



WHITE PAPER

ARE YOU CONSIDERING AN ELECTRONIC RECORDS AND DOCUMENT MANAGEMENT SYSTEM (ERDMS)?



ISO 9001:2000

Are you considering an Electronic Records and Document Management System (ERDMS)?

Introduction

Even though records management, document management, electronic document management and knowledge management has been around for more than a decade, the current economic and political climate has raised the profile and need for all organisations to manage their corporate information.

Information is now owned by the organisation and not by the individual. Issues such as risk, security, intellectual property protection, legal suites, regulation, customer service and competition has created a drive for management to understand that they need to have their corporate information managed, no matter what the format it comes in.

In addition to telephone calls, keeping paper notes and paper based documents, today's information can also come in via electronic mediums including fax, email and electronic documents.

Of these, email has become the faster growing communication form and the volume of information being recorded by an email system has generally become unmanageable (or has it?).

This document is designed to provide an organisation that is keen to effectively manage their Corporate Information, some starter points in a checklist form that should be considered when developing a Corporate Information Management Strategy and implementing an ERDMS system as the information management tool.

Corporate Information Strategy

This section deals with the high level requirements of managing Corporate Information.

Define Corporate Information

Define a subset of all the information your organisation manages and call it Corporate Information. This is information required by management that needs to be recorded and kept. Often this relates to any information pertaining to any business transaction or intellectual property.

Define Corporate Information Types

Understand the format in which information is held within your organisation. This can include paper, files, boxes, fax, email, electronic documents, electronic files and objects.

Discover the Corporate Information Channels

Information enters, moves through and exits an organisation in some standard processes and often ad-hoc processes. Understand the channels that Corporate Information follow and where the information resides in either working or final form.

Create Corporate Information Management Policies

When the above three items have been understood, work the information into a Policy and Procedures document that will be followed by all staff. This policy document needs to be ratified by the highest management levels and incorporated into the job descriptions of all staff, when they utilise Corporate Information.

Choose an ERDMS

The ERDMS is the tool that your organisation will use to manage their corporate information. This document outlines the things to consider and look for when deciding on an ERDMS.

Instigate Plan

Build an achievable plan for the organisation to be able to manage all of the corporate information. As this can be a job that does not generate income, it's the type of work that management will have to invest some resources into to make sure the project succeeds. It is not uncommon for a strategy to be 2-5 years in length before completion.

Other items to be included in the plan should be:

- Project Owners
- Project Team
- Staff Resources
- IT and Other Resources
- Information Management Model
- Training
- Time and Targets
- Spending

Changing the way your organisation manages Corporate Information is a cultural change that may find some resistance from the staff. It is important that management buy into the strategy and support it as a mandatory activity which all staff will be involved in, in some way. Once completed, a total ERDMS strategy protects your organisation and reduces the 'Risk' when doing business.

Functionality Checklist

HARD COPY DOCUMENTS	
Managing Files	
	<ul style="list-style-type: none"> • File Titling
	<ul style="list-style-type: none"> ○ Able to set structured file titles up to 4 levels
	<ul style="list-style-type: none"> ○ Multiple Parts
	<ul style="list-style-type: none"> • File Numbering
	<ul style="list-style-type: none"> ○ Automatically allocate file numbers
	<ul style="list-style-type: none"> ○ Various numbering options
	<ul style="list-style-type: none"> ○ File Numbers generated from File Title (or Vice Versa)
	<ul style="list-style-type: none"> • Thesaurus
	<ul style="list-style-type: none"> ○ Keywords for data entry
	<ul style="list-style-type: none"> ○ AAA Keyword thesaurus
	<ul style="list-style-type: none"> ○ Keywords in file titling
	<ul style="list-style-type: none"> ○ Forbidden Words
	<ul style="list-style-type: none"> ○ Synonym Dictionary
	<ul style="list-style-type: none"> ○ Spell-check
	<ul style="list-style-type: none"> • File Metadata
	<ul style="list-style-type: none"> ○ File Types
	<ul style="list-style-type: none"> ○ File Series
	<ul style="list-style-type: none"> ○ Department
	<ul style="list-style-type: none"> ○ Location
	<ul style="list-style-type: none"> ○ Barcode
	<ul style="list-style-type: none"> ○ Old Series
	<ul style="list-style-type: none"> ○ Record Category
	<ul style="list-style-type: none"> ○ Vital Records
	<ul style="list-style-type: none"> ○ Custom Fields
	<ul style="list-style-type: none"> • Retention
	<ul style="list-style-type: none"> ○ File Status (Active, Closed, Intermediate, Archived, Other)
	<ul style="list-style-type: none"> ○ Box Number
	<ul style="list-style-type: none"> ○ Location
	<ul style="list-style-type: none"> • Labels
	<ul style="list-style-type: none"> ○ Label Production – Bulk and Individual

	○ Customised Labels
	○ Barcoded Labels
	○ Colour Labels
	• File Reports
Managing Boxes	
	• Archiving
	○ Disposal Schedule
	○ Citations (Schedule Changes)
	• Box Management
	• Space Management
Managing Documents	
	• Document Metadata
	○ File Number
	○ Document Type
	○ Author
	○ Action Officer
	○ Barcode Number
	○ Addressees
	○ Vital Records
	○ Document Format
	○ Custom Fields
	• Loose Document Management
	○ Retention
	• Document Reports
File and Document Tracking	
	• Location Tracking
	• File Movements
	• Document Movements
	• Loose Document Movements
	• File Bookings
	• Barcode Tracking
	• Movement Terminals

	<ul style="list-style-type: none"> • Portable Barcode Readers
	<ul style="list-style-type: none"> • File Audit (Muster)
Workflow	
	<ul style="list-style-type: none"> • Correspondence Management
	<ul style="list-style-type: none"> ○ Acknowledgement Letters
	<ul style="list-style-type: none"> ○ Automatic population of fields
	<ul style="list-style-type: none"> ○ Bulk Production of Acknowledgements
	<ul style="list-style-type: none"> ○ Reply By Date Tracking
	<ul style="list-style-type: none"> ○ Action Officer To Do List
	<ul style="list-style-type: none"> ○ Standard Paragraphs
	<ul style="list-style-type: none"> • Document Workflow
	<ul style="list-style-type: none"> ○ Serial Processes
	<ul style="list-style-type: none"> ○ Parallel Processes
	<ul style="list-style-type: none"> ○ Date Targets
	<ul style="list-style-type: none"> ○ Automatic workflow triggers
	<ul style="list-style-type: none"> ○ Manual Action Options
	<ul style="list-style-type: none"> • Notifications
	<ul style="list-style-type: none"> ○ Email Notification of actions required
	<ul style="list-style-type: none"> • Workflow Reports
ELECTRONIC DOCUMENTS	
Document Images	
	<ul style="list-style-type: none"> • Scanning Documents
	<ul style="list-style-type: none"> ○ Desktop Scanning
	<ul style="list-style-type: none"> ○ Sheet Feeder
	<ul style="list-style-type: none"> ○ Twain Compatible
	<ul style="list-style-type: none"> • Bulk Scanning Documents
	<ul style="list-style-type: none"> ○ High Speed Scanner
	<ul style="list-style-type: none"> ○ Sheet Feeder
	<ul style="list-style-type: none"> ○ Twain Compatible
	<ul style="list-style-type: none"> ○ Attaching to Document Profiles
	<ul style="list-style-type: none"> ○ OCR (Optical Character Recognition – Image to Text)
	<ul style="list-style-type: none"> ○ Viewing Images

	<ul style="list-style-type: none"> ○ Content Search (OCR Text)
	<ul style="list-style-type: none"> ○ Archive Images
Emails	
	<ul style="list-style-type: none"> ● Manual Email Capture
	<ul style="list-style-type: none"> ○ Add as attachment
	<ul style="list-style-type: none"> ○ Capture Basic Metadata
	<ul style="list-style-type: none"> ○ Capture from within Application
	<ul style="list-style-type: none"> ● Automatic Email Capture
	<ul style="list-style-type: none"> ○ Rules Based By
	<ul style="list-style-type: none"> ● Addressees
	<ul style="list-style-type: none"> ● Subject
	<ul style="list-style-type: none"> ● Content Keywords
	<ul style="list-style-type: none"> ○ Profile Templates
	<ul style="list-style-type: none"> ○ Spam Filter
	<ul style="list-style-type: none"> ● View Email in Native Format
	<ul style="list-style-type: none"> ● Email Content Search
	<ul style="list-style-type: none"> ● Archive Emails
Electronic Documents	
	<ul style="list-style-type: none"> ● Manual Electronic Document Capture
	<ul style="list-style-type: none"> ○ Add as attachment
	<ul style="list-style-type: none"> ○ Capture Basic Metadata
	<ul style="list-style-type: none"> ○ Capture from within Application
	<ul style="list-style-type: none"> ● Automatic Electronic Document Capture
	<ul style="list-style-type: none"> ○ Rules Based By
	<ul style="list-style-type: none"> ● Properties
	<ul style="list-style-type: none"> ● Attributes
	<ul style="list-style-type: none"> ● Content Keywords
	<ul style="list-style-type: none"> ○ Profile Templates
	<ul style="list-style-type: none"> ● Viewing in Native Format
	<ul style="list-style-type: none"> ● Electronic Document Content Search
	<ul style="list-style-type: none"> ● Version Control
	<ul style="list-style-type: none"> ● Archiving

Administration	
	• Multiple Databases
	• Individual Database Configuration
	• User Access Restrictions
	• Object Security
	○ Structured (Parent Child)
	○ Unstructured (Area Selection)
	○ Exceptions
	• Indexing
	○ Metadata
	○ Content
	• Audit Trail
	• Reporting
	○ Standard
	○ Report Writer
	○ 3 rd Party Report Writer (eg Crystal Reports)
	• Date Validation
	• Help
	○ Online
	○ Documented
	○ Customised
Platform	
	• Server Platform
	• Database Platform
	• Network Requirements
	• Workstation Platforms
	• Browser Access
	• Remote Access
	• Office Application
	• Email Server
	• Network Drives
	• Intranet

Services	
	• Pre-Implementation Consultation
	• Installation
	• Course Training
	• Customised Training
	• Implementation Consultation
	• Post Implementation Review
	• Post Training Update
	• Support
	○ Telephone
	○ Online
	○ Email
	○ Onsite
	• Database Management
	○ Import
	○ Transfer
	○ Conversion
	• Pilot System Setup and Test Conversion
	• Integration with other applications
Product Licensing	
	• Administrators: Search & Retrieve Functions with EDM File and Document – Maintenance, Tracking and Reporting Manual Workflow and Correspondence Letter Production System Administration and Configuration
	○ Product Model Recommended
	○ Number of Total Users
	○ Number of Concurrent Users
	• Power Users (eg Departmental Administrators): Search & Retrieve Functions with EDM File and Document – Maintenance, Tracking and Reporting
	○ Product Model Recommended
	○ Number of Total Users
	○ Number of Concurrent Users
	• General Users: Search & Retrieve Functions with EDM

	<ul style="list-style-type: none"> ○ Product Module Recommended
	<ul style="list-style-type: none"> ○ Number of Total Users
	<ul style="list-style-type: none"> ○ Number of Concurrent Users
	<ul style="list-style-type: none"> ● Enquiry Only Users: Search & Retrieve Functions
	<ul style="list-style-type: none"> ○ Product Module Recommended
	<ul style="list-style-type: none"> ○ Number of Total Users
	<ul style="list-style-type: none"> ○ Number of Concurrent Users
	<ul style="list-style-type: none"> ● Server Components
	<ul style="list-style-type: none"> ● Pilot System Included