Taking Flight: A Case Study Leveraging ARMA’s IG Maturity Model

AKA: How to plan ahead, so you don’t hit the mountain.

Introduction

Carissa Bourdon is the Information Governance Unit (IGU) Manager for Washington State Department of Fish and Wildlife. This position also monitors the agency’s privacy program and open data.

The IGU is responsible for public records requests, records/information management, retention and disposition, litigation coordination, enterprise search and legal holds.

Previous jobs include Washington State Archives, local government disclosure and state government records management. Currently working on my Master’s of Archives and Records Administration at SJSU.

Have also served as the Program Director for the Puget Sound Chapter of ARMA and was the Chair of the Washington State Records and Information Manager’s Forum during state-wide O365 implementation.
Why build a strategic plan?

- Not aligned with our agency’s mission or goals
- Leadership awareness and interest
- Seasonal changing of staff with little or no records management training
- Variety of job locations and technical skills
- Sensitive and confidential data
- Lawsuits require search, data is everywhere

Preflight Checklist:
Generally Accepted Recordkeeping Principles

Information Governance Body of Knowledge, Guiding Principles, Maturity Model and all that good stuff.
ARMA's Generally Accepted Recordkeeping Principles, aka: “The Principles®”

**Step 1**: Define ideal future state

**Step 2**: Assess current state

**Step 3**: Prioritize the highest risks first

**Step 4a**: Outline improvement strategies

**Step 4b**: Choose your players

**Step 5**: Design your IG program to be sustainable
IGBOK:
Information Governance Body of Knowledge

ARMA International defines this as:

“A strategic, cross-disciplinary framework composed of standards, processes, roles and metrics that... help organizations achieve business objectives, facilitates compliance with external requirements, and minimizes risk posed by substandard information-handling practices.

Maturity Model (ARMA)
ARMa IG Maturity Model

“A model providing metrics that organizations can use to:
   a. develop an IG program,
   b. benchmark an IG program’s maturity,
   c. identify and analyze gaps in an IG program,
   d. assess information-related risks, and
   e. develop plans for mitigating those risks.”

The Principles® are the 8 ways to assess an organization for IG/RIM-related program success.

The Principles®

**Accountability:** A senior executive (or a person of comparable authority) shall oversee the information governance program and delegate responsibility for information management to appropriate individuals

**Transparency:** An organization’s business processes and activities, including its information governance program, shall be documented in an open and verifiable manner, and that documentation shall be available to all personnel and appropriate, interested parties.
The Principles®

**Integrity**: An information governance program shall be constructed so the information assets generated by or managed for the organization have a reasonable guarantee of authenticity and reliability.

**Protection**: An information governance program shall be constructed to ensure an appropriate level of protection to information assets that are private, confidential, privileged, secret, classified, essential to business continuity, or that otherwise require protection.

The Principles®

**Compliance**: An information governance program shall be constructed to comply with applicable laws, other binding authorities, and the organization’s policies

**Availability**: An organization shall maintain its information assets in a manner that ensures their timely, efficient, and accurate retrieval.
The Principles®

**Retention**: An organization shall maintain its information assets for an appropriate time, taking into account its legal, regulatory, fiscal, operational, and historical requirements.

**Disposition**: An organization shall provide secure and appropriate disposition for information assets no longer required to be maintained, in compliance with applicable laws and the organization’s policies.

**Flight Plan:**
Records risk and Flight indicators

Information Governance Body of Knowledge, Guiding Principles, Maturity Model and all that good stuff.
Flight instruments

A. Turn Coordinator
B. Altimeter
C. Airspeed Indicator
D. Attitude Indicator
E. Heading Indicator
F. Vertical Speed Indicator

Navigation – Where are we going?

Flight plan
Step 1 – Define ideal future state

- IG Maturity Model is rated in each principle from “Substandard” to “Transformational”

- Not sure what it looks like?
- Study Transformational!

Example “transformational” goals

- “Employees either keep everything or dispose of information based on business and legal requirements.”
- “Regular disposition is part of every employee’s daily work and clean-up instructions are available when needed.”
- “The RIM program is responsible for electronic, as well as paper, records management processes.”

(... this is what success looks like!)
Key take-aways:

• Research the ideal future state
• Identify what that looks like for the agency and include specific requirements for your special field
• No pie in the sky is too high!

• If the ideal future state isn’t clear, use the Maturity Model
• Know where you want to go before you step into that plane

Navigation – Where are we going?

• Current state at a glance
• Flying up or down?
• Turning?
Step 2 – Assess current situation

<table>
<thead>
<tr>
<th>Step</th>
<th>Records management</th>
<th>Staff manage paper records</th>
<th>Staff manage paper and electronic records</th>
<th>Staff manage all records AND receive ongoing training</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1 (Substandard)</td>
<td>Records management is poor or non-existent</td>
<td>Staff manage paper records</td>
<td>Staff manage paper and electronic records</td>
<td>Staff manage all records AND receive ongoing training</td>
</tr>
<tr>
<td>Level 2 (In Development)</td>
<td>A senior executive (or person of comparable authority) is aware of the need to manage information, but is not actively engaged in setting the strategy for managing information.</td>
<td>A senior executive (or person of comparable authority) is both responsible for and actively engaged in setting the strategy for managing information.</td>
<td>A senior executive (or person of comparable authority) is responsible for managing all records AND receives ongoing training.</td>
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</tr>
<tr>
<td>Level 3 (Essential)</td>
<td>A senior executive (or person of comparable authority) is responsible for managing all records AND receives ongoing training.</td>
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<tr>
<td>Level 4 (Proactive)</td>
<td>A senior executive (or person of comparable authority) is responsible for managing all records AND receives ongoing training.</td>
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<td>Level 5 (Transformational)</td>
<td>A senior executive (or person of comparable authority) is responsible for managing all records AND receives ongoing training.</td>
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**Principle of Accountability:** A senior executive (or a person of comparable authority) shall oversee the information governance program and delegate responsibility for information management to appropriate individuals.

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<th>Level 1 (Substandard)</th>
<th>Level 2 (In Development)</th>
<th>Level 3 (Essential)</th>
<th>Level 4 (Proactive)</th>
<th>Level 5 (Transformational)</th>
</tr>
</thead>
<tbody>
<tr>
<td>No senior executive (or person of comparable authority) is aware of the need to manage records and other information assets.</td>
<td>A senior executive (or person of comparable authority) is aware of the need to manage information, but is not actively engaged in setting the strategy for managing information.</td>
<td>A senior executive (or person of comparable authority) is both responsible for and actively engaged in setting the strategy for managing information.</td>
<td>The organization’s governing board and senior management place great emphasis on the importance of information governance.</td>
<td>The information manager directs the information management program and reports to an individual at the senior level of management (e.g., chief information governance officer).</td>
</tr>
<tr>
<td>The information manager role is largely non-existent, or it is an administrative or clerical role distributed among general staff.</td>
<td>The information manager role is recognized, but the person in that role is responsible only for tactical operation of the information management program, which is concerned primarily with managing specific records rather than all information assets.</td>
<td>The information manager role is recognized within the organization, and the person in that role is responsible for the tactical operation of the established information management program on an organization-wide basis.</td>
<td>The information manager directs the information management program and reports to an individual at the senior level of management (e.g., chief information governance officer).</td>
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<td>Information assets are managed inconsistently or not at all.</td>
<td>The information management program primarily covers only paper records.</td>
<td>The information management program is responsible for electronic, as well as paper, records.</td>
<td>The information manager is a senior officer responsible for all tactical and strategic aspects of the information management program, which is an element of the information governance program.</td>
<td>The chief information governance officer and the information manager are essential members of the organization’s governing body.</td>
</tr>
<tr>
<td>Employees are not made aware of their responsibilities for managing the information assets they create or receive.</td>
<td>Only those employees with direct information management program responsibilities receive training, but only during orientation.</td>
<td>All employees receive training regarding information management responsibilities.</td>
<td>All employees receive ongoing, documented training regarding their information management responsibilities, and compliance with this training is audited and documented regularly.</td>
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</tbody>
</table>
Group activity – Principle of Availability

<table>
<thead>
<tr>
<th>A/B</th>
<th>B/C</th>
<th>C/D</th>
</tr>
</thead>
<tbody>
<tr>
<td>A:</td>
<td>B:</td>
<td>C:</td>
</tr>
<tr>
<td>Employees have no clue and boss is not interested.</td>
<td>Policies and best practices exist but rarely followed.</td>
<td>Policy/procedure well defined and supported.</td>
</tr>
<tr>
<td>D:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>All employees know rules and are regularly trained.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Key take-aways:

- Assess the agency’s current situation
- Include other records and information management stakeholders
- Study assessment and review with the team
Airspeed Indicator – How fast?

- What is the fastest route to our destination?
- The higher the risk, the faster it needs to be tackled
- This is the way

Step 3 – Prioritize highest risk first

1. Collected common risk categories
2. Ranked the risk categories from highest to lowest
3. High maturity = Low Risk
Key take-aways:

- Prioritize your agency’s risks with the highest at the top
- Make the information easy to understand and in a one-page format
- Share (vision) frequently and with everyone!

Altimeter – How do we get to the next level?

- East heading (0° - 179°) = Odd 1000 +500
  Ex: 5,500’ or 9,500’

- West heading (180° - 359°) = Even 1000 +500
  Ex: 4,500’ or 8,500’
Step 4a: Outline improvement strategies

<table>
<thead>
<tr>
<th>Risk Assessment Categories</th>
<th>IG Principles</th>
<th>Goals to Reduce Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance</td>
<td>The agency's systems capture, protect, and dispose of records in a legally defensible manner.</td>
<td></td>
</tr>
<tr>
<td>Accountability</td>
<td>IT department is the lead for storing digital information and RIM is involved in discussions about elect</td>
<td></td>
</tr>
</tbody>
</table>

**GOAL**

**TO DO LIST**

1. Research the agency's capture, protection and disposition policies and procedures
2. Assessment: Are they legal or defensible?
3. Map out each system that deals with capture, protection and disposition
4. Identify opportunities to improve processes and fix
Another great example, thank you Bruce!

Key take-aways:
- List out transformational goals in order of your highest risks first
- Identify projects to mitigate those risks
- Create a project plans, for at least the highest risk

Drink from me and I can help you be more productive!
Make one wrong move and I will destroy all your work at once.

LOLNEIN.com
Turn Coordinator – How stable are we?

Step 4b – Choose your players

- ARMA’s Information Governance Core Concepts
- Need representation from each in every project
Key take-aways:

• The success of the team is the success of the project

• Don’t let your recurring check-ins wane or disappear because people get busy

• Include those people that are difficult to work with

“Positive energy and positive people create positive results. There is certainly a lot of negativity in the world and choosing positive energy helps us deal with the negative people and negative situations that can knock us off course.” - Jon Gordon

Vertical Speed Indicator – How fast are we climbing?

• Safe range of climb or descent

• Time is built into the flight for the climb
Step 5: Monitoring, assessments, audits

<table>
<thead>
<tr>
<th>S</th>
<th>Specific</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>Measurable</td>
</tr>
<tr>
<td>A</td>
<td>Attainable</td>
</tr>
<tr>
<td>R</td>
<td>Relevant</td>
</tr>
<tr>
<td>T</td>
<td>Timely</td>
</tr>
</tbody>
</table>

Risk Matrix

- Catastrophic
- Major
- Moderate
- Minor

- Rare
- Unlikely
- Possible
- Likely

Catastrophic

Major

Moderate

Minor

Step 5: SMART Goals

SMART Goals – Quick Overview
https://www.youtube.com/watch?v=1-SvuFIQjK8 (4 minutes long)
Key take-aways:

- Metrics tell the success story
- Use different visuals and strategies to communicate your progress
- Measured performance tells the time and money story
- Don’t move quicker than your organization is ready to move!
- End user adoption is critical to the success of any project

But wait, there’s more...

- Communication is crucial!!
- “I have flight controls”
- Every leg of the journey has different communication responsibilities and significant initiatives are no different
Safe Landing

Let’s keep track of each other and get there safely.

Thank you!

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Find me on LinkedIn (link)