

Technical Proposal for Comprehensive Records Assessment Consulting Services



RECEIVED

2020 JAN 10 AM 9:36

WV PURCHASING
DIVISION

January 13, 2020

Presented by:

Contoural, Inc.

335 Main Street, Suite B
Los Altos, CA USA 94022

Contents (Click to navigate to section)

Cover/Title Page	3
Addendum Acknowledgement Form(s)	4
Designated Contact(s)	5
Executive Summary	6
Mandatory Project Requirements	7
Qualifications and Experience	8
Mandatory Qualifications and Experience Requirements	11
Map of Contoural Deliverables to RFP Requirements Numbering Schema	12
Exceptions and Clarifications	13
Methodology	14
Project Tasks	15
Project Deliverables	17
Project Approach	20
Project Approach	20
Project Assumptions and Notes	38
Agency Resources Required to Support Engagement	41
Contoural Information	43
Appendix A - Consultant Resumes	46
Appendix B: Additional Content from Contoural	57



Confidentiality

The information in this document contains confidential and proprietary information including technical or financial information constituting trade secrets or information the disclosure of which would result in substantial injury to Contoural's competitive position. Contoural submits the enclosed with the express understanding that it will be held in strict confidence and will not be disclosed, duplicated or used, in whole or in part, for any purpose other than evaluation of the proposal, but understand that any disclosure will be limited to the extent that the West Virginia State Treasurer's Office (Agency or the Agency) considers proper under the law. If Agency enters into an agreement with Contoural, Agency shall have the right to use or disclose such information as provided in the agreement, unless otherwise obligated by law.

Disclaimer

Legal Information Is Not Legal Advice. Contoural provides information regarding business, compliance and litigation trends and issues for educational and planning purposes. However, legal information is not the same as legal advice -- which is the application of law to an individual or organization's specific circumstances. Contoural and its consultants do not provide legal advice. Clients should consult with competent legal counsel for professional assurance that our information, and any interpretation of it, is appropriate to each client's particular situation.

Cover/Title Page

**RFP Subject: Comprehensive Records Assessment Consultant
Solicitation Number: CRFP STO2000000002**

Vendor Name: Contoural, Inc.

Business Address: 335 Main Street, Suite B, Los Altos, CA 94022

Telephone Number: 650/390-0800

Fax Number: 650/390-0303

Contact: Judy Gum, CFO

Email: jgum@contoural.com

By signing below, I certify that I have reviewed this Request for Proposal in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship ; and that, bidder will, upon contract award, properly register with any State agency that may require registration.

Contoural, Inc. _____
(Company)

Judy Gum, CFO _____
(Printed/Typed Representative Name, Title)


Signature

650/390-0800 _____
(Contact Phone/Fax Number)

1/9/20 _____
(Date)

Addendum Acknowledgement Form(s)

Addendum No. 1 - 12/27/19

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:

(Check the box next to each addendum received)

<input checked="" type="checkbox"/>	Addendum No. 1	<input type="checkbox"/>	Addendum No. 6
<input type="checkbox"/>	Addendum No. 2	<input type="checkbox"/>	Addendum No. 7
<input type="checkbox"/>	Addendum No. 3	<input type="checkbox"/>	Addendum No. 8
<input type="checkbox"/>	Addendum No. 4	<input type="checkbox"/>	Addendum No. 9
<input type="checkbox"/>	Addendum No.5	<input type="checkbox"/>	Addendum No. 10

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued inwriting and added to the specifications by an official addendum is binding.

Contoural, Inc. _____
Company



Authorized Signature

1/9/20 _____
Date

Designated Contact(s)

Business Contact:

Name: Judy Gum
Title: CFO
Email: jgum@contoural.com
Phone: 650/390-0800

Services Delivery Contact:

Name: Tom Mighell
Title: VP Delivery Services
Email: tmighell@contoural.com
Phone: 214/534-3445

Executive Summary

Contoural is pleased to present the West Virginia State Treasurer's Office (Agency) with this proposal for Comprehensive Records Assessment consulting services as outlined in the Agency's RFP published December 5, 2019.

We have found that the biggest records management issues impacting many government agencies include:

- Over-retention of paper and especially electronic information
- Challenges in consistently classifying and applying schedules to electronic information
- Inability to get division/business units to consistently follow records retention schedules.

To that end, drawing on our experience our proposal focuses on assessing the Agency's records management capabilities (including current practices related to the generation, storage, retrieval and destruction) and the development of a strategic roadmap focused on meeting the challenges above, along with emphasis on:

- Development of a modern, compliant and easier-to-execute schedule that:
 - Is easier to apply to electronic information
 - Much more successful in eliminating over-retention
 - Includes both legal and regulatory requirements, and operational requirements/business value
- Change Management and Training services aimed at improving employee understanding and ultimately compliance with retention requirements and best practices.

Finally, this approach is based on successful implementation of both the ARMA 'Principles' and the Association of Corporate Counsel's (ACC) Legal Operations Records Program Maturity Model.

Project goals and mandatory requirements

Contoural understands that the Agency needs consultative services for a comprehensive assessment of its records generation, storage, retrieval and destruction practices; both in the electronic and paper records format. The project deliverables/goal is to provide the Agency with a detailed roadmap for records retention and handling; improved retention schedule; change management policy related to records; action plan; staff training requirements; and policy recommendations to guide the modernization of the records program.

On the following pages, we describe our approach and methodology for providing services to help the Agency meet these objectives.

Mandatory Project Requirements

4.2.2.1 - The Vendor shall provide a final project timeline with key goals and milestones outlined within fifteen (15) business days from the notice of award of a contract. Timeline shall also include periods for the in-person Agency division meetings.

Contoural agrees and will comply with this requirement and has made provision for its completion in Project Step P1-1.

4.2.2.2 - The proposed plan shall comply with all Federal, State and Industry laws and regulations.

Contoural agrees and will comply with this requirement.

4.2.2.4 - The Vendor shall provide monthly updates on project progress

Contoural agrees and will comply with this requirement and has made provision for its completion in Project Steps P1-9, P2-11 and P3-7.

4.2.2.4 - Vendor shall assume all cost of travel, copying expenses and any other costs associated with the project.

Contoural agrees and will comply with this requirement.

4.2.2.5 - The Agency shall retain all rights to any material generated during this project.

Contoural agrees and will comply with this requirement. Our standard Master Services Agreement for this provision reads:

Ownership Rights: Unless otherwise set forth in the respective Statement of Work, the ideas, concepts, know-how or techniques developed during the course of this Agreement by Contoural shall be the sole and exclusive property of CLIENT and may be used by CLIENT in any way it may deem appropriate. Unless otherwise set forth in a respective Statement of Work, all Deliverables, including without limitation any software, specifications, data, documentation, discoveries, improvements and inventions conceived, made or developed in the performance of this Agreement ("Proprietary Information") shall be the sole and exclusive property of CLIENT. Excluded from this shall be any previously developed intellectual property created previously or separately by Contoural (Contoural IP). If Contoural utilizes Contoural IP in delivering services for CLIENT, Contoural will extend to CLIENT a non-exclusive, perpetual, royalty-free license to utilize this Contoural IP. Use of this Contoural IP is restricted to customers for whom services were delivered by Contoural.

4.2.2.6 - A copy of all final plans, documents, work sheets, training material, etc. shall be provided to the office in an editable electronic format. Non-editable formats are permitted for presentation and other uses as long as an editable format is also provided.

Contoural agrees and will comply with this requirement.

Qualifications and Experience

4.3.1.1 - Vendor should list any experience with Office 365 and Windows File Server.

Contoural has been configuring Microsoft SharePoint implementations for over 10 years, and we were on the forefront of providing configuration and implementation strategies for our customers in O365 since its earliest days of pre-release. We have a fully developed methodology for migrating data from Windows File Servers to O365 (typically into SharePoint or Teams) that is a natural extension of our previous methodology for migrating from File Servers to SharePoint On-Premises. We are Microsoft development partners, and our technical consultants are all on the innermost ring of O365 updates, which provides us the ability to see new functionality and test it prior to our clients receiving monthly or semi-annual updates. We have been doing email management strategies for Exchange for 15 years as well. In addition, 100% of our own (internal) email and file storage is in O365.

4.3.1.2 - Vendor should list and provide at least two (2) other projects that they have completed similar in scope as requested in this solicitation. Examples should include projects completed within the last three (3) years. Vendor should include samples of records roadmaps and training material from those projects.

The services requested in this RFP are Contoural's core business. Due to contractual non-disclosure provisions, we are limited in the level of detail we can provide about current and former clients. We have provided similar services to about 30% of the Fortune 500 and a number of state and federal government agencies. Specific references are provided in the appropriate section of this proposal.

Samples of our Strategic Roadmap deliverables and training content are presented throughout in the 'Methodology' section.

4.3.1.3 - Vendor should include resumes of all staff that will be assigned to this project. Include any certifications in the records or IT field.

Resumes for Contoural consultants are presented in Appendix A. These resumes are representative of the skill set of the consultants that would likely be assigned to this engagement. Please note that actual resources are assigned upon the execution of contracts.

Our consultants have individual licenses/certifications in the following:

- Certified Information Privacy Professional
- Bar Membership (in a number of states)
- Certified Record Manager
- Information Governance Professional

4.3.1.4 - Vendor should include at least three (3) references with their contact information, including the entity name, primary contact person, contact person telephone number, email address, and a description of the work provided to the entity.

Reference 1: Texas Municipal Retirement System

Overview - The Texas Municipal Retirement System (TMRS) administers a retirement program for 883 Texas cities. TMRS administered \$28.9 billion in assets as of December 31, 2017. TMRS was established in 1947 and is administered in accordance with the Texas Municipal Retirement System Act (Texas Government Code, Title 8, Subtitle G). TMRS is a qualified retirement plan under Section 401(a) of the Internal Revenue Code. The System offers a choice of benefits so that each participating city can design a plan to suit its needs and budget.

Services provided for TMRS

Contoural has engaged with TMRS on a continuing series of services starting in mid-2017 and continuing today. This is a good sample of a client that has started with an Assessment and continued with additional, critical program elements. Services have included: Information Governance Assessment and Strategic Roadmap, Information Governance Organization development, Records Retention Policy and Schedule update/refresh, Change Management, Communications and Training, Unstructured Data Placement Strategy and Email Management Strategy, Policy and Training development.

TMRS Reference Contact:

Scott Willrich
Director of Information Resources
512/476-7577
SWillrich@tmrs.com

Reference 2: Federal Trade Commission

Overview - The Federal Trade Commission (FTC) is a bipartisan federal agency dedicated to protecting consumers from unfair, deceptive or fraudulent business practices, and promote competition. The agency conducts investigations, sues people and companies that violate the law, develops rules for the marketplace, and educates consumers and business about rights and responsibilities.

Contoural Services Engagement for FTC

Contoural recently began an extensive Assessment of FTC's eDiscovery practices, and leveraged the assessment to develop an eDiscovery strategic roadmap for the entire agency. Contoural also assisted in the purchase of new eDiscovery technologies, and developed formalized consistent, repeatable processes for FTC lawyers and other legal support staff to follow when dealing with eDiscovery received from investigation targets and other parties.

FTC Reference Contact

Kenya Dixon
(former) Assistant Director, Bureau of Consumer Protection
Division of Litigation Technology and Analysis
kenya.dixon@gmail.com (current contact info)

Reference 3 – Sound Transit

Overview - Sound Transit, officially the Central Puget Sound Regional Transit Authority, is a public transit agency serving the Seattle metropolitan area in the U.S. state of Washington. It operates light rail service (Link light rail) in Seattle and Tacoma, regional Sounder commuter rail, and Sound Transit Express bus service, as well as managing the regional ORCA fare card system. In 2016, Sound Transit services carried a total of 42.7 million passengers, including an average of 143,000 riders on weekdays.

Services provided for Sound Transit

Beginning in late 2016, Sound Transit engaged Contoural to conduct an assessment and strategic roadmap, identifying requirements, risks and long-term implementation strategy. Work included a current state assessment, gap analysis, recommendations for technology solution investment, strategic roadmap and on-going SME assistance in IG program guidance. Contoural and Sound Transit are currently also in discussions around additional services, IG program implementation projects.

Sound Transit Reference Contact:

Michele Hanrahan
Records Manager, Finance & Information Technology
206-903-7335
Michele.Hanrahan@soundtransit.org

Mandatory Qualifications and Experience Requirements

4.3.2.1 - Vendor shall have previously conducted a full scope assessment and training, as outlined in this project, within an organization of similar size and complexity or larger.

Contoural surpasses this Mandatory Qualification. Information Governance Assessments and related training are core services offerings for Contoural. We focus solely on proactive Information Governance strategic consulting services.

Contoural is the largest independent provider of Information Governance consulting, including records management, privacy, litigation readiness, defensible disposition and collaboration. Serving as a trusted advisor to more than 30% of the Fortune 500, including a number of state and federal agencies, Contoural sells no products, take no referral fees, nor offer "reactive" eDiscovery services, or records storage services. Our team includes attorneys, certified records managers, CIPPs, a former CIO, experts in behavior change management and all other aspects of Information Governance and privacy.

Our approach to Information Governance is based on variety of industry standards, including ARMA Principles and the Association of Corporate Counsel's Legal Operations Records Program Maturity Model.

Map of Contoural Deliverables to RFP Requirements Numbering Schema

RFP Requirement (Paragraph #)	Description	Contoural Project Step(s) Meeting	Notes/Comments
4.2.1.1	Assessment and Discovery		
4.2.1.1.1 through 4.2.1.1.12	Various Assessment Activities	P1-2, P1-3, P1-4	
4.2.1.2.1	Detailed report outlining findings from Assessment	P1-5	
4.2.1.2	Report and Deliverables		
4.2.1.2.1	Detailed report outlining findings from Assessment	P1-5	
4.2.1.2.2	Comprehensive and updated Retention Schedule and Policy, based on legal and industry standards.	P2-5, P2-6, P2-7	
4.2.1.2.3	Complete Strategic Records Roadmap	P1-6	
4.2.1.2.4	Change management strategy plan	P3-2	
4.2.1.2.5	Conduct meetings to present draft findings	P1-8	Two (2) on-site meetings in Charleston, WV
4.2.1.2.6	Assist the Agency with developing specifications for any software or hardware recommended	Project 4	To achieve better compliance and management of both electronic and paper records.
4.2.1.3	Training		
4.2.1.3.1	conduct at least six (6) training sessions	P3-5	On-site in Charleston, WV
4.2.1.3.2	Provide comprehensive training materials	P3-3, P3-4	
4.2.1.3.3	Provide separate material and training to Agency management staff	P3-6	Executive presentation on Information Governance Strategy and developing an IG program and educating staff
4.2.1.3.4	Provide recommendations of further in-house training after the completion of the initial project	P1-6, P3-6	

Exceptions and Clarifications

(Paragraph 4.2.1.2.6) Technology Requirements Definition for Technology Improvements

4.2.1.2.6 - Assist the Agency with developing specifications for any software or hardware recommended to achieve better compliance and management of both electronic and paper records.

Contoural generally provides assistance for technology requirements as a separate exercise from the Assessment project and Training exercises. Please note that the Assessment project deliverables will provide high-level technology recommendations based on our findings, a more comprehensive and thorough 'Business and Technical Functions Requirements Definition projects has been included as an Optional Project 4 in our proposal.

Generally speaking, we will be able to give the Agency better guidance on whether Optional Project 4 is required by the Agency after completing Project 1 – 'Information Governance Assessment and Strategic Roadmap', and we have much more information about the Agency, its existing information technology systems vis-à-vis its existing information governance maturity and go-forward program needs and goals. Many times, we have found that a client's existing IT infrastructure is sufficient to meet its needs, and/or may just need to be properly configured to attend to retention and information management requirements. Other clients have a more obvious need or gap, for which available technology solutions apply.

For now, we think the Agency should purchase only those services represented by Projects 1 (Assessment), 2 (Retention Policy and Schedule Update) and 3 (Change Management and Training), and reserve the decision on Optional Project 4 at the appropriate time in the execution of the services.

Methodology

Here is a summary of the projects we are proposing:

Project Description	Project Summary	Client Resource Impact	Approximate Time to Complete (Work Weeks)
Project 1 - Information Governance Assessment and Strategic Roadmap	Provides an independent, objective evaluation of Information Governance program status, including identification of program gaps, recommended maturity level, and the development of a Strategic Roadmap for closing gaps and recommended investment in people, process and technology to reach anticipated outcomes.	Medium	5 to 7
Project 2 - Records Retention Schedule and Policy Update	Provides an updated, compliant, and legally defensible record retention Policy and Schedule enabling an organization to meet its retention obligations. The development of the schedule serves to build consensus across stakeholders and business groups on what information should be saved for how long, and equally important, what information can be deleted. Also offers U.S. Legal and Regulatory High-Water Mark Citations Research and Documentation.	High	7 to 9
Project 3 - Change Management, Communications and Training	Provides development of Change Management, Communications and Training program elements for introducing the Information Governance Program to users. A successful change management program provides sufficient communications to increase user awareness, and a range of training and educational materials to ensure users understand how to comply with IG requirements. Also provides an Executive presentation on Information Governance Strategy and developing an IG program and educating staff	Medium	6 to 8
OPTIONAL Project 4 - Technology Requirements Definition for Technology Improvements	Provides an independent review of Agency's technology needs and develops specific technical and functional requirements for related software, as required. Also provides a short list of potential vendors capable of meeting the technical and functional requirements.	Low	tbd
Estimated Project Totals			

Key notes about this proposal:

- These services are offered on a Time and Material basis
- Contoural is available to present additional sample deliverables of these projects via web meeting.

Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 1 - Information Governance Assessment and Strategic Roadmap		
P1-1	10	Create Project Planning Documents and Execute Project Planning Call
P1-2	8	Review and Analyze Existing Information Governance Policies and Procedures and Existing Litigation Readiness Policies, Procedures, and any other relevant information.
P1-3	12	Conduct Operational, Risk Threshold and Infrastructure Data Collection Interview Sessions with Executive, Legal, Privacy, Information Security and IT Representatives.
P1-4	28	Prepare for and conduct Business Function/Departmental Interview Sessions with Business and Operational Units.
P1-5	40	Create an Information Governance Assessment Report
P1-6	40	Create an Information Governance Strategic Roadmap, Roadmap Workshop materials and Conduct a Strategic Roadmap Workshop
P1-7	8	Review and Revise the Information Governance Assessment Report and Information Governance Strategic Roadmap
P1-8	24	Create and present an Executive Summary
P1-9	12	Weekly Status Meetings and Project Communications
	182	Estimated Total Hours - Project 1
Project 2 - Records Retention Schedule and Policy Update		
P2-1	6	Specify and Customize Design and Format of the Records Retention Schedule
P2-2	50	Identify Records and Information Types
P2-3	12	Determine Business Retention Requirements
P2-4	12	Determine Legal/Regulatory Retention Requirements
P2-5	40	Update the Records Retention Schedule
P2-6	40	Research and Document High-Water Mark U.S. Legal and Regulatory Citations
P2-7	8	Update the Records Retention Policy
P2-8	12	Develop RRS Platform
P2-9	12	Design and Format the Records Retention Schedule
P2-10	20	Validate Schedule with Business, Review and Revise Draft Updated Retention Policy and Schedule
P2-11	16	Weekly Status Meetings and Project Communications
	228	Estimated Total Hours - Project 2
Project 3 - Change Management, Communications and Training		
P3-1	6	Determine Scope of Change Management and Training Activities Determine Training Session Participants
P3-2	12	Develop a Communications and Training Plan
P3-3	16	Develop Communications Content
P3-4	50	Develop Baseline IG Training Content
P3-5	24	Conduct Six (6) IG 101 Training Sessions, Refine Training Content
P3-6	12	Develop and Deliver an Executive/Stakeholder Presentation on Information Governance Program Development
P3-7	10	Weekly Status Meetings and Project Communications
	130	Total Estimated Hours - Project 3

OPTIONAL Project 4 - Technology Requirements Definition for Technology Improvements		
P4-1	8	Conduct Project Planning, Collect and Review Existing Documentation on Unstructured Repository Infrastructure and Applicable Policies
P4-2	20	Current State Definition and Requirements Gathering
P4-3	30	Determine Functional Requirements
P4-4	16	Determine Technical Requirements
P4-5	8	Review and Revise Functional / Technical Requirements
P4-6	16	Vendor Short List
P4-7	12	Weekly Status Meetings and Project Communications
	110	Estimated Total Hours - Project 4

Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 1 - Information Governance Assessment and Strategic Roadmap		
P1-1	Kickoff Meeting	Conduct kickoff meeting; Status Report Template with milestones and dates (proposed project schedule); Document Request Checklist identifying documents and information to be collected if available (for review prior to on-site work).
P1-2	Review of Existing Information	The information gathered from the review of existing documentation will inform the downstream deliverables and the scope of recommendations.
P1-3	Operational, Risk Threshold and Infrastructure Data Collection Interview Sessions	The information gathered in the interview sessions will inform the downstream deliverables and the scope of recommendations.
P1-4	Business Function Interview Sessions	The information gathered in the interviews and survey will inform the downstream deliverables.
P1-5	Information Governance Assessment Report	Information Governance Assessment Report: A PowerPoint document that compares (gap analysis) current Agency records retention policies and practices with industry best practice in a maturity model framework. The assessment identifies strengths, weaknesses and risks for 8-10 key Information Governance topics. Areas/topics typically addressed include: retention policy and retention schedule, organizational development, records and Information Governance training, records management processes including retention and disposition practices for various information types (paper, email, file shares, databases, etc.). The Assessment also looks at governance around infrastructure/technology, security/privacy, as well as Litigation Readiness.
P1-6	Information Governance Strategic Roadmap; Strategic Roadmap Workshop	Information Governance Strategic Roadmap - This deliverable provides Agency a prioritized IG program outline that includes near-term and medium-term project recommendations for IG foundation, Information Types and Legal/Risk areas. Recommendations around technology (email, file shares, Document Management/Enterprise Content Management Systems, SharePoint), are designed to leverage existing technology investments when possible. High-level resource requirements and cost estimates for technology investments to address gaps found in the Assessment are included for budgeting discussions.
P1-7	Contoural revisions of Information Governance Assessment Report and Strategic Roadmap	Contoural revisions of Information Governance Assessment Report and Information Governance Strategic Roadmap, based on core team review inputs.
P1-8	Executive Summary Presentation	Executive Summary Presentation: A short PowerPoint deck suitable for presenting the Information Governance Assessment Report and Strategic Roadmap deliverables to an executive sponsor/stakeholder audience.
P1-9	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Project 2 - Records Retention Schedule and Policy Update		
P2-1	Schedule Design and Format Document	RRS Design and Format Document: A Word document outlining Agency' agreement on the Design of the RRS and any associated reporting, the medium on which the RRS will be delivered to Agency, and the type of Business Validation exercise that will take place once a draft RRS is available.
P2-2	RRS Data Collection Workbooks; Completed RRS Data Collection Workbooks	RRS Data Collection Workbooks are Excel spreadsheets to be used by Agency participants in identifying and validating current Business Record Types, which will be used to develop the Records Retention Schedule. Workbooks will be completed by Agency participants following the interview and returned to Contoural for review and incorporation into the Agency Records Retention Schedule.
P2-3	Business Retention Requirements	Information identified in this project step contribute to downstream deliverables.
P2-4	Retention Periods based on Legal/ Regulatory Requirements	Information identified in this project step contribute to downstream deliverables.
P2-5	Draft Updated Records Retention Schedule.	Draft Updated Records Retention Schedule (RRS): A comprehensive, media-agnostic listing of Agency record classes, grouped and organized for clarity, ease of use/implementation and adoption/compliance. The RRS will specify recommended retention periods for each record class, based on applicable legal, regulatory and business retention requirements, and will include examples for each record class to enhance end-user understanding of the meaning and scope of each record class. The RRS can be framed as an Appendix to the company's existing Records Retention Policy.
P2-6	High-Water Mark U.S. Legal/ Regulatory Citations Documentation	High-Water Mark U.S. Legal/Regulatory Citations Documentation - identification and inclusion of Legal Citations to the RRS, or as a stand-alone document, as requested by Agency.
P2-7	Draft Updated Records Retention Policy	Draft Updated Records Retention Policy: Covers overall records management objectives, scope, definitions and guidelines, including legal hold obligations. Will reference the detailed RRS and will point to related procedures.
P2-8	RRS Platform	RRS Platform - the software/application-based container for the Agency RRS, in a format complying with the RRS Design and Format document. The platform as designed could be in Excel, Access, SharePoint, SQL database, or other format, as agreed upon by Agency.
P2-9	Formatted and Customized Records Retention Schedule	Formatted and Customized Records Retention Schedule - depending upon the platform used, Contoural will create a baseline RRS format, and develop customized reports that can be produced from the platform depending upon the needs of the particular audience (employees, Legal, individual departments, etc.)
P2-10	Business-Validated, Revised Policy and RRS	Business-Validated RRS, including changes based on validation inputs; Contoural revisions of the Retention Schedule and Policy (if necessary) based on review inputs.
P2-11	Weekly Project Communications and Updates	Weekly Status Reports, utilizing status report template format approved in project step P1-1.

Project 3 - Change Management, Communications and Training		
P3-1	Scoping Discussions Training Session Participants	Training Session Participants - staff who will participate in the Pilot Training Sessions.
P3-2	Communications and Training Plan	Communications and Training Plan: specifies the audience, vehicles, timeline and messaging for each.
P3-3	Communications Content	Communications Content.
P3-4	Baseline IG Training Content	Baseline IG 101 Training Content - Up to 3 end-user training modules (15-30 minutes) in PowerPoint format.

P3-5	IG 101 Training Sessions Refined Training Content	IG 101 Training Sessions: Includes six training sessions for the participants identified in the planning step, session preparation and collection of participant feedback. Refined Training Content, based on feedback received after the Training Sessions.
P3-6	Executive Presentation on Information Governance Program Development	Executive Presentation on Information Governance Program development: a senior-level PowerPoint presentation detailing IG Program attributes, governance model and strategic vision.
P3-7	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.
OPTIONAL Project 4 - Technology Requirements Definition for Technology Improvements		
P4-1	Project Plan, Information and Document Checklist, IT Questionnaire	The information gathered from the review of existing documentation will inform the downstream deliverables and the scope of recommendations.
P4-2	Current State Definition	Current State Definition - Summarizes the current server and storage environment, required sizing, overall data sizing, storage requirements and data formats, IT processes for unstructured data and anticipated growth for future state models and legacy data migration or archiving.
P4-3	Draft Functional Requirements	Draft Functional Requirements- A written set of vendor-facing requirements (tabular format) to procure a software solution for managing and controlling records, information and/or data.
P4-4	Draft Technical Requirements	Draft Technical Requirements - A written set of vendor-facing requirements (tabular format) to procure a software solution for managing and controlling records, information and/or data.
P4-5	Final Functional / Technical Requirements	Final Functional / Technical Requirements - reviewed and modified to meet Agency technical documentation standards, to ensure requirements are captured and available for producing an RFP evaluating vendor responses and testing the implementation of the final solution.
P4-6	Vendor Short List	Vendor Short List - A summary of high-level strengths and weaknesses of the recommended vendors in summary bullets and/or graphical comparison charts. This may contain vendors Contoural recommends, as well as any that Agency wishes to include due to existing vendor relationships or technology preferences, and who can deliver an appropriate solution, for reception of an RFP.
P4-7	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Project Approach

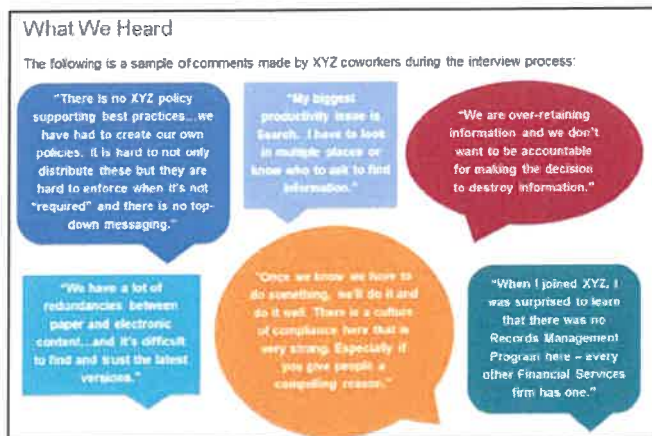
Note: Contoural has made some assumptions on the data collection process, deliverables and other elements of this engagement. We are flexible and willing to customize this approach, including adding or eliminating components based on further discussions. Contoural has a mature process for conducting these engagements which includes the following lineup and project steps.

Project Approach

Note: Our proposal follows our customized assessment and roadmap process that has proven successful in many previous engagements. Contoural has made some assumptions on the deliverables and other elements of the engagement, and we are flexible and willing to customize this approach, including adding or eliminating components based on further discussions.

Project 1 – Information Governance Assessment and Strategic Roadmap

An Information Governance assessment provides a holistic, enterprise-wide perspective so that each company or organization can develop an approach to viewing information as a strategic asset that can support organizational objectives. The assessment takes into account the organization's culture, risk and litigation profile, operational environment, appetite for maintaining a program, user behaviors, and existing infrastructure. One important goal of an assessment is to understand the business needs and actual behavior patterns of employees who create, manage, and destroy records in all formats (paper, electronic and other physical formats). This helps the organization prevent costly mistakes that can occur when companies jump into technology solutions without having a good understanding of the business requirements of the records and information it manages. It also helps an organization formulate a comprehensive program that responds to all the important business drivers – not just a narrow view from one functional perspective.



The assessment will help determine the company's current and desired program maturity – defining gaps that may exist, which ones are acceptable and what needs to be bridged to get to the desired future state.

Sports Car, Sedan or Golf Cart – Picking Your Program Maturity

Organizations should consciously target the appropriate level of maturity for their Information Governance program. Technology vendors and law firms often warn of dire consequences of poor Information Governance efforts (and that only their technology or services will avoid these disasters). In reality, organizations have a wide range of compliance requirements, litigation profiles, privacy risks, cultures, and resources available. A few organizations do indeed need a "sports car" level of program maturity; however, more organizations would be better off with a "sedan" or even "golf cart" level program. It is better to have a well-executed, albeit simpler, approach than a more complex, difficult, and expensive "sports car" target maturity that spends more time in the repair shop than being driven. Senior managers know this to be the case and savvy Information Governance and Records Management professionals know that targeting the right level of maturity is key.

Determining Maturity – Information Governance and Records Management Frameworks and Standards

In the process of assessing program development needs and maturity, we advise our clients on a number of issues, including program development, and specialize in identifying necessary investments in the people, process and technology needed for an internally driven Information Governance program. Many of our clients implement our recommendations to realize significant progress in program development, including adopting processes and procedures to gain better control of records, information and other data, along with continuing change management activities that are designed to drive user and stakeholder compliance.

In all of our consulting services, Contoural consistently applies broadly accepted industry Information Governance (IG)/Records and Information Management (RIM) standards such as:

- ACC Records Program Maturity Model
- ARMA's Generally Accepted Recordkeeping Principles and Information Governance Maturity Model
- Sedona Conference and Sedona Canada Guidelines
- Gartner Information Governance Maturity Model
- Operational business needs
- ISO 15489
- MoReq 2010
- In-country legal and regulatory requirements, including CBCA and US Federal Sentencing Guidelines, as an example

Sometimes organizations want to refer to outside IG/RIM standards and frameworks to gauge target program maturity. Some of these standards include:

Records Management Frameworks and Standards

Records Management

- ISO 15489-1:2001
- Legal and Regulatory Requirements (10K+)
- Generally Accepted Recordkeeping Principles (GARP)
- Information Governance Maturity Model (IGMM)
- Federal Sentencing Guidelines
- EDRM Information Governance Model

Information Security

- FIPS 199
- ISO 27001, 27002
- HIPAA
- General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679)
- Privacy Shield
- PCI Requirements
- State Privacy Laws
- GLBA

eDiscovery

- Sedona
- Sedona Canada
- EDRM.net
- Case Law (Pension Committee v. Bank of America, Victor Stanley v. Creative Pipe, Chin v. Port Authority)
- TREC
- Practice Direction 31B (UK)

Data Storage and IT

- ITIL
- ISO 32000-1 (PDF)
- CORBA

These multiple standards create some challenges. They are useful in examining specific program elements, but no single standard or framework exists for addressing an overall Information Governance program. Many are only focused on one small piece of Information Governance, such as eDiscovery and some are well-defined standards (such as FIPS 199 for information security), but most are less prescriptive frameworks. IGMM, for example, is at best a framework. It does not provide much prescription on targeting specific levels of maturity. Moreover, few of these provide any type of objective measurement against current capability. As a result, organizations often assess their own needs based on a variety of drivers, as well as against peers in their own industry.

A New Maturity Model

Contoural is the sponsor of the Association of Corporate Counsel (ACC) Information Governance Network (a.k.a, Committee) and a sponsor of its Legal Operations Records Management section, both coveted positions that are attained by ACC selection processes. As a charter in fulfilling these roles, ACC asked Contoural to create an Information Governance/Records Management Maturity Model. ACC had found (as mentioned above) that many of the existing maturity models are either incomplete, too theoretical or too non-prescriptive to have any practical application.

Contoural recently completed and published this meaningful, useful and applicable standard that is endorsed by ACC, and they intend to promote this maturity model as a standard for corporations and other organizations. ACC's proactively seeking out Contoural to develop this maturity model is a strong endorsement of our thought leadership and capabilities.

The new ACC Records Management Program Maturity model provides a detailed maturity model for all aspects of an organization's records program. It seeks to gauge program effectiveness across a variety of program elements, taking a "big picture" view to increase program value.

Program Objectives – The Maturity Model considers a records management program as a combination of policies, processes, technology implementation, training, monitoring and auditing to identify, classify, manage, and dispose of electronic, paper documents, and non-paper physical records (such as drug samples or drilling cores). The Model seeks to identify various aspects of records management maturity based on the *value* they bring to the organization. Under the Model, the higher the maturity in any given area, the greater the value the program brings. The Model defines the value as follows:

- Ensure Compliance -- All organizations face a multitude of legal and regulatory recordkeeping requirements. Additionally, organizations face privacy, data protection, information security, and anti-corruption requirements. An effective records management program ensures recordkeeping compliance, and promotes other compliance capabilities.
- Reduce Risks -- An effective records management program reduces risks in litigation, information security, breaches, and other types of information-related risks.
- Lower Costs -- Well-designed and executed records programs lower both ongoing and one-time costs in a variety of areas, including eDiscovery, data storage, records storage, and regulatory fines.
- Increase Productivity – Successful records programs increase productivity of individual employees, and enable better collaboration and information sharing with and across departments and the enterprise.

The Model examines a number of key program attributes and vehicles and assigns a maturity level for both existing state and desired state. This information is then used to develop a plan for moving each client's program to the desired outcomes.

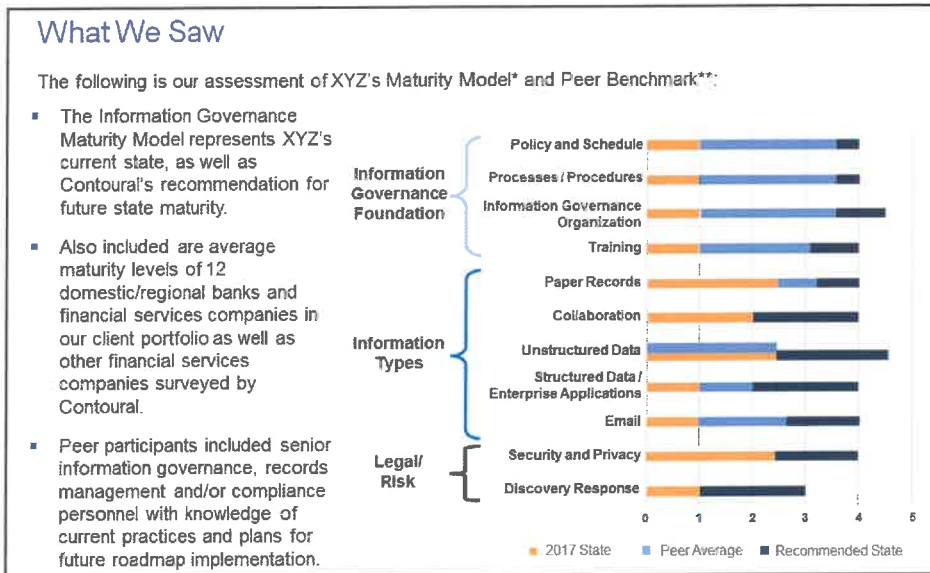


Areas examined include:

- Records Retention Policy and Schedule
- Records Management Processes and Procedures
- Unstructured Data Records Management
- Semi-structured Data Records Management
- Structured Data Records Management
- External Social Media and Messaging Platforms
- Paper and Non-Paper Physical Records Management
- RIM/IG Program Integration with other Compliance Programs and Processes
- RIM/IG Program Productivity and Collaboration
- RIM/IG Program Employee Training and Awareness
- RIM/IG Program Monitoring, Audit and Maintenance

Not all aspects of this model will apply to every organization, e.g., global program capabilities for companies with operations in a single country. Furthermore, the importance of any given

capability is likely to vary from organization to organization, based on the importance and weighting of various maturity aspects. Also note that this model focuses on the impact of an achieved level and on the records management program. It does not address the best strategy for *achieving* a particular result, as this varies from organization to organization. Likewise, it is a model for records management programs, and does not address all aspects of more comprehensive Information Governance programs.



Take note that maturity varies tremendously across industries. Industries facing more regulatory requirements or higher litigation profiles, such as banking or financial services, in general will want to have higher average Information Governance maturity than those in less regulated industries, such as manufacturing. Often senior management is willing to invest in a target maturity level that is slightly above the average in their industry, but are less interested in having a program that is far above this. This is OK, so long as maturity is properly calibrated.

The bottom line is – Contoural helps our clients make a conscious choice on target maturity based on all of the relevant factors. When justifying a program and the effort involved, we help each client explain the choice and the rationale behind it, so that getting executive sponsor buy-in is accelerated.

We Take a Divide and Conquer Approach with Wins along the Way

In the process of developing an Information Governance Program, Contoural has found that there is a tendency in many companies to simply start with one of the key program components and work on that, without addressing some of the bigger picture details. This can result in conflict with other program elements being developed by others within the organization.

For example, a company wanting to dispose of files and other unwanted email or unstructured data, for example, may start with an electronic data deletion project. But before this can be done the records retention schedule may need to be created or updated. Then someone realizes that the legal hold process should be addressed so information under legal hold is not deleted. One thing intersects with another and just getting started can be difficult.

XYZ Risk—Information and Environment

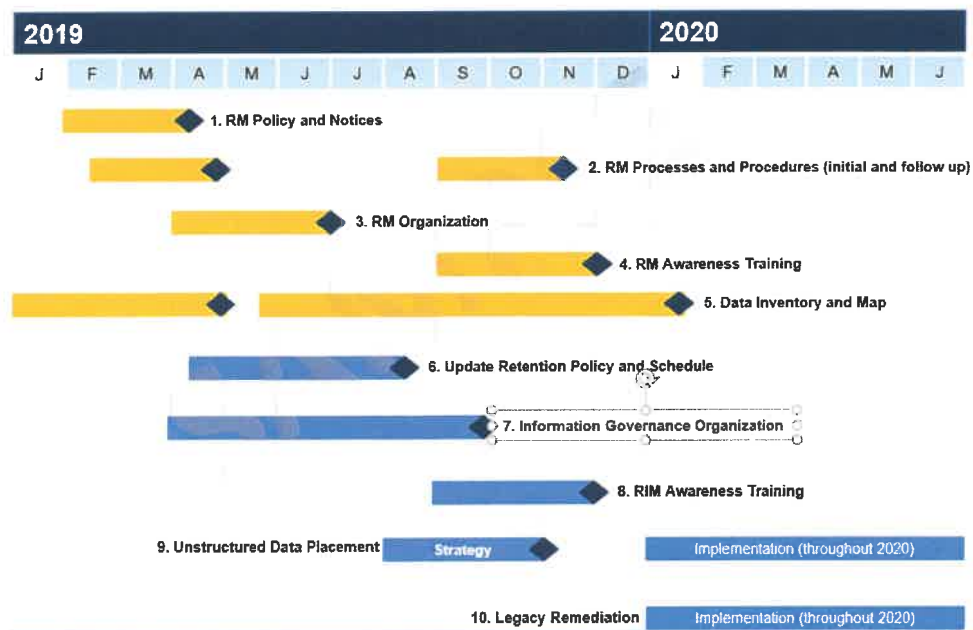
- **XYZ has immature practices for managing information compared to Peers.** Overall, XYZ's lack of an Information Governance program puts it at risk compared to its industry peers. As a company in a highly-regulated industry, XYZ has challenges in managing retention of customer information. It also must adhere to strict security and privacy requirements. In the case of email management, XYZ also faces a competitive deficit. Most peers are using some type of classification solution to automate disposition of all email.
- **Reputational Risk.** Reputation and relationships are difficult to recover after an adverse or catastrophic event.
- **Growth and Expansion of XYZ.** With the planned and imminent growth of XYZ, the likelihood exists for more regulatory scrutiny in the future. XYZ must begin to address investments in Information Governance.
- **Lack of Discovery Response Plan.** It is challenging to search through all the many locations where responsive information may be located. As XYZ builds out its Information Governance program, search of unstructured information will be a priority requirement in order to consistently respond to requests / legal matters.

We advise avoiding the creation of one single, large project. Rather, to avoid getting stuck, we recommend taking a big picture view, starting with an assessment of the existing state, identification of the desired state, then the development of a strategic roadmap that divides program development projects into smaller, more manageable pieces. Information gleaned from the assessment is used to create a strategy that addresses the gaps and provides steps to achieve the desired level of records management, litigation readiness, and the protection of sensitive information. The roadmap is then used to create a clear, detailed project plan for executing the overall Information Governance program initiative.

Perhaps most important, each project or small group of projects should offer an organizational "win" in which the enterprise actually realizes the benefits of that program segment and executive sponsors understand the return on the money and time spent. Having wins early and then throughout the process will help build momentum and buy-in, as opposed to experiencing a win at the end of a series of long projects.

Recommendation		Priority	Effort (XYZ)	Cost
1	Update/Simplify Policy, Schedule and Procedures to Incorporate Electronic Records Management	High	Medium	\$\$
2	Enhance Records Management Organization and Matrix of Records Coordinators	High	Medium	\$-\$
3	Develop Email Management Strategy and Solution Requirements	High	Medium	\$\$
4	Develop RIM Behavioral Change Management Strategy, Content Creation and Delivery Vehicles	High	High	\$\$-\$\$\$
5	Unstructured Electronic Data Placement/Management Strategy	High	Low	\$\$
5a	File Share Clean Up/Offices and Centers File Plan Development/Training	High	High	\$-\$
5b	Develop Enterprise Content Governance/s File Plan Dev./Training	High	High	\$\$-\$\$\$
5c	Develop Authenticated Electronic Signature Process	Medium	Low	\$-\$
6	Evaluate and Implement Enterprise Search Solution	High	Medium	\$-\$
7	Legacy Structured Data Strategy and Remediation	High	Medium	\$\$-\$\$\$
8	Security & Privacy Improvements	High	Medium	\$-\$\$
9	Enhance Litigation Tools and Training	Medium	Low	0
10	Standardize Scanning Guidelines and Processes	Medium	Low	\$-\$
11	Develop Integrated Content Data Map for Electronic Information	Medium	High	\$-\$
12	Update Desktop Backup Solution	Medium	Low	\$\$-\$\$\$

Related to this is the duration of executing on the program elements identified. As the strategy is being developed, we recommend looking closely at the timeline in which these projects can be completed. The timeline should factor in competing initiatives, funding, and the speed at which the organization can absorb change, and other factors. Some smaller programs can be executed in a quarter or two. Larger and more complex organizations often have Information Governance program timelines that may span a number of years.



Specific steps in the process:

Preparation and Planning - Contoural will prepare kickoff documents including sample status reports, project overview and messaging for interview session participants, and document requests. We then conduct planning meetings (usually conference calls) with core team members to identify interview session participants, establish roles and expectations for the project team, identify documents to be collected and determine the actual schedule for on-site work. We anticipate doing data collection through a combination of interviews and surveys. During the planning process working with the Agency core team, we will determine the appropriate mix and target recipients of each.

Document Collection and Review, Information Gathering - Contoural will review and analyze Agency's existing Records Retention Policies and Schedules, current Information Governance operational Metrics, organizational structure, applications and infrastructure, process documentation, lists of record types, taxonomies, data security and privacy information and any available assessments or information life cycle reviews, as necessary to address engagement objectives and produce downstream deliverables.

Interview Sessions - Contoural will conduct small group and/or individual data collection interview sessions with relevant stakeholders responsible for and knowledgeable of Information Governance practices and processes within their functional area. These interviews are divided into two distinct groups: Operational, Risk Threshold and Infrastructure; and Business Functions. Each interview can have up to five participants. These sessions usually take place in person, while staff in remote locations can be interviewed via the telephone/web meeting. A typical interview group consists of a senior representative (director/manager) of the functional area who understands how their area feeds into the overall corporate operating functions, as well as staff from the business function who have working knowledge of daily practices related to information created and managed within that area. Contoural is open to discussing the appropriate number of in-person interviews vs. conducting surveys as part of the evaluation.

Contoural is estimating **6** interview sessions for the Operational, Risk Threshold grouping, and **14** interview sessions for the Business Function grouping (both based on the business/division functions provided in the Agency Org Chart and existing Retention Schedule and illustrated in the tables below). For the Business Function interview sessions, we have made some assumptions and consolidated a few of the like functions. Of course, we will work with the Agency to determine the final quantities needed. In terms of interview logistics, we always attempt to be the least disruptive to the business as possible.

Operational, Risk Threshold and Infrastructure Data Collection Interview Sessions (pro forma estimate*)	
* This illustration is an estimate of the interview sessions that will be needed to complete the deliverables associated with this engagement and is intended to be a starting point for review with Agency. The estimate is based on a number of factors, including Contoural's experience with organizations of like size and complexity.	
Organizational Functions	Estimated 60 Minute Interview Sessions
Executive	
Executive Stakeholder (e.g. CEO, COO, CFO, etc.)	1
Legal	
Corporate Counsel, Litigation Counsel and/or Paralegals	1
Information Technology	
Email Administrator/Network Architecture	4
File Systems & SharePoint	
Information Security	
Identity Management, Desktop	
Data Protection (Back Up, D/R, HA)	
Total Executive, Legal and IT Interview Sessions	6

Business Function Interview Sessions (pro forma estimate*)	Project 1 - Assessment	Project 2 - RRS Update
Business Function	Estimated 60 Minute Interview Sessions	
Executive Staff		1
Internal Audit	1	1
Legal		1
Administration (and any groups not listed)	2	6
Cash Management	1	1
College Savings	1	1
Communications	1	1
Financial Education	1	1
Information Technology		1
Local Government	1	1
Purchasing	1	1
Security and Records Management	1	2
Unclaimed Property	1	1
WV ABLE	1	2
Board of Treasury Investments	1	2
WV Retirement Plus	1	2
Total Business Function Interview Sessions	14	25

Surveys – In addition to interviews, Contoural will reach out to other participants via online survey. This includes identifying survey participants, generating list of survey questions, providing survey participant's background information on the intent of the survey, conducting the surveys and then analyzing the results. The surveys will be used both to supplement information learned in the interviews as well as touch other stakeholders across the enterprise, as appropriate.

Create Information Governance Assessment Report – Consolidating the data collected, Contoural will generate an Information Governance Assessment Report: The deliverable is generally a PowerPoint document that compares (gap analysis) current Agency records retention policies and practices with industry best practice in a maturity model framework. The report will detail key performance indicators for Agency's Information Governance program. The assessment identifies strengths, weaknesses and risks for 8-10 key topics. Areas/topics typically addressed include: retention policy and retention schedule, Information Governance Organization, Change Management and Training, Information Governance processes and procedures, including retention and disposition practices for various information types (paper, email, file shares, databases, etc.). The assessment also looks at governance around infrastructure/technology.

For the Agency, Contoural will address each of the areas listed in the RFP, section 4.2.1.1, including:

4.2.1.1.1. Conduct multiple on-site assessment and discovery interview sessions, with teams or individuals from each Division to understand the types of records generated and how those records are stored, used and business value associated with the records.

4.2.1.1.2 Assess current employee and supervisor records training level and understanding

4.2.1.1.3 Assess how each Division and the Agency as a whole, currently stores records both - electronic and paper based.

4.2.1.1.4 Assess, recognize and notate how Federal, State, Local and Industry laws, regulations and rules regulate the Agency's record retention, retrieval, use and destruction.

4.2.1.1.5 Assess the Agency's current records retention schedule.

4.2.1.1.6 Assess efficiency of current paper to image project

4.2.1.1.7 Perform a risk assessment of the Agency's records program.

4.2.1.1.8 Analyze current management and staff attitude towards records policy

- 4.2.1.1.9 Assess ability to provide legal holds and comply fully with FOIA requests.
- 4.2.1.1.10 Assess ability to conduct internal and external records audits
- 4.2.1.1.11 Assess the feasibility and benefits from acquiring a records management software or hardware
- 4.2.1.1.2 Assess ability for Agency to convert all newly generated paper records to electronic records.

Create Information Governance Strategic Roadmap – Contoural then produces a Strategic Roadmap, that addresses the gaps identified, outlines a set of prioritized recommendations for addressing those gaps, and provides high-level steps to achieve the desired level of records management maturity -- taking into account the people, process and technology needed to achieve the target maturity in each of the specific areas of Information Governance. The Roadmap provides a description of each recommendation, its purpose, the organizational resources responsible for execution, a high-level business process for completing the recommendation, and the anticipated cost estimates for technology or consulting services. This plan can be carried out by Agency, Contoural, or any other provider.

A detailed timeline, along with anticipated resource requirements are also included. As part of our recommendations contained in the Strategic Roadmap, Contoural may recommend the acquisition of new or additional technology to enhance Agency' Information Governance capabilities. Alternatively, we may find that the existing technology infrastructure is sufficient and make any recommendations necessary to bring those systems into line with best practices. It does not identify specific technology components, vendors or a solution rollout schedule, as each of those should be separate, standalone projects.

Create Roadmap Workshop materials and Conduct a Strategic Roadmap Workshop: In parallel with the development of the Strategic Roadmap deliverable, Contoural will lead a two-hour collaborative workshop, which should generally include attendees from Legal, IT, and other relevant stakeholders. During the workshop Contoural will explain each of the anticipated Roadmap recommendations in detail, and how they fit into an overall Information Governance program. The workshop will also provide best practices, including how others in the industry have dealt with Information Governance issues. A successful workshop will result in an understanding of the roadmap and associated recommendations, as well as consensus on a path forward, which will then be presented to Agency' executive and key stakeholder audience.

Review and Revision of Assessment and Roadmap Deliverables – In final preparation for the completion of the project deliverables and the Executive Presentation, Contoural will review the working documents with the core team individually and as a group, as needed, and make required revisions based on feedback received.

Create and Present Executive Presentation – The final step of engagement is to prepare an executive summary presentation encapsulating the Assessment Report and Strategic Roadmap. Working with the records team, this presentation can be made either by Contoural or combined by Contoural and the Agency project team to Agency executive sponsors and other key stakeholders. The presentation can be made either by the Contoural consultants or by the Contoural CEO.

Status Reporting – Throughout the engagement, Contoural will also conduct weekly Status Meetings and Project Communications – including weekly status report preparation, status meeting participation, SME participation in stakeholder discussions to facilitate consensus building and decision making, and other project management related communications as required.

Project 2 - Records Retention Schedule Update/Refresh

This project will focus on the development/update/consolidation of the Records Retention Schedule (RRS). Contoural's approach to records retention schedule development is to take a more modern approach that ensures compliance and designs a schedule that is easier to execute. Too often, the tendency around records retention is to force users into complex decision-making to understand the retention requirements for the records they manage. The result is that users fail to follow and utilize the retention schedule, which raises non-compliance issues of the Records Retention Policy. Still other approaches are more technology-centric and rely on automated technology to manage. Contoural's approach is different. Our approach results in a deliverable that:

- Reflects current **legal and regulatory** recordkeeping requirements.
- Includes a **comprehensive** list of all record types, including both common records and those unique to the organization.
- Identifies records **across all media**, including email and other electronic documents types. Email, for example, in itself should not be listed as a record type, but rather understood as a medium containing both records and non-records.
- Includes records identified based on both legal and regulatory requirements and **business value**. This greatly facilitates downstream disposition processes.
- Represents a **consensus** across both key stakeholders and business units on what to save for how long and what can be deleted.
- Is **organized** in a way making it useable and easy for employees to find records relevant to them, and/or lend itself to configuring automated systems.
- Lends itself to be **integrated** with privacy, eDiscovery, and other compliance frameworks.
- Includes audit and other processes to demonstrate it is being followed, making it **defensible**.
- Is **maintainable** and not locked into an unchangeable or proprietary system.

Specific steps in the process:

Preparation and Planning - Contoural will prepare kickoff documents including sample status reports, project overview and messaging for interviewees, and document requests. We then conduct planning meetings (usually conference calls) with core team members to identify interview session participants, establish roles and expectations for the project team, identify documents to be collected and determine the actual schedule for on-site work. We anticipate doing data collection through a combination of interviews and surveys. During the planning process working with the Agency core team, we will determine the appropriate mix and target recipients of each.

Design and Format Scoping - Contoural will conduct discussions with the project team to understand the desired design and formatting for the RRS. Discussions will include the look and feel of the RRS layout, to ensure the RRS is clear, understandable, and usable by Agency employees. This will also include the development of different "views" of the RRS to suit the desired audience - for example, a "clean" version for users, a version with citations for Legal, etc.

Next the discussion will focus on the format. Specifically, the type of medium the RRS will be delivered such as Excel, MS Access, SharePoint, etc.

Format – Once the design is understood, we determine the software platform the RRS will be delivered on. Contoural can deliver the RRS in a number of formats – either MS Excel, MS Access, SharePoint, SQL or other database, and others. Contoural and Agency will discuss and agree on the format that best meets the organizational needs, which will include usability, implementation, and easy of maintaining the RRS in the selected platform.

Key Considerations in Design and Format Scoping:

In our process, Contoural captures significant detail about documents, information, record types and locations. This detail can be stored in a variety of different repositories:

- Access Database
- MySQL Database
- Excel Spreadsheet

Once captured, reports can be generated in a variety of formats:

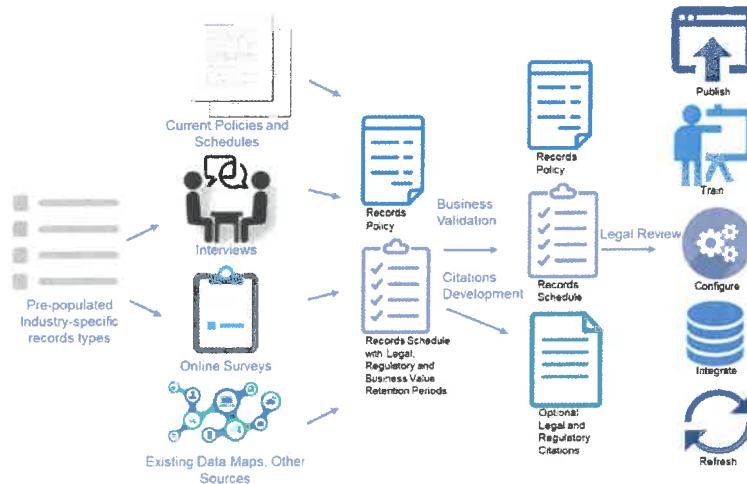
- Department-specific or role-specific subsets of the schedule
- Location or group-specific information types
- SharePoint-based web reports and access
- PDF and Word Documents

Finally, retention for electronic information can be configured directly into repositories through file plans and taxonomies:

- SharePoint
- Enterprise Content Management Systems
- Archiving Systems

Form of Business Validation – Near the end of the project (step P1-10), Contoural conducts a business validation exercise for the draft RRS to make sure the deliverable meets expectations. In preparation for that exercise, Contoural and Agency will agree on the form that validation will

take, which can include socializing the RRS with business representatives (those who participate in the interview sessions, for example) for their feedback and approval or review and approval by the core team, or a hybrid approach.



Identify Records and Information Types - Contoural will collect information on all of the Record Types currently in existence at the company, via data collection interview sessions with Agency department and business function staff or through the use of data collection workbooks, as determined by Contoural and the Agency Core team. The data collection process could also include other information about the records, including location, privacy information, record status, and other fields, as desired. Depending on the method of data collection, Contoural may provide populated data collection workbooks to business function staff, so they can 1) enter additional record types and 2) validate that the information contained in the workbook is a complete and accurate accounting of the documents and records kept for that department or function.

NOTE: Using the business functions found in Agency’s existing Org Charts and Retention Schedule, we estimate that **25** interview sessions will be required (see table above under project 1). Again, we are flexible in this approach and expect that this list will need to be adjusted to arrive at the final quantity in collaboration with Agency.

Determine Business Retention Requirements - from the information provided in the previous steps, Contoural will identify retention requirements for records with business value, which may have no legal or regulatory requirement.

Determine Legal/Regulatory Retention Requirements for the identified Record Types - Contoural will identify the baseline legal and regulatory requirements for the records to be contained in the retention schedule.

Update the Records Retention Schedule (RRS) - The RRS will include all record types for Agency, regardless of media. The RRS generally contains a detailed, comprehensive list of all record types

within the scope of the records retention policy, specifies the amount of time that each record type should be retained, and reflects the business value of records. Throughout the development of the RRS, Contoural will help drive consensus about record and document retention and deletion among key stakeholders and business units, allowing Agency to drive productivity and “save smart” by retaining only what is truly needed. The RRS can include minimum retention periods, retention trigger events, applicable laws and regulations, and descriptions of the paper and electronic records that the client maintains in the regular course of business. Schedules are designed to meet each client’s specific legal, regulatory, industry, and company-specific cultural requirements.

Contoural will prepare a detailed schedule that ensures compliance with federal, state and industry-specific mandates. The RRS will:

- be organized into high level "big bucket" categories to ensure ease of use/implementation and adoption/compliance.
- include recommended retention periods for each record class, based on applicable legal, regulatory and business retention requirements.
- include selected examples for each record class, taken from the Record Collection Workbooks, to enhance end-user understanding of the meaning and scope of each class.
- include customized reports for users, legal, compliance, IT and other stakeholders as desired.

<ul style="list-style-type: none"> ▪ Specific definitions of Record and Non-Record ▪ Examples your employees actually use, not canned examples from a template ▪ Include a category for Non-Records ▪ No more confusing acronyms! Spell out the event-based trigger so employees will understand ▪ What terms do your employees relate to and understand? 	<p>Instead of....</p> <div style="background-color: yellow; padding: 5px; border: 1px solid black; margin-bottom: 5px;">ACT + 7</div> <p>Say</p> <div style="background-color: blue; color: white; padding: 5px; border: 1px solid black; margin-bottom: 5px;">Termination of Contract + 7 Years</div> <p>Or....</p> <div style="background-color: green; color: white; padding: 5px; border: 1px solid black;">Until Superseded + 7 Years</div>
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Research and Document High-Water Mark U.S. Legal and Regulatory Citations - Contoural will research its database with over 35,000 domestic and international citations, and document the longest applicable retention periods, as determined during the scoping process.

Update the Records Retention Policy – Contoural will update the existing Retention Policy, covering records management objectives, scope, definitions and guidelines, and includes the consolidation of existing policies across the Agency enterprise, as necessary. It will be considered completed when it has been reviewed and accepted by the core project team, as a suitable document for further review and approval by Agency counsel and its top management as appropriate.

Develop RRS Platform – Upon completion of these steps, Contoural will develop the desired platform to house the RRS, as agreed in RRS Design and Format document completed in Project Step P2-1.

Design and Format the RRS - Contoural will also design and format the RRS as agreed upon in project step Project Step P2-1, including look and feel, and any customized reporting/views desired by Agency.

Business Unit Validation of draft Retention Schedule - as determined in Project Step, either with Business Function Interview Session participants, Records Coordinators, or core team members. The purpose of the validation exercise is to determine whether:

- the RRS includes all records
- the retention periods are correct, and citations identified are relevant
- the format is suitable and acceptable to users

Review and Revise Draft Retention Schedule - Contoural will also review and revise the draft update Retention Schedule with Agency core team and key stakeholders and make the requisite revisions to these documents based on feedback.

Project 3 - Change Management, Communications and Training

This project provides development of Change Management, Communications and Training program elements for introducing the Information Governance Program to users. A successful change management program provides sufficient communications to increase user awareness, and a range of training and educational materials to ensure users understand how to comply with IG requirements. Also provides an Executive presentation on Information Governance Strategy and developing an IG program and educating staff.

Specific steps include:

Determine Scope of Change Management and Training Activities and Determine Training Session Participants - Determine Scope of Communications and Training Activities - Contoural will meet with Agency stakeholders responsible for communications and training and the core project team to scope the effort needed to accomplish communications and training around IG training activities. Discussions will include identification of how this effort will fit into Agency's overall training curriculum, audiences, appropriate communication vehicles, including messaging, and how to best utilize existing training methodologies and systems, such as CBT, corporate trainers and others. An additional output of this step may be a list of Training Session participants.

Develop a Communications and Training Plan - Contoural will identify appropriate audience segments, delivery vehicles, training modules/outline and messaging for the IG program. The plan will identify the recommended timing of communications (such as emails and manager communications) and training activities (such as classes, webinars or CBT) as components of a phased program. These deliverables will provide guidance for communications and training for the program.

Develop Communications Content – Contoural will develop Communications Content designed to provide awareness to employees of the program development and changes/training that will be forthcoming and ongoing messaging to reinforce concepts.

Develop Baseline IG (IG 101) Training Content - Contoural will create content that will utilize in-person, online training or other communication methods to educate Agency employees on the basic concepts of IG and RIM, including retention and deletion, privacy and security of information. It is intended that these materials may be used in classes, webinars, new-hire orientation and other venues to educate managers, records coordinators and other employees.

Conduct Six (6) IG 101 Training Sessions and Refine Training Content - Conduct Six (6) IG 101 Training Sessions with participants identified in the planning step. This may be completed via webinar, CBT or recorded training with live Q&A. Refine Training Content, based on feedback received. Contoural will also work with Agency to adapt the Training Content for use in Agency's LMS, if desired.

Develop and Deliver an Executive/Stakeholder Presentation on Information Governance Program Development - Intended for executives, key stakeholders and steering committee members, this presentation creates the foundation for IG Program development and implementation and provides executive sponsors with the strategic vision and key take-always.

OPTIONAL Project 4 - Technology Requirements Definition for Technology Improvements

(See EXCEPTION NOTES on page 13) This project provides an independent review of Agency's technology needs and develops specific technical and functional requirements for related software, as required. Also provides a short list of potential vendors capable of meeting the technical and functional requirements.

Conduct Project Planning Collect and Review Existing Documentation on Unstructured Repository Infrastructure and Applicable Policies - Conduct Project Planning: meet with Agency stakeholders to discuss project objectives for Technology Requirements Definition.

Collect and Review Existing Documentation on Unstructured Repository Infrastructure and Applicable Policies - This effort will ensure that Contoural understands the current state of the Unstructured Data environment and any policies that will influence functional or technical requirements.

Current State Definition and Requirements Gathering - Using a combination of existing Agency documentation, structured interviews with IT staff and selected business units Contoural will inventory and document existing infrastructure and operational elements, the network

environment, data quantities, and any technology currently being used that impact the unstructured data management solution identification (e.g. for the purpose of documenting technical requirements for recommended enhancements and current architecture for potential future technology purchases). Sizing information will also be created for potential migration or archiving of Legacy data. Contoural will summarize the results in a Current State Definition Document. This will be used to provide information to vendors in the RFP or Bid process on sizing and migration.

Determine Functional Requirements – Contoural will identify and document appropriate functional solution requirements for the management and control of Agency records, information and/or data. These will be derived from the interviews and document provided in the previous task.

Determine Technical Requirements – Contoural will identify and document appropriate technical solution requirements for the management and control of Agency records, information and/or data. These requirements will focus on architecture, standards, maintenance, support and compatibility with existing IT infrastructure.

Review and Revise Functional / Technical Requirements - with core team and key stakeholders. Contoural will facilitate the review and processing of any updates or recommended changes in order to produce a final written set of functional and technical requirements.

Vendor Short List - Contoural will recommend a short list of vendors capable of responding to an RFP for recommended technology/software enhancements. This document will combine Contoural's real world experience with vendors and their suitability for meeting the established Functional and Technical Requirements.

Project Assumptions and Notes

Project Step	Task	Assumptions	Notes
Project 1 - Information Governance Assessment and Strategic Roadmap			
P1-1	Create Project Planning Documents and Execute Project Planning Call	Assumes that the kickoff call will be conducted via conference call and that all core team members are able to attend.	Contoural will track projects schedule against plan and report on this on a weekly basis.
P1-2	Review and Analyze Existing Information Governance Policies and Procedures and Existing Litigation Readiness Policies, Procedures, and any other relevant information.	Assumes documents are available and provided in a usable electronic format. In particular, existing retention schedules or tables of record types should be provided in a portable format, such as Excel worksheets, or delimited files for importing into Excel or Access for analysis and consolidation.	The review and analysis of information collected in the preparation steps is intended to inform Contoural of Agency' current operating environment. If the information is not available, Contoural does not expect or want Agency to create it, as the absence of this information is also an important data point.
P1-3	Conduct Operational, Risk Threshold and Infrastructure Data Collection Interview Sessions with Executive, Legal, Privacy, Information Security and IT Representatives.	Contoural will conduct data collection/process discussion Interview Sessions with individuals or small groups. Each interview may have up to five participants. These interviews will be attended by either a Business and Technical consultant (or both in some cases) from Contoural. Each interview session will be approximately 60 minutes. The Interview Sessions quantities are Contoural's best estimate based on information known as of the time of the preparation of this proposal.	
P1-4	Prepare for and conduct Business Function/Departmental Interview Sessions with Business and Operational Units.	Assumes the interview groups will represent a sampling of business functions across Agency' subsidiary holdings. If additional interviews are required to capture sufficient information across all subsidiaries, a Change Order will be necessary. Each interview session can have a maximum of up to five participants. Each interview session will be limited to 60 minutes or less -- followed by a break of 30 to 60 minutes, to allow for notetaking and logistics. If applicable, it may be beneficial to conduct a brief walk-through of work areas or document-storage areas (after interviews) to gather additional information for the Assessment deliverables. Those instances, if any, will be determined in consultation with core team members.	It is not expected that the employees interviewed during this step know which of their specific documents are records. Rather, the data collection will uncover a variety of documents, so of which may include records or sensitive information.
P1-5	Create an Information Governance Assessment Report	The Assessment Report deliverable generally includes 20 to 30 pages of high-level Assessment findings and analysis. However, Contoural will customize the format and level of detail as reasonable, in consultation with core team members.	
P1-6	Create an Information Governance Strategic Roadmap, Roadmap Workshop materials and Conduct a Strategic Roadmap Workshop	The Information Governance Strategic Roadmap prioritizes and details the high-level activities and investments that should be undertaken by Agency and presents them over an appropriate time-phased approach.	
P1-7	Review and Revise the Information Governance Assessment Report and Information Governance Strategic Roadmap	Assumes one or two meetings to discuss the deliverables, and up to two minor revision cycles.	
P1-8	Create and present an Executive Summary	Time estimated typically allows for one review cycle and one update. Assumes two (2) in-person presentations to executive sponsors.	
P1-9	Weekly Status Meetings and Project Communications	Hours calculation assumes 2 hours per week and 6 weeks of elapsed project engagement time. Assumes an Agency core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.	Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting (conference call is acceptable, typically 30 minutes in duration) with core team members.
Project 2 - Records Retention Schedule and Policy Update			
P2-1	Specify and Customize Design and Format of the Records Retention Schedule		Contoural can deliver the RRS in a number of media formats including Excel, Access, SharePoint, SQL or other database, and others. Contoural and Agency will agree on the format that best meets the organizational needs, which will include usability, implementation, and easy of maintaining the RRS in the selected platform. Finally, Contoural and Agency will agree on the form that business validation will take in this step, which can include socializing the RRS with business representatives for their feedback and approval or review and approval by the core team, or a hybrid approach.

P2-2	Identify Records and Information Types	Assumes that the Business Functions to be included in the Data Collection Interview Sessions will be identified in collaboration with the Agency core team. The actual number of sessions may be more or less than the estimate given here. Each interview can have up to five participants.	In some instances, the data collection process may vary from the tasks and deliverables described here, depending in the individual client's situation. The actual process can vary based on the existing retention schedule, their format, and whether downstream deliverables include the optional items offered. The actual process will be determined in collaboration with the core team during the planning.
P2-3	Determine Business Retention Requirements	This information will be determined during the data collection task. If data collection is not selected, Contoural will provide recommended business value retention periods for records having no legal or regulatory requirement.	While the initial request from employees often is for a policy that allows them to "save everything, forever" the goal of this step is to tease out the minority of documents they create and handle that have true business value.
P2-4	Determine Legal/Regulatory Retention Requirements	The scope of Agency' legal and regulatory retention requirements will be based on U.S. regulatory requirements.	
P2-5	Update the Records Retention Schedule	This task assumes that ownership of the RRS will be assumed by Agency after it is populated. Additional functionality such as reports, forms or technical documentation of the database schema can be provided for additional cost but are not included in this task.	The RRS will be delivered in a medium to be agreed upon in previous step, in collaboration with the Agency core team, and could include MS Excel, MS Access, SQL database, SharePoint, or similar. The RRS can be delivered in a flexible database framework for the presentation of the data to serve specific stakeholder needs, such as a "front-end" to Records Management applications.
P2-6	Research and Document High-Water Mark U.S. Legal and Regulatory Citations	Assumes research is limited to High-Water Mark U.S. Citations. For citations linking to records classes, additional hours would be required. The legal and regulatory citations requirements for Agency' Retention Schedule will be determined during the project planning process.	If a complete listing of all relevant Citations is desired, additional hours will be needed to complete this Project Step.
P2-7	Update the Records Retention Policy		
P2-8	Develop RRS Platform	Assumes the platform will be agreed upon with the core team during Project Step P2-1.	
P2-9	Design and Format the Records Retention Schedule	Assumes the design and format considerations will be agreed upon with the core team during Project Step P2-1.	
P2-10	Validate Schedule with Business, Review and Revise Draft Updated Retention Policy and Schedule	Assumes the type of validation will be agreed upon with the core team in Project Step P2-1. Assumes one review cycle and one update.	
P2-11	Weekly Status Meetings and Project Communications	Hours calculation assumes 2 hours per week and 8 weeks of elapsed project engagement time. Assumes an Agency core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.	Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting (conference call is acceptable, typically 30 minutes in duration) with core team members.

Project 3 - Change Management, Communications and Training

P3-1	Determine Scope of Change Management and Training Activities Determine Training Session Participants	Assumes that Agency will assist in the identification of Training participants and that Agency trainers will participate in Training Sessions (Train the Trainer model).	
P3-2	Develop a Communications and Training Plan	Assumes the Plans are created as a consolidated deliverable and will be delivered in English only.	
P3-3	Develop Communications Content		
P3-4	Develop Baseline IG Training Content	Assumes that the hours required to complete this deliverable include approximately 20-30-minute all-employee training modules with content developed in a static PowerPoint format that can be handed off to the Agency training group/trainers for upload into the appropriate training solution(s). The current estimate assumes static deliverables. Additional effort required for animatic graphics or LMS-ready versions, as well as any additional content for other training modules needed, will require additional hours which may be added via Change Order. Assumes that all training content will be created/delivered in PowerPoint and that Agency will provide the appropriate internal templates, where applicable. Assumes that deliverables will be created in English only and that the cost for any internationalization of content for enterprise rollout will be borne by Agency.	Other optional Training content could include: Step by Step Guides, End User Communications, FAQ's, Usage Guidelines Contoural to work with Agency Training staff to determine appropriate formats. Any of this optional Training content would require additional hours.

P3-5	Conduct Six (6) IG 101 Training Sessions Refine Training Content	Assumes six training sessions, with IG 101 Training Content, delivered in English. Additional Training Sessions can be made available via Change Order. Assumes Agency will execute training sessions for enterprise wide rollout.	Contoural will guide Agency on how to best execute/test the Training Content and vehicles within the initial training group.
P3-6	Develop and Deliver an Executive/Stakeholder Presentation on Information Governance Program Development	Assumes one (1) delivered presentation to executive sponsors/key stakeholders.	
P3-7	Weekly Status Meetings and Project Communications	Hours calculation assumes 2 hours per week and 5 weeks of elapsed project engagement time. Assumes an Agency core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.	Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting (conference call is acceptable, typically 30 minutes in duration) with core team members.

OPTIONAL Project 4 - Technology Requirements Definition for Technology Improvements

P4-1	Conduct Project Planning, Collect and Review Existing Documentation on Unstructured Repository Infrastructure and Applicable Policies	Assumes Key Stakeholders may include Legal, IT, Records Management, Privacy, Information Security and Compliance.	
P4-2	Current State Definition and Requirements Gathering	This activity will include gathering requirements from IT, Legal, Records Management and select business groups to develop an understanding of the content types, retention requirements and metadata needs associated with the desired solution This assumes no more than 12 interviews of Agency personnel. Interviews may include individuals or small groups of up to 5 people.	
P4-3	Determine Functional Requirements	This activity will document requirements gathered from IT, Legal, Records Management and select business groups. Not all requirements may be met by a single vendor solution	
P4-4	Determine Technical Requirements	This activity will include gathering requirements from IT for technical architecture preference, hosting, maintenance and support models	
P4-5	Review and Revise Functional / Technical Requirements	Assumes one review and revision cycle with constituent groups/key stakeholders and final formatting suitable for RFP inclusion.	
P4-6	Vendor Short List	The vendor short list will include up to 6 vendors agreed on by Contoural and Agency based on known solution capabilities and Agency preferences.	
P4-7	Weekly Status Meetings and Project Communications	Hours calculation assumes 2 hours per week and 6 weeks of elapsed project engagement time. Assumes an Agency core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.	Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting (conference call is acceptable, typically 30 minutes in duration) with core team members.

Agency Resources Required to Support Engagement

During the course of the proposed engagement, Contoural will need to collaborate with various Agency business functions/staff for a number of different activities. Each engagement requires interaction with personnel with specific skills/areas of expertise during the course of providing the proposed Information Governance consulting services. The actual level of involvement and number of staff affected is generally formalized during the Project Preparation steps, but here we endeavor to provide high-level guidelines on client participation. Note that our goal is to minimize interruption of the company and staff during the delivery of these services, while achieving the highest level of client satisfaction.

Overall Engagement Participation

Most clients will need to have a core team of representatives of key stakeholders/business functions involved throughout the project.

Generally speaking, a 'core team' consists of staff from:

- Project Manager or other Primary Contact/Liaison (from Records Management, if the function exists)
- Legal
- Information Technology/Systems
- Compliance
- Executive Sponsor
- Some clients also add Information Security/Privacy, Risk Management and/or key Operational function(s) that might manage a significant amount or type of records and information

Beyond the core team, participants from business functions from throughout the company may be involved in project-specific activities. These activities vary by project, but generally include:

- Attendance at Engagement Kickoff Meeting and Project Planning meetings
- Participation in specific project tasks
- Data Collection Interview Sessions
- Review of / Provide feedback on specific project Deliverables

Project-specific Participation and Responsibilities

Project-specific expectations and estimated time requirements are presented below. Note that where 'Core Team' is listed, it may not indicate that the entire Core Team participate in each activity. Rather, it indicates that *some* Core Team member collaboration will be needed. Time requirements are estimates only, and may vary widely, depending on the client, the specific project step/deliverable, and are given for high-level planning purposes only.

1 - Information Governance Assessment and Strategic Roadmap

Project Task	Participants	Estimated Time Requirement
Project Planning and Kickoff	PM, Core Team	1-3 hours
Collection of Information for Review	PM, Core Team	variable
Data Collection Interview Sessions	PM, Core Team, Specific Business Functions	1 - 1.5 hours
Potential follow-up discussions	Legal, IT	½ hour
Participation in other project tasks	PM, Core Team	1 hour
Strategic Roadmap Workshop participation	PM, Core Team, other business functions (as required)	1 - 2 hours
Review of / provide feedback on Deliverables	PM, Core Team	1-3 hours
Executive Summary Presentation	PM, Core Team, Executive Sponsor(s)	1 - 2 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

Special Note on Data Collection/Interview Sessions – Most engagements begin with the collection and review of information on each client. Contoural has found that the most effective way to achieve the anticipated outcomes for this activity involves a combination of talking directly with client staff, which is then sometimes supplemented with surveys of a larger group of staff to either collect more information and/or validate information collected during interview sessions. Many of our clients have found it very helpful when an internal resource (usually the PM) shadows the Contoural consultant during the data collection/interview sessions to glean

important information about the organization and its information/records, in addition to this time being the start of the Change Management process.

Interview session participants – Each interview session is generally scheduled for 1 hour (60 minutes) and is limited to a maximum of 5 participants. The group usually consists of a senior representative (director/manager) of the functional area who understands how their area feeds into the overall corporate operating functions, as well as staff from the business function who have working knowledge of daily practices related to information created and managed within that area. To control costs, we endeavor to hold the minimum quantity of sessions needed to gain the maximum exposure to client record and information types.

Project 2 - Records Retention Schedule Update/Citations Research

Project Task	Participants	Estimated Time Requirement
Collection of Information and Policies for Review	PM, Core Team	variable
Interview Sessions to identify record and information types	PM, Core Team, Specific Business Functions	1 - 1 ½ hours
Potential follow-up discussions	Legal, IT	½ hour
Participation in other project tasks	PM, Core Team	1 hour
Review of / provide feedback on Deliverables	PM, Core Team	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

Project 3 - Change Management, Communications and Training

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, HR, Training	1 - 2 hours
Review of / provide feedback on Deliverables	PM, Core Team, Pilot Participants	1 - 3 hours
Training Session participation	PM, Trainers, Business Function participants	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

4 - OPTIONAL - Technology Requirements Definition for Technology Improvements

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, IT, Information Security, Compliance	1 - 2 hours
Review of / provide feedback on Deliverables	PM, IT	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

Staffing Plan -

Overall project management - VP of Delivery Services

Retention Schedule development - a Sr. or Principal Consultant (actual resources are not assigned until contracts are signed).

Citations research and documentation - a Sr. or Principal Consultant (actual resources are not assigned until contracts are signed).

Contoural will assign a senior consulting manager/VP of Delivery, who will be responsible for engagement progress tracking and reporting. Additional resources will be assigned to the project as dictated by the skill set required to accomplish tasks and deliverables within each task, led by a Project Lead (Principal or Senior Consultant). On average, Contoural staffs its discrete project engagements with one to three individuals, depending on the subject matter and/or work required.

Contoural Information

Contoural History

From the beginning the company has been built upon a simple idea: provide value and quality and companies will continue to utilize our services. While one of the youngest providers in records and information management and litigation readiness, Contoural has grown quickly to garner marquee clients. The company is profitable and growing. At a time when the overall industry saw contraction, FY 2012 - 2018 were years of growth for Contoural in terms of bookings and revenue. We continuously meet our growth objectives and do so by staying true to our core values. Looking to the future, Contoural's strategy is to continue to increase our client acquisition, growth, client satisfaction and reputation.

Despite its youth, Contoural has quickly built a strong, referenceable client base that includes 30% of the Fortune 500, plus many smaller and midsize firms across a wide array of industries. We believe that success in this business is often as simple as offering services that are of value and delivering on that promise. The company has always adhered to its original vision of providing independent, non-biased advice. Finally, Contoural consultants are increasingly recognized as industry thought leaders, being asked to present at conferences, seminars and author numerous articles for industry-specific publications. As an independent services provider, Contoural sells no products, takes no referral fees from product vendors, nor provides any "reactive" eDiscovery, document review or document storage/warehousing services. This independence allows us to give our clients unbiased and impartial advice while serving as a trusted advisor.

Contoural services include:

- Assessment and Roadmap Development
- Records Retention Policy and Schedule Creation and Update
- Records Management Process and Procedure Development
- Data Security Classification
- Litigation Readiness
- Data Placement
- Technology Selection
- Taxonomy and File Plan Development
- Behavior Change Management and Training
- Legacy Document and Data Remediation
- Information Governance Organizational Development
- Offsite Record Storage Audit, Contract Negotiation and Cost Recovery
- California Consumer Privacy Act (CCPA) Program Assessment and Development
- GDPR Program Development

We are subject matter experts in Information Governance and Records Management, including traditional records and information management, litigation preparedness/regulatory inquiry, information privacy and the control of sensitive information, combining the understanding of business, legal and compliance objectives, along with operational and infrastructure thresholds, to develop and execute programs that are appropriately sized, practical and "real-world." A

recognized industry thought leader, Contoural is a sponsor of ACC's Information Governance Network, and a sponsor of the ACC Legal Operations Committee Records Management and Information Governance Toolkit.

In short, we enable companies to become proactive and defensible in controlling, managing and deleting their business information to reduce risk, increase compliance and lower costs.

Our services are:

Comprehensive -- Our approach is to help our clients identify, classify and manage all types of records and information across all types of media. We do this not only for the "obvious" repositories, but also those areas that may otherwise be overlooked.

Flexible – We provide a flexible approach that fits best practices into how Kiewit does business today.

Compliant – Our approach is up to date on the best practices and retention compliance issues across the spectrum of the information lifecycle, including records, non-records, IP and other types of sensitive information.

Execution Focused – Our strategy is designed not simply to develop a functioning program, but rather drive Kiewit to a compliant and controlled end state where records and information are effectively and efficiently managed.

Real-world – We take a real-world approach to records and information management based on, for instance, our experience in knowing what can realistically be expected of employees (change management) and what elements of the information lifecycle can be automated.

Behavior Change Driven – We are experts in behavior change management, helping change employee behavior to more compliant processes, designed to improve productivity and lower risk along the way.

Industries we have supported – Transportation, Manufacturing, Chemicals, Construction, Energy, Regulated Utilities, Gas & Oil/Petroleum/Refining, Water Districts/Wastewater, Real Estate, Insurance, Financial Services, Banking, Federal, State and Municipal Agencies, Defense, Pharmaceutical, Animal Pharma, Healthcare, Healthcare Management, Hospitality, Gaming, Retail, Biotechnology, High Technology, Internet/Software, Outsourcing, Consumer, Food, Publishing, Cosmetics, Clothing, Non-Profits and more. Our engagements span the globe as we have completed engagements across the United States and Canada, Europe, Asia, South America and Mexico.

Parallels - While clients often initially focus on other companies in their same vertical market for "like services and approach", we like to point out that while many of the legal and regulatory requirements for another client in the same vertical may be the same, the operational environment, IT infrastructure, corporate culture, and business requirements can vary widely. The real benefit of the breadth of our experience to our clients stems from our deep cross-industry and cross-company expertise. As an example, a client may have an IT infrastructure that is similar

to a company outside of your industry with whom we have done business, and that perspective becomes an input into our decision making. Thus, the Agency will benefit from the collective client experience that is applied to its specific projects and business needs.



Select Contoural clients

Appendix A - Consultant Resumes

Resumes for Contoural consultants are presented below.

These resumes are representative of the skill set of the consultants that would likely be assigned to this engagement. Please note that actual resources are assigned upon the execution of contracts.

Tom Mighell, JD, CIPP/E

CONTOURAL, INC.

VP Consulting Delivery



Background

VP and practicing SENIOR CONSULTANT with more than 20 years of litigation experience, and recent extensive experience providing records and information management (RIM) consulting services. Experience includes RIM and Litigation program assessments and development of in-house discovery response programs, records retention policies, schedules, procedures, technology recommendations, communication plans and employee training content and delivery. Immediate Past-Chair of the American Bar Association's Law Practice Management Section. Privacy CIPP-E.

Project Experience

International Drug Development Services Company

Multi-year and multiple project engagement. Completed international assessment and strategic roadmap including onsite data collection in Europe and Asia. Created data security classification and detailed system assessments. Developed and launched global Change Management Plan, communications vehicles, and training content for LMS. Created RMO development structure and matrix. Drafted records management procedures and guidelines.

National Health Insurance Company

Conducted RIM and litigation readiness assessment and developed RIM program, including a records retention policy, schedule and records management procedures, and creation of records management organization.

National Dental Services Provider

Completed RIM and litigation readiness assessment and roadmap. Managed the development of the unstructured data placement strategy project. Updated RIM Policy and retention schedule.

International Alcoholic Beverage Distributor/Seller

Developed revised record retention policy and schedule for U.S., Canadian, Italian, and New Zealand operations; created email file plan; developed and conducted training on records management and email file plan.

National Property & Casualty Insurance Company

Conducted RIM and litigation readiness assessment and developed RIM program, including a records retention policy, schedule and records management procedures, creation of records management organization, and creation and implementation of training to employees.

Regional Bank

Conducted a records management and litigation readiness assessment; currently developing a records management policy and schedule, email file plan, and a training/change management program.

Full-Service Community Bank

Conducted a litigation readiness assessment, to determine how the company could become more compliant in eDiscovery response while being efficient in the management of electronically stored information.

Life Insurance and Investment Firm

Evaluated a proposed email management and deletion approach and provided an assessment and recommendations in the context of records retention requirements, litigation readiness and technology feasibility.

National Health and Human Services Provider

Conducted assessment of email practices as part of broader project to purchase email archive solution and developed email file plan; created and conducted training for employees on email file plan and archive use.

Government-Sponsored Mortgage Lending Enterprise

Conducted a litigation readiness assessment and developed a Discovery Response Plan, ESI Map, training for all Legal employees on eDiscovery response, and an eDiscovery in-house solution.

Health Insurance Company

Conducted records management assessment and strategic roadmap for implementation of a comprehensive RIM program, and is currently developing policies, procedures, a Legal Hold program, ESI Map, and vital records protection program.

Professional Experience**Senior Manager*****Fios, Inc.***

Worked with large national and multi-national corporations to assess and develop business requirements, policies and practices related to records management, litigation readiness, and electronic discovery. Deliverables included assessments, data maps, and discovery response plans.

Senior Counsel***Cowles & Thompson, P.C.***

18-year litigation history in mid-sized insurance defense firm, handling docket of personal injury defense cases for major day care corporations and national property companies, among others.

Litigation Technology Support Coordinator***Cowles & Thompson, P.C.***

Provided technology assistance to firm attorneys for 6 years, including pretrial discovery management, preparation, management and presentation of digital evidence at trial, and evaluation, implementation and training of legal technology for firm use.

Education and Affiliations

B.A., Plan II Liberal Arts Honors Program, University of Texas at Austin

Juris Doctor, University of Texas at Austin School of Law

Certified Information Privacy Professional (CIPP/E), Intl. Assoc. of Privacy Professionals

Member, **ARMA**

Immediate Past Chair, American Bar Association Law Practice Management Section

Catherine Cook-Holmes, CIPP/US

CONTOURAL, INC.

Senior Consultant

Background

SENIOR CONSULTANT with more than 25 years of experience in Information Governance, Program and Delivery Management, Consulting Management, Business Development, Strategic Planning, Operations and Support in Records and Information Management, Healthcare and Life Science, Information Technology, U.S. Government, Financial Services, Compliance and Legal Services, and Mass Transit.

Select Project Experience

Global Life Science Company

Completed Information Governance and Litigation Readiness assessment, strategic roadmap and business case for Record Destruction; completed major updates to Retention Schedule and Retention Policy as well as development of Change Management/Training activities; addressed creation of IG Organization and matrix of IG resources.

Healthcare Insurance Company

Major US insurer - Completed Information Governance and Litigation Readiness assessment, strategic roadmap and business case for Record Destruction; completed creation of Retention Schedule and Retention Policy as well as development of Change Management/Training activities; addressed creation of IG Organization and matrix of IG resources.

Healthcare Services Company

Analyzed unstructured data repositories for inputs in developing file plans and SharePoint records management projects; validated inputs in interview sessions for an Enterprise File Plan for SharePoint implementation.

Energy Research Laboratory

Completed IG and FOIA assessment and strategic roadmap for moving from paper to Electronic Records Management; completed follow-on enterprise-wide information type inventory for all electronic repositories with associated assessment of behavioral trends.

Federal Government Banking Entity

Engaged and directly involved in formal enterprise-wide program: worked with Legal, Records Management, and IT functions to implement multiple programs and updates towards Litigation Readiness, Records Management, Email File Plan, SharePoint Update and Migration, File Share Clean-

up and Migration of Content, and associated Change Management/Training development and activities.

Global Financial Services Company

Completed Information Governance and Litigation Readiness assessment, strategic roadmap and business case for Record Destruction; completed Industry Benchmark Maturity Model for client representing international and domestic industry peers.

Global Insurance Company

Completed Information Governance and Litigation Readiness assessment, strategic roadmap and business case for Record Destruction; currently addressing company-wide Information Types Inventory for updates to the Retention Schedule and Retention Policy as well as various Change Management/Training activities.

Professional Experience (selected examples)

Consultant and Program Manager

Global Transit Consulting Firm

Senior Consultative role charged with managing and/or implementing Program Management Office project initiatives

Vice President, Business Development

Global eDiscovery Vendor

Consultative role presenting the competitive advantages of company's full range of technology discovery solutions; Extensive knowledge and experience in Electronic Discovery (ESI), Attorney Document Review, Forensic Investigations and other legal technology services for Fortune 500 and Am Law 200 firms

National Director, Business Development

Data Restoration and Backup Technology Firm

Developed and lead strategic relationships with global technology companies, alliances with commercial partners, litigation support consultancies, eDiscovery vendors and Am Law 100; consulted with partners and clients on Data Management solutions which helped companies to gain better insight to their legacy data for Litigation Readiness programs, Regulatory Compliance obligations and Information Governance

Education and Affiliations

B.A., International Affairs and Finance, The George Washington University, Washington, DC

M.S., Communications Management, Simmons College, Boston, MA

Data Modeling and Relational Database Design, Oracle University, Boston, MA

AHIMA CEU certification, American Health Information Management Association

CIPP/US certification, International Association of Privacy Professionals

Bill Horn

CONTOURAL, INC.

Senior Consultant

**Background**

SENIOR CONSULTANT with more than 20 years in information governance and litigation support executive leadership, consulting, research and program management. Experience includes Information Governance assessments and strategic roadmaps, records retention policies, schedules, procedures, technology recommendations, communication plans and employee training content and delivery. Designed, developed and implemented one of the largest global records management & litigation support programs in the financial services industry. Unique ability to collaborate with peers, analyze problems, design innovative solutions to complex problems and motivate cross-functional management teams. Adept at designing business and technology solutions that balance regulatory requirements, litigation risk and operational goals in alignment with organizational strategies.

Representative Project Experience

Financial Services Company - Designed, developed and implemented one of the largest global records management & litigation support programs in the financial services industry. In response to unprecedented SEC scrutiny and shareholder litigation, designed and implemented an enterprise-wide function to govern all phases of the information lifecycle in compliance with legal, regulatory and operational obligations. Scope of the project included 700,000 boxes of offsite paper, millions of unstructured documents and more than 800 million emails.

Natural Gas Utility - Developed structured data standards. Assisted in the Assessment of the Information Governance program and developed standards for the proper management of structured data repositories.

Regional Water Utility - Developed Information Governance training materials. Developed communication content and training materials for the entire employee population.

US chemical company - Assessed IG program, provided strategic recommendations and developed Record Retention Schedule. Conducted an Information Governance Assessment, developed an Information Governance Policy, developed a Record Retention Schedule and designed a Strategic Roadmap of IG projects to close remaining gaps in the Assessment.

Global Petrochemical Logistics Company - Developed an Information Governance Policy and Record Retention Schedule. Interviewed several departments at a complex, global logistics

company to understand the intricacies of management of records required to ship hazardous chemicals across international borders.

Global Consumer Products Company - Developed a migrations strategy to move from an unmanaged network file environment to a managed SharePoint environment. Worked with various departments to analyze and classify their unstructured content, design a suitable SharePoint site plan and map the migration.

Regional Consumer Finance Company - Established an Information Governance program. Conducted an Information Governance Assessment and developed a Strategic Roadmap of IG projects to close gaps found in the Assessment. Implemented a new email policy and converted unstructured information from a network drives to SharePoint to reduce storage costs, improve productivity and reduce litigation and regulatory risk.

Global Beverage Manufacturer/Distributor – Updated Record Retention Schedule. Following the acquisition of plants in Mexico and integration of Europe into the IG program, updated the Record Retention Schedule to account for new record types, accounting for local country regulations.

RIM Consulting - Developed a global records retention guide for a RIM consulting firm. Researched and documented the critical records retention citations for 25 countries, establishing a reference guide for international clients.

Power Management - Provided independent review of a 160+ country Record Retention Schedule. Reviewed and updated the citations and retention periods of a Record Retention Schedule for a multinational power management conglomerate operating in over 160 countries.

Professional Experience

Information Governance Consultant. Consulting with large organizations to design, implement, monitor and govern enterprise-wide change management, RIM & risk programs.

Executive Director, Institute of Records and Information Management, 2009 to 2010. Recruited to launch this RIM. Directed strategic planning, sales, marketing, and product management. Transformed concept into fully operational business, winning an international award. Transitioned to an IBM/CIO Magazine partnership.

Vice President, Records Management and Litigation Support, 2005 to 2008. Established global, cross-functional program saving millions of dollars in operational, legal and regulatory expenses

through policy development, business transformation, technology deployment and change management.

Published and presented internationally. Led a team as part of the EDRM industry initiative to develop an Information Management Reference Model for health care and was published in the Journal of AHIMA. Keynote speaker at an international conference addressing information governance. Led workshops internationally.

Education and Affiliations

PhD (abd), Southern New Hampshire University, Business Administration

MBA, Rensselaer Polytechnic Institute

Bachelor of Science in Mathematics, University of Vermont

Certified Information Privacy Professional (CIPP/US), International Association of Privacy Professionals

Certified Knowledge Manager (CKM), KM Institute

Advisory Board & Technical Committee, RIMA Foundation

Non-profit organization seeking to promote access, security and management of information across Africa.

Sub-Group Leader, Electronic Discovery Reference Model (EDRM)

Led a team to develop an Information Management Reference Model for health care.

Gregory David Forest



CONTOURAL, INC.

Principal Consultant, VP and CTO

Background

PRINCIPAL CONSULTANT has over 30 years' experience in technology and consulting services focused on information governance and management, litigation and eDiscovery support, software solutions, business processes, and a wide range of technology implementations. Consultant has worked with legal, compliance and IT teams in a wide variety of industries, to bridge communication gaps between legal and technology professionals and to develop shared understanding of the legal, regulatory and operational requirements for information management, retention and disposition. Building on that understanding of regulatory requirements and business needs, Consultant helps organizations develop strategies to meet records management needs with effective technology solutions, business processes and governance practices.

Project Experience

Global Manufacturing

Working with a Fortune 200 manufacturing company to layer information governance on top of a transition to Google technology away from Microsoft. Working with an alpha level software platform, leading a workforce of 100,000 employees through the process of mapping their information into organized file plans and making the transition to information governance and retention by content type. Includes engagement across the U.S. and in 5 global regions.

Native Microsoft Information Governance

Worked with multiple companies over the last two years, including private firms and public agencies to develop an Information Governance strategy based strictly on Microsoft Exchange and SharePoint solutions in both on-premises and cloud versions (O365/SharePoint online). Solutions ranged from email only Outlook/O365 implementations to fully integrated On-premises migrations from file shares to SharePoint 2013 with full email bi-directional integration.

Health Insurance Company

Led a large regional insurance provider's core technical and legal/compliance team through development of a strategy to clean-up records and information in existing uncontrolled file share and SharePoint environments and to migrate the remaining information and records into a new structure with full records management capabilities. Subsequently worked with the business to map their information into the new structure in a way that was meaningful to

them. The end result of this strategy is a controlled, streamlined environment for corporate recordkeeping, combined with increased productivity for employees who know where to place and store information for easy access and collaboration.

Federal Regulatory Agency, Banking Supervision and Insurance

Over the past 15 months, have served as principal consultant and subject-matter expert for a comprehensive RIM policy and technology program, working to establish a complete strategy for eDiscovery, Information and Records Management, Archiving, Disposition and Security controls for all employee-generated data. Beginning with an assessment, and working in phased implementations of discrete tactical projects, the team transformed the policies, technology, and behaviors of a government workforce to meet stringent regulatory and legal requirements, while accommodating existing cultural, organizational, and employment characteristics.

Financial Services Mutual Fund Manager

Led an effort to analyze and update the existing regulatory compliance and information governance practices for email and SharePoint to allow for standard disposition of information after a decade-long Legal Hold. Activities included establishing an overall governance model, strategy, and defined processes; and recommendations for configuration of existing technologies to allow the corporation to handle its information according to regulatory and business productivity needs.

Regional Bank

Led an Email M&A Strategy, Records and Information Management (RIM) Assessment and Archive Implementation engagement. Consultant established an email strategy to deal with a merger of two regional banks covering a 5 state area, with significantly different email policies and infrastructure. Drove the creation of a records management framework for all structured and unstructured data, including a full migration path from distributed workstation-based email to a centralized archive for the combined bank. Work products included record retention schedules, technology configurations, Legal Hold policies, training, and processes for ensuring compliance with regulatory and legal requirements.

International Online Retailer and Payment Services Company

Projects for this client included: Litigation Readiness Assessment, Litigation Management System Deployment, RIM Assessment. Led a major project to develop functional requirements for Legal Holds and eDiscovery, and then drove vendor selection, implementation, and rollout of a comprehensive end-to-end solution suite from a leading vendor. Led a core team of IT, Legal, vendor, and consulting resources providing services for system architecture, process definition, testing, end-user training, documentation, and change control. Subsequent project assessed RIM practices and established a three-year program for archiving, RIM Governance, Change Management, and user training.

Professional Experience

Legato Systems

Director of Global IT (Acting CIO)

Consultant managed a team of 300 individuals in Desktop, Server, Help Desk and Network Application Development and Operations in a worldwide organization consisting of 9 major and 47 minor sites. Hired, trained and successfully transitioned each department manager to second level Operations Directors. Created the process and work team for corporate governance, capital budgeting, and program management to produce a strategic IT organization. Consultant transformed the IT department from a reactive cost center to a service center capable of driving bottom-line value through processes and systems into the corporation as a whole.

Education and Affiliations

Business Data Processing, Cabrillo College, Santa Cruz, CA

Cultural Anthropology, University of California, Santa Barbara, CA

Appendix B: Additional Content from Contoural

As a thought leader in the Information Governance space, Contoural is continually engaged in the publication and broadcasting of educational materials, including webinars, white papers and case studies. Some of our recent and most popular efforts include:

Creating Easier-to-Execute and More Compliant Records Retention Schedules

Many record retention schedules started from within hardcopy, paper-based records programs. Yet today more than 95% of the documents organizations create or receive are sourced in digital format. Programs based on paper-centric record retention schedules are much more difficult to execute and ensure compliance, when electronic information is the dominant format. Is your retention schedule in need of an update? In this Contoural Webinar, we discuss how organizations can create modern and more compliant records retention schedules that better handle both paper and especially electronic information.

To view the webinar, [click here](#).

Applying ROI Models to Information Governance Programs

Before committing to Information Governance programs, many senior executives want to know the bottom-line impact: If we invest in this program how much will we save? What's the overall return on investment, and how long will it take to achieve it? There is a lot of money to be saved in Information Governance, and increasingly companies are finding that this is not only something they have to do, but also should do to save significant amounts of money. Dan Elam from Contoural discusses developing effective Information Governance ROI models, and how to use this information to help sell your program. Along with four types of Information Governance ROI, Overview of ROI models, dealing with complexity in large and global environments, and Examples and case studies of ROI. To view the webinar, [click here](#).

Using Metrics to Measure an Information Governance Program

Information Governance programs often involve a number of moving parts across an enterprise. But how do you know if your program is working? Likewise, how do you demonstrate to senior management as well as courts and regulators that you have an effective program? Existing frameworks often do little to measure program effectiveness in key areas and can serve as target benchmarks moving forward. Join Dan Elam from Contoural as we discuss real-world strategies for applying metrics: Why GARP, IGMM, and other frameworks are ineffective at measuring program effectiveness, Five key areas of Information Governance program measurement, Measurement strategies in large, complex, and global organizations, and Using metrics to establish go-forward benchmark targets. To view the webinar, [click here](#).

Metrics Based Information Governance

This white paper outlines a metrics-based approach that focuses on results in five key areas: compliance, privacy, disposition, litigation readiness, and employee productivity. It also discusses

how to measure information governance effectiveness and the role of technology in metrics-based information governance.

To read the white paper, click [here](#).

Building a Business Case for an Information Governance Program

ACC Docket Magazine, October 2014

Increasingly, companies are combining records management, eDiscovery, privacy and data security into corporate-wide information governance programs that seek to bring together all key stakeholders to develop cross functional solutions that address the growing risks resulting from the unstructured proliferation of data. An effective program can have a measurable and positive impact on the business.

Creating Order from Chaos - Developing an Unstructured Data Placement Strategy

Multiple copies of unstructured data live everywhere, but before you can organize, you need to first answer some basic questions: Where is the right place for specific content to live? How and where do we keep as few copies as possible? Who can and should have access to what? These are all elements of a Data Placement Strategy. This webinar discusses the best ways to approach unstructured data placement strategies.

To view the webinar, click [here](#).

Rethinking Email and File Strategies: Making it Easy for Employees to Apply Retention, Security, Collaboration and Disposition

Multiple copies of unstructured data live everywhere -- on desktops, laptops, file shares, removable media, cloud shares, SharePoint, etc. But before you can organize, you need to first answer some basic questions: Where is the right place for specific content to live? How and where do we keep as few copies as possible? Who can and should have access to what? How do we make it easy to apply both retention and data security, while still enabling classification? In this webinar Greg Forest of Contoural will discuss creating a data placement strategy, making governance frameworks not only easy for employees to follow, but enabling them to be more productive.

To view the webinar, [click here](#).

Additional educational materials may be found at www.contoural.com.

EXHIBIT E



West Virginia State Treasurer's Office Information Security Policy

WHEREAS, the STO desires to disclose certain information to Recipient which the STO wants kept confidential or which the STO considers proprietary; and

WHEREAS, the Recipient desires to protect the information designated as confidential in accordance with this Agreement.

NOW, THEREFORE, the Parties agree as follows to abide by the terms and conditions stated in Attachment 1 to this Agreement, which is attached hereto and made a part hereof.

WITNESS THE FOLLOWING SIGNATURES:

WEST VIRGINIA STATE TREASURER'S OFFICE

Contoural, Inc.

(STO)

(Recipient)

By: _____

By: J.P. Gum
CFO

Title: _____

Title: _____

Date: _____

Date: 1/8/20

Recipient Information for Notices:

Contoural, Inc.; ATTN: Contracts Administrator

335 Main Street, Ste B, Los Altos, CA 94022

Phone: 650-390-0800

FAX: 650-390-0303

E-mail: jgum@contoural.com

Confidentiality / Non-Disclosure Agreement Terms and Conditions

1. Terms

This Agreement shall commence on the effective date, which is the date last executed, and shall continue until one of the Parties elects to send a notice of termination to the other party. A termination in accordance with this Section 1 is effective thirty (30) days after receipt of the notice. However, the obligations of the Recipient under Section 3 hereof shall survive any termination or cancellation of this Agreement.



West Virginia State Treasurer's Office Information Security Policy

2. Confidential Information

During the term of this Agreement, the STO may disclose certain of its confidential and proprietary information ("Confidential Information") to Recipient. Confidential Information shall include any information residing on the STO information resource systems; all data, materials, products, technology, computer programs, specifications, manuals, business plans, records, software, financial information, and other information disclosed or submitted, orally, in writing, graphically, machine recognizable, or by any other media, to the Recipient by the STO that is stamped "confidential," "proprietary" or with a similar legend; or that the Recipient is informed by the STO is Confidential Information. Confidential Information disclosed orally shall be identified as such within five (5) business days of disclosure.

The Recipient acknowledges and agrees that disclosure or unauthorized use of any Confidential Information will cause irreparable harm and loss to the STO and may violate various laws of the State of West Virginia and the United States. Nothing herein shall require the STO to disclose any information.

Confidential Information does not include any data, information or device that is:

- in the possession of the Recipient from another source without restrictions on use or disclosure;
- independently developed by the Recipient;
- publicly disclosed by the State or the STO;
- available by the inspection of products or services marketed or offered for sale or lease in the ordinary course of business by either Party or others; or
- produced or disclosed pursuant to applicable law, rule, regulation or court order.

3. Responsibilities:

The Recipient acknowledges that the Confidential Information is to be considered confidential and proprietary to the STO, and agrees to hold the same in confidence and to not use the Confidential Information other than for the purposes of its business with the STO.

The Recipient shall use appropriate safeguards to prevent use or disclosure of the Confidential Information, except as provided by this Agreement, including the safeguards it uses to prevent the use or disclosure of its own confidential information. To protect the Confidential Information from unauthorized disclosure, the Recipient agrees to:

- Limit the persons, officers, directors, employees, agents or others to whom the Confidential Information is disclosed to those with a specific need to know;
- Provide appropriate notification and training of the persons, officers, directors, employees, agents and others to whom the Confidential Information is or will be disclosed;
- Not use any Confidential Information as a basis upon which to develop or have another entity develop any product or service without the express written consent of the STO.
- Not to disclose or use the Confidential Information in a manner in violation of this Agreement or law without the express written consent of the STO;
- Not to duplicate any Confidential Information except for purposes of this Agreement;
- Not to integrate or merge any Confidential Information without the express written authorization of the



West Virginia State Treasurer's Office Information Security Policy

STO;

- Report, in writing, any use or disclosure of the Confidential Information of which it becomes aware;
- Ensure its officers, directors, employees and agents, including any contractors and subcontractors, to whom it provides any Confidential Information agree to the restrictions and conditions regarding disclosure and confidentiality under this Agreement; and
 - Within ten (10) business days of the termination or cancellation of this Agreement, if feasible and except as provided in this Agreement, return or destroy all protected Confidential Information it received from, created by or received on behalf of the STO that it maintains in any form, including but not limited to copies or reproductions, in whole or in part, and to retain no copies of that Confidential Information, or, if return or destruction is not feasible, the Recipient shall extend the protections of this Agreement to the Confidential Information and limit further uses and disclosures to the purposes that make return or destruction infeasible. The Recipient shall provide a written certificate to the STO regarding the destruction within ten (10) days thereafter.

However, the Recipient shall have no obligation under this Agreement to protect Confidential Information which is:

- or becomes publicly available without breach of this Agreement;
- rightfully received by Recipient without obligations of confidentiality from another source; or
- developed by Recipient without breach of this Agreement.

Nothing herein shall be construed as granting or conferring any rights by license or otherwise in any Confidential Information. It is understood and agreed that neither party solicits any change in the organization, business practice, service or products of the other party, and that the disclosure of Confidential Information shall not be construed as evidencing any intent by a party to purchase any products or services of the other party nor as an encouragement to expend funds in development or research efforts. Confidential Information may pertain to prospective or unannounced products.

4. General

4.1. Authority

Each party represents that it has authority to execute and deliver this Agreement, and this Agreement constitutes a legal, valid and binding obligation enforceable against it, except to the extent that enforceability is limited by bankruptcy, insolvency, or similar laws.

4.2. Notices

All notices, requests, demands or other instruments which may or are required to be given by either party shall be in writing and shall be deemed to have been properly received either when served personally upon the officer or agent of the party set out below, or upon expiration of a period of forty-eight (48) hours, excluding weekends and holidays, from and after the postmark thereof when mailed postage prepaid by certified mail requiring a return receipt or by overnight mail. Addresses and fax machine numbers for notices are:

1. For the STO:



West Virginia State Treasurer's Office Information Security Policy

West Virginia State Treasurer's Office
Kanawha Boulevard, East, E-122
Charleston, WV 25305

Telephone

304.558.5000

FAX

304.558.5063

1. For the Recipient:

As specified at the end of this Agreement

4.3. Amendments

This Agreement may only be amended, modified, altered or changed in a written addendum to this Agreement, signed by both parties. However, the Parties shall amend, modify, alter or change this Agreement to the extent necessary to comply with applicable law and the revisions thereto.

4.4. Waiver

Waiver of any default or breach shall not be considered a waiver of any subsequent default or breach or a modification to the Agreement.

4.5. Severability

If any provision of this Agreement or any document referenced in this Agreement is found to be invalid by a court of competent jurisdiction, such invalidity shall not affect the remaining provisions which can be given effect without the invalid provision, and to this end, the provisions of this Agreement and any document referenced in this Agreement are declared to be severable.

4.6. Headings

Headings herein are for convenience of reference only, and shall not be considered in any interpretation of this Agreement.

4.7. Governing Law

This Agreement shall be governed by and construed in accordance with the laws of the State of West Virginia and the United States. In the event litigation ensues involving this Agreement, venue shall be proper only in Kanawha County, West Virginia. The Recipient hereby consents to the jurisdiction of the courts of the State of West Virginia for purposes of this Agreement.



West Virginia State Treasurer's Office Information Security Policy

4.8. Entire Agreement

This Agreement constitutes this entire understanding and agreement of the parties with respect to the subject matter and supersedes all prior agreements or understandings, written or oral, between the parties with respect thereto.

4.9. Execution

The parties acknowledge and agree that they are dealing with each other hereunder as independent contractors. Neither Recipient nor any of its agents, employees or legal representatives are, nor shall they be considered to be affiliates, agents, employees or legal representatives of the State of West Virginia. Nothing contained in this Agreement shall be interpreted as constituting either party as the joint venture or partner of the other party or as conferring upon either party the power of authority to bind the other party in any transaction with third parties.

4.10 Bankruptcy, etc.

The obligation not to disclose shall not be affected by bankruptcy, receivership, assignment, attachment or seizure procedures, whether initiated by or against Recipient, nor by the rejection of any agreement between the STO and Recipient, by a trustee of Recipient in bankruptcy, or by the Recipient as a debtor-in-possession or the equivalent of any of the foregoing under West Virginia and federal law.

This Agreement was prepared by:

Diana Stout, Esquire
State Bar #3631
General Counsel
West Virginia State Treasurer's Office
1900 Kanawha Boulevard, East, E-122
Charleston, West Virginia 25305
304.558.5000

Confidentiality / Non-Disclosure Agreement West Virginia State Treasurer's Office Non - Employee

I am the person named at the end of this Confidentiality / Non-Disclosure Agreement ("Agreement"), I may have access to information of the West Virginia State Treasurer's Office ("STO") that may be considered confidential, and I acknowledge and agree that:

1. Certain matters may be disclosed to me that should remain confidential or proprietary;
2. Confidential Information includes any information residing on the STO information resource system; all data, materials, products, technology, computer programs, specifications, manuals, business plans, records, software, financial information, and other information disclosed or submitted, orally, in writing, graphically, machine recognizable, or by any other media, to me by the STO that is stamped "confidential," "proprietary" or with a similar legend; or that I have been informed by the STO is Confidential Information or proprietary information;



West Virginia State Treasurer's Office Information Security Policy

- 3. Confidential Information does not include any data, information or device that is:
 - in my possession from another source without restrictions on use or disclosure;
 - independently developed by the me;
 - available without breach of this Agreement; or
 - produced or disclosed pursuant to applicable law, rule, regulation or court order.
- 4. I shall not disclose or use the Confidential Information in a manner in violation of this Agreement or law without the express written consent of the STO;
- 5. I will hold in strict confidence anything that is considered Confidential Information or proprietary within the meaning of this Agreement;
- 6. I shall not disclose to any person not specifically authorized to receive, have or view any Confidential Information or proprietary information;
- 7. disclosure or unauthorized use of any Confidential Information or proprietary information will cause irreparable harm and loss to the STO and may violate various laws of the State of West Virginia and the United States;
- 8. the STO may take whatever steps its considers appropriate to protect its Confidential Information, and in the event I disclose or use any Confidential Information without authorization from the STO or I permit Confidential Information to be disclosed or used without authorization, such steps may include termination of any agreement or arrangement under which I work.
- 9. I shall not use any Confidential Information as a basis upon which to develop or have another entity develop any product or service without the express written consent of the STO; and
- 10. report, in writing, any use or disclosure of the Confidential Information of which it becomes aware.

WITNESS THE FOLLOWING SIGNATURES:

West Virginia State Treasurer's Office

Contoural, Inc.

(STO)

(Recipient)

By: _____

By: J.P. Gum

Title: _____

Title: CFO

Date: _____

Date: 1/8/20