Introduction	ECM as part of Information On Demand ECM Maturity and Adoption Current Portfolio position Roadmap Vision for ECM	Doug Coombs	30
Content	The Changing Market for Content Management The Role of ECM in Collaboration ECM user interface for the desktop and the web Advanced Search and Analytics	Thorsten Zoerner	60
Process	Activating Content and Business Process Management The Roadmap for Content Centric Process Tools including product demonstrations IBM Business Process Management Strategy What's next for Process?	Daniel Crow	60
Compliance	Control and Enforcement Product positioning, roadmap and demonstrations for records and email Classification for ECM What are eDiscovery and the ECM framework for compliance?	Graham Hadingham	60
Platform	The Repository Roadmap and Federation Next Steps for Infrastructure Software as a Service Portfolio and Vision Re-Visited	Doug Coombs	30

Control and Enforcement

Graham Hadingham
IBM ECM Product Marketing (EMEA)
Compliance Technologies

Information Management software

Control and Enforcement Topics

Why Organizations Lose Control of Enterprise Content

Regaining Control of Enterprise Content

- Compliance Critical Success Factors

  - Records Management
  - Multi-Channel Content (Email) Archiving
  - Classification
  - Electronic Discovery
  - Governance, Risk and Compliance

- A Single Platform for Enterprise Compliance

Major Control & Enforcement Pressures … Right Now

Am I compliant today?
How do I stay compliant?

- Cost and Risk of Litigation
- New Rules of Civil Procedure

- User Controlled Email and Docs
- Storage Infrastructure Costs

How can I prove it?

How can I afford it?

- Cost of SOX Compliance is High
- Point Solutions are Too Costly
- No Visibility into Operations
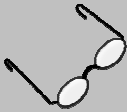
- Physical Storage Costs
- Inability to Produce All Records

PRESSURE GAUGE
1500   2000   2500   3000
1000
kPo

What's next?

Why ECM is Core to Addressing Control & Enforcement

Key ECM Compliance Elements			
Records Management	**Multi-Channel Content Archiving … and More**	**Electronic Discovery**	**Governance, Risk and Compliance**
• Manage electronic records across the enterprise with ECM • Manage electronic and advanced physical records together • Integrate Records Management into non-ECM environments • Eliminate the costs and risks of managing paper records	• Archive content and email for mailbox and storage management • Manage email as a record and ensure compliance • Manage email as content … extract buried knowledge and data • Manage email as part of a business process • Gain control of unmanaged content	• Clean up the digital landfill and build a content inventory • Enable content collection, preservation and legal holds • Improve discovery review process, reduce costs • Automate and audit legal discovery processes	• **Achieve** compliance with operational policies, processes and controls in place • **Sustain** compliance cost effectively with automated processes and active controls and risk management • **Prove** compliance by producing evidence and records of adherence to policy and processes • Expose via SOA to IT infrastructure

Key Business Driver | Overlapping Compliance Drivers

Privacy Requirements

Geopolitical Specific Regulation

Risk Management

Identity Theft

Data Protection Directive (EU, UK)

Computer Crime Law

Electronic Comms Act (BE)

MoReq (EU)

Freedom of Information (UK / USA)

ISO 17799 Information Security

DOMEA (DE)   Anti-terrorism Act (UK)

ISO 15801 Legal Admissibility

Basel II (EU)

ISO 9000 Quality   BS8600 Complaints (UK)

Operational Risk   Solvency II (EU)

CobiT

Companies Act (UK)

21 CFR Part 11 (US)

Sarbanes-Oxley (US)

Cromme / GCCG (DE)   AML / KYC   FSA Handbook (UK)

ECGI Action Plan (EU)   BaFin (DE)

Preda Code (IT)   SEC 17a-4 (US)

Corporate Governance

Industry Specific Regulations

Multiple Regulations Lead to Multiple Problems

Information Management Software | Enterprise Content Management

Key Business Driver | Overlapping Compliance Drivers

Privacy Requirements

Risk Management

Identity Theft
Data Protection Directive (E

Electronic Comm
Computer Crime Law
MoReq (EU)
Freedom of
ISO 17799 Information Security
DOMEA (DE)
Anti
ISO 15801 Legal Admissibility
ISO 9000 Quality
Basel II (EU)
BS86
Operational Risk
Solvency II (EU)
CobiT
Companies Act (UK)
Sarbanes-Oxley (US)
21 CFR Part
Cromme / GCCG (DE)
AML / KYC
FSA Handbook
ECGI Action Plan (EU)
BaFin (DE)
Preda Code (IT)
SEC 17a-4 (US)

Corporate Governance
Industry Specific Regulations

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5

1	**Depending on business users is risky, error-prone and expensive**
2	**Uncontrolled content gets lost in silos and stored everywhere … paper too**
3	**Compliance policies, controls and processes get managed from ring binders**

Multiple Problems Lead to Waste, Darkness and Cost

1	**Depending on business users is risky, error-prone and expensive**
2	**Uncontrolled content gets lost in silos and stored everywhere … paper too**
3	**Compliance policies, controls and processes get managed from ring binders**

Destroyed too soon … kept forever

Un-locatable

Un-managed

Un-indexed

Un-traceable

Multiple copies

Multiple silos

Take back control
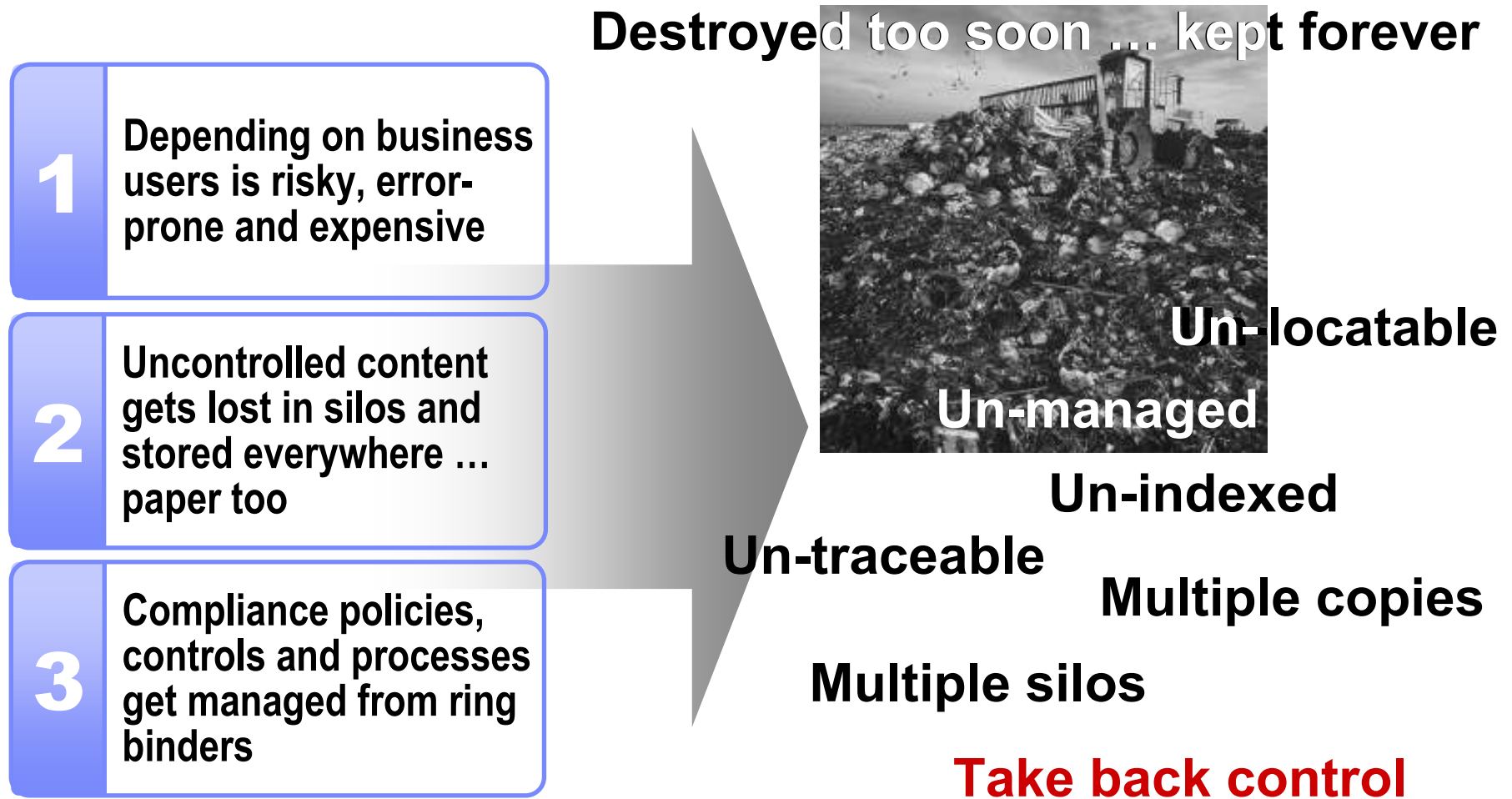
Email, documents, images … paper too

Multiple Problems Lead to Waste, Darkness and Cost

Take off the blindfold … gain content intelligence

1	**Depending on business users is risky, error-prone and expensive**
2	**Uncontrolled ... gets lost in sil... stored everyw... paper too**
3	**Compliance policies, controls and processes get managed from ring binders**

No true visibility into …
- **operations**
- **risks**
- **legal exposure**

Connect your policies, controls and records to your processes

Multiple Problems Lead to Waste, Darkness and Cost

Point solutions are too costly

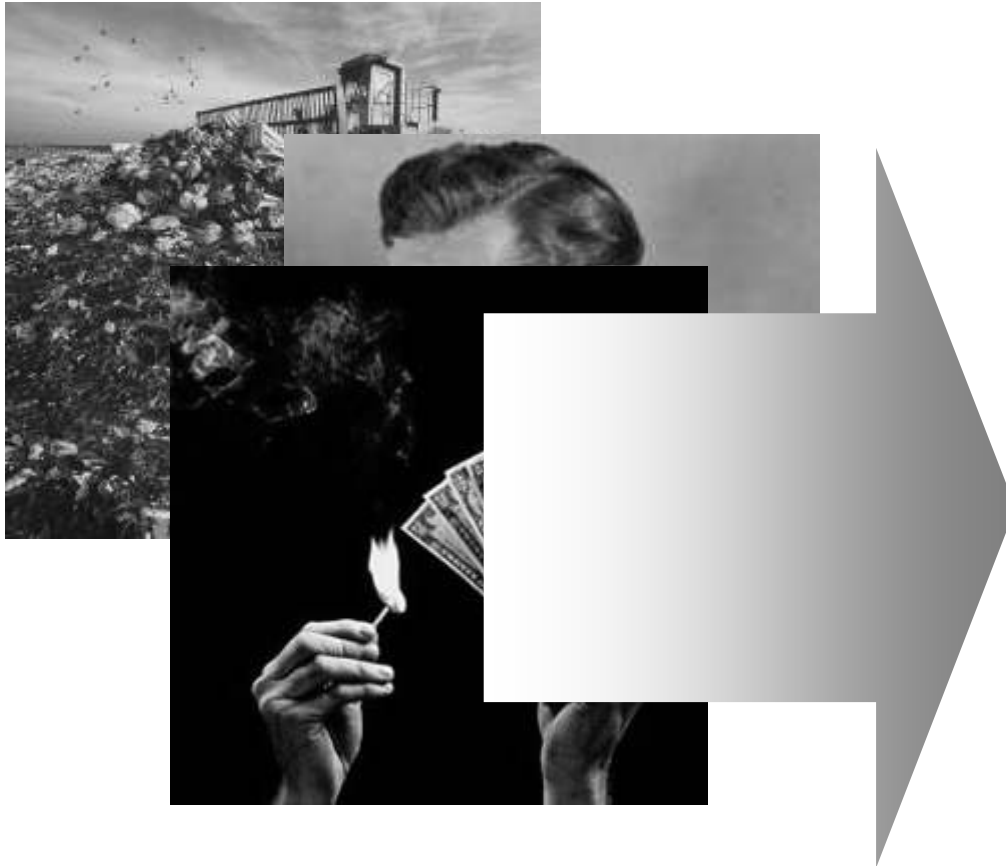| 1	Depending on business users is risky, error-prone and expensive
2	Uncontrolled gets lost in sil stored everyw paper too
3	Compliance policies, controls and processes get managed from ring binders

Manual control testing, risk assessments and record keeping should be a memory, not a strategy

How Leading Organizations Respond

1. Achieve Compliance *(Present)*

Have the proper operational policies, processes and controls in over content and processes

2. Sustain Compliance *(Future)*

Ensure that every time you perform a process you will comply with your policy and stay within the law … cost effectively

3. Prove Compliance *(Past)*

Be able to produce evidence (content) and proof that you have been compliant with policies and processes in effect the past

Manage Both Content and Processes

1. Achieve Compliance *(Present)*

Have the proper operational policies, processes and controls in over content and processes

2. Sustain Compliance *(Future)*

Ensure that every time you perform a process you will comply with your policy and stay within the law … cost effectively

3. Prove Compliance *(Past)*

Be able to produce evidence (content) and proof that you have been compliant with policies and processes in effect the past
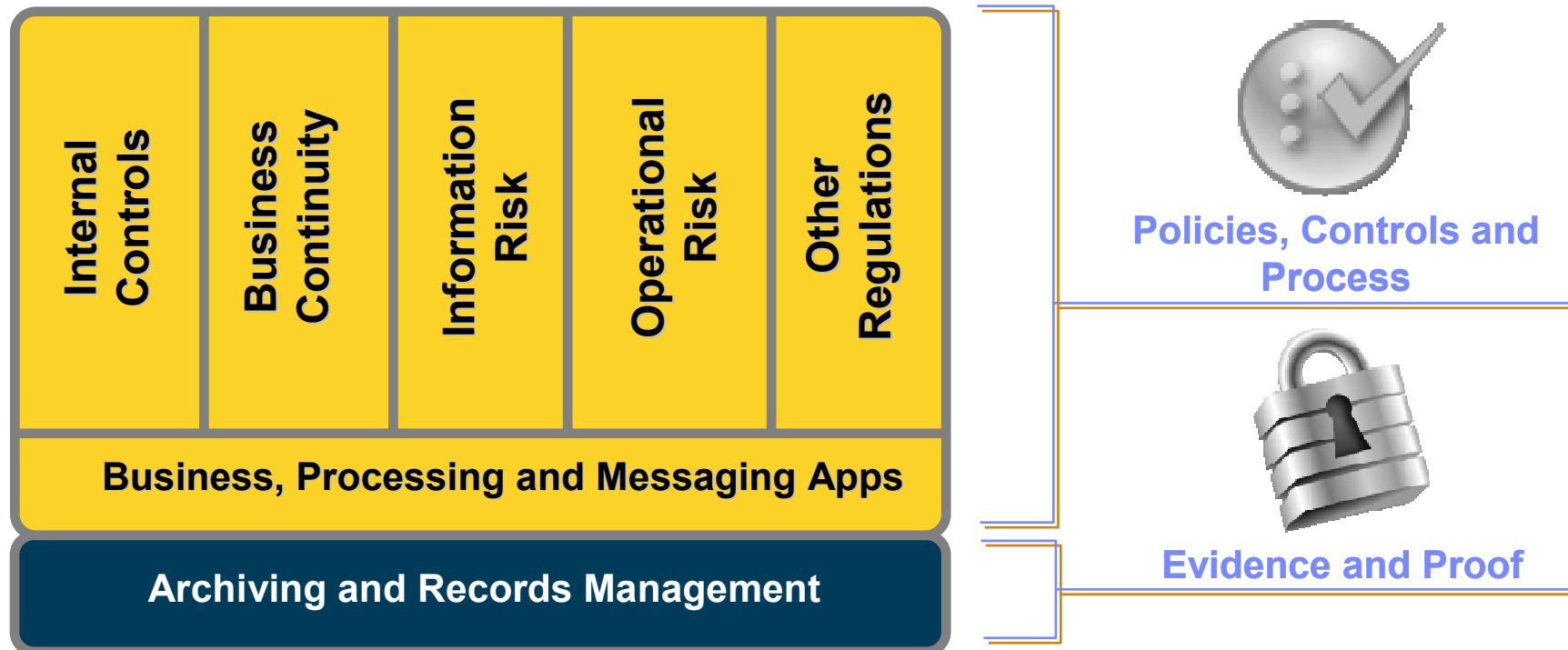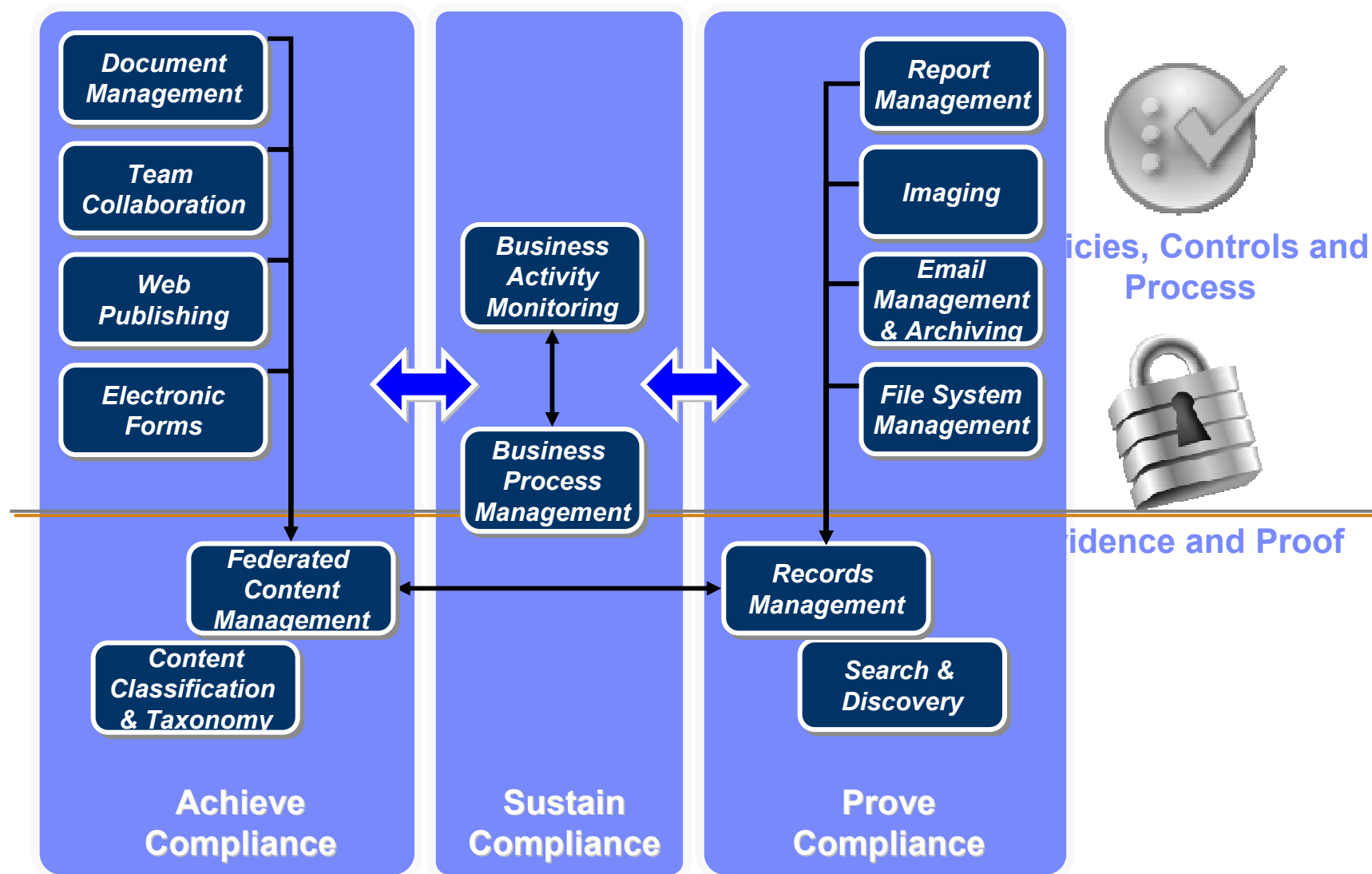
Policies, Controls and Process

Evidence and Proof

Essential to Enterprise Compliance … Two Key Ingredients

Internal Controls	Business Continuity	Information Risk	Operational Risk	Other Regulations

Business, Processing and Messaging Apps

Archiving and Records Management

Policies, Controls and Process
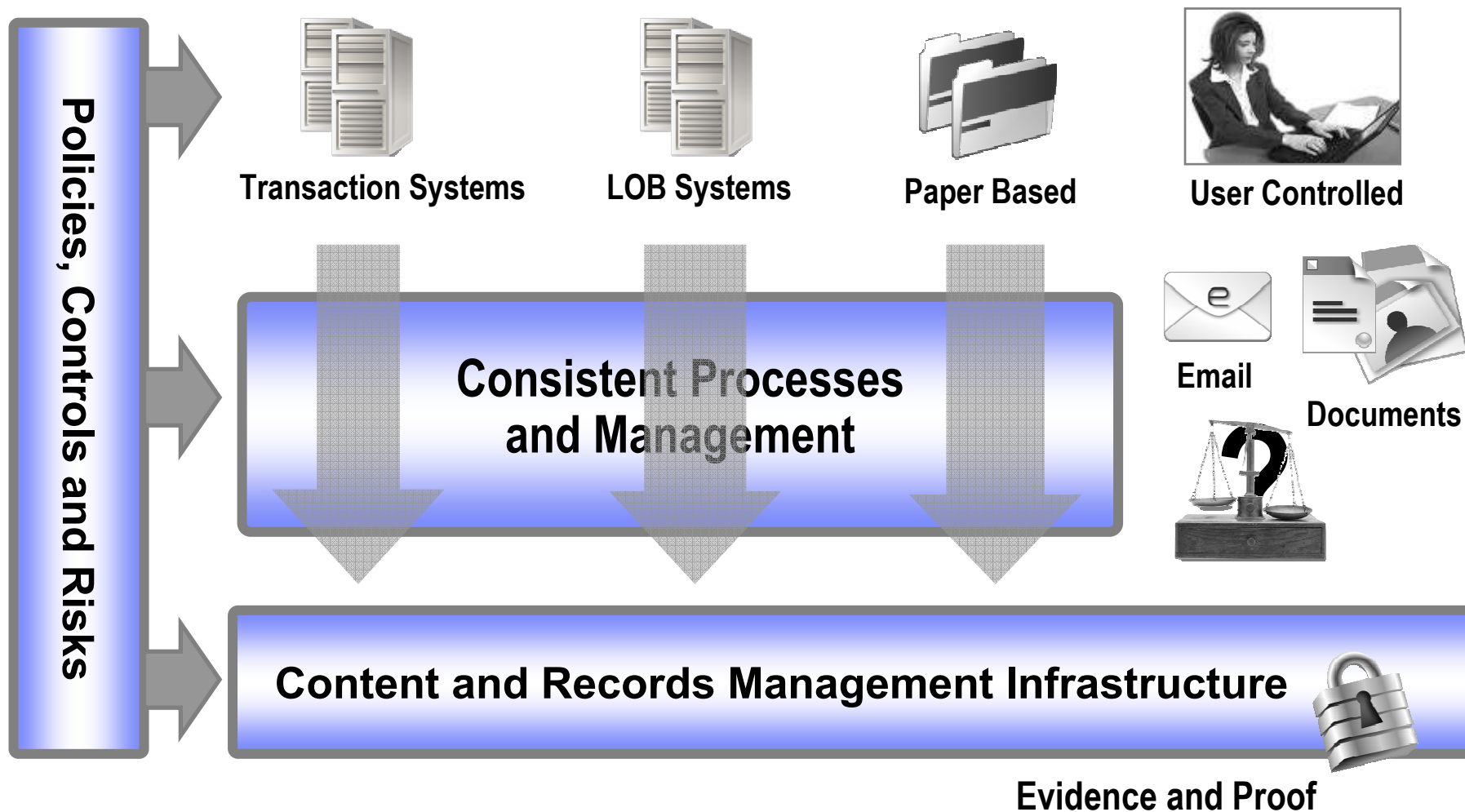
Evidence and Proof

- **Business, Processing and Messaging Applications**—helps ensure that the right controls are in place to behave in a legally compliant manner

- **Archiving and Records Management**—helps ensure that you collect and preserve the right evidence to prove your behavior was compliant

Building an Enterprise Compliance Platform

Achieve Compliance

- Document Management
- Team Collaboration
- Web Publishing
- Electronic Forms
- Federated Content Management
- Content Classification & Taxonomy

Sustain Compliance

- Business Activity Monitoring
- Business Process Management

Prove Compliance

- Report Management
- Imaging
- Email Management & Archiving
- File System Management
- Records Management
- Search & Discovery

icies, Controls and Process

idence and Proof

Key Business Driver | Sources of ECM Compliance Risk

Policies, Controls and Risks

Transaction Systems

LOB Systems

Paper Based

User Controlled

Consistent Processes and Management

Email

Documents

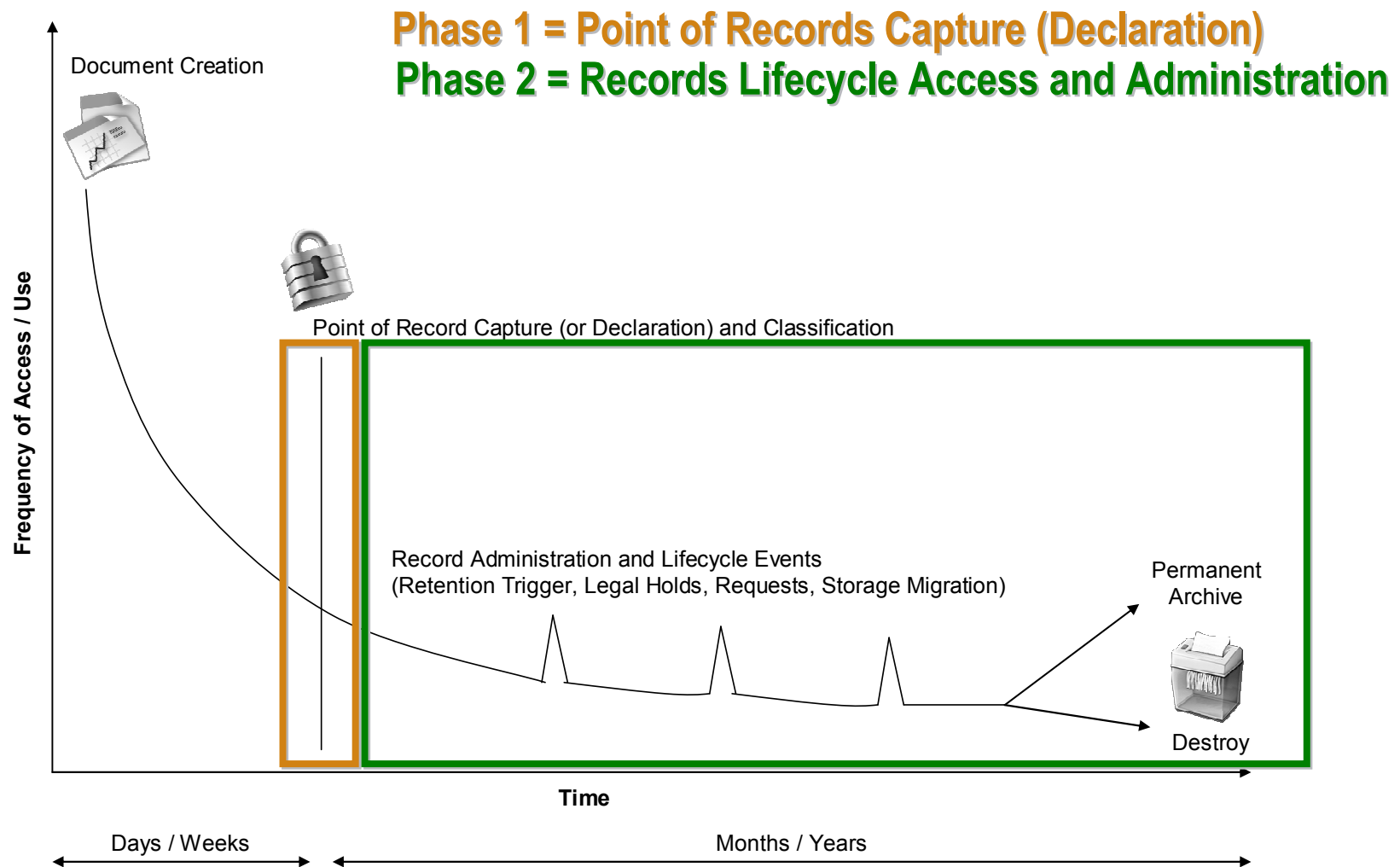**Content and Records Management Infrastructure**

Evidence and Proof

Control & Enforcement Topics

- Why Organizations Lose Control of Enterprise Content

- Regaining Control of Enterprise Content

  Compliance Critical Success Factors

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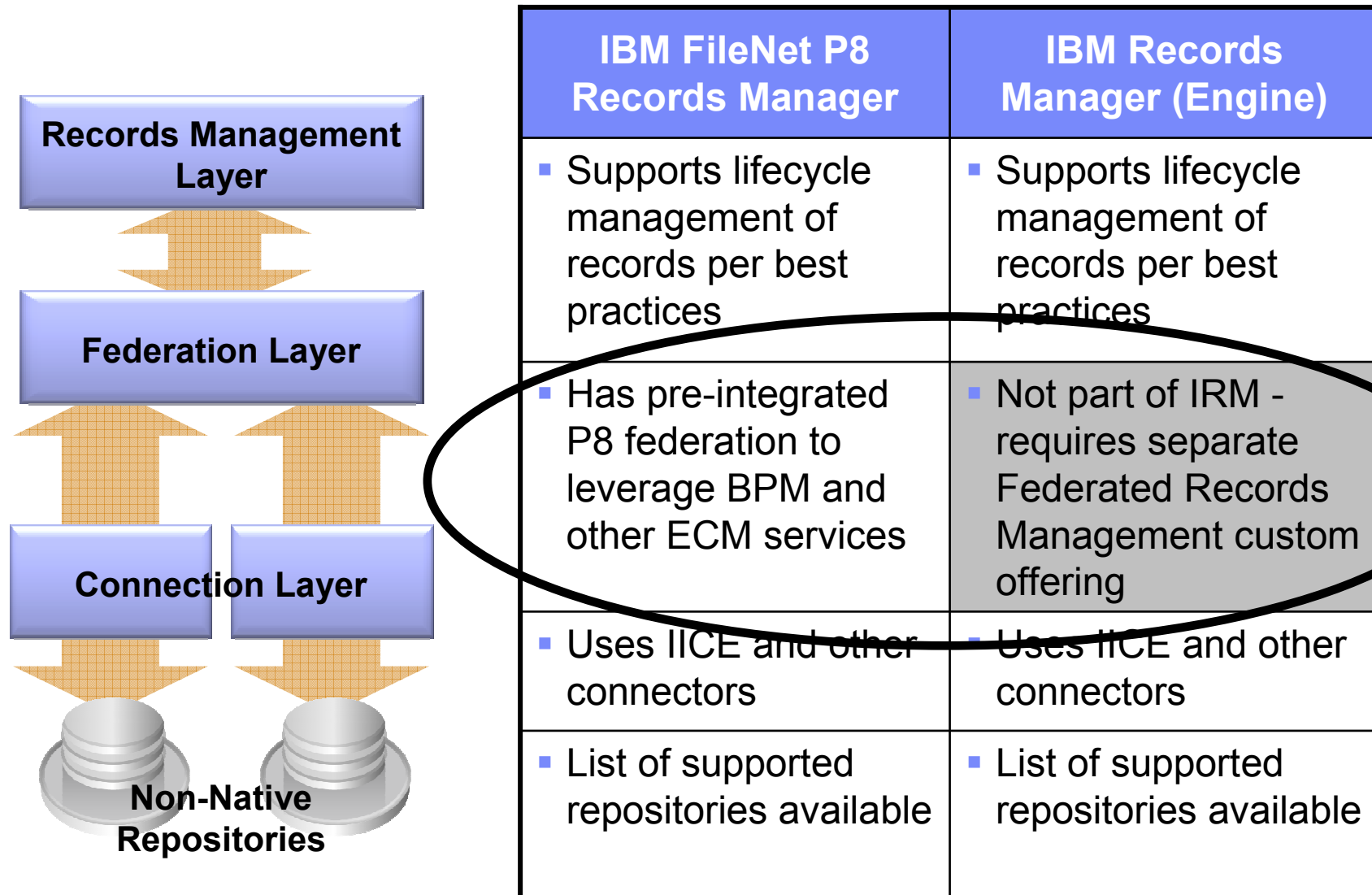
Records Lifecycle Model (RLM) Overview

Phase 1 = Point of Records Capture (Declaration)
Phase 2 = Records Lifecycle Access and Administration

Document Creation

Frequency of Access / Use

Point of Record Capture (or Declaration) and Classification

Record Administration and Lifecycle Events
(Retention Trigger, Legal Holds, Requests, Storage Migration)

Permanent
Archive

Destroy

Time

Days / Weeks

Months / Years

Enterprise Records Management

Key Business Drivers			
Manage Electronic Records Across the Enterprise with ECM (1)	**Manage Electronic and Advanced Physical Records Together** (2)	**Integrate Records Management into non ECM Environments** (3)	**Eliminate the Costs and Risks of Managing Paper Records** (4)
To ensure electronic information is captured and managed in accordance with records policies. ▪ **Automate RLM Records Capture with *ZeroClick*** ▪ **Automate RLM Records Admin Processes** ▪ **Manage Records in Place when Necessary** ▪ **Comply with Key Regulations / Standards** ▪ **Support Compliance and Electronic Discovery**	To manage all scenarios involving physical records with same rigor and processes as electronic records. ▪ **Support Corporate Requirements such as Library Services, Locations, Files, Boxes and Bar Coding** ▪ **Support Advanced Records Center Management** ▪ **Space Management and Chargeback**	To enable records management policies to be available to non-ECM systems and environments. ▪ **Deliver or Integrate RLM Events and Services to Other Systems and Environments** ▪ **Custom Federate or Embed Records Management into Non ECM Environments**	To eliminate the risks and costs of physical records storage. ▪ **Ensure Timely Records Destruction** ▪ **Eliminate Paper Handling Risks and Costs** ▪ **Enable Reliable and Timely Access to Records** ▪ **Enable Better Visibility and Cost Reduction from Operations** ▪ **Prevent Born Digital Records From Being Printed and Stored**

Records Management History

- Both technologies were acquired by IBM

- Both products are rated very highly by analysts

  – 3 AIIM Best-of-Show Awards collectively

- Both products have similar features and functions

  – Both US DoD 5015.2 certified through 2008 (150+ common requirements)

  – Both leverage IBM IICE connectors

- Each product has a fundamentally different architecture

  – IBM Records Manager (IRM) is an engine, optimized for embedding

    • Has custom federation model

  – IBM FileNet P8 Records Manager is part of an ECM platform leveraging a common object model and integrated BPM

    • Has both custom and productized federation models

Each Product Handles Federation Differently

Records Management Layer

Federation Layer

Connection Layer

Non-Native Repositories

IBM FileNet P8 Records Manager	IBM Records Manager (Engine)
▪ Supports lifecycle management of records per best practices	▪ Supports lifecycle management of records per best practices
▪ Has pre-integrated P8 federation to leverage BPM and other ECM services	▪ Not part of IRM - requires separate Federated Records Management custom offering
▪ Uses IICE and other connectors	▪ Uses IICE and other connectors
▪ List of supported repositories available	▪ List of supported repositories available

Records Management Strategy

IBM Records Manager (Engine)

IBM FileNet P8 Records Manager

2007 2008 Post
No   No 2008

- Converge offerings into a common set of ECM services with productized federation offering
- Convergence timing is still subject to planning

Records Management Strategy
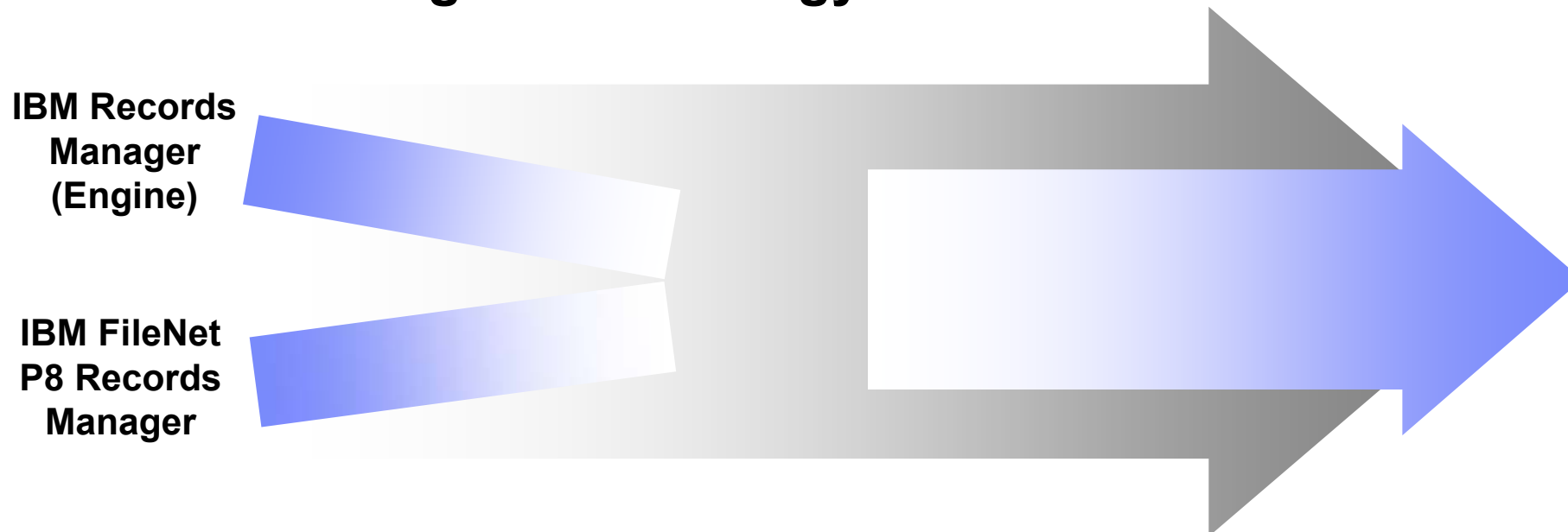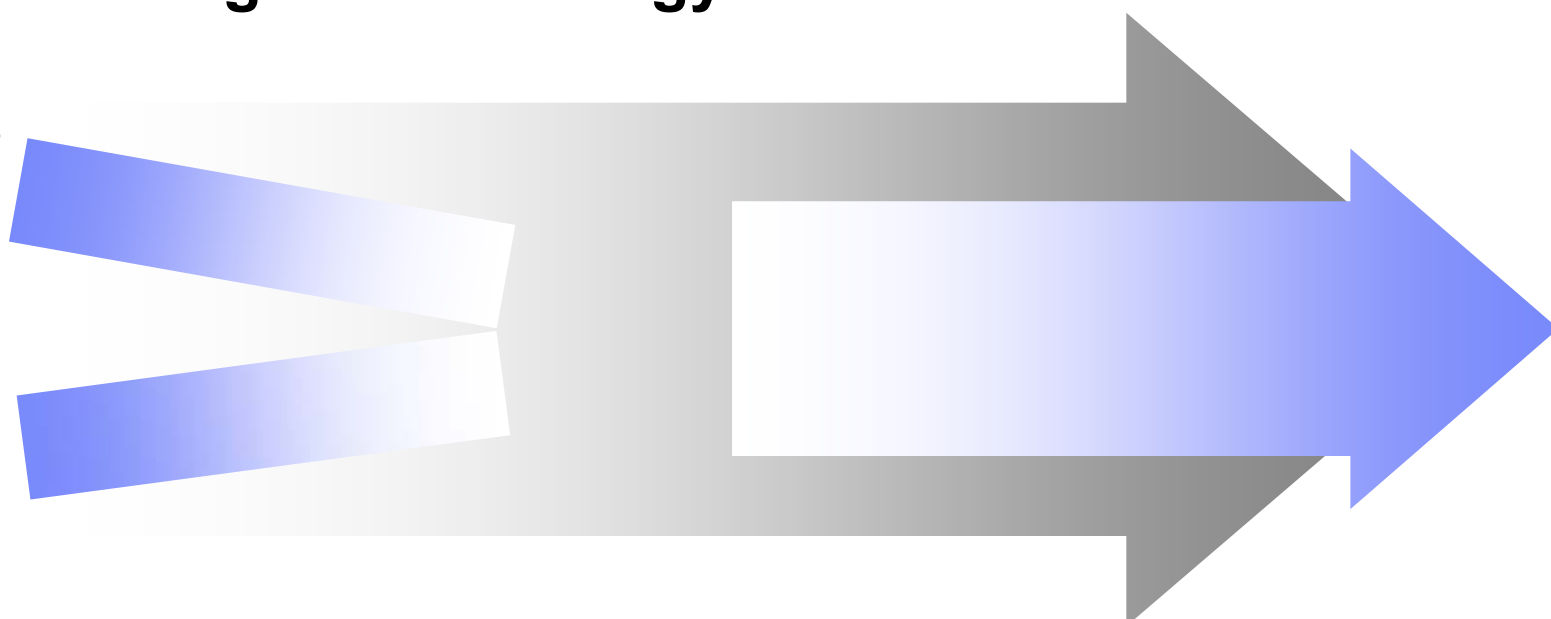
IBM Records Manager (Engine)

IBM FileNet P8 Records Manager

- Converge offerings into a common set of ECM services with productized federation offering

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- Leverage existing P8 CFS and BPM products as part of strategy

Records Management Strategy

IBM Records Manager (Engine)

IBM FileNet P8 Records Manager

- Converge offerings into a common set of ECM services with productized federation offering

- Convergence timing is still subject to planning

- Leverage existing P8 CFS and BPM products as part of strategy

- Capitalize on process centricity of evolving standards - maintain certifications for US DoD 5015.2, achieve MoReq2 and DOMEA 2

Process Driven RM Meets New Legal Hold Requirements

- Enforce RM policies to individual line-of-business processes and tasks

- Complete audit trail record of all content and process activities

- "Real-time" view and status of everything … including physical records and legal hold status

Why Do We Still Keep All That Paper?

Hypothesis

- *How do the new economics of Compliance combined with technology advances enable transformation of physical records storage?*

- *Does this same dynamic also enable new methods of business intelligence?*

Finding Out Why

Hypothesis

- *How do the new economics of Compliance combined with technology advances enable transformation of physical records storage?*

- *Does this same dynamic also enable new methods of business intelligence?*

Validation

- **IBM analysts and Large Commercial Bank customer**

- **Evaluated costs, risks and processes associated with handling of paper**

- **It now makes sense to stop the flow of paper into warehouses and start the flow into imaging based electronic records management systems**

The Results (see www.ibm.com/software/ecm for details)

Hypothesis

- *How do the new economics of Compliance combined with technology advances enable transformation of physical records storage?*

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Compelling Results

- Major cost savings and ROI findings

- Significant opportunity to mitigate legal and compliance risk

- New visibility and enforced controls into key business processes

- New ways to analyze operational data

- Unique solution enabled by integrated imaging, records and process

Records Management Products Roadmap

Product	2007 Plans	2008 Plans
IBM P8 Records Manager ★ DoD Certified through Q3 2008	**Version 4.0** Q2 2007 ▪ Compatibility with 4.0 platform	**Igloo** Q4 2008 ▪ Support for DoD 5015.2 version 3 ▪ Other Capabilities TBA
IBM P8 Federated Records Management (CFS)	**Content Federation Services Support** Q4 2007 ▪ Support for CM8 ▪ Support for Content Services ▪ Support for Image Services (Today) **Lab Services P8 FRM Offering**	**Content Federation Services Support** Q2 2008 ▪ Support for CMOD **Lab Services P8 FRM Offering**
IBM Records Manager (Engine) ★ DoD Certified through Q4 2008	**Version 4.1.3 Released in Q1 2007** ▪ Performance and UI Improvements **Version 4.1.4** Q4 2007 ▪ Platform Update	**To Be Announced**
Federated Records Management for IRM (Engine)	**Lab Services FRM Offering**	**Lab Services FRM Offering**

Records Management Product Release Information

IBM Records Manager 4.1.4 & IBM Records Manager Enabler 8.4
Release Date ▪ Q4 2007
Theme ▪ Platform update

Key Capabilities
▪ IPv6 support
▪ Platform updates
  – WAS 6.1
  – DB2 9.1

IBM FileNet Records Manager 4.0
Release Date ▪ June 2007
Theme ▪ Records Manager to be compatible with P8 Platform 4.0
Key Capabilities ▪ Synchronization release between Records Manager and P8 4.0

Archiving and Managing Email

Key Business Drivers			
Archive Email for Mailbox and Storage Space Management ①	**Manage Email as a Record and Ensure Compliance** ②	**Manage Email as Content … Extract Knowledge and Data Buried in Email** ③	**Manage Email as Part of a Business Process** ④
To reduce operational problems introduced by the growing size of email data stores.	To comply with regulations, produce email records when required, enable good corporate governance and facilitate electronic discovery	To manage, mine, extract, organize and analyze knowledge, content and data buried in email	To accelerate and automate business processes where email participates in the workflow or is part of the active case
▪ **Manage mailboxes** ▪ **Increased Server Performance** ▪ **Faster Backup and Restore** ▪ **Easier Server Upgrades and Consolidation** ▪ **Utilize Right Storage Technology (HSM)** ▪ **Apply Simple Retention**	▪ **Enable Records Management** ▪ **Perform Legal Discovery** ▪ **Supervise and Monitor for Non-Compliance**	▪ **Manage Email as a Content Type** ▪ **Automate or Suggest Message Classification** ▪ **Use Content Analytics to Identify Trends, Risks, Analyze Data** ▪ **Additional Tagging and Meta Data Creation** ▪ **Response Suggestion or Routing of Email**	▪ **Automate Workflow steps** ▪ **Associate Email Content to Processes, Cases and LOB Systems**

Email Archiving History

- Both products have very similar archive features and provide mailbox management

- Both products have subtle differences for email management

  – **Commonstore** - Email Search (eMS) offering on CMv8, Tivoli Storage Manager integration, strong Lotus Domino support

  – **P8 Email Manager** - Novell GroupWise support, Microsoft SQL support, Business Process Manager (BPM) integration, strong Microsoft Exchange support

- Both products, while similar, were marketed differently

  – IBM focused on mailbox management and archiving

  – FileNet focused on email management and records management and business process management

# Email Archive / Management Strategy Overview

- **Choice of solutions** based on architecture, repository and usage needs
  - CommonStore (with CMv8 as repository)
  - P8 Email Manager (with P8 as repository)
- It doesn't matter whether investment is in CommonStore or P8 Email Manager
- **Unify code bases** into Next Generation modular architecture, to be delivered in Symphony Intelligent Archive release Q3 2008
  - Repository agnostic
  - Content source agnostic
  - Content type agnostic - more then just email
- Deliver Symphony Intelligent Archive advanced technology as upgrade
  - No data / stub migration or reindexing
  - No business user disruption
  - Improve usability and deployability
  - Provide better Lotus Domino experience while continuing support for Exchange and GroupWise

Email Archive / Management Products Roadmap

Product	2007 Plans	2008 Plans

IBM CommonStore
▪ Lotus Domino
▪ Microsoft Exchange
▪ CMv8 repository
 	
Note: CommonStore SAP now part of Platform portfolio
	Acton Release (CommonStore 8.4)
	Q4 2007
	▪ Bundled with limited use Symphony Engine
	▪ Software Currency
	▪ Customer commitments
	▪ Enhancements for
	  ▪ End user search
	  ▪ De-duplication (SIS)
	  ▪ Install simplification
		Symphony Intelligent Archive Release
		Q3 2008
		▪ Unified offering based on Symphony Engine
		▪ No migration necessary from either CommonStore or P8 Email Manager
		▪ Leverages Best of Breed Integration to Domino, Exchange and GroupWise
		▪ Stubs and indexes preserved
		
		▪ Repository Agnostic
		▪ Content Type Agnostic
		▪ Content Source Agnostic
		▪ Multiple Modular Connectors

IBM FileNet P8 Email Manager Already using Symphony Engine ▪ Lotus Domino ▪ Microsoft Exchange ▪ Novell GroupWise ▪ P8 repository	**Version 4.0** Q3 2007 ▪ Based on Symphony Engine ▪ Compatibility with P8 4.0 ▪ Software currency ▪ Simplified configuration and administration ▪ Support for FileNet System Monitor ▪ New Task Connectors ▪ New client integration (4.0.1)	

Email Manager/Records Crawler New User Interface
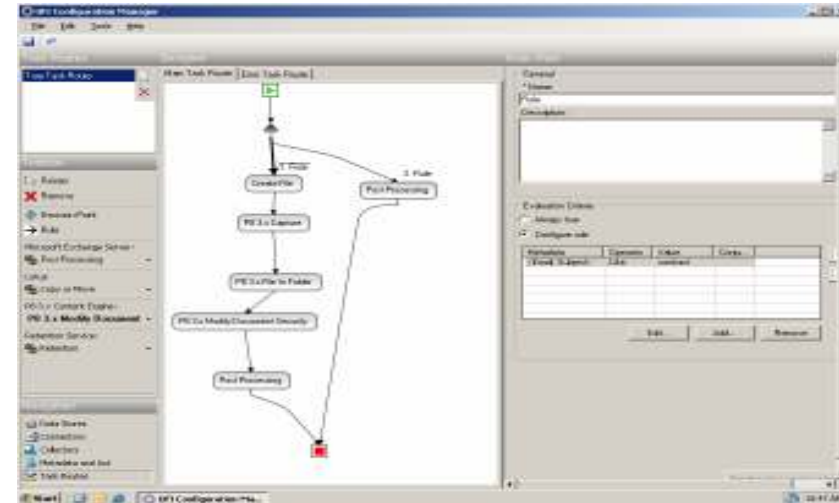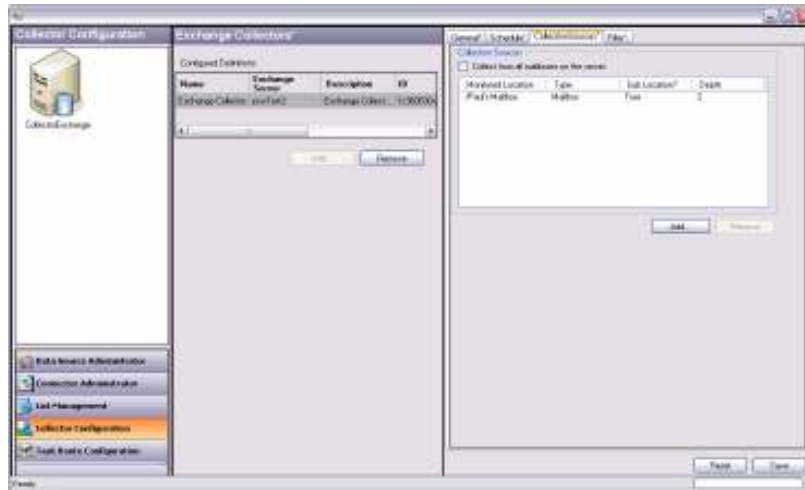
- New architecture reflected in new configuration manager
  - Task connectors for greater flexibility
  - Customer accessible API
  - More complex message handling options
  - Improved configuration flexibility
  - Sophisticated rules options
- Based on *Symphony* engine

Email Product Release Information

IBM FileNet Email Manager 4.0.1

Release Date

- Q4 2007

Theme

- New client plug-in, P8 4.0 Records Manager support and qualification of additional FileNet repositories

Key Capabilities

- FileNet Records Manager 4.0 support
- New Email Manager client plug-in to support P8 4.0
- FileNet Image Services support
- FileNet Content Services support
- DB2 support

IBM CommonStore Lotus Domino & Exchange 8.4

Release Date

- Q4 2007

Theme

- Install improvements, search and discovery enhancements, automated PST migration

Key Capabilities

- Software currency
- Search and discovery enhancements
- IPv6 support
- MS Exchange Server 2007 and Windows Vista support
- Simplified installation
- Automated PST migration via Email Manager
- OWA proxy support

Records Crawler Product Release Information

IBM FileNet Records Crawler 4.0.1
Release Date ▪ Q4 2007
Theme ▪ IBM FileNet Records Manager 4.0 support and support for additional repositories
Key Capabilities ▪ FileNet Records Manager 4.0 support ▪ FileNet Image Services support ▪ FileNet Content Services support ▪ IBM CM8 target connector ▪ NTFS target connector ▪ DB2 Support

So….

What's

Next?

Don't Just Archive It …

Source Connectors	Engine		Target Connectors
	Task Connectors		
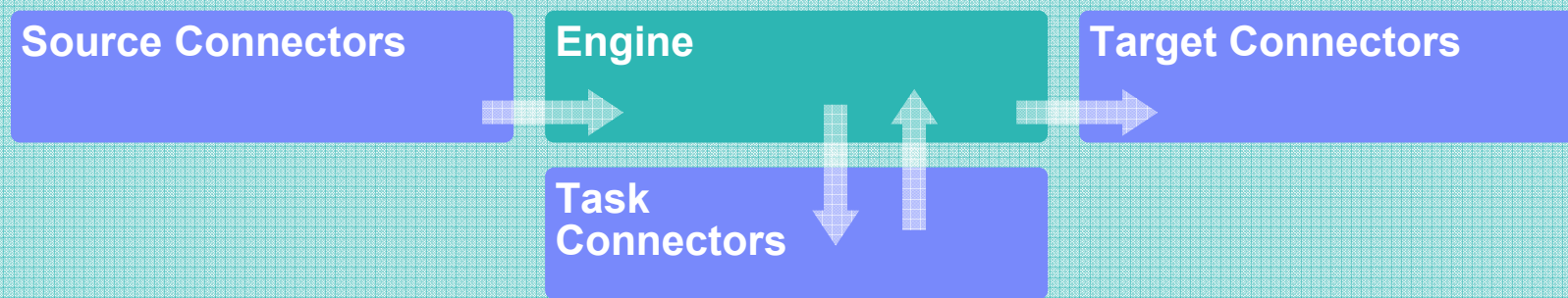
1   2   3

Don't Just Archive It …

Content and Information Flow

Archive * Monitor * Enforce

Source Connectors

Engine

Target Connectors

Task Connectors

MESSAGING / EMAIL
- Microsoft Exchange
- Lotus Domino
- Novell GroupWise
- Instant Messaging
- PST and NSF

FILE SYSTEMS
- Microsoft File System
- Desktops and Other

OTHER
- Microsoft SharePoint
- Lotus Quickr
- IBM ECM Repositories
- Non-IBM ECM (IICE)
- Backup Tapes and Other
- Custom

Content Source Agnostic

Content Type Agnostic

Modular Connectors

- ▪ **Available Now or in 2007**
- ▪ **Future**

Enhance the Value of Email

Content and Information Flow

Move * Transform * Task

Source Connectors

Engine

Target Connectors

Task Connectors

One Place to Manage Rules

Partner Applications

INTERNAL
- Copy / Move / Delete / Stub
- Records Declaration
- De-Duplication
- Classification Rules

EXTERNAL
- Rendering / Encryption
- Systems / Lookups
- 3rd Party Rules / Policy Mgt
- IBM Classification Module
- Other Tasks Planned
- API Support (Custom)

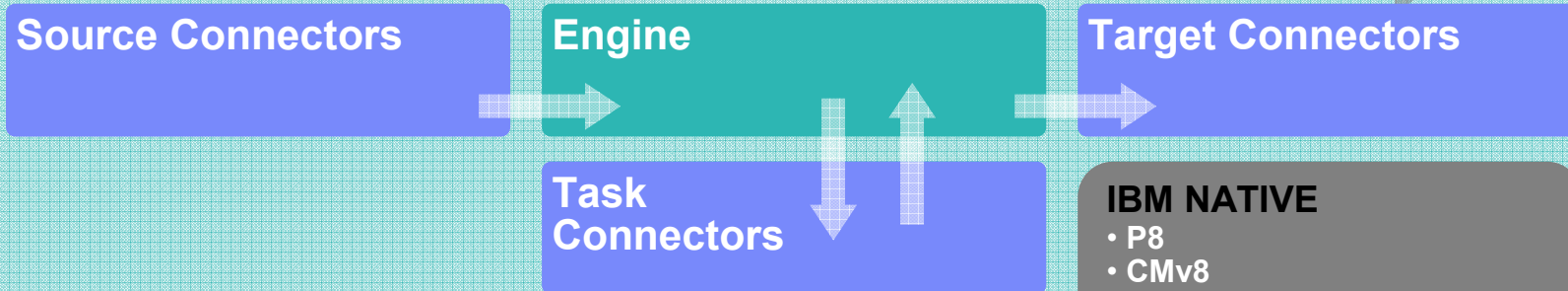*Innovative Tasks … Beyond Basic Archiving*

… Activate Email and Trigger ECM Services

Content and Information Flow

Classify * Retain * Activate

Source Connectors

Engine

Target Connectors

Task Connectors

Core Platform Moving Forward

Activate Content

Repository Agnostic

IBM NATIVE
- **P8**
- **CMv8**
- **Panagon Image Services**
- **Panagon Content Services**
- **IICE Connector Support**

EXTERNAL
- **Microsoft File System**
- **Custom**

New Federal Rules of Civil Procedure Took Effect in December 2006 Raising the ECM Bar

- The US Supreme Court approves new rules of civil procedure bringing a much needed standard and replacing dozens of state and local rulings

- New Federal Rules of Civil Procedure on Legal Discovery **(12/1/2006):**
  - Early Attention: Rule 26 (a) (1): Show What You Have
  - Early Attention: Rule 26 (f): Requires a Discovery Consensus
  - Form of Production: Rule 34 (a) & (b): Can Ask for all Types of **ESI**
  - Sanctions: Rule 37: No Penalty for Purges as Part of Normal Operations
  - Form of Production : Rule 26 (b) (5) (B): Privileged Information Protected
  - Accessibility: Rule 26 (b) (2) (B): Protection from Cost Prohibitive Discovery

- There is no definition as to what constitute timely response in legal discovery. It is left to the discretion of judges and is bound to tighten as ECM solutions shorten response time.

Business Value of Classification for ECM

Key Business Drivers			
ECM Taxonomy and Classification **1**	Compliance, Records, Legal Discovery **2**	In Process Classification **3**	Message Tagging, Classification and Monitoring **4**
Increase accessibility of content under management ▪ **Automated, High Scale Classification** ▪ **Classify at ingestion and/or re-classify over time** ▪ **Taxonomy Evolution Tools** ▪ **Enhanced Accessibility** ▪ **Taxonomy Proposer**	Increase legal discovery review effectiveness while reducing risk ▪ **Legal Discovery Prioritization and Workflow Assignment** ▪ **Records Classification and Exception Handling** ▪ **Storage and Retention Policy Assignment**	Increase worker productivity and automate content related decisions ▪ **Ad Hoc Category Suggestion** ▪ **Content-Based Workflow Selection** ▪ **Content Based Decision Making**	Reduce inquiry costs, automate message routing and increase customer satisfaction ▪ **Email, Chat Routing** ▪ **Agent Response Suggestion** ▪ **Email Supervision and Monitoring** ▪ **Automatic Customer Response**

Where do I start?

Organizing the explosion of unstructured content becomes critical:

- We've got 600 GB of content from basic content services all over the enterprise.
  How can we get this content efficiently mapped into our ECM taxonomy?

- We've been managing our content without classifying it for a few years now.
  How can our users navigate amongst this existing content in a way that's intuitive for *our* business?

- The lawyers have to review 400,000 electronic documents for their case.
  How can we make sure they don't waste their time?

Why invest in automated classification?

Accelerate the time to value in your investment in ECM

Ensure more accurate content catalogs

Free up your subject matter experts

Make your content easier to find and leverage

Cloudmark's use of IBM Classification Module made a return on their investment in three months

Common Platform for Solving Classification Problems

Email Queue Classification and Monitoring

Compliance, Records, Legal Discovery

IBM Classification Platform

In Process Classification

ECM Taxonomy and Classification

IBM Classification Module Components

- ## Classification Server
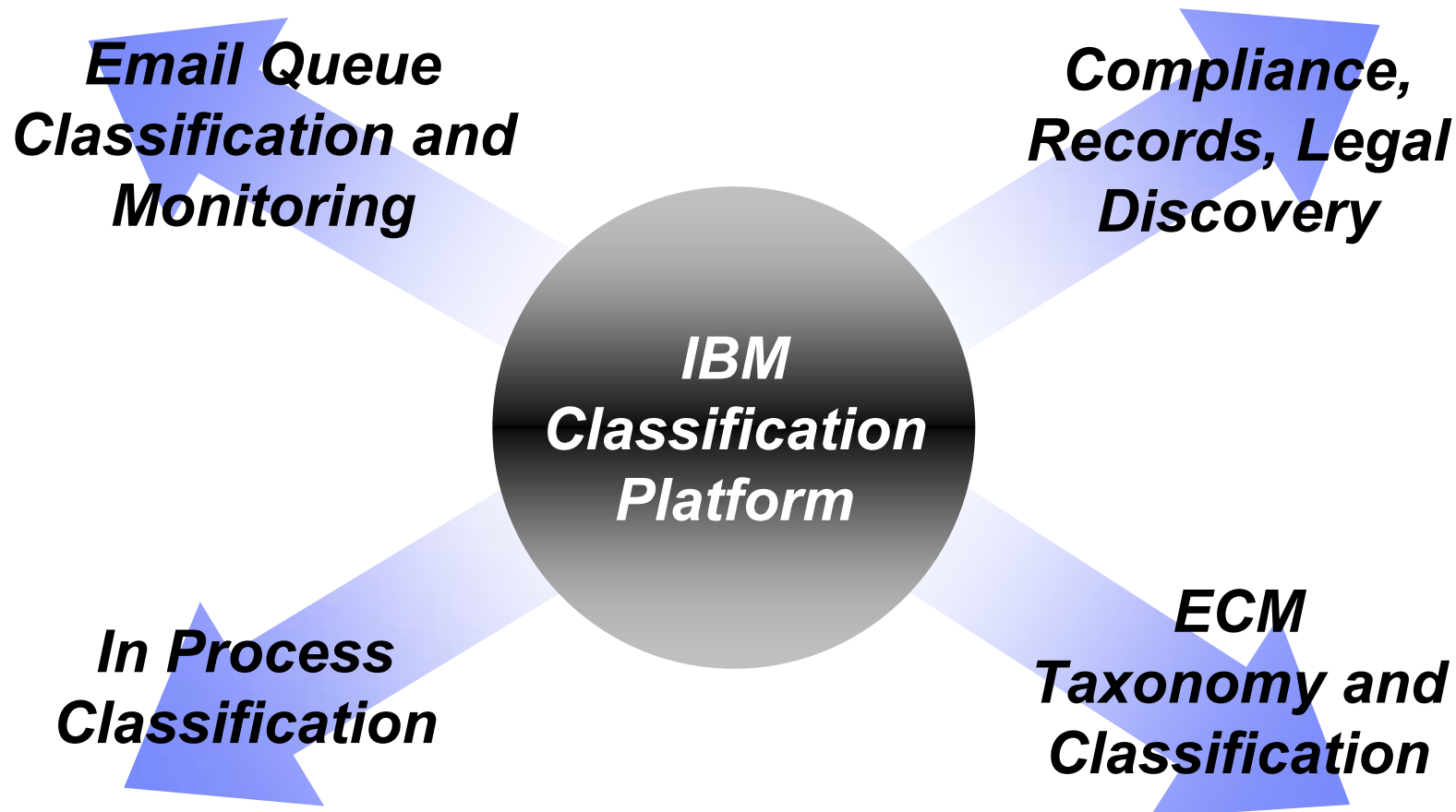
  - – Enterprise server platform delivering Classification Technology

- ## Classification Workbench

  - – Desktop tool for creating, maintaining, and tuning knowledge bases used with IBM Classification Module

IBM Classification Module for IBM FileNet P8 (Q4)
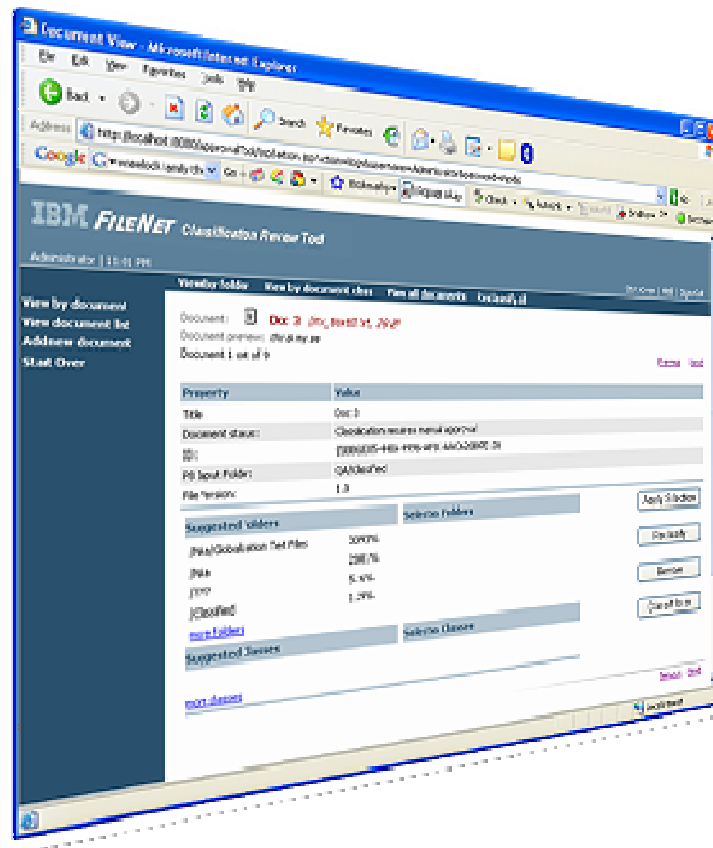
IBM Classification Module for IBM FileNet P8

Input – **Now works with P8**

Organize
– Auto-Classify Content
– Proposes Taxonomy – Suggests Categories
– Extracts and Enhances Metadata
– Self-Learning

Enforce & Activate
– Trigger BPM, RM or other ECM Services
– Expose via SOA

Critical Elements of Electronic Discovery

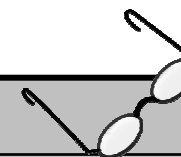| Key Business Drivers			
Clean Up The Digital Landfill … Build Content Inventory **1**	**Initiate Holds and Automate Content Collection** **2**	**Improve Discovery Review Process** **3**	**Automate and Audit Legal Discovery Process** **4**
To reduce the problems associated with scattered information silos, multiple copies and poor indexing.	To comply with new requirements of legal hold management including records and non-records collection.	To mine, extract, organize and analyze discoverable content faster to make better decisions.	To reduce the costs and risks associated with a compliant, repeatable process.
▪ **Get Unstructured Content Under Control** ▪ **Make the Unlocatable Locatable by Adding Meta Data and Creating Taxonomies** ▪ **Eliminate Multiple Copies** ▪ **Use Content Analytics to Identify and Eliminate the Waste** ▪ **Put the Right Policies and Controls in Place** ▪ **Increase Readiness for Litigation and Compliance**	▪ **Enforce Holds and Records Management** ▪ **Automate the Collection of All Potentially Discoverable Content** ▪ **Reduce Processing Time, Cull, Eliminate Duplicates … Version Control** ▪ **Create Additional Metadata for Better Discovery** ▪ **Preserve Original Formats** ▪ **Store in Secure Auditable Repository**	▪ **Organize All Potentially Discoverable Content** ▪ **Use Content Analytics to Identify Trends, Risks and Threats, Gain Insight** ▪ **Automate Tagging, Create Additional Meta Data Leveraging Insight** ▪ **Locate, Review, Redact Relevant Content Faster** ▪ **Produce Relevant, Non-Privileged Information for Litigation**	▪ **Manage all Required Notifications of Legal Holds** ▪ **Automate Production, Case Management, Review, Routing and Redaction** ▪ **Trigger Process Based on "Duty to Preserve" Events** ▪ **Provide Audit Trail and Reports** ▪ **Manage Litigation Response as a Business Process – Documented, Measurable, Repeatable**

Electronic Discovery Process

Electronic Discovery is more than just searching … it is a process that defines what documents are needed, how they are handled, collected, reviewed and eventually packaged to be presented to external or opposing counsel.

This process can be improved and made cost effective … IBM has all the ECM tools to help you along the way.

Electronic Discovery Reference Model
www.edrm.net
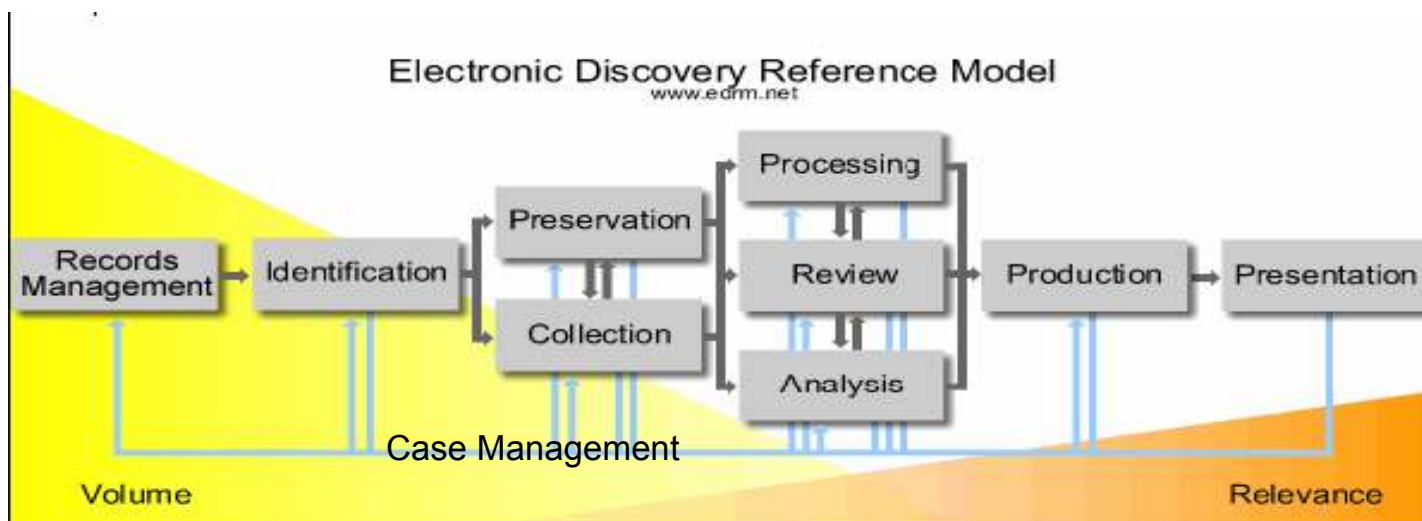
How IBM ECM Helps with Electronic Discovery

1

Clean Up The Digital Landfill

Build Content Inventory

Email archive silos, poorly indexed content, multiple copies of everything, unmanaged file systems and SharePoint have all combined to create Digital Landfills

Only IBM has all the tools needed to properly manage the 4 phases of electronic discovery

Electronic Discovery Reference Model
www.edrm.net

2

Initiate Holds and Automate Content Collection

3

Improve Discovery Review Process

4

Automate and Audit Legal Discovery Process
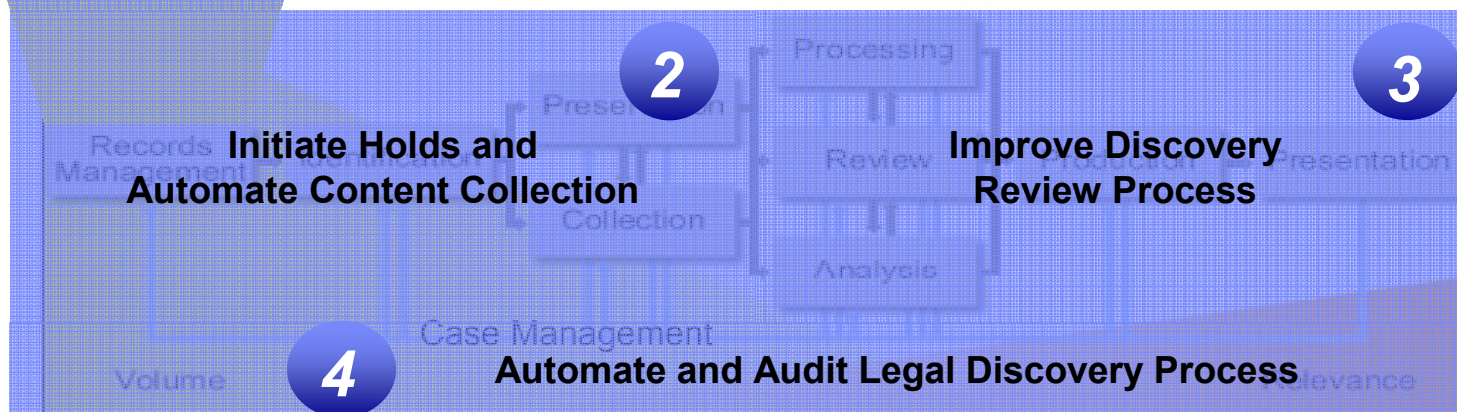
OmniFind Product Release Information

Analytics Edition 8.4.1
Release Date ▪ August 2007
Theme ▪ Integration with OmniFind Enterprise Edition and DB2 Data Warehouse
Key Capabilities ▪ Tight integration with OmniFind Enterprise Edition for improved search ▪ Ability to integrate with DB2 Data Warehouse

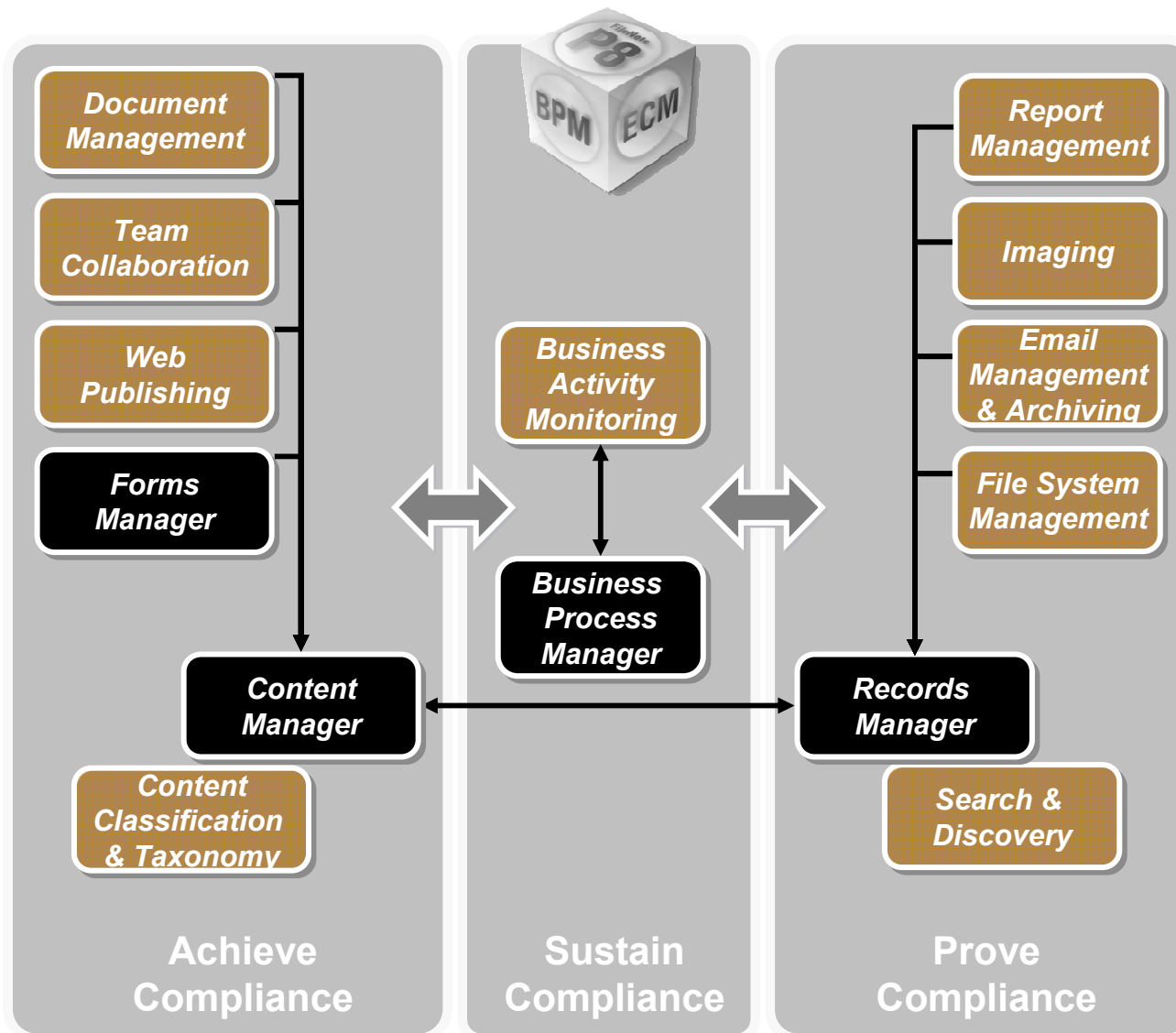| Enterprise Edition 8.5 |
|---|
| **Release Date**
▪ Q1 2008 |
| **Theme**
▪ Improvements for key customers |
| **Key Capabilities**
▪ Improved Lotus support (Domino 8, Quickr, and Clustering for Portal)
▪ Enhanced n-gram support for improving precision/recall for Japanese language texts
▪ Crawling multiple structured tables
▪ Near duplicate detection |

Why Use ECM for GRC?

Key Business Drivers			
For Organizations Needing to Achieve Compliance (1)	**For Organizations Needing to Sustain Compliance** (2)	**For Organizations Needing to Prove Compliant Behavior** (3)	**For Organizations Needing to Comply with Multiple Requirements** (4)
To have the proper operational policies, processes and controls in place to be compliant	To ensure that every process complies with policy and stays within the law in a cost effective manner	To be able to produce evidence and authentic records of policy and process compliance	To consistently execute internal controls, business continuity measures, and mitigation of information and operational risk
• **Access Information Across Repositories**	• **Automate Processes to Reduce Control Testing and Risk Assessment Costs**	• **Provide Legally Admissible Records Including All Forms of Content and Email**	• **Regulations (over 10,000 worldwide)**
• **Collaborate and Define Policies, Roles and Responsibilities**	• **Monitor Controls in Real Time to Reduce Fraud and Non-Compliance**	• **Enable Timely Regulatory Reporting, Consistency and A Auditability**	Sarbanes-Oxley · CoBIT · OSHA 1910 · US DoD 5015.2 · FOIA · Basel II · SEC 17a4 · AML/KYC · Gramm-Leach-Bliley · PATRIOT Act · Data Protection · Privacy · 21 CFR Part 11 · Solvency II · ISO 17799 · MiFID · SEPA · MoReq2 · Identity Theft · Tread Act · Anti-Terrorism
• **Capture, Store and Publish All Supporting Documentation**	• **Enforce Adherence to Compliant Practices and Respond Rapidly to External Influences**	• **Provide Decision Audit Trails and Chain of Custody**	
• **Implement Reliable Records Management**		• **Automate Legal Discovery Processes**	
• **Adapt Dynamically to Regulatory Changes**			

Compliance Framework ECM Bundle

Achieve Compliance

- Document Management
- Team Collaboration
- Web Publishing
- **Forms Manager**
- **Content Manager**
- Content Classification & Taxonomy

Sustain Compliance

- Business Activity Monitoring
- **Business Process Manager**

Prove Compliance

- Report Management
- Imaging
- Email Management & Archiving
- File System Management
- **Records Manager**
- Search & Discovery

- **Compliance Framework is a great starting point**
  - **Records Manager**
  - **Content Manager**
  - **Forms Manager**
  - **BPM**

- Single platform for multiple GRC initiatives

- Fast automation of Compliance Centric BPM applications

- Turn ring binders into Active Compliance

Control & Enforcement Topics

- Why Organizations Lose Control of Enterprise Content

- Regaining Control of Enterprise Content

- Compliance Critical Success Factors

  - Records Management
  - Multi-Channel Content (Email) Archiving
  - Classification
  - Electronic Discovery
  - Governance, Risk and Compliance

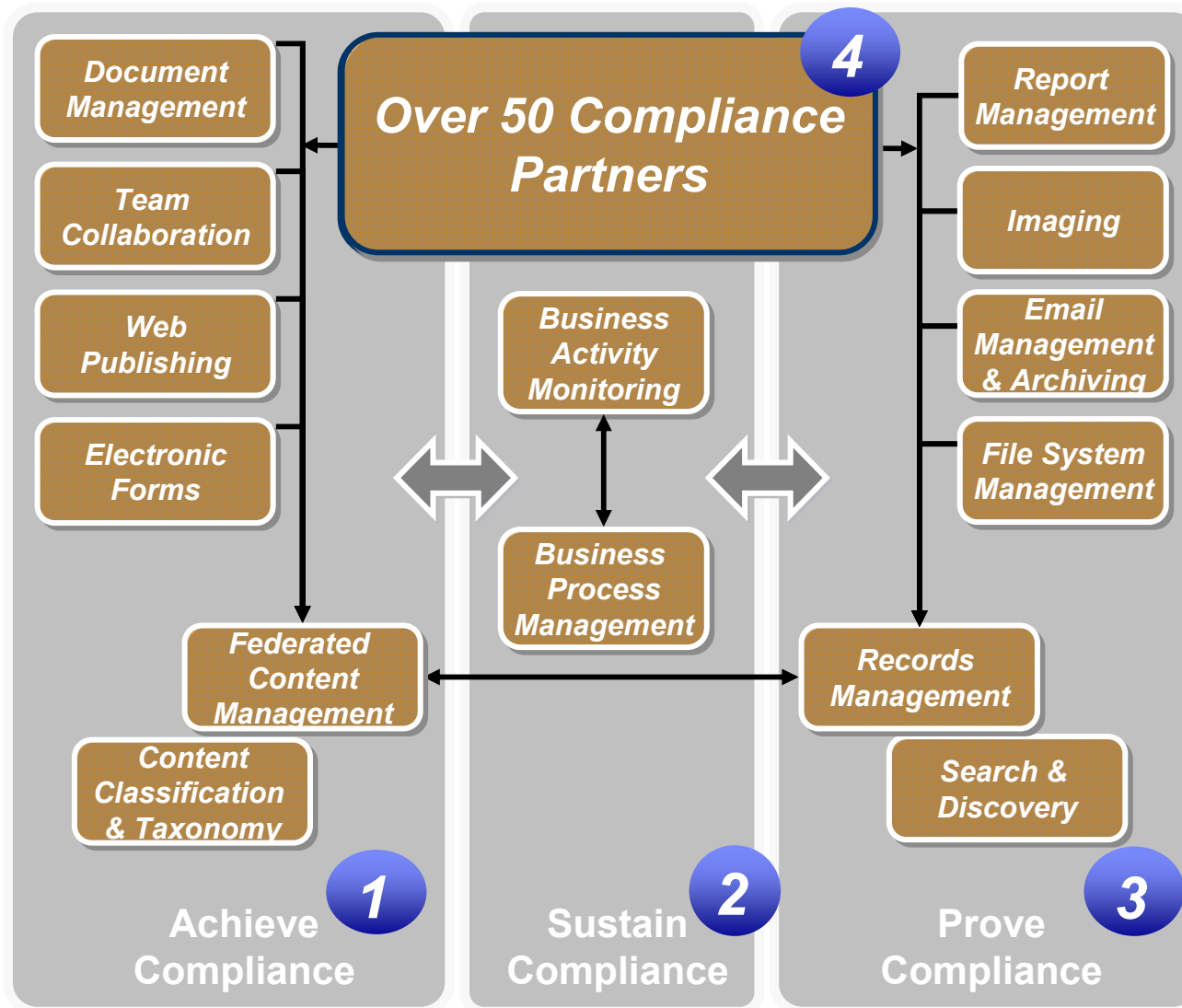A Single Platform for Enterprise Compliance

Single Platform = Lowest Cost of Ownership

- One platform for many overlapping regulations and compliance, risk and corporate governance initiatives – now and future

- Implementation and licensing costs spread across enterprise

- No point solutions

> **"Enterprises that choose one-off solutions for each regulatory challenge that they face will spend 10 times more on compliance projects than their counterparts that take a proactive approach."**
> **– Gartner**

Building an Enterprise Compliance Platform

Document Management		Report Management
Team Collaboration	**Over 50 Compliance Partners** **4**	Imaging
Web Publishing		Email Management & Archiving
Electronic Forms	Business Activity Monitoring	File System Management
Federated Content Management	Business Process Management	Records Management
Content Classification & Taxonomy		Search & Discovery
Achieve Compliance **1**	**Sustain Compliance** **2**	**Prove Compliance** **3**

1   To have the proper operational policies, processes and controls in place to be compliant

2   To ensure that every process complies with policy and stays within the law in a cost effective manner

3   To be able to produce evidence and authentic records of policy and process compliance

4   To consistently execute internal controls, business continuity measures, and mitigation of information and operational risk in support of **multiple GRC requirements**

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www.ibm.com/software/ecm

Introduction	ECM as part of Information On Demand ECM Maturity and Adoption Current Portfolio position Roadmap Vision for ECM	Doug Coombs	30
Content	The Changing Market for Content Management The Role of ECM in Collaboration ECM user interface for the desktop and the web Advanced Search and Analytics	Thorsten Zoerner	60
Process	Activating Content and Business Process Management The Roadmap for Content Centric Process Tools including product demonstrations IBM Business Process Management Strategy What's next for Process?	Daniel Crow	60
Compliance	Control and Enforcement Product positioning, roadmap and demonstrations for records and email Classification for ECM What are eDiscovery and the ECM framework for compliance?	Graham Hadingham	60
Platform	The Repository Roadmap and Federation Next Steps for Infrastructure Software as a Service Portfolio and Vision Re-Visited	Doug Coombs	30