IBM ECM UK UserGroup 2008

Connecting the
ECM Community

Compliance Product Strategy and Update

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IBM, ECM Product Marketing, Compliance

9th September

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Agenda

- **Capture and collection of content**
  - Classification
  - Intelligent Content Archiving
  - No Paper Weight

- **Management and security of content**
  - Compliance Warehouse
  - Records Management

- **Usage and leverage of content**
  - eDiscovery
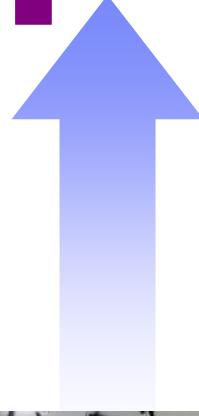
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Classification Manager

- **Highlights**
  - Automate classification of documents
  - Accelerate the time to value in your investment in ECM
  - Ensure more accurate content catalogs
  - Free up your subject matter experts
  - Make your content easier to find and leverage
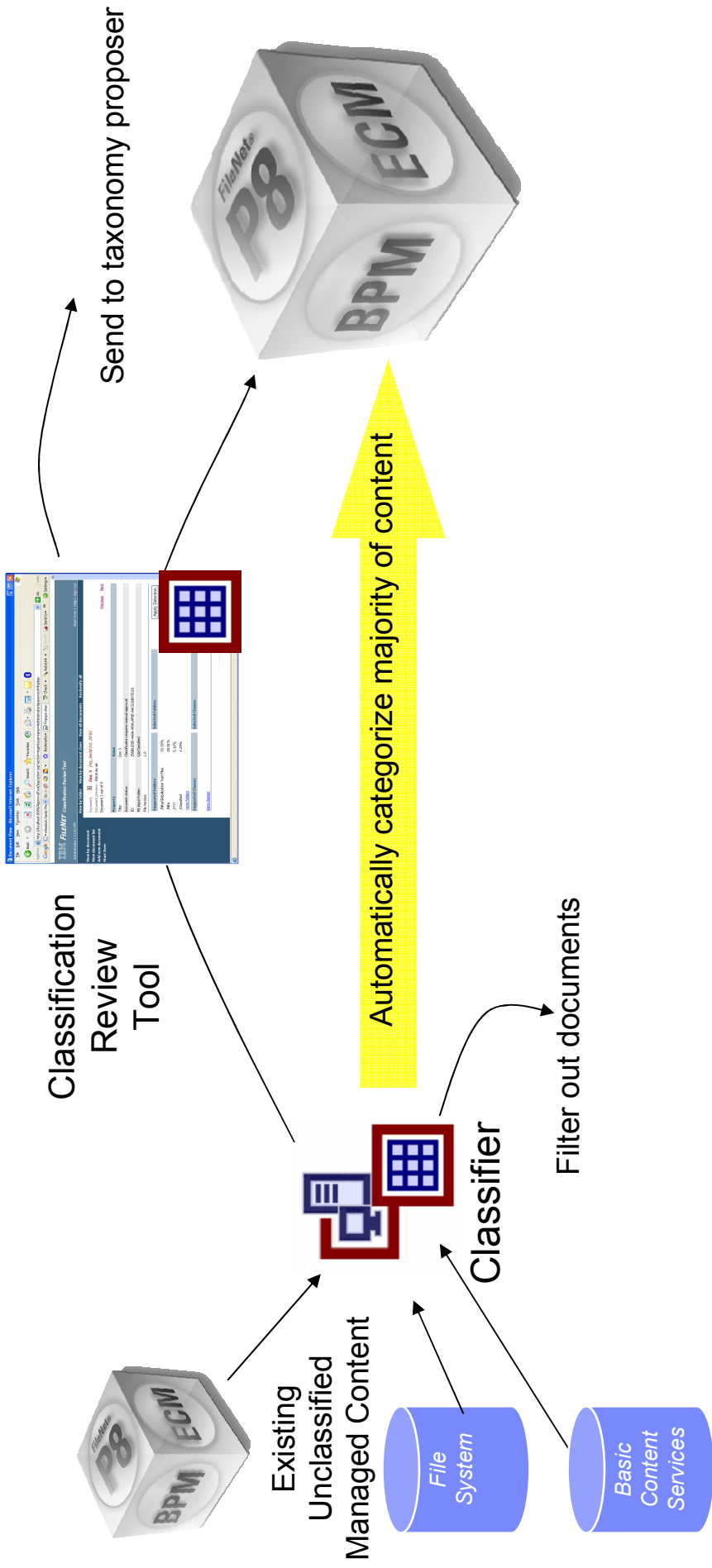 - Integration with Records Crawler

Trouble organizing your content?

- **Most organizations face content taxonomy pains – especially as they standardize around ECM**

  – Assigning categories en masse

  – Reclassifying existing content as taxonomies evolve

  – Merging taxonomies

  – Integrating the wisdom of folksonomies

Classification Workflow: Accelerating Content Organization

Send to taxonomy proposer

Classification Review Tool

Classifier

Filter out documents

Automatically categorize majority of content

Existing Unclassified Managed Content
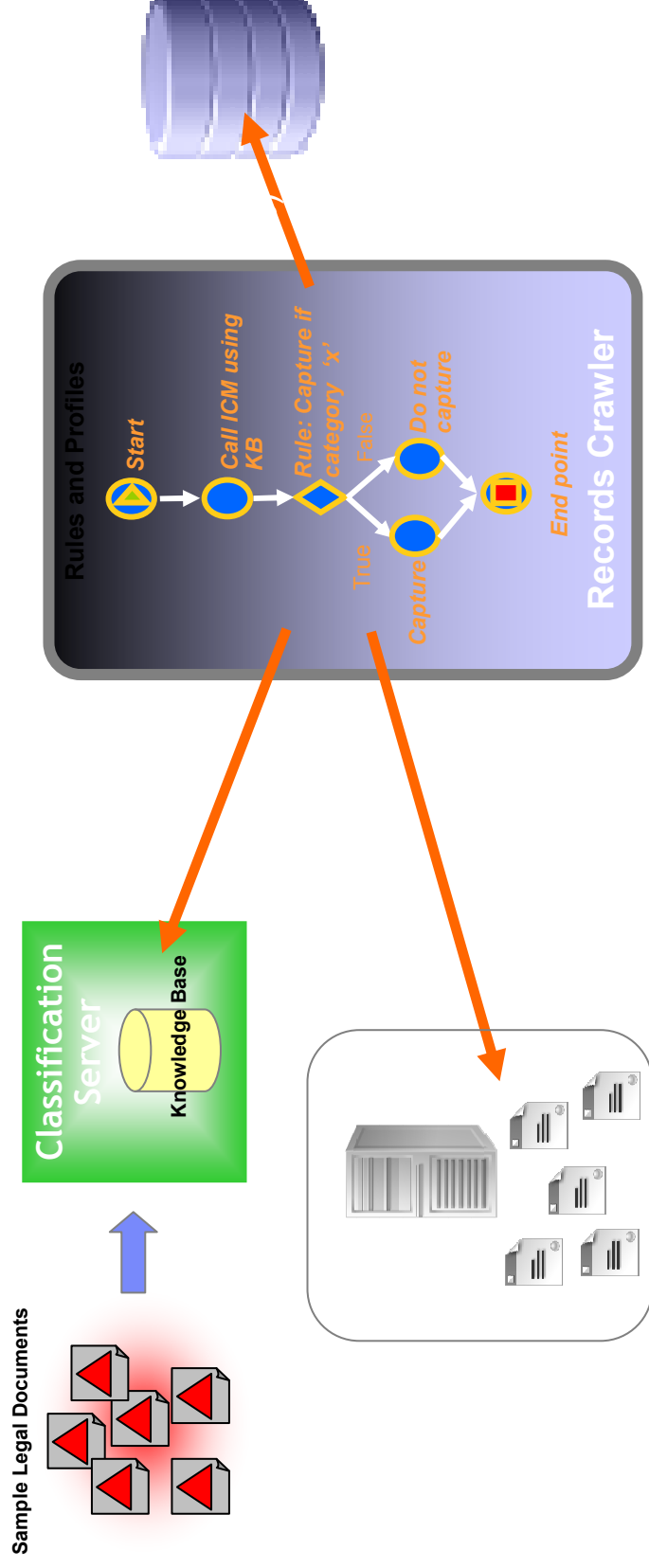
File System

Basic Content Services

Reference: Integration Components

- Classifier (Runtime Application)
- Classification Review (UI)
- Taxonomy Proposer (UI)
- Content Extractor (training based on P8)

Use Case – Legal Discovery

- **An organization wants to crawl their file system to look for documents that may be relevant to a legal case**
- **Documents could be anywhere or they could be in known locations.**
- **They need to find relevant documents and move them into a case folder in P8 where legal can review them.**

Sample Legal Documents

Classification Server

Knowledge Base

Rules and Profiles

Start

Call ICM using KB

Rule: Capture if category 'x'

False

Do not capture

True

Capture

End point

Records Crawler

Intelligent Content Archiving

- **Highlights**
  - Successor to Email Manager, CommonStore, Records Crawler
  - More than just email, more than just archiving
  - Modular approach
  - Source connectors
  - Task connectors
  - Target connectors
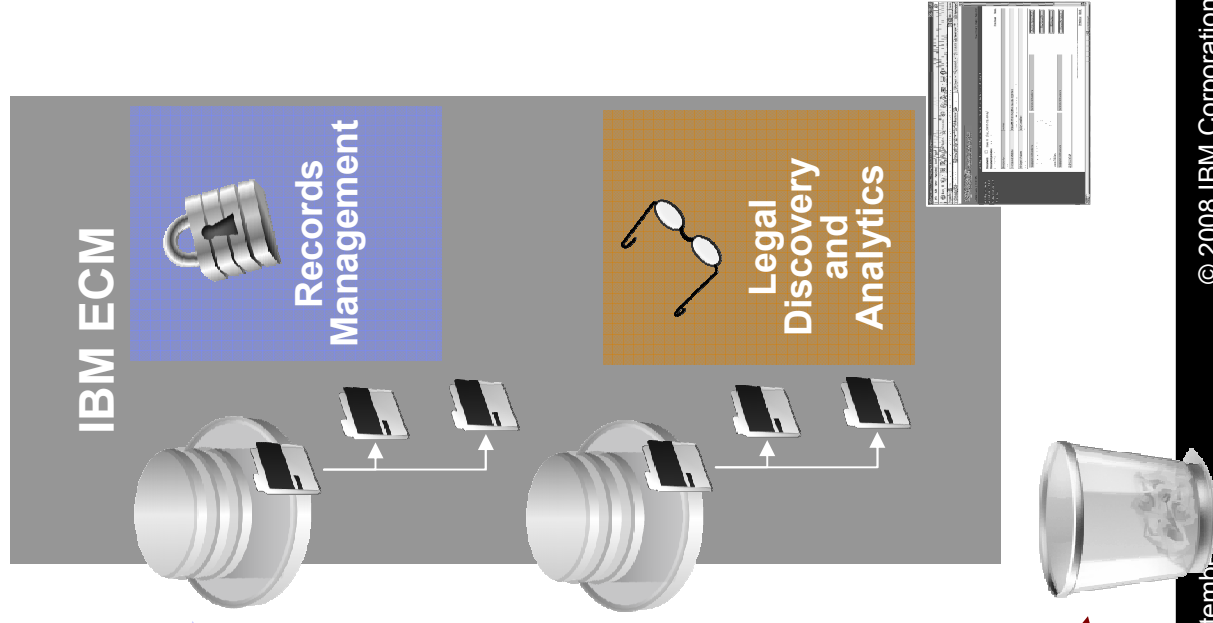 - Custom connectors via API
  - Available soon

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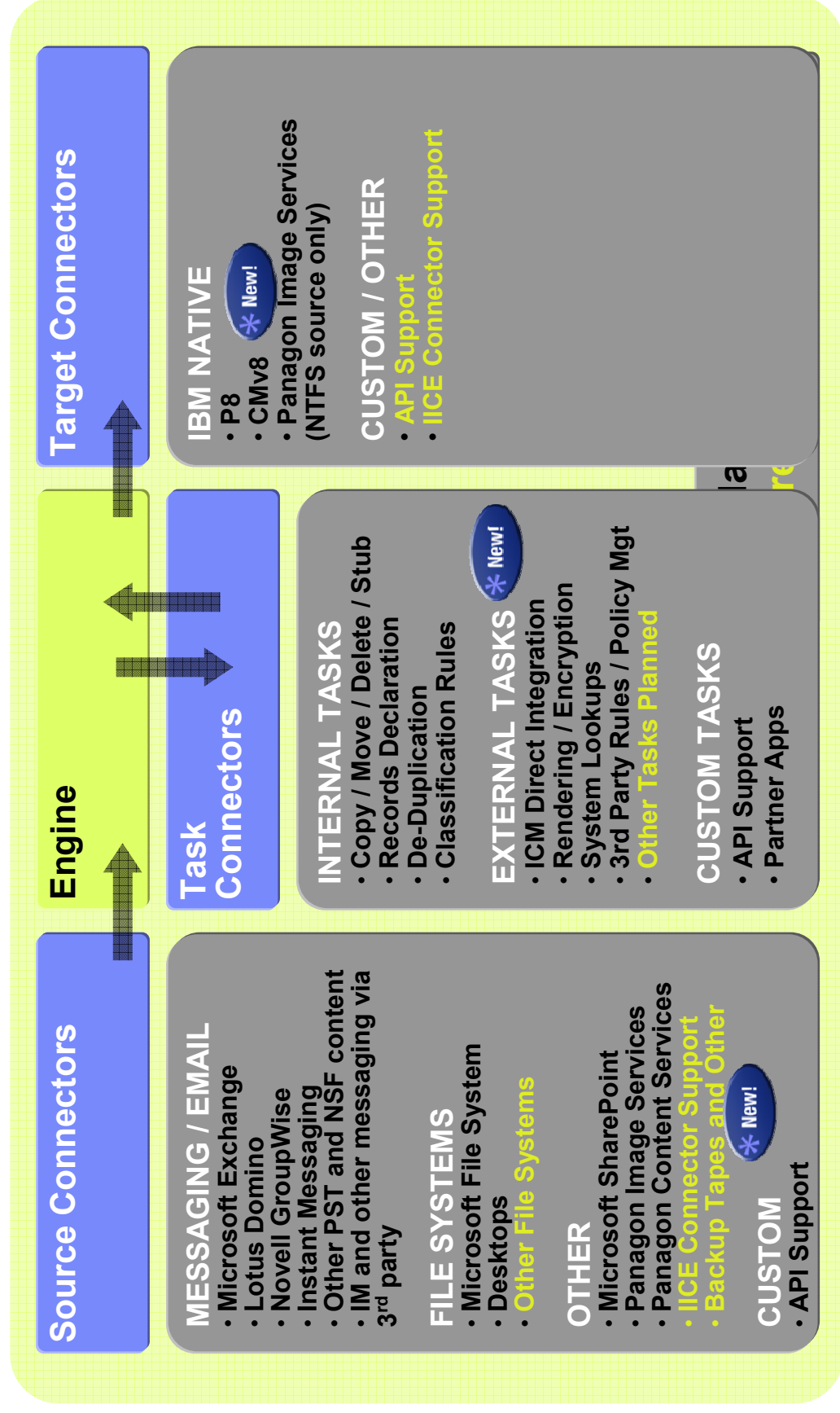**Only A Platform Approach Can Effectively Address Content Compliance**

IBM ECM

Records Management

Legal Discovery and Analytics

Intelligent Content Archiving and Management

IBM Classification Module

SharePoint   File Systems

Email

Symphony Intelligent Archive
Leveraging FileNet and IBM – Next Generation Archiving

Source Connectors

MESSAGING / EMAIL
- Microsoft Exchange
- Lotus Domino
- Novell GroupWise
- Instant Messaging
- Other PST and NSF content
- IM and other messaging via 3rd party

FILE SYSTEMS
- Microsoft File System
- Desktops
- Other File Systems

OTHER
- Microsoft SharePoint
- Panagon Image Services
- Panagon Content Services
- IICE Connector Support
- Backup Tapes and Other

New!

CUSTOM
- API Support

Engine

Task Connectors

INTERNAL TASKS
- Copy / Move / Delete / Stub
- Records Declaration
- De-Duplication
- Classification Rules

EXTERNAL TASKS
- ICM Direct Integration
- Rendering / Encryption
- System Lookups
- 3rd Party Rules / Policy Mgt
- Other Tasks Planned

New!

CUSTOM TASKS
- API Support
- Partner Apps

Target Connectors

IBM NATIVE
- P8
- CMv8
- Panagon Image Services (NTFS source only)

New!

CUSTOM / OTHER
- API Support
- IICE Connector Support

No Paper Weight

- **Highlights**
  - A strategy to mitigate risks and costs associated with paper
  - Based on case study
  - Impressive ROI
  - Running in North America
  - Launching in UK/Germany
  - Partners trained and ready to execute

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Why Keep The Paper?

Hypothesis

- *How do the new economics of Compliance combined with technology advances enable transformation of physical records storage?*

- *Does this same dynamic also enable new methods of business intelligence?*

Validation

- IBM analysts and Large Commercial Bank customer

- Evaluated costs, risks and processes associated with handling of paper

- It now makes sense to stop the flow of paper into warehouses and start the flow into imaging based electronic records management systems

Compelling Results

ROI Model Financial Summary
With Potential Automation Savings

- Incremental Costs of Solution = $3.7 Million Investment

- Year One savings = **$11 million**

- Three Year savings = **$36 million**

- Payback in **4 months**

- **3 Year ROI 263%**

- Opportunity lost each day from delay = **$40,000**

- Annual CRC expenses = $423,000

Compliance Warehouse

Highlights

- The IBM Compliance Warehouse for Legal Control consists of an information vault for storing all required evidence, and tools for managing, retaining and controlling this information as dictated by policies and the associated lifecycle. It is complemented by the ability to:

  - aggregate and classify all enterprise content types, paper and process information from multiple sources

  - virtualize and interoperate with other environments

  - monitor, analyze, simulate, leverage and report on managed information for legal and operational purposes

  - extend the value and simplicity with other integrated IBM software, services, servers, storage and partner offerings

Information Chaos

Increasingly Punitive Legal & Regulatory Environment

No confidence our electronic information is accurate, trustworthy and admissible

Existing storage silos are costly and prevent efficiency

Required information can't be found or analyzed

No visibility into key operational or legal risk areas

Increasing Criticality of Producing Information

Rising Compliance & Litigation Costs

Information is out of control and piling up everywhere … paper too

Manual policies and processes that no one follows

Information Explosion

No Control – High Operational Costs – High Information Risk – No Visibility

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Customer Imperative:

Information

Warehousing and Storage

Access Models

Turn Information Chaos Into Information OnDemand

Eliminate Waste While
Taking Back Control

Simplify Complexity, Enable
Confidence While Reducing Costs

Enable Visibility While
Reducing Risks

Announcing ... IBM Compliance Warehouse for Legal Control

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IBM Compliance Warehouse for Legal Control
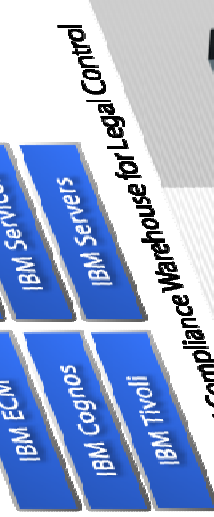## Leveraging IBM End-to-End Capabilities…

Disorganized
Enterprise Content
Manual Processes
Paper Storage

Organize / Control
Automatic Classification
Records Management
Intelligent Content Archiving

IBM ECM
IBM Cognos
IBM Tivoli

IBM Services
IBM Servers

IBM Compliance Warehouse for Legal Control

Warehouse
Services

Policy
Management

Storage
Management

Secure,
Audited Vault

Optimize
Legal Discovery
Operational Controls
Analytics, BI & Reporting

Business & Legal Users

Ingest
Tagging for Discovery
& Process Context

Enable
Streamline Discovery
& Legal Productivity

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IBM Compliance Warehouse for Legal Control

| **Information** | **Warehousing and Storage** | **Access Models** |

Digital Compliance Warehouse

Warehouse Services
- Records / Retention
- Automatic Classification
- Content & Process Analytic Framework
- Process Execution / Audit / Monitoring
- Provenance (Chain of Custody)
- Role Based Secure Access
- Meta Data Catalog Management
- Active Content / Lifecycle Events

Policy Management
Storage Management

Compliance Vault

Lifecycle Management

Integrated IBM Hardware/Storage
(Optional)

Virtual Warehouse Vaults

Enterprise Content
- Paper Capture
- Email, Documents, Images and Web

Operational Processes
- Workflow & Transactions
- Embedded Controls & Risk Monitoring

Legal Control
- Legal Hold & Discovery
- Records Management
- Case Management

Operational Control
- Risk & Control Framework
- Process Management
- Process Monitoring
- Taxonomy Management
- Search
- Compliance SOA

Analysis & Reporting
- Mining & Visualization
- Business Intelligence
- Process Simulation

IBM Business & Technology Services
- Multiple Assessments & Services

Partner Solutions | Partner Services
- No Paper Weight

Simplified, Prescriptive, Easy To Deploy

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Records Management

- **Highlights**
  - Both IBM Products are market leading
  - Both IBM Products have new versions
    - IBM FileNet RM 4.5 (out now)
    - IRM 8.5 (due in 2009)
  - Enhanced RM Federation capabiliites

Why Has This Product Been So Well Received?

ZeroClick Records Capture

- **17+ Adopted *ZeroClick* Use Cases**

- **Strategic for reduction of paper and "Green" initiatives**

- **Also Supports Manual Records Declaration**
  - Drag and Drop
  - Save from Office Applications
  - Non-Office Applications
  - IBM FileNet P8 Workplace
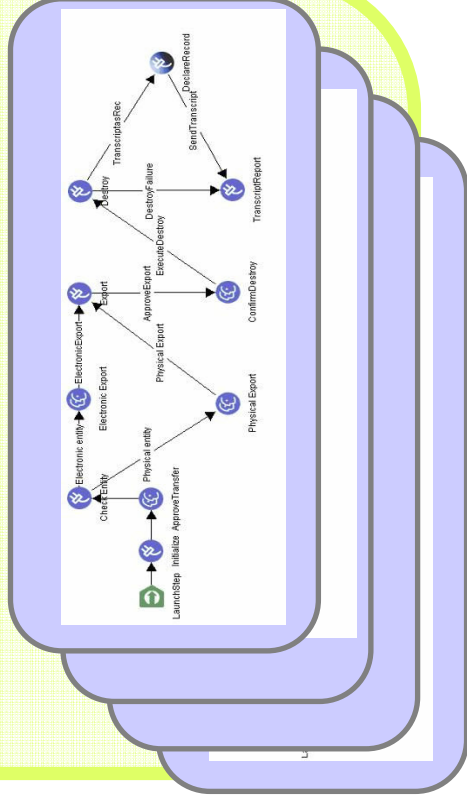
ZeroClick Records Administration

- **Process Driven**
  - Control Disposition Process
  - Control All Lifecycle Events

- **Dynamic Holds**

- **Intelligent Retention**

- **Intelligent Audit**

- **Multiple File Plans**

- **Best Practice Workflow and Report Templates**

- **Multiple Event-Driven Retention Trigger Options**

- **Storage Policy Object (ASAR)**

- **Real-Time Process Tracking**

IBM & Iron Mountain Accutrac Integration

- **What did IBM and Iron Mountain announce?**

  – On 20 May 2008, at the Managing Electronic Records (MER) Conference in Chicago, IL, IBM and Iron Mountain jointly announced plans to integrate the Iron Mountain Accutrac Software with IBM FileNet Records Manager.

  – The integration between Iron Mountain's Accutrac and IBM FileNet Records Manager will be focused on allowing customers to manage records consistently, whether in physical format managed with Accutrac or electronic format managed within IBM FileNet Records Manager. The goal is to allow customers to implement a compliant records program across the two platforms.

  – Central to achieving this goal is to enable the two applications to share a common retention policy and classification scheme, and to allow users to apply and manage retention and legal holds through either application interface.

  – Additionally, the integration will enable the declaration of records from one interface as well as the ability to view electronic records and request physical records.

What's New in IBM FileNet Records Manager Version 4.5

- **Announcement:** **September 2, 2008**

- **Electronic General Availability:** **September 5, 2008**

- **DoD 5015.2 Testing:** **September 8, 2008**

- New in 4.5:

  - Designed for compliance with U.S. DoD 5015.02-STD V3, with new Content Transfer Functionality

  - Performance enhancements

  - Automatic destruction of records

  - Single sign on (SSO) with Workplace and Workplace XT

  - Simplified deployment

  - Federal Desktop Core Configuration (FDCC) compliance

  - Multilanguage support, Upgraded platform support

eDiscovery

- **Highlights**
  - 2 New Products
    - eDiscover Manager (out now)
    - eDiscovery Analyzer (due soon)
  - Proactive ESI Management via proven, scalable IBM infrastructure and IBM Compliance Warehouse for Legal Control
  - Increased defensibility by making eDiscovery part of corporate business processes – automated, authenticated, consistent
  - Agile litigation response with reduced cost & faster insight
  - Foundation of an Information Agenda for Corporate Legal from IBM – long term, viable, global partner of choice

All enabled by underlying IBM ECM Platform and BPM Backbone

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Pressure is growing for effective eDiscovery solutions

- **New regulations and rules worldwide are creating new challenges relative to production of Electronically Stored Information (ESI)**
  - US Federal Rules of Civil Procedure are a key driver for any business subject to US federal jurisdiction

- **E-discovery costs faced by enterprises are skyrocketing**
  - In large scale litigation, a single case can cost $1.5M or more just for collection, processing, and review of relevant documents, emails, files
  - Bulk of cost expended with outside firms for processing, review, and production of electronic evidence

- **Information Management technology provides capabilities to help you address these challenges**
  - Helping users to proactively prepare to meet eDiscovery challenges by bringing electronic information under control
  - Helping save cost and reduce risk by enabling a more agile eDiscovery response
  - Making eDiscovery a more manageable, repeatable business process

Regulations & Rules

Processing/ Review Costs

proliferation of Point Technologies
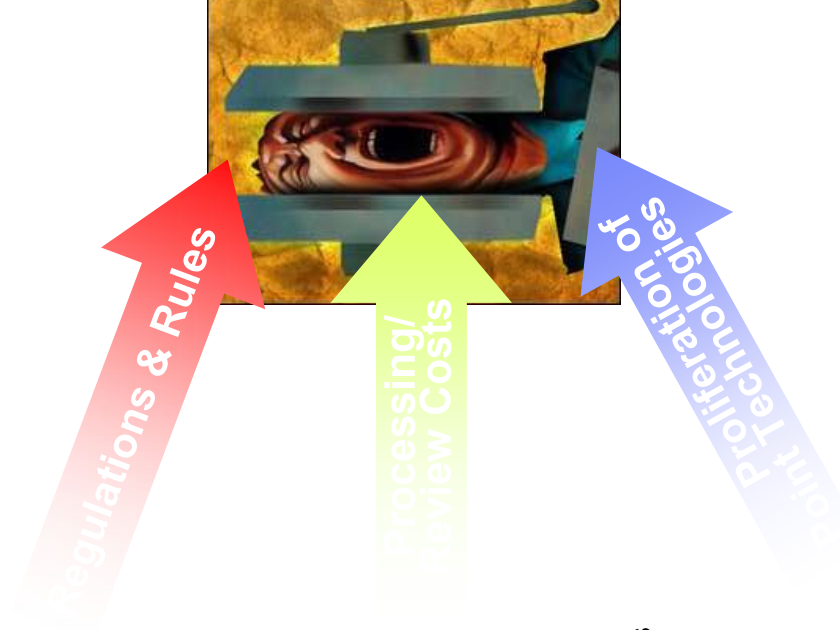
Announcing IBM eDiscovery
Powered by new IBM eDiscovery Manager V2.1

Proactive ESI Management

- Captured, processed, classified, organized as created
- Preserved based on information value with zero-click enforced retention policies
- Secured in a high scale enterprise level content management platform
- Made dynamically accessible

Agility in Responding to Litigation

- High volume search, cull, hold, export processes with ease of scale, low end to high end
- Information insight on demand
- Embedded access and change auditing
- With multilanguage, globalization support

Defensible

- Integral part of business processes
- Consistent
- Key to "reasonableness"
- Documented, measurable, repeatable

All enabled by underlying IBM ECM Infrastructure and BPM Backbone

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IBM eDiscovery Exploits ECM Platform Capability

Building on the IBM Compliance Warehouse for Legal Control

Enterprise Content
Manual Processes
Paper Storage

*Automatic Classification
Records Management
Intelligent Content Archiving*

*Legal Discovery
Operational Controls
Analytics, BI & Reporting*

Business & Legal Users

IBM Compliance Warehouse for Legal Control

Warehouse Services

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Building on the IBM Compliance Warehouse for Legal Control

Disorganized
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Optimize
Legal Discovery
Operational Controls
Analytics, BI & Reporting

Business & Legal Users

eDiscovery Search & Management

eDiscovery Analytics

Partner & Service Provider Apps
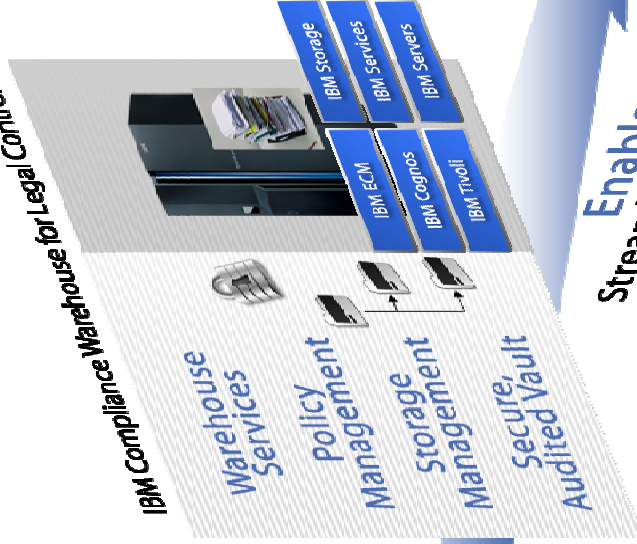
IBM eDiscovery

Intelligent Content Archive

IBM Compliance Warehouse for Legal Control

Warehouse Services

Policy Management

Sec Vault Audited Stores

IBM ECM Platform
All enabled by underlying IBM ECM Platform and BPM Backbone

Content Collection Processing
No Paper Weight
Auto-Classification
Information Federation

Enable
Streamline Discovery & Legal Productivity

IBM eDiscovery Exploits Best Practices Infrastructure
Building on the IBM Compliance Warehouse for Legal Control

Disorganized
Enterprise Content
Manual Processes
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Organize / Control
Automatic Classification
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Optimize
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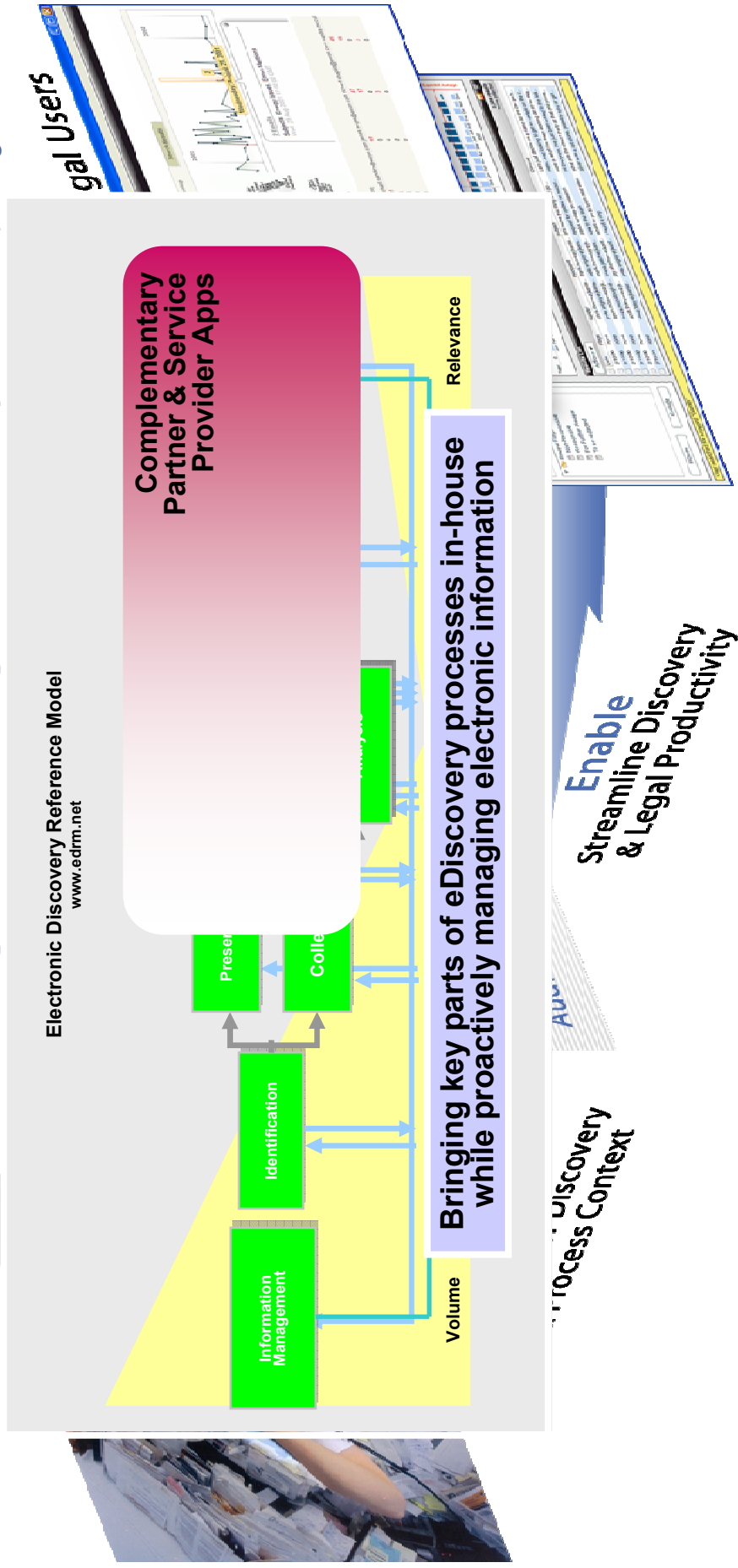
Electronic Discovery Reference Model
www.edrm.net

Complementary Partner & Service Provider Apps

Relevance

Volume

Information Management

Identification

Preser...

Colle...

Bringing key parts of eDiscovery processes in-house while proactively managing electronic information

Enable
Streamline Discovery
& Legal Productivity

Process Context

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Cornerstone: new IBM eDiscovery Manager v2.1
Integrated tool for managing ESI in an ECM environment
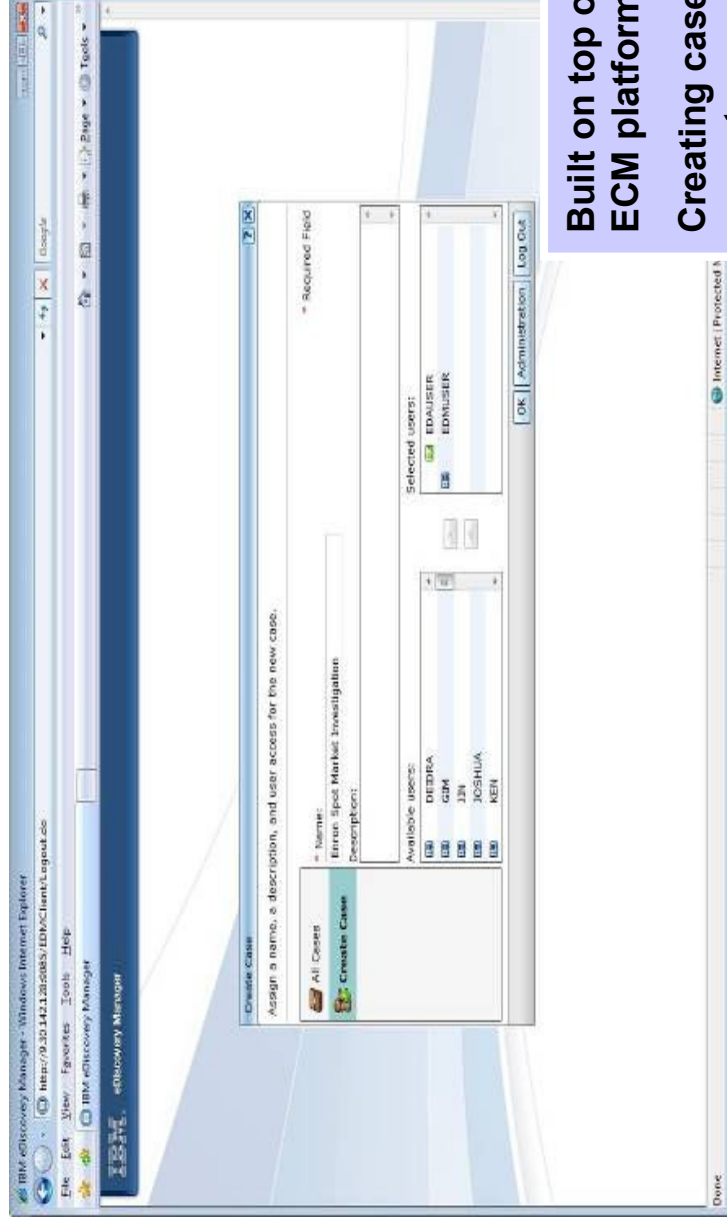
Built on top of security rich, high scale IBM ECM platform

Creating cases, user profiles, assigning users to cases

Managing ESI in place for multiple cases

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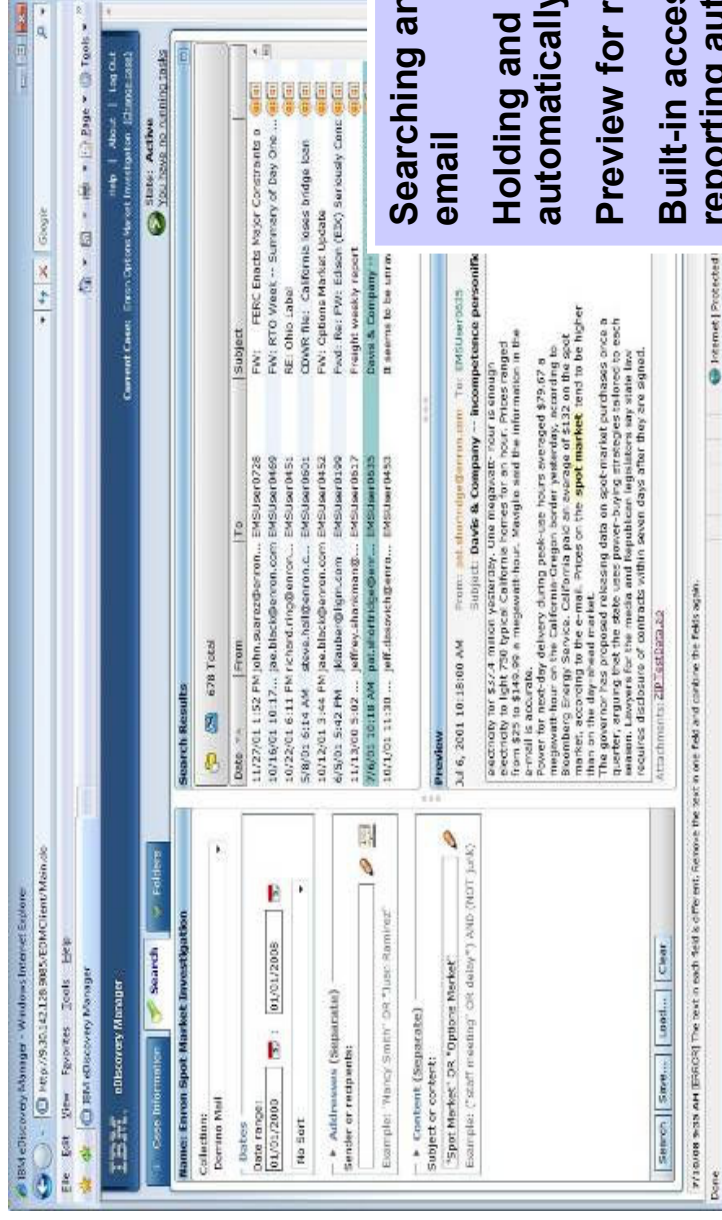
Searching and culling case relevant archive email

Holding and locking down the result set automatically

Preview for relevancy

Built-in access and change auditing, reporting authenticity and chain of custody

Exporting result set in native format for detailed attorney review

IBM eDiscovery anchors a broader partner ecosystem
Infrastructure foundation for additional partner solutions and services

Downstream hosted review & production services

– Example: EED Discovery Partner

Complementary in-house legal applications

– Litigation hold notification, legal document workflow, matter management, redaction, etc.

– Examples: EED, Altien, Integro

eDiscovery consulting & implementation services

– eDiscovery readiness assessments, case-specific strategy consulting, implementation

– Examples: IBM Global Business Services, EED, Neocol, Integro, CGI, Lighthouse, …

Service Providers

ISVs

Consulting & Implementation

Optimized Legal Discovery

IBM eDiscovery

Organized / Controlled
Intelligent Content Collection
Automatic Classification
Records Management

Uncontrolled
Enterprise Information
Manual Processes
Paper Storage
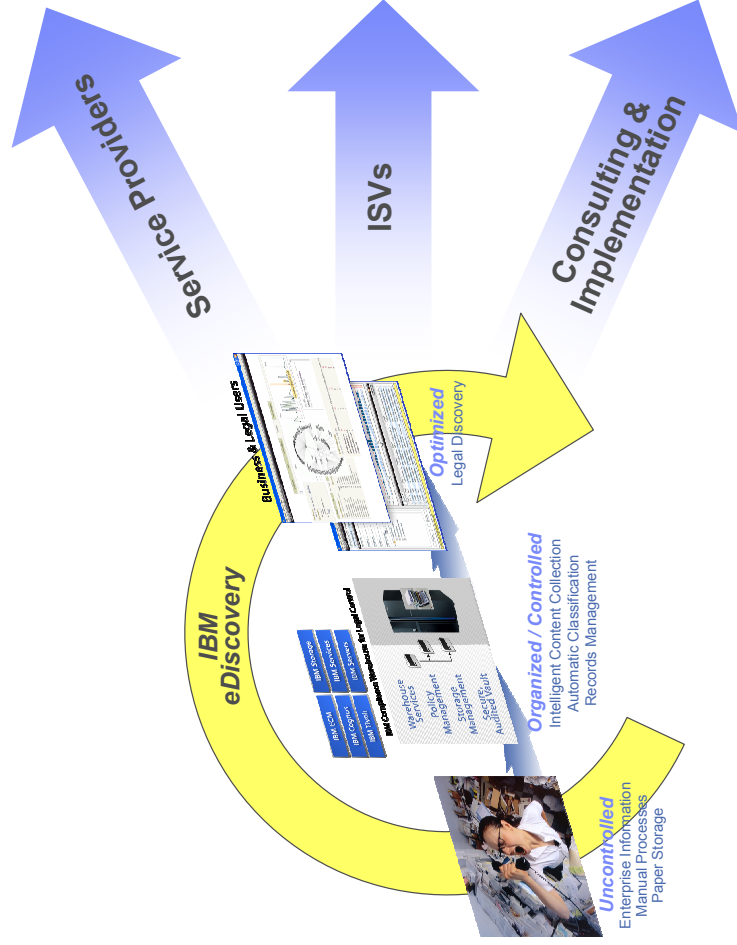
All enabled by underlying IBM ECM Infrastructure and BPM Backbone

Breakthrough Information Insight – Analysis

Understand the meaning of content, e.g.., email, documents, files...
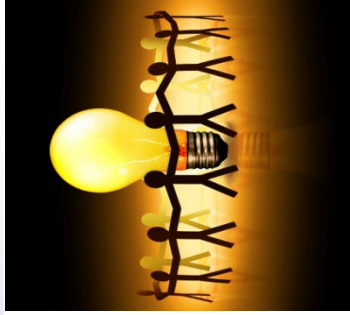
■ "Who is communicating with whom, on what topics, when? Who are the key players? Anything that shouldn't be said? ..."

■ **In email discover**
  - **Trends**
  - Correlations
  - Key players, actions
■ **Make knowledge buried in email actionable**
■ Eliminate noise **up-front in bulk**
■ Capability provided by IBM Content Analytics technology

Questions etc.

THANK YOU

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