






**Your Seat at the Purchasing
Table: A Records Management
Point of View**


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OhioERC

- The Ohio Electronic Records Committee identifies best practices and develops resources concerning the creation, maintenance, long-term preservation, and access to the electronic records of Ohio's public entities. The Committee advocates for implementation of, and educates its constituencies regarding, these best practices.
 - Adopted 6/6/2011

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An OhioERC Chronology

partnership

1998/1999/2000

- ERC Formed
- 1st Guidelines
- Email
- Imaging
- Trusted Information System Handbook

2004

- Bylaws

2010/2011

- Seminars
- Mission

2012...

- Tip Sheets
- Implement new management plan
- New tools

Goal: to develop guidelines and best practices for the creation, maintenance, and long term preservation of and access to electronic records for Ohio state and local governmental agencies and other organizations

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OhioERC Membership

ERC

State

RIM

Higher Ed

ARV

Local

IT

K-12


Policy

Hist Soc

State

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OhioERC Structure




- Chair
- Vice Chair
- Membership Committee
- Secretary
- Past Chair
- State Archivist

- Bylaws
- Procedures
- Social Media
- Etc.

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Existing Guidance




- Case for Managing Electronic Records
- Cloud Computing
- Databases as Public Records
- Digital Document Imaging
- E-mail Management
- General Schedule for Electronic Records
- Hybrid Microfilm Guidelines
- Recordkeeping System Procurement (2015)
- Trustworthy Information Systems
- Social Media
- Web Content

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Why do we manage records?



- Legal
- Fiscal
- Administrative
- Research
- Historical

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What is an RFP?


“Request for Proposal” (RFP)...

- ...is a tool used to solicit responses, information, and pricing on commercial solutions for a variety of workplace systems and software.

Related documents...


- RFI: A Request for Information
- RFQ: A Request for Quote
- RFQ: A Request for Qualifications
- RFB: Request for Bid

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Who's at the table?

- Archivists/Records Managers
- Subject Matter Experts
- IT/Systems administrators
- Administrative Sponsor(s)/Champion(s)
- Purchasing
- General Counsel




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Identify Needs...

- Business Process Analysis (BPA)
- Prior to specifying/selecting a system, conduct a workflow and records analysis:
 - ...opportunity to reengineer business process for operational efficiency...
 - ...ID & document existing and planned agency information needs...
 - ...determines recordkeeping needs...




<http://www.machssoftware.com>

<http://OhioERC.org>




Identify Needs...

- Capture
- Storage
- Access, Search and Retrieval
- Records/Lifecycle Management
- User Management
- Compliance
- Security
- Training and support
- Export for migration and archival preservation




Courtesy of the Hamilton Computing Laboratory

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...and not just for Imaging/EDMS...


- By not making, keeping & managing business systems records, organizations can:
 - place themselves at significant risk
 - incur unnecessary expenditure, and
 - deny themselves access to significant, reliable organizational information.
- Therefore it is worth dedicating time and resources to ensuring that where they are required to do so, business systems are also meeting recordkeeping requirements.



<http://bit.ly/OhioERCeRecSystemChecklist>


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Elements of a good RFP...

- information about the organization, its purpose and a centralized point of contact
- describe the need for the proposed system
- number and location of expected users
- a request to explain licensing options (individual users, concurrent users, and enterprise)
- the functional requirements




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Elements of a good RFP...

- a request for a matrix to map the functional requirements to proposed software components/modules
- how to prepare and submit proposals
- information regarding a bidders meeting
- timetable for response and evaluation
- Product demonstration requirements for finalists
- scoring rubric





<http://bit.ly/OhioERC-TS-RFP>


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Evaluating Responses...

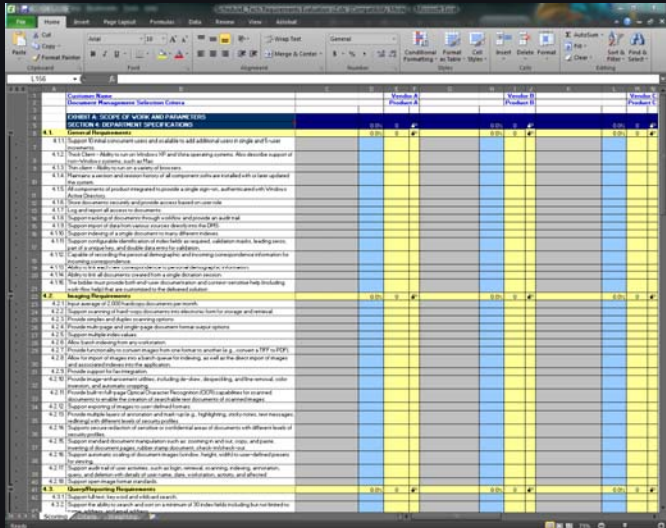



- Evaluate against criteria established in the RFP
 - Mandatory vs. Preferred
 - High vs. Low priority
- Select finalists
- System demonstration/testing to and by appropriate users and administrators
- Notify winner, as well as those who were not selected
- Set aside adequate time to negotiate the final contract
- References/Bidder Stability
- MWOB requirements




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Evaluation Tools Example...



The screenshot shows an Excel spreadsheet titled "Contract & P&S Requirements - Attachment 1 - Contract & P&S - Attachment 1 - Attachment 1.XLSX". The spreadsheet has columns for "Criteria", "Response 1", "Response 2", "Response 3", and "Response 4". The criteria listed include:

- 4.1.1 System shall support users and available to add additional users in single and/or user
- 4.1.2 System shall be able to run on Windows XP and other operating systems. Also describe support of other operating systems, such as Mac.
- 4.1.3 System shall be able to run on server environments.
- 4.1.4 System shall require a minimum of 4GB of RAM and 10GB of free space on the hard drive.
- 4.1.5 System shall be able to run on a single server or multiple servers.
- 4.1.6 System shall be able to run on a single server or multiple servers.
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- 4.1.100 System shall be able to run on a single server or multiple servers.



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Evaluation Tools Example...

The screenshot shows an Excel spreadsheet titled "ScheduleE_Tech Requirements Evaluation v2.xls". The spreadsheet is organized into several sections:

- Evaluation Criteria Rating Values:**


A. Out-of-the-Box (current)	11
B. Requires Configuration	7
C. Requires Development	3
D. Next Release	1
E. Unsupported	0
- Security Criteria Rating Values:**

F. Explanation provided	7
G. No/Incomplete explanation	0
- Requirement Weighting Values:**

A. Must Have	7	A requirement for which there are no work-arounds, a show-stopper if not met
B. Should Have	5	A requirement for which there are work-arounds, not a show-stopper
C. Nice to Have	1	Not a requirement, but offers added value to the overall solution
- Harvey Ball Evaluations:**

<input type="radio"/>	90%
<input type="radio"/>	65%
<input type="radio"/>	35%
<input type="radio"/>	10%
<input type="radio"/>	0%

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Evaluation Tools Example...

The screenshot shows a detailed evaluation table for "Business Capability". The table includes the following data:

	overall weight	Business Capability				Perfect Score
		General	Use Case 1	Use Case 2	Use Case 3	
EXHIBIT A: SCOPE OF WORK AND PARAMETERS						
SECTION 4: DEPARTMENT SPECIFICATIONS						7986
4.1. General Requirements						1045
4.1.1. Support 10 initial concurrent users and scalable to add additional users in single and 5-user increments.	7	A. Must Have	7			77
4.1.2. Thick Client – Ability to run on Windows XP and Vista operating systems. Also describe support of non-Windows systems, such as Mac	7	A. Must Have	7			77
4.1.3. Thin client - Ability to run on a variety of browsers.	5	B. Should Have	5			55
4.1.4. Maintains a version and revision history of all component software installed with or later updated the system.	5	B. Should Have	5			55
4.1.5. All components of product integrated to provide a single sign-on, authenticated with Windows Active Directory.	5	B. Should Have	5			55
4.1.6. Store documents securely and provide access based on user role	7	A. Must Have	7			77
4.1.7. Log and report all access to documents.	7	A. Must Have	7			77
4.1.8. Support tracking of documents through workflow and provide						

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Evaluation Tools Example...

Criteria	Current Status	Score
Customer Name	Vendor A	
Document Management Selection Criteria	Product A	
EXHIBIT A: SCOPE OF WORK AND PARAMETERS		
SECTION 4: DEPARTMENT SPECIFICATIONS		
4.1. General Requirements		1.0%
4.1.1 Support 10 initial concurrent users and scalable to add additional users in single and 5-user increments.	A. Out-of-the-Box (current)	77
4.1.2 Thick Client – Ability to run on Windows XP and Vista operating systems. Also describe support of non-Windows systems, such as Mac		11

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Evaluation Tools Example...


Criteria	Current Status	Score
EXHIBIT A: SCOPE OF WORK AND PARAMETERS		
SECTION 4: DEPARTMENT SPECIFICATIONS		11.1% 887
4.1. General Requirements		84.9% 887
4.1.1 Support 10 initial concurrent users and scalable to add additional users in single and 5-user increments.	A. Out-of-the-Box (current)	11
4.1.2 Thick Client – Ability to run on Windows XP and Vista operating systems. Also describe support of non-Windows systems, such as Mac	B. Requires Configuration	7
4.1.3 Thin client – Ability to run on a variety of browsers.	C. Requires Development	3
4.1.4 Maintains a version and revision history of all component software installed with or later updated the system.	D. Next Release	1
4.1.5 All components of product integrated to provide a single sign-on, authenticated with Windows Active Directory.	C. Requires Development	3
4.1.6 Store documents securely and provide access to documents.	of-the-Box (current)	11
4.1.7 Log and report all access to documents.	of-the-Box (current)	11
4.1.8 Support tracking of documents through the system.	of-the-Box (current)	11
4.1.9 Support import of data from various systems.	of-the-Box (current)	11
4.1.10 Support indexing of a single document.	of-the-Box (current)	11
4.1.11 Support configurable identification of documents using a unique key, and double data entry.	of-the-Box (current)	11
4.1.12 Capable of recording the personal and business correspondence.	of-the-Box (current)	11
4.1.13 Ability to link each new correspondence to the previous correspondence.	of-the-Box (current)	11
4.1.14 Ability to link all documents created in the system.	of-the-Box (current)	11
4.1.16 The bidder must provide both end-user and administrator help that are customized to the department.	of-the-Box (current)	11

Product A

11.1%	887	⊖
84.9%	887	⊕
	11	
	7	
	3	
	1	


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Recap...




- Seats at the table...
- Identify needs...
- Develop RFP...
- Evaluate responses
- Implement system...

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Recap...



Handouts on Jump-drives

- OhioERC-DRMS-Implementation-2015-Handouts [PDFs]
- OhioERC-YSatPT-20151028-Handouts [PDFs]
- OhioERCeRecSystemChecklist.xlsx
- OhioERC-TS-at-the-table.pdf
- OhioERC-TS-case-for-ERM.pdf
- OhioERC-TS-hybrid-microfilm.pdf
- OhioERC-TS-imaging.pdf
- OhioERC-TS-RFP.pdf
- OhioERC-TS-unique-characteristics.pdf

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