

## IBM DB2 Records Manager

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### Highlights

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- **Rules-base engine—no software required on end-user workstations**
- **e-records enablement across multiple business, solutions and repositories**
- **Ensures the integrity of e-records.**

### A new approach to e-records management

In today's highly regulated and scrutinized corporate environment, records management is a critical requirement across companies in all industries. IBM DB2® Records Manager can help meet this challenge by extending electronic recordkeeping capabilities to your current business processes, applications and repositories. DB2 Records Manager is a tool for applying formal records management policies and practices to electronic and non-electronic information. When used within a context of clear and consistent corporate policy, DB2 Records Manager can offer a number of benefits:

- *Reduced litigation risk through structured document destruction.*
- *Reduced operational and litigation discovery costs.*
- *Demonstrated compliance with regulations that affect your business.*
- *Enhanced decision-making through access to timely and relevant business information.*

DB2 Records Manager provides the underlying recordkeeping infrastructure on a remote dedicated server. The recordkeeping processes are embedded into the business application interface so that the host application can do the following:

**Declare.** Documents can be managed as records (declared) via process-driven automatic methods, or manual, user-driven methods. Once a document has been declared a record, full lifecycle management will be applied to it.

**Classify.** DB2 Records Manager assigns the appropriate retention and disposition rules to the declared record.

**Lifecycle management.** DB2 Records Manager destroys or transfers declared records within a business application, based on the assigned rules.

DB2 Records Manager applies control to declared records within the applications and does not 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. DB2 Records Manager acts as a decision engine that lets the host application do its job, without interfering with daily business processes. DB2 Records Manager helps companies meet compliance requirements with easy integration and high performance, through:

## ***Simplifying e-records lifecycle management***

- *Zero-footprint installation —no software to install on workstations*
- *e-records enablement for any number of business applications*
- *Preservation of business record locations for e-records.*

### **Utilizing DB2 Records Manager**

To bring e-records management to the enterprise, DB2 Records Manager leverages four key components:

**Engine.** DB2 Records Manager is a true Web server process that runs on a network server attached to your corporate intranet or the Internet. It implements and manages the official corporate file plan (the foundation of any structured recordkeeping environment), the official retention and disposition rules, and related recordkeeping processes. It uses a database to store meta data on declared records from the various business applications and the supporting records infrastructure data.

**API.** The application programming interface (API) lets you embed e-records into business processes and software and add the Declare, Classify and Lifecycle Management functions. All engine functions are accessible using the API, through SOAP, Web Services or Java™ IIOP/RMI.

### **Records Administration Client (RAC).**

Corporate records managers can use this Web-based application interface to conduct daily records administration. They enter the retention and disposition rules, apply security, lifecycle transition, define audit trails and perform accession operations.

**Report design.** DB2 Records Manager offers basic reporting capability on common data types. It produces report data in XML format, using XSLT methods, which means that any XSLT formatting application may be used to design sophisticated reports. You can save report designs as templates for later reuse.

### **Customizing file plans for reliable results**

The file plan is the critical foundation of any structured recordkeeping environment. With the sophisticated Recordkeeping Methods Modeling (RMM) of DB2 Records Manager, you can easily implement and modify file plans to suit your business. You can:

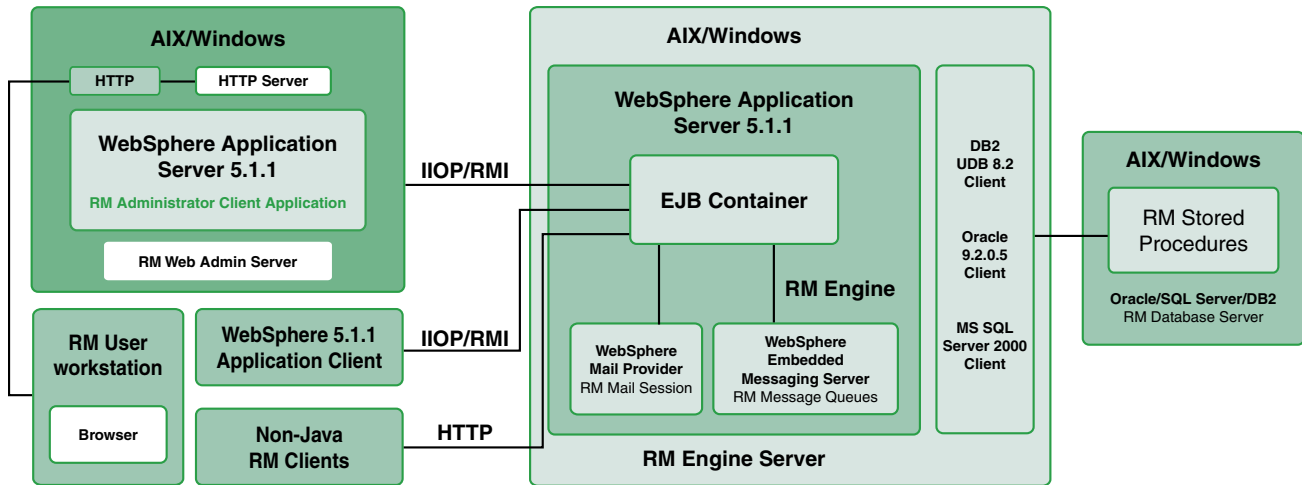
- *Design a hierarchical file plan, define different user views and establish relationships between records and objects.*
- *Assign permissions to any file plan component, including users, groups and roles.*
- *Access multiple customized file plan views.*

- *Adapt all fields and profiles to local terminology and language (localization).*
- *Assign Security Descriptors (supplemental markings).*
- *Partition logical files into individual sets for independent management.*
- *Produce statistical usage reports.*
- *Group related records into manageable sets.*
- *Link to external work progress activities on create/edit of any record object.*
- *Import/export file plan templates.*
- *Configure audit trails.*

### **Simplifying e-records lifecycle management**

The administration of electronic records management across an organization can be a formidable effort. DB2 Records Manager helps streamline and simplify e-records lifecycle management by providing:

- *Federated records meta data review, querying and reporting.*
- *Advanced security schema for access control policies, user roles, access control lists and permission profiling.*
- *Suspend (legal hold) records from destruction.*
- *Comprehensive activity logging and audit trails.*
- *Non-recoverable records destruction with supporting audit trail.*



DB2 Records Manager features an e-records engine and e-mail connector to bring electronic recordkeeping capabilities to the enterprise.

### Applying advanced lifecycle management

IBM DB2 Records Manager is certified compliant with U.S. Department of Defense 5015.2-STD June 2002, including optional Chapter 4 requirements for high-security documents. It is designed to be compliant with UK National Archives 2002 requirements. DB2 Records Manager has been designed to handle even the most unique recordkeeping requirements with advanced lifecycle management features, such as:

- *Lifecycle Designer, which can define different lifecycles for various types of records, as well as unlimited lifecycle phases, phase transition parameters and interphase transfer.*
- *Time, event and event/time disposition modes with cutoff.*
- *Disposal authorities.*
- *Vital records tracking.*

- *Definable records business rules (macros).*
- *Rules-based automatic classification.*
- *Global updates and multi-record operations.*

### Leveraging advanced technology for tailored solutions

DB2 Records Manager runs on IBM WebSphere® Application Server, V5.1 for performance and platform independence, scalability and maximum interoperability with business applications. It is implemented entirely in J2EE platform-independent language using EJB, JMS and JDBC. The Records Server utilizes JSP, servlets, Java Classes and Java Struts framework. Key features include:

- *Accessibility using API through .Net, Web Services or Java IIOP/RMI.*
- *Export/import meta data and statistics in XML format.*
- *Scalable n-tier architecture.*

- *Robust and scalable J2EE architecture.*
- *Support for IBM DB2 Universal Database™, Oracle, and SQL Server databases.*
- *Availability on Microsoft® Windows® and IBM AIX® platforms.*
- *Runs on Windows and AIX.*

### Managing physical records

DB2 Records Manager lets you track and manage your physical records through a suite of advanced tracking capabilities, such as:

- *Records center operations for reservations, include charge in/out physical records, put-away and migrate.*
- *Creating and tracking folders.*
- *Creating and tracking boxes and other forms of containers.*
- *Designing and printing customized printed labels.*
- *Using barcodes to track all physical records.*

### **The IBM advantage**

IBM offers numerous advantages over traditional records management applications, such as:

#### **Leveraging Web technology.**

DB2 Records Manager is designed for high-performance, enterprise-wide solutions and offers J2EE server technologies along with Web-based J2EE client technologies, without installing software on user workstations. In addition, there is no redundant technology with the business application or a competing repository.

**High performance.** Designed for scalable, enterprise-wide deployments with asynchronous batch processing, highly optimized J2EE design patterns, engine tuning, prepared database statements and Advanced Data Access Layer (DAL) caching.

**Security.** Maintaining the declared records in the business application repository means the security environment of the application is fully preserved.

**Flexibility.** IBM RMM ensures that any unique recordkeeping practices or conventions can be applied to your physical and electronic records.

**Cost-effectiveness.** With a single instance of DB2 Records Manager, you can records-enable multiple business applications, processes and repositories.

**Localization.** DB2 Records Manager enables you to customize your own business process flows and look and feel, with custom business process extensions. It operates in English, Chinese (traditional and simplified), French, Spanish, Portuguese, Korean, Italian, German and Japanese.

When used within a context of clear and consistent corporate policy, DB2 Records Manager is a powerful used above and innovative tool for applying formal records management policies and practices to electronic and non-electronic documents alike. Properly applied, this tool can help you reduce your legal risk through structured record destruction.

#### **For more information**

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