ARMA Seminar Mania
NOVA Chapter

How's your IG - IT relationship?

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Cohasset Associates

Providing Information Governance expertise to guide your journey



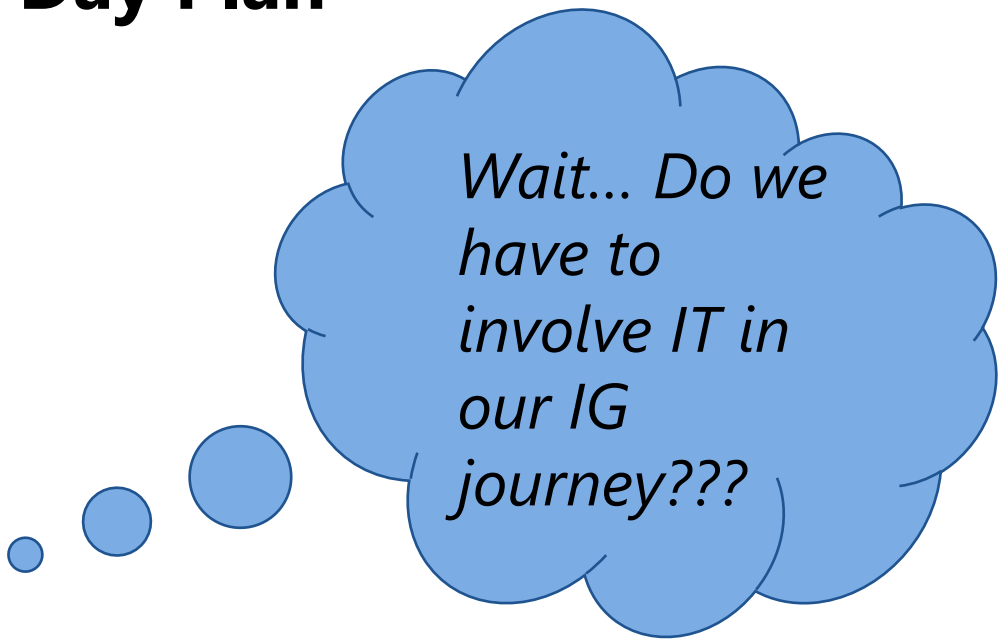
Teresa Drabenstadt
Principal Consultant

Our consultants bring:

- 20+ years of real-world experience
- Streamlined processes to save you time and money
- Lessons learned from a wide variety of clients

Agenda

- **Map your IG Journey with a 90 Day Plan**
  - ❑Current State Assessment
  - ❑Future State Design
  - ❑Roadmap
- **IT/IG Relationship Counselling**
  - ❑Understanding IT
  - ❑Advice for working with IT



Answer: Many (most?) of the items on your Roadmap require IT support –
i.e., there is no IG without IT!! Yikes! This relationship has to work!!

90 Day Plan – First 30 Days

Current State Assessment

Current State Assessment

- Develop a tool to assess where you are today in comparison to where you want to be:
  - Research industry standards and leading practices
  - Leverage information from industry groups such as ARMA, AIIM, NARA
  - Consider People, Process, Technology, Culture
  - Consider structured data, unstructured data, paper, other media
- Collaborate with your team, business units, IT, Legal, etc.

Example Current State Assessment Tool: Maturity Assessment



Example Current State Assessment Tool: Maturity Assessment

Organizational Commitment

A. Leadership Engagement
B. Staffing and Resources
C. Accountability
D. Training
E. Compliance
F. Continuous Improvement
G. IG Program Implementation
H. IG Policy and Program Authorization

Example Current State Assessment Tool: Maturity Assessment

Information Lifecycle Management

I. Information Value
J. Creation and Receipt
K. Retention
L. Storage, Access, Retrieval and Use
M. Preservation
N. Disposition

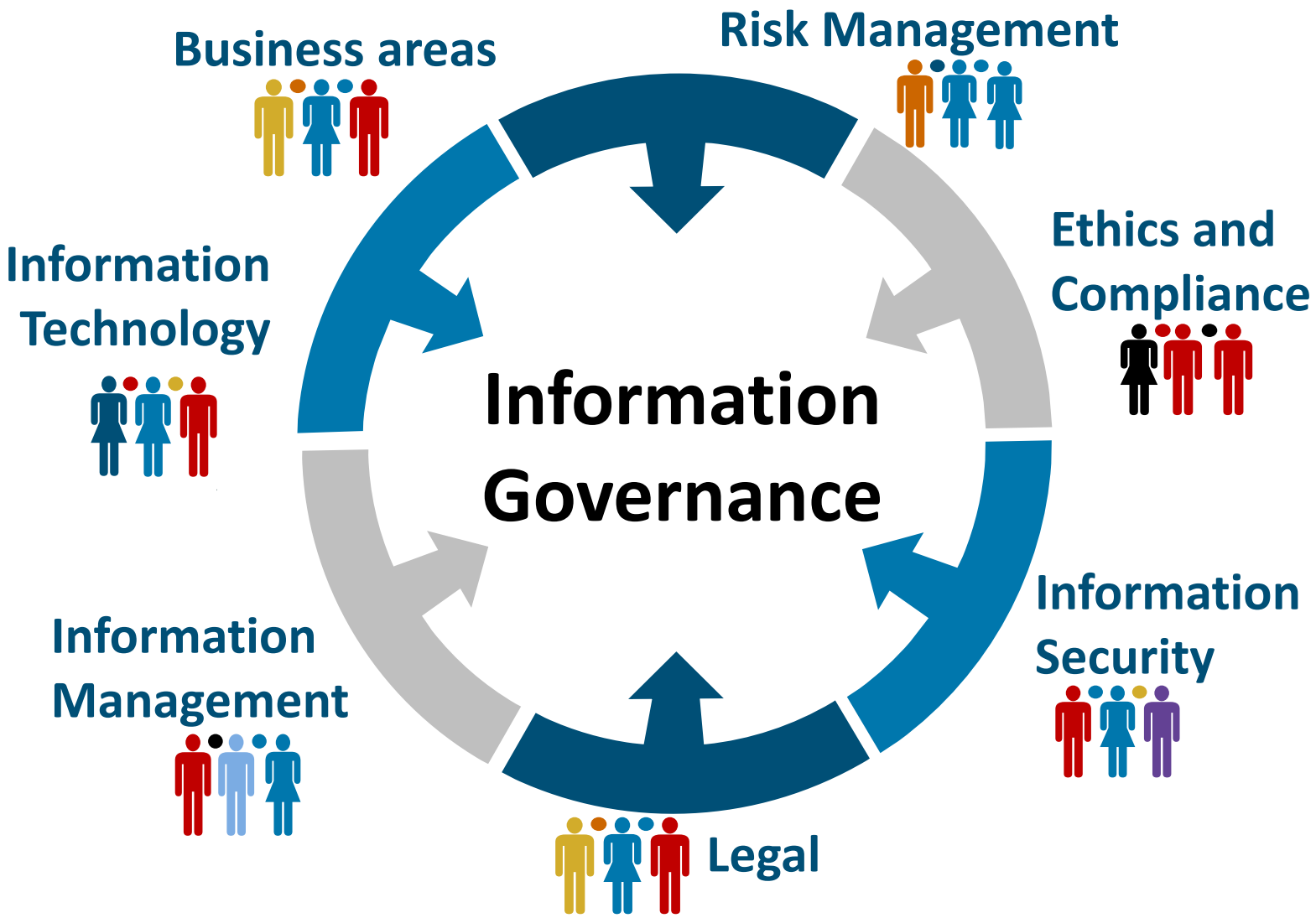
Current State Assessment Tool : Maturity Assessment

Interdisciplinary Alignment

O. Collaboration
P. Protection
Q. Historical Archive

Interdisciplinary Alignment

Collaborate and align policies and initiatives to form a cohesive information governance program



Current State Maturity Assessment Tool (Example)

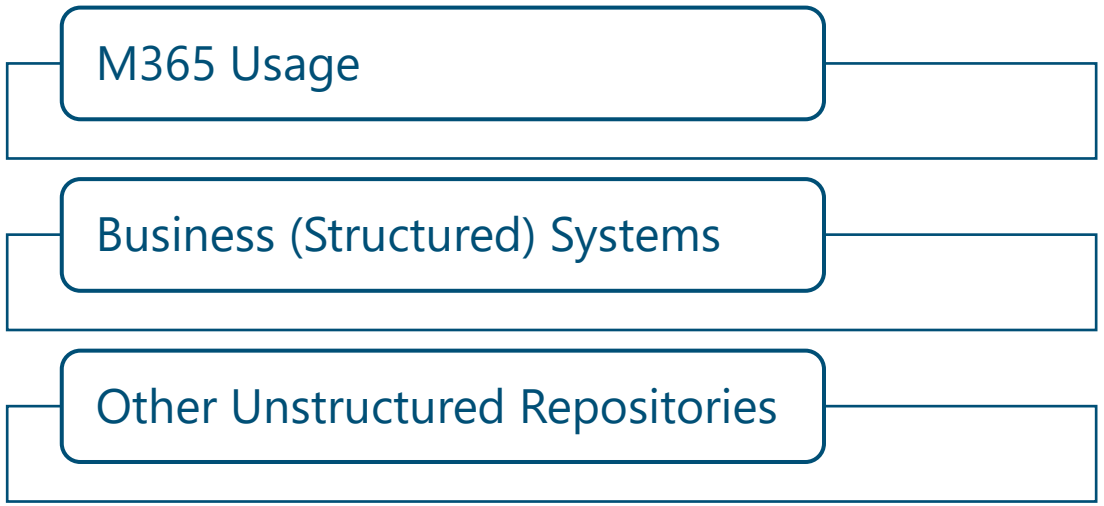
- Organizational commitment
- Information lifecycle management
- Interdisciplinary alignment

Sample IG Maturity Assessment© Ratings

Ad Hoc	Inconsistent	Coordinated	Operational
The Company is unaware of its information governance (IG) responsibilities. Ad hoc practices may exist but are undocumented and based upon habit or tradition. Program elements fall short of industry, legal, regulatory or other standards.	*The Company is aware of its information governance responsibilities. IG Program elements may need more definition, staff may need more training or direction to improve consistency of practices. There may be legal and regulatory exposures.*	*The Company is acting to address its information governance responsibilities. IG efforts are coordinated across departments, with certain improvements defined, and initiated or deployed. Legal and regulatory exposures are somewhat mitigated.*	*The Company has imbedded information governance as a critical component of its business infrastructure, practices and culture. IG Program elements align with organizational goals and serve as evidence of reasonable compliance with laws and regulations.*
	A. Leadership Engagement E. Compliance G. IG Program Implementation I. Information Value	B. Staffing and Resources C. Accountability D. Training F. Continuous Improvement	
	N. Disposition	H. IG Policy and Program Authorization	
	O. Collaboration	J. Creation and Receipt	
	Q. Historical Archive	K. Retention	
		L. Storage, Access, Retrieval and Use	
		M. Preservation	
		P. Protection	

*Cohasset uses this proprietary assessment methodology and its four maturity definitions to rank the assessment findings, relative to each other.

Current State Technology Assessment Tool



Sample Technology Applications Maturity Ratings©

Ad Hoc	Inconsistent	Coordinated	Operational
Document store does not formally manage content, resulting in redundant information, inability to find content and high degree of rework. No defined legal hold or disposition process.	*Document store manages the creation, use, storage and protection of content. Functional or project-driven approaches are used to support legal hold and disposition. System may have legal hold and disposition capabilities but have not been implemented.*	*Document store has inventoried content and established processes for legal hold, retention and disposition. Manual or automated processes exist to enable legal holds and disposition. Enhancement opportunities still exist (e.g., System has capabilities, but data has not met retention requirements, so the process has not been fully validated; Disposition is not triggered as soon as data has met retention.)*	*Document store enables content to be managed throughout the life cycle. Technology enabled retention and legal hold processes are implemented. Automated disposition is applied to all critical content as soon as data has met retention requirements. R.O.T. is routinely disposed.*
System A	System D	System B	System F
System C	System E	System G	
	System H		
	System I		

90 Day Plan – Next 30 Days

Future State Design

Future State Design

Design Considerations

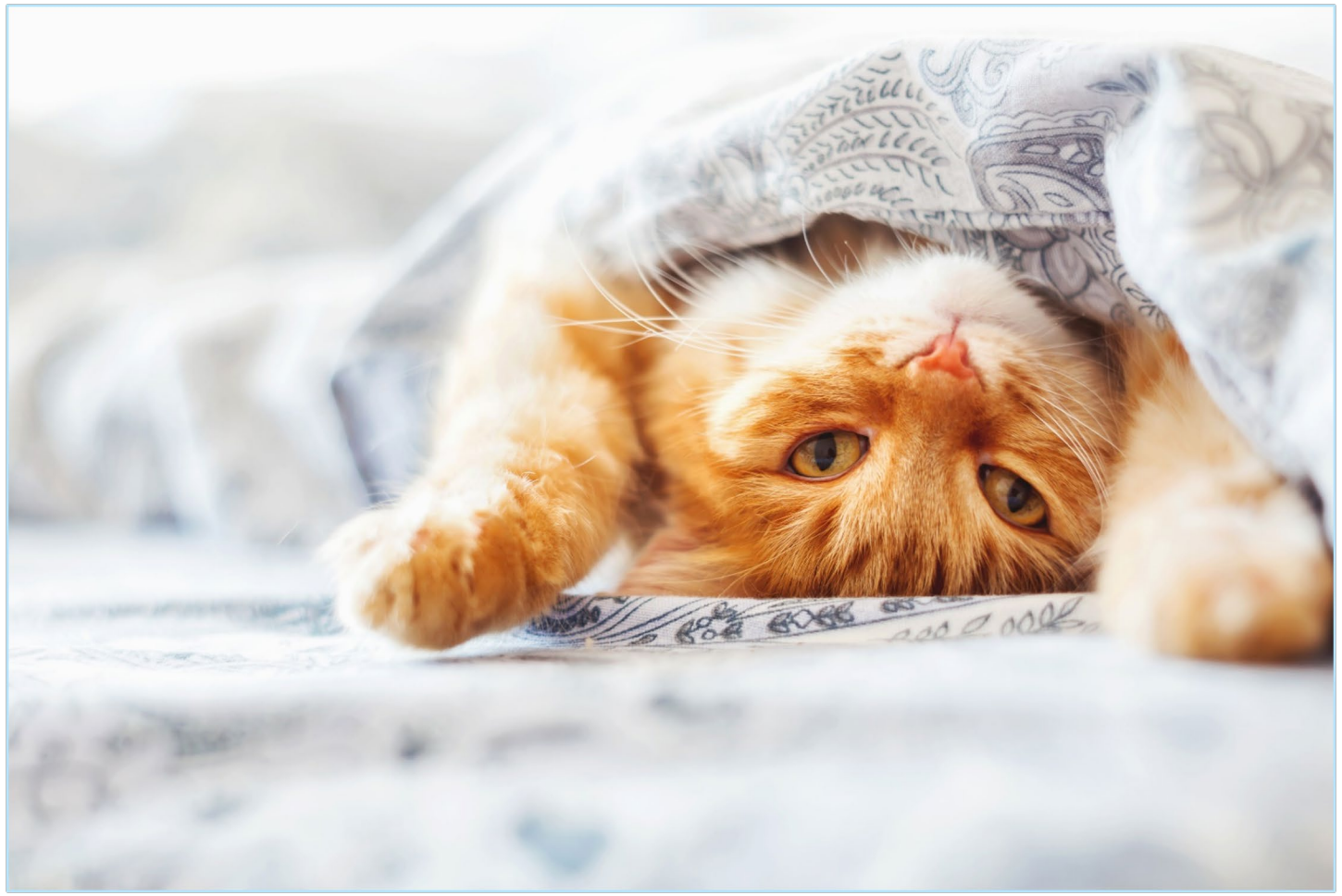
- IG/RIM Requirements
  - ✓ Organizational commitment
  - ✓ Active governance
  - ✓ Lifecycle control of records
- Aligned with business priorities
  - ✓ Business strategy
  - ✓ Business drivers
  - ✓ Business culture
  - ✓ Business risk / value criteria
- Driven by risk-based continuous improvement

Design Components (Examples)

IG Framework	Policy statements and standards Education and training
Retention & disposition – structured and unstructured data	Retention schedule Legal hold process
M365 IG settings	Retention, disposition, sensitivity Metadata usage
Where to store/share strategy	
Data map	

Roadmap

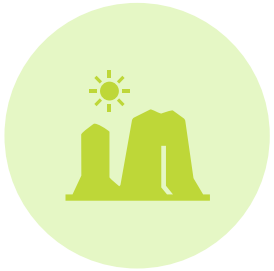
Why create a Roadmap?



"If you don't know where you're going, any road will take you there"

-THE CHESHIRE CAT
in *Alice in Wonderland*
by Lewis Carroll

Roadmap from Current State to Future State



Identify the "big rocks"



Consider priorities and dependencies



Consider available resources



Lay out the timeline

IT/IG Relationship Counselling

How is your relationship with IT?

A



B



C



D





Get to know your IT Partners

Establish a relationship with key IT contacts:

- ❑ Application Development area that supports RIM/IG
- ❑ Information Architect
- ❑ M365/Collaboration Tools Leader
- ❑ Information Security officer (CISO or their direct report)
- ❑ Infrastructure Storage Leader (Cloud and On-Prem Storage)
- ❑ IT Vendor Management

Why are these folks key to IG success?

Recall: Many (most?) of your Roadmap items require IT support, i.e., **there is no IG without IT!!**

Begin with the end in mind

Recall the enduring classic ***7 Habits of Highly Effective People****

- **Habit 1:** Be proactive
- **Habit 2:** Begin with the End in Mind
- **Habit 3:** Put First Things First
- **Habit 4:** Think Win-Win
- **Habit 5:** Seek First to Understand, then to be Understood
- **Habit 6:** Synergize
- **Habit 7:** Sharpen the Saw

***The 7 Habits of Highly Effective People* by Stephen Covey, Special Edition, May 19, 2020, originally published 1989.**

Understand their perspective

IT wears many hats

- "***Manage***" the business of IT (budget, staff, operations, customer service, IT processes, IT process improvement, etc.)
- "***Run***" the business of supporting existing technologies
- "***Grow***" the business by implementing new enabling technologies
- "***Protect***" the business from bad actors externally and internally

Covey's Habit 5:
Seek first to understand

Understand their perspective

Win-Win = Partnership

Partner with IT to achieve your objectives in concert with existing (sponsored) Run, Grow and Protect initiatives

Covey's Habit 4: *Seek the "Win-Win"*

Identify the Win-Win in improving current state

For "Manage the business of IT"

- IT has **cost pressures** to live within their budget, as new software and hardware is added to the portfolio
- User **support demands** are continuous, and often labeled as Top Priority
- **Production problems** are always top priority, so will take precedence over any enhancement requests

Partner for the "Win-Win"

- **Prioritize** your support requests to ensure the right things are being addressed timely
- **Advocate** for increased IT staff headcount or budget if you:
  - Need more support than current staffing allows
  - Add new technology that increases the support demand

Identify the Win-Win in improving current state

For "Run the business" initiatives

- IT is generally hampered by **legacy** current state
- IT struggles to support an **ever-expanding architecture**
- IT has **cost pressures** to live within their budget, despite new software and hardware

Partner for the "Win-Win"

- Learn what initiatives are planned to **retire legacy systems**.
- Offer **IG consulting** to help simplify the architecture, reduce cost and their support burden, while also disposing of ROT
- **Partner** to jointly achieve your objectives

Identify the Win-Win in improving current state

For "Grow the business" initiatives

- IT is generally involved in all **major software/hardware** acquisitions and upgrades
- The **Design phase** is best time to influence the final implementation

  The cost of change increases dramatically each subsequent phase in the software development lifecycle

Partner for the "Win-Win"

- Identify **major initiatives**
  - Software and technologies acquisitions/upgrades
  - Business acquisitions and divestitures
- Offer **IG consulting** to reduce and prevent ROT
- **Get involved early** to include the IG-related requirements in the project budget and timeline

Identify the Win-Win in improving current state

For "Protect the business" initiatives

- IT is generally responsible for **protecting all data**, whether in-transit or at rest
- Protected data (including individual identifiers, health information, credit card information) must be **encrypted**

Partner for the "Win-Win"

- Learn where the **major stores** of protected data reside and the age of the data
- Explore options to **purge protected data** that is past retention to reduce organization risk and costs
- Offer your **IG Consulting** services, working with the business and IT

Advice for working with IT

IT professionals care and are there to ENABLE your business



- ☑ **DO:** Treat IT as your **valued business partners**. Help them to understand your business, your strategies (expense reduction, growth, etc.), and challenges
- ☑ **DO:** Ask about their IT strategies and what's on the technology horizon. Look for opportunities to **align strategies and priorities**
- ☒ **DON'T: Avoid interactions** with your IT team and then get annoyed because they don't understand your business or have other priorities

Advice for working with IT

IT professionals are intelligent and likely have ideas to help your business



- ☑ **DO: Treat them as valued business partners.** Bring them in early when you are strategizing what to do
- ☑ **DO: Ask them to explain things in non-technical terms** if you don't understand what they are saying
- ☒ **DON'T: Wait to engage IT and/or treat them as "order takers"** (e.g., bringing them in after you have made your decisions, when it's too late to change the direction, or when you're about to sign a contract with a software vendor and you need IT sign-off)

Advice for working with IT

IT professionals are problem-solvers



- ☑ **DO: Describe the business problem** you are trying to solve and ask for their help in determining the right technology solution.
- ☑ **DO: Have IT shadow/observe your business processes** and ask them what opportunities they see for automation/workflow.
- ☒ **DON'T: Tell them exactly what to do**—they will likely have a better answer if they have freedom to use their knowledge and creativity

Summary Take-aways

- ✓Identify opportunities to enhance your IG Program
  - ✓Current State Assessment
  - ✓Future State Design
  - ✓Roadmap
- ✓There is no IG without IT!
- ✓Partner with IT to advance your IG Program



Information is our passion

Consulting is our Expertise

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