Various Dimensions of the Management of Information

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Overview

• Information?
• Information lifecycle?
• Legal, compliance, security and risk mitigation dimensions
Notional volumes and types

Information Management
Information Lifecycle

- Receive
- Record
- Create
- Change
- Categorize
- Transfer
- Share
- Store
- Search
- Collect
- Print
- Post
- Review
- Reuse
- Distill
- Dispose
Compliance Dimensions

- Criminal v. civil
- Sarbanes Oxley
  - 18 USC § 1512 – corruptly; official proceedings
  - 18 USC § 1519 – knowingly; intent to ... influence proper administration ... any matter within jurisdiction ... any department or agency --- or in relation to or in contemplation of any such matter
- FCPA books and records
- Risk-based analysis?
Legal Dimensions

- Regulatory compliance
  - SEC, IRS, DOT, EPA, OSHA, CFTC, FERC, etc.
  - Privacy
    - HIPAA, Gramm Leach Bliley
    - State law; EU Privacy, etc
- Copyright infringement
- Contract compliance
- Company policy compliance
- Legal holds, discovery costs and sanctions
Security Dimensions

- Confidentiality
- Integrity
- Availability
- COBIT and COSO
- Homeland Security
Risk Management Dimensions

- Compliance v. other dimensions
- Federal Sentencing Guidelines
- Operational risks
  - Safety
  - Reputation
  - Relationships with regulators
  - Loss of intellectual property, business opportunity
  - Loss of privilege
  - Storage and search costs
Questions?

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