

Technology Audit

Content Management

CA CA Message Manager

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Abstract

CA Message Manager (formerly iLumin Assentor), is an e-mail, Instant Messaging, and file system archiving software solution. Organisations are increasingly electing to retain e-mails and other messages, through a fear of litigation as well as for compliance, and this is creating vast message stores that are difficult to manage and impossible to search effectively, which in turn is leading to difficulties for e-mail administrators. A differentiator for CA Message Manager, and one of its strengths, is its supervisory capability, enabling compliance officers to monitor samples of e-mails to satisfy the requirements of specific regulations. A current weakness is the absence of Records Management, which will be added in the next release of the product. CA Message Manager is targeted at any organisation that has large volumes of e-mails to manage, or is retaining e-mails either through a regulatory requirement or choice. In Butler Group's opinion, it is especially suited to organisations that have a need to monitor e-mails for compliance or a requirement to select e-mails for supervision.

KEY FINDINGS

Key: ✓ Product Strength ✗ Product Weakness ⓘ Point of Information

✓	Archives both e-mails and Instant Messages.	✓	Includes a supervision capability.
✓	Policies can be put in place to prevent contentious content from being sent.	✓	Non-compliant e-mails can be blocked.
✓	E-mail archiving reduces operational risk.	✓	Simplifies the task of e-mail migration.
✓	Search capability uses natural language for greater accuracy.	✗	No Records Management capability at present. This will be added in the next release.

LOOK AHEAD

In the next release of CA Message Manager, CA intends to add a Records Management capability, enabling organisations to more effectively manage e-mails for compliance by creating formal records, imposing retention periods, and disposition schedules.

► FUNCTIONALITY

E-mail has become the predominant method of communication for most organisations, but it is still considered to be a casual application as far as its management is concerned. Mailbox sizes are growing at an exponential rate, partly due to an increase in the use of e-mail, but also due to many organisations retaining e-mails for compliance or through a risk of litigation. This is resulting in IT managers having to take one of two actions.

► Analysis without compromise

The first is to continuously throw additional storage at the problem creating huge data stores that are extremely difficult to manage or back-up. The second is to limit mailbox sizes, forcing employees to either delete e-mails or create personal archives. This is a highly dangerous strategy on several levels, as e-mail is now accepted as evidence in litigation. If employees delete or archive e-mails there is no way that the organisation can have knowledge of the contents of individual e-mails, or if a specific e-mail is requested by a court whether a copy of that e-mail exists. The company may also be unaware of non-compliant material that has been sent outside of the organisation, and could be used in litigation. If e-mail is used for negotiating contracts there may be no record of some contracts that have been agreed. The IT response to the growth in e-mail is to use IT solutions to solve what is essentially a business problem.

E-mail is a valuable tool, but put in the wrong hands it can become a dangerous weapon that can badly damage an organisation. To reduce the risk, organisations must put effective e-mail management solutions in place. If exponential growth in e-mail volumes is occurring, then the logical solution is to implement an e-mail archiving solution. The major benefits of this are to reduce the size of the live message store, eliminate the need for personal archives, provide the full management of archived e-mails by setting retention periods to prevent early deletion, and to provide a search and retrieval capability.

CA Message Manager is an e-mail archiving solution, that was formerly called iLumin Assentor, which addresses all of the above issues.

Product Analysis

CA Message Manager provides organisations with the ability to archive e-mails thus reducing the size of message stores, eliminating the need for employees to create personal archives, and creating better visibility of the content of e-mails within the organisation. There are various points at which e-mails can be archived. For organisations that need to retain e-mails for compliance e-mails can be captured before they are delivered to the mail server. This ensures that e-mails are not tampered with or deleted. Alternatively e-mails can be archived once they have been delivered to the mail server, using the journaling capability of the corporate e-mail system. For organisations that are using archiving to reduce the burden on the live e-mail system rather than for compliance, users can select which e-mails to archive. Another option is to selectively archive e-mails based on criteria such as age of the e-mail, the identity of the sender, the identity of the recipient, or according to the date of the e-mail.

One of the weaknesses of the major corporate e-mail systems is that the search capability does not cater for the accurate, refined, and fully documented searches that are required for compliance and litigation requests. All e-mails that are archived by CA Message Manager are indexed and are discoverable using the search capability that utilises natural language processing. This separates a word from its context within a sentence to provide more accurate results. Searches can be refined and are fully audited.

There are many e-mail archiving solutions in the marketplace, but CA Message Manager has an important differentiator. In addition to providing e-mail archiving and search and retrieval, it also provides a supervision capability, enabling compliance officers to randomly select e-mails to check for compliance. This is an extremely useful feature, and one that Butler Group believes should be included with an e-mail archiving solution. The ability to randomly select a percentage of e-mails is a requirement of the Securities and Exchange Commission (SEC) in the US for certain types of financial institutions, but it has value beyond this. As it is fully audited, checking a proportion of e-mails enables an organisation to prove to a regulator or a court, that it is actively monitoring e-mails and putting appropriate measures in place to address any problems that arise.

In addition to supervision, CA Message Manager also incorporates policy management, enabling a compliance officer to incorporate policies that pick out any non-compliant content in an e-mail body, subject header, or attachments of inbound and outbound e-mails. According to the policy breached, there are a number of actions the supervisor can take from simply flagging the e-mail to preventing it from being sent. There is a full audit trail of all e-mails breaching policies and the actions taken to resolve the situation.

Product Operation

The **CA Message Manager Archive** comprises software that captures e-mail and instant messages. It has the ability to intelligently index the content, classify it, and apply retention periods based on the classification. Integrated support is provided for content management and mass storage.

Features of the Archive include de-duplication, decomposition, text conversion, 'smart' indexing, content analysis, and content adaptors. One of the reasons for the rapid growth in message stores is the high number of duplicated e-mails containing large attachments. Many users think nothing of sending an e-mail containing a large PowerPoint presentation to the entire organisation or a whole department or workgroup. De-duplication ensures that single instance storage is achieved by only storing the e-mail once, but providing a pointer to it, so that each recipient can still access the e-mail. At the point of archive, the actual e-mail can be removed from the e-mail system and be replaced with a stub, which provides a link to the location of the e-mail in the archive. To a user this process is transparent, and clicking on the stub will retrieve and open the e-mail.

A current weakness in the product is the absence of Records Management, enabling a compliance officer to declare specific e-mails as formal records. For many organisations this is not an issue as CA Message Manager includes the ability to set retention periods. However, for organisations in highly regulated industries there is a need to apply more formal Records Management to e-mail. This will be addressed in the next release of the product with the addition of a Records Management capability.

There are three ways in which e-mails can be captured. The first is to capture e-mails at the SMTP layer, before they reach the mail server and are reviewed. This enables firms to block delivery of inbound and outbound e-mails that contain violations of corporate policy. Both inbound and outbound e-mails can also be captured at this point. The second is to capture e-mails post review, using a journaling capability. This ensures that all e-mails are archived, which an increasing number of organisations are doing through a fear of litigation or non-compliance caused by the accidental deletion of e-mails that need to be retained. The third method of archiving is stubbing where the e-mail is moved to the archive and replaced in the corporate e-mail system by a stub. Archiving by using the stubbing method is not quite as secure as the journaling, as e-mails could be deleted or changed prior to archiving.

These three methods of archiving can be used in any combination for example, e-mails may be archived using the journaling capability or at the SMTP layer, and can be represented in the corporate e-mail system by a stub. Alternatively, e-mails may be archived on capture, but only be removed from the live e-mail system and replaced by a stub when they reach a specified age. Most CA Message Managers combine the journaling method, to ensure that all messages are captured, with the stubbing method to achieve storage optimisation with no data loss.

CA Mailbox Manager allows mailbox owners to access and manage their e-mails without the need to create PST or NSF files. A browser-based user interface is provided or it can be integrated with Outlook or Lotus Notes.

CA File System Manager supports the automation of policies to classify and prioritise data and storage resources, consolidate these resources, and improve operational efficiency.

CA Message Manager Discovery allows the archive to be searched with result-sets being retrieved, reviewed, and exported. It has been designed to provide legal departments with the ability to investigate message and content archives. There is a workflow solution that has been developed around the litigation support process. Searches can be refined, and the process of how the final result set was achieved is fully audited providing details of the e-mails that were rejected as the search was refined. Users can upload files with entities, keywords, or phrases, and CA Message Manager will automatically search the archive and create a collection folder with all the messages that contain these items. In addition, tools are included that enable redaction, ensuring that the organisation only releases information that is legally required. Results can be exported in multiple formats such as PDF, PST, NSF, or MSG files.

CA Message Manager Supervision provides supervision, allowing a compliance officer to randomly select a percentage of e-mails to check for compliance ensuring adherence to SEC, NASD, NYSE, and other regulations. Inbound, outbound, and internal e-mails can be inspected, and policies may be put in place to identify e-mails that contain for example, certain phrases or words, particular attachments, are sent from one named person to another, or are sent to a specific company. There are a number of actions that can be taken over e-mails that are identified. They may be flagged but allowed to be sent, allowing a manager to alert the sender about any failure to comply with company standards in the e-mail. They may be quarantined, enabling the supervisor to rectify the problem before sending the e-mail, or they may be prevented from being sent at all. All e-mails identified and actions taken are fully audited.

Product Emphasis

For IT Managers the major driver for implementing an e-mail archive is to improve operational efficiency by reducing the size of the live e-mail store, which in turn reduces the amount of storage required and also the amount of data to be backed-up during shrinking back-up windows. By using an e-mail archive, such as CA Message Manager, IT Managers can reduce the e-mail message store to a manageable size, which apart from providing the above benefits also makes it easier to migrate from one corporate e-mail system to another. Many organisations have delayed upgrading their Exchange server to Exchange 2000 or beyond because of the enormity of the task which constitutes a migration, and there are cases of organisations implementing e-mail archiving simply to ease the task of migration. With its supervisory capability, CA Message Manager goes beyond the remit of many of the other e-mail archiving solutions on the market today.

► DEPLOYMENT

CA Message Manager runs on Microsoft Windows platforms. It is platform agnostic in terms of messaging environment and storage devices.

It is recommended by CA that CA Message Manager is deployed under the guidance of a CA certified deployment engineer. CA and its partners offer extensive Professional Services to assist in the implementation of its solutions. In general, the resources required for an implementation of CA Message Manager are, an architect, implementation consultant, and a Project Manager. On the client side, a Project Manager, Database Administrator, and Storage Administrators are needed.

The mailbox management solution can be implemented within a day, while a typical installation for CA Message Manager Enterprise, (which incorporates Discovery, Supervision, and Mailbox Management) requires two to four days. The product can be implemented in a modular fashion.

The CA Message Manager system is maintained by an IT administrator. Remote Administration services are also offered by CA to customers.

Training is provided through Web-based classroom and on-site sessions for both new installations and upgrades. These are scheduled through the CA Education group. There are three types of training. These are:

System Administrator Training. This is targeted at technical administrators who are responsible for the installation, maintenance, and upgrade of the application.

Product Administrator Training. This reviews all administration activities including the initial setup of users, groups, and thresholds, special configurations and settings customised for the customer.

Product End-user Training. This is targeted at all non-administrative users of the product. User training can include Compliance reviewers, Auditors, Discovery Users, and Mailbox Manager users. The training includes day-to-day workflow as well as special search and discovery.

Technical support is provided by CA. Ongoing support includes comprehensive technical documentation, product bulletins, support forums, and on-line support resources. In addition, there are various support options available, up to 24x7 support. These are provided by CA directly, and in co-operation with its partners.

The product has been designed to be implemented into existing environments without any changes to business processes. However, it is the opinion of Butler Group that for an e-mail archiving solution to provide real business benefit, there must be changes in the way that e-mails are processed. Depending on how the organisation chooses to archive its e-mails this need not require any changes in the way that end-users interact with the e-mail system. The implementation will almost certainly ease the workload of the e-mail administrator through a smaller mail store to manage and enable speedier back-ups with possibly fewer failures due to an over run in the time taken to create back-ups. Deployed correctly it will also improve the efficiency of the e-mail system and reduce the operational risk.

► PRODUCT STRATEGY

CA's target market is both vertical and horizontal. E-mail archiving is a generic requirement and any organisation that uses e-mail and has a requirement for storage is a potential customer. CA offers a solution that has been specifically designed for Financial Services, but it is also focusing its solution on other vertical markets, which are: energy, healthcare, public sector, consumer goods, and pharmaceutical. The company has stated its intention to continue to pursue opportunities in any vertical market where electronic message and Records Management, as well as electronic discovery, are critical business needs.

In terms of size, the major target market has been Fortune 1000 companies for some years, and CA claims to have a majority of these organisations as customers. However, it also has a high number of customers in the Small to Medium-sized Enterprise (SME) market sector and it is increasing its market focus in this area.

CA sees its key market opportunity deriving from its ability to records-enable electronic content and electronic discovery. Butler Group believes that a huge driver for CA in Europe will be compliance as the need to retain e-mails starts to impact a wider range of organisations. Litigation cases are continuing to hit the headlines with increasingly high fines being imposed on organisations that fail to disclose e-mails requested by a court, not because they have been deleted, but because searching hundreds of back-up tapes is unfeasible. Butler Group believes that addressing this risk of litigation and a failure to disclose requested information is another market opportunity for CA.

The route to market is through CA's worldwide direct and channels sales force. The company has extensive partnerships with resellers, systems integrators, and independent software vendors. Some key alliance partners are Novell, IBM, Microsoft, EMC, Network Appliance, BT FaceTime, Akonix, and Sun. Key competitors of CA are other vendors that offer e-mail archiving solutions.

CA Message Manager is sold on a per seat basis. Maintenance is charged at 20% of the licence cost. Services engagements typically cost less than 10% of the original software cost.

► COMPANY PROFILE

CA (NYSE:CA), positions itself as one of the world's largest management software companies. It delivers software and services across operations, security, storage, life cycle, and service management, to help organisations optimise the performance, reliability, and efficiency of their enterprise IT environments. Founded in 1976, CA is headquartered in Islandia, N.Y., has 15,000+ employees, operates in more than 140 countries, and has achieved ISO 9001:2000 certification.

Revenues and operating income for the last three fiscal years (ending 31 March) were as follows:

	2005 (US\$ million)	2004 (US\$ million)	2003 (US\$ million)
Revenue:	3,530	3,299	3,042
Change on previous year:	7.00%	8.45%	5.08%
Total Net Income/(Loss):	(21)	(94)	(349)

CA has a stated policy to enhance and protect its clients' IT investments by integrating a wide range of systems in heterogeneous environments. To maintain this stance it has a wide range of partnerships with technology vendors, systems integrators, and IT consultancies.

Key alliance partners include:

- Microsoft.
- HP.
- SAP AG.
- BearingPoint Inc.
- Intel.
- Oracle.
- PeopleSoft.
- Ernst & Young LLP.

Computer Associates counts 99% of the Fortune 500 amongst its customers.

► SUMMARY

As with other areas of IT that can be described as niche, dedicated e-mail archiving vendors are finding themselves being acquired by multiple product vendors that are focusing in different areas of information management. CA's e-mail archiving solution, CA Message Manager, resulted from the acquisition of iLumin. Butler Group predicts that within the next two to three years there will be no pure-play e-mail archiving vendors left in the market place.

To implement a complete e-mail management solution, organisations have, in the past, been forced to deploy a number of point solutions. However, as consolidation in the marketplace continues, vendors are beginning to integrate appropriate products from their portfolios to create e-mail management solutions. CA is in a strong position in this regard through its portfolio of security products, which will enable it to combine e-mail security with e-mail archiving. Its strong compliance features and supervisory capability coupled with policy management, and anti-spam and anti-virus functionality from its security portfolio, will enable CA to create an e-mail management solution that will satisfy the requirements of a majority of organisations. However, it must ensure that integration work between the two product-sets is performed speedily to ensure maximum competitive advantage.

For any organisation wishing to purchase its e-mail management requirements from a single vendor, Butler Group strongly recommends evaluating CA Message Manager, as well as CA's security products.

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