



White Paper

Enterprise Information Governance

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Author/s: Astral Consulting

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www.astral.com.au
Melbourne (03) 9690 7222 | Sydney (02) 9258 1054



1. Introduction

Amongst the number of definitions of information governance out there, the market-tested Information Governance Initiative definition is simple and stresses maximising **value** as a central goal. Organisations that are successfully addressing the business challenge of being overwhelmed by the exponential information growth are placing value at the core of their information governance program.

Digital transformation is driving a dramatic change in the use of technology across enterprises. Analytics, social media, mobility and smart devices are taking the enterprise beyond traditional technologies to change internal processes, customer experiences and value propositions. This has resulted in a massive increase in the volume of information coming into and being created across the enterprise - an IDC studyⁱ states that the volume of information across enterprises is currently doubling every 18 months. It also presents a huge opportunity to any organisation.

Enterprises are now asking “How do we better manage and provide governance across this increasing volume of information to harness the business value from it?”

For Astral, the discipline of information governance (and we include all data and informationⁱⁱ in electronic and paper formats) involves managing data:

- Through its full lifecycle from creation, acquisition, storage, access, use and disposal;
- With inherent qualityⁱⁱⁱ (integrity and accuracy);
- With applied security through administrative^{iv}, technical^v and physical^{vi} controls;
- As data or information assets of high value and high sensitivity (risk); and
- As part of the business process functions of an organisation.

To address information governance, Astral believe that an enterprise needs to put a program in place that addresses it holistically across the organisation with the aim of increasing the value of information assets. This means managing information throughout its lifecycle from a broader perspective than just retention, legal obligation or IT functionality. This approach also specifically benefits people within the organisation and as such is more likely to succeed.

Information Governance is:

The activities and technologies that organizations employ to maximize the value of their information while minimizing associated risks and costs.

<http://www.IGInitiative.com>

*An **Information Governance Program** must meet the needs of the total enterprise – Legal/Compliance, IT and Lines of Business - with optimised information management practices aligned with business processes.*

2. Enterprise Information Governance Framework

Astral see information management executed via an Enterprise Information Governance (EIG) Framework as the next opportunity to drive growth and competitive advantage.

An EIG Framework addresses enterprise information management challenges by:

- Identifying the value of your information assets whilst minimising risk and ensuring regulatory compliance;
- Providing a framework of policies in which to manage all information, both structured data and unstructured information; and
- Providing a framework for defensible destruction and reducing the volume of information retained in the organisation.

An EIG implementation requires strong executive ownership and engagement from representative stakeholders across the business - to be business driven with IT as a stakeholder and supporter. It must apply end-to-end across the business and be closely aligned to both structured and ad hoc business processes and focus on creating value at all levels.

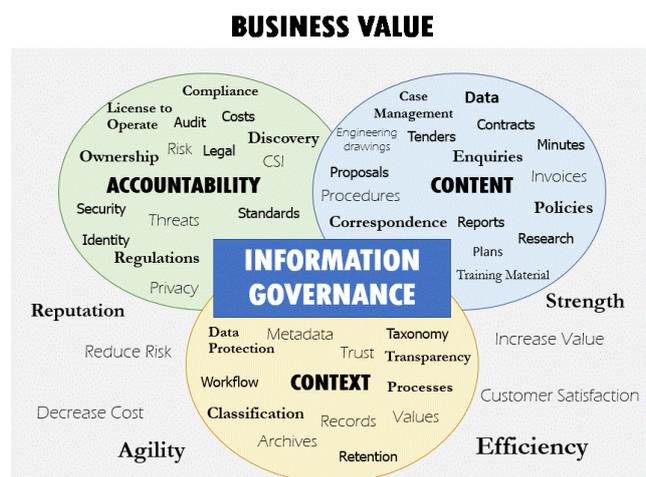
2.1 The Benefits

An EIG Framework provides a mechanism for managing the growing volumes of digital information and the exchange of this information with business partners and clients. It addresses the emerging business challenges of:

- Risk of security breach and data loss;
- Access to information via mobile and social networking;
- Unknown information business value and risk which is often unmanaged.

An EIG Framework should be a subset of Corporate Governance that is flexible enough to provide proper control without limiting corporate responsiveness and includes information lifecycle governance (ILG). It should have a strategic focus but in reality any implementation should include tactical initiatives to address specific challenges. This will get traction within the organisation and demonstrate success rather than seeming overwhelming or with results projected too far into the future. Regardless, any EIG program should have a threefold focus:

- Maximise the business value
- Manage risk
- Reduce costs.



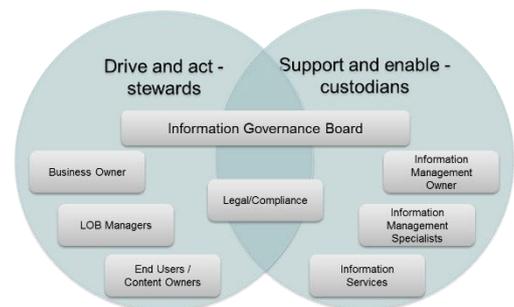
3. EIG Program Implementation

Enterprise Information Governance covers many of the traditional sub-disciplines of information management but avoids the compartmentalised thinking that places these disciplines into separate categories or systems. These include such business applications and services as:

- Content, Document, Records and Digital Asset Management;
- Email and Archive Management;
- BPM and Workflow, Customer Relationship Management (CRM), Enterprise Resource Planning (ERP);
- Information Security and Risk Management;
- Search (including enterprise search and federated search);
- eDiscovery and eDisclosure, Analytics and ‘big data’ analysis

An EIG program should aim to enable central management of the classification (taxonomy), metadata and retention policy, while supporting the enforcement of information governance policies across business functions, locations and information silos including both structured and non-structured repositories.

The establishment of an EIG program should identify all “stakeholders” and assess the current state of information governance (or lack thereof). From this, the business impact of poor governance including customer/staff complaints or lost opportunity, process inefficiencies and the cost and risk exposure can be measured and a way forward identified that directly reflects business goals.



Once this is understood and the desired outcomes documented and agreed, a business case that recognises information as a valuable asset of the enterprise can be developed and a program started.

3.1 Establish the EIG Program

The initiation of any EIG project should start with the formation of an IG Council/Board made up of senior representatives from across the organisation to:

- Establish executive sponsorship and support with active leadership within the organisation (this may not involve a day to day commitment);
- Develop, execute and monitor an information governance implementation plan and allocation of resourcing and funding to execute;
- Rally representative stakeholders across the business to get everyone on the same page, an understanding of the business value and ensure prioritisation from a funding perspective;
- Garner individual department, work group and user support because without all areas of the organisation being on board with the program it will be a failure.

3.2 The Requirements – What do you want to achieve?

The most effective approach to establishing information governance across the enterprise is to build a team that includes active members from all areas of business and IT. This team should be tasked to develop the objectives and vision which includes what the enterprise wants to accomplish strategically while identifying and prioritising short-term, tactical objectives. A long term vision is important but don't forget to break it down into measurable, visible, short-term deliverables!

Identify the business requirements and define the desired outcomes for EIG by asking your business questions such as:

- *How will the organisation ensure that information is of the level of quality expected by the business and its information consumers?*
- *What are our compliance requirements from a regulatory and contractual perspective concerning information integrity and privacy? What other external obligations must we meet?*
- *How do we discover and mitigate the storage and use of inappropriate, unauthorised information?*
- *What policies do we need to implement to govern the organisation's data according to its sensitivity, importance and risk profile?*
- *How do we manage the various information types across their lifecycle through the various business processes and ensure compliance with regulatory requirements?*
- *How do we implement appropriate controls to protect the organisation's information according to its sensitivity, importance and risk profile?*
- *What are the information quality outcomes we require from the program and how do we drive this?*
- *How do we leverage Information Architecture across the enterprise and align it to business process and governance outcomes?*
- *What are our requirements for taxonomy and metadata and how do we ensure that they provide context for the enterprise information assets and increase enterprise knowledge?*
- *How do we monitor and audit our Information Governance program and what are the appropriate KPIs?*

4. EIG Program Implementation Challenges

Astral has observed that there are common barriers to success in EIG programs such as:

- Most IG initiatives do not have stakeholders across the enterprise, they are driven from a specific area such as legal, records management, risk or security.
- Most enterprises approach IG from a compliance perspective rather than seeking to achieve more value from information, or from lowering the cost of managing the information in an organisation.
- Typically when implementing a solution the taxonomy is designed from analysing business artefacts rather than the processes that create, search for, and reuse these artefacts to add business value. Focussing on business processes supports increasing value rather than just managing data.

4.1 EIG Program Success Factors

The following key actions are critical to addressing these potential implementation challenges:

1. Develop an **Information Governance Program Roadmap** that includes business requirements, solution scope, anticipated business outcomes and a breakdown of how to deliver the expected business benefits. Each phase of the Roadmap needs to be aligned to a business benefit.
2. Implement an **Information Governance Program** which includes these essential components:
 - a. **Policies** – clearly define who owns the information
 - b. **Management** – clearly define who is accountable for the management of information at every level
 - c. **Organisation** - A 'Program or Project Owner' should be appointed to be personally accountable to the Information Governance Board or Executive Board, and responsible for delivering the expected benefits of the implementation project or program.
3. Engage the business through a **Change Management Leadership** team which consists of nominated business representatives. These include representatives from the organisational operational management team and end user representatives to ensure business engagement and open communication with all stakeholders in the project.
4. Limit any solution customisation by leveraging product functionality “**out of the box**” and aligning existing process with the solution, adapting the process if required.
5. Sustainable Change Management results are achieved when the management of **change is a continuum**, starting well before the commencement of the project implementation stages, and continuing on indefinitely within the business and is integral to all aspects of the program.
6. **User Acceptance Testing** requires business ownership with testing on unique business processes use cases.
7. Drive **End User Enablement based on Business Processes** with clearly communicated policy across the business.
8. Provide ongoing support to drive **Continuous Improvement** and evolution of the solution.



5. Astral Contact Details

For further information, please contact:

★ Marie Felsbourg (Astral CEO)
(ph) 03 9690 7244, (m) 0417 564 085, (e) Marie.Felsbourg@astral.com.au

About Astral

Astral has been a leader in Information Management for the past 14 years. Astral is an organisation highly regarded for its knowledge, advice and independence.

Astral Consulting comprises a talented team of consultants. We are committed to the ongoing training and development of our staff. We ensure they remain an elite team and are professionally recognised with relevant accreditations and certifications.

At Astral, we will work with you to determine the way forward for Enterprise Information Governance at your organisation.

Astral Consulting is the trusted strategy partner of many leading corporations, across a wide range of industries in the Asia Pacific region. Astral has offices in Melbourne and Sydney.

References

ⁱ IDC, Digital Universe Study, December 2012

ⁱⁱ The term data and information are used interchangeably in this whitepaper

ⁱⁱⁱ This is a function of information security, achieved through protecting information and information systems (which include people) from unauthorised, access, use, disclosure, disruption, modification or destruction.

^{iv} Policies, standards, procedures, guidelines, screening personnel, security-awareness training.

^v Logical access controls, encryption, security devices, identification and authentication.

^{vi} Facility protection, security guards, locks, monitoring, environmental controls, intrusion detection.