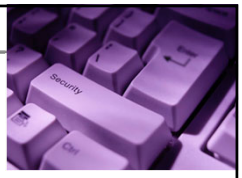
Establishing Organizational Governance

April 26, 2022

Agenda



1. Introduction
2. RIM and Information Governance
3. Organizational Governance
4. Policy
5. Change Management

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Does This Sound Like Your RIM Program?

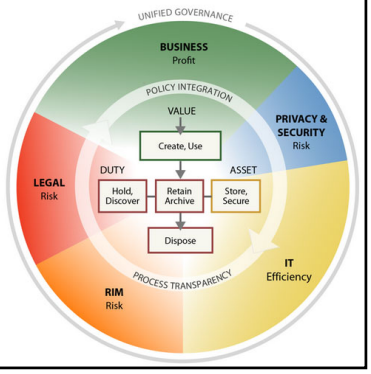
- Records Management = Boxes of inactive, paper records
- Work with Records Coordinators to identify paper records and box up departmental records for offsite storage
- Limited or no disposition activity
- Policy does not address electronic records
- Departmental-based Retention Schedule
- The retention of IT systems and electronic records are not being addressed
- You are trying to push a rope up a hill?

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The Information Governance Reference Model

A holistic approach

http://www.edrm.net/projects/igrm



The RIM/IG Evolution

- RIM is part of a larger Information Governance picture
- To be successful, RIM needs to "Partner for Success"
  - Legal/Risk/Compliance
  - IT
  - Finance/Accounting/HR
  - Privacy/Security
  - Line of Business Stakeholders
- Involves enterprise wide process and technology changes
- Includes Information Lifecycle Management (ILM)



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Why RIM?



- Reduce information related risk
  - Risk of retaining records too long
  - Risk of not retaining records long enough
- Reduce cost/time responding to discovery requests
- Improve employee productivity and satisfaction
  - Reduce time associated with finding and managing business information
- Reduce cost of storing and maintaining information
- Protect and preserve vital records
- Address Privacy and Security initiatives

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Example RIM Program Roadmap

First Step in Building a RIM Program!

Business Readiness

- ✓ Organizational Governance
- ✓ Update Policy and Retention Schedule for Records & ILM
- ✓ Records Inventories
- ✓ RIM Website – one-stop-shop
- ✓ Training and Communication plan
- ✓ Legal Hold Procedures
- ✓ Update Department Liaison Directory

Implementation

- Pilot ECRM
- Implement ECRM
  - Phased rollout
  - Enterprise rollout
- Change Management
  - Communication
  - Training
  - Developing Support
  - Coaching

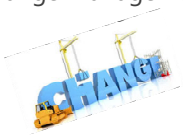
Sustainability

- Measuring & Reporting
- Auditing for Compliance
- Ongoing Training & Support
- Address changes in organization or technology

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Organizational Change

- Organizational Governance
- Project Management
- Policy & Procedures
- Change Management





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Organizational Governance

- Mechanisms that organizations use to influence its members to contribute to or align with organizational goals and objectives.
- Organizational Governance is needed, in order to:
  - Make Decisions and Get/Give Approvals
  - Create Authority
  - Empower Members to Change "give permission"

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Establishing Organizational Governance

- Governance Charter
- Defined Roles and Responsibilities
  - Leadership Roles
  - Supporting and Specialist Roles
  - Technical Roles
- Align with or leverage existing organizational structures
  - Information Governance, IT Infrastructure and Support
  - Privacy & Security
  - Document Management & Content Management
  - Risk Management, Compliance & Audit



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Governance Charter

- Authority – grants authority to the program and roles
- Vision – define vision of program
- Standards – guiding principles (lifecycle management)
- Scope
  - Unstructured, structured, electronic communications, physical
  - Where is the program headed (Desired Future State)
- Program Approach – projects and strategies
- Governance Structure – formalizes roles & responsibilities
- Roadmap – how to get there and how long
- Change Management – communication, training, sponsorship

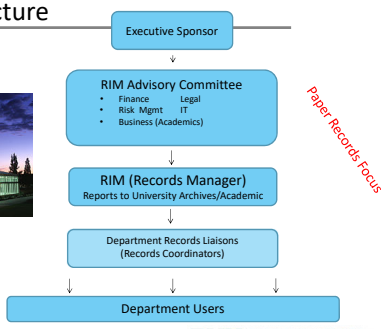
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BYU Governance Structure

19 colleges/divisions
Approx. 400 Departments/Units
Approx. 5000 Full-Time Employees







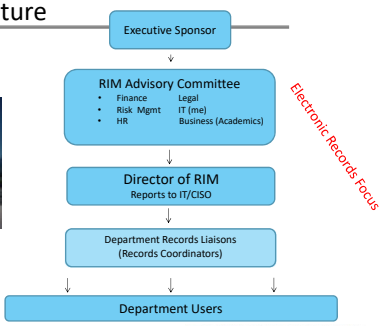
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BYU Governance Structure

Phase 2 – Electronic Records







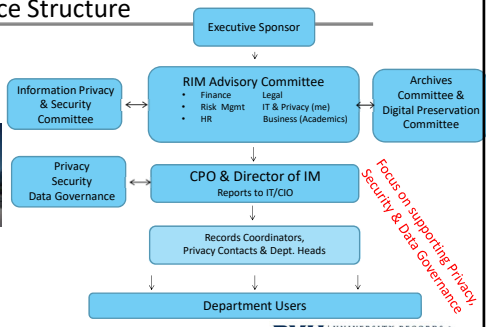
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BYU Governance Structure

Phase 3 - Privacy

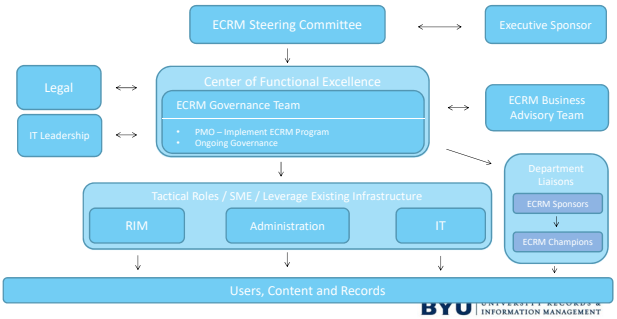






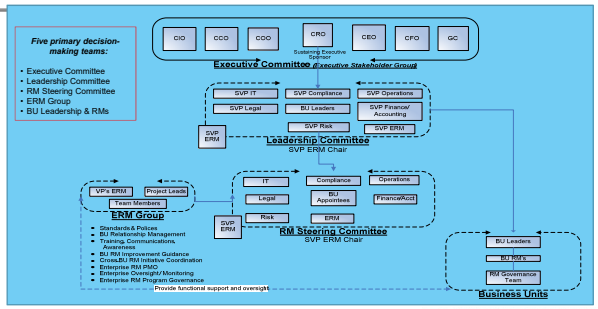
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Another Example Governance Structure



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Example Governance Structure



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Where to Report?

- Legal
- Compliance
- Library/Archives
- Finance/Accounting/Administration
- IT

Key – where you can obtain the most support!

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Roles and Responsibilities

- Executive Sponsor
- RIM Advisory Committee and/or Steering Committee
- Records & Information Management (RIM)
- Records Coordinator Network
- Employee Supervisors (Department Head)
- Employees

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Roles and Responsibility

- Executive Leadership Group
- Advisory Committee
- Records Management
- Records Coordinators

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Records Management Committee

1. Ensure RIM program is robust enough to meet overall goals and objectives of the organization
2. Recommend and approve overall RIM strategy, vision and policy for the creation, gathering, maintenance, retirement, preservation and final disposition of paper and electronic records
3. Determine role of compliance, legal, audit, technology and departments within RIM program
4. Recommend business unit/department responsibilities, performance expectations, and accountability standards for RIM
5. Approve changes to RIM policy and Retention Schedule
6. Set direction and provide support for activities of RIM Liaisons
7. Ensure RIM program is aligned with overall university risk management strategy

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Records and Information Management (RIM)

1. Oversee policies and procedures to direct the Record Management activities to ensure they align with overall goals of the organization
2. Provide training and expertise to departments
3. Identify and integrate regulatory or legal requirements that impact the Record Management program
4. Provide Records Management guidance to Information Technology for projects or system changes that impact the storage of records
5. Oversee educational content for Record Management website
6. Manage the organization's records retention and disposition process

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Department Heads

- Identify Records Coordinator for department or working group
- Formalize and Support Records Coordinator role in their department
- Communicate to department employees about the importance of the RIM program
- Review training activity reports for their department

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Records Coordinator Network

1. Oversee department efforts to adhere to approved records retention, archive and disposition strategy
2. Respond to management and employee inquiries and questions within department
3. Develop and maintain department records inventory and action plans
4. Review and approve listings of records that are eligible for destruction
5. Ensure department compliance with the university records management policy (work with the department employees & leaders)
6. Provide reporting on department records management activities
7. Support departmental compliance with orders to suspend records destruction due to legal holds

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Project Management

- Responsibility of project is assigned to a Project Manager:
  - Coordinates the activities of project team members
  - Sets priorities, as defined by the project plan
  - Keeps everyone focused on the task at hand
  - Works with management to acquire resources as needed
  - Keeps the project on time and on budget

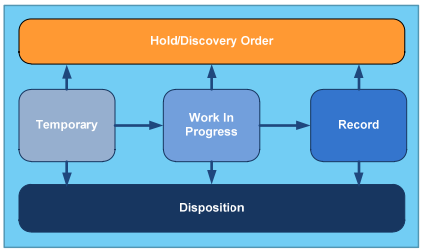
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RIM Policy

- Policies take time to approve
- Keep it high-level and keep it short (1 page)
- Policy should address key areas:
  - Electronic Records
  - Retention Schedule
  - Records Disposition (Archival/Destruction)
  - Records vs Non-records (Business Information)
  - Information Lifecycle Management (ILM)
  - Legal Hold
- Keep procedural items out of the eRIM Policy – bake them into department procedures

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Information Lifecycle Management



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Example Policy and Charter



Information and Records Retention Policy

Records refer to information in any format, whether paper or electronic, that is created or received by university personnel or third parties and is necessary to conduct university business, whether related to operations, research, legal, regulatory, or other similar purposes.

Retention of university records is coordinated by University Records and Information Management, which is the campus department that prepares the university's General Retention Schedule (GRS) and maintains university records submitted in paper or electronically by campus departments. University Archives is the separate campus department responsible for maintaining, for research purposes, those university records that have historical and continuing value and that are not highly confidential. (See University Archives Policy.)

Information and Records Retention, Archival, and Disposal

The GRS is a comprehensive list of multiple records categories that identifies university record types and the time period those records must be retained to comply with legal or regulatory requirements, or for business or historic needs.

Retention—Each university employee is responsible to retain records according to the GRS as it relates to his or her area of control. Records may be retained by the department in which the record originated or by University Records and Information Management. Each university employee should notify University Records and Information Management if a category of university records is missing from or not appropriately listed in the GRS.

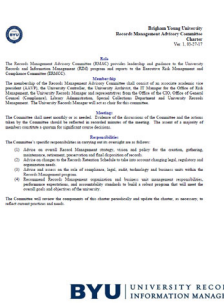
Access—All records containing privileged, confidential, legally protected, or proprietary information must be securely maintained to prevent unauthorized access (e.g., employment records, health records, student records, financial records, payroll records, legal records).

Disposal—Records of the university should be disposed of in an appropriate manner according to the GRS, either by the department or by University Records and Information Management.

Archival—Department records may be sent to University Records and Information Management (where they are managed for the duration of their respective retention periods. Records of historical and continuing value that are not classified as highly confidential are then transferred to University Archives to be available for research according to the University Archives Policy and related procedures.

Confidentiality

All university records are classified as confidential unless otherwise designated by the department in which the record originated. Departments may designate records as highly confidential. If designated as highly confidential, a record may not be transferred to University



Brigham Young University
Records Management Advisory Committee
Charter
Ver. 1. 20171117

Role

The Records Management Advisory Committee (RMAC) provides leadership and guidance to the University Records and Information Management (RIM) program and reports to the Executive Risk Management and Compliance Committee (ERMCC).

Membership

The membership of the Records Management Advisory Committee shall consist of an executive academic vice president (AAVP), the University Controller, the University Architect, the IT Manager for the Office of Risk Management, the University Records Manager and representatives from the Office of the CIO, Office of General Counsel, Internal Audit, Risk Management, Information Security, Research Compliance, and University Records Management. The University Records Manager will serve a chair for the committee.

Meetings

The Committee shall meet monthly or as needed. Evidence of the discussions of the Committee and the actions taken by the Committee should be reflected in recorded minutes of the meeting. The assent of a majority of members constitutes a quorum for significant course decisions.

Responsibilities

The Committee's specific responsibilities in carrying out its oversight role as follows:

(1) Advise on overall Record Management strategy, vision and policy for the creation, gathering, maintenance, protection, and disposition of University records.
(2) Advise on changes to the Records Retention Schedules to take into account changing legal, regulatory and organizational needs.
(3) Provide guidance on the role of compliance, legal, audit, technology and business units within the Records Management program.
(4) Recommend Records Management organization and business unit management responsibilities, including establishing performance and accountability standards to build a robust programs that will meet the overall goal and objectives of the university.

The Committee will review the components of this charter periodically and update the charter, as necessary, to reflect current practices and needs.

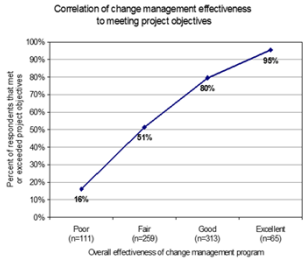
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Change Management

- Acquire executive level sponsorship
- Communications
  - Executive sponsor to communicate importance of change to supervisors and employees
  - eRIM communicates to supervisors and users
- Coaching
  - eRIM provides training to supervisors – educate supervisors on their role
- Training & Education
  - Road show
  - In person and online modules

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Change Management Effectiveness



© Prosci. From Prosci's 2009 Best Practices in Change Management benchmarking report

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#1 Success Factor

- Have an Executive Sponsor
- Participation in RIM Program
  - Funding
  - Communicate with organization
  - Obtain support from stakeholders

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Communication Plan

- Have an Executive Sponsor
- Participation in RIM Program
  - Funding
  - Communicate with organization
  - Obtain support from stakeholders

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Communication Plan

- An initial Communication Plan to address project communication will be developed to identify stakeholders and their communication requirements including key messages, communication vehicles, frequency, and other information.
- Communication consisting of scripted emails, announcements, slide decks, and demos. "The Packet."
- The Communication Plan will be maintained and executed by the RIM Program.

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Communications

- Purpose:
  - Build awareness of program and its purpose
  - Coach leaders on their roles
- Types of Communication:
  - Executive Sponsor to organization
  - Executive Sponsor to department heads
  - RIM to department heads (coaching)
  - Department heads to department employees
- Make it easy for executive and department heads to communicate by sending "The Packet.

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Training Plan

- As governance and roles are defined, it is imperative that users are not only aware of the change, but understand and are equipped to respond to those changes.
- An initial training plan will be developed to identify training requirements, content and frequency for the various roles.

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Training

- Types of Training
  - In person
  - Online modules
  - Scheduled or as needed
  - Employee on-boarding training
  - Train support personnel first
- Does training activity need to demonstrate an organization's good faith effort to comply with policy and regulations?
  - How will training activity be tracked?
  - Will training activity be reported? To whom?

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Coaching

- Use Communication and Training to "Coach" department heads and supervisors in their role (this is often overlooked)

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Thank You/Questions

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