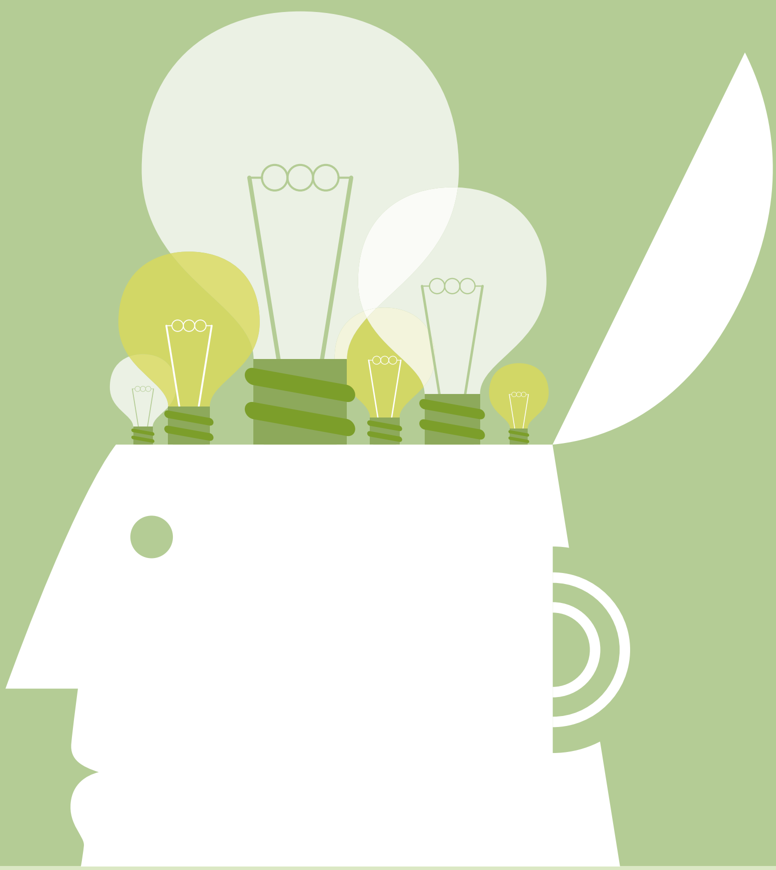
DOCUMENT MANAGEMENT:

THE BUYER'S HANDBOOK



WHAT'S INSIDE?

How to evaluate critical requirements and map workflows

250 point evaluation checklist

How to create a cost-benefit analysis that even the most skeptical financial controller will appreciate

+ **PLUS** much, much more!

EVERYTHING YOU NEED TO KNOW

TO BUILD THE CASE FOR DOCUMENT MANAGEMENT

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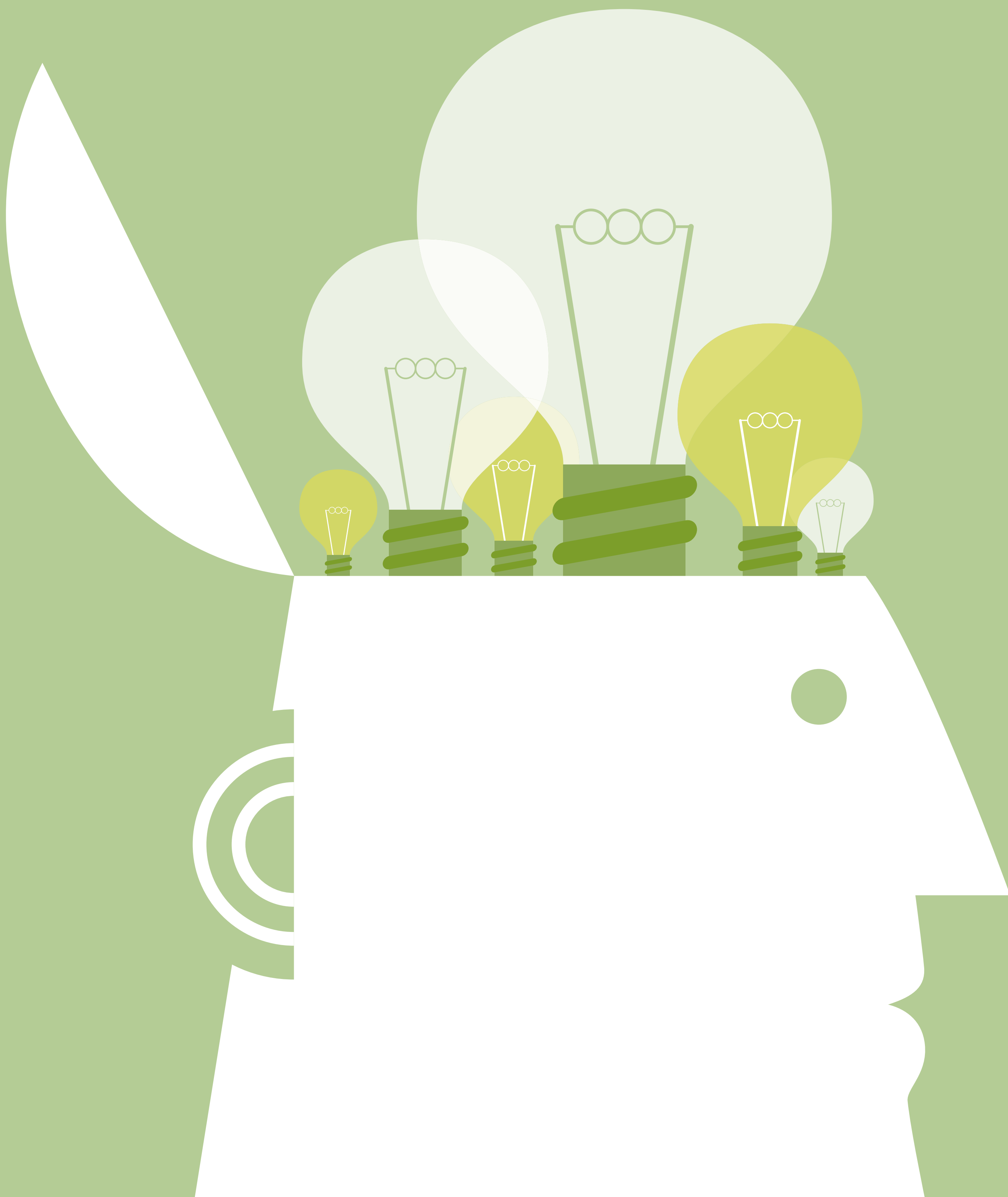

WHAT'S INSIDE

CHAPTER 1

Introduction to document management solutions

This introduction to document management solutions represents more than 25 years of experience helping clients solve some of their most pressing business problems. It also represents our commitment to educating both organizations and individual users about the technology and the benefits of document management.

Choosing the Right Document Management Solution

Reviewing available document management solutions isn't about finding the one with the best features and offerings; it's about finding the solution that is the most applicable to your organization's current and future needs.

This guide will enable you to understand how document management tools can improve business efficiency while reducing costs and waste. Once you understand your needs, you will be able to make better informed decisions about what is appropriate for your organization. Consider the following:

- How your organization currently organizes documents.
- What type of information you currently file and retrieve.
- The specific rules and regulations your organization must comply with.
- The expected growth of your organization and how the information architecture will scale.

The more you know about your specific organizational needs and goals, the more easily you will be able to work with your vendor to develop a solution that will help you succeed.

Streamline Business and Increase Efficiency

Present day expectations of document management have evolved substantially to match the pace of technology in the workplace. With the demand for information—contracts, forms, approvals, billing—to be both accessible and secure, the old business practice of hiring employees to file documents and create paper trails severely limits the organization's ability to compete.

Document management solutions exist to make the most of your business's most critical resources: time and money. By implementing document management solutions, organizations can:

- Automate tasks and increase process efficiency.
- Improve communication clarity between departments and throughout the organization.
- Shift time and focus to business-critical objectives rather than filing and looking for documents.
- Increase bottom line benefits by minimizing costs involved with filing and archiving.

Implementing a document management solution can be a complex undertaking that requires a significant initial investment of both capital and staff. Because of initial costs, it is crucial for organizations to evaluate their present and future needs before making a final decision.

The Price of Not Using a Document Management Solution

Recent estimates show that an average office administrator will take 12 minutes to process a single document.

Nine of these 12 minutes are spent searching for, retrieving and refiling the document—meaning that only three minutes are spent actually using the information they've found.

The volume of paper documents that organizations must process has increased tenfold in the last five years. Increases the paper volume drives the cost of paper handling higher, which greatly reduces profit margins.

Document management can help you deal with the rapidly increasing burden of creating and maintaining your organization's paper archives. By reliably managing and protecting the documents that support organizational processes, document management solutions increase efficiency, support profit-building activities and provide a balance between security and accessibility.

Features of Document Management Systems

Document management systems are software applications that capture, store and archive paper documents and a variety of electronic files while allowing for secure accessibility at the time of need.

All document management systems should have five basic components:

1. Imaging (capture and import)
2. Archival and storage
3. Retrieval and distribution
4. Business process automation
5. Secure mobile or remote access

Once digital versions have been created and stored in the document management repository, users can:

- Manage millions of documents and retrieve the right one in seconds.
- Share documents with colleagues while protecting confidential information.
- E-mail and fax files instantly.
- Access documents while traveling.
- Back up files and records for disaster recovery.
- Easily comply with various industry regulations including SEC, FINRA, HIPAA, Sarbanes-Oxley and more.
- Integrate with CRMs, proprietary software or other third-party applications.

Benefits of Document Management Systems

A legacy recordkeeping system can create challenges for an organization. These challenges may include labor-intensive duplication procedures, slow distribution, misplaced originals and time-consuming and inconvenient retrievals from off-site storage locations. Digital information eliminates many of these challenges and allows companies can refocus their resources to improve various facets of their business, including:

Saving time

Raising the bottom line

Increasing productivity and efficiency

Improving interdepartmental communication

Enabling automation

Save Time

A recent PriceWaterhouseCoopers study reports that the average worker spends 40% of their time managing non-essential documents, while the International Data Corporation (IDC) estimates that employees spend 20% of their day looking for information in hardcopy documents and only finding what they need 50% of the time.

By implementing a document management solution, an organization can reclaim misspent time to:

- Instantaneously answer information requests from auditors, clients and customers to eliminate call-backs and phone tag.
- Retrieve documents and essential information without leaving their workstation.
- Keep track of documents that must be viewed and signed by other personnel.
- Focus on mission-critical tasks, rather than time- and resource-intensive manual processes.

Because a document management system helps you better utilize your time, you can spend more time:

- Meeting with clients and closing deals.
- Responding more quickly to customer queries
- Providing quality customer service, which ultimately leads to more business.

Raise the bottom line

While implementing a document management system can result in upfront costs, various market studies and case studies have shown that it does lead to long-term savings.

- IDC has shown a five-year return on investment (ROI) of 404%. Half of the organizations in the study had a payback as early as six months.
- EDI Group, Ltd. estimates a $1-5 savings per document after implementation.
- Gartner, Inc. estimates a 40% document-related cost reduction with document management systems.

Other cost savings include:

- Eliminating the filing, duplication and retrieval costs of off-site storage.
- Reducing organization downtime in the case of disasters like floods, fires or theft.
- Replacing paper storage space with more workstations or other productive revenue-generating activities.

Overall, lower costs and increased revenue result in enhanced profitability and greater business value. The cost of implementing a document management solution is ultimately an investment in your organization's future success.

Increased Profitability by Business Size*

Business size (annual revenue)	$500k	$1 million	$4 million
Technology investment	$7,000 (1.4% of revenue)	$20,000 (2% of revenue)	$40,000 (1% of revenue)
Staff savings	1,000 hours (0.4 of a FTE)	1,500 hours (0.6 of an FTE)	6,000 hours (2.4 FTEs)
Overhead savings	$48,000 (9.7% of revenue)	$92,000 (9.2% of revenue)	$362,000 (9.0% of revenue)
Profit increase	125.6%	74.8%	64.1%
Business value increase	$242,000	$644,000	$3,616,000

*Based on Laserfiche research. Download the full white paper, "ROI for RIAs," at www.laserfiche.com/ROI.

Increase Productivity and Efficiency

From an intelligent document search that helps employees respond more quickly to stakeholder requests to workflow automation that maintains the pace and accuracy of relevant information, a document management system can help your organization increase productivity and efficiency.

Reduce misfiling, document retrieval time and document-centric costs with a single system that can manage your organization's information in accordance to your industry's strictest regulations. Using one system allows you to apply organizational records policies and procedures consistently, regardless of document format.

Laserfiche estimates a 20% time savings based on filing and retrieval efficiencies, eliminating misfiling and workflow efficiencies. Increased efficiency, as well as greater staff productivity, can save up to 6,000 hours annually, or 2.4 full-time staff positions.

Document management can help your organization increase productivity and efficiency with:

- Intelligent search methods that support searching with any 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.
- Minimizing lost documents.
- Creating copies and distributing documents as simply as sending an email.

Document 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 document management, your 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.

Staff Efficiency as a Percentage of Revenues*

Business size (annual revenue)	$500k	$1 million	$4 million
Back-office staff costs as a percentage of annual revenue	24% ($120,000)	27% ($270,000)	23% (920,000)
Efficiency Savings	4.8% ($24,000)	5.4% ($54,000)	4.6% (184,000)

*Based on Laserfiche research. Download the full white paper, "ROI for RIAs," at www.laserfiche.com/ROI.

Increase Communication and Collaboration

Document management systems make it easy to share documents electronically with colleagues and clients whether you're at the office or on a mobile device. A quality document management solution can:

- Be accessed remotely or online, allowing documents to be viewed and searched on from any internet capable device, regardless of whether document management software is installed.
- Integrate seamlessly with your Website, presenting a consistent face to customers and the public.
- Balance accessibility with security, assisting you in retaining strict control over which documents are available to staff and the general public.
- Work with documents on a wide variety of Internet browsers, smartphones and tablets, operating systems and hardware.

Enable Automation

Every day, information is used, moved and archived. A manual process of searching, copying and routing is tedious and time-consuming, and the inefficiencies of this process divert your staff from the crucial business of acting on this information.

Document management solutions with an automated workflow component allow for more efficient work processes. A workflow solution enables automated document routing that saves time and money by reducing photocopying, hand delivery and lag time between stakeholder approvals.

A quality workflow solution doesn't treat your staff as stations along an assembly line, but as crucial gatekeepers to ensure a steady flow of relevant and current information.

A workflow solution allows your organization to:

- Design rules-based routing systems to streamline document-handling procedures.
- Copy and move documents using routing services and your computer network.
- Automatically notify staff and supervisors when certain events take place.
- Monitor user activity, guaranteeing efficiency and project completion while enabling enhanced staff efficiency reporting.

Workflow solutions give 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.

CHAPTER 2

Document management evaluation checklist

These questions will help your organization evaluate competing enterprise content management systems in order to choose the system that best meets your needs.

Capture

Indexing

Search and Retrieval

Distribution

Document Management

Records Management

Business Process Management

Integration

Administration

Storage

Security

Forms

Capture	1	2	3
Does the product work with a wide variety of scanners?			
Can you use hybrid and specialized capture devices such as copier-scanners and microfilm scanners?			
Can you import photos from digital cameras or mobile phones, and straighten warped or curved images to generate clean, usable OCR text?			
Are you able to capture images already stored on your computer or network folders and process them as you would scanned images — including basic image enhancement, OCR and metadata?			
Does the system auto-name documents while scanning according to user, date or field values?			
Can you scan additional pages into existing documents?			
Can you perform image adjustments to remove noise, remove lines, crop, rotate and perform other image clean-up?			
Does the system automatically remove blank pages?			
Can you archive electronic documents including images, text, spreadsheets, PDFs, movies, AutoCAD and sound files in their native file formats?			
Can you send documents to the system from Windows® Explorer™?			
Can you archive documents from Microsoft® applications?			
Can you automatically create TIFF images from PDF documents?			
Can you automatically extract e-mail metadata?			
Does the system support mandatory metadata acquisition?			
Can you import electronic documents and directories by dragging and dropping?			
Can you export and import documents, folders and their metadata by using briefcases?			
Can you convert electronic documents to archival images without printing and scanning them?			
Can you extract text from electronic documents?			
Can you create new folders directly from the Import dialog?			
Is there Unicode support to handle documents in non-English languages?			
Is there form alignment and dropout for precise zone OCR?			
Can you extract template and identification data from images?			
Can you extract data by OCR, zone OCR, bar code recognition or Optical Mark Recognition (OMR)?			
Can you query an external database based on a unique value to minimize data entry?			
Can you use extracted data for document or folder naming, indexing or as input to other processes?			
Does the system identify documents by recognizing forms or by matching extracted data?			
Does the system use identification for document separation or individualized processing?			
Can you imprint images with Bates numbers, lookup data or bitmaps?			
Can you schedule document uploading to the repository?			
Can you start a scanning session automatically?			
Can you set security on your scanning sessions to prevent any changes?			
Can you automatically redact specific patterns on the document, such as social security numbers, regardless of its location?			
Can you highlight, stamp or place a sticky note on the document upon scan?			

Indexing	1	2	3
Does the system support field values on any document or folder?			
Can you create different templates for distinct document types?			
Are there constraints forcing users to enter field information in specified formats?			
Is there color-coding to distinguish document types?			
Can you reassign or update templates or fields at any time?			
Are selection lists available to standardize template entries?			
Can you autopopulate template information to documents from parent folders?			
Does the program support simultaneous OCR from multiple workstations?			
How many languages are supported by the OCR?			
Does the system support multi-tier, dynamic fields? For example, field “City” displays values based on the “State” field chosen.			
Can you pull a field list from a database?			
Can you use tokens to auto populate information on the field?			

Search and Retrieval	1	2	3
Are template field searches supported?			
Do full-text searches cover the entire repository?			
Are fuzzy searches supported?			
Can you automatically perform the most commonly-used searches (text, field, annotation and name), as well as custom searches, from a Google-style toolbar?			
Can you search by tags, volume, creation or modification date, note text, versions, comments or other criteria?			
Can you save search criteria for repeated execution?			
Are proximity searches supported?			
Can you perform name searches by document or folder?			
Can you combine search criteria to narrow results (Boolean searching)?			
Can you limit search results by folder?			
Are search terms highlighted to show their precise location within returned documents?			
Can you save search results in folders for quick reference and easy access?			
Is there a line of context display to show how the word or phrase is used without retrieving the entire document?			

Distribution	1	2	3
Does the software offer a flexible print configuration?			
Is there accurate scaling of print output to match the original document?			
Can you e-mail images as TIFF or PDF?			
Is cross-platform retrieval with standard Web browsers supported?			
Are mobile users supported with apps for smartphones and tablets?			
Can you distribute and archive records on non-erasable media?			
Can you distribute documents on royalty-free DVDs, flash drives or portable hard drives?			
Do portable media provide built-in search engines for access on any PC?			
Does the system provide a full-featured browser-based client (thin client)?			
Can you create published repositories based on search results?			
Can you drag and drop documents into e-mail?			

Can you share documents using shortcuts or URLs?			
Can you export electronic documents in their native format?			
Can you compress large files in an email?			
Can you encrypt PDFs before emailing?			

Document Management	1	2	3
Is there an intuitive folder view to make organization easy and flexible?			
Can you display document names, template fields and volume information in the folder browser?			
Can you rename and reorganize document files?			
Can you track document versions?			
Can you compare different versions?			
Can you revert to previous versions?			
Are there check-in/check-out capabilities?			
Is there support for dockable windows, or flexible viewing of images, text, thumbnails and template fields?			
Can you establish document linking relationships? For example, email attachments are linked to the email.			
Can public and private folders be set up to allow document sharing, mail folders and ad hoc workflow?			
Can you highlight images and associated text?			
Can users place sticky notes on documents with searchable text and hyperlinks?			
Can you stamp images with customized or predefined graphics?			
Are annotations image overlays that do not modify the original document?			
Are there informational tags to alert users to special properties?			
Can you display black and white, color or grayscale images?			
Can you edit text files created by OCR?			
What is the maximum zoom magnification?			
Does the software support full panning, rotation and contrast?			
Can you start a business process from the client?			
Can you view the current steps required for a business process?			
Can you preview the document within the folder browser?			
Can you change the colors on folders?			

Can you export the list contents to run reports with a csv file?			
Can you rearrange pages in a document using drag and drop?			
Can you display documents side by side?			
Can you customize toolbar icons with specific action icons or external applications?			
Can you change the browser font and size?			
Does the system support a work queue folder for documents pending approval?			

Records Management	1	2	3
Is the system DoD 5015.2 certified?			
Is the system VERS certified?			
Does the system offer a DoD 5015.2-certified integration with SharePoint 2010?			
Using the system, can you integrate records management, document management and workflow in one environment?			
Can you create records from documents already under management?			
Can you manage physical records alongside scanned images and electronic documents?			
Can you manage digital video, audio and other electronic files?			
Can you define records series from an intuitive interface?			
Can you describe locations of transfers for records series?			
Can you track current locations of transferred records?			
Can you screen records for eligibility for transfer, accession or destruction?			
Can you confirm destruction of eligible records?			
Can you find records according to status or location?			
Can you specify multiple events that are necessary before records can be cut off?			
Can you specify trigger events determining which retention schedules apply to records?			
Can you configure retention schedules so that superseded records are sent into final disposition?			
Can you auto-classify and auto-file incoming records?			
Can records managers configure the look and feel of the records environment to suit business unit requirements while preserving original records in the formalized records management environment?			

Does the system provide event based cut-off instructions?			
Does the system provide time based cut-off instructions?			
Does the system allow you to specify years and months for the retention period?			
Does the system support back-file compatibility? Can you change the file date?			
Does the system support a non-recoverable destruction of a record?			
Does the system allow you to keep the metadata when a record is destroyed?			
Does the system allow you to track physical records?			
Can you search for records due for cut-off, destructions, accession and frozen records?			
Can you place a freeze or hold on a record?			
Can you set a review date for vital records?			
Can you change the properties for individual records?			
Does the system automatically notify records managers of records approaching their cutoff and/or disposition dates?			

Business Process Management	1	2	3
Are you able to model work processes with an intuitive graphical interface?			
Can you automate document movement with rules-based routing?			
Does the system include a number of built-in activities to simplify workflow configuration?			
Can you maintain productivity with automated email notifications?			
Is workflow tracking available to improve accountability?			
Can you accommodate ad hoc participation in the workflow environment?			
Can you create custom VB.NET and C# scripts using a built-editor?			
Can you design your own workflow activities?			
Can you use Windows Workflow Foundation (WF) to integrate primary applications with ECM workflows?			
Does the system support security on the Workflow server to prevent unauthorized changes?			
Does the Workflow engine support exception handling?			
Does the Workflow support a try-catch activity in the case a workflow receives an error?			

Does the Workflow support and include any web services for integrations?			
Does the Workflow include database activities to easily push and pull information from another database without any code?			
Does the Workflow support retrieving and inserting data into PDF Forms?			
Can you run a workflow based on an event in the repository or based on a schedule?			
Can an administrator terminate a workflow manually?			
Can one workflow invoke or start another workflow?			
Does the Workflow display error or warning messages for each workflow ran?			
Does the workflow provide an intuitive, graphical user interface with drag and drop functionality and point and click configuration?			
Can you graphically see the current step in an active workflow?			
Can you assign security on documents and folders dynamically?			

Integration	1	2	3
Are out-of-the-box integrations included with the Microsoft Office suite, including Word, Excel, PowerPoint, Excel and SharePoint?			
Are built-in activities available to automate the process of retrieving and updating information from third-party databases?			
To simplify integration, can you access any document stored in the repository with an unique URL or entry ID?			
Can you access documents stored in the repository through Web Folders and other WebDAV extensions?			
Is a Code Library available to jump-start custom integrations from working examples with complete code samples?			
Can you customize Web interfaces built on ASP.NET?			
Is an SD available to create custom integrations?			
Does the company support a marketplace of current integrations or enhancement applications?			

Administration	1	2	3
Does the licensing model include unlimited servers and repositories to support active clusters, offsite mirrors, test and development servers, data segregation, and multiple servers for remote offices or secure data?			
Does the licensing model offer volume discounts?			
Are unattended installs supported?			
Is the system Section 508 compliant?			
Is the system administered through a Web-based Administration Console that can be accessed from anywhere?			
Does the Administration Console provide a snap-in for Microsoft Management Console?			
Can you troubleshoot with Event Tracing for Windows (ETW), supplemented by HTTP logging and real-time "console mode"?			
Is the error and warnings reporting system integrated with the Windows Event Log?			
Can you automate administrative tasks with Windows PowerShell through Windows Management Instrumentation (WMI) or .NET interface?			

Storage	1	2	3
Is the location of document data fully configurable and storable on any network location by UNC path?			
Is there a separate document folder hierarchy from physical storage volumes?			
Can you configure volume size and set rollover limits?			
Is there full support for rewritable, read-only, removable or fixed volumes?			
Can you migrate documents to different physical volumes?			
Can you set document content files to read-only for magnetic WORM support?			
Can you transfer document storage volumes with metadata and folder organization intact?			
Can you attach large numbers of documents via portable volumes for additional synchronization?			
Does the system store documents in non-proprietary TIFF and ASCII formats?			
Does the system support SQL and Oracle databases?			

Security	1	2	3
Are there storage and security measures supporting regulatory compliance?			
Are there privilege rights controlling administrative functions?			
Are there feature rights controlling functions like scanning, printing, searching and importing?			

Security	1	2	3
Are there access rights determining the level of access to documents and folders for users or groups?			
Are there volume access rights determining permission to import data volumes?			
Are there field access controls limiting users' ability to see and edit fields?			
Can you determine effective rights for any user?			
Are rights enforceable for both users and groups?			
Can you enforce password policies, including length, complexity and duration of passwords?			
Are you able to configure maximum idle time before users are automatically logged out?			
Can you allow or deny security rights explicitly through inheritance?			
Is inheritance controlled through flexible scoping options?			
Do security tags place special restrictions on documents and folders?			
Are you able to securely redact sensitive portions of documents?			
Are there various levels of audit tracking for compliance and accountability?			
Can you control security permissions centrally or delegate to department heads?			
Are digital signatures available?			
Is there native support for single sign on?			
Does the system support SSL for secure communication?			
Can you secure deletions with DoD 5022.22 M-compatible deletion protocols?			
Is there a secure recycle bin with administrative control?			
Can you force printouts to include security watermarks for tracking origins?			
Can you require users to indicate the reason for document export?			
Can you generate Web-based audit reports, available as tables or charts?			
Is SQL reporting compatibility available, so you can generate audit reports with Microsoft SQL Server Reporting Services?			
Does the system have native and third party encryption on the volumes?			
Does the system allow you to set security so users can only access the information through the ECM client?			

Forms	1	2	3
Does the system provide an intuitive electronic Forms module?			
Is the Forms tool WYSIWYG?			
Can you create forms using drag and drop of preconfigured fields?			
Can you upload documents to the Forms and import it into the repository?			
Can you easily create field rules? For example, selecting YES will display an "Explain" field.			
Does Form support querying a database based on a field value to auto populate fields with existing information?			
Can you secure the form to prevent unauthorized access?			
Does Forms support variables to share information from one form to another?			
Does Forms include a process modeler based on BPMN?			
Can you easily create a workflow from Forms to route it from one user to another?			
Does the Forms BPM support exception handling?			
Can users insert comments when approving a form?			
Can you secure forms with authentication and allow certain users/groups access to the form?			
Can you start a workflow after the form is submitted?			
Can you insert information above or below the field?			
Can you use CSS and JavaScript to extend the functionality of Forms?			
Can you use HTML code on your form fields?			
Does Forms provide an iFrame code to easily incorporate it on another website?			
Does Forms provide a "tasks" page with a list of forms that require your attention?			
Does Forms provide a "start" page with a list of forms you can initiate?			
Does Forms provide a "submissions" page with a list of forms recently submitted by you?			
Does Forms provide an intuitive and easy to use tool to configure the colors, fonts and pictures on the form?			

CHAPTER 3

Needs assessment

After you've evaluated competing enterprise content management systems, you'll need to assess your organization's unique needs to determine which is the best fit. This is also your opportunity to determine what you need your system to do — integrate with other software, aid in Workflow processing or simply store and retrieve documents.

Needs Assesment at a Quick Glance

1. Your goals and objectives
2. Your unique needs
3. How you distribute documents
4. Your ideal file structure
5. Your daily procedures
6. Your conversion method

1 Step One: Clearly Identify Your Goals and Objectives

- What do you expect an enterprise 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?

2 Step Two: Determine Your Organization's Unique Needs

- How many people will need access to the repository?
- How many people will be scanning in paper?
- Do you currently have a network in place?
- Do you require new computers?
- Do you require computer upgrades?
- How many scanners will be required?
- What capabilities will you need?
- Where does the majority of your paper originate?
- What is the weekly amount of new paper coming into your office?
- What is the weekly amount of new paper and electronic documents generated by your office?
- Do you need to keep an audit history of actions taken on your documents?
- Do you need to publish your information to people outside your organization?
- Are you mandated to keep documents for specific lengths of time?
- What are your size requirements? (Determine your size requirements by counting the number of file cabinets and storage boxes you have now, as well as the number of new pieces of paper that come into your office on a daily, weekly and annual basis.)

3 Step Three: Determine How Your Organization Distributes Documents

- Do you need to fax or e-mail 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?

4 Step Four: Determine Your Ideal File Structure

- How do you look up information?
- What type of information will be stored in the system?
- What type of cross-referenced information will you need?
- How many different templates do you need?

5 Step Five: Consider Your Daily Procedures

- Who will perform the scanning operations?
- What types of information will be scanned?
- What are the workflow procedures?
- What should be done with paper after it is scanned?

6 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?

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 documents that will be captured, the processes that will be automated and the ways people will use and interact with the documents once they've been digitized. 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 proposed software solution is appropriately configured and licensed. You should document any required addition (or removal) of applications 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 has been proposed. 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 proposed solution 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 proposed 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.

1. Overall System Architecture Test

The system should be tested according to the way it will be utilized. 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. Backup systems and backup media should also be tested, to ensure that backups are taken properly and can be properly restored in the event that a system restore is necessary.

2. 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.

1 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.

2 Launch Notifications

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

3 Post-Launch Notifications

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

4 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.

CHAPTER 4

Create your own cost-benefit analysis

Securing buy-in from all departments within a large organization can be a challenge. One way to encourage others to adopt is to demonstrate a clear return on investment (ROI).

The Power Sector Asset & Liabilities Management (PSALM) in Manila, Philippines is a government agency charged with privatizing underperforming power assets, a task that generates huge quantities of documents. They provide insight into how their IT department created a cost-benefit analysis to gather support from the rest of the organization in order to choose a document management solution to help manage their extensive document processes within a tight government budget.

What information do you need to create a cost-benefit analysis?

In order to create an effective cost-benefit analysis, consider the pre-transition process:

- How many employees deal with documents on a daily basis?
- On average, how many documents are retrieved, copied, scanned and stored on a daily basis?
- How long does it take to process those documents?
- What are your expenses?
  - Onsite/offsite storage.
  - Printing (paper and ink).
  - Labor costs of employees.

Consider the following for transitioning to the new Document Management Solution:

- How much will the Document Management Solution implementation cost?
  - Software
  - Licensing
  - Hardware
- How much time will be saved on document processing (retrieving, scanning, copying and storing)?
- How much will be saved on tangible costs (paper, freight charges, storage charges, printer maintenance)?

Next, set a reasonable timeframe to generate the cost-benefit analysis. PSALM chose a month, but you can choose whichever timeframe works for your organization.

Putting together the cost-benefit analysis

Now, compile all of this information into one document. Note that the process described below relates to PSALM's particular case, and different business needs may result in a different analysis.

1 The analysis was divided into several sections:

- Document filing and retrieval
- Document printing and reproduction
- Document storage and freight charges
- Document Management Solution investment (implementation- associated expenses).

2 Each section includes a column for expenses associated with the pre-implementation practice and another column for the expenses post-implementation.

3 An Efficiency Rate (the rate time or expenses are reduced after implementing the new Document Management Solution) was used to calculate the post-implementation expenses. This rate was obtained from a consulting firm and was modified it based on experience. The Efficiency Rate varied by process.

4 New expenses can be calculated as follows:
Expense after Document Management Solution = Expense before Document Management Solution * (1 – Efficiency Rate)

Example: The monthly cost of renting the storage facility and the cost of document retrieval was taken into account to analyze the cost of off-site storage. Since only 25% of all hard-copies of documents are stored in the facility, we used an Efficiency Rate of 75%. Post-implementation expense can be calculated by using the formula described above.

	Description	Pre-Laserfiche Expense	Efficiency Rate	Post-Laserfiche Expense
Cost of off-site storage in a month (including search, retrieval, delivery, etc)	Monthly Off-site + Retrieval Cost	33,406.47	75%	8,351.62

5 Finally, in order to make this analysis easier to share with others, condense the major sections:

LASERFICHE Content Management System — COST-BENEFIT ANALYSIS

PARTICULARS	Current Practice: AMOUNT (per month)	LASERFICHE: EFFICIENCY RATE	LASERFICHE: AMOUNT (per month)
DOCUMENT FILING AND RETRIEVAL			
Cost of Document Filing	25,033.00	75%	6,258.25
Cost of Document Retrieval	12,516.50	75%	3,129.13
Total Cost of Document Filing and Retrieval	37,549.50		9,387.38
DOCUMENT PRINTING AND REPRODUCTION			
Office Supplies Consumption Source: AGSD	97,135.48	50%	48,567.74
Labor Cost of Printing/ Photocopying	25,033.00	50%	12,516.50
Total Cost of Printing/ Photocopying	122,168.48		61,084.24
DOCUMENT STORAGE & FREIGHT CHARGES			
Off-site Storage Cost (including search, retrieval, delivery, etc)	33,406.47	75%	8,351.62
In-house Storage Cost	35,000.00	75%	8,750.00
Freight Charges	3,000.00	50%	1,500.00
Total Cost of Document Storage and Freight	71,406.47		18,601.62
TOTAL LABOR COST, SUPPLIES & FREIGHT	231,124.45		89,073.23
LASERFICHE INVESTMENT			103,713.06
TOTAL:	231,124.45		192,786.30
SAVINGS:			38,338.15
%			17%

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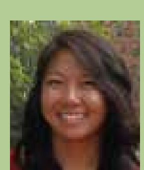
CHAPTER 5

How to map your business processes



Kacy McKibben, Solutions Engineer at Laserfiche, describes how to define and diagram your business processes so that you can more easily automate them.

A business process is a set of activities or tasks that accomplish a specific organizational goal. By automating business processes, organizations around the world have increased productivity and cut costs.

Before you jump into your Workflow implementation, it is vitally important to diagram your business processes to ensure that they are as simple, logical and consistent as possible.

Why should I diagram my business process?

A business process diagram is a roadmap for implementation — it outlines the expected outcome and provides something concrete to build from.

Diagramming a business process:

- Makes it possible to look at the big picture and take into account all types of potential scenarios.
- Helps you research and understand your process thoroughly so that you can see how it can be changed or improved when automated.
- Produces a visual aid that everyone can agree on — ensuring that everyone is on the same page.
- Helps you reduce upfront errors and prevent unnecessary changes down the road.

How do I diagram a business process?

There are three steps to diagramming a business process:

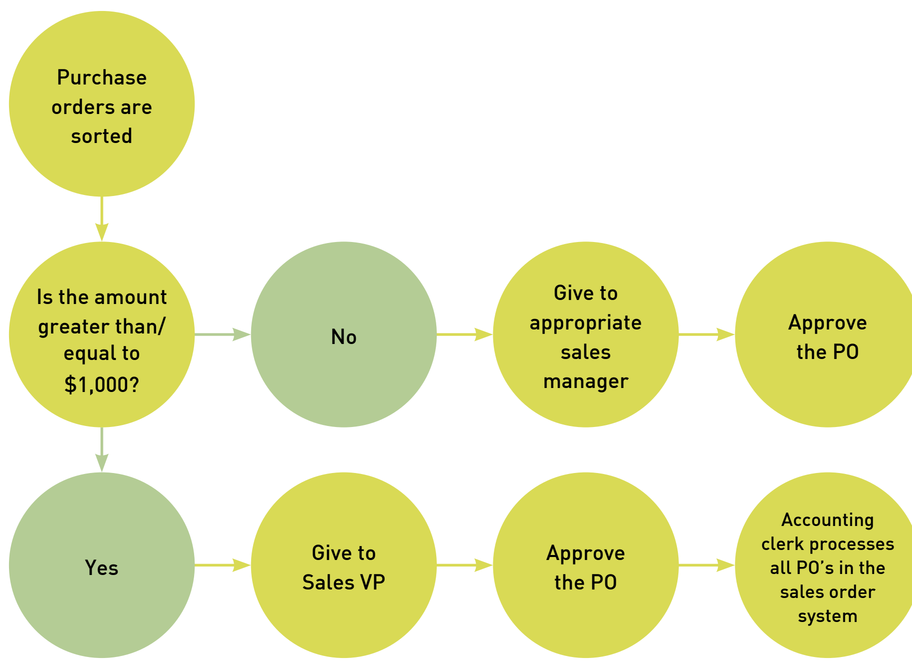
1. Create an initial diagram based on upfront discovery.
2. Gather the additional requirements.
3. Incorporate those requirements into the diagram.

If need be, repeat steps 2 and 3 until everyone is satisfied with the end result.

Create an initial diagram based on upfront discovery

An initial diagram is a general overview of what the stakeholders think the business process looks like. This is the general diagram that you will be "fleshing out" throughout the diagramming process. Before crafting this diagram, sit down with stakeholders to come up with initial, high-level steps in the business process.

Here is an example of an initial diagram for a purchase order generation process:



Gather any additional requirements

Gathering requirements consists of obtaining information about the business process from the people involved in each step, such as end users, stakeholders, administrative assistants and department heads.

During requirements gathering phase, you may discover that employees no longer follow the established procedures or that the current office workflow is exceedingly frustrating. You can also find out how tasks are actually completed as opposed to how they are supposed to be completed.

Answer these questions during requirements gathering:

- What is the overall goal of the business process?
- What triggers the start of the process?
- What signals the end of the process?
- What are the activities in each step and who is involved in each activity?
- Are there any alternate routes in the process?

Make sure you use specific terminology when questioning users and have them explain ambiguous phrases.

Examples:

- "File" can mean a single document or a packet of individual documents.
- "Sending" a document can mean e-mailing it, saving it on a network folder or transporting the hard copy.

Some other commonly misunderstood and misused terms include:

- Bring in/store
- Can/cannot access
- Review
- Receive
- Notify
- Process

Diagramming business processes is the perfect opportunity to improve how things are done in your organization.

Ask yourself:

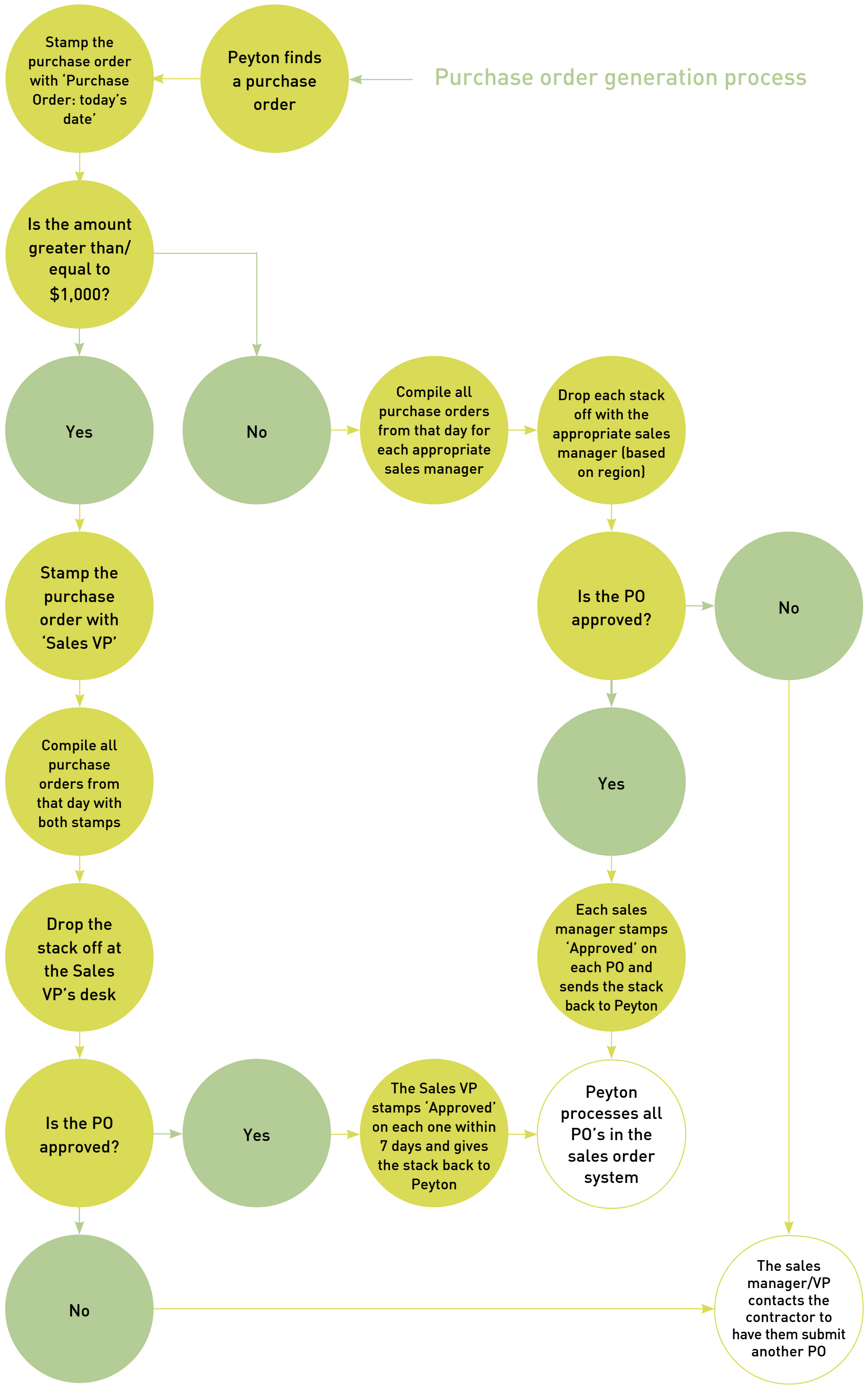
- Are there any steps in the process that seem redundant?
- Is there a certain part of the process that can be reconfigured to be more efficient?

Don't be afraid to make changes to the current process and incorporate those into your diagram.

Incorporate additional requirements into the diagram

Once you've gathered the requirements, incorporate them into your diagram by fleshing out each step. Don't make assumptions even on little things such as the format of a date field—a diagram is useless unless it is detailed, correct and comprehensive.

Show this diagram to the stakeholders and end users to make sure that they are satisfied with the finalized process. Revise the diagram until everyone is satisfied with the final version, but make sure that you keep the goal of the process in mind the entire time. Remember that this diagram should be finalized when it shows a process that achieves this goal and not necessarily when every user or department's wish is fulfilled.



The final diagram of the purchase order generation process is much more detailed than the initial diagram:

Rethink the current process

A Document Management Solution provides a great opportunity to perfect and streamline existing processes to make them as smooth and efficient as possible. Once you have a detailed diagram, it will be much easier to translate the business processes into your new Workflow, because you've made sure that they are efficient, straightforward and appropriate for everyone involved.

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CHAPTER 6

Records management and risk management tool kit and self-evaluation guide

This worksheet will help your organization:

- 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.

This worksheet is adapted from the "Records Management Self Evaluation Guide," located at www.epa.gov/records/tools/toolkits/evaluat/index.htm.

1 Section 1
Program Management

2 Section 2
Records Creation and Recordkeeping Requirements

3 Section 3
Records Maintenance

4 Section 4
Maintaining Special Records

5 Section 5
Records Disposition

6 Section 6
Vital Records/Business Continuity Planning

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.

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?
☐ Yes	☐ No	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?
☐ Yes	☐ No	Is your records manager involved in the development of micrographic applications?
☐ Yes	☐ No	Is your records manager involved in the development of electronic recordkeeping system, including hardware selection?
☐ Yes	☐ No	Is the records manager involved in developing and securing document imaging systems?

Guidance and training		
☐ Yes	☐ No	Has your records management staff been trained in industry-standard records management regulations, policies and procedures?
☐ Yes	☐ No	Do your records management staff, including assistants and file clerks with regular records duties, receive training in records maintenance, filing procedures and records disposition?
☐ Yes	☐ No	Is records management guidance tailored, when appropriate, to reflect your organization's specific procedures prior to organization-wide dissemination?
☐ Yes	☐ No	Does your records manager regularly brief senior staff and administrators on the importance of records management and records-handling responsibilities?

Internal evaluations		
☐ Yes	☐ No	Does your records manager periodically evaluate records management practices?
☐ Yes	☐ No	Do these evaluations include electronic records?
☐ Yes	☐ No	Are written evaluation reports prepared?
☐ Yes	☐ No	Are evaluated programs, departments or offices required to promptly respond to evaluation reports?
☐ Yes	☐ No	Does the records manager follow up to determine if offices implement necessary corrective action or recommendations for improvements?

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.
- Permit continuity and consistency in administration.
- Make proper scrutiny by regulators and other duly authorized agencies possible.
- Document important meetings and the formulation and implementation of basic policy and decisions.

Creation of records and adequacy of documentation		
Yes	No	Has your records manager provided guidance for all employees on the definition of records and non-record 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 a records policy on the status of working papers and files or drafts?
Yes	No	Do you have a records policy on personal papers?
Yes	No	Does your records policy require creating “finding aids” such as captions and indexes to facilitate access to individual files or record items?
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?

3

Section 3

Records Maintenance

Effective and proper management of records ensures that:

- Complete records are maintained.
- Records can be located when needed.
- Records, non-record 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.

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?

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 labelled correctly?

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.

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?

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)?
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?
Cartographic and architectural 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? Are 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?

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 operations. Clearly written, up-to-date, and properly implemented comprehensive records schedules form the basis for a sound records disposition program.

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?

Records schedule implementation		
☐ Yes	☐ No	Do records management staff monitor records schedule implementations?
☐ Yes	☐ No	Are records destroyed only in accordance with records schedules?
☐ Yes	☐ No	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?
☐ Yes	☐ No	Are permanent records transferred to archiving if indicated in the records schedule?

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.

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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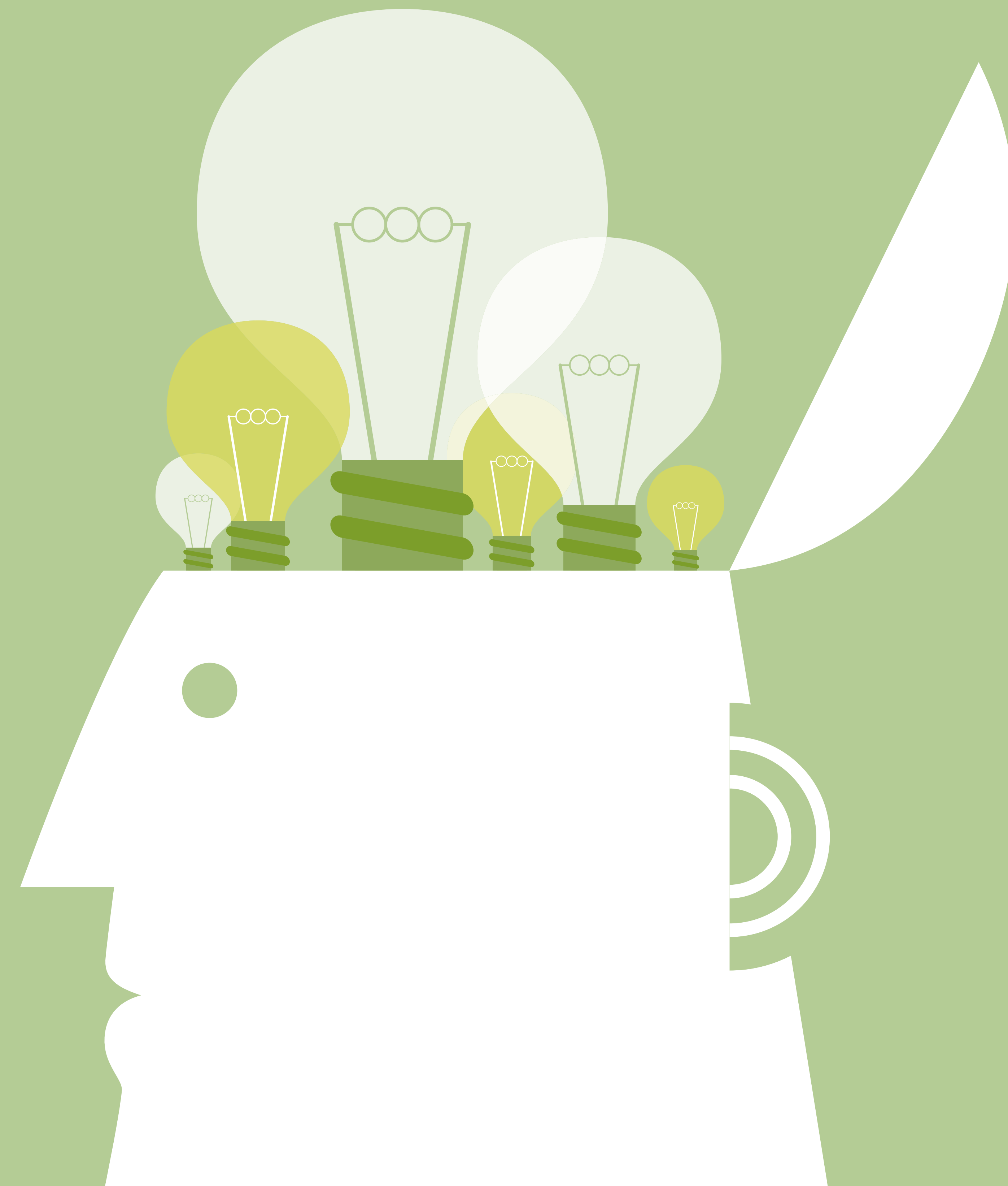
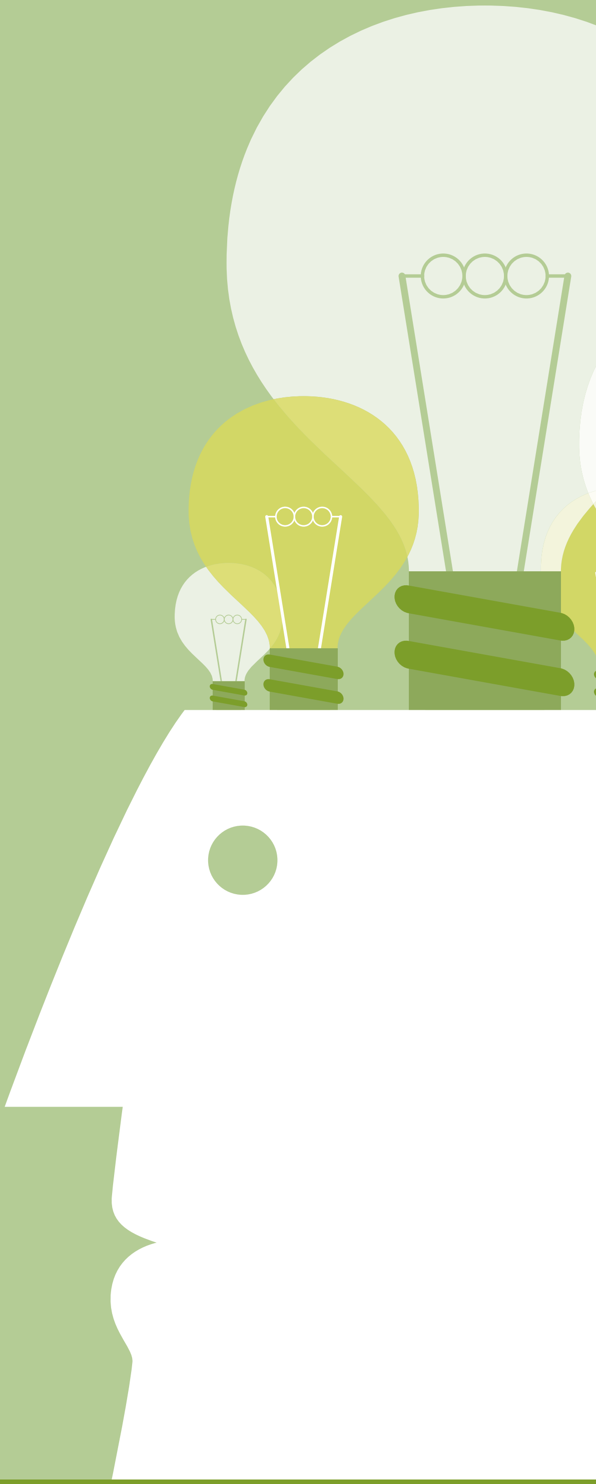


DOCUMENT MANAGEMENT:

THE BUYER'S HANDBOOK

About Laserfiche

Since 1987, Laserfiche® has used its Run Smarter® philosophy to create simple and elegant enterprise content management solutions. More than 30,000 organizations worldwide—including federal, state and local government agencies and Fortune 1000 companies—use Laserfiche software to streamline documents, records and business process management.



EVERYTHING YOU NEED TO KNOW TO BUILD THE CASE FOR DOCUMENT MANAGEMENT

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