

NUIX INSIGHT PAPER
INFORMATION GOVERNANCE
FOR CORPORATIONS

insight paper

The global economic environment and corporate focus on risk management has driven Information Governance into the limelight, within both private and public organizations.

However, despite broad recognition that companies should improve “Information Governance” – which includes decision rights and an accountability framework to encourage desirable behavior in the valuation, creation, storage, use, archiving and deletion of information*¹ – as a central element in their risk and compliance activities, the reality is that data growth is spiraling out of control, especially across email systems.

Few enterprises have succeeded in implementing effective Information Governance processes and systems across their organization. With so much unstructured data in electronic storage containers (and backups of storage containers), all in their own proprietary formats, it is a major problem to process, search and review information, either to decide what to keep and what to destroy, or indeed to identify information and evidence quickly and accurately when the need arises.

However, the costs and risks associated with poor Information Governance are dangerously high when events such as litigation, regulatory requests or inappropriate internal behavior emerge.

This insight paper offers **5 actionable strategies** to radically improve the way your organization manages its daily risk, simplifies eDiscovery and investigation processes and reduces information storage costs.



Simple. Powerful. Precise.

→ information governance

1 Retire data that is no longer required

The biggest worry so many organizations have is that so much data is discoverable. If a court case happens they potentially have to search massive amounts of data across multiple repositories. In reality, it is often the case that most of the information is irrelevant and could have been deleted or retired. A key to successful information governance is to establish policies for information accountability, retention, archiving, review and destruction and have a capable technology solution that enables the policy to be implemented. Companies should be reducing the information they store, not allowing it to spiral into massive, potentially responsive information minefields.

Powerful processing servers can make it cheap and simple for your organization to implement your deletion policy. Because Nuix processes Microsoft Exchange and Lotus Notes Databases directly, it is possible to rapidly and automatically process all of the data that has been stored in those repositories, apply policies to identify the documents that must be kept and those that can be deleted, and to keep only the information you need to retain in an indexed form. As the information is already indexed, it can be instantaneously retrieved and searched if the requirement arises. Originals can be deleted, with one backed up copy of data retained as per the organization's policy.

2 Simplify and speed up your eDiscovery

All large organizations, especially those with activities in the United States, are subject to the probability of litigation and regulatory oversight and investigation. They need to be able to react quickly to these challenges and find evidence fast – including permanently deleted and encrypted information – amidst a mountain of electronic documents and communication.

While good Information Governance is key to improving eDiscovery processes, it is also true that modern eDiscovery technology and processes can provide a simple and clever way to improve Information Governance. Nuix enterprise solutions enable companies to use one simple, integrated tool for collection, processing, search, review and export – across all of your data stores, including email servers, file shares and SharePoint. This is the same tool used for corporate investigations by the world's major regulators, including the SEC (US), the FSA and SFO (UK), ASIC (Australia) and the JSEC (Japan).

The key to effective eDiscovery is to be found in both the speed of processing and the ability to undertake a Rapid Investigative Review™. If you process data at rates of 100+GB/hour with virtually unlimited scale, you will be able to quickly and iteratively execute a genuine investigation of your company's data to find the most relevant documents for practically any investigation. Depending on the data size, it should take hours and days, not weeks and months.

3 Make your internal investigations more efficient

Every organization is at risk of inappropriate activity, ranging from distribution of pornography, bullying and discriminatory behaviors, to internal fraud and intellectual property leaks or theft from exiting employees. Being able to react quickly to search and find critical evidence to unequivocally prove or disprove allegations – with minimal disruption to the business – is crucial. It is also important that these kinds of investigations are completed quickly and efficiently with adequate security. There are more investigations, bigger datasets and tougher demands to have fast and accurate results. Government organizations and departments also have the added pressure of data requests from high profile and politically motivated investigations.

Nuix's powerful search capability enables a fast and iterative Rapid Investigative Review™ to get results without disrupting normal business. Nuix gives organizations the ability to quickly identify inappropriate or criminal behavior, pinpoint who was involved, successfully identify and, if necessary, prosecute guilty parties. A case can be established within 30 seconds, processed at a rate of multiple terabytes per day, and, once processing has been completed, an analyst with minimal training can easily find all relevant evidence if it is present in the data set. Nuix software has unique capabilities, including working directly with EnCase® Logical Evidence Files and indexing almost all email formats, forensic images of hard disks and network file shares directly.

The world's most advanced eDiscovery and electronic investigation software.

4 Take control of your email content

Email is increasing at over 60% per annum. This is due to the vast quantities of email being created and sent, the multiple people who are on each mail list, who then save, reply to and forward on that communication, and company back-up processes. The problem for organizations is that with so little control of what is included in email content and where it is sent and stored, email now poses an enormous risk to organizations and a massive headache to sift through and find evidence in the case of a legal, compliance or investigative matter. Increasingly organizations are taking a proactive and automated approach to indexing and searching the relevant content of their email system. With the right technology, it is possible to stay in control of everything that is happening within your email environment – enabling everything to be automatically indexed, identifying any suspicious content and following up with specific searches to root out further facts.

Email monitoring technologies have been around for years, but there is an opportunity for companies to harness smart, automated Nuix technology to dig deeper, identify anomalies, perform sophisticated searches and escalate examples of communication which run counter to your organization's best interests.

5 Understand the "Fraud Triangle"

One particular area of interest, particularly in today's economic climate is internal fraud. Despite the attention of regulators and companies' investment in controls, fraud remains one of the most problematic issues for companies around the world. One of the greatest challenges for companies and in particular, their internal auditors, is finding that a "hint of fraud" is occurring. Once they have that hint of something, they can follow-up on those leads. To find a "hint of fraud" they must understand the "Fraud Triangle", which in simple terms means that when "opportunity" to defraud exists, combined with a rationalization that someone "deserves it", and then some form of either financial and non-financial pressure is applied, fraud is likely to occur.

The beauty of a tool like Nuix - which can index massive volumes of email and attachments very quickly - is that auditors can regularly scan your entire organization's email servers looking for overlaps in how people use, for example, words and phrases. Such phrases might include "I deserve this", "I have got to make quota" or "nobody will notice". By looking at any overlaps, auditors can find the "hint of fraud" and since all of the employees' emails are indexed and searchable, investigating the fraud, following communication threads, seeing who is talking to whom, and how frequently, is all instantly possible. Indeed, Nuix's speed, scale and automation make it easy for your company's auditors to quickly and thoroughly investigate any employees (in any region) identified by fraud triangle analytics.

Key features your Information Governance technology solution should include:

- Processing speeds of approximately 100-120 GB per hour
- Scale to handle billions of emails and documents and enormous numbers of searches
- 100% Unicode compliant and therefore able to both process and search in all languages and character sets
- Identify and enable processing of irregular files such as encrypted, deleted, non-text-searchable documents, as well as documents which are embedded or stored in ways to conceal their existence
- User friendly and intuitive for people who are not eDiscovery or electronic investigation experts
- Integrates with a scalable review platform so a large number of documents can be reviewed by a lot of people quickly
- Efficiently export any results set into the load file of preference for your law firm
- Provide quality support with around the clock access to competent, trained and empowered staff that will get you out of trouble when things go wrong
- Automate the workflow - due to the vast quantity of data and searches which are required, automation of workflow is essential, both to reduce the bottleneck and reduce the probability of errors.



Simple. Powerful. Precise.

- NuiX offers the fastest, most complete and most advanced enterprise-wide eDiscovery and investigation software. NuiX's speeds are legendary in the industry with full text indexing of 100+ GB per hour with a single server.
- NuiX's analysis and investigative capabilities were developed in conjunction with military, regulatory and investigative organizations over a ten year period and bring unmatched scale, speed and precision to corporate Information Governance, eDiscovery, compliance, regulatory and internal investigations. Every major securities commission in the world uses NuiX.
- NuiX's eDiscovery solutions provide collection, preservation, indexing, analysis, scalable linear review and legal export capabilities – all integrated within one platform.
- NuiX processes all major Microsoft structures, including EDB files, as well as Lotus Notes, GroupWise and a myriad of other email formats and file structures.
- NuiX processes all languages, all metadata and all associated, attached and embedded files, regardless of depth of hierarchy, compression or naming conventions.

“ No software other than NuiX can process large collections fast enough to meet the SEC's desired timeframes.”

United States Securities and Exchange Commission
(justification and approval statement, 2010)

About NuiX

NuiX has spent the past ten years developing and refining the world's most advanced eDiscovery and electronic investigation software. NuiX revolutionizes the way government and private organizations investigate electronic information, improving simplicity and accuracy, and slashing the time and cost of investigations. NuiX customers include major corporations, advisory firms, state and federal government departments, police and anti-corruption bodies, financial institutions, law firms, litigation support firms as well as regulatory and security agencies. NuiX has customers in over twenty countries.

*1 Gartner research 2010

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