ENTERPRISE CONTENT AND RECORDS MANAGEMENT (ECRM) – THE GIMMAL VISION AND FRAMEWORK – WHITE PAPER

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Introduction

The vision of enterprise content and records management (ECRM) is compelling. We envision a future where:

- Users are able to create, retrieve, manage and archive ALL of their content, including documents (paper and electronic), email, computer reports, web content and other information throughout its full lifecycle.
- Users are able to classify and locate content based on their profile, preferences, policies, and enterprise taxonomies.
- The records retention rules of the organization are defined, measured, monitored, and enforced so that audit, compliance, and legal discovery requirements are satisfied for both physical and electronic documents.
- Content re-use and collaboration is high, which can be achieved when content is available and repurposed for presentation via enterprise portals and websites.

"Enterprise" content and records management addresses the needs of the entire organization rather than just a single department. This is a strategic investment, allowing organizations to leverage their current investments in information technology combined with new processes and technologies to meet additional business objectives. But ECRM is more than just the implementation of technologies - it is a discipline that requires a well-defined approach to achieve success. It is as much about policy, human behavior, organizational dynamics, and clearly defined goals and objectives. A successful ECRM solution is one that has a strategic vision in mind, but is achieved through incremental, measurable successes. This white paper defines the business problems of enterprise content and records management and describes the Gimmal vision and framework for addressing these problems.

The Gimmal Team proposes the following ECRM approach consisting of five components: (1) Planning & Strategy, (2) Enterprise Usage Models, (3) Enterprise Information Lifecycles, (4) Reference Architecture, and (5) ECRM Methodology and Implementation Approach.

ECRM – Defining the Business Problem

The central ECRM business problem is that the management of the entire information lifecycle across the enterprise from beginning to end is complex. The following chart illustrates how this problem might currently look from a user perspective:

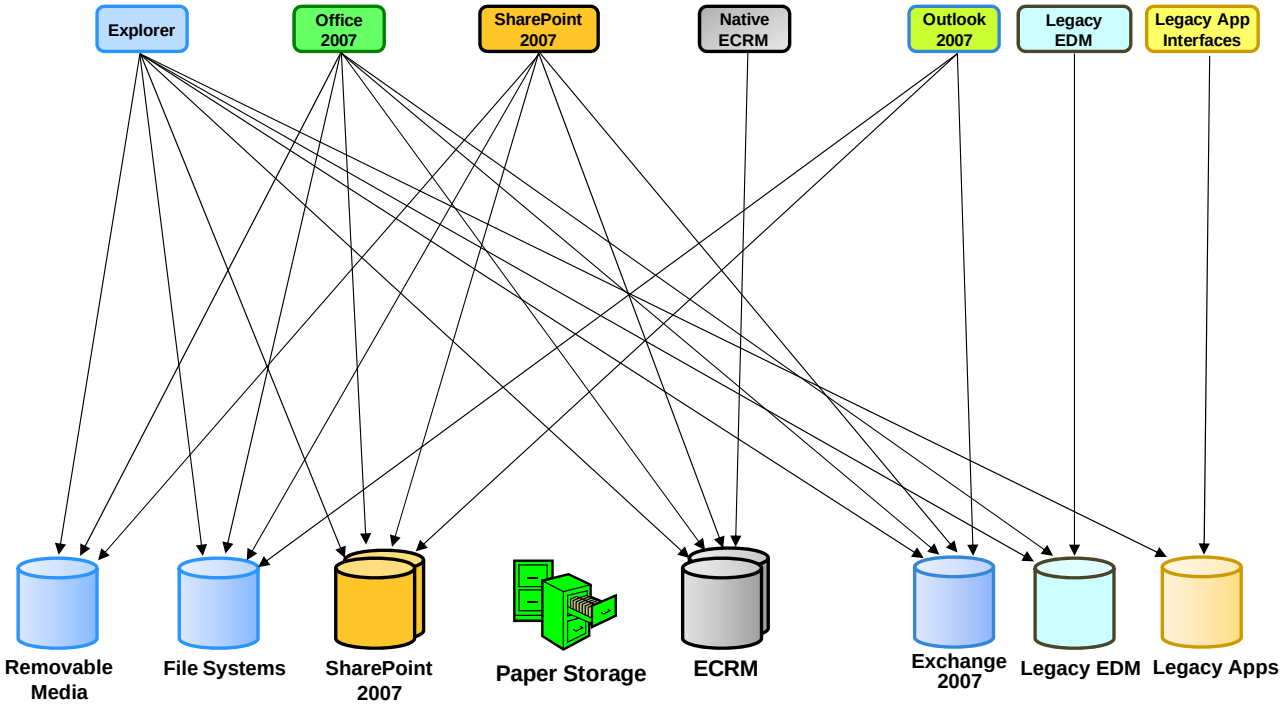

Figure 1. User's View of Enterprise Content Today

Users have their favorite desktop tools that they use to create, access, and manage information. They have varying levels of access to a variety of repositories where information is stored. This environment has evolved haphazardly in many organizations, but it works well enough from the perspective of most users.

There are many separate problems within the current ECRM environment:

- Content is difficult to accurately classify. Many classification decisions have traditionally been left up to individuals who are not aware of the importance of accurate classification or the rules and classification options that should be applied to their content. Additionally, it is very difficult to maintain the taxonomy and classification alternatives and present them to individuals at the moment of classification. The penalties for bad user classification decisions can be severe.
- Content is difficult to find. People access and manage content in many different repositories, including individual PC's, email folders, shared folders, various computer systems and platforms, and physical file rooms. As a result it is difficult, if not impossible, to search for content in multiple locations except to search each repository separately. Therefore, information retrieval is disjointed, and there is no unified content index or common user interface to help users locate documents.
- Users are very comfortable with their desktop tools including the Windows Browser and the Microsoft Office Tools, especially Word, Excel, and PowerPoint, Microsoft Outlook, and SharePoint 2007[1]. They resist managing their content through other interfaces. Any solution to manage content through its lifecycle must support all of the tools that are used to create it and all of the repositories in which it is stored.
- Content is difficult to manage through its lifecycle. It frequently migrates from one repository to another, through multiple versions, and many of the classification decisions can only be made in the context of complex business processes at a specific point in time.
- The big content management problem in most companies is not in their large legacy document management systems. Instead, it is in the massive quantities of documents that are stored in repositories that are much less well managed, such as shared network drives and email systems.
- Organizations are buried in documents. Even if solutions are forthcoming that fully manage documents through their lifecycles, the current volumes of documents are such that practical solutions are needed today. Most documents will never be business records and need to be disposed of fairly quickly.

The ECRM problem is even more complex at the enterprise level. Documents are created and reviewed internally. They are received from external contractors, suppliers, and partners and they are reviewed and approved or rejected. They are delivered to other partners and governments based on contractual or regulatory requirements. In many organizations, there are complex requirements related to the tracking and control of documents. In addition, the content being exchanged between organizations is in a variety of media, including paper, email, faxes, and electronic documents, which are not managed in an integrated manner. As a result of ineffective content management, opportunities for process improvement, risk reduction, and competitive advantage are lost.

We believe a clear business case exists for the consistent use of ECRM technologies to ensure access and protection of critical information assets, but that every departmental application and process has specific requirements for organizing, processing, storing, retrieving, distributing, publishing, securing, and archiving content. The complexities at the application or process level are magnified at the enterprise level which often results in the implementation of compartmentalized departmental systems that fall short as 'enterprise' solutions. This is a significant problem that requires an enterprise solution.

[1] We base this analysis on the Microsoft desktop tools. We have found that the same principles apply to a Lotus Notes environment and other email and user productivity tools.

ECRM – What would an Enterprise Solution look like?

The Enterprise Usage Model – the following model of enterprise content usage captures many of the key elements of information lifecycle applications and processes in many organizations:

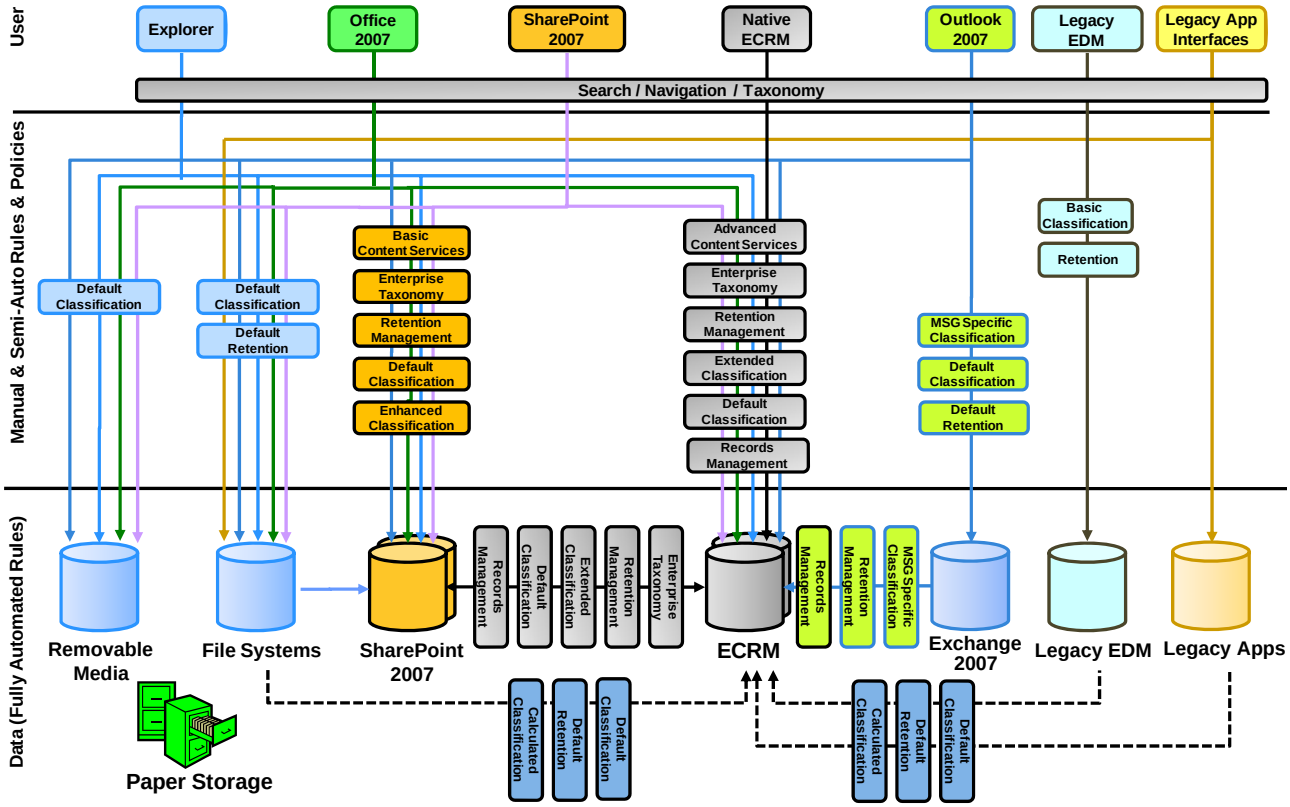

Figure 2. Enterprise Usage Model

The components of this model are described more fully in Attachment 1. Users are enabled to create, classify, retrieve, and manage documents through supporting components. This model includes the following important concepts and elements:

- Each user is supported in the navigation and classification of content by a user interface that is personalized to their roles and responsibilities.
- There are manual and semi-automated rules and policies to guide the classification of documents in the various repositories for which a user has access rights.
- The repositories include the automation of rules that enable the automated migration of documents between repositories according to policies established through enterprise governance.
- Defining an Enterprise Usage Model provides a basis to standardize the usage and migration of content through processes and repositories throughout its lifecycle. The model also provides the context for the design and management of an Enterprise Reference Architecture.

What would make an ECRM Framework Truly Enterprise?

There are several criteria that an ECRM Framework must satisfy to support the requirements of an enterprise.

- It must enable enterprise governance and policy. As the scope of ECRM grows from departmental to enterprise implementations, it is critical that policies related to records and retention management, electronic messaging, inactive media, and hold orders be consistently enabled and enforced. In addition, the governance policies and procedures must be easily available to organization participants.
- It must define an Information Lifecycle Model. With the complexity of business processes, it is important that simple and straightforward rules apply to the classification and management of enterprise content from creation to disposition. Frequently, the classification of documents can only be made in the context of a business process, but the classification must be separate from the business

process itself. Additionally, the classification of content must be achievable with a practical minimum of user involvement or the users will not accept the solution.

- It must define an ECRM Reference Architecture. This defines a common set of technology and processes in place that allow the capture and sharing of the information and knowledge contained in documents that reside in multiple repositories. This also provides a foundation for the consistent implementation of departmental applications.
- It must define an enterprise program to coordinate and support ECRM. There are many dimensions of a program that must be defined, including governance, business requirements, technical requirements, ECRM operations, and program management. Most of the failures in implementing ECRM solutions result from not adequately addressing one or more of these areas. In addition, an ECRM Program should also address the following:
  - Support for records management programs, including both paper and electronic records, must be enabled. In most cases, this includes the deployment of standard file plans and retention schedules across the organization.
  - Support for legal and electronic discovery programs must be enabled. Most large organizations need to be prepared to respond quickly to requests for discovery and document production. Discovery is significantly more expensive if the plans and procedures for responding have not previously been defined.
  - An ECRM Program Plan defines the steps to be taken and prioritizes the path to the implementation of ECRM solutions that satisfy the business and technical requirements of the organization.
  - Support for ECRM operations needs to ensure that each ECRM solution that is implemented results in improvements to the ECRM Framework. This includes capturing policy, process, and technology improvements as well as lessons learned.

Solving the ECRM Business Problem with Standard Enterprise Information Lifecycles

The Gimmal ECRM Framework begins with the definition of a baseline information lifecycle model that defines the states and transitions through which content flows from creation through to destruction. The framework is separate from business process management and can be used to support many different types of applications and processes and content types. Nearly all recorded information in all sizes of organizations can be managed using fairly simple information lifecycle states.

A lifecycle is a succession of conditions through which information is processed from creation or receipt to its final disposition. Lifecycles are comprised of lifecycle states. Each lifecycle state is a point in the life of information during which processes, ordered activities which initiate the application of a given set of business rules, are carried out. Business rules are conditions applied to the information that are determined by business units, departments, or even company information which must be true in order for information to exist within a certain state. The enterprise lifecycle establishes states for all information that is created or received into the enterprise through to its final disposition. For each state, business rules identify the conditions which must be satisfied for the information to move between states.

The reason that standard enterprise information lifecycles are so important is that they enable the lifecycle management of content according to a standard taxonomy, file plan, and retention schedule regardless of whether the content is electronic or physical or whether the decisions are made by humans or automated processes. It can be defined to support the full lifecycle of information across multiple types of repositories and it can support the infrastructure requirements of the largest organizations. It defines processes, rules, and repositories that are separate from most business processes and applications, so that it can be defined and maintained separately from those processes and applications.

Below is a sample Information Lifecycle State Model:

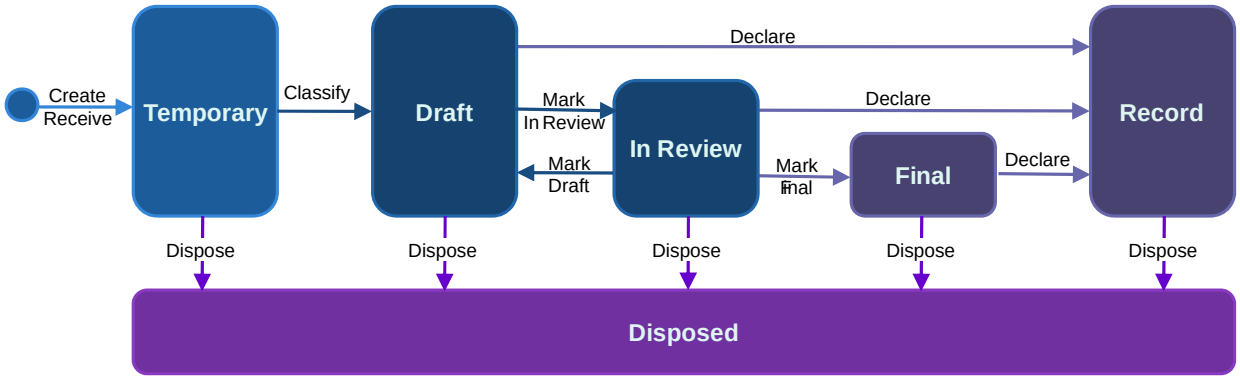

Figure 3. Information Lifecycle State Model

These states and process components comprise the enterprise information lifecycle model. How these states relate to one another might be different depending on the business unit, type of content and associated business rules, but information always exists in one of these states.

In addition to the standard operating models, the ECRM Framework strategy also includes 'Enterprise Rules'. Defining business rules for each lifecycle state provides consistency for the following unique types of rules:

- Security
- Location
- Version
- Metadata
- Retention
- Disposition
- Hold Exceptions

Business rules identify the constraints to information which prevent or enable it to move between lifecycle states. Business rules are defined for a variety of information elements such as a business event (e.g. document approved for use) or system trigger, audit requirements, file format requirements, de-duplication rules, metadata rules, etc. Framework level business rules which accompany each lifecycle state will be defined as the default rules for the movement of information between states. Each of these "rules" indicators represent a specific set of enterprise rules (or guidelines) that apply based on each unique representation of the model for an application or process.

Below are sample information lifecycle states and examples of the categories of business rules for each state.

State	Business Rules						
	Security	Location	Version	Metadata See Core Metadata Definitions	Retention	Disposition	Hold Exceptions
Temporary							
Draft							
In Review							
Final							
Record							
Dispose							

Figure 4. Business Rules for an Information Lifecycle State Model

The definitions and additional details on the lifecycle states and business rules are contained in Attachment 3. Business rules should be applicable at the enterprise level and exceptions identified within the unique business units. These relationships and conditions may be the result of technical limitations or pure business requirements.

Without streamlining information lifecycles, the very events that companies are attempting to prevent are realized:

- Business units find themselves with too much information
- Productivity and business effectiveness decreases as users struggle to find the information they need to do their jobs
- Business units implement processes to control their information lifecycles that are inconsistent and incompatible
- Information is often stored in a random and inconsistent locations
- Minimal information is captured about the document or it is not standardized
- Information may become orphaned, and no one knows what it is
- Users have too much or too little permission to access the information
- There is no clear determination how accurate or stale information might be
- There is no clear determination what should be kept – too much information will be retained for too long or not long enough

The Information Lifecycle State Model Provides:

- Consistent management and storage of information
- Standard index and metadata capture
- Information consistency minimizing abandonment
- Common security
- Satisfactory information accuracy and currency
- Standardize retention

Defining Enterprise Information Lifecycles

An enterprise information lifecycle state model is actually a series of deliverables. It is comprised of an enterprise retention schedule, business rules, requirements for viewing and navigating to content, tagging content for search and retrieval, and rules and procedures for metadata management for each type of content

in each repository. Depending on the status of other ECRM projects, this will be refined through the initiation phase of an information lifecycle project in coordination with other ECRM Framework projects. Processes and procedures for information lifecycle management identify the formalized steps or actions which must be undertaken or performed to meet rule conditions or the overall objectives of lifecycle management. Processes and procedures for lifecycle management address the application and integration of retention schedules, and include but are not limited to:

- Information creation
- Information storage
- Information organization, including creating taxonomies and assigning metadata
- Information searching and retrieval
- Records declaration
- Information disposition

Using retention schedules already defined by the organization in tandem with processes which currently exist for physical records, a team of subject matter experts will evaluate and derive these lifecycle models and create high level business use cases and classification models to ensure the appropriateness of the information lifecycle model within the company environment.

The information lifecycle state models will be accompanied by a series of business rules that describe how information is enabled to move between lifecycle states and the processes and procedures to define the specific details on how information will comply with those rules. These lifecycle models will provide the business units with a toolkit of default best practices for information management within their organizations. Use cases depict how the model and its associated rules, processes and procedures would be defined using specific examples, such as the creation of Word documents, forms, email, file shares, SharePoint libraries, and paper. These should indicate default events and common exceptions, such as the Hold state that information may enter, and are a useful tool for indicating how these deliverables work together. Use cases are also often used as tools for awareness and change.

While it is normally the intention of the project team to derive a single lifecycle model, multiple models may be necessary in order to support the wide variety of information lifecycles and record types created by the company.

Solving the ECRM Business Problem with Big Buckets

Another important technique for addressing the ECRM business problem is the consolidation of the records management file plan and retention schedule using “Big Buckets”. The big bucket approach asserts that selecting from significantly fewer categories or “buckets” (traditionally known as record series) improves the ability of a user of an enterprise content management system to accurately and consistently apply retention rules to recorded information. Having fewer categories can also make systems easier to implement. Many of the elements of a big bucket approach are also important in an ECRM Framework. These include:

- Common taxonomy to organize, describe, and link business records (classification scheme)
- Standardized indexing (metadata)
- Single set of retention policies for all physical and electronic records, including email (retention schedule)

There are several key benefits of Big Buckets:

- Easier to train users how to apply retention
- Easier for users to apply retention accurately and consistently
- Easier to maintain retention schedule
- Mitigates risk from retaining records too long
- Confident users are more likely to classify records accurately and consistently; therefore, approvers are more likely to approve records for destruction
- Easier to apply retention in ERP systems such as SAP or Oracle
- Makes auto-classification more accurate

- Several Gimmal documents are available that go into detail on how to implement big buckets to achieve synergies, efficiencies and other benefits.[2]

Solving the ECRM Technology Problems with an Enterprise Reference Architecture

Wikipedia defines a reference architecture as "a proven template solution for an architecture for a particular domain. It also provides a common vocabulary with which to discuss implementations, often with the aim to stress commonality." According to IBM's Rational Unified Process, a reference architecture is, "a predefined architectural pattern, or set of patterns, possibly partially or completely instantiated, designed, and proven for use in particular business and technical contexts, together with supporting artifacts to enable their use."

- **A repeatable solution:** *predefined* by the organization as an accepted approach to solving a specific problem within a domain.
- **Proven:** A reference architecture is a *proven* approach to solving the specific problem. By proven, it has been successfully used in previous projects and applications.
- **Descriptive:** The reference architecture needs to *describe* what problem is solves, when it should be used and how it should used.

Gimmal's vision of an ECRM Reference Architecture is to have a common set of technologies and processes in place that define how ECRM products and applications fit into an integrated ECRM vision for an organization. This is important because every almost ECRM vendor wants to impose their proprietary architectural vision on client organizations. The full model is illustrated below and is adapted to each organization. It depicts the full range of capabilities that may be required in an "enterprise" deployment of document, records, and web content management applications. It is described more fully in Attachment 4.

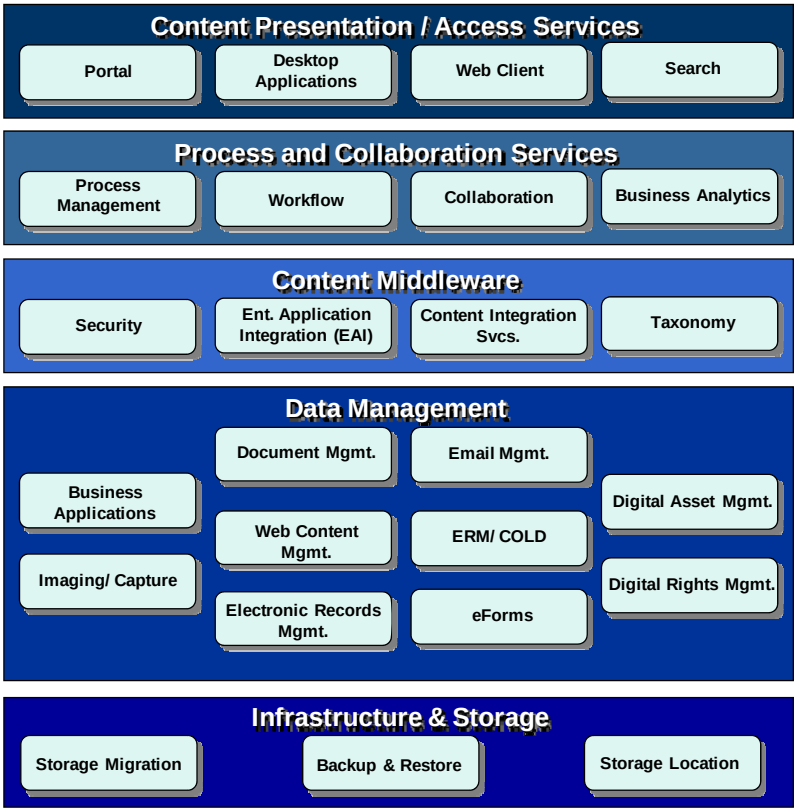

Figure 5. ECRM Reference Architecture

The establishment of the ECRM Reference Architecture enables a variety of processes both inside of the organization and through interfaces with contractors, partners, and governments to be better managed.

[2] Several articles by Susan Cisco on Big Buckets are available on the Gimmal website at www.gimmal.com

Content is current, the status of content is available, and procedures to manage content and processes are enforced.

Defining an ECRM Reference Architecture

Developing a reference architecture is an important task because it provides context for ECRM capabilities within the company. Gimmal has developed an Enterprise Reference Architecture model. It depicts the full range of capabilities that may be required in an "enterprise" deployment of integrated document, records, email and web content management applications. Based on this overall reference architecture, Gimmal will assess the current state and future requirements for ECRM. An important objective is to collect enterprise-wide requirements for ECRM capabilities. We will take an inventory based on a desired reference architecture, map existing products and technologies into all components where they are providing functionality, and assess the "fitness" of the technology for the functional requirements of the component. We will then develop a simplified ECRM Reference Architecture (similar to color-coded figure below) that will be used to communicate the "AS IS" ECRM application assessment.

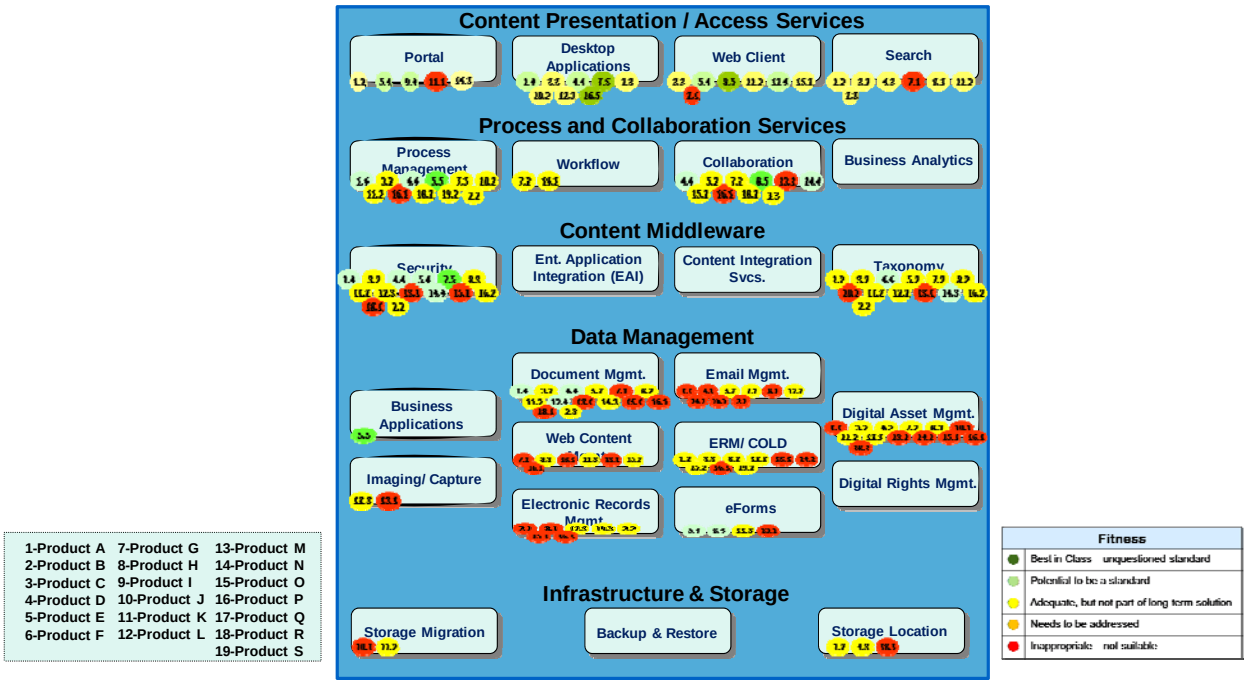

Figure 6. ECRM Reference Architecture – AS IS Analysis

The ECRM Reference Architecture chart above is a graphical representation of the contents of a document that describes the AS-IS and TO-BE states of the ECRM Reference Architecture and discusses the requirements for the transition from the AS-IS to the TO-BE states. This leads to the ECRM Technology Roadmap which is another key component of an ECRM Reference Architecture. The roadmap will include a current baseline, a strategic product direction, a transition plan, and established timelines. An example ECRM representation of a Technology Roadmap is illustrated below:

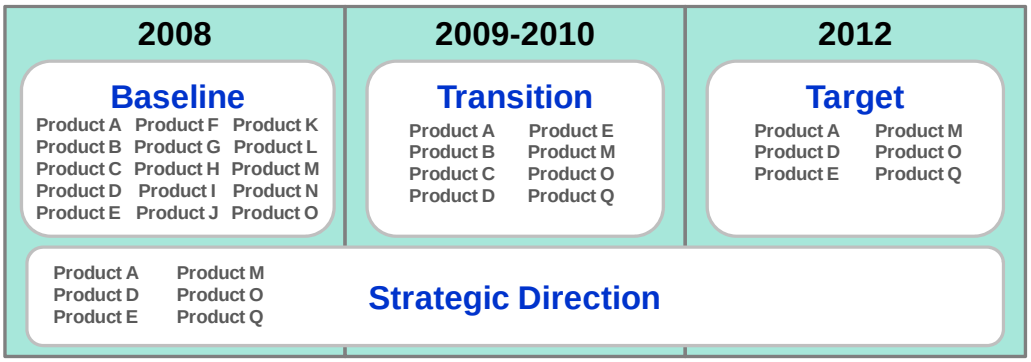

Figure 7. ECRM Reference Architecture – Technology Roadmap

Based on this overall reference architecture and a roadmap, Gimmal will assess the project requirements for ECRM. We will then define the resources that are required to implement the ECRM Reference Architecture. The following example illustrates how this process can be used to define and communicate the resources required to implement a series of ECRM projects.

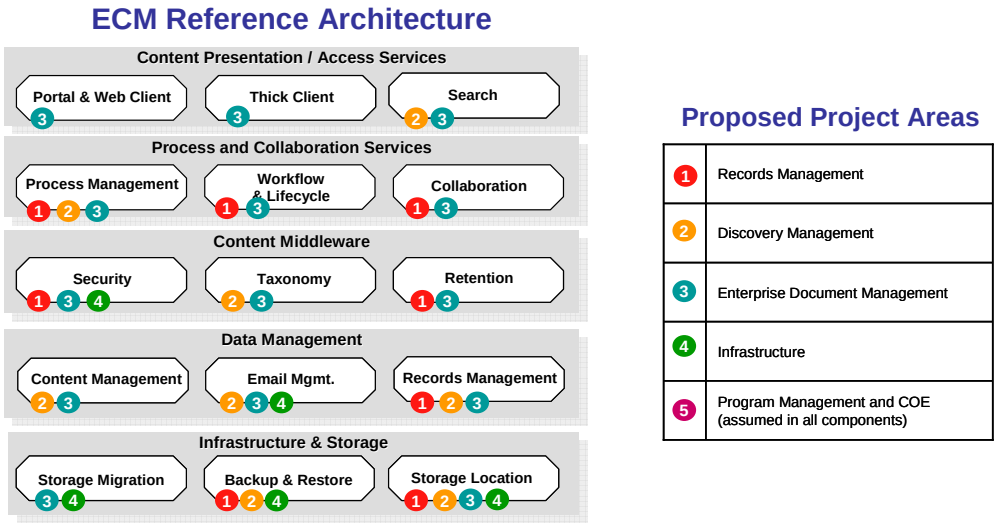

Figure 8. ECRM Reference Architecture – Project Mapping

The projects are defined based on the gap between the current state and the desired future state of ECRM in the organization. This enables the tying of the projects and reference architecture to the overall business drivers for ECRM. The benefits of this approach include:

- Provides a communication tool for various organizations, stakeholders, and project constituents
- Provides a common domain-specific language for the various stakeholders
- Provide consistency of implementation of technology to solve problems
- Supports the validation of solutions against proven architectures
- Supports enterprise architecture and IT governance
- Encourages adherence to common standards and patterns
- Encourages adoption of common asset reuse approaches

Full-featured ECRM solutions are perceived as costly to implement. This approach defines the path and provides a basis for understanding the investments required before the money has been spent.

Mapping the Enterprise Usage Model and Reference Architecture to a SharePoint Site Hierarchy

SharePoint provides many strong ECRM features, but it has not yet evolved to address all of the ECRM requirements of many large organizations. Departments frequently implement SharePoint sites to assist in managing documents as a replacement for their shared network drives. The ECRM problem is more difficult in these organizations, because they have made a commitment to multiple ECRM repositories, one of which is SharePoint. As SharePoint sites multiply, it is imperative that documents that are contained in these sites be managed in a consistent way. Figure 9 below illustrates how a large organization might implement a hierarchy of SharePoint sites to include personal sites and team sites that support the requirements of a wide variety of types of teams as well as enterprise sites that provides portal capabilities and application connectivity to an entire organization.

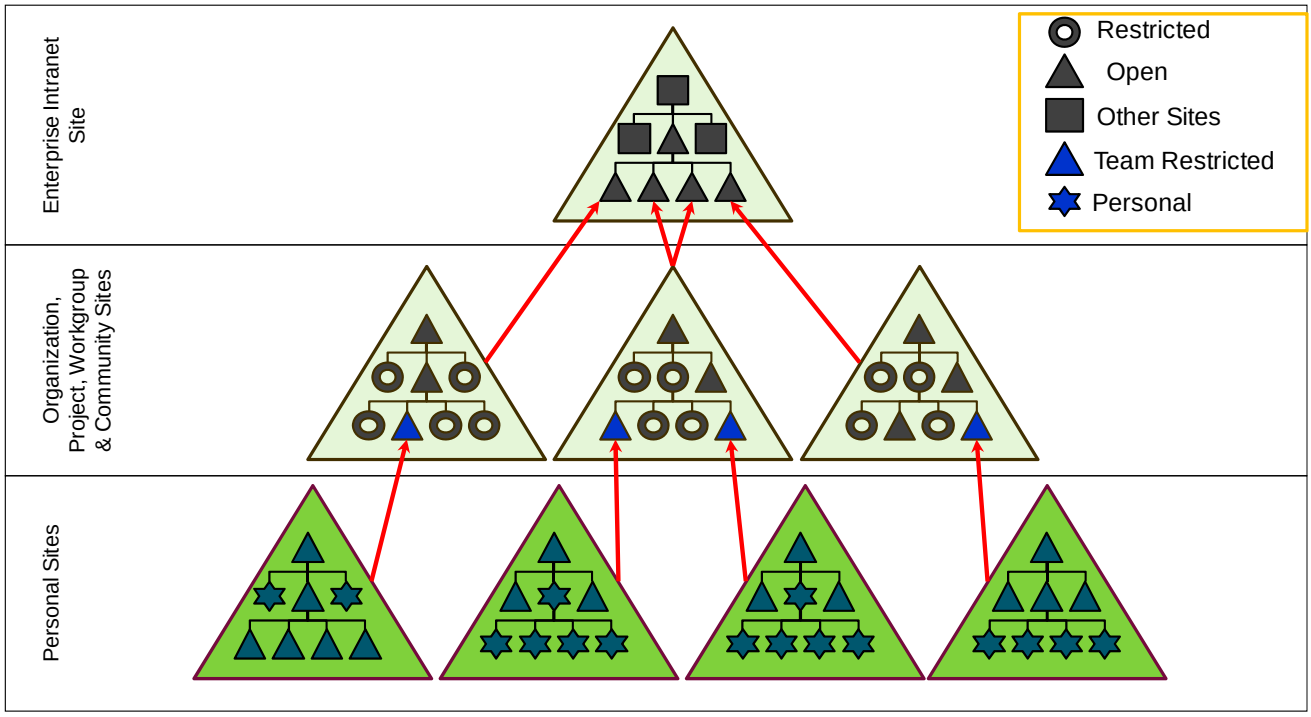

Figure 9. SharePoint Site Hierarchy

SharePoint offers a variety of important benefits including intuitive navigation and ease of use, but the current version of SharePoint does not fully support the enterprise requirements for records management that many large organizations have identified. As a result, content needs to be either copied or transferred into a repository of record that supports the enterprise records management requirements.

From a user perspective, this requires that the SharePoint sites and the ECRM system of record be integrated in a way that enables a user to access documents to perform their responsibilities without undue additional complexity. Ideally, this would require that a user not even know that a document was in a different repository because the indexing information and the actual retrieval of the document were performed seamlessly. This ideal has not yet been achieved, but it is the clear goal of the evolution of these solutions, and organizations need to be moving towards this end state with practical initial steps. This ideal is illustrated below:

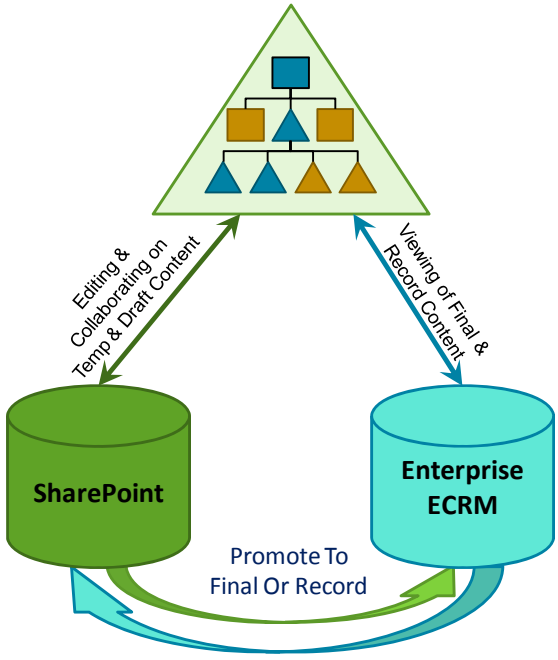

Figure 10. SharePoint and an Enterprise ECRM Repository of Record

There are a variety of challenges in the integration of SharePoint and an ECRM repository of record. These challenges include:

- The features that enable users to manage documents in SharePoint sites also enable them to customize the sites to their preferences. User site customizations can make it more difficult to synchronize the sites with an associated ECRM repository of record.
- The components of SharePoint sites, including lists, libraries, and content types are different than most of the leading ECRM repositories of record. These component definitions need to be integrated.
- The process of SharePoint sites, including lookup, deletion, archival, security, holds, and administration need to be able to be synchronized with the ECRM repository of record.
- SharePoint governance needs to be tightly integrated with the governance of the ECRM repository of record.

It is important that each SharePoint site include features to support the management of content when the site is created, because it will be much more difficult to incorporate these features after the sites have been implemented. Documents in each of the sites need to be consistently managed through an appropriate lifecycle from creation to disposition.

ECRM Implementation Approach

The implementation of an ECRM Information Lifecycle and a Reference Architecture will enable a common set of technology and processes in place that allow an organization to manage the information and knowledge contained in its enterprise content repositories. The ECRM team will construct the basic framework upon which an enterprise-wide solution can be built. The team will then complete the application design and implementation process for each department, with timing and prioritization determined by the ECRM Program Plan. The ECRM Implementation Approach will be made up of multiple elements and is illustrated in the following example:

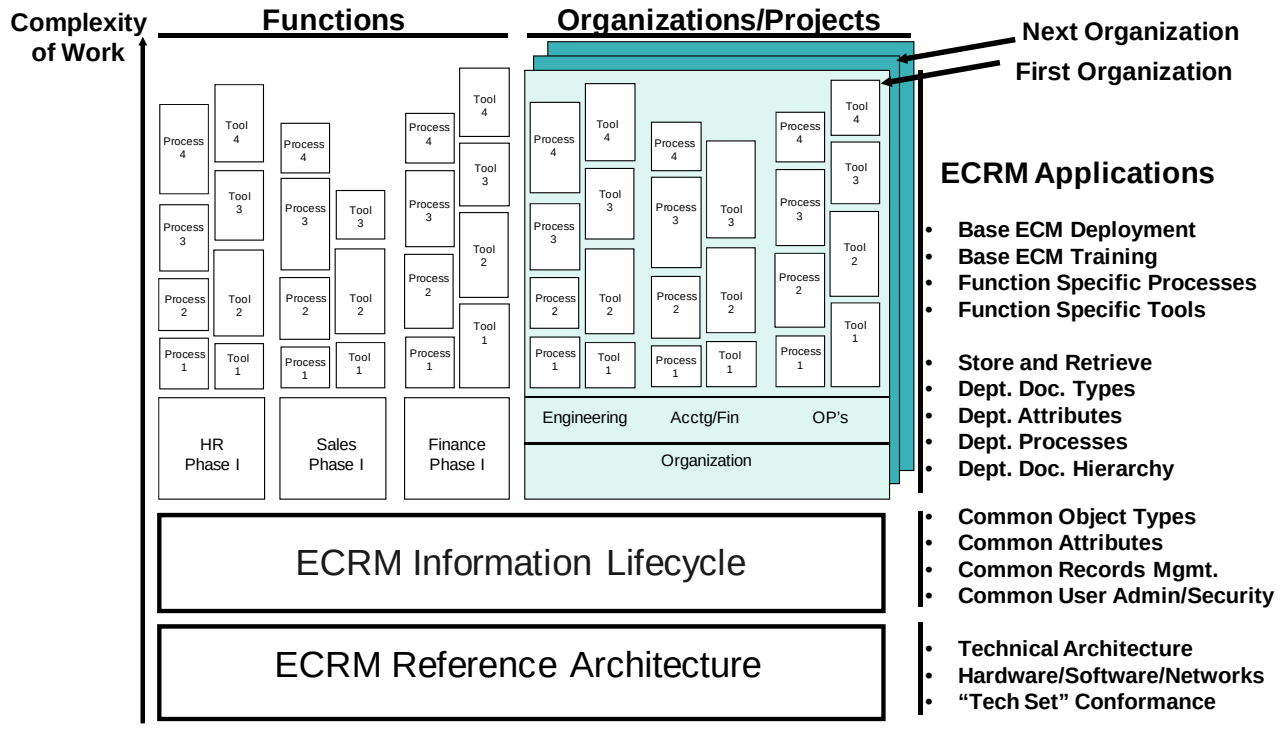

Figure 11. ECRM - Overall Implementation Approach

ECRM Reference Architecture. This is the common technical infrastructure (hardware, software, and networks) that conforms to enterprise-wide reference architecture standards. At least a subset of this layer needs to be in place for the other elements to be implemented.

Enterprise Information Lifecycle. This is the configuration of enterprise lifecycle states and processes that is common across all departments. Examples include common document types, attributes, processes, and

user administration and security. Most of the traditional document and records management capabilities are part of this layer.

ECRM Applications. These applications and solutions can be particular to each user group in the initial rollout or standardized across the organization. These include identifying the requirements for basic "store and retrieve" functionality as well as additional document types, attributes, and processes that are required for each user group. The user requirements can be defined based on a detailed usage analysis as depicted in the Enterprise Usage Model.

One of the main objectives of the ECRM Framework is to create common processes and tools that can be reused on subsequent projects. The ECRM team will complete the requirements and design phase for each group at the beginning of each functional group's implementation. The ECRM team will then roll out the selected design components to each user in the functional or project group. This enables an organization to:

- Define a clear and consistent set of business requirements for the enterprise
- Establish standards, guidelines or constraints for ensuring consistent adoption of policies, procedures, and processes across the enterprise
- Establish standards for consistent application of technologies across the enterprise
- Establish models to support consistent, complete and efficient adoption of the vision across the enterprise

Solving the ECRM Business Problem with an ECRM Framework Methodology

In order to develop and implement an ECRM Program Plan, Gimmal has developed a methodology for defining the ECRM Framework, including operating environments, technology architecture standards, and enterprise rules and applying them to specific content applications and processes. Our ECRM methodology was developed for organizations that are shifting from departmental implementations to a common ECRM Framework. It helps project teams expand their reach to support the needs of the whole organization. The ECRM methodology will enable organizations to implement more successful content and records management solutions, because it will be based on core business drivers, not just immediate departmental needs.

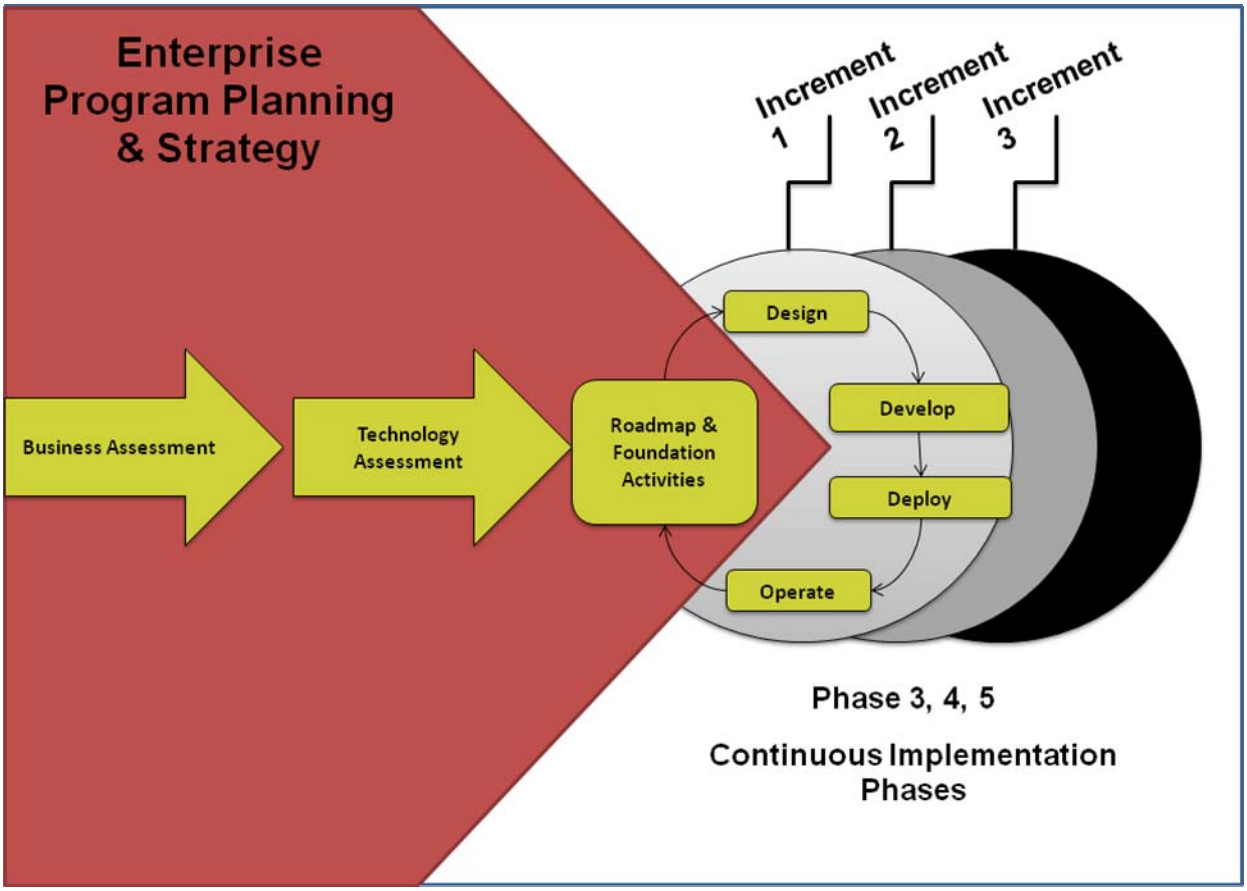

Figure 12. ECRM Framework Methodology

The end product of an ECRM Program Planning and Strategy phase is an Assessment and a Roadmap for the design and implementation of the multiple elements of an ECRM Framework. Some of these elements are illustrated below:

	GOVERNANCE	BUSINESS FOUNDATION	TECHNICAL FOUNDATION	PROGRAM MANAGEMENT	ECRM OPERATIONS
Assessment & Roadmap Phase	Policy Enterprise Policies Guiding Principles	Business Drivers Economics/CBA Information Gathering Guidelines & Tools Information Gathering Results Opportunity Matrix Project Prioritization	As-Is ECRM Reference Architecture To-be ECRM Reference Architecture ECRM Technology Roadmap	Project Qualification Criteria Project Portfolio High Level Program Plan Communications Plan	As-Is ECRM Operations Analysis Recommended Organization Structure
Foundation & Design Phase	Enterprise Rqmts Records Retention Schedule Metadata and Taxonomy Standards Security Standards Operating Models Litigation Hold Process Statements of Direction	Identified Use Cases Usage Patterns Baseline ECRM Functional Requirements Business Rules	Solution Type Profiles RFI's, RFP's Procurement Support ECRM Infrastructure Product Selection Updated Technology Roadmap	Program Budgeting ECRM Infrastructure Implementation Plan Updated Project Portfolio Program Schedule Risk Management	Staff Management & Capacity Plans Communication Plans Recommended Organization Initiated
Implement Phase	Operating Procedures Enterprise Awareness & Training Compliance Assessment Plans	Validate & Update Use Cases & Usage Patterns Validate & Update Baseline ECRM Functional Requirements Validate & Update Business Rules	To-be ECRM Reference Architecture Implemented Updated ECRM Technology Roadmap	Migration Plans Project Charters Individual ECRM Solution Type Deployments ECRM Integration Plans ECRM Program Performance Reporting	ECRM Organization Structure Established Systems Support
Cultivate Phase	Compliance Assessments Compliance Reporting Continuous Improvement Enterprise Awareness & Training		ECRM – New Product / Capability Analysis Updated Technology Roadmap	Remaining ECRM Solution Type Deployments ECRM Program Performance Reporting ECRM Specialization	Organization Structure Streamlined Systems Support Benefits Realized

Figure 13. ECRM Framework Deliverable Elements and Templates

An ECRM Framework supports the implementation of 'true' enterprise solution based on the requirements in Governance, Business and Technical Foundations, Program Management and ECRM Operations. We have seen that most organizations have different strengths in their current support for each of these areas. The ECRM Framework defines the phases and deliverables that are appropriate in each area. This enables an organization to identify which framework elements are required to proceed with the ECRM program, identify which of the required framework elements have already been completed, and develop a work plan to obtain the remaining framework elements. It also enables an organization to ensure that the necessary planning steps are complete before moving to the next phase. The Assessment and Roadmap phase ensures the program is aware of the desired ECRM end state, aligned with the overall business priorities and objectives, and moving in the right direction.

Solving the ECRM Business Problem with an ECRM Center of Excellence

Organizations frequently establish a Center of Excellence (CoE) or a shared services group to own and maintain the ECRM Framework. Gimmal recommends identifying the activities and deliverables according to three primary support service areas. These provide the program management umbrella under which ECRM projects will be executed:

- **Program Management Support Services -** Those tasks and functions necessary to operate the CoE and report status information to management.
- **ECRM Governance, Compliance & Maturity Support Services -** These are services and deliverables which become the enterprise standards, guidelines, and best practices for information management across the enterprise. Each deliverable becomes part of the overall service offering of the CoE organization. It is the CoE's responsibility to ensure the initial creation of the deliverables and to maintain them over time. The CoE is also responsible for providing feedback to the company management.

- **CoE Project Analysis, Implementation & Operations Support Services -** As business units prepare to leverage the ECRM CoE service offerings, the CoE will engage with the business unit to conduct preliminary investigations and business activities to assess their maturity and business needs, determine requirements and identify strategies to satisfy requirements. Once a design is in place, the CoE works with the Business Unit to implement the solution. In addition to supporting the implementation of the CoE service offering within the Business Units, the tasks under this work effort include ensuring that the service offering itself is up to date and relevant.

In the initial implementations of the ECRM Initiatives, these support services may be conducted by the ECRM Center of Excellence. However, over time, the responsibilities of the CoE may be divided into specific existing business units, workgroups or the overall enterprise operations model. To prepare for this, the CoE initiative should include a rollout strategy to disperse functions into responsible business units and workgroups without compromising the overall spirit of the operations support model. The following diagram illustrates how these support services interact:

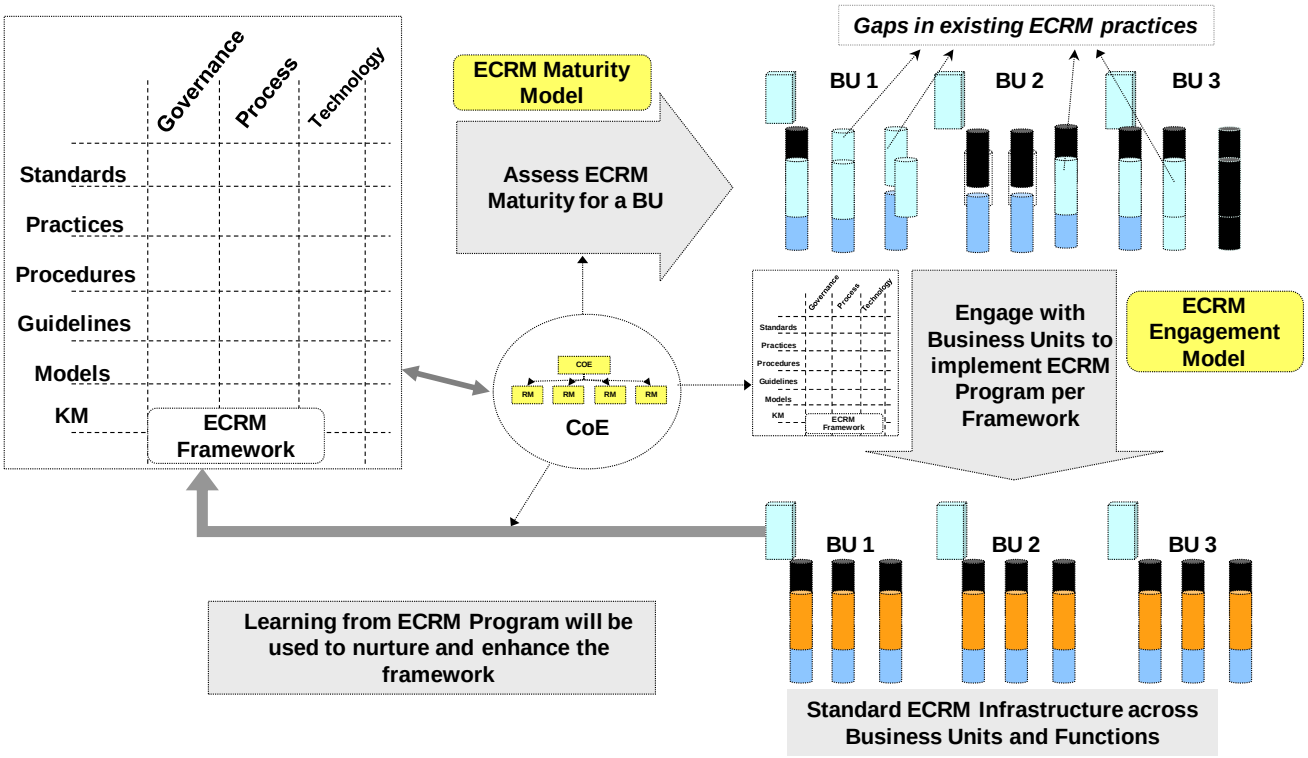

Figure 14. ECRM Center of Excellence Supports Business Units as they implement ECRM solutions

The development of each support service can be initiated and implemented using the ECRM Framework and methodology described in this document. Using this approach, service offerings can be rolled out iteratively until the complete baseline foundation set of functionality is in place in order to ensure:

- Methodology implementation is more successful – participants gain familiarity quickly
- Controlled change and release management
- Rapid adoption and enhancement or modification
- Faster return on investment

Using the methodology on the unique components within a service offering is helpful but care should be taken in that many of the deliverables are dependent upon each other. A strong CoE communication plan will mitigate the risk that the set of final deliverables in relationship to one another are not appropriate.

Conclusion

Successful enterprise records management programs require the implementation of integrated enterprise content management solutions, because the ECM systems are needed to support the capture of required attributes throughout the lifecycles of documents. The implications for enterprises and vendors are staggering. Enterprise content management systems are, by definition, systems that capture all of the important documents and content processes in an enterprise. In many organizations, this includes thousands of processes and tens of thousands of users. This will frequently be an effort that requires significant levels of investment and many years to achieve.

Furthermore, ECRM Systems do not just "happen" as a result of early pilots and departmental implementations. Critical steps related to planning, analysis, design, and architecture must be made in the context of an enterprise effort. Charting the path to successful ECRM includes:

- Planning and Strategy
- Enterprise Usage Models
- Enterprise Information Lifecycles
- Enterprise Reference Architecture
- ECRM Methodology and Implementation Approach

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Attachments

1. Enterprise Usage Model Definitions
2. Enterprise Information Lifecycle Definitions
3. Business Rule Definitions
4. Reference Architecture Definitions

Available upon request