



Swiss Chapter

***Information Governance:
Barriers, pitfalls and fallacies***

*Annual Conference ARMA Swiss Chapter
Zurich*

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Agenda



Intro

1. What is Information Governance?
2. Barriers and pitfalls ...
 - Culture shock with implementation
 - Missing Value Propositions for the Business, Audit driven
 - Information considered as a Corp. Asset? A myth
 - Why Top Down approach does hardly work
3. New approach: Matrioschka Model (bottom up meets top down)
4. Reference list

Lessons learned?



Cognitive edge

Current status of IG

Extreme clash between aspiration/expectation and reality

- Maturity level: Only 15 % of respondents indicate enterprise wide and stable implementation of policies & program. 38 % claim to have an IM program but immature
- Accountability: **25% declare that there is no formal accountability appointed**; 20% of organisations appoint head of functions to be responsible for their data; only 10% report IT as taking the task
- Setup / top mgmt support: almost 50% report lack of endorsement and respect from senior executive level and C-level; over 30% report that they do not get the right people at the table
- Poor understanding of the potential benefits & value contributions of a better digitized enterprise (McKinsey)

Source: AIIM survey – Automating information governance 2014
McKinsey: Digital tipping point

Ongoing projects (US)



Everybody is embracing IG but few really know what to do about it!

Average number of IG projects that practitioners told us they are working on, and their average total cost, by organization size.				
PRACTITIONERS				
ORGANIZATION SIZE	1-1,000	1,001-5,000	5,001-10,000	10K+
AVERAGE NUMBER OF ACTIVE IG PROJECTS	3	5	7	5
AVERAGE TOTAL COST (PRODUCTS, SERVICES, STAFF) OF AN IG PROJECT (\$USD)	\$239,000	\$650,000	\$2,417,000	\$2,040,000

Source: IGI Annual report 2014

Objectives of IG –simple version

**If you want the Exec Suite to care about #Information
#Governance, you need to clearly answer WHY?**

Executives typically care about results and accountability for the following:

- 1 – Increasing revenues.
- 2 – Reducing costs.
- 3 – Reducing risk.

That's it.

Mancini : AIIM Blog

What about value?

Information Governance is:

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

93% OF RESPONDENTS
AGREED 

96% OF PRACTITIONERS AGREED

95% OF PROVIDERS AGREED

85% OF ANALYSTS AGREED

“The holistic approach to IG resonates with many of our people. People are tired of seeing all of these siloed projects and efforts and bringing things together in an ad hoc manner. We really try to frame this in the context that this is about enabling business, to help them do a better job and be more productive. This is about value creation.”

Source: IGI Annual report 2014

Growing confusion, frustration

It's this. And it's that. And to most executives, it's confusing.



“Information governance as it is practiced today in the vast majority of organizations in every vertical market is rudderless and lurching from crisis to crisis.”

Thornton May

“Information governance is necessary, but it's not sufficient.”

?

Is there anything more holistic than IG?

“Information Governance has been hijacked by the records management community.”

?

- Establishing Information Governance is perceived to have no direct business benefit
- Challenges in business buy-in, funding, and organizational adoption of governance abound
- Information Governance is seen as critical but highly political, complex, long-term, and multi-year initiative.
- High levels of sustained business and IT commitments are required
- There's a "one size fits all" approach to Information Governance
- There's a lack of metrics-driven measurement of the benefit of Information Governance
- Total Cost of IT Ownership (TCO) is rarely measured or tracked

Calculation or Ignorance?

Large companies calculate litigation costs as an implicit part of their risk management strategy ... which seems to be less expensive than...

...investing in costly and endless prevention measures and compliance programs which may possibly avoid such cases by successfully implementing
-> Information Governance

Sometimes it means your job

Shutting down a production site after a Warning Letter FDA:

„Processes were not documented“ ...

«Wenn die Pharmaindustrie in schweren Zeiten Sparmassnahmen unternimmt, wird nicht zuletzt bei der Dokumentation der Produktionsprozesse angesetzt.» Der Effizienz werde dann mehr Gewicht beigemessen als der Kontrolle, was später die FDA auf den Plan rufe. Wenn dann Tabletten in falsche Flaschen abgefüllt würden, sei sicher auch Schlamperei dabei, sagt Humer. Ein solcher Missstand wurde Anfang Jahr von der FDA in einem Novartis-Werk in den USA entdeckt, in dem rezeptfreie Medikamente hergestellt werden.

Tages-Anzeiger - Samstag, 17. März 2012

Agenda

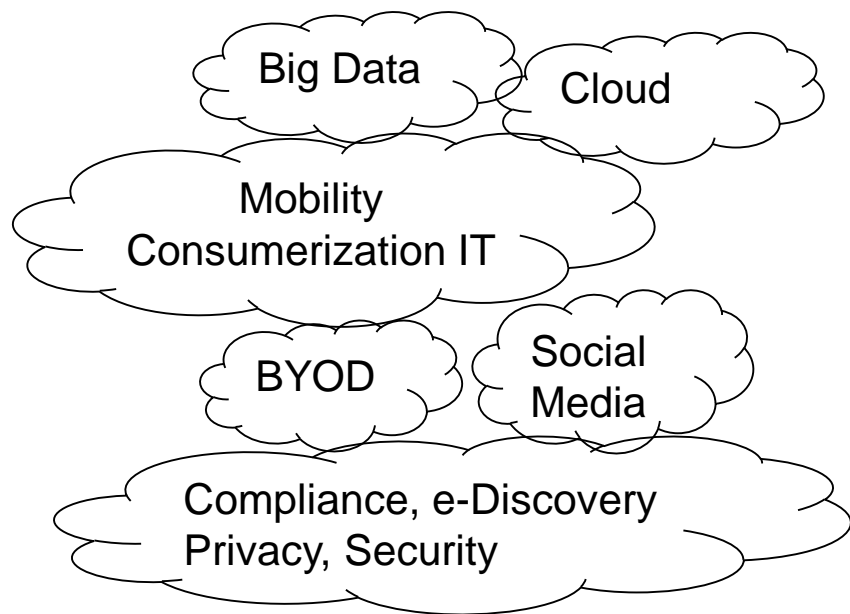


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Drivers of Info Governance

Disruptions ...challenges



- Loss of control
- Increasing risk



Source: AIIM

Disruptions ...

A new
covenant is
needed btw
the
organization
and the user

Technology touches
everyone.

Everyone carries
technology expectations
into the workplace.

Why do I feel so
powerful as a consumer
and so lame as an
employee?



 aaim

New world – new rules !

Treiber von Information Governance



**Frage 2 – Was sind
für Sie Treiber von
Information Governance?**

Bezeichnung	Anteil
Steigerung der Flexibilität	5,4%
Steigerung des Innovationsgrades	3,9%
Verkürzung der Time-To-Market	3,4%
Senkung der Kosten	7,3%
Steigerung der Prozessqualität	19,4%
Steigerung der Daten-Qualität	24,3%
Steigerung der Produktivität	8,8%
Erfüllung von Compliance-Anforderungen	12,3%
Steigerung der Mitarbeiterzufriedenheit	3,4%
Schaffen vertrauenswürdiger Daten	10,8%
Sonstiges	1,0%

(N = 408; bis zu 3 Mehrfachnennungen
waren möglich.)

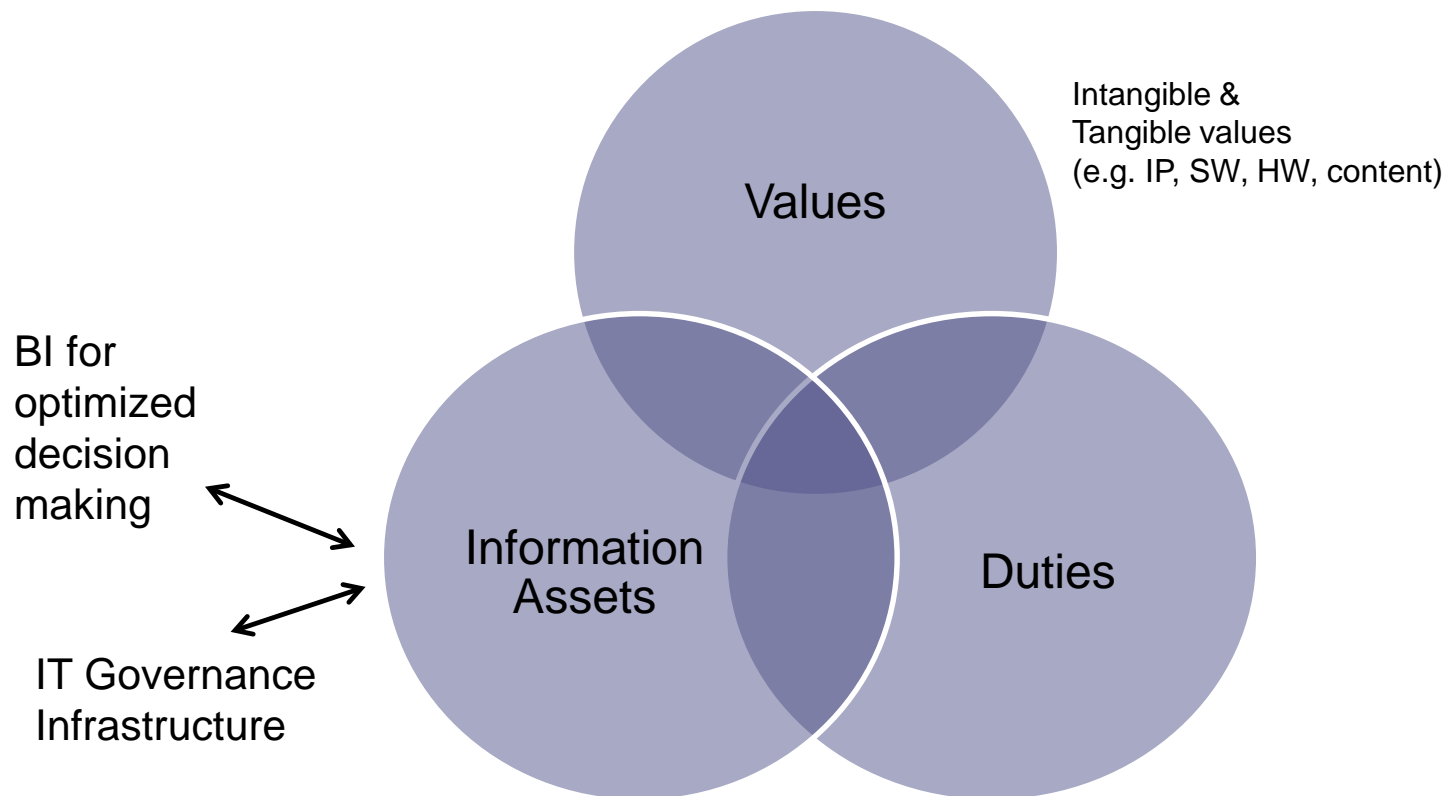
© 2012 S.A.R.L. Martin

Source: Martin – Umfrage 2012

Tenet of Information Governance

The tenet of IG is tying values with legal duties to corresponding information assets, in order that

1. IT can routinely and legally defensibly manage data
2. and the business is able to make informed decisions (BI)



The force of the nexus

Pomegranate model

Relations Disciplines

Retention, Lifecycle Mgmt, Disposition, Archiving

IT/Information security
Awareness

Business Continuity /
Disaster Recovery

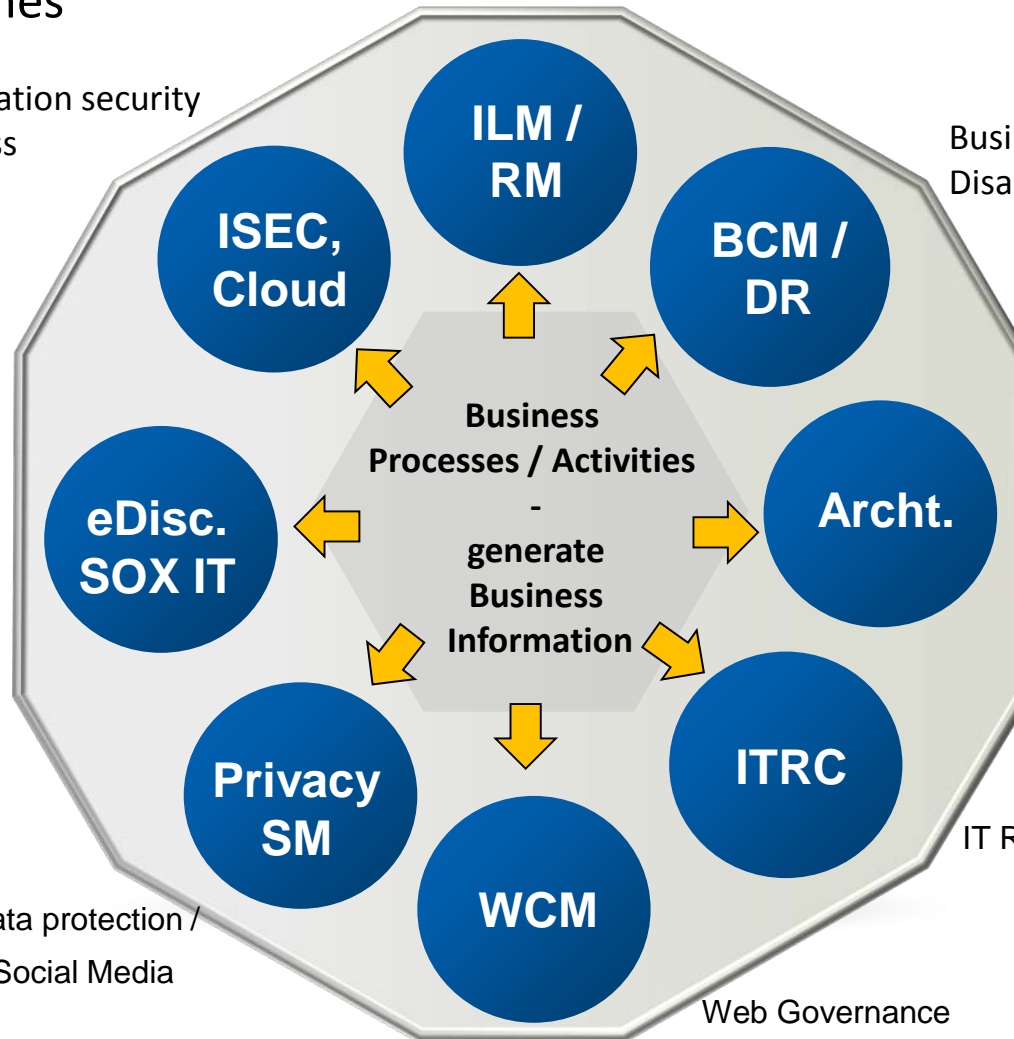
eDiscovery;
Regulatory
compliance

Information
Architecture

Data protection /
Social Media

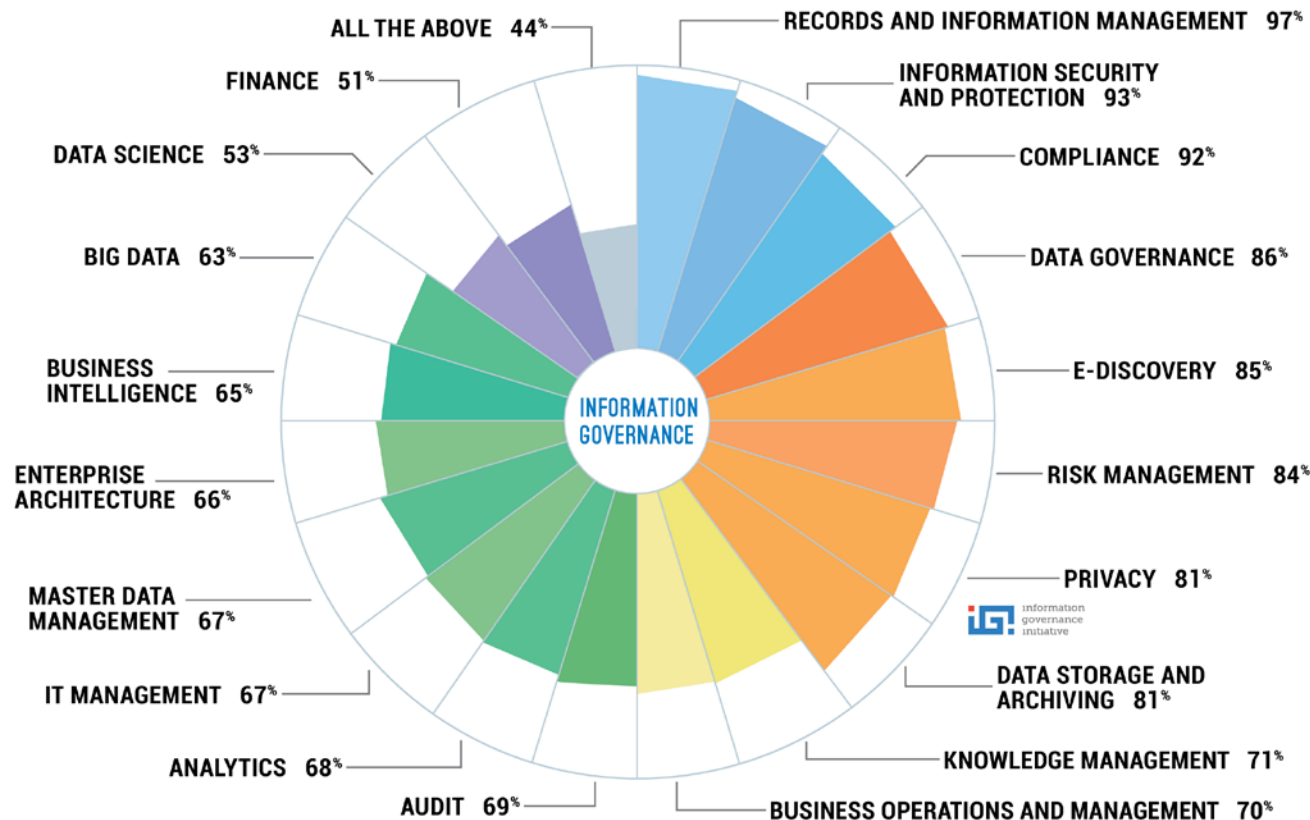
IT Risk Control /
COBIT

Web Governance

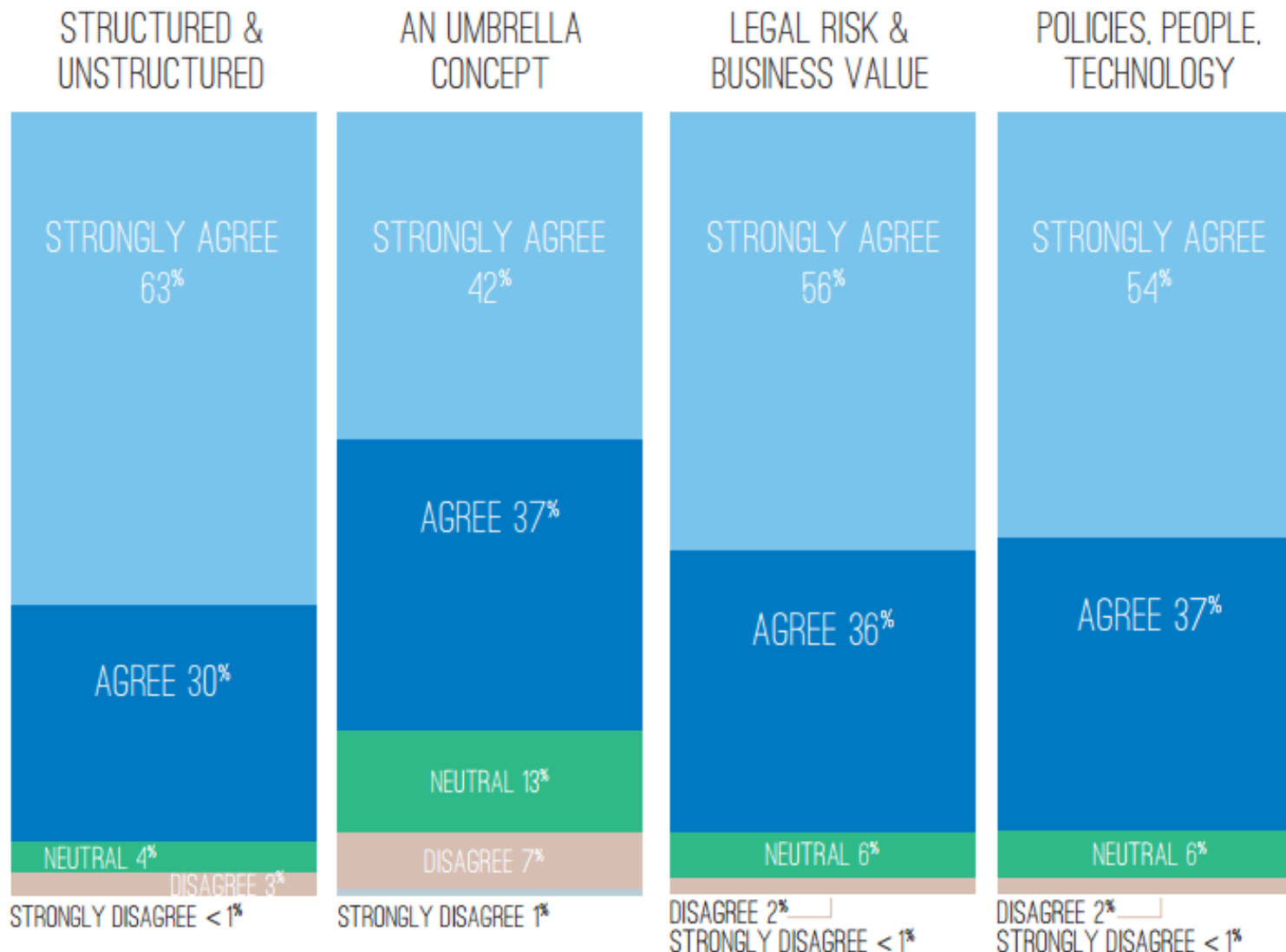


IG activities / facets

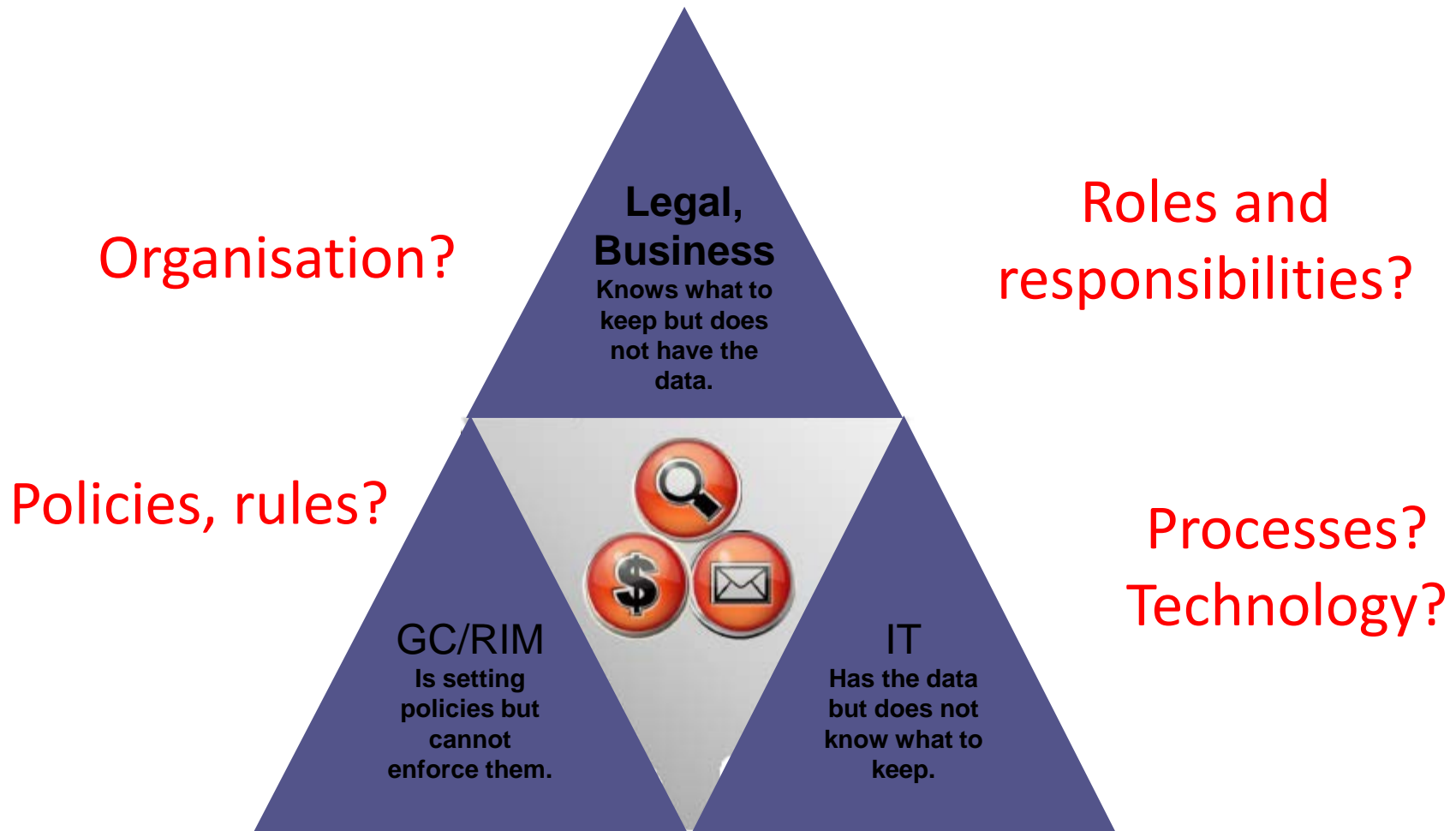
The facets of information governance. IG is a coordinating function for these activities.



INFORMATION GOVERNANCE IS:



Source: IGI Annual report 2014



Source: CGOC

Definitions of IG

“IG is the specification of decision rights and an accountability framework to encourage desirable behaviour in the valuation, creation, storage, use, archival and deletion of information. It includes processes, roles, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals. “**(Gartner)**

“IG is a comprehensive program of controls, processes, and technologies designed to help organizations maximize the value of information assets while minimizing associated risks and costs.”
(Barclay T. Blair)

“IG is the formulation of policy to optimize, secure, and leverage information as an enterprise asset by aligning the objectives of multiple functions.” **(IBM, Soares)**

Positioning IG – Big Picture (hierarchical)

Corporate Governance

Enterprise Risk Mgmt

Information Governance

(compliance driven, risk mgmt, value creation)

IT Governance (infrastructure)

Data Governance / Mgmt
(quality, normalization,
input)

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**Not for the faint of heart.
Governance is technically complex,
organizationally challenging and politically
sensitive.**

Source: Gartner

**There is no Business-Vision for governing and
steering Information as a resource.**

Challenges of corporate culture

„I came to see, in my time at IBM, that culture isn't just one aspect of the game; it is the game.“

(Lou Gerstner, former chairman of the board & CEO, IBM)

Organisation / Implementation:

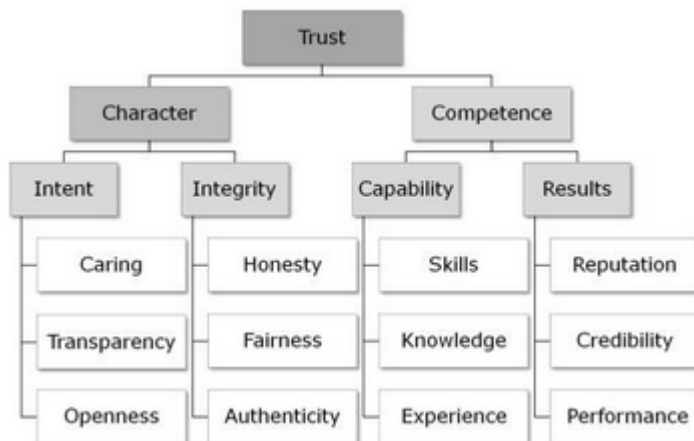
- No dept. alone is able to achieve the desired results of a Governance Initiative. Force / coercion for proactive collaboration und „lateral project lead“ ...(dotted lines)

Orchestration and Business Alignment = Harmonizing incoherent units and stakeholders! Promote and foster conversation towards a desirable behavior.

ECO- vs EGO-System (behavior)

... „As a favorite future mgmt model managers prefer self organizing and cross-functional networks, by which collective intelligence may be sourced in order to foster innovations and building trust“

[Die Zeit, 30.9.2014 – Umfrage: Manager halten deutsche Führungskultur für überholt](#)



The future challenge of market competition will not be a question of outperformance but of outbehavior.“ (Dov Seidman)

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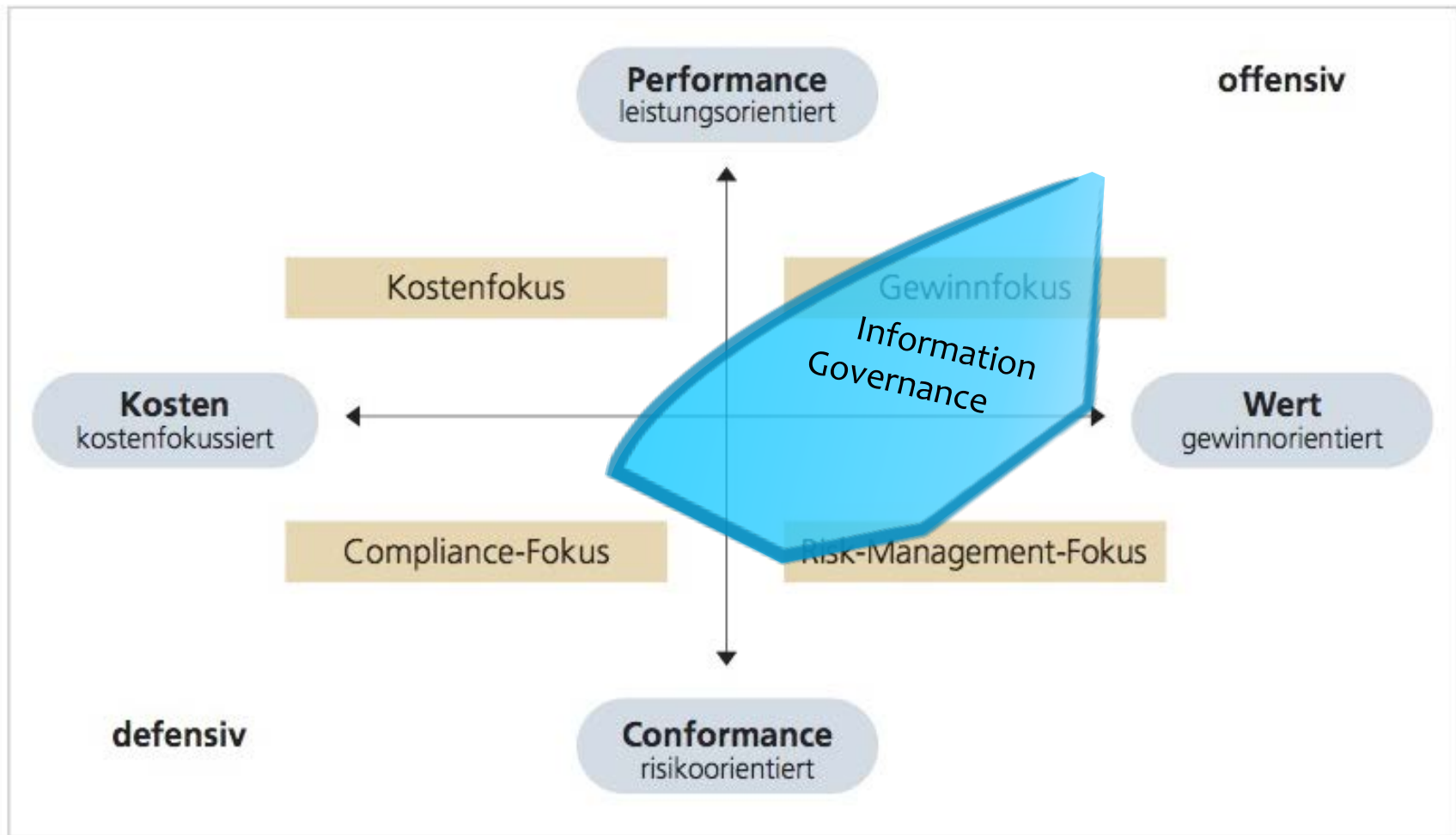
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IT Audit as a driver is purely defensive

- Controls only cover the predictable audit half in the back of the business world. (Input values like innovation, creativity, added value, business development etc. are out of scope)
- Confusion of „Compliance“ with „compliant“ („a strong audit culture is ironically the enemy of reflection, the very thing that it is supposed to support“ (Currall/Moss))
- Incomplete or half-hearted implementation of controls and assessments tend to be formal and bureaucratic (certain issues remain undetected until an incident occurs, service level remain unmonitored, BCM/DR testing is lacking etc.)

Opportunities of value driven IG



Source: Wildhaber

“Information technology strategy plans in the absence of business policies are symptoms of policy-making avoidance by top executive management.”

(P. Strassmann, Governance of information management, 2004, p.16)



Source: Wildhaber

Selling Information Governance to the Business

- Business functions must have a seat at the table of an IG advisory or steering committee
- „value propositions“ for a CFO, CMO, CIO, COO etc. when preparing a Business Case for Information Governance?
 - Function specific value creation by innovative Information Services (Business Intelligence)
 - eCommerce / eGovernment (new information products, Web Services)
 - New cross-functional interfaces and channels

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Valuing information as an asset? A myth

- Intangible assets do not appear in any balance sheet. Such assets are seldom systematically and sustainably measured and demonstrated. Why? (benefits of information services, intellectual property etc.)
 - Metrics for intangibles are too cumbersome and complex

Formula Sedona: hidden ROI of information assets

NetPresent Value = mapped sources of potential information asset value:

- Information assets (content & infrastructure) +
- Dimensions (loci) of value (market, firm, work groups, business process, individual usage=PKM)

Minus: opportunity costs, costs for risk mitigation & contingency

=

Actual Value left on the table

(minus costs related to leveraging resources to attain actual value)

Source: Sedona. The Sedona conference commentary on finding the hidden ROI in information assets, Chicago 2011

➤ *Value of information = possible KPIs*

- Availability (time to motion) +
- Retrievability (time to motion) + data quality (metadata)
- Retention and disposition defined (lifecycle) +
- Ease of identification as relevant +
- Ability to present in appropriate form +
- Known place in process (cloud?) +
- Appropriate level of protection +
- Value of the contribution to solve a business problem (leverage value for decision making) + the hardest
- Intangible value of knowledge / content (e.g. IP, trademarks)

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IG Implementation: Pivotal question

Top down or Bottom Up?

Handicaps of „strategic“ projects from above (RM / ECM / IG):

- They cannot solve problems immediately; benefits cannot be recognized easily, strategic alignment is tough and takes too long; the big bang is not possible.
 - Nobody cares, because you cannot get laurels and success; nobody has a sense of accountability.
 - IT always solves the technical problems despite of the fact that problems and issues are only dismissed but not eliminated or solved.
 - Insufficient activities (application, implementation) have no consequences or sanctions and will therefore never be enforced
 - Digital landfills are accepted as a necessary evil and the real costs are merely recognized because they are hidden in the operational costs
- Alternative: guiding and directing management and users towards IG by starting from a given particular (operational) issue and developing possible solutions towards upper levels along the corresponding subjects & themes. Towards upper levels means: Developing pragmatic solutions from a particular perspective („frog perspective“) according to needs and escalate above by addressing the broader context and including other stakeholders.

How long does it take a typical IG project to get started?
Comparing practitioners' responses to providers' reporting
of start up time for their customers.

 information governance initiative	PRACTITIONERS	PROVIDERS
3 MONTHS OR LESS	9%	16%
6 MONTHS	17%	30%
12 MONTHS	16%	18%
GREATER THAN 12 MONTHS	42%	26%
"I DON'T KNOW"	16%	10%
*Practitioner response: i don't know, we have never done an IG project.		

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Intro

1. Was ist Information Governance?
2. Warum macht IG Probleme?
 - Kulturschock bei der org. Umsetzung
 - Mangelnde Value Propositions für das Business, weil Audit getrieben
 - Ist die Ressource Information wirklich ein Corp. Asset?
 - Warum Top Down kaum funktioniert
3. New approach: Matrioschka Model (bottom up meets top down)
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Questions:

- Regulatory (Industry)
- Privacy
- IT Governance
- Risk Mgmt
- Security
- Code of conduct
- ...

Questions:

- MDM, Metadata
- IM Architecture
- Taxonomy, BCS
- BI

Subjects with overarching character?

- Lifecycle (periods)
- Archiving
- Storage locations
- Findability (Scope)

Practical particular issue

Starting scenario

Solution viable on this level?

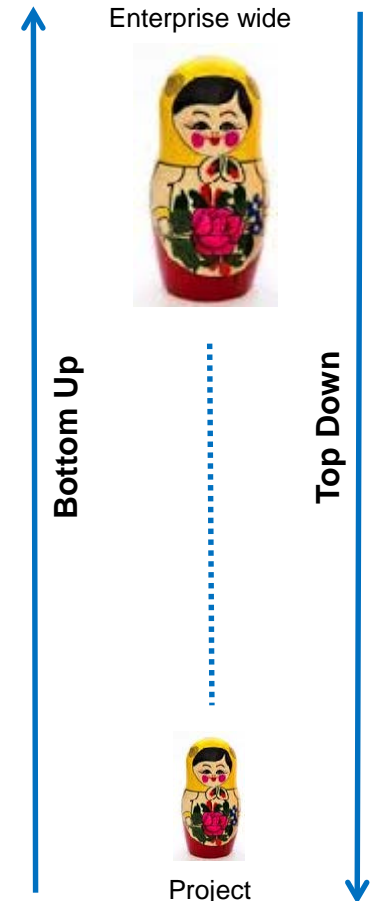


Level : 4 Normative

3 Strategic

2 Tactical

1 Operational







Example: MATRIO-Methodology

Scenario: PDF creation/renderition from multiple sources

Problem: Due to old PDF Components not all document types have been properly converted/rendered

Solution: A better converter is needed


Matrioschka-Level	Mandate (project)	In scope	Out of scope
1 operational 	We have to render our pdf documents in order to keep them readable and to be able to merge them.	Technical solution; storage; structure of size; formats; process	Regulations for archiving; Dossiers; Life Cycle; Metadata; Search criteria;
2 Tactical 	We want to merge documents and be able to find them; we want to archive documents in conformance with legal requirements and eliminate physical archives step by step	User groups, organisational framework (cross-functional) overarching interest in content; phases of implementation; creation of dossiers/files; findability, retrievability	Security; Knowledge Management; IT Governance; ; partial risks; IM architecture; Taxonomy / BCS
3 Strategic 	We want overall access to customer data for relevant functions incl. Integrity of data	Security aspects; integrity; overall perspective on data; partial risks; IM architecture; BCS	Policy; strategic meaning of information; conformance value; performance value; enterprise risk; IM strategy
4 Normative 	Ensuring privacy; unified prescriptions for all data stored; covering all IG themes; IT under control ...	Legal provisions; all data privacy subjects; enterprise prescriptions IM strategy, enterprise risk, value creation, IT Governance	

Examples Red Flags

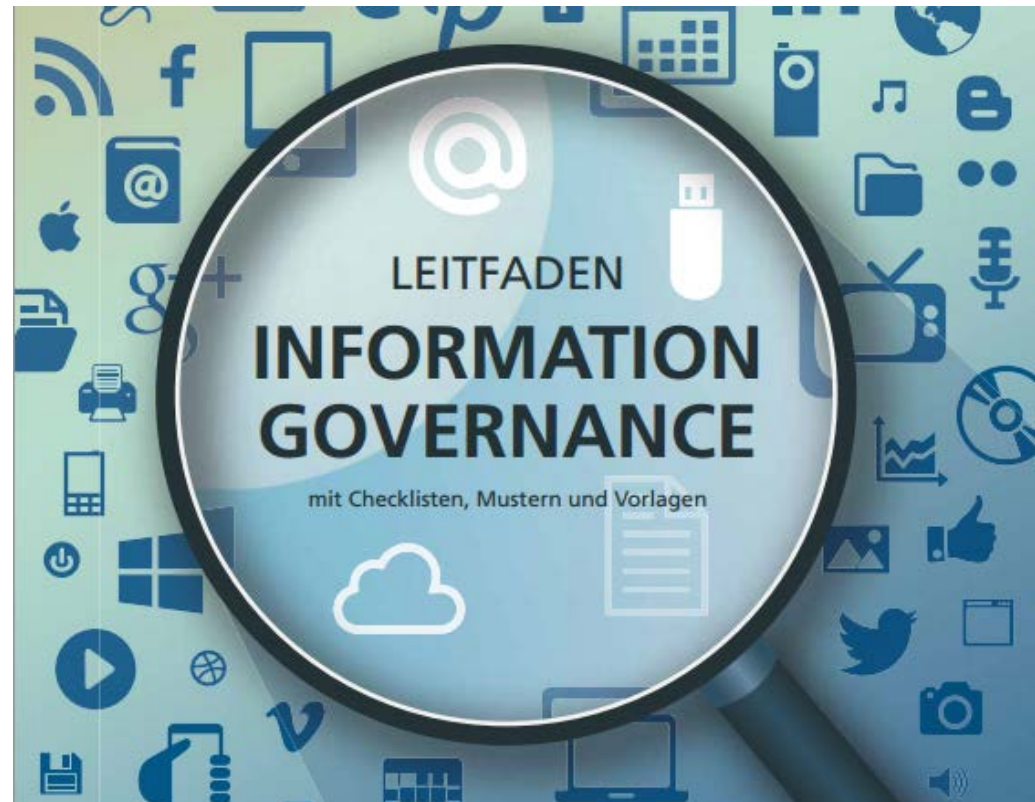
1. Master Data Management
2. Workflow / Digitization
3. Multimedia
4. Data quality
5. Metadata
6. Cloud
7. Standards
8. Regulatory requirements
9. Single source publishing, Forms mgmt, templates across boundaries



Procedure

1. Analyzing the particular issue (red flag or other problems).
 2. Preparing a rough solution for the respective requirements (mandate).
- 
1. Raising all corresponding questions and positioning / communicating them in the organization.
 2. Adopting solutions, unresolved issues further investigate by considering the hierarchies and reporting lines (culture).
 3. Overarching issues which cannot be solved directly have to be escalated.
 4. Consolidation and integration of iterative solutions into the pragmatic framework (stepwise)

New “Praxisleitfaden” KRM (german)



To be published in March 2015: Hardcopy and E-Book

Link subscription: <http://wildhaber.com/index.php/materialien/6-news/156-igleitfadenvorbestellung>

#IGCCCH

Price CHF 75.-, valid until 15.2.2015, exkl. Versandkosten; Bestellung direkt bei: KRM

KRM Guidance: Content

1. Aktuelle Herausforderungen

- ›› Die Datenflut
- ›› Appification
- ›› Benutzergetriebene Inhalte
- ›› Cloud

2. Was ist Information Governance (IG)?

- ›› Methoden und Verfahren
- ›› Die MATRIO® Methode
- ›› Methodenübersicht & Baukasten

3. Rechtliche Grundlagen

- ›› Rechtsgrundlagen DACH, USA
- ›› Neue Aufbewahrungsvorschriften des OR

Target audience?

- Consultants, Senior Management and associated units,
- IT, Finance & Accounting,
- Legal & Compliance
- Internal audit and administration,
- Vendors of RIM/ECM solutions,
- Records managers, archivists
- Board members, C-Level
- Mgmt in public administration

4. Anwendung

- ›› Anwendung der MATRIO® Methode
- ›› E-Health
- ›› E-Discovery
- ›› Records Management
- ›› Technologieübersicht
- ›› Allgemeine und branchenspezifische Fallbeispiele zu den Themen E-Discovery, E-Health, ERP-Integration u. a. m.
- ›› Checklisten und „Optimized Practice“-Grundsätze

Ausgewählte Fokusthemen:

- ›› Kommunikation mit den Stakeholdern / Management „Wie verkaufe ich Information Governance?“
- ›› Cloud, BYOD, Social Media, Big Data
- ›› Use Cases und Umsetzungsbeispiele aus verschiedenen Branchen
- ›› Erweiterter Methodenblock
- ›› Vollständig Umsetzungsorientiert

#IGCCCH



Conclusions IG implementation

- Making a real distinction btw IT Governance and Information Governance / Information Mgmt and communicate permanently
- When not getting full mgmt support from Top down
 - Start small based on RED FLAG-Themes,
 - Communication and intensive collaboration is when aligning and coordinating activities !
 - Clear scoping: How do the disciplines and responsibilities mutually interconnect when the number of stakeholders is growing?
 - Watch out the time frames – build realistic roadmaps
- IG Organization, Do not underestimate cultural factors
 - Respectful but resolute leadership with dotted lines, holistic interaction, network awareness
 - Co-governance instead of hierarchical governance
 - Apply the principle of subsidiarity (bottom-up according to MATRIO-methodology)

Governance provides the means for an organization to make comprehensive and balanced decisions in the instances where independent groups cannot, or should not, make them.

Source: Gartner

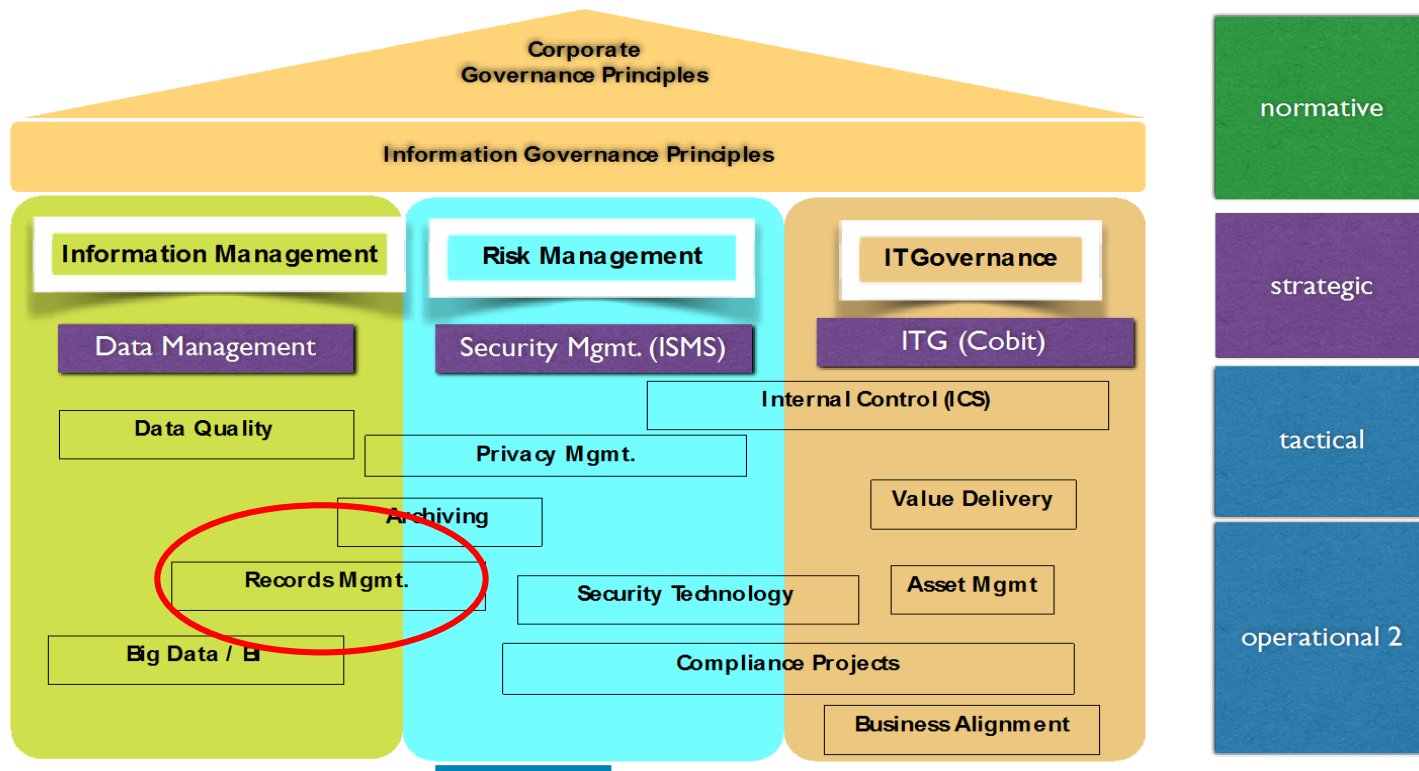
Reserve slides

RIM under the roof of IGov

WILDHABER Consulting

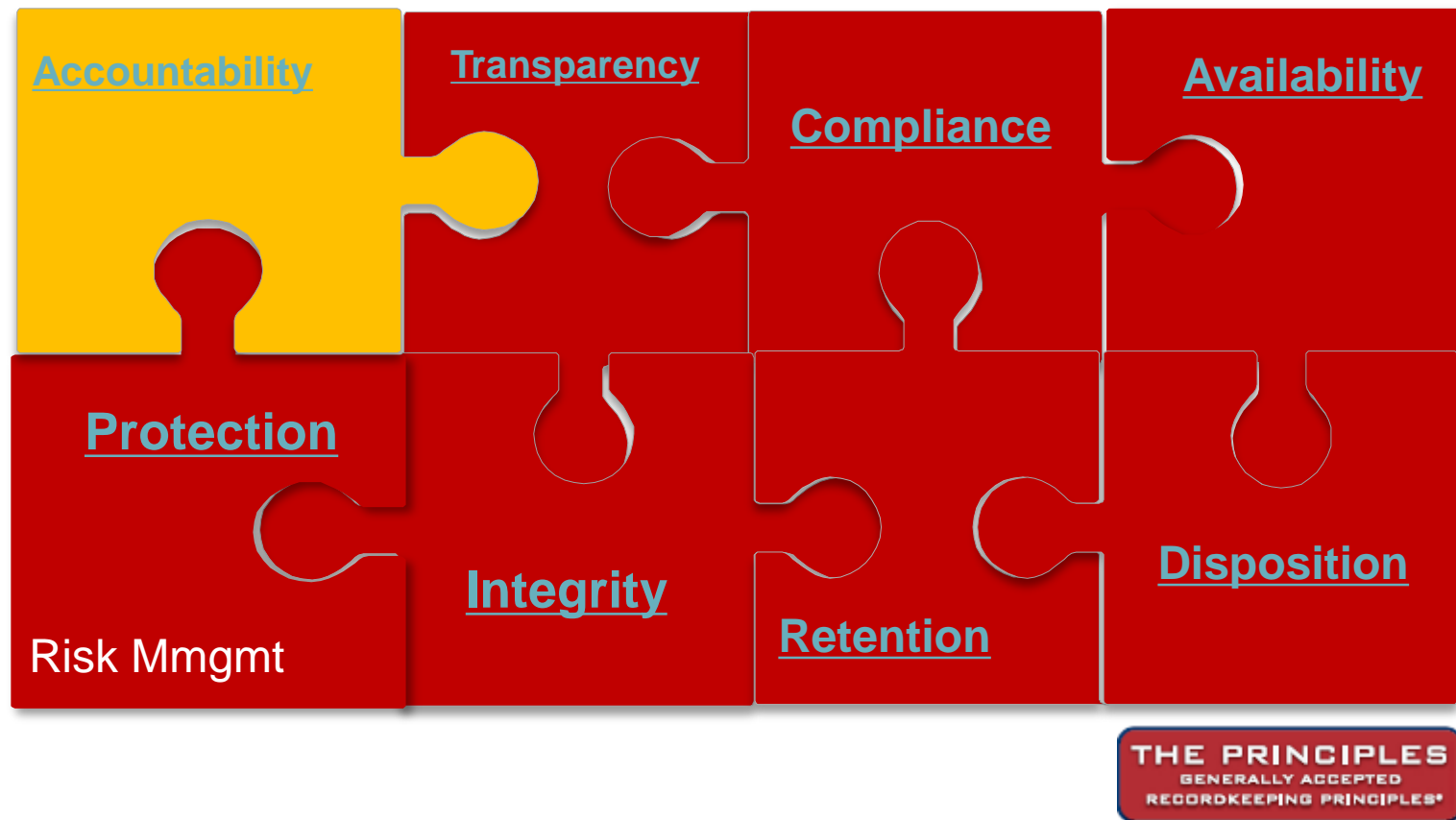
k s | r m

Themengebiete der Information Governance



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GARP® as maturity model and guidance



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 - Tacit knowledge: about complexity adaptation
https://www.youtube.com/watch?v=uvkLR3pa5QI&index=5&list=PLoc8L7ZRHkqnY8Ttf_w5J0-KtBoXa80VY
v.a. 22:41-23:00

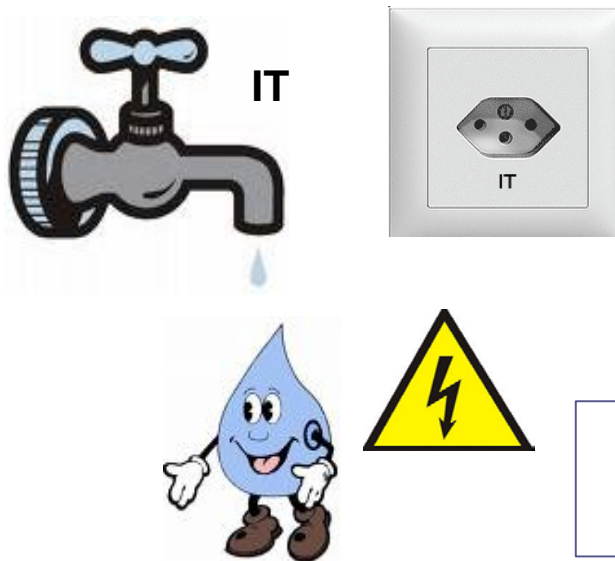


Questions ?



Reserve Slides

Distinction: IT Gov – Information Gov



CIO



Information Management Perspective
(meaning of the data in the business context)

IT Governance does **not** care about content and context (lifecycle) of information ... (RIM)

Attention! IG \neq IM

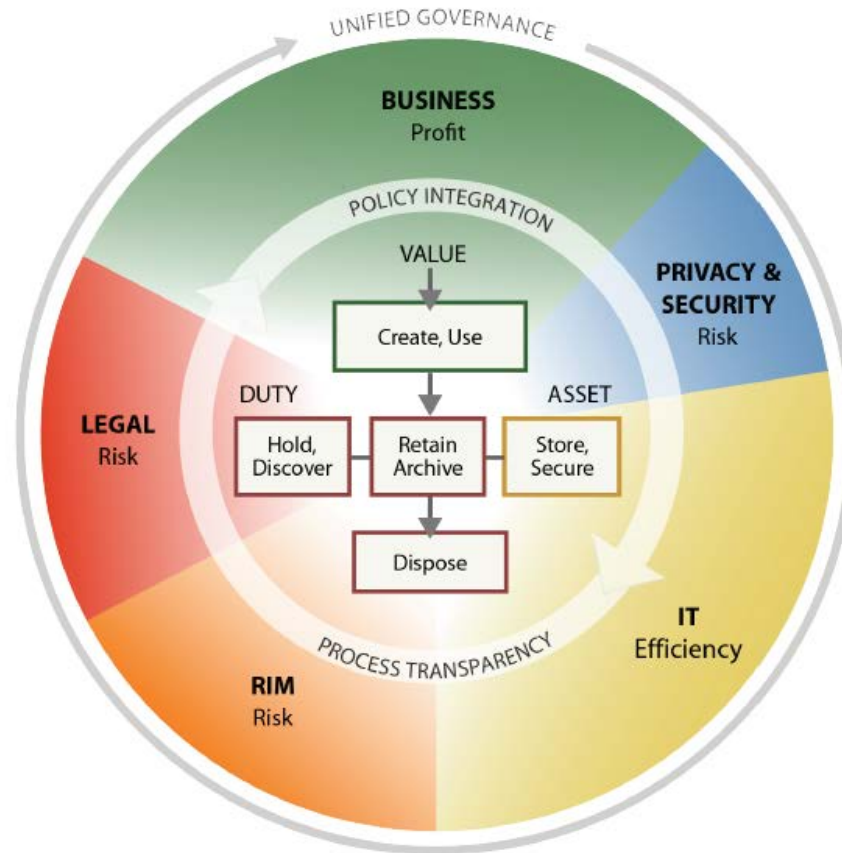


- **Governance** is mainly about decision making and who is responsible for setting policies and rules about information management (Legislation)
- **Management** is about executing and enforcing the decisions and policies (Execution)

therefore

- **Information Governance** and **Information Management** are not identical and should not be used as synonyms

Information Governance Reference Model



Duty: Legal obligation for specific information

Value: Utility or business purpose of specific information

Asset: Specific container of information

Source: EDRM

The 5 HOW's of culture (extended)



DIMENSIONS OF CULTURE		BLIND OBEDIENCE	INFORMED ACQUIESCENCE	SELF-GOVERNANCE
HOW WE KNOW	Use of Information	Hoarding	Need-to-Know Basis	Transparent
HOW WE BEHAVE	Organizational Structure	Silos & Fiefdoms	Division of Expertise & Functions	Integration with High Trust
	Source of Behavior	Autocratic Leadership	Rules Based	Values & Principles Based
	Reason for Behavior	Coercive	Motivated by Individual Self-Interest	Inspired for Greater Good
	Responsibility for Own & Others' Behavior	Central Policing Authority	Individual Organizational Units	Universal Vigilance
	Source of Authority (Who Gets to Decide)	Power Figure – Arbitrary	Power Figure – Consistent with Rules	Individual – Values Based
	Magnitude of Authority	Authority without Recourse	Top-Down Decision Making	Empowerment & Individual Accountability
	Source of Regulation	Externally Imposed	Voluntarily Adhered to Internal & External	Act on Shared Beliefs
HOW WE RELATE	Roles & Types of Skills	Follower & Worker	Manager	Leader
	Personnel Development	Rote Learning	Training	Education
	Level of Trust	Heavy Inspection & Limited Delegation	Checks & Balances, Contracts	High Trust & Verify
	Rules vs. Values	Minimal Adherence – Loopholes	Compliance with Requirements	Guided by What Is Right to Do
	Nature of Relationships (Employees)	Suspicion & Penalty Based	Honorable Work – Pay & Reward	Social Contract – Committed to Growth
	Nature of Relationships (Customers)	Suspicion & Close Monitoring	Price It Fairly & Get Paid in Return	Add Value Beyond Expectation
	Nature of Relationships (Supplier/Third Party)	Arm's Length – Transactional	Contractual, Fair, Impartial with Continuity	Mutual Collaboration – Make Each Other Better

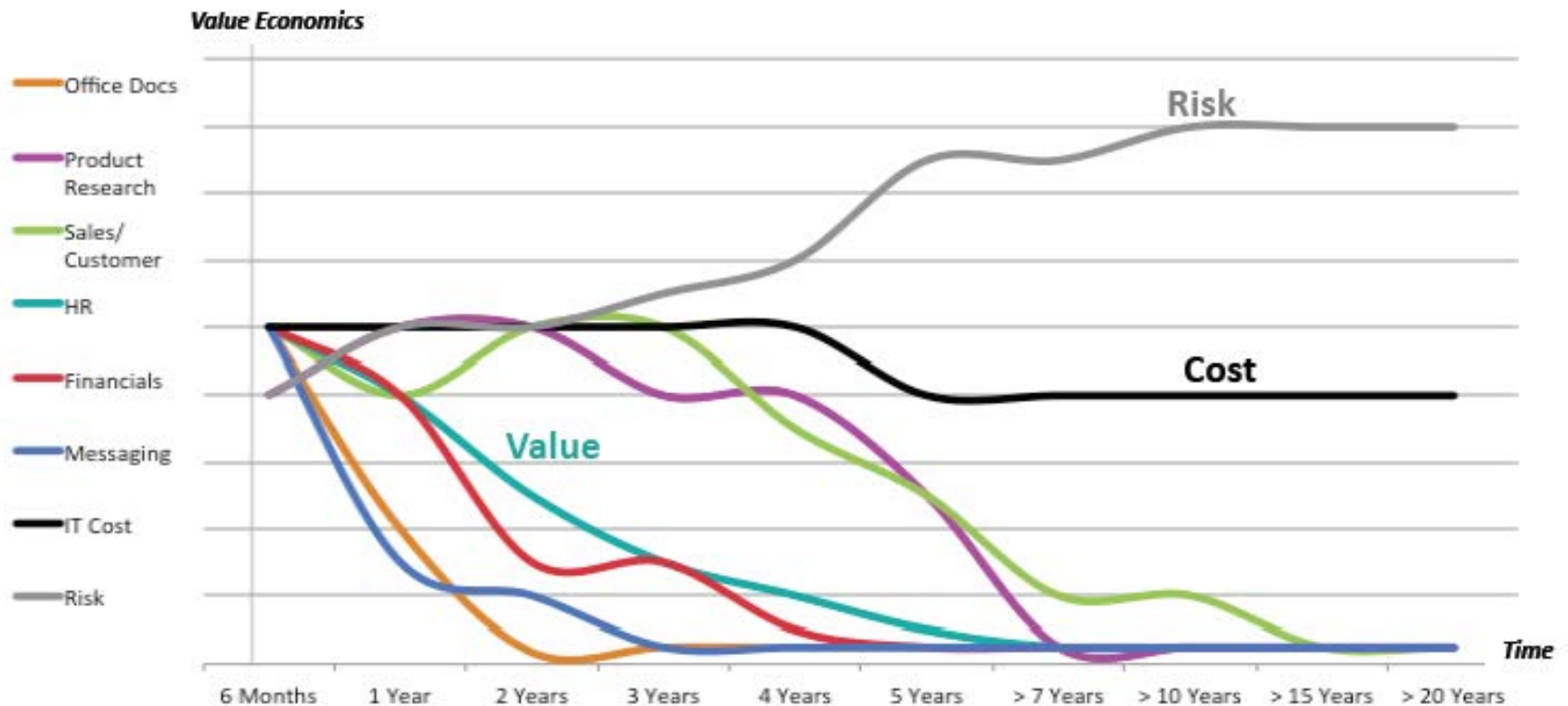
Source: Dov Seidman (2007): HOW. Why HOW we do anything means everything (Wiley)

5 HOW's of culture (extended)



HOW WE RECOGN IZE	Rewards & Recognition	Conformity &/or Obedience	Rewards for Personal & Organizational Success	Satisfaction in Achieving Mission & Significance
	Penalties & Discipline	Supervisor Determined – Fear	Established Structures & Procedures	Guilt from Self & Peer Pressure & Sanctions
HOW WE PURSUE	Time Orientation	Short-Term	Short-Term & Long-Term Goals	Driven by Legacy & Endurance for the Enterprise
	Mission & Purpose for Existence	Survival – Coerced to Participate	Success Oriented – Reward for Achievement	Mission, Promise, & Significance
	Determination & Definition of Significance	Significance Not a Concern, Human Doing	Journey of Success	Journey of Significance
	Attention to Regulatory & Legal Requirements	Emphasis on Enforcement	Controlled by Rewards & Penalties	Proactive & Preventive

Information value declines over time, cost and risk don't



Source: CGOC