

**SAA 99**

# Electronic RM *Strategies & Solutions*

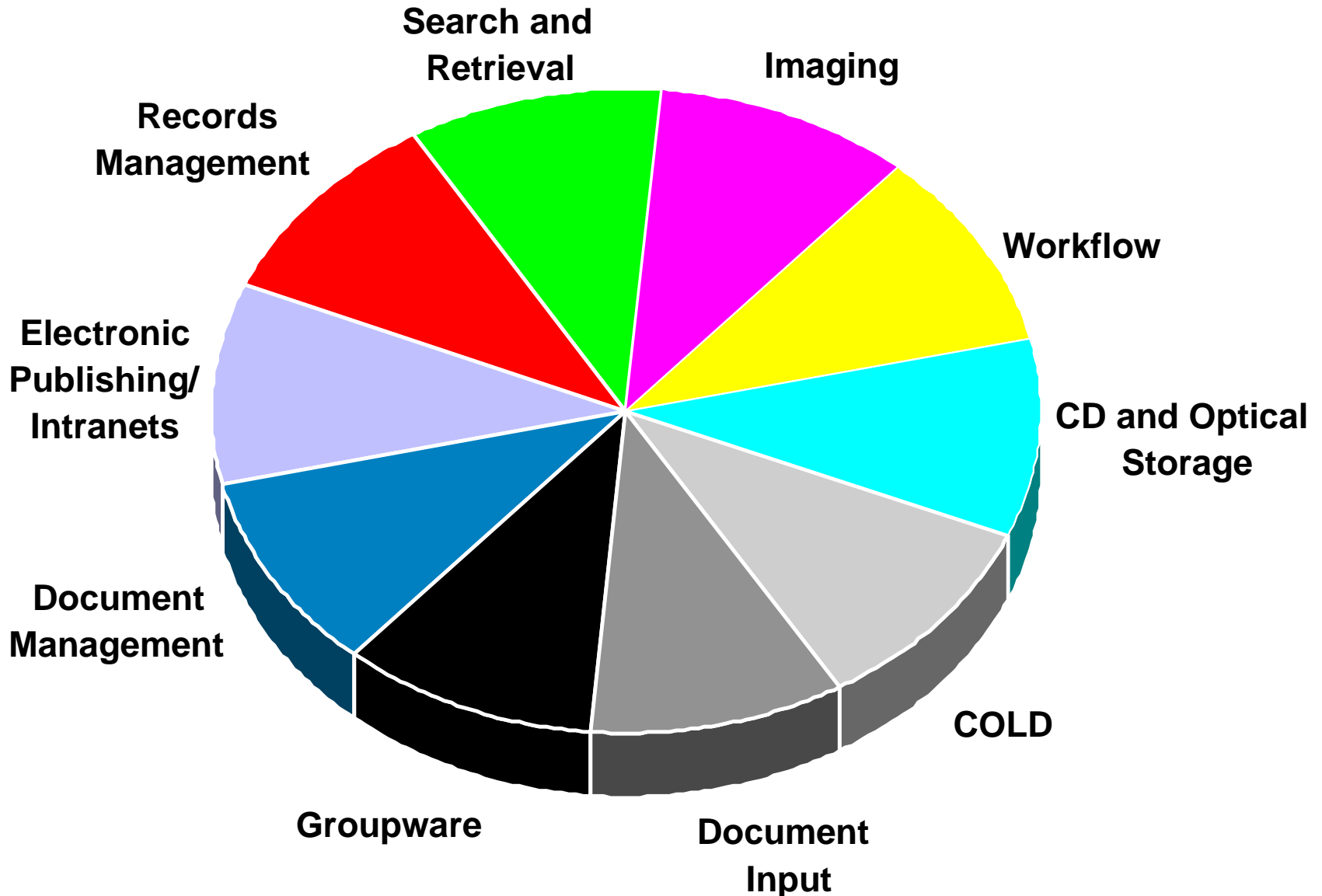
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# *Objectives & Agenda*

- **Introduction**
- **Strategies**
  - How to fail
  - How to succeed
- **Solutions**
  - How to evaluate your needs and candidate solutions
  - How the current RM solutions stack up
- **Questions**

# ***EDMS Technologies***



# *Doculabs' Research Model*



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# *Why most information management projects fail*

## **#1) Business Requirements**

- **Mismeasure values**
  - benefits, costs, risks
- **Mismeasure objectives**
  - business vs. RM
  - asset vs. liability
  - enterprise vs. point

# *Remember These?*

- **1) Control creation/growth of records**
- **2) Reduce operating costs**
- **3) Improve efficiency & productivity**
- **4) Assimilate new RM technologies**
- **5) Ensure regulatory compliance**
- **6) Minimize litigation risks**
- **7) Safeguard vital information**
- **8) Support better decision making**
- **9) Preserve the corporate memory**
- **10) Foster professionalism in running the business**

(Robek, Brown, & Stephens)



# *Remember These?*

- **RM Requirements**
  - 1) Control creation/growth of records
  - 5) Ensure regulatory compliance
  - 6) Minimize litigation risks
  - 7) Safeguard vital information
  - 9) Preserve the corporate memory
- **Business Requirements**
  - 2) Reduce operating costs
  - 3) Improve efficiency & productivity
  - 8) Support better decision making
  - 10) Foster professionalism in running the business

# *Remember These?*

- **IT Requirements**
  - 4) Assimilate new RM technologies

# *Why most information management projects fail*

## **#2) Resource Requirements**

- **Mismeasure resources**
  - \$, time, expertise, people
- **Acquisition vs. Project lifecycle**
- **IT, RM, Business Units, ..., customers, partners, suppliers**

# *Why most information management projects fail*

## **#3) Application Requirements**

- **Overemphasize features and functions**
  - RFP process
- **Application Requirements don't implement your Business Requirements (#1), within the constraints of your Resource Requirements (#3)**

# *Why most information management projects fail*

## **#4) Technology Requirements**

- **Tactical, not Strategic enterprise architecture**
- **Architecture enables Functional & Technical capabilities**
  - **Functional = your Application Requirements (#3)**
  - **Technical = scalability, security, reliability, openness...**

# *Why most information management projects fail*

## **#5) Development Requirements**

- Your system is either not flexible or too complex -- stuck in Prototype Paralysis**
- Eastman DMX, Domino.Doc, IBM, Documentum, FileNET, Open Text**

# *Why most information management projects fail*

## **#6) Vendor Requirements**

- **Vendor, integrators unstable**
  - Eastman, PC DOCS, Open Text
  - RM vendors & integrators

# *Why most information management projects fail*

## **#6) Vendor Requirements**

- **Inappropriate company or product strategy**
  - **Documentum, NovaSoft, PC DOCS**
  - **One-trick ponies, commodity vendors**

# *Why most information management projects fail*

## **#6) Vendor Requirements**

- **Inability to provide solution, support**
  - **Challenge for all RM vendors**
  - **Open Text, Documentum**

# *How to succeed at information management*

- **Your Organization's #1 Objective: “provide good government”**
- **CIO's #1 objective: “manage information in order to fulfill #1”**
- **Using: info, applications, infrastructure, people, policies, practices**

# *Five Key Business objectives for information management*

- #1) **Comply** with regulations
  - 5015.2, Paperwork Elimination/Reduction Act, SEC Rule 17, EFOIA
- #2) Reduce pain of **litigation**
  - FDIC, EPA, etc.

# *Five Key Business objectives for information management*

- **#3) Reduce/avoid operational **costs** of physically managing information**
  - Paperwork Elimination/Reduction Act
  - by Digitization
- **#4) Increase **productivity** by effectively managing information**
  - Decrease cycle time, do more, streamline
  - by process automation
  - Some process & organizational changes

# *Five Key Business objectives for information management*

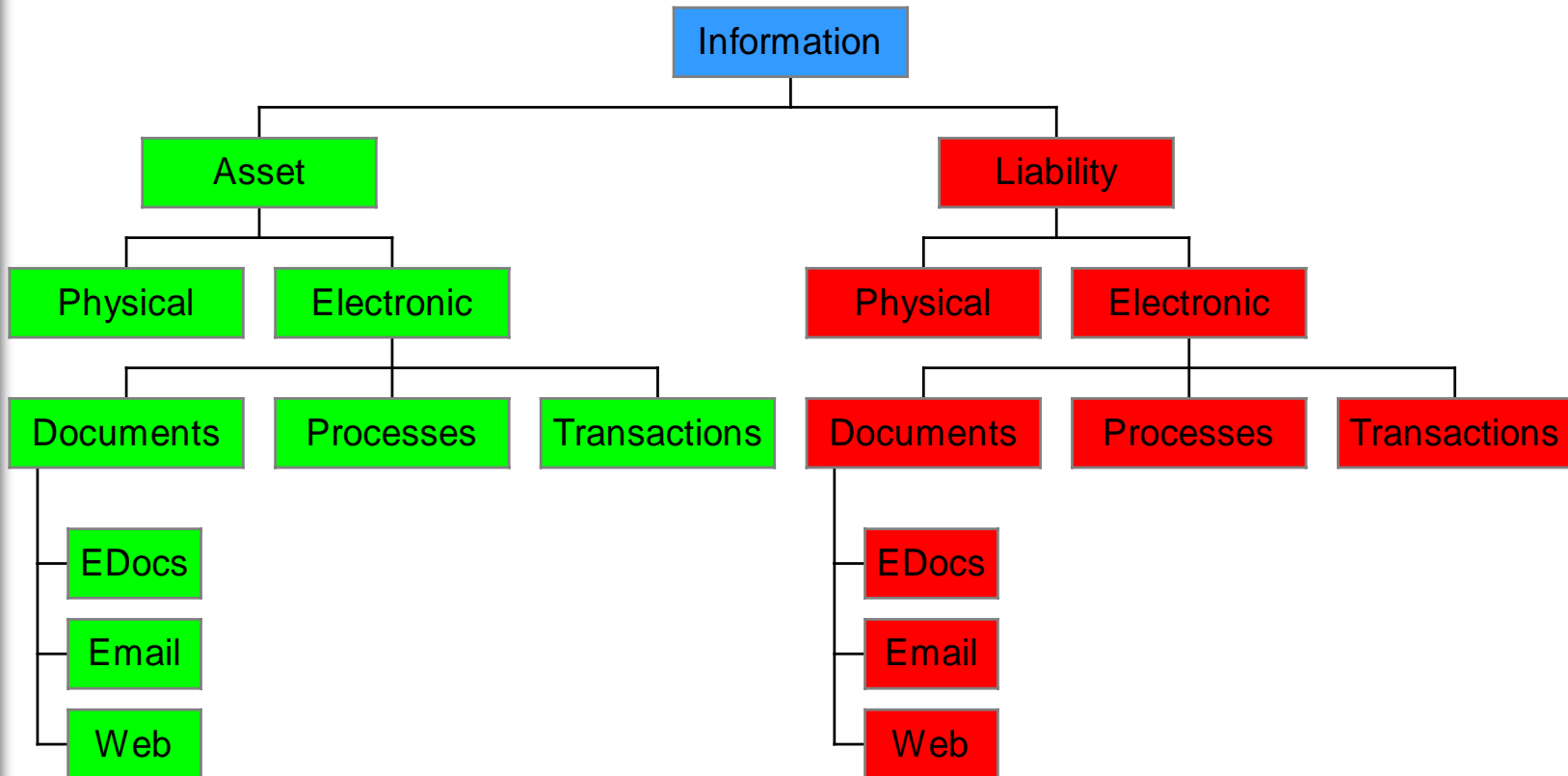
- #5) Gain **strategic** advantage/leverage opportunities
  - New ways of doing business: e-commerce, CRM
  - Content vs. container management
  - Serious infrastructure, process, & organizational changes

# *How to achieve the key objectives:*

## *#1) What information management means:*

- 1. **Increase** the value of your info assets
- 2. **Exploit** it
- 3. Keep it from becoming a **liability**
- 4. If it does, **minimize** the damage

# #2) What your information looks like:

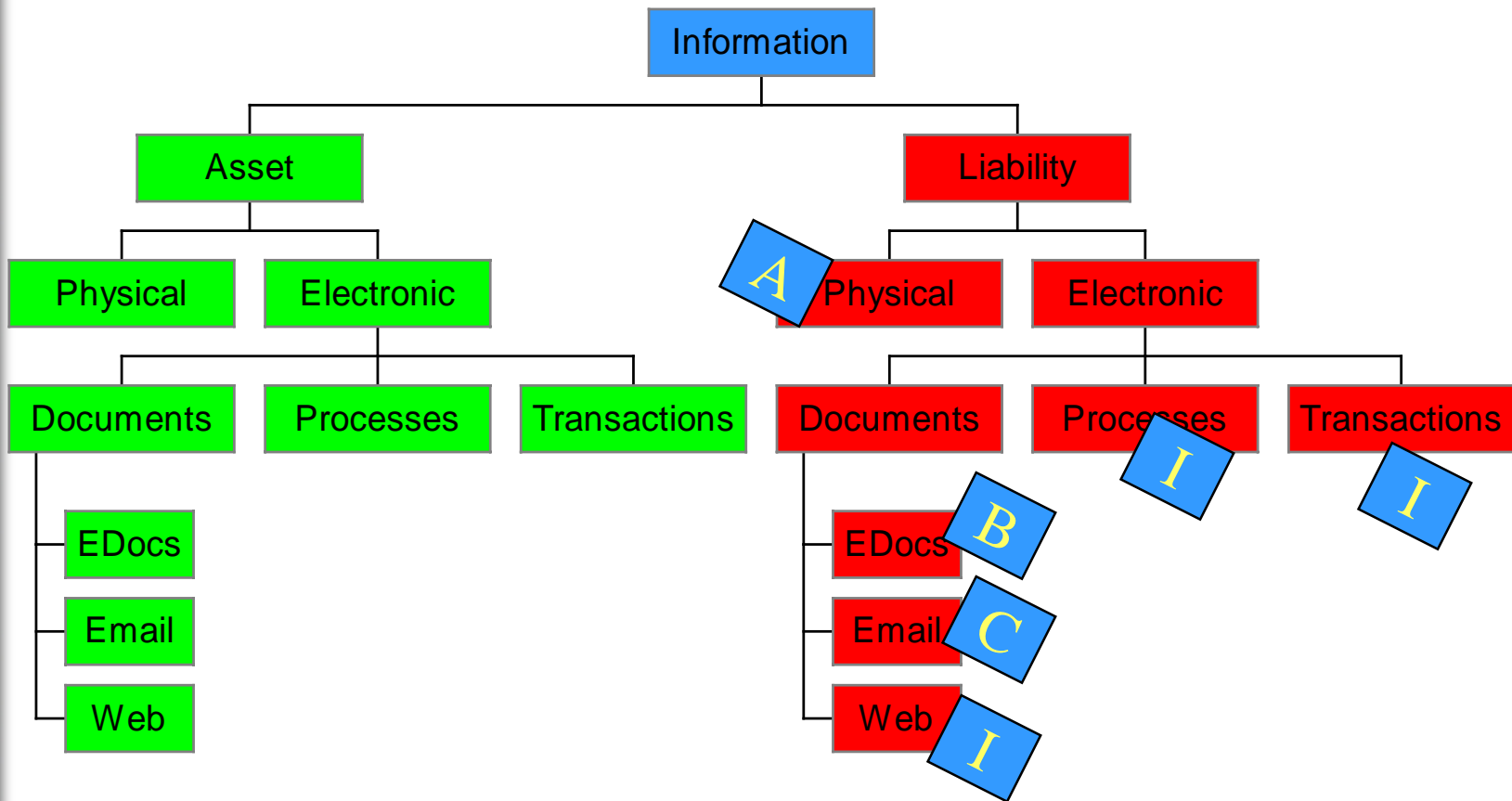


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# #3) *How to manage information as an asset:*

- **EDMS** products can do this
  - getting right info to right person at right time
  - DM, imaging, COLD, Workflow
- Currently, **KM** products are better at increasing your information's value than in exploiting it
  - solutions in search of a problem
- Exploiting is about **putting it to work**
  - info-enabling applications with workflow, embedding, integrating

# #4) Information as a liability is hard: Report Card



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# *#5) This is the nature of your problem*

## **Business Requirements**

- Reduce costs
- Increase productivity
- Secure strategic advantage

## **Functional Requirements**

- DM and imaging
- Collaborative workflow
- Web content management

## **Technical Requirements**

- Web- & messaging- based
- Distributed & highly scalable
- not MS-centric

## **RM Requirements**

- Comply
- Reduce litigation pain

## **Functional Requirements**

- RM of email
- Unified RM
- Records Center

## **Technical Requirements**

- Absolutely minimal resource requirements
- Extremely configurable



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# #6) Calculate your deployment strategy

| Objective               | Requires   | Pain<br>(cost & risk)  |
|-------------------------|--|--|
| #1 Reduce costs         | - digitization   | - cost: low<br>- risk: solutions plentiful but many not viable                                       |
| #2 Improve productivity | - #1<br>- workflow<br>- process & organizational change                  | - cost: significant<br>- risk: fewer solutions<br>- risk: failure of process & organizational change |
| #3 Strategic advantage  | - #1 & #2<br>- early adoption of applications<br>- infrastructure change | - significant cost & risk  |

## *#7) Map your route*

- **Physical RM**
- **E-Docs RM**
- **Email**
- **Web RM**
- **Process and Transaction RM**
- **EDMS and RM (any of the above)**

# *Recommendations*

- **1) Address current pain**
- **2) Vendor/product should enable your next steps**
- **3) Prepare your IT infrastructure**
- **4) Prepare your organization**

# *Recommendations*

- **5) EDMS (and RM) is infrastructure**
- **6) Don't buy 1-trick ponies, commodity offerings, etc.**
- **7) Avoid Beltway Bandits**

# *Recommendations*

- **8) Don't let your procurement requirements prevent you from getting a good solution**
- **9) Understand the complexity of electronic storage**
  - **Box, media, card, PC, OS, management S/W, application S/W**

# *10) Exploit Us*

- **This presentation**
- **Ask me for the 1998 RM Benchmark Study - and the 1999 Benchmark Study**
- **Ask me for information on DM, Workflow, Imaging, KM, Input, Storage, COLD, E-Commerce, Web Application Development, etc.**
- **“Helper Docs” to get you started (survey samples, “enabling conditions”, methodology material)**
- **Articles on (almost) all aspects of EDMS**
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# Objectives & Agenda

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# *So What are the Key Factors?*

- **1. Business Requirements**
- 2. Resource Requirements**
- 3. Application Requirements**
- 4. IT/Technology Requirements**
- 5. Development Requirements**
- 6. Vendor Requirements**

# *How should you measure them?*

- **End Users:** surveys, interviews, walk-thrus, existing documentation, other research
- **Solutions:** primarily by simulating real-world application development and deployment in a laboratory; secondarily by research on vendors, users

# *1. Business Requirements*

- **Weight your values**
  - **How do you want to balance your expected Benefits, Costs, Risks?**
- **Understand the challenge posed by RM**
- **Clarify your information management objectives**

# *Weight your values*

- **How do you want to balance your expected Benefits, Costs, Risks?**
- **Max Benefits, tolerate higher costs, higher risks (e.g. Fidelity, Schwab)**
- **Min Costs, tolerate lower benefits, higher risks (e.g. 'old' Treasury/Mint)**
- **Min Risk, tolerate lower benefits, higher costs (e.g. FDIC)**

# *The RM Challenge*

- **1. Business Requirements**
- **2. RM Requirements**
- **3. Business/RM Requirements**
- **4. Functional (Application) Requirements**
- **5. Implementation (IT and Development) Requirements**

# *Clarify your Objectives*

## **Objectives, Necessary Conditions, Costs & Risks**

- **1. Comply with regulations**
- **2. Reduce risk/cost of litigation**
- **3. Reduce/avoid costs of physically managing documents**
- **4. Increase productivity by effectively managing documents**
- **5. Gain strategic advantage/leverage opportunities...**



## ***2. Resource Requirements***

### **The resources necessary for total Information Management initiative**

- **IT, LOB Business Units, Other organizational areas**
- **Product lifecycle: acquire, develop, deploy, administer, train, use, support, maintain, migrate**
- **Resource types: time, expertise, people, funding**

### *3. Application Requirements*

#### **Functionality of product**

- Really only category that changes**
- Depends on technology segment, vertical market, application**
- Administrative capabilities (Coordinator)**
- User capabilities (Contributors, Consumers)**

## ***4. IT Requirements***

- **Criteria related to your current and future IT infrastructure and environment**
- **1) Implementation level**
  - **Platforms, operating environments, databases**
- **2) Architecture and design level**
  - **2-tier vs. 3-tier, 32-bit vs. 16-bit**

## *4. IT Requirements*

- **3) IT capabilities level: scalability, integration, availability, reliability**
  - **Enterprise: users, transactions, volume, distribution, integration, resource sharing**
  - **Integration: OS, source applications, LOB, EDMS, Nets**

# 5. *Development Requirements*

- **Flexibility:** degree to which you can customize product
- **Complexity:** degree to which you must customize product
- **C++, VB, Java, Wizards, Templates**
- **Prototype paralysis**

## *6. Vendor Requirements*

### **Appropriateness of vendor for your users and applications**

- **Stability**
  - **benefits vs. risks vs. costs**
  - **I.E. >\$10M, segment leader**

## ***6. Vendor Requirements***

### **Appropriateness of vendor for your users and applications**

- **Strategy**
  - **Company and product**
  - **PC DOCS & Fulcrum & Hummingbird & Open Text**
  - **Eastman, FileNET & Panagon, Anyone and KM, Anyone and RM, Documentum**

## ***6. Vendor Requirements***

### **Appropriateness of vendor for your users and applications**

- **Support**
  - **High variability, volatility**
  - **Supply chain is infantile**
  - **Beltway Bandits**

# *Benchmark Study Participants*

- **Cuadra Associates (STAR)**
- **EDUCOM (RecordMANAGER)**
- **Information Network, IN Inc. (InSight)**
- **Provenance Systems (ForeMost)**
- **PSSoftware (RIMS)**
- **TOWER SOFTWARE (TRIM)**

# *High-Level Evaluation Criteria*

- **Business Requirements**
- **Resource Requirements**
- **Application Requirements**
- **Technology & Development Requirements**
- **Vendor Requirements**

# *Application Requirements*

- **Functionality of product**
  - RM, DM, Workflow, Imaging, etc.
- **Coordinators, Contributors, Consumers**
- **Records Managers, End users**

# *Records Management Capabilities*

- **Coordinator = Records Manager**
- **Capabilities:**
  - file plan
  - access control
  - file & box handling
  - charge-in & charge-out
  - managing retention & disposition
  - records center capabilities
  - reporting

# *End User Capabilities*

- **Contributor = End user who creates, files & classifies, searches, requests, and retrieves**
- **Capabilities:**
  - end-user functions
  - general usability
  - client-side integration with desktop applications & EDMS products
  - browser-based access to the RMS.

# *End User Capabilities*

- **Consumer = End user who only searches, requests, retrieves, views**
- **Capabilities:**
  - **consumer functions**
  - **general usability**
  - **browser-based access to the RMS**

# *RM Capabilities*

- **Records center management**
  - beyond paper tracking
  - inventory & shelf management
  - billing
  - reporting
- **Electronic records management**
  - management not end-user functions
  - source apps: WP, email, Web
  - EDMS, multi-EDMS, extra-organization



# *End User Capabilities*

- **Capabilities important to end users who may not be familiar with records management.**
- **This includes:**
  - **types of features provided**
  - **general usability**
  - **client-side integration with desktop applications or EDMS products**
  - **browser-based access to the RMS**

# *End User Capabilities*

- **File & Classify**
  - **General usability, client-side integration with desktop applications or EDMS products, and browser-based access to the RMS**
- **Web Offering**
  - **Consumer (search, retrieve, request, view), contributor (file & classify), coordinate (administration)**

# *IT Capabilities*

- **Capabilities important to IT personnel and administrators, criteria related to your current and future IT infrastructure and environment**
- **This includes:**
  - **platform and database support**
  - **architecture**
  - **scalability and integration**
  - **flexibility and complexity of development**

# *IT Capabilities*

- **Internal flexibility (configurability)**
  - Ability to customize internal capabilities of product
- **External flexibility (integration)**
  - OS, source applications, LOB, EDMS, Nets

# *IT Capabilities*

- **Pervasive enterprise deployability (maximum deployment)**
  - scalability, (users, transactions, volume), availability, distribution, integration, resource sharing
- **Minimal deployment**
  - single-user and up

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