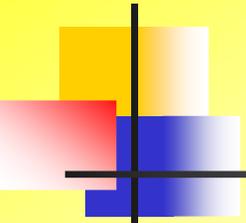


Building an Effective Paperless Records Management Governance Structure

**BADM 559 Enterprise IT Governance
Professor Michael Shaw**

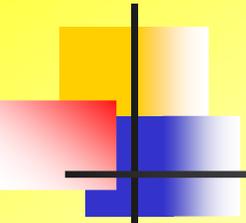
**By
Moh'd A. Obeidat**

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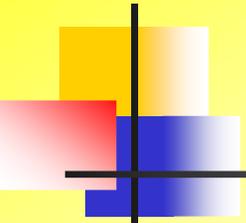
Transition from Paper to Paperless Records

- ❑ Currently, Bulk of business information is produced electronically and most records are created in electronic form
- ❑ This presents new challenges for storage, filing, and retrieval
- ❑ Most existing Policies, infrastructure, and business processes were designed for a paper world
- ❑ So, new laws and policies must be written to adapt to the changing environment
- ❑ Compliance with regulations is becoming a top priority for executives across all industries due to the recent crackdown and introduction of the newer regulations, such as Sarbanes-Oxley.



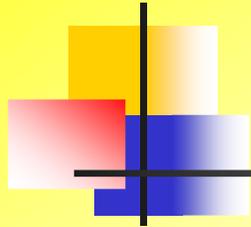
Definitions

- ❑ **Record:** means “ a book, letter, document, paper, map, plan, photograph, film, card, tape recording, electronic data, or other documentary material regardless of physical form or characteristics: that is prepared, owned, received, or retained by a governmental entity or political subdivision.” GRAMA, 63G-2-103(22)(a)
- ❑ **Paperless Record:** any combination of text, graphics, data, audio, pictorial or information in digital form created, modified, maintained, archived, retrieved or distributed by a computer system
- ❑ **Records Management:** is the process of systematic management of records and its content of information and data, whether it is retained in paper or electronic format
- ❑ **IT Governance:** is "as the set of organizational regulations and standards exercised by management to provide strategic direction and ensure that objectives are achieved, risks are managed appropriately, and resources are used responsibly.” (Office of Justice Program, n.d)



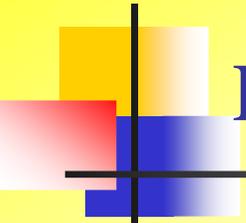
Significance of Paperless Records

- ❑ Ensures compliance with federal and state laws and regulations
- ❑ Protects Business in Litigation
- ❑ While clearing out clutter is important, tossing the wrong paper or deleting an important e-mail can have disastrous consequences
- ❑ Reduces chances for inconsistent, reckless or personally-motivated disposal of records
- ❑ Valuable records become more accessible, valueless records are destroyed, inactive records are transferred, frees up valuable space, and cost Savings and Productivity
- ❑ Promotes and improves operational efficiency



The Goal of Governance

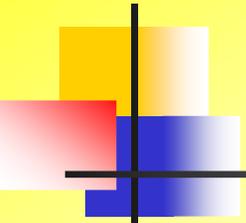
- ❑ create an structure for managing IT that will advance the strategic mission of the agency.
- ❑ setting priorities for IT projects that are aligned with the agency's objectives.
- ❑ funding initiatives that are highly valued by the agency, its staff, and the public.
- ❑ Identifies and defines the activities and relationships among groups established to ensure that projects such as PRM are successfully implemented
- ❑ Establishes the decision-making authority of those groups and makes them accountable for their undertaking



Benefits of Governance Structures

When employ governance with IT projects such as PRM, governance structures:

- ❑ Assure that all IT projects further the goals and priorities of the agency
- ❑ Improve the ability of an agency to share data and establish common systems
- ❑ Clarify and enforce policies equally across all projects
- ❑ Reduce the conflicts that arise when roles and responsibilities are not clearly defined
- ❑ Ensure that corrective actions are taken with regard to problematic IT projects, reducing the number and severity of failures through oversight and appropriate management.



Governance Bodies

- Executive Board:

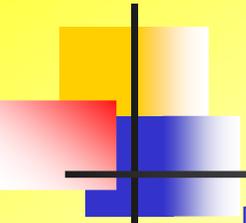
- Establishes vision, scope, and objectives for enterprise PRM
- Oversees the planning, implementation, operation, and management of PRM

- Operational Board:

- Develops an agency's PRM policy infrastructure
- Recommending enhancements to the system
- Updating processes

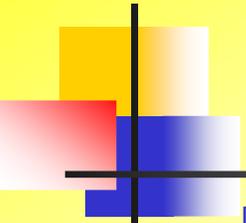
- Technical Board:

- Assess current Technical environment, policies and solution of PRM
- Monitor daily activities, system performance and improvement



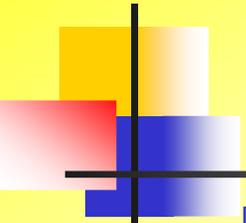
Essential Factors for Governance Success

- ❑ **Leadership:** provides direction and guidance on how an agency will employ ERM and administer its IT investment in the enterprise-wide initiative
- ❑ **Accountability:** at all levels is an essential aspect of IT project governance. Defining roles and responsibilities of each group and the way in which the groups interact with one another
- ❑ **Oversight:** ensures that IT operations and projects result in efficient operations and improved services from a strategic and tactical point



Effective Governance Mechanism

- Have been actively designed such as a large initiative launch gone wrong.
- produce close collaboration between stakeholders, users, and IT professionals, breaking down artificial boundaries established in the past that created silos and islands of information and systems that do not work with one another.
- Are a way of coordinating numerous complex projects, balancing conflicting needs.



Tips for an Effective PRM Governance

- ❑ Limit the number of decision-making structures to minimize confusion as to whom to consult when.
- ❑ Resist frequent redesigns of your governance structure so that staff can easily remember those with whom they need to confer/consult.
- ❑ Establish specific project deliverables and a timetable for delivery that has been agreed to by all staff affected by the shift to PRM at your agency.
- ❑ Design processes for handling exceptions so that all major decisions relating to the project will be made within the governance structure.
- ❑ Educate managers as to how to use governance mechanisms