



WHITE PAPER

Information Governance: CA/Microsoft Solutions for Compliance, Legal and Governance Responsibilities

Challenge

The complexity of digital information in its many formats and repositories combined with burgeoning records management requirements presents organizations with governance, risk and compliance challenges.

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Solution

The partnership of CA and Microsoft has yielded advanced technology that lets organizations deliver comprehensive Information Governance that is efficient, proactive and cost-effective.

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Benefits

Organizations using a proactive, automated approach to governing their information can better manage risk and minimize exposure while fulfilling eDiscovery requirements more efficiently and economically.

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Today, organizations face enormous challenges regarding the management, protection and regulation of their information. As the amount of business information grows, the number of challenges grows as well.

To meet these challenges, CA and Microsoft have developed complementary technologies that unify and simplify information governance. Working with Microsoft platforms, CA Information Governance integrates information lifecycles and processes with governance controls and policies, aiding discovery as well as managing records and non-records, including email.

CA/Microsoft solutions support the corporate governance initiatives of today's organizations by delivering information governance that:

- ***Reduces costs***
- ***Minimizes risk and exposure***
- ***Increases discovery preparedness***
- ***Aligns policies with regulatory, legal and business requirements***
- ***Ensures consistent application of policies to all content, regardless of format or location***
- ***Maximizes existing technology investments***

CHALLENGE

Meeting Information Needs in Changing Business Environments

Introduction

Information. You create it and store it. You manage it and retrieve it. You buy it and sell it. Information is the fuel that drives your business: it's one of your greatest assets. But it can also be a liability. Because of the immense volume of information you manage, retrieval and discovery issues can be costly, tying up resources and in some cases, with the potential to bring business to a grinding halt.

Organizations have always needed systems to manage their information. But in today's business environment, mere management is not enough. Regulatory compliance, legal requirements and business obligations – combined with the enormous growth of information by simply doing business – has created the need to go beyond management and implement information governance.

Information Governance: The Key to Proactively Managing, Controlling and Discovering Information

Information Governance is an integrated approach to managing, processing, controlling, archiving, and retrieving content that documents all facets of the organization. It provides a compliance and governance framework to attain a global, corporate-wide consistency to manage information across the enterprise. According to Gartner "Information Governance has become a business imperative...what is missing in most companies is an enterprise wide strategic view of information."¹

Most organizations produce a diversity of information managed by a breadth of policies and platforms. They also face compliance issues that may span multiple business and regulatory requirements not to mention jurisdictions. As the volume of information in an organization grows, the need for effective and consistent enterprise-wide controls and governance grows as well.

Information Governance not only provides more effective management of business records, it allows for effective knowledge sharing, proactive compliance and discovery preparedness. Information Governance also monitors and manages an organization's growing volume of email and other digital communications, helping organizations control the growth of stale or outdated content.

On a broader view, Information Governance integrates an organization's information processes and lifecycles and increases the visibility to an organization's information landscape. Information Governance also produces documentary evidence that can help measure the effectiveness of risk and information management. When enterprise content is managed and under control, policy can be applied to all content in a consistent manner. The policy actions an organization takes such as disposition approval or application of legal holds are all recorded.

¹ Gartner Research Publication: - "Key Issues for Establishing Information Governance Policies, Processes and Organization, 2008": February 2008

Each of these actions can be reported on. This information is also important to the organization's overall Governance, Risk and Compliance (GRC) strategy. Mapping these events back up to the appropriate controls gives the GRC manager visibility across the enterprise assuring compliance.

Compliance

When addressing information risk, organizations must be able to proactively meet the requirements of laws, regulations, boards and court rulings regarding its records and conduct. These may include HIPAA, Sarbanes-Oxley Act, FINRA, the Data Protection Directive, Privacy, other mandates from across the globe, or even corporate best practices implemented within your organization. Adding to the challenge is that these requirements are constantly evolving, and an organization must be responsive to such changes. Requirements on information retention, need-to-know practices, etc are all effected. A company unable to adhere to any of these requirements could face potential risks in the form of penalties, fines or other legal impositions or damages to business.

No One Is Immune

Compliance and regulatory issues may seem to apply only to organizations answering to specific boards or commissions. However, as companies use tools such as instant messaging, blogging and email as well as other digital technologies to conduct business, they must consider and understand the legal impact of these communications, as well as how they affect productivity and storage efficiency.

As an example, in North America, the changes to the Federal Rules of Civil Procedure (FRCP) regarding an organizations' data, elevate corporate responsibility knowledge of their information infrastructure, The revised FRCP requires an organization to know what information "they have" and where it is located. The organization must be able to retrieve responsive information for legal discovery purposes to meet strict deadlines imposed by courts and other legal entities, Bottom line - meeting requirements for disclosure, freedom of information, audit and legal discovery depend on an organization's ability to properly manage and control and discover that information in an efficient and effective manner.

Regardless of an organization's business, whether large or small, private or publicly held, digitally produced information opens the doors for courts and regulators to request information. An organizations 'risk profile' and the burden placed on you to comply, preserve and produce this information will certainly vary based on your size and industry, however the costs associated with the lack of action are undeniable. Costs can skyrocket quickly and can run into the millions and even billions of dollars. The message is clear: If you conduct business in today's information driven environment, you will likely be asked to fulfill a request for information.

In most cases, the dire consequences come from an organization not having the agility to respond quickly to requests. The challenge is being able to preserve information appropriately, produce it on demand when necessary, and to do it comprehensively and inexpensively – not unlike what is expected when making daily, critical business decisions required to simply do business and stay competitive. Organizations today should be aware of the legal or regulatory implications of not only the information they create but also the technology used to create it – no matter how seemingly insignificant or trivial. Mechanisms must be in place to retrieve that information if needed. The best time to prepare for these eventual-

ties is during periods of calm rather than when the organization's back is against the wall with legal teams or auditors closing in.

Corporate Governance

In addition to governing information, organizations have been forced to look at their governance strategies at a more holistic level. Corporate Governance is the systematic methodology for guiding an organization, measuring its performance and setting a course for continuous improvement. It is the set of laws, policies, processes, culture and values that dictate an organization's administration. An integral part of corporate governance is accountability. It has a direct relationship with Information Governance since governance depends on information that is both accessible and accurate.

Complex challenges have required that many organizations turn to platforms that are designed to focus on the management of governance, risk and compliance (GRC). Just as with Information Governance, GRC initiatives have been traditionally approached in a more reactive manner, managing risk to satisfy compliance. Today however, more organizations are proactively addressing GRC. GRC, therefore, encompasses risk assessment on an ongoing basis in addition to monitoring compliance activities. Because of the risk and potential costs at stake, an organization's GRC strategy must be dynamic and adaptable, taking into account changes in regulations, laws and stakeholder expectations. Indeed, such GRC management has turned from a business convenience to a business necessity. The integration of Information Governance into one's overall GRC approach provides a platform that facilitates informed and fact-based decision-making that supports overall corporate governance.

Information Access and Availability

In addition to compliance, legal and overall governance requirements, organizations must still get business done. Ensuring that users can quickly access the appropriate information, when and how they need it, is paramount to staying competitive. The ability to actively find information quickly, share knowledge, and make informed decisions can determine an organizations ability to remain agile.

Organization's need to process, manage, retain and retrieve information from across the enterprise throughout its lifecycle. The duration of the information lifecycle is determined by legal, regulatory and business requirements. This becomes more of a challenge as organizations utilize disparate information systems with unstructured content stored in multiple repositories, file shares and personal drives. Consistency, efficiency and visibility throughout all systems of the enterprise all must be taken into consideration.

Taking into account the dichotomy of needs – information access while mitigating risk - Information Governance helps organizations establish a proactive strategy, integrating and monitoring enterprise-wide information throughout its lifecycle. It does not stop with legal and regulatory compliance, but conforms to the highest standards of ethical and other best practices. Information Governance becomes the framework for how companies navigate the complexity of their information infrastructure for increased efficiencies, lowered costs and improved agility.

SOLUTION

CA/Microsoft: Responding to the Challenge

The Need to Unify and Simplify

As organizations recognize the value and necessity of Information Governance, differing approaches to its implementation have emerged: Some corporations utilize a discrete platform that centralizes business records into one repository while others seek a solution that can centrally manage business records where they exist across the enterprise.

CA's integrated solutions address the needs and challenges of risk mitigation and information access while at the same time ensuring that the need to unify and simplify processes is met. CA's solution manages physical and digital information across the enterprise independent of media, form or location and unifies an organization's information infrastructure regardless of complexity or diversity to provide comprehensive Information Governance.

Tying It All Together

Successful Information Governance pulls together enterprise records management, email archiving and eDiscovery technologies. Over the past few decades, as organizations have moved from paper records to digital, they have not only seen an increase in information, but also an expansion of the repositories where this content resides, from multi-vendor content repositories deployed throughout an organization to worldwide data centers to laptops to cell phones. Knowing what to retain, where to find it and how to retrieve it is an objective of any comprehensive Information Governance strategy and solution.

One of the biggest concerns for organizations is how to control and manage their email. Email in fact poses one of the biggest risks when it comes to litigation. Many organizations have traditionally chosen an email archiving approach to manage their email, however have found that this approach falls short of addressing all critical management aspects needed for a comprehensive email strategy. Message supervision, electronic discovery, integrated records management, as well as storage and message management must all be considered for an inclusive email strategy that ensures alignment to legal, regulatory and business requirements.

In order to ensure policy consistency across the enterprise, organizations should integrate records management with archiving technology to ensure that policies are applied to all content, regardless of format or location, in a uniform manner. Federated Records Management (FRM) provides this integration, providing the management of content in-place and allowing an organization to readily achieve compliance, both corporate and regulatory.

Using FRM to proactively manage information as an integral part of Discovery "preparedness" is a function of Information Governance. By effectively managing and controlling an organization's information, Information Governance retains and destroys documents - based on legal, regulatory and business requirements - systematically decreasing the volume of documents necessary to discover and simplifying the process. Information Governance offers cost-savings by automating processes, reducing discovery efforts and minimizing the risk of noncompliance.

CA/Microsoft Technology Enablement

The partnership between CA and Microsoft leverages their respective strengths as it aligns CA's global resources in enterprise IT management with Microsoft's leadership in software, services, solutions and platform technology. CA and Microsoft offer an integrated approach to Information Governance that yields out-of-the-box solutions delivering unprecedented functionality, extended capabilities, better performance and better value. Together, CA and Microsoft technology facilitates records security, storage and FRM, offering integrated solutions to the most complex information challenges facing organizations today.

CA Solutions

CA's solutions work hand-in-hand with the Microsoft platform and can unify and simplify the governance of information across the enterprise for better business results.

CA Information Governance manages, controls and discovers information in a uniform and consistent manner, implementing controls and policies across the enterprise from a single policy console. CA Information Governance provides the capability to respond to complex discovery requests, holds, document review and production requirements across all of an organization's physical and electronic documents. It also facilitates compliance with legal, regulatory and business requirements such as SOX, FINRA, FRCP, HIPAA and SEC to name a few. CA Information Governance is comprised of two integrated software components:

1. *CA Records Manager* – Gives organizations integrated management and control of all physical, electronic and email information across the entire enterprise. The automated recordkeeping saves money and time while giving the organization quicker access to required information when and where it's needed. Its comprehensive lifecycle management of valuable information assets transcends repository silos to provide a comprehensive solution to records management, governance and compliance needs. Key capabilities of CA Records Manager include:

- *FRM to offer centralized control for records residing in disparate repositories across the enterprise, managing information 'in-place' in the repository of origin*
- *Integration with email, document managing systems, imaging and email archives as well as file shares to manage unstructured information*
- *Flexible event- and time-based record retention policy management*
- *Powerful eDiscovery, search and legal hold capabilities*
- *Enhanced security features including ethical walls, classifications, and markings to protect your corporate records.*

CA Records Manager was the first and remains the only Records Management Application (RMA) to be tested and successfully pass pairings certification by the United States Department of Defense (DoD) against version 3 of the U.S. DoD 5015.2 standard. Although a U.S. government certification, the U.S. DoD 5015.2 standard is used worldwide as the de-facto standard for comprehensive records management by both private and public organizations. CA Records Manager and Microsoft Office SharePoint Server 2007 were tested as a pairing and found to be fully compliant with the requirements.

This test has the added significance of being the first “product pairing” test conducted under the new version 3 of the DoD Standard. Previous versions of the standard did not identify specific requirements for product pairing. The Department of Defense and the US National Archives and Records Administration (NARA) recognized that the pairing of records management systems with document management systems was an industry practice and an operational necessity in many businesses and organizations. Thus, they worked together to specify best practices and formal requirements to be achieved when integrating the two systems.

2. *CA Message Manager* – A robust enterprise scale message archive and management solution for email and attachments, instant messaging and other forms of digital communications. These represent the most common – and highest risk – records of an organization, and CA Message Manager reduces that risk through comprehensive integration, supervision, discovery and archiving functionality for maximum productivity and efficiency. In most organizations, these records are managed by users locally whereas CA Message Manager provides automatic controls for terabytes of messaging information.

Key capabilities include:

- ***Automatic archiving of messages that resolves conflicts between IT administrators who want to reduce storage requirements and end users who want complete message access***
- ***Preparation for audits and eDiscovery requirements long before they occur***
- ***Integration with specific and tailored corporate policies and language***
- ***Robust policy manager with unique pre-delivery quarantine, review and monitoring***
- ***Industry-leading practices for scalability, resilience, fault tolerance and business continuity***
- ***Discovery, supervision and mailbox management modules that interface with archives***
- ***Native integration with CA Records Manager***

CA GRC Manager – In addition to CA Information Governance, CA has also developed CA GRC Manager. It provides a portfolio-based view of organizations' IT governance, risk and compliance.

CA GRC Manager ties information-based controls and risks to corporate policies, regulatory requirements and industry best practices, giving both centralization and effective oversight. It offers a holistic approach that incorporates the monitoring of information-based controls throughout the organization.

CA GRC Manager's portfolio mapping allows for monitoring, measurement and objective evaluation of risk scenarios. Reasonable risks are anticipated, identified and managed, reducing those risks and the costs involved. Key capabilities include:

- **Portfolio performance dashboards that assist with fact-based decision-making on IT risk and compliance. These views can be adapted and configured to meet visualization needs of a specific organization or individual end-users.**
- **A single global repository for storing risk information and identifying detailed controls.**
- **Control objectives and regulatory mappings from the Unified Compliance Framework (UCF) based on industry-standard regulations like COSO, HIPAA, COBIT, NIST, SOX, GLBA, FRCP, PCI, ISO17799:2005 and NERC. It can also integrate organizations' internal regulations as well as those from a third party.**
- **Robust project management that produces optimal remediation plans and eliminates communication barriers.**
- **Line-of-sight management of remediation project costs.**
- **Reporting and analytics capabilities.**

CA Technology Services™ can maximize the value of your CA Information Governance investment and allow you to adapt solutions to fit your specific goals and IT situation. Continuing customer support and training keep your CA solutions running at optimum performance. Some of the industry-specific services CA offers include:

- **Lifecycle Assessments Help you define the right strategy to complement your infrastructure and existing processes, while meeting the needs of your business requirements and governance demands.**
- **Solution Implementation Assistance Offers a phased approach that reduces risk, speeds deployment and lowers staff learning curves. The result is ease-of-implementation with alignment of the solution to your particular requirements.**

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- **System Health Checks** *Identify and evaluate use, design and performance of your CA solution to determine the best fit to your infra structure for peak performance. Periodic health checks ensure your software performance is meeting your business or law firm objectives while allowing for growth.*
 - **Best Practices Assessments** *Review current policies to streamline processes and improve efficiency and productivity. Thoroughly reviewing your solution-related procedures, policies and retention schedules ensures processes align with existing and new procedures. In addition, end-user awareness education can be provided to ensure consistency with today's best practices.*

Microsoft Platforms

Microsoft platforms are widely used for server-based records:

Microsoft Exchange Server – Exchange Server gives users access to email, attachments, voice-mail, contacts, calendars and other connectivity technology, regardless of where they are or what device they are using. It also stores readily searchable data and messaging that simplify regulatory compliance, audit requests and legal dispute resolution. CA Information Governance integrates tightly with Microsoft Exchange, managing documents, tasks and calendar items for supervision, retention, disposition, legal hold and discovery.

Microsoft Office SharePoint Server – This comprehensive content management and enterprise search platform is quickly emerging as the solution of choice for many mid-size and large organizations, enabling employees to collaborate efficiently with team members, manage content and workflows, share business intelligence, manage and implement business processes and forms, and search for enterprise information. It is also an easy-to-use platform for the creation of personal portals to share information with other employees. CA Information Governance simplifies and extends SharePoint to meet the complex Information Governance requirements of document retention and lifecycle management, legal hold and discovery with a true federated records approach.

Benefits of the tight integration with SharePoint include:

- ***SharePoint records may be managed “in place”***
 - Records are fully accessible from both CA Records Manager and SharePoint based on security.
 - File plan security and retention rules are automatically applied consistently to all content.
- ***Rules can be defined and managed to auto-declare and classify SharePoint content as corporate records. This can be done in process or at the time of project completion.***
- ***SharePoint repositories can be moved to CA Records Manager Repositories***
 - Auto-declaration rules can be established to physically move electronic records (e.g.: Upon project completion) to free storage space and improve efficiencies.
- ***Batch Declare Folders and Libraries***
 - Declare multiple SharePoint folders and libraries as records as part of a batch process.
- ***Transparent Classification***
 - Automatic identification of the CA Records Manager file plan location can be based upon SharePoint-CA Records Manager field mappings and correlations between SharePoint document's metadata and CA Records Manager category/folder metadata. This reduces the burden on the user during declaration eliminating the need to navigate a file plan.

- ***Federated Search***

- Any SharePoint document metadata field can be included into the search criteria for potential records, and enterprise Discovery.
- Additional examples are dates, document library name, folder structure.

- ***CA Records Manager and SharePoint are U.S. DoD 5015.2 v. 3 certified. The first ever certified pairing under the new more stringent standard.***

Microsoft SQL Server – Intelligent, secure and scalable, SQL Server enables users to run mission critical applications while providing proactive insight across the enterprise. It is also productive, reducing the cost of data management while streamlining data applications development. It provides solutions for data warehousing, business intelligence, online transaction processing and server consolidation. SQL Server is utilized as the FRM metadata repository for CA Information Governance.

Windows Server – This new productive platform powers networks, applications and Web services from the users to the datacenter. It gives IT professionals maximum control over their infrastructure with a robust, reliable and secure server environment. It has core features such as:

- ***Active Directory for building comprehensive identity and access foundation***
- ***Internet Information Services (IIS) for highly reliable, manageable and scalable Web applications that facilitate access to data***
- ***Terminal Services to help centralize data to improve security and availability***
- ***Failover clustering to provide high availability to mission-critical applications and services.***
- ***Server Virtualization to help consolidate workloads and fully utilize resources.***

CA Information Governance is built on Microsoft Server and takes full advantage of its robust and reliable capabilities.

BENEFITS

CA/Microsoft Solutions Fulfill Diverse Information Governance Objectives

CA products together with Microsoft platforms provide economical and comprehensive solutions to transform your organization's information challenges from an urgent business necessity to an integrated enterprise reality. When you implement CA's Information Governance solutions, you receive the following benefits:

LEVERAGES YOUR MICROSOFT OFFICE SHAREPOINT SERVER INVESTMENT:

Allows you to leverage and expand your SharePoint strategy while achieving control and compliance objectives without the need to change technologies.

U.S. DoD 5015.2 v.3 certified paired solution to meet information governance requirements.

COMPLIANCE WITHOUT DISRUPTION:

The combined Microsoft / CA solution allows policy to be applied without affecting or disrupting existing business processes. Users continue to work within their familiar Microsoft UI as policy is applied consistently across the enterprise.

COST SAVINGS:

FRM technology helps organizations maximize their existing IT infrastructure without rip and replace requirements.

Improved records management translates into improved staff productivity due to faster information retrieval as well as reduced physical storage needs.

Searches within record profile information facilitate fast, easy records retrieval, increasing productivity and improving job performance.

Managed and controlled messages enable IT staff to improve storage efficiency while answer user demands for fast access.

By quickly fulfilling discovery requirements, you use fewer resources and avoid fines, compliance penalties and other costs.

COMPREHENSIVE:

Integrated Records Lifecycle Management enables you to archive, organize and retrieve records, regardless of format, from their creation to destruction while optimizing compliance and business processes.

Integrated FRM facilitates management of information in diverse content silos while maintaining consistent policy enforcement across the enterprise for records and non-records. Retention management, preservation, security, and ready access

are all key when considering legal, regulatory and business obligations. Robust controls and audit capabilities that include automated rules and integration with email and mobile devices let you unify all information under a singular file plan in a virtual repository. An extensive server-based policy engine proactively manages retention scheduling and ensures secure and proper record access. Monitoring and reporting functionality is both powerful and flexible, providing complete audit trails and records visibility to prove chain of custody.

SIMPLIFICATION:

FRM technology leverages existing infrastructure to simplify deployment. CA's holistic approach to Information Governance significantly reduces administrative redundancy and streamlines operations.

CA Information Governance lets you create a scalable master file plan with ease based on the particular needs and requirements of your organization.

Records capture can be automated and convenient thanks to tight integration with common information management, office and email applications.

Intuitive interfaces facilitate quick and easy Information Governance implementation for IT professionals and end users.

MINIMIZED EXPOSURE:

Discovery and litigation support gives legal teams the ability to search all content across the enterprise, reducing their dependency on IT.

Proactive continuous compliance reduces risk by effectively managing records through the protection of information assets.

Solid preservation of record authenticity facilitates legal and regulatory compliance obligations.

Robust audit tracking supports discovery and records requirements for proof of chain-of-custody.

Advanced legal hold capabilities ensure preservation during Discovery. Pre-delivery quarantine of suspicious messages prevent 'problem' emails from leaving an organization.

Dynamic real-time analysis of IT risk and controls through portfolio performance dashboards provides you with an enterprise-wide insight into potential risks.

NEXT STEPS

All organizations, regardless of industry or size, face potential risks created by compliance and Discovery. You may be facing many of the challenges outlined in this White Paper. To implement a global Information Governance approach to your organization and realize the benefits available through the CA/Microsoft solutions, contact your CA representative or visit www.ca.com/microsoft.