



15-MINUTE GUIDE TO INFORMATION GOVERNANCE

INTRODUCTION

Without a proper information governance strategy, most organizations waste time and money maintaining data that has long since lost its value. They also expose themselves to potential legal problems trying to locate and manage that which is truly essential. This 15-minute guide provides an overview of information governance as a central component of any risk and compliance strategy, focusing primarily on the volumes of unstructured content that accumulate in disparate repositories across the typical business environment.

Like most business assets, information requires ongoing care and maintenance. Implementing an information governance plan is the best way to apply and enforce policies and ensure that content is stored appropriately for the duration of its value. Such a plan reduces operational costs, improves user experience, and mitigates the risks associated with regulatory requirements and eDiscovery requests. By managing unstructured content from its creation to destruction, you can keep everyone happy, from legal teams to records managers, executives, IT personnel, and business users.

WHAT IS INFORMATION GOVERNANCE?

Simply put, information governance is about managing information to reduce cost, manage risk, and enable litigation readiness. It includes technology that can properly enforce policies, but your processes, practices, and policies are vital to effective information governance. Information governance gives you the means to understand and a systematic repeatable way to get control of unstructured content. Think of information governance as your way to apply regular housekeeping to the accumulation of unstructured content in key applications, including email, Microsoft SharePoint, and Windows file servers.

Information governance helps you answer basic questions about your unstructured information:

What information is stored in your environment? Take, for example, file servers. Are you spending time and effort storing and protecting inactive content that has lived up to all regulatory obligations?

Where is the information stored? And just as importantly, where should it be stored? Take, for example, an HR file with confidential information, such as employee salaries. What kind of damage could that cause if it were on an unsecure file share? Where you keep information, which includes the level of access control and security, will depend on its value to the business. Sensitive, private, or confidential information might need to be managed in a more secure repository than general user documents.

Who has access to the information? Consider this from two perspectives – general and restrictive. General access is to ensure your business users have access to information they need to do their jobs. Eliminating redundant or outdated information will help those who might want to reference or repurpose content, such as white papers and customer proposals. On the restrictive side, you want to ensure all content that is private, confidential, or sensitive is locked so that only the appropriate individuals with proper credentials have access. Similarly, legal hold content needs to be securely retained in a tamperproof repository with guaranteed chain of custody.

How do you know what you have? How can you understand what you have today and classify its associated value? How should you properly retain your information? How should you dispose of content at the end of its lifecycle?

WHY INFORMATION GOVERNANCE?

There are several reasons, not the least of which stems from the sheer volume of unstructured information growth. Production systems, including email, SharePoint, and file servers, are weighed down with electronic information and that problem will only get worse. This information is largely created by individuals in business settings, meaning that organizations need to figure out how to properly manage information in a way that balances user productivity with risk mitigation and litigation preparedness. Here are some of the pressures that are increasing the need for information governance in all regions of the world:

Risk management Depending on your industry, you might have needs to retain and dispose of content within specific timeframes or based on specific events. Similarly, you might also have internal policies on content retention. Beyond simply enforcing retention, there is the need to ensure sensitive, private, and confidential information is properly managed according to corporate requirements.

Litigation preparedness Let's face it – the requirement for eDiscovery isn't going away. In fact in more countries, organizations are looking at how to prepare for the inevitable need to respond to a request, whether litigation, audit or investigation. For example those in public sector, are required to respond to Freedom of Information Acts. Whatever the reason, you need to ensure that retention and disposition policies are properly and consistently enforced so that you are not storing information that could be used against you. The objective is to simplify eDiscovery, including the time and cost to find the information you are looking for, whether stored in email systems, Microsoft SharePoint, EMC Documentum, file servers, user computers, or archive systems.

Lower costs Are you using your email server like a file server? Many organizations are not enforcing retention policies on email, which means they are accumulating large volumes of static data in the email environment that is slowing down operational performance and increasing cost, including storage and backup costs. Similarly, if you aren't pruning your SharePoint environment, you are likely seeing a decline in performance and increase in costs, as inactive data weighs the system down. With a tiered infrastructure, you can store content in the most appropriate repository for long-term retention, while freeing your production environment for newest content. The total cost of ownership for applications like SharePoint and email will decline dramatically by properly managing what information you retain and where.

ESSENTIALS

- Enforce information management policies with proper retention and disposition
- Reduce data volumes through de-duplication and content deletion
- Ensure litigation readiness and compliance with regulatory and governance requirements
- Enhance your journey to the private cloud by implement long-term information management policies that transcend where the data resides
- Keep production environments clean and optimized for performance

Improve user productivity If much of your data is outdated or redundant, then current information is difficult for users to weed through. Similarly, if you are imposing capacity limits on SharePoint sites and/or mailboxes, then users will need to spend time managing to get below that quotas limit. This can be frustrating, particularly in the case of mobiles users who are locked out of the email system when the mailbox limit is reached.

Journey to the private cloud The proliferation of data isn't going away and infrastructure improvements will help you to better store and protect data. The vision of private cloud allows you to deploy applications, like email and SharePoint, quickly and to scale to meet spikes in demand, all of which will help reduce costs, improve performance, and deliver better SLAs to the business. In tandem with a look at your underlying technology infrastructure, you should also consider what information you are storing and manage it appropriately.

ENABLING TECHNOLOGY

Recall that information governance includes technology, policies and people. Looking more closely at the technology, there are a few key enabling technologies to highlight:

- **Information intelligence** As the foundation of information governance, this technology file visibility allows you to determine what is stored, where it is stored, and take action based on the content's value. Information intelligence will help you to classify the appropriateness of the content, separate out active vs. inactive content and segment high risk content that might be stored in an unsecure location. More than simply reporting, this capability allows you to take action on content, such as disposing of expired content or moving high risk content to a more secure repository for long-term preservation.
- **Archiving** Archiving is foundational technology that helps you to free your production environment, using rules to enforce policies on what content you keep and for how long. Archiving will help you to lift restrictive quotas on your email and SharePoint environments and will help you to manage accumulations of inactive, outdated or redundant files on your Windows file servers. It includes a combination of hardware and software to leverage a tiered infrastructure and manage the high volumes of content stored in your key applications. Similarly, archiving is also a means by which you can accelerate migrations from aging versions of email or SharePoint to the most current versions.
- **Retention management** Whether it is simple or granular retention capabilities you require, retention management is also central to information governance. Enabled through software and further enforced by storage devices, retention management can help you to manage high volume content, allowing you to store it outside your production system in a tiered infrastructure. As your business and industry needs dictate, retention management can be more sophisticated than simply managing content based on time. For example, event-based retention for selective high value content tied to your workflow might be appropriate for some content, in tandem with a more basic time-based retention for high volume content. As well, you will want to enforce litigation hold for content subject to an eDiscovery.

- **Legal case management and eDiscovery** Given that eDiscovery is becoming a mandatory business process, an eDiscovery tool complements the foundational technologies of information governance. It allows you to create effective, repeatable processes for responding to eDiscovery and other legal searches across a number of repositories. Your eDiscovery efforts are enhanced by the fact that you are centrally storing long term content in a centralized archive and regularly disposing of content as it expires. By continually monitoring the environment for appropriateness of content, you can make sure your information policies are being consistently executed. Legal case management will allow you to more cost effectively address each of the major steps in the eDiscovery process including intelligence collection and identification, analysis and review and legal hold management. All of this will make your legal staff smarter sooner on the cost and risk of the case at hand, allowing you to divert costs and better set expectations of senior management from early case assessment.

HOW EMC CAN HELP

The EMC approach to information governance is modular, allowing you to get started with your biggest challenges first and then expand as needed. Built on next-generation architecture, EMC information governance products can be delivered as on-premise solutions or as cloud-based services by EMC partners. Now is the time to get started with information governance. EMC SourceOne™ gives you actionable, practical information governance solutions to clean up your information chaos. With EMC, you can reduce the cost, manage your risk, simplify eDiscovery and enable compliance with your own policies and/or regulatory requirements. Technology elements in the EMC SourceOne family for actionable information governance include:

- **Information intelligence** EMC SourceOne File Intelligence provides the capabilities to identify what is stored, determine where it is stored, how often it is being accessed and take action based on the content's value. By following good information governance practices, customers can monitor and ensure adherence to information policies.
- **Archiving** EMC SourceOne includes a number of archiving modules built on a next generation platform to keep your production systems—email, SharePoint, and file servers—lean by leveraging a tiered infrastructure. Using a common administration console, you can set up policies for which content you archive and how long the content is retained. The content is accessed by users through a simple Web-based interface, or in the case of SharePoint through the native SharePoint interface. An add-on module, EMC SourceOne Discovery Manager, provides for legal search capabilities across the archive. A companion add-on module, EMC SourceOne Email Supervisor, provides monitoring and supervision of email archived by EMC SourceOne Email Management.
- **Retention and disposition management** EMC offers a range of retention management capabilities to meet specific regulatory needs and enable litigation readiness, managing high-volume, bulk retention or more advanced granular retention for high-value content. This includes retention capabilities offered in the EMC SourceOne archiving products for simple time-based retention. It also includes more advanced capabilities to enforce more granular retention through the EMC Documentum repository with a modular set of retention capabilities for both electronic and physical content. As needed, you can also meet regulatory stands with EMC Documentum Records Manager.

- **Legal case management and eDiscovery** EMC SourceOne eDiscovery – Kazeon provides a comprehensive tool to facilitate early case assessment. It offers the ability to collect and identify content from a number of repositories including email systems, like Exchange and Domino, as well as local archives like .PST files; content management systems like SharePoint and Documentum, file servers, laptops, desktops, and archives including the EMC SourceOne archive and Symantec Enterprise Vault. Advanced search and filters allow you to analyze the result set and cull the content for only relevant items. Legal hold management securely retains the content in the repository of your choice and also notifies users of legal hold.

EMC also offers a number of other technologies that enforce information governance policies:

- Hardware platforms including EMC Centera, EMC Celerra and EMC Data Domain to store archive and eDiscovery content
- Security capabilities through RSA and policy monitoring through the RSA Archer dashboard
- Enabling technologies including virtualization technology from VMWare to run your information governance technology in the most cost-effective means, and EMC Greenplum for big data analytics and data mining
- Consulting services to help you best plan and implement an information governance strategy

WHY EMC FOR YOUR INFORMATION GOVERNANCE NEEDS?

EMC offers the hardware, software and services to help make information governance actionable in your organization. What does EMC offer that is different in the market?

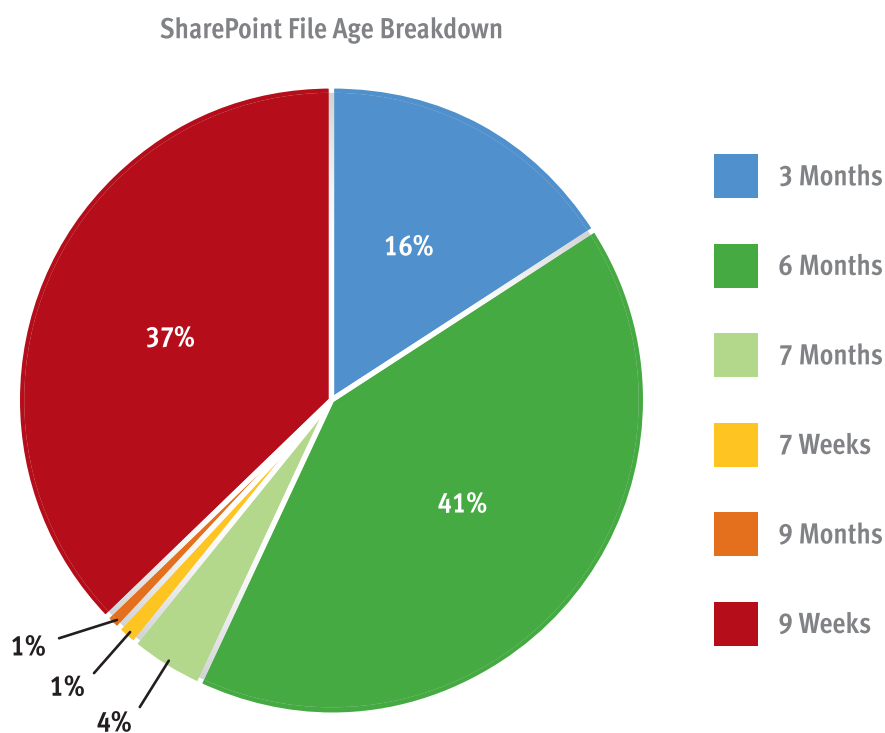
- **Modularity** EMC offers the ability to get started with Information governance to address your biggest challenge today and then expand to other areas in time. You don't need to take a big-bang approach to information governance. Start tactically where you have the most problems and then grow into other areas on the journey to a comprehensive approach to managing your information.
- **Consistency** EMC allows you to get control of your unstructured content in a consistent way. You can manage volumes of content in email, SharePoint and file servers consistently in a centrally administered archive. EMC will help you to consistently enforce your policies, including your retention and disposition policies as well as to monitor your environment to appropriateness of content. This includes allowing you to monitor whether email is being properly used and whether content stored on your file servers meets your content policies. If you find things in violation, you can take action.
- **Repeatability** This is particularly important when you think about eDiscovery. In order to simplify eDiscovery, you need a repeatable consistent process for eDiscovery. Before that you need ongoing information housecleaning to make sure content is appropriately managed and properly disposed of. Repeatability of in-house tools will help you to assess the situation early in a lawsuit, audit, or investigation to determine your best course of action. Repeatability will give your legal staff the intelligence through early case assessment so they can understand the scope and impact of the case at hand, estimate cost, and set proper expectations of the potential outcome.

- **Flexibility** There are a number of choices on how you deploy EMC information governance products. There are software only options as well as appliances that combine hardware and software in a single package. There are building blocks for retention management and the option to layer on more formal records management. The EMC products can be deployed as on premise or available as cloud-based services from service providers. Depending on your needs, you can buy the capabilities of information governance for either on-premise use or as a service.

HOW CAN YOU GET STARTED?

There are several steps for you to get started with information governance today.

Build your own business case EMC and its authorized partners can collect data about your Exchange, SharePoint, and file server environments to show you what your current environment looks like. What percentage of our mailboxes are attachments? How many duplicate files are on your file servers? How many files haven't been touched in nine months in your SharePoint environment?



ASSESSMENT OUTPUT CAPABILITIES. THIS EXAMPLE IS GENERATED BY THE SHAREPOINT ASSESSMENT TOOL, BUT EMC OFFERS SIMILAR CAPABILITIES FOR EXCHANGE AND FILE SERVERS.

For an example of the assessment capabilities around SharePoint, please look at this data sheet:

<http://www.emc.com/collateral/software/data-sheet/h4888-sharepoint-assessment-tool-ds.pdf>

Assess your current state You might not know where you want to get started with information governance. To help facilitate, EMC developed the Information Governance Maturity Model to help you. In a workshop format, you will assemble representatives from your compliance, legal, records management, and IT departments. A senior consultant will lead a conversation with all of the representatives from your business, facilitating a structured conversation to identify the pressure points that impact your information management policies.

	Policy Identification	Policy Enforcement	Information Access & Security	Information Risk	Information Capture & Classification	Information Format Governance	Records Lifecycle Management
Optimized	Green	Green	Green	Green	Green	Green	Green
Managed	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green
Proactive	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow	Yellow
Reactive	Orange	Orange	Orange	Orange	Orange	Orange	Orange
Aware	Red	Red	Red	Red	Red	Red	Red

Following the discovery session, the consultant will return with a customized report that provides an unbiased, third view of your current status across a number of different information management categories. The report will also include recommendations for near term opportunity for change and will serve as the basis for your own Information Governance roadmap. For more information on the assessment, please use to the following link:

<http://www.emc.com/collateral/services/consulting/h4905-info-gov-maturity-model-svo.pdf>

Learn more Do you want to learn more about information governance and the enabling technology? EMC offers a series of short segments on information governance and each of the technology areas. You can get started at:

<http://www.brainshark.com/mydocumentum/vu?pi=zlwrjxknz1ALuz0>.

Also, visit SourceOne City: www.emc.com/sourceonecity.

SUMMARY

Information governance is a key consideration in your governance, risk, and compliance strategy. It helps you to manage cost, mitigate risk, and enable litigation readiness for unstructured information. Information governance allows you to consistently enforce retention and disposition policies and, as appropriate, securely retain content for long term retention. It balances the needs of several stakeholders within your organization– your IT staff, legal and compliance offices, records managers, executive staff, and line of business users. It helps you to take control of the sprawling masses of unmanaged information in your email systems, SharePoint and file servers. Information governance is an approach to blend technology, policies, and people to get the most out of your information and to protect your key information assets and to protect your organization from the liability of unmanaged information. EMC offers the technology and services to make information governance practical and actionable, so that you can get started today.

ABOUT THE EMC SOURCEONE FAMILY

The EMC SourceOne family is a suite of information governance products and solutions that deliver policy-driven information management to manage risk and ensure compliance. At the same time, all EMC SourceOne products and solutions reduce the IT costs associated with information retention and disposition and leverage tiered storage. The EMC SourceOne family enables common policy management and information access across many applications, delivering for the first time true integrated archiving and compliance.

ABOUT EMC

EMC Corporation (NYSE:EMC) is the world's leading developer and provider of information infrastructure technology and solutions that enable organizations of all sizes to transform the way they compete and create value from information. Information about EMC products and services can be found at www.EMC.com.

CONTACT US

To learn more about EMC information governance, visit us online at www.EMC.com or call 800.607.9546 (outside the U.S.: +1.925.600.5802).

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