

# Doculabs' White Paper: HP's Content Management Solutions for Your Sarbanes-Oxley Act Compliance

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Organizations are increasingly turning to enterprise content management systems to address business drivers for compliance and risk reduction – particularly for compliance with the Sarbanes-Oxley Act, which, among other things, dictates standards for public companies' financial reporting and the proper management of supporting records and documentation.

Technology is a key enabler that can help organizations support their Sarbanes-Oxley compliance, through effectively managing the capture, storage, access, and sharing of content. HP provides a range of hardware and software technologies and services that can be leveraged across the organization to support these content lifecycle stages, facilitating organizational compliance strategies. This paper provides Doculabs' perspective on some of the key technology requirements for Sarbanes-Oxley compliance, and how HP's offerings are designed to help you meet compliance applications.

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While this document highlights how HP's solutions can assist your company in Sarbanes-Oxley Act compliance, it is the sole responsibility of the customer organization to establish the appropriate policies, procedures, and practices to ensure compliance with the act.

HP product availability may be subject to change.





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# The Sarbanes-Oxley Act is all about information transparency and accountability.

## Content Management Challenges of Sarbanes-Oxley Act Compliance

In nearly every industry, there are government and industry regulations with which businesses must comply. In general, compliance has process- and information-management implications, as non-compliance exposes the organization to risk in many forms (including litigation and fines).

In recent years, risk reduction and compliance have become even bigger drivers for most organizations. This reality is most readily demonstrated by the Sarbanes-Oxley Act of 2002, which sets forth, among other things, stricter guidelines for financial reporting by public companies. The Act was written in the wake of a series of highly publicized accounting scandals and instances of wrongful document destruction. The Act mandates obligations and accountability for CEOs, CFOs, and their accounting firms. Lack of compliance carries penalties that can include imprisonment for company officers.

The Sarbanes-Oxley Act is all about information transparency and accountability. At the core of the Act is Section 302, which stipulates that public companies that do business in the U.S. must certify the accuracy of financial statements filed with the Securities and Exchange Commission (SEC), with the inclusion of material facts related to the organization's operations and financial condition. Other provisions of the Act require that organizations set up and maintain processes and control structures to ensure compliance and effective disclosure, along with periodic reviews of the effectiveness of those control structures.

While the SEC has extended the initial deadline for compliance to fiscal years ending on or after June 2004, the Act is already evolving into a de facto standard for

corporate governance. Understandably, organizations are extremely concerned about the implications of the Sarbanes-Oxley Act – its breadth is sweeping, and it remains unclear how its provisions will be interpreted by the SEC.

### Compliance Requirements

Effectively complying with Sarbanes-Oxley Act involves a variety of key challenges that involve processes and documents. For example, compliance means that organizations or their accounting firms must:

- > Control the way they process, distribute, retain, and access key financial information and supporting information in day-to-day operations
- > Institute controls that enhance the transparency of communications, bring to light any material deficiencies, and highlight key information that may be material to compliance
- > Institute a compliance program that makes employees aware of their responsibilities
- > Set up and maintain processes to ensure that the compliance program is followed, and to periodically review the program itself
- > Maintain all work papers and information related to any audit report

These imperatives highlight a key consideration: while ultimate accountability rests with key company officers, responsibility extends to line of business operations and the wider range of personnel that may be engaged in activities that have an impact on financial operations (which could be with both internal employees and external parties).

### Content Management Implications

Clearly, the first issue that organizations must address with respect to the Sarbanes-Oxley Act is their business practices. Organizations must establish, communicate, and monitor a set of policies, procedures, and processes that ensure compliance with the Act. The good news is that the Act actually provides organizations with an opportunity to get their shops in order from an operational perspective.

Assuming the proper business practices are in place, organizations can leverage technology to support their compliant processes, and to reduce the cost of manual processing. With this in mind, organizations are rapidly embracing technology solutions in the areas of enterprise content management, records management, and business process management.

The value of these technology solutions is the role they can play in managing and tracking the flow of information. This includes the processing of sensitive financial information, the storage and archival of financial information and related content (including supporting documents and internal and external communications), the access and retrieval of archived information, and the disposition of information in accordance with sound records management practices.

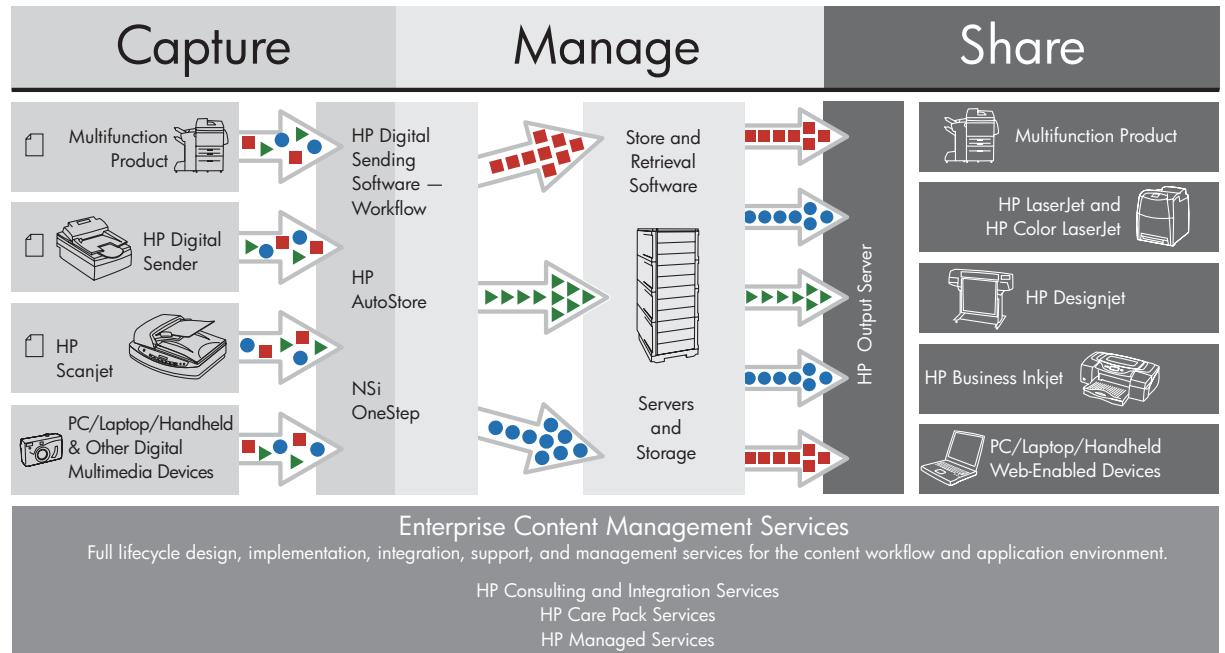
In most organizations, these information flows take the form of the manual flow of documents. And while managing document retention and security is important, organizations can also facilitate their compliant business practices by simply reducing paper handling and streamlining the flow and distribution of information. This requires a solid foundation for document capture, document sharing, and document distribution.

## HP's Approach to Addressing Compliance Issues

HP's approach to helping organizations facilitate regulatory compliance is to provide a variety of products

and services that address the entire content life cycle. Organizations can choose specific components to address particular aspects of the document capture and distribution life cycle, or they can implement multiple components in an integrated fashion that leverages existing IT investments.

HP's philosophy is provide products and services that can address or support three major information management stages: content capture, content management, and content sharing. The following figure and table show how HP's solution components can be used within a content management context.



### Content Management Phases and HP's offerings

Phase	Requirements	What HP Offers
<b>Capture</b>	With Sarbanes-Oxley specifying penalties for inappropriately destroying documents, organizations can reduce their risk by digitizing their paper documents as soon as possible – getting them under organizational control in a secure repository, reducing paper handling, and improving efficiency.	<ul style="list-style-type: none"> <li>&gt; Smart “on-ramp” devices (scanners and MFPs) for hard-copy capture</li> <li>&gt; Electronic content collection from other HP hardware products (PCs, notebooks, handheld devices, and digital pens)</li> <li>&gt; HP consulting and integration services</li> <li>&gt; HP support and managed services</li> </ul>
<b>Manage</b>	Once captured, documents must be appropriately indexed and managed in a central repository. Secure information storage and accessibility is critical to Sarbanes-Oxley compliance.	<ul style="list-style-type: none"> <li>&gt; Server software to manage content categorization, image processing workflows and content management system integration</li> <li>&gt; Server hardware to power content management applications</li> <li>&gt; Content storage solutions</li> <li>&gt; HP consulting and integration services</li> <li>&gt; HP support and managed services</li> </ul>
<b>Share</b>	Information visibility and accessibility is key for compliance. In the course of financial reporting or auditing processes, documents need to be shared and distributed across various internal and external parties –including corporate counsel, auditors, accounting firms, and regulators	<ul style="list-style-type: none"> <li>&gt; Smart “off-ramp” devices (printers and MFPs)</li> <li>&gt; Devices for accessing content (PCs, notebooks, and handheld devices)</li> <li>&gt; Output management and distribution software</li> <li>&gt; HP consulting and integration services</li> <li>&gt; HP support and managed services</li> </ul>

Compliance requires effective input and capture of documents so they can be securely managed and made available in forms that can be incorporated into the financial reporting process. In addition, capture is critical for ensuring that documents can be accessible to highlight potentially material issues, and so they can be expediently

Capture tools must be accessible and easy to use to ensure acceptance by business users and integration into broader business processes.

and predictably retrieved in the process of due diligence. Capture tools must be accessible and easy to use to ensure acceptance by business users and integration into broader business processes.

Compliance also requires the centralized content retention and storage, controlled access to content, and secure distribution of content that is involved in financial reporting and related processes. Tools for content management, storage, and distribution must again be accessible and easy to use, must ensure information integrity and security, and must provide audit trails that show who accessed content and how and where it was distributed.

With these requirements in mind, we believe that a complete content management solution for Sarbanes-Oxley compliance must address all of the critical stages of the content life cycle – providing centralized and distributed capture, centralized management and storage, and secure output and distribution. These capabilities must be provided in a manner that is both cost effective and flexible to address changing organizational needs.

HP provides components that support these critical stages of the content life cycle. Specifically, HP provides components for **content capture, content management, and content sharing or distribution** – all of which can play a key role in supporting an organization's business practices for regulatory compliance. In addition, HP offers a range of services (including consulting, integration, managed services, and support services) to provide complete, fully-integrated solutions for customers.

The following sub-sections provide an overview of HP's products and services in these areas.

### Content Capture

One of the biggest challenges of any content management environment is right up front: capturing information and getting it into the system so it can be controlled and secured by the organization for compliance purposes, and so it can be effectively managed and used by downstream processes. With the Sarbanes-Oxley Act specifying penalties for firms that inappropriately destroy documents, this stage is critical in helping organizations reduce their risk and exposure.

To address content capture requirements, HP provides a number of hardware devices that it positions as the "on-ramp" to electronic management. These hardware devices include HP scanners, multi-function printers, and digital sending devices that support a broad range of centralized and distributed capture applications, and can support flexible capture workflows.

Some of the specific devices that HP provides to support capture requirements for enterprise content management include:

#### HP 9100c Digital Sender

Network-attached device that allows users to capture black-and-white or color documents and send them via e-mail as PDF or TIFF files. The device offers feeding speed of up to 15 pages per minute and includes a 50-sheet document feeder.

#### HP LaserJet 4100mfp

Multi-function network printer with 1,200 dpi resolution that incorporates 25-page-per-minute print, copy, scan, and digital send capabilities in a single device. The device includes an intuitive control panel for configuring the device, capturing and sending documents, and monitoring status. The device includes a 30-sheet document feeder as well as 100-sheet and 500-sheet input paper trays.

#### HP LaserJet 9000mfp

Similar to the 4100mfp, the 9000mfp is a high-volume device that supports single-pass color duplex scanning, touch-screen panel, and converts documents to formats including PDF, JPEG, TIFF, and M-TIFF. For output, the 9000mfp offers 3,100-sheet input capacity and FastRes 1200 resolution, with printing and scanning at 50 pages per minute.

#### HP LaserJet 9055mfp and 9065mfp

These high-volume multi-function devices offer print, copy, and scan speeds up to 65 pages per minute, with a first-copy-out time as fast as 3.1 seconds. The units include advanced finishing capabilities and options for document production, including cover sheet insertion and booklet-making with saddle-stitching and tri-folding. An embedded web server and administration tools simplify network management.

### **HP Officejet 9110, 9120, and 9130 all-in-one devices**

The HP Officejet 9100 series provides workgroup environments with the capabilities of five different devices (printing, copying, scanning, faxing, and digital sending), with enhanced memory to process multiple tasks simultaneously. The devices can send to e-mail, send to network folders (supports HP AutoStore), forward incoming faxes to network folders, e-mail from photo memory card, or send from photo memory card to network folders. The devices allow users to create professional photo-quality documents and color images. The devices have programmable speed dials for e-mail addresses or network folder paths. Using the HP embedded Web server, networked all-in-one devices can be managed remotely from any networked computer via a Web browser.

### **HP Designjet large format scanners/copiers**

Devices that combine in-house color copying, scanning, and printing, in a single, integrated unit. Devices are available to capture information from both paper and rigid media, with resolutions up to 2400 dpi.

### **HP Scanjet 8290**

PC-attached commercial document scanner designed for high image quality and fast scanning for both black-and-white and color. It offers up to 600 dpi scanning resolution for documents and up to 4800 dpi resolution for high-quality images. The device features a 25-page-per-minute automatic document feeder that can handle duplex scanning. It includes SCSI modules and hardware and ISIS drivers, as well as embedded OCR capabilities and other software options.

In addition to these capture devices, HP also supports electronic data collection directly from HP user hardware. Some of the HP hardware products that can serve as input points for electronic content include:

### **HP digital cameras**

HP offers a wide variety of digital cameras that create images in industry-standard formats that can be electronically routed and managed by other systems.

### **HP desktops and workstations**

HP provides personal computers and workstations for a range of end-user requirements. These devices allow users to create, review, and edit, and access content via network resources and applications. Available PC models

include HP Pavilion desktop PCs, Compaq Presario desktop PCs, HP MediaCenter PCs, and HP d300/d200 and d500 series business desktop PCs. HP workstations include Intel Pentium4/Xeon workstations, 64-bit Intel Itanium workstations, and PA-RISC workstations for UNIX users.

### **HP notebook and tablet PCs**

HP provides notebook and tablet PCs that provide users with additional mobility and convenience. These devices allow mobile users to create, review, and edit content and share it via wireless or wired access to e-mail and other network resources. Available notebook PC models include HP Pavilion notebook PCs, Compaq Presario notebook PCs, and a variety of business notebook PCs. HP tablet PCs include the HP Compaq TC1000 and TC1100 models, which provide full PC functionality as well as handwriting recognition features.

### **HP handheld devices**

HP carries a full line of IPAQ Pocket PCs to support the work needs of mobile professionals. The devices can run mainstream programs, and they include robust storage and multimedia capabilities. Some models include built-in wireless capabilities including Bluetooth technology and WiFi for accessing the Internet, e-mail and corporate data from any location.

### **HP digital pen**

Using HP Forms Automation System software in conjunction with a variety of HP printers, the HP Digital Pen 200 recognizes a unique dot pattern on each form that identifies a form and its content fields. The user fills out the form with the compact HP Digital Pen, which contains ink and writes like a regular pen. A small camera in the pen captures a digital copy of the form's information. Users download form data by placing the pen into a docking cradle, which enables all forms data to be automatically input, processed and stored. Because forms are completed using a real ink pen, users also have a physical original that may be filed to meet important legal record-keeping requirements, such as the need for original ink-signed agreements.

HP AutoStore can act as the middleware component that imports content into a centralized repository that is under the organization's control – which is a critical aspect of Sarbanes Oxley compliance.

### Content Management

Once captured, documents must be appropriately indexed and managed in a central repository. In addition, secure information storage and accessibility is critical to Sarbanes-Oxley compliance.

For supporting content management and facilitating compliant business practices, HP provides server-based digital sending and workflow software that enables the processing and routing of documents into target systems, serving as the integration middleware between HP's capture appliances and content management applications. HP also has partnerships with many leading content management application providers to provide direct linkages into their systems (including Documentum, FileNet, TOWER Software, and Microsoft SharePoint Portal Server) HP also offers a variety of storage and server solutions to promote the storage of information that that it may be secure and accessible for compliance as well as for general business continuity and risk reduction.

### Digital Sending Software

The HP family of digital sending software includes five products for use with HP MFPs. These five solutions are all add-on, server-based software packages that extend the digital sending capabilities of the HP LaserJet 4100mfp, 9000mfp, 9055mpf, and 9065mfp devices. The software provides a range of functionality, including the ability to secure access to all sending functions, send captured documents to LAN, Internet, and Windows 2000 fax servers, network file folders, FTP sites and printers; and at the high-end, to supporting indexing, advanced OCR, archiving, and sending directly to content management applications. The result is a means to quickly get digitized documents to the people and repositories that need them. The HP family of five digital sending solutions includes:

1. **DSS 3.0 Secure Access** – leverages Windows or Novell network authentication for user log-ins to secure the MFPs.

2. **DSS 3.0 Communications** – enables MFPs to send documents directly out to a LAN fax, Internet fax or Windows 2000 fax service and includes all the functionality of DSS 3.0 Secure Access. (Note: not compatible with 9055mpf or 9065mfp devices.)
3. **DSS 3.0 Workflow** – allows users to send documents directly into specified network folders, FTP sites and printers – eliminating the need to manually process and route documents into storage systems. DSS 3.0 Workflow includes metadata capability for indexing documents, and an embedded OCR package (ABBYY 6.0 FineReader) for converting documents into searchable text and various formats.
4. **DSS 3.0 Secure Workflow** – includes all of the functions of DSS 3.0 Workflow and DSS 3.0 Communications, plus the ability to secure access to all sending functions using Windows or Novell authentication. (Note: not compatible with 9055mpf or 9065mfp devices.)
5. **HP AutoStore** – at the high end of HP's digital sending software family, HP AutoStore enables HP Digital Senders and MFPs to send documents directly to content management applications in native file format. HP AutoStore has extensive processing (bar codes, forms, etc.) and routing capabilities and options. In terms of electronic document support, HP AutoStore handles documents in a wide variety of file formats that are created by HP input devices or other systems (including PDF, TIFF, JPEG, and PCL). HP AutoStore also supports image enhancement and cleanup, and it can be custom-integrated with third-party modules or components.

This family of five digital sending solutions minimizes the need for organizations to deploy disparate technologies for scanning, image capture, indexing, and image enhancement and dramatically improves document cycle times while reducing costs.

### Content Management Application Integration

As mentioned, HP AutoStore provides a common framework to deliver images and data to nearly any third-party document management or groupware repository, such as Documentum, FileNet, iManage/Interwoven, Lotus Notes, Microsoft Exchange, and Microsoft SharePoint Portal Server, and TOWER Software (for records management). It manages data in a standard format that can be imported into OLE databases such as Oracle or Microsoft SQL Server.

Thus, HP Autostore can act as the middleware component that imports content into a centralized repository that is under the organization's control – which is a critical aspect of Sarbanes Oxley compliance. For an organization already using third-party systems for capabilities such as document management or collaboration, HP AutoStore offers a means to add distributed capture to the environment, along with advanced capabilities such as OCR and barcode recognition.

Using AutoStore, users can select from predefined choices for indexing documents, allowing them to control the organization of the documents they capture, profile them, and include them in workflows.

HP AutoStore's capabilities can be used to facilitate the indexing process for import into third-party content management applications. For example, AutoStore can be configured with forms recognition, barcode recognition,

Sarbanes-Oxley compliance requires a secure storage infrastructure to protect the integrity of the information and to ensure its accessibility over time

OCR, and ICR capabilities – and the extracted index information (metadata) can be mapped directly into content management system profiles. In addition, the system can be configured to convert documents from TIFF or other formats into searchable PDF, making it easier for users to later locate the information they need from within their existing content management applications.

### Content Storage

No matter which content management application is used to provide a centralized repository for documents, Sarbanes-Oxley compliance requires a secure storage infrastructure to protect the integrity of the information and to ensure its accessibility over time – not just when needed for audit or compliance reasons, but also to allow the organization to easily access the information for use in its business. Thus, the storage platform should provide solid and foolproof retention management, while also providing the flexibility and scalability to handle ever-growing information volumes.

HP offers a wide range of networked storage offerings that can support an organization's information management needs at various stages of the content life cycle. For example, HP offers:

#### Active archiving

HP recently acquired Persist Technologies and its software for archiving e-mail, Microsoft Office documents, and other popular file types to help customers comply with stringent retention regulations and extract value from large amounts of reference information. The software integrates with HP ProLiant servers and ProCurve switches to create a scalable "active archive" in which information and attributes are divided across self-contained "SmartCell" modules that incorporate both storage and processing capabilities. SmartCells can be added to increase capacity, and they can be federated to create redundant, modular, grid-like computing and storage capacity. This enables customers to scale their environments to address compliance or business demands.

#### Optical jukebox archives

For compliance purposes, HP's optical storage archive solutions provide write-once-read-many (WORM) capability to help prevent stored information from being altered or overwritten. Options include small and mid-range jukeboxes ranging up to high-end devices that offer up to 1.2 terabytes of total capacity. These archives make sense for storing larger volumes of fixed content that are accessed infrequently.

#### Tape solutions

HP is a leader in the tape and tape library industry, and it offers a variety of tape drives and business-class and enterprise-class tape libraries. These solutions are ideal for data protection, backup, and recovery applications. HP offers LTO as well as SDLT drives for its libraries.

#### Network attached storage (NAS)

HP StorageWorks NAS solutions are disk-based solutions that utilize Microsoft's Windows Storage Server 2003 operating system and industry-leading ProLiant platforms. These solutions are designed for faster data availability, and they provide features including file and print capabilities and network manageability.

#### Storage area network (SAN) solutions

HP offers a variety of components to provide organizations with scalable storage area networks. HP's SAN solutions include the storage devices, networking components, and management software to deliver and manage a complete, standards-based, open connectivity platform for network storage.

#### Servers

From a hardware perspective, HP's servers provide the core environment that can support virtually any enterprise content management or enterprise workflow application. HP offers servers that can power applications ranging from smaller workgroup applications to true high-volume, enterprise-wide deployments. Servers in the HP product portfolio include:

#### HP ProLiant servers

Industry-standard servers designed for Windows or Linux environments.

#### HP Integrity servers

Based on the Itanium processor family and optimized for HP-UX, Windows, and Linux environments.

#### HP 9000 servers

Designed for higher-end HP-UX environments.

#### HP AlphaServer systems

Designed to provide high performance for OpenVMS, Tru64 UNIX, and Linux environments.

## Content Sharing and Distribution

Document visibility and accessibility are key aspects of Sarbanes-Oxley Act compliance. Both paper and electronic documents may need to be securely shared and distributed among various internal or external parties in the course of financial reporting or auditing processes – parties including corporate counsel, accounting firms, auditors, and regulatory bodies.

To share and distribute documents and content, HP provides a number of hardware devices that it positions as the "off-ramp" to electronic management, including a variety of black-and-white printers, color printers, workgroup multi-function printers, and PC and mobile computing devices. In addition, HP provides output management software that helps organizations control and manage output to specific devices or destinations, guarantees the secure delivery of documents to those destinations, and offers full audit trails on every step of the delivery process (which is critical for compliance). These products facilitate document-sharing not only for day-to-day tasks, but also as required for information reporting, discovery, and audit processes.

### Content Distribution Hardware

All HP multi-function devices (profiled in the "Content Capture" section of this report) provide printing and distribution capabilities. In addition, HP provides the following printers and output devices:

#### HP Laserjets

HP offers a variety of monochrome and color Laserjets that address a range of application needs. HP offers

models suitable for small workgroups as well as networkable devices that provide organizations with more advanced document sharing and distribution options, with the ability to be centrally managed and controlled and to leverage HP's digital sending technology.

#### HP Business Inkjets

HP offers Inkjet printers that are designed to help organizations distribute higher-quality, color business documents. Models are available for personal, workgroup, and networkable use, in both standard size formats and large formats.

#### HP Designjets

HP's Designjet printers are designed to address the distribution challenges of large format documents for applications such as technical document printing, high-quality marketing document production, and graphic design output. Offerings are available to address the needs of individual users all the way up to production applications for print service providers, retailers, and graphics professionals.

#### PCs, notebooks, and handheld devices

Users can access content from applications, content management systems, or other repositories using a variety of HP hardware. For example, HP provides a wide range of personal computers, workstations, notebook PCs, tablet PCs, and handheld PCs that can be used to access content. (For more information on these types of products, please refer to the "Content Capture" section of this report.)

HP provides integration services to help organizations deploy end-to-end content management systems, which can include a mix of HP products and third-party technologies that make the most sense for unique application requirements.

### Content Distribution Software (HP Output Server)

For secure document distribution, HP Output Server provides enterprise software that manages the guaranteed delivery of business documents to almost any destination. Traditionally used for managing distribution of documents from ERP systems (including financial documents) to print destinations, the software also supports distribution to e-mail, fax, FTP, web servers, and output archival repositories.

HP Output Server controls and tracks the entire output process, and can confirm delivery of the output. Once HP Output Server captures information from a source application for a job, it can control and protect the information throughout the delivery process, and can archive the output or send it to a third-party archive.

The software provides centralized queue management and job tracking, with error-handling and notification capabilities so that problems or interruptions can be resolved quickly. HP Output Server also integrates with system management consoles like HP OpenView, providing IT staff one consolidated view of the IT environment.

HP Output Server's authentication and authorization capabilities can verify that users are who they say they are, and that only these authorized users are allowed to print to specific destinations. The software also includes detailed logging capabilities and audit trails that can track which users initiated specific output jobs – providing visibility that is critical in satisfying compliance and audit requirements or discovery inquiries.

With HP Output Server's proven experience in delivering output from ERP, financial and other line-of-business systems, it can play a critical role in your Sarbanes-Oxley Act compliance strategy or plan.

## HP Services

HP provides a range of services to assist customers in their enterprise content management implementations for compliance support. Through its services offerings, HP can install and support end-to-end content management environments that are configured to support an organization's policies and procedures for complying with the Sarbanes-Oxley Act and other regulations that involve the proper management, control, and secure access of content.

Types of services that HP offers include:

### Consulting services

HP provides consulting services ranging from up-front assessments of current documents or processes to installation and configuration of HP imaging and printing products. This includes services such as content management vision and strategy development, requirements definitions, deployment roadmaps, metadata and taxonomy strategies and development, content mapping, and business process modeling. If regulatory compliance is the major driver, HP ensures that its consulting team or partners bring the appropriate compliance and industry expertise to help your organization ensure that critical requirements are addressed in the integrated system implementation.

### Integration services

HP provides integration services to help organizations deploy end-to-end content management systems, which can include a mix of HP products and third-party technologies that make the most sense for unique application requirements. HP's integration services focus on ensuring that HP's technologies seamlessly tie into existing enterprise applications (such as ERP systems, content management applications, CRM systems, portals, and legacy systems) and existing or new infrastructure components (such as application servers, integration servers, and security infrastructures) to provide organizations with a complete solution.

### Managed services

HP offers managed services that allow organizations to offload the headaches of managing and maintaining their content management environments and architectures to HP professional staff.

### Support services

HP Care Pack Services provides customers with packaged support services for all HP hardware products. Options include toll-free phone support, hardware services, and hardware replacement when necessary. Service packages are invoiced annually.

## Case Study Example

To illustrate the value that HP's content management solutions can deliver, consider the case of a large multinational holding company incorporated in the U.S. The organization has operations in many countries, many of which are the result of mergers or acquisitions. Given the breadth of its business, corporate management has historically delegated operating authority to its separate business lines, which maintain independent responsibility for profit and loss.

Management has relied on the skill and experience of seasoned financial professionals to capture and process relevant data required for financial reporting. Over time, the company has instituted processes for rolling up transactional financial information into a series of aggregated data points that factor directly into the company's financial performance. The company also follows a process for conducting internal due diligence into ongoing operations, in support of SEC requirements for disclosure of material events.

The advent of the Sarbanes-Oxley Act served as a clarion call for the organization to re-evaluate corporate accountability. While the organization has maintained a solid record of compliance with no signs of malfeasance, the chief compliance officer was concerned that senior management had been operating in an environment of benign neglect, particularly with respect to off-shore operations.

Thus, the chief compliance officer spearheaded an effort to institute a series of internal reforms that sought to:

- > Formalize processes that involve ad-hoc and manual activities
- > Document existing financial reporting processes
- > Ensure that compliance activities are followed consistently across the enterprise, with a premium placed on transparency of internal communications

- > Gradually introduce best practices in compliance into the organization

The organization and its continuing expansion through growth and acquisition created a number of challenges. The organization has wrestled with integrating corporate cultures in the wake of its acquisitions, and to capture and analyze the relevant business processes. In addition, the nature of the organization's growth has resulted in multiple heterogeneous systems that complicate the effort to harmonize business processes. Finally, the organization's many business processes involve appreciable volumes of unstructured content in a variety of formats, including paper documents, forms, electronic office documents, images, and e-mail messages – all of which could be deemed material to the organization's financial reporting requirements.

As the organization went through the exercise of analyzing its processes and developing policies and procedures related to compliance, it became clear that technology would be a major enabler that could contribute to the organization's overall success. The organization turned to HP to provide key components for content capture, management, and sharing capabilities that were required to facilitate compliance. For example:

- > HP multi-function devices and scanners are used to capture incoming documents such as invoices, shipping documents, purchase orders, and other documents that are involved in transactions and accounting operations. Digitizing and capturing these supporting documents was seen as critical to prove the validity of certain transactions if required.
- > HP AutoStore is used as a server-based middleware solution to process images, categorize them, and import them into the organization's centralized content management system and records management system.



It allows appropriate control of documents in a centralized repository, with full access control.

- > HP storage devices are used as the archive platforms for data from the content management system, promoting the secure, long-term retention of the content as dictated by compliance requirements. In addition, the content management system itself runs on an HP Compaq server environment.
- > HP output management software is used for information distribution. HP Output Server software is used to guarantee the successful delivery of documents from the organization's content management system or ERP system, with robust security and detailed audit trail capabilities – which are key features for supporting compliance and simplifying audits and discovery processes.
- > HP printers and multifunction devices are used for distributed document sharing. This simplifies the coordination of processes that surround financial reporting and auditing, such as sending documents from the accounting department out for review and approval by selected executives, corporate counsel, or even external legal firms or accounting firms. This simplifies the process of sharing content housed in systems to which particular users or external parties may not have access.

Overall, the organization found that HP's products and capabilities were a key part of its compliance success. For example, HP helped the organization:

- > Reduce risk and opportunity for error by quickly getting content under corporate control in digital form
- > Promote the visibility and transparency of content and processes
- > Streamline its discovery and audit processes, making them more efficient and cost-effective

- > Leverage its content management and records management systems to control retention and disposition schedules
- > Secure the long-term storage of content
- > Improve information-sharing to aid in real-time decision-making
- > Ensure that office workers would follow the organization's mandated policies and procedures by providing scanning hardware with intuitive panels and interfaces

## Business Benefits of HP's Solutions

HP's content management solutions offer many benefits to help customers comply with Sarbanes-Oxley and other regulations. For example, HP can:

- > **Quickly get paper documents into a controlled, managed system.** By effectively capturing documents at their source and converting them into electronic formats, organizations can ensure that the documents are brought under corporate control. In addition, capturing documents and converting them into an electronic format can reduce the manual touch points involved in subsequent information use, reducing risk.
- > **Improve transparency through information sharing.** Through components such as HP AutoStore, organizations can effectively share images and data with document management systems and other repositories – providing visibility into information that may be material to the financial reporting process, with the ability to highlight potential deficiencies. Improved categorization, indexing, and retrieval of information helps compliance professionals with their due diligence.
- > **Improve document accessibility and distribution.** HP's storage and output products can be used to effectively share and distribute business documents among internal or external parties, with proper security controls and audit trails. This helps facilitate reporting, discovery, and auditing processes and helps in information tracking.
- > **Promote secure storage and archival.** HP's server and storage solutions can be included to provide a tamper-resistant and scalable infrastructure for managing and retaining growing volumes of information over time.
- > **Take advantage of existing investments and established processes.** HP's approach allows an organization to continue using the applications, tools, and repositories of its choice. This helps ensure user adoption and adherence to procedures, which is critical to any compliance strategy.
- > **Ensure that business users can perform their required compliance-related tasks.** Compliance or records management practices often impose new responsibilities on business users. In order to promote adherence to processes, users require tools and systems that are easy

to use. With HP's products, actions such as capturing documents or sending documents are not much more difficult than copying a document – ensuring that users will be able to meet their responsibilities with minimal training.

- > **Support a wide variety of applications across the enterprise.** HP can address a variety of applications and requirements involved in your Sarbanes-Oxley

Overall, HP's approach enables organizations to implement and customize content management solutions that minimize the need for disparate technologies from a large number of vendors.

compliance — ranging from simple low-volume applications up to high-volume production applications with sophisticated processing needs. Thus, HP allows organizations to standardize on technology from one vendor for information capture, storage, dissemination, and retrieval, rather than using multiple point solutions or departmental applications.

- > **Provide the outside expertise required to bring complete solutions together.** HP's consulting and integration services can provide organizations the expertise and service they need to implement solutions to support content management and compliance efforts. HP truly offers the ability to bring together a total foundation for content management.

## The Final Word

The Sarbanes-Oxley Act has significant implications for how public companies capture and manage their content and business records. To facilitate organizations' sound business practices for records management and compliance, HP provides a series of technology solutions, including input devices, storage and document workflow components, and output devices.

HP's approach delivers advanced capabilities, with security in mind, for content capture and output that can work with nearly any content management system. This allows organizations to obtain the key foundation components to support their enterprise content management (ECM) needs, effectively leveraging their information assets across the organization.

With HP, organizations can:

- > Capture and import paper-based content into a controlled, managed system (reducing risk)
- > Archive and retain content in a highly secure storage environment
- > Simplify information output, distribution, and sharing as needed to support information discovery or audit requirements
- > Deploy individual components as needed, or deploy multiple components in an integrated fashion

Overall, HP's approach enables organizations to implement and customize content management solutions that minimize the need for disparate technologies from a large number of vendors – and reduces the related integration and customization efforts that disparate technologies require. This approach also allows organizations to implement technology that can be used by multiple departments and business units, in accordance with their established business practices and procedures for compliance.

Note: While this paper highlights some of the functionality of HP's content management solution, product availability is subject to change. Learn more about HP's offerings by visiting [www.hp.com/go/printingandimaging](http://www.hp.com/go/printingandimaging) or [www.hp.com/go/contentmanagement](http://www.hp.com/go/contentmanagement).

## Next Steps

For any organization, the keys to complying with the Sarbanes-Oxley act center around process definition and adherence, accountability, and visibility. From a records management and content management perspective, we advocate that organizations follow a systematic process for understanding their current state and implementing processes to ensure compliance. With this accomplished, you make informed decisions about the technologies and components you need to support your compliance objectives. For example, we recommend that our clients follow a process that includes the following phases:

Phase	Key Tasks
1. Review your current-state document, process and technology environment	<p>Survey or interview users and managers within your key business units to understand your current state. This may involve reviewing:</p> <ul style="list-style-type: none"> <li>&gt; Current business process flows</li> <li>&gt; Current practices for compliance, document retention, and corporate governance for records management</li> <li>&gt; Current IT environment (including software and hardware, both centralized and distributed)</li> <li>&gt; Types and volumes of documents that exist or flow through the organization (both paper and electronic documents received, created, distributed, stored, etc.)</li> <li>&gt; Major pains each business area is facing (and gaps in current business processes or systems)</li> <li>&gt; Current costs and success metrics</li> </ul>
2. Define (or refine) your records management policies, practices, and procedures – with clear ownership and accountability	<p>This involves ensuring that you have a defined records classification plan, retention and disposition schedule, and documented procedures and practices. Key requirements here include clear ownership, accountability, top-down support, and education. The established practices must define organization accountability, and must have full support from upper management. In addition, the organization must ensure that business users and other employees are educated and trained on the processes and procedures they are expected to follow.</p>
3. Define your technology solution requirements	<p>Starting with your current state analysis, define the functional and technical requirements for addressing the limitations in your current state. This may also include defining an information classification scheme or taxonomy.</p>
4. Create a conceptual design for your future-state technology environment	<p>Given your functional and technical requirements, define a high-level conceptual architecture that identifies the major technology components that will be involved in your future content management environment, and identifies how these components will integrate with existing IT investments.</p>
5. Compare and select appropriate technology solutions	<p>This involves conducting research into viable technology solutions – which could include solutions that you already own, but may need to use in new or different ways. If new technology is required, issue formal requests for proposals (RFPs) to candidate vendors and evaluate the responses in order to make your selection decisions.</p>
6. Create a design and implementation plan; roll out solution(s) accordingly	<p>Once your strategy is set and your solutions have been identified, you can move forward with detailed functional and technical specifications and implementation plans that will carry you into your pilot and production deployment phases.</p>
7. Measure your success	<p>Continually review your processes and track results, and fine-tune your processes and technology solutions accordingly.</p>

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## HP at a Glance

Hewlett-Packard Company  
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Founded:	1939
Stock Symbol:	NYSE: HPQ
2002 Revenues	\$72.3 billion
Employees:	Approximately 145,000 employees worldwide
Office Locations:	HP now has operations in more than 160 countries worldwide

Overview:

HP is a leading provider of products, technologies, solutions, and services to consumers and business. The company's offerings span IT infrastructure, personal computing and access devices, global services, and imaging and printing.

For document management and content management, HP provides a series of technology solutions, including input devices, document workflow, server and storage components, and output devices. These components can combine to support customers' requirements for capturing, managing, and sharing content. These offerings can provide organizations with key foundation components to support their end-to-end enterprise content management (ECM) needs, and to support compliance with industry and government regulations (such as the Sarbanes-Oxley Act).

With HP, organizations can deploy individual components as needed, or they can deploy multiple components in an integrated fashion. In addition, HP provides consulting and integration services, hardware, and software components that can be combined to provide customers with a total solution for content capture and distribution that leverages existing content management software investments.

## About Doculabs

Doculabs, Inc. is a technology consulting firm backed by research and extensive client experience. Our services lower the business risk of technology decisions through client specific recommendations, objective analysis, and in-depth research. Founded in 1993, Chicago-based Doculabs provides consulting services that are based on our fundamental belief that in order to protect a client's long-term interest, technology advisors should not be implementers.

Doculabs helps clients deliver on their business objectives through customized services that address technology initiatives related to business challenges in areas such as strategy development, technology acquisition, and go-to-market initiatives. Doculabs' consulting services are completely objective because the firm does not sell software or integration services. For over 10 years, our research methodology has provided customers facing mission-critical challenges with the information and advice they need to make confident and well informed decisions.

Hundreds of leading organizations within the Fortune 1000 – from financial services companies to major technology software providers – have turned to Doculabs for assistance with their technology strategies. For more information about Doculabs, visit the web site at [www.doculabs.com](http://www.doculabs.com) or call (312) 433-7793.

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