



Information Governance in European Public Administrations

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Context

Objectives

Research design

Main results

Conclusion



InterPARES Research project <https://interparestrust.org/trust>

Information Governance Maturity in European Public Administrations: Nature, Assessment tools and Methods (phase I & II, 2016-2018)

- Why IG
- Why public administration

“ IG is a subset of corporate governance, and includes key concepts from records management, content management, IT and data governance, information security, data privacy, risk management, litigation readiness, regulatory compliance, long-term digital preservation, and even business intelligence ”
(Smallwood 2014, p. 5)

1. To understand the main dimensions of IG
2. To propose a definition for IG
3. To propose a framework for IG best practices that can be applied across European public administrations
4. To develop an IG maturity assessment for European public administrations



Qualitative Study with explorative approach based on 3 collection methods ...

Semi-structured interviews (Summer 2016) / 11 Experts / 5 countries

- Information Professionals experts
 - professional experience (20-30 ye)
 - leaders and active in professional community / associations
 - engaged in teaching



Phase I → EU29
02.2016-11.2017

Online survey (Spring 2017) / 205 participants / 21 countries

- Public authorities
- Information Professionals (consultants,
- Information management' decision makers

Case studies (Spring 2017)

- Municipalities & cantonal departements

Phase II → EU30
02.2017-02.2018

Main

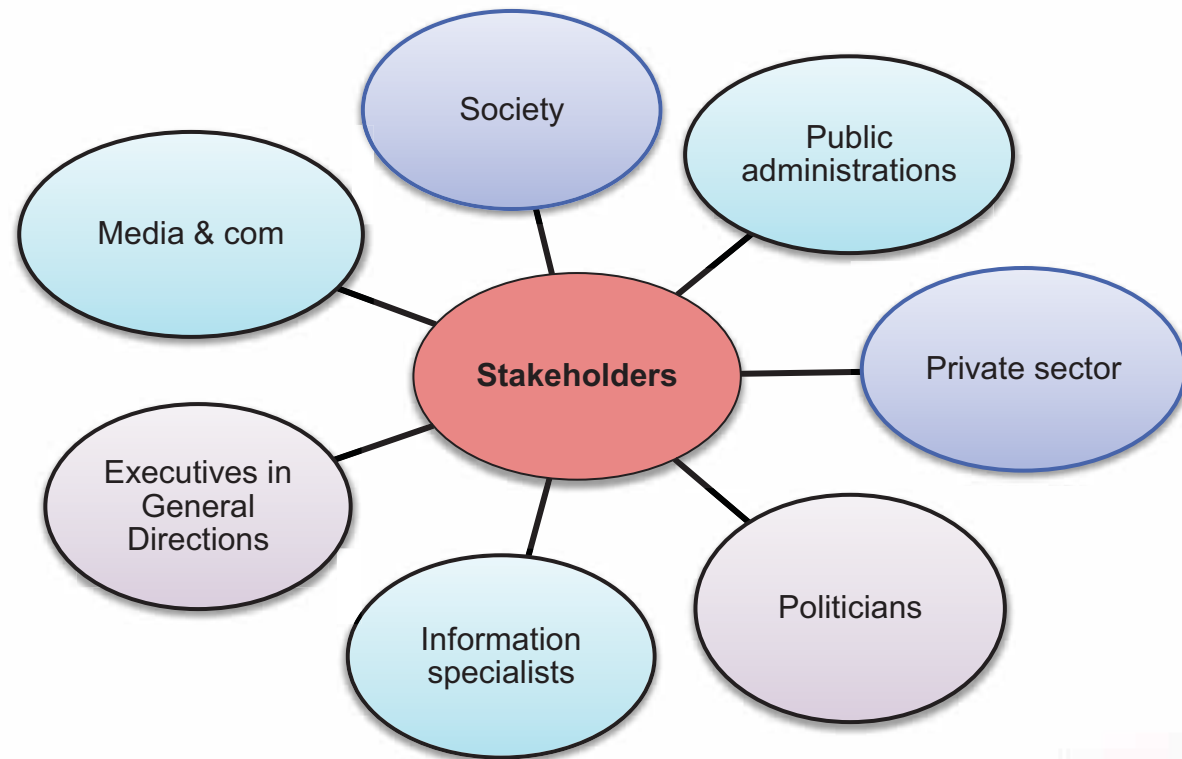


IG Dimensions	Experts	Survey
Records and Information Management	✓	✓
Business Process Management	✓	✓
Risk Management	✓	✓
Privacy and Security	✓	✓
IT-Governance	✓	✓
Data Governance	✓	✓
Legal & Compliance	No	✓
Archiving	No	✓
Enterprise architecture	✓	No

Experts : Information Governance // Information Management

IG	IM
Strategic / political level based on the formal policy	One of the means to reach that political level, to make IG policy possible
The whole concept	The process you put in place to catch, to work on IG and to promote it
Higher level concern than IM; it defines the principles and the strategy	IM is applied to implement these decisions
General Policy	Operational Policy, which could be linked with General Policy on IG
Decision making level; defines responsible persons for setting policies and rules about IM	Operational level; executing and enforcing the decisions and policies
More abstract	Deals with the implementation of IG
“What to do and why?”	“How to do it?”

For the experts...



IG impacts for Public Administration

Transparency

Efficiency

KEY WORDS

- Quality of public services and performance of public administrations
- Formalization / standardization of the practices
- Technological improvements / WEB / Digital transformation / New collaborative tools
- Auditability of public administration
- Reinforcement of the access rights
- Stile of work

IG : Fundamental principles



Basic IG principles are almost the same as the IM principles

Important:

- to have a set of principles
- they have to be internationally recognized and recommended

IG Standards / Legal frameworks (European public administration context)

International standards	<p>ISO: ISO 15489 (record management), ISO/TC 46/ SC 11 (archives and recordkeeping), ISO 28500.</p> <p>Others: ISAD-G / General International Standard Archival Description, ISAAR / International Standard Archival Authority Record. ARMA, ANSI standards, COBIT from ISACA, DLM Forum – the MoReq.</p>
European regulations	<ul style="list-style-type: none"> • EU interviewees didn't mention a specific and or concrete document.
National/Local regulations	<ul style="list-style-type: none"> • Lack or total absence of specific national standards. • Just laws on public archives, public information, and informational data protection...
Internal regulations	<ul style="list-style-type: none"> • Governmental directives, Administrative regulations, Internal policies and other documents determine legal frameworks for public institutions.

IG and Need Assessment



- Should be a starting point for setting IG Program
- Analysis of the organisational context and specific needs
- Possible ways to carry out ...
 - 1) External consultant
 - 2) IG DACUM Chart (Curriculum) – ARMA International



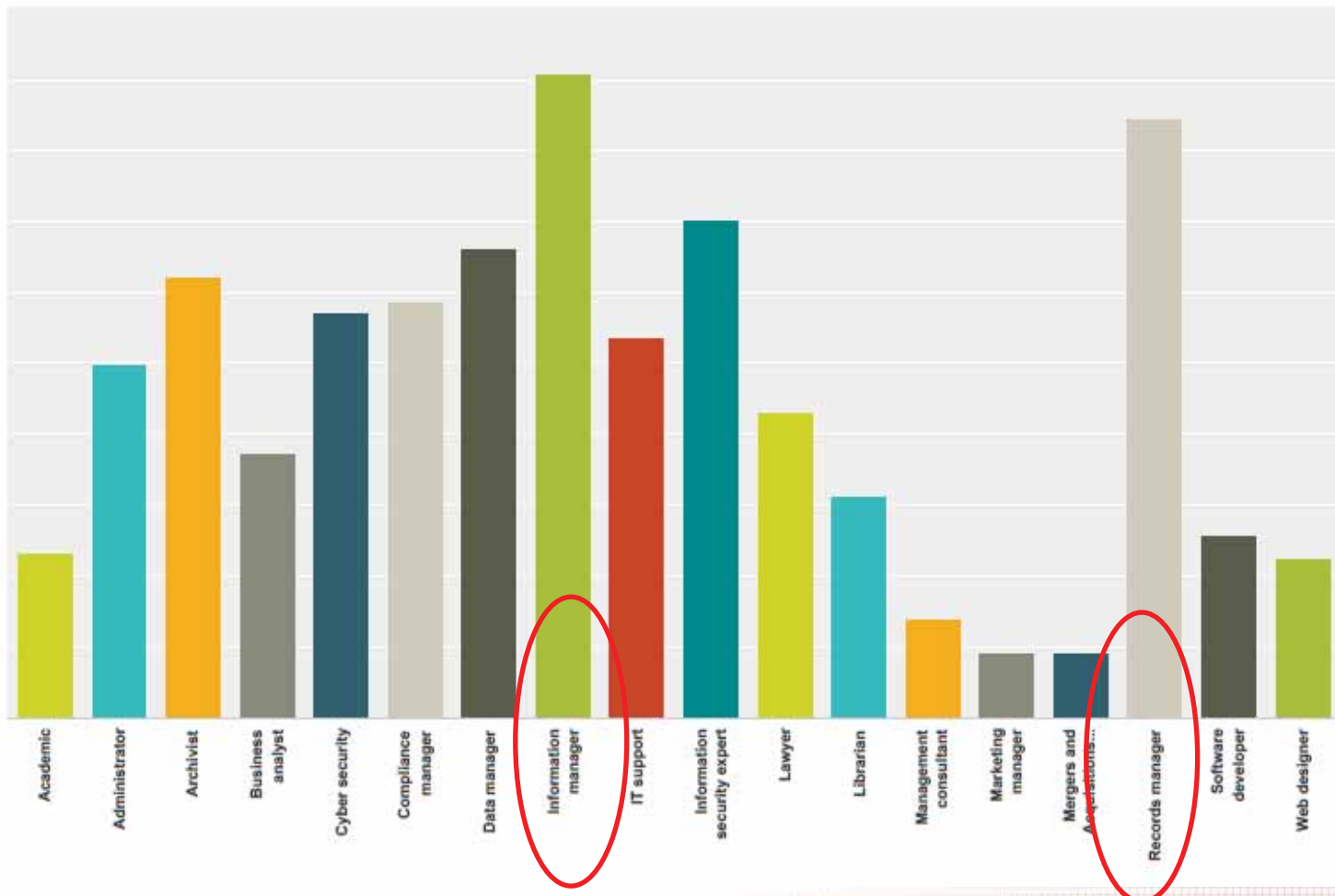
Formal IG Strategy/ Policy Paper/ Governance Plan/...

- Official document, a true political instrument
- Responsible person for communication IG policy throughout the organization

Main actors and roles

 Interview	 Survey
<p><u>Needed roles for IG implementation:</u></p> <ul style="list-style-type: none"> • Information and Communication Officer (CIO) • “Implementing Body” or “Working group” • Political support 	<p><u>Needed roles to deliver IG:</u></p> <ul style="list-style-type: none"> • Information manager - 90.91% • Records manager – 84.30% • Information security expert – 70.25% • Data manager – 66.12% • Archivist - 61.98% • Compliance manager – 58.68% • Cyber security – 57.02%

Q10 Which of the following roles do you feel are needed to deliver Information Governance ? (Please tick all that apply)



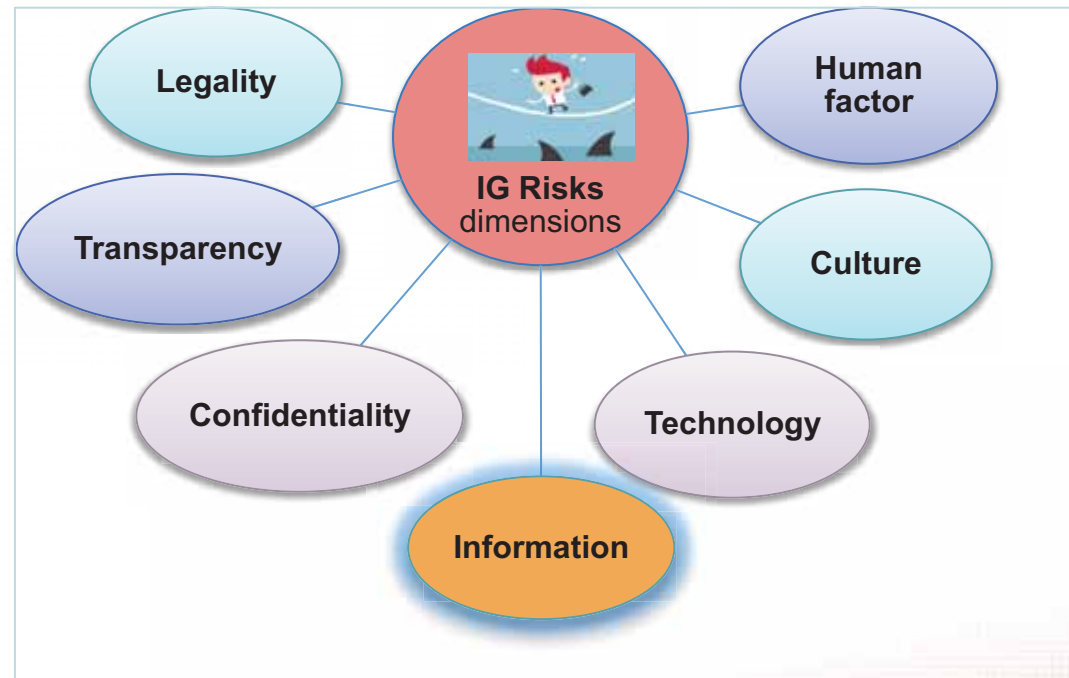
Experts explain ...

Information risks concern...

- Accessibility
- Loss of information
- Information qualities

Paradoxical contradiction...

- Protection of personal data
- Closing down the transparency



Contextual aspects

- lack of laws and regulations which means a lack of obligations
- lack of appropriate understanding of the protection of private and sensitive information and transparency
- lack of framework guiding information management

Organizational aspects

- lack of awareness of IG added value
- lack of support from high level governance
- lack of material and financial resources

Human aspects

- lack of IM tradition and Information culture
- lack of knowledge and trained staff
- lack productive communication between IM and IT professionals

- Despite the relevance of the IG, we note a lack of academic studies and scientific research in this field. Without this work the IG practices cannot be developed as needed in each company in general and in EU public administration in particular ...
- That confirms the real need to competences that could ensure a real change with the ability to develop an appropriate approaches, tools and methods for Information Governance.
- IG Policy should be considered as a priority to offer a framework for stronger management for corporate information assets

Thank you for your attention!

Questions?

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