
Contents

Preface	xvii
Acknowledgments	xix
Introduction	xxi
About the Author.....	xxv
Part 1 Basics of Electronic Document and Records Management Systems	
1 History and Background of Electronic Document and Records Management Systems	3
Earliest Systems Known to Humans.....	3
Modern Systems	3
Future Market Trends	5
2 Fundamentals of EDRMS	7
Legislative Issues	7
Legislation — Freedom of Information Act, Privacy Act 1974, Data Protection Act 1998.....	7
The Difference between Documents and Records	8
Acronyms	9
EDRMS — Electronic Document and Records Management Systems	9
EDRM — Electronic Document and Records Management	10
EDMS — Electronic Document Management Systems	10
EDM — Electronic Document Management.....	10
ERMS — Electronic Records Management Systems	10
ERM — Electronic Records Management.....	10
DMS — Document Management Systems	10
ECM — Enterprise Content Management	11
DM and RM	11
Electronic Record Keeping.....	11

Basic Components of Electronic Document Management Systems.....	11
Document Repository	11
Folder Structures	12
Integration with Desktop Applications.....	13
Check-In and Check-Out.....	13
Version Control.....	13
Auditing.....	14
Security.....	14
Classification and Indexing	14
Search and Retrieval	15
Optical Character Recognition (OCR).....	15
Basic Components of Record Management Systems	16
Repository	17
Folder Structure	17
Classification, Indexing, and Metadata	17
Capturing and Declaring Records.....	17
Retention and Disposal of Records	18
Record Security.....	18
Managing Physical Records	18
Search and Retrieval	18
Auditing and Reporting	19
Compliance with Standards.....	19
Scanning and Imaging	19
Collaboration	20
Workflow.....	20
The Complete EDRMS	20
3 Complying with Standards and Legislation.....	23
ISO 15489	24
ISO 15489.1-2002, Records Management — Part 1: General	24
ISO 15489.2-2002, Records Management — Part 2: Guidelines	25
DIRKS (Designing and Implementing Record-Keeping Systems).....	25
Step A — Preliminary Investigation.....	25
Step B — Analysis of Business Activity	26
Step C — Identification of Record-Keeping Requirements	26
Step D — Assessment of Existing Systems	26
Step E — Identification of Strategies for Record-Keeping	27
Step F — Design of a Record-Keeping System	27
Step G — Implementation of a Record-Keeping System.....	27
Step H — Post-Implementation Review	27
MOREQ: Model Requirements for the Management of Electronic Records.....	27
DoD 5015.2: Design Criteria Standard for ERM Software Applications	28
DoD 5015.2 — Compliant Systems	29
The National Archives—Compliant Systems (TNA 2002).....	29
Acts of Law.....	30
Freedom of Information	30

The Privacy Act 1974 (United States) and Data Protection Act 1998 (United Kingdom)	31
Government Paperwork Elimination Act	31
Other Acts of Law and Regulations Impacting on Electronic Records	31
BSI PD 0008	32
Health Insurance Portability and Accounting Act (HIPAA)	33
U.S. Securities and Exchange Commission	33
National Association of Security Dealers	34
Financial Services and Markets Act 2000	34
Sarbanes–Oxley Act	35
International Financial Reporting Standards	35
The e-Privacy Directive	36
Environmental Information Regulations 2004	36
Conclusion	36

Part 2 Components of EDRMS

4 Creating Electronic Document Types.....	41
Gathering Requirements for Defining Electronic Documents	41
Defining Electronic Document Types	43
Step 1 — Working with a Representative Cross Section of the Department.....	43
Step 2 — Discovering the Department’s Main Activities	43
Step 3 — Defining Document Types for Each Document Group	44
Step 4 — Defining Metadata for Each Document Type	45
Defining Metadata for Searching and Retrieval Methods	48
Defining Metadata for the Health and Safety Accident Document	48
Using Mandatory Fields to Define Metadata	49
Specifying Metadata Field Types	51
Analyzing Each Part of the Form to Derive Metadata	52
Part A — About You	52
Part B — About the Incident	52
Part C — About the Injured Person	55
Part D — About the Injury	56
Part E — About the Kind of Accident	56
Part F — Dangerous Occurrences	56
Part G — Describing What Happened	56
What Other Documents Would Be Related to This Type of Document?	57
Standard Metadata Fields.....	57
The Completed Metadata Definition	57
Letters.....	60
Uploading Files from Other Sources.....	61
Creating Document Types for the Other Departments	62
5 Creating the Folder Structure	63
The Organizational Structure	64
Property-Based Folder Structures.....	64
Business-Based Folder Structure.....	66

Project-Based Folder Structure.....	68
Which Folder Structure to Choose.....	68
The Hybrid Approach.....	69
Step 1 — Top-Level Folder.....	70
Step 2 — Creating Level 2 Folders.....	70
Step 3 — Creating Level 3 Folders.....	70
Step 4 — Creating Folders within Each of the Environmental Services Department Folders.....	70
6 Search and Retrieval.....	73
Searching a Document or Records Content.....	73
Basic Searches.....	74
Advanced Searches.....	76
Designing Search Screens and Displaying Search Results.....	77
Administrative Search Functions — Reporting.....	81
7 Integrating Workflow.....	85
How and When Should Workflow Be Integrated?.....	85
Workflow Process Mapping.....	86
Starting at the Beginning — The Post Room.....	86
Setting Up the Post Room.....	87
Step 1 — How Much Mail Does the Organization Receive?.....	87
Step 2 — How Do We Index Mail?.....	88
Step 3 — How Many Scanning and Indexing Stations Are Needed?.....	88
What Do We Do with Direct Marketing Materials?.....	90
The Starting Point for Documents with Workflow.....	90
Work Queues.....	91
Handling Letters That Have Been Directed to the Wrong Department or Person.....	91
Archiving Letters.....	91
Investigating How Documents Flow around the Organization.....	92
Keeping an Audit Trail.....	93
Running Reports.....	94
Managing the Organization Using Workflow.....	94
Other Workflow Examples.....	95
Job Applications.....	95
Freedom of Information Request.....	96
Realizing the Full Potential of Workflow.....	96
8 E-mail Management.....	99
How to Manage E-mails.....	99
Corporate E-mail Policy.....	100
E-mail Is Not an IT Issue; It's a Business Issue.....	100
Laws, Regulatory Compliance, and E-mails.....	100
Classifying and Indexing E-mails.....	101
The E-mail Document Type.....	101
Searching and Retrieving E-mails.....	101
Retaining E-mails.....	102

9	Records Management and Records Management Policies	103
	What Constitutes a Record?.....	103
	When Do Documents Become Records?	104
	Retention Schedules.....	105
	Off-Line Storage Media.....	106
	Archiving.....	106
	Security.....	106
	Auditing.....	107
	Further Legislation and Standards on the Retention and Deletion of Documents.....	107
10	User Interfaces, Mobile Working and Remote Access	109
	Advantages of the Windows Client.....	110
	Disadvantages of the Windows Client	110
	Advantages of the Web Client.....	110
	Disadvantages of the Web Client	111
	Which User Interface? Windows Client or Web Client?.....	111
	Aspects of Good User Interface Design	111
	Displaying More than One Document or Record.....	111
	Displaying Metadata Associated with a Document or Record.....	112
	Navigating through the Folder Structure.....	112
	Search Facilities	113
	Accessing the Document or Records History	113
	Comparing Different Document Versions	113
	Mobile Working.....	113
	User Interfaces and PDAs	114
	Off-Line Working.....	114
11	Scanning Historical Documents and Records	117
	Processes.....	117
	Preparation.....	118
	Scanning, Classification, and Indexing.....	118
	On-Site Scanning, Classification, and Indexing	119
	Off-Site Scanning, Categorization, and Indexing.....	120
	Training Needs of Scanning and Indexing Personnel	121
	Quality Assurance	121
	Running the Processes in Parallel	122
	Case Study — Warrington NHS (National Health Service) Primary Care Trust (United Kingdom)	122
	Requirements	123
	Solution	123

Part 3 A Framework for EDRMS

12	Project Management.....	127
	PRINCE2™	127
	PRINCE2 Processes.....	128
	Starting up a Project (SU).....	129

Directing a Project (DP)	130
Initiating a Project (IP)	130
Managing Stage Boundaries (SB).....	131
Controlling a Stage (CS)	132
Managing Product Delivery (MP)	132
Closing a Project (CP).....	133
Planning	134
The Components.....	135
Business Case	135
Organization.....	136
Plans	136
Controls	137
Management of Risk	138
Quality in a Project Environment	138
Configuration Management.....	139
Change Control.....	140
PMBOK (Project Management Body of Knowledge).....	140
Project Management Knowledge Areas.....	140
Project Phases.....	142
The Five Process Groups	142
The Nine Project Management Knowledge Areas.....	142
Project Integration Management	143
Project Scope Management	143
Project Time Management.....	143
Project Cost Management	144
Project Quality Management	145
Project Human Resource Management.....	145
Project Communications Management.....	146
Project Risk Management.....	147
Project Procurement Management	148
Starting the EDRMS Project.....	149
Getting the Right Team Together	150
13 The Business Case	151
Saving Costs.....	152
Saving Floor Space	152
Productivity Gains.....	152
Competitive Advantages	153
Centralized Storage of Information	153
Management of Information.....	154
Compliance with Record Keeping Laws and Standards.....	154
Improved Customer Service	154
Improved Staff Morale	154
More Efficient Business Processes.....	155
Encouraging Team Working.....	155
Full Disaster Recovery	155

The Link between Tangible Benefits and Intangible Benefits.....	155
Costs of the Project.....	156
Project Management.....	156
Information Gathering and Analysis.....	157
The Feasibility Study.....	157
The Business Case	157
The Functional Requirements	158
The Technical Specification.....	158
Procuring an EDRMS Software Solution	158
IT Hardware Costs	158
Implementation Costs	158
Training Costs.....	159
IT Support Costs	159
Maintenance Costs.....	160
Stages Running in Parallel.....	160
Financial Benefits of the Project.....	160
14 The Functional Requirements	163
Folder Structure.....	164
Document Types and Metadata.....	164
Search and Retrieval	165
Document Management.....	166
Records Management.....	167
User Interfaces.....	167
Mobile Working and Remote Access.....	168
Security and Access	169
Auditing.....	169
Reporting	170
Administration	170
Compliance with Standards.....	170
15 The Technical Specification	173
Folder Structure.....	173
Document Types and Metadata.....	174
Search and Retrieval	174
Document Management.....	174
Records Management.....	174
User Interfaces.....	175
Mobile Working and Remote Access.....	175
Security and Access	175
Auditing.....	175
Reporting	176
Administration	176
16 EDRMS Software Platforms	179
Choosing the “Right” (?) Software.....	180
The D.I.Y Option — In-House Development.....	180

17	Hardware Considerations.....	183
	Mirroring Servers.....	183
	Clustering.....	184
	Backup Facilities.....	184
	Disaster Recovery.....	184
	Scanners.....	184
18	Managing the Cultural Change of EDRMS	185
	What Is Change Management?.....	186
	What Is Organizational Culture?.....	186
	What Is Cultural Change?.....	187
	People.....	187
	Systems.....	187
	Processes.....	187
	Organizational Cultural and Change Management.....	188
	Approaches to Change Management.....	188
	Political Skills: Understanding Organizational Politics.....	189
	Analytical Skills: Investigating the Organization.....	190
	People Skills: Communication and Interaction.....	190
	System Skills: Knowing the Organization Processes.....	190
	Business Skills: Knowing the Organization.....	191
	Fundamental Components of the Change Program.....	191
	Investigate the Culture of the Organization.....	191
	The Need for Change.....	191
	“The Computer Will Replace Our Jobs” Syndrome.....	192
	Communication with Staff.....	192
	Leading by Example.....	192
	Involve the Whole Organization.....	193
	Empowering Staff within the Organization.....	193
	Change at the Individual Level.....	193
	Expect the Unexpected.....	193
	Change Management Strategies.....	194
	Empirical–Rational.....	194
	Normative–Reeducative.....	194
	Power–Coercive.....	195
	Influencing Factors in Designing the Change Management Program.....	195
	Which Change Management Strategy to Choose?.....	195
	Overcoming the Reluctance to Let Go of Paper.....	196
	Changes in the Mail Room.....	196
	Implementing and Managing the Change Program.....	197
	Conclusion.....	197
19	The On-Going Nature of the Project	199
	The EDRMS Working Group.....	199
	Receiving User Feedback.....	200
	Supporting Users.....	200

Integrating the EDRMS with Other Systems	201
The Paperless Office — a Myth or Practicality?.....	201

Part 4 EDRMS Case Studies

Case Study — Agis Healthcare, Netherlands.....	203
Challenges.....	203
Requirements	203
Solution	204
Benefits	204
Case Study — Barclays Bank, United Kingdom	204
The Problem.....	204
The Solution	205
The Benefits.....	205
Case Study — City of Newark, New Jersey	206
Solution	206
Benefits	206
Paperless Administration.....	207
Digital Print Management	207
Federal E-File Compliance.....	207
Municipal Council Meeting Agendas	207
Further Improvements	207
Case Study — Cuatrecasas, Spain	208
Exchanging Information	208
Document Version Control.....	208
Publishing Company Information.....	208
Low Reuse of Best Practices	209
The Requirements	209
The Solution	209
The Benefits.....	209
Increased Productivity.....	210
Publishing.....	210
Infrastructure	210
Increased IT Productivity.....	210
Client Extranet	210
Costs	211
Calculating Return on Investment (ROI).....	211
Case Study — NHS Care Records Service, United Kingdom.....	212
Choose and Book	212
Electronic Transmission of Prescriptions (ETP).....	213
Picture Archiving and Communications Systems (PACS).....	213
Quality Management and Analysis System (QMAS).....	213
Primary Care Trusts.....	213
Case Study — Nevada County, California	213
Case Study — New York City Police Pension Fund, New York.....	214
The Challenges.....	215

The Requirements	215
The Solution	215
The Benefits.....	217
Case Study — Trinity Community Centre, United Kingdom.....	218
The Issues	218
The Solution	219
Case Study — Tyler Memorial Hospital, Tunkhannock, Pennsylvania	220
Challenges.....	220
Solution	221
Results	221
Appendix A EDRMS Software Vendors.....	223
Diagonal Solutions — Wisdom.....	223
Dexmar — KnowPro EDRM	224
EMC Software — Documentum Records Manager	224
Fabasoft — eGov-Suite.....	225
FileNet.....	226
Hummingbird — DM, RM, R/KYV	226
Hyperwave — eRecords Suite	226
IDOX — Document Management and Records Management	227
Meridio	227
IBM.....	228
Interwoven.....	228
Objective	229
Open Text Corporation	229
Tower Software	230
Uniplex.....	230
Vignette	231
World Software Corporation.....	232
Xerox DocuShare	232
Appendix B Glossary.....	235
References	241
Chapter 3 — Legislation and Standards.....	241
Chapter 11 — Scanning Historical Documents and Records.....	242
Chapter 12 — Project Management	242
Chapter 18 — Managing the Cultural Change of EDRMS	242
Case Studies.....	242
EDRMS Software.....	243
Index.....	245