



*Establishing a
Framework for
Electronic Records
Management
Program*

Electronic Records Management Conference, Utah State Archives

Managing Electronic Records.

From Ideas to Action.

A red triangle graphic is located in the bottom right corner of the slide.

Information Comes From:



29 Years of Experience – School of Hard Knocks



Project Manager for ECM Implementation – Lessons Learned



*Certified Records Manager (CRM)
Certified Business Analyst (PMI-PBA)*



Research for this Event

Agenda.



Terminology



Organization Needs



Solution Framework – Game Plan



Best Practices – Reference Material



Questions



Terminology



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Questions

Terminology.

□ EDMS

- EDMS = Electronic Document Management System
 - Electronic and Paper documents
 - Capture, Organize, Store, Search, Retrieve
- EDMS = Enterprise Document Management System

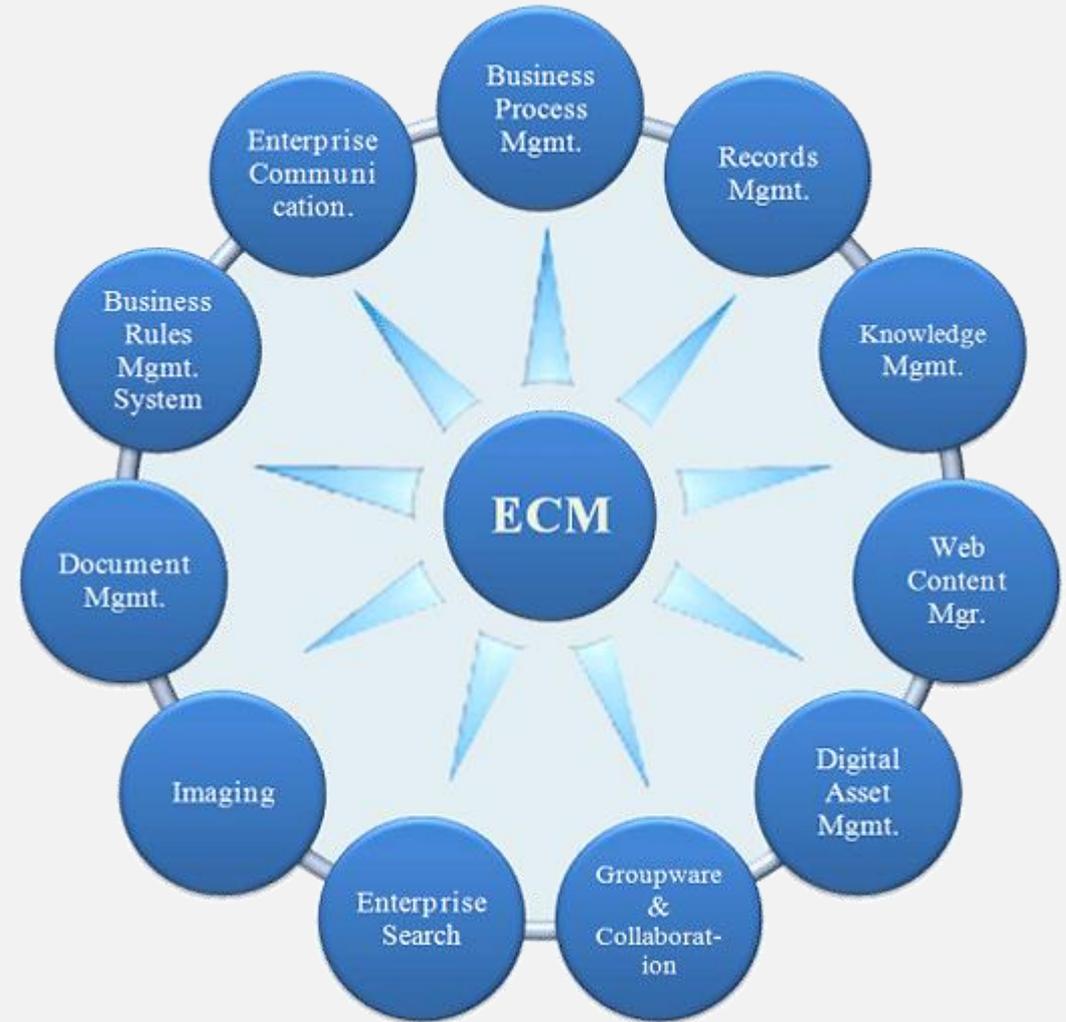
□ ERMS

- ERMS = Electronic Records Management System
 - Regardless of format
 - EDMS plus . . .
 - Disposition
- ERMS = Electronic Resources Management System
- ERMS = Email Response Management System

Terminology.

□ ECM

- ECM = Enterprise Content Management
 - *Successor to EDMS, ERMS*
 - *Manage content related to organizational processes*
 - *Workflow, E-mail notifications, Integration with other IT systems*
- ECM = Electronic Content Management



Recommendation.

Focus on a *solution* that meets the *needs* of your organization, not on a specific type of system.



Terminology



Organization Needs



Solution Framework – Game Plan



Best Practices – Reference Material



Questions

Organization Needs.

□ IT Issues for Government Entities

- Improved Constituency Access
- Centralized Repositories, not Silos
- Integrate Systems, Data, Documents
- Single, Secure, Scalable Platforms
- Departmental Solutions with Enterprise Vision

Organization Needs.

Your Organization Needs

- Mission Statement or Charter

- Audit Findings

- Studies or Reviews

- Collaboration with other Departments/Groups

Mission Statement or Charter.

Finance Department Objectives

“Implement new technology to increase efficiency and effectiveness, and provide better information in a more timely manner.”

Source: [City of St. George](#), 2014.

Identifying Needs – The Approach.



Where does it Hurt?

Possible Needs.

- Repetitive Manual Processes
- Paper Forms and Manual Approvals
- Lost Documents, Removing Hardcopies from Office
- Forms or Reports Generated from Remote Sites
- Need to Share Information Between Systems/Departments
- Information Stored in Many Different Places

Observation.



Proposing an *Enterprise*
solution requires...

Collaboration.



Terminology



Organization Needs



Solution Framework – Game Plan



Best Practices – Reference Material



Questions

Solution Framework – Game Plan.

□ Identify Stakeholders

- Stakeholder = anyone who **perceives** they may be affected by a decision, activity, or outcome of a project or program.
-

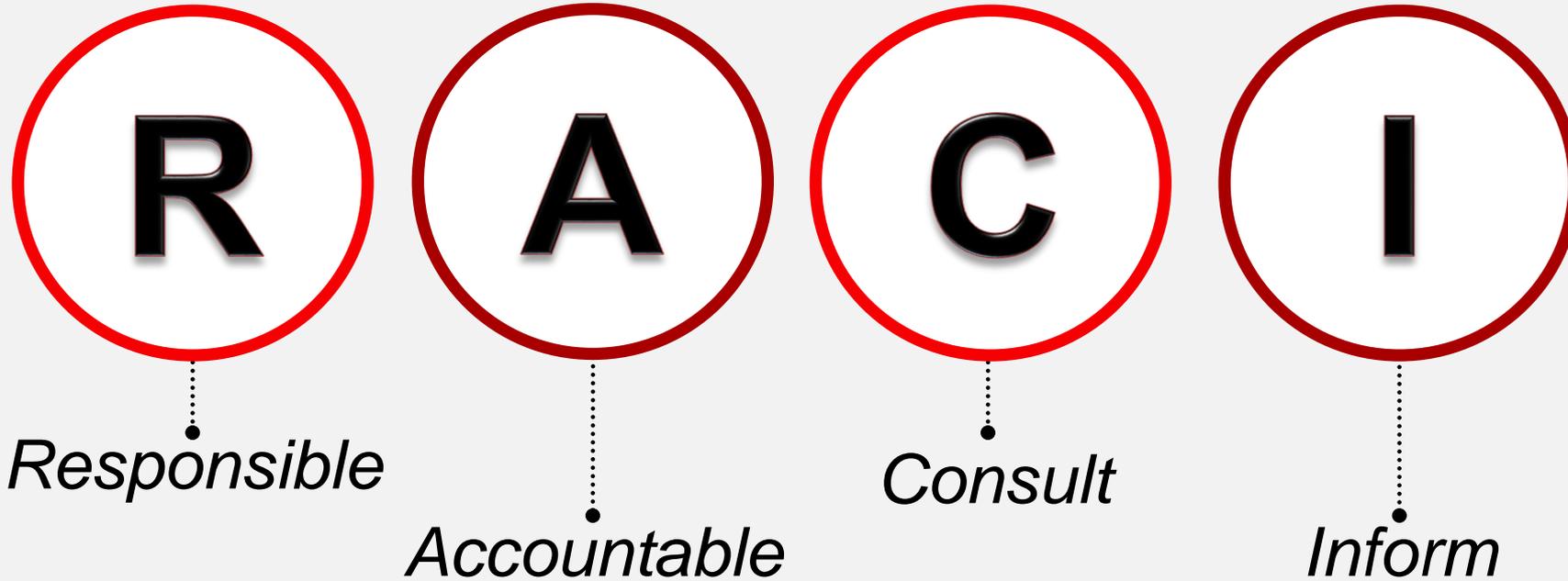
- *Executive Sponsor*

- *Decision Maker with Approval Authority*

- *Department Representative(s)*

- *Subject Matter Experts (SME)*

Stakeholder Roles = RACI



Stakeholder RACI Matrix - Example

Stakeholder	Responsible	Accountable	Consult	Inform
Chief Administrative Officer		Y		Y
Records Officer	Y		Y	Y
Jane Smith	Y		Y	Y
Lucy Viola				Y
Amy Kafusi	Y		Y	Y
Pete Young			Y	Y
Jon Do				Y

Solution Framework – Game Plan.

□ Know Your Current Business.

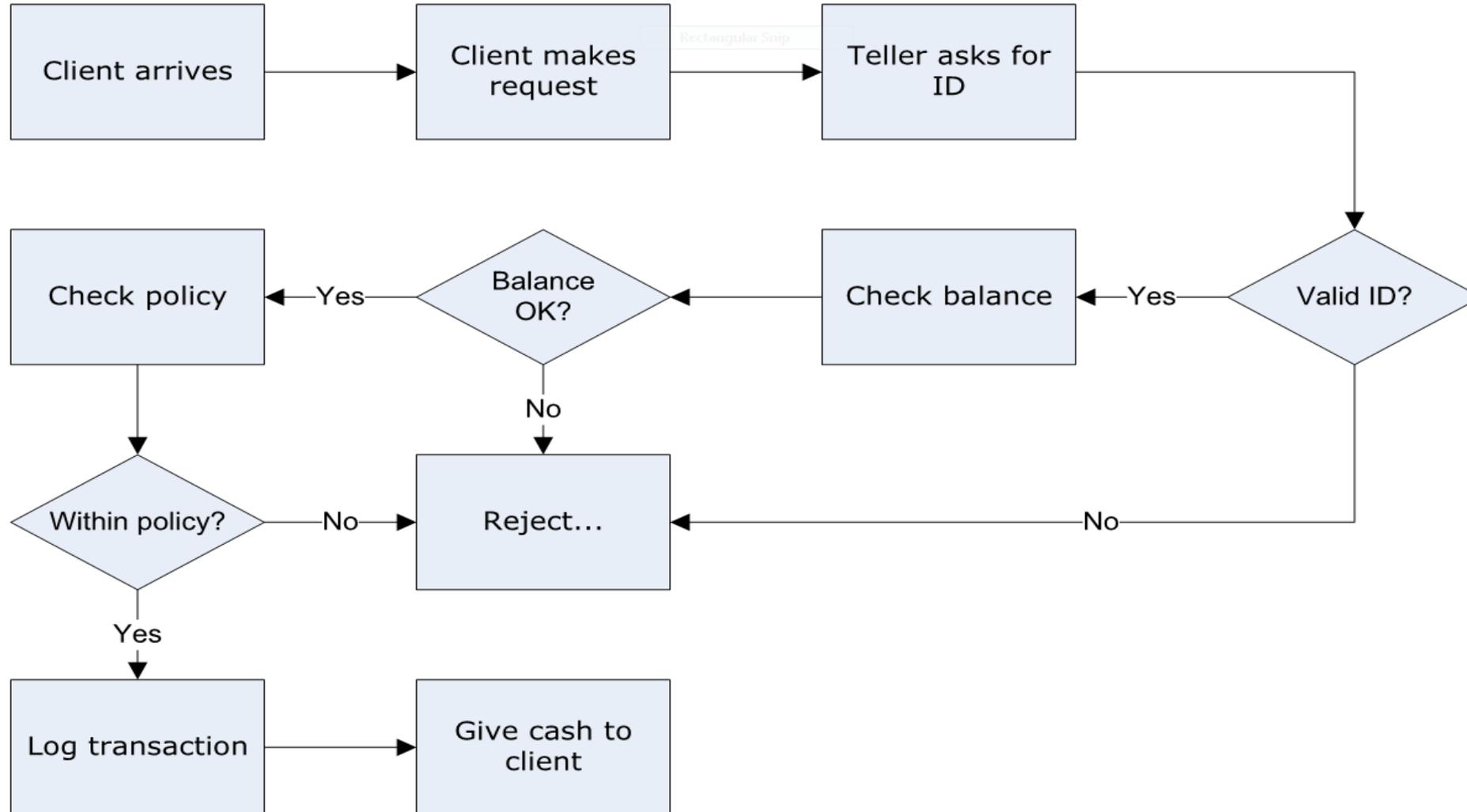
-
- *Review and Update Current Procedures*

 - *Review and Update Current Policies*

 - *Document Process Flow*

 - *Document Needs (Requirements Matrix)*

Process Flow - Example



Requirements Document.

Requirement Number	Requirement Description
1	Establish a common document repository with structure and hierarchy for addition of future information.
2	Access to the system for 25 users.
3	Provide single sign-on access thru Active Directory.
4	Ability to access information through a web browser.
5	Ability to access the system from remote locations and mobile devices including iPhone, iPad, Android devices. Display of images on these mobile devices.

Solution Framework – Game Plan.

□ Develop Evaluation Criteria.

- *Expand Requirements Document*

- *Add columns for Solutions (Y/N)*
-

- *Use Weighted Ranking Matrix*
-

Evaluation Requirements – Part I.

Requirement Number	Requirement Description	Solution A	Solution B	Solution C
1	Establish a common document repository with structure and hierarchy for addition for future information.			
2	Access to ECM system for 25 users.			
3	Provide single sign-on access thru Active Directory.			
4	Ability to access information through a web browser.			
5	Ability to access the ECM system from remote locations and mobile devices including iPhone, iPad, Android devices. Display of images on these mobile devices.			

Evaluation Requirements – Part II.

Requirement Number	Requirement Description	Importance	Solution A	Score A	Solution B	Score B
1	Establish a common document repository with structure and hierarchy for addition for future information.	5		0		0
2	Access to ECM system for 25 users.			0		0
3	Provide single sign-on access thru Active Directory.	3		0		0
4	Ability to access information through a web browser.			0		0
5	Ability to access the ECM system from remote locations and mobile devices including iPhone, iPad, Android devices. Display of images on these mobile devices.	2		0		0
Total Score				0		0

Solution Framework – Game Plan.

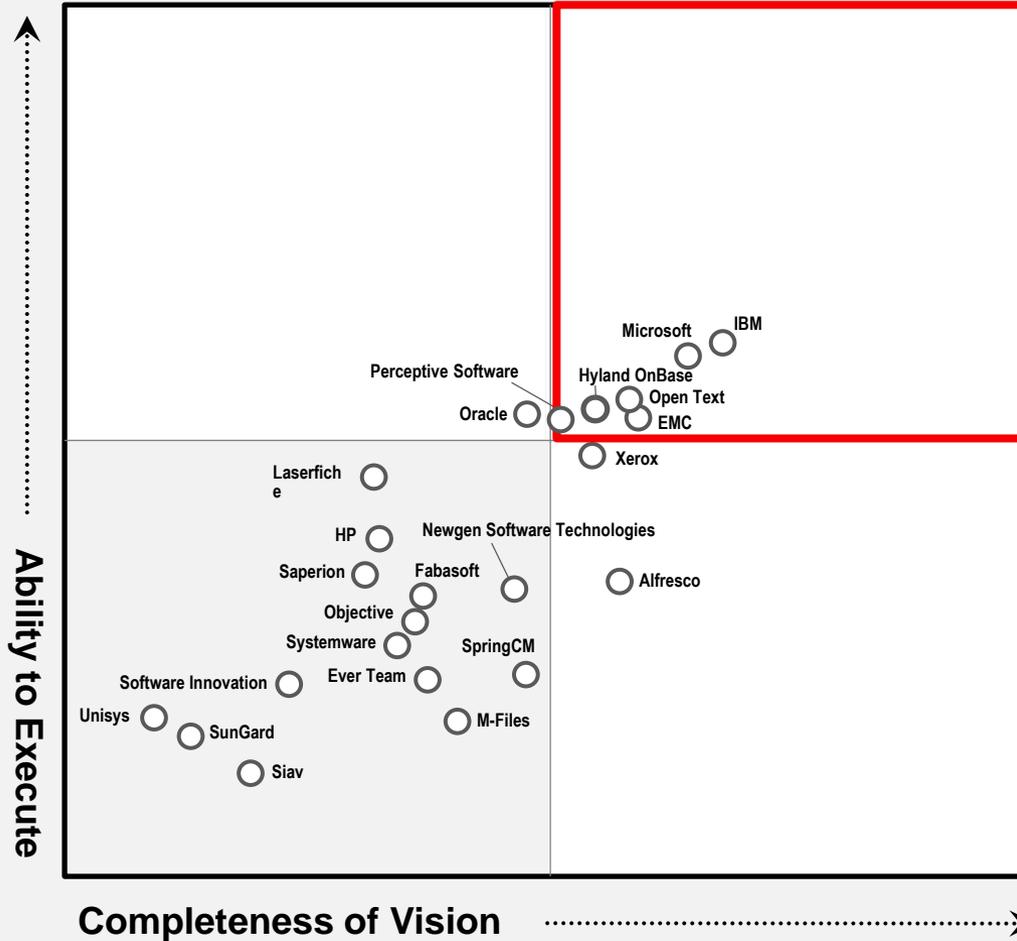
□ Research Available Options.

-
- Gartner Magic Quadrant for Enterprise Content Management
-
- Collaborate – what are other Cities and Counties doing?
-
- Vendor Demonstrations – Based upon Requirements
-
- Reference Sites
-
- Site Visit
-

Solution Framework – Game Plan.

❑ Research Available Options.

Figure 1: Magic Quadrant for Enterprise Content Management



Vendor Requirements.

Requirement Number	Requirement Description	Importance	Vendor A	Score A	Vendor B	Score B
1	Vendor was on time to meetings and appointments. Promised materials were delivered within the agreed timeframe.	5		0		0
2	Vendor provided reference sites. Sites had positive report of vendor performance.			0		0
3	Vendor provided clear and consistent information, follow-up was timely and responsive to issues identified.	3		0		0
4	Vendor communications were accurate and in a professional tone.			0		0
5	Vendor representatives were friendly, easy to approach, listened attentively, asked for clarification when needed.	2		0		0
Total Score				0		0

Solution Framework – Game Plan.

□ Recommend Most Viable Option.

- *Based upon Requirements and Evaluation Criteria*

Requirement Number	Requirement Description	Importance	Solution A	Score A	Solution B	Score B
1	Establish a common document repository with structure and hierarchy for addition for future information.	5	2	10	3	15
2	Access to system for 25 users.		2	2	3	3
3	Provide single sign-on access thru Active Directory.	3	5	15	2	6
4	Ability to access information through a web browser.		1	1	4	4
5	Ability to access the system from remote locations and mobile devices including iPhone, iPad, Android devices. Display of images on these mobile devices.	2	3	6	1	2
Total Score				34		30

Solution Framework – Game Plan.

□ Conduct Cost-Benefit Analysis.

- Payback Period (PBP)

- *Time need to recover project cost*

- *$PBP = \text{Cost of Project} / \text{Annual Savings}$*

- Return on Investment (ROI)

- *Return on investment relative to Cost*

- *$ROI = \text{Gain from Investment} - \text{Cost of Investment} / \text{Cost of Investment}$*

Solution Framework – Game Plan.

□ How to Justify - Tangible.

-
- Decreased Processing Time
-
- Reduction in Supplies
-
- Reduced IT Maintenance Costs
-
- Functional Obsolescence
-
- Improved Accuracy
-
- Mail, Delivery, Courier and Publishing Costs
-
- Reduced Storage Costs
-

Solution Framework – Game Plan.

□ How to Justify - Intangible.

-
- Improved Service Levels
-
- Lost Opportunity
-
- Increased collaboration between employees
-
- Consistent business processes
-



Terminology



Organization Needs



Solution Framework – Game Plan



Best Practices – Reference Material



Questions

Best Practices.

Collaborate with Stakeholders.

Identify Enterprise Needs.

Document your Business

Document Requirements and Evaluation Criteria

Investigate and Evaluate Options

Reference Material.

❑ I can send links to documents I referenced.

❑ Internet Sites.

- Utah State Archives - <http://archives.utah.gov/>
- NARA - <http://www.archives.gov/> (“Evaluating ERM Applications”)
- AIIM – <http://www.aiim.org/> (Search “ECM”)
- ARMA - <http://www.arma.org/> (Search “ECM”)
- Solution Provider Sites

Questions.



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Thank You.