Discovering and managing data is challenging. Are you a leader or follower?

200+ updates per day from 1000 regulatory bodies\(^1\)

>80% of corporate data is “dark” – it’s not classified protected or governed\(^2\)

68% of companies see themselves as “advanced” or “highly advanced” in adopting AI to automate information governance\(^3\)

\(^1\) Cost of Compliance 2019, Thomson Reuters

\(^2\) IBM Big Data Analytics Hub

\(^3\) Best practices for automating information governance, AIIM, 2019
Intelligent compliance and risk management solutions

Information Protection & Governance
- Protect and govern data wherever it lives

Insider Risk Management
- Identify and take action on critical insider risks

Discover & Respond
- Quickly investigate and respond with relevant data

Compliance Management | Simplify compliance and reduce risk
Information Protection and Governance

Protect and govern data – wherever it lives

Protect Your Data

Know Your Data

Prevent Data Loss

Govern Your Data

Data growing at exponential rate

Unified approach

Discover

Classify

Apply policy

Protection
- Prevent data loss
- Encryption
- Restrict access
- Watermark

Governance
- Archiving
- Retention & deletion
- Records management
- Disposition reviews

Monitor
- Sensitive info discovery
- Content explorer
- Activity explorer
- Audit trail
- Proof of disposals

Devices

Apps

Cloud services

On-premises

ISVs, 3rd-party
Records Management
Manage legal, business, and regulatory recordkeeping obligations

**Built-in**
Classify, retain, review, dispose, and manage content without compromising user productivity and data security

**Intelligent**
Manage unstructured data at scale through automated and intelligent classification (e.g. trainable classifiers)

**Defensible**
Respond to compliance obligations by providing proof of disposal and documented audit trails
IQBG Background and Expertise

Content and Records Management Specialists

Trusted Advisors on Large ECRM programs

End to End, Thought Leadership, Strategy and Delivery

100% Software Agnostic, Experience with Most

Full Suite of Services: Assessments, Roadmap, Software Selection, Core ECRM, Taxonomy, Records, COE, Change Management

150 Customers in FED/SLED and Highly Regulated Industries

Solutions and Services across the full content/records management lifecycle, and partner of choice for public and private institutions of all size.
The Changing Face of the Information Ecosystem

- Historically, Collaboration and Records Management Happened in Different Systems
- Historically, Identity was something managed per-system or integrated superficially
- Historically, security could be implemented at the perimeter
- Historically, Teamwork applications were ad-hoc, informal and formed a part of Shadow IT
- Historically, organizational information was predominantly on-premises
The Intersection of Security, Content, Teamwork and Compliance

- Security Focus Restricts Teamwork
- Teamwork Focus Compromises Security
- Content Focus Increases Compliance Risk
- Compliance Focus Restricts Teamwork

A Holistic Approach is Required
Challenges for Records Managers Today…

- Records Managers are Having to Revise Methodologies based on Physical Records Management
- Only 8% of Records Managers have Adopted SaaS-based Records Management Solutions
- Cloud and Social Platforms Render “File and Declare” Ineffective
- NARA will stop accepting Physical Records in 2022
- Hardware obsolescence, Tape/Disk Decay, File Format Loss
- Pressure to Digitize, Lower Carbon Footprint, Move away from Paper
- Big Data, Unstructured Formats
- Autoclassification Becomes Viable
- Approach to Defensible Disposition using Technology and Automation

Primary Drivers of Information Governance

- Reduced risk of not complying with regulations: 90%
- Improved legal hold and/or legal discovery processes: 82%
- Internal cross-functional collaboration on information governance: 73%
- Data mining or other actions to derive value from information: 61%
Why are Organizations Adopting Microsoft?

Familiar interface, multiple tools

Strong security, Global Presence

Highest Compliance Standards

Scalability, Stability, Availability

Current and future

Anytime, anywhere access

Existing Licensing and Agreements
Current Market Comparison: Strengths and Weaknesses

- Productivity Suite Integration
- Third Party Ecosystem
- SaaS
- Limited Content Capture
- Capacity/Storage Considerations
- Danger of Sprawl
The complexity of the problem...
Content & Records Management + Microsoft 365

Implement **Enterprise Content and Records Management** (ECRM) in **Microsoft 365** (M365) to ensure frictionless collaboration and comprehensive governance within your organization.

**Solution Alignment (Baked In)**

**OFFICE 365 DATA GOVERNANCE FRAMEWORK**

<table>
<thead>
<tr>
<th>IMPORT</th>
<th>GOVERN</th>
<th>MONITOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capture/Import</td>
<td>Manual and auto-classification of content to apply right governance policies</td>
<td>System-enforced lifecycle disposition workflows and defensible deletion processes</td>
</tr>
<tr>
<td>Intelligent import of on-premise Microsoft and third-party data</td>
<td>Classification, Policy, &amp; Sensitive Types</td>
<td>Retention, Archival, &amp; Disposition</td>
</tr>
<tr>
<td><strong>Dashboard, Insights, &amp; Reporting</strong></td>
<td>Monitoring reports and intelligent trend identification and suggestions</td>
<td><strong>Audit, Supervision, &amp; Defensibility</strong></td>
</tr>
<tr>
<td><strong>Retention, Archival, &amp; Disposition</strong></td>
<td><strong>Manual and auto-classification of content to apply right governance policies</strong></td>
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</tr>
<tr>
<td>Compliance and Governance</td>
<td>Security and Identity</td>
<td>Microsoft 365</td>
</tr>
</tbody>
</table>

**Services you will need…**

**Consulting & Assessments**
Rapid assessment of operations that results in:
- ECRM Strategy
- Business requirements
- Roadmap for implementation.

**ECRM Solution / Configuration**
Leader in implementation of ECRM Solutions. This includes configuration of current technology and implementation of supplementary technologies.

**eDiscovery/FOIA**
Services and support in identifying, collecting and producing electronically stored information in response to a request for production in lawsuit or investigations.

**Support & Maintenance**
Assisting our clients to reduce TCO through appropriate support, knowledge-transfer and training; ensuring continued improvement and solution optimization.

Plug gaps specific to your use case with Microsoft Partner Solutions
Some Considerations for Implementing Records Management on M365, In our experience...

(Your approach may vary, depending on your needs)
Understand your “Iceberg”

12% of Data is Business Critical. This is the information that we need to Document

37% of an organization’s data is useful, but only if it is discoverable and analyzed

ROT Costs every organization money. How much does yours cost? How much could you save?

A surprising number of organizations have a “save everything forever” policy

THE DATABERG
THE DARK DATA THAT LIES BENEATH

12%
OF DATA IS BUSINESS CRITICAL

23%
REDUNDANT, OBSOLETE AND TRIVIAL (ROT) - COST TO GLOBAL INDUSTRY: $3.3 TRILLION BY 2020

65%
DARK DATA HIDDEN WITHIN NETWORKS, PEOPLE AND MACHINES

DARK DATA REASONS

85%
No tool to capture and unlock Dark Data

39%
Too much data, not enough analytics

25%
Can only access Structured Data

66%
Data is missing or incomplete
Understand the Evolving Compliance Landscape
Ensure that Records Schedules and Governance Collateral are Relevant and Up-To-Date

<table>
<thead>
<tr>
<th>Item</th>
<th>Records Description</th>
<th>Disposition Instruction</th>
<th>Disposition Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>012</td>
<td>Bids and proposals neither solicited nor accepted. Bids and proposals that are both unsolicited and the subject of no further agency action.</td>
<td>Temporary. Destroy when no longer required for business use.</td>
<td>DAA-GRS-2018-0001-0001</td>
</tr>
<tr>
<td>020</td>
<td>Records supporting compilation of agency financial statements and related audit, and all records of all other reports. Includes records such as: - schedules and reconciliations prepared to support financial statements - documentation of decisions re accounting treatments and issue resolutions - audit reports, management letters, notifications of findings, and recommendations - documentation of legal and management representations and negotiations - correspondence and work papers - interim, quarterly and other reports</td>
<td>Temporary. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use.</td>
<td>DAA-GRS-2013-0003-0011</td>
</tr>
<tr>
<td>030</td>
<td>Property, plant and equipment (PP&amp;E) and other asset accounting. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency’s annual financial statements (agency net worth or financial position). and non-capitalized but monitored PP&amp;E, such as: - purchase orders and contracts - invoices - appraisals - costing and pricing data - transactional schedules - titles - transfer, acceptance and inspection records - asset retirement, excess and disposal records - plant account cards and ledgers pertaining to structures - correspondence and work papers</td>
<td>Temporary. Destroy 2 years after asset is disposed of and/or removed from agency’s financial statement, but longer retention is authorized if required for business use.</td>
<td>DAA-GRS-2013-0003-0004</td>
</tr>
</tbody>
</table>
A Best-Practice Approach to Information Architecture and Knowledge Management in M365

Don’t try and organize your information by department alone… think about the information type, lifecycle and intent.
Create a Governance Framework
(consider a 3rd Party Solution to fill gaps)

IT Governance
(Broad, organization-wide)

Operational Governance
(Application-specific, aligns with IT Governance goals)
- Workspace Provisioning
- Ongoing Management & Enforcement
- Lifecycle and EOL for Workspaces

Data Governance
(Content-specific, aligns with IT Governance goals)
- Item-level Retention & Expiration
- Records Management
- Classification
- DLP
Microsoft Information Governance

Intelligent and built-in information and records management

GOVERN YOUR DATA

Automatically retain, delete, and store information and records in a compliant manner

INFORMATION GOVERNANCE
Manage risk and liability by only keeping what you need and deleting what you don’t across your entire digital estate

RECORDS MANAGEMENT
Manage high value content following the specialized workflows required to meet legal, business, or regulatory recordkeeping obligations
Develop Information Architecture
(Taxonomies, Content Types and Managed Metadata)
Document your Critical Information Lifecycles

Critical Stages in the Life of a Document

- Created
- Authored
- Versioned
- Enriched
- Shared
- Retained
- Archived
- Published
- Approved

Disposition
Design your Microsoft Teams Collaboration Space
Understand how Team’s Lifecycles Influence Document Lifecycles

Critical Stages in the Life of a Document

- Needing
- Qualifying
- Approving
- Creating
- Onboarding
- Retention
- Offboarding
- Closing
- Collaborating
- Disposition
# Build out Informational Workflows for Your Critical Processes

**Executive Office / Trustee Items Workflow**
- Event-focused Team

## Timeline

<table>
<thead>
<tr>
<th>Event</th>
<th>Initiation</th>
<th>Compile Agenda</th>
<th>Marketing</th>
<th>Finish Prep</th>
<th>The Event</th>
<th>Wrap Up</th>
<th>Recordkeeping</th>
</tr>
</thead>
<tbody>
<tr>
<td>学院</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Task View

<table>
<thead>
<tr>
<th>Corporate Secretary</th>
<th>Trustees</th>
<th>Business Unit Contributor</th>
<th>Records Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email/Calendar: Outlook</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Files: SharePoint</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tasks: Planner</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lists: SharePoint</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Video: Stream</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone Call</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Workflow: Power Automate</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Agenda</th>
<th>Agenda Materials / Exhibits</th>
<th>Presentations</th>
<th>Minutes</th>
<th>Meeting Recording</th>
<th>Marketing Materials</th>
</tr>
</thead>
</table>

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### Example

<table>
<thead>
<tr>
<th>DEPARTMENT</th>
<th>External sharing</th>
<th>Expiration/retention</th>
<th>Allow these users to create a workspace</th>
<th>Recertify members</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>No external sharing</td>
<td>6 Months after last accessed</td>
<td>All requests through Central IT</td>
<td>after 3 Months</td>
</tr>
<tr>
<td>B</td>
<td>External sharing allowed in:</td>
<td>12 Months after last accessed</td>
<td>All requests through Department IT</td>
<td>after 6 Months</td>
</tr>
<tr>
<td>C</td>
<td>External sharing only allowed in:</td>
<td>9 Months after last accessed</td>
<td>Only Joe, Sally, and Harold can create</td>
<td>after 12 Months</td>
</tr>
</tbody>
</table>
Migrate with Vision, Purpose, and with a Plan…

- **Analyze**
  - Understand On-Premise Information Silos
  - Catalog Information
  - Use AI to identify sensitive information
  - Document Compliance/Regulatory Landscape
  - Organizational Policies and Records Schedule

- **Strategize**
  - Retention Strategy
  - Compliance Roadmap
  - Migration Strategy
  - Disaster Recovery
  - Information Strategy

- **Plan**
  - Migration
  - Digitization
  - Information Governance
  - Compliance

- **Implement**
  - Information Architecture
  - Content Ecosystem
  - System Integrations
  - COE and COP
  - Policies and Processes
  - Automation
  - Migration

- **Operationalize**
  - eDiscovery and PII
  - Per BU Workspaces
  - Disposition
  - Training
  - Change Management
Use Automation and Workflows for Efficiency and Cost Savings…
Change Management, Adoption and Training...
What does the process look like, in broad terms?

(Your approach may vary, depending on your needs)
What does the Journey Look Like?

0-6 Weeks
- Current State
- ECRM Survey
- Quick Start Assessments (3 Weeks)
- Prioritization & ROI Evaluation
- Planning Blueprint

3-9 Months
- O365 Setup
- HLA *
- Information Architecture
- Program of Transformation Roadmap

6 Months & Beyond
- Per BU Transformation
- Rollout Completed
- Continuous Compliance

Evaluation, planning and prioritization
Adoption, Training & Change Management

* Enterprise and/or Departmental HLA’s
The changing landscape

There has been a substantial move in the information governance space over the past years.

Create / Collaborate / Content Management
- Microsoft
- Google Apps
- Etc.

Records Management
- OpenText
- FileNet
- Alfresco
- Etc.

Create / Collaborate / Content Management / Records Management

Software Platforms

Create / Collaborate / Content Management / Records Management

Long Term Archive

WHY IS THIS HAPPENING?
- Compliance requirements— not just about documents
- Blurring of lines between what is content and what are records

(R)evolution of software platforms
- Licensing models
- Change in work/delivery model
- Collaboration expectation

ALL OF THIS IS DRIVING:
- Importance of assessments
- Selection of platforms/technology
- Correct configuration and maintenance of environments
Where is your Goldmine?