



Successfully Implementing RIM: A Multi-Year Plan

**Presentation to 2010 ARMA Canada Conference
London, Ontario
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*Session T14***

Session Description

An overview of a multi-year implementation with a focus on lessons learned:

- Different approaches to implementation.
- Specific strategies for working collaboratively with business areas.
- Making your classification scheme and retention schedule and RIM-specific business processes more user friendly.

Learning Objectives

At the end of the session, you will be able to:

- Assess feedback from stakeholders/records survey and develop an action plan for RIM implementation.
- Identify opportunities and techniques for building collaboration with a business area.
- Identify how persuasion and negotiation play a role in marketing a RIM program.
- Identify key components in a change management plan to ensure that all systems/processes support RIM.
- Identify key features of a user friendly and functional classification scheme and retention schedule.

OMERS Administration Corporation

- ❑ OMERS Administration Corporation is the administrator of the Ontario Municipal Employees Retirement System.

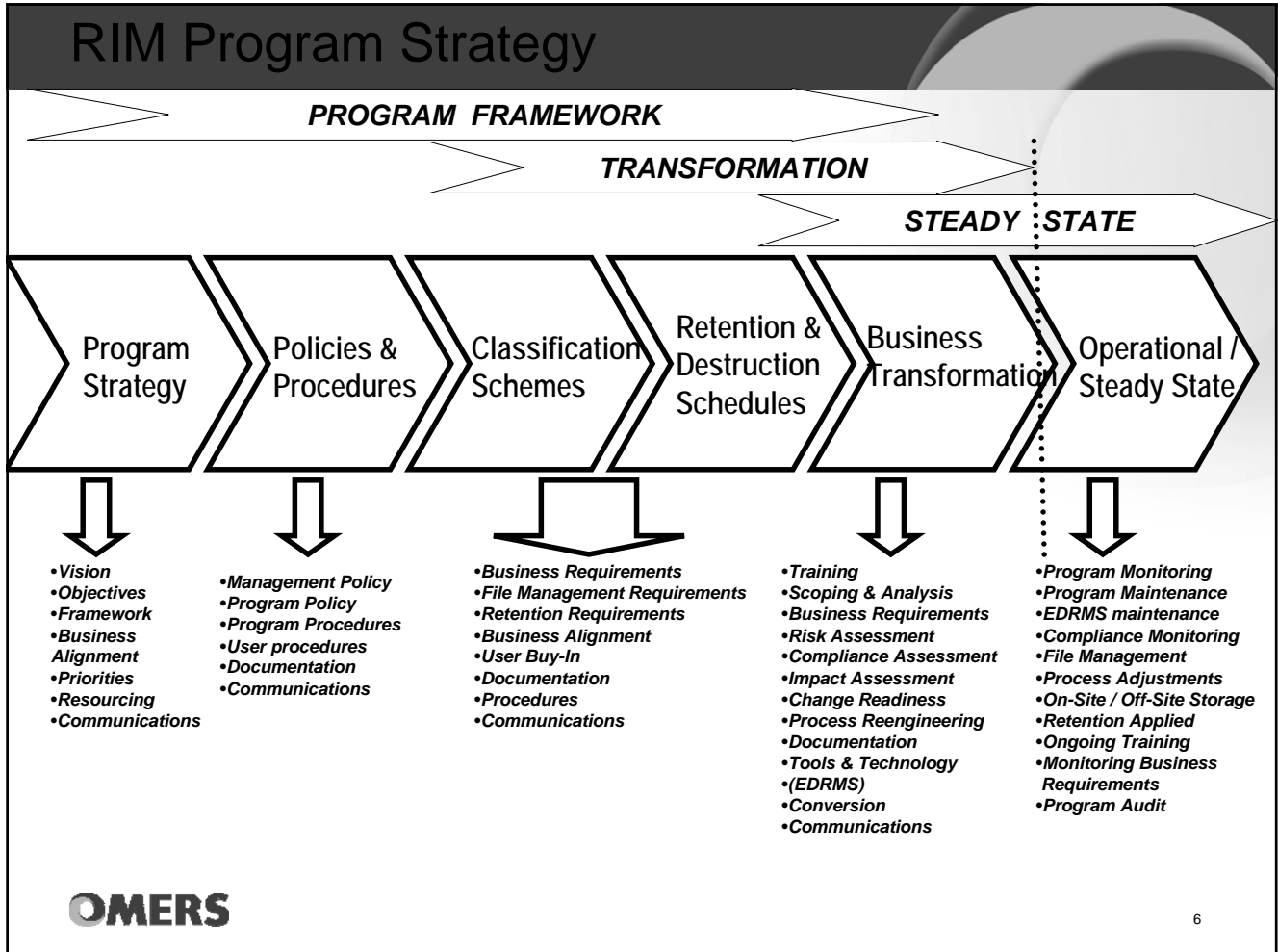
- ❑ OMERS Primary Plan is:
 - Jointly-sponsored pension plan with a long tradition of strong employer/member governance.
 - Large multi-employer defined benefit plan with a highly diversified membership of more than 400,000 members from over 920 employers across Ontario.
 - Large pension fund investor pursuing a global investment mandate.
 - One of the top-performing pension plans in Canada.

OMERS

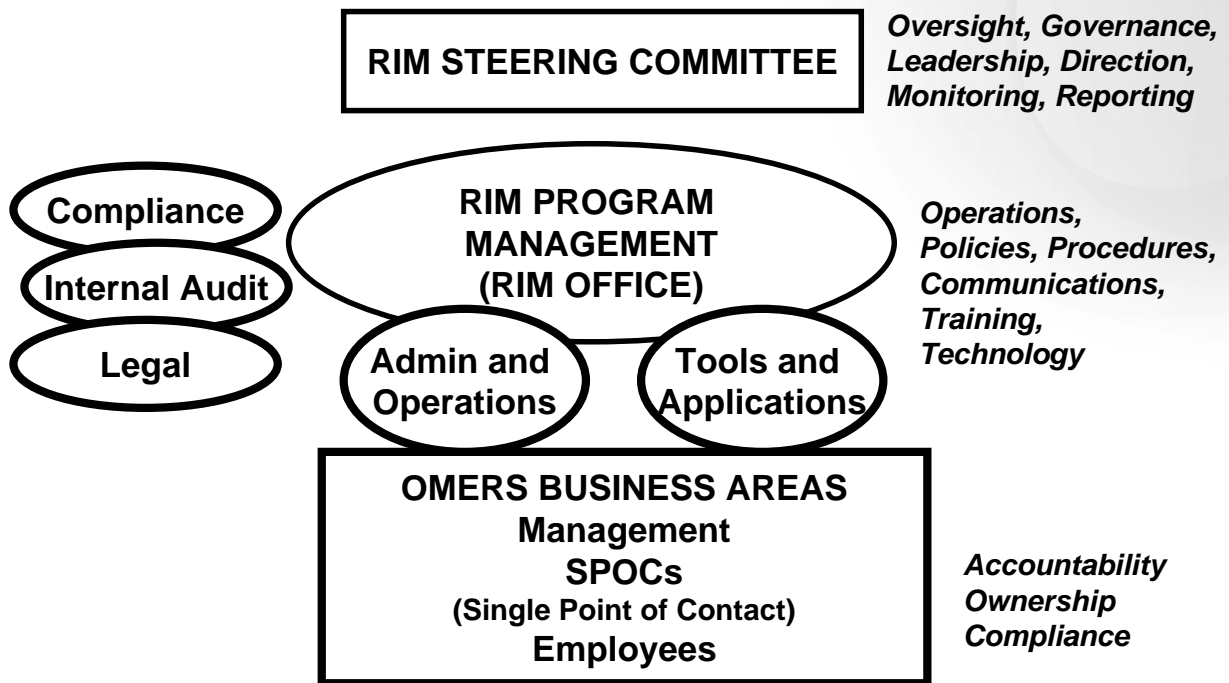
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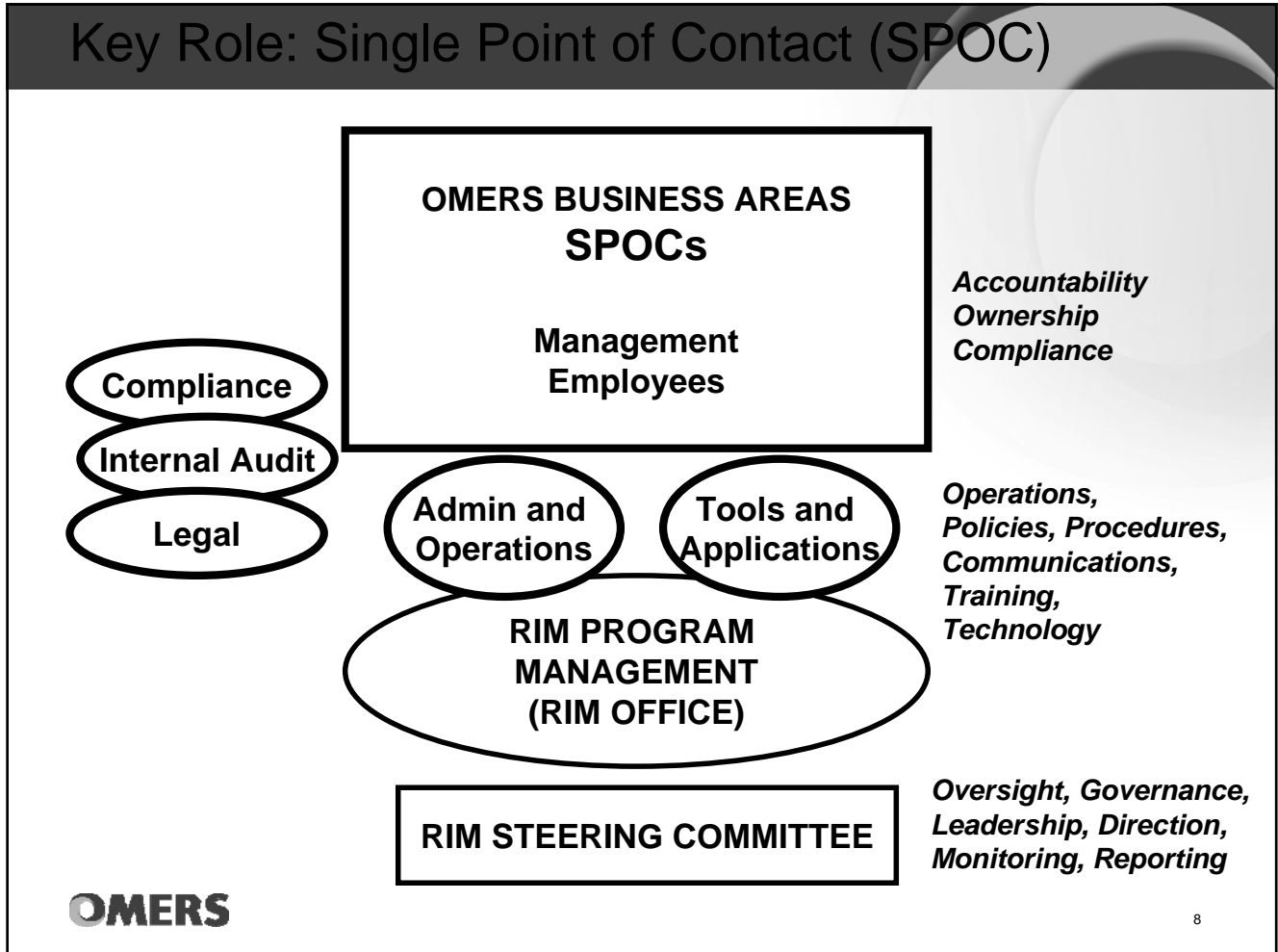
OMERS RIM Program

- Provides the standards for classification, retention and disposition of OMERS records.
- Provides the framework for managing the lifecycle of OMERS records, regardless of media format.
- Applies to all records OMERS receives or generates.



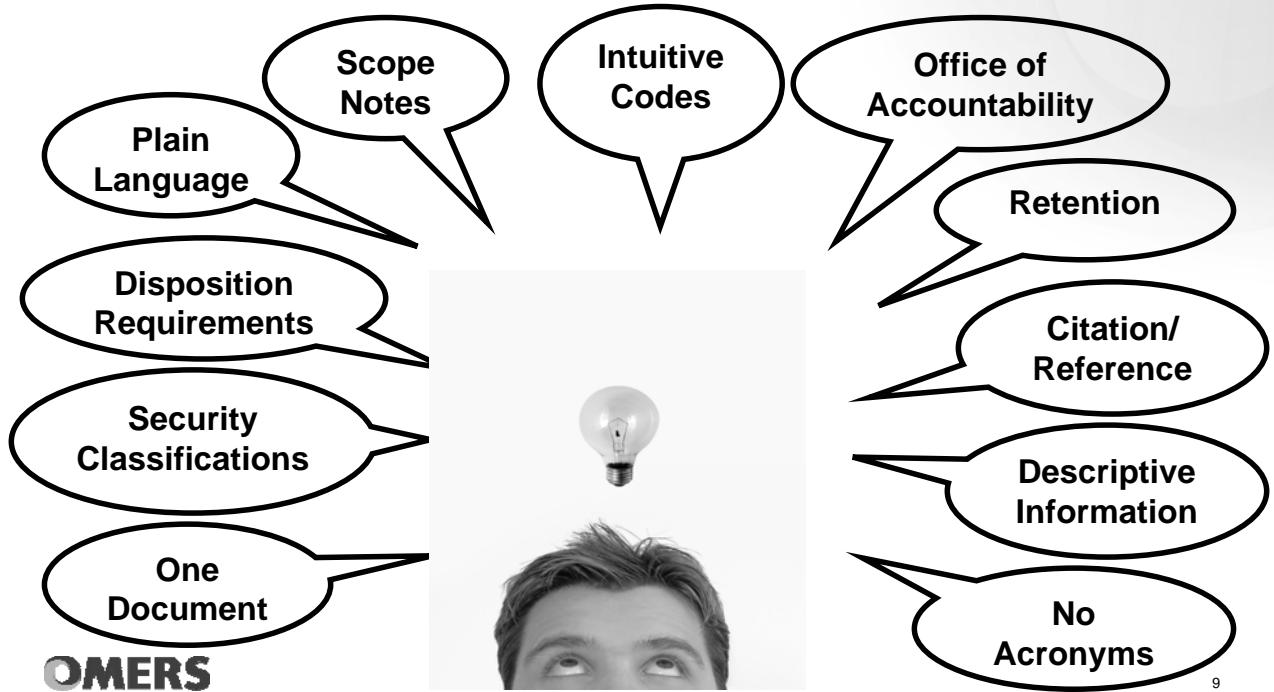
Roles and Responsibilities





Classification Scheme and Retention Schedule

- ❑ Functional and user-friendly classification scheme and retention schedule is key to success.



The Multi-Year Implementation Plan

Approach to the Plan

Corporate business areas first

Administration
Financial Services
Corporate Communications
Internal Audit
Information Technology
Stakeholder Relations
Legal
Board/Governance
Executive Offices
Human Resources
Payroll

Pension/Investment areas next

Pension and Actuarial Services

Pension Operations

Investments Operations and Applications

OMERS Capital Markets



The Multi-Year Implementation Plan (cont'd)

Lessons Learned

- Expect the unexpected.
- Implementation takes longer than expected.
- Plans affected by re-organizations, office moves, new and old lines of business (e.g., transfer ins and outs, orphan records) and changes to related work plans (e.g., Information Technology).
- Lead corporate collection projects.
- Plan areas for implementation based on movement of records and offices within an area from the bottom up.



Approach to Implementation

RIM Office leads the implementation of RIM in the business areas

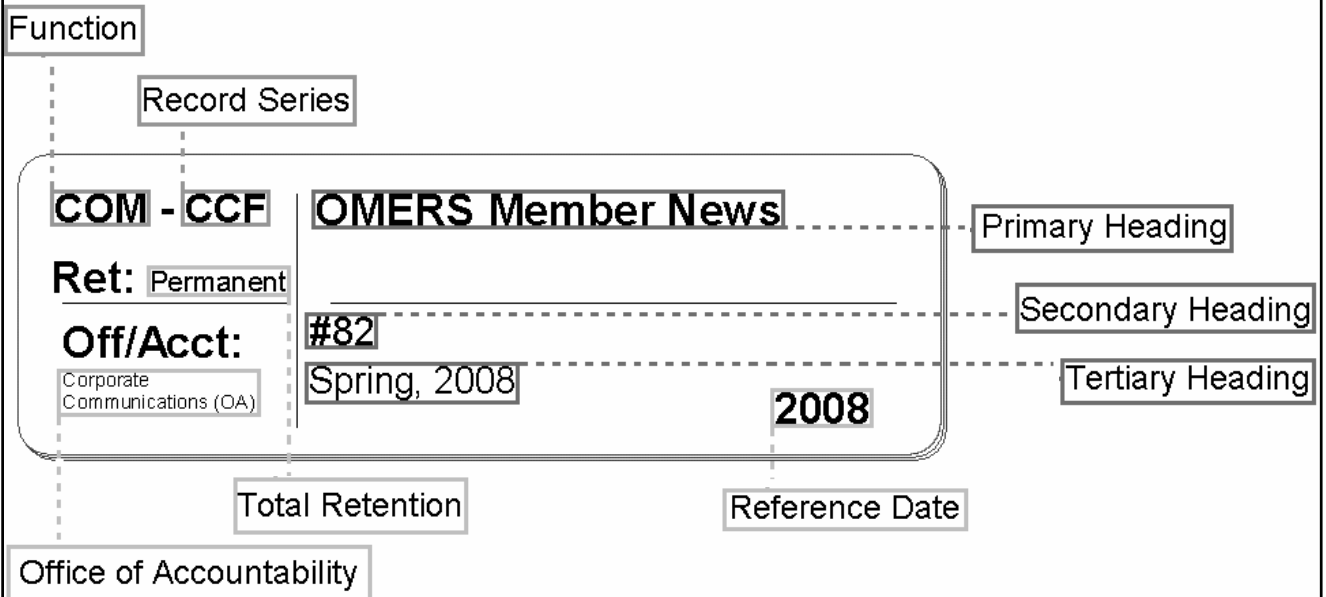
- Works in partnership with SPOC and business area.
- Assigns RIM Office resources.
- Leads kick-off meeting including records survey.
- Completes project plan.
- Supports records clean-up, as required.

Approach to Implementation (cont'd)

- Conducts inventory of records.
- Classifies records (including revising existing or adding new record series, as required).
- Validates results with business (active records, records for transfer to off-site, records for formal destruction process, non-records for shredding).
- Labels files and hands-off finalized inventory, which becomes *Active File Listing(s)* (A listing of all active paper records for which a business area is responsible).

Approach to Implementation (cont'd)

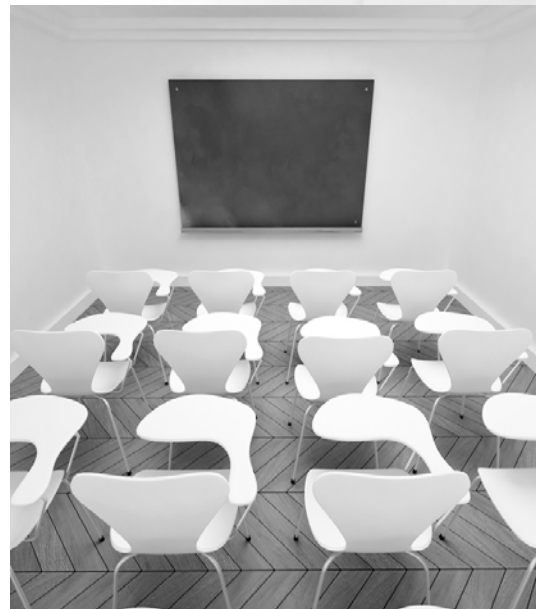
Standardized Label



Approach to Implementation (cont'd)

Lessons Learned

- Manage the change.
- Maintain a presence - “out of sight, out of mind”.
- Decide follow-up approach that works best for the business area.
- Acknowledge and reward the work done.
- Our “hostess gift” – a label printer for printing RIM standardized labels.



RIM Program Training

- Provided by RIM Office to OMERS employees and others from entities and management groups.

- Provided when RIM is implemented in the business area and to new employees who join a business area already in RIM “steady state”.

RIM Program Training

Lessons Learned

- Employees need general RIM training – to understand RIM concepts and roles and responsibilities.
- SPOCs require specialized, hands-on training – annual workshops and one-on-ones, when required.
- Have fun – lunch and a movie!



RIM Program Manual

- Provides operational procedures and related tools to assist users in supporting the ongoing management and administration of the RIM Program.
- SPOC has hard copy for business area staff to use and is also available on OMERS intranet site.
- Includes standard forms and templates.

Managing RIM Steady State

Annual Retention and Destruction Process

- Review of records for the purpose of applying the retention schedule:
 - Identify inactive records for destruction or transfer to off-site storage
 - Dispose of non-records such as convenience copies, transitory and other non-record material.
- Records that have reached the end of their total retention period must either be destroyed or maintained for their archival value, as set out in the retention schedule.
- Process takes place annually in all steady state business areas. April is the month designated for process to be completed.

Managing RIM Steady State

Annual Retention and Destruction Process

Lessons Learned

Year 1 - We told them how to do it.

- Little cooperation, high error rate, too much time following-up, missed deadlines.

Year 2 - We showed them how to do it.

- Improved but still mediocre results.

Year 3 - We did it with them!

- Full participation, deadlines met, positive response about approach from clients.



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Managing RIM Steady State

RIM Health Checks

- Assists business area in identifying the key requirements for success in managing their records following RIM implementation, consistent with the requirements of the RIM program.
- RIM Office meets with business area to complete RIM Health Check.
- Includes action plan(s) where additional work by either business area or RIM Office is required.

Managing RIM Steady State

RIM Health Checks

Lessons Learned

Year 1 – One RIM Health Check after implementation.

- Not enough. More ongoing support required.

Year 2 – Health Check every 6 months.

- Too often for those doing well.

Year 3 – After initial check, check in annually.

- Just right!



Managing RIM Steady State

Lessons Learned

- Recognize opportunities for continuous improvement.
- Review RIM concepts when business areas need support.
- Communicate your key message of partnership and team work.



Marketing RIM

- Create RIM-related products – News Stories on company intranet, RIM Calendar, Move Checklist.
- Join work groups, project teams and work with other organizations.
- Talk about your program...and get others talking too!
- Look for creative ways to continue to build and maintain a positive reputation in your organization.

Case Study: Varied Approach to Implementation

Challenges in Pension Policy area

- Volume of records (1600+ files) in various locations.
- Dated system of cataloguing.
- Most files comprised of mixed content for classification purposes.
- Privacy issues – some files contained personal information more appropriately kept in pensioner, member or employer files.
- High volume of convenience copies and drafts.

Case Study: Varied Approach to Implementation

Varied Approach

- 5 two-person teams comprised of one policy analyst and one RIM Office representative per team were established.
- Each policy analyst assigned areas of subject matter expertise.
- Each team met one day a week to review files related to subject matter expertise of policy analyst - to separate mixed content, re-name files, create new ones, shred extra convenience copies and transfer records to other departments, where appropriate.
- All new records added to existing record inventories and classified consistent with OMERS Classification and Retention Schedule.

Case Study: Varied Approach to Implementation

Results

- ❑ 25 file drawers reduced to 10 file drawers.
- ❑ 140 legal opinions transferred to Legal area.
- ❑ 4 file boxes of actuarial-related records transferred to Actuarial Services.
- ❑ 6 file boxes of member, pensioner and employer documentation transferred to Pension Operations.
- ❑ High volume (approximately 60 file boxes/72 cubic feet) of convenience copies shredded along the way.
- ❑ 10 file boxes of inactive appeal records transferred to off-site storage.
- ❑ Almost 400 official records were formally destroyed, having reached the end of the retention period.

Case Study: Varied Approach to Implementation

Post-implementation quote from a Pension Policy Analyst:

“The challenge of locating records has moved from, well.... a pre-Dewey decimal to a search-easy find and sometimes destroy transformation. Conceptually since our records included massive historical background/copies, it mathematically dragged the average efficiency year for the period 1965-2009 to 1987 levels. It seems apropos that the year pensions reformed is the benchmark from which Pension Policy has reformed its records into 2009.”

Case Study: Varied Approach to Implementation

Post-implementation quote from our Chief Pension Officer (CPO):

“ A key 2009 initiative for the OMERS Pension Group is the integration of RIM into all areas of the pension operation. I would like to recognize the Pension Policy and RIM Office staff for their support and commitment in completing this phase of the project.”

Wrap Up

- Your Comments or Questions?

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