Educa&onal Event
Spring 2015

BEYOND THE RIM HORIZON
Capitalizing Upon the Intersecting IG Career Building Blocks for the RIM Professional
PRESENTERS:

BEYOND THE RIM HORIZON

PROFESSIONAL DEVELOPMENT TRACK

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INFORMAL POLL:
Welcome & Thanks For Joining Us Today!

First Time Conference Attendee?

A Returning Conference Attendee?
INFORMAL POLL: Getting to Know You!!

- RIM Professional in Law Firm?
- RIM Professional in CLD?
- RIM Professional – Enterprise?
- IT Professional?
- Consultant/Vendor?
AGENDA:
BEYOND THE RIM HORIZON
PROFESSIONAL DEVELOPMENT TRACK

- Information Governance Arena
- Enterprise Content Management
- Records Management
- eDiscovery & Legal Hold
- Knowledge Management
- Big Data
- IG/RIM Learning & Resources
A MESSAGE FROM THE PRESIDENT.....

BEYOND THE RIM HORIZON

PROFESSIONAL DEVELOPMENT TRACK

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Principal

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Program Kick Off

IG Career Options

ARMA Professional Development

ARMA
Northern New Jersey

Long Island Chapter

ARMA International
In the Heart of New England

ARMA
METRO NYC CHAPTER
Defining IG

The Spokes on the Wheel

IG & The RIM Professional
Information Governance is:
The activities and technologies that organizations employ to maximize the value of their information while minimizing associated risks and costs.

93% of respondents agreed
96% of practitioners agreed
95% of providers agreed
85% of analysts agreed

TRENDS IN INFORMATION GOVERNANCE – THE BALANCING ACT!
Information Governance – Trends Impacting Technology

- Compliance
- eDiscovery
- Social Networking
- Globalization
- Work/Life Balance
- Virtual Offices
- Legal Delivery Models
- Outsourcing
- Multi Generational Workforce
INFORMATION GOVERNANCE – SPOKES ON THE WHEEL
### Info Governance – Department Classifications

<table>
<thead>
<tr>
<th>Crisis Oriented</th>
<th>Tactical</th>
<th>Strategic</th>
<th>Analytic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Few (if any) Defined Processes</td>
<td>Taking basic steps to move out of Crisis Oriented mode</td>
<td>Best Practices: Logically Managed vs Reactionary Processes – Yes – there’s a defined plan!</td>
<td>Goal = Continual Collaboration - Internal Teams viewed as strategic business partners</td>
</tr>
<tr>
<td>Professionals valued for their knowledge of being able to put out fires</td>
<td>Moving towards managing projects &amp; resources</td>
<td>Teams are valued for proactive abilities</td>
<td>Automated business processes support &amp; define organizational goals</td>
</tr>
<tr>
<td>Manual / inefficient Processes are rampant</td>
<td>Recognizes need for enhanced technology tools &amp; processes</td>
<td>Definitive Implementation of technology and processes to increase efficiency</td>
<td>Leading the charge to utilize industry tech tools and implement programs to minimize risk &amp; improve process</td>
</tr>
<tr>
<td>Email is primary IT organizational tool</td>
<td>Lacking ability to implement overarching &amp; repeatable solutions</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
“Our technological powers increase, but the side effects and potential hazards also escalate.”

Alvin Toffler
# Info Governance Challenges

## Unique Requirements
- Litigation, Contractual, and Advisory Focuses
- Regulatory/Compliance Processes
- Legal/IP Oversight
- Legal Research & Knowledge Mgmt
- Effective Case/Matter Management

## Overcoming Obstacles
- Manual Processes
- Disparate Systems
- Multiple Vendors
- Multitude of Unique Technology Tools
- Silos within Organization
- Lack of Vertical Market Focused Applications

## Trendsetting Goals
- Simplify the Processes for the Teams
- Manage the Spend
- Provide effective legal technology tools to streamline & automate required Business processes
- Develop “world class” Technology Strategy for the future
INFO GOVERNANCE CHALLENGES FOR LAW FIRMS & CORPORATE LEGAL DEPARTMENTS

Compliance

Information Governance

Process Automation
INFORMATION GOVERNANCE & THE RIM PROFESSIONAL

Get a Seat at the IG Table

Be ahead of the IG/ RIM Curve

Interconnecting Policies & Procedures

ARMA Northern New Jersey
ARMA ARMA International
Long Island Chapter
ARMA Connecticut Chapter
ARMA METRO NY Chapter
“Information technology and business are becoming inextricably interwoven. I don't think anybody can talk meaningfully about one without talking about the other.”

Bill Gates
ENTERPRISE CONTENT MANAGEMENT (ECM / DMS)

Defining ECM

Intersections with RIM

Vendors In the ECM Arena

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Technology/Digital Darwinism occurs when the pace of technology innovation is moving faster than the speed people will adopt new tools and methods...
THE INFORMATION GOVERNANCE CHALLENGE

EXPLOSION OF DATA
- Data doubling every 12-18 months
- New, unstructured data types to manage
- Storage growth is outpacing IT budget
- Growth of ungoverned structured data

DATA EVERYWHERE
- Mobile, virtual, cloud joins physical and on-premise
- New Data Security considerations
- 67% of users have three or more computing platforms

REAL-TIME ACCESS
- Always-on applications and users
- Users have high up time expectations
- Business continuity moves to forefront

INCREASED REGULATIONS
- Escalating regulatory and higher volumes
- Find the “needle in the haystack”
- Utilize corporate information assets

Net-Net: Growing IT Burden, Business Inefficiency and Risk Exposure

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COMPLIANCE & THE TECHNOLOGY CHECKLIST

- Paper to Electronic Conversion
- File Storage Reduction
- Email Management
- Audits & Regulatory
- Document Management System
- Internal Data Security Policies
- Records Management & Retention Policy
- Mobile Device Management
- Secure File Transfer Processes
- Data Security/Internal Firewalls

ARMA Northern New Jersey
ARMA International
Long Island Chapter
ARMA International Connecticut Chapter

METRO N Y C CHAPTER
Intersecting Challenges for Compliance & RIM

- Increasing volume and complexity of laws and regulations
- Evolution and expanded scope of business practices
- Expansion of information capture
- Failure to comply = Sanctions
- Reputational Backlash for non-compliance
- Compliance regulators and legislators comprehend the power of technology

FINRA, FDA, FTC, SEC, HIPAA, PIAA, SOX, IRS, COBS, NFA
DMS Required Functionality

- Capture
- Storage
- Indexing
- Locating
- Retrieval
- Auditing

Components of a Document Management System

DMS

Refers to the use of a computer system and software to store, manage and track electronic documents and electronic images of paper-based information captured through the use of a document scanner.

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<table>
<thead>
<tr>
<th>Content / Record Types to Be Managed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email Correspondence</td>
</tr>
<tr>
<td>Paper Records</td>
</tr>
<tr>
<td>Documents &amp; Spreadsheets</td>
</tr>
<tr>
<td>Web Content</td>
</tr>
<tr>
<td>Portable Storage Devices</td>
</tr>
<tr>
<td>Data stored on Personal Devices</td>
</tr>
<tr>
<td>Digital Images</td>
</tr>
<tr>
<td>CD / DVD/Thumb Drives</td>
</tr>
<tr>
<td>Faxes</td>
</tr>
<tr>
<td>Server Data</td>
</tr>
<tr>
<td>SharePoint</td>
</tr>
<tr>
<td>Social Media</td>
</tr>
</tbody>
</table>
TECHNOLOGY ACRONYMS – ALPHABET SOUP

ECM
Enterprise Content Management

OCR
MFD
RM
FTP
KM
DMS
BPM
CRM
MDM
ESI
CASE
MGMT
What is ECM?

Enterprise Content Management (ECM) is the strategies, methods and tools used to capture, manage, store, preserve, and deliver content and documents related to organizational processes.

ECM tools and strategies allow the management of an organization's unstructured information, wherever that information exists.
REQUIRED COMPONENTS FOR ECM PLATFORM

Legal Focus
Integration
MDM
Email Management
Legal Content DMS
Versioning
UX
Scalability & Uniformity
Security
KEY RIM & COMPLIANCE CHALLENGES TO ADDRESS

Compliance Record Keeping

- Industry Specific Reporting Dictated by Regulatory Arm
- Business Documents/Records
- Email Management
- IM Conversation Capture
- Application Data
- Holistic View of KYC Relationships
BUSINESS PROCESSES IMPERATIVES

- Make everything mobile
- Digitize processes
- Make the business social
- Automate information governance
- Mine big content
- Commit to the cloud

Organizations are facing an avalanche of information, in forms and formats and via devices that weren’t even on the radar screen five years ago. Images and documents are the core of systems of record. Conversations — in a wide variety of forms and on a dizzying array of devices — are now the challenge. Best practices in this new world are scarce, the pressure by the business to implement is accelerating, a generation of networked millennials is ready to enter the workforce, and connections back to the familiar world of systems of record are tenuous. Our traditional definitions of control and governance must adapt to meet the changes of this new world.
INTERSECTING COMPONENTS OF AN ECM IMPLEMENTATION

- Document Sharing
- Security
- Compliance & Policy Enforcement
- Internal & External Collaboration
- Required Business Processes
- Email Management
Benefits of an ECM Environment

- Business Continuity
- Risk Mitigation
- Maximize Knowledge Sharing
- Improve Process Efficiencies
- Minimize Duplication of Efforts
- Regulatory Compliance
VENDORS IN THE DMS/ECM ARENA

Enterprise IG
FileSite
eDiscovery
Records Mgmt
ControlPoint

netdocuments

OPENTEXT

EMC²

Worldox

Alfresco

ARMA

Northern New Jersey

ARMA

Long Island Chapter

ARMA International

Connecticut Chapter
CONTENT MANAGEMENT
DMS/ECM SOLUTION COMPONENTS

Content Creation

Content Management

Content Distribution

Content Retention

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“The first rule of any technology used in a business is that automation applied to an efficient operation will magnify the efficiency.

The second is that automation applied to an inefficient operation will magnify the inefficiency.”

Bill Gates
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Prudential  
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RIM and the Big Picture

RIM and the IG Intersection

Professional Development
RECORDS AND INFORMATION GOVERNANCE
WHERE IS THE RECORD?

Records must be:

- Controlled
- Available
- Managed

Accessible to the **End User** at the **Right Time**
ORGANIZATIONAL STRUCTURE

- Responsibilities
- Authority
- Delegation
- Roles
- Functions
- Placement Within The Organization
Is It a Record in Your Organization?

- Email
- Official Mail
- Agreements & Annotated Agreements
- Content

Is it the NON-Record?
RECORDS LIFE CYCLE CONSIDERATIONS

+STAFFING

Disposition

Create

Social Media

+MERGERS

Distribute

Use

+EMAIL

+DISCOVERY
RIM Decision-Making

1. Problem Defined
2. Alternatives / Options
3. Evaluate Options
4. Best Solution
5. Implement

Northern New Jersey Chapter
Long Island Chapter
ARMA International
Metro NY/C Chapter

ARMA Northern New Jersey
Long Island ARMA
ARMA International
ARMA Metro NY/C

ARMA International
In the Heart of New England
GROUP EXERCISE

- Identify 1-2 Partners
- No more than 3 individuals

Time: 7-10 minutes
THE RIM INTERSECTION IN YOUR CAREER

- Retention Schedules
- Electronic Content
- Policy
- Procedures
- Data Security
- Privacy
- Disaster Planning
- Training
EDISCOVERY & LEGAL HOLD

EDiscovery Overview

Legal Holds & Preservation Obligations

EDRM – Left Side / Strong Side

Litigation Lifecycle of a Record

Taking IG to the next level

Michael Landau
VP, eDiscovery, IG & Media

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ARMA-Metro/NYC & ARMA-Northern NJ
Legal Holds & Preservation Obligations

- Legal Hold
- F.R.C.P.
- Spoliation
- Forensics
- Duty To Preserve
Left Side:
- Information Governance
- Identification
- Preservation
- Collection

Data Growth
- Records management
- Cost containment
- Defensible Disposition
Litigation Lifecycle of a Record

• The Birth of a Record
• Triggering Lifecycle Events
• The EDRM Process
• Managing the Records
• Managing the People
• Following the Rules & Policies
Knowledge Management

Theory of KM
KM Tools
KM Approaches
KM Strategy
Knowledge Management
“Knowledge management is the process of capturing, developing, sharing, and effectively using organizational knowledge.”

- Thomas Davenport
KM vs. IG

KM

Knowledge Audit
Leverage IC
Obsolete Knowledge
Knowledge leaves the organization

IG

Info Audit
Protect IC
Record retention date
Legal holds and depositions

Shared Ecosystem
Ongoing Projects
Organize Info and Knowledge
Nonaka SECI Model

Tacit

Tacit

Socialization

Externalization

Explicit

Internalization

Combination
Knowledge Audit

- Strengths
- Weaknesses
- Opportunities
- Threats
KM Tools

• Corporate wiki, blogs and team sites.
• Discussion Forums / Communities of Practice
• Facilitated Collaboration
  – Web conferencing
  – Workshops
  – Think Tank
KM Strategy

- Capture
- Developing
- Effectively Using
- Sharing
Capturing

- Knowledge Jam
- Procedure Writing
- After Action Review
- Knowledge Harvesting™
- Mentoring
- Journalistic Interview
- Peer Assist
- Innovation Jam
- Instructional Design
- Community of Practice
- Search Alerts
- Wiki

Kate B. Pugh, Sharing Hidden Know-How
Sharing

Challenges

- Hording
- Not Invented Here
- Search Problems
- IG Policies
- Language, Time or Distance

Stimulators

- Gamification
- Performance Reviews
- Unifying Goals
- Create a Core Value of Teamwork
- Make it a Habit

Create a Core Value of Teamwork

Make it a Habit

Unifying Goals

Performance Reviews

Gamification

Language, Time or Distance

Search Problems

- IG Policies
- Not Invented Here
- Hording

Challenges

Sharing
Developing

Create Scalable Approaches
Inherently Rewarding
Don’t Expect Perfection
Break Down Barriers
Make It Fun
Make It Rewarding
Pilot and Measure
Effective Use of KM

- High Value Opportunities
- Knowledge Reuse
- Internal Collaboration
- External Collaboration
- Learning from Innovation Activities
- Continuous Improvement
BIG DATA

Introduction & Definitions

Predictive Analytics

Predictive Coding

JOHN SCHAFFER
AIIM
President, New York City Chapter
Predictive Analytics

http://comptroller.nyc.gov/reports/claimstat/#pedestrianclaims
What’s Next?
SUCCESSFUL PATHWAYS FOR THE RIM PROFESSIONAL

Staying Current as a RIM Professional
Certification Pathways
Publication Resources

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CREATING AN INFORMATION GOVERNANCE ROADMAP

- Email Mgmt
- DMS
- Big Data
- KM
- Workflow
- Business Continuity
- Cloud
- Matter Mgmt

Are We There Yet?
If you only have a hammer, you tend to see every problem as a nail.

*Abraham Maslow*
PROFESSIONAL KNOWLEDGE RESOURCES...

- Professional Journals
- ARMA Events
- Technology Conferences
- Vendor Webinars
- Professional Membership
- Social Networking
Professional Certifications

- CRM: Certified Records Manager
- IGP: Information Governance Professional
- CIP: Certified Information Professional
Any change, even a change for the better, is always accompanied by drawbacks and discomforts.

Arnold Bennett
Technology is nothing.

What's important is that you have a faith in people,

That they're basically good and smart,

And if you give them tools,

They'll do wonderful things with them.

Steve Jobs
Thank You!

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