

# How to Create a Holistic Information Governance Program

**Constance Schumacher**  
Content and Records Manager  
Business and Information Systems  
Argonne National Laboratory

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# How to Create a Holistic Information Governance Program

## Overview

→How I have addressed this task at Purdue Pharma, LP and Argonne National Laboratory

- Advocates
- Information Concerns
- Operational Proposal
- Charter Documentation
- Program Formalization



# How to Create a Holistic Information Governance Program

## Advocates

### Identify your program advocates

Wherever you are situated - high level or low within an organization, you will need advocates to:

- Give you introduction
- Help influence others
- Help remove “road blocks”
- Help clarify communication
- *Get the Ball Rolling for Your Project*



# How to Create a Holistic Information Governance Program

## Advocates

Your Program Advocates *could be*:

- Your Direct Supervisor
- Your Indirect Supervisor(s)
- Your Business Colleagues
- Your Peers (Professional Colleagues)
- Or Other Interested Parties

These individuals can help you:

Mitigate Challenges

Define Issues

Navigate the Institution (Culture)

Influence Others

Vet and Refine Proposals and Solutions

***They are not there to speak for you or present for you***

# How to Create a Holistic Information Governance Program

## Advocates

***They are not there to speak for you or present for you***  
*(No one's words will have more power than your own words.)*

Observations:

You must be prepared to ask for what you want

Your advocate(s) may be your obstacle

You must be prepared to direct the organization

To my boss: “You can just go tell them they have to do this...”

To my colleagues: “You *must* do this because...”

***You need to find your own voice. When you do so, you will build your own confidence.***

# How to Create a Holistic Information Governance Program

## Advocates

*Program Help Can Come From Anywhere*

→ *My help came from parties, beyond my reporting lines*

### **National Opinion Research Center – Interested Parties**

VP, Survey Operations

Survey Directors

NORC - IT Project Managers

### **Clerk's Office – Boss and Peers**

The Clerk

Associate Clerks and Divisional Managers

Judges

Cook County Administrators and Commissioners

### **Purdue Pharma – Boss and Peers**

VP, Legal Compliance

VP, Compliance

VP, Program Management

VP, Technical Operations

### **Argonne National Laboratory – Peers and Interested Parties**

Cyber Security

Enterprise Architecture

Audit

Legal Compliance

# How to Create a Holistic Information Governance Program

## Information Concerns

**Before one can perform Information Governance (IG), one must define what the value proposition of an IG program is for the organization**

### **Identify Your Organization's Information Concerns, First**

- These will not be the same for every organization
- They may be abstract, BUT, when clearly identified they will become the nexus of the issues what must be addressed
- Many times the Information Concerns are:
  - Global in Nature
  - Require High Level Support to Address
  - Require Multifunctional Resources from Across the Corporate Body to Adequately Tackle
  - Need to be Governed within the Information Realm to Correct/ Repair Actual Information Care Problems

# How to Create a Holistic Information Governance Program

## Information Concerns

**Identify your Organization's Information Concerns**

**Tie this List to Domain Standards (ARMA: GARP & DAMA: DMBOK)**

**ANL's List:**

1. Accountability
2. Transparency → All IT Functions
3. Integrity
4. Protection
5. Compliance
6. Availability
7. Retention
8. Disposition
9. Ownership
10. Data Quality
11. Information Archive and Preservation



# How to Create a Holistic Information Governance Program

## Information Concerns

### Align Concerns with your Organization's IT Capabilities

1. Enterprise Architecture
2. Library and Information Services (Content and Records Management)
3. Infrastructure and Operations
4. Workplace Services
5. Cyber Security
6. Business Transformation
7. Product and Application Services

### Build a Matrix noting the IT Operation, the Operational Owners and Operational the Gaps

- Align with IT Organization (*Identify owners and gaps; fill the gaps*)
- Tie Owners and Departments to Information Management Concerns

# How to Create a Holistic Information Governance Program

## Information Concerns

- I ascribe to the School of “David Bearman”
  - “All electronic recourses are a record...”
  - “If an organization is going to protect it’s electronic records and resources it must develop, document, train and audit appropriate Capture, Access and Maintenance mechanisms...”

## Program Scoping

Differently, but both RIM and IG need to address

- **Information Scope → All Records Information Resources**
  - Physical, Electronic, Aggregates, Email, Internet/Intranet, Communication Tools
- **Information Lifecycle and Application Lifecycle**
  - Active (Capture and Access)
  - Inactive (Access)
  - Disposal (Disposition)
  - Archive (Maintenance)
- *My understanding* shaped our Information Concerns matrix significantly

# How to Create a Holistic Information Governance Program

## Information Concerns

GARP/ DAMA-DMBOK	Information Management - Program Concerns		Owner	Department
1	<p><b>Accountability (GARP)</b></p> <ul style="list-style-type: none"> <li>-&gt; <b>Authority</b> [None = Gap]</li> <li>-&gt; <b>IG/ RIM Framework (Mission through Data Governance Processes)</b></li> <li>-&gt; <b>Program Formulation → Program Administration</b> [None = Gap]</li> <li><b>1 -&gt; Data Governance (Planning, Supervision and Control)</b> [None = Gap]</li> </ul>	N/A = Does not exist; (Proposed → Connie Schumacher)	N/A = Does not exist	

# How to Create a Holistic Information Governance Program Proposal

**Make a selection of the Information Concerns that must be addressed *first***

- One cannot address all concerns at the same time
  
- Argonne National Laboratory Information Concerns to be addressed first were:
  - **Information Ownership (No ownership responsibility)**
  - **Records and Information Management (Troubled program)**
  - **Information Governance (Non existent program)**
  
- Identify why these selections are important
  - RIM is Paid for Via Information Administration
  - Information Administration is an Executive Responsibility
  - (We allowed our Ex Staff to walk away from this responsibility)
  
- Prepare an Operational Proposal → CIO

# How to Create a Holistic Information Governance Program Proposal

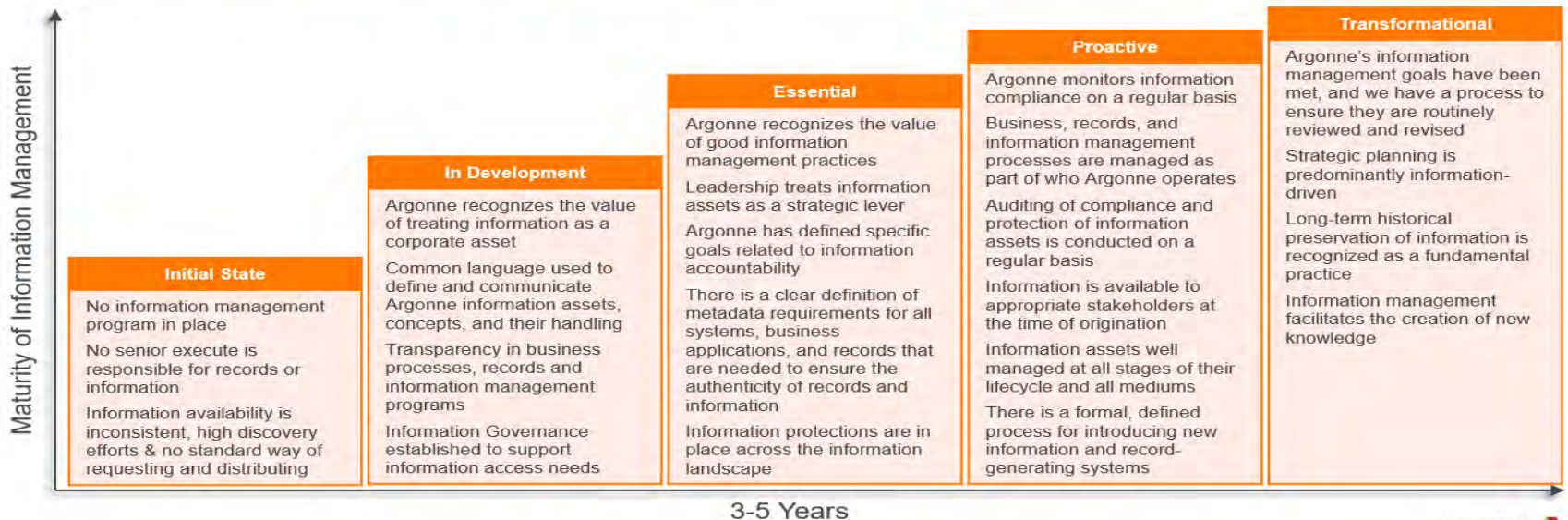
- Propose the Information Concerns to be Addressed First
  - Foundational RIM (Compliance)
    - To identify records and information resources within ANL
    - Align with DOE retention requirements
    - Develop standards for keeping
  - Information Ownership & Stewardship (Administration)
    - To espouse and formalize ownership responsibilities (business and technical) for records and information resources
  - Creation of an Information Governance Program (Implementation)
    - To provide executive reporting, program charter, oversight and drive information care initiatives to fill existing operational gaps
    - Assure better communication via discussion forums between Business Owners and Technical Stewards
    - Develop special projects to address Information Concerns

# How to Create a Holistic Information Governance Program Proposal

- Identify Current State and Challenges
- Identify Gaps
- Identify Future State and Benefits
- Build Maturity Roadmaps and Progressions for Each Information Concern

## INFORMATION MANAGEMENT MATURITY (PROGRESSION FOR MOVING FORWARD)

This roadmap represents the overall maturity of information management at Argonne.



# How to Create a Holistic Information Governance Program Proposal

- Our plan was to leverage Records and Information Management understandings to formulate an Information Governance Program
- Identify how you Propose to Move the Information Concerns Project Forward
- We made the initial proposal to our CIO to develop an IT Implementation Committee (Records, Library, Cyber Security & Enterprise Architecture) so we could develop a Laboratory Implantation Plan to address both
  - Mission Support (Administrative Records)
  - Programmatic (Science Records)
- The CIO helped to *warm the door* and we helped to *warm the door*
- Draft Information Governance Charter (later IG Policy)
  - Define What Information Governance is for the Corporate Body
  - Information Governance in the exercise of decision making and authority for Information related matters
  - Create Program Oversight Framework
  - Create Project Plans to Address Information Concerns



# How to Create a Holistic Information Governance Program Charter

## Draft Charter Document(s)

- Full Version (Formulate what is needed to be done - in detail)
- Executive Version (Develop a high-level version)

One really needs to write this document out in detail, since components will feed:

- IG Organization Communications
- IG Program Protection
- IG Committee and IG Framework Creation
  - This is your program’s “business plan”
  - It articulates where the organization is (Current State)
  - Where the organization hopes to go (Future State)
  - Why is needs to get there (Risk Reduction)
  - How it is going to get there (Operation Implementation)



# How to Create a Holistic Information Governance Program Charter

## Information Governance Charter Components

- Introduction
- Vision
- Mission Statement
- Capabilities Statement
- Program Scope
- Current State to Future State
- Authority
- Business Objectives
- Stake Holders and Approvals (Identify individuals and Current Roles)
- Appendices

**Appendix – Roles, Responsibilities and Sign-offs**

**Appendix – RIM and IG Policy Addressing Laboratory Information Types**

**Appendix – Future Project Components (*Relist Information Concerns*)**

**Appendix – Future Project Plan(s) (*Information Concern – Solutioning Project*)**

# How to Create a Holistic Information Governance Program

## Program Formalization

### Convene IG Program Kick off Meeting

#### Preliminary Committee Meeting

*Who, How and When → Meeting Framework*

#### Meeting Schedules & Minutes

*Who, How and When*

#### Scoping

*What, Who and When*

#### Agendas

*Who and How*

#### Discussion Forum

*What, Who, How, and When*

#### First Order of Business

*What, Who, How, and When → Project Planning*

#### Reporting

*To Whom, How and When*

**Now, move forward! You are off to the races!**