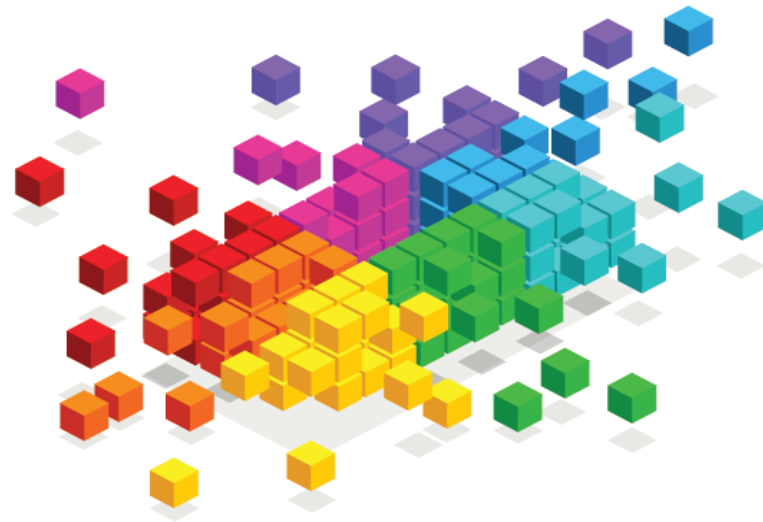


Reducing the Costs of Explosive Information Growth with a Smarter Approach to Archiving

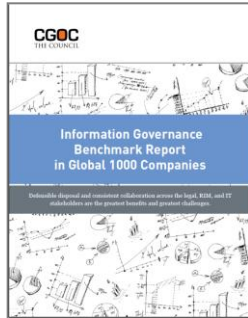
Putting Content to Work
ECM UserNet 2011



Our Program Goal

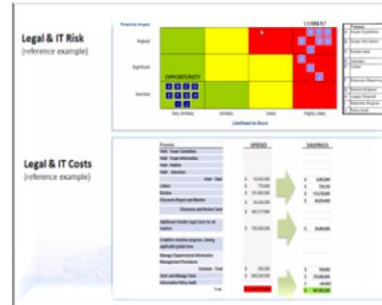
Help you identify opportunities to leverage your skills and investments on high-cost, high-risk information governance challenges your organization faces with sessions on:

1



Executive Challenges & Recent Findings

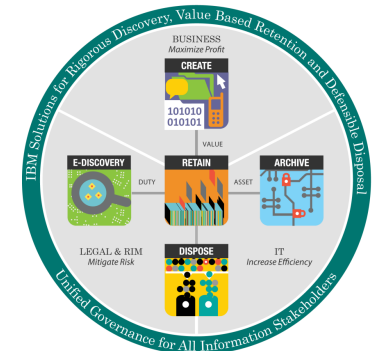
2



Executive Points of View on the Challenges

- ✓ CIO
- ✓ General Counsel
- ✓ Risk & Compliance

3

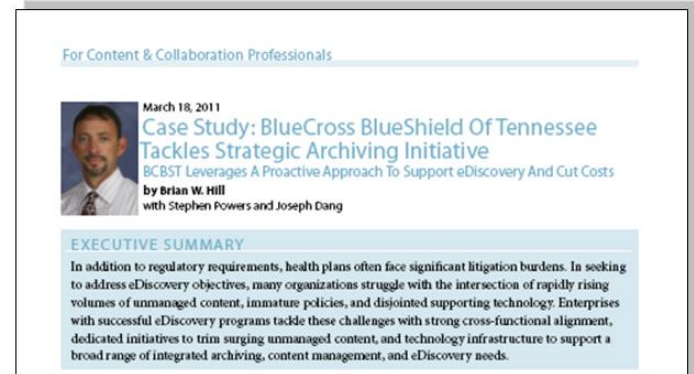


ECM Building Blocks

- ✓ Value Roadmap
- ✓ Product Roadmap

Leadership Opportunities for ECM Practitioners

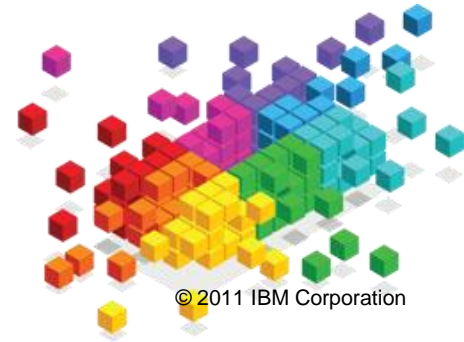
- “Working with other content and collaboration professionals at BCBST, **Andy Jacobs**, the company’s lead enterprise content management (ECM) architect, sought to address [the challenges of surging volumes of content ... including mounting legal expenses when relying on high-cost, third-party services organizations for identification, collection, and downstream eDiscovery efforts]”
- “His key steps included:
Creating a strong cross-functional team.... **Jacobs collaborated with the company’s records manager, associate general counsel, and other stakeholders** to understand requirements, identify areas of highest legal risk, and capture sufficient detail to scope and justify the program.”



[Forrester Case Study:](#)
[BCBST Tackles Strategic Archiving Initiative](#)

Topics

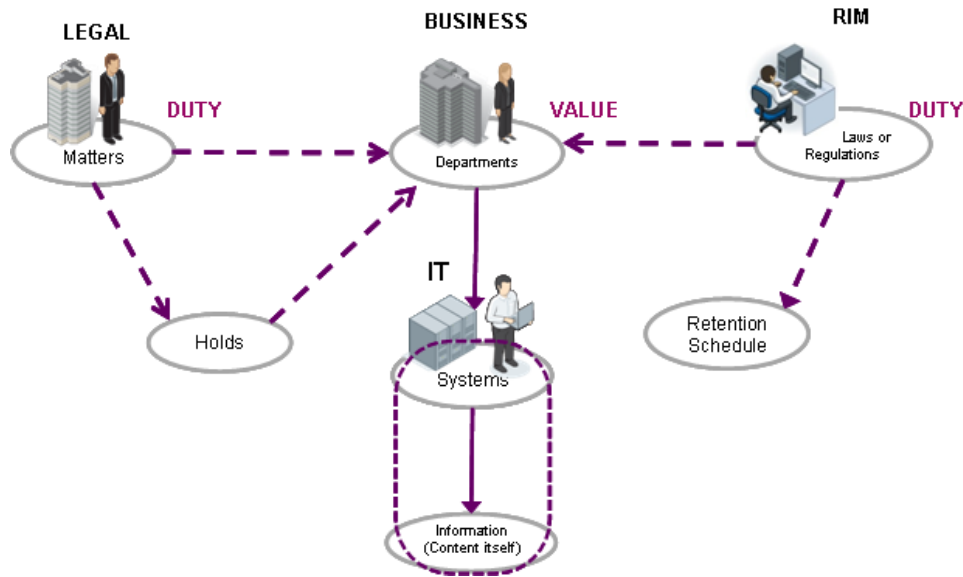
1. The CIO's pain points
2. Addressing the problem
3. Building on your expertise and ECM investments
4. Developing the business case for change
5. Resources to learn more



Enterprise Information Management Challenge

Legal & RIM understand information obligations

- ✓ Manual or siloed process not systematically visible to IT
- ✓ 10,000s of duties that vary by case, country and line of business



Business teams know the value of information

- ✓ No modern mechanism to communicate specific value to IT (or legal)
- ✓ 1000s or 10,000s of departments doing various business functions with variable info value

IT has the information but *no visibility to its obligations or business value*

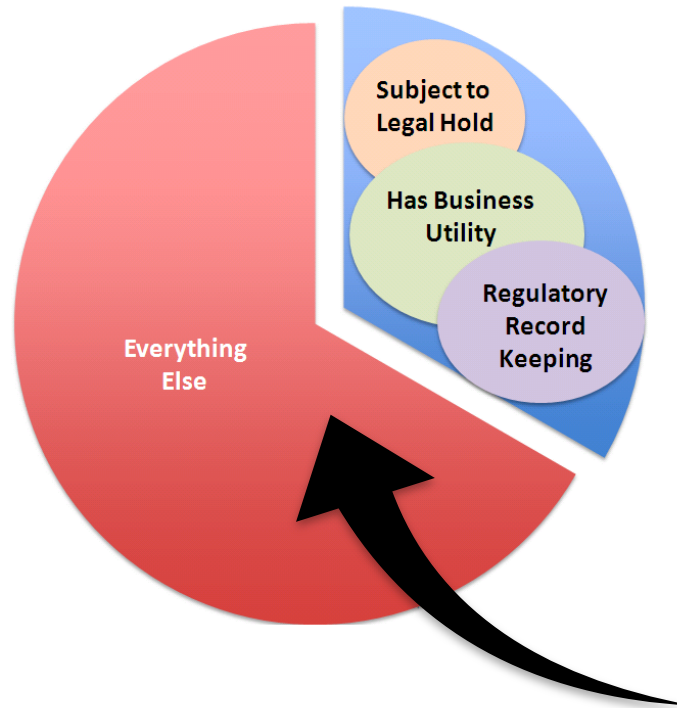
- ✓ No safe disposal, serious constraints on migration and consolidation
- ✓ Uses capital to manage garbage rather than information of utility to the business

Simple Logic

If you know what you need to keep for litigation and regulations

And you know what you need for its business value (and for how long)

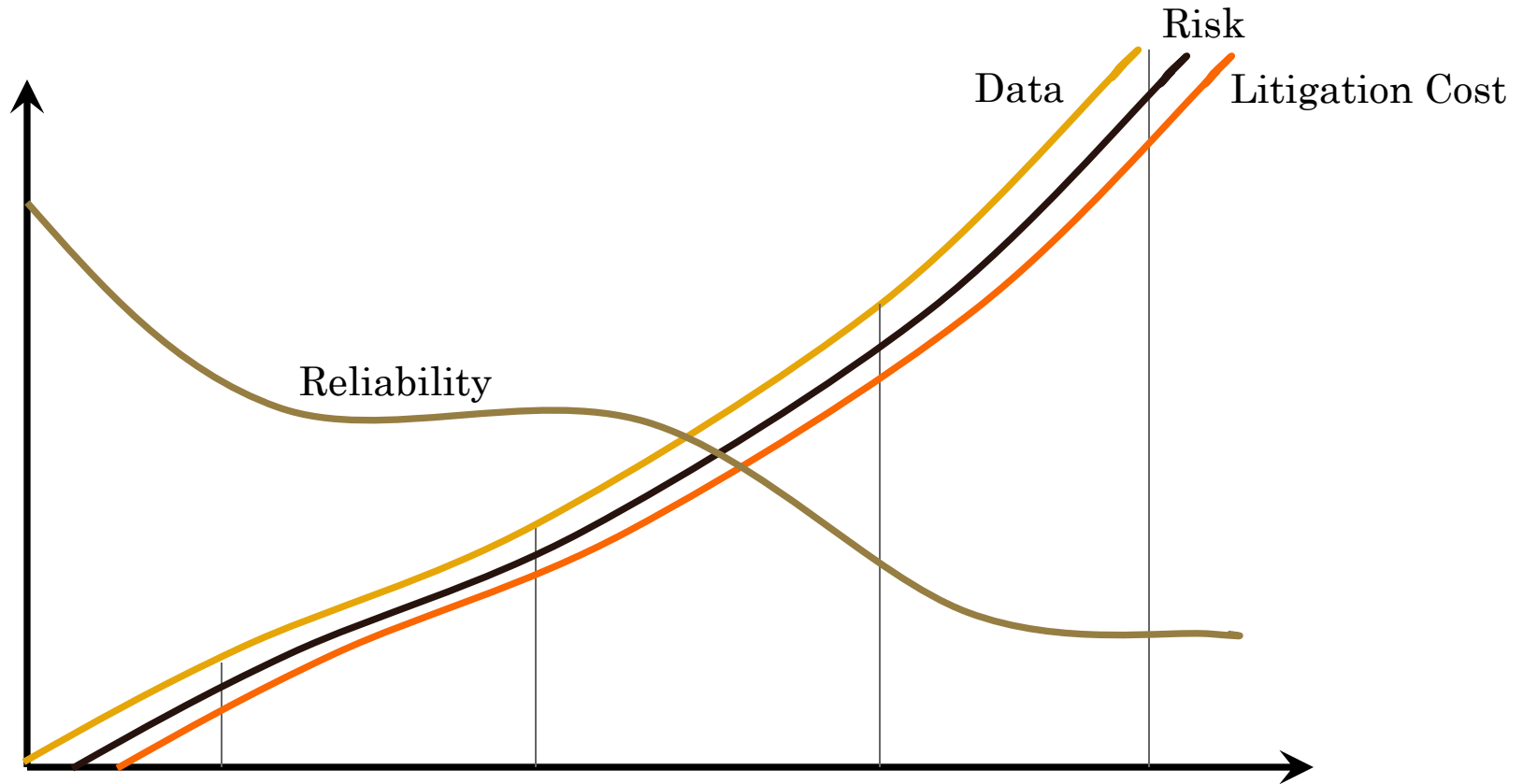
Then you can throw everything else away



If you can't determine specific value and legal duty, you must:

- ✓ Manage everything as if of value
- ✓ Guess if you're in compliance
- ✓ Spend too much to manage unnecessary data
- ✓ **Spend too much to preserve and produce it unnecessarily**

Do Nothing Scenario



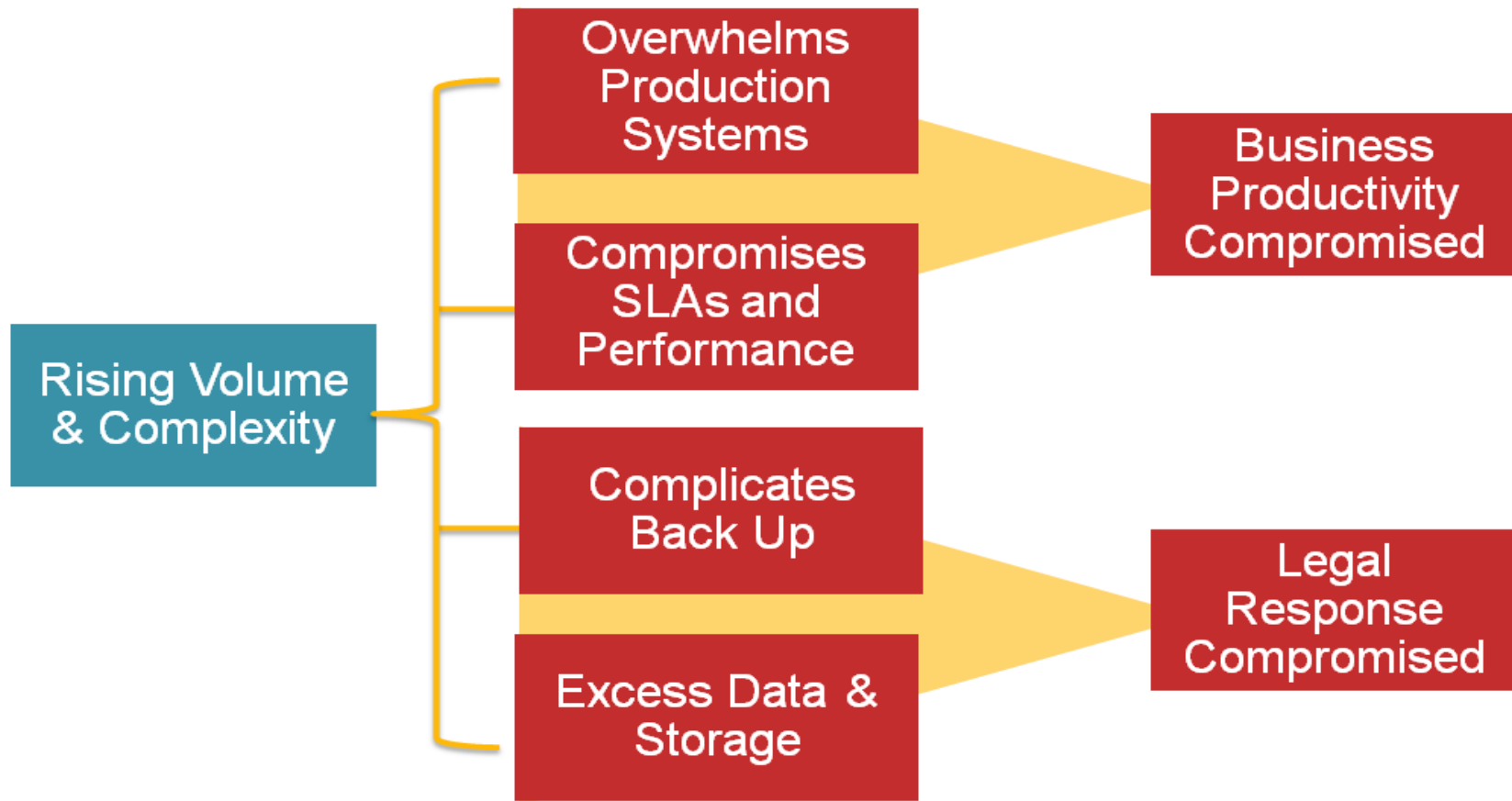
Exponential information growth
Outpaces IT budget
Outpaces risk control systems and processes

Outpaces business system capacity and compromises accessibility in key business processes, litigation discovery

Quantity and accessibility increase discovery risk and total litigation cost exposure
Accessibility, reliability and utility undermine decision processes

Integrity and accessibility compromise financial reporting
Reliability, integrity and accessibility impact business performance

Operational Impact on IT and Its Customers



Key Questions for CIO & Director of IT



WILL IMMEDIATELY TELL YOU HE IS TRYING TO CONTROL RUNAWAY DATA VOLUME AND COST ...

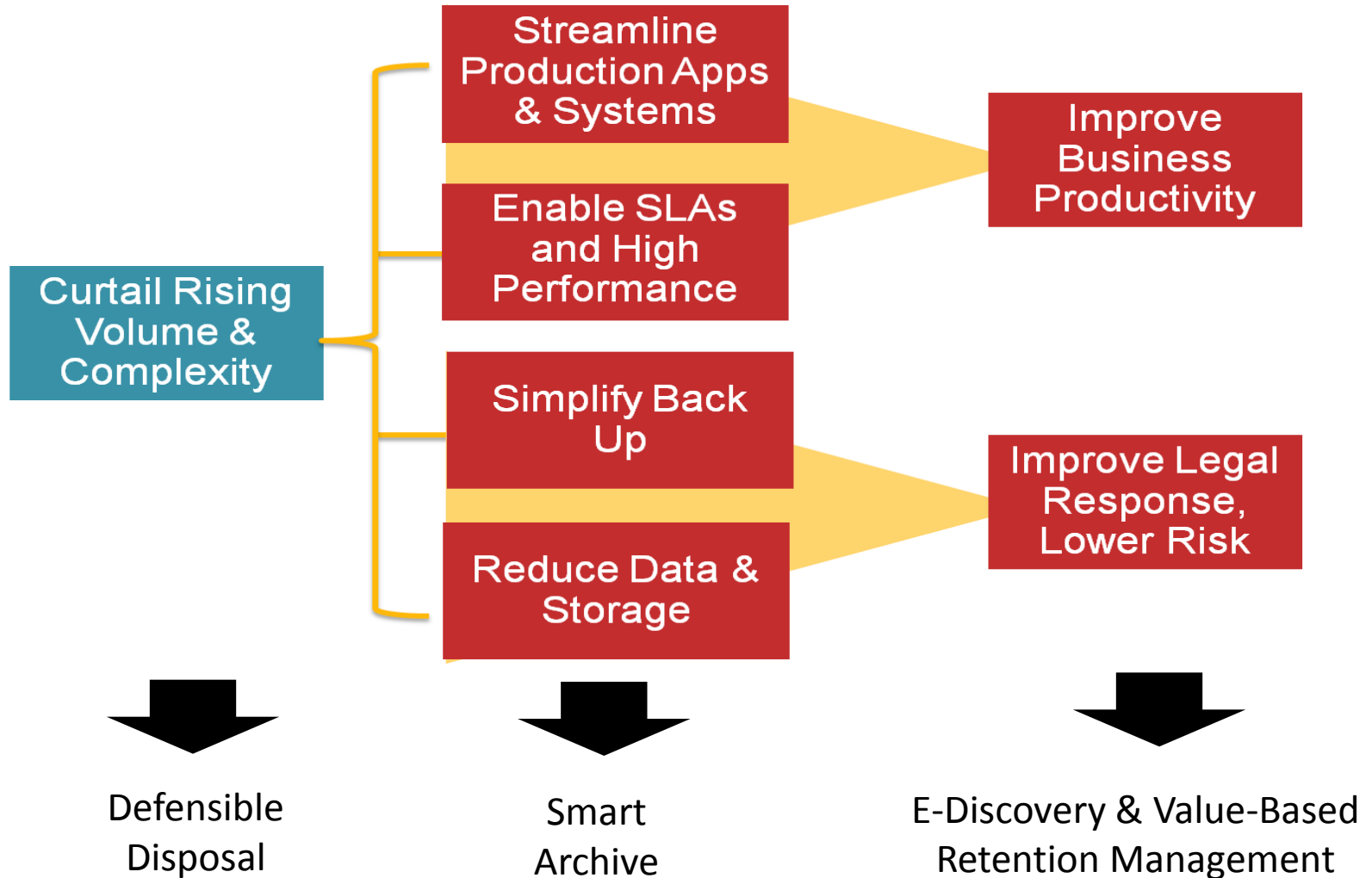
How big is the gap?	Strategy and tactics to close the gap?
Budget growth in 2011: Data volume growth in 2010: Revenue growth in 2010:	<input type="checkbox"/> How are you closing the gap between 50% data growth and 1% budget growth? <input type="checkbox"/> Stretching your budget or changing the curve?
<input type="checkbox"/> Would you like to know how you can reduce the amount of storage costs by 60% or more?	<input type="checkbox"/> Do you de-duplicate email or other content? <input type="checkbox"/> Do you know you can regain about 80% of the storage capacity for other uses?
<input type="checkbox"/> Are your legal department and business units asking you to keep everything? How much of the information actually has business value or some legal obligation?	<input type="checkbox"/> Do you know you can classify content on the basis of its value and then archive appropriately?
<input type="checkbox"/> Are you regularly experiencing poor performance in your production email systems? <input type="checkbox"/> Are your eDiscovery searches in your email systems taking long and proving to be expensive?	<input type="checkbox"/> Do you know you can regain about 80% of the storage capacity for other uses if you can eliminate multiple copies of emails/attachments? On an average one email gets forwarded 12 times and stored in many locations/schedules resulting n 121 copies.
<input type="checkbox"/> How much user productivity is lost due to users having to look for content (eg. paper documents, invoices, faxes, emails) that is outside the control of the application, but is linked to the business process managed by the application?	

Topics

1. The CIO's pain points
2. Addressing the problem
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IBM Addresses Volume & Complexity

Reduce Volume, Increase Efficiency for IT, Legal & Business Users



IDC: 3 Key Reasons for Archiving

COMPLIANCE

Retention requirements for information

eDiscovery and regulator inquiry

Transparency and governance

EFFICIENCY

New architectures to replace first-gen approaches

Consolidation of infrastructure and storage optimization

Control of unstructured content

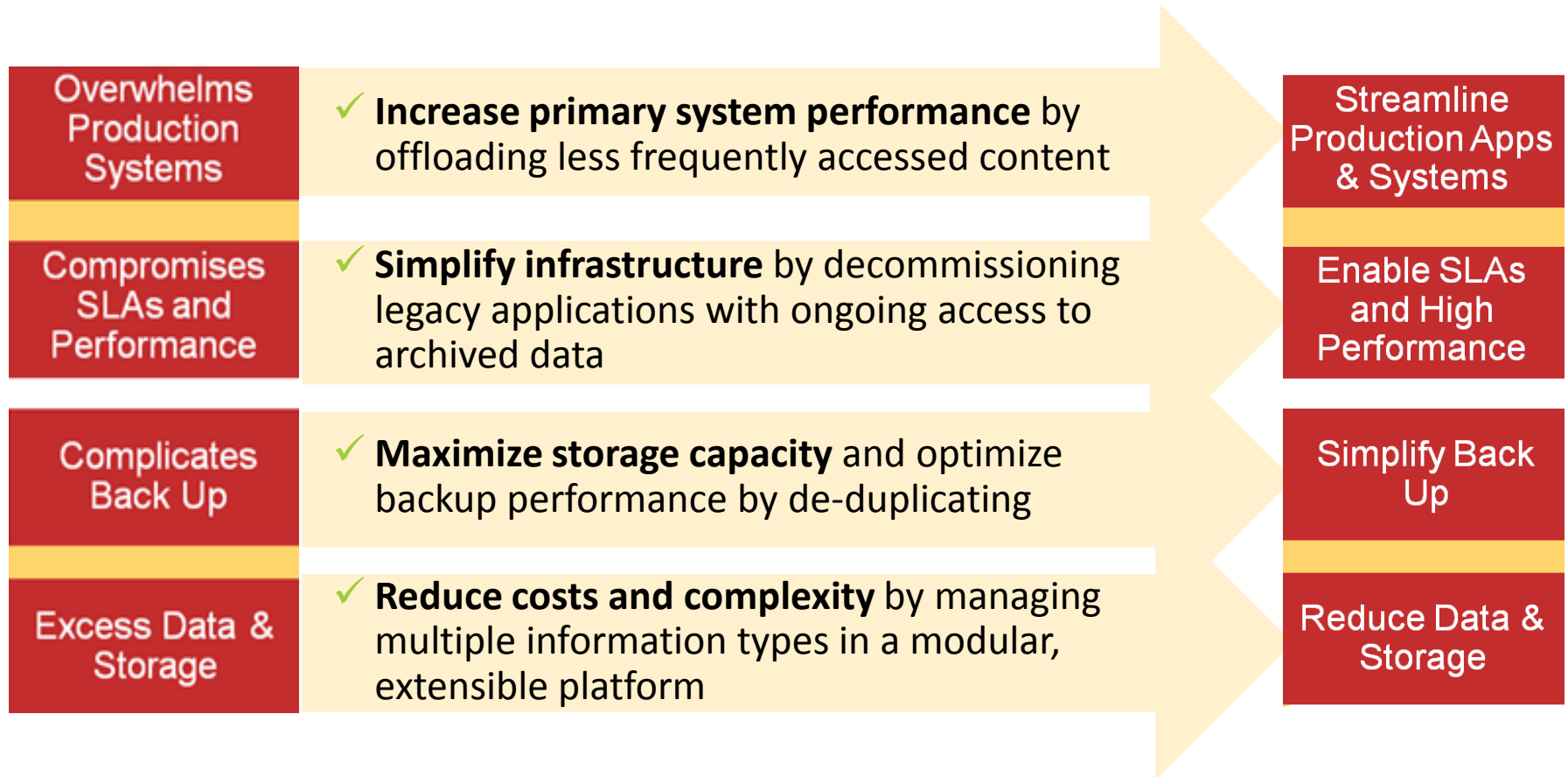
SCALE

Deployment expansion from earlier point deployments

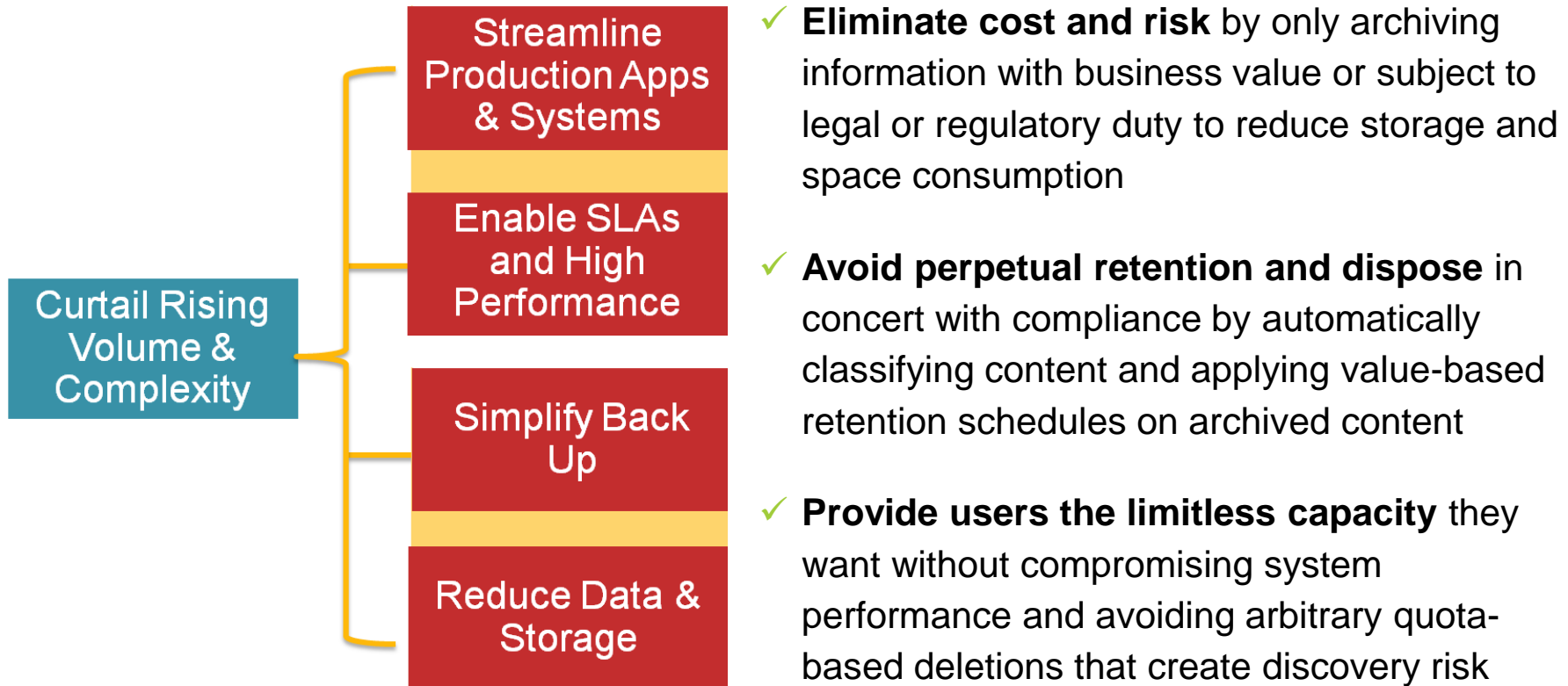
Unifying approach across communications and content types

Tiered storage

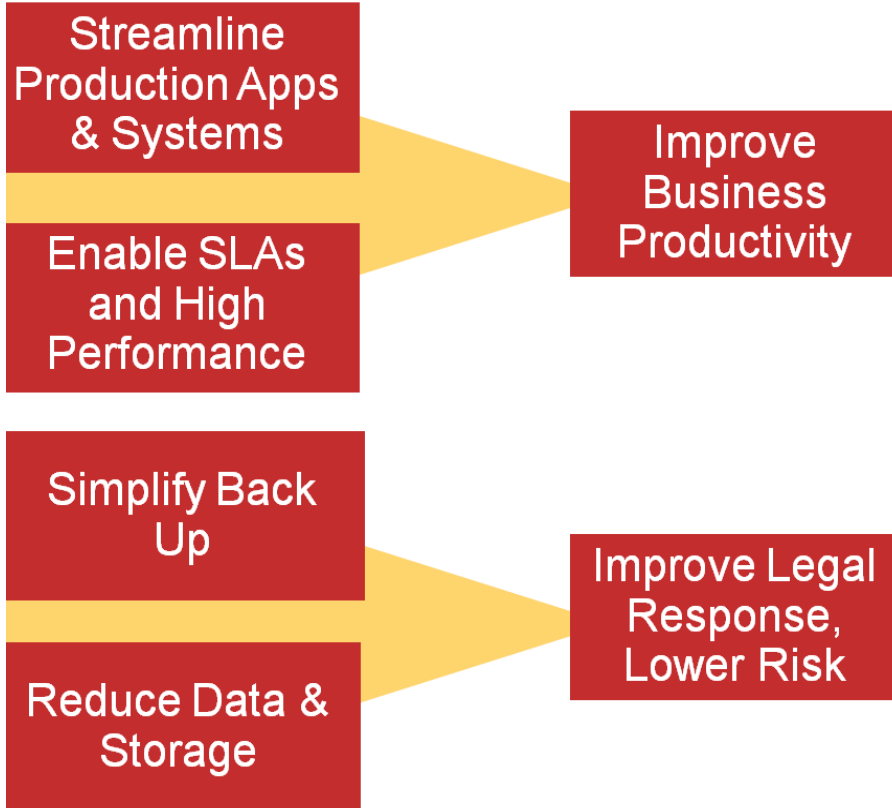
IBM Smart Archive Provides Operations ROI



Archive Less Data with IBM Smart Archive



Improve Business Performance and Risk Management with Smart Archive

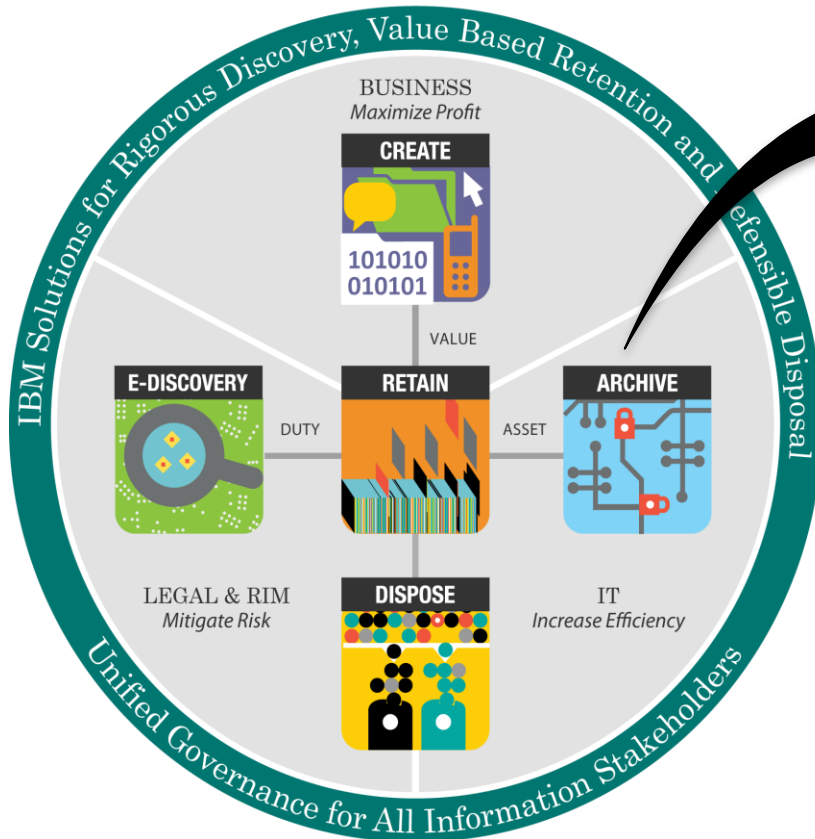


- ✓ **Reduce cycle time** and improve business performance by ensuring transaction documents are available in key business processes
- ✓ **Enable business velocity** with email responsiveness and system performance levels the business needs
- ✓ **Reduce legal risk and cost** by enabling legal to preserve, search and analyze content in place and avoid duplicating data on hold

Topics

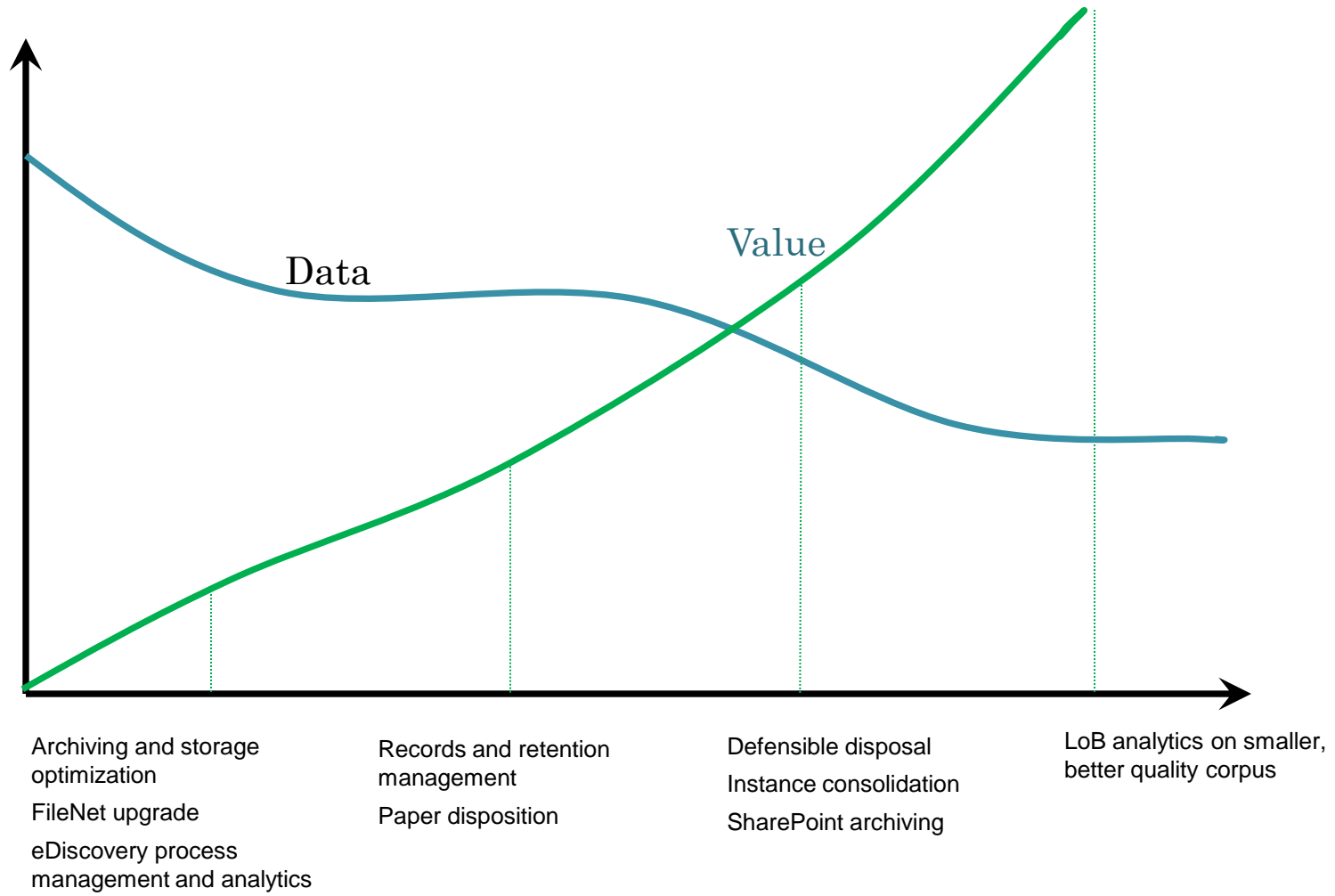
1. The CIO's pain points
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Archiving is an extension of your existing ECM investment



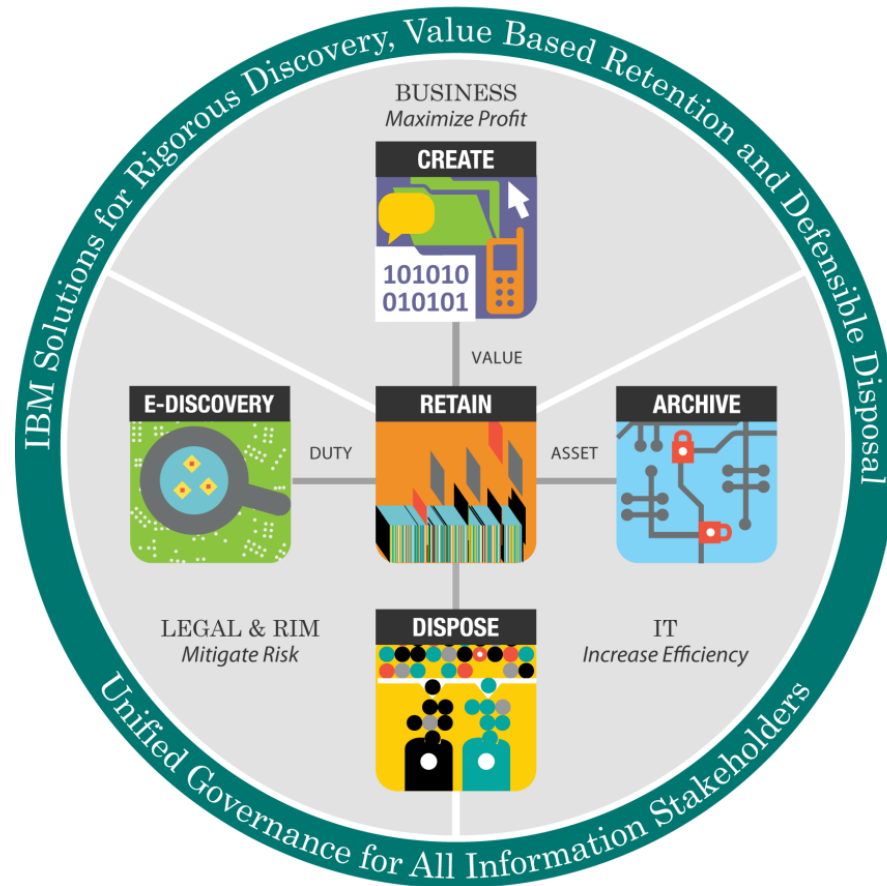
Capabilities	Typical Sources (not exhaustive)	IBM ECM Products
Archive Email	<ul style="list-style-type: none"> Lotus Notes Email Microsoft Exchange Email SMTP Email Programs 	<ul style="list-style-type: none"> ICC for Email
Archive Files	<ul style="list-style-type: none"> Microsoft File Systems Desktops (via FastBack) Data ONTAP (NetApp/IBM NSeries) Novell Netware File Systems Other File Systems 	<ul style="list-style-type: none"> ICC for Files
Archive Collaboration Content	<ul style="list-style-type: none"> Microsoft SharePoint 	<ul style="list-style-type: none"> ICC for MS SharePoint
Archive Application data & documents	<ul style="list-style-type: none"> SAP Non SAP (Oracle etc) 	<ul style="list-style-type: none"> ICC for SAP - New!! OPTIM Data Growth
Target Content Repository	<ul style="list-style-type: none"> IBM Content Manager FileNet Content Manager Tivoli Storage Manager 	<ul style="list-style-type: none"> IBM CM8 or CMOD FileNet P8 TSM (OPTIM, ICC for SAP)
Content Classification	<ul style="list-style-type: none"> Emails, Files and Collaboration Content 	<ul style="list-style-type: none"> IBM Classification Module

Building on Your ECM Investments



ILG Solutions Close Gaps Between Legal, IT and Records Stakeholders to Systematically Lower Cost and Risk

Only IBM links stakeholders and their processes to connect legal duties and business value to information assets.

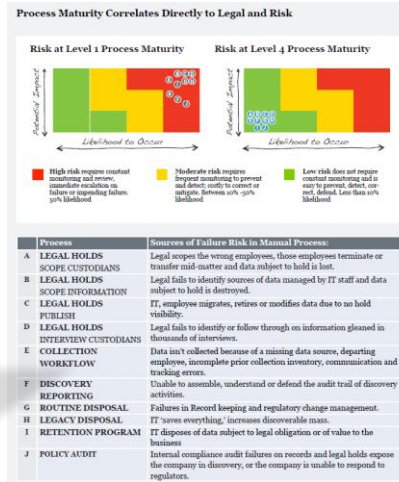


Topics

1. The CIO's pain points
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We Have Tools to Help You Assess Processes, Quantify Risk and Cost and Chart the Course Forward to Lower Cost and Risk

PROCESS MATURITY MODEL FOR INFORMATION GOVERNANCE				
PROCESS	Level 1: AD-HOC, MANUAL, UNSTRUCTURED	Level 2: MANUAL, UNSTRUCTURED	Level 3: SEMI-AUTOMATED WITHIN SCOPE	Level 4: AUTOMATED AND FULLY INTEGRATED ACROSS FUNCTIONS
A Legal Hold - Scope Custodians	Multiple custodian spreadsheets.	Centralized custodian spreadsheet.	Scope by organization, people, systematically track all custodians in all holds including multiple holds per custodian; scope terminated/transferred employees in real time.	Continuous update of custodian roles, responsibilities, automatic employee transition alerts; systematically use existing custodian lists for similar matters.
B Hold - Scope Information	Limited collection from data sources, custodian-based rather than information based; spreadsheet tracking lists.	Identify data sources by organization; understand back up procedures.	Have linked legacy tapes and data sources to organizations, and open holds/collections.	Automatically scope people, systems and tapes, information and records in holds; scope terminated employee data and legacy data/tapes where applicable.
C Publish Hold	Manual notices, confirmations, no escalations Ad-hoc description of record or information subject to hold requires interpretation and manual effort to comply.	Centralize reply email box for confirmations, process well communicated; all holds on intranet.	Systematically send notices and reminders, require a track confirmations; ability to manage exceptions; employees can look up their holds at any time. Communications tailored to recipient role (IT, RIM, employee).	Publish to system, propagate hold, automate hold enforcement. IT staff have continuous visibility to current discovery duties, holds during routine data management activities; automatically flag records in appropriate systems.
D Interview Custodians	Ad-hoc manual interviews and follow up.	Questionnaire mailed to custodians, responses compiled manually for collection and counsel follow up.	Online/auto interviews with system follow-up, view individual and aggregated responses, auto non-response escalations, alerts for specific answers, export for O/C.	Individual responses propagated to collections, custodian-specific collections instructions, interview results shared with outside counsel to interview by exception. From their browsers, Attorney's collect directly from custodians or any system.
E Collection Workflow	Detailed and duplicate spreadsheets of custodians and information between IT and legal; multiple copies of the collected data.	Centralized, version controlled spreadsheets of custodians and information; evidence server without inventory.	IT can efficiently collect by custodian and content, avoid recollecting; auto logging of files collected; source, chain of custody, IT self-service look up.	From their browsers, Attorney's collect directly from custodians or any system.
F Review Volume	Image drives or over-collect from custodians, over scope custodians; high quantity of data for review.	Image drives or over-collect from custodians, over scope custodians; high quantity of data for review.	Quantity of data reviewed from tightly scoped custodians; leveraging prior scoping histories, accurate enterprise map.	Quantity of data reviewed from tightly scoped custodians; leveraging prior scoping histories, accurate enterprise map, detailed instructions to IT.
G Cost Control	Image drives or over-collect from custodians, over scope custodians; high quantity of data for review.	Estimate costs on the "big matters" in spreadsheets or by outside counsel.	Discovery cost forecasts are automatically generated as soon as the hold is scoped; costs are calculated continuously for matters.	Consistently make cost shifting arguments to limit scope of collection and review; earliest/optimized matter resolution; manage cost at portfolio level.
H Monitoring, Compliance	Each attorney tracks their own matters, status.	Formal, but manual reporting of open holds; no summary reporting on interviews, collections, responses.	Automated reminders and escalations, online audit trail, management reporting on discovery status, visibility within legal dept across custodians, collected inventory and matters.	Appropriate visibility across IT, legal and business; self-service dashboards for legal obligations, risks, risk and cost reduction opportunities.



LEVEL 1 LEGAL AND IT COSTS				
Process	Data Management	Outside Legal	Internal Productivity	Total
Hold	\$0	\$1,405,000	\$1,140,480	\$2,545,480
Collect	\$0	\$64,000	\$56,004	\$120,004
Review	\$2,072,000	\$67,200,000	\$0	\$69,272,000
Discover Report	\$0	\$448,000	\$4,603,200	\$5,051,200
Other Outside Legal	\$0	\$42,000,000	\$0	\$42,000,000
Retention Program	\$0	\$0	\$200,000	\$200,000
Store/Manage Data	\$160,000,000	\$0	\$140,000,000	\$300,000,000
Info Policy Audit	\$0	\$0	\$0	\$0
Total	\$162,072,000	\$111,120,000	\$145,099,744	\$418,191,744

LEVEL 4 LEGAL AND IT COSTS				
Process	Data Management	Outside Legal	Internal Productivity	Total
Hold	\$0	\$752,000	\$1,027,392	\$1,779,392
Collect	\$0	\$63,892	\$54,989	\$118,881
Review	\$414,400	\$40,320,000	\$0	\$40,734,400
Discover Report	\$0	\$448,000	\$4,257,120	\$4,705,120
Other Outside Legal	\$0	\$0	\$0	\$0
Retention Program	\$0	\$0	\$190,000	\$190,000
Store/Manage Data	\$80,000,000	\$0	\$70,000,000	\$150,000,000
Info Policy Audit	\$0	\$0	-\$40,000	-\$40,000
Total	\$80,414,400	\$41,593,892	\$75,489,501	\$197,497,793

13 Key Processes Maturity Model and Self Assessment

Risks in these Processes Current and Future State

Legal & IT Costs of Process Current and Future State

We Can Assist You with an Assessment

EXECUTIVE
ENGAGEMENT

1

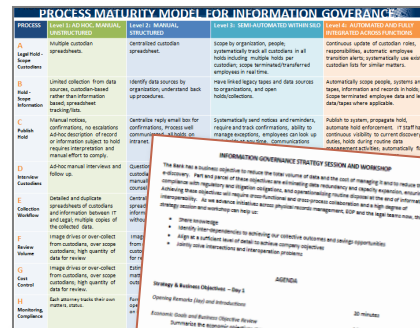


Calibrate value

2

Fact finding on current processes

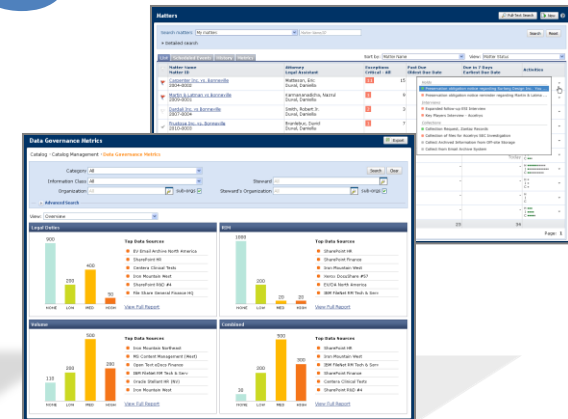
Cross-stakeholder workshop



3



Executive report on ROI, Roadmap for action



Demonstrate value to each stakeholder community

PRACTITIONER
ENGAGEMENT

Topics

1. The CIO's pain points
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CGOC Program

CGOC is a corporate practitioners forum focused on the intersection of legal holds, discovery, retention and information management started in 2004.

- ✓ Exclusive, invitation only
- ✓ Highly relevant business content
- ✓ Not a trade show or vendor event
- ✓ Customers lead discussions

CGOC
Compliance, Governance & Oversight Council

2011 PROGRAM OVERVIEW

Events

Building Better Bridges — Achieving Enterprise Excellence in Discovery, Retention and Disposition
Guest experts from ExxonMobil, Wells Fargo, Bank of America, Novartis, Travelers, Amgen, Pillsbury Winthrop, Husch Blackwell LLP, and Seyfarth Shaw, plus The Honorable Andrew J. Peck and The Honorable Richard A. Kramer.
20th Annual CGOC Summit, San Francisco, June 27-29-20

Right Steps, Wrong Outcome — What Harkabi Teaches Us
Review of this important case and lessons on institutionalizing process memory to avoid excess cost and risk with guest experts David Stanton from Pillsbury, Tom Lahiff former CGOC Chair, and Deidre Pisknad, CGOC founder.
Webinar— April 2

Discovery and Disposition — From Strategy to Execution
Case study and guidance on how to extend a rigorous discovery program to information governance and defensible disposition. Guest expert Eckhard Herych, Global Head of Information Governance, Novartis.
Webinar— April 5

Working Group Presentation on Information Retention Management
The 10 Retention Elements Needed for Routine, Defensible Disposition — work product from the CGOC RIM working group. Co-chairs Lorrie Luellig, counsel, Ryley Carlock & Appleswhite, Harry Pugh, former Managing Director, Operations & Technology Policy Coordinator, Citigroup
Webinar— April 19

Rigorous Discovery, Value-Based Retention and Defensible Disposal
With guest experts from Novartis, Swiss Re, Gartner and hosted by Swiss Re at their Center for Global Dialogue.
May 3-4, hosted by Swiss Re

Prevailing Practices — Peer Benchmarking & Common Breakdowns
With expert discussion leaders from Exelon, JPMorgan Chase, ExxonMobil and other corporations. Long lunch meetings hosted at Seyfarth Shaw offices.
San Francisco, June 2 | Chicago, June 7 | Dallas, June 9

Social and Mobile Media Mock Discovery Hearing
Exploration of the tricky issues corporate and individual litigants face in preserving and producing social and mobile data, including a discussion of the SCA and other constraints. US Magistrate Judge Peck presiding, hosted at JPMorgan Chase. Morning session and lunch. With guest experts from JPMC, U.S. Magistrate Judiciary and hosted by JPMC, this is a 1/2 day executive meeting.
New York, June 15

Defensible Disposal Workshop
With guest experts from Novartis and others sharing their best practices on addressing eDiscovery and Disposition
September 12-23 Basel, Switzerland

What Legal, RIM and IT Leaders Can and Should Do To Reduce Risk and Cost
Expert discussion led by Susan Rider, Assistant General Counsel at Exelon, on why these stakeholders must engage and what areas their practices need to change.
Chicago, October 5-6

With support and expertise from:
PSS IBM HURON HUSCHBLACKWELL SEYFARTH SHAW LECG RYLEY CARLOCK PILLSBURY

For more information or to register go to www.cgoc.com

CGOC
www.cgoc.com

2011 PROGRAM OVERVIEW

Working Groups

Prevailing Practices for Preservation and eDiscovery
Co-chairs Robert Levy, Counsel, ExxonMobil and Tom Lahiff, attorney

Records Information Management
Co-chairs Lorrie Luellig, counsel Ryley Carlock & Appleswhite and Harry Pugh, former Managing Director, Operations & Technology Policy Coordinator, Citigroup

Social and Mobile Media
Chair: David Stanton, Partner, Pillsbury Winthrop Shaw Pittman LLP

Information Governance
Co-chairs Eckhard Herych, Global Head Information Governance Management, Novartis and Bill Chulak, IT Director, Amgen

CGOC Membership
CGOC is an exclusive community of corporate practitioners with more than 800 members today from the disciplines of legal, records, and IT.

Legal

- General Counsel
- Assistant General Counsel
- Litigation Counsel
- eDiscovery Director

IT

- CIO
- VP, Information Technology
- IT Governance and Security
- Information Security Officer
- Information Architecture
- eDiscovery Technical Director

RIM

- Records and Compliance Program Officer
- Records Manager

Legal 50%
IT 25%
RIM 25%
by Dept.

“CGOC has done significant work in advancing legal holds and retention practices of corporations.”
— Vivian Tero, IDC

The CGOC meetings “... exceeded my expectations... information and knowledge rich...”
— Cathy Perry, Schering-Plough

Publications

Information Governance Benchmark Report in Global 1000 Companies

Benchmark Survey on Prevailing Practices for Legal Holds in Global 1000 Companies 2nd edition Fall 2011

Social & Mobile Media: Discovery Practices & Considerations

Subscribe to our monthly newsletter to get the latest news and updates

CGOC [Compliance, Governance and Oversight Council] brings legal, IT, records and information management professionals together to discuss current and best practices in discovery, information governance, privacy and data management. For more information or to register go to www.cgoc.com

Learn More About Executive Challenges & How You Can Be Part of the Solution



4:30 PM – 5:20 PM Tuesday
Addressing The CIO's Cost Challenges



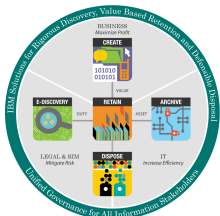
10:15 AM – 11:05 AM Wednesday
Addressing General Counsel's Risk Challenges



11:15 AM – 12:05 PM Wednesday
How RIM Helps -- Aligning Retention Policy with Information Pace



1:05 PM – 1:55 PM Wednesday
A Smarter Approach to Archiving Can Reduce IT Cost and Legal Risk



2:05 PM – 2:55 PM Wednesday
Building on ECM Investments – Value & Product Roadmap

