



### **Records management—a critical need for your business**

Your business faces enormous pressures to comply with government and industry regulations such as the Sarbanes-Oxley (SOX) Act, Securities and Exchange Commission (SEC) Rule 17a-4, National Association of Securities Dealers (NASD) and New York Stock Exchange requirements. These and other regulations, along with governance guidelines voluntarily adopted by many companies, require that structured records management be applied to electronic business records. Sound corporate recordkeeping policies and practices, supported by electronic recordkeeping software such as IBM Records Manager, give you the means to implement new policies, meet regulations and prove compliance.

IBM Records Manager simplifies your corporate recordkeeping policies and procedures. Because it includes comprehensive audit records, you can easily demonstrate compliance. Records Manager also helps your organization reduce the electronic evidence discovery costs of litigation. These escalating discovery costs, along with the increasingly severe penalties for regulatory noncompliance, mean that structured recordkeeping is no longer optional—it has become a strategically critical component of any enterprise business software deployment. Records Manager helps you meet this strategic challenge by applying a formal, structured approach to corporate document retention and destruction policies and procedures.

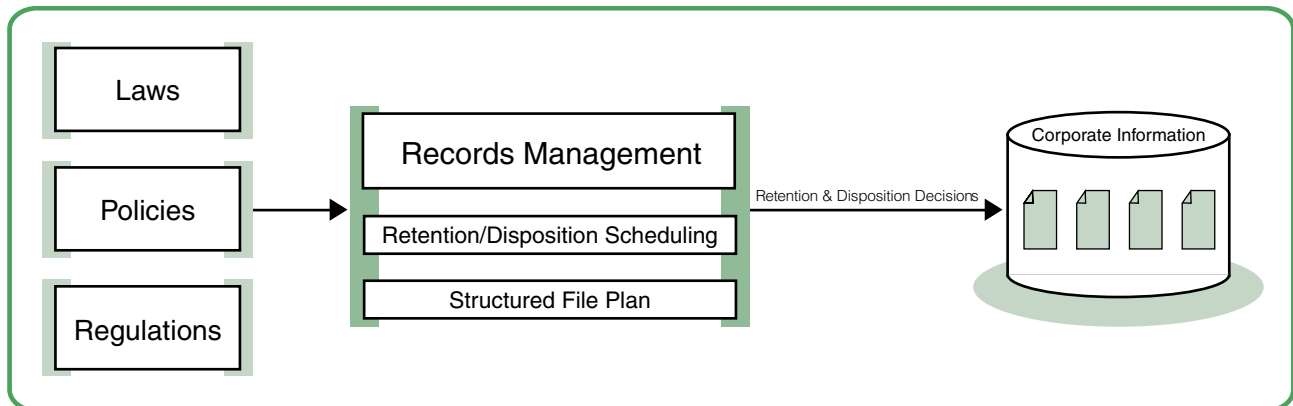
IBM Records Manager provides your business with a single, consistent management platform for all of your corporate records. It allows you to add records-management capabilities to all of your business applications, solutions and repositories—and to all types of content. In addition, it integrates powerful, automated recordkeeping into a wide array of information and

content management solutions from IBM. The complete IBM solution enables your organization to apply records management to content, documents and e-mail using a central or federated repository that is easy to manage and scales to meet the needs of even the largest enterprise environments. In conjunction with sound policies and practices—properly administered by your corporate records professional—Records Manager positions your organization to transform your electronic records into valuable assets that ensure the accountability and agility of your business.

### **Electronic records management yields bottom line benefits**

Electronic recordkeeping underpins your corporate information management policies and initiatives, returning tangible benefits that affect your bottom line by helping you to:

- *Demonstrate regulatory compliance. Good recordkeeping means that you can more easily demonstrate compliance, through a structured retention, hold and disposition program that adheres to regulations.*
- *Lower litigation discovery costs. With a well-defined process for records retention and destruction, including the ability to suspend normal disposition and place pertinent records on hold, you may be able to reduce potentially significant electronic discovery costs during litigation.*
- *Reduce litigation risk through structured document destruction. Properly employed within a context of clear and consistent corporate policies, your corporate records will be destroyed in a manner consistent with applicable laws, regulations and policies to reduce the risk of retaining information past its legal and useful life.*
- *Improve business agility. Make faster and more informed decisions based on timely access to relevant records and information.*



*IBM Records Manager is the key to managing corporate information efficiently and automatically, while preserving the material you need to protect your organization.*

**Simplify electronic recordkeeping to reduce costs and disruption**

IBM Records Manager is an electronic records policy engine technology, that lets you apply electronic recordkeeping policies directly to most business software applications without the added cost, complexity and disruption to normal business processes caused by traditional records management desktop programs. When you “records- enable” an application using Records Manager, you leave business processes intact and preserve the security and privacy of the information retained as records. Records control is applied directly to declared records within the business application’s repository. Records Manager is 100 percent Web-based, meaning there is no desktop recordkeeping client software to install and maintain. Your corporate records professional administers the records through the Web-based Records Administration Client.

IBM Records Manager supplies all the underlying recordkeeping infrastructure and processes for electronic records, enabling virtually any business software with minimal demands on IT staff. Using the sophisticated application programming interface (API) of Records

Manager, you simply implement Declare (designate a document to be a managed record), Classify (assign a retention rule) and Lifecycle (destroy, change status under records control) capabilities directly within the host business application. There is no technology overlap with business applications, such as content searching or document viewing. Records Manager acts as a policy engine that lets the business application do its job and that supports normal business processes over the full lifecycle of the record. When a declared record must be deleted or transferred from a business application, Records Manager notifies the application, which in turn destroys or transfers the declared record.

**Implement “touchless” records management for minimal user impact**

By minimizing the user’s burden in the recordkeeping process, organizations can reduce omissions and other errors, save the time and cost of training users and maximize productivity. Records Manager lets you achieve those goals. It provides “touchless” records management that can eliminate the need for users to pro-actively participate in recordkeeping processes. Alternatively, using



the powerful and flexible API, you can embed the Declare and Classify processes into the business application in any way that suits the work culture and business processes your employees already know. For example, you can make the Declare option an automatic part of the business process, or an easy-to-use voluntary action. You can have the user manually select an appropriate retention rule, or completely automate classification using the auto-classification rules engine of Records Manager. Records Manager allows you to maintain all the control you need, without depending entirely on your users to pro-actively participate in recordkeeping.

### **Meet regulatory requirements and demonstrate compliance**

IBM Records Manager provides your business with a single platform to manage, retain and dispose of business information and intellectual property—such as records—based on regulatory, legal and corporate requirements. Records Manager enables your company to:

- *Apply appropriate time- and event-based retention and destruction rules to support compliance efforts.*
- *Control records from creation to destruction by preventing edit/deletion and log all actions (for example, view and print) for audit and reporting purposes.*
- *Apply and release holds on records to suspend normal disposition.*

- *Lock-down records to demonstrate authenticity in satisfying regulatory and legal discovery requirements.*
- *Protect documents on nonerasable storage devices, as necessary, to comply with SEC Rule 17a-4 regulations.*

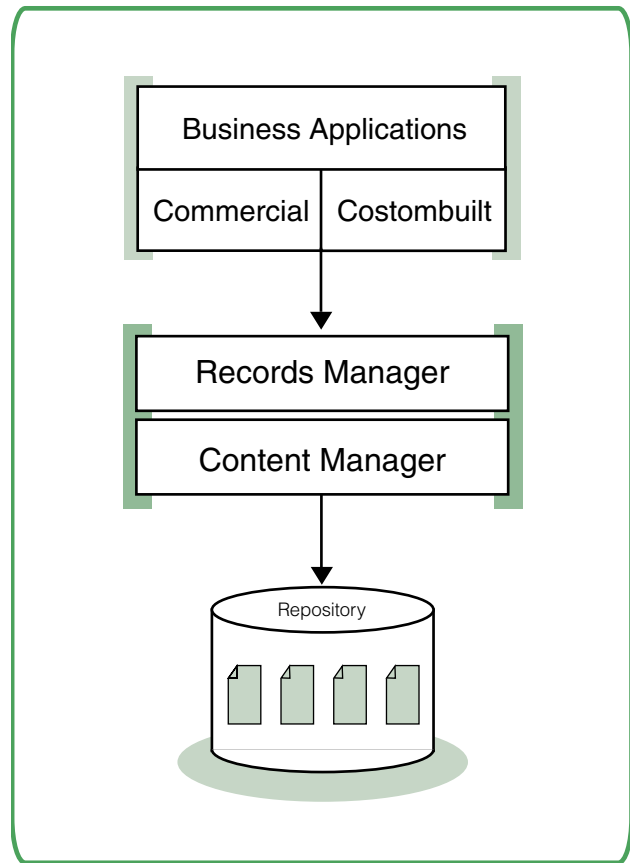
**Reduce the risk and cost of litigation**

Companies are under attack. The average Fortune 500 Company faces more than 85 nonfrivolous lawsuits at any one time. Prompt access to records is the key to reducing litigation risks, mounting an effective offense or defense, and lowering discovery costs. Records Manager allows your legal staff to:

- *Respond faster, with less effort and cost, and with more accuracy when required to produce records for a regulatory audit or lawsuit.*
- *Dispose of records in a manner consistent with laws and regulations.*
- *Perform a single discovery across all types of content and across multiple content sources.*
- *Leverage advanced and time-saving search capabilities such as Boolean logic and fuzzy search when responding to an audit or discovery request.*
- *Place records on hold to make sure they are preserved until explicitly approved for destruction .*
- *Declare and classify previously unidentified documents and information as records.*

**The IBM Integrated Records Management solution**

IBM Records Manager integrates with other IBM solutions to meet enterprise records management needs. It is integrated with IBM Content Manager Enterprise Edition, IBM Content Manager OnDemand, IBM CommonStore for Lotus® Domino® and for Microsoft Exchange Server, IBM eMail Search for CommonStore, IBM Document Manager and IBM WebSphere® Information Integrator Content Edition.



*IBM provides a single, open foundation to create, manage and distribute all forms of content.*

In addition, Records Manager can records-enable third-party applications through its API set. And with the product and services capabilities of IBM Federated Records Management, it can apply a centralized records policy to both IBM and popular non-IBM content management systems.

**Integration with IBM and other content repositories**

IBM Content Manager provides a single, open foundation to create, manage and distribute all forms of content, integrating and delivering critical business information on demand. The integrated IBM solution provides automated

“touchless” records management of content captured and stored in Content Manager, no matter what the source or format. For example, digital assets such as images, Web content, e-mail and documents can all be managed as records within a single repository that scales to support growing record volumes and offers enhanced records metadata, security, document linking and auditing for content of all types.

IBM Federated Records Management is a services asset extension to Records Manager that delivers a solution to help organizations centrally manage records distributed across multiple, disparate content management repositories and business applications. This first-of-its-kind solution won the AIIM 2005 Best of Show Award for Records Management. It combines Records Manager with the content integration capabilities of IBM WebSphere Information Integrator Content Edition to unify records stored in both IBM and non-IBM content management systems. Your organization can use this solution to put consistent records management policies in force across the enterprise without costly repository consolidation. The solution also supports controlled migration to a single Content Manager repository.

IBM Content Manager OnDemand provides enterprise report management and electronic statement presentment. This high-performance middleware automatically manages and provides access to very large files, or “loads,” including computer output, print streams, and scanned images such as checks, financial statements, invoices and faxes. With the documents stored, you can manage the output of data, distribute reports, notify people via e-mail that reports are ready to be viewed, and present statements, invoices and bills on the Web.

IBM’s solution for adding records-management capabilities to Content Manager OnDemand is unique in the IT industry, and won the AIIM 2006 Best of Show Award for

Records Management, for a second year in a row. The solution links Content Manager OnDemand reports data to your company’s records file plan, allowing you to:

- *Manage reports data in a manner consistent with your company records program and other internal policies.*
- *Apply holds to Content Manager OnDemand loads or individual documents within a load to lock them down during litigation.*
- *If individual documents within a Content Manager OnDemand load are on hold at the end of its retention period, keep just the individual documents that are on hold, while the remaining documents are disposed.*

#### **Integration with IBM Document Manager**

This solution integrates IBM Records Manager with IBM Document Manager, which adds document management capabilities to the IBM Content Manager repository. The integrated solution delivers secure, lifecycle records management for all types of business documents, allowing you to:

- *Manage the active lifecycle of documents from creation to final disposition.*
- *Save all components of compound documents and renditions as records.*
- *Enhance management of business work processes and schedule actions such as declaring a document as an official record.*
- *Add recordkeeping buttons and menu items to Microsoft Office applications.*

#### **Integration with IBM CommonStore e-mail archiving solutions**

Businesses today need to capture and retain e-mail messages and attachments as records to demonstrate regulatory compliance and respond to legal discovery requests. Companies have been fined millions of dollars for not being able to produce e-mail records. The IBM solution helps companies address these needs and

reduce litigation costs and risks by combining Records Manager with IBM CommonStore for Lotus® Domino® and CommonStore for Exchange Server, with IBM Content Manager as the repository. The integrated solutions provide records-enabled e-mail archiving and retrieval for Lotus Domino and Microsoft Exchange. They enable your organization to:

- *Declare and classify e-mail messages and attachments as records, consistent with your corporate records program.*
- *Apply appropriate time- and event-based retention and destruction rules to e-mail records.*
- *Place e-mail messages on hold to suspend normal disposition for audit and discovery.*
- *Lock down e-mail messages and attachments as records to demonstrate their authenticity in satisfying regulatory and legal discovery requirements.*

IBM eMail Search for CommonStore is an easy-to-use Web client that enables authorized users, such as compliance or legal staff, to perform general search and discovery on e-mail archived in Content Manager. This solution allows legal staff to perform a single search that spans all or multiple mailboxes to find relevant information in response to an audit or request. Having identified the pertinent e-mail messages, your organization can declare and classify them as records and place them on hold.

### **Apply records management across the enterprise**

IBM Records Manager is certified compliant with U.S. Department of Defense (DoD) 5015.2 Chapter 2 and Chapter 4 security requirements, and is approved with The National Archives (TNA) of the UK standards for records management software. Designed to support even the largest implementations, Records Manager helps ensure successful enterprise deployment through:

- *End-user acceptance. With a zero footprint on the desktop and embedded manual and automatic Declaration and Classification capabilities, you can “bake” recordkeeping directly into user processes.*
- *Multiple applications. Apply records management to all of the business applications within your enterprise.*
- *Integrated content, document and e-mail management. Manage all your records and content types from a single or federated repository to streamline operations and simplify records management.*
- *Scalability. Available on high-performance server platforms, and designed and tested for enterprise-wide deployments.*

### **For more information**

Demonstrate compliance. Reduce litigation costs and risks. Transform all your corporate records into valuable assets that keep your business accountable and agile. Please contact your IBM marketing representative, or an IBM business partner or visit:

[ibm.com/software/data/cm/cmgr/rm/](http://ibm.com/software/data/cm/cmgr/rm/)



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