

# ADDRESSING COMPLIANCE WITH ORACLE COLLABORATION SUITE

## DEVELOP ON ORACLE COLLABORATION SUITE

### KEY BENEFITS

Oracle Files includes a variety of features (content search, workflow, and access controls) that address some basics of records management and compliance, including:

- Categorization of content.
- Automation of business rules and regulatory steps.
- Reporting, auditing, and search.
- Segmentation of storage by content type.
- Application of required metadata, which varies across different compliance standards.

### RELATED PRODUCTS

The following products are available from Oracle to implement a Retention and Supervision solution:

- Oracle Collaboration Suite
- Oracle Database 10g
- Oracle Text 10g
- Oracle Ultrasearch 10g

*Compliance with emerging standards and new regulations force most organizations to face the information management challenge that only highly regulated industries used to face — and often failed to address. As most organizations are finding, there is no magic bullet to address all compliance issues. The only long-term technology solutions that support compliance and help manage legal risk are solutions that create a comprehensive and highly adaptable risk management infrastructure capable of supporting transparent solutions that are non-disruptive to users. Oracle Files offers a foundation for enterprises looking to manage the risk of all unstructured content today.*

### Combining Collaboration with Compliance

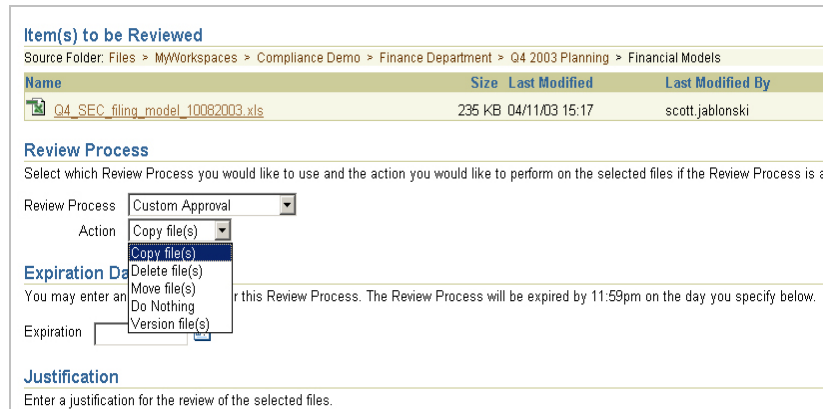
A critical requirement for any successful collaboration to compliance solution is to ensure that compliance is an integral part of a user's normal work environment. Solutions providing collaborative file and content management are fast becoming the baseline technology for business users and knowledge workers. However, many such departmental environments tend to fragment data, scattering it across hundreds or even thousands of poorly integrated and poorly managed servers. In an attempt to compensate for this fragmentation, vendors add “outrigger” records management systems, where critical data is transferred for management under operating procedures completely different from the main user environment. Determining which data to manage where and supporting a completely separate operating environment adds cost and complexity. And data fragmentation means that even with such records managers, the majority of unstructured content in an enterprise (documents, emails, instant messages, etc.) is unmanaged for compliance and at risk for evidence discovery.

Oracle Files was designed from its inception with enterprise collaboration in mind. However, along with other Oracle Collaboration Suite components, Oracle Files consolidates all the content it manages in the database. Thus, Oracle Files uniquely provides collaborative file and content management in an environment that is completely supportive of compliance. Finally, Oracle Files includes a suite of tools that provide the needed capabilities to support compliance with a broad range of requirements in a way that supports quick user adoption. Such tools are described as follows:

- **Comprehensive Search Facilities:** Search facilities available in Oracle Files provide the ability to easily find content through searches based on a combination of content and context (metadata) across thousands or even


compliance with various types of auditing requirements, providing restoration of lost data, performing periodic risk assessment reviews, or collecting information for evidence discovery.

- **Workflow Management:** Oracle Workflow integrated with Oracle Files provides a highly effective tool for implementing retention and disposition policies required to comply with most regulations and certification processes as well as to manage discovery risk



**Item(s) to be Reviewed**

Source Folder: Files > MyWorkspaces > Compliance Demo > Finance Department > Q4 2003 Planning > Financial Models

Name	Size	Last Modified	Last Modified By
 Q4_SEC_filing_model_10082003.xls	235 KB	04/11/03 15:17	scott.jablonski

**Review Process**

Select which Review Process you would like to use and the action you would like to perform on the selected files if the Review Process is a

Review Process: Custom Approval

Action: Copy file(s)

Expiration Date:

You may enter an expiration date for this Review Process. The Review Process will be expired by 11:59pm on the day you specify below.

**Justification**

Enter a justification for the review of the selected files.

Figure 1: Users can route documents for certification using workflows

- **Version Management:** The versioning capabilities within Oracle Files provide a straightforward way to summarize the process that a content item has undergone in getting to its current form. This can provide historical information required by many regulations and can be useful in better understanding the context in which specific content items were created and used.
- **Secure Access Control:** Oracle Files' facilities for controlling access to content and establishing the types of actions that can be performed by various accessing users is a foundation for compliance support. Access control has many compliance roles including supporting historical content tracking, ensuring the preservation and authenticity of content, protecting individual privacy, and safeguarding business-confidential or classified material.
- **Content Categorization:** The ability to categorize unstructured content is critical in ensuring that the content is appropriately managed against various regulations and legal requirements throughout its lifecycle. Oracle Files provide powerful, flexible categorization facilities to meet this critical compliance need.
- **Link-Based Email Attachments:** The single greatest generator of risk within a file or content management environment is the proliferation of multiple, unmanaged copies of content. Attaching documents to an email is the way most documents are generated in multiple copies. With Oracle Files Workspaces, there is only one copy in the database and URL-based links to that document is the standard way of creating email attachments—thus virtually eliminating this risk.

Compliance is a company-wide effort. Aside from the business policy changes and employee education that are may be required independent of technology to achieve a better level of compliance, many companies may also need features provided from Oracle ISV partners, such as Electronic Evidence Discovery, 170 Systems, and Feith Systems:

- Scanning physical documents into electronic storage for better management.
- Higher levels of automation for compliance with particular standards (for example, DoD 5015.2).
- Digital signatures to document any compliance steps taken.

And, of course, System Integrators who bring their expertise in change management, risk assessment, and IT implementation to compliance projects. For more information, look at the Collaboration Suite section of the Oracle Technology Network, or contact your Oracle representative.

### **Conclusion**

Regulatory compliance and legal risk management are raising a host of challenging issues for businesses and executives worldwide. Among the most vexing problems is getting unstructured content—which often represents over 80% of all business information—under consistent control.

The right way to address these issues is to implement a comprehensive solution combining corporate policy, employee education, and technology. The right technology to start with is Oracle Files which, through the right architecture, the right tools, and the support of the right vendor, creates a comprehensive and adaptable infrastructure capable of broadly meeting regulatory compliance and legal risk management needs both today and in the future.