

Chattanooga Chapter Workshop

The Challenges of Developing an Electronic Records Program

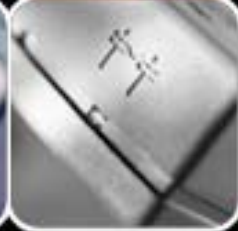
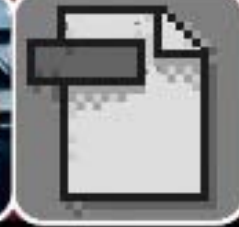
Challenges to be Discussed

- Enterprise Content Management Definition and Software
- E-Mail Management
- ERM Policies and Procedures

What are your Challenges?

Electronic Records Issues

- Welding Rod Trial In Ohio
- Merck Judgment in Texas for \$234,000,000
- Morgan Stanley Fined Hundreds of Millions for mishandling records
- DuPont Fined \$100,000,000 for failure to produce records
- Prudential Insurance Fined \$1,000,000 for destroying records during a class action suit.
- Trend is to Focus on Insufficient Records Management Policies to win cases of Little Merit.
- How do you minimize the impact of these results?



Records Management & Document Management



The Odd Couple



Records Management Defined

- Standardizes access to complete and trustworthy information
- Ensures the preservation of paper and electronic information in accordance with regulatory and archival guidelines
- Provides metadata standards for the effective management of original records

Associated software tools implement the above defined attributes (e.g. TRIM, Hummingbird, OpenText, Documentum)

Document Management Defined

- Provides edit, version and dissemination control for created electronic documents.
 - Enables electronic document sharing locally or globally
 - Allows document indexing using standard category tables
 - Generates full text indexing of document content
 - Serves as an electronic document repository
- Associated software tools implement the above defined attributes (e.g. OpenText, Interwoven, Hummingbird, Documentum)

Information Life Cycle

- Regardless of the storage media, all information is created, used, distributed, stored, and destroyed.
- Records Management and Document Management claim information life cycle management based on their approach to information processing.



creation



distribution



maintenance



protection



control & use



storage

destruction/
recycling

DOCUMENT MANAGEMENT

RECORDS MANAGEMENT

Records Management Software

- Records Management Software provides document capture to apply indexing standards and compliance preservation policies



creation



distribution



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DOCUMENT MANAGEMENT

RECORDS MANAGEMENT

Document Management Software

- Document Management software enables information sharing, workflow, version control, full text indexing, and team collaboration of active electronic documents and applications



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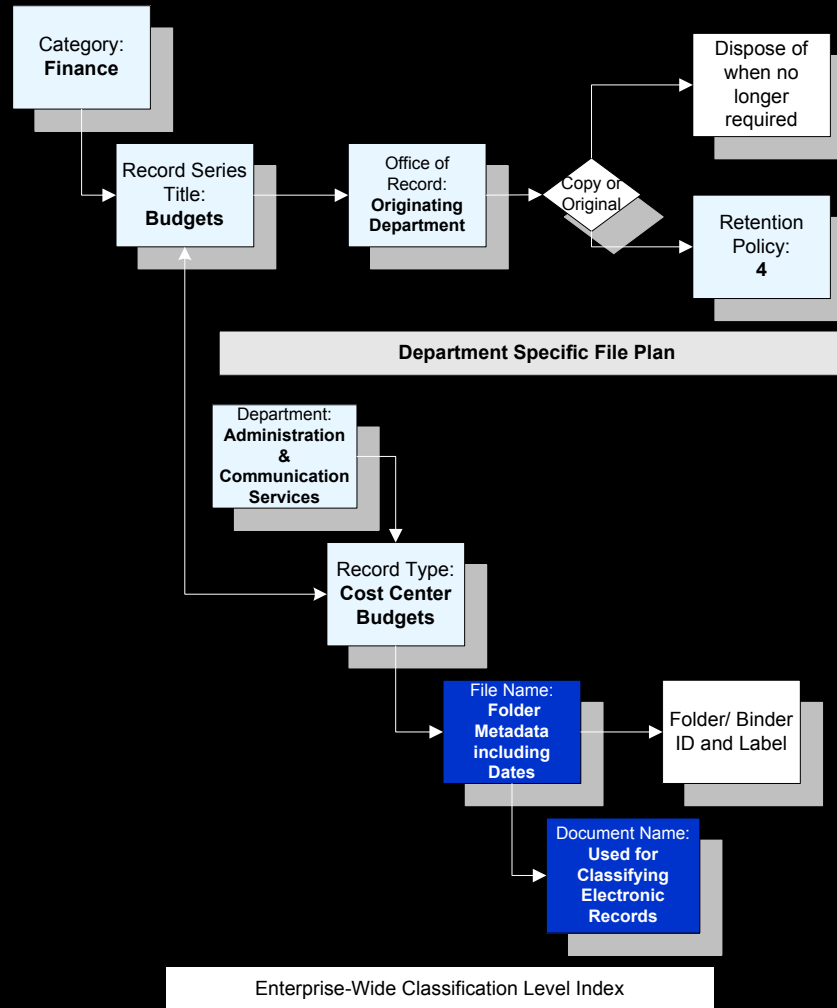
DOCUMENT MANAGEMENT

RECORDS MANAGEMENT

Records Management Utilization

- Enterprise wide records management tool for:
 - Managing hardcopy records stored in on-site and commercial records facilities
 - Controlling the indexing, access, and tracking of images and paper records in on-site file centers.
 - Facilitating the retention of physical records.

Indexing Standards



RMS/DMS Alternatives

Provide access to a DMS tool to all users for document/records management control of all information resources...

Benefits

- Single tool for managing the process flow of electronic records
- Provides document version control, storage and retrieval repository
- Intuitive screen format for end-users

Drawbacks

- Provides limited indexing of 'eye readable media
- Does not control the movement and storage of paper records
- No compliance tables for the preservation and disposal of records

RMS/DMS Alternatives

Provide access to an RMS tool to all users for document/records management control of all information resources...

Benefits

- Single tool for managing the indexes of paper & electronic records
- Provides life cycle reference from the point of document completion through destruction

Drawbacks

- No ability to control electronic document drafts or versions
- Limited ability to share documents in process.
- End-user interaction with software requires substantial training

RMS/DMS Alternatives

Provide an integrated set of tools to all users for document/records management control of information resources...

Opportunities

- Standard indexing schemes applied to all paper and electronic information
- Flexible tool for the end-user that fits their document environment
- A single source for retrieving information throughout the enterprise

Requirements

- Application development to merge standards and compliance tables together
- Develop a common data repository that both tools can access
- Establish procedures focusing on indexing and compliance

Tools Working Together

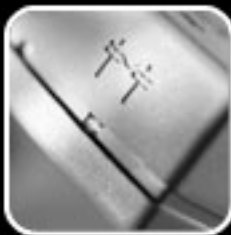
- DMS/RMS tools (ECM) - Points of integration
 - Metadata or common index table structure
 - Point of document publication
 - Paper document association
 - Common control tables
- Need of Integration
 - Requires application development to allow seamless integration points

Building a Enterprise Content Management System

- Using the document creation, sharing and flexibility of a DMS tool combined with the standards and paper records control of an RMS tool will enable further data management with an ERP archive module. The best of all worlds.



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