



Microsoft Office 365: The Compliance Factor

Utilities & Energy Compliance & Ethics Conference – SCCE

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Microsoft Office 365: The Compliance Factor – Agenda

Session Expectations

- Duke Energy Overview
- Duke Energy Ethics & Compliance Organization
- What is Office 365?
- One Company's Implementation
- Addressing the Elephant in the Room
- Assessing the Compliance Target
- Converting the Troops
- Friend or Foe
- Key Takeaways

Microsoft Office 365: The Compliance Factor – Session Expectations

What you won't get out of this session:

- ✗ Tutorial on how to navigate O365
- ✗ One size fits all solution for addressing compliance in O365 environment
- ✗ Assurance that you're doing everything right and can relax

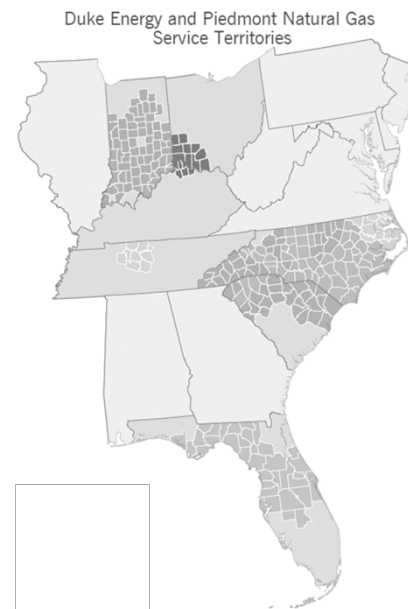
What you will get out of this session:

- ✓ Overview of one company's journey
- ✓ Key compliance items to consider when implementing O365
- ✓ Recommendations for successful change management
- ✓ Key takeaways for success

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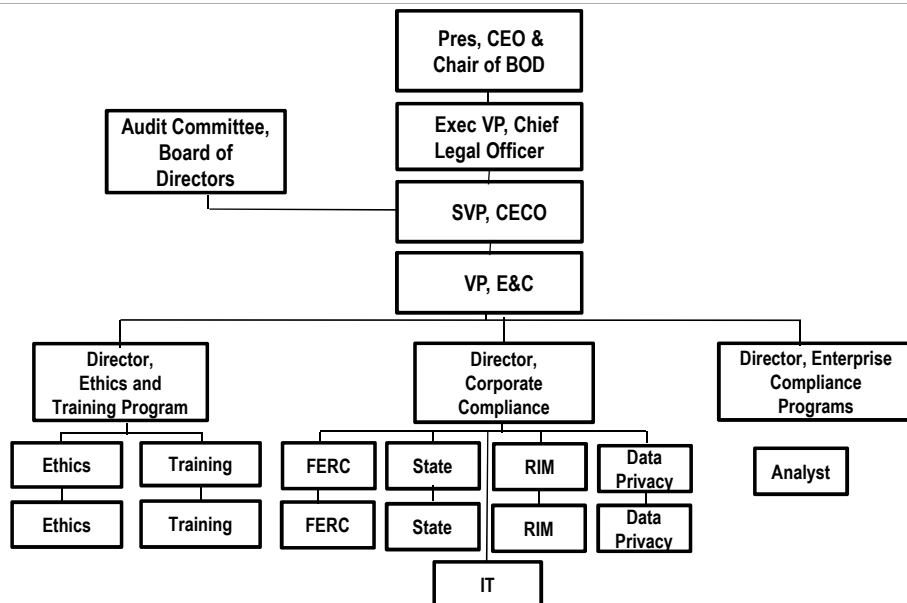
Microsoft Office 365: The Compliance Factor – Duke Energy Overview

- 47,000 employees (including contractors)
- 7 states: North Carolina, South Carolina, Florida, Indiana, Ohio, Kentucky, Tennessee
- 7.6 million retail electric customers
- 1.6 million natural gas customers
- 49,500 MW of owned electric generation capacity
- 2,900 MW of wind and solar projects across 14 states



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Microsoft Office 365: The Compliance Factor – Duke Energy Ethics & Compliance Org



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Microsoft Office 365: The Compliance Factor – What is Office 365?

OneDrive
SharePoint Online
Yammer
Cloud
Skype for Business
Teams
Delve
Power BI
Exchange Online
Planner
Microsoft O365



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Microsoft Office 365: The Compliance Factor – One Company's Implementation

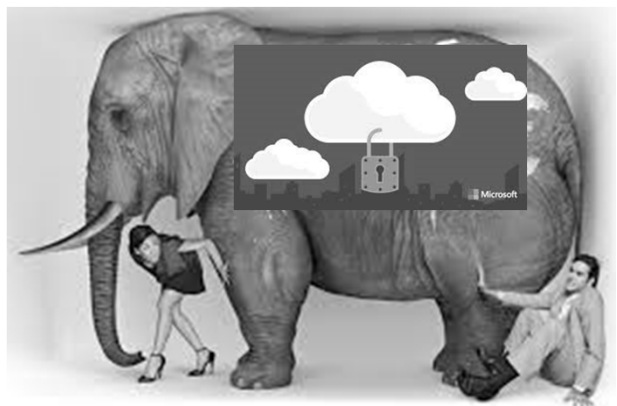
1. IT took the lead
2. Prep/planning duration – 2 years (2015-2017)
3. Key Stakeholders
 - IT Security
 - Compliance
 - Legal
4. First Wave – November 2017
 - Yammer/Delve
5. Second Wave – May 2018
 - Teams (SharePoint Online)
 - OneDrive (included in deployment of new laptops)
6. Fully implemented - January 2020
7. Other factors
 - Upgrade of employee portal to SharePoint Online 2016
 - Deployment of new laptops
 - NERC Data



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Microsoft Office 365: The Compliance Factor – Addressing the Elephant in the Room

1. Understand the Cloud
2. Visit the Cloud
3. Determine what data may be impacted
4. Review implications with data owners/Legal
5. Make necessary provisions
6. Get comfortable before contract signed

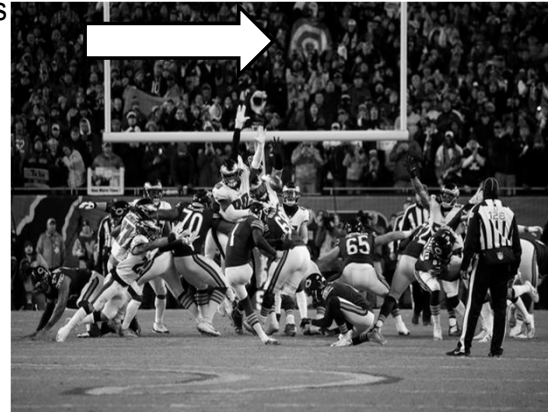


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Microsoft Office 365: The Compliance Factor - Assessing The Compliance Target

Assess Compliance Risk

1. FERC Standards of Conduct and Affiliate Restrictions information sharing restrictions
2. State regulatory Customer Information and affiliate sharing restrictions
3. NERC information sharing restrictions
4. Export Control Regulations
5. Others?



How will the compliance requirements change with the implementation of MS O365?

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Microsoft Office 365: The Compliance Factor – Converting the Troops

1. Get invited to the Change Management Party!
2. Roadshow:
 - Leadership
 - Staff Meetings
 - On-site
3. Company intranet
 - Video message from leadership
 - Articles
4. Digital Signage
5. Targeted Emails to “high risk” groups



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Microsoft Office 365: The Compliance Factor – Friend or Foe

1. Understand Microsoft's mode of operation
2. Connect with Microsoft representative/account manager
3. Tap in to online resources, training
4. Consider engaging a consultant



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Microsoft Office 365: The Compliance Factor - Key Takeaways

Consider all Stakeholders!

1. Build partnership with IT early in process (include Legal and RIM), meet regularly to discuss pain points
2. Build rapport with IT and educate them on important compliance considerations
3. Don't be a "naysayer," work with IT to promote tools and meet compliance requirements
4. Communicate and partner with Microsoft to address compliance



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Microsoft Office 365: The Compliance Factor - Key Takeaways

Communicate Effectively!

5. Ensure that compliance requirements are considered and addressed early
6. Have a sound communication strategy specific to compliance that integrates with the larger communication plan
7. Ensure that compliance messaging is included in initial change management communications
8. Include supplemental compliance messaging to workers in high risk areas



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Microsoft Office 365: The Compliance Factor - Key Takeaways

Make it Simple!

8. Become a student of O365, volunteer to be an early adopter, participate in pilot during implementation, etc.
9. Reach out to other compliance areas to consolidate common requirements:

Data Privacy	eDiscovery (Litigation)
RIM	NERC/FERC
Nuclear	Other compliance areas
10. Achieve a good balance between the “user experience” and “compliance effectiveness”



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