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Information Governance (IG): *Principles and best practices*

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IG : Nature, principles and goals

- IG Definition
- IG Goals
- Principles
- Norms

IG Policy : Main tool for IG implementation

- Nature
- Goals
- Conception and Validation Process
- Actors
- Contents

‘...Information governance encompasses the policies and technologies meant to dictate and manage what corporate information is retained, where and for how long, and also how it is retained (e.g., protected, replicated and secured). Information governance spans retention, security and lifecycle management issues...’

Kathleen Reidy, 2009

IG is supposed to give an answer to the main issues of management & data protection :

- Who has access to the organization's information?
- What is the nature and the quantity of information one holds?
- When was each data created/received?
- Where is the required information?
- Why is this information withheld?
- How is this information processed/stored/protected?
- Etc.

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‘IG is an ongoing program that helps organizations meet external compliance and legal demands and internal governance rules’

Smallwood, 2013, p. 417

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Compliance ?????

It is primarily compliance with ...

1. Legal and regulatory requirements
2. Norms and standards, internal/external
3. Professional rules and principles
4. Organizational customs and traditions
5. Best practices

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The Fundamentals of Contemporary Archival Science

Generally Accepted Recordkeeping Principle (GARP, ARMA, 2009):

GARP 8 Principles (ARMA, 2009)

P1 of Accountability : one person in charge of IG

P2 of Transparency : activities and their processes are known by all

P3 of Integrity : AS ensures data authenticity and reliability

P4 of Protection : AS protects sensitive, confidential and essential information

P5 of Compliance : AS complies with the law + applicable policies + norms

P6 of Availability : AS allows quick and appropriate access

P7 of Retention : AS defines proper retention periods

P8 of Disposition : AS allows a safe and steady disposal of data

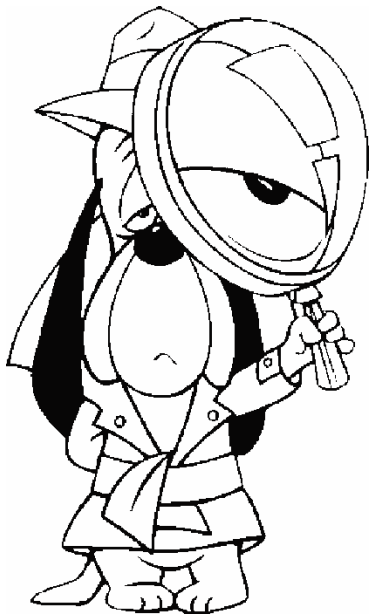
*P: principle

*AS: archival system

Monitoring and Implementing IG Principles

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Generally

Accepted

Recordkeeping

Principles®

Information Governance
Maturity Model

Information is one of the most vital strategic assets any organization possesses. Organizations depend on information to develop products and services, make critical strategic decisions, protect property rights, propel marketing, manage projects, process transactions, serve customers, and generate revenues. In short, well-governed information is critical to the success of any organization.

Despite its importance, there is often uncertainty and disagreement about what constitutes good *information governance* – which Gartner Inc. describes as an accountability framework that “includes the processes, roles, standards, and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals” – and even more uncertainty as to how to achieve it.

Yet, this issue gains in importance daily as regulators, shareholders, courts, and constituents are increasingly concerned about organizations’ business practices and the records – which are defined as “any recorded information, regardless of medium or characteristics, made or received and retained by an organization in pursuance of legal obligations or in the transaction of business” – and the non-record information that support and document those practices.

In addition, society as a whole is concerned about governmental and business transparency and other information-related issues, such as privacy and security of personal information. These concerns are magnified by ever-growing data volumes and complexity that demand increasingly sophisticated governance and management.

To address these needs, ARMA International developed and promulgated the Generally Accepted Recordkeeping Principles® (the Principles).

THE PRINCIPLES
GENERALLY ACCEPTED
RECORDKEEPING PRINCIPLES®

IG Principles: Appraisal Chart

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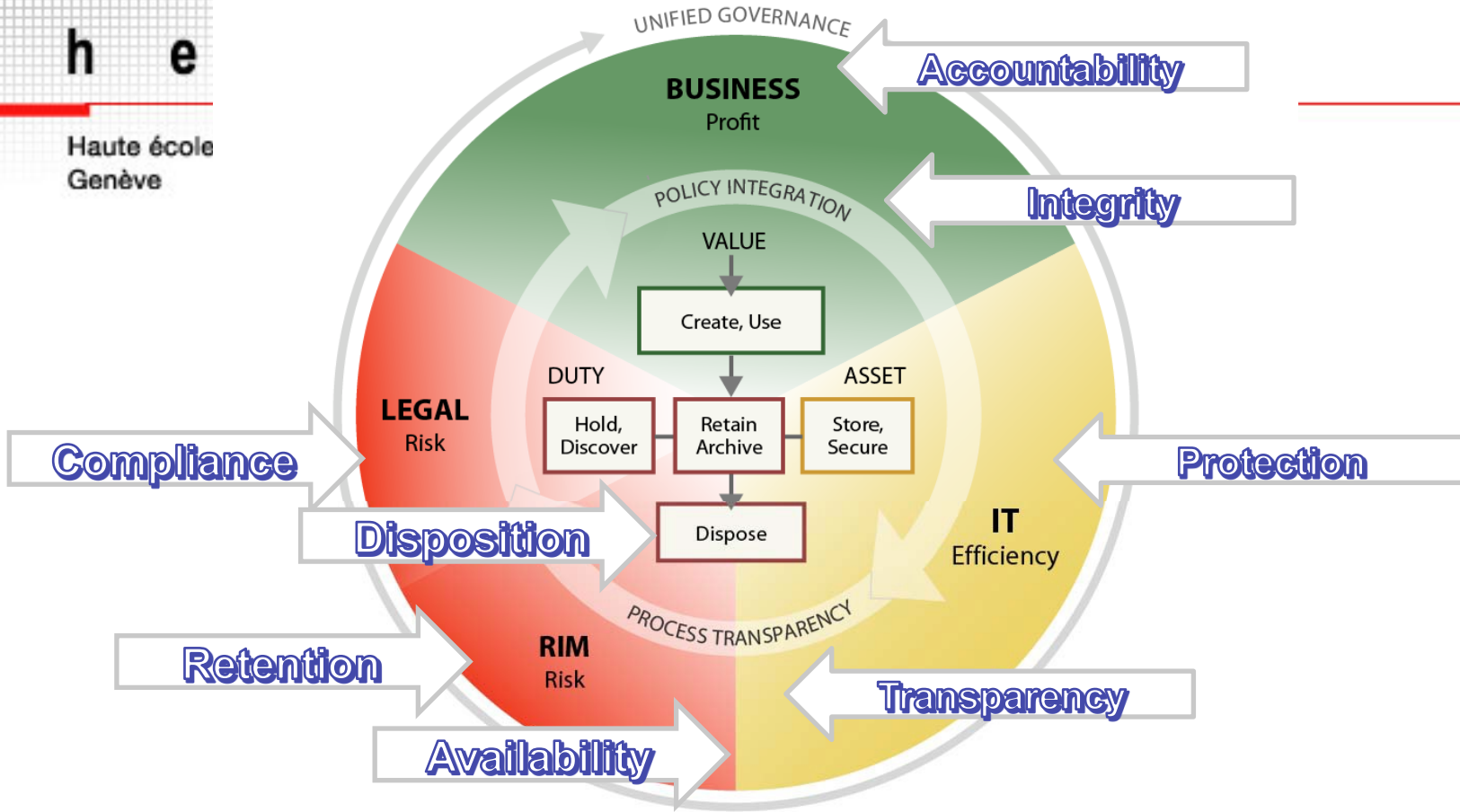
Maturity	N1 Invalid	N2 Progressing	N3 Minimal	N4 Proactive	N5 Advanced
Principles					
P1					
P2					
P3					
P4					
P6					
P7					
P8					

Information Governance Reference Model (IGRM)

Linking duty + value to information asset = efficient, effective management

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Duty: Legal obligation for specific information

Value: Utility or business purpose of specific information

Asset: Specific container of information

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Of the Swiss Confederation ...

eCH-0039 E-Government Interface for files and documents (2012)

[http://www.ech.ch/vechweb/page?
p=dossier&documentNumber=eCH-0039&documentVersion=3.00](http://www.ech.ch/vechweb/page?p=dossier&documentNumber=eCH-0039&documentVersion=3.00)

eCH-0057 Guide to GEVER projects and records management (2012)

[http://www.ech.ch/vechweb/page?
p=dossier&documentNumber=eCH-0057&documentVersion=1.10](http://www.ech.ch/vechweb/page?p=dossier&documentNumber=eCH-0057&documentVersion=1.10)

eCH-0147 GEVER Message group (2012)

<http://www.ech.ch/vechweb/page?p=dossier&documentNumber=eCH-0147>

At the European level

MoReq series of standards → certification

1) MoReq: 2001. Model Requirements for the Management of Electronic Documents and Records → Unnoticed ...



2) MoReq2: 2008. Complex, inaccessible, difficult to apply



3) MoReq10: 2011. **Modular** Requirements for the Management of Electronic Documents and Records. Modular and therefore easier (?).

At the International level

AS 4390
(1996)

ISO 14'721
(OAIS, 2003)

ISO 15'489
(2001)

ISO 30300
(2011)

Norms and Standards: ISO 30300 series

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Advantages

- Being part of the Management System Standards (MSS)
 - Better consideration and more visibility
- **Supports the audit process**
- Its Application leads to certification
- **Its Completeness**
 - ISO 30'301: specifications for a Management System for Records (MSR)
 - ISO 30'302: guidelines for implementation
 - ISO 30'303: requirements for bodies providing audit and certification
 - ISO 30'304: assessment guide
- Its direct interest for IG

But ... Ambiguity of the term “records”

General Management Standards

- Cobit standards series
- ISO 27 000 Information Security Management
- Etc.

In addition to the norms, we must add laws from various jurisdictions :

- USA : Patriot Act (2001), NARA regulations
- Canada : National Standards of Canada for electronic records management (2005) + the laws applying to each province archives
 - 14 jurisdictions (10 provinces, three territories + Federal government)

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IG Policy

- Nature
- Goals
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A concise document that states the rules governing the processing, the keeping and the safe access to corporate information in compliance with laws and regulations, standards and best practices.

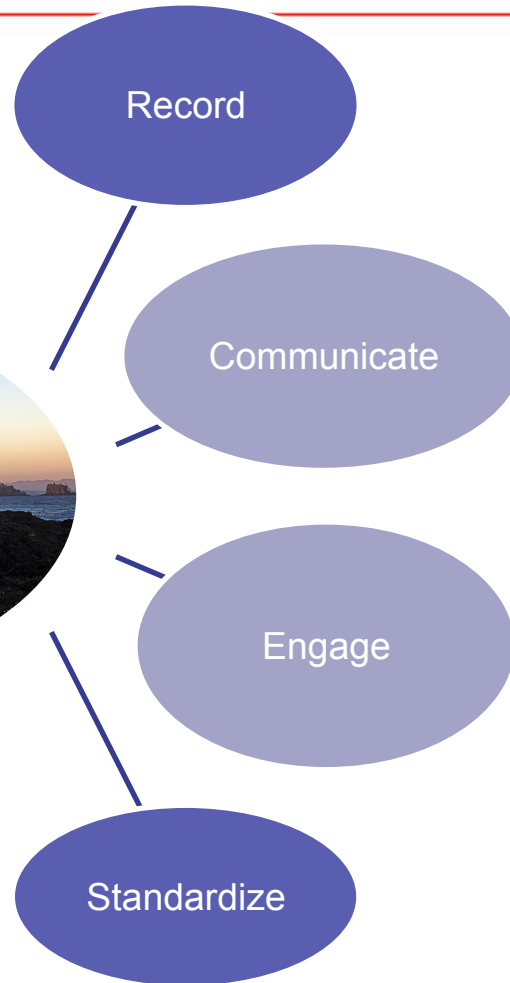


Good governance
Business performance

IG Policy: Goals

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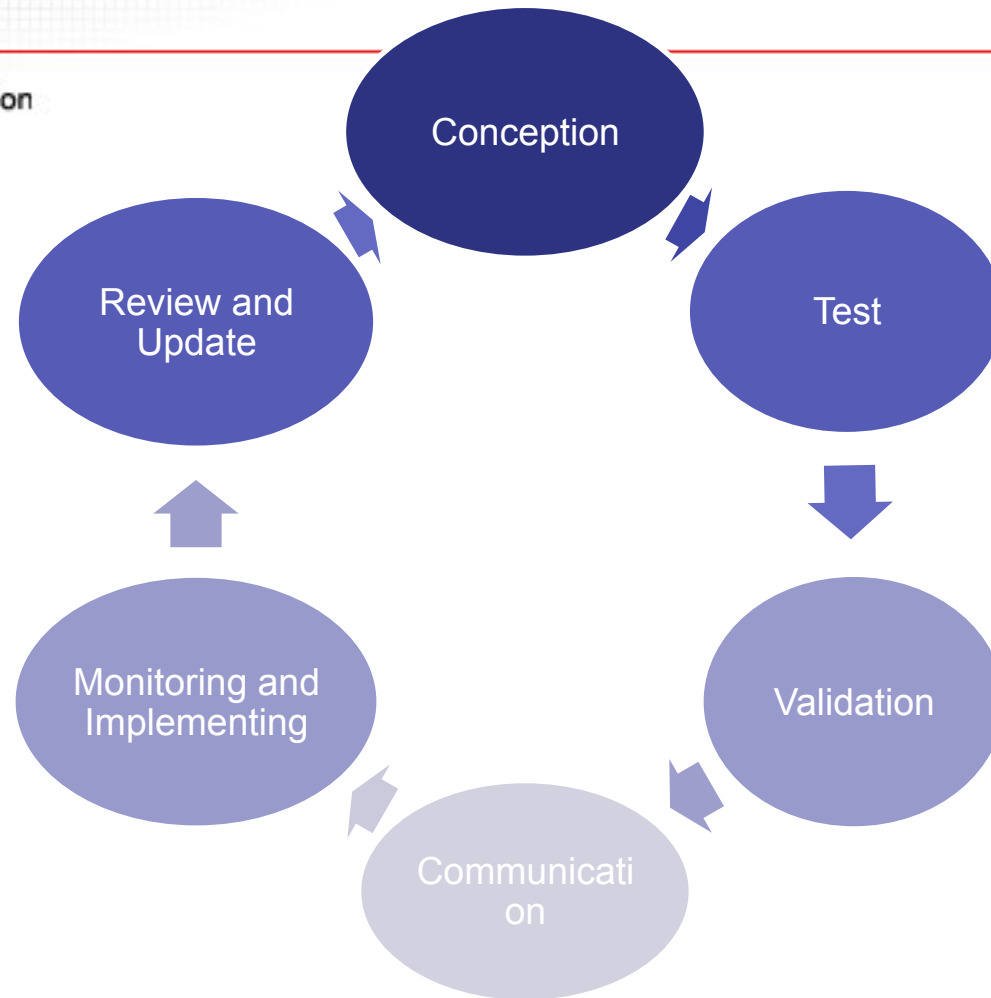
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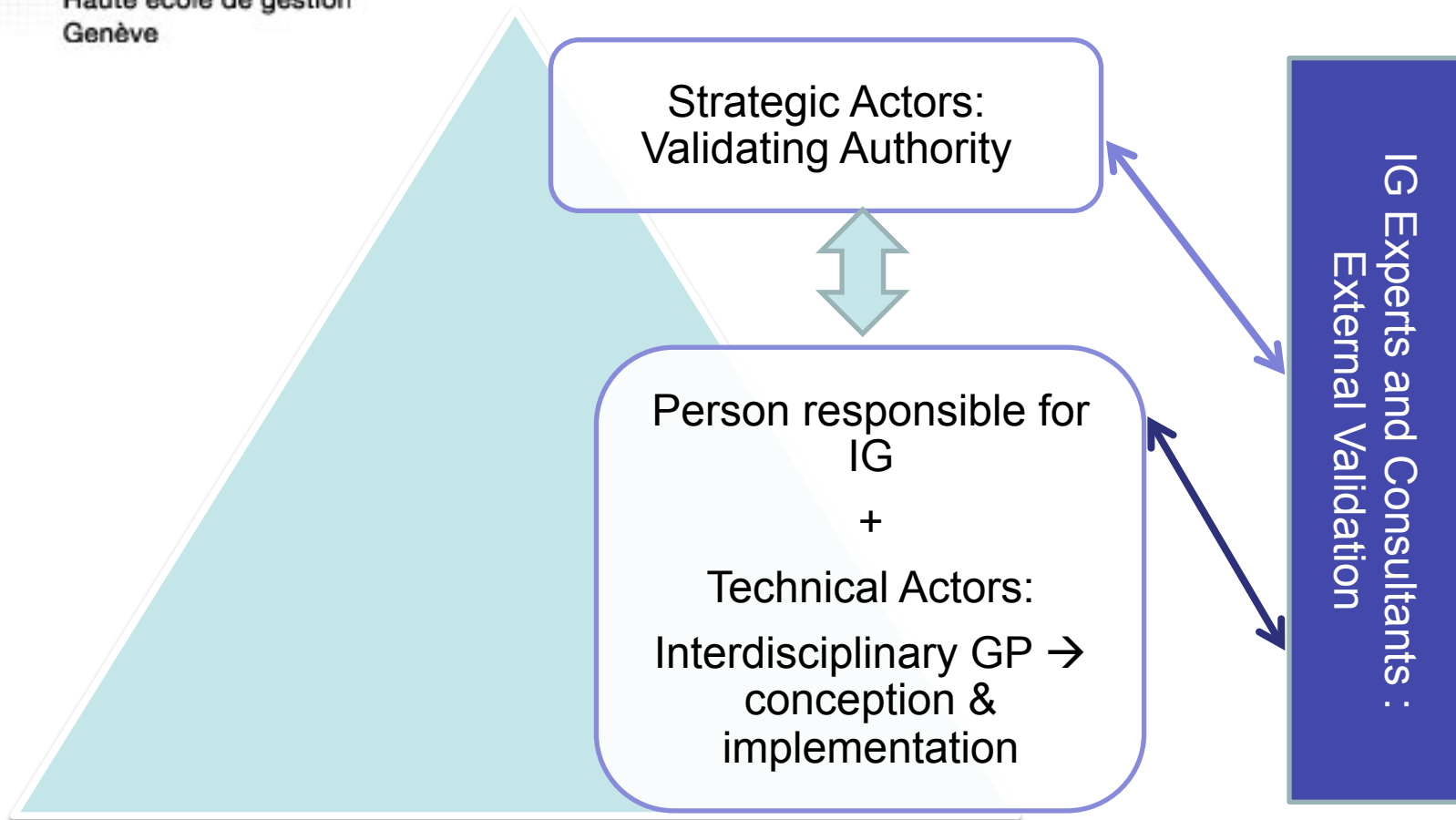


IG Policy: Process

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- Title
- Identification of the person responsible for ERP
- Dates: conception, adoption, review
- Presentation and Background

- Vision
- Goals
- Scope and Target Group
- Principles
- Definition of responsibilities
- Reminder of legal and regulatory obligations

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- Processes: references to best practices
 - Document Management
 - Access to Information
 - Security and Data Protection

- Definitions of terms
- History of validations and reviews
- References
- Format

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A short and precise document from 10 to 15 pages

- Official
- Organized into thematic sections
- Straightforward
- Clearly defined terms

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References :

Arma International, 2009. Generally Accepted Recordkeeping Principle

<http://bogdanpopovici2008.files.wordpress.com/2012/03/radenci-2012-bfp-garp.pdf>

<http://www.arma.org/r2/generally-accepted-br-recordkeeping-principles>

Thank you !

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