

TABLE OF CONTENTS

Forewords	ix
Table of Case Studies	xxxi
Preface	xxxvii
Chapter 1: Introduction to Information Governance	1
PART 1 – BEST PRACTICES BY INDUSTRY	9
Chapter 2: Banking and Financial Markets	11
1. Enhance the Quality of Data to Support Customer-Centricity in Retail Banking	12
2. Increase the Reliability of Customer Data in Corporate Banking	15
3. Provide a Total Customer View Based on a Single Identifier and Consistent Hierarchies	18
4. Improve the Trustworthiness of Risk Management Information	19
5. Establish Consistent Product Hierarchies to Support Marketing, Product Management, and Finance	25
6. Lower the Cost-to-Income Ratio Based on Improved Information Governance	26
7. Ensure Compliance with Regulations Based on Better Information	27
8. Establish an Information Governance Organization Aligning IT and the Business	29
Summary	31
Chapter 3: Insurance	33
1. Improve the Quality of Critical Data Elements for a Customer-Centric Approach to the Business	34
2. Enhance the Quality of Agent Data	42
3. Improve the Quality of Data for Actuarial Decisions	43
4. Increase the Trustworthiness of Data for Claims Adjudication	44
5. Improve the Reliability of Data for Policy Administration	44

6. Ensure Compliance with Capital Adequacy Regulations Such as Solvency II	45
7. Establish an Information Governance Organization to Align IT and Business Interests	48
Summary	49
Chapter 4: Healthcare	51
1. Improve the Quality of Critical Data Elements to Support a 360-Degree View of the Member	52
2. Enhance the Reliability of Data to Support a 360-Degree View of the Provider	54
3. Establish an Enterprise Master Patient Index for Healthcare Providers	57
4. Guard Against Unauthorized Access to Protected Health Information	59
5. Support the Transition from ICD-9 to ICD-10	59
6. Ensure a Consistent Set of Business Definitions, Clinical Terminology, and Metadata	60
7. Facilitate the Seamless Exchange of Patient Data to Support HIEs	61
8. Govern the Use of Assets Within Healthcare Providers	62
9. Develop a 360-Degree View of the Producer for Healthcare Payers	63
10. Establish an Information Governance Organization Aligning IT and the Business for Payers	63
11. Establish an Information Governance Organization Aligning IT and the Business for Providers	65
Summary	66
Chapter 5: Manufacturing	67
1. Facilitate Customer-Centricity Initiatives by Improving Partner and Customer Information	68
2. Support Product Management, Supply Chain, and Manufacturing by Enhancing Data Quality	71
3. Improve Compliance with Regulations Based on Better Information	76
4. Reduce Maintenance, Repair, and Operations Costs by Standardizing Asset Nomenclature	78
5. Establish an Information Governance Organization	80
Summary	82

Chapter 6: Retail	83
1. Optimize Marketing Spend by Establishing a Single View of the Customer	84
2. Improve the Accuracy of Product Data to Support Cross-Channel Merchandising	89
3. Enhance the Reliability of Vendor Information	98
4. Safeguard Sensitive Information	100
5. Improve the Quality of Information Regarding Store Location	100
6. Establish an Information Governance Organization	101
Summary	103
Chapter 7: Travel and Transportation	105
1. Obtain Executive Sponsorship and Identify Critical Stakeholders to Establish a Single View of the Passenger, Traveler, and Guest	106
2. Identify Stakeholders and Establish the Business Case for a Single View of Business Customers	107
3. Protect Sensitive Passenger, Traveler, and Guest Data	108
4. Improve the Reliability of Data for Operations	109
5. Improve the Trustworthiness of Data for Revenue Management	110
6. Define a Common Hierarchy for Inventory and Consumables	110
7. Improve the Quality of Location Data	111
8. Standardize Asset Data Across the Enterprise to Support Core Maintenance and Operations	112
9. Improve the Quality of Employee Data	113
10. Establish an Information Governance Organization	114
Summary	115
Chapter 8: Government	117
1. Cross-Agency: Ensure the Security and Privacy of Sensitive Data	118
2. Cross-Agency: Reduce Costs Through Application Consolidation, Retirement, and Data Archiving	119
3. Cross-Agency: Drive Consistency of Data Definitions	120
4. Cross-Agency: Establish an Information Governance Organization	121
5. HHS: Prevent Waste, Fraud, and Abuse	123

6. HHS: Improve the Quality of Data to Support Citizen-Centric Initiatives	124
7. HHS: Establish an Enterprise Master Patient Index and Support HIEs	125
8. Security: Link Fragmented Data Across Silos to Establish Relationships Between Entities	126
9. Defense: Facilitate a Consistent View of Active-Duty Personnel Across Silos	129
10. Defense: Enhance Veterans' Quality of Life by Improving Data Quality and Establishing a Common Identifier Across Silos	130
11. Defense: Reduce the Cost of Managing Assets via Consistent Governance and Naming Conventions	131
12. Education: Establish a Single View of the Student to Monitor and Improve Education Quality	132
13. Education: Establish an Information Governance Organization to Improve the Reliability of College Data	133
Summary	134
Chapter 9: Oil and Gas	135
1. Improve the Quality of Underground Data Throughout the Lifecycle	138
2. Standardize Equipment Data and Ensure Common Nomenclature for Assets, Equipment, and Parts	139
3. Govern the Accounting of Energy Reserves	140
4. Govern the Process of Hydrocarbon Accounting	140
5. Govern Vendor Data	141
6. Govern Product, Customer, and Asset Data for Downstream Operations	141
7. Improve the Quality of Data for Health, Safety, and Environment Purposes ..	142
8. Improve Compliance with Regulatory Requirements	143
9. Establish an Information Governance Organization	143
Summary	145
Chapter 10: Telecommunications	147
1. Improve the Overall Customer Experience by Establishing a Single View of the Customer	149
2. Support Product Standardization Initiatives Across the Enterprise	152
3. Enhance Performance Management, Capacity Planning, and Location-Based Services by Increasing Data Reliability	154

4. Reduce Costs Through More Efficient Management of Information	157
5. Support Revenue Assurance Initiatives by Improving Data Quality	157
6. Secure Access to Sensitive Data	158
7. Establish an Information Governance Organization	159
Summary	161

Chapter 11: Utilities 163

1. Establish Policies to Leverage, Optimize, and Secure the Data from Smart Meters	164
2. Improve Asset Data Relating to Attributes Such as Location, Condition, and Geospatial Information	165
3. Reduce Mailing Costs by Improving the Quality of Customer Billing Addresses	170
4. Improve the Efficiency of Crew Management and Scheduling Through More Trusted Data	170
5. Enhance the Trustworthiness of Information to Support Regulatory Compliance	171
6. Establish an Information Governance Council	174
Summary	175

PART 2 – BEST PRACTICES BY JOB FUNCTION 177

Chapter 12: Sales and Marketing 179

1. Improve Market Segmentation with Better-Quality Customer Data	179
2. Establish a Customer Integration Department to Develop a Single View of the Customer	180
3. Leverage High-Quality Data Sets to Improve the Effectiveness of Marketing Campaigns	184
4. Manage Customer Duplicates and Householding to Reduce Marketing Spend	186
5. Observe Copyright and Privacy Restrictions while Harnessing Social Media to Gain Consumer Insight	188
6. Improve Sales Productivity Based on the Availability of Clean Customer Data	190
Summary	192

Chapter 13: Finance	193
1. Support the Controller with a Consistent Chart of Accounts	194
2. Enhance the Accuracy of Information for Regulatory Compliance	195
3. Improve the Trustworthiness of Information for Budgeting and Planning	196
4. Increase the Quality of Information for Risk Management	197
5. Support Purchasing with Better Quality Information about Vendors	198
Summary	199
Chapter 14: Information Technology Operations	201
1. Engage with the VP of Applications to Retire Legacy Applications but Retain Access to Underlying Data	202
2. Work with the VP of Applications to Reduce Storage Costs Through an Archiving Strategy	202
3. Ensure Trusted Data when Consolidating Applications, Data Warehouses, Data Marts, and Data Stores	204
4. Support the VP of Testing by Automating the Creation of Test Data Sets	205
5. Work with the Enterprise Architecture Team to Enforce Consistent Information Architecture Standards	207
Summary	208
Chapter 15: Information Security and Privacy	209
1. Understand the Business and Regulatory Drivers for Information-Centric Security and Privacy	211
2. Ensure Participation by the Appropriate Security and Privacy Stakeholders in Information Governance	213
3. Discover Sensitive Data; You Cannot Protect What You Do Not Know Exists	214
4. Encrypt Sensitive Data-at-Rest and Data-in-Motion	214
5. Implement Database Monitoring to Monitor Unauthorized Access by Privileged Users	215
6. Implement Database Monitoring to Prevent Cyber-Attacks, Including SQL Injection Attempts	218
7. Protect Sensitive Data Within Unstructured Content on File Systems and Content Management Platforms	219

8. Monitor Applications for Fraud	219
9. Protect Sensitive Data Within Non-Production Environments	220
10. Implement a Sound DLP Strategy as the Last Line of Digital Defense	221
11. Maintain Identity- and Access-Based Authentication, Authorization, and Audit Facilities	221
12. Implement Security Information and Event Management	222
13. Implement Intrusion Detection	223
Summary	223
Chapter 16: Human Resources	225
1. Ensure Sound Information Governance Around Employee Type	226
2. Update Job Classification Codes on a Timely Basis as a Critical Input for Workforce Analytics	226
3. Improve the Quality of Employee Location Data	227
4. Safeguard the Security and Privacy of Employee Information	227
5. Establish Policies for the Use of Social Media Analytics Related to Employees and Job Candidates	228
6. Improve the Reliability of Effective Dates for HR Transactions	228
Summary	228
Chapter 17: Legal and Compliance	229
1. Define Clear Objectives for the Information Lifecycle Governance Program	231
2. Treat Legal Holds as an Enterprise Process Rather than a Legal Department Task	234
3. Conduct a Maturity Assessment against Key Information Lifecycle Governance Processes	235
4. Support the Records Management Department with a Sound Records Management Strategy	239
5. Support Compliance with Industry- and Country-Specific Regulations	241
6. Support Compliance and Legal with Information Governance over Internal Audit Management	243
Summary	243

Chapter 18: Operations	245
1. Standardize Nomenclature and Improve the Quality of Asset Data to Reduce Expenditure and Costs	246
2. Improve the Quality of Data for Crew Scheduling	250
3. Enhance the Privacy of Sensitive Customer Data Within Customer Service Environments	250
4. Improve Operational Efficiencies with Better Customer Data	251
Summary	252
Chapter 19: Supply Chain	253
1. Improve the Reliability of Information for Sales and Operations Planning	254
2. Enhance the Trustworthiness of Materials Information to Improve Throughput and Performance	256
3. Govern Vendor Information to Support Pricing Negotiations, Contract Renewals, and Scorecarding	258
4. Improve the Quality of Information to Support Eco-sustainability Challenges	259
Summary	259
Chapter 20: Product Management	261
1. Speed Up New Product Introductions Based on Standardized Workflows in the PIM Solution	262
2. Increase Productivity, Enhance Sales, and Reduce Out-of-Stocks Based on Better Product Information	264
3. Facilitate Country-Specific Localization and Micro-Merchandising with a PIM Solution	265
4. Standardize Product Data and Hierarchies to Support Consistent Reporting and Analytics	265
5. Establish Rules of Visibility to Sensitive Product Information, Based on User Roles	266
6. Improve the Quality of Product Data to Support Regulatory Compliance	266
7. Improve the Quality of Product Data to Enhance the Customer Experience ..	267
8. Create Workflows to Automate the Approval of Product Business Rules	267
Summary	268

PART 3 – CROSS-INDUSTRY BEST PRACTICES AND TOOLS 269

Chapter 21: Roles and Responsibilities 271

1. Establish a Multi-Tier Structure for Information Governance	272
2. Formalize the Charter for the Information Governance Program	276
3. Configure Data Stewardship by IT System, Organization, Master Data Entity, or a Combination	278
4. Appoint a Chief Data Officer to Manage the Trustworthiness of Information, Enterprise-Wide	281
5. Leverage Job Descriptions for Key Information Governance Roles	283
6. Establish Business Intelligence Competency Centers	287
Summary	290

Chapter 22: Metrics 291

1. Work with Business Stakeholders to Identify Critical Data Elements for Information Governance	292
2. Develop a Scorecard to Monitor the Information Governance Metrics	294
3. Appoint Data Stewards Accountable to the Information Governance Council for Improving Metrics Over Time	295
4. Regularly Refresh the Information Governance Scorecard Based on Progress and Business Needs	296
Summary	296

Chapter 23: Metadata 297

Business Metadata 298

1. When Scoping the Business Glossary, Start Small	300
2. Jumpstarting the Business Glossary with an Existing Set of Terms Is Preferable to Starting from Scratch	300
3. Manage the Lifecycle of Business Metadata	301
4. Assign Data Stewards from the Business to Maintain the Business Glossary	302
5. Maintain a History of Definitions for Terms	302
6. Improve the Use of the Business Glossary by Making It Active, Not Passive	304
7. Link Business Terms with Technical Artifacts	305

Data Discovery	305
8. Discover Legacy Schemas by Reverse-Engineering Primary-Foreign Key Relationships	305
9. Identify the Location of Sensitive Data in Each Source	306
10. Discover the Data Lineage and Complex Transformation Logic between Sources	306
11. Discover Data Inconsistencies and Exceptions	308
Technical Metadata	308
12. Leverage Metadata to Ensure the Appropriate Data Lineage	309
13. Leverage Metadata to Support Impact Analysis	310
Other Metadata	312
14. Manage Operational Metadata	312
15. Manage Analytical Metadata	313
16. Establish the Appropriate Roles to Manage Metadata	315
17. Develop a Business Case to Support Metadata	316
Summary	317
Chapter 24: The Maturity Assessment	319
1. Conduct an Information Governance Maturity Assessment	319
2. Scope the Information Governance Maturity Assessment to a Manageable Size	324
3. Leverage a Standardized Questionnaire to Conduct the Information Governance Maturity Assessment	325
Summary	331
Chapter 25: The Business Case	333
1. Align the Business Case for Information Governance to Strategic Corporate Initiatives and Key Stakeholders	334
2. Identify the Top-Level Business Benefits of Information Governance	334
3. Identify the Detailed Business Benefits of Information Governance	335
4. Define Key Performance Indicators to Quantify the Business Value of Information Governance	335

5. Determine the Impact of an Improvement in Information Governance Maturity on the KPIs	336
6. Prioritize Information Governance Projects Based on Relative Business Value	337
Summary	342
Chapter 26: Information-Centric Applications and Information Governance Software Tools	343
Information-Centric Applications That Benefit from Information Governance	344
Business Intelligence and Performance Management	344
Analytics	344
Enterprise Resource Planning	345
Enterprise Asset Management	346
Marketing Automation	346
Information Governance Software Tools	346
Enterprise Architecture	346
Data Modeling	346
Data Discovery and Profiling	346
Data Quality	347
Metadata	348
Information Lifecycle Management	348
Security and Privacy	350
Master Data Management	352
Reference Data Management	356
Summary	357
Appendix A: List of Acronyms	359
Appendix B: Glossary	365
Appendix C: Adviser Profiles	383
Appendix D: Contributor Profiles	385
Index	393