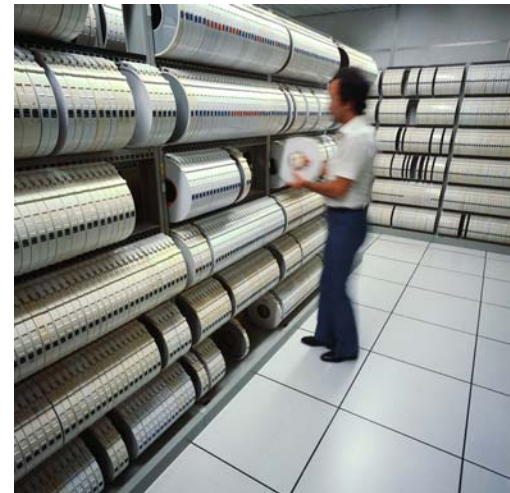
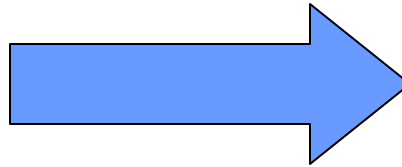


NO MORE PAPER, PLEASE –
WORKING EFFECTIVELY WITH
ELECTRONIC IMAGES



Federal Government “STILL” Runs on Paper

- Are you surprised?
- What about all of the information available on the web?
- Haven't we converted most of our paper transactions to electronic transactions?

A few fun facts . . .

- Federal courts utilize over 36,000 paper based forms across the 50 states
- In conducting random searches across 7 different federal agencies, 451 different forms are in use today
- If we counted all of the forms in use across the federal government, it would number into the thousands (excluding DOD)
- Many (most) of these forms are available to be downloaded and/or “fillable” from the web
- However . . . they must be printed out and sent to the designated location for processing
- In some limited cases, information can be submitted over the web . . . this trend is growing slowly
- These transactions generally contain information and required supporting documentation (most do not include monetary transactions)



What happens when the paper reaches your agency?

- Documents are sent to a designated post office box
- Mailroom processing (either insourced or outsourced) occurs where envelopes are slitted and contents removed
- Each form represents a separate transaction
- Transactions are routed to appropriate department for action, adjudication
- Is the paper physically distributed?
- How many steps involved in the workflow from initial transaction receipt to final disposition
- Over what period of time?
- How many people need to touch the paper? How many copies are made of “originals”
- Is the information on the form(s) captured via data entry into an agency database?



How Can We Keep Up?

- Despite the focus on evolving from paper to electronic transactions, we continue to be “besieged” by paper . . . and likely will for some time to come
- So . . . how can the paper be managed more efficiently improving:
 - Time to process/adjudicate
 - Cost to process/adjudicate
 - Required time for staff to manage “exceptions”



Moving to an electronic world . . .

- There is not a “magic wand” that will make the paper go away, but . . .
- There are alternatives available to help you convert the paper transaction to an electronic transaction upon receipt
- Document scanning, data capture, archival and retrieval solutions are available and work effectively within government today

How Does the Electronic Process Work?

- Envelopes are received in a “mailroom” and contents extracted
- Paper (including envelopes) are scanned using a high speed scanner
- Key information fields are captured via “software capture engines” and/or data keyed (automated capture continues to improve -- >90% capture of typewritten information; >55% capture on handwritten information)
- Data is transmitted to your designated agency database
- Documents (along with key information fields) are sent to a document archive available for retrieval by your authorized staff members



Form or Document Capture

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: <input type="checkbox"/> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED March 24, 2006	Applicant Identifier
<input type="checkbox"/> Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier
5. APPLICANT INFORMATION Legal Name:		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
Organizational Unit:		Name and telephone number of person to be contacted on matters involving this application (give area code):	
Address (give city, county, State, and zip code):		6. EMPLOYER IDENTIFICATION NUMBER (EIN):	
Automated capture of information		7. TYPE OF APPLICANT: (enter appropriate letter in box)	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____	
9. NAME OF FEDERAL AGENCY:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:		12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):	
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date: _____ End Date: _____		Start Date: _____ End Date: _____	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ _____	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ _____	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
c. State	\$ _____	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
d. Local	\$ _____		
e. Other	\$ _____		
f. Program Income	\$ _____		
g. TOTAL	\$ _____		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative	b. Title	c. Telephone Number	
d. Signature of Authorized Representative			e. Date Signed

All related information housed in electronic folder

Reduced data entry error

Identify specific fields to be captured

Form design is important

Structured vs. unstructured input is better

Standard Form 180 (Rev. 05-84) (Page 1)
 Prescribed by NARA (16 CFR 1220.160(a))

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 Previous editions obsolete

DMD No. 1005-0019 Expires 03/31/2001

To ensure the best possible service, please thoroughly review the accompanying instructions before filling out this form. Please print clearly or type. If you need more space, use plain paper.

REQUEST PERTAINING TO MILITARY RECORDS

NEEDED TO LOCATE RECORDS (Furnish as much as possible.)

1. NAME USED DURING SERVICE (last, first, and middle)
 Thomas, Brian

2. SOCIAL SECURITY NUMBER
 585-85-8585

3. DATE OF BIRTH
 01-08-73

4. PLACE OF BIRTH
 Chicago

5. SERVICE, PAST AND PRESENT (For as long as you can remember, list all service to be shown below.)

a. ACTIVE SERVICE	b. RESERVE SERVICE		c. NATIONAL GUARD	
	BRANCH OF SERVICE	DATES OF SERVICE	OFFICER	ENLISTED
Navy	07-07-90	05-15-03	✓	Unknown
Army	08-01-93	08-27-96		✓ Unknown
Army	07-01-91	07-25-93		✓ Unknown

6. IS THIS PERSON DECEASED? If "YES" enter the date of death.
 NO YES

7. IS (WAS) THIS PERSON RETIRED FROM MILITARY SERVICE?
 NO YES

SECTION II - INFORMATION AND/OR DOCUMENTS REQUESTED

1. REPORT OF SEPARATION (DD Form 214 or equivalent). This contains information normally needed to verify military service. A copy may be sent to the veteran, the deceased veteran's next of kin, or other persons or organizations if authorized in Section III, below. NOTE: If more than one period of service was performed, even in the same branch, there may be more than one Report of Separation. The name to show EACH year that a Report of Separation was issued, for which you need a copy.

An UNDELETED Report of Separation is requested for the year(s) 1996 & 2003

A DELETED Report of Separation is requested for the year(s)

2. OTHER INFORMATION AND/OR DOCUMENTS REQUESTED

3. PURPOSE (Optional - An explanation of the purpose of the request is strictly voluntary. Such information may help the agency answering this request to provide the best possible response and will in no way be used to make a decision to deny the request.)

SECTION III - RETURN ADDRESS AND SIGNATURE

1. REQUESTER IS:
 Military service member or veteran identified in Section I, above
 Next of kin of deceased veteran (relative)
 Legal guardian (must submit copy of court appointment)
 Other (specify)

2. SEND INFORMATION/DOCUMENTS TO:
 Name: Mary Thomas
 Street: 243 Munster St
 City: Chicago IL 62104
 State: IL Zip Code: 62104

3. AUTHORIZATION SIGNATURE REQUIRED (See Item 2 on accompanying instructions.) I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the information in this Section III is true and correct.
 Signature of requester (Please do not print): Mary Thomas
 Date of this report: 2-9-05
 Daytime phone: 773-356-7272
 Email address: thomas-m@msn.com

and_sov_00a.pdf on the National Archives and Records Administration (NARA) web site.**

Why is this more efficient?

- At the point of receipt, the paper is scanned into an image (and data)
- The paper can then be temporarily stored or destroyed
- Staff members work only from image
- All transaction information is kept together
- Electronic folders are created for each discrete “master transaction” such as patent application which may involve multiple document submissions over a period of time
- Any number of authorized users can retrieve the same image at the same time and be located anywhere (access via secure network connection)



What are some tangible benefits?

- If you are answering incoming inquiries, all documents pertaining to that inquiry are available to the authorized requestor within seconds
- Inquiries can be resolved during “first” call vs. multiple call backs
- High level of assurance all materials will be available and “filed” correctly (staff members will not be searching for the “missing document”)
- Avoid redundant data entry (information typed into different agency applications and/or spreadsheets)
- Minimize “exceptions” caused by human error
- Contribute to the “green” movement



What if



- How would you function if . . .
 - There was a flood and your building was impacted?
 - There was a fire and you couldn't access your floor/your files?
 - A breakout of pandemic flu occurred and you had to “work from home”
 - Your documents were permanently destroyed due to water/smoke/fire destruction
- It is important to think about the criticality of access to your current paper based information and how you might cope if you couldn't access your files for a few hours, a day, a week, a month
- Secure, web-based access to image archival is an alternative to consider to mitigate this risk

What are key considerations?

- Are you willing to spend time to “decompose” your current processes/workflows with an eye toward eliminating possible redundancies?
- Does your agency have a preference for insourced vs. outsourced solutions of this type?
- Can a compelling business case be created to enable you to justify and move forward with this type of initiative?

Outsourcing vs. Insourcing Considerations

Outsourcing

- No capital expenditure required
- Flexible staffing models
- Service provider bears cost of infrastructure
- Service provider responsible for business continuity and disaster recovery
- Service provider responsible for technology refreshes
- Agency focuses on core mission
- Agency pays only for services used
- All “images/information/data” owned by agency
- Provides capacity/scaleability at no incremental cost to agency
- Service provider plans capacity to meet service level agreement metrics during peak periods

Insourcing

- Agency maintains complete control over all aspects of program
- Agency and/or contractor staff responsible for implementation, ongoing production and maintenance
- Large capital budget item must be budgeted and approved
- Staffing resources must be planned for and deployed for peak as well as non-peak periods
- Enhancements and capacity upgrades must be planned and budgeted
- Agency must plan for, budget and test disaster recovery/business continuity systems and associated infrastructure



Summary

- There are proven programs in use in federal government agencies today that have demonstrated significant benefit by implementing “document management” solutions
- We may experience a foreseeable future that is “paper free” – all of the tools, solutions and knowledge are available
- All of your stakeholders (internal and external) will appreciate the benefits

