APPLICATION BRIEF

enterprise records management

Simply an outcome of Information Management best practices

In today's highly regulated corporate environment records management is not a nice-to-have, it is a must have. Records provide the evidence for business transactions (contracts), compliance audits (corrective actions), legal discovery and more. In fact, more and more things are being considered records – who would've thought email conversations would be considered a record?

Records Management was often defined as the management of records which were no longer in everyday use but still needed to be kept – often stored in basements or offsite. The new view is that records management is not just about long-term storage, but rather end-to-end management of information from creation, operational usage, storage and final disposition.

Our approach to records management is an outcome of information management best practices, not driven by a document end of life transactional event where someone declares it a "record." Enterprise records are operational and need to be accessed by the various departments that have separate and distinct responsibilities with specific roles that require independent views of a transaction and resulting record.

With eB, information that must be managed as a record is described within the enterprise information model. As the information is created and managed though the life cycle of change, eB automatically creates secure, auditable records based on this model. The disposition capabilities of eB are exposed via a file plan that defines the policies and rules for storage and disposition. Records are part of the information management process, not an afterthought.

Beyond identifying existing content as records, eB can generate records based on metadata and relationship information within the system. These records produce records provide evidence and an audit trail of information created using the information management system. This can include audit information as well as configuration and relationship information. The capability provides major efficiency, accuracy and productivity improvements over traditional manual methods.

Finally, records management based on information management best practices provides a superior approach to compile information required for compliance audits or litigation purposes over forensic search-based methods. For information not explicitly managed in the information management system, eB can be used to identify, organize and relate information mined with forensic tools. eB's unique capability to model, relate and manage information through change ensures that you have information and associated records that you can trust which can lower or completely eliminate the high cost of discovery and forensic analysis.

The December 2008 issue of the AIIM Infonomics Magazine included an article entitled "Benefits and Implementation of Business-Process Driven Records Management." This independent article, written by records management practitioners, does an excellent job describing the role of records management from an operational business perspective. Access the file at http://tiny.cc/G1HxJ. Access requires registration, but not membership, with AIIM.

From the 2009 AIIM Electronic Records Management Survey:

›› Electronic records are more than twice as likely to be described as "Unmanaged" than paper records.

›› 71% of organizations have a procedure for legal hold of paper records in the event of litigation, but only 57% have one for electronic records.

Enterprise Informatics

case study

Network Rail – A Records Management Case Study

Network Rail runs, maintains and develop Britain's tracks, signaling system, rail bridges, tunnels, level crossings, viaducts and 18 key rail stations. eB is the Configuration Management and Record System that Network Rail uses for these assets.

Background

Prior to a consolidated records management solution, customers had to go to the 11 regional record centers to browse the hard copy of the various records collections. Requests were completed by hand or submitted by email and then finally processed by Network Rail's National Records Group (NRG). From the first customer liaison meetings held by the NRG Consolidation Project team in November of 2007, it became clear that 'online browsing' of the signaling records collection was a fundamental requirement for the NRG Consolidation Project.

Solution

eB (enterprise Bridge) from Enterprise Informatics was key to the successful creation of the NRG. eB Records Management was deployed in early 2008, and records were migrated into the system between March and September, during which there was no drop in service. By the end of September the Records Centre was fully centralized. The functionality provided by eB fulfilled NRG requirements to offer electronic browsing, thus removing the need and cost of customers traveling to the new Records Centre in York.

Although online browsing was the primary requirement of eB for NRG, additional benefits were achieved:

- eB enabled NRG to offer a greater level of self service functionality to its customers by providing the capability for requests to be completed online and submitted in real time to the NRG staff.
- Customers now have the facility to print their own watermarked copies of records they may need from eB without having to submit requests to NRG and then having to wait until the paper copies are physically received, thus reducing the turnaround time.
- Project Managers can now monitor the progress of their project requests online and manage any conflicts, ensuring projects needing priority of signalling records is coordinated more effectively.

Measurable results

eB has played a significant role in the success of the NRG Consolidation Project resulting in a highly regarded Records Management team.

- Since the relocation of NRG to York, NRG have now rolled out eB to 250 external customers (non Network Rail personnel) at 50 different sites, enabling the first phase of NRG's vision of providing a solution that will enable contractors to be able to self serve their requests for as-built records.
- Following the consolidation and the functionality provided by eB, the Service Level Agreement for signalling requests has now been reduced from 42 days to 28 days, although most requests are processed much quicker.
- The number of print requests that would have previously been processed by NRG staff has also been reduced by an average of 30%, as the NRG customers can now print records directly from eB in a controlled manner, as and when needed.