Information Governance Maturity: It's About Steps, Not Strides.

Information volumes continue to grow at an astounding pace. So do costs and risks.

The rate at which Information doubles

Portion of information unnecessarily retained

Estimated number of records that were compromised in 2012
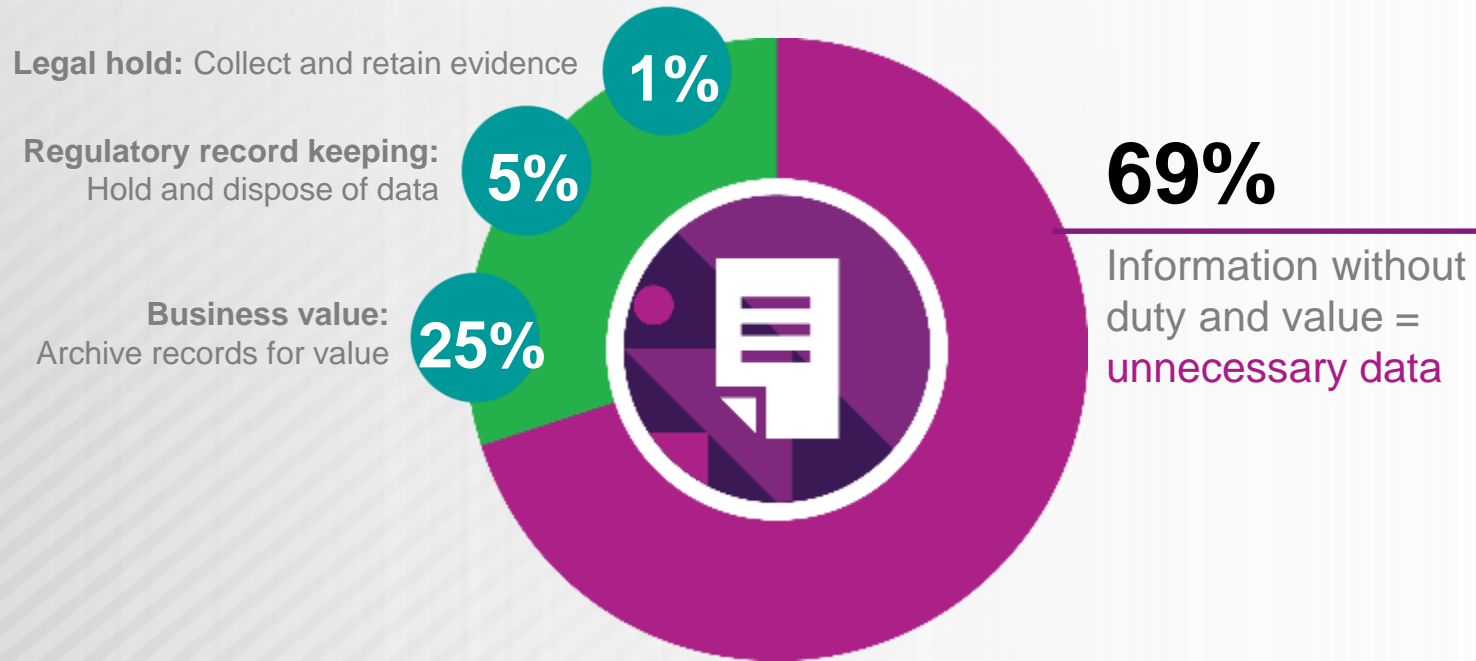
18-24 months

70%

44.8 million

1 IDC iView, *Extracting Value from Chaos*, Doc #1142, June 2011.
2 CGOC, *Summit 2013 Survey*, 2013.
3 Verizon, *2013 Data Beach Investigations Report*, 2013.

Very Simple Savings Proposition: Dispose of Unnecessary Data

Excess information = higher cost and greater risk

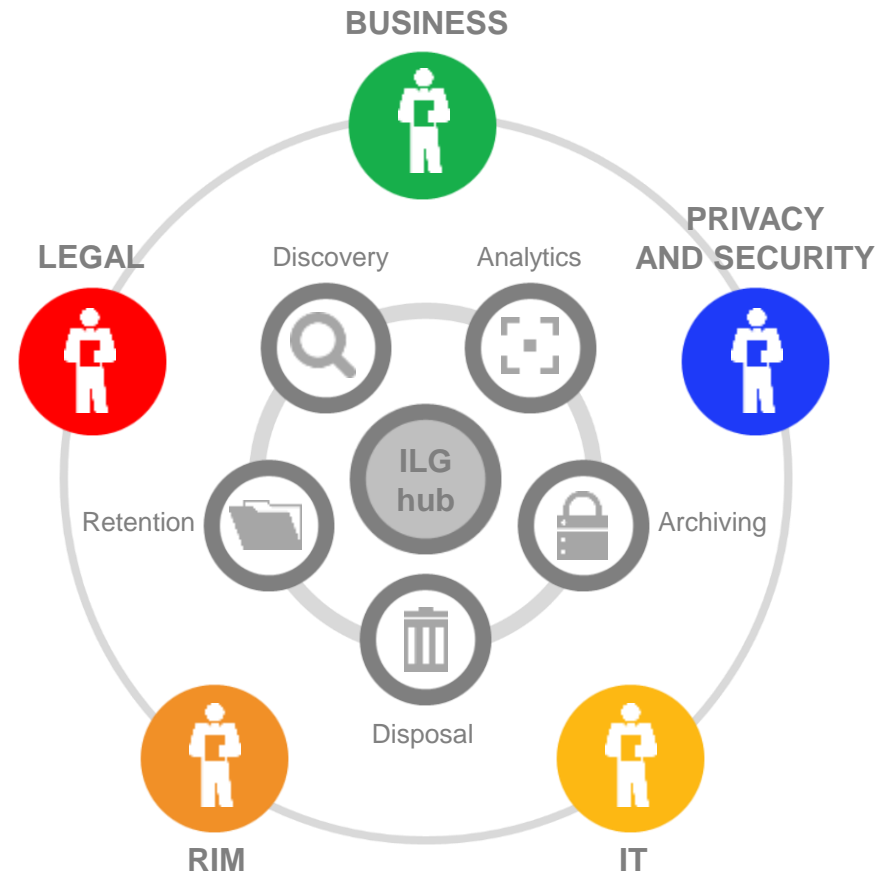**Legal hold:** Collect and retain evidence

1%

Regulatory record keeping:
Hold and dispose of data

5%

Business value:
Archive records for value

25%

69%

Information without
duty and value =
unnecessary data

CGOC, *Summit 2013 Survey.*

Information Governance Reference Model (IGRM)

A blueprint for where we want to be…

IGRM

http://www.edrm.net/projects/igrm

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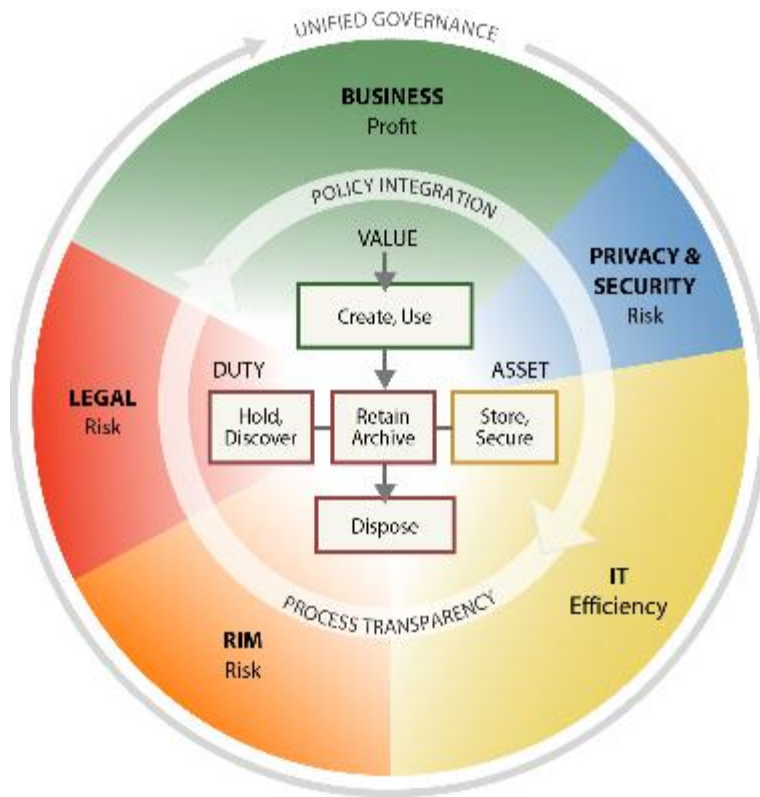
That sounds great but

WHERE DO WE START?

Five Phases
of Information Governance Maturity

Unsure
Aware that there may be data issues lurking, but not proactively looking for or managing them

Overwhelmed
Dealing with issues from troublesome data sources in ad-hoc/reactive fashion with no real understanding of data value/cost

Structured
Gaining stronger understanding of data issues that exist and establishing repeatable, defensible processes to mitigate issues

Managing
Enterprise-wide stakeholder agreement on problematic data issues and well-established, validated processes

Confident
Strong understanding of enterprise data composition, confident that issues are being discovered and addressed through fully automated processes

INITIAL   MANAGING   DEFINED   QUANTITATIVELY MANAGED   OPTIMIZING

REACTIVE   PROACTIVE   REACTIVE   PROACTIVE   REACTIVE   PROACTIVE   REACTIVE   PROACTIVE

Information Governance Maturity: Phase 1

INITIAL

REACTIVE

PROACTIVE

Unsure

Aware that there may be data issues lurking, but not proactively looking for or managing them

- Where is the data?
- What kind of data is there?
- Who owns the data?
- Who has access to the data?
- No planning or processes in place

Information Governance Maturity: Phase 2

MANAGING

REACTIVE

PROACTIVE

Overwhelmed

Dealing with issues from troublesome data sources in ad-hoc/reactive fashion with no real understanding of data value/cost

- Issues driving data initiatives
- No bandwidth to deal with additional issues
- Problems dealt with in ad-hoc fashion
- Priority is on short-term, high cost
- No real understanding of data value/costs

Information Governance Maturity: Phase 3

DEFINED

REACTIVE

PROACTIVE

Structured

Gaining stronger understanding of data issues that exist and establishing repeatable, defensible processes to mitigate issues

- Performing data discovery at regular intervals
- Processes established to mitigate issues
- Actively looking to reduce data costs/issues
- Investigating causes of data problems

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Information Governance Maturity: Phase 4

QUANTITATIVELY MANAGED

REACTIVE

PROACTIVE

Managing

Enterprise-wide stakeholder agreement on problematic data issues and well-established, validated processes

- Involvement in process from all stakeholders
- Clear understanding of which issues are problematic
- Initiatives to discover further problems
- Full agreement across enterprise on data issues

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Information Governance Maturity: Phase 5

OPTIMIZING

REACTIVE

PROACTIVE

Confident

Strong understanding of data composition and assurance issues are being discovered and addressed through fully automated processes

• Automated processes running at regular intervals
• Concise reports prove issues have been addressed
• Strong understanding of data composition throughout the enterprise
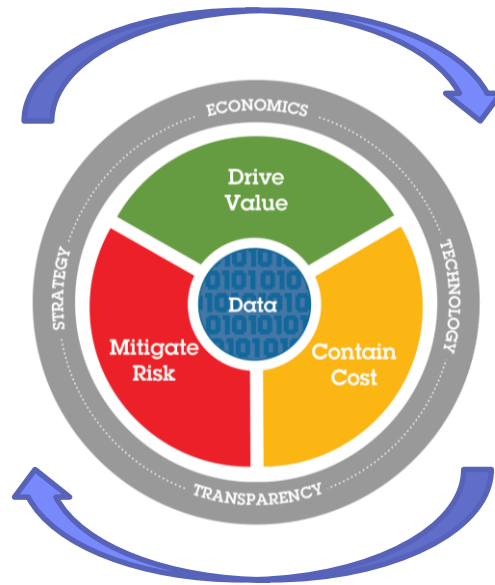
Steps To Information Governance Maturity
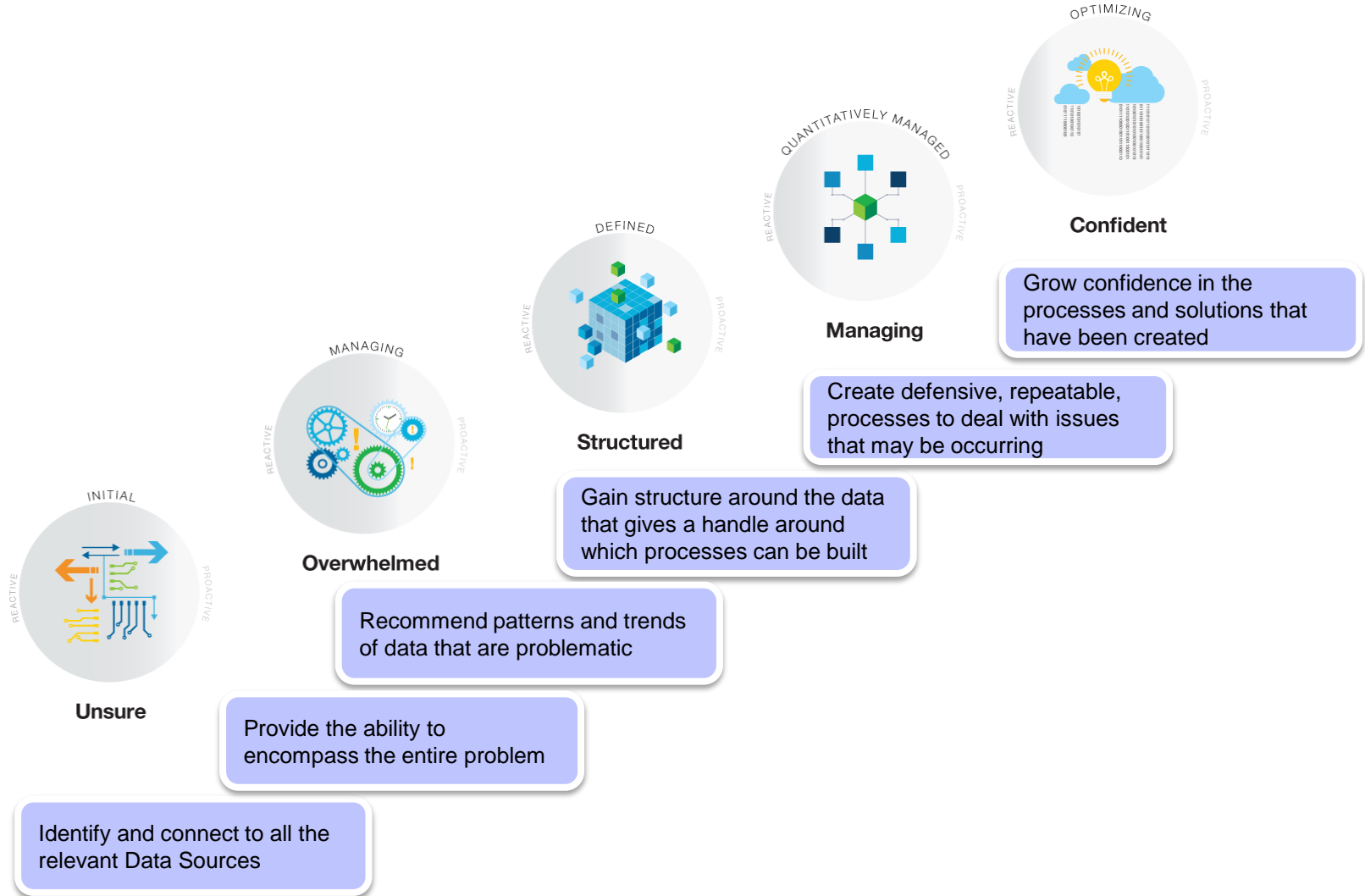
A QUICK EXAMPLE

Getting Started

1 **Strategize**

- ❑ **Choose an on-ramp - prioritize**

- ❑ **Benchmark** Processes, Costs and Risk

- ❑ Define **desired outcome**

2 **Operationalize**

2. **People** – who needs to be involved for success?

- ❑ **Process –** what are the desired policies?

- ❑ **Technology** – what is necessary to achieve goals?

3. **Measure**

- ❑ **Track** metrics based on desired outcome

- ❑ **Audit** processes and policies

- ❑ **Report** *Plan to Actual* to ILG Stakeholders

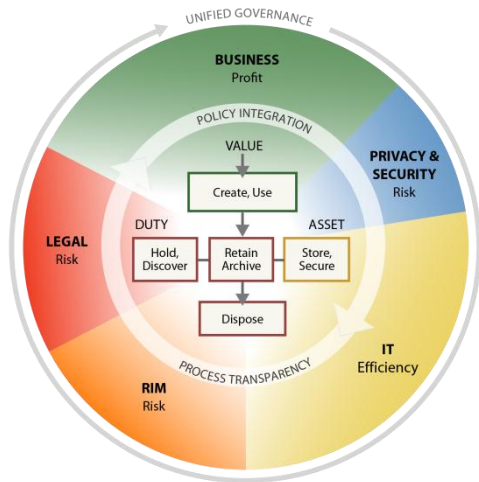# 1) Strategize - Benchmark Processes against cost and risk

Start on an ILG On-Ramp, focus on the need and a subset area of these processes & stakeholders

Capability, maturity and transparency

			ILG Process
LEGAL		A	Employees on Legal Holds
		B	Data on Legal Hold
		C	Hold publication
		D	Evidence Collection
		E	Evidence Analysis & Cost Controls
RM		F	Legal Record
		G	Master Retention Schedule & Taxonomy
BUSINESS		H	Departmental Information Practices
		I	Realize Information Value
PRIVACY		J	Secure Information of value
		K	Privacy & Data Protection
		L	Data Source Catalog & Stewardship
		M	System Provisioning
IT		N	Active Data Management
		O	Disposal & Decommissioning
		P	Legacy Data Management
AUDIT		Q	Storage Alignment
		R	Audit

Demand

Economics

Supply

UNIFIED GOVERNANCE

BUSINESS
Profit

POLICY INTEGRATION

VALUE

PRIVACY & SECURITY
Risk

Create, Use

DUTY   ASSET

LEGAL
Risk

Hold, Discover | Retain Archive | Store, Secure

Dispose

IT
Efficiency

PROCESS TRANSPARENCY

RIM
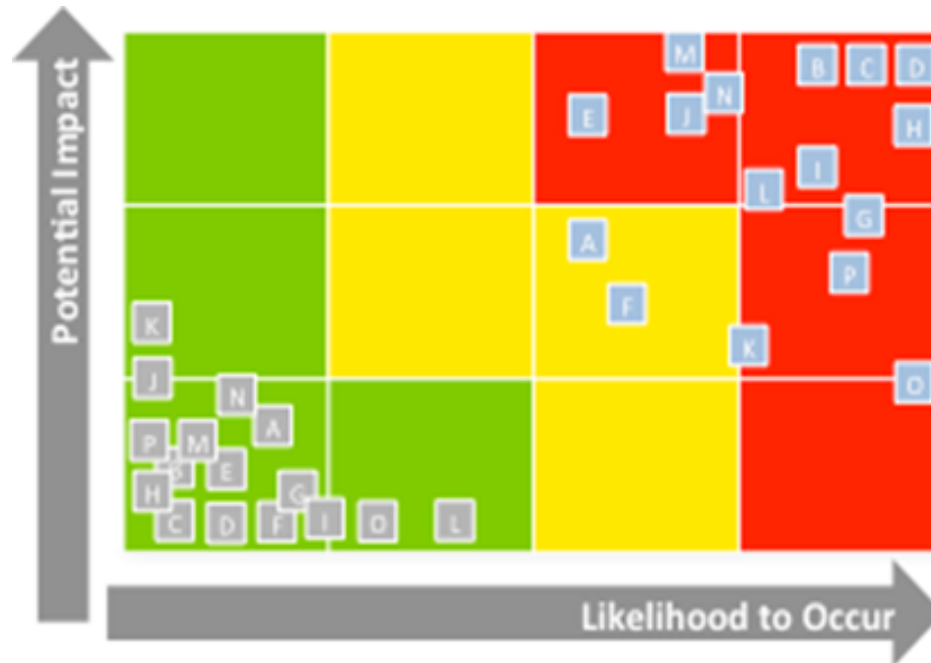Risk

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1) Strategize – Prioritize Cost and Risk Reduction Opportunities

ILG 18 Process to assess As-Is and To-Be desired states for one or more stakeholders and their key processes

I	Realize Information Value	Gaining timely access to and ability to apply information in the course of their work, including the ability to harness information of quality as it ages and the ability to use relevant information with or without author context to maximize the enterprise value of information.	

1) Strategize – Choose an On-Ramp

Enterprise Policy Management

Information Lifecycle Governance Solution Pillars

Data Assessment & Clean Up	**Legal Discovery**	**Records & Retention**	**Value-based Archiving**	**Data Curation**
Data Assessment	Custodian Management	Classification	Email Archiving	Relative Data Value
ROT Reduction	Legal Hold Notification & Interviews	Records Management	SharePoint Archiving	Value vs. Risk Assessment
Risk Reduction	Early Case Assessment	Retention & Disposal	File System Archiving	
High Value Data	Data Identification & Collection			

| Data Expert Storage Manager | Legal Process Owner Legal Paralegal | Records Manager Compliance Officer | Storage/Archive Manager | Data Scientist |

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1) Strategize – Determine desired outcomes

5 Optimizing

> - Potentially achieve Defensible Disposal
> - Start to leverage Analytics
> - Data Risk and Costs are reduced
> - Policy and Process transparency across all stakeholders
> - Policy execution automation

4 Integrated, instrumented processes

> - People in the group use the same method
> - Process is automated and facts are routinely incorporated in process
> - Process is repeatable, consistent and reliable in dynamic enterprise
> - Facts from adjacent stakeholders are routinely incorporated in process
> - Process provides enterprise transparency
> - Process dependencies and risks are systematically detected, communicated across processes

3 Silo'ed, consistent, instrumented

> - People in the group use the same method
> - Process is automated
> - Process facts are routinely incorporated in departmental process
> - Process is repeatable, consistent
> - Process and facts are isolated in department

Let's get here

2 Silo'ed, manual

> - Facts are difficult to retrieve but available; isolated to dept
> - People in the group use the same method
> - Spreadsheets are stored in common place or in shared email

We are here

1 Ad hoc, inconsistent

> - Inconsistent activity
> - Informal or incomplete
> - Facts isolated to an individual
> - Can't easily be compared, reconciled or monitored
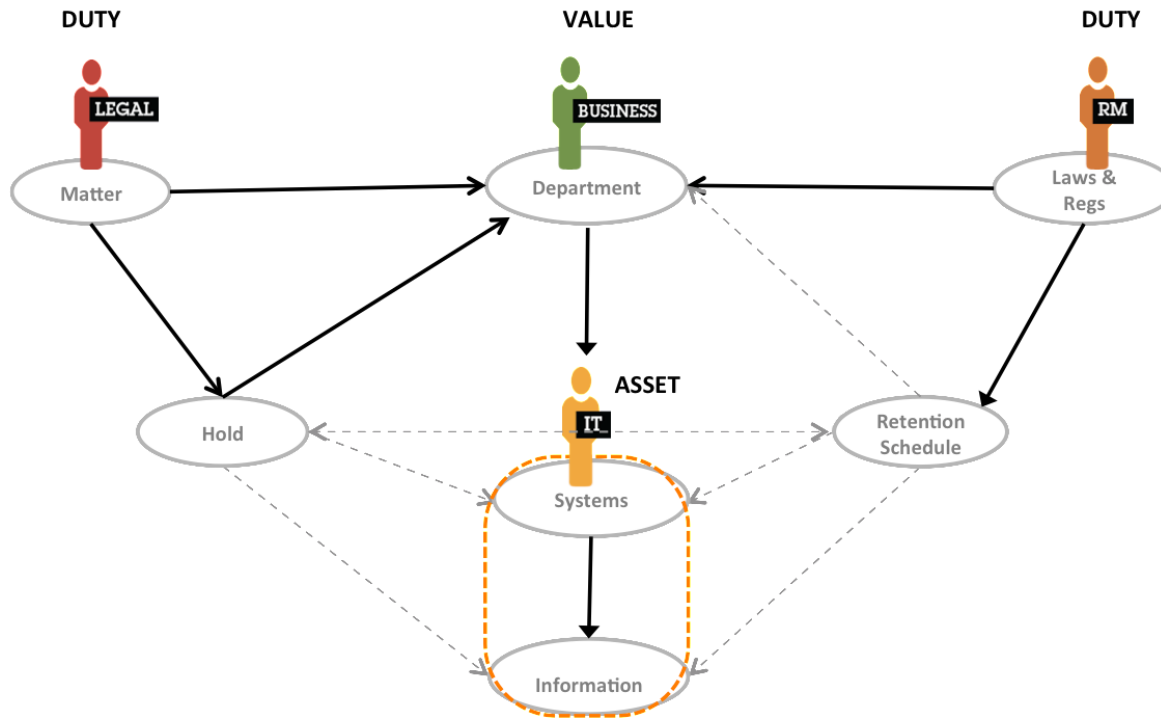
HIGH RISK & COST

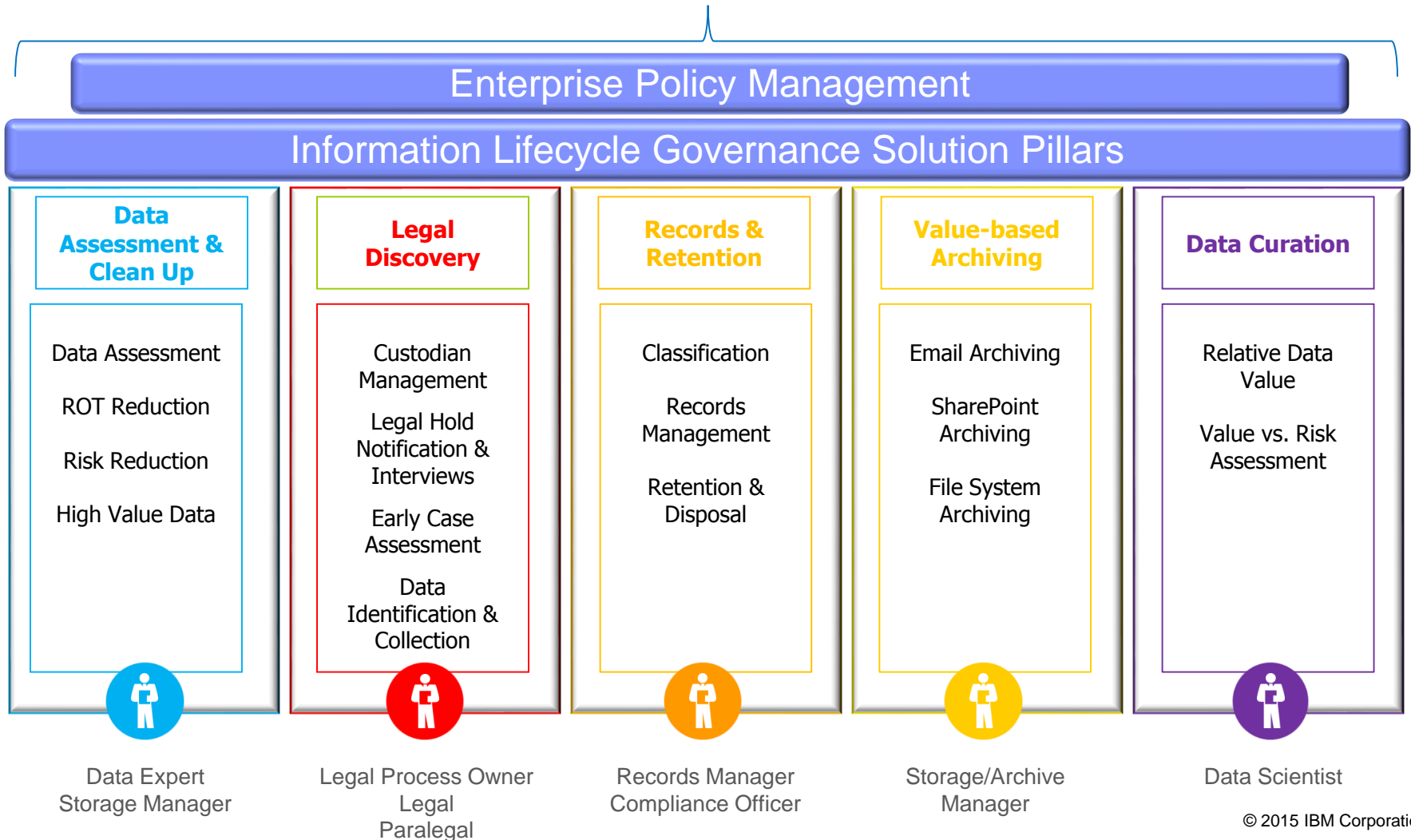HIGH TRANSPARENCY & CONTROL

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2) Operationalize

- Mobilize People – leadership, governance org, roles, communications
- Establish required ILG policies
- Transform the identified processes
- Instrument and deploy automation

	Level 1: AD HOC, MANUAL, UNSTRUCTURED	Level 2: MANUAL, STRUCTURED	Level 3: SEMI AUTOMATED WITHIN SILO	Level 4: AUTOMATED, FULLY INTEGRATED ACROSS FUNCTIONS
H Departmental Information Practices	Departmental information management needs and habits for electronic and physical information are not visible to records management, IT or legal stakeholders (who have no knowledge of actual procedures, information, location, use, or value).	Inventories of departmental information management practices and source information are used to develop retentions schedules and coordinate physical records (via a network of records coordinators focused on physical records management).	Departmental liaisons work with their line of business to identify information of value, its duration of value and where it is managed; this informs more comprehensive retention schedules for all information (regulated, unregulated, electronic, physical). Business is able to request changes to master schedule and department/country schedules at the rate of business change.	Retention schedules are automatically executed across the information environment. Cost and benefit are weighed in determining retention periods and the enterprise impact is considered. Schedule changes are syndicated to IT and directly to systems for execution of both retention and disposition. When business objectives or laws change, schedules are updated and stakeholders notified. Legal and IT have transparency to what information each line of business has where and for how long to inform ediscovery and data management. Level 3 capabilities.
I Realize Information Value	Information is difficult to retrieve or search. After creator loses initial context, it is forgotten and no value is realized. Staff must mine, open and view files on their individual drives to find what they need and access to relevant information they didn't create is exchanged via email.	Information for a group is organized in shared drives and collaboration sites. Employees must search multiple drives and collaboration sources to find what they need; relevant information is extracted by opening multiple files, emails, documents, or reports; structured and unstructured data must be harvested separately and manually correlated.	Application data and business process data can be searched by departmental staff in the course of their work from within the system.	Search and analytics enable employees to realize value and to apply information to decision making in real time even as context erodes across information sources and types; assertions on value and sources of information made in processes H, I and x are used to ensure availability and accessibility of information the business defined as valuable. The cost of information to the enterprise is consistent and appropriate over its lifecycle.

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2) Operationalize – Who needs to be involved?

2) Operationalize – What is the necessary instrumentation?

Enterprise Policy Management

Information Lifecycle Governance Solution Pillars

Data Assessment & Clean Up	Legal Discovery	Records & Retention	Value-based Archiving	Data Curation
Data Assessment ROT Reduction Risk Reduction High Value Data	Custodian Management Legal Hold Notification & Interviews Early Case Assessment Data Identification & Collection	Classification Records Management Retention & Disposal	Email Archiving SharePoint Archiving File System Archiving	Relative Data Value Value vs. Risk Assessment
Data Expert Storage Manager	Legal Process Owner Legal Paralegal	Records Manager Compliance Officer	Storage/Archive Manager	Data Scientist

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3) Measure – Audit processes and policies

- Track freed capacity, process maturity, costs and risks

- Audit processes and policies

- Report Plan to Actual to ILG Stakeholders

|			
H	**Departmental Information Practices**	Using an enterprise information taxonomy, cataloging which information each business organization values, generates or stores by class, where they store it and how long it has utility to them; results in retention schedules for information and enables data source-specific retention schedules that reflect both business value and regulatory requirements	
I	**Realize Information Value**	Gaining timely access to and ability to apply information in the course of their work, including the ability to harness information of quality as it ages and the ability to use relevant information with or without author context to maximize the enterprise value of information.	
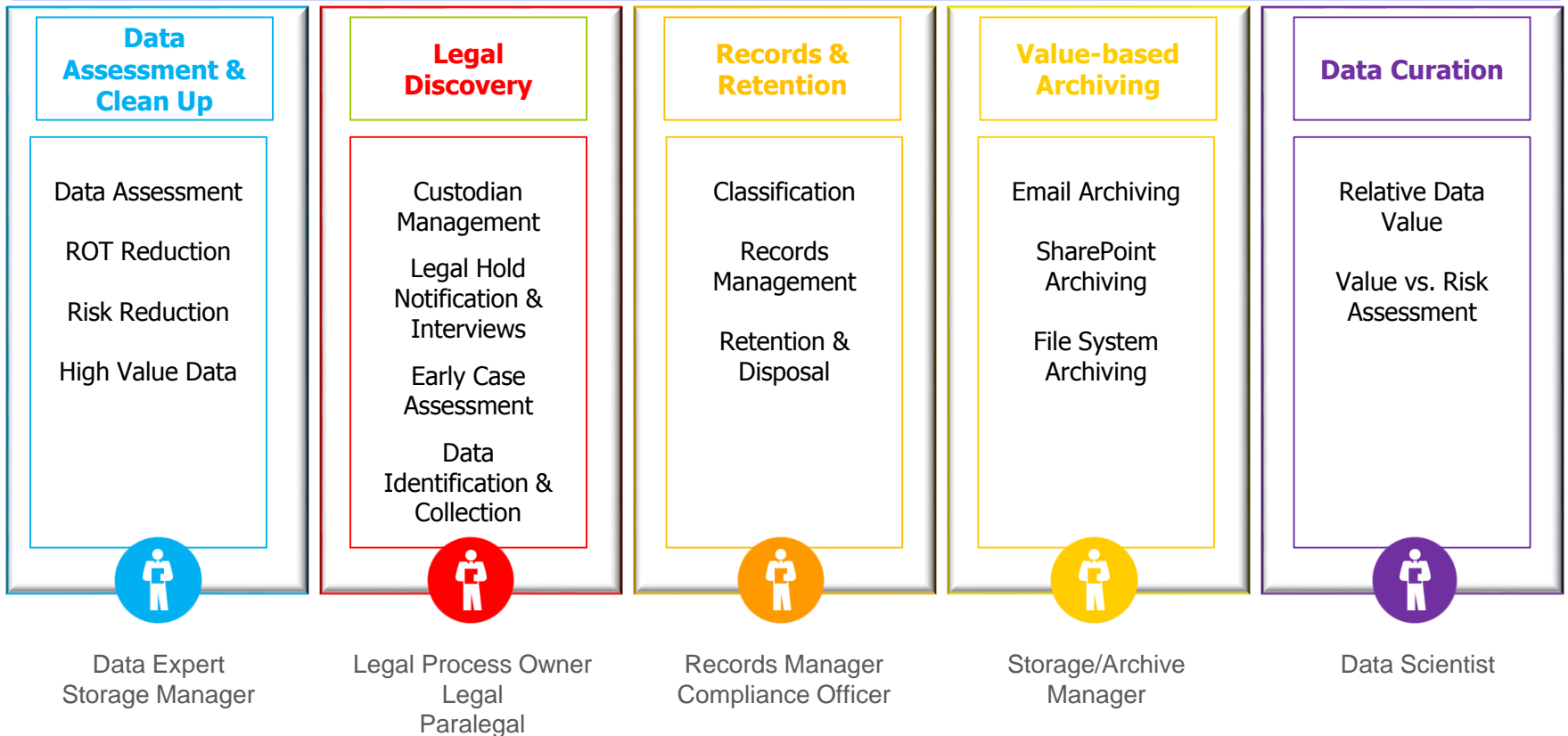
Building a comprehensive Information Lifecycle Governance program

ONE STEP AT A TIME

Our Strategy: Help Customers Improve

IBM Information Lifecycle Governance Solutions
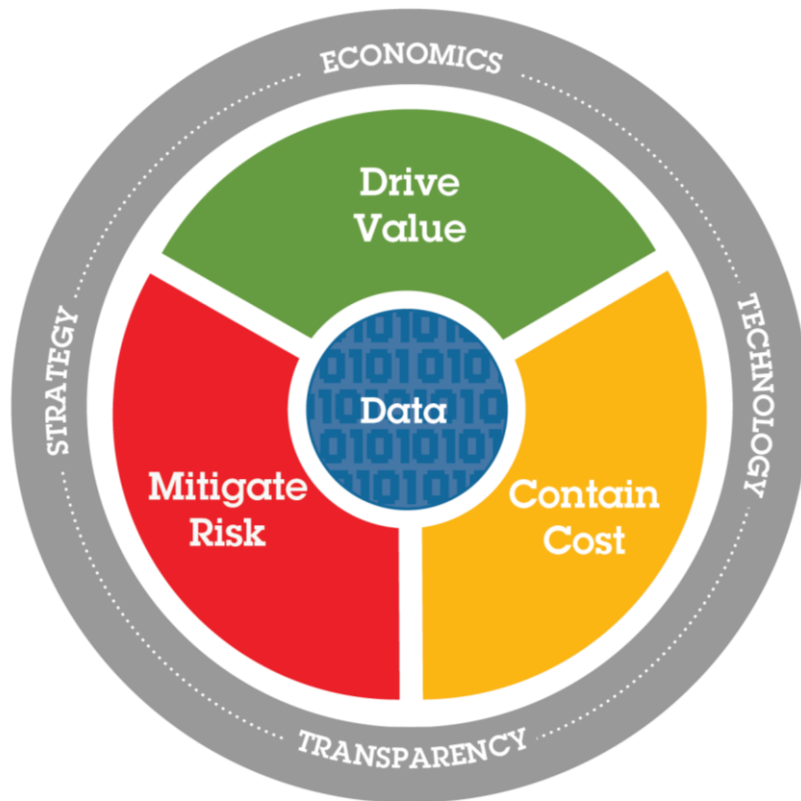
Lower the total cost of information while increasing the value derived from it:

Eliminate unnecessary cost and risk by defensibly disposing of data debris

Align cost to value through value-based archiving and tiering

Reduce information risk by instrumenting privacy, e-discovery and regulatory policy across the data environment

Enable business to realize information value as context erodes and volumes increase with in-place analytics, content management and collaboration
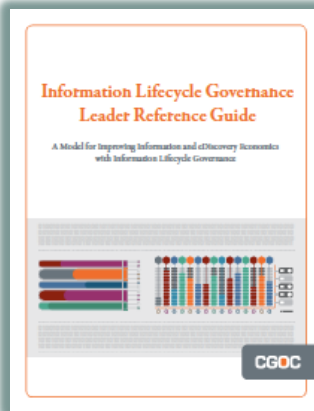
SUMMARY AND THANK YOU!

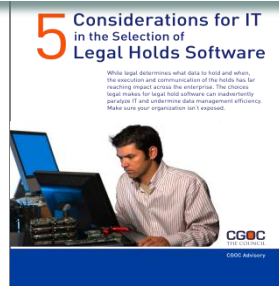# CGOC™
The Resource for ILG Program Best Practices

Strategize ▶ **Operationalize** ▶ **Measure**

Benchmark Survey
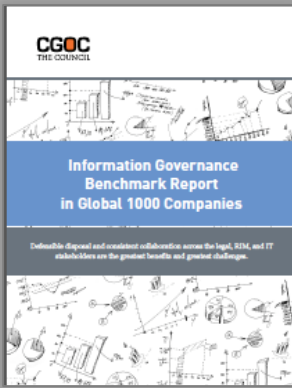
Leader Guide
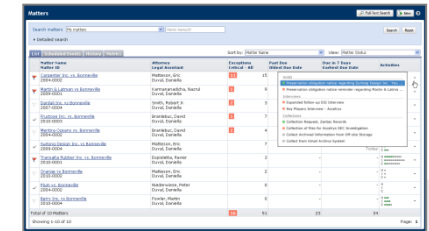
ILG Process Maturity Model and Kit

Risk and Cost Evaluation

5 Considerations for IT in the Selection of Legal Holds Software

ILG Communication

IT and Cross Matter Dashboards

www.cgoc.com