DATA GOVERNANCE AND MANAGEMENT TOOLKIT AND LEARNING SERIES

INFORMATION GOVERNANCE, RECORDS AND INFORMATION MANAGEMENT AND DATA MANAGEMENT

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Topics

- Standards & best practices
- Government Profiling
- Information Governance
- Records and Information Management (RIM)
- Administrative Data

- We understand that....
  - every Self-Governing Indigenous Government (SGIG) is in a different stage of their maturity regarding data governance & records management
  - some SGIGs have records management programs & others do not

- Our intention is to...
  - paint a picture of what could be achieved & what is being achieved by SGIGs

About Stuart Rennie & Bobbi Bishop

- **Stuart**
  - Over 25 years as lawyer in private practice & Records Management consultant
  - Over 10 years working with indigenous clients

- **Bobbi**
  - Over 10 years as Records Management consultant working with indigenous clients
  - Project manager

Stuart & Bobbi:

Both members of the:

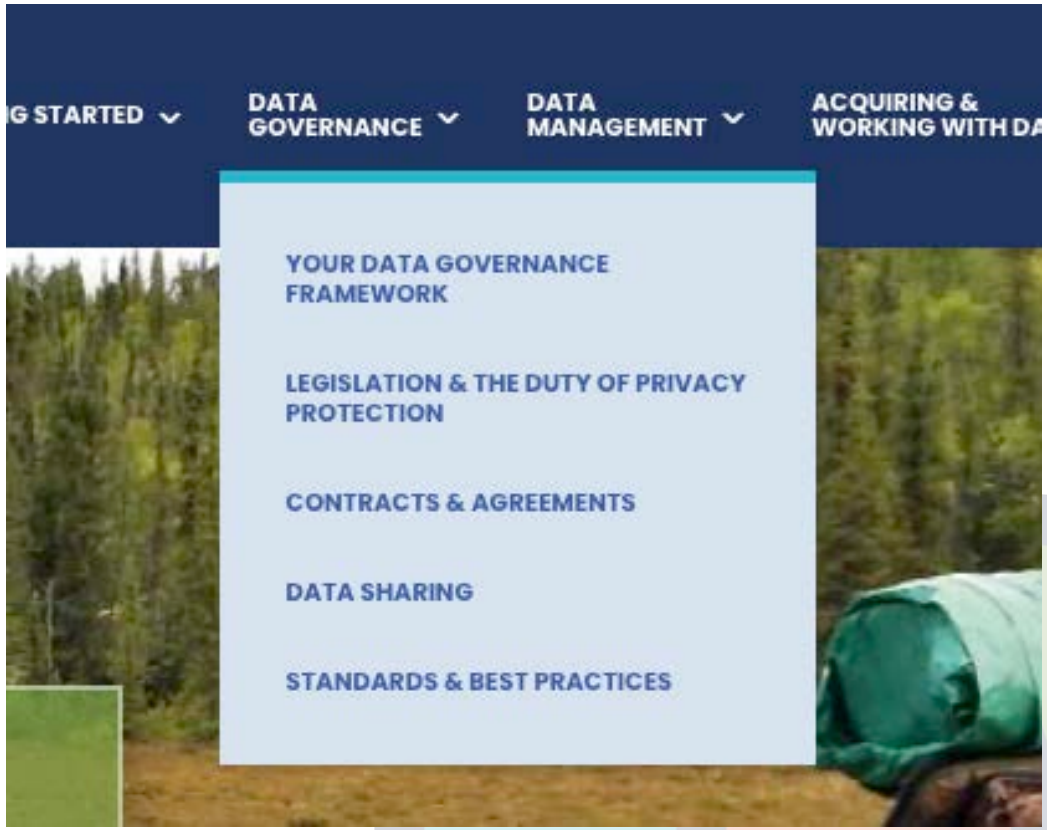
- SGIG Expert Advisors
- Information Governance Advisory Committee (ARMA International & First Nations Public Service Secretariat (FNPSS))
- FNPSS Management Training Academy's Curriculum Advisory Committee for RIM

STANDARDS AND BEST PRACTICES

Standards and Best Practices?

The following slides will discuss:

- What are Standards?
- What are Best Practices?
- Why use Standards & Best Practices?



Indigenous Data Governance and Management Toolkit for SGIGs – S & BPs coming soon

ARMA International – https://www.arma.org/general/custom.asp?page=Standards

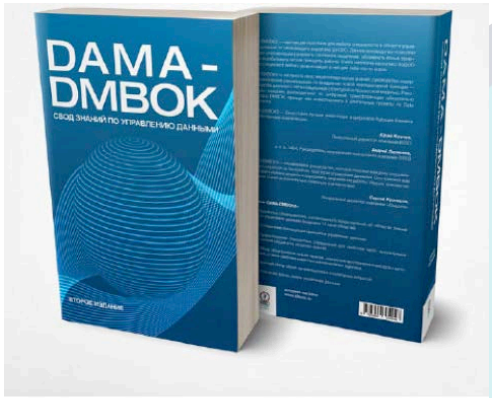
What is a Standard?

Repeatable, harmonized, agreed, proven, documented & best way of doing something

What is a Best Practice?

Commercial or professional method, technique or procedure, accepted or prescribed as being most effective

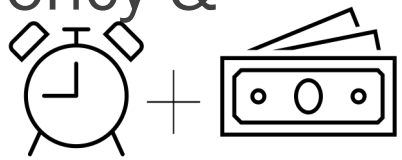
Best Practices identify & use applicable Standards



DATA MANAGEMENT BODY OF KNOWLEDGE

iNFORMATION GOVERNANCE BODY OF KNOWLEDGE [iGBOK]

Why use Standards & Best Practices?

- Evidence of your legal compliance
- Fills gaps in the law
- Reduce your risk of “doing things wrong”
- No need to “reinvent the wheel”
- Benefit from wisdom & experience of experts
- Compatibility with other governments & organizations
- Increase your efficiency & effectiveness → 

PUBLIC DOMAIN

INFORMATION GOVERNANCE

INTRODUCTION TO INFORMATION GOVERNANCE AND MANAGEMENT

Good information governance and management is foundational to good data governance and management. Data governance is a component of information governance because data is a type of information. Your

Administrative data

Administrative data is data collected and used for the purposes of performing governmental operational

GETTING STARTED

What are Data Governance and Management?

Indigenous Approaches to Data and Evaluation

Introduction to Information Governance and Management

Self-Assessment: Where Are You Now?

First Steps: Visioning and Mapping a Path Forward

What is Information Governance (IG)?

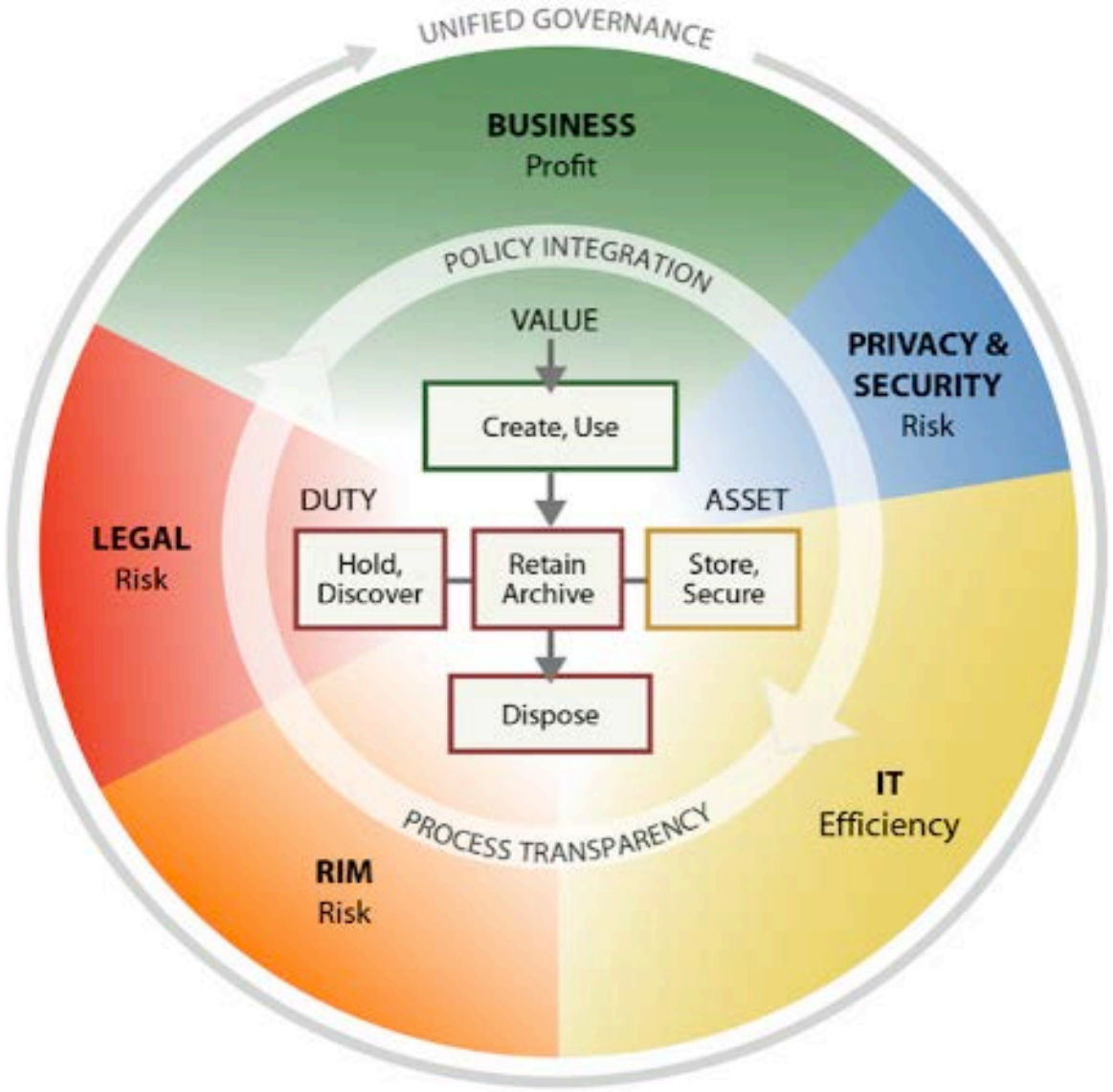
- Strategic, cross-disciplinary framework composed of standards, processes, roles, and metrics that hold organizations and individuals accountable for the proper handling of information assets & used to achieve business objectives, facilitates compliance with external requirements & minimizes risk posed by sub-standard information-handling practices-- ARMA's IG BOK

Why does IG matter?

IG is a top-down leadership driven accountability about how an organization conducts itself. It includes a framework of rules and practices that ensures the following:

ARMA **"The Principles®"**

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition



Information Governance Reference Model (IGRM)

This graphic demonstrates the relationship between members of the IG Steering Committee

Information Governance (IG) for Self Governing Indigenous Governments (SGIGs)

- Example of how a SGIG could customize IG for their government
- Ensure that all practice areas & influences are included

Self-Assessment Tools

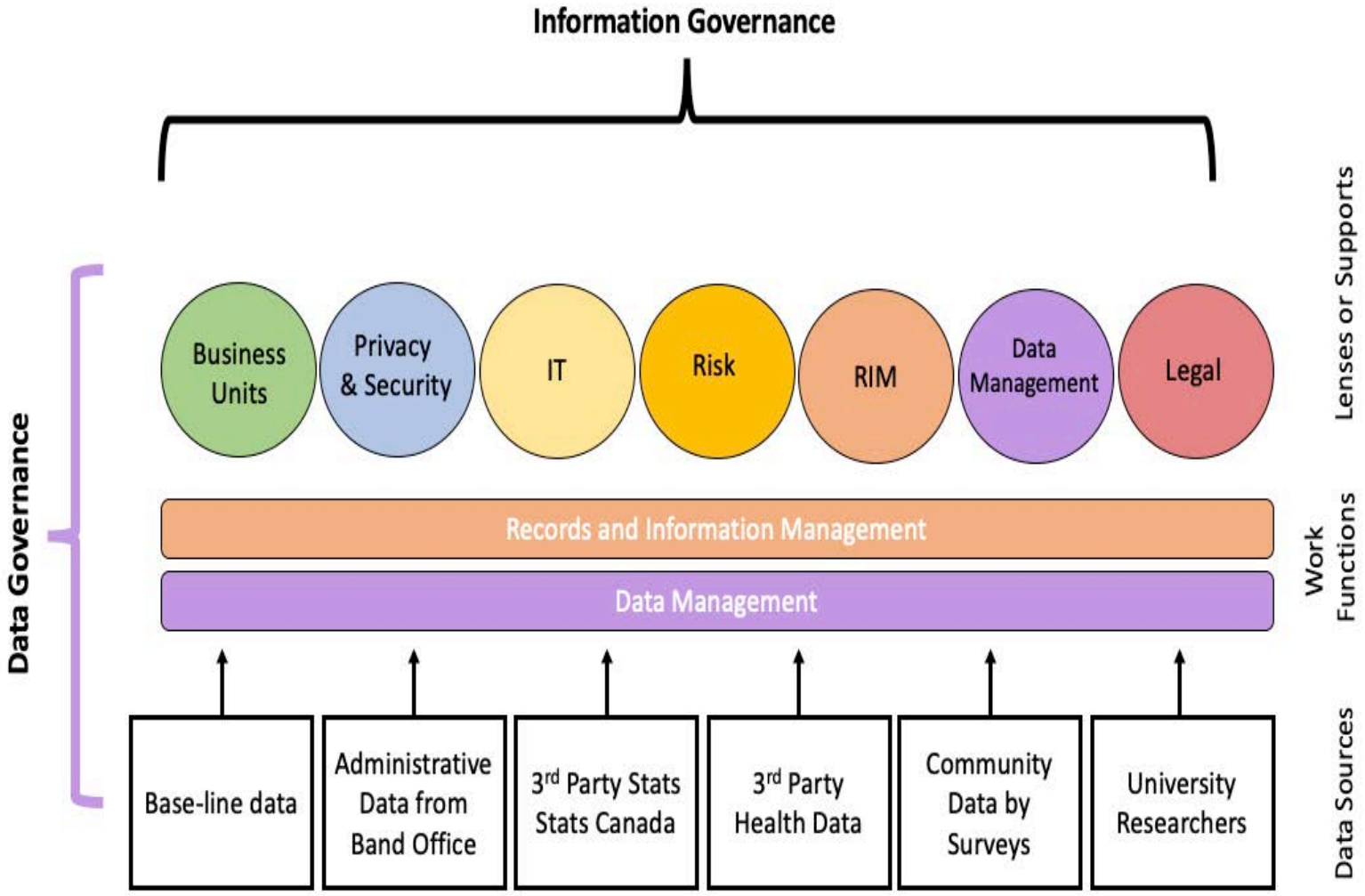
Sources of Self-Assessment Tools:

- DG SGIG Toolkit – Data Management
- FNPSS IM Toolkit – Records Management
- ARMA – Information Governance Maturity Model

Knowing where you are starting from . . . allows you to measure your success and benchmark your metrics.

SELF-ASSESSMENT TOOL

LEVEL 1	SUB-STANDARD (Time to begin)	An organization where information governance concerns are not understood, identified, or addressed. Organizations that fa into this category should be concerned that the management their information will not meet legal and regulatory requireme and may not support the business in an effective and efficient manner.
LEVEL 2	IN DEVELOPMENT (Time to move forward and make improvements)	An organization where there is a developing recognition tha weak information management has an adverse impact on it and that it may benefit from a defined information governanc program. At this level, an organization still may not meet lega and regulatory requirements, and its business efficiency ma affected adversely; but, a start has been made.
LEVEL 3	ESSENTIAL (Most organizations will need to achieve this level across all eight Principles.)	An organization that is in minimum compliance with legal, re latory, and other binding authorities' requirements and its ne in high-risk areas. This type of organization has developed p icies and processes to manage its information and is workin toward implementing them across all business areas. Senio leaders are aware of the information governance initiatives. Some resources are available.
LEVEL 4	PROACTIVE (Optimize)	An organization that has implemented an information gov- ernance program across its business areas with audit and continuous improvement initiatives in place. There is a senic leader who sponsors the program. This type of organization compliance with its legal, regulatory, and other binding auth ties' requirements.
LEVEL 5	TRANSFORMATIONAL (Innovate)	An organization that has integrated information governance its business strategy, processes, and culture. Information go ernance responsibilities are understood and delivered acros the entire business. This type of organization is compliant ar knows that information governance plays a critical role in delivering competitive advantage, cost containment, and cli service. An organization such as this will lead in its sector a be at the forefront of testing new ideas and technology to ga high-level results.



How Does IG relate to DG?

Ask yourself – What does Data Governance need from Information Governance so that DG and IG are successful?

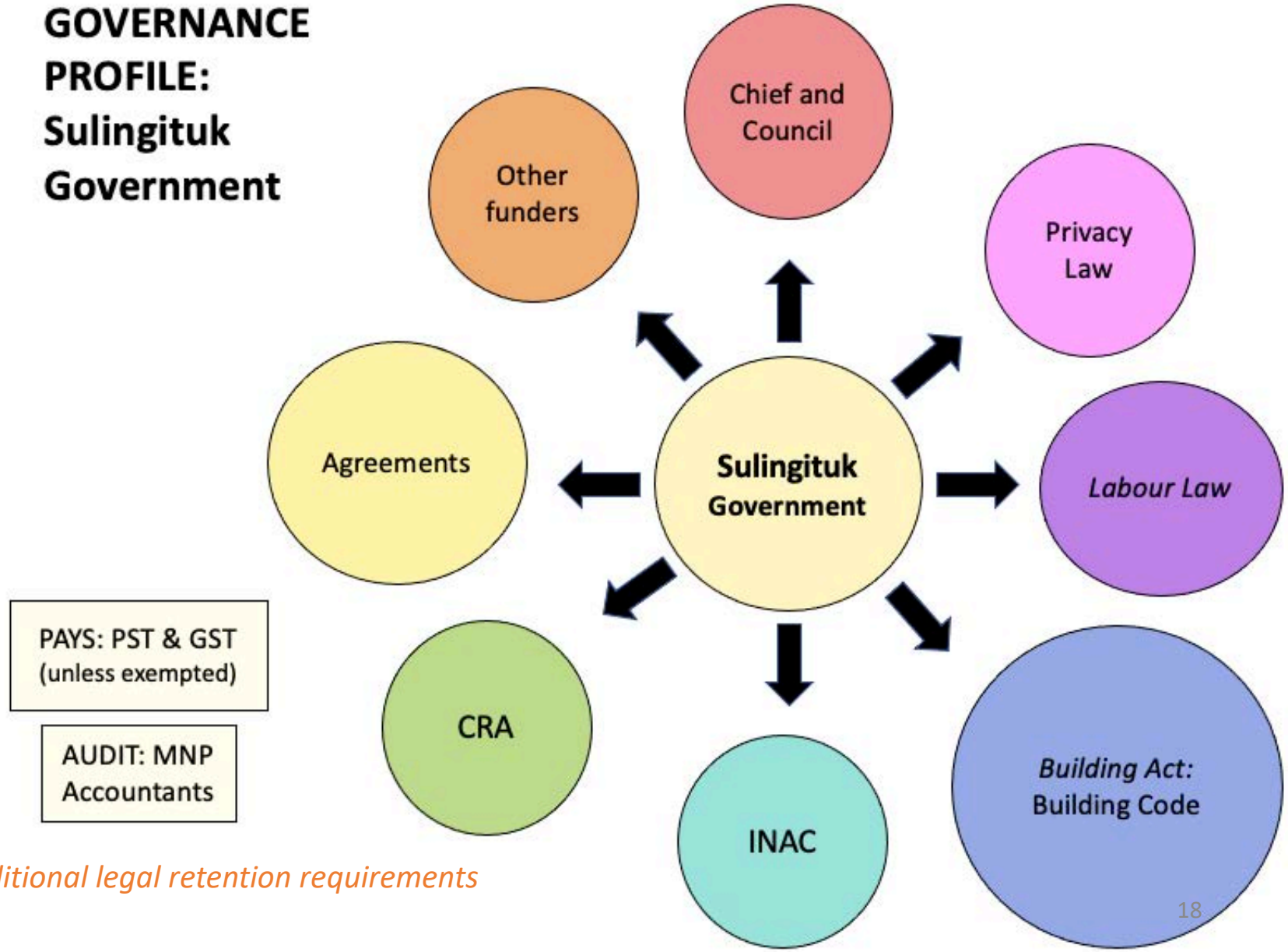
Governance Profiling

- **What is Governance Profiling?**
  - Profiling allows you to understand your governance framework
  - Know what laws apply to you & what you have to do to comply with the law
  - Identify gaps
  - It is recommended that the new legislation developed by SGIGs be prescriptive about the requirements to create records and define both business and legal retentions

  - **Fictional Example:** Sulingituk provides Medical Transport Services to their citizens. Sulingituk has its own Privacy Law. Medical Transport Services are funded by the provincial Health Authority. The Health Authority must comply with the provincial privacy law. The agreement for funding between Health Authority & Sulingituk requires Sulingituk to comply with the provincial privacy law, not their own Privacy Law.

*Legal Compliance**

Establishing a Governance Profile allows SGIGs to clearly identify which laws, support their Information Governance Framework. This supports identifying which 'legislation' influences the business and or legal requirements to create & retain records.



A SGIG's Business Profile also will attract additional legal retention requirements

Business Profiling

What is Business Profiling?

- Business profiling allows you to understand how your records & information management – business & legal retentions are impacted by the agreements that a SGIG has entered into with other governments +/or external partners
- These could be funding agreements, MOUs with Federal/Provincial/Territorial governments +/or business development entities

  - These agreements often specify what records must be created, how they are maintained and retained

BUSINESS PROFILE: Sulingituk Government

A Business Profile allows SGIG's to further identify the legislation that applies to the SGIG because of the services provided, the regulators that SGIGs work with or the business agreements that are in place.

Community Members

Deputy Chief and Council:
- Information Governance
- Community Engagement
- Strategic Planning

Administrative Office:

Executive Director:
- Communications
- Finance
- Human Resources
- Information Technology
- Operations and Maintenance
- Purchasing
- Records and Information Management

Drive(s)	Purpose	Back Up
Local C Drive	drafting	✗
Desktop	drafting	✗
N Drive	Folders by department, by staff	✓

Department	Software
All	MS Office
Finance	Xyntax
GIS	Esri
Referrals	Sto:lo Connect

Health Services:
- Prenatal
- Early Childhood Care
- Addiction Services

Education:
- Daycare (ECE)
- (no school)
- Education Support
- Empl. Training and networking
- Language and Culture

Social Dev:
- Income Assistance
- Social Services
- Elder Outreach and Home Care

Lands Office:
- Negotiations
- Stewardship – Guardians
- Referrals

Economic Dev:
- Negotiations

Physical (paper) Records Map – Administrative Data

- Where could your paper records be?
  - Basement/storage areas at administrative offices
  - Sea Containers
  - Offsite Storage units/lockers
  - Fire Hall
  - Maintenance Building
  - Health Centre
  - Community Centre
  - Leadership's homes

Sea Containers

RIM RECORDS MAP

Semi-active: Off-Site
Non-environmentally controlled storage units

Risk Mitigation: Box Inventory Audit

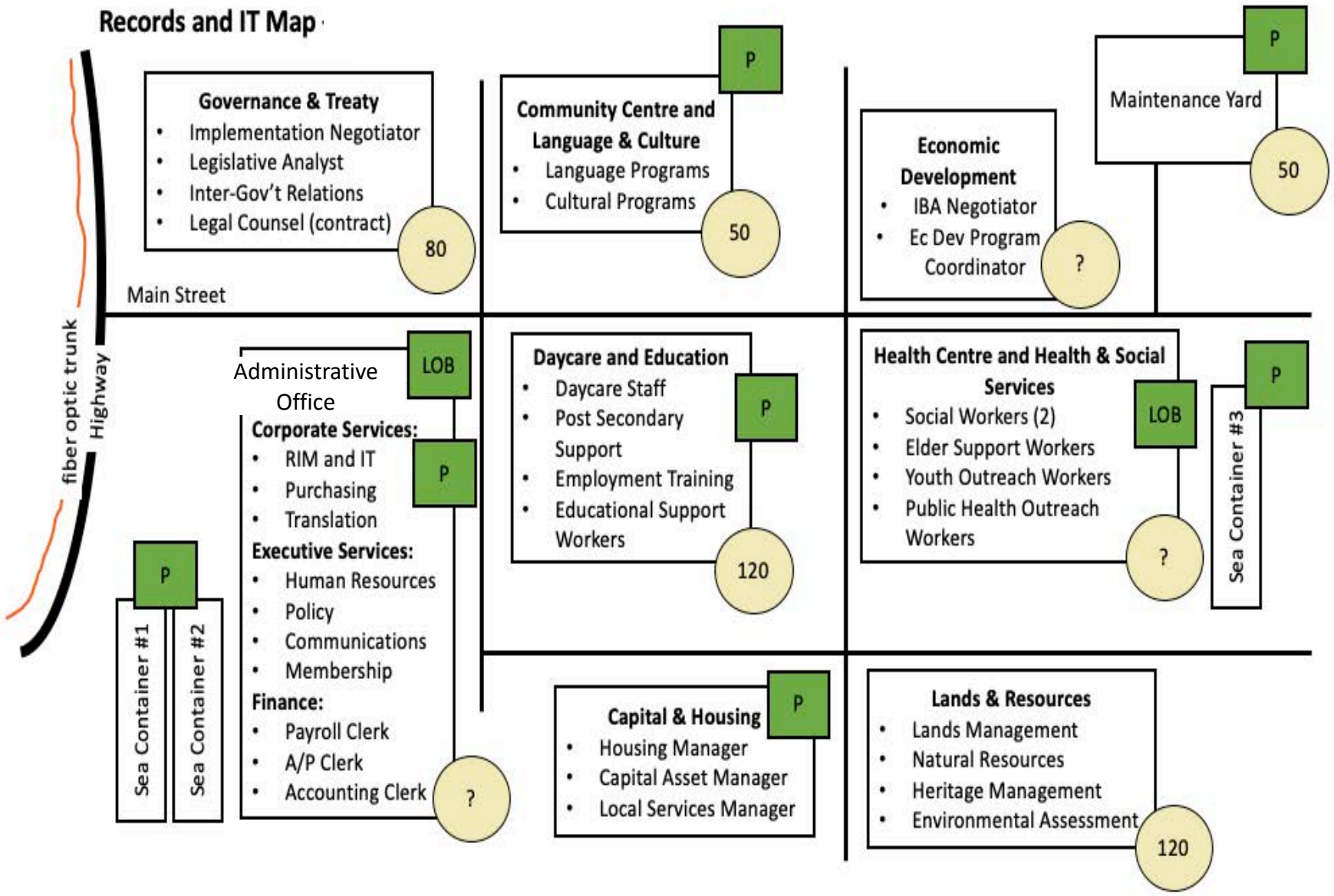
- Look for records with data
- Control for:
  - Mold
  - Silverfish
  - Water damage
  - Theft

Electronic Records Map – Administrative Data

- Where could your electronic records be?
  - Desktop computer's C: Drive(s) or laptops
  - Shared Drive(s)
  - Portable thumb drives
  - Line-of-Business software
  - Cloud storage
  - Cloud-based Software-as-a-Service (SaaS)

Electronic Records Map

- Financial Software – Accounting & Payroll
- Indigenous Line-of-Business software
  - Finance
  - Education
  - Social Development
- Referrals Software – example, Stó:lō Connect
- N: Drive–Shared Network Drive
- C: Drives–at desktops



Records Map

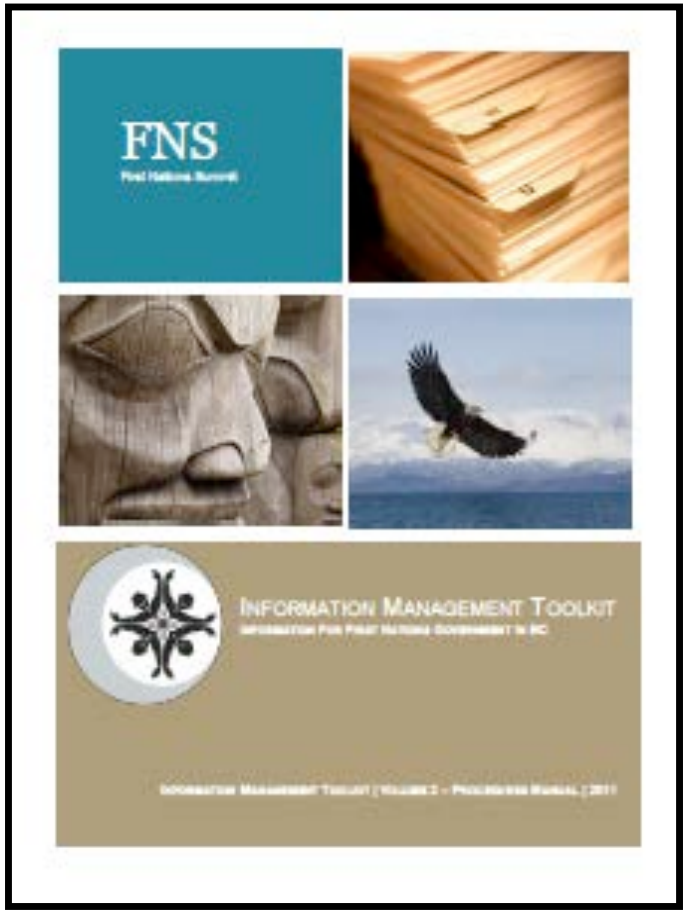
Key:

- # — Banker's Boxes:
- P — Paper records holding well-being data
- LOB — Line-of-business software holding well-being data

This is an aerial map of the fictional Sulingituk village and their government buildings. This shows where paper and electronic records are located.

RECORDS AND INFORMATION MANAGEMENT

First Nations Public Service Secretariat



- The First Nations Summit and First Nations Public Service Secretariat **First Nations Summit - Information Management Toolkit**.

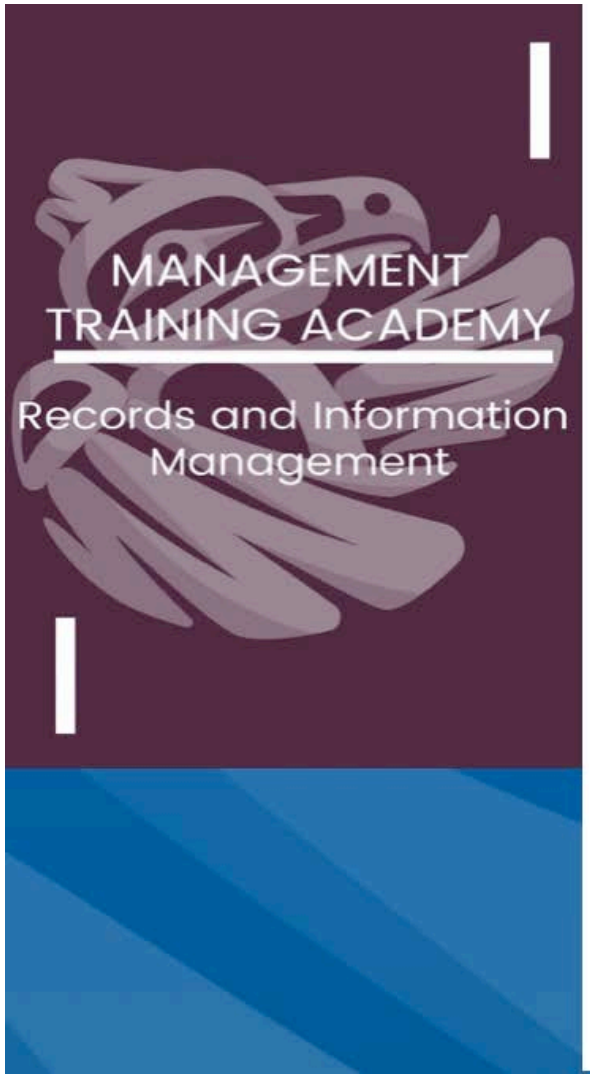
FIRST NATIONS SUMMIT

FIRST NATIONS PUBLIC SERVICE SECRETARIAT
COURAGE TO EXCEL

*The FNPSS IM Toolkit is generally accepted as **best practice** throughout the province of British Columbia and other areas of Canada.*

FNPSS

The FNPSS Management Training Academy (MTA) provides RIM Training.



RECORDS AND INFORMATION MANAGEMENT (RIM)

The purpose of the RIM MTA is to provide action focused training that will help participants return to their organizations with strategies for managing their information. During the workshop, participants engage in "hands on" reviews of information capture and control, filing systems, electronic records, security issues and control systems. Additionally, participants work together to develop a strategy, plan and budget guidelines for the establishment and operation of a records and information management program in their respective organizations.

All participants also receive a copy of the FNPSS First Nations Information Management Toolkit. These toolkits include valuable information and implementation strategies to help facilitate the incorporation of the skills learned at the workshop.

Upcoming RIM MTAs - Visit Upcoming Events for details.

If you want to be notified of upcoming offerings of the introductory RIM MTA sign-up to receive email alerts or contact info@fnps.ca. To request a hardcopy of the FNPSS First Nations Information Management Toolkit, email info@fnps.ca.

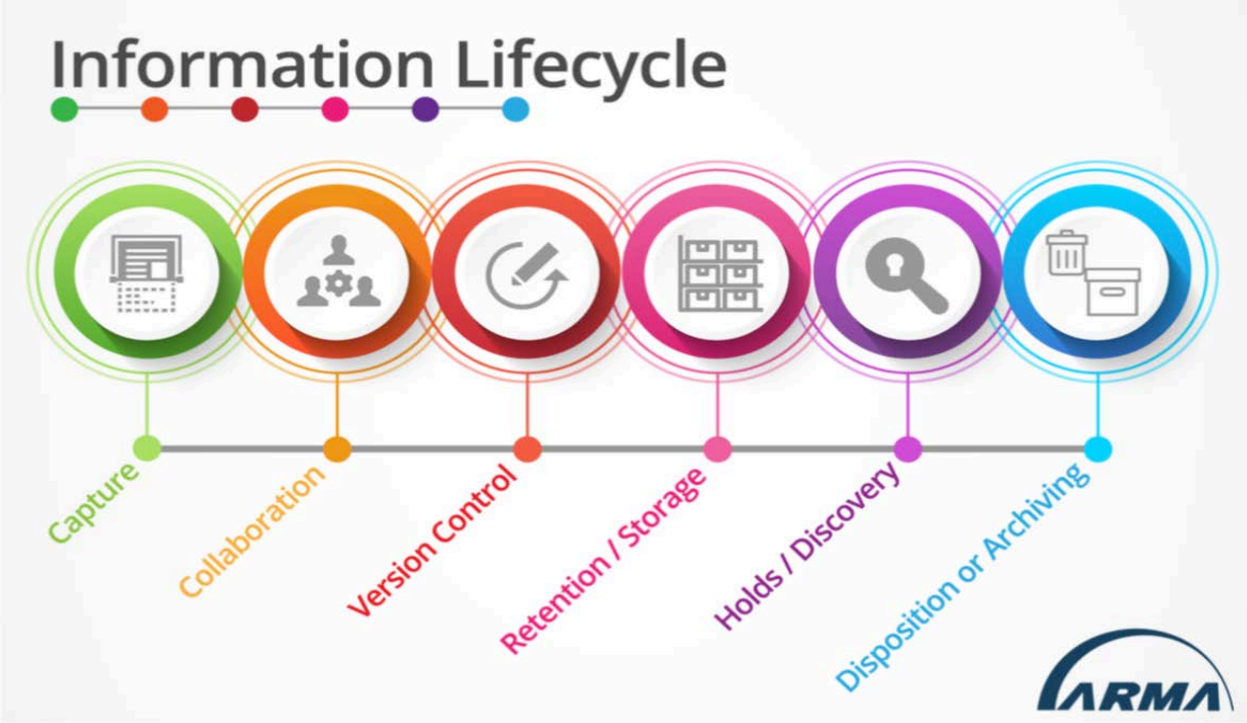
RIM TOOKIT VOLUME 1

RIM TOOKIT VOLUME 2

What is Records and Information Management (RIM)?

- RIM is an essential business function for data governance

- RIM provides a structure to information is handled both in paper & electronic formats, following the Information Lifecycle



Applying Lifecycle of a Record +/or Data

- Creator
- Seeker
- Dispositionist

discernment noun

Save Word

dis·cern·ment | \ di-ˈsərn-mənt, -ˈzərn- \

Definition of *discernment*

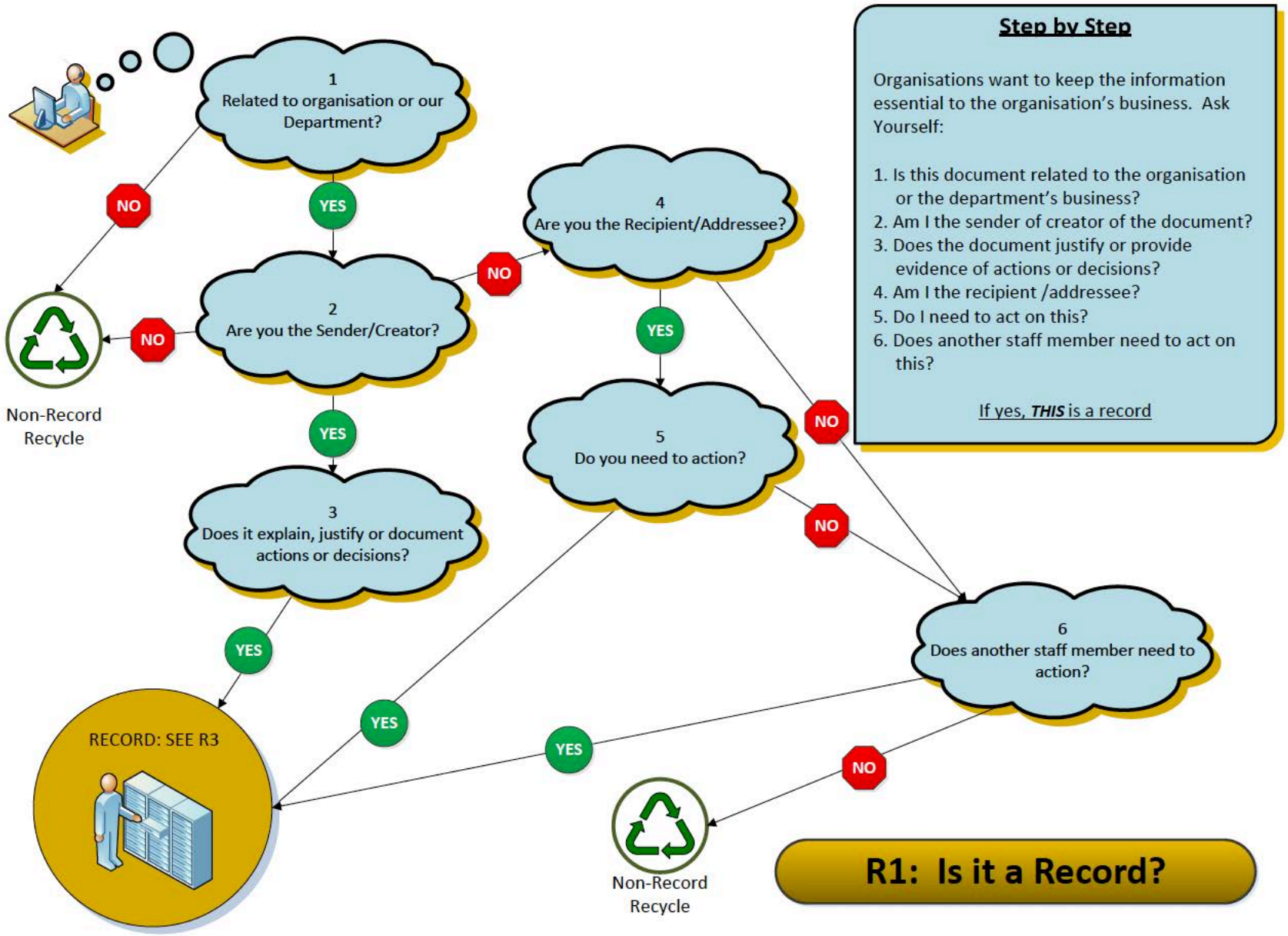
1 : the quality of being able to grasp and comprehend what is obscure : skill in discerning

What is a Record?

- A **record** is any format of information that is created or received by an organization that is evidence of either business or legal activities

- Records can be paper or electronic and can come in many formats including, but not limited to: agreements, books, documents, drawings, emails, GIS layers, letters, manuals, maps, photographs, stories, text messages, videos, voice recordings, vouchers and wax cylinders

Question: Is data a record?



Logic Map

Is it a record?

Source:

FNPSS IM Toolkit

What's in a RIM Program?

A Resolution

That authorizes a RIM Program

Draft a RIM Policy

Draft a Records Classification Plan and Retention Schedule (CPRS)

Draft and customize a RIM Procedures Manual

Add chapters for the following:

- RIM Procedures
- Scanning Program
- Disposition Program
- Email Management Program
- Department Chapters for Acronym Lists, Record Types and Naming Conventions
- Glossary of Terms

Success for Information Governance and Data Governance directly hinges on training & change management

How Can RIM Support Data Management?

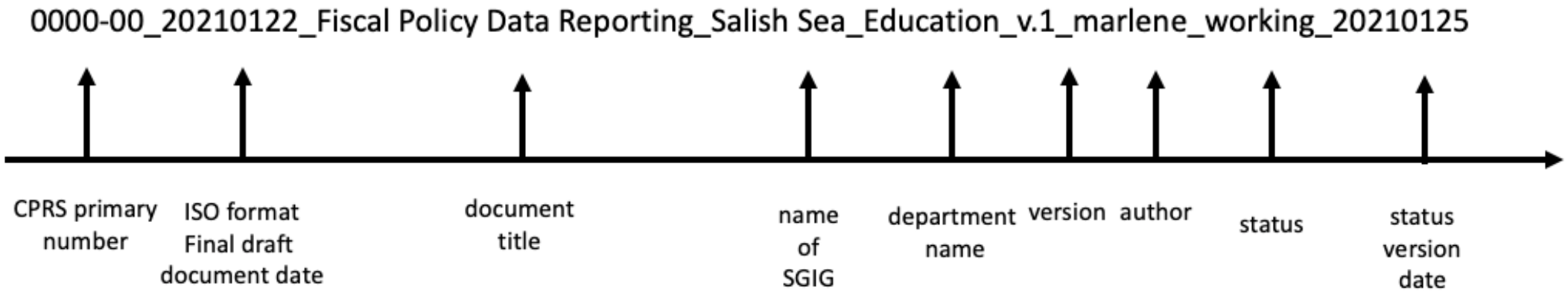
- RIM could draft Data Management's section of the CPRS
- RIM & Legal could clearly define legal +/or business retentions
- Support them with the development of Data Management's Policies, Procedures, Guidelines and workflows
- Create forms, templates & spreadsheets
- Create naming conventions
- Define the format – paper or electronic for these new Data Management records
- Identify locations of data using records mapping

CPRS – Records Classification Plan and Retention Schedule

Naming Conventions

- A naming convention is an agreed upon format that has specific elements that allows the Seeker to know what the electronic record is, without opening the record
- A naming convention will also organize records in a specific order in an electronic folder
- A naming convention is the Seeker's best tool to find records

Naming Convention Fictional Example



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Naming Convention for final version:

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How Can Legal Support Data Management?

- Draft MOUs & other information sharing agreements

- Ensure agreements are legally enforceable & specify the following:
  - Who owns the records
  - How the records +/or data will be used/stored
  - How long the data will be retained either for business +/or legal purposes
  - Define records retentions with RIM

How Can Information Technology Support Data Management?

- IT, working with RIM, to create folders on the Structured Shared Drive for the Data Management project/program/department that hold the appropriate security access controls
- Provide appropriate hardware to support the department
- Work, with the IG Steering Committee, to review software options for handling data
- Review the SGIG's IT Infrastructure to leverage data gathering
- Software reporting to generate targeted data gathering

Fictional Example of Administrative Data

- Finance Department
  - Financial software could export data showing the number of post-secondary tuitions paid during a fiscal year by the SGIG

Leveraging Administrative Data

- STEP 1: Records Mapping: We have our records map of the administrative buildings, department locations & if they have paper records stored onsite & if they are using software

- STEP 2: Electronic Records Mapping and Legacy Line-of-Business software map

- STEP 3: Understanding the lifecycle of a specific type of data, example Payments to institutions for tuition, by citizen

Fictional Finance Department - Payments for Tuition

1973 - 1991 (18 yrs.)	1991 - 2008 (17 yrs.)	2008 - 2021 (13 yrs.)
All Finance Records are paper	All Finance Records are paper & electronic	All Finance Records are paper & electronic
No Accounting Software	New Accounting Software is QuickBooks	New Accounting Software is Sage

Understanding the lifecycle of your records is vital to collecting administrative data

CRA requires a retention of this type of record for 7 years. The likelihood that records from 1973 will still be available is low.

The QuickBooks legacy software is no longer on the server. So, all of those records are gone.

The Sage software is likely the only viable source for Tuition Payments. This limits your data set from 2008 forward.

Conclusion

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