

IBM SolutionsConnect 2013

Turning Opportunity into Outcomes.



**Information Lifecycle Governance
Changing Information Economics with
Defensible Disposal
Brent Bussell**

Content in Motion

Smarter Content. New Insights. Better Outcomes.



Topics

- **Our Customer Experience & Typical Challenges**
- **Process Transformation & Solutions**





Information Growth Driving Huge Business Challenges

Volume

12 terabytes
of Tweets create daily

Velocity

5 million
trade events per second

Variety

4 terabytes/site/day
average surveillance video

15 petabytes
of new information daily

500 million
call detail records per day

80% info
growth
is unstructured content ...



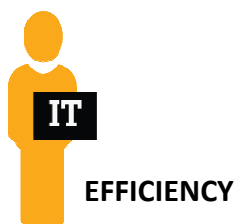
Customers Struggle with Information **Volume, Value and Risk**

How do I meet legal obligations more efficiently and reduce legal risk?



How do we find information of value and use it to make better decisions?

How do I deal with doubling data and shrinking budgets?

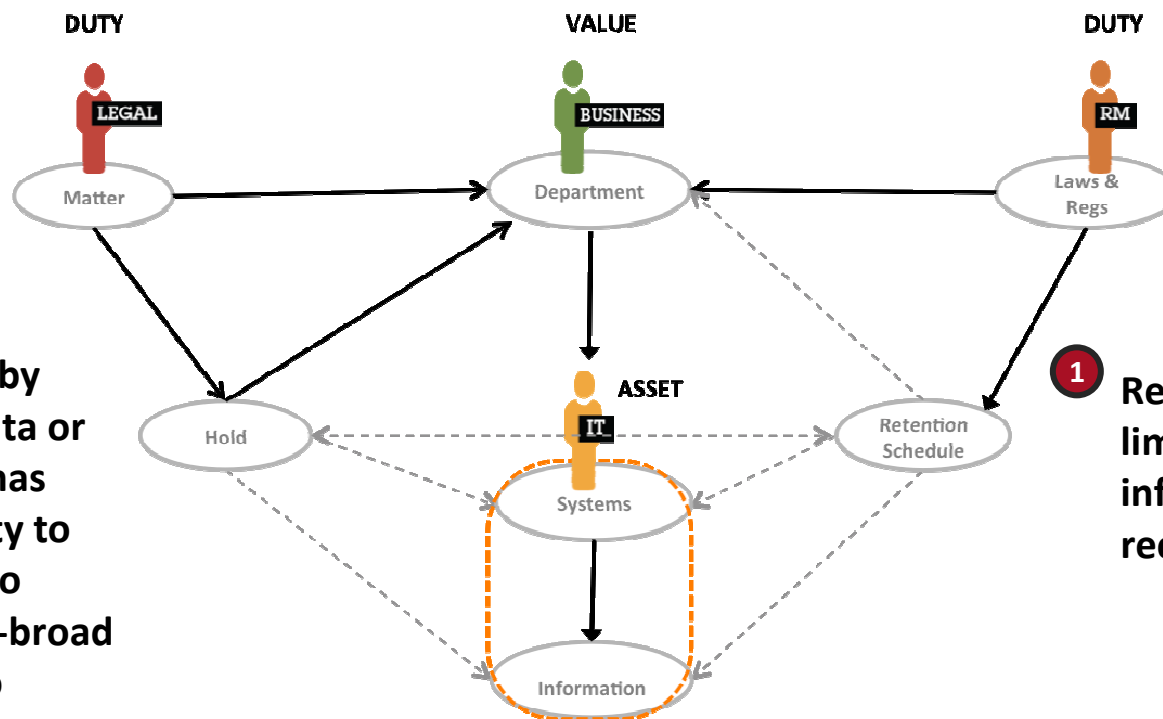


How do I go from physical to digital records management?

... and typically address as unrelated challenges.



Loose Link Between Information Duty and Value to Assets – Form Doesn't Suit Function



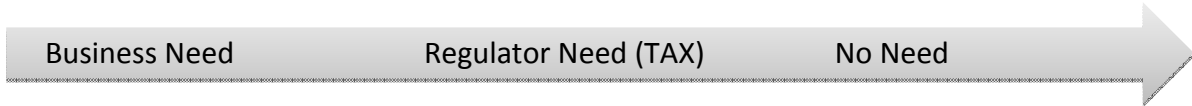
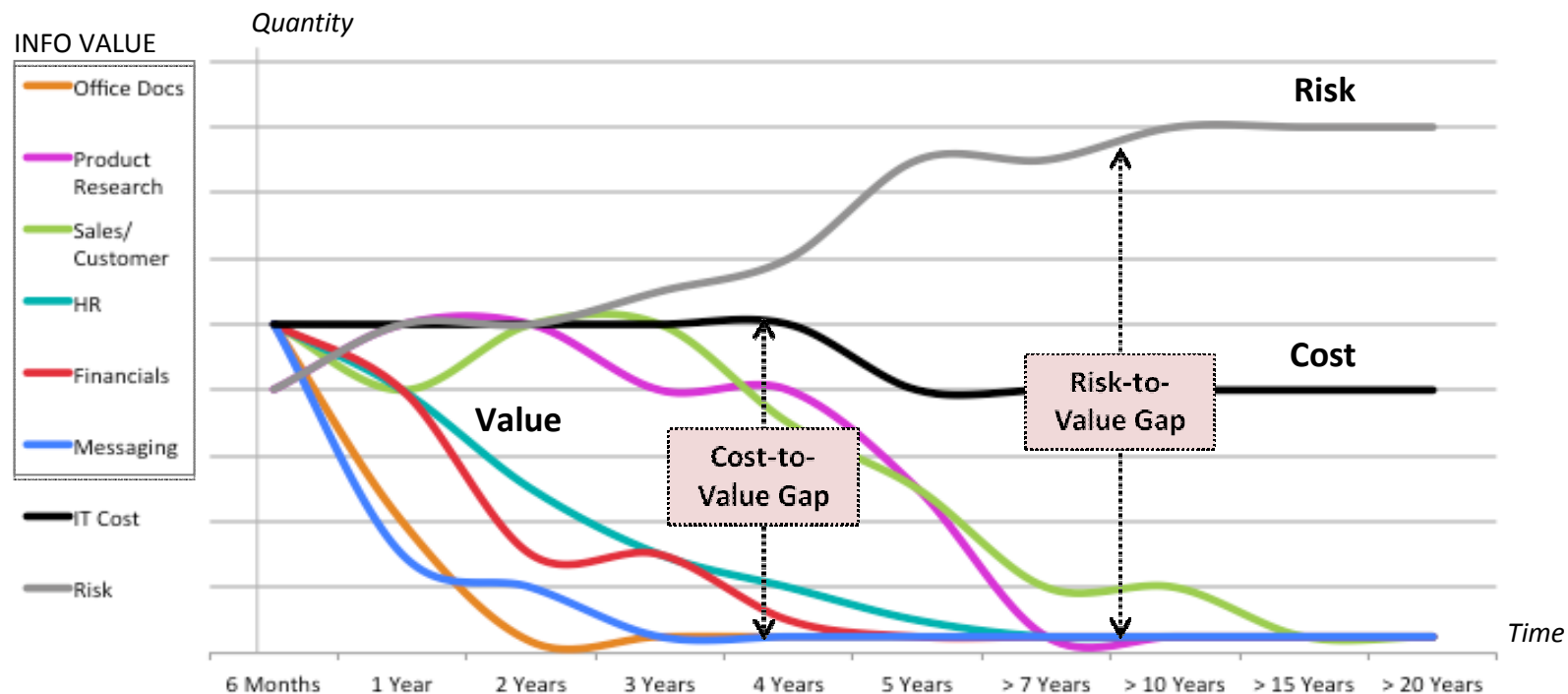
2 Holds defined by person (not data or record), legal has limited visibility to environment so holds are over-broad and difficult to enforce

1 Retention schedule limited to sub-set of information, defined by record code

3 Data not managed by person or record code, so no ability to tie retention and holds to most data



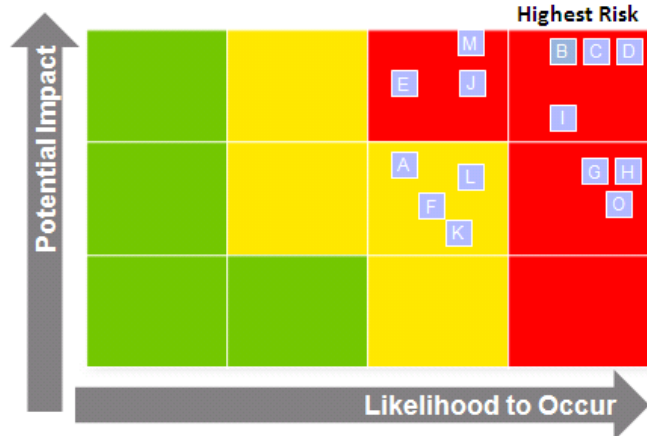
Information Value Declines Over Time, Cost and Risk Don't



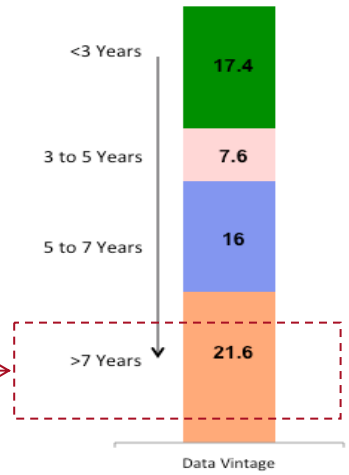
Reaching The Economic Tipping Point



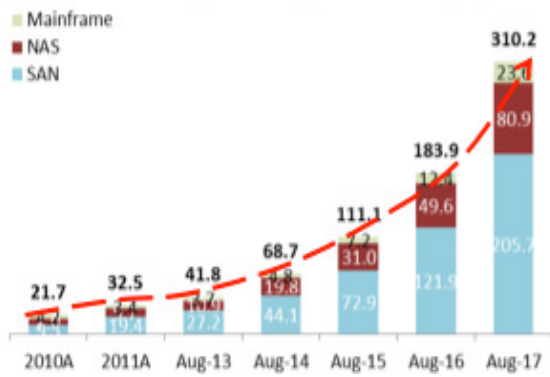
Risk not been reduced by keeping all data – it has increased materially. The exposure to cost to produce vintage data is overtaking the risks of sanctions and settlements.



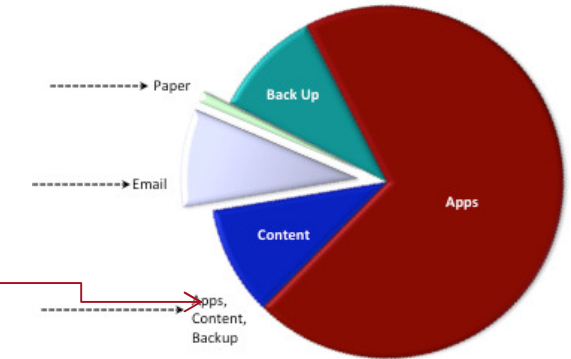
0.05% of vintage data is \$13B in ediscovery cost exposure – a material financial risk.



No effective means for disposing of unnecessary data today – retention schedule tuned for paper, legal holds tuned for email. Neither is the source of high data growth or IT cost, so 33PB used today at \$5m/PB will bloat to 310PB in just 5 years.



Retention schedule addresses paper; legal holds address email. Cost is elsewhere.



Topics

- Our Customer Experience & Typical Challenges
- **Process Transformation & Solutions**



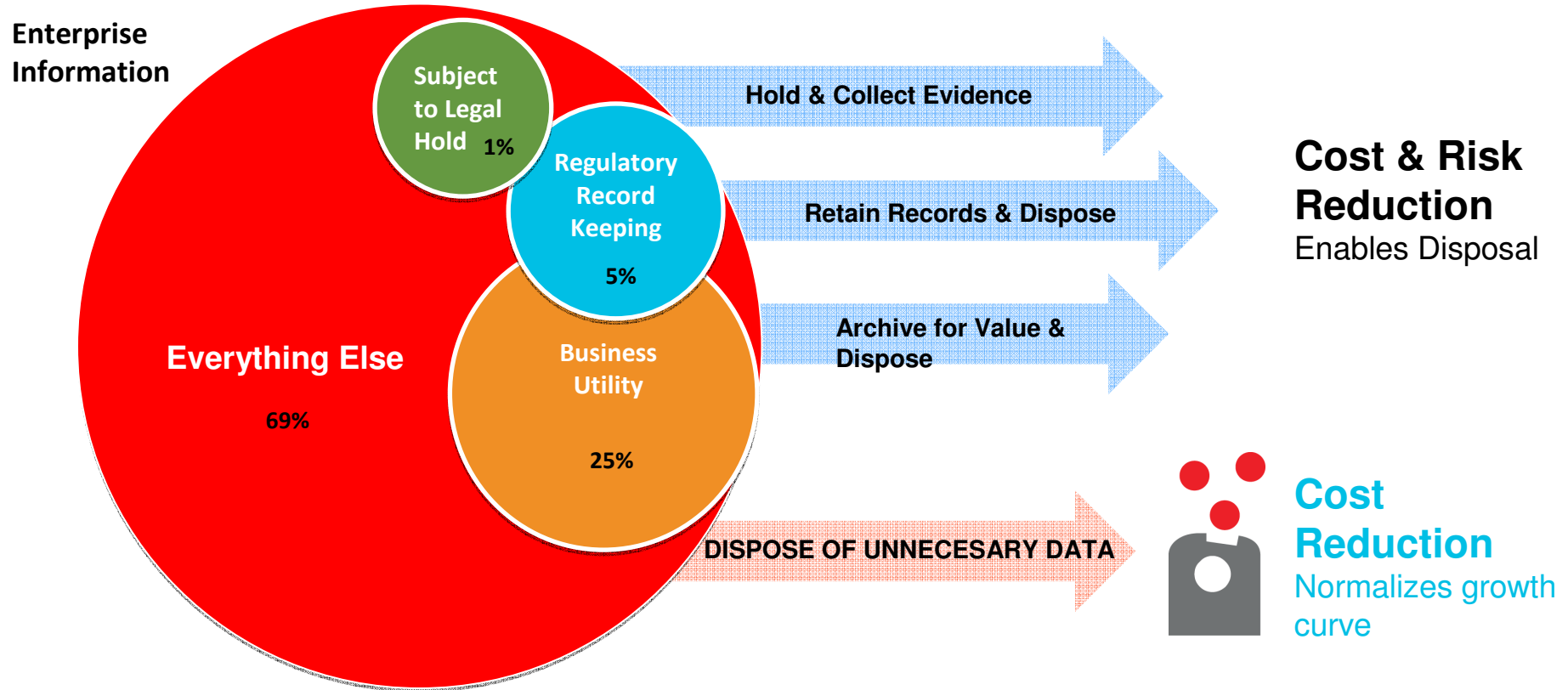
“The best way to reduce the amount of data — delete it.”

- Sheila Childs, Research Vice President, Gartner

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Very Simple Savings Proposition: Dispose of Unnecessary Data



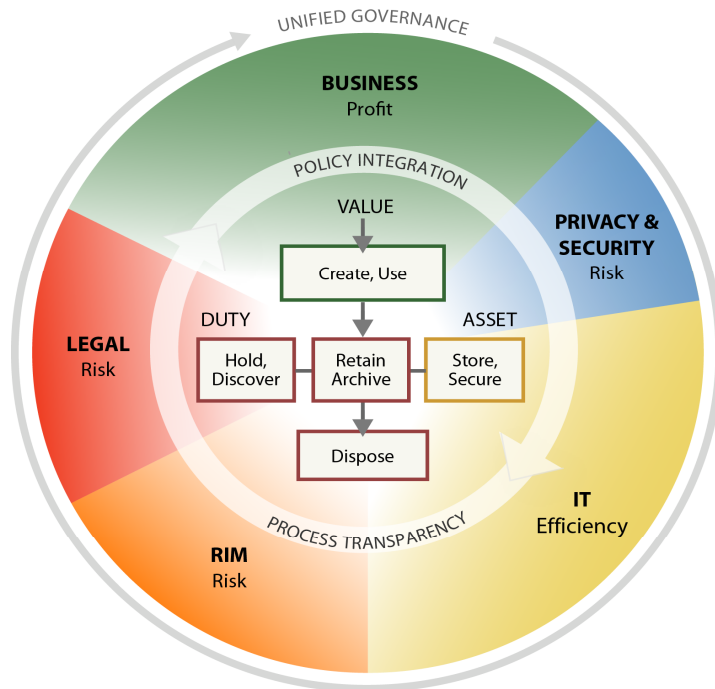
%s based on CGOC Summit 2012 Survey

IBM is Helping Customers Align Information Cost with Information Value for Transformative Results



Strategy:
Policy and Process Integration Across Information Stakeholders Enables Defensible Disposal, Lowers Cost and Risk

Execution:
Operationalize Program and Drive Business Outcomes with Structure, Defined Processes, Metrics Accountability



Information Governance Reference Model / © 2012 / v3.0 / edrm.net

1. Program Leadership and Governance

Charter, directive, resources and accountability for enterprise program and results

2. “Keep to Delete” Process Maturity

- Identify, retain and properly govern data with value to the business
- Delete early, often and timely with “defensible disposal” process automation – create the white space
- Design legal holds, retention and disposal into the process rather than reverse engineering them in episodic clean up or crisis reaction

3. “Floor to Door” Process Maturity

- Store at right cost point, align tiering to business utility
- Convert the white space into savings with storage optimization; avoid procurement of additional storage capacity
- Reclaim application assets from legacy data cleanup

Methodology Centered Around 16 ILG Processes



2.21		ILG Process	The Process For:
LEGAL	A	Employees on Legal Holds	Determining employees with information potentially relevant to an actual or anticipated lawsuit or government investigation
	B	Data on Legal Hold	Determining information, records and data sources that are potentially relevant to an actual or anticipated lawsuit or government investigation
	C	Hold publication	Communicating, syndicating and executing legal holds to people, systems and data sources for execution and compliance
	D	Legal Interviews	Fact finding and inquiry with employees with knowledge of a matter in dispute to determine potentially relevant information and its whereabouts and sources
	E	Evidence Collection	Collecting potential evidence in response to an agreed-upon request with an adversary or government agency
	F	Evidence Analysis & Cost Controls	Assessing information to understand dispute and potential information sources and for determining, controlling and communicating the costs of outside review of relevant information
	G	Legal Record	Documenting the custodians and data sources identified, the legal hold and collection activities over multi-year matter lifecycle
RM	H	Master Retention Schedule & Taxonomy	Defining an information classification schema that reflects the business structure, cataloging laws that apply to said classes and business areas in the various operating jurisdictions and for determining the appropriate record retention requirements
	I	Departmental Information Practices	Interviewing business organizations using the information taxonomy to determine which organizations generate or store which classes of information, where they store it and how long it has utility to them ; results in retention schedules for information and enables data source-specific retention schedules that reflect both business value and regulatory requirements.
CPO	J	Privacy & Data Protection	Assessing privacy duties by data subject and data location, including overlapping obligations for information and information elements and a means of communicating these requirements to those employees who generate, use, access, and store information
IT	K	Data Source Catalog & Stewardship	Establishing a common definition and object model for information and the people and systems with custody of it for use in determining, defining, communicating, understanding and executing governance procedures
	L	System Provisioning	Provisioning new servers and applications, including associated storage , with capabilities for systematically placing holds, enforcing retention schedules, disposing, collecting evidence, and protecting data elements subject to privacy rights.
	M	Disposal & Decommissioning	Disposing data and fully decommissioning applications at the end of their business utility and after legal duties have elapsed.
	N	Legacy Data Management	Processes, technology and methodologies by which data is disposed and applications fully decommissioned at the end of their utility and after legal duties have elapsed.
	O	Storage Alignment	The process of determining and aligning storage capacity and allocation to information business value and retention requirements, including optimizing utilization targets, storage reclamation and re-allocation after data is deleted to link storage cost to business need for data stored
I/A	P	Audit	Testing to assess the effectiveness of other processes, in this instance the processes for determining, communicating, and executing processes and procedures for managing information based on its value and legal duties and disposing of unnecessary data.

All Stakeholders Need Process Improvements and Benefits from ILG



Business Needs:

- Ready access to customer, product and market information that drive shareholder value
- Lowest cost of IT and legal services

ILG Benefits:

- Find the right information to make the right decisions
- Mobile and localized access to information
- Don't waste budget on unnecessary IT or legal services



**DRIVE
VALUE**



Legal Needs:

- Satisfy duties to preserve, produce and protect information
- Minimize the costs of meeting legal obligations for information

ILG Benefits:

- Manage and coordinate the legal hold and collection process more efficiently; ensure privacy duties met
- Predict and lower e-discovery costs with culling, assessment and early review



**MITIGATE
RISK**



RM Needs:

- Define and meet regulatory and policy requirements to keep records
- Demonstrate rapid response to regulator inquiries

ILG Benefits:

- Manage global taxonomy, syndicate and enforce retention schedules for all information
- Efficiently coordinate retention program across stakeholders



**MITIGATE RISK,
CONTAIN COST**



IT Needs:

- Minimize "run the shop" costs to increase investment in "grow the firm" activities
- Cut total costs even as total volume rises

ILG Benefits:

- Dispose of data debris consistently, defensibly and automatically
- Archive structured and unstructured data as it ages to reduce cost and complexity



**CONTAIN
COST**





More Business Value: Information Availability & Analytics



Business Needs:

- Leverage information for better decisions
- Mobile and localized access to information
- Don't waste budget on unnecessary IT or legal services

Capabilities:

- Search, retrieve and share content of value across teams, processes and projects
- Find patterns, insights and structure in aged or loosely organized unstructured data
- Eliminate digital debris to bolster productivity
- Search and analyze information across SharePoint, file shares and email
- Eliminate manual mail box and file clean up in "at capacity" situations
- Get fast access to unstructured and application data
- Big data, not bad data



**DRIVE
VALUE**



Lower Legal Risk: Rigorous, Efficient eDiscovery



Legal Needs:

- Satisfy duties to preserve, produce and protect information
- Minimize the costs of meeting legal obligations for information

IBM Capabilities:

- Issue and automate legal holds with precision across people and systems with data
- Collect, cull and assess evidence
- Manage custodians, collections and data obligations in concert with IT
- Manage and coordinate the legal hold and collection process
- Predict and control e-discovery costs and support review



**MITIGATE
RISK**



Lower Cost & Risk: Records & Retention Management



RM Needs:

- Define and meet regulatory and policy requirements to keep records
- Demonstrate rapid response to regulator inquiries

IBM Capabilities:

- Manage global taxonomy and retention schedules for all information
- Coordinate retention program across business units, records liaisons and legal more efficiently
- Manage records in disparate systems in a centralized manner
- Syndicate and enforce retention schedules on structured and unstructured records and information



**MITIGATE
RISK,
CONTAIN
COST**



Lower IT Cost: Value-Based Archiving



IT Needs:

- Minimize “run the shop” costs to increase investment in “grow the firm” activities
- Cut total costs even as total volume rises

IBM Capabilities:

- Archive email, files, application data, and social content based on its business value
- Retain, hold and dispose of archived content efficiently
- Govern structured and unstructured archives with unified policy management and automation
- De-duplicate and compress data to reduce storage space and cost



**CONTAIN
COST**



Lower IT Cost & Risk: Governance & Disposal



IT Needs:

- Minimize “run the shop” costs to increase investment in “grow the firm” activities
- Cut total costs even as total volume rises

IBM Capabilities:

- Transparency to legal and business obligations and policies for data to manage by value
- Automatically apply retention schedules and legal holds on data to consistently dispose of unnecessary structured and unstructured data
- Plan and execute “demand controls” across data source portfolio and environment
- Curb storage growth, achieve steady-state capacity through disposal and virtualization



**MITIGATE
RISK,
CONTAIN
COST**

ILG Reference Architecture

Dynamic Policy Management:
Precisely define what is needed, why, how long



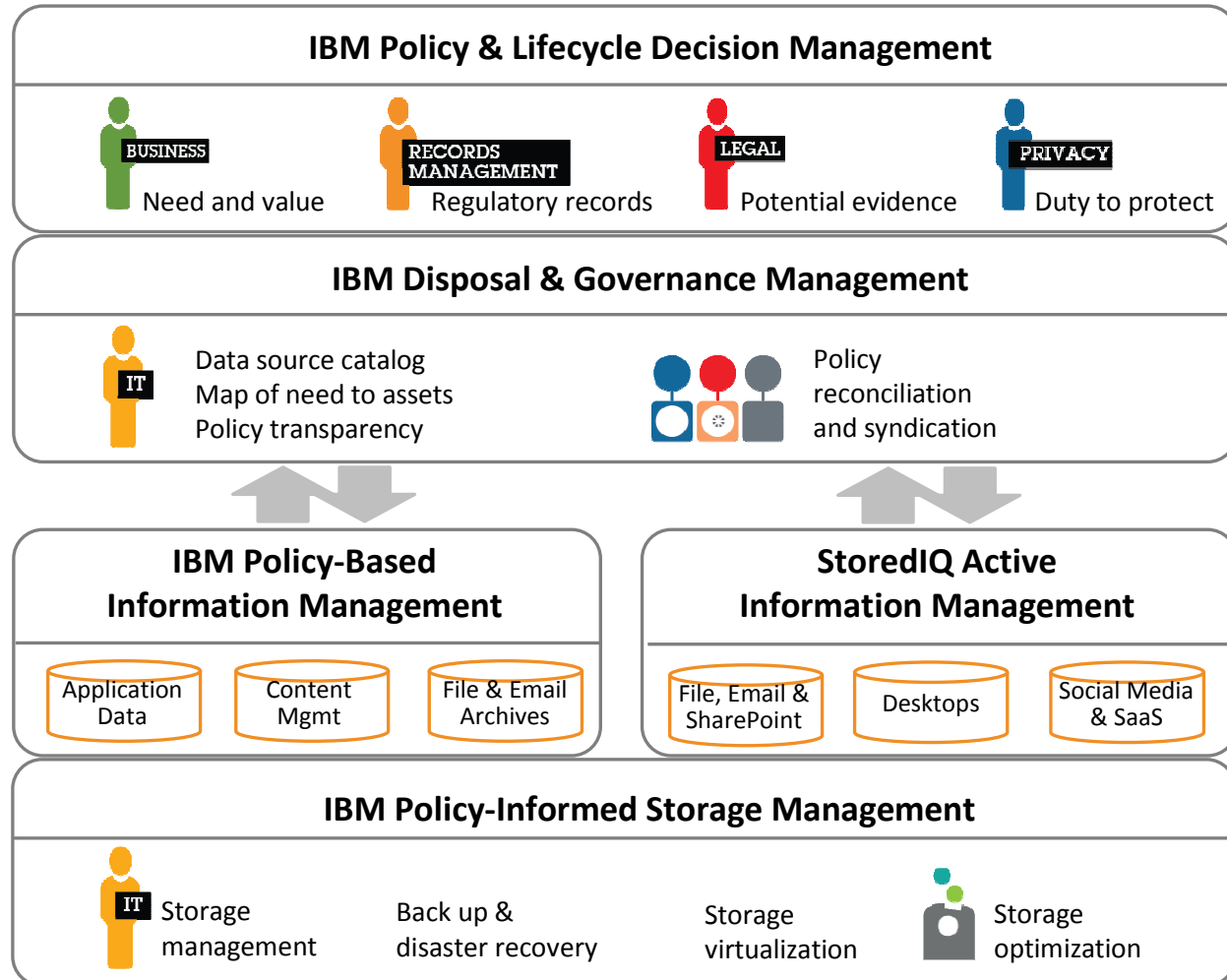
Policy Syndication:
Distribute reconciled policies to data sources



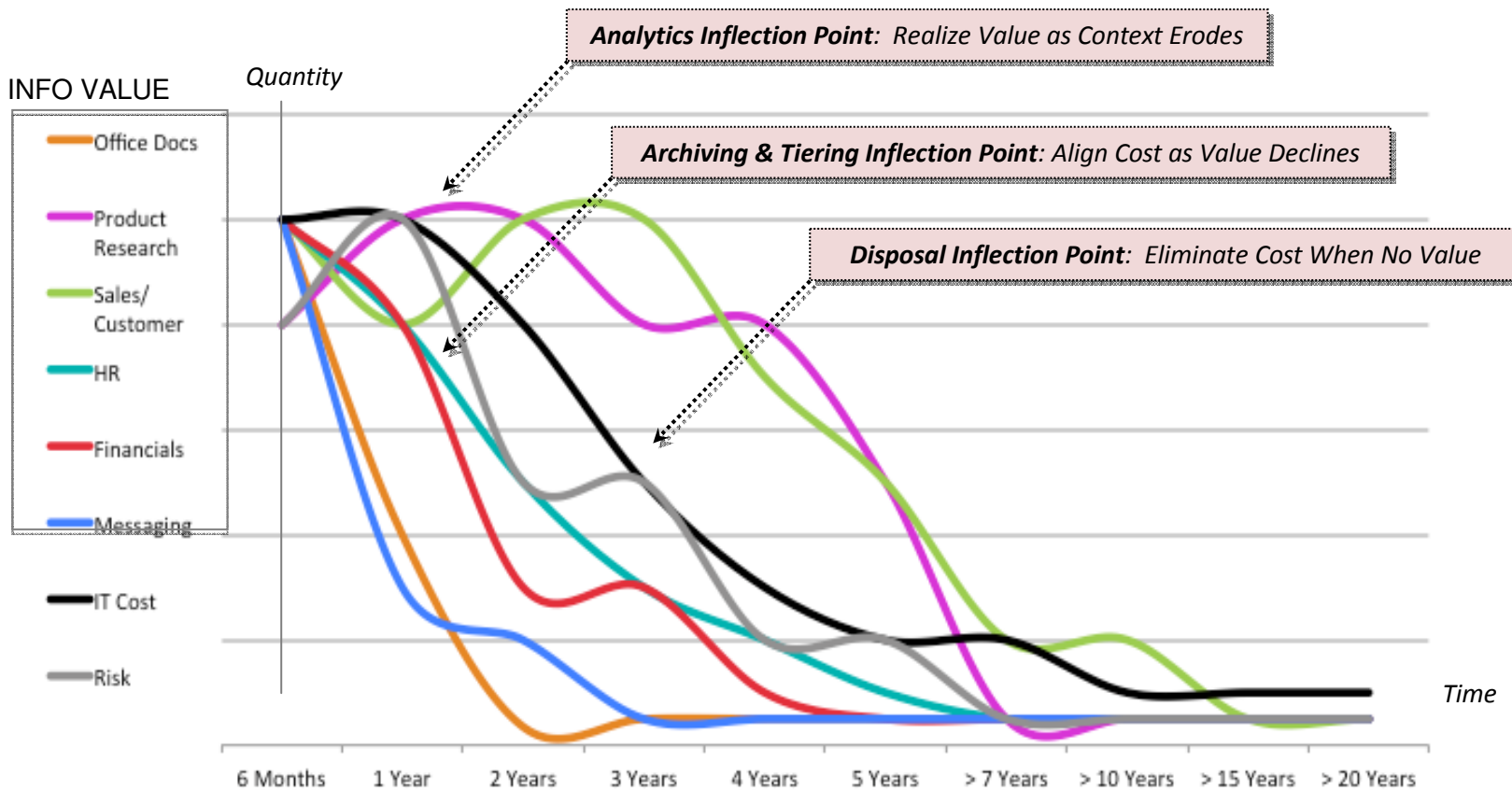
Policy Execution:
Apply the right policy to data wherever it is



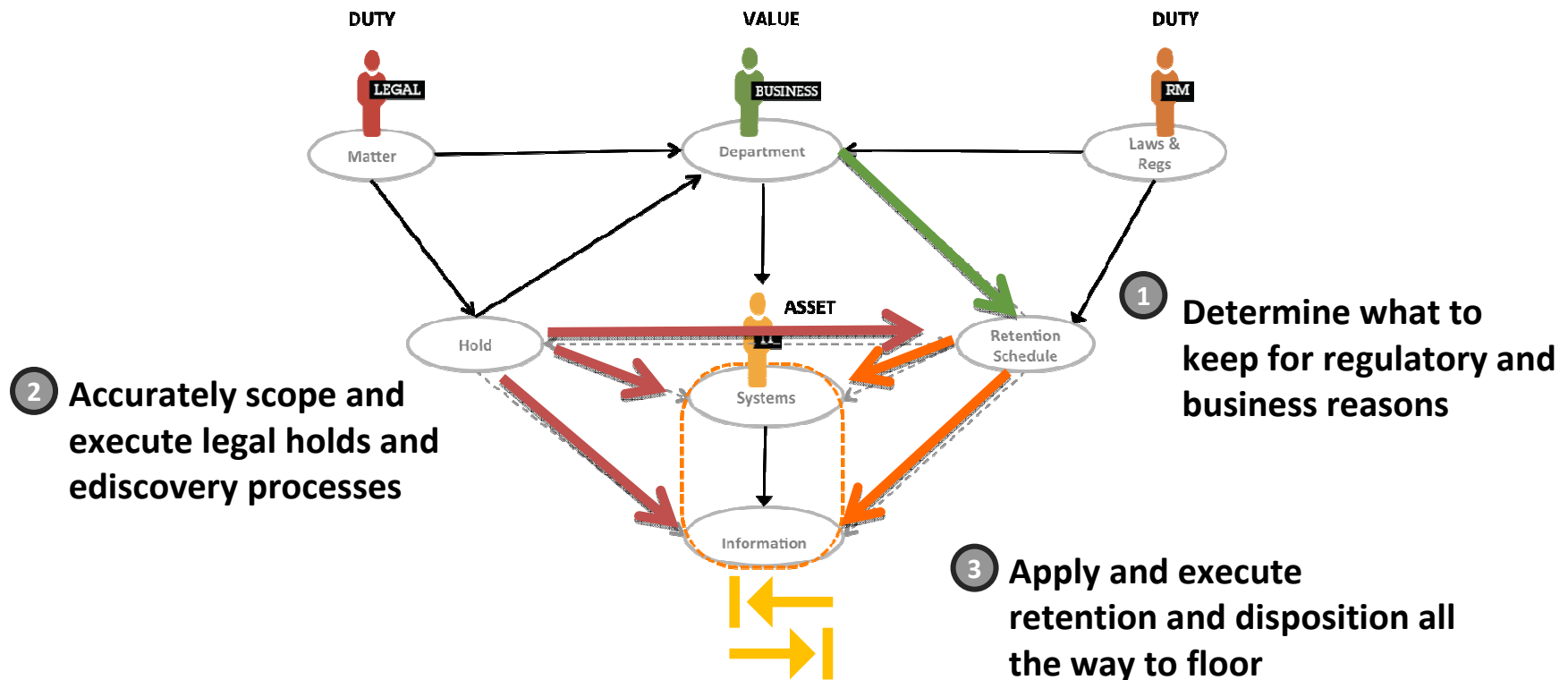
Data Infrastructure:
Contain consumption, align cost to value



ILG Policy-Driven Alignment of Information Cost to Value



Closes process gaps to **tie duties and value to assets** to optimize value and eliminate cost and risk

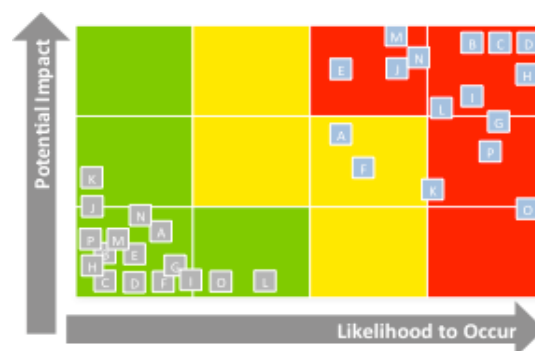


Typical Savings Levers and Program Goals

4 Target Cost Compression Areas & Actions

1 Storage Infrastructure storing data with no utility	Dispose of data with no utility
2 Storing data at a cost higher than data value	Archive legacy data and store on appropriate storage tier
3 Applications supported without real business value	Decommission applications, dispose of data and terminate support
4 E-Discovery external vendor spend	Reduce volume of data unnecessarily processed by outside counsel, vendors

16 Compressible Enterprise Risks



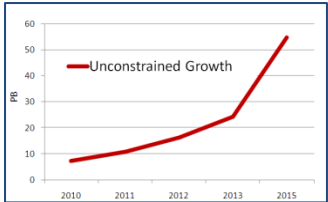
- A. Legal does not identify the right custodians.
- B. Actual, rogue or IT managed data sources are missed.
- C. IT or employees migrate, retire or modify data due to no hold visibility.
- D. Legal fails to follow through on information identified in custodian interview process.
- E. Collection failure from overlooked source, departing employee, incomplete prior collection inventory, communication and tracking errors.
- F. Unable to assemble, understand or defend the audit trail of discovery activities.
- G. Failures in record keeping and regulatory change management.
- H. IT 'saves everything' increases discoverable mass, complexity.
- I. IT disposes of data of value to the business or with legal obligation.
- J. Private customer data is exposed, theft, brand damage, or regulatory penalty occurs.
- K. Legal obligations for data are poorly understand and executed from miscommunication or lack of information.
- L. Systems are incapable of complying with information obligations
- M. IT lacks full facts on disposal of information so excess accumulates or data is lost
- N. Legacy data is poorly understood, overlooked in litigation, expensive or difficult to find and not reliably disposed
- O. Unable to reclaim or recover unused assets or allocate based on business need
- P. Unable to pass an audit on compliance with retention, preservation, protection and disposal policies

Transforming Processes to **Lower Cost & Risk** with Information Lifecycle Governance

A

Point A
Accurate assessment of where we are today

- ✓ Total and excess data volume
- ✓ Excess IT and legal cost
- ✓ Risk assessment (cost of current mitigation model)



P

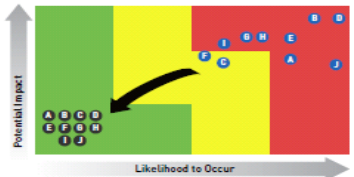
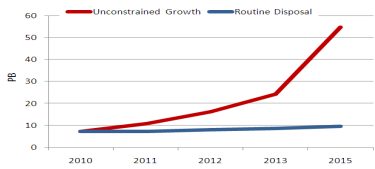
Path to Point B
Operationalizing ILG Program, Measuring & Ensuring Success

1. People and organization
 - Governance organization model,
 - Metrics and measurement to ensure "Point B" business results
 - Communications cadence and decision making
2. Process
 - Business processes and changes required to achieve "Point B" business results
 - Identifying and closing gaps in current process maturity
 - Operational capacity required
3. Technology
 - Operational and technical capability required

B

Point B
Our specific cost and risk reduction objectives and fiscal milestones

- ✓ IT run rate reduction target
- ✓ IT and legal cost avoidance projection
- ✓ Risk reduction (target reduction in cost of mitigation target)
- ✓ Tied to fiscal year



IBM is a Strategic Partner in Enabling Defensible Disposal



Strategy

- **Value-based Archiving & Defensible Disposal to Change Information Growth Curve**
- **Sustainable Solution to Systemic Issues – Systematic Linkage of Duties and Value to Assets**
- **Lower IT Run Rate with More Rigorous Compliance**
- **Alignment of IT Efficiency Objectives with Legal and Regulatory Requirements**
- **Execution and Domain Leadership**

Increasingly, organizations are focusing on holistic information governance as an area for improvement, including the management of information for compliance and risk mitigation.

We are recommending a thorough, legally defensible and business-driven strategy for identifying records. That effort should include retention schedules that allow non-essential data to be routinely disposed of as it is no longer of business value or needed to meet legal or regulatory obligations.
-- Gartner

Technology

Smart Archive

IBM's "capability to provide a unified archiving solution that includes value-based archival, disposal, and eDiscovery enablement for both structured and unstructured data is an important differentiator for companies that want to lower cost, complexity, and risk."

--IDC in ranking IBM #1 Sept 2011

"IBM is the market share leader, with significantly more share than the next-closest competitor [76%]." -- Gartner

eDiscovery Management

"Very good recognition and acceptance in the legal community." -- Gartner

Records & Retention Management

"Highly scalable in terms of number of users and number of records." -- Gartner

Governance & Disposal Enablement

"The ideal defensible disposition software would help an organization define, store, distribute and execute retention policies, as well as track and coordinate the execution of legal holds. Atlas Information Governance from PSS Systems, acquired by IBM, is '[...] the top of the line for functionality,' says [Brian] Hill of Forrester." -- Computerworld Defensible Disposal issue

Expertise

- **Information Governance Process Maturity Model and Methodology**
- **Archiving Expertise**
- **eDiscovery and Records Domain Expertise in Financial Services**
- **Program Office and Governance Structure**
- **Technical and Domain Staff, onshore and offshore**

"Visionary. The best solution I know for managing enterprise retention and preservation. As important to me, the team and support are as good as the products." -- Tom Lahiff, GC Vigilant, former AGCC Citigroup

*"Working with IBM, we were able to successfully migrate 35 TB of critical data and 200 million objects. The data needed to be moved into our IT infrastructure to comply with regulations and this needed to happen in a very tight time frame. The IBM solution, coupled with strong IBM subject matter expertise support, allowed us to meet our aggressive schedule for moving the data."
-- Executive VP & CIO, BB&T*