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

Simpana® 9 eDiscovery Workflow

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:

- **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.

![Diagram of eDiscovery Workflow Using CommVault® Simpana® Software](image)
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:

- **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

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<th>Capabilities</th>
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<td>Out-of-the-Box Workflow Templates</td>
<td>Enables data to be automatically delivered to the appropriate internal resource based on their assigned role in the eDiscovery or Compliance process.</td>
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