Managing Information As an Asset

University Records Office
Jay Jorgensen

PARIS
Privacy | Archives | Records | Information Security

HRHSE Leadership- Feb 25, 2022
Today’s Agenda

1. Current situation
2. Recommendation
3. Next Steps
About Us

University Records Office

Scope:

● Establish policy and strategy for the University of Alberta
● Support unit efforts to effectively manage and use records and information

Authority:

● University of Alberta Records Management Policy (UAPPOL)
● Freedom of Information and Protection of Privacy (FOIP) Legislation
Current Situation - Does this sound familiar?

External (and internal) expectations

An alumni/employee of the University of Alberta wants to...
Five people in our unit left last month …
We want to work remotely …
Our unit is moving to / merging with …
A FOIP request relating to X has been received …
Current Situation - It doesn’t have to be this way

2020 FOIP Requests, University of Calgary vs University of Alberta

Volume of Requests

- University of Calgary: 56
- University of Alberta: 50

Average Page Count per Request

- University of Calgary: 350
- University of Alberta: 3000
Will your information be an Asset or a Liability?

Two approaches for managing information

Managing information as a LIABILITY
- Duplication
- Silos
- Obsolete or incorrect
- Not known or understood
- Volume

Managing information as an ASSET
- Mitigate risk
- Improve business outcomes
- Enable growth and efficiency
- Context
Information as an Liability

That information be treated as an asset, not a liability

- Passive management of information
- Individualized processes
- Non Value Added Information
  - Heroic efforts, resource-intensive
  - Unpredictable and unsustainable
Information as an Asset

That information be treated as an asset, not a liability

Active Management of information

Consistent processes

Value Added Information

- Reduce frustration and time wasted
- Learn from our successes
URO: Examples of Services Provided

Informal questions/guidance:

- Office Transformation (eg. paper, electronic, access, sharing, protection)
- Policy interpretation, (eg. Official vs Transitory Records)
- Sensitive information & information protection
- Improving management of Google and Network Drive; process changes
- Records retention and destruction (paper, Google, Alfresco, others)

Formal initiatives:

- PARIS Assessment and Support Projects
We can work together

“There’s no help coming”
~ Anonymous

“The best time to plant a tree was 20 years ago. The second best time is now”
~ Traditional Proverb
1. Information is Accessible
Rules for describing, organizing and storing information are documented

2. Information is protected and managed
Management responsibilities for information have been documented
Permissions for accessing information have been documented

3. Information is Trusted
Departmental retention and disposition requirements have been documented (where required)
Institutional and departmental Retention Schedules are routinely applied to information

4. Information risk is clearly understood*
Information risk is documented and information is protected commensurate with its risk
Processes in place to routinely make information accessible to internal and external stakeholders

*Information Risk will not be assessed until the development, testing and preliminary roll out of the information security risk classification.
Level 1: Establish a Foundation
Where information is accessible

1.1 Describe

- Objective: Identify rules to describe or name information
- Examples: Naming conventions, date conventions
- Outcome: Areas are able to quickly locate relevant information through consistent descriptions

1.2 Organize

- Objective: Identify rules for organizing information
- Examples: Lists of categories, folders, taxonomies, ontologies, document types
- Outcome: Areas are able to easily and consistently protect, preserve, and destroy information

1.3 Store

- Objective: Identify reliable sources for storing information
- Example: All final meeting minutes are held in Team Drive, information in My Drive is transitory
- Outcome: Areas understand where to find up to date and reliable information, duplication of information is reduced
Level 2: Sustain the foundation
By protecting and managing information

2.1 Manage

Objective: Individuals have been designated by the Area to perform records-specific activities

Examples: Records Management Coordinator for Benefits, HR Data Steward

Outcome: Consistent and sustained actions and expectations in managing the Area’s records

2.2 Protect

Objective: The Area has processes to manage access to departmental information

Examples: Google groups, access request process, reviewing permissions

Outcome: Information is protected from loss, destruction, inappropriate access
**Level 3: Routine preservation or destruction improves trust in information**

<table>
<thead>
<tr>
<th>3.1 Retain</th>
<th>3.2 Disposition</th>
<th>3.3 Eliminate</th>
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</thead>
<tbody>
<tr>
<td><strong>Objective:</strong> Retention requirements have been documented</td>
<td><strong>Objective:</strong> Official Records are routinely disposed or transferred to University Archives</td>
<td><strong>Objective:</strong> Processes exist to eliminate transitory information (including redundant or duplicate information)</td>
</tr>
<tr>
<td>Examples: Payroll and benefits reconciliations are destroyed after 7 years</td>
<td>Examples: Payroll and benefit records that have met their retention are disposed of in April</td>
<td>Examples: Email are destroyed regularly and transitory records are eliminated from shared drives at the conclusion of a project</td>
</tr>
<tr>
<td>Outcome: Areas clearly understand which records must be destroyed, retained, or transferred to Archives</td>
<td>Outcome: Areas can demonstrate routine application of retention schedule to records</td>
<td>Outcome: Information is reliable and redundant information is removed</td>
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When should you start?

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Example PARIS Framework Engagement Approach

Pre-Engagement
- Engage leadership
- Define workload
- Communicate plan

Support and Assessment
- Workshop
- Documentation Review
- Opportunity identification

Post-Engagement
- Reporting
- Training
1. How will leaders and front line staff make time to work on this?

1. Who is championing this initiative?

1. How will we ensure these improvements are sustained and not abandoned?
Implement

1. Pick a Unit to initiate a Pilot

1. Develop a realistic long term plan for moving though the rest of the units
2. Have they attended PARIS training?
1. Is there a faculty goal for training (e.g. 10% of the Unit trained)?
   a. Institutional (PARIS) Training
   b. Internal Processes

1. How are you maintaining your scorecard and business processes

1. What about the rest of the portfolio
Engagement Approach - 1 minute

Try at least once (pilot), learn from each other
## Sustainment

For effective information management:

<table>
<thead>
<tr>
<th>PARIS Scorecard</th>
<th>Operational Plan</th>
<th>Portfolio Strategy</th>
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</thead>
<tbody>
<tr>
<td>Understand current information management situation</td>
<td>Identify and schedule targeted improvement initiatives</td>
<td>Rationalize and enable investment in information management practices</td>
</tr>
<tr>
<td>● Documentation</td>
<td>● Build or change</td>
<td>● Time</td>
</tr>
<tr>
<td>● Processes</td>
<td>● Improve</td>
<td>● Personnel</td>
</tr>
<tr>
<td>● Challenges</td>
<td>● Assess</td>
<td>● Expertise</td>
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<td></td>
<td>● Explore</td>
<td>● Finances</td>
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Let us help you

PARIS FRAMEWORK
University Records Office

https://www.ualberta.ca/university-records-office/index.html
Why Manage Records

Managing records demonstrates:

- Strong stewardship of University information in our control
- Institutional transparency
- Strength in decision making
- Openness and accountability to our stakeholders, internal and external

To ultimately enable excellence in scholarship, student services and administration
What help or guidance is available

The URO PARIS Framework: Process to develop, document, and implement records management rules for your unit

Especially useful / applicable to:

- New groups (reorganization, new responsibilities)
- New processes (handling or sharing new or sensitive subject matter)
- Large groups with many employees
- Changes to working structure (eg office to remote or hybrid)
Resources

PARIS Toolkit

- Naming Conventions
- Folder Structures
- Retention Schedules

PARIS Training

- Fundamental Training on Privacy, Archives, Records, and Information Security - available online through the LearnCentre
University Records Office

Work together, to *build* or *confirm* good information management practices

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