

# DATA MAPPING FOR RECORDS MANAGEMENT AND COMPLIANCE

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# Presentation Objectives

- What Is A Records Management Data Map?
- What Do We Want To Accomplish?
- What Are Some Of The Benefits?
- How To Get It Done – Case Study
- Quick Tips & Lessons Learned
- Questions / Comments
- Agenda



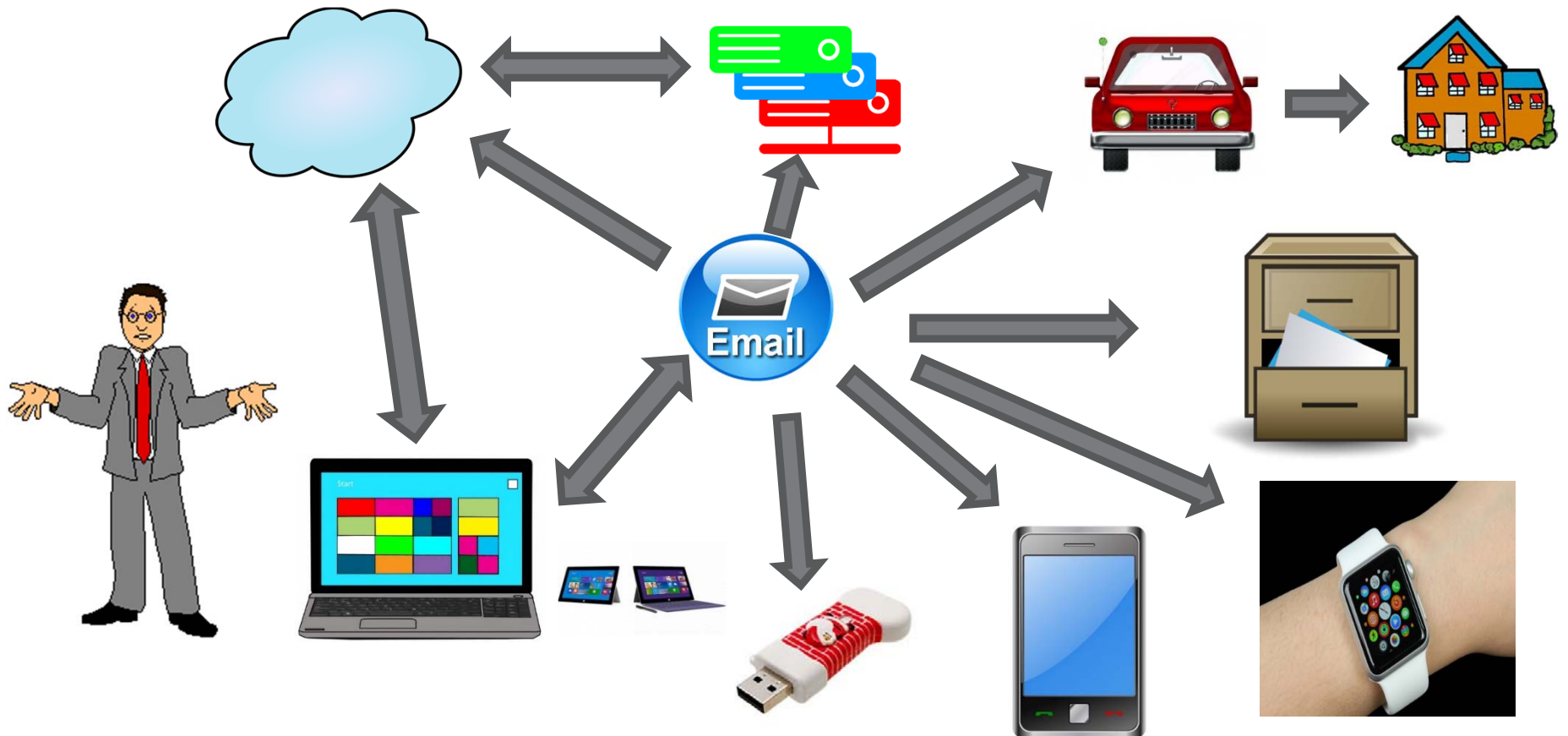
# What Is A Records Management Data Map?

- A comprehensive records inventory of an organization's paper and electronically stored information (ESI) that includes all the relevant IT Systems and media (online & offline) and the responsible business units, data stewards, and custodians.
- Provides source data for a retention schedule, supports defensible disposition, and helps identify highest risks to compliance from gaps in information management related practices.



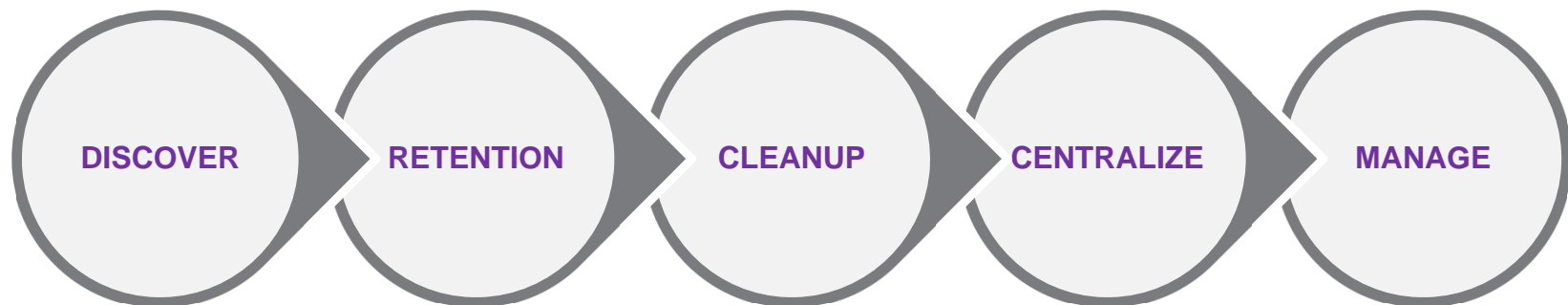
# What Is A Records Management Data Map?

Where Are Your Records?



# What Do We Want To Accomplish?

- Find the data that matters – properly discover, classify and manage information according to business value to reduce risk and cost.



# What Are Some Of The Benefits?

- **Records Information Management (RIM)**

- Policy; Record Retention; Standards; Life Cycle Management

- **Legal**

- eDiscovery; Legal Holds; Compliance; Consistency

- **Privacy**

- Confidential Information; Risk; PCI; PII

- **Compliance**

- Regulatory; Industry Specific; FINRA, SEC; Audits

- **IT Security**

- Cybersecurity; Access Controls; Breach Detection



# How To Get It Done – Case Study

## Step 1:

- Develop RIM Program Roadmap
- RIM Program Company-Wide Communication Plan
- RIM Program Committee / RIM Program Charter
- RIM Program SharePoint Team Site

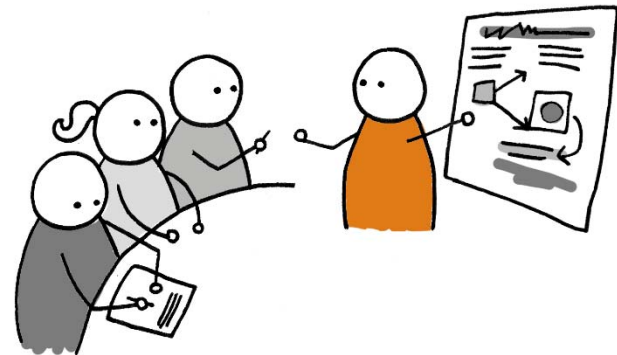


# How To Get It Done – Case Study

## Step 2:

- Educate RIM Program Committee Members

- What Is RIM
- RIM Program Charter
- RIM Program Roadmap
- Next Steps / Data Map Questionnaire





# How To Get It Done – Case Study

## Step 3:

- Develop Data Map Questionnaire (Users)
  - √ IT Data Map Questionnaire
- Pilot Groups
- Define Business Unit Groups (1-4)
  - Organizational Chart
  - Small/Large Combination
- Reporting Matrix / Status Reports

1. Do you read music magazines? (Tick one)  
 Yes  No
2. What music genres do you enjoy listening to the most? (Tick two)  
 Hip Hop/  
Rap  RnB  Pop  Rock
3. What colours do you find most attractive on a magazine? (Tick three)  
 Red  Blue  Black  Purple  White  Yellow
4. In what style do you like articles to be in? (Tick one)  
 Images  Text  Mix of Both
5. What type of articles do you enjoy reading? (Tick two)  
 Celeb  
Gossip  Interviews  New  
Artists  Fashion  New  
Events
6. Would you buy a magazine if it had an exclusive article? (Tick one)  
 Yes  No  Not  
Sure
7. Would you read a magazine if it had a competition on it? (Tick one)  
 Yes  No  Not  
Sure
8. What type of front page image do you prefer? (Tick one)  
 Artists  Landscapes  Material items  Pin-Up
9. Do you like seeing adverts of products or other artists on a magazine?  
(Tick one)  
 Yes  No  Sometimes
10. How much would you be willing to pay for a magazine?  
 50p - £1  £1 - £2  £2.50 +



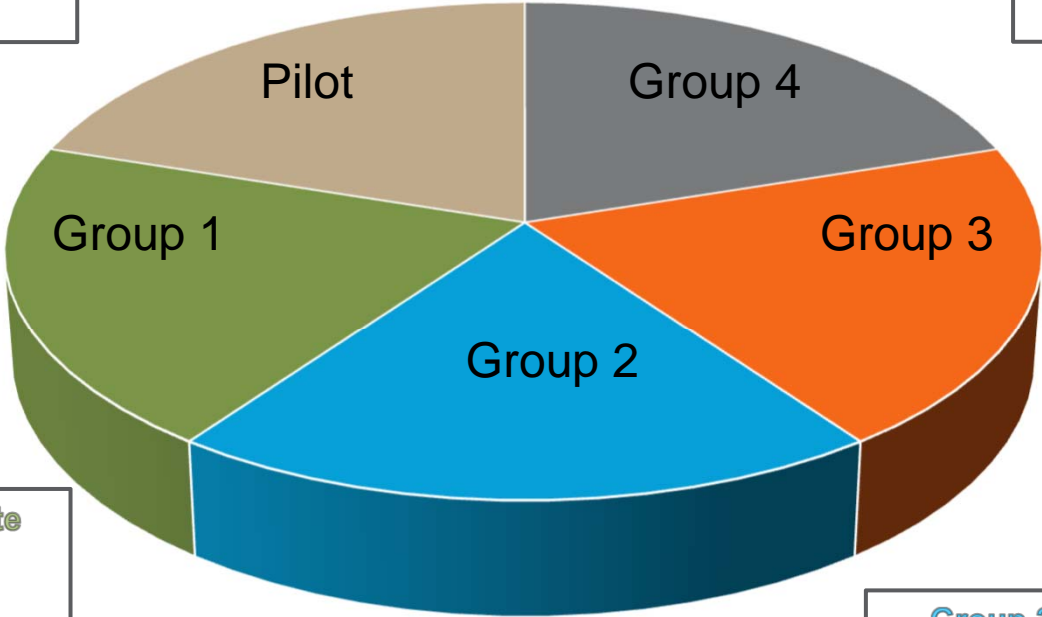
# Identify Pilot & Business Units

**Pilot - Complete**

- IT / Ex
- HR / Ex

**Group 4 - Current**

- IT / Ex
- HR / Ex



**Group 3 - Current**

- IT / Ex
- HR / Ex

**Group 1 - Complete**

- IT / Ex
- HR / Ex

**Group 2 - Current**

- IT / Ex
- HR / Ex



# How To Get It Done – Case Study

- **Data Map Questionnaire:**

- Welcome and Instructions

- Section 1: Business Records

- ✓ Select Business Records

- ✓ Select System/Application Original Record Stored

- ✓ Proprietary/Internal Record

- ✓ Reasons For Keeping Record

- (Business, Historical, Reference, Regulatory)



# How To Get It Done – Case Study

- **Data Map Questionnaire**

- Section 2: Location of Paper/Electronic Copies

- √ Network Drives; Home Computer; File Share (dropbox); Personal Email, Portable Media (USB), etc.

- √ Department File Cabinets; Storage Room; Outside Counsel; Offsite Record Center; Home File Cabinets, etc.



# How To Get It Done – Case Study

- **Data Map Questionnaire**
  - Section 3: Confidential Information
    - √ Credit or Debit Information (Card Number/Whole or Partial; Pin/Pin Block, etc.)
    - √ Privacy Information (Acct #s; Tax Info; Insurance Info; Credit History; EIN, etc.)
    - √ Personal ID (Drivers License #; Passport #; Personal Data; SSN; etc.)
  - Other Sections To Complete Data Map Business Needs



# Sample Data Map Questionnaire

Frost Data Map Questionnaire

[Definitions](#)

**Business Records**

Please select the business records your business unit works with on a regular basis. For each one selected, please answer the questions in each column as indicated in the table. For your reference, you may click on the hyperlink above for a list of business record definitions.

	Select all records you work with: (Select the box below to indicate "Yes")	Select the System or Application where official records are stored: (Select one from the drop-down below)	Is this a Proprietary record? (Select the box below to indicate "Yes")	Is this an Internal record? (Select the box below to indicate "Yes")	What are your reasons for keeping this record? (Select all that apply)				
					Business	Historical	Reference	Regulatory	Other
A3 forms	<input checked="" type="checkbox"/>	ACF2 Mainframe	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Access Management QA Reports	<input checked="" type="checkbox"/>	Admin Accounts for Domain	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accounts Payable/Accounts Receivable Records	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Audit Reports (findings, requests, regulatory filings, etc)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Audit Trail Records	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget Records (worksheets)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CAB Committee Documentation	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change Management Reports (minutes)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change Management Security Analysis	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication Records	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contracts, Leases, and Agreements	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Correspondence, Internal Memoranda - Administrative	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Critical Security Controls	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



# How To Get It Done – Case Study

## Step 4:

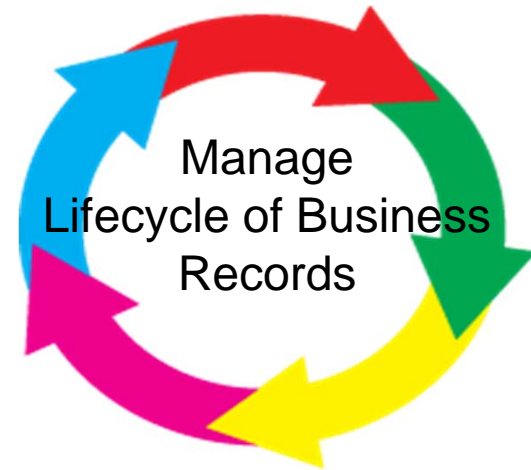
- Schedule Meetings with RIM Committee Members and Designated Business Unit Employees
- Discuss Timeline to Complete Questionnaire
  - Identify Record Types
  - Who Will Be Participating / Provide Training
  - Roll Out Questionnaire / Follow-up



# How To Get It Done – Case Study

## Step 5 - Final:

- Validate Data
- Finalize Database
  - Working Database
- RIM Program Data Map Business GAP Analysis
  - Current vs Future State





# How To Get It Done – Case Study

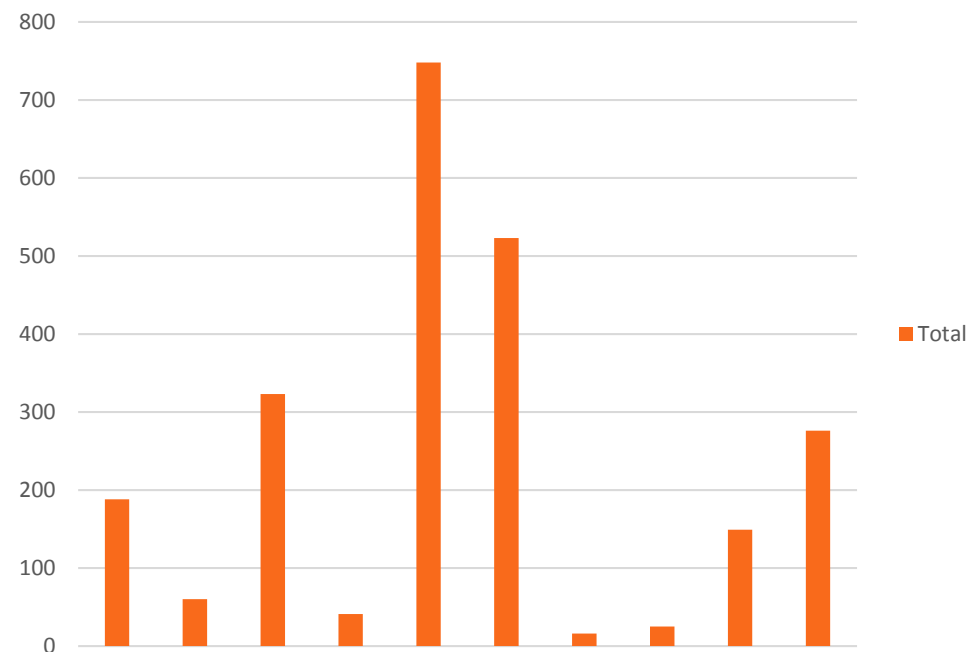
## DMQ Information:

Lines of Business	10
Business Units	70+
RIM Committee Members	68
<b>Business Records Types</b>	<b>2,349</b>
DMQs Submitted	62
Data Elements	86+

## Note:

Some duplication in Business Record Types

Lines of Business/Business Units Record Types



# Quick Tips & Lessons Learned

## Quick Tips

- Offer to Assist Business Units in Completing Questionnaire
- Give Record Type Examples & Definitions
- Be Patient and Understanding

## Lessons Learned

- Reduce Data Elements on Data Map Questionnaire



# Questions / Comments

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THANK  
YOU

