



State of Montana
Department of Administration
State Information Technology Services Division

Electronic Records/Electronic Content Project

Data Analysis Report

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INTRODUCTION

This report is composed of the following sections:

- Background – provides the purpose of the overall project
- Purpose – identifies the needs for data analysis
- Survey Tool – explains the tool used for data collection
- Findings Obtained – will share the participant of the survey as well as an analysis of the findings per area (imaging, electronic content management, electronic records management, automated workflow, and E-Form/E-signatures)
- Observation – will provide prominent observations of the analysis
- Conclusion – summarizes the purpose and importance of the survey and data analysis report in the preparation of the Request for Information (RFI)

BACKGROUND

Title: Electronic Records Management (ERM)/Electronic Content Management (ECM) Project

The goal of this project is work towards determining the most efficient and effective, long-term ERM/ECM solution for the State of Montana. During the project, the team will (1) identify and document the State of Montana's current ERM & ECM environment, including both stand alone and centralized environments; (2) identify and document the State of Montana's future ERM & ECM needs including the importance of preservation and proper disposal; and (3) establish requirements for an ERM & ECM solution.

PURPOSE

The purpose of the data analysis was to identify what agencies and local government currently have in regard to imaging, ERM, ECM, workflow, and e-form/e-signatures, and identify their needs in these areas. The data collected will be used to: (1) issue a Request for Information (RFI) to ERM/ECM vendors so they can further educate the state on their offerings, and (2) provide analysis for future decision making.

SURVEY TOOL

The survey tool used to collect data was SurveyMonkey. All state agencies and local government entities were contacted and asked to provide a point of contact for this project. We received the names of 34 contacts. The survey was then sent to those identified individuals to fill out and submit.



FINDINGS OBTAINED

SURVEY PARTICIPANTS

There were a total of 30 agencies and local governments who participated in the survey. The participants were as follows:

State Agencies:

- Fish, Wildlife & Parks
- Montana Historical Society
- Department of Natural Resources & Conservation
- MPERA
- Montana Arts Council
- State Auditor's Office
- Department of Military Affairs
- Governor's Office
- Department of Commerce
- Office of Public Instruction
- Department of Labor & Industry
- Teacher's Retirement System
- Department of Administration
- Department of Environmental Quality
- Department of Revenue
- Montana Department of Transportation
- Montana State Library
- Board of Public Education
- Department of Justice
- Department of Agriculture
- Department of Corrections
- Montana State Fund
- Judiciary – Clerk of Supreme Court
- Secretary of State's Office
- Department of Public Health & Human Services

Local Government:

- City of Bozeman
- Ravalli County
- Lincoln County
- Yellowstone County

IMAGING

For this analysis, imaging is defined as: the scanning, processing, compression, and storage of images.

Current Environment

Of the survey participants 93.3% currently have an imaging system. The most common types of scanning hardware are Toshiba, Cannon, and Fujitsu. The most common types of scanning software



are FileNet, Toshiba, HP, and Adobe Acrobat. 25% of participants scan less than 10,000 pages per month, 31% scan up to 10,000 pages per month, and 21.8% scan up to 100,000 per month or more.

Figure 1 and Figure 2 show the current state of scanning and imaging among study participants.

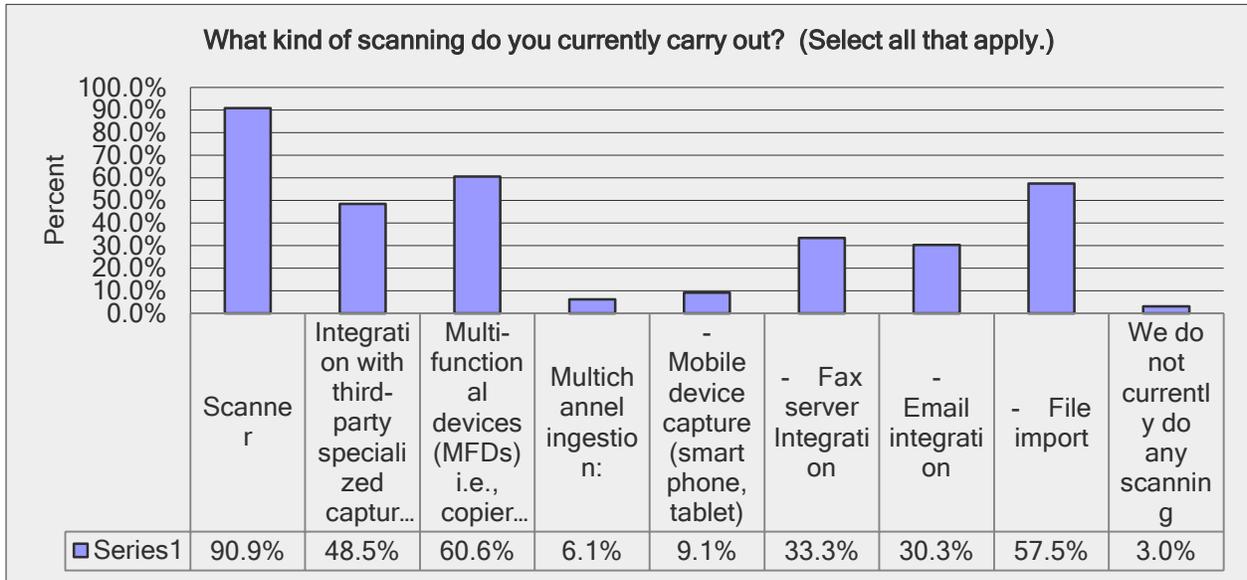


FIGURE 1

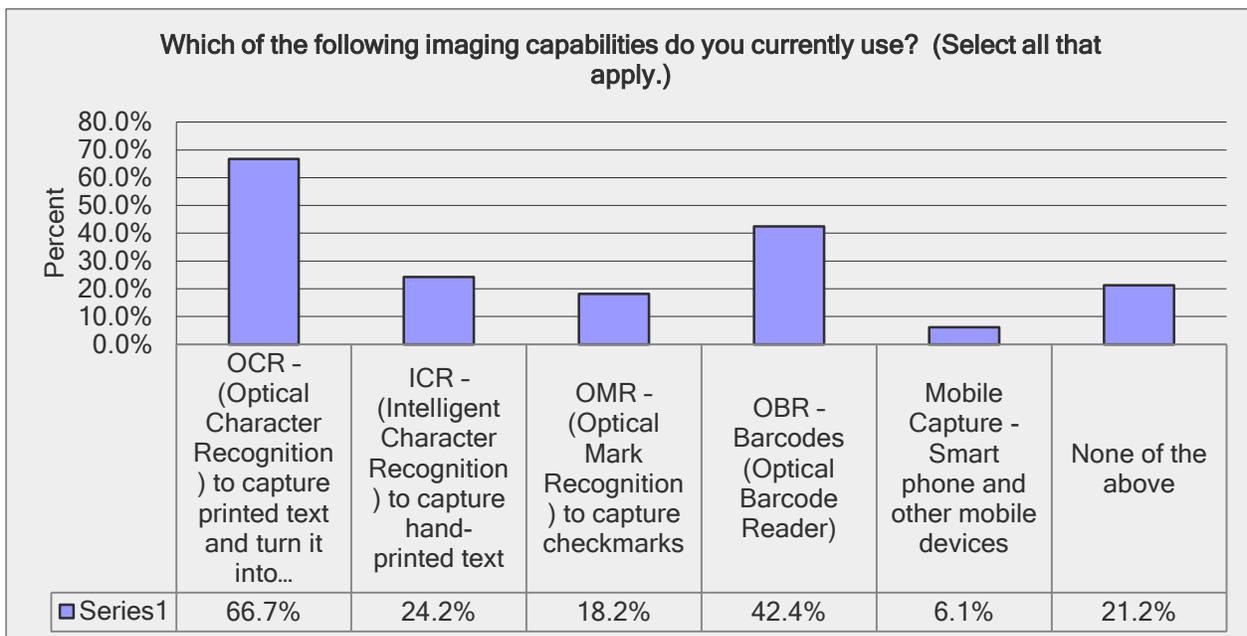


FIGURE 2



Needs

For those participants who currently do not have an imaging system, the following outlines their needs:

- Scanning/Capture Needs
 - Scanners - 75%
 - Email Integration – 66.7%
 - File Import – 66.7%
 - Mobile Device Capture – 58.3%
 - Scan less than 10,000 per month – 30.8%
 - Scan up to 25,000 per month – 23.1%
 - Scan 100,000 or more per month – 23.1%
- Imaging Capabilities
 - Optical Character Recognition – 82.4%
 - Optical Barcode Reader – 44.1%
 - Intelligent Character Recognition/Mobile Capture – 41.2%

ELECTRONIC CONTENT MANAGEMENT (ECM)

For this analysis, ECM is defined as: the umbrella term for imaging, document management, electronic records management, web content management, workflow, and document collaboration in all forms: email, instant message, document images, word processing documents, web pages, videos, digital signatures, etc.

Current Environment

Of the survey participants, 48.7% stated they have an ECM system. The most common software vendors are FileNet, SharePoint, and home-grown systems. The most common licensing models used are named users and enterprise licenses (31.3%). The most common type of navigation/organization used is key work search (87.5%). Figure 3 shows the number of currently stored documents by participants.

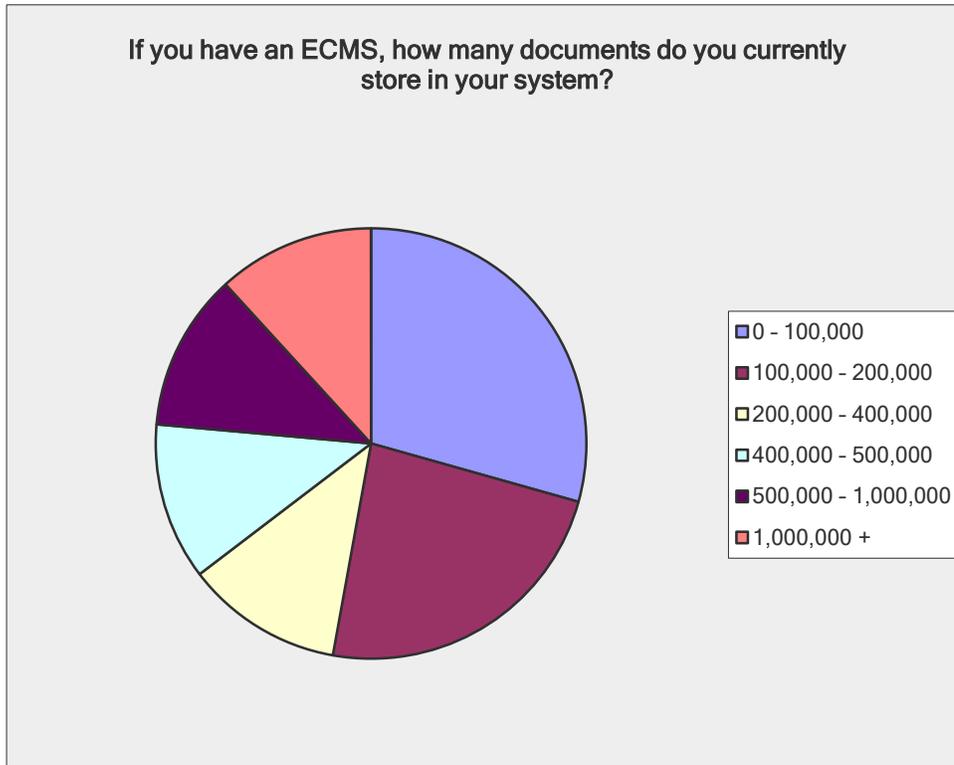


FIGURE 3

Needs

The needs of the survey participants are as follow:

- 83.3% need to support remote locations;
- 74.2% need to support mobile users; and
- 83.3% need to provide access to certain documents on an online basis for the public or customers

ELECTRONIC RECORDS MANAGEMENT (ERM)

For the purpose of this analysis, ERM is defined as: the management of records using electronic systems by applying records management principles to control and govern them throughout their life cycle.



Current Environment

Of survey participants, the majority did not have an ERM system (67.8% - No, 32.2% - Yes). The ERM software vendors include FileNet, CRM, SharePoint, Perceptive Software, SunGard, Docuware, Laserfiche, RIM capabilities in SABHRS, and a home grown system. 63.3% of those who have an ERM system stated they do not have seamless integration with their ECM system. The majority of participants have a Records Retention Plan (74.1%).

Needs

The two major needs are identified as email archiving and management capabilities (Figure 4) and the need to retrieve information to comply with the Freedom of Information Act (Figure 5).

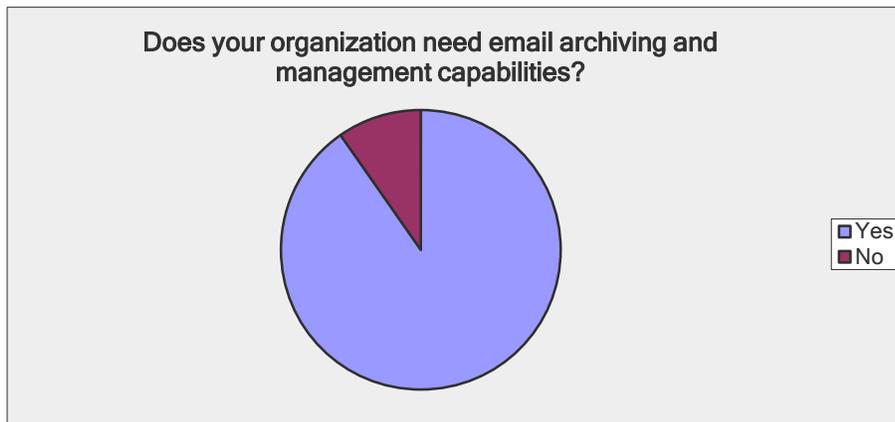


FIGURE 4

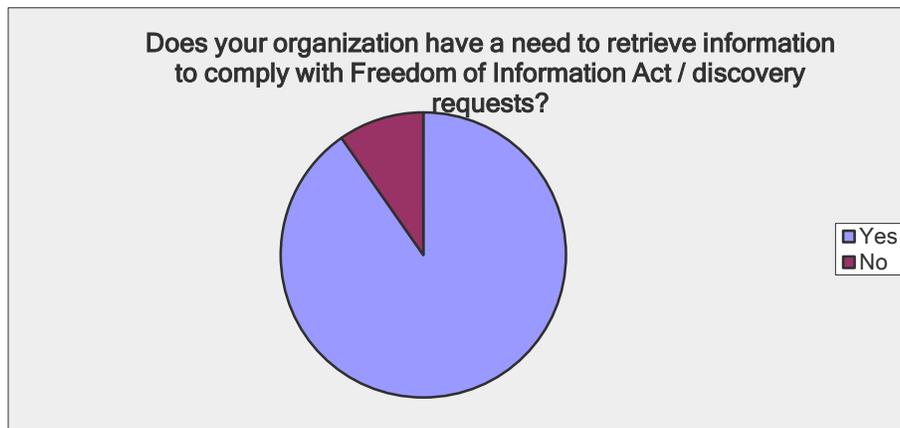


FIGURE 5



AUTOMATED WORKFLOW

For the purpose of this analysis, automated workflow is defined as: automated series of tasks defined within an organization to produce a final outcome; includes routing tasks to staff.

Current Environment

Of survey participants, 42.2% stated their ECM system had automated workflow capabilities, while 57.8% did not.

Needs

81% of participants stated they needed document-centric, author-review-approve automated workflow capabilities.

Figure 6 shows the workflow automation needs.

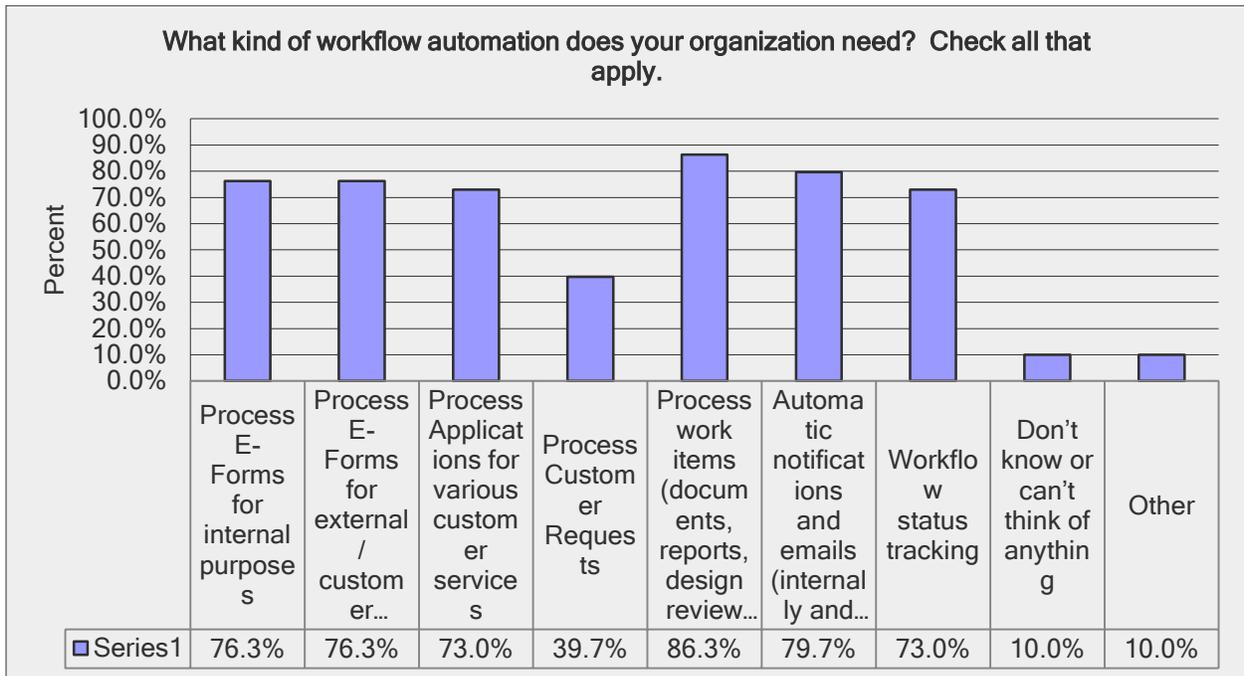


FIGURE 6



E-FORMS/E-SIGNATURES

For the purpose of this analysis, E-Forms are defined as: forms that can be filled out electronically and routed for various verification and/or approval; E-signatures are defined as: electronic symbol or process attached to an electronic record; may be used to verify both the identity of the originator and that the document is unchanged.

Current Environment

Of survey participants, 44.9% currently use E-Forms.

Needs

Figure 7 represent the needs of survey participants.

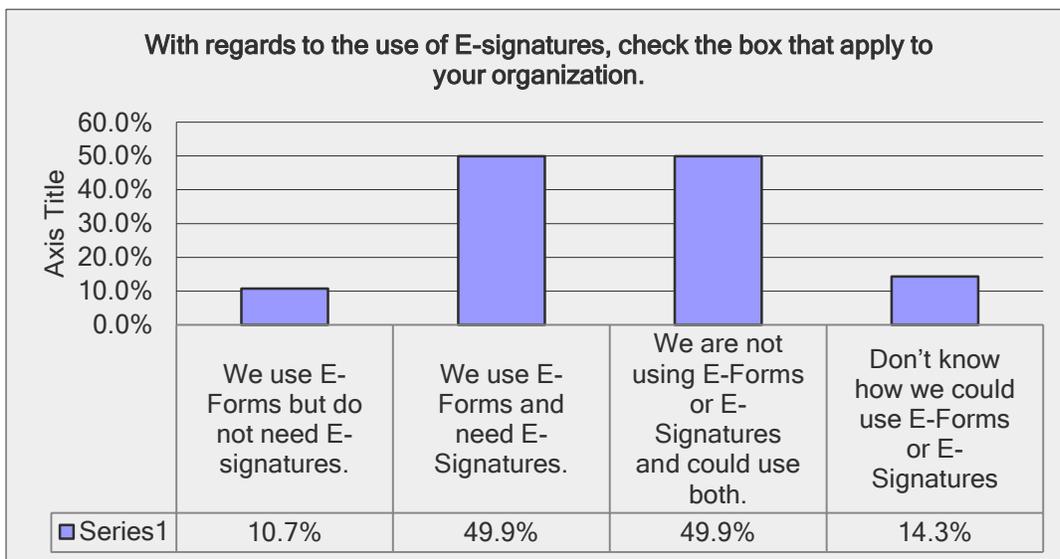


FIGURE 7



OBSERVATIONS

The responses indicate that 28 out of the 31 participating agencies and local governments currently have an imaging system(s); there are 11 different scanner vendors named. This extensive variety may bring with it associated problems.

The responses specify 18 respondents scan on a small scale (around 10,000 per month) and 7 respondents scan on a large scale (up to 100,000 per month or more) with little scanning occurring in between. In additional 10 respondents would scan anywhere from 10,000 to 50,000 pages per months if they had an imaging system.

There is a definite need for optical character recognition; 28 out of the 31 respondents indicated this need while less than half currently use or desire optical barcode reader or ICR/ mobile capture (see chart below). There is also a definite need to support remote locations (83.3%; 25/31 respondents) and mobile users (70.9%; 22/31 respondents).

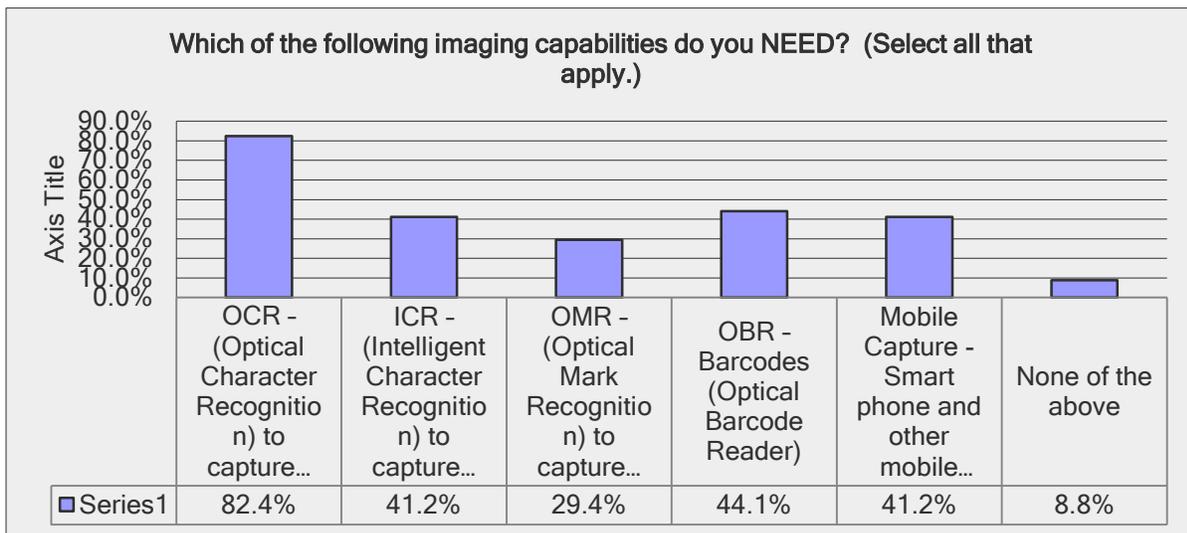


FIGURE 8

According to the responses, 15 agencies and local governments stated they have an ECM. However, only two can be classified as true ECM systems (FileNet and Perceptive) because the other named systems do not have all the functionality of an established ECM system.

Of these 15 responses, half said their ECM had automated workflow capabilities; conversely, most of the 31 respondents (25) stated a need for workflow capabilities. Of those stating they have an ECM system, they indicated there is a large spread of documents currently being stored in ECM



systems (see Figure 3). Survey respondent comments in this section indicated that current ECM service offerings are used sparingly due to cost.

Any future ECM system that attempts to address all the requirements gathered from the survey respondents will have to be a full-featured system, which means it must have all the features and functions available to address imaging, document management, business process management, web content management, and records management.

There is a strong need for e-Forms that could be filled out on-line (25 respondents). About 50% said they need e-signatures, which is lower than anticipated.

CONCLUSION

The data gathered by this survey is important because it is representative of most state agencies and local governments. It provides information on the current environment, as well as outlines the requirements for current and future needs. Based on the survey responses, the RFI should include imaging, electronic content management, electronic records management, automated workflow, e-Forms and e-signatures.

The features and functions discussed in this report provide opportunities to attain efficiencies in government, one of Governor Bullock's primary goals. The following statistics are representative of the efficiencies that may be obtained (AIIM, 2013):

- In a study conducted, respondents indicated the biggest benefit of electronic management is compliance and better records for audit trails (50% of respondents). Faster customer response was the second prime benefit (45%), followed by the greater ability to monitor workflow status and workloads (40%), which is part of reducing the staff resource.
- In the same study conducted, respondents stated fifty percent of organizations adopting paper-free processes report see payback in a single 12-month budgeting period.

The data gathered through the ERM/ECM survey, as well as the information gathered from the RFI process, will be beneficial in helping the State of Montana make future decisions about enterprise electronic records and content services and systems.