

Data Governance and Legal Compliance

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Data Governance

- A set of processes and procedures aimed at managing the data within an organization with an eye toward high-level objectives such as
 - Availability,
 - Integrity,
 - Security, and
 - Compliance with regulations



Works at three levels...

- Internal Data Governance Program/Mechanisms
- Protection of Privacy
- Compliance with local laws



Data Governance



Who's part of the program on data governance?



DATA GOVERNANCE TEAM

A data governance manager heads a program office that may also include data architects and governance specialists.

DATA GOVERNANCE COUNCIL OR COMMITTEE

Typically made up of executives from all business units, it sets data policies and standards and resolves issues.

CHIEF DATA OFFICER

CDOs often have overall responsibility and accountability for their organization's data governance program.

DATA STEWARDS

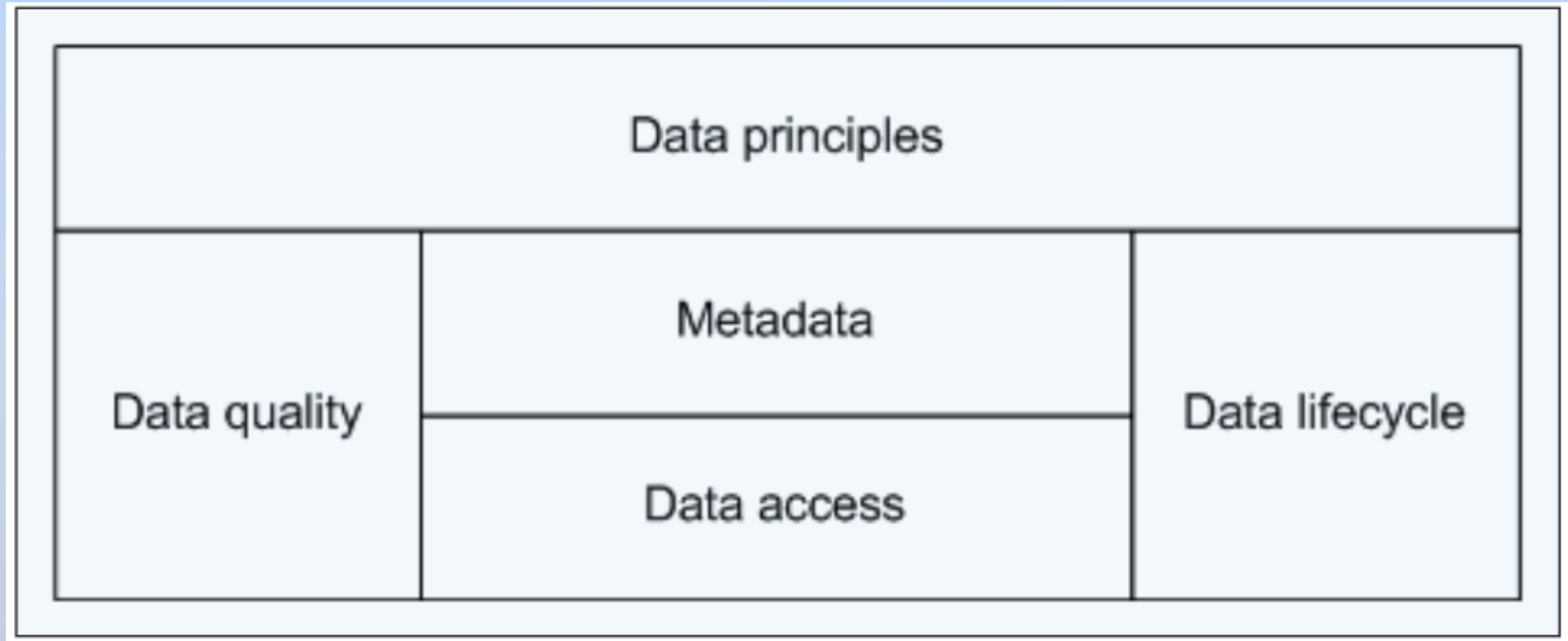
Stewards oversee data sets and are in charge of implementing governance policies and monitoring compliance with them.

DATA QUALITY ANALYSTS AND ENGINEERS

They work with the governance team and data stewards to fix data errors and track data quality metrics.



Decision Domains for Data Governance



Source: Khatri, V., & Brown, C. V. (2010). Designing data governance. *Communications of the ACM*, 53(1), 148-152.

Data Governance domains	Domain decisions
Data Principles <i>Clarifying the role of data as an asset</i>	<ul style="list-style-type: none"> • What are the uses of data for the business? • What are the mechanisms for communicating business uses of data on an ongoing basis? • What are the desirable behaviors for employing data as assets? • How are opportunities for sharing and reuse of data identified? • How does the regulatory environment influence the business uses of data?
Data Quality <i>Establishing the requirements of intended use of data</i>	<ul style="list-style-type: none"> • What are the standards for data quality with respect to accuracy, timeliness, completeness and credibility? • What is the program for establishing and communicating data quality? • How will data quality as well as the associated program be evaluated?
Metadata <i>Establishing the semantics or “content” of data so that it is interpretable by the users</i>	<ul style="list-style-type: none"> • What is the program for documenting the semantics of data? • How will data be consistently defined and modeled so that it is interpretable? • What is the plan to keep different types of metadata up-to-date?

Source: Khatri, V., & Brown, C. V. (2010). Designing data governance. *Communications of the ACM*, 53(1), 148-152.

Data Governance domains	Domain decisions
Data Access <i>Specifying access requirements of data</i>	<ul style="list-style-type: none"> • What is the business value of data? • How will risk assessment be conducted on an ongoing basis? • How will assessment results be integrated with the overall compliance monitoring efforts? • What are data access standards and procedures? • What is the program for periodic monitoring and audit for compliance? • How is security awareness and education disseminated? • What is the program for backup and recovery?
Data Lifecycle <i>Determining the definition, production, retention and retirement of data</i>	<ul style="list-style-type: none"> • How is data inventoried? • What is the program for data definition, production, retention, and retirement for different types of data? • How do the compliance issues related to legislation affect data retention and archiving?

Source: Khatri, V., & Brown, C. V. (2010). Designing data governance. *Communications of the ACM*, 53(1), 148-152.

Data Privacy and Protection

- **Personally-identifiable information (PII)** is data that is unique to an individual
- **Data privacy** relates to what data you may collect, store and use, such as whether it is appropriate to use web cookies to track online browsing without user consent.
- **Data protection** relates to the safeguarding and redistribution of data you have legally collected and stored. It addresses questions such as whether you can store private data of residents in data centres outside of the country.

Morgan Stanley fined another \$35 million over data center decommissioning SNAFU

Takes bank's fines and settlements bill to more than \$150 million

September 21, 2022 By: Dan Swinhoe [Comment](#)

Google and Facebook fined \$240 million for making cookies hard to refuse

Posted: January 7, 2022 by Pieter Arntz

PIXELS • SOCIAL MEDIA

Irish data watchdog fines Instagram €405 million over children's privacy

Ireland's Data Protection Commission on Monday said it had fined Instagram a record €405 million for breaching regulations on the handling of children's data.

Compliance with Local Laws – GDPR

Bigger Responsibility, Bigger Repercussions



Compliance with Local Laws - DPDP

India DPDP Act Summary

Applicability

Scope extended to cover more than individuals and "person" defined to include both companies and natural persons

Principles

Revolves around privacy principles such as transparency, limitation, minimization, accuracy and retention of data

Data Principal Rights

More rights for the protection of data principles - Right to obtain information, Right to Correction and Erasure, Right of Grievance Redressal and Right to Nominate

Collection & Processing

Companies are required to have privacy policies, written consent and deemed consents

Data Protection Officer

Compulsory to appoint Data Protection Officer & Grievance Officer

Data Transfer

Eased cross-border data transfer requirements, where Data Fiduciaries can transfer personal data to other countries

Security

Technical and Organisational Measures (TOMs) must be implemented

Breach Notification

Obligation to notify each data principal in the event of a data breach

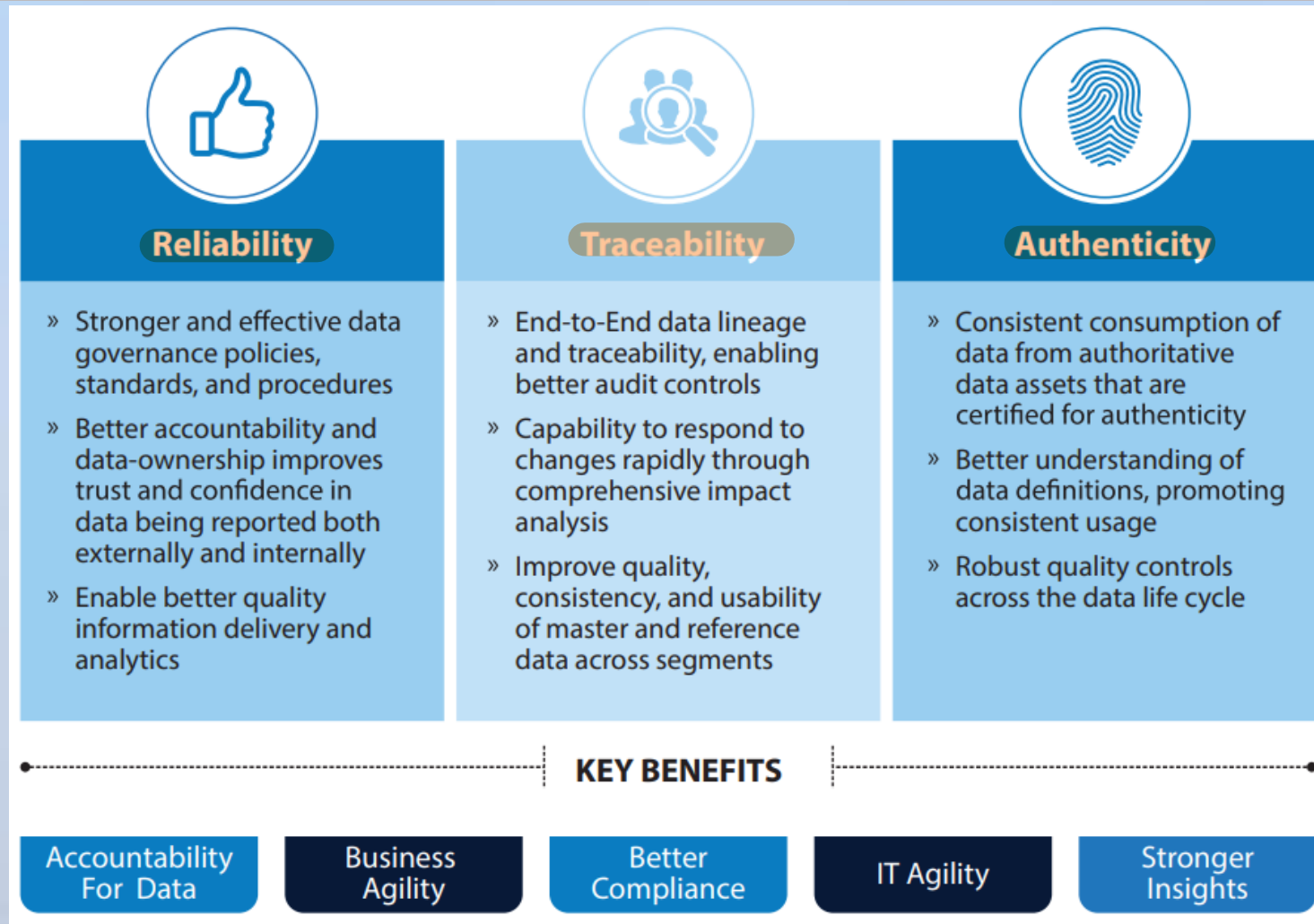
Penalties

- Data Principal: up to INR 10,000
- Data Fiduciaries: up to INR 500 crores for each instance

Obligation & Compliance

All companies must comply with the DPDP Act and be able to prove it

Benefits of Seamless Data Governance



Source: Infosys