



Manage risk and address return on investment with IBM compliance solutions.



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Overview

Today's businesses are under enormous burdens in terms of data storage, archiving, retrieval, proof of authenticity and process. Organizations are increasingly held accountable for meeting higher expectations. Many are looking to instill a management discipline to develop a culture of ethics and accountability, help ensure operational and financial integrity, and create enterprise-wide visibility, measurement and control over risk. In short, governance, risk management and compliance.

IBM can provide a range of solutions that can help you with your program for governance, risk management and compliance. Combined with your policies and procedures, these solutions can support your records and retention management; enterprise content and business process management; e-mail archiving, discovery and compliance solutions; risk control management; security audit and compliance reporting; and storage management programs. They help by capturing, retaining, protecting and managing the life cycle of your important business information.

Review key IT capabilities often required for compliance

The core requirement for good governance is securely retaining the right information for the right amount of time, along with having the capability to produce it in a timely manner and be able to demonstrate that it has not been altered or corrupted. Additionally, good governance relies on sound policies and procedures that are followed consistently.

We should note that the above definition involves requirements across a span of time. Accordingly, IT organizations should develop solutions that will:

- Achieve compliance at present, providing the proper operational policies, processes and controls.
- Sustain compliance for the future, helping ensure that every time an organization performs a process, it will comply with established policies in a cost-effective manner.
- Prove compliance in the past, producing corporate records as well as other forms of evidence and proof that the organization has been compliant with their policies and processes.

Driven by these requirements, a good governance solution should support the following capabilities:

- **Capture and classification:** declaring a piece of content to be a corporate record and assigning it to the organization's taxonomy of information. This declaration and classification can be initiated manually or automatically as part of a business process.
- **Records and retention management:** managing and enforcing retention policies, and sanctioned destruction associated with records.
- **Information integrity:** keeping the record in its original, unaltered form and controlling it during its life cycle to ensure authenticity.
- **Search and retrieve:** providing access to data and maintaining its context through a robust search or e-discovery capability, with specific requirements for situations such as litigation support.
- **Security:** protecting all elements of the information itself and the content management framework, especially important when dealing with business records.
- **Audit control:** demonstrating proper handling of information throughout its entire life cycle, from creation to final destruction. This may include tracking who had access to records at various times.
- **Hold:** providing the capability to put on hold, or suspend, a normal disposition schedule.
- **Disposition:** either destroying a record or moving it to permanent archives. This occurs at the end of its scheduled retention period and after all relevant hold orders have been released.

Explore the components of an effective governance, risk management and compliance solution

No single software or hardware solution fits all use cases for good governance, risk management and compliance, making it especially difficult for companies to select the right technology for their unique requirements. Based on the

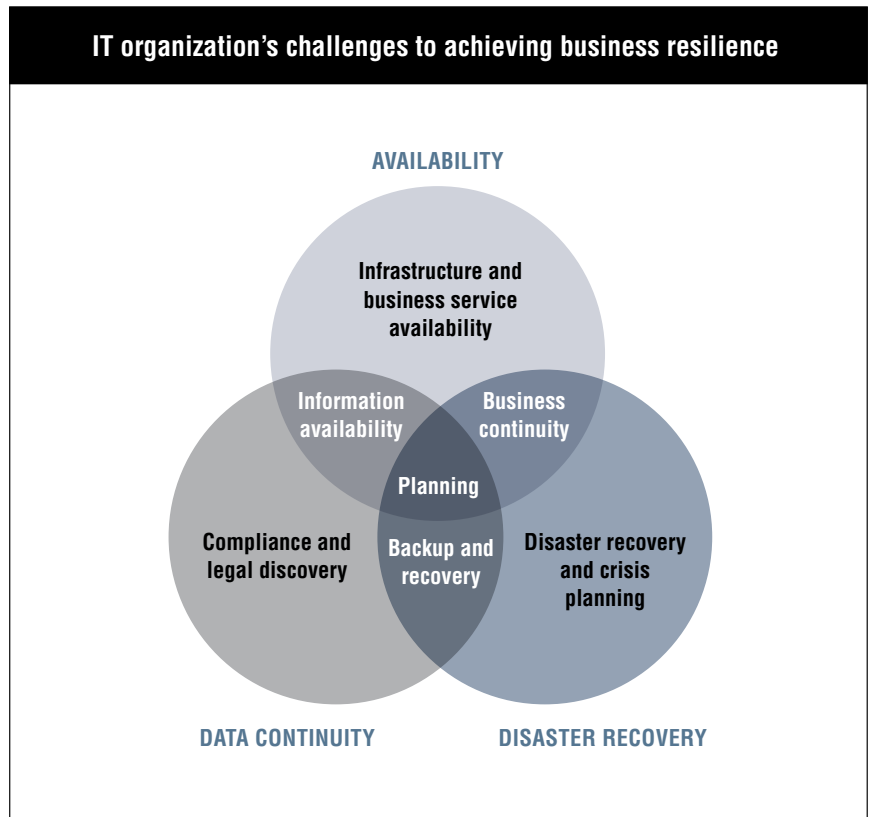
capabilities described on page 3, the following components can be utilized as part of an overall program:

Records and retention management: *to help ensure that organizations collect, preserve and protect the right information for the right period of time.*

IBM FileNet Records Manager (winner of the AIIM 2004 Best of Show Award for Records Management) can securely capture, declare, classify, manage, hold and dispose of electronic and physical records, helping to streamline business processes, address regulatory compliance challenges and deliver tangible return on investment (ROI). Integrating records capture and classification into business processes using ZeroClick technology reduces burdensome end-user participation and helps ensure consistency.

IBM Federated Records Management and Federated Records Management for Content Manager OnDemand (winner of the AIIM 2005 and 2006 Best of Show Award for Records Management) can centrally manage the retention, security, hold and disposition of company records across both IBM and non-IBM content repositories.

IBM FileNet Records Crawler can actively search network drives for documents that are not currently managed by a content management or records management system. Documents meeting certain criteria can be moved or copied into a content repository, thus enforcing document control policies on those files.



Enterprise content and business process management: to create a content repository for the secure retention and management of information in the context of business processes.

IBM offers a robust and complete enterprise content management portfolio of solutions designed to address the needs of companies – large and small – in industries across the globe. IBM Content Manager enables a rich set of content management services for controlling both content and processes throughout a distributed enterprise. It enables organizations to store, manage

Highlights

IBM business process management solutions allow organizations deploying process solutions across the enterprise to help reduce costs and improve productivity and customer service

and deploy all types of content, including HTML and XML, graphics, multimedia, other types of rich media, e-mail and traditional documents created with desktop applications.

IBM FileNet P8 provides a unified content, process and compliance platform that can accelerate application deployment, increase operational flexibility and lower total cost of ownership (TCO). It delivers a scalable, unified metadata and catalog model for imaging, document management, process and compliance. FileNet P8 can be integrated with leading desktop and portal environments to help accelerate business performance, provide ease of deployment and lower TCO.

IBM business process management solutions, such as IBM FileNet Business Process Manager, allow organizations to accelerate the deployment of process solutions across the enterprise to help reduce costs and improve productivity and customer service. These solutions provide integrated file system control, records and e-mail management, policy management and continuous compliance monitoring, as well as services designed to support a compliance service oriented architecture (CSOA).

E-mail archiving, discovery and compliance applications: to provide an infrastructure that helps companies apply governance and control to e-mail.

IBM CommonStore® for Lotus® Domino® and IBM CommonStore for Exchange Server help organizations capture, classify, archive, retrieve, manage, hold and discover e-mail. IBM eMail Search for CommonStore provides the capability for authorized individuals to search across mailboxes to help ensure timely and accurate responses to information requests. Available for small and midsize businesses through value-added resellers and distributors, IBM CommonStore eMail Archiving Preload combines e-mail archiving software with IBM BladeCenter® servers and IBM TotalStorage® for a fast, easy and repeatable solution.

Risk control management and reporting: to help manage and report on control effectiveness.

An open standards-based, controls-management solution like IBM Workplace™ for Business Controls and Reporting can help lower the total cost of compliance, simplify enterprise risk, control self-assessments with user-defined surveys, and increase visibility into organizational processes, risks and control effectiveness.

Security audit and compliance management reporting: to assess whether accesses and changes to stored data and information are in accordance with acceptable use policies and change management procedures.

The Consul InSight and Consul zSecure™ suites from Consul risk management, an IBM company, provide policy-based security audit and compliance management functionality that helps automate the monitoring and reporting process. These solutions provide the reporting requested by auditors to verify that the controls implemented to protect data and information are operating effectively.

Storage management: to ensure that data and information are retained, protected as required and available when needed.

The IBM Tivoli® family of storage products provides policy-based data management capabilities that can be linked to business-driven records management policies. Well-suited for archiving and retaining e-mail, digital images, database applications, account records, contracts, insurance claims and a range of other information, offerings such as IBM System Storage™ DR550 and IBM System Storage Archive Manager (winner of the AIIM 2005 and 2006 Best of Show Award for Storage) can protect information from deletion or edits throughout its life cycle. In addition, effectively managing storage by migrating information to lower-cost storage tiers over time helps companies lower their TCO.



Summary

IBM can help organizations assess and prioritize their critical data and information in light of regulatory, legal and standards requirements and business needs – and then develop and implement a comprehensive plan based on proven technology and best practices.

Our solutions draw from IBM's business continuity, disaster recovery, governance, risk management and compliance experience. With IBM, organizations have a trusted, deeply experienced partner that can help them develop an integrated solution that can be tailored to address virtually any governance need.

For more information

To learn more about IBM solutions for compliance and legal discovery, contact your IBM representative or IBM Business Partner, or visit ibm.com/itsolutions/uk/governance/businesscontinuity

About IBM solutions for enabling IT governance and risk management

IBM enables IT organizations to support governance and risk management by aligning IT policies, processes and projects with business goals. Organizations can leverage IBM services, software and hardware to plan, execute and manage initiatives for IT service management, business resilience and security across the enterprise. Organizations of every size can benefit from flexible, modular IBM offerings that span business management, IT development and IT operations and draw on extensive customer experience, best practices and open standards-based technology. IBM helps clients implement the right IT solutions to achieve rapid business results and become a strategic partner in business growth. For more information about IBM Governance and Risk Management, visit ibm.com/itsolutions/uk/governance

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Route 100
Somers, NY 10589
U.S.A.

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