

## The Three Why's



### Why Compliance, HR and Audits?

Complex, Excessive and Costly to Implement: These are the words most often heard in the same sentence with words like Sarbanes-Oxley, HIPAA and other government regulations. The pendulum has swung from too few controls towards too many controls in organizations rushing to meet various regulatory guidelines. So much so that companies, faced with the mounting cost of compliance, are choosing to ignore the regulations opting instead to pay the fines if discovered and imposed. The courts are seeing the picture quite differently, though, and choosing to levy hefty fines once the infraction is uncovered. Not being in the know can result in fines, lawsuits, and other negative outcomes.

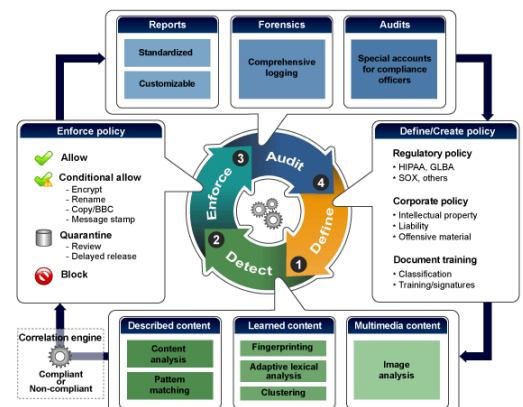
### Why Buy Now?

Lack of understanding of internal control requirements and a large dose of fear relating to regulatory compliance are the driving factors. Fact is: All controls put in by any group must be grounded in an understanding of the risks to the organization both within the operating unit, as well as holistically. As more regulations are created and court cases define those regulations "on the fly", automated policy engines and sophisticated yet easy to understand discovery tools are required.

### Why Looking Glass for Compliance, HR and Audits?

*Enforcement made easy with Automated Policy Engine*

- Reduces false positives, preventing unnecessary drain of staff time and resources
- Intuitive interface makes application easy to use without IT help
- Ability to moderate and enforce policies across multiple content types including image attachments
- Self-service capabilities ensure accuracy and provide ongoing identification of areas for improvement



## Key Benefits

- ▶ Instant notification of possible compliance violations
- ▶ No “needle in a haystack” hunts – all e-mails are scanned as they enter the e-mail system
- ▶ Easy to Understand and Implement - monitoring is based on key words and phrases you enter and can change system-wide immediately
- ▶ Ensure compliance with laws, company policy as information is generated – not well after the fact.
- ▶ Captures, stores and produces content both actively and passively to meet varied requirements and obligations
- ▶ Enable increased responsiveness of email archiving for compliance officers and corporate managers who wish to be proactive in managing electronic records
- ▶ Flags e-mails and forwards them for more detailed examination
- ▶ Review inappropriate graphic material and instantly know where it started and how wide spread it has become.

### Use Case 1

HR is notified of some offensive pictures routed through the corporate email system. They need to understand the instigator of the inappropriate material along with the data and time of the infraction as well as who has received and forwarded the materials.

The LookingGlass thumbnail viewer is utilized to quickly find material in question. Clicking on the image brings up a list of mailboxes where the image resides. HR personnel hit the search button and discover every email and sort on the date sent column to assess who sent the original email. They also identify several others who received and subsequently forwarded the offensive materials. Appropriate action is taken based on the company's established policies.

### Use Case 2

A compliance officer is tasked with ensuring corporate communications, both internally and externally, meet with regulations concerning their industry. These must be verifiable procedures that are semi-annually checked by auditors.

Using LookingGlass, policies are set that automatically monitor email and attachments for uses of certain words or phrases. The auditors, using LookingGlass, search for possible infractions of the policy. If found, the compliance officer produces the evidence LookingGlass provided via the real time policy engine, noting the infraction. They produce further evidence of how they dealt with the infraction at the time of inception.

## Compliance Value

- ✓ *Automated policy engine*
- ✓ *Self-service allows for constant access and review*
- ✓ *Greater accuracy*
- ✓ *Minimizes IT assistance*

### Supported Environments

- ▶ Server - Windows Exchange Server 5.5 and Above (both 32-bit and 64-bit)
- ▶ Database - Windows SQL Server 2000 and Above (both 32-bit and 64-bit)
- ▶ Client - Windows 2000 and Above
- ▶ Email - Windows Outlook 2000 and Above

## Interactive Message Management Enabling Archiving and Data Loss Prevention