Information Governance in European Public Administrations

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Agenda …

Context
Objectives
Research design
Main results
Conclusion
Context

InterPARES Research project [https://interparestrust.org/trust](https://interparestrust.org/trust)


- 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)
Objectives

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

Online survey (Spring 2017) / 205 participants / 21 countries
- Public authorities
- Information Professionals (consultants,
- Information management’ decision makers

Case studies (Spring 2017)
- Municipalities & cantonal departements

Research Design
Phase I → EU29
02.2016-11.2017

Phase II → EU30
02.2017-02.2018
### IG Dimensions

<table>
<thead>
<tr>
<th>IG Dimensions</th>
<th>Experts</th>
<th>Survey</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records and Information Management</td>
<td>✔️</td>
<td>✔️</td>
</tr>
<tr>
<td>Business Process Management</td>
<td>✔️</td>
<td>✔️</td>
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<tr>
<td>Risk Management</td>
<td>✔️</td>
<td>✔️</td>
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<tr>
<td>Privacy and Security</td>
<td>✔️</td>
<td>✔️</td>
</tr>
<tr>
<td>IT-Governance</td>
<td>✔️</td>
<td>✔️</td>
</tr>
<tr>
<td>Data Governance</td>
<td>✔️</td>
<td>✔️</td>
</tr>
<tr>
<td>Legal &amp; Compliance</td>
<td>No</td>
<td>✔️</td>
</tr>
<tr>
<td>Archiving</td>
<td>No</td>
<td>✔️</td>
</tr>
<tr>
<td>Enterprise architecture</td>
<td>✔️</td>
<td>No</td>
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</tbody>
</table>
### IG Nature

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

IG: Stakeholders

- Society
- Public administrations
- Private sector
- Executives in General Directions
- Media & com
- Information specialists
- Politicians
IG impacts for Public Administration

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**

- Security
- Efficiency
- Integrity
- Classification
- Transparency
- Compliance
- Risk management
- Accessibility
- Reuse
- Accountability
- Preservation
- Traceability

**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)

| European regulations | EU interviewees didn’t mention a specific and or concrete document.  |
| National/Local regulations | Lack or total absence of specific national standards.  
| | Just laws on public archives, public information, and informational data protection…  |
| Internal regulations | 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**

<table>
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<tr>
<th>Interview</th>
<th>Survey</th>
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<tbody>
<tr>
<td><strong>Needed roles for IG implementation:</strong></td>
<td><strong>Needed roles to deliver IG:</strong></td>
</tr>
<tr>
<td>• Information and Communication Officer (CIO)</td>
<td>• Information manager - 90.91%</td>
</tr>
<tr>
<td>• “Implementing Body” or “Working group”</td>
<td>• Records manager – 84.30%</td>
</tr>
<tr>
<td>• Political support</td>
<td>• Information security expert – 70.25%</td>
</tr>
<tr>
<td></td>
<td>• Data manager – 66.12%</td>
</tr>
<tr>
<td></td>
<td>• Archivist - 61.98%</td>
</tr>
<tr>
<td></td>
<td>• Compliance manager – 58.68%</td>
</tr>
<tr>
<td></td>
<td>• Cyber security – 57.02%</td>
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</table>
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
Difficulties & Challenges

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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