AIIM Membership Tools

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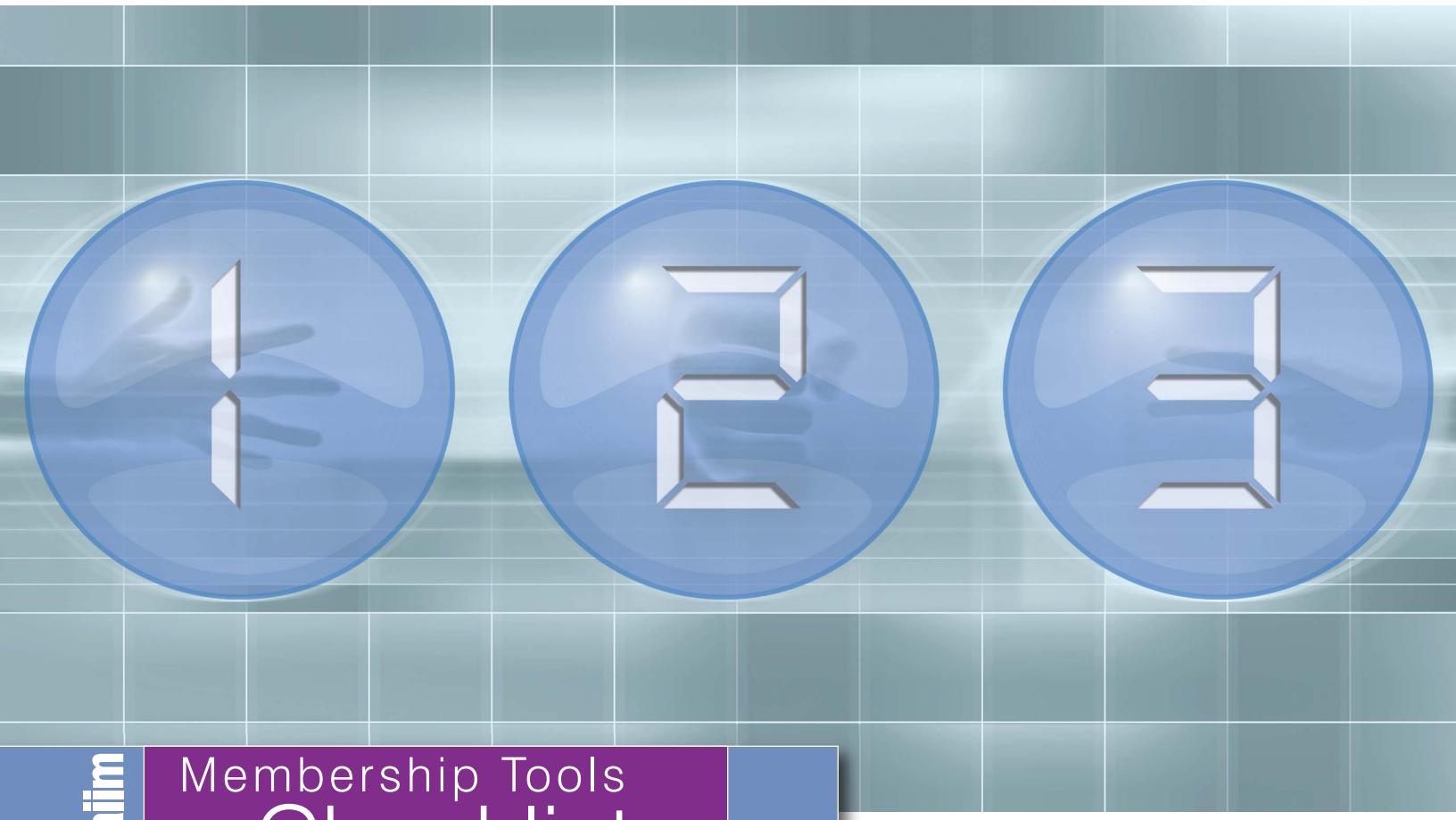

Membership Tools
Checklist

Enterprise Content Management (ECM)
Checklist

Developed by:

- *Robert Blatt - EID, Inc.*
- *Robert Elefante - Perficient, Inc.*
- *Vigi Gurushanta - eVida Group*
- *Arthur Hedges - Castle Ventures LLC*
- *Joyce Sayed - County of Sonoma*

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Introduction:

The purpose of this checklist is to provide a list of activities to be completed by organizations considering the use of electronic content management (ECM) technologies (also considered to be electronic document management technologies (EDMS). There is a difference between Enterprise Content management (ECM[1]), Electronic Content Management (ECM[2]) and Electronic Document Management systems.

For purposes of discussion within this document, the use of the acronyms EDMS and ECM are identical from the perspective that both require the use of core technologies along with policies, procedures, and methodologies to successfully design, implement, and manage electronically stored information.

Section 1: Examine organizational needs, requirements, and objectives

Part 1: Document project objectives and goals

Step ❶: Define business objectives from management perspective

Business objectives must consider the ultimate goals of the organization. This may include service level improvements, increased productivity, quality of service, or to simply move the organization to prepare for an electronic environment.

Step ❷: Identify organizational goals from management perspective

The management team should provide input and help define the goals of the organization in relation to expectations for the EDMS project. Commonly seen goals include: increased profit, share holder value, global presence, service quality excellence streamline processing, etc.

Step ❸: Define how project success or failure will be measured

The introduction of new technologies means more cost to the organization. In order to assess whether the organization's objectives are met, all project deliverables must have measurable criteria which may include service level improvements such as reduced complaints from clients, reduction in cost of operation, cost containment on system deployment, or reduced time to complete processing.

Step ❹: Develop high level process baseline

The process baseline will likely change to accommodate new technologies. In order that we take advantage of the new processes, a high level process baseline must be developed from current processes to new processes.

Step ❺: Detailed process baseline

As you examine the high level process baseline, the detail process baseline will emerge. The detailed process must be recorded for subsequent examination of the system design and contain sufficient levels of details related not only to tasks and processes, but also include how information moves between tasks, how information is handled, processed, tracked, logged, etc.

Step ❻: Technical objectives and goals

Apart from the business objectives, the technical objectives and goals must be determined based on the organization's IT infrastructure and capability to launch the system, and cost of new technologies.

Step ❼: Establish "champion user" team

The success of any system is dependent on the people who execute the project goals. This will require a champion or champion user team to be identified who will carry out the overall project objectives.

Part 2: Analyze existing processes & define project scope

Step ❶: Current technology evaluation and assessment

Investigate the technologies available in the market for document handling that can contribute to the objectives and business requirements, such as COLD / ERM, document imaging, document services / library, workflow, automation of the data capture, automatic identification of documents, forms management, components of web publishing, etc.

Step ❷: Identify non-technology based change

A common outcome of the process analysis is the identification of processes, activities, or procedures that are no longer required by the organization. Typically when these processes, activities or procedures are identified, the organization changes the process to eliminate or streamline where possible without the use of technology, as the problem was not technology driven.

Step ❸: Identify technology based change

Along with identifying areas of non-technology based change, the organization should consider what portions of the process could be improved and/or streamlined using various components of EDMS technology. This technology based change commonly includes either document imaging or document/library services and quite often includes workflow and forms processing along with web publishing.

[1] Enterprise Content Management as defined in AIIM TR2 and ISO 12651 as a set of tools and methods that allows an organization to obtain, organize, store and deliver information crucial to its operation. It can be broken down into five major components – capture, manage, store, preserve, and deliver content.

[2] Electronic Content Management is the same as EDMS in that it focuses on the technology aspects of the overall environment.

Step ❹: Document business requirements and expectations
Clearly define the business objectives that you used to determine whether the solution meets the anticipated results. Examples of these objectives include: improving service, ability to track and monitor the activities of work, increase the efficiency of resources, to meet organizational and / or government regulations related to document retention, lowering the cost of manual handling documents, etc.

Step ❺: Prepare anticipated ("to-be") process steps/activities
Identify all tasks that support the scope of the project and show the scope in detail, while help in measuring development progress of the project.

Step ❻: Document specific processing metrics
Documenting metric to help us display the advantages of implementing new technology versus the earlier situation of things: such as cases processed per unit of time, time required to locate a document, information requests served within a period of time, etc.

Step ❼: Define technology requirements
Identify the technical targets that are favorable to the organization, such as scalability of the solution, migration route, modularity, access via Web, use of industry-standard components, etc.

Part 3: Anticipate technology design and implementation approach

Step ❶: Consider & begin planning legacy/existing data migration & transition
Identify the need to migrate records to new databases, storage media and formats. The storage media and its life expectancy rating must be considered, hardware and software obsolescence issues must be evaluated, and a sound migration strategy must be developed to ensure access

Step ❷: Develop detailed document taxonomy/classification from EDMS perspective
Develop a faceted or hierarchically ordered and systemic structure for the classification of documents and their functions.

Step ❸: Identify user screen interfaces from a functional perspective
Determine the process points where user will interface with the system and the functions the users will perform at those points.

Step ❹: Prepare initial user acceptance criteria
User acceptance criteria should be based on project control, change control, risk management, internal project communication, quality management, issue management and meeting functional criteria.

Section 2: Prepare vendor/solution procurement documentation and select vendor/solution

Part 1. Prepare procurement documentation

Step ❶: Develop detailed request for information (RFP, RFI, RFO, etc.)

Organize and prepare all information collected in Section 1 and incorporate with detailed technical requirements clearly defining what you expect the solution to provide and what functions and features are required. The level of technical detail should take into account various functions and capabilities identified and discussed in various AIIM industry best practices, such as AIIM ARP 1.

Step ❷: Identify potential vendor/solutions to be considered

The organization should evaluate various vendors/suppliers to identify those solutions that have a proven track record within the specific line of business associated with the business unit along with sufficient resources to support any selected products/solutions. While there are numerous vendors/suppliers in the industry, the organization should consider those vendors/suppliers that have a demonstrated track record in successful solution implementation and long-term support. Vendor/Supplier financial stability and local team resources to the organization are also of significant importance along with technical knowledge and "strength" of the local or other resources assigned to the project.

Step ❸: Evaluate vendor/solution responses (create shortlist)

The organization should evaluate the list of vendors identified in Section 1, Part 1-Step 2, to create a "short-list" of vendors/suppliers considered to be capable of addressing previously identified project objectives, goals, and technical requirements. Another consideration for the vendor/supplier "shortlist" is the project methodology and ability to work with the organization. This can be initially evaluated by speaking with client references within a similar vertical market.

Step ❹:. Request vendor/solutions demonstrations/briefings

Each vendor/supplier on the "shortlist" should provide a detailed demonstration of how their product/solution could be used to meet the organizational objectives and goals. The demonstrations should focus on how the solution is used by other similar organizations and how the solution met similar client objectives and goals, with a minor emphasis on vendor/supplier marketing and sales literature. Vendor/Supplier financial stability and local team resources to the organization are also of significant importance.

Step ❺: Select desired vendor/solution

Including representatives from the user community and IT, the management team should select the vendor/solution that will best meet the objectives and goals and will be able to operate within the organization. A good match between methods of operation between organizations is always of value.

Step ❻: Establish vendor statement of work including acceptance criteria

Prepare a complete agreement with the selected vendor clearly defining expectations and how the deliverables will be reviewed and accepted.

Section 3: Work with vendor/solution to design, test, and implement solution

Part 1: System design

Step ❶: Establish project team oversight and management procedures

The team of resources to oversee the project should include resources with experience implementing these technologies and able to provide subject matter expertise to the organization. The oversight resource should work with the organizational management team to monitor to the work of the vendor/solution ensuring the solution is being designed following industry best practices and standards and will meet the objectives/goals of the organization. The vendor/solution provider should be notified early in the procurement process to use the subject matter expert (SME) who will be directly involved in providing guidance to the selected vendor/solution provider.

Step ❷: Vendor prepares system & detailed design documents

The vendor should prepare a full system design document describing all the functions of the system and how they will operate. After the system design is agreed upon, the vendor/solution provider should prepare the detailed design documents that will be used by the developers and configuration/installation staff to build all aspects of the system.

Step ❸: Organization finalize detailed user acceptance criteria

The organization and SME should develop a detailed user acceptance document based on the system design documentation and anticipated functionality ensuring that all components requested in the RFI/RFP/RFO and those bid by the vendor have been developed and/or implemented as expected by the organization.

Step ❹: Vendor develops prototype system

The vendor/solution provider should ALWAYS develop the system in a non-production environment. As the solution nears completion the vendor should establish the prototype system enabling the client organization to fully evaluate the functions and features. This should be functionality testing and not testing to resolve programming/configuration issues. The vendor should ensure that full and detailed testing is completed prior to the client evaluating the prototype system's functionality.

Step ❺: Organization evaluates prototype system

As the organization reviews the prototype system, the users should note those areas that meet their expectations and those areas that need to be updated or changed. It is important to note that as many users have not utilized these technologies previous to accessing the prototype system, that it is common for the users to require changes after reviewing the prototype.

Step ❻: Vendor updates and needed and complete system development

The vendor should complete system development and ensure that all design documentation is updated and continue updating the test environment to enable the organization to continue a process of review and feedback. This will greatly eliminate re-work due to mis-understandings after the system has been fully developed.

Step ❼:. Vendor FULLY tests all aspects of system

It is important for the vendor to fully test all aspects of the system ensuring that the system functions as planned and expected by the organization. This testing should verify that all configurable components have been configured as planned, along with full testing of all functions or capabilities that were developed. Along with detailed unit testing, the vendor should perform detailed end-to-end system testing.

Part 2: Policy creation and implementation planning

Step ❶: Implementation planning and change management considerations

Through all aspects of the project, the organization should include representatives from the business unit, IT, and the management team to plan and discuss the specifics of how the technologies will be implemented and what type of process and organizational change is required to support the new approach to conducting business. This planning is critical to the success of the project and should include establishing "stepping stones" to implement the technologies in phases thereby reducing potentially adverse impacts to ongoing or "daily" business activities that need to continue.

Step ❷: Technical & user training

Both technical staff and end-users should be fully trained in the use of the system. The technical training should be sufficient to enable the technical staff to support the day-to- day end-user activity with the support of the vendor/solution provider. The users should be trained in detail prior to final system testing and during the final implementation planning phases of the project. The closer the user training is to the actual implementation date, the better for the overall project experience.

Step ❸: Business practice documentation preparation

The organization should develop a detailed business process document that clearly documents how information is received, stored, and managed along with the processes, policies and procedures that will be followed. This business process documentation should be completed when the system goes into production and should be updated as the processes change, including documenting whenever the processes or procedures change.

Step ❹: Organizational policy creation/updates

The organization should ensure that all organizational policies are current and accurately reflect how the users will utilize the system. These policies and procedures should be identified in the business process documentation along with a description of how the organization ensures all affected users are notified of the policy and/or procedure.

This checklist was developed by an ad hoc committee in the AIIM Standards Program.

To aid in the use of this checklist, we asked members of the ad hoc committee to volunteer to have their name listed as a mentor. The mentors may be contacted via email with questions regarding the use of this checklist or for clarification of the information provided in the checklist. Each mentor has agreed to not promote their firm's products and services but to freely assist you in the use of this tool. The following are the mentors for this checklist:

Robert Blatt	EID, Inc.	Robert.blatt@eid-inc.com
Robert Elefante	Perficient, Inc.	Robert.elefante@perficient.com
Vigi Gurushanta	eVida Group	vgurushanta@evidagroup.com
Arthur Hedges	Castle Ventures LLC	ahedge@castleventures.com
Joyce Sayed	County of Sonoma	jsayed@sonoma-county.org

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1100 Wayne Avenue, Suite 1100
Silver Spring, MD 20910
Tel 301.587.8202 / 800.477.2446

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About AIIM

AIIM (www.aiim.org) is the community that provides education, research, and best practices to help organizations find, control, and optimize their information. The AIIM community has grown to over 65,000 professionals from all industries and government, in over 150 unique countries, and within all levels of management including senior executives, line-of-business, and IT.

For over 60 years, AIIM has been the leading non-profit organization focused on helping users to understand the challenges associated with managing documents, content, records, and business processes. Today, AIIM is international in scope, independent, implementation-focused, and, as the representative of the entire enterprise content management (ECM) industry - including users, suppliers, and the channel - acts as the industry's intermediary.

About AIIM Standards

AIIM Standards (www.aiim.org/standards) is the leading standards development organization for enterprise content management standards and best practices. AIIM Standards has been an ANSI accredited standards development organization for over 25 years. The program covers a number of technologies which are part of Enterprise Content Management (ECM). In addition to producing and maintaining standards for ANSI, AIIM also produces industry best practices and guidelines. AIIM is also the secretariat for an ISO Technical Committee and an ISO subcommittee on information management and is the administrator of the U.S. Technical Advisory Group(TAG) to ISO TC 171.