Enterprise Content Management Implementation - Executive Summary

Enterprise Content Management (ECM) is a formalized means of organizing and storing electronic documents that relate to an organization’s business processes. ECM encompasses document management, process management, information privacy and access management used throughout a business-related process or document lifecycle (See Supplement S-1). The Financial Stewardship Institute (FSI) ECM Project Sponsors requested information for identifying document types and paper-based processes, selection criteria for prioritizing these documents and processes, and clarifying necessary implementation resources such as personnel and training.

To accomplish this goal our team conducted a literature review, held in-person interviews, crafted a survey and reviewed case studies regarding successful ECM implementation in higher education institutions. This information culminated in five recommendations for the ECM Project Sponsors including launching a survey to identify document types and processes, utilizing a Resource Allocation Map for document type and process prioritization, cataloging critical success factors of ECM implementation, identifying training and support resources, and highlighting opportunities for successful change management.

Recommendation I – Identify Document Types & Processes

A survey was crafted to identify document types and business processes that could best benefit from ECM implementation (See Supplement S-2). The survey consists of five questions and targets specific key stakeholders as the audience. These stakeholders include Associate Dean/Department Head, Central Administration (A/P, Payroll, PCS), Department Managers, Accountant/Office Specialist and any others deemed appropriate by the ECM Project Sponsors. The goal of the survey is to identify document types for ECM and their priority for placement into an electronic system.

Recommendation II – Document Type & Process Prioritization

Once the survey is complete and the results are consolidated, the document types and processes can be prioritized for implementation. The survey results will show which document types need to be completed first, but there may be conflict with some prioritization outcomes. Our recommendation is to identify where each document type falls in the institution’s priorities and market competitiveness. The FSI Resource Allocation Map can provide strategic guidance in objective decision making for prioritization. It allows for the ECM team to prioritize based on alignment with UO mission, market trends and available internal competencies.

The first map is used to identify which quadrant the document type would fall under using financial viability and institutional mission as measurements. The second map is used to identify which section the document type would fall under using market trends, internal infrastructure and people. Once the document type is placed on the maps, there are 16 possible combinations to help solidify the prioritization for ECM implementation (See Supplement S-3). Once each document type is measured against the institution’s priorities and market competitiveness, prioritization can be done and implementation can begin. For example, an Admissions application would fall under the combination Q1/S1, because it is critical to the University’s mission, is financially viable, it aligns with market trends and internal competencies. The Admissions application document then falls into the no brainer category for prioritization.

Recommendation III – Critical Success Factors

There are five critical success factors that our team identified for successful ECM implementation (See Supplement S-4). These include commitment by top management, allocating a budget, identifying strategic goals, selecting an implementation team and getting buy-in from relevant stakeholders.

Successful execution requires strong leadership, commitment and participation by top management. These managers would become the champions of the ECM system by providing a clear vision and setting the strategic goals for implementation. They are also responsible for identifying a reasonable budget projection. This budget would include any necessary staff and supplies needed for implementation. These managers also select the implementation team.
The ECM implementation team is composed of people who are chosen for their skill, past accomplishments, reputation, flexibility and represent cross-functional roles across campus. The team spends extra time up front to define in great detail exactly how the implementation would be carried out. The team is responsible for creating the initial, detailed project plan and schedule, assigning responsibilities for various activities and determining due dates. The team also ensures that all necessary resources are available as needed. Accelerated implementation is an important strategy to maintain project momentum.

Stakeholder buy-in and involvement is essential during all phases of implementation. Education and consistent communication regarding transition timelines and providing training resources are keys to successful implementation. Additionally, managers sharing information regarding goals and long-term perspectives will help win support of all members of the institution affected by the changes.

**Recommendation IV – Training and Support**

It is critical for top management to dedicate a line item in the budget for education and end user training. It is essential that members of the training team be ECM experts who can provide training over the entire course of implementation. One training option is to use ECM experts from other teams to “train the trainer”. Consultants can be used for training but it is critical that knowledge be transferred from external consultants to internal employees. A support team, consisting of ECM experts, provides second level support to end-users. This team works with help desk and technical team to prioritize systems fixes and enhancements.

End users need training and support as they learn the new system. At the beginning of the project, there is a six-month learning curve for end users. Initially, it is important to concentrate training on key users, work group leaders and supervisors. Everyone who uses ECM system needs to be trained on how it works and how it relates to business processes. System users can meet periodically to help identify problems and encourage exchange of information gained through experience with system.

**Recommendation V – Change Management**

An overarching challenge to ECM implementation is the culture of change management. Even when the consequences are severe and even if the change required is simple; humans still find change to be difficult. A UO Professional Development VitalSmarts training called Influencer provides helpful steps to identify the problems in change management and the desired outcome in a specific, clear, measurable and time-bound manner (See Supplement S-5).

The Influencer model breaks down motivation and ability into three areas – personal, social and structural. Utilizing the Influencer model may help with ECM implementation by identifying vital behaviors and critical moments in time to communicate with key stakeholders. Studies have shown using all six of the Influencer sources will lead to vital changes, but using less than four of them will usually result in failure. An identified vital behavior can be influenced in a critical moment to produce a desired result. One example is the critical moment when a trained ECM user experiences a problem. For a successful outcome, an identified vital behavior of the user is to know where to contact for assistance.

**Benefits of Recommendations**

Our team recommends UO implement an ECM system. The benefits of utilizing our recommendations include identifying and prioritizing document types and processes, understanding critical success factors and training needs for end-users. It is imperative to manage this change with open communication from top-down to ensure successful ECM implementation. Administration can capitalize upon this opportunity to identify and standardize cumbersome paper-based processes and improve upon them. The most practical business processes and workflows can be automated, but if it’s a bad process, then it’s a bad automated process.

The Return on Investment for purchasing an ECM system is increased operational efficiency and mitigating risk through securing access and information retrieval, automating workflows, and reducing document storage costs. Staff costs may remain constant, but staff time may be redeployed to more mission critical functions. We align our recommendation to the following section of the University of Oregon mission statement that states, “The acceptance of the challenge of an evolving social, political, and technological environment by welcoming and guiding change rather than reacting to it”.

2
Supplement S-1 Enterprise Content Management (ECM) Definition

Supplement S-2 Enterprise Content Management (ECM) Survey

Q1 Please identify your role within the University of Oregon:

- Associate Dean, Department Head
- Central Administration (A/P, Payroll, PCS)
- Business/Budget Manager
- Accountant, Accounting Technician, Office Specialist
- Other (please identify): ____________________
Q2 Please check the documents that require your signature or processing (any and all that apply):

- Payroll Request Forms (PRFs)
- Manual Check Requests (MCRs)
- Classified Hiring Packets (CPacket)
- Student Hiring Packets (SPacket)
- Travel Reimbursement Forms
- Foundation Check Disbursement Request (CDRs)
- Campus Visit Forms for Candidates
- Notice of Academic/Administrative Position Opening (NAPOs)
- Request to Hire forms
- Request to Offer (RTO) forms
- Sabbatical Request forms
- Promotion and Tenure Related forms
- GTF Notice of Appointment forms
- Other (please identify): ____________________

Q3 Please rank the priority for documents to best be transitioned to enterprise content management (ECM) system: (Drag and drop the documents into rank order that would best be transitioned to an automated workflow)

____ Payroll Request Forms (PRFs)
____ Manual Check Requests (MCRs)
____ Classified Hiring Packets (CPacket)
____ Student Hiring Packets (SPacket)
____ Travel Reimbursement Forms
____ Foundation Check Disbursement Request (CDRs)
____ Campus Visit Forms for Candidates
____ Notice of Academic/Administrative Position Opening (NAPOs)
____ Request to Hire forms
____ Request to Offer (RTO) forms
____ Sabbatical Request forms
____ Promotion and Tenure Related forms
____ GTF Notice of Appointment forms
____ Other (please identify):

Q4 How effective are your current business document processes in the University?

- Very Ineffective
- Ineffective
- Somewhat Ineffective
- Neither Effective nor Ineffective
- Somewhat Effective
- Effective
- Very Effective
- Other (please explain): ____________________
Q5 What impact would implementing an electronic system for document processing/signature have on your workload?

- Very Ineffective
- Ineffective
- Somewhat Ineffective
- Neither Effective nor Ineffective
- Somewhat Effective
- Effective
- Very Effective
- Other (please explain): ______________

**Supplement S-3 Resource Allocation Map**

Questions to answer when using the Resource Allocation Map:

**Finance and Mission**
1. Does your project align with the department mission?
2. Are there finances available for this project?

**Market Competitiveness**
3. Does this project address a market trend?
4. Are there internal competencies available to support this project?
Supplement S-4 Critical Success Factors

Supplement S-5 Influencer Model

VitalSmarts Influencer Model
Bibliography


