

# City of Commerce City

CC RIM PROGRAM PHASE 2 ROADMAP REPORT

V3 FINAL

*Prepared by Dr. David E. Lady*

*DAXEON Corp*

---

August 2016

# Contents

<b>CONTENTS.....</b>	<b>2</b>
<b>REVISION HISTORY.....</b>	<b>4</b>
REVISIONS FOR VERSION 2.....	4
REVISIONS FOR FINAL VERSION V3 .....	4
<b>INTRODUCTION.....</b>	<b>5</b>
EXECUTIVE SUMMARY .....	5
<b>PROBLEM STATEMENT .....</b>	<b>10</b>
TRUSTED TECHNOLOGY .....	10
ORGANIZATIONAL MATURITY .....	13
<b>VISION STATEMENT.....</b>	<b>18</b>
OUTCOME MEASUREMENTS .....	19
<b>SCOPE.....</b>	<b>21</b>
PROJECT PHASES .....	21
FINANCIAL SCHEDULE .....	23
OVERALL IMPACT BY DEPARTMENT .....	24
NEW CONCEPTS .....	25
<i>ERP is short for Enterprise Resource Planning.....</i>	25
<i>ISP is Short for Internal Service Provider .....</i>	25
SCOPE REQUIREMENTS BY MATURITY AREA .....	26
<i>Accountability.....</i>	26
<i>Integrity.....</i>	26
<i>Protection.....</i>	26
<i>Retention.....</i>	27
<i>Disposition.....</i>	27
<i>Transparency .....</i>	27
<i>Compliance.....</i>	28
<i>Availability .....</i>	28
SCOPE BY CITY FUNCTION.....	30
SCOPE BY TECHNOLOGY .....	32
PROJECT TRACKS .....	33

<i>Org Structure Track</i> .....	33
<i>Training Track</i> .....	33
<i>Tech Track</i> .....	34
<i>Policy Track</i> .....	34
<i>Process Track</i> .....	34
PHASE 1: COLLABORATION, ACCOUNTABILITY, AND COMPLIANCE .....	35
<i>Phase 1 Scope Requirements</i> .....	37
<i>Department Impacts</i> .....	39
PHASE 2: RECORDS SYSTEMS, INTEGRITY, PROTECTION.....	40
<i>Phase 2 Scope Requirements</i> .....	41
<i>Department Impacts</i> .....	42
PHASE 3: ORGANIZATION PROCESSES .....	43
<i>Shared Services Design</i> .....	44
<i>Phase 3 Scope Requirements</i> .....	47
<i>Department Impacts</i> .....	47
PHASE 4: SHARED SERVICES, AVAILABILITY, TRANSPARENCY .....	48
<i>ERP Systems</i> .....	49
<i>Implementation Success Measurements</i> .....	50
<i>Phase 4 Scope Requirements</i> .....	51
<i>Department Impacts</i> .....	53
<b>NEXT STEPS</b> .....	<b>54</b>
<b>INTERNAL QA REVIEW</b> .....	<b>55</b>
RANDELL ORNER, PH.D., MBA, MS, LBC.....	55
REVIEW TYPE: METRICS AND ORGANIZATIONAL CHANGE .....	55
NAME OF REVIEWER: ERIC BRAUNSTEIN, M.ED., BA .....	59
REVIEW TYPE: TRAINING AND ORGANIZATIONAL CHANGE .....	59

## Revision History

---

### Revisions for Version 2

- Added language in the Executive Summary explaining how the proposed project phases relate to CMM model levels and where within the plan the organization should be CMM level 3
- Removed capitalization and added the term 'services' within the organizational contradictions and other sections to remove confusion between Organizational Structure and organizational processes
- Removed the 'building block' style parentheticals in the list Vision Statement Goals and identified lists as sequential where they are intended to be sequential
- Added a new heading for Outcome Measurements in the Vision section to correctly identify the final section of the chapter
- Updated shared services map to show Time Sheets as a Financial function (Note, typically time sheets are an HR function and finance is responsible for the corresponding Payroll processes)
- Added correct acronym nomenclature for Information Governance (IG)
- Changed City Clerk to 'a records designee appointed by the City Manager' for the chair of the proposed governance committee
- Added RACI breakdown of the proposed governance committee
- Added in cost analysis for additional FTE staff as well as including the ongoing software maintenance burden

### Revisions for FINAL Version v3

- Addressed a few typos found on final proof

# Introduction

---

## Executive Summary

A roadmap is a management forecasting tool that serves as a means to ensure investments and activities align to the organizational strategy, administrative direction, and ongoing market development needs. It is a broad organizational enterprise needs assessment, process deep dive, and environmental scan of the organization, the market, and available and emerging best practices and tools.

This roadmap is designed to improve the City administrative capabilities concerning records management. To do so, organizational tools, design, and processes need to be addressed alongside pure records keeping practices. These improved capabilities will enhance City operations, improve organizational transparency, and allow the City to focus on its agency mission with a greater set of administrative capabilities.

The work outlined in this document proposes the budget allocation of between \$350k and \$850k over the next three operating years. Please note that this estimate is based upon a market scan of typical costs for the proposed types of tools, training, and process changes, and the best organizational data available at the time of estimation. It is possible that market conditions will change affecting cost estimates or that the process of creating RFP documents will disclose substantively meaningful data not available at the time of this estimation.

It is intended that this document and the accompanying Microsoft PowerPoint be seen as a complimentary addendum to the overall City administrative strategy, providing an organizational process, structure, and infrastructure plan to assist in the fulfillment of that overall strategy.

The City today is operating at an overall organizational maturity of Level 2 concerning the GARP maturity model. The GARP model is a detailed review of City record keeping processes scored against eight different criteria:

- **Accountability** - Clear understanding of who is responsible for what and how.
- **Transparency** - Understandable activities with documentation and appropriate availability.
- **Integrity** - Records have a reasonable and suitable guarantee of authenticity and reliability.
- **Protection** - Protection of records and information that are private, confidential, privileged, secret, or essential.
- **Compliance** - Comply with applicable laws and other binding authorities, as well as the organization's policies.
- **Availability** - Ensures timely, efficient, and accurate retrieval of needed information.
- **Retention** - Maintain records for an appropriate time taking into account legal, regulatory, fiscal, operational, and historical requirements.
- **Disposition** - Secure and appropriate disposition for records that are no longer required to be maintained.

Each of the criterion is scored using a five-point model, and the organization level is scored as a simple average.

Scores
<b>Transformational</b> (best in class example to others)
<b>Proactive</b> (aware and adaptable)
<b>Essential</b> (basic capabilities)
<b>In Development</b> (pockets of good ideas)
<b>Sub-Standard</b> (ad-hoc)

Organizations at Level 2 contain pockets of good ideas but does not perform formally across the enterprise, this level also denotes organizations that are operating with substantial risk exposure due to the mismanagement of information and records, including but in no way limited to personally identifiable information. The City is also vulnerable to internal disgruntled information attacks and has no defenses concerning malicious alteration of records and overall records integrity.

Scores
<b>Transformational</b> (best in class example to others)
<b>Proactive</b> (aware and adaptable)
<b>Essential</b> (basic capabilities)
<b>In Development</b> (pockets of good ideas)
<b>Sub-Standard</b> (ad-hoc)

Upon completion of the road map the City will be operating as a Level 4 organization concerning the GARP maturity model.

There is the option within the plan to pause at the end of phase 3 and not pursue the ERP system and shared services model. The tasks associated specifically with project phase 4 are identified as decision points within the overall scope requirements. Pausing at the end of phase 3 would establish enough improvements within the organization to presumably operate at CMM level 3. While an option, our detailed analysis of the organization suggests to us that, given the growth in front of the City, not maturing

the organization to CCM level 4 would leave several operating risks not addressed, and would NOT position the City for efficient operational spending and efficiencies found in economies of scale.

Comparatively, organizations operating at CMM level 4 are aware of how information and records are used throughout operations, have reasonable controls in place to protect against identified risks, and can adapt to new situations and new calls for action within their

constituents via a focus on the issues at hand, not a focus on the cycle time and administrative burden of addressing the call to action.

The sequence of the roadmap considers the needs of the organization and actions to be taken to address them in the context of business priority, technology complexity & logistics, resource coordination, cost/benefits, business training, and business change management. The roadmap suggested for the City consists of five total project tracks over four project phases, each addressing a business need, and building a consistent platform leveraged in subsequent tracks. It is also critical that each track will have a detailed requirement and planning component to ensure proper business / technology alignment and address any inconsistencies, errors, or omissions in preliminary roadmap assessments.

The roadmap presented in the following pages provides a number of benefits to the City. First, it provides an enterprise strategic operating plan that positions the City for the long-term success aligned to the overall City strategic administrative plan. It does this by improving the organization maturity concerning each of the eight core records management indicators as well as integrating an internal service provider model into City daily operations. The benefits of this style of organization structure are well documented and meaningful.

Second, executing this roadmap will deliver reengineered processes and market-driven technology that enables the City to create and deliver additional value to its various constituents, both internally and externally. It does this by focusing on technical capabilities concerning administrative collaboration, core service processes, and by repositioning records storage and retrieval around efficient best practices, reducing the clerical burden of CORA and other visible measurable records requirements.

This roadmap is directly linked to the City shared administrative vision of becoming a more sophisticated organization, and is also aligned to individual department's business needs and business goals as collected during the extensive research process. As a roadmap, this is a



flexible future “blueprint” that will serve as the foundation for future planning and investments in the records and internal services space. While the blueprint may evolve over time, this serves as a clear baseline and foundation for the approach used by the City. A key to the blueprint is the idea of pulling substantial complexity, in the way of redundant technology and unorganized business processes, out of the internal service provider environment. This will reduce the variety and diversity of City technology while simultaneously streamlining core processes, thus providing opportunity for positive cost variances in both annual support costs, and engineering cycle time for new implementations.

This roadmap is also a logical, controlled plan for transitioning the City from the current micro-focus environment to a future environment that balances short-term benefits with long-term, strategic benefits outlined in the City strategic values. The processes and controls recommended are important to continually ensure alignment between constituent goals and strategies and the administrative approach required to support them as the organization grows and changes. Also, the recommended controls are important to provide and take advantage of opportunities to lower costs by better leveraging existing assets – both technology assets and business assets.

Finally, this roadmap provides processes and structure for more consistent business process planning, which we recommend be established and continued as an efficient and effective means to assess, plan for, and manage the impact of change to the organization. Only through the ongoing ever-greening of the roadmap can the City ensure the maximum return on expenditures by prioritizing initiatives in the context of the broader enterprise and continually maximizing the responsiveness to the evolving direction of the organization.

## Problem Statement

---

The City's RIM Program has not grown in sophistication with the growth of the community and does not align with the City's administrative vision of becoming a more sophisticated organization. Records and information management is currently decentralized, and there are numerous shadow systems and processes. This has resulted in breakdowns in communication, great difficulty in retrieving essential informational and records, and potential substantive risk exposure due to uncontrolled modification or dissemination to what should be controlled City information.

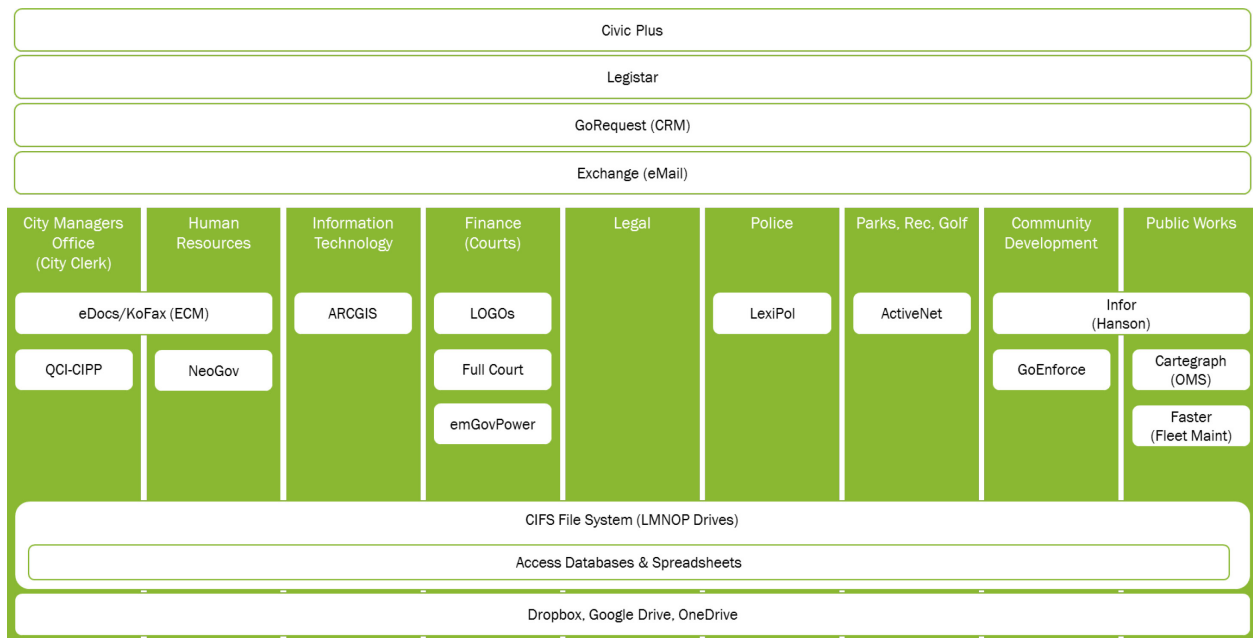
The City's growth, the 2K voter-approved parks, recreation and transportation projects, and other capital construction projects will have a significant impact on City operations. Improvements to the City's RIM Program and internal service provider models are needed to support effective operations, delivery of services, completion of capital projects, and to maintain confidence and trust in the Commerce City government.

- The organization is lacking clear executive accountability for records
- There are limited monitored access controls (physical and digital)
- Retention schedules are not managed
- Compliance with applicable laws & binding authorities is not done consistently across the organization
- The organization has to invest an unnecessarily high level of effort to meet internal and external expectations for records availability
- Meaningful documentation is substantially absent from the environment

## Trusted Technology

The IT systems were inventoried, reviewed, and interviews were conducted with 45 people from with Information Technology (IT) as well as the broad user base from each of the major

city departments. The approach was to gather detailed information concerning systems within the city that are used for records management. Additional interviews with staff outside of IT augment this list with systems that may not be directly tied to IT. A follow up meeting was then held with IT to scrub the final list.



In addition to understanding the systems that are in place, the interviews with the city staff included discussions on how and what systems are used in each department. The goal was to identify where and how Records are stored, shared, retained, protected, and destroyed. The details of these processes and the discovery are included in the AIRM deliverable document.

After gathering data and interviewing representatives from each department concerning the use and implementation of electronic Records systems within the city, careful analysis identified application issues that need to be addressed. In addition, the process of how these applications are implemented was identified as an item for further improvement.

The driving theme in the ANSI/AIIM findings is that as a whole the City needs to review the specific technology implemented and how it fits into the process of the Record keeping by the city. There are areas that need to be repaired both in terms of process and technology to maximize the current technology based investments, provide for complete Record accountability across City leadership, consolidate tools that do the same thing (i.e. file sharing), and to limit staff frustration with the provided tools.

- Use of eDocs is not pervasive across the city in either form or function and there is some reasonably placed frustration in finding information.
- There is duplication of data due to retention needs and separate applications that potentially fragments Records management processes.
- Retention use and understanding varies across the city and needs to be strongly established and championed.
- Some of the major applications need to be evaluated for replacement or update.

The technology analysis indicated that business practice documentation is the area that creates the highest amount of risk based on the findings. These items should be remediated by implementing processes that limit or eliminate that risk.

The capture and indexing risk areas are also related to the changes that are needed in process. However, these also carry with them the need to make changes in technology. In the case of Hansen, it may be necessary to implement modifications or replace the application. In the case of eDocs, it is likely that technology changes in setup/configuration will be needed.

The organization needs to focus on the policies concerning the retention, preservation and destruction of documents. In addition to a clear plan that can be executed to make this a success, a strong education plan should be put in place so that the organization clearly understands both the policies and the need.

## Organizational Maturity

Over the past four months, DAXEON consultants have reviewed City processes and capabilities concerning RIM and conducted assessments designed to produce a maturity score aligned to the ARMA GARP maturity model. DAXEON identified and interviewed approximately 45 stakeholders across 9 departments that provided a representative sample of processes and RIM interactions across the City's departments and division. The interview sessions were conducted in order to gain insight into the City's current recordkeeping practices and was proceeded by an in-depth written survey designed to collect both qualitative and quantitative data as input into the ARMA GARP model.

## RIM Analysis Summary



As part of this assessment, current practices were then compared against existing policies, procedures and industry best practices. After gaining an understanding of the City's current

recordkeeping practices, DAXEON completed the industry-based assessment using the GARP Maturity Assessment Tool from ARMA.

Overall the City is operating at a GARP Maturity Model Level 2

- There is recognition that recordkeeping has an impact on the organization and that the organization may benefit from a more defined information governance program
- The organization is still vulnerable to legal or regulatory scrutiny since practices are ill-defined and still largely ad hoc in nature
- The organizations broad administrative processes are generally operating at significantly less than optimal efficiency
- The organization lacks clear executive level accountability for records, there are limited monitored access controls for either physical or digital records, and institutional retention practices are in conflict with written policies.
- The organization generally is aware and does a good job remaining compliant with applicable laws and identified binding authorities, however this is not done consistently across the organization
- The organization has to invest very high levels of effort to meet internal and external expectations concerning records availability.
- There are individual experts in each department that, once identified and engaged, can provide local information concerning records management processes and documentation.

### *High-Level Observations*

- From top to bottom the organization is talented and engaged
- The organization operates with a strong focus on public good and with a deep desire to address the 'issue of the moment'

- However, a constant focus on issues of the moment creates more ‘heroes of the moment’ than ‘steady eddies’
- Public service departments have a strong sense of autonomy and mission which is a positive, however, there was limited balance found concerning consistent administrative operations as a City
- There was limited evidence found suggesting consistent organization wide process adoption where an internal service provider was the administrative authority
- Given the real desire of the organization to address high profile items as they arise, the organization struggles to complete long running internal improvement initiatives

### *The Optimal Operating Environment for CC City RIM*

- RIM leadership has appropriate sponsorship and support to execute centralized RIM controls
- All City personnel follow the same processes for all RIM content and an accountability system is in place to reward/not-reward as appropriate
- Personnel are provided measured, consistent, and ongoing education and training concerning RIM processes
- There is a dedicated RIM records & system administrator who is a process and technical expert concerning records (one foot in both worlds)
- RIM sponsors are able to measure RIM effectiveness & compliance and correct in real time where necessary
- Technology concerning RIM is centralized or integrated, and provides simple to use interfaces adaptable to all process scenarios across all departments
- All departments have a voice in RIM capabilities, but no department has a dominant voice

### ***Organizational Contradictions***

- Central RIM Authority
  - ARMA GARP assumes a central records process authority
  - Commerce City is currently operating in a strong distributed model
- Style of Changes Needed
  - Optimizing the roadmap will require real organizational structure & process changes which will be a long running internal improvement effort
  - Commerce City does not currently perform well at long running internal improvement efforts
- Broader Context
  - The RIM roadmap is an opportunity to address broader organizational changes that will put City administration in a stronger position to outperform during the next decade of accelerated growth
  - RIM itself may not be enough of a compelling reason to make broader organizational changes at this time

To maintain record keeping and leverage the overall size of the City as a whole, internal service provider processes and the supporting information technology systems must be transformed to a centralized but shared environment with functional/process/business units each receiving the functionality they need, but in an environment that is cost leveraged and has a sound rationalized information architectures.

Historically it appears that IT investments have lacked a strategic, enterprise perspective. Current application portfolios rely largely on non-integrated legacy technology. Technology does not allow for cost effective internal processes, and internal core service processes are not designed in a coordinated fashion. Further, City processes centered around human resources, technology, legal, finance, and record services still resemble a small organization instead of the larger administration that the City is growing into.



The City is also operating with a substantial security and privacy risk profile. Further, enterprise governance and management controls are immature, informal, inconsistent, or largely non-existent.

Across the City organization, user community involvement with information records varies widely in areas of sponsorship/ownership and user representation/participation. Information governance should exist to oversee all phases of the records life cycle and provide meaningful measurable management controls. It also should provide the appropriate level of cross-functional management oversight for the evaluation, funding, prioritization, execution, support and monitoring of central IT investments and shared business processes in alignment with agency objectives and with adherence to established governing requirements.

The City does have some leverage. First, there is a strong call to action for change within the organization, and the organization as a whole is willing to embrace a future vision. Strong internal staff exists within the organization and business leaders are very engaged and able to articulate what benefits a planned future could achieve.

However, there are some difficulties in the environment also. There is a lot of foundational process work that needs to be accomplished in a short amount of time to get the project started, and some substantial new technology platforms are needed. The City is not a technology company and should not expect to over invest in technology capabilities. A key to business change management and governance, as processes and technology are centralized and leveraged, will be to coordinate a large amount of people with different interests and drivers to land on a common shared future.

## Vision Statement

---

This roadmap proposes the City address three goals concerning records management, noting that to do so the recommended approach is to reorganize internal facing department services into a construct called an Internal Service Provider (ISP) model. The rational for this change is that there are many core records and core processes that would be cost/logistically prohibitive to attempt to improve given the current decentralized organizational model specific to internal services.

The framing principles for this roadmap are to provide the City a way to improve performance against its agency and department missions; provide immediate and continued value to City stakeholders; and to take a comprehensive approach addressing the root cause of identified deficiencies.

The roadmap looks to achieve these three sequential goals:

- **Goal 1** – Position the City and its constituents to benefit from the usage of sophisticated information collaboration tools and processes both internally with staff and externally with stakeholders
- **Goal 2** – Position City administration to benefit from proactive management of the Records and Information Lifecycles
- **Goal 3** – Position City departments to benefit from an improved shared internal services model across all cooperative administrative function concerning information technology, human resources, internal finance, internal legal, and records services

All three goals must be achieved to improve the maturity of the organization along the GARP maturity model from the current state of level 2 to the future state of level 4. Goals one and two must be achieved to position the city at CMM level 3.

In order to meet these goals, and address the reality of operating in a 21st century marketplace, the City must systematically leverage organizational best practice design and available cost effective market driven tools through new investments. This will be accomplished by meeting the below objectives, which are improved in each phase of the project:

- Putting a strong core internal process foundation in place that is capable of proactive records management and proactive service delivery
- Leveraging market providers of best of breed tools and adopting the system processes out-of-the-box to closely model industry standards
- Improving administrative activity by identifying and establishing shared services for ISPs and records and service governing committees to ensure proper voice and management of the services
- Improving and coordinating the visibility of technology tools selection to align both to department goals and City collaborative goals overall
- Operating against an information governance architecture and plan
- Improving IT's ability to deliver Records technology by reducing the number of technologies involved in records management
- Improving and simplifying the design of Records relationship to business processes, and leveraging common GARP processes between all operating units

The roadmap contemplates four phases, each building on the last to reach the desired end state. The focus of the phases shifts from basic organizing and performance objectives to broad reorganizational objectives impacting large parts of the organization.

## Outcome Measurements

The defining characteristics of the desired City end state must be that it is an efficient steward of public record, allowing for real shared “memory” in all interactions between itself and its

constituents. Also that the City fosters interactions that are cost effective, flexible, and easy to use and support while delivering real value at each and every touch point. Technology, when inserted into the mix, must ultimately allow the City to speak with one voice, segment and serve constituents per department charters, and have an informed value driven continuing dialog with constituents at all touch points.

To accomplish this the roadmap will instill three core strategies:

- **Respect Records and Information as community assets:** by fostering a bias toward a deep understanding of content and a rich enterprise wide set of tools that allow easy and appropriate controls
- **Model internal processes as industry best practices:** When it is possible to adopt out-of-the-box tools processes within City departments, do it. This allows internal resources to focus on high value and more strategic activities while the organization adopts professional procedures that are accepted as being most effective
- **Simplify technology in both its usage and diversity:** City associates should not need to be technical experts; they should have deep knowledge of their professional expertise and City operations. Promoting single platforms and simple tools allows for more internal knowledge sharing and more time focusing on the efforts of the City

## Scope

### CC RIM IMPROVEMENTS

Period Highlight: # 3

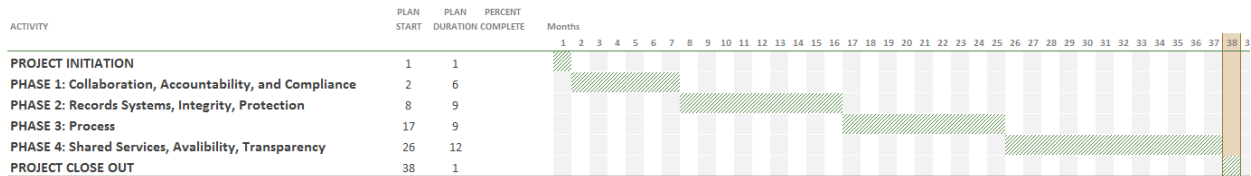
Plan

Actual

% Complete

Actual (beyond plan)

% Complete (beyond plan)



## Project Phases

The proposed project is 38 months comprised of four project phases, plus a short project initiation and project close out component.

- Project Initiation – 1 Month
- Phase 1: Collaboration, Accountability, and Compliance
  - 6 Months
  - Estimated \$40,000 in costs
  - This phase centers around
    - Extended Office 365 training and integration of collaboration technology into daily processes
    - Establishment of an organization RIM Governance and Accountability structure
    - Defining specific goals for information integrity
    - Creating an actionable policy for information protection
    - Standardizing and putting measurement in place for records compliance
    - Institutionalizing a formal code of conduct for employees concerning records protection
    - Providing documented training on the above for all employees

- Phase 2: Records Systems, Integrity, and Protection
  - 9 Months
  - Estimated \$120,000 in costs
    - This phase centers around
      - Transitioning LMNOP drives to Office 365
      - Performing a best practices review and upgrade of eDocs (ECM) to the current version (16) and creating standard input processes resulting in simplified records retrieval
      - Conducting RFP analysis for an ERP system
      - Adding records accountability language to job descriptions
      - Implement a chain of custody process for City records
      - Implementing information protection policy controls/audits
      - Providing documented training on the above
- Phase 3: Organization Processes
  - 9 Months
  - Estimated \$60,000 in costs
  - This phase centers around
    - Conducting an ERP RFP
    - Implementing records integrity policy controls/audits
    - Review additional process improvement opportunities based upon 365 and new eDocs (ECM) and implement
    - Define new shared service process maps
    - Providing documented training on the above
- Phase 4: Shared Services, Availability, and Transparency
  - 12 Months
  - Estimated \$300,000 in costs

- This phase centers around
  - Implement new ERP system thus establishing the shared services model and new process maps
  - Integrate automated disposition hold process across 365, eDocs, ERP
  - Automate retention schedules across 365, eDocs, ERP
  - Automate legal discovery and information requests across 365, eDocs, ERP
  - Reevaluate organization maturity measurements which should now be at level 4
- Project Close Out – 1 Month

## Financial Schedule

The below schedule is for project financial allocations.

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	
Phase 1	\$ 13,000	\$ 27,000											\$ 40,000
Phase 2			\$ 18,000	\$ 84,000	\$ 18,000								\$ 120,000
Phase 3						\$ 20,000	\$ 20,000	\$ 20,000					\$ 60,000
Phase 4									\$ 13,000	\$ 137,000	\$ 137,000	\$ 13,000	\$ 300,000
Sum	\$ 13,000	\$ 27,000	\$ 18,000	\$ 84,000	\$ 18,000	\$ 20,000	\$ 20,000	\$ 20,000	\$ 13,000	\$ 137,000	\$ 137,000	\$ 13,000	\$ 520,000

In addition to the project financial allocations above, it would be reasonable to assume two additional permanent headcounts:

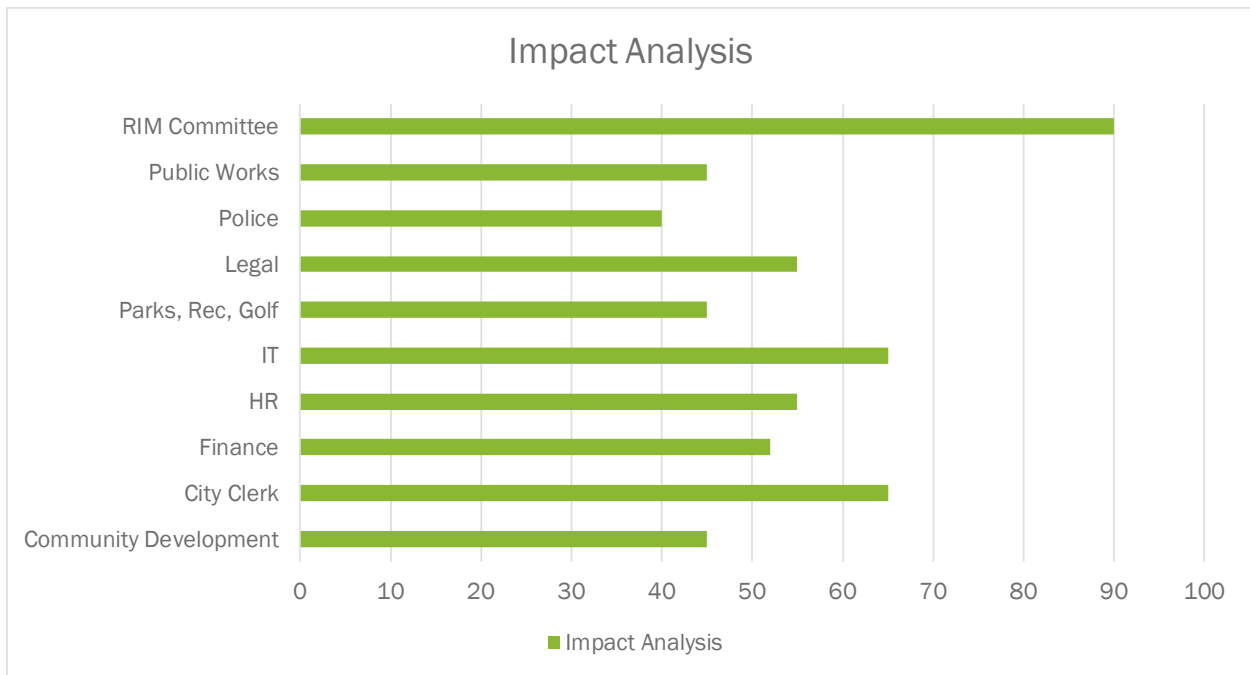
- **Records Specialist** – Expert in ARMA GARP. Responsible for records system user administration, records analysis, records training, and on-going records process analysis and process training. While a market scan will be necessary to determine appropriate salary, general benchmarks suggest a salary in the range of \$55k and an additional 20% benefits burden for \$66k annualized. This position will be needed at the beginning of project phase 2 which is Q3 of the project schedule.

- **IT ERP Administrator** – Expert in the selected ERP technology and overall systems administration including databases. While a market scan will be necessary to determine appropriate salary, general benchmarks suggest a salary in the range of \$75K and an additional 20% benefits burden for \$90k annualized. This position will be needed at the beginning of project phase 4 which is Q9 of the project schedule.

For the ERP system, requirements analysis will be necessary, current analysis suggests that existing financial analyst staff and new IT applications staff would be capable alongside project staff to generate sufficiently detailed requirements.

At the conclusion of the project, additional FTE's will add approximately \$156,000 in annualized staff costs, and the organization should expect system maintenance costs at roughly 20% of incremental license purchases, or approximately \$32,000 annualized.

### Overall Impact by Department





## New Concepts

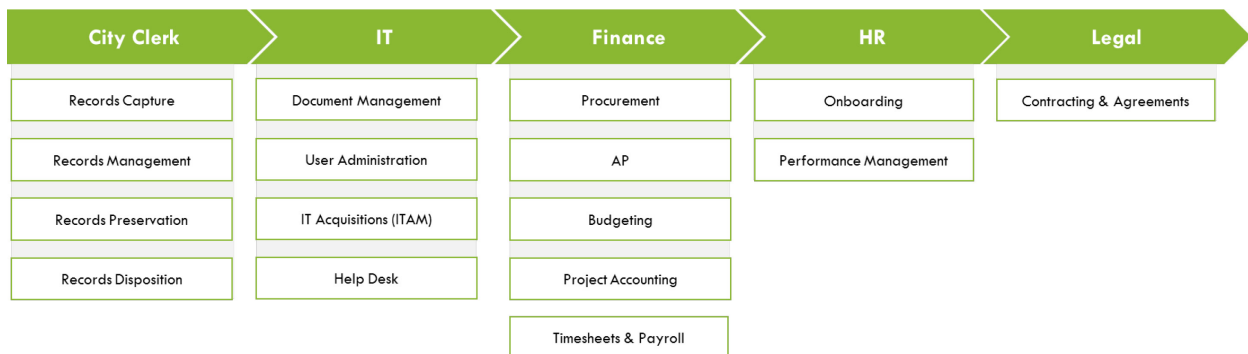
Two new terms are introduced into the Commerce City lexicon with this road map. Both have clear industry definitions and supportive study concerning best practices.

### ERP is short for Enterprise Resource Planning

Enterprise resource planning (ERP) is a business process management software strategy that allows an organization to use a system of integrated applications to manage the organization and automate many back office functions related to finance, human resources, contracting, and procurement. Each functional area is typically an integrated module that works with all selected modules. Modern ERP systems offer many additional modules that may present future opportunities like Utility Billing, Public Engagement, and so on.

### ISP is Short for Internal Service Provider

An ISP provides a shared service, which is the consolidation of business operations that are used by multiple parts of the same organization into a service shared by all units. Shared services are cost-efficient because they centralize back-office operations that are used by multiple divisions of the same company and eliminate redundancy. Today, most companies employ a shared services model for finance, human resources management (HRM) and information technology (IT).



## Scope Requirements by Maturity Area

### Accountability

- Organization has appointed an Information Governance (IG) professional
  - The Records Management Program is an element of the IG Program
  - This IG professional is responsible for the IG Program and oversees the Records Management Program
- The Records Manager is a senior officer responsible for all tactical and strategic aspects of the Records Management Program
- There is a stakeholder committee
  - Members of the committee represent all functional areas of the organization
  - The committee meets periodically to review records management related issues

### Integrity

- The organization has defined specific goals related to integrity
- There is a formal process to ensure that the required level of authenticity and chain of custody can be applied to information systems and processes
- Appropriate data elements are captured to demonstrate compliance with the policy

### Protection

- The organization has a formal written policy for protecting records and information
  - Confidentiality and privacy considerations are well-defined within the organization
  - The importance of chain of custody is defined
  - The organization has defined specific goals related to records and information protection

- The organization has a formal written policy for centralized access controls
- Training for employees is available
- Records and information audits are conducted only in regulated areas of the business
  - Audits in other areas may be conducted, but they are left to the discretion of each functional area

## **Retention**

- The organization has defined & specific goals related to retention
- The organization has instituted a policy for records and information retention
- A formal retention schedule that is compliant with rules and regulations is consistently applied throughout the organization
- The organization's employees are knowledgeable about the retention policy
- The organization's employees understand their personal responsibilities for records and information retention

## **Disposition**

- Disposition procedures are understood by all and are consistently applied across the enterprise
- The process for suspending disposition is defined, understood, and used consistently across the organization
- Records and information in all media are disposed of in a manner appropriate to the information content and retention policies

## **Transparency**

- The organization's senior management considers transparency as a key component of information governance
- The software tools that are in place assist in transparency

- Requestors, courts, and other legitimately interested parties are consistently satisfied with the transparency of the processes and the organization's responses
- The organization's initial goals related to transparency have been met, and it has an established process to ensure its goals for transparency are routinely reviewed and revised

## Compliance

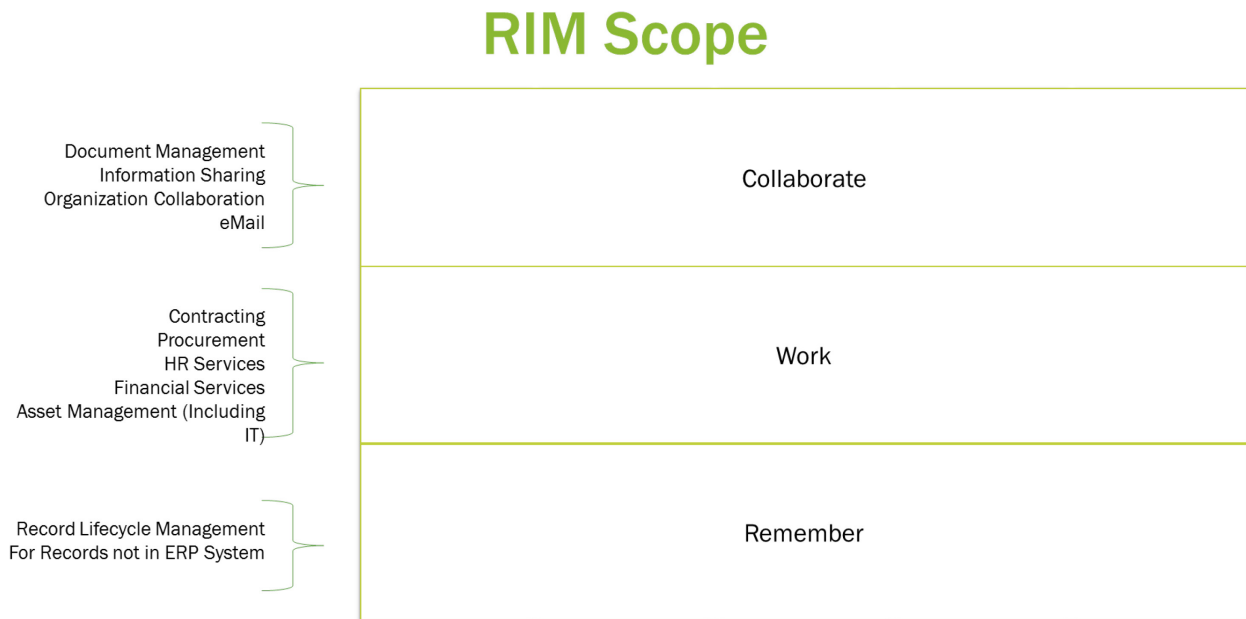
- Compliance is highly valued and measurable, and suitable records and information demonstrating the organization's compliance are maintained
  - The organization has defined specific goals related to compliance
  - The organization has identified key compliance laws and regulations
- The organization has a code of business conduct that is integrated into its overall information governance structure and policies
- Information creation and capture are in most cases systematically carried out in accordance with information management principles
- The disposition hold process is integrated into the organization's information management and discovery processes for the critical systems, and it is generally effective
- The organization's exposure to adverse consequences from poor information management and governance practices is reduced

## Availability

- Information governance policies have been clearly communicated
- There are clear guidelines and an inventory that identify and define the systems and their information assets
- Records and information are consistently and readily available

- Appropriate systems and controls are in place for legal discovery and information requests
- Automation is adopted to facilitate the consistent implementation of the hold and information request processes

## Scope by City Function



The City functions included in this roadmap all generate and are responsible for records, however the processes and operating scope exceed records management in many ways. Records are generated through organizational collaboration, applied through functional work areas, and need to be stored and retrieved to provide City and public memory.

Collaboration includes:

- Document Management
- Information Sharing
- Group Collaboration
- eMail

The specific work processes targeted for improvements are:

- Contracting

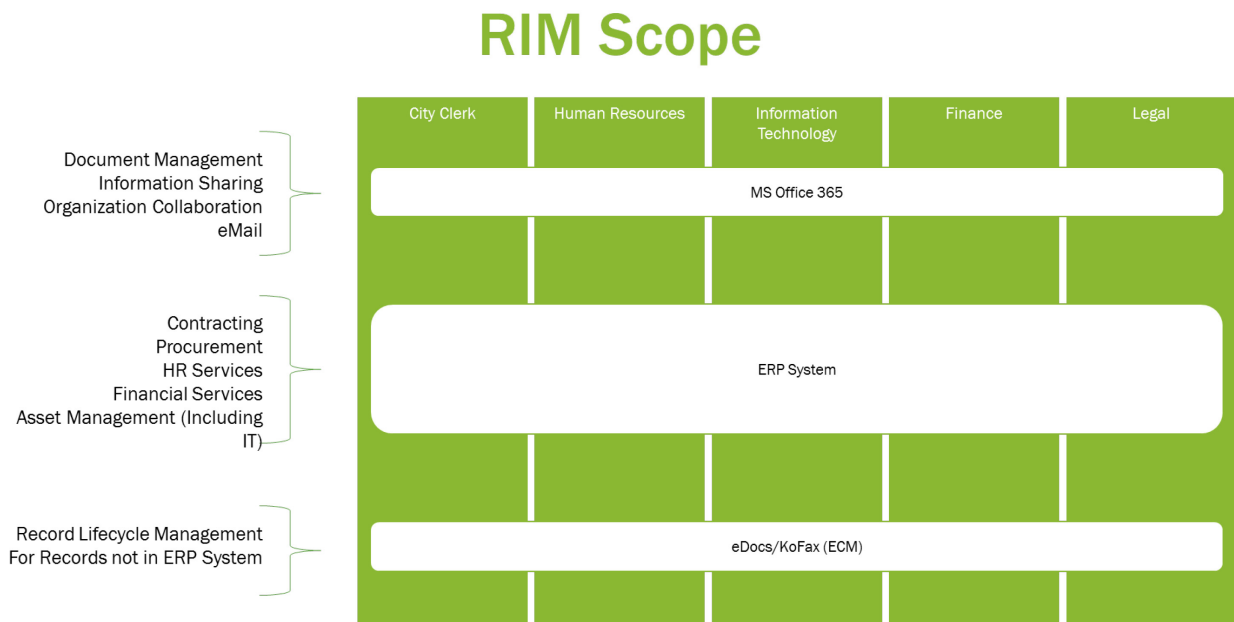
- Procurement
- HR Services
- Financial Services
- Asset management Including IT Assets

The organizational memory components revolve around:

- Records Lifecycle Management

## Scope by Technology

During the analysis a wide array of systems and business processes were identified as having record impacts. The scope for this project has been streamlined to the core processes that contain the bulk of the records with the widest usage and distribution across the City to maximize project impact while consolidating project complexity to as few technical areas as possible.



From a technical standpoint the project focuses on three core technology platforms. They are the entire suite of Office 365 functionality as a replacement to much of the current file share infrastructure and also as the core collaboration and security infrastructure for documents. Note that while this tools implementation was already underway, this project is proposing a substantial adoption of the platform and additional deep training and organizational integration, which significantly exceeds the current email conversion project scope.



The OpenText eDocs DM 5.3 environment is a best of class environment used widely for records management within City administrations. We are proposing an in place upgrade and redesign compared to a wholesale replacement to maximize current investments and minimize additional costs in this space.

A new ERP system to functional access ISP processes is proposed for several reasons. First, it is a best in class solution compared to department level point solutions, and second it will push the organization into a more collaborative mindset and force negotiations and discussions concerning operating design that are not currently happening today. The ERP implementation is a large and substantial undertaking, and should not be attempted without the other organizational improvements and restructuring proposed in earlier project phases.

## **Project Tracks**

Each project track is persistent and active during each project phase, and has specific responsibilities in support of the overall program. Each track has a track lead assigned from within the pool of current staff assigned to the project. For at least the duration of the RIM implementation project, those track leads are also on the RIM Governance Committee.

### **Org Structure Track**

This track focuses on the impact of the project to the organization structure and works with City leadership to communicate organizational opportunity and implement organizational design.

### **Training Track**

This track focuses on ensuring high quality training materials are created and instructor led training is provided throughout the project, with measured training delivery. At the conclusion

of training sessions, the materials are repackaged to be used as on-going training within the organization.

### **Tech Track**

This track focuses on aligning City tools and technology to City policy, process, and organizational structure. This track leads all technology components of the project.

### **Policy Track**

This track is focused on ensuring that the project follows all appropriate policies, while at the same time creating and implementing new policy as appropriate to maximize the benefits and impact of the project. This may include both changes to internal policy and current municipal code.

### **Process Track**

This track is focused on the inputs and outputs of how work gets done within the city. This track is responsible for current state analysis and new process design, with a focus on documented processes that are measurable and efficient.

## Phase 1: Collaboration, Accountability, and Compliance

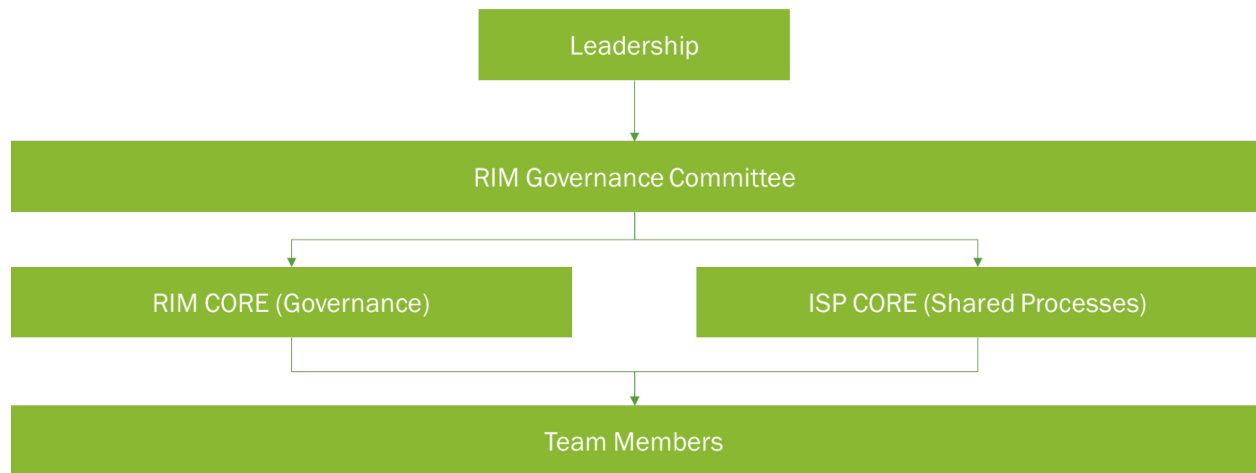
Phase 1 puts the foundational policies of RIM in place and leverages current IT investments in Office 365 to build out enhanced organizational collaboration processes.

It is estimated at \$40,000 in costs with the following breakdown

- \$15,000 in additional Office 365 training
- \$25,000 in program management and analysis

This phase centers around extended Office 365 training and integration of collaboration technology into daily processes through group collaboration and detailed training specific to City user's daily stories.

This phase also puts in place an organization wide RIM/ISP governance committee structure using the below model.



**Leadership** – this is the existing leadership team and structure

**RIM Governance Committee** – this is chaired by a records designee appointed by the City Manager and will have committee members from management representing an appropriate span of the functional areas

**RIM and ISP sub-committees** – these are working teams made up of committee members and team members as necessary

**Team Members** – non-management employees with a stake in RIM and ISP both in control and execution, could also be thought of as a user's group

This phase will also define specific goals for information integrity, create an actionable policy for information protection, standardize and put measurement in place for records compliance, institutionalize a formal code of conduct for employees concerning records protection, and will provide documented training on the above for all employees.

The below chart shows the accountable, responsible, consulted, and informed matrix that will be assigned to governance committee members. The committee will need to be comprised of individuals with appropriate scope of responsibility to represent their designated areas.

Principle	Department				IT				RIM				Legal			
	A	R	C	I	A	R	C	I	A	R	C	I	A	R	C	I
Accountability	x						x				x					x
Transparency	x					x				x				x		
Integrity		x				x			x					x		
Protection (Digital)		x			x					x					x	
Protection (Physical)	x							x		x					x	
Compliance			x				x			x			x			
Availability (Digital)		x			x					x					x	
Availability (Physical)	x							x		x					x	
Retention		x					x		x						x	
Disposition		x					x		x						x	

## Phase 1 Scope Requirements

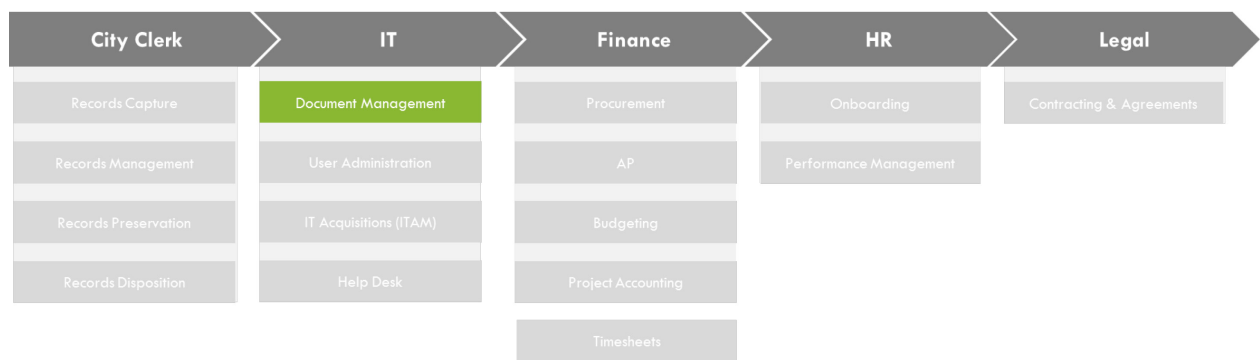
- 1-1 Office 365 Fully Available & Organization Fully Trained
- 1-2 Organization has created a RIM Governance Committee
- 1-3 The Records Manager is a senior officer responsible for all tactical and strategic aspects of the Records Management Program
- 1-4 There are RIM CORE and ISP CORE Committees
  - 1-4a Members of the committee represent all functional areas of the organization
  - 1-4b The committee meets periodically to review records management & process related issues
- 1-5 The organization has defined specific goals related to integrity
- 1-6 The organization has a formal written policy for physical and digital access controls
- 1-7 Training for employees is available
- 1-8 The organization's senior management considers transparency as a key component of information governance
- 1-9 Compliance is highly valued and measurable, and suitable records and information demonstrating the organization's compliance are maintained
  - 1-9a The organization has defined specific goals related to compliance
  - 1-9b The organization has identified key compliance laws and regulations
- 1-10 The organization has a code of business conduct that is integrated into its overall information governance structure and policies
- 1-11 The organization has defined & specific goals related to retention

1-12 The organization's employees are knowledgeable about the retention policy

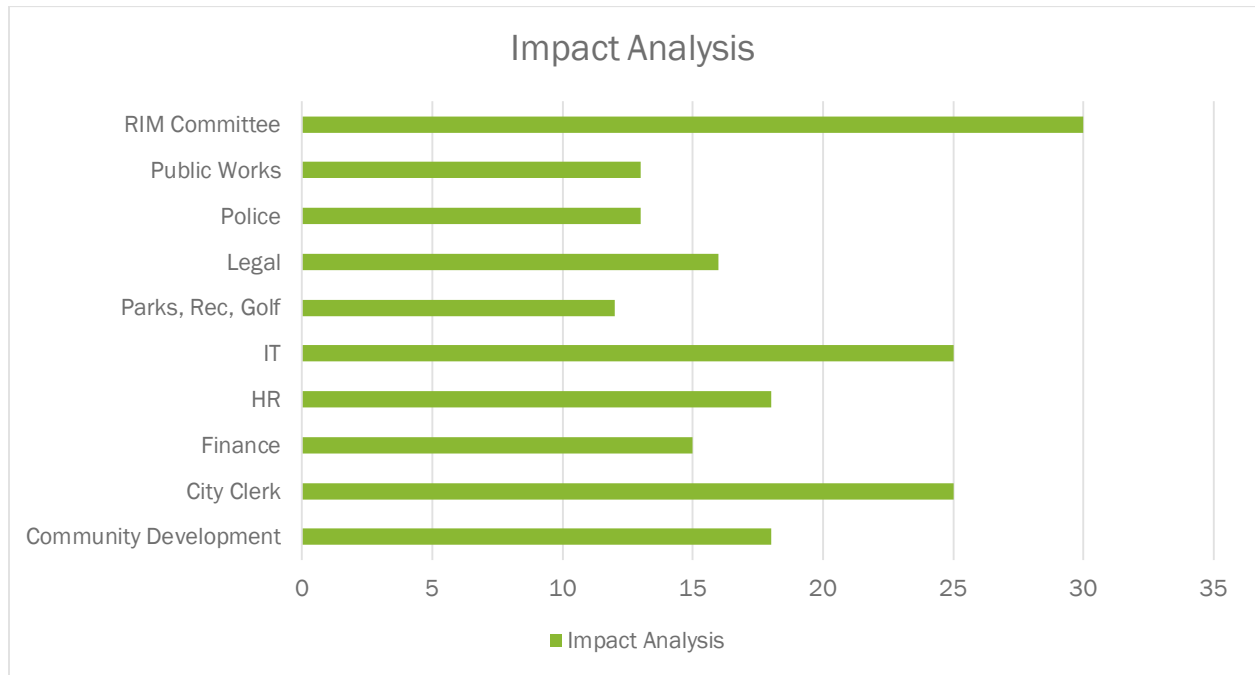
1-13 The organization's employees understand their personal responsibilities for records and information retention

1-14 Disposition procedures are understood by all and are consistently applied across the enterprise

## Office 365 (Full Implementation)



## Department Impacts



## PHASE 2: Records Systems, Integrity, Protection

Phase 2 leverages the Office 365 collaboration document security architecture alongside an OpenText eDocs upgrade and reconfiguration.

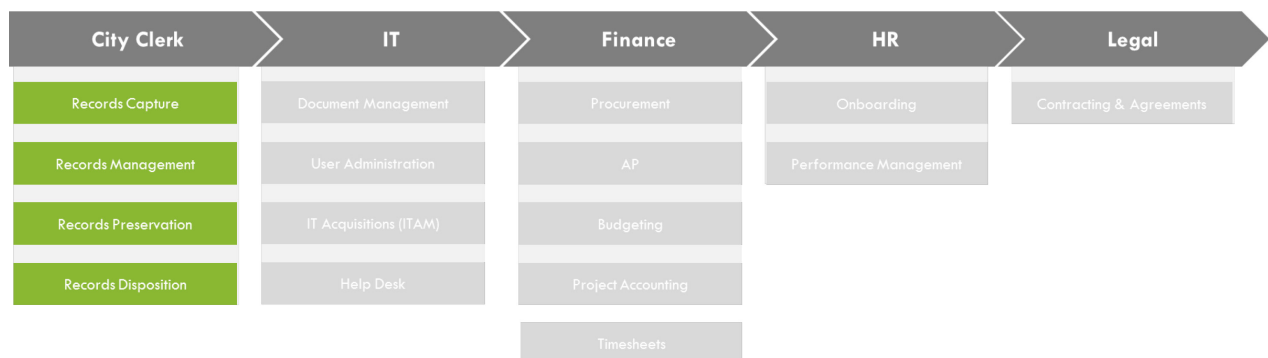
It is estimated at \$120,000 in costs with the following breakdown

- \$15,000 in additional Office 365 training (LMNOP replacement)
- \$40,000 in program management and analysis
- \$65,000 in eDocs upgrade and reconfiguration costs

This phase centers around performing a best practices review and upgrade of eDocs (ECM) to the current version (16) and creating standard input processes resulting in simplified records retrieval, alongside full utilization of the Office 365 platform for document management and security.

This phase also gathers detailed RFP requirements for the proposed ERP system, adds records accountability language to job descriptions, implements chain of custody processes for City records, implements information protection policy controls/audits, and will provide documented training on the above for all employees.

### EDOCS (ECM) Upgrade

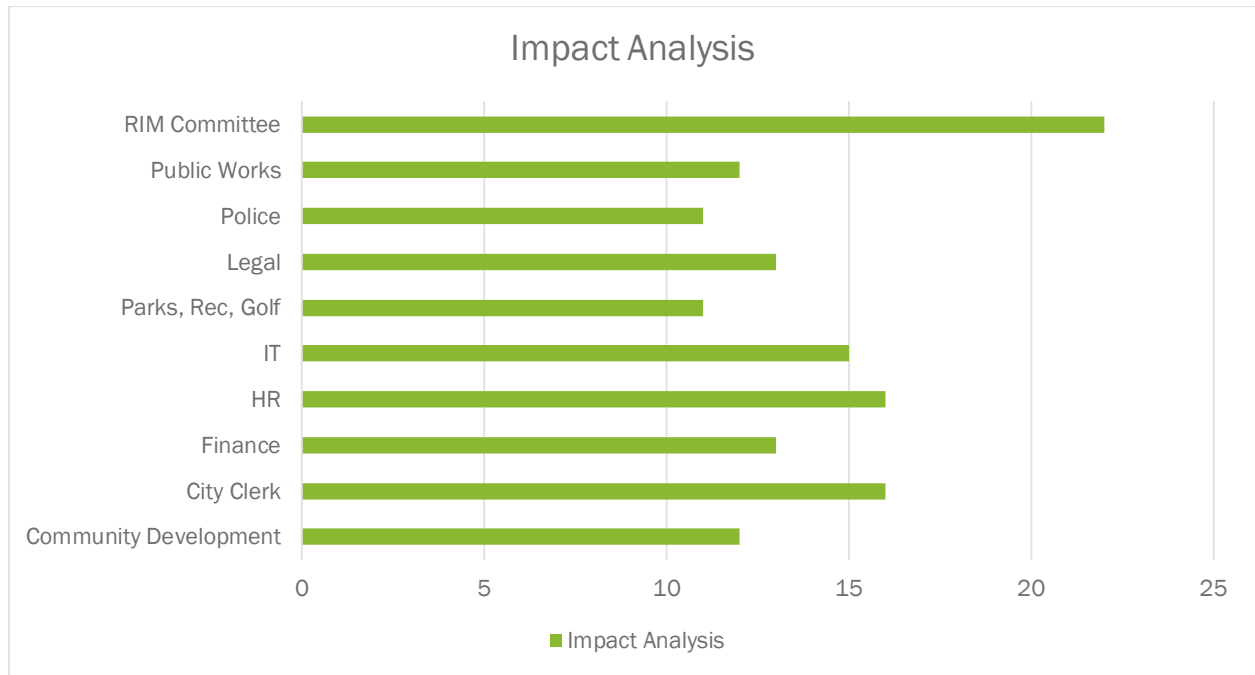




## Phase 2 Scope Requirements

- 2-1 The organization has a formal written policy for protecting records and information
  - 2-1a Confidentiality and privacy considerations are well-defined within the organization
  - 2-1b The importance of chain of custody is defined
  - 2-1c The organization has defined specific goals related to records and information protection
- 2-2 Training for employees is available
- 2-3 The organization has institutionalized a policy for records and information retention
- 2-4 Office 365 Fully Migrated (LMNOP Drives Gone OR Role Substantively Changed)
- 2-6 eDOCS In place Upgrade & Best Practices Review
- 2-7 ERP Requirements
- 2-8 Individual Job Descriptions are updated to include RIM accountability
- 2-9 There is a formal process to ensure that the required level of authenticity and chain of custody can be applied to information systems and processes

## Department Impacts



## PHASE 3: Organization Processes

Phase 3 leverages the now fully implemented and upgraded Office 365 and eDocs implementations to further improve records management capabilities and processes. This phase also leverages the organizations new tools and perspectives to map out the future shared services model aligned to the ERP RFP requirements and issues RFP document.

It is estimated at \$60,000 in costs with the following breakdown

- \$20,000 in additional technology configurations to maximize investments given new capabilities
- \$40,000 in program management and analysis

This phase centers around reviewing and maximizing additional process improvement opportunities based upon 365 and new eDocs (ECM) while looking to the future and the final piece of the project, implementing the new shared services model and the ERP system through organizational design and process mapping.

This phase also conducts the ERP RFP, implements records integrity policy controls/audits, and will provide documented training on the above for all employees.

## Shared Services Design

## Shared Services Model

<i>Decentralized</i>		<i>Shared</i>	<i>Centralized</i>	
<ul style="list-style-type: none"> <li>✓ Disparate processes</li> <li>✓ Multiple standards</li> <li>✓ Duplication</li> <li>✓ Different control environments</li> <li>✓ High cost and costs unclear</li> <li>✓ Not scalable</li> </ul>	<ul style="list-style-type: none"> <li>✓ Responsive to Business and Operational needs</li> <li>✓ Business/ Operations control decisions</li> <li>✓ Customized solutions to meet Business/ Operational requirements</li> </ul>	<ul style="list-style-type: none"> <li>✓ Highly client focused</li> <li>✓ Market driven</li> <li>✓ Service Partnership Agreements</li> <li>✓ Clear unit costs</li> <li>✓ Flexible delivery</li> <li>✓ Clear drivers and activities</li> </ul>	<ul style="list-style-type: none"> <li>✓ Common systems and support</li> <li>✓ Consistent standards and controls</li> <li>✓ Tight control environment</li> <li>✓ Economies of scale</li> </ul>	<ul style="list-style-type: none"> <li>✓ Remote from business</li> <li>✓ Unresponsive and inflexible</li> <li>✓ No Business/ Operational control over costs</li> <li>✓ Viewed as central overhead</li> <li>✓ Prevalence of shadow operations</li> </ul>

Shared Services is a business model that enables resources to be leveraged across an entire organization resulting in lower costs with agreed upon customer-service levels. In many instances, Shared Services is a separate business unit created within a company or agency accountable for delivering a suite of services to both the operating business units and the corporate functions.

Shared Services has the mindset of a business and views the rest of the organization as their customers. As a service organization, their accountabilities are delivering value (balancing cost and service levels), as well as identifying ways of further leveraging their operating model. The operating model is built on three primary capability levels: People, Process, and Technology. While centralizing the services may be a component of Shared Services, the broader objective is to gain efficiencies beyond consolidation through a methodology of

continuous improvement that results in more efficient and standardized processes, with much of the activity automated through enabling technology.

Generally, Centralized Services tend to be heavily focused on compliance and control while Shared Services have added accountable of value creation through a leveraged model as well as managing to agreed service levels.

### ***Shared Services Benefits***

- Economies of Scale – Lower costs
- Agreed-Upon Service Levels – Value decisions on what and how much to provide
- Standardization of Processes – Best practices
- Common Technology Platform – Enables coordinated transformation of front, middle, and back-offices
- Culture – People with the skill and mindset to optimize the model beyond the back-office
- Operating units free to focus on their operations and external customers – Rely on Shared Services for support
- Corporate free to focus on strategy – Rely on Shared Services for statutory compliance, controls and information
- Decision Support – Data analyzed and delivered as reliable and actionable information
- Flexibility – Shared Services can be sourced through multiple delivery channels and/or geographic locations
- Scalability – The Shared Services delivery model can be scaled for both acquisition/geographic and service scope expansion with relatively low incremental costs.

### ***Shared Services Implementation Challenges***

- Resistance to Change – Effective change management must be a component of any implementation regardless of sourcing.
- Legacy Systems – While not always possible, Shared Services and system integrations as part of a business transformation project can yield excellent results. Limitations of legacy systems can sub-optimize results.
- Leadership – There will be tough times, everyone has to be on board and visibly and vocally supportive.
- Shared Services Team – The attitude and skill set of a service-oriented team looking to use enabling technology to optimize processes may not exist in the organization today. Find and pre-qualify the right people before you start.

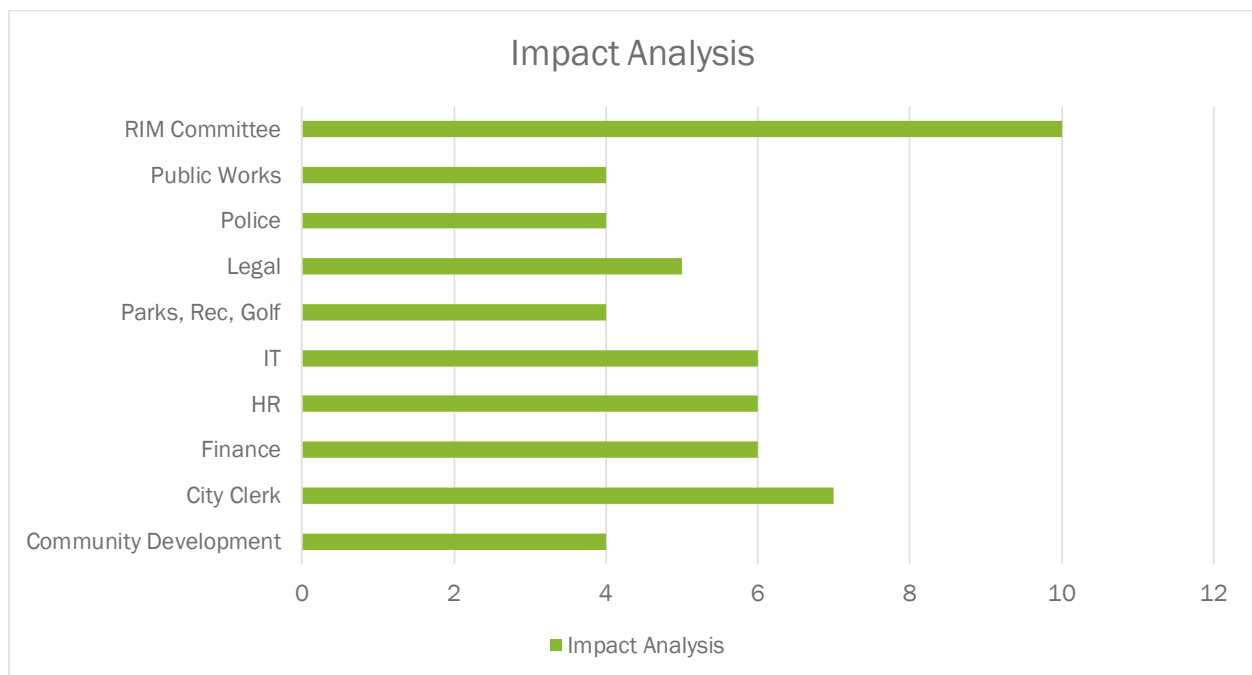
### ***Shared Services Success Factors***

- The Attitude and Approach to Service of the Leadership and People in the Organization
- Governance Model and Decision Rights Well Defined, Communicated and Understood
- Key Performance Metrics (Balanced Scorecard: Cost, Productivity, Quality, Service, Controls, Employee Value Proposition)
- Executive Support
- Operational Business Knowledge
- Embedded Culture of Continuous Improvement (Preferably formalized program)
- End-to-End Process Orientation (Ownership or Influence)
- Enabling Technology Platform (Preferably single-instance ERP)
- Part of Shared Services Research Community – Contributing and Receiving Best Practice Insights

## Phase 3 Scope Requirements

- 3-1 ERP RFP
- 3-2 Appropriate data elements are captured to demonstrate compliance with the policy
- 3-3 Records and information audits are conducted only in regulated areas of the business
- 3-4 Information governance policies have been clearly communicated
- 3-5 Training for employees is available
- 3-6 Shared service organization defined

## Department Impacts



## PHASE 4: Shared Services, Availability, Transparency

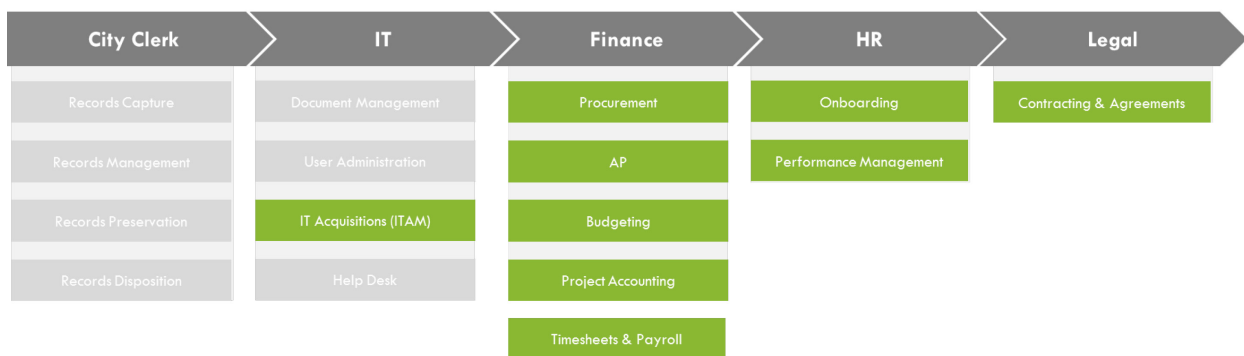
Phase 4 Implements the ERP system which is a major organizational undertaking. The ERP system is also the organizational catalyst and enabler of the ISP Shared Services implementation against the process and structure created in Phase 3. It is likely that while the 12-month duration is accurate, this phase may be broken down into smaller pieces based upon implementation best practice recommendations from the selected implementation vendor.

It is estimated at \$300,000 in costs with the following breakdown

- \$250,000 in ERP license and implementation costs
- \$50,000 in program management and analysis

While the ERP system and ISP model are the centerpiece of this phase, this phase also includes automating the disposition hold process across 365, eDocs, ERP; automating the retention schedule across 365, eDocs, ERP; automating legal discovery and information requests across 365, eDocs, ERP; and reevaluating the organization maturity measurements to ensure the project meets the business case of GARP CMM Level 4.

### ERP System





## ERP Systems

ERP collects, manages and distributes information across functional boundaries and helps break down information “silos”—those barriers that stand in the way of full cooperation between departments. The resulting higher quality, reduced time-to-market, shortened lead times, higher productivity and lowered costs can help improve internal and external customer service and increase constituent satisfaction.

Measurements, analysis and simulation capabilities can help organizations plan better and react sooner and more effectively to changes in the environment.

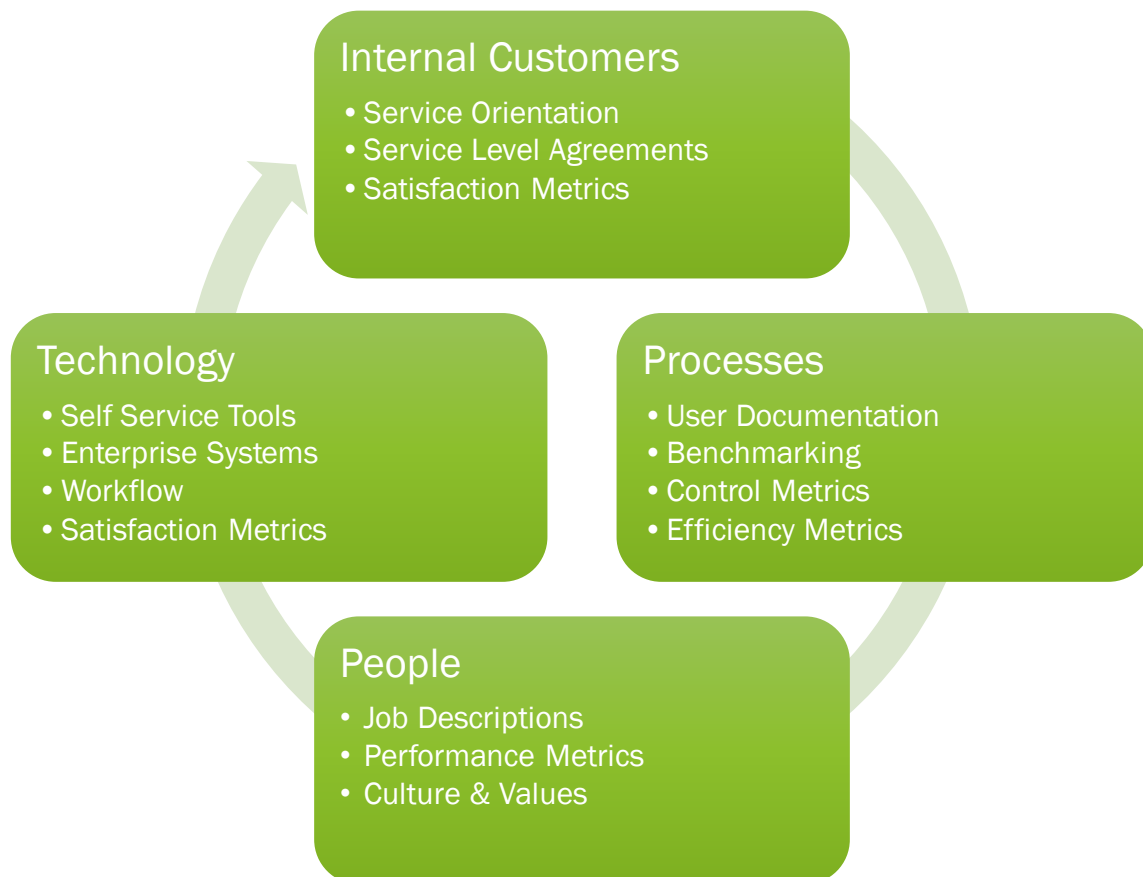
Modern ERP systems are built for the internet-enabled world with e-commerce capabilities and provision for integration and collaboration with partners, customer portals, and enhanced tracking of the visibility and control of work. It’s hard to put a value on the ability to take advantage of new and evolving internet imperatives—or the cost of not being able to keep up with public expectations.

- **Efficiency.** An ERP system eliminates repetitive processes and greatly reduces the need to manually enter information. The system will also streamline business processes and makes it easier and more efficient for organizations to collect data.
- **Integrated Information.** Instead of having data distributed throughout a number of separate databases, all information is now located in a single location. Data is also kept consistent and up-to-date.
- **Reporting.** ERP software helps make reporting easier and more customizable. With improved reporting capabilities, your company can respond to complex data requests more easily. Users can also run their own reports without relying on help from IT.
- **Customer Service.** It’s easier to provide high-quality customer service using an ERP system. Customer service people can interact with customers better and improve

relationships with them, through faster, more accurate access to customers' information and history.

- **Security.** A new system will improve the accuracy, consistency and security of data. Restrictions to data can also be enhanced.

### Implementation Success Measurements



## Phase 4 Scope Requirements

4-1 ERP Implementation

4-2 Information creation and capture are in most cases systematically carried out in accordance with information management principles

4-3 The disposition hold process is integrated into the organization's information management and discovery processes for the critical systems, and it is generally effective

4-4 The organization's exposure to adverse consequences from poor information management and governance practices is reduced

4-5 A formal retention schedule that is compliant with rules and regulations is consistently applied throughout the organization

4-6 The process for suspending disposition is defined, understood, and used consistently across the organization

4-7 Records and information in all media are disposed of in a manner appropriate to the information content and retention policies

4-8 Training for employees is available

4-9 Audits in other areas may be conducted, but they are left to the discretion of each functional area

4-10 There are clear guidelines and an inventory that identify and define the systems and their information assets

4-11 Records and information are consistently and readily available

4-12 Appropriate systems and controls are in place for legal discovery and information requests

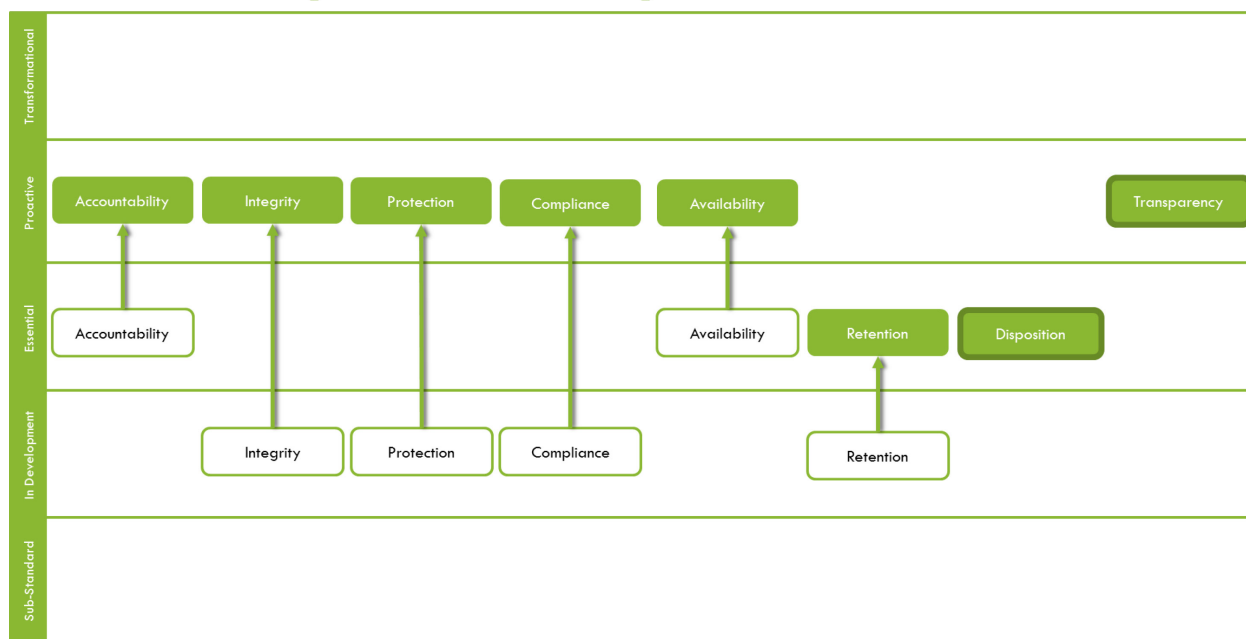
4-13 Automation is adopted to facilitate the consistent implementation of the hold and information request processes

4-14 The software tools that are in place assist in transparency

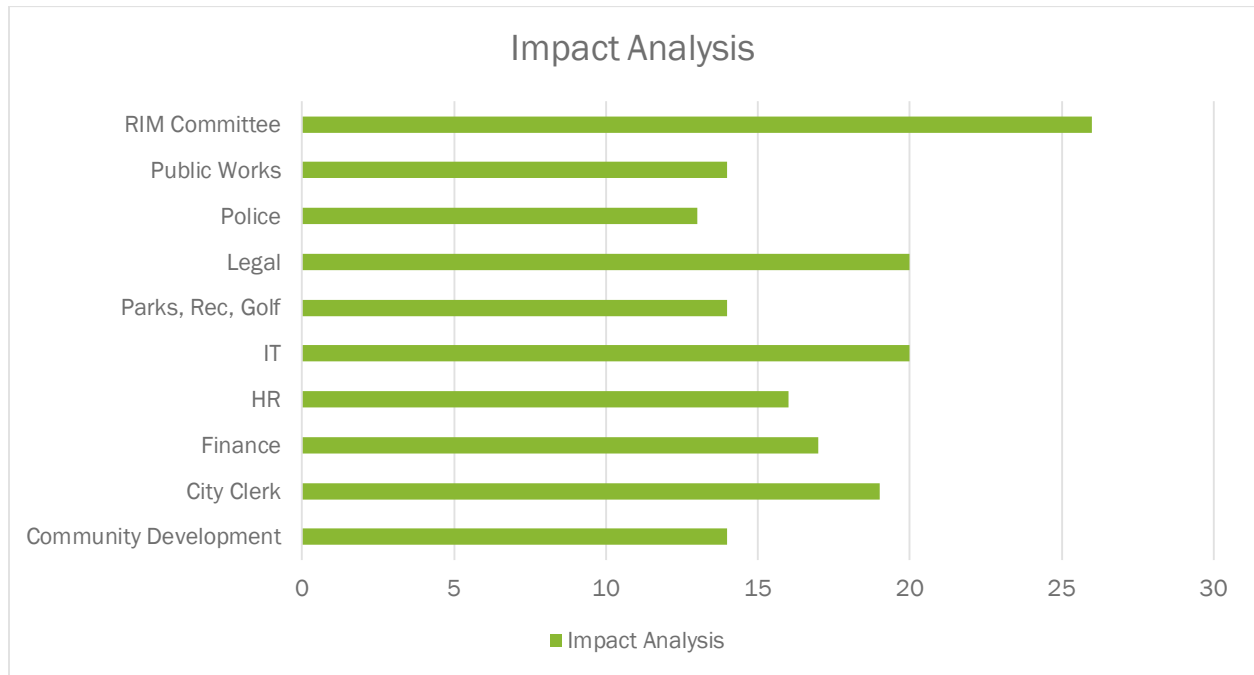
4-15 Requestors, courts, and other legitimately interested parties are consistently satisfied with the transparency of the processes and the organization's responses

4-16 The organization's initial goals related to transparency have been met, and it has an established process to ensure its goals for transparency are routinely reviewed and revised

## RIM Analysis Summary



## Department Impacts



## Next Steps

---

This is a large and substantial plan that requires funding and executive support. We recommend the first month of project initiation be spent creating a project charter that can be signed by the City Management and other appropriate parties.

As part of the charter process, the City will need to establish project sponsorship for each of the tracks and scope areas, and to identify leads for each track that are able to dedicate time to the project and also make tactical decisions for the organization to manage the logistics of the transformations.

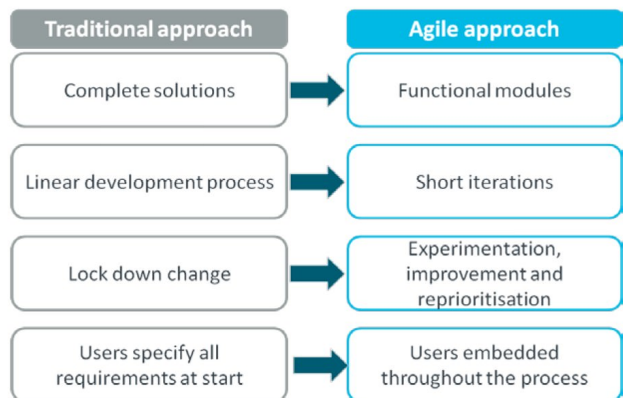
A formal management structure and reporting structure should be identified as part of the project charter also.

## Internal QA Review

**Randell Orner, Ph.D., MBA, MS, LBC**

### Review Type: Metrics and Organizational Change

Given the scope and breadth of the proposed road map, what top areas should the project team ensure are addressed concerning organizational change?



Before the project is started leadership should decide which method of project management they plan to use. While traditional project management is a tried-and-true system, Agile is an alternative method. Agile methodologies are rooted in constant customer input and managements openness to a non-

hierarchical form of leadership. Agile methodology incorporates Lean Methodology, Kaizen events, and Six Sigma. The hallmark of Agile methodology is its openness to fluidity during the initiation and execution of a project. Below is a table that illustrates the differences between traditional project management and agile project management.

Microsoft Planner (see links below) should be demonstrated and reviewed for implementation with the new office 365 package. Microsoft Planner is a collaboration tool that can be used for the duration of this project as well as for any future projects implemented by the City. It is a powerful collaboration tool that helps to manage projects and everything related to the project such as documents, notifications, resources, and progress.

<https://products.office.com/en-us/business/office-365-planner>

<https://blogs.office.com/2015/09/22/introducing-office-365-planner/>

Phase 2 of the project outlines upgrades to eDocs but I did not see testing taking place in a test environment to ensure there were no adverse effects on other applications that were being run. My recommendation would be to have a small test environment where upgrades and changes may be tested without impacting the production network. While this may add a small expense, the potential time saved in the event there is an incompatibility issue makes the investment worthwhile.

Training will be a key element and must be designed into the project. While some employees may be more computer savvy than others it is important to create Job-Aids as handouts for the employees. They must have a reference sheet on how to use the new technology that they can review and have readily available. This Job-Aid should be posted on a shared site so it is always available and has one source.

The project outlines several phases of implementation. It does an excellent job of providing a framework for the review, initiation, execution, and sign off. One area that should be added before the sign off would be a monitoring phase. After project completion and all the systems have been implemented, there needs to be a time where the end-user truly exercises and uses all the functionality of the newly implemented system. During this monitoring phase the users should have the opportunity to report findings, suggestions, faults, and future required enhancements. During this monitoring phase adjustments can be made to ensure the stakeholder satisfaction before the signoff is complete. It is recommended that the monitoring phase last no less than 90 days.

**What change management strategies should be used in conjunction with this road map?**



In the roadmap the state of your organizational culture is strong and you have employees embracing the future vision. This should not negate the fact that leadership still needs to "sell" employees on the idea of "why" the change is needed. A common mistake in change management is spending 90% of the time telling employees that they must change rather than telling them why the change is needed.

It is my recommendation that the leadership for the City undergo a minimum of an 8-hour training block on change management. Dr. John Kotter has created an eight step guide to change management which is universally used in the business community. This would be one possible framework that could be used to train the managers but whatever method you select, the leadership needs to understand how to manage change and communicate with the employees. Managers should be asked to read *Managing Transitions: Making the Most of Change* by William Bridges and Susan Bridges

The communication plan must be created to keep the staff updated on changes. This plan must include recent victories as well as upcoming changes that can be expected.

Security is a chief concern of any municipality or organization that houses sensitive information. Ransomware attacks (successful and unsuccessful) on organizations have become somewhat commonplace. My recommendation would be to include a Disaster Recovery Document in the proposal. This Disaster Recovery Document would provide the framework needed for taking the network off-line, performing any security checks, and performing a full restore and test. Periodic vulnerability testing should also be included in a Disaster Recovery Document. The Governance Team needs to subscribe to, or make a point of, staying abreast of the latest security threats.

**Given the scope and breadth of the proposed road map, what top areas should the project team ensure are addressed concerning metrics & measurements?**

Several key metrics should be used to measure success. If possible a baseline measurement should be taken before any changes are implemented. Some measurements may include but are not limited to the following:

- Time to retrieve the correct document
- How many times the correct document was retrieved the first time
- Employee satisfaction with the technology that's being used
- Service response time
- Time to fill requests.

A QA program should be explored to help measure compliance to new internal policies and processes.

To assist in reducing process flow, redundancies, and inaccuracies, a workshop should be conducted to review basic Six Sigma and Lean Methodologies. Value Stream Mapping should be explored if it has not been done already. Value Stream Mapping will illustrate current state, ideal state, and the targeted state (which is usually somewhere between the current and ideal). This exercise will help focus the effect on the measureable goals.

### **What metrics & measurements strategies should be used in conjunction with this road map?**

With a Shared Service Model resources will be leveraged across the entire organization. Shared Service Models might be subject to overuse and misuse due to a lack of understanding of their purpose. It is recommended that a Service Level Agreement (SLA) be created between the Shared Services department and the departments that they serve (see attached example). This can be written as a high-level document or be as granular and detailed as desired. The important part is to have a SLA that outlines what the shared service is responsible for and what the expectations are for all parties involved.

When hardware is replaced a fresh program should be implemented. This is a long-term goal to ensure the hardware stays functioning and up to date. The industry standard life of a computer is 3 to 5 years. The operational cost of periodic replacement must be considered and forecast properly. Another item that must be implemented and managed by the Governance Team is license renewal. When technology is implemented that requires licenses, depending on the technology licenses, they may expire. Expired licenses could bring a department or an organization to a halt. Managing the expiration dates of licenses are critical.

**What other insights or suggestions do you have given your review of the road map?**

When "off the shelf" products are being reviewed for implementation it is important to remember to think about future expansion and ask if the tools are customizable. The City would not want to purchase a tool that is an "off the shelf" solution only to find out that it does not meet their needs in 2 to 4 years after making a significant investment. Ample time should be put into reviewing the City's future needs.

The governance team was referenced several times throughout the document but a clear understanding of who they are and the team's roles and responsibilities were not outlined.

There has been an extraordinary growth in the city over the past several years. Part of the project management team or the governance team's task should be to perform an annual review of technology and perform a needs assessment and gap analysis to ensure the city is prepared for future growth and expansion.

**Name of Reviewer: Eric Braunstein, M.Ed., BA**

**Review Type: Training and Organizational Change**

**Given the scope and breadth of the proposed road map, what top areas should the project team ensure are addressed concerning organizational change?**

Change can be a time of stimulating opportunity for some and a time of disruption or threat for others. How such responses to change are managed can be the difference between surviving and thriving in a modern work environment. The project team needs to implement change with regard to mindsets, processes, policies, practices and behavior in the following top areas within this roadmap. Protection (of records and private information), Availability (efficient, and accurate information retrieval), Retention (flawless maintenance of records) and Compliance (legal processes with regard to the organization's policies)

Taking the DAXEON structured approach to accommodate and sustain change involves significant organizational and behavioral adjustments. A major focus would specifically be the proposed ERP system to functional access ISP processes. First, it is a best in class solution compared to department level point solutions, and second it will push the organization into a more collaborative mindset and force negotiations and discussions concerning operating design that are not currently happening today.

The ERP implementation will be an enormous directive and the project team will be required to recognize from the start what they want to be able to gauge from the system. As was discussed in the Phase 2 roadmap report, the existing prebuilt reports in the system will have to be adjusted with the use of office 365 and other system wide changes for the ERP to realize maximum integration. The project team must make the stated organizational improvements and restructurings proposed in earlier project phases a top priority for the successful ERP implementation and effectiveness. The basic goal of management needs to be securing the mindset of "buy-in to the change" by all stakeholders; this will align individual behavior and skills with the change.

### **What change management strategies should be used in conjunction with this road map?**

The recommended change management strategy includes a mixture of initiatives – communication, training, business policy and readiness. We recommended a strategy that

considers change to be predictable and manageable yet flexible and nimble to deal with unknowns that could arise. The recommended strategy is one that deals with this variability and addresses change from several different yet collective perspectives preparing the human resources section of the organization and other central office personnel for changes resulting from the proposed DAXEON project of 38 months that is comprised of four project phases. Commerce City needs to prepare a shared service center, preparing for a possible transition of those that will be “moving” (once determined) to the new operating model. These adjustments may include answers to the following questions, what processes change? Which ones stay the same? How do internal process changes occur and when?

Project leaders need to prepare the procedures for individuals that are not initially moving to the new operating model in a given phase, but will have operating changes due to standardization or process/technology changes. This strategy can be driven from the identified organizational, workforce and technology changes that will be implemented. Creating clear management activities that are scheduled and tailored to the type and level of support needed based on the impacts of each initiative of the program will be paramount.

The project team leaders need to strategize initiatives in a clear and synchronized method in order to provide a consistent, standard and common voice of the program to all stakeholders. One perspective of communications strategy is sponsorship which entails gaining a common and clear understanding of the project tracks that are active during each project phase, and has specific responsibilities in support of the overall program. Each track has a lead assigned from within the pool of current staff assigned to the project. This is required for each Org Structure Track, Training Track, Tech Track, Policy Track and Process Track.

In order to capture the value of the intended transformation, dedicated effort will be required to design the new organization models, jobs and processes that will support the development and execution of workforce transition plans. This will facilitate and support the required training and tools needs to implement change effectively.

**Given the scope and breadth of the proposed road map, what top areas should the project team ensure are addressed concerning employee training?**

The project team needs to assess their annual performance reviews to delineate significant job responsibilities during the entire road map implementation period. In order to generate a more comprehensive, meaningful and precise organizational change, standards and objectives should be established in areas that go beyond work specific tasks and responsibilities.

Skill development areas are an imperative component of the change process. The top areas that the team needs to focus on include interpersonal skills development (i.e. customer service, work relationships, team work and contributions, establishing partnerships, communication, etc.) and managerial skills development (i.e. leadership, decision making, project management, problem solving, quality improvement, staff development, coaching, etc).

In addition, employee training must include identification of specific developmental activities to enhance career mobility and employee education. In circumstances where there have been chronic or episodic performance deficiencies, developing standards and objectives where concentrated time and effort are needed to get performance back to an acceptable level will be helpful.

**What training strategies should be used in conjunction with this road map?**

Because instructional methods differ in their ability to influence knowledge, project leaders must be able to evaluate a method's utility and ability and make informed decisions about its use in the training process. Training is all about providing instruction for the learners to acquire new skills or knowledge to enhance job performance. When trainers think about acquiring new knowledge, they should remember that knowledge is acquired at three levels: **declarative**—a process used when the learner stores the information for future use,

**procedural**—a process used when the learner understands how the information presented can be applied and **strategic**—a process used when there is a need for planning, monitoring, or revising a goal-directive activity.

There will be times when project leaders may have to design a training program to include learning objectives in more than one area. To accomplish this task, project leaders should combine several instructional methods into an integrated whole because no single method can do everything well.

These various instructional methods can be divided into two broad learning categories: cognitive and behavioral. Either the behavioral or the cognitive instructional method can be used to change attitudes, although each does so through different means. For example, cognitive instructional methods provide verbal or written information, demonstrate relationships among concepts, or provide the steps for how to do something.

These methods stimulate learning through their effect on intellectual processes and are associated most closely with changes in knowledge and attitude. Cognitive methods are best for imparting knowledge or development. Behavioral methods on the other hand allow the learners to practice using the newly acquired behavior in a real or simulated event. The methods stimulate learning through behavior and are best used for skill acquisition or behavior change.

**What other insights or suggestions do you have given your review of the road map?**

Some other areas of attention that are important for the implementation of this road map are to make certain that, given its scope and breadth, project teams clearly communicate the change vision and do it early. The earlier in the change process that the end goal is communicated, the easier it will be for individuals in the organization to adapt. People may work at cross purposes if they are unaware that they are pursuing dissimilar goals.

Team leaders also need to outline the benefits and impacts of the transformation to allay fears and concerns aroused by these changes. They need to explain why the change is happening and what the whole thing really means in the long run. Employees may wonder what effect it will have on them - will they still have a job after the change, will they maintain their position, will they have an interesting role, what will their future be? Because these questions will always be asked, and uncertainty in a working environment reduces productivity, it's imperative to communicate what is changing and why.

In addition, Commerce City leaders need to actively communicate throughout the change process. This directive is about showing that the organization and its leaders remain committed to the change. The personal and visible involvement of the organization's top leaders in communicating the change sends a powerful message to stakeholders about how serious the organization is in implementing the change. This **is not** something that should be delegated.

Project leaders should also use multiple channels to communicate the change message. This is paramount because some people are visual learners and best approached with written material. However, others do better by listening and responding to the spoken word and yet others may need physical examples or "dry-runs" to fully understand the complete message.

We believe that this effort will help provide opportunities for dialogue that will promote a sense of ownership and will demonstrate to stakeholders that their opinions are important and their comments and suggestions are valued. This also allows for the repetition of the change messages through various communication channels. These various opinions and strategies will keep all on task with maximum efficiency and will assist in the project team's ability to monitor and measure the effectiveness of communications, work, and final change implementation.