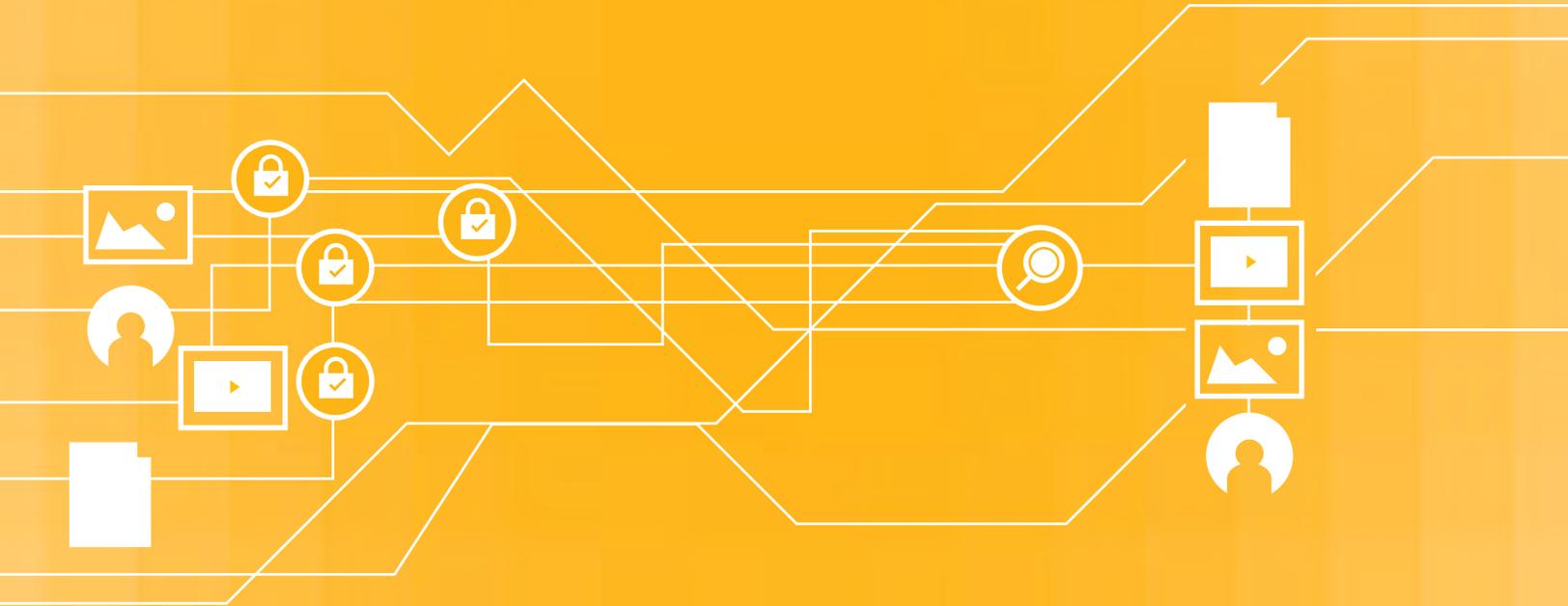


WHY YOU NEED AN INFORMATION GOVERNANCE STRATEGY

INDUSTRY PERSPECTIVE



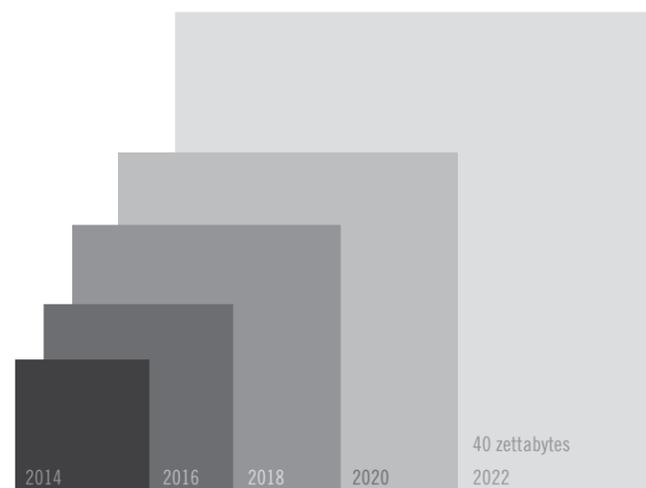
EXECUTIVE SUMMARY

Organizations worldwide are feeling the pressure of the information explosion. Data is doubling every two years and is estimated to reach an astonishing 40 zettabytes by 2022. What's more, the growing variety of data has introduced tremendous complexity for public managers seeking to streamline their organizations' ability to access and use information. Finally, the Presidential Records Management Directive mandates that federal agencies manage records in an accessible electronic format by 2019 and all e-mail by 2016.

The goal of this report is to illustrate why public-sector organizations must adopt an effective and robust information governance plan. Having such a plan is essential not only to meeting compliance, but also to improving efficiency and security and to helping the government more effectively meet its mission. Leveraging resources from GovLoop and Symantec, this industry perspective will:

- » Define information governance and related components.
- » Identify challenges agencies face in creating an information governance plan.
- » Share information governance best practices.
- » Provide a case study from the Environmental Protection Agency (EPA).
- » Demonstrate Symantec's role in helping agencies deploy information governance programs.

It's no easy task, but the implementation of an effective information governance strategy is critical to agency performance. Proper information governance and document management strategies can affect everything from Freedom of Information Act (FOIA) requests to eDiscovery initiatives — and it helps build a more transparent and effective government.



The amount of data is doubling every two years.

WHAT IS INFORMATION GOVERNANCE?

Information governance is the process of retaining, securing and analyzing data. **The goal** is to deliver a common view across business, legal and information technology frameworks, enabling organizations to balance information control and freedom. Achieving this goal isn't so simple, however, and involves multiple components, including:

STORAGE & ARCHIVING	RECORDS MANAGEMENT	COMPLIANCE
RISK MANAGEMENT	SECURITY	E-DISCOVERY

All of these are significant, and together they form the foundation of an effective information governance plan.

"There are two main drivers that are pushing agencies toward improved information governance strategies," said Tom Kennedy, Vice President of Public Sector Information Management at Symantec. "The first is the fact that the government is held to a higher standard than ever before. Everything they do is for the taxpayer and everything needs to be completely transparent with their business. The second driver is that now there have been many policies and mandates coming out of the White House, National Archives and Records Administration, and Office of Management and Budget that are emphasizing the importance of properly managing records."

One example comes from a **memo** that President Barack Obama sent to all heads of executive departments and agencies in November 2011. It encourages them to reform their records management policies and practices. Obama said:

"Modernized records management will help executive departments and agencies minimize costs and operate more efficiently. Improved records management thus builds on Executive Order 13589 of November 9, 2011 (Promoting Efficient Spending), which directed agencies to reduce spending and focus on mission critical functions."

When records are well managed, agencies can use them to assess the impact of programs, to reduce redundant efforts, to save money, and to share knowledge within and across their organizations. In these ways, proper records management is the backbone of open Government.



— President Barack Obama

Despite the urgency, not all agencies are prepared to meet these high standards. For example, many organizations' e-discovery efforts are reactive, frustrating and disruptive. According to a recent Symantec report, "When legal and regulatory teams are required to perform electronic discovery and quickly find a needle in the haystack, it has become nearly impossible to efficiently get data in and out of systems without a seemingly never-ending stream of errors." Agencies may be caught unprepared and put under intense pressure as they face tight deadlines, increasing costs and potential penalties if they're unable to produce relevant information. Consequently, e-discovery practitioners need a better approach for managing all of this jumbled data.

An information governance plan that uses Symantec **eDiscovery technology** helps free IT departments from the burden of digging through e-mail archives, file servers and other data repositories when information is needed and/or requested.

Understanding this need, it is estimated that by 2018, **25 percent of organizations** will manage their unstructured data using information governance and storage management policies, up significantly from 1 percent in 2013.

One agency — EPA — has already started to more effectively manage its records to improve agency performance.

IMPROVING THE EFFICIENCY OF FOIA AT EPA

EPA's mission is to protect human health and the environment. To accomplish that, officials must be able to provide information and data to researchers, policymakers and citizens when they need it. This means the agency must have a well-defined information governance plan in order to share documents, process FOIA requests and capitalize on the data the agency collects.

Recently, GovLoop spoke with Renee Wynn, Acting Chief Information Officer and Acting Assistant Administrator of EPA's Office of Environmental Information, about the agency's information management strategies.

"One of the things that I have come to really appreciate is that information is a strategic asset," Wynn said. "[The EPA] needs to be about knowledge on demand — information when you need it, where you need it, regardless of device, with known quality parameters and appropriate security measures."

This philosophy underscores the efforts that EPA has made to improve the way it processes FOIA requests. In fiscal year 2013, EPA received more than 9,900 FOIA requests and processed 9,100. Each request tends to be unique and often very complex, making the procedure for responding long and laborious for employees. Still, responses serve as an essential function of an open and transparent democracy.

"Once all the information is gathered to respond to a FOIA request, you then need to spend time going through all that information and making a decision about what is responsive and what can be released under FOIA," Wynn said. "And that's where the complex FOIAs come in. You can end up with a lot of documents and a lot of e-mails in order to try and be responsive to that FOIA request. And that just really takes time."

To expedite this process, EPA stood up a centralized e-mail search in its Microsoft Outlook e-mail system. Within the feature, employees can define search teams, identify individuals and send one batch of information to employees, so they get everything collectively at one time.

"This has been very successful," Wynn said. "We have to market it some more within the agency so more people know about it, and we have to do some thinking to see where we can apply that process to potentially all electronic responsive material."

The bottom line, Wynn said, is there's no quick fix to information governance. Plans take time and persistence to hash out.

"Understand your business, have partners that you can work with and look at your program as bite-size pieces so you can have some successes," Wynn said.

This is one of those things that you have to persevere with. This is not a 'one and done,' so you've got to be prepared for the long haul. [...] have a vision for what you want to do and know that you're going to have to get into the details associated with making that vision come true. That's where the perseverance piece comes in.

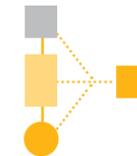


— **Renee Wynn,**
Acting Chief Information Officer, Acting Assistant Administrator, EPA's Office of Environmental Information

CHALLENGES

With concerns related to compliance, security and organization effectiveness, the need for an information governance plan is evident. Creating and implementing this plan, however, requires time, resources and collaboration. Below, we examine some of the challenges public agencies face in this effort.

Defining Information Governance



First and foremost, agencies must understand what information governance and records management mean for them. "One of the challenges is that records management is a really broad term," Kennedy said. "If you look at it and go to the grassroots of records management, it truly is document management. The world is changing and pretty much all documentation is moving to an electronic format, but our government still has a ton of hard copy documents as well." Consequently, even if officials understand the shift toward digital management, plenty of agencies are still using outdated print-and-file methods.

Funding



Agencies are also dealing with inadequate funding to support information governance programs. Although they often appreciate the mandates calling for more effective records management, they also need to see additional funding to support those mandates. At the same time, better management will reduce storage and archival costs — an important factor for budget-strapped agencies to consider.

Data Ownership Among Stakeholders



Additionally, information governance involves many stakeholders and requires a full-team, collaborative effort. "On an IT project, there are myriad users of the data, and often, having clarity over who owns what and who can enforce the overall information strategy can be a challenge," Kennedy said.

Resistance



A final roadblock is cultural resistance because teams have trouble moving away from traditional processes. The Federal Records Act has been around since 1950 and is largely still intact today. But the key for organizations is to express how improved information governance can lead to more effective workforces and make employees' jobs easier — by automating tasks and processes, for example.

BEST PRACTICES

If your agency is still using print-and-file methods, it's time to leverage technology to improve how you manage your information. "Sometimes a challenge is just knowing where to start, which can be an overwhelming issue for government, especially with so many different sources of data," Kennedy said.

To help your agency get started, we talked with Symantec to compile the following best practices:

- » **Start Small**
Kennedy suggested starting small and breaking down the process into digestible chunks of the larger end goal. Understanding your agency's final objective is critical so you can build on the successes of each step and measure your progress. Furthermore, by defining the process, your agency can create repeatable, scalable and documented procedures that are then communicated and iterated to your team over time.
- » **Don't Just Retain**
For information governance, Kennedy said the end goal should be a system that can manage, secure and discover records. He emphasized the importance of "not just being able to retain, but also recalling [records] efficiently." This is a major distinction. There is very mature archiving technology available today that can help you easily enforce an automated retention policy with email and other unstructured content.
- » **Automation**
Another key feature is the ability to automate some of these business processes. For example, Kennedy worked with an agency that retained every single document. Automation can help with "defensible deletion," removing unnecessary files when they're no longer needed legally or operationally. By augmenting your process with technology, you can more easily manage your records and significantly reduce storage costs.
- » **People**
Identify key stakeholders and define roles and responsibilities. Information governance acts as a rallying cry to get these stakeholders to work together toward addressing this objective, Nelson said.
- » **Policy and Process**
Review your agency's current process, identify gaps and prioritize your risks and costs — you can't solve everything all at once. After this, Nelson said, create or revise policies accordingly, train employees and enforce compliance.
- » **Technology**
Invest in tech solutions that protect, manage and discover data efficiently and defensibly. Nelson echoed Kennedy in emphasizing the importance of automating processes. Moving away from manual processes minimizes the risk of human error and also simplifies and increases the speed of information management. Making use of technology can also facilitate better visibility into your agency's mountains of data.

We also spoke with Matthew Nelson, Attorney and Information Governance Authority at Symantec. He said effective information governance is all about having the right people, policies and technology so an organization can maximize the value of its information assets and minimize the risk of mismanaging those assets.

SYMANTEC'S ROLE

Symantec has a suite of products to improve information governance. It covers simple elements such as enforcing a retention policy and more complicated ones such as advanced analytics (helping understand what you have) and the discovery process, which entails document collection, analyzation, filtering and production of relevant files. Symantec also integrates its services across these products to improve the process for the whole information governance life cycle, Kennedy said.

For help with establishing effective information governance, Nelson cited Symantec's three core objectives: protect, manage and discover.

PROTECT

It is essential to safeguard critical government and public information assets from theft and loss. In a Symantec survey of public employees, the number one area of concern was cybersecurity and protecting data. This is not unfounded. Symantec referenced a recent [Government Accountability Office study](#) that found that agencies reported 25,000 data breaches involving personally identifiable information in 2013.

MANAGE

Your agency must properly manage public record retention and disposal requirements to maintain compliance with recordkeeping mandates and initiatives. This should include archiving, backup and disaster recovery strategies.

DISCOVER

The ability to uncover electronically stored information (ESI) for litigation, investigation, audits, FOIA requests and normal operations is key. Finding pertinent information can be time-consuming and expensive, but it must be done. Symantec referenced a 2012 [RAND study](#) that estimated the cost of reviewing a single gigabyte of data to be \$18,000. And with hundreds of thousands of FOIA requests per year, you can see how the costs quickly add up.

To explore in further detail, we'll examine three specific service features from Symantec: Data Insight, Enterprise Vault Archiving and eDiscovery.

- » **Data Insight**
A significant portion of the information explosion is comprised of unstructured data. Symantec Data Insight helps organizations better manage that data to increase operations efficiency and reduce costs and risk through actionable intelligence into data ownership, usage and access controls. As a [Symantec report](#) explains, the reporting, analytics and visualization capabilities of Symantec's Data Insight "shine a light on data by giving organizations an understanding of what data exists, how it is being used, who owns it and [who] has access to it." This insight also creates a detailed audit trail to help agencies document confidentiality and integrity of data access for compliance.
- » **Enterprise Vault Archiving**
Enterprise Vault, the industry leader in archiving, enables organizations to efficiently store, effectively manage, and easily discover and retrieve unstructured information as needed for business. As the industry's most widely-deployed on-premise enterprise archiving solution, Enterprise Vault helps customers eliminate duplicate copies of information at the source. It also reduces operational costs, manages organization-wide retention and information governance policies and controls the costs of compliance and litigation support. Symantec has been named a Leader in the Gartner Magic Quadrant for Enterprise Information Archiving for 11 straight years.
- » **eDiscovery**
Electronic Discovery, or eDiscovery, digs through data archives to find ESI for litigation or other requests. Symantec's [eDiscovery Platform](#) solution improves accuracy and lowers costs of the electronic discovery process. The platform introduces a dramatically improved production engine that significantly accelerates how fast customers can complete the eDiscovery process. Additionally, it lets users more quickly identify individual items that may be relevant for a specific matter. A key part of Symantec's eDiscovery Platform is its transparent predictive coding feature, which improves the productivity of legal and IT workers with an intuitive interface that is easy to use with minimal training. Furthermore, it has been found to reduce the time of attorney document review and [cut review costs by up to 98 percent](#).

CONCLUSION

With swelling volumes of data and increasing standards, the ability to effectively manage your agency's information is no longer a luxury, but a necessity. From basic records management and storage to advanced predictive coding, it is essential to deploy solutions that properly manage information and documents. With effective vendor solutions such as those from Symantec, your agency can generate cost savings, increase organizational performance and maintain legal compliance.

ABOUT SYMANTEC

Symantec protects the world's information, and is the global leader in security, backup and availability solutions. Their innovative products and services protect people and information in any environment — from the smallest mobile device, to the enterprise data center, to cloud-based systems. Their industry-leading expertise in protecting data, identities and interactions gives their government customers confidence in a connected world. More information is available on [Symantec's GovLoop Page](#).



ABOUT GOVLOOP

GovLoop's mission is to "connect government to improve government." We aim to inspire public-sector professionals by serving as the knowledge network for government. GovLoop connects more than 150,000 members, fostering cross-government collaboration, solving common problems and advancing government careers. GovLoop is headquartered in Washington, D.C., with a team of dedicated professionals who share a commitment to connect and improve government.

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