

# Information Governance: *What Does a Modern Program Look Like?*

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# 2014



# Today's eLunch Presenters



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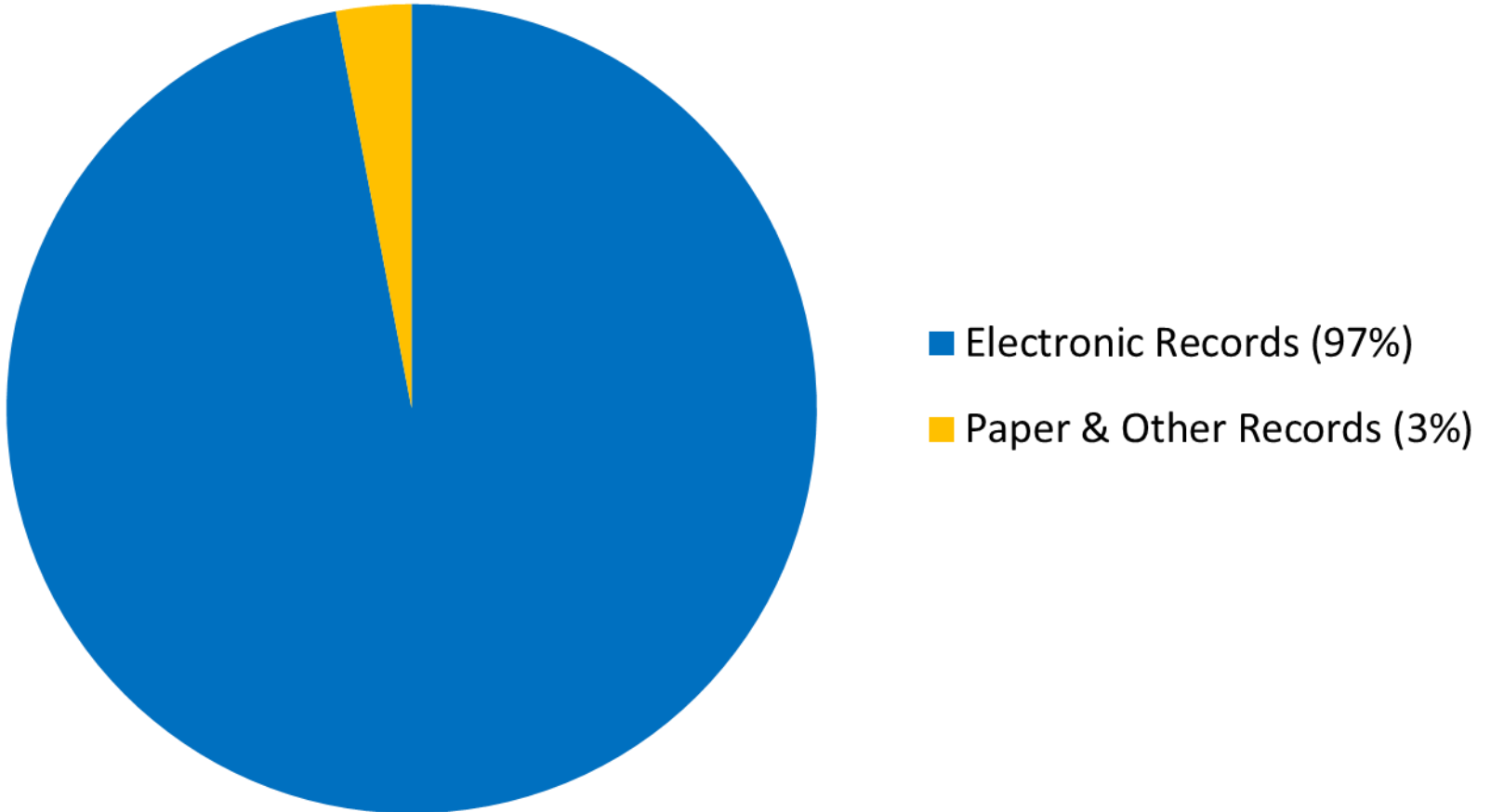
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# Agenda

- What is the problem?
- What is Information Governance?
- What are your objectives in implementing Information Governance?
- How do we create a Modern Information Governance Program?
  - People
  - Policies
  - Toolsets
  - Education
  - Auditing and Compliance
- Advance Analytical Engines
- Questions

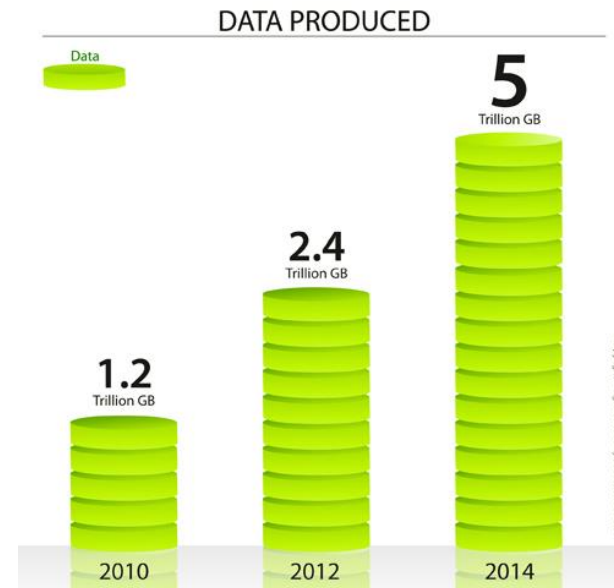
# Electronic vs. Paper Records

Percentage of Total Records

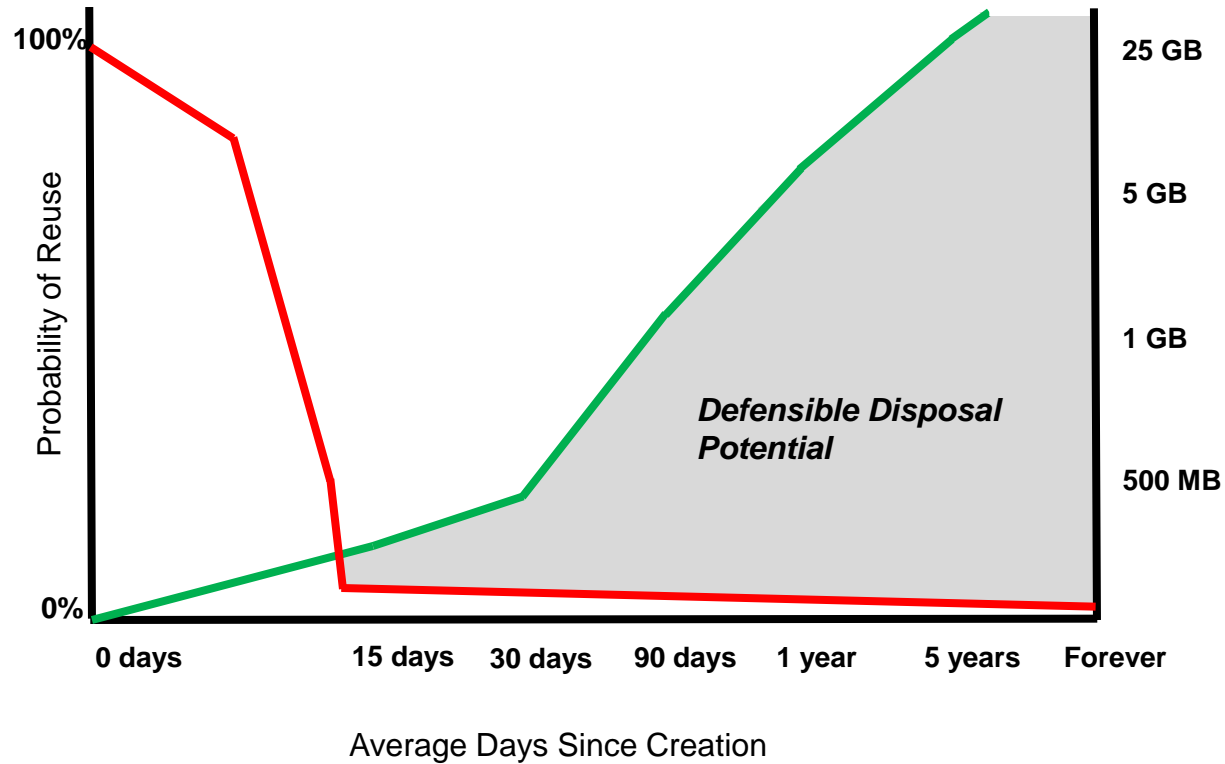


# Electronic Data is Increasing Exponentially

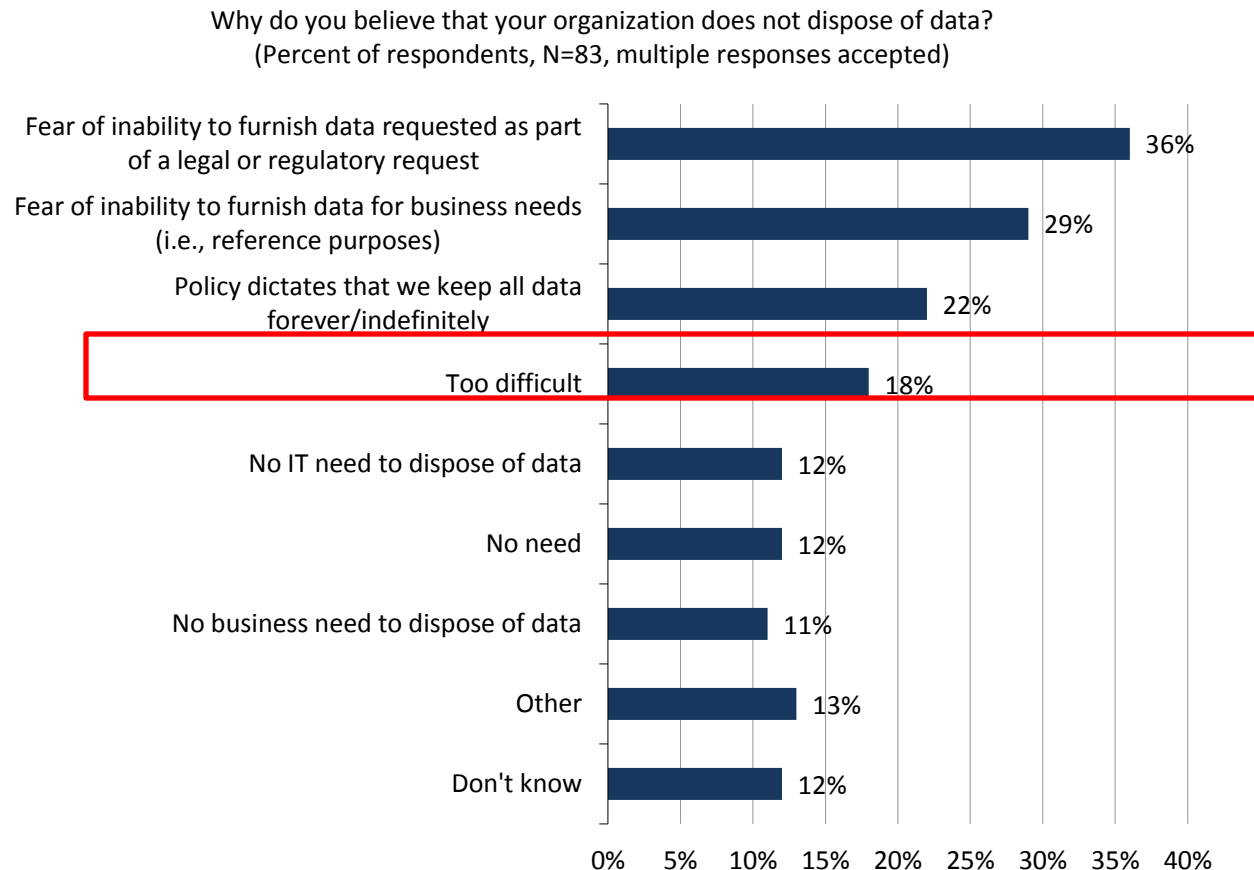
- Total amount of data predicted to double every 1-2 years.
- 90% of the data in the world was created in the last two years.
- More data means higher costs and increased risk.
- Nearly 2/3 of medium- to large-sized businesses have more than 25 legal and regulatory matters per year.



# Information Value Over Time



# Why Organizations Don't Dispose of Data



Source: ESG Research Report, *Defensible Disposition in Practice: Perspectives from Business and IT*, to be published in December 2012

# Implications of the Explosion of Data

- Harder to locate and use the company's data.
- More difficult to manage the data as it continues to grow.
- Expensive to continue to maintain and ultimately retrieve, review and produce data.
- Decrease in productivity and response time when data needs to be located for business and legal purposes.
- Increased risk exposure for non-compliance with regulatory, tax, and legal holds.





# Business Risk

- “Office workers can waste up to two hours a day looking for misplaced paperwork—a total of 500 hours (62.5 days) per year” (TN).
- “Computer users spend 7.5% of their time on a PC looking for misplaced files” (*Information Week*).
- “Companies typically misfile 2% to 7% of their records” (ARMA International).
- 90% of records are never referred to again (Secured Record Management).
- Companies misfile from 3% to 5% of their records, with a cost of \$180 per document to recreate it and annual losses of a million records per year at a cost of \$5 million per year (*Information Week*).

# Drivers

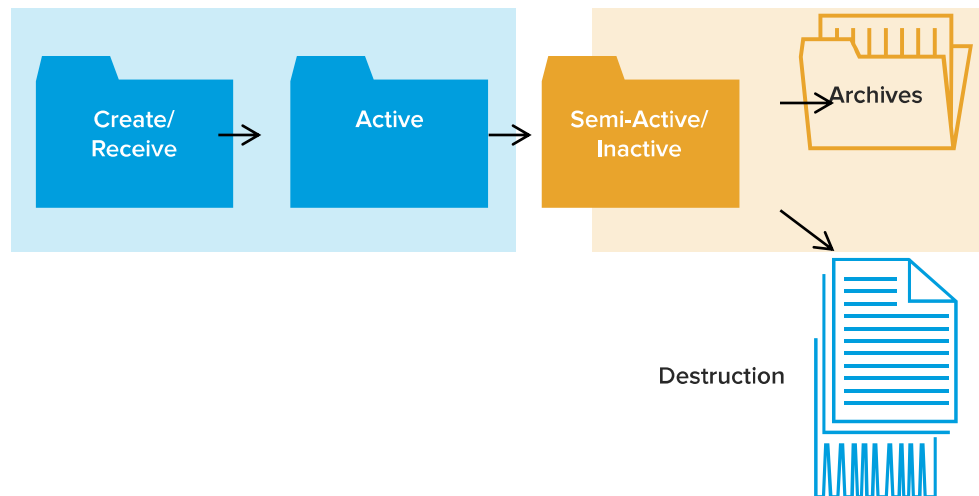
- Compliance
  - FOI
  - DPA
  - SOX
  - HIPPA
  - FSA
- Knowledge Management
  - Staff turnover
  - Reduce duplication
  - Leveraging content



# What is Information Governance?

# Traditional Approaches to IG

- Traditional IG programs were primarily focused on records management.
  - The primary objective was to control the creation and storage of records and were usually begun when the total volume of information became unwieldy or prohibitively expensive.
- Records management was typically focused on the records lifecycle:



# Definition of Information Governance (IG)

- Sedona Conference: “An organization’s coordinated, interdisciplinary approach to satisfying information compliance requirements and managing information risks while optimizing value.”
- Gartner: “The specification of decision rights and an accountability framework to ensure appropriate behavior in the valuation, creation, storage, use, archiving and deletion of information. It includes the processes, roles and policies, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals.”
- Information Governance Initiative: “The activities and technologies that organizations employ to maximize the value of their information while minimizing associated risks and costs.”

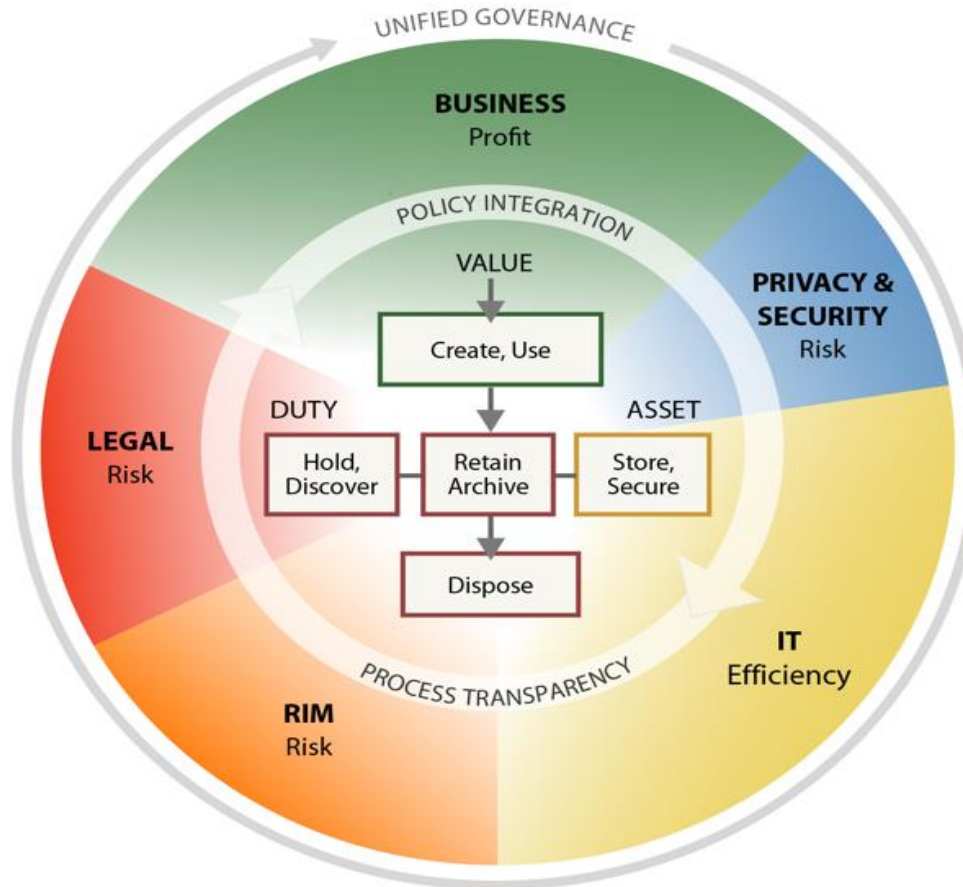
# What Really Is IG?

- IG is the confluence of records management, e-discovery, IT security, data privacy, and data protection, and the policies, procedures, toolsets, and personnel that a business uses to control the creation, use, retention, and disposition of its data.
- In essence, IG is the umbrella under which companies conduct their business, pool their collective knowledge, prepare for the future, and protect their existing business.

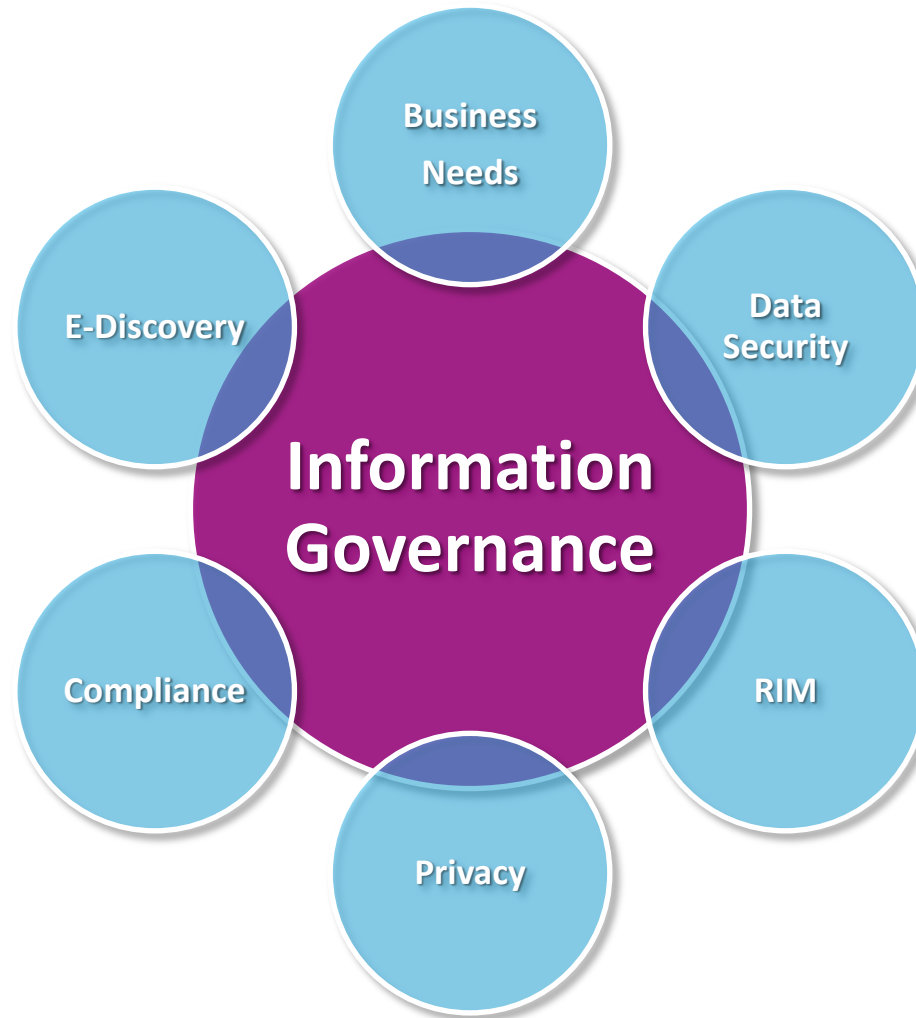
# WWW.EDRM.NET

## Information Governance Reference Model (IGRM)

Linking duty + value to information asset = efficient, effective management



# Elements to Modern Information Governance





# Strategic Issues

- Objective
- Political considerations
- Knowledge management
- Risk
- Budget
- Resources
- Sophistication of IT infrastructure
- Industry
- Maturity
- Level of regulation



# Creating a Modern IG Program

# Developing a Framework

- Identify a core team
- Identify your priorities
- Conduct an assessment
- Draft policies/schedules
- Identify tools sets
- Design implementation plan
- Education
- Compliance

# Example – Records Retention Program

- Records Retention Policy
  - General records policy
  - E-mail management policy
- Records Retention Schedule
- Evaluation of Potential Records Management Tools
- Implementation
- Education
- Compliance

# Record Retention Policy

- Key provisions:
  - All records must be managed in accordance with the Record Retention Schedule.
  - All records not subject to a restriction must be retired at the end of their retention period.
  - Restrictions to record retirement:
    - Legal hold order
    - Tax restrictions
  - All personnel must perform a minimum of an annual review of all records and process them for storage or retirement.

# Record Retention Schedule

- A practical and tested Records Retention Schedule is the key to any program.
- What does the Schedule do?
  - Provides the departments and staff with clear guidance as to the time period that specific records must be retained
- Who does the Schedule apply to?
  - All departments and personnel
  - All specified categories of records, regardless of their status (active or inactive), location or type (paper, electronic, or imaged)

# Records Retention Schedule

- The Schedule will consist of several columns of information: (i) retention code; (ii) subject/description; (iii) retention period for official records; and (iv) retention period for unofficial records/copies:

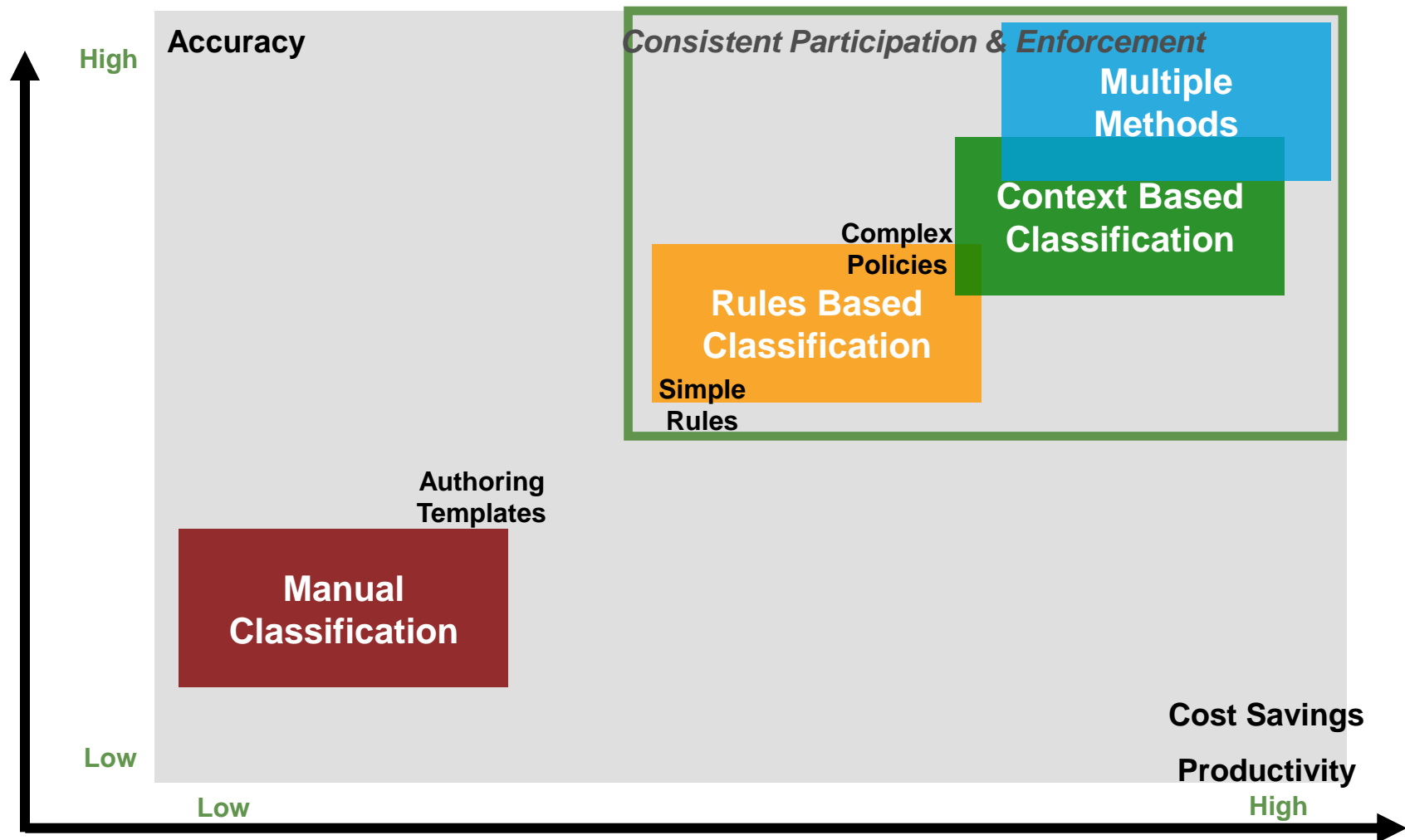
Code	Subjects/Description	Legal	User	Total	Unofficial Retention
ACC-50-12	<b>Accounting Payroll Payroll Records</b>  <b>Records documenting payments for payroll for a specified pay period including dates, employee names, withholding amounts and purpose, final check amount and other related information</b>	<b>6</b>	<b>3</b>	<b>6</b>	<b>Max 3</b>

# Records Management Tools

- Key to successful records management is the classification of records (*i.e.*, ability to identify records with applicable “records code” to a record).
- Classification is the first step in records management.
- Tools can mandate and facilitate classification at the time of creation or identification.
- In absence of tools, it is difficult to mandate classification at the time of the record’s creation or identification, which makes records management compliance not impossible, but difficult for your workforce.



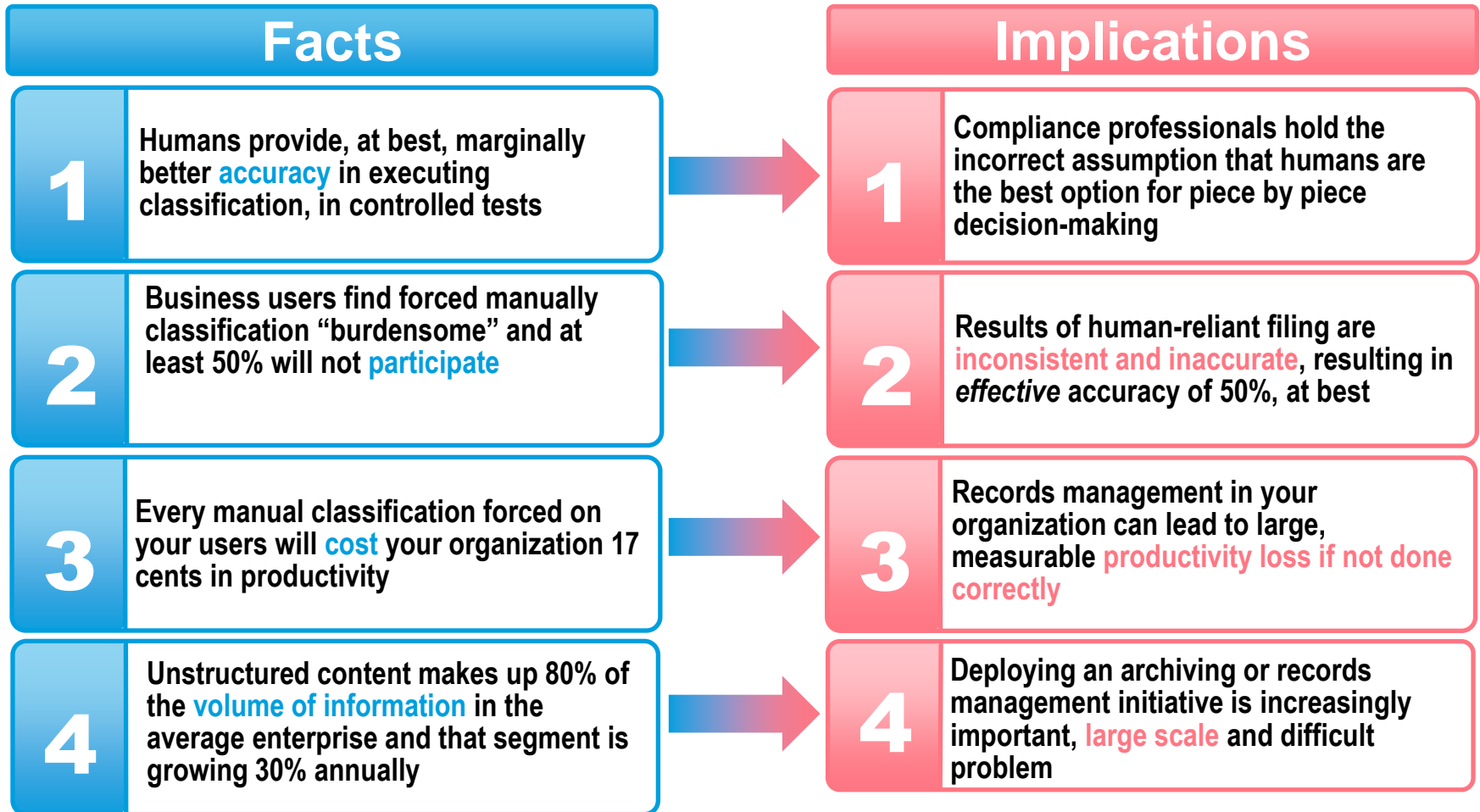
# Classification Process



# Critical Dimensions of Classification

	Manual	Automated
Accuracy	92%	50 – 80%
Cost (per doc)	46% \$ 0.17	< \$ 0.01
Consistency	<50%	100%

# Implications of Classification



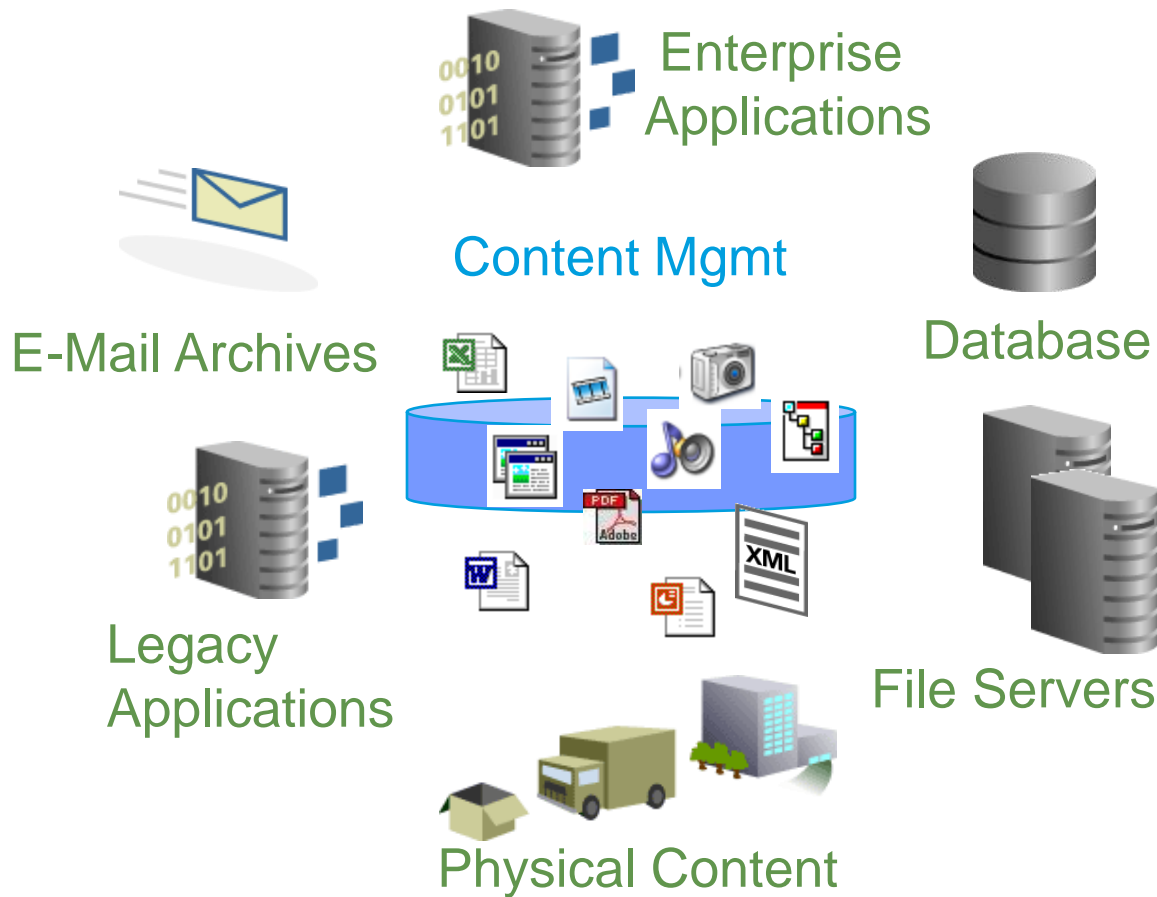
# Significant Product Attributes

- Supports event and time based retention rules
- Structured file plan organizes records and manages, enforces complex policies/rules
- Enables legal holds; facilitates audit and electronic evidence discovery
- All processes are audited and managed
- Ensures record authenticity, integrity, and contextual relationships
- Ensures record access, retrieval, and usefulness
- Prevents unauthorized deletion
- Ensures timely disposition and complete record expungement
- Ensures privacy and record security policy management

# Potential Types of EMC Tools

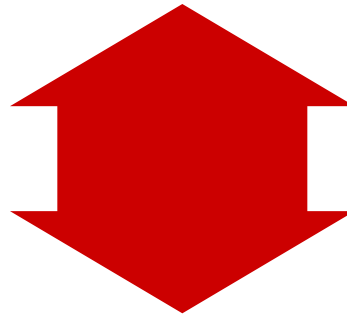
- Enterprise content approaches (Oracle, IBM, Autonomy)
- Traditional records management tools (Open Text, Documentum)
- E-mail archivers (Autonomy EAS)
- Hybrid type tools (e.g., expanded use of EAS archive as a records repository)
- MS SharePoint
- Web content management
- Social content
- Image-processing applications

# Traditional Records Management Tools



**Move content from local and network file shares into a records repository, which forces classification and management of records during their lifecycle**

# Traditional Records Management Tools



Record Repository

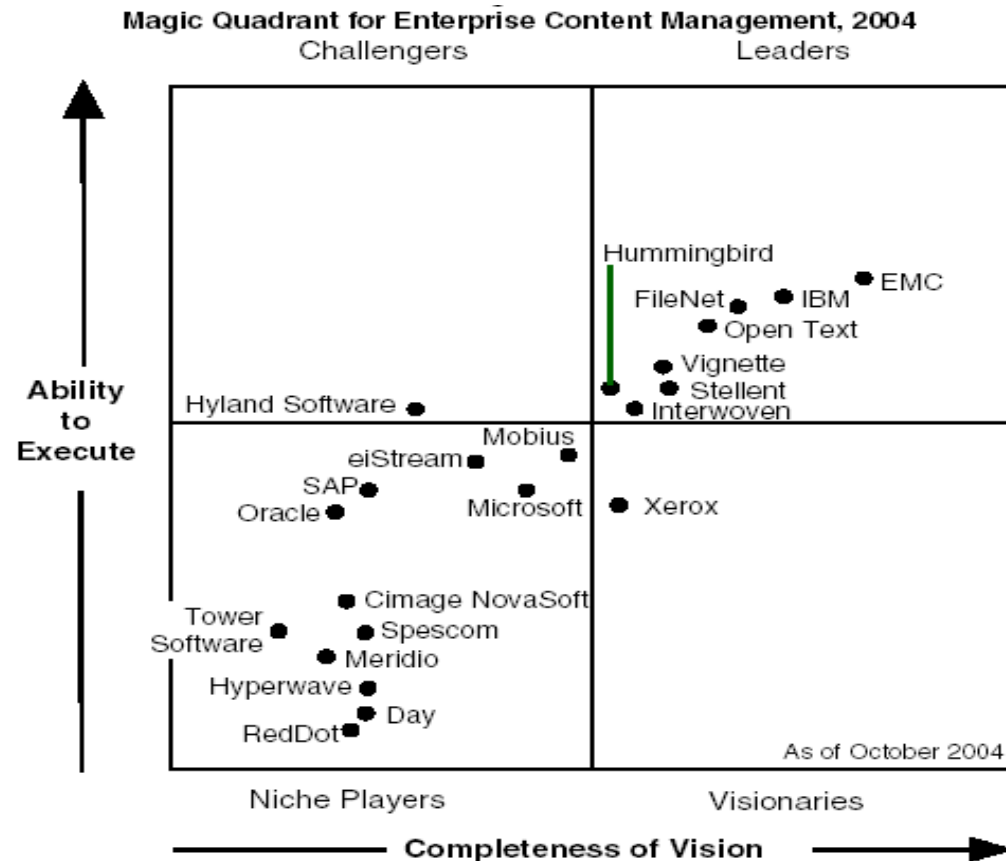
Keep 10 Yrs  
then Destroy

# 2014 Gartner – Enterprise Content Management Systems





# 2004 Gartner – ECM Magic Quadrant



Source: Gartner Research (October 2004)

# Implementation

- Implementation = project management
- Design a plan
- Identify a pilot group
- Run pilot
- Re-evaluate based upon pilot
- Implement across enterprise (consider phased approach)

# Education and Compliance

- Record management initiative is a complex and long-term issue.
- Asking employees to change their work-flow process, going from a keep everything mentality to keep only what is business critical.
- Implementation, education, and communication are the key to any program.
- Compliance is a longer-term issue.

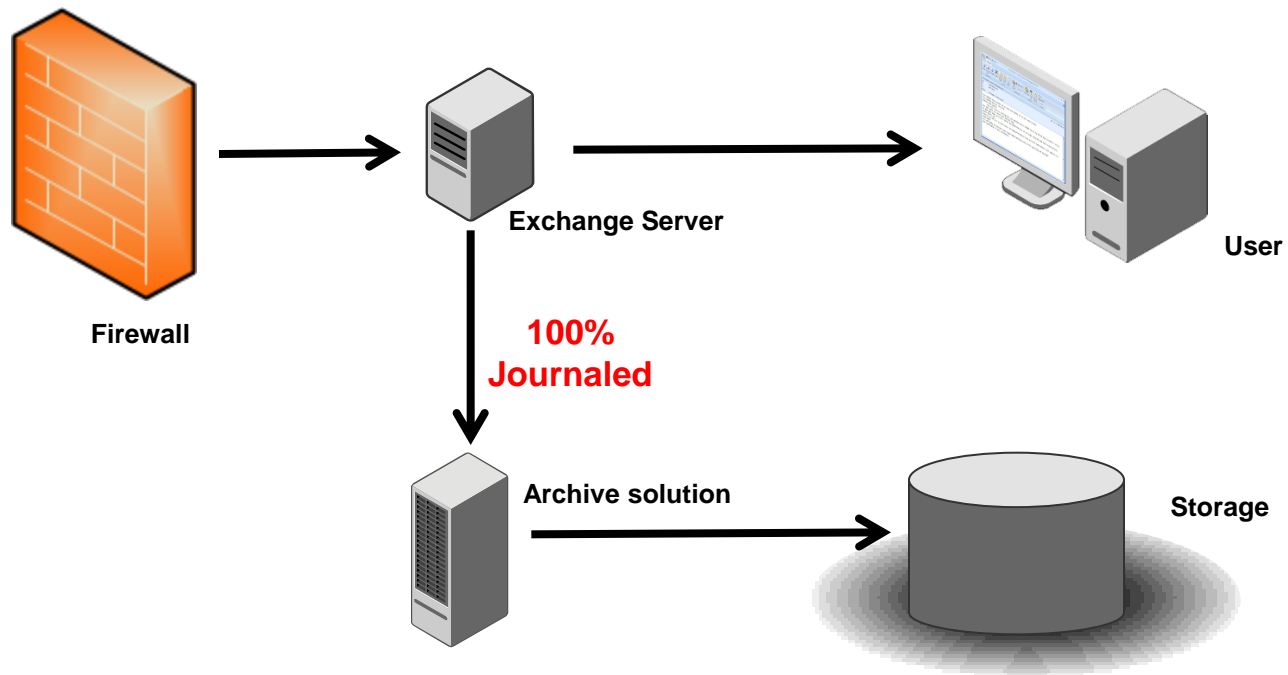


# **A Word About Use of Advance Analytical Engines**

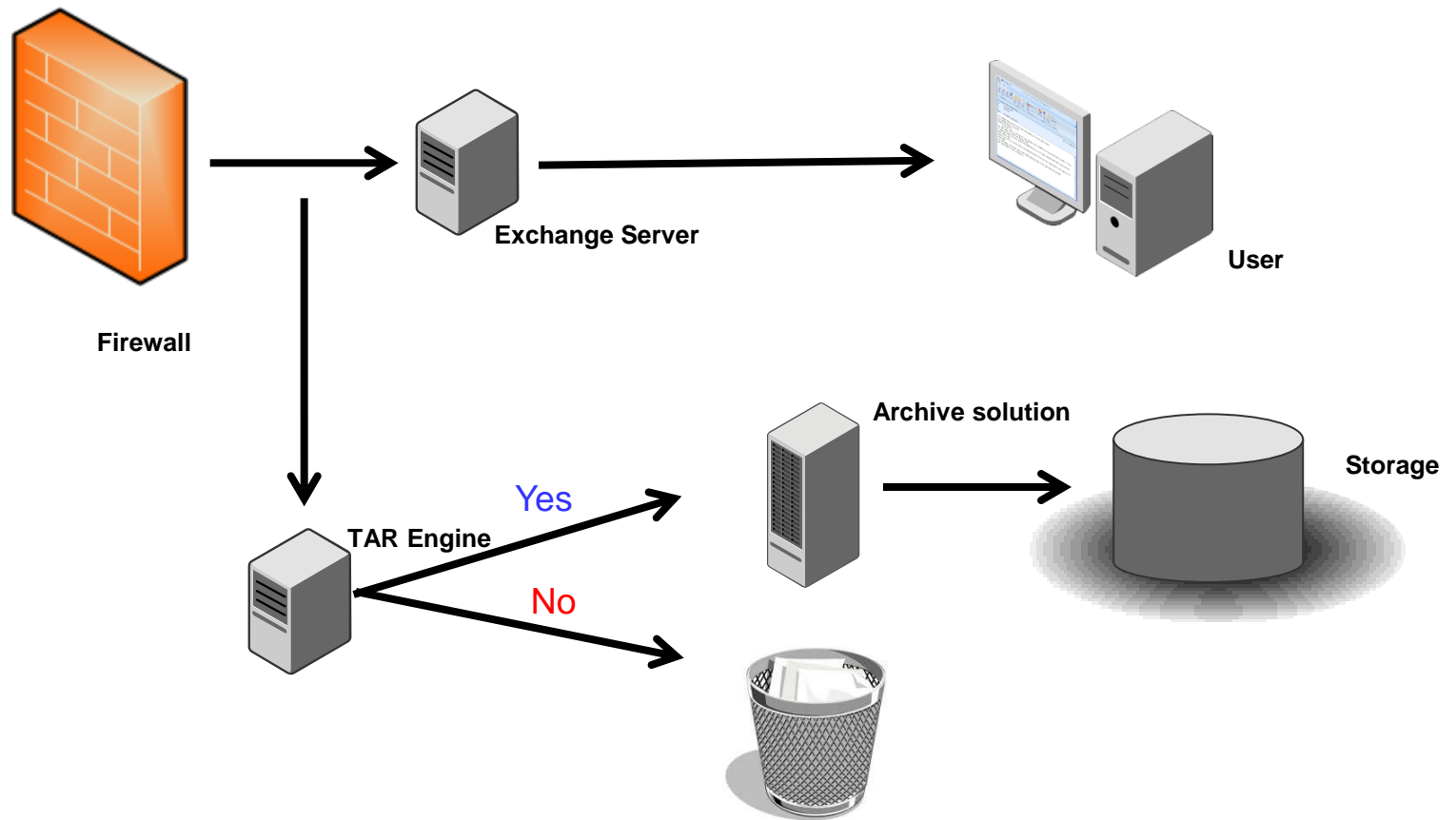
# Winston Case Study

- Background:
  - Highly regulated industry
  - 20,000 plus e-mail users
  - Significant number of legal and business holds
  - Archiving solutions:
    - Result in significant over-preservation
    - Costly to manage over time
- Challenge – how can TAR be used to automate legal and business hold decisions?

# Prior State



# TAR Solution



# How Did We Get There?

- Multiple training exercises:
  - Legal holds
  - Business holds
- Tagging / coding strategy
- Validation and defensibility:
  - Launch
  - Periodic