IBM

IBM **Information Management** software

Manage and archive e-mail for business agility, regulatory compliance and fast response to legal discovery.

ON DEMAND BUSINESS™

Introduction

Maintaining business agility despite growing e-mail volumes

Your business needs to be agile to succeed, and e-mail has become the primary communication medium for enabling business agility. By now, users take the benefits of e-mail almost for granted: instant communication and collaboration, immediate access to critical information and the ability to mobilize people and resources rapidly to meet the requirements of a dynamic marketplace. One study shows that 75 percent of business at large enterprises is now conducted or confirmed through e-mail, with message volumes growing by as much as 50 percent annually.

Along with this explosive growth in e-mail use, businesses face several new challenges. As e-mail messages multiply, they can quickly overburden servers, slow application performance and make critical information difficult to find. Storage volumes also continue to increase, which can complicate backup and recovery operations and make e-mail servers difficult to upgrade or consolidate. IT administrators, in turn, face constant demands for more disk space and associated overhead for backing up e-mail servers.

The pressures aren't just felt in the data center. If information contained in e-mail can't be located, productivity can suffer in all areas of your business. As much as 30 percent of employee time at some organizations is spent trying to find the right documents and information. This distracts staff from their core responsibilities, such as serving customers and creating new products, and can bring your agile business to a standstill.

Meeting compliance and discovery requirements head on

Requests for legal discovery related to e-mail messages are also increasing and carry a large cost of exposure. According to a recent litigation trends survey conducted by Fulbright & Jaworksi, LLP, nearly 90 percent of US corporations are engaged in some type of litigation, and while the average company may balance a docket of 37, companies with revenue over $1 Billion average about 140

cases. E-mail is now subpoenaed in a high percentage of these cases and companies are fined millions and even billions of dollars for not being able to produce e-mail records. Companies also need to manage their e-mail information to comply with their own corporate guidelines, and with specific government and industry regulations pertaining to records retention such as Sarbanes-Oxley, Securities and Exchange Commission (SEC) Rule 17a-4, National Association of Security Dealers (NASD) and New York Stock Exchange (NYSE) requirements.

E-mail archiving, discovery and compliance solutions can solve these problems. These solutions preserve and provide access to business information and intellectual property contained in e-mail. They also offload e-mail volumes and storage to make the existing e-mail systems perform better. In addition, businesses are now looking to these solutions to reduce legal discovery costs, help with compliance efforts and improve productivity and business agility. E-mail archiving, discovery and compliance solutions support the development of repeatable protocols that allow discovery costs and timelines to become more predictable, thus providing legal staff with better information to negotiate the discovery process.

What should you expect from an e-mail archiving, discovery and compliance solution? The following are the basic functions and features you should look for when making your evaluations.

Search and discover full e-mail content, even if it's years old: To provide basic functionality to preserve and manage your company's information and intellectual property, the solution must:

- *Capture e-mails at the appropriate point to preserve original form and ensure authenticity.*
- *Create a thorough index of e-mail content, including message body and attachments.*
- *Apply flexible time- and event-based retention and destruction rules, making it possible to comply with strict government*

regulations and corporate policies while minimizing operational costs.

- *Adapt to your organization's policies regarding risk, governance and compliance.*
- *Reduce the perceived need by individuals to retain private e-mail archives (.pst or .nsf files) on their computers.*
- *Maintain security and access controls to protect information integrity and user privacy.*
- *Provide advanced cross-mailbox search capabilities for authorized users (such as legal or audit staff) who require it.*
- *Make the archiving process transparent to end users.*

Improve the efficiency, performance and ROI of your company e-mail system: The solution needs to make your existing e-mail system more efficient, agile and responsive while avoiding any impacts on end users. The solution should:

- *Reduce e-mail system storage and backup and restore times.*
- *Simplify e-mail server upgrades and consolidations.*
- *Provide a central archive for searching and retrieving e-mails when responding to discovery orders.*
- *Be compatible with your existing e-mail system, including IBM Lotus® Domino® or Microsoft Exchange.*
- *Preserve original e-mail message formats.*
- *Allow users to search archive and retrieve messages from their usual e-mail interface.*

Consolidate e-mail archiving and other content in a single, searchable repository: The solution should store and provide access to e-mails, attachments and other company content, such as documents, faxes, images, audio, video and Web content, in a single system. This integrated approach contrasts with solutions that fragment e-mail archives and other content in separate content silos that are difficult to search and costly to manage and maintain. By performing only one search instead of many, organizations can reduce the cost and effort required to respond to regulatory audits or legal discovery. Integration of e-mail archiving and content management can help companies consistently apply a single set of records management policies to all company content.

Provide a secure, scalable content archive: Beyond the need for integration, the performance, scalability and security of the back-end content repository — and the database that powers it — are critical. The solution should scale to accommodate a steadily expanding number of e-mail users, and volume and size of e-mail messages — and thus provide a virtually unlimited e-mail store. The solution also needs security and access controls to protect the security and privacy of individual e-mail users, while allowing authorized users to search across mailboxes. The content management system must also be based on open standards and be flexible for operation with the widest range of management solutions and repositories, databases and storage devices.

Meet compliance requirements with centralized and certified records management: The solution needs to be integrated with a records management capability to support compliance, legal and records management programs. An integrated solution allows your organization to manage, retain and dispose of e-mail records based on regulatory, legal and corporate requirements, while also improving operational efficiency. The solution should:

- *Apply appropriate time- and event-based retention and destruction rules to support compliance efforts.*
- *Declare and classify e-mail and attachments as official company records.*
- *Archive e-mail as records consistent with any other media type (e.g., documents, spreadsheets, presentations, forms data, invoices, statements).*
- *Enable automatic or semi-automatic records declaration and classification, eliminating the need for end users to learn new applications and make complex decisions about what constitutes a record and which retention rules to apply.*
- *Control e-mail records from creation to destruction — prevent edit/deletion and log all actions (e.g. view, print) for audit and reporting purposes, while providing for non-recoverable destruction of both message content and meta data.*
- *Allow legal staff to perform a single discovery across all or multiple mailboxes, and place any number of e-mail messages*

on hold prior to their disposition date to make sure they are preserved until the audit or legal action is resolved.

- *Lock down e-mail messages as records to demonstrate their authenticity in satisfying regulatory and legal requirements.*
- *Protect e-mail on nonerasable storage devices to comply with SEC Rule 17a-4.*

Respond rapidly to legal discovery: The solution needs to enable your company to respond faster, with less effort and cost, and with more accuracy when required to produce e-mail for a regulatory audit or a lawsuit. The compliance and legal staff should benefit from more time for legal reviews and preparation, as well as have the assurance that there will be no undiscovered "smoking guns." In addition, the solution should allow your legal staff to:

- *Perform a single discovery across mailboxes to find all e-mail messages that may pertain to a legal discovery without depending on IT to load and search e-mail backup tapes.*
- *Reduce risk and exposure of private e-mail archives (.pst or .nsf files) on user laptops and desktops.*
- *Apply various, flexible search queries to find relevant information.*
- *Access a thorough index of e-mail content to facilitate the relevancy and precision of discovery searches.*
- *Place "found" e-mail on hold (which holds/suspends any normal disposition/deletion schedule).*
- *Declare and classify previously undeclared e-mail as records and place on hold.*
- *Search across mailboxes by more than just key words, names and dates, and use advanced and time-saving search capabilities such as Boolean logic and fuzzy search.*
- *Save, refine and export search result sets in a format, such as .nsf or .pst files, that is easily reviewable by third parties for further data forensics.*

Dramatically reduce storage costs: The solution should support automated policies that offload content from the e-mail system to the appropriate storage device, optimize storage capacity and reduce administrative costs, without jeopardizing accessibility or data integrity required for regulatory, compliance and business purposes. In addition, the solution needs to:

- *Provide single-instance store, which recognizes duplicate requests and archives the same message or attachment only once in the central repository.*
- *Reduce storage requirements further by compressing content before storing it.*
- *Support an Information Lifecycle Management (ILM) strategy for e-mail records, including policies that determine how to retain the right records, optimize storage costs throughout the e-mail lifecycle, and either destroy e-mails at the end of life or relegate them to less expensive media for permanent archiving. With hierarchical storage management, you can select the most appropriate storage device to match the business value of the archived e-mail.*

Meet your criteria with an integrated e-mail archiving, discovery and compliance solution from IBM

No single e-mail archiving, discovery and compliance solution is right for every company. That's why IBM offers a flexible and integrated solution that can reduce legal discovery costs, help with regulatory compliance and make your business more agile. The IBM solution moves e-mail from the messaging system to a secure, central repository that is accessible by authorized users. This repository can scale to virtually unlimited size. No matter how large it becomes, IBM search technology is designed to conduct accurate, fast and flexible searches. The IBM e-mail archiving, discovery and compliance portfolio includes multiple solutions.

IBM CommonStore for Lotus Domino and IBM CommonStore for Exchange Server help trim the size of your organization's e-mail database to reduce storage costs, improve e-mail system performance and provide virtually unlimited user mailbox space. These solutions archive e-mail and attachments from Lotus Domino or Microsoft Exchange mail databases, and can use IBM Content Manager as the archival repository for making e-mail messages accessible and reusable by other applications.

CommonStore solutions make it easy to configure e-mail policies to automatically archive e-mail. A single-instance store and compression capability helps reduce the overall storage size, and granular archive options let users archive e-mail only, attachments only or e-mail with attachments. CommonStore solutions support full text indexing and search on attributes, message body and attachments, as well as utilize more than 600 IBM and non-IBM storage devices for unparalleled flexibility.

IBM eMail Search for CommonStore is an easy-to-use Web client that enables authorized users to perform general search and discovery on e-mail archived in IBM Content Manager. The solution allows legal staff to perform a single search that spans all or multiple mailboxes to find relevant information in response to an audit or discovery. Having identified the pertinent e-mail, your organization can place it on hold within Content Manager, and declare and classify it as an official record via tight integration with IBM Records Manager. Search result sets can be refined and can be exported in a format that is easily reviewable by third parties, such as .nsf or .pst files, that is easily reviewable by third parties for further data forensics.

IBM Content Manager Enterprise Edition gives your organization a common repository for all types of content and helps automate information-gathering processes and effective capture, organization, management, protection and disposition of information assets across the organization. This solution enables your organization to leverage critical business information across diverse applications and business processes, and deliver integrated, consistent information to customers, partners, and employees, where and when they need it. Content Manager helps businesses comply with regulations requiring records management, records retention and supervision, information approval and accountability, privacy and information sharing, and with corporate finance controls. Designed to support a wide range of organizational needs—from workgroups to high-volume business processes—Content Manager is an open, flexible platform that solves today's business challenges and can easily be extended to meet future needs.

IBM Records Manager goes far beyond the capabilities of traditional e-records desktop applications by applying electronic recordkeeping directly to most business software applications and managing information of all media types, including e-mail. Records Manager is 100 percent Web-based—there is no desktop recordkeeping client software to install. Your organization can directly apply records control to declared records within the business application's repository, while leaving business processes intact and preserving vital security. Records Manager is certified compliant with U.S. Department of Defense (DoD) 5015.2 Chapter 2 and Chapter 4 security requirements, and approved with the UK's National Archives 2002 (TNA) requirements for records management software.

When used with a clear and consistent records management policy, Records Manager provides:

- *A highly structured approach to retention of all types of records, including e-mail and attachments.*
- *Disposition of records at the end of their life cycles.*
- *"Hold" capability to suspend normal disposition schedules.*
- *Auditing and reporting of access and actions on records to help demonstrate compliance.*

Integration of Records Manager with CommonStore solutions allows your organization to expose records management capabilities directly within Lotus Notes® or Microsoft Outlook. You can configure policies to provide automated or "touchless" records declaration and classification based on pre-defined rules or e-mail meta data, without end-user involvement. These automatic capabilities deliver consistent e-mail records declaration and accurate classification by eliminating the dependency on end users to manually declare records and interpret complex retention rules.

Orchestria Monitoring and Supervision for IBM CommonStore e-mail archiving solutions is based on Orchestria's Active Policy Manager (APM) approach. The solution includes a set of pre-configured policies to analyze all aspects of e-mail messages to provide:

- *Real-Time Prevention™ before the message is sent to stop the violation from occurring and prevent the e-mail from reaching the archive.*
- *Intelligent Review™ after the e-mail is sent to transform the audit and review process into a cost-effective and efficient function.*
- *A tamper-proof audit trail to demonstrate compliance and good behavior.*
- *Prevention and deterrence of future violations.*
- *Accurately categorize messages to enhance retrieval and reduce storage costs.*

The bottom line of e-mail archiving, discovery and compliance

Lower your legal discovery costs. Streamline compliance. Improve productivity. Achieve virtually unlimited mailbox size. Leverage and extend your existing information assets. E-mail archiving, discovery and compliance are critical capabilities for companies today and will become even more critical as time goes on. The number of regulations and the size of e-mail volumes are increasing exponentially.

But don't wait. Ask for a demonstration to see how the IBM e-mail archiving, discovery and compliance solutions can increase the agility of your business and maximize the value of your e-mail technology investments.

For more information

Please contact your IBM representative or an IBM Business Partner, or visit:

www-306.ibm.com/software/data/commonstore/

Product evaluation checklist

The e-mail management, archiving and discovery solution you choose should enable you to:	IBM	Other vendor
Search and discover e-mail content:		
Capture e-mail at appropriate point to ensure authenticity.	X	
Create a thorough index of e-mail content.	X	
Apply time-and event-based retention and destruction rules.	X	
Leverage advanced search techniques across mailboxes.	X	
Improve e-mail system efficiency and performance:		
Offload e-mail from the server.	X	
Reduce e-mail storage and backup or restore times.	X	
Be compatible with both Lotus Domino and Microsoft Exchange.	X	
Preserve original e-mail formats.	X	
Provide transparency to end users.	X	

Product evaluation checklist

The e-mail management, archiving and discovery solution you choose should enable you to:	IBM	Other vendor
Consolidate e-mail archiving and content management:		
Provide access to e-mail messages, attachments and other company content in one system.	X	
Perform one search instead of many.	X	
Provide secure, scalable content management:		
Obtain virtually unlimited mailbox space.	X	
Maintain access and security controls.	X	
Support widest range of management solutions, databases, repositories and storage devices.	X	
Meet compliance requirements with records management:		
Declare and classify e-mail and attachments as company records.	X	
Lock down e-mail as records	X	
Apply time- and event-based retention and destruction rules.	X	
Archive e-mail as records consistent with other types of media.	X	
Enable automatic records declaration, transparent to end users.	X	
Create a thorough index of e-mail content.	X	
Control e-mail records from creation to destruction, and log all actions.	X	
Allow legal staff to perform discovery across all or multiple mailboxes.	X	
Place e-mail messages on legal hold.	X	
Protect e-mail on nonerasable storage devices.	X	
Respond rapidly to legal discovery orders:		
Perform a single discovery across mailboxes.	X	
Apply various and flexible search queries to find the needed information.	X	
Full-text indexing of e-mails for effective and efficient search.	X	
Place "found" e-mail on legal hold.	X	
Declare and classify previously unidentified e-mail as records.	X	
Leverage advanced search techniques, including Boolean logic and fuzzy search.	X	
Reduce storage costs:		
Utilize single-instance store.	X	
Compress content before storing it.	X	
Support Information Lifecycle Management strategy.	X	

TAKE BACK CONTROL WITH   Information Management