

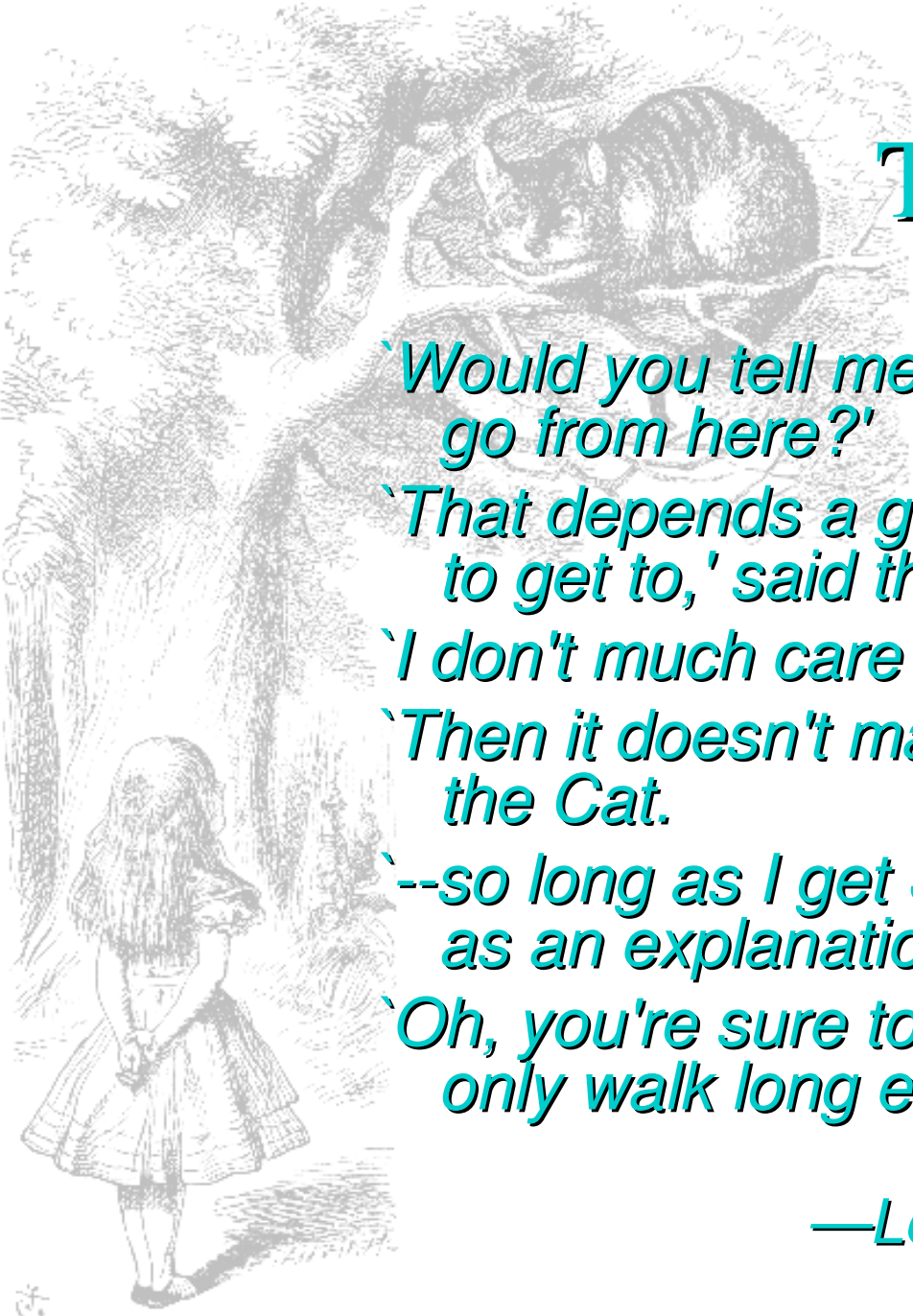
Charting the Path to Enterprise Content Management

Michael S. Adler

Master of Information Technology (AIMM, International)
Certified Document Imaging Architech™ (CompTIA)
Professional Engineer (State of CA)

Phone: 818 224-3194
ARMASupport@TheAdlerGroup.com

The Path to ECM

- 
- 'Would you tell me, please, which way I ought to go from here?'*
 - 'That depends a good deal on where you want to get to,' said the Cat.*
 - 'I don't much care where--' said Alice.*
 - 'Then it doesn't matter which way you go,' said the Cat.*
 - '--so long as I get SOMEWHERE,' Alice added as an explanation.*
 - 'Oh, you're sure to do that,' said the Cat, 'if you only walk long enough.'*

—Lewis Carroll, *Alice in Wonderland*



The Path to ECM

- **Where are you now?**
- **Where do you want to be?**
- **What are the steps that will get you there?**



Agenda

- Defining ECM
- ECM Today
 - Empirical Observations
 - 2007 AIIM Survey
- Charting the Path Part 1:
ECM Infrastructure
- Charting the Path Part 2:
Selecting and Executing Projects
- Closing Remarks



Defining ECM

Includes technologies to manage structured and unstructured content:

- *Records Management*
- *Image Management*
- *Document Management*
- *Report Management (COLD)*
- *Workflow / Business Process Management*
- *Forms and e-Forms Management*



Defining ECM

Includes technologies to manage structured and unstructured content:

- *Web Content Management*
- *E-Mail Management / IM Management*
- *Digital Asset Management*
- *Collaboration*
- *Taxonomy*
- *Portals / Federated Search*

Defining ECM

Manage

Collaborate

**Store and
Distribute**

May 16, 2007

EDMS

(Imaging, Workflow,
Document Management)

Web Content Management

ERM/COLD

Digital Asset Management

Portals

Taxonomy and Search

Collaboration

Process Management

Forms

Records Management

Archival and Storage

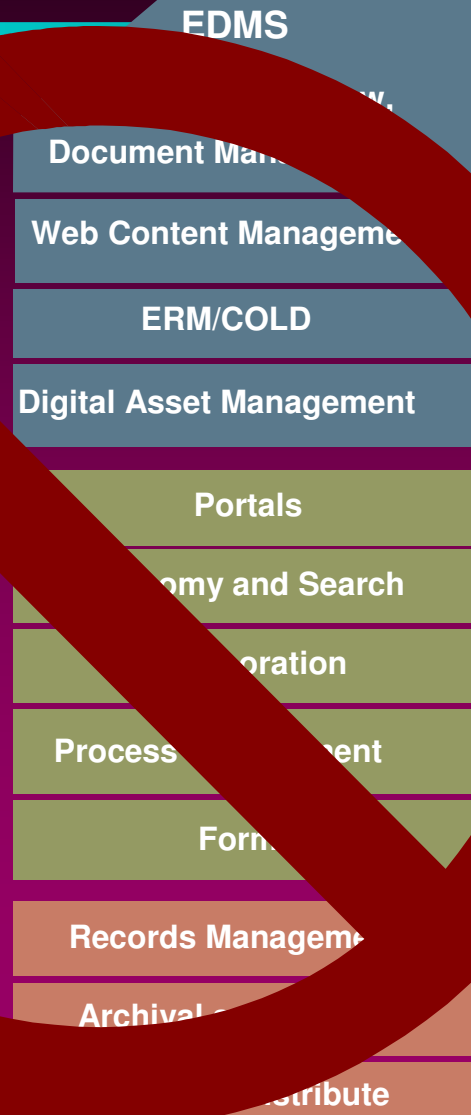
Print and Distribute

Content Integration

Security (Document, Perimeter)

Defining ECM

Manage
Collaborate
Store and
Distribute



Security (Document Generation)

May 16, 2007





Defining ECM

“Enterprise Content Management is the technologies and tools used to create, capture, customize, deliver and manage content across an enterprise.”

–AIIM International

Defining ECM

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Defining ECM

Information Nation

Seven Keys to Information Management Compliance

by Randolph Kahn, Esq. and Barclay T. Blair

1. Good policies and procedures
2. Executive-level program responsibility
3. Proper delegation of program roles and components
4. Program communication and training
5. Auditing and monitoring to measure program compliance
6. Effective and consistent program enforcement
7. Continuous program improvement



Defining ECM

Enterprise Content Management is a ***Program*** engineered to create, capture, manage, customize, and deliver content across an enterprise. It includes an infrastructure of enterprise-wide governance, management, standards, procedures, and plans, as well as hardware, software, and human resources.



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ECM Today

- *Retention Schedule and Procedures*
In place, but may be outdated or incomplete. May be missing procedures for electronic records or e-mail / IM. Many enforcement challenges.
- *Records Management System*
Available to RM staff only. Manages paper records only. Does not interface with other ECM systems.
- *Legal Hold Procedures*
Documented, but may not be well communicated



ECM Today

- *Imaging, Document Management, Workflow*
 - Second generation software. May have multiple products throughout the enterprise, such as a separate document management system for Legal. Uncontrolled files remain on desktops and servers.
 - Workflow in production or pilot in development
- *Little measurement to prove the Business Case / ROI*



ECM Today

- *Web Content Management*
Standard Systems may be in place for web development, but content not managed by ECMS.
- *E-Mail Management and Discovery*
Struggling with requirements and available solutions.
- *Instant Messaging, Voice Mail*
On the horizon as future projects.



AIIM 2007 ECM Survey

How would you best characterize your organization's experience with document management and records management? Check only 1.	Category in rest of analysis		
We have not yet begun a significant document/records project and have no plans to do so.	"No ECM"	68	6%
We have not yet begun a significant document/records project, but plan on doing so in the next 6 months.	"No ECM"	184	15%
We have undertaken one or more document/records projects at the departmental level.	"Tactical ECM"	361	29%
We are currently integrating our document/records projects across departments.	"Transitional ECM"	236	19%
We are deploying and implementing an enterprise scale document and records management capability.	"Strategic ECM"	377	31%
Total		1226	100%



AIIM 2007 ECM Survey

When you consider document and records management technologies, what is the most significant business driver for your organization? (Check only 1.)	2004	2005	2006	2007
COST-DRIVEN USERS	56%	51%	44%	37%
Improve efficiency	32%	32%	26%	26%
Reduce costs	17%	11%	7%	6%
Increased profits/Better performance	7%	8%	11%	5%
CUSTOMER-DRIVEN USERS	29%	31%	30%	19%
Better customer service	16%	15%	13%	9%
Leadership/Competitive advantage	7%	8%	12%	5%
Faster turnaround/Improved response	6%	8%	5%	5%
RISK-DRIVEN USERS	15%	24%	26%	43%
Compliance	11%	19%	17%	29%
Risk management/Business continuity	4%	5%	9%	14%



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The Path to ECM

- **Where are you now?**
Compartmentalized applications
- **Where do you want to be?**
Enterprise-wide facilities to create, capture, customize, deliver and manage all content with retention, security, and compliance policies enforced
- **What are the steps that will get you there?**



ECM Infrastructure

- *Infrastructure*
 - *Plan*
 - *Methodology*
 - *Governance / Executive Support*
 - *Taxonomy / Common Indexing*
 - *Standards and Procedures*
 - *Information Technology*
 - *Human Resources*
 - *Standard ECMS Products*



ECM Infrastructure

Asked to Pick Top 3 ECM Implementation Challenges out of 13 Possibilities

- 1. Underestimated process and organizational issues - 42%*
- 2. Lack of knowledge or training among our internal staff - 31%*
- 3. Uneven usage due to poor procedures and lack of enforcement- 30%*
- 4. Derailed by internal politics - 30%*

-AIIM 2007 ECM Survey



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ECM Infrastructure

The ECM Plan

Needs to Address:

- *Development of Standards and Procedures*
- *Development of Infrastructure*
- *Cultural Issues*
- *Outline of Projects with Priorities, Estimated Investment, and Schedule*



ECM Planning

*How should we start our
ECM planning effort?*

*With an Enterprise-Wide
Needs Assessment.*



ECM Planning

Enterprise-Wide Needs Assessment

- *Provides enterprise-wide observations and recommendations*
- *Gap Analysis – what is in place and what is needed*
- *Overall outline of schedules, projects, investment, priorities*
- *Should indicate significant risks*



ECM Planning

Enterprise-Wide Needs Assessment

- *Presents critical missing portions of the infrastructure*
- *Identifies high priority projects*
- *Allows users and management to get an overall picture*
- *May provide key system requirements*
- *Security and metadata recommendations*



ECM Planning

Enterprise-Wide Needs Assessment

- *Opportunity for direction, review, and buy-in from Governance and stakeholders*
- *Leads to a “Master Plan” for ECM, much like a master plan for new community or city*
- *Charts your path to ECM!*



ECM Planning

Enterprise-Wide Needs Assessment

- *Needs significant involvement from stakeholders*
- *Requires input from many entities*
- *Can be time consuming*
- *May be subject to “scope creep”*
- *May require outside resources to develop*



ECM Planning

Enterprise-Wide Needs Assessment

- *The Needs Assessment should be a “Living Document” that is periodically updated and requirements and solutions change.*
- *Content may need to be “re-purposed” for different audiences:*
 - *Executive Briefing for Governance*
 - *Vendor Overview*
 - *IT Requirements*



ECM Infrastructure

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ECM Planning

Methodology

- *Project template and checklist*
- *Details needed steps, deliverables, and approvals. Examples could include:*
 - *format for business case / ROI*
 - *approval of detailed requirements and detailed design*
 - *sign-off from DBA*
 - *documentation and training for help desk*
- *Helps ensure project success*



ECM Infrastructure

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ECM Infrastructure

Governance / Executive Support

- *Executive Level Committee*
 - *Technology Planning Board*
 - *IT Steering Committee*
 - *IT Executive Board*
 - *IT Governance Committee*
 - *Risk and Compliance Board*
- *Two-Way Communications*
- *Buy-In and Feedback*
- *Delineate Responsibility and Authority*



ECM Infrastructure

Governance / Executive Support

To drive ECM you must interface with executive decision makers

- *Work through vertical management*
- *Work through IT counterparts*
- *Work with individual members*



ECM Infrastructure

Governance / Executive Support

- *What projects are getting funded and why?*
- *Why are other projects rejected?*
- *What changes are planned in the IT infrastructure?*
- *What projects could tie in with ECM?*
- *What are the major company drivers?*



ECM Infrastructure

Additional Direction from the ECM User Group

- *Formal infrastructure to ensure communication with appropriate line management representation*
- *Required to provide multi-discipline input and buy-in for project needs and priorities*



ECM Infrastructure

The ECM User Group

- *Subset of IT User Committee*
- *Records Management Steering Committee*
- *ECM Steering Committee*



ECM Infrastructure

The ECM User Group

- *How do you put in place an ECM User Group?*
 - *Form group from managers above Records Coordinators*
 - *Present to IT User Group and form ECM Steering Committee from interested Managers*
 - *Get help from CIO or your top executive*



ECM Infrastructure

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ECM Infrastructure

Taxonomy

- *Gives common structure to document and record organization throughout the organization*
- *Works hand and glove with retention schedule / file plan*
- *Develop retention schedule with thought towards an overall taxonomy / document organization / file plan*



ECM Infrastructure

Common Indexing

- *For document attributes (metadata) that are common amongst different parts of the enterprise:*
 - *product codes / product names*
 - *department codes / dept. names*
 - *locations / street addresses / buildings*
- *Reduces likelihood of incompatible electronic indexes*
- *Allows for common searching*



ECM Infrastructure

Taxonomy / Common Indexing

- *Important even when different systems are being used*
- *Requires commitment from multiple organizations in the enterprise*
- *Difficult to enforce even when agreed upon by principals*
- *User Committee can sponsor the development of the common tables*



ECM Infrastructure

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ECM Infrastructure

Standards and Procedures

- *Records Retention Schedule and Records Retention Procedures*
 - *Paper Records*
 - *Electronic Documents*
 - *E-Mail and IM*
 - *Define records and non-records*
- *Legal Hold Procedures*
- *Archival / Destruction Procedures*



ECM Infrastructure

Standards and Procedures

- *Must plan for communications, training monitoring, and enforcement*
- *Governance (Executive) sponsorship required for enforcement*



ECM Infrastructure

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ECM Infrastructure

IT Infrastructure

- *ECMS Should Match IT Standards*
 - *Databases*
 - *E-Mail*
 - *Workstations / Servers*
 - *WEB / Client Server*
 - *Storage Solutions*
 - *Networking and Security*
- *Significant for Vendors*



ECM Infrastructure

IT Infrastructure

- *Service Oriented Architecture (SOA)*
 - *An architecture based on loose coupling among interacting software agents*
 - *Software is divided into “services” with standard interfaces*



ECM Infrastructure

- *Infrastructure*
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 - *Standards and Procedures*
 - *Information Technology*
 - **Human Resources**
 - *Standard ECMS Products*



ECM Infrastructure

Human Resources

- *Records Manager*
- *Records Administrators, Coordinators, and Support Staff*
- *IT Project Management*
- *IT System Support*
- *System Administrator*



ECM Infrastructure

- *No need for system vendors until infrastructure is in place and requirements are defined.*
- *Steps are not sequential. You will need to do many items in parallel.*
- *IT needs to understand full scope of ECM vision. RM and ECMS vendors need to understand IT requirements.*



ECM Infrastructure

- *Infrastructure*
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 - *Standards and Procedures*
 - *Information Technology*
 - *Human Resources*
 - **Standard ECMS Products**



ECM Infrastructure

- *Standard ECM Products*
 - *Selected based on company's needs including integration requirements*
 - *Usually an ECM Suite from a single vendor*
 - *Need centralized funding or strong Governance / Executive Support control to ensure compliance*



ECM Infrastructure

- *Standard ECM Products*
 - *Select after the plan is in place and you have chosen your first project(s)*
 - *Get bid for overall detailed design and the multiple implementations if practical (everything that can be well defined)*
 - *Check vendor references with similar project and your business area*



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Selecting Projects

- ✓ *Identified in the Needs Assessment as high priority project*
- ✓ *Necessary infrastructure in place*
- ✓ *Business case, Return on Investment*
- ✓ *Requirements well understood*
- ✓ *User Support and Availability*
- ✓ *IT Support and Availability*



Executing Projects

- *Make sure your plan and infrastructure are in place first*
- *Use experienced integrators for first projects.*
 - *Software Manufacturer or*
 - *Third Party Value Added Resellers*
- *Check vendor references with similar project in your business area*



Executing Projects

- *Utilize Integrators with Your Project Management*
- *Get Bid and Design for overall implementation up-front if possible*
- *Don't execute many projects simultaneously - one is probably enough to start*
- *Consider service bureau for scanning and indexing*



Executing Projects

- *Prototype and Pilot*
 - *Do a little piece; get feedback; add a little more...*
 - *Minimal implementation first*
 - *Pilot the Installation (server and workstations)*
 - *Pilot training and documentation*
- *Don't underestimate training, auditing, and follow-up training*



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ECM Benefits

Percent Public Sector respondents that considered themselves “more effective” or “much more effective” compared to peers.

- *No ECM – 19%*
- *Strategic ECM – 44%*
- *2.3 X More Effective*

- AIIM 2007 ECM Survey



ECM Benefits

Percent Private Sector respondents that considered their companies “more profitable” or “much more profitable” compared to peers.

- *No ECM – 37%*
- *Strategic ECM – 56%*
- *1.5 X More Profitable*

- AIIM 2007 ECM Survey



ECM Benefits

Issue or Metric	"No ECM"	"Strategic ECM"	ECM "multiplier"
	N=252	N=377	
Overall effectiveness of your organization in managing, controlling and utilizing electronic information (those responding 7, 8, 9, 10)	11%	53%	4.8X more effective
High electronic records competency of IT staff (those responding 7, 8, 9, 10)	13%	50%	3.8X more effective
High electronic records competency of executive management (those responding 7, 8, 9, 10)	10%	40%	4.0X more effective
High IT competency of RM staff (those responding 7, 8, 9, 10)	28%	62%	2.2X more effective
E-discovery advantage (% that could produce all the information about a customer in less than 1 week)	30%	45%	1.5X more effective
Confidence in electronic information (% "confident" or better)	33%	66%	2.0X more effective
Effectiveness in managing information compared to peers (% "more effective" or "much more effective")	9%	46%	5.1X more effective

- AIIM 2007 ECM Survey

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Closing Remarks

Enterprise Content Management is a ***Program*** engineered to create, capture, manage, customize, and deliver content across an enterprise. It includes an infrastructure of enterprise-wide governance, management, standards, procedures, and plans, as well as hardware, software, and human resources.



Closing Remarks

- *Start with an Enterprise-Wide Needs Assessment*
- *Make certain that executive support and governance are in place*
- *Build the ECM infrastructure*
- *Design for the full ECMS*
- *Implement one small piece at a time*

Charting the Path to Enterprise Content Management

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