Information Governance in Portugal
Ricardo Vieira*; José Borbinha
Information Governance in Portugal

Motivation

- In the last years in Portugal we have seen an huge increase in process and information dematerialization. This fact, although encouraging, has been revealing several information governance problems:
  - Unawareness of the importance and value of information;
  - Absence of infrastructures, planning and resources;
  - Absence or lack of information policies and strategies;
Information Governance in Portugal Working Group

Agency for Administrative Modernization

National Archives of Portugal

Technical University of Lisbon

Research Institute – Information Systems Group
• OBJECTIVE: Develop a set of guidelines for efficient and effective Information Governance.

• The guidelines are expected to be issued as a governmental resolution, intended to act as a rule of law, with mandates, obligations and incentives to good practices.
Information Governance in Portugal
The role of Information Governance

• Information Governance SHOULD NOT be seen as a goal of the organization to be achieved.

• Information Governance is an ESSENTIAL MEAN for organizations to achieve their objectives and mission.
  – Responsibility
  – Transparency
  – Efficiency and Effectiveness
  – Continuity
  – Memory Preservation
Information Governance in Portugal
Information Properties

• Information produced, received or preserved should:
  – Posses enough content, context and structure to became an evidence of the organization activities
  – Be authentic and reliable
  – Be independent of its format and technologic support
  – Be a source of value rather than a cost
Information Governance
Multiple viewpoints

- Information is unique but can be seen through different views and perspectives:
  - Document Management
  - Record Management
  - Email Management
  - Content Management
  - CRM
  - BP Management
  - Workflow Management
  - ......
Information Governance

IG Properties

• Information governance should be flexible and result from adequate processes of analysis, design, execution and maintenance
  – Responsibilities, activities and technology should be case-specific.
  – Should be aligned with other views

• However IG should assure the proper identification of:
  – Context requirements
  – Activity requirements
  – Competency and efficient stakeholders
  – Responsibilities
Information Governance in Portugal
Governance Structure

**National Coordenation Entity (National Archives)**
- Define and update context requirements
- Develop and update IG guidelines
- Provide formation
- Audit IG Programs

**Ministery Coordination Entity**
- Monitor and evaluate IG Programs
- Assure competencies and resources

**Public Organizations**
- Define IG Program
- Define activity requirements
- Define responsibilities
Information Governance in Portugal

Processes to define

- IG Programs should define and document the following processes:
  - Information Capture
  - Information Classification
  - Information Retention and Schedule
  - Information Preservation (Digital Preservation)
  - Information Access and Communication (Interoperability)
  - Information Control and Security
  - Information Monitor
  - Information Auditing
Information Governance in Portugal

References

• MIP and MEF
• MoReq2010
• ISO 15489
• ISA-ADMS
• ISAACA – COBIT
• ISO 16175
• ISO 19011
• ISO 30300
• ISO 30301
• ISO/IEC 38500
• ISO/IEC/IEEE 42010
• ITIL
• Open Group – TOGAF
• .............
A Maturity Model is a methodology used to develop and refine organization’s processes. For each process it identifies a five-level path of increasingly organized and systematically more mature process.

- Identifies the strong and weak points of an organization
- It provides information for internal auditing
- It allows measuring of progress
- It allows to identify gaps between the as-is and the to-be state
- It supports planning of efforts and identification of priorities
Information Governance in Portugal

IGMM Levels

• Level 0 (Absence)
  – There is an absence of vision, policies and processes regarding information governance.

• Level 1 (Basic)
  – There is some effort regarding information governance;
  – IG Processes are ad-hoc and unorganized;
  – Responsibilities are partially identified;

• Level 2 (Essential)
  – There is a concern regarding information governance;
  – IG Processes are defined;
  – Responsibilities are fully identified
Information Governance in Portugal

IGMM Levels

• **Level 3 (Valued)**
  – Information Governance is part of the mission of the organization and is used to get competitive advantage;
  – IG Processes are not only defined but monitored and evaluated to assure efficiency and effectiveness;
  – The organization is a reference of IG good practices.

• **Level 4 (Innovative)**
  – The organization promotes IG as a transversal strategy;
  – The Enterprise Architecture of the organization is well defined and IG plays a proactive role in all areas;
  – The organization actively contributes to the innovation of IG;
  – The organization is recognized as a partner for IG innovation;
1. Organizations need to define their IG structure and program and report annually.

2. Organizations need to achieve level 2 of the IG Maturity Model in 3 years in all processes. With proper justification this deadline can be extended by one year.

3. In 4 years the IG Maturity Model will be used as a criteria for funding IG programs. Non-compliant organizations will be penalized in their performance evaluation.