Strategies and Tactics to Manage Information for University Governance

May 3, 2023

Territorial Acknowledgement

We acknowledge that we are located on Treaty 6 territory, and respect the histories, languages, and cultures of First Nations, Métis, Inuit, and all First Peoples of Canada, whose presence continues to enrich our vibrant community.

Our work takes place on historical and contemporary Indigenous lands, including the territories of Treaty 6, Treaty 7 & Treaty 8 and the homeland of the Metis Nation of Alberta and 9 Metis Settlements. We also acknowledge the many Indigenous communities that have been forged in urban centres across Alberta.

Session Overview

*University governance teams are constantly **flooded** with information. Despite tight resources, teams are expected to fully grasp record **control**, responding to **compliance** requirements while achieving **fast** information retrieval.*

This session introduces records management to support board success and how you can kick start the program from the ground up. We will also discuss information governance as a strategic, multi-disciplinary approach that will help elevate university governance.

Introductions & Agenda

CUBA Professional Development Day
May 3, 2023

1. RIM Awareness

2. Developing RIM

3. RIM Maturity

4. Discussion

(break)

1. Follow Up

2. Getting to Information Governance

Speakers

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ARMA International

ARMA International is the community of records management, information management, and information governance professionals who harness the benefits and reduce the risks of information.

www.arma.org

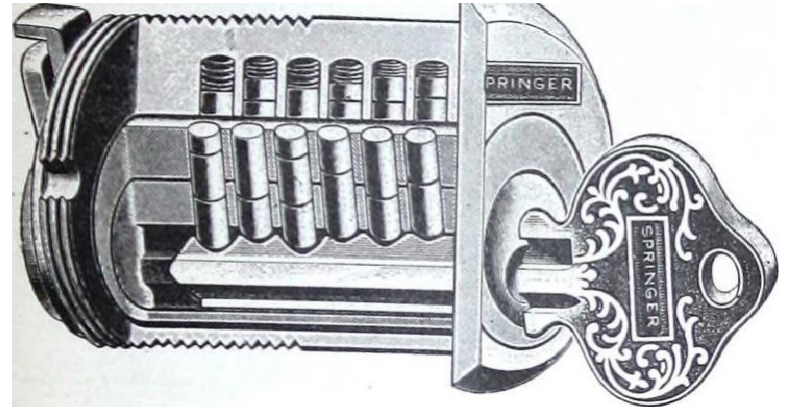- Navigate information lifecycle challenges

- Professional development

- Community

Part 1: RIM Awareness

Operations and Obligations

Records & University Governance

Managing University Records

University Governance

Processes and practices
to achieve a mandate

University
Business

Achieve a
Greater
Good

University
Academics

Jurisdictions
Authority
Culture

Accountability
Decision-Making
Reporting & Metrics

Strategy

- Set strategy (ongoing and 3–5 year plans) in collaboration with university leadership
- Monitor strategy execution on an ongoing basis

Governance

- Recruit and hire president, conduct performance assessments, and determine succession and transition
- Conduct governance performance assessments and monitor against agreed objectives

Financial

- Review and approve annual operating budgets and major capital expenditures
- Conduct oversight over university financial management
- Ensure that the university is conducting effective fundraising and investment activities

Performance

- Establish key performance indicators (KPIs) to which university leaders will be held accountable
- Provide oversight over university performance on key success factors (eg, teaching, research, medical-center success, student life)

Risk

- Ensure that the university is in full compliance with all of its legal obligations
- Review audit and investigation plans, monitor outcomes, and provide guidance on course of action
- Develop strategy to respond to crisis situation, set risk-mitigation strategies, communicate risk tolerance, and proactively monitor through risk registry (reputational, financial, legal, operational)

External relations

- Promote and guide partnerships and external engagement (eg, with local community, other higher education stakeholders)
- Serve as a representative of the university in the community and represent the university's interests with integrity and distinction

Records Management

Managing evidence of business decisions

Records Management & Operational Effectiveness

Ingredients for effective University Governance

Trust	**Reliable historical records**
Shared Sense of Purpose	**Controlled sharing of information**
Understanding Issues at Hand	**Timely access to information**
Adaptability	**Flexibility in approach**
Productivity	**Reduced duplication**

Records Management Considerations

<table>
<tr><td>**Stakeholders, ie. who wants to know**</td><td>**Support Networks, ie. who can help**</td></tr>
<tr><td>Operational Units & Councils</td><td>PRIVACY</td></tr>
<tr><td>Employees & Students</td><td>ARCHIVES</td></tr>
<tr><td>Government</td><td>RECORDS</td></tr>
<tr><td>Public Citizens</td><td>INFORMATION SECURITY</td></tr>
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PARIS: Two Parts

AWARENESS

What do I need to know?

PARIS TRAINING

IMPLEMENTATION

What can I do?

PARIS FRAMEWORK

Managing University Records

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Records Fundamentals

We need to know what is a record, and what is not a record.

What can <u>you</u> do to manage records?

Information / Records Lifecycle

Create / Collect — **Organize** — **Use / Access** — **Dispose**

University Records

The records you rely on now and in the future, to:

- Contribute to institutional reputation and history
- Support or enable ongoing business operations

Transitory Records

Required only for a limited time :

- To ensure the completion of a routine action, or
- To contribute to the preparation of a subsequent record

Example: YOUR copy of another department's report that is stored in a central repository

Where are Records Found?

Where is the Source Of Truth?

What about paper Records, and Email?
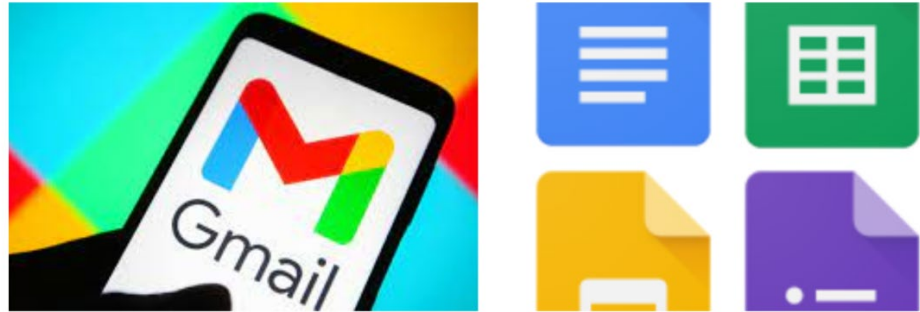
Records Management

Managing information is an **individual** responsibility, guided by **business rules** and institutional policy.

University vs Transitory Records

University Records
- File / save to official, common repository
- Subject to records retention timeframes

Transitory Records
- Reference purposes only
- Remove regularly when no longer needed

Records Paradox: hiding in plain sight

Two Options

Content and Information

University Records

Retention

Transitory Records

Preserve — Keep It

Destroy

Destroy

Remove It
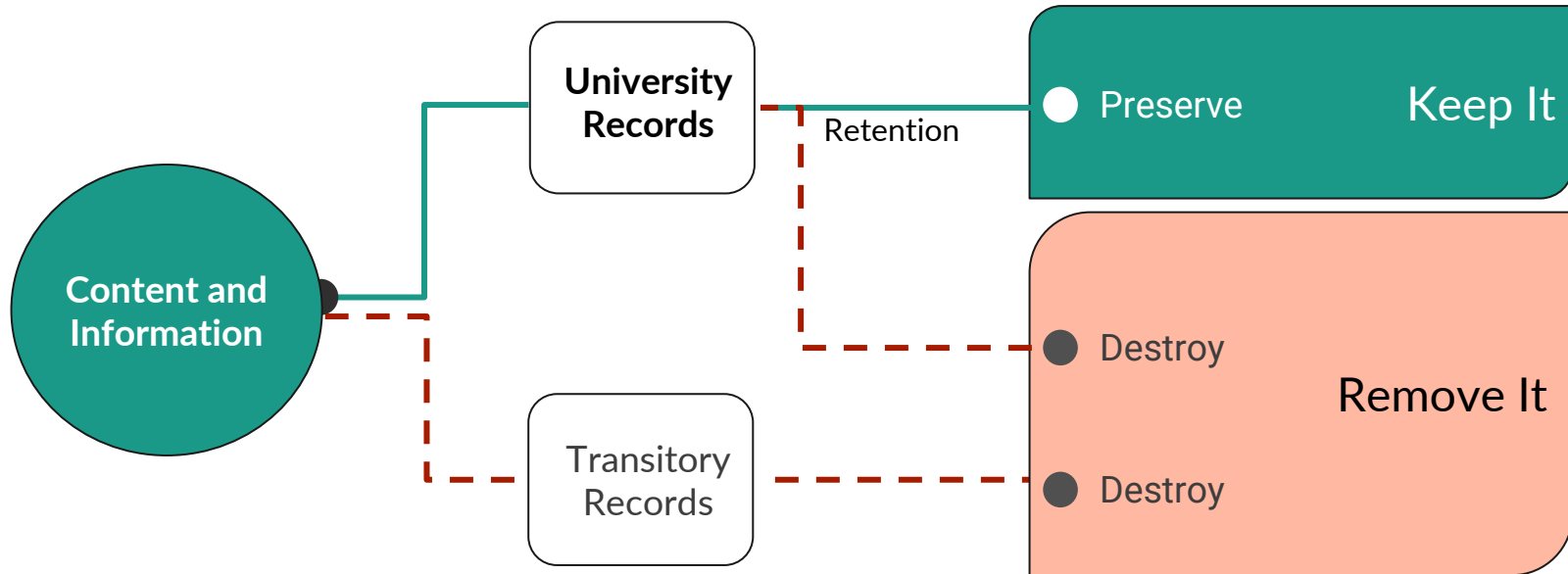
Archives and Records of Enduring Value

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Archives

Acquire and make available records of enduring value to the institution

Records are no longer required for current business operations

Institutional History
Organizational Accountability
Research

Plans
Programs
Strategies
Transformations

Archival Transfer

Transfer of ownership of records from business unit to archives

Chain of custody, packing/preparation/delivery

Note: archival records are researchable

Archival Records - Preservation

Materials are of continuing administrative, legal, or historical value. [Example](#)

Discover Archives

Browse

This application allows you to search for ar

Browse by

- Descriptions
- People / Organizations
- Repositories
- Subjects
- Places
- Digital objects

Popular this week

University of Alberta Archives Photographs

This collection of archival photographs depicts life and activities at the University of Alberta and surrounding communities. This is a small sample of the over 200,000 photographs that are currently housed in the University of Alberta Archives.

University of Alberta Yearbooks (1912-2012)

This digital collection of University of Alberta yearbooks from various campus and faculties includes the Evergreen

Convocation Programs

This collection includes the first convocation program from 1908. A complete set of hardcopy convocation programs are located at the University of Alberta Archives.

Course Calendars (1909-1967)

The University Course Calendar includes course offerings and program requirements for the University of Alberta. A complete set of hardcopy calendars are located at the

Cybersecurity Awareness

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Information Assets

Personal Information

Intellectual Property

Financial Information

Business Decisions

01

02

03

04
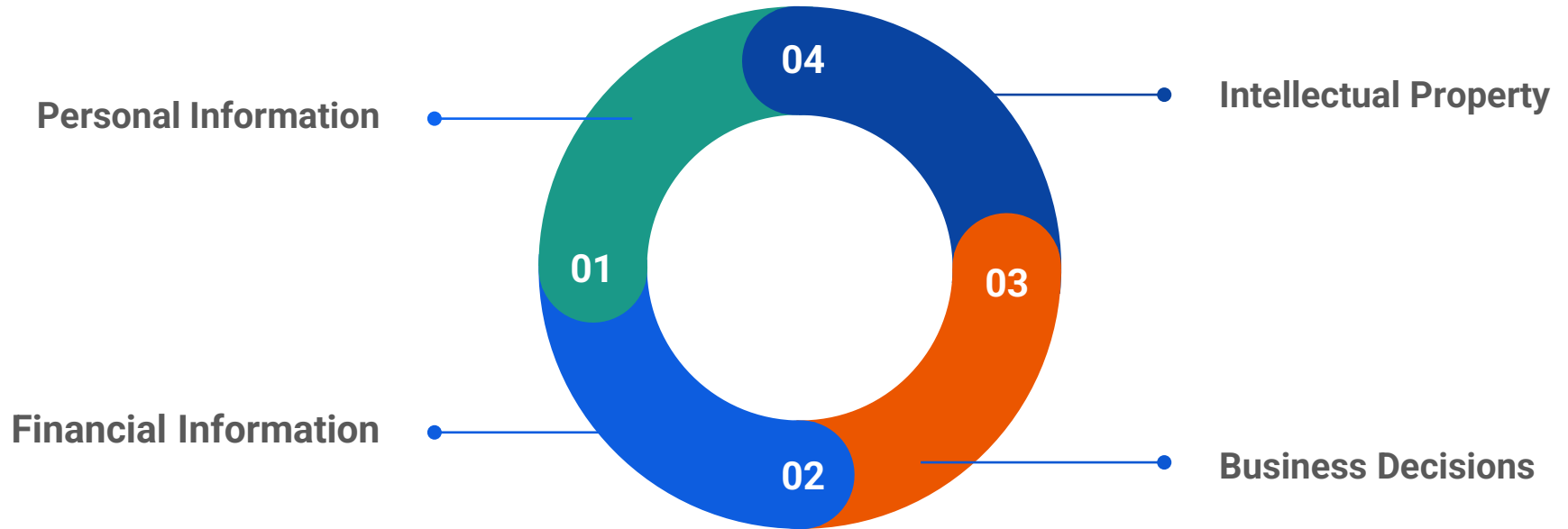
"I thought the system was secure"

Systems = Technology + Process + People

Protection:

- 2SV
- MFA
- Access Controls
- Filing to the right place

Privacy & Information Access

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Privacy & Information Access

As a public institution, anyone can ask to see your (institution's) records.

Records belong to the institution.

Keep the right records.

Protecting Privacy (including your own)

THE INTERNET

PRIVACY
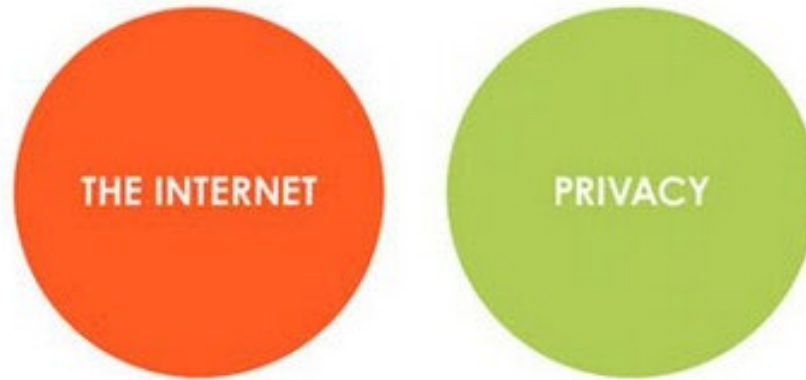
A HELPFUL VENN DIAGRAM

Key Points

RIM Awareness

1. University Records belong to the University.

2. Preserve records that need to be preserved. Remove all others.

3. Protect records from unauthorized use or disclosure.

4. There are many ways to approach managing information effectively. Pick one.

Part 2: Developing RIM

Building from Within

Start Now

Protect Records

Cost Savings

Preserve Knowledge

Minimize Risks

Demonstrate Compliance

Be Specific

You can't solve all records problems all at once

"Our records are in too many places"

"We have so much email"

"We can't find x"
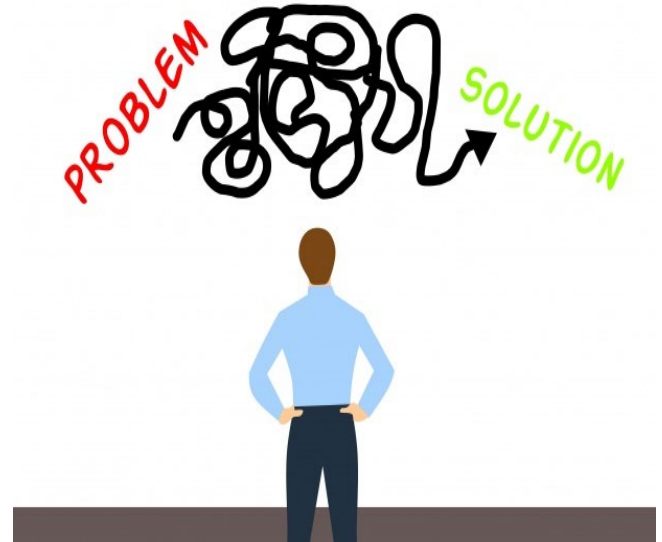
Developing Business Rules

Managing Content & Information

Document your own Business Rules / Procedures

Brainstorm and collaborate

60 minutes of documentation

Commit to following business rules

"Our way" rather than "my way"

Recordkeeping

General concept of recordkeeping has remained the same over time

Types of records created, and information use requirements have changed

Consider: it takes NO effort to keep something.

Records Management Responsibilities

Performance

● Establish key
performance
indicators (KPIs)
to which
university
paders will
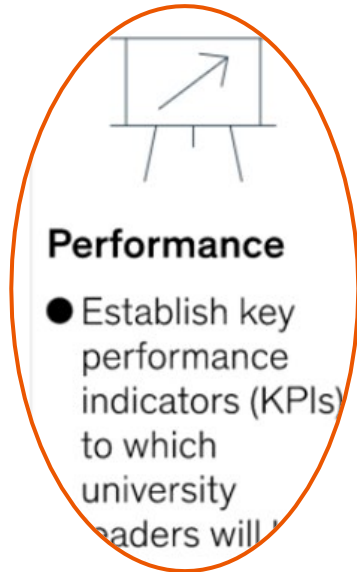
Processes

Expectations

Monitoring

At both the individual and unit level

Managing Information When You lack RIM Support

Why bother?

"WE USED TO TIPTOE THROUGH THE TULIPS...NOW WE JUST WADDLE THROUGH THE WEEDS!"

CartoonStock.com

Separate information of value from noise

↑ Findability = ↑Productivity

Insight to business practice associated with RIM

Create a foundation in building a RIM program

Identify what to automate = high volume/ value information type

You can't manage what you don't know

How-to

Establish Key Business Practices

Remove Transitory

Organize

STEP 2

STEP 4

STEP 6

REPEAT

STEP 1

STEP 3

STEP 5

STEP 7

Establish a Project

Generate an Inventory

Set Up Platform

Close
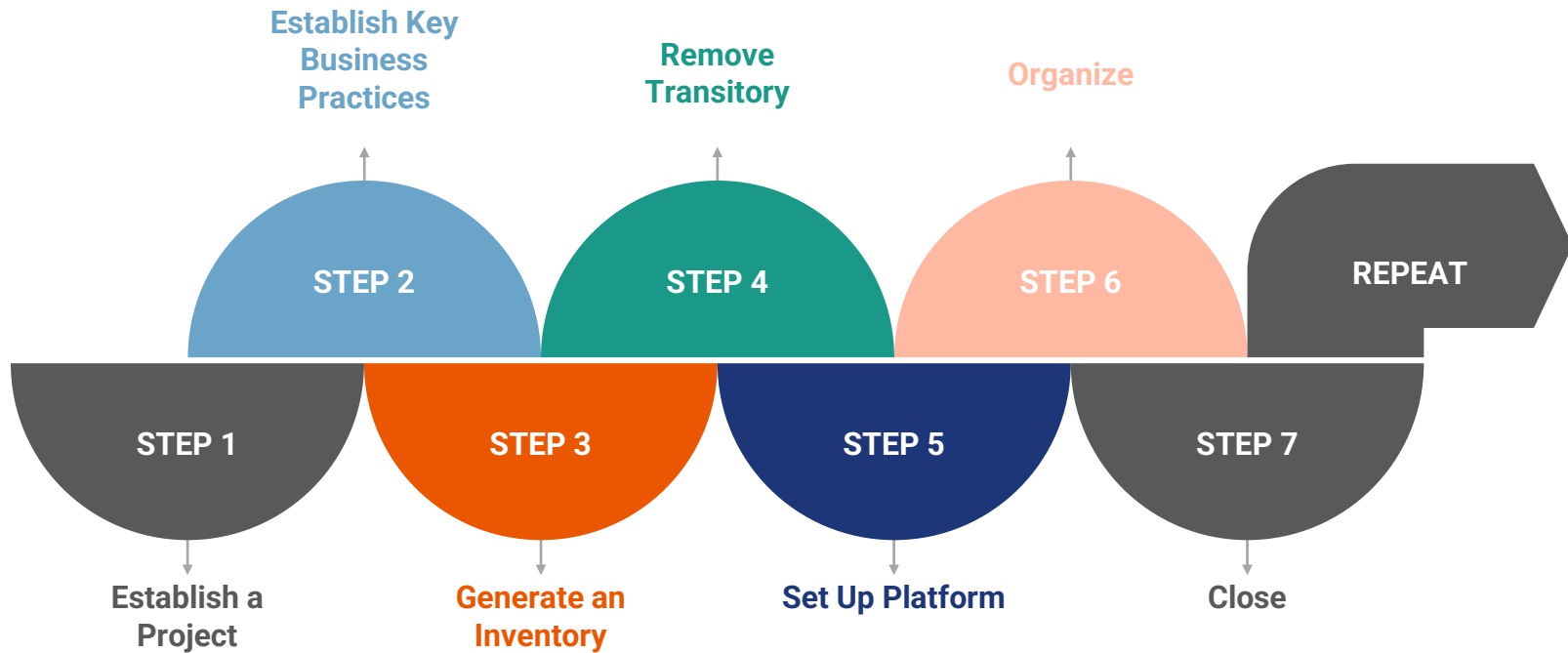
Step 1. Establish a Project 💼

- Purpose
- Roles & responsibilities
- Senior management support
- Stakeholders
- Limit scope! *And define out of scope*

- Constraints and risks
- Timeline
- Change management
- Resource requirements

Step 2. Examples of Business Rules 🗒

Document management: file naming conventions, metadata guidance

Review process to separate current and expired information

Repository ownership & use: what to store and where?

Access permissions to manage who to allow CRUD (Create, Read, Update, Delete)

Monitoring and measuring mechanism – regular auditing process

Example: Repository Ownership and Use

Repository	Type	Use	Content Owner	Contact Person
Shared Drive	Various	Expired/archived content required to keep as per the AHS Retention Schedule or the NS business requirement	*Insert business and manager responsible*	*Insert name*
Intranet	Org-wide Publishing	Published governance information for access by University staff and those with University network access	*Insert business and manager responsible*	*Insert name*
Personal drive / One drive	Personal	For transitory or temporary information only. For personal use	*Insert business and manager responsible*	*Insert name*
MS Teams	Collaboration	Project collaboration and documentation	*Insert business and manager responsible*	*Insert name*

May need to perform a high-level repository inventory to define repository use

Step 3. Generate an inventory

SharePoint

- **Export as Excel List** feature from Document Library
- Ask IT to generate the list using PowerShell
- Use Third-party tool

Shared Drive

- Ask IT to generate the list using Command Prompt or other means

```
Command Prompt

Microsoft Windows [Version 10.0.19042.1826]
(c) Microsoft Corporation. All rights reserved.

H:\>
H:\>Cd backup

H:\Backup>dir /s > Directory_Inventory_2020-1116.t
```

Step 4. Remove Transitory 🗑

- Refer to your organization's definition of "transitory"
- Depending on policy, may need to "set aside" rather than to delete
- For Shared Drive, create a "Delete" or transitory folder instead of deleting files right away

- Take 15 minutes once a week to delete transitory records
- Once a project is complete, go through transitory records and delete.

Step 5.
Setup Platform

	SHAREPOINT	SHARED DRIVE
Access & permissions	Who approves the key changes Who can make the changes Who can access, Who controls access	
Information architecture	Site and folder hierarchy Limit to 3,4 layers where possible	
File name	File name guideline for consistency	
	File name/path character limit	
Metadata	Limit metadata sets Minimize folder use	
Single source of truth	Use quick links to avoid duplication	Use shortcuts to avoid duplication
Others	Homepage design Document library views Version control	Create transitory folder

Example File Structure

AD	ADMINISTRATION	FI	FINANCE	GO	GOVERNANCE	HR	HUMAN RE...
AD01	Administration - General	FI01	Finance - General	GO01	Governance - General	HR01	Human Res...
AD02	Administrative Committees	FI02	Accounts Payable	GO02	Board of Governors - General	HR02	Agreement...
AD03	Administrative Contracts	FI03	Audits	GO03	Board of Governors - Committees	HR03	Appeals/Co...
AD04	Association/Societies	FI04	Budgets	GO04	General Faculties Council - General	HR04	Benefits
AD05	Board/Agencies/Policy Issues	FI05	Enrollment Management			HR05	Employee F...
AD06	External Institutions	FI06	Financial Reports	GO05	General Faculties Council - Committees	HR06	Evaluation
AD07	Internal Organizations	FI07	Funds			HR07	Position De...
AD08	Meetings	FI08	Performance Indicators	GO06	Selection Committees	HR08	Programs a...
AD09	Office Equipment & Supplies	FI09	Revenue	GO07	Senate	HR09	Training & I...
AD10	University Policy Issues	FI10	Space	GO08	Strategic Planning		
AD11	Travel	FI11	Tuition & Other Fees	GO09	Acts & Regulations		
AD12	Support Units			GO10	Agreements		
AD14	Boards/Agencies/Policy Issues - Provincial			GO11	Training, Development, Orientation		
AD15	Boards/Agencies/Policy Issues - Federal						
AD16	University Governance						

IM	INFORMATION MANAGEMENT	PA	PROGRAMS – ACADEMIC	PR	PUBLIC RELATIONS	SA	STUDENT
IM01	Information Management - General	PA01	Programs - General	PR01	Public Relations - General	SA01	Student Aff...
IM02	Computer Systems	PA02	Access Programs	PR02	Ceremonies/Special Events	SA02	Awards/Sch...
IM03	Database Design & Development	PA03	Accreditations	PR03	External Events	SA03	Appeals/Co...
IM04	FOIPP	PA04	Alternative Delivery Programs	PR04	Publications	SA04	Orientation
IM05	Records Management	PA05	Combined Degree Programs	PR05	Visits/Tours/Trips	SA05	Recruitmen...
IM06	Other Organizations	PA06	Conditional Grants Programs	PR06	Fund Raising	SA06	Students' C...
		PA07	Cost Recovery Programs			SA07	Student Fin...
		PA08	ESL Programs			SA08	Student Se...
		PA09	Clinical/Practicum Placement			SA09	Surveys/Ev...
		PA10	Doctoral Programs				
		PA11	International Programs				

Step 6. Organize

Critical & "Active" information first

Correct file name, metadata

Content migration from one repository to another

Do not over-organize!

Keep record of changes in the inventory

Step 7. Close

Formally close the project

- Metrics reporting
- Acknowledge contributors
- Lessons learned
- Next steps and recommendations

Metrics reporting:

- ROT data (redundant, obsolete, trivial)
- Before and after: file organization, site storage

More Tips

Involving consultants

Change management

Infographics, job aids

Make people accountable

No file plan but paper inventory exists?

Ask your colleagues

Don't let the scope of a project get you down

Join ARMA

Key Points

Developing RIM

This is not a one time fix

You can't manage what you don't know

There are information management projects you can complete without a retention schedule and without spending $$

Grow your practice and foundational framework overtime, don't try to do them all.

Do some of these basic items presented today to demonstrate how you can bring value to the organization and help staff improve productivity

Use completed projects to help build your RIM program

Part 3. RIM Maturity

RIM Maturity in University Settings

INSTITUTION

COLLEGE / VP

PORTFOLIO / FACULTY

UNIT

Consider the following:

- Institutional systems
- Multiple instances of unit-based systems
- Unit-specific systems

- Systems, controls, or both?
- Develop, document, implement, test

Examples in University Settings

Electronic Document Management System exists but not adopted

RIM policy and retention exists but departments don't know how to apply it

Cross institutional records stored in multiple repositories

Inconsistent RIM practices across departments or faculties

Academics, faculties regard university records as as their own

RIM Maturity

A quality improvement tool

Examine current information practices

What are you doing well / what do you need to improve

Not an audit

1. Initial

2. Localized

3. Essential

4. Optimizing

5. Transformational

Sample RIM Maturity Questions

Information Access

1. Critical information is commingled with information of little value
2. Critical information is organized
3. Critical information is easy to find with right access
4. All type of information is easy to find with right access
5. Information you need is readily available when you need it, minimum search

RIM Maturity

1. Initial

Ad hoc Inconsistent

Little or no awareness

2. Localized

Repeatable but localized processes

Reactive

Growing awareness

Sporadically documented practices

3. Essential

Key processes org-wide

Basic RIM compliance requirements met

Critical content well managed

Basic RIM training

4. Optimizing

Proactively review RIM challenges

Connected to organizational strategy

Measured and controlled

Organization-wide adoption

5. Transformational

Continuous improvement is norm

Simplicity/automation with advanced technology

Informs organizational strategy

Creating a RIM Maturity Assessment for your University Department

Use survey or forms tool

Make it 15 min or less to complete

Can Combine with interviews

Identify roles/teams to complete the assessment

Implementing Generally Accepted Recordkeeping Principles®

ARMA International

RIM Maturity Assessment Score

Example

Area	1. Initial	2. Localized	3. Essential	5. Optimizing	6. Transformational
Information access & sharing			3.1		
Single Source of Truth		2.5			
Format		2.8			
Content lifecycle	1.5				
Training & support	1.5				
Compliance		2.3			
Process		2.6			
Technology	1.7				
Accountability		2.1			
RIM Program	1.7				
RIM Strategy		2.0			

Overall score: 2 – Localized

Key Points

RIM Maturity

Create a RIM Maturity to assess where your RIM program is today

Understand different units may be at different RIM maturity level

And identify where to take the RIM program in 3 or 5 years

Keep the assessment simple

Combine with interviews

Part 4. Discussion

20 minutes

Group Discussion

15 minutes

What is one takeaway so far?

What will you do differently this year?

Next

20 minutes

Submit a question to presenters - 5 min

Break - 15 min

Part 5. Follow Up

20 minutes

Part 6. Getting to Information Governance

MANAGEMENT	GOVERNANCE
Tactics	Strategy
Operationalize policies	High-level planning
Execution	Policy

RECORDS MANAGEMENT	INFORMATION GOVERNANCE
Tactical execution of said planning, policy and coordination	Strategy, policy, and cross-disciplinary coordination of information
Primary focus on compliance	Mitigate risks

Information governance is the overarching and coordinating strategy for all organizational information.

It establishes the authorities, supports, processes, capabilities, structures, and infrastructure to enable information to be a useful asset and reduced liability to an organization, based on that organization's specific business requirements and risk tolerance.

5 Signals You Need Information Governance

1. Siloed approach to information and data management

2. Focus on information compliance only, productivity or business value ignored

3. No ROI for information-related investments (tools, human resources)

4. No connection to strategy / no strategic approach

5. Decision-making based on hunch rather than evidence-based (data-driven)

FACILITATES ENVIRONMENT FOR INFORMATION CONSUMPTION

CREATES & USES INFORMATION

Records Management

Compliance

Data Management

Archiving

Business Groups

Information Technology

Privacy

Security

Legal

Where Do I Start?

Your team can initiate IG!

Relationship building

Identify common challenges and goals

Pay attention to Board and leadership's information challenges

Create a business case for IG - use RIM projects to show the value

Document successes - "It used to take 45 minutes to find something, now it only takes 15 minutes"

Senior sponsorship

Come together and create a IG Framework and roadmap

IG Policy Framework

To establish goals, requirements and accountabilities of information throughout its lifecycle

- Roles and accountabilities (interdisciplinary)
- Benefits of IG
- Goals and outcomes of IG
- Alignment to the University strategy

Example: IG Policy Framework elements

Purpose

For University Governance team and stakeholders to access the right information at the right time to enable the university to operate effectively and efficiently, and to meets its mission and goals.

Goal

To have University Governance information that is:

- accessible
- useable
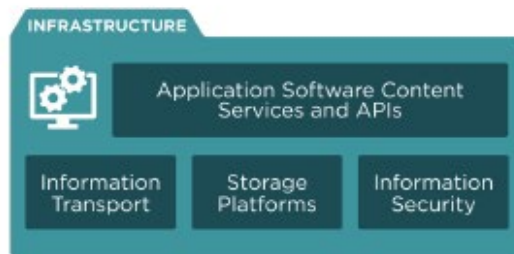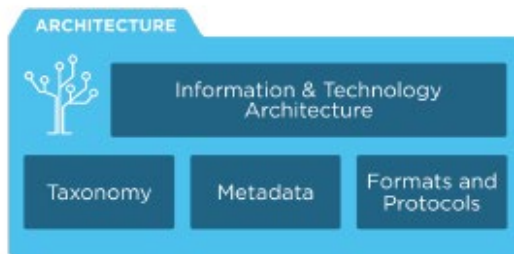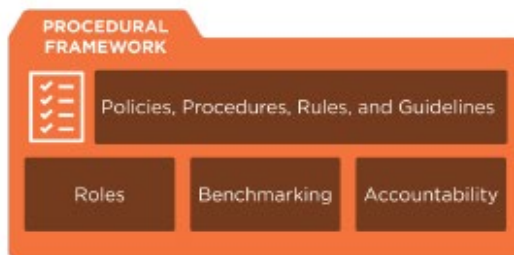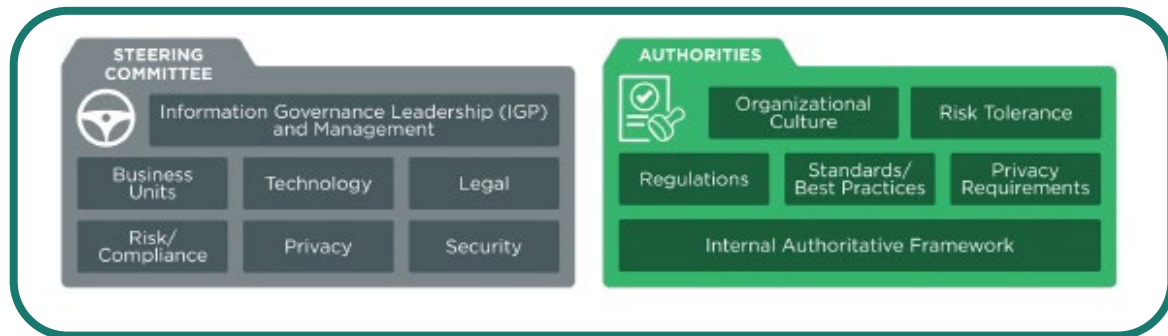- reduced
- protected
- compliant

Information Governance Implementation Model

Source: https://www.arma.org/page/igim

ARMA
INFORMATION GOVERNANCE IMPLEMENTATION MODEL
v2.0 | arma.org/igim

STEERING COMMITTEE
Information Governance Leadership (IGP) and Management
- Business Units
- Technology
- Legal
- Risk/Compliance
- Privacy
- Security

AUTHORITIES
- Organizational Culture
- Risk Tolerance
- Regulations
- Standards/Best Practices
- Privacy Requirements
- Internal Authoritative Framework

SUPPORTS
- Project Management
- Communications
- Help Desk / FAQs
- Organizational Learning & Training

PROCEDURAL FRAMEWORK
Policies, Procedures, Rules, and Guidelines
- Roles
- Benchmarking
- Accountability

CAPABILITIES
- Information Access
- Protection
- Privacy
- Search

INFORMATION LIFECYCLE
- Capture
- Collaboration
- Version Control
- Retention
- Disposition
- Legal Holds and eDiscovery

ARCHITECTURE
Information & Technology Architecture
- Taxonomy
- Metadata
- Formats and Protocols

INFRASTRUCTURE
Application Software Content Services and APIs
- Information Transport
- Storage Platforms
- Information Security

Key Points

Getting to Information
Governance

1. Information Governance can be your strategic pathway for the Board and leadership to pay attention to how University Governance collects and manages information

2. You don't need $$ up front to start investing in IG

3. IG is an interdisciplinary approach to dealing with University records, data, etc.

4. RIM can be foundations to pursue IG

5. Don't confuse IG with RIM

Thank you!

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