

# FileTrail Physical Records Management

## Let's Get Physical!

FileTrail Enables  
Organizations to Manage  
Their Physical Records  
within SharePoint 2010

*February 24, 2011*



# Physical Information Management Challenges

## »» The “paper problem”

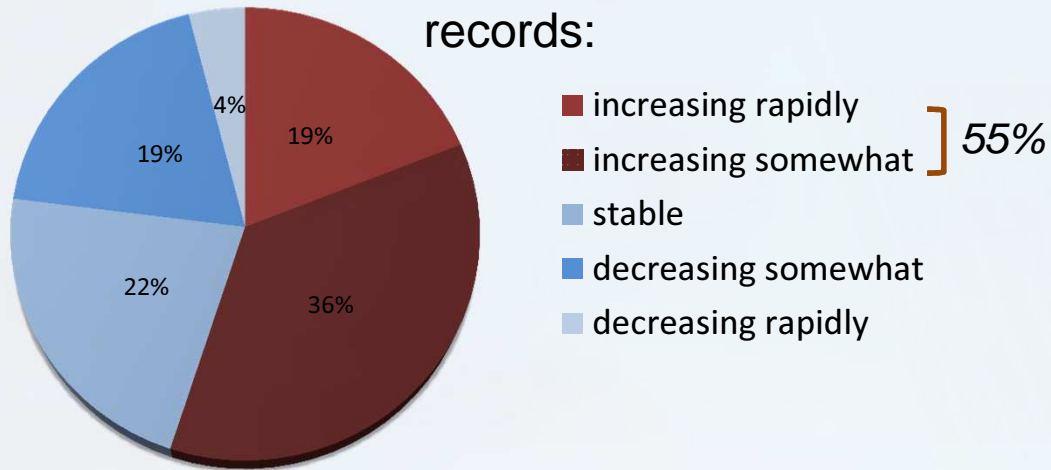
- ▶ Significant volume – often the primary work product
- ▶ Active files move around and are used by many
- ▶ Lost/misplaced files are expensive and add risk
- ▶ Managing documents off-site surrenders control
- ▶ Audits consume significant time and resources

## »» Compliance issues

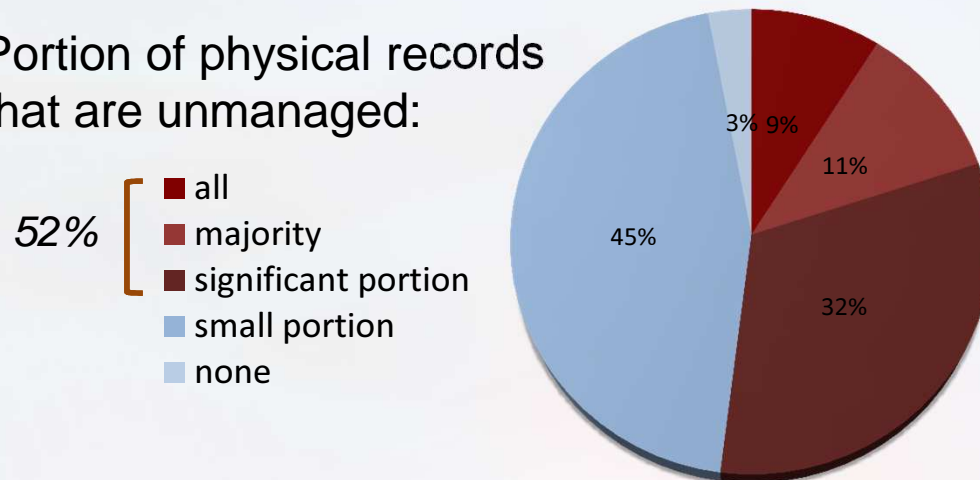
- ▶ Managing documents according to the retention schedule
- ▶ Defensible and consistent disposition
- ▶ Enforcing RM and privacy policies

# A Problem that Needs Attention

Is the volume of your physical records:



Portion of physical records that are unmanaged:



Source: AIIM 2009, [www.aiim.org](http://www.aiim.org)

# It Becomes a Critical Priority - *Eventually*



“PG&E has not been able to produce documentation on the origins of the pipe..or inspection of the pipe,”

- *NTSB Secretary Hersman (1/11)*

“Pacific Gas and Electric Co.'s president [confirmed] the utility cannot find records that support pressure levels on nearly a third of its natural-gas transmission system in populated areas.”

- *San Francisco Chronicle (1/11)*



“One giant loss for mankind: NASA loses moon tapes. 700 boxes of space flight tapes including five original Apollo moon landings have been lost.

A desperate search has begun. Scientists now fear the tapes will disintegrate before they are found and transferred into digital format.”

- *Sydney Morning Herald (8/06)*

# Select FileTrail Clients

## Public Sector

### Federal Agencies



### State & Local



### Justice



## Private Sector

### Financial Services



### Healthcare/Pharma



### And others...



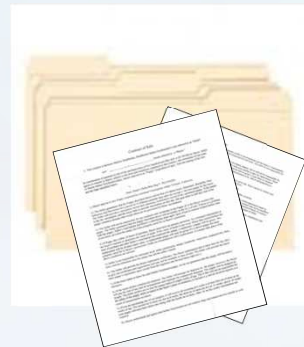
# Two Primary Business Drivers

Physical Content Lifecycle

Active

Archive

- » Enforce records creation standards
- » Apply retention to physical items
- » On-site file room management
- » Tracking missing/misplaced files
- » Enforce access and privacy policies



**FILETRAIL**

- » Retain visibility over items stored offsite
- » Automate the interaction with CRC
- » Independence & compliance - limit the data shared with CRC
- » Enforce SLA's and tools to aggregate



**recall**™ validate bills

**IRON MOUNTAIN**®

**GRM**



# Solving the Physical RM “Gap” in SharePoint

**FILETRAIL**

Physical  
Records  
Management

Taxonomy  
and  
Classification

Contribution

Scanning and  
Capture

Archive and  
Storage  
Optimization

Business  
Process  
Management

## Enabling Capabilities:

- Check-in/out
- Bar code assignment
- Audit history
- Chain of Custody
- Label design & printing
- File room tasks & req's
- Space management
- Archive integrations
- RFID item tracking

ECM enhancements

Document  
Management

Records  
Management

Rich Media  
Management

Web Content  
Management

Collaboration

Business  
Intelligence

## Enabling Capabilities:

- Metadata
- Version control
- Audit history
- Security
- Alerts
- Workflow
- Retention
- Legal holds
- Search
- Calendars
- Blogs
- etc....



# FileTrail for SharePoint 2010

- ▶ Integrated view of physical items alongside related electronic content
- ▶ Search and request physical records
- ▶ Use built-in SharePoint tools on both physical and electronic records (workflow, retention, holds, security)
- ▶ Real-time document, file or box location information

The screenshot displays the FileTrail interface for SharePoint 2010. The top navigation bar includes 'Site Actions', 'Browse', 'Physical Item', 'Documents', and 'Library'. Below this, there are two rows of icons: 'Physical Item Commands' (About FileTrail, New Physical Item, View Cart, View Favorites) and 'Commands on Multiple Physical Items' (Add To Cart, Add To Favorites, Request Items, Print Labels, Containerize). The main content area shows a list of physical items with columns for 'Category', 'Type', 'Name', and 'Address'. The items are grouped by category: 'Benefits (3)' and 'Leases (19)'. The 'Leases' group is expanded, showing a list of items including 'Building 1 Designs' (checked), 'Building 1 Maintenance', 'Building 1 Paperwork', and several 'Boxed Lease Records' from various years (1995, 2000, 2005, 1999, 2003). The 'Building 1 Designs' item is highlighted in blue and has the address '123 Main St.' listed.

Category	Type	Name	Address
<b>Category : Benefits (3)</b>			
<b>Category : Leases (19)</b>			
Leases		Boxed Lease Records from 1995	
Leases		Budget for new lease	
Leases		Draft lease for new HQ	
Leases		Things to remember in new lease	
Leases		Presentation on new lease	
Leases		Boxed Lease Records from 2000	
<input checked="" type="checkbox"/> Leases		Building 1 Designs	123 Main St.
Leases		Building 1 Maintenance	123 Main St.
Leases		Building 1 Paperwork	123 Main St.
Leases		Boxed Lease Records from 2005	
Leases		Building 10 lease from 1995	522 First St.
Leases		Boxed Lease Records From 1999	
Leases		Boxed Lease Records from 2003	

# RFID Item Tracking within SharePoint

- » Superior to bar codes, long-distance batch reads with no user involvement
- » Dramatic performance improvements and cost declines in recent years
- » Process efficiency and policy enforcement benefits



“FileTrail is the leader in ‘front-office’ deployments

- Gartner

# Find Missing Files and Streamline Audits

RFID tools on a portable platform



FILETRAIL



**Detect**

Move To ...      Reading RFID

**219876543210ABCD00571273**  
- Found Missing Item -  
191650 - Biggs, Kim  
**219876543210ABCD00571272**

**Request Info for this Item**  
Pending Requests: **1**  
Next Requestor: **Tina Jordan**  
Located at: **Office 2-21**  
Requested On: **3/3/10**

Max

Remove      Stop      Done

File      Help

# Configurable Across Industries

- »» Case File Management
- »» Life Science Document Control
- »» Asset Tracking and Management
- »» Armory and Weapons Tracking
- »» Health Care Chart Tracking
- »» Exhibit / Evidence Management
- »» Loan Document Control
- »» Contract Document Management
- »» Human Resources File Control



# SharePoint's Native PRM Capabilities

Function	SharePoint - Out of the Box	Key Considerations
Representing physical items	Only in list view, not document libraries (MSFT tech note guidance)	Cannot have physical and electronic items in the same view. The shortcoming is that it requires users to make a decision whether they want to search and access physical <b>or</b> electronic items.
Label printing	An electronic label can be generated and inserted into document header	No printing physical labels (i.e. Avery). Enterprise physical RM involves more than just inserting a header in an electronic document - labels are required on numerous physical items: files, folders, notebooks and boxes.
Bar codes	3 of 9 barcode value can be created and inserted into document header	Similar to the above. Also multiple barcode formats are now standard and the ability to work with items that have been previously assigned barcodes is common (i.e. on a storage vendor box). In true physical RM barcoding also automates business processes: check-in/out, transfer, containerize and move.
Shelving/space management	No space management (rudimentary location assignment)	Physical items need to be stored, space management makes RM more efficient and can minimize the facility's cost of records management. This need is universal in all but the smallest file room scenarios.
RFID	No capabilities	RFID is being increasingly adopted (25% of FileTrail clients) to track and enforce policy/compliance over a company's high-value physical items.

# Success Stories

Over 400 Records Management customers with different requirements...



- » Deployed in Commercial Real Estate and Title divisions
- » Record data auto imported from 3<sup>rd</sup>-party application (Siebel)
- » 20+ records coordinators manage the filing area, millions of records
- » Mixed environment: central creation for certain records, distributed for others
- » Automate interaction with 3<sup>rd</sup>-party commercial records center (IM)



- » Largest transaction tax practice in the US and Canada: Chevron, Hershey's, Walmart
- » Use FileTrail in all offices – each with a main fileroom, thousands of users
- » Establish record for each client per practice area, 10,000's of clients, no imaging
- » Automate interaction with 3<sup>rd</sup>-party commercial records center (IM)



- » Deployed as part of Charter's enterprise information management revamp based on the SharePoint 2010 platform
- » Charter leverages their record-type definitions and retention across media
- » Migrate data from an in-house application that inventoried records
- » Automate interaction with 3<sup>rd</sup>-party commercial records center (IM)