



Innovation Day

May 4, 2023

Innovation Day 2023

Agenda

- 1** Identity Access Management at AGP
- 2** Online application for deferral or waiver of court fees
- 3** Digitizing a Forest: How Oklahoma DHS is reducing physical paper
- 4** OnBase Super User Panel



Agenda

- 5 Digital mail transformation at CSO: Lessons learned
- 6 Building a homegrown records management program in OnBase
- 7 DataBank Support Team Panel
- 8 OnBase product roadmap and CmmunityLIVE preview



Agenda

1

Welcome

2

Identity Access
Management at AGP

3

Modernizing Citizen Experience
with Digital Applications and
Approvals

4

Digitizing a Forest: How
Oklahoma Human Services is
reducing physical paper





Chris Pellman

Manager Process Optimization

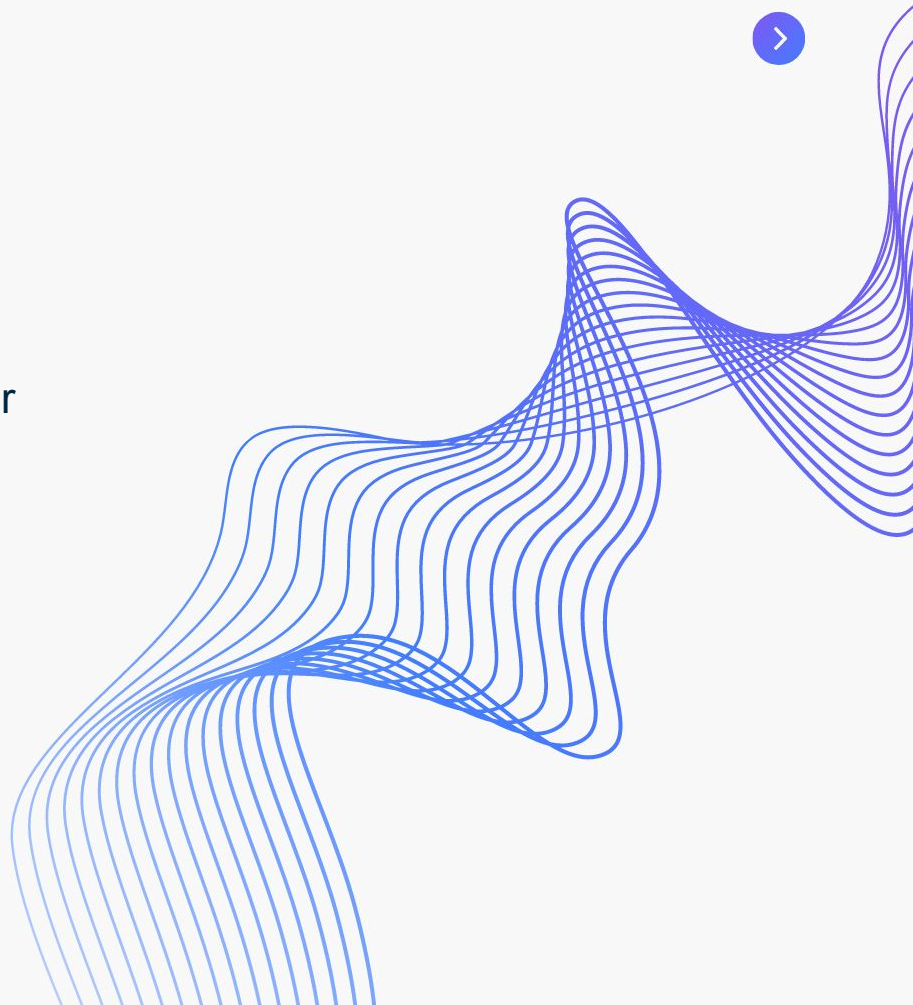
AGP[®]
Ag Processing Inc





Problem

- 1** Managing user identity is a challenge for requesters, approvers, and set-up
- 2** No Central System of Record



AGP Employee
 Yes
 No

Name of Individual: Katie Spellman
 Phone: 402.492.3372

Job Title: Accounting Clerk
 Supervisor: Mindi Ping
 From: Kris Gupta

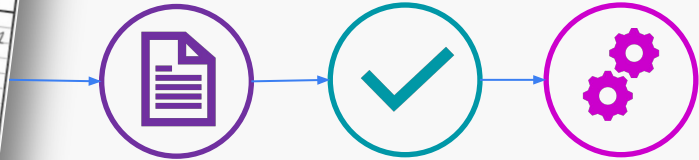
New User
 Yes
 No

Location: Omaha
 Department: Omaha - Control

Transfer
 To: Omaha - Control
 Department: Renewable Fuels Accounting/Invoicing

System(s)	Action	Info. Owner Approval/Date	IS Action Completed By/Date	Other Notes
<input checked="" type="checkbox"/> Network	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> Voice-Mail	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> E-Mail	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> KEAI	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> Agris	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> Vista Plus	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input type="checkbox"/> Infor	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input type="checkbox"/> Trackit	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input type="checkbox"/> ProphetX	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input type="checkbox"/> QCCS	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> Oracle AP <u>IZYLIN</u>	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove	<u>[Signature]</u>	<u>5/24/18</u>	<u>Kspellman/welcome1</u>
<input type="checkbox"/> Oracle FA	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> Oracle GL <u>USER</u>	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove	<u>[Signature]</u>	<u>5/23/18</u>	<u>Kspellman/welcome1</u>
<input type="checkbox"/> Oracle PC	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input type="checkbox"/> Oracle PO	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
<input checked="" type="checkbox"/> GL Wand	<input type="radio"/> Add <input type="radio"/> Change <input type="radio"/> Remove			
List Responsibilities: <u>Excel for Apps; OnBase</u>				
<input checked="" type="checkbox"/> Other System Access				
List Systems: <u>Kail Audit</u>				
<input type="checkbox"/> Remote Access VPN				
Business Reason: <u>cor p-Rail Audit</u>				
<input checked="" type="checkbox"/> Shared Network Directory				
Directory Name: <u>P Drive:Gen Acct</u>				
<input checked="" type="checkbox"/> SharePoint Site Access				
SharePoint Site: <u>Sharepoint-Acctg-Balance Sheets; Load Out Logs; CRM</u>				
<input checked="" type="checkbox"/> Shared Outlook Tools				
Calendar: <u>Name RefRenInv Calendar</u>				
<input type="checkbox"/> Distribution List (Global)				
New List Name:				
<input checked="" type="checkbox"/> Existing List Name: <u>Corporate Invoicing</u>				
Notes: <u>Email: RFSProgram;Biodiesel;corporatereight;invoiceremit</u>				
Supervisor Approval/Date: <u>[Signature]</u>				
Management Approval/Date: <u>[Signature]</u>				

Paper Form



Objectives

Proactive
process

TARGET/OBJECTIVE # 1

- Human Resources
- Manager Action

Eliminate
confusion

TARGET/OBJECTIVE # 2

- Role-Based Templates
- Relatable Terminology

Historical record
with trackability

TARGET/OBJECTIVE # 3

- Moves, Adds, Changes
- Who, When





Solution

Human Resource Feed

- Hires
- Transfers
- Terminations

Proactive

- Manager – Action Item
- Termination – Action Item



Role-Based Templates

Access Request*

AARs Oracle

AARs OnBase

AARs Agris

AARs Infor

AARs Vista

AARs TrackIt

Service Desk Info Page

Profile Template

All Locations - Sr Accounting Clerk - Plant -



Application Access Request

Oracle [Reviews](#)

AAR Oracle -

Created By: MANAG

3/2/2023 5:26:07

AAR Oracle

Access Request ID 4	Employee Name	SupervisorName	Request Date Received 3/2/2023
Role Sr Accounting Clerk - Plant	Location All Locations	Request Type Profile Template	
AAR Date/Time Created 3/2/2023 5:26:07 PM	Effective Date	AAR Status Profile Template	Oracle Setup Status

New Oracle User Setup Needed - need this?

Privileges - AP (+/-)

001 AP Administrator	001 AP Administrator Sr AP Clerk	001 AP Check Processing	001 AP Corp Super User
001 AP Inquiry	001 AP Inquiry Payroll	001 AP Supplier Mtce	
999 AR	014 AR Credit User		

Privileges - FA/GL (+/-)

001 FA Administrator	001 FA Inquiry	001 FA Tax User	001 FA User
001 Consolidated GL Admin	001 Consolidated GL Inquiry		
001 GL Accountant	001 GL Admin	001 GL Inquiry	001 GL Manager
001 GL Superuser	001 GL User		

Privileges - PM/PC (+/-)

001 PM Admin	001 PM Inquiry	001 PM Payments	001 PM User
001 PC Admin	001 PC Asset Manager	001 PC Inquiry	001 PC Inquiry KM
001 PC Project Accountant KM	001 PC Project Manager	001 PC User	

Application Access Request

AAR OnBase Accounting

Created By: MANAGER

3/2/2023 5:31:21 PM

OnBase - Accounting

Access Request ID 4	Employee Name	Supervisor Name	Request Date Received 3/2/2023
Location All Locations	Role Sr Accounting Clerk - Plant	Request Type Profile Template	
AAR Date/Time Created 3/2/2023 5:31:21 PM	Effective Date	AAR Status Profile Template	

Privileges - AP (+/-)

010 All OnBase Users Add	010 AP All Users Add	010 Acct Managers Soy	010 AP Admin
010 AP Approver Review	010 AP Audit	010 AP Buyer Add	010 AP Inquiry
010 AP Invoice Approver Add	010 AP Pick-Up Auth Admin	010 AP Pick-Up Auth Users	010 AP Procs
010 AP Scan Verify Operators	010 AP Super User	010 AP Supplier Maintenance	010 AP Travel Expense
010 AP Travel Expense Admin	010 AP Travel Expense Export	010 AP Travel Expense Legal	010 AP Travel Expense Marketing
010 AP Travel Expense Operations	010 AP Truck Freight Support	010 AP User Add	010 AP W9 Proc

Privileges - Credit Memo / FAMA (+/-)

011 Credit Memo Ag Products Export	011 Credit Memo Ag Products Resale	011 Credit Memo Auth Admin	011 Credit Memo Auth Controller
011 Credit Memo Auth Submitters	011 Credit Memo Auth Users	011 Credit Memo Refined Oils	011 Credit Memo Renewable Fuels
010 FAMA Freight Proc Aberdeen Dawson Add	010 FAMA Freight Proc EG Emmet MC	010 FAMA Freight Proc Grain Chester	010 FAMA Freight Proc Grain Wau Mag LincSo Direct
010 FAMA Freight Proc Hastings	010 FAMA Freight Proc Oma Export Grays Harbor	010 FAMA Freight Proc Renewable Refined	010 FAMA Freight Proc SB Shel Mann
010 FAMA Freight Proc St Joe	010 FAMA Super User		

Application Access Request

Oracle | Reviews

AAR Oracle - Created By: MANAG
3/2/2023 5:26:07

AAR Oracle

Access Request ID	Employee Name	SupervisorName	Request Date Received
4			3/2/2023
Role	Location	Request Type	Profile Template
Sr Accounting Clerk - Plant	All Locations		
AAR Date/Time Created	Effective Date	AAR Status	Oracle Setup Status
3/2/2023 5:26:07 PM			

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001 AP Administrator	001 AP Administrator Sr AP Clerk	001 AP Check Processing
001 AP Inquiry	001 AP Inquiry Payroll	001 AP Supplier Mtrc
999 AR	014 AR Credit User	

Privileges - FA/GL (+/-)

001 FA Administrator	001 FA Inquiry	001 FA Tax User
001 Consolidated GL Admin	001 Consolidated GL Inquiry	
001 GL Accountant	001 GL Admin	001 GL Inquiry
001 GL Superuser	001 GL User	

Privileges - PM/PC (+/-)

001 PM Admin	001 PM Inquiry	001 PM Payments	001 PM User
001 PC Admin	001 PC Asset Manager	001 PC Inquiry	001 PC Inquiry KM
001 PC Project Accountant KM	001 PC Project Manager	001 PC User	

001 FA Inquiry

Add

Active

Remove

Clear

Hold

< None >

001 FA Inquiry

Remove

001 Consolidated GL Inquiry

001 GL Admin

001 GL User

Add



Application Access Request

Privileges - AP (+/-)	
010 All OnBase Users	<input type="button" value="Add"/>
010 AP Approver Review	<input type="button" value="Add"/>
010 AP Invoice Approver	<input type="button" value="Add"/>
010 AP Scan Verify Operators	<input type="button" value="Add"/>
010 AP Travel Expense Admin	<input type="button" value="Add"/>
010 AP Travel Expense Operations	<input type="button" value="Add"/>

Privileges - AP (+/-)	
010 All OnBase Users	<input type="button" value="Add"/>
010 AP Approver Review	<input type="button" value="Add"/>
010 AP Invoice Approver	<input type="button" value="Add"/>
010 AP Scan Verify Operators	<input type="button" value="Add"/>
010 AP Travel Expense Admin	<input type="button" value="Add"/>
010 AP Travel Expense Operations	<input type="button" value="Add"/>

Information Owner: Responsible for the approval of user access

010: Tracks the information owner & back-up





History Approval Set-Up

History			
	Date	Created By User	Details
<input checked="" type="checkbox"/>	3/16/2023	Manager Account	Full Approval- OnBase (Accounting)
<input type="checkbox"/>	3/16/2023	Manager Account	Full Approval- OnBase (Miscellaneous)
<input type="checkbox"/>	3/16/2023	Manager Account	Setup completed- OnBase (Accounting)
<input type="checkbox"/>	3/16/2023	Manager Account	Setup completed- OnBase (Miscellaneous)

1 - 7 of 7 records



User Record - Oracle

Current Employee - Updates

Dente, AI

AAR Oracle

Access Request ID 49	Employee Name Dente, AI	SupervisorName	Request Date Received 3/29/2023
Role Profile- New Group Request	Location	Request Type Current Employee - Updates	
AAR Date/Time Created 3/29/2023 9:34:38 AM	Effective Date	AAR Status Approved	Oracle Setup Status Routing Determination

New Oracle User Setup Needed - need this?

Privileges - AP (+/-)

001 AP Administrator	001 AP Administrator Sr AP Clerk	001 AP Check Processing	001 AP Corp Super User
001 AP Inquiry	001 AP Inquiry Payroll	001 AP Supplier Mtc	
999 AR	014 AR Credit User		

Privileges - FA/GL (+/-)

Privileges - PM/PC (+/-)

Privileges - PO (+/-)

005 PO Admin	005 PO Buyer	005 PO Inquirer	005 PO Manager
005 PO Receiver	005 PO User	005 PO Write Off	

Privileges - Wands/Other (+/-)

User Record - OnBase

Current Employee - Updates

Dente, AI

OnBase- Accounting			
Access Request ID	Employee Name	Supervisor Name	Request Date Received
38	Dente, AI		3/22/2023
Location	Role	Request Type	
	Profile- New Group Request	Current Employee - Updates	
AAR Date/Time Created	Effective Date	AAR Status	
4/26/2023 3:07:16 PM		Created	

Privileges - AP (+/-)			
010 All OnBase Users	010 AP All Users	010 Acct Managers Soy	010 AP Admin
Active			
010 AP Approver Review	010 AP Audit	010 AP Buyer	010 AP Inquiry
		Active	
010 AP Invoice Approver	010 AP Pick-Up Auth Admin	010 AP Pick-Up Auth Users	010 AP Procs
Active			
010 AP Scan Verify Operators	010 AP Super User	010 AP Supplier Maintenance	010 AP Travel Expense
			Active
010 AP Travel Expense Admin	010 AP Travel Expense Export	010 AP Travel Expense Legal	010 AP Travel Expense Marketing
010 AP Travel Expense Operations	010 AP Truck Freight Support	010 AP User	010 AP W9 Proc





Solution



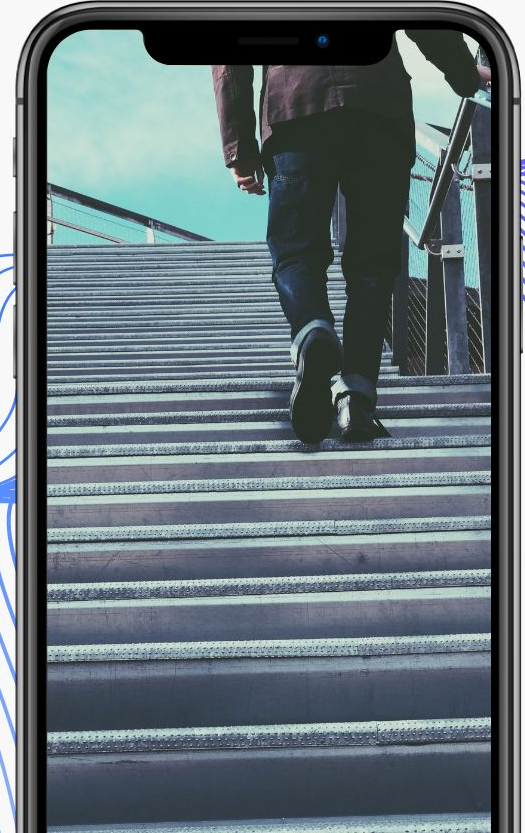
Faster



Ease of use



System of record





Online Application for Deferral or Waiver of Court Fees

Maricopa County Clerk of the Superior Court

Innovation Day 2023



Ryan MacDonald

EDM Program Director

Maricopa County Clerk of the Superior Court

With more than 19 years of OnBase experience, Ryan is responsible for the overall management of the Enterprise Document Management Program for the Clerk of the Court's office.

Priorities include:

- Delivery of innovative solutions for complex content management and workflow initiatives
- Improving customer access via OnBase modules: Workflow, Unity Forms and Document Composition
- Reducing need for in-person visits

Recent program accomplishments:

- Online Fee Deferral & Waiver solution
- Online Exhibit and Marriage License portals



Online Application for Deferral or Waiver of Court Fees

Application processing and acceptance transformed from physical to electronic due to COVID-19 pandemic.

Solution

- 1** Automated workflows, electronic forms, and integrated cloud-based file sharing service available in the Clerk's Electronic Document Management System
- 2** Completed in under 1 year
- 3** Increased security, consistency, and reduced time





Problem

Before we created the online process, litigants were limited to filing fee waiver and deferral applications in-person only, and 80% of these applications are for Family Court cases.

1

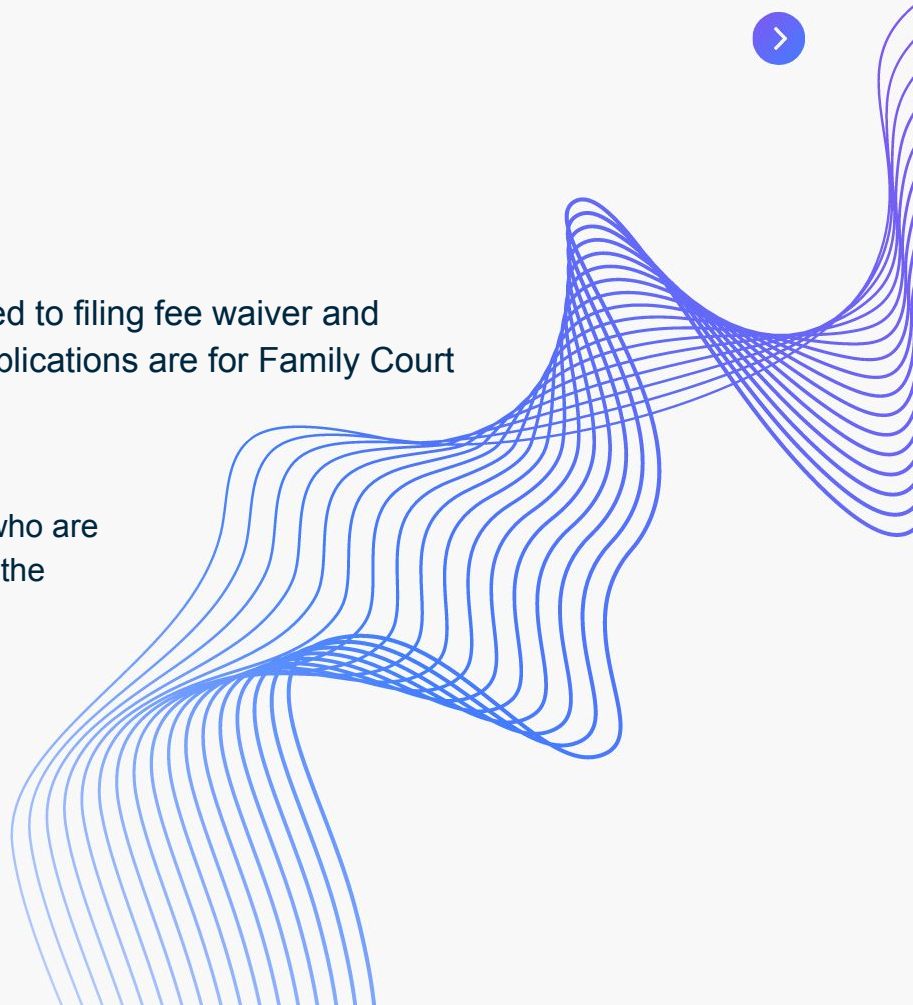
70% of Family Law cases are started by individuals who are navigating the justice system by themselves, without the assistance of an attorney.

2

The Clerk's Office continues to look for opportunities to mitigate the spread of COVID-19

3

Manual Approval Routing via email





Objective #1

Implement a secure online portal for customers to apply for waiver or deferral.

Must include: an electronic form for data entry that would allow for file uploads





Objective #2

Enable application form validations to minimize data entry errors, require specific data to be entered, and not allow for submissions with missing or invalid fields.





Objective #3

Ability to evaluate applications for automatic approval based on poverty guidelines.

Routing applications that cannot be automatically approved to the Clerk's Operations team or to Court Administration for assignment to a Judicial Officer for evaluation.





Objective #4

Once fully evaluated, the system must generate approved or denied orders which are then sent back to the applicant for filing with their case.



Solution

Improvement #1

An interview style Unity Form was developed to be intuitive and include field level validations ensuring forms are filled out completely.

Improvement #2

Once submitted, income data from the form is evaluated against published poverty guidelines and those that fit the criteria are automatically approved for deferrals.

Improvement #3

Once approved or denied, OnBase composes the order granting or denying the deferral or waiver of court fees and is automatically signed by the appropriate approving authority.



Application for Deferral or Waiver

Questionnaire

Do you have a superior court case number for the document(s) you will be filing?*

Yes No

Do you receive government assistance from any of the following state or federal programs?

Temporary Assistance to Needy Families (TANF)

Food Stamps

Legal Aid Services

Supplemental Security Income (SSI)?*

Yes No

What type of case will you be filing with the court?*

Please answer Yes to one of the following questions that relates to the type of case you will be filing with the court.

Next



1. **DEFERRAL:** I receive government assistance from the state or federal program marked below or am represented by a not for profit legal aid program:

Temporary Assistance to Needy Families (TANF)

Food Stamps

Legal Aid Services

2. **WAIVER:**

I receive government assistance from the federal **Supplemental Security Income (SSI)** program.

Proof of Participation

THIS DOCUMENT WILL NOT BE PART OF THE COURT RECORD, AND WILL ONLY BE USED BY STAFF TO DETERMINE THAT THE REQUESTOR IS A PARTICIPANT IN A GOVERNMENT ASSISTANCE PROGRAM. *

Appointment_Receipt_3407167.pdf [Remove](#)

IMPORTANT

This "Application for Deferral or Waiver of Court Fees or Costs" includes a "Consent to Entry of Judgment." By signing this Consent, you agree a judgment may be entered against you for all fees and costs that are deferred but remain unpaid thirty (30) calendar days after entry of final judgment. At the conclusion of the case you will receive a Notice of Court Fees and Costs Due indicating how much is owed and what steps you must take to avoid a judgment against you if you are still participating in a qualifying program. You may be ordered to repay any amounts that were waived if the court finds you were not eligible for the fee deferral or waiver. If your case is dismissed for any reason, the fees and costs are still due.

CONSENT TO ENTRY OF JUDGMENT. By signing this Application, I agree that a judgment may be entered against me for all fees or costs that are deferred but remain unpaid thirty (30) calendar days after entry of final judgment.

OATH OR AFFIRMATION

I declare under penalty of perjury that the foregoing is true and correct.

By typing your name below, you are signing this document

Applicant's Signature (Type Name) *

First Last

Date

05/04/2023





Results

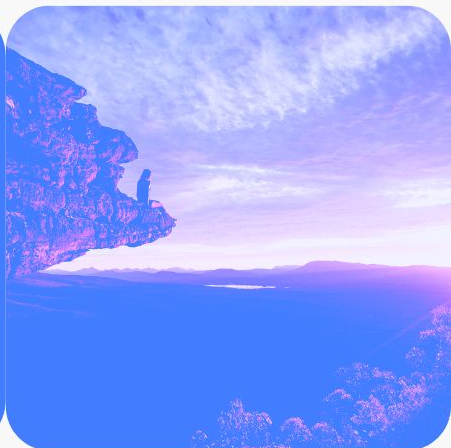
The application for deferral or waiver of Court fees went live in March of 2022.

The Clerk's Office receives more than 500 applications for deferral or waiver each month from our most vulnerable constituents.

The new automated solution improves access to the court for those constituents who may need financial assistance.



Enabled more strict controls over the entire deferral and waiver application process.



Greatly improved accuracy of applicant data required to evaluate applications.



Automatic routing ensures applications are routed correctly based on poverty guidelines and case type to an available Judicial Officer for timely review.

Future

Continue to enable intuitive access to justice through simplified electronic forms and anytime access.



WorkView solution to
modernize Minute Entry
creation



Robotic Process
Automation for automated
docketing



Criminal Restitution Order
Automation





Digitizing a Forest

How the Oklahoma Department of Human Services is reducing their physical paper



Nick Gribnau

Product Owner Document Management/Imaging

Oklahoma Dept of Human Services/ www.okdhs.org

14 years with the State of OK ranging from Specialized Case Management of High Risk/Low income families, Training, Business Process Engineering to now Product Ownership/Management



Agenda

- 1 Project overview
- 2 Previous phases
- 3 Current phase
- 4 Next phase
- 5 Virtual tour -
Records Center
- 6 What We Learned
- 7 Room for growth
- 8 Q&A





Previous Phases

- Phase 1 May 2020 – August 2020
- Phase 2 September 2020 – June 2021

- 1 Created digital file structure for 8 of 17 DHS divisions
- 2 Developed scan plan for closure offices and digitizing case files for 8 divisions and Resource/Training site for users
- 3 Closed 44 offices by digitizing case files from 7/28/21 - 06/01/22 (11 months)
- 4 **30 million PAGES of paper digitized in 11 months**





Current Phase

- Conversion of AFS digital imaging
- Creating automated document routing for CSS
- Developed OCR/full-text searching for court documents in CWS
- Developing mobile access platform
 - Retrieval of documents
 - Digital signatures
 - On-the-go scanning/import
- System notifications for review process
- Live case data sync
- 10th division go-live in April





Next Phase

- Additional divisions
 - “Global docs”
 - Additional workflows/automation
 - Document barcoding
- Further development of Records Center Digitization
- Integration with new case management systems
- Legacy imaging migration
- Continued legacy data integration
- Develop larger scale document management/imaging team
- Envelope additional DHS divisions
- Automated retention schedule development/implementation ongoing



Milestones

- Digitized 41 Million pages since inception (4.7m Million Documents/9TB)
- Average Documents per month 143.3k (41k pg/day)
- •Created “on demand” scanning request for Records Warehouse
- •10 Divisions ready to “LIVE” in OnBase



Records Center Conversion



Estimated 150 million pieces of paper



15 staff digitizing and quality control

On-demand ARTS request

Reduction of FLOW



Specialize “damaged” documents imaging



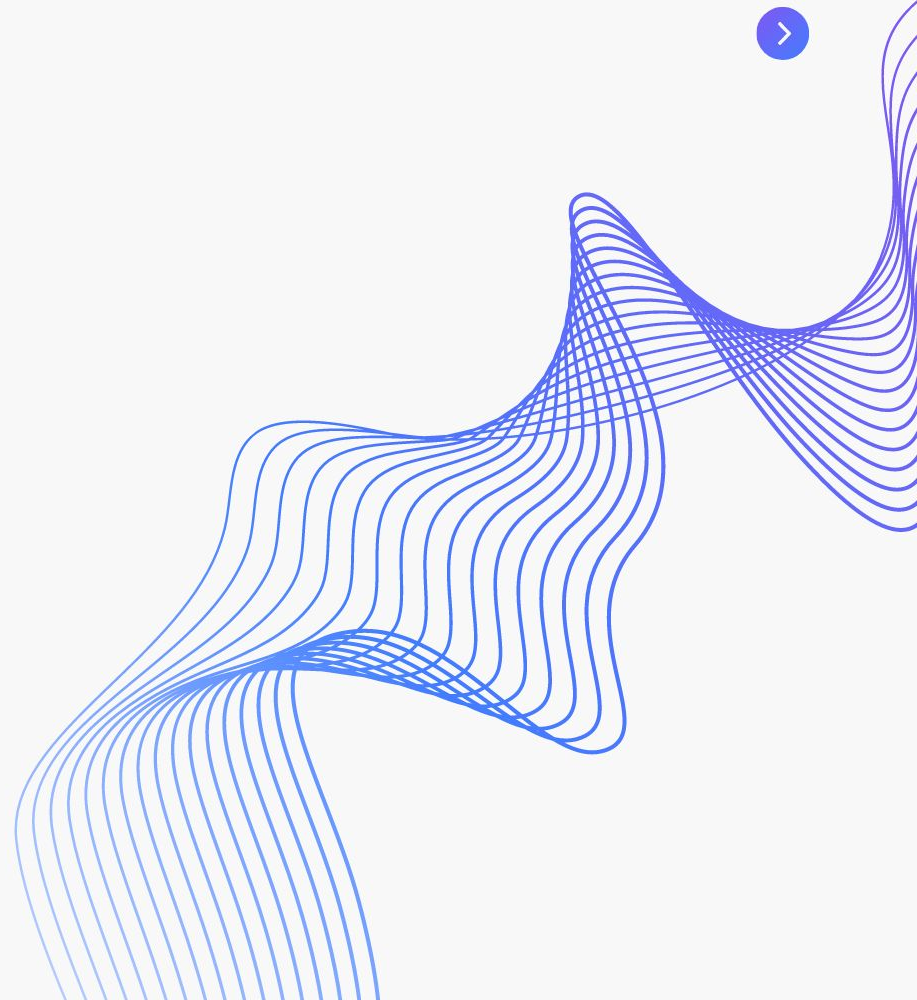
Ongoing efforts to increase abilities

Digital media conversion





Records Center Virtual Tour



Future

Room for Growth

Digital Signatures

Digital
Waste//Duplication

Customer Portal

Buy-In of a Digital
approach to long term
physical dependency

Complete
Reconciliation

Process Automation
Vs Manual
Processes



Raffle winner 1





 OnBase Camp



OnBase Camp User Group

Coming summer 2023

OnBase Camp is just
getting started



OnBase Super User Panel

May 4, 2023

Innovation Day 2023



April Johnson

Director Enterprise Applications

University of North Florida



Shelley Lincoln

Sr. Business Systems Manager

Enovis



Greg Woods

CIO

POET



Kim Hammers

IT Business Analyst

POET



Raffle winner 2





Digital Mail Transformation

Lessons Learned - How we're getting better at difficult things

Innovation Day 2023



Jen Van Haute

Assistant Vice President, Administration

Central States Health & Life Co. Omaha

Bachelor's Degree - UNK

Secondary Education

Master's Degree - Bellevue University

Computer Information Systems

25 Years at CSO



Agenda

- 1 CSO Go Big or Go Home!!!
- 2 Why Move to Workflow?
- 3 Project Overview
- 4 Road Blocks
- 5 Implementation
- 6 What We Learned
- 7 How we did
- 8 What's Next



Central States Health & Life Co. of Omaha

Mutually-owned
insurance company

90 years of
experience

Superior service and
products to
policyholders and
business partners





Go Big or Go Home!

- 300+ pieces of mail handled by less than 20 people daily
- A pandemic
- A little Husker Spirit



Why?

- 1 Covid
- 2 Document access
- 3 Workforce management
- 4 Disaster recovery





Overview

- Identify the Goals
- Timing
- Discovery/Design



Road blocks

1

Document separation

2

What do you do when you're done?

- The Exit Queue

3

Process business that comes electronically

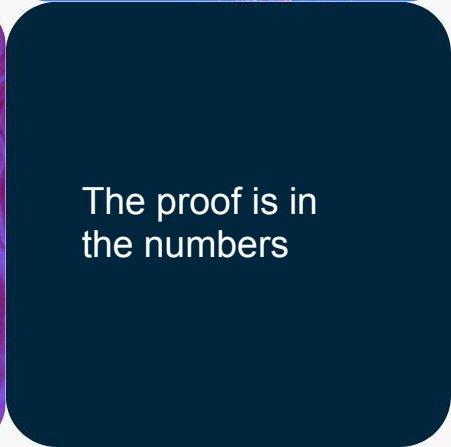
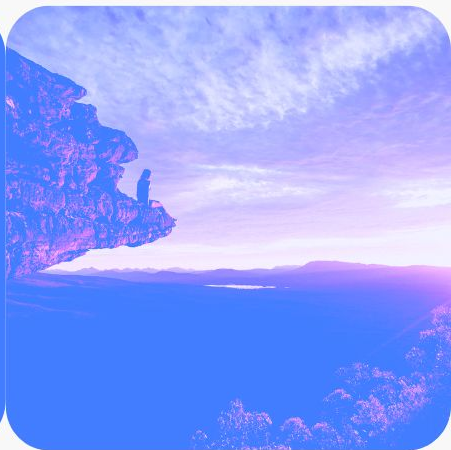
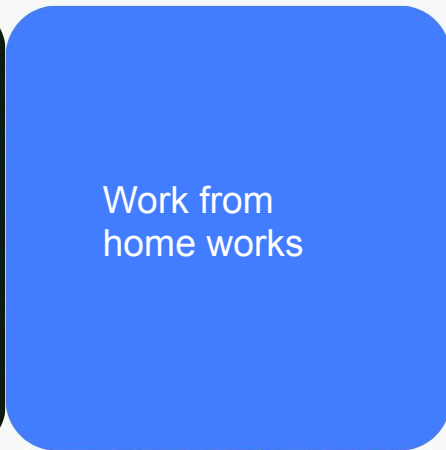
- An innovative solution





Results

How did we do?



Future

The Future looks bright



Investment
approvals



New account onboarding



Corporate finance
approvals





Building a Customized, Homegrown Records Management Program with OnBase

Allianz Life's Journey to Sustainable Document
Management

Innovation Day 2023

Agenda

- 1 Introductions
- 2 The issue
- 3 False starts
- 4 The solution
- 5 Technical nuances
- 6 The process
- 7 The outcome and future state
- 8 Q&A





Phil Behrens, JD

Senior Records & Information Manager

Allianz Life Insurance Company of North America

- Bachelor's degree - Harvard University
 - Graduated with honors
- Juris Doctorate - UC Berkeley School of Law
- Former defense litigator
- Moved in-house to support contract negotiation and risk management
- Expertise in data privacy, cybersecurity, information governance, and vendor management
- Since joining Allianz Life in 2018, he successfully led a cross-functional, enterprise-wide initiative to build and implement a records management program that supports regulatory compliance and strategic information governance.





The Issue

- 1** Increasing US and international regulations around information governance require a robust records management program.
- 2** In 2018, Allianz Life had limited records management capabilities and a history of starting and stopping RM projects.
- 3** GDPR forced our hand and required creation of a sustainable records and information management program.





Background

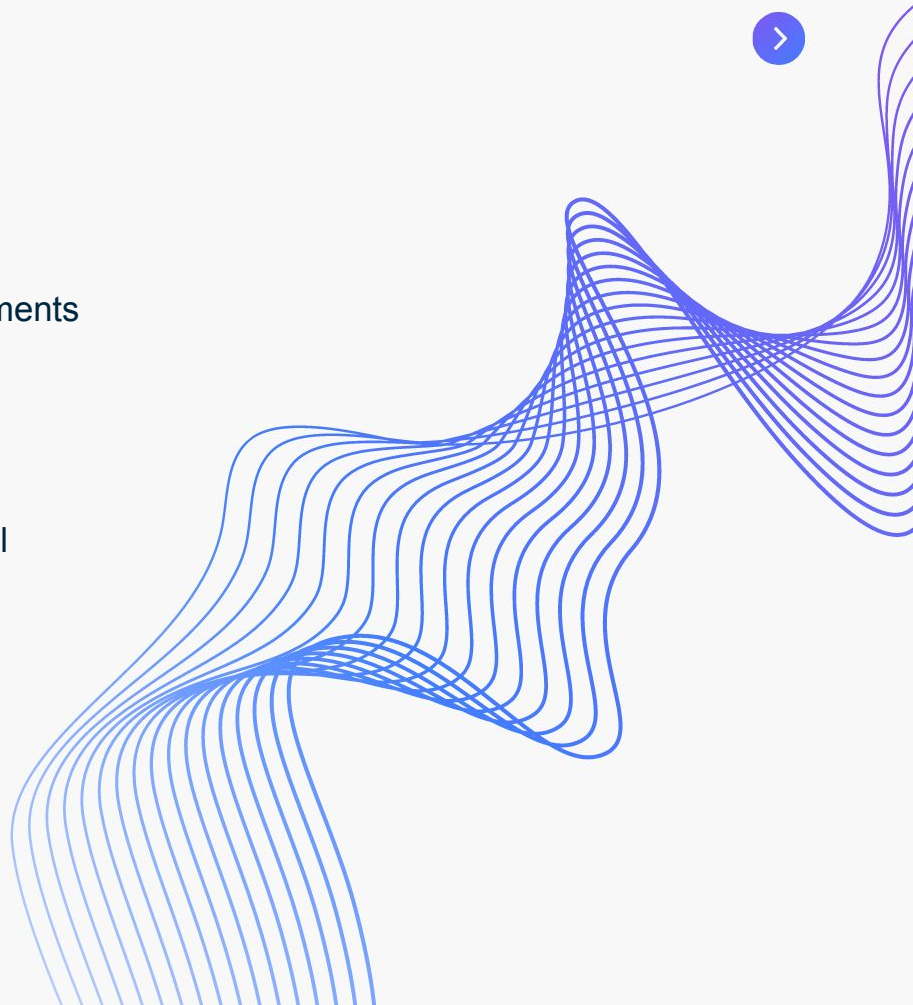
We have a hoarding problem. Why are we doing this?





Goals

- 1** Identify Information Owners and Relevant Documents
- 2** Develop governance framework and oversight
- 3** Implement deletion routines on NAS and in email
- 4** Apply retention to relevant IT systems
- 5** Implement offsite storage governance and destruction
- 6** Coordinate M365 retention transition and training



Progress so far, lessons learned

Issues

Massive Enterprise Scope

Lack of Taxonomy Direction

Ownership

Holds and Deletion

Vendor Performance

Solutions

Reasonable, Risk-Ranked Milestones

Standardized OnBase Taxonomy

Records Custodian Model

Due Diligence + Technology + Oversight/Monitoring

SLAs + Removal of Subcontractor + TCS Support



The Solution(s)

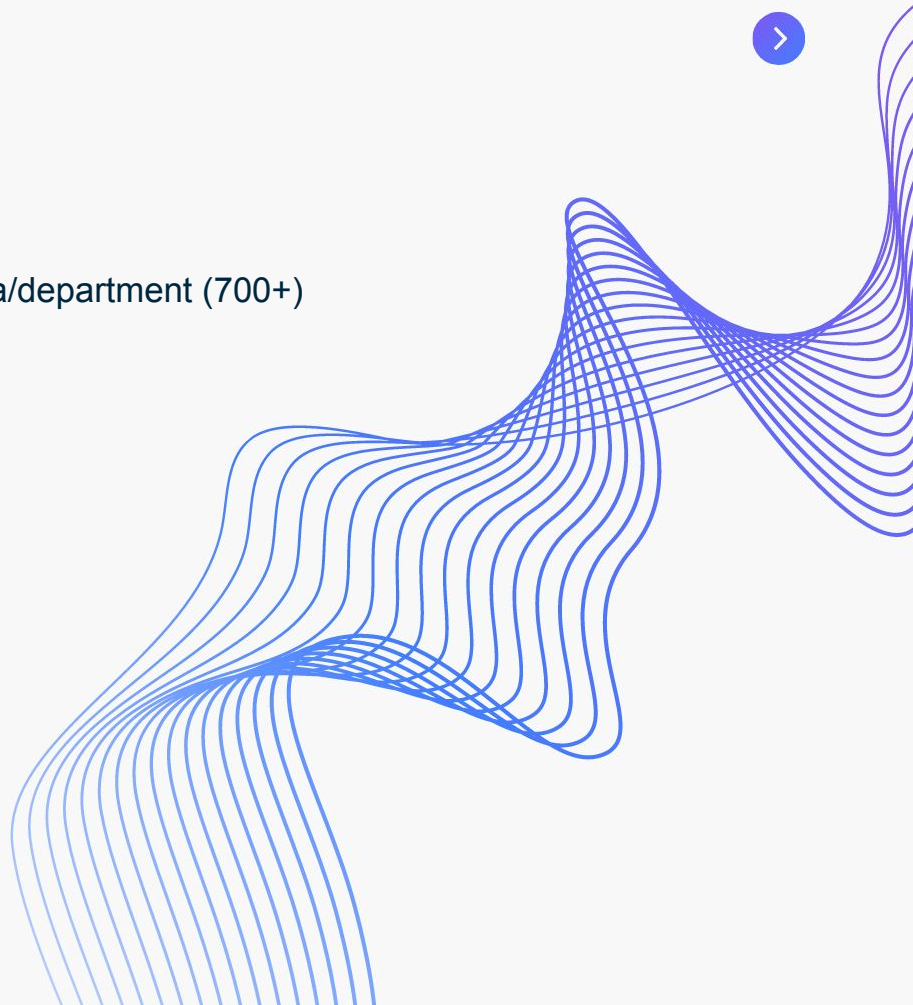
- Deployed with OnBase v18
- Defined Allianz Life Record Retention Schedule; this document defines the overview and Retention Codes, Number of Years for Retention and if there is keyword trigger
- Defined 6 standard document types to be used for each area/department as shown below:
 - Controls & Evidence
 - Process & Procedures
 - Project Records
 - Reports
 - Tools & Templates
 - Training
- Please note: These standard 6 documents types were a starting point, we did allow other types to be created as needed





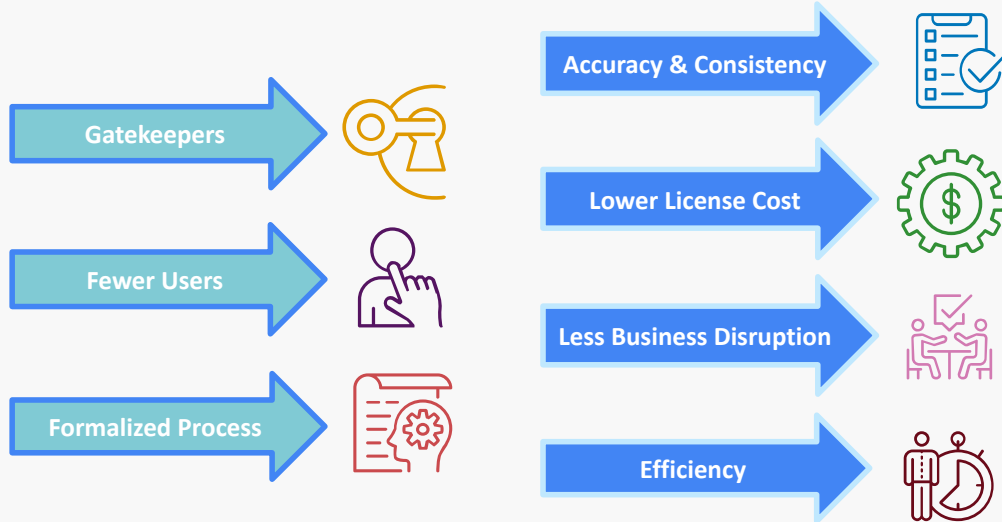
The Solution(s)

- Created corresponding Document Types for each area/department (700+)
 - Assigned standard keywords:
 - Document Name
 - Description
 - Information Classification
 - MAIL From Address
 - MAIL To Address
 - MAIL Subject
 - MAIL Date
 - MAIL Attachment Name
 - MAIL Attachment Count
 - MAIL Message ID
 - Retention Code
 - Retention Date



Records Custodian Overview

Records Custodians: designated individuals in each business area responsible for archiving relevant documents

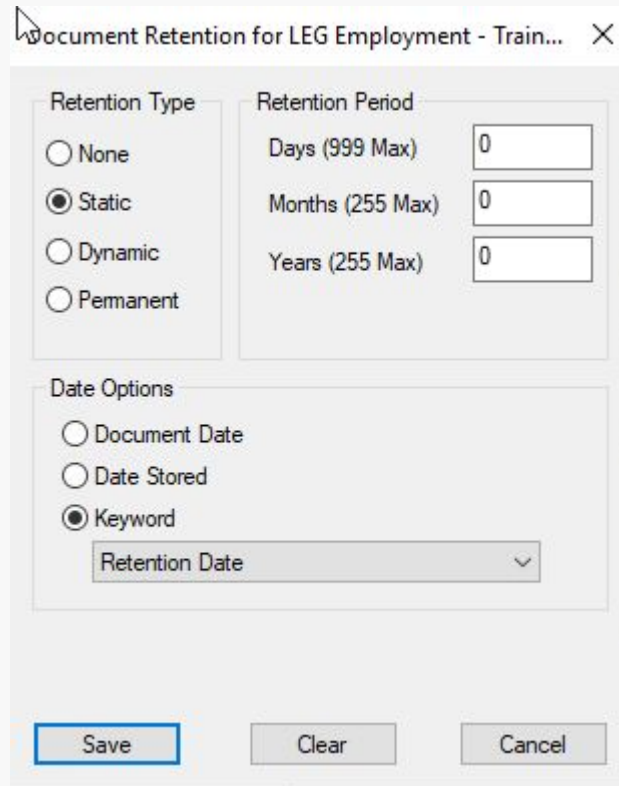


***Minimum of two custodians per area (primary and backup)*



Technical Nuances

Added Document Retention to each Document Type with the following settings:



Document Retention for LEG Employment - Train... X

Retention Type

- None
- Static
- Dynamic
- Permanent

Retention Period

Days (999 Max)

Months (255 Max)

Years (255 Max)

Date Options

- Document Date
- Date Stored
- Keyword

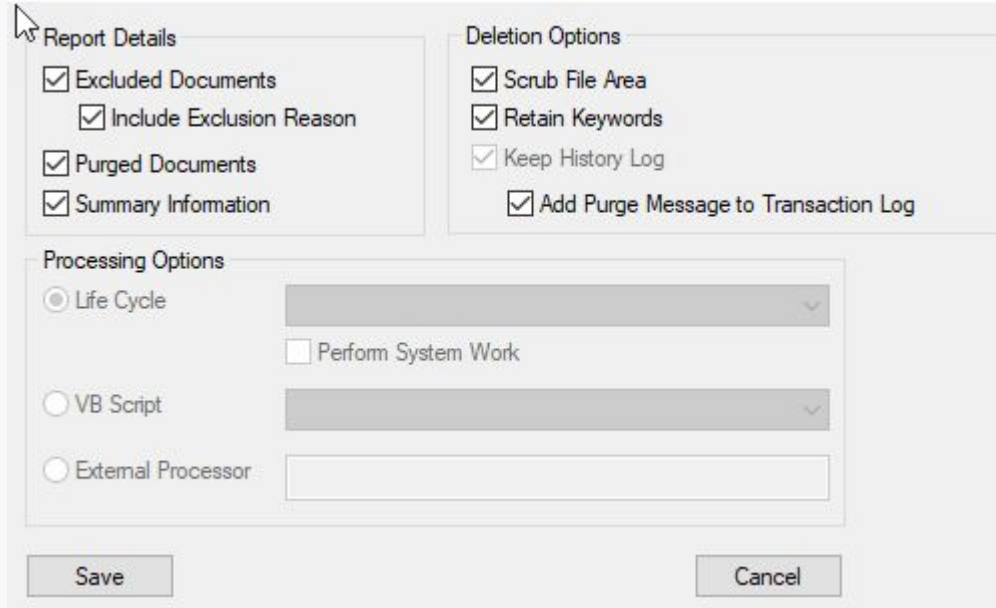
Retention Date

Save Clear Cancel



Technical Nuances

Created Document Retention Processor for each Document Type with the following settings:



The screenshot shows a configuration dialog box for a Document Retention Processor. It is divided into three main sections: Report Details, Deletion Options, and Processing Options. The Report Details section has four checked checkboxes: Excluded Documents, Include Exclusion Reason, Purged Documents, and Summary Information. The Deletion Options section has four checked checkboxes: Scrub File Area, Retain Keywords, Keep History Log, and Add Purge Message to Transaction Log. The Processing Options section has three radio buttons: Life Cycle (selected), VB Script, and External Processor. The Life Cycle option is accompanied by a dropdown menu. Below the radio buttons is a checkbox for Perform System Work, which is unchecked. At the bottom of the dialog are Save and Cancel buttons.

Section	Option	Status
Report Details	Excluded Documents	Checked
	Include Exclusion Reason	Checked
	Purged Documents	Checked
	Summary Information	Checked
Deletion Options	Scrub File Area	Checked
	Retain Keywords	Checked
	Keep History Log	Checked
	Add Purge Message to Transaction Log	Checked
Processing Options	Life Cycle	Selected
	VB Script	Unselected
	External Processor	Unselected
Processing Options	Perform System Work	Unchecked



Technical Nuances

- Created Lifecycle
 - Initial Sort based on Retention Code
 - After Initial Sort, document sent to queue based on Retention Code, Number of Years for Retention, Keyword Trigger
 - Lifecycle queues are set to run approximately once a day; If all requirements are met, retention date is set on the document and document is removed from workflow; If all requirements are not met, document stays in the queue until they are met.
- Corresponding scripts have been created based on the Document Retention Codes that will determine/set the Retention Date on each document.
- Once the documents have been run through the Members of the Records Management team have access to run the Purge Processor(s). The purge processors can be scheduled or run manually. Once the document is purged, it created a Certificate of Delete and the document cannot be recovered.



The Process

2020 Accomplishments

- Developed and deployed all OnBase taxonomies
- Identified and trained over 250 Records Custodians
- Collected over 100 due diligence inventories
- Resolved persistent technical issues
- Provided regular communications
- Trained over 60 individuals to use OnBase
- Project's strategy and approach validated through Practice Audit
- Began quarantine of documents 10+ years old on network drives
- Activated quarantine routines for over 75% of business areas
- Quarantined nearly 50 million stale files (30 TB)

2021 Accomplishments

- Executed comprehensive enterprise-wide communication strategy
- Implemented records management program governance
- Developed OPEX blackbelt strategy for offsite storage remediation in 2022
- Partnered with M365 team to embed AZL records management requirements in M365
- Remained on track for input management audit milestones



The Process

- 100% compliant with Parent Company requirements
- Rated “**Excellent**” by Parent Company Document Management (only 5 of 62 OEs currently ranked **Excellent**)
- Remediation:
 - Outlook 3+ deletion complete (**1.2TB**)
 - Quarantine deletion in progress (**1TB**)
 - Offsite Storage destruction in progress (**20,822** of 54,922 boxes; 32,659 reviewed to date)
 - Quarantined over **55 million** stale files (32%)*; **50TB** (23%)*
- Closed Handling of Paper Documents audit issue
- On track for closure of deletion routines audit issue by year-end
- SharePoint cleanup in progress in anticipation of migration to SharePoint Online (M365)
- Records management best practices are now operationalized in business areas
- Program is ready for BAU (governance, controls, technology, and communication)



The Outcome

Technical

Manage Scanning Tool SME (Offshore) and budget; Manage Vendor Relationship; Coordinate Automated Deletion (NAS & SharePoint); M365 RIM Capabilities

Governance & Oversight

ASIDM Compliance; Record Retention Schedule; Legal Hold Management; Legislative Tracking; Deletion Functional Rule; Access Reviews; Subsidiary Oversight; Training

Business Support

Communications; Records Custodian Tracking; Exceptions and Extensions; Training; Resources Page; Records Custodian Desktop Procedures; Quarantine Recovery

Offsite Storage

Inventories; Destruction; Vendor Governance; Training; Cost/Benefit Analysis; Annual Business Area Inventory Review; On-Site Box Review; Zasio Management

Analysis & Reporting

Track, Analyze, and Report on Remediation Activities Across Platforms; P&R Reporting; Maintain Evidence of Deletion Activities; Audit Remediations

OnBase

System Ownership and Approvals; Access Management; Deletion Activities; Partnership with Technical Team for Taxonomy Management; System Enhancements

Information Governance Strategy

Strategic Partnership and Projects with Privacy, InfoSec, IAM, & SVM; Data Maps and Flows; Remediation of System Data (Databases); Strategic Initiative Planning



Future State

- Mature Program
- Leverage OnBase upgrades for advanced reporting and analytics
- Leverage GRaaS solution to link OnBase and Iron Mountain Policy Center
- Integrate OnBase functionality with M365 environment
- Manage OnBase Cloud migration and corresponding records management requirements



Raffle winner 3





DataBank Support Panel

May 4, 2023

Innovation Day 2023



Brigette Staack

Senior Support Engineer/PS
Intern Manager



Erik Spitz

Support Engineer



DJ Powell

Support Engineer



Sean Mullally

SaaS Technical Engineer



Mike Askren

AVP, Product Management

Hyland

Insert more about you





CommunityLIVE 2023

CAESARS FORUM, LAS VEGAS

Community**LIVE**



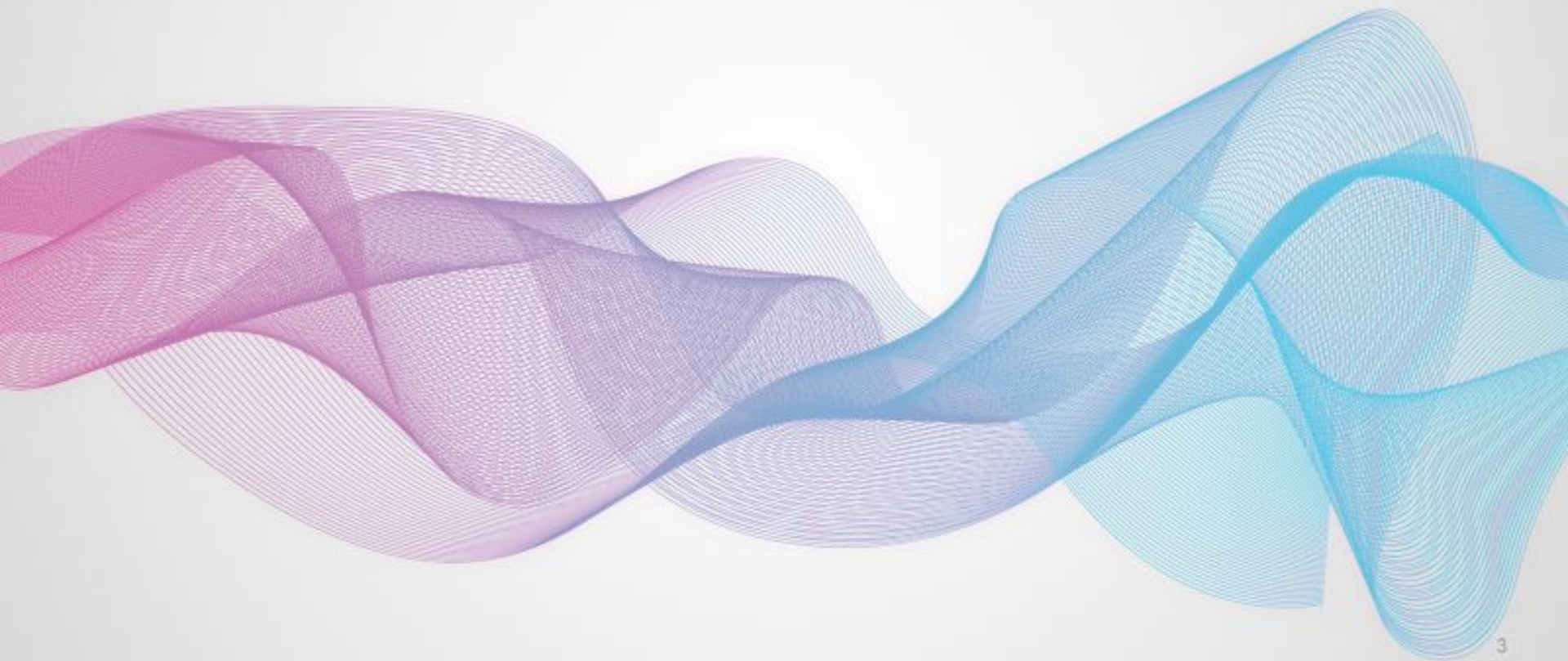
Community*LIVE*

JOIN US IN LAS VEGAS
OCTOBER 1-5, 2023
CAESARS FORUM

REGISTER NOW AT
CommunityLIVE.com



AGENDA DAY BY DAY



AGENDA DAY-BY-DAY

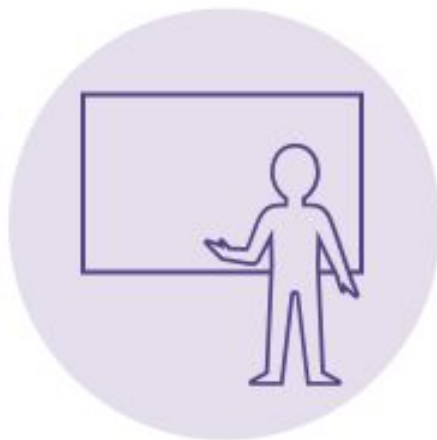
Sunday – Monday

Hands-on technical training



Tuesday – Wednesday

General sessions
Presentations
Panel discussions



Thursday

Interactive discussions
Professional development
Community impact



Hands-on technical training | Sunday and Monday

SUNDAY October 1

7:30 a.m. – 5:00 p.m.	Registration
9:00 a.m. – 12:30 p.m.	Morning training classes *10:00 – 10:30 a.m. Break
12:30 p.m. – 1:30 p.m.	Lunch
1:30 – 5:00 p.m.	Afternoon training classes *3:00 – 3:30 p.m. Break
No evening event	

MONDAY October 2

7:30 a.m. – 5:00 p.m.	Registration
9:00 a.m. – 12:30 p.m.	Morning training classes *10:00 – 10:30 a.m. Break
12:30 p.m. – 1:30 p.m.	Lunch
1:30 – 5:00 p.m.	Afternoon training classes *3:00 – 3:30 p.m. Break
5:30 – 7:30 p.m.	Pub Quiz [Caesars Forum]

We will be offering Advanced Technical Training for all the major CSP platforms within our Product Portfolio: OnBase, Perceptive Content, Alfresco and Nuxeo.

Main conference | Tuesday and Wednesday

TUESDAY October 3

7:30 a.m. – 5:00 p.m.	Registration
10:00 a.m. – 7:00 p.m.	CommunityCENTRAL
9:00 – 10:00 a.m.	GENERAL SESSION
10:00 – 10:45 a.m.	Break <i>[Refreshments hosted in CommunityCENTRAL]</i>
10:45 – 11:45 a.m.	Platform General Sessions
11:45 a.m. – 1:00 p.m.	Lunch
1:00 – 2:00 p.m.	Industry General Sessions
2:15 – 3:00 p.m.	Breakout 1
3:00 – 3:45 p.m.	Break <i>[Refreshments hosted in CommunityCENTRAL]</i>
3:45 – 4:30 p.m.	Breakout 2
4:45 – 5:30 p.m.	Breakout 3
5:30 – 7:00 p.m.	Welcome Happy Hour <i>[hosted in CommunityCENTRAL featuring the Showcase Theater]</i>

WEDNESDAY October 4

7:30 a.m. – 5:00 p.m.	Registration
10:00 a.m. – 5:00 p.m.	CommunityCENTRAL
9:00 – 10:00 a.m.	GENERAL SESSION
10:00 – 10:45 a.m.	Break <i>[Refreshments hosted in CommunityCENTRAL]</i>
10:45 – 11:30 a.m.	Breakout 4
11:45 – 12:30 p.m.	Breakout 5
12:30 – 2:15 p.m.	Lunch featuring the Hyland Innovation Awards <i>[Hyland Innovation Awards to be hosted beginning at 1:15 p.m.]</i>
2:30 – 3:15 p.m.	Breakout 6
3:30 – 4:15 p.m.	Breakout 7 OSEG
4:15 – 5:00 p.m.	CommunityCENTRAL Desserts and Demos <i>[Refreshments hosted in CommunityCENTRAL]</i>
6:30 – 9:30 p.m.	Evening Event <i>[Caesars Palace Pool]</i>

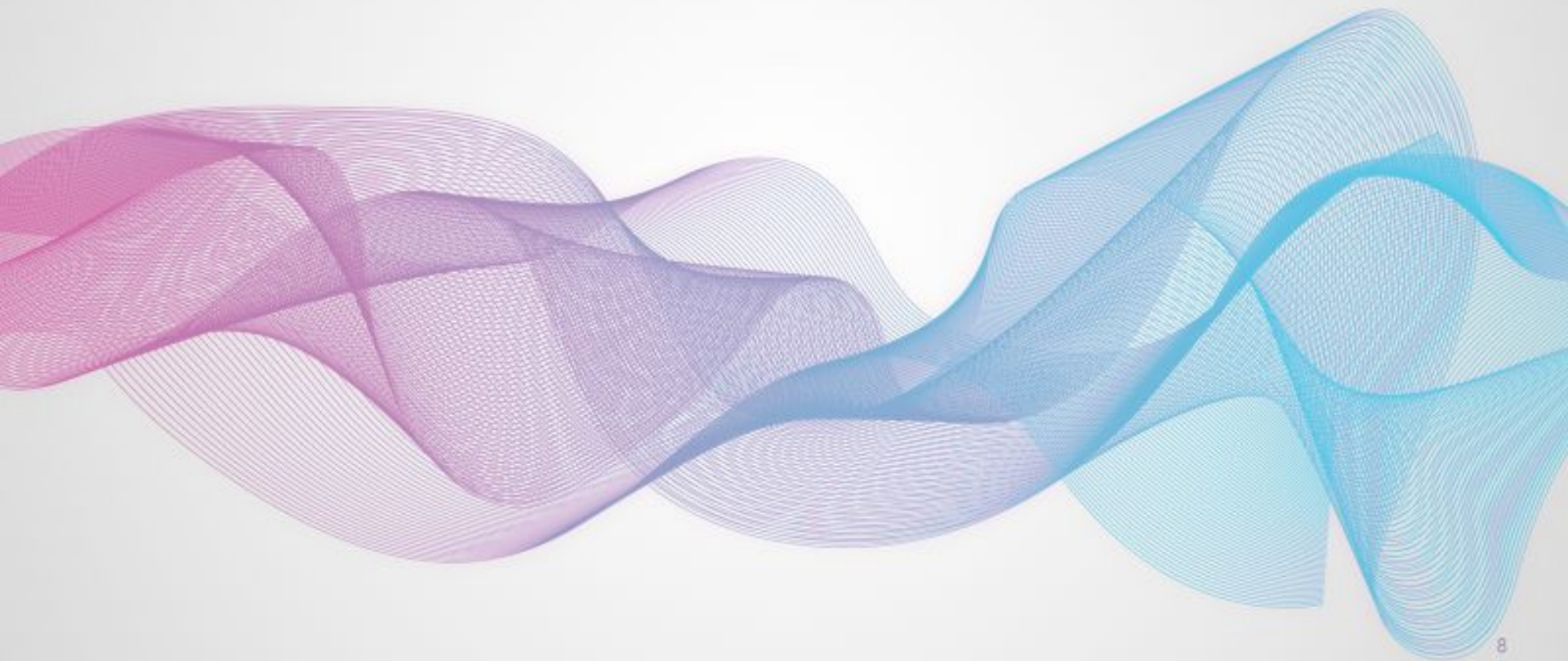
*All times PDT

Your day, your way | Thursday

THURSDAY October 5

8 a.m. – 5:00 p.m.	Registration		
9:45 – 10:30 a.m.	User Groups [VOGUE and PCAT]	CommunityCENTRAL 9:00 a.m. – 1:00 p.m. 10:30 a.m. – 11:00 a.m. <i>[Refreshments hosted in CommunityCENTRAL]</i>	
11:00 – 12:00 p.m.	GENERAL SESSION: External Speaker		
12:00 – 1:00 p.m.	Lunch		
1:00 – 2:15 p.m.	Workshops	Professional Development Sessions	Community Impact Activity
2:30 – 3:45 p.m.	Workshops	Professional Development Sessions	Community Impact Activity
3:45 – 4:00 p.m.	Refreshment break hosted outside session rooms		
4:00 – 5:15 p.m.	Workshops	Professional Development Sessions	Community Impact Activity
Various	Evening Activities		

NEXT STEPS



REGISTRATION SCALE



Registration pass type	Early bird	Advance	Standard	Onsite
	Through May 31	June 1-July 31	August 1-September 30	October 1-5
Best value! CommunityLIVE Five - Training plus main conference (Sunday-Thursday, October 1-5)	\$2,495	\$2,995	\$3,695	\$4,295
CommunityLIVE - Main conference (Tuesday-Thursday, October 3-5)	\$2,095	\$2,495	\$3,295	\$3,895
Hands-on technical training - Training only (Sunday-Monday, October 1-2 only)	\$1,395	\$1,695	\$2,595	\$3,195
Thursday only - Your day, your way (Thursday, October 5 only)	\$650	\$850	\$950	\$1,250

Guest passes must be purchased before September 1. Guest passes will not be available for purchase onsite.

IMPORTANT DATES

MAY 9

Webinar

What's new in
CommunityLIVE
2023

JUNE 30

Nomination deadline

Last day to submit
nominations for
the for the Hyland
Customer
Innovation
Awards

MAY 31

Early bird registration ends

There is NO
extension

JULY 31

Registration discounts end

Alumni
International
Group

AUGUST 18

Hotel block ends

Additional fees
(\$500) may apply
if hotels are
booked outside
the block

Need help justifying budget, travel and attendance? We have CommunityLIVE justification toolkit.



Community *LIVE*

Raffle winner 4





Thank you

Innovation Day 2023