

**Information Management Software Solutions**

March 2003



**DB2** Information Management Software

## **Structured records management for business applications**



---

## Table of Contents

---

3	<i>The need for records management in e-business</i>
5	<i>Delivering e-records technology</i>
9	<i>Bringing records management to e-business</i>
11	<i>Meeting recordkeeping requirements</i>
13	<i>Inside DB2 Records Manager</i>
15	<i>Robust records management</i>
18	<i>DB2 Records Manager architecture</i>
20	<i>Advantages of DB2 Records Manager</i>
24	<i>Enabling business applications with e-records capabilities using DB2 Records Manager</i>
26	<i>Delivering e-records services</i>



---

**Highlights**

---

*Managing billions of corporate records*

*Meeting regulatory requirements.*

**The need for records management in e-business**

Most of today's critical business records are created and stored in electronic form. From medical and financial records to design specifications, legal documents and e-mail, the volume of critical electronic corporate records in a single enterprise can easily reach the billions. Yet, businesses rarely have a structured, formal means of preserving records and, when required, destroying them with full legal confidence. The following points illustrate the records-related issues facing businesses today:

- *Increasing adoption of e-business and e-government.* Electronic records are being produced, copied, edited, transmitted and deleted at rates that defy conventional capture and classification methods. Businesses need a practical, effective way to properly cope with the sheer volume of business records that they've acquired.
- *Regulatory compliance.* Many industries and government agencies must adhere to regulations in order to conduct their business. These regulatory requirements often mandate formal, structured recordkeeping practices of some kind. Companies that don't comply with regulations risk being penalized or limited in what they can do in that industry. For example, government agencies must comply with numerous laws regarding freedom of information, privacy and the maintenance of historical and archival records. In the commercial world, businesses must adhere to statutes concerning taxation, occupational health and safety regulations, environmental protection laws and more.



---

## Highlights

---

### *Guarding against litigation*

- *Exposure to litigation.* Businesses today are seeking formal, structured recordkeeping for their electronic documents to demonstrate compliance with regulations and laws, and to establish strong, credible evidence of proper business conduct.
- *Information glut.* Corporate and government repositories are growing larger each year, with some measured in the terabytes or even petabytes. Too much recorded information is often worse than not enough. Businesses need to know, with full legal confidence, what records they can delete and when.

### *Minimizing risks with e-records management technology.*

Businesses need to manage their electronic documents in a way that reduces their risk and enables them to demonstrate their regulatory, legal and fiscal compliance. Electronic recordkeeping provides the means by which a business can begin to demonstrate its recordkeeping accountability to shareholders, customers and regulators. *e-Records* software brings formal, structured recordkeeping practices to the electronic information produced or managed by business software. Business software with e-records capability applies formal recordkeeping practices and methods to the electronic documents, which helps to demonstrate compliance with regulations, preserves critical documents necessary for future decision making and deletes information at only the appropriate time, in accordance with applicable laws, regulations and/or policies. Organizations can now preserve the business records they've determined they must keep, while destroying those permitted by law, policy or regulations. Electronic recordkeeping forms a key part of the infrastructure supporting a business's overall accountability.

---

**Highlights**

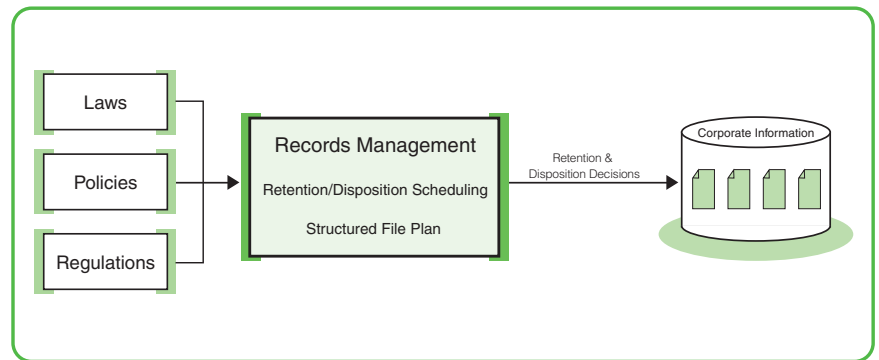
---

*Retaining and disposing of records*

**Delivering e-records technology**

A business can assess the laws, regulations and policies that affect it, and form a series of applicable retention and disposition policies (rules) to govern its deletion of records. e-Records technology *provides the tool for businesses to apply these policies* to everyday electronic records, and to implement these decisions within their business systems. With e-records technology, the business can now govern what information to keep and for how long (retention) and what information to destroy/archive and when (disposition). These disposition decisions are then applied to the electronic information stored in the business's electronic repositories. The e-records technology itself is underpinned by a structured File Plan (a structured hierarchy of record subjects or business activities), and uses a sophisticated Retention/Disposition Scheduling process that applies the retention rules/policies fed into it.

*Applying corporate records management strategies to enterprisewide information.*



*e-Records management technology enables organizations to easily track which documents they must retain and which they can discard according to laws, policies and regulations.*



---

**Highlights**

---

*New infrastructure for records management*

IBM introduces a new e-records infrastructure technology for e-business called IBM DB2® Records Manager. A component of IBM's enterprise content management (ECM) portfolio, DB2 Records Manager provides a robust, scalable platform and infrastructure that enables businesses to bring formal electronic records management capability to their e-business solutions. When used with a content or document management system like IBM DB2 Content Manager or IBM Lotus® Domino.Doc®, DB2 Records Manager brings electronic recordkeeping capabilities to an array of business information.

*Support for better decision making.*

DB2 Records Manager is a tool for applying formal records management policies and practices to electronic and non-electronic documents. When used within a context of clear and consistent corporate policy, it can offer a number of benefits:

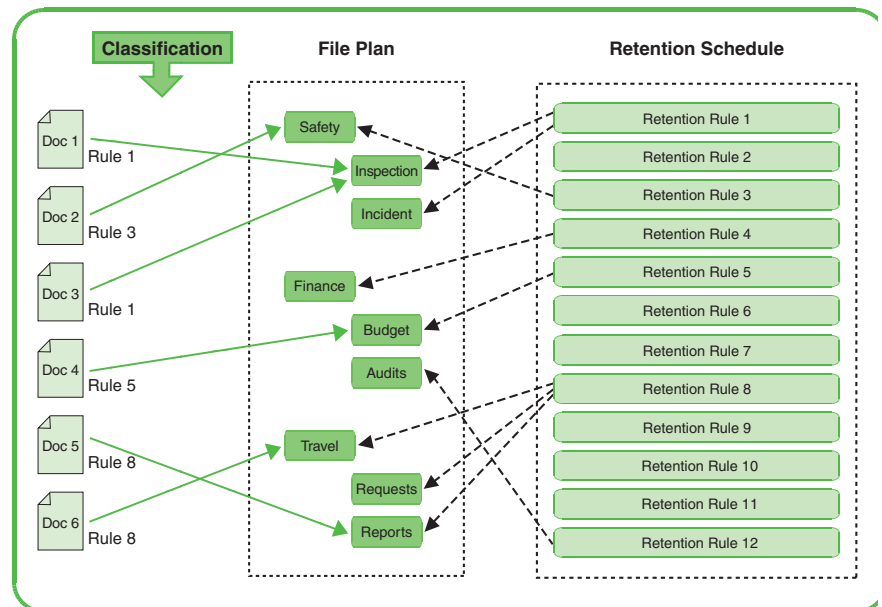
- *Reduced litigation costs/risk through structured document destruction.* Properly employed within a context of clear and consistent corporate policies, DB2 Records Manager provides a highly structured system that enables your records destruction to be better understood. It also gives you a means of consistently applying applicable laws, regulations and policies to your destruction decisions.
- *Minimized discovery costs during litigation through improved evidence discovery.* With a well-defined process for records retention and destruction—backed by supporting audit trails—you may be able to reduce the total time of electronic evidence discovery (e-discovery) during litigation. Good electronic recordkeeping means you can keep the records you need, and destroy those which are not required.
- *Ability to demonstrate compliance with regulations.* Good recordkeeping involves preserving the appropriate records produced in the normal course of business.
- *Enhanced decision making.* With timely and relevant information, businesses are better equipped to make important decisions.
- *Reduced operational costs.* Properly employed within a context of clear and consistent corporate policies, DB2 Records Manager enables you to trim physical storage costs and mandated e-discovery costs, as well as the expenses associated with identifying, finding and retrieving mission-critical business records.

**Highlights**

*Creating retention rules*

The diagram below illustrates how DB2 Records Manager brings recordkeeping to e-business and e-government. Laws, policies and regulations are used to create a list of formal *retention rules*. Most organizations will have already established their retention rules, in the form of a *retention schedule*. The business activities are captured in a structured *file plan*, a hierarchical structure of subjects/activities, broken down into sub-subjects/sub-activities. Business records (shown as documents) are *declared* as formal corporate records. Then, records are *classified* against the file plan's activity/subject that best matches that of the declared records. Thus, the record bears the official retention rule assigned to that activity/subject in the file plan.

*Abiding by recordkeeping standards.*



DB2 Records Manager executes an organization's document retention rules to abide by recordkeeping standards.

---

**Highlights**

---

*Core e-records capabilities*

Most businesses today have formal recordkeeping practices in place, along with trained supporting personnel with suitable expertise to administer their organization's records practices and procedures. These practices and processes are often based entirely upon paper records. DB2 Records Manager, however, allows the business to apply the same recordkeeping capability to its electronically recorded information, by delivering the following core e-records capabilities:

- *Declaration.* A means by which a document can be designated to be a *corporate record*. Once declared as a corporate record, edit and delete control of the document is passed from the user to the recordkeeping process, as administered by the corporate records management professionals. The declared record can then only be modified or deleted in accordance with the organization's formal records management process, not by the end user. Declaration may be performed manually or it can be completely automated, e.g., when a certain property is set, the declaration process may be automatically triggered at the server or the desktop application level.
- *Classification.* A means by which a document can be classified against the official corporate file plan. Similar to the Declare function, this stage can be completely manual or process-driven and automated, depending on the particular implementation.
- *Lifecycle Management.* Applicable retention rules are applied to the records through a formal, multistage process. With this process, the pre-defined retention/disposition rules and policies are applied against all the declared records, so that only the relevant documents are deleted at the appropriate time.
- *Physical Records Management.* The same underlying recordkeeping infrastructure and processes are applied to manage the business's traditional physical (paper) records. Track individual records, folders and boxes; apply barcoding technology and manage physical storage space.

*Formal process with management ease.*





**Highlights**

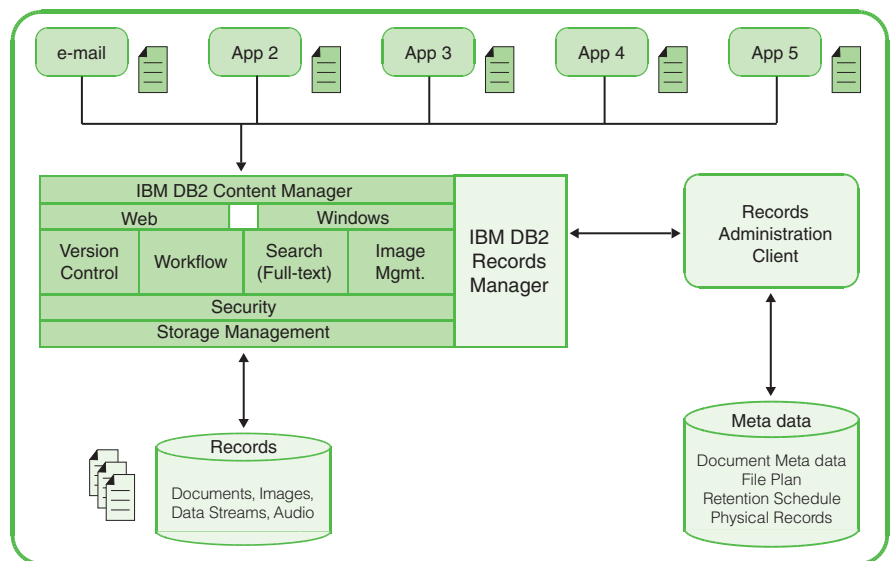
*Embed recordkeeping capabilities into business applications*

**Bringing records management to e-business**

IBM offers two ways to benefit from the electronic recordkeeping capabilities of DB2 Records Manager:

- *Infrastructure offering.* DB2 Records Manager is available as an enabling technology whereby a business can bring the e-records capability to business software. With DB2 Records Manager, a business can e-records-enable virtually any business software application, from commercial to custom-built. All the underlying recordkeeping infrastructure and processes are supplied by DB2 Records Manager. Using the sophisticated DB2 Records Manager *API* (application programming interface), the Declare, Classify and Lifecycle capabilities can be incorporated directly within the “host” business application. The business’s professional records management personnel operate and administer the records using the DB2 Records Manager *Records Administration Client*.

*Working with DB2 Content Manager.*



*Pairing DB2 Records Manager with DB2 Content Manager is one way to incorporate records management capabilities into an e-business.*



- *e-Records for IBM DB2 Content Manager.* DB2 Records Manager is available as an embedded feature of DB2 Content Manager, IBM's core enterprise content management solution. The Declare, Classify and Lifecycle Management capabilities are incorporated into DB2 Content Manager. Additionally, DB2 Content Manager is certified for compliance with the United States Department of Defense e-records standard (U.S. DoD 5015.2 STD June 2002).

DB2 Records Manager features an engine—its enabling technology—that resides on a Web server. A business can implement electronic recordkeeping for any number of host business applications. Declared records are maintained within the repository of the host applications, i.e. they need not be moved to a separate records repository (unless this is desired). DB2 Records Manager applies records control directly to declared records. All recordkeeping administration is carried out from the central Records Administration Client.





---

## Highlights

---

*Minimizing manual intervention*

*Zero client footprint.*

### Meeting recordkeeping requirements

IBM has listened carefully to the recordkeeping needs of businesses and the public sector, and understands them clearly. To successfully achieve electronic recordkeeping in today's complex and fast-moving technology environment, IBM recognizes that a solution must:

- *Be widely accepted.* It is critical that organizational records are declared and classified day in and day out, across many applications and within different environments. Traditional, desktop-based records management applications (RMA), however, have met with user resistance. DB2 Records Manager overcomes this resistance by embedding recordkeeping features and functions in existing host applications, rather than introducing a new application to the users. Declaration and Classification can also be automated in a number of different ways, decreasing the reliance on manual user intervention. Adding to its general acceptance is the fact that DB2 Records Manager technology can be embedded within many different applications, offering uniform central records administration— independent of particular applications.
- *Leverage the Internet.* Installing software on desktops can become an expensive endeavor. Businesses appreciate solutions that can be implemented as Web-based applications, for lower cost, as well as ease of deployment and maintenance. DB2 Records Manager is a pure Web server-based technology, which can be implemented with a zero client footprint.
- *Comply with standards.* In the U.S., DoD 5015.2 STD compliance—a recordkeeping standard that DB2 Records Manager and DB2 Content Manager with DB2 Records Manager have archived certification to—is essential to government and many other organizations. Similar e-records standards are emerging throughout Europe and the Asia-Pacific region. IBM remains committed to complying with new standards as the market dictates.



---

## Highlights

---

### *Simplified records management*

IBM's infrastructure approach to e-records represents a model that is vastly simplified in comparison with traditional e-records management. Essentially, IBM has transformed the existing electronic recordkeeping model, fundamentally improving the way e-records capability is delivered. With the Web-based DB2 Records Manager, there is no complex records management desktop application, and the recordkeeping infrastructure and administration are confined to a remote server. DB2 Records Manager applies records control to declared records within the applications—it does not attempt to duplicate any application functionality. Declared records are maintained within the application's repository, not removed from it. There is no technology overlap with business applications, such as content searching or document viewing. In its simplest form, DB2 Records Manager is a decision engine that lets the business application do its job, without interfering with it. When the time comes that a declared record must be deleted or transferred from the business application, DB2 Records Manager will request access to it for deletion. With DB2 Records Manager, IBM delivers e-records as a capability that works in concert with business applications over the full lifecycle of the record, while preserving the integrity of the record.

### *Running in the background*

#### **Inside DB2 Records Manager**

DB2 Records Manager consists of the following major components:

- e-Records Engine
- API
- Records Administration Client
- Report Designer.

### *Core capabilities form comprehensive solution.*



---

### Highlights

---

*Support for high-volume transaction processing*

*Easy fit into various environments.*

- *Scale.* Large organizations, particularly high-profile businesses, tend to have a strong e-records requirement. This means that the e-records technology has to scale to support tens, even hundreds of thousands of users. DB2 Records Manager was engineered specifically with scalability in mind, and IBM is constantly enhancing this feature by introducing support for larger, high-volume transaction processing environments.
- *Adapt to the organization's recordkeeping practices.* Recordkeeping tends to be practiced differently in different countries and industries, among different companies within the same industries and even within divisions and subsidiaries of large corporations. In fact, it is not unusual for a business to completely invent its own peculiar recordkeeping methods—and for these methods to become deeply ingrained in the organization. e-Records technology has to be sufficiently adaptable to deal with this enormous disparity in practices. In other words, the technology must conform to the business, not the other way around. IBM has solved this challenge with an innovative feature of DB2 Records Manager called IBM Recordkeeping Methods Modeling (RMM). DB2 Records Manager models the business's recordkeeping practices and methods at installation time, and adapts to the organizational recordkeeping practices in use. In addition, DB2 Records Manager features a file plan that can be quickly and easily aligned with other records management principles and practices, to accommodate major business reorganizations
- *Be well deployed and supported.* e-Records support is a capability that must be infused throughout the organization. Because it tends to impact many different, existing business processes, it is absolutely critical that the solution be carefully and thoughtfully deployed throughout the user community. A Web-based technology, DB2 Records Manager inherently minimizes technical deployment challenges. Furthermore, trained IBM personnel carefully plan and execute e-records deployments.

---

**Highlights**

---

Together, these components offer a comprehensive recordkeeping solution for even the most sophisticated automated environment:

- *e-Records Engine*. The e-records engine, essentially the enabling technology, provides a true Web server process that runs on a remote server connected to the corporate intranet or the Internet. It implements and manages the official corporate file plan, retention and disposition rules, and related recordkeeping processes. It stores, in a database, meta data on declared records from the various business applications, supporting records infrastructure data such as the file plan and retention schedule, audit trails and other recordkeeping information.
- *API*. The API presents a comprehensive, programmatic interface to all aspects of the engine. The API is XML-based, and supports COM+ for Microsoft clients and SOAP for non-Microsoft client applications.
- *Records Administration Client*. This component is a browser-based tool that the corporate records manager uses to conduct daily records operations. From a browser, the corporate records manager can enter the retention and disposition rules, apply security, define audit trails, run lifecycle management and administer physical records management (PRM). It operates over the intranet or Internet, and is fully customizable and extensible.
- *Report Designer*. Reports are a very important part of modern recordkeeping for usage monitoring, statistical analysis of records and mandated reporting to regulators. DB2 Records Manager contains a full-function, WYSIWYG Report Designer. The Report Designer is a Microsoft® Windows®-based client application that allows DB2 Records Manager to use drag-and-drop techniques to design sophisticated, fully formatted reports. Once designed, the report templates may be saved for later re-use within the DB2 Records Manager Records Administration Client.

*Browser-based tool*

*Drag-and-drop techniques.*



---

## Highlights

---

*Flexibility to support varying needs*

*Customizing an appropriate file plan for the business.*

### **Robust records management**

Management of corporate electronic and physical records demands a rich selection of records administration capabilities. DB2 Records Manager offers this rich mix within its Records Administration Client, a Web application used by the business's corporate records manager. This client contains all the modern recordkeeping capability needed for effective management of today's physical and electronic records:

- *Lifecycle Designer.* This supports different lifecycles for different classes of records, with unlimited lifecycle phases and phase transition parameters, and manual or automatic interphase transfer. Even the ownership and security of records can change upon phase transition.
- *Time/Event Disposition.* The disposition of more than 60 percent of business records is driven by an external event, such as a mandate to “destroy two years after expiration of contract.” DB2 Records Manager supports Time, Event and Event/Time disposition modes, with cutoff features to account for the predetermined time periods, such as fiscal year or business quarter.
- *Disposal Authorities.* Many government agencies use written disposal authorities, granted by a governing archival agency, to prove authority to destroy. DB2 Records Manager can elect to restrict destruction to only those records where a disposal authority has been cited.
- *File Plan Designer.* A key part of RMM, DB2 Records Manager lets the corporate records manager design any conceivable file plan based upon unary or hierarchical object relationships, define different user views and security policies, and establish relationships between record objects. This means that virtually any particular recordkeeping process can be implemented.



---

## Highlights

---

### *Automatic triggers*

- *Vital Records.* With DB2 Records Manager, vital records can be duly designated for special treatment, which improves disaster recovery and supports business continuity.
- *Business Process Rules.* DB2 Records Manager has a unique and powerful macro programming language whereby a recordkeeping event can trigger some external event. Using this capability, e-records processes can be seamlessly incorporated into external work processes (or vice versa) without custom programming. This means, for instance, that a change in a record, such as its status or destruction, can trigger automatic notification of affected users, or start an external process (a close-out of a loan application, for example).
- *Localization.* DB2 Records Manager has been specifically designed to minimize the time and effort required to adapt the Records Administration Client to local terminology and multiple languages. All field labels can be defined by the operator.
- *Automatic Classification.* Automatic classification is a highly regarded capability, as it removes the need for end users to manually assign retention rules. DB2 Records Manager offers meta data-based automatic classification, whereby the corporate records manager can define classification rules based on meta data about the record.
- *Report Designer.* DB2 Records Manager contains a full-function WYSIWYG report designer. Report templates are saved to disk for subsequent reuse, and later run against query output saved in XML format.
- *Global Update.* Corporate reorganizations, whether from mergers and acquisitions or internal restructuring, sometimes cause tremendous grief for the recordkeeping infrastructure. DB2 Records Manager offers a sophisticated Global Update capability that minimizes the inevitable downstream administrative overhead of corporate reorganizations.

### *Recordkeeping stability even through corporate reorganizations.*





---

## Highlights

---

*Safe and secure*

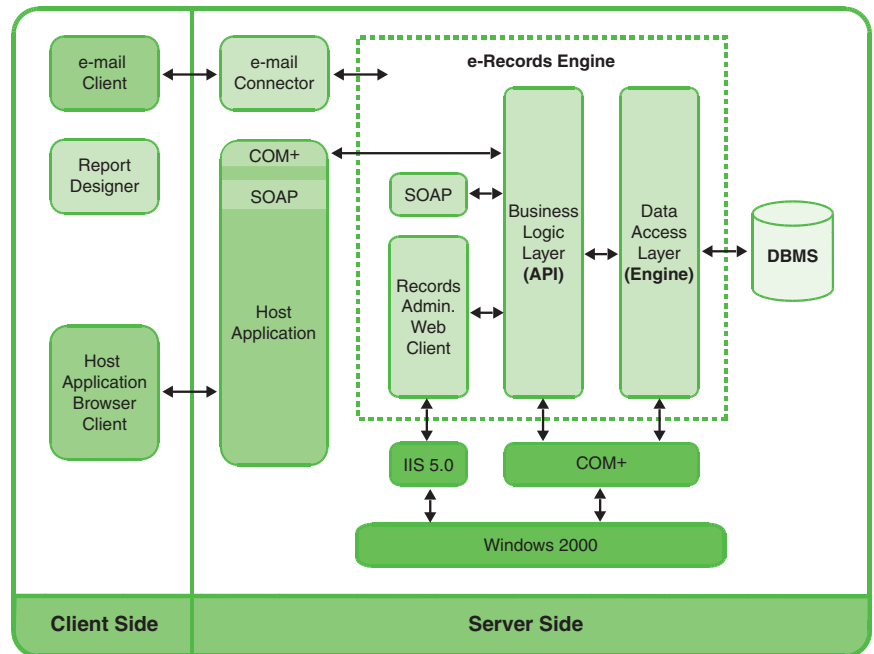
*Extending records management to physical items.*

- *Advanced Querying.* DB2 Records Manager offers both simple and advanced querying for the corporate records manager, including records meta data review, querying and reporting capabilities.
- *Advanced Security Schema.* While the host business application has primary control of declared records, DB2 Records Manager offers an optional level of records-based security, as required by some regulators. The administrator can define access control policies, user/group roles, access control lists and permission profiling.
- *Standards Compliance.* DB2 Records Manager is certified compliant with U.S. DoD 5015.2 STD June 2002. IBM is committed to complying with e-records standards as markets dictate.
- *Legal Hold.* DB2 Records Manager lets the corporate DB2 Records Manager apply a legal hold (sometimes referred to as a suspension) to designated records. Records under legal hold are protected from any possible destruction until the hold is lifted.
- *Audits.* DB2 Records Manager features extensive activity logging, audit trail and reporting capabilities, essential to demonstrate compliance and provide legal support of destruction activities.
- *Records Destruction.* Most e-records standards require that destruction of electronic records be “non-recoverable.” DB2 Records Manager relies on the host business application to perform actual destruction, which DB2 Records Manager triggers and would commonly be carried out in non-recoverable form.
- *Physical Records Management.* With DB2 Records Manager, the corporate DB2 Records Manager can easily track and manage physical records including files, folders, boxes, labels and barcoding, and make better use of available physical space.

**Highlights**

**DB2 Records Manager architecture**

The diagram below illustrates the technology architecture of DB2 Records Manager.



*DB2 Records Manager was designed with an open architecture that enables its capabilities to be easily embedded in a host application.*

*Fits smoothly into host application database.*

From right to left on the above diagram, the database stores meta data only. DB2 Records Manager implements a database schema of its own, required for the file plan, lifecycle management rules, auditing and other administration. The schema has been designed so it can be easily merged within the schema of the host application's database. All of the tables and stored procedures of DB2 Records Manager have been uniquely named so as not to collide with SQL structures of the host application.



---

**Highlights**

---

*High performance and interoperability*

The core engine consists of the data access layer and business logic layer, both of which can be configured for multiprocessor scaling. The Records Administration Client application is written in ASP script. The business application vendor can easily modify the ASP scripts to make the client application uniform with the host application, or port the entire application to any Microsoft Windows platform that supports a COM+-based API, such as Visual Basic or Visual C++. Such capabilities provide scalability to accommodate the business's growing records volumes, as well as a level of flexibility to use the business's platform of choice.

The host application communicates with DB2 Records Manager through the COM+ or SOAP protocols, using XML. The e-records engine runs on Windows 2000 Advanced Server with IIS and ASP services. It is designed with the latest technology for high performance, maximum scalability and interoperability with modern business application software. The engine itself resides on a Windows 2000 server, as the administration/infrastructure client requires IIS 5.0 or greater and ASP 3.0 to operate.

*Open standards support.*

Within DB2 Records Manager, all communication to and from the API occurs through XML. All data output from queries, reports and utilities is stored in XML format. As part of its ongoing commitment to open standards, IBM has published an XML schema for communication with the enabling engine technology.



---

**Highlights**

---

*Rapid deployment*

*Secure storage.*

**Advantages of DB2 Records Manager**

IBM's technical and functional approach to DB2 Records Manager solves the problems of traditional RMAs, and offers a number of benefits:

- *End user acceptance.* With DB2 Records Manager embedded within a business application, users see their participation in recordkeeping as just another feature of the business application they are already using. They do not have to learn or use a new application. DB2 Records Manager can be deployed with no "desktop footprint."
- *Speed-to-market.* ISVs can now get to market with a robust, formal recordkeeping capability in a fraction of the time it would take to engineer the entire e-records infrastructure from scratch. IBM's *RAD* (Rapid Application Design) architecture ensures the ISV can quickly and safely meld the technology within its application.
- *Multiple applications.* A single instance of DB2 Records Manager can be used to apply recordkeeping to potentially all the applications of an entire enterprise.
- *Wide deployment.* As an entirely Web-based software engine, IBM's technology has no user client software whatsoever, and can therefore be readily deployed enterprisewide. Its Web server-based design lends itself to server farms and large-scale deployments.
- *Repository management.* Declared corporate records are not disturbed, thus preserving the security and storage capability of the host application.
- *Flexibility.* RMM ensures that any unique recordkeeping practices or conventions can be applied to physical and electronic records.
- *Standards compliance.* IBM's e-records technology is compliant with the U.S. DoD 5015.2 STD June 2002, and the host application itself may be certified for compliance.



The table below details the core features of DB2 Records Manager, their functions and their benefits:

Feature	Function	Benefit
<i>Technical</i>		
SOAP, COM+ API	Embed e-records into Windows or non-Windows platforms	Bring e-records accountability to Windows and non-Windows platforms
Engine design	Electronic recordkeeping can e-records-enable virtually any business application	One single, central e-records solution for multiple business applications
n-tier architecture	Browser (client), server, business logic and database tiers; n-tier architectures require stateless connections	Scale up to large deployments; meet high-performance, large-volume demands
Stateless architecture	Application state not preserved during session, maximizing use of server resources	Robust scalability and support for disparate connectivity, rapidly changing connection volumes and secure transactions
No client-side software	Embedded DB2 Records Manager solution can include no client-side records visibility and be a complete server-side solution	Avoid technology duplication with business applications; easy enterprisewide deployment, centralized maintenance
Open database support	Use SQL Server, Oracle or DB2 (future)	Scale up to robust, high-capacity transactions
Open XML messaging support	XML utilized as messaging format for all API communications and data import/export	Compliance with industry standards; portability across Web environments; easy system migration of existing records data
Embedded declare/classify function	Declare/classify can be embedded within an application server or the user interface	Easy to use and non-intrusive to business users
Unicode, message externalization	Designed to support multiple languages of operation	Faster, easier translation to multiple target languages of operation
User exit/event scripting	Trigger any record activity event on creation or edit of any record or record-related activity	Provide ability to automate record and file plan processing upon any event; react immediately when important records are changed that impact the organization.
Browser-based Records Administration Client	Run records administration from within a Web browser	Secure records administration from anywhere on the Internet/intranet



Feature	Function	Benefit
<b>Records Management</b>		
Recordkeeping Methods Modeling (RMM)	Model any recordkeeping process/method	Handles recordkeeping methods from any country/industry/business
Physical Records Management (PRM)	Track folders/boxes, bar-coding, report generation, space management	Handle both electronic and physical records with one solution
Meta data-based automatic classification	Create automatic classification rules based on meta data	Reduce your dependence on end users for classification accuracy
Records expunge	Destroyed e-records cannot be recovered	Reliable, secure destruction of electronic records from storage media
Lifecycle designer	Specify lifecycle phases, characteristics and interphase criteria	Different record formats can transition into different stages of lifecycle independently of one another, providing complete record lifecycle flexibility
Time, event, event/time disposition	Specify any combination of time and event within a retention rule	Flexible retention rules to handle any conceivable combination of disposition
File plan designer	Onscreen tools to design your file plan to match your business; subject activities, hierarchical structure, security model, views, etc.	Software adapts to your corporate file plan, not the other way around
Vital records tracking	Identify and track vital records	Implement maximum disaster recovery levels



<b>Feature</b>	<b>Function</b>	<b>Benefit</b>
Report designer	Distribute and reuse saved report templates	No need to purchase a third-party report writer; reports are security-sensitive
Global update	Perform global, multirecord changes in a single operation	Easily handle corporate reorganizations
Advanced security schema	Use access control lists to define user/group security at any point in the file plan; load security from host	Robust, flexible security to match existing corporate policies
Legal holds	Apply legal holds/suspensions to any records	Compliance with court orders
Audit trails	Comprehensive auditing of all record activities	Prove compliance with regulations, maximum defense of corporate destruction procedures
File plan template import/export	Duplicate a file plan to different parts of your organization	Reduced duplication of effort setting up a corporatewide file plan
U.S. DoD 5015.2 certified	Certified June 2002 for new 5015.2 (second version)	Meet current U.S. government requirements for e-records



---

## Highlights

---

*Two options for ISVs*

*Standards compliance.*

### Enabling business applications with e-records capabilities using DB2 Records Manager

ISVs can embed DB2 Records Manager into their business application in one of two ways:

- *Non-certified integration.* This is the fastest, simplest approach to delivering basic e-records capability to the business application. The host application may be U.S. DoD 5015.2 STD-*compliant*, but not *certified* to the standard. The ISV simply integrates the Declare and Classify services into the application, along with a simple lifecycle management service to destroy declared records tagged by DB2 Records Manager for destruction. Under this basic approach, the host application cannot be independently certified to the U.S. DoD 5015-2 STD June 2002.
- *Certified integration.* In this approach, DB2 Records Manager exists within the host application such that the application itself can be certified for compliance with the U.S. DoD 5015.2 STD June 2002. The host application itself would have to successfully pass several mandatory requirements of the standard. The following embedding tools and actions would be required, in addition to the base non-certified integration:
  - *Search/retrieval extensions.* A number of prescribed search configurations must be incorporated, above and beyond basic retrieval.
  - *Certification test.* The host application must be submitted to DoD for formal testing. Once the ISV application has passed the DoD's mandatory testing, the host application will be granted a two-year certification of compliance.





---

## Highlights

---

*Letting DB2 Records Manager do the work*

Embedding the e-records engine in an application (non-certified) is a matter of programming three changes to the application. A *Declare* capability allows users to declare a document/e-mail to be an official record, whereupon DB2 Records Manager takes over deletion control of the document. *Classification* provides a means whereby an approved official retention/disposition rule is applied to the declared record. Both manual and automatic methods may be used to assign this rule. Finally, the *Lifecycle Management* function allows DB2 Records Manager to ultimately delete or transfer the declared record from the application at the end of its approved lifecycle.

To recap:

- *Declare*. Implement a button, right-click, or some other operation to declare a document to be a record. DB2 Records Manager records certain meta data about the document, and retains exclusive deletion control over its remaining life.
- *Classify*. DB2 Records Manager assigns a formal retention rule to the declared record. The user creates a reserved data field in the business software for storing the rule number. Then, either a rule will be automatically assigned, or DB2 Records Manager presents the user with a selection of applicable rules from which to choose.
- *Lifecycle Management*. This lets the records administrator apply the retention and disposition rules to the declared records in the business software. For each e-records-enabled business application, DB2 Records Manager will notify the application that the declared record is ready to be destroyed or transferred. The host application must implement a basic utility process to delete the specified declared records.

*Summarizing key capabilities.*



---

## Highlights

---

*Weaving recordkeeping into normal business processes*

*Innovative way to support corporate accountability goals.*

### Delivering e-records services

Having an enterprisewide e-records capability typically affects all aspects of document creation and storage. In order to achieve across-the-board end user participation and consistent, accurate classification, business users must be willing to view recordkeeping in a new light. IBM has learned from experience that a number of factors have to be present to ensure a successful e-records deployment:

- *The business culture has to change slightly.* Sound recordkeeping practices must be “baked into” the organization so that recordkeeping becomes a normal—and expected—part of daily business operations. End users must understand the value of recordkeeping.
- *Results must be constantly measured.* Continued measurement of critical success factors such as declaration rates and classification accuracy are important tools to identify problem areas before they spin out of control.
- *Embed, don't integrate.* e-Records processes must be a part of the existing business applications and processes that are used each and every day. With DB2 Records Manager, bulky integration of multiple desktop applications is replaced with a simple solution. In the case of DB2 Content Manager, e-records capabilities are included directly in the menus and operating procedures of DB2 Content Manager.

DB2 Records Manager represents a new approach and new technology for bringing powerful recordkeeping capability into any organization's or ISV's e-business solutions, or to applications based on DB2 Content Manager. With DB2 Records Manager, IBM provides state-of-the-art technology and an innovative new delivery model, enabling businesses to establish the frameworks they need to manage records across the enterprise.

**For more information**

Please contact your IBM marketing representative or an IBM Business Partner, or call 1-800 IBM CALL within the U.S. Also, visit our Web site at: **ibm.com/software/data/cm**



© Copyright IBM Corporation 2003

IBM Corporation  
Silicon Valley Laboratory  
555 Bailey Avenue  
San Jose, CA 95141  
U.S.A.

Printed in the United States of America  
03-03  
All Rights Reserved

DB2, Domino.Doc, the e-business logo, IBM, the IBM logo and Lotus are trademarks or registered trademarks of International Business Machines Corporation in the United States, other countries or both.

Microsoft and Windows are registered trademarks of Microsoft Corporation in the United States, other countries or both.

Other company, product or service names may be trademarks or service marks of others.

References in this publication to IBM products or services do not imply that IBM intends to make them available in all countries in which IBM operates. Offerings are subject to change, extension or withdrawal without notice.



Printed in the United States on recycled paper containing 10% recovered post-consumer fiber.

