

# Mitigating Risk and Ensuring Compliance with EMC Documentum ApplicationXtender Retention Manager

*A Detailed Review*

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## **Abstract**

EMC<sup>®</sup> Documentum<sup>®</sup> ApplicationXtender<sup>®</sup> Retention Manager enables businesses to easily configure document retention and disposition policies in the background to mitigate risk and meet compliance goals. These policies can be easily and automatically applied and enforced based on the electronic file cabinet. With ApplicationXtender Retention Manager, you can bring content under control and into compliance, reducing your organization's risk, storage, and discovery costs.

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## Table of Contents

<b>Executive summary .....</b>	<b>4</b>
<b>Introduction .....</b>	<b>4</b>
Audience .....	4
<b>The value of retention management.....</b>	<b>4</b>
IT administration and storage costs are easily reduced .....	5
<b>EMC Documentum ApplicationXtender retention management – a functional overview .....</b>	<b>6</b>
Policy management .....	7
Audit Trails .....	7
Disposition and holds.....	7
<b>ApplicationXtender Retention Management with EMC Centera .....</b>	<b>7</b>
<b>Conclusion .....</b>	<b>8</b>
Next steps .....	8

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## Executive summary

As an organization's volume of unstructured content continues to expand, the associated litigation risks and discovery costs grow in proportion. Organizations are faced with spiraling storage and management costs as they retain electronic information to meet legal and regulatory document retention requirements.

EMC® Documentum® ApplicationXtender® Retention Manager enables businesses to easily configure document retention and disposition policies in the background to mitigate risk, reduce costs, and meet compliance goals. These policies can be easily and automatically applied and enforced based on the "electronic file cabinet." With ApplicationXtender Retention Manager, you can bring content under control and into compliance, reducing your organization's risk, storage, and discovery costs.

ApplicationXtender Retention Manager is an add-on module that can be independently added to any supported ApplicationXtender environment. ApplicationXtender Retention Manager can be used to manage the lifecycle of standard business documents or corporate records and information. With ApplicationXtender Retention Manager in place, organizations can readily conform to existing and new internal best practices, federal policies, outside regulations, and judicial mandates.

You begin by creating retention policies that are as simple or as sophisticated as you need them to be—incorporating events, authorities, or disposition pre-conditions. Based on any metadata criteria, ApplicationXtender Retention Manager can assign a retention policy to that object. If an event changes, the metadata tag (such as "in process" or "approved") is automatically assigned and applied to the retention policy of that document. Policy administrators or other employees with the appropriate permissions can then apply these predefined policies to relevant documents within the ApplicationXtender repository.

Documents automatically inherit the protections specified by policies applied at the ApplicationXtender electronic file cabinet level; therefore, the protections are transparent to employees, who enable them to continue their normal work processes. Organizations using workflows and lifecycle processes to manage the creation and approval of documents can easily trigger retention policies to protect final documents for years.

ApplicationXtender Retention Manager enables businesses to do the following:

- Easily retain and dispose of documents according to internal policies or external mandates
- Fully orchestrate litigation holds on retained documents
- Automatically or manually assign retention management policies to documents stored in the ApplicationXtender repository

## Introduction

This white paper will focus on the business value of ApplicationXtender's Retention Manager add-on module and will highlight some of its key technical capabilities.

## Audience

The audience for this white paper includes the owners and/or executives of small to medium-size businesses and line-of-business managers in the departments of large organizations who are new to the ApplicationXtender product family.

## The value of retention management

According to the 2009 IDC study entitled "[As the Economy Contracts, the Digital Universe Expands](#)," the amount of information considered "compliance-intensive," or subject to rules that govern what information must be stored and accessible to regulating authorities and auditors, will grow from 23 percent in 2008 to 35 percent in 2012. To manage this growing volume of information, organizations need to build an information governance strategy. Information governance encompasses the people, practices, and technology to proactively manage and take control of what and where information is stored, who has access

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to the information, and how it is protected as well as how long the information is retained. At the heart of any information governance strategy are the retention management policies. When appropriate retention policies are implemented and enforced consistently across the organization, e-discovery costs usually drop dramatically, the inefficiencies associated with searching for information are also reduced, and all aspects of an organization's information management are improved.

State and local governments are often prime examples of how implementing and enforcing retention policies consistently across an organization can help to reduce the direct and indirect costs associated with information management. As with most state and local governments, the need to provide access to public information while meeting state archive requirements presents a challenge. Several governmental organizations enjoy the benefits of having implemented ApplicationXtender with Retention Manager across the government as a way to enforce compliance. In some situations, almost every department or agency can recognize the benefits of having access to documents online and the ability to implement more efficient workflows and business process automation. This can lead, though, to a fragmented approach to document management, if departments investigate deploying several ECM solutions. Often, a best practice is to form a committee to select a single document management solution that can meet the needs of each department. ApplicationXtender has been able to provide a truly integrated approach to document management, especially where retention requirements are a top priority, and often has been selected as a state-wide solution. In such standardized and disciplined approaches to document management, the most significant benefits often are realized when the demand for ECM is coupled with enforcing retention policies, and having a government-wide document retention policy can serve as a best practice. Such retention policies can be implemented before the first document is scanned. For several governments, ApplicationXtender serves as an important tool to enforce state guidelines for retention management.

ApplicationXtender Retention Manager can provide immediate benefits by replacing paper-intensive systems, where physical documents are housed in a records center, as both the management and destruction of such physical documents are often quite costly. For some state-wide solutions, ApplicationXtender Retention Manager also provides the capability to place under retention hold those documents that are required for any discovery or litigation.

Most organizations would benefit from ApplicationXtender retention management. One of the most appealing features of the new ApplicationXtender retention management module is its ability to manage retention and destruction of documents without having to implement a third-party records management application. It is important to note that ApplicationXtender is not "integrated" with the retention management features of a records management system, but rather, it has retention management as part of its core functionality.

ApplicationXtender's core capability of delivering content also delivers value to the public. With ApplicationXtender Web Services and Public Access licensing, some state-wide governments are able to meet all Freedom of Information requirements by enabling the customer-facing portal with online access to board minutes, maps, and public records. For such deployments a next phase for the state-wide rollout of ApplicationXtender involves deploying the AX workflow solution to departments across the organization.

Certainly, all organizations have their own unique requirements when it comes to the capture, management, storage, archival, and disposition of content. And, surely, the requirements associated with retention of information for business, legal, regulatory, or historical purposes varies by industry, geography, and size. Nonetheless, a seemingly universal rule suggests that the consistent application and enforcement of appropriate retention policies across all information types organization-wide is a highly effective way to improve knowledge worker productivity, and organizational performance, while increasing customer satisfaction. Moreover, effective retention management policies and practices can significantly lower the costs of e-discovery, compliance, and the overall management of information.

### ***IT administration and storage costs are easily reduced***

By enabling organizations to handle electronic information and data based on information value, ApplicationXtender Retention Manager helps reduce IT administration and storage costs. With ApplicationXtender Retention Manager you can:

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- Lower costs of storage by quickly and easily differentiating between files and documents that need to be retained and those that should be disposed of and deleted
    - ApplicationXtender Retention Manager places a specific retention policy on documents automatically based on user-specified criteria
    - The IT administrator can report on which document policies have expired and can be disposed of. By running a simple wizard, the administrator can quickly and easily dispose of the documents
  - Save time and improve accuracy of retention processes by automating events to trigger the retention of documents
    - Administrators set the criteria as to when a retention policy is assigned. It can be set automatically when the document is placed into the ApplicationXtender repository, or it can be assigned when index fields have changed. For example, when an invoice is first placed into the repository, the “status” index is set to “in-progress.” Once the invoice is approved and paid, the status changes to “approved.” This status change can trigger ApplicationXtender to automatically place a three-year retention policy on that invoice. Other triggers can be document creation date, event date, status change, document type, and so on.
    - Set an event date (for example, for a Personnel File, the date of termination)
  - Facilitate compliance with business, judicial, or regulatory requirements by preserving important documents by setting time-based retention periods
    - For a time period (1 day – 100+ years)
    - For a specific ending date
    - Permanent
  - Minimize storage and administrative costs by defining retention policies at the document-type level
    - When a contract is placed into ApplicationXtender, the user specifies the document type as “contract,” and ApplicationXtender automatically assigns the appropriate retention policy
  - Minimize risks and storage costs by automatically disposing of documents when retention periods expire
    - Run a simple wizard to determine which documents have expired and then delete all files
  - Increase the efficiency of the disposition process by managing document disposal using a dedicated user interface that:
    - Helps identify materials to be deleted
    - Allows only authorized administrators to delete content
    - Disposes of and destroys documents on a continuing and regular basis pending user confirmation
  - Quickly comply with business, legal, or regulatory requirements or intentions by placing a retention hold (and remove the hold as required) for those documents that are or likely will be part of a legal or regulatory e-discovery action
    - Based on user criteria, ApplicationXtender can quickly assign retention hold on documents
    - Even if a document is expired, the retention hold or litigation hold will not allow the delete wizard to delete the file
    - Until the hold is released, ApplicationXtender cannot delete the file

## **EMC Documentum ApplicationXtender retention management – a functional overview**

ApplicationXtender Retention Manager enables an authorized user to assign a retention management policy to a document stored in a retention management enabled electronic file cabinet. Once a retention management policy has been assigned to a document, ApplicationXtender ensures documents are stored securely and are immutable, until the time-based retention policy has expired. Key functional areas include policy management and storage.

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## ***Policy management***

ApplicationXtender provides an easy-to-use interface for creating retention policies. ApplicationXtender retention policies are time-based and can be defined by either specifying an end date or a time-based policy. Once a policy is defined, policies can be manually or automatically assigned to a document. With automatic policies, the user defines criteria as to when the retention policy is assigned. Once the criteria are met, ApplicationXtender automatically places the assigned retention policy to that document. Once a retention policy is assigned, the document cannot be modified or removed until the retention policy has expired. The only exception is the ability to extend the retention period for a document by applying a new retention policy to the document. Retention users can choose the current date as the start date for the new policy or apply the change retroactively to the date of the original policy. The retention end date for the newly applied policy must be later than that of the original retention policy.

## ***Audit Trails***

The ApplicationXtender Audit Trail capability allows you to track user activities on a global or per-electronic file cabinet basis. The Audit Trail capability supports compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA). The following operations are tracked audit events for SRM:

- Filing a document for retention
- Placing a retention hold on a document
- Removing a retention hold
- Disposing of an expired document under retention

These actions are tracked automatically. When a user activity triggers one of these audit events, details of the audit event are automatically added to the Audit Trail database table.

## ***Disposition and holds***

As a core value, ApplicationXtender never automatically deletes any documents. The authorized user must run a query to report on which document policies are about to expire or have expired. An ApplicationXtender wizard lets you manage expired documents, either by clearing the retention setting so the documents are again writeable or by deleting them. You can also choose to export the documents prior to deletion if you want to archive them.

ApplicationXtender provides a feature called a retention hold that lets you further protect a document that is under retention. Sometimes called a "litigation hold," a retention hold prevents a document from being deleted from ApplicationXtender even if its retention period has expired. In effect, a hold acts like an indefinite retention of a document. Users cannot delete an expired file until the hold is removed.

## **ApplicationXtender Retention Management with EMC Centera**

Many organizations also require the ability to control electronic content by preventing data theft and providing assurance that data has not been modified after it has been archived. This is where EMC Centera<sup>®</sup> can meet the needs of departments and midsize organizations.

EMC Centera is the industry-leading storage solution for secure archiving. EMC Centera delivers tamper-proof Audit Trails and ensures the security and authenticity of each content object. It serves a wide range of content for cost-effective retention, protection, and disposition. EMC Centera has the unique ability to enforce application-based retention periods by prohibiting anyone from shortening the retention periods and only allowing authorized individuals to lengthen them. Although ApplicationXtender is hardware agnostic, its direct integration to EMC Centera enables businesses to apply automatic or manual retention capabilities such as holds, reporting, disposal, and Audit Trails to documents, and to utilize Centera-specific features for high availability and disaster recovery, including replication and failover.

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ApplicationXtender Retention Management with EMC Centera leverages that same easy-to-use interface to define retention management policies. The key functional differences are in the integration with EMC Centera. ApplicationXtender supports the EMC Centera content addressed storage (CAS) device as the permanent storage tier for documents. Rather than tracking the physical location of stored information, EMC Centera creates a unique identifier, based on content attributes, which ApplicationXtender uses for retrieval. In a CAS environment, ApplicationXtender uses a designated UNC path on a file server share as the intermediate storage device for document files. After a predetermined amount of time, a Windows service copies documents from the UNC share to the designated EMC Centera storage device. When users work with documents using ApplicationXtender Document Manager or ApplicationXtender Web, the service retrieves the documents from either the UNC path or EMC Centera, as appropriate. The ApplicationXtender Centera Server service moves all annotation and digital signature files associated with documents under EMC Centera retention to the EMC Centera storage device as well, to facilitate retrieval.

Since ApplicationXtender is directly integrated with Centera and the C-Clip™ information is stored with the ApplicationXtender database, the following benefits are inherited with this integration:

- ApplicationXtender supports EMC Centera failover. If an EMC Centera node fails, ApplicationXtender can send the C-Clip information over to the secondary node or any failover node for that matter and retrieve the necessary information.
- All documents stored on EMC Centera are stored once, and supported on EMC Centera's single instance store.
- ApplicationXtender leverages EMC Centera's retention policies and classes and manages them through ApplicationXtender's easy-to-use interface.
- ApplicationXtender integrates with EMC Centera's best-in-class CAS.
- EMC Centera facilitates compliance with a wide range of business and regulatory requirements that focus on the long-term archiving of information

## Conclusion

### *Next steps*

As the volume of information continues to grow, and the costs and risks associated with that information escalate proportionally, consider implementing the highly effective retention management capabilities of ApplicationXtender. To learn more about ApplicationXtender and ApplicationXtender Retention Management with EMC Centera, call your EMC account manager or EMC partner today.