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- 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

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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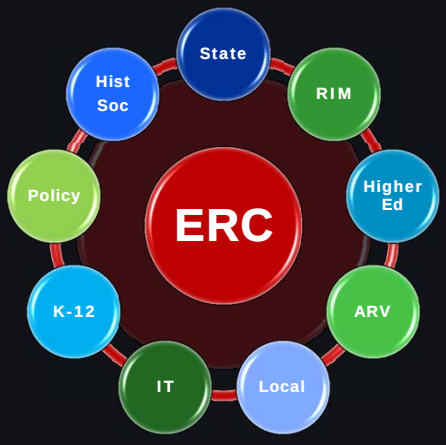
OhioERC Membership



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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…

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Identify Needs…

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

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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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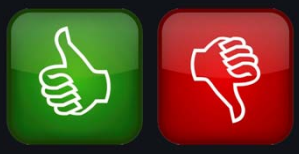
Evaluating Responses…



- 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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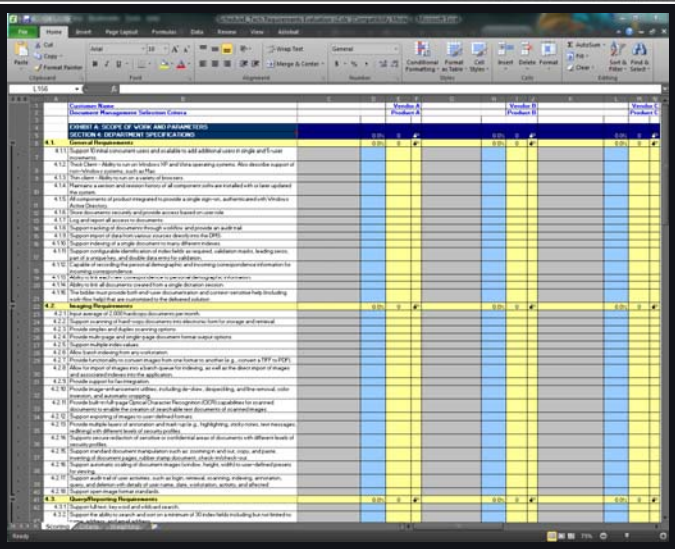
Evaluation Tools Example…



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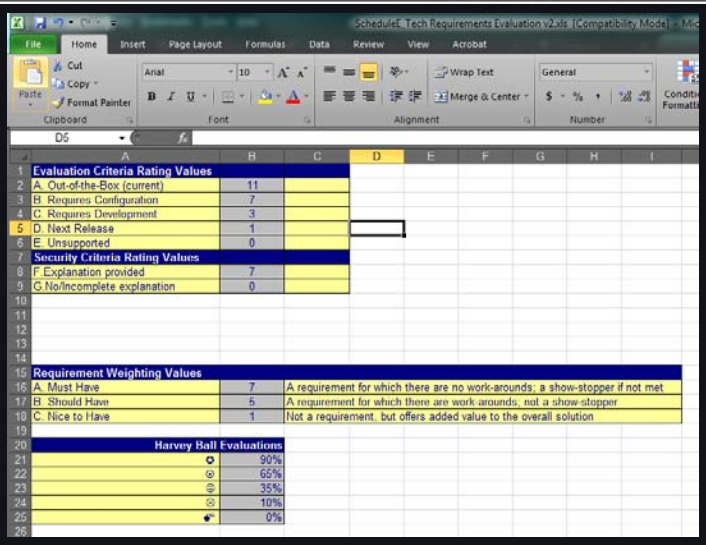
Evaluation Tools Example…



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			
	90%		
	65%		
	35%		
	10%		
	0%		

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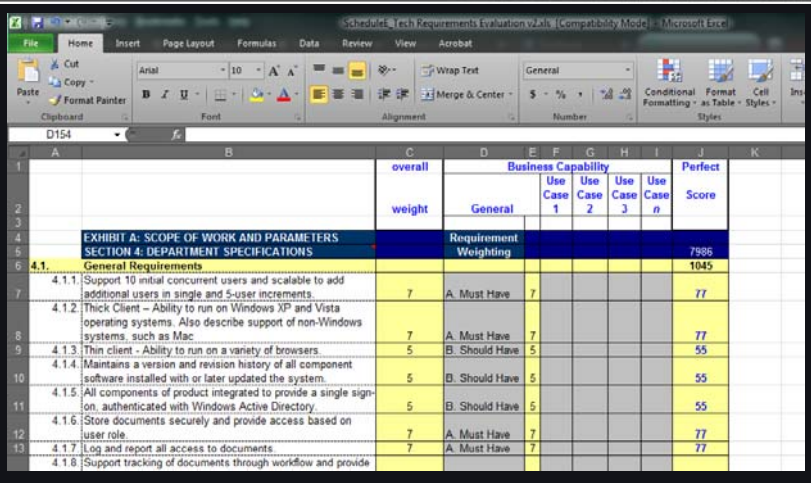
Evaluation Tools Example…



		overall	Business Capability					Perfect
		weight	General	Use Case 1	Use Case 2	Use Case 3	Use Case n	Score
	EXHIBIT A: SCOPE OF WORK AND PARAMETERS							
	SECTION 4: DEPARTMENT SPECIFICATIONS		Requirement Weighting					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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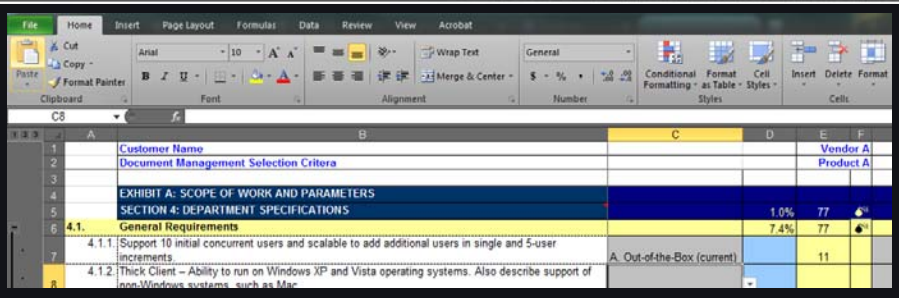
Evaluation Tools Example…



1		Customer Name			Vendor A
2		Document Management Selection Critera			Product A
3					
4		EXHIBIT A: SCOPE OF WORK AND PARAMETERS			
5		SECTION 4: DEPARTMENT SPECIFICATIONS		1.0%	77
6	4.1.	General Requirements		7.4%	77
7	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
8	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			

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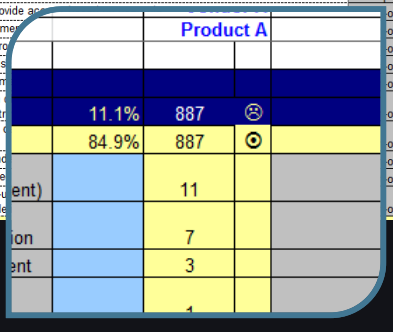
Evaluation Tools Example…

4		EXHIBIT A: SCOPE OF WORK AND PARAMETERS			
5		SECTION 4: DEPARTMENT SPECIFICATIONS		11.1%	887 ☹
6	4.1.	General Requirements		84.9%	887 ⊙
7	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
8	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
9	4.1.3.	Thin client - Ability to run on a variety of browsers.	C. Requires Development		3
10	4.1.4.	Maintains a version and revision history of all component software installed with or later updated the system.	D. Next Release		1
11	4.1.5.	All components of product integrated to provide a single sign-on, authenticated with Windows Active Directory.	C. Requires Development		3
12	4.1.6.	Store documents securely and provide ac	of-the-Box (current)		11
13	4.1.7.	Log and report all access to docume	of-the-Box (current)		11
14	4.1.8.	Support tracking of documents thro	of-the-Box (current)		11
15	4.1.9.	Support import of data from various	of-the-Box (current)		11
16	4.1.10.	Support indexing of a single docum	of-the-Box (current)		11
17	4.1.11.	Support configurable identification a unique key, and double data entr	of-the-Box (current)		11
18	4.1.12.	Capable of recording the personal incoming correspondence.	of-the-Box (current)		11
19	4.1.13.	Ability to link each new correspond	of-the-Box (current)		11
20	4.1.14.	Ability to link all documents create	of-the-Box (current)		11
21	4.1.16.	The bidder must provide both end-u help) that are customized to the de	of-the-Box (current)		11



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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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