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## Industry Watch

# Information Governance

- records, risks and retention in the litigation age

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## Process Used and Survey Demographics

While we appreciate the support of these sponsors, we also greatly value our objectivity and independence as a non-profit industry association. The results of the survey and the market commentary made in this report are independent of any bias from the vendor community.

The survey was taken using a web-based tool by 548 individual members of the AIIM community between January 18, and February 11, 2013. Invitations to take the survey were sent via e-mail to a selection of the 75,000 AIIM community members.

Survey demographics can be found in Appendix 1. Graphs throughout the report exclude responses from organizations with less than 10 employees, and suppliers of ECM products or services, taking the number of respondents to 512

## About AIIM

AIIM has been an advocate and supporter of information professionals for nearly 70 years. The association mission is to ensure that information professionals understand the current and future challenges of managing information assets in an era of social, mobile, cloud and Big Data. AIIM builds on a strong heritage of research and member service. Today, AIIM is a global, non-profit organization that provides independent research, education and certification programs to information professionals. AIIM represents the entire information management community: practitioners, technology suppliers, integrators and consultants.

## About the Author

Doug Miles is head of the AIIM Market Intelligence Division. He has over 25 years' experience of working with users and vendors across a broad spectrum of IT applications. He was an early pioneer of document management systems for business and engineering applications, and has produced many AIIM survey reports on issues and drivers for Capture, ECM, Records Management, SharePoint, Mobile, Cloud and Social Business. Doug has also worked closely with other enterprise-level IT systems such as ERP, BI and CRM. Doug has an MSc in Communications Engineering and is a member of the IET in the UK.



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## Introduction

Once upon a time, records meant paper documents. They lived in file cabinets, and they were managed and maintained by secretaries, librarians and archivists who knew the rules, and applied them diligently. When space for more file cabinets ran out, the records were put in boxes, marked with a destruction date, and shipped out to a box store (a paper records outsource provider). When the destruction date was reached, the box store would take care of destroying it, and recording the fact that it had been done.

Nowadays, records exist in electronic form all over the business, often well beyond the reach of the traditional custodians. So we now need much wider "Information Governance Policies" to ensure that our corporate information (and our customers' information) is secure and is easily located. In particular, businesses are increasingly faced with the possibility of high profile criminal, commercial and patent cases that hinge on evidence from electronic documents, from emails, and even from social network comments. So these records need to be "discoverable" and presentable to regulators and lawyers. And as the argument moves on from "how do we keep stuff?" to "how can we defensibly get rid of stuff?", we need to examine what shape enterprise records management takes and, in the big data age, how do we keep a lid on the escalating costs of content storage?

In this survey, we look at the risk profile around electronic records, the keep-all versus delete-all options, the international view of e-discovery, and the implications of social, mobile and cloud on RM policies. We also look at the development of enterprise-wide governance policies, and how they translate into system strategies.

## Key Findings

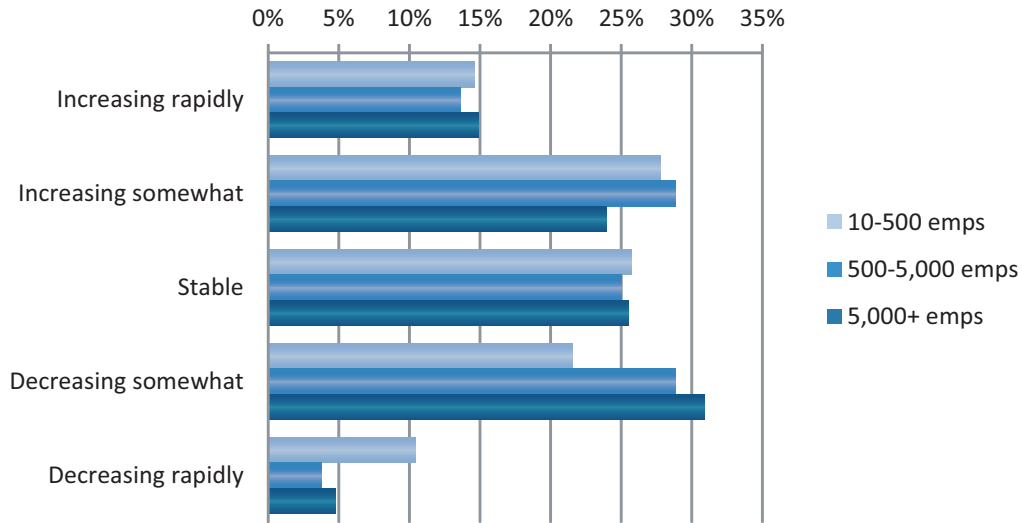
- **Progress toward the "Paperless Office" is slow.** For 42% of organizations, the volume of paper records is still increasing.
- **Effective information governance is crippled by poor training.** Only 16% regularly train all staff. 31% do no training at all.
- **Senior management is ignoring the risks.** 31% of respondents report that poor electronic records-keeping is causing problems with regulators and auditors. 14% are incurring fines or bad publicity.
- **The answer to the data problem is to let the computer do the filing.** 14% are already doing auto-classification of electronic records, 37% are keen to do it.
- **Despite good intentions, the delete button isn't being pressed.** Electronic records aren't being deleted even when retention periods are set.
- **IT is losing its ability to transform business.** For a third of organizations, 90% of IT spend adds no new value.
- **Something has to be done about content accumulation.** For 29% the response to the information deluge is "buy more discs".
- **Emails are acknowledged as records, but the filing systems are chaotic.** 73% include email in their retention policies, but most rely on manual methods to file them.
- **Social content management is not even on the radar.** Less than 15% of organizations are even trying to include social postings in their retention schedules.
- **Cloud is not in everyone's future.** 46% of organizations would "definitely not" or "probably not" consider using cloud for managing electronic records. 23% would consider using their existing paper records outsource for cloud services.
- **The content may be electronic but the e-discovery mechanisms are still manual.** 53% are still reliant on manual processes for e-discovery searches across file shares, email and physical records.
- **45% of organizations plan to increase their records management spend over the next two years.** In particular, automated classification is set for strong growth, along with enterprise search, RM modules, E-discovery and email management.

# Paper vs. Electronic

In theory, the increasing focus on keeping records in electronic form should be resulting in a decrease in the volume of paper records. However, in Figure 1 we see a somewhat chequered picture. Overall, the volume of paper records is increasing in 42% of organizations, and decreasing in 34% - a "negative gap" of 8%. In the largest organizations (5,000+ employees), the gap closes to 3% whereas in mid-sized and smaller organizations, the gap is 11%.

By comparison, in our 2011 report<sup>1</sup>, more organizations were seeing a decrease than an increase – a positive gap of 10%, which was a big change from 2009 where the negative gap of 34% was much greater than today. We have no firm explanation for this apparent return to growth for paper records. It could simply be that during the downturn of 2009-2011 overall transaction volumes decreased. It could be that more vigorous savings were called for on office costs, or that box store costs were scrutinized more closely, leading to a more general clear out of file boxes - and that now they are creeping back in. Or it could be that a number of back-file scanning projects have been run down and not re-instated.

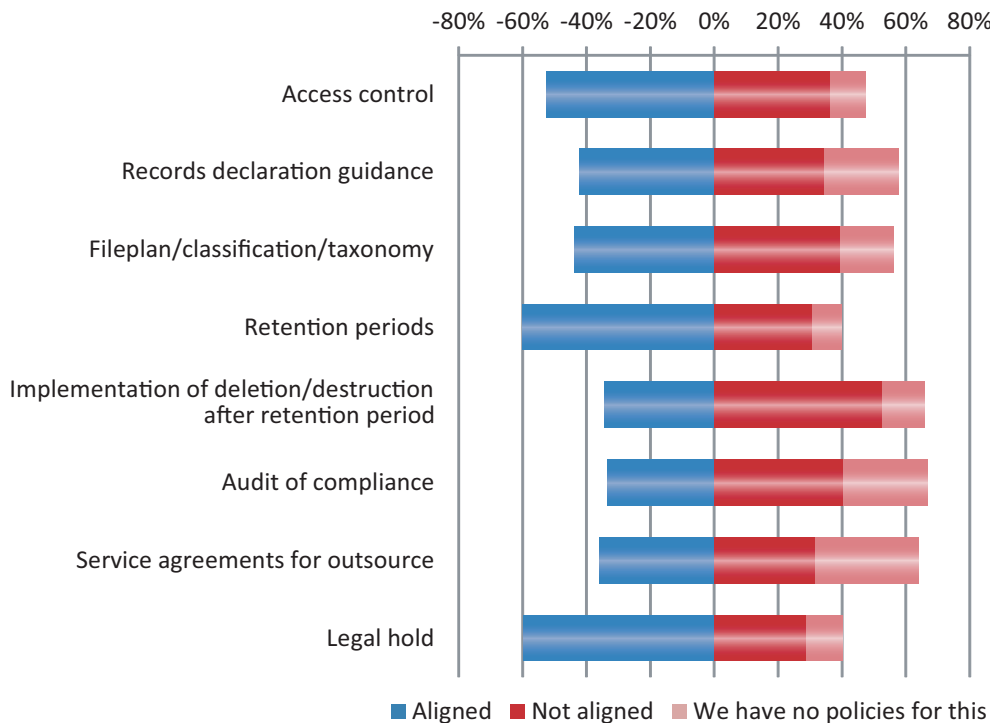
**Figure 1: Is the volume of your paper records: (N=508)**



## Alignment of Practices

Given that most businesses are now managing at least some of their records as electronic, it is interesting to compare how the traditional records management practices are transferring from the paper world.

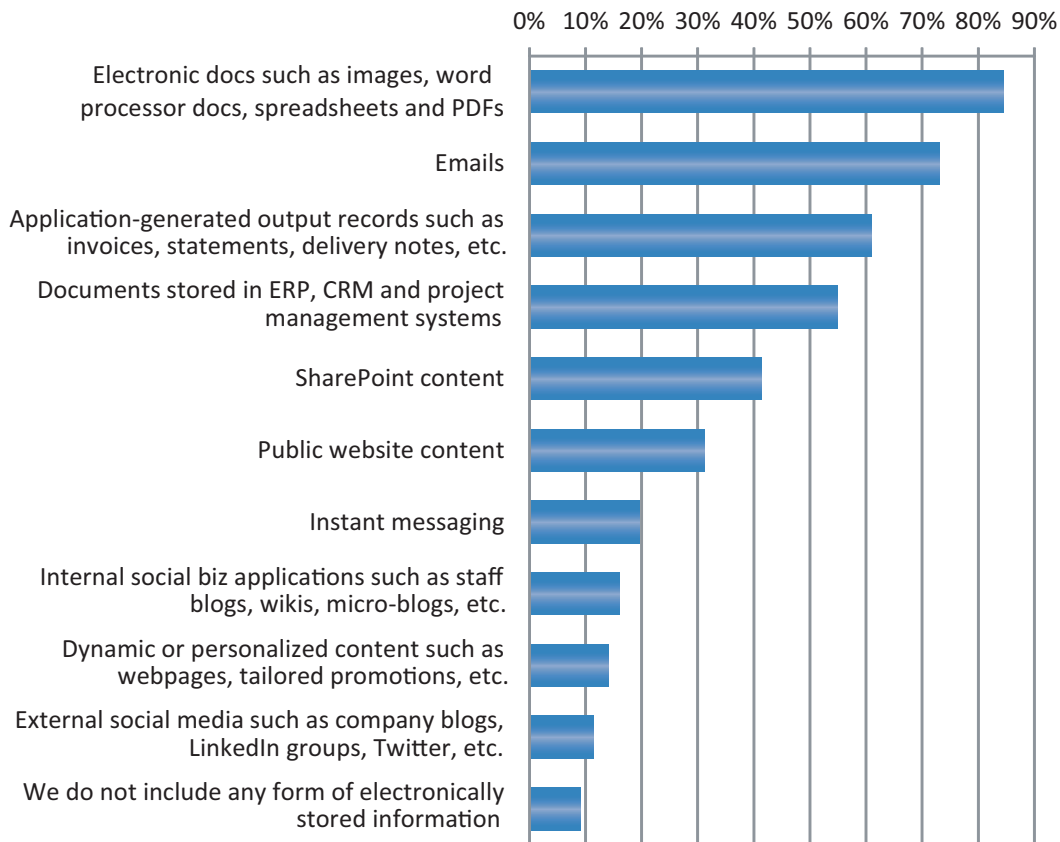
**Figure 2: How well are these aspects of your electronic records-keeping aligned with your paper records-keeping practices? (N=508)**



These results show that in approximately half of the organizations surveyed there is still considerable inequality between the practices applied to paper records, and those applied to electronic records and, of course, that some organizations have large gaps in their policies for both. Of most interest here is the fact that most organizations do have policies on retention periods, and that along with legal hold, these are the most likely to be aligned between electronic and paper. However, when it comes to the implementation of deletion or destruction of records after the retention period, the number of organizations with alignment drops by nearly half, indicating that deletion of electronic records is not taking place as per the policies.

Of course, although most organizations have retention policies, they are not always applied as widely as they could be across different types of content.

**Figure 3: Which of the following types of electronic content do you include in your retention policies and RM processes? (N=505)**



Email was at one time widely considered to be transient or conversational and therefore not recorded, but now is treated (selectively) as a record by 73%. Most organizations record application-generated output, but very few record dynamic or personalized content. In some organizations collaborative SharePoint content is considered transient, but in most it very quickly builds up, and a records and retention policy of some form becomes essential. Instant messaging is also considered transient by most, but can be implicated in breaches of acceptable use and insider malpractice.

While retention periods are widely set for both paper and electronic records, they are much less likely to be implemented for electronic records

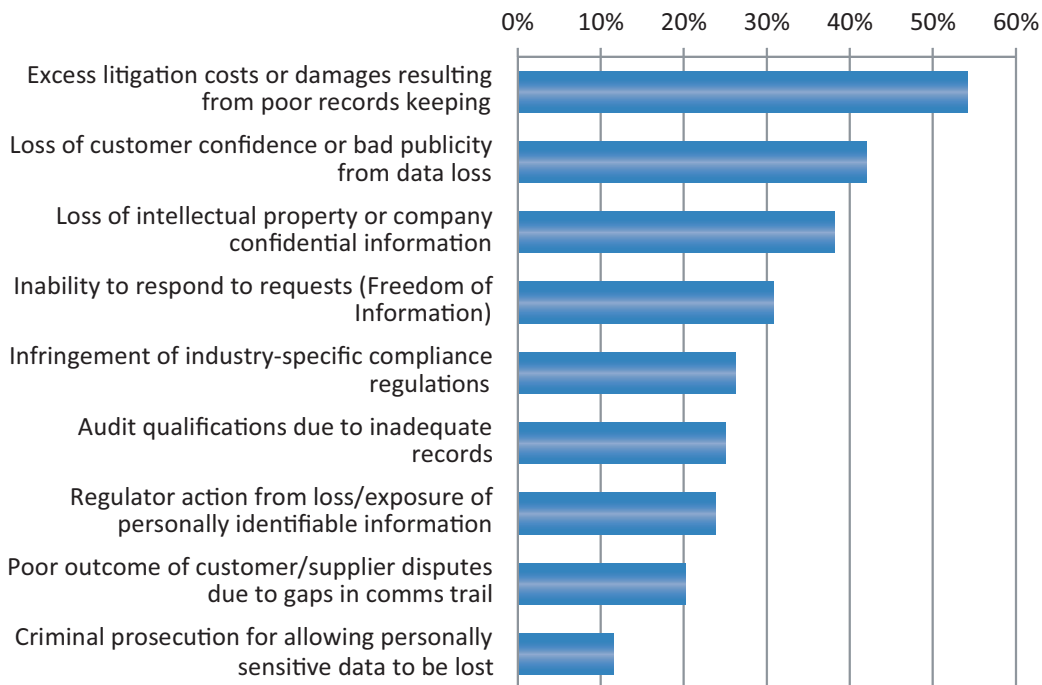
## Risks and Rewards

For many years the argument has raged as to whether records management and information governance has a “positive benefit” in terms of sharing knowledge and making it more accessible, or whether it is merely a “negative benefit,” avoiding compliance risks and litigation costs. In this survey, rather than pitch these two against each other in the same question, we have split the discussion into risks and rewards.

## Risks

Before looking in detail at Figure 4, we should perhaps point out that most of these risks apply to most organizations, but respondents were asked to pick the three most significant for their organizations.

*Figure 4: Which of the following do you consider to be the three biggest risks to your company from a failure of information governance? (N=500)*

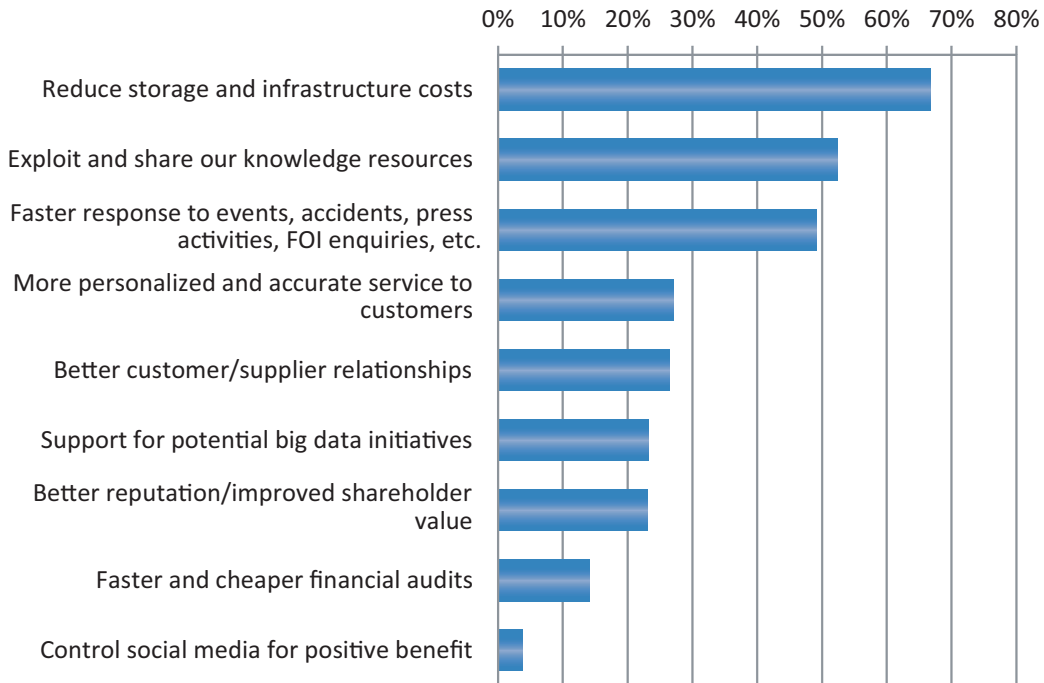


Excess litigation costs are clearly seen as the biggest risk of a failure of information governance, and we will explore this in more detail later. Since information governance also includes protecting confidential and customer-related data, the bad publicity and loss of customer confidence from a data leak is also of considerable consequence. As we have seen in recent cases such as Sony, a security breach can damage a carefully created brand identity almost overnight, and organizations can incur significant fines from data regulators – or in some regions, a criminal prosecution. Loss of a company’s own intellectual property can, of course, be hugely damaging, and the inability to respond to Freedom of Information (FOI) requests can incur fines from government sector regulators.

## Rewards

For many, many years, the arguments for scanning paper records to reduce physical office costs have been well rehearsed. However, as organizations have become deluged with more and more electronic content, the issue of retention and deletion has come to the fore in order to put some restraint on the seemingly exponential growth in disc storage. In Figure 5 we can see that this is now considered to be the key benefit of good information governance, pushing the ability to exploit and share knowledge resources into second place.

Figure 5: Which three of the following do you consider to be the biggest benefits to your company from good information governance? (N=506)



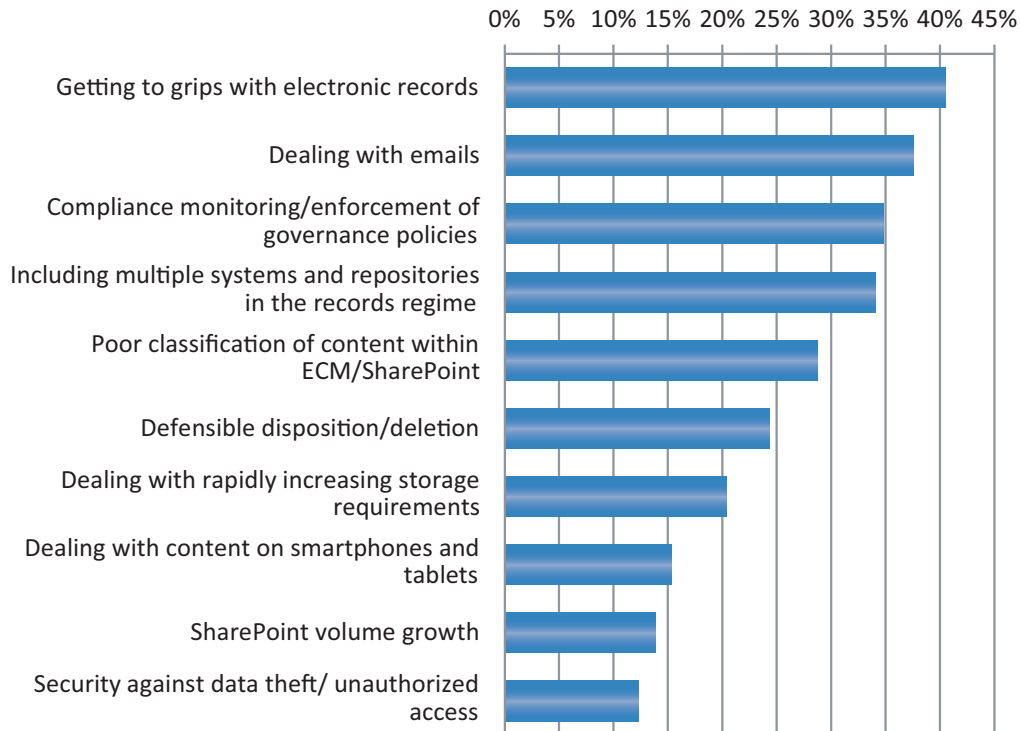
Faster and more agile response to a wide range of events such as bad weather, accidents, press activities, FOI enquiries, social media storms, and so on, is also a clear benefit of the ready access to electronic records on an enterprise-wide basis, including mobile and remote connections.

We then see a customer service element, which is particularly true for financial and utility organizations, where many years of acquisitions and mergers have created potential disruption of customer records. These organizations are also more likely to look to personalizing their offers, and are at the forefront of big data analytics to forecast trends and opportunities based on the aggregate of their stored records content.

### Concerns

As the custodians of corporate information, records managers and IT managers are the most likely to know where their organization’s vulnerabilities lie, and these are likely to be reflected in their concerns and immediate priorities.

Figure 6: Which three of the following are giving you the biggest cause for concern right now? (Max THREE) (N=457)



Given the mismatch indicated earlier between electronic records policies and those for paper records, it is no surprise that getting to grips with electronic records figures highly, with emails being of particular concern. Even with policies in place, monitoring and enforcement is clearly of concern for many of our respondents, especially across multiple repositories and other enterprise systems. Then comes poor classification of content in ECM systems, and particularly SharePoint, and this is leading the move towards automated classification and tagging. Defensible deletion and dealing with increasing storage requirements come next.

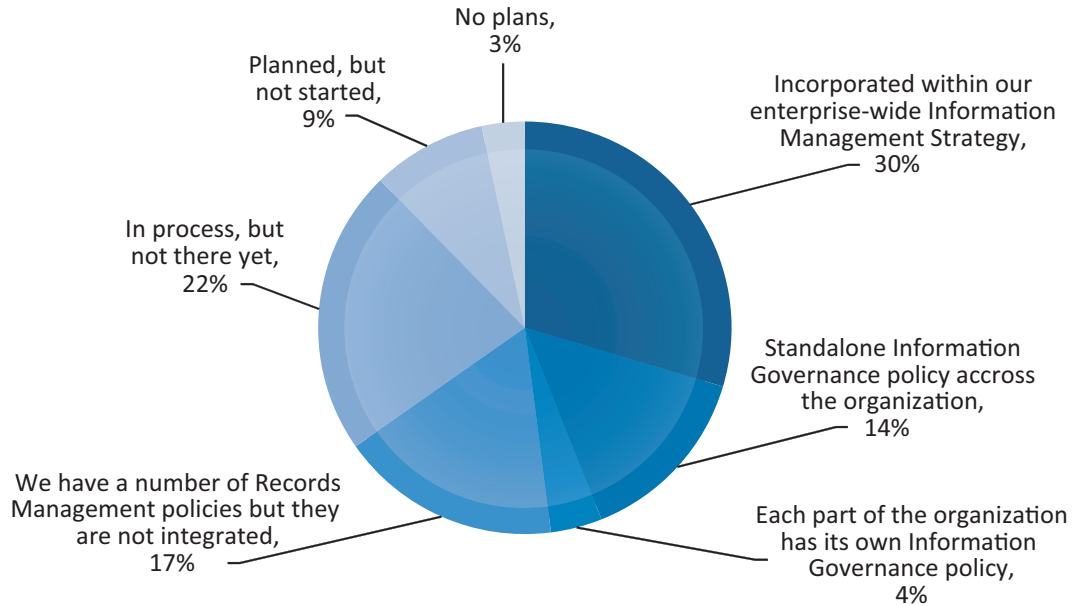
Off the radar in Figure 6, and perhaps victims of the “three options” limit, are the implications of company contributions to social sites, and unofficial use of cloud-based sharing sites. Both issues figure strongly in other AIIM surveys, but are secondary for many in the day-to-day fight to stay compliant for core records.

The biggest risk from poor information governance is considered to be increased litigation costs and damages. Reduction in storage costs is considered to be the biggest benefit – followed closely by exploitation and sharing of knowledge resources, and faster response to events.

## Governance Policies

Corporate policies for managing records and protecting information may be included as part of an overall Information Management Strategy, or they may stand alone within an Information Governance Policy. Many organizations are working to achieve a uniform policy across the enterprise, but as we will see, this can be something of a struggle, not least because of the different privacy laws and legal mechanisms in different countries.

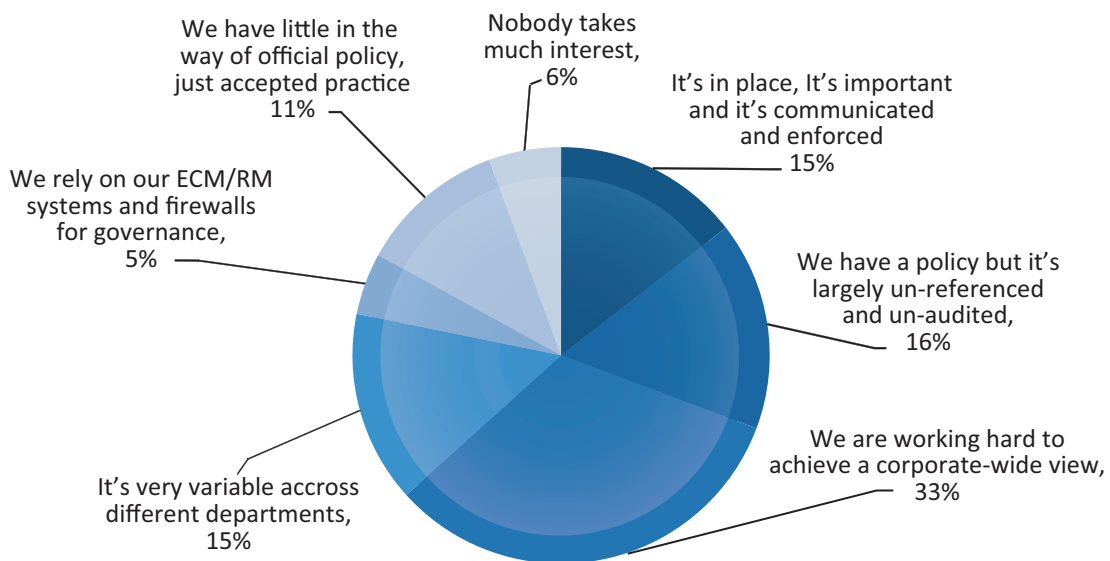
Figure 7: How is your organization dealing with information governance policies? (N=464)



As one might expect, progress varies but 44% have some level of enterprise-wide policy in place, and 21% have multiple, non-integrated policies. Results are fairly consistent across different sizes of organization although mid-sized organizations seem to struggle the most, with 25% reporting to be in-process but not there yet. 18% of smaller organizations have no policies or plans.

However, simply having a policy in place does not ensure that good information governance occurs. Half of those with a policy admit that it is largely un-referenced and un-audited. At the bottom of the scale, 22% are not taking this seriously, relying on accepted practice or hiding behind their systems for protection. Overall, 48% could be considered to be working hard to achieve enterprise-wide conformance.

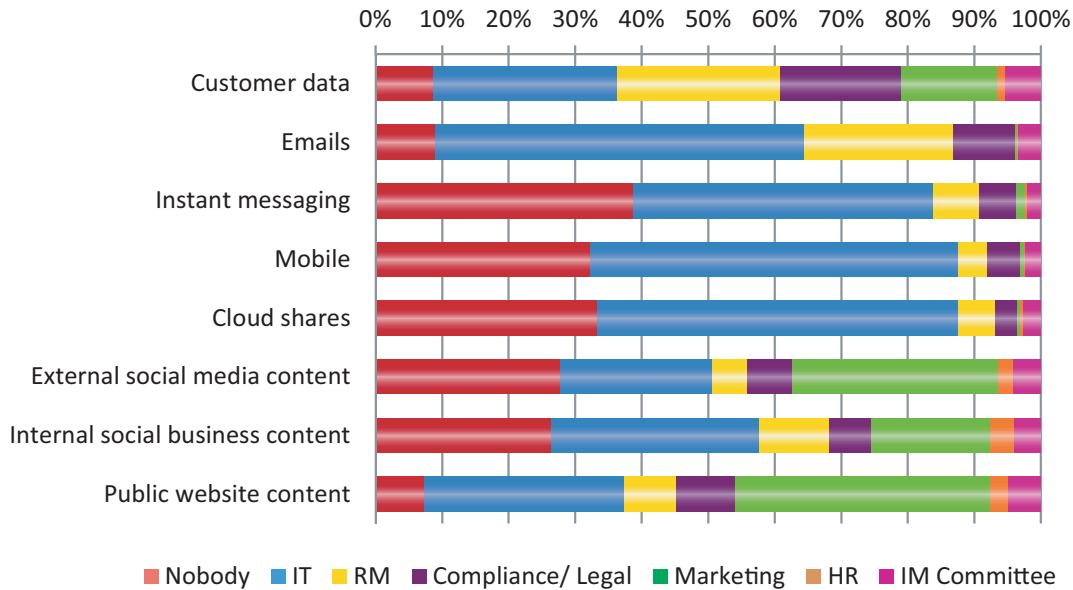
Figure 8: Which of the following do you think best describes the way that information governance policy is regarded in your organization? (N=463)



## Responsibility

An information governance policy will set responsibilities for ensuring that different information types are governed, and best practice would suggest that an information governance committee should be established to monitor and police the policy. Only 5% of organizations work this way. We did ask if information governance has been discussed at board level in the last two years, and 46% said Yes, with only 13% saying No, and an understandable 41% of Don't Knows.

Figure 9: Who in your organization takes responsibility for governance of the following information types? (N=458)



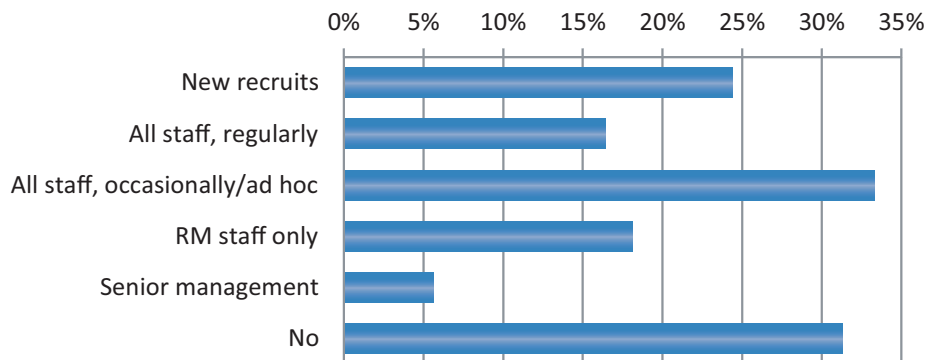
Governance of customer data is mandated in most countries by data protection acts, but as we can see, responsibility for ensuring compliance is equally likely to be IT, Records Management, Compliance/Legal or Marketing. IT are mostly responsible for emails, and almost universally responsible for IM, Mobile, and cloud shares – although in a third of organizations, no one is allocated this responsibility. Governance of external social business content and websites is as likely to fall to marketing, with HR taking surprisingly little interest in managing internal social business content.

## Training

This spread of responsibilities somewhat begs the question of how well trained those outside of the records or compliance departments are to deal with the compliance aspect of many of these content types, rather than merely the technical aspects.

On the broader topic of training staff to observe the approved policies, the picture is disappointing. Only 24% train new recruits on their governance policies and only 16% regularly train all staff. 18% only train their records management staff and 31% do no information governance training at all.

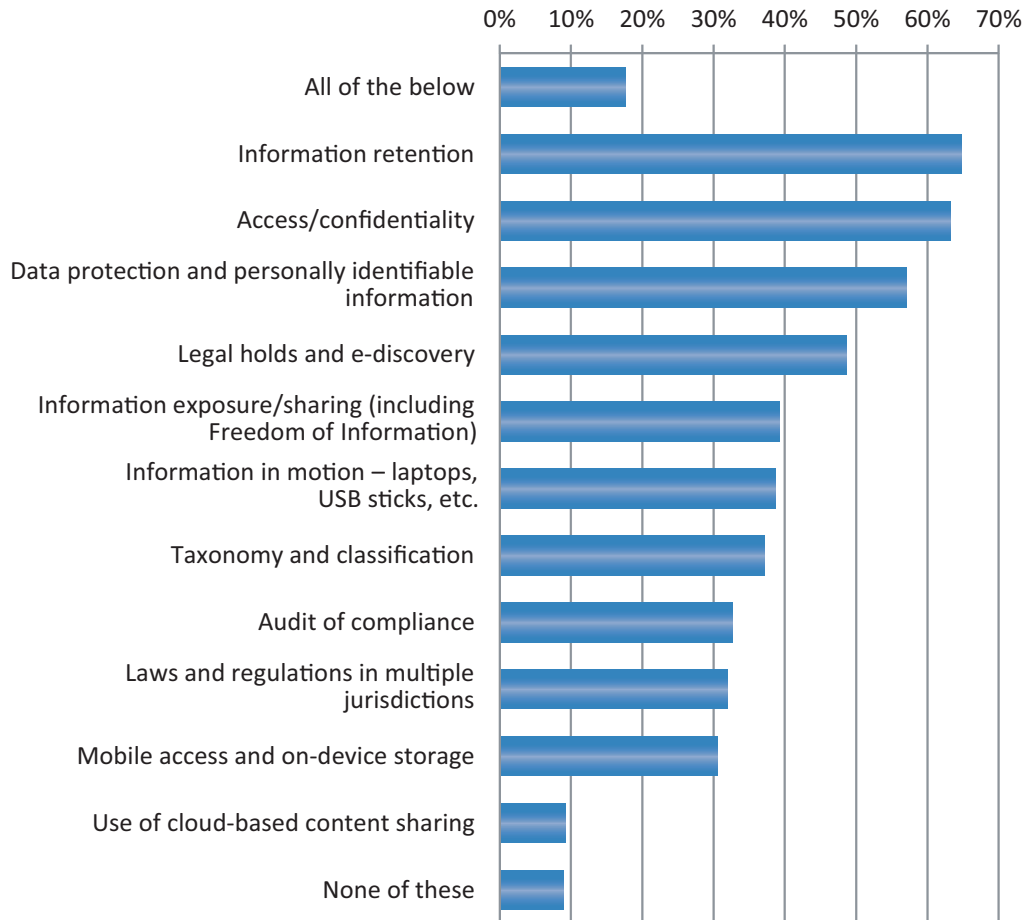
Figure 10: Do you allocate specific staff training-time to information governance? (Check those that apply) (N=463)



## Scope

For many organizations, the scope of their information governance policy would seem to be somewhat behind the reality of current issues, emphasizing the need for it to be a living document that is reviewed and updated annually or bi-annually.

**Figure 11: Which of the following elements are included in your information governance policy? (Check all that apply) (N=455)**



Only 18% have a sufficiently comprehensive policy that covers all of these areas. Taking these into account, over 80% in total have included information retention and access restrictions in their policy. While 75% include data protection of personally identifiable information, this is likely to be a legal requirement for almost any organization that keeps personnel records of employees. Only 57% are dealing with "information in motion" i.e. laptops, USB sticks, etc. Only 49% have a policy on mobile access and only 27% are covering cloud-based file shares.

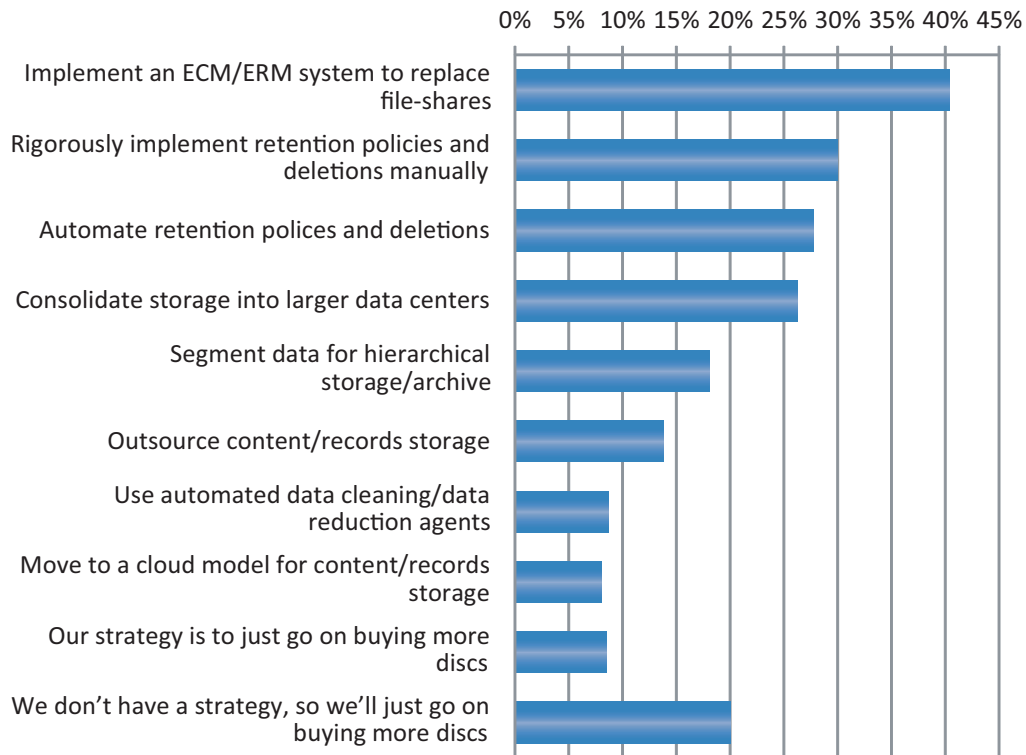
Most organizations are making progress on setting an information governance policy, but there are a number of shortcomings in the scope, and we have identified a huge gap between having an approved policy on the shelf, and having trained and informed staff who work to the policies every day.

## Content Storage and Retention

It has been well documented elsewhere that an increasing proportion of the IT budget in most organizations is merely paying to maintain the infrastructure; to keep up with storage, security and upgrade needs. In our survey, three quarters of the respondents felt that 75% or more of their budget was not adding any new value to the business. For a third it is 90% of IT spend that adds no new value. These numbers are remarkably consistent across different sizes of organizations. Picking up on the storage aspect of this dilemma, we asked what strategies were being followed to manage the increase in storage volumes and costs.

In a third of organizations, only 10% of the IT budget is adding new value to the business.

**Figure 12: Which of the following strategies have you adopted to deal with the cost of rapidly increasing information volumes? (Check all that apply) (N=411)**



It is good to see that further roll-out of ECM and RM systems is considered the most significant part of the storage reduction strategy, and, of course, it is much harder to apply retention policies to content which is not managed by such a system. While manual enforcement of deletion should not be so difficult, 28% would like to automate this process so that no one person is called upon to press the “Confirm Delete” button.

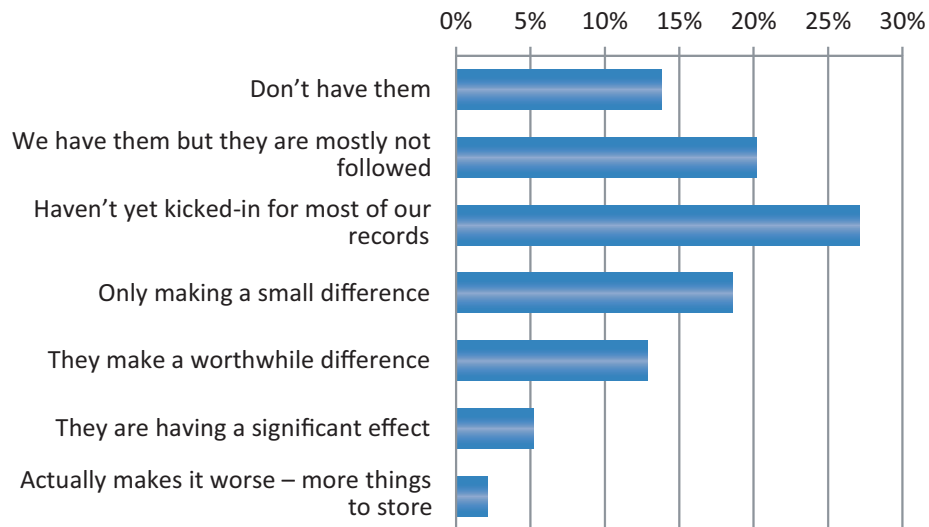
Storage consolidation, hierarchical segmentation and outsourcing are listed ahead of automated data-cleaning and data reduction agents, which is surprising. Many people see these products as pre-migration tools used to clean up and de-duplicate data before moving it to another system, but many of the products are also able to retrospectively apply or update metadata based on specific business rules, which then allows the retention system to come into play.

There is some desperation at the bottom of the table, with 29% expecting to just go on buying more discs, including 9% who have actually made that their strategy.

### Is It Working?

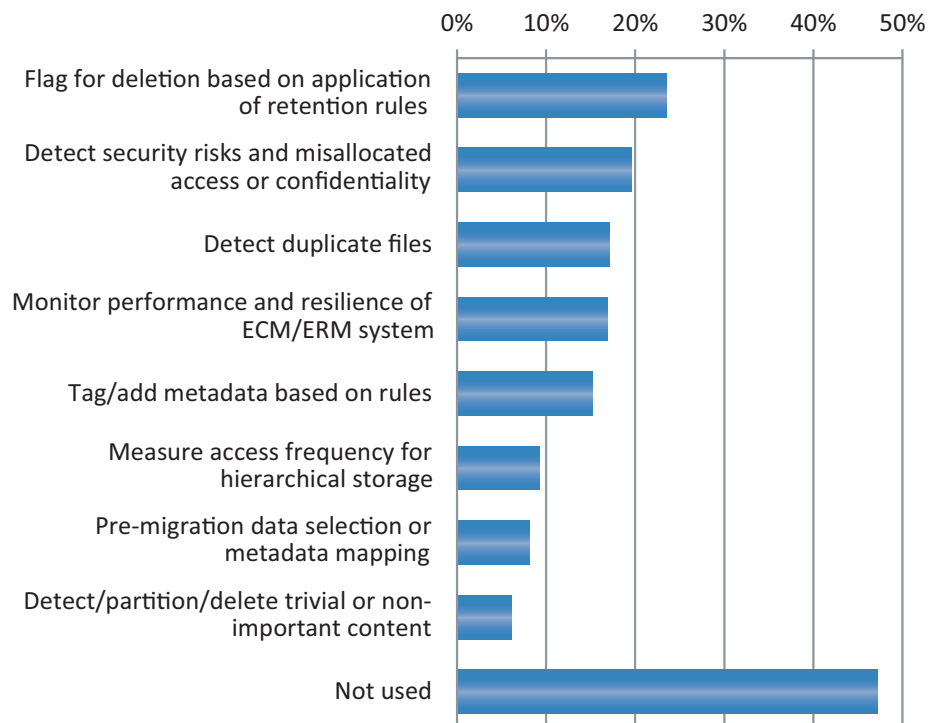
There are two key issues here. Firstly, if retention periods are not being enforced or implemented, then there will be no reduction in storage volumes. Secondly, many document record types have retention periods that start at 6 years, so only content archived more than six years ago (~2007) will be coming up for deletion, and many systems have not been in place that long. As we see in Figure 12, 29% of organizations are waiting for their retention periods to kick-in. Of course an implication here is that if you continue to delay starting a records management project, you face a long wait until it can help with your storage issues – and this would apply to the 14% who don't have retention policies, and to some extent to the 20% who have them but are not following them. The good news is that of those who have enforced policies, 27% are seeing worthwhile or significant reductions.

Figure 13: To what extent are your data retention policies reducing your storage requirements? (N=420)



Returning to the topic of automated agents, we found that of the 53% of organizations that are using them in some form or other, half are using them to flag deletion candidates and 36% to detect duplicate files. Security enforcement is another popular application (51%), and 36% monitor the efficiency and response speeds of their ECM system or SharePoint systems using agents.

Figure 14: Do you use any automated agents to perform any of the following functions: (N=409)



We did actually ask the users of automated agents how much their use has reduced storage requirements or costs, but received very variable results with a third achieving reductions of 5% or less, a third achieving between 5% and 20% reduction, and a third achieving 25% to 80% reductions. Given the cost of data centers compared to the cost of the agent software, it seems likely that many users could achieve a very rapid ROI from these products.

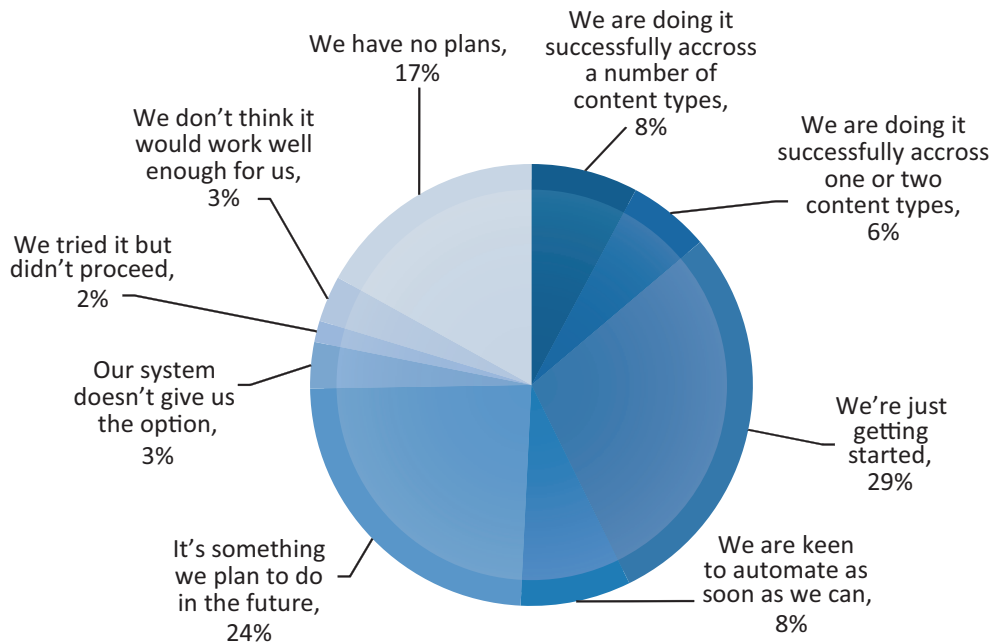
Of those organizations that set retention periods and enforce them, 44% consider that the associated storage cost reductions have yet to kick in, but 27% are seeing “worthwhile” or “significant” reduction already.

## Automated Classification

In this report we have already alluded to automated classification, and it does seem to be a concept that has come of age. Many early implementations of ECM and ERM struggled due to the reluctance of employees to tag content with keywords, or file it with the appropriate classification. Equally, many search and e-discovery issues have cropped up due to poor classification and misfiling. Full-text search can help, and is much easier with electronic documents than with scanned images, but it tends to return too much indiscriminate content.

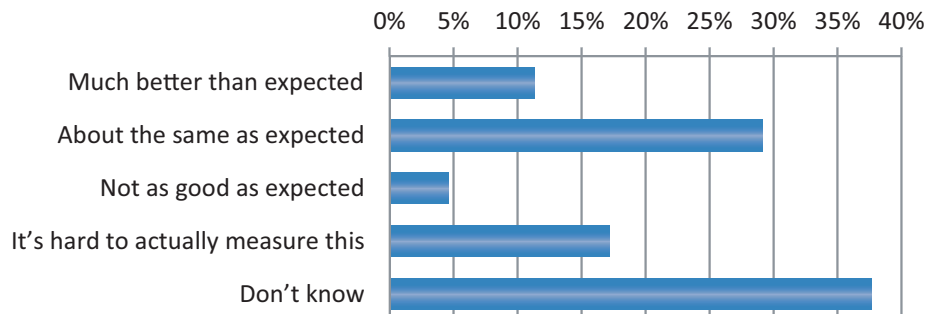
Given the current sophistication of rules-based techniques, and the speed of processing across large amounts of content, auto-classification has reached the stage where it produces better results than manual tagging. It can be used at the point where documents are saved, or as a post-process cleanup - almost as a big data application. Although only 14% of organizations are actively on-stream with auto-classification, 29% are just now getting started, and 32% express a strong wish to do so; in total 65% wish to go down this path.

**Figure 15: How would you best describe your overall plans for automated declaration/classification of records? (N=420)**



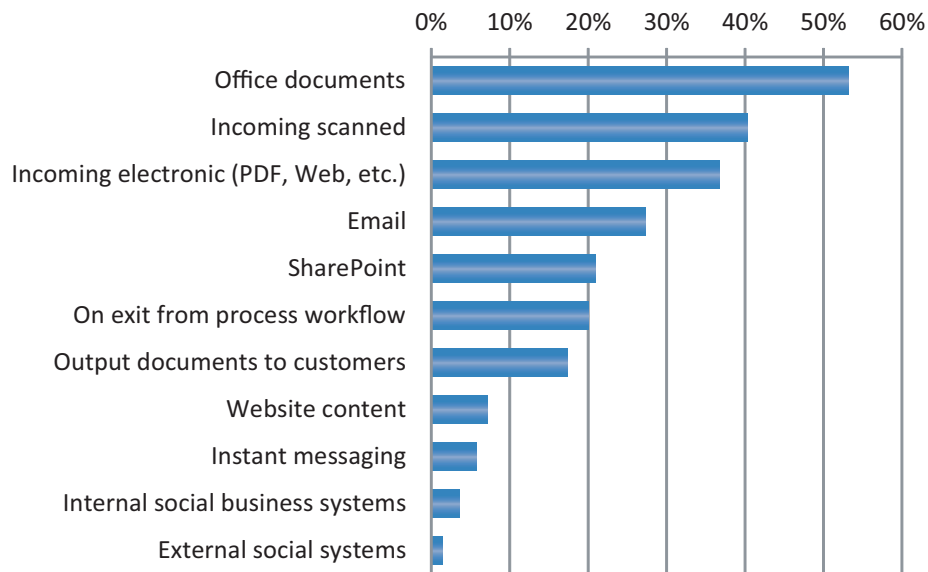
When it comes to the accuracy of automated declaration or classification, most users are finding it the same or better than expected, albeit that many find it difficult to measure, and there is a high percentage of those who simply don't know.

**Figure 16: How would you describe the accuracy of automated declaration/ classification that you are achieving? (N=151 using automated classification)**



In many ways, email is the poster-boy for automated classification. Persuading staff to sift and file their emails is notoriously difficult, and we are already familiar with the ability of parsing- agents to decide which of our emails are spam, and which are not, based largely on the content, so an extension to records filing is easy to accept. Having said that, in the survey office documents, scanned images and incoming PDFs seem to be the most immediate candidates.

**Figure 17: Are you using automated declaration/classification for the following record content types? (N=105)**



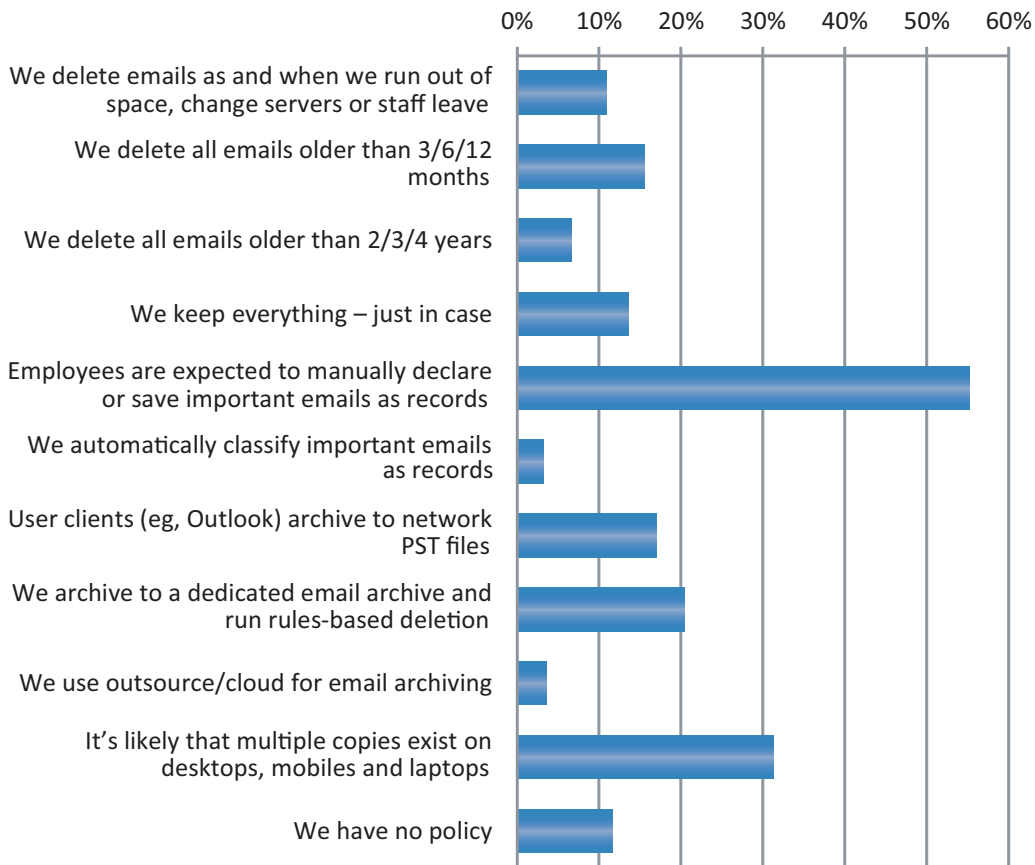
Automated classification seems to have come of age, with a large majority of organizations keen to get started with it. Those that have tried it are happy with the results.

## Emails and Social

When AIIM researched email management in 2009<sup>3</sup> we found a very confused picture. At that time some were still taking the view that emails were transient and had no place as part of the “official record” (despite the 2006 FRCP ruling in the US regarding Electronically Stored Information - ESI). Since then, many high profile cases, both civil and criminal, have been settled largely on the basis of email evidence. However, the strategies that organizations are choosing to deal with this issue are still somewhat confused.

Expecting employees to be diligent and make their own decisions on which emails to archive and where to archive them seems to still be the prevalent view (55%). Only 3% are using auto-classification in this context, and it may be that records managers are very wary of swamping their RM systems with poorly catalogued emails. There are still those who insist on rigid deletion after fixed time periods (23%) and those who keep everything (14%). One aspect that seems to have changed is that 20% of organizations (rising to 27% of the largest) now use a dedicated email archive with some degree of automated deletion.

Figure 18: Which of the following apply to your organization's overall philosophy regarding email? (N=412)

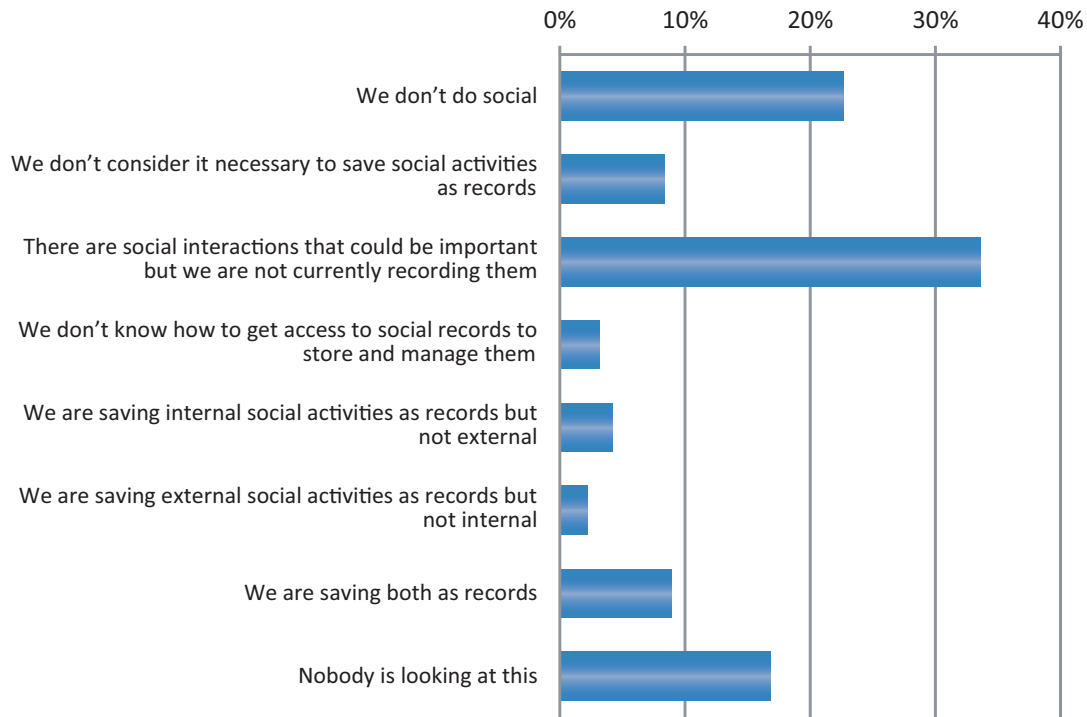


When compared to 2009, one thing that has improved is that most organizations do actually have a policy, although we have noticed that the arrival of “bottomless mailboxes” in Exchange 2010 and Exchange 365 seems to have created some confusion with technical people: a personal mailbox, no matter how large, is not an archive, and does little for searchability and sharing of email information.

### Social

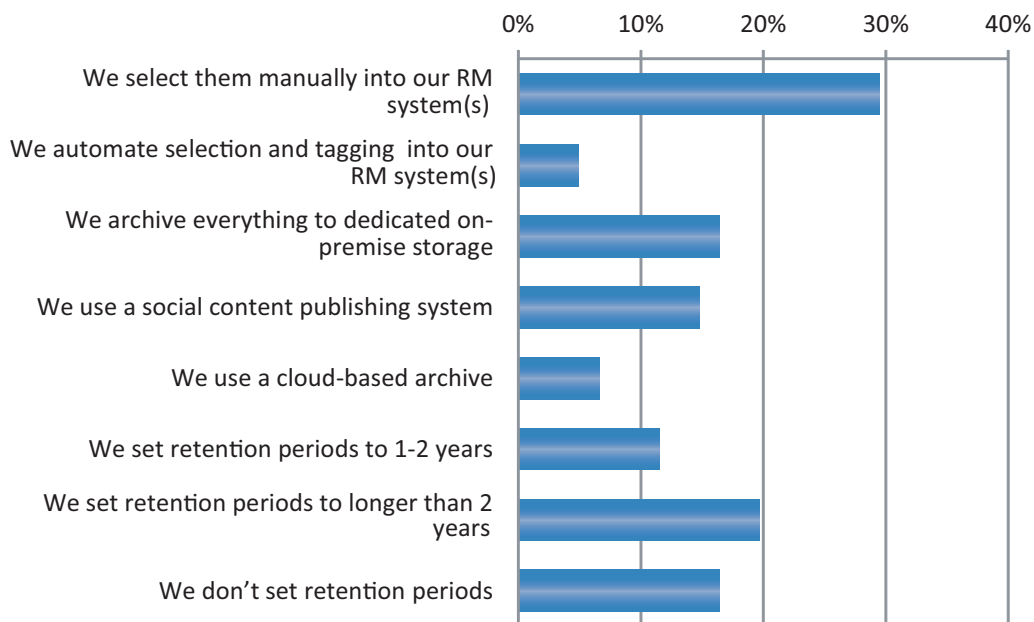
The dilemma for records managers regarding content published on internal or external social platforms is that: there is a lot of it, it's hard to grab hold of, and there are more pressing problems to solve. However, 37% realize that there are social interactions that could be important that are not currently being saved or archived.

Figure 19: How would you best describe your organization's overall philosophy regarding social content? (N=405)



Of those 15% who are saving social content to their RM system, a third are manually selecting, with only 5% automatically selecting and tagging on entry to the RM system. For the largest organizations, 20% are saving social content, with 10% using auto-tagging. In a similar way to emails, dedicated archives for social content seem to be an inevitable solution, albeit that they create an additional repository for the future and another place to search during e-discovery. Retention periods vary considerably.

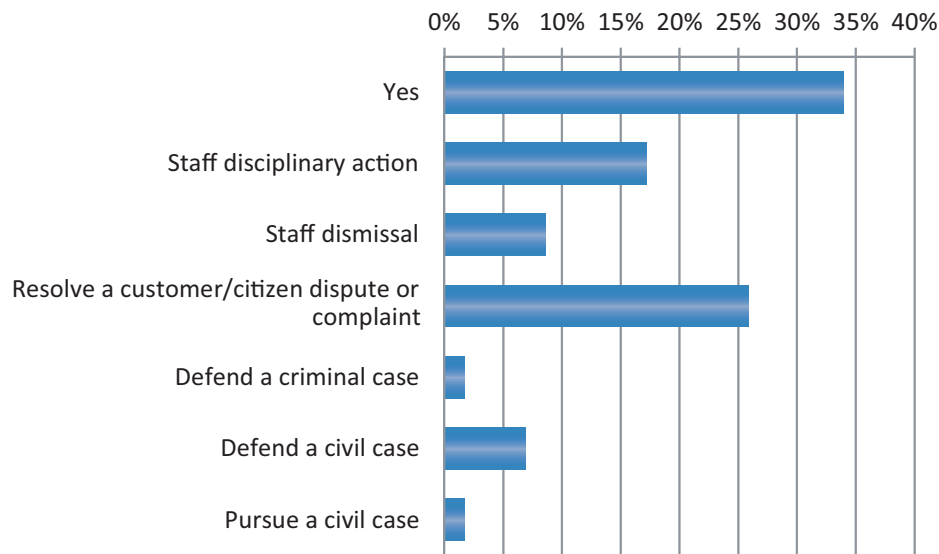
Figure 20: Which of the following apply to your saving of social records? (N=61 saving social as records)



For many companies, embracing social media platforms has required a big decision in terms of balancing the risks and the rewards. We have argued before that if security and acceptable-use are particular issues, then look to the more robust social business platforms rather than forgo the potential benefits altogether. The same could also be said of the need to record social interactions: the risk could be more acceptable than the effort required to do it, and if you are going to do it, then it has to be done in a way that stands up to scrutiny. In this vein, we asked those who

are storing social as records if they have made use of them for any reason. As we can see, 34% have used their social business records and some of these incidents are of a very high profile.

**Figure 21: Have you needed to reference your social media records, and if so, for which of the following? (N=58 saving social as records)**



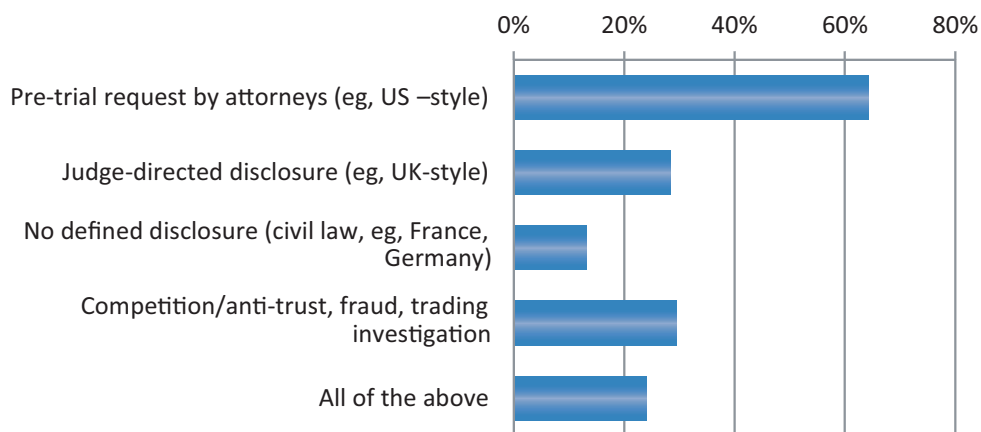
Only 15% of organizations are saving social media records, but of those, 34% have referenced them, mostly to resolve a customer or citizen dispute, but also for staff disciplinary actions (17%), including staff dismissal (9%).

## E-Discovery

### Jurisdictions

The scope, timing and impact of legal discovery regulations vary considerably across different international regions. 59% of organizations in our survey need to deal with multiple jurisdictions. This includes the 25% of non-US operations that sometimes need to comply with US-style pre-trial e-discovery requests. Given that privacy laws also vary considerably between regions, it is no surprise that 18% of organizations have struggled to produce a universal information governance policy.

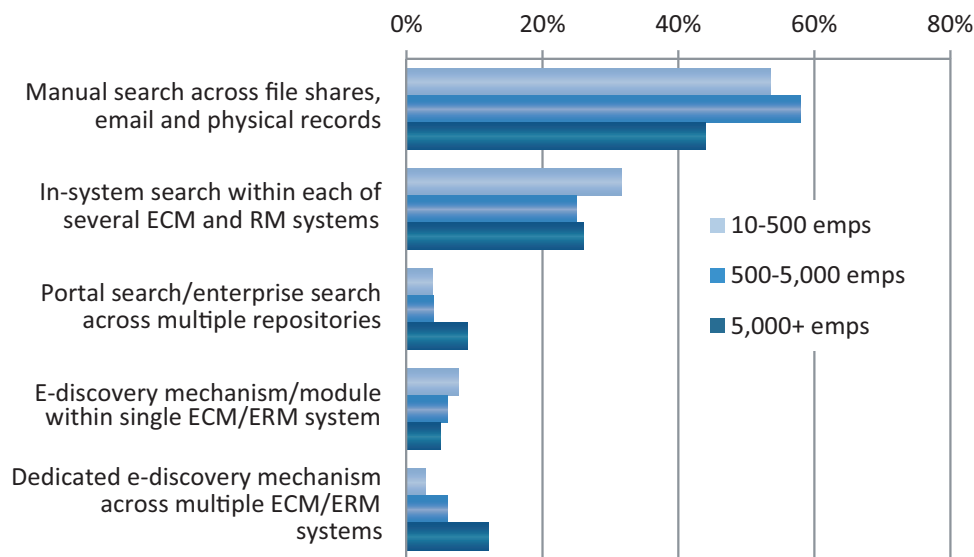
**Figure 22: Which styles of ESI (Electronically Stored Information) disclosures does your organization need to be able deal with? (Check all that apply) (N=403)**



## Mechanisms

Although dedicated e-discovery systems and e-discovery modules for ECM systems have been around for quite a while, the majority of our correspondents still rely on a manual search across file shares, email and physical records – symptomatic of the fact that multiple repositories of live documents, electronic records and paper records exist in most organizations. E-discovery is often used as the justification for investment in enterprise search, and for content portals spanning multiple repositories, but a true e-discovery capability would take things a step further, placing a legal hold on records found, and surfacing them into a review process that facilitates a steadily reducing pipeline. This optimizes the level of legal attention required at each step, greatly reducing costs.

Figure 23: What is your primary e-discovery mechanism? (N=352 excl. 57 Don't Know)



As a reinforcement of this finding, we asked if respondents feel that their organization has a consistent and effective e-discovery mechanism across all of their physical and electronic records. Overall, only 9% have achieved this, but a further 29% are optimistic that they are getting there. Another 24% have plans, but 20% consider the task to be simply “too difficult”. This is surprisingly consistent across different sizes of organization.

Most organizations have a manual e-discovery mechanism with only 9% feeling that they have a consistent and effective system. One-fifth of respondents consider that it would be near impossible to achieve such a capability in their organization.

## Consequences

Organizations are understandably reticent to disclose how often their records and data protection systems fail, or indeed when they help to achieve a legal “win”. Even within the organization, this information may be confidential – as evidenced in the 45% of respondents who were unable (or unwilling) to answer questions in this section.

Figure 24: In the past 3 years, has your organization: (N= ~270, answering Yes or No. Excludes ~120 Don't Knows)

	Overall	10-500 emps	500-5,000 emps	5,000+ emps
Been fined or suffered poor publicity as a result of accidental loss or exposure of customer or staff-sensitive data?	14%	4%	8%	28%
Disciplined or dismissed employees for failure to comply with governance policies?	21%	13%	16%	34%
Had issues with your regulatory authorities or auditors (not court-based) due to lack of complete electronic information?	31%	15%	26%	49%
Had the validity and completeness of your electronic records, email trails or records -keeping policies questioned in court or they have affected the outcome?	18%	8%	13%	29%
Successfully used the defense of procedural records deletion in court to explain un-retained records?	11%	1%	8%	28%

Figure 24 contains a number of “headline” findings. In the last three years:

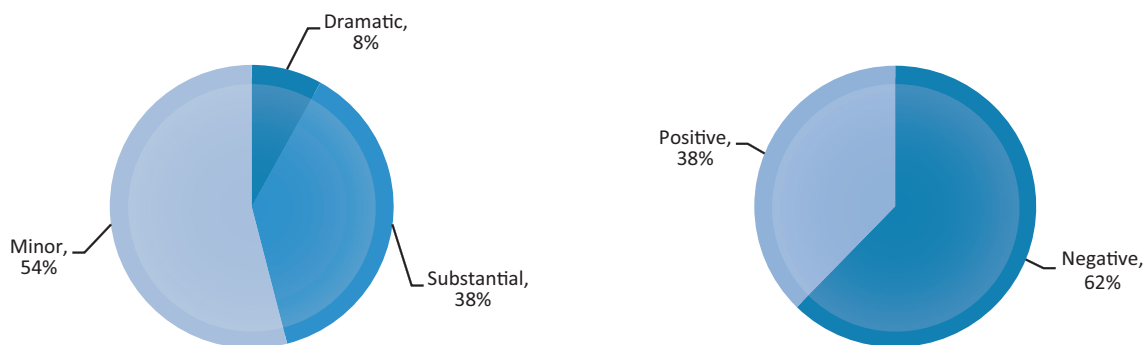
- 14% of organizations have suffered from embarrassing data loss
- 21% have disciplined or dismissed employees for non-compliance with governance policies
- 31% have had issues with their regulators
- 18% have been questioned in court about their records

As might be expected, larger organizations score nearly double in many of these areas with, for example, 28% suffering from embarrassing data loss – an arguably bigger disaster for a large organization or well-known brand than a small one – and nearly half having issues with auditors or regulators..

## Deletion

We see on the bottom row of Figure 24 that 11% overall and 28% of larger organizations have used their procedural policy of planned deletions to justify un-retained records to a court of law. Broadening the question slightly, we asked if un-deleted records (paper or electronic) held beyond their nominal retention period had affected the strength of a court case or potential court case. 17% responded that it had (26% of large organizations), although there was a mixed view as to whether it had generally strengthened or weakened the case – for smaller organizations, it was definitely something that weakened the case. When it comes to the financial impact of cases that hinge around the validity, completeness or retention of records, there was a much stronger view that there is substantial (38%) or even dramatic (8%) financial impact, and in two-thirds of cases that impact would be negative.

**Figure 25: Overall, how would you describe the financial impact (positive or negative) of fines, damages or costs resulting from cases or potential cases which hinged around the validity, completeness or retention of your electronic records? (N = 174, excl. 233 Don't Know or N/A)**

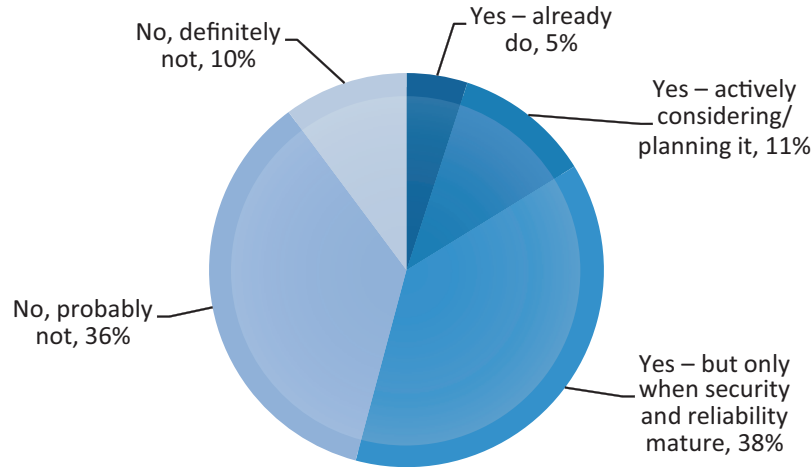


Losing data has been embarrassing or damaging for 14% of organizations, doubling to 28% of large organizations. Not deleting records can cause trouble from fines, damages and costs, with 46% of organizations reporting considerable financial impact.

## Cloud, SaaS and Outsourcing

We have often said that asking records managers to put their records in the cloud is going to really call into question cloud security and reliability. However, as we found in previous Industry Watch surveys<sup>2</sup>, there is a general agreement that most IT applications will inevitably move to the cloud over the next 4-5 years – and also that there are big differences between public clouds, government clouds, outsource clouds and private clouds. However, on the whole we found that 16% would be happy to adopt a cloud or SaaS system for their records, or are already doing so (5%), with a further 38% holding back until they consider security and reliability to have matured.

Figure 26: Would you consider adopting a Cloud/SaaS system for your records? (N=403)



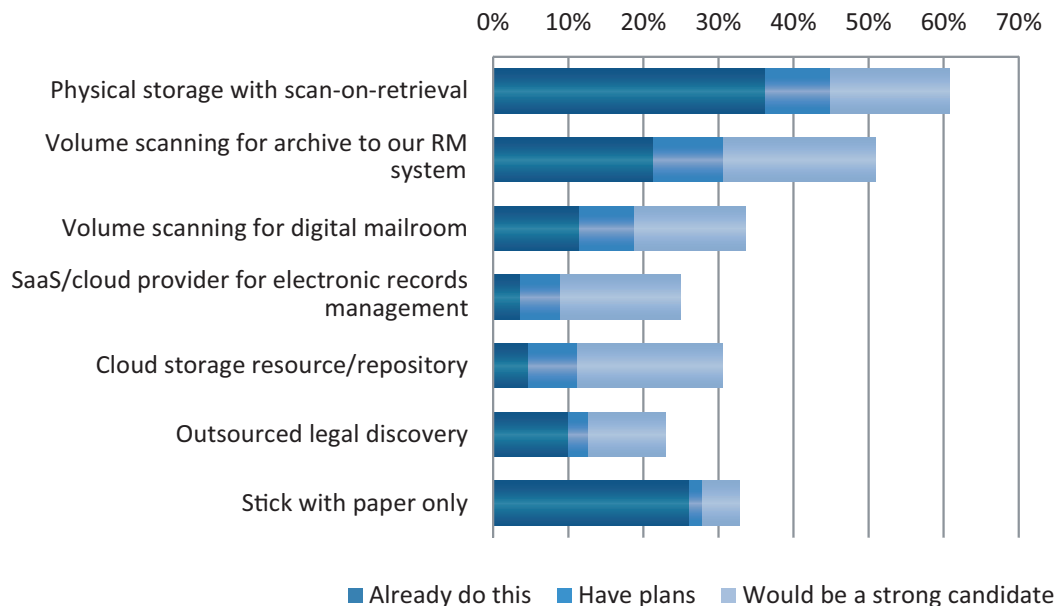
These views are remarkably consistent across different sizes of organization, although as we found in the Cloud report<sup>2</sup>, larger organizations are much more likely to be thinking in terms of private clouds, and the smallest ones in terms of public clouds. If anything, it is the mid-sized organizations that are showing a little more reluctance overall. Looking back to our survey from 2011<sup>1</sup>, the number generally in favor of cloud has gone up from 41% to 54%, and the number already using it has increased from 2% to 5%.

### Outsource

In many ways, the cloud equivalent for physical records is the ever-popular outsourced box-store or document services outsource. Over the years, most organizations have come to trust the fact that their records will not be lost, and that these specialist companies can offer expertise, resource and ever-expanding storage space - all three of which can be hard to find internally. Users are also familiar with the terms of Service Level Agreements (SLAs) with these suppliers. We asked, therefore, how likely respondents are to consider using their existing outsourced supplier for a number of additional services including SaaS or cloud services for managing electronic records – and whether they might take it further and include the outsourcing of their legal discovery requirements.

As we can see if we take Figures 24 and 25 together, security and reliability are key factors in the choice of a cloud supplier, and that as a result over 25% would consider using their existing outsource for cloud and SaaS services. 23% would also consider them for outsourced legal discovery, no doubt to combine the paper and electronic archives within one search exercise, but also to provide an assurance that the process would be carried out in a way that is acceptable to a court.

Figure 27: How does your existing paper-records outsource supplier (box store) fit with your strategy for electronic records storage? (N=340. Line length indicates “Unlikely”)



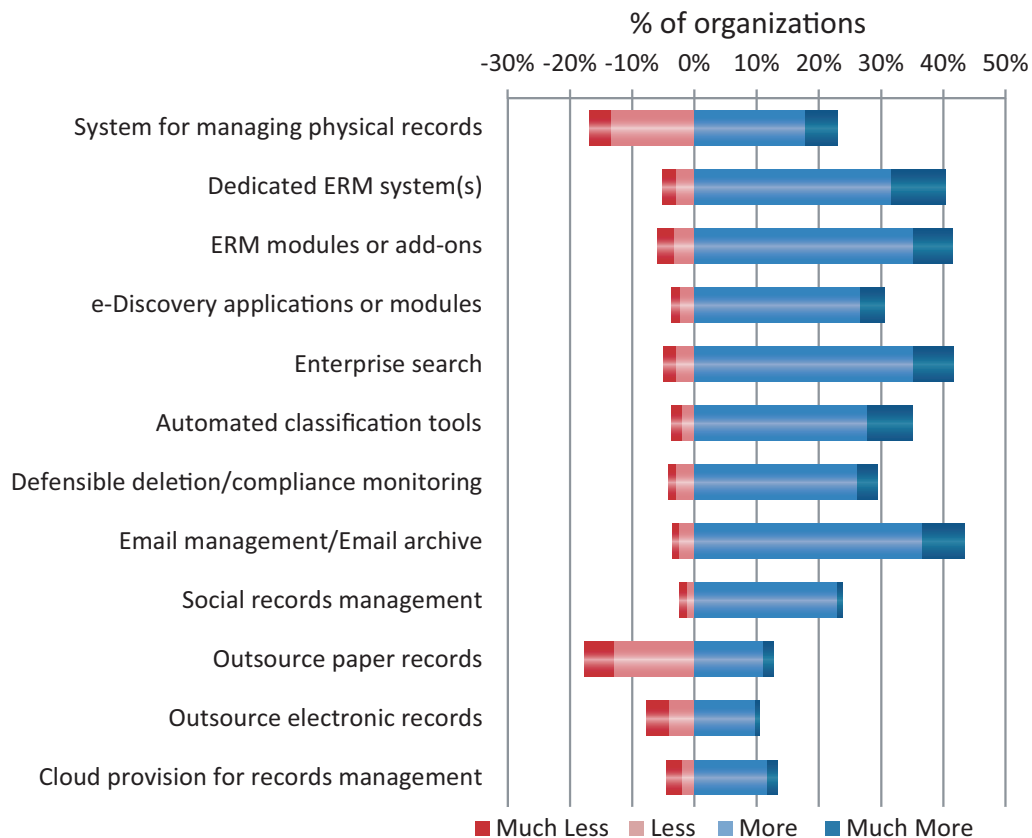
54% of respondents are prepared to put their records in the cloud, but most of these (38%) are waiting for security and reliability to mature. 25% would consider using their paper records outsource to provide cloud or SaaS services.

## Spending Plans

Records management spend has been consistently rising over the past few years. This year we measured 45% of organizations planning to increase their RM budget over the next two years, with just 14% decreasing. This is almost exactly the same as we measured<sup>1</sup> in November 2011.

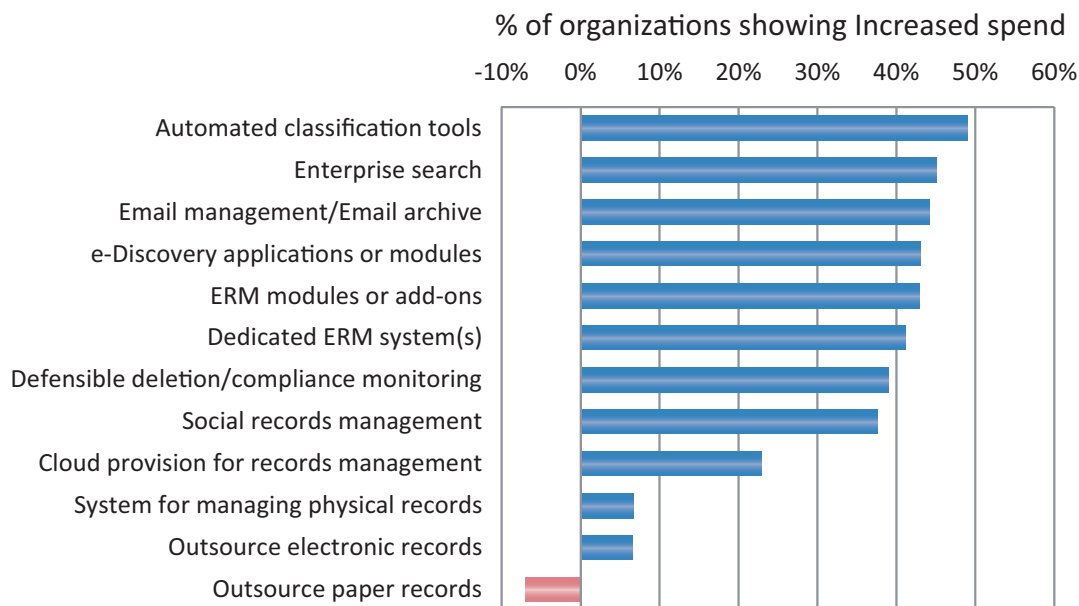
When it comes to specific areas, only physical records management systems and paper records outsource show any sign of declining spend overall. Email management, ERM systems and modules, and enterprise search are the most popular areas for spending.

**Figure 28: What are your spending plans for the following product areas in the next 12 months compared to the last 12 months? (N=399. Line length indicates “We don’t spend anything on this”)**



If we look in Figure 28 at the number of organizations who are increasing their spend compared with those maintaining their current spend, we see that automated classification tools show the greatest growth, along with enterprise search and email archiving – which may also have an element of auto-classification.

**Figure 29: What are your spending plans for the following product areas in the next 12 months compared to the last 12 months? (N=399)**



Budgets for records management continue to increase with 45% of organizations planning to spend more, and only 14% looking to spend less. Automated classification tools, enterprise search and email management are likely to be the biggest growth areas.

## Conclusion and Recommendations

We have seen that progress is being made on the formulation of information governance policies that can be applied across the enterprise, and that investment continues to grow for records and information management systems. We have seen that a key driver is to prevent escalating legal and compliance costs, with a third of organizations taking some degree of impact from poor practices or incomplete records. We have identified that non-alignment of policies for physical records and electronic records is an issue, and that even where an all-encompassing information governance policy exists, non-enforcement is a problem, particularly when it comes to deletion of electronic records that are beyond their retention period.

We have also observed a considerable interest in automated classification mechanisms for use both at the time of record declaration, and as a way to improve the metadata of existing content. This improves searchability and usefulness for big data analytics, but also helps to exploit retention periods as a way to decrease storage volumes. Some users are beginning to experience a reduction in storage volumes from the enforcement of retention periods, but for many the benefits have yet to kick in. Email management is still a major concern for our respondents, and is one of the key areas for the application of automated classification and retention management. Company-relevant interactions on social platforms are recognized as an issue, and a number of organizations are beginning to bring them under records management, but most have yet to take any action.

Interest in cloud storage of records is increasing slowly, and we have identified that existing paper records outsourcers may offer a more reassuring service for cloud and SaaS compared to other suppliers.

### Recommendations

- Look to your existing policies and seek to align your electronic records practices with those that you already have for physical records.
- If you do not have an up-to-date Information Governance Policy that is supported across the enterprise, kick-off a project to create one. Do not consider this to be something for the records management or compliance departments: look to set up an information governance committee with representation from all areas of the business.

- If you already have an Information Governance Policy but it is not being enforced, determine ways to monitor compliance. Look particularly at the implementation of deletion for electronic records beyond their retention period, and see if this can be automated.
- Ensure that new staff and existing staff are fully trained on compliance with the policy.
- Your Information Governance Policy needs to evolve over time to include new media and new content types such as social content.
- Raise the issue of the effect of managed retention on storage volumes. Ask the question, “What if we continue to do nothing?” Consider using automated agents to de-duplicate content and to reallocate metadata. This will assist with retention enforcement.
- Look for automated classification capabilities in your existing systems or future purchases. These can make a big difference to user acceptability and to the accuracy of indexing.
- In particular, consider using auto-classification to deal with your email archiving. Ensure you have clear policies in place, preferably ones that do not rely on individual actions.
- Don’t wait until you need an e-discovery process – you may be given a short time limit. Have processes and mechanisms in place.
- Your outsource paper records provider may be able to offer you cloud or SaaS services that would evolve your records storage methods and provide improved discovery procedures.

## References

1. “Records Management Strategies – plotting the changes” AIIM Industry Watch, December 2011, [www.aiim.org.research](http://www.aiim.org.research)
2. “Content in the Cloud” AIIM Industry Watch, October 2012, [www.aiim.org.research](http://www.aiim.org.research)“
3. “Email Management- the good, the bad and the ugly” AIIM Industry Watch, May 2009, [www.aiim.org.research](http://www.aiim.org.research)



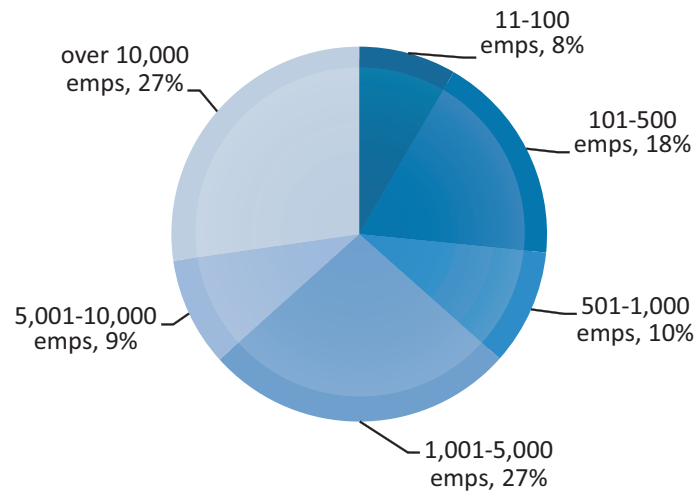
# Appendix 1: Survey Demographics

## Survey Background

548 individual members of the AIIM community took the survey between January 18, and February 11, 2013, using a Web-based tool. Invitations to take the survey were sent via email to a selection of the 65,000 AIIM community members.

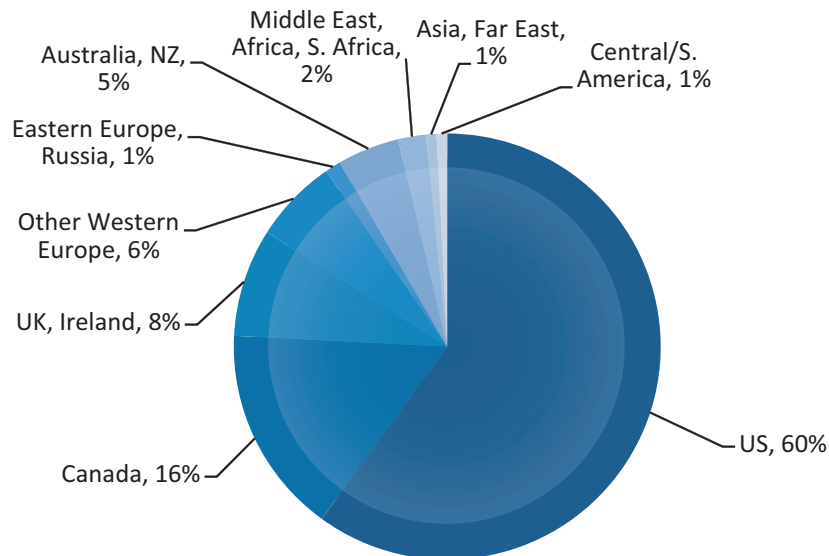
## Organizational Size

Survey respondents represent organizations of all sizes. Larger organizations over 5,000 employees represent 36%, with mid-sized organizations of 500 to 5,000 employees at 37%. Small-to-mid sized organizations with 10 to 500 employees constitute 26%. Respondents (36) from organizations with less than 10 employees or from suppliers of ECM products and services have been eliminated from the results.



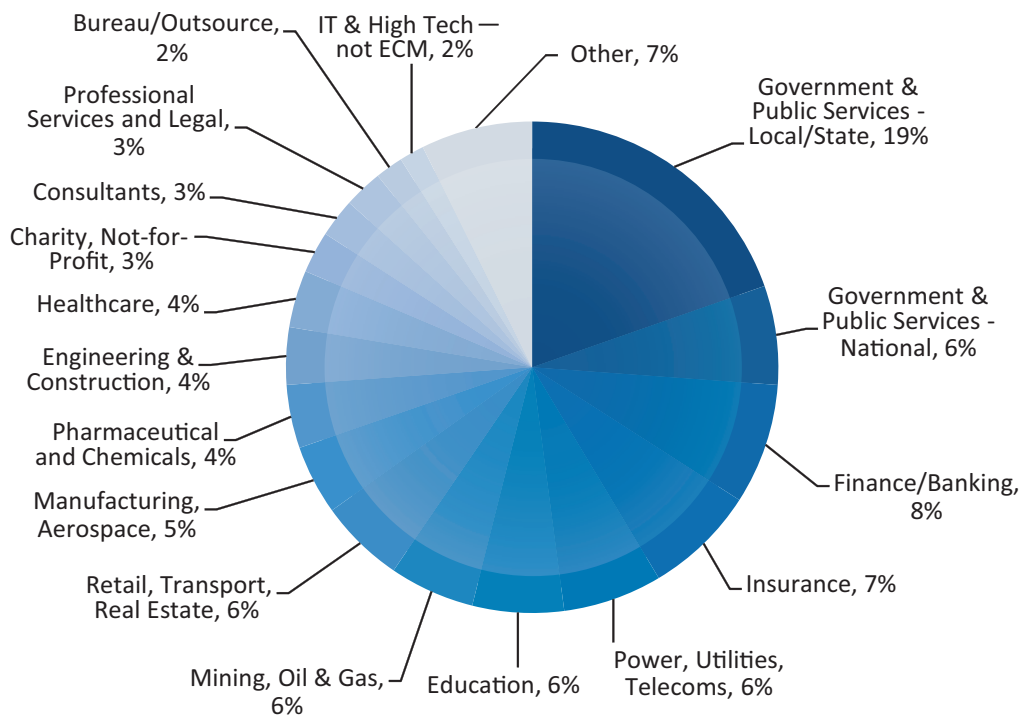
## Geography

76% of the participants are based in North America, with most of the remainder (15%) from Europe.



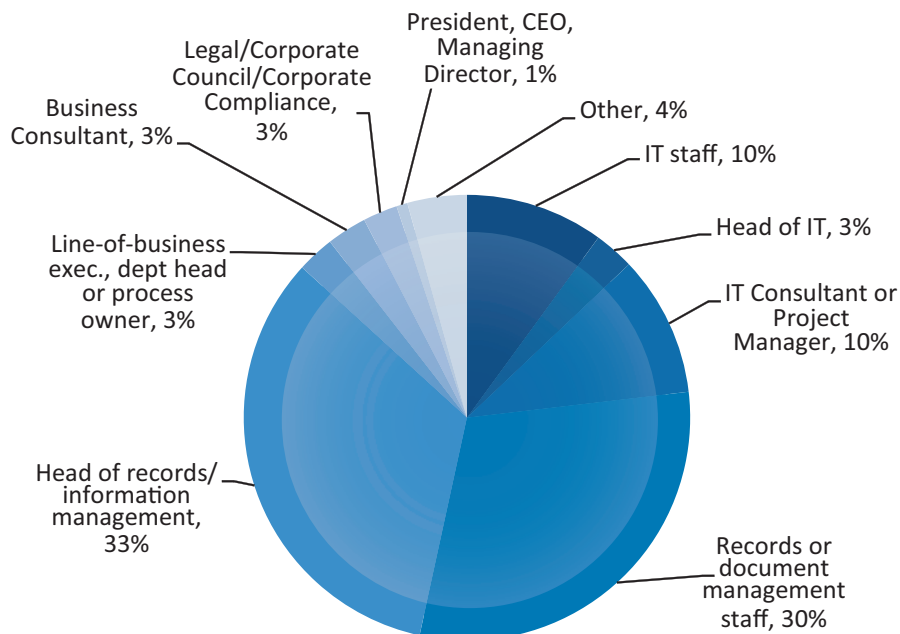
## Industry Sector

Local and National Government together make up 25%, Finance, Banking and Insurance represent 15%. The remaining sectors are fairly evenly split. To avoid bias, suppliers of ECM products and services have been eliminated from all of the results.



## Job Roles

23% of respondents are from IT, 63% have a records management or information management role, plus 3% from legal or corporate compliance. 7% are line-of-business managers.



## Appendix 2

Do you have any general comments to make about information governance in your organization? (Selective)

- I feel we do a very good job with our records management and information governance program.
- Our records management situation is one that has gotten completely out of control. We've only been lucky thus far, that we have not been sued.
- Our paper records are more reliably managed than our electronic ones.
- As large and federal government-connected as my company is, our official records management and retention policies, and even more importantly, the actual practices, are so higgledy-piggledy that we are an international disaster waiting to happen.
- Our cloud platform already does much of what is outlined here and all in one system. It's nice.
- Our employees and executives believe that the Record Schedule is only for paper records although it clearly indicates it is for both paper and electronic.
- We have begun the process to formalize the inclusion of electronic records into our retention schedules and integrate them with the paper records requirements.
- We have no way to manage electronic records - employees are expected to manage their electronic records in accordance with our RM retention policies but there are no controls in place to ensure it is done.
- It's been a hell of a job so far...still sifting through unearthed repositories.
- I have been with my current organization only for a short amount of time and everything is on legal hold.
- There is a general willingness to accept these risks as opposed to dedicating the funds and resources to improving the situation.
- We have a RM program that includes electronic records and we train but it will take us years and years to actually get into compliance with our policy.
- I don't believe enough businesses yet realize that physical and electronic records must be consistently managed in the same manner.

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A recognized innovator in enterprise IT and business software solutions, ASG Software Solutions has been optimizing 85 percent of the world's most complex IT organizations for over 25 years. We create and deploy unique software solutions that reduce cost, mitigate risk and improve service delivery throughout the IT lifecycle. ASG's comprehensive solutions help you solve today's challenges, such as cloud computing and big data, while driving your business forward by providing insight and control across cloud, distributed and mainframe environments.

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- **ASG-Total Content Integrator™**, which provides a unified, federated, content aggregation and integration technology for transparent search, discovery and presentation of electronic documents, records and other content anywhere in the enterprise.
- **ASG-Records Manager™**, which facilitates the automatic capture, classification and disposition of electronic transactional records in high-volume environments according to varied information
- **ASG-WorkflowDirect®**, incorporates process automation for integrating content with business processes, people and computer systems, while coordinating, managing, automating, and measuring content-centric processes independent of underlying applications.

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- **Get up and running** - Move your files to SharePoint quickly and safely. If you're already using SharePoint, we can help you simplify migrations across versions.
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- **Take control** - Enforce SharePoint governance and security, on-premise and in the cloud. Automatically run your environment according to your governance plan — from permissions to storage to application use.

Axceler's award-winning solutions include:

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- **ControlPoint for Office365 Administration:** Manage your SharePoint Online environment in the cloud, on-premise or both
- **ControlPoint for SharePoint Migration:** Lower the cost and shorten the time of your SharePoint migration
- **ControlPoint FileLoader:** Quickly and easily move from file shares to SharePoint
- **ControlPoint Change Manager:** Easily propagate changes within your SharePoint environment

As collaborative platforms become a more critical part of your business, Axceler helps you keep them organized, secure, and focused on innovation.

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HP Autonomy's product portfolio offers solutions for enterprise search, analytics, business process management, and OEM operations. We offer information governance solutions for eDiscovery, content management and compliance, as well as marketing solutions for web content management, online marketing optimization, and rich media management—all geared to helping companies grow revenue. HP Autonomy's wide range of offerings enable today's professionals to access, manage, and collaborate with information across multiple channels, including mobile, social, and the cloud using their device of choice.

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## Iron Mountain

With Iron Mountain Records Management services, you'll have the resources you need to effectively store and safeguard your information assets. By leveraging our proven capabilities and best practices, you'll be able to:

- **Keep it safe.** Employ storage processes designed to protect your critical records from a myriad of internal and external threats.
- **Get it when you need it.** Classify, store and track your records online, following proven best practices, so you'll be able to retrieve a particular piece of information as efficiently as possible.
- **Manage with experience.** Leverage the insights and expertise needed to maximize scarce resources and make records management a seamless extension of your everyday operations.
- **Records Storage** - Leverage our network of records storage facilities to safeguard your information using advanced environmental security and access controls. Your records will be tagged and classified using your own terminology and made available on our intuitive **Iron Mountain Connect™** web portal, helping you quickly locate and retrieve the information you need.
- **Document Imaging** - Digitize your hardcopy records using our Document Conversion Services, which enable you to design a scalable imaging program that scans your records on either an upfront or as-needed basis — and makes them readily accessible across your organization.
- **Secure Shredding services** provide onsite or offsite destruction programs that are available on an ongoing or project basis, helping you dispose of information in a compliant, reliable and cost-effective way.
- **Records Management Consulting** - Consulting Services provide the insights you'll need to establish, manage and customize your records management program. You'll have access to expertise that helps you address the complexities of complying with the growing number of state and federal regulations governing records management.
- **Records Management Technology** - Turn to **Accutrac®** Software to consistently manage the lifecycle of your records. When your records move between your office and our storage facility, they will be protected by **InControl®**, our patented technology that safeguards information in transit and delivers an auditable chain-of-custody.

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Nuix is a worldwide provider of information management technologies, including eDiscovery, electronic investigation and information governance software. With Nuix, you can process, understand and govern the unstructured data in your organization faster and more reliably than with any other technology on the market.

Nuix is unique in its ability to process massive volumes of data at great speed. It can normalize data stored in archives, email and collaboration systems, file shares, hard drives and other common data stores.

The Nuix indexing engine can process the largest storage systems within days and weeks rather than months and years. Our light metadata scan enables information managers to gain an understanding of tens of terabytes of data within 24 hours.

The Nuix Luminate platform combines our powerful data processing technology with defensible processes to light up dark data. It enables organizations to:

- Reduce storage, eDiscovery and investigation costs
- Fix records management shortcomings
- Reduce business risks
- Open up new sources of value.

In most organizations, more than half the data they retain is redundant, obsolete or trivial. Nuix technology empowers organizations to index and classify all corporate data so they can make defensible and cost-effective decisions about what to delete and retain. Removing this valueless space-filler can dramatically reduce storage costs and decrease the time, expense and disruption of eDiscovery, compliance audits and digital investigations.

Nuix streamlines and automates the records classification process to locate and manage intellectual property, contracts and financial, legal and human resources records stored outside existing management systems.

Using Nuix's powerful searching and classification tools, information managers can identify and mitigate the risks of privacy data and other regulated content stored in unsecured locations or sent outside the organization. And by providing deep insights into the content of unstructured data, Nuix enables organizations to mine this information for business value and productivity.

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## Recall



Recall is a global leader in information management, helping some 80,000 customers securely manage information throughout its life-cycle. The company has more than 300 dedicated operation centers, spanning five continents in more than 20 countries.

Because our core business is information management, everything we do - from internal system improvements to research and development of new technologies - is focused on improving how we store, safeguard and provide access to your valuable information. Recall makes expert use of the latest technology to optimize each stage of our service delivery in order to provide you with the best systems and service the industry has to offer.

As an industry innovator Recall was the first information management company to use radio frequency identification (RFID) for the purposes of securely tracking and storing client's paper documents, media, and files. Today Recall is still the only information management company which provides audit reports, powered by RFID, of their client's holdings with an over 99.9997% accuracy rate.

Security is our top priority. This is especially important today where data breaches and identity theft are a growing concern. Our facilities are upheld to the most stringent security practices, and our secure destruction facilities have received a AAA certification from the National Association for Information Destruction.

Recall offers services that help your business manage information throughout its life-cycle from creation to destruction including document storage and retrieval, digital conversion, data protection and secure destruction services. The recent addition of our Information Governance solutions enables us to bring best-in-breed solutions to help organizations proactively manage their physical and electronic records and information.

Recall provides businesses with more than secure information management - we provide peace of mind.

[www.recall.com](http://www.recall.com)

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## RSD



Founded in 1973 in Geneva, with offices in North America: New York and Boston; in Europe: Geneva, Paris, London and Madrid; and in Asia-Pacific: Singapore and Sydney, RSD is the leading provider of information governance (IG) solutions for the enterprise. RSD products help companies reduce operating costs and risk exposure through robust information governance programs that span multiple jurisdictions and decades-long lifecycles.

**RSD GLASS®** is a patent-pending platform used to manage global corporate information governance programs for electronic and physical records. Using **RSD GLASS®**, companies create corporate policies that are actively enforced across organizational and jurisdictional boundaries, IT systems, content repositories, and paper archives.

**RSD GLASS®** customers keep the records they need to grow their business, and safely delete the records they are allowed to – reducing storage and other operating costs, risk exposure, and legal fees.

Unlike alternative solutions, **RSD GLASS®** manages multi-jurisdictional policies, granularity of governance events, and active policy enforcement – wherever governed content resides – across the potentially decades-long lifecycle. **RSD GLASS®** enables the largest companies in the world to make better business decisions and mitigate risk associated with information management.

This is accomplished through:

- A policy engine called **RSD GLASS® Policy Manager** that captures and validates all the requirements mandated by applicable laws and regulations and those required by the business, and transforms them automatically into coded policies for use and enforcement in the field.
- Policy enforcement and information lifecycle management using **RSD GLASS® Governance Manager** for structured repositories of information across business functions, jurisdictions, and affiliates within complex IT infrastructures.
- **RSD GLASS® Governance Dashboards** for measuring and overseeing your information governance program.

[www.rsd.com](http://www.rsd.com)



## SAP® Extended ECM by Open Text

To overcome the disconnect between structured processes and unstructured information, SAP offers a groundbreaking solution. The SAP® Extended Enterprise Content Management (SAP Extended ECM) by Open Text is integrated with SAP Business Suite software such as the SAP ERP application. SAP Extended ECM enables management of unstructured content in the context of the processes and transactions supported by your enterprise applications, giving you content-enriched business processes. As shown in the figure, key functionality includes document management (version control, access control, and approvals); collaboration (with shared work spaces, approval workflows, and records management (for the full lifecycle of both electronic and physical records); and archiving (for access to archived information across any storage medium).

With SAP Extended ECM, users of SAP software can attach unstructured documents and entire ECM work spaces to transactions in SAP applications, and no longer have to log into multiple applications to find information. Users of other applications can be given access to SAP information via the SAP Extended ECM interface, allowing them to leverage SAP content without extensive training.

As organizations move to standardize and streamline core business processes, they increasingly find the need to interconnect unstructured information with those highly structured operations. The SAP® Extended Enterprise Content Management by Open Text can help you meet this challenge.

SAP Extended ECM is also designed to minimize total cost of ownership from the IT perspective. The product is powered by the SAP NetWeaver® technology platform, and uses SAP user management tools to minimize administrative overhead.

[www.sap.com](http://www.sap.com)

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## StoredIQ

StoredIQ, an IBM Company, enables organizations to gain visibility and control over Big Data and rapidly connect people to business-critical information. With StoredIQ, companies can identify, analyze, and act on unstructured data — where it lives—to meet their data intelligence, eDiscovery, and information governance requirements.

Named by Gartner as a 2012 “Cool Vendor”, StoredIQ enables organizations to make important business decisions faster; to expose what’s relevant in a critical litigation matter; to know what’s no longer needed or just clouding the issue and raising costs; to be able to respond confidently to any regulatory or customer inquiry.

Built on a powerful, unified platform which dynamically manages data in-place, StoredIQ improves the speed and reliability of information management, lowering legal costs and compliance risks, while meeting the stringent requirements that IT departments demand.

Industry-leading companies rely on StoredIQ solutions to solve Big Data problems and manage their information more efficiently to reduce cost and risk. Quickly deployed within the enterprise, StoredIQ identifies, analyzes and acts on what’s important across petabytes of data — without moving it to a repository or specialty application—to deliver immediate ROI.

No other company has this vision. No other company provides this kind of intelligent solution that works like you do to unlock the value of Big Data. Contact StoredIQ to learn more about how our solutions can benefit your business, and take the first step toward turning your company into a truly ‘data-driven’ enterprise.

[www.storediq.com](http://www.storediq.com)



## Enterprise Content Management Training Program

The changing needs of ECM are shifting towards effective collaboration and social business.

### Take control of your information assets.

The **AIIM Enterprise Content Management (ECM) Training Program** covers best practices for designing, implementing, and using ECM environments. The program is available both as a **classroom course and as online self-paced learning**.

Designed for information professionals that need to create, capture, store, preserve, and deliver information more effectively for departmental processes and across the enterprise, this program has been updated in 2012 from the ground up. The program includes completely new content on knowledge management, social business, use of mobile devices, content analytics, and much more.

Students will learn how to plan, implement, and improve ECM environments. The information provided in the program is applicable across all industries and business processes, and is independent of any particular technology or vendor solution.

The AIIM Enterprise Content Management (ECM) Program is offered in three streams: **Practitioner, Specialist and Master**.

- The **Practitioner** program presents strategies, methods and tools for managing content.
- The **Specialist** program covers global best practices for planning and implementing ECM, integrating ECM into collaborative business processes, and builds on topics covered in the Practitioner program.
- The **Master** program provides a thorough understanding of ECM with the main elements from the above programs and includes a practical case study exercise.

[aiim.org/ecmtraining](http://aiim.org/ecmtraining)

### Courses Include:

- Organizing Content
- ECM Program Strategy
- Search and Retrieval
- Applications and Solutions
- Information Governance
- Business and Technology Assessment
- Social Business
- Building a Foundation
- Understanding ECM Architecture
- Establishing a Project Plan
- Process & Workflow
- Deployment & Operations



AIIM ([www.aiim.org](http://www.aiim.org)) has been an advocate and supporter of information professionals for 70 years. The association mission is to ensure that information professionals understand the current and future challenges of managing information assets in an era of social, mobile, cloud and big data. Founded in 1943, AIIM builds on a strong heritage of research and member service. Today, AIIM is a global, non-profit organization that provides independent research, education and certification programs to information professionals. AIIM represents the entire information management community, with programs and content for practitioners, technology suppliers, integrators and consultants.

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