# Information Compliance
## Fundamental Concepts and Best Practices

**By William Saffady**

**Here is a clear explanation and analysis of the fundamental principles, concepts, and issues associated with information compliance, which is broadly defined as the act or process of conforming to, acquiescing to, or obeying rules, regulations, orders, or other requirements that apply to the data, documents, images, and other information.**

Compliance is one of the component of the widely discussed GRC (governance, risk, and compliance) framework, which integrates three key elements of organizational strategy, the other two being governance and risk. The GRC framework encompasses all aspects of organizational strategy and operations, including those that involve the creation, collection, retention, disclosure, ownership, and use of information by companies, government agencies, and non-profit entities. Information governance develops strategies, policies, and initiatives to maximize the value of an organization's information assets. Information risk management is responsible for identifying, analyzing, and controlling threats to those assets.

*Information compliance* seeks to align an organization's information-related policies and practices with applicable requirements. Academic researchers, legal commentators, and management specialists have traditionally viewed compliance as a legal concern, but compliance is a multi-faceted concept. While adherence to legal and regulatory requirements is widely acknowledged as a critical component of compliance initiatives, it is not the only one. Taking a broader approach, this book identifies, categorizes, and provides examples of information compliance requirements that are specified in laws, regulations, contracts, standards, industry norms, and an organization's code of conduct and other internal policies. It also considers compliance with social and environmental concerns that are impacted by an organization's information-related policies and practices. The book is intended for compliance officers, information governance specialists, risk managers, attorneys, records managers, information technology managers, and other decision-makers who need to understand legal and non-legal compliance requirements that apply to their organizations' information assets. It can also be used as a textbook by colleges and universities that offer courses in compliance, risk management, information governance, or related topics at the graduate or advanced undergraduate level.

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## About the Author

**William Saffady** is an independent records management and information governance consultant and researcher based in New York City. He is the author of over three dozen books and many articles on records management, record retention, document storage and retrieval technologies, and other information management topics. His latest books are *Managing Information Risks: Threats, Vulnerabilities, and Responses*, which was published by Rowman & Littlefield in 2020, and *Records and Information Management: Fundamentals of Professional Practice, Fourth Edition*, which was published by Rowman & Littlefield in 2021.

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