



Implementing Document Management



Who Am I?

- **Currently, SGHE Product Manager**
- **Started working in Advancement Services at College of William & Mary in 1992**
- **Implemented basic document management system at University of Washington in conjunction with an Alumni Census in 2001**
- **Implemented a comprehensive document management system at Columbia University in conjunction with system conversion in 2004**
- **Started as Product Manager for Advance Document Management System six months ago**

What We're About Today...

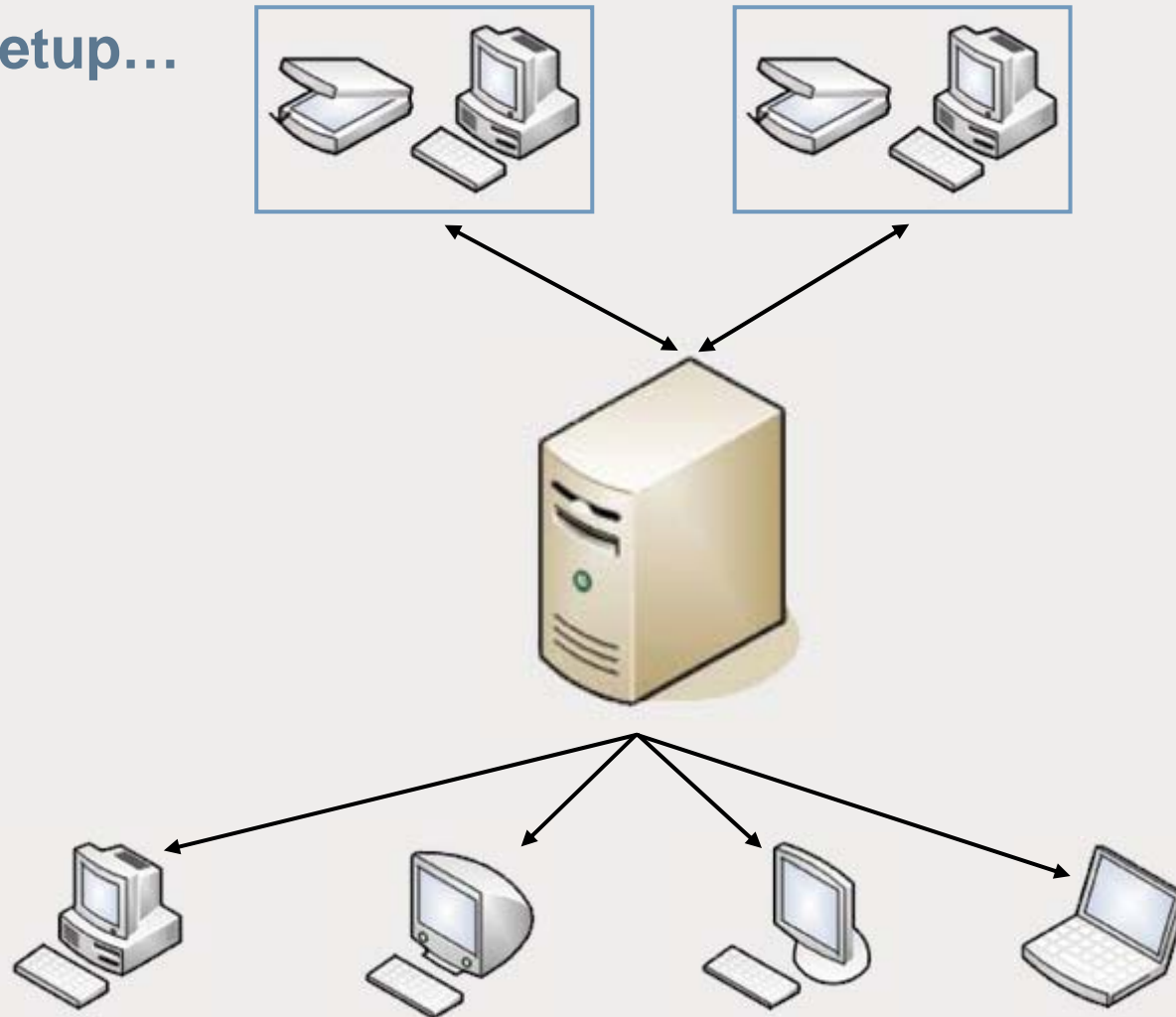
- **Overview of document management and some uses in the Fundraising/Higher Ed world**
- **Point to additional resources for exploring this area**
- **Issues that typically come up as institutions look at systems**
- **Basics on systems that have been used at different schools**
- **Project planning guidelines**
- **Lessons learned**

Document Management

- **Sometimes called Content Management**
 - **But that can get confused with software you use for your websites**
- **Storing document images electronically and centrally so authorized people have access at their desk or over the web**
 - **'Filed' by multiple criteria**
 - **Types, keywords, summary data**
 - **Security can be set for different roles**
 - **Access can be tracked**
 - **Advanced functionality**
 - **Workflow, OCR, Forms Processing**

I Always Feel Better With A Diagram

Typical setup...



Growth Area

- **Sales of document management systems are increasing – 15% greater in 2004 than 2003, on track for similar or more in 2005**
- **More widely adopted in industry than in education or government**
 - **But seeing increasing attention in Higher Ed**
- **What's driving growth?**

Growth Driven By...

- **Legal compliance**
 - Increasingly necessary to demonstrate positive compliance
 - Necessary to know who has seen what and when
- **Access**
 - Multiple people seeing same files at same time
 - People accessing remotely
- **Recoverability**
 - Hard drives can be backed up; paper cannot

Growth Driven By...

- **Long-term savings**
 - Professional staff spend 500 hours annually reviewing and routing files
 - Additional 150 hours locating misfiled documents
 - Average document
 - Copied or printed 19 times
 - \$20 in labor to file
 - 1 out of 20 are lost
 - 25 hours to recreate a document
 - PriceWaterhouseCoopers study on document flow

Other Document Facts

- **Workers create 45 pages per day**
- **Filing space doubles every 10 years**
- **5 drawer cabinet holds 3,000 pages**
 - **6.7 sq ft of office space**
- **Majority of records more than 4 years old**
 - **Retrieved less than 4 times a year**
- **One-third of documents are unavailable**
 - **In use**
 - **Misfiled**
 - **Lost**

Add It Up For Some Initial ROI

- Number of documents being created
- Time per person to handle, file
- Time per person to find, retrieve
 - 25% is walking
- Time per person printing and copying
- Average hourly salary
- Number of employees
- Cost of office space
- Plus, you know, not going to jail...

Okay, Okay, I'm Convinced. What Next?

- **Pick a system...**
- **If you want to go at random, here are some in use in Higher Ed:**
 - **OnBase**
 - **Optika**
 - **FileNet**
 - **FYI & NetFYI**
 - **KwikTag**
 - **DocFinity**
 - **Nolij**
 - **PaperClip**
 - **BizTech Solutions**
 - **FileMark's SMARTi**
 - **IBM ImagePlus/WAF/Visual Info**
 - **KeyFile**

If You Want To Be More Scientific...

- Here's what you'll need to specify...
- Usage map:
 - How many people/stations scanning and storing?
 - In how many offices and networks?
 - How many people/stations retrieving and viewing?
 - In how many offices and networks?
 - Number of existing documents?
 - Import all at once?
 - Import ongoing?
 - Number of new documents per year?
 - Stored at what daily/weekly/monthly rate?
 - Growth rate per year?

And...

- **Functional map:**
 - Which offices are using system?
 - Which types of documents will they store?
 - What is the turnaround time for scanning?
 - Will there be dedicated staff?
 - How will documents be defined and coded?
 - Who will get to see which type of document?
 - Will people be able to add classifications and keywords to documents?
 - Will you backscan?
 - Will you outsource?
 - Will you need links in other applications?

Don't Panic

- All these questions
- Many are defined by mandate
- Let's take a look at two “case studies”
 - In quotes!
 - It's an amalga... amalga... combination
- As we plan document system implementations, they tend to fall into two main categories that correspond

Start Simple...

- **We just need to get one type of document online**
 - Usually a policy or legal compliance issue
 - “We’ll expand out from there”
 - We have 50,000 of them in four different offices
 - Limited number of offices or employee types involved
 - Access usually becomes about one type
 - HIPAA, FERPA, Gramm-Leich-Bliley issues need to be evaluated once
 - This is often done to ensure compliance anyway
 - Discrete backscanning process and ongoing scans can be handled by existing staff

Start Simple May Not Stay Simple

- **Pitfalls**

- **New documents will require new classifications, possibly other new system features**
 - **May have to go back to vendor**
 - **Sometimes mutually exclusive**
- **Growth can be greater than specified**
 - **Server and other infrastructure issues**
- **Security issues**
 - **First doc types may need to be secured from new users**
 - **New users may have different needs, more nuance**
- **Legal compliance becomes more complex**

Hey, Big Spender

- The “other” way to go
- We’re going to do everything
- Endowment agreements, Pledge agreements, Planned Giving, Gift transmittals, Gift receipts, Research files, News clippings, Campus magazines, Newsletters...
- May even be incorporating into broader campus-wide solution
- Document types determined and mapped before scanning begins
- Roles and access determined as part of process

Big Spender

- Significant work to analyze process and document flows
- May involve job redefinition or additional hiring
- Backscanning almost definitively part of this type of project
 - How quickly?
 - Onsite or offsite?
 - Cataloging and classification
- Potentially significant legal analysis
- Upfront cost and complexity can be surprising

Lessons Learned

- **You pay now or you pay later**
 - **That's not a threat or a discouragement**
- **The technical aspects of the project are never the hardest part**
 - **It's always the business analysis**
 - **There will be undecided issues this uncovers**
 - **Policies and Procedures**
 - **You mean you need those documented?**
 - **Having things centrally available to unseen people creates additional complications**

Marian...

- **Madam Librarian**
- **This is a necessary function**
- **You are dealing with active files**
- **Someone has to:**
 - **Collect from multiple offices**
 - **Catalog which are present**
 - **Compare for duplicates**
 - **Classify the document type**
 - **Attach unique identifiers**
 - **Know where files are in the process**

Legal Compliance

- **We've touched on this**
- **Policies will change based on whether documents are covered**
- **Policies will change based on whether these are becoming your legal record**
- **Policies will change based on your zip code**
 - **And whether you have a Hospital**
 - **And whether you have Admissions or Student docs**
 - **And what else (SSN) you are storing**
- **There's no way to find this out from a Listserv**
- **Consult with your General Counsel early on**

Other Lessons Learned

- **Give serious thought to outsourcing scanning**
 - Can be much faster turnaround
 - Firms can handle different types of documents
 - Booklets, stapled, delicate
 - Free up your staff for decision making instead of copying
- **Offsite storage**
 - Even if images cannot be document of record, you can still save space
 - Set up contractual retrieval obligations based on type, age
 - Image instantly available with 24-hour turnaround on physical document

And Now For Something Completely Different

- **Once you get basic file cabinet accomplished, there's some great stuff**
- **Demonstrating positive compliance rather than lack of violations...**
 - **Electronic documents become document of record**
 - **Able to demonstrate who has accessed which documents at which time**
 - **Able to demonstrate converse as well**

And Now For Something Completely Different

- **Workflow**

- Document that is created, routed and modified via the Document Management system
- For example, a Planned Gift
- Planned Giving officer generates initial memo of understanding
- Electronically routed to PG Department Auditor for specific forms and transmittals to be added
- Routed back to Department Director for review and sign off
- Routed to VP to sign off on endowment specifics
- Final documents back to initial Planned Giving officer
- Nothing lost, everyone knows where everything is every step of the way, full ability to access at any time

And Now For Something Completely Different

- **Optical Character Recognition (OCR)**
- **This is getting better and better**
 - Improved methods
 - Systems that “vote”
 - Handwriting (may still require “training”)
 - Can achieve 95% accuracy easily
 - Better at knowing when they don’t know
- **Practical**
 - Recognizing address on checks
 - Scanning long documents for later indexing
 - Data mining

And Now For Something Completely Different

- **Forms processing**
 - **With regular forms, can map information as filled out to specific data fields**
 - **Gift transmittals, address updates**
 - **Progress in semi regular forms**
 - **Can process thousands per day**
 - **Free your staff for more important work**
 - **So far pretty rare in Higher Ed**
 - **Why is that?**

Resources

- **AIIM**
 - Association for Information and Image Management)
 - Been around forever
 - Great job of industry partnership without bias
 - Lots of free local conference, but not much Higher Ed
 - www.aiim.org
- **ARMA (was Association of Records Managers and Administrators)**
 - Good generalized resource on all records management
 - Self-assessment on legal issues
 - www.arma.org

Wrap Up

- Thank you for your time...
- Questions?

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