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ASG-RECORDS MANAGER

MANAGING TRANSACTIONAL ELECTRONIC RECORDS

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BENEFITS:

- FACILITATES AUTOMATIC ACQUISITION, CLASSIFICATION, RETENTION AND DISPOSITION OF HIGH-VOLUME, TRANSACTION-ORIENTED ELECTRONIC INFORMATION
- MANAGES NATIVE ELECTRONIC RECORDS IN PLACE WITH NO MIGRATION OF RECORDS REQUIRED
- ENABLES DEFINITION OF HIERARCHICAL TAXONOMIES USING PRE-DEFINED AND AUTOMATIC CONTEXTUAL-BASED FOLDER CLASSIFICATION
- SUPPORTS TIME-AND BUSINESS EVENT-BASED RETENTION AND HOLDS ON SINGLE AND MULTIPLE RECORD DOCUMENTS
- PROVIDES AN INTUITIVE, WEB-BASED USER INTERFACE AND STRONG RECORDS MANAGEMENT ADMINISTRATION FUNCTIONS

OVERVIEW

What you can't see is sometimes more dangerous than what you can. Visit the office of any large organization and you'll likely find file cabinets filled with documents and desktop computers running Word, Excel, email, and other personal productivity applications. All of this information—from mortgage loan applications and email exchanges between employees to customer invoices and training videos posted on the company website—is content that every organization needs to manage.

For most organizations, properly classifying, retaining, and then retrieving these records across multiple offices and business units is challenging and time-consuming, especially in light of ever-changing regulations and the omnipresent risk of litigation. However, records created manually and semi-automatically represent just the tip of the records management iceberg. Consider what's under the surface: millions of records automatically created by high-volume, transactional enterprise systems. These electronic records include customer statements, bills, checks, invoices, and high-volume reports, representing the submerged, potentially dangerous portion of the iceberg. Like the Titanic, organizations are often able to navigate around the part of the iceberg they can see, but it's what's under the surface that can cause havoc.

Electronic record volumes are increasing as enterprise and business systems armed with aggregated computing processing power create hundreds of thousands—even millions—of records within a single batch process. Simultaneous input from hundreds, if not thousands, of users adds to the data volumes.

The good news is that organizations recognize that their electronic records management processes are not up to par, reporting that electronic records are more than twice as likely as paper records to be “unmanaged.”¹ The bad news is that many lack a cost-effective, consistent, and efficient method of managing these records across the enterprise. Not only are transactional electronic records out of control, but often organizations can't find them. The Association for Information and Image Management (AIIM) discovered that 41 percent of organizations are not confident that electronic information (excluding emails) is “accurate, accessible, and trustworthy.”²

It's ironic that, although electronic records are the most voluminous records in any organization, they are the most difficult to manage with current records management solutions—if they are managed at all. In an electronic records environment, traditional records management solutions that rely on manual processes fall short. A records management system adequate for retrieving, processing, and archiving several thousand records per day becomes costly and unwieldy when applied to several million transactional records per day.

Like the volume of content itself, the task of getting these records under control may seem overwhelming. However, a new method of managing electronic records does exist.

¹State of the ECM Industry. AIIM. 2010.

²Ibid.

ASG-RECORDS MANAGER™

ASG-Records Manager provides comprehensive life-cycle management for all records, including the automatic capture, classification, and disposition of high-volume, transactional electronic records. It manages electronic records in-place in their original format, creates holds, propagates automatic folder structures, and applies advanced retention with parametric events that automatically execute from line-of-business applications through standard Web Services. No migration of records is required.

ASG-Records Manager provides information technology administrators and records managers pre-defined or system-generated contextual-based file classification schemas for the automatic capture and retention of electronic records. ASG-Records Manager supports time- and event-based file retention and holds on single and multiple documents. It also provides an intuitive, Web-based records manager user interface – ASG-RMHub™ – designed to assist records managers in creating and maintaining their corporate retention schedule.

ELECTRONIC RECORDS MANAGEMENT ADMINISTRATION UTILITIES

ASG-RMHub is a Web-based user interface, specially designed for records managers. It serves as the central point of operations where a records manager can list corporate records, manage event templates to automate retention changes, and define and maintain corporate retention policies.

- List all corporate record types regardless of format, creation date or location
- Define event templates and their parameters to be used by line-of-business applications to effect retention of individual or multiple records
- Define and maintain record retention policies using one or multiple disposition rules per policy

TRANSACTIONAL
ELECTRONIC RECORDS
ARE EASY TO CREATE
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MANAGE. APPLYING
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CENTRIC RECORDS
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PROCESSES WINDS
UP BEING EXTREMELY
EXPENSIVE AND
IMPRACTICAL.



Policy	Policy Description	Event Template	Record Type
HR_Employee_GeneralR	Keep general HR employee record indefinitely while employed. Once employment ends, change retention to 5 years after date of end of employment.	End_of_Emp	HRGENDC
HR_Employee_Time_Aft	Keep employee time report records for two years after closure of the records were created. This policy applies to all records created after 2009 as indicated in the new regulations that took place in 2010.	New_FiscalY	TIMEREPT
HR_Employee_Time_Old	Keep employee time report records according to pre-2010 regulations. This policy applies to records created before 2009 as follows: Full time employees: keep records 2 years after closure of file. Part time employees: keep records 18 months after closure of file. External contractors: keep records 1 year after closure of file.	FY_End_Old	TIMEREPT
HR_VacationReports	Keep employee vacation report records indefinitely while employed. Once employment ends, change retention to 15 days after end of employment date. Dispose records after 15 days.	End_of_Emp	VACREPT

ASG-RM Hub User Interface for Records Managers

ASG-RECORDS MANAGER

MANAGING TRANSACTIONAL ELECTRONIC RECORDS

THE U.S. DEPARTMENT OF DEFENSE DIRECTIVE 5015.2, AND THE MODEL REQUIREMENTS FOR ELECTRONIC RECORDS MANAGEMENT (MOREQ) PROVIDE GUIDELINES THAT ORGANIZATIONS CAN APPLY TO ELECTRONIC RECORDS MANAGEMENT. THESE STANDARDS DO NOT FULLY ADDRESS ISSUES SPECIFIC TO HIGH-VOLUME, APPLICATION CREATED ELECTRONIC RECORDS.

AUTOMATIC ELECTRONIC RECORD CAPTURE AND CLASSIFICATION

The majority of electronic information is related to business activities that determine retention periods. ASG-Records Manager automatically captures electronic information in pre-defined or dynamically generated folders from external business applications. The metadata associated with the information identifies the retention policy to determine record classification.

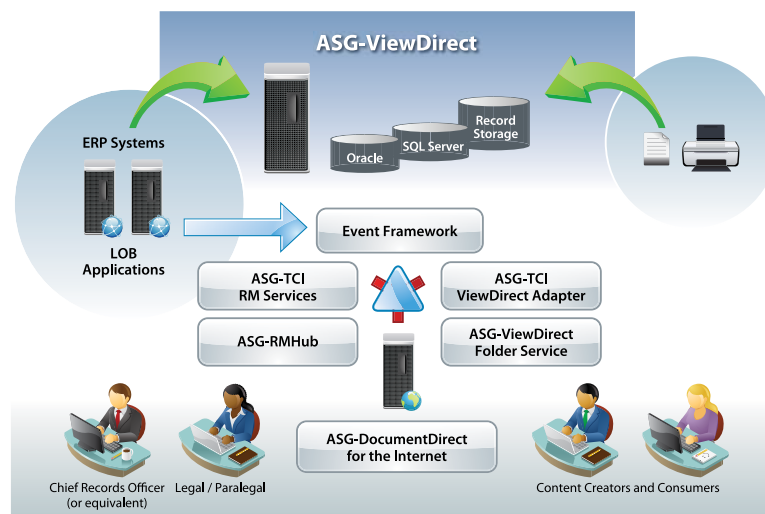
This approach eliminates the need for traditional manual record “declaration,” thereby:

- Automatically capturing invoices, utility bills, ATM transactions, etc.
- Systematically processing large volumes of scanned, paper-based information.
- Consistently classifying, declaring, and retaining electronic information as records in pre-defined or dynamically created folders.

SEARCH, BROWSE, HOLD AND PRESERVE ELECTRONIC RECORDS

Line-of-business users have an integrated user interface for browsing and managing automated and pre-defined folder hierarchies. When combined with disposition automation, reporting, and searching, users have enhanced control and awareness surrounding the hold and disposition process.

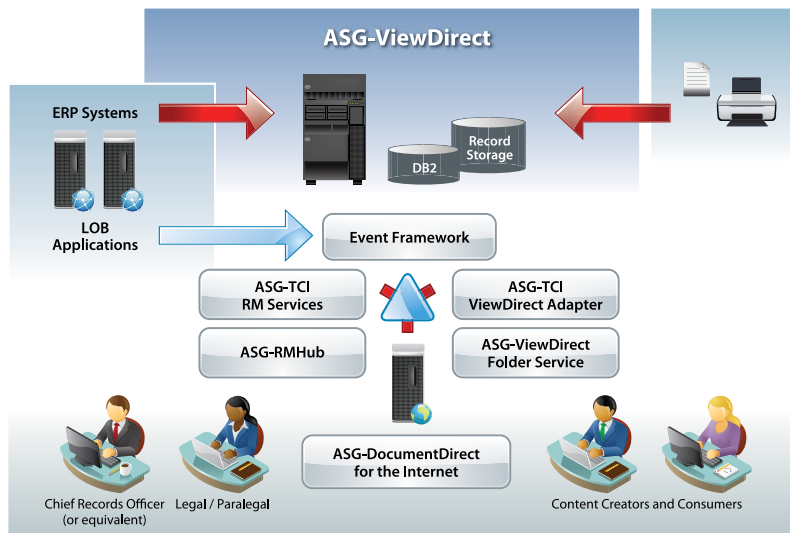
- Suspend normal record disposition with holds on single and multiple documents.
- Place multiple holds on individual documents with identifying descriptions.
- Automatically resume normal retention activities based on the assigned record retention policy after all holds are removed from a record.
- Search, view, and navigate folder hierarchy to locate records.



ASG-Records Manager for Distributed Systems

COMPREHENSIVE AUDITING

All activities in ASG-Records Manager can be tracked, with detailed logs maintained; this ensures that all holds and disposition activities are documented. Determine when and which documents are purged from the system, and generate views of all system activity in case of litigation or audit.



ASG-Records Manager for Mainframe Systems

ALTHOUGH APPLICATIONS CREATE HUNDREDS OF THOUSANDS OF RECORDS AS PART OF A SINGLE REPORT, THE LAW REQUIRES ORGANIZATIONS TO TREAT EACH AS AN INDIVIDUAL RECORD.

CRITICAL COMPONENTS OF AN ELECTRONIC RECORDS MANAGEMENT SOLUTION

An electronic records management retention strategy must enable organizations to mitigate regulatory, legal, and security risks while addressing the unique challenges of electronic records. Rather than requiring a rip-and-replace of legacy systems, the solution should manage records across multiple environments yet provide a single, consolidated view; automate records management tasks, including classification and retention; enable individual record management; and provide records managers with easy-to-use administrative tools.

WORK WITHIN A HYBRID ENVIRONMENT

Most large organizations operate in a heterogeneous technology environment of both legacy mainframe applications and distributed processing systems, and will continue to run this environment for the foreseeable future. However, many records management solutions ignore the reality of this technology environment and require organizations to sunset legacy systems in order to implement an electronic records management practice. For the majority of organizations, a wholesale replacement of legacy systems is cost-prohibitive and overly disruptive to their operations.

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Rather than forcing a migration to a different platform, an electronic records management solution should provide avenues for both mainframe and distributed transactional information and store records in their native environment. It should also be highly scalable.

AUTOMATE TRANSACTIONAL RECORDS MANAGEMENT

Managing the enormous volumes of transactional electronic records requires a solution that automates all processes. First, the solution should ingest application-generated content from mainframe and distributed systems, whether from enterprise-wide systems or line-of-business applications.

Next, it should apply predefined business rules that determine who has access to the record, where to keep it, and how long to keep it. The solution should automatically extract metadata for classification and assign a disposition rule based on company requirements. Finally, the solution should automate retention. If the corporate retention policy changes, whether due to regulatory updates or corporate mandates, records managers need only define the new retention criteria once and the solution subsequently applies those criteria across all existing and new transactional records.

PROVIDE GRANULARITY

Even though applications produce transactional output containing multiple records, legal and compliance requirements force organizations to identify these records individually. Therefore, the solution should present records inside of bulk reports as individual records in enterprise file plans, and enable access controls at the record level. Organizations should be able to place a hold on an individual record in a large report without retaining the complete report—and then be able to dispose of individual records based on business events without affecting other records in the same archive.

ELECTRONIC RECORDS ARE CONSIDERED A “TECHNOLOGY ISSUE” AND THEREFORE BECOME THE DE FACTO RESPONSIBILITY OF THE IT DEPARTMENT. IT DEPARTMENTS CAN ADDRESS HOLDS AND OTHER LEGAL REQUESTS SINCE THEY “OWN” THE RECORDS, BUT THEY MAY NOT POSSESS THE EXPERTISE OF LEGAL STAFF WELL-VERSED IN LITIGATION PROCESSES OR COMPLIANCE REQUIREMENTS.

Edit Record Retention Policy [Save Policy] [Cancel]

▼ **HR_Employee_Time_Old**

Keep employee time report records according to pre-2010 regulations. This policy applies to records created before 2009 as follows:
 Full time employees: keep records 2 years after closure of fiscal year
 Part time employees: keep records 18 months after closure of fiscal year
 External contractors: keep records 1 year after closure of fiscal year

Policy Basis
 Event template: **FY_End_Old**
 Old event template, no longer used after regulations changed in 2010. Used for records captured before Fiscal Year 2008-2009. It uses 2 parameters: FY_Year and FY_Close_Date

Record type: **TIMEREP**
 TIME REPORT

Record Deletion Rules [Add rule] [Delete rule]

Record to be deleted on...	When it meets these criteria:		
<FY_Close_Date> + 2 years	YEAR	equals	<FY_Year> 2009
	YEAR	less than	2009
	TYPE	equals	Full Time
<FY_Close_Date> + 18 months	YEAR	equals	<FY_Year> 2009
	YEAR	less than	2009
	TYPE	equals	Part Time
<FY_Close_Date> + 1 years	YEAR	equals	<FY_Year> 2009
	YEAR	less than	2009
	TYPE	equals	Contractor

[Add criterion] [Delete criterion]



RECORDS MANAGER INTERFACE

To be most efficient and effective, a records manager needs an automated, easy-to-use front end to administer the solution. A Web-based user interface based on an open architecture is ideal for providing records managers with a full-range of administrative functions. Records managers can then define hierarchical taxonomies for automatic classification, automatically define and subscribe to events from line-of-business applications, and define a corporate retention schedule with multiple policies and rules, applying those rules to specific record types.

SUMMARY

With ASG-Records Manager and its Web-based administrative utilities, organizations with large volumes of transactional electronic information can automatically capture native content from line-of-business applications to dynamically create records. This approach enables businesses using distributed and mainframe systems to efficiently manage the complexities of electronic records management, maximize the use of current systems, manage records in place, and eliminate the need for manual record declaration and maintenance. Regulatory compliance can be assured and risk associated with audit and litigation mitigated. ASG-Records Manager is the electronic records management solution for managing transactional records in high-volume environments.

MANAGING THE
ENORMOUS VOLUMES
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