Standard for Information Governance
  - Provide actions that complement:
    - Corporate Governance
    - Business Strategies
    - Working Practices
What Are The Principles?

What are the Principles

- **Principle of Accountability**
  - Do you have appropriate oversight over the individuals, policies and procedures to ensure your recordkeeping program's auditability?

- **Principle of Integrity**
  - Does the information generated or managed by the organization have a reasonable and suitable guarantee of authenticity and reliability?

- **Principle of Protection**
  - Do you have controls in place to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity?
What Are The Principles?

What are the Principles

- **Principle of Compliance**
  - Are you in compliance with applicable laws and other binding authorities, as well as organizational policies as they relate to IG?

- **Principle of Availability**
  - Can you ensure timely, efficient, and accurate retrieval of needed information in the event e-discovery request?

- **Principle of Retention**
  - Are you maintaining records and information for an appropriate amount of time, taking into account legal, regulatory, fiscal, operational, and historical requirements?
What Are The Principles?

What are the Principles

- **Principle of Disposition**
  - Are you providing 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**
  - Are the processes and activities of your recordkeeping program documented in an understandable manner and available to all personnel and appropriate interested parties?
Information Governance Maturity Model

Level 1 (Sub-Standard): This level describes an environment where recordkeeping concerns are either not addressed at all, or are addressed in a very ad hoc manner. Organizations that identify primarily with these descriptions should be concerned that their programs will not meet legal or regulatory scrutiny.

Level 2 (In Development): This level describes an environment where there is a developing recognition that recordkeeping has an impact on the organization, and that the organization may benefit from a more defined information governance program. However, in Level 2, the organization is still vulnerable to legal or regulatory scrutiny since practices are ill-defined and still largely ad hoc in nature.

Level 3 (Essential): This level describes the essential or minimum requirements that must be addressed in order to meet the organization’s legal and regulatory requirements. Level 3 is characterized by defined policies and procedures, and more specific decisions taken to improve recordkeeping. However, organizations that identify primarily with Level 3 descriptions may still be missing significant opportunities for streamlining business and controlling costs.

Level 4 (Proactive): This level describes an organization that is initiating information governance program improvements throughout its business operations. Information governance issues and considerations are integrated into business decisions on a routine basis, and the organization easily meets its legal and regulatory requirements. Organizations that identify primarily with these descriptions should begin to consider the business benefits of information availability in transforming their organizations globally.

Level 5 (Transformational): This level describes an organization that has integrated information governance into its overall corporate infrastructure and business processes to such an extent that compliance with the program requirements is routine. These organizations have recognized that effective information governance plays a critical role in cost containment, competitive advantage, and client service.
Best Practice

- Very few organizations completely meet the ideal but many strive to meet the standard as completely as possible.
- Some legal and regulatory authorities, not only judge the records put before them as either evidence or documentation, respectively, they also judge the soundness of the program that supports those records.
Where Do I Start?

How To Measure The Success of Existing IG Program?
The Next-Level™ IG Assessment

Establish Baselines and Benchmarks, Ensure Accountability

- Identify your organization’s information governance risks
- Measure the severity of those risks
- Track deficiencies and gaps by principle and overall score
- Formalize or refresh your information governance and records management programs
- Monitor the progress of risk mitigation efforts
- Assess the sufficiency of IG training and documentation

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Why Assess Information Governance in Your Organization?

- Evaluates employees’ understanding of and compliance with policies and procedures
- Determines whether policies and procedures are consistently applied across the organization
- Documents the sufficiency of training and documentation
- Motivates personnel to modify their information-handling behavior to achieve the desired results
- Monitors and documents the organization’s compliance with applicable laws, regulations, and standards
Why Assess Information Governance in Your Organization?

- Identifies risks that are not being effectively mitigated
- Creates the opportunity and impetus for organizational improvement
- Spurs modification of processes needed to obtain desired outcomes
- Helps secure resource allocations
- Validates that investments made in new policies, processes, or electronic tools are achieving their desired results
- Provides regular feedback to management and, where applicable, the board of directors and shareholders
How the Next Level™ IGA Can Help

ARMA International’s Next Level, which has the Principles and the Information Governance Maturity Model (IGMM) embedded into it, assists organizations in measuring their IG maturity, identifying gaps in their maturity, and developing their IG framework, program, policies, and practices.
Next Level™ Overview

Next Level was developed to be used by all organizations and by anyone that has IG responsibilities.

Each Principle is introduced with an explanation and a number of deliverables for example

Accountability: Are IG responsibilities defined across the organization?

Below the questions is some additional guidance if the question isn’t understood just click the blue expansion button (ex: Examine policy statements, job descriptions, and organizational charts.
Assignment of responsibilities is evidenced by policy statements and documented responsibilities and reporting chains; delegation of authority for specific IG requirements; and inclusion of IG responsibilities in written job descriptions.
Next Level™ Overview

To score the questions locate the best answer below. There are 7 choices from 0 to 5. Start with the answer 3 and see if this answer best fits the question. If so move upward to answer 4 to see if this is a qualified choice. If 3 didn’t qualify as an answer move downward to answer 2. Starting with the #3 answer will save time during your assessment since we are all hoping to at least score 3 the essential level for IG.

Additional comments will help substantiate your answer giving addition resource information for the IG Administrator
As shown, the blue ball slides, allowing the answer to be scaled anywhere between 0 (if the question is not applicable or the answer is unknown) and 5. The slider can be stopped incrementally, so, for example, if the organization has achieved some, but not all, of the requirements in level 4, the slider could be positioned around midway or three-quarters of the way of the level 3 for a score of 3.5 or 3.75. This score will be displayed in the results.
Next Level™ Overview

- After you have answered your last question the participant can view a summary of each question, score and answer selected which can be printed.

- Be sure to select the forward navigate button then submit to complete.
Demonstration
Organizer First Name: Martin
Organizer Last Name: Tup
Organization Name: Regal Manufacturing
Sector: Manufacturing
Number of Employees: 500 – 10,000 employees
Annual Revenue: $499,999 – 4,999,999

Upload Logo: It is recommended to upload a squared logo. Accepted file types are .jpg and .png. The image size cannot exceed 2 MB.

Upload

Logo displayed to respondent: Regal Manufacturing
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<th>Last Name</th>
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<td>Kerrianne</td>
<td>Aulet</td>
<td><a href="mailto:kerrianne.aulet@armaniL.org">kerrianne.aulet@armaniL.org</a></td>
<td>Information Technology</td>
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<td>Avery</td>
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<td>CCD-Finance</td>
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<td><a href="mailto:kristina.franz@armaniL.org">kristina.franz@armaniL.org</a></td>
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Assessment Name: CYBER SECURITY

Start Date: 27 Oct 2014

Due Date:

Completed Date:

Purpose: 

October 2014

99982 / 99999 assessment credits available
### Assessment Name: CYBER SECURITY

99976 / 99999 assessment credits available

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<th>Protection</th>
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<th>Retention</th>
<th>Disposition</th>
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<td>Kerrianne Aulet</td>
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<tr>
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<td>✓</td>
<td>✓</td>
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</table>
Assessment Name: CYBER SECURITY

Send from: david.vickers@armintl.org

Only enter 1 email address.

CC: 

Use with care. Will be cc on every email.

Subject: Cyber Security Assessment

Dear @FIRSTNAME,

I'm pleased to invite you to take part in the Next Level information governance assessment.

This assessment was developed by ARMA International and is based on their 8 Principles. It follows a five-level rating scale defined in the ARMA Information Governance...
Assessment Name: CYBER SECURITY

Send from: david.vickers@armintl.org

CC:

Subject: Cyber Security Assessment

1st reminder email date: 29 Oct 2014

2nd reminder email date:

3rd reminder email date:

We've yet to receive the results of the @ASSESSMENTNAME assessment, which is due on @DUE_DATE. Please conduct the assessment at your first opportunity or let me know if there are circumstances preventing you from doing so.

Our CEO and the Board of Directors are awaiting the results of
Assessment Name: CYBER SECURITY

Send from: david.vickers@armaintl.org

Subject: Cyber Security Assessment

Send Thank you email upon completion: Yes

Dear @@FIRSTNAME,

Thank you very much for participating in the @@ASSESSMENTNAME assessment. Your final score was @@LIVESCORE.

Thank you,
TR-1: Does the senior leader demonstrate commitment to a transparent IG program?

Guidance:
Category: Strategy
Audit Measures: Interview staff with regard to the sponsorship, communications, resources, and perception.

3.50 Your Score

- 5: IG transparency is part of the organization's culture. There are rewards for success and penalties and consequences for failure.
- 4: Senior leaders demonstrate their commitment to IG transparency via communication and feedback. There is consistent allocation of resources to deliver IG transparency.
- 3: There is an organization-wide policy statement and processes to deliver transparency. It is communicated across the organization. Commitment from senior leaders is not always apparent.
- 2: There is a policy statement on transparency, but it is not widely communicated.
- 1: The organization does not have a policy statement on IG transparency.
- 0: This does not apply to my organization.
- 0: I don't know

Additional Comments (Optional):
[TR-1] Does the senior leader demonstrate commitment to a transparent IG program?

Guidance
Category: Strategy
Audit Measures: Interview staff with regard to the sponsorship, communications, resources, and perception...

3.50 Your Score

- IG transparency is part of the organization’s culture. There are rewards for success and penalties and consequences for failure.
- Senior leaders demonstrate their commitment to IG transparency via communication and feedback. There is consistent allocation of resources to deliver IG transparency.
- There is an organization-wide policy statement and processes to deliver transparency. It is communicated across the organization. Commitment from senior leaders is not always apparent.
- There is a policy statement on transparency, but it is not widely communicated.
- The organization does not have a policy statement on IG transparency.
- This does not apply to my organization.
- I don’t know

Additional Comments (Optional)
Processes are documented and reviewed on the quarterly basis.
Respondent Help

Introduction to the principles

The assessment contains questions that relate to the effective implementation of information governance according to the maturity principles. Each question follows a consistent format: question, a table of possible responses ranked from 1 to 5, assessment considerations that may help you to determine the appropriate level for your organization, and an optional comment box.

Each organization is unique so the assessment considerations will help you to decide which level comes closest to your status. The additional comments box is optional. Use this field to provide explanations for why you choose each ranking.

Use the five levels of the Maturity Model when assigning scores. For more information on the Maturity Model for Information Governance please [click here](https://example.com).

The assessment handbook, a guide that supports ARMA International's Next Level information governance assessment product, can be [found here](https://example.com).

Using the tool

Scores are tabulated on a 0 to 5 scale for each question, with 5 being the highest score; using the five levels of the Maturity Model as a foundation. You must determine if below-average, average, or above-average expectations of the maturity standards have been met, and assign an accurate score.

Use the five levels of the Maturity Model when assigning scores:
- Level 5: Transformational
- Level 4: Proactive
- Level 3: Essential
- Level 2: In Development
- Level 1: Sub-standard

You can also select the following 2 options which both count towards the average as well:
- Level 0: This does not apply to my organization
- Level 0: I don't know

Selecting a score:
A score can be selected by using the vertical slider on the left side.
- Level 0: This does not apply to my organization
- Level 0: I don't know

Selecting a score:
A score can be selected by using the vertical slider on the left side.

Help and training

Further guidance may be found in the User Guide.

Training videos

The following videos provide an overview of each principle:

Accountability
Transparency
Integrity
Protection
Compliance
Availability
Retention
Disposition
You may review all of your maturity level selections before submission. To edit, press the back button and navigate to the respective principle.

David Vickers | CYBER SECURITY | 26 Oct 2014

### Transparency

<table>
<thead>
<tr>
<th>Question</th>
<th>Level Selected</th>
<th>Comment</th>
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<tr>
<td>Does the senior leader demonstrate commitment to a transparent IG program?</td>
<td>There is an organization-wide policy statement and processes to deliver transparency. It is communicated across the organization. Commitment from senior leaders is not always apparent.</td>
<td>3.50</td>
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<tr>
<td>Processes are documented and reviewed on the quarterly basis.</td>
<td></td>
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<thead>
<tr>
<th>Question</th>
<th>Level Selected</th>
<th>Comment</th>
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</thead>
<tbody>
<tr>
<td>Are there stated goals for transparency of the IG program?</td>
<td>I don't know.</td>
<td>0.00</td>
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<thead>
<tr>
<th>Question</th>
<th>Level Selected</th>
<th>Comment</th>
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</thead>
<tbody>
<tr>
<td>Are the IG program, its policy statements and guidance available to all staff?</td>
<td>The IG program and its documentation are evident in high-risk areas. Updating and re-issuing the documentation is done on a reactive basis. Access to the policy and guidance is available through inquiry to IG staff.</td>
<td>3.50</td>
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<thead>
<tr>
<th>Question</th>
<th>Level Selected</th>
<th>Comment</th>
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<tbody>
<tr>
<td>Are the organization's policies and processes documented and understood by staff?</td>
<td>There is an organization-wide policy process that develops, delivers and updates the organization's policies. The policies are available via electronic means across most business areas. Staff in high-risk areas are tested on understanding.</td>
<td>4.00</td>
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<tr>
<th>Question</th>
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<th>Comment</th>
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</thead>
<tbody>
<tr>
<td>Does the organization demonstrate its transparency through availability of its information to those parties with appropriate access rights?</td>
<td>Focus to deliver transparent information is on external, requested requests. Delivery of information is poor internally and may cause delays in completing a business activity. Fines may have been imposed.</td>
<td>2.75</td>
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### Protection

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<tbody>
<tr>
<td>Does the senior leader demonstrate commitment to a policy statement on protection of information?</td>
<td>There are an organization-wide policy statement and processes to deliver protection. They are communicated across the organization. Support from senior leaders is not always apparent.</td>
<td>3.50</td>
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</table>
Data Export & Reports
Choose the assessment instance and type of report that you would like to view. In order to export an assessment into a spreadsheet please select ‘Export’ as a Report Type.

Use help to find more information for each report type and data export function.
The heat map chart below displays the average score by principle and by business unit for the selected assessment. Please visit the ARMA website where many tools are available to assist you to improve your practices and score.

Assessment: Multiple Department Assessment
Completed Date: 11 Mar 2014

<table>
<thead>
<tr>
<th>Business Units</th>
<th>Accountability</th>
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<th>Compliance</th>
<th>Availability</th>
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<td>2.5</td>
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<td>4.5</td>
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<td>1.7</td>
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<td>Sales</td>
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<td>1.9</td>
<td>2.2</td>
<td>3.7</td>
<td>3.6</td>
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Transparency – Level 2 (In Development)

Level 2 describes an organization where there is a developing recognition that weak information management has an adverse impact on the organization and that it may benefit from a defined information governance program. At this level, an organization still may not meet legal and regulatory requirements, and its business efficiency may be affected adversely; but, a start has been made.

Advance to Level 3 – How Do I Start?
- Ensure that all needs for releasing information to third parties have been identified, that procedures are in place to ensure consistency in retrieval, and timely responses.
- Create a written policy that describes the organization’s commitment to transparency and how it will demonstrate transparency.
- Develop and deliver training to the employee body so they understand their responsibilities related to transparency in recordkeeping.

Relevant Resources

From the Bookstore
- Best Practices in Policies and Procedures, Stephen Page, CRM, PMP
- Information Management Compliance Warrior, Randolph A. Kahn, Esq., Barclay T. Blair, et. al.
- Managing Records and Information Programs, Bruce W. Dearatyne, Ph.D.

Online Courses (www.arma.org)
- Electronic Records Management
- Essentials of RIM Certificate Program
- Applying The Principles to Achieve Organizational Excellence
- The Principles and Legally Defensible Information Governance
- Introduction to the Principles
The chart below displays how many people have selected a score versus how many have selected 'I don't know' and 'Does not apply'. Please visit the [ARMA Website](#) where many tools are available to assist you to improve your practices and score.

**Assessment:** Multiple Department Assessment  
**Completed Date:** 11 Mar 2014
The chart below displays how many people have selected a score versus how many have selected 'I don't know' and 'Does not apply'. Please visit the ARMA Website where many tools are available to assist you to improve your practices and score.

Assessment: Multiple Department Assessment  
Completed Date: 11 Mar 2014

- Score Selected: 96.92%
- N/A: 2.31%
- I don't know: 0.77%
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<th>F</th>
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<td>Multiple Department Assessment</td>
<td>3-Mar-14</td>
<td>3-Mar-14</td>
<td>Kerianne Aulet</td>
<td>Disposition</td>
<td>Information Technology</td>
<td>[DI-10]</td>
<td>Is there a process for decommissioning hardware and software? There is no process for decommissioning hardware and software.</td>
<td>There is no process for managing the disposition of information.</td>
<td>1.5</td>
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<td></td>
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<td>3-Mar-14</td>
<td>3-Mar-14</td>
<td>Kerianne Aulet</td>
<td>Disposition</td>
<td>Information Technology</td>
<td>[DI-3]</td>
<td>Are there processes in place for managing disposition?</td>
<td>There is no process for identifying information and how it is to be disposed of.</td>
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<td>[DI-4]</td>
<td>Is all information in all formats identified for disposition?</td>
<td>There is no disposition process or organization-wide method for destruction.</td>
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<td>[DI-5]</td>
<td>Is there a destruction method within the disposition process?</td>
<td>There is no disposition process or method for transferring ownership of information.</td>
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<td>[DI-6]</td>
<td>Is there a transfer of ownership method in the disposition process?</td>
<td>There is no disposition process and no method for suspending.</td>
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<td>[DI-7]</td>
<td>Is there a hold and release method in the disposition process?</td>
<td>The organization does not identify legacy data and there is no disposition processes. Individuals delete or keep data as they see fit.</td>
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<td>8</td>
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<td>Kerianne Aulet</td>
<td>Disposition</td>
<td>Information Technology</td>
<td>[DI-10]</td>
<td>Is there a method in the disposition process for cleaning up legacy data?</td>
<td>There is no archive method or staff to archive information how and when they see fit.</td>
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<td>9</td>
<td>Multiple Department Assessment</td>
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<td>3-Mar-14</td>
<td>Kerianne Aulet</td>
<td>Disposition</td>
<td>Information Technology</td>
<td>[DI-9]</td>
<td>Is there an archive method in the disposition process?</td>
<td>The metadata process does not cover all critical data producing systems. Storage is not secure or reliable.</td>
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<td>10</td>
<td>Multiple Department Assessment</td>
<td>3-Mar-14</td>
<td>3-Mar-14</td>
<td>Kerianne Aulet</td>
<td>Integrity</td>
<td>Information Technology</td>
<td>[IN-10]</td>
<td>Does the senior leader demonstrate commitment to a policy statement on information integrity?</td>
<td>There is a policy statement on integrity, but it is not widely communicated.</td>
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<td>Kerianne Aulet</td>
<td>Integrity</td>
<td>Information Technology</td>
<td>[IN-1]</td>
<td>Does the senior leader demonstrate commitment to a policy statement on information integrity?</td>
<td>There is a policy statement on integrity, but it is not widely communicated.</td>
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</table>
Information Governance Assessment
Executive Summary
Regal Manufacturing

Information Governance Assessment
Executive Summary

Company: Regal Manufacturing

Assessment: Multiple Department Assessment
Overview:

Report prepared for: Regal Manufacturing

Regal Manufacturing recently conducted an Information Governance Assessment, based on ARMA International's Generally Accepted Recordkeeping Principles. This report summarizes the results of the assessment and provides initial guidance for addressing identified areas of risk and potential vulnerability.

Assessment Name: Multiple Department Assessment
Assessment Start Date: 3 Mar 2014
Assessment Completion Date: 11 Mar 2014
Number of Participants: 4
Business Units Represented: Information Technology, Management, Marketing, Sales
# Real World Summary of Results Example

Heat Map Report for Business Units and Information Governance Principles

<table>
<thead>
<tr>
<th></th>
<th>Accountability</th>
<th>Transparency</th>
<th>Integrity</th>
<th>Protection</th>
<th>Compliance</th>
<th>Availability</th>
<th>Retention</th>
<th>Disposition</th>
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<td>1.70</td>
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<td>2.00</td>
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<td>1.80</td>
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<td>Rail Operations</td>
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<td>2.70</td>
<td>3.10</td>
<td>2.50</td>
<td></td>
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<tr>
<td>Safety / Security / Facilities</td>
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<td>2.30</td>
<td>2.70</td>
<td>2.00</td>
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<td>2.70</td>
<td></td>
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<tr>
<td>Entire Organization</td>
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<td>1.80</td>
<td>1.60</td>
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<td>1.60</td>
<td>1.80</td>
<td>2.00</td>
<td>1.8</td>
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</tbody>
</table>
Accountability

- No senior executive has a singular and primary focus on records or information management.
- The Records Management role is only for the operation of the limited existing program.
- The program focuses on paper records only.
- IT is the de facto lead for storing electronic information
  - Records manager has not been included in discussions about electronic systems.
  - Information is not stored in a systematic fashion.
- Organization management knows they should govern broader information assets.
Transparency

- It is difficult to obtain timely information about the organization, its business, or its records management program.
- Information management processes are not well-defined.
- No clear documentation regarding these processes is readily available.
- There is no emphasis on transparency.
- The company cannot readily accommodate requests for information, discovery for litigation, regulatory responses, freedom of information, or other requests (e.g., from potential business partners, investors, or buyers).
- No controls to ensure the consistency of information disclosure.
Integrity

- No systematic audits or defined processes for proving the authenticity of a record or information, meaning that its origin, time of creation or transmission, and content are what they are purported to be.

- Various groups use ad hoc methods to demonstrate authenticity, accuracy and chain of custody, but their trustworthiness cannot easily be guaranteed.
Some consideration is given to information protection but it is not consistently enforced or applied.

Records and information are stored haphazardly, with protection taken by various groups and departments and with no centralized access controls.

Access controls, if any, are assigned by the author.
Compliance

- Information is not systematically managed. Groups and units manage information as best they can.
- There is no central oversight or guidance and no consistently defensible position on information governance.
- There is no formally defined or generally understood process for imposing legal, audit, or other information production processes.
- The organization has significant exposure to adverse consequences from poor compliance practices.
Availability

- No process of identifying latest versions. Staff wastes time searching.
- No aids to help find records/information (indices, metadata, etc.).
- Legal discovery and information requests are difficult because it is not clear where information resides or where the final copy is located.
Retention

- A retention schedule and policies are available, but they do not encompass all records and information, did not go through an official review, and are not well known.
- The retention schedule and policies are not regularly updated or maintained.
- Education and training about the retention policies are not available.
There is no documentation of the processes (if there are any) used to guide the transfer or disposition of records and information.

The process for suspending disposition in the event of investigation or litigation is non-existent or is inconsistent across the organization.
Recommendations

- Realign the Enterprise Records and Information division under the Office of General Counsel
- Revise the division name to better reflect their enterprise organizational role; e.g., Enterprise Records Management (ERM)
- Long-term, consider the development of a Chief Information Governance Officer (CIGO) reporting to GM
- Establish accountability and enforcement – no enforcement equals no compliance
- Train the ERM staff to better able fulfill their roles and responsibilities. E.g. CRM, PMP, IGP, CIP certifications and training. Helps to also develop career path toward CIGO and other ERM opportunities.

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Enterprise Records Management Program

- Policies and Procedures
  - Need to be updated, rationalized and synchronized
  - Establish metrics
  - Fill open staff positions
  - Research and document the Office of Record (a records management term for what group or department holds the final record authorization)
Enterprise Records Management Program

- Records Retention
  - The Good News - The company’s Records Retention Schedule (RRS) is well done.
  - In preparation for implementation of the company’s ECM system, revisions to the RRS are expected.
  - Dedicate an ER&I staff resource to be the primary point of contact and responsible for researching, documenting and submitting revisions to the RRS.
  - Staff tend to use a “3 year default retention period” for many records, but further research is needed to determine if this is a valid assumption.
  - Cloud services are not discouraged but need to be subject to the same records retention practices as though services are hosted onsite.

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Enterprise Records Management Program

- Records Storage Facility aka “The Shed”
  - Assign dedicated RM resources to this sub-program to establish and manage an off-site Records Center Program
  - Create a Standard Operating Procedure for operating and processing and managing the RSF
  - Don’t automate a mess. Clean up the inventory before ECM is implemented
  - Communicate new processes, program management and procedures to RTD divisions
Enterprise Records Management Program

- Disposition Management
  - Formally designate the ER&I group as responsible for disposition management and oversight, which includes developing the processes and procedures for disposition.
  - Begin identifying eligible records for disposition, review and approval, and assist with final disposition.
  - Consider a “clean-out” week with a fun theme to encourage and focus on cleaning up records. Ensure participants have received basic education and training prior to the kick-off of the event.
  - IT should create a Standard Operating Procedure for decommissioning systems and migration and disposition of ALL content and needs to work with ER&I to establish process.
Legal Holds

- Document current business process to notify departments and obtain responsive records. Determine minimum metrics and information to support the process and provide feedback to substantiate the organization’s process.

- Set up a records repository area in a system such as XXXXXXX to upload and store all records associated with the hold and responsive to the request.

- Designate a central authoritative organization official to communicate legal holds and potential litigation to organization staff.

- Establish the Office of Record for notifications, oversight, reporting and tracking legal holds content.

- Document where legal hold information will be stored/saved.
Enterprise Records Management Program

- Public Records Requests
  - Continue to centralize the Public Record Request (PRR) program under one division for consistency, tracking and management of responses.
  - Determine the status of the PRR procedure revision
    - Obtain feedback from all divisions involved and revise
    - Update all Management Directives that refer to PRR procedures.
  - Requests received not meeting the PRR criteria should be returned/rejected and not processed. Documentation of that action should be placed in the tracking log/spreadsheet.
Enterprise Records Management Program

- Email Management
  - Organization needs a formally approved email policy and set of procedures

- E-Records
  - Continue development and identification of organization functional requirements, create policies and procedures, taxonomies and information architectures at the Record Category or document level

- Scanning / Digital Conversion
  - Collaborate with IT and obtain their technical assistance to configure all scanners to create standardized naming structures, default file formats and maintain quality control. Confirm and configure where scans are stored. This should be a joint effort between IT and ER&I

- Other RM Challenges
  - Develop records and document compliance training for all incoming employees
  - Develop a records management and information governance checklist for departing employees
  - Include the District Historian as a resource to the ER&I for corporate knowledge discussions, document locations, best practices, RTD history
Vital Records

- Organization Records Manager should be coordinating with the Emergency Management Team (and should be on that team) to identify:
  - Preventative measures against the loss of records and information at the organization.
  - Alternative sources of organization’s records and information.
  - Provide the basis for a systematic response to disasters.
  - Disaster response personnel and their roles.
  - Establish procedures for the recovery of damaged records and information.
  - Establish recovery priorities together with Departmental supervisors.
  - Sources for supplies, equipment, and recovery and restoration services for damaged records and media. Work with Purchasing to ensure those resources will be available when needed.
Implementing an ECM Solution depends on having and enforcing the management of the following:

- Retention Schedules
- Disposition Process Definition
- Classification / Taxonomy definition
- Business Process / Case Management Definition
- Scanning / OCR standards for imaging quality control
- Identification of access rights

Implementing information governance practices is crucial to the successful implementation of any ECM solution.
Good Governance Depends on Measuring Success as Well as Failure

- You don’t have to be in dire straits in order to get value from the tool or an assessment activity.
- Progress can be measured over time by conducting a reassessment.
Next Level™ Benchmarking Alternatives

- Next Level Lite
- Obtain Full License through ARMA
- Obtain License through Reseller
- Have Consultant Administer and Facilitate Benchmark
Questions?
Resources

- AIIM (www.aiim.org)
- ARMA (www.arma.org)
- Florida General Records Schedules:
  https://www.flrules.org/gateway/ruleNo.asp?id=1B-24.003
We provide "real world" advice to our clients on all the aspects associated with information governance and records management.