

# MATRIO® - A New Methodology for Implementing Information Governance

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# Learning Objectives

Upon completing this session, you will be able to:

1. Better judge opportunities for IG program implementation by combining bottom-up with top down approaches (avoiding the big bang)
2. Develop pragmatic solutions from a “frog perspective” according to needs and escalate up by addressing the broader context and including other stakeholders
3. Apply the principle of subsidiarity for IG – only making central IG decisions when necessary, i.e. instances where independent groups cannot or should not make them (Gartner)

# Agenda

1. Pivotal question for IG implementation: top down or bottom-up?
2. MATRIO® Methodology
3. Use case
4. Procedures
5. Conclusions, Success factors

# Where does the music play?

- In the business not in corp. centers! The best business plan doesn't work if the value chain isn't strong enough and provides sufficient results out of the core processes.
- So why should we try to implement such an abstract topic as "Information Governance" or "Information Management" from the top if even the brightest minds in our organization don't understand the meaning of it?
- How can you organize and measure something upfront that has never been recognized as a problem or an opportunity ?

# IG Implementation: pivotal question

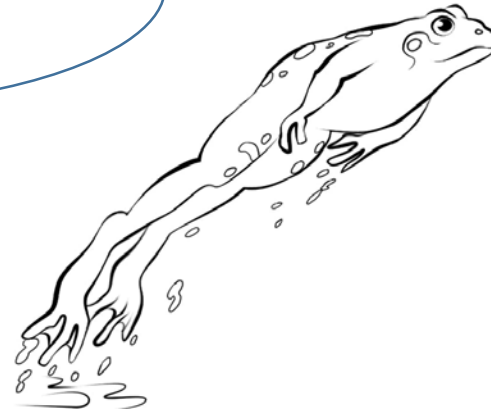
## Top down or Bottom Up?

- Handicaps of „strategic“ projects from above (RiM / ECM / IG):
  - They cannot solve problems immediately; benefits cannot be recognized easily, strategic alignment is tough and takes too long; the big bang is merely possible.
  - Nobody cares, because you cannot get laurels and success; nobody has a sense of accountability.
  - IT always solves the technical problems despite of the fact that problems and issues are only dismissed but not eliminated or solved.
  - Insufficient activities (application, implementation) have no consequences or sanctions and will therefore never be enforced
  - Digital landfills are accepted as a necessary evil and the real costs are merely recognized because they are hidden in the operational costs

# Bottom-up meets top down



Management is too important to be left to the managers.



# Govern where needed ...

- Guiding and directing management and users towards IG by starting from a given particular (operational) issue and developing possible solutions towards upper levels along the corresponding topics.
- Towards upper levels means: Developing pragmatic solutions from a particular perspective („frog perspective“) according to needs and escalate above by addressing the broader context and including other stakeholders.
- Combining bottom-up solutions with top down generalized rules (according to scope and level)
- Apply principle of subsidiarity ...

**Governance provides the means for an organization to make comprehensive and balanced decisions in the instances where independent groups cannot, or should not, make them.**

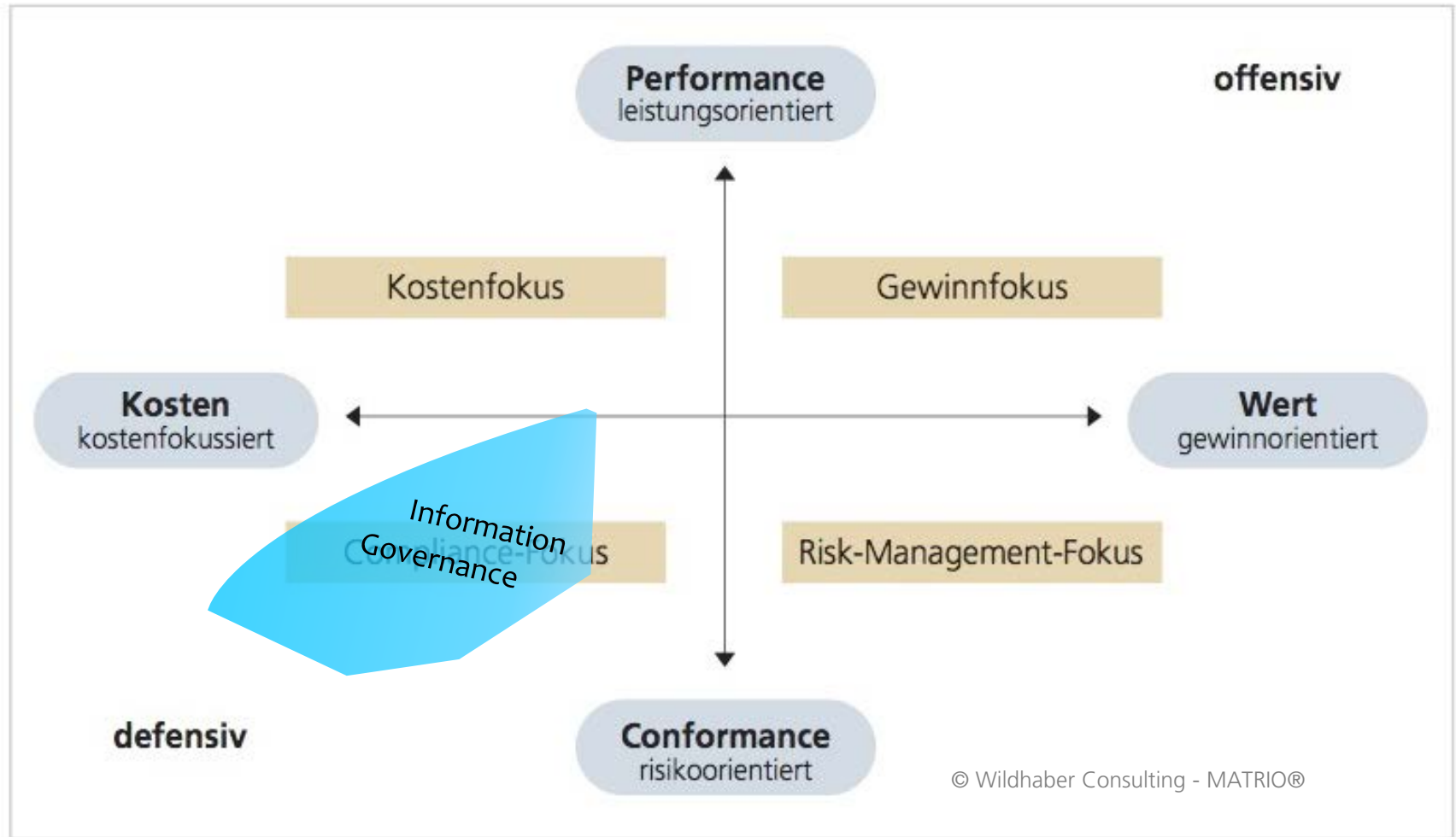
Source: Gartner

# Elements of the methodology

- A multi-stage model for assigning topical tasks related to appropriate decision levels
- A list of relevant topics / disciplines
- A list of appropriate standards & methodologies (toolkit)
- Conformance requirements (catalogs)
- Performance requirements (catalogs)
- Catalog of red flags
- A phasing model for implementation



# Positioning IG - Conformance – Performance Model



Source: Wildhaber

# Multi-stage Matryoshka Model

(MATRIO Methodology®)

Questions:

- Regulatory (Industry)
- Privacy
- IT Governance
- Risk Mgmt
- Security
- Code of conduct
- ...

Questions:

- MDM, Metadata
- IM Architecture
- Taxonomy, BCS
- BI

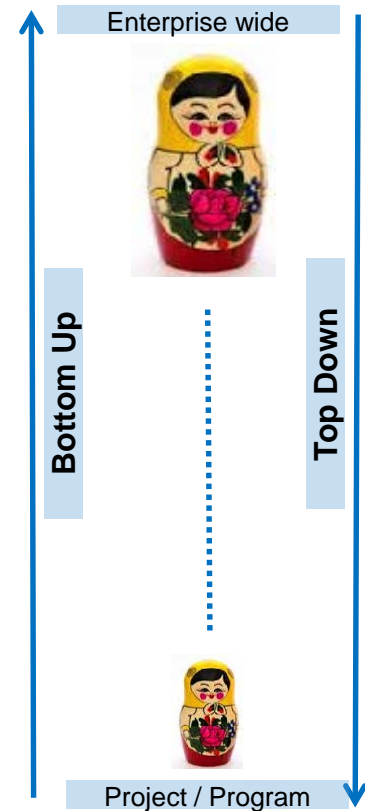
Subjects with overarching character:

- Lifecycle (schedule)
- Archiving
- Storage locations
- Findability (Scope)

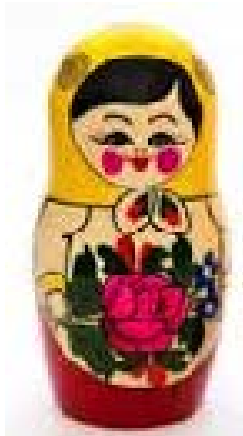
Practical particular issue

**Starting scenario**

Solution viable on this level?



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Level : 4 Normative

3 Strategic

2 Tactical

1 Operational

# Combining solutions with rules



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Red Flags are paramount rules which **MUST** be followed (example Cloud Services prohibited for client data)







# Example: Applying MATRIO® -Methodology

**Scenario:** PDF creation/rendition from multiple sources

**Problem:** Due to old PDF Components not all document types have been properly converted/rendered

**Solution:** A better converter is needed

Matrioschka-Level	Mandate (project)	In scope	Out of scope
1 operational 	We have to render our pdf documents in order to keep them readable and to be able to merge them.	<b>Technical solution; storage; structure of size; formats; process</b>	<b>Regulations for archiving; Dossiers; Life Cycle; Metadata; Search criteria;</b>
2 Tactical 	We want to merge documents and be able to find them; we want to archive documents in conformance with legal requirements and eliminate physical archives step by step	User groups, organisational framework (cross-functional) overarching interest in content; phases of implementation; creation of dossiers/files; findability, retrievability	Security; Knowledge Management; IT Governance; ; partial risks; IM architecture; Taxonomy / BCS
3 Strategic 	We want overall access to customer data for relevant functions incl. Integrity of data	Security aspects; integrity; overall perspective on data; partial risks; IM architecture; BCS	Policy; strategic meaning of information; conformance value; performance value; enterprise risk; IM strategy
4 Normative 	Ensuring privacy; unified prescriptions for all data stored; covering all IG themes; IT under control ...	Legal provisions; all data privacy subjects; enterprise prescriptions IM strategy, enterprise risk, value creation, IT Governance	

# Examples Red Flags (MATRIO®)

1. Master Data Management
2. Workflow / Digitization / Capturing
3. Multimedia
4. Data quality
5. Metadata
6. Cloud
7. Standards
8. Regulatory requirements
9. Single source publishing, Forms mgmt, templates across boundaries
10. Backup vs. Archiving



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# Implementation Procedures...

1. Analyzing the particular issue (red flag or other problems).
2. Preparing a rough solution for the respective requirements (mandate).
3. Raising all corresponding questions and positioning / communicating them in the organization.
4. Adopting solutions, unresolved issues further investigate by considering the hierarchies and reporting lines (culture).
5. Overarching issues which cannot be solved directly have to be escalated.
6. Consolidation and integration of iterative solutions into the pragmatic framework (stepwise)



# Conclusions

- Making a real distinction btw IT Governance and Information Governance / Information Mgmt and communicate permanently
- When not getting full mgmt support from Top down
  - Start small based on RED FLAG-Themes,
  - Extreme communication and intensive collaboration when aligning and coordinating activities !
  - Clear scoping: How do the disciplines and responsibilities mutually interconnect when the number of stakeholders is growing?
  - Watch out the time frames – build realistic roadmaps
- IG Organization, Do not underestimate cultural & political factors
  - Respectful but resolute (agile) leadership with dotted lines, holistic interaction, network awareness
  - Co-governance instead of hierarchical governance
  - Apply the principle of subsidiarity (bottom-up according to MATRIO-methodology)

# Some Success factors

- Build understanding first, apply governance second.
- Focus on business understanding and context as it identifies relevance and importance.
- Connect knowledge from across disciplines and functions to build a progressively rich shared understanding
- Shared understanding brings down barriers and promotes collaboration
- Make the shared understanding easily accessible to empower all to do better.
- Connected understanding drives lean business practices.

Source: <https://diaku.com/> - P. Dewald



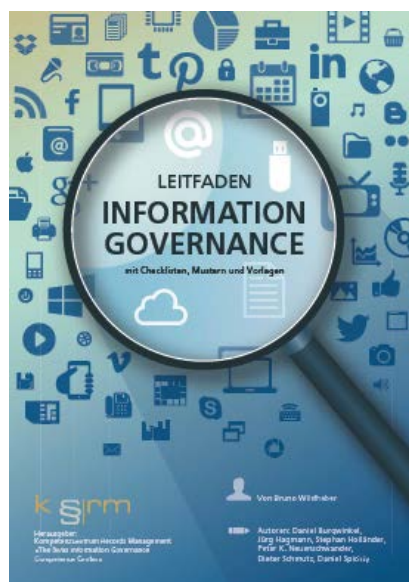
# Clearinghouse needed

- “In fact, in a RACI Matrix, an IG office or function might only be Informed or Consulted when it comes to some information activities: enterprise architecture, for example. Conversely, for other activities, the IG office would own the Approver or Responsible role (privacy, eDiscovery, or even analytics, for example). I don’t believe that the IG office should be (or can be) an all-powerful information overlord, but surely it has become obvious that a clearinghouse for data value and risk issues is needed”. (B. Blair)

# About KRM

Since 2002 KRM – The Swiss Competence Center for Information Governance - offers independent and interdisciplinary consulting in the areas of information management, records management and information governance.

<http://informationgovernance.ch>



The first guidance in German for Information Governance!

Brussels – June 8, 2015

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# Questions?

Thanks for your attention!

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