Implementing Enterprise Information Governance: A Practical Approach

TAD C. HOWINGTON, CRM, CA, FAI
MANAGER, RECORDS AND INFORMATION
COPANO ENERGY
HOUSTON, TEXAS
512.627.9181
Learning Objectives

Upon completion of this session, participants will be able to:

★ Foundation – How to lay the proper foundation to begin Enterprise Information Governance including identifying the proper governance team, obtaining executive support, identifying an initial set of vendors to assist with strategy and planning

★ Strategy – Developing the proper strategy for information governance including the components, resources and policies that best fit YOUR organization

★ Implementation – How to develop and monitor the project plan to successfully implement information governance throughout the enterprise, how to leverage the vendor/partner, and monitor the return on investment

★ Re-adjustment – How to modify sections of the implementation when issues develop, strategies change, etc.
Information Governance Defined

- **Information governance** is the specification of decision rights and an accountability framework to encourage desirable behavior in the valuation, creation, storage, use, archival and deletion of information. It includes the processes, roles, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals.

Source: Gartner
Governance is an enterprise initiative, executive support essential!
Create the Governance Council to build the strategy
Leverage Vendor/Partners with governance experience to help guide “eating the elephant”
The Players

Source: www.edrm.net
The Role of Technology

- Creates new opportunities & challenges
- Records vs. information vs. next cool term
- Emphasis on *efficient processes*
- Security
- Technology is supposed to improve productivity…*Right?*
Technology Plays a Role

- Pace of technological change continues to accelerate
- Technology is a tool that enables both individuals and organizations
- Technology allows for instantaneous interactions
- Tends to *maintain* information not *manage* it
The Role of Legal

- Compliance
- Ethics
- Litigation
- Discovery
The Role of Management

- More focus on “The Bottom Line”
- Cost containment everywhere
- Rightsizing to “fit” marketplace
- Emphasis on adding **VALUE!**
Typical Strategy: Problems

- No assurance that “junk” will be destroyed and important records will be retained and accessible when needed
- Inconsistent handling of business records presents a legal risk
- Uncontrolled growth of record volume
- Focus on storing data but none on the management of electronic information!!
More Typical Problems

- Records management program applies only to paper or other hardcopy records
- User-driven storage, retention, organization, naming practices of electronic information
- Few policies defining ownership and use of electronic systems and data
- **Inconsistent practices cannot withstand scrutiny during litigation**
RIM Framework comprises six main elements – all of which are necessary for success.
Governance Resources

- **ISO 15489 — Records Management**
  - ISO 15489-1 — General
    - Elements, results and outcomes
    - Records management principles and requirements
  - ISO 15489-2 — Guidelines for Implementation
    - Methodology for implementation
    - Overview of processes and factors to be considered
    - Implementation guide
    - For use by records and information professionals
GARP Principles*

- Accountability
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition
- Transparency

*Generally Accepted Recordkeeping Principles available at www.arma.org/GARP
Vision Statement

- Adopt a *vision* for your program
  - The visible future
  - What do you want to look like in 3-5 years?
- Solicit formal input from key stakeholders through “visioning”
  - What are key issues we want to address?
- SWOT analysis
- Create “*Ownership*” with stakeholders
Mission Statement

- Adopt a **mission** statement
  - The “why” for the existence of RIM program
- Align with corporate mission and goals

- “To develop a comprehensive RIM program and institutionalize the management of **information assets** to **reduce risk** and **optimize costs**.”
Strategic Goals

• **Begin to set strategic goals:**
  - Align RIM policies and procedures across enterprise
  - Ensure timely access and retrieval of information
  - Protect and preserve information for compliance with requirements
  - Business continuity/disaster preparedness
  - RIM training
  - Others as needed

• **Strategic Goals must align with mission**
Governance

• Assemble key stakeholders to:
  ○ Create a governing council
  ○ Initiate policies
  ○ Provide guidance
  ○ Support standards
  ○ Help ensure commitment of resources
  ○ Provide feedback from high level within organization
  ○ Politics, politics, politics…..necessary
Policies and Processes

- **Policies**
  - Gap assessment of policies
  - Acceptable procedures for managing ALL information throughout enterprise

- **Processes**
  - Review business processes for capturing records so they can be managed as part of routine business activities
Technology

- **Data**
  - Where is all your data?
  - File structures/taxonomies
  - Life cycle assessment

- **Applications**
  - Leverage what you have, if possible
  - Analyze applications to see if they are capable of managing information according to policies
Infrastructure

- Proactive RIM approach to monitoring hardware, software and storage media in accordance to RIM policies
- Data migration and technology upgrades
- Become familiar with IT and key IT players in organization!
- Get a seat at the IT table
Ongoing Support

- Communication
  - Formal and Information
- Governance Council meetings
- Training
- Feedback
- Flexibility
  - Plans can change, overall goals and framework usually don’t
Implementation

- Develop and Monitor the Project Plan
- Leverage Vendor/Partners
- Monitor ROI
- Monitoring and Auditing
- Think Strategically, but implement tactically
Vendor/Partners: Observations

- Successful Governance: It is not measured by the deployment of a software solution
- A lot of deployments today are in a single unit or business process
- Most deployments require a multi-year engagement with the vendor
  - Can the vendor stick with you?
Clients and vendors rarely speak the same language at the start

- Lots of vendors have a tactical sales focus, while the organization has technical/functional focus
- Vendors depend upon significant client knowledge resources because they don’t fully know the client
- This results in differing early objectives that often mean implementations fail
  - Vendor wants client success, but also a production reference
  - Client wants to understand and be 100% sure of each step
Selecting a Vendor - Consider

- Vendor
  - Do they have ‘production’ clients
  - Do they use their own products in-house
  - Do they have experience with your business context
  - Are they sending SMEs or Sales people to meet you
  - What dedicated technical support do you get
  - Will the vendor take part in strategy
    - Lend expertise to strategy meetings
    - Sit on product deployment teams
  - What experience beyond tactical implementations do their consultants have
  - Is the vendor selling product, or do they understand your business problem and are offering a solution (software, processes and services)?
Leveraging the Vendor/Partner

- Treat the vendor(s) as partners for success
- Multiple vendors may be necessary (process/policy consultants, solution architects, technology implementers), make sure they all CAN work together
- Try to ensure both interests are met
- For technology, ensure mentoring is provided for in-house, long-term deployment
Monitor Return on Investment

- ROI is NOT Payback Period!
- ROI % = Net Program Benefit/Program Cost X 100 (a number above 100% means benefit is more than cost)
- Payback Period = The number of months or years it will take to recover the cash invested
- Which one do you need?
Monitor ROI/Payback

- Identify metrics near the beginning of implementation
- Ensure data is available to calculate metrics
- Strive for tangible metrics, but some intangible are also good
- Periodically calculate metrics
- Publish metrics to team and executives
- Use metrics for further budget requests
Governance Benefits

- **Tangible Examples**
  - Reallocation of existing e-storage space
  - Reduction in purchase of NEW e-storage space
  - Costs associate with e-storage management (electricity, headcount, backups, etc.)
  - Reduction in off-site physical storage costs
  - Reduction is outsourced e-Discovery costs
Governance Benefits

**Intangible Examples**
- Reduction in lost information
- Reduced time for users to locate to appropriate information
- More accurate legal production
- Reduced or eliminated time for users to perform governance tasks (record declaration, hold management, disposition, etc.)
- Defensible disposition
Monitoring and Auditing

- Monitoring and Auditing of Information Governance key to defensibility
- Establish processes for manual and automated monitoring and audit.
Monitoring and Auditing

- Examples of Monitoring
  - Program budget
  - Program resource utilization
  - Amount of information created v. amount disposed
  - Amount of information initially captured for holds v. amount actually produced to courts
  - Compliance with end user training
Monitoring and Auditing

- **Examples**
  - Compliance with Physical Records Practices
  - Attempted security modification of information
  - Timeliness of disposition
Being Strategically Tactical

- Strategically plan for information governance; develop the overall vision and desired outcomes
- Eat the elephant “one bite at a time”
- Start with high risk, quick win or pain point
- Adjust processes and vision as lessons are learned from tactical implementations
Be Able to Adjust

- Ensure proper change management
- Be flexible enough to adjust when corporate strategies change
Dealing With the Changing Environment

No one profession has all the answers!

- Collaboration in designing and implementing new electronic information programs
- Challenging the old paradigms
- Assessing the risks of new projects
- WE are leaders in implementing change
- Networking and learning from other colleagues’ experiences/knowledge base and skill sets
Questions?