

BUSINESS DRIVER	PHASE 1		PHASE 2		PHASE 3	
	Business Capabilities	Solution Components	Business Capabilities	Solution Components	Business Capabilities	Solution Components
<b>Comply with financial regulations and mandatory practices</b>	Enforce and ensure compliance, regulatory, and process controls	Via common desktop applications that allow collaboration on documents, rich versioning capabilities, enforced metadata capture, and record vault capabilities—all in a centralized content store	Enforce and ensure compliance, regulatory, and process controls throughout an organization	Via enterprise collaboration and analytics tools that provide record vault capabilities, policy-based workflows, information management policies, custom reporting, and system-enforced protection of information	Integrate document and records management, business workflows, and processes as key components of a holistic governance, risk, and compliance framework	Via an Enterprise Content Management (ECM) system that enforces business policies, such as holds on records (like contracts or shipping receipts), e-mails, and sensitive documents that are under legal or regulatory review, metadata collection, archival by content type, or the expiration of content
<b>Simplify risk management and compliance adoption</b>	Provide easy accessibility to an organization's documents, records, and other content that are stored in a centralized and managed environment	Via a content management system that provides document repositories, check-in/check-out capabilities, versioning, workflows, search, content types, and the ability to store records	Enable new content management functionality that is accessible through common desktop applications to the organization's existing ECM system, as well as capture new content types	Via records management, records routing, workflows, policy-enabled content types, information management policies, and policy-based workflows	Use a seamless, integrated environment for managing documents and records	Via an ECM system that manages the full life cycle of enterprise records, including integrated deletion workflow
	Ensure compliance, regulatory, and eDiscovery requirements for document storage are met	Via intuitive content repositories that have content-type and policy-based document retention and expiration schedules, disposition approval workflows, and extensibility mechanisms to implement additional actions	Ensure compliance, regulatory, and eDiscovery requirements for document storage are met, and ensure additional information is stored to facilitate audit and discovery activities	Via intuitive content management systems that maintain metadata and version history information with a records management system to categorize, organize, administer, and audit records	Ensure that all electronic communications in an organization can be archived	Via an e-mail platform that supports advanced compliance capabilities, which facilitate archiving, journaling, and policy enforcement at the user level
	Encourage behaviors that support compliance, regulatory, and eDiscovery requirements to become a natural extension of the workplace environment	Via content types for eDiscovery requirements, enterprise search, legal holds (that supersede standard retention policies), and compliance reports	Automatically enforce information management policies for high-risk/high-impact areas of operations	Via information management policies, record routing lists, content-type and policy-based document retention and expiration schedules, policy-based workflows, and hold lists	Ensure the business operates in a manner that can meet eDiscovery requirements	Supported by an integrated infrastructure that supports specialized eDiscovery applications, multiple content systems, mail management, and physical document tracking systems
<b>Build a sustainable plan to help comply with requirements</b>	Keep information regarding compliance, risk, and regulatory constraints in a centralized location	Via a repository that coalesces information about the various controls into a consistent reporting format with an easy-to-see set of indicators	Provide the Chief Risk Officer/Chief Compliance Officer with a top-line view of all controls and regulatory restrictions that the company is subject to	Via an interactive diagram that depicts the relationships among groups of controls and that uses visual indicators of overall compliance status	Establish the compliance rhythm of the business to manage the assessment, documentation, and remediation phases	Via an orchestrated workflow system that assists in compliance program management
<b>Implement an integrated approach to DRM compliance across the enterprise</b>	Document and map all common information management elements pertaining to compliance, risk, and eDiscovery regulations of the organization	Via a visual mapping tool and records repository that can facilitate control structures	Implement an integrated compliance control tracking system to give visibility about the status of controls	Via a portal that allows business leaders to implement business-unit and company-wide controls	Annually review control structures and how applicable they are to current business structure and conditions	Via a well-established business process enabled by executive tools to manage and audit controls with a consistent management experience

# Document and Records Management | Platform Discussion Guide



CAPABILITIES		B	S	R/A	D	PHASE 1	B	S	R/A	D	PHASE 2	B	S	R/A	D	PHASE 3	
CORE IO	Security & Networking					Centralized firewall; antivirus on desktops					Secure remote access					Quarantine solution for desktops and devices; Session Initiation Protocol (SIP) for secure communication through presence	
	Identity & Access Mgmt					Active directory® directory service for authentication; directory tools for central administration of desktop and server configurations and security					Information protection infrastructure					Centrally manage user provisioning across heterogeneous systems	
	Desktop, Device & Server Mgmt	Virtualization										Server consolidation for production workloads with virtualization					Server consolidation for production workloads with virtualization; host desktops or applications through traditional server-based computing
		Desktop Mgmt					Defined set of standard images; automated patch management					Primary desktop computer operating system is Windows Vista® (includes a patchable version of Microsoft Office)					
		Server Mgmt					Defined set of standard images; monitoring present for 80% or more of critical servers					Patch management solutions for servers					SLA monitoring of mission-critical servers
		Mobile Device Mgmt															Mobile device provisioning; remote wipe and policy enforcement
	Data Protection & Recovery					Back up/restore on critical servers					Back up/restore on all servers + service-level agreement (SLA)						
	IT & Security Process					Formal security policies					Fail safes for attacks are in place						
	BPIO	Collab	Collaborative Workspaces & Portals				Document/content locking and versioning capabilities as part of the collaborative workspace infrastructure; IT-provisioned portals (enterprise, departmental, or personal) deployed on a single, productivity infrastructure with governance policies fully in place					IT and end-users have the ability to create collaborative processes with workflows using collaborative workspaces and portal infrastructure					Use service-oriented portal platform architecture/SOA to build sophisticated composite applications
			Social Computing														
UC		Messaging					Secure remote online and offline access to rich e-mail client functionality inside and outside the firewall										E-mail platform supports advanced compliance capabilities that facilitate archiving, journaling, encryption, and policy enforcement at the user level; mobile device access to e-mail, calendar, and contacts is available
		IM & Presence					Secure managed enterprise-wide instant messaging (IM) infrastructure that uses a unified directory					Rich, integrated, presence-enabled desktop productivity applications					Rich, integrated, presence-enabled, LOB applications
		Conferencing															
ECM		Document & Records Mgmt					Disconnected departmental document and records repositories; framework for managing distributed repositories and content metadata; forms embedded in documents/e-mails for managing metadata; automated retention policies and holds of records (such as HR policies and contracts)										Structured authoring with XML standards (such as XBRL and enterprise-defined standards)
		Web Content Mgmt					Multiple authoring tools					Common multiple tier (authoring, staging, production environment) for intranet, Internet, and extranet sites					Single authoring tool for all Internet and extranet sites in the company
		Forms					Departmental electronic forms with transactional workflows					Forms integrated with line-of-business (LOB) systems/processes					
Enterprise Search						Primary search sources are Web sites and content management repositories										Primary search sources are Web sites, file servers, collaborative and content-managed data stores, databases, and LOB applications	
BI		Performance Mgmt					Interactive departmental scorecards where performance metrics (such as key performance indicators [KPIs]) are sourced from databases					Strategy-driven, enterprise-wide scorecards					Embedded reporting within business processes
	Reporting & Analysis					IT-driven, parameterized reporting from defined data sources; analytical tools connect to subject-oriented data					User-driven report building, definition, scheduling, and subscription					Wizard-based publishing of data from front-end analytical applications and Web-based interactive analysis	
	Data Warehousing					Basic extract, transform, and load (ETL) packages to load subject/functional data marts					Centralized and managed data warehouse						
APO	User Experience					Appreciates how UX can impact the use of applications and has a desire to support users' needs					Deep understanding about how users' needs impact the quality and success of applications						
	SOA & Business Process					Has an architectural mindset and roadmap around services and processes					Established development methodology for SOA & services					Fully mature, enterprise-wide use of SOA and process abstractions	
	Data Mgmt	Custom Line of Business					Standardized data services					Integrated and flexible data services					
		ISV Line of Business					Failover support with integrated management and security					Continuous availability, reducing both planned and unplanned downtimes					
	Dev	Platform					Data marts					Enterprise data warehouses					
App Lifecycle Mgmt						Active development on a mix of legacy and modern developments					All active development is on modern tools and platforms						
Custom Applications						Users have differentiated roles					Dedicated roles in development teams						
Complex client/server applications											Multiple-tier development						
CATEGORY PRODUCTS		Not applicable										Not applicable					

Rationalized/Advanced  
Dynamic  
Basic  
Standardized

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