Return on Investment of Diversity and Inclusion Initiatives in Information Governance

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Abstract *Over the past several years, companies are pairing diversity efforts with inclusion initiatives and roles surrounding innovations that promote diversity of thought [13]. However, much return on investment (ROI) focus has been on business and corporate functioning in general, but not on specifics related to information governance (IG). We address this research gap byconsidering various return on investment (ROI) metrics and what might ground the benefits of diversity and inclusion initiatives related to IG policy. Then, wesuggest what the results mean in terms of changing and influencing current industry practices.*

Keywords:*Diversity and Inclusion, D/I, Information GovernanceIG, RiskManagement, RM,Return on Investment, ROI, Hackathon, LGBT, Electronic Records Management, ERM, HIPAA,triple bottom line (TBL), Corporate Social Responsibility (CSR).*

I.   Introduction

Over the past several years, companies are pairing diversity efforts with inclusion initiatives and roles surrounding innovations that promote diversity of thought [13]. However, much return on investment (ROI) focus has been on business and corporate functioning in general, but not on specifics related to information governance (IG) practices.

Scarceresearchexists on how to measure the ROI of diversity and inclusion (D/I) initiatives, let alone in the context of information governance policy creation, so a research gap exists. The following questions arise naturally from this research gap, and answering them requires careful considerations surrounding current IG practices.

Problem Statements in the form of Questions:

1.   How do D/I efforts relate to current industry IG best practices?
2.   How can previously unsought D/I initiatives relating to IG provide business opportunities and new solutions to current problems?

Methodology: The primary research method for this study is literature review, followed by conceptual analysis.

Some of the suggestions were inspired by Xavier University of Louisiana's 2017 first annual

Hackathon, which has teams develop technology-oriented innovations to try to solve problems that arise in the healthcare industry.

In this paper, we first explore what diversity means in the context of information governance. Then, we consider various ROI metrics and what might ground the benefits of D/I initiatives related to information governance(IG). Finally, we suggest what the results mean in terms of changing and influencing current healthcare industry best practices.

II.   What does diversity mean in the context of information governance?

Whenexploring what diversity means in the context of information governance, we ought to start by clearly defining our terms. We will begin by defining information governance, in general, followed by an outline of IG best practices,and ending on defining three types of diversity.

By initially defining these terms and practices,we will avoid confusion later when wesuggest changes to IG best practices and discuss specifics surrounding whichmetrics are appropriate to track in assessing ROI.

2.1 Information Governance

There are many ways people have defined

information governance. For our purposes, we will refer to the Association of Records Mangers and Administrators (ARMA) definition.

According to the Association of Records Managers and Administrators (ARMA), IG is "a strategic framework composed of standards, processes, roles, and metrics that hold organizations and individuals accountable to create, organize, secure, maintain, use, and dispose of information in ways that align with and contribute to the organization's goals" [16].

The above definition is clear and provides a broad enough description to encompass a variety of practices surrounding the managing of information, storage, and disposal. Next, we will briefly cover 25 best IG-related practices.

2.2 Current IG Best Practices

"The following is a list of 25 IG best practices:

1. IG is a key underpinning for a successful records management(RM) program.
2. IG is not a project but rather an ongoing program.
3. Using an IG framework or maturity model is helpful in assessing and guiding IG programs.
4. Defensible deletion of data debris and information that no longer has value is critical in the era of Big Data.
5. IG policies must be developed before enabling technologies are deployed to assist in enforcement.
6. To provide comprehensive e-document security throughout a document's life cycle, documents must be secured upon creation using highly sophisticated technologies, such as information rights management (IRM) technology.
7. A records retention schedule and legal hold notification (LHN) process are the two primary elements of a fundamental IG program.
8. A cross-functional team is required to implement IG.
9. The first step in information risk planning is to consider the applicable laws and regulations that apply to your organization in the jurisdiction in which it conducts business.
10. Developing a risk profile is a basic building block in enterprise risk management, which assists executives in understanding the risks associated with stated business objectives and in allocating resources within a structured evaluation approach or framework.
11. An information risk mitigation plan is a critical part of the IG planning process.
12. Proper metrics are required to measure the conformance and performance of your IG program.
13. IG programs must be audited for effectiveness.
14. An enterprise wide retention schedule is preferable, because it eliminates the possibility that different business units will have conflicting records retention periods.
15. Senior management must set the tone and lead sponsorship for vital records program governance and compliance.
16. Business processes must be redesigned to improve and optimize the management and security of information and especially the most critical of information, electronic records, before implementing enabling technologies.
17. E-mail messages, both inbound and outbound, should be archived automatically and (preferably) in real time.
18. Personal archiving of e-mail messages should be disallowed.
19. Destructive retention of e-mail helps to reduce storage costs and legal risk, while improving "findability" of critical records.
20. Take a practical approach and limit cloud use to documents that do not have long retention periods and carry a low litigation risk.

21. Manage social media content by IG policies and monitor it with controls that ensure protection of critical information assets and preservation of business records.

22. International and national standards provide effective guidance for implementing IG.

23. Creating standardized metadata terms should be a part of an IG effort that enables faster, more complete, and more accurate searches and retrieval of records.

24. Some digital information assets must be preserved permanently as part of an ongoing organization's documentary heritage.

25. Executive sponsorship is crucial" [16; ch5]

2.3 Types of Diversity

In this section, we will cover several types of diversity that should be taken into consideration when forming, maintaining, and implementing IG policies.

2.3.1 Diverse Roles

Ensuring the IG policies are brought about through a diverse group that accounts for all stakeholders is important. "There are no set requirements or formulas for making up your IG team… You will need representatives from different departments -Absolutes include:" [16; ch5].

- IT (info. Technology) departments
- Legal staff
- Executive sponsor
- SRO (senior records officer)
- Risk management specialist or manager
- IG Program managers

When making an IG team, ensuring that inputs are gathered from a variety of sources is important. "Other inputs can be in the form of managers of human resources, company communications, IT security, agency archivists, business analysts, chief security officers, financial analysts, and others" [16; ch5].

2.3.2 Diverse Identities

IG best practice #8 described in section 2.2

suggests that cross-functional teams are important in forming IG policy.

The Information Governance Reference Model (IGRM) represents a process for IG policy integration that recognizes and considers a variety of stakeholders [6]. Although diversifying roles when making IG policy will help mitigate risk, ensuring that a diversified set of identities and stakeholders are involved is as essential.

"The IGRM is aimed at fostering IG adoption by facilitating communication and collaboration between disparate IG stakeholder functions, including IT, legal, RM, risk management, and business units' stakeholders" [16; ch6]

Information Governance Reference Model (IGRM)
[6; http://www.edrm.net/papers/igrm-it-viewpoint/]
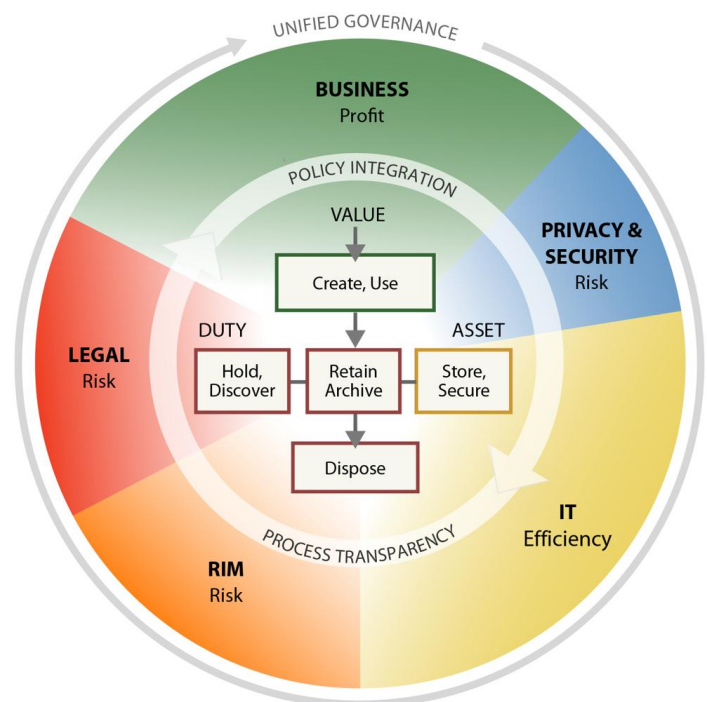
Next, we consider metric selection and how the best metrics to track will be contextualized not only to the needs of an IG program but dependent upon the industry, or area, an organization operates.

III. Grounding various benefits of D/I initiatives

3.1 Assessing Metrics

We should ask ourselves, "Is this metric a fair application and a fair development of what you're looking for?... If you can't prove to them your worth, it's hard for them to see you as integral to the company" [4].

One difficulty in finding research on the

effectiveness of D/I initiatives is that many times companies will conduct internal research using their own metrics and not share results publically. Another reason is that many times, the *value* (which considers more than mere financial cost) often results in what are called *intangible* benefits [4].

Intangible benefits include better communication, cultivating a corporate culture of respect, and other valuable variables that are extremely difficult to measure. This difficulty brings me to an axiom concerning how to choose what metrics to measure.

Metrics will be Industry Specific

The metrics to measure whether D/I efforts have affected an organization's processes will be industry specific. Simply put, when measuring the benefits of a value-add initiative, the industry an organization participates in will affect what could as a beneficial and effective initiative.

- Service Industry: In the retail industry, for example, having a customer focus and D/I efforts in handling data may impact customer satisfaction, and customer's perceptions surrounding an organization's CSR (corporate social responsibility).
- Education: In education, if D/I affect ease of communication and transferring knowledge, data points surrounding the effectiveness of D/I educational developmental learning outcomes
- Manufacturing: In agriculture, for example, will measure whether productivity, or yield, changes after initiatives have been implemented.
- Production: In construction, theeffectiveness of D/I efforts efficiencies and time spent on a project

In short, when making a business case for various D/I efforts, ensure that careful consideration is spent in determining which metrics should be tracked both before and after implementation.

"Determining relevant ways of measuring

progress may take some serious effort and consultation with stakeholders.Metrics are required to measure progress…" [16; ch 4].

Also, use specific metrics when tracking progress towards an organizational goal. For example, if your organization is in the service industry, then set a goal related to customer satisfaction. Then, when implementing an initiative, or change in policy or procedure, the organization will find it easier to test the effectiveness of policy changes.We now consider one of the intangible variables discussed earlier in this subsection and explain why diversifying an organization's IG group is important.

3.2 Communication& Varying Perspectives

"The IG approach to governance focuses not on detailed IT or data capture and quality processes but rather on controlling the information that is generated by IT and office systems" [16; ch2]. Counter-intuitively, traditional IG board members – executive sponsors, etc. - might not be in the best positions to inform every IG policies. Who, then, should help decide IG policies?

"Knowledge workers who work with records and sensitive information in any capacity best understand the nature and value of the records they work with" [16; ch3]. Having diversity across job levels, as well as identities, helps communication between the IG policy board and other stakeholders (i.e. employees).

Another difficult value to measure from D/I efforts can be a benefit surrounding an organizational culture of respect. To be clearer by what this means, and how we might approach measuring changes in corporate culture, we will elaborate on a second-personal account of respect, which bridges commonplace first-personal accounts, and a Nagel, Kantian, third-personal account.

3.3 Respect

At this point, we have avoided discussing moralistic arguments surrounding an imperative to include D/I efforts in IG practice. We will first define the concept of respect as requiring a second-personal

standing towards another in the moral community, which bridges a conceptual gap between first-personal, agent relative, accounts and third-personal, agent neutral, accounts. Our second-personal stance will take into account the cultural context of how culturally sensitive policies are developed and implemented. Later, we will suggestmeasuringan organization's respect through tracking metrics surrounding an organization's respect-centric practice and ownership of practices indicative of corporate social responsibility (CSR).

In *The Possibility of Altruism*,Thomas Nagel outlines a systematic, *third-personal*, account of respect that does not rely on an agent's desires or sympathies. Nagel's project is to construct an altruism, "a considerateness for others", that went "beyond the reach of complicated reflections about social advantage, and which does not require the operation of any specific sentiment" [12;p.82]. His aim is to create a universal formal principle that is general in scope. He does this first by having us ask the question "How would we like it if someone did that to us?" which requires imagining ourselves being victims, perhaps of violence or a rights violation.

"You would not only *dislike* it if someone else treated you in that way; you would resent it. That is, you would think that your plight gave the other person a reason to terminate or modify his contribution to it, and that failing to do so he was acting contrary to reasons which were plainly available to him" [12; p.83].

Although sympathy is not required, a perspective-taking ability is necessary to recognize the other person's reality. What this ability also does is it allow us to abstract our own interests in a situation to being *someone's* interests in that same way that we can abstract another person's interests into also being *someone's* interests. "His interests are *someone's* interests as much as yours are" [12; p.84].

Contrasting with the third-personal, agent neutral, approach is a first-personal stance regarding something as important. A very basic first-personal

account would include Simple Subjectivism. "The simplest version of the theory is this: When a person says that something is morally good or bad, this means that he or she approves of that thing, or disapproves of it, and nothing more" [14, p. 34]. This stance means that whether someone evaluates something as good or bad is wholly agent-relative. However, a third option, besides first personal and third personal accounts for evaluating the importance of something, seems possible.

A second-personal relation considers how moral agents stand in relation to one another. The obligation a parent has in treating a child well does not stem from a first-personal disposition that parent holds for that particular-child. Otherwise, a parent could reasonably discard their obligation simply by failing to hold the disposition. The obligation a parent has in treating a child well also does not stem from a third-personal abstraction that any parent is obligated to take care of any child. Rather, a second-personal stance demonstrates that a particular-parent has an obligation towards a particular-child precisely because of the relation they stand with respect to that particular-child.

Another example will illustrate the point. As I eat my frozen strawberry ice cream cone, I do not feel pleasure simply because I am a human eating ice cream. I also do not feel pleasure from eating the ice cream because I have a unique first personal stance. The more accurate way to describe the situation would be to consider that I stand in a unique relation to *this particular ice cream cone*, second-personally.

By using second personal-relational accounts, we can bridge the gap created by first-personal, agent-relative, accounts of what is important and third personal, agent neutral, accounts.

In our organizations, measuring engagement and Likert-scaled assessments of stress, anxiety, and lethargy may be appropriate. Other measurable elements might include instances of workplace conflict, the number of complaints, legal suits, and turnover.

How we measure an organization's progress towards generating respect-centric practices can also

be tracked by seeing whether a corporation participates in corporate social responsibility (CSR) practices and whethertheir operational and strategic goals considerparticipation in the economic marketplace as affecting social and environmental facets.

Triple bottom line (TBL) is an accounting method that ensures that decisions are made that consider how an organization's participation in one area of our social world may impact another. TBL framework can evaluate an organization's performance in operating in social, environmental, as well as economic spaces.The following venn diagram also indicates how each area (social, economic, and environmental) overlaps to some degree and seeing one's interactions in the economic marketplace may affect other areas important to human social functioning [5].

We will now cover suggested changes for current industry practices.

IV. Suggested changes for current industry practices

In the following three sections, we present 3 cases where changes D/I efforts affecting IG policy can be tracked. Although there are many different industries, we will focus on the healthcare industry, which is a part of the service industry.

My descriptions surroundinghealthcare metrics to track are generalizable and so may be used across similar industries within the service industry. First, we will discuss a change in how treatment options are communicated.

4.1 Communication Changes

Case 1: Patient & Physician Transparency

Current Problem: Communication gaps between communities and healthcare professionals.

Suggested Solution: Include professional interpreters when collecting patient information and signatures of consent.

Currently, there is no requirement to have a professional interpreter present when signatures are gathered and treatment options are relayed. Some hospitals are insmall, fourty-bed, buildings and reside in areas where professional interpreters are not present.

A solution for smaller facilities that cannot afford their own interpreters is to web-relay through a health-centric community of practice, which incorporates the emerging industry of Telemedicine. Although emergency situations may arise, mitigating circumstances may warrant reasonable adjustments to professional practice standards.

In New Orleans, after hurricane Katrina, there were only a few dozen mental health professionals practicing for a city-wide population.For efficiency sake, non-professional healthcare workers received training and practiced until the city could recover. Presumably, healthcare workers practicing within their own communities will be in a better position to be sensitive to culturally relevant features of target populations in their community.

Return on Investment (ROI) on the effectiveness of this diversity and culturally sensitive initiative can be assessed by tracking patient satisfaction from diverse populations relative to the hospital. Also, if there is a reduction of legal complains concerning informed consent and following treatments instructions, the requirement may be considered successful by all involved.

Tracking some of the metrics related to diversity raise HIPAA concerns; however, if information is given on a volunteer basis, concerns surrounding the collection of data will be mitigated.

ROI: less complaints, less legal issues, and greater patient satisfaction.

Next, we will discuss another healthcare industry relatedIG practice change.

4.2 Perspective-based Changes

Case 2: Transgendered Record-Keeping

Current Problem: Healthcare professionals use gendered assumptions about the range of treatment options.

Suggested Solution: include options for non-binary gender patients in electronic records management (ERM) practices.

Currently, there are no requirements for medical record-keeping concerning gender preference. However, at several hospital facilities surrounding the Greater New Orleans area, LGBT (Lesbian, Gay, Bi, and Transgender) complaints have risen in the past year. Namely,transgendered patients are suggested to select whether they are a man or woman, then their sex partners are assumed to be the opposite.

Since STDs rates vary between sexes, which tests are performed and suggested explanations for symptoms are being misdiagnosed due to assumptionssurrounding gender identification.

A solution would be to change how medical records are kept and how data is used. By including options for non-binary gender patients in electronic records management (ERM) practices, patients may have more useful conversations with their personal care provider.

A concern can be raised about privacy; however, HIPAA laws require privacy and security regulations that can treat certain information as Protected Health Information (PHI). Given that employers may use information surrounding transgender status as grounds for discrimination, accounting for sensitive, yet health-treatment related, information falls under PHI. As mentioned previously, a company implementing an IG policy ought to consider all stakeholders when forming a policy. Given that large scale breaches of data are becoming more accessible, ensuring patient confidentiality in safe ERM practices is becoming an even more pressing issue [13].

Measuring ROI on the effectiveness of this D/I initiative can be tracked by seeing which physician arepopularly attended by transgendered populations. Similar to before, there are HIPAA concerns in terms of tracking some of the metrics related to diversity, unless information is volunteered.

Also, one way to track success is to look at the initial negative consequences of bad IG policies and see if there is a substantive change after implementing the newer, D/I sensitive, IG policy. In this case, we would check if there are less misdiagnoses within the target population.

ROI: less complaints, greater patient satisfaction, and less misdiagnoses.

Next, we will discuss another healthcare industry related IG practice change.

4.3 Respect-oriented Changes

Case 3: Access to Healthcare Service Laws

Current Problem: Privately-owned hospitals may turn away patients in non-emergency situations.

Suggested Solution: Impartial treatment in how we handle data-driven decisions. Treat patients equally, regardless of sexual orientation, beliefs, genetic heritage, etc.

Currently, in the USA, "Public and private hospitals alike are prohibited by law from denying a patient care in an emergency. The Emergency Medical and Treatment Labor Act (EMTLA) passed by Congress in 1986 explicitly forbids the denial of care to indigent or uninsured patients based on a lack of ability to pay"; however, privately-owned hospitals may turn away patients in a non-emergency [14].

Related to our second case, Protected Health Information (PHI) needs to be secure and considered whenever a hospital is developing their IG policy.

The Return on Investment (ROI) on the effectiveness of this D/I initiative can be tracked by seeing which physician is attended. Also, depending on the demographics of the area, if changes in better protected information leads to less complaints and a greater patient pool of the target demographic.

ROI: less complaints and a greater patient pool

V. Hackathon

At Xavier University's first annual Hackathon (2017), We presented and won funding for two project proposals: Health DAT &HealthyMind in the "access to healthcare" and "behavioral health" categories respectively. We will go over each before discussing general business case presentation strategies.

5.1 Hackathon Introduction

At Xavier University's first annual Hackathon (2017), I presented two project proposals: Health DAT &HealthyMind in the "access to healthcare" and "behavioral health" categories respectively. I will go over each before discussing general business case presentation strategies.

5.2 Health DAT

Health DAT is a rapid development E-learning software tool that uses could-based computing and connects healthcare workers who are working with unique populations. Rather than developing cultural sensitivity training for healthcare professionals through laborious training development cycles, Health DAT can support a community of practice that connects healthcare workers across regions and give them the tools they need to quickly inform other healthcare workers.

Total costs would be around $50,000.00 in design, development, and implementation costs. Revenue will be generated from user subscriptions.

Possible funding avenues are the Texas Health Institute, since they have previous partnered with Region 6's Public Health Partnership in the past.

This proposal won second-place At Xavier University's first annual Hackathon (2017) in the category of "access to health." Next, we will go over another winning business proposal, HealthyMind.

5.3 HealthyMind

The United States is home to a long history of support groups. Some use support groups for fighting additions, depression, and other mental health issues. Social Media tools are a great way for keeping others in touch; however, those tools are underutilized concerning mental health issues.

HealthyMind is a social media app that can connect people to groups that will support them. Whether someone is in a city on vacation or has just moved to a city, HealthyMind can help. As opposed to Facebook and other social media apps, HealthyMind will also ensure user privacy by only allowing avatars and generic identifiers of individuals.

Startup-costs are around $100,000.00, including two $20,000.00 server fees. Revenue will be generated from pharmaceutical advertisements.

This proposal won first-place At Xavier University's first annual Hackathon (2017) in the category of behavioral health.

VI. Conclusion

In conclusion, there are a lot of considerations about how D/I initiatives impact IG best practices, and the value that comes from those initiatives can go beyond moral arguments. In other words, a business case can be made for having culturally sensitive IG policies.

Hackathons, such as the 2017 one at Xavier University of Louisiana, can help organizations find technology and information governance-based solutions to industry problems. Although we have focused on examples in healthcare, tracking the effectiveness and ROI of D/I initiatives will depend upon what type of industry an organization resides.

In tracking metrics, focusing on the ROI of D/I initiatives presents challenges that typical initiatives do not encounter, such as customer and patient privacy, challenges related to the respect of persons, and navigating complex discussions surrounding organizational perspective-based changes. However, this paper has provided a framework and suggestions towards how to approach measuring and assessing such initiatives.

VII. Acknowledgements

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