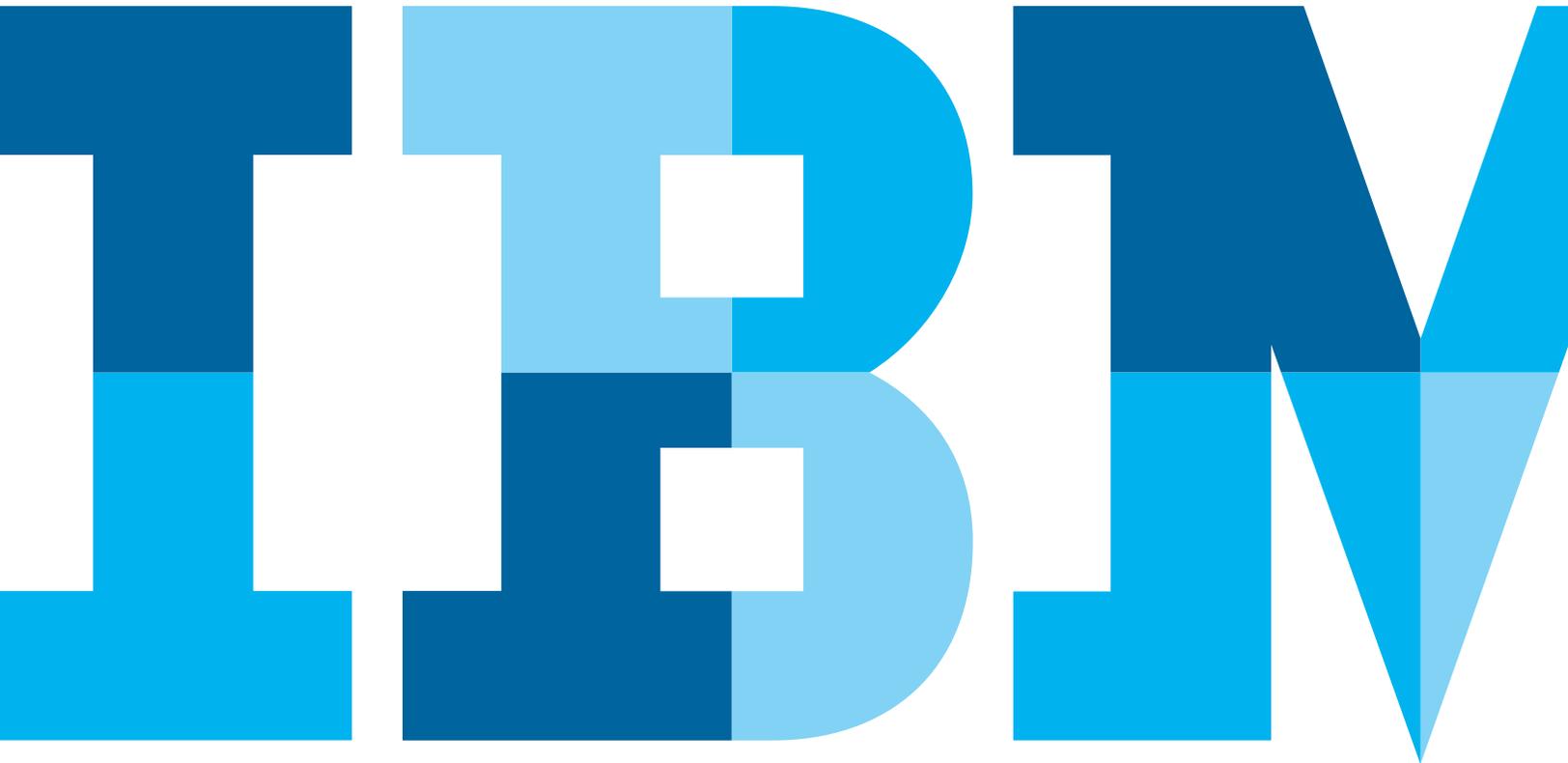# Information Governance

An opportunity for organic organizational change

In the modern enterprise, the need to manage data as a shared asset is spawning initiatives ranging from smaller data quality initiatives within single business functions to enterprise leadership requirements for integrated data across business units. As a prerequisite, an organization must possess the capability to manage data as a shared asset – thus information governance (IG) projects are initiated to develop this capability.

An information governance project can help define the organizational structure of the information management function, develop the program charter, create policies and establish processes. The end result is prescriptive – remove organizational silos and view data holistically from an enterprise perspective. Often, what is overlooked by practitioners and stakeholders is the extent to which an organization's culture influences the information governance program's success, and more importantly, the extent to which an information governance program can positively influence the organization's culture.

An opportunity can be easily missed by practitioners and stakeholders to positively affect the organization's culture when implementing an information governance program. A governance program can change an organization's culture specifically by influencing the manner in which an organization interacts with itself, develops resources, expands leadership capabilities, and provides learning and development opportunities for all involved.

Viewing information governance as an agent for organic change recognizes that the application of the processes and the focus on consistency demanded by a governance program may be fundamentally different than how the organization currently operates. In this paper, we address how information governance integrates with other aspects of your business and explain how your information governance program can be planned, developed and deployed to obtain optimal results. Furthermore, we help you understand how to identify where organic organizational change can occur, and how it can be cultivated and leveraged to achieve your organization's information management goals.

Information management versus information governance
Throughout this paper, we refer to information management capabilities and information governance capabilities. It is important to understand the relationship between these two concepts:

- **Information management** (IM) is how an organization efficiently plans, collects, organizes, uses, controls, disseminates and disposes of its information, and ensures that the value of that information is identified and exploited to the fullest extent.
- **Information governance** (IG) is the authority, control and shared decision-making (planning, monitoring and enforcement) processes over the management of information assets. IG is the high-level planning and control over information management and by extension, the information management function.

IG provides the environment for IM to be successful, by empowering people to make decisions based on boundaries outlined within existing requirements, policies, standards and processes; and, when they are outside of these decision making boundaries, there is a clear and effective escalation path to a decision maker.

As with all functions in a business, the information management function requires a dedicated leader and core team. The leadership role may have many names such as *IM Lead*, *IM Champion*, *Director of IM*, *and Information Governance Director*. Because information governance is a component of information management, it is recommended that information governance leadership responsibility fall to the individual with accountability for the information management function. The title is less critical than avoiding a role with governance-only responsibilities. Having separate leaders of IM and IG only serves to confuse the relationship between these two functions and reduces the effectiveness of each.

The role of organizational change management
A key consideration for those about to embark on information governance initiatives is how to effectively manage impending forces and changes to people, business operations, and technology while at the same time nurturing organic change. In our view, the discipline of organizational change management is essential to helping the organization navigate its way through these changes by leveraging stakeholder engagement, executive sponsorship, and integrated communications.

Organizational change management (OCM) - also referred to as *change management* - can be defined as a structured, multidisciplinary approach aimed at facilitating and promoting workforce adoption and ownership of future state changes to people, business operations, and technology.

The discipline of OCM has evolved rapidly over the years to the point where today it is seen as a key ingredient to ensure a program's overall success. Indeed, the extent to which a program successfully addresses the OCM components discussed in this paper is now seen by many leading edge organizations as a critical success factor.

By now most managers are all too familiar with the scenario that demonstrates the need – the initiative delivers on-time and on-budget only later to be abandoned because the workforce does not adopt the solution or does so only half-heartedly, causing major disruption to operations. Research also demonstrates the effects of not having such a program in place, highlighting the *change gap* that represents the discrepancy between the ability to manage change in relation to the increased rate, pace, and scope of change organizations experience. It is no surprise then that companies that outperform their peers consistently manage change more effectively.[1]

The need for an overarching change management strategy
The effective management of change does not occur by itself. It is a function of, among other things, having a strategy in place, having an experienced practitioner driving the work – what we refer to here as an *OCM Strategist* and fully integrating this role into the program's governance structure. This role is charged with the responsibility of designing and executing an overarching change strategy, incorporating as many of the OCM components as appropriate (See the Appendix).

IG and CM frameworks

Two frameworks serve as our frame of reference for building solutions related to information governance and organizational change management. Brief overviews follow, but more detailed information can be found in the Appendix.

The information governance framework

The information governance framework provides a measurable structure for realigning an information management program from an application-centric focus to a program where data is viewed as an enterprise asset and managed based on business functions and processes.

Foundational components

The information governance framework is comprised of seven domains (Figure 1), which break down into discrete capabilities and components.

The change management framework

A comprehensive organizational change management program aligned with the phases and milestones of an initiative addresses the domains of change management as shown in IBM's *Better Change* framework below (Figure 2).

Foundational components

The six domains, split between strategic execution and the people dimensions of change, serve as the basis for a host of multidisciplinary tools and techniques that can be employed to promote adoption of change.

Focus on Strategic Execution

Program Leadership and Governance

Program Strategy and Management

Organization Design

Value Realization

Culture Transformation

Stakeholder Engagement and Communications

Skills & Knowledge

Focus on People Change

Figure 2: IBM Better Change framework

Information Management & Governance Strategy

Policy & Compliance

Data Quality Management

Metadata Management

Information Architecture Management

Governance Competency Management

Organization Change Management

Figure 1: IBM IG capability framework

The collaborative effect of integrated information governance and change management

The information governance and Better Change frameworks provide you with a broad understanding of the various components that comprise an IM program. Now we can focus on the interplay of these components and explore how they lead to organic change.

We have identified four key organizational variables with a bidirectional impact on the IM program's ability to affect organizational change. These variables are identified as:

• Knowledge sharing
• Decision making
• Accountability
• Organizational acceptance of change

The key is to understand how an information management program and the supporting change management activities liberate the organization from being siloed and non-collaborative to a state where shared management of information is an accepted and expected part of the culture.

For each variable we provide an overview, outline some common organizational change approaches and tactics, and illustrate them with real-world examples.

Establishing governance of information as part of the IM program is the catalyst for many forms of change. Some of the influences are organic, which means they are not explicitly defined and are essentially natural by-products of the implementation of governing policies and processes. They typically manifest themselves as:

• Expanded leadership capabilities and shared ownership
• Changes to the way an organization interacts with itself
• Increased levels of resource participation - number of people
• Learning and development opportunities offered for all involved

Knowledge sharing

Without exception, capturing, organizing and sharing information is critical to the success of every organization. The information at the heart of these activities is required to operate the organization's core competency or to be used for secondary purposes such as strategy or analytics.

This collection of processes is typically referred to as knowledge management (KM). KM is most directly related to the metadata management domain. Metadata (also referred to as context) is a term for any information that does not represent a specific business asset such as a customer/member, an account, a product or a facility, but instead provides additional information about that asset. For example, the name of the engineer who interpreted the well log, the date the customers address was last updated, or the listing of components in an aircraft assembly are all considered metadata and there is value in exposing the interrelationships between these data elements for context.

"It is also important to note that while the creation of environments to store and integrate metadata is an IT task, the process of populating and maintaining the metadata structure and content is a business activity."

An information management program seeks to standardize the processes, tools and roles for capturing and sharing information for the improvement of business operations. Improvement could be in the form of increased revenue, lower cost of operation, and/or mitigated risks.

The program's approach to establishing effective capture and distribution tools and processes must take into account four factors that impact knowledge sharing:

• Techniques to collect knowledge
• Rewards and recognition
• Context of information
• Ability to locate

Techniques to collect knowledge - won't share and hard to describe

Individuals often lack the full knowledge required to perform their job at optimal levels, but there are different reasons why. In some cases, it is because the knowledge is held by individuals or small cliques within the organization, while in other situations it is the challenge of capturing the information in a manner that can be communicated at all. These two types of knowledge are referred to as *tribal knowledge* and *tacit knowledge.*

Tribal knowledge can be thought of as the knowledge that is known or shared by pockets of individuals. This knowledge could also be considered *implicit* knowledge. It could be documented but is not. This knowledge is generally held by more seasoned staff and is not readily shared either due to lack of incentives or failure to relinquish responsibilities. Over time this creates a knowledge deficit as senior staff is promoted or leave the organization. Tribal knowledge challenges are most effectively addressed by tackling organizational design issues and incentives. These techniques focus on cross-functional processes and identify knowledgeable senior staff while promoting their engagement with junior staff to help develop the next crop of leaders.

Tacit knowledge is difficult to transfer to another person due to the nature of its complexity. However, this type of knowledge is increasingly valuable as it typically relates to a company's core competency, and sharing between individuals or groups should not be abandoned because of the inherent challenges. One example where this type of knowledge transfer is institutionalized is the practice of medicine. While the process for passing tacit knowledge along can be painful – following experienced doctors on rounds, internships, and residencies, most would acknowledge that this formalized way of passing on tacit knowledge is invaluable. For this reason, tacit knowledge challenges require a stronger focus on the best structures and mediums for capture and presentation.

Rewards and recognition - what's in it for me?

Individuals within an organization hold a tremendous amount of tribal and tacit knowledge. This knowledge includes lessons learned and techniques that allow the organization to improve performance and maintain a competitive advantage. It would seem that capturing, sharing and using this information would be in the best interest of the organization as a whole, but individuals are innately driven by self-interest or simply by the path of least resistance. If this were not the case, there would be no need for change management to encourage collection and dissemination of this knowledge for the benefit of the organization.

This disposition shows itself in two ways. First is the resistance to sharing the knowledge one possesses. The second is the resistance to using knowledge provided by others. While there are many reasons for these situations, the most pervasive is the lack of recognizing the value of the knowledge held by individuals within the organization.

Leaders must set expectations that leveraging the collective knowledge and experience of the organization is critical to success and then management must allocate a portion of workers' time for knowledge management activities. Sharing requires documentation and communication. Many organizations actually create significant amounts of documentation which, if used, could drastically improve operations. The reality is that many of these lessons learned and potential process improvements are filed away in a shared drive or in a restricted team site where only a select few can access them. Leaders must also encourage a culture of continuous improvement. A culture of blaming and finger pointing prevents exposing these critical lessons.

While capturing and making new discoveries available is a critical and important step, leaders must encourage workers to seek out these discoveries and to employ them. Many times a culture of "not invented here" takes hold and workers continue to operate in isolation. Communities of practice with engaged leadership are an effective way to address this issue.

Without applying the lessons learned, the effort to collect and catalog them is wasted. Many would argue this is worse than not capturing the lessons at all.

"Without applying the lessons learned, the effort to collect and catalog them is wasted. Many would argue this is worse than not capturing the lessons at all."

The information management program provides technology and organizational structures for establishing the culture of sharing. Even with the best tools and technologies it all boils down to visible and engaged leadership.

Context is critical - who, what, when, why and where
There are *five W's* of change in terms of information management.

- **Who** is providing the information? An individual's formal training and job responsibilities influence all the information they capture as well as how they interpret information they are provided. In healthcare, length of stay (LOS) is a critical field. For insurers, it impacts payments to providers and members. For the hospital administrator, LOS influences inpatient bed availability. The nuances for each point of view affect how the term is defined - is LOS when a person enters the hospital, when the person reaches the inpatient floor, or when the person receives a bed?
- **What** business activity is being conducted? In some cases the difference in context can be starker than a term with multiple meanings. In the world of exploration and production, oil is oil, but different business functions focus on different aspects of oil production. From an accounting perspective, the main focus is on the total oil produced for a given period. From a reservoir management perspective, a greater level of granularity is required. A reservoir engineer wants to know at what depth of the well each unit of oil was produced. The engineer requires significantly more granular information than the finance analyst.
- **When** in the life cycle of the asset are they providing the information? Understanding the same data as it travels throughout the business enterprise is meaningful. Like many industries, healthcare manages similar data types

over the progress of that information as it moves through its information pipeline. When a group of individuals are identified by the marketing department as potential consumers (or assets), that marketed group is labeled as a prospect. As successful engagement and marketing secures the new business, that same marketed group becomes a member group - the data labels have changed but the data itself remains the same; for our discussion they remained the same group at different data points along the enterprise's data pipeline.
- **Why** is this additional information important? When requiring information be captured, it is important to be clear as to why it is important and how it will be used. It is often this lack of awareness that is the cause of omission. For example, product weight is required to calculate freight charges when optimizing production across multiple possible locations. It is important that weight is clearly identified as per lot or per item.
- **Where** in the organization is the information used? Is the information being collected and used by the same group of individuals or is it being collected so that it can be combined with other information to provide a cross functional or enterprise view? This situation most often applies to reporting environments. Individuals using a report based on information they are familiar with are typically aware of filters or additions to the information as well as its origin. It is when reports are brought together from different functions and the numbers don't add up that the lack of visibility into these underlying conditions is revealed.

Ability to locate - needle in a haystack
Leadership and organizational behaviors represent a majority of the work in the world of knowledge management, but without the appropriate tools and repositories, even the best efforts are doomed to fail.

"Without the appropriate tools and repositories, even the best efforts are doomed to fail."

The challenge with technology is typically unrestricted options for storing content and inconsistent application of information security and confidentiality.

Many organizations can struggle because there may be too many technology options available to workers. As today's knowledge management technologies become easier to deploy, users become overloaded with options. The plethora of options results in fragmentation of content with each group choosing their own solution and perpetuating tribal knowledge behaviors. While it can be good to have options, this makes it hard for workers to know where to go and makes it difficult to find appropriate content. To address this, it is important to lay out a plan that categorizes the types of information which will be collected, the appropriate repositories for each and how the information will be linked. This is sometimes referred to as a metadata management strategy that includes the underlying technology architecture.

Often, organizations stop at defining where to store information and fail to take the next critical step - defining how to store information. Many of today's solutions allow users to create their own workspaces with a simple email request to an administrator. Each user or group sets up their workspace differently using a variety of classification schemes. These classification schemes, or metadata taxonomies, are how the information is retrieved by others. As discussed earlier, documentation that is never used actually has a negative value to the company.

The inconsistency of terms results in users relying on search engine functions to find what they need. To address this, companies need to establish common language and approaches for classifying information so it can be retrieved. It is best to start with a small set of required fields with few values. These fields and values should relate to major views of the business such as business functions, geographies, assets or product lines. Limiting the fields results in greater population and ability to apply to all technologies.

"Documentation that is never used actually has a negative value to the company."

It might be an unconventional viewpoint, but risk management may be doing your organization as much harm as it is providing protection. While it is true that information is always at risk, the problem frequently is that information is misused because of a lack of understanding about its intended purpose, and as a result companies miss out on opportunities to improve performance. In an attempt to protect the organization everything is tightly secured, even information that improves the employees' understanding of how the company operates. One study found that only 14% of organizations' employees have a good understanding of their company's strategy and direction.[2] So how then are employees to act in ways that advance the organization's strategy and maintain a competitive advantage? An information management program must help define and educate employees about what information is truly restricted or top secret and what is simply company confidential. Organizations should strive to provide greater access and restrict access only when appropriate. Aside from the obvious topics such as mergers and acquisitions and HR-related information, why would you need to restrict employees from seeing what others in the company are working on? One option is to set up standard access rights such as *company confidential – employee and company confidential – non-employee*. This allows companies to vastly standardize and simplify access management while maintaining appropriate controls.

Knowledge sharing - managing the change

Managing change can take on many meanings. For IM initiatives, managing change entails orchestrating effective and measurable events and activities that fall in the applicable domains of the Better Change Framework. For each organizational variable, we highlight the added value of collaborating with an OCM Strategist by showing you what the work looks like and indicating how stakeholders can play a role in advancing the aims of your efforts.

Stakeholder engagement and communications planning - Before a plan to address knowledge gaps can be created, a thorough analysis must first be conducted to identify these stakeholders who possess the targeted tribal and tacit knowledge. OCM Strategists can facilitate this analysis and analyze stakeholder levels of influence and support for the IM initiatives (or lack thereof), map their networks, and assess ways to effectively reach them. The analysis of communications vehicles and their effectiveness can spawn the creation of new and innovative methods of outreach. Following this front-end analysis, tactical plans can be devised to regularly engage these groups and establish the necessary forums to foster the dissemination of knowledge.

Knowledge management strategy - Through this strategy, the organization's knowledge sharing requirements are gathered, and activities to meet these needs are outlined and validated with key program stakeholders, putting the topic into sharper focus. The resulting roadmap serves as the basis for knowledge sharing solutions of the kind highlighted in the real world example that follows.

Culture transformation - Another area of change where the OCM Strategist can provide guidance involves the effort to shift cultural norms and practices and promote adoption of entirely new knowledge sharing behaviors. This work includes devising a cultural transformation strategy that incorporates such activities as conducting a culture assessment to identify gaps in culture as they relate to the required cultural norms and behaviors. Once identified, these gaps can be addressed through a series of culture interventions and periodically measured and monitored to facilitate a transition to the new way of thinking about information (as an asset), working with information (adhering to data quality standards), and behaving in new contexts (collaborating and sharing with other IM professionals).

Knowledge sharing - a real world example:

Use what you've got. Knowledge sharing doesn't have to be complicated.

Challenge

The business intelligence (BI) group in a medium-sized healthcare payer organization was developing new analytic capabilities and rapidly gaining supporters as they continued to deliver tactical solutions for end-users. However, they were struggling with how to maintain the necessary cross-solution metadata and, in particular, reference data (product types/codes, market map and descriptions, contract rating codes, and so on) used in the data warehouse. Audit information such as when the definitions, calculations or reference values were approved and by who was also important to capture. The BI group knew they needed to expose descriptive information about the contents of the data warehouse in order to gain enterprise-wide trust in the environment. Because the company was midsized and rapidly growing they did not have a suite of enterprise class tools to capture, approve, and publish the required metadata for information consumers.

Approach

The typical options for managing metadata are spreadsheets and local databases on a shared drive. Both options have their pros and cons. Spreadsheets are easy to create but can quickly become unwieldy and have little to no reporting capabilities. Databases offer great flexibility and customized reporting but their complexity require significant resources to develop and maintain. Both present challenges with administering access and allowing users to know when changes have been made. The governance analyst on the project had strong database skills but opted for a simpler approach. He recognized that the most important requirement at low maturity levels is access to the desired information, in this case descriptive information about the contents of the data warehouse. The organization at large was comfortable using wikis to capture and disseminate information. The analyst extended an existing wiki using common techniques for tagging and linking content.

Outcome

The wiki provided two important organization change facets. First, it eliminated the need to administer security. All employees had access to wikis unless explicitly restricted. Because the information was reference data and not transactional, there was no need to restrict the content. The second important facet was that the wiki was open for editing by anyone who believed there should be a change. The governance analyst set the wiki up to notify him anytime a change was made so he could follow up and verify the change was appropriate. In fact, anyone could set up an alert to know when content on the wiki pages changed. The analyst leveraged the organization's existing familiarity with wikis, avoided the administrative overhead of controlling access, and established a change mechanism that eliminated the need to constantly check for updates.

Decision making

Clear, consistent, and implementable policies and responsibilities are the vehicles to achieve a common effective decision making process. They make clear the organization's intended behavior and discourage past behaviors that contributed to current information management challenges. *Governance is not management*. This is a critical and essential distinction. Although governance deals with decision-making and decision makers, it does not specify decisions for decision makers. It is the high level planning and control of information management activities. Good governance provides guidelines for decision making when situation-specific criteria are not defined.

"Governance is not management"

Each day thousands of information management decisions are made at every level of an organization. From strategic decisions such as where and how to apply resources to improve overall information quality, to tactical decisions about which individual would best fill a recently vacated steward role, to operational decisions on whether to accept or reject an address change to a customer's master record.

It is common for a single organization to have a fairly consistent approach to decision making at all levels whether explicit or implicit. The style may vary across departments or geographies but tends to retain a common "look and feel". The governance component of an information management program seeks to modify this behavior to varying degrees.

An information management program's approach to developing policies and implementing actionable processes must take into account the four factors that impact decision making:

- Influencing dimensions
- Decision making style
- Discipline
- Participation

Recognize the influencing dimensions

An organization's decision making style is simultaneously influenced by multiple dimensions - from the industry in which it operates to the leadership style of leaders and influencers. Taken together, they create a complex web of factors impacting how decisions are made. Each one must be considered as the program matures. Even in the earliest stages, current decision making styles impact the very process of developing policies intended to change behaviors.

It is this circular relationship that makes organizational change difficult.

"Even in the earliest stages, current decision making styles impact the very process of developing policies intended to change behaviors."

There are *five* influencing dimensions in terms of decision making.

- *The industry in which the organization operates* has a significant effect given intense competition to acquire or develop similar resources or products. The inherent risk in lending

money influences the banking point of view. Manufacturing and aviation focus heavily on safety. Government entities pay close attention to appropriate checks and balances.

- Much like the industry in which the organization operates, each *business function* is influenced by their objectives and operating environment. Support functions such as HR, legal and accounting are subject to strict regulatory guidelines as well as reporting constraints such as GAAP. Core business functions often have more latitude when deciding whether to conform to industry specific standards or to develop proprietary methods and processes to gain competitive advantage.
- The *organization's history* impacts culture implicitly through their growth process or in an explicit manner. An implicit impact could be growth through expansion into new geographies through mergers and acquisitions resulting in global operating units that operate independently with less oversight from headquarters. Alternatively, the corporate culture is explicitly defined over time such as *The Toyota Way*, which identifies behaviors expected from employees, contractors and vendors alike.
- Cultural norms are impacted by *regional customs*. Some regions embrace open and frank dialogue which may seem inflammatory and disrespectful to others.[3]
- The final influencing dimension is the *individual style of leaders and influencers*. Leaders, and in some cases influencers, can impact the decision making process more than other dimensions because of their position. Depending on the level of the individual, their impact can be wide-ranging or more localized. In HP, the personal leadership style of Bill Hewlett and David Packard actually defined the company's overall culture and has been chronicled in many books. Sadly, Kenneth Lay and Jeffrey Skilling shaped the culture of Enron to a now infamous end.

Codify decision making styles

When establishing information governance, programs must also contend with different decision making styles. No one style is right or wrong. However, polling every employee for input and using a "majority rules" approach would not be

appropriate when setting the organization's five year business strategy or for a targeted acquisition.

Decision making styles may vary from directive or top down, to consensus based. An appropriate style must be considered for each decision. This is especially true when a decision is made by more than one person. Simply assigning the decision to a governing body is not enough. Does every member get a vote? How are ties broken? Is the bar higher for changing or overturning a previous decision?

The most challenging situation is when day-to-day actions are out of alignment with stated guidelines. A common situation is when decision guidelines indicate a simple majority is required but culturally no one will cast their vote until they know a consensus has been reached.

Increased decision discipline

Information governance increases decision discipline or the degree to which the decision making process is executed consistently. This change requires that the same decision making process be used every time a similar decision must be made and that the process is executed in a similar manner.

Resolving similar decisions through a common process requires awareness of the process and the triggers of the process. Without awareness the organization will continue to make decisions using existing methods that are typically inconsistent and lack transparency. The information governance program not only defines the underlying process but identifies the process triggers and stakeholders who use or are impacted by the decision making process. Consistent execution of any process is an indicator of increasing levels of maturity. Information management processes are no exception. Consistently executed processes build trust in outcomes and a willingness to engage in future decision making activities. Information governance identifies the process sponsor or process owner who is responsible for the consistent execution and improvement of their assigned process(es).

"Consistently executed processes build trust in outcomes and a willingness to engage in future decision making activities."

Expand decision making participation and transparency
Information governance expands decision making participation by identifying the appropriate participants before common or recurring decisions need to be made. Process participants come from all levels and functions of the organization based on the decision to be made. Information governance is embodied in the systematic act of identifying stakeholders and assigning accountability for decision making. As a collateral effect, the identification and inclusion of additional stakeholders improves transparency in the specific decision area by involving those most likely to be concerned about current decision making practices. Although the discipline of information governance is

"Information governance is embodied in the systematic act of identifying stakeholders and assigning accountability for decision making."

to interject policies and processes, the collateral effects of an information governance program on the decision style, discipline and expanded participation and transparency are direct examples of how the program changes the organization.

Decision making - managing the change
Regardless of the catalyst for information management efforts, one of the major roadblocks is establishing a governing body with the authority to make policies and hold individuals accountable for results. The larger the scope of the effort, the more difficult it is to assemble the appropriate body. This one gap has derailed many well-intentioned information management efforts sometimes after six months or even a year of intense effort establishing roles, operational processes and implementing technology. No matter how well planned the effort is, without an appropriate governing body, any effort to change behavior within the organization is likely to be met

with the "Who says I have to?" response. The first step to establish a governing body should be to identify any existing governing bodies with responsibility for the business processes or assets related to the information to be governed. The logic here is that data is simply another facet of the business and should be addressed by a business-led body. In some cases it will be necessary to establish a completely new governing body, but this should be the exception and not the rule.

"The first step to establish a governing body should be to identify any existing governing bodies with responsibility for the business processes or assets related to the information to be governed."

You might think business intelligence environments are the exception because data from disparate organization units are being brought together for the first time. Even in the case of a new BI environment there are often C-level leadership teams who regularly meet and direct the organization. When it comes to general information management, outside of the BI environment, the opportunity to reuse existing governance bodies is even greater. Business units typically have an executive, president, or general manager with a core and extended leadership team responsible for setting strategic direction. It is common that these leadership teams will have working groups to address specific topic areas.

Stakeholder engagement
As is the case with knowledge sharing, the identification of governance bodies with decision making interests in the IM space is driven by the stakeholder analysis work led by the OCM Strategist. The mapping of these existing groups provides program sponsors with a level of visibility not available in the regular course of operations. With a clear view of this stakeholder pool, the appropriate strategizing and planning to keep them engaged and productive can occur.

Program leadership and governance

Our recommended approach of leveraging existing governance bodies has the built-in benefit of accelerating the activity of decision making. As opposed to spending time and energy to stand up these bodies from scratch, the OCM Strategist can focus efforts on working with an existing body to:

- Clarify decision needs
- Amend existing roles
- Define the necessary process steps
- Redesign the format of existing forums to accommodate decision making

Organically, the capabilities of these bodies develop over time but not without some steering and mentoring.

Decision making — a real world example:

Leverage and expand business management boards for information management responsibilities

Challenge

A global chemicals company was undergoing an enterprise wide transformation focused on core operational processes and systems. The transformation initiative was inclusive of all core functions (R&D, Engineering, Supply Chain), central support functions (HR, Legal, Finance) and IT. To prepare for this transformation initiative, the HR function conducted a data quality and governance assessment to understand current capabilities and potential challenges. From the assessment they confirmed their expectations: multiple systems for the same information, few defined business processes and a lack of consistent definitions and ownership for key global information. As a result of acquisitions however, there were pockets of higher information management maturity across the various operating companies. The future state was to include different types of solutions, traditional in-house managed systems and capabilities delivered through software as a service (SaaS), but the core HR system had not yet been selected.

Approach

The organization took a two-phase approach. First, was to conduct a series of workshops in which global HR IM leads from the various operating companies worked through the very real challenges of establishing global definitions for key HR terms in the face of operating company and country specific conflicts. The second phase was to conduct a multi-day information management and governance workshop focused on foundational education of information management domains, in-depth discussion and review of industry-standard processes and roles, and finally an exercise in which existing staff were considered for the standardized roles. The two key outputs were a process and responsibilities matrix (a.k.a. RACI Matrix) and an initial organization model annotated with existing HR roles. Additional output and insights from the workshop were used to construct the 18 month program implementation roadmap.

Outcome

As a result of the workshop and global data definition activities the global HR IM leads from the various operating companies were able to validate the initial information governance organization structure and consider the organizational impacts of selecting current staff with varied organizational responsibilities and skill sets. The team was able to map all but one governance role to an existing position within the organization. All governance and stewardship councils would leverage existing bodies. The one exception was the information governance function lead that would be filled by a recently created position of Director of HR IT.

Accountability

Any organization-wide transformation effort requires clear boundaries for decision making but also for results. Accountability is about targeting the right people in the organization to be answerable for decisions that impact information's usage, quality and protection. It addresses the need to hold individuals and groups responsible for implementing and adopting the processes and standards. Accountability is one of the most humanistic characteristics of governance because it speaks directly to both the collective enterprise and each individual's participation in the program.

"Accountability is one of the most humanistic characteristics of governance because it speaks directly to both the collective enterprise and each individual's participation in the program."

IG provides accountability for IM through the establishment of policies, processes, standards and decision rights. These processes and standards are then embedded into business operations along with other disciplines.

The IM program's approach to establishing accountability must take into account four factors:

• Setting clear expectations
• Deciding who decides
• Standardization
• Metrics based culture

A voyage on a sailboat is a good metaphor for establishing accountability for an IM program. There is accountability from the moment the first plans are drawn up and every day until the final destination is reached. Everyone must know the purpose of the journey and how they are expected to contribute.

Setting clear expectations – setting the course
Establishing information management requires leaders to describe the ideal state when information management is part of business as usual. This responsibility falls to executives and senior leaders who do so through a vision statement. This vision is clarified through policies and expectations that give guidance on boundaries in terms of what is not allowed but also what is expected as the organization works towards the vision.

As shown earlier, these are the prescriptive expectations of governance. The challenge is the ability or desire of current leadership to clearly express what high information management maturity looks like. Do you recall the last two or three messages from leadership on the strategic direction of your company, your function or your department? If these communications come rarely or not at all, you can be sure this will be a challenge in the area of information management as well. If you are an executive or senior manager, do you regularly communicate your organization's strategy ensuring that everyone is aware?

Deciding who decides – who's running the ship?
Setting and communicating the direction of the information management program is a key success factor but it is not enough. Leadership must also define the specific decision rights and accountabilities for achieving the vision as well as making day-to-day decisions. A clear vision without accountability for decision making often results in decisions being made "by default" because individuals are concerned about overstepping their boundaries and enough time passes so other forces essentially make the decision. While the immediate question seems to have been answered and business moves forward, it leaves open the chance for second-guessing and significant rework given the typical turnover and flux within an organization. The opposite is true when two or more individuals feel empowered to make a decision and their directions are conflicting.

Decision-making in an information management program can be segmented in many different ways. The most critical to a new program can be broken down into two categories. First is accountability for

"A clear vision without accountability for decision making often results in decisions being made "by default" because individuals are concerned about overstepping their boundaries and enough time passes so other forces essentially make the decision."

defining policies and processes. Second is day-to-day decision-making. For those establishing governance of an information management program, accountability for defining policies and processes is most important but for the population at large this is less critical. Most of those impacted by the program make information related decisions on a daily basis. Because of this, decision-making rights should always be in the context of an information management or business process.

Standardization – day-to-day processes
Does your organization use Six Sigma, LEAN or other improvement methods? These methods focus on different aspects of process but require an element of standardization. Process standardization is a required element in operational excellence as it is nearly impossible to produce consistent outcomes or streamline activities if the underlying activities continue to change.

Without documented processes it is much more difficult to sustain gains since each time a person leaves or fills a position the learning curve starts at the bottom. Consider information management in the same manner. Handling information inconsistently leads to incomplete, inaccurate or contradictory information.

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The policies and expectations laid out by a governing body require the establishment of processes and standards for the organization to implement. These processes and standards provide the measurement for evaluating the organization's ability to perform in a consistent manner. Processes enable accountability by tying specific activities and decision points to assigned roles. Standards are inputs to processes. Examples include roles used to manage information or administer security, how information is structured, or which systems are considered trusted sources. Standards represent expectations to which the organization is expected to comply.

Many organizations operate in the same repetitive manner but do so based on knowledge passed from one individual to another, not through documentation. Consider the number of core processes that you execute as a part of your various roles. How many of those processes are documented in sufficient detail so that you could train another individual on the high-level aspects in an hour or two? How many of the processes you execute have undergone a formal review for efficiency and effectiveness? Your answers to these questions help indicate if your organization has a culture rooted in process. It is important to remember that this can vary within pockets across the organization.

Metrics - based culture – we need a compass
As W. Edwards Deming is credited with saying, "You can expect what you inspect." The same is true in information management. The final factor in effective accountability is measurement, commonly referred to as metrics. They should align to and support the vision and policies that direct the program. Metrics provide feedback on the program's overall direction and highlight areas where focus is needed. For an information management program there are a few key metric categories that include coverage, adoption, process maturity and information quality.

Metrics are also a method of leadership engagement and the visible sign of accountability. Organizations with a metrics-driven culture focus on outcomes not activities.

This critical distinction means that the primary focus for evaluating success is not on the amount of work done but the results that are achieved.

"Organizations with a metrics-driven culture focus on outcomes not activities."

Do you have a metrics-driven culture? If your department, function or business unit regularly provides monthly or quarterly updates on key metrics this is a positive sign. If your organization frequently spends effort defining metrics but seldom reports them, you probably do not have a metrics-driven culture.

Accountability - managing the change

From a change management perspective, accountability boils down to stakeholders having a clear understanding of their roles, responsibilities, and available frameworks and tools under the new system. This requires a clear understanding of the key areas of accountability in an information management program. Accountability typically breaks down into three discrete buckets:

- **Accountability for setting information management expectations** - Executive and senior management responsibility shared by business and IT.
- **Accountability for establishing information management processes -** Senior and middle-management responsibility led by IT.
- **Accountability for information usage, quality and protection** - Responsibility of all individuals in the organization. It is led by information owners and information stewards who typically reside in the business.

At the end of the day information management is a shared responsibility between the business and IT functions. The setup of the information management function and its core processes generally falls on IT. This represents about 60-75% of the effort, depending on how the program is implemented. Providing direction on information usage, quality and protection is the responsibility of the business. This represents about 25-40% of the effort. This thread of

shared responsibility should be present in all aspects of the IM program and its governance.

Accountability through strategy
Achieving accountability occurs by leveraging an information governance strategy that ensures the roles, responsibilities, participants, charters, and the organization's end-state is reflected in the direction being pursued by the information management program - a consistency in application and structure for managing information.

The information governance strategy is created at the initial stages of establishing a governance roadmap and dictates the fundamental aspects of the program. Specifically, an information governance strategy provides detailed information on the following governance program facets:

- Describes the roles and configuration of the information governance organization model – including the stewardship community
- Provides content to create the program charter
- Defines the governance tools to be used by the program participants, and how those tools are applied
- Defines how the program communicates and engages with the enterprise
- Describes how knowledge about the data is collected and shared with the enterprise
- Establishes program, quality, or security metrics

Collectively, these facets comprise the information governance strategy. The strategy outlines a clear, concise, and achievable mission statement articulating the program goals and scope, establishes a business case for the information management program, and establishes guidelines for prioritizing and financing for IM initiatives.

Leadership and cultural change
The focus on leadership continues after the information governance strategy has been developed and communicated. Executives continue to deliver the message of the importance of information management to the organization's success, but leadership responsibilities extend to senior and middle-management to implement the strategy and achieve results.

These leaders must establish a corporate culture that embraces process and metrics. For those with an existing foundation, it is important to leverage or reference existing process and metric constructs. Following are some recommended actions leaders can take…and that implementers should request from their leaders.

Process considerations
- **Participation** - Require individuals to use the new or modified processes when appropriate. Resist the urge to circumvent new processes in the interest of speed, since that is how information mismanagement begins.
- **Visibility** – Document, publish and communicate the process. Documentation is of little value unless it is acted upon. Communication includes general awareness and formal training for individuals who play key roles.
- **Consistency** – The process should be executed in the same manner by all groups unless there is a documented variance to the process. This is when enforcement of decision rights plays a critical role.
- **Rigor** - Ensure that all appropriate actions are taken. Be practical with the level of rigor but do not allow individuals to "right-size" important steps out of the process.

Metrics considerations
- **Meaningful** – The number of metrics should be limited with a core set of 8 to 10 identified as key performance indicators (KPI). These KPI's should be visionary and encompass the key aspects of the information governance strategy. Examples include, 1) number of business processes with >90% of key information objects managed in a system of record, or 2) the percentage of targeted information objects with an approved global standard. Finally they should be action-oriented, meaning that a change in direction or amount should indicate some action on the part of program leadership.
- **Measurable** – Metrics must be measurable using an appropriate amount of resources. Do not let the inability to directly measure something important prevent the attempt. It is acceptable to estimate or use indirect methods to establish metrics. A user satisfaction survey on information quality and usability does not necessarily provide a data quality score, but it does provide insight to the perception of information's overall usability for consumers.
- **Reported regularly** - Constantly reporting the metric over a number of years is the most important factor. The reporting frequency of metrics is also important. Report a metric too frequently and stakeholders will be frustrated at the lack of movement. Similarly, long spans between reporting metrics can miss key opportunities for corrective action.

Technology enabled accountability
To this point the focus has been on the people aspect of organizational change to reinforce the message that information governance is as much or more about people and process than it is about technology. Once the policies, roles, decision rights and processes have been defined, the appropriate technology can be selected. At this point the technology is now an enabler of IM and not vice versa.

Technology benefits
- **Diligence** - Automation of repetitive or structured tasks helps business and IT staff focus on higher value activities that result from automated activities. An example is the need to continuously validate information in meeting quality thresholds. There are many technologies that continuously monitor quality allowing stewards to address noncompliant information.
- **Transparency** - Unlike humans, systems do not decide when to follow a directive or report unfavorable news. When information does not meet required thresholds or security violations occur, systems always report these exceptions.
- **Structure** - Technology allows organizations to create structure for processes and embed responsibilities and decision rights. This ability is important given the changing nature of most organizational structures. Systems provide a baseline of consistency that must be supported by process documentation and training.

It is clear that there is a considerable benefit to having an OCM Strategist integrate and coordinate the work to build accountability. We outlined leadership's role in setting clear expectations, clarifying who decides, and helping to shape the culture through actions and behavior. All of this necessary activity by leaders highlights the need for a *Leadership Action Plan*, a tool that OCM practitioners use to influence and document leader engagement throughout the course of the

program. This plan, developed in consultation with sponsors and leaders, is an effective coaching tool for helping them become real champions as opposed to just sponsors, while at the same time introducing a level of structure and consistency to their involvement.

Accountability – a real world example

The fast and furious...

Challenge

The IT department of a large national healthcare insurer prided itself on moving quickly and relentlessly in the updates to the BI environment. Often, their speed to production introduced unanticipated collateral damage to the production environment - identified by; negative impact on data quality, introducing new indicators the enterprise was not aware of, misuse of current data fields, and incorrect application of business calculations. In the larger context, when negative data quality was discovered a clear process to remediate data errors did not exist - no one was directly accountable for data correction.

Approach

The healthcare insurer established an active information governance organization (IGO). A foundational principle was not to stifle the process of moving needed changes and upgrades into production. Once the IGO was established, it became the spearhead for accountability by practicing and enforcing the program's policies and processes. The approach to accountability identified challenges alongside the software build cycle and many times off-line of the production move cycle. Specifically, the IGO created policies and processes that worked in unison and demonstrated accountability. Policies brought attention to activities not permitted, having the effect of minimizing those outcomes that are detrimental to the organization's data. Processes ensured repeatability and consistency in those actions that prevented negative data occupancies once new or updated applications are introduced to the larger enterprise production environment. The culmination of the approach and actions avoided the scenarios of poor data quality and a lack of accountability the insurer was experiencing.

Outcome

Once the insurer established an IGO consisting of specific points of accountability that included leveraging the stewardship community to participate within defined processes designed for preventing those actions that negatively impacted the production environment - negative outcomes impacting production data were drastically reduced. The IGO published and communicated policies to the enterprise that defined accountable roles for managing project data and promoting software. Additionally, once data errors were discovered there were identified and accountable resources assigned to ensure proper issue resolution.

Organizational acceptance of change

Organizational attitudes or mindsets come from an organization's culture, evolving over long periods of time, and present perhaps the biggest challenge to an IG initiative. The current organizational mindset and behavior are often at odds with the new way of thinking, working, and behaving that is required to meet the objectives of the IG initiative. The future state requires an attitude adjustment about the role information plays in the organization, and about the requisite discipline to manage the quality of that information.

"The future state requires an attitude adjustment about the role information plays in the organization, and about the requisite discipline to manage the quality of that information."

Following are some additional challenges that organizations face while attempting to drive acceptance of IG related changes:

- **Maturity** – The information management maturity level of staff - Some parts of the organization and their staff are just not at a stage to fully appreciate and accept many of the changes described.

- **Geography** – Global organizations with functions in different parts of the world adhere to different business practices and are governed by vastly different sets of norms and rules for governing information.
- **Government regulations** – Like geography, can differ greatly depending on the nature of a business, and where the business operates. In some cases, government regulations govern basic data clean up practices and even dictate how funds are allocated for such efforts.
- **Centralized models** – Some organizations with a centralized or non-federated model may even face a challenge from business units (accustomed to a certain level of autonomy) over whether to even establish global standards. The same autonomy that is valued by business units can also cause problems for a headquarters in their efforts to promote global standards for the benefit of the enterprise.
- **Stakeholders** – Depending on the size of the organization and the scope and scale of your IG initiative, it is possible that the sheer number of stakeholders, both internal and external, and some with conflicting priorities, may stifle your efforts.
- **Breadth of IM** – IM as a discipline can become so broad as to render initiatives large, unmanageable and un-focused. Poll IM practitioners about what IM entails and it may include BI, content management, risk management, data integration, master data management, data quality and security and privacy compliance.

Organizational acceptance of change - managing the change

The OCM Strategist can help to address these organizational attitudes by devising a strategy aimed at transforming the culture and facilitating shifts in mindsets. The strategy relies on activities such as conducting a culture assessment, that is then used to design and plan interventions. This work requires intense orientation and education of program sponsors, as well as some periodic measurement to track and report progress.

The OCM Strategist can also play a key role in the area of executive sponsorship. An effective way for setting the foundation for new organizational attitudes is for key leadership to champion IG changes, clearly articulate management expectations, and model new behaviors throughout the organization. The OCM Strategist can work with leadership to *build sponsor action plans* and leverage other techniques to manage key relationships and influence key stakeholders in order to build support for the program.

Changing the organizational attitudes of any organization is no small task. Barriers can include the history of the organization in dealing with similar topics/initiatives, its ability to effectively implement and realize objectives, and the messages that leaders and sponsors convey through their words and actions (implicit and explicit).

"A good way to think about your approach… is in terms of a series of manageable campaigns, deployed over the course of time, to steadily orient the IM organization to new ways of thinking."

A good way to think about your approach to this is in terms of a series of manageable campaigns, deployed over the course of time, to steadily orient the IM organization to new ways of thinking. At the same time, efforts should be made to educate key stakeholders such that they are able to process, understand, and make connections to how their work drives organizational strategy. This eventually results in them taking ownership of the change initiatives and driving adoption.

1. Building awareness

Building awareness of plans for the upcoming initiative is necessary, but more important is the context behind your IM initiative – that there are techniques and best practices for planning and controlling the creation and usage of information to improve business performance (whether it be revenue, cost, or risk - including safety, health and environment). There is a story around information management to be told and this is your opportunity to begin a broader business conversation and begin constructing the business case.

2. Developing understanding

Now that you have communicated the IM story to the enterprise and socialized the business case, impacted stakeholders need to become knowledgeable and versed in key concepts of information management as well as the breadth of IM solutions/interventions.

Information management training for key stakeholders and staff can be an effective vehicle for developing understanding while building up organizational acumen in IM. These training sessions can be formally structured as traditional training to establish a baseline of knowledge, but should also include meetings, workshops and road shows to cover the range of topics required for greater understanding.

Below are a few examples of some topics that serve as good opportunities to engage stakeholders while broadening understanding:

- **Roles and responsibilities**: A central body needs to take the lead in setting expectations (policies) and requiring adherence. A clear understanding of the roles and responsibilities of these entities is necessary, as is the buy-in of their corresponding responsibilities. Less mature or capable IM organizations may need to build up this capability through training or coaching by experienced subject matter experts.
- **Processes**: Processes need to be developed for supporting activities like the creation of a data dictionary. The development of these processes can also serve to promote understanding of the real work and mechanics of IM. By being involved in the process individuals and organizations can gain exposure to the planning, governing, and execution aspects of IM.
- **Key concepts and domains**: IM is made up of many different concepts and domains. It is important to inform your stakeholders so they understand what each entails as well as the effects of IM activities. The purpose is to understand the full breadth of the different capabilities that can be developed, with the understanding they are developed over time. Through this process, the organization should prioritize areas to achieve the stated IM goals.

- **Impacts**: The OCM Strategist can work with stakeholders to devise an impact analysis to bring issues forward and build mitigating action plans accordingly. For example, the impacts associated with roles are important to understand. Which roles are required and how does that impact the organization? The addition of roles can have implications for a business organizational structure – especially in environments with resource constraints.

3. Gaining buy-in

Gaining buy-in involves a level of selling and persuasion not dissimilar to the work involved in the awareness campaign – offering a vision, presenting a business case, and laying out tangible business benefits. But instead of selling the "solution" of IM, we recommend selling the "problem" of IM.

That is, there are a number of IM issues that make conducting business unusually challenging. The key is to highlight those problems that the organization has historically struggled with such as:

- The elusive 360 degree view of the customer
- Lack of insight into supplier spend
- Costly equipment downtime, maintenance, and warranty issues
- Inability to track and trace in global supply chains

"But instead of selling the "solution" of IM, we recommend selling the "problem" of IM."

Once the discussion is framed in terms that can appeal to the owners and stewards of those issues, connections can then be made to proposed approaches and solutions to alleviate those challenges.

4. Achieving commitment and ownership

The journey to commitment and ownership starts with the realization that business and IT each own parts of the solution. But how do you know when that relationship is functioning and partnership has been achieved? What behaviors can you expect to see? How can you tell that they own it?

Below are a few indicators that you are headed down this path:

- There are now documented processes that are published and staff seek out these processes
- There are people who are accountable for executing those processes and their management allows them the flexibility to perform
- Decision makers are engaged, asking questions, and sending items back to teams for review
- Business processes now incorporate IM and expectations have been changed to align with new processes
- Supporting activities such as conducting audits and reporting metrics have been conducted

"Regardless of the signs, it is important to understand that all parties involved need to be committed to a multi-year journey with achievable milestones."

Regardless of the signs, it is important to understand that all parties involved need to be committed to a multi-year journey with achievable milestones. These signs can be considered quick wins and should be framed and advertised as such.

Organizational acceptance of change — a real world example:

Overcoming regional differences, weak governance and high cost business resources to establish global information standards

Challenge

Establishing standards of any type can be challenging but when the organization is a global exploration and production (E&P) company with a federated operating model and strong business unit independence challenges are magnified. E&P is by nature complex, but drilling many directional or side-tracked wells in an area with many small pockets a few hundred or even 1,000 feet deep in sandy soil is very different than drilling a well into bedrock that is 10,000 feet below sea level. Typical challenges of securing business resources notwithstanding, engineers, the "business" resources in an E&P organization, are expensive when the activity is reviewing data definitions and validating data models.

Approach

The organization focused on four main tactics to resolve these challenges. They included: using a third-party data model as a starting point for data definitions and relationships between business objects; selecting a relatively small logical grouping of business objects and attributes that when taken together represent an easily identified business asset or activity; setting an aggressive but reasonable timeline for establishing the baseline standard; and using engineers to resolve only the most critical and contentious issues, placing most of the work on the business analyst, information architect, and application SMEs.

Outcome

As a result of using these tactics, the organization was able to establish the first global information standard comprised of five information objects representing the well, wellbore and their components. While no model is complete or perfect, selecting an industry-standard model developed by a consortium of peers or other recognized experts changes the discussion from an "I do it this way" free-for-all to an exception-based process that highlights demonstrable and material differences in business operations. By removing the key driver of resistance and selecting a small group of related attributes, they were able to set a 12 week timeline to conduct the vetting and follow-ups. Final approvals took another couple months but was mainly impacted by the timing of the governance bodies regular meetings. By utilizing application subject matter experts and an information architect familiar with the business objects, the time spent by engineers was minimal, which encouraged them to participate again for the updated standard. The updated standard was completed the following year and more than doubled the number of attributes of the previous version. Another key success was the ability to solidify and validate a repeatable process for global vetting that surfaced concerns from all participants.

Conclusion

Information governance is often described in terms of a journey as opposed to a destination. We also subscribe to the notion that implementing information governance in an organization is not a singular event – in fact, introducing governance into an organization is introducing change.

To change the way an organization views managing their information as a corporate asset requires an understanding of the nexus of information governance and change management. As we have shown throughout the paper, each discipline lends an important perspective to institutionalizing change.

We believe change is most effective when conducted under the structure of well-defined frameworks complemented by organizational change management strategies that acknowledge the cultural aspects of an organization – at the end of the day it is the organization's people that will champion change once knowledge sharing, decision making, accountability, and acceptance of change are fully addressed.

Below are some recommendations about how to address those factors and others:

Be realistic and plan for the long haul
People don't change overnight and corporate culture doesn't either. In order to succeed you have to be introspective and know what your organization is capable of and what it needs to develop – this includes the ability to name phenomena when you see them. Develop a multi-year plan and know that organizational change management needs to be a fundamental component.

Implementation is critical to success
While changing the way an organization functions in terms of IM and IG has many complexities, don't get so overwhelmed that you don't make any progress. Every organization takes a different path. As Jack Welch once said "In real life, strategy is actually very straightforward. You pick a general direction and implement like hell." Be sure that you are implementing some part of your governance in six months or less.

Take small steps every day
A beautiful white sandy beach isn't created from one giant wave crashing on the shore. It is created as countless small waves break the shells into fine grains. Similarly, while executive support is a key factor in success, members at all levels of the organization are involved in the organizational change - from the bottom all the way to the top. All members, regardless of level, need to view the governance journey through the prism of OCM and take small steps every day.

Plan for change
Change management cannot be an afterthought of your IM initiative; it must be an integral part of the entire IM journey. It must be managed in a structured and thoughtful way in order to minimize risks and ensure the best outcomes such as high levels of stakeholder engagement and progress towards new norms and mindsets. To achieve this, OCM must be fully integrated into the program's structure and workings in order to ensure the overall success of your IM initiative.

"To achieve this, OCM must be fully integrated into the program's structure and workings in order to ensure the overall success of your IM initiative."

Get ready
Finally, this new way of managing information has the potential to organically change the organization. The positive effects of increased collaboration, open communication among and between stakeholders, and structured governance can be contagious as new expectations are created and, in some cases, demanded for the initiatives that follow. What's more, you may find that there was a pent up demand for standardization and guidance. You may have more supporters and potential partners than anticipated and may have to run faster in order to meet that demand - and that is our hope.

Appendix

The information governance framework

The information governance framework provides a measurable structure for realigning an information management program from an application-centric focus to a program where data is viewed as an enterprise asset and managed based on business functions and processes.

Foundational components

As stated earlier, the information governance framework is comprised of seven domains that break down into discrete capabilities and components. For the purposes of this paper, the seven domains are provided for your understanding of the most common types of change that impact the organization.

Information management and governance strategy

The IG strategy is based upon IM capability requirements as described in an IM strategy. The IG strategy identifies where the organization is and must be relative to governance maturity to develop the required IM capabilities. It formulates a clear, concise, and achievable mission statement which articulates the program goals and scope, establishes a business case for the information management program, and establishes guidelines for prioritizing and financing IM initiatives.

Policy and compliance

Policy and compliance is the codification of enforceable corporate expectations, procedures, and external regulations relating to information management and accountability. Policy approval, communication, and enforcement are major indicators of executive support and engagement.

Data quality management (DQM)

DQM is the first pillar of the framework. DQM defines the organization's approach to data quality improvement, measurement, verification, and integration with normal business operations. It establishes and reports data quality thresholds that are measured empirically.

Metadata management

Metadata is descriptive information about an organization's business processes and systems that allows individuals to communicate in a consistent manner regardless if they are business or IT, internal or external. Metadata management, the second pillar, includes the processes and technologies to define, capture, approve, version and integrate different types of metadata.

Information architecture management

Information architecture (IA) management, the third and final pillar, is the practice of defining information structures and systems throughout their life cycles according to well-defined policies, standards, and guidelines. IA management aligns business, system, information and technology architectures. This effort is aimed at optimizing the controlled acquisition, storage, distribution and presentation of information in order to meet identified business goals.

Governance competency management

Governance competency management involves the overarching supervision and coordination of all the projects, processes and tasks related to the administration of the information management program. It establishes and reports metrics to track the overall improvement in the development of information management skills and capabilities and the impact to data availability, security and quality. This ensures that improvement of IM capabilities are approached as a sustainable and formal process.

Organization change management

Organization change management addresses an organization's culture and ability to adopt the changes needed to implement information governance roles and processes. Change management includes communication strategies, training, mentoring, and consensus-building from senior executives to line staff.

The Better Change framework

A comprehensive OCM program aligned with the phases and milestones of an initiative addresses the domains of change management as shown in IBM's Better Change framework.

The six domains, split between strategic execution and the people dimensions of change, serve as the basis for a host of multidisciplinary tools and techniques which can be employed to promote adoption of change.

Program strategy and management

Program strategy and management ensures that the program has a strategy in place that is aligned with the organization's strategic objectives, and the implementation is managed in such a manner that ensures the program's overall success.

Program leadership and governance

Program leadership and governance concentrates on the role executive leaders and sponsors play in visibly championing change, building support among a broad array of stakeholders, and setting the overall direction of the program.

Organization design

Organization design focuses on aligning the organization's structure with the new way of working, to account for changes to jobs and roles, business operations, and technology.

Stakeholder engagement and communications

Stakeholder engagement involves identifying and regularly engaging those groups and individuals who not only have a stake in the outcomes of information management initiatives, but in many cases have the power to affect the outcome in both positive and negative ways.

Skills and knowledge

Skills and knowledge focuses on assessing and remediating gaps in required skills from an organizational capability perspective, in order to realize the full value of the IM program.

Culture transformation

Transforming the culture, especially to the extent required for an IM initiative, is one of the key domains of organizational change management. It attempts to put into focus the organizational norms, behaviors, and mindsets that can assist or impede the transition to effective cross-functional information management.

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