Multi-Repository Information Governance in a Cloudy World

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Presented by: Mike Alsup, Gimmal USA
Company Overview

Leading Microsoft ISV for ECM
On Premise, Office 365 & Azure
Over 10,000 users globally

2014 Microsoft Partner of the Year
Award Finalist
Collaboration and Content
Public Sector: Government

Information Governance
SAP Interoperability &
Business Solutions

Business-Critical
SharePoint Partner
Today’s Agenda

Challenge ➔ Good Governance with Multiple Target ECM Repositories
Focus ➔ Technology and Platforms, not People or Process
My Perspective ➔ SharePoint, Office 365 for Enterprise Information Mgmt.
My Objectives:
➔ Compare Alternative Governance Approaches
➔ Examine Open Questions and the Art of the Possible in 2014
What ECM Solutions are Moving to the Cloud?

• Collaboration
• Portals
• Intranets
• Websites
• Social
• Document Control
• Business Process Management
• Knowledge Management
• Records Management
• Custom Applications

All ECM Solutions need Governance:
• Consistent across repositories
• Transparent to the user
• Sustainable for the long term
• Defensible when necessary
Implementing Information Governance

- All content in all repositories managed from an information lifecycle perspective
- Dept.’s collaborate with IT, Records & Legal based on Doc Types and Process Rules
- Transparent Participation → End reliance on users choosing to follow policy and rules

5 key components of Information Governance:
- Information Management Policy
- Information Lifecycle
- Metadata Inheritance
- Document Types (& Containers)
- Consistency and Simplicity in User Experience
Scope – Target ECM Repositories

- SharePoint, Office 365
- Traditional RM
- Traditional ECM
- Cloud ECM
- Cloud File Sync & Share
- File Shares
- Email
- ERP, LOB

Information Management for Everyone
Implementation of Information Management Policies

Implementation requires three things:

1. **What**
   - Categorization of information to know what was agreed for retention.

2. **When**
   - Lifecycle state applied to information to determine when to act.

3. **How**
   - For efficiency & compliance, policy implementation **must be automated**
Example Information Lifecycle

- All Information is managed from creation to disposition
- Retention for all information in every state of the ILC
- Early classification (indexing) is an important step to compliance
- Rules are enforced by the technology
## Record Retention Schedule

<table>
<thead>
<tr>
<th>Retention Category Code</th>
<th>Retention Category</th>
<th>Retention Category Description</th>
<th>Record (Content) Type</th>
<th>Retention Event</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>HUM70</td>
<td>Personnel Files – Personnel Actions</td>
<td>Individual employee records related to hiring, promotion, performance appraisals, transfers and disciplinary action. Also includes employee relocation.</td>
<td></td>
<td>Retention period begins with the content is marked final/declared a record.</td>
<td>6 years</td>
</tr>
<tr>
<td>HUM70</td>
<td>Employee Warnings</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HUM70</td>
<td>Performance Reports</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HUM73</td>
<td>Personnel Files – Termination, Training and Summary Records</td>
<td>Individual employee records with terms of employment, salary and wage schedules, technical training, safety training, resumes, applications, and termination records.</td>
<td></td>
<td>Retention period begins with the content is marked final/declared a record.</td>
<td>60 years</td>
</tr>
<tr>
<td>HUM73</td>
<td>Employee Training Attendance Records</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HUM73</td>
<td>Letters of Resignation</td>
<td></td>
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</tr>
<tr>
<td>HUM73</td>
<td>Termination Documents</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>HUM73</td>
<td>Exit Interviews</td>
<td></td>
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</tr>
<tr>
<td>HUM73</td>
<td>Employment Application</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
# Taxonomy Master Model in SharePoint

<table>
<thead>
<tr>
<th>Content Type Level</th>
<th>Content Type Name</th>
<th>Owning Organization</th>
<th>ILC State</th>
<th>ILC Date</th>
<th>Create Date</th>
<th>Last Modified Date (system generated)</th>
<th>Security Class (internal, external, confidential)</th>
<th>Employee Name</th>
<th>Employee Number</th>
<th>Content Type</th>
<th>Retention Category Code</th>
<th>Event Trigger Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enterprise</td>
<td>Enterprise</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<td>X</td>
<td></td>
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</tr>
<tr>
<td>Organization</td>
<td>Human Resources – Employee Specific</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X X X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Content Type</td>
<td>Personnel Files – Personnel Actions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HUM70 X</td>
<td></td>
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<td></td>
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<td></td>
</tr>
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<td>Local Content Type</td>
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<td></td>
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</tr>
</tbody>
</table>
Let’s Start with Information Governance in SharePoint

SharePoint Consolidating ECM & RM?
- 135MM SharePoint Licensed Users*
- 65,000 Companies*
- 67% = SharePoint to Enterprise*
- 700,000 SharePoint Developers*
- 50% of Gartner ECM inquiries
- 2013 = $2B business

SharePoint is Energizing ECM & RM
- Microsoft owns productivity market
- ECM and RM a natural extension
- Many Best of Breed apps & extensions

SharePoint is a compelling platform for information governance
What Would SharePoint Governance Look Like?

- Record Center
  - File Plan
  - Retention Schedule
  - Information Policy Enforcement

- Top Level Portal

- Team Sites
  - Content Types
  - Information Policy
  - Site Templates
  - Document Templates (Consistency)

- Term Store/Content Hub
  - Lifecycle
  - Taxonomy
  - SP Features
  - XML Configuration
  - Navigation
  - Search
  - Security

- My Sites

- File Plan / Retention Schedule (Information Policies)
  - Content Types
  - Information Policy
  - Site Templates
  - Document Templates (Consistency)

Information Lifecycle
How to Apply Policy to Legacy SharePoint Sites?
Legacy SharePoint Sites

• Archive the Site
• Close the Site (Read Only)
• Move the content to a new site (+ Items, etc.)
• Apply to policy to content in legacy site based on rules
  – Enforce rules as site ages, include moves to Repository of Record
  – Hopeless task without good, automated tools
SharePoint Item Retention

Typical Governance Products

• Typical Governance Products address 16% of content in SharePoint
• Collaboration >60% list content, no consensus on List Content Governance

• From a User Perspective:
  – Every user (even novices) have unique uses for lists
  – Lists replace Excel Spreadsheets and Access Databases
  – Once created, lists contain valuable knowledge and information assets

• From an IT Perspective
  – Items and List Content 95-100% structured data
  – Sites persist because lists with valuable information exist perpetually
  – Management is site-by-site, mainly manual
  – Items cannot be easily managed in SharePoint Record Centers
# Office 365 Functionality

<table>
<thead>
<tr>
<th>Functionality</th>
<th>Office 365 (2010)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Site Creation</td>
<td>✓</td>
</tr>
<tr>
<td>Content Type Hub</td>
<td>✗</td>
</tr>
<tr>
<td>Send-To Locations</td>
<td>✗</td>
</tr>
<tr>
<td>Records Center</td>
<td>✗</td>
</tr>
<tr>
<td>eDiscovery</td>
<td>✗</td>
</tr>
<tr>
<td>eDiscovery Site</td>
<td>✗</td>
</tr>
<tr>
<td>Client Development</td>
<td>✗</td>
</tr>
<tr>
<td>MySites (OneDrive for Business)</td>
<td>✗</td>
</tr>
<tr>
<td>SAP Integration</td>
<td>✗</td>
</tr>
<tr>
<td>Cloud Development</td>
<td>✗</td>
</tr>
</tbody>
</table>
What are your plans to leverage SharePoint/O365 in the Cloud?

- Move everything to Microsoft’s Cloud
- Majority hosted on 365, some retained on-prem
- Some content hosted on 365, majority on-prem
- Private cloud/hybrid, all provided by third party (not Microsoft)
- Hybrid of private cloud and on-prem, all administered by us
- Retain everything on-prem for the foreseeable future


Majority still focused On-Premises & Hybrid
Did you consider a cloud deployment for SharePoint?

- We considered cloud deployment, **but** requirements for Security, privacy, compliance, or intellectual capital precluded the option (32%)
- We considered cloud deployment, **but** we deployed Before the cloud was a viable option (12%)
- We considered cloud deployment, **but** we had functional requirements (i.e. custom application development) that precluded the option (10%)
- Never was a consideration (28%)
- Other (18%)

Source: Forrester: Global SharePoint Usage Online Survey, August 2013
Hybrid Lifecycle Model

SharePoint – On Premise or in Azure

- SharePoint Sites
  - "Send To"
  - Record Centers
  - EDiscovery Search & Hold Service
  - Two-way Lifecycle synch of docs/records
  - Synch File Plan & Retention Schedule Service
  - Policy Hub Service

SharePoint Online - Office 365

- SharePoint Sites
  - "Send To"
  - Record Centers
Hybrid Model is Needed for Governance

Why is this important?

- Buyers expect Hybrid Content Governance for foreseeable future
- Long term Economics of Cloud Storage are not clear
- Office 365 is compelling “if our records stored in our data centers”
- Hybrid Governance requires simplifying assumptions
Enterprise Approach Summary:
SharePoint On-Premise

Team Sites & Governance
Usability and Consistency
Content Types & Metadata
Libraries, Lists and Views
File Templates
Content Lifecycle
Search
Site Settings & Admin
IM Policy Alignment
Security

Office 365? Hybrid?
SharePoint / Office 365 Governance Summary

• SharePoint Content Types (=Document Types) are Essential
• On Premise vs. Office 365 vs. Hybrid SharePoint are different models
• Legacy Sites must be Included
• Lists & Items must be Included
• Hybrid must be Considered
• Extensive Planning is Required to Implement Hybrid Governance

➡ A Very Challenging Problem without any non-SharePoint Repositories!
Repository-based Governance (Includes Containers)

• Access Controls

• Update Controls

• Disposition Controls (Deletion, Archiving, Offline Access)

• Repository Governance Issues:
  – Is Policy Federated at the Repository-level or Document-level?
  – Retention vs. Records Management
  – Can Policy be Synchronized between Cloud & On-Premise Versions?
Alternative Governance Methods

Content Type-based Governance
• High Level Document Type Model
• Functional Document Type Model

Lifecycle Governance
• Multi-Repository Governance
• In Place Governance

Search & Classify-based Discovery
• In Place Governance
• Process Launched: Content Copied or Moved
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<tr>
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<tr>
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<td>Process (Search &amp; Process)</td>
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<tr>
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Governance Available **within** Alternative ECM Repositories
Cloud & Collaboration have changed Information Governance

Information Governance is challenged by Cloud ECM and Collaboration Tools

• Information policies ➔ applied to more repositories

Recognized need for governance to extend to all ECM repositories

• “One Ring to Rule Them All” from an information policy perspective
  ➔ Policy Hub Service

Applying information governance to multiple ECM repositories is competitive:

• ECM vendors (e.g. IBM, Open Text, EMC)
• Cloud file sharing vendors (e.g. Google, Box)
• Federation vendors (e.g. RSD, HP Autonomy)
• Microsoft SharePoint & Office 365
Common Source of Information Policy: Policy Hub Service

Rationale

- Manage a Single Source of Information Policy across Multiple Repositories
- Enables Enforcement of Policy in all Document/Content/Information Repositories
- Several Options for Policy Management

- SharePoint Sites & Record Centers
- Email
- Digital Archive
- File Shares
- Traditional ECM
- On-site & Off-site Paper Storage
- Office 365
- Social, File Sharing, Cloud ECM Content (e.g., Box)
- Web, Intranet, IM, Collaborative Content (e.g., Adobe)
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SharePoint/O365 as Foundation for Policy: Pro’s & Cons

• **Pro’s**
  – Full integration with SharePoint/O365 Infrastructure
  – Integrations with other Microsoft products
  – Data and Documents stored in a single environment
  – Transparent Content Governance simpler in a single environment
  – SharePoint already owned ➔ Solutions are much less expensive

• **Con’s**
  – Content Governance, especially RM, is less mature in SharePoint
  – Functionality Gaps in SharePoint/O365 RM solutions
  – Availability of Expert SharePoint/O365 Implementation Skills
  – Cost to convert to unified content governance in SharePoint/Office 365
8 Things to Consider when Migrating SharePoint Solutions to O365

• Microsoft is becoming OS neutral
• Multi-Tenancy of Office 365 enables scalability
• SharePoint App Model is immature
• Cloud storage of documents comes with significant governance issues
• “In Place” Governance is a significant change for many organizations
• Future of Office 365 market for add-in components and solutions is unclear
• Business solutions can drive significant benefits with Office 365
• Office 365 will drive winners and losers in the market
The Future – Two Big Short Term Questions

Does Unified Policy for SharePoint, Office 365, Email & Share Drives = Content Governance?

If Not, What Else? (Boxes, Paper, Box, Structured Data, Drawings, Social, etc.)

If Hybrid Content Governance is the future, how to do it?

➔ Find Someone to help who has done it before
➔ Make Sure they have Good Tools, Frameworks, and References
The Future

The ECM Dial Tone

• Unified Object Environment (Document, Voice Message, Email, Viewer, etc.)
• Departments, Legal, Records and IT collaborate on Governance Policies at Document Type Level
  ➔ Governance Policy Automatically Applied to Documents through Containers & Templates
• Much Planning and Setup ➔ then, it works transparently

Departmental ECM Solutions will go the way of:

• Word Processors ➔ Word
• Microfilm ➔ Storage
• Optical Disk ➔ Storage
• Local Area Networks ➔ Cable Plug or WiFi

People don’t care about Technology, they want Solutions that Work

• How many Repositories for Unstructured Content do you Really Need?
• Simplify, Simplify, Simplify
Questions
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