

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
A			Managing Information Risk and Compliance			
	1		Monitor legal and regulatory landscape			
		a	Engage with legal department and other stakeholders	<ul style="list-style-type: none"> • Industry regulations • Jurisdictional regulations • Legal defensibility • Legal frameworks • Legal research 	<ul style="list-style-type: none"> • Analytical skills • Project management skills • Research skills • Stakeholder specific communication skills 	<ul style="list-style-type: none"> • Internet • Legal defensibility • Research services • Subscription services
		b	Identify and interpret existing applicable laws of all jurisdictions and regulations			
		c	Identify resources for current development			
		d	Document relevant laws and regulations			
		e	Establish regular review process			
	2		Identify internal and external compliance requirements			
		a	Investigate industry practices	<ul style="list-style-type: none"> • Benchmarking methods • Business practices • Cultural practices • Industry practices • Regional differences 	<ul style="list-style-type: none"> • Analytical skills • Communication skills • Cultural sensitivity • Networking skills • Project management skills • Research skills • Surveying skills 	<ul style="list-style-type: none"> • Benchmarking tools • Professional associations and industry groups • Research services
		b	Review business practices			
		c	Collaborate with internal stakeholders			
		d	Conduct benchmarking			
	3		Prepare risk profile			
		a	Collaborate and consult with stakeholders	<ul style="list-style-type: none"> • Organizational knowledge • Risk analysis methods • Risk management 	<ul style="list-style-type: none"> • Analytical skills • Communication skills • Interviewing skills • Presentation skills • Project management skills • Surveying skills 	<ul style="list-style-type: none"> • Internet • Presentation software
		b	Identify management's view of acceptable risks			
		c	Evaluate and document risk tolerances			
		d	Create risk profile document			
		e	Obtain stakeholder signoff			
	4		Conduct a risk assessment			
		a	Identify risk assessment methodology	<ul style="list-style-type: none"> • Risk assessment methods • Subject matter knowledge of the business area 	<ul style="list-style-type: none"> • Analytical skills • Business process analysis skills • Communication skills • Interviewing skills 	<ul style="list-style-type: none"> • Risk assessment standards, models and tools • Software
		b	Identify stakeholders			
		c	Identify and collect resources			
		d	Develop interview materials			
		e	Interview and collect data			

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
		f	Analyze and review risk assessment data		<ul style="list-style-type: none"> • Presentation skills • Project management skills 	
		g	Prepare risk assessment report			
		h	Obtain risk assessment report signoff(s)			
	5		Develop risk and compliance metrics			
		a	Define risk mitigation and compliance success	<ul style="list-style-type: none"> • Cost benefit analysis • Measurement methodologies • Organizational knowledge • Statistical analysis 	<ul style="list-style-type: none"> • Analytical skills • Communication skills • Project management skills 	<ul style="list-style-type: none"> • Risk assessment standards, models and tools • Software
		b	Identify measurement methodology			
		c	Identify non-compliance triggers			
		d	Conduct ongoing gap analysis			
		e	Document metrics			
		f	Present metrics to stakeholders			
		g	Obtain signoff of metrics			
	6		Create the mitigation plan			
		a	Conduct a cost benefit analysis	<ul style="list-style-type: none"> • Business process management • Cost benefit analysis 	<ul style="list-style-type: none"> • Communication skills • Project management skills 	<ul style="list-style-type: none"> • Risk assessment standards, models and tools • Software
		b	Prioritize risks to mitigate			
		c	Develop methodology for mitigation of risks			
		d	Communicate mitigation plan to stakeholders			
		e	Provide implementation assistance			
		f	Monitor implementation of mitigation plan			
	7		Manage the risk mitigation process			
		a	Monitor and update metrics	<ul style="list-style-type: none"> • Business process management • Cost benefit analysis • Insured vs. uninsured risks 	<ul style="list-style-type: none"> • Ability to respond under pressure • Communication skills • Project management skills 	<ul style="list-style-type: none"> • Risk assessment standards, models and tools • Software
		b	Respond to anomalies			
		c	Communicate with stakeholders			
		d	Modify risk mitigation program as needed			
	8		Conduct risk and compliance audit			
		a	Develop the audit framework	<ul style="list-style-type: none"> • Audit methodology 	<ul style="list-style-type: none"> • Ability to assess and analyze contract terms with regard to 	<ul style="list-style-type: none"> • Audit standards, models and tools
		b	Identify resources for audit			
		c	Assign audit responsibilities			

		Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
	d	Oversee the performance of the audit		IG requirements <ul style="list-style-type: none"> Analytical skills Communication skills Presentation skills Project management skills 	
	e	Analyze results of the audit			
	f	Present audit findings and recommendations to stakeholders			
	g	Update risk mitigation plan based on audit findings			
B		Developing IG Strategic Plan			
	1	Align resources to develop plan			
	a	Obtain executive sponsorship	<ul style="list-style-type: none"> Information governance Information management (e.g., records, privacy, security) IT governance Resource management Strategic planning 	<ul style="list-style-type: none"> Communication skills Project management skills 	<ul style="list-style-type: none"> Information governance standards, models and tools (e.g., the Principles, ISO 15489, CAN/CGSB 72.34-2005) Organization's operational plan Organization's strategic plan Organization's vision, org chart, values, mission, goals, budget
	b	Identify stakeholders			
	c	Identify roles and responsibilities			
	2	Analyze internal drivers			
	a	Incorporate enterprise strategic plan into IG plan	<ul style="list-style-type: none"> Information governance Information management (e.g., records, privacy, security) IT governance Resource management Strategic planning 	<ul style="list-style-type: none"> Communication skills Interviewing skills Project management skills Relationship building skills 	<ul style="list-style-type: none"> Business area strategic and operational plans Organization's operational plan Organization's strategic plan Organization's vision, org chart, values, mission, goals, budget
	b	Incorporate IT strategy into IG plan			
	c	Incorporate business plans into IG plan, to maximize business opportunity through governance efforts.			
	d	Incorporate corporate culture into IG plan			
	e	Incorporate corporate risk tolerances into IG plan			
	f	Incorporate cost benefit analysis into IG plan			

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
		g	Review other constraints (e.g., financial, time, legal)			<ul style="list-style-type: none"> Software
	3		Analyze external drivers and trends			
		a	Identify technology trends	<ul style="list-style-type: none"> Business practices Cultural practices Financial analysis and planning Industry practices Industry regulations Jurisdictional regulations Legal frameworks Regional differences 	<ul style="list-style-type: none"> Trend analysis skills 	<ul style="list-style-type: none"> Professional associations and industry groups Research services Subscription services
		b	Identify information and data trends (e.g., information types and new data formats)			
		c	Identify external dependencies			
		d	Evaluate economic environment/conditions			
		e	Evaluate political environment			
		f	Evaluate legal and regulatory environment(s)			
		g	Identify industry best practices and trends			
		h	Evaluate competitive landscape			
	4		Develop a strategic plan			
		a	Define strategies based upon collected information	<ul style="list-style-type: none"> Continuous improvement Critical success factors Environmental scanning methodologies Strategic planning 	<ul style="list-style-type: none"> Analytical skills Communication skills Continuous improvement Critical thinking Discernment and judgment skills Environmental scanning Project management skills 	<ul style="list-style-type: none"> Software Standards, methods and tools for strategic planning
		b	Prioritize strategies			
		c	Align goals to strategies			
		d	Identify initiatives to achieve goals			
		e	Define critical success factors			
		f	Define measurements for success			
		g	Write the strategic plan			
		h	Review with stakeholders			
		i	Obtain approval for strategic plan			
		j	Regularly review and update plan as needed			
C			Developing IG Framework			
	1		Conduct due diligence to identify standards to guide the IG framework			
		a	Evaluate external standards, guidelines, technical reports, best practices	<ul style="list-style-type: none"> Information management standards 	<ul style="list-style-type: none"> Analytical skills Communication skills 	<ul style="list-style-type: none"> <u>Key Industry standards</u>¹

¹ Refer Key Industry Standards list on page 7

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
		b	Evaluate internal policies, standards, guidelines, technical reports, best practices	<ul style="list-style-type: none"> Information technology standards Legal defensibility Policy development standards 	<ul style="list-style-type: none"> Discernment and judgment skills Project management skills 	<ul style="list-style-type: none"> Professional development
	c	Select standards, guidelines, technical reports, best practices to inform the framework				
	d	Document the selection process				
	e	Review and verify selection with stakeholders				
	2	Establish enterprise IG policies and standards				
	a	Define discrete policies and standards	<ul style="list-style-type: none"> Information preservation and archives Legal defensibility Organizational goals and objectives Policy development standards Records and information management (RIM) 	<ul style="list-style-type: none"> Communication skills Discernment and judgment skills Negotiation skills Project management skills Relationship building skills Technical writing skills Trust building skills 	<ul style="list-style-type: none"> Glossary of terms Key Industry standards Policy development guidelines Professional associations and industry groups Technical writing guidelines 	
	b	Validate against organizational goals and objectives				
	c	Draft internal policies and standards				
	d	Review draft documents with stakeholders				
	e	Obtain approval and signoff				
	3	Develop authority, roles and responsibilities				
	a	Define authority, roles and responsibilities	<ul style="list-style-type: none"> Authorities, roles and responsibilities Legal defensibility Organizational structure 	<ul style="list-style-type: none"> Communication skills Negotiation skills Project management skills Trust building skills 	<ul style="list-style-type: none"> Human Resources policies and procedures 	
	b	Assess role requirements				
	c	Review roles with stakeholders				
	d	Obtain role assignment approval from executive stakeholder(s)				
	e	Assign authority, roles and responsibilities				
	4	Develop communications and training				
	a	Identify communication audiences	<ul style="list-style-type: none"> Change management Legal defensibility Management theory and practice Personnel management 	<ul style="list-style-type: none"> Communication skills Discernment and judgment skills Negotiation skills Project management 	<ul style="list-style-type: none"> Training resources (3rd party) Training software Training standards, models and tools 	
	b	Draft communications				

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
				<ul style="list-style-type: none"> • Training and learning methodologies 	<ul style="list-style-type: none"> skills • Relationship building skills 	
	5		Develop auditing and enforcement mechanisms for the framework			
		a	Establish auditing criteria and metrics	<ul style="list-style-type: none"> • Auditing • Legal defensibility • Organization structure and culture 	<ul style="list-style-type: none"> • Analytical skills • Communication skills • Project management skills 	<ul style="list-style-type: none"> • Human Resources policies and procedures
		b	Establish enforcement mechanisms			
D			Establishing the IG Program			
	1		Establish program scope, mandate and reporting			
		a	Engage executive leadership and establish primary and secondary organizational structure	<ul style="list-style-type: none"> • Budgeting • Organization dynamics • Organization structure and culture 	<ul style="list-style-type: none"> • Budgeting skills • Communication skills • Discernment and judgment skills • Negotiation skills • Presentation skills • Project management skills 	<ul style="list-style-type: none"> • Organizational charts • Professional development • Program benchmarks
		b	Define the IG program mandate and scope			
		c	Establish appropriate funding and resources			
		d	Establish ongoing executive reporting			
		e	Obtain executive management signoff			
	2		Assign accountabilities			
		a	Identify IG program roles and responsibilities	<ul style="list-style-type: none"> • Management theory and practice • Personnel management 	<ul style="list-style-type: none"> • Budgeting skills • Communication skills • Discernment and judgment skills • Negotiation skills • Project management skills 	<ul style="list-style-type: none"> • Human resources • Job descriptions • Professional associations and industry groups • Professional development • Subscription services
		b	Assign IG program roles and responsibilities			
	3		Implement the IG program			
		a	Develop communication plan for the IG program	<ul style="list-style-type: none"> • Change management • Management theory and practice • Personnel management 	<ul style="list-style-type: none"> • Communication skills • Discernment and judgment skills • Negotiation skills 	<ul style="list-style-type: none"> • Training resources (3rd party) • Training software • Training standards,
		b	Implement a change management plan for the IG program			

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
		c	Provide training of assigned resources	<ul style="list-style-type: none"> • Training and learning methodologies 	<ul style="list-style-type: none"> • Project management skills • Relationship building skills 	models and tools
	4		Manage the IG program			
		a	Monitor adoption of the IG program	<ul style="list-style-type: none"> • Management theory and practice • Metrics and statistical analysis • Performance management • Personnel management 	<ul style="list-style-type: none"> • Communication skills • Discernment and judgment skills • Negotiation skills • Personnel management • Presentation skills • Project management skills • Relationship building skills 	<ul style="list-style-type: none"> • Human resources • Industry groups • Professional associations • Professional development • Software
		b	Evaluate effectiveness of IG program			
		c	Evaluate and align resources			
		d	Report to management			
E			Establishing IG Business Integration and Oversight			
	1		Define current state of business processes			
		a	Interview business areas	<ul style="list-style-type: none"> • Business process management methodologies • Organization structure and culture • Records and information management (RIM) 	<ul style="list-style-type: none"> • Business process analysis and mapping • Discernment and judgment skills • Interviewing skills • Project management skills • Relationship building skills • Tact 	<ul style="list-style-type: none"> • Key Industry standards • Software
		b	Review current business environment (e.g., culture, systems, processes)			
		c	Identify information needs of the business			
		d	Document current environment and desired state			

		Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
	2	Define current state of technology use in business process			
		a Identify business and technology stakeholders and users	<ul style="list-style-type: none"> • Benchmarking • Business process management • Electronic information management principles and practices • Data repositories and associated classification schemes (e.g., metadata, taxonomy, ontology) • IT operations and tools • IT vocabulary and concepts • Organization structure and culture • Records and information management (RIM) 	<ul style="list-style-type: none"> • Business process analysis and mapping • Discernment and judgment skills • Interviewing skills • Project management skills • Relationship building skills • Tact 	<ul style="list-style-type: none"> • Benchmarking tools • Business analysis standards, models and tools • Hardware and application inventory • Network crawler tools • Network usage analysis tools
		b Survey and interview technology stakeholders and users			
		c Collect and analyze data			
		d Identify gaps			
		e Address gaps through responsible channel			
	3	Align IG framework with business area requirements			
		a Review strategic goals of the enterprise	<ul style="list-style-type: none"> • Business and IT vocabulary and concepts • Business area goals and objectives • Business process analysis • Electronic information management principles and practices • Enterprise goals and objectives • IG principles and practices • IT operations and tools • Organization structure and culture 	<ul style="list-style-type: none"> • Business process analysis skills • Communication skills • Discernment and judgment skills • Interviewing skills • Project management skills • Relationship building skills • Tact 	<ul style="list-style-type: none"> • Business analysis standards, models and tools • Business area strategic plans, org charts, SOPs • Key Industry standards
		b Review strategic goals of the business area(s)			
		c Collaborate with each business area to develop IG framework			
		d Review and approve each business area IG framework			
		e Draft detailed change management process as required			
	4	Guide information management decisions			

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
		a	Develop an ongoing participation process	<ul style="list-style-type: none"> • Business and IT vocabulary and concepts • Business area goals and objectives • Business process analysis • Electronic information management principles and practices • Enterprise goals and objectives • IG principles and practices • IT operations and tools • Organization structure and culture • Records and information management (RIM) • Business area procurement and development processes 	<ul style="list-style-type: none"> • Business process analysis skills • Collaboration skills • Communication skills • Discernment and judgment skills • Interviewing skills • Project management skills • Relationship building skills • Tact 	<ul style="list-style-type: none"> • Business analysis standards, models and tools • Business area strategic plans, org charts, SOPs • Key Industry standards
	b	Develop an ongoing approval process				
	c	Implement the participation and approval process				
F			Aligning Technology with the IG framework			
	1		Identify how technology is used in the business			
		a	Review IT, information asset inventory or register, architecture and strategic plan	<ul style="list-style-type: none"> • Electronic information management principles and practices • IT governance • IT operations and tools • IT roles and responsibilities • IT vocabulary and concepts • IT storage metrics and performance improvements 	<ul style="list-style-type: none"> • Analytical skills • Communication skills • Discernment and judgment skills • Interviewing skills • Project management skills • Relationship building skills • Trend analysis skills 	<ul style="list-style-type: none"> • Professional and trade associations • Research services • Subscription services • Technology standards, models and tools
		b	Review technology adoption			
		c	Review backup strategy			
		d	Review disaster recovery strategy			
		e	Review security strategy			
		f	Review privacy strategy			
		g	Review information mobility strategy			
		h	Review information storage practices (hard copy, digital, microforms)			
		i	Review use of vendors and outsourcing			

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
			throughout information governance practices			
		j	Review existing policies pertaining to information			
		k	Review electronic communications strategies			
		l	Review help desk strategy			
		m	Review technology outsourcing strategy			
		n	Review content retention and disposition strategy			
		o	Review digital preservation plans to ensure data quality through integration of new technologies to enhance business operations (e.g., master data management, metadata management)			
	2		Monitor and evaluate technology trends			
		a	Review general technology trends in the markets (e.g., cloud computing, social media)	<ul style="list-style-type: none"> • Electronic information management principles and practices • IT operations and tools • IT vocabulary and concepts • Technology industry 	<ul style="list-style-type: none"> • Analytical skills • Communication skills • Discernment and judgment skills • Project management skills • Relationship building skills • Trend analysis skills 	<ul style="list-style-type: none"> • Professional and trade associations • Research services • Subscription services • Technology standards, models and tools
		b	Evaluate general technology trends for IG implications			
		c	Review IG implications with stakeholders in accordance with IG framework			
		d	Review technology trends specific to IG in the markets (e.g., record/content management applications, developing standards, data discovery, storage, new data formats)			
		e	Participate in the evaluation of IG specific technologies			
		f	Review IG specific technologies with stakeholders in accordance with IG framework			
	3		Evaluate hardware, software and data life cycles			
		a	Review IT procurement procedures	<ul style="list-style-type: none"> • Data migration processes • Decommissioning processes 	<ul style="list-style-type: none"> • Analytical skills • Communication skills • Decision making skills 	<ul style="list-style-type: none"> • IG framework • IG standards, models and tools
		b	Incorporate information governance requirements to IT procurement process			

			Duties, Tasks, and Steps	Knowledge	Skills, Abilities, and Attributes	Tools, Equipment, and Resources
		c	Incorporate information governance requirements to IT development process	<ul style="list-style-type: none"> IT development process IT procurement procedures 	<ul style="list-style-type: none"> Negotiation skills Persuasion skills Project management skills 	<ul style="list-style-type: none"> Research services Subscription services Technology standards, models and tools
	d	Incorporate information governance requirements into system retirement and data migration processes				
	e	Incorporate information governance requirements to decommissioning process				
	4		Align IG strategic plan and framework with the IT strategy and operations			
		a	Review goals of IT organization	<ul style="list-style-type: none"> Electronic information management principles and practices Electronically stored information (ESI) requirements Financial modeling TCO (Total Cost of Ownership) IG principles and practices IT operations and tools IT vocabulary and concepts Privacy and security Structured and unstructured systems Technology industry 	<ul style="list-style-type: none"> Analytical skills Business relationship building skills Financial skills Negotiation skills Project management skills Strategic thinking skills 	<ul style="list-style-type: none"> IG framework IG standards, models and tools IG strategic plan IT strategic plan and operational plans Key Industry standards
		b	Assess and analyze IT goals			
		c	Collaborate with IT to develop strategy to incorporate information governance requirements into existing systems			
		d	Collaborate with IT to incorporate IG requirements into legacy systems			
		e	Collaborate with IT to assist in system upgrade and replacement strategy			