Introduction to Enterprise Content Management

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# Table of Contents

1.0  **Solving Business-Critical Problems with Enterprise Content Management** ................................................................. 6  
1.1  **Save Time** ............................................................................................................................................................................. 6  
1.2  **Increase Productivity and Efficiency** ................................................................................................................................. 8  
1.3  **Enable Automation** ................................................................................................................................................................. 10  

2.0  **Enterprise Content Management Basics** ............................................................................................................................ 12  
2.1  **About Enterprise Content Management** ............................................................................................................................. 12  
2.2  **Usability** .................................................................................................................................................................................... 12  
2.3  **Capture** ..................................................................................................................................................................................... 13  
2.4  **Indexing and Retrieval** ............................................................................................................................................................... 15  
   2.4.1  **Full-text indexing** ................................................................................................................................................................. 16  
   2.4.2  **Template field searches** ......................................................................................................................................................... 17  
   2.4.3  **Folder/file structure searches** ................................................................................................................................................ 18  
2.5  **Annotations** ................................................................................................................................................................................ 19  
2.6  **Records Management Considerations** .................................................................................................................................. 20  
2.7  **Distribution** ............................................................................................................................................................................... 20  
   2.7.1  **Internet Publishing** ............................................................................................................................................................... 20  
   2.7.2  **Workflow** ................................................................................................................................................................................. 21  
   2.7.3  **Security** .................................................................................................................................................................................. 23  
   2.7.4  **Integration** .............................................................................................................................................................................. 23  
   2.7.4.1  **Back-End Integration** ......................................................................................................................................................... 23  
   2.7.4.2  **Front-End Integration** ......................................................................................................................................................... 23  

3.0  **Conducting a Needs Assessment and Developing an Implementation Plan** ............................................................................. 24  
3.1  **Conducting a Needs Assessment** .............................................................................................................................................. 24  
   3.1.1  **Analysis** .............................................................................................................................................................................. 24  
   3.1.2  **Process Analysis** ................................................................................................................................................................. 25  
3.2  **Developing an Implementation Plan** .......................................................................................................................................... 26  
   3.2.1  **Creating an implementation plan** ......................................................................................................................................... 26  
   3.2.2  **Choosing what to outsource** ............................................................................................................................................... 27
8.4 Section 4: Maintaining Special Records ..................................................55
  8.4.1 Electronic records ...........................................................................55
  8.4.2 Audiovisual records .....................................................................56
  8.4.3 Cartographic and architectural records .......................................56
  8.4.4 Micrographic records ..................................................................56
8.5 Section 5: Records Disposition ...........................................................57
  8.5.1 Records schedule development ...................................................57
  8.5.2 Records schedule implementation ..............................................57
8.6 Section 6: Vital Records/Business Continuity Planning ....................58
  8.6.1 Vital records .................................................................................58
Introduction: Using Enterprise Content Management to Increase Efficiency

This course is designed to introduce you to Enterprise Content Management, both as a whole and in highlighting its various components. It covers the basics of ECM software, the different components of an ECM system, and how organizations can operate more efficiently using ECM. Because this course is introductory, no familiarity with ECM technology in general or Laserfiche in specific is required. In fact, it is ideal for anybody new to the Laserfiche project, or interested in seeing what the latest version of the software has to offer.

In addition to this manual, there are five videos that will illustrate how Laserfiche ECM can improve business processes and highlight the primary disciplines that make up ECM. We hope you find it helpful and informative.
1.0 Solving Business-Critical Problems with Enterprise Content Management

1.1 Save Time

A recent PriceWaterhouseCoopers study reports that the average worker spends 40% of their time managing non-essential documents, while the IDC estimates that employees spend 20% of their day looking for information in hardcopy documents and that, 50% of the time, they can’t find what they need.

With content management, instead of searching for information or pushing paper, you spend time meeting the needs of your current customers and acquiring new ones. Instead of spending their days searching for information or filing documents, your staff spends their time more productively.

A content management system can help you save time by:

- Answering information requests immediately, eliminating call-backs and phone tag.
- Responding quickly to auditors’ requests for information.
- Immediately locating documents and highlighting essential information.
- Eliminating lost documents that must be recreated and re-filed.
- Spending less time filing and archiving documents.
- Cutting time spent copying and distributing documents to staff, branch offices and outside contacts.
- Speeding document-handling workflow by enabling automation.

By implementing a document management solution, you stop spending your time handling paper and start spending your time doing what you do best—serving your clients.

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2 Retrieved August 9, 2007 from http://findarticles.com/p/articles/mi_m0EIN/is_2005_Feb_16/ai_n9535682
Client Story: Iredell Memorial Hospital

Saving $40,000 a month and eliminating 80% of paper, without losing a single record

For Iredell Memorial Hospital, lost records meant enormous losses in revenues. But keeping critical information available to those professionals who need it is also a tremendous challenge at the facility, which delivers outstanding, cutting-edge care. With 135 physicians on staff, several specialized treatment centers and nearly 5,000 emergency room visits per month, Iredell staff found their workflow and productivity hampered by their records system, which involved assembling, distributing, storing and retrieving volumes of paper.

With as many as 300 ER visits on a single weekend night, lost and misplaced records forced the hospital to write off about $40,000 per month, with no way to properly code and bill for the visits. To solve the problem, management looked at a number of products over several months.

"Laserfiche gave us what we needed and it was very user-friendly," says Medical Records Director Marsha Hunter. "And we could develop the different templates and have a direct interface with the Keane Patient Management System®, which runs our patient accounting system. We manage patient charts electronically instead of on paper. The interfaces were easily written using the HL7 protocol and we created index fields that allow authorized staff throughout the hospital to quickly search for any records."

The ER staff scans the records into Laserfiche, which reads the bar code and pulls relevant patient information and date of service from the Keane application. Staff no longer needs to manually input the data so labor time greatly reduced. Quick access to patient information from anywhere in the hospital is an added benefit.

"At the end of just two weeks we had scanned all the records from the previous month," notes Hunter. "We had a fully functional system and the coders were coding remotely. Getting this kind of technology solution in place normally takes months."

Switching to Laserfiche produced dramatic results in streamlining workflow and hospital processes. Previously, the records system had been 100 percent paper, with the average ER chart composed of about 15 pages. In addition, the ER reception clerk routinely made and distributed four copies, one for
hospital billing, one for physician billing, one for the quality department and one for the nursing staff.

Now the ER staff scans in records after the patient leaves, and anyone who needs to can view them—even simultaneously. Today, the hospital uses Laserfiche in its rehabilitation center, cancer center, radiation therapy center, medical records department, quality department and in administration. As Iredell continues to explore electronic document management, Hunter looks forward to using Laserfiche as the cornerstone of an electronic medical records (EMR) system. "I want to make Laserfiche the document management system for the entire hospital," she says.

1.2 **Increase Productivity and Efficiency**

Put the right tools—and the right information—in the hands of the right people. From an intelligent document search that helps customer service answer questions more quickly to workflow automation that maintains the pace of business processes and alerts managers to employee action and inaction, an enterprise content management system can help your organization increase productivity and efficiency.

**Reduce misfiling, document retrieval time and photocopying costs** with a single system that manages paper and electronic documents, physical records, multimedia files and e-mail. Using one platform to manage all your organizational information allows you to apply organizational records policies and procedures consistently, regardless of document format.

Content management helps increase productivity and efficiency with:

- Instant document retrieval.
- Intelligent search methods that support searching with whatever criteria you have available.
- Streamlined document distribution and improved accountability with automated workflow routing and notification.
- Reduced labor and clerical mistakes with automated OCR and indexing.
- Management of your entire organizational archives from your desktop computer.
- Fast document distribution with Web and CD publishing.
- Reduced manual data entry costs with comprehensive document and data capture tools.
Digital content management provides your staff with immediate access to the information that allows them to make better decisions about issues that impact your organization’s bottom line. With digital content management, employees will be able to support their work processes, work more efficiently, collaborate more effectively and make better-informed choices—dramatically increasing productivity while accelerating the pace of business and keeping your clients satisfied.

Client Story: The Compensation Advisory Organization of Michigan

Saving money, time and space, all while dramatically increasing productivity

Imagine doing more work in 20 percent less space while requiring fewer personnel hours. And imagine doing that while not simply maintaining current levels of customer service, but actually enhancing client relations.

The Compensation Advisory Organization of Michigan (CAOM) achieved that when it used Laserfiche to convert its paper files into digital images. And, says Senior Vice President Jon Heikkenen, "We can't say how much we're pleased with it. It's just been excellent, in our opinion."

CAOM is a nonprofit service agency supported by the 200 insurance companies that supply a quarter-million Michigan employers with workers' compensation insurance. The organization receives and files copies of each company's workers' comp policy and distributes them to the state Labor and Insurance Departments. Finally, it creates an annual report of the entire insurance program. All these functions add up to quite a big job for a staff of 45 people, working in one vast office nearly a quarter-acre in size.

"We had massive numbers of paper files. Some of those files were 40 years old and still active. Anybody could request them, and we'd have to come up with them," Heikkenen adds. "When a file went missing, staff would have to go on a search for it. They could easily spend half an afternoon looking for a single file, which was usually sitting on someone's desk. That doesn't happen anymore, because with Laserfiche, we were able to reorganize our office. We got rid of 250,000 paper files by scanning them into the Laserfiche repository."

Eliminating the paper files saved CAOM about 2,000 square feet of expensive storage space, Heikkenen notes. With the added space, the organization reorganized its collection of side-by-side
desks into friendly clusters of private cubicles. Now, when staff members need a file, they can call it up instantly, without leaving their desks. Moreover, multiple staff members can now access the same document simultaneously.

The system was implemented by Terry Warns & Associates, a Laserfiche reseller serving the Detroit area. Heikkinen notes that Warns provided him with valuable advice early in the process. "I'd had quotations from other companies in the six-figure range, for software alone," he explains. "I wasn't going to go to my governing committee and say 'Give me a million dollars and I'll make the system work.' I didn't know whether it would work. Then Terry came along and said, 'Why don't we start small, with this system that we can make work, for an initial investment of $50,000, including hardware and software? If you like it, we can expand from there.' So we did that. We made that initial investment of $50,000. And we liked it so much that we made another investment of $50,000 right after it. And we're going to expand even more.

"Frankly, for the money we spent, I think we got a lot."

1.3 **Enable Automation**

Your organization’s staff searches for information, acts on it, moves it and archives it every day. This process, with its manual searching, faxing, photocopying and hand distribution, is costly and time-consuming. The inefficiencies of this process divert staff from the crucial business of making productive use of the information.

Enterprise content management solutions, with an automated workflow component, deliver more efficient and cost-effective document-centered work processes. **A workflow solution reduces costly paper handling with intelligent document routing and saves time and money by reducing photocopying, hand delivery and repetitive dragging and dropping.** Workflow rules automatically route documents from one staff member to the next, in the order you specify. Automated e-mail messages alert staff members when documents require their attention. Additionally, the workflow component can be used to automate other tasks within the system, such as naming and filing documents.

A workflow solution allows your organization to:

- Create a virtual work process model.
• Design rules-based routing systems to streamline document-handling procedures.

• Automate standard system tasks, such as ensuring a consistent naming and filing convention.

• Monitor user activity, guaranteeing efficiency and project completion while enabling enhanced staff efficiency reporting.

Enterprise content management gives you the power to recapture lost hours, reduce your overhead expenses and increase profitability, all while improving the level of service you provide to your customers. Time saved can be devoted to cultivating new customers and generating additional revenue.
2.0 Enterprise Content Management Basics

Most organizations generate large amounts of paper and electronic documents. Traditional methods of storing paper and electronic records require a great deal of effort to manage, distribute and find those documents. As a business grows, so do files, and so does the time and effort required to manage them.

Enterprise content management revolutionizes the management of information and provides the ability to rapidly find, retrieve and share all important information. This section will provide you with more information on what content management is, how it works, and essential components of an enterprise-level content management system.

2.1 About Enterprise Content Management

The process of content management begins with the conversion of paper or other documents into digitized images. These images can be easily organized and quickly retrieved, indexed and archived. When files are scanned or electronically converted, a high-resolution digital copy is stored on a hard drive. Templates, or electronic index cards, can associate information, such as author, reference number, date created or key words, with a document. Files can be viewed, printed, shared and stored. Which documents users can read and what actions they can perform on these documents depend on the level of security that the system administrator has assigned to them.

Digital content management represents a significant advance over storing information on paper. No longer just ink on a page, the document becomes active content after processing by Optical Character Recognition (OCR) technology. The Laserfiche system offers numerous effective search tools for document retrieval, including full-text search, template field searches and a visual filing scheme that permits users to browse for documents. The general philosophy is that you should be able to find content based on anything you know about it.

2.2 Usability

One of the most important factors in how successful a content management system will be is how easy it is to use. Usability is critical in encouraging rapid staff acceptance. A system will only be widely used if it is simple to capture documents, organize and find them. Laserfiche is user-friendly and flexible enough to adapt to the way people already work within an organization, rather than forcing them to change their preferred way of working. The user-friendly interface not only assures rapid adoption of the
content management system by staff, but also reduces training expenses associated with implementation.

Client Story: Eaton County, Michigan

Eliminating one hundred years of records with only one day of training

About 21 years after the Eaton County Courthouse was built, it had run out of storage space. The county’s Manager of Information Services, Robert Sobie, decided it was the perfect time for the record-keeping revolution he’d been planning.

"Our paper records are the lifeline of what we do," Sobie says. "You cannot process a court case unless you have a case file. You can't construct a building unless you have a building permit. We need all that information; we just have to store it differently today than we've been doing over the past 100 years."

Sobie implemented a Laserfiche system with support for ten users, operating over the county’s Novell network. A temporary employee is scanning in their paper documents. "She knew very little about computers and nothing about document imaging," Sobie says, "but it took us only a day to teach her what to do. That's how user-friendly Laserfiche is."

The first records being scanned into the system are those of the Construction Codes Department—applications and building permits. Next to be scanned in are the county court records, and sheriff's department records—all the data and photographs of people charged with crimes.

Ultimately, the county plans to extend the system to the Registrar of Deeds office. "We've been supplying the title companies with microfilm copies of deeds and mortgages after they're filed," Sobie says. "We won't do that anymore. We'll supply them with a week or a month of land-record images on a compact disc that will have Laserfiche software on it as well as the images. The title companies are very excited about that—but what they're going to like even better is access to the county network. They're going to be able to sit in their offices and see those images on our system as quickly as we scan them in.

"I tell you, we're on the cusp of a records revolution."

2.3 Capture
For a content management system to enhance business operations, it must accommodate all the types of content—paper, electronic, fax, audio and video, to name a few—that are part of an organization’s processes and procedures. There are three primary ways to bring files into a Laserfiche system:

- **Scanning or imaging** (for paper files).
- **Importing** (for archiving electronic documents such as Microsoft® Office® files, spreadsheets, faxes, audio and video).
- **Conversion** (for creating unalterable images of electronic documents).

**Scanning** a document produces an image that can be stored on a computer. When scanning, a physical document is scanned and converted into a digital image, which is then stored in the content management system.

**Document importing** is the process of bringing electronic files, such as Microsoft Office suite documents, graphics, audio clips or video files, into a content management system. Files can be dragged into a Laserfiche system and remain in their native formats. These files can then be viewed in their original format with the originating application.

**Converting** documents is the process of transforming electronic files, such as word processor or spreadsheet documents, into a permanent image format for storage within a content management system. Windows® applications, such as Microsoft Word® or Excel® or Autodesk® AutoCAD™, can print existing files into an unalterable image of the document. These images are then stored as archival-quality TIFF (Tagged Image File Format) files. For documents, the conversion process also pulls a clean stream of text directly from the document, eliminating the need for OCR. This text file can then be used for full-text indexing of the document to assist with searching. Converting electronic documents bypasses scanning, saves paper and printer ink and produces a cleaner image than scanned paper files. This method of imaging electronic documents is best suited for permanent archives.

Organizations that image a significant number of files a day will quickly realize the importance of batch processing. When large numbers of documents need to be brought into Laserfiche daily, it is inefficient to process each one individually. Bringing files into the system in one batch speeds up processing.

In high-volume scanning operations, automatically separating and indexing documents using **bar codes** saves time and money. Bar codes index documents by extracting fields from an external database, by filling in fields with pre-assigned values, or by associating certain documents with a particular index template. Bar codes can act as markers to indicate the beginning of a new document, automating document separation. While bar codes require some preparation, their benefits can be enormous. For example, if 2,000 voter registrations, 500 inquiries and 2,500 pages of legislative minutes were to be scanned, with bar code stickers placed on each document,
the system would then automatically read the stickers, determine the start of each new document, assign the correct type of index template for each and fill in template field information automatically.

Organizations that repeatedly process the same forms may want to use Zone OCR to reduce data entry time and demands on system memory. Zone OCR saves time through automated document indexing that reads certain regions (zones) of a document and then places information into the appropriate template fields.

For organizations with multiple offices, it is important to ensure that a content management system permit users at both central and branch offices to capture and access documents as necessary.

### 2.4 Indexing and Retrieval

In a recent survey, three-fourths of executives said that information is their organization’s most important asset. Ensuring that this information is readily available to the employees who need it is thus one of the major challenges today’s executives need to address.

An enterprise content management system is uniquely positioned to help you solve one of today’s most pressing business problems: helping employees quickly search through thousands of documents in order to pinpoint the information they need. Many employees use search tools that are nearly identical to commercial search engines designed for use with the internet. Although these search engines are efficient at helping consumers find information—such as the Web pages of all the retailers selling a certain product—they are not geared toward the specialized searches necessary in many business environments.

Most commercial search engines only support basic keyword searches. The user types in a word or phrase, and the engine returns a group of matching documents. Typically, the engine ranks results according to its own logic; depending on the user’s needs, this ranking system may or may not be helpful. Often, users must spend a significant amount of time sifting through the results in order to find the information they’re looking for.

A Laserfiche system allows users to better focus their searches on the particular problem they need to solve. For example, suppose that an employee in your organization’s documentation department needs to find minutes from a meeting at which the attendees discussed electronic methods for delivering product documentation to customers. A keyword search on the terms “electronic” and “documentation” has the potential to return a number of documents that are not relevant to this user’s needs. To narrow the search and find the relevant document more quickly, the employee needs more advanced search capabilities.
A full-featured content management system makes it easy to find what you want when you want it. Retrieval of relevant documents should be fast, easy and efficient, with multiple methods of indexing (categorizing) information. Indexing allows users to quickly sort large volumes of data to find the right information. Whatever the combination of indexing methodologies, search methods need to be easily used and understood by the people who retrieve the documents, as well as those who file them.

There are three primary ways of indexing files in a content management system:

- Full-text indexing, or indexing every word in a document.
- Metadata, or indexing through keyword categories of documents.
- Folder/file structure, or indexing by associated document groups.

Retrieval is where the quality of the indexing system is most evident. Laserfiche’s powerful indexing system will make it possible for users to find any document based on what they know, even if that amounts to no more than a word or phrase within the document.

### 2.4.1 Full-text indexing

**Full-text indexing** allows users to locate any word or phrase that appears in the document. By providing full-text indexing, document management systems can eliminate the need to read and manually index documents using keywords.

To enable full-text indexing, the software must have the capability to perform **Optical Character Recognition (OCR)**. The OCR process translates printed words into alphanumeric characters, enabling each occurrence of a word to be tracked by the application. OCR dramatically reduces the cost of manual indexing while providing improved search capabilities.

There are several helpful options to maximize the effectiveness of full-text searches:

- Fuzzy Logic
- Stemming
- Boolean Operators

Most searches assume that the search words have been spelled correctly and perfectly indexed during the OCR process or during manual entry into template fields. Unfortunately, people frequently misspell words and no OCR process is 100% accurate. **Fuzzy logic** compensates for these errors by searching for spelling variations. For example, a fuzzy logic search for the word “goat” would also find “gout” and “coat.”
Similar to fuzzy logic, the Text search type also includes search word **stemming**, which allows you to find all words that naturally stem from the root of your original search term. For example, if you searched for the word "joust," you would find documents that contained the word "joust" as well as ones that contained "jousts," "jousted," "jousting," etc.

Whenever full-text searches are performed, there are usually several documents that meet the search criteria. **Boolean operators** (AND, OR and NOT) help fine-tune searches and reduce the number of unrelated documents on the results page. For example, to find documents relating to Gray Davis, the former governor of California, and not to the University of California at Davis, you could search for “Davis AND governor.”

### 2.4.2 Template field searches

**Template field searches** enable users to comb through millions of records in seconds to find necessary documents. The ability to use index field information to locate documents is important in cases where a topic search is more expedient than finding every occurrence of a particular word or where the repository contains images without printed text, such as photographs or maps. A template field search is roughly equivalent to searching a library’s collection using a card catalog subject. If you are in a library searching for information on the Pacific Ocean, you would pull the card for “Pacific Ocean” (or, now, you would enter “Pacific Ocean” in the computerized card catalog) and you would see a listing of all books that discuss the Pacific Ocean. A template field search works the same way. If you are searching for information on a particular county, for instance, you would enter the county’s name into the search field and the Laserfiche system would retrieve all documents, images, electronic files and audio or video recordings that are stored in the repository that contain the county’s name within the template field.

Template fields are based on **metadata**, or simply, data about data. Metadata is used to facilitate the understanding, use and management of data. The metadata required for this will vary with the type of data and context of use. So, in the context of a library, where the data is the content of the books, metadata about a book might typically include a description of the content, the author, the publication date and the physical location. In the context of a content management system, where the data is the content of computer files, metadata might include the name of the file, the type of file (document, e-mail message, spreadsheet or image), and the name of the customer that needs it.

Template fields can be used to categorize documents, track creation or retention dates, or record subject matter, among other information. There are pull-down boxes of common key words to speed field entry and tools available to assist in automating the data entry process.

More information about template fields and metadata can be found in Section Four, “Records Management Specifics.”
2.4.3 Folder/file structure searches

Along with numerous search types, a Laserfiche system enables users to locate documents by browsing the folder/file structure. A flexible folder structure eases the transition from paper filing to electronic filing, which makes the transition to enterprise content management smoother.

The way search results are displayed has a considerable impact on the usability of the content management system. Even the most specific full-text searches can produce numerous hits in a system that contains a large number of documents. In addition to providing users with a list of documents meeting their search criteria, Laserfiche includes lines of context that display each occurrence of the search word in each document. Lines of context help users pinpoint the appropriate document without having to view every document in the search results. Additionally, a user can open the document directly to the page that contains a specific search result. The importance of this becomes obvious when the needed information occurs on page 97 of a 200-page document.

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Client Story: City of Redondo Beach and City of Redondo Beach Police Department, Redondo Beach, California

Eliminating outdated indexing and retrieval, enabling speed and success

The Redondo Beach Police Department in Redondo Beach, California, were busy investigating—just not a crime. They were searching for a solution to their rapidly increasing paper problems. "We had boxes stacked in the hallway; six big shelves with twenty feet of files that go from floor to ceiling," said Peggy Limpert, Police Department Administrative Coordinator. They found their solution across the street in the City Clerk’s office.

The Redondo Beach City Clerk’s office had set out on a similar quest to get rid of paper and save storage space when it became apparent that the old way was labor intensive and time consuming. According to Sue Brown, Records Management Coordinator for the City, there was a constant demand for documents that took up all her time in records research.

The City’s old computerized indexing system was outdated and retrieval was limited to subject headings. The Clerk’s department also used microfilm to archive permanent records, building permits, planning department files, police reports and Workers’ Comp documentation. Unfortunately, the city-owned microfilming equipment was no longer manufactured and maintenance contracts could not be obtained.
According to City Clerk Sandy Forrest, the City decided that Laserfiche was the system that would best meet its needs. She said that, after significant research, Laserfiche "had received excellent references in terms of service and customer response."

The City Clerk’s office had been using Laserfiche for more than six months and was happy with the **disaster recovery and document sharing capabilities** of Laserfiche with WebLink™. The police department followed their lead by choosing Laserfiche "so we could go paperless, too," says Limpert.

Limpert was impressed with **the ease with which Laserfiche distributes information**. When one of the patrol sergeants was away from the office teaching a class, he requested a document from the department. "The copy I faxed wasn't too clear, but we scanned it into Laserfiche and e-mailed it to him, and it came out perfectly."

Future plans in the police department are to configure Laserfiche Workflow™ to streamline document routing and report approvals. "We want Workflow to make sure documents go to the right people," said Limpert. They also plan to integrate Laserfiche with their existing CAD and RMS systems.

Limpert feels that Laserfiche will help keep all the department's documents organized and easy to retrieve. She is no longer concerned with the tediousness of finding documents. With Laserfiche, Limpert says, "I don't have to know what folder it's in now."

### 2.5 **Annotations**

Annotations permit users to append or remove information about a document that has been captured without permanently changing the original image. **Highlighting, stamps, redactions** (black-outs or whiteouts) and **sticky notes** are among the most common annotations.

In order for the document to maintain its integrity, all annotations are overlays that do not change the actual image. This way, a document can be e-mailed with or without the annotations. Although the legal standing of imaged documents varies from state to state, for a document stored in the system to stand up as the best copy of a record, users must not be able to modify the original image.
2.6 **Records Management Considerations**

Requirements for computer systems used to store and manage electronic records have been produced by the Department of Defense (DoD). **DoD Standard 5015.2** has become the de facto standard across a wide spectrum of industries. It outlines the baseline functionality required for records management applications used by the U.S. Department of Defense and has been endorsed by the National Archives and Records Administration (NARA). While records management applications that have been certified as DoD 5015.2 compliant represent an objective, third-party evaluation, they do not guarantee regulatory compliance or records security.

Records management is a specialized branch of enterprise content management that deals with information serving as evidence of an organization’s business activities. Records management includes a set of recognized practices related to the life cycle of that information, such as identifying, classifying, archiving, preserving and destroying records. Records management also includes archival issues—both assuring that permanent records are accessible and readable 100+ years into the future and protecting often fragile historical archives. For complete information on records management, including specific issues pertinent to records managers, turn to Section Four, “Records Management Specifics.”

2.7 **Distribution**

A content management system should assist you in putting the right information in the hands of the right people. A Laserfiche system makes it possible for multiple users to access the same files at the same time and aids in distributing documents to authorized individuals both inside and outside your organization by e-mail or through publication to the Web, DVD or a flash drive.

2.7.1 **Internet Publishing**

Quick and easy access to information is vital in today’s world, and a key aspect of content distribution is making information available through the web. WebLink is a self-serve portal that enables government agencies, financial services firms and healthcare organizations to share public documents, while saving staff time and minimizing duplication and distribution expenses. Laserfiche WebLink provides instant, read-only access to documents from a wide variety of Web browsers.

WebLink is a user-friendly public portal site for providing Internet access to publicly available documents or to specific clients who require secured access. It is designed to be more accessible to external users who might be unfamiliar with Laserfiche or your organization’s naming conventions and
filing methodologies. It acts as a customizable, searchable portal for public access to important information—while still keeping sensitive information secure.

2.7.2 Workflow

Workflow is a fundamental aspect of a content management system that automates the routing of documents to various people, eliminates bottlenecks, and most importantly, streamlines business processes. With Laserfiche Workflow, people get the information they need, in the format they prefer, as soon as it is available, enabling them to do their jobs more efficiently. Of course, should people take too long in completing their tasks, Workflow can also give them a nudge.

In addition to delivering information and routing content, there is a lot of system automation that Laserfiche Workflow provides. Naming and filing content, generating and e-mailing weekly reports, and even updating other systems can all be automated with Workflow. This is the engine that drives enterprise-wide business process management.

For more information on Workflow, please review the video “Business Process Management”.

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**Client Story: Halbert Hargrove Investment Counsel**

*Creating a fully-automated system to smooth document processing*

JC Abusaid, Chief Operating Officer of Halbert Hargrove Investment Counsel in Long Beach, CA, had a vision of a completely-automated and paperless back-office. With over 700 clients, 9 Investment Counselors and $1.2 billion in assets under management, Halbert Hargrove (HH) is a complex operation. To continue to profitably grow their firm, HH needed to leverage technology to provide the highest level of client service and achieve scale and operational efficiencies. A flexible, user-friendly, easy-to-operate content management technology platform was critical. “We knew that we needed not only the document management aspects, but also the scale and ability to custom integrate into how we did business,” says Abusaid.

“Everything we do begins and ends with client information that we enter, store and manage in Goldmine®,“ he continues. “Therefore, we needed to use our content management system as not only a storage, search and retrieval system, but also as a document workflow system.”
To achieve the vision of a paperless back office, HH developed a custom publishing system, integrated with their portfolio management system, Advent®, their customer relationship management (CRM) system, Goldmine, and their content management system, that was designed to meet their unique client service and portfolio management needs. Advent automatically generates daily reports with real-time market data, providing updated information on client positions and holdings for Investment Counselors (ICs) to use when making investment and planning decisions. These daily client reports allow ICs to be proactive with clients, along with other professionals such as CPAs and attorneys.

Client reports are automatically fed into the publishing system. HH’s enterprise content management system electronically stores these reports and other client documents, offering the additional benefits of intuitive search functions, secure retention and the ability to “move” documents to Goldmine via links on client information pages.

Simultaneously, the publishing system posts the reports to the HH client Website for online viewing via a password-protected Laserfiche WebLink site. For those clients who choose electronic delivery of reports, an automatic e-mail alerts the client that there is information on their site, completing a fully-automated workflow cycle.

The publishing system also e-mails links to the custom quarterly reports to clients who have elected to receive electronic reporting. This helps reduce the total amount of paper generated and mailed, while for some clients, no paper is generated at all.

“By having this end-to-end integration, we can be extremely fast, efficient and flexible in responding to client service requests on the fly without having to hang up, search and retrieve the necessary documents, call the client back and end up in a lengthy phone tag back and forth,” Abusaid notes. “Additionally, with one point of entry for client data, we are minimizing errors and our security settings, within our content management system, meet our compliance requirements. Throw in the added benefits of not having filing cabinets clogging up our operational space and the speed in which we can access critical client documents, and we’ve been extremely pleased with what we’ve built.”
2.7.3 Security

System security is an absolute necessity for any enterprise content management system. Comprehensive security is critical to the successful implementation and ongoing protection of a Laserfiche system. While security may not be the primary concern for a single department installation, it becomes more important as the system is expanded to allow different departments, and even the public, access to files. The system provides multiple levels of security including authentication, authorization, audit trails and even word-level security through redactions.

These security settings should not, however, get in the way of people doing their job. Laserfiche promotes the idea of central control with local flexibility: administrators can ensure that the system is being used appropriately with compliance regulations being followed, while individual departments have the flexibility to set things up in a way that makes sense to them.

2.7.4 Integration

The introduction of new software and databases often creates logistical challenges for an organization’s computer support staff. Laserfiche provides tools to make integration easier. These tools include a complete set of documentation and sample code to speed systems integrations and customizations addressing your organization’s specific business needs.

2.7.4.1 Back-End Integration

Because capturing and indexing documents is the most expensive component of implementing a content management solution, anything that can be done to eliminate or minimize this effort will provide an immediate impact. Information that already exists in primary applications can be used to automatically index and file documents as they are captured.

2.7.4.2 Front-End Integration

Front-end integration is especially important for organizations that use Laserfiche-stored content in a supporting role. Because staff members already have a primary application they use to complete their daily tasks, the best way for them to access documents is through this familiar application. Rather than switching to a different interface, staff can quickly access the information they need by clicking a button or pressing a function key.
3.0 Conducting a Needs Assessment and Developing an Implementation Plan

Planning an implementation is fundamental to ensuring a successful rollout. This planning is key not just for the initial phase, but also for new departments or processes that are brought online. Even if you have a solid system currently, it is important to be aware of the planning needs if you will be involved with rolling out the system to other departments.

3.1 Conducting a Needs Assessment

The success of your implementation is directly related to the amount of effort and collaboration that goes into planning the project. To ensure that all departments actively participate in the planning process, you should assemble a project management team that includes each department head, as well as IT and records management personnel. You should also appoint a project manager, who will establish deadlines, assign roles and tasks, and monitor the project’s overall progress.

3.1.1 Analysis

Performing some type of needs analysis is the next step in preparing for your implementation. A comprehensive needs analysis requires a great deal of work and is not something that can be wholly entrusted to an outside consultant. Consultants can play a useful role during the needs analysis, but they cannot do everything on their own. During this process, the best thing a consultant can do is play the role of facilitator and help guide your analysis. An experienced consultant will teach you what you need to know and keep team members on task so that the analysis is completed in a timely manner.

Performing the bulk of the analysis internally is important because it gets team members personally invested in the success of the project. When you know exactly what needs must be addressed and how you want to address them, you will be in a much better position to set up the best system possible. Getting people from multiple departments involved early in the process will set the tone for a successful implementation. Furthermore, learning how to work together in the early stages will pay dividends later on when it comes to design, configuration and training.

When you analyze your needs, there are a number of factors to keep in mind:

- How much content must the system store? Consider both existing content and content that will be added over time.
- How do people currently work with and think about that content?
• How many users need access to the system?
• What business problems need to be solved to reduce costs and improve productivity?
• Are there regulatory compliance issues governing your organization?
• Do you need to integrate the Laserfiche system with other software applications, such as human resources or GIS programs?

### 3.1.2 Process Analysis

The most efficient way to complete a needs analysis is to perform what’s commonly referred to as a **process analysis** in each department that will be added to the system. The basic theory of process analysis is that you can break down your daily activities into a series of business processes. Business processes have a distinct starting point and lead to a definite outcome, based on the decisions made during the process. Process analysis is especially useful when preparing to automate these processes with Workflow.

A comprehensive process analysis involves the following steps:

1. **Map daily activities to business processes.** Examine the activities you regularly perform in your department. Determine how each one begins and what decisions must be made before you reach an outcome.

2. **Diagram and document the processes.** Most people find it easiest to understand a process diagram when it takes the form of a flowchart. Flowcharts are the most natural way to diagram processes because they clearly show the starting point, decision making, and possible outcomes. Once you’ve developed a process diagram, you need to document what happens at each step in the process.

3. **Identify breakdowns in the processes.** The “analysis” component of process analysis comes into play when you identify breakdowns in the processes you’ve documented. Where do things often go wrong? What steps in the process take longer than they should? Is the process unnecessarily complicated? Do the processes have dead ends that hinder resolution? You must be able to pinpoint breakdowns in your processes before you can improve them.

4. **Determine the role of documents in the processes.** If you’re preparing for an implementation, you need to identify the role documents—and information about them—play in each process. This is necessary because you need to establish the connection between documents and the business processes within your department.

5. **Identify how documents are related to process breakdowns.** In order to improve services, you must identify how documents—and the
system currently used to manage them—are related to process breakdowns. Does it take longer to make decisions because people don’t have information at hand? Does it take longer to respond to requests for information because you have to manually search for documents in a storage room? Does the inability to quickly locate information have a negative effect on your ability to serve constituents?

6. **Quantify the benefits that will come from all or part of these processes.** If you implement a system that meets all of the requirements you’ve documented, how will that affect your ability to provide services? What kind of effect will the system have on your business processes, and how can you show that the system is successful? Whenever possible, identify the quantifiable benefits that you expect from the system. If you document the benefits before the system is implemented, everyone involved will know what’s expected in order for the solution to be considered successful.

To help you assess your organizational needs, there is a worksheet included at the back of this manual with the most important questions you will need to answer about what you need the Laserfiche system to do. Having a clear idea of your needs will make it much easier to plan the rollout.

### 3.2 Developing an Implementation Plan

Careful planning is one of the most important elements of a successful implementation. Projects have a much better chance of success if someone has documented, in detail, the project scope, system requirements, schedule, business case and technical environment before you begin. As obvious as it may sound, these first steps are frequently not accomplished until the project has already started.

The vendor you work with as your content management consultant should assist you in the creation of an implementation plan. If you try to do this in-house, without the assistance of trained professionals, you may miss important elements that would greatly affect the success and cost of your content management system implementation.

#### 3.2.1 Creating an implementation plan

If this is a new installation, perhaps at a satellite office, the first step should be a **site evaluation** by the software vendor to determine proper equipment placement and to identify any network connectivity problems. **Hardware installation** consists of connecting and setting up all of the components, including installation of the necessary operating systems and drivers. It
requires the testing of equipment to ensure proper hardware functionality and network connectivity. This may or may not be a necessary step.

After tests of the hardware have been conducted, software installation is the next step. In this phase, the Laserfiche software is installed on the application server and the necessary workstations. It must be tested to ensure operability. Generally, the software vendor will perform these tasks with the collaboration of your organization’s IT personnel.

At the back of this guide, there is a worksheet designed to help you develop an implementation plan. Designing a clear implementation plan will help your organization adjust smoothly to the system. An implementation plan will also help you identify the roles of key staff members and how the system will be integrated with your daily operations.

3.2.2 Choosing what to outsource

Organizations sometimes find it faster or more cost-effective to have a service bureau perform their back-file document conversion or ongoing document scanning. Generally, in these cases, the content management system is maintained by the organization, while the service bureau is responsible for delivery of the scanned documents on CDs or other media. In addition to storing images and text information, these CDs must also carry data describing the document names, template fields and folders.

3.2.3 Scaling from a pilot project to an organization-wide solution

When it comes time to put your content management system to work for you, a pilot project is one way to begin. Large organizations sometimes prefer to begin with a pilot project involving one or two departments before expanding their Laserfiche system to the entire organization. If changes need to be made, it is much better for the system and staff when they are made in the beginning.

3.2.4 Training staff

Training programs should be tailored to the specific needs of users and their concerns.

3.2.4.1 User training

User training involves a focus on the basics of daily system use. This training should take place on-site. Each group should receive all instruction necessary to ensure comfort with the Laserfiche system. The amount of training necessary will depend on the users’ level of familiarity with Windows
applications and the degree of change from existing procedures. Because of
the need to bring new employees up to speed as quickly as possible, a well-
designed repository structure will help reduce the time required.

Given a good folder structure and minimal change in procedures, most users
will become proficient in a short time period. Effectiveness is improved when
the class size is limited to no more than 10 people and participants are free
from interruption. Training should include supervised, hands-on use of the
content management system during actual operation. This allows users to ask
questions that might not occur to them until they are using the system for
business procedures.

3.2.4.2 System administrators

It is important to train select individuals on how to administer and maintain
the system. Personalized training is beneficial because it increases familiarity
with specific details of the Laserfiche system. Online training resources are
also a great source of information and a reference for future questions.

3.2.4.3 Implementation consulting

Implementation consulting assists those responsible for document and
records management functions to develop strategies for translating the
organization’s current filing and indexing structures into electronic systems.
Electronic filing is different from paper filing, and records managers face the
challenge of these differences when setting up their system. Considerations
regarding retention schedules, storage and filing methodologies need to be
evaluated before the system is fully implemented. The length of the training
depends on the complexity of the filing system.

3.2.4.4 Vendor resources

Your vendor should also provide training resources to help your organization
get up to speed with your Laserfiche system. From best practices, white
papers, discussion forums and newsletters to Webinars, online training and
annual training conferences, vendor resources provide an extra layer of
training. Training conducted by staff members who work with and support
the content management software daily can be crucial to implementation
success.

3.2.5 Support and maintenance

Content management systems, like any mechanical tool, require maintenance.
Organizations should evaluate their software vendor’s support structure.
Vendors offer various levels of support from software upgrades to regular, on-
site maintenance visits.

Factors that affect the level of support that your organization needs are:
• Size of the system
• Level of system usage
• IT personnel’s level of experience
• Changes that have to be made to the organization’s computer network or infrastructure
• Rate of personnel turnover

Support can entail any or all of the following:
• Software upgrades
• Telephone hotline support
• Online forums
• Remote access to your system
• Software patches available online
• Regularly-published technical bulletins or newsletters
• On-site maintenance visits
• Additional and/or advanced training sessions
• Hardware support

When purchasing hardware, such as servers, storage devices and workstations, your organization should choose a vendor with a good reputation for service and support. While the initial cost may be higher, the benefits include less downtime and more consistent, reliable operation.

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**Client Story: City of Surrey, British Columbia**

*Implementing a pilot program and producing immediate results*

The City of Surrey, BC, began their journey toward content management technology with a request for a large-format scanner from the Planning and Development Department. Recognizing the regulatory ramifications of scanning documents and placing them on the network without having a comprehensive records management plan, the city launched an initiative to implement an enterprise content management solution.

Prior to undertaking a city-wide installation, the city established a pilot program in the Planning and Development department. On average, this department issues 100 building permits per
week, generating from 60 to 100 records related to each property. In addition to processing and filing these records, department staff members constantly receive requests for copies of archived building plans from inspectors, other city departments and members of the public.

Once the department’s records were scanned into Laserfiche, users could quickly locate digital building plans by entering the property’s address. Laserfiche’s full-text search tools also enable users to pinpoint information within related documents. Because staff members no longer have to search through paper, microforms and microfiche to fulfill information requests, the department has reduced search and retrieval costs by at least $30,000 per year. Furthermore, in-house scanning saves applicants the cost of having to submit duplicate copies of building plans. And a 50 percent reduction in the amount of time necessary to review plans means that applicants enjoy faster turnaround times for permit applications.

### 3.2.6 Compliance and legal issues

In an increasingly-demanding regulatory environment, a content management system can help limit exposure to civil and criminal liability stemming from non-compliance with regulatory statutes by ensuring the consistent application of policies organization-wide and by providing audit reports.

It is important to realize that technology itself cannot guarantee compliance. The essence of compliance lies in the application of systematic policies and procedures established by your organization to maintain, protect and provide access to business-essential records. To be truly valuable as a compliance tool, technology must be flexible and secure enough to support the complex recordkeeping procedures required in a multi-regulatory environment.

While laws and auditing authorities vary by industry and state or region, most regulations share two common principles: the information must be set in time, meaning that the date and time of creation of the digital images must be recorded in an unalterable fashion, and archived content must be unalterable. In some areas, such as financial planning, a copy of the records must be maintained by an independent third party and be readily available to auditors when requested.

In order to meet general compliance demands, a content management system must:

- Allow documents and records to be retrieved on demand.
- Store digital images on acceptable media.
- Maintain records in an unalterable format.
• Permit a complete and accurate transfer of records.
• Possess reasonable controls to ensure integrity, accuracy and reliability.
• Have reasonable controls to prevent and detect the unauthorized creation, alteration or deletion of records, as well as record deterioration.
• Contain an indexing system that facilitates document retrieval.
• Be able to print copies of records when required.
• Make cross-referencing with other record-keeping systems and software possible.
• Have documentation on how the software works and how it is set up.

Many government agencies now accept imaged documents as legal records, meaning that the paper originals can be destroyed, given certain conditions. The legality of imaged documents varies depending on the federal agency, state, county, municipality and department involved. Organizations should consult with an attorney on the specific statutes governing their area.
4.0 Records Management Specifics

Records management systems simplify the life cycle management of business records. A records management system supports the enforcement of consistent, organization-wide records policies and reduces the cost of regulatory compliance. This section explains the specifics of records management, defining what records are and what records management is.

Since 2005, records management has become increasingly important for organizations due to new compliance regulations and statutes. While government, legal, financial and healthcare entities have a strong history of records management, general record-keeping of corporate records has been poorly standardized and implemented. Scandals at companies including Enron and Arthur Andersen, and, more recently, at Morgan Stanley, have renewed interest in corporate records compliance, litigation preparedness and other issues.

Privacy, data protection, and identity theft have all become issues of concern for records managers. The need to ensure that certain information is not retained has brought greater focus to records retention schedules and records destruction. Records management is often thought of as an unnecessary or low-priority administrative task, but, in fact, records management is the responsibility of all individuals within an organization.

4.1 What is a record?

Records consist of information created, received and maintained as evidence of business activities. The International Council on Archives (ICA) defines a record as “recorded information produced or received in the initiation, conduct, or completion of an institutional or individual activity and that comprises content, context, and structure sufficient to provide evidence of the activity. While the definition of a record is often identified strongly with a document, a record can be either a tangible object or digital information which has value to an organization.”

The Federal Records Act (44 USC 3301) indicates that records include “all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of data in them.”
4.1.1 How to identify a record (sidebar)

If you answer “yes” to any of these questions, you may have a record:

- Was it created in the course of business?
  *e.g. correspondence, agreements, studies*
- Was it received for action?
  *e.g. FOIA requests, controlled correspondence*
- Does it document organizational activities and actions?
  *e.g. calendars, meeting minutes, project reports*
- Is it mandated by statute or regulation?
  *e.g. administrative records, legal/financial records, dockets*
- Does it support financial obligations or legal claims?
  *e.g. contracts, grants, litigation case files*
- Does it communicate organizational requirements?
  *e.g. guidance documents, policies, procedures*

If you answer “yes” to any of these questions, you may have a non-record:

- Is it reference material?
  *e.g. vendor catalogs, phone books, technical journals*
- Is it a convenience copy?
  *e.g. duplicate copies of correspondence, memos or directives*
- Is it a stock copy?
  *e.g. organizational publications or forms*
- Is it a draft or working paper?
  *e.g. draft with no substantive comments, rough notes, calculations*
  
  Note: some drafts are needed to support a decision trail or are required by a records schedule.

If you answer “yes” to this question, you may have a personal paper:

- Is it only related to your own affairs?
e.g. soccer schedule, PTA roster

Note: personal planners and calendars may actually be records if they document your organizational activities.

4.2 What records must be kept?

To identify which records your organization must keep, it is important to consider several issues.

What does your organization do that needs to be documented? What types of records are created in your organization? What are your mission-critical records? What records document decisions or are part of your work process? What records are you required to keep by the regulatory bodies that have oversight over your organization? Examples might include permit files, project files, reports, publications, time cards, personnel files, contact files and so on.

Look at each type of record and decide why it is created and maintained.

You may be required to create and maintain records for a number of valid reasons, including program administration, management reporting, federal or state statute, federal regulation, or organizational policy or procedures.

You may find that many of the series on the list for your office are working files, files maintained for convenience or reference materials. Reference and personal convenience are valid reasons for keeping records, too. Frequently, the only justifications for maintaining files are personal ones, such as "I need the records for reference," "Joe wanted me to keep a copy," "Somebody may ask for it" and "I don't trust anyone else to keep it."

To determine which records must be kept, focus on the files that directly support your organization's mission, corporate history, or administration. These are your corporate records, without which your organization could not function, and these are the ones you need to control.

Identifying the list of corporate or mission-critical records is the most important and the most difficult step in the records management process. It takes a little time, but the benefits are great and it will allow you to manage your information assets much more effectively and efficiently.

4.3 What is records management?

Records management is a specialized branch of enterprise content management that deals with information serving as evidence of an organization’s business activities. Records management includes a set of recognized practices related to the life cycle of that information, such as identifying, classifying, archiving, preserving, and destroying records. The ISO 15489: 2001 standard defines it as "the field of management responsible
for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.”

The fundamental concept behind records management is the idea that each record has a life cycle. “Life cycle” refers to the stages that every official business record must go through. After a record is created, it must be filed according to a defined, logical scheme into a managed repository where it will be available for retrieval by authorized users. When the information contained in records no longer has any immediate value, the record is removed from active accessibility. Depending on the nature of the record, it is either retained, transferred, archived or destroyed.

Graphic:

```
create/receive  capture  close  retire*  transfer/destroy

[ ] active  [ ] inactive

* optional
```

The practice of records management involves the following activities:

- Creating, approving and enforcing records policies, including a classification system and a records retention policy.
- Developing a records storage plan, including the short- and long-term housing of physical records and digital information.
- Identifying existing and newly-created records, classifying them and then storing them according to standard operating procedures.
- Coordinating access to and circulation of records within and outside the organization.
- Executing a retention policy to archive and destroy records according to operational needs, operating procedures, statutes and regulations.

Tools for maintaining and using records include file plans, indexes, controlled vocabularies, taxonomies, data dictionaries, and access and security procedures. The main tool used to manage the disposition of records is the **records schedule**. A records schedule is the official policy for records
and information retention and disposal. The schedule provides mandatory instructions for what to do with records, as well as nonrecord materials that are no longer needed for current business.

Other benefits of using a records schedule are:

1. Ensures that the important records are organized and maintained in such a way as to be easily retrieved and identifiable as evidence of your activities (especially in the event of an audit, a FOIA request or discovery for a lawsuit).
2. Conserves office space and equipment by using filing cabinets to house only active records.
3. Saves money by the regular transfer of inactive files to less costly storage areas for subsequent disposition.
4. Helps preserve those records that are valuable for historical or research purposes.
5. Stabilizes the growth of records in offices through systematic disposition of unneeded records.

A records series is the basic unit for organizing and controlling files. Series’ are file units or documents that are kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use. In essence, a records series defines the retention rules for records of a particular type.

### 4.4 What are the benefits of records management?

The primary benefit of records management is mitigating risk. The potential cost of non-compliance can be quite daunting. In terms of information management and sustainability, risk should be approached from a records management perspective. Records must be consistent, reliable and available. In addition, records managers must ensure that records have not outlived their lifecycle. Good records risk management ensures that the lifecycle is documented and adhered to.

Security and risk management are important for more than complying with government regulations; they also protect the organization and its brand. The possible detrimental impact of non-compliance or a security breach on corporate reputation and value reinforces the importance of a system that ensures that an organization’s assets, information and data are safe and well-managed. For example, Enron might have survived its fiscal crisis intact had it complied with regulatory mandates.
4.5 **How is records management different from document management?**

While records management shares some features of document management, they are two different disciplines. Organizations need to have an integrated approach that addresses both document management and records management. Understanding how these terms differ will save you countless hours, money and the embarrassment of not properly matching expectations—and it will also help you identify which of these expectations are unrealistic.

Generally, digital document management focuses on:

- Reducing lost and misfiled documents.
- Providing faster search and retrieval of documents.
- Reducing the amount of physical space used to store documents, such as file cabinets, boxes and shelving.
- Helping to better organize existing documents.
- Improving general work processes and organizational efficiency.

Records management includes the above, plus:

- Identification of what records exist by records inventory.
- Application of required retention periods to stored items.
- Identification of the owner of each records series.
- Determination that a chain of custody and a proper audit trail both exist.
- Assistance in e-discovery issues and applying legal holds to records when needed.
- Development and administration of defined records policy and procedures, regardless of if the records are electronic or paper.
- Management of disposition (disposal of documents).
- Preservation of records throughout their life cycle.

Succinctly, all records management includes document management, but not all document management is records management. Records management also includes archival issues—both assuring that permanent records are accessible
and readable 100+ years into the future and protecting often fragile historical archives.

Each of the following terms has a different meaning depending on whether IT personnel or records managers are using the term. How these two groups use these terms is so different that it can easily lead to misunderstanding and confusion.

<table>
<thead>
<tr>
<th>Term</th>
<th>Records Managers</th>
<th>IT Personnel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Archiving</td>
<td>To keep; information must be readable, no matter what technological changes occur in the future.</td>
<td>To move; data must be migrated to off-line or near-line storage such as tape, optical storage, or other low-cost storage.</td>
</tr>
<tr>
<td>Retention</td>
<td>Classify and store records according to a defined schedule, including potential disposal.</td>
<td>Store in an electronic format and back up to another medium, such as tape. A destruction period is not explicitly defined.</td>
</tr>
<tr>
<td>File</td>
<td>A manila folder that holds paper records; the act of properly placing a record into the appropriate container.</td>
<td>An electronic document.</td>
</tr>
<tr>
<td>Record</td>
<td>An official document of the organization. Not every document is a record.</td>
<td>A field in a database.</td>
</tr>
<tr>
<td>Preservation</td>
<td>How will this record be accessed and viewed several decades into the future? Will all the components to read the data still be available, including the media that stores the data, the device reading the media and the software that operates the device and reads the data? It is a record manager’s job to think about preservation, especially with records that must be permanently retained.</td>
<td>Usually not addressed or a viewpoint of less than 10 years is taken due to the expected change in the systems used. Will it be possible to successfully migrate all the data to the new platform in the proper format?</td>
</tr>
<tr>
<td>Office of Record</td>
<td>The one functional area of an organization deemed the party of responsibility for an individual records series.</td>
<td>The person who created the data, who may or may not be the ultimate owner of the information.</td>
</tr>
</tbody>
</table>
Trying to reinforce the importance of records management with IT personnel is often different because they speak a different language than records managers. They, along with end users, may not have given much thought to records management in the past, so they may not see it as important or essential to business procedures. Using the chart above, you should be able to address the concerns of both records managers and IT with your Laserfiche system.

4.5.1 Transparent Records Management

The fundamental concept behind records management is the idea that records have a definite life cycle that involves various stages. For example, when a record is created, it must be filed according to a well-defined file plan so that it will be easily accessible to authorized users. Similarly, once a record has been retained for a specified time period, it may need to be destroyed in order to comply with state and federal regulations. General users, however, tend not to be familiar with the retention rules and filing structure, and prefer to have information displayed in a different way.

With transparent records management, records management requirements do not interfere with your line of business. Transparent records management allows records managers to retain control over the way information is categorized and filed outside of the view of everyday users of the system. A well-designed system will handle records management transparently, meaning that once it is set up, users will not have to actively participate in the process while records managers still have control over ultimate file indexing, archiving and disposition. The video “Records Management” goes into more detail about setting up a system the simultaneously meets the needs of records managers and general users.

Client Story: City of Saint John, New Brunswick

Engineering a uniform records management system

Saint John, NB, is the city “where life is on your terms,” unless you’re in charge of the city’s records, that is. Thanks to the Public Records Act and the Archives Act, records managers in the Canadian provinces don’t have a lot of leeway when it comes to record-keeping procedures and retention schedules, and, for Saint John, it was becoming quite a challenge to keep both records and paper under control.

Installing Laserfiche Records Management Edition™ turned out to be a tremendous advantage for Corporate Records Manager David Burke. “Here in New Brunswick,” notes Burke, “the Provincial Archivist mandates that municipalities manage their records
across their life cycles according to specific schedules. The schedules are mated to a subject-based hierarchy known as the Municipal Records Authority for New Brunswick (MRA).”

With over 900 different records series linking to 72 unique retention schedules, the requirements can be quite complex. “I just knew there had to be some way to automate the process of getting information from the MRA into Laserfiche,” Burke recalls.

Initially, Burke found a colleague in Alberta to share code from a custom program to link a spreadsheet with a Microsoft Access database. Burke then worked with the city’s ISS department to set up a folder structure.

“Well, about that time I found out that Laserfiche was developing a utility called the Record Series Setup,” says Burke. “With the help of our reseller, I integrated the MRA and RME and it works and looks good! It sets up the whole system—pulls all the information we need from the spreadsheet we designed, creates the folder structure and then points to the appropriate retention schedules. That would have been I-don’t-know-how-many millions of key strokes and clicks to do manually. That tool was invaluable.”

Saint John’s integration of Laserfiche with MRA breaks new ground for New Brunswick. Says Burke, “We’re the first municipality in the province and probably in Atlantic Canada to apply retention schedules to our electronic records. That’s huge. We’re sharing our work with other municipalities, letting them know about that whole integration of the MRA and RME, including the city of Moncton, another Laserfiche user. We’re looking forward to working together with other municipalities, so we can have a uniform, efficient records management system.”
5.0 Conclusion

Enterprise Content Management is an evolving technology, which includes numerous tools for improving the efficiency of your organization. This course has given you an overview of those tools and, hopefully, some ideas about how to use them in order to improve your business processes.

Further information on these and other topics can be found in the Laserfiche online training initiative: the Certified Professional Program. Here is a listing of courses available as of May 2012:

- Laserfiche Specialist
- Laserfiche Administrator I
- Laserfiche Administrator II
- Laserfiche Specialist, Advanced Security
- Laserfiche Specialist, Business Process Management
- Laserfiche Specialist, Capture I
- Laserfiche Specialist, Capture II: Quick Fields
- Laserfiche Specialist, Capture Workflow
- Laserfiche Specialist, Records Management Edition I
- Laserfiche Specialist, Troubleshooting
- Laserfiche Integrator I
6.0 Worksheet One: Needs Assessment

Before rolling out Laserfiche—either in an initial stage or to a new department—it is important to identify what you need from the system. A needs assessment is your opportunity to determine what you need your system to do—which business processes to automate, if you will integrate with other software, how you will organize content.

Step One: Clearly Identify Your Goals and Objectives

• What do you expect a content management system to do for you?
• What problems do you need to solve?
• How do you plan on using the system?
• Do you need the system to interface with current business-critical applications?

Step Two: Determine Your Department’s Unique Needs

• How many people will need access to the system?
• How many people will be scanning in paper?
• Do you require new computers or upgrades?
• What capabilities will you need?
• Where does the majority of your content originate?
• What is the weekly amount of new content coming into your department?
• What is the weekly amount of new content generated by your department?
• What are the retention schedules for the documents you store?

Step Three: Determine How Your Department Distributes Documents

• Do you need to fax documents?
• Do you have offices in various locations that require copies of your records?
• Do you need to take your documents out of the office?
• Do you need to make any content publicly available?

Step Four: Determine Your Ideal File Structure

• How do you organize information?
• What type of information will be stored in the system?
• What type of cross-referenced information will you need?
• How do people currently find the information they need?

Step Five: Consider Your Daily Procedures

• Who will perform the scanning operations?
• What types of information will be scanned?
• What should be done with paper after it is scanned?
• What are the steps in the business process(es) that will be automated?
  o Note that business process analysis is more extensive than what can be included here.

Step Six: Determine Your Conversion Method

Conversion from microfiche or other management systems
• Who will do the conversion?
• How long will it take?
• How much will it cost?

Back-File conversion
• 100% conversion or partial?
• What archived records need to be converted?
• How many archived records do you need to convert?
• Who will perform the conversion?
• How long do you need to retain records?
• Does your office refer to these records? How frequently?
• How long will it take to complete the process?

Day-forward
• Will you only scan records from this day forward?
• What if you need old documents in storage?
• What types of information should be scanned?
• Who will perform the scanning?

On-demand day-forward
• Will you scan back files only when required?
• Do you want to decrease the number of paper back files over time?
7.0 Worksheet Two: Developing an Implementation Plan

In planning your implementation, you may find it useful to refer to the following project planning methodology. Although not all projects will require the formal planning, documentation and reporting described below, understanding the process will be helpful in designing your own project plan.

Requirements Analysis
Performing a thorough requirements analysis is a critical first step to successfully completing a project on time and within budget. The requirements analysis involves the inspection of the content that will be captured, the processes that will be automated, and the ways people will use and interact with the content once it’s in the system. During the requirements analysis, you should examine and document important design factors such as security and retention requirements. Once the analysis is complete, you should prepare a summary report.

Confirm the Architecture
In most cases, the architecture of the proposed solution is developed using whatever information is available. Once the requirements analysis is completed, you should confirm the appropriateness of the proposed architecture. If modifications are required, you should document them, along with the reasons for making each change, in the summary report.

Confirm the Software
Using the information from the requirements analysis, you should confirm that the Laserfiche solution is appropriately configured and licensed for your department. You should document any required addition (or removal) of modules or licenses in the summary report.

Confirm the Hardware
Information about document types, expected performance, user behavior patterns, retention schedules and expected capture volumes can greatly affect the design of the hardware solution. Once the requirements analysis has been completed, you should confirm that the appropriate hardware configuration is available. If modifications are necessary, you should document them in the summary report.
Confirm Deployment Environments
The deployment environment can have a significant impact on the way you deploy your solution. You should examine network bandwidth, desktop hardware and legacy systems to confirm the solution can be deployed as planned. In the summary report, you should document any changes to the system based on environmental factors, as well as any required environmental changes.

Planning
The formal work plan will serve as the master schedule by which progress will be measured.

You should use the work plan to track all project-related activities and generate scheduled and ad hoc progress reports. No work on the project should begin until you’ve developed the work plan.

Assemble the Project Teams
The work plan should identify the personnel required to complete the project. In most cases, you should include members from each department and from IT, as well as an overall project manager. You should assign roles for each team member and establish a general reporting structure.

Develop a Detailed Project Work Plan
You should logically separate the overall project into distinct milestones, and you should break the milestones into a series of tasks that must be performed in order to achieve each milestone. You should also assign tasks to the appropriate team members in order to clearly define responsibility.

Schedule Status and Milestones Meetings
Regular status meetings help the team to meet milestones and complete the project on time. Because achieving milestones requires team members to complete their assigned tasks, it’s important to develop a realistic timeline for completing these tasks.

Develop a Support Plan
A written support plan helps you ensure that end-users and system administrators have access to the proper support personnel when necessary. You should document response times to helpdesk inquiries, and define
escalation procedures for more difficult issues. The support plan should also detail helpdesk ticketing procedures and personnel to be notified regarding the status of current issues.

**Develop a Communications Plan**

In addition to scheduled status and milestone meetings, regular communication between project members is necessary. Additionally, it’s important to provide reports or documentation to management as the project progresses. It’s also important to document the content of each meeting, as well as the decisions that are made, and distribute this information to team members who cannot attend.

**Design**

Design is usually the first milestone of the project plan and should always be documented in detail. You should develop system specifications that meet the needs outlined in the requirements analysis. These specifications should be submitted for approval before the build process begins.

**Build**

The system should be built according to the approved specifications. Any changes that need to be made should be added to the specifications document and agreed upon before they are implemented.

**Test**

Before the solution is rolled out, you should perform comprehensive testing. It’s important to identify issues through testing so that productivity is not hindered once the system goes live.

**Unit Testing**

The Laserfiche solution is made up of individual components that must be installed and tested within their environments. Implementation of a software or hardware component is not complete until it has been thoroughly tested.

**System Testing**

The overall system should be tested to verify that the individual components work together as planned.
**Overall System Architecture Test**

The system should be tested according to the way it will be used. You should test functions such as scanning, data extraction, exporting and document routing to verify that they’re working as expected. You should also test hardware components to verify that image quality is acceptable and all devices can communicate with each other.

**Load Testing**

Once you’ve determined that the system works as designed, you should conduct load testing to ensure that it will provide expected performance once it’s in production. You should also test network bandwidth and server I/O under loads to verify that things like scanning at peak capacity won’t affect search and retrieval.

**Revise**

Based on test results, there may be functional or performance issues that require modifications to hardware or software components. System modifications should require the approval of an appended specification before they’re made.

**Revise the Program**

You should make revisions according to the appended system specifications. You should test new hardware or software components individually to verify that they function as anticipated.

**Regression Testing**

You should conduct regression testing to ensure that modifications don’t adversely affect system components that originally worked as anticipated.

**Rollout**

The system should be rolled out according to a well-defined plan. You should coordinate all rollout activities, such as pilot testing, change management activities and training, to ensure a smooth transition to the new system.

**Pilot Group**

Before the system is rolled out to the entire user community, you should conduct pilot testing using an appropriately diverse sample. During the pilot
program, you should monitor usage patterns to verify that the system will be used as predicted and that system components will support the planned usage. You should also solicit usability feedback and determine training requirements.

**Communication Plan**

You should develop a plan that describes the way project-related activities will be communicated to users. It’s also important to develop a way for users to communicate with the appropriate project team members.

**Pre-Launch Notifications**

If the system launch affects the way people will do their jobs (such as day-forward scanning or workflow requirements), it’s critical to give proper notification of when the system will be launched and how users will be affected. Pre-launch notifications can also act as effective change-management activities, providing a forum for users to discuss any potential questions or worries.

**Launch Notifications**

Launch notifications serve as formal notice of system rollout and should explain what is expected of system users.

**Post-Launch Notifications**

Post-launch notifications keep the user community abreast of accomplishments, changes and any system-related issues that may affect them.

**Training**

Providing proper training is critical to the success of the implementation. In most cases, training should be provided onsite, in groups according to role/function and using a copy of the production system.

**User Training**

User training should be hands-on and conducted in groups, using a replica of the production system. Whenever possible, users should be grouped according to their role or function so that you can target the training as much as possible. You should also schedule follow-up training sessions to address questions that come up after initial system use.
**System Admin Training and Procedures**

You should encourage system administrators to participate in as much of the implementation process as possible, so they understand how the hardware and software components are configured and work together. System administrator training should cover the overall design of the solution, as well as the way individual components work. It should also cover security configuration, troubleshooting, and maintenance. You should pay particular attention to regular maintenance procedures to verify that the system continues to perform as expected.

**Define Internal Escalation Path**

You should document the way problems are reported, addressed and escalated. Internal support personnel may be trained to address common issues, such as ensuring proper hardware connectivity, resetting passwords, etc. You should give internal support staff system documentation and access to an online knowledge base to assist them with these tasks.

**Define Escalation Path to Software Vendor**

You should establish lines of communication for escalating issues to your vendor for support. You should also document response times and resolution procedures.

**Project Wrap-Up**

Once all of the milestones on the work plan are achieved, the implementation is considered complete. Project wrap-up activities may include formal sign-off and a final status meeting.

**Publish Project Audit**

If included in the work plan, a project audit should be published outlining the project goals, issues faced and final outcome of the implementation.
8.0 Worksheet Three: Records Management Tool Kit and Self-Evaluation Guide

This Records Management Tool Kit will help your organization/department:

- Make a preliminary assessment of the status of records management programs.
- Identify major problems.
- Set priorities for program improvements.
- Develop your own comprehensive records management programs.

This Tool Kit is divided into six sections. You may use the entire Tool Kit to conduct a comprehensive program review or select sections to focus on specific areas, such as records disposition or files maintenance. The Tool Kit consists of a series of questions to be answered either "yes" or "no." A "yes" answer indicates compliance with National Archives and Records Administration (NARA) records management regulations and recommended practices.

8.1 Section 1: Program Management

An effective records management program requires:

- A clear definition of program objectives, responsibilities, and authorities;
- Sufficient resources to administer the program;
- Continuing training for staff; and,
- Regular internal evaluations to monitor compliance and program effectiveness.

8.1.1 Program authorization and organization

☐ Yes  ☐ No  Has your organization formally designated a records manager, with responsibility for carrying out a records management program?

☐ Yes  ☐ No  Does a program directive define the roles and responsibilities of the records manager, the scope of the records management program and the authority of the records manager?

☐ Yes  ☐ No  Has your organization formally incorporated your records management program into your information resources management program?

☐ Yes  ☐ No  Are all employees informed of the identity and role of records management staff?
Has your organization planned for a new records management application and modifications to existing systems to ensure incorporation of recordkeeping requirements and records disposition procedures?

Is your records manager involved in the development of micrographic applications?

Is your records manager involved in the development of electronic recordkeeping system, including hardware selection?

Is the records manager involved in developing and securing document imaging systems?

8.1.2 Guidance and training

Has your records management staff been trained in industry-standard records management regulations, policies and procedures?

Do your records management staff, including assistants and file clerks with regular records duties, receive training in records maintenance, filing procedures and records disposition?

Is records management guidance tailored, when appropriate, to reflect your organization’s specific procedures prior to organization-wide dissemination?

Does your records manager regularly brief senior staff and administrators on the importance of records management and records-handling responsibilities?

8.1.3 Internal evaluations

Does your records manager periodically evaluate records management practices?

Do these evaluations include electronic records?

Are written evaluation reports prepared?

Are evaluated programs, departments or offices required to promptly respond to evaluation reports?

Does the records manager follow up to determine if offices implement necessary corrective action or recommendations for improvements?

8.2 Section 2: Records Creation and Recordkeeping Requirements

Ensuring adequacy of documentation in any information system depends on the clear articulation of recordkeeping requirements. Recordkeeping requirements:
• Specify the creation and maintenance of specific records to document agency operations and activities.
• Facilitate action by agency officials and their successors.
• Permit continuity and consistency in administration.
• Make possible a proper scrutiny by Congress and other duly authorized agencies.
• Protect the rights of the Government and those affected by its actions.
• Document important meetings and the formulation and implementation of basic policy and decisions.

8.2.1 Creation of records and adequacy of documentation

☐ Yes ☐ No Has your records manager provided guidance for all employees on the definition of records and nonrecord materials, including those created using office automation, and how they should be managed?

☐ Yes ☐ No Do you have a policy on what records, including electronic records, are to be created and maintained?

☐ Yes ☐ No Do you have instructions for documenting policies and decisions, especially those arrived at orally?

☐ Yes ☐ No Do you have a records policy on the status of working papers and files or drafts?

☐ Yes ☐ No Does your records policy require creating “finding aids” such as captions and indexes to facilitate access to individual files or record items?

8.2.2 Contractor records

☐ Yes ☐ No Does your records management policy identify which contractor-created records are organizational records?

☐ Yes ☐ No Do you provide contractors with records management regulations and procedures?

☐ Yes ☐ No Particularly when electronic records are involved, do contracts specify the delivery of background data that may have value, in addition to the final product?

☐ Yes ☐ No Do contracts involving the development of electronic systems specify the delivery of system documentation along with the final product?

☐ Yes ☐ No Particularly when electronic records are involved, do contracts specify the delivery of final products and background data in a format that is compatible with program records maintenance and retention guidelines?

☐ Yes ☐ No Are deferred ordering and delivery of data clauses included in contracts when it is impractical to identify in advance all electronic data that should be delivered?
8.3 **Section 3: Records Maintenance**

Effective and proper management of records ensures that:

- Complete records are maintained.
- Records can be located when needed.
- Records, nonrecord materials, and personal papers are maintained separately.
- Identification and retention of permanent records are facilitated.

Proper records maintenance also contributes to economy of operations by facilitating records disposition. This section covers general records maintenance policies and practices, regardless of media, and several aspects of records maintenance that apply specifically to paper-based records. The next section specifies additional requirements for special records; i.e., records other than traditional paper text.

### 8.3.1 General

- **Yes** □ □ **No**
  Has your organization established standards and procedures for classifying, indexing, filing and retrieving records? Are they available to all employees?

- **Yes** □ □ **No**
  Is access to all records, regardless of media, limited to authorized personnel?

- **Yes** □ □ **No**
  Are file breaks/cutoffs clearly defined and implemented for each records series?

- **Yes** □ □ **No**
  Are permanent records series identified and maintained separately from temporary records?

- **Yes** □ □ **No**
  Has your organization established and implemented regulations for the storage of confidential business information (CBI), Privacy Act and other restricted records?

### 8.3.2 Paper-based records

- **Yes** □ □ **No**
  Do you have designated official filing locations or scanning stations?

- **Yes** □ □ **No**
  Is a file plan for each records series maintained in each location?

- **Yes** □ □ **No**
  Do you have procedures for filing, charging out and refiling records? What about indexing scanned images, if you are using records management software?

- **Yes** □ □ **No**
  Are file drawers and folders labeled correctly?
8.4  **Section 4: Maintaining Special Records**

Special records are those in formats other than traditional paper text files, such as electronic, audiovisual, cartographic and architectural records. The physical properties of the materials used to create microfilm and special record require additional standards for their maintenance.

### 8.4.1  **Electronic records**

- **☐ Yes  ☐ No**  Are records in electronic information systems readily identifiable?
- **☐ Yes  ☐ No**  Does your records management application provide indexing and text search capabilities?
- **☐ Yes  ☐ No**  Does your records management application require user identification codes or passwords to control access and ensure document integrity?
- **☐ Yes  ☐ No**  Does your records management application allow regular backups to safeguard against loss of information due to equipment malfunction or human error?
- **☐ Yes  ☐ No**  Does your organization avoid the use of diskettes for exclusive long-term storage of permanent or unscheduled records?
- **☐ Yes  ☐ No**  Does your records management application provide a standard interchange format to permit the exchange of electronic documents between organizations using different software/operating systems and the conversion or migration of documents from one system to another?
- **☐ Yes  ☐ No**  Does your organization maintain complete and up-to-date technical information for your records management application?
- **☐ Yes  ☐ No**  Are procedural controls in place for records management applications to protect the integrity of records and their legal admissibility under the rules of evidence?
- **☐ Yes  ☐ No**  Have all employees received training in determining record status of documents they create with office automation applications (e-mail, electronic documents, spreadsheets and databases)?
- **☐ Yes  ☐ No**  Has your organization implemented procedures for maintaining records created using personal computers in an official file or records management application?
- **☐ Yes  ☐ No**  Are all staff who use computers trained in procedures to avoid the unintentional loss of records, including backup methods?
### 8.4.2 Audiovisual records

- **Yes**  **No** Are the original and use copies of audiovisual records maintained separately?
- **Yes**  **No** Are finding aids such as indexes, captions, list of captions, data sheets, shot lists, continuities, review sheets and catalogs (published or unpublished) maintained for all audiovisual records?
- **Yes**  **No** Are cross-references to closely related text materials maintained?
- **Yes**  **No** Has your organization created procedures to ensure that information on magnetic sound or video media is not erased or overwritten?
- **Yes**  **No** Does your organization retain original photographic images created electronically (digital photography)?
- **Yes**  **No** Does your organization maintain originals of permanent or unscheduled photographs scanned into computer programs?
- **Yes**  **No** Does your organization store permanent audiovisual records, particularly color films and photographs, in environmentally-controlled space (72 degrees Fahrenheit or less with 30-40 percent relative humidity)?

### 8.4.3 Cartographic and architectural records

- **Yes**  **No** Are maps and drawings stored flat in shallow-drawer map cases, rather than folded or rolled?
- **Yes**  **No** Are permanent maps and drawings stored in acid-free folders?
- **Yes**  **No** Are large, heavy atlases and other bound volumes of maps or drawings stored flat, preferably on roller shelves to facilitate moving them without damage?
- **Yes**  **No** Do adequate finding aids such as indexes exist for cartographic and architectural records?
- **Yes**  **No** Are cross-references to closely related textual records maintained with cartographic and architectural records?

### 8.4.4 Micrographic records

- **Yes**  **No** Are microform records arranged and indexed to permit ready retrieval of individual documents?
- **Yes**  **No** Do microforms contain a title header or initial target page that identifies the records?
- **Yes**  **No** Are microform boxes individually labeled with the records series title and date span of the records?
they numbered sequentially?

☐ Yes  ☐ No  Are permanent and temporary records filmed separately?

☐ Yes  ☐ No  Are silver and nonsilver microforms filed separately?

☐ Yes  ☐ No  While they are in storage, are silver master microforms of permanent and unscheduled records inspected biannually?

8.5  **Section 5: Records Disposition**

Records disposition is a critical element of records management. Only those active records needed for current business should be maintained in your office, and you should use records schedules to determine when to destroy records. The records disposition program contributes to economical and efficient agency operations. Clearly written, up-to-date, and properly implemented comprehensive records schedules form the basis for a sound records disposition program.

8.5.1  **Records schedule development**

☐ Yes  ☐ No  Are records schedules based on inventories of program records? Are inventories updated periodically to reflect new records series, changes in recordkeeping practices or regulatory/legislative changes?

☐ Yes  ☐ No  Do program record schedules contain a clear and complete description of records series that reflect the content and arrangement of files?

☐ Yes  ☐ No  Do the disposition instructions include provisions for cutoffs/file breaks, retiring hard copy records to permanent preservation and specific retention periods before final disposition?

☐ Yes  ☐ No  Are electronic records transferred when they become inactive?

☐ Yes  ☐ No  Do senior staff review proposed records schedules relating to their office or function?

☐ Yes  ☐ No  Are reviews periodically conducted to identify new records series that should be schedules, as well as changes in recordkeeping practices that require records schedule revision?

8.5.2  **Records schedule implementation**

☐ Yes  ☐ No  Do records management staff monitor records schedule implementations?

☐ Yes  ☐ No  Are records destroyed only in accordance with records schedules?
Do file custodians take prompt action to cut off files, destroy records with expired retention periods and retire eligible records in accordance with records schedule provisions?

Are permanent records transferred to archiving if indicated in the records schedule?

8.6 **Section 6: Vital Records/Business Continuity Planning**

A vital records program is intended to assist an organization in identifying and protecting records essential to continuing operations under other than normal business conditions. It is also known as business continuity planning.

8.6.1 **Vital records**

- Yes ☐ No ☐ Have you assessed potential risks to your vital records?
- Yes ☐ No ☐ Have you identified the responsibilities of specific individuals?
- Yes ☐ No ☐ Have you designated a point person to coordinate your vital records plan?
- Yes ☐ No ☐ Have you identified your vital records, i.e. emergency operating records and legal rights records?
- Yes ☐ No ☐ Do you periodically review your vital records plan and update it as necessary?
- Yes ☐ No ☐ If special media records, such as electronic or microform records, are designated as vital records, have provisions been made for access to equipment needed to use them?
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