

eDiscovery and Compliance Information Workflow with CommVault® Simpana® 9 Software

Simpana® 9 eDiscovery Workflow

Highlights:

Simpana® 9 eDiscovery platform enables internal IT and Legal resources to:

1. Conduct real-time searches related to litigation, subpoenas, internal investigations, or public information requests
2. Leverage role-based workflow so that the appropriate resources execute assigned tasks during the litigation timeline
3. Secure and preserve responsive data to avoid spoliation using CommVault's One-Click Legal Hold
4. Review data quickly and easily for responsiveness and/or privilege and mark items accordingly
5. Deliver results securely to outside or opposing counsel in the appropriate electronic format
6. Provide detailed reporting to prove authenticity and chain of custody

CommVault® Simpana® eDiscovery platform allows IT and legal departments to identify, collect, preserve, and review potentially relevant content across the enterprise. With Simpana 9, organizations can tackle much of the discovery process internally, instead of outsourcing the process to costly consultants, legal service providers, or outside counsel. Moreover, with Simpana software's flexible, role-based workflow, discrete tasks can be carried out by the appropriate resource including IT staff, legal liaisons, paralegals, and both internal and outside attorneys.

The Simpana eDiscovery platform allows authorized users to identify responsive data related to corporate litigation, internal investigations, and public information requests. With Simpana software's out-of-the-box eDiscovery workflow, each step of the discovery process can be automatically designated to the appropriate individual depending on the nature of the matter. For example, litigation searches can be conducted at the IT level and impending results can be delivered to a paralegal for first pass collection and preservation. As the eDiscovery process continues, data can be directed to the next individual in the workflow timeline as detailed below:

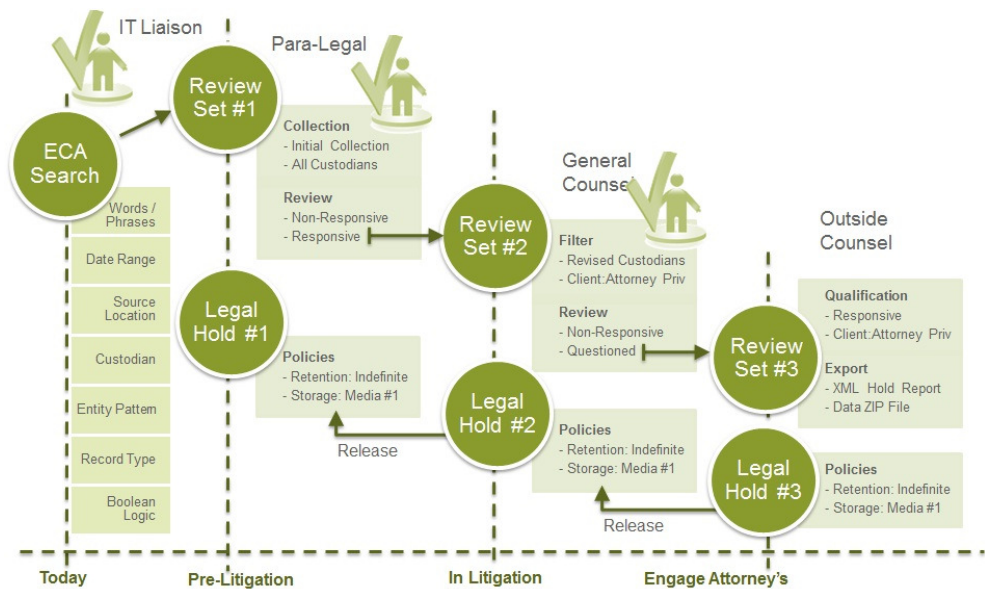


Figure 1: Sample eDiscovery Workflow Using CommVault® Simpana® Software

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workflow

and the rest of your data and information management challenges.

- **Legal:** Legal Department issues a data collection request to IT detailing the search criteria to be used to identify potentially responsive data.
- **IT:** IT performs a search based on the specified criteria which could consist of custodian name, date range, file type, keywords, or any combination of content and metadata.
- **Paralegal:** Search results are automatically delivered to the managing paralegal for initial review and preservation. Using the Simpana one click legal hold, paralegal executes a hold to ensure that responsive data is preserved.
- **Paralegal/Internal Counsel:** As additional case details become known, search criteria is refined by Legal and the existing result set can be filtered down further by a paralegal.
- **Internal Counsel:** Once the data has been refined, internal counsel can then conduct first pass review to eliminate non-responsive and privileged items.
- **Outside Counsel:** A refined, responsive data set can then be delivered to Outside Counsel in the appropriate format including PST, XML, or in a compressed ZIP file. Outside Counsel can then complete the review process and deliver results to opposing counsel.

Highlights:

Simpana® 9 Compliance platform enables Compliance Officers, Risk Managers, and In-House Counsel to:

1. Conduct manual or automated searches to locate and review unstructured data
2. Classify or mark data automatically or manually based on content including sensitive or protected information
3. Leverage role-based workflow to drive data to the appropriate information worker – Compliance Officer, Risk Managers, and/or In-House Counsel
4. Deliver responsive data to third party auditors in the appropriate electronic format

Simpana® 9 Compliance Workflow

The CommVault® Simpana® Compliance platform enables corporate compliance departments to quickly identify and locate sensitive data related to internal or regulatory audit. Whether an organization is looking for indications of insider trading, protected health information, social security numbers, or credit card data, CommVault's Compliance platform provides a ready to use workflow template where searches can be run on a scheduled basis using any combination of content and metadata. This workflow also includes automated delivery of results to a dedicated compliance officer, risk manager, or in-house attorney for review.

Below is an example of CommVault's Compliance workflow which can be adapted to fit organizational processes:

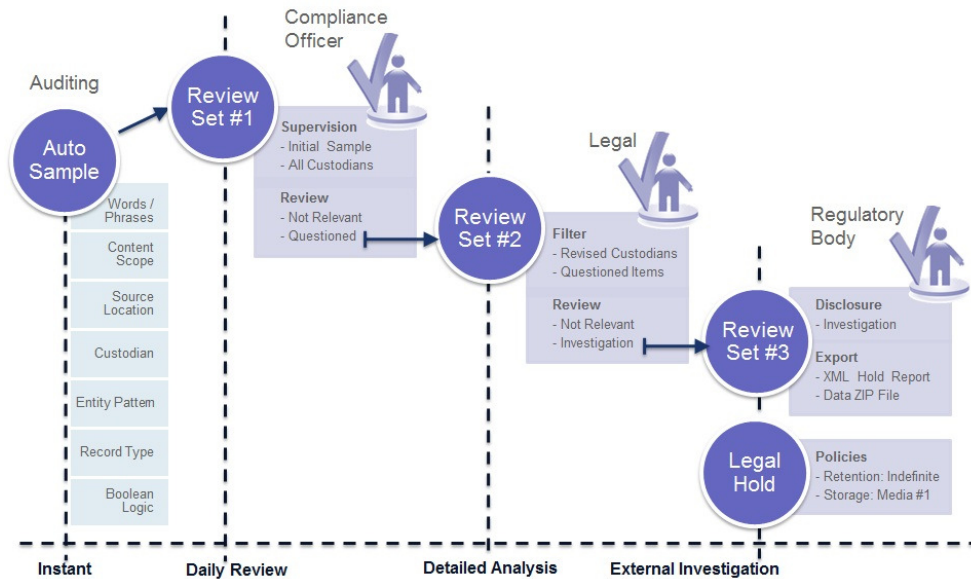


Figure 2: Sample Compliance Workflow Using CommVault® Simpana® Software

- **IT:** IT creates a search policy and schedules the search to run daily. The results are then delivered daily to the corporate Compliance Officer for further review
- **Compliance:** Compliance Department receives search results, which can also be delivered as a sample, and can review items to determine whether any action needs to be taken..
- **Legal:** For those items requiring additional review or action by internal attorneys, data can be passed on from the Compliance Officer to In-House Counsel.
- **Regulatory Body:** For those activities related directly to a regulatory audit, the Compliance Officer or In-House Counsel can then export data for hand off to a regulatory auditor. Export formats include XML, PST, NSF, or compressed native file format.



Key Capabilities and Benefits

Capabilities	Benefits
Out-of-the-Box Workflow Templates	Enables data to be automatically delivered to the appropriate internal resource based on their assigned role in the eDiscovery or Compliance process.
Automated Classification & Preservation	Provides automated classification of data based on content, including sensitive data such as protected health information (PHI), social security numbers, and credit card data. Legal Holds can also be applied automatically based on any combination of metadata and content.
Cull and Reduce ESI Volumes	Using advanced sorting and filtering options, legal resources can quickly eliminate non-responsive and privileged data.
Flexible Export and Production Options	Data can be exported directly from CommVault software in multiple formats including PST, NSF, XML, or compressed native format, for easy ingestion into case management or other processing solutions.
Built-In Reporting	Granular reporting on Result Sets and Legal Hold Sets including record disposition, authenticity, and Chain of Custody.
Intelligent Navigation and Mining	A unified web portal is customizable to the needs of different users with specific capabilities to encourage the mining of information from feedback given about the distribution of content in search results.
Improved Collaboration and Information Sharing	The results of information searches, common classification schemas and information collections can be intuitively shared amongst peers and related information stakeholders virtually across the enterprise.
Broad Platform Support	Unparalleled breadth of scope and scalability provides support across multiple sites and geographies, regardless of data repository including public or private clouds.
Single, Unified Console for all ESI	Accelerate discovery and compliance workflows and enable secure legal hold with a central repository for all Electronically Stored Information.

For more information about Simpana[®] software modules and solutions, and for up-to-date system requirements, please visit www.commvault.com



www.commvault.com • 888.746.3849 • E-mail: info@commvault.com

CommVault Worldwide Headquarters • 2 Crescent Place • Oceanport, NJ 07757 • 888-746-3849 • Fax: 732-870-4525
 CommVault Regional Offices: United States • Europe • Middle East & Africa • Asia-Pacific • Latin America & Caribbean • Canada • India • Oceania