Introduction

With the spotlight on data breaches and privacy, organizations are increasing their focus on information governance.

Unfortunately, most companies are still relying on a 20th century organizational structure to solve a 21st century problem.

From: usbtypewriter on Etsy available at: www.etsy.com/usbtypewriter
What is Information Governance?

Gartner:

“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”.

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What is Information Governance?

Wikipedia:

“Information governance, or IG, is the set of multi-disciplinary structures, policies, procedures, processes and controls implemented to manage information at an enterprise level, supporting an organization's immediate and future regulatory, legal, risk, environmental and operational requirements.”
What is Information Governance?

Sedona:

“an organization’s coordinated, inter-disciplinary approach to satisfying information compliance requirements and managing information risks while optimizing information value. As such, Information Governance encompasses and reconciles the various legal and compliance requirements and risks addressed by different information-focused disciplines, such as records and information management (“RIM”), data privacy, information security, and e-discovery. Understanding the objectives of these disciplines allows functional overlap to be leveraged (if synergistic); coordinated (if operating in parallel); or reconciled (if in conflict)”
Information as an Asset

Cost

Risk

Value
Information as an Asset: Moving from T to I
The Challenge

- Rising Business Demands
- Increasing Information Volume
- Increasing Regulatory Mandates
- Investment Prioritization Challenges
Information Governance Approaches

- Informal
- Information Governance Committee
- Information Governance Function
Informal Information Governance

From: Sedona Conference Commentary on Information Governance
Information Governance Steering Committee

From: Sedona Conference Commentary on Information Governance
Information Governance Function

From: Sedona Conference Commentary on Information Governance
Why Form and Information Governance Committee or Function

• Aligns priorities and investments
• Identifies stakeholders
• Ensures the business is involved
• Increases independence
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Current State Focus
New Problems, Same Old Structure
Current State: Records and Information Management

- Retention
- Organization and taxonomy
- Paper legacy
Current State: E-Discovery

- Often reactive
- Evidence v. business information
- Preservation v. retention
Current State: Privacy

• Increasing visibility

• Proactive v. reactive involvement

• Staffing challenges
Current State: Information and Cybersecurity

- Prevention and response
- Technology focused
- Requirements driven
What do they have in common?

- Understanding what you have, where it is, and how it is managed
- Policies, Procedures, Standards, Guidelines
- Communications, Training, Monitoring, Reporting
- Technology Investments
Coordination is Good, But Collaboration is Better

Metcalfe’s Law: The more people who use something, the more valuable it becomes.
What about the business?

Enterprise Functions
- Finance
- HR
- Tax
- Legal

Sales
Marketing

Lines of Business
- Engineering
- Manufacturing
- Professional Services
- Product Management
- Service Delivery
“independence from any particular department or division” (Principle 2)

“All information **stakeholders** should **participate**” (Principle 3)

“should be established with the structure, direction, resources, and accountability” to **meet program objectives** (Principle 5)

“effective, timely, and consistent **disposal** of physical and electronic information that no longer needs to be retained” (Principle 6)

Acting in good faith **to reconcile conflicting laws and obligations** should establish reasonableness (Principles 7 & 8)
The Retention / Minimization Balance

Privacy  RIM  Business and Analytics

Shorter  Retention  Longer
Tactical v. Strategic

- Information Governance is *strategic*
  - To be strategic, you need partners, sponsors, and a network

<table>
<thead>
<tr>
<th>Tactical vs. Strategic Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tactical</strong></td>
</tr>
<tr>
<td>Top down</td>
</tr>
<tr>
<td>Silo’d accountability</td>
</tr>
<tr>
<td>Difficult to value</td>
</tr>
</tbody>
</table>
Building an Information Governance Committee
Get Organizational Buy-In and Commitment
Who Should Sponsor?

- CEO / COO
- CIO / Chief Information Officer
- CLO / Chief Legal Officer
- CCO / Chief Compliance
- Line of Business Executive
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### Information Governance Committee Model

#### Information Governance Sponsors

<table>
<thead>
<tr>
<th>CIO</th>
<th>CLO</th>
<th>CCO</th>
<th>CFO</th>
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</thead>
</table>

#### Information Governance Committee

<table>
<thead>
<tr>
<th>Legal / Discovery</th>
<th>Information Technology</th>
<th>Risk Management</th>
<th>Information Security</th>
<th>Enterprise Functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>BU and Regional</td>
<td>RIM</td>
<td>Compliance / Audit</td>
<td>Privacy</td>
<td>Lines of Business</td>
</tr>
</tbody>
</table>

#### Working Teams

<table>
<thead>
<tr>
<th>Policies and Procedures</th>
<th>Projects and Platforms</th>
<th>Incident Response</th>
<th>Change Management</th>
</tr>
</thead>
</table>

#### Projects

<table>
<thead>
<tr>
<th>ECM</th>
<th>Data Classification</th>
<th>Employee Training</th>
<th>Information Mapping</th>
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</thead>
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Executive Sponsorship

Champions

Strategic

Tactical
Develop a Charter

- Define roles and responsibilities
- Set objectives and mission
- Identify sponsor, chairperson, steering committee and working teams
- Establish structure for meetings, reporting and communication.
Assess and Identify

• Understand what you have

• Identify gaps and risks

• Measure cost, risk and value

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Build a Roadmap

- Agree on priorities
- Establish project and working teams
Execute and Extend

Unmanaged Information

Managed Information

Amount of Information

Time

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Measure and Optimize

- Determine metrics up front
- Report often
- Optimize and adjust the roadmap
Practical (and Political) Tips

• **Who** sometimes matters more than **where**

• Identify members and information ownership early

• Leverage organizational mission statement and values
Don’t Forget the Orphans

- Digital Signatures
- Defensible Disposition
- Messaging Policies
- Cloud Strategy
Beyond the Steering Committee: Emerging Roles and Functions

• Dedicated IG Function
  • Provides greater independence

• New IG Roles
  • Chief Information Governance Officer
  • Chief Data Officer
  • Director of Information Governance
  • Information Governance Manager
What are the benefits of this approach?

• Alignment of enterprise goals and investments
• Decreased Costs
• Consolidated change management
• Increased access to and value of information
• Greater defensibility and consistency
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Questions?

For more information, contact:

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See Things Differently.
Commonalities and Conflicts

- RIM
  - Metadata
  - Identification
  - Retention

- Discovery
  - Metadata
  - Identification
  - Preservation

- Privacy
  - Identification

- Security
  - Access Controls
  - Classification
  - Secure Disposition

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