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

Ellie Kim

ARMA International

Alberta Health Services



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University of Alberta

Executive Office Information Management Lead



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

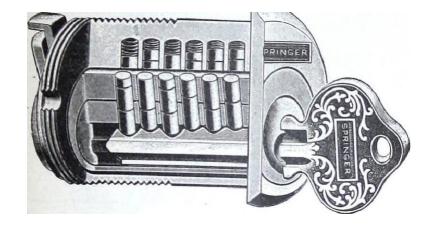


Part 1: RIM Awareness

Operations and Obligations

Records & University Governance

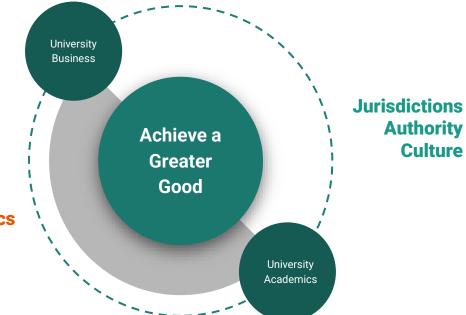
Managing University Records



University Governance

Processes and practices to achieve a mandate

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

 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

McKinsey & Company **Records Management**

Managing evidence of business decisions

Records Management & Operational Effectiveness

Ingredients for effective University Governance

Trust

Shared Sense of Purpose

Understanding Issues at Hand

Adaptability

Productivity

Reliable historical records Controlled sharing of information Timely access to information Flexibility in approach Reduced duplication

Records Management Considerations

Stakeholders, ie. who wants to know

Operational Units & Councils

Employees & Students

Government

Public Citizens

Support Networks, ie. who can help

PRIVACY

ARCHIVES

RECORDS

INFORMATION SECURITY

PARDS

Privacy | Archives | Records | Information Security



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 you do to manage records?

Information / Records Lifecycle



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?



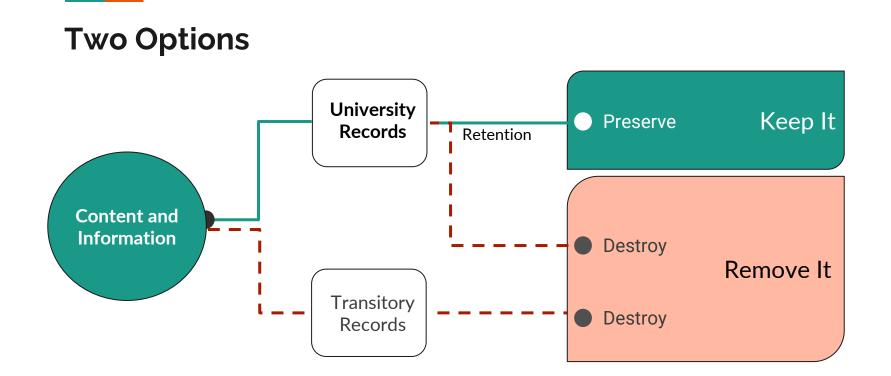
Records Management

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



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

This application allows you to search for arc

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.

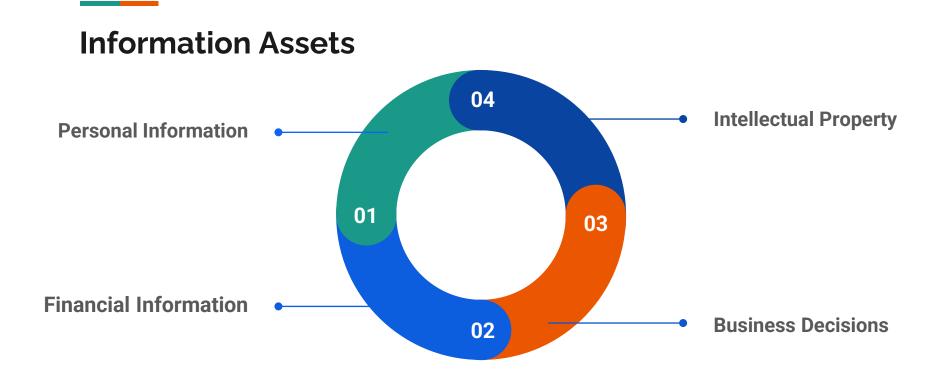
Course Calendars (1909-1967)

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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"I thought the system was secure"



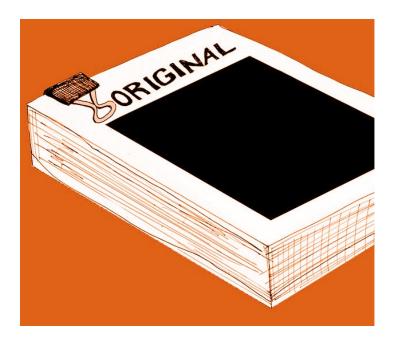
Systems = Technology + Process + People

Protection:

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

Privacy & Information Access

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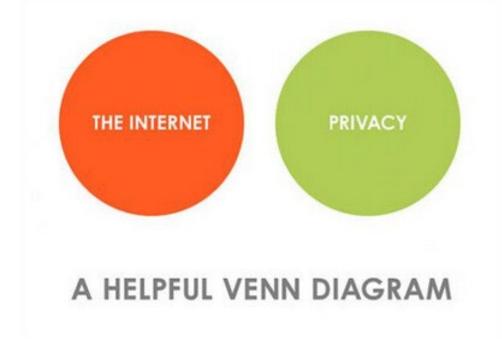
Privacy & Information Access

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)



Key Points

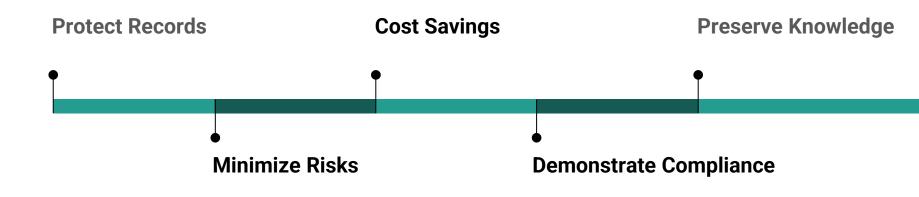
RIM Awareness

- 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



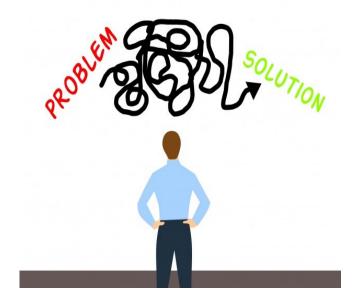
Be Specific

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"

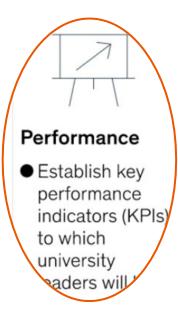
Recordkeeping

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



Processes

Expectations

Monitoring

At both the individual and unit level





Managing Information When You lack RIM Support

Why bother?



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** Remove **Business** Organize Transitory **Practices** REPEAT **STEP 4 STEP 2** STEP 1 **STEP 3** STEP 5 STEP 7 Set Up Platform Establish a Generate an Close Project Inventory

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	Туре	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	Collaborati on	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

• **X** 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 AD02 AD03 AD04 AD05 AD06 AD07 AD08 AD09 AD10 AD11 AD12 AD14 AD15 AD16	Administration - General Administrative Committees Administrative Contracts Association/Societies Board/Agencies/Policy Issues External Institutions Internal Organizations Meetings Office Equipment & Supplies University Policy Issues Travel Support Units Boards/Agencies/Policy Issues - Provincial Boards/Agencies/Policy Issues - Federal University Governance	FI01 FI02 FI03 FI04 FI05 FI06 FI07 FI08 FI07 FI10 FI11	Finance - General Accounts Payable Audits Budgets Enrollment Management Financial Reports Funds Performance Indicators Revenue Space Tuition & Other Fees	GO01 GO02 GO03 GO04 GO05 GO06 GO07 GO08 GO09 GO10 GO11	Governance - General Board of Governors - General Board of Governors - Committees General Faculties Council - General General Faculties Council - Committees Selection Committees Senate Strategic Planning Acts & Regulations Agreements Training, Development, Orientation	HR01 HR02 HR03 HR04 HR05 HR06 HR07 HR08 HR09	Human Res Agreement: Appeals/Cc Benefits Employee F Evaluation Position De Programs e Training & I
IM	INFORMATION MANAGEMENT	PA	PROGRAMS – ACADEMIC	PR	PUBLIC RELATIONS	SA	STUDENT
IM01 IM02 IM03 IM04 IM05 IM06	Information Management - General Computer Systems Database Design & Development FOIPP Records Management Other Organizations	PA01 PA02 PA03 PA04 PA05 PA06 PA07 PA08 PA09 PA10 PA11	Programs - General Access Programs Accreditations Alternative Delivery Programs Combined Degree Programs Conditional Grants Programs Cost Recovery Programs ESL Programs Clinical/Practicum Placement Doctoral Programs International Programs	PR01 PR02 PR03 PR04 PR05 PR06	Public Relations - General Ceremonies/Special Events External Events Publications Visits/Tours/Trips Fund Raising	SA01 SA02 SA03 SA04 SA05 SA06 SA07 SA08 SA09	Student Aff Awards/Scl Appeals/Cc Orientation Recruitmen Students' C Student Fin Student Se Surveys/Ev

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 \$\$

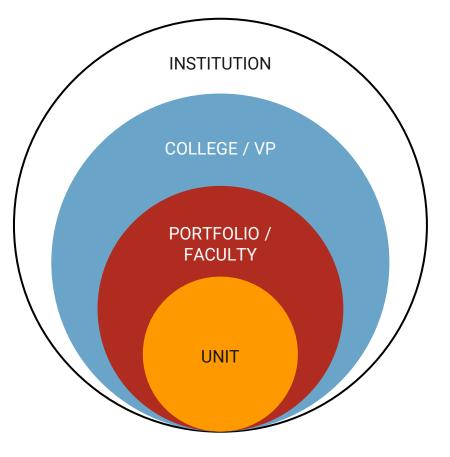
Grow your practice and foundational framework overtime, don't try to do them all.

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



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



Sample RIM Maturity Questions



Ad-hoc, undocumented



Some are documented but localized



Documented for the organization and adopted



Are monitored and audited



Continued improvements and automation

Information Access

Select one.

- Critical information is commingled with information of little value
 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
- 5 li
- access 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

nowing a watchess

Sporadically documented

practices

3.

Key processes orgwide

Basic RIM compliance requirements met

Critical content well managed

Basic RIMtraining

4. Optimizing

Proactively review RIMchallenges Connected to

organizational strategy

Measured and controlled

Organization-wide adoption

5. Transformational

Continuous improvement is norm

Simplicity/automati on 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 Accepte** Recordkeeping **Principles**[®]

ARMA International

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	Information Governanc	e Maturity Mod	el		
	The Principle	LEVEL 1 (Substandard)		LEVEL 2 (In Development)	
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LEVEL 3 (Essential)	LEVEL 4 (Proactive)	LEV'EL 5 (Transformational)			
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There is a bed practice for where and how information accels an stored, protected, and made available. There are clearly defined policies for handling information accels.	Information generance policies have been clearly communicated to all employees and other parties. All employees motive corpoing, documanized training about how and where is othere information.	The serier management and beard provide support to continually upgode processes that affect information assat antibility.			

Need to change image

RIM Maturity Assessment Score

Example

Area	1. Initial	2. Localized	3. Essential	5. Optimizing	6. Transform ational
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

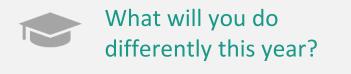
20 minutes

Group Discussion



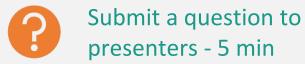
What is one takeaway so far?

15 minutes



Next

20 minutes





Part 5. Follow Up

20 minutes

Part 6. Getting to Information Governance

MANAGEMENT

Tactics

Operationalize policies

Execution

GOVERNANCE Strategy High-level planning Policy

RECORDS MANAGEMENT

Tactical execution of said planning, policy and coordination Primary focus on compliance INFORMATION GOVERNANCE Strategy, policy, and crossdisciplinary coordination of information Mitigate risks

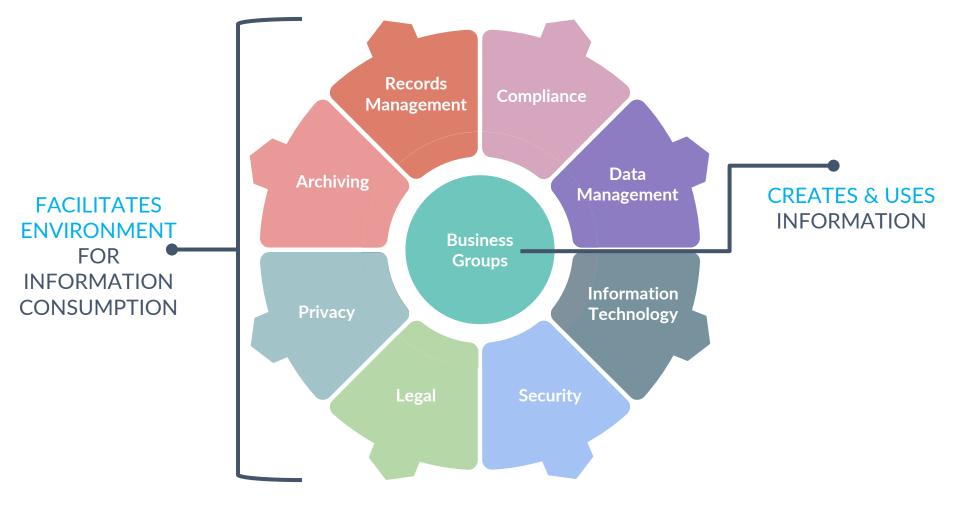
Information governance is the overarching and coordinating strategy for all organizational information.

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.

ARMA Guide to the Information Profession

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)



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

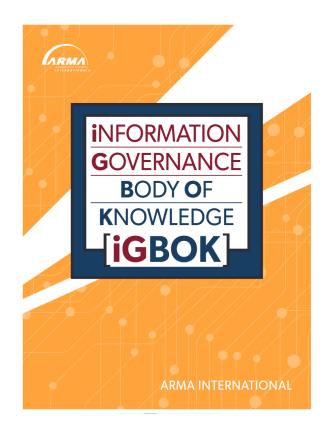
Example: IG Policy Framework elements

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:

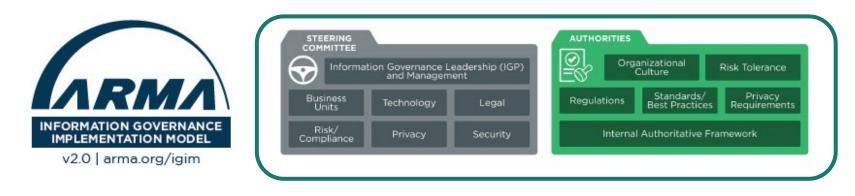
- accessible
- useable
- reduced
- protected
- compliant



Information Governance Implementation Model

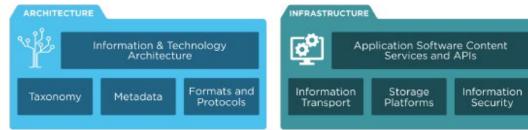


Source: https://www.arma.org/page/igim









Key Points

Getting to Information Governance

- 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
- 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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