The Principles and the Bottom Line

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Outline

- The Principles and the culture of records management
- The Principles and organizational objectives
- Achieving the balance

Part 1:
The Principles and the Culture of Records Management

Culture

- An organization – whether it's a corporation or a professional association – is characterized by
  - Guiding beliefs
  - Daily practices

Guiding Beliefs

- The "why"
- What motivates us as individuals and organizations?

Daily Practices

- The "how"

- What do we actually do day in and day out?

Healthy Culture

- In a healthy culture, guiding beliefs and daily practices are in alignment
- We do what we say we intend to do
- Video example of an unhealthy culture:

https://www.youtube.com/watch?v=XWuPGKLJXe8

Finding Nemo ©2003 Pixar Animation Studios

Guiding Beliefs of Records Management

- The Generally Accepted Recordkeeping Principles® ("the Principles")

- A statement of the highest ideals of our profession

http://www.arma.org/r2/generally-accepted-br-recordkeeping-principles

The Principles

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition

Accountability

- A senior executive (or a person of comparable authority) shall oversee the information governance program and delegate program responsibility for records and information management to appropriate individuals. The organization adopts policies and procedures to guide personnel and ensure that the program can be audited.

Transparency

- An organization's business processes and activities, including its information governance program, shall be documented in an open and verifiable manner, and that documentation shall be available to all personnel and appropriate interested parties.

Integrity

- An information governance program shall be constructed so the information generated by or managed for the organization has a reasonable and suitable guarantee of authenticity and reliability.

Protection

- An information governance program shall be constructed to ensure a reasonable level of protection for records and information that are private, confidential, privileged, secret, classified, or essential to business continuity or that otherwise require protection.

Compliance

- An information governance program shall be constructed to comply with applicable laws and other binding authorities, as well as with the organization's policies.

Availability

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

Retention

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

Disposition

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

Daily Practices of Records Management

- Our daily practices are found in various publications and other professional resources

- There is a way to measure the implementation of our daily practices that is connected to our guiding beliefs: the Information Governance Maturity Model

The Maturity Model

- Level 1 (Sub-standard)
- Level 2 (In Development)
- Level 3 (Essential)
- Level 4 (Proactive)
- Level 5 (Transformational)

Level 1:
Sub-standard

- This level describes an environment where information governance and recordkeeping concerns are not addressed at all, are addressed minimally, or are addressed in an *ad hoc* manner.

- Organizations that identify primarily with these descriptions should be concerned that their programs will not meet legal or regulatory scrutiny and may not effectively serve the business needs of the organization.

Level 2:
In Development

- This level describes an environment where there is a developing recognition that information governance and prudent recordkeeping have 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 scrutiny of its legal or regulatory and business requirements because its practices are ill-defined, incomplete, nascent, or only marginally effective.

Level 3:
Essential

- This level describes the essential, or minimum, requirements that must be addressed to meet the organization's legal, regulatory, and business requirements. Level 3 is characterized by defined policies and procedures and the implementation of processes specifically intended to improve information governance and recordkeeping.

- Organizations that identify primarily with Level 3 descriptions still may be missing significant opportunities for streamlining business and controlling costs, but they have the key basic components of a sound program in place and are likely to be at least minimally compliant with legal, operational, and other responsibilities.

Level 4:
Proactive

- This level describes an organization that has established a proactive information governance program throughout its operations and has established continuous improvement for it. Information governance issues and considerations are routinely integrated into business decisions. The organization is substantially more than minimally compliant with good practice and easily meets its legal and regulatory requirements.

- The entity that identifies primarily with these descriptions should begin to pursue the additional business and productivity benefits it could achieve by increasing enterprisewide information availability, mining its information for a better understanding of clients' and customers' needs, and otherwise transforming itself through increased use of its information.

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 program requirements and legal, regulatory, and other responsibilities are routine.

- This organization has recognized that effective information governance plays a critical role in cost containment, competitive advantage, and client service, and it has successfully implemented strategies and tools to achieve these gains on a plenary basis.

Part 2:
The Principles and Organizational Objectives

Key Question

- How "mature" should an organization be?
- As records managers, should we push for a particular level?
- How do we balance this push with organizational objectives, including making a profit?

The Perfect vs. the Possible

- The desire for perfection may get in the way
- What is "good enough"?
- Video example of going over the top

https://www.youtube.com/watch?v=NSAXkp9cqbk

Monsters, Inc. ©2001 Pixar Films

Do We Know What We Don't Know?

- As records managers, do we know what key people in our organizations think about the Principles?

- Do we know what they think about the levels in the Maturity Model?

- We need to try to answer these questions individually and as a profession

A Starting Point

- Sofia Empel's 2014 dissertation at the Palmer School

- *RX for Healthcare Executives? An Investigation of the Generally Accepted Recordkeeping Principles as an Information Governance Framework for Electronic Health Records*

Data Collection

- Surveys from 32 Chief Information Officers from hospitals in the New York metropolitan area

- Detailed follow-up interviews with 4 CIOs

Survey Methodology

- Two questions about each principle
  - Degree of implementation
  - Degree of usefulness
- Answers on a 1-5 Likert scale
- Correlations and other statistical tests performed

Findings Relevant for Today

Implementation vs. Usefulness
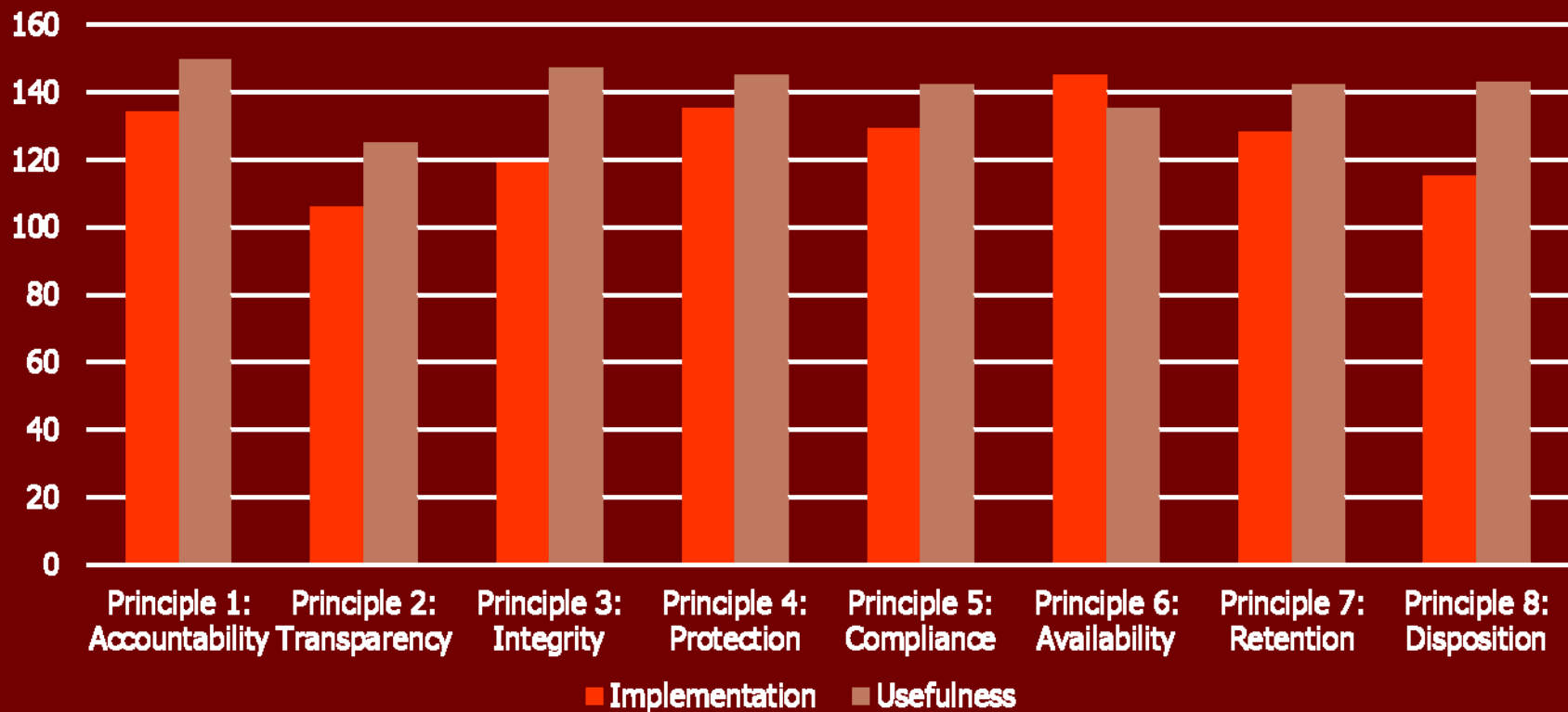
Lake Wobegone?

- My sense of the Maturity Model, partly confirmed by Sofia's dissertation, is that we are records managers in Lake Wobegone

- This is a mythical place created by Garrison Keillor where "all the women are strong, all the men are good looking, and all the children are above average."

https://www.prairiehome.org/

Part 3:
Achieving the Balance

Balance

- It's not easy to get the balance right
- Sometimes we just try too hard
- Video example:

https://www.youtube.com/watch?v=bewrXPdwhYE

Balance and the Principles

- Are all of the Principles equal?
- As records managers, are some principles more important to us than others?
- Which principles are more important to others in our organizations (legal, finance, information technology, etc.)?

The Prime Directive?
The Greatest Commandment?

- Accountability

- Transparency

- Integrity

- Protection

- Compliance

- Availability

- Retention

- Disposition

Balance and the Maturity Model

- Do we want to push for Level 5 on all principles?
- If not, which level is "good enough" for each principle?
- I recommend using a grid
  – For ourselves first
  – Then key stakeholders

The Principle/Maturity Model Grid

Principle	Level 1 Sub-Standard	Level 2 In Develop-ment	Level 3 Essential	Level 4 Proactive	Level 5 Transforma-tional
Accountability					
Transparency					
Integrity					
Protection					
Compliance					
Availability					
Retention					
Disposition					

Using the Grid

- Forces us to make our expectations explicit
- Opens up a dialog with key constituents
- Can lead to estimates of cost for achieving each cell in the grid

Guiding Beliefs and Daily Practices

- We want records management to be "healthy" as a profession

- We also want a "healthy" integration of records management with organizational priorities

- We need to structure the conversation and deepen the dialog with key stakeholders

One Final Video Clip

- A timeless example of conflicting culture and values

https://www.youtube.com/watch?v=4CnI_W J4J7g

For Additional Information

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