

Information Governance Maturity

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Abstract—Information Governance (IG) is an emerging term used to define the multi-disciplinary of effectively and efficiently manage information to enable organizations to achieve their goals. It includes the governance of goals, stakeholders, strategies, policies, processes, etc., during the valuation, creation, storage, use, archival and deletion of information. IG covers either in whole or in part many sub-disciplines such as content management, document management, records management, archive management, risk management, etc. Due to the broad scope of IG, organizations struggle to determine: (1) if their processes comply with IG best practices, (2) which strategic goals need to be pursued in order to be compliant. This results in the need of a method to evaluate, in a straightforward manner, if organizations possess the necessary processes for an effectively and efficiently IG. The use of maturity models is widely used and accepted, both in the industry and the academia. There are numerous maturity models, virtually one for each of the most trending topics in such areas as Information Technology or Information Systems. Maturity Models are widely used and accepted because of their simplicity and effectiveness. They depict the current capability level of a process in a meaningful way, so that stakeholders can clearly identify strengths and improvement points and prioritize what they can do in order to reach higher maturity levels, showing the outcomes that will result from that effort which enables stakeholders to decide if the outcomes justify the effort needed to go to higher levels and results in a better business and budget planning.

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I. TUTORIAL LEVEL

Introductory level.

II. DURATION

Three-hour tutorial. We propose two sessions of the same tutorial: one in English and one in Portuguese.

III. OUTLINE OF THE CONTENT

The tutorial will cover the following topics.

A. Introduction to Information Governance

This introduction will define the term information governance, motivate the need for it, and describe existing references, organizations and initiatives in the field.

B. Maturity Models: Fundamental Concepts

A Maturity Model consists of a number of entities, including “maturity levels” (often six) which are, from the lowest to the highest, (0) Non Existent, (1) Initial, (2) Basic, (3)

Intermediate, (4) Advanced and (5) Optimizing. Each process can have its own Maturity Model, which will express quantitatively the maturity level of an organization regarding a certain process. This model also provides a way for organizations to clearly see what they must accomplish in order to pass to the next maturity level.

In this section we will introduce the fundamental aspects of maturity models and how they can be useful for process assessment and improvement.

C. Conceiving Maturity Models for Information Governance

Many maturity models have been developed in an ad hoc way, with no regard for detailed documentation of development, comparison with other models and even without following a certain process based on best practices from previous maturity model development efforts.

In order to address these issues in this section we will present a maturity model development method. Moreover, this procedure is backed up by a scientific research method called Design Science Research, which makes it useful both for the industry and the academia.

Then we will explain how this method can be used to effectively develop a maturity model for Information Governance.

D. Example: Creating a Maturity Model for Records on the ISO15489 and ISO30300/1

The ISO 15489 was the first standard created by the ISO Technical Committee (TC) 46/SC 11, which is responsible for publishing standards for archives and records management, and is known for defining the fundamental concepts of the field. ISO30300 and ISO30301 are the first products from a series of standards designed to assist organizations to implement, operate and improve an effective management system for records.

The tutorial will introduce both references, and consequently the field of records management, and apply the previous knowledge to create a maturity model based on the ISO15489 and ISO30300/1.

IV. INTENDED AUDIENCE

The tutorial is targeted at researchers and practitioners of information governance disciplines (e.g. records managers,

archivists, curators, information end-users, etc.) who want to learn how to evaluate information governance maturity.

V. EXPECTED LEARNING OUTCOMES

The tutorial participants are expected to learn:

- What is Information Governance? Benefits and value of the field and why it is critical for organizations;
- The various sub-disciplines of IG and their common principles and processes;
- Existing references (e.g. MoReq2010, ISO11442, ISO13008, ISO15489, ISO16175, ISO300/1, etc.) and initiatives (DLM Forum Foundation, the IGRM Project, etc.) of IG;
- What a maturity model is, the benefits and value that comes from the usage of such a model in process improvement;
- How can we develop maturity models;
- How can we apply a maturity model development method to Information Governance;
- How can a maturity model for Information Governance be used to assess and improve the Information governance activities in organizations;
- How to apply the learning outcomes through a practical example using existing and valuable references.

VI. BIOGRAPHY OF THE PRESENTERS

Ricardo Vieira is a researcher of the Information Systems Group at INESC-ID – Research and Development Institute for Systems and Computer Engineering. He is also a Ph.D. student in Information Systems and Computer Engineering at the Instituto Superior Técnico (IST), Technical University of Lisbon working in the field of Information Governance. He is a member of DLM-Forum Foundation – Information Governance across Europe and contributed to the formal public review of MoReq2010 during the concept consultation (summer 2010) and the MoReq2010 draft consultation (winter 2010/2011). His main interests are in the areas of Information Governance, Requirements Engineering, Risk Management and Enterprise Architecture. He is involved in several digital preservation projects, specifically TIMBUS, BenchmarkDP, and 4C.

Diogo Proença is currently a PhD in Information Systems and Computer Engineering at the Instituto Superior Técnico (IST), Technical University of Lisbon working in the field of process assessment, improvement and maturity models. He is a researcher for Information Systems Group at INESC-ID – Research and Development Institute for Systems and Computer Engineering and his focus is on Systems Governance, Process Maturity and Cost Modeling. He is involved in several digital preservation projects, specifically TIMBUS, SCAPE, BenchmarkDP and 4C.