

Ensure Collaboration and a Consistent Culture of Compliance With CA Information Governance and Microsoft® Office SharePoint®

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Executive Summary

Challenge

By leveraging the latest technology innovations, your organization can greatly enhance the way business information is created, stored and used. However, every new wave of technology also brings new security risks and challenges regarding the management, protection and governance of information. As the amount of business information increases, so does the complexity of keeping it protected, organized and fully accessible. In the Microsoft® SharePoint® Server 2007 environment, as you maximize collaboration between users, you may unknowingly be experiencing critical governance gaps. These gaps can occur in how you unify information, adapt to changing legal and regulatory requirements, reduce risk, prepare for litigation and generally ensure governance over all content — physical and electronic.

Opportunity

With comprehensive records management, archiving and eDiscovery capabilities, the CA Information Governance Suite enables you to appropriately manage, control and discover enterprise content without affecting the collaborative opportunities of Microsoft SharePoint. With policy-driven controls, you can reduce risk, ensure proper access and facilitate litigation preparedness over all content enterprise wide. Through its partnership with Microsoft, CA yields advanced technology that enables proactive, comprehensive Information Governance that is scalable and cost-effective.

Benefits

The CA Information Governance Suite enhances the functionality of Microsoft SharePoint to help you reduce costs while enabling your organization to unify information, adapt to changing legal and regulatory requirements, reduce risk and remain litigation ready. In addition to helping you ensure governance over all physical and electronic content, the solution enhances productivity and increases efficiency via an array of features and benefits, including full integration with Microsoft SharePoint Server 2007 and a strong and long-standing relationship with Microsoft.

Collaboration Without Information Governance Leaves Gaps in Policy Control and Enforcement

Many organizations today are already pursuing the latest innovations in collaboration software, such as Microsoft® Office SharePoint® Server 2007 (MOSS), to enhance productivity via a single, integrated location where employees can efficiently work together. MOSS helps staff find available resources, search for content experts and corporate data, manage content and workflow and leverage business insight to make better-informed decisions — all to reap greater value from the vital information assets they have developed and maintained.

And while there are clear return on investment (ROI) opportunities to be derived from these technologies via speed of delivery and knowledge sharing, there is also persistent risk exposure for businesses that do not have appropriate governance controls in place. Breaches can occur as content is created, during an eDiscovery investigation and at many other points along the information lifecycle. Thus, those without a comprehensive governance program are ill-equipped to proactively manage, control or discover their own business-critical content. As the free flow of information boosts productivity and increases work quality, you must consider the following questions:

1. How do we share and collaborate effectively while simultaneously achieving proactive compliance with legal regulations and guidelines?
2. Can we actively enforce business policies along every step of the information lifecycle and for every user?
3. Are our business rules applied across every repository and the entire enterprise?
4. Are we effectively applying retention policies to mitigate risk by ensuring the timely removal of additional content created as a result of collaboration?

Taking a Comprehensive Approach

Beyond the challenges of effective collaboration and access, it is becoming more apparent that the standard methods of managing information may not be enough. In fact, growing legal, regulatory and compliance pressures demand that you proactively address information overload to meet business objectives head on.

At the same time, appropriate safeguards and measures must be in place to protect sensitive information and minimize risk through effective and transparent mechanisms that ensure compliance. This has led companies to widen their efforts and seek a more complete solution. The new path, which helps increase control over business information, is more accurately referred to as *Information Governance*.

Information Governance is a new approach that represents a shift in the way information is managed. It moves beyond a focus on repositories — their capabilities and surrounding infrastructures — to an overarching strategy of a policy authority. The result is an enterprise governance program guided by a best-practice-based policy. It removes the restrictions and limitations imposed by an existing repository or technology and the piecemeal or compartmentalized styles of managing information. A solid information governance program provides accurate, consistent controls that deliver the right information at the right time to help you make fact-based decisions that drive your business and boost your competitive advantage.

Governance as a Critical Enterprise Strategy

With hundreds of SharePoint sites creating ever-expanding and often unmanaged information stores, your organization can quickly be overwhelmed by the organic growth that occurs within MOSS environments. And, without an information governance program — and a complementary enterprise policy authority — you may not know how much of your information is responsive in the event of a litigation or audit.

Moreover, as business information continues to grow, your IT complexity and exposure to risk expands in kind. Consequently, achieving collaboration goals with the features and benefits of MOSS creates a critical need to ensure the management, protection and governance of information with appropriate policies and controls.

As you grapple with how to best enforce a proactive information governance program in your MOSS environment, you will face a number of challenges, including:

- Unifying information that may be managed by separate and sometimes disparate platforms
- Adapting to changing and emerging IT, legal and regulatory requirements
- Reducing overall risk and exposure, which results from collaborative autonomy
- Protecting investment in information systems and other information resources
- Ensuring readiness for eDiscovery
- Managing the retention and disposition of records and non-records

Gaps in Governance Within a MOSS Environment

Information overload is one of the main reasons organizations implement Microsoft SharePoint, as it allows employees to quickly and easily leverage critical business information to work better, faster and smarter. However, the output of collaborative processes — or ad-hoc content development — often creates important business records that need to be managed and maintained according to organizational and regulatory policies. For accuracy, these policies must be applied consistently across the enterprise, irrespective of format or host application. Because, as you probably know, a document originated in an informal workflow or locally controlled repository is as susceptible to regulation requirements or eDiscovery as any other.

For instance, you may use MOSS to create simple workflow mechanisms where client contracts are developed and approved. You oversee the evolution of the Microsoft Word document from a standard template through the addition of terms, conditions and pricing. This workflow process is simplified greatly through MOSS and increases the responsiveness and consistency of the process. But what type of policy is applied to the final version? Is the printed, signed copy maintained as an important business record? What about the electronic version? Are any of the earlier drafts valuable for other uses, and if so, how are they stored? Moreover, what policy dictates how a collaborative project is handled upon its finalization?

In a larger context, these questions and many others are probably answered within your records management policy and retention schedule. But, how do you apply these policies across MOSS and ensure they are consistent with other repositories, such as email, email archives, line of business applications and enterprise content management (ECM) systems? With the CA Information Governance Suite, you can address these critical management issues, thereby reducing your exposure without impeding collaborative opportunities.

SECTION 2: OPPORTUNITY

Leverage Business Intelligence While Enforcing a Risk-reducing Policy Authority

The CA Information Governance Suite and Microsoft SharePoint interoperate seamlessly, enabling you to leverage critical information assets through collaboration while still enforcing an overall information governance strategy. This integration between the solutions creates a beneficial union between collaboration and governance efforts without burdening end users.

Together, these solutions give you unmatched control over your information so you can mitigate risk, preserve business value and centralize the management of legal, regulatory and business compliance. As such, the typical collaboration activities performed within Microsoft SharePoint can be bolstered by adherence to compliance goals within a central, over-arching information governance framework.

A Comprehensive, Scalable Solution for Information Governance

The CA Information Governance Suite is a comprehensive, modular and scalable solution that facilitates proactive and policy-driven information and retention management enterprise wide. Together with MOSS, CA provides a fully integrated and highly configurable solution that manages documents of record, and non-records, within a SharePoint team site, and across all SharePoint servers using a centralized set of organizational retention policies and procedures. The net effect is that all end users can work comfortably within the easy-to-use SharePoint environment, while compliance, legal and administrative users can manage the overall organization via a single policy authority and discovery console.

As such, the CA Information Governance Suite helps you improve your compliance programs, protect and enable access to valuable information assets and streamline information governance processes with advanced retention management, records management, email archiving and eDiscovery technologies.

CORE COMPONENTS OF THE CA INFORMATION GOVERNANCE SUITE

The CA Information Governance Suite includes CA Records Manager, CA Message Manager and a discovery and retention module and provides numerous features and benefits to enhance the Microsoft SharePoint environment.

CA RECORDS MANAGER is core to the Information Governance Suite, enabling strict control and management of physical, electronic and email records, while reducing end-user burden and administrative overhead. Built upon a federated architecture, the solution provides a centralized management console that acts as the policy authority to apply uniform business policies and protect information across disparate enterprise content silos.

CA Records Manager has been certified against the U.S. DoD 5015.2 v.3 standard for records management applications and, in support of the federated and infrastructure-independent architecture, maintains the most partnered certifications in the industry — including Microsoft SharePoint.

CA MESSAGE MANAGER provides industry-leading mailbox management, eDiscovery, retention management and supervision capabilities. With archiving, control and tracking of electronic communications, such as email and instant messaging (IM), the solution facilitates the cost-effective management of email as an integral part of your overall business.

CA Message Manager is also U.S. DoD 5015.2 certified and tightly integrated with CA Records Manager to ensure that email is consistently managed according to corporate retention policies.

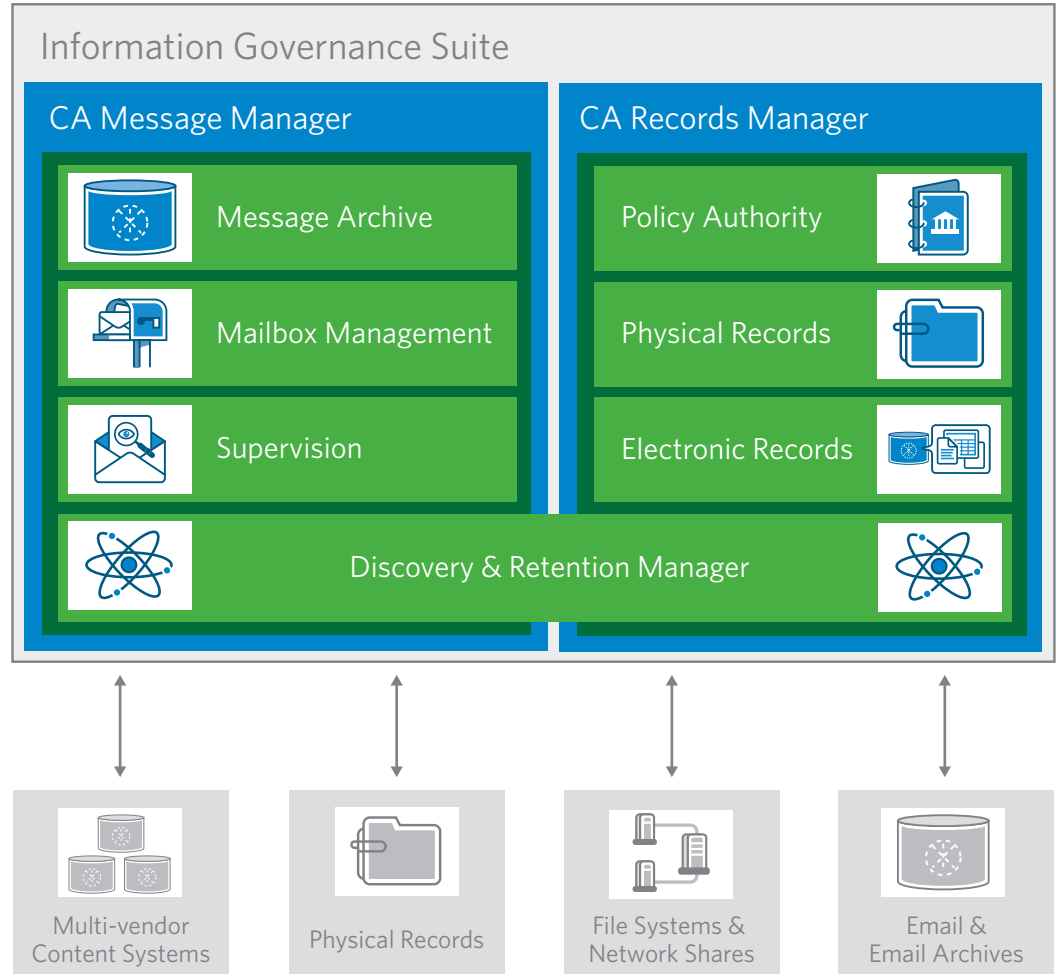
THE DISCOVERY AND RETENTION MANAGER MODULE is shared between CA Message Manager and CA Records Manager and furthers your ability to manage all content across the enterprise. It delivers a common interface for federation from either solution across the CA Information Governance Suite and to other content repositories, providing eDiscovery, legal hold capabilities, advanced retention management and search for record and non-record content.

The Discovery and Retention Manager module optimizes eDiscovery processes for increased efficiency with limited outside consultancy costs by producing only highly relevant information for review, helping you proactively retain and dispose of the right information at the right time.

FIGURE A

The CA Information Governance Suite enables you to proactively manage data with comprehensive records management, archiving and discovery capabilities, so you can fulfill your many legal, regulatory and business obligations.

THE CA INFORMATION GOVERNANCE SUITE



SECTION 3: **BENEFITS**

Achieve Greater Benefits With Information Governance in the MOSS Environment

With CA Information Governance, you can elevate your ability to manage and control information within the autonomous, open Microsoft SharePoint environment using a centralized management console that facilitates information governance across your entire enterprise. And, you can achieve these goals without compromising the collaborative benefits of MOSS.

The CA solution joins forces with MOSS to lower overall cost of ownership and improve your ability to manage risk and remain prepared in the event of litigation or audit — without disrupting the normal flow of business. With the CA Information Governance Suite, you can also reduce dependence on IT during the discovery process by allowing users to have more control with such business-critical tasks as applying legal holds.

More importantly, the addition of the CA Information Governance Suite within the Microsoft Office SharePoint environment can increase your overall performance levels by:

- Enabling you to proactively and consistently manage vital physical and electronic records across repositories with policy-driven controls that help reduce risk and facilitate litigation preparedness.
- Ensuring consistent retention management and records practices across the organization — and across all information types — to facilitate a repeatable and defensible governance strategy.
- Providing a unified view of all information enterprise wide.
- Reducing business disruption, usually caused by new technology implementations, via a federated approach which allows “in place” management of existing content.
- Meeting the most stringent organizational and regulatory requirements for records management applications (DoD 5015.2 v2 Chapter 2 and 4 certifications, and most recently, DoD 5015.2 Version 3 Chapter 2, with the joint pairing of Microsoft SharePoint).
- Managing chain-of-custody for information — including email — to meet business, regulatory and legal requirements.

Simplify Governance Efforts by Managing Records “In Place”

By leveraging the federated approach to information management provided by CA Information Governance, records created within Microsoft SharePoint can be managed in their native application or repository, helping you to make the best use of existing infrastructure investments, applications and user training.

With functionality that keeps all records fully available regardless of format or location, CA Information Governance allows users to quickly and easily declare records within their familiar working environments. Moreover, the solution:

- Ensures that records are fully accessible from CA Records Manager and MOSS according to the security models of each solution.
- Applies retention rules and file plan security automatically and consistently to all physical and digital content, irrespective of format or repository, to reduce your exposure to risk.
- Minimizes end-user burden by enabling you to define and schedule rules to auto-declare and classify MOSS content as corporate records. This can be performed during or upon project completion, and can automatically remove drafts of corporate records based on policy, to ensure the proactive application of retention management policies.
- Ensures eDiscovery readiness and effective data preservation with hold management capabilities that suspend disposal eligibility until all holds are released. This ensures that document retention is facilitated in a reliable, consistent and accurate manner.

- Auto-declaration rules that can be established to physically move electronic records, upon project completion for example, to free up storage space and improve long-term management.
- Business rules that may be applied to destroy drafts and work-in-progress documents that meet certain criteria, and are not required to be retained based on your records retention schedule, to keep repositories lean.
- The ability to archive collaborative projects in their entirety to the CA Records Manager repository and manage them as a record to free up space and maintain all activity and decisions.

Improve Efficiency With a Transparent User Experience

To ensure transparency — a key element of user acceptance and policy enforcement — end users have multiple ways to declare records, including manual capture, batch declare of MOSS folders and the declaration of entire MOSS libraries. These capabilities enable:

- Multiple MOSS folders and libraries that can be declared as records as part of a batch process, saving you the time and effort of individual declarations.
- Classification that can be transparent to the user or be conducted by a designated expert, such as a Records Manager, for added flexibility and control over data as you see fit.
- Field mappings between MOSS document metadata and CA Records Manager category/folder metadata that can support automatic identification of the File Plan location, retention and security policy. This allows users to simply “declare” the SharePoint document without the need to navigate the file plan — an efficient process with fewer clicks.

Ensure Comprehensive Compliance Through Market-leading Certification

The CA Information Governance Suite provides added confidence through the external evaluations of its solution capabilities, including:

- US DoD 5015.2 v3 certification for CA Records Manager and MOSS, which is the first-ever certified pairing under the new, more stringent standard.
- Compliance with other standards, regulations and legislation, such as MoReq, ISO 15489, HIPAA, FINRA, FDA 21 CFR 11, which also can be supported through the implementation of the CA Information Governance Suite.

SECTION 4: CONCLUSIONS

The CA Information Governance Suite provides the architectural foundation and services necessary to help you unify and simplify the management of your MOSS environment. CA enables you to elevate the way your organization governs its most critical information assets by widening your focus beyond the constraints of repositories, applications and departments. As a result, you can ensure that high-level business objectives for compliance and the application of policy controls are being met across the entire enterprise — all while you facilitate information sharing and collaboration.

To learn more about the CA Information Governance architecture and technical approach, visit ca.com/ig.

CA (NYSE: CA), one of the world's leading independent, enterprise management software companies, unifies and simplifies complex information technology (IT) management across the enterprise for greater business results. With our Enterprise IT Management vision, solutions and expertise, we help customers effectively govern, manage and secure IT.

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