Career Trajectory and the Evolution of Records Management and Information Governance

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Introduction

Topics

- Evolution of Records Management
  - Historical Perspective
  - Broader Perspective of Information Governance
- Career Parallels
  - Organizational Placement
  - Applying Your Knowledge
History

Timeline of Recorded Information

<table>
<thead>
<tr>
<th>Method</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cave Painting</td>
<td>38000 BC</td>
</tr>
<tr>
<td>Clay Tablets</td>
<td>9000 BC</td>
</tr>
<tr>
<td>Papyrus</td>
<td>3000 BC</td>
</tr>
<tr>
<td>Paper</td>
<td>105 AD</td>
</tr>
<tr>
<td>Printing</td>
<td>1440 AD</td>
</tr>
<tr>
<td>Microfilm</td>
<td>1839 AD</td>
</tr>
<tr>
<td>Mainframe</td>
<td>1945 AD</td>
</tr>
<tr>
<td>Email</td>
<td>1962 AD</td>
</tr>
</tbody>
</table>
## History

### Timeline of Recorded Information & Recent Innovations

<table>
<thead>
<tr>
<th>Technology</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Digital Imaging</td>
<td>1960</td>
</tr>
<tr>
<td>PC</td>
<td>1974</td>
</tr>
<tr>
<td>Voicemail</td>
<td>1980</td>
</tr>
<tr>
<td>Compact Disk</td>
<td>1982</td>
</tr>
<tr>
<td>WWW</td>
<td>1991</td>
</tr>
<tr>
<td>Mobile Computing</td>
<td>1999</td>
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<tr>
<td>Social Media</td>
<td>2004</td>
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**PC**

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1960

**WWW**

1991

**Mobile Computing**

1999

**Social Media**

2004
Cross-Functional Nature of RIM

- Legal (litigation)
- Compliance
- Technology
- Facilities
- Privacy
- Risk

- IT Risk
- Information Security
- Finance & Tax
- Human Resources
- Data Management
- Information Architecture
Organizational Placement of RIM

- **Legal & Compliance** – Retention schedules – retention obligations, litigation support, regulatory requirements, privacy, record classification

- **Information Technology** – ILM, reducing costs, technology solutions & capabilities, architecture

- **IT Risk** – Data retention & disposition, application inventory, over-retention risk & cost

- **Regulatory Affairs** – Regulator relationships, submissions, compliance

- **Science & Information** – taxonomy, value of information, search and retrieval, internal customer support, knowledge management, indexing

- **Information Security** – Protecting information, CIA classification, personal information, threat prevention

- **Data Management** – Data quality, data definition, data governance, data ownership/stewardship, data use

- **Facilities** – storage costs, space utilization, physical archives, services orientation, photocopying
Borrowed from Biology

Lifecycle

- Stages that living things pass through over time
  - born, develop & mature, reproduce and die
- Phases of information
- Creation, Use and Disposal
- Robust: pre-creation (data /document definition), receipt, distribution, classification, active and inactive use, maintenance, storage, preservation, hold, archiving and disposition
Information Lifecycle Management

ILM consists of the policies, processes, practices, and tools used to align the business value of information with the most appropriate and cost effective IT infrastructure from the time information is conceived through its final disposition."[1]

Borrowed from Biology

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Life Cycles

Biology

Information
Confidentiality – material nonpublic information starts its life as highly confidential but eventually may be disclosed and therefore becomes public.

Integrity - Unauthorized changes to developing product information could have serious negative impact while a change to old data from a product no longer on the market may have little impact.

Availability – Typically is lower over time. New information must be readily available for business use and for regulatory examination. Older data may be placed off-line and in off-site archives.

Risk – increases due to audits, exams, litigation, breaches, etc.

Value – generally decreases over time. May spike up for secondary use in research and analytics.
Borrowed from Biology

- **Evolution**
  - a process of continuous change from a lower, simpler, or worse to a higher, more complex, or better state

- **Adaptation**
  - adjustment to environmental conditions
Borrowed from Biology

Taxonomy

- the practice and science of classification of things or concepts, including the principles that underlie such classification

Classification

- the process in which ideas and objects are recognized, differentiated, and understood

Nomenclature

- the act or process or an instance of naming
RIM Skills Inventory

- Knowledge of the business, it’s products, process, organization, systems and tools, information and records
- Knowledge of the regulatory environment
- Business analysis
- Process flows, design & analysis
- Metrics and reporting
- Effective communications, written and oral (in all directions)
- Business writing (policies, procedures, standards, guidance, training)
- Data management
- Business requirements for system development
- Information governance

- Legal and regulatory drivers
- Legal hold management
- Information taxonomy
- Risk and control assessment & testing
- Control testing
- Write and execute action plans
- Design, implement, monitor and measure controls
- Business continuity and resiliency
- Information protection
- Storage solutions
- Data protection
- File Plans & Inventories (information, applications)
- Retention & Disposition
Information Governance

the activities and technologies that organizations employ to maximize the value of their information while minimizing associated risks and costs. [Information Governance Initiative IGI]

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. [Gartner]
What is Information Governance?

Activities included in the concept of IG
Conclusions

- RIM professionals are on the path of continuous change from a lower, simpler worse state to a higher, more complex better state

- Organizations need better control of information
  - Controls must not interfere with appropriate use
  - Disposition is the ultimate protection

- You can’t control it if you don’t know what it is
  - Ability to automate classification
Conclusions

- Champions are Key
  - C-Level: Legal, Compliance, RIM, Info Sec, Privacy, DM, Risk

- Organizational Placement
  - Under CIGO, if not Legal, Compliance, Technology

- Cross-functional engagement
  - Get the right parts of the organization to partner

- Authority to act
  - Governance structure must be enabling