

Institutional Document Management

Process Management Team Report

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Process Management Team Members

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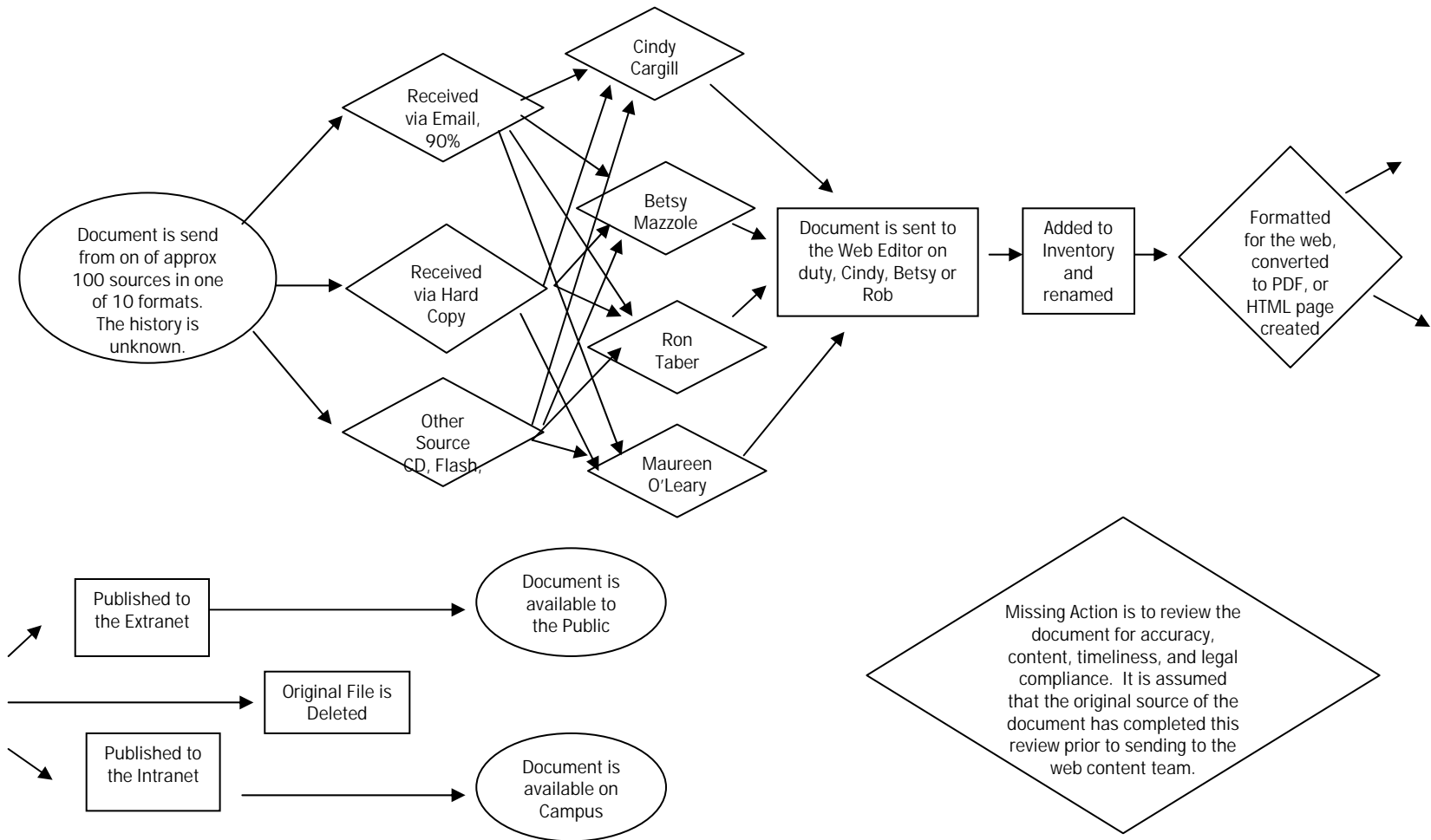
Ron Taber



Project Statement

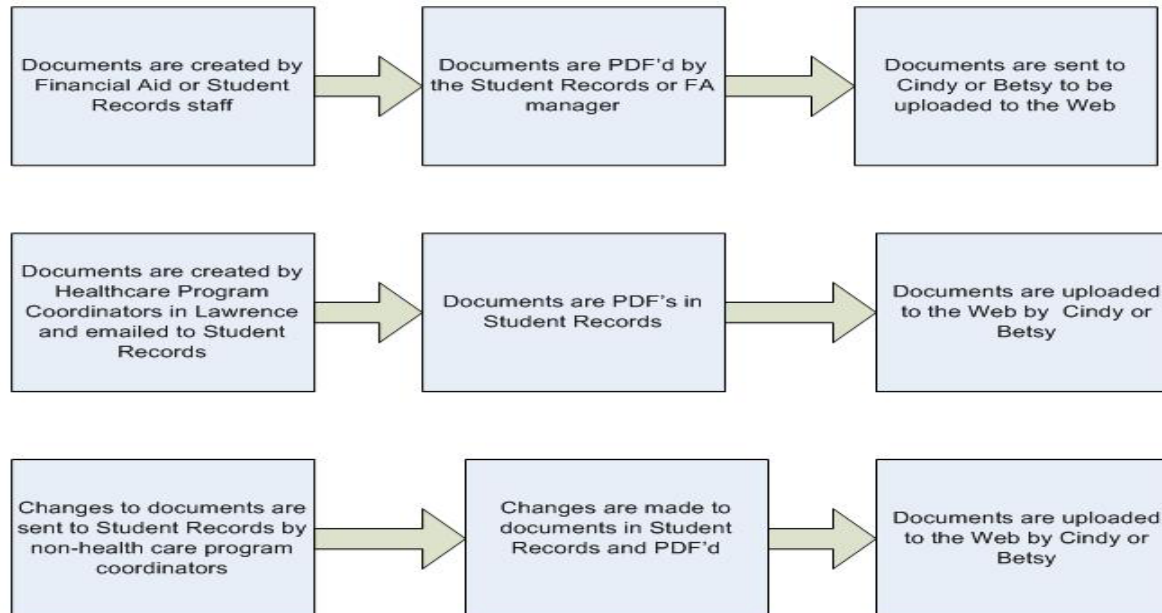
- To improve the process of updating and distributing institutional documents available to the public or accessed by multiple departments, either online or on the college network as measured by increasing student satisfaction and enrollment by supplying accessible and accurate documents, establishing an appropriate digital file location of the most up-to-date documents, by a decrease in document duplication, by improved retrieval time of documents, and by a savings of employee time and costs.

Website & Intranet Document Flow Chart



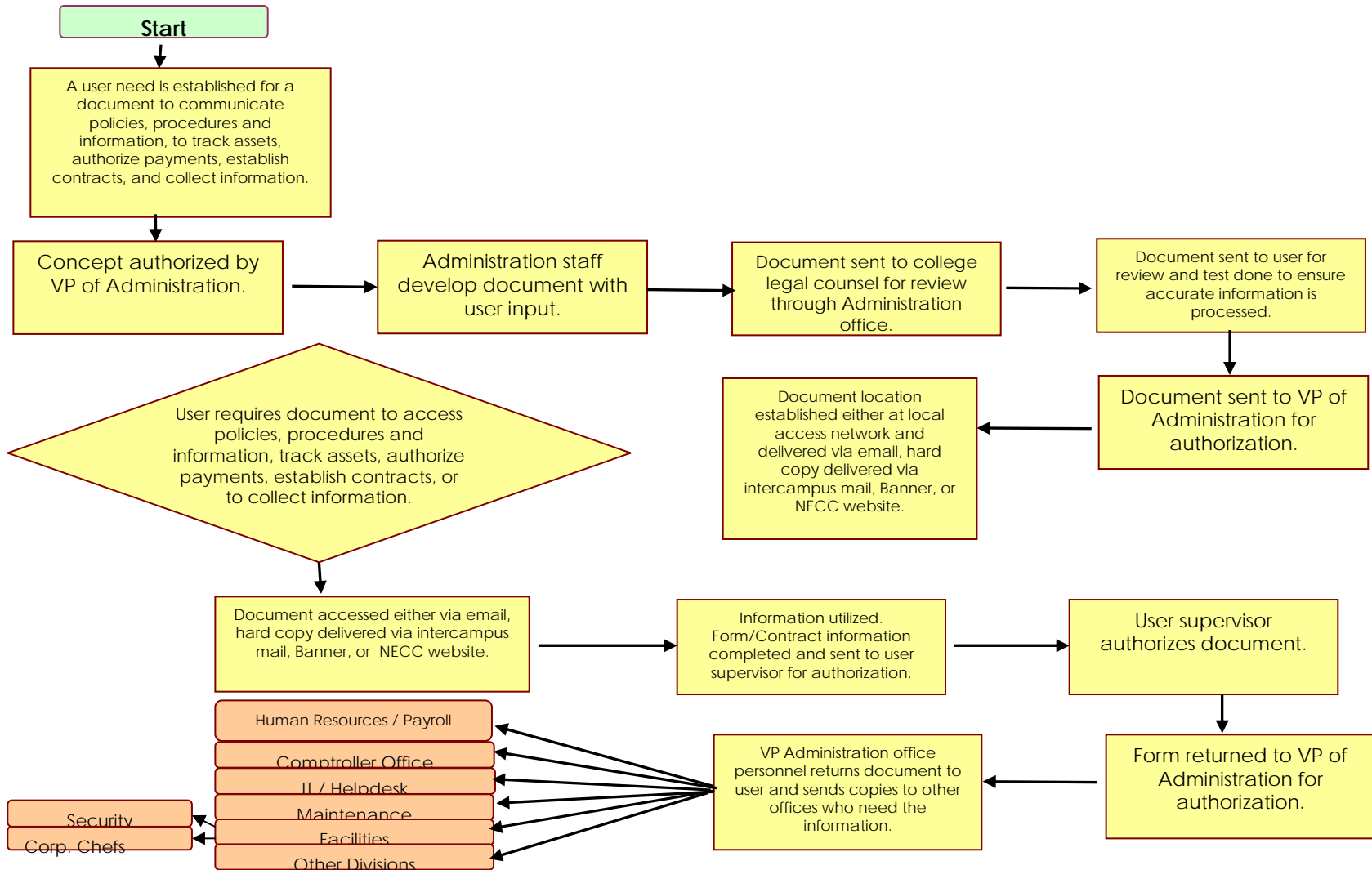
Financial Aid Document Flow Chart

The three main ways that documents are sent from Students Records to Marketing for uploading to the Internet



All documents are also sent to repro/graphics to be printed and distributed to students. Many additional documents are created in Student Records and sent to other departments such as Admissions, Registrar, Welcome Express, FA, the Lawrence Campus. Some of them find their way to the Web; many are distributed as hard copies to students.

Administrative Services Document Flow Chart



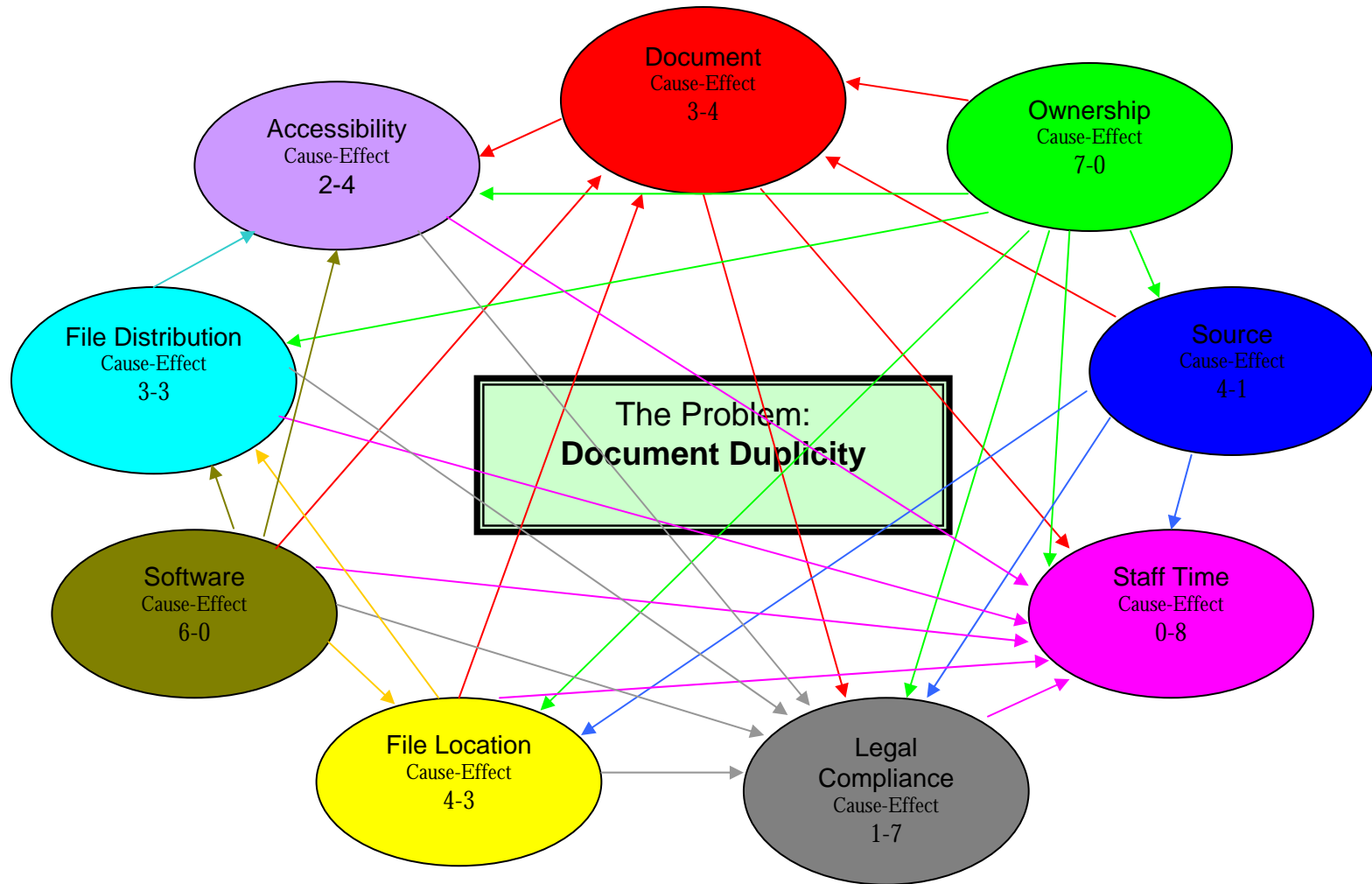
Current Situation Analysis

- ❑ The four components of Institutional Documents is dispersed to each department. These include documents creation, digital and physical storage, delivery to the end user, and documents management (including regulatory compliance, branding, accessibility, and more).
- ❑ This trend has resulted in some confusion regarding the correct version of the document and who is responsible for managing the document.

The Current State of Document Management

- The current state of document management functions and tools **do not** include:
 - searching across multiple repositories
 - enterprise taxonomy
 - viewing of documents because the required software may not be installed
 - adequate training on software for documents creation
 - training on best practices in documents creation and management
 - training in accessibility and compliance
 - a central authority to review and enforce policies and regulatory requirements
 - a standardized workflow.
 - integration with business applications (Banner, Treeno, Portfolio, and others do not communicate)
 - ability to authenticate external users of web forms (outside of the Banner database)
 - financial and human resources to create and manage documents and data, particularly web based forms.
 - a robust content management application
 - Policies and Procedures

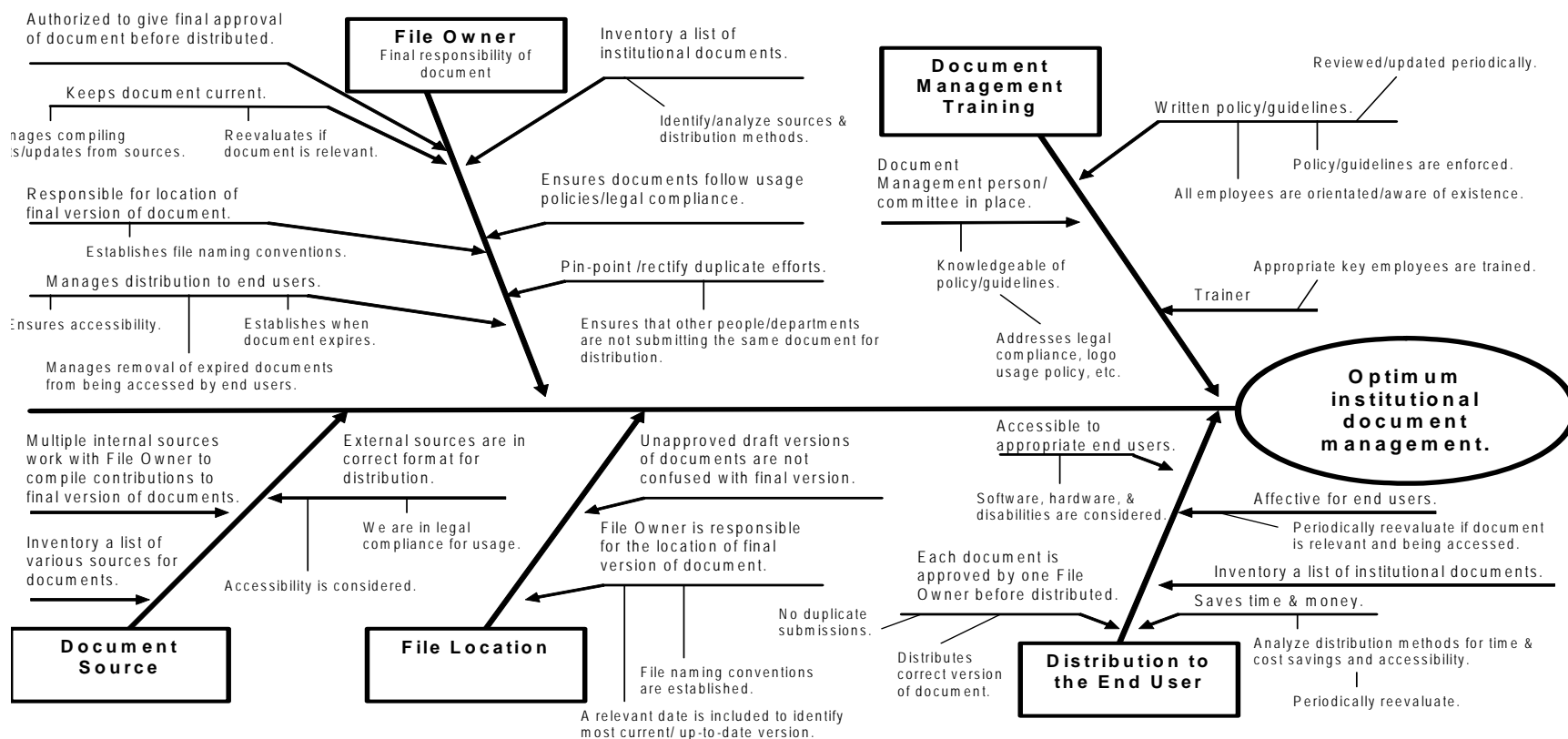
Relations Diagram



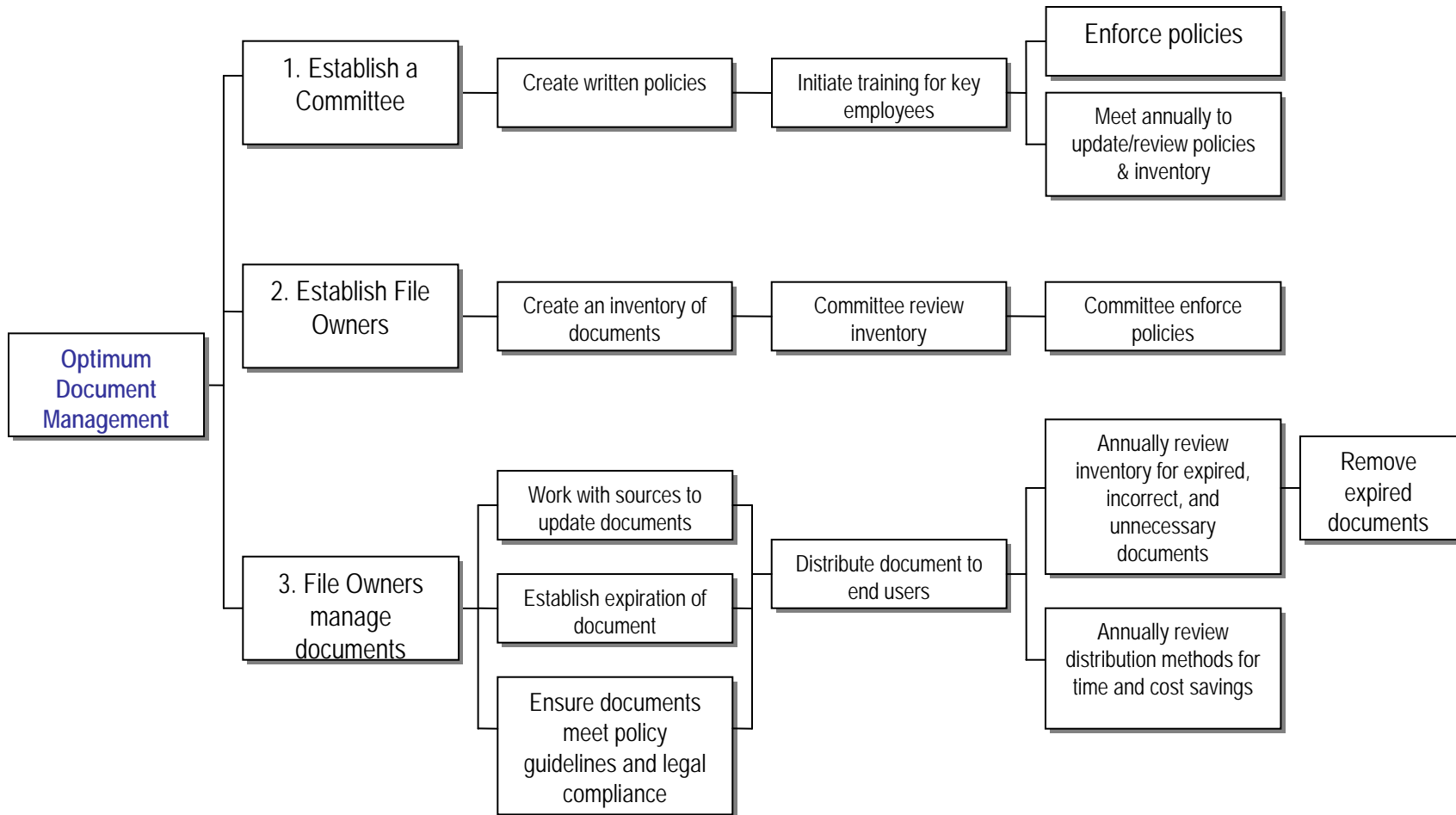
Relations Diagram Analysis

Root Causes of Document Duplicity <i>(tails)</i>	Major Effects of Document Duplicity <i>(heads)</i>
Ownership	Staff Time
Software	Legal Compliance
Source	Accessibility
File Location	Document

Cause & Effect Diagram



Systematic Diagram





Improvement System

- Our analysis has indicated the potential for considerable cost and employee time savings by developing policies and procedures for Institutional Document Management.
- The savings involved in documents management can be identified as controlling operational costs and cost avoidance.

Improvement System

Controlling Operational Costs

- Operational costs that will be controlled are:
 - Printing and shipping costs will be reduced upon moving content to the intranet and public web site.
 - Redundant employee efforts will be diminished by controlling ownership and versioning of the documents.
 - Regulatory compliance and ADA requirements will be met by having a single, governing entity, that promotes education and compliance.
 - Decreasing time spent in searching for documents. An information employee spends approximately 40% of their time searching for documents, per AIIM seminar 11/07.
 - Decrease in printing costs if the incorrect version is printed and distributed.

Improvement System

Avoiding Future Costs

- Future Costs to be Avoided include:
 - Greater legal liability is avoided if current institutional documents are not reviewed for compliance and accessibility.
 - The cost of discovery would increase if multiple versions are present. The cost of discovery has reached “1 million per month for document review by outside counsel” per Gordy Hoag, AIIM seminar 11/07.
 - Potential costs associated with disseminating incorrect financial information (tuition, fees).

Recommended Improvements for Optimal Document Management

Based on our research and data collected, we suggest the following two improvements for document management:

- ***Improvement # 1***

1. That a Document Management Committee is formed that will be a cross-section of college departments.

Recommendations for the Document Management Committee

- a) The committee should develop and write policies and procedures.
- b) The committee review processes for how documents are distributed, including overseeing research, reviews and recommendations of software choices.
- c) The committee establish approval procedures and the method of approval verification of documents. In addition, that the committee is empowered to enforce these procedures.
- d) The committee be a clearinghouse for institutional documents; approving format standards for forms (for ADA compliance). That the committee will keep current on best practices and legal issues (regulatory compliance) for document management.
- e) The committee will communicate and educate responsible document management throughout the college.

Recommended Improvements for Optimal Document Management

□ **Improvement # 2**

1. We recommend that each department should establish one person for management of departmental documents – this person will be the file owner and contact person. The file owner will be the liaison to the document management committee.
 - a) We recommend that each department establish an inventory of documents; including Document Name, Owner, Creator, Expiration Date, Approval Date, Approving Person, other relevant information.

Recommended Improvements for Optimal Document Management

2. We recommend that the file owners manage their documents by:

- a) Working with sources to update documents.
- b) Establish expiration dates for documents.
- c) Ensure that documents meet policy guidelines.
- d) Determine the best method of document distribution.
- e) Annually review inventory for expired, incorrect, and unnecessary documents; including review of distribution methods for time and cost savings.

Improvement System

Anticipated Results

- If our suggested improvements are adopted by Steering Committee support, we anticipate that the results would be:
 - Savings in student and employee time
 - Minimization of confusion and duplicity
 - Standardization of development and distribution processes of college documents.

Implementation Plan

- The Institutional Document Management Team is asking for Steering Committee approval to move forward with our suggested Improvement Theory.
- We are also asking the President's Leadership Team to provide leadership and guidance in forming a Document Management Committee.

Implementation Plan

Appointment of Committee Members

- We are recommending that the President's Leadership Team appoint members to the Document Management Committee, which should include one representative from these College sectors:
 - President's Office
 - Faculty and Staff Development
 - Academic Affairs Administration
 - Faculty
 - Enrollment Services
 - Student Leadership
 - Institutional Technology
 - Institutional Research
 - Institutional Advancement
 - Administration & Finance
 - Human Resources
 - Division of Corporate & Continuing Education
 - A member of this Process Management Team

Implementation Plan

The Document Management Committee

- ❑ The committee be set up according to College committee guidelines and have the authority consistent with other College standing committees.
- ❑ The committee selects a chairperson from among its members, set a monthly meeting schedule, keep minutes of meetings, and report to the President or his designee.
- ❑ The committee will create written policies, initiate training for key employees, enforce policies, and review document management policies and procedures, and research more efficient document management and distribution.
- ❑ The committee will send instructions to departments regarding requirements to begin the document management process.



Implementation Plan

Leadership Appoints File Owners

- The second proposal of our Implementation Plan is that each Vice President / Dean appoints departmental liaisons – file owners – as appropriate for the division.
- File owners would be the liaisons to the Document Management Committee.

Implementation Plan

Costs

- The Process Management Team's idea for improvement, the formation of the Document Management Committee, will not involve financial costs other than employee time.

- Costs associated with future document management initiatives recommended by the committee may include the costs of:
 - new personnel,
 - system hardware,
 - system software,
 - consulting services (legal, IT and ECM),
 - legal expenses, and
 - training.

- The Document Management Committee will report any recommended initiatives to the Process Management Team. This Process Management Team will provide the Steering Committee with any future recommendations of specific employee, equipment or consulting costs.

Outcome

- Outcomes of our Implementation Plan will be monitored by the committee and Institutional Document Management process management team through internal and external surveys and reports of file owners, students and employees.
- We will report to the Steering Committee on the status of the Document Management Committee and file owners, document control, future survey results and cost effectiveness of this plan.

Benefits

- Improving the management of all digital assets will extend the benefits indicated by this Process Management team:
 - Compliance to legal regulations and ADA
 - limiting liability by controlling confidential or negative information,
 - reducing employee time,
 - eliminating multiple sources of information,
 - saving printing and mailing costs,
 - reducing data retrieval time resulting in improved employee efficiency,
 - resulting in improved student satisfaction and increased enrollment.

Future Team Project Suggestions

- **Information Assets are materials generated by Faculty, Staff, and Students including; Reports, Surveys and Results, Print Materials, Web Content, Software Code, Data stored in Databases, Audio and Visual Files, and more.**

- Processes should be developed and technology applied for managing valuable document assets. For instance:
 - The Marketing Communications recently purchased Portfolio Server, to manage photographic assets.
 - There are many existing technologies available on campus, other technology solutions under development, and more solutions that should be considered and managed.
 - All departments should coordinate their efforts to maximize the use existing tools and processes and coordinate to apply new processes and tools.

Institutional Document Management

- The Institutional Document Management Team wishes to express their thanks and appreciation to:
- **David Hartleb**
- **Stan Jensen**
- The Steering Committee, especially Ron Taber, *our Sponsor*
- *Our Trainer:*
- Jennifer Long
- ***Our Resource Members:***
- Sue Beaumont
- Jim Cotton
- Donna Felisberto
- David Gomes
- Sharon McDermott
- Marie McDonnell
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- Bentley College
- Berkshire Community College
- Bunker Hill Community College
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- Mass College of Architecture

