



## Compliance and Litigation Readiness System

The economic climate sparks more frequent and rigorous audits, investigative probes, and legal proceedings in which your organization's information is scrutinized. With the volume of information doubling every 18 months, how do you balance information risk management and operational cost management with timely responses to regulators, FOIA requests, and legal notices?



# pre•pared [pre-paird] – properly expectant, organized, or equipped

Organizations of every type and size in the public and commercial sectors can expect regulatory inquiries, investigations, and litigation to be looming on the horizon. Positioning your organization to be ahead of the proverbial 8-ball is paramount. The ZyLAB Compliance & Litigation Readiness system provides the framework and tools to prepare a wealth of information for what lies ahead.

**Know your information and who controls it.** The volume of your data is expanding, but so too are the places in which it can be found: from internal networks, to collaborative portals, to Cloud applications, to portable storage devices, to off-shore centers, to official and personal e-mail accounts.

**Centralize it and make it accessible.** Implement a system that archives and unites all types of information that is spread across myriad storage devices and locations. Work with information stakeholders to define the workflow, access rights, and filing plans required by various departments and functions within your enterprise.

**Impose and enforce policy-driven guidelines.** Tailor the system to enforce your retention requirements, to facilitate daily due diligence, and to generate trend reports or procedure appraisals.

# Take command of enterprise information before it's demanded

The ZyLAB Compliance & Litigation Readiness system fosters enterprise-wide corporate governance by helping you to implement practical, day-to-day records management policies, easily enforce their compliance, and quickly access information when you need it.

The system supports the creation, administration, maintenance, archiving and disposal of millions of dynamic and static files—from e-mail, to legal agreements, to customer and employee records, and any other content archives.

Best of all, ZyLAB straddles the convergence of information management and eDiscovery to keep your content assets (and liabilities) in order and to cost-effectively mine them when an investigation ensues.



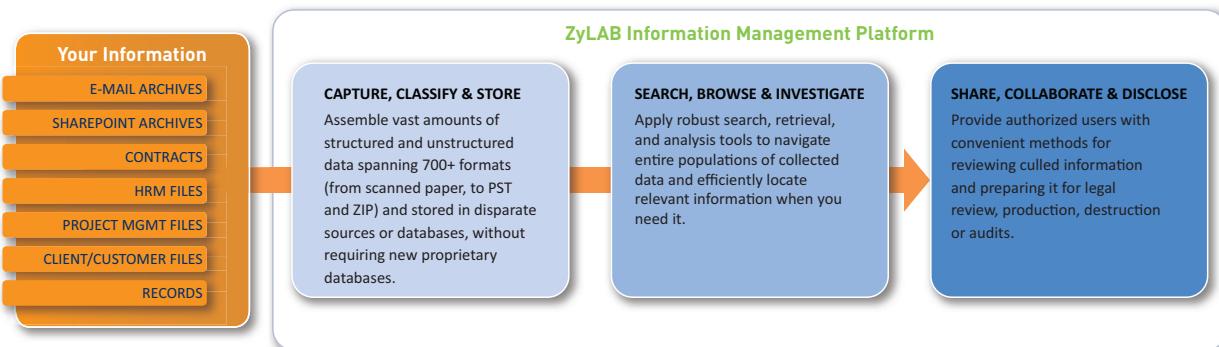
## KEY ADVANTAGES OF THE SYSTEM:

- Supports files in 700+ formats (including e-mail, wikis, blogs, etc.) and 400+ foreign languages
- Spans basic digital archiving to complex SOX-compliant records management
- SaaS or enterprise licensing options
- Integrates with ZyLAB eDiscovery system

## THE ZYLAB SYSTEM MANAGES ALL TYPES OF ENTERPRISE INFORMATION

The ZyLAB Compliance & Litigation Readiness system includes the popular ZyLAB Information Management Platform at its core. The platform full-text-indexes the selected storage areas (active and decommissioned servers, local hard disks, mail servers, databases,

SharePoint and other repositories) and then yields a fully searchable archive spanning all of your data sources and more than 700 file types. And, its non-proprietary XML architecture provides an entirely scalable solution without the need for costly databases and system upgrades.



# End-to-end records management, digital archiving, and governance

The ZyLAB Compliance & Litigation Readiness system includes everything you need to take control of important information, keep it dynamic and compliant on a daily basis, and produce it on-demand.

## GET YOUR HOUSE IN ORDER

**Standardize and centralize access** via indexed, web-based repositories of digitized prints, electronic files, e-mail and more. The system archives any type of file and metadata in a completely scalable and searchable XML environment and it maintains information in its original format.

The **role-based user security model** with strict filing permissions enables organizations to control which departments can access which repositories of information (i.e., the HR department may access personnel records) as well as what actions are permitted by any given user in the Active Directory.

**Customize the interface** to your specific business terminology, filing plans and categories, and add searchable key fields.

ZyLAB's **toolbar options for Microsoft SharePoint® and Outlook®** facilitate quick adoption of the system and increase the likelihood of daily use.

## SUPPORT DAILY OPERATIONS

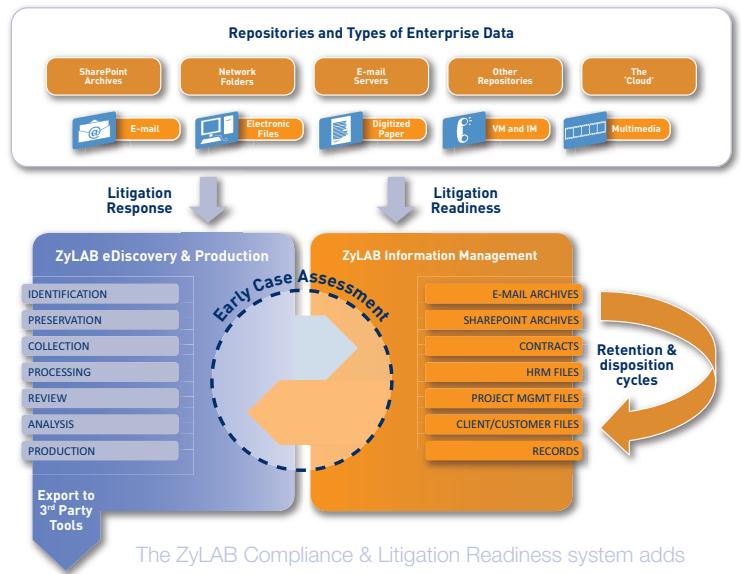
The **intake module** enables you to declare the record type (e.g. contract), add metadata, designate workflow, associate barcodes from paper and electronic copies, link entities to known entity codes, verify classifications, and define the requirements and timing for review.

Manual coding or **automatic foldering and categorization** routes records to the appropriate repository. The ZyLAB Professional Text Mining Module uncovers previously unidentified themes and potential key fields from the information in order to influence filing taxonomy and hierarchy.

**Automatic alerts and reminders generated with key field data** trigger specific actions and next steps. The system logs the distribution of the reminder as well as the recipient's reply.

Users are notified when a record has expired and the **policy-driven retention schedule** has been automatically initiated. The system can alert users that a record is due for disposition, prompt the users to evaluate its validity and renew its terms, automatically delete the record, replace it with a new version, or transfer it to long-term historical archives.

**On-the-fly archiving** keeps the system dynamic and current. End-users simply press a button on the Microsoft® Outlook toolbar when a relevant e-mail should be added to the ZyLAB archive.



The ZyLAB Compliance & Litigation Readiness system adds policy-driven records management properties to vast volumes of information that span the enterprise.

Users may perform **basic and sophisticated searches** on all of the archives to which they have been permitted access. Queries span record attributes, custom key fields, metadata, the full-text of documents tied to the record, or even the contents of bitmaps and compressed files.

The system **returns all possible matches** and provides filtering tools, visualization and data mapping tools to show the inter-relationships among hits, and convenient navigation to scroll through hits and the native files linked to the hits. This robust search engine ensures that every potentially relevant file can be retrieved.

## ENFORCE POLICIES AND LIMIT RISKS

ZyLAB provides **sophisticated data monitoring** tools to scan incoming and outgoing communications for misuse of confidential information and to continue to verify compliance on all dynamic and archived data.

The **extensive auditing mechanism** tracks every change and user action in the system. If a folder is frozen during an audit, disposition of records in the folder is postponed until the freeze condition is lifted from the folder.

ZyLAB **audit lists** enable the reviewer to filter records by various criteria (i.e., business unit, date, type), gain realtime insight into shortcomings in information management processes that require immediate resolution for full compliance, and prove proper methods were followed.

## Adapt and scale the system to meet your specific needs

The ZyLAB Compliance & Litigation Readiness system can be applied to a variety of challenges for which repeatable processes for archiving, intake, filing, auditing and disposition help to minimize organizational risk.

### CONTRACT AND LEGAL AGREEMENT MANAGEMENT

The ZyLAB system facilitates a consistent process for the intake, execution, tracking, renewal, and termination of legally-binding agreements of all types, including customer orders, supplier terms, strategic partner agreements, or even employment agreements. An executive dashboard provides a snapshot of the status and value of the agreements, extensive audit trails, and assurance that legal, security, and financial risk is minimized.

### RECORDS AND DOCUMENT MANAGEMENT

The ZyLAB system manages the workflow, archiving, retention and disposition of data-rich documents like human resources records (i.e., performance reviews); client, customer, or member information; project management files; and other records with high legal risk. The system ensures vital information is preserved as part of organizational “memory” and made accessible to the right people at the right time. Likewise, the system helps organizations avoid storing irrelevant or potentially risky information longer than necessary.

### E-MAIL ARCHIVE MANAGEMENT AND MONITORING

The ZyLAB system overcomes the challenges caused by employees using e-mail accounts as filing systems and maintaining risky or obsolete files as attachments to e-mails. Our E-mail Archiving Module captures huge volumes of .PST's and .NSF's, newsgroups, metadata, and attachments from your e-mail server and archives them in a searchable XML-based repository. The system drives role-based or event-based administrative actions (i.e., classify, file, purge) and enables end-users to declare relevant e-mails directly from their Microsoft Outlook toolbar. Auditors can monitor incoming and outgoing e-mails for leaks of protected information.

### HARNESSING SHAREPOINT CONTENT

The ZyLAB system captures and indexes the unwieldy data from SharePoint servers and archives it as part of the overall information management strategy. Our long-term, XML-based storage and ability to full text-search large volumes of unstructured data (including wikis, blogs, etc.) enhance the value of SharePoint and reduce storage costs. Users may apply the same policies set for other data and select which files must be archived in a certified long-term ZyLAB archive and which files should be purged at set intervals.

## Process and produce information for investigations

The ZyLAB Compliance & Litigation Readiness system gets all of your enterprise information under control so that in the event of invasive audits, investigations, or litigation, you are prepared to respond in a timely, efficient manner. All of your information will have been archived, indexed, and made thoroughly searchable so that you can easily prove compliance and produce supporting documentation.

The ZyLAB eDiscovery & Legal Production system integrates with the Compliance & Litigation Readiness system to automate the costliest aspects of responding to litigation hold notices and electronic information requests. Please consult the ZyLAB eDiscovery & Legal Production brochure for details.



## Choose from basic to fully compliant and defensible systems

**"ZyLAB offers our clients, commercial and Federal alike, one of the most comprehensive solutions on the market."**

– Allan Kalkstein, Vice President and General Manager, Legal Information Management Group, Lockheed Martin Aspen Systems

**"Laws, regulations, freedom of information requests to government agencies, HR investigations and special investigations when the company suspects internal fraud or mismanagement, all call for a uniform process that in many cases is not in place."**

– Gartner "The Road to EIM: E-Discovery as a First Project" by Debra Logan and Tim Johnson, February 6, 2009

**"ZyLAB offered us the most comprehensive solution. Other companies had specific parts of what we wanted, but nobody was able to put together everything we needed like ZyLAB."**

– Donna Baur, Records Manager and Town Clerk, Town of Jackson, Wyoming

ZyLAB clients may define the complexity of the Compliance & Litigation Readiness system they require:

- A system with [basic, semi-manual](#) processing,
- Moderate automation and integration with other systems like Microsoft Outlook and Microsoft SharePoint,
- A [fully-automated deployment](#) that [complies](#) with Sarbanes-Oxley, privacy and data protection guidelines, the Freedom of Information Act, Department of Defense 5015.2, the National Archives standard for electronic records management systems (ERMS), Federal Rules of Civil Procedure for electronically stored information, Sedona Conference principles, and the Electronic Discovery Reference Model (EDRM).

Our clients may also choose either our software-as-a-service (SaaS) model or traditional enterprise licensing and implementations.

## PROFESSIONAL SERVICES

ZyLAB's Professional Services department will help you to maximize the success of your ZyLAB Compliance & Litigation Readiness system. Our services span all phases of your solution life cycle, from planning, to implementation, to integrations, and finally to seamless operations. Our thorough approach ensures your IT and business strategies are aligned, your software is up and running fast, and the system operates properly at all times. Our experts will enhance the end-user experience through tailored training sessions and well documented, defensible procedures and best practices for critical functions like reporting and auditing.

## LEARN MORE

To learn more about the full spectrum of ZyLAB's eDiscovery and Information Management technology, call 1-866-ZYLAB-NA (995-2262) or visit [zylab.com](http://zylab.com) to find an authorized reseller.

McLean, Virginia (US HQ) | New York City | San Francisco

Visit [zylab.com](http://zylab.com) to locate our international offices.