Implementing Document Imaging at Western
Revised 2012-04

Introduction

This document describes the responsibilities associated with proposing, approving, planning and implementing document imaging projects designed to support current university business operations and related functions. It also outlines the process to be followed to seek approval for such projects. Although the primary focus is on using LaserFiche, the centrally supported document imaging software solution, the information can be applied, with appropriate modification, to any proposed use of document imaging at Western.

Responsibilities

Department/Unit
- Prepare a "Document Imaging Project Application" (see Appendix A) and submit it to Western Archives.
- Provide funding for local implementation costs, including individual user software licensing and annual maintenance fees, hardware (e.g., scanners, PC upgrades etc.), and external professional services as required.
- Designate a department/unit project coordinator to be responsible for local activities and to work with other Western staff and vendors.
- Designate a department/unit security administrator to be responsible for managing local access and security issues (can be project coordinator or another staff member)
- Ensure all appropriate staff take part in project planning, implementation, training and ongoing maintenance.

Department/Unit IT Support (Local or ITS)
- Participate in software training.
- Install software and hardware.
- Provide technical assistance for hardware.
- Provide technical assistance for software, in conjunction with WISG as required.

Western Archives
- Provide advice and assistance to department/unit staff in preparing initial application.
- Review the "Document Imaging Project Application" to identify and address records management issues.
- Refer the "Document Imaging Project Application" to WISG with recommendation on whether to proceed.
- Assist in project planning, including identification of workflow and licensing needs (full user/view only).
- Assist with project implementation, training and ongoing maintenance.
- Provide records management services for source documents (i.e., paper records), including storage or disposal.
- Provide records management assistance in managing electronic data, including security, access and retention.
- Assist WISG in managing the vendor relationship on behalf of Western.

Western Information Systems Group (WISG)
- Review the "Document Imaging Project Application" to identify and address information systems needs.
- Decide whether to approve the "Document Imaging Project Application" based on an assessment of the identified criteria (i.e., capacity, return, risk and timelines).
- Provide technical assistance in project planning, implementation, training and ongoing maintenance.
- Manage technical issues relating to servers, in cooperation with ITS or department/unit IT.
- Coordinate software upgrades, in cooperation with ITS or department/unit IT.
- Coordinate overall security administration.
- Manage vendor relationship on behalf of Western.

DOCUMENT IMAGING PROJECT APPLICATION FORMAT
Updated 2012-04

INTRODUCTION

Applicant units are responsible to work with Western Information Systems Group, Western Archives and, as appropriate, Information Technology Services to ensure that the proposed document imaging project will make effective use of university assets and resources to achieve business process improvement or support existing initiatives.

Applications should be prepared with a focus on capacity, return, risk and timeline, rather than detailed technical considerations. In order to determine if a proposed project should be undertaken and centrally supported, each application is reviewed on the basis of the following criteria:

Criteria	Description
Capacity	Are the needed resources available to undertake the project and see it through to successful completion? What other projects of potential value would be delayed if scarce resources are assigned to this project?
Return	What are the benefits of the project to the unit? What are the benefits of the project to Western? What is the return on investment (cost/benefit)?
Risk	What are the implications of not doing the project? What are the implications of not completing the project successfully?
Timeline	Are the proposed benefits likely to be realized in a reasonable timeframe?

APPLICATION ELEMENTS

Applications must provide the following information to assist the appropriate review body in deciding if the project should be approved.

Statement of the Existing Situation

Provide a brief (1-2 paragraph) non-technical executive summary of the existing situation to be addressed or the new initiative to be undertaken.

Analysis

Define the problem to be solved or the new service to be provided. Where appropriate, provide facts and figures to demonstrate the scope of the existing challenge.

Proposed Solution

Explain why document imaging is the preferred solution to the problem or the best way to introduce the new service. Indicate if other options have been considered and, if so, why they were rejected.

Projected Benefits

Provide details of the anticipated benefits in both the short and long term. Where appropriate, provide facts and figures to demonstrate the dimensions of the problem. Explain how the project supports and enhances Western's mission.

Target Population

Explain who will be benefit from the successful completion of the project, both internally and, if applicable, externally. Indicate the estimated size of the target population.

Resource Implications

Identify the resources currently available and required in order to complete the project, including Western staff, external consultants/contractors, hardware and software. Define the roles and responsibilities of each participant, with

particular emphasis on applicable internal and external technology partner(s). Estimate the total project cost and identify the funding source(s), including the amount of central funding requested.

Risk Identification
Explain the impact of not undertaking the project. Describe the risks associated with project failure (e.g., damage to Western's reputation, loss of revenue, failure to comply with legislation, corrupt data, requirement for extensive customizations, unsupported applications, etc)

Evaluation
Describe the strategy for evaluating the success of the project. Describe how the unit will track and document the positive results of the project. Use quantitative measures where possible.

Workflow and Schedule
Describe the proposed development and implementation process and schedule, including steps to be taken prior to starting imaging (e.g., weeding files, reviewing internal business processes workflow, etc). Where appropriate, explain the significance of the schedule dates chosen.

Appendices
Provide supporting statistical analysis or date, references or other information relevant to the project.