



## OVERVIEW

# Alchemy Records Manager Solution Brief

## MARKET OVERVIEW

Records Management is the art and science of 1) taking inventory of the various types of information created and who creates it, 2) categorizing the business information, 3) understanding what rules and regulations exist that mandate specific retention periods for that information, and 4) implementing and maintaining an effective program to capture and manage all the various information – some for long periods of time.

In years past, the realm of records management and associated software typically dealt only with paper (or physical) records. The programs and systems were and continue to be in use in many records management programs throughout the world. With the tremendous increase in electronic information and realization that it has the same legal qualities as its paper counterpart, many corporations are realizing that a great amount of business information lies unguarded and unmanaged. Recent legal actions involving email and other electronic information only serves to underscore the issue.

As a result, the words "archiving" and "records management" have received a good deal of attention and the result is that what was considered a support or administrative role within an organization has become more strategic.

Records Managers are caught in the spotlight and in many cases are unprepared for this new challenge. Many have little knowledge of computer systems and the types of information they create or store. Additionally, few have the skills to successfully communicate with senior management or IT professionals and deal with the inevitable corporate politics now involved. As a result, and because more information is electronic than paper, records management is often seen as the domain of the IT department. But the IT department is just as inexperienced with the practice of information inventory or record lifecycle management. To them, "archive" is the equivalent to "backup", which does not mean compliant.

Adding to the confusion is the entry of storage vendors and their notion of Information Lifecycle Management (ILM) which deals more with moving data from costly online devices to more economical storage as the information grows older and is accessed less often. These vendors do a poor job of tackling the records management issues of content classification and retention management.

The result is a mix of records managers and IT professionals that have been tasked by senior management to "make their companies compliant". In an era of ever-growing scrutiny of business practices, an effective records management program is a must and technology, as well as records management principles, plays an important role in the success of any such compliance initiative.

Alchemy 8.0 successfully integrates the disciplines and processes of records management with IT's management of repositories and digital storage, and with the business end-users who rely on access to documents, into **one fully-integrated software solution**.

Alchemy 8.0 includes the option for a records manager to apply a simple-to-use yet feature-rich and comprehensive records management system to an Alchemy Advanced Server managing Alchemy repositories, as well as physical file boxes and electronic files on the Windows file system. This functionality is available by purchasing the Alchemy Records Manager (RM) license and the Alchemy 8.0 Advanced Server configuration.

## PEOPLE INVOLVED

Records Managers and/or IT professionals are typically the people involved with finding and evaluating a solution's ability to meet their specific compliance needs and then using it. Regardless of the parties involved, careful attention to **both** perspectives should be taken into consideration during any engagement in order to successfully build credibility with the prospect.

## INDUSTRY TERMS

- **File Plan:** The overall inventory and classification of all information considered to be records. Includes required retention and disposition for each record class and legal or corporate citations where necessary.
- **Retention:** The length of time that a record must be kept before it can be destroyed. Defined as either Time only (once cut-off enters the retention period) or Event and Time (an event must occur before cut-off can occur).
- **Declare:** The process of identifying a document as a record and classifying it into the record system.
- **DoD 5015.2:** A set of DoD-mandated requirements for managing electronic records. Also includes document management and operating environment requirements.
- **Record Holds/Freezes:** The suspension or extension of the disposition of records that cannot be destroyed on schedule because of special circumstances, such as a court order or an investigation.
- **Cutoff:** To cutoff records in a file means to break, or end, them at regular intervals to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Cutoffs are needed before disposition instructions can be applied because retention periods usually begin with the cutoff, not with the creation or receipt, of the records. In other words, the retention period normally does not start until the records have been cut off. Cutoffs involve ending input to old files and starting input to new ones at regular intervals.
- **Disposition:** An action taken on a group of records upon the end of the retention period. Actions typically taken include Destroy, Transfer and accession (give up ownership of records to another legal entity).

PAIN POINTS	DESIRED CAPABILITIES	KEY RESULTS	COST OF DELAY
<b>CFO/CEO</b> <ul style="list-style-type: none"> <li>• How do I insure that we are meeting all of our mandated regulations?</li> <li>• How do I meet requirements without impacting profitability?</li> </ul>	<ul style="list-style-type: none"> <li>• Facilitates compliance</li> <li>• Reduces resource strain</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced risk</li> <li>• No productivity impact</li> </ul>	<ul style="list-style-type: none"> <li>• Fines</li> <li>• Lost information and liability</li> </ul>
<b>Legal</b> <ul style="list-style-type: none"> <li>• How can I make sure that we have all of our necessary documentation in case of a lawsuit?</li> <li>• How can we manage all of the various regulatory requirements?</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to protect and find needed data</li> <li>• Ability to map to existing/new policies</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced risk</li> <li>• Automated procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Fines</li> <li>• Settlements</li> </ul>
<b>Records Managers/Compliance Officers</b> <ul style="list-style-type: none"> <li>• How can I efficiently manage the complexity of a records filing plan?</li> <li>• How do I streamline and ensure I'm getting all the records?</li> <li>• I spend too much time finding records – how do I streamline that?</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to support existing records management program</li> <li>• Ability to easily capture and manage record lifecycles</li> <li>• Ability to produce required records fast and cheaply</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to respond to audits quickly</li> <li>• Information accessibility</li> <li>• Flexible to use and easy to train end-users</li> </ul>	<ul style="list-style-type: none"> <li>• Costly manual processes</li> <li>• Risk due to inability to find records in a timely manner</li> </ul>

PAIN POINTS	DESIRED CAPABILITIES	KEY RESULTS	COST OF DELAY
<b>IT</b> <ul style="list-style-type: none"> <li>I don't want another application that doesn't fit within my framework.</li> <li>I don't want to baby sit another application</li> </ul>	<ul style="list-style-type: none"> <li>No major HW/SW changes</li> <li>Leverages existing systems</li> </ul>	<ul style="list-style-type: none"> <li>Low resource commitment</li> <li>Unified archiving strategy</li> </ul>	<ul style="list-style-type: none"> <li>Loss of information due to conflicting notions of archive and ILM</li> </ul>

### ALCHEMY RECORDS MANAGER VALUE PROPOSITION KEY POINTS

- Alchemy Records Manager was designed by records managers to provide a solution that is not only powerful, but also flexible and simple. The records managers involved stand apart from others in that they have experience with not only management of physical records, but also already incorporate management of electronic documents in their records programs.
- Alchemy Records Manager is a fully-integrated solution combining imaging, document management, archiving and records management capabilities. Other solutions are either difficult to integrate or require working with different software vendors.
- Alchemy Records Manager can be implemented and working in a matter of days, not weeks or months. This means that companies can gain control over their information quicker and realize returns quicker.
- Alchemy Records Manager does not impose records management hierarchies on end-users or IT managers. These groups can continue to view the information in the way that makes sense to them, even though the documents are managed as records. This means that user adoption will be higher, translating to a successful project.
- Total Alchemy suite brings records management professionals and IT together on mutual ground. Alchemy has always been popular with IT departments, making it much easier for the records manager to work with IT.
- Captaris Inc. is a member of the ARMA International eRecords Advisory Council to the board of directors, demonstrating our commitment to the needs of records managers.

### PROBLEM AND BENEFITS

KEY NEEDS	RECORD MANAGER SOLUTION
Ability to manage record classifications. Record classifications form the backbone of any records program. Also called the "file plan", classifications are typically based on government regulations and corporate policies.	<ul style="list-style-type: none"> <li>The Alchemy Records Manager administrator client enables one or more records staff to create classification hierarchies into which documents are added.</li> <li>Alchemy Records Manager offers a DoD compliant default that automatically organizes the record classes into the DoD mandated structure.</li> </ul>
Ability to assign retention schedules and actions based on record classification. Retention schedules help a company maintain documents for only as long as needed by policy or law.	<ul style="list-style-type: none"> <li>Alchemy Records Manager enables records managers to assign retention rules to a record class. All documents filed under that class are managed by the defined retention rule.</li> <li>Alchemy Records Manager supports simple or multi-phased retention rules.</li> </ul>
Ability to hold or freeze records that are needed for a specific action.	<ul style="list-style-type: none"> <li>Alchemy Records Manager enables records managers to freeze a record folder, preventing any disposition actions from occurring.</li> <li>Alchemy Records Manager enables the identification of records that have been frozen through a simple lifecycle search.</li> </ul>
Support for fully audited functions and user controls. For a solution to enable compliance, it has to keep a record of user actions and allow an administrator to control which users can take specific actions within the system.	<ul style="list-style-type: none"> <li>All end-user and records manager actions are written to a log file.</li> <li>All end-user and records manager functions are definable and can be allocated to specific users or groups. Some users can be granted.</li> </ul>
End-user integration into the records filing plan	<ul style="list-style-type: none"> <li>Integrated record filing within all Alchemy clients.</li> <li>No additional training or special records management clients needed.</li> </ul>

## QUALIFICATION METHODOLOGY

**Prospect:** Your success will depend on how well you sell the value and benefits of the total Alchemy suite, not just the Records Manager. Start high in the organization. Who is really controlling the initiative? Compliance issues? Existing processes or programs? Existing systems? Types of documents? Who uses information? User education?

## FUD FACTORS

- Lack of integration of other competing RM/DM solutions increases overall cost and place project success in doubt.
- Reliance on processes and workflow as the only way to file documents as records is unnecessarily complex and not proven.
- Forced records management view on users that is offered by competitors requires them to learn a new system of categorization which results in lack of use or circumvention.

## OVERCOMING SALES BARRIERS

BARRIER	RESPONSE
You don't have that many implementations of Records Manager	<ul style="list-style-type: none"><li>• Captaris is a member of the ARMA eRecords Advisory Group and is a thought leader of eRecords management.</li><li>• Captaris has over 300 records managers actively using Alchemy within their records management programs.</li><li>• Records Manager is already integrated into the Alchemy document management solution. Most other vendors acquired their records management solutions and have limited, if any, integration.</li><li>• Captaris created and manages the Records Manager Advisory Group, whose members are records managers of both midsize and large companies. They helped Captaris design a solution that would meet the needs of the 21st century records manager.</li></ul>
You do not have DoD 5015.2 certification	<ul style="list-style-type: none"><li>• The Records Manager is scheduled to undergo certification testing in the fall of 2005</li><li>• Unlike other records management applications, Records Manager was designed to comply with the DoD 5015.2 standard from day-1.</li><li>• Certification does not mean that the solution will meet the prospects needs. There are quite a few certified solutions that are difficult or impossible to successfully implement and require multiple products from multiple vendors.</li></ul>

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