

# Technical Proposal for Information Governance Implementation Consulting Services

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March 5, 2021

Presented by:  
**Contoural, Inc.**  
335 Main Street, Suite B  
Los Altos, CA USA 94022

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## **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 or WV-STO) considers proper under the law. If the Agency enters into an agreement with Contoural, the 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.

## **Personal Information and non-Third Party**

During the course of our engagement, we will ask questions and help the Agency address the management of personal information. However, Contoural does not access, store, transmit, or process any client personal data or information in the process of delivering our services or in the creation of deliverables.

## ***Working Through Social Distancing***

The safety of both your team members as well as our consultants is paramount during the COVID-19 threat. To that end, we are prepared to be flexible in how Contoural delivers services. As needed, the Contoural team is fully prepared to do our work via teleconferencing using either your or our teleconferencing capabilities. This may include video, virtual whiteboards or other web-enabled tools. We believe we can be effective working remotely conducting interviews, review sessions, workshops or presentations, delivering the same high-quality deliverables. We are currently working through social distancing with a number of clients.

## Cover/Title Page

**RFP Subject: Comprehensive Records Assessment Consultant  
Solicitation Number: CRFP STO2100000001**

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: Mark Diamond, CEO

Email: mdiamond@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)

Mark Diamond, CEO \_\_\_\_\_  
(Printed/Typed Representative Name, Title)



Signature

650/390-0800 \_\_\_\_\_  
(Contact Phone/Fax Number)

3/5/21 \_\_\_\_\_  
(Date)

## Addendum Acknowledgement Form(s)

Addendum No. 1 – 03/4/21

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

*Mark Diamond*

\_\_\_\_\_  
Authorized Signature

3/5/21 \_\_\_\_\_  
Date

## Designated Contact(s)

### **Business Contact:**

Name: Carlos Leon

Title: Senior Manager, Business Development

Email: cleon@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 Information Governance Program Implementation consulting services as outlined in the Agency's RFP published February 23, 2021.

Drawing on our experience in both information governance and our prior work with the Agency, our proposal focuses on delivering follow-on/implementation services aimed at addressing gaps found in the assessment of the Agency's information governance/records management capabilities (CRFP STO 200000000001). These services are prioritized to enable the Agency to efficiently begin the implementation of an effective and compliant information governance program.

One of the primary focuses of this grouping of projects, along with maturing the Agency's Information Governance program, will be to assist the Agency reach its goal of transferring all data/information from current networked drives to Microsoft 365.

These projects address Agency's immediate needs, including:

- An organizational structure to ensure information governance accountability and drive program success.
- Process and procedure documentation to assist users in complying with the Policy and Schedule.
- The ability to classify and properly handle Agency information according to its designated security level.
- Preparing record coordinators to assist users in understanding and following the Policy and Schedule.
- Understanding what records must be retained in physical format, what paper records can be destroyed, where paper can be eliminated by scanning to electronic format and reducing the overall volume of paper records where possible.
- An understanding of current privacy capabilities and the steps necessary to reaching target program maturity.
- Consensus on how unstructured information will be created, managed, stored, and disposed of by the agency, and the necessary tools to achieve these objectives. Addressing this need will include:
  - Proper configuration of Microsoft 365 and transfer of knowledge to Agency IT staff
  - Piloting the agreed-upon strategy with agency users to understand effectiveness, understanding and adoption; and
  - Properly communicating with and training users on how to use these tools to classify and manage agency records and information.
- Applying proper retention and disposition to information residing in structured Agency systems and applications.
- Providing a consistent, repeatable, defensible response when responding to requests for information in litigation, FOIA requests and other legal matters.

- Confidence in knowing where information relevant to litigation, FOIA requests and other legal matters resides and how it is stored and managed, in the event it must be preserved and collected for such matters.

### **Project goals and mandatory requirements**

Contoural understands that the Agency needs consultative services for the implementation of a more mature and robust Information Governance program, and potential further guidance on meeting incoming National Automated Clearing House Association (NACHA) requirements and other best practices for information governance of both physical and electronic records.

Contoural's deep experience in Microsoft 365/Office 365/SharePoint integrations and implementations, coupled with our expertise in Information Governance and Records Management make us uniquely qualified to perform this work for the Agency. We will bring a senior team to bear for this engagement to help the Agency reach the state outcomes of establishing and migrating to Microsoft 365 and building an efficient, functioning Information Governance program.

The services Contoural is recommending to address the Agency's needs are described in detail in this document, including Contoural's tasks and activities, target deliverables, assumptions we have made in designing each step, along with the internal Agency resources needed to help make this engagement a success.

Contoural looks forward to an in-depth review of the contents of this proposal with key stakeholders to determine if this approach meets the Agency's needs, and to refine the proposal as required.

Key notes about this proposal:

- These services are being offered on a straight time and materials basis.
- Our proposal follows our customized processes that have 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 further, including adding or eliminating components based on further discussions. In all projects, Contoural will endeavor to leverage any existing work product to the extent possible.
- Contoural is available to present sample deliverables of these projects via web meeting.



## 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.

**4.2.2.3 - The Vendor shall provide monthly updates on project progress**

Contoural agrees and will comply with this requirement and has made provision for its completion within each project proposed.

**4.2.2.4 - Vendor shall assume all cost of travel, copying expenses and any other fees associated with the project in the fee it proposes for the services.**

Contoural agrees and will comply with this requirement.

**4.2.2.5 - The Agency shall retain all rights to any material created by the vendor for the Agency during the term of the contract as well as any renewals or extensions that may be granted.**

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 Agency 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.

**4.2.2.7 - The contract award will be an open-end quantity with the understanding that each task must be approved in advance by the Agency prior to Vendor providing services.**

Contoural agrees and will comply with this requirement.

**4.2.2.8 - If additional related services may be needed beyond the current assessment and information governance requirements, upon mutual agreement, the contract will allow for up to two, one-year renewal periods. The work requested during renewal period shall not be outside the original scope or intention of work stated in the contract award.**

Contoural agrees and will comply with this requirement.

## Qualifications and Experience

### **4.3.1.1 - Vendor should list any experience with transitioning to a Microsoft 365 operating environment and all other experiences with Microsoft 365.**

For over 10 years Contoural has been using a repeatable cleanup and mapping process for existing data in file shares prior to migration, and for retrofitting existing SharePoint sites (if applicable) with default labels based on content types and the Records Retention Schedule (RRS). Typically, we do 5-10 pilots of this process with an enterprise, complete a master playbook with change management materials, templates, and process flows and then turn that over for the client to do a full enterprise rollout. For this effort, we have proposed 5 pilot work groups based in the preliminary information supplied by the Agency.

Contoural will generally recommend using the new and improved out of the box capabilities for retention labels and policies in Microsoft 365 (M365) and will use whatever existing tagging capability exists (AIP, Active Nav, etc.) for non-M365 repositories. We believe this is the most flexible and advanced solution available on the market today if configured properly. We will recommend the creation of default policies at the library or folder level in SharePoint, as well as pushing retention labels by job function for use in Outlook. We have created a process to auto-populate retention labels based on an existing RRS using a .csv file and PowerShell script. This will be done after a discussion on each label with legal, compliance and records management, depending on who owns the schedule.

Contoural's usual process is to guide a set of user groups through a Pilot Data Structure development and Data Migration exercise. We will start out with a limited number of functional business groups (5), taking them through the entire process. The Agency may then opt to execute migration on their own (where we 'teach the Agency to fish' during the pilot) or add additional pilot group exercises via Change Order, if necessary. Contoural will map all content with source/destination, proposed file structures, and default retention and sensitivity, as well as required metadata as part of this process. This map will then be used to drive the migration.

Test Environment - Contoural uses O365/M365 exclusively as our own back-end infrastructure we have many different demo environments that we use for webinars, initial orientation, and education for our customers. However, we recommend that as part of the pilot project, Contoural assist the Agency to configure their own demonstration environment so that look and feel, functionality and user experience can be demonstrated to employees, as well as used to create training materials for both end and super users. We have included a short project to both train administrators and set up the initial demonstration environment to meet specific Agency requirements.

In addition, the Contoural team has extensive experience leading organizations through content restructuring and taxonomy/metadata implementation. We have given 3 specific examples as references elsewhere in this proposal. We have found that having an extended conversation with

potential clients on this topic is very helpful, as we can delve into more precise details that we have encountered in our various engagements and what those efforts produced.

Contoural has been configuring Microsoft SharePoint (and now Office/Microsoft 365) implementations for over 10 years, and we were on the forefront of providing configuration and implementation strategies for our customers in Office 365 since its earliest days of pre-release. We have a fully developed methodology for migrating data from existing repositories to M365 (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 M365 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/M365.

**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 deliverables for all projects proposed for this engagement are available via web meeting (Teams/Zoom or similar). We have found that presenting our sample deliverables in-person is essentially for conveying the context of each, rather than simply presenting them in hard copy. Contoural will be happy to conduct a thorough review of each deliverable prior to contract award, should the Agency desire.

**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 will 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.**

Contoural has provided 3 select M365/O365 references below per the RFP specification, but this is by no means a complete list of our available references. We have additional references should the Agency wish to speak to additional, successful clients. We have also included a couple of other reference clients for whom we provided extensive Information Governance services.

**Reference 1: Grant County Public Utilities District (Grant County PUD)**

Contact: Bobb Hansen  
Title: Business Analyst  
Phone: 509/754.5088, ext. 2348  
Email: [bhansen@gcpuc.org](mailto:bhansen@gcpuc.org)

**Grant County PUD Profile**

Grant County PUD is a public electric utility serving more than 40,000 customers in Grant County. We own and operate the Priest Rapids Project on the Columbia River in Central Washington. The Priest Rapids Project, comprising Priest Rapids and Wanapum dams, has the capacity to produce more than 2,000 megawatts of clean, renewable and reliable electricity. From Electric City to Royal City and everywhere in between, Grant County PUD's affordable, reliable power and fiber continue to drive the county's rapidly expanding economy.

**Services provided to Grant County PUD**

In late 2019, Grant County PUD contracted with Contoural to provide Office 365 implementation services, including Office 365 (O365) Knowledge Transfer and Configuration services and SME Assistance for Technology Implementation, including Email Governance, SharePoint and Data Placement Strategy Pilot planning and design, Configuration settings advice and recommendations and Data Remediation. Nearing the completion of that work, we are currently negotiating a second contract for continued consulting services including, Unstructured Data Strategy Implementation - Pilot Groups, and Change Management, Communications and Training.

**Reference 2 – Penumbra**

Contact: Emma Edwards  
Title: Legal Operations Manager  
Phone: 510/995-9848  
Email: [eedwards@penumbra.com](mailto:eedwards@penumbra.com)

**Penumbra Profile**

Penumbra, Inc., headquartered in Alameda, California, is a global healthcare company focused on innovative therapies. Penumbra designs, develops, manufactures and markets novel products and has a broad portfolio that addresses challenging medical conditions in markets with significant unmet need. Penumbra sells its products to hospitals and healthcare providers primarily through its direct sales organization in the United States, most of Europe, Canada and Australia, and through distributors in select international markets.

**Services provided for Penumbra**

In early 2019, Penumbra contracted with Contoural to provide a series of projects, including Records Retention Schedule Validation and Citations Research and Documentation, Unstructured Data Placement and Email Management Strategy and Office 365 Knowledge Transfer and Configuration. Subsequently, in the fall of 2019, the company engaged Contoural for additional services, including Unstructured Data Strategy Implementation and Change Management, Communications and Training consulting services. These services are currently under way.

**Reference 3 - Realty Income Corporation**

Contact: Kyle Campbell

Title: Vice President, Sr. Legal Counsel, Risk Manager

Phone: 858/284-5215

Email: [kcampbell@realtyincome.com](mailto:kcampbell@realtyincome.com)

**Realty Income Profile**

Realty Income Corporation is a real estate investment trust that invests in free-standing, single-tenant commercial properties in the United States, Puerto Rico, and the United Kingdom that are subject to NNN Leases. The company is organized in Maryland with its headquarters in San Diego, California.

**Services provided to Realty Income**

In late 2018, Realty Income hired Contoural to conduct an Information Governance Assessment of its Legal Department and create a Strategic Roadmap for related on-going operations. Following that work, also in late 2018, Realty Income contracted with Contoural to deliver a suite of Information Governance services, including Unstructured Data Placement and Email Management Strategy, Information Governance Organization (IGO) SME Assistance, Updated Records Retention Schedule and Policy, Information Governance Processes and Procedures, Change Management, Communications and Training Content, In-House Discovery Response Program. Further, in late 2019, the company hired Contoural to deliver additional services related to Office 365 implementation, which included Unstructured Data Strategy Implementation - Pilot Groups, Office 365 (O365) Knowledge Transfer and Configuration and O365 Change Management, Communications and Training.

**Reference 4: 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](mailto:SWillrich@tmrs.com)

**Reference 5: 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](mailto:kenya.dixon@gmail.com) (current contact info)

## Mandatory Qualifications and Experience Requirements

**4.3.2.1 - Vendor shall have previously conducted at least three (3) projects as outlined in 4.2.1, within an organization of similar size and complexity or larger.**

Contoural surpasses this Mandatory Qualification. Information Governance implementation projects are core services offerings for Contoural. We focus solely on proactive Information Governance strategic consulting services. We have conducted these services for many more than 3 clients.

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 technical migrations, 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 or Project Step(s) Meeting Requirement
4.2.1.1	Information Governance Organization	Project 1
4.2.1.2	Information Governance Processes and Procedures	Project 2
4.2.1.3	Data Security Classification Standard	Project 3
4.2.1.4	Change Management and Training	Project 4
4.2.1.5	Paper Reduction	Projects 5a, 5b
4.2.1.6	Privacy Assessment	Project 6
4.2.1.7	Microsoft 365 Knowledge Transfer and Configuration	Project 7b
4.2.1.8	Unstructured Data Inventory, Placement and Retention Strategies	Projects 7a, 7c
4.2.1.9	Email Management Strategy	Project 7a
4.2.1.10	Structured Data Inventory, Retention and Remediation Strategy	Project 8a
4.2.1.11	In-House Discovery and Freedom of Information Act (FOIA) Response Program	Project 9a
4.2.1.12	Data Mapping	Project 9b



## Methodology and Project Approach

Here is a summary of the projects we are proposing:

Project	Description	Client Resource Impact	Consulting Hours
Project 1: Information Governance Organization	Provides assistance in the creation, development, or refining of an Information Governance Organization, along with development of roles and responsibilities of major contributors.	Medium	82
Project 2: IG Processes and Procedures	Provides development of procedures, process documents, and other materials to support the Policy and Schedule in an overall Information Governance Program.	Low	116
Project 3: Data Security Classification Standard	Provides development of guidelines for the classification of company information of all sensitivity levels.	Low	46
Project 4: Change Management Communications and Training	Provides development of Change Management, Communications and Training program elements for introducing the Information Governance Program and Data Placement Strategy to users. Also provides development of Information Governance 201 and Microsoft 365 Training Content and Training Sessions.	High	194
Project 5: Paper Reduction - Go Forward Strategy	Resolve long-standing questions regarding the creation and retention of paper when an electronic record exists. Change operational procedures to eliminate paper or prevent the creation of paper when electronic records exist.	Medium	116
Project 6: Paper Reduction-Legacy Cleanup	After reviewing for hold orders, assist in the disposition of paper that is eligible based on the retention period, or that has been made redundant as a result of imaging.	Medium	92
Project 7: Privacy Assessment	Compares WV-STO current Data Privacy policies and practices with minimum California Consumer Privacy Act requirements and identifies existing risks in those areas assessed. Develops a Gap Analysis, Remediation Plan and Strategic Roadmap. Provides an executive level presentation to review all findings and roadmap.	High	96
Project 8: Unstructured Data Placement and Email Management Strategy	Provides a comprehensive framework for defensible, compliant management and storage of unstructured data in M365 and other repositories.	Medium	146
Project 9: Microsoft 365 (M365) Knowledge Transfer and Configuration	Provides a knowledge transfer of how to use Microsoft 365 (M365) capabilities for information governance, and establishes the foundation for future migration of data into M365 through configuration of information management policies or retention labels.	Medium	34
Project 10: Unstructured Data Strategy Implementation - Pilot Groups	This project is the implementation of the M365 strategy and provides "boots on the ground" production support for execution of the strategy across multiple business units.	High	111
Project 11: Structured Data Retention and Remediation Strategy	Provides analysis of Structured Data and development of a strategy for the utilization and management of structured electronic repositories.	Medium	122
Project 12: In-House Discovery and FOIA Response Program	Provides organizational and information guidance and support to those involved in litigation response and FOIA requests. The project establishes how an organization approaches litigation, its discovery posture and response capabilities, internally and externally.	Medium	88
Project 13: Data Map and Population Procedures	Provides the development of a Data Map structure and Population Procedures for primary repositories.	Medium	130

## Project 1 - Information Governance Organization

This project provides assistance in the creation, development, or refining of an Information Governance Organization, along with development of roles and responsibilities of major contributors.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 1 - Information Governance Organization		
P1-01	6	Create Project Planning Documents and Execute Project Planning Call
P1-02	6	Project Scoping and Data Collection
P1-03	16	Develop Information Governance Organization Framework and Matrix Structure
P1-04	24	Develop Information Governance Organization Roles and Responsibilities
P1-05	8	Develop and Deliver Executive/Stakeholder Presentation on Information Governance Organization Framework
P1-06	16	Assist in Populating the Information Governance Organization Matrix
P1-07	6	Meetings and Communications
	82	Estimated Total Hours - Project 1

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 1 - Information Governance Organization		
P1-01	Kickoff Meeting; Interview Preparation Documents; Document Request Checklist; Sample Status Report	Kickoff meeting; Document Request Checklist identifying documents and information to be collected for review if available; Sample Messaging and Project Overview documentation; Status Report Template
P1-02	Information Governance Organization discussion and scoping exercise	The information collected during this task will inform the development of the Information Governance Organization framework and matrix.
P1-03	Information Governance Organization Framework, including Distribution Matrix	Information Governance Organization Framework: A proposed framework for WV-STO's Information Governance Organization, including a governance model and proposed approach for deployment/implementation.  Distribution Matrix: Enterprise-wide matrix displaying distribution of Information Governance Organization roles and resources, organized by business units, functions and/or locations.
P1-04	Information Governance Organization Roles and Responsibilities  Program Manager / Records Coordinator 90-Day Task Plan	Information Governance Organization Roles and Responsibilities is delivered in PowerPoint format.  Program Manager / Records Coordinator 90-Day Task Plan, can be delivered in Word, Excel or PowerPoint format, as desired.
P1-05	Information Governance Organization Framework Executive Presentation	Executive-level presentation provided in PowerPoint format.
P1-06	Assistance in populating the Information Governance Organization matrix.	The Information Governance Organization matrix is typically delivered in Excel format.
P1-07	Weekly Meetings, Status Reports, and Other Communications	Weekly Status Reports, utilizing the status report template format approved in project step P1-01.

Specific steps include:

*Create Project Planning Documents and Execute Project Planning Call* - Contoural will prepare a Document Request Checklist and Interview Preparation Documents, followed by a Kickoff Meeting with the WV-STO management team and other stakeholder(s) to identify project team participants and establish roles and expectations for collaboration within the team; determine the schedule and logistics for interviews; review engagement elements at a high level; and determine next steps.

*Project Scoping and Data Collection* - Contoural will meet with WV-STO stakeholders to discuss various Information Governance organizational structures and reach preliminary consensus on a desired structure. Contoural will also work to understand WV-STO's overall organizational structure, in order to make reasonable recommendations on the size and distribution of the Information Governance Organization.

*Develop Information Governance Organization Framework and Matrix Structure* - Contoural will develop a proposed framework for the Information Governance Organization, as well as a proposed approach for deployment and implementation. The organizational framework will include a distribution matrix of Information Governance roles across the enterprise, including the Program Manager, Information Governance Steering Committee, Information Governance Compliance Leads, Records Coordinators and other potential contributors.

To develop the matrix Contoural will determine the number of work units per geographic location and number of physical locations that encompass the scope of the Information Governance program, to assist in planning for enterprise rollout and identification of required resources.

*Develop Information Governance Organization Roles and Responsibilities* - Based upon the Information Governance Organizational structure determined in the previous task, Contoural will develop formal responsibilities and resource requirements for those roles making up WV-STO's Information Governance Program, including criteria and process/guidelines for selecting Record Coordinators.

Contoural will also develop a 90-day task plan for the Program Manager and Records Coordinators, containing a detailed set of activities for Records Coordinators to complete in the first 90 days of program rollout.

*Develop and Deliver Executive/Stakeholder Presentation on Information Governance Organization Framework* - Contoural will develop and deliver an executive/stakeholder presentation on the proposed Information Governance Organization framework, which provides executives with a strategic vision and creates the foundation for Information Governance program implementation. Assist in Populating the Information Governance Organization Matrix Contoural will assist WV-STO in populating the Information Governance Organization matrix as necessary and desired, to fill the roles of Program Manager, Steering Committee, Compliance Lead, Records Coordinator,

and other identified roles. Such assistance will include determining the appropriate distribution of Record Coordinators for each department/function.

*Status Reporting and Communications* – For each project and 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 Assumptions and Notes**

Project Step	Task	Assumptions and Notes
<b>Project 1 - Information Governance Organization</b>		
P1-01	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.
P1-02	Project Scoping and Data Collection	Assumes WV-STO will provide information on organizational structure, including HRIS data if available, on the number of employees by function and geographic location.
P1-03	Develop Information Governance Organization Framework and Matrix Structure	
P1-04	Develop Information Governance Organization Roles and Responsibilities	
P1-05	Develop and Deliver Executive/Stakeholder Presentation on Information Governance Organization Framework	Assumes one (1) delivered presentation to executive sponsors/key stakeholders.
P1-06	Assist in Populating the Information Governance Organization Matrix	Assumes this effort will be led by WV-STO, with the assistance of Contoural
P1-07	Meetings and Communications	Assumes 2 hours per week per project engagement length. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective.  Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting with core team members.

## Project 2 - Information Governance Processes and Procedures

This project provides development of procedures, process documents, and other materials to support the Policy and Schedule in an overall Information Governance Program. Procedures can assist company employees in executing and complying with the Records Retention Policy or can be used by the Information Governance Organization to support program maintenance activities.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 2 - Information Governance Processes and Procedures		
P2-01	8	Determine Processes and Procedures to be Developed
P2-02	100	Develop Information Governance Processes, Procedures, Guidelines and Reference Materials
P2-03	8	Meetings and Communications
	116	Estimated Total Hours - Project 2

### Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 2 - Information Governance Processes and Procedures		
P2-01	Process and Procedure Gap Analysis  List of recommended Information Governance Processes and Procedures	The Process and Procedure Gap Analysis will contain a review of existing WV-STO documentation compared against recommended documentation, typically delivered in Word or Excel format.  The formal List of recommended Information Governance Processes and Procedures will be delivered in Word or Excel format.
P2-02	Information Governance Processes, Procedures, Guidelines and Reference Materials	The actual list of processes and procedures will be determined in the previous step, but could include:  <ul style="list-style-type: none"> <li>- Policy / Schedule Change Request Procedure</li> <li>- Information Governance Compliance Audit Procedures</li> <li>- Information Governance Self-Assessments</li> <li>- Paper Records Management Procedures</li> <li>- Paper Records Destruction Procedures</li> <li>- Scanning Guidelines</li> <li>- Annual Records Cleanup Procedures (paper and electronic)</li> <li>- Mergers, Acquisitions and Site Closures</li> <li>- Departing Employee Records Procedures</li> <li>- Email Management Etiquette and Guidelines</li> <li>- Voicemail / Chat Guidelines</li> </ul>
P2-03	Weekly Meetings, Status Reports, and Other Communications	Weekly Status Reports, utilizing the status report template format approved in project step P1-01.

Specific steps include:

*Determine Processes and Procedures to be Developed* - Contoural will review current WV-STO processes and procedures dealing with records management and information governance and compare against Contoural's set of "best practice" foundational Information Governance Program processes and procedures. Following this gap analysis, Contoural will develop a proposed list of recommended processes and procedures necessary to support WV-STO's Information Governance Program.

*Develop Information Governance Processes, Procedures, Guidelines and Reference Materials* - Contoural will create or update up to ten (10) information governance processes or procedures identified in the previous project step. Contoural intends these documents to provide Program Managers, Record Coordinators and employees sufficient direction to comply with the Records Retention Policy and Schedule, or to assist Information Governance Organization staff in managing the Information Governance Program.

**Project Assumptions and Notes**

Project Step	Task	Assumptions and Notes
Project 2 - Information Governance Processes and Procedures		
P2-01	Determine Processes and Procedures to be Developed	Assumes WV-STO will provide Contoural with copies of all relevant existing processes and procedures for its analysis.
P2-02	Develop Information Governance Processes, Procedures, Guidelines and Reference Materials	Assumes development of ten (10) Procedures, Guidelines and/or Reference Material documents. Assumes one review and revision cycle per process/procedure. Additional processes/procedures via change order.
P2-03	Meetings and Communications	Assumes 2 hours per week per project engagement length. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective.  Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting with core team members.

## Project 3 - Data Security Classification Standard

This project provides development of guidelines for the classification of company information of all sensitivity levels. A Data Security Classification Standard is the foundation for implementing retention requirements on any media type, unstructured, structured, or physical information.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
<b>Project 3 - Data Security Classification Standard</b>		
P3-01	4	Determine Scope of Classification Standards
P3-02	30	Create a Data Security Classification Standard
P3-03	8	Review and Revise Data Security Classification Standard
P3-04	4	Meetings and Communications
	46	Estimated Total Hours - Project 3

### Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
<b>Project 3 - Data Security Classification Standard</b>		
P3-01	Exploratory Discussions; Outline of Data Security Classification Standard Requirements	The information gathered in the discussions will inform the downstream deliverables.
P3-02	Data Security Classification Standard	Data Security Classification Standard - delivered in Word format and defining three to five security classifications or protection levels for company information. The Classification Standard will include the following: <ul style="list-style-type: none"> <li>• Name and definition of each classification level</li> <li>• Examples of WV-STO Records that fall under each classification level</li> <li>• Control and handling requirements for Data Access, Internal and External Sharing, Transmission, Shipping and Handling, Storage, Retention and Disposition, Labeling, and others as determined in the initial exploratory discussions.</li> </ul>
P3-03	Revised Data Security Classification Standard	Contoural revisions of the Data Security Classification Standard (if necessary) based on review input.
P3-04	Weekly Meetings, Status Reports, and Other Communications	Weekly Status Reports, utilizing the status report template format approved in project step P1-1.



Specific steps include:

*Determine Scope of Classification Standards* - Contoural will conduct exploratory discussions with WV-STO stakeholders to discuss the proposed Data Security Classification Standards, agree upon the desired security levels, and determine other required components.

*Create a Data Security Classification Standard* - Contoural will create a Data Security Classification document that defines three to five security classifications or protection levels and describes the key attributes of each level. The Classification Standard also will provide users with control and handling requirements for records and information according to its classification level.

The Classification Standard will complement WV-STO's Records Retention Schedule as a distinct set of business requirements that users must consider when creating or managing company information.

*Review and Revise Data Security Classification Standard* - Contoural will review the Data Security Classification Standard with WV-STO stakeholders and make all necessary revisions.

### **Project Assumptions and Notes**

Project Step	Task	Assumptions and Notes
<b>Project 3 - Data Security Classification Standard</b>		
P3-01	Determine Scope of Classification Standards	WV-STO stakeholders will include Legal, IT, Information Security, Records Management, and Compliance.
P3-02	Create a Data Security Classification Standard	
P3-03	Review and Revise Data Security Classification Standard	Assumes a single review with WV-STO stakeholders and a subsequent revision. Additional reviews and revisions may increase the hours for this task and deliverable.
P3-04	Meetings and Communications	Assumes 2 hours per week per project engagement length. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective.  Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting with core team members.

## Project 4 - Change Management, Communications and Training

This project provides development of Change Management, Communications and Training program elements for introducing the Information Governance Program and Data Placement Strategy 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 development of Information Governance 201 and Microsoft 365 Training Content and Training Sessions.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 4 - Change Management, Communications and Training		
P4-01	6	Scoping of Change Management Activities
P4-02	12	Develop a Communications and Training Plan
P4-03	30	Develop Communications Toolkit and Implementation Plan
P4-04	40	Develop Information Governance 201/Records Coordinator (IG 201) Training Content
P4-05	60	Develop Training Content for Microsoft 365, including SharePoint, Teams, OneDrive and Outlook
P4-06	16	Conduct two (2) Information Governance 201 / Records Coordinator Training Sessions Refine Training Content
P4-07	16	Conduct two (2) Microsoft 365 Training Sessions Refine Training Content
P4-08	14	Meetings and Communications
	194	Estimated Total Hours - Project 4

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 4 - Change Management, Communications and Training		
P4-01	Scoping Discussions	Information gathered during these discussions will be used in the development of the Communications and Training Plan in the next step.
P4-02	Communications and Training Plan	The Communications and Training Plan is typically delivered in PowerPoint format.
P4-03	Communications Toolkit and Implementation Plan	Communications content is delivered in Word format. The Implementation Plan is delivered in Excel format.
P4-04	Information Governance 201 / Records Coordinator (IG 201) Training Content	This training content will be delivered in PowerPoint format.
P4-05	Training Content for Microsoft 365, including SharePoint, Teams, OneDrive and Outlook	Microsoft 365 Training Content - Training module in PowerPoint format. SharePoint/Teams/ OneDrive/Outlook User Guides and appropriate Job Aids.
P4-06	Information Governance 201 Training Sessions for Records Coordinators  Finalized Training Content	Information Governance 201 training sessions: Includes session preparation, up to two training sessions for Records Coordinators and collection of participant feedback.  Finalized training content, based on Records Coordinator feedback.
P4-07	Microsoft 365 Training Sessions  Refined Training Content	Microsoft 365 Training Sessions: Includes two 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.
P4-08	Weekly Meetings, Status Reports, and Other Communications	Weekly Status Reports, utilizing the status report template format approved in project step P1-01.

Specific steps include:

*Scoping of Change Management Activities* - Contoural will meet with WV-STO stakeholders to understand the effort needed to develop change management materials. Discussion topics will include:

- Audience(s) to receive change management
- How change management communications are delivered
- What training options are available/desired (computer-based, corporate trainers, etc.)
- Format of communications and training content
- Potential pilot group participants to preview training content

*Develop a Communications and Training Plan* - Contoural will develop a Communications and Training Plan that provides the framework for change management activities. Components of the Communications and Training Plan include:

- Purpose and objectives of change management program
- Success criteria
- Audience segments
- Communication and training delivery vehicles
- Recommended timing of communication and training activities

*Develop Communications Toolkit and Implementation Plan* - Contoural will develop a Communications Toolkit and Implementation Plan to guide WV-STO in the rollout of the change management activities. The Toolkit/Implementation Plan will include:

- Communications Content for management and employees, designed to provide awareness of program rollout and its importance to the organization.
- Communications Implementation Plan that identifies change management events, objectives, target audience(s), and responsibilities

*Develop Information Governance 201/Records Coordinator (IG 201) Training Content* - Contoural will create training content specifically aimed at WV-STO Records Coordinators, to educate them on their role, responsibilities, and required activities. The training may also include advanced topics based on WV-STO's Information Governance program documentation, with tactical "how-to" instructions on supporting WV-STO employees with Information Governance-related activities.

*Develop Training Content for Microsoft 365, including SharePoint, Teams, OneDrive and Outlook* - Contoural will create content that will utilize in-person, online training or other communication methods to educate WV-STO staff on Microsoft 365/SharePoint/Teams/ OneDrive/Outlook usage and policy compliance, 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 two (2) Information Governance 201/Records Coordinator Training Sessions and Refine Training Content* - Contoural will conduct up to two (2) Information Governance 201 / Records Coordinator training sessions with identified Records Coordinators. This may be completed via webinar, recorded training with live Q&A, via WV-STO's LMS or other method as agreed upon.

Following the training session(s), Contoural will refine the final training content based on feedback received.

*Conduct two (2) Microsoft 365 Training Sessions and Refine Training Content* - Contoural will conduct two (2) Microsoft 365 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 WV-STO to adapt the Training Content for use in WV-STO's LMS, if desired."

## Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
Project 4 - Change Management, Communications and Training		
P4-01	Scoping of Change Management Activities	Stakeholders will include core team members and those responsible for corporate change management initiatives (if any), including Corporate Communications and Training staff.
P4-02	Develop a Communications and Training Plan	
P4-03	Develop Communications Toolkit and Implementation Plan	
P4-04	Develop Information Governance 201 / Records Coordinator (IG 201) Training Content	<p>The IG 201 training materials are designed to be delivered live, either in-person or online, by Contoural consultants.</p> <p>Assumes Contoural will develop content in a static PowerPoint format using a WV-STO-branded template. If desired, the PowerPoint content can be converted to a SCORM-compliant file appropriate for loading into WV-STO's learning management system (LMS). Assumes Contoural will deliver training content in English only, and that any translation work or cost is the responsibility of WV-STO. Additional effort will require a Change Order. Examples of additional effort include:</p> <ul style="list-style-type: none"> <li>- Voiceover track for LMS training content</li> <li>- Animations or advanced graphics requirements</li> <li>- Additional interactivity or functionality</li> <li>- Other training content including FAQs and job aids</li> </ul> <p>It is intended that this training content will be appropriate for use with all current as well as newly appointed Records Coordinators.</p>
P4-05	Develop Training Content for Microsoft 365, including SharePoint, Teams, OneDrive and Outlook	<p>Assumes that all training content will be created/delivered in PowerPoint and that WV-STO will provide the appropriate internal templates, where applicable.</p> <p>Assumes that deliverables will be created in English only.</p> <p>This all-employee training module with content developed in a static PowerPoint format can be handed off to the WV-STO 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.</p> <p>Other optional Training content could include: Step By Step Guides, End User Communications, FAQ's, Usage Guidelines Contoural to work with WV-STO Training staff to determine appropriate formats. Any of this optional Training content would require additional hours.</p>
P4-06	Conduct two (2) Information Governance 201 / Records Coordinator Training Sessions  Refine Training Content	<p>Assumes two training sessions, delivered in English. Additional training sessions via Change Order.</p> <p>Assumes WV-STO has identified Records Coordinators to participate in the training activities.</p>

<p>P4-07</p>	<p>Conduct two (2) Microsoft 365 Training Sessions</p> <p>Refine Training Content</p>	<p>Assumes two training sessions, with Microsoft 365 Training Content, delivered in English. Additional Training Sessions can be made available via Change Order.</p> <p>Assumes WV-STO will execute training sessions for enterprise-wide rollout.</p> <p>Contoural will guide WV-STO on how to best execute/test the Training Content and vehicles within the initial training group.</p>
<p>P4-08</p>	<p>Meetings and Communications</p>	<p>Assumes 2 hours per week per project engagement length. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective.</p> <p>Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting with core team members.</p>

## Project 5a - Paper Reduction - Go Forward Strategy

This project will resolve long-standing questions regarding the creation and retention of paper when an electronic record exists. Change operational procedures to eliminate paper or prevent the creation of paper when electronic records exist.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 5a - Paper Reduction - Go Forward Strategy		
P5a-01	6	Project Planning and Kickoff
P5a-02	8	Collect and Review existing Policy and Procedural Documentation on Paper Records Management, Offsite Records Storage, and Scanning/Imaging Operations
P5a-03	30	Conduct Paper Process Interview Sessions
P5a-04	30	Create a Paper Reduction Assessment Report
P5a-05	24	Develop Proposed Strategy and High-Level Workflow Changes for Paper and Scanned Records and Information Creation and Reduction
P5a-06	10	Review and Revise Deliverables
P5a-07	8	Meetings and Communications
	116	Estimated Total Hours - Project 5a

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 5a - Paper Reduction - Go Forward Strategy		
P5a-01	Paper Remediation Strategy Scoping Exercise	The information collected during this task will inform the development of the Paper Reduction Assessment Report.
P5a-02	Review of existing Paper Records Management Policies, Procedures and Offsite Inventories	The information gathered from the discussions and review of existing documentation will inform the downstream deliverables and the scope of recommendations.
P5a-03	Interview Sessions	The information gathered from the discussions and review of existing documentation will inform the downstream deliverables and the scope of recommendations.
P5a-04	Paper Reduction Assessment Report	Paper Reduction Assessment Report: Documentation of current document capture and scanning operations in corporate and business unit functions, including requirements from business users for reducing volume of paper documents in the workplace.
P5a-05	Scanning Standards and Criteria  Proposed Strategy and High-Level Workflow for Paper and Scanned Records and Information Processes and Management	Scanning Standards and Criteria - Standard operating procedures for scanning operations across the WV-STO enterprise, including the mechanics of both capture and format of paper to digital processes.  Proposed Strategy and High-Level Workflow for Paper and Scanned Records and Information Processes and Management - A Word document that will address at a high level how WV-STO will digitize records/reduce the volume of paper records through data capture and/or scanning through the full life cycle of information, from initial creation to final disposition. This document will include narrative descriptions of strategic goals, objectives, roles and responsibilities, governance and usage guidelines for repositories involved in the overall strategy, including target storage repositories. This design will include existing infrastructure and may also include previously purchased but not deployed components, as well as upgraded versions of some software and infrastructure or purchase of new technology/outside vendor capture and storage services as options.
P5a-06	Revised Paper Reduction Assessment Report	Contoural revisions to the Paper Reduction Assessment Report, based on review feedback.
P5a-07	Weekly Meetings, Status Reports, and Other Communications	Weekly Status Reports, utilizing the status report template format approved in project step P1-01.



Specific steps include:

*Project Planning and Kickoff* - Contoural will meet with WV-STO stakeholders to understand the scope of offsite records to be identified and remediated. Discussions will include:

- Number of offsite locations
- Whether paper is stored with different offsite vendors
- Volume of paper records to be identified/remediated
- Current state of boxed records, using existing inventory information

*Collect and Review existing Policy and Procedural Documentation on Paper Records Management, Offsite Records Storage, and Scanning/Imaging Operations* - Contoural will collect and Review existing Policy and Procedural Documentation on Paper Records Management, Offsite Records Storage, and Scanning/Imaging Operations, as well as documentation of current inventories of offsite paper records storage - to understand the current state of paper records creation and management, offsite records storage, and batch or ad hoc scanning/imaging operations, and any policies or guidelines that will influence future strategies.

*Conduct Paper Process Interview Sessions* - Contoural will determine Legal, Information Governance, Records Management and Privacy/Security Scanning Requirements, including determining the appropriate go-forward strategy for capture, ownership, retention, and disposal of scanned documents or electronic data that typically originates and/or is printed to paper. Includes information gathering meetings with Legal, IT, Information Governance/Records Management, Information Security, Privacy, Compliance, and participants from WV-STO's departments and business functions, as needed.

An additional aspect of this task will be to determine the optimal usage of existing technology and potential new scanning/storage technology to help inform the go-forward strategy for data capture and scanning operations, and the appropriate processes and procedures for implementing the strategy and solution(s).

*Create a Paper Reduction Assessment Report* - Contoural will compile information collected and document the current state of paper records at WV-STO. The report will include recommendations on opportunities to reduce paper volume and to improve paper management processes across the organization.

*Develop Proposed Strategy and High-Level Workflow Changes for Paper and Scanned Records and Information Creation and Reduction* - Contoural will develop Proposed Strategy and High-Level Workflow Changes for Paper and Scanned Records and Information Creation and Reduction - Based on the information compiled during review with Legal and key business representatives, Contoural will create a high-level strategic plan/general framework for reducing the volume of paper records within the company, through standardized data capture and/or scanning processes. This strategy will describe the flow of information from initial receipt or creation of

records/information through the stages of collaboration, storage and retention management, and disposition.

Includes working with key business function stakeholders to identify record owners, triage of paper stores into discrete categories where possible, identifying what is classified, unclassified, high cost/risk/volume, what should be retained and/or is eligible to be destroyed.

*Review and Revise Deliverables* - Contoural will review the Paper Reduction Assessment Report with the core team and key stakeholders and make revisions based on feedback received.

### Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
Project 5a - Paper Reduction - Go Forward Strategy		
P5a-01	Project Planning and Kickoff	
P5a-02	Collect and Review existing Policy and Procedural Documentation on Paper Records Management, Offsite Records Storage, and Scanning/Imaging Operations	Assumes that Contoural will utilize existing inventories of paper records at in-scope locations identified in previous project work, including the type, volume, and age of paper records that are stored in offsite storage facilities, as well as sizable collections of paper records stored onsite that may be prime candidates for reduction or transitioning into digital storage environments. If this work is incomplete, additional hours may be required.
P5a-03	Conduct Paper Process Interview Sessions	Assumes fifteen (15) interviews. If additional interviews are required, a change order will be necessary.  Assumes that target interview/discussion participants will be identified in collaboration with the appropriate WV-STO team members.  Assumes that a small number of interviews/discussions with relevant stakeholders are sufficient to gather the required information, and that existing documentation will be collected and presented in a timely manner to Contoural for review and analysis. Lack of documentation or the need for additional interviews may increase the overall hours to complete this task.
P5a-04	Create a Paper Reduction Assessment Report	The Assessment Report will balance industry best practices with specific WV-STO requirements gathered during the interviews and meetings and leverage existing infrastructure components wherever possible but may contain additional components that will need to be added to complete the strategy.
P5a-05	Develop Proposed Strategy and High-Level Workflow Changes for Paper and Scanned Records and Information Creation and Reduction	The proposed strategy will balance industry best practices with specific WV-STO requirements gathered during the interviews and meetings and leverage existing infrastructure components wherever possible but may contain additional components that will need to be added to complete the strategy.
P5a-06	Review and Revise Deliverables	Assumes up to 2 review sessions with Core Team and Key Stakeholders and 1 revision cycle. Additional review and revision cycles may require additional hours.
P5a-07	Meetings and Communications	Assumes 2 hours per week per project engagement length. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective.  Contoural's standard practice is to review weekly status reports in an interactive, recurring weekly meeting with core team members.

## Project 5b - Paper Reduction - Legacy Cleanup

After reviewing for hold orders, this project provides assistance in the disposition of paper that is eligible based on the retention period, or that has been made redundant as a result of imaging.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 5b - Paper Reduction - Legacy Cleanup		
P5b-01	40	Develop Processes and Procedures for Paper Records Identification and Remediation Activities
P5b-02	24	Develop Paper Records Inventory Process
P5b-03	20	Conduct on-site Triage and Disposition Process
P5b-04	8	Weekly Status Meetings and Project Communications
	92	Estimated Total Hours - Project 5b

### Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 5b - Paper Reduction - Legacy Cleanup		
P5b-01	Paper Records Identification and Remediation Processes and Procedures	A set of instructions, job aids, decision trees, and other tools as agreed upon during the scoping exercise in Project 5a, delivered in Word, Excel, PowerPoint, or other appropriate format.
P5b-02	Paper Records Inventory Process, Forms/ Worksheets, Instructions/Job Aids, Training Materials  Target Functions/ Groups  Physical Storage Locations  WV-STO resources involved in moves.	Paper Records Inventory Process, Forms/Worksheets, Instructions/Job Aids, Training Materials - these materials provide the foundation for conducting a Paper Records Inventory, with supporting instructions and training materials to educate users on the process.  Target Functions/Groups - the groups that will need to conduct paper remediation activities, by function.  Physical Storage Locations - Locations will include existing office locations with room numbers, departments/functions, etc., and other physical location identifiers if known (e.g., cabinet numbers, shelf labels, etc.).  WV-STO resources involved - Resources sufficient to execute the phased inventory, triage, disposition review/approval, and physical handling of paper records in target offices and filing areas.
P5b-03	SME Assistance with triage and disposition process	Subject-Matter Expertise to be provided to the WV-STO core team as part of the triage and disposition process.
P5b-04	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Specific steps include:

*Develop Processes and Procedures for Paper Records Identification and Remediation Activities* - Contoural will develop processes and procedures to support the WV-STO team in paper records identification and remediation activities. The processes and procedures will instruct WV-STO users how to properly identify inactive records using the Record Retention Schedule, determine the disposition status of eligible paper records, and defensibly document the decision process.

*Develop Paper Records Inventory Process* - Contoural will prepare a recommended plan for conducting a paper records inventory, including processes, forms/worksheets, instructions/job aids, and training materials. With WV-STO input we will also identify recordkeeping groups/functions within the target facility as well as the existing paper records storage areas (file rooms, filing cabinets, etc.) that must be addressed. With Contoural's assistance, WV-STO will identify/appoint specific Filing Champions, SMEs and/or clerical support teams for each recordkeeping area identified.

*Conduct on-site Triage and Disposition Process* - Contoural will provide SME assistance for the on-site triage and disposition process, advising WV-STO in applying the procedures and processes developed in the previous step. Activities could include:

- Analysis of triage and cleanup results
- Developing reports on paper volumes destroyed
- Conducting a post-move review to confirm results
- Work to identify missing boxes and other outlying issues

### ***Project Assumptions and Notes***

Project Step	Task	Assumptions and Notes
Project 5b - Paper Reduction - Legacy Cleanup		
P5b-01	Develop Processes and Procedures for Paper Records Identification and Remediation Activities	Assumes one review and revision cycle with the WV-STO team.
P5b-02	Develop Paper Records Inventory Process	
P5b-03	Conduct on-site Triage and Disposition Process	Assumes WV-STO will be responsible for onsite triage and disposition activities. If WV-STO desires extended assistance, additional hours may be required.
P5b-04	Weekly Status Meetings and Project Communications	Hours calculation assumes 2 hours per week and 4 weeks of elapsed project engagement time. Assumes a WV-STO 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 6 - Privacy Assessment

This project compares WV-STO current Data Privacy policies and practices with minimum California Consumer Privacy Act requirements and identifies existing risks in those areas assessed. Develops a Gap Analysis, Remediation Plan and Strategic Roadmap. Provides an executive level presentation to review all findings and roadmap.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 6 - Privacy Assessment		
P6-01	4	Create Project Planning Documents and Execute Project Planning Call
P6-02	6	Review and Analyze Existing Privacy Policies and Procedures, and other supplied documentation
P6-03	20	Data Collection Interview Sessions
P6-04	25	Create Privacy Assessment Report
P6-05	25	Create Privacy Remediation Plan and Strategic Roadmap
P6-06	8	Create and Present an Executive Summary
P6-07	8	Weekly Status Meetings and Project Communications
	96	Estimated Total Hours - Project 6

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 6 - Privacy Assessment		
P6-01	Planning Meeting; Interview Preparation Documents; Document Request Checklist	Planning meeting; Document Request Checklist identifying documents and information to be collected if available (for review prior to on-site work); Sample Messaging and Project Overview documentation.
P6-02	Analysis of Existing Privacy Policies and Procedures, and other documentation	The information gathered from the review of existing documentation will inform the downstream deliverables.
P6-03	Operational, IT, and Business Function Interviews	The information gathered in the interview sessions will inform the downstream deliverables and the scope of recommendations.
P6-04	Privacy Assessment Report	A PowerPoint document that compares WV-STO current Data Privacy policies and practices with standard privacy requirements for the business jurisdiction and sector and identifies existing risks in those areas assessed. Areas typically addressed include: policies and procedures, privacy integration in business practices, privacy organizational structure, analysis of WV-STO personal information inventory, training and change management on privacy, risk management (including operational risk management and vendor management), notice and incident management, and privacy maintenance and monitoring activities.
P6-05	Privacy Remediation Plan and strategic Roadmap	A PowerPoint document that provides prioritized recommendations for addressing gaps in and improvements to the company's privacy program/framework, including near-term and medium-term investments for remediating specifically identified risks. It summarizes at a high level (Business and/or Corporate Function/Department view) other resource requirements, including personnel, with a description of appropriate roles and high-level cost estimates for technology investments (if any) required to address gaps found in the Assessment Report.
P6-06	Executive Summary Presentation	A PowerPoint deck suitable for presenting the Privacy Assessment Report and Remediation Plan/Strategic Roadmap deliverables to an executive sponsor/stakeholder audience.
P6-07	Weekly Project Communications and Updates	Weekly Project Communications and Updates, using status report template format approved in project step P1-1.

Specific steps include:

*Create Project Planning Documents and Execute Project Planning Call* - Contoural will prepare a Document Request Checklist and Interview Preparation Documents, followed by a Planning Meeting with WV-STO management team and other stakeholder(s) to: identify project team participants and establish roles and expectations for collaboration within the team; determine the schedule and logistics for interviews; review engagement elements at a high level, including deliverable content and estimated timeline (high level); verify the documents and other materials WV-STO will supply to Contoural; and identify participants for the data collection interview sessions.

*Review and Analyze Existing Privacy Policies and Procedures, and other supplied documentation* - Review and Analyze Existing Privacy Policies and Procedures and other privacy-related documents.

*Data Collection Interview Sessions* - Contoural will conduct up to 10 operational, IT, and business function data collection interview sessions. These discussions are intended to collect information about WV-STO current privacy practices. Interviews will be conducted with Legal, Privacy (if it exists), Risk, Information Security, Facilities, and other business functions/groups as identified by WV-STO and Contoural.

*Create Privacy Assessment Report* - Using the information gathered, Contoural will create a Privacy Assessment Report that summarizes strengths, weakness, gaps, key findings and best practices for privacy management.

*Create Privacy Remediation Plan and Strategic Roadmap* - Contoural will create a Privacy Remediation Plan and Roadmap showing recommended projects and activities to address gaps and risks found in the Assessment Report, and the major tasks and potential timelines for each, as an input to WV-STO decision-making and planning processes. The deliverable associated with this task consists of a time-lined roadmap, which frames the elements most appropriate for presentation to senior staff and executives for approval – including the business value of implementing the recommended investments in people, processes and technology. Task also includes review and revision with key stakeholders.

*Create and Present an Executive Summary* - Create and present an Executive Summary of the Privacy Assessment Report and the Privacy Remediation Plan and Strategic Roadmap to executive sponsors.

## Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
<b>Project 6 - Privacy Assessment</b>		
P6-01	Create Project Planning Documents and Execute Project Planning Call	<p>Assumes that the planning call will be conducted via conference call and that all core team members are able to attend.</p> <p>Contoural will track projects schedule against plan and report on this on a weekly basis.</p>
P6-02	Review and Analyze Existing Privacy Policies and Procedures, and other supplied documentation	<p>Assumes documents are available and provided in a usable electronic format.</p> <p>The review and analysis of information collected in the preparation steps is intended to inform Contoural of WV-STO's current operating environment. If the information is not available, Contoural does not expect or want WV-STO to create it, as the absence of this information is also an important data point.</p>
P6-03	Data Collection Interview Sessions	<p>Assumes that WV-STO will work with Contoural to identify appropriate interview groups and participants. Each interview will range from a single person up to five people.</p> <p>Additional Interview Sessions will require a Change Order.</p>
P6-04	Create Privacy Assessment Report	
P6-05	Create Privacy Remediation Plan and Strategic Roadmap	
P6-06	Create and Present an Executive Summary	
P6-07	Weekly Status Meetings and Project Communications	<p>Hours calculation assumes 2 hours per week. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.</p> <p>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.</p>



## Project 7a - Unstructured Data Placement and Email Management Strategy

This project provides a comprehensive framework for defensible, compliant management and storage of unstructured data in M365 and other repositories. A Data Placement Strategy helps companies determine where unstructured information will live, how it will be protected, how retention will be enforced, and how users will collaborate using the M365 components of email, OneDrive, SharePoint and Teams. This approach will present best practices options and build consensus of stakeholders to produce a recommended configuration of M365 for retention, sensitive data management and governance.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
<b>Project 7a - Unstructured Data Placement and Email Management Strategy</b>		
P7a-01	6	Conduct Project Planning, Collect and Review Existing Documentation on Unstructured Repository Infrastructure and Applicable Policies
P7a-02	20	Determine Current Infrastructure Capabilities
P7a-03	24	Develop Framework Options for Data Placement Workshop and review with stakeholders as required
P7a-04	8	Conduct Data Placement Strategy Workshop
P7a-05	30	Create the Data Placement Strategy
P7a-06	8	Review and Revise Data Placement Strategy
P7a-07	16	Create M365 Configuration and Implementation Decision Matrix
P7a-08	6	Create an Email Retention Policy
P7a-09	8	Review the Decision Matrix and Email Policy deliverables
P7a-10	8	Create and Present Executive Summary
P7a-11	12	Weekly Status Meetings and Project Communications
	146	Estimated Total Hours - Project 7a

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
<b>Project 7a - Unstructured Data Placement and Email Management Strategy</b>		
P7a-01	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.
P7a-02	Infrastructure Capabilities Discussions	The information gathered in the discussions will inform the downstream deliverables and the scope of recommendations.
P7a-03	Data Placement Strategy Options and Data Placement Workshop Schedule and Participants	Data Placement Strategy Options - A PowerPoint deck for workshop facilitation, which presents the possible options for managing information and email through its life cycle from initial creation to final disposition. This document will include options for roles and responsibilities, governance, change management and usage guidelines for repositories involved in the overall strategy. The Data Placement Workshop Schedule and Participants will be determined in this step.
P7a-04	Data Placement Workshop	Data Placement Workshop - A collaborative session with the WV-STO core team and appropriate stakeholders to determine goals, define key requirements, and gain preliminary consensus for Data Placement Strategy options.
P7a-05	Recommended Data Placement Strategy	Recommended Data Placement Strategy to outline at a high level how WV-STO will use unstructured electronic information repositories to manage information through its life cycle from initial creation to final disposition. This deliverable will include descriptions of framework goals and objectives and end state vision, required technology or technology enhancements, organizational roles and responsibilities, governance and usage guidelines for repositories involved in the overall strategy, implementation projects required, and an example roadmap of those projects in alignment with WV-STO future plans.
P7a-06	Contoural Revisions of the Data Placement Strategy	Contoural revisions of the Data Placement Strategy Deliverables based on core team review inputs.
P7a-07	Finalized Settings and Configuration Decision Matrix;	The Settings and Configuration Decision Matrix will document the decisions required to fully configure and implement an unstructured data placement strategy in the required repositories. This will include policy settings, implementation approaches, change management and rollout steps to guide IT and Records Management to a successful rollout of the strategy.
P7a-08	Email Retention Policy	Email Retention Policy.
P7a-09	Contoural revisions to Decision Matrix and Email Management Strategy	Contoural revisions to Decision Matrix and Email Policy, based on review feedback.
P7a-10	Executive Summary Presentation	Executive Summary Presentation: A PowerPoint deck suitable for presenting the Data Placement Strategy deliverables to an executive sponsor/stakeholder audience.
P7a-11	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Specific steps include:

*Conduct Project Planning, Collect and Review Existing Documentation on Unstructured Repository Infrastructure and Applicable Policies* - Contoural will meet with WV-STO stakeholders to discuss project objectives for the Records, Privacy and Data Governance Data Placement Strategy, including Microsoft 365, file shares, and desktop environments, a set of high-level goals for the workshops to drive desired outcomes.

*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 future strategies. Contoural will leverage documentation obtained from other projects to reduce duplication of effort.

*Determine Current Infrastructure Capabilities* - Contoural will determine current infrastructure capabilities, primary content types and Information Management requirements (including security and privacy) for Unstructured Electronic Content, including personal File Shares, group File Shares, workstations, email, mobile devices, SharePoint, Document Management Systems, and other unstructured repositories with the goal of determining the appropriate go forward strategy options for ownership, collaboration, retention, and disposal of data. An additional aspect of this task will be to determine use cases and technology capabilities to inform the go-forward strategy for technology, and the appropriate processes and procedures for implementing the strategy and solution(s). This will be done through Interviews with identified stakeholders and repository owners in IT, Legal, Security, Privacy and/or Compliance to understand current practices, future technology plans, and initial identification of requirements for management of unstructured information.

*Develop Framework Options for Data Placement Workshop and review with stakeholders as required* - Contoural will develop Framework Options for Data Placement - Based on the information gathered during the previous project steps, Contoural will create high-level strategic options for how the various repositories will be used to manage content throughout its lifecycle, from initial receipt or creation through subsequent stages of reference, collaboration, maintenance and use, finalization, and disposition. These options will outline potential approaches to the placement and management of electronic data/content and email. As required Contoural will meet with stakeholders to review the proposed strategy options prior to the workshop and identify the desired workshop participants and schedules.

*Conduct Data Placement Strategy Workshop* - Contoural will lead a workshop designed to explore options for managing and controlling content including: document creation, collaboration, storage, disposition, repository usage, level of control and governance, records management, Legal Hold/eDiscovery, desired behaviors, and infrastructure directions. Contoural recommends that one workshop, of approximately 4 hours, will be required to fully explore all options and build preliminary consensus on a desired framework for unstructured content. The workshop will be attended by key stakeholders (core team), and potentially business representatives to gather

feedback and build consensus for core team decisions. Contoural will be responsible for preparing all materials for the workshops, guiding the participants through the strategy design process, and collecting and collating all consensus and directional statements from the workshop.

*Create the Data Placement Strategy* - Based on the information gathered and decisions made during the Workshop, Contoural will create a high-level general framework for how the various repositories will be used to manage unstructured content throughout its lifecycle, from initial receipt or creation through subsequent stages of reference, collaboration, maintenance and use, finalization, and disposition. This framework will outline an overall approach to the placement and management of unstructured electronic data/content.

*Review and Revise Data Placement Strategy* - Contoural will review and revise the Data Placement Strategy deliverables with the core team individually and as a group and make required revisions.

*Create M365 Configuration and Implementation Decision Matrix* - Contoural will create an M365 Configuration and Implementation Decision Matrix: This document will summarize all the major settings, with a column for the Contoural recommendation, and the final decision by WV-STO. This document will be used to facilitate a decision meeting by the core team to document the settings required in all repositories used in the email solution.

*Create an Email Retention Policy* - Contoural will create an Email Retention Policy based on the final retention settings established in the Settings and Configuration Matrix, draft Email Policy language to be inserted into the WV-STO Records Retention Policy, which memorializes all email retention configuration settings.

*Review the Decision Matrix and Email Policy deliverables* - Contoural will review the Decision Matrix and Email Policy deliverables with the core team and key stakeholders.

*Create and Present Executive Summary* - Contoural will create and present an Executive Summary of Data Placement Strategy to executive sponsors.

## Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
<b>Project 7a - Unstructured Data Placement and Email Management Strategy</b>		
P7a-01	Conduct Project Planning, Collect and Review Existing Documentation on Unstructured Repository Infrastructure and Applicable Policies	<p>Assumes Key Stakeholders may include Legal, IT, Records Management, Privacy, Information Security and Compliance.</p> <p>Data Placement Strategy - In this project, Contoural will develop a management framework for unstructured electronic information (an enterprise framework) which will outline an overall approach for the placement and management/control of electronic records, including unstructured data, email documents/content, and other relevant electronically stored data/content. Records Retention, privacy and security requirements will be taken into account in order to support broader retention, disposition and compliance efforts. For the purposes of the descriptions of the project steps in this proposal, 'data', 'content, and 'information' are used interchangeably. In scope repositories can include Microsoft 365, File Shares, email, File sharing applications and other Unstructured data repositories that may serve as storage/management locations for electronic files.</p>
P7a-02	Determine Current Infrastructure Capabilities	<p>Assumes that WV-STO corporate stakeholders will participate in discussions and be able to provide concise information around the use and future vision of Unstructured Electronic Information content and repositories. Assumes that WV-STO will identify discussion participants. Assumes discussions will be necessary with Corporate IT, Legal, Records Management and Compliance. Hours estimated for this task assume that previous data collection from the assessment can be leveraged. Assumes that a small number of discussions are sufficient to gather the required information, and that existing documentation will be collected and presented in a timely manner to Contoural for review and analysis. Contoural will leverage relevant documentation received in other projects if applicable.</p>
P7a-03	Develop Framework Options for Data Placement Workshop and review with stakeholders as required	<p>Assumes that this deliverable will be focused primarily on Microsoft 365 utilization.</p>
P7a-04	Conduct Data Placement Strategy Workshop	<p>In most cases a single 4-hour workshop is sufficient for this step. Assumes that no more than 1 workshop of 4 hours will be required to develop a common understanding of infrastructure and solution options and to make recommendations and document consensus. A second workshop, if necessary, could include business representatives to gather feedback, build consensus for core team decisions and to validate recommendations. If desired, this additional workshop would require a change order.</p> <p>If one or more key stakeholders are not able to attend the initial workshop, then Contoural may need to conduct separate discussions/meetings with those individual stakeholders to review options, workshop results and gain consensus for the final framework.</p>
P7a-05	Create the Data Placement Strategy	<p>Assumes that this deliverable will be produced based on the consensus of the stakeholders involved in the workshop, and will balance industry best practices with specific requirements gathered during the workshop and leverage existing/planned infrastructure components wherever possible, but may contain additional components that will need to be added to complete the strategy, and may include previously purchased but not deployed components, as well as upgraded versions of some software and infrastructure.</p>
P7a-06	Review and Revise Data Placement Strategy	<p>Assumes 1 or 2 meetings to discuss the deliverables, and 1 minor revision cycle.</p>
P7a-07	Create M365 Configuration and Implementation Decision Matrix	<p>The estimated hours for this project step can vary based on complexity.</p>

P7a-08	Create an Email Retention Policy	
P7a-09	Review the Decision Matrix and Email Policy deliverables	Assumes up to 2 review sessions with Core Team and Key Stakeholders and 1 revision cycle. Additional review and revision cycles may require additional hours.
P7a-10	Create and Present Executive Summary	Assumes 1 review cycle and 1 update and 1 in-person presentation to executive sponsors.
P7a-11	Weekly Status Meetings and Project Communications	<p>Hours calculation assumes 2 hours per week and 6 weeks of elapsed project engagement time. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.</p> <p>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.</p>

## Project 7b - Microsoft 365 (M365) Knowledge Transfer and Configuration

This project provides a knowledge transfer of how to use M365 capabilities for information governance and establishes the foundation for future migration of data into M365 through configuration of information management policies or retention labels.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 7b - Microsoft 365 Knowledge Transfer and Configuration		
P7b-01	10	Knowledge Transfer - M365 Controls
P7b-02	20	Onsite Configuration and Follow-up Documentation
P7b-03	4	Weekly Status Meetings and Project Communications
	34	Estimated Total Hours - Project 7b

### Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 7b - Microsoft 365 Knowledge Transfer and Configuration		
P7b-01	Customized Sandbox in M365	Customized Sandbox in M365 built based on strategy recommended in Project 2 (Data Placement Strategy), along with demonstration and knowledge transfer.
P7b-02	On-Site Configuration and Build Documentation	Foundation established in WV-STO's M365 environment, sample site collection in SharePoint Online, Build Documentation for future implementation by WV-STO.
P7b-03	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Specific steps include:

*Knowledge Transfer - M365 Controls* - Contoural will demonstrate various capabilities in M365 for retention management, and sensitivity tagging in M365. Using either a Contoural or WV-STO Sandbox, the various capabilities of M365 for managing the information lifecycle of documents will be demonstrated and explained, along with an administrator's view of how to manage and maintain the configuration settings. This overview is good for both System Administrators as well as Stakeholders in Legal, Records Management, Information Security and Employee Experience.

*Onsite Configuration and Follow-up Documentation* - This task is an on-site, hands-on session with WV-STO personnel to configure the baseline metadata, content hub, templates, retention labels and/or information management policies in M365 for future use in provisioning M365 for retention. This may include working with SharePoint Online, OneDrive, Email, and the Security and Compliance Center depending on the overall strategy established in Project 1 (Data Placement Strategy). Documentation will be created after the session to allow WV-STO to extend the configuration for future implementation.

### **Project Assumptions and Notes**

Project Step	Task	Assumptions and Notes
<b>Project 7b - Microsoft 365 Knowledge Transfer and Configuration</b>		
P7b-01	Knowledge Transfer - M365 Controls	This task may be done onsite in conjunction with the configuration of WV-STO's M365 environment, or prior to the on-site visit to set direction and provide orientation to M365 capabilities. This task includes setup of a sample demonstration site in Contoural's Sandbox environment.
P7b-02	Onsite Configuration and Follow-up Documentation	This task assumes two full days on-site with the WV-STO team, and the delivery of a build document after the hands-on session.
P7b-03	Weekly Status Meetings and Project Communications	Hours calculation assumes 2 hours per week and 2 weeks of elapsed project engagement time. Assumes a WV-STO 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 7c - Unstructured Data Strategy Implementation - Pilot Groups

This project is the implementation of the M365 strategy and provides "boots on the ground" production support for execution of the strategy across multiple business units. This initial estimate assumes working with 5 (five) workgroups (individual functional areas or departments) that will serve as a pilot for the broader effort. Upon completion WV-STO will have the knowledge, processes and materials to implement the strategy across the enterprise.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 7c - Unstructured Data Strategy Implementation - Pilot Groups		
P7c-01	6	Kickoff meeting with WV-STO stakeholders to discuss implementation and the desired scope for the initial pilot groups
P7c-02	10	Create Department Workbooks for Information Gathering Sessions
P7c-03	15	Conduct Initial Mapping Sessions with Business Department personnel
P7c-04	10	Create a Proposed Filing Structure
P7c-05	10	Validate Filing Structure with Business Department/Group personnel
P7c-06	10	Create Migration Plan and Workbook
P7c-07	10	Validate Migration Plan with Business Department/Group personnel
P7c-08	30	Create Go-Forward Playbook for repeatable implementation
P7c-09	10	Weekly Status Meetings and Project Communications
	111	Estimated Total Hours - Project 7c

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
<b>Project 7c - Unstructured Data Strategy Implementation - Pilot Groups</b>		
P7c-01	Project Kickoff Deck, Recommendations for defining ROT, and Project Plan for Pilot Implementation	Initial Kickoff Deck, Pilot Scope and Project Plan for Pilot Implementation. Scanning Instructions and initial Pilot workgroup communications.
P7c-02	Department/Business Function Content Collection Workbook	Department/Business Function Content Collection Workbook: Depending on the tool used and level of detail desired, Contoural will produce a set of workbooks to assist in mapping the current file content for each business unit and engaging them in a cleanup and mapping exercise.
P7c-03	Completed Mapping Workbooks	Completed Mapping Workbooks are a set of Excel Spreadsheets with recommended libraries for each department/group. These will include the name, record retention code and any required metadata for event-based retention.
P7c-04	Preliminary Filing Structure	Proposed Filing Structure for all Departments or groups and for the creation of libraries available in the target repository or folders in SharePoint for records and information placement and disposition. This will include available metadata for retention, security classification and final disposition where it can be identified by the business departments/groups.
P7c-05	Final Filing Structure	Final filling Structure for all Departments/Groups and their records for handoff to IT for site and library creation. This will include all metadata for retention, security classification and final disposition, as well as an approach for security permissions.
P7c-06	Migration Workbook	Preliminary Migration Workbook for use by WV-STO IT to migrate required information from existing content repositories to the target repository (SharePoint or other ECM system).
P7c-07	Final Migration Plan	Final migration plan for moving unstructured content to the target repository after business unit validation.
P7c-08	Implementation Playbook	Implement Playbook with associated documents linked into a step by implementation framework to be used in future implementations and migrations.
P7c-09	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Specific steps include:

*Kickoff meeting with WV-STO stakeholders to discuss implementation and the desired scope for the initial pilot groups* - Contoural will meet with WV-STO stakeholders to discuss and understand which repositories and business groups will be in scope for the Pilot. Explain the methodology and process steps behind the implementation of the strategy and prepare for initial contact with the Departments/Workgroups who will participate in the activity.

*Create Department Workbooks for Information Gathering Sessions* - Contoural will create Department/Business Function Workbooks for Information Gathering Sessions using a set of scans provided by WV-STO, Contoural will produce a set of workbooks to assist in mapping the current file content for each in-scope department/group and engage them in a cleanup and mapping exercise.

*Conduct Initial Mapping Sessions with Business Department personnel* - Contoural will conduct Initial Mapping Sessions with Business Function personnel: To determine the record retention libraries needed for each department/group based on SharePoint/File Share storage and to establish cleanup responsibilities for existing repositories. These activities will be facilitated by Contoural but may be attended by WV-STO internal Records Management and/or Records Coordinators/Stewards.

*Create a Proposed Filing Structure* - Contoural will create a Proposed Filing Structure for each department/group including sites, sub-sites and libraries as required.

*Validate Filing Structure with Business Department/Group personnel* - Contoural will validate Filing Structure with Business Function/Group personnel in a meeting with each department/group to get their final buy-in and validation of the Filing Structure and mapping and cleanup activities in the mapping workbook. This task will include any changes to the structures, as well as discussions regarding permissions for the target repository.

*Create Migration Plan and Workbook* - Contoural will create Final Migration Plan and Workbook to provide the necessary input for WV-STO IT to run migration tools on the backend for movement of data between current repositories and the target repository (SharePoint or other ECM system).

*Validate Migration Plan with Business Department/Group personnel* - Contoural will validate Migration Plan with Business Function/Group personnel as a final meeting with each department/group to ensure that they have cleaned-up their current content to be ready for migration, that the current file structure is ready for migration, and that permissions and metadata are as desired.

*Create Go-Forward Playbook for repeatable implementation* - This activity will take all the communications, presentations and process definitions and place them in a step-by-step framework that WV-STO can use to run future implementations across the enterprise.

## Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
<b>Project 7c - Unstructured Data Strategy Implementation - Pilot Groups</b>		
P7c-01	Kickoff meeting with WV-STO stakeholders to discuss implementation and the desired scope for the initial pilot groups	<p>This initial estimate assumes working with 5 (five) groups that will serve as a pilot for the broader effort across the company. Assumes 12 hours of Contoural Consultant time per workgroup to complete all steps once this is a repeatable process. These numbers could be adjusted if WV-STO has a different count of the number of groups/directories to be piloted. This also assumes that WV-STO will execute software configuration and data migration.</p> <p>Assumes that in-scope repositories may include Email, File Shares, SharePoint and Teams, both on-premises and in M365.</p> <p>Assumes Key Stakeholders may include Legal, IT, Records Management, Privacy, Information Security and Compliance as well as Business Unit participants in the pilot.</p> <p>Does not include actual migration of data and information.</p>
P7c-02	Create Department Workbooks for Information Gathering Sessions	<p>Assumes that locations will be determined in collaboration with the core WV-STO team.</p> <p>Mapping Software: Contoural suggests clients use TreeSize Professional for this analysis activity and could require WV-STO to purchase this product if it is not already on site. The enterprise license cost for 5 concurrent licenses is \$199.00. Contoural has built extensive back end analysis tools to work with the output from this toolset. Note that the scans themselves will be run by WV-STO employees, and Contoural will only work with the XML output files provided by the tool. Contoural does not need or want access to the network itself for this activity.</p>
P7c-03	Conduct Initial Mapping Sessions with Business Department personnel	Assumes that interview sessions with each department/group will average one hour but may sometimes take as much as two hours.
P7c-04	Create a Proposed Filing Structure	
P7c-05	Validate Filing Structure with Business Department/Group personnel	Assumes a 30–60-minute validation exercise with in-scope Business Departments/Groups
P7c-06	Create Migration Plan and Workbook	
P7c-07	Validate Migration Plan with Business Department/Group personnel	Assumes a 30–60-minute validation exercise with in-scope Business Departments/Groups
P7c-08	Create Go-Forward Playbook for repeatable implementation	Assumes documents in the Playbook can be stored at WV-STO in a method which allows linking of individual documents into a master Playbook. (File Share Directory or SharePoint Site)
P7c-09	Weekly Status Meetings and Project Communications	<p>Hours calculation assumes 2 hours per week and 5 weeks of elapsed project engagement time. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.</p> <p>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.</p>

## Project 8a - Structured Data Retention and Remediation Strategy

This project provides analysis of Structured Data and development of a strategy for the utilization and management of structured electronic repositories.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 8a - Structured Data Retention and Remediation Strategy		
P8a-01	30	Create Structured System Survey and collect data for up to 30 Structured Applications
P8a-02	30	Conduct up to 10 Structured Systems validation interviews
P8a-03	40	Create a Structured Data Management Strategy
P8a-04	10	Review and revise the Structured Data Management Strategy
P8a-05	12	Weekly Status Meetings and Project Communications
	122	Estimated Total Hours - Project 8a

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 8a - Structured Data Retention and Remediation Strategy		
P8a-01	Structured System Survey  Structured Application Inventory	Structured System Survey - This collection survey will contain agreed upon attributes for each system to be filled out by business and system owners. Information gathered may include, sizing, architecture, retention capabilities, aging, ownership, record types, security classification, privacy classification, eDiscovery capabilities, archiving, backups and other attributes as defined by WV-STO.  Structured Application Inventory - The design and creation of a SharePoint list and/or a schema for an existing WV-STO repository to hold data collected from the surveys and validated in the following task.
P8a-02	Validated Structured Application Inventory	Validated Structured Application Inventory: This inventory will contain agreed upon attributes for each system to be filled out by business and system owners. Information gathered may include, sizing, architecture, retention capabilities, aging, ownership, record types, security classification, privacy classification, eDiscovery capabilities, archiving, backups and other attributes as defined by WV-STO.
P8a-03	Structured Data Management Strategy	Structured Data Management Strategy - that will address at a high level how WV-STO will utilize structured electronic repositories and additional toolsets to manage information through its life cycle from initial creation to final disposition. This deliverable will include descriptions of strategic goals and objectives and end state vision, organizational roles and responsibilities, governance and usage guidelines for repositories involved in the overall strategy, including native application purges and archives, 3rd party archive and purge tools, data warehouses and other toolsets to accomplish the goals of the overall strategy.
P8a-04	Revised Structured Data Management Strategy	Revised Structured Data Management Strategy based on core team review inputs.
P8a-05	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Specific steps include:

*Create Structured System Survey and collect data for up to 30 Structured Applications* - This task will determine the application repository attributes to be collected, create a survey questionnaire for these attributes, create a SharePoint list or existing WV-STO repository to hold the information, and populate the repository with returned questionnaires.

*Conduct up to 10 Structured Systems validation interviews* - Contoural will conduct up to 10 Structured Systems validation interviews.

*Create a Structured Data Management Strategy* - Based on the current state of the Structured Application Inventory, Contoural will create a management and governance strategy for Structured Data Applications. This strategy will take into account native retention and purge capabilities, existing classification schemas, existing management processes and compare them with best practices approaches for Structured data management and governance. This strategy will attempt to use existing technology but may include recommendations for enhanced or new technologies to close gaps between existing capabilities and recommended best practices.

*Review and revise the Structured Data Management Strategy* - Contoural will review and revise the Structured Data Management Strategy - with the core team individually and as a group and make required revisions.

## Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
Project 8a - Structured Data Retention and Remediation Strategy		
P8a-01	Create Structured System Survey and collect data for up to 30 Structured Applications	<p>This activity assumes that Contoural will use a standard repository such as SharePoint to store collected information from WV-STO business unit data owners and IT system owners. The applications to be selected will come from current WV-STO inventories, and those systems identified in the Assessment project. It assumes that 30 repositories is the proper number to adequately cover the top repositories at WV-STO.</p> <p>Up front document collection and meetings with project stakeholders to select repositories and identify business data owners and IT system owners will be required to complete this task. It is anticipated that Contoural will have some starting point from repositories identified in the Assessment project, but additional collections and discussions will be required in this step.</p>
P8a-02	Conduct up to 10 Structured Systems validation interviews	<p>This assumes that 10 interviews are sufficient to gather or validate the required information, and that a high percentage of the surveys in the preceding task will have been completed and returned in a timely manner to Contoural for review prior to this step. Lack of completed survey questionnaires or the need for additional interviews may increase the overall hours and necessitate a change order to complete this task.</p>
P8a-03	Create a Structured Data Management Strategy	<p>This deliverable will balance industry best practices with specific requirements gathered during the previous tasks and leverage existing infrastructure components wherever possible but may contain additional components that will need to be added to complete the strategy.</p> <p>This strategy will leverage existing infrastructure, and may include previously purchased but not deployed components, as well as upgraded versions of some software and infrastructure. Additional toolsets may be required to meet best practice management goals.</p>
P8a-04	Review and revise the Structured Data Management Strategy	<p>This assumes 2 to 4 meetings to discuss the deliverables, and 1 - 2 minor revision cycles.</p>
P8a-05	Weekly Status Meetings and Project Communications	<p>Hours calculation assumes 2 hours per week and 6 weeks of elapsed project engagement time. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.</p> <p>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.</p>



## Project 9a - In-House Discovery and FOIA Response Program

This project provides organizational and information guidance and support to those involved in litigation response and FOIA requests. The project establishes how an organization approaches litigation, its discovery posture and response capabilities, internally and externally. The purpose of having a DRP (and plan of action – processes and procedures) is to implement a cohesive, well documented and defensible (and explainable) process to reduce the risk of sanctions for spoliation or improper handling of electronic evidence. Three benefits of the DRP are streamlined response coordination, improved process efficiencies, and reduced spoliation risk and discovery costs.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
<b>Project 9a - In-House Discovery and FOIA Response Program</b>		
P9a-01	30	Develop a Discovery Response Program (DRP) Plan
P9a-02	30	Develop a DRP Workbook and Workflows
P9a-03	4	Develop Discovery and FOIA Templates
P9a-04	4	Develop Defensible Practice Documents
P9a-05	4	Create Discovery Conference Preparation Guide
P9a-06	4	Develop Protocols for eDiscovery and FOIA Request Phases
P9a-07	6	Knowledge Transfer and Training
P9a-08	6	Weekly Status Meetings and Project Communications
	88	Estimated Total Hours - Project 9a

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
Project 9a - In-House Discovery and FOIA Response Program		
P9a-01	Discovery and FOIA Response Program (DRP) Plan	<p>Discovery and FOIA Response Program (DRP) Plan - a step-by-step guide (in Word format) to executing the Discovery Response Program, customized to address WV-STO's litigation profile, reflecting industry best practices, as well as WV-STO needs and resources, in the context of typical litigation and regulatory examination scenarios.</p> <p>The Plan also outlines the process steps for Discovery and FOIA and the appropriate roles for in-house Legal staff and outside counsel and/or discovery service providers, including: collection of Data and paper records from individual custodians and IT-managed repositories; preservation and chain of custody; filtering and de-duplication; review, redaction and production. Includes detailed process workflows for Data Preservation, Collection, and other phases of the eDiscovery lifecycle, as requested.</p>
P9a-02	DRP Workbook	<p>DRP and FOIA Workbook: An Excel workbook that provides a checklist of key DRP and FOIA tasks from Identification through Production, as outlined in the DRP Procedure; and Workflows at a minimum to include the following:</p> <ol style="list-style-type: none"> <li>1 - Identification – the steps necessary to determining the relevant custodians and repositories in this legal matter</li> <li>2 - Preservation                             <ul style="list-style-type: none"> <li>- Basic – Legal Hold workflow for the Legal Department only</li> <li>- Advanced (and more common) – Legal Hold workflow for Legal Department working with IT</li> <li>- Data of Departing Employees Under Legal Hold</li> </ul> </li> <li>3 - Collection                             <ul style="list-style-type: none"> <li>- Basic Collection and Legal Hold workflows for IT – general steps that is repository agnostic</li> <li>- Workflows for different types of repositories - Email, Workstations, File Shares, additional relevant systems/repositories</li> </ul> </li> <li>4 - Processing (assumes the client has in-house processing technology)                             <ul style="list-style-type: none"> <li>- General Processing Workflow</li> </ul> </li> <li>5 - Review                             <ul style="list-style-type: none"> <li>- General Review Workflow (assumes the client has in-house processing technology)</li> <li>- Customized Review Workflow (with in-house technology, could also include a workflow for dealing with predictive coding, culling and searching Data)</li> </ul> </li> <li>6 - Production – General Production Workflow</li> </ol>
P9a-03	Legal Hold and Collection Templates	<p>Legal Hold and Collection Templates: Includes Legal Hold Notices for a variety of Discovery and FOIA situations and custodians, Collection Notices to custodians and IT stewards, and Chain of Custody forms and Collections tracking tools.</p>
P9a-04	Defensible Practice Documents	<p>Defensible Practice Documents: Includes best practices on Discovery Response Teams, Metrics and Management, and other topics, as requested by the WV-STO team.</p>

P9a-05	Discovery Conference Preparation Guide	Discovery Conference Preparation Guide: Provides basic tools for use in preparing for a Rule 26(f) 'Meet and Confer' or other discovery conference, as well as information about WV-STO relevant applications, so that outside counsel is able to adequately represent WV-STO Discovery mechanisms and processes and to negotiate a reasonable scope of Discovery.
P9a-06	Protocols for eDiscovery and FOIA Request Phases	Protocols for eDiscovery and FOIA Request Phases - Documents providing reference information on different methods of Preservation, Collection and Production, with pros and cons of each approach.
P9a-07	Onsite Knowledge Transfer Session  Contoural revisions of DRP elements and recommendations	Onsite Knowledge Transfer Session.  Contoural revisions of DRP and FOIA Request elements and recommendations (if necessary), based on review inputs.
P9a-08	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Specific steps include:

*Develop a Discovery Response Program (DRP) Plan* - Contoural will develop a Discovery and FOIA Response Program (DRP) Plan: a step-by-step guide to executing WV-STO's Discovery and FOIA Response Program. The Plan addresses all phases of the Discovery lifecycle. Also includes the review of draft Discovery Procedures with in-house and outside Counsel as appropriate, and incorporation of needed changes, if needed.

*Develop a DRP Workbook and Workflows* - Contoural will develop a DRP and FOIA Workbook and Workflows, which is intended to be used for tracking progress for each matter in which the company's Discovery and FOIA Response Plan is invoked and acts as a case management document for each legal matter, allowing WV-STO inside counsel and paralegals to easily track discovery activities.

*Develop Discovery and FOIA Templates* - Contoural will develop Discovery and FOIA Templates intended to complement the DRP Workbook, these Templates provide for the defensible and consistent Preservation and Collection of relevant Data related to matters associated with litigation and/or regulatory inquiry.

*Develop Defensible Practice Documents* - Contoural will develop Defensible Practice Documents, customized to match WV-STO' litigation and business needs. These documents include definitions of a DRP team, roles, responsibilities (governance matrix) and metrics (measuring Discovery response).

*Create Discovery Conference Preparation Guide* - Contoural will create a Discovery Conference Preparation Guide designed to provide outside counsel with WV-STO expectations of how

eDiscovery should be conducted in any legal matter, in addition to other WV-STO Litigation Readiness attributes.

*Develop Protocols for eDiscovery and FOIA Request Phases* - Contoural will develop Protocols for eDiscovery Phases: Reference guidelines for the variety of methodologies including using existing technology or identifying any new requirements applicable to common discovery and FOIA Request activities. Provides alternate options if a deviation from standard operating procedures is indicated or warranted. Describes scenarios for when alternate approaches may apply.

*Knowledge Transfer and Training* - Contoural will prepare training materials and conduct a review of deliverables to educate WV-STO Legal and IT staffs on the various elements and uses of the DRP and FOIA Request deliverables, and incorporation of any necessary changes at the instruction of counsel. Includes training for Legal and IT on how to use the DRP Workbook and associated Templates.

### Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
Project 9a - In-House Discovery and FOIA Response Program		
P9a-01	Develop a Discovery Response Program (DRP) Plan	Includes a prep call to discuss format of DRP Procedure, Workbook, and associated documents, and to set expectations for delivery of the program documents.
P9a-02	Develop a DRP Workbook and Workflows	The need for additional workflows and related requirements will be uncovered in previous work steps/activities. A change order may be required if the time estimated for this activity exceeds our original estimate.
P9a-03	Develop Discovery and FOIA Templates	
P9a-04	Develop Defensible Practice Documents	Includes the most common best practices deliverables. Not all of these will be necessary and/or required. The actual tools for WV-STO will be informed by the output of the Assessment.
P9a-05	Create Discovery Conference Preparation Guide	The level of detail required for system repository descriptions varies from client to client. Hours estimated here assumes that Contoural is providing basic info about the most frequently requested repositories.
P9a-06	Develop Protocols for eDiscovery and FOIA Request Phases	
P9a-07	Knowledge Transfer and Training	Using a sample legal matter, or a suitable current/past WV-STO matter, Contoural will walk through the elements of the Discovery Response Plan with Legal and IT, from matter initiation through closure of the case.  Assumes 1 review session with Core Team. Actual hours are dependent upon the method of knowledge transfer. Contoural will work with WV-STO to determine best approach.
P9a-08	Weekly Status Meetings and Project Communications	Hours calculation assumes 2 hours per week and 3 weeks of elapsed project engagement time. Assumes a WV-STO 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 9b - Data Map and Population Procedures

This project provides the development of a Data Map structure and Population Procedures for primary repositories.

### Project Tasks

Here is a description of high-level project tasks:

Project Step	Estimated Hours	Task
Project 9b - Data Map and Population Procedures		
P9b-01	10	Develop Data Map Scope
P9b-02	60	Data Map Data Collection
P9b-03	20	Develop the proposed Data Map Framework
P9b-04	30	Populate and Publish Data Map
P9b-05	10	Weekly Status Meetings and Project Communications
	130	Estimated Total Hours - Project 9b

## Project Deliverables

Here is a description of project deliverables:

Project Step	Deliverable	Deliverable Description
<b>Project 9b - Data Map and Population Procedures</b>		
P9b-01	Data Map Scope Elements	<p>The information gathered will inform the downstream deliverables and the scope of recommendations, including:</p> <p>Data Elements: A spreadsheet which shows the data points to be collected for each repository along with a written explanation of each element.</p> <p>Taxonomy: A spreadsheet listing the key terms or keywords and what they mean.</p> <p>Design Document: A Word Document which describes the framework for capturing the Data Map content mapping information.</p>
P9b-02	<p>Business Function Interview Sessions</p> <p>Data Map Data Collection Workbooks; Completed Data Map Data Collection Workbooks</p> <p>Data Inventory</p>	<p>Data Map Data Collection Workbooks are Excel spreadsheets to be used by WV-STO participants in identifying and validating current Business Record Types, which will be used to develop the Data Map. Workbooks will be completed by WV-STO participants following the interview and returned to Contoural for review and incorporation into the WV-STO Data Map.</p> <p>Data Inventory</p>
P9b-03	Data Map Framework	<p>Data Map Framework: A database structure which will hold the repository data, capable of listing relevant data elements for repositories that fall within the scope agreed by Legal, Compliance, Privacy and IT, with columns or fields for attributes to be collected and maintained. The map at a minimum includes descriptions of applications and systems, types of records and data included in each, the sources and locations of data and the involved personnel (business and IT custodians).</p>
P9b-04	<p>Preliminary Map Population</p> <p>Map Implementation, Testing, Report Creation</p>	<p>Preliminary Map Population: This exercise will develop a methodology for populating the required fields in the Data Map.</p> <p>Map Implementation, Testing, Report Creation: This task will create a working Data Map. This step will validate that the information collected can be accessed by the appropriate WV-STO personnel and create up to 4 filtered reports for use in Legal and IT, as part of the overall deliverable.</p>
P9b-05	Weekly Project Communications and Updates	Weekly Project Communications and Updates, utilizing status report template format approved in project step P1-1.

Specific steps include:

*Develop Data Map Scope* - Contoural will meet with WV-STO Legal, Compliance, Privacy (Data Security/Sensitive Information) and IT departments to define the appropriate scope for the Data Map and intended goals and objectives. This will consist of a small number of interviews and the creation of the following scoping documents:

- 1 - The range of repositories that will be represented in the Data Map, and the level of granularity that is necessary and feasible (the application scope).
- 2 - The data elements that will be collected and maintained for in-scope repositories, such as application names, record types, custodians, server locations, backup methods, etc.
- 3 - The taxonomy that will be used to organize and categorize the repositories.
- 4 - The tools, formats and capabilities that will be used to collect, provide information for legal and IT, and maintain the data map.

*Data Map Data Collection* - Contoural will conduct data collection interview sessions with WV-STO department and business function staff to collect information for the Data Map. Contoural estimates that approximately 20 interview sessions will be needed to gather the required information.

*Data Map/Retention Schedule Data Collection:* The interviews will seek to discover all of the Record Types currently in existence at the company, as well as retention requirements from a business value perspective. The data collection process could also include other information about the records, including location, privacy information, record status, and other fields, as desired.

*Data Inventory:* Interviews will seek to understand information managed by WV-STO and the flow through the organization. The goal of these interviews is to gain a complete view of the lifecycle of information, from the point of information origination through disposition."

*Develop the proposed Data Map Framework* - Contoural will develop the proposed Data Map Framework, which will serve as the primary reference point for accessing Data Map information gathered, and get buy-in from Legal, Compliance, Privacy and IT on the design/framework.

*Populate and Publish Data Map* - This exercise will include population and validation of data elements contained in the Data Map, as well as implementation, testing, and report creation if desired.

## Project Assumptions and Notes

Project Step	Task	Assumptions and Notes
<b>Project 9b - Data Map and Population Procedures</b>		
P9b-01	Develop Data Map Scope	<p>Assumes that WV-STO will assist Contoural in identifying the appropriate Legal, Compliance, Privacy and IT staff participants and that those individuals will be available for input meetings to identify needs and inform the map design.</p> <p>Assumes that WV-STO will reach internal consensus on the intended use of the work product.</p>
P9b-02	Data Map Data Collection	<p>Assumes that the Business Functions to be included in the Data Collection Interview Sessions will be identified in collaboration with the WV-STO core team.</p> <p>Assumes 20 interview groups at 3 hours per interview group. If additional interview groups are included, a change order is required.</p> <p>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.</p> <p>The number of interview sessions are Contoural's best estimate at this time and will require WV-STO's feedback for a final pro forma estimate during the engagement planning process. The actual number of interview sessions will be determined in consultation with key stakeholders.</p>
P9b-03	Develop the proposed Data Map Framework	<p>Assumes the framework will be developed and delivered in an MS Access Database.</p> <p>Additional, optional tasks/deliverables are available for additional hours and can be added via Change Order:</p> <ol style="list-style-type: none"> <li>1 - Provide specific design guidance on the linkage of Repository table items to related tables -- e.g., Custodians table.</li> <li>2 - Determine the extent to which Repositories are linked to detailed Record/Information Types, in addition to (or instead of) big-bucket Record Classes or Content Types. If this sort of detailed linking is desired, it will require considerable effort to create the links at appropriate levels of aggregation -- and then to maintain them over time.</li> </ol>
P9b-04	Populate and Publish Data Map	
P9b-05	Weekly Status Meetings and Project Communications	<p>Hours calculation assumes 2 hours per week and 5 weeks of elapsed project engagement time. Assumes a WV-STO core project team will be assigned to manage this engagement from an internal perspective and to schedule internal staff for meetings with Contoural.</p> <p>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.</p>



## 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.

#### Project 1 - Information Governance Organization

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, Core Team	1 – 2 hours
Review of / provide feedback on Deliverables	PM, Core Team, potentially specific business functions	2 - 5 hours
Executive Summary Presentation	PM, Core Team, Executive Sponsor(s)	1 – 2 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

#### Project 2 - Information Governance Processes and Procedures

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, Core Team	1 – 2 hours
Review of / provide feedback on Deliverables	PM, Core Team, potentially specific business functions	2 - 5 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 3 - Data Security Classification Standard**

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, Core Team, potentially specific business functions	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 4 - 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 - 4 hours
Training Session participation	PM, Trainers, Business Function participants	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 5a - Paper Reduction - Go Forward Strategy**

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, Participants	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 5b - Paper Reduction - Legacy Cleanup**

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
Pilot Clean-up participation	PM, Business Function participants	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 6 - Privacy Assessment**

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions and Interview Sessions	PM, Core Team, Business Function participants	1 - 2 hours per interview
Review of / provide feedback on Deliverables	PM, Core Team, Business Function Participants	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 7a - Unstructured Data Placement and Email Management Strategy**

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, IT, Information Security, Compliance, Legal	1 - 2 hours
Collection of Information for Review	PM, IT	variable
Potential follow-up discussions	Legal, IT	½ - 2 hours
Data Placement Strategy Workshop participation	PM, Core Team, IT, Business Functions	4 hours
Review of / provide feedback on Deliverables	PM, Core Team	2 - 4 hours
Executive Summary Presentation	PM, Core Team, Executive Sponsor(s)	2 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 7b - Microsoft 365 Knowledge Transfer and Configuration**

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, IT, Information Security, Compliance. Legal	1 - 2 hours
Collection of Information for Review	PM, IT	variable
Potential follow-up discussions	Legal, IT	½ - 2 hours
Review of / provide feedback on Deliverables	PM, Core Team	2 - 4 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 7c - Unstructured Data Strategy Implementation - Pilot Groups**

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, IT, Information Security, Compliance. Legal, Pilot Participants	1 - 2 hours
File Structure Development and Planning participation	PM, Pilot Participants	1 - 2 hours
Infrastructure, process review and potential configuration activities	IT	1 - 3 hours weekly
Potential follow-up discussions	PM, IT, Pilot Participants	½ - 1 hour
File Structure Validation participation	PM, Pilot Participants	1 hour
Review of / provide feedback on Deliverables	PM, Core Team, Pilot Participants	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 8a - Structured Data Retention and Remediation Strategy**

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, IT, Information Security, Compliance. Legal	1 - 2 hours
Collection of Information for Review	PM, IT	variable
Potential follow-up discussions	Legal, IT	½ - 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 9a - In-House Discovery and FOIA Response Program**

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, Legal	1 - 2 hours
Collection of Information for Review	PM, Legal	variable
Potential follow-up discussions	PM, Legal, IT, select Business Function custodian individuals.	½ - 1 hour
Review of / provide feedback on Deliverables	PM, Legal	1 - 3 hours
Knowledge Transfer participation	PM, Legal	1 - 2 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

**Project 9b - Data Map and Population Procedures**

Project Task	Participants	Estimated Time Requirement
Participation in scoping discussions	PM, IT, Information Security, Compliance. Legal, Pilot Participants	1 - 2 hours
Data Map Development Planning	PM, Pilot Participants	1 - 2 hours
Infrastructure and process review	IT	1 - 3 hours weekly
Potential follow-up discussions	PM, IT, Pilot Participants	½ - 1 hour
Review of / provide feedback on Deliverables	PM, Core Team, Pilot Participants	1 - 3 hours
Weekly Status Meeting participation	PM, Core Team	½ hour weekly

## Contoural Background

# Contoural Clients: 30% of the Fortune 500, and Many More



### Select Contoural clients

Contoural is the largest independent provider of strategic Information Governance and Privacy consulting services. We work with more than 30 percent of the Fortune 500 and numerous mid-sized and small companies and provide services across the globe. We are subject matter experts in Information Governance, 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.” 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.

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.

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. We develop modern, compliant strategies, policies and processes that can be executed. We bridge legal, compliance, privacy, IT, business units and other stakeholders to develop robust programs that not only ensure compliance, but also reduce risk, lower costs, and make employees more productive.

## Contoural Key Differentiators and Advantages

**Independence:** Contoural is the largest independent provider of strategic Information Governance and Privacy consulting services, including traditional records and information management privacy and control of sensitive information, and litigation readiness. Contoural does not sell or resell any products, takes no product referral fees, nor provides any 'reactive' discovery services such as matter specific document identification, document collection or document review, nor do we offer document storage services. As an independent services firm, we serve as a trusted advisor for our clients, providing unbiased advice around program development, policies, processes, tools and training.

**Cross-functional expertise and approach:** Contoural bridges the gap between Legal, Records Management, Compliance, Privacy, IT, Information Security, and other major stakeholders including various business functions. Our consultants have expertise in all of these areas, allowing us to work effectively with different groups within an organization, create consensus, and drive projects through execution.

**Experience:** Contoural has both deep industry-specific and broad, general experience across a wide variety of organizations. Contoural engagements are supported by our common methodology framework, which leverages our extensive client experiences and the subject matter expertise of our seasoned consulting staff -- all of whom have an average of more than 25 years of experience in their respective fields.

**Flexibility:** Every organization is different, with varying information governance, privacy and compliance requirements, litigation profiles, size, culture, IT infrastructure, operational constraints, and a number of other factors. Contoural's approach is to adapt information governance/records management and privacy best practices to each client's unique circumstances and way of doing business today. We offer our services in flexible, customized, discrete projects.

**Focus on Execution:** Compliance, defensibility, and value for information governance and records management programs are the result of successful execution. Contoural's approach is to concentrate on helping our clients achieve their desired end-state, while helping them avoid pitfalls before realizing program benefits. Our engagements are designed to build consensus around program goals, capability maturity recommendations, strategy and approach; maintain momentum, and ensure stakeholder "wins" along the way.

**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 Program Development
- GDPR Program Development

**Our Consultants**

Our team includes attorneys, certified records managers, CIPPs, for CIOs, experts in behavior change management and all other aspects of Information Governance and privacy. With an average of 25 years of experience, Contoural consultants include former litigators, former in-house counsel, records managers, compliance experts, eDiscovery specialists, privacy professionals, technology experts, former CIOs, training and behavioral change management specialists, industry technology analysts, among others. Many hold JD degrees and/or Certified Record Manager and/or Information Privacy certifications; most are members of ARMA International, IAPP or AIIIM, and most have in-depth experience and are practitioners in one or more areas of technology that can help enhance, and potentially automate, the implementation of policies, retention schedules and processes for records management and litigation readiness. In addition, Contoural consultants remain active in the legal community, including the American Bar Association and various State Bar Associations, and are increasingly recognized as industry thought leaders, being asked to present at conferences, seminars and author numerous articles for industry-specific publications.

## **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.



**Bill Horn**

CONTOURAL, INC.

**Principal****Background**

Principal 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.

**State Government - Assessed IG program, provided strategic recommendations, developed Record Retention Schedule and Training Materials to educate employees.** Assessed the Information Governance program and developed a strategic roadmap of projects to be implemented over a 3-year period to close existing gaps. Met with department representatives to gather their operational retention requirements for records and developed a Records Retention Policy and Schedule. Developed training modules to educate employees on the Policy and Schedule and their use.

**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.

### **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,** Southern New Hampshire University, International Business

**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.

**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.

**Representative 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

## **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.

### **Representative 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.

**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

## **Nandeep Mehta**

CONTOURAL, INC.

### **Senior Consultant**



#### **Background**

Senior Consultant with more than 20 years' experience and technical expertise in Information Governance framework solutions with focus on strategic planning, business process improvement, information architecture, enterprise Records and Information (RIM) solutions, sensitive data management, enterprise content management (ECM), data governance and software solutions. Excels in leadership, facilitation, prioritization, scope management and interpersonal skills to implement multiple projects and develop strategies for meeting records and compliance needs with the right technology solutions by collaborating with different stakeholders from legal, records, IT, business, information security and compliance.

#### **Representative Project Experience**

##### **Global Sportswear Company**

Working with a large global sportswear brand for assessing their current technical landscape within unstructured information and creating an effective unstructured data placement strategy while moving away from Google Suite to Microsoft 365. Project involved series of interviews with different stakeholders from IT, legal and executive to understand the way information is managed, accessed, shared and secured and provided the best go-forward path and a roadmap for implementing the strategy with the current technology solution. Created Change Management training and communication plan and Information Governance training materials.

##### **Real Estate Investment Trust Company**

Worked with client to implement the options detailed in an unstructured data placement strategy by configuring the backend to implement retention and sensitivity to the data; created tools training materials for employees, records coordinators and administrators, including mapping and clean-up sessions with departmental groups in an effort to migrate from file shares to SharePoint.

##### **Public Transit Services**

Responsible for analyzing and developing a plan along with recommendations for best solutions to manage and clean up structured data within different databases; conducted IT surveys with system owners to determine each system's current capabilities for retention, disposition, archival and security/permission for creating an overall comprehensive strategy for structured system retention and disposition.

##### **Private Real Estate Group**

Conducted interviews with relevant stakeholders to assess the current state of information management and understand the recordkeeping practices. Involved in building a 3-5-year strategic roadmap and workshop.

##### **Multinational Independent Power Generation Company**

Responsible for delivering multiple projects within Information Governance suites of services. Worked with various stakeholders through series of interviews to understand company's unstructured information landscape and help create an unstructured data placement strategy; created necessary backend configuration to implement the solutions defined in the strategy; created Microsoft 365 training materials as part of change management effort to educate users on a go-forward approach for managing records and information.

##### **Public National Biopharmaceutical Company**

Converted the company Records Retention Schedule (RRS) to a Microsoft 365 Power Apps platform, enabling the publication, update and ongoing maintenance of the RRS and the associated citations in the M365 environment; including delivering a formatted, customized RRS in Power App format, with appropriate branding and look and feel, as well as standard reporting formats. Also responsible for migrating the application and supporting components to another environment.

**Privacy assessments with multiple clients (*Major On-Demand Food Delivery Service Provider, IT Service Management Software, National Departmental Store Chain, International Real Estate firm*)**

Created and delivered a Personal Information Inventory that has a complete listing of all customer and employee information collection, managed and disposed throughout its lifecycle, for use in complying with California Consumer Privacy Act (CCPA), as well as other related privacy laws and regulation. This involved conducting sets of interviews with various business functions to understand the overall business process as well as technical interviews with system owners to understand how personal information is managed within those systems, as well as the current capabilities of each system.

**Large National Insurance Provider**

Information Lifecycle Governance Lead/Architect - Responsible for managing and leading unstructured data efforts within Sensitive Data Management (SDM) and Information Lifecycle Management (ILM) projects within an Agile environment in an effort to keep the organization compliant with internal and external audit functions as well as statutory and regulatory requirements. Key Contributions included: Business development; created/captured business rules for critical/sensitive data, provided technical leadership in the planning, design, development, testing, implementation and maintenance of business application. Led a team of 30 individuals on Sensitive Data Discovery and ROT Remediation efforts, tagging sensitive data elements in structured and unstructured repositories, created process flow for data discovery (discovery, scan, validation, reporting and remediation).

**Global Independent Energy Company**

Responsible for design, creation, implementation and management of RIM software solutions, developing procedures, standards, best practices for an enterprise-wide Information Governance initiative. Contributed strategic program guidance, including education, training and program organization development, functional classification and retention system development to minimize record classes and event-based retention, enterprise content lifecycle metadata standard, designed, configured and implemented Records Retention Schedule (RRS) within a global enterprise content and records management system; records destruction authorization process; physical data management and unstructured data destruction and remediation processes.

**Education and Certifications/Affiliations**

**Bachelor's Degree**, Business and Accounting, HLCC

**Master's Degree**, Commerce with Business/Accounting Major, HLCC

**Certified Information Professional (CIP)**

**Certified Records Analyst (CRA)**

**EMCPA Associate** (EMC Content Management Foundations)

**Java Standard Edition 5 Programmer (SCJP 1.5)**

**Certified Webmaster** (Java specialization)



## 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](http://www.contoural.com).