

SUMMARY

OnBase Records Management controls the retention of all associated business records securely organized within the OnBase Folders interface. The retention cycle of a folder is triggered by an event (or the passage of time), which ties records management strategies into organizational business processes. The module provides cutoff periods, retention plans and multiple destruction options. OnBase Records Management also offers exception handling as well as an administrative management interface.

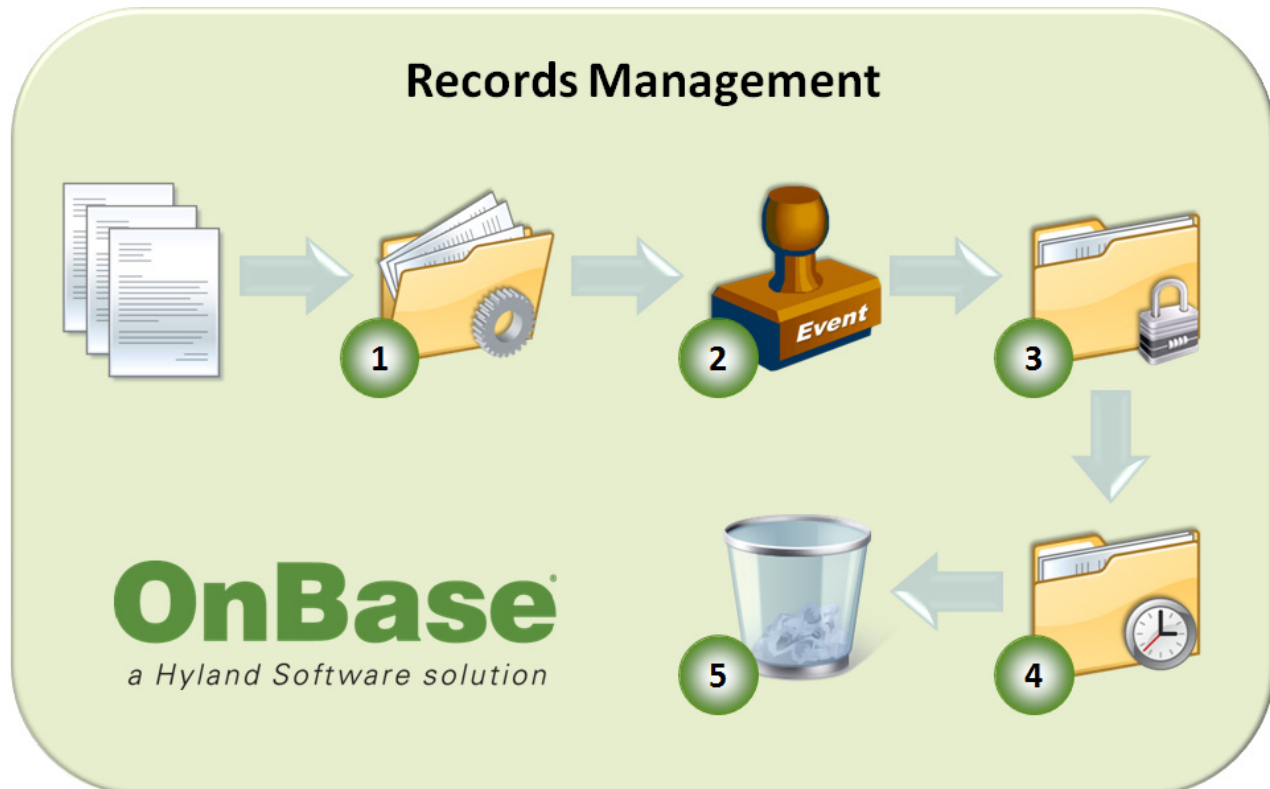
KEY BENEFITS

- **Enables complete life cycle management** from document creation to declaration through final disposition
- **Improves consistency and precision** by managing multiple documents as a single record
- **Automatically declares documents as records** using embedded, rules-based conditions
- **Ensures timely disposal of qualified records** automatically or after required approval
- **Minimizes legal risks** associated with accumulation of expired records
- **Manages all electronic records** within an enterprise OnBase ECM solution

BUSINESS APPLICATION

- **Financial Services:** Lenders can use Records Management to effectively manage all documents associated to a mortgage, installment or commercial loan. Since loans can be closed prior to the end of term, they require event-based retention. Once the loan has been closed, the event will be posted to the managed folder and the retention period will commence.
- **Insurance:** Insurance agencies can use Records Management to efficiently manage all documents associated with an insurance claim. Not only will the agency or broker benefit from event-based retention, they will be able to ensure documents have not been altered since the claim was closed. This is especially significant if the claim would be taken to court. The agency or broker can show that all documents existed at a specific point in time and had not been altered since that point.
- **Back Office Operations:** Human Resources departments can use the module to manage all employee records (job applications, medical records, tax returns, etc.) and policy documents. Regardless of employment length, an organization must retain all employee documentation until they have been separated from the company. Once the employee has left the organization, an event will be posted to the managed folder and the retention period will initiate.

DESIGN



1. Documents, automatically declared as records, are auto-folded into a managed folder that is in **Open Status**.
2. An **Event** occurs on the record (folder) (e.g. employee separated, court case closed).
3. When the event is posted, it moves the folder to **Closed Status**, locking the folder and preventing modification.
4. The folder then transitions to **Cutoff Status**, initiating the **Retention Plan** for the record.
5. At the end of the retention period, the folder, all documents and all metadata are **Purged** from OnBase.

KEY FEATURES

- **Managed folders** are built on the OnBase Folder interface, providing security in an organized structure
- **Auto-folding** automatically adds documents to a folder and declares them as a business record
- **Retention plans** are tied to each managed folder designating the length of retention and final disposition
- **Event sets** define the business events that lock down electronic records and initiate retention
- **Holds** temporarily prevent modification or destruction of records (exclude from final disposition)
- **Administrative view** provides access to all electronic records and the ability to approve final disposition

INTERFACE

Display Folder Disposition Status from Web Client Folder Interface (right-click option)

The screenshot shows the OnBase web client interface in Microsoft Internet Explorer. The main window displays a folder tree on the left and a document viewer on the right. A 'Disposition Status -- Web Page Dialog' is open over the document viewer, showing the following information:

- Folder:** HRR - 5YR Record - MATT JONES - Social Security # 131-41-516
- General:** Folder is not on hold
- Event Set:**
 - * Indicates current status
 - * Open: Close on event (1/1/1964(Awaiting Event))
 - * Closed: Cutoff on event (---)
 - * Cutoff: Purge after 5 years(Requires Approval)

The document viewer shows a 'Form W-4 (2005)' with handwritten entries for 'MATT JONES' and '131-41-516'. The dialog has 'Close' and 'OK' buttons.

Post Event on Folder from Web Client Folder Interface (right-click option)

The screenshot shows the OnBase web client interface in Microsoft Internet Explorer. The main window displays a folder tree on the left and a document viewer on the right. A 'Post Event -- Web Page Dialog' is open over the document viewer, showing the following information:

- Event:** A dropdown menu is open, showing options: 'Hired', 'Re-Hired', 'Retired', and 'Separation'.
- Work Opportunity Credit:** A section with a 'Yes' checkbox and a 'No' checkbox.
- WOTC Apply to you:** A section with a 'Yes' checkbox and a 'No' checkbox.
- Check for you:** A section with a 'Yes' checkbox and a 'No' checkbox.

The document viewer shows a 'Form 8850 Pre-Screening Notice and Certification Request for the Work Opportunity and Waiver-to-Work Credits' with handwritten entries for 'CYNTHIA SIGE' and '171-81-9200'. The dialog has 'OK' and 'Cancel' buttons.