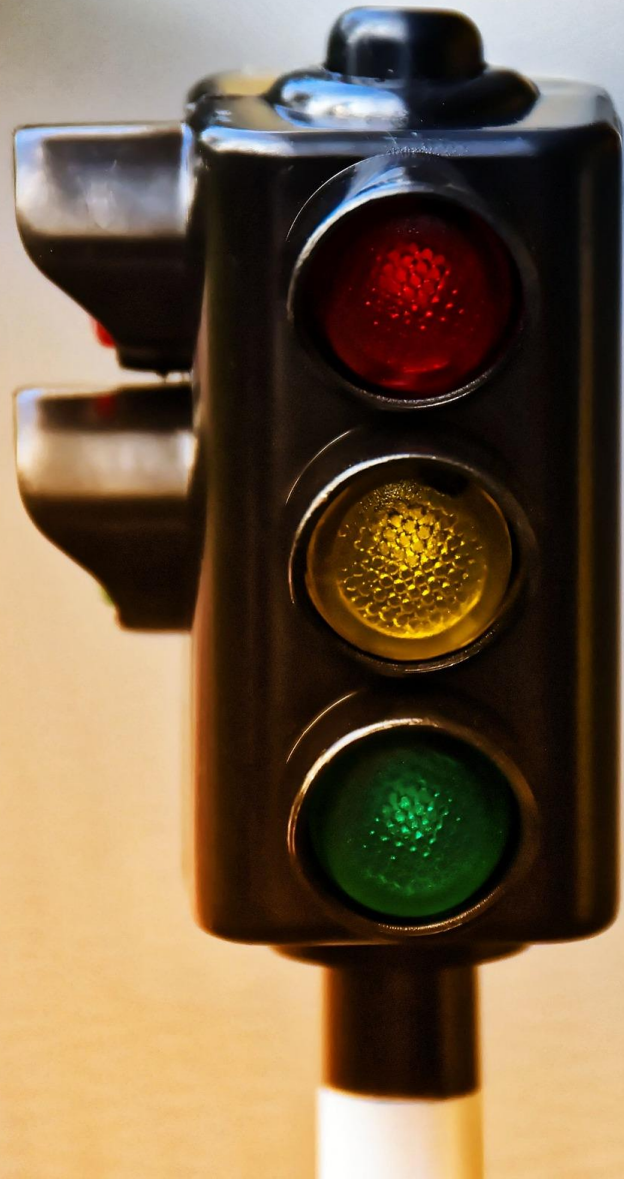


RECORDS  
COORDINATOR  
ALL-HANDS  
JUNE 18, 2024



AGENDA

- Data Governance and Data Classification
- Open Forum Q & A
- News from Records Management



# DATA GOVERNANCE AND DATA CLASSIFICATION FOR RECORDS MANAGEMENT

NORTH  
**Dakota**  
Be Legendary.

Information Technology

# Data is Us

Our data is a direct representation of our customers or citizens and our most important and most precious asset.

We need this data to drive decision-making about how best to serve them, and we are obligated to use it well.



# Healthy Data Culture

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Data  
Literacy

- A healthy data culture is key to amplifying the power of your data
- Healthy data culture looks like:
  - Everybody knows the data
  - Everybody trusts the data
  - Everybody talks about the data



# Terminology

## The Relationship

Here is a visual interpretation of the relationship between data, information, and records:

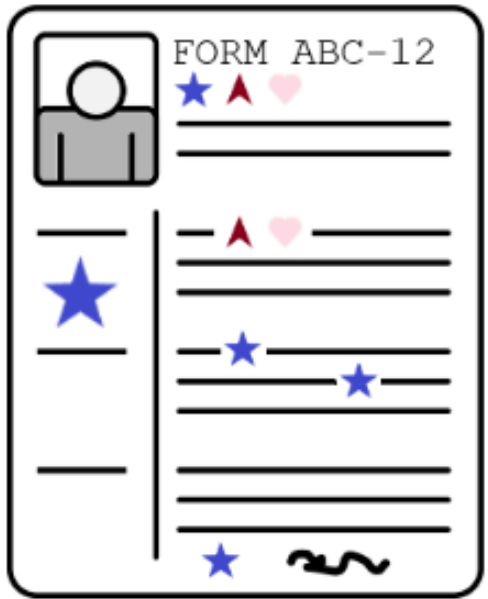
Data



Information

	★	▲	♥
001	★	▲	♥
002	★	▲	♥
003	★	▲	♥
004	★	▲	♥
005	★	▲	♥
006	★	▲	♥
007	★	▲	♥

Record



FORM ABC-12

★	▲	♥
★	▲	♥
★	▲	♥
★	▲	♥
★	▲	♥
★	▲	♥
★	▲	♥

★

# Terminology

- Data Governance: the specification of decision rights and an accountability framework to ensure the appropriate behavior in the valuation, creation, storage, consumption and control of data and analytics.
- Information Governance: the specification of decision rights and an accountability framework to ensure appropriate behavior in the valuation, creation, storage, use, archiving and deletion of information.

# What is Data Governance?

**Data Governance** is an enabling framework of decision rights, responsibilities, and accountabilities for data assets across the enterprise.

## Data governance is:

- Essential for any organization that makes decisions about data
- A partnership between business and IT
- Executed according to well-defined, agreed upon models and standards

## Data governance is not:

- Finger-waving or a roadblock to getting things done
- Meant to solve ALL data-related business or IT problems
- An inhibitor to using data

# Why Do We Need Data Governance?

- Secure your data
- Ensure compliance with regulations and privacy laws
- Better management of records and information
- Improve the quality
- Improve trust in the data
- Better decision making
- Improve efficiency





# 10,000 Ft View of Governance

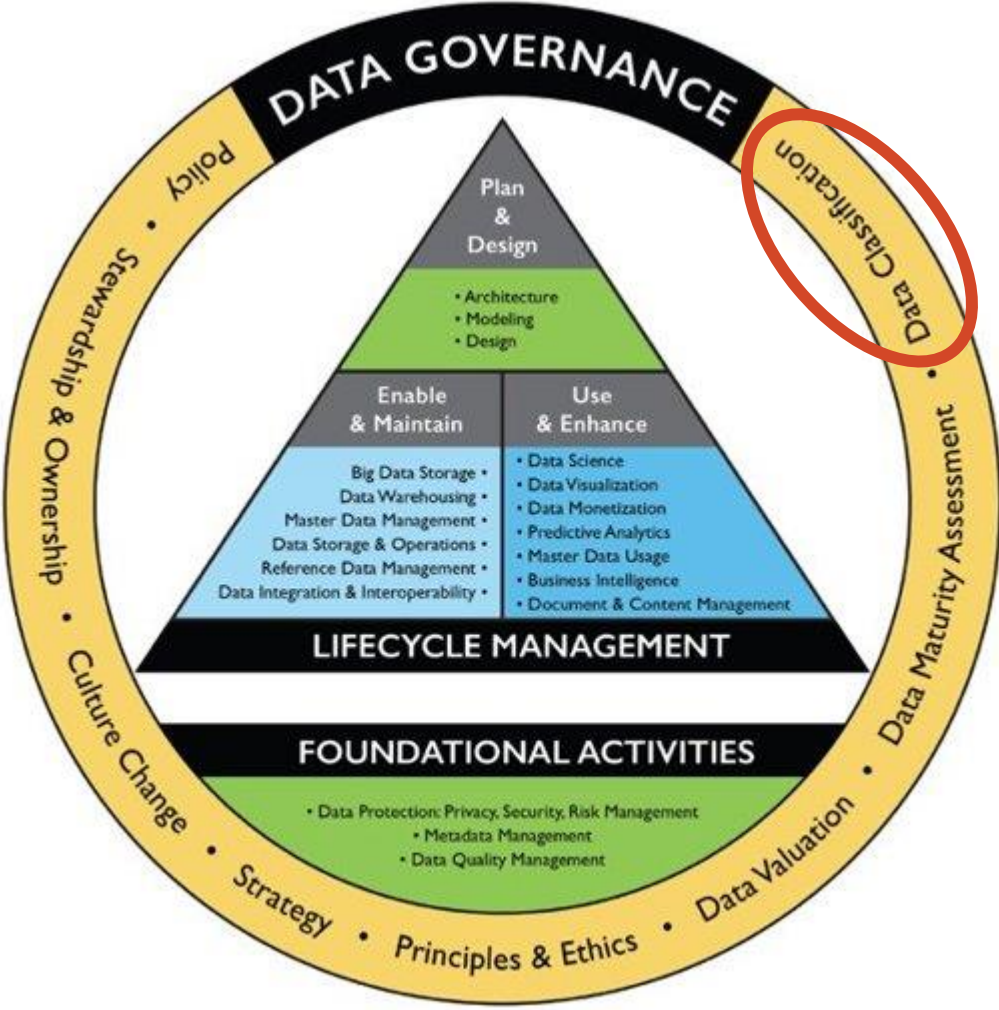


Figure 11 DAMA Wheel Evolved

# Step 1: Data Governance Workgroup

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**Cross-sectional team created**, oversight from the Data Team.

Team Members Represented:

- Business Applications (Julie Arp)
- Data Analytics (Jill Baber)
- Records Management (Aimee Bader)
- Enterprise Architecture (Eli Cornell)
- Security/GRC (Josh Kadrmas)
- Legal/General Counsel and NDIT Chiefs

# Step 2: Research Public Policies

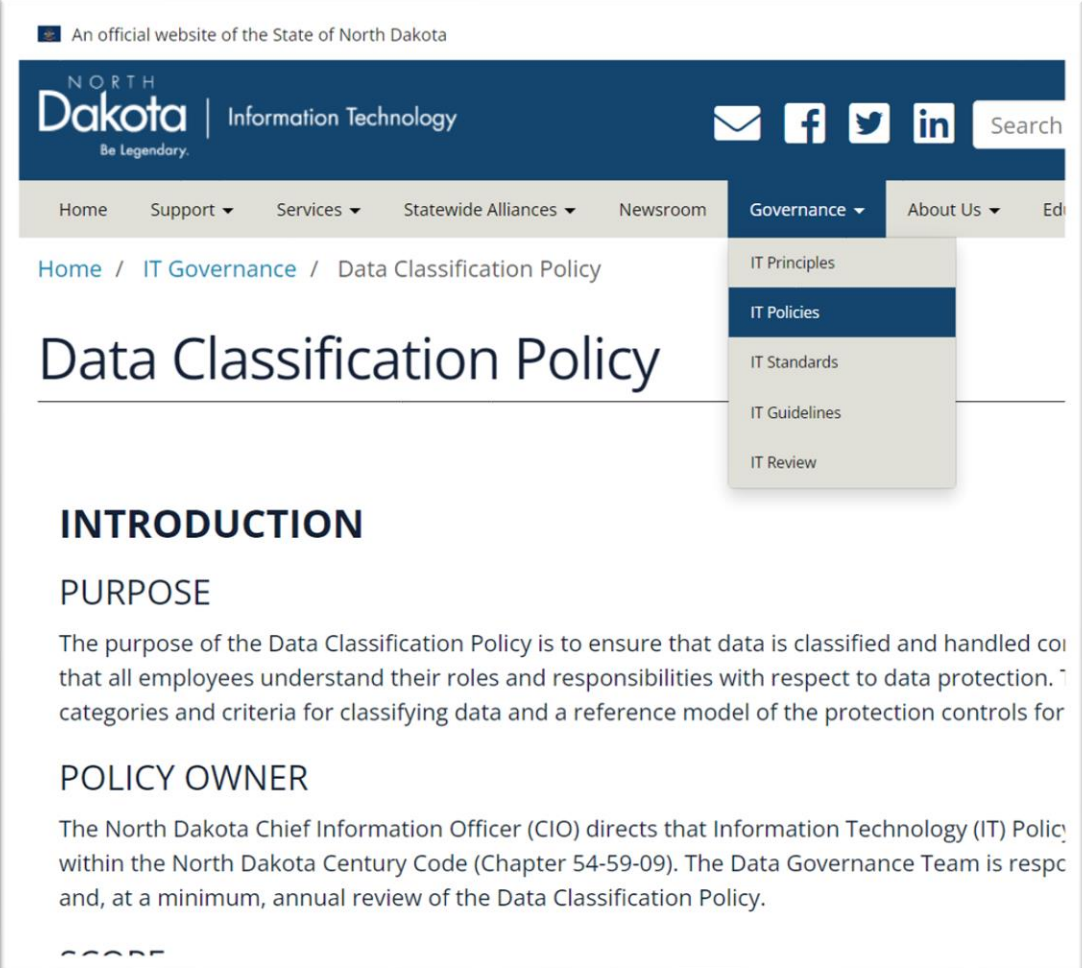
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- Other States and Federal Agencies publish policies
  - Performed web searches
- DAMA and other groups (AIIM, NIST) have examples
  - Asked in forums for those willing to share their policies or templates
- North Carolina had the one that closest aligned: [data classification policy \(nc.gov\)](#)

# Step 3: Data Classification Policy

## Purpose:

“To ensure that data is classified and handled consistently and securely, and that all employees understand their roles and responsibilities with respect to data protection.”



The screenshot displays the official website of the State of North Dakota, specifically the Information Technology department. The page is titled "Data Classification Policy" and is part of the "IT Governance" section. The navigation menu includes "Home", "Support", "Services", "Statewide Alliances", "Newsroom", "Governance", and "About Us". The "Governance" menu is expanded, showing "IT Principles", "IT Policies", "IT Standards", "IT Guidelines", and "IT Review". The main content area includes an "INTRODUCTION" section with a "PURPOSE" subsection. The purpose is stated as: "The purpose of the Data Classification Policy is to ensure that data is classified and handled consistently and securely, and that all employees understand their roles and responsibilities with respect to data protection. It defines categories and criteria for classifying data and a reference model of the protection controls for data." Below this, there is a "POLICY OWNER" section stating that the North Dakota Chief Information Officer (CIO) directs that Information Technology (IT) Policies are established within the North Dakota Century Code (Chapter 54-59-09). The Data Governance Team is responsible for the policy, and it is reviewed annually.

# Data Classification Policy

Data Classifications		
Low Risk	Moderate Risk	High Risk
<ol style="list-style-type: none"><li>1. The data is intended for public disclosure.</li><li>2. Unauthorized disclosure, alteration, or destruction of the data would result in little or no risk to the state and its citizens.</li></ol>	<ol style="list-style-type: none"><li>1. The data is not generally available to the public.</li><li>2. Unauthorized disclosure, alteration, or destruction of the data could result in a moderate level of risk to the state or its citizens.</li></ol>	<ol style="list-style-type: none"><li>1. The data requires protection by law/regulation.</li><li>2. Unauthorized disclosure, alteration, or destruction of the data could cause a significant level of risk to the state or its citizens.</li></ol>

# Data Classification Policy

	Low Risk	Moderate Risk	High Risk
Data Types	<ul style="list-style-type: none"><li>• Prepared Open Record Data</li><li>• Publicly Available Data</li></ul>	<ul style="list-style-type: none"><li>• Operational Data</li><li>• PII</li><li>• Public Employee Personnel Information</li><li>• Trade Secrets</li></ul>	<ul style="list-style-type: none"><li>• CJl</li><li>• Computer Password and Security Information</li><li>• FTI</li><li>• Financial Information</li><li>• High Risk PII</li><li>• PCI-DSS</li><li>• PHI / HIPAA</li><li>• Security Vulnerabilities and Risk Assessments</li><li>• SSA</li><li>• State Tax Information</li><li>• Student PII / FERPA</li></ul>



# Data Classification Policy

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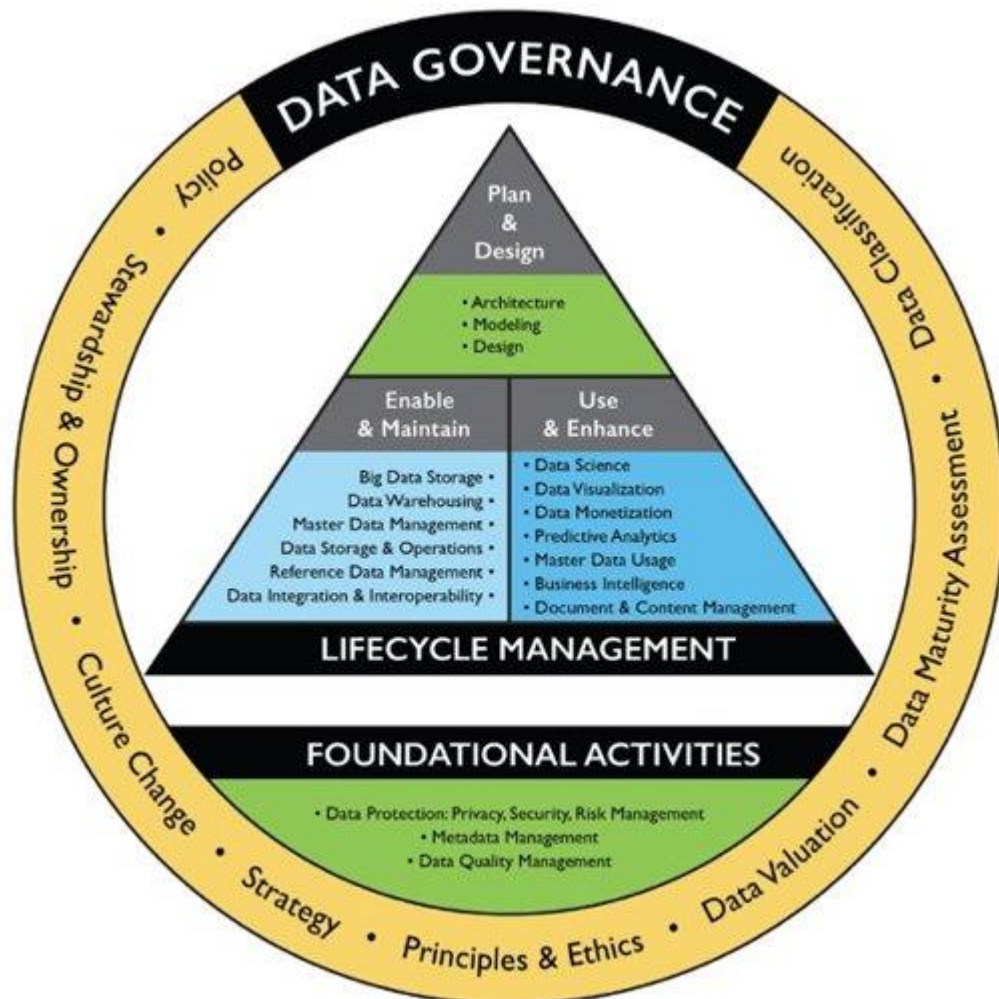
- [Data Classification Policy | North Dakota Information Technology \(nd.gov\)](#)
- Published May 2023

# Data Classification Policy

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- **Records Management Applications**
  - Security: High-risk information can be better protected.
  - Compliance: High-risk information is restricted and exempt from public release by federal and state laws. Federal law often governs information owned in the private sector.
  - Governance: Knowing the value of your records helps build policies, procedures, guidelines and standards that reflect that value.

# Step 4: Roadmap: Enterprise Data Governance



NDIT in-progress governance efforts:

- Data Loss Prevention
- Third Party Risk Management
- Application inventory
- Data Literacy Education Path
- Enterprise AI Policy
- Creation of enterprise data governance guidelines, coaching for agencies

# Enterprise Data Governance

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Q. Is there (or will there be) an effort to classify all State data formally?

- Enter Guidehouse! NDIT is currently working with a partner/vendor to help establish a federated data model
  - “Federated” means responsibility for governance and classification is a partnership between state agencies and IT to accomplish a common goal.
  - More coming fall/winter 2024!

# It's a Journey, Not a Destination

While we estimate initial efforts taking 2-5 years, the work is never done!  
Data governance is an ongoing movement to a modern data culture.

- Owned and driven by business with some support from IT
- Will evolve as necessary over time

**Strong governance is a commitment but empowers us to use our data to better serve our citizens.**



# Questions?

“I think you can have a ridiculously enormous and complex data set, but if you have the right tools and methodology, then it’s not a problem.”

– *Aaron Koblin, entrepreneur in data and digital technologies.*



# Records Management Q & A

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## Disposal Certification Process:

Q. As we gather the inches for each record series we are destroying, could you explain why that information is needed and how it is used. If for cost savings, do you factor in the cost of each records coordinator's time to collect that information?

# Records Management Q & A

## Disposal Certification Process:

Q. Is it better to enter items in as they come through-out the year or is it better to keep track of them and then enter them all at once?

**Report Disposal**

No Records Eligible for Disposition

Paper:

Electronic:

Comment:

See [RMS User Guide](#)  
(pages 10-11) for more details

# Records Management Q & A

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Disposal Certification Process:

Q. How are we supposed to know what time periods we are supposed to be disposing for?


# Disposal Examples:

RCN	Title	Department	Division	Active	Retention	Disposition	To Dispose
140109	ASSOCIATIONS AND BOARDS	Information Technology Dept	Records Management	Yes	1 year	Landfill/Delete backups	2022
650101	POLICIES, STANDARDS & GUIDELINES	Information Technology Dept	Records Management	Yes	UD+3 - Updated/update Plus 3 Years	Archives	2020 UD+3
800238	COMPLIANCE REVIEW WORKPAPERS	Information Technology Dept	Records Management	Yes	ACM - After Conditions Met	Landfill/Delete backups	ACM

# Retention Comments

## 800238 - COMPLIANCE REVIEW WORKPAPERS

This series contains the information management analysts' workpapers used when completing a records and forms management report.

Information Technology Dept - Records Management (1120 - 004)	
<b>Series Details</b>	<b>Retention Period</b>
Duplicate: N	Agency Recommended Retention Period: Until department/division has submitted the management responses for the recommendations outlined in the compliance review report
Status: <i>Approved</i>	Audit Value: No
Approval Date: 08/09/2017	Legal Value: No
Confidential/Exempt By Law: No	Historical Value: No
Applicable State or Federal law, requirement, or policy that applies to the retention of this record:	Total Retention: ACM - After Conditions Met
Send to State Library: No	Transfer to Microfilm: No
Essential Record: No	Inactive Storage: No
Requested By: Becky Lingle, 701-328-3585, 08/02/2017	 Retention Comment: Until department/division has submitted the management responses for the recommendations outlined in the compliance review report

# Records Management Q & A

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## Disposal Certification Process:

Q. In the disposition method, can we change “Landfill” to “Shred”?



# Records Management Q & A

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## Training:

Q. What basic things do you recommend a new Agency Records Coordinator get familiar with right away? Any tips/tricks to help transition into this role?

- **Tip 1:** Get familiar with tools available to you (RM website, State Archives website, RMS, RMS user guide, past training recordings, etc.)
- **Tip 2:** Research existing documentation (policies, email templates, etc.)
- **Tip 3:** Schedule time (meet/communicate regularly, to learn, set up recurring meetings, disposals – set aside time for a spring/fall-cleaning day)
- **Tip 4:** Don't be afraid to ask questions or reach out to your Records Analyst

# Records Management Q & A



# News from Records Management

- RMS:
  - New Report Tab Feature – Disposals, Archives, Users (limited to agency access)
  - Changes to Disposal Month – July kickoff postponed – July 10<sup>th</sup>
- ND General Retention Schedule Review
  - Combine Accounting Records:
    - 010601 Bank Statements
    - 011301 Ledgers/Journals
    - 011501 Purchase Order/Requisitions
    - 011502 Accounts Payable
    - 011505 Purchase Card Records
    - 011801 Receipt Books/Remittance Lists
    - 011802 Accounts Receivable
    - 012101 IDBs (Interdepartmental Billings)
- Next Meeting: September 2024 – Guest speakers!

# Contact Us

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Records Analyst

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Visit our website: [Records Management | \(nd.gov\)](https://recordsmanagement.nd.gov)

# Records Management - Q & A

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General:

Q. What are the benefits of following the records management program?

# Benefits

- Provides proof of existence, activities, processes
- Documents compliance
- Provides litigation and audit support
- Assists in decision-making
- Identify and protect essential records (those needed during of after an emergency/disaster)
- Preserves corporate memory and provides a historical reference to the past
  - When individuals leave – knowledge management
  - Archival value – preserved for historical reasons

## Primary Goal of Records Management:

To provide **accurate** information, to the **right individuals**, in the appropriate **format**, at the **right time**, in the **most efficient manner**, followed by **proper disposal** or archival transfer.



# Not Important until something happens...

- Fire, flood, lawsuit, have to recreate something...

Fire: Northern States Power – Feb 1991 (Schwab Corp)



Burned laptop



Water damage after fire: Courthouse in Missouri (Missouri Archives)



# Or Worse...

## Headlines:

- “Spiteful Worker **Deletes Files** Worth Millions” – Engineering Firm in Florida
- “**Stolen laptop** causes panic for more than one million current and former military personnel.” – Veteran’s Administration
- “Arthur Andersen: One of the world’s most reputable accounting firms is forced into **bankruptcy** for a dispute over its policy for shredding information during the ongoing audit of a company.” – Associated with Enron case
- More recently: Donald Trump falsifying business records... State Auditor’s findings in the news...