Negotiating Information Governance Among Professionals
Results from Canadian Studies

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ARMA Canada Conference

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?

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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**

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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?

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Concepts of 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)

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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

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Concepts of information governance

Organizational actors of information governance [1/2]

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

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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)

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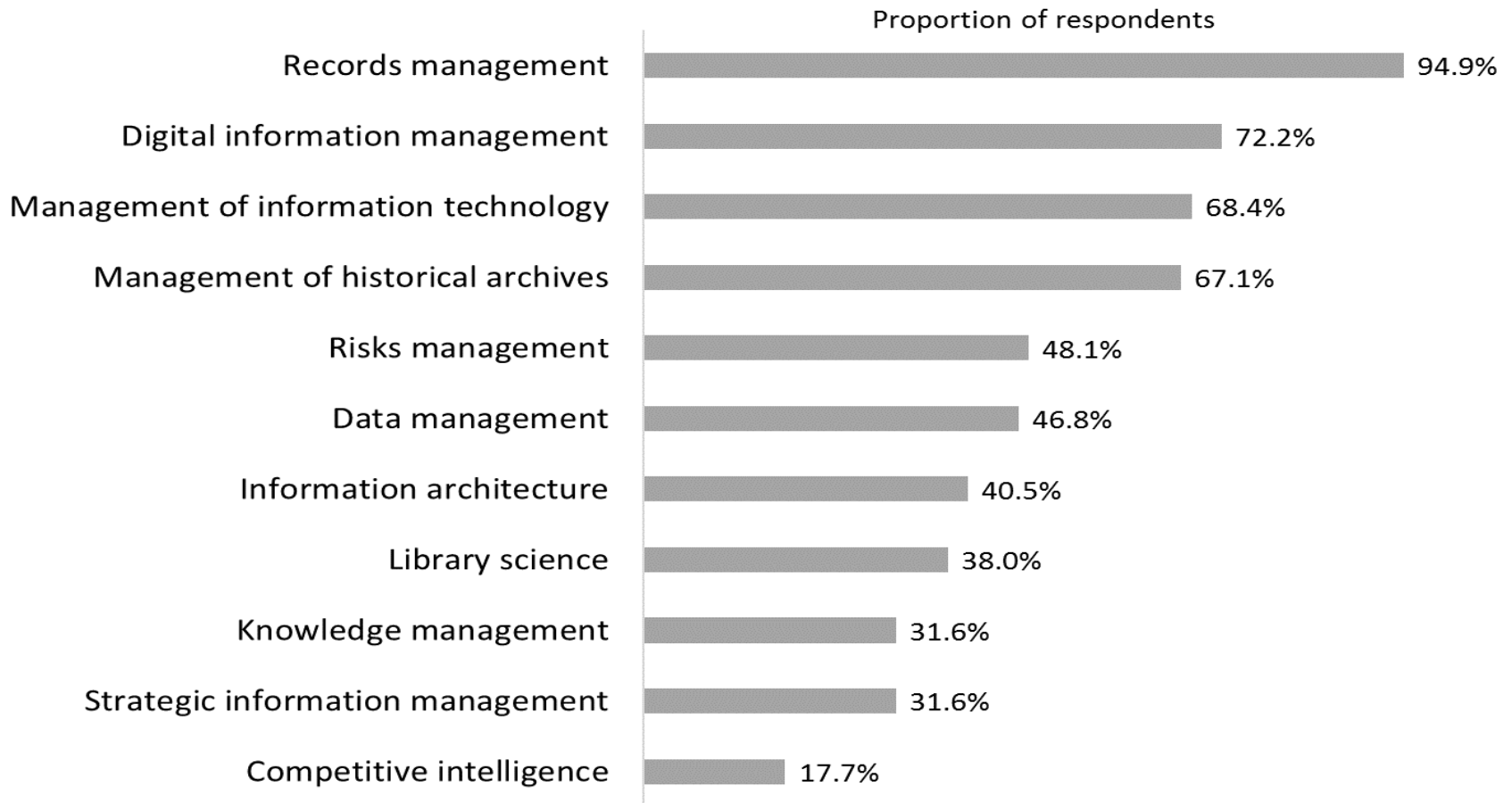 - Spring 2017
- **Content analysis**
- **Sample**
  - Canadian information professionals
  - 4 completed interviews with 5 information professionals from the university sector
  - Will expand to other institutional settings in 2017-2018

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Results: Areas of intervention

Proportion of respondents

Area	Percentage
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

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

Types of committees	Nb of occurrences
Existing committees – formal	25
Existing committees – informal	2
In development	5

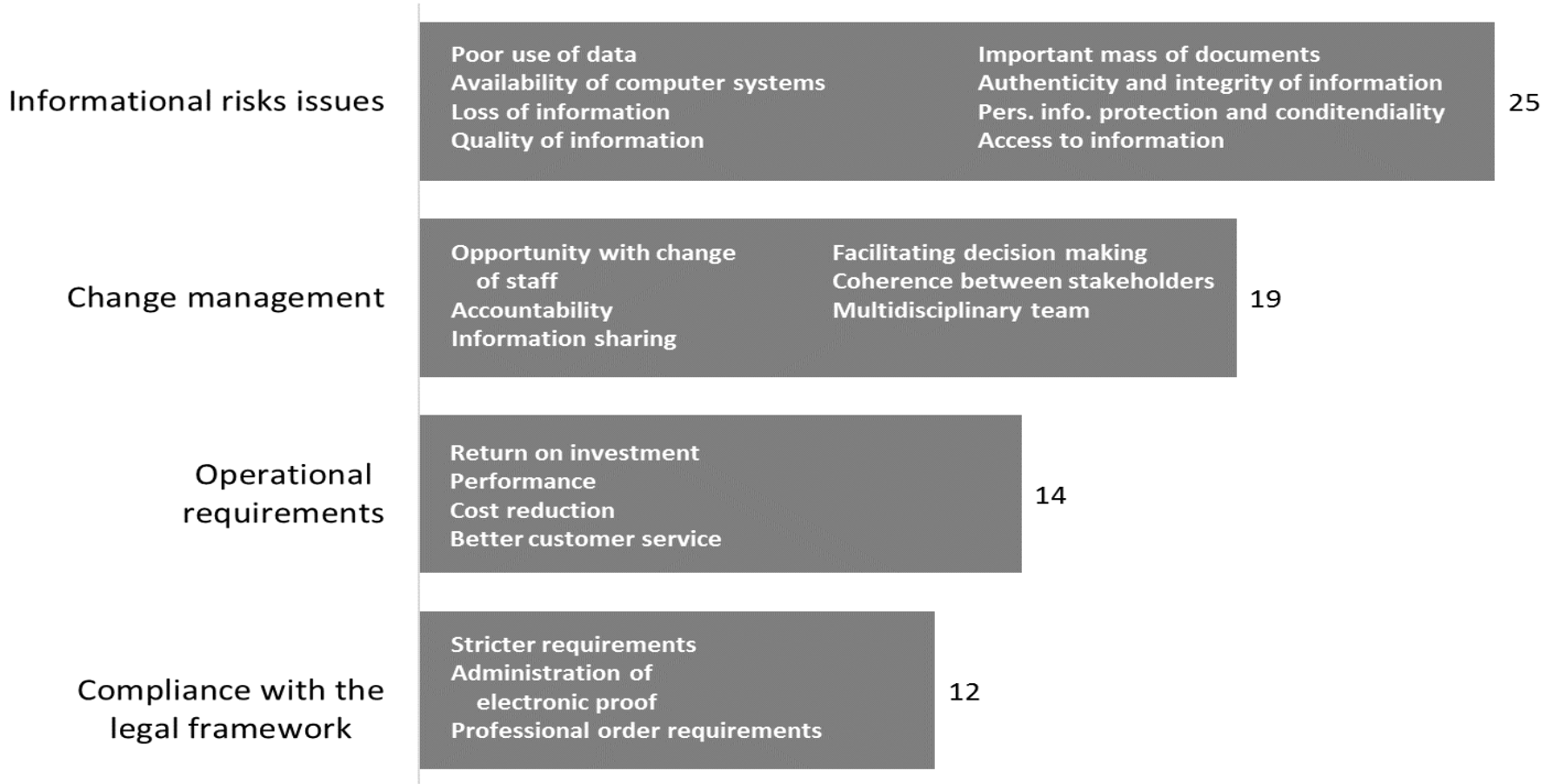State of information governance in Canadian organizations

Strategic role of information professionals

	New responsibilities	New tools
Knowledge of the organization	• Legal and regulatory context • Organizational culture • Information culture	• Information governance policy • Strategic planning
	• Business process analysis • Information risk analysis	• Business process modeling • Risk matrix • Categorisation of information assets
Monitoring and verification mechanisms	• Quantitative and qualitative performance indicators • Value added	• Return on investment and cost-benefit analysis • Benchmarking • Dashboards • Information auditing • Knowledge value-added • Results-based assessment framework

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Results: Triggers

Number of mentions

Informational risks issues	Poor use of data Availability of computer systems Loss of information Quality of information　　Important mass of documents Authenticity and integrity of information Pers. info. protection and conditendiality Access to information	25
Change management	Opportunity with change 　of staff　　Facilitating decision making Coherence between stakeholders Accountability　　Multidisciplinary team Information sharing	19
Operational requirements	Return on investment Performance Cost reduction Better customer service	14
Compliance with the legal framework	Stricter requirements Administration of 　electronic proof Professional order requirements	12

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

- Change management
- No similar initiative
- Working in silos
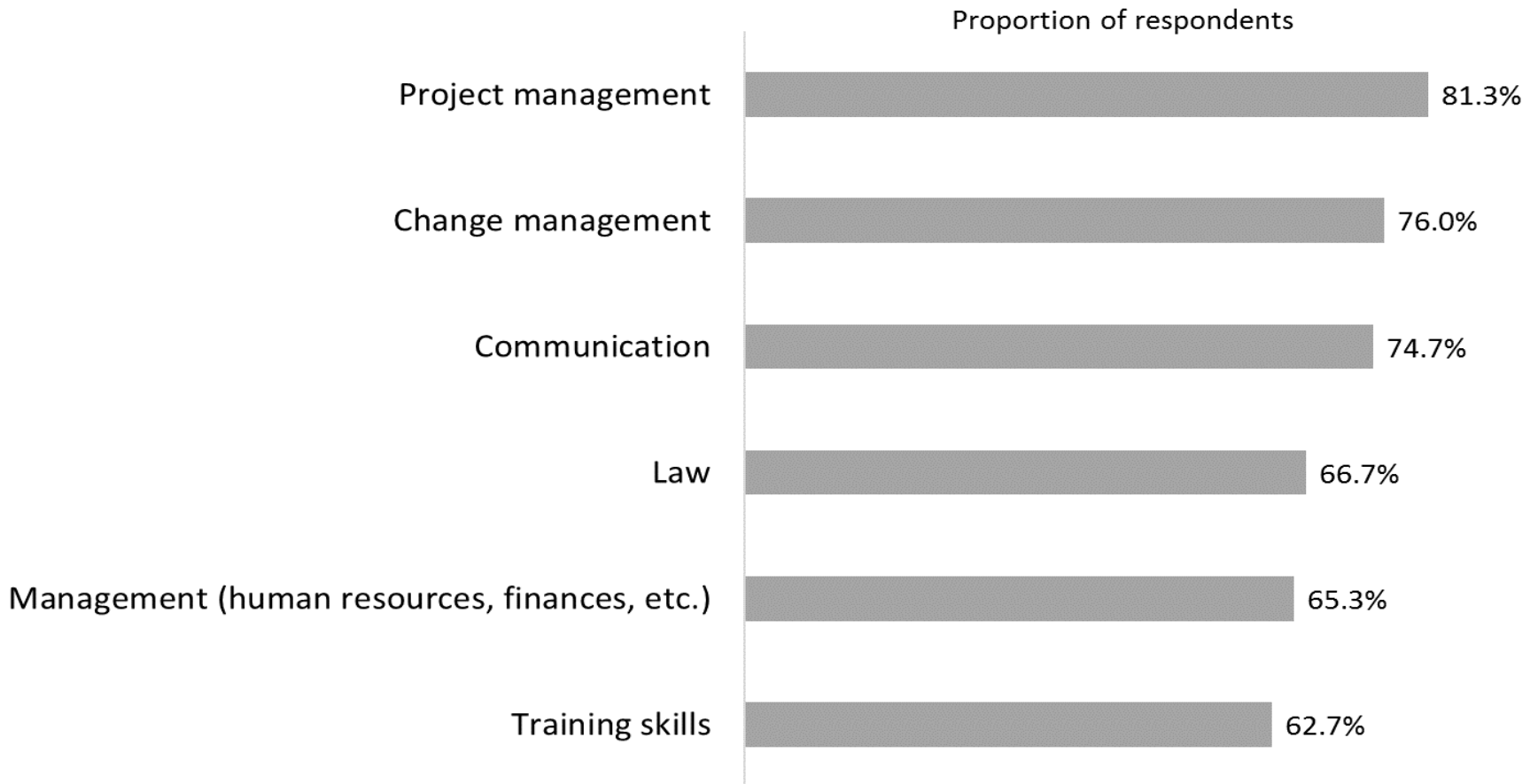- Fear of losing control over the activities of their division

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

Barrier	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

Proportion of respondents

Competency	%
Project management	81.3%
Change management	76.0%
Communication	74.7%
Law	66.7%
Management (human resources, finances, etc.)	65.3%
Training skills	62.7%

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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2017 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

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Conclusion [1/2]

- 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 oganization
  - › 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?

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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

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