



Silver State Chapter

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

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Discussion Points

- About Zions Bancorporation
- About 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

- 480 Banking Offices in Ten Western and Southwestern States:
 - Arizona, California, Colorado, Idaho, Nevada, New Mexico, Oregon, Utah, Texas, Washington
- As of December 31, 2012
 - \$53 billion in assets (ranked 38)
 - 19th largest in deposits
 - “Systemically Important” under DFA
 - 10,600 employees
- Subsidiaries include
 - 8 Affiliate Bank Brands
 - Including Nevada State Bank
 - 2 Securities Brokerages
 - 1 Investment Advisor Firm



About David Fleming

- 33 years in banking industry
- Records Management 1979 – 1995
 - Supported/managed bank operations functions, system conversions, customer account research, micrographics production.
 - Managed off-site storage/records center consolidations/operations up to 150k cu. ft.
- Project Management 1996 – 2005
 - Project manager for complex merger related process & technology integrations
 - Pilot & operational projects implementing electronic check image processing
- Records Management 2005 – Present
 - Legal hold & discovery process development with focus on “ESI”
 - Policy/retention schedule development, maintenance, enforcement
- Professional and Trade Associations 2005 - Present
 - Eight ARMA International Conferences 2005 – 2012
 - ABA RMWG Toolbox Development 2006 - 2009, 2012- Present
 - ARMA Utah-Salt Lake Chapter Board 2006 – 2012
 - ARMA Pacific Region Coordinator 2010 – Present
 - ARMA International CIGP Exam Development Project – 2012
 - Developed multiple RIM/IG Educational Presentations and seminars
- Still have a lot to learn and always will!

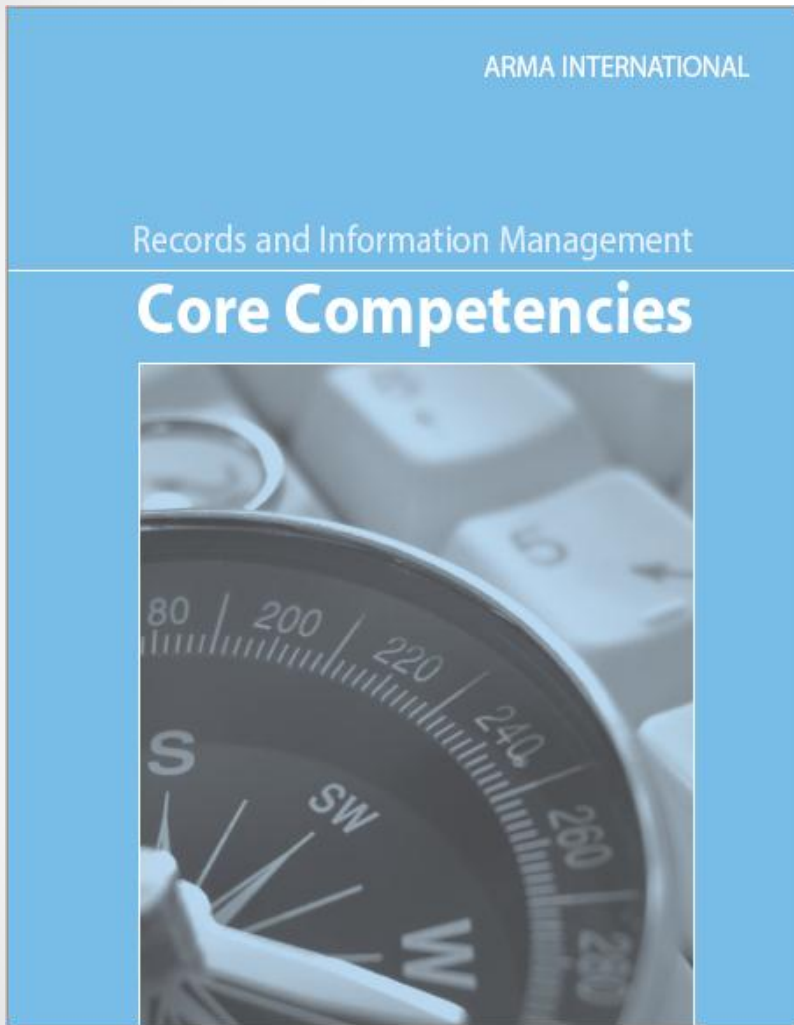
Tactics v. Strategy

- 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 is not a “policy”
 - Information Governance is a strategic framework composed of standards, processes, roles, and metrics that hold 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.
Source: Glossary of Records and Information Management Terms, 4th Ed. (ARMA TR 22-2012)
- Records & Information Management is NOT obsolete, but it’s practice is evolving

Focus of RIM (Tactics)

- Record definition, inventory and classification
- Development/maintenance of policy and retention schedules
- Policy enforcement/program audits
- RIM Process development
- RM, EDRM, ECM, ECRM software implementation and maintenance
- Managing availability of records & information
- Security, vital records protection, and business resumption
- Consultation with business units on RIM Practices
- Offsite physical records storage administration
- Disposition of records and information
- RIM Vendor relationships

Focus of RIM (Tactics)



Competency Domains

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

Focus of Information Governance (Strategy)

- Formulated to support an Organization's Mission, Strategy, Business and Compliance Goals
- Developed by a multi-disciplinary team representing all major business units of the organization
- Provides a common framework to guide business units tactical/process planning & design that meets information management goals of all stakeholders
- Requires buy-in and support from C-Level Executives
- The IGRM provides a framework for cross functional and executive dialogue and serves as a catalyst for defining a unified governance approach to information.
- The Principles® provide a framework for planning and assessment of Information Governance Performance

Focus of Information Governance (Strategy)

Generally Accepted Recordkeeping Principles

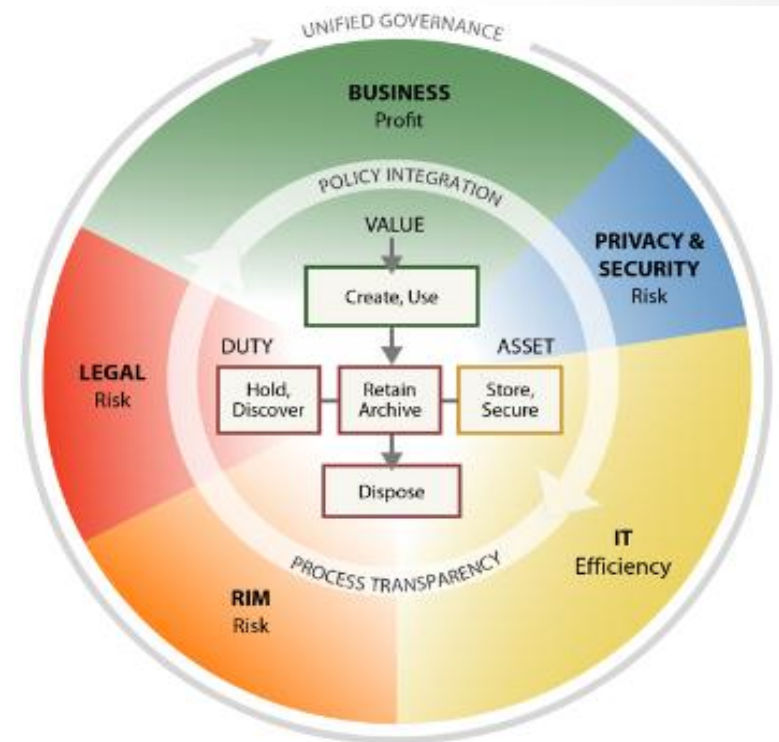
- **A**ccountability
- **T**ransparency
- **I**ntegrity
- **P**rotection
- **C**ompliance
- **A**vailability
- **R**etention
- **D**isposition

References / Resources

- Information Governance Reference Model
- The Principles® (Generally Accepted Recordkeeping Principles®)
- The Principles® Maturity Model
- The Principles® Assessment Tool

Information Governance Reference Model (IGRM)

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



Duty: Legal obligation for specific information

Value: Utility or business purpose of specific information

Asset: Specific container of information

Information Governance Reference Model / © 2012 / v3.0 / edrm.net

Change the Paradigm

- Although a critical component of information governance strategy implementation, “RIM 101” is only part of the solution
- Information Governance is a multi-discipline organization-wide strategy requiring a high degree of collaboration with key business partners at the highest levels of the organization
- We need to become “Program” Managers as opposed to a “Records” Managers, whether we are focused on organizational strategy or tactical implementation
- We must “take a seat at the table” which requires that we develop critical business skills and relationships and understand how information governance supports the goals of the business it supports
- 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
 - Use RIM best practices to 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
 - Make it simple for the business to 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, business strategy and goals
 - Tie Information Governance Strategy to business strategy
 - 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 Information Governance Strategy engaging a multi-disciplinary team
- Tie Information Governance Goals to Organizational Strategy
- Know your company and develop strategic relationships
- Pick the low-hanging fruit
- 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)

Questions / Discussion - Contact Info

- Questions & Discussion
- Contact Information
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 - Pacific Region Coordinator
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