

Imagination
to
Realization



Electronic Records Management

*Presented by: Mike LaFortune
SunGard Higher Education*

April 4th, 2006

Evaluation Code 688

Session Rules of Etiquette

- Please turn off your cell phone/pager
- If you must leave the session early, please do so as discreetly as possible
- Please avoid side conversation during the session

Thank you for your cooperation!

Introduction

- The purpose of this session is to introduce Electronic Records Management (RM) concepts and new product options for SCT Banner XtenderSolutions (BXS)
- By attending this session you will:
 - Gain insight into new technologies for managing records
 - Understand integration between BXS and RM
 - Interact with BXS and RM staff from SunGard HE

Session Agenda

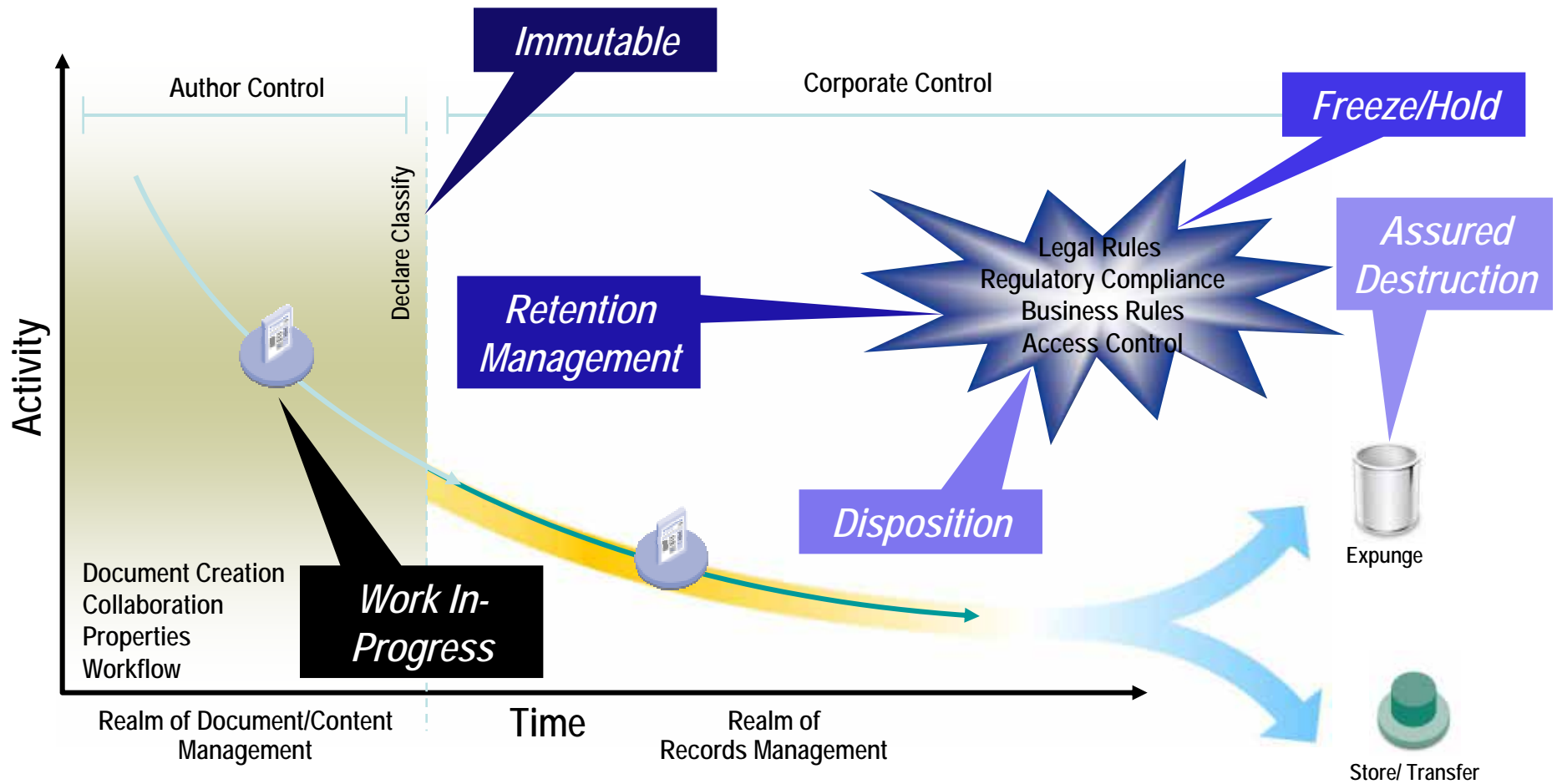
- What is Electronic Records Management?
- Compliance and Litigation
- Records Management Requirements
- Retention vs Records Management
- Records Manager for ApplicationXtender
- Examples
- Q&A

What is Records Management?

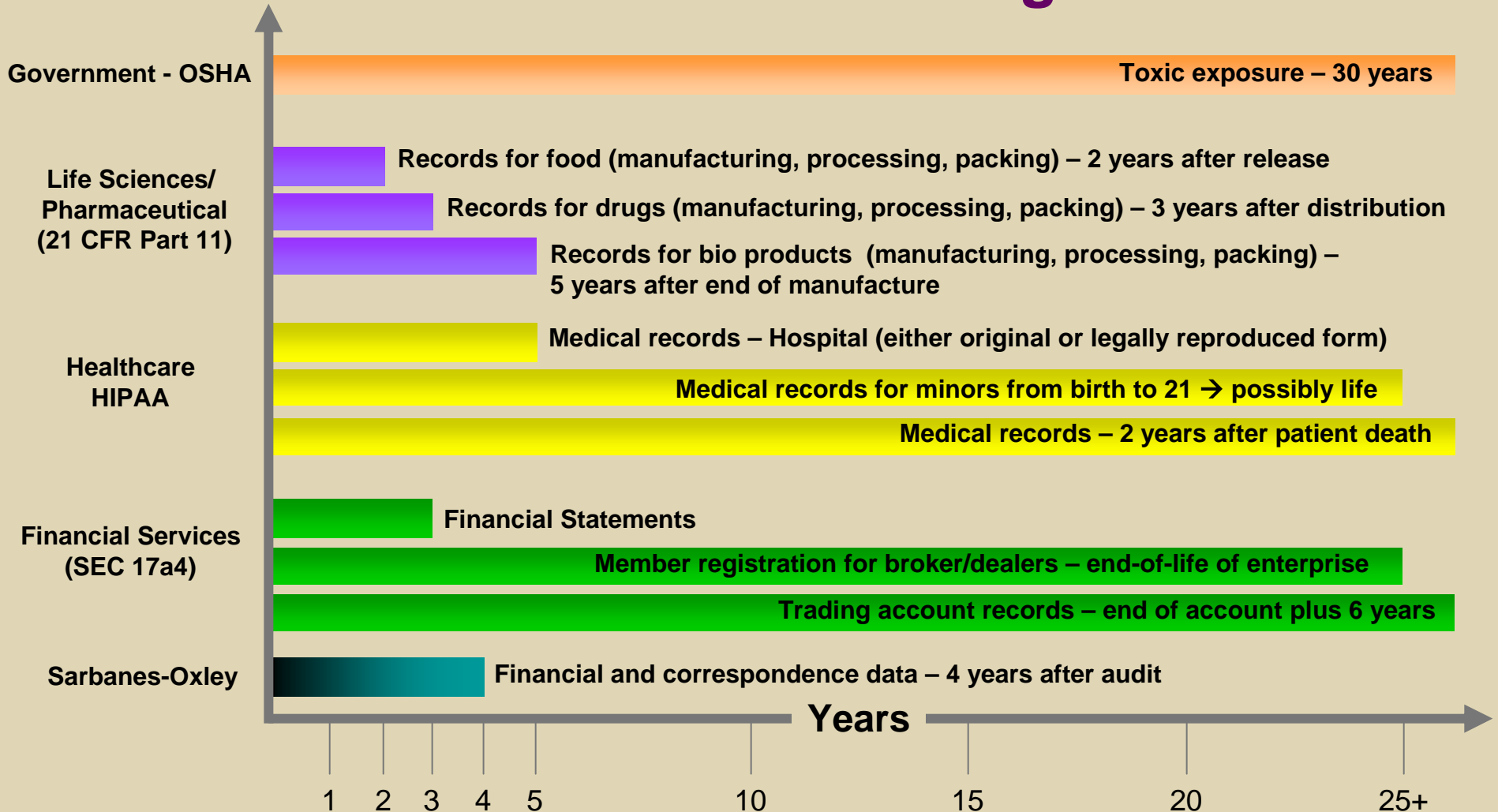
*“Records Management is the ability to **systematically capture, process, organize, retain, and preserve, authorize access with security** and finally **dispose** of official corporate content based on rules defined by the organization and mandated by laws and industry regulations.”*

Source: KM World, April 2003

What is Records Management?



Retention Periods outside of Higher Ed



The New Reality: Compliance and Litigation

Reduce risk:
litigation, adverse regulatory actions, tarnished reputation



Reduce cost:
operations (storage, labor, etc.), legal discovery



The New Reality: Compliance and Litigation

- In the United States, failure to perform is responsible for over half of FDA warnings and can result in seizure an/or injunction
- Regulators imposed an \$800-an-hour monitor on WorldCom (now MCI) whose task is to ensure that the company “has developed document retention policies and . . . has complied with these policies.”
- With respect to Sarbanes-Oxley, companies will spend \$1M per \$B in revenue with some 85% of that in people costs. These will continue year over year...

(Source: AMR Research)

RM Today: Physical Records

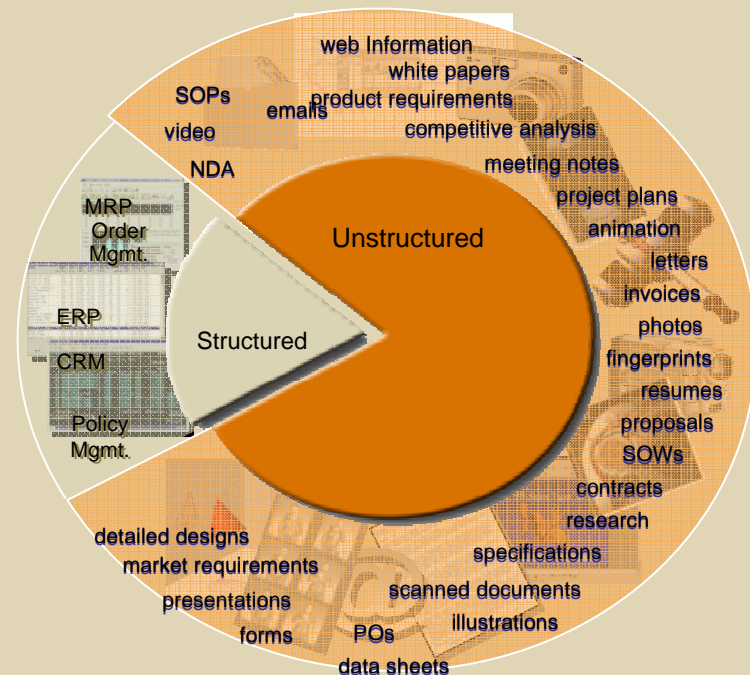


- Paper is still growing
- Records centers are here to stay
- Space management is important
- Homegrown systems based on tools like Access are inadequate

RM Today: Electronic Records



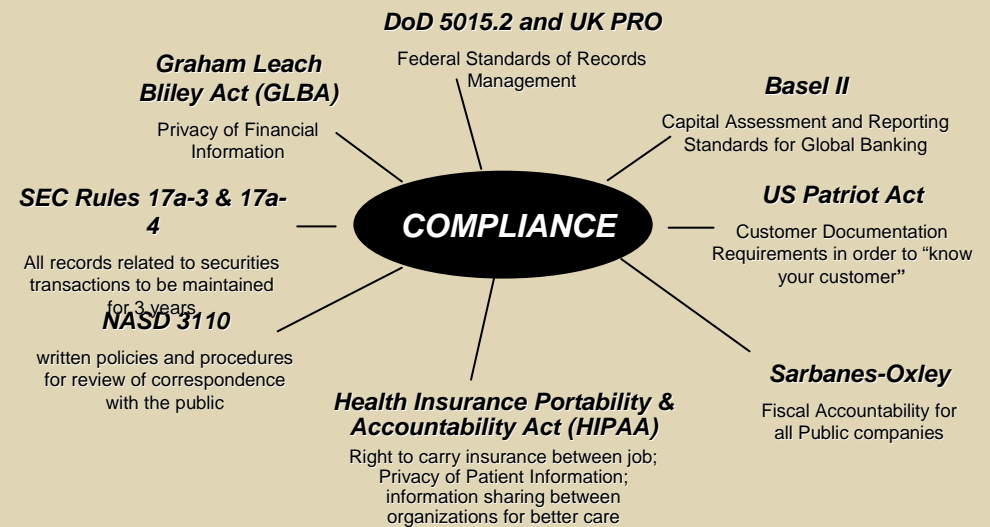
- Electronic content is exploding
- Electronic content is largely outside of institution control
- How do “records professionals” cope with the new realities?



RM Today: Compliance



- Keeping up with the regulations
- What to retain, for how long, how to dispose?
- Reducing risk
- Costs of litigation and discovery



Records Management Requirements

Acquisition

- ✓ capture and preserve the original content, context and structure of the information – physical or electronic

Authenticity

- ✓ providing records that are verifiably accurate, trustworthy and reliable

Integrity

- ✓ records are protected against alteration or deletion while retained

Retention

- ✓ achieving full compliance with retention requirements including “hold orders”

Accessibility

- ✓ delivery of all related information quickly, regardless of format

Recovery

records are automatically duplicated, retained at a remote site (eg... via DiskXtender)

Audit

- ✓ the “chain of custody” can be tracked and evidence produced to prove the negative

Understanding Records Management

- **AIIM:** www.aiim.org
- **ARMA:** www.arma.org
- **Cohasset Associates:** www.merresource.com
- **EMC Documentum:** www.documentum.com



High risk of non-compliance

Slow, inefficient and expensive

No holistic view of constituent

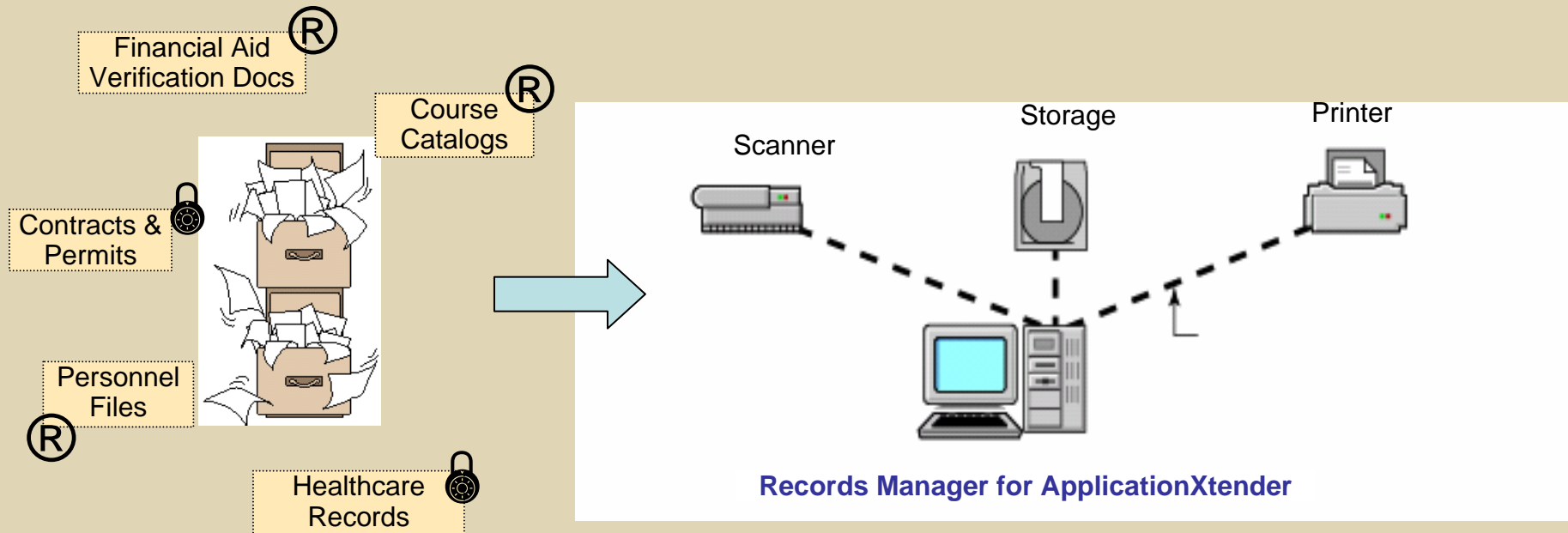
Managing volume and variety

Slow response to questions

95% of business decisions are based on a document

Paper transactions are 24X more expensive to process

Records Manager for ApplicationXtender



- DoD 5015.2 compliant Records Management

<http://jitc.fhu.disa.mil/recmgt/p50152s2.pdf>

- Retention Administration

Records Manager for ApplicationXtender

- **Integration of Documentum Records Manager (RM) and Documentum ApplicationXtender (AX)**
- Extend the ApplicationXtender “electronic file cabinet” to the administration of records from creation through permanent archival or destruction
- Implement procedures for storage, retrieval, dissemination, protection, preservation and destruction of recorded information



Records Manager for ApplicationXtender

- **DoD 5015.2 Certified Records Management for AX**
- Formal records declaration and management
- Ideal for regulated and high-risk organizations
- 175+ guidelines for managing and accessing records:
 - Implementing file plans
 - Scheduling record events
 - Declaring and filing records
 - Storing records
- <http://jitc.fhu.disa.mil/recmgt/register.htm>



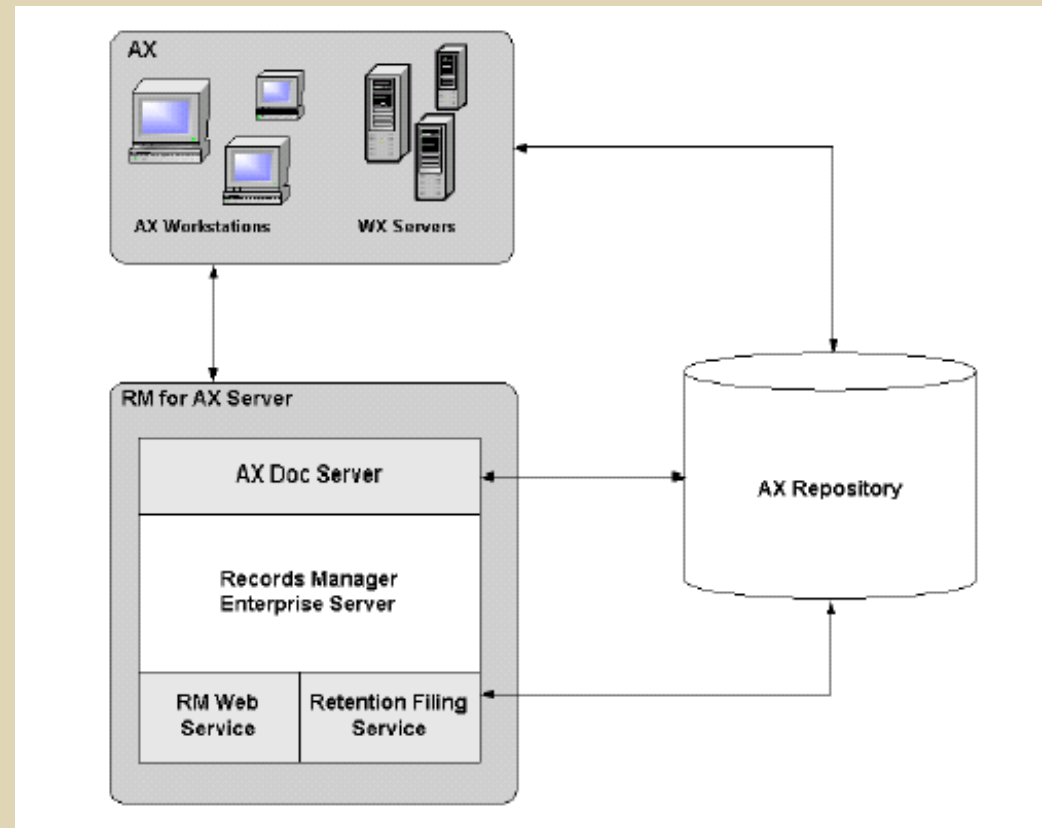
Records Manager for ApplicationXtender

- **Retention Management for AX**
- Governs AX repository with retention and disposition policies
- Automatic filing of documents as records according to pre-defined retention rules, requiring no additional work steps for end-users



Records Manager for ApplicationXtender

- RM Enterprise Server
- RM Web Service
 - allows all AX workstations and WX.NET servers to communicate with the RM for AX server through a common interface
- Retention Filing Service
 - a Windows service that automatically files AX documents into Records Manager for retention administration according to pre-defined retention rules
- AX Doc Server
 - the bridge between the Records Manager Enterprise Server and the AX repository; deletes or dispose of documents from the AX repository

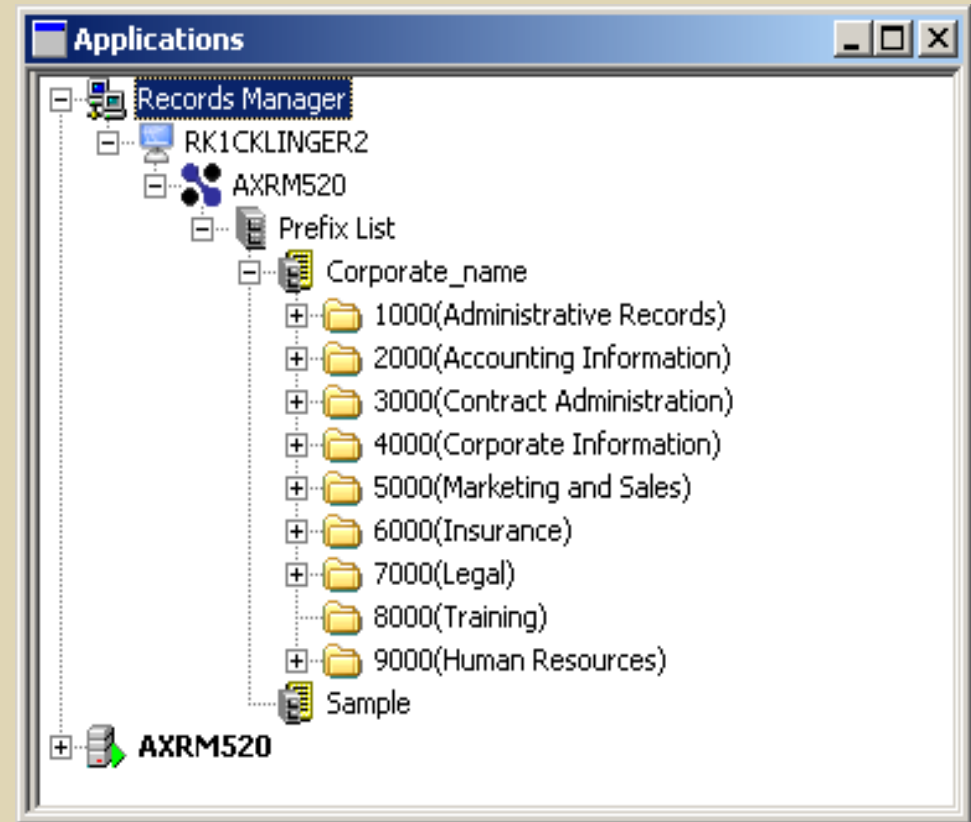


Retention Management vs Records Management

Characteristics		
Organization		
Physical file location		
Protection		
Access rights		
Compliance certification		
Declaration and classification		
Metadata		
Retrieval		
Physical docs (paper, film)		

File Plans in Records Manager

- Filing structure of RM repository
- Contains rules for records classified to RM
 - Retention policies
 - Audit trails
- Based on organization's specific requirements
- Multiple files plans
 - AX documents classified to file plan
 - AX can use multiple file plans
 - Automatic or manual classification



RM Filing System Options

- Records Management
 - DoD 5015.2 certified
 - Paper documents or film
 - Other electronic documents or records not stored in AX
- Retention Management
 - Lifecycle of documents
 - Retain documents until disposal
 - Apply disposition policies to documents
- Combination of Retention and Records supported
- Filing option selected per AX application

Select RM Filing System

Retention Mode

Records Management

Retention Administration

Select a RM filing system:

Field Mapping... Classification Rules... Retention Rules...

< Back Next > Exit Help

RM Field Mapping

- Maps selected AX index fields to RM fields
- Metadata used to apply policies in RM
- Other information can be transferred to RM
- Metadata automatically transferred to RM during document classification

RM Field mapping

RM field name: Document Date
RM field type: DATE
RM field length: 10
RM field mandatory: false

Map to AX index
 Map to QDMA field
 Map to fixed value
 None

ACTIVE
DATE INACTIVE
DOC TYPE
NAME
NUMBER

Sync

OK Cancel Help

Classification Rules

- Rules for classifying AX documents to RM
- Classification rules applied automatically
- Includes which RM File Plan and Retention Policy
- Support for multiple classification rules per AX application
- Use of AX index field values

Add New Classification Rule

File Number: Corporate_name-9000-200

Rule Query: "DOC TYPE" = 'TERMINATION FORM'

Retention Policy

Retention Policy:
HR 401K
HR APPLICATION
HR BACKGROUND AUTHORIZAT

Retention Rules

- Retention rule triggers when a doc is classified
 - Triggered by index field value
 - Triggered by AX date field
 - Combination of AX index fields
- Typically done when document is no longer being modified

Fields	Values
NAME	
NUMBER	
ACTIVE	No
DATE INACTIVE	
DOC TYPE	*

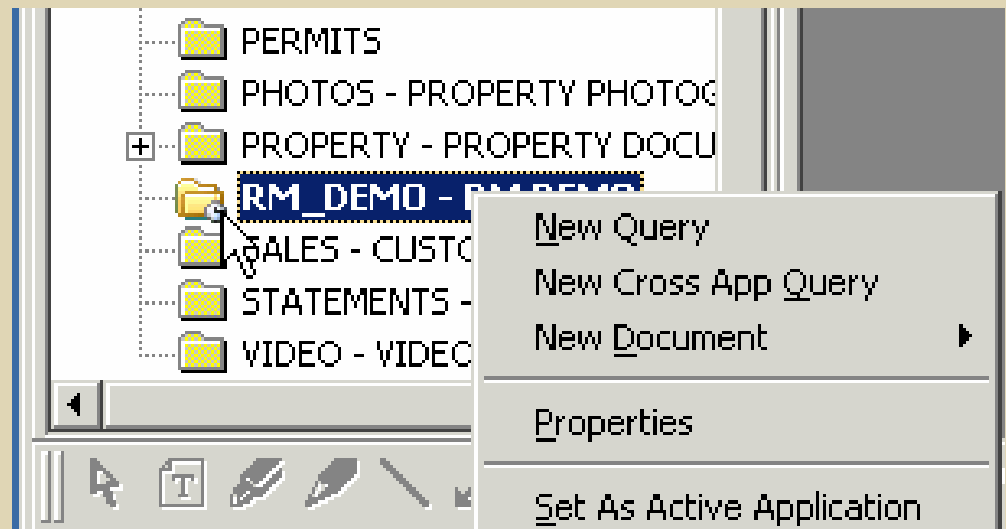
Test

NAME	NUMBER	ACTIVE	DATE INA
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OK Cancel Help

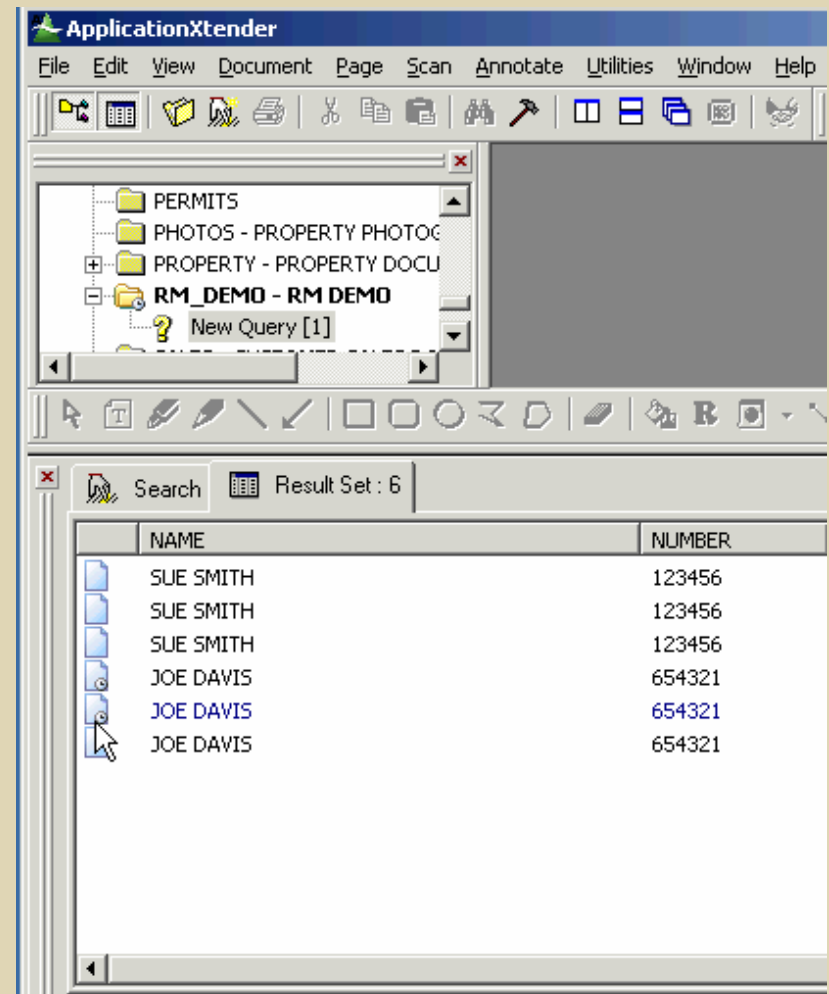
AX Application with Retention

- Click on AX application view indicates an application with retention policies
- Blue folder on AX application view indicates an application with records management policies



AX Documents with Retention

- Clock in AX Result Set indicates a document that has been classified to RM for retention



Direct Access to RM Items

- RM Result Set in AX provides the same user experience as standard AX and WX user

The screenshot shows a search window titled "Search Scope[\Corporate_name-1000-100]". It features a table with columns "Fields" and "Values". Below this, a "Result Set : 5" window is open, displaying a table of search results. The table has columns: Prefix, File Number, Subject, Document ..., and Version Num... The third row is selected, and context menus for "Open" and "Delete" are visible over the "Subject" and "Document ..." columns respectively.

Fields	Values
To	
From	
Filed By	
Date Filed	
Accessed By	
Date Accessed	
Location	
Category	*
Security Level	*
Subject	

Prefix	File Number	Subject	Document ...	Version Num...
Corporate_name	1000-100	4423	1	1
Corporate_name	1000-100	3765	2	1
Corporate_name	1000-100	8790	3	1
Corporate_name	1000-100	FINANCE	24	1
Corporate_name	1000-100	INVOICE	25	1

H.R. 4306 and I-9 Records

- New legislation [[H.R. 4306](#)] allows all employers to store electronically the I-9 Employment Eligibility Verification form [October 30th 2004].
- [Immigration and Nationality Act](#) requires employers to retain I-9 documents until (1) year after employment is terminated, or for (3) years after the date of hire, whichever is later.

H.R. 4306 and I-9 Records

- (3) Additional H.R.4306 amendments to the Immigration Act
 - Allows employers to convert existing I-9 forms into electronic versions for storage purposes
 - Authorizes both handwritten and electronic signatures on attestation forms required by the employment verification system, and
 - Authorizes the retention of paper or electronic versions of such forms

Implications of H.R. 4306

- As of October 30, 2004, sites scan and dispose of historic paper storage of employee I-9s
- Sites should only do the above with imaging solutions that have an RM capability
- Many employers retain I-9s longer than required due to the resource requirements to audit files each year
- Legacy cost and liability
- New law applies to all employers in the U.S.

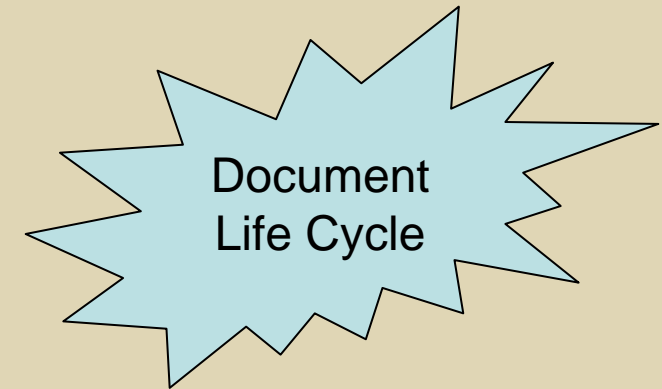
Legal Department

- Documents pertaining to current litigation stored in AX
 - Requirement: Keep documents only while case is active
 - Reason: Documents could be liability after case is over
- Document retention policy
 - AX index field “active/inactive”
 - All documents with “inactive” status deleted



Purchasing Department

- Purchasing / AP docs stored in AX
 - Requirement: Retain all document types for 1 year
 - Reason: Space and normal document life cycle
- Document retention policy
 - AX index field Date (date stamp)
 - All documents in the application deleted 1 year from date field



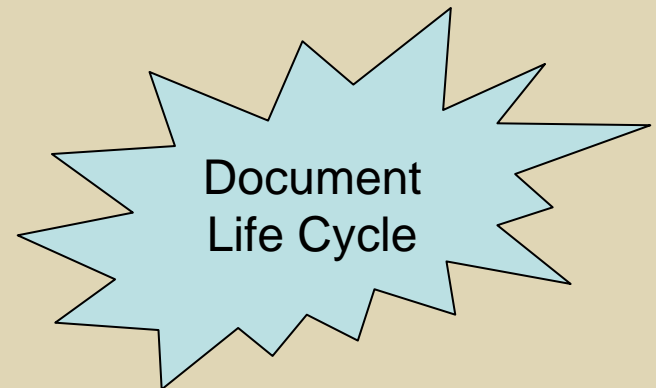
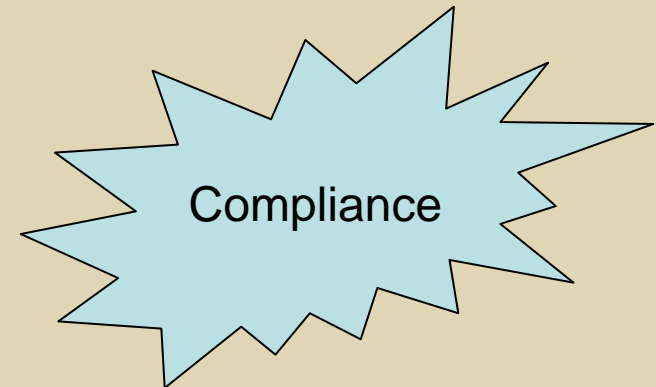
Admissions Office

- Admission docs stored in AX
 - Requirement: Keep documents for 1 year if prospective student is not admitted
 - Reason: Space and normal document life cycle
- Document retention policy
 - AX index field Date (date stamp)
 - AX index field Active Student “Yes/No”
 - All documents in the application deleted 1 year from date field if Active Student is “No”



Financial Aid Office

- Verification materials stored in AX
 - Requirement: Keep certain documents for 5 years
 - Reason: Feds require documents to be kept for 5 years
- Document retention policy
 - AX index field Date (date stamp)
 - AX index field Doc Type
 - Documents with Doc Type=W2 deleted 5 years from date field
 - Other documents could have different retention

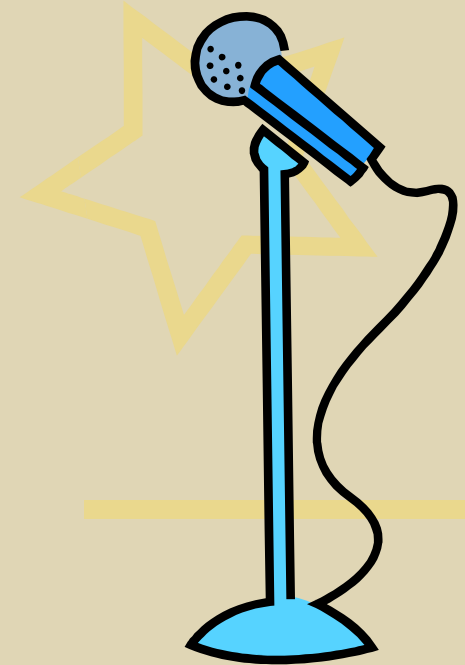


Summary

- Electronic Records Management can help insure the right materials are retained for the right period
- Manage digital as well as physical records
- Increase accountability, defensibility, and durability
- Reduce risk, cost, and legal exposure
- Low-impact and fully-compliant versions available

Questions & Answers

- Please use the microphone to ask questions of the presenter
- Please use the comments field of your evaluation form for detailing session feedback AND electronic records management needs at your institution



Thank You!

Mike LaFortune

mike.lafortune@sungardhe.com

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