Negotiating Information Governance Among Professionals
Results from Canadian Studies

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Presentation plan

Introduction
  ➢ Information risks

Concepts of information governance
  ➢ Definitions, Components, Organizational actors
  ➢ Negotiated governance

Information governance in organizations – Results from Canadian studies
  ➢ Methodology
  ➢ Results

Conclusion
  ➢ Can there be more than one leader in the information empire?
Introduction

Information risks

- Information protection and security
- Leakage, loss, alteration of information content
- Compliance requirements
  - External (laws) and internal (policies)
  - Accountability
- Integrity and availability of information content and information systems
- Protection of sensitive information
- Diversity of mechanisms and tools for the production, organization and storage of information
- Diversity of information management practices (formal and informal; institutional and individual)
- Absence of a strong and shared information culture
Concepts of information governance

Definition of governance - Towards a participatory, negotiated and co-constructed governance

- Governance: "set of collective rules and processes, formalized or not formalized, by which the actors involved participate in the decision and the implementation of actions" (Lacroix & St-Arnaud, 2012, p. 26 – our translation)

- Governance: "set of activities aimed at establishing a normative basis for facilitating and coordinating interactions between organizational actors, developing a shared vision and ensuring coherence within the organization" (Brunelle, 2010; Kooper et al., 2011)

- Participatory, co-constructed, negotiated information governance?
 Definitions of information governance

- "Information governance is the specification of decision rights and an accountability framework to encourage desirable behavior in the valuation, creation, storage, use, archival and deletion of information." (Logan, 2010)

- "Information governance is about minimizing information risks and costs and maximizing its value. Succinctly, IG is, ‘security, control, and optimization of information’. (...) is ‘policy-based control of information to maximize value and meet legal, regulatory, risk, and business demands’." (Smallwood, 2016, p. 13-14)
Concepts of information governance

Information governance program

- Components
  - Processus
  - Roles and responsibilities
  - Standards and principles
  - Performance indicators

- Dimensions to consider in a comprehensive and integrated way
  - Legal
  - Records and archives management
  - Technology
  - Management
  - Etc.

Alignment with strategic orientations of the organization
Concepts of information governance

Organizational actors of information governance

Organizational actors usually involved

- Managers
- Lawyers
- Compliance officers
- Risk managers
- Data managers
- Computer scientists, information technology professionals
- Business process analysts
- …

Information professionals?

Not always, depending on organizations
Concentrate on the concepts of information governance

Organizational actors of information governance [2/2]

Strategic role of information professionals in information governance?

- Perception of the role of information professionals by other professionals in the organization
  - Decision-making and strategic role?
  - Rather a supporting role

- Strategic dimension
  - “The information strategy consists of a plan of what the organization wants to achieve in information terms, and must therefore be linked to the strategy of the organization” (Bergeron et al., 2009, p. 189-190 – our translation)
State of information governance in Canadian organizations

Research project – Methodology

Research goal

➢ To provide a **portrait** of the state of **information governance** in **Canadian organizations** from public, parapublic and private sectors

Research objectives

1. Understand the **perception of the concept** of information governance in organizations
2. Describe the **activities** and **mechanisms** put in place
3. Identify **key stakeholders**
4. Describe the **obstacles** and **facilitators** to the implementation of information governance
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2015 Survey – Methodology

- Descriptive survey
- Data collection
  - Web questionnaire
  - Summer and Fall 2015
- Statistical analysis and content analysis
- Sample
  - Canadian information professionals
  - Recruitment through discussion lists
  - More than 200 accesses to the survey
    - 80 questionnaires completed
    - Incompleted questionnaires

Canadian organizations most represented
- Public (53.4%) and parapublic (21.9%)
- Education, government, municipalities
- Large organizations (500 or more employees) (63.9%)
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2017 In-depth Interviews – Methodology

- **Research goal**
  - Examine the role of information professionals in the implementation of information governance in organizations

- **Data collection**
  - In-depth interviews
  - Spring 2017

- **Content analysis**

- **Sample**
  - Canadian information professionals
  - 4 completed interviews with 5 information professionals from the university sector
  - Will expand to other institutional settings in 2017-2018

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**Results: Areas of intervention**

- **Records management**: 94.9%
- **Digital information management**: 72.2%
- **Management of information technology**: 68.4%
- **Management of historical archives**: 67.1%
- **Risks management**: 48.1%
- **Data management**: 46.8%
- **Information architecture**: 40.5%
- **Library science**: 38.0%
- **Knowledge management**: 31.6%
- **Strategic information management**: 31.6%
- **Competitive intelligence**: 17.7%

**Main areas of intervention of information governance in the participants' organizations (N=79 respondents)**
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Results: Organizational actors of information governance

Administrative units considered as main business partners (in universities)

- University General Secretariat
- Information Technology
- Legal Affairs
- Risk management
- Vice-president, Research and Graduate Studies
- Vice-President, Finance and Infrastructure
- Libraries Services
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**Results: Organizational actors of information governance**

**Sources of power and influence**

- Hierarchical status, formal authority
- Expertise, disciplinary skills
- Reputation and charisma
- Opportunity, timing
- Strategic sense
- Resources available to implement projects
- Degree of dependence of the actors on each other
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**Results: Multidisciplinary committees**

<table>
<thead>
<tr>
<th>Multidisciplinary committees at broad organizational level</th>
<th>More specific multidisciplinary committees</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Composition</strong></td>
<td></td>
</tr>
<tr>
<td>• Several high-level bodies in the organization, often directors from all branches</td>
<td>• Managed by a records or information manager, or a manager of another jurisdiction related to information sciences</td>
</tr>
<tr>
<td>• Managed by a records or information manager, or a manager of another jurisdiction related to information sciences</td>
<td>• Seem to be fewer people</td>
</tr>
<tr>
<td>• Seem to be fewer people</td>
<td>• May include employees other than managers / branch managers</td>
</tr>
<tr>
<td><strong>Mandate</strong></td>
<td></td>
</tr>
<tr>
<td>• Establish guidelines, regulations</td>
<td>• Capture, share, dispose of information according to guidelines</td>
</tr>
<tr>
<td>• Establish best practices and retention schedule</td>
<td>• Ensure that documents are appropriately classified and are managed following the retention schedule</td>
</tr>
<tr>
<td>• Ensure the implementation of governance</td>
<td>• Specifically for information technology (information security)</td>
</tr>
<tr>
<td>• Determine direction and priorities</td>
<td></td>
</tr>
<tr>
<td>• Establish strategic direction, coordination and oversight of the work done in information governance</td>
<td></td>
</tr>
<tr>
<td>• Provide advice on information governance initiatives</td>
<td></td>
</tr>
<tr>
<td>• Promote a culture of data control and information governance</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Types of committees</th>
<th>Nb of occurrences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing committees – formal</td>
<td>25</td>
</tr>
<tr>
<td>Existing committees – informal</td>
<td>2</td>
</tr>
<tr>
<td>In development</td>
<td>5</td>
</tr>
</tbody>
</table>
## State of information governance in Canadian organizations

### Strategic role of information professionals

<table>
<thead>
<tr>
<th>New responsibilities</th>
<th>New tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge of the organization</td>
<td></td>
</tr>
<tr>
<td>• Legal and regulatory context</td>
<td>• Information governance policy</td>
</tr>
<tr>
<td>• Organizational culture</td>
<td>• Strategic planning</td>
</tr>
<tr>
<td>• Information culture</td>
<td></td>
</tr>
<tr>
<td>Knowledge of the organization</td>
<td>• Business process modeling</td>
</tr>
<tr>
<td>• Business process analysis</td>
<td>• Risk matrix</td>
</tr>
<tr>
<td>• Information risk analysis</td>
<td>• Categorisation of information assets</td>
</tr>
<tr>
<td>Monitoring and verification mechanisms</td>
<td></td>
</tr>
<tr>
<td>• Quantitative and qualitative performance indicators</td>
<td>• Return on investment and cost-benefit analysis</td>
</tr>
<tr>
<td>• Value added</td>
<td>• Benchmarking</td>
</tr>
<tr>
<td></td>
<td>• Dashboards</td>
</tr>
<tr>
<td></td>
<td>• Information auditing</td>
</tr>
<tr>
<td></td>
<td>• Knowledge value-added</td>
</tr>
<tr>
<td></td>
<td>• Results-based assessment framework</td>
</tr>
</tbody>
</table>
## State of information governance in Canadian organizations

### Results: Triggers

<table>
<thead>
<tr>
<th>Informational risks issues</th>
<th>Change management</th>
<th>Operational requirements</th>
<th>Compliance with the legal framework</th>
<th>Number of mentions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poor use of data</td>
<td>Opportunity with change of staff</td>
<td>Return on investment</td>
<td>Stricter requirements</td>
<td>25</td>
</tr>
<tr>
<td>Availability of computer systems</td>
<td>Accountability</td>
<td>Performance</td>
<td>Administration of electronic proof</td>
<td></td>
</tr>
<tr>
<td>Loss of information</td>
<td>Information sharing</td>
<td>Cost reduction</td>
<td>Professional order requirements</td>
<td></td>
</tr>
<tr>
<td>Quality of information</td>
<td></td>
<td>Better customer service</td>
<td></td>
<td>19</td>
</tr>
<tr>
<td>Important mass of documents</td>
<td>Facilitating decision making</td>
<td></td>
<td></td>
<td>14</td>
</tr>
<tr>
<td>Authenticity and integrity of information</td>
<td>Coherence between stakeholders</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pers. info. protection and confidentiality</td>
<td>Multidisciplinary team</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Access to information</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Triggers that generated a concern for information governance (N=55 respondents)

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**Results: Obstacles**

**Sensitivity to information risks management**
- Not a priority
- Poor understanding of impacts
- Lack of support from senior management for this type of initiative

**Insufficient expertise or training**
- Definition of roles and responsibilities, particularly with information technology professionals
- Lack of leadership from archivists
- Lack of communication between professionals

**Number of mentions**
- Lack of support from superiors: 27
- Financial resources: 25
- Human resources: 22
- Organizational culture: 24
- Fuzzy definition of the concept of information governance: 4
- Lack of appropriate technological tools: 4
- Lack of strategic framework: 2

**Barriers to the implementation of information governance**
(N=66 respondents)
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Results: Competencies

<table>
<thead>
<tr>
<th>Skill</th>
<th>Proportion of respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project management</td>
<td>81.3%</td>
</tr>
<tr>
<td>Change management</td>
<td>76.0%</td>
</tr>
<tr>
<td>Communication</td>
<td>74.7%</td>
</tr>
<tr>
<td>Law</td>
<td>66.7%</td>
</tr>
<tr>
<td>Management (human resources, finances, etc.)</td>
<td>65.3%</td>
</tr>
<tr>
<td>Training skills</td>
<td>62.7%</td>
</tr>
</tbody>
</table>

Complementary skills to information sciences skills for the implementation of information governance (N=75 respondents)
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**Strategic competencies**

- **What is a strategic competency?**

- **Components**
  - Knowledge (knowledge)
  - Skills (know-how)
  - Behaviors (know-how-to-be)

- **Objectives**
  - *Meet the requirements* of the position
  - *Achieve work objectives* to evolve into the future (Lominger 2008, in Boudreault & Lamond, 2009, p. 9)
  - *Meet the strategic objectives of the organization* (Croteau & Raymond, 2004, p. 179)
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Results - Strategic competencies

Main strategic competencies

- Cooperation & collaboration
- Development of alliances
- Negotiation & mediation
  - Strategic skills
  - Business approach
  - Be opportunistic
- Accountability
- Innovation
- Be an agent of change
- Analysis and problem solving
- Leadership and communication
  - Notions of psychology
The implementation of information governance can only be successful if it is taken care of by all the key players on which it relies, including information professionals.

- Participatory, co-constructed, negotiated information governance

Information governance must act as a lever for information professionals in order to more visibly assume the strategic role intrinsic to their functions.

- Strategic scope of actions taken
- Power dynamics
- Weight of informational and organizational culture
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Conclusion [2/2]

- Set up a collaborative governance body
  - Political will
  - Governance committee(s)

- Initial or continuing education programs must prepare information professionals to take charge of these strategic roles

- Considering the possible political power games, it is important for information professionals to:
  - Develop their formal and informal political skills
  - Analyze the political spectrum of their organization
  - Draw up their power mapping
  - Establish partnerships and alliances
  - Ensure the support of champions

- Can there be more than one leader in the information empire?
Next step – Project follow-up

Phase 3 – 2018

Goal: Examine the perspectives of other categories of professionals in organizations involved in information governance (i.e. IT professionals…)

Quantitative and qualitative study
References

- AIIM. (2014). It’s not information governance, it’s information opportunity. Silver Spring, MD: AIIM.
References

Thank you!

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