IBM Customer

IBM Information Lifecycle Governance Maturity Model Service Description

September 1, 2010

Information Management

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1. Description of Services

Enterprise Content Management (ECM) Software Services is pleased to submit this Service Description to IBM Customer ("<IBM Cust>"). <IBM Cust> has requested the following services from IBM:

> ➢ IBM Information Lifecycle Governance Maturity Model ("ILG Maturity Model") Package

This Maturity Model Package assists <IBM Cust> to assess your information lifecycle governance readiness and to outline the ILG task roadmaps to help you improve your information governance program. The result of this Package is an ILG transformation blueprint tailored to meet your business needs.

The ECM ILG Maturity Model Package is designed to work with your team:

- to assess your organization's current state with lifecycle management of trusted content,

- to help you decide on a future state (using IBM's ILG maturity model), and

- to provide detailed recommendations and project roadmaps to help you achieve your future state.

The Delivery Consultants will help guide <IBM Cust> on proven strategies and procedures that have been employed at other successful ECM implementations.

The ILG Maturity Model Package will provide:

- Deliver Pre-Workshop Survey

- Facilitate On-site Workshop
  Workshop Behaviors
    - Policy
    - Program
    - Collection
    - Retention
    - Discovery
    - Analysis
    - Platform

- Develop Preliminary ILG Maturity Model Roadmap Report & Recommendations

- Review Preliminary Report with <IBM Cust> Sponsor

- Finalize the Roadmap Report

- Present ILG Maturity Model Roadmap Report (remote)

  - Deliver Final ILG Maturity Model Report

- Deliver project management and coordination

This package includes a set of tasks that <IBM Cust> must complete to facilitate this assessment. The actual duration of each task varies from customer to customer, based upon their knowledge of <IBM Cust>'s ILG plans & program.

Any change in the scope of work defined in this Services Description requested by <IBM Cust> may result in additional costs and must be documented in a Project Change Request ("PCR").

2. Product Training

The cost for formal ECM training is not included in this Package. Please visit **http://www.ibm.com/training** for detailed information regarding course descriptions, class schedules, cost, ordering options, and registration instructions.

An IBM Education expert will contact you to discuss your interest in developing a custom training plan for your organization. This no fee assessment provides you with training recommendations that encompasses your entire team and includes cost saving strategies to help you get the most out of your training budget. Training recommendations are based on your team's roles and experience as well as your software products, training preferences and implementation schedule.

Find more information on the IBM Learning Services web site:

www.ibm.com/software/data/education/plans.html

In the interests of quality education, IBM reserves the right to update training courses at any time.

3. Resources

The <IBM Cust> Project Team will consist of the resources from the ECM Software Services Account Team, the <IBM Cust> technical staff and, when applicable, an IBM Business Partner. Examples of Project Team members are listed below.

3.1 ECM Software Services Team Resources

The ECM Software Services Project Lead coordinates the appropriate ECM Software Services resources as required. The ECM Software Services Team typically includes the following members:

- Solution Implementation Manager (SIM) – Project Lead
- ILG Architect (Delivery Consultant)
- Software Sales Representative (SSR)
- Sales IT Specialist (Sales ITS)
- Service Sales Manager (SSM)

3.2 <IBM Cust> Team Resources

<IBM Cust> will need to identify internal personnel to fill the roles of the <IBM Cust> Project Team. <IBM Cust> is responsible for selecting a Project Lead to share lead responsibilities with the ECM Software Services Project Lead.

Participants should be chosen for their knowledge of the behaviours being assessed:

- Project Lead
- Project Sponsor
- Records Management Resource(s)
- Information Technology Resource(s)
- Legal Resource(s)

- Business Units

4. Role Definitions

<IBM Cust> will need to identify internal personnel to fill the roles as listed in Section 3, Resources. The following outlines the general roles for some of these individuals. Please note that additional resources may be required at various phases of the project. Likewise, not all of the individuals may necessarily be involved in this project.

Project Lead - This individual will represent <IBM Cust> resources and provide project coordination in conjunction with the ECM Software Services Project Lead.

Project Sponsor – This individual has identified the need for this ILG maturity model assessment and will be the overall sponsor of the engagement. This individual will identify the appropriate <IBM Cust> resources to participate in this service and guide the ECM Consultant on the terminology and semantics used at <IBM Cust> to ensure understanding by all participants.

Records Management Resource(s) - This individual will represent <IBM Cust>'s Corporate Records Management policies and decisions. This resource will provide information regarding records management programs, policies, and procedures.

Information Technology Resource(s) - This individual(s) will provide information on the network, IT infrastructure, IT security, and IT policies and procedures as well as any ECM implementations that may already exist.

Legal Resource(s) - This individual will represent <IBM Cust> Corporate Legal Counsel to discuss legal discovery and document production processes and policies and interaction with Records Management.

Business Unit Resource(s) - This individual(s) will represent <IBM Cust> business units who have a stake in implementing ECM with Enterprise Information Lifecycle Governance or Compliance initiatives. This individual will provide information regarding business processes around the information created and managed by their organizational units.

5. Responsibilities

5.1 <IBM Cust> Responsibilities

In order to facilitate a successful delivery, <IBM Cust> has the responsibility to provide the following:

a.) Project Prerequisites

- All prerequisites must be met before initiation of the Package.
- Accurate, current, & timely knowledge regarding:
  - ECM Infrastructure
  - ECM Processes
  - Records Management Policies
  - eDiscovery Policies & Processes
  - Information Pain Points

b.) A Project Lead with sufficient authority to:

- Represent <IBM Cust>'s interests
- Serve as the focal point for all decisions and communications

- Complete the Pre-workshop Survey

- Coordinate activities assigned to <IBM Cust> resources

- Sign project-related documents

c.) Adequate facilities for the ECM Software Services resources; whiteboards, telephone, and Internet access service.

d.) IBM recommends reserving a conference room and presentation projector for the on-site visit.

e.) <IBM Cust> will make available all <IBM Cust> personnel required for this project in a timely manner. Any significant delays caused by <IBM Cust> personnel not being available or project prerequisites not being met may result in schedule delays, which can impact the project sufficiently to require PCR addressing additional or extended IBM personnel requirements and additional costs.

5.2   IBM Responsibilities

a.) Deliver & Review the Pre-Workshop Survey with <IBM Cust>

b.) Facilitate the On-site Workshop

- Discuss the Workshop Behaviors

  - Policy

  - Program

  - Collection

  - Retention

  - Discovery

  - Analysis

  - Platform

c.) Develop Preliminary ILG Maturity Model Roadmap Report & Recommendations

d.) Review Preliminary Report with Project Sponsor

e.) Complete ILG Maturity Model Roadmap Report

f.) Present ILG Maturity Model Roadmap Report (remote)

- Deliver final ILG Maturity Model Report

g.) Provide <IBM Cust> a completed ILG Maturity Model Completion Checklist

6.   Assumptions & Limitations

6.1   Assumptions

a.) IBM is not responsible for performing a compliance investigation or a records inventory but may provide guidelines for performing these tasks.

b.) This Package does not include the time or effort to perform a business value or ROI (return on investment) analysis[1].

c.) Additional resources and time for the development of custom applications, customization of reports, or customization of workflows are not included in this Package.

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[1] Please contact your Software or Service Sales Representative to perform a business value or ROI assessment for your organization.

6.2 Service Limitations

ECM Software Services resources will be provided Monday through Friday from 8:00 a.m. to 5:00 p.m., excluding holidays and vacation time. Specific details regarding schedules will be mutually agreed-upon prior to the project start-date.

6.2.1 Travel & Living Expenses

This Package does not include travel and living expenses incurred by IBM resources traveling to <IBM Cust>'s site in order to fulfill IBM's tasks and responsibilities pertinent to delivering this service.

The Delivery Consultant may travel to <IBM Cust>'s site for **one (1)** visit for tasks associated in delivering this service.   <IBM Cust> will be billed actual travel and living costs.

IBM will invoice <IBM Cust> for travel and living expenses and other reasonable expenses incurred in connection with the Package delivery. Payment is due upon receipt of invoice. <IBM Cust> agrees to pay accordingly, including any late payment fee. <IBM Cust> does not have to pay any amount disputed in good faith while it is being investigated, but <IBM Cust> remains obligated to pay any amount not in dispute.

Additional on-site assistance requested by <IBM Cust> beyond the number of visits indicated above will be billable subject to the execution of a PCR. A visit is four or fewer days at your site by an IBM or IBM subcontract employee. IBM also reserves the right to bill <IBM Cust> for any additional trips that are the direct result of <IBM Cust>'s failure to meet or perform its obligations outlined herein.

7. Project Tasks & Deliverables

The Project Team will perform the following tasks. Deliverables for each task are detailed within the task descriptions.

7.1 Task 1: Kickoff Meeting

The purpose of this meeting is to prepare both the <IBM Cust> team and the ECM Software Services team for the ILG Maturity Model Project. Topics of discussion will include <IBM Cust>'s requirements, expectations, prerequisites, and schedules.

7.1.1 Review Project Services Description

The SIM will review the ILG Maturity Model Service Description, the tasks, and roles and responsibilities with <IBM Cust>'s Project Team.

7.1.2 Define/Review Project Plan

Once selected, the Project Team customizes the sample project plan that best fits <IBM Cust>'s needs (see Sample Project Plan). The plan is designed to complete the service in the shortest possible timeframe. Each task is assigned a resource and a time window based on the effort required to complete the task. IBM strongly encourages the practice of joint task assignments as an excellent means of training and knowledge transfer for the team members.

7.1.3 Project Status

The SIM will track all issues and document their resolution in an Issues Log. Any issue whose resolution requires a change will be documented in a PCR.

7.2 Task 2: Pre-Workshop Survey

Following the project kickoff, the SIM will coordinate a review of the Pre-Workshop Survey. The Pre-Workshop Survey gathers basic information regarding <IBM Cust>'s current information lifecycle governance design, processes, resources, etc. Delivery Consultant will review this document with <IBM Cust> project team to ensure that there are no questions and that the survey is completed in a timely manner.

The On-site Workshop cannot be scheduled until IBM's receipt of the completed Pre-Workshop Survey.

7.3 Task 3: Facilitate the On-site Workshop

The On-site Workshop will assess each of the following behaviors in order to determine in detail <IBM Cust>'s current level on the Information Lifecycle Governance Maturity Model in order to provide the most accurate future-state recommendations.

Behaviours	Level 1 Reactive	Level 2 Aware	Level 3 Proactive	Level 4 Integrated	Level 5 Optimized	Productivity Quality
POLICY	No defined policies; manual processes; no visibility	Departmental policies; project-specific processes; no visibility	Enterprise policies; some cross-project processes; some visibility	Enterprise policies & processes: some measurement & visibility	Complete policy measure-ment & process visibility; continuous improvement	
PROGRAM	No formal paper, electronic storage (ESI), archive or records program	Formal paper records program; ad-hoc ESI / archive program	Formal program for paper/electronic records, ESI, archives	Automated records/ ESI / archive program with litigation readiness	Automated records / ESI / archive program part of processes and IT systems	
COLLECTION	Ad-hoc content capture; no taxonomy or information classification	Departmental, manual capture; user classification via project metadata	Some automation rules to capture / collect / classify / declare records	Automation rules add context classification to collect & identify content	Fully automated collection & classification rules tuned for adaptive needs	
RETENTION	End-users determine paper, email and document retention	Departmental paper retention; end-users determine email & document retention	Active imaging of paper; some ESI retention automation, ESI frequently printed	Strong imaging & paper reduced; more ESI retention automation; some federation	Imaging & ESI leveraged; paper minimized; fully automated retention & federation	
DISCOVERY	Discovery costly, manual, outsourced	Discovery still costly, manual, outsourced	Discovery mostly manual, some IT support	Expanded eDiscovery with analysis, full IT support	Automated collection, storage, records, and eDiscovery processes	
ANALYSIS	No physical or electronic information analysis	Limited, manual analysis available at a project level	Content analysis capabilities for some content silos	Enterprise analytics to assess; centralized decision support	Enterprise analytics for content & data; predictive analytics	
PLATFORM	No ECM platform, content stored on local/shared drives, email collaboration, no automated assessment capability	Business Unit ECM, content stored on local/shared drives, shared-drive collaboration, user manual assessment	Departmental ECM, organizing of content stored on shared drives, collaboration system, departmental manual assessment	Enterprise ECM platform, content migrated to ECM, enterprise collaboration system, enterprise automated assessment	Full ECM, collaboration layered on ECM, , automated assessment as-needed	Risk Waste

Maturity

7.3.1 Behaviors

Behavior	Description
Policy	What enterprise policies exist within the client's organization to enforce information lifecycle governance. These might include records management, email management, security, and legal hold policies.
Program	To what extent does the client officially management information in their organization: 1. data only, 2. paper only, 3. paper and electronic? Does an official records management program exist? How much of this management is automated?
Collection	How and to where information is created and captured within the client's organization.
Retention	How information retention is applied to physical, structured and unstructured information within the organization.
Discovery	How the organization responds to court or regulatory orders to legally produce information.
Analysis	How the organization "knows what it knows". What awareness the organization has about the information it creates, what content and context of that information is, how it is used, and who it is shared with.
Platform	To what level the organization has implemented Enterprise Content Management or other information management platforms or repositories for managing unstructured information.

7.4 Task 4: Develop Preliminary ILG Maturity Model Roadmap Report & Recommendations

Armed with information gathered during the On-site Workshop, the Delivery Consultant will create a Preliminary ILG Maturity Model Roadmap Report. This document describes:

- the organizations current maturity level,
- to what level of maturity they intend to climb,
- positive and negative findings related to information lifecycle governance practices within the organization, and
- next steps for the organization to begin working toward the higher maturity level.

7.5 Task 5: Review Preliminary Report with <IBM Cust> Project Sponsor

Once the Preliminary ILG Maturity Model Roadmap Report has been reviewed and accepted by the Project Sponsor, the Delivery Consultant will finalize the ILG Maturity Model Roadmap Report for final presentation to <IBM Cust>.

7.6 Task 6: Present ILG Maturity Model Roadmap Report

The Delivery Consultant will deliver the final ILG Maturity Model Roadmap Report and schedule a meeting to review the report with <IBM Cust> Project Team.

This document is to assist <IBM Cust> in establishing a strategic direction for improving their ILG program as well as outline a potential software and services path to meet this goal.

7.7 Task 7: Project Completion Checklist

Upon demonstration of the product the Delivery Consultant will deliver to <IBM Cust> a completed Checklist which constitutes completion of this project. Please refer to the *IBM Information Lifecycle Governance Maturity Model Completion Checklist*.

If issues arise after completion of the project, <IBM Cust>'s Project Team will attempt to resolve these problems independently or with the assistance of the IBM Product Support Center.