What is Information Governance and why it is so Important!
INFORMATION GOVERNANCE

What You Will Learn:

01 | Why Information Governance is Important.

02 | What is the Information Governance?

03 | Information Governance Challenges

04 | Managing the Information Lifecycle

05 | Resources to Help You on Your Journey
10 Biggest Government Data Breaches

10. State of Texas: 3.5 Million Affected (2011)

9. South Carolina Department of Revenue: 3.6 Million Affected (2012)

8. Tricare: 4.9 Million Affected (2011)


5. Virginia Department of Health Professions: 8.3 Million Affected (2009)


https://digitalguardian.com/blog/top-10-biggest-us-government-data-breaches-all-time
Department of Revenue Challenges

- No Formalized Information Governance Plan
- Retention Schedule difficult to track / follow
- No Automated / Integrated Retention Plan
- Decentralized Storage
  - Current vs Prior Years
  - Third Party
- Multiple Departments touching Documents
- Not all returns are Electronic/Imaged
- Electronic Images Over retained due to value of historical data
- No mechanism to destroy Electronic Data
- Data / Documents often over retained resulting in increased liability
Typical Retention Language

• “Retain in Agency then **destroy seven (7) years after all account information is final, canceled, or defunct, has had no transactions except clearing card transactions, or a never liable, with a status code date greater than one (1) year, and audit.”**

• “Retain in Agency, then destroy after **five (5) years or audit**, whichever is longer.”
Typical Storage

- State level File Rooms / facilities
- Auditor / Examiner Desks
- Conference Rooms
- Third Party Vendors
- Online Storage / Image Repository
Typical Destruction Methods

• Department Level Destruction
• External Agency providing Destruction
• Third Party

Destruction tends to concentrate on physical/Paper destruction. Electronic assets are often overlooked.
Information Governance is not a “Nice to Have”...

- Without a manageable Information Governance Plan:
  - Data (Paper/Electronic) is over retained and liability increases
    - Potential Breaches are Larger
    - Discoverable Data is Available
  - Paper storage continue to grow
    - Requires more warehouses
    - Documents stored in less secure areas
      - Conference Rooms
      - Offices
    - Documents more prone to damage
      - Water Damage
      - Miss Handling/Filing
      - Document Loss
  - Electronic storage increases
What is “Information Governance?”

Lucas Neblina
Records and Information Management Professional

Is “Information Governance” Different from “Records and Information Management?”

Nancy Everest
Records and Information Management Professional
### What’s the difference?

#### RIM
- Policy for all paper and electronic records
- Implementation support: training and ongoing communication
- Compliance metrics
- Cost containment through storage options
- Defensible disposition
- Records Coordinator network
- Inventory Management

#### Information Governance
- Framework for accountability
- Multi-disciplinary: IT, RIM, Security and Privacy, Legal / Compliance, Business Lines
- Unified governance
- Focus on risk, efficiency, profit
- Policy integration
- Process transparency
- Collaboration
Managing the Information Lifecycle
Current Environment
Department Of Revenue Challenges

- Disconnected/Outdated Systems & Data Repositories
- Manual Processes
- Protecting Sensitive Information
- Heavy Paper Use
- Budget
- Difficulty Accessing Information
- Data Breaches
- Mandates & Compliance
- Expectations for 24/7 Self Service
The Data & Technology Challenges

- Hard-copy historical records
- Mainframe systems
- Unstructured data
- IT modernization & digital transformation
Potential Disruptors

- Taxpayer Expectations
- Fraud & Breaches
- Data Analytics
- Knowledge Transfer
- Budget Constraints
- Technology
Managing the Information Lifecycle
THE INFORMATION LIFECYCLE

- Securely store and access
- Leverage intelligence & insights
- Enable restoration and disaster recovery
- Create content
- Apply retention, privacy & classification
- Digitize/convert/migrate
- Integrate workflow/BPM
- Create content & policy & governance
- Digital & physical
- Policy & governance
- Secure chain of custody
- DISPOSE/RECYCLE
- DESTROY
- STORE
Create Unified View of Your Data and Related Obligations

CONNECT CRITICAL INFORMATION ABOUT YOUR DATA

SHOW CONNECTIONS VISUALLY THROUGH DATA FLOW MAPS
COMPANIES TYPICALLY USE ONLY 5% TO 10% OF THE DATA THEY COLLECT.

– Source: Ernst & Young, 2018
Reduce Costs & Risks

Most information is needlessly retained far beyond retention requirements.
Over-retained information is a liability and racks up costs.

They can’t hack what you don’t have.
Get rid of what you legally can to protect yourself from data breaches.

Retention Schedule = Foundation for Consistency

Having a current retention schedule and sticking to it consistently will help you:
• reduce risk (regulatory, legal, financial, operational, AND reputational)
• save on storage and legal discovery costs
• satisfy audits and regulatory inquiries
• defend your program in legal and litigation matters
THE INFORMATION LIFECYCLE

- DISPOSE/RECYCLE
- ENABLE RESTORATION AND DISASTER RECOVERY
- SECURELY STORE AND ACCESS
- LEVERAGE INTELLIGENCE & INSIGHTS
- DIGITIZE/CONVERT/MIGRATE
- APPLY RETENTION, PRIVACY & CLASSIFICATION
- INTEGRATE WORKFLOW/BPM

Create Content
Policy & Governance
Digital & Physical

Poly internal: Secure Chain of Custody
THE INFORMATION LIFECYCLE

DISPOSE/RECYCLE

ENABLE RESTORATION AND DISASTER RECOVERY

SECURELY STORE AND ACCESS

LEVERAGE INTELLIGENCE & INSIGHTS

CREATE CONTENT

APPLY RETENTION, PRIVACY & CLASSIFICATION

DIGITIZE/CONVERT/MIGRATE

INTEGRATE WORKFLOW/BPM

SECURE CHAIN OF CUSTODY

POLICY & GOVERNANCE
DIGITAL & PHYSICAL

CREATE

STORE

USE

DESTROY
THE INFORMATION LIFECYCLE

DISPOSE/RECYCLE

SECURELY STORE AND ACCESS

ENABLE RESTORATION AND DISASTER RECOVERY

CREATE CONTENT

APPLY RETENTION, PRIVACY & CLASSIFICATION

DIGITIZE/CONVERT/MIGRATE

INTEGRATE WORKFLOW/BPM

CREATE

POLICY & GOVERNANCE
DIGITAL & PHYSICAL

STORE

USE

LEVERAGE INTELLIGENCE & INSIGHTS

SECURE CHAIN OF CUSTODY
Disconnected Processes & Products

- Scanning/Tape Ingestion
- Workflow Integration
- Security and Governance Processes
- Standalone Classification Processes
- Digital Data Ingestion
- Content Analytics

[Diagram showing various disconnected processes and products]
Seamless and End-to-End

- ML/AI Enabled Auto Classification, Metadata enrichment, and Content Analytics
- Workflow Integration
- Scanning/Tape Ingestion
- Digital Data Ingestion
- Security & Governance

- Derive actionable insights from dark data
- Ensure the content is managed according to policy
- Classify and extract once – then re-use across multiple downstream processes
- Seamlessly integrate physical and digital content
THE INFORMATION LIFECYCLE

- Secure chain of custody
- Create content
- Apply retention, privacy & classification
- Digitize/convert/migrate
- Integrate workflow/BPM
- Securely store and access
- Leverage intelligence & insights
- Create content policy & governance
- Digital & physical
- The information lifecycle
THE INFORMATION LIFECYCLE
THE INFORMATION LIFECYCLE
Organizations must manage a proliferation of devices, as well as an increasingly complex compliance environment

Does your organization manage some or all of these assets?

• Tapes
• Hard drives
• Servers & data center equipment
• PCs and laptops
• Mobile devices (tablets, phones, etc.)

You organization needs to be compliant

• FTI, HIPAA, IRS Pub 1075
• State laws and regulations, tax codes

Failure to dispose properly of IT equipment can have serious consequences for your data, the environment, and your brand
Top Tips

• Information Lifecycle Management is more important than ever

• Understanding your data is key to protecting it

• Workflow automation helps mitigate risks and enables compliance

• Leverage technologies to strengthen data management
QUESTIONS & ANSWERS
Connect With Us

Follow @IronMountain

Connect with the speakers:
- Michael Smith, Senior Development Executive, Iron Mountain
- Kelly Matoney, Principal & Practice Leader, Iron Mountain

Resources

Iron Mountain Government Solutions
Iron Mountain Policy Center Solution
Iron Mountain Clean Start
Iron Mountain SITAD (Secure IT Asset Disposition)
Iron Mountain Privacy Advisory Service
ABOUT IRON MOUNTAIN

Iron Mountain is trusted by **225,000 customers worldwide** to store and protect information and assets at **1,400+ facilities** in **53 countries** around the world.

**Iron Mountain Government Solutions** is the division of Iron Mountain dedicated to providing data and information management solutions to government agencies for more than 60 years.
THANK YOU
CREATE CONTENT

Do you have an inventory of applications and record/data types?

Do you have data maps?

Do you know how information flows through your organization?

When a new application is implemented, do you understand how to impose records and information management (RIM) policy?

Do you have a formal RIM or IG program in place with up-to-date policies and procedures?

Key Benefits

1. Know what data you have, where it is stored, and if it is shared with 3rd parties
2. Up-to-date policies and procedures ensure employees can comply with requirements
Do you have a retention schedule that is up to date and includes all functions and locations/jurisdictions where you do business?

Does it cover both physical and digital records, including email, chats and social media?

Do employees have access to it?

Are you aware of your obligations to protect your customers’ and employees’ private information based on state/province, federal, and regional legal requirements – and what that means for how you manage their info through its life cycle?

Do you rely on people to apply retention and privacy rules to your content (physical and digital), rather than a process (like Business Process Management “BPM”) or technology?

Key Benefits

1. Know what legal, administrative, and regulatory requirements apply to the data
2. Manage collection, use, and processing of data in a compliant way
3. Utilize technology to increase accuracy and efficiency
DIGITIZE/CONVERT/MIGRATE

<table>
<thead>
<tr>
<th>PAPER</th>
<th>Do you need to unlock your paper records to facilitate access for operational, litigation/audit or regulatory requirements?</th>
</tr>
</thead>
<tbody>
<tr>
<td>TAPE</td>
<td>Is there content on tapes that should be restored to facilitate access for operational, litigation/audit or regulatory requirements?</td>
</tr>
<tr>
<td></td>
<td>Do you need to recover from a disaster?</td>
</tr>
<tr>
<td></td>
<td>Do you have a “cloud first” strategy that includes moving content from back-up or archival tape to the cloud? Will you back-up to the cloud directly moving forward?</td>
</tr>
<tr>
<td></td>
<td>Do you need to securely destroy legacy tapes once data is migrated?</td>
</tr>
<tr>
<td></td>
<td>Will you monetize or mine information for value using ML and AI applications?</td>
</tr>
</tbody>
</table>

Key Benefits

1. Know what data you have, where it is stored, and if it is shared with 3rd parties
2. Know what legal, administrative, and regulatory requirements apply to the data
3. Manage collection, use, and processing of data in a compliant way
4. Formal roles and responsibilities provide clarity and accountability
Do your AP, AR, HR and contract teams follow a standard workflow?

What if you could gain efficiencies by leveraging repeatable workflows?

What if you could automatically assign metadata or index terms, gating the information and moving it when a task is complete, guaranteeing authorized access only and enabling final disposition?

Key Benefits

1. Reduce cost and gain efficiency by automating workflows
2. Minimize errors (and risk) by preventing data duplication and leveraging data from original sources in other workflows
3. Effectively control access and disclosure of personal & sensitive data
4. Gain insights into data and processes
LEVERAGE INTELLIGENCE & INSIGHTS

Do you have a need to auto-classify and manage content based on its attributes, like personal data or IP?

What if you could use ML/AI to use data and records in ways to benefit your business?

What if you could use “Google-like” natural language searches to access information?

Key Benefits

1. Reduce risk and errors by automatically applying rules and workflows to data
2. More quickly identify issues and opportunities to improve data management
3. Find and analyze data more quickly and accurately
SECURELY STORE & ACCESS

Are you sure that the requisite chain of custody, security and privacy obligations for information are met for as long as required – while both in transit and at rest?

Are you maximizing your real estate footprint? Closing offices or reconfiguring your workplace?

Does your “cloud first” strategy include data migration services from legacy storage sources, including tape?

How do you protect vital information from ransomware??

Have you considered moving highly-regulated data aligned with multi-year compliance mandates to lower price storage as its usefulness declines?

Do you have you a multi-tier Cloud strategy? What are you doing for long-term storage of digital assets?

Key Benefits

1. Easily verify and demonstrate chain of custody
2. Efficiently use real estate
3. Protect critical information from loss, theft, breach, and ransom
ENABLE RESTORATION & DISASTER RECOVERY

How do you manage the planning and testing of disaster readiness against your data?

Do you replicate data off-site within a secure data center so it is protected, and available for fast recovery?

Does your service provider offer guaranteed recovery times, that are backed with Service Level Agreement options based on your business needs?

Can you restore information from paper records? Tape? Other media? The cloud?

Key Benefits

1. Offer continuity of operations
2. Speed recovery from disasters or incidents
3. Protect critical assets and information
DISPOSE/RECYCLE

Do you have a paper shred all program, or do you rely on employees to determine what should be shred?

Do you securely dispose of your IT assets, such as tapes, printers, mobile phones and disused laptops? Or perhaps want to wipe and remarket them?

Can you identify and purge redundant, obsolete or trivial (ROT) unstructured records from your files shares?

Do you have the need for long-term retention in an approved archive (for historically significant records)?

Key Benefits

1. Reduce risk by eliminating ROT
2. Minimize risk for breaches and consumer harm