



**Visioning and Provisioning Enterprise Information Governance:
The Future Is Now**

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Preparing for the 10 p.m. Call

Many of us may remember when the local radio or TV station would insert a public service announcement just before the late night news broadcast – “It’s 10 p.m. Do you know where your children are?” So is your enterprise ready for the corollary questions, “You’ve just been named in a lawsuit. Do you know where your information is? Do you know how to retrieve it quickly? Do you know how much it will cost to produce it in court?” Are you ready for that call?

The REAL overriding question that should be answered is, “Do you have a framework in place to support your enterprise governance challenges?” If you don’t have a strategy in place to support your enterprise-wide information governance requirements it’s highly unlikely you will be able to readily address any “late night call” that requires the efficient delivery of compliant and discoverable information.

And, just throwing technology at the problem won’t solve it. An enterprise information governance framework is a strategic undertaking that demands the linkage of people at the highest organizational levels, together with the development of innovative process and technology.

In 2010, the Compliance, Governance and Oversight Council (CGOC), in concert with the Electronic Discovery Reference Model (EDRM) group and new Information Management Reference Model project, surveyed Fortune 1000 companies across legal, records and IT stakeholder populations. Of the companies surveyed, **85% cited lack of systematic linkage and collaboration across legal, records and IT as a critical point of failure.**¹

And what causes this disconnection between these key areas and others? In many cases it is caused by clinging to old budget models that tie money and decision making at too low a level to have a positive impact on enterprise-wide information requirements. Even if this is recognized as a problem, challenging economic conditions coupled together with a more complex regulatory and business environment have made it difficult for many senior executives to get beyond the tactical issues of the day. Shrinking budgets and staff can make the term “operational excellence” seem like an oxymoron. Today’s need for increased risk management while continuing to operate efficiently demand strategic thinking.

Given the challenging business environment, the role of the CIO has historically had to change with the business and technological advancements at play. In addition to the long list of IT operational responsibilities, the CIO is playing a more strategic part in the overall business support strategy. This “Visionary” CIO role may have a somewhat different meaning from one company to the next but the general definition is an executive responsible for IT strategy who demonstrates visionary leadership in using technology to transform and grow the business. In this white paper we will provide a window into a few key aspects of what the visionary CIO’s role should be in 2012 and beyond.

Visionary CIOs: Using Strategies to Not Just Save Money but Drive Revenue

You don’t need a reminder that IT budgets are questioned on a regular basis. What value does the enterprise receive for all this money that it’s spending? What business processes are being enhanced by this outflow of cash? Do you really know? These questions haunt IT executives every day.

¹ [CGOC Information Governance Benchmark Report in Global 1000 Companies](#), October 2010

However, many IT investment decisions, even in very large organizations, are not made at the enterprise level but at the departmental or division level. This in turn has led to having to support a hodge-podge of document and information repositories, databases and user interfaces. Ignoring, for the moment, the overall waste of money that tends to occur when similar procedures and information are replicated in different segments of the company, is your information suitable, and are your processes ready to stand up to the challenges that are on your corporation's operational horizon?

However, with challenging times comes the opportunity to think about and develop more creative and broader strategies to support your information management needs. In fact, according to Peter Sondergaard, senior vice president, Gartner Research, "The days when IT was the passive observer of the world are over. Global politics and the global economy are being shaped by IT. IT is a primary driver of business growth. For example, this year 350 companies will each invest more than \$1 billion in IT. They are doing this because IT impacts their business performance." Continuing Mr. Sondergaard says, "For the IT leader to thrive in this environment, IT leaders must lead from the front and re-imagine IT... IT leaders must embrace the post-modern business, a business driven by customer relationships, fueled by the explosion in information, collaboration and mobility."²

Creative and visionary CIOs are working in concert with their senior executive counterparts and internal stakeholders to craft enterprise-wide information governance policies and procedures to rationalize and make these disparate islands of information compliant. More importantly, they are also collaborating on budgeting needs across divisions and departments to ensure enough is allocated to support a compliant information governance infrastructure and defensible destruction of ROT (Redundant, Outdated and Trivial content).

In a large financial institution, having a solid ECM, information technology and governance infrastructure in place can save millions of dollars per year. And, if access to the information required is supported on a secure, high-performing, cloud-based infrastructure, the newly crafted, collaborative budgeting plan that you put in place will go even farther and support more internal business initiatives.

After all, it's not just about saving money during an eDiscovery matter or a compliance audit. Proper risk management can help keep the wolves outside the door and is key to not only saving money but protecting the reputation of the company. However, generating new revenue provides a brick wall to drive them in another direction. If you are going to invest significant political capital in driving strategic alliances and governance internally it helps to go in with not just a vision for compliance and eDiscovery but a roadmap for delivering value for your internal clients.

Opportunities Disguised as Problems

The last several years have seen more mergers and acquisitions, leaner IT budgets, increased legal costs from discovery activities and a staggering jump in the amount of duplicate digital information being passed from one user to another. This has ultimately resulted in the existence of many different islands of information either inherited or created on the fly (after all using Microsoft SharePoint™ is cheap – but managing it is not). Departments hold tightly on to budgets in this type of environment but that also produces more disconnected repositories of information.

Looking specifically at just unstructured information and document / records repositories AIIM International, a trade and professional organization representing the information management industry, has studied the state of the Enterprise Content Management (ECM) industry. According to its most recent "State of the Industry 2011" study:

² Eddy, Nathan, *EWeek*, "Enterprise IT Spending to Reach \$2.7 Trillion in 2012: Gartner," October 18, 2011.

- 72% of larger organizations have three or more ECM/Document Management (DM)/Records Management (RM) systems installed while 25% have five or more. **Does this sound like your enterprise?**
- Consolidation of existing systems into a single-vendor ECM suite is a preferred strategy for 42% of organizations surveyed, with 19% using an existing suite and 23% buying a new suite. 29% have a chosen strategy to maintain and update departmental or dedicated systems. **Is this a strategy your enterprise is trying to pursue or implement?**
- Among the largest organizations (over 5,000 employees), 4% are looking to a new single-vendor suite as their first content management project, compared to 16% of both small and mid-sized organizations. However, 15% of the largest organizations have no content management strategy in place.³ These organizations may be late out of the gate but have an opportunity to do things right the first time.

But the reality is, doing things “right” the first time doesn’t necessarily mean that things will not change to a new reality of acquired repositories over the course of several months and years. And, that doesn’t even take into account those information stores that are developed “under the radar.” Multiple information repositories will always be a fact of life for many institutions and enterprises. However, establishing an ECM and Information Governance strategy communicates and establishes how information is managed and these rules cannot be created in a vacuum.

This isn’t just the singular purview of IT, lawyers or even records managers. Key stakeholders, such as the chief financial officer (CFO), chief legal officer (CLO), chief compliance officer (CCO), chief operations officer (COO) and even human resources (HR) must be involved in the process. And, as a consequence, they should also understand how they can help share the cost to achieve a high degree of accessibility to information that is not only secure but authentic and auditable.

According to the AIIM “State of the Industry” report, the top business drivers for using ECM technologies include improving efficiency, optimizing business processes and supporting compliance efforts. These are followed by reducing costs and mitigating risks. Last on the list were competitive advantage and improved customer service. **Are these ranked in the same order as your CEO’s priorities?**

How can you optimize business process across the organization when information is scattered all over the place and there are no guiding principles for how it should be organized?

How quickly can your enterprise respond to an eDiscovery request if the information required is scattered across multiple email servers, image repositories and different records management and data application systems? **Did you know that, according to a Fulbright & Jaworski Litigation Trends Study, one in five of the largest companies it surveyed spends \$10 million or more annually on litigation.**⁴ If you rethink how your information is accessed and managed across a stable (but not necessarily in-house) architecture would that be worth working together with other operational areas to pool dollars and resources to reduce even just 20% of that cost?

Solid Information Governance Supports Concrete Analytics

Let’s be honest about driving strategic initiatives across disparate entities in your organization. Supporting compliance and eDiscovery initiatives may be a driver for some organizations but you

³ Miles, Doug, *State of the ECM Industry 2011: How well is It meeting business needs?*, AIIM International, 2011

⁴ *Fifth Annual Litigation Trends Survey Findings: Direction and Dynamics*, Fulbright & Jaworski, LLP, 2008

know best how to build up your internal constituency to drive change. Most times that means driving an approach to making better business decisions so that revenue and/or margins can be increased. Information mapping to support compliance and litigation applications can also be a value-add initiative to enable understanding the underlying data and information stores that can be used to support better decision making using business analytics, ERP, CRM or other operational applications. The benefits are two-fold: 1) you not only save on discovery costs, 2) you may also be able to clean up inefficient business processes that can translate to increased efficiency and maybe even increased revenue. More political capital is gained by understanding what operational problems can be improved and making your internal clients heroes within their own areas.

How can your organization more efficiently use business analytics to optimize your operations if the information has to be pulled from too many unsecure and disparate sources within your own enterprise? According to another AIIM Industry Watch report focused on Content Analytics, "For 72% of respondents, **it's harder to find information owned by their organization than information not owned by them (i.e., on the Web).**"⁵ That's not productive.

In fact, according to Thornton May, futurist and advisor to many CIOs, in his book, "The New Know: Innovation Powered by Analytics," the need to use business analytics to drive revenue and innovation is how the sheep will be differentiated from the wolves. According to Mr. May:

The global media, business school professors, and your children agree that most organizations are but passively engaged in managing the information swirling around and through them. A phrase increasingly heard in common parlance is "clueless." Many organizations don't even know what they know. Historically, plausible deniability (i.e., statements to the effect of "I didn't know") has been viewed as an acceptable excuse for poor performance. No more.⁶

You don't want to be left in the dust when all your competitors are using business analytics to decipher how they can improve their operational efficiencies, monitor internal compliance and attract new clients. Having a broader information governance strategy and an accessible set of information repositories are necessities to support business analytics as well as improve your internal access to information supporting the way you do work now. If your documents and records are languishing on inaccessible or unknown repositories how valid is the data being poured into your business analytics' tools?

Visionary leaders know that if they think and act strategically with respect to managing their enterprises' information needs during challenging times, they cannot only improve operational efficiency and effectiveness, they can drive increased revenue to the enterprise.

Executing on Strategy

And the desire to save money in the short term has resulted in implementation of short-sighted decisions that just deal with a piece of the broader goal or future state. The future is NOW and short-term thinking needs to give way to a plan of action that will support your entire enterprise going forward. When it comes to information technology investments, saving money in the short term usually results in spending more money in the long term.

The bottom line: Information governance is about process and operational excellence and depends on having not just tightly managed processes but the information infrastructure that can support them. **Information governance practices should be based on a broad holistic**

⁵ Miles, Doug, *Content Analytics – research tools for unstructured content and rich media*, AIIM International, 2010.

⁶ May, Thornton, *The New Know: Innovation Powered by Analytics*, John Wiley & Sons, 2009

vision of what business activities the information is meant to support across the organization along with an understanding of how people optimally need to view and access the information across the different parts of the company. And, working across the aisle with key stakeholders throughout the organization to create and fund an overarching budget to solve an enterprise-wide problem is a much more creative and realistic way to support large-scale information governance challenges.

Of the companies surveyed by the CGOC, 98% cited defensible disposal, which is the process of disposing of unneeded data in a compliant fashion according to consistently applied retention and disposal policies and procedures, as a key objective of their governance programs; however, **only 22% of companies can defensibly dispose of their information today.** This is just one example justifying the need for a plan of action to support overall business objectives to meet both risk management and efficiency requirements.

Your internal information highway may be loaded with potholes, off-ramps that fall off a cliff and cars driving on the wrong side of the road because the information isn't being processed according to a set direction that is consistent with your business objectives. Information governance helps to establish the "rules of the road" for how and where information is gathered and accessed.

You need to look creatively at not just how you budget for these initiatives but how this information is accessed across the organization. We've talked a lot about an information infrastructure to support decision making and business process operations but thinking creatively also means thinking beyond actually building and owning the infrastructure (i.e., hardware, software, networks, etc.). Thinking creatively about information governance and access means rethinking the idea of homegrown infrastructure and replacing it with access to business enhancing capabilities.

Just like economies of scale can help you save money on hardware costs, looking at your information repository management requirements on a broader scale cannot only help you to improve and replace aging technologies or outdated repository management systems, it can ultimately help to reduce costs throughout the enterprise while meeting regulatory and legal demands in a secure and scalable fashion. In addition, you can replace aging islands of information, start to defensibly dispose of content (removing ROT), improve response to discovery requests and improve access to information across the enterprise.

According to David Mitchell Smith, vice president and Gartner Fellow, "Companies invest billions of dollars in building up their core competencies, much of which goes into IT. If companies could lease their core competencies to other companies then they would capitalize on both brands, driving revenue both in the consumer-facing market and the business service market in the way that Amazon has done with technology."⁷

Information Governance Defined:

Information governance is the specification of decision rights and an accountability framework to encourage desirable behavior in the valuation, creation, storage, use, archival and deletion of information. It includes the processes, roles, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals.

Source: Debra Logan, Gartner

⁷ Press Release, *Gartner Says Cloud Computing Will Be As Influential As E-business*, 2008

In order to do that, you need to work with a partner that understands not only how to take you there but has the experience and infrastructure to support the information management and governance requirements of large enterprises.

The Visionary CIO's Triumvirate: Thought, Collaboration, Execution

Being a CIO demands leadership much like what is needed to lead an army. However, the Visionary CIO must lead a balanced triumvirate of constituencies to achieve successful outcomes across your IT portfolio.

1. Thought leadership provides the drivers for using whatever technologies are necessary to support business goals
2. Collaboration with other internal business advocates is the way to successfully bridge both the minds and the budgetary objectives for supporting any enterprise scale vision
3. Execution on a scale that is both consistent and realistic with the vision that has been developed is the only way to succeed in the end. Building a bridge that is only sized to go halfway across a river is not considered a successful execution of vision.

And, it is very important to recruit the most effective supporting team for your army both internally and externally.

Solve Information Governance Issues

It takes a true understanding of your internal business process to institute a sound information governance strategy. Make no mistake; you need to work internally to get multiple departments on board to identify the opportunities for information sharing and collaboration while at the same time setting standards for information organization, creation, access and control. Change management is a requisite component of putting together any information governance strategy and the software solution to support it.

However, you want to make sure that once you have identified your information governance challenges that you select a "strategic partner" that will not just augment your enterprise's current platforms, but has the world-class experience and cloud-based infrastructure to support your visionary IT investment.

You're Running an Enterprise Not a Department

There are many companies out there that have enterprise licenses for a variety of software products, yet those products are only installed or used in one or two departments within the organization. That's because many ECM buying decisions tend to be focused on solving the problems of one department first with the hope that the application will scale from there. These are the half-built bridges.

ECM Scope has seen too many implementations where the design is so customized for one department that the system is impossible to realistically use in other parts of the company. Having a more holistic view of your information governance requirements can give you an enterprise view of your situation and help prevent you from spending money on enterprise licenses that don't support enterprise goals.

No matter what approach you take to support your enterprise strategy it must be able to scale and grow as your business acceptance and deployment of ECM and information governance takes hold. However, ECM Scope has observed that planning to have a point solution scale up extensively to be able to position the solution in another space within the company has not turned out well for many organizations.

Back to the “Vision” Thing

Yes, vision. Sometimes that seems too ephemeral to discuss in the midst of all the challenges we are facing today. Yet, in his book, “The Blind Spot,” former CIO of Frito-Lay and president of the Feld Group Charles Feld says, “The impetus to start making big changes in the midst of turbulent times like these may seem counterintuitive. However, right now you have what may constitute a once-in-a-lifetime license to make dramatic change. The economic downturn created a global referendum for change, and you hold the keys to change in your organization.”⁸

Vision, of course, demands that you review the landscape and envision where your organization should be going. Just because you envision using “the cloud” doesn’t mean you should have your head in the clouds.

You should seek out providers that have experience in working with other visionary enterprises and that have worked with other enterprises to develop a strategy that looks cross-functionally at business process efficiency and cost reduction; not just narrowly at technology or storage costs.

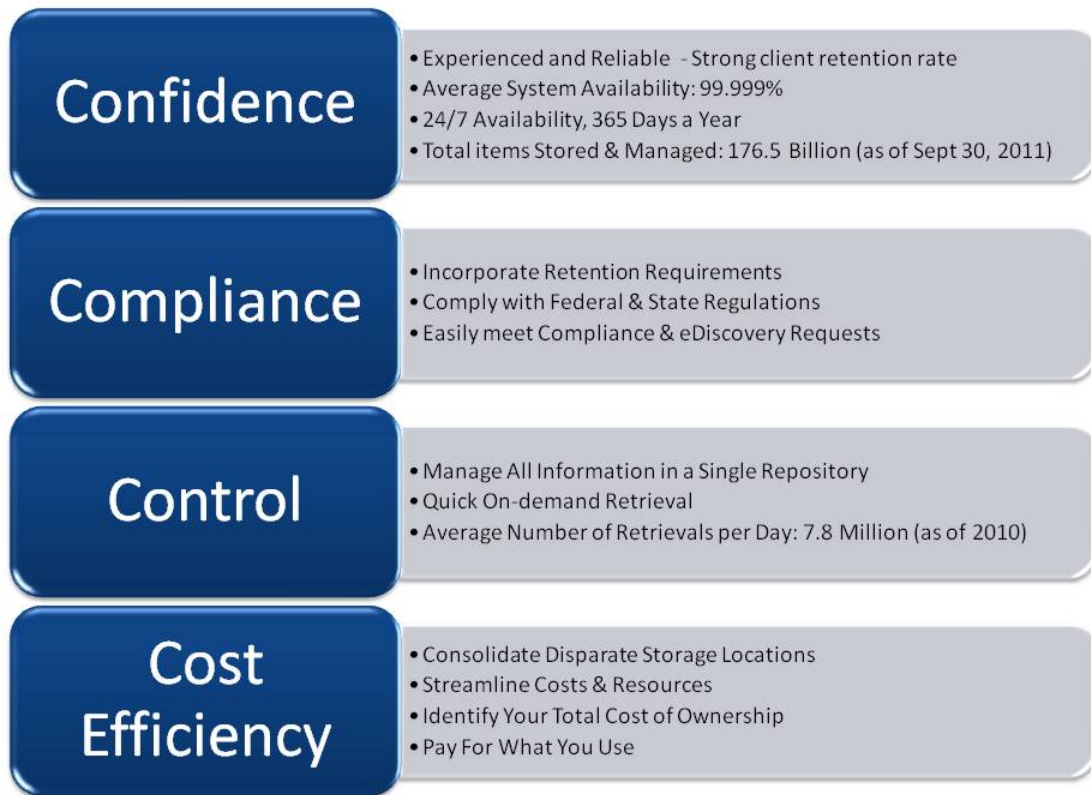
Experience the Four Cs

For over a decade, Viewpointe® has successfully helped large, complex organizations, much like yours, manage, secure and monitor their information via its hosted, digital archive solution.

OnPointe™, a comprehensive information governance solution, integrates Viewpointe’s private cloud with best-of-breed solutions to provide enterprise content management (ECM), records management, information compliance and eDiscovery capabilities. From point to enterprise solutions, OnPointe provides a wide range of services that help organizations optimize the collection, archiving and governance of enterprise content. Additionally, Viewpointe’s business and platform expertise helps mitigate risk and contain costs while increasing efficiency and agility.

As seen below, the OnPointe platform provides you with the “four Cs” that are key to the successful implementation of a large-scale information governance strategy to support your enterprise-wide business process needs.

⁸ Feld, Charlie, *Blind Spot – A Leader’s Guide to IT-Enabled Business Transformation*, Olive Press, 2009



Summary

OnPointe's information governance cloud-based platform helps you gain control and manage the lifecycle of your business information to realize the following benefits:

Address unmanaged enterprise content via OnPointe's assessment program, which helps to evaluate and decide what information to manage, leverage and trust

Control costs for lower total cost of ownership (TCO) through minimized capital investments and IT overhead via OnPointe, Viewpointe's private cloud solution

Manage the explosion of information by archiving content based on value and compliance needs via OnPointe's retention management and de-duplication capabilities

Enforce corporate retention and disposition policies consistently across the enterprise and defensibly dispose of data via OnPointe's records and retention management capabilities

Reduce the burden on end users and improve your ability to collect and classify information via OnPointe's advanced collection and automated classification capabilities

Respond quickly and cost-effectively to eDiscovery, audit and internal investigation requests via OnPointe's eDiscovery search and analytics capabilities

About Viewpointe LLC

Viewpointe® is a leading provider of multibank infrastructure solutions for customers ranging from credit unions to Fortune 100 financial institutions. With one of the largest national archives of digital information in the cloud, Viewpointe offers archive capabilities, end-to-end check image exchange, clearing, settlement and Automated Clearing House association services. Viewpointe's information governance solution, OnPointe™, enables organizations to manage their enterprise content, records management and digital storage to Viewpointe's private cloud in a secure, scalable and cost-effective way.

About ECM Scope

ECM Scope aids its clients in understanding the Information, Records Management and ECM marketplace and provides consulting and advisory services for those companies and organizations that want more than generic information. The company is focused on providing clear guidance to its clients when implementing information governance, records management programs, e-mail management initiatives and compliance / eDiscovery activities. Its unique blend of business and technology vision translates into intelligent buying and marketing decisions, saving clients time and money. ECM Scope provides "real world" advice to its clients on all the aspects associated with buying, selling and partnering in the Information Management, Records Management and ECM marketplace.