THE Ames Laboratory
Creating Materials & Energy Solutions
U.S. DEPARTMENT OF ENERGY

Quality Issue: Electronic Records Storage of Personnel Files **Date:** 8/21/2013 **Group Lead:** Muncrief

Team Members: Diane Muncrief, Rhonda De Shong, Amy Tehan, Tom Wessels, Lisa Smith (ISU ITS)

Issue Description:

Ames Lab HR maintains approximately 800 active personnel files at a given time and has approximately 300 temporary student and associate appointments turn over during an average year. Records retention for Official Personnel Files (OPF's) is 75 years after date of termination which necessitates a large secure storage area. Paper files are subject to risk of damage or loss, and due to the lengthy retention requirement, some aged documents are not readable.

HR was approached by Tom Wessels about looking at the Kofax scanning system that ISU was implementing. The desire was to have all current employee OPF's converted to electronic records and free up file space in HR.

The ISU Content Management systems is built on IBM Content Manager and the Kofax scanning solution. Kofax is a leading provider of document driven business process automation solutions. The IBM Content Manager is capable of handling multiple types of digitized content across multiple platforms, databases, and applications. Records can be uploaded or scanned in, depending on whether they are in paper form or electronic. In October 2011, ISU had approximately 2 million stored objects. Since then, ISU has implemented many other departments, including Accounts Receivable.

Countermeasures:

Partnered with ISU IT Services to utilize Kofax/Content Management Software implemented at ISU to create and st electronic records. Indexes were established, search criteria defined, and forms were assigned barcodes through t document control process for form recognition. HR purchased software and equipment in the Fall of 2010 to conve to electronic records. Project was implemented in June 2011 starting with the scanning of terminated employee fi Decision was made to scan any employee who terminated in 2010 or before as a single PDF, and any employee wh terminated in 2011 forward would be scanned according to current employee guidelines with forms separated by f parameters.

All new employee files will be scanned and checked through the quality control module. Once exported, the physic destroyed. OPF's for terminated employees will be scanned, then destroyed according the Documents and Record

HR has seen a reduction in paper usage since scanning started. Many documents never get printed, rather are save onto a secure drive on the server, then simply imported into the Content Management System.

OPF's will be retained on the ISU system indefinitely, thus meeting records retention standards. ISU's security and are adequate. Data is backed up in three separate places with the final back up server located off-site.

Goal:

1) Reduce the amount of paper used for employee files; 2) Reduce the amount of space currently being used to store paper OPF's; 3) Mitigate the risk of potential exposure of PII (Personally Identifiable Information) by assuring that files are stored in a safe, secure environment, and are free of risk of loss due to fire, flood, or other natural disasters.

Root Cause Analysis:

Storing paper OPF's in filing cabinets presents a risk of loss of records on multiple levels. Space for storage of records in HR is limited to two Times 2 cabinets. The RHA (Records Holding Area) constructed in the warehouse is the holding area for approximately XXXXX resigned files.

Some documents in old resigned files in the warehouse had deteriorated in quality so much that the original content was not readable. (Prior to the RHA being constructed, and prior to regulations on file storage, old OPF's were simply stored in boxes in the warehouse or in a file area).

Disaster Planning: Individual papers in an OPF are easily misplaced or merged into other papers on desks. These same documents may be damaged or destroyed by liquids begin spilled onto a desk. There is also the inherit risk of fire or other structural damage that may result in destruction of paper OPF's.

Implementation:

Item #:	Description	Who
1	Established indexes and search criteria	Diane, Rhonda, Lisa
2	Purchased Kofax/VRS License and scanning equipment	Tom Wessels
3	Testing of Kofax on Ames Lab domain machines	Lisa, Amy, Rhonda
4	Testing of indexes, scanning parameters, recognition software	Lisa, Amy, Rhonda
5	HR begins scanning resigned files	Rhonda
6	HR begins scanning of current employee files	Rhonda
7	HR defines and writes official procedure for Electronic Records	Rhonda
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When
6/22/2010
9/1/2010
12/16/2010
2/28/2011
6/3/2011
9/13/2011
10/1/2011