

Electronic Records Projects

a Roadmap for Success

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About Pilar C. McAdam, CRM, ERMm

Senior Consultant, Kaizen InfoSource LLC

Certified Records Manager (CRM) since 2006

Electronic Records Management Master (ERMm) since 2006

More than 30 years experience working with business support processes and concentrating on how organizations create, use, and maintain information.

- Corporate
- Manufacturing
- Legal
- Pharmaceutical
- Local Government
- Utilities

Learning Objectives

- Types of electronic records projects
- Preparing for an E-Records project
- Implementing E-Records
- Common pitfalls

Types of e-Records Projects

E-Records Projects

- Start from nothing
- Use existing capabilities
- Change applications
- Add new application

Preparing for an E-Records Project

Preparation

- Project Ownership
- Analysis
- Functional File Plan
- Targeted Partnering
- Finding the Right Solution
- Communication and Change Management

Project Ownership

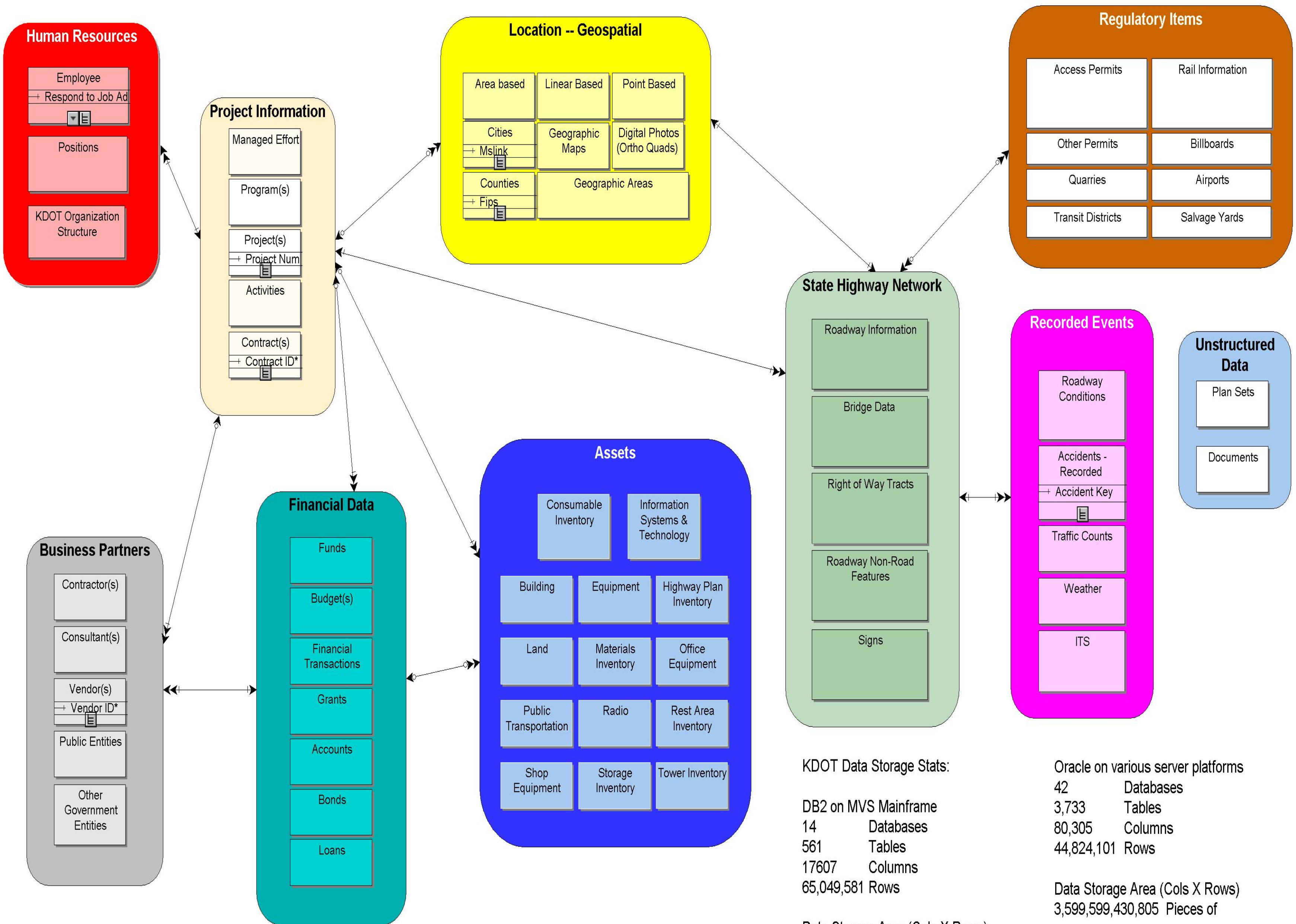
- Someone with authority and credibility
- The right organization
  - Spearhead/fund the project
  - <u>Not</u> IT

Analysis

- Where is the need greatest?
- Analyze current processes
- Decide how you want to do things in the future
- Streamline (go LEAN)

Analysis (continued)

- Use/develop a data map
  - Where the records are today (map to servers, databases, and applications)
  - Data formats
  - How does information move between systems?
  - Is data duplicated (re-entered)?
  - Are documents stored in multiple systems/locations?
- Optimize information availability
  - Enter it once
  - Pull information from a single source



KDOT Data Storage Stats:

DB2 on MVS Mainframe

14	Databases
561	Tables
17607	Columns
65,049,581	Rows

Data Storage Area (Cols X Rows)
1,145,327,972,667 Pieces of

Oracle on various server platforms

42	Databases
3,733	Tables
80,305	Columns
44,824,101	Rows

Data Storage Area (Cols X Rows)
3,599,599,430,805 Pieces of

* Estimates

From State of Kansas Department of Transportation, 2006

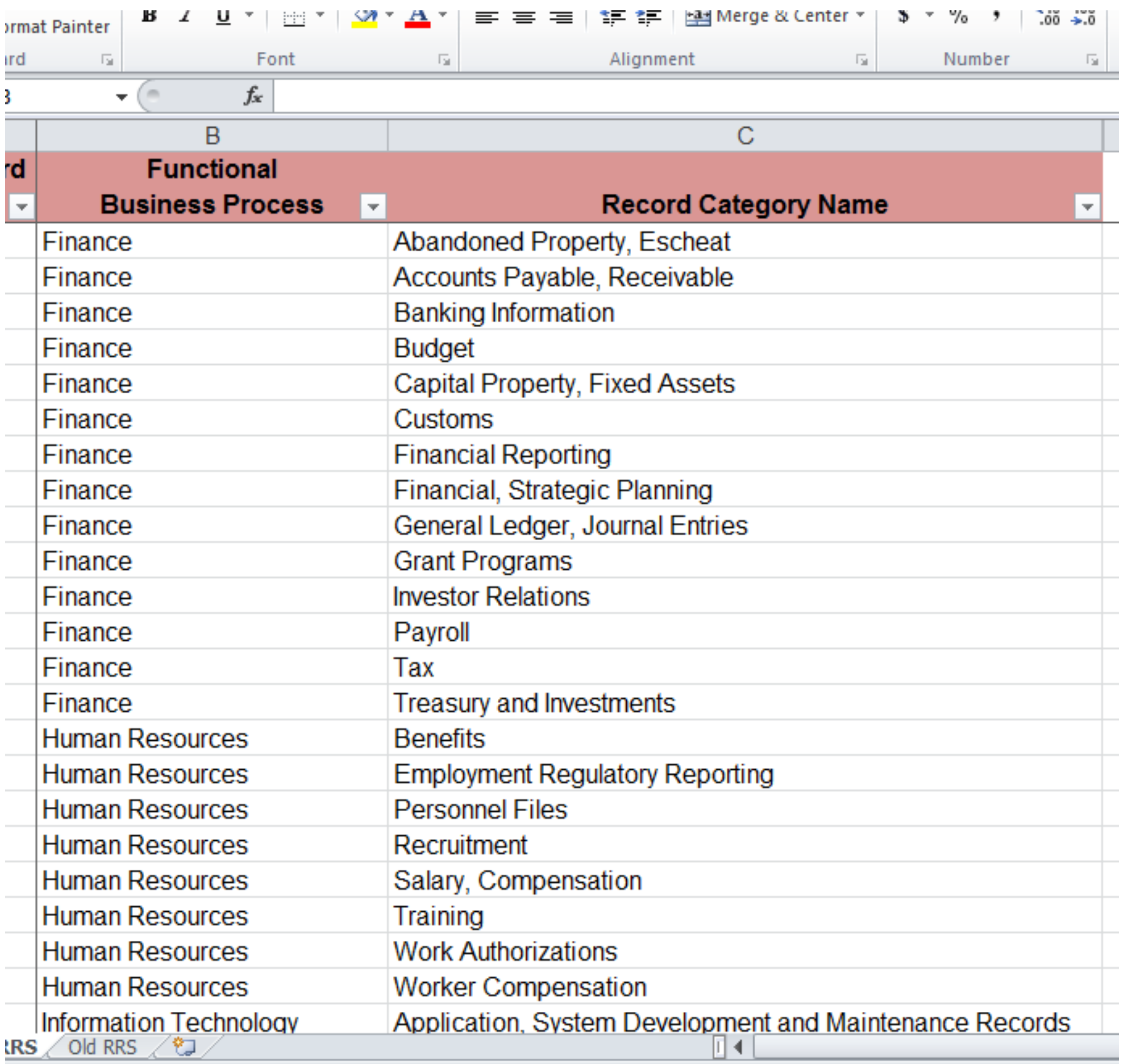
Functional File Plan

- Types of information/data your organization has
- Organized functionally – by area of business – rather than departmental (e.g., Finance, HR, Administration)
  - Business processes/functions don't change, even when the organization chart does
  - Retention applied evenly to all items in a category
  - Multiple departments can share categories
- Use terminology that's commonly understood

Functional Business Processes

	Functional Business Process
2	Administrative
3	Audits, Compliance
4	Communications
5	Engineering
6	Facilities
7	Finance
8	Human Resources
9	Information Technology
10	Insurance
11	Legal
12	Manufacturing
13	Marketing
14	Operations
15	Procurement
16	Quality
17	Sales
18	Security

Categories within Functions



Functional Business Process	Record Category Name
Finance	Abandoned Property, Escheat
Finance	Accounts Payable, Receivable
Finance	Banking Information
Finance	Budget
Finance	Capital Property, Fixed Assets
Finance	Customs
Finance	Financial Reporting
Finance	Financial, Strategic Planning
Finance	General Ledger, Journal Entries
Finance	Grant Programs
Finance	Investor Relations
Finance	Payroll
Finance	Tax
Finance	Treasury and Investments
Human Resources	Benefits
Human Resources	Employment Regulatory Reporting
Human Resources	Personnel Files
Human Resources	Recruitment
Human Resources	Salary, Compensation
Human Resources	Training
Human Resources	Work Authorizations
Human Resources	Worker Compensation
Information Technology	Application, System Development and Maintenance Records

Example Records within Categories

Record Category Name	Record Category Description	Example Records
Personnel Files	All documents related to paid employees, including but not limited to: - hiring - promotion - demotion - transfer - layoff / recall - termination / discharge - training selection - pay rates / other terms of compensation	Application Awards Certificates Change in Status (CIS) Counseling Documents Disciplinary Actions Education / Training Records Employment Contracts Evaluations, Reviews Executed Policy Receipts Exit Interviews Expatriate Files Foreign Worker Documentation Goals Health Records / Files Job Offer Letters Leave of Absence Performance Evaluations Performance Improvement Plans (PIPs) Promotions Recognition Reference Verifications Roles, Responsibilities
Recruitment	Records and information related to applications and related records of candidates interviewed but not hired, including applications received but not acted upon.	Applications, Resumes *(Rejected, Unsolicited)* Applicant Tracking Records *(Hired, Rejected)* Background Checks Interview Notes Job Jackets Job Postings, Announcements Job Requisition Requests Miscellaneous Hiring Process Notes
Training	Documentation regarding the courses and schedules for training offered employees.	PowerPoint Presentations Student Handouts

Taxonomy

- Retention schedule is what employees use (human readable)
- Taxonomy is what computing applications use (machine readable) to apply the retention schedule to e-Records

Taxonomy (continued)

Applying retention to e-records is simple when:

Taxonomy = File Plan = Functional Retention Schedule

- Otherwise, logic and effort are needed to map and cross reference (time, resources, $)
- Increases complexity without adding value
- Reduces likelihood of successful implementation

Targeted Partnering

- Where is the organization's "mission critical" information?
- Which business function has the most problems with managing data?
- Who might benefit most from making a change?
- Identify key stakeholder(s)
- Target them for first rollout

Finding the Right Solution

- Engage IT
- Use previous analyses to develop:
  - Detailed needs assessment
  - Business requirements
  - Functional requirements
- Develop request for proposal (RFP)
- Send RFP to those who provide products and services that most closely match what you need

Finding the Right Solution (continued)

- Look for software/applications that:
  - Enable your organization
  - Provide required security
  - Minimize need for custom solutions
- Key to success is selecting the software/ application that best meets YOUR business process needs
  - Minimize customizations
  - Automation brings benefits only when it makes things simpler

Communication and Change Management

- Develop communication plan to tell the organization:
  - What's coming
  - Why it's important
  - How things will be different
  - Where to get more information
- Trained staff will be needed
  - Help desk
  - Database administrator (DBA) for ongoing support

Communication and Change Management (continued)

- Plan for employee training, new/updated policies, procedures, how-to guides
- Update job descriptions
- Manage expectations
  - Implementation: 1 to 3 years
  - Support continues post-implementation
  - Not everyone will buy in

Implementation

Implementation

- Configuring software
- Communication and Change Management
- Pilot implementation
- Phased rollout

Configuring Software

- Get educated on how the software can be configured
  - Take vendor classes
  - Read user manuals
  - Talk with/visit companies using the software
  - Join a software user group
  - Check out industry blogs
- Professional services – or your consultant – should help to educate and guide your decisions

Configuring Software (continued)

- Example 1

If using software to create barcode IDs for physical documents, folders, room numbers, employees, etc., the length and format of the barcode should be configurable:

  - Numeric? Alphanumeric?
  - Length?
  - Pre-existing schema?
  - Should it start at a particular point in an existing sequence (if you already have barcodes in use)?

Configuring Software (continued)

- Example 2 – Employees/Users

How will the list of employees and users be created and maintained?

  - Should software integrate with Active Directory (AD – a centralized database of employees, maintained by IT)?
    - If not AD, is there another employee database to link to?
  - For system users, how many different security groups will you need?
    - What will create/edit/delete rights be for each group?

Communication and Change Management

- Initiate communication plan
- Communicate often (but to the point)
- First message should be from project sponsor
- Keep messages brief and informative
- Continue to highlight
  - What's changing
  - Why it's important
  - Where to get more information

Communication and Change Management (continued)

- Begin drafting documentation
  - Policies
  - Procedures
  - Training materials
  - How-to-guides
- Use vendor/consultant templates
- Solicit volunteers to review/comment on drafts

The Pilot

- Select a department/team as test group
- Make sure IT and vendor/consultant support is available
  - Deploy software in a "safe" computing environment (e.g., development/test server)
  - Testers should:
    - Perform typical transactions
    - Use draft training/reference materials
    - Document issues
- Use feedback to make improvements

Phased Rollout

- Start small
- Preferably, start with department that will benefit most
- Train users
- Listen to feedback and use to improve tools and documentation
- Move to next department

Pitfalls to Avoid

Pitfalls to Avoid

- Inadequate project sponsorship.
- Purchasing software too soon, then having to re-engineer processes to fit what the software can do.
- Skipping the Pilot phase.
- Designing processes that require MORE user input.
- Skipping phased rollout.

Celebrate!

Share Success Stories

- Communicate progress
- Inform the organization how rollout is providing benefits
- Tell colleagues
  - Write articles
  - Give presentations
  - Offer tours/visits

A Sampling of Resources

- Mike 2.0 - http://mike2.openmethodology.org
- Electronic Discovery Reference Model -http://www.edrm.net
- Managing Electronic Records Conference - http://www.merconference.com
- AIIM - http://www.aiim.org
- From the Australian Government in New South Wales: Information Asset Management (IAM) Assessment Tool - http://futureproof.records.nsw.gov.au/the-iam-tool
- From the California Secretary of State: Electronic Records Resources - http://www.sos.ca.gov/archives/electronic-records.htm
- From the State of Florida: Electronic Recordkeeping Strategic Plan - http://dlis.dos.state.fl.us/recordsmgmt/pdfs/ElectronicRecordkeepingStrategicPlan2010-2012.pdf

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