

MEASURING
ENTERPRISE
INFORMATION
GOVERNANCE
MATURITY WITH
IGHEALTHRATE™







INTRODUCTION

ORGANIZATIONS TODAY STRUGGLE TO REALIZE THE TRUE BENEFITS OF INFORMATION GOVERNANCE (IG). A LACK OF MATURITY IN IG PRACTICES AND CAPABILITIES CAN LEAD TO INCREASED RISK AND COSTS.

WITH ROBUST IG, ORGANIZATIONS CAN ACHIEVE THEIR STRATEGIC GOALS, ACCOMPLISH DIGITAL TRANSFORMATION, MITIGATE RISK AND REDUCE COSTS.

 **62%** OF ORGANIZATIONS SAY THEY STRUGGLE AGAINST A KEEP-EVERYTHING CULTURE.

IG BENCHMARKING REPORT, ARMA | COHASSET

 **45%** OF ORGANIZATIONS SAY THEIR C-LEVEL EXECUTIVES ARE “NOT ENGAGED AT ALL” OR ONLY “SOMEWHAT ENGAGED” WHEN IT COMES TO INFORMATION GOVERNANCE, DESPITE ITS STRATEGIC IMPORTANCE.

AIIM, BEST PRACTICES FOR AUTOMATING IG

 **52%** OF A COMPANY’S DATA IS “DARK”, MEANING THAT NO VALUE HAS BEEN ASSIGNED TO IT.

VERITAS, DARK DATA

There are many competing pressures at play right now. You're dealing with shrinking IT budgets and the need to make IT upgrades and investments. **You need to continue to manage** information in both physical and digital forms and move away from an overdependence on paper and physical records.

The increasing focus on data science, analytics and artificial intelligence makes the stakes even higher to ensure data quality and integrity.

To overcome these challenges and successfully launch digital transformation projects, you need IG.

IG establishes a framework and set of controls used to manage information in all forms throughout its lifecycle. This allows your organization to get the most value from your data while also ensuring its integrity and security.

However, these initiatives are only possible if your organization can securely and consistently share trusted information in a usable and actionable format. In order to achieve this, you need to apply strategies in the following areas:

- > **Information Governance:** the “rules of the road” for how the organization intends to manage its information assets.
- > **Information interoperability:** the ability of two or more systems to exchange and use information.
- > **Enterprise lifecycle management:** management of the range of information assets, physical and electronic, across the enterprise including design, acquisition, processing use and disposition.
- > **Information and data quality:** methods for assessing and improving the quality of data and information with quality defined as validity, accuracy, completeness and timeliness.



IG is an approach to managing information through processes, roles, controls and metrics to collect, organize, utilize and secure data. This includes managing information throughout its lifecycle and supporting your organization's strategy and operations, along with regulatory, legal, risk and environmental requirements.

Having reliable and trusted information is more important than ever before. It's vital to providing quality products and services, and necessary to keep up with evolving and increasing customer expectations, changing security risks and legal and regulatory demands.

IG helps organizations achieve:

- > operational effectiveness
- > regulatory compliance
- > cybersecurity
- > cost efficiency
- > data quality and integrity



AN IG PROGRAM SHOULD ESTABLISH ENTERPRISE-WIDE POLICIES, PROVIDE STANDARD PROCESSES, AND PROTECT INFORMATION WITH APPROPRIATE CONTROLS.

Before you begin your IG journey, you must assess the present state of IG maturity. From there, a thoughtful, strategic plan, including a step-by-step approach toward a mature IG adoption model. *Iron Mountain's Enterprise Information Governance (EIG) framework* helps you with this self-assessment and provides the guidance and tools to help your organization reach IG maturity.



WHAT IS EIG AND HOW DOES IT WORK?

Iron Mountain's Enterprise Information Governance (EIG) is a framework that offers a comprehensive and flexible approach to IG and helps you cost-effectively:

- > **govern all types of information, independent of format/location, in a consistent and coordinated manner**
- > **secure information across its lifecycle and your organization's ecosystem, including data and IT governance**
- > **address data privacy and integrity, ensuring compliance while allowing you extract the most value from the information**

This organization-wide framework helps you manage and leverage information as a strategic asset throughout its lifecycle in order to support strategy, regulatory, legal, risk and environmental requirements. Iron Mountain's EIG framework is enabled by the IGHealthRate™ assessment tool. It comprises 10 organizational competencies and 85+ indicators critical in understanding and advancing IG maturity across your organization's ecosystem.

is a purpose-built assessment and measurement platform for IG adoption and maturity. It maps your current IG practices, processes and policies against the EIG framework to a five index rating scale to help you assess and evaluate how information is created, used, managed and secured across your organization. You'll gain greater insight into your current capabilities and establish a baseline for pursuing and measuring meaningful improvement.

With the help of IGHealthRate™, you'll take a crucial first step in understanding and advancing your IG maturity so you can leverage information as a strategic asset to:

- > **improve client outcomes**
- > **deliver data-driven decision-making**
- > **mitigate compliance and security risks**
- > **leverage operational and transactional information for analytics and insights**
- > **streamline business processes, improve productivity and reduce operating costs**

Completing the assessment will help you not only identify your organization's state of IG maturity, it will also help you prioritize your IG agenda, and identify gaps in your IG practices so that you can determine high risk areas and prioritize to strategically ensure risk avoidance.

THE 10 COMPETENCIES OF IGHEALTHRATE™

The 10 competencies are an important part of the IGHealthRate™ assessment process and crucial in helping you not only gauge your organization's IG maturity but also identify gaps and areas of vulnerability that need to be addressed.

The 10 competencies the IGHealthRate™ assessment will measure your organization against include:

- 1 **IG Structure**
- 2 **Strategic Alignment**
- 3 **Enterprise Information Management**
- 4 **Privacy and Security**
- 5 **Legal and Regulatory**
- 6 **Data Governance**
- 7 **IT Governance**
- 8 **Analytics**
- 9 **IG Performance**
- 10 **Awareness and Adherence**

These competencies address your organization's programmatic structures for the adoption, implementation, and development of IG. Organizations of all types and sizes will find utility and applicability in this model. Furthermore, the flexibility and scalability promotes a natural progression of improvement and maturity.



COMPETENCY #1: IG STRUCTURE

In order to achieve any of the benefits IG can provide to your organization – including improving patient outcomes, mitigating security and privacy risks, and achieving integrated system of care objectives, for example – a structured approach to IG is needed. Technology and services are only one part of that equation. You must also address the organizational and programmatic structures to ensure adoption, implementation and development of IG, and tie together the areas of enterprise information management (EIM), data governance (DG) and IT governance (ITG). The successful implementation of IG requires accountability and decision-making as well as obtaining support from leadership.

An executive sponsor, an IG leader (for example, a chief information governance officer or chief data science officer), as well as some kind of an oversight committee such as an IG executive committee are crucial components to IG success.

Furthermore, maintaining a successful IG program also requires oversight and mechanisms for decision-making as well as accountable leaders who will ensure the development and stewardship of your organization's information assets.

The maturity markers for the IG structure competency include:

Executive sponsorship for IG is formally established and communicated throughout the organization.

A qualified IG leader is leading the IG program.

Trained staff, a team of professionals, are dedicated to IG.

An **IG oversight committee** is the organization's source of guidance for strategic direction for the enterprise-wide IG program.

IG policies, program and purpose are aligned with goals for the organization's strategic use of information.

Integration of key program structures including EIM, DG and ITG to facilitate the optimal use and management of information for business purposes.

IG roles and responsibilities are formally documented and operationalized at all levels of the organization.

Funding, both operational and capital funds, are allocated to support the IG program.





COMPETENCY #2: STRATEGIC ALIGNMENT

Strategic alignment takes stock of information at every stage of the lifecycle and addresses both internal and external use. Since information is an organizational asset, strategic alignment is necessary in order to realize the information's full value. This means ensuring information is used in a way that is aligned with an organization's mission, vision, values, and strategies; whether that information is being used internally or externally.

This competency addresses the planning and coordination of all information-related activities and the planning for information management. Strategic alignment will also support a data-driven culture and ensures employees at all levels have access to the information needed to make decisions.

The maturity markers for the strategic alignment competency include:

IG is aligned with organizational strategy including the organization's mission, vision and goals.

Information use is a strategic asset that supports informed, timely decision-making to the benefit of the organization, customers and stakeholders.

Consumer-centric information enablement and engagement is done through clear, accessible and trustworthy information.

Social media policies and management protects confidential information from use on social media.

COMPETENCY #3: ENTERPRISE INFORMATION MANAGEMENT

Enterprise information management (EIM) is one of the core competencies of IG. EIM encompasses policies and processes for managing information across the organization as well as managing information throughout all phases of its lifecycle.

This competency focuses on the tactical implementation of key functions such as information access, security, confidentiality, information integrity and quality, information design and capture, content and records management, and information analysis. This applies to the use of information throughout and within all the departments of the organization as well as the organization's partners.

Furthermore, EIM has an impact on legal and evidentiary needs, regulatory compliance, business and contractual use of information, and coordination of care.

For these reasons, EIM is the backbone for trustworthy, usable, relevant, timely and accurate information as well as for interoperability and trusted information exchange.

The maturity markers for the EIM competency include:

EIM must be established and applied to all types of information, whether physical or digital, on all media formats.

Records and information classification in all forms and formats are organized across the organization.

Information asset inventory is needed of the organization's records and information should be documented and kept up-to-date.

Organization-wide storage management policies and protocols are in place and being implemented.

Retention and disposition management practices are implemented organization-wide.

Long-term digital preservation program or strategy is fully defined and implemented by the organization to ensure digital information of value remains accessible and usable.

Identity management practices are in place and extend to external partners. These practices include a master patient index, provider index, employee records and other key identities across the organization.

Information exchange and sharing are established as formalized practices to ensure information is shared and exchanged with appropriate and authorized parties.

Formalized practices to ensure authentic, reliable, timely and accurate information is being shared.

COMPETENCY #4: DATA GOVERNANCE

Data governance (DG) is also one of the core programmatic structures of IG. With data volume and variety rapidly increasing across all industries, data is also becoming increasingly recognized as a strategic asset. However, in order to capitalize on data as a strategic asset, people need to be able to access accurate, complete data.

DG provides the design and execution of data planning for data needs and data quality assurance in concert with the strategic information needs of your organization.

DG supports a data-driven decision-making culture. Your organization will benefit from a structured approach to governing enterprise data throughout its lifecycle because it builds trust in data and information.

Establishment of a DG program with accountabilities, policies and practices to ensure the availability and quality of the organization's data on all types of media.

Business process data ownership is established and practiced throughout the organization and in each business unit.

Effective use of data stewards for appropriate management of data assets.

Master data management is implemented enterprise-wide in order to define and manage critical data and provide a single point of reference for master data across the organization and in all systems.

Data classification should be established and implemented across the entire organization in order to create a formalized structure for grouping, documenting and tracking data.

Data quality management accountabilities and practices are established to ensure that data meets required quality characteristics and the needs of the organization.

Metadata management practices should be established, continuously monitored and evaluated to ensure alignment with business needs and regulatory requirements.

DG policies and procedures should be clear and well-defined throughout the organization. This will help ensure data quality, metadata management, master data management and data classifications.

COMPETENCY #5: INFORMATION TECHNOLOGY GOVERNANCE

Information technology (IT) governance provides a formal structure for measuring the connection between IT investment and expected results from implemented technologies. It also helps your organization, and relevant stakeholders, understand measurable results achieved by using certain technologies. For example, how technology has increased efficiency and accuracy, or reduced costs.

IT governance will help your organization align priorities, use best practices when it comes to selection and deployment of technologies, ensure and measure the benefits of IT investments, mitigate risk and more.

An **IT governance** program is established and aligned with the organization's strategy.

An **IT governance framework** is in place to guide IT strategy, execution, risk mitigation and value creation.

The **IT governance scope** is fully institutionalized and measures the program's effectiveness in innovation of information use, care coordination and advances in population health.

A **change management** process is in place and is monitored.

A **business continuity plan** is in place, is based on industry standards, and is integrated into emergency management plans.

A **disaster recovery** plan is in place to enable information recovery and continuity as quickly as possible in the event of a disaster.

A **mobile device management** program is developed, implemented, followed, communicated and monitored.

E-mail policies and management must be developed, implemented, followed, communicated and monitored.



COMPETENCY #6: ANALYTICS

IG programs ensure that all information resources support business goals. Analytics is essential to a mature IG program for this reason because it ensures that data is transformed into accurate, consistent and timely insight. To support decision-making, data needs to be organized and processed in near real-time.

The maturity markers for the analytics competency include:

Analytics aligned with organization strategy, roles and overall mission.

Access to analytics tools ensures information is available to support business decisions across the organization.

Reliability of data for analytics boosts trust in processes and results.

Self-service and ad-hoc reporting capabilities are available to users to speed decision-making, while ensuring compliance and role-based access.



COMPETENCY #7: PRIVACY AND SECURITY

Data privacy and security are crucial for any organization as well as for a mature IG program. Effective privacy and security helps ensure data and information across the organization is protected from breaches, corruption and loss.

An important part of governing information is providing secure and appropriate access to information while remaining compliant with laws and regulations, as well as industry best practices.

The maturity markers for the privacy and security competency include:

Administration safeguards are in place, especially when working collaboratively with external partners.

Technical security safeguards are in place to protect information across the organization, and are routinely audited and monitored.

Physical safeguards and a physical security plan specifically address and protect information.

Information access management policies and technologies ensure users access only the information that is appropriate for their authority and job function.

Information sharing and protections are supported by policies, processes and technologies and implemented across your organization.

Information sharing with business associates is governed by a set of policies, rules, contracts and enabling technologies to ensure information that is accessed, used, maintained, stored and shared is appropriate and secure.

Incident and breach management is implemented across the organization, including a trained incident response team and a proactive monitoring system to prevent privacy and security incidents and breaches.

Security risk assessment and risk management plans are up-to-date and include all information assets and plans for risk remediation.

A process is documented and communicated with regard to sanctioning workforce members for violations of policy regarding access, use, disclosure and destruction of all information in any form(s).

Maturity of a privacy and security program is based on an external model or framework and encompasses a set of certified or accredited best practices.

COMPETENCY #8: REGULATORY AND LEGAL

Compliance with legal and regulatory requirements is an important aspect of any organization's IG program. Part of being compliant also means being able to respond to regulatory audit requests, electronic discovery (e-discovery), legal holds and mandatory reporting requirements.

Legal and e-discovery response should be done in an accurate and timely manner.

Legal hold response should also be done in an accurate and timely manner.

Chain of custody practices and protocols should be well defined, communicated and established.

Regulatory audit response needs to be consistent and done in an accurate and timely manner.

Mandatory reporting should be consistently responded to in an accurate and timely manner.





COMPETENCY #9: AWARENESS AND ADHERENCE

You must ensure your workforce is aware of, and adhering to, IG program principles, processes, practices and procedures. The success of your IG program stems from organization-wide recognition and awareness of the value of IG as well as how it will help your organization accomplish its mission, execute its strategies and achieve its goals.

Provide guidance to the workforce about compliant behaviors with respect to the creation, use, handling, access, sharing, storage, retention and disposition of information. This also includes compliance with any required policies, practices, laws and regulations. Use formal documentation and training to help shift workforce behaviors.

The maturity markers for the awareness and adherence competency include:

Awareness and education program scope includes the enterprise and its partners.

Awareness and education program practices are role-based and delivered via multiple methods.

Workforce awareness and adherence with IG practices is enterprise-wide because there is adequate training related to IG policies, processes and practices, and the workforce understands their responsibilities as it relates to the IG program and compliance.

Dedicated training is provided to data stewards, data owners, champions, leaders and IG analysts.

Employees and even customers are aware of the organization's IG and protection practices.



COMPETENCY #10: INFORMATION GOVERNANCE PERFORMANCE

Monitoring the performance of implemented policies and practices related to IG is key to ensuring you reap the benefits of an IG program. If IG policies and procedures are not being followed or practiced, then the benefits and return on investment of IG will not be fully realized. This competency enables the development of methodology for measuring the performance and impact of an IG program.

The maturity markers for the Information Governance performance competency include:

Performance of IG goals and objectives support the organization's strategic direction.

Measuring IG program effectiveness includes a continuous process for auditing and monitoring the program to gauge the impact and effectiveness.

IG program audit is formalized, risk-based, closed-loop and conducted annually.

IG program compliance management includes clearly defined policies, procedures and measurements, followed consistently to ensure a standardized approach to compliance.

Continuous improvement of IG is an organization-wide, comprehensive process that ensures continuous improvement of the IG program, and includes active remediation and reporting.

Personnel performance metrics and measurements are in place to define responsibilities and accountabilities for IG and incorporated in the performance management process for all members of the workforce.



HCIG CASE STUDY

ACHIEVING COST SAVINGS WITH IG

In 2018, a healthcare organization in the United States invested in IGHealthRate™ in order to help them improve efficiencies as well as save money. As many in the healthcare industry know, this is a challenging task.

However, this US healthcare organization witnessed the power of IG at work with IGHealthRate™.

They focused their IG project on four areas of the healthcare organization:

- **patient identification**
- **retention management**
- **electronic archival**
- **protected health information storage**

The results they got with IGHealthRate™ were significant.

RESULTS

- **Reduction of master patient index (MPI):** The healthcare organization was able to reduce duplicates in their MPI from 8% to 0.2% and save over **\$7 MILLION.**
- **Reduction of storage costs:** They reduced their storage costs and saved **\$100,000 IN ANNUAL COSTS.**
- **Reduction of email archival:** The organization reduced their email archival to 69 days and therefore decreased support costs.
- **Risk mitigation of MPI:** Lastly, with new policies and technologies in place, they were able to mitigate the risk of PHI storage on public drives, mitigating risks of a potential breach.



IGHEALTHRATE CASE STUDY

USING IGHEALTHRATE™ TO IMPROVE IG AUDITING

In 2018, a healthcare organization in the United States identified during the IGHealthRate™ assessment that the ability to consistently audit their Information Governance program was below the acceptable standard. This led their IG Steering Committee to develop an audit approach and checklist to address the following:

- **claims being billed and paid appropriately**
- **correct documentation exists and is made easily available to substantiate claims**
- **quality of care is being delivered to patients**
- **information is secure and managed appropriately throughout its lifecycle**

As a result of this initiative, the impact was immediate and widespread.

RESULTS

- **Easier means to capture audit findings and develop remediation solutions.**
- **Consistency across each business unit reduced risk of non-compliance.**
- **Greater alignment with enterprise IG program objectives and goals, furthering their ability to deliver on critical strategies.**

INFORMATION LIFECYCLE MANAGEMENT AND IG

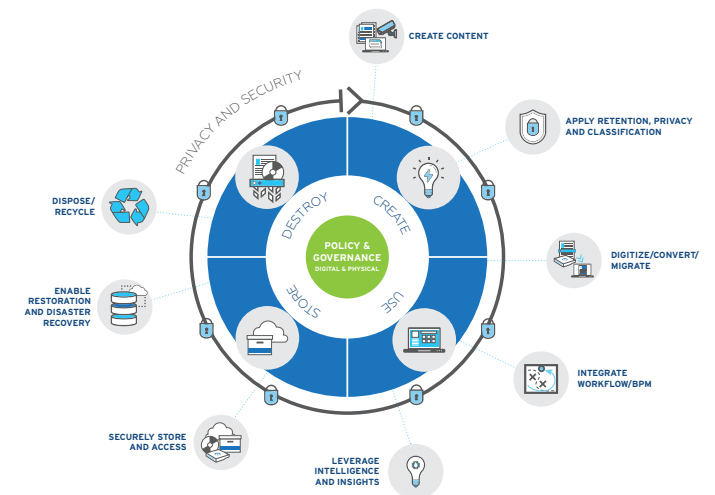
Information Governance (IG) is essential to secure data management and regulatory and legal compliance. When it comes to effective information management, a holistic approach is key.

Information lifecycle management (ILM) means more than the creation and, when the time is right, the destruction of information. Effective ILM will enable organizations to not only remain compliant with any applicable laws and regulations, but will also help organizations improve efficiency, ensure security, and get the most out of their data. ILM includes:

- > content creation
- > application of retention, privacy and classification
- > digitizing, converting, migrating
- > integrating workflows
- > leveraging intelligence and insights
- > securely storing and accessing information
- > enabling restoration and disaster recovery

> disposing and/or recycling with the help of a secure chain of custody

Underlying all of this is policy and governance. In order to effectively manage your information, your organization needs technologies and policies in place to ensure regulatory and legal compliance, and minimize cybersecurity risk, as well as recover from incidents if necessary.



[Click for a larger view.](#)

GETTING STARTED

How mature is your organization's IG program? Conduct a self-assessment or leverage an industry assessment tool, such as IGHealthRate™, that engages the wider organization to find out

Iron Mountain's IG Advisory Services team can deliver a one-day facilitated workshop that provides your organization with a baseline IGHealthRate™ assessment. The first step is getting a cross-functional team together – including executive leaders in the core functional areas of legal, IT, finance, customer service, supply chain and procurement, human resources, and more.

Iron Mountain and our IGHealthRate™ can then quickly deliver a common understanding of the IG challenges, while providing clear recommendations on how to improve upon the current practices.

Step 1: You'll need to create an engaged cross-functional committee. The key stakeholders that should be included are the executive leaders in the core functional areas of risk, health information management, privacy, medical services delivery, finance, IT and legal.

Step 2: Set preliminary goals, objectives and timelines. Make sure you're realistic. This isn't a short-term project. Goals and objectives may change once the assessment is complete.

Step 3: Establish a budget framework for a phased approach. An assessment plan should work within your budget and resource limitations.

Step 4: Decide if you're going to work with an industry leader to facilitate your assessment. If you're going it alone, assign a project manager to oversee the assessment.

Let Iron Mountain's Information Governance (IG) Advisory Services and Solutions and Solutions support your journey to best using information in a strategic and secure way.

Call **1.800.899.4766** to inquire about taking the IGHealthRate™ assessment

For more information visit: www.ironmountain.com





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ABOUT IRON MOUNTAIN

Iron Mountain Incorporated (NYSE: IRM), founded in 1951, is the global leader for storage and information management services. Trusted by more than 220,000 organizations around the world, and with a real estate network of more than 85 million square feet across more than 1,400 facilities in over 50 countries, Iron Mountain stores and protects billions of information assets, including critical business information, highly sensitive data, and cultural and historical artifacts. Providing solutions that include secure storage, information management, digital transformation, secure destruction, as well as data centers, art storage and logistics, and cloud services, Iron Mountain helps organizations to lower cost and risk, comply with regulations, recover from disaster, and enable a more digital way of working. Visit www.ironmountain.com for more information.

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