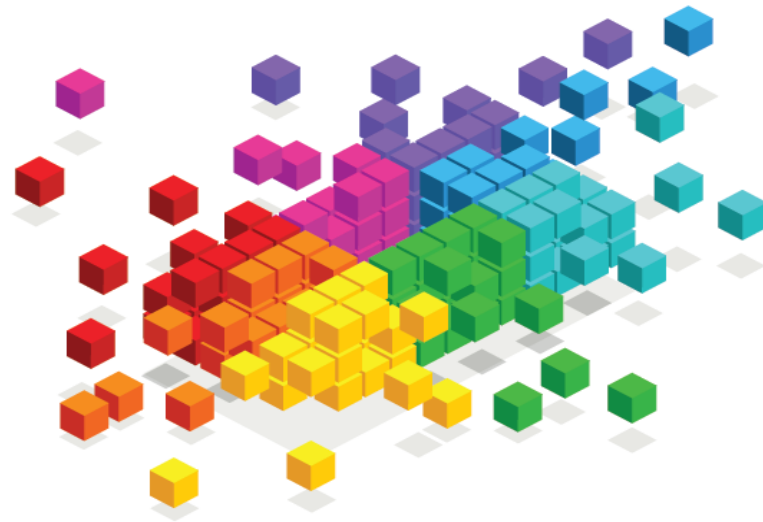


Records and Retention Management for Reduced Cost and Risk

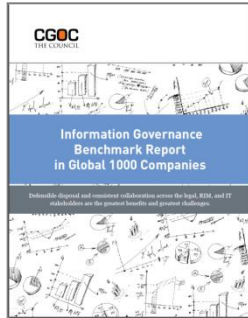
Putting Content to Work
ECM UserNet 2011



Our Program Goal

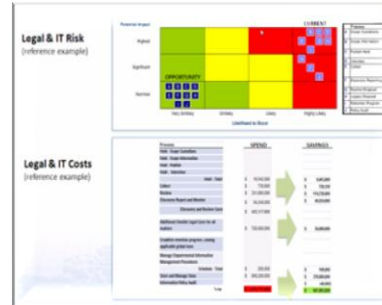
Help you identify opportunities to leverage your skills and investments on high-cost, high-risk information governance challenges your organization faces with sessions on:

1



Executive Challenges & Recent Findings

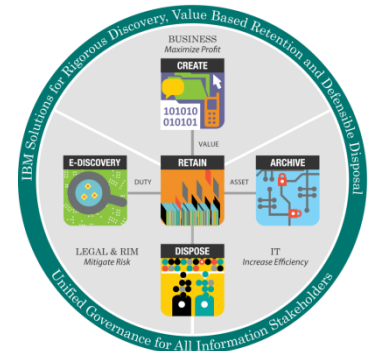
2



Executive Points of View on the Challenges

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

3

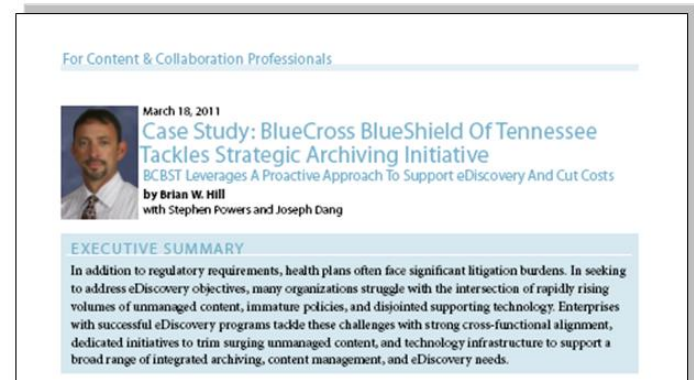


ECM Building Blocks

- ✓ Value Roadmap
- ✓ Product Roadmap

Leadership Opportunities for ECM Practitioners

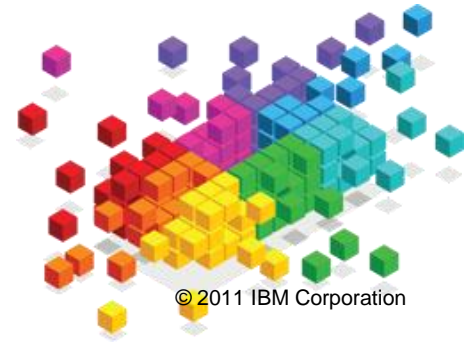
- “Working with other content and collaboration professionals at BCBST, **Andy Jacobs, the company’s lead enterprise content management (ECM) architect**, sought to address [the challenges of surging volumes of content ... including mounting legal expenses when relying on high-cost, third-party services 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. Records and retention pain points
2. Addressing the problem
3. Developing the business case for change
4. Building on your expertise and ECM investments
5. Resources to learn more

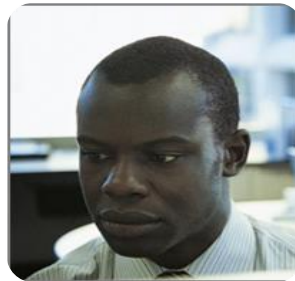


Multiple stakeholders are involved



CIO

- 10-fold increase in information volume and diversity since '06 – very little disposed of
- 50% YoY data growth, 1% budget growth



General Counsel

- New 2006 legal rules expanded responsibilities to all information with net new risks and processes
- 10x rise in sanctions cases



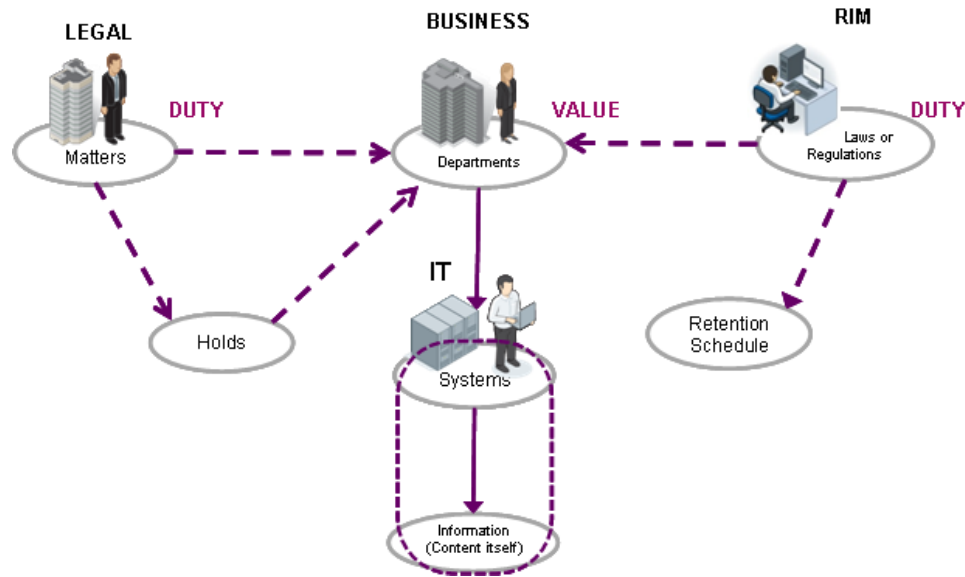
VP Records

- Often does not have a seat at the table – making change difficult
- Still challenged to meet legal and regulatory obligations for recordkeeping and retention for all information

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

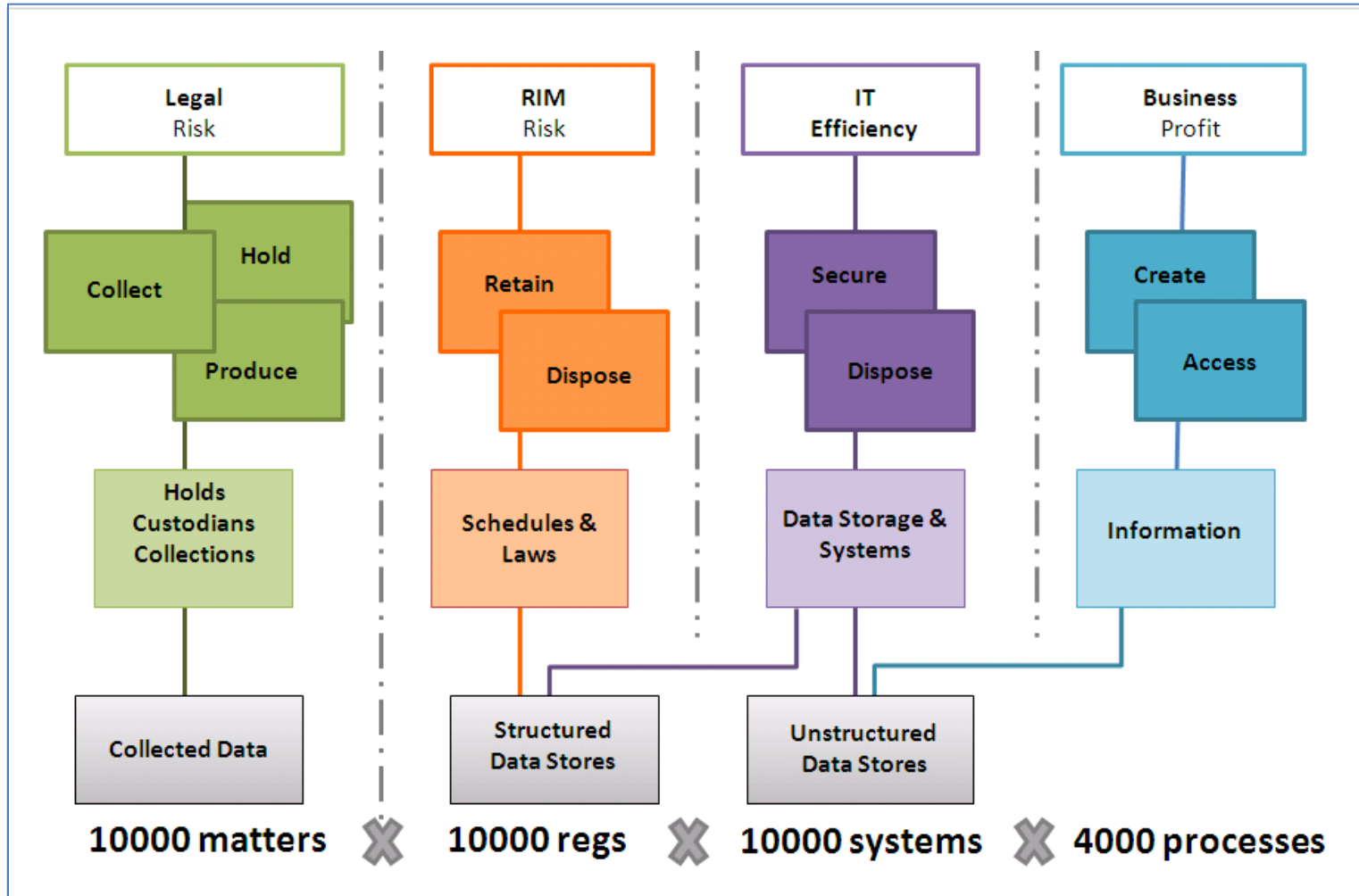
- ✓ No modern mechanism to communicate specific value to IT (or legal)
- ✓ 1000s or 10,000s of departments doing various business functions with variable info value

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

Everybody's doing their job, but ...*risk and cost are too high!*

Isolated Stakeholders & Processes



Silos of activity

Manual, semi-structured processes

No systematic linkage of holds, schedules or business utility to information assets

Significant complexity

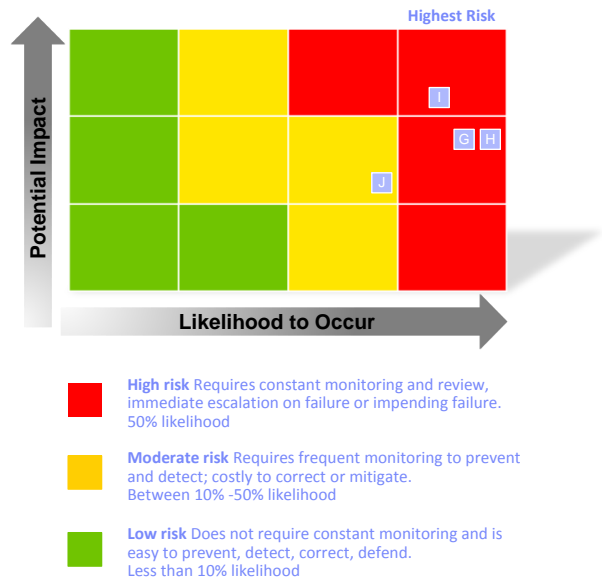
Records and Information Management (RIM) Stakeholders

STAKEHOLDER	 VP Global Policy & Program	 Director or AVP Records Management	 BU Records Leader	 Information Managers
PAINS	<ul style="list-style-type: none"> ▪ Key concern: non compliance with regulations, obligations ▪ Policies are not enforced, out of date, and difficult to maintain ▪ Records programs in place only apply to subset of information. ▪ Global policies disconnected from business units. ▪ Legal holds are difficult and tedious to apply and may not be accurate so disposal is risky ▪ Challenged to reliably/efficiently respond to legal requests for data 	<ul style="list-style-type: none"> ▪ Records management initiative not delivering full value to the enterprise – stalled due to complexity, cost, lengthy deployment times, lack of user acceptance ▪ Records program only focused on a narrow subset of information in the organization ▪ How do I ensure retention schedules are actionable? ▪ No knowledge of actual procedures, information, location, use, value ▪ Facing pressure from perceived “good enough” alternatives 	<ul style="list-style-type: none"> ▪ How do I know what global policies apply to my business unit? ▪ The global policies don’t take into account how we do business in our business unit ▪ What do I do with all the “non records” in email, file systems, SharePoint, SAP...? 	<ul style="list-style-type: none"> ▪ How do I implement confident and efficient enforcement of policies? ▪ Right now I “keep everything” but the cost is unsustainable ▪ How do I dispose of / decommission systems or information in accordance with retention and legal obligations?

Quantifying the risk

Sources of Failure Risk in Manual Process:

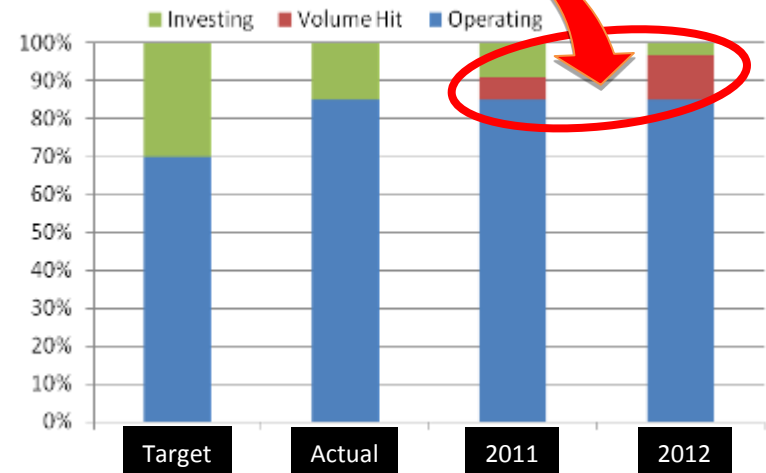
- G.** Retention schedules are not followed and/or the validity of the current schedule is hard to defend.
- H.** IT saves all data because they fear disposing of the wrong data, increasing discoverable mass and confusion.
- I.** IT disposes of data subject to legal obligation.
- J.** Internal compliance audit failures on records and legal holds expose the company in discovery or unable to respond to regulators.



Quantifying the cost

- How much information is past retention but is still retained?
- How much do you spend on storing information – including paper – that is kept too long?

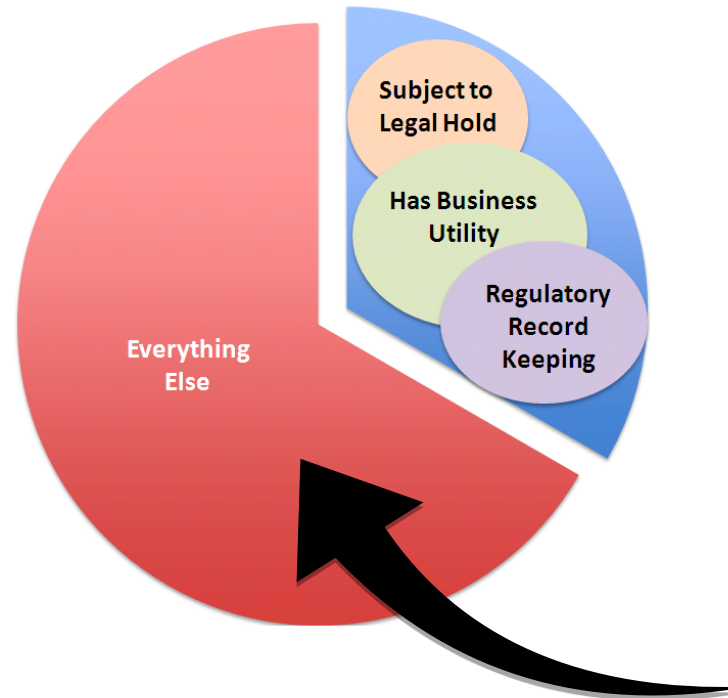
G3 Oil Company Case Study CIO Crisis: Budget Eroded by Waste



Information growth will devour IT budget over time

Simple Logic

- If you know what you need to preserve for litigation and regulation
- And you know what you need to keep 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:

1. Manage everything as if of value
2. Guess if you're in compliance
3. Spend too much to manage unnecessary data
4. **Spend too much to preserve and produce it unnecessarily**

RIM, Legal, and IT Share the Pain and Problem

3.5%

Percentage of revenues spent on information management (6.5% in Financial Services)

44x

Projected information growth, 2009-2020¹

¹ [IDC Digital Universe Study, May 2010](#)

\$3M

Average cost to collect, cull and review information per legal case²

70%

Portion of information unnecessarily retained³

² [Litigation Cost Survey of Major Companies, 2010](#) (from [Conference on Civil Litigation, Duke Law School, May 2010](#))

³ Industry estimates

98%

Companies that cite defensible disposal as key result of governance programs⁴

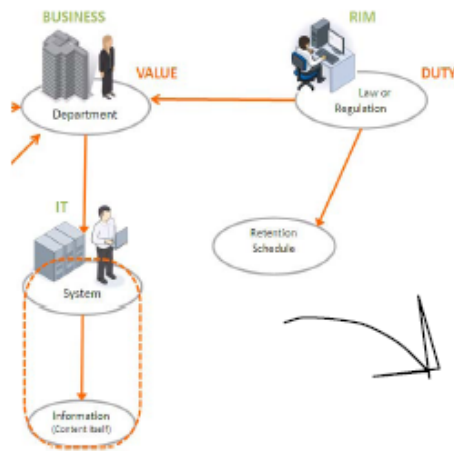
22%

Companies that can defensibly dispose today⁴

⁴ [CGOC Benchmark Report on Information Governance](#), October 2010

“Benchmark Report on Information Governance in Global 1000 Companies”
Published By The Compliance, Governance and Oversight Council:

RIM's Information Governance Challenges



Records and IT
Practices Don't
Align Well

85% of RIM respondents said retention schedules encompassed electronic information while

80% of RIM respondents said their retention program defined retention periods for information but not the location of that information

47% said their schedules were not actionable for business and IT staff with custody of the information

another **30%** said they were usable only for small segments of the information pool such as paper

RIM stakeholders today typically lack confidence in their current records and retention processes

The big risk: Information retention not managed and executed across all information in a manner that meets regulatory, legal and business requirements

Records / Retention Process	5 Sources of risk	Confidence?
Establish retention program for all information	Retention/records program in place only for physical records or for a small subset of information in an enterprise. Policies are in place – but are not being followed.	
Manage departmental information management procedures	Departmental procedures not aligned to global policy. Local siloed approaches underway, circumventing global policies. Global policy too complex and irrelevant to most local departments. Lack of knowledge of actual local procedures, information, location, use, value.	
Routine disposal	We “keep everything” because it has no systematic way to determine obligations or value. Or, information is disposed of even though it should be met for regulatory, legal or business requirements.	
Disposition of legacy data	No connection between records/retention program, and legal holds.	
Information policy audit	We hope no one audits – we’d never pass.	

Common RIM Challenges and Call to Action

Challenges

1. Complexities and interdependencies are difficult to manage – laws, org, people, data types, holds, systems and repositories
2. Need to define and enforce retention periods for *information*
3. Legal holds processes are disconnected from retention practices

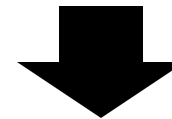


**No reliable disposition,
over retention is rampant**



Call to Action

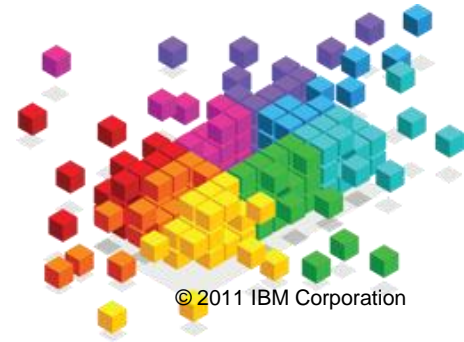
1. Must manage both globally and locally for coherence and compliance
2. Must manage all information by its value and manage out waste
3. Must be synchronized with legal holds process in real time for defensible disposal



**Confident disposition,
value-based retention**

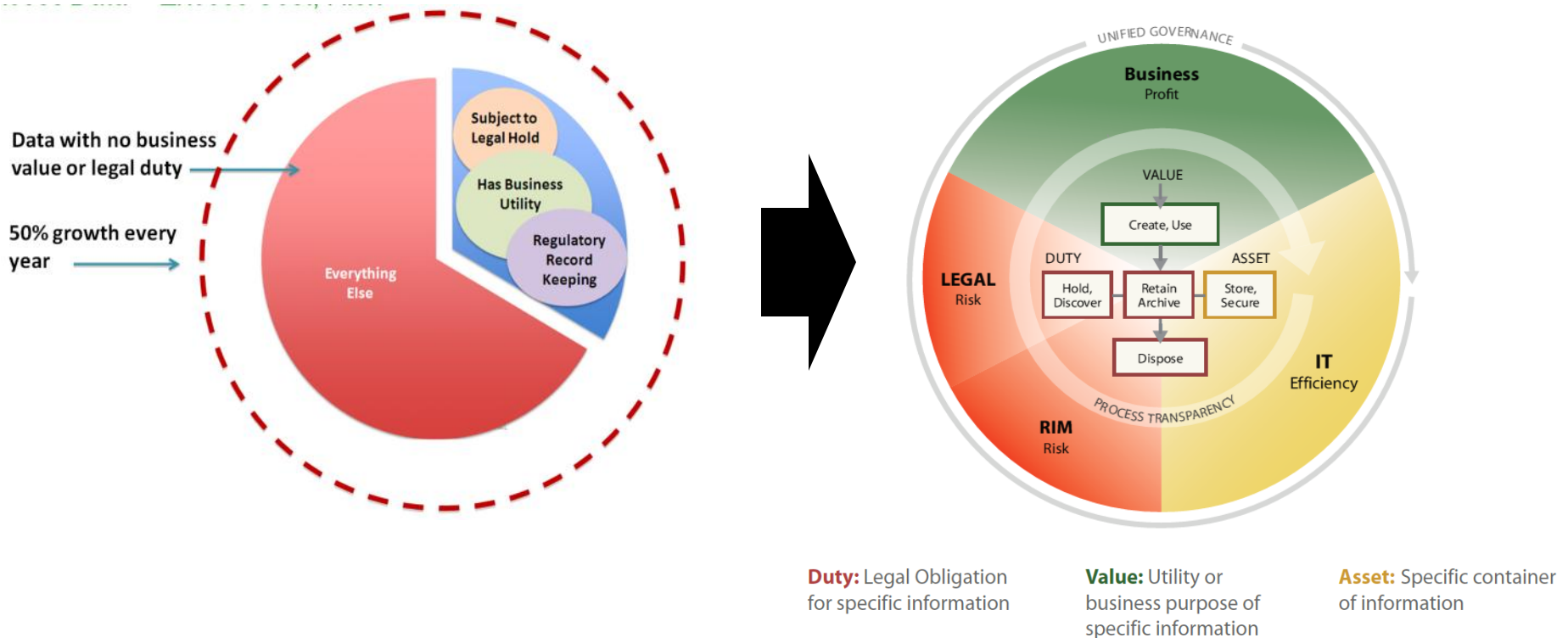
Topics

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



The Path from Ad Hoc to Shared Responsibility

Lower Risk & Cost, Higher Value



Align and Enable All Stakeholders for Value-Based Retention and Defensible Disposal



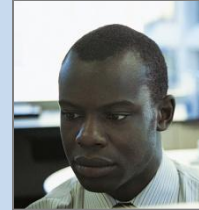
Only IBM Links RIM Processes & Stakeholders to Enable Confident Disposition, Value Based Retention



VP Global Policy & Program



Director or AVP Records Management



BU Records Leader



Information Managers

Manage a Global Program

- ✓ Record keeping and privacy requirements
- ✓ Records coordinator communications
- ✓ Global taxonomy
- ✓ Ensure retention policies are actually followed

Define Information Retention

- ✓ More accurately reflect business need and value
- ✓ Define end of life for all information
- ✓ Sustainably reflect business complexity in retention schedule

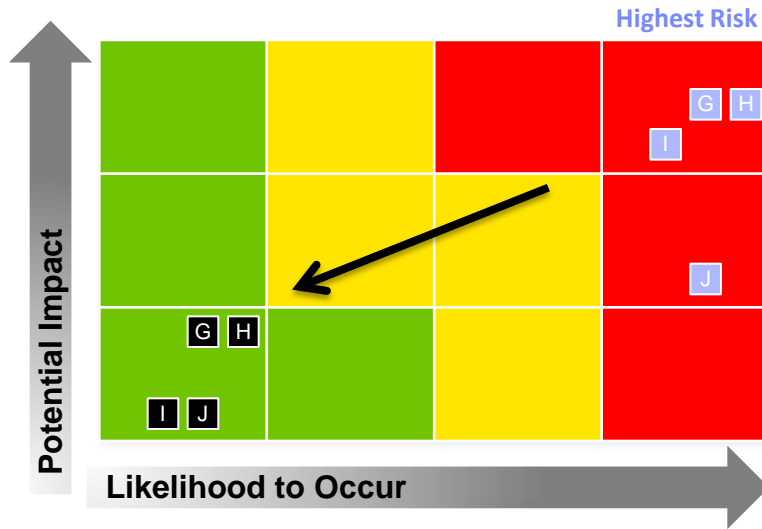
Identify Records across Enterprise

- ✓ Harvest records from SharePoint, email, files, SAP, paper
- ✓ Classify and clean up legacy data
- ✓ Declare records in formal and informal processes

Confident, Efficient Enforcement

- ✓ Secure records repository (DoD 5015)
- ✓ Compliant records schedule enforcement across repositories
- ✓ Defensible disposal

The IBM Solution Measurably Reduces Risk and Cost

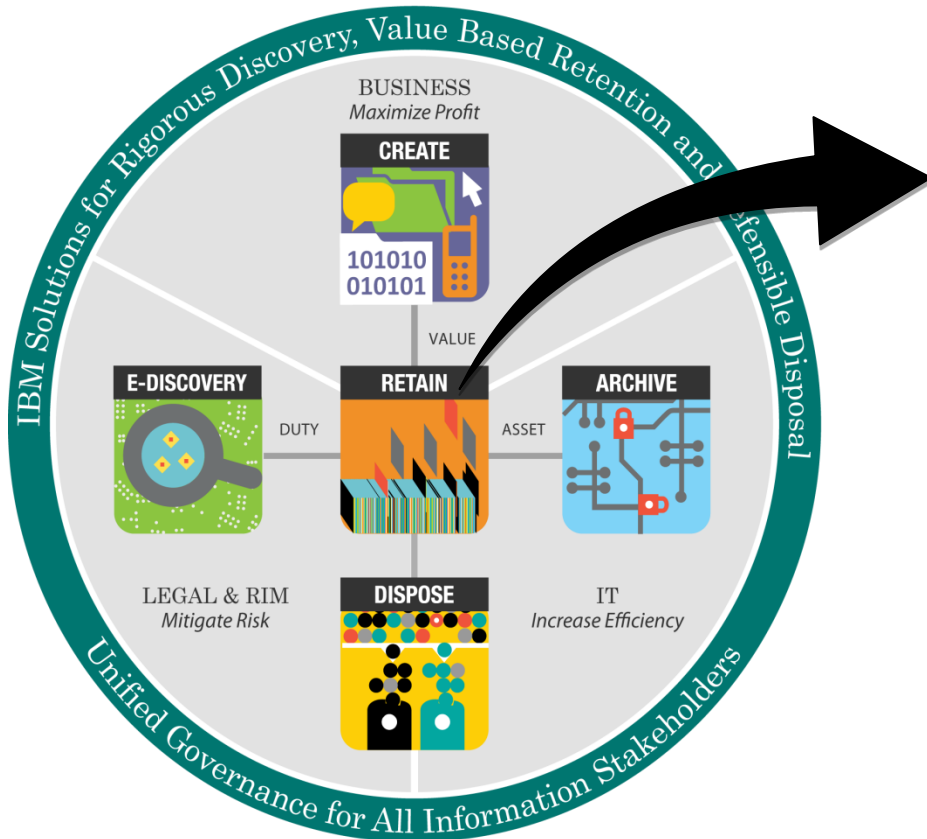


Risk Mitigation Achieved with Software:

- G.** Business specific schedules can be easily and sustainably managed and automated, so data can be identified in discovery and properly disposed.
- H.** IT saves only data of value or that which is subject to legal obligation, and performs routine, defensible disposal.
- I.** IT saves and manages data commensurate with its value
- J.** Predictable audit compliance and highly defensible legal holds and disposition.

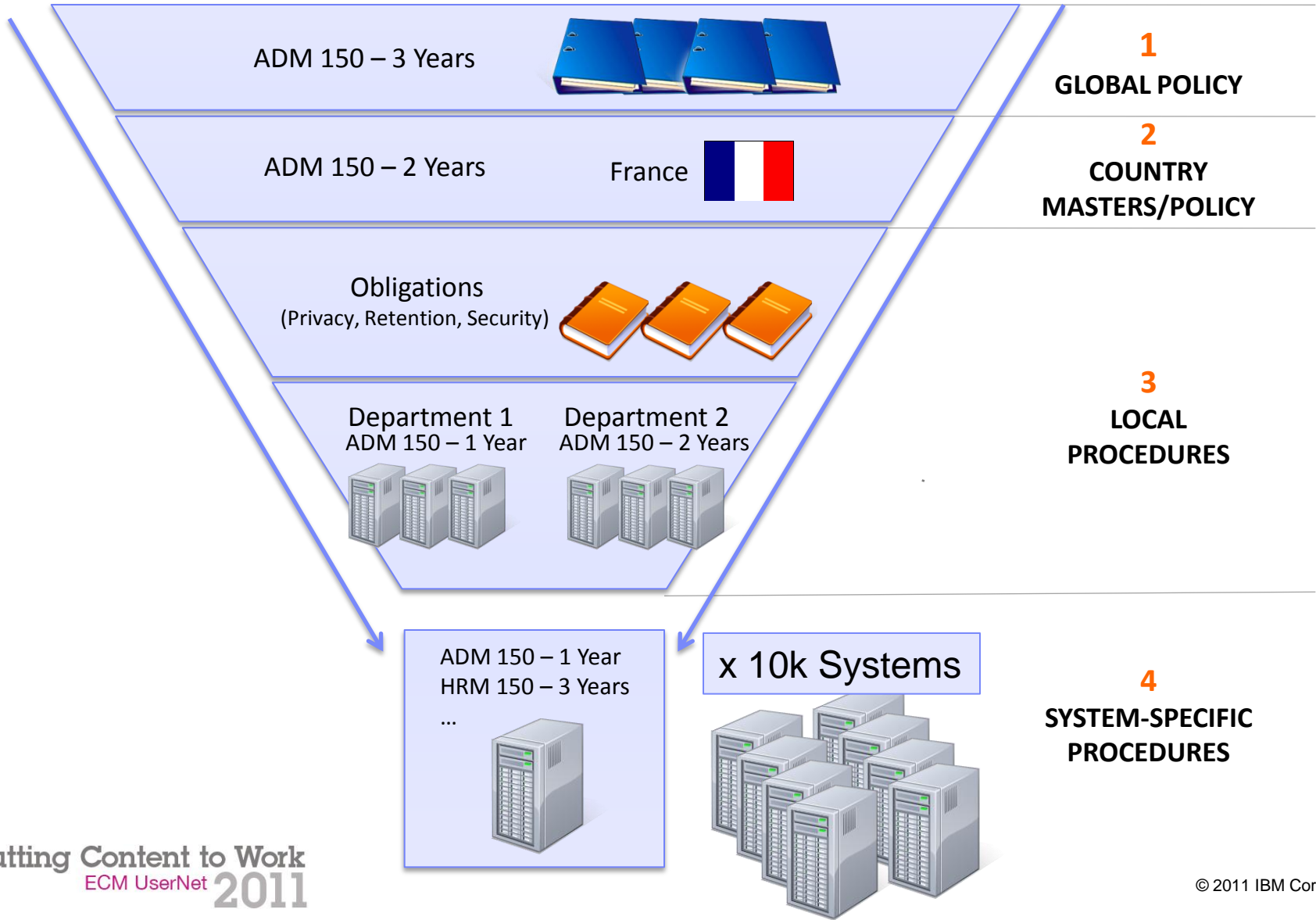
- High risk** Requires constant monitoring and review, immediate escalation on failure or impending failure. 50% likelihood
- Moderate risk** Requires frequent monitoring to prevent and detect; costly to correct or mitigate. Between 10% -50% likelihood
- Low risk** Does not require constant monitoring and is easy to prevent, detect, correct, defend. Less than 10% likelihood

IBM Records and Retention Management Solution Set



Process Needs	Capabilities Required	Products that can help
Global Policy and Schedule Management	<ul style="list-style-type: none"> Establish Retention program all information Management departmental information management procedures Disposition of legacy data Information Policy audit 	<ul style="list-style-type: none"> Atlas Enterprise Retention Management* Atlas Retention for Employees*
Enterprise Records Management	<ul style="list-style-type: none"> Identify records from across the enterprise – SharePoint, Email, Files and SAP Declare records in formal and informal processes 	<ul style="list-style-type: none"> IBM Enterprise Records IBM Classification Module IBM Content Collector

Reflecting Global, Country, Local and System-Level Needs



The Results: Case Study at Global 3 Pharma

A global program to manage electronic information better:

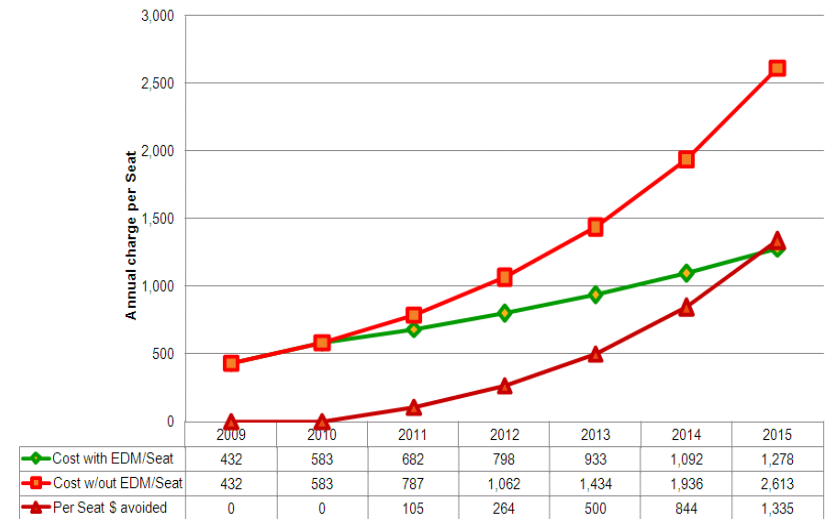
1. Dispose of unnecessary data promptly
2. Store and retrieve information easily and promptly for business use
3. Consistently store and identify Company records
4. Meet regulatory and legal requirements related to information

Which requires policies, procedures and systems to:

1. Legal hold and discovery case management system that significantly reduces the business and operational disruption required to meet legal obligations
2. Policies that comprehensively address Privacy, Information Security, Records Management and Legal requirements
3. Procedures and systems that increase efficiency of record keeping and data retrieval for business users
4. Systems that support and streamline end-user management of information needed for daily tasks and official Company records

→ **\$300 million savings**

EDM Program avoids \$3,000/employee thru 2015



IBM Provides Governance Capabilities for Legal, RIM, IT & Business Stakeholders

PROCESS TRANSPARENCY

Unified Governance

- ✓ Natively integrated workflows
- ✓ Common data model, enterprise map and governance hub
- ✓ Automatic linkage of duties, value to information assets and business processes

HOLD, DISCOVER

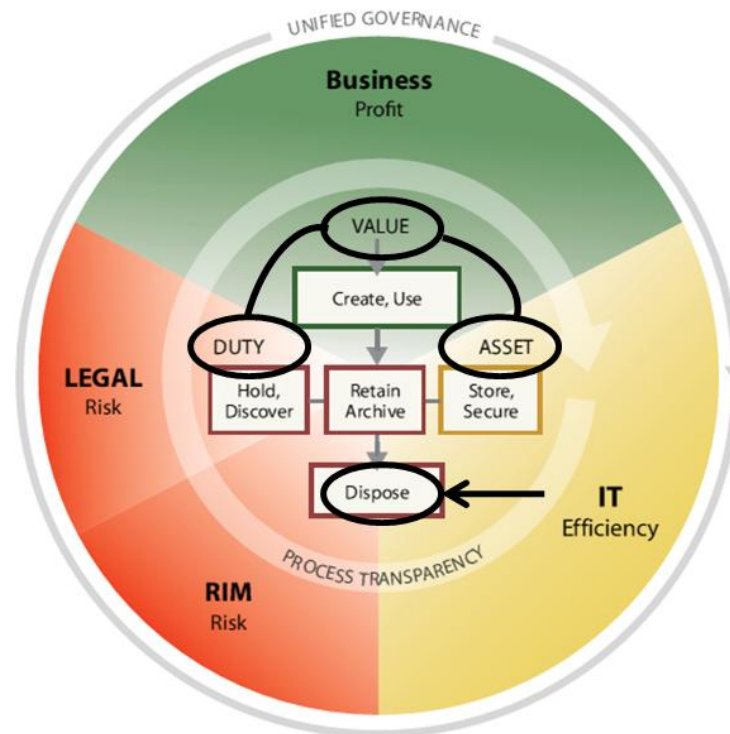
Rigorous Discovery

- ✓ Robust, automated legal holds for people + data
- ✓ Efficient discovery process, including data collection
- ✓ Early case assessment
- ✓ Legal cost and risk analytics

RETAIN, ARCHIVE

Value-Based Retention

- ✓ Regulatory requirements master
- ✓ Index of information's business utility
- ✓ Reliable retention schedules with automated classification and execution
- ✓ Cohesive archiving across data types
- ✓ Program cost and risk analytics



CREATE, USE

Optimal accessibility

- ✓ Determine what is of value
- ✓ Ensure trusted content availability
- ✓ Search smaller corpus faster for better business productivity
- ✓ Meet SLAs for structured and unstructured information access

STORE, SECURE

Efficient Storage

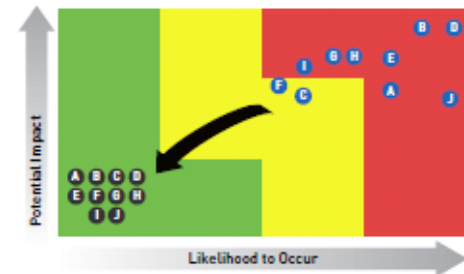
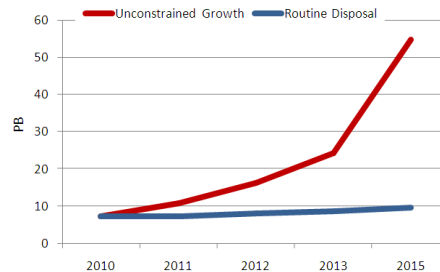
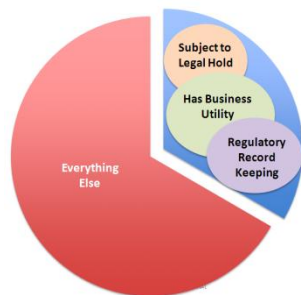
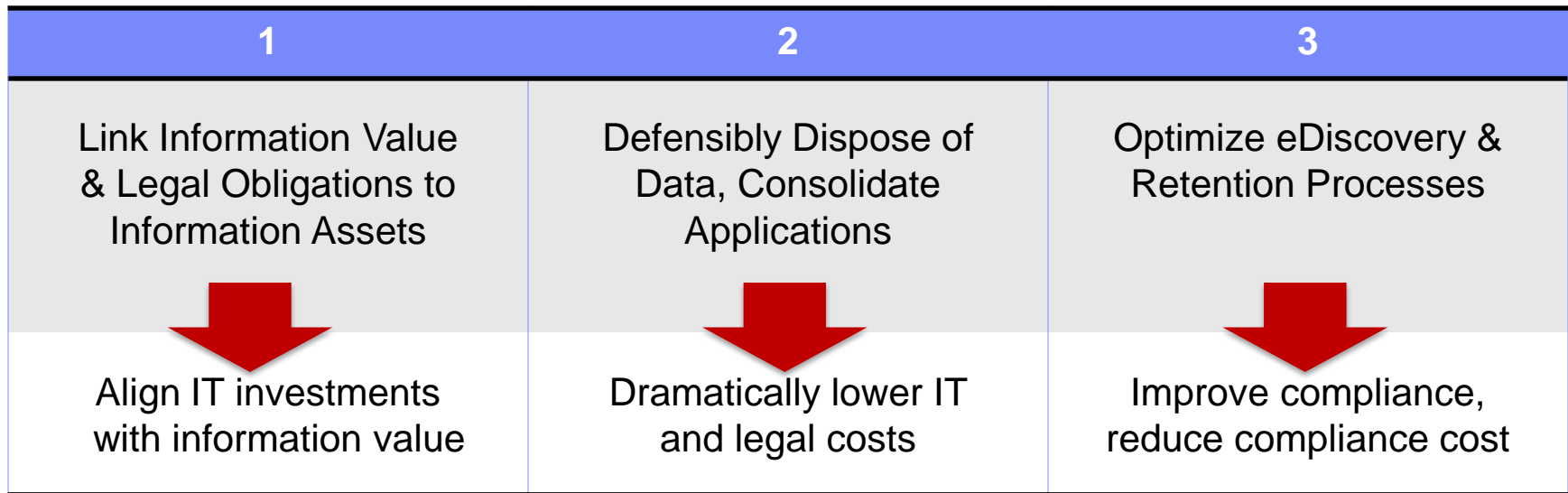
- ✓ Standardization and consolidation
- ✓ Virtualization and deduplication
- ✓ Rationalization
- ✓ Policy and governance

DISPOSE

Defensible Disposal

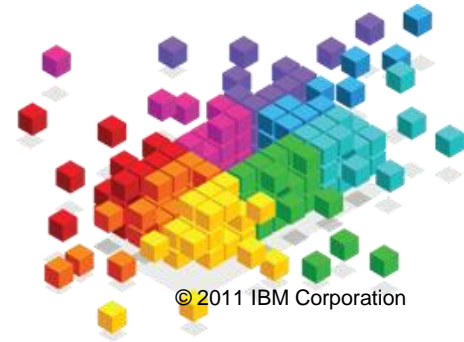
- ✓ Catalog of obligations and duty by asset
- ✓ Legacy data clean up, application retirement
- ✓ Procedures for disposal by source
- ✓ Risk and cost dashboard for information portfolio

Breakthrough Solution



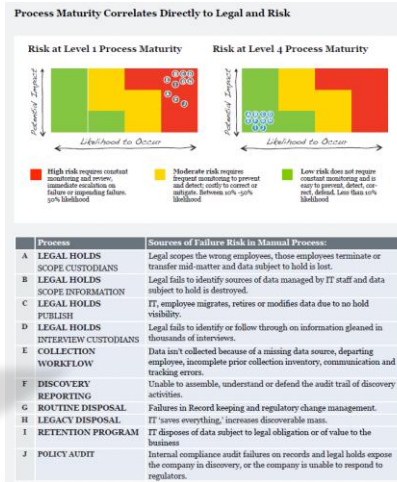
Topics

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



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-SILO	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 file collected; source, chain of custody, IT self-service look up.	Legal fails to identify or follow through on information gleaned in thousands of interviews.
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.	Data not collected because of a missing data source, departing employee, incomplete prior collection inventory, communication and tracking errors.
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.	Unable to assemble, understand or defend the audit trail of discovery activities.
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.	Failures in Record keeping and regulatory change management. IT "saves everything," increases discoverable mass.



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	\$56,064	\$120,064
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	\$145,999,744	\$419,191,744

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	\$63,872	\$54,989	\$118,861
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	\$41,593,872	\$75,489,501	\$197,497,773

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

PRACTITIONER ENGAGEMENT

2

Fact finding on current processes

Cross-stakeholder workshop

PROCESS MATURITY MODEL FOR INFORMATION GOVERNANCE

PROCESSES	LEVEL 1: BASIC FOUNDATIONAL STRUCTURED	LEVEL 2: STANDARDIZED/REFINED	LEVEL 3: HIGHLY AUTOMATED/INTEGRATED
A. Legal/Reg. Compliance	Multiple custodian arrangements	Centralized custodian arrangements	Scope by geography, people, or technology type of custodians in all data residing, multiple custodian, cross-territorial/interfaced employees in real time.
B. Data/Asset Information	Limited collection from data sources, consolidated rather than information based structure	Identify data sources to be aggregated, understand back-up procedures.	Have limited legacy tapes and data sources to be partitioned, and open back-up/restore.
C. Publish/Retire	Ad hoc manual processes and manual effort to comply.	Comprehensive policy manual for confirmation, process will be automated, subject to manual intervention and manual effort to comply.	Comprehensively and robust and semantic, require and track confirmations, ability to manage exceptions, employee or task up managed/managed/automated, automatically flag.
D. Archive/Restore	Ad hoc manual processes and manual effort to comply.	Comprehensive policy manual for confirmation, process will be automated, subject to manual intervention and manual effort to comply.	Comprehensively and robust and semantic, require and track confirmations, ability to manage exceptions, employee or task up managed/managed/automated, automatically flag.
E. Collect/Move	Identified and duplicate spreadsheets of custodian and information located in various locations.	Identified and duplicate spreadsheets of custodian and information located in various locations.	Identified and duplicate spreadsheets of custodian and information located in various locations.
F. Retire/Destroy	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.
G. Cost Control	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.
H. Monitoring/Compliance	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.	Single drive or over collect from custodian, over issue custodian, high quantity of data for review.

INFORMATION GOVERNANCE STRATEGY DESIGN AND MONITORING

The team has a number of options to reduce the volume of data and the cost of managing it to reduce the cost of compliance with regulatory and legal obligations, and to optimize the value of information while ensuring that the organization can meet its business objectives and a high degree of energy, mission and security risk.

- Share knowledge
- Identify new opportunities to improve the current business and design opportunities
- Align in a sufficient level of detail to achieve primary objectives
- Using cross-functional teams to drive implementation

AGENDA

1. Strategy & Business Objectives - Day 1

2. Clearing the Way (Data and Infrastructure)

3. Assessment/Check and Monitor Objectives Review

4. Design

5. Implementation/Operational Review

6. Summary

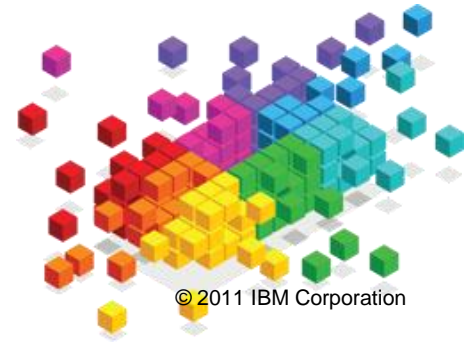
3

Executive report on ROI, Roadmap for action

Demonstrate value to each stakeholder community

Topics

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



Room for Improvement is in Adjacent Area for ECM Leaders

85% cited lack of systematic linkage and collaboration across legal, records and IT a critical point of failure

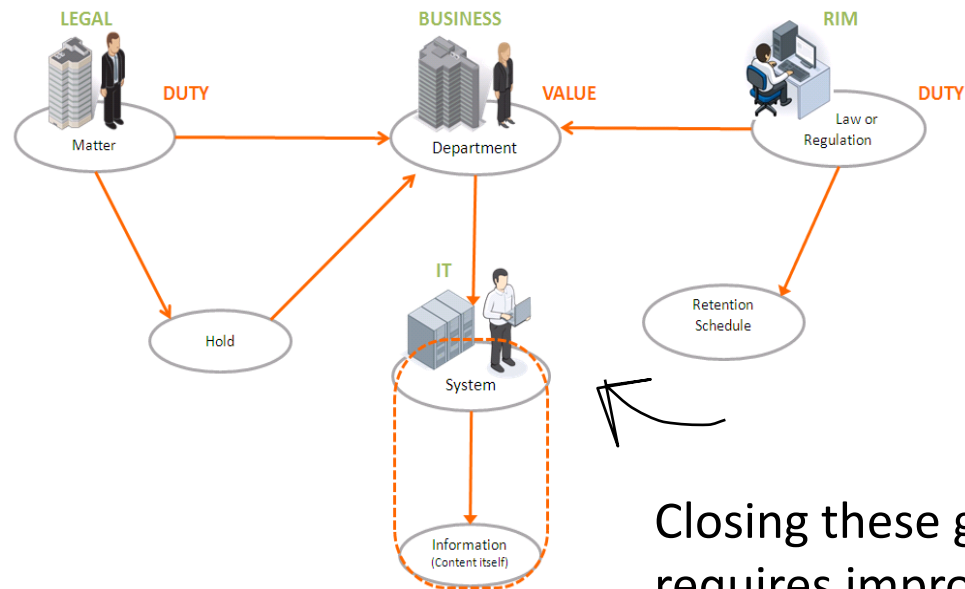
70% use people glue to link legal obligations and business value to information assets

50% of IT departments don't use retention schedules at all

33% identified records subject to legal holds as part of the hold definition

30% of companies are achieving disposal and risk reduction benefits of information governance today

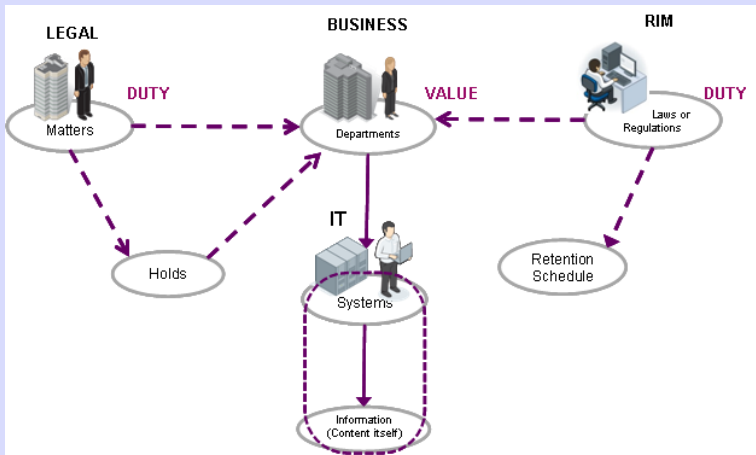
22% of companies can routinely dispose of data, predominantly paper



Closing these gaps requires improvements in:

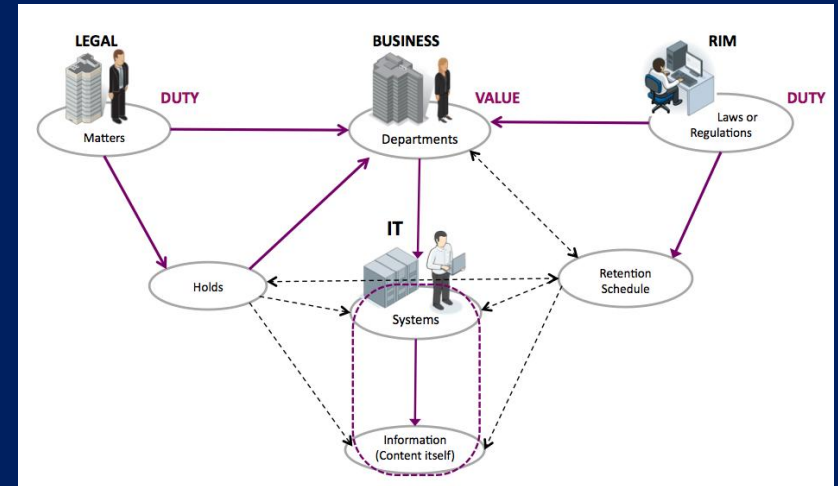
- ✓ Business process
- ✓ Information practices
- ✓ Systems

IBM Has a Differentiated Enterprise Solution



Other vendors:

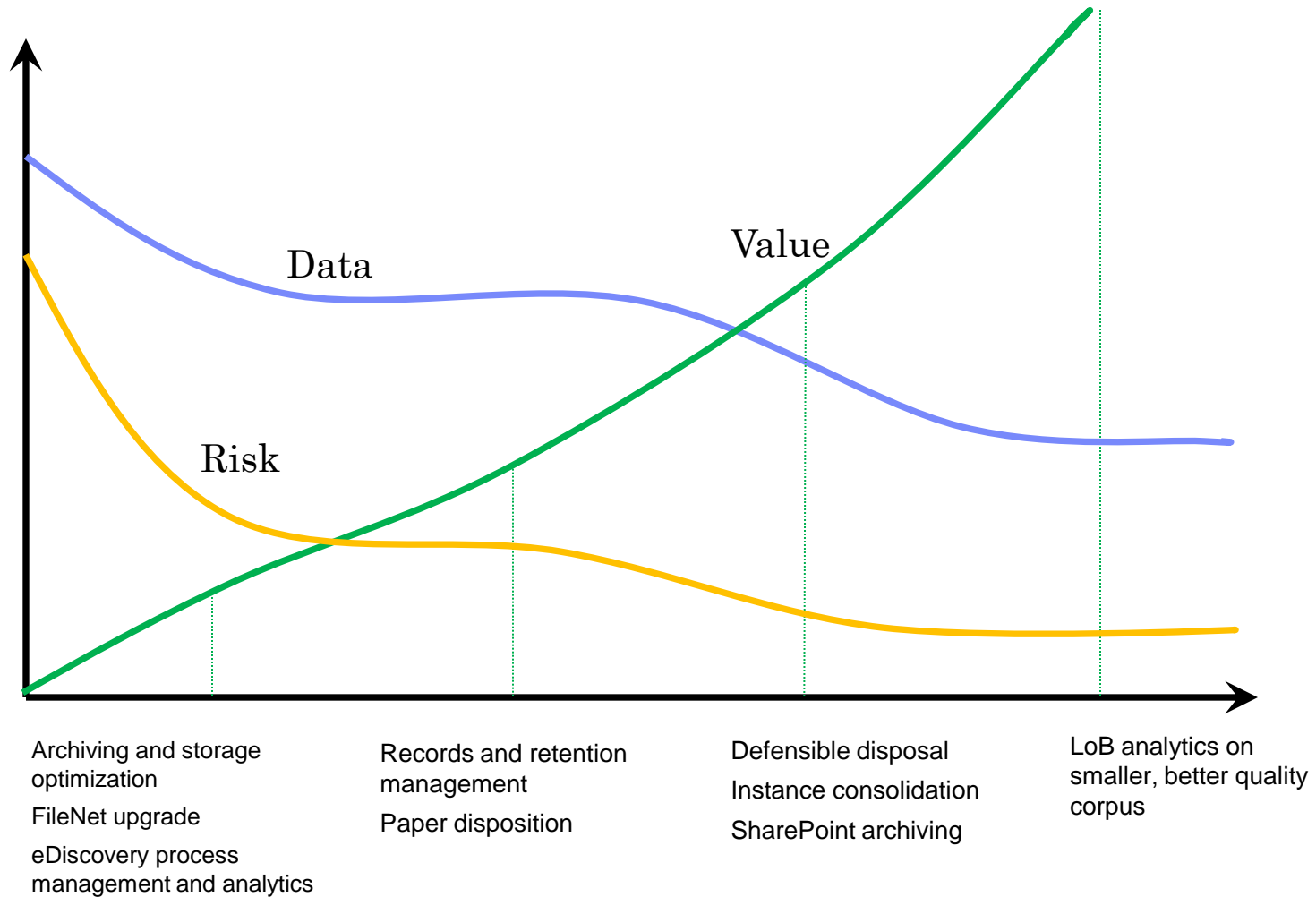
- Stretch the small budget rather than changing the huge growth curve
- Make routine disposal impossible or unreliable
- Create permanent disconnected silos between IT, legal, records and business – which leads to endless data build up
- Some ediscovery solutions actually *increase* data volume and undermine IT
- Benefit from the “storage addiction”



Only IBM:

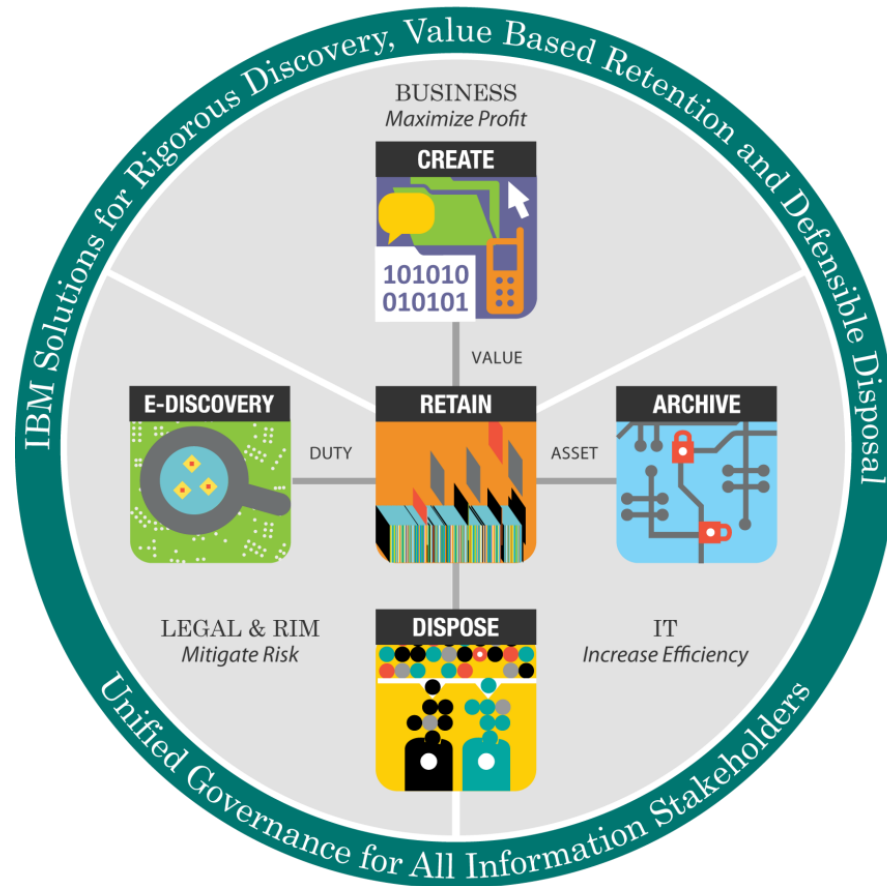
- Systematically links business value and legal duties to information assets
- Enables legacy data clean up and application retirement with data disposal
- More efficiently manage less information with Smart Archive
- More efficiently manage legal obligations for information with eDiscovery and Retention and Records Management

Building on Your ECM Investments for Enterprise Value



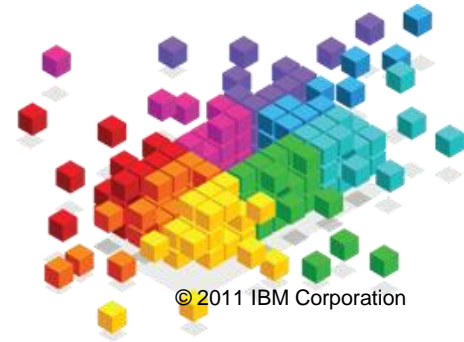
ILG Solutions Close Gaps Between Legal, IT and Records Stakeholders to Systematically Lower Cost and Risk

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



Topics

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Learn More and Assist Your RIM Colleagues

www.cgoc.com

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.
7th Annual CGOC Summit, San Francisco, January 19-20

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 Lahli former AGC at Citibank, and Deidre Finknael, CGOC founder.
Webinar — March 23

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 Laellig, counsel, Ryley Carlock & Applewhite, Harry Pugh, former Managing Director, Operations & Technology Policy Coordinator, CITgroup
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 22-23 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:

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 [Name]

Records Information Management
Co-chairs Lorrie Laellig, counsel Ryley Carlock & Applewhite and Harry Pugh, former Managing Director, Operations & Technology Policy Coordinator, CITgroup

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 Cholak, 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%

“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



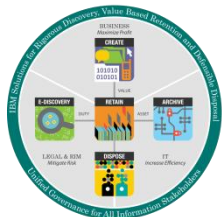
10:15 AM – 11:05 AM Wednesday
Addressing General Counsel's Risk Challenges



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

IBM Information Lifecycle Governance

TOOLS

Legal & IT Risk (reference example)

Legal & IT Costs (reference example)

EXECUTIVE REPORT
Disposal, Discovery & Data Management
Recommendations & Roadmap

DATA GOVERNANCE DASHBOARD

Key Data Metrics

- Information Governance Score
- Compliance Score
- Retention Score
- Discovery Score
- Disposal Score

BEST PRACTICE

EXPERTISE

SOLUTIONS

CGOC 2011 PROGRAM OVERVIEW

Events

- Building Better Bridges — Achieving Enterprise Excellence in Discovery, Retention and Disposition
- Prevaling Practices — Peer Benchmarking & Common Breakdowns
- Rigorous Discovery, Value-Based Retention and Defensible Disposal
- Right Steps, Wrong Outcome — What About Search?

2011 PROGRAM OVERVIEW

Working Groups

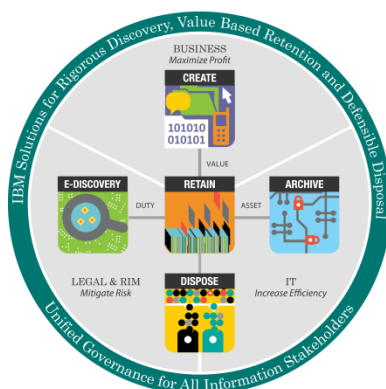
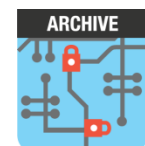
- Research Information Management
- Social and Mobile Media
- Information Governance
- Publications

Social & Mobile Media: Discovery Practices & Considerations

Defensible Disposal Workshop

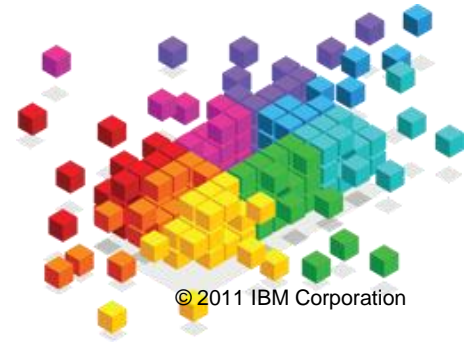
Information Governance Benchmark Report in Global 1000 Companies

Discovery and Disposition — From Strategy to Execution



References / Links

Resource	Link
Forrester Case Study: BCBST Tackles Strategic Archiving Initiative	http://www.forrester.com/rb/Research/case_study_bluecross_blueshield_of_tennessee_tackles/q/id/58702/t/2
CGOC Benchmark Report on Information Governance, October 2010	http://www.cgoc.com/register/benchmark-survey-information-governance-fortune-1000-companies
Litigation Cost Survey of Major Companies, 2010 (from Conference on Civil Litigation, Duke Law School, May 2010)	http://civilconference.uscourts.gov/LotusQuickr/dcc/Main.nsf/\$defaultview/33A2682A2D4EF700852577190060E4B5/\$File/Litigation%20Cost%20Survey%20of%20Major%20Companies.pdf?OpenElement
IDC Digital Universe Study, May 2010	http://gigaom.files.wordpress.com/2010/05/2010-digital-universe-i-view_5-4-10.pdf
Information Management Reference Model from EDRM.net	http://edrm.net/projects/imrm
Join the CGOC today!	http://cgoc.com



Thank You!



Records and Retention Management for Reduced Cost and Risk

Michele Kersey

michelekersey@us.ibm.com

Putting Content to Work
ECM UserNet 2011

