NITC 5-101 (DRAFT)

Technical Panel
of the
Nebraska Information Technology Commission

Standards and Guidelines

Draft Document
30-Day Comment Period

Title: Enterprise Content Management System for State Agencies

Notes to Readers:

1. The following document is a draft document under review by the Technical Panel of the Nebraska Information Technology Commission (NITC). This document is posted at http://nitc.ne.gov/standards/comment/.
2. If you have comments on this document, you can submit them by email to rick.becker@nebraska.gov, or call 402-471-7984 for more information on submitting comments.
3. The comment period for this document ends on January 31, 2011.
4. The Technical Panel will consider this document and any comments received at a public meeting following the comment period, currently scheduled for February 8, 2011. Information about this meeting will be posted on the NITC website at http://nitc.ne.gov/.

State of Nebraska
Nebraska Information Technology Commission
Standards and Guidelines

NITC 5-101 (Draft)

Title	Enterprise Content Management System for State Agencies
Category	Groupware Architecture
Applicability	Standard for all State government agencies, excluding higher education

1. Standard

State Agencies acquiring software to manage multiple types of content from multiple sources or creating workflow around that content, shall as described in Section 2 use the “Enterprise Content Management System” (ECM) that is maintained and hosted by the Office of Chief Information Officer (OCIO).

Agencies must consider using the ECM’s E-Forms software to create, submit and process forms based information for new solutions. Agencies must justify using other technologies and adhere to the exceptions as described in Section 4.

2. Scope of managing content and creating workflow includes the following:

- Capturing paper documents through the use of scanners and storing them in electronic form;
- Capturing all type of content (audio, video, e-faxes, emails, MS Office documents, etc) and storing them in electronic form;
- Electronic searching and retrieval of captured content;

- Automating records retention and archiving;
- Automating business processes through workflow;
- Reducing and/or eliminating paper document storage;
- Creation, submission and processing of Forms based information (E-Forms).

Document management systems fall under the same definition as content management systems.

3. Purpose

The purpose of this standard is to provide State government agencies a single technical solution for:

- Capturing all types of content and storing content electronically;
- Converting and minimizing the number of paper documents the State maintains;
- Facilitate searching and retrieval of electronic documents;
- Retain and dispose of electronic documents based on established document retention policies;
- Improve efficiency and accuracy of exchanging information from State Agency to State Agency, State government-to-external business partners and external business partners to State government and through automated workflow;
- Unify document management in a single system to take advantage of economies of scale.

4. Exception

This standard does not apply to content management systems already in use by an Agency, unless:

- An agency intends to buy significant upgrades;
- An agency intends to buy a significant amount of new modules; or
- An agency intends to do a significant amount of custom development in their existing document/content management system.

For guidance on these points, contact the OCIO.

5. Definitions

5.1 Documents – The State currently utilizes a great deal of paper-based documents. These documents are generated internally from both manual and automated processes. Paper documents also come from external businesses and citizens. Additionally, each paper document is read by a person to determine its purpose, what information it contains, what it is associated with and what should be done with it.

Indexing is a process of extracting the key content of the document and storing that information with the electronic version of the document. The purpose of the index information is to facilitate searching and retrieval of the document and facilitate automating processes using workflow in an agency. The index information can also be used for securing the document as well as to associate multiple documents together.

The ECM will consume paper documents by either using scanners and/or electronic document uploads. The documents can be indexed by automated means using Optical Character Recognition (OCR), Intelligent Character Recognition (ICR) and/or bar codes. The ECM facilitates both automated and manual indexing.

5.2 Processes (Workflow) – For those paper documents that are processed manually, (i.e. from one desk to another, one agency to another, and are dependent on individual organizational skill sets to insure documents are not lost, processed timely, processed accurately and filed correctly) can be greatly improved with automated workflow. Even automated processes that were previous built with little or no integration to other processes can be improved and enhanced as well.

The ECM supplies a framework to allow agencies to easily create flexible automated workflows that can utilize documents or work as independent processes. These automated workflows readily integrate with existing processes.

5.3 Process Monitoring – Managers needing feedback to determine if processes are

moving, where the bottle necks are in the processes, how to reallocate work and how best to resolve process problems, can be greatly improved with automated workflow monitoring.

The ECM includes tools (business application monitoring (BAM)) to facilitate monitoring processes. Mangers can set up dashboards that give real-time views into what is happening in work queues, provide information to reallocate workloads, supply information about personnel performance/activity and easy access to audit activity.

5.4 Physical Document Storage – Physically storing paper documents can occupy large areas of costly office and warehouse space. Finding documents in these storage facilities is labor-intensive and can take hours to days. Stored paper documents are also vulnerable to natural disasters, theft, and water and fire damage.

The ECM can greatly reduce the need to store paper. When a document is scanned into the ECM, an exact “picture” of the paper document is taken. The efficiencies of having documents available immediately can greatly reduce costs and improve efficiencies for staff spending time retrieving the physical documents, delays in finding the physical documents that could impact the customers and clients, floor space, cabinets, transportation and security. The ECM information is stored on the enterprise SAN, the SAN is mirrored to minimize the chance of loss or damage.

5.5 Document Lifecycle Management – The State keeps the majority of paper-based documents around for extended periods of time and control when they get disposed of and the majority of those dispositions are done manually through various un-unified processes.

The ECM has a lifecycle management component that facilitates disposition of electronic documents based on configurable rules.

5.6 Additional Features – The State has audio, video, GIS, CAD, Word, PDF, email and fax information that can not readily be stored in a unified manner with paper documents.

The ECM can store any electronic content. All electronic content can be indexed for search, retrieval, association and security. Once paper documents are scanned into the ECM, they can easily be unified with other electronic content.

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