

## WHITE PAPER

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# Practical Information Governance: Balancing Cost, Risk, and Productivity

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## EXECUTIVE SUMMARY

Information governance is about mitigating risk, according to the business value of information, and thus costs while also enabling a firm to access and reuse corporate information for competitive advantage. In recent years, it has become evident that the best solution is an architecture that has been designed specifically to support and sustain information governance and that applies corporate policies consistently across a wide range of content types.

## SITUATION OVERVIEW

It has long been understood that information is the key driver in business process and the weld that forges the links in the value chain. More recently, many business managers have come to the realization that the richness of information — what we think of as content — is really the key differentiating factor for a competitive advantage and ensuring the enterprise is accountable and in compliance. If the information content is shallow, out of date, or fragmentary, then business processes are handicapped and cracks appear in the value chain. If the information is not accessible and able to be efficiently gathered for accountability and compliance requirements, then good information governance is not occurring. Moreover, if it isn't possible to determine if the *cost* of acquiring, storing, and processing the information and the *risks* attendant in storing and processing it and translating it into business practices and good information governance practices will produce a profitable *return* on the investment, then too many unknowns are left unattended.

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## Enterprisewide Information Governance

Information governance is policy-based management of information designed to lower costs, reduce risk, and ensure compliance with legal, regulatory standards, and/or corporate governance. Information governance includes policies and technology to understand what information is at what point in its life cycle and to apply the appropriate policies, including retention, disposition, and as appropriate, long-term preservation. It includes visibility into the information within the organization, allowing the organization to understand what information it has and where it is stored and to take action on the information.

Information governance encompasses the people, practices, and technology to proactively manage and take control of information:

- ☒ **What** information is stored (classification, information visibility)
- ☒ **Where** information is stored (tiered storage, in-place management, and/or secure legal hold)
- ☒ **Who** has access (role-based access for eDiscovery; broad user search for general office productivity)
- ☒ **How** long information is retained and preserved (includes retention classification, records management, WORM storage)

Good governance is a proactive information management strategy designed to address the limitations of simple compliance, eDiscovery, or information security (privacy) strategies. Its impact is felt throughout the global economy. Companies reap the benefits of secure life-cycle information management by:

- ☒ Gaining visibility into corporate information, where it resides and what policies it is managed according to, at both the physical level and the logical level
- ☒ Applying retention and disposition policies to information
- ☒ Defining who can access the information
- ☒ Determining collection methodologies and how and where information will be used and stored (or left untouched)
- ☒ Deciding whether to archive information for later use and/or when to destroy it

Information governance is of equal importance to corporate governance or financial governance. In fact, you could say they are inseparable because they all seek to accomplish the same business objectives.

IDC believes that increased attention to sound information governance policies, coupled with a discovery collection and management policy for compliance with regulatory requirements, will improve the focus on structured and unstructured information storage and management. Active archiving, which is critical for email, is becoming more comprehensive and is including disparate content, starting first with other unstructured information. Archiving will become more integral to information management initiatives. Good information governance reduces corporate risk and legal exposure while facilitating content management, which in turn opens the doors for knowledge management, which should be the ultimate focus of every enterprise. It also enables measuring the return on investment (ROI) made in content storage, archiving, retention, and recovery and provides the data to determine the total cost of ownership (TCO) that addresses not just these costs but also the cost savings from the advanced efficiencies.

An information governance policy for today's enterprise aids in IT optimization while reducing risk, taking into consideration the following:

- ☒ Diverse and disparate logical information repositories exist within an overall IT infrastructure
- ☒ Visibility into information across repositories that is required for relevance to legal, regulatory, or business objectives for the firm
- ☒ Continuous IT optimization including storage capacity optimization, shorter backup times, reduced backup infrastructure costs, and improved application server performance
- ☒ Assurance of security and privacy for employees, customers, and corporate intelligence
- ☒ Compliance with business rules and policies for record retention requirements
- ☒ Compliance with industry and governmental regulations
- ☒ eDiscovery preparedness for anticipated legal discovery requests
- ☒ Discovery of electronically stored information (ESI) for the purposes of compliance audits, regulatory investigations, and litigation
- ☒ Improving the efficiency, accuracy, and repeatability of the eDiscovery process for both legal and compliance purposes
- ☒ Managing ever-increasing amounts of structured and unstructured information

When an enterprisewide governance policy is implemented to deal with these matters, decisions can be rendered consistently, necessary information can be retrieved promptly, business can be conducted as usual, and productivity does not suffer.

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## **Architecture for Information Governance**

Interestingly, when an enterprise or business unit takes a holistic view of information management through governance, solutions become much clearer. In fact, *governance*, *risk*, and *compliance* (GRC) can now be thought of cohesively. It becomes possible to more consistently locate, classify, retain, preserve, monitor, control access to, dispose of, and certify destruction of prescribed content required for a legal, regulatory, or business issue. An architecture for information governance does not have to be put in place all at once. Instead, the conversion should proceed on a highest-needs basis, installing cross-functional applications that will continue to support the holistic information governance initiative or model. Considerations for such an architecture should include those noted in the following sections:

### ***Distributed Information, Devices, and Controls***

- ☒ Ability to manage across departmental or business unit boundaries
- ☒ Ability to manage across geographic boundaries, countries, and languages, including global support for all types of character sets
- ☒ Accessibility by end users across a broad range of distributed devices and access points
- ☒ Ability to manage across IT platforms, domains, divisions, and business units

### ***Holistic, Consistent Policy and Information Management***

- ☒ Compliance issues — adhering to a clearly defined specification, organizational policy, or industry standard and being able to document and prove conformance
- ☒ Content management integrated with archiving for precise, rapid identification of and access to required information
- ☒ eDiscovery requirements — finding, identifying, locating, retrieving, and reviewing potentially relevant information from designated computer systems while maintaining chain of custody by limiting access and preserving content and metadata
- ☒ Enabling users to leverage information and collaborate, particularly in the context of new Web 2.0 ways of doing business
- ☒ Monitoring and supervisory roles
- ☒ Privacy concerns such as uniquely identifiable personal information collected and stored, in digital form or otherwise, by another entity
- ☒ Records management (encompassing records retention and disposition) for all information

### ***Infrastructure***

- ☒ Foundational technology or architecture for an "integrated content archiving" strategy that includes messaging (email, instant messages, etc.) but expands into other content (files, SharePoint, SAP, reports, images, etc.)
- ☒ Security and privacy, including endpoints, wireless, 3G access
- ☒ Server allocations
- ☒ Storage considerations, including backup schema and active archiving

Good information management, established on the foundation of an information architecture designed specifically to support and sustain it, produces intelligent information management that satisfies all the business, regulatory, and legal issues of the modern enterprise. Moreover, risk is reduced, business intelligence is secured, costs go down, and because the business environment is more secure, opportunities for competitive advantage improve.

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## **Three Overarching Principles of Good Information Governance**

It is often the case that key organizations and functional groups object to information governance because they believe it takes power or control from them. This can be neutralized when three overarching principles — integrity, security, and accessibility — are designed into the governance system. Creating information governance is an enterprise project, and all key people and organizations should be involved in planning it. Ownership goes a long way; the rest of the distance is covered when everyone sees how much more efficient it becomes to work with information.

The three principles of information governance success are as follows:

**Integrity.** The system must support business policies that have been created in order to meet industry regulations and address all regulatory and compliance requirements. While this sounds very basic — and it is — applications must be configured so that the system does such things as:

- ☒ Ensure legally defensible preservation, collection, and retention
- ☒ Provide complete audit trails and reporting
- ☒ Apply and enforce legal holds and preserve chain of custody
- ☒ Move content to intelligent retention-enabled folders

Integrity as an underlying pillar for good information governance takes into account the consistency of methods used to retain, preserve, move, report on, and monitor content. If the integrity of the content or the processes to manage content is called into question, the integrity of the information governance practice can be placed in a compromising position.

**Security.** Information governance supports services that facilitate secure information management. These may include:

- ☒ Content encryption
- ☒ Access control
- ☒ Enhanced auditing
- ☒ Digital shredding

All are key for protecting structured information, such as corporate records and intelligence, as well as unstructured information such as email and PowerPoint presentations that contain proprietary information. Again, the objective is risk mitigation and information protection, as well as secure services such as life-cycle enforcement and controlled printing.

**Accessibility.** Everyone knows that security and ease of access are opposing seats on the teeter-totter of computer use. Information governance is no exception; generally speaking, both active and archived information have varying degrees of importance to users, and all information should be accessible according to user needs. Accessibility concerns include:

- ☒ Interface commonality
- ☒ Passwords
- ☒ Information manipulation
- ☒ Access by a range of devices and endpoints
- ☒ End-user experience consistent with known information navigation and graphical interfaces to present a transparent experience and a feedback mechanism

If end users receive the training to use the new application properly, they will not be exposed to unnecessary complexities associated with the higher orders of information management. The risk of human error is reduced in the learning, and end users themselves become a critical success factor in moving information governance forward.

It is easy to see why integrity, security, and accessibility are the foundation for good information governance. Indeed, one might be quick to conclude that any system, whether computer based or simply organizational in nature, should embrace these principles. It is often the case that people believe in, and pay lip service to, these principles, but once the mission statement or system requirements are set down, higher-order objectives may be set aside or lost in procedural details.

What makes good information governance work, however, is that these principles are integral to its design. Remember, the underlying concept of good information governance is that the system is designed for compliance. Because it simply isn't possible to dilute these three principles or set them aside as the governance system is built, of necessity they become the foundation.

## **INTRODUCING EMC SOURCEONE**

EMC SourceOne is a family of information governance products that make information governance actionable. It includes archiving, compliance, and eDiscovery solutions to give customers starting points for their most pressing information management needs. It is modular, giving customers of all sizes "digestible pieces" to start with their most pressing information management challenges — to deliver immediate business benefit — and then expand over time. EMC SourceOne allows proactive, consistent, and repeatable management of retention and disposition policies and, as appropriate, long-term preservation based on the value of the content.

The EMC SourceOne family is designed to deliver fast time to deployment and quick time to value. This includes appliances (both physical and virtual) that are deployed quickly as well as bundled offerings that make it simple to get started. The SourceOne family can be delivered either on premise or as a service.

Offerings in the EMC SourceOne Information Governance portfolio include those noted in the following sections.

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### **File Visibility: EMC SourceOne File Intelligence**

EMC SourceOne File Intelligence delivers insight into content stored in the environment so that customers can categorize, classify, and take appropriate action to help with operational consolidation and ensure compliance with content policies.

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### **eDiscovery: EMC SourceOne eDiscovery-Kazeon**

EMC SourceOne Discovery-Kazeon provides repeatable eDiscovery processes to identify, secure, analyze, and produce content across a number of locations and repositories in response to an investigation, audit, or litigation event.

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## **Archiving: EMC SourceOne Common Archiving Platform**

EMC SourceOne offers a common archiving platform to enable the retention and disposition of different types of content according to coordinated policies and controls. The following applications are offered under this common archiving platform:

- EMC SourceOne Email Management provides high-volume archiving of email content stored in Microsoft Exchange or IBM Lotus Notes/Domino.
- EMC SourceOne for Microsoft SharePoint manages active and inactive content and sites stored in SharePoint.
- EMC SourceOne for File Systems extends the SourceOne platform to allow firms to manage content stored in file servers in the same centralized archive that houses their email and SharePoint content.
- EMC SourceOne Common Archiving Platform add-on components include:
  - EMC SourceOne Discovery Manager delivers legal search capabilities against the SourceOne archive content.
  - EMC SourceOne Email Supervisor provides monitoring and supervision of email content based on flexible sampling rules.

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## **Retention Management: Documentum Records Manager and Retention Policy Services**

An effective information governance strategy should enable retention policy to be applied based on the value of the content to the firm. EMC offers a variety of retention management solutions to help firms comply with legal and regulatory requirements for document retention. Going beyond the retention that is part of the SourceOne products, Documentum's records management provides more granular retention for high-value content.

The EMC Documentum Records Management portfolio includes the offerings noted in the following sections.

### ***EMC Documentum Records Manager***

EMC Documentum Records Manager facilitates control of the entire corporate record life cycle — creation, safeguard, access, and destruction — according to a broad range of system-enforced policies. This electronic records management tool helps firms comply with the recordkeeping requirements of regulations and leverage uniform policies across all formats.

### ***EMC Documentum Retention Policy Services***

EMC Documentum Retention Policy Services automate content retention and disposition in compliance with regulations, legal stipulations, and best practices. A firm can add Retention Policy Services independently to any supported EMC Documentum environment or as part of the fully certified EMC Documentum Records Manager.

## **A NEXT-GENERATION SOLUTION**

The EMC SourceOne approach to information governance significantly improves on the myriad demands placed on information and content in a 21st century business. Because its foundation is information governance — not simply technology — it is of immediate usefulness to the organization. Consider these benefits:

- ☒ Ability to provide insight into content stored in the environment for effective management according to operational and business needs
- ☒ Ability to segment messages and other content based on business value through flexible classification
- ☒ Expanded discovery functionality for new and existing environments
- ☒ Support for in-house legal review and early case assessment
- ☒ Increased granularity to apply retention policy services (retention management) and workflow to discrete emails
- ☒ Simplified, centralized administration across the enterprise and reduced demands on management for integrated content archiving
- ☒ Open architecture to support customization and integration with third-party vendors
- ☒ Lower TCO through reduced administration costs and streamlined, end-to-end compliance processes

## **CHALLENGES**

As with any new initiative of this scope and magnitude, EMC faces a number of challenges. New types of content will have to be addressed (e.g., structured files in SAP applications and Web 2.0 content such as blogs and wikis) and will require new problem-solving approaches to collection, discovery, and management. Because a myriad of different repositories will continue to exist, EMC SourceOne will have to complement the existing platform and third-party middleware to ensure that information is federated across the enterprise information landscape. It must be said that organizations that take the high road, so to speak, by redesigning their information landscape from the top down, using GRC as a basis for addressing integrated content archiving from a compliance perspective, will be much more successful in the transition to information governance.

## **IN CONCLUSION: EMC THOUGHT LEADERSHIP**

EMC has been a thought leader in content management, in large part based on its decision to acquire Documentum Inc. in 2003. In so doing, it significantly moved from providing storage to managing information. EMC SourceOne takes the next step in federating information, using the principles of good information governance to approach all forms of content from the perspective of compliance — a wise and thoughtful idea.

EMC has obviously thought through its EMC SourceOne family of products and solutions because it is presented as a fully scalable architecture with a number of products that can be used either in standalone mode or with Documentum support. The EMC SourceOne family of information governance solutions enables sound information governance, which fully supports all compliance and eDiscovery needs in search functionality; classifications; and monitoring the retention, preservation, and disposal of prescribed content. The SourceOne information governance approach enables firms not only to mitigate risks but also to more effectively reuse their information assets for user productivity and competitive advantage. It also creates a business process flow from acquisition to collection, retrieval, organization and management, and presentation of compliance-based information, which is very forward-looking.

In today's business environment, risks and threats abound. It is not possible to guard against everything, but EMC SourceOne takes a momentous step forward in meeting this need with an intelligent, adaptable solution that addresses the significant shifts in how information is managed by pointing to the future of good information governance.

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