

AccuRoute[®]: for Compliance-Driven Document Retention and Accessibility

Meeting Compliance Requirements and Privacy Imperatives

The Challenge

Technology to support document handling for compliance and privacy is no longer a nice-to-have infrastructure; it is a *need-to-have* one.

The Solution

Enable document capture and distribution at your end-users' desktops where it is most effective.

Omtool™'s AccuRoute[®] obviates the need for back-office controlled content integration.



In the wake of industry scandals such as Enron, Tyco, and WorldCom, compliance requirements have forced companies to address the way in which they handle corporate documents (both paper and electronic) and their associated information management infrastructure. Specifically, companies are revisiting their document collection and retention policies based on the compliance requirements such as Sarbanes-Oxley, Gramm-Leach Bliley, the Security Exchange Act of 1934 and Anti-Money Laundering (AML) in order to insure required documents are retained for the specified period of time and are immediately accessible.

At the same time, consumer privacy continues to be a growing concern. The Gramm-Leach Bliley Act insures that financial services customers' personal information is protected in the same vein as the Health Information Accountability Act (HIPAA) for medical records. Document handling and faxing pose very significant risks to privacy because

of the uncertainty about the conditions around the receiving fax machine.

Responding to this Act directly impacts the company's document handling of complex content and retention policies and supporting infrastructure for "mixed-mode" documents (both paper and electronic). Similarly, the Gramm-Leach Bliley Act requires corporations to give consumers privacy notices that explain the institutions' information-sharing practices.

Compliance and Privacy Driven Technology

Mandatory Document Retention - Sarbanes-Oxley requires hard copies of certain corporate records and work papers be maintained for a period of five years while the SEC has adopted a seven year retention period for paper documents.



AccuRoute[®]: the enterprise document capture, conversion and distribution platform

Industry Forecast

“ With its ability to move mountains - of paper, anyway - scanning is *the* technology for many companies struggling to nail down a compliant document retention strategy. More and more, scanning is morphing from a centralized, back-office process into an everyday, network-enabled, front-office habit. ”

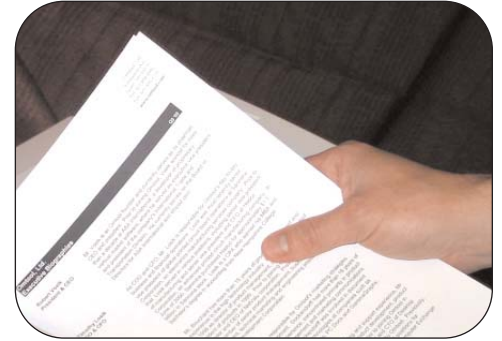
- Linda Briggs,
IT Compliance Institute

Document Integrity - Given the E-Sign Act of 2001, documents must be retained in a form that accurately reflects the information in the contract or other record and in a form that allows it to be accurately reproduced for later access, transmission, or printing.

Document Accessibility - AML, for example, requires records must be retained for a period of five years and must be filed or stored in such a way as to be accessible within a reasonable period of time.

The Compliance and Privacy Imperative

It is imperative IT organizations of every size adopt a document retention policy that addresses "mixed-mode" documents (those comprised of both electronic and paper). A sound IT infrastructure will address both disparate origination and destination sources for all mixed-mode documents. Paper documents will continue to remain a business factor for the foreseeable future. The integration of mixed-mode documents is imperative for enterprise-wide accessibility, compliance-based retention and tracking as well as general productivity.



Handling Some Documents Does Not Achieve Full Compliance

Special attention has been paid to corporate electronic information systems and their underlying support for compliance initiatives. However, until companies look across their entire content base to both paper and electronically archived information, can they achieve full compliance. Solving half the problem does not put the company on a path to 100% compliance. On a daily basis, companies must now handle paper and electronic documents through a compliant process requiring constant integration of paper and electronic document systems in order to achieve a fully compliant enterprise.



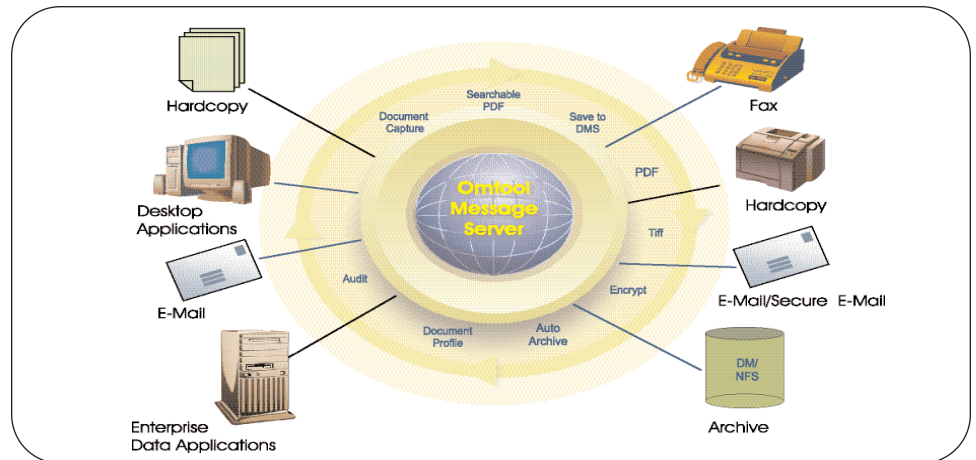
Tell your documents where to go...

AccuRoute®: delivering comprehensive mixed-mode document handling for compliance and privacy requirements

Industry Forecast

“ Maintaining documents separately from the process management information and systems that define their lifecycles will prohibit addressing 21st century information exchange challenges. ”

- METAgrouop,
November 2004



AccuRoute® is the platform for enterprise document capture, conversion and distribution that enables businesses to handle complex document distribution and routing requirements efficiently and cost-effectively. By integrating paper and electronic documents into a single, efficient and managed system, AccuRoute allows users to define document distribution requirements and accomplish multiple, complex document routing tasks easily, while providing companies with increased control over security, privacy and compliance-related issues, all from the users' desktop.

AccuRoute distributes mixed-mode documents to multiple recipients and multiple electronic information systems simultaneously including document repositories, document management systems (DMS), records management systems (RMS), enterprise content management, knowledge management, and business intelligence

systems, in conjunction with fax and e-mail, desktop or network shared files and/or printing to a network device. In support of compliance initiatives, AccuRoute can also deliver optional comprehensive security and tracking functionality through its document capture, encryption and distribution system to handle secure electronic, bi-directional information delivery.

AccuRoute® for Compliance and Privacy Conformance

Comprehensive Document

Retention - Capture mixed-mode documents and distribute to required destinations simultaneously. Distribution rules (electronic filing, destinations, formats, etc.) represented by "embedded directives" may be re-used and shared to eliminate redundancy.

Document Integrity - Create electronic versions of documents that preserve the documents' original appearance.



...and what to do when they get there

AccuRoute®: enabling compliance with security and privacy mandates

Text Searchable



Information Security - Maintain document security and information privacy through AccuRoute's secure integration and delivery as well as its tracking features.

Document Accessibility - Process and store mixed-mode documents in one central location or in multiple locations (simultaneously) as well as create text-searchable documents.

AccuRoute is the device-independent solution that delivers the flexibility of scanning documents for integration into a variety of electronic information systems simultaneously without being tied to a particular hardware or software application. Omttool, through its comprehensive AccuRoute platform, delivers the compliance solution to your mixed-mode document handling requirements.



AccuRoute's mixed-mode document capture, delivery and management features make it easy to centralize critical company information and to store, share, and exchange content conveniently while supporting compliance requirements—it's the ultimate tool!

Corporate Headquarters
Omttool, Ltd.
6 Riverside Dr.
Andover, MA 01810
Tel: 978.327.5700
Fax: 978.659.1300
Sales: 800.886.7845

Omttool Europe, Ltd.
25 Southampton Buildings
London WC2A 1AL UK
Tel: +44 (0) 203 043 8580
Fax: +44 (0) 203 043 8581
E-mail: salesuk@omttool.com

www.omttool.com

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