Learning Objectives

1. Provide a process and point of view
2. Focus on early phase assessment
3. Share “war stories”; learn from each other
4. Discuss tools and reference sources

For planning new and enhancing existing RIM and related programs
Agenda

- Executive Framework
- Program Development Process
- A Strategic Model
- Potential Program Components
- Assessment
- Reference Sources
- Ideas, Advancements, RIM Technology
Executive Framework

- Background/Point of View
- Leadership & Management Skills
  - Operational Excellence
  - Project Management – DMAEC
- RIM
  - Core Functions
  - People, Processes, Technology
  - Related Functions
Program Development Process

DMAEC
http://www.managingbymetrics.com/tag/dmaec/

1. Vision
2. Strategy
3. Action Plan
4. Governance
5. Syndicate/Outreach
6. Pilot/Execute
7. Measure/Report
8. Rinse and Repeat
A Strategic Model

- Information Governance Reference Model
- Foundation of ILM strategic approach
- Linking Duty, Value to Efficient, Effective Management
- Staking Ground, Inclusive, Aware
Determining Potential Program Components

- Source Code Escrow Services
- Data Loss Prevention/Security
- Privacy
- Litigation Support
Assessment Overview

What is an assessment?
What does it do?
How is it done?

Strategic, Operational, Governance, Change

Focus – Legal, Compliance, Risks, Cost
Communication – Listen, Confirm, Track, Act
Risks and Dependencies – misinformation, scope creep, responsibility shifting

- Survey
- Audit
- Benchmark
- Understanding need
- Testing hypothesis
- Building relationships
- Open vs. Manipulated
Assessment – RIM

RIM Specific Thoughts

Case Overview

Industry Perspectives

Role Perspectives
  - The “C” Suite
  - Legal & Compliance
  - IT
  - Risk

GARP Assessment
  - Identify your organization’s information governance risks
  - Measure the severity of those risks
  - Track deficiencies by principle and overall score
  - Monitor the progress of risk mitigation efforts’
  - Assess the sufficiency of IG training and documentation
Assessment Example

- List of Assessments Web
- Better Options, Industry Specific
- Assessment Profiles – Government
- Records Principles
  - [http://en.wikipedia.org/wiki/Generally_Accepted_Recordkeeping_Principles](http://en.wikipedia.org/wiki/Generally_Accepted_Recordkeeping_Principles)
- ARMA Information Mgmt Journal –
Assessment Example

Valid responses required (otherwise don’t do it)

One Aspect – Assessing Policy Awareness, Adherence
1. Does a current list of business liaisons exist?
2. Are all businesses represented?
3. Are job descriptions complete and accurate for all relevant personnel? Responsibilities shared and agreed?
4. Are periodic actions prescribed and followed?
5. Is a training program fully documented? Do you track who is trained? How often is training held?

Responses must be captured and measured over time (creates the history)
ISO 15489 RM Audit

Checklist of Documentation Required for Records Management Audit

- Relevant organizational chart
- Mission statements for organization and/or department
- RM mission statement
- RM policy
- RM procedures (or a manual) used by the RM team, including any in-house material or details of other training
- Specifications for automated records management systems for paper records
- Specifications of records management systems for digital records

- Documentation on records destruction or contracted services
- Written specifications for shelving, boxing, and storage facilities
- Vital records inventory
- Vital records protection procedures, including recovery in event of disaster
- Business continuity plan
- Agreements with any third-party providers for business continuity services
- Surrogacy program (digitization or microfilm/fiching) documentation
- Staff job descriptions both within and outside records
# Audit Components – ARMA Info Mgmt Journal

<table>
<thead>
<tr>
<th>Audit Component</th>
<th>Policy and Procedures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authentically, reliable, complete records</td>
<td>Assigned authority, responsibilities</td>
</tr>
<tr>
<td>Regulatory adherence</td>
<td>Scanning</td>
</tr>
<tr>
<td>Retention policy adherence</td>
<td>Staff training</td>
</tr>
<tr>
<td>RM rules embedded in Business processes</td>
<td>Storage, handling</td>
</tr>
<tr>
<td>Records system functionality</td>
<td>Disposition management</td>
</tr>
<tr>
<td>Metadata specifications</td>
<td>Records capture</td>
</tr>
<tr>
<td>Records registration</td>
<td>Retention control and monitoring</td>
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</tbody>
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1. Tailor Questions to Environment
2. Observe processing and storage areas
3. Use the audit tool as a checklist
4. Draw proper conclusions; control the message; avoid improper governance control

<table>
<thead>
<tr>
<th>RM processes</th>
<th>I-View RM staff, service and Bus. Reps</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governance control</td>
<td>Must observe processes</td>
</tr>
<tr>
<td>Monitor/Audit system modifications, documentation</td>
<td>Docs on RIM processes</td>
</tr>
<tr>
<td>Documentation of compliance, monitoring, and audit</td>
<td></td>
</tr>
</tbody>
</table>
Reference Sources

- ARMA
- Associations – AIIM
- Networking – CGOC
- Vendors
- Universities
- Government
- Related Fields – IT, Legal, Risk, Privacy
RIM Advancements & Technology

- Retention Schedules, Box/File Archiving
- Retention and Search Advisory
- Document Mgmt / Scanning
- Policies & Procedures
- Defensible Disposition
- Legal Holds
- Privacy / Metadata
- Structured Data
Ideas That Sell

- Leadership Position/Leverage
- eDiscovery
- Data Mapping – Structured, Unstructured
- Social Media
- Benchmarking / Networking
- Your Thoughts?
Conclusion

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2. Focus on early phase assessment
3. Share “war stories”; learn from the audience
4. Discuss tools and reference sources

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