



Responsibilities for Information Governance and Management in the Context of Gov 2.0

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Abstract: *Developing information policies and guidelines is a key for information governance (IG) and information management (IM) in any government. However, this task is becoming more difficult to perform in governments where misunderstanding or ambiguity of who are exactly responsible for IG and IM is leading to ineffective control of information assets. This paper investigates where responsibility for IG and IM lies in the context of Gov 2.0 by a quantitative research that explores employees' perceptions and current experiences of these two areas in two different contexts of Gov 2.0 adoption, Australia and Vietnam. This paper's main contribution is indicating differences in IG and IM responsibilities between Australia and Vietnam as well as expounding these differences. This paper also indicates the role of each employee position in IG and IM of organization, particularly in the context of Gov 2.0 adoption. Future research will examine how to develop IG policies and IM guidelines in the context of Gov 2.0.*

Keywords: *Government 2.0, Information Responsibility, Information Governance, Information Management*

1. INTRODUCTION

Information governance (IG) and information management (IM) are critical areas of any organisation. IG refers to the establishment of an environment, policies, rules, procedures and decision making rights for information control (Faria, Maçada, & Kumar, 2013; Kooper, Maes, & Lindgreen, 2011). On the other hand, IM concerns the control over how information is created, acquired, organized, stored, distributed, accessed and used (Choo, 2002; Detlor, 2010; Lin, 2011). The combination these two areas significantly contribute to ensuring effectiveness and efficiency of organisational performance by providing quality information supporting managerial decisions (Wu & Lee, 2014) and ensuring available, useable, open and transparent information (Bertot, Jaeger, & Hansen, 2012). However, to carry out these tasks is becoming further difficult in the context of Gov 2.0 where governments are required to extract quality information from a huge volume of data created by the use of new technologies such as Web 2.0 and social media. One of the reasons for this is a distinct lack of understanding and clarity in IG and IM literature, which has led to a shortcoming of obvious guidelines for the implementation of these two fields in practice (Nguyen et al., 2014).

A review of literature on IG and IM conducted by Nguyen et al. (2014) indicated very few previous studies which investigate the responsibilities for IG and IM in organisation in enhancing the clarification of these two theoretical concepts as well as improving effectiveness of these two fields in the organisational context. Government is confused in determining who is responsible for IG and IM as the role of IT is increasingly involved in almost every aspect of these two areas (McKeen & Smith, 2007). This leads to governments are struggling with developing policies and guidelines to meet the demands of IG and IM during the adoption of new technologies such as Web 2.0 and social media (Willson et al., 2011).

This paper explores responsibilities for IG and IM in the context of Gov 2.0. The research context is two countries which have different levels of Gov 2.0 adoption, Australia and Vietnam. Furthermore, with different cultures, politics, and socio-economic backgrounds between Australia and Vietnam,

this paper is predicted to identify interesting findings of IG and IM responsibilities reflected in employees’ perceptions as well as actual context of these two countries’ governments.

This paper is structured as follows. Firstly, a description of methodology will be introduced. This will be followed by the findings of analyses of data collected from Australia and Vietnam. Then, a discussion will be conducted based on a comparison of the IG and IM responsibility findings between Australia and Vietnam. Finally, the paper concludes with future research directions.

2. METHODOLOGY

A quantitative research method is adopted in this paper. Data is collected by a survey and data analysis can be based on the quantitative method of statistical techniques. A survey is defined as “A systematic method for gathering information from (a sample of) entities for the purpose of constructing quantitative descriptors of the attributes of the larger population of which the entities are members” (Groves et al., 2009, p. 2). This study used survey because of its wide use in numerous information systems studies (Chen & Hirschheim, 2004; King, Liu, Haney, & He, 2007) and it is being a relatively quick way to collect information and describe the characteristics, attitudes, values, behaviour and opinion of a large number of people (Neuman, 2006; Sukamolson, 1996; Walter, 2013).

The survey asked the participants who should be responsible for IG and/or IM (in their opinion) and who is currently responsible for IG and/or IM in their organisations. The participants are categorised three groups: senior management refers to Chief Executive Officer/General Director/Director (CEO), Chief Information Officer (CIO), Chief Operating Officer (COO), Chief Information Technology Officer (CITO) and Chief Security Officer (CSO); middle managers consist of information/records managers (IRM) and information technology managers (ITM); staffs include information/records staff (IRS), archivist, information technology staff (ITS), and all other staff (All_staff). Each question was asked in the same way to each participant for each employee position. Participants responded to both perspectives of employees’ expectation (opinion) and current experiences in their organisations by selecting ‘Yes’ or ‘No’ to each position.

A total of 255 completed surveys were collected (122 from Australia and 133 from Vietnam). The participants came from all levels of government in both Australia (42 federal, 43 state and 37 local) and Vietnam (46 central, 46 provincial, and 41 local). All three employees’ positions groups cited in the previous paragraph were covered in the participants (37 senior managers, 44 managers, and 41 staff in Australia) and (26 senior managers, 40 managers, and 67 staff in Vietnam). The next section will present IG and IM responsibilities in Australia and Vietnam based on the results of the survey data analyses.

3. IG AND IM RESPONSIBILITIES IN AUSTRALIA

This section reveals IG and IM responsibilities separately. Within each area, the analysis focuses on two perspectives of what participants expect and what is currently happening in the context of government in Australia. The findings from data analyses indicate similarities and differences between two perspectives. The results are shown in Table 1 below.

Table1. Frequency of ‘yes’ responses for IG and IM responsibilities in Australia

Position	IG responsibility				IM responsibility			
	Opinion		Organisation		Opinion		Organisation	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent
CEO	90	75%	90	75%	51	42%	51	42%
CIO	117	96%	117	96%	70	57%	88	72%
COO	79	65%	79	65%	37	30%	40	33%
CITO	87	71%	87	71%	39	32%	34	28%
CSO	80	66%	80	66%	46	38%	43	35%
IRM	84	69%	84	69%	117	96%	114	93%
ITM	50	41%	50	41%	105	86%	54	44%
IRS	29	24%	29	24%	110	90%	105	86%
Archivists	30	25%	30	25%	107	88%	104	85%
ITS	19	16%	19	16%	96	79%	45	37%
All-staff	13	11%	13	11%	90	74%	32	26%

Total number of respondents (N) = 122
 All-staff: other positions not listed in the table

Table 1 indicates the most frequent positions whom respondents expected to be responsible for IG in Australia include CIO (96%), CEO (75%) and CITO (71%), followed by COO (65%), CSO (66%), and IRM (69%). Other positions such as ITM, IRS, Archivists, ITS, and All-staff received the lower expectation of under 40% of respondents. Australian respondents significantly expected senior management and information and records managers should be responsible for IG, whereas they did not expect IG responsibility for IT managers and staff positions. This is consistent with the findings of people responsible for decision-making and establishing information policies as leaders and high managers by Kloss (2013). Similarly, for current experiences in the Australian government, IG responsibility also centres on IRM (80%), CIO (75%), and CEO (68%). ITM and staff groups also received lower recognition by participants. However, unlike respondents' expectation, COO, CITO, and CSO positions were not recorded for current IG responsibility in the Australian government context. This partially reflected IG responsibility for senior management by the literature review (Nguyen et al., 2014).

For IM responsibility, Table 1 also illustrates 96% of respondents in Australia expected IM responsibility for IRM, followed by IRS with 90%, then Archivist (88%) and ITM (86%). In addition, a significant number of respondents perceived ITS (79%) and all-staff (74%) to be responsible for IM. 57% of participants expected to be responsible for IM by CIO. Whereas, they did not perceive other senior management positions such as CEO, COO, CITO, and CSO to be responsible for IM with around 30% of 'yes' answers. On the other hand, in current experiences of the Australian government, IM responsibility concentrated on IRM (93%), IRS (86%), and Archivist (85%), then CIO with 72% of respondents provided 'yes' answer. Other positions were not recorded for current IM responsibility on organisations by around 40% of 'yes' responses. This means while employees who took part in the survey expected all employee managers and staff positions should be responsible for IM. This expectation however did not be performed in current experiences of their organisations.

4. IG AND IM RESPONSIBILITIES IN VIETNAM

The data analyses in this section based on the responses for the survey which asked respondents who they expect should be responsible for IG and IM (opinion) and who are actually responsible for IG and IM in their organisations in Vietnam. The findings from data analyses indicate similarities and differences in participants' responses between two perspectives. The results are shown in Table 2 below.

Table2. Frequency of 'yes' responses for IG and IM responsibilities in Vietnam

Position	IG responsibility				IM responsibility			
	Opinion		Organisation		Opinion		Organisation	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent
CEO	108	81%	86	65%	84	63%	91	68%
CIO	114	86%	81	61%	83	62%	81	61%
COO	108	81%	83	62%	77	58%	91	68%
CITO	101	76%	47	35%	77	58%	56	42%
CSO	96	72%	41	31%	85	64%	61	46%
IRM	101	76%	65	49%	123	92%	106	80%
ITM	86	65%	56	42%	115	87%	62	47%
IRS	61	46%	50	38%	108	81%	99	74%
Archivists	58	44%	47	35%	108	81%	101	76%
ITS	73	55%	65	49%	108	81%	69	52%
All-staff	56	42%	39	29%	93	70%	51	38%

Total number of respondents (N) = 133
 All-staff: other positions not listed in the table

According to Table 2, the most frequent positions that respondents expected to be responsible for IG were CIO (86%), CEO and COO (81%), followed by CITO and IRM (76%), then CSO (72%) and ITM (65%). Other positions such as IRS, Archivists, ITS, and All-staff also received the expectation of about 50% of respondents. Although, the respondents significantly expected both senior management and manager groups should be responsible for IG, there was a spread for many different positions. This is not consistent with the finding of people responsible for decision-making and establishing information policies as leaders and high managers by Kloss (2013). On the other hand, for current experiences in Vietnam, IG responsibility focuses on CEO (65%), CIO (61%), and COO

(62%), then IRM (49%) and ITS (49%). Other positions received around 30% responses for IG responsibility. This partially reflected IG responsibility refers to strategic level of decision making of how to govern and control information (Smallwood, 2014). However, the absence of CITO and CSO positions for IG responsibility in actual context of Vietnam might lead to shortcomings of information technology and security policies that were related to the fields under these positions' charge in organisations.

For IM responsibilities in Vietnam, the above table shows that, a significant number of respondents expected IM responsibility for IRM with 92% of 'yes' answers, followed by ITM with 86% then IRS, Archivists, and ITS with equal rates of 81%. In addition, 70% of respondents expected All-staff should be responsible for IM and about 60% of them put their expectation of IM responsibility for senior management (CEO, CIO, COO, CITO, and CSO).

In current experiences of the Vietnamese government, IM responsibility was held by IRM, IRS, and Archivist with over 70% of respondents provided 'yes' answer, followed by CEO, CIO, and COO with over 60%. Other remaining positions such as CITO, CSO, ITM, ITS, and All-staff received around 40% of responses for actual IM responsibility in organisations. It should be said that, in the context of Vietnam, employees who took part in the survey expected all employee positions from senior management to staff should be responsible for IM. This expectation however did not be performed in current experiences of their organisations. The little responses for IM responsibilities by employee positions related to technologies such as CITO, CSO, ITM, and ITS possibly explained why the shortcoming of policies and guidelines for technology applications and security in IM.

5. COMPARISON BETWEEN AUSTRALIA AND VIETNAM

This section summarises where responsibility for IG and IM lies in the context of Gov 2.0. What participants report is currently happening in the government context in Australia and Vietnam will then be compared to their perceptions of who they perceive should be responsible for IG and IM in their organisations.

5.1. IG Responsibility

Responsibility refers to the act of responding to something and the assumption of an obligation (Neff, 1969). The literature review indicated IG focuses on the strategic level of information control, and its responsibility should pertain to people at high levels in senior management (Smallwood, 2014). Meanwhile, IM concentrates on operational and skill level of information life cycle management (ILM), where IM responsibility pertains to middle managers and staff who directly conduct the processes of IM in their daily work (McKeen & Smith, 2007).

As discussed in sections 3 and 4 of this paper, IG responsibility in Australia rests with the CEO, CIO, and IRM, in which IRM was indicated by participants as the employee role having the greatest IG responsibility (80%). Participants in the context of Vietnam reported a similar situation, although there was a slightly wider spread of IG responsibility among all employees, with higher responses for CEO, CIO, and COO (See Figure 1 below).

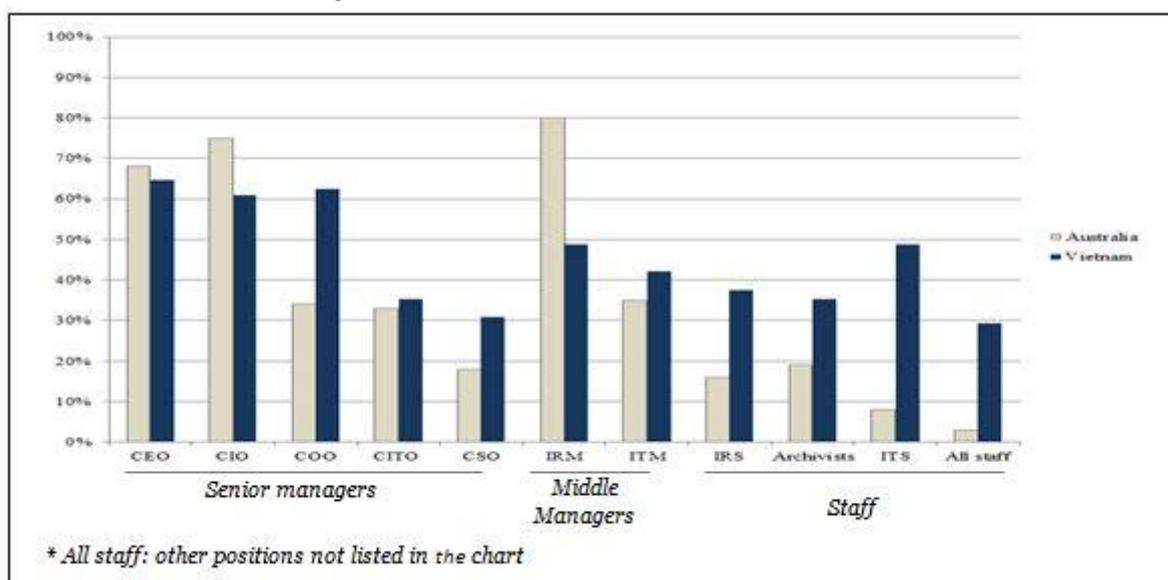


Figure1. Current experiences of IG responsibility between Australia and Vietnam

As illustrated in Figure 1, a key difference in the current experiences of IG responsibility between Australia and Vietnam is the role of COO and IRM. While the COO was found to be highly responsible for IG in Vietnam (over 60%); participants reported a far lower level of IG responsibility in Australia (over 30%). Participants also reported the highest responsibility for IG in Australia pertaining to IRM (80%), whereas only half of Vietnamese participants reported IG responsibility to be held by this position in Vietnam. For other positions such as CITO, CSO, IRS, Archivists, ITS, and all staff, the number of responses in Australia are significantly lower than in Vietnam. This result is not consistent with previous findings from the literature, which found that IG responsibility should be held by senior managers for setting policy (Faria et al., 2013).

This study indicates employees in both Australia and Vietnam perceive all senior managers and IRM should be responsible for IG. The highest response rates were for the CIO (96% in Australia and 86% in Vietnam) (See Figure 2 below).

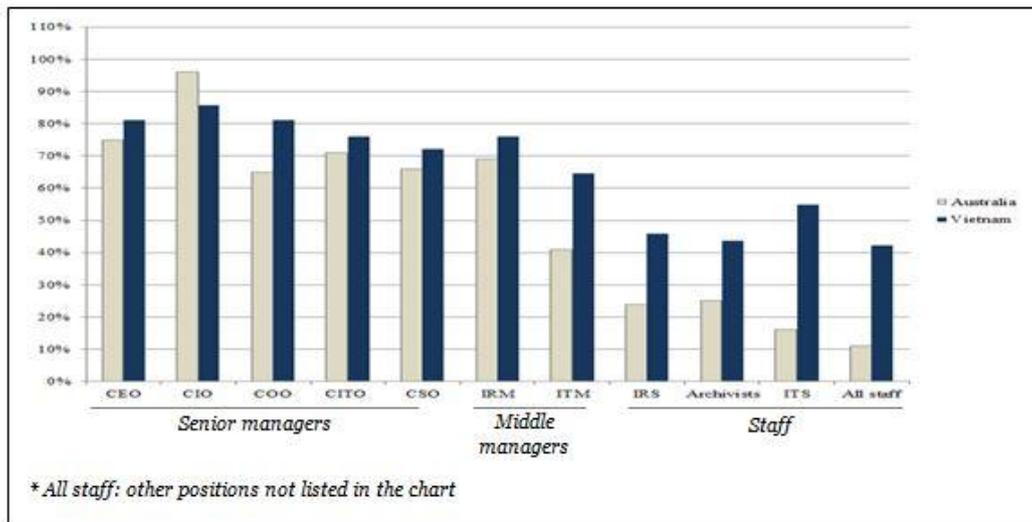


Figure2. Employees’ perceptions of IG responsibility between Australia and Vietnam

As illustrated in Figure 2, the difference between the perception of IG responsibility between Australia and Vietnam lies in the ITM and staff group. Although these positions receive lower responses than other positions for both countries, the number of Vietnamese responses is significantly higher than those in Australia.

5.2. IM Responsibility

The data analysis indicates that four positions received high response rates for IM responsibility in Australia: CIO, IRM, IRS, and Archivists. Whereas, in the context of Vietnam, IM responsibility is more evenly distributed across many employee positions, but is similar to Australia, except for CEO and COO (See Figure 3). In both contexts of Australia and Vietnam, the highest response for IM lies with the IRM (93% in Australia and 80% in Vietnam).

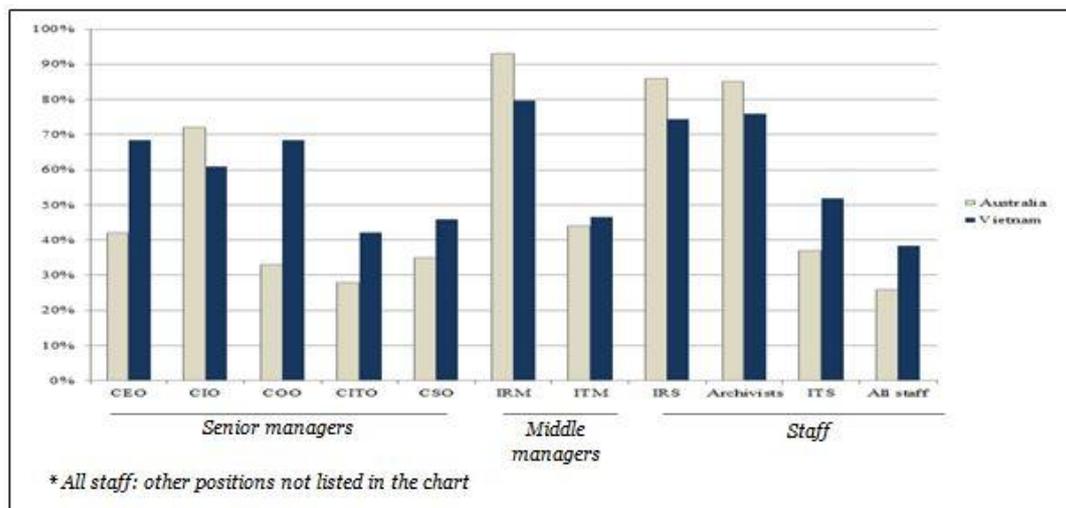


Figure3. Current experiences of IM responsibility between Australia and Vietnam

The findings from Australian and Vietnamese contexts do not reflect the literature, which indicates IM responsibility should be held by middle managers and staff positions (McKeen & Smith, 2007). Figure 3 shows that only three of these positions (IRM, IRS, and Archivists) received high responses for actual IM in Vietnam and Australia. In addition, a significant number of participants also acknowledge the role of CIO for IM responsibility. Interestingly, a key difference is that although CEO and COO receive high responses by Vietnamese participants (both at 68%), these responses were significantly higher than those for these positions in Australia (42% for CEO and 33% for COO). Moreover, this result does not reflect what employees perceive of IM responsibility in Australia and Vietnam (See Figure 4 below).

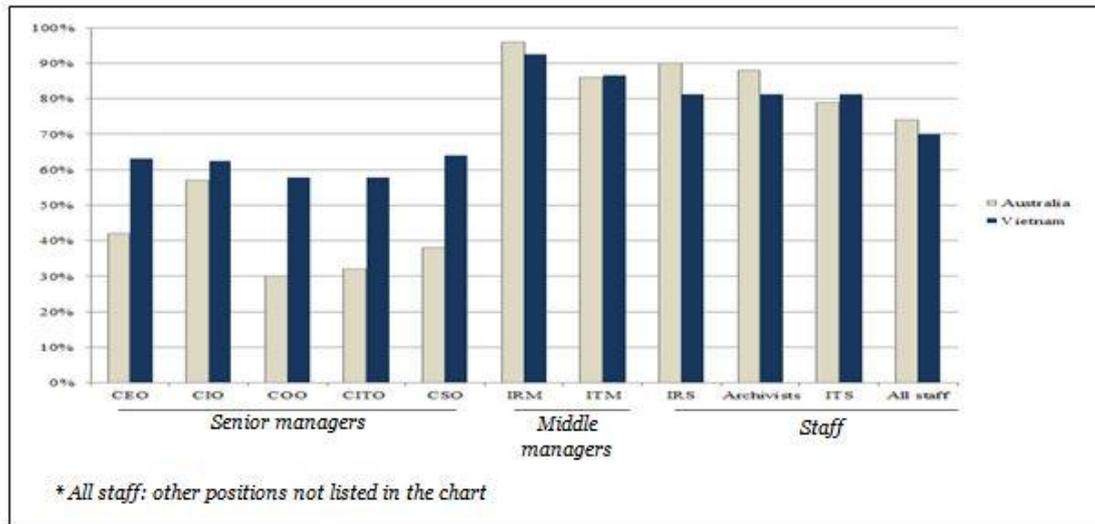


Figure 4. Employees' perceptions of IM responsibility between Australia and Vietnam

Figure 4 shows a relative similarity in the perceptions of employees in both Australia and Vietnam on IM responsibility by IRM, ITM and staff groups (IRS, Archivists, ITS, and all staff). The key difference is IM responsibility for all senior management positions in Vietnam (around 60%), whereas only the role of CIO was recorded at any significant level in Australia.

6. DISCUSSION

In summary, the findings of this study partially support the literature. As noted by Faria et al. (2013), IG responsibility was found to lie with high level managers who establish policies and have decision making rights regarding information control. Whereas, IM responsibilities should be carried out by lower level managers and operational staff (New South Wales Government, 2013). In this study, IG responsibility pertains to high level managers such as CEO, CIO, and COO in Vietnam or CEO, CIO and IRM in Australia and IM responsibility is held by IRM, ITM and staff positions in both Australia and Vietnam. Despite this, the findings move beyond the literature to show the main difference between Australia and Vietnam. While there is a relative clear distinction between IG responsibility for senior management and IM responsibility for staff employees in Australia, these two areas are the shared responsibility of many different employee positions in Vietnam. This possibly reflects the difference in political regimes and leadership styles in the context of government between Australia and Vietnam that partially influences employees' thoughts and activities in the actual country context. The leadership mechanism of Australia emphasizes individual responsibility for decision making and implementing to motivate and promote personal development (Government of Western Australia, 2013). In Vietnam, however, collective leadership is a principle that mobilises the wisdom of many individuals in different positions to target collective decision making for organisational performance (Nguyen, 2015).

Another reason, which could explain the results, is that some Vietnamese employees are confused in regards to who should be responsible for IG and IM. According to the Great Vietnamese dictionary, one of the most widely used dictionaries in Vietnam, 'governance' is defined as 'organisation and operation of an agency' (2008, p. 1268). Similarly, the term 'management' is understood as 'organisation and operation of several units, an agency' (2008, p. 1269). The ambiguity in definitions of IG and IM, such as 'IG is the management of information' (Wang, 2010) or similar meaning and

scope of 'governance' and 'management' definitions used in the government context in Vietnam, is reflected in these definitions and meanings. This could cause confusion regarding the perception of employees in terms of how they perceive the staff group (IRS, Archivists, ITS, and all staff) and who should be responsible for IG and that IM responsibility lies with senior management in Vietnam.

Chartrand and Bargh (1999) indicate that perception is always a part of behaviour and is a foundation for doing activities in a specific context. This suggests the perception of employees regarding IG and IM responsibilities could affect their current experiences of these issues in the government context. However, this is not entirely reflected in this study. Although employees in both Australia and Vietnam perceive the CITO and CSO to be responsible for IG (See Figure 2), these two positions receive lower responses for current IG responsibility in the actual context of government (See Figure 1). Similarly, participants perceive employees who are responsible for IM including ITM, ITS, and all staff (See Figure 4), but there are low responses for current experiences of IM responsibility for these positions in both Australia and Vietnam (See Figure 3).

A further important consideration associated with IG and IM responsibilities is the role of CIO and IRM. Both Australian and Vietnamese employees perceive these two positions to be responsible for IG and IM as indicated by very high responses. For current experiences of respondents, CIOs and IRMs are currently responsible for both IG and IM in Australia and Vietnam. CIO and IRM participate in not only developing information policies but operationalising IM processes and practices. This suggests CIO and IRM play a critical role in establishing guidelines and standards to deploy information policies into practice.

7. CONCLUSION

IG and IM responsibilities are two distinct yet often misunderstood areas in the context of Gov 2.0. This paper has distinguished these two areas and explored the perceptions of government employees as well as current experiences of IG and IM responsibilities in two different country contexts, Australia and Vietnam. The main contribution of this paper can be expressed through the following implications for theory and practice:

This paper is one of a few studies distinguishing level of IG and IM responsibilities reflected in the literature as well as in government context. The identification of people who are perceived for IG and/or IM responsibilities is fundamental for determining the current responsibility of each area in any organization.

Another main contribution of this paper for practitioners has been the shortcoming of IG and IM responsibilities by several technological employees such as CITO, CSO, ITM, and ITS leading to difficulties in these two areas of government adopting new technology as Gov 2.0. This is an important reference for governments and organisations in determining who are responsible for IG and IM in the process of Gov 2.0 adoption.

Future research should investigate an examination of IG and IM responsibilities in other countries and how to develop IG policies and IM processes in the context of Gov 2.0.

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