Electronic Records Projects

a Roadmap for Success

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KAIZEN INFOSOURCE
About Pilar C. McAdam, CRM, ERMM

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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
  - Not 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
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

<table>
<thead>
<tr>
<th>A</th>
<th>Functional Business Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Administrative</td>
</tr>
<tr>
<td>2</td>
<td>Audits, Compliance</td>
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<tr>
<td>3</td>
<td>Communications</td>
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<td>4</td>
<td>Engineering</td>
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<td>5</td>
<td>Facilities</td>
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<td>6</td>
<td>Finance</td>
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<tr>
<td>7</td>
<td>Human Resources</td>
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<tr>
<td>8</td>
<td>Information Technology</td>
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<td>9</td>
<td>Insurance</td>
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<td>10</td>
<td>Legal</td>
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<td>11</td>
<td>Manufacturing</td>
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<tr>
<td>12</td>
<td>Marketing</td>
</tr>
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<td>13</td>
<td>Operations</td>
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<tr>
<td>14</td>
<td>Procurement</td>
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<tr>
<td>15</td>
<td>Quality</td>
</tr>
<tr>
<td>16</td>
<td>Sales</td>
</tr>
<tr>
<td>17</td>
<td>Security</td>
</tr>
<tr>
<td>18</td>
<td></td>
</tr>
</tbody>
</table>
### Categories within Functions

<table>
<thead>
<tr>
<th>Functional Business Process</th>
<th>Record Category Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance</td>
<td>Abandoned Property, Escheat</td>
</tr>
<tr>
<td>Finance</td>
<td>Accounts Payable, Receivable</td>
</tr>
<tr>
<td>Finance</td>
<td>Banking Information</td>
</tr>
<tr>
<td>Finance</td>
<td>Budget</td>
</tr>
<tr>
<td>Finance</td>
<td>Capital Property, Fixed Assets</td>
</tr>
<tr>
<td>Finance</td>
<td>Customs</td>
</tr>
<tr>
<td>Finance</td>
<td>Financial Reporting</td>
</tr>
<tr>
<td>Finance</td>
<td>Financial, Strategic Planning</td>
</tr>
<tr>
<td>Finance</td>
<td>General Ledger, Journal Entries</td>
</tr>
<tr>
<td>Finance</td>
<td>Grant Programs</td>
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<tr>
<td>Finance</td>
<td>Investor Relations</td>
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<tr>
<td>Finance</td>
<td>Payroll</td>
</tr>
<tr>
<td>Finance</td>
<td>Tax</td>
</tr>
<tr>
<td>Finance</td>
<td>Treasury and Investments</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Benefits</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Employment Regulatory Reporting</td>
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<tr>
<td>Human Resources</td>
<td>Personnel Files</td>
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<tr>
<td>Human Resources</td>
<td>Recruitment</td>
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<tr>
<td>Human Resources</td>
<td>Salary, Compensation</td>
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<tr>
<td>Human Resources</td>
<td>Training</td>
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<tr>
<td>Human Resources</td>
<td>Work Authorizations</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Worker Compensation</td>
</tr>
<tr>
<td>Information Technology</td>
<td>Application, System Development and Maintenance Records</td>
</tr>
<tr>
<td>Record Category Name</td>
<td>Record Category Description</td>
</tr>
<tr>
<td>----------------------</td>
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</tbody>
</table>
| 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 to employees. | PowerPoint Presentations  
Student Handouts |

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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
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
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)?
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
- AIIM - http://www.aiim.org
- From the California Secretary of State: Electronic Records Resources - http://www.sos.ca.gov/archives/electronic-records.htm
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