



Greater Sacramento  
Capitol Chapter of ARMA

# Tactics v. Strategy: From Records & Information Management to Information Governance

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ARMA Greater Sacramento Capitol Chapter Webinar

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# Discussion Points

- Zions Bancorporation and David Fleming
- Tactics v. Strategy
- Focus of RIM (Tactics)
- Focus of Information Governance (Strategy)
- Changing the Paradigm
- Know Your Organization
- Where To Go From Here
- Questions & Discussion, Contact Information

# About Zions Bancorporation, N.A.

- 400 offices in Arizona, California, Colorado, Idaho, Nevada, New Mexico, Oregon, Utah, Texas, Washington, Wyoming
- 8 bank brands
- \$65 billion in assets
- 10,000+ employees
- Founded 1873



# About David Fleming

- 39 years in banking industry
- Records Management 1979 – 1995
  - Supported/managed bank operations functions, system conversions, customer account research, micrographics production.
  - Managed large off-site storage/records center consolidations/operations
- Project Management 1996 – 2005
  - PM for complex merger related process & technology integrations
  - Electronic check image processing pilot and implementation
- Records Management 2005 – Present
  - Legal hold & discovery process development with focus on “ESI”
  - Policy/retention schedule development, maintenance, enforcement
- Professional / Trade Associations 2005 - Present
  - 14 ARMA International Conferences 2005 – 2018
  - ABA RM Working Group 2005 - Present
  - ARMA Utah-Salt Lake Chapter Board 2006 – 2012
  - ARMA Pacific Region Board 2010 – 2017
  - ARMA projects, mentorship, educational presentations, leadership conferences, local seminars, eDiscovery & technology conferences
- *STILL LEARNING*

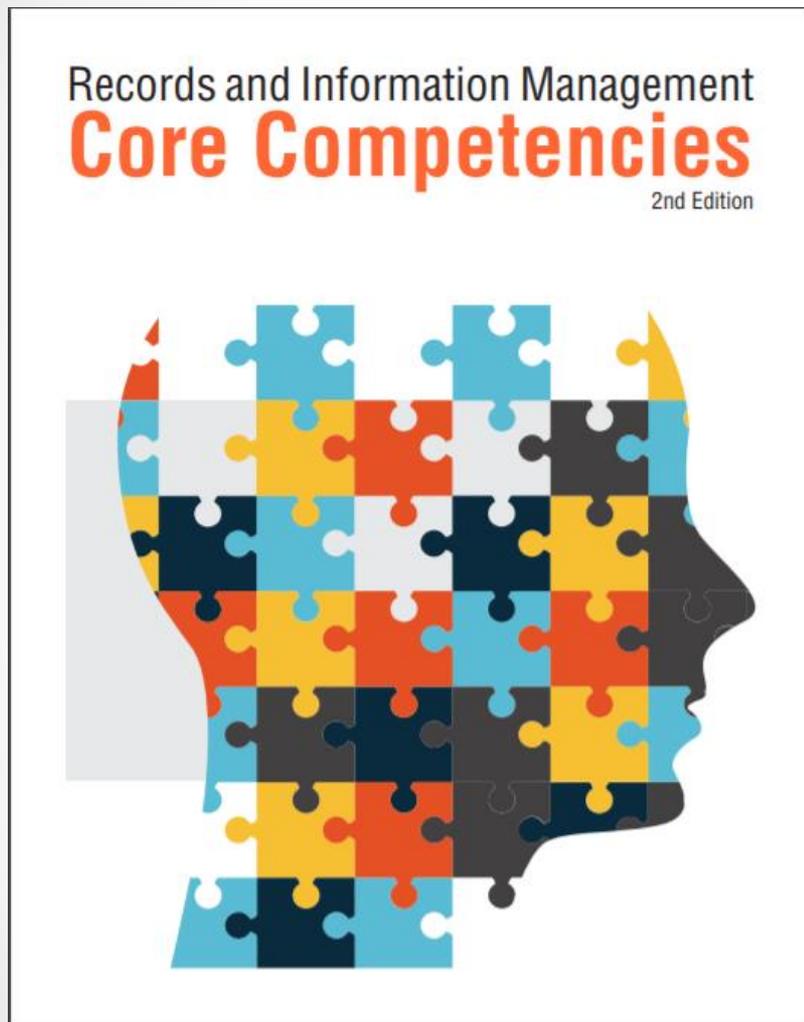
# Tactics v. Strategy

- Tactical Objectives
  - Smaller-scale actions serving a larger purpose which employ available means to accomplish an end with limited scope
- Strategic Objectives
  - Of great importance within an integrated whole which employ all the resources of an organization to achieve the objective.
- Information Governance (IG) is not a “policy”
  - Information Governance is “a strategic, cross-disciplinary framework composed of standards, processes, roles, and metrics that hold organizations and individuals accountable for the proper handling of information assets. The framework helps organizations achieve business objectives, facilitates compliance with external requirements and minimizes risk posed by sub-standard information-handling practices.”  
**Source:** Glossary of Records and Information Management Terms, 5<sup>th</sup> Ed. (ARMA TR 22-2016)
- Information Management (RIM): Key building block of IG
  - Information Management is “managing information, whether record or non-record, throughout its lifecycle of creation, use and destruction while also obtaining business value from it.”

# Focus of RIM (Tactics)

- The center of IG: fundamental standards and best practices of managing information as an asset.
- No longer focused on basic concepts of organizing, filing, tracking, safeguarding, and helping people find needed information
- Requires broader skillset with expertise around technology concepts, tools and techniques for creation/receipt, security, retrieval, transmission, storage, disposition, preservation of information
- Development of information retention and disposition program and training
- Policy enforcement and program audits
- RM, EDRM, ECM, ECRM software implementation and maintenance
- Facilitating availability of records & information
- Information risk assessment and protection
- Consultation with business units on RIM practices
- Offsite physical records storage administration
- Disposition of records and information
- Manage RIM Vendor relationships

# Focus of RIM (Tactics)



## Competency Domains

- Business Functions
- RIM/IG Practices
- Risk Management
- Communications & Management
- Information Technology
- Leadership

Defined at levels 1-4

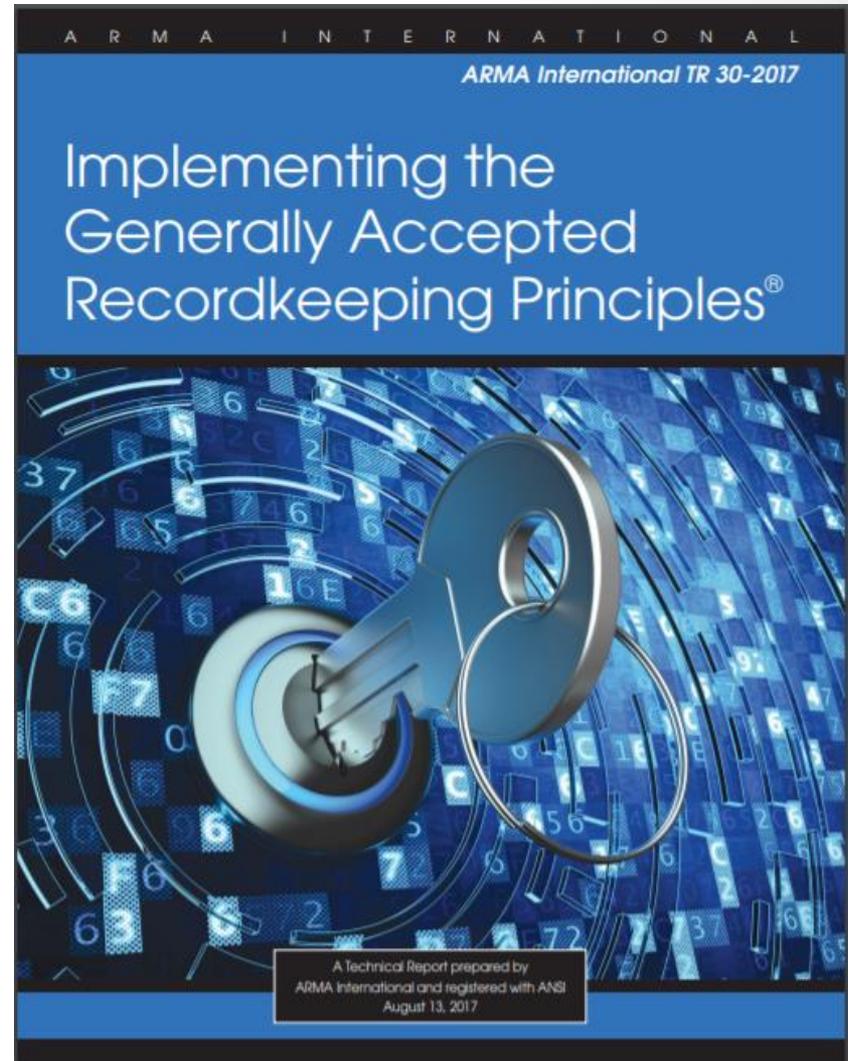
# Focus of Information Governance (Strategy)

- Formulated to support an organization's mission, vision, business and compliance goals
- Multi-disciplinary in nature, requires the collaboration of all IG stake-holders representing all major business units and functions of the organization
- Deployed in a framework that is unique to each organization and its circumstances
- Establishes and operationalizes IG policy and practices across the enterprise, providing guidance for business unit tactical/process planning & design
- Deploying IG Strategy is challenging because there is not single prescribed structure or "off-the-shelf" solution
- Requires balancing cost, risk, value, opportunity and accountability while reducing compliance overhead and getting the most value from information assets
- Requires support and guidance from "C-Suite"
- The Principles® and the IG Maturity Model provide a framework for planning and assessment of Information Governance Performance

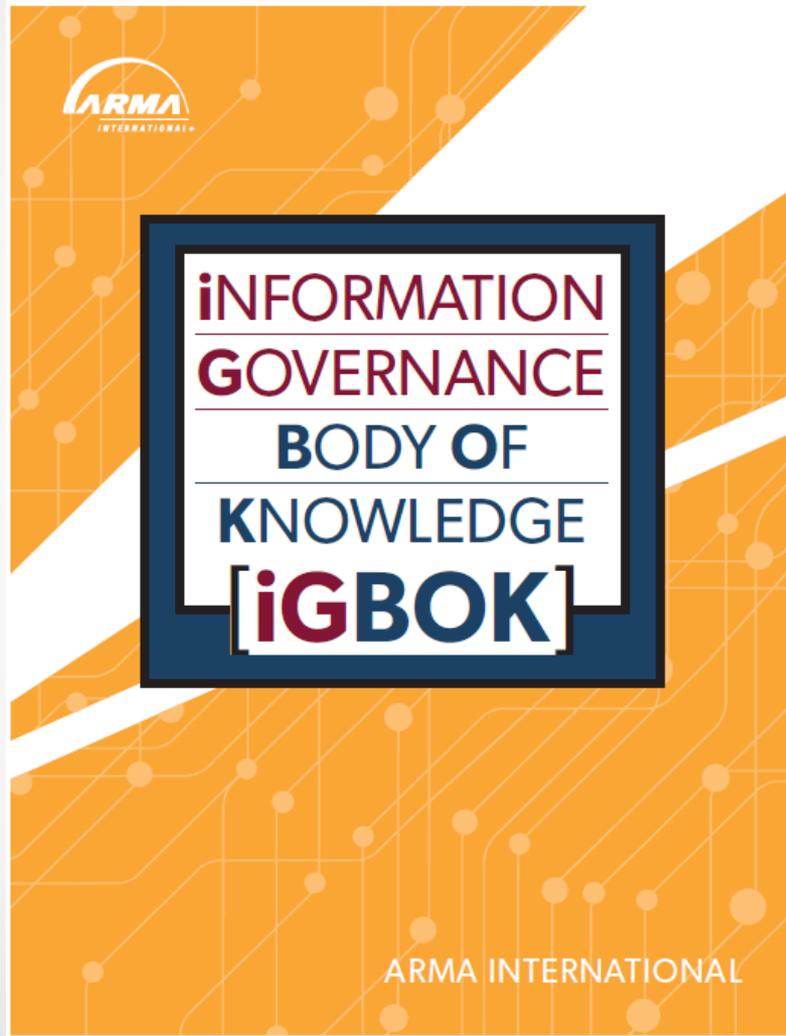
# Focus of Information Governance (Strategy)

## Generally Accepted Recordkeeping Principles

- **A**ccountability
- **T**ransparency
- **I**ntegrity
- **P**rotection
- **C**ompliance
- **A**vailability
- **R**etention
- **D**isposition



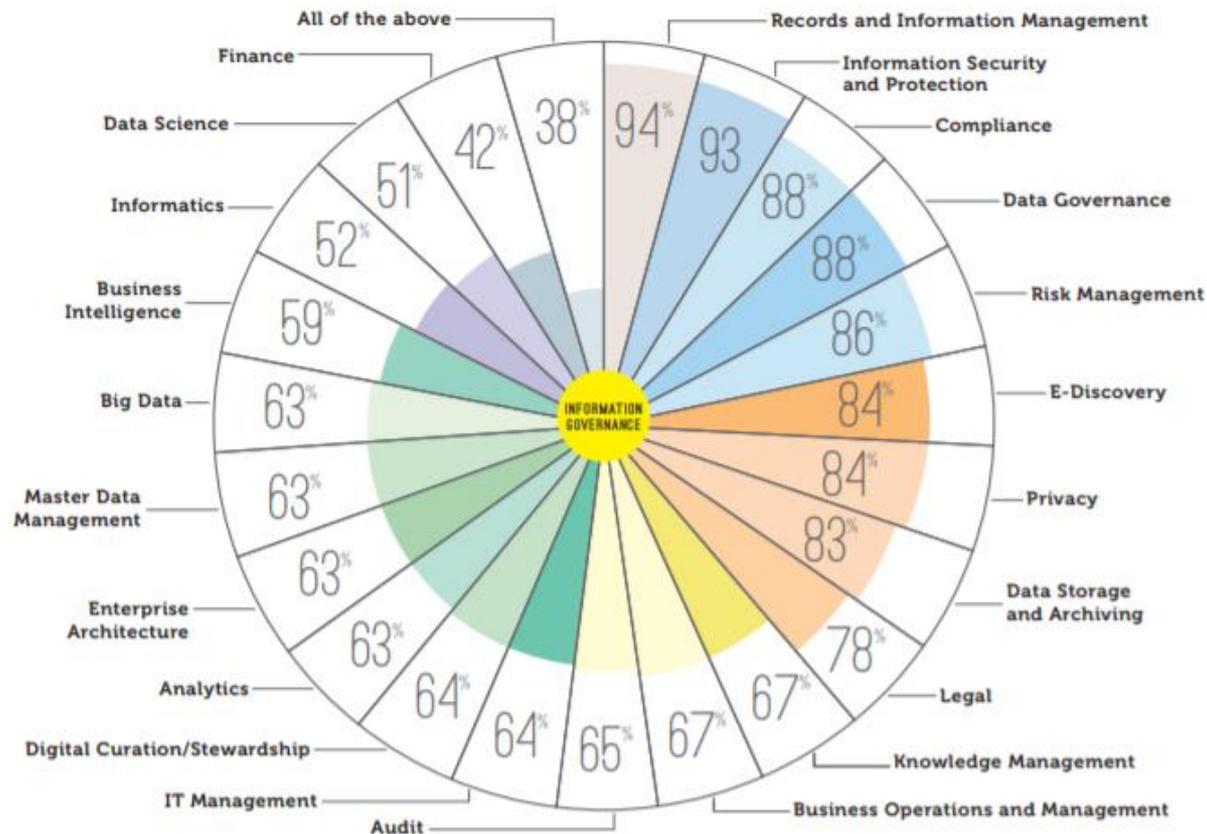
# Focus of Information Governance (Strategy)



# Focus of Information Governance (Strategy)

## THE FACETS OF IG

IG Harmonizes Multiple Information Disciplines



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# Change the Paradigm

- Start by establishing modern approach to information management and updating skill sets. RIM tactics are the basic foundation of IG strategy implementation, but its practice has significantly evolved
- Become “Program” Managers as opposed to a “Records” Managers, regardless of whether we are focused on organizational strategy or tactical implementation
- Be a business practice consultant and SME that brings monetary value to the business and don’t wait to be called on for “help”
- “Take a seat at the table” – to do so we must develop critical business skills and relationships and understand how information governance supports the goals of the organization
- Business units must take on records and information management functions – A centralized approach to RIM tactical operations is no longer feasible

# Know Your Organization

- As a RIM Practitioner
  - Understand all the processes in your organization and become a consultant for business units
  - You can't do it all yourself no matter how many people or how much technology you have – resist the notion that you and your team manage records
  - Make program requirements simple for the business to understand and implement
  - Make sure you are utilizing efficient tools and processes that support the Information Governance strategy
- As an IG Strategist
  - Understand your organization's mission, vision and goals
  - Tie Information Governance Strategy to organizational goals
  - Its not just about information management
  - Become visible
  - Become an ally for your Information Technology, Legal and compliance partners – you have tools and expertise to address their concerns

# Were To Go From Here

- You are not (and cannot do this) alone!
- Think like a business person, not a records manager
- Perform a Principles® based assessment
- Develop strategic alliances with key senior leaders
- Sync Information Governance Goals with Organizational Goals
- Pick the low-hanging fruit “show them the money”
- Adopt the “Give to Get” Principle
  - You have skills that can help others achieve their goals
  - Give without expectation of reciprocation and become a trusted resource
- Track progress and report (or lose momentum)

# Resources

Access the resources listed below from the ARMA International website from the [Core Concept Fundamentals Page](#)

- [The Principles One Page Summary](#)
- [The Information Governance Maturity Model –Implementing the Generally Accepted Recordkeeping Principles \(ARMA International TR 30-2017\) –](#)  
*Free download for ARMA Professional Members*
- [Records and Information Management Core Competencies, 2nd Ed. \(PDF\)](#)  
*Free download for ARMA Professional Members*
- [The Glossary of Records and Information Management Terms, 5th Ed. \(ARMA International TR 22-2016\) –](#)  
*\$40 for ARMA Professional Members*
- [The Information Governance Body of Knowledge \(IGBOK\)](#)  
*\$75 for ARMA Professional Members*  
*Note: Professional members can download [IGBOK: The Foundation](#) for free. This may be a good place to start if you do not have the funds to purchase the full IGBOK*

# Questions / Discussion - Contact Info

- Questions & Discussion
- Contact Information
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  - Phone – Office: 801-844-7676, Mobile: 801-580-8544
  - LinkedIn – Send me an invitation!