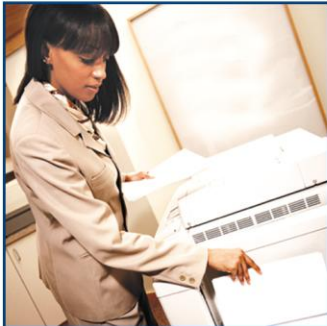


IKON Professional Services



**Document Workflow
Assessment**

**Findings &
Recommendations**



**ESU 3
April 23, 2010**



**Document Efficiency
At Work.[®]**

A RICOH COMPANY



Table of Contents

Executive Summary	1
Findings	2
Payroll	2
Recommendations	5
Key Enterprise Requirements	5
Key Technical Requirements	6
Key Department Requirements	7
Summary	11
Your feedback is requested!	11



Findings and Recommendations

Executive Summary

Project Overview

IKON Office Solutions conducted a **Document Workflow Assessment** at your site on ESU 3 processes and workflows. Specifically, the goal of this assessment was to identify processes and functions within the Payroll department and to make recommendations on the RFP process in ESU 3's electronic document management system (EDMS) initiative.

Area of Study

The following departments were interviewed:

- Payroll department

Tools Employed

IKON used the following tools and methods in gathering the information for this report:

- Focus Interviews with IT and Payroll
- On site observation of related Payroll process flows
- AIIM Standard ARP1-2009 (Recommended Practice for EDMS Analysis)



Findings and Recommendations

Findings

Payroll

Identified Document Workflows:

- Employee File Documents
- Payroll Reporting Documents

Areas of opportunity:

- Employee file and payroll reporting documents are currently kept in paper form. Many of the document types must be kept for different periods of time. This leads to an increasing filing burden and physical footprint for these documents. By scanning and storing these documents electronically, the physical space they occupy can be reclaimed.
- Certain employee payroll document types are created within ESU 3 and could have a barcode added to them to reduce the data entry effort of scanning paper documents.
- Payroll reporting documents are produced from the FinancePlus system and could be saved as PDF into an EDMS thereby eliminating paper copies all together.

Estimated paper in the Payroll department:

Paper Estimates for Backfile Scanning	File drawers	Boxes	Page Estimate*
Termed substitute employees	4		8,000
Termed regular employees	6		12,000
Active regular employees	8		16,000
Active substitute employees	7		14,000
Active rater employees	2		4,000
Payroll reports	1		2,000
Termed employees (in storage)		15	21,600
Payroll reports (in storage)		42	60,480
Total estimated pages			138,080
Estimated digital storage for 138,000 pages**			13 GB

*Page estimates calculated using U.S. Department of Energy methods found at: <http://eetd.lbl.gov/paper/index.html>

**Storage estimate calculated using 8x11 page scanned at 300 dpi.



Findings and Recommendations

High level current process overview for “Employee Files”

Paper documents are received by Payroll personnel. Information from the documents is entered into FinancePlus and the document is filed in the employee’s folder. Electronic documents (PDF, Word, etc.) are received via email by Payroll personnel. Information from the documents is entered into FinancePlus and the document is printed and filed in the employee’s folder.

Paper employee documents are received during the course of business



Electronic employee documents are received during the course of business

Information is entered into FinancePlus

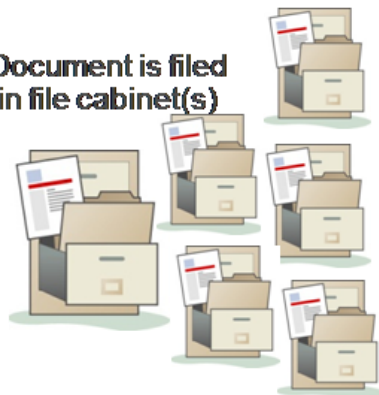


Current “Employee File” Document Filing Process

Optional: if document does not exist in paper form, it is printed



Document is filed in file cabinet(s)





Findings and Recommendations

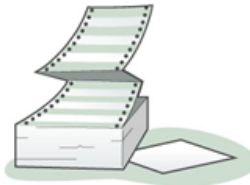
High level current process overview for “Payroll Reporting”

Reports are printed from FinancePlus on a monthly, quarterly or yearly basis. These reports are then filed in the appropriate Payroll Reports folder.

Monthly, quarterly
and yearly payroll
reports are
created in
FinancePlus



Reports are
printed



**Current “Payroll
Reporting”
Document Filing
Process**

Reports are filed
in file cabinet(s)





Findings and Recommendations

Recommendations

IKON recommends ESU to consider the following requirements in their EDMS RFP.

Key Enterprise Requirements

Listed below are key enterprise requirements that ESU 3 will need to evaluate as part of any document management solution.

1. Document Management
 - a. Scanning/Imaging
 - Good image quality (200 dpi or above)
 - Current MFD's are Konica with upgrade coming within the year
 - Optional direct integration with MFD
 - Barcode scanning for document identification
 - b. Library/Archive
 - Identify and search for content based upon document type
 - Support concurrent system usage
 - Reporting services (method to analyze data)
 - Security based access for Group and User (using AD)
 - Grant/deny document viewing, editing and deletion
 - Audit capability – access and modification auditing
 - Document export (for auditor review purposes)
 - Ability to full text search documents
 - Ability to index and search for documents using these field types:
 - Freeform text
 - Drop down list
 - Date fields
 - Document redaction
2. Systems Management
 - Self managed (do not want to pay for vendor to manage system)
 - System and software will be housed at ESU 3 (no SaaS)
3. Records Management
 - Automatic disposition of documents based upon type and age
4. Electronic Document Management
 - The ability to save system reports (PDF) into EDMS
5. Workflow
 - Future use
 - Add notes to a workflow document



Findings and Recommendations

- Reducing process duplication across departments
 - Audit capability
 - User and admin interfaces web based
 - Sample workflows
 - New Employee on boarding
 - New vendor setup
 - Travel requests
6. Electronic Forms
- Future use
 - Web based
 - Ad integration

Key Technical Requirements

Listed below are key technical requirements that ESU 3 will need to evaluate as part of any document management solution.

1. Database technology preferred SQL Server 2005
 - Must be capable of complete separation of data. (multiple databases)
2. Capable of active directory authentication with multiple domains
3. Capable of LDAP authentication
4. Work with HP EVA 6000 SAN for content storage
5. Web technology based upon standard web platform (IIS, Apache)
6. Supported Platforms
 - Windows XP Pro, Vista and 7 with Internet Explorer 7 & 8 OR FireFox 3
 - Mac OS X 10.4 (and above) with Safari 4 OR FireFox 3
7. User interfaces
 - End user (typically searching, viewing, emailing and printing documents)
 - Zero foot print web access client for user activities (requires no additional software installed on the pc, including activex controls)
 - Power user (all rights of end user plus scanning, indexing, deleting, records administration)
 - Desktop client and/or web access client for user activities (may require additional software installed on the pc, including activex or similar technology)
 - Administrative user (system administration and maintenance)
 - Zero foot print web access for administrative activities ((requires no additional software installed on the pc, including activex controls)
8. Sungard Pentamation Finance Plus “screen scrape” integration. (Finance Plus is a Windows client application). Provide the ability to search for documents using data from within the Finance Plus user interface.



Findings and Recommendations

9. Document search and view via SharePoint WSS and MOSS 2007 (or above)
10. Document search and view via Office 2007 interfaces
11. Email system integration via SMTP. ESU 3 email system is Exchange 2007.

Key Department Requirements

The Payroll department will be the initial “pilot” department on the EDMS. Their specific requirements are outlined below.

1. Scanning Requirements

Payroll will require one desktop scanner meeting the following criteria:

- Scan speed 20-30 ppm at 300 dpi (letter size)
- Scan B&W and Color with image enhancement support
- Document sizes business card (2”x3”) – legal (8.5”x14”)
- Support TWAIN and/or ISIS drivers
- USB 2.0 connection
- Daily duty cycle of up to 3,000 pages

2. Document Library (archive) Requirements

Payroll will require an EDMS capable of storing scanned and electronic files in two separate document archives; Employee File and Payroll Reports. Document will need to be searchable based upon any combination of their index fields as well as its full text. Document redaction is also a desired functionality.

Employee File Document Archive

Documents stored in the Employee File document archive will have the following data associated with them. These documents are primarily paper based and will require scanning and indexing.

	Description
First Name	Text field – Employee first name
Middle Initial	Text field – Employee middle initial
Last Name	Text field – Employee last name
Employee ID	Text/numeric field – Unique ID (from FinancePlus) not ssn
SSN	Numeric fields – Social Security Number (hidden/masked from all but Payroll users)
DOB	Date field – Date of Birth (mm-dd-yyyy)
Department	Drop down list field – Choice of departments.
Document Type	Drop down list field – Choice of document types listed below. I-9 I-9 Form



Findings and Recommendations

	<p>Picture ID ID</p> <p>Payroll</p> <p>New employee information sheet W-4 Social Security Card W-2 Direct Deposit Form 403(b) Enrollment Flex Fund Election State Withholding Form Employee Change Forms Retirement Beneficiary Retirement Non-Contributing Member Form Vesting Form – Retirement 7% Exemption Form - Retirement Salary Notification Correspondence Time Sheets (?????????) Garnishment Notification</p> <p>Health</p> <p>FMLA</p> <p>Application for Leave Certification of Health Care Provider Notice of Eligibility and Rights & Responsibilities Designation Notice</p> <p>Health Insurance Enrollment BCBS Enrollment Form BCBS Supplemental Information</p> <p>Life Insurance Enrollment Long Term Disability Supplemental Insurance and Vision Work Compensation Bi annual CORBA notification Letter CORBA elections</p> <p>Criminal Background</p> <p>Authorization for NE and IA Child Abuse Registry Background check results</p> <p>Personnel Section</p> <p>Employee Handbook Sign off Sheet Teaching certificate Professional License Transcripts</p>
--	---



Findings and Recommendations

	Certificate Agreement Restricted certificate agreement Evaluation Authorization for work completed outside of ESU3 Application Sexual Harassment and Drug Free Work place Signoff Teacher Contract Correspondence Resume` Letters of Reference Teaching Credentials Horizontal Movement Request Confidentiality Agreement Unemployment – Request to Employer for Separation Information Attendance Leave Requests
Notes	Text field – Freeform notes about document.

Payroll Reports Document Archive

Documents stored in the Payroll Reports document archive will have the following data associated with them. These documents are primarily electronic and generated from FinancePlus as PDF.

Data Field	Description
Month	Drop down list field – Choice of months.
Year	Numeric field – year of report.
Document Type	Drop down list field – Choice of document type listed below. Pay Register Check Register Payroll Files Report Pre Calculation Journal Exceptions Payroll Journal Deduction Register Deduction Summary Deduction Summary by Vendor Organization Charge Summary Organization Charge Summary – Totals Report Benefit Charge Summary Employee Benefit Charge Summary Projects Summary Total Report Direct Deposit Report Batch Payable Edit Report



Findings and Recommendations

	941 Report 941N Report Unemployment Report Retirement Contribution Report Life Insurance Census Long Term Disability Census Employer Monthly Premium Report BSBC Premium Invoice W-2 W-2 Transmittal Confirmation W-3 Federal Tax Deposit Confirmation State Tax Deposit Confirmation Retirement Monthly Retirement Report Garnishment Remittance Time Sheets
Notes	Text field – Freeform notes about document.

3. Integration Requirements

Payroll will require the ability to search for documents from within the FinancePlus user interface. For example, when viewing an employee’s information within FinancePlus, the user can select a hotkey to will open an additional window to view the specific employee’s archived documents.

4. Backfile Scanning Requirements

Payroll will require backfile scanning of Employee Files and Payroll reports. There are approximately 76,000 pages of employee files and 62,000 pages of payroll reports that need to be scanned into the EDMS. They will need to be indexed according to the specifications above with the possibility of the document type structure being simplified. Document sizes range from statement size (5.5”x8.5”) to green bar (15”x11”). All document preparation, scanning, equipment and labor will need to be provided by the vendor.

- Employee File backfile scanned documents will need to be indexed by First Name, Middle Initial, Last Name, Social Security Number and DOB.
- Payroll Reports backfile scanned documents will need to be indexed by Month, Year and Document Type.



Findings and Recommendations

Summary

ESU 3 contracted IKON to help identify areas of opportunity within the organization to implement an Enterprise Document Management System. The need for an EDMS is evidenced by the large volumes of physical documents stored and the effort involved in retrieving individual documents.

IKON has identified in this report specific requirements ESU 3 may use to evaluate technology within the EDMS RFP process. As part of the selection process, IKON recommends narrowing the field to 3 top choices. These 3 vendors can be invited to showcase their products using sample documents and requirements provided in section 7 of the provided RFP template.

Based upon the requirements IKON recommends the following approach to an EDMS implementation.

Phase 1:

Core system functionality including Document Imaging, Document Library, FinancePlus integration and Records Management required for setting up Payroll (and similar departments). Evaluate business need for integration points with other systems (SharePoint, Office).

Phase 2:

Add additional Workflow and Electronic Forms components to streamline business processes in HR, Financial Services or other departments.

Your feedback is requested!

IKON desires to continuously improve its people, processes and methodologies. Any feedback about this assessment and its deliverables, good or bad, can be shared with Chris Ryne, Manager of Professional Services. He can be reached at cryne@ikon.com.