IRON MOUNTAIN®

INFORMATION GOVERNANCE AS A MANAGEMENT STRATEGY TASK FORCE REPORT:

TRANSFORMING LAW FIRM OPERATIONS TO AN INFORMATION GOVERNANCE PLATFORM

2015 LAW FIRM INFORMATION GOVERNANCE SYMPOSIUM

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BACKGROUND

Since 2012, the Law Firm Information Governance Symposium has served as a platform for the legal industry to collaborate on information governance (IG) best practices in the unique setting of law firms. The Symposium publications offer definitions, processes and best practices for law firm IG. In 2015, four task forces were assembled by the Symposium Steering Committee to work on specific, current law firm IG topics. This Task Force Report, "Transforming Law Firm Operations to an Information Governance Platform," is a companion to the 2015 Task Force Report: "Information Governance as a Management Strategy." The initial report explored the role of an IG organization (IGO) within a law firm, including how that group might be constructed and how it could help the firm achieve established business goals. This companion piece delves into how a firm's IGO can implement IG in specific operational areas of the firm, with a particular emphasis on transforming the records and information management (RIM) function.

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EXECUTIVE SUMMARY

In 2015, the Symposium published the report "Information Governance as a Management Strategy," which presented IG as a strategy that law firm executive leaders can use to address specific challenges, including increased regulatory requirements and information security risk, aggressive client demand to protect information stored by the law firm, and competitive pressure to improve attorney productivity and manage costs related to information storage and staff. The report suggested that the firm rely on certain strategic and operational leaders to define the firm's IG goals and the tactical initiatives needed for the transformation to IG. The report referred to this team as the "IG Organization" or "IGO." It presented various IGO models, including formal structures comprised of specific firm stakeholders, as well as models driven by individual information management professionals, such as records managers or information technology leaders.

This companion to the report focuses on the work of the IGO to implement IG in specific operational areas of the firm. It emphasizes the transformation of the records and information management function (RIM), but it also touches on other areas of the law firm, including the office of the General Counsel, information technology (IT), information security (IS), other specific law firm business processes, and the impact of IG on end users. Finally it contains a section on IG as an administrative unit for the law firm – who leads IG on an operational basis, and the skills needed in specific IG-related roles.

THE IGO'S ROLE IN TRANSFORMING RIM

Records and information management is a pillar of the law firm IG program. Although IG is a comprehensive concept that includes multiple information management processes, it recognizes that every organization needs a formalized program to identify its business records and to manage them according to established lifecycle principles and legal requirements. RIM principles resonate throughout the IG program, affecting how all firm personnel create, save, organize, store and ultimately dispose of information.

Law firms are beginning to comprehend the value of applying RIM principles to multiple information management processes, and are actively seeking to build programs to manage an increasingly dispersed and growing world of electronic content. At the same time, demand for hard copy RIM

("legacy RIM") services is diminishing, and the firm must determine if and how to repurpose a RIM team that may not have the technical skills needed for IG. Many of the firm's business goals to reduce staff and cost can be realized through a transition of RIM to IG, including lowered storage costs, as well as a smaller, more centralized team devoted to electronic records.

Transitioning RIM to IG falls directly within the IGO's mission to help the firm achieve productivity and cost benefits. This effort is significant. It involves defining the role of RIM within IG, establishing a strategy for electronic records management ("e-records"), re-defining RIM skills and responsibilities, and determining the best way to transform the RIM team to play its central role in IG.

DEFINING RIM WITHIN IG

As noted above, RIM is a critical component of IG. In fact, so important are RIM concepts and principles to the IG program, many records managers think that "IG" is simply RIM recast – in other words, they think RIM and IG are the same thing.

As defined by the International Standards Organization ("ISO"), RIM is the "field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records."[1] The

emphasis here is on the lifecycle of the record: managing it from cradle (creation) to grave (final disposition). Thus, RIM is essentially a tactical function that allows the firm to manage that portion of its overall information collection that it deems to be official client and business records.

By contrast, IG emphasizes a strategic mindset aimed at leveraging information to achieve firm-wide goals.[2] IG is an overarching framework aimed at the firm's overall information strategy. It is firm-centric and looks at information assets from a holistic perspective for the benefit of the entire

firm and its clients. While the scope, structure, direction, and resources of an IG program will vary over time, its enduring aim is to meet the firm's strategic goals.

As Figure 1 illustrates, RIM is only one of many information-driven processes that are included in the IG program. However, while RIM is not a synonym for IG, RIM tactics and RIM principles sit at the heart of every IG program. It is RIM that establishes the concept that information has differing values to the organization, and it is RIM that provides mechanisms for appropriate use, storage, retention, preservation and disposition of information.

IG PROCESSES IN THE LAW FIRM[3]

- Third-Party Relationships
- Monitoring Key Processes
- Administrative Department Information
- Client Information Requests
- Retention/ Disposition
- Document Preservation and Mandated Destruction
- Records and Information Management
- **INFORMATION GOVERNANCE PRINCIPLES**
- Firm Intellectual Property
- Information Mobility
- Information Governance Awareness
- Matter Mobility
- Matter Lifecycle Management
- IT Systems Administration
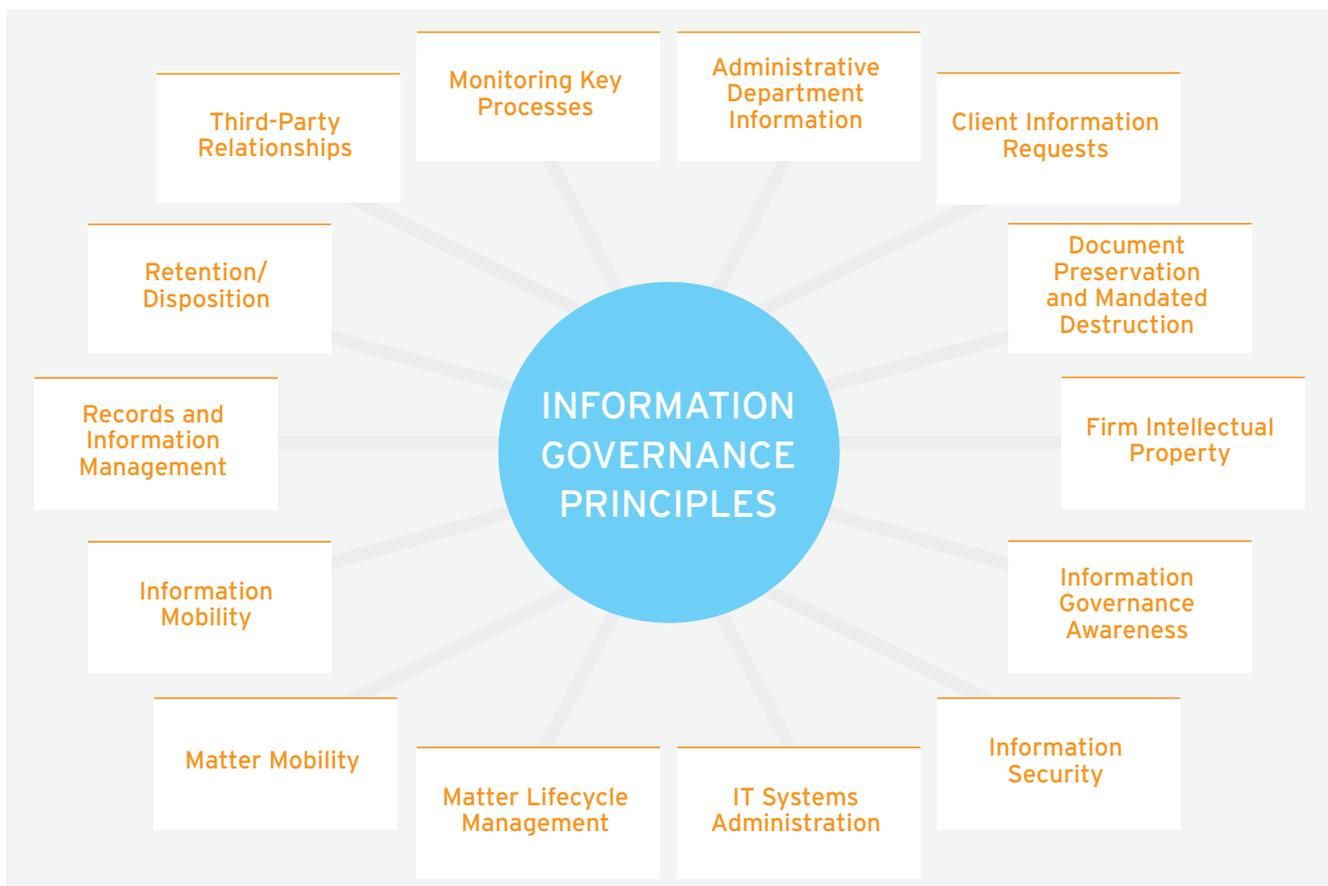- Information Security

FIGURE 1

THE E-RECORDS STRATEGY

Many of the issues an IGO seeks to address concern the management of electronic information, most of which is unstructured data living outside of approved firm repositories. Figure 2 illustrates this problem across all business enterprises.

TOTAL ENTERPRISE DATA GROWTH 2005 – 2015[4]

EXABYTES

Legend:
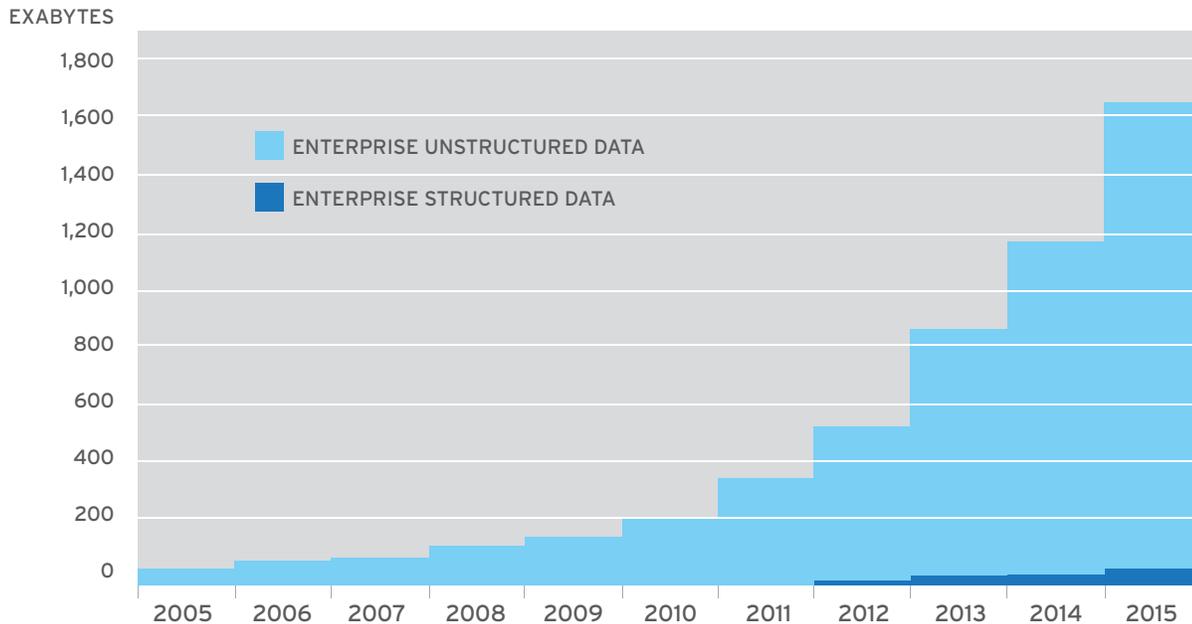- ENTERPRISE UNSTRUCTURED DATA
- ENTERPRISE STRUCTURED DATA

FIGURE 2

The legal industry has reached a tipping point where attorneys and staff work primarily in a digital environment. Law firms need to control a rapidly growing collection of digital content stored in a variety of locations, including centralized document management and email systems, shared drives, the hard drives of firm-provided desktops and laptops, and an increasing number of personally-owned or firm-provided mobile devices such as smartphones and tablets. Confidential and critical client and firm business information is often dispersed outside of approved repositories. Attorneys cannot "see" the entire matter file, thus hampering productivity and raising risk related to legal services. The firm's ability to comply with ethical and legal duties is compromised, and the likelihood of data loss events, including breach, is increased. For these reasons, it is essential for the IGO to develop a strategy for an e-records platform that aggregates dispersed digital content to support a number of IG-related activities.

The goal of the e-records program should be to eventually retire the legacy RIM program, thus driving efficiencies related to the access of information and reducing hard copy storage costs. This in turn requires the implementation of specific systems and processes, many of which involve complex, and discrete projects requiring significant investment on the part of the firm. Therefore, the IGO should develop a strategy for designing and implementing e-records that sequences these projects in a logical and achievable way, identifies dependencies and appropriately phases the firm's spend.

Examples of e-records projects include:

> Adoption of matter centricity within the document management system, which includes designing the electronic file within the matter-centric workspace.

> Implementation of email management systems.

> Design and implementation of enterprise-wide imaging systems and workflow.

> Identification of official e-records repositories.

> Governance of shared drives, which potentially includes moving content from shared drives to the matter-centric workspace and, subsequently, closing the drives.

> Development of enterprise-wide collaborative workspaces to mitigate risks associated with the use of unauthorized cloud systems (i.e., Dropbox® and similar products).

> Application of retention and disposition policies to e-records repositories.

> Implementation of mobile device management systems.

> Implementation of consistent processes to manage the acquisition and release of matter data related to matter mobility.

> Adoption and implementation of policies and processes to manage firm business data in an electronic form.

> Adoption of processes to manage web content (e.g., firm intranet content).

THE IMPACT OF E-RECORDS ON RIM PROCESSES

As part of its plan to transition to IG, the IGO should evaluate the level of support end users will require in the e-records environment. This in turn will impact the size, scope and duties of the RIM team. Firms at the higher end of the IG Maturity Scale[5] may have already fostered the cultural expectation that attorneys and staff are individually responsible for managing their electronic documents and email. In these firms, the RIM team will provide consultative support, but very little hands-on assistance. However, firms at the beginning of the e-records transition may need the RIM team to be directly involved helping end users file electronic content. These firms might devise workflows in which the attorney or other users forwards email to RIM with instructions regarding filing.

The figure below illustrates the relationship between the information management maturity of the firm and its migration to e-records.

IG MATURITY AND E-RECORDS ADOPTION

IG Maturity Continuum – Moving from traditional RIM to Mature IG Policy and Procedure (E-Records)

ELECTRONIC RECORDS

PAPER CENTRIC

> Traditional RIM.
> Mostly paper records.
> IT handles most policy/ configuration.

> Developed IG policies.
> Some oversight of IG policies.
> Collaboration with IT.
> Communicates IG principles across lawyers and firm.

> IG policies distributed firm-wide and to third parties.
> Periodic compliance and assessment.
> Education and awareness program.
> Robust IG systems.
> Electronic records and information lifecycle management.
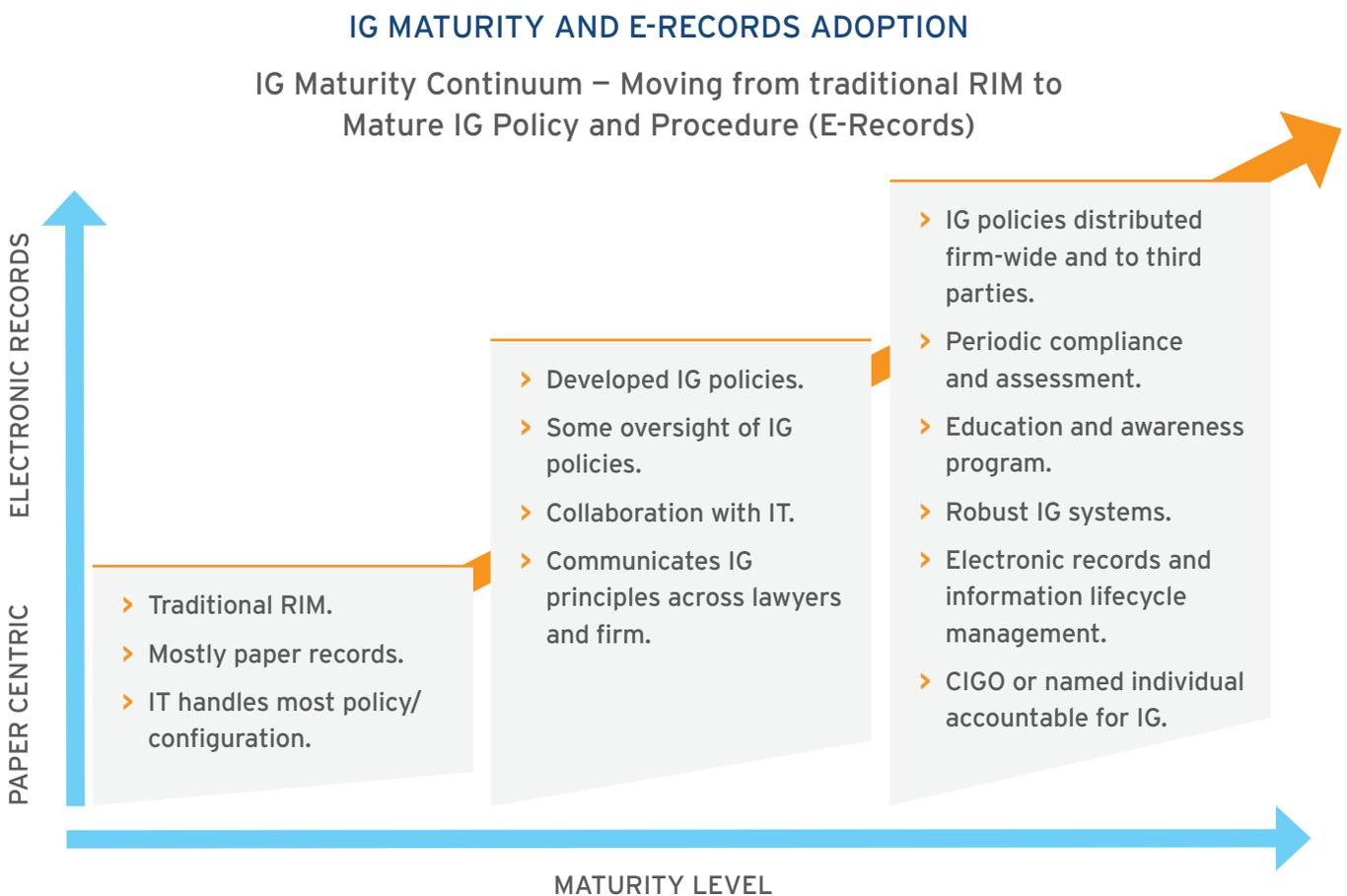> CIGO or named individual accountable for IG.

MATURITY LEVEL

FIGURE 3

The shift to e-records has a fundamental impact on the RIM team, requiring it to develop a different set of technical skills. Rather than creating, tracking and storing physical files, the RIM team will focus on an entirely new set of responsibilities, which will help the RIM team transcend its former tactical role and become information workflow managers who influence the behaviors of attorneys and others. The RIM team becomes an agent for change and drives the sense of accountability that is a cornerstone of IG.

Here are examples of tasks that the "transformed" RIM team might perform:

Workspace Design, Creation and Auditing:
In the e-records environment, the matter-centric workspace takes the place of the physical file. The RIM team can lead efforts to determine the design of the workspace, taking specific practice group needs into account. In addition, depending on the firm's adopted workflow, the RIM team might also create the workspace for newly opened matters. Finally, RIM can conduct routine, random audits of existing workspaces to ensure that information is filed and organized correctly.

Image Management:
The IGO will establish policies and procedures that define protocols for imaging, including appropriate processes for the retention or disposal of the imaged hard copy documents. The imaging architecture should include the ability for end users to quickly image individual documents, as well as systems and processes to accommodate large-scale imaging projects. Potential use cases for imaging include scanning the contents of a carton retrieved from offsite storage instead of returning the carton to the warehouse, or imaging the physical file when a matter closes instead of sending it offsite. The RIM team is responsible for designing the imaging workflow, including profiling requirements, and ensuring that imaged files are reviewed for quality assurance.

Matter Mobility:
The RIM team will perform tasks related to the acquisition and release of electronic matter data related to incoming or outgoing legal matters. This includes ensuring appropriate authorization to receive or release the information. The RIM team will review all incoming electronic data to confirm the firm has authority to have it, and that it is virus-free. It will then work with the responsible attorney and IT to load the data into the appropriate repository. With respect to outgoing data, the RIM team will identify the data set to be released, coordinate required processes to review the data, and work with appropriate IT resources to transmit the data to the successor law firm.

Internal Legal Holds and Protective Orders:
The RIM team will work under the direction of the General Counsel or other assigned attorneys to notify timekeepers who worked on matters affected by a legal hold or protective order, and to confirm that responsive data is collected, filed, and secured to prevent modification. In addition, RIM will send regular reminders to individuals affected by the hold, and will suspend any disposition processes related to the firm's retention policies for the life of the hold. When the hold or protective order is lifted, RIM will appropriately remove security restrictions from the data, and either resume ongoing retention and disposition processes, or destroy the data if required by the court or protective order.

Ethical Walls:
The RIM team may be tasked to implement both inclusionary and exclusionary security walls to restrict access based on either ethical requirements, client request or to protect highly-sensitive data.

Retention and Disposition:
RIM will extend records retention and disposition policies to electronic content, ensuring that all records, regardless of media, are included in efforts to apply retention periods and final disposition. This includes working with IT to develop systems capabilities to preserve electronic records when a retention period is assigned to the matter, and ensuring that the records are appropriately deleted at the end of the retention period.

Internal Consultation:
Through the implementation of e-records, the RIM team, and particularly the records manager, may find that their role becomes more consultative in nature, as attorneys and other end users encounter specific information management issues, or need personal coaching on the appropriate use of e-records systems and processes. Taking on the role of internal consultant positions the records manager to become more visible and influential, thus enhancing his or her value to the IGO and the firm.

Awareness and Training:

The migration to an e-records environment increases the visibility of the entire RIM team as a core driver of IG. The RIM team will take the lead in administering the firm's IG policies, and will be responsible for supporting awareness and training to help attorneys and staff apply IG principles on a daily basis.

TRANSFORMING THE IN-PLACE RIM TEAM

The pervasive importance of RIM within IG means that the IGO needs a strong RIM team with the technical skills needed to work in the e-records environment. However, because law firms have traditionally viewed RIM as a back-office function, the team may not be prepared for the e-records transition. It is not unusual for this group to still be focused entirely on the creation, circulation, and storage of physical files, even though demand for those services is organically diminishing. The consequence is that the RIM team may not have developed the technical skills needed to become effective IG resources. At the same time, through the firm's routine compensation adjustment process, individual RIM employees may be paid beyond the market value for jobs that will soon be eliminated.

Developing a RIM team to operate the firm's e-records program is an essential task for the IGO. Two basic approaches can be used. First, the firm could leverage the legacy team, training current employees to acquire e-records skills, and eliminating those who cannot make the transition. A second approach is to outsource the legacy RIM team, with the expectation that the outsourcing arrangement will shrink in size as the legacy program dies away. Concurrently, the firm builds a new e-records group with individuals who have the required skillset. Firms with immediate expectations regarding staff reductions and cost savings often favor the outsourcing approach.

LEVERAGING THE IN-PLACE TEAM

For most firms, the optimal approach to transition legacy RIM to e-records is to retain staff that have the aptitude to acquire e-records skills and retrain them. This provides a number of benefits, including the retention of institutional knowledge, a trained team to work on e-records projects, and the ability to manage change through existing relationships between RIM staff and other personnel. The employee has the opportunity to acquire new skills and a new career path in a familiar environment, which stimulates job satisfaction. The firm gets the benefit of continuity with a known team, enhanced employee loyalty, and the reward of retaining valued individuals who have often been a part of the "firm family" for many years.

At the same time, it is unlikely that all members of the legacy team will make the transition to e-records. The IGO and firm management should be prepared to separate certain individuals from their current jobs or from the firm. For example, some individuals may not have the skill or desire to expand their role, while others may not have a performance record that positions them for additional responsibility. In addition, because the e-records program can be administered from any location in the firm, multi-office firms will no longer need onsite RIM teams once there is minimal demand for legacy RIM services. Redundant manager, supervisor and coordinator roles will be eliminated.

Because the firm will implement the e-records program in stages, members of the legacy team may be anxious and uncertain about their future. Some individuals can continue providing legacy physical RIM services until demand no longer justifies dedicated staff. In addition, it may also be possible to reassign staff to other functional areas in the firm, such as office services, reception, hospitality or copy services. Eventually, however, the IGO will implement changes needed to fully transition the team. The IGO's e-records roadmap will determine the number of staff needed in the transformed RIM department, as well as new roles, tasks and responsibilities, but it is likely that the e-records team will contain fewer employees than in the legacy program.

The retraining effort begins when RIM starts implementing the systems and processes required for e-records. This might include internal training, vendor-based training, or requirements to attain certain industry certifications. Ongoing coaching, feedback and mentoring are necessary to help staff adjust to their new duties.

OUTSOURCE

For many years, law firms have used outsourcing as a device to lower staffing costs and to gain perceived operational efficiencies in areas such as mail room, copy services, hospitality and records management. With respect to RIM, some firms have turned to outsourcing as a way

to "fix" a dysfunctional program, believing that the outsourcing vendor can provide better results than the firm was able to do. Now, with competing pressures to manage staff costs while also implementing e-records and IG, firms are leveraging outsourcing as a mechanism to immediately remove the legacy RIM team from its compensation budget, and use the resulting savings to invest in the e-records initiative, including potentially higher compensation for a smaller, technical skilled e-records team. This is a strategic use of outsourcing, and its success depends on establishing clear goals, careful planning and close management by the firm. Here are factors to consider:

Scope of Outsourced Services: Outsourcing as a bridge to e-records can be effective if the firm outsources only the legacy RIM program, but retains responsibility for emerging e-records and other IG tasks. Thus, the outsourcing vendor assumes responsibility for the legacy program, which will continue to shrink in size and scope. Eventually, the footprint for the legacy program will become so small that the outsourcing arrangement can terminate, with any residual tasks and activities reclaimed by the firm. In the meantime, outsourcing relieves the firm of the responsibility to staff and manage the legacy program and it can turn its attention to building the infrastructure of e-records and IG, including a team with the required technical

skills.

Scalability: Firms typically believe outsourcing will support the ability to scale staffing resources up and down depending on need. Scalability with the selected vendor will depend on whether the vendor has a built-in presence in each city where the firm operates, so that it can draw on ready resources. In addition, if the firm has well-defined legacy RIM practices it requires the vendor to follow, the vendor may be unable to use temporary resources to cover unanticipated, short-term absences. As a matter of contract, the firm and the vendor should agree upon an approach to scalability in the event of special projects, or long-term staff absences. In addition, the contract should document milestone reductions in headcount as the demand for legacy services decreases.

Cost Savings: Once the RIM team is outsourced, the service fee for the vendor becomes an expense rather than a compensation cost (pay + benefits). Whether the firm actually saves money depends entirely on two factors – the number of individuals outsourced and what the vendor pays them. Typically, the firm achieves cost savings through outsourcing only if the vendor employs fewer staff than the firm did and pays them less.

In general, the salary structure proposed by most outsourcing

vendors is based on their understanding of market value, which is often lower than the firm's pay scale. This means they will only offer jobs to selected in-place team members, and at a reduced rate of pay. This can be a painful reality for the firm to accept. Some firms forego cost savings and accept a higher management fee to subsidize staff compensation and keep salaries whole. In those cases, outsourcing can result in equal or even higher costs for the firm. For other firms, however, cost savings is the reason for outsourcing, and they accept the fact that any retained staff will be working for less compensation. In addition, if IG is the long-term goal, the savings achieved by outsourcing is critical since it becomes funding for the new program and team.

Selection of Vendor: There are a number of steps the law firm should take to select its outsourcing vendor, including researching vendors who provide RIM services to law firms and interviewing firms that have already outsourced RIM. Once a pool of candidate vendors is identified, the firm should send them a Request for Proposal ("RFP") asking them to participate in the bidding process. (See Appendix B for a prototype RFP). When the firm receives the responses to the RFP, it should eliminate any vendors that clearly cannot meet the firm's objectives, and then personally interview the remaining candidates. Ongoing financial modeling, comparing

the vendors' bids to each other and to the firm's cost requirements, will help make the final decision, as well as the firm's perception of the vendors' RIM abilities, its experience with law firms, and its understanding of the firm's long-term goals.

The IGO should appoint a team to evaluate the candidates and make the final selection recommendation. To ensure that the candidates' RIM capabilities are adequately evaluated, the team should include a RIM or IG professional. Ideally, this will be the firm's IG leader or records manager, but if these roles do not exist, or if the records manager is also subject to outsourcing, it may be necessary to engage a RIM consultant for this expertise. In addition, the selection team should include a representative from Human Resources, and a firm operations executive, such as the Chief Operating Officer or Chief Administrative Officer.

Transition of In-Place Team: The first task of the firm and the selected vendor is to devise a transition plan. This includes determining how many outsourced positions will be created, the plan for evaluating in-place team members and making hiring decisions, offered pay, and any incentives to retain staff during the transition period. The primary goal of the transition is to avoid interruptions in service, so it is important to retain as many in-place staff as possible. Retention or performance bonuses, or a firm subsidy to keep compensation whole during

the transition period, are all good devices to persuade staff to stay even though their ultimate compensation will be lower. The advantage to transitioned staff is a continued job with benefits while they decide what their next steps will be. Many staff will leave the outsourcing vendor after some period of time, but others might decide to stay, some taking advantage of benefits the vendor might offer such as management training, or the acquisition of skills related to other services the vendor offers.

Contracting: The firm must have legal counsel representing its interests during the contract phase with the selected vendor. Some firms will hire outside counsel, and some will rely on firm attorneys. The resulting contract might be extensive, and should include these elements, among others:

> Contract Term. This clause defines the beginning and end dates of the agreement.

> Scope. The contract should clearly set forth the scope of services the firm is engaging the vendor to provide, specifically setting forth what the vendor is responsible for and what RIM tasks, if any, the firm will continue to perform.

> Service Level Agreements ("SLAs"). SLAs define how the vendor must perform the agreed-upon services, and what level of non-performance is acceptable to the firm. For example, the SLA for new folder creation might

indicate that the vendor must create and deliver 95% of all new folder requests received by 4 pm each day within 1 – 2 hours of receipt. SLAs must be measurable and reportable so that both the firm and the vendor can monitor them. The contract could also include penalties for failure to meet SLAs, such as an agreed-upon reduction in monthly fees. Conversely, the contract could allow for premium payments for consistently exceeding SLAs over a defined period. The ultimate penalty for failing to meet SLAs is termination of the agreement.

> Security and Confidentiality. The agreement should contain language binding the vendor to the firm's requirements regarding the security and confidentiality of information that the vendor handles.

> Limitations of Liability and Indemnification. It is important that the vendor assume some level of responsibility for mistakes that could harm clients and lead to the firm's exposure. On the other hand, it is unlikely that the vendor will agree to accept unlimited liability for performance errors. These contract clauses are generally the subject of extensive negotiation between the firm and the vendor, and often require the approval of both parties' General Counsels.

> Insurance. The vendor should set forth its insurance coverage for liability and the breach of confidential or

regulated information.

> Termination. This clause will define under what conditions, and how, the parties can terminate the contract.

Communication:

Communicating the decision to outsource must be approached with sensitivity and awareness. It may be necessary for certain stakeholders, such as office administrators, Human Resources professionals, and partners to be aware of the project before the RIM team is told, and project leaders should caution these individuals not to communicate with others until the firm is ready to do so. In general, the safest time to begin communication is when the parties have signed the contract and completed the transition plan. The RIM team should be told first, and then the rest of the firm. The precise method of communicating with the RIM team will depend on the size of the firm, the organizational structure of the team, and who the firm feels is the most appropriate person to deliver the message. An in-person announcement is best, but video-conferencing can also work. The communication should include a short statement regarding the firm's intention to outsource, timing, the process for selecting the vendor, and information related to the transition plan. Firm Human Resources leaders should be available to counsel in-place staff after the announcement.

Rollout: Together, the firm and

the vendor will devise a project plan to manage the roll out of services. This includes the transition planning, contracting and communication phases discussed above, as well as needed training of the vendor on firm systems and procedures, contingency processes to hire staff in the event that in-place team members are not hired or decline employment, ongoing communication to the firm about offered services, and the transition of staff out of the firm and onto the vendor's payroll. The roll out plan should also include establishing login credentials for transitioned staff, as well as determining which systems the outsourced team can and cannot access.

Ongoing Management by the Firm: To be successful,
the firm must stay engaged with the outsourcing vendor after roll out by designating one or more individuals to own the relationship with the vendor and monitor daily activities. Even though the firm is no longer managing activities related to the legacy RIM program, the e-records function will still require the oversight of a firm-employed records manager. This individual is ideally suited to oversee the vendor's activities, as well as being responsible for measuring compliance with SLAs, providing feedback on the performance of team members, and ensuring that contracted milestone reductions in headcount are met.

The vendor and the firm should

meet regularly to discuss status and performance. The firm's records manager will engage in ongoing discussion with the vendor's on-site manager, but regularly scheduled meetings with executive leaders from the firm and the vendor will help ensure that the arrangement continues to work as expected and contracted.

The firm may wish to have ongoing involvement in hiring and termination decisions as they relate to the vendor's staff. Some of this can be governed by the contract, but for liability reasons, the firm is better served to remain distant from the vendor's employment decisions. Most vendors will want honest feedback from the firm if there is concern about an individual's performance, and they may also invite feedback on employee candidates, but final decisions regarding employment should be left to the vendor.

COMPARING APPROACHES

Outsourcing the in-place RIM staff can be a quicker route to e-records than retraining the staff. Although difficult for the firm and the staff, it avoids the painful process of eliminating legacy staff members unable to transition over a protracted period of time. Once accomplished, the firm has the resources, both in terms of funding and bandwidth, to concentrate on building a new RIM team, focused on e-records and other IG activities. Disadvantages to outsourcing include potential disruption to the firm, the loss of valued employees, and an enforced distance from the legacy program which limits the firm's daily control.

On the other hand, there are significant advantages to retaining and leveraging as many of the in-place team as possible. IG, and e-records in particular, is a long-term and difficult transition for the firm. Making this journey with individuals who know the firm, understand its culture, and support its objectives may enable the IGO to more easily achieve adoption of IG among attorneys and other personnel. This can be a long road, however, and involve the release of long-term employees who cannot transition to new roles.

TRANSFORMING OTHER KEY AREAS TO IG

Through its efforts, the IGO will transform a variety of other stakeholder groups into IG-aware organizations. These include:

> The General Counsel.
> IT.
> Information Security.

> Firm Business Operations.
> Client Support Operations.
> End Users.

TRANSFORMING RISK – THE ROLE OF THE GENERAL COUNSEL

As noted in "Information Governance as a Management Strategy Task Force Report," the General Counsel can be an effective executive sponsor of the IGO. Because compliance with regulatory and ethical information management requirements is a core IG objective, the General Counsel plays a critical role in defining the IG framework, particularly policies that support compliance. Equally important, however, the IGO can leverage the authority and gravitas of the General Counsel to help drive the changes necessary to make IG a cultural norm in the firm.

Most law firm General Counsels oversee their firms' ethics and loss prevention efforts, and already understand appropriate management of client information. They are familiar with specific ethical requirements, such as protection of client confidences and the safeguarding of client property, and know how these requirements apply to both physical and electronic information.[6] In addition, if the General Counsel is also

the firm's claims counsel, he or she will strongly encourage attorneys to manage client information so that it is accessible in the event of a claim. Therefore, to some extent, the General Counsel is already a supporter of IG.

Nevertheless, some General Counsels may need additional education and orientation to become empowered advocates for IG. Specifically, the General Counsel may not be familiar with state and federal privacy and security regulations, which are distinct from the ethical obligations of attorneys. Other members of the IGO may need to expose their General Counsel to the requirements of the regulations, and the resulting penalties for non-compliance. One approach is to enlist firm attorneys who practice in the area of data security and privacy to provide an overview of the law to the General Counsel.

The General Counsel is the firm's lawyer and is the trusted advisor of firm management and individual attorneys.

Options to the General Counsel

Some law firms do not have a formally designated general counsel, or, if they do, their general counsel may not be available to be actively involved in the IGO. In such cases, other attorneys may be able to ensure that the firm's IG policies and strategies remain compliant with ethical and legal requirements.

Suggestions include:

> A firm's ethics or professional responsibility attorney or an lawyer member of the firm's risk management committee.

> An attorney who specializes in information privacy and security law.

> A member of the firm's management or executive committees.

Visible and involved General Counsels can exert significant influence on the behaviors of attorneys and staff. Therefore, once the General Counsel fully understands the compliance and risk management issues IG intends to address, he or she can be a powerful change agent on behalf of IG.

TRANSFORMING THE IT DEPARTMENT

Transforming IT in the law firm is a particular challenge because it requires a fundamental shift in the way most law firm technology workers view their role. Almost more than any group in the firm, law firm IT staff are pressured constantly by partners and other personnel to solve their problems immediately and to fulfill their individual demands. IT understands its responsibility to store, protect and make available information in the firm's systems, but it also knows that technology is essential to the efficient delivery of legal services. Therefore, IT staff operate under a deeply imbedded customer service mindset that influences them to fulfill user requests, despite any underlying risk management concern. Even if they escalate such requests for additional review, firm management often directs them to do what is asked. Thus, IT employees seldom feel they can say no, especially to partners. Therefore, IG necessarily requires a transformation of the IT staff, empowering them to become true participants in the effort to protect client and firm information as critical business assets. Also, because of its unique relationship with end users, an IG-aware IT team can use its influence with attorneys and others to pollinate IG principles throughout the firm.

TRAINING THE TEAM

Through the Chief Information Officer (CIO), the IGO should develop a comprehensive program to train all functional areas of IT on IG principles and concepts. As noted in the report "IG as a Management Strategy," the CIO is a member of the IGO, but the CIO's individual leadership, direction, expectations, and influence are essential to ensuring that each member of IT is exposed to IG requirements and attends training. The application of IG requirements in the daily activities of staff should be monitored by individual IT managers, and become part of performance coaching and evaluation.

There is no specific template for this training program. Each firm will define IG differently and place different emphasis on specific IG goals and objectives. However, in general the program should include sessions on what IG is, what the firm's compliance and risk management drivers are for adopting IG, and guidance on how to reengineer technology processes to embed IG principles.

MODIFYING TECHNOLOGY PROCESSES

After training, IT functional groups should modify specific processes and align them with IG goals and principles. A detailed description of how IG impacts each technology process is beyond the scope of this report, but below are significant technology activities which should become IG-compliant:

Selection and Deployment of Applications: In most law firms, IT oversees processes

associated with the selection and/or development of application software, as well as the deployment of such systems. The applications team should consider IG requirements when business units define application requirements, when they evaluate commercially available software or develop specifications for internally developed applications, and when systems are configured for

deployment. Test plans should contain IG measurements, and end users should be trained to use the application with IG in mind. Ongoing auditing after roll out will help determine if the application is being used according to IG requirements.

Project Management: IT project managers should be taught to include an IG review task category in project plans, particularly for projects that involve application selection/development and deployment (as above), but also for projects related to hardware used to store, transmit or otherwise use information.

Information Management: IT staff should be instructed to work directly with the RIM team to be certain that IG-compliant protocols are employed for the storage, back up, organization, acquisition and release of information. In addition, IT should clearly understand which systems act as official repositories for e-records, and restrictions related to the use of shared drives and other network locations to store data. Finally, IT should, along with RIM, develop expertise using analytic tools to locate and resolve "dark data," i.e., unstructured legacy data on the firm's network.

User Support and Training: Perhaps no other groups within IT have the greatest opportunity to influence firm-wide adoption of IG as user support (local tech support and the help desk) and technology training. These individuals directly interface with attorneys and other firm personnel, and hear first-hand about users' needs, frustrations and individual technology

habits. They are the first line of defense to intercept potential IG issues, and ensure that they are appropriately defined, evaluated, escalated and addressed. User support and training have the greatest opportunity to leverage individual requests or meetings with end users to become IG "teaching moments." Therefore, training them to be IG aware is essential, as is helping them to build IG principles into all aspects of their work.

SUPPORT FROM EXECUTIVE LEADERSHIP

To achieve its transformation to IG, IT must have the support of the entire IGO to reinforce the authority of individual IT managers and staff to question problematic user requests, including escalation, and potential denial of the request. IGO executive sponsors must be prepared to support IT by explaining to the requestor the concern and to support reasons for denial.

Beyond the IGO, IT must be supported by all levels of firm leadership, including executive senior leaders such as the Chief Executive Officer, Chief Operating Officer, management committee and managing partners, practice group leaders, and office-based leadership. These are the individuals that the requestor will appeal to for a reversal of the decision, and it is critical that they clearly understand the firm's IG goals when reviewing the issue.

Knowledge Management and IG

Each law firm approaches Knowledge Management ("KM") differently. In some firms KM is part of IT, in some it is a part of the library function, and in some it is a stand-alone group. Regardless, the KM team is another group that needs to be "transformed" by the IGO. This includes ensuring that processes to tag documents as "best practice" or "precedent" follow IG principles, and that the KM team is aware of firm policies regarding information storage and retention.

TRANSFORMING INFORMATION SECURITY[8]

Cyber security is a front and center issue today for businesses and governments, both of which are increasingly concerned about system vulnerabilities and the unlawful access, use or disclosure of sensitive information. Law firms have these concerns as well. As a business, the law firm seeks to protect its own intellectual property, as well as the personal information of partners and employees, but the fundamental obligations of attorneys to protect client information magnify the importance of strong information security within the firm. Cyber thieves routinely attempt entry into firm systems to access highly sensitive and confidential information related to law firm clients.[9]

Therefore, similar to RIM, IS is a cornerstone of the IG program. IS protocols and requirements are as significant to IG as are RIM principles for organizing, storing and disposing of information. Therefore, the IGO's efforts to define IG in the law firm should also include ensuring that requirements to secure and protect information are included in all IG processes, and that the strategic value of IS is appropriately leveraged.

Security Reference Frameworks

There are several security and control frameworks available to help firms develop and mature the IS function. ISO 27001 deals with security management and processes. National Institute of Standards and Technology (NIST), SANS Institute and Control Objectives for Information and Related Technology (COBIT) prescribe controls and objectives to better secure systems and information. Firms should consider using a blend of frameworks, objectives and controls to meet their particular security needs.

OBJECTIVES OF IS

Most law firms have an IS function, typically placed within IT. IS professionals generally have advanced technical skills, experience with networking and firewalls and hold various certifications such as CompTIA Security+, GIAC Security Essentials ("GSEC"), Certified Ethical Hacker ("CEH"), Certified Information Security Professional ("CISSP") and Certified Information Security Manager ("CISM"). Despite their high skill level, in general the IS function is mostly tactically focused. Typical IS tasks include:

> Managing, monitoring and upgrading security systems, such as the firewall and firewall rules, security software and hardware, and implementing system patches.

> Environmental scanning for threats and vulnerabilities, and issuing incident reports.

> Mitigating issues arising from social engineering or other intrusion events.

> Issuing alerts related to actual or reported threats, vulnerabilities, cyber news or other relevant information.

These tasks are essential to protecting firm systems from unlawful or inappropriate access, use or disclosure. IG, however, provides an opportunity to extend the tactical mission of IS in a more strategic direction, to define an overarching set of security principles and requirements which the IS team works to align, articulate and embed in all IG processes. With this approach, the IS team plays an active governance role, equal in importance to RIM or compliance. Here are examples of the contributions that a more strategically-focused IS team can make:

- Actively engaging with the firm's systems architecture group, verifying and validating that all firm systems being evaluated for deployment conform to the firm's IS requirements. The team also performs ongoing auditing of the security functionality of in-place systems.

- Analyzing firm data, identifying instances where personal information or other sensitive data is stored outside of approved repositories or controls.

- Developing systems and process auditing protocols, identifying internal non-compliance and assisting with remediation.

- Performing penetration testing to verify the strength of firewalls and anti-intrusion systems.

- Providing input on responses to client security questionnaires, ensuring consistent answers, and identifying required areas of improvement in firm systems.

- Evaluating third-party access and controls to firm or client information.

- Conducting information security training for attorneys and staff.

PLACEMENT OF IS IN THE IGO

Defining a strategic role for IS does not eliminate the need to perform the tactical tasks outlined above, which is why, even after the transformation to IG, many law firms will continue to assign the IS function to IT. This relationship, however, may inhibit the strategic development of the IS team, both because its attention to operational tasks will limit available time to focus on other IG issues, but also because many of the strategic contributions listed above require an objectivity the IT-assigned IS team may lack. Auditing firm systems to ensure compliance with IS requirements should be done from an independent perspective, which cannot exist if the auditor is part of the organization being reviewed.

On the other hand, it is possible to establish a separation between tactical and strategic IS responsibilities. The firm's ability to do this will depend on the size of its current IT and IS teams, its desire to increase resources devoted to IS, and the maturity and configuration of the IGO.

If the firm creates an independent IG Department, led by a Chief Information Governance Officer ("CIGO") or equivalent, then it could assign the development and implementation of IS strategy (including auditing) to the IG Department, while defining security operations as the responsibility of the networking/operations team within the IT. Alternatively, some firms have created distinct IS Departments, led by a Chief Information Security Officer ("CISO"). In this case, although it is possible for the CISO to have oversight of both tactical and strategic activities, best practices might dictate that operational tasks remain in the IT, to achieve the goals of independence and objectivity.

Regardless of the approach, firms defining their IGO should carefully evaluate the scope and placement of IS to ensure that information security principles, requirements and processes are aligned appropriately aligned with IG goals.

FIRM BUSINESS OPERATIONS

As noted in the report "IG as a Management Strategy Task Force Report," the IGO includes representatives from certain of the firm's business units. The leaders of these groups often contribute specifically to the IG effort but they also have responsibility to embed IG principles and requirements into their own operational processes. The IGO is also responsible for ensuring that other operations groups, not included in the IGO, understand and implement IG requirements.

The IGO, through RIM and IS, should work with business unit leaders to create information management plans that dictate how department employees create, store, access, retain and dispose of information related to their business processes. RIM has oversight

to ensure that the information management plans comply with firm requirements for records retention and disposition. IS verifies that sensitive data related to business operations is adequately secured.

These groups should also be required to transition to the e-records program. Law firms typically focus most of their IG energy on issues related to legal practice and client information, neglecting or delaying efforts to impose IG standards on firm operational units. Consequently, these groups often continue to rely heavily on hard copy processes. Requiring them to adopt e-records practices will drive needed efficiencies and contribute to overall firm business goals.

Examples of how e-records

and IG can impact and improve efficiency in business units include:

> Electronic billing pro-forma and expenditure reimbursement processes.

> Online methods of managing employee performance and compensation review processes.

> Digital libraries of executed firm business contracts.

> Electronic checklists to manage employee onboarding and off-boarding processes.

CLIENT SUPPORT DEPARTMENTS (DOCKETING, CONFLICTS, EDISCOVERY SUPPORT, ETC.)

Client support departments, such as docket, conflicts and new business, and litigation support, are also subject to IG requirements. Their role in IG is two-fold. Client support departments have their own operational information to govern, similar to the business units described above. However, they also manage data related to clients, and thus must be concerned with ethical and other legal requirements for client information. Below are some examples of client support information processes subject to IG requirements.

Docket. Both litigation and intellectual property docket personnel should ensure that any court or agency-related information is stored within the electronic matter file in accordance with e-records requirements for profiling.

Litigation Support. In conjunction with RIM and IS, the litigation support group should develop processes for receiving client discovery information, storing it, securing it, and disposing of it after the underlying matter is concluded. This should include a logging

system that records what data was received, how much, where it was stored and when and how it was disposed of.

Conflicts and New Business Intake. In addition to governing data related to conflicts and new business requests, the Conflicts group should also develop methods to store client agreements and track firm compliance obligations. These agreements include engagement letters, requests for proposal, outside counsel guidelines, and client security questionnaires.

TRANSFORMING END USERS

This report has mostly been concerned with the effort of the IGO to transform large-scale information management processes to IG. However, almost more than any other factor, a successful migration to IG depends upon changing the behaviors and habits of individual end users. Unlike the days of legacy RIM, when attorneys and others could hand over hard copy records to a centralized team, today's law firm personnel are directly responsible for the appropriate management of information. This means they must adopt new behaviors regarding the correct filing of electronic information (documents and email), the use of personal devices to store client and firm data, legal requirements to manage confidential client information, as well as information covered by security and privacy laws, encryption requirements when transmitting information, and the daily efforts by cyber thieves to manipulate users into providing access to firm information.

The IGO is responsible for driving user behaviors through ongoing awareness, education and technical training. Some firm employees, such as legal assistants, paraprofessionals, and staff personnel, should be held accountable for IG compliance as part of performance evaluation. Finally, as discussed in the next section, the IGO should also engage in routine auditing of systems to identify inconsistencies in the places and methods used to capture and store information.

FORMALIZING IG OPERATIONS

The report "Information Governance as a Management Strategy for Law Firms" discussed the ongoing development of the IG Program, including the implementation of auditing and continuous improvement standards to measure the success of IG, and to identify additional areas of development. The report also briefly discussed methods law firms can use to develop the IG team, including the development of certain IG-specific jobs.

In many firms, IG will exist as a concept that permeates how the firm manages and protects information; the tactical work of IG will be done by several disparate groups, including as noted above, the IT, IS and RIM groups. However, some firms may wish to draw together specific information management functions into a formalized and unified IG team. The IG Department in those firms will be the recognized leader of IG strategy and policy development, tactical implementation, operations, and compliance.

Several law firms have already created executive IG roles, either at the "C" or director level. Titles include Chief Information Governance Officer (CIGO) or Director of IG. Alternatively, some firms have placed IG within the IS department, led by a Chief Information Security Officer (CISO) or Director of IS. Regardless of title, depending on the firm's organizational structure, the IG leader is supported by specific functional groups, for example RIM, IS, Data Analytics, or Compliance. The IG Department should report to the firm's executive leaders such as the Chief Operating Officer or General Counsel. In general the IG organization is not part of the IT department, but has a close collaborative relationship with IT.

Here is one illustration of a centralized IG department:

EXAMPLE OF LAW FIRM IG DEPARTMENT

Model 1 – IG is supported by an advisory board, but there is a separate IG department headed by a CIGO accountable to the CEO or COO (Most Mature)

Note: The following models must be customized based on firm size, strategy, culture, risk appetite, geographic location and budget

General Counsel

COO

(IG or Other) Advisory Board

CIGO
> Develop and implement IG, RIM and information risk strategies.
> Establish and rollout IG framework.
> Author IG/RIM policies and record retention schedules.
> Align technology with IG framework and policies.
> Provide education and awareness for IG/RIM/Security policies and procedures.
> Ensure compliance with internal/external regulatory/Firm requirements.

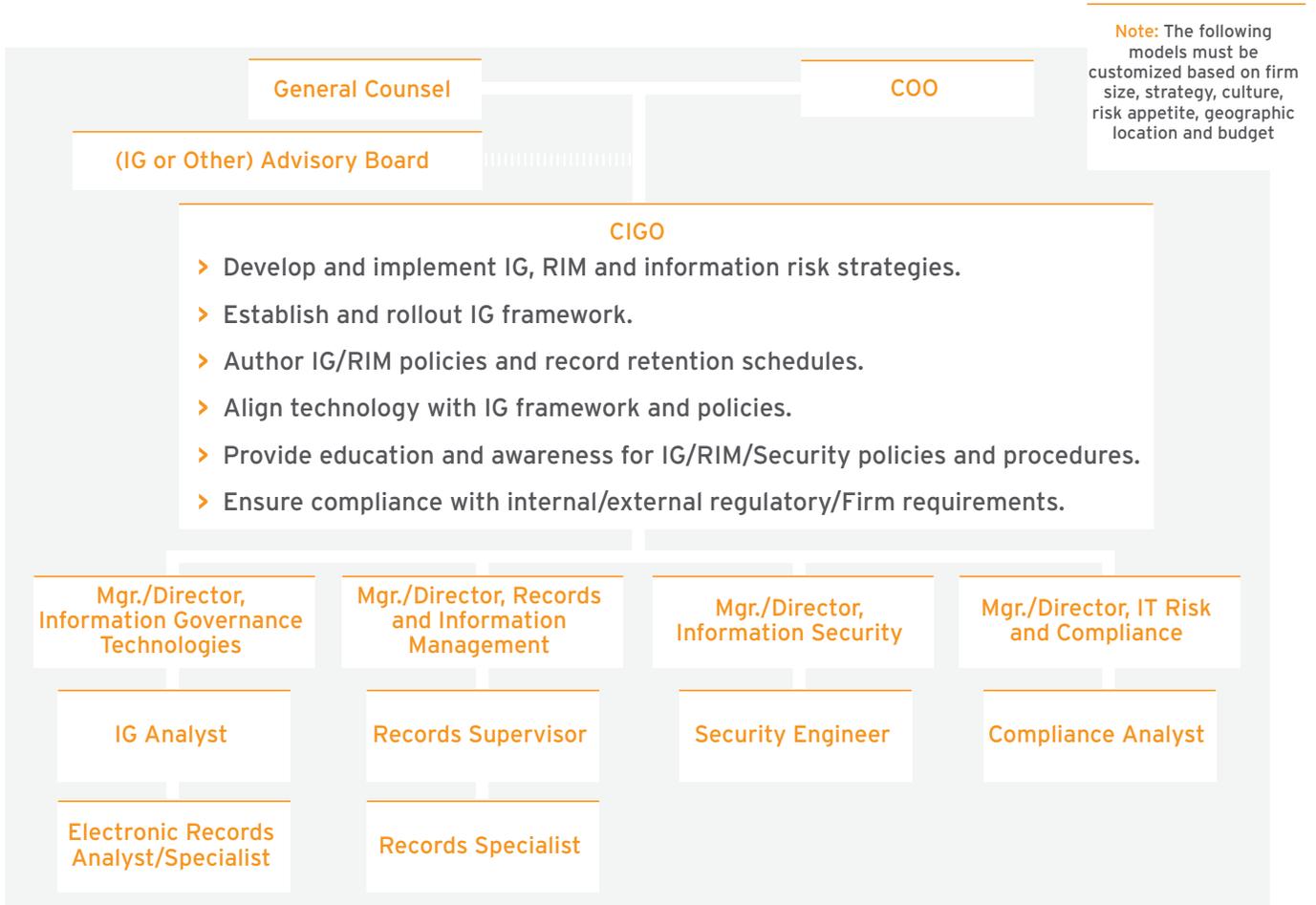| Mgr./Director, Information Governance Technologies	Mgr./Director, Records and Information Management	Mgr./Director, Information Security	Mgr./Director, IT Risk and Compliance
IG Analyst	Records Supervisor	Security Engineer	Compliance Analyst
Electronic Records Analyst/Specialist	Records Specialist		

FIGURE 4

This model illustrates several IG-related job titles. Full position descriptions for these roles are in the appendix materials attached to this report. In addition, Appendix H includes a matrix that compiles a list of desirable IG skills and matches them against various IG functions.

CONCLUSION

The implementation of IG will have a significant impact on the various functional areas in the law firm that manage information. RIM will transform from a traditional hard copy records management approach to one based on digital information and consultation with end users. IT will temper a deep customer-service mentality with IG principles and compliance requirements. IS will be elevated to a more strategic and influential role. Other law firm business units and end users will acquire an "IG mindset" in the ways they create, store, and use information. The firm might decide to create a formal IG Department, or it might rely on a more distributed way of implementing IG, but the end result will be a transformed organization that manages information in a more efficient, compliant, cost-effective and productive manner.

APPENDIX A

LONG-TERM V. SHORT-TERM IGO OBJECTIVES	
LONG-TERM OBJECTIVES	**SHORT-TERM OBJECTIVES**
ELECTRONIC RECORDS MANAGEMENT ("E-RECORDS") PLATFORM **Goals:** Lower the cost of records storage and provide more efficient access to information. **Measurements:** Reduce boxes sent to offsite storage by ___%. Reduce onsite filing space by __%. Increase email and other documents filed in the DMS by ___%.	› Implementation of records retention and disposition processes that will consistently eliminate both hard copy and electronic records. › Enterprise-wide imaging that will reduce hard copy offsite storage. › Email filing solutions. › Elimination of shared drives. › A matter-centric document management approach.
INFORMATION SECURITY CULTURE **Goals:** Establish culture and mechanics that lower the risk of a data breach. Measurements: Reduce instances of deliberate attempts to breach data by ___%.	› Strengthening of firewalls and other protective barriers. › Provisions for training and improved awareness regarding social engineering threats.
DATA LOSS PREVENTION **Goals:** Establish culture and mechanics that lower the inadvertent or deliberate loss of information due to internal behaviors. **Measurements:** ___% of file transfers accomplished with no data loss. ___% of mobile devices used by attorneys and senior staff that can be monitored by the firm. ___% reduction in information removed by departing attorneys or staff.	› Establishment of processes to control inbound and outbound file transfers. › Implementation of ethics wall systems. › Use of mobile device management programs. › Adoption of software that will monitor spikes in document emailing activity.

LONG-TERM V. SHORT-TERM IGO OBJECTIVES	/30
LONG-TERM OBJECTIVES	**SHORT-TERM OBJECTIVES**
STAFFING CONTROL **Goals:** Reduce staff needed to perform information management tasks. **Measurements:** Staff to attorney ratios improve by ___%. Reduce salary and benefits costs by ___%.	› Implementation of a re-engineering process to lower numbers of required staff. › Outsourcing of certain information management functions.

APPENDIX B

SAMPLE OUTSOURCING REQUEST FOR PROPOSAL

I. INTRODUCTION

[FIRM] ("Firm") is a law firm with [NUMBER] offices in the United States and [NUMBER] international offices. The Firm has approximately [NUMBER] partners and employees. The Firm's practice areas encompass the full range of corporate legal services, including [LIST FIRM PRACTICE AREAS]. The Firm's website address is [WEBSITE].

The Firm is soliciting proposals to outsource to a single provider records management operations in the Firm's US offices. The Firm's intent is to sign a [NUMBER] -year contract based on service level commitments with ongoing reviews of key performance indicators.

The selected provider will have demonstrable law firm records management experience, including the ability to improve workflow, reduce costs and assist the Firm with the implementation of new records management technologies, processes and policies.

II. RFP ADMINISTRATIVE INFORMATION

The following sections contain instructions to be followed by Respondents:

A. The Firm's intent to solicit bids from outsourcing Respondents and the contents of this RFP are to be kept confidential by all entities receiving it, regardless of whether an entity chooses to respond. The Firm agrees to keep confidential any information provided by Respondents.

B. All entities receiving this RFP should email [EMAIL ADDRESS OF RECIPIENT] to indicate that it will adhere to the confidentiality requirements stated in Section II. A. above, and indicating its intention to respond or not according to the timeline in Section II. C. below.

C. Each Respondents should submit an electronic version of its proposal to the individuals listed in Section II. E. below no later than [DATE]. Additional hard copy responses may be delivered

within 3 – 5 business days later, as long as they are postmarked on the due date. Any Respondent who fails to provide an electronic response by the due date will be excluded from the selection process.

D. Respondents are required to provide answers to all questions in Sections IV –VII of this RFP. Please conform to the numbering schema in the RFP when preparing the response. In addition, Respondents are required to provide the following documentation:

E. A corporate information overview of the Respondent's business, services offered, length of time in business, and accomplishments. Please also indicate:

F. What percentage of your business comes from records management outsourcing? What percentage comes from law firm records management outsourcing?

G. How many individuals does your business employ in the records management outsourcing service line?

H. Is there any threatened or pending litigation against your company or its officers which may affect service delivery?

I. What contracts, if any, do you currently have with the Firm? Please describe the engagement(s) and identify the individual at the Firm with whom you work.

J. A page listing all senior offices of Respondent's organization, as well as a description of the internal organization responsible for records management outsourcing.

K. Professional biographies of candidates likely to work onsite at the Firm.

L. At least three references for which the Respondent provided similar services to those being proposed by the Firm. Please include:

    i.   Name of the organization.

    ii.   Date of services.

    iii.   Description of services.

    iv.   Name and title of your contact.

    v.   Telephone and email of contact.

    vi.   Verification that the Firm may contact these references.

M. Samples or links to audited financial statements for the last 3 fiscal years.

N. Standard template of Respondent's outsourcing agreement.

O. Samples of management reports provided to law firms including service level agreements and performance and quality metrics.

P. Copies of job descriptions for various levels of records management staff employed by Respondent, including records managers, site managers, supervisors and line staff.

Q. Samples of invoices.

R. Copies of current workmen's compensation and liability insurance certificates, and bonding information. Successful Respondent and its insurer will name the Firm as an additional insured in its comprehensive general liability policy and other policies it maintains. All of Respondent's employees will be required to be bonded.

S. Samples of confidentiality agreements.

T. A copy or summary of Respondent's benefits plan for employees staffed with a client.

U. The primary contact for all communications related to this RFP is: [NAME AND CONTACT INFORMATION]. In addition, the following individual should be copied on all communication: [NAME AND CONTACT INFORMATION].

V. Respondents may contact [NAME(S)] during the RFP process with questions, status updates or follow-up issues.

W. Contacts with individuals at the Firm other than [NAME(S)] may lead to disqualification of a Respondent's proposal.

III. SELECTION CRITERIA

The Firm will use the following criteria to evaluate and select the successful provider among the Respondents:

A. Depth of experience and expertise in law firm records management.

B. Results of reference checks from current or former law firm clients of Respondent.

C. Cited experience developing productive service levels and platforms in law firm records management environments.

D. Experience with law firm records management technology applications.

E. Ability to develop innovative solutions to records management issues.

F. Total cost of proposal and value impact for the Firm.

G. Proposals should be signed by an officer or representative of Respondent with authority to bind Respondent and whose signature warrants that Respondent has met the requirements of this RFP.

H. This RFP does not commit the Firm to any course of action and does not bind the Firm to accept any proposal, in whole or in part, nor to provide any reason for acceptance or rejection of a proposal.

IV. SCOPE OF WORK

The Firm is seeking to outsource records management operations in its US offices. The selected Respondent will be expected to adhere to established Firm policies and procedures for records management operations, although the Firm will encourage the selected Respondent to provide suggestions for improvements and greater efficiency. The Firm will designate one individual to be the liaison with the selected Respondent and to have oversight regarding the selected Respondent's execution of in-scope duties and its adherence to established Firm Records Management Department ("RMD") policies and procedures.

Appendix __ is a list of the offices, including total records management staff (exempt and non-exempt), total numbers of attorneys, numbers of attorneys by law department, and total other staff. Appendix__ is the current organizational chart of the Firm's RMD.

A. Goals – The Firm has specific goals it is attempting to address its records management function through outsourcing. These goals are:
   [INSERT LIST OF FIRM GOALS]

B. In-Scope Operational Tasks – The selected Respondent will provide resources necessary to conduct the following operational tasks in each office:
   [INSERT LIST OF TASKS FIRM ANTICIPATES OUTSOURCING]

C. Service Level Agreements – The selected Respondent will follow the Firm's existing service level agreements for RMD services:
   [INSERT PARAGRAPH DESCRIBING THE FIRM'S CURRENT RIM SERVICE LEVELS]

D. Systems Used –
[INSERT PARAGRAPH LISTING CURRENT SYSTEMS, INCLUDING RECORDS MANAGEMENT AND DOCUMENT MANAGEMENT SYSTEMS]

E. Out-of-Scope Duties –
[INSERT LIST OF DUTIES THE THE FIRM WILL CONTINUE TO MANAGE]

V. RESPONDENT QUALIFICATIONS

A. Describe Respondent's overall philosophy and approach to records management.

B. What goals does Respondent feel are critical in the daily operations of a law firm RMD?

C. Please describe Respondent's experience with the following records management functions:
[LIST RM FUNCTIONS THAT ARE IMPORTANT TO THE FIRM AND FOR WHICH RESPONDENT'S SHOULD CITE EXPERIENCE (EXAMPLES BELOW)]

    i.   Law firm policies and procedures.

    ii.   Law firm records systems and technologies.

    iii.   Law firm records retention processes.

    iv.   Electronic records management experience.

    v.   Email management.

    vi.   Document management systems.

    vii.   Cloud computing.

    viii.   Image capture.

    ix.   IP experience.

    x.   Experience supporting IP practitioners – patents and trademark.

    xi.   PTO mail matching.

    xii.   File inventory and audit.

    xiii.   Incoming and outgoing IP file transfers.

VI. RECORDS MANAGEMENT STAFF QUALIFICATIONS

A. How many of your employees have a CRM designation?

B. What is Respondent's commitment to organizations such as ARMA, ILTA or AIIM? How many of your employees are members of one or more of these organizations and attend regular chapter meetings and/or seminars/conferences? What other records and information management education is provided to your employees?

C. Describe how you train and develop line staff to work in a law firm records management environment. Are training programs optional or mandatory? Confirm that training programs are consistent for all locations and all employees.

D. Describe how you train and develop employees to become supervisors, managers and leaders.

E. How do you transition staff from one client to another?

F. Provide an outline of your performance review process.

G. Describe the career and upward mobility path for outsourced staff in your organization.

H. What is the average retention period for line staff? For managers and supervisors?

I. How does Respondent motivate and retain staff?

VII. IMPLEMENTATION

A. Please provide Respondent's implementation plan and methodology for the Firm:

    i.   Overall approach.

    ii.   Staff plan.

    iii.   Communications plan.

    iv.   Major activities and schedules.

    v.   Specific staffing plan during transition.

    vi.   Testing processes.

    vii.   Describe typical Implementation Roadmap including "milestones" and timelines.

B. Please indicate who will be responsible for the Firm's national account.

C. Will individual site managers/supervisors be dedicated solely to the Firm? Will they be called upon for other assignments? How much of their time will be devoted to internal issues for Respondent's

organization?

D. For each Firm office/region, describe your methods for quickly addressing staffing needs during extended illnesses, unexpected departures, etc. Do you have local resources to backfill records positions in a timely fashion?

E. Describe your internal reporting structure, and methods for issue escalation? Describe the anticipated role the Firm would play in issue escalation.

F. Project Management - Describe processes for assisting the Firm with special projects, such as file transfers or technology/process implementation projects. How would the Firm be able to scale resources to meet project needs?

G. Describe provision of services after regular business hours.

H. Describe Respondent's Service Level Agreements, and how Respondent monitors and manages them for compliance.

VIII. OTHER QUESTIONS FOR RESPONDENT

A. Describe your corporate culture. Please include strategies related to employee retention, equal employment opportunity, corporate social responsibility, diversity, quality, customer service and innovation.

B. What expectations do you have of the Firm for successful ongoing support of records operations? What resources will Respondent need from the Firm?

C. How do you protect the confidentiality of your clients' information?

D. Do you use sub-contractors or business partners to provide any element of your services? If so, please identify their names as well as scope & length of relationship.

IX. HUMAN RESOURCES ISSUES

A. How will Respondent select staff for the Firm's locations? How will staff levels be determined?

B. Describe Respondent's hiring processes, including but not limited to, drug testing, criminal background checks, and reference checks.

C. Describe Respondent's processes for conducting performance evaluations, and for coaching staff with performance problems or other workplace problems.

D. Who from Respondent's organization with work with the Firm's Human Resources Department to ensure a smooth transition of

compensation and benefits for staff transferred from the Firm to Respondent ("Affected Employees")?

E. What will be Respondent's rates of compensation for Affected Employees?

F. Will Respondent provide annual bonuses to Affected Employees?

G. Confirm that Affected Employees will be given credit for prior service with the Firm for purposes of determining eligibility and accrual rates for paid time off (vacation and personal time), disability benefits, severance, retiree benefits and health plans and other plans, and programs that are service related.

H. Health Benefits – Please provide a copy of Respondent's health benefits plan including major medical, life insurance, hospitalization, dental, vision, short-term, and long-term disability, pharmacy, personal accident coverage, and long-term care. Provide information regarding employee cost for health care, including co-pay. Confirm that all Affected Employees will be covered by health insurance and at what levels.

I. Paid Time Off – What is Respondent's policy regarding vacation and personal day accrual? Indicate Respondent's willingness to allow former firm employees to carry over accrued but unused vacation and personal days.

J. Savings Benefits – Describe Respondent's savings benefits plans, such as 401(K), pension plans, or defined contribution plans, including employer contributions to such plans.

K. Retirement Benefits – Describe Respondent's retirement benefits plans, if any, including provision of health insurance benefits.

L. Severance – Describe Respondent's practices regarding severance pay in the event of an employee termination.

M. Other Benefits – Describe other benefits available to Respondent's employees.

N. Work Hours – The Firm anticipates that the work days, including work hours and holidays, for Respondent's employees working at Firm sites will be the same as for the specific Firm office. Please indicate if Respondent offers "flex" time as a benefit to its employees.

O. Attach a copy of any employment contract or procedures that would apply to the Affected Employees.

X. CONTRACT COST

A. Provide an estimate of the total annual cost for the Firm's contract, with subtotals for each office.

B. Describe how additional resources needed for special projects or peak volumes will be billed.

C. Describe how changes in scope of service will be negotiated and billed.

D. Describe how reductions in needed resources will be adjusted and billed.

APPENDIX C

POSITION DESCRIPTION: CHIEF INFORMATION GOVERNANCE OFFICER

This template was written for a chief information governance officer ("CIGO") and assumes that the role is strategic, placed at a high level and involves firm-wide responsibility for all IG programs.[10] Firms using this template should adapt the language to the role they wish to fill (e.g., scale the requirements accordingly when describing C-level, directorial or managerial roles).

SUMMARY OF THE ROLE

The CIGO plans, implements and directs the firm's information governance ("IG") programs. The CIGO is a strategic leader who provides firm-wide direction to attorneys and staff regarding any and all aspects of the firm's IG efforts including, but not limited to, the records and information management ("RIM") program; the legal and ethical compliance requirements related to information; the preservation or destruction of information; the confidentiality, privacy and security of information and the mobility of information. This position directly oversees the following functional areas [INSERT FUNCTIONAL AREAS]. The CIGO reports to: [INSERT TITLES OF SUPERIORS].

The CIGO: [SELECT THE HIGH-LEVEL ROLE DESCRIPTIONS APPROPRIATE FOR THE FIRM (EXAMPLES BELOW)]

> Collaborates actively with key stakeholders (including [LIST STAKEHOLDERS]) in order to develop and implement the firm's IG and RIM programs.

> Develops and oversees implementation of a strategic program that applies industry-leading practices and methodologies to support the achievement of short-, medium- and long-term IG goals.

> Oversees development and implementation of policies and guidelines governing the management of all information at the firm.

> Collaborates with system owners on a plan for the governance of data within their systems.

> Develops, oversees, enforces and, in some cases, implements strategies and procedures that will ensure the confidentiality, privacy and security of client and firm information.

> Acts as or collaborates with the firm's privacy official when managing processes related to the investigation of a potential data breach.

> Ensures that the IG and RIM programs govern information assets in all formats (including hard-copy and electronic).

> Ensures that the IG and RIM programs comply with applicable ethical and legal requirements within relevant jurisdictions.

> Develops and implements a communications and outreach strategy to achieve awareness and to help integrate the IG program throughout the firm.

> Communicates program requirements and goals to firm personnel through education, coaching and change management strategies that increase user adoption and compliance.

> Monitors program effectiveness by using benchmarks to evaluate and improve program performance.

DUTIES AND RESPONSIBILITIES

> **Strategic Planning:** [INSERT DESCRIPTION OF THE STRATEGIC PLANNING RESPONSIBILITIES OF THE CIGO] [SAMPLE LANGUAGE: Develops and maintains both short- and long-term strategic plans for the governance of the firm's information. Such plans include provisions for both client and firm business information and cover all forms and formats.]

> **Information Governance Advisory Board ("IGAB") Chair [OR INSERT NAME OF FIRM IG COMMITTEE]:** [SAMPLE LANGUAGE: Selects and appoints members of an IGAB, defines the scope of IGAB work, leads meeting discussions, brings appropriate issues to the forefront and prepares committee documentation (agenda, minutes, etc.).]

> **Policies:** [INSERT LANGUAGE THAT DESCRIBES CIGO RESPONSIBILITIES REGARDING THE DEVELOPMENT OF IG POLICIES] [SAMPLE LANGUAGE: Develops policies that govern both client and firm business information. These policies dictate how the firm creates, uses, secures, maintains, stores, releases, acquires, preserves, retains and disposes of information.]

> **Procedures and Programs:** [INSERT LANGUAGE THAT DESCRIBES SPECIFIC PROGRAMS THAT THE CIGO OVERSEES] [SAMPLE LANGUAGE: Directs and oversees the design and implementation of processes and programs that support the firm's IG efforts. These processes and programs include RIM systems; litigation holds related to the firm or to clients with whom the firm has responsive records; information mobility systems pertaining to incoming or outgoing attorneys and clients; confidentiality and privacy management systems and records retention and disposition plans.]

> **Compliance:** [INSERT LANGUAGE THAT DESCRIBES THE CIGO'S RESPONSIBILITIES REGARDING LEGAL COMPLIANCE] [SAMPLE LANGUAGE: Ensures that the firm's IG policies, processes and programs comply with applicable rules and laws regarding the management of both client and firm business information.]

> **Privacy Official (in the absence of a Chief Information Security Officer "CISO"):** [INSERT LANGUAGE THAT DESCRIBES THE CIGO'S RESPONSIBILITIES WHEN SERVING AS THE FIRM'S PRIVACY OFFICIAL] [SAMPLE LANGUAGE: Receives reports from firm personnel regarding potential data breaches and/or the loss or disclosure of confidential client information, personal information or any information the unauthorized release of which is subject to law or regulation. Investigates such reports and recommends follow-up action to the firm. Oversees any required actions to report such breaches and to resolve them according to applicable law or regulation.]

> **Communication:** [INSERT LANGUAGE THAT DESCRIBES THE COMMUNICATION RESPONSIBILITIES OF THE CIGO] [SAMPLE LANGUAGE: Communicates information about the IG program across all levels of the firm, including attorneys, legal support staff and firm administration. Provides regular updates and information about the IG program to firm management.]

> **Collaboration:** [INSERT LANGUAGE THAT DESCRIBES HOW THE CIGO COLLABORATES IN ORDER TO ACHIEVE GOALS AND OBJECTIVES] [SAMPLE LANGUAGE: Works with firm management and other administrative leaders to collect information necessary to build the components of the IG program. In addition, consults with various firm leaders and departments on IG issues. Also serves on related firm committees in order to provide IG perspective or ensure IG awareness.]

> **Direction and Management:** [INSERT LANGUAGE REGARDING THE FUNCTIONAL AREAS THE CIGO HAS DIRECT RESPONSIBILITY TO MANAGE] [SAMPLE LANGUAGE: Has firm-wide responsibility to direct and manage the following functional areas: [LIST FUNCTIONAL AREAS]. Develops staff plans and hires and mentors functional leaders. Oversees the work of functional leaders, including work pertaining to IG-related procedure and program development and implementation.]

> **Systems:** [INSERT LANGUAGE THAT DESCRIBES THE CIGO'S RESPONSIBILITIES WITHIN VARIOUS FIRM SYSTEMS] [SAMPLE LANGUAGE: Along with the IT director, jointly oversees primary content management systems, including the firm's document management system, records management system and any other key content repository system. Works with administrative department leaders to ensure that all other functional information systems conform to defined IG standards. Defines lifecycle requirements for the retention and disposition of information across all firm systems. Participates in the defining of requirements, the reviewing of vendors and the selection of systems in order to ensure that new programs conform to IG standards. Stays current regarding law firm technology (this includes staying on top of new trends, products and best practices).]

> **Third-Party Access to Information:** [INSERT LANGUAGE THAT DESCRIBES CIGO'S RESPONSIBILITIES TO ESTABLISH STANDARDS FOR THIRD-PARTY ACCESS TO INFORMATION] [SAMPLE LANGUAGE: Defines standards for the access of client or firm business information by third parties. Such standards should include processes that define the scope of third-party access. They should also include systems for the review and/or approval of contract language regarding information access.]

> **Continuous Improvement and Audit:** [INSERT LANGUAGE THAT DESCRIBES THE CIGO'S RESPONSIBILITIES TO CONTINUOUSLY IMPROVE IG POLICIES, PROCESSES AND PROGRAMS (INCLUDING RESPONSIBILITIES REGARDING REGULAR AUDITS AND FOLLOW-UPS)] [SAMPLE LANGUAGE: Engages in the continuous improvement of IG policies, processes and programs by actively seeking input from stakeholders and other personnel and by implementing processes to audit programs and review them for their compliance].

> **Budget and Financial Management:** [INSERT LANGUAGE THAT DESCRIBES THE CIGO'S BUDGETARY RESPONSIBILITIES] [SAMPLE LANGUAGE: Develops and maintains budgets for various IG functions, including personnel, travel, education, supplies, systems and subscriptions, as well as for other required expenses. Develops proposed budgets for various IG initiatives as part of strategic planning efforts. Negotiates applicable vendor contracts. Reviews and approves invoices.]

> **Industry Awareness:** [INSERT LANGUAGE THAT DESCRIBES THE FIRM'S EXPECTATIONS FOR THE CIGO'S AWARENESS OF INDUSTRY TRENDS AND BEST PRACTICES] [SAMPLE LANGUAGE: Stays current with leading industry practices and new developments in the areas of IG and RIM. Participates in continuing education, research, networking and professional and industry organization.]

> **Travel:** [INSERT TRAVEL REQUIREMENTS FOR CIGO] [SAMPLE LANGUAGE: Requires extensive travel.]

EDUCATION AND PROFESSIONAL CERTIFICATIONS

> **Educational Requirements:** [INSERT LANGUAGE REGARDING MINIMAL EDUCATION REQUIREMENTS FOR THE CIGO] [SAMPLE LANGUAGE: The CIGO must have a minimum of a bachelor's degree. An advanced degree, a law degree or a degree in an information management-related field are also desirable.]

> **Professional Certifications:** [INSERT LANGUAGE THAT DESCRIBES VARIOUS PROFESSIONAL CERTIFICATIONS THAT ARE DESIRED FOR THE CIGO] [SAMPLE LANGUAGE: Professional certifications in various technical areas related to IG are recommended, although not required. These include CRM, CIGP, IGP, etc.]

EXPERIENCE REQUIREMENTS

> Minimum of [INSERT REQUIRED YEARS OF EXPERIENCE FOR THE CIGO] [SAMPLE LANGUAGE: Five years of experience in strategic leadership in a professional services organization. A proven record of progressively responsible business positions.]

> Previous experience [INSERT LANGUAGE DESCRIBING PREVIOUS EXPERIENCE DESIRED FOR THE CIGO] [SAMPLE LANGUAGE: Demonstrable experience leading various areas related to the management of information (e.g., RIM, security, privacy or legal compliance) within a law firm, professional services firm or consulting firm is required.]

KNOWLEDGE, SKILLS AND ABILITIES [SELECT THE HIGH-LEVEL CIGO ROLE DESCRIPTORS APPROPRIATE FOR THE FIRM]

> Strategic Thinking and Planning: Develops a long-range vision for the IG program and translates that vision into achievable short- and long-term strategies and initiatives.

> Leadership: Influences the firm and its personnel regarding IG program adoption and compliance.

> Management: Identifies and selects talented leaders and staff to drive IG programs and initiatives. Guides the IG team toward achieving operational and professional successes. Demonstrates strong organizational and operational skills.

> Communication: Possesses advanced written and oral communication skills. Scales communications to all levels within the firm. Translates complex issues into simple concepts. Advocates the IG vision and its strategies and initiatives when working with firm management.

> Problem Solving: Analyzes problems, collects data, establishes facts and diagnoses solutions. Exercises judgment and discernment. Escalates problems appropriately.

> Interpersonal: Develops strong relationships at all levels within the firm. Manages and mediates conflict as necessary. Works in teams, collaborates and consults.

> Change Management: Develops programs that facilitate adoption of the IG program. Balances competing firm priorities.

> Technical: Possesses strong knowledge of subject matter in areas of direct and related responsibility, including RIM, privacy, security, technology, systems, legal compliance, project management, research and other ancillary fields.

> Budget and Financial Management: Creates budgets and financial plans to support IG initiatives.

APPENDIX D

POSITION DESCRIPTION: CHIEF INFORMATION SECURITY OFFICER

The Chief Information Security Officer ("CISO") develops the information security strategy and implements, manages, and enforces Information Security directives as required by the organization. Working closely with the senior leadership team, s/he will manage the evaluation of requirements combined with local, national and potentially global solutions to protect sensitive information, prevent cyber-attacks and support ongoing critical infrastructure efforts to ensure the confidentiality, integrity and availability of systems and data.

The CISO will manage daily security operations in support of local and regionally distributed network hardware and systems to include user services, security management, configuration management and network application integration support. This function plays a critical role within the organization. She/he will lead or assist in the development of network architecture designs, changes, and configuration management in support of Information Technology Security initiatives; and conduct technical evaluations and make recommendations to the Chief Information Officer ("CIO"). This key leadership role will lead a team of approximately [xxx] professionals who provide a combination of technical and security expertise. Additionally, s/he will be responsible and accountable for a complex enterprise information security function with oversight of the following:

> Identify, evaluate and report on Information Security risk in a manner that meets the [STATE/REGIONAL/NATIONAL] legal, regulatory and contractual requirements for the enterprise.

> Assess the current Information Security strategy including policies, procedures, and organization. Make recommendations and lead execution for improvement initiatives.

> Develop business-relevant metrics to measure the efficiency and effectiveness of the Information Security Management Program.

> Lead/develop Information Security resources.

> Ensure the Information Security program is in compliance with applicable laws, regulations, contractual requirements, and policies to minimize or eliminate risk [and address audit findings].

> Work with IT department(s) to establish and facilitate IT risk assessment and risk management processes, including the reporting and oversight of remediation efforts to address issues.

> Identify acceptable levels of risk and establish roles and responsibilities with regard to information classification and protection.

> Oversee Security Incident Response process and team regarding the planning and management of security incidents and events.

> Develop and evolve the information security function to ensure it is embedded and embraced throughout the organization.

PROFESSIONAL EXPERIENCE AND QUALIFICATIONS

The ideal candidate should be a highly qualified executive with substantial experience in [GLOBAL/NATIONAL] information security roles of progressive responsibility leading to a current CISO position. The preferred candidate will also have a demonstrated track record of prior usage and administration of information security operations, devices, systems and software such as firewalls, IDS, IPS, VPN, authentication solutions, digital certificates, encryption technologies (e.g., whole disk, file encryption etc.) and enterprise forensics software. Candidates for the CISO position must also have considerable experience conducting extensive, complex, detailed and confidential investigations and audits. Lastly, it is desirable that the CISO be certified in the field of information security (i.e., that they possess CISSP, CISM, CISA and/or equivalent certifications). Additional qualifications should include:

> Experience driving and implementing global plans and activities for enterprise information security programs and projects.

> Knowledge of security regulations and [SARBANES-OXLEY] IT control standards.

> Strong knowledge of information security processes, technologies and practices.

> Sound analytical depth experience and extensive technical skills in engineering, problem solving and preparation for worst case scenarios.

> Ability to define problems, review and assess information, establish facts and draw valid conclusions.

> Provide detailed assessments to senior management and continue the evolution of the program through exceptional leadership.

> Strategic consulting skills which move beyond adherence to specific analytical tools and methodologies; the ability to "think outside the box" to generate alternative solutions for consideration, and provides comprehensive risk/benefit analysis on those alternatives.

> Project management experience and team leadership ability.

> Initiative and energy to go beyond minimum requirements of effort and activity; a bias for action and for getting things done.

> Excellent communication and presentation skills are required.

> Good organizational and interpersonal skills. Attention to detail and mental concentration are necessary for accurately performing tasks and tolerating frequent interruptions.

> Strong ability to influence and lead in driving enterprise change management initiatives.

> Demonstrated ability to establish and maintain effective working relationships with diverse groups of people and third party consultants.

EDUCATION

A bachelor's degree in Computer Science, Information Systems or Engineering, or other rigorous discipline is preferred. An advanced degree in one of these fields is strongly preferred.

APPENDIX E

POSITION DESCRIPTION: MANAGER, INFORMATION GOVERNANCE TECHNOLOGIES

GENERAL PURPOSE OF THE POSITION

The information governance technology manager ("IGTM") assists the director of records and information ("DRI") in planning, implementing and directing the firm's information governance ("IG") programs. The IGTM is responsible for managing records and IG technology-related projects and initiatives and must plan, execute and finalize these projects in accordance with strict deadlines and within budget. Duties include assessing business-related needs, securing and interfacing with both technical and non-technical resources as required and coordinating the efforts of team members and third-party contractors or consultants in order to deliver projects according to plan. The IGTM will likewise work with members of various legal and non-legal groups in defining project objectives and overseeing deliverables throughout project lifecycles. Projects will include IG-related intranet content; enterprise searches; automated email filing; implementation of predictive coding for IG purposes; implementation and oversight of a scan-to-document management system ("DMS") solution; coordination of data migration and data remediation projects; creation of records and information systems and development of queries and metric structures pertaining to system adoption and usage.

The person in this position should have knowledge of and prior experience with best practices for effectively rolling out and managing software-based initiatives and projects. The candidate should also have prior experience regarding the use of various records management and IG tools. This person will serve as the lead manager responsible for complete setup and ongoing support of various content management and firm intranet systems. The IGTM will also interface directly with users to ensure that all systems, tools, communication plans and training curriculums are in place in order to facilitate the enforcement of the firm's IG policies.

PRIMARY FUNCTIONS AND RESPONSIBILITIES

> Along with IT staff, jointly oversees primary content management systems including the firm's DMS, records management system and other key content repositories.

> Works with administrative department leaders to ensure that all other functional information systems conform to defined IG standards.

> Implements lifecycle requirements for the retention and disposition of information in all firm systems.

> Participates in requirements definition, vendor review and system selection efforts to ensure that new systems conform to IG standards.

> Stays current regarding law firm technology, including new trends, products and best practices.

> Collaborates with system owners on the governance of data within their systems.

> Oversees records systems pilots, upgrades and training.

> Facilitates the definition of project scope, goals and deliverables for IG systems.

> Defines project tasks, identifies resources needed and assigns individual responsibilities.

> Creates and executes project work plans and revises as appropriate to meet changing needs and requirements. Secures all necessary approvals for all project deliverables.

> Effectively applies the firm's project management methodology and enforce project standards.

> Tracks project deliverables using appropriate tools.

> Ensures project documents are completed and current and stored appropriately.

> Risk Management: Minimizes exposure and risk across multiple projects. Proactively manages changes in project scope, identifies potential crises, and devises contingency plans.

> Industry Awareness: Stays current with leading industry practices and new developments in the areas of IG and Records and Information Management ("RIM"). Participates in continuing education, research, networking and professional and industry organizations.

> Travel: Requires travel.

> Leads by example, establishes clear expectations, sets direction and priorities, ensures that work levels are balanced among all staff, resolves internal staff issues in a timely manner, keeps staff informed of all appropriate information, builds an effective team, delegates at the appropriate level.

> Facilitates the development of staff by providing opportunities and support; provides timely feedback on work product; regularly coaches, evaluates, and recognizes staff performance and accomplishments.

> Establishes/adheres to Department budget; seeks opportunities to improve Department efficiency and reduce expenses by streamlining operations.

EDUCATION

> Educational Requirements: Must have a minimum of a bachelor's degree. An advanced degree in an information management–related field is preferred.

EXPERIENCE REQUIREMENTS

General Requirements

> Five to seven years of relevant work experience.

> Substantial knowledge of project management techniques and tools.

> Work experience in project management, strategic planning, risk management and change management.

> Strong leadership skills with a proven ability to assemble and lead teams.

> Experience in projects encompassing vendor management skills.

> Experience at working both independently and in a team-oriented, collaborative environment is essential.

> Critical thinking and problem-solving skills.

Technical Requirements

> Administrative experience with [INSERT FIRM SYSTEMS HERE] or other document management systems.

> General understanding of SharePoint™ 2013.

> Significant work experience in managing SharePoint intranet-

related projects; experience with law firms or professional services firms is highly desirable.

> Knowledge of both theoretical and practical aspects of project management in a software development application.

> Strong understanding of Web 2.0/collaboration processes and issues.

> Experience providing technical training to end users.

> Exposure and experience working in an agile development environment.

> Working knowledge of the following (preferred):

    > Information management technologies.

    > Microsoft™ Office Suite, Flash and Adobe Acrobat™.

    > Enterprise search tools.

    > Web content management systems.

KNOWLEDGE, SKILLS AND ABILITIES

> **Strategic Thinking and Planning:** Develops a long-range project plan for the IG program elements and translates vision into achievable short- and long-term strategies and initiatives.

> **Leadership:** Influences the firm and firm personnel to adopt and comply with the IG program.

> **Management:** Assists the Director of Records & Information in developing the IG team to achieve operational and professional success. Demonstrates strong organizational and operational skills.

> **Communication:** Possesses strong written and oral communication skills. Scales communications to all levels within the firm. Translates complex issues into simple concepts. Advocates the IG vision, strategies and initiatives to firm management.

> **Problem Solving:** Analyzes problems, collects data, establishes facts and diagnoses solutions. Exercises judgment and discernment. Escalates problems appropriately.

> **Interpersonal:** Develops strong relationships at all levels of the firm. Manages and mediates conflict as necessary. Works in teams, collaborates and consults.

> **Change Management:** Assists with developing programs that facilitate adoption of the IG program. Balances competing firm

priorities.

> **Technical:** Has strong subject matter knowledge in areas of direct and related responsibility, including RIM, privacy, security, technology, systems, legal compliance, project management, research and other ancillary areas.

WORK ENVIRONMENT

> This job requires travel.

APPENDIX F

POSITION DESCRIPTION: SENIOR DATA GOVERNANCE ANALYST

JOB SUMMARY

The Senior Data Governance Analyst will support the development and implementation of the data management program for the enterprise, working with the functional groups responsible for managing data to ensure consistency, uniformity and accuracy of master and reference data across the firm. This role will be responsible for analyzing issues in the governance of enterprise data, including problem definition, root cause analysis, and opportunity and solution recommendations; participating in the development and implementation of enterprise data governance principles, procedures, and standards; coordinating data governance projects; working with internal business owners and IT system owners on documenting change control procedures, and representing data governance on company projects and initiatives to ensure data integrity.

ESSENTIAL FUNCTIONS

> Assist in the development and implementation of processes, procedures, and best practices that support the firm's data governance strategy.

> Responsible for analyzing issues in the governance of enterprise data, including problem definition, root cause analysis, and opportunity and solution recommendations.

> Manage the development of change management processes for enterprise data, working with system owners and data stewards to document existing change control processes and define new processes when needed.

> Review data exception reports and work with the respective business area and data architecture team to understand and incorporate the change into the data warehouse.

> Oversee the maintenance of the enterprise data dictionary.

> Collaborate with internal teams responsible for developing and

delivering data management solutions and services to ensure appropriate use of data.

> Develop, manage, and track activities needed for a data quality improvement effort.

> Assist and participate in data governance sessions and data architecture meetings.

> Work with internal teams to develop and implement plans for assessing the quality and integration of new data sources.

> Help establish and analyze metrics in order to help prioritize areas for data quality improvement; organize and present recommendations to the Data Management Working Group for input and buy-in.

> Assist with collection of metrics to track data quality and in driving improvement to business priorities.

EDUCATION, EXPERIENCE AND SKILLS REQUIRED

> 5+ years as data analyst or similar role.

> Direct experience working on data quality, data warehousing, or other enterprise data management initiatives.

> Strong analytical and problem solving skills with a proven track record in gathering and documenting comprehensive business requirements.

> Demonstrated experience documenting business workflows, change management procedures, and data quality processes.

> 2-3 years' experience managing projects. Knowledge of project management tools and processes.

> Very organized with high attention to detail.

> Strong team-oriented leadership skills; able to frame issues and recommendations.

> Strong interpersonal, facilitation, and communication skills (written and oral).

> Project management experience preferred.

> Working knowledge of Microsoft Standard Query Language (SQL™) desirable.

> Experience participating in data governance forums desirable.

> Ability to interact with all levels of business as well as technical staff.

> Ability to work both independently and as part of a team.

ESSENTIAL CAPABILITIES:

> Must demonstrate the ability to maintain strict confidentiality of the firm's internal and personnel affairs.

> Must be customer service focused with internal and external clients.

> Highly self-motivated and directed with ability to work both independently or under specific direction.

> Ability to influence and interact effectively with all levels of personnel, including management staff and support staff.

> Ability to manage multiple concurrent objectives or activities, and effectively make judgments in prioritizing and time allocation in a high-pressure environment.

> Must be creative and flexible in order to respond quickly and positively to shifting demands and opportunities.

> Ability to work well with others, harness different skills and experience, build a strong sense of team spirit, and earn the trust and confidence of stakeholders and co-workers.

> Ability to follow-up and follow through.

> Ability to work effectively in a culturally and educationally diverse environment.

> Ability to work in a multi-office environment.

> Ability to work additional hours as needed.

APPENDIX G

POSITION DESCRIPTION: INFORMATION GOVERNANCE ANALYST

POSITION SUMMARY

This individual will be responsible for simultaneously leading and executing a broad range of strategic projects and initiatives relating to the adoption of effective electronic recordkeeping practices, the design of classification schemas in Firm Approved Records Repositories ("FARRs"), the production of innovative educational content on a wide range of records and information governance topics, developing compliance programs to meet regulatory and/or client requirements, and proposing technology and/or process changes relating to large-scale data transfers.

Initiatives led by this individual will result in minimizing risks relating to records management and information classification, access and disposition. This individual is able to create project plans, propose and schedule resources and meet project milestones based on high-level management guidance and knowledge of the overall goals and objectives of assigned projects. Will be responsible for initiatives and projects that frequently span multiple offices, legal practice areas and/or administrative departments and involve direct interactions with partners, senior legal staff and administrative managers. Responsible for proposing new methods and processes for assessing working practices relating to information management, classification schemes and configuration of FARRs that support the firm's legal practice areas and to comply with regulatory and/or client requirements.

ESSENTIAL DUTIES AND RESPONSIBILITIES

> Analyze and propose technology and develop procedural solutions for large-scale data imports and exports, including the secure transfer of encrypted data.

> Consult with attorneys, information technology managers and outside parties on the processes and systems used for large-scale data transfers.

> Propose and implement quality controls to ensure that large-scale

data transfers are performed in a manner that ensures data is completely and securely transferred to an external party.

> Lead "meet and confer" meetings with attorneys, information technology staff and external parties to discuss file transfer protocols for files exported from the Document Management System and network drives.

> Collaborate as a subject matter expert in law firm initiatives to improve and standardize processes relating to the transfer of electronic files between law firms and other external parties.

> Perform mass/custom data imports, exports, migrations and deletions.

> Assist with the end-to-end production of education modules on a wide variety of topics.

> Coach partners and legal teams on email management, electronic records management and data access control options.

> Collect, analyze and document business requirements relating to the information lifecycle of legal client and administrative information.

> Document findings and recommend improvements in processes, as needed to improve efficiency and reduce costs and risks associated with information management.

> Develop methodologies for analyzing data and implementing changes in processes and systems relating to legal client and administrative information.

> Document standard processes for information creation, access, classification, retention and disposition.

> Review and provide feedback on the configuration of firm applications used for the management of information and electronic records.

> Draft policies, procedures, standards and practical guidance on electronic records and information management.

> Advise firm responsible parties on records management and information governance issues, and help ensure compliance with records retention schedules and records disposition.

JOB REQUIREMENTS (EXPERIENCE AND EDUCATION):

> Bachelor's degree required.

> The ideal candidate will possess a minimum of 3-5 years of experience working for a law firm, or large organization in a regulated industry.

> Knowledge and experience with Information Governance, Information and Records Management frameworks.

> Knowledge and experience with Data Governance, Quality and Management.

> Knowledge and experience working with structured, semi-structured, and unstructured data.

> The candidate must possess a working understanding of risk management, organization-wide compliance programs, and corporate communications.

> Data privacy, governance/risk/ compliance, and/or information security background preferred.

> Good research skills with an ability to analyze and interpret complex information.

> Knowledge of, or ability to understand and fulfill, the requirements of State/Federal/International Data Privacy and Record Information Management regulations.

> Knowledge of industry best practice frameworks (e.g. COBIT, NIST, ISO, etc).

> The ideal candidate will possess strong conceptual skills, a willingness and ability to think out of the box and respectfully challenge the status quo.

> The ideal candidate will interact with various levels of management, and, as such, must possess superior communication skills (both written and oral), diplomacy, and "active" listening skills.

> Some travel may be required.

> Professional certifications preferred (e.g., IGP, CRM, CDIA+, IGP etc.).

APPENDIX H

INFORMATION GOVERNANCE JOB MATRIX

Writing a job description is an essential component of developing an information governance organization ("IGO") and of hiring the information governance ("IG") staff. Using this template, firms can identify the roles, responsibilities, essential functions, knowledge requirements and unique skillsets needed for building comprehensive job descriptions for top-level IG roles, including but not limited to:

> Chief Information Governance Officer.

> Information Governance Director/Manager.

> Information Governance Security Director/Manager.

> Information Governance Analyst.

> Information Governance Technologies Director/Manager.

The operational duties listed in Table 1 were sourced from job descriptions submitted by firms with burgeoning or established IGOs. Those using this template can scale the language to meet their firm's hiring needs. The "functional focus" cells (the four columns on the right) highlight the suggested organizational focus of each task or skillset. They can also be used interchangeably.

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ROLE AND RESPONSIBILITIES				
Collaborates actively with key stakeholders, including [LIST STAKEHOLDERS], to develop and implement the firm's information governance ("IG") and records and information management ("RIM") programs.	■			■
Develops and oversees implementation of a strategic program, applying industry-leading practices and methodologies to support the achievement of short-, medium- and long-term IG goals.	■	■		
Oversees development and implementation of policies and guidelines for the management of all information at the firm.	■	■	■	
Collaborates with system owners on the governance of data within their systems.	■	■	■	

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ROLE AND RESPONSIBILITIES				
Develops, oversees (or in some cases, implements) and enforces strategies and procedures to ensure the confidentiality, privacy and security of client and firm information.		■	■	
Acts as (or collaborates with) the firm's privacy official regarding efforts pertaining to the management of processes related to the investigation of potential data breaches.		■	■	
Ensures that the IG and RIM programs govern information assets in all forms, including hard copy and electronic formats.	■	■	■	
Ensures that the IG and RIM programs comply with applicable ethical and legal requirements in relevant jurisdictions.	■	■		
Develops and implements a communications and outreach strategy to promote awareness and to achieve integration of the program throughout the firm.	■	■		
Communicates program requirements and goals to firm personnel through education, coaching and change management strategies that increase user adoption and compliance.	■	■		■
Monitors program effectiveness utilizing benchmarks to evaluate and to help improve program performance.			■	
Develops a long-range project plan for IG program elements and translates that vision into achievable short- and long-term strategies and initiatives.	■			■
Influences the firm and firm personnel regarding IG program adoption and compliance.	■		■	
Develops or assists in the development of the IG team in order to achieve operational and professional successes. Demonstrates strong organizational and operational skills.	■	■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ROLE AND RESPONSIBILITIES				
Scales communications to all levels within the firm. Translates complex issues into simple concepts. Advocates the IG vision, strategies and initiatives when working with firm management.	■	■		■
Analyzes problems, collects data, establishes facts and diagnoses solutions. Exercises judgment and discernment. Escalates problems appropriately.	■	■	■	
Develops strong relationships at all levels within the firm. Manages and mediates conflict as necessary. Works in teams, collaborates and consults.	■	■	■	■
Assists with developing programs that facilitate adoption of the IG program. Balances competing firm priorities.	■		■	
Maintains awareness of major changes affecting legal records and information management and develops materials to educate attorneys so that they may better serve and meet ethical obligations to their clients.	■			
Serves as team leader and/or team member on a variety of risk management and information technology teams and maintains good working relationships with IT personnel responsible for planning and/or executing IG support.		■	■	
Analyzes and proposes technology solutions and develops procedural solutions for large-scale data imports and exports, including the secure transfer of encrypted data.		■		
Leads strategic projects relating to records and IG in accordance with firm policies and industry best practices.	■		■	■
Performs and documents business analysis, develops functional specifications for records and IG systems and ensures that records and IG system user interfaces are designed for ease of use and tailored to the needs of attorneys.	■	■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Develops project plans for strategic, multi-year records management and IG initiatives.				◻
Assists senior management and attorneys in identifying and containing risks relating to information management and aids in fostering a compliance culture with regard to IG.	◻		◻	
Works with senior management and with committees in the development and enhancement of processes to ensure compliance with all applicable information and technology requirements; coordinates the development and maintenance of supporting procedures.		◻		◻
Serves as primary point of contact and fosters good working relationships with attorneys and with all others who may need assistance with complex IG issues.	◻			
Maintains awareness of major changes affecting legal records management and IG and develops materials to educate partners and senior management so that they may better serve and meet ethical obligations to their clients.	◻			
Effectively manages resources and prioritizes projects in order to mitigate RIM compliance risk.	◻		◻	◻
Assists in the coordination of management responses to partner requests and to other internal and external requests for information.	◻		◻	
Authors, collects, reviews and maintains accurate and high-quality IG policies, procedures, standards and guidelines documentation.	◻		◻	
Maintains awareness of policy changes and revises documentation as necessary to reflect new records management and IG processes and/or technologies.	◻		◻	
Represents records management and IG on IT project teams; maintains good working relationships with all IT personnel responsible for planning and/or executing IG support; works collaboratively with IT to meet project deadlines and to deliver concrete results.		◻		◻

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Assists with special projects assigned by the Director, Risk Management or the Senior Director, Risk Management.				■
Develops and maintains both short- and long-term strategic plans for the governance of the firm's information, which includes both client and firm business information in all forms and formats.	■		■	■
Selects and appoints members of the information governance advisory board ("IGAB"); defines the scope of IGAB work, leads meeting discussions, brings appropriate issues to the IGAB and prepares committee documentation (agenda, minutes, etc.).	■			
Develops policies that govern both client and firm business information, including polices involving the ways in which the firm creates, uses, secures, maintains, stores, releases, acquires, preserves, retains and disposes of information.	■		■	
Directs and oversees the design and implementation of processes and programs that support the firm's IG efforts, including the RIM program; litigation holds related to the firm or to clients with whom the firm has responsive records; information mobility systems related to incoming or departing attorneys and clients; confidentiality and privacy and records retention and disposition.	■		■	
Ensures that the firm's IG policies, processes and programs comply with applicable rules and laws regarding the management of both client and firm business information.	■		■	
Receives reports from firm personnel regarding potential data breaches, including those breaches involving the loss or disclosure of confidential client information, personal information or any information the unauthorized release of which is subject to law or regulation. Investigates such reports and recommends follow-up action to the firm. Oversees any required actions to report such breaches and to resolve them according to applicable laws or regulations.		■	■	

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Communicates information about the IG program across all levels of the firm, including attorneys, legal support staff and firm administration. Provides regular up-dates and information about the IG program to firm management.	■			■
Works with firm management and other administrative leaders to collect information necessary to build components of the IG program and consults with various firm leaders and departments on IG issues. Serves on related firm committees to provide IG perspective or ensure IG awareness.	■			
Has firm-wide responsibility to direct and manage the following functional areas: [LIST FUNCTIONAL AREAS]. Develops staff plans and hires and mentors functional leaders. Oversees work of functional leaders, including work pertaining to IG-related procedure and program development and implementation.	■			
Oversees primary content management systems including the firm's document management system ("DMS"), records management system and any other key content repository system.		■		
Works with administrative department leaders to ensure that all other functional information systems conform to defined IG standards.	■	■		
Defines lifecycle requirements for the retention and disposition of information across all firm systems.	■	■	■	
Participates in the defining of requirements, the reviewing of vendors and the selection of systems in order to ensure new systems conform to IG standards.		■		
Stays current regarding law firm technology. This includes staying on top of new trends, products and best practices.		■		
Defines standards for the access of client or firm business information by third parties. Such standards include processes to define the scope of access and likewise include the review and/or approval of contract language regarding information access.	■		■	

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Engages in the continuous improvement of IG policies, processes and programs by actively seeking input from stakeholders and other personnel and by implementing processes to audit programs for compliance.	■			
Develops and maintains budgets for various IG functions, including personnel, travel, education, supplies, systems and subscriptions as well as for other required expenses. Develops proposed budgets for various IG initiatives as part of strategic planning efforts. Negotiates applicable vendor contracts. Reviews and approves invoices.	■	■		
Stays current with leading industry practices and new developments in the area of IG and RIM. Participates in continuing education, research, networking and professional and industry organization.	■			
Analyzes and proposes technology systems and develops procedural solutions for large-scale data imports and exports, including the secure transfer of encrypted data.		■		
Consults with attorneys, IT managers and outside parties on the processes and systems used for large-scale data transfers.	■	■	■	
Proposes and implements quality controls to ensure that large-scale data movements are performed in a manner that ensures data is completely and securely transferred to an external party.	■		■	
Leads "meet and confer" meetings with attorneys, IT staff and external parties to discuss file transfer protocols for files exported from the DMS and network drives.	■			
Collaborates as a subject matter expert when developing law firm initiatives to improve and standardize processes relating to the transfer of electronic files between law firms and other external parties.	■		■	
Performs mass/custom data imports, exports, migrations and deletions.	■	■	■	
Assists with the end-to-end production of education modules on a wide variety of topics.	■			

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Coaches partners and legal teams on email management, electronic records management and data access control options.	■			
Collects, analyzes and documents business requirements relating to the information lifecycle of legal client and administrative information.	■			
Documents findings and recommends necessary improvements for added efficiency and for the reduction of the costs and risks associated with information management.	■			
Develops methodologies for analyzing data and for implementing changes to processes and systems relating to legal client and administrative information.	■	■		
Documents standard processes for information creation, access, classification, retention and disposition.	■		■	
Reviews and provides feedback on the configuration of firm applications used for the management of information and electronic records.	■	■		
Drafts policies, procedures, standards and practical guidance on electronic records and information management.	■			
Advises firm's responsible parties on records management and IG issues and helps to ensure compliance with records retention schedules and records disposition requirements.	■		■	
Responds to security-related issues, problems, crises, and critical situations to support resolution and minimize downtime.	■		■	
Assists with investigations of minor security events (e.g., unauthorized accesses, instances of non-compliance with firm policies, instances of fraud, service disruptions, etc.) to identify malfunctions and breaches and to devise steps for remediation.		■		
Administers security-related software and firmware (e.g., assessment scan tools, firewalls, dashboards, intrusion detection sensors, etc.) to maintain security and service continuity.		■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Develops and implements advanced-level security solution architectural designs.		■		
Performs real-time security logging and event analysis and takes action within defined parameters to contain and mitigate information security threats and to escalate problems to the next level as needed based on severity. Authors assessment reports as needed.		■		
Acts as the direct point of contact for information security (IS) general engineering staff responding to cyber security events as directed. This will be done during core work hours and possibly after hours as part of an on-call support rotation.		■		
Provides timely follow-up and outstanding customer service to stakeholders as appropriate and keeps management informed of changes in status during issue resolution.	■			
Reviews violations of computer security procedures and discusses improvement opportunities with violators.		■		
Evaluates current or emerging technologies while considering factors such as risk reduction, cost, usability and effectiveness.		■		
Conducts firm vulnerability and penetration testing.		■		
Works with engineering and other technical teams and with vendors to ensure that critical firm and client data is protected and that security measures are integrated into all new products, software, applications and third-party systems.		■		
Evaluates and recommends new and emerging security products and technologies.		■		
Provides troubleshooting support for other non-security- related systems issues.		■		
Performs risk assessments and executes tests of information processing systems to ensure the effectiveness of security measures.		■		
Provides mentoring services and aids in the development of junior security staff.		■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Manages Security-related projects.		●		●
Performs periodic assessments to ensure compliance with policies and standards.			●	
Along with IT staff, jointly oversees primary content management systems, including the firm's DMS, records management system and any other key content repositories.		●		
Works with administrative department leaders to ensure that all other functional information systems conform to defined IG standards.	●	●	●	
Implements lifecycle requirements for the retention and disposition of information in all firm systems.	●	●		
Participates in the defining of requirements, the reviewing of vendors and the selection of systems in order to ensure that new systems conform to IG standards.	●	●		
Stays current regarding law firm technology. This includes staying on top of new trends, products and best practices.		●		
Collaborates with system owners on the governance of data within their systems.		●		●
Oversees records systems pilots, upgrades and training.		●		●
Facilitates the definition of project scope, goals and deliverables for IG systems.		●		●
Defines project tasks, identifies resources needed and assigns individual responsibilities.		●		●
Creates and executes project work plans and revises as appropriate to meet changing needs and requirements. Secures all necessary approvals for all project deliverables.				●
Effectively applies the firm's project management methodology and enforces project standards.				●
Tracks project deliverables using appropriate tools.				●
Ensures project documents are completed, kept current and stored appropriately.				●

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Minimizes the exposure and risk across multiple projects. Proactively manages changes in project scope, identifies potential crises and devises contingency plans.				■
Stays current with leading industry practices and new developments in the areas of IG and RIM. Participates in continuing education, research, networking and professional and industry organization.	■			
Facilitates the development of staff by providing opportunities and support. Offers timely feedback on work products, coaches staff regularly and evaluates and recognizes staff performances and accomplishments.	■			
Establishes/adheres to department budget; seeks opportunities to improve department efficiency and reduce expenses by streamlining operations.	■			
Analyzes issues that arise during the governance of enterprise data. Analysis will include problem definition, root cause analysis and recommendations for opportunities and solutions.	■	■		
Oversees the development of change management processes for enterprise data, working with system owners and data stewards to document existing change control processes and to define new processes when needed.	■	■		
Reviews data exception reports and works with the respective business areas and data architecture teams to help them understand and implement data warehouse changes.	■	■		
Oversees the maintenance of the enterprise data dictionary.	■	■		
Collaborates with internal teams responsible for developing and delivering data management solutions and services in order to ensure appropriate use of data.	■			
Develops, manages and tracks activities needed for data quality improvement efforts.	■	■		
Participates in data governance sessions and data architecture meetings.	■	■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Works with internal teams to develop and implement plans for assessing the quality and integration of new data sources.	■	■		
Establishes and analyzes metrics in order to help prioritize areas for data quality improvement; organizes and presents recommendations to the data management working group for the purposes of input and buy-in.	■	■		
Collects metrics to track data quality and to drive improvement of business priorities.	■	■		
Manages and executes projects and services relating to the governance of the firm's client and administrative data, information and/or records (with an emphasis on initiatives relating to data mobility, education and practice support as it pertains to information management and recordkeeping).	■	■	■	■
Assists with helping records management attorneys ("RMAs"), legal assistants, secretaries and others to transition from paper to electronic recordkeeping practices. Possesses expert knowledge of all resources available.	■			
Ensures proper data access authorization and assists with the execution of preservation orders and destruction orders in collaboration with the records compliance manager.	■	■		
Oversees or performs mass/custom data imports (from external parties to internal systems).	■	■		
Oversees or performs bulk data exports (from internal systems to external parties).	■	■		
Oversees or performs bulk data deletions (internal systems) due to retention reviews, court orders, client requests, etc.	■	■		
Oversees or performs bulk data movement for internal systems (e.g., shared drives).	■	■		
Reviews and approves data access requests (for email boxes, DMS documents, network drive files, etc.)	■	■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Develops and delivers records training for attorneys (e.g., CLE credit).	■			
Updates annual records management policy refresher e-learning module (per ALAS).	■			
Standardizes records management/IG new hire training.	■			
Liaises with IT training program leaders and administrators.		■		
Drafts and publishes LP/records management tips and maintains a current awareness of topics that are of interest to attorneys.	■			
Develops and oversees cross-functional teams to promote better working practices for the legal staff.	■			
Coaches partners and legal teams on email management and electronic records management.	■			
Develops and implements policies, procedures, standards and guidelines for electronic records management.	■		■	
Recommends and implements solutions for complex, highly-technical and/or ad hoc issues relating to information management.	■	■		
Conducts quarterly meetings with administrative records/compliance managers.	■			
Advises administrative managers on the development of records retention schedules.	■			
Recommends, develops and, ultimately, implements parameters for IG guidance.	■			
Develops and drives firm-wide IG services and initiatives in accordance with the firm's policies and in alignment with industry best practices.	■			
Assists senior management in identifying and containing risks relating to information management and aids in fostering a compliance culture as it pertains to IG.	■			

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Works with firm management and committees in the development and enhancement of processes to ensure compliance with all applicable information and technology requirements; coordinates the development and maintenance of supporting procedures.	▉			
Leads working teams comprised of attorneys, operations staff and/or administrative managers in designing and implementing changes in business policy, procedure or training programs where appropriate.	▉			
Effectively manages resources and prioritizes projects in order to mitigate records and information management compliance risks.	▉		▉	▉
Assists in the coordination of management responses to partner requests and to other internal and external requests for information.	▉		▉	
Authors, collects, reviews and maintains accurate and high-quality IG policies, procedures, standards and guidelines documentation.	▉		▉	
Maintains awareness of policy changes and revises documentation as necessary to reflect new records management and IG processes and/or the adoption of new technologies.	▉		▉	
Consults with attorneys, IT managers and outside parties on the processes and systems used for large-scale data transfers.	▉	▉	▉	
Proposes and implements quality controls to ensure that large-scale data movements are performed in a manner that guarantees data is completely and securely transferred to an external party.	▉	▉		
Leads "meet and confer" meetings with attorneys, IT staff and external parties to discuss file transfer protocols for files exported from the DMS, network drives and records management systems.	▉	▉		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Collaborates as a subject matter expert when developing large law firm initiatives to improve and standardize processes relating to the transfer of electronic files between law firms and other external parties.	■			
Performs mass/custom data imports, exports, migrations and deletions.	■	■		
Analyzes attorney education needs and develops a multi-year plan for the development and delivery of records management and IG education that takes into account local office and firm-wide requirements.	■			
Manages the end-to-end production of education modules on a wide variety of topics that involves stakeholders from multiple offices.	■			
Obtains approvals needed from external parties in order for attorneys to receive CLE credit for education modules.	■			
Develops and implements annual refresher e-learning modules (per ALAS) on key records policies.	■		■	
Standardizes records management training in records and IG topics.	■			
Leads cross-functional teams to promote better working practices for legal staff.	■			
Leads working sessions with stakeholders and personnel to build consensus and develop implementation plans for changes to processes and systems.	■	■		
Documents standard processes for information creation, access, classification, retention and disposition.	■			
Analyzes complex business processes for a wide variety of IT software applications and makes recommendations for improvements.	■	■		
Performs user interface design reviews of records and IG applications to ensure that applications are easy for attorneys to use and that help text is comprehensive and clearly written.	■	■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
ESSENTIAL FUNCTIONS				
Reviews and provides feedback on the configuration of firm applications used for the management of electronic records.	■	■		
Drafts and implements policies, procedures and standards for electronic records management and provides practical guidance regarding such management.	■	■		
Advises administrative records/compliance managers on records management and IG issues and leads the development of administrative records retention schedules.	■		■	
Leads project scoping.				■
Creates and executes project work plans and devises timelines. Revises plans and timelines as appropriate in order to meet changing needs and requirements.				■
Identifies resources needed and works with managers to assign those resources to project tasks.	■			■
Effectively communicates appropriate project information to project team members and stakeholders.	■			■
Holds regular project team meetings and prepares regular and ad hoc reports on project statuses.				■
Reviews deliverables prepared by team members, prior to management review.	■			■
Resolves and/or escalates issues for resolution in a timely manner.				■
Ensures project milestones are met within approved time and budget and that project documentation accurately reflects all aspects of the project in question.				■
Mentors others regarding effective leadership or regarding contributions to project and/or program efforts.				■
Develops and delivers weekly and ad hoc status reports on project statuses to the project team, project sponsor and other stakeholders.				■
Requires travel.				

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/RISK	PROJECT MANAGEMENT
EDUCATION / KNOWLEDGE / SKILLSETS / CERTIFICATIONS				
Bachelor's degree.	X	X	X	X
Advanced degree.	X	X	X	X
Law degree.			X	
Degree in an information management-related field.	X	X		X
Has strong subject matter knowledge in areas of direct and related responsibility, including RIM, privacy, security, technology, systems, legal compliance, project management, research and other ancillary fields.	X	X	X	X
Has professional certifications in various technical areas related to IG (these are recommended, though not required). Certifications include: CRM, CIGP, IGP, CDIA+, etc.	X	X	X	X
Has a minimum of five to seven years of experience working as a security engineer or security administrator for a law firm or technology department in a regulated industry.		X		
Has two to three years' experience managing projects. Possesses knowledge of project management tools and processes.				X
Possesses knowledge of and experience with technology, networks, infrastructure, vulnerability testing and information security principles and frameworks.		X		
Has prior experience with [INSERT SPECIFIC SOFTWARE].	X	X	X	X
Possesses an expert understanding of network protocols, firewalls, TCP/IP fundamentals and operating systems as well as log, network and system security analysis techniques.		X		
Possesses a deep understanding of network/application services, vulnerabilities, exploits and attacks.		X		
Has high ethical standards regarding the sensitive nature of the information that will be accessed.		X		
Possesses knowledge of information technology risk management concepts and best practices.		X	X	

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
EDUCATION / KNOWLEDGE / SKILLSETS / CERTIFICATIONS				
Has professional certifications (e.g., CISSP, CEH, MCSE, CCNA, CISM, CompTIA etc.). (Preferred.)	■	■	■	■
Has a minimum of a bachelor's degree. An advanced degree in an information management-related field is preferred.	■	■	■	■
Has administrative experience with [INSERT FIRM SYSTEMS HERE] or other document management systems.	■	■		
Has a general understanding of SharePoint™ 2013.	Depends	Depends	Depends	Depends
Has significant work experience in managing SharePoint™ intranet-related projects; has focused experience with law firms or professional services firms. (Highly desirable.)	Depends	Depends	Depends	Depends
Possesses knowledge of both theoretical and practical aspects of project management within a software development application.				■
Possesses a strong understanding of Web 2.0/collaboration processes and issues.	Depends	Depends	Depends	Depends
Has experience providing technical training to end users.	■	■		
Has had exposure to and experience working within an agile development environment.		■		■
Possesses a working knowledge of the following (preferred): › Information management technologies	■	■	■	■
Possesses a working knowledge of the following (preferred): › Microsoft Office Suite, Flash and Adobe Acrobat	Depends	Depends	Depends	Depends
Possesses a working knowledge of the following (preferred): › Enterprise search tools	Depends	Depends	Depends	Depends
Possesses a working knowledge of the following (preferred): › Web content management systems	Depends	Depends	Depends	Depends
Spent five or more years as a data analyst or in a similar role.		■		

FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
EDUCATION / KNOWLEDGE / SKILLSETS / CERTIFICATIONS				
Has direct experience working on data quality, data warehousing or other enterprise data management initiatives.		■		
Possesses strong analytical and problem solving skills as well as a proven track record in gathering and documenting comprehensive business requirements.	■	■	■	■
Has demonstrated experience documenting business workflows, changes in management procedures and data quality processes.	■	■		
Is very organized and has a high attention to detail.	■	■	■	■
Has strong team-oriented leadership skills; is able to frame issues and make recommendations.	■	■	■	■
Possesses strong interpersonal, facilitation and communication skills (both written and oral).	■	■	■	■
Has project management experience. (Preferred.)	■	■	■	■
Possesses a working knowledge of Microsoft Structured Query Language (SQL™). (Desirable.)	Depends	Depends	Depends	Depends
Has experience participating in data governance forums. (Desirable.)		■	■	
Possesses the ability to interact with all levels of business as well as with all levels of technical staff.	■	■	■	■
Possesses the ability to work both independently and as part of a team.	■	■	■	■
Has demonstrable ability to maintain the strict confidentiality of the firm's internal and personnel affairs.	■	■	■	
Is customer-service focused when dealing with both internal and external clients. (Required.)	■	■	■	■
Is highly self-motivated and self-directed and possesses the ability to work both independently and under specific direction.	■	■	■	■
Has the ability to exert influence over and interact effectively with all levels of personnel, including management staff and support staff.	■	■	■	■

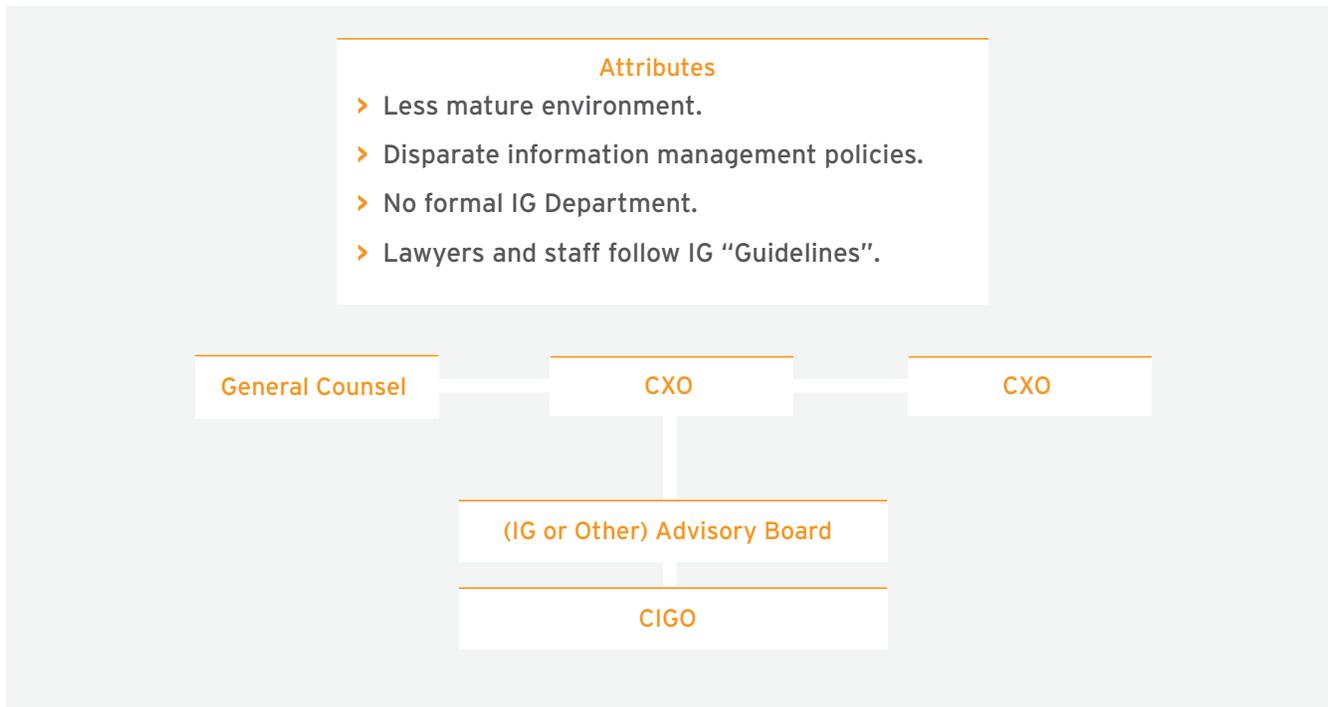| FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
EDUCATION / KNOWLEDGE / SKILLSETS / CERTIFICATIONS				
Possesses the ability to manage multiple concurrent objectives or activities and to make effective judgments regarding prioritization and time allocation in a high-pressure environment.				
Is both creative and flexible and can respond quickly and positively to shifting demands and opportunities. (Required.)				
Possesses the ability to work well with others, harness different skills and experiences, build a strong sense of team spirit and earn the trust and confidence of stakeholders and co-workers.				
Has the ability to follow-up and follow through.				
Has the ability to work effectively in an environment that is both culturally and educationally diverse.				
Possesses the ability to work in a multi-office environment.				
Possesses the ability to work additional hours as needed.				
Has critical thinking, problem solving, negotiation and prioritization skills. (Required.)				
Possesses the ability to develop and deliver grammatically correct and error-free verbal and written communications in a variety of formats and styles.				
Has excellent organizational skills and possesses knowledge of filing principles. (Required.)				
Is capable of conveying a friendly and positive demeanor when interacting with others in person, on the telephone and by email and is able to prioritize effectively and respond to multiple service requests, often while working under difficult time constraints. (Required.)				
Has the ability to lift boxes of up to 50 lbs. (Required.)	Depends	Depends	Depends	Depends
Exhibits promptness, good attendance and the flexibility to work overtime. (Required).				

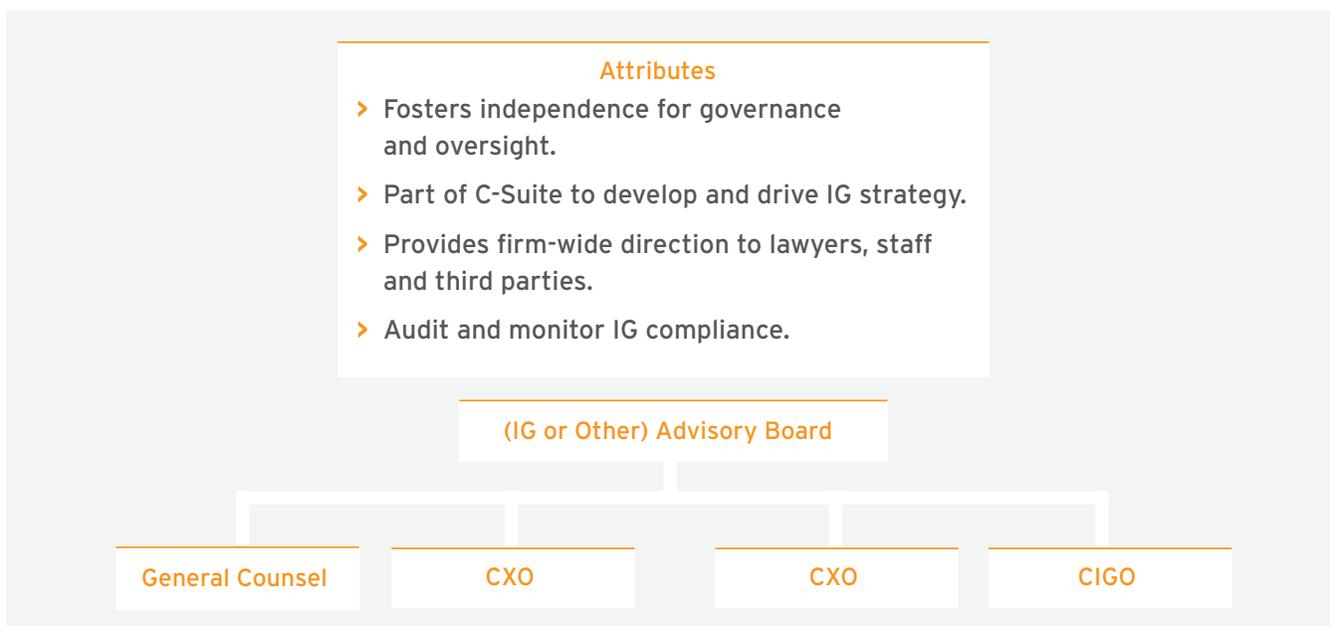| FUNCTION	RIM/IG	INFORMATION SECURITY/IT/IS	COMPLIANCE/ RISK	PROJECT MANAGEMENT
EDUCATION / KNOWLEDGE / SKILLSETS / CERTIFICATIONS				
Is capable of authoring and presenting professional IG guidance documents, presentations, procedures and/or educational material.	🟧	🟧		

TABLE 1

APPENDIX I

ORGANIZATIONAL MODELS

Model 2 – Ownership of IG resides in a stakeholder department but is accountable to an IG Advisory Board who is accountable to the C-Suite. In less mature environments a CIGO and/or Advisory Board role may not exist.

Attributes

> Less mature environment.

> Disparate information management policies.

> No formal IG Department.

> Lawyers and staff follow IG "Guidelines".

| General Counsel | CXO | CXO |

(IG or Other) Advisory Board

CIGO

Model 3 – IG is supported by an advisory board, but the firm also employs a Chief Information Governance Officer (CIGO)

Attributes

> Fosters independence for governance and oversight.

> Part of C-Suite to develop and drive IG strategy.

> Provides firm-wide direction to lawyers, staff and third parties.

> Audit and monitor IG compliance.

(IG or Other) Advisory Board

| General Counsel | CXO | CXO | CIGO |

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