



Build-in Information Governance

How to seamlessly embed Information Governance to control your content and processes and reduce compliance risk

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Introduction

With increasing regulations across the globe aimed at protecting personal data and ensuring information is appropriately secured and managed, it is vital to have control of your content and processes. Without suitable security, policy controls and lifecycle processes, your content can be a big liability. Compliance issues, large fines, undermined trust and brand reputation are all at stake.

This eBook looks at best practices for invisibly embedding Information Governance into your ECM system and content-driven processes, so it just happens.

Did You Know?

49%

of organizations say regulatory or legal compliance is a top driver for ECM investment in 2017. (Forrester)

74%

of organizations will focus on developing strong Information Governance (IG) policies. (AIIM)

\$141

is the average cost of a lost or stolen record. (Ponemon Institute)

Sources:

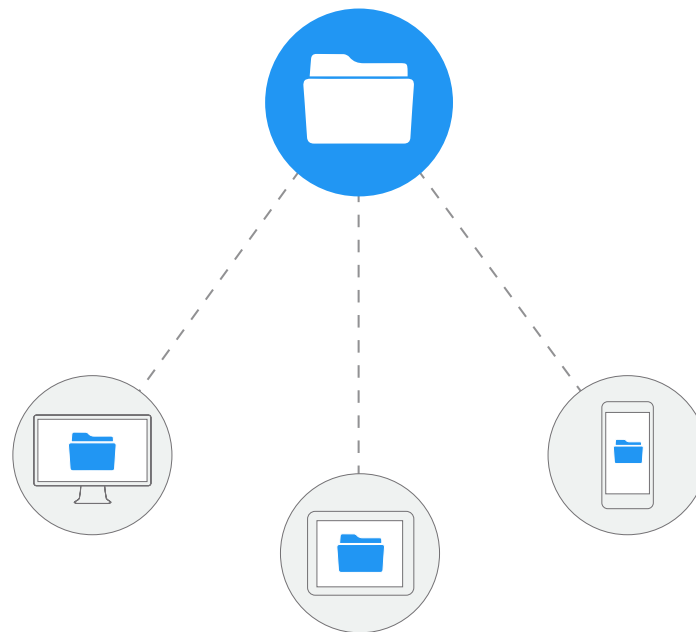
Forrester: The Five Key Trends for 2017 That Shape How We Manage Content, p 3

AIIM: Understanding GDPR Readiness in 2017

Ponemon Institute: 2017 Cost of Data Breach Study, p 1

What is Information Governance?

Information Governance is all about taking control of business information—not just your unstructured digital content, but also structured data and paper documents. It encompasses the policies, procedures, and technologies that determine how your organization manages, secures, uses, retains, and disposes of this information.



Why is Information Governance Important?

A robust Information Governance program helps your organization comply with laws and regulations, safeguard its data and reputation, and respond efficiently to eDiscovery or Freedom of Information Act (FOIA/FOI) requests. It also prevents information overload by keeping only the most valuable content.

What's the Urgency?

Organizations face ever-growing compliance obligations, like the new General Data Protection Regulation (GDPR) in the EU and the new NYDFS Cybersecurity Regulation (23 NYCRR Part 500) in the U.S. High-profile hacks, leaks, and data breaches (Equifax, Sony, US Office of Management and Budget, and Yahoo) amplify security risks. And the explosive growth in the volume and variety of content isn't going to stop.

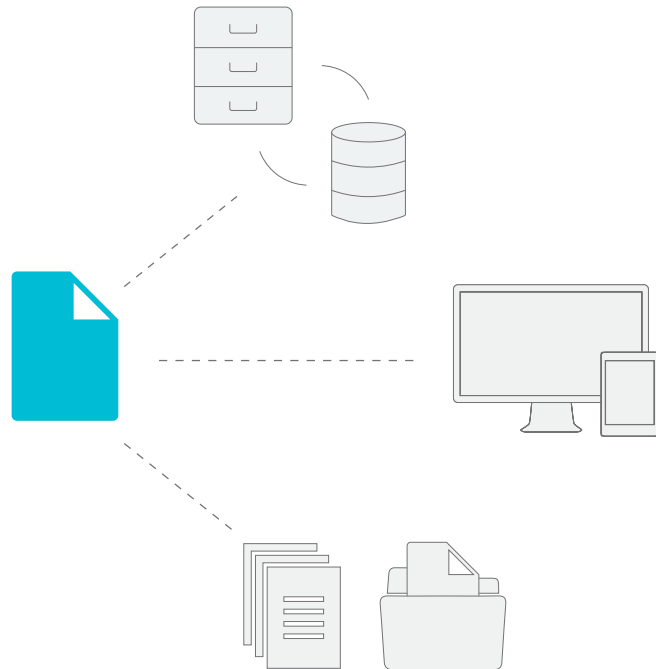
But We've Already got a Records Management System

Records management is just one part of a broader Information Governance program. You also need to consider issues like data security and eDiscovery.

Plus, many companies have struggled with legacy records management systems due to low user adoption and a bolt-on approach. Distributed content stores, mobile working, and the use of unsanctioned file-sharing sites add to the challenge of managing records in a consistent, compliant way.

The Role IT Architects Play in Information Governance

Information governance requires a holistic approach that can include people from legal, finance, corporate risk, HR, IT and lines of business. As experts in using technology to meet business objectives, here's how architects can strengthen Information Governance:



- **Solution Architecture**

What's the best way to set up your governance solution when content and records are spread across so many disparate systems? You'll need to decide whether records should be managed in place (in the applications where they were created) or in a centralized repository. For many organizations, a hybrid approach is the right call.

- **Systems Assessment**

Identify the systems that store business content and records. These can include ECM repositories; CRM, ERP, HR, and LOB systems; email inboxes, SharePoint sites, collaboration apps, and shared drives. An audit like this is often the first step in a new governance or compliance initiative.

- **Technology Selection**

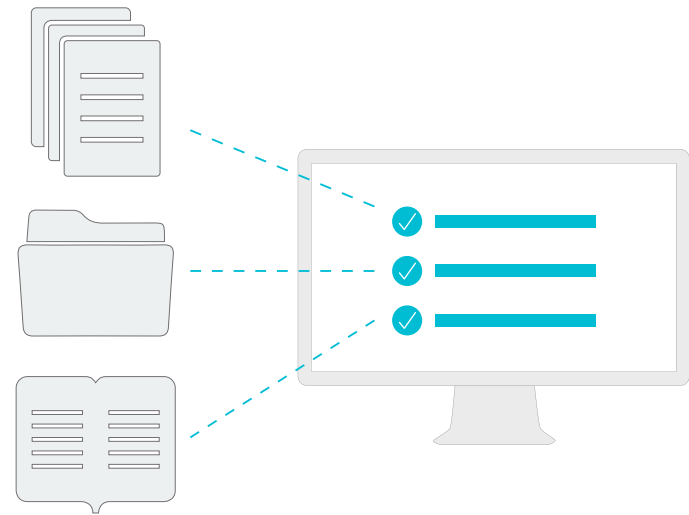
Evaluate the technologies that can help your organization meet its compliance and governance objectives. Top considerations include how well they work with your existing systems and content repositories and how easily they integrate Information Governance into the natural flow of business. The less manual intervention, the better.

- **Cloud Adoption**

Put cloud storage in your plans for significant savings over housing everything on-premises. Providers like AWS offer several tiers of secure, highly durable storage to meet a variety of data access and retrieval needs. Plus, you'll get more value from your content by consolidating it on a modern platform where it's available to people across the enterprise.

- **Digital Transformation**

Don't treat a new compliance requirement like a check-the-box exercise. Instead, use it as a catalyst for your digital transformation journey. Look for opportunities to optimize information flows, automate repetitive functions, and modernize your infrastructure. The payoffs include improved business outcomes and a better end user experience.



Best Practices for Sustainable Information Governance

Over the following pages, we look at some forward-thinking strategies companies use to build an effective Information Governance structure.



Aim for Invisible Information Governance

A governance solution is useless if people don't, well... use it. So, take advantage of technologies that allow governance to happen "invisibly" behind the scenes. By bypassing end users, your business is in a better position to run a consistent, legally defensible governance program. Examples include:

- **Intelligent Classification.** Solutions with this capability use a business rules engine to automatically declare a record, populate its metadata, and file it in the right place. Records management can be integrated seamlessly into any workflow. It's effortless for users and eliminates haphazard, error-prone manual processes.
- **Auto-Classification Engines:** These solutions use machine learning and analytics to automate content classification at scale. They discover and tag sensitive or compliance-related data (like personally identifiable information, or PII) in TBs of unstructured content—a must for complying with regulations like GDPR or 23 NYCRR 500.



Manage Records Holistically

A strong information governance program requires a unified records management strategy. That means giving records managers the ability to apply standard policies and classification schemes to content stored in disparate applications and locations. A central hub for records management provides maximum flexibility for both the business and IT, with the ability to manage records in place, in a centralized repository, or both.

A Hybrid Approach is Often Best

Manage in a Centralized Repository	Manage in Place
<ul style="list-style-type: none">• Apply richer metadata to content / records• Run content analytics at scale• Take advantage of low-cost cloud storage• Decommission legacy systems• Consolidate multiple repositories	<ul style="list-style-type: none">• Quickly add governance to disparate systems• Avoid moving large files across the network• Keep complex workflows intact• Take a phased approach to content migration

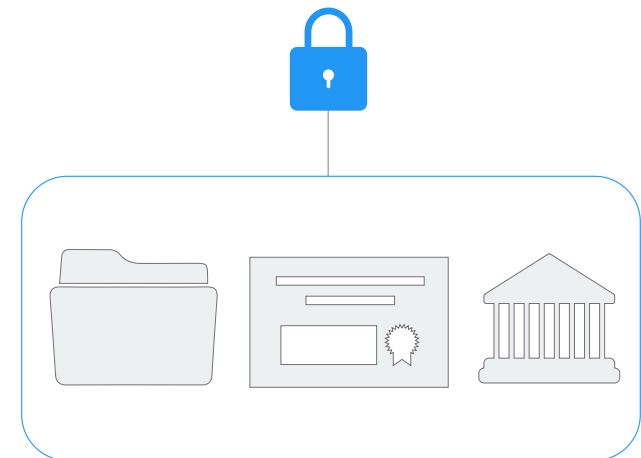


Build in Extra Controls

Extra security controls are needed to comply with today's increasingly strict data protection regulations. Look for features that allow the business to limit which content people can see and what they can do with it. These safeguards go well beyond basic access control lists and permissions to include capabilities like:

- Security marks that identify content as having sensitive information (such as PII)
- Security classifications (top secret, secret, etc.) that travel with a file
- Roles that control the actions individuals can take with a file
- Encryption of content in transit and at rest

And while compliance is one thing, demonstrating it is another. Audit logs that detail the complete lifecycle of governed content can help you show compliance with confidence.





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Future Proof Your Solution

Information Governance isn't a set-it-and-forget-it program. The technologies you implement need to be flexible enough to support new compliance and business demands—because they're coming. Here are some features that will future-proof your solution:

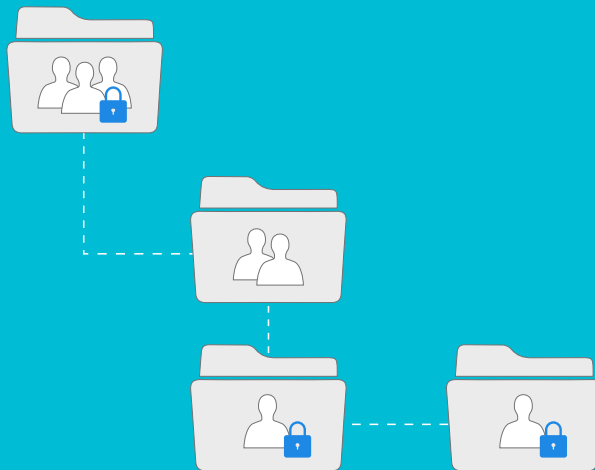
- Open architecture so that records remain readable and accessible over time
- Connectors to a wide range of systems to support an evolving software environment
- Cloud-ready to enable durable, low-cost storage on a modern platform
- Ability to manage multiple file types, including video, email, and social media
- Ability to handle explosive growth in content
- Certified or aligned to leading industry standards like DoD 5015.2 and ISO:15489

Checklist for New Compliance Requirements

	23 NYCRR Part 500	GDPR	NARA 2019
Description	Set of cybersecurity requirements intended to protect customer data and information systems	Set of data protection laws that cover the management, use, and security of personal data	Mandate to manage all permanent records in electronic format
Applies To	Financial services firms that operate in New York state	Companies around the world that hold personal data on EU citizens	U.S. federal agencies
Enforcement Date	August 28, 2017	May 25, 2018	December 31, 2019
What's at Stake	Fines, imprisonment, and possible shut down of an organization's business in New York state	Fines of up to 4% of annual global revenue in event of a security breach	An opportunity to modernize government operations
Good to Know	<p>Sets a new high watermark for compliance with specific requirements and teeth behind it</p> <p>Expected to have a ripple effect in other U.S. states</p>	<p>GDPR applies in the UK even with BREXIT</p> <p>Only 23% of companies feel they are fully prepared for 2018 deadline</p>	Technologies used to meet the 2016 mandate for managing email records won't cut it

Simplify Information Governance with Alfresco

Alfresco Governance Services brings an unmatched combination of simplicity and control to information governance. It strengthens compliance by seamlessly integrating Records Management into business processes and automating the complete record lifecycle—from capture through retention to final destruction. Alfresco offers the only DoD 5015.02 certified open source records management solution offering a highly scalable repository which manages business content and corporate records of any type, including electronic documents, images, e-mails, videos and physical records



Security, Compliance and Auditing

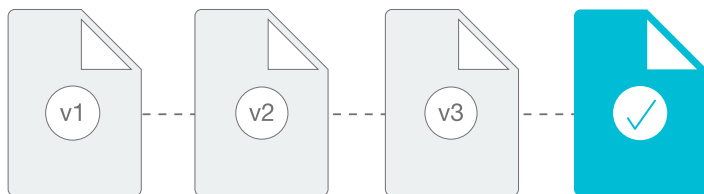
Security models, audit trails and processes protect business-critical content and records and to demonstrate compliance with confidence.

Automated Records Management

Records Management that is so simple it “just happens”—automatically and invisibly to users so compliance can be assured - effortlessly.

In-Place Records Management

Many organizations have content and records distributed across many different systems. Alfresco Governance Services can manage records in place for centralized control without the need for costly content migration.



Easy Administration of the Complete Lifecycle

Alfresco has spent hundreds of hours with records managers, compliance officers, security officers and administrators to understand and reduce the challenges of meeting complex governance requirements. The result is unparalleled ease of administration and a lower likelihood of content slipping through the cracks.

Fully Integrated with Content and Business Processes

Combined with Alfresco's Content and Process Services, processes can be set to drive compliance for the entire information lifecycle - from capture and filing, through retention, to final destruction or archival.

[Learn More](#)



Learn more at alfresco.com

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