The Impact of Record Keeping on Project Processes and Budget

TO KEEP OR NOT TO KEEP?

Information Management

Current State

Litigation Concerns

Regulation

Freedom of Information

Sarbanes Oxley

SOX Canadian

ISO 9000

Privacy

The State of
Information Management Today

Records Management

Infrastructure Complexity

LEGISLATION

Information Management

Sedona Principals - Canada

Governance

An organization's records contain it's **institutional memory**, an **irreplaceable asset** that is often overlooked…

The only way that an organization can be sure it is in full compliance is by operating a **good information management program**

Records

Information created, received, and maintained as evidence by an organization or person in the transaction of business, or in the pursuance of legal obligations, "regardless of media". Source: ISO 15489

Examples :

Reports, plans, maps, drawings, email about corporate decisions
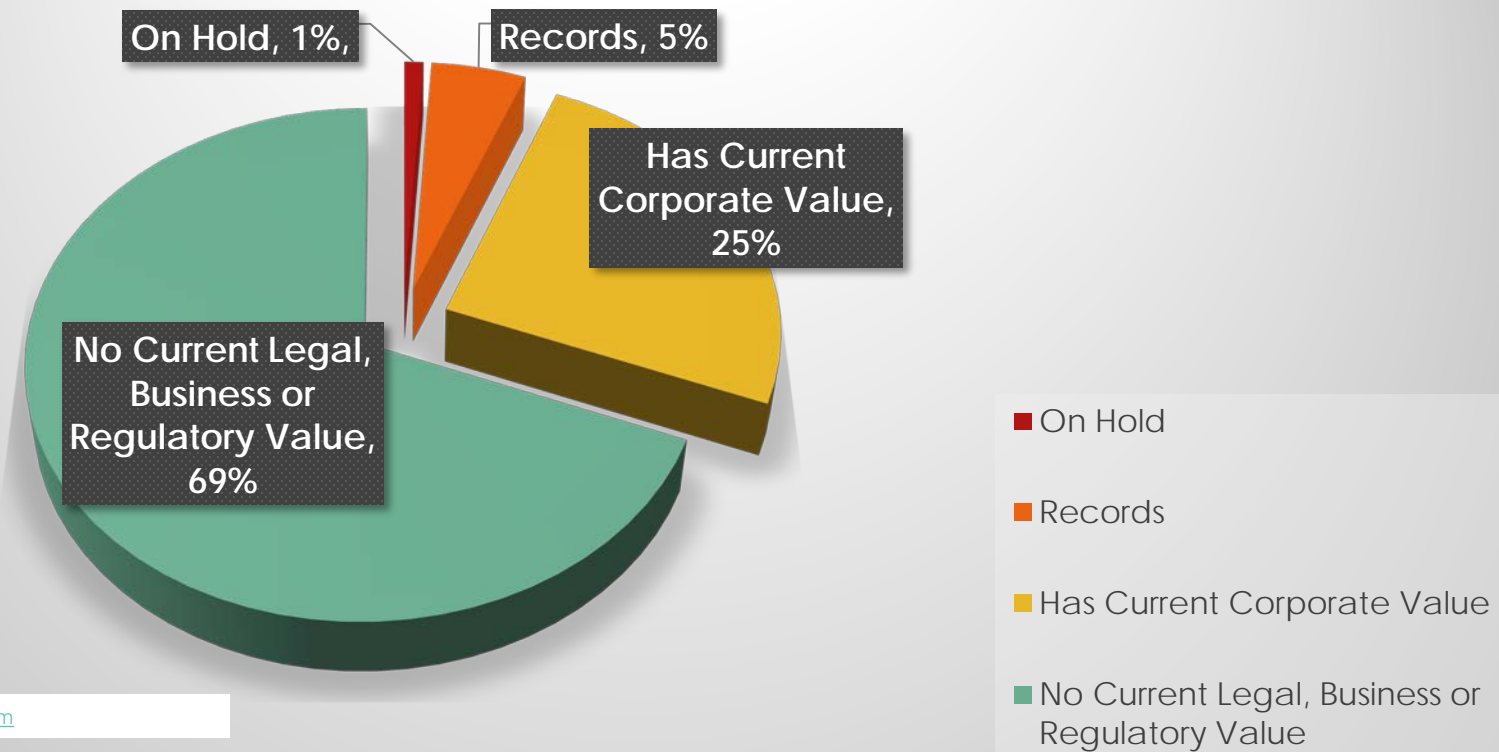
ISO 9000 Records Required

- Document Control (4.2.3)
- Management Review (5.6.1)
- Education, Training, Skills and Experience (6.2.2)
- Product Realization (7.1)
- Customer Requirements Review (7.2.2)
- Design and Development Inputs (7.3.2)
- Design and Development Review (7.3.4)
- Design and Development Verification (7.3.5)
- Design and Development Validation (7.3.6)

- Design and Development Changes (7.3.7)
- Supplier Evaluations (7.4.1)
- Production/Service Processes (7.5.2)
- Identification and Traceability (7.5.3)
- Damaged/Lost Customer Property (7.5.4)
- Calibration (7.6)
- Internal Audit (8.2.2)
- Product Conformity (8.2.4)
- Nonconforming Product (8.3)
- Corrective Action (8.5.2)
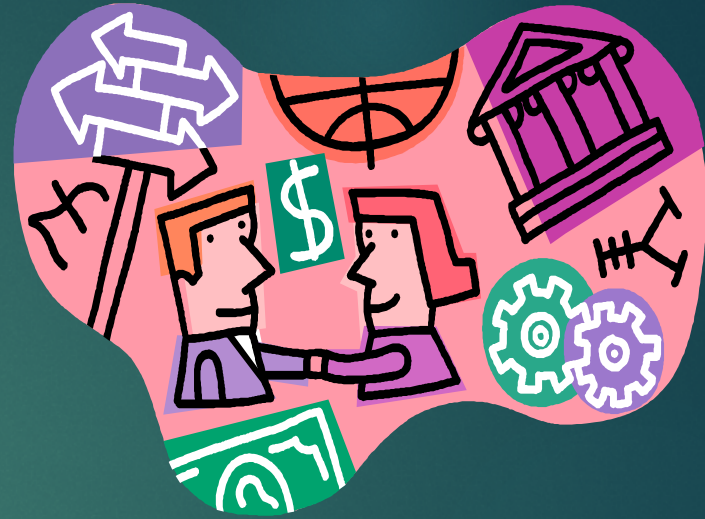- Preventive Action (8.5.3)

Understanding Records Management
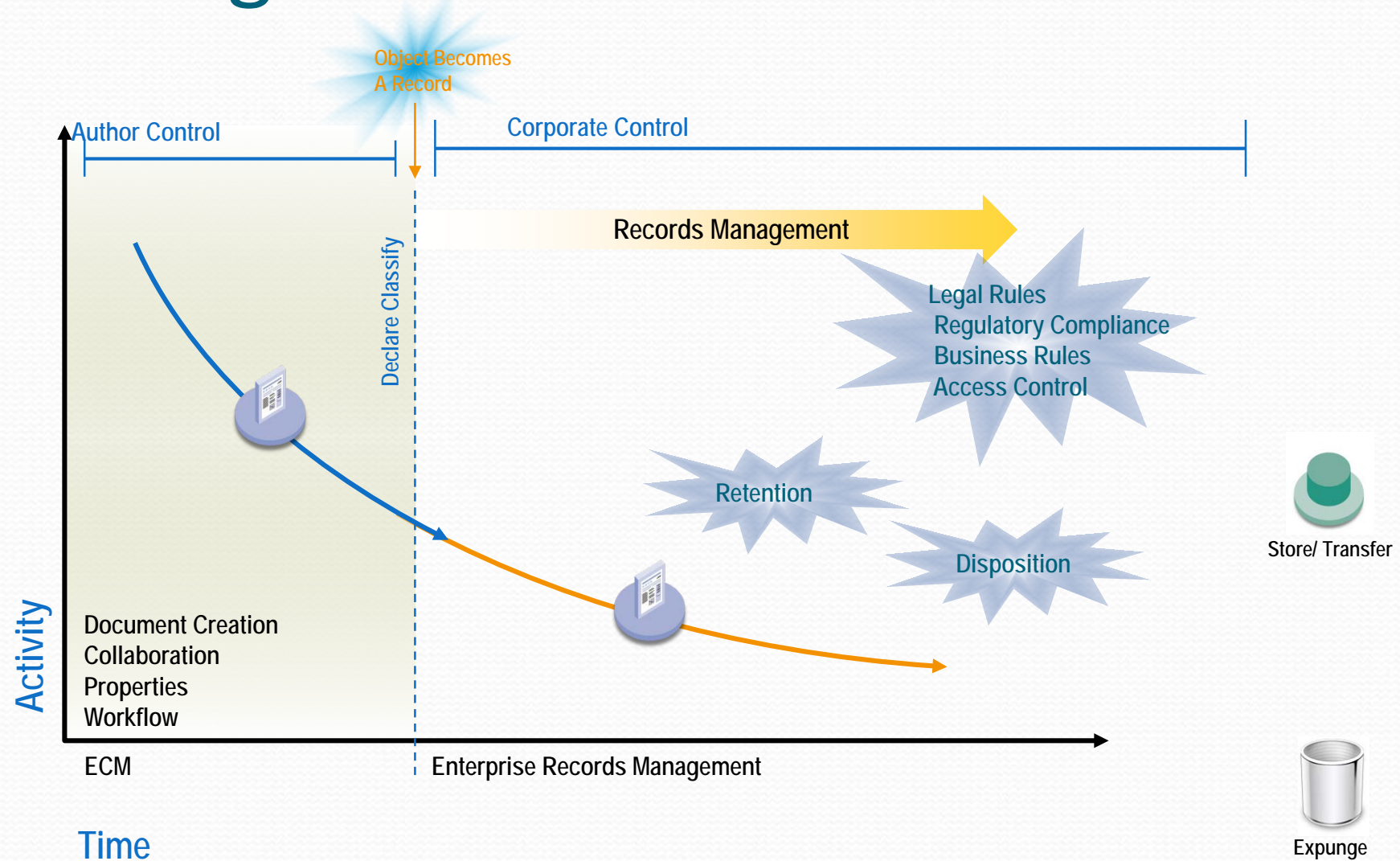
Compliance Governance and Oversight Council
2012 Survey Results

Breakdown of Corporate Information

- On Hold, 1%,
- Records, 5%
- Has Current Corporate Value, 25%
- No Current Legal, Business or Regulatory Value, 69%

Legend:
- On Hold
- Records
- Has Current Corporate Value
- No Current Legal, Business or Regulatory Value

http://www.cgoc.com

The ARMA Generally Accepted Recordkeeping Principles

- **A**ccountability

- **T**ransparency

- **I**ntegrity

- **P**rotection

- **C**ompliance - An information governance program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.

- **A**vailability

- **R**etention

- **Disposition**

"the Principles" Maturity Model

"the Principles" Maturity Level	Color Status
1 Sub-standard	RED
2 In Development	ORANGE
3 Essential	AMBER
4 Proactive	BLUE
5 Transformational	GREEN

- Rating less than 5 may be acceptable because of:
  - Organization risk tolerance
  - Comparable with industry peers or competitors
- Previous level not a prerequisite for next

"the Principles" – Compliance
Principle and Maturity Level Definitions

Level	Qualifications
1 Sub-standard	There is no clear definition of the records the organization is obligated to keep. Records and other business documentation are not systematically managed according to records management principles. Various groups of the organization define this to the best of their ability based on their interpretation of rules and regulations. There is no central oversight and no consistently defensible position. There is no defined or understood process for imposing "holds."

Wikipedia defines Information Governance as

The set of multi-disciplinary structures, policies, procedures, processes and controls implemented to manage information at an enterprise level, supporting an organization's immediate and future regulatory, legal, risk, environmental and operational requirements.

IG encompasses more than traditional records management. It incorporates privacy attributes, electronic discovery requirements, storage optimization, and metadata management.

What Is Information Governance?

ARMA's definition (2012)

Information governance is a *strategic framework* comprised of standards, processes, roles, and metrics that *holds organizations and individuals accountable* to create, organize, secure, maintain, use, and dispose of information in ways that *align with and contribute to the organization's goals*.

How Does the IGP Fit?
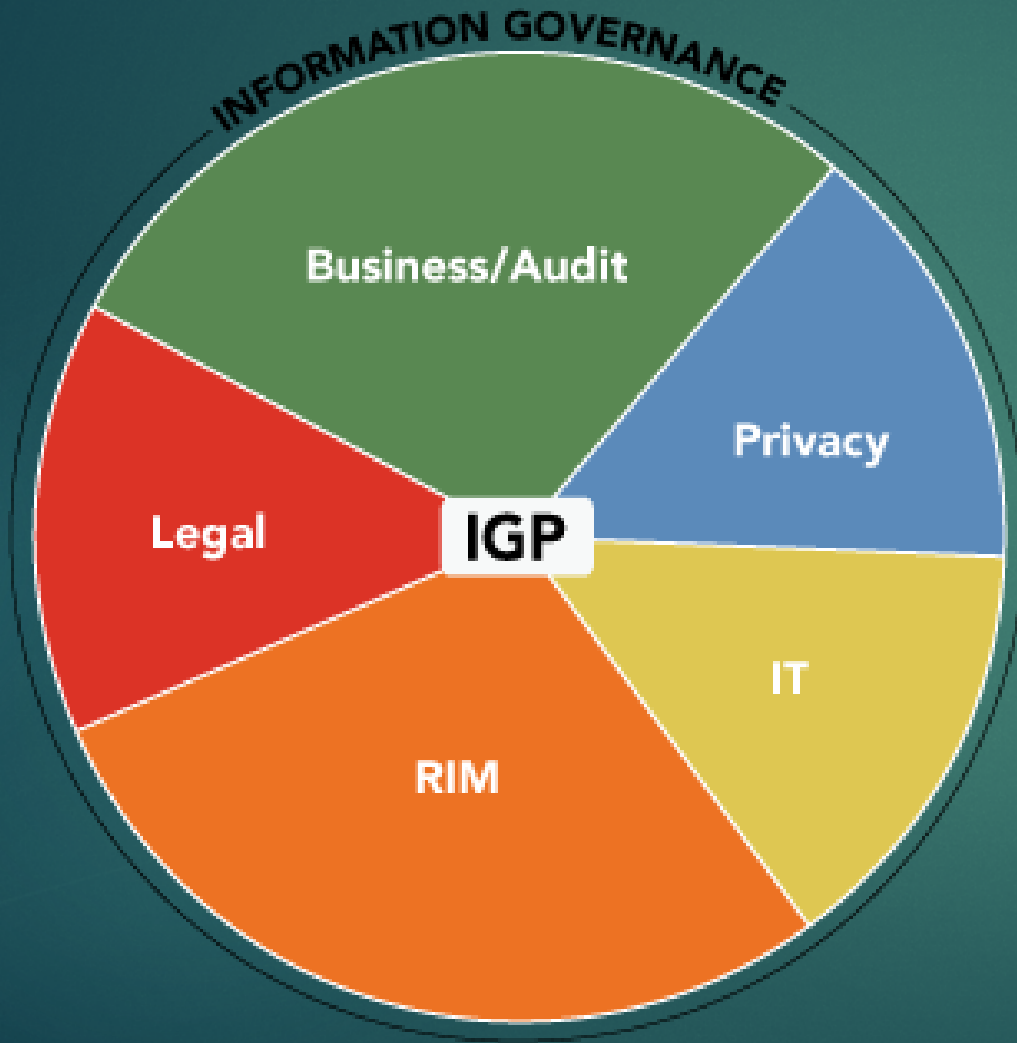
- IG at the center – integrates these various perspectives
- Expand your own knowledge base
- Work more effectively with these natural organizational allies

INFORMATION GOVERNANCE

Business/Audit

Privacy

Legal

IGP

IT

RIM

Electronic Information Issues Today

- Shared network drives are out of control
- Compliance, regulation and governance requirements are larger and more complex every day
- Users are not sure the version of the document they are working on is the current one or if they can find what they are looking for
- Often nothing is destroyed
- E-mail is a huge issue
- The enterprise network infrastructure is getting more complex all the time and hybrid cloud is being contemplated
- An electronic tool is absolutely required for a complete corporate solution but enterprise implementations have been mostly unsuccessful
- Long term view of electronic information is challenging
- Security, Cloud and BYOD have taken some priority away from IM (Information Management)
- SharePoint is everywhere without proper governance or planning employed (SharePoint - The New Shared Drive)

Figure 5: Which of the following reasons would best apply to why your SharePoint project is stalled or failed? (N=180 with stalled or failed projects)

From AIIM Market Intelligence SharePoint Survey 2015
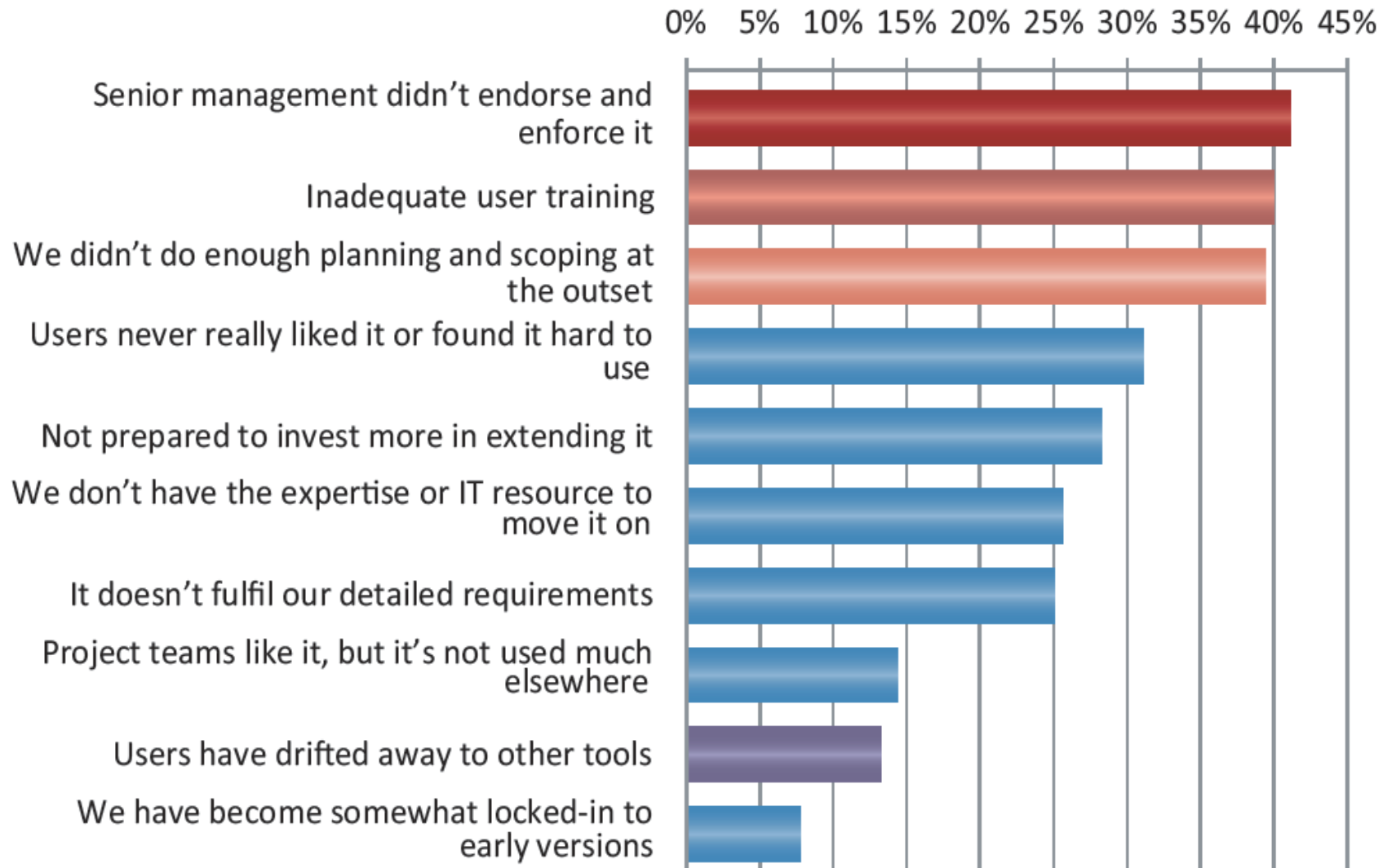
To Keep Or Not To Keep? Records Management at Enbridge

ENBRIDGE

☑ integrity.

☑ safety.

☑ respect.

- Who is Enbridge?

- What is records management at Enbridge?

- How does records requirement impact the project teams or cross functional groups or the company as a whole?

Who is Enbridge?

- Leader in the safe and reliable delivery of energy

- **We transport energy**

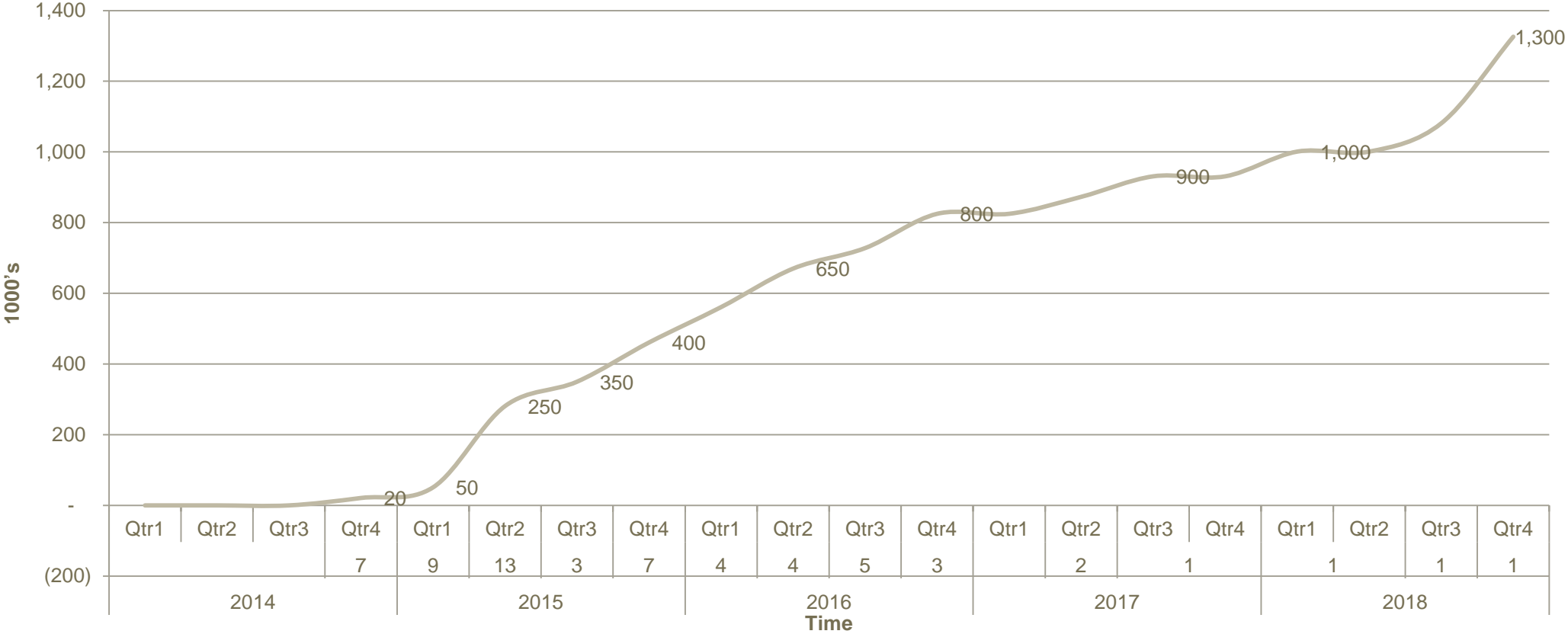 - **We generate energy**

    - **We distribute energy**

- Liquid Pipelines – operator of the world's longest and most complex crude oil and liquids transportation system

Records Management at Enbridge

What is Records Management?

Records Management (RM) is the control of official records across their entire life cycle, including creation and/or capture, active use and distribution, inactive retention and final disposition.

Record Lifecycle Phases

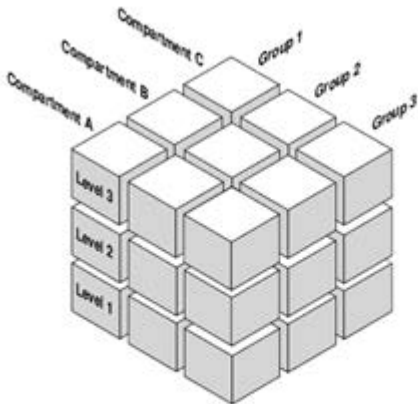Record Creation / Capture

Active Use & Distribution

Inactive Retention

Final Disposition

- Classification

- Verification

- Imaging/Capture

- Storage

How does records requirement impact the project teams or cross functional groups or the company as a whole?

ENBRIDGE

- Ensure Safety

  - Legal Compliance

    - Key Business Decisions

San Bruno Blast

On September 9, 2010 at approximately 6:11 pm, Pacific Gas & Electric (PG&E) suffered an explosion on one of their high pressured gas lines (30-inch (76 cm) diameter steel) in San Bruno's Glenview neighborhood.

John Blanchard / The Chronicle

San Bruno Blast

The explosion created a fireball up to 1,000 feet high, blasting a crater 167 feet wide and measuring as a magnitude-1.1 earthquake.

The explosion resulted in:

- 38 homes destroyed
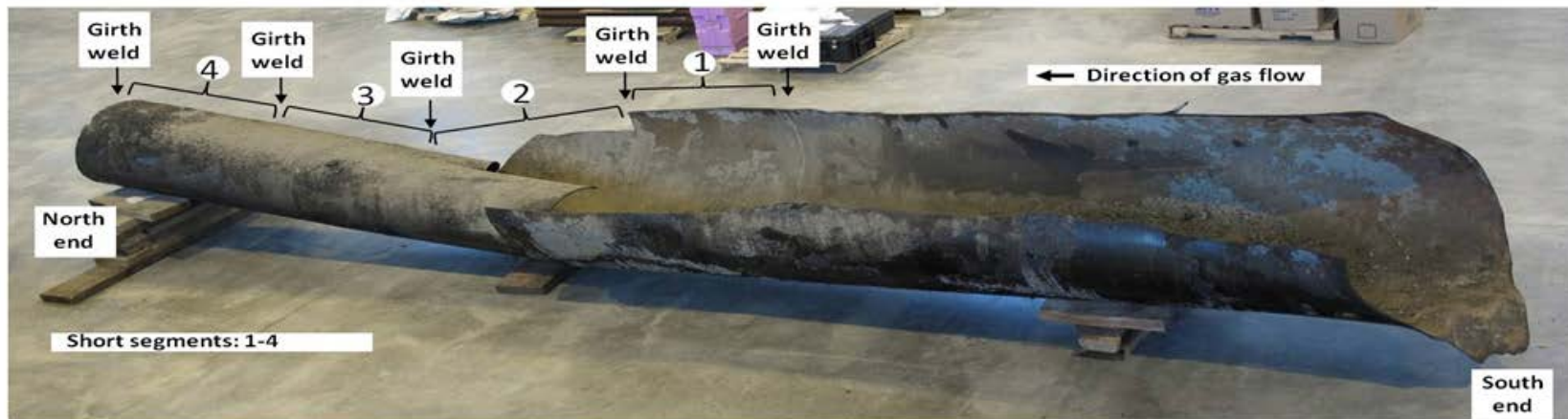
- Dozens injured

- 8 people killed

San Bruno Blast

San Bruno Blast

San Bruno Blast

- Federal investigators later concluded, that the explosion was caused by faulty welds in the pipe and that this could have been avoided with proper record keeping.

- According to federal investigators, PG&E was not aware that the pipeline that exploded in San Bruno had a seam. If it had, the utility would have been required to prove the line was in good condition.

Resources and Standards

- http://www.arma.org Organization of Information Management Professionals

- http://www.arma.org/r2/generally-accepted-br-recordkeeping-principles The ARMA "Principles"

- http://www.AIIM.org

Gartner predicts that, by 2017, 33 percent of Fortune 100 organizations will experience an information crisis, due to their inability to effectively value, govern and trust their enterprise information
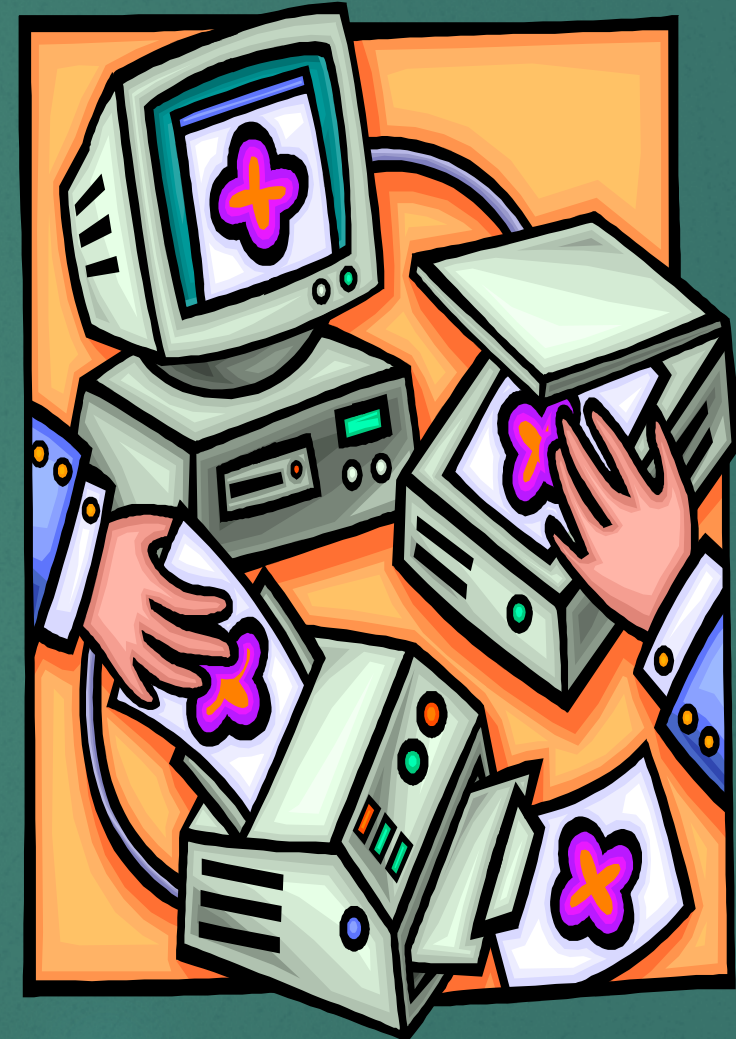
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QUESTIONS ?

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