



Building a Foundation for Information Governance

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Abstract

Organizations everywhere are realizing the value that an Information Governance initiative can have for their business—in more ways than one. With the amount of information growing at an exponential rate, new regulations and policies are constantly coming into effect, and this has increased both the need for, and value of, Enterprise Content Management. This white paper will discuss the value of having a system in place that manages your most important asset—your information— and will also lead you through OpenText's all-encompassing approach towards lifecycle management. Providing capabilities that ensure risk reduction, compliance with regulatory mandates, IT storage cost reduction, litigation readiness and improved access to information, OpenText can help your organization balance the risk, value, and cost associated with your information.



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Introduction

All businesses, regardless of size, location, or market, require and use content—the material that constitutes documents, publications, and other information—from many sources in their day-to-day operations. As the volume and complexity of this content increases, so does the need to understand and manage it. OpenText's Content Lifecycle Management offering provides the necessary foundation for an enterprise-wide strategy for information governance.

Information Governance and Enterprise Content Management (ECM)

Business today relies on three fundamental elements: people, process, and content. Ultimately, people are the most crucial of the three. Without human language, curiosity, and desire to improve material and social circumstances, there would be no need for process and no content produced. This is not a new observation. That humans are uniquely furnished with the faculty of language and are thus compelled to form social, commercial and political associations can be traced back thousands of years. Language and words are tools used to create common goals, bonds, and forge relationships to improve our existence.

These social, commercial, and political associations that have emerged to serve the needs of people, need content and process to stay agile, relevant, and exist inside a framework of rules and acceptable practices. It no longer matters if these communities are physical or virtual – it is the environment in which we live and work. The capture, distribution, consumption, and protection of information across a broad range of physical and digital forms have become requirements to stay in business.

Information Governance has emerged as a term described by Wikipedia as "the set of multi-disciplinary structures, policies, procedures, processes, and controls implemented to manage information on all media in such a way that it supports the organizations immediate and future regulatory, legal, risk, environmental, and operational requirements,". In the knowledge economy, businesses that rely on innovation, technology development, patents, regulated products, and creative arts must protect their core assets just as more traditional companies would protect their plants and property. Engineering and scientific expertise, crystallization of reusable best practices, and innovative market strategies are direct contributors to top-line revenue. Organizations that are exploring a corporate information governance strategy are seeking to guide how the managers make decisions about content stewardship. They understand the need to align organizational technology and business objectives and aim to articulate this vision to employees, key partners, and external stakeholders.



Content-centric best practices that help meet compliance and risk mitigation mandates imposed by law, regulators, or internal quality standards are complemented by a keen focus on developing ways to capitalize on the kinds of productivity and efficiency gains that grow out of an asset-management approach to corporate content. Enterprise Content Management solutions can help companies deliver a governance program to deal with corporate information, the consumers and creators of that content, in the context of real business processes.

Enterprise Content Management gained traction as a distinct technology category circa 2004. Although crystallized by the first Gartner “Magic Quadrant” for ECM, OpenText had embraced and adopted this category description for years before broad analyst adoption. OpenText holds the leadership position in the Enterprise Content Management software space and continues to be an innovator, pushing the boundaries as content types change. They are shaping how the market evolves and the ways in which technology brings people, process, and content together to serve specific business imperatives.

The broad offering OpenText delivers under the Enterprise Content Management portfolio includes the foundational components of document management, records management, imaging, content-centric collaboration and workflow, and web content management.. OpenText specifically pushes the ECM envelope, with key offerings to extend into business intelligence and reporting, digital asset management, archiving, and deep vertical and horizontal applications to integrate into the most strategic areas of the enterprise ecosystem: email management, applications for SAP, SharePoint and Oracle, eDiscovery, and solutions for industries in Financial, Energy, Utilities, Public Sector, Legal, Manufacturing and Life Sciences.

Getting Started with ECM

An information governance foundation: Content lifecycle management

Corporations and public sector organizations look to deploy Enterprise Content Management solutions to establish an information governance strategy for their critical content. But customers often ask—where do we start? How do we articulate and execute on a strategy for our own enterprise content? How can we address the fundamentals? How do we balance regulatory compliance pressures with a need to improve productivity? How can we make the right technology and change management investments to demonstrate both tangible cost savings as well as softer returns?

OpenText has developed specific solution offerings designed to meet these essential needs—user productivity, business agility, cost and risk mitigations—that are common to



the enterprise. Content Lifecycle Management brings together the key elements needed to put an organization on the right path to governance strategy and ECM vision.

Senior management necessarily scrutinizes technology investments. Software acquisition at the enterprise level can no longer be done purely by IT. Nor can it be driven by requirements only of one department or business unit. Technology investments are increasingly required to serve three fundamental needs: to control costs and risks, to enable business agility, and to empower the business users. The broad solution portfolio from OpenText addresses all three of these pressures, but organizations need to start with a solid foundation of ECM fundamentals.

The challenges surrounding effective content management strategies are abundant. Ever increasing volumes of information, fractured systems that have been adopted over time, merger and acquisition activities resulting in disparate and disconnected IT systems, all against the backdrop of complex regulatory and legislative mandates that influence how organizations view and manage business content.

Companies are subject to regulations that require the protection and preservation of content. They must also show adherence to approved retention policies, as well as privacy and data protection regulations driven by the industry and jurisdiction in which they do business. Failure to meet these external obligations exposes the organization to possible financial penalty, loss of reputation, and legal liabilities that affect business operations.

And the way that information workers use and access content continues to change: they are more mobile than ever and work with content across a variety of systems and devices. Ensuring secure access to accurate content on demand is critical to achieving corporate goals of productivity and efficiency improvement.

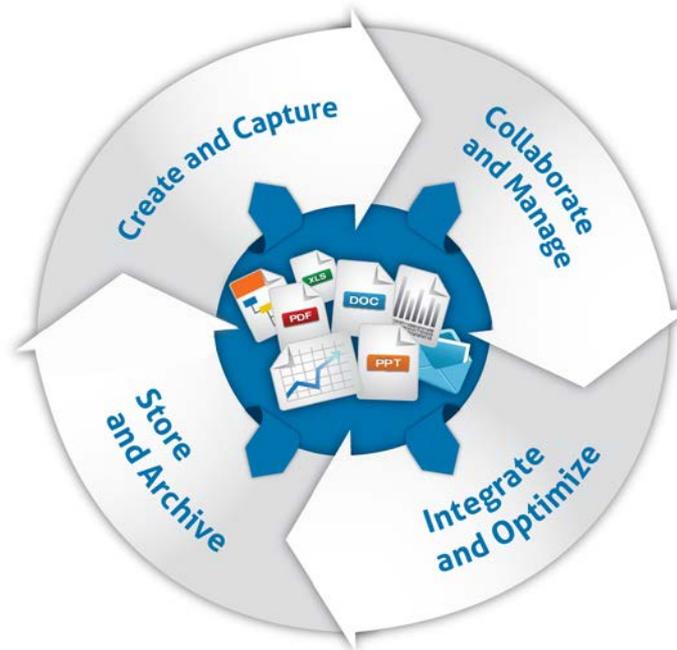
As we continue in the second decade of the 21st century, the public sector and many businesses across the G8 nations are seeing demographic shifts. It is recognized that an impending Baby Boomer retirement wave could result in a brain drain and loss of corporate memory. Best practices, corporate culture, years of accumulated implicit knowledge, and experiences are at risk. Preserving intellectual capital and expertise as a competitive advantage is vital in today's dynamic and competitive business climate.

Critical to the success of an ECM deployment is engaging people as they use the content they create and receive as part of a business process. Understanding how content flows through an organization—who needs it, what applications are used, what are the stages of its evolution or approval, where does it go when finished, who cares about its preservation or destruction—these questions need to be part of an ECM deployment. User engagement and participation in the process is critical to success.



Content Lifecycle Management addresses the fundamental building blocks of an ECM strategy: document management, records management, document-centric workflow, archiving, imaging, and application integration to many process applications.

Figure 1
End-to-end management as content flows through critical processes



These integrated components allow an organization to implement true end-to-end solutions addressing the three universal requirements: improving their content efficiency, their ability to drive monetization through content, and information governance.

Organizations with particular needs to extend this core offering can easily do so with integrated extensions to support enhanced collaboration and web content management, digital and rich media management, reporting and analytics, ERP solutions, portal integration, as well as the rich application integration layers delivered by the OpenText Content Services suite.

Overview of the Core ECM Components

Empowering information workers: Document management

Document management and records management form the cornerstone of this ECM foundation bundling. Designed to offer a secure and centrally managed repository for both work-in-progress and final output content, the fundamental tools include full text and metadata search, security, retrieval, version control, taxonomy, metadata categorization, and team and personal workspaces.



Organizations benefit from document management particularly when the requirements are driven by user empowerment and business agility needs. Document management also provides the framework for introducing the next layer of control and risk mitigation with fully integrated records management.

An enterprise can make the case for document management if the answer is 'yes' to any of these questions:

- Is there confusion over which document is the latest or approved version?
- Are business decisions made with incomplete or inaccurate information because it takes too long to locate the right content?
- Are employees frustrated or spending too much time searching multiple file shares or other storage locations?
- Do employees recreate or feel compelled to redo work because it is difficult to find? Are employees even aware of previous work done by colleagues or other business units?
- Are delays in information access and efficient content distribution causing bottlenecks and slowing completion of projects?
- Are you losing opportunities and market share, or not responding rapidly to customers because customer-facing staff doesn't have timely access to relevant information?

Document management from OpenText provides a secure repository for content of all types and formats—office applications, email, graphics, CAD drawings, images and renditions, and an increasing range of new object types as organizations adopt more Web 2.0 collaborative tools inside the enterprise. Check-in/check-out, version control for simple and compound documents, audit trails, metadata categorization, comprehensive search, user, group and role based access controls are all elements of the document management core offering, delivered through web browser, Microsoft Office application or Windows Explorer interfaces to meet a range of user preferences.

Users and administrators can create metadata, folder structures, and taxonomies to meet both personal and enterprise organizational needs. Easy to understand toolbars, search capabilities, navigation panes, and document-centric function menus deliver rich and intuitive search and navigation features to both casual document consumers and more demanding content creators and reviewers.

Improving business agility: Workflow

Document management also facilitates collaborative work, allowing information workers to rate, recommend, subscribe to notifications, and share links to key content with their



colleagues. A core feature of the document management offering is a content-centric workflow tool, which allows both structured and ad-hoc routing of documents for a variety of approval, review, and feedback processes. Using simple graphical tools to map out the process flow, authorized users, and administrators can automate routine activities, streamline the movement of content across teams, show measurable cost and time savings by eliminating redundant stages, automate escalations, relieve the burden of using email to transport duplicated attachments, and provide insight and transparency into process bottlenecks and missed deadlines.

Organizations can benefit from the workflow capability of Content Lifecycle Management if:

- Productivity improvements can be achieved by streamlining routine tasks with assigned steps, instructions, structured approvals for parallel or serial workflows for either users or groups
- Complex procedures can dynamically spawn new workflows or tasks based on specified conditional rules
- Compliance or best practices requirements need to preserve previous versions of workflows—including audit trails and permissions
- Corporate management or operations need to be proactively notified if deadlines are missed or when tasks are completed

Mitigating risk: Records management

Records management is the next logical extension to document management: enriching the metadata on content, enhancing security, extending the corporate repository to physical objects and storage space management, and allowing scheduled archiving, movement or destruction of content based on corporately approved rules and event triggers.

Some organizations may choose to deploy the records management module first, particularly if the largest source of pain for the enterprise is risk and cost management of legacy paper content. Highly regulated industries with rigid external compliance mandates, public sector, or paper-intensive processes can quickly benefit from the implementation of the OpenText records management offering as part of a governance strategy. In these cases, extending these capture, control, and preservation requirements to a broader range of electronic work-in-progress content is what then drives subsequent adoption of the document management offering.

Successful deployment of a records management initiative must include strong direction from internal business managers and corporate legal. Thinking about records



management as purely a technology problem is unlikely to address the real business risks that could result from inappropriate destruction or retention policies. It's the business that faces compliance issues, and business users that generate the content that needs to be managed as a record. The deployments that are most successful are those that bring a cross functional team into the planning stages: business users, legal, IT, records, or knowledge managers backed up with executive sponsorship and funding.

Consider the following questions and assess if your organization faces any of these common challenges:

- Are you a publicly-traded organization, do you work in the public sector, or are you subject to external health, safety, financial, or environmental disclosure regulations?
- Do you operate in a jurisdiction or industry sector that is litigious?
- Do you need to apply holds to any of your corporate content?
- Does high-value intellectual property, digital assets, patents, designs, blueprints, scientific, or other research contribute to the valuation or revenue of your business?
- Is capturing corporate memory, best practices or organizational knowledge strategic to keeping your business running smoothly during periods of staff turnover, retirement, elections, or mergers and acquisitions?
- Do you have paper, boxes or other physical artifacts that require preservation, easy retrieval, or specific storage rules?
- Are users confused by what should or should not be deleted? Stored offline? Duplicated?
- Are users inventing their own ad hoc practices for email vs. office documents vs. other forms of content?

Reducing costs: Archiving

Successfully deployed document and records management deployments will quickly demonstrate return on investment with improvements in user productivity—search, retrieval, and re-use— in addition to offsetting network traffic and email inbox overload. Providing users with the opportunity to collaborate in shared workspaces means avoiding incessant duplication of documents across folders, shared and local drives. Another key source of cost reduction, unique to OpenText, is fully integrated archiving. As the document and records repository grows, or as IT reviews storage costs across the enterprise, the archiving component reduces hosting cost by reducing ESI through defensible and timely disposition



As content ages or changes status, it is typically used and retrieved less frequently. Yet few organizations have solid insights into how often content is used, or what proportion of content is still viewed after six months. The Archiving capabilities offered by the archiving component of Content Lifecycle Management gives IT the flexibility to move and store infrequently used or less critical content to more economical storage devices. High value and frequently used content can be directed to premium storage devices for high accessibility and rapid retrieval.

Stored content has a cost—the hardware devices, regular backup, and administration overhead. Archiving offers the ability to reduce the cost and burden of content storage as its value or usefulness decreases. The ability to synchronize content value with vendor-agnostic storage virtualization opens the door to new ways to manage IT costs. Archiving allows a liberal mix of storage technologies from a diverse group of storage vendors to be combined into one or more logical enterprise archive repositories. The storage of inactive or infrequently used content can be directly tied to retention and records management storage rules, and item movement can be triggered by metadata or other key lifecycle events.

Figure 2
Archiving reduces storage costs and risks



Your organization can benefit from real cost savings with the Archiving capabilities of integrated archiving if:

- Existing in-house storage is approaching the terabyte level
- Current tier-one storage holds content that is infrequently retrieved, or coming close its approved destruction date
- IT management is not able to meaningfully exploit less expensive tape or disk storage devices
- Business needs or regulations demand that content has long term availability and readability requirements



- Critical information needs enhanced protection with auditing, controlled deletions, encryption and access controls
- Disaster recovery and business continuity planning must extend to electronic corporate content

Preserving corporate memory: Imaging and paper capture

The paperless office is still just a dream for most organizations. Many business critical processes still rely at least in part on paper—accounts payable, contract negotiations, order management, inbound correspondence, expense claim reimbursements, among others. While paper has a tangible quality that makes it attractive for on-the-road portability and reading, the effectiveness of relying on physical forms, letters, and receipts is not ideal. This is especially true when users get into the habit of duplicating paper content, wasting resources and time, and creating the opportunity for information loss through improper storage, disposal, or handling habits.

Content Lifecycle Management includes integrated imaging to support a range of document capture scenarios for high- and low-volume requirements. Integrated with the workflow component, organizations can use barcodes, Optical Character Recognition (OCR), and automated metadata collection and categorization to streamline the capture process and ensure valuable content is properly stored and organized in context with related electronic content.

Converting paper documents into industry-standard electronic image formats can reduce costs, as the need to store non-essential paper or copies of convenience is eliminated. High-value paper records with evidentiary or historical value can be scanned and carefully preserved, allowing the electronic copies to be more widely viewed by a larger group of users safely and securely. Imaging also allows organizations to easily match scanned content with related information created electronically in any number of applications—email, office suites, CAD systems or ERP applications such as SAP and Oracle—associated with meaningful metadata such as case or customer number. Familiar user actions such as sticky-note comments, annotations, redlining, and other markups are available electronically.

Your organization can benefit from the imaging capability of Content Lifecycle Management if:

- Warehouse or file room costs are high or rising due to storage of paper-based records
- Retrieval of paper-based records is labor-intensive or slows down business processes by creating bottlenecks in the flow of work
- Historically valuable physical records are at risk by handling or movement



- Business continuity or disaster recovery planning dictates that paper cannot be a single point of failure
- Paper records contain sensitive personal, financial, medical, or commercial proprietary information that requires specialized storage, structured disposal, processing or destruction methods
- Information is needed across a geographically dispersed or cross-functional team and traditional fax, courier or mail methods are slow, inefficient, and costly

Users working the way they want to work: Application integration

Organizations can accelerate the value of their Content Lifecycle Management deployment by using off-the-shelf application integration offerings to extend content capture and consumption across common business applications.

ERP applications often set the framework for process-intensive business transactions. SAP, for example, has allowed organizations to streamline processes and consolidate cost centers and procedures. Bridging the gap between ERP transactional applications and the unstructured document-centric content that these applications need is a key offering of Content Lifecycle Management. Integration and linking capabilities provide single point of access for users to the business content they need, across information sources, and without requiring them to perform multiple searches or resort to paper procedures.

A strong integration with Microsoft products eases adoption and minimizes retraining when Content Lifecycle Management is deployed to information workers. Users often spend a large proportion of the work day inside their email applications. Integrations use familiar and intuitive email notifications and connect the inbox and common document management objects such as folders, projects, and compound documents. Integration between mainstream office suites and document management functions mean users can open and save documents directly from the repository. Using Windows Explorer, users can drag and drop documents and folders between their desktop and the repository. For users who frequently travel or take their laptops home evenings and weekends, offline support ensures work done away from the corporate network is synchronized with the repository to ensure documents are up-to-date and correctly versioned.

Administrators can also benefit from the extensions and integrations that are part of Content Lifecycle Management. The requirement to allow enterprise and extranet applications to synchronize their users and groups with a central directory service, and provide network users with single log-in, is critical to deployment success. Organizations can administer users and groups in a single directory, and use administrative tools to



synchronize information with the centrally maintained directory service. Users can log in transparently, and are not required to enter their usernames and passwords multiple times.

Building on the Information Governance Foundation

OpenText's Content Lifecycle Management solutions have delivered success and shown measurable value to organizations facing a broad spectrum of content-centric business problems. The fundamentals of document management, records management, archiving, integrated workflow, and imaging offer a rich set of user-friendly tools to push and pull content to the right people, at the right time, in the context of their work. Content Lifecycle Management provides the solid underpinning to any enterprise needing to build a governance strategy for the knowledge assets it creates and receives.

But we know that different companies have different pain points when it comes to controlling and accessing mission critical information. The information governance strategy needed by one organization will be different than that of another. Where compliance and retention mandates may challenge a regulated industry, knowledge management and corporate memory preservation may be top of mind for another. Managing, maintaining, and exploiting corporate content will be prioritized differently in different corporate cultures.

Customer and market analysis, however, reveals three common business drivers of ECM adoption: the need to improve content efficiency, the need to drive monetization through content, and the need to govern information. OpenText has a range of ECM solutions to extend beyond the Content Lifecycle Management foundation to meet these three key requirements.

Empowering information workers further: Extending collaboration and opening the door to enterprise 2.0

Businesses depend on effective and timely communication with customers, suppliers, and among employees. For companies with specific user productivity and knowledge sharing requirements, a natural extension to Content Lifecycle Management is Extended Collaboration. Connecting people in a real-time, project, or team-based workspace, to circulate ideas, experiences, content, and best practices is an effective use of collaborative technologies. Whether driven by the geographic distribution of teams, by knowledge management practices, or because increasingly technically savvy business users prefer the ease of use offered by Web 2.0-inspired tools, OpenText delivers fully integrated and intuitive extensions to the ECM foundation delivered by Content Lifecycle Management.



As organizations begin to explore and adopt more of collaborative web-based tools inspired by personal use—wikis, blogs, discussion forums,—OpenText has proactively stepped ahead in order to deliver to the evolving Enterprise 2.0 world the same market-leading risk and cost mitigation offerings that are used with more traditional content and communication types. Records management-friendly blogs and wikis, collaboration sites, and other Web 2.0-inspired tools can all be deployed safely and securely, with integration back to the underlying ECM governance foundation laid by Content Lifecycle Management.

Control areas of biggest risk: Email

Email becomes a source of pain for public and private sector organizations when the obligation of legal discovery or freedom of information disclosure arises. Having evolved into the primary means of business communication over the years, email is a particular content management challenge due to sheer volume, difficulty in separating junk from business value, and the ad-hoc deletion, storage, or filing habits practiced by most users. Email also contains valuable content needed for ongoing business—attachments, approvals, management directives, and announcements. Capturing these electronic conversations in context with other business artifacts is essential to understanding how decisions were made or transactions executed.

Organizations operating in litigious jurisdictions or verticals are often compelled to adopt Content Lifecycle Management with email management a key driver. Getting control over email capture, categorization, and retention is the first step towards litigation readiness. Rapid and accurate search, retrieval, and collection of email, along with the other electronic content that requires review for discovery purposes, is essential to relieving the disclosure burdens faced by legal counsel, compliance officers, and the IT professionals managing the underlying systems. Successful records management initiatives must extend to email repositories and outline the appropriate preservation, storage, and disposal rules in accordance with internal business needs and external regulation requirements.

Email can be considered semi-structured content. While typical messages contain unstructured text in the body, email headers provide structured metadata—to, from, cc, date sent, date received—that make automated capture and filing a reality. Depending on the needs of the enterprise, and of business users, automation of capture and application of records retention and metadata categorization can be done with individual messages by filing into managed folders in Content Lifecycle Management, or by using automatic classification tools to scan archived email and apply these rules using metadata or keyword triggers.



Managing risk and the cost of litigation readiness: Electronic discovery

“The best offense is a great defense.” These words are especially true for companies that are frequently faced with legal discovery orders. Many jurisdictions are updating and reviewing the laws, and case law is evolving regarding the requests, collection, and disclosure of electronic information. The US amendment of the Federal Rules of Civil Procedure in 2006, for example, has had a substantial effect on how records and compliance programs are instituted inside corporations. Five fundamental points, characterizing an ideal program, have emerged as guiding principles:

- Defensible record classification and retention policies: map email and other electronic content to applicable regulations and legislation
- Built on a comprehensive content lifecycle management framework: automated, secure, and approved processes for retaining, storing and preserving records
- Extended to the entire enterprise: centralized authority and access to manage all corporate content, including email servers and collaborative sites such as SharePoint
- Providing seamless integration with discovery and litigation support systems: accelerate the collection, preservation, review, and production of corporate records as evidence
- And common archiving for all corporate records: using the inherent archiving capabilities of Content Lifecycle Management to ensure cost-effective physical storage of content according to their categorization, ensuring integrity and admissibility

Organizations with heavy eDiscovery burdens can look to using technology to automate and streamline more of the litigation readiness and realize cost savings by “in-sourcing” the early stages of search and collection. The inherent search, taxonomy, categorization, and rule-based disposition abilities of Content Lifecycle Management build the ideal foundation to meet the rigorous requirements of evolving electronic discovery and disclosure rules and accepted practices.

Communication and Ideas: The Real Foundation of Business

Ultimately, it is all just text and pictures. But the concepts, ideas, research, and innovation expressed in the words and graphics we produce in the course of our work reflect our need to communicate and progress.



Organizations that value their heritage, their intellectual property, and the output of their information workers understand the need to create an information governance strategy to protect this content. For OpenText, Enterprise Content Management is the end-to-end portfolio resulting from decades of technology innovation, customer successes, and measurable productivity gains by companies across the globe. Our Content Lifecycle Management solutions are the ECM bedrock, the underpinning, the right place to start when pressured to unlock the potential stored inside corporate content and put it into action.



About OpenText

OpenText is the world's largest independent provider of Enterprise Content Management (ECM) software. The Company's solutions manage information for all types of business, compliance and industry requirements in the world's largest companies, government agencies and professional service firms. OpenText supports approximately 46,000 customers and millions of users in 114 countries and 12 languages. For more information about OpenText, visit www.opentext.com

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