Protecting Organizational Information

Developing Partnerships for Managing University Information Systems

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Introduction

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Introduction

Effective management of digital resources requires the cooperation and skills of information professional from a variety of disciplines and backgrounds. As part of the Indiana University Electronic Records Project, the University Archives has worked with several units on campus to define these partnerships within an academic setting.
Introduction

The IU Electronic Records Project has been funded by two grants from the National Historical Publications and Records Commission (NHPRC) affiliated with the National Archives and Records Administration.

The first phase of the project, conducted from 1995 to 1997, focused on developing a methodology for applying the University of Pittsburgh functional requirements and metadata specification for electronic recordkeeping systems.
Introduction

The second phase of the project, currently being funded by NHPRC until 2002, has focused on the application and evaluation of this methodology. In order to do this, the University Archives needed to find partners in the university who had a mandate and well-established lines of authority to review information systems and to influence the systems development process.
Introduction

Based on their experiences collaborating on several projects, our panelists from the Indiana University Archives, Internal Audit, and University Data Administration will address the following issues:

• Why is the team approach critical to the success of an information and records management program?
• Where do the missions and objects of these professions intersect?
• What are some realistic strategies for developing “win/win” partnerships in the management of digital resources?
Protecting Organizational Information: Developing Partnerships for Managing University Information Systems

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WHY DO WE NEED PARTNERS?

- Information and records managers have always needed partners, but we have not consistently reached out to these allies.

- But with electronic information, partnerships are more essential because we have less control of the systems, and it is a more complex environment.
WHY PARTNERSHIPS ARE IMPORTANT

- More broad-based support required
- A wider variety of skills required
Based on experience, I have found three partners most valuable:

- Decision support personnel
- Systems analysts
- Internal auditors
Why is internal audit such a useful partner for the archivist/records manager?

The answer can be found first in the fact that the missions of the two professions share many points in common.
ARCHIVISTS AND AUDITORS - SIMILARITIES IN MISSION AND GOALS

- Accuracy of Information
- Reliability of Information
- Authenticity of Information
- Secure and Accountable Systems
- Compliance with Laws and Policies
- Importance of Risk Assessment
- Value of Understanding Business Requirements
But it is not only the similarities in mission that make this partnership or any partnership work effectively. Participants must also gain something valuable and unique from the collaboration. To be effective, the partnership must result in a win/win scenario.
Archivist/Records Manager and Auditor – Complementary Missions

- The audit process employs a methodology based on detailed sampling of certain transactions, while the objectives of the archives methodology is to achieve a broad, but less detailed analysis of all system functions.
- When combined these two methodologies complement one another, and both partners agree it results in a much more detailed, more complete analysis of the system.
Archivist/Records Manager and Auditor – Complementary Missions

- The two professions also complement one another in terms of the functions or issues they focus upon in their analysis of systems.
- For auditors, the primary concerns include data authenticity and accuracy, system security, adequate internal controls, documentation (written procedures and instructions), and backup procedures and contingency planning.
- The archives staff, on the other hand, tends to focus on recordkeeping issues, such as record identification and capture, record metadata, access, and long-term preservation.
VALUE OF PARTNERSHIP - EVERYONE BENEFITS

- Archives
- Participation in the authorized and routine review of information systems
- An effective strategy for inserting the archives/records management program into the mainstream process of designing, analyzing, and modifying electronic information systems.
BENEFITS

- Internal Audit:
  - Access to detailed business process models
  - Access to previously unavailable analyses of systems from a recordkeeping perspective
To the University:

- Having its information systems much more thoroughly reviewed and analyzed, resulting in more accountable, compliant, and trustworthy systems
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Terry Radke, CPA
Indiana University – Audit Director
What is Internal Audit?

- An independent, objective assurance, and consulting activity
  - Audits of compliance
  - Audits of activities, controls and transactions
  - Audits of Assets
  - Audits/consulting on IT systems and processes

- Add value and improve the effectiveness of financial, operational and control processes.
Why are records and systems important to Internal Audit?

- Records – Audit Trails
  - Proof on an event/transaction took place
  - Event/transaction in compliance with policy
  - Recorded correctly (correct period, classification, amount)

- Records – Support assets of institution

- Records – Sensitive information
  - Moral and legal obligation to protect
Why are records and systems important to Internal Audit?

- Systems – Management of records
  - Birth to death (some things never die) facilitation
  - Data integrity
  - Accessibility in a meaningful manner
  - Business Continuity
  - Security
Why Partner?

- More value for Client
  - More technical resources to meet their needs
  - Understanding of records and systems
  - Better processes, systems and records
- More effective Audits
  - Can’t do it alone anymore
  - Better use of Audit resources
  - More auditable systems, records
- Enhanced Audit skills
Protecting Organizational Information

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Information Technology Strategic Plan

- Many Action Items with:
  - A commitment to partners across the university via the strategic plan
  - Funding that comes from and reaches out to many groups.
IU Trustee Resolution

- Formally recognized the Internet and servers were targets for intrusion
- Directed the office of VP for Information Technology and CIO to develop and implement policies to minimize unauthorized access to the infrastructure.
- The success of the implementation of these policies will require partnerships across the university.
Committee of Data Stewards

- Mission is to recommend data policies and establish procedures and guidelines for data management.
- Classification of data is based upon the law, and on a need to know basis
- Operates under the consultation of the Committee on Institutional Data
Committee of Institutional Data

- Appointed by the VP and CIO of Information Technology

- Establishes overall policy and guidelines for management and access to institutional data resources of IU.
Global Directory Services

- Provides a centralized on-line information directory about users.
- Provides a centralized on-line authentication mechanism.
- Changing the way people do business
- Working together as a university to minimize successful intrusions against the mission-critical applications
Protecting Organizational Information: Associated Web Sites

- University Archives
  - http://www.indiana.edu/~libarch
- Internal Audit
  - http://www.indiana.edu/~iuaudit/
- University Data Management
  - http://datamgmt.iu.edu/
Protecting Organizational Information: Associated Web Sites (cont.)

- Global Directory Service
- Committee on Institutional Data
  - http://datamgmt.iu.edu/cid/index.html
- Committee of Data Stewards
  - http://datamgmt.iu.edu/cds/index.html