

Lessons Learned using the IG Maturity Model

Maura Dunn, CRM



Agenda

- IGMM overview
- Choose your assessment approach
- Plan the survey
- Conduct the survey
- Compile survey results
- Interpret survey results

Information Governance Program Framework

Governance: Establishes program sponsorship; roles, responsibility, accountability across the organization; effective collaboration, coordination, and communication

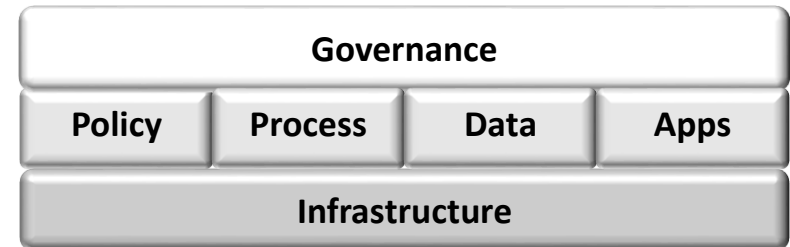
Policy: Defines overall goals and sets the framework for prioritizing existing policy and creating new policies

Process: Defines consistent methods, approaches, and activities to ensure accurate storage and retrieval of records every time

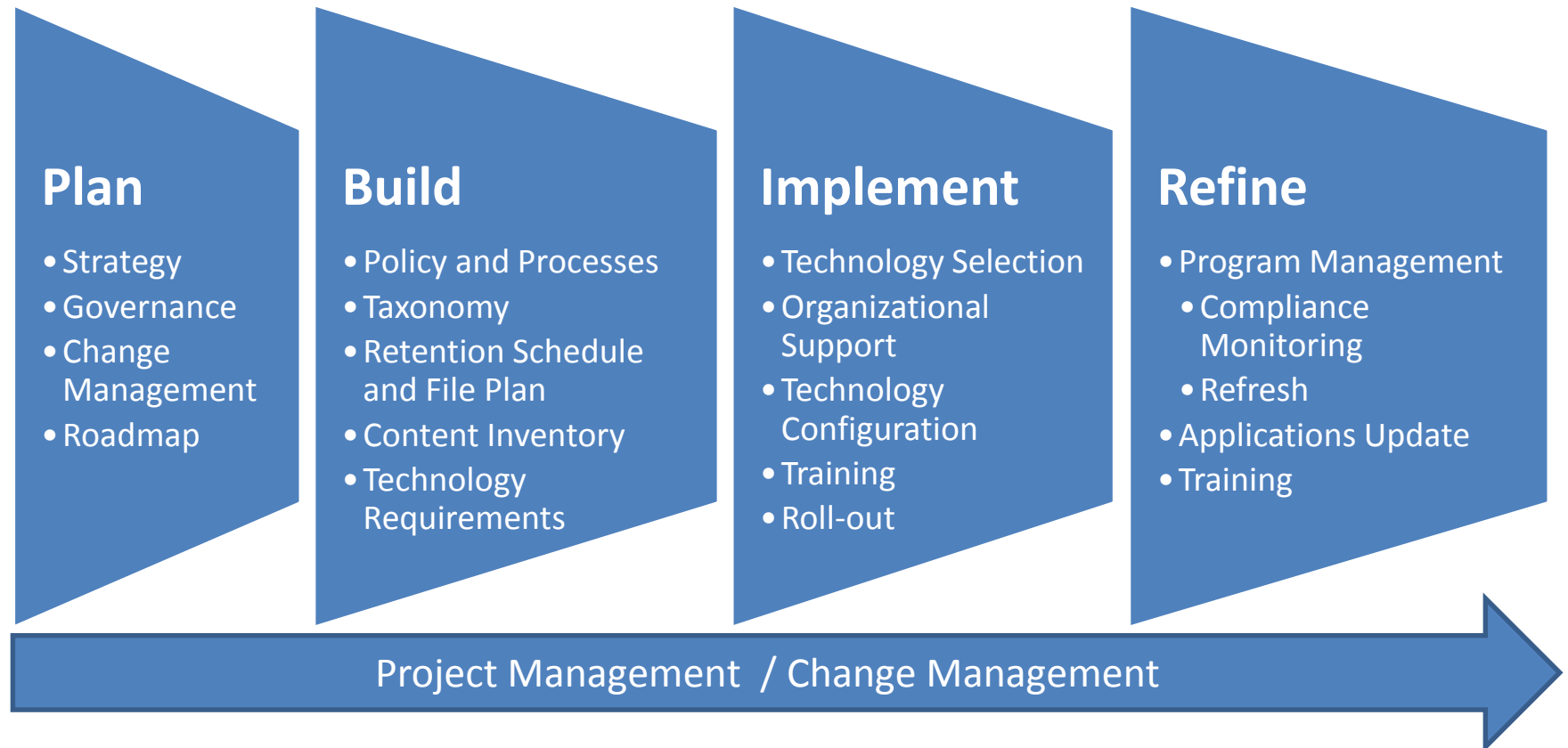
Data: Identifies company information, linked to business processes, and managed to ensure quick identification and retrieval when needed

Applications: Identifies the appropriate tools necessary for creating, circulating, storing, and disposing of company records

Infrastructure: Establishes the structure and operation of business applications as well as specific toolsets



Information Governance Program Development



Information Governance Program Roadmap

Project	20XX											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Records Retention Schedule												
Update and publish RRS												
Develop RRS Roll Out Plan												
Records Inventory												
Develop and complete Business Process Record Mapping												
Create revised inventory based on completed mapping												
Review and validate taxonomy and file plan												
Change Management												
Create Change Management Plan												
Identify and Implement Change Management												
Develop and execute Records Coordinator Training												
Education												
Develop education plan												
Communications												
Develop Communications Plan												
Identify and schedule messaging												
Vital Records Program												
Identify all systems of record for vital records												
Develop Vital Records plan												
Paper Records Assessment and Clean-Up												
Schedule and conduct assessments/clean-ups												
Develop plan to evaluate effectiveness												

Sample

IGMM Overview

- The Information Governance Maturity Model builds on ARMA's Generally Accepted Recordkeeping Principles®

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition

- The IGMM defines characteristics of recordkeeping programs at five levels of maturity

- Level 5: Transformational
- Level 4: Proactive
- Level 3: Essential
- Level 2: In Development
- Level 1: Sub-standard

IGMM Survey Tool

- Web-based survey tool captures the current state of information governance practices within an organization
- 65 questions distributed across the Principles®
 - Accountability - 10 questions
 - Availability - 6 questions
 - Compliance - 9 questions
 - Disposition - 9 questions
 - Integrity - 9 questions
 - Protection - 9 questions
 - Retention - 6 questions
 - Transparency - 5 questions
- Respondents choose a value from 0 to 5, representing the level of maturity for that principle in the specific topic area described by the question

Assessment tool look-and-feel

Is the IG program delivered across the whole organization?

SCORE: 2.75

5	The IG program is fully integrated into the business. Staff understand and apply the 8 IG principles in their daily work. Senior leaders report and act on the results of the IG program.
4	The IG program is delivered across the whole organization. It is measured and improved on a routine basis. Staff are aware of their responsibilities.
3	The IG program is deployed across all high-risk areas and is being developed for the remaining business areas; measurement and improvement have begun
2	The IG program is being delivered in some areas of the business.
1	There is no IG program.
0	This does not apply to my organization
0	I don't know

Sample

Agenda

- IGMM overview
- Choose your assessment approach
- Plan the survey
- Conduct the survey
- Compile survey results
- Interpret survey results

Choose Your Assessment Approach

Strategic considerations

- Identify goal
 - Develop roadmap for information governance
 - Obtain funding to address specific needs
- Determine if expense (both financial and time spent conducting survey) is appropriate for the goal
 - Approximate timeline: 3-6 months, with a team of 2-4 part-time staff dedicated to project
- Keep in mind
 - Survey results may become public and may impact value/reputation of firm
 - Survey questions touch on security of information
 - Survey questions will reveal the degree to which your organization is or is not in compliance with your program

Choose Your Assessment Approach

Tactical considerations

- Questions and answers assume a high degree of familiarity with RIM/IG vernacular
 - Train for survey participants,
 - Weight responses to properly interpret results
- The time commitment for survey participants is 2.5-3 hours
 - 1 hour introductory training session
 - 60-90 minutes to complete survey
 - (Optional) 30-60 minute follow-up interview/email

Agenda

- IGMM overview
- Choose your assessment approach
- Plan the survey
- Conduct the survey
- Compile survey results
- Interpret survey results

Plan the Survey

- Build a team of experts
 - All questions and answers
 - Use of online tool
 - Reporting capabilities
- Identify survey participants
 - Existing group such as department RIM coordinators
 - Managers/supervisors for participants is more effective
 - *Note:* tool does not easily support anonymous surveys
- Determine survey approach
 - Survey all eight principles or a subset
 - Send all principles at once to all participants or send in phases
 - Individual surveys, or one big survey
 - *Note:* incomplete surveys can complicate results compilation
 - Determine additional metadata to categorize results
 - Tool allows for a department to be associated with each survey participant

Plan the Survey

- Identify your approach to the “0” answers
 - Prohibit the use of the “0” answers
 - Limit it to “I don’t know” instead of “Does not apply”
 - Other approach
 - *Note:* “0” responses may have significant impact on scores
- Develop training
 - Provide context for survey (e.g., how will results be used)
 - Be mindful that participants may have reservations about providing feedback on the RIM/IG program due to perceived/real lack of knowledge or perceived/real fear of providing negative feedback on peers/supervisors
 - Provide detailed guidance on interpreting questions and answers
 - Define how participants should interpret “organization” (i.e., the participant’s department, the entire company, or another designation)
 - Define other terms as they are used in your organization
 - Capitalize on online training/introduction provided with the tool

Plan the Survey

- Develop training (con't)
 - Provide detailed guidance on use of the “0” answer
 - Provide detailed guidance on use of the comments field available for each question
 - Comments may be critical to ensuring proper interpretation of results
 - Provide guidance on preferred web browser for survey completion
 - Provide points of contact for requesting help
- Develop communications and schedule
 - Communication to survey participants (and their supervisors) provides:
 - Context for survey, including reference to related initiatives
 - Estimated time commitment for participants
 - Schedule for completing survey
 - Points of contact for help

Plan the Survey

- Notifications/reminders
 - Send email with initial notification of survey with link to survey
 - Email message is customizable
 - Note: email is sent from survey tool, which may cause confusion if users respond to email to request assistance
 - Consider including a corporate email address for requesting help in the body of the message sent from the tool
 - Send two reminders to participants that have not yet completed the survey
 - Send message to participant when the survey is submitted

Agenda

- IGMM overview
- Choose your assessment approach
- Plan the survey
- Conduct the survey
- Compile survey results
- Interpret survey results

Conduct the Survey

- Configure surveys in the IGMM tool
 - Send individual surveys to each participant
 - May take 15-30 minutes to configure each survey
 - Consider leaving survey in draft form until all surveys are ready to be sent, then finalize all surveys so email notifications are sent at the same time
- Monitor status of survey
 - Review questions/comments from participants to determine if additional guidance should be provided
 - Identify percentage complete on a regular basis
 - Determine if additional communications (either from tool or from another email account) are required
- Be mindful of possible issues with tool
 - Tool may not allow participant to submit an answer
 - In rare cases, tool may record multiple answers to same question or not show all questions to a participant

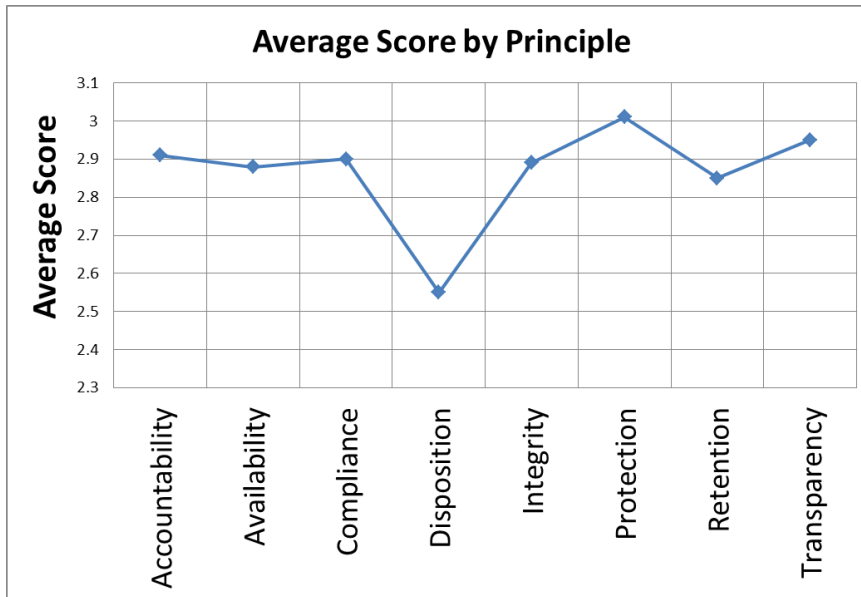
Agenda

- IGMM overview
- Choose your assessment approach
- Plan the survey
- Conduct the survey
- Compile survey results
- Interpret survey results

Compile Survey Results

- Tool provides pre-configured reports
 - Pre-configured reports provide summary and detail information
 - Consider exporting all results and using Excel/Access (or other tool) with querying capabilities to provide flexibility when analyzing data
- Compile total scores, average scores, and other metrics for all results
 - Excel export includes the unique question identifier, the Principle associated with the question, the survey participant, and the participant's line of business (if specified)
 - Consider compiling metrics using all or some of the available metadata
 - Compare metrics using all results as well as using **all non-zero results**

Compile Survey Results



LOB	All questions						
	Score for Questions Answered	Total Questions Answered	Avg Score	Total Score for Questions Answered	Total Questions Answered	Avg Score	Variance (Avg Score with no zeroes - Avg Score with zeroes)
LOB 1	146.75	61	2.41	146.75	65	2.26	0.15
LOB 2	733.25	204	3.59	733.25	205	3.58	0.01
LOB 3	949	310	3.06	949	405	2.34	0.72
LOB 4	482.25	195	2.47	482.25	195	2.47	0.00
LOB 5	669.5	304	2.2	669.5	323	2.07	0.13
LOB 6	2453	761	3.22	2453	845	2.9	0.32
LOB 7	818.25	324	2.53	818.25	335	2.44	0.09
LOB 8	363.25	130	2.79	363.25	140	2.59	0.20
LOB 9	467.75	196	2.39	467.75	260	1.8	0.59
LOB 10	409	129	3.17	409	130	3.15	0.02
LOB 11	484.75	172	2.82	484.75	195	2.49	0.33
LOB 12	1833.25	640	2.86	1833.25	725	2.53	0.33
	9810	3426	2.86	9810	3823	2.57	0.24

Sample

Agenda

- IGMM overview
- Choose your assessment approach
- Plan the survey
- Conduct the survey
- Compile survey results
- Interpret survey results

Interpret Survey Results

- Review results to identify trends
 - Trends may relate to a specific Principle
 - e.g., Disposition has a low score across departments, reflecting a new disposition process or a widespread legal hold*
 - e.g., Accountability may have a high score across multiple departments, reflecting strong internal leadership*
 - e.g., Availability may have a high score in Finance, where data is often structured and contained in enterprise systems*
 - Trends may cut across multiple principles
 - Trends may be specific to a question, available answers, a department, or a group of participants
- There are similar questions in each principle that measure cross-cutting aspects of the Information Governance program
 - e.g., buy-in from senior management, availability of training, completeness of documentation*
- High or low scores on these similar questions across principles may provide insight into specific actions to take
 - e.g., low scores in Retention may indicate a need to focus training on the records retention schedule*

Interpret Survey Results

- Respondent bias
 - RIM/IG practitioners may report lower overall scores due to awareness of work remaining to be done
 - Unfamiliar users may report inflated scores
 - Users may report neutral scores to avoid negative feedback
- Zero (“I don’t know”) responses
 - The “I don’t know” response may significantly reduce scores and skew results lower
 - Consider interpreting results with the zero responses included as well as excluded and comparing the results
 - Consider assigning a weighting factor to results based on the number of zero responses to a question, for a Principle, or for a department
 - Present results against the goal of survey and target/potential audience

Present Survey Results

- Present scores and trends with context and interpretation
 - Identify areas where scores or trends were affected by zero answers or by other circumstances
 - Highlight results that point to areas where the program is strong, as well as areas that require improvement or remediation
- Link results to existing or planned goals of your RIM/IG program

Translate Results into a Future State Roadmap

- Survey results provide indications of areas of your program that need improvement
- Assess survey results within your operating environment and with other strategic initiatives to identify and prioritize projects
 - *e.g.*, If survey results indicate disposition is an area for improvement, but your company is only 3 years old and not heavily litigated, disposition-related projects may not be immediately necessary
 - *e.g.*, If results indicate that information security is an area for improvement and there are IT projects in-flight (or planned) to address cyber-security, consider working with the IT organization to capitalize on existing investments

Maura Dunn

Maura.Dunn@TrailBlazer.us.com

610-659-6678

trailblazer.us.com

@MLDTrailBlazer