

Moving beyond
Imagine Capture

Cradle to Grave Information Management

Alan L. Smith
Records Officer
Oregon Public Employees Retirement System

OPERS

- Manages the State Retirement System
 - Members ~287K
 - Employers ~880
- Agency Support staff ~390
- Agency IT Staff is ~90
 - ECM support ~2 Network Application Technicians
 - Workflow Development support ~2 Developers
 - Imaging team ~23 individual over a 17 hour day.
 - Records management ~2 individual
- Bulk of IT staff are involved in the implementation of a new retirement system.

In The Beginning
Capture Was Easy...



Today... Well...



PERS Imaging Challenges

- Capture was an end of process activity
- Indexing structure changed regularly
- Extensive duplication of documents
- Retention...image everything and keep it forever
- Records Management Program addressed physical records
- Media formats creating access problems
- Uncontrolled network storage locations
- A changing world that we resisted
- No one cared

Lay of the Land – Imaging

2004

- 1 Kodak i810
- Kofax Ascent Capture
- 4 Kodak IMS's
- 2 Kodak DSV's
- And a lot of printers

2009

- 1 Kodak i810
- 1 Kodak i640
- 1 Kodak i620
- Kofax Ascent Capture
- Kodak Power film
- Kofax Up loader
- 4 Kodak IMS's
- 5 Kodak DSV's
- A few printers

My Volume

- ~6200 Rolls of Microfilm (~32 million Images)
- 6397 Microfiche Sheets (1.5 million images)
- ~200 File cabinets of documents (~1 million documents)
 - Content review shows ~40% duplication of film.
- ~1100 containers of paper in off-site storage (~4.5 million images)
- Agency Primary File Server
 - ~263,535 Folders
 - ~4,274,181 Files
- Division File Servers ~10
- Home Drives ~500
- Email ~600 mailboxes with an avg of ~3 documents in each
 - ~1.8 million documents



Capture was easy....now to manage this landfill

The old process of capture

- Save everything
- Save it forever
- Save it where you want to save it
- No consistent practice of document identification
- Imaging decision made on the fly without future consideration for retrieval
- Storage is cheap...



Our Changing World

- New technologies emerging in ECM and Workflow
- Changes in laws driving the management of information. All information regardless of form is discoverable.
- Evolving practices in managing the life cycle of information regardless of format.
- And storage is only cheap if you are not paying for it.

A New Era

Information Management

- Document Management

- Capture
- Classification
- Workflow
- Media
- Access Controls
- E-Discovery

- Records Management

- Record Retention
- Record Disposition
- Legal Holds
- Records Request

Reshaping Our World Through Capture

- Moved capture from a passive back office activity to the forefront of the business activities.
 - Workflows designed to eliminate the paper.
 - ECM Stores established to house information
 - Introduction of electronic retention practices
- Moving toward a policy of born digital stays digital
- Utilizing capture software to import electronically
- Utilizing capture software to migrate film media to digital without the production of paper.
 - Reduced internal paper usage from ~75K per month to less than ~1K in the imaging group.

Moving Forward

It's a tough road ahead...we have barely started.

- We are using FileNet as our ECM with a host of tools for managing workflow and integrating email management.
- We are defining the role of capture in regards to actively managing content from cradle to grave.
- We are educating our staff that what you save or don't save can hurt you. The changes in laws now affect the staff on an individual level.
- Recognize the various means of capturing information...and learning how to manage it.
- Question why we capture information...it all doesn't matter

Document Mgmt vs. Records Mgmt

I do this just because I am a Records Manager

- Document Management (Capture Activities):

- Without content there is no document
- The document changes a lot, that's the whole point of collaboration
- Access controls restrict and impede collaboration, the fewer there are the better
- A document is not a record until it is declared.

- Records Management:

- Management of the record is more important than the content of the record
- The record never changes (although its properties might)
- Records require access controls, lots of them

Retention Mgmt Practices & Retention

•Records

–What qualifies as a record.

- Items we receive that we use in transacting agency business (any format)
- Items we produce that we use in transacting agency business (any format)

What qualifies for as a record may take on many different forms

•Record (Information) Life Cycle

–Goal is to manage information from a cradle to grave approach.

- Develop and maintain only those documents needed for business purposes
- Manage records (information) in a controlled environment maintaining appropriate audit trails
- Dispose of them in accordance with approved retention schedules.

*FileNet is our solution for Information and Records Management.
It meets the DOD 5015.2 Requirements for ERM and ECM.*

Retention Mgmt Practices & Retention

- Determining the Retention

- Email is a delivery tool, not a qualifier for retention.
- Correspondence is a communication tool, not a qualifier for retention.
- A report is a product, not a qualifier for retention.
- A form is a tool to record information, it is not a qualifier for retention.

Qualifier for retention is based on the content within the email, correspondence, form, or report

All Content is not created equal...

- Standards for Classification

- Not all content has the same retention. Retention is based on several factors.
 - Administrative need (life cycle needed to perform the business transaction)
 - Historical need (value as a historical document)
 - Legal Need (statutory requirement to hold)
 - Fiscal need (preservation of a transaction and statutory)

Our retention schedule is our disposal authority

Retention Mgmt Practices & Retention

Current Retention – Focus is on Document Mgmt Practices



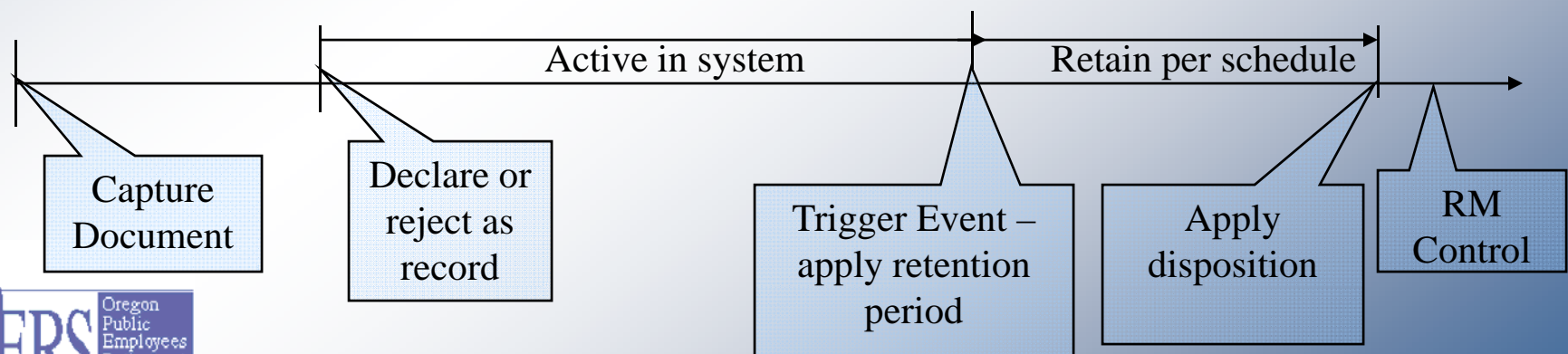
- All documents are considered records upon receipt.
- Member/Employer documents carry the same retention even through the life cycle has ended. Example: 20 changes of address, a request for blank forms, withdrawn from the program, etc.
- Inconsistent document capture and retention
 - Annual Statements – we have the returned copies but not the originals of all members
 - 1099's – we have the corrected copies but not the originals of all members.
 - Estimate Requests – we capture the request, but not always the estimate.
- Open discovery is an issue. We have over 4 million images on agency servers that are not accounted for under Record Management Practices. Not to mention the stuff in file cabinets.

Retention Mgmt Practices & Retention

Record Retention Goals:

- Manage Information by Content
- Establish retention that reflects the need for the record.
 - Estimate Request and Estimate: 2 years
 - Change of Address: Retain last 2 version, destroy
 - Retirement application: Retain 50 years from retirement date.
 - Returned member documents in error. Retain for 2 years.

Future Retention – Trigger Activities Focuses of Record Mgmt Practices



Vision & Goals

- Records Management
 - Compliance with Public Record Laws
 - Retention Schedules that reflect the content.
 - Manage records through ERM in FileNet.
 - Functional Area Records Managers and a Records Management Review committee that review all requests for records, electronic or physical.
 - Simplicity in document, information, and records management. Manage the documents as records behind the scene.
 - Output documents automatically updated into FileNet.
 - Input documents managed through retention at the end of a life cycle.
 - Users need to trust the tool. No more scene shots of transactions.
 - Transparency of ERM activities
 - Need to plan RM and DM activities up front and not as an after thought
 - Set criteria that define what constitutes a record.

Vision & Goals

- Imaging
 - Migration of filmed imaged to FileNet for one stop shopping.
 - Eliminating the need to film.
 - Centralized all physical document intake into IIM and workflow it out.
 - Manage electronic intake through the FileNet
 - Capturing the documents when generated
 - Restructuring of document codes
 - Utilize the imaging software to its fullest potential

Capture

A few parting notes

Plan for the entire life cycle of information

Understand the business need of information

Know where information is born and the flow of
information

Know the capabilities of your tools and use them

Thank you