Establishing a Framework for Electronic Records Management Program

Electronic Records Management Conference, Utah State Archives
Managing Electronic Records.

From Ideas to Action.
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.

- **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
Your Organization Needs

- Mission Statement or Charter
- Audit Findings
- Studies or Reviews
- Collaboration with other Departments/Groups
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.

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.
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

R - Responsible
A - Accountable
C - Consult
I - Inform
# Stakeholder RACI Matrix - Example

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Responsible</th>
<th>Accountable</th>
<th>Consult</th>
<th>Inform</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chief Administrative Officer</td>
<td>Y</td>
<td></td>
<td></td>
<td>Y</td>
</tr>
<tr>
<td>Records Officer</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Jane Smith</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Lucy Viola</td>
<td>Y</td>
<td></td>
<td></td>
<td>Y</td>
</tr>
<tr>
<td>Amy Kafusi</td>
<td>Y</td>
<td></td>
<td></td>
<td>Y</td>
</tr>
<tr>
<td>Pete Young</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Jon Do</td>
<td></td>
<td></td>
<td></td>
<td>Y</td>
</tr>
</tbody>
</table>
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.

- Visual for Flow of Information.
  - Rectangle = steps or stages
  - Diamond = Decisions (Y/N)
Process Flow - Example

1. Client arrives
2. Client makes request
3. Teller asks for ID
4. Check policy
   - If Yes, go to Balance OK?
   - If No, go to Within policy?
5. Balance OK?
   - If Yes, go to Check balance
   - If No, go to Reject...
6. Check balance
   - If Yes, go to Valid ID?
   - If No, go to Reject...
7. Valid ID?
   - If Yes, give cash to client
   - If No, return to Previous step
8. Within policy?
   - If Yes, log transaction
   - If No, return to Previous step
9. Reject...
10. Log transaction
## Requirements Document

<table>
<thead>
<tr>
<th>Requirement Number</th>
<th>Requirement Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Establish a common document repository with structure and hierarchy for addition of future information.</td>
</tr>
<tr>
<td>2</td>
<td>Access to the system for 25 users.</td>
</tr>
<tr>
<td>3</td>
<td>Provide single sign-on access thru Active Directory.</td>
</tr>
<tr>
<td>4</td>
<td>Ability to access information through a web browser.</td>
</tr>
<tr>
<td>5</td>
<td>Ability to access the system from remote locations and mobile devices including iPhone, iPad, Android devices. Display of images on these mobile devices.</td>
</tr>
</tbody>
</table>
Solution Framework – Game Plan.

- Develop Evaluation Criteria.
  - Expand Requirements Document
    - Add columns for Solutions (Y/N)
    - Use Weighted Ranking Matrix
## Evaluation Requirements – Part I.

<table>
<thead>
<tr>
<th>Requirement Number</th>
<th>Requirement Description</th>
<th>Solution A</th>
<th>Solution B</th>
<th>Solution C</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Establish a common document repository with structure and hierarchy for addition for future information.</td>
<td></td>
<td></td>
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<tr>
<td>2</td>
<td>Access to ECM system for 25 users.</td>
<td></td>
<td></td>
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<td>Ability to access information through a web browser.</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Ability to access the ECM system from remote locations and mobile devices including iPhone, iPad, Android devices. Display of images on these mobile devices.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Evaluation Requirements – Part II.

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

**Total Score**

<table>
<thead>
<tr>
<th>Solution A</th>
<th>Score A</th>
<th>Solution B</th>
<th>Score B</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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</table>
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

Source: Gartner (September 2013)
## Vendor Requirements

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

#### Recommend Most Viable Option.

Based upon Requirements and Evaluation Criteria

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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Establish a common document repository with structure and hierarchy for addition for future information.</td>
<td>5</td>
<td>2</td>
<td>10</td>
<td>3</td>
<td>15</td>
</tr>
<tr>
<td>2</td>
<td>Access to system for 25 users.</td>
<td></td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>3</td>
</tr>
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<td>3</td>
<td>Provide single sign-on access thru Active Directory.</td>
<td>3</td>
<td>5</td>
<td>15</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>4</td>
<td>Ability to access information through a web browser.</td>
<td></td>
<td>1</td>
<td>1</td>
<td>4</td>
<td>4</td>
</tr>
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<td>2</td>
<td>3</td>
<td>6</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

Total Score

|          |                               |           | 34 |       |           | 30 |
Conduct Cost-Benefit Analysis.

- **Payback Period (PBP)**
  - *Time need to recover project cost*
  - \( PBP = \frac{\text{Cost of Project}}{\text{Annual Savings}} \)

- **Return on Investment (ROI)**
  - *Return on investment relative to Cost*
  - \( ROI = \frac{\text{Gain from Investment} - \text{Cost of Investment}}{\text{Cost of Investment}} \)
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
Collaborate with Stakeholders.
Identify Enterprise Needs.
Document your Business
Document Requirements and Evaluation Criteria
Investigate and Evaluate Options
I can send links to documents I referenced.

Internet Sites.

- Utah State Archives - http://archives.utah.gov/
- AIIM – http://www.aiim.org/ (Search “ECM”)
- ARMA - http://www.arma.org/ (Search “ECM”)

Solution Provider Sites
Thank You.