

Ten Steps to an Effective E-Records Implementation

adapted from

“Electronic Record Keeping: The State of the Art, and How to Make it Work”

**Bruce Miller, e-Records Strategy and Business Development Executive,
IBM Software Group, Ottawa Software Lab**

May 2004

1. Build the Organizational Structure required to support e-records

- Link IT to RM
- Involve Legal Counsel, Corporate Compliance and Corporate Risk Management
- Define mission, mandate, roles and responsibilities
- Establish a Strong Project Team
 - IT, RM, Business Process People, Legal Counsel, Corporate Compliance and Corporate Risk Management

2. Build Corporate Awareness

- Launch an education plan/strategy
 - Up (to management) Educate Management on importance of e-records
 - Across (to stakeholders)
 - Down (to end users)
 - Tie to business ethics training (when appropriate)
- Build the business case (if required)
 - Tangibles
 - Intangibles

3. Establish Underlying Corporate Policies

- Definition of a record. Official vs. Transitory records. When to Declare a record. (This will vary depending on the record and the business process.)
- Requirements of systems and processes that generate/store records, including quality and reliability of such systems
- Email Policy (Usage and application of e-records)
- Mainframe and Client / Server Applications and Database Policy
- Policy's strategic place and role within the greater organization's policies/framework
 - Compliance, Privacy, legal, public's right to information (FIOA) etc.
- Implementation plan
- Resources Required
- File Plan and retention schedule
- Access control (security)
- Policy review/Audit process

4. Enshrine the New Policies

- Communicate clearly from the top. This is really *education*.
- Provide the policy to all stakeholders and everyone who has a role to play

5. Build/Strengthen RM Foundation

- Creation of Update/Revise File Plan & Retention Plan
 - Use Skupsky's Retention Method or other 3rd party retention method or consultation.
- Ensure adequate skills and resources (funding, people)
- Conduct a Records Inventory (physical as well as electronic)
- Establish Metadata requirements and standards (leverage existing corporate or industry standards)

6. Develop Implementation Strategy/Plan

- Decide on relationship between ECM and RM
 - Why/When/How/Where to combine the two
- Identify Target Pilot group
- Define the Target Business Processes to records-enable
- Set clear expectations, goals and objectives
- Timeframe, Roles & Responsibilities

7. Map Business Processes

- Clearly Define and map every target business process
- Revise process to include e-records
- Secure stakeholder agreement on all updated processes
- (Paper systems only) Define & Map paper-based processes
 - Folder storage/retrieval/tracking
 - Box storage/retrieval/tracking

8. Implement RM Technology

- Install/Configure
- Bulk Load File Plan, Retention Schedule
- (Paper Systems Only) Bulk Load Boxes, Folders
- (Paper Systems Only) Define/build any required “custom” paper handling processes
- Train Records Administrators
- Establish operational Physical Records management (Paper Systems)
- Install, Configure any/all connectors/existing applications
- Design, build, test, deploy, audit, refine any new enablers

9. Conduct the Initial Pilot

- Select a Target Business Application (2?)
- Design/Build Declaration and Classification Methods for target Host Application
- Design and deliver user training:
 - Training on the policies and procedures
 - Declaration/Classification procedures
- Conduct pilot for 60 days
- Measure against pre-established customer requirements, expectations, goals and objectives of pilot project
- Review the Results
- Apply changes/corrections
- Measure results again

10. Enterprise Roll-out

- Develop Roll-out Strategy/Plan
 - Identify Target group(s)
 - Define the Target Business Processes to records-enable
 - Set clear expectations, goals and objectives
 - Timeframe, Roles & Responsibilities