

Information Governance Committee Launch Sample Information

Contoural, Inc.
335 Main Street, Suite B
Los Altos, CA 94022
650-390-0800
www.contoural.com
info@contoural.com

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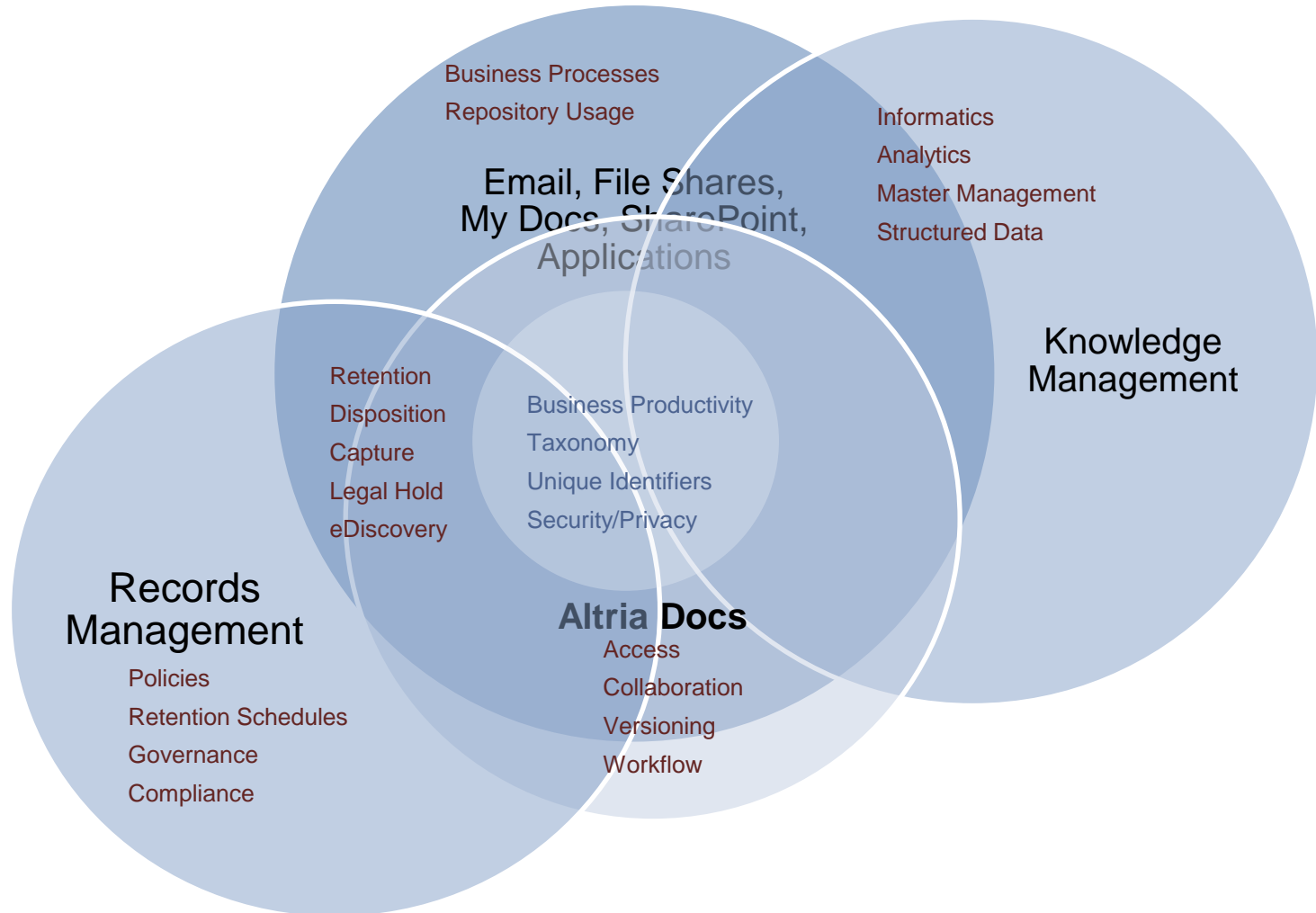
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Information Governance is More Than Records Management

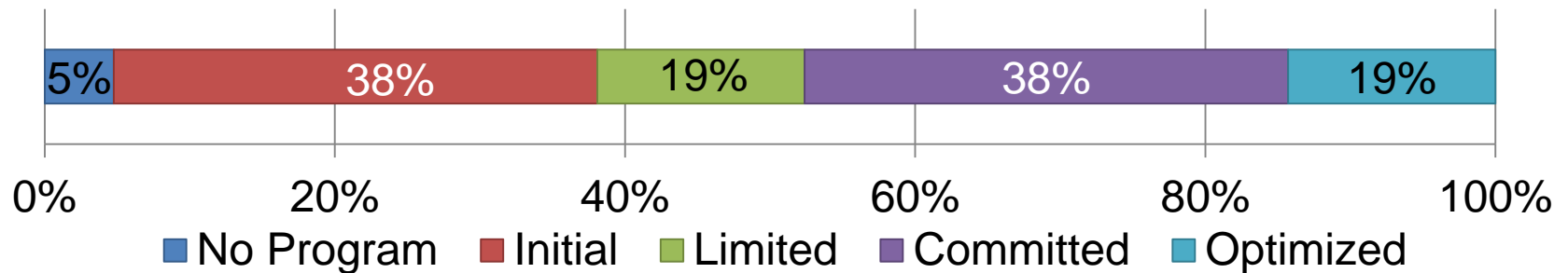


IT, Legal, Business Departments and Records Management all have responsibilities and ownership

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Are Other Fortune 500 Corporations Addressing Information Governance?



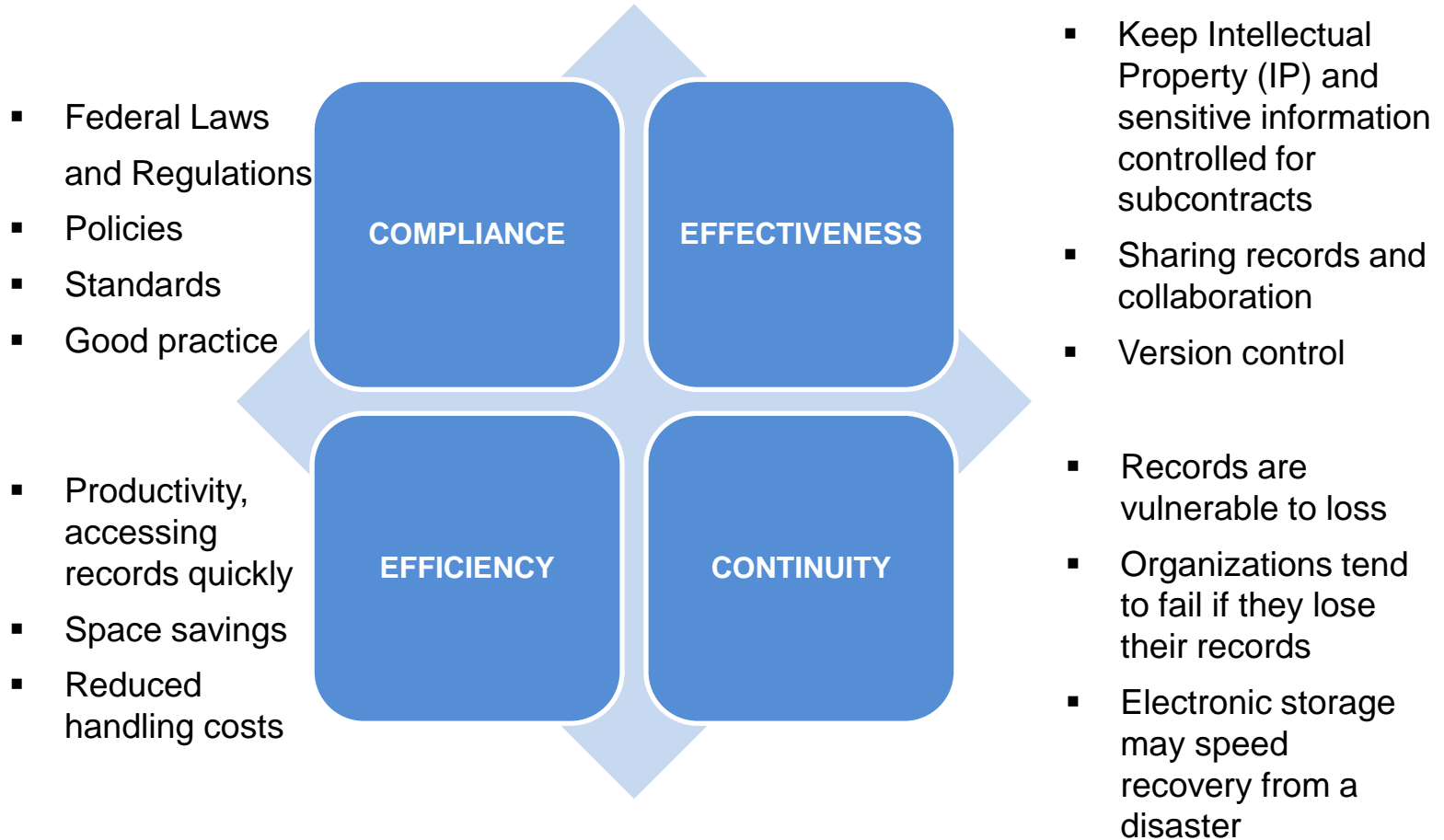
Source: Contoural industry survey 2014

Business Driver Ranking

1. Employee productivity (tied)
1. eDiscovery cost and risk (tied)
2. Regulatory compliance (industry-specific, SOX, FCPA, Privacy)
3. Intellectual Property management
4. Data storage cost reduction

Drivers

A sustainable RIM Program is a component of the Company's continued success.



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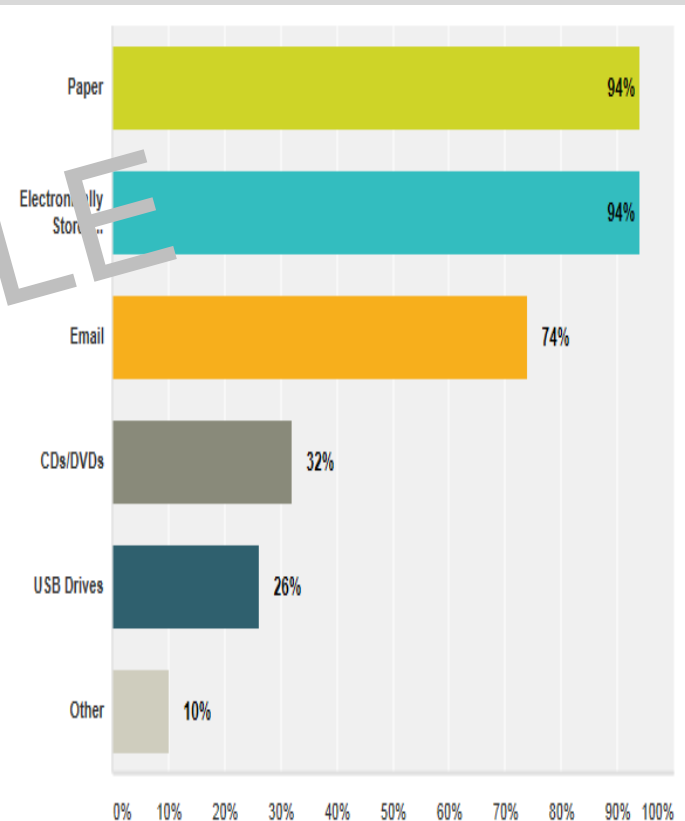
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SAMPLE Culture and Electronic Records Environment

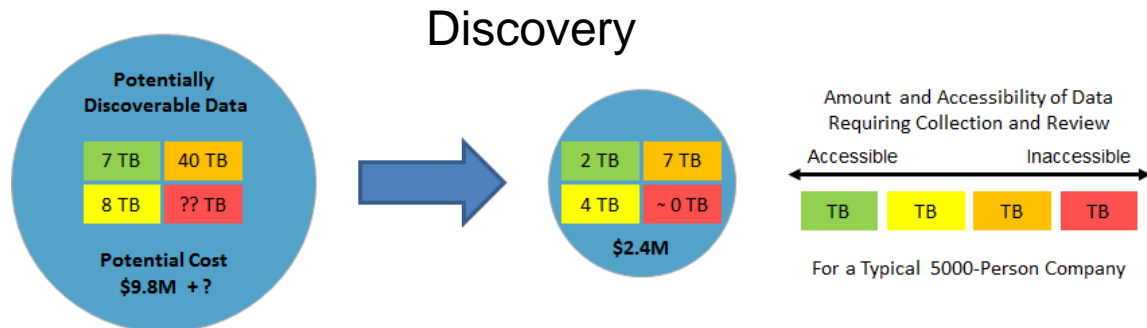
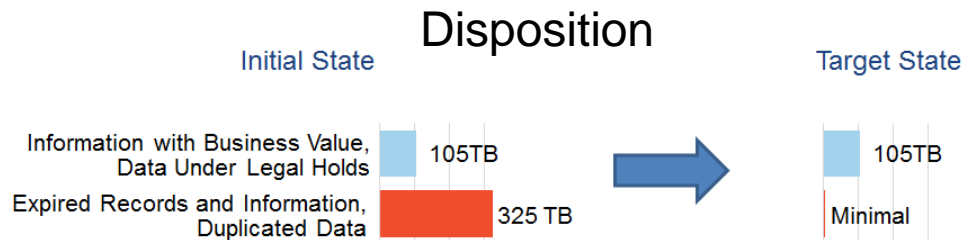
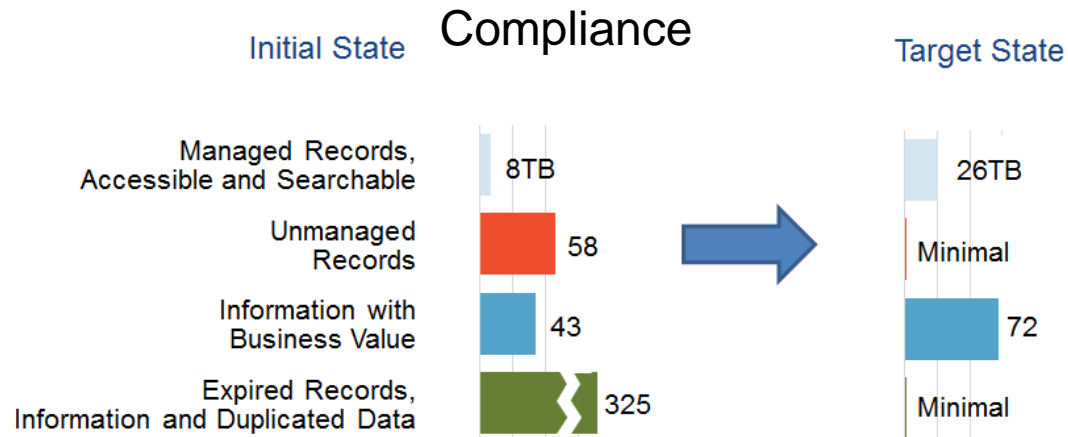
Cultural Observations and Considerations

- In the process of moving from paper based records management to electronic records management.
- University-like environment. The desire for flexibility needs to be balanced with the desire to reduce risk through controls.
- Business environment with very long-term retention requirements.
- Employee given the freedom to purchase tools and store information where they choose.
- “Save Everything” is the norm.
- Decentralized structure: Lack of common or centralized repositories or enterprise-wide standard operating procedures for electronic records.

What media formats are used in your department? (Check all that apply.)



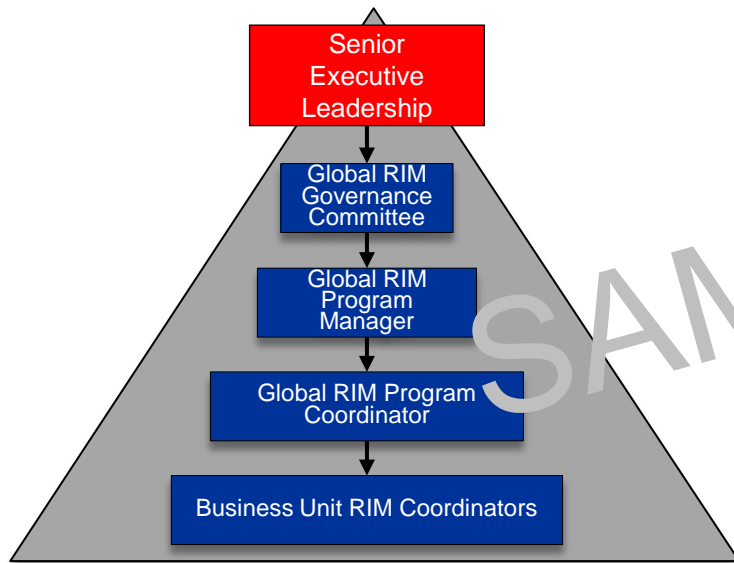
Measuring Effectiveness: Sample Information Governance Metrics



Case Studies: Information Governance Structures

Profile: Large Pharma

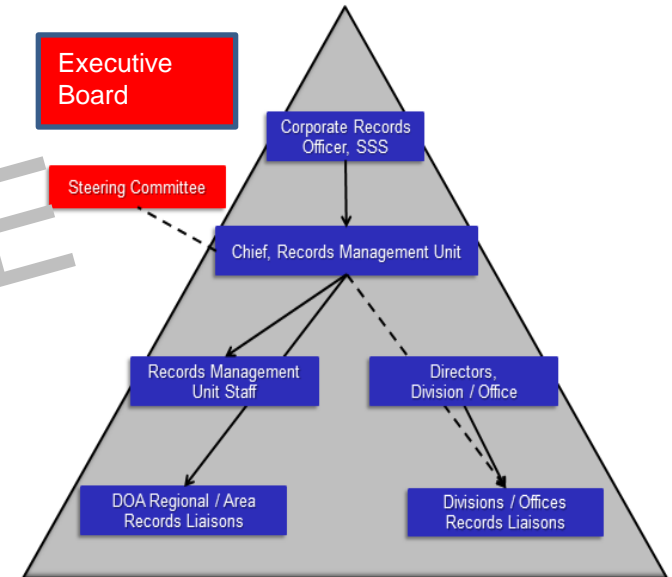
- 11,000 total headcount
- 1 Headquarter location, 3 data centers, 60 countries, hundreds of local offices
- Highly confidential health and pharma data
- High level of international, US Federal and State regulatory requirements
- High level of independence among divisions and business units



Senior Executive Leadership – VP and C-Level oversight
Global RIM Governance Committee (IT, Legal, and cross-functional members) – Director and VP level oversight and decision authority
Global RIM Program Manager – 1 FTE, leader over entire IG
Global RIM Program Coordinator – 1 FTE, Global RIM Expert
Business Unit RIM Coordinators – Global matrix of 25 business unit representatives

Profile: Large Financial Government Agency

- 12,000 total headcount – 7,500 employees, 4,500 contractors
- 3 Headquarter locations, 2 data centers, 9 Regional Locations, 4,000 travelling agents
- Highly confidential data with National Security implications
- High level of FOIA and Regulatory discovery and production
- High level of independence among Divisions (15 in all)



Executive Board – VP and C-Level oversight
Steering Committee – Director level division representatives
Corporate Records Officer – Leader over entire IG org.
Chief Records Management Unit – RM Leader
Records Management Unit Staff – 6 RM Experts
Directors Division/Office – 15 oversight managers
Record Liaisons Division Office – 1 FTE per Division
Regional Area Records Liaisons - 1 FTE per Region

Information Governance Business Case Framework

Hard ROI

- Defensible Disposition and Storage Reclamation

Dependent ROI

- Litigation Readiness
- Legal and Regulatory Compliance
- Control of Privacy, IP, Sensitive Information

Soft ROI

- Employee Productivity
- Employee Turnover Mitigation

Case Study: Information Governance Combined ROI

U.S. Manufacturing Company, 2,000 Knowledge Workers, Email, File Shares and Document Management System – Cleanup, System Re-deploy, Search projects

Implementation	2015	2016	Ongoing Costs	
Technology	140,000	220,000	IT Operations Support	100,000
Consultant	250,000	225,000	Business Unit Cleanup	200,000
Internal Resource	300,000	175,000	Software Maintenance	20,000
Total	\$690,000	\$620,000	Total	\$320,000

Benefits		Return
Employee Productivity	60 hours annual increased productivity X 2,000 employees	1,200,000
NAS Total Cost of Ownership	50% reduction in size based on 2013 Actual usage	1,500,000
Total		\$2,700,000

5 Year Return on Investment					
	2015	2016	2017	2018	2019
Implementation	(690,000)	(620,000)			
Ongoing Costs	(320,000)	(320,000)	(320,000)	(320,000)	(320,000)
Benefits	750,000	2,850,000	3,015,000	3,196,500	3,396,150
Net ROI	\$60,000	\$1,910,000	\$2,695,000	\$2,876,500	\$3,076,150

SAMPLE Records and Information Management Maturity Model

Assessment Components

Sections:

The Maturity Model provides a means for evaluating current state and a vision or future state. The Assessment framework is grouped into 11 major sections, representing the major components of an enterprise RIM Program.

Levels:

It is important to note that the maturity model is not a scorecard, but should be used as a tool to understand where XYZ should be to meet its corporate goals and objectives. For many organizations, there is no business need to be at the Level 5 (Optimized) level. The levels are:

- Level 1: Initial
- Level 2: Foundation
- Level 3: Organized
- Level 4: Managed
- Level 5: Optimized

Assessment Background

- **Description:** A written assessment of XYZ's current state as it relates to key areas around RIM *Best Practices*. Best Practices are based on recommendations from leading industry organizations and standards in Information Governance such as ARMA (GARP) and The Sedona Conference. The Assessment takes into account company culture and operating model. It includes suggested actions for addressing gaps found in each area.
- **Purpose:** Provides the basis for recommendations aimed at the development of an enterprise Information Management Program. The Prioritized Recommendations of the Strategic Roadmap help to develop a task plan for future RIM activities around managing electronic information.
- **Scope:** The Assessment scope includes findings from a representation of XYZ business and research groups and around key RIM practices in paper or electronic data in unstructured / structured data repositories.
- **Process:** Completed surveys, interviews and information gathering sessions, extensive documentation reviewed provided prior to and during the interview process.

SAMPLE - Records Management Organization (RMO)



Note: Typical Hierarchy for a RIM Governance Organization

Best Practices:

- The RIM Governance Committee should have the authority to enforce the Policy and RRS across all Offices, Centers and functions of the Lab, provide governance and oversight of the overall RIM program, and provide assistance to XYZ workers to better understand records management responsibilities.

Maturity Level: Level 3

Strengths:

- XYZ has the foundation for a formal Records Management Organization
- Paper records have been managed by the RMO, Some functions have designated Records Coordinators to facilitate the management of paper records.

Challenges:

- The Company has been focused on managing paper records. The transformation to electronic records management for all of the Company will require additional resources and skill sets.
- Lack of structured RMO matrix. BU's do not have RIM Compliance Leads assigned to help enforce the program. RIM Compliance Leads typically serve as the focal point for managing the Records Coordinators and managing and reporting on the RIM program and metrics to the Records Manager and RIM Governance Committee.
- Records Coordinators have not been assigned to cover all functions. Records Coordinators are primarily focused on managing paper records and have not historically been managing electronic records.

For More Information at www.contoural.com

Articles

- *ACC Docket*, October 2014, “Building a Business Case for an Information Governance Program”
- *SCCE Compliance & Ethics Professional* March 2014 “Eight Steps in Launching an Information Governance Program.”

White Papers

- How to Prevent Employees from Hoarding Documents
- Is It Time for Autoclassification Part 1 & 2
- E-mail Archiving ROI and Business Case
- Impact of International Regulations
- Actually Hitting the Delete Button

Recorded Webinars

- Preventing a Sony-like Data Breach
- Records Management and Office 365
- Creating Data Maps

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