The Data Governance Journey at Principal

DAMA Iowa Meeting  9/20/2016

Andrea Jackson, IT Business Analyst, Sr.
Sarah Playle, AD Data Quality & Governance
Data governance anyone?
Agenda

- Background
- Business Case for Change
- Data Governance and Data Stewardship
- Operational case study (Sarah)
- Enterprise case study (Andrea)
- Lessons Learned
- Questions
Background
Background...

Sarah Playle

Andrea Jackson

Data Governance Institute
Business Case for Change
Is this just a tool we can buy?
There are many tools in the market that can help us govern data through capabilities such as:
  – Store and communicate defined business rules
  – Tools to measure data quality
  – Tools to identify compliance issues
  – Etc…

**BUT** – governance is really about the organization, the processes and the responsibilities of specific roles/people
  -- tools are just implemented to make those tasks/jobs easier

No -- Solving for Data Governance is not a technology problem
Why now?

- Volume of available data
- Technology...can now handle big data
- Pace of change is increasing
- Increased regulation
Data Governance and Data Stewardship
Data Governance and Data Stewardship

Data Governance

Data Governance is an essential activity to control data by managing the people, processes and technology needed to ensure accurate and consistent data policies exist and are practiced across varying lines of the business. (PFG Data Governance Educational Reference)

In practice data governance includes:

• Applying formal accountability & behavior through a framework of roles & responsibilities to existing and/or new processes to assure the definition, production & usage of data
• Improving regulatory compliance, security, privacy & protection.

Data governance should be transparent, supportive, and collaborative.
Data Governance and Data Stewardship

Data Stewardship

• Data Stewardship is the **operational aspect** of data governance, where the **actual “day to day” work of administering data** gets done.

• Data Stewardship holds Business Data Stewards accountable for managing data resources on behalf of others and in the best interests of the organization.
“Without Data Stewardship, Data Governance is just a framework of good intentions that never gets implemented.” (Data Stewardship: An Actionable Guide to Effective Data Management and Data Governance by David Plotkin)
Operational Case Study

Sarah Playle
Our Data Legacy

Past

- Acctg Data Hub
- Trading System #1
- Trading System #2
- Trading System #3
- Data Providers
- General Ledger
- Performance System
- Data Warehouse
- Recon Tools

Present

- Trading
- Perf
- Acctg
- CRM
- BWH
- GL
- Trading

Principal
What Does our DESTination Look Like?

**Systems Architecture**
Looking Forward…

We need a technology strategy that supports the capabilities and qualities required to realize our business goals…

**PGI Target Architecture!**

We need a data strategy that provides organizational oversight and guiding principles to manage data as an asset across the firm

**PGI Data Governance!**
Our Journey – 2014 to Today

- What is Data Governance?
- Consultant Round 1
- Consultant Round 2
- Rinse & Repeat
How did we do it?

Our Approach

**STEP 1:** Data Governance Organization
- Executive Data Council
- Data Working Group
- Domain Teams

**STEP 2:** PGI Data Governance Program Policies
- Organization – People, Domain Definitions, Domain Charter
- Transparency – Data Flow, Business Rules & Processes, SLAs, Metadata
- Tracking – Issue Tracking, Data Quality, Data Acquisition & Usage, Consumer Rights
- Control – Data Access, Retention & Audit, Authorized Sources & Distributors

**STEP 3:** PILOT
- Interviews.
- Prioritization Criteria
- Security Master Data was selected

**STEP 4:** REPEAT
Where are we at today?
“Governance-Led” Project

<table>
<thead>
<tr>
<th>Category</th>
<th>Policy</th>
<th>Status by Domain</th>
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<tbody>
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<td>Investment</td>
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<td>Responsibility</td>
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<td>Data Governance</td>
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<td>Roles and Responsibilities</td>
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<td>Data Flow</td>
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<td>Data SIs</td>
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<td>Data Documentation (Meta Data)</td>
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<td>Data Procedures</td>
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<td>Data Issue / Request Tracking</td>
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<td>Data Quality Measurement</td>
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<td>Data Acquisition &amp; Retirement</td>
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<td>Data Consumption</td>
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<td>Data Distribution</td>
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<td>Data Access &amp; Security</td>
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<td>Data Retention &amp; Audit</td>
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<td>Data Mastering</td>
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</tbody>
</table>

Progress % **

| | 100% | 65% | 0% | 85% | 15% | 10% | 85% | 15% | 12% | 4% | 0% |

Summary of Programs

- # of Sub-Domains completed: 3
- # of Sub-Domains formally in process: 4
- Consolidated score for Domain in progress: 47.5%
- Consolidated score for DESTination Program: 39.3%

Legend

1. No defined policies, reactive practices
2. Policy defined and socialized internally, but not implemented
3. Policy defined, socialized internally, but implementation inconsistent / incomplete
4. Policy implemented, and running smoothly, with minimal intervention from D&G

**Done for DESTination Program is to have Status of “3”.}
What’s Next?

It’s a Marathon….not a Sprint

- Socialization Ongoing
- Culture Change – data governance reviews
- Performance Management Goals
- Educating Senior Management
- Tooling – now we’re ready to start looking
Enterprise Case Study

Andrea Jackson
Enterprise Case Study

- Business Driven
- Enterprise Data
- Single Data Domain
- Two Governing Groups
How did we get started?

After we had business and IT support...
- **INTENTIONAL STEPS -**
  * Built a vision. Included:
    * Data domain of focus
    * Boundaries
  * Designed data governance framework
  * Defined data governance roles
  * Engaged people in those data governance roles
  * Defined standards
  * Build a roadmap

- **START SMALL** – with a well defined scope and group of resources. Expand the practice and span of influence from there.
Enterprise Case Study

Data Governance Framework

-- Data Governance Board
-- Data Stewardship Council
Enterprise Case Study: Data Governance Framework

Data Governance Board:
Authorized to establish, support and drive data governance

1. Sets vision and strategic direction.
2. Creates data governance principles, standards and guidelines.
3. Be a champion of data governance.
4. Ensures decisions address most relevant, priority needs.
5. Serves as an escalation path for the Data Stewardship Council.
6. Assign replacement Business Data Steward(s).

Deliverables: Data Governance Charter, data governance standards
### Data Governance Board: Roles

<table>
<thead>
<tr>
<th>Role</th>
<th>Brief Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Governance Chair (DGC)</td>
<td>Leads the Data Governance Board. Responsible for making data governance and data stewardship efficient and successful.</td>
</tr>
<tr>
<td>Business Security Steward</td>
<td>Member with a focus on data security.</td>
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<tr>
<td>Domain Data Steward</td>
<td>Member representing a data domain (enterprise perspective).</td>
</tr>
<tr>
<td>Business Data Owner(s)</td>
<td>Member representing their respective noted business area(s).</td>
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<tr>
<td>Data Governance IT Sponsor</td>
<td>Member who influences technical strategy and architecture implementation around governed data.</td>
</tr>
<tr>
<td>BA Support for DGC</td>
<td>Assist Data Governance Chair.</td>
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Enterprise Case Study: Data Governance Framework

**Data Stewardship Council:**
Support and drive day-to-day data governance

1. **Implement** data governance principles, standards and guidelines.
2. **Accountable** for business data use, data quality, issue prioritization and data management practices.
3. **Collaborate** and **champion** data governance.
4. **Ensure business alignment.**
5. Focus on ways to **improve how business manages and gets value from** analytic data.
6. **Recommend improvements/changes** to Data Governance Board.

**Deliverables:** Enterprise data definitions; source analysis; quality analysis, decisions, and recommendations.
## Data Stewardship Council: Roles

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| Domain Data Steward           |  • Leads Data Stewardship Council  
  • Business subject matter expert (SME) on data shared across multiple business areas.  
  • Builds consensus around domain data usage amongst the business data stewards.  
  • Ensures definitions, derivations, valid values and data quality requirements are identified and documented for the data domain. |
| Business Security Steward     | Member with a focus on data security.                                                                                                                                                                                   |
| Business Data Steward (s)     |  • Business SME with access to other SMEs  
  • Representative for and owner of granular business data definitions and data quality issues for their business area |
| BA Support for Domain Data Steward | Assist Domain Data Steward (agenda, and facilitation, meeting prep, meeting notes).                                                                                                                                   |
Enterprise Case Study: Data Governance Framework

Business Data Stewardship Support

Data Custodian:

• Technical Subject Matter Expert
• Knows how systems and code work
• Associated with systems and models
Enterprise Case Study

Data Governance Tools

-- Data Governance Charter
-- Standards
-- Other tools
Enterprise Case Study: Data Governance Tools

Data Governance Charter - key elements

- Strategic Direction
- Data Principles
- Data Objectives
- Data Standards + Definition Guidelines
Enterprise Case Study: Data Governance Tools

Data Governance Standards

- Data Acquisition
- Data Issue Tracking
- Data Flow
- Data Quality
- Data Rules and Processes
- Data Service Level Agreements
Enterprise Case Study: Data Governance Tools

Data Governance Standards

- Metadata
- Data Protection
- Data Mastering
- Data User Rights and Responsibilities
- Data Usage, Retention, Disposition and Audit

Principal™
Enterprise Case Study: Data Governance Tools

Business Glossary includes:

• Data definitions
• Key business metadata
• Data ownership

Business Glossary Qualities:

• Is searchable
• Has an intuitive business user interface.
• Is easy to use.
Enterprise Case Study: Data Governance Tools

Other Tools

• Wiki – communication/education
• Data issue log
• Metadata
• Data quality metrics
Lessons Learned
Lessons Learned

- Commitment to succeed
- Align with a project
- Keep it simple
Lessons Learned

Be creative and evolve

Celebrate success

Data governance is not easy
Questions?
Sources

• [Data Governance Institute](#)
• [The Data Admin Newsletter](#)
• [The Data Management Book of Knowledge (DMBOK)](#)
• [A Complete Guide to Data Stewardship from the June 11-12, 2015, DGIQ Conference Workshop by David Plotkin, EMC2](#)
• [Data Stewardship: An Actionable Guide to Effective Data Management and Data Governance by David Plotkin, 2014.](#)