

# Managing Information As an Asset

University Records Office  
Jay Jorgensen



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

A student/employee of the University of Alberta wants to

Five people in our unit left last month ...

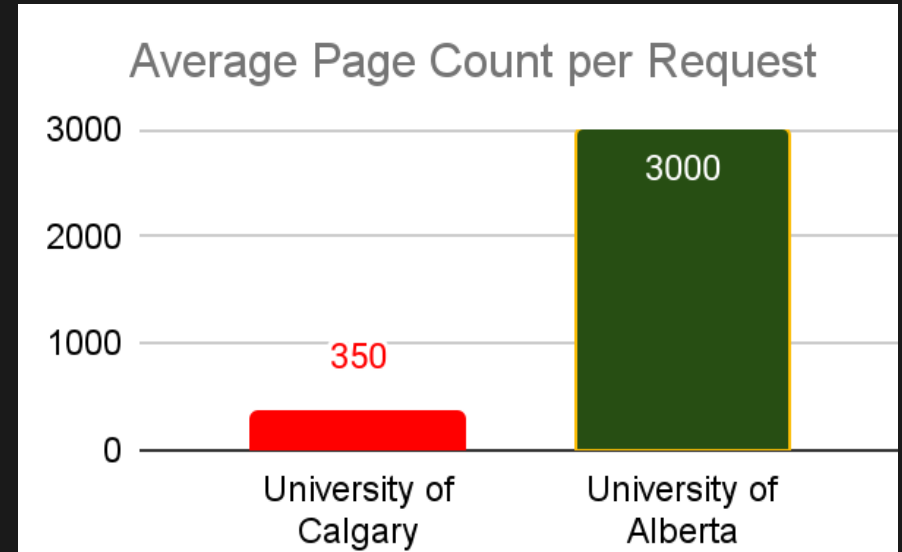
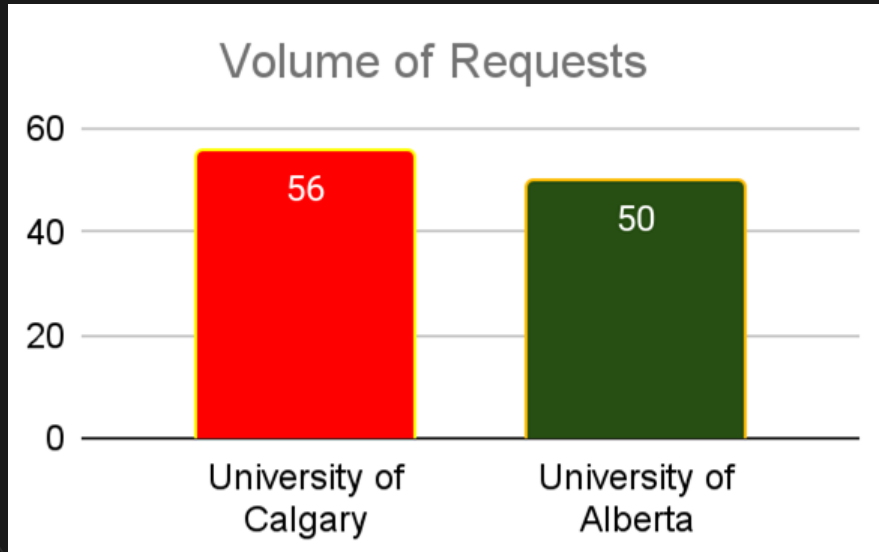
We want to work remotely ...

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



# 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**

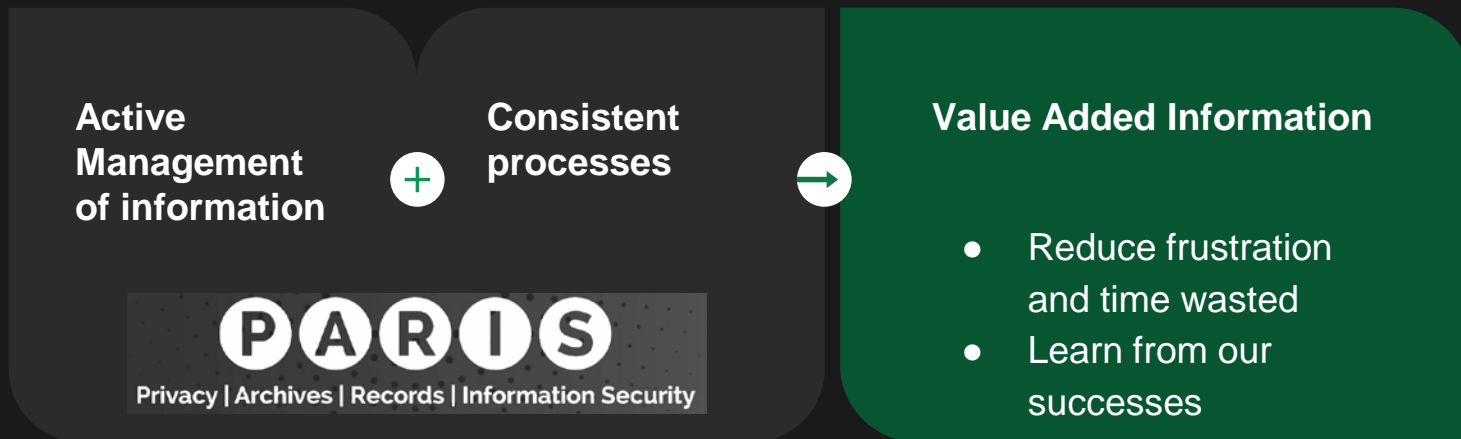


**Non Value Added  
Information**

- Heroic efforts,  
resource-intensive
- Unpredictable and  
unsustainable

# Information as an Asset

That information be treated as an asset, not a liability





# 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

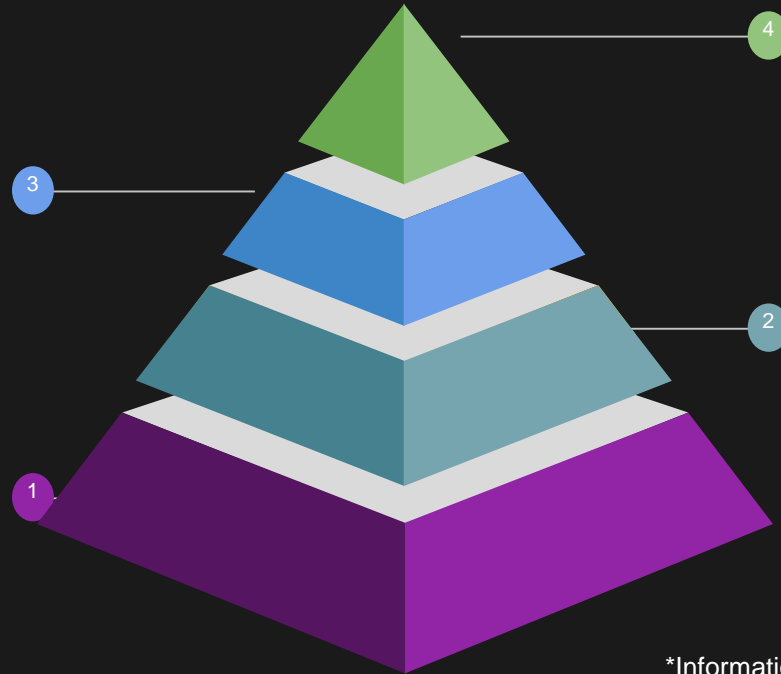
*“There’s no help coming”*

*~ Anonymous*

*“The best time to plant a tree was 20 years ago. The second best time is now”*

*~ Traditional Proverb*

# Information Maturity Model



## 1. Information is Accessible

Rules for describing, organizing and storing information are 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

## 2. Information is protected and managed

Management responsibilities for information have been documented

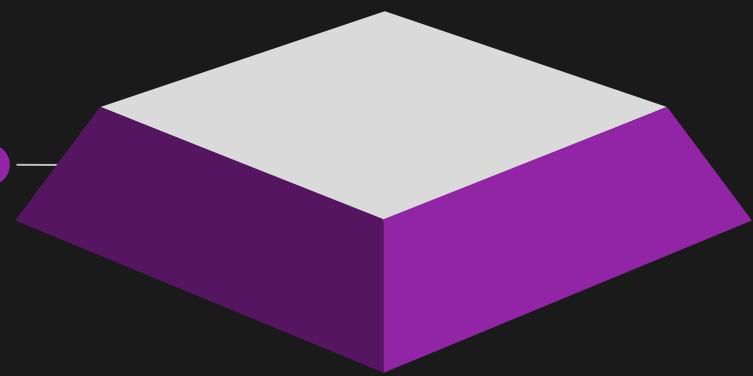
Permissions for accessing information have been documented

\*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



### 1.1 Describe

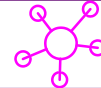


Objective: Identify rules to describe or name information

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 find, and consistently protect, preserve and destroy information

### 1.3 Store



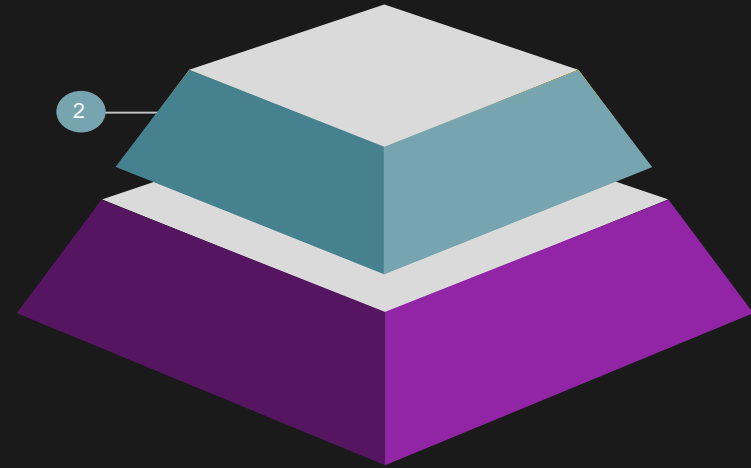
Objective: Identify reliable sources for storing information

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

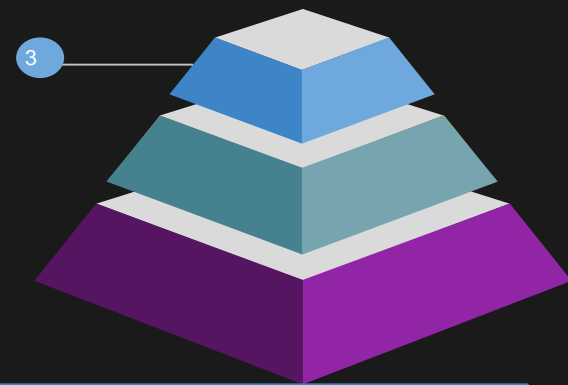


**Objective:** The Area has processes to manage access to departmental information

**Examples:** Google groups, access request process, periodically reviewing permissions

**Outcome:** Information is protected from loss, destruction or inappropriate access

# Level 3: Routine preservation or destruction improves trust in information



## 3.1 Retain

Objective: Retention requirements have been documented

Examples: Payroll and benefits reconciliations are destroyed after 7 years

Outcome: Areas clearly understand which records must be destroyed, retained or transferred to Archives

## 3.2 Disposition

Objective: Official Records are routinely disposed or transferred to University Archives

Examples: Payroll and benefit records that have met their retention are disposed of in April

Outcome: Areas can demonstrate routine application of retention schedule to records

## 3.3 Eliminate

Objective: Processes exist to eliminate transitory information (including redundant or duplicate information)

Examples: Email are destroyed regularly, transitory records are eliminated from shared drives at the conclusion of a project

Outcome: Information is reliable and redundant information is removed

# When should you start?

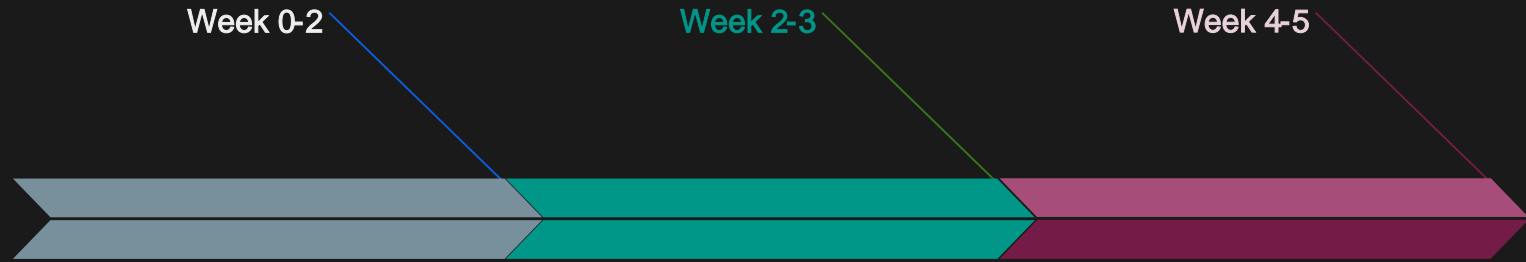
*“There’s no help coming”*

*~ Anonymous*

*“The best time to plant a tree was 20 years ago. The second best time is now”*

*~ Traditional Proverb*

# 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



---

# Pre-Engagement

- 
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 through the rest of the units
  2. Have they attended PARIS training?

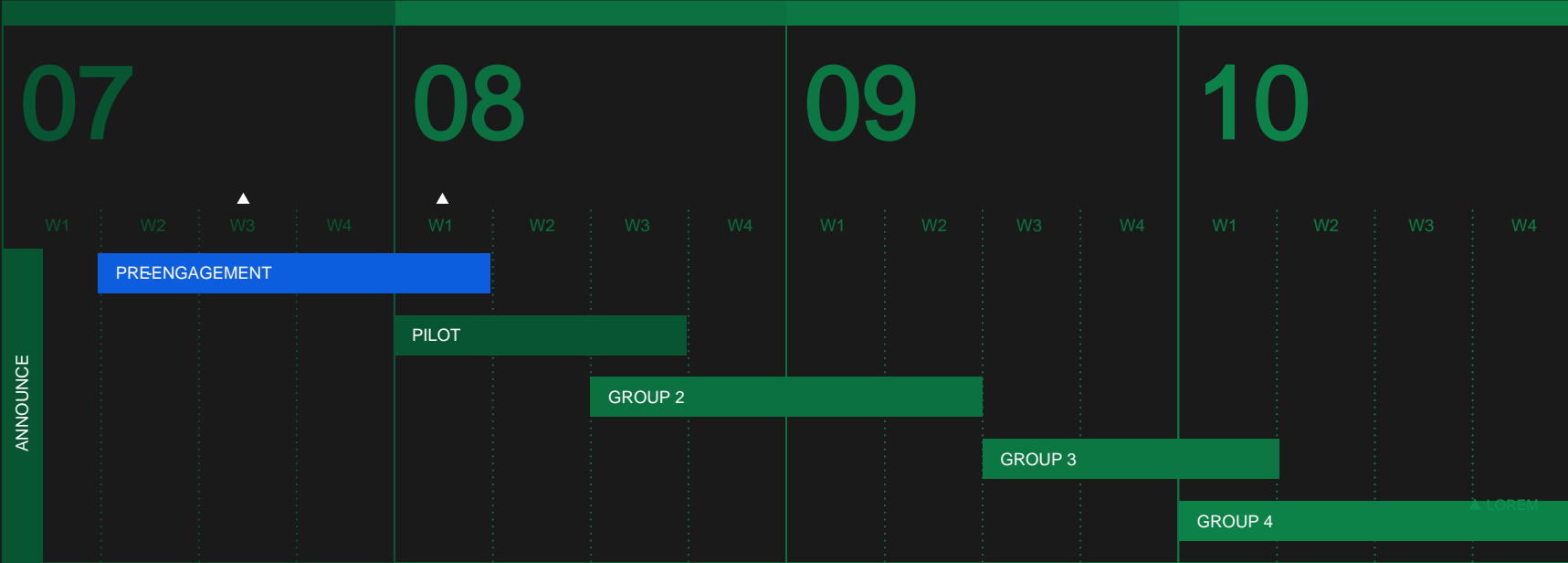
---

# Sustain & Train

- 
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:

PARIS Scorecard	Operational Plan	Portfolio Strategy
Understand current information management situation	Identify and schedule <u>targeted</u> improvement initiatives	Rationalize and enable investment in information management practices
<ul style="list-style-type: none"><li>• Documentation</li><li>• Processes</li><li>• Challenges</li></ul>	<ul style="list-style-type: none"><li>• Build or change</li><li>• Improve</li><li>• Assess</li><li>• Explore</li></ul>	<ul style="list-style-type: none"><li>• Time</li><li>• Personnel</li><li>• Expertise</li><li>• Finances</li></ul>



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



Damian Hollow  
University Records Officer  
[hollow@ualberta.ca](mailto:hollow@ualberta.ca)



Jay Jorgensen  
RIM Analyst  
[jjjorgen@ualberta.ca](mailto:jjjorgen@ualberta.ca)

<https://www.ualberta.ca/university-records-office/index.html>

# When should you start?

*“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*