Corporate Information Architecture

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Topics

- Corporate Information Management Drivers for e-records
- Information Architecture Framework
  - Case Study Illustrations of Issues
- Bridging Information & Compliance
Corporate Record Management Drivers

- Classic
- Compliance
- Emerging

Drivers for Corporate Information Management

- Information Chaos
  - Silos of Information & no corporate view
  - Misplaced & Lost Documents
- Security
  - Fraud
  - Misuse
  - Disclosure
  - Loss
- Availability
  - Customer Service
  - Productivity
  - Staff Moral

- Compliance & Audits
  - Regulator
  - Freedom of Information Act
  - Data Protection Act
  - Auditors Requirements

- Corporate Governance
  - Responsibility
  - Stakeholders
  - Public Responsibility
  - E-discovery
**Records Management Business Drivers**

*AIIM Survey 2008*

<table>
<thead>
<tr>
<th>Business Driver</th>
<th>Europe</th>
<th>North America</th>
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</thead>
<tbody>
<tr>
<td>No. of Staff</td>
<td>-1,000/1,000+</td>
<td>- 1,000/1,000+</td>
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<tr>
<td>Business Driver</td>
<td>%-</td>
<td>%</td>
</tr>
<tr>
<td>Compliance &amp; Risk Management</td>
<td>31/38.1</td>
<td>37/47</td>
</tr>
<tr>
<td>Improve Efficiency</td>
<td>36/28.3</td>
<td>38/26</td>
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</table>

**Two Worlds of Information Management**

- **Compliance Dept**: Control & Comply
- **IM/RM Dept**: Organise
- **Corporate Information Management Architecture**: Manage
- **User**
Issue: stakeholders are not sharing a common language and approach

Corporate IM Architecture Framework
IMA Assessment

Programme Management
User Support
Financial Investment
Education & Training
IM Organisation
Compliance
Fileplan Development
EDRMS

Goals
Corp Assessment

– Typical Information Issues & Challenges in Large Corporations

- Oil Company
  - User Buy In
  - Fileplan – Asset Based

- Law Enforcement agency
  - Complex Organisation
  - Executives Disinterest
  - Paper Driven

- International Financial Group
  - National, USA & European Regulations
  - Compliance Issues
  - Standardisation
People and Organisation

2006
- No processes in place to support full collaboration.
- No help available to improve current document organisation.
- No training in good document management practice.
- Ownership not clearly defined.
- People too busy to tackle the problem.

Sources: D&C Task Force PID, Angola Programme IM Strategy, DM Workshop Nov06, User Interviews

2008
- Win hearts & minds and build trust that things will improve.
- Tools available to support users, e.g. online training guides.
- Single Point of Authority.
- It’s part of your job – like safety – you are measured on it.
- Properly resourced to get the job done.
- User friendly & intuitive solutions.
- Regular monitoring and review – just like safety.
- ‘Ruthless standardisation’.
- Filing is systematic – right document is in right place – always.

O & G Corporate Transformation Map

Technology

2006
- Few controls in place to prevent unauthorised access.
- Poor response times – e.g. in Luanda.
- Not accessible to all participants, e.g. 3rd parties.
- Disparate solutions – not interconnected.

Sources: D&C Task Force PID, Angola Programme IM Strategy, DM Workshop Nov06, User Interviews

2008
- Full audit trail, readability etc. maintained over full lifecycle.
- Docs available at point-of-need and at time-of-need – to whoever is authorised to request them, e.g. business user, auditor or regulator.
- Searchable through ‘single search’ facility.
- It’s the document that matters not the system which stores it.
- Access controls maintained across all search types.
Lifecycle Management Model

Corporate Document Virtual Repository

Personal Workspace
- Local
- Networked

Shared Workspace
- Team Documents
- Project Documents
- Topic-related Documents

Corporate Workspace
- Controlled Documents
- Archived Documents
- Paper (electronic index)

My document (draft) → Team document (draft or managed) → ABU document (controlled)

User → Handover → Document controller

Asset-Based Filing Scheme

Central HQ
- Block
- Project
- Field
- Well

Example Documents
- SPU Policy
- Property Management
- Legal
- Operating License
- Engineering Technical Practice
- Communication
- Government Relations
- Hydrocarbon Reporting
- Partner Approvals
- Joint Venture Agreements
- ISSOW
- Contracts
- Rig
- Surveillance
- Development
- Engineering
- Reservoir Engineering
- Reserves Reporting
- Sedimentology
- End of Well Reports
- Daily Drilling Report
- Well SoR
- Petrophysics
- Environmental Impact
- Well Test Data
Law Enforcement Organisation

- 45,000 Workforce
- 300 Business Units
- 700 Record Series
- 1,000 Record Keeping Requirements
- 30 + Pieces of Legislation & Directives
- Ingrained Paper Culture

IMA Main Programme Streams

- EDRM Procurement
- Paper Registry Replacement System
- Corporate Fileplan Development
- Paper/Physical Asset Archive Strategy
- Business Process Change
- Stricter Compliance Requirements

Issues

- National Standards – inter-force collaboration
- Corporate Barriers
  - RM Low Profile
  - Lack of Senior Management Support
  - SAP & other factions
Training & Educational Programmes

- Corporate IM Team
- 85 Local Information Managers
- Training Levels
  - Senior Management Seminars
  - Information Managers
    - RM
    - Compliance
    - Softskills
  - User Training
    - Basic Record Keeping
    - Compliance awareness
- On-Line Help
- On-going User Assessment Programme

Core Programme Modules

<table>
<thead>
<tr>
<th>Title</th>
<th>Managing MPS Information: Principles and Concepts</th>
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</thead>
<tbody>
<tr>
<td>Learning Objectives</td>
<td>To introduce participants to the fundamental principles of information and records management, as a foundation for their work as IMs</td>
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<tr>
<td>Duration</td>
<td>One day</td>
</tr>
<tr>
<td>Illustrative Topics</td>
<td>What is a record? General terminology and definitions Information as an organisational resource</td>
</tr>
<tr>
<td>Format</td>
<td>Group work and facilitated discussion</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Title</th>
<th>Managing MPS Information: IM Methodologies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning Objectives</td>
<td>To introduce participants to the key elements of a records and information management system and to relate these to the work of the MPS</td>
</tr>
<tr>
<td>Duration</td>
<td>One day</td>
</tr>
</tbody>
</table>

Corporate IM Architecture

- Programme Management
- User Support
- Corporate Information Architecture
- Training & Education
- Fileplan Development
- Compliance
- Organisation & Management
Information Architecture Design Tools Review

- Limited set of tools available for developing records management infrastructure
  - MS Word
  - Spreadsheets
  - EDRM systems

- Main Requirements:
  - Data entry / term linking was extremely time consuming
  - Difficulty in managing the full suite of relationships required between compliance requirements and stakeholders
  - Limited import/export Information Architecture and reporting functionality
    - Multiple jurisdictions
    - Multiple EDRM systems

- IA Design tools now available ref www.a-k-a.com.au
International Financial Group

- Worldwide Operations
- Growing Regulatory Pressures
- Disparate IM/EDRM Systems
- Central Compliance Group

Corporate Model Mapped to IM Architecture

- Legal Source Data & Research
- External Legal Advice
- Records Management Control Systems
- General Business Users & Applications
DIRKS -

Analysis of business activity

Functions
Activities
Transactions
Records

Analysis of recordkeeping requirements

Sources of accountability
Stakeholders
Recordkeeping requirements
Records Classes

Corporate Information Management Practices & Control

Intellectual Architecture
Control

Taxonomy use to describe records
Business processes that generate records
Retention policies for managing the records lifecycle
Regulatory & Compliance Requirements

DLM April 2008
Fileplan Development Architecture

Disposal Report

300-101 Investigating (Activity)

- The activity of inquiring into criminal activities, includes technical and scientific evidence.
- Specific case (crime?) file - may include:
  - Forensic evidence
  - Witness Statements
  - Suspect’s Interviews

Recordkeeping Requirements for DETECTING / Investigating

<table>
<thead>
<tr>
<th>Self Number</th>
<th>Description of Records / Disposal Classes</th>
<th>Disposal Action</th>
<th>Recordkeeping Requirements</th>
<th>Source</th>
<th>Stakeholder</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUDIO RECORDER</td>
<td>Audio recording - Taped Interview</td>
<td>Delete</td>
<td>7 years after date of conclusion of investigation or decision not to proceed</td>
<td>MPS DPCS</td>
<td>MPS DPCS-CPS Central Property Services</td>
</tr>
<tr>
<td>S0006</td>
<td>Criminal Procedures and Investigations Act (CPIA) 1996</td>
<td>Retention</td>
<td>Required as evidence: Criminal Procedure and Investigations Act (CPIA) 1996, items 5.6.5.9 Code of Practice and Special Notice 10/3: Threat of civil litigation Limitation Act 1980</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Current retention, review and disposal rules,
- Linked to Sources and Stakeholders.
IMA Tool Typical Functions

- Records Managers and Information Architects
  - tool for building and documenting taxonomies, thesauri and records retention and disposal schedules
  - Links into Legislative and Stakeholder Requirements
  - Database for holding information
  - Provides queries and reporting features
  - Tools to import and export the data
    - XML Export
    - Direct Export to EDRM systems
    - MS directory structure
  - Supports the DIRKS design methodology

- EDRMS users
  - Online HELP tool
  - Describes each area in the fileplan
  - Search by subject/term to find where occurs
  - Web Reporting tools to assist users decide where documents should go

Corporate IM Architecture Modules
Any Questions

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