

# THINGS TO KNOW ABOUT INFORMATION GOVERNANCE

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# Topics to be Covered

- What is information governance?
- How is it different from information management?
- What is the business case for information governance?
- Who are IG stakeholders and what are their roles and responsibilities?
- How is an IG program structured?
- How does IG relate to other information-related governance initiatives?
- What is the legal and regulatory environment for IG?

# Key Definitions

- Governance – the process or system by which an organization’s activities are directed and controlled
- Corporate governance – the process or system by which companies are directed and controlled – broadly applied to all organizations
- Information governance—a process or system for directing and controlling an organization’s information assets, a component or subset of corporate (organizational) governance
- Governance framework – the strategies, policies, decision-making structures and accountabilities through which an organization’s governance arrangements operate
- Information governance model—a framework of strategies, policies, decision-making structures, and accountabilities for directing and controlling information assets
- IG stakeholder—a business unit or functional area that is involved with or affected by an organization’s information governance policies and practices

# Common Points in all IG Definitions

- IG determines how an organization's information-related initiatives will be conducted.
- IG creates a strategic framework that aligns information-related initiatives with an organization's mission.
- IG defines information-related roles, decision-making authority, and accountability.
- IG establishes standards for information-related initiatives.

# Common Points in all IG Definitions

- IG has a multidisciplinary perspective that facilitates collaboration and cooperation to support information-related initiatives.
- IG emphasizes compliance with legal and regulatory requirements related to information.
- IG reduces an organization's exposure to information-related risks.
- IG promotes processes and technologies that maximize cost-effective utilization and value of information assets.

# Governance vs. Management

- Governance is concerned with vision and purpose.
- Management focuses on the day-to-day execution of specific business operations or activities.
- Governance provides a strategic and policy framework that defines accountability and responsibility.
- Management occurs within context of strategies and policies defined by the governance framework.

# The Business Case for IG

- Governance's contribution to value: good governance increases confidence that organization will act prudently when making decisions about assets
- Information is a valuable asset: IG enables organizational governance to fulfill its responsibility for prudent stewardship of assets.
- IG aligns information-related practices with organizational goals – the “principal-agent problem”
- IG enables organization to full legal and regulatory compliance requirements
- IG improves an organization's risk profile as it relates to information
- IG enables organization to fulfill its responsibilities for internal control, which depends on information

# Key IG Stakeholders

- Records Management
- Information Technology
- Information Security
- Risk Management
- Compliance
- Legal
- Data Science
- Archival Administration
- Business Units



# Roles and Responsibilities

- Records Management – develops and communicates policies, procedures, and guidelines for cost-effective lifecycle management of information assets
- Information Technology – creates and operates the technological infrastructure for processing, storage, retrieval, and distribution of information assets; optimizes technological resources for cost-effective management of information assets; provides backup protection and disaster recovery capability for information assets

# Roles and Responsibilities

- Information Security – develops and communicates policies related to confidentiality, data protection, and disclosure of information assets; monitors and evaluates situations or events that threaten information assets; responds to data breaches and security incidents that involve information assets
- Risk Management – Identifies, analyzes, and quantifies risks related to information assets; develops and communicates policies to mitigate the adverse impact of specific information-related practices

# Roles and Responsibilities

- Compliance – Ensures that practices related to information assets comply with organizational policies and with external requirements, including laws, regulations, and industry-specific guidelines; audits and investigates organizational practices and presents findings with recommendations for corrective action
- Legal – Establishes and communicates policies related to legal proceedings that involve information assets, ensures that information assets are preserved, available, and accessible for legal discovery, provides opinions and advice to other stakeholders about legal issues related to information assets

# Roles and Responsibilities

- Data Science – Defines policies and procedures for analyzing digital information (big data), including issues related to privacy and data protection for specific projects
- Archival Administration – Responsible for preservation and long-term usability of information assets with continuing value for historical or other scholarly research
- Business Units – Responsible for implementing an organization's policies and procedures for information assets in their custody or under their supervisory control

# Sample RACI Chart for IG

Stakeholders						
Activities / Business Processes	Records Management	Information Technology	Legal	Information Security	Compliance	Business Units
Develop policies, procedures, and guidelines for lifecycle management of information assets	A, R		C			I
Create and operate technological infrastructure for information assets		A, R		C		I
Provide backup protection and disaster recovery for information assets	C	A, R				I
Ensure that information assets are preserved, available, and accessible for legal discovery	C	C	A, R			I
Develop policies for confidentiality, data protection, and disclosure of information assets				A, R		I
Ensure compliance with laws, regulations, and internal policies	C		C		A, R	I
Implement policies and procedures for information assets	C		C	C	C	A, R

# IG Program Framework

- Governance is a communal endeavor
- Governing board includes representatives of key stakeholders
- Governing board works closely with organization's management
- Governing board must have stable membership and function as a cohesive unit to advance the organization's mission and priorities
- IG program framework based on models developed for boards of directors in companies and not-for-profit organizations
- Models differ in governing board's role and relationship to management
- Models differ in the organizational culture for which they are best suited

# IG Program Models

- Executive-centered model:
  - Emphasizes top-down control and concentrated authority with strong executive who sets the governing board's agenda and directs its deliberations
  - Less collaborative than other governance models
  - No clear separation of governance and management
  - Not to be confused with executive sponsorship and C-suite support for IG

# IG Program Models

- Policy governance (Carver) model:
  - Sharp distinction between governance and management
  - Outcomes-oriented approach: governing board focuses on policy, mission, and strategic priorities – the “ends”
  - Management is responsible for the “means” consistent with board-defined policies
  - Governing board designed to empower management not interfere with it
  - Compatible with strong programmatic management



# IG Program Models

- Collaborative governance model:
  - A non-hierarchical approach: emphasizes cooperation, consensus-building, and compromise – goal is agreement, but not necessarily unanimity
  - Governing board has chairperson but this model does not require a strong IG executive – board members are collectively empowered to make decisions
  - Board composition may be rigidly prescribed to ensure representation by key stakeholders
  - Board members are typically high-level employees who reportedly directly to top management in their areas
  - With this model, IG may be less a formally-established program than an agreed-upon concept

# IG Program Models

- Working board model:
  - Board is actively involved in an organization's operational and administrative activities
  - No clear distinction between governance and management
  - A potential problem: board involvement verges on micromanagement
  - Best for a small organization or for new IG initiative that will later transition to different governance model

# IG Program Models

- Advisory board model:
  - Board gives advice to management about information-related matters
  - Board governs in a nominal sense only: more like an advisory committee – no decision-making or policy-setting authority
  - Board members selected for backgrounds, influence, and contacts
  - Board may have external members selected for subject expertise or experience
  - Suitable for IG program where strong executive wants informed, non-binding guidance

# Related Governance Initiatives

- Data governance / master data management
- IT governance
- Information security governance
- Risk governance
- Process governance
- Project governance
- Innovation governance

# Legal and Regulatory Environment

- Record retention requirements
- Mandatory destruction requirements
- Electronic recordkeeping laws
- Data residency requirements
- Data protection and privacy laws
- Security planning requirements
- Data disposal requirements
- Data breach notification requirements
- Information backup requirements
- Information disclosure requirements