

Welcome to the ARMA Swiss Chapter News

Dear Information Governance Professional,

Time flies and 2018 is almost over. Most of you are probably deep into budgeting and planning for 2019 ... or ready for the Holiday Season.

Before raising the glass sharing best wishes for New Year it's good to look back and to review achievements and failures of the past year. ARMA Swiss Chapter has survived. That's good. However, we did not manage to substantially increase the number of members and the special interest groups have not lifted off at all or are struggling to gain altitude.

Let's use these facts to set the targets for 2019: Please contribute to turn ARMA Swiss Chapter into the active and successful Center of Expertise for Information Governance in Switzerland.

We are not only looking forward to seeing at least some of you at the next quarterly meeting on December 13th at ZKB in Zurich, but we're hoping seeing all of you on all 2019 events as active participants of the ARMA Swiss Chapter.

Have a wonderful Holiday Season and all the best in 2019,
Board of ARMA Swiss Chapter

Next Events (save the dates)

- December 13th, 2018, ZKB, Zurich
- March 28th, 2019, Zurich (including General Assembly)
- June 27th, 2019
- September 26th, 2019
- December 12th, 2019
- European RIM Conference, Leeds/UK, 28 – 30 August 2019

Special Interest Groups

(Details available [online](#))

- Financial RIM Roundtable
- Semantic Information Management

Contact us! Visit our Website!

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<http://www.armachapter.ch>
Twitter: [@armaswisschap](#)

All Newsletters are published and accessible on the website

Hot Topics from the Chapter • ARMA Swiss Chapter-only Membership

At the General Assembly held on March 22nd, 2018 in Zurich the decision was formally taken to change the [bylaws](#) to allow accepting local memberships. Paragraph 3.2 of the bylaws reads as follows: "This type of membership is with the ARMA Swiss Chapter only. It entitles the member to join all chapter events and receiving news and collateral materials issued by the chapter. It does not include any services granted by ARMA International.". The yearly fee was set to CHF 50.00.

If you are interested in becoming a local member, please apply online on the [ARMA Swiss Chapter Membership page](#).

• Quarterly Meetings and General Assembly

Please block the evenings of March 28th, June 27th, September 26th and Dec 12th in 2019 and try to attend. Discussions and networking become more valuable having a broad representation of experience and knowledge.

General Assembly will take place at the spring meeting on March 28th.

• ARMA International Website

The website of ARMA International has undergone a complete redesign. The new website should bring easier navigation and greater ease in accessing ARMA's tools and resources that are so important to your careers. You'll find new resources to help you and your stakeholders understand the value of IM and IG professionals, as well as ARMA's perspective on the IM and IG industries.

• ARMA Live! 2019

The ARMA International Conference 2019 takes place from October 21-23, 2019 in Nashville, TN, USA.

Deep Dive and Knowledge Transfer

Who is in charge for Information Governance in the organization?
by Guy Rom, LL. B, member of the ARMA Swiss chapter board

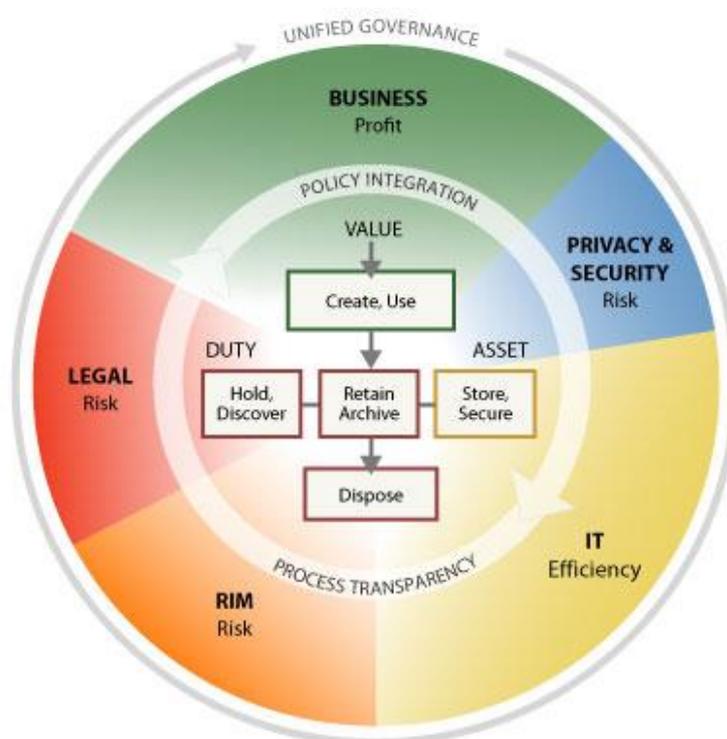
Information Governance is everyone's obligation!

The information should be considered as one of the organization's most valuable assets. Therefore, it cannot only be one department's or even an individual's obligation to look after these assets.

When looking at the Information Governance Reference Model (IGRM) it becomes obvious that there are multiple stakeholders involved with all of them having a distinct interest of having information properly managed along its lifecycle:

Information Governance Reference Model (IGRM)

Linking duty + value to information asset = efficient, effective management



Who are the stakeholders?

During the information's lifecycle the main stakeholders and their interest in the information are varying. Hence, it's important to not only focus on the information's content and semantic but also to ask the question "Where in its lifecycle is the information object?".

Beside the information's position in its lifecycle the stakeholder's role needs to be evaluated, too. Is the stakeholder accountable for the content or is he/she responsible to process the information? Here it's worthwhile to remember some of the Principles (GARP) which must be implemented and followed when pursuing to achieve a best practice Information Governance:

Accountability: A senior executive (or person of comparable authority) oversees the recordkeeping program and delegates program responsibility to appropriate individuals. The organization adopts policies and procedures to guide personnel and ensure the program can be audited.

Transparency: The processes and activities of an organization's recordkeeping program are documented in a manner that is open and verifiable and is available to all personnel and interested parties.

Stakeholders along the Information Lifecycle – Accountable or Responsible?

Based on the commonly used RACI notation the various stakeholders' roles can be determined:

- Responsible** – Who is completing the task.
- Accountable** – Who is making decisions and taking actions on the task(s).
- Consulted** – Who will be communicated with regarding decisions and tasks.
- Informed** – Who will be updated on decisions and actions.

Stakeholder and Role ----- Focus	Business* (in its widest sense / all functions)	Legal / Compliance	Records and Information Management (RIM)	IT / Technology	Privacy and Security
	Content and value of information	Complying with laws and regulation	Following the Principles (GARP)	Efficient processing of electronic information	Protecting personal information
Phase in Lifecycle					
Create / Receive	A / R	(I)	(C)	C (ESI**)	(C)
Use	A / R	(C)	(C)	(C) (ESI**)	(C)
Hold / Discover	(R)	A / R	R	R (ESI**)	C
Retain / Store / Secure	R	C	A / R	A / R (ESI**)	C
Archive	R	C	A / R	A / R (ESI**)	C
Dispose	I	C	A / R	A / R (ESI**)	C

* Business: Any function in the organization which is processing information (physical or electronic)

** ESI: Electronically Stored Information

What would a typical interaction between stakeholders along the information lifecycle be?

With having assigned the various RACI roles to the stakeholders and phases of the information lifecycle it's worth looking into the interactions between the stakeholders in more detail, but still in a rather generic way. In real life business processes would provide the basis on which role-holders would get assigned:

Phase in Lifecycle	Activities and interactions according RACI matrix above
Create / Receive	<p>Business creates or receives information when performing the tasks they are responsible for. Being responsible for a task would include responsibility for the information related with the task.</p> <p>Business evaluates and classifies the information created or received and would consult with Privacy and Security in case business sensitive or personal data is involved. Business would consult with RIM regarding classification.</p> <p>The classification would determine how to treat the information along its lifecycle, e.g. handling it as record and following legally defined processing obligations including archiving. It may also be classifying information for disposal shortly after having it received to not further increase the amount of ROT (redundant, obsolete, trivial) data in the organization.</p> <p>Business owns the information and hence will remain accountable for the information all along the lifecycle and must ensure integrity of the information.</p>
Use	<p>Business makes use of the information when performing the tasks they are responsible for.</p> <p>Business is held accountable for the information's content and value and hence must ensure its integrity. Depending on the information's content and the tasks in scope, business would consult with Legal/Compliance, RIM and Privacy and Security, respectively, to ensure adherence to laws, regulations and policies.</p> <p>Establishing and documenting standard processes would increase efficiency and consistency on how information is being used.</p>

<p><i>Hold / Discover</i></p>	<p><i>Legal / Compliance is accountable to ensure information required as evidence e.g. in legal cases is protected from being tampered or even disposed. Legal would provide guidance what information is in focus and how it would have to be protected, either by creating and keeping a true copy or by transferring the information into a legal hold repository.</i></p> <p><i>Retention periods applied in normal situations would be extended based on the instructions given by Legal / Compliance.</i></p> <p><i>In situations where personal data is involved, Legal / Compliance would consult with Privacy and Security.</i></p>
<p><i>Retain / Store / Secure</i></p>	<p><i>RIM (or IT for ESI) is accountable to determine rules and processes on where and how to keep information accessible. By establishing such rules confidentiality, security etc. shall be ensured. Legal/Compliance as well as Privacy and Security are to be consulted in case of sensitive business information and personal data.</i></p> <p><i>It's the Business' responsibility to store their information in accordance to the rules set by RIM (or IT for ESI).</i></p>
<p><i>Archive</i></p>	<p><i>RIM (or IT for ESI) is responsible and accountable for archives, i.e. those repositories containing information which must keep its value as evidence e.g. for financial audits or historical reasons. However, RIM (or IT for ESI) would not be accountable for the content of the individual item in the archive e.g. record. It remains the business' obligation to ensure the correct information is being archived.</i></p> <p><i>RIM (or IT for ESI) is accountable and responsible to ensure that the strict rules of an archive are followed e.g. restricting and logging access to archives, ensuring information is being returned unaltered.</i></p>
<p><i>Dispose</i></p>	<p><i>It's RIM's (IT's for ESI) accountability and responsibility to understand what information to keep and to dispose of information that is no longer needed.</i></p> <p><i>However, at the beginning of the information's lifecycle, it's Business' accountability, potentially after consulting with Legal / Compliance and with Privacy and Security, to determine retention rules including retention periods and triggers when classifying information. These rules would have to be followed by RIM (and IT for ESI).</i></p> <p><i>Depending on the Business' or Privacy and Security's guidance, disposing of information can also consist of anonymization.</i></p>

Who would be head of Information Governance? Who shall be overall accountable?

By knowing in an organization who the stakeholders are and by having the right people processing the information along its lifecycle in accordance to best practices (e.g. The Principles), already a big step to state-of-the-art Information Governance is achieved.

However, someone must have the overall accountability for Information Governance. Considering that RIM is sitting in between Business and all other stakeholders and them having the most comprehensive view on the topic, it's good practice having RIM accountable for overseeing Information Governance in an organization. To ensure their effectiveness a direct reporting line to the upper management is key.

But never forget that, ultimately, it's the Business owning the information and being accountable for it.

Conclusion

Running an organization successfully has become only possible if information is being managed actively along its entire lifecycle. Therefore, information governance must become an integral part of everyone's daily routine in an organization. But only if the various stakeholders, i.e. Business, Legal/Compliance, RIM, IT and Privacy and Security, are interacting closely and as part of a set of well-established processes which are based on agreed rules, information will be managed successfully and sustainable.

It's the organization's top leaders being accountable for having information governance policies and processes implemented and applied across their organization.

Note/Disclaimer: *This Newsletter is the author's view only.*