EDMS Toolkit

Colorado Business Process Reengineering Project

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1. EDMS TOOLKIT

Colorado has implemented two phases of an electronic document management system (EDMS) into both the Program Eligibility and Application Toolkit (PEAK) and the Colorado Benefits Management System (CBMS). The most recent phase expanded the functionality for EDMS to small and medium counties, allowing them to use EDMS as their own electronic case file system and as a basic workload management system. Many counties have expressed interest in using EDMS but not all counties have taken steps to integrate the system into their normal business processes.

This toolkit will help your agency prepare for and tailor the implementation of EDMS into your daily operations. You can use this toolkit to integrate EDMS (or another electronic document management / workload management system). The guidance and tools provided here will help you examine and modify your current business processes so that EDMS can streamline your daily work, rather than encumber it.

This toolkit is not meant to detail how a county should use EDMS – rather, it provides tools and methods to help your county determine how it can use EDMS in a way that best suits your current operations and client needs. Agencies who assign work through an alpha-split model can use EDMS' current functionality to accommodate their current organization. Offices that manage work through a task-based or "push-pull" system may need to make certain modifications to EDMS to align with their business practice.

For more information on how to adapt EDMS to a task-based work model, you can read about how Alamosa County has scaled EDMS across their program areas in **Appendix A**. Many thanks to Justin Rilling, Program Manager, and Catharine Salazar, Director, from Alamosa County Department of Human Services for granting permission to share their agency's EDMS processes and implementation highlights with other Colorado counties through this toolkit.

1.1. HOW TO USE THIS TOOLKIT

Use this toolkit as a guide to walk you through implementing such a major change into your daily business practice. You can choose to either follow each section in order or skip to those sections that are most relevant to your team's needs. The toolkit contains guidance in the following areas:

- Staff readiness

- Evaluation of current state processes that will be impacted by using EDMS

- Creation of future state workflow processes, calling out EDMS touchpoints

- Implementing the change, including setting up a project team and developing a Project Charter

- Steps to monitor progress during implementation

1.2. TOOLKIT CONTENTS

This toolkit contains the following key tools and resources:

- **Staff readiness assessment tool** – A tool used to gauge staff readiness for moving from paper to an electronic document system

- **Value stream mapping** – Information on how to complete a value steam map for your current and future state

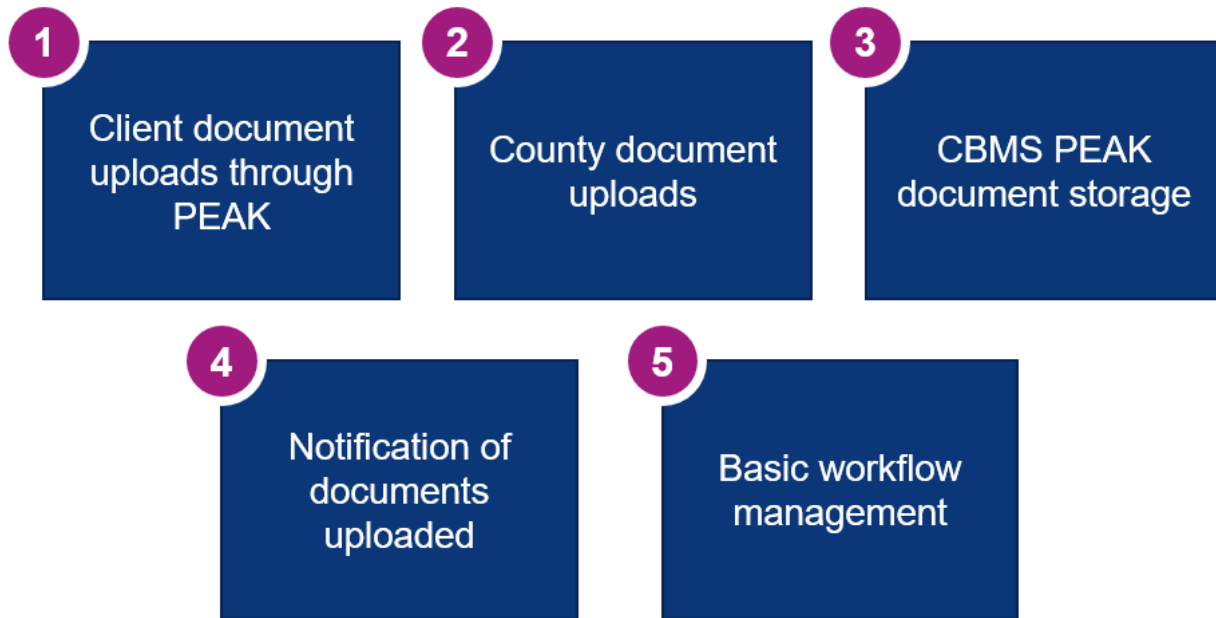- **Waste walk** – Resources and information on how to conduct a waste walk

- **Project charter** – A template to help guide and organize your team as you implement EDMS

- **Progress tracker** – A tool that helps your visually track progress towards the goal of integrating EDMS

2. WHAT IS EDMS

EDMS is Colorado's electronic data management system. It is a centralized scanning and storage system that gives counties the ability to upload, view, route, and print documents from a central, electronic repository. Clients have been using EDMS to upload their documents through PEAK for several years.

2.1. EDMS CAPABILITIES

There are five major capabilities of EDMS that help both counties and their clients. f

1 Client document uploads through PEAK

2 County document uploads

3 CBMS PEAK document storage

4 Notification of documents uploaded

5 Basic workflow management

2.2. EDMS FUNCTIONALITY

EDMS' functionality allows for technicians to manage their clients' forms whether they're submitted in-person, via PEAK or through an inter-county transfer. The key features of EDMS' functionality can be broken down into two operational domains: document scanning and workflow management. The tables below outline the ways in which EDMS can fulfill these business needs:

Scanning / Document Management	Workflow Management
• Scan directly into EDMS	• Notification of uploaded documents
• Upload documents into EDMS	• Six designated queues for indexing
• Provide receipts to clients	• Workflow notifications
• Date stamp when document is received	• Routing and processing rules
• Index documents	
• Search and sorting capability	
• Email / faxed correspondence can be routed to EDMS directly	

2.3.   EDMS COMPONENTS

There are five major components that make up EDMS.

Capture and Indexing: Capture and Indexing is the EDMS system that you'll use for document capturing. Documents can be captured in either of these two methods:

- A desktop scanner

- Uploading from a computer or email.

Content Explorer: Content Explorer is the application used to search and view content in Perceptive Content. You'll use Content Explore to:

- Search and view client documents and case files

- View and complete tasks

EDMS Reports: You can access several reports to monitor EDMS in COGNOS. The most useful reports are:

Report Name	Description	Use if…
Completed tasks by task template	Displays the number of completed tasks processed in a specified date range. Includes details on the completion time for tasks.	You want to track how many tasks were completed and how much time it took for a task to be completed.
Folders with incomplete tasks	Displays the details of the folders that have incomplete tasks and the users assigned to the tasks	You want to identify which case files have incomplete tasks and to whom those tasks are assigned.
Tasks cycle time	Displays the number of tasks that were completed in the specified time period and the time it took to complete the tasks from the time they were assigned	You want to track how long it took for a task to be completed.

EDMS Queues: Documents that are scanned or uploaded into EDMS can be indexed in one of six queues. These queues are selected by the individual scanning/uploading the document.

New Case	Ongoing Case	Closed Case
Confidential Case	**ACP Case**	**Email / Fax**

Workload Management: EDMS serves as a basic workload management tool. This means that documents have "due dates" by when they should be viewed and worked by an eligibility technician. Due dates are assigned automatically based on the type of document and the sub-type of document. EDMS will also pull data directly from CBMS to help determine the correct due date.

Below are some criteria for how due dates are assigned – you can find the complete list of the types of documents and their respective due dates in the **EDMS Due Date Logic deck aid in CoLearn**.

- Pending VCL – due date in EDMS will default to the earliest VCL due date

- Program discontinued within past 30 days – due date in EDMS will default to the same day

- Program will discontinue in the next 30 days – due date in EDMS will default to the same day

2.4.   SETTING UP EDMS AT YOUR COUNTY

1   Contact the appropriate OIT staff to start the process

a.   Brenda LaCombe – Brenda.lacombe@state.co.us
b.   Tammy Foster – tammy.foster@state.co.us

2   Determine how you will pay for the scanners, if needed

a.   County funds
b.   Grant funds

3   Determine the type of scanner to purchase. OIT staff can provide recommendations.

3. STAFF READINESS

Moving from paper files to an electronic system, and, potentially, a workload management system, is a major change. This change requires careful planning, extensive communication, and support.

3.1.   READINESS ASSESSMENT

Prior to moving to an electronic document system, you should first assess how ready your county is to make the change. Management overseeing the teams impacted by these changes should walk through the entire readiness tool in **Appendix B**. This tool will help you determine areas where you need to concentrate time and resources to pave the way for a successful implementation.

This tool can be used during existing staff meetings or during specific EDMS planning meetings. It is important to complete this assessment periodically throughout the EDMS implementation – this will allow you to shift resources and make critical decisions, such as "go" or "no go". Below is an example of how you might use this tool to capture feedback from staff and assign next steps.

| Key to Success	Key Indicators	How is my office doing now?	What do we need to do next?	Who will follow-up and by when?
Logistics	☐ All staff who are responsible for scanning have the scanner at their desk OR there is a shared scanner for all staff to use ☐ All scanners have been checked to make sure that they are connected to the computer ☐ Staff know basic troubleshooting steps (e.g. scanner won't turn on, paper gets stuck). ☐ EDMS desk aids have been created and stored in a central location ☐ State issued EDMS desk aids are bookmarked for future reference	*Scanners currently sit on desks and haven't been used for months.*	*Clean off the scanner and plug it in.*	

4. UNDERSTANDING YOUR CURRENT STATE

Before delving into the ways EDMS will replace some steps of processing paperwork (or add some steps), offices should first understand their current workflow from the moment a client submits a form. Offices will experience limited gains when implementing a technology solution onto a less-than-ideal business practice - the result will likely be extra confusion and frustration. Staff won't see the value in the new tool and will be quick to abandon adoption. Below are some key steps to defining the current state business process and understanding the potential future state:

I.   Outline your current operations using process value stream mapping and process metrics to determine improvement opportunities (countermeasures).

II.   Conduct a waste walk to see where there are inefficiencies in your current process tied to paper

III.   Map out your future state to understand training, resource needs to integrate EDMS

4.1.   VALUE STREAM MAPPING (VSM)

A value stream is a sequence of work or events that an organization does to fulfill a customer's request by delivering something of value to them. A value stream includes all the work that takes place in the delivery of service or product to a customer or constituent. VSM is a tool used to visualize the flow of a process including the materials, information, and work needed. VSMs can be used to describe the current state of a process and the future state. Changes can incorporate shifting the order of work, who does work, and materials needed for work. Iconography that can be used to display these details are shown in the graphic below. However, the icons are not necessary to gain insights from VSM.
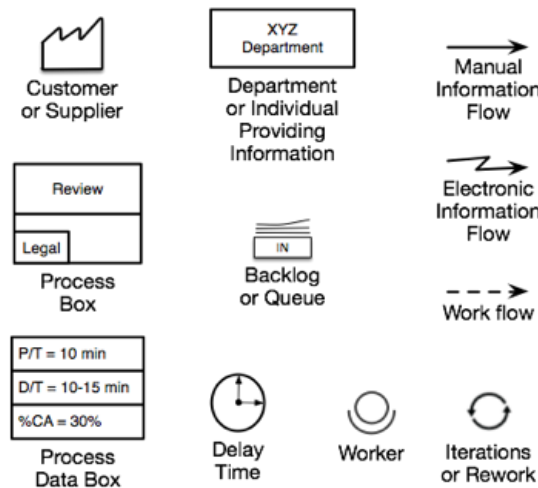
Another component of VSM is process metrics. Process metrics identify how long components of a process take along with the quality of the output. Each process metric and respective definition can be found in the table below. Process metrics can help identify pain points in a process, signified by long wait or delay times. Process metrics can also evaluate whether changes were successful in improving value.

Metric	Abbreviation	Definition	Application to Medical Assistance Eligibility
Wait Time	W/T	Before work enters a process	The time a verification sits in the front desk inbox, waiting to be time stamped
Process Time	P/T	Time spent actually performing the work	Length of time an eligibility tech needs to review and enter a verification
Delay Time	D/T	After work has entered process, but is temporarily stopped	Time waiting on a client to respond to a voicemail requesting follow-up
Lead Time	L/T	total of W/T + P/T + D/T	The time it takes to complete an RRR from when a client drops something off at the office to when a Notice of Action (NOA) is mailed
Percent Complete and Accurate	%C/A	Percentage complete and accurate of work as it enters a process	The percent of RRRs submitted with all the proper verifications (out of all RRRs submitted)

4.2.   CURRENT STATE MAPPING

To properly understand how paper currently moves through your agency, your team should identify the following points for how documents are received and processed:

- How are documents submitted to your office?

- Who processes the document upon receipt?

- Where are documents stored?

- When are documents filed?

Your team can either gather process metrics by manually tracking paper documents for a set period of time or by generating estimates. These estimates can be captured in increments of days or hours, anything that resonates with the team as a whole.

4.3.   CONDUCTING A WASTE WALK

An alternative way to see how an electronic document system can improve your business processes is by conducting a waste walk to identify where processes tied to paper can slow down your work. A waste walk can be completed in conjunction with a current state value stream map, if staff are unsure of where current inefficiencies lie. **Appendix C** contains a Waste Walk worksheet your team can use.

Below are some examples of waste in service delivery specifically related to EDMS that may crop up in your waste walk. They are good opportunities for problem-solving and process improvement.

Waste	What Does it Look Like?	Performance Impact on Value Stream
Errors: Producing and correcting	Page from client's VCL left on technicians' desk while he/she was out on vacation- Tech filling in had to reach out to client to request missing document	Re-doing work
Waiting/pending time: Idle time, blocked work, waiting work	Documents submitted to the front desk waiting in the inbox	Negative impact on timeliness
Motion: Movement by people	Files moving from one techs desk to another to advance processing	Potentially creates delays if someone is out of the office

4.4.   FUTURE STATE MAPPING

After you've completed either the current state VSM and / or the waste walk, it will be important to think through the different touchpoints across units (front desk, eligibility, lead workers) to understand where and how each person should use the EDMS application in your future state. The following questions should be reviewed with staff as you define your future state:

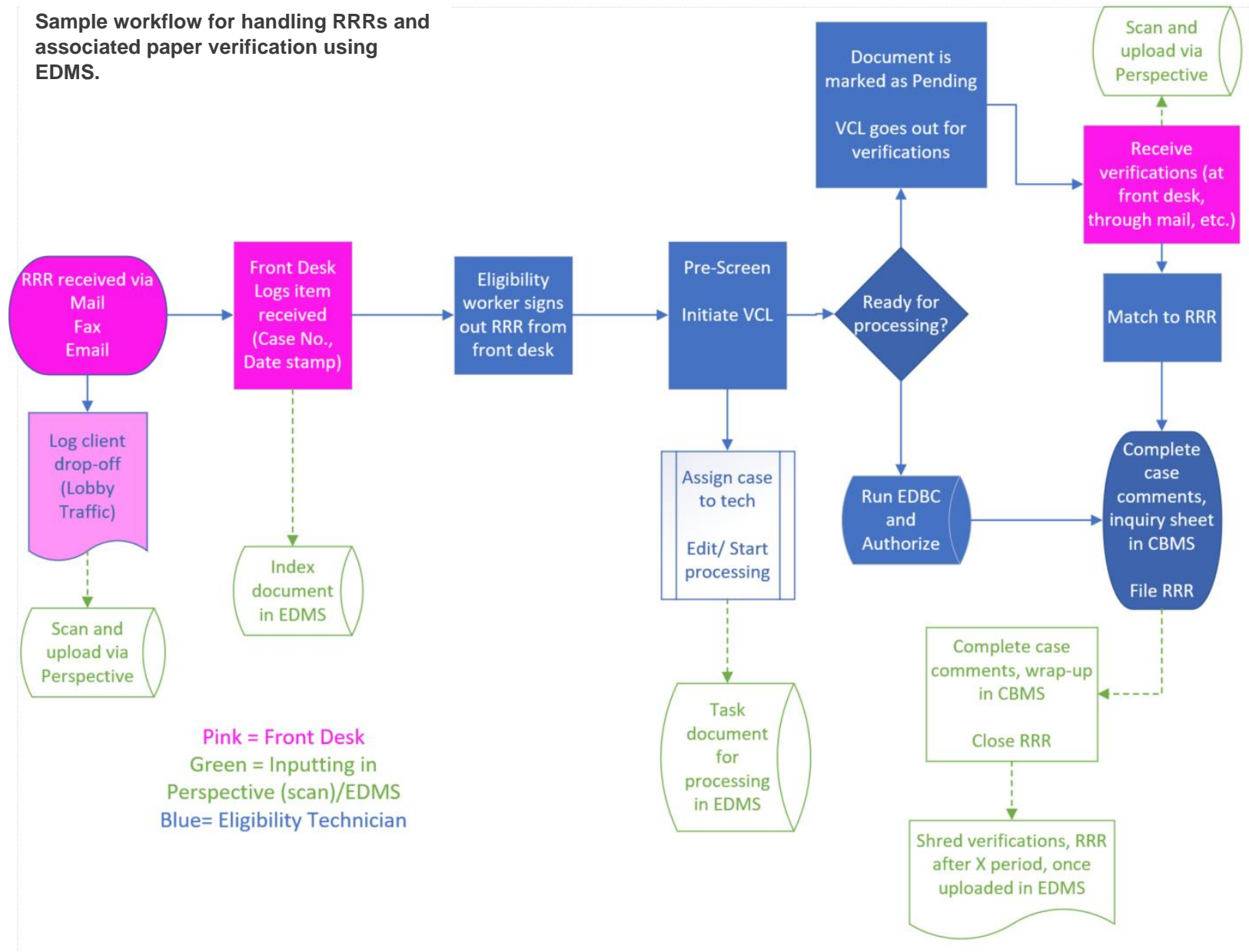| Input (into EDMS)	Output (information from EDMS into CBMS)
• Where do you receive documents now? • How many people touch these documents from start to finish? • How will you handle email and fax submissions? • How many clients submit documents through PEAK? • How will you upload documents already on file?	• How will you prioritize documents submitted? • What does it look like to pull information from a screen and input that into CBMS? • How and when will you dispose of newly collected paper documents?

Once your team has thought through the ins and outs of the future state, you should map out the added steps or revised steps on your current state map to understand where you are and where you'll be going. **The image on the following page is a sample workflow from one of the BPR model sites detailing how they process RRRs and the associated verifications submitted to their office**. The steps in pink are those that involve the front desk and the blue process steps are completed by eligibility technicians. The steps outlined in green indicate where EDMS would impact current business process once fully implemented. Outlining your business process this way makes it easier to understand where your staff may need extra training, resources and communication to successfully execute this process.

*If your team finds that it would be more important to address other improvement opportunities in your current state workflows before implementing EDMS, you can use a PICK chart (see **Appendix D**) to prioritize the potential solutions to pursue and map out how you'll implement these solutions using an Action Plan (see **Appendix E**).*

Sample workflow for handling RRRs and associated paper verification using EDMS.

RRR received via
Mail
Fax
Email

Log client drop-off
(Lobby Traffic)

Scan and upload via Perspective

Front Desk Logs item received
(Case No., Date stamp)

Index document in EDMS

Eligibility worker signs out RRR from front desk

Pre-Screen
Initiate VCL

Assign case to tech
Edit/ Start processing

Task document for processing in EDMS

Ready for processing?

Run EDBC and Authorize

Document is marked as Pending
VCL goes out for verifications

Scan and upload via Perspective

Receive verifications (at front desk, through mail, etc.)

Match to RRR

Complete case comments, inquiry sheet in CBMS
File RRR

Complete case comments, wrap-up in CBMS
Close RRR

Shred verifications, RRR after X period, once uploaded in EDMS

Pink = Front Desk
Green = Inputting in Perspective (scan)/EDMS
Blue= Eligibility Technician

5. IMPLEMENTING THE FUTURE STATE

After your team has agreed to integrate an electronic document system into their business processes and designed the business processes around that system, you will need to assign a few staff members the responsibility of facilitating the move to this future state. The following are some key steps to establishing a strong foundation for your team to achieve the change:

    I.   Choosing an EDMS project manager

    II.   Develop a project charter

    III.   Communicate your plan

    IV.   Staging the implementation

    V.   PDSA cycles

1.1.   CHOOSING AN EDMS PROJECT MANAGER

A successful implementation requires a project manager. This person should be a staff member who has the following qualities:

☐   Interest in learning how to use EDMS and is adept to learning such tools quickly

☐   Strong communication skills to train others

☐   Good rapport with staff

☐   Strong project management skills

☐   Good time management skills

Leadership should confirm with the project manager (and other supporting staff members') supervisor(s) that these staff will receive support to implement this effort, including accommodations for their current work duties.

5.2   DEVELOPING A PROJECT CHARTER[1]

Moving to a paperless system is a big change – because of this, you should consider drafting a project charter to keep you on track and guide your decisions. Below are some fundamentals for establishing a project charter that will guide your work to standup EDMS supportive processes.

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[1] Organizational Effectiveness Handbook v4 by American Public Human Services Association (APHSA).This list has been adapted with permission from an original by the American Public Human Services Association. All rights are reserved.

Every project charter should include:

- A clear, concise scope of work

- A realistic timeline for key milestones of the implementation

- SMART (specific-measurable-achievable-realistic-time-oriented) objectives to inform the what, when and how well of your work

- Relevant performance measures

- Staff assignments for each milestone, specifically a directly responsible individual (DRI) who has permission to delegate tasks to other staff and escalate concerns to leadership

Project Charter

Considerations	Response
Who will do the work?	
Have arrangements been made with that person(s) supervisor(s) to make sure their regular work is completed while they dedicate time to this special project?	
What are the objectives for this project? Short-term and long-term? **Note: These should be SMART objectives.**	
What is the timeline to fulfill these objectives? **What are the key milestones of the project?**	
How will we know that we've fulfilled these objectives? **What are our performance measures?**	
Where can we collect feedback from staff and from our clients to understand the value these changes are bringing?	
What other resources do we need to fulfill these objectives?	

Managers should have continuous check-in points during the implementation. Ask staff where they are seeing (or not seeing) the value of using EDMS. Ask them what else they need to make the implementation successful. Alternatively, seek their thoughts and feedback on where using EDMS can bring value to the experience of the clients who they serve.

5.3   COMMUNICATING YOUR PLAN

Depending on the size of the agency, directors should have some key talking points prepared to make sure consistent messaging is used across staff. These talking points should be tailored for the relative units and their supervisors so that those team members can feel like EDMS is a meaningful solution for their work and their clients. At a minimum, directors will want to develop messaging to be disseminated at the supervisor level for their conversations with staff (i.e., technicians, front-desk staff) and messaging that staff can use with clients to help them understand the changes in business practice (i.e., options to email verifications or submit through PEAK, how the front desk will scan forms, etc.) and how these changes can positively impact the issuance of their benefits.

	Changes to Expect	Benefits	What to do if your staff/clients have more questions?
Supervisor Messaging to staff			
Technician messaging to clients			
Front Desk messaging to clients (as appropriate)			

5.4   STAGING THE IMPLEMENTATION

Once you have setup your project charter and your staff are comfortable discussing what these changes may mean to your clients, consider how you will scale out EDMS across your office. It is important to give your team time to adopt this new process and refine it as you start putting it into practice. Implementing a new technology that will impact all programs should be done slowly, allowing time for testing and reflecting on results of modifications.

 Below are steps you can take to stage the EDMS application:

	Task-Based	Case-Based
Applying EDMS process to cases relative to one discrete program area (i.e., MAGI only)	X	
Applying EDMS process to only certain letters of alphabet		X
New Cases Only	X	X
New documents on active cases	X	X
The full case file when a new document is received	X	X

The project team implementing these changes should test out these process changes in small increments. They can do this using the PDSA model, which allows for short-term pilots of new business processes, without investing substantial training or resources.

5.5   PLAN, DO, STUDY, ACT: THE PDSA CYCLE

The PDSA cycle is a tool that allows your test small changes / pilots within your business processes. After identifying what you want to try, you design the experiment, run the test, and then assess how it went. You can use the Action Plan tool in **Appendix E** to organize your staff participating in the PDSA project.

- Identify the **problem** you want to solve *(Plan)*
    - o Develop a **theory** about how to remove the problem *(Plan)*
    - o Develop an experiment to **test** your theory *(Plan)*

- **Run the experiment** and **observe** the results *(Do)*

- **Analyze** the results *(Study)*

- **Confirm or reject** the theory *(Act)*
    - o If the experiment **was successful**… Standardize adoption of what was learned
    - o If the experiment **was not successful**… No problem! Create a new experiment to try it out.
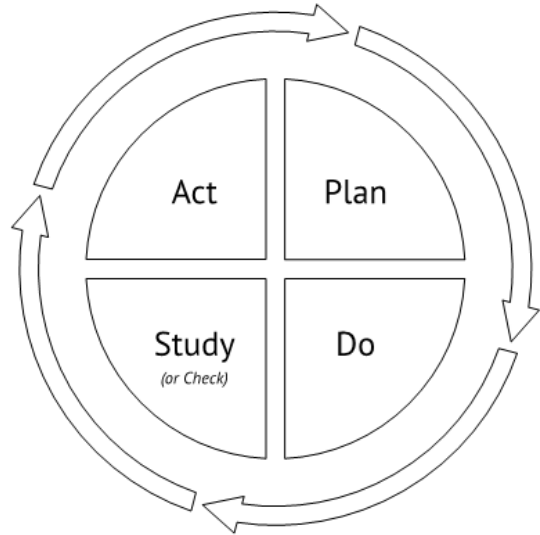
6.   MONITORING PROGRESS:

Monitoring your progress in moving to your future state is just as important as implementation. It is important to communicate progress to the rest of staff. Transparency will allow staff to discuss challenges and celebrate successes. Managers should use existing venues (i.e., staff meetings, daily huddles) to discuss the status of the changes and can use the following tools to facilitate those conversations.

     I.   Progress Updates

     II.   Using Lean Coffee to field questions/concerns

6.1.   PROGRESS UPDATES

The project manager can use formal tools, like the one below, to communicate progress visually. Be sure to use key performance indicators that are meaningful to your team and easily measured. This could mean tracking total number of documents scanned in comparison to the number of documents received. The template below outlines how long efforts are taking, whether they are on track, and mitigation steps for pieces of the work that have fallen behind schedule. A template of this tool is in **Appendix G.**

Progress Tracker

GOAL: Transition active case paper files to EDMS

OBJECTIVES:

1. All paper received through the front-desk will be scanned into EDMS upon receipt within 30 days
2. Eligibility techs will scan 60% documents received from clients within 1 week of receipt
3. Scan 20% of historical files within 8 months

STATUS:

#	Objective	Description	Lead	Start	Finish	Status	Updates
1	**All paper received through the front-desk will be scanned into EDMS upon receipt within 30 days**	Front desk will scan and upload all documents received following the agreed upon indexing procedures.	Front Desk Lead	May 1	June 1	🟩	5/40 documents not scanned Week 2
2	**Eligibility techs will scan 60% documents received from clients within 1 week of receipt**	Techs will assume responsibility for scanning any verifications they receive (that are not passed through the front desk), and will upload them in a timely fashion.	Eligibility Supervisor	May 1	June 15	🟪	Scanners down
3	**Scan 20% of historical files within 10 months**	Front desk staff will scan, upload, index historical files in downtime.	Front Desk Supervisor	May 1	March 1 (following year)		

KEY PERFORMANCE INDICATOR:

- Number of unscanned forms / forms received per week
- Number of historical files scanned / Total historical files

Status Tracker:

| In Process	Slow Start	In Development
Completed	Not Started	No Longer Required

6.2   LEAN COFFEE

Lean Coffee is an effective way to facilitate learning and collaboration in a group setting. Lean Coffee allows for an agenda-less, but structured meeting as participants decide upon the agenda. It is an effective way to receive buy-in from staff and understand the priorities of the group as you move forward in implementing business process changes. This is also an effective tool for moderating conversations, relying on the group to determine if something should be discussed at-length at another time or when more information is available.

Steps in the Lean Coffee process:

1. Set up a Kanban Board (white board, flip chart, etc.) with the columns "Options, Doing, Done, and Epiphany."

2. Participants write topics of interest to be placed in the options column on post-it notes.

3. Participants vote on the topics and the most voted for topics become the meeting agenda.

4. As topics are being discussed, they are moved to the "doing" column.

5. Once finished, the topic is moved to the "done" column and if significant insights or action items arise from the conversation, the "epiphany" column is used to document these.

Your office can use the "Roman Vote" to both keep conversation flowing and to limit time spent on topics that need further discussion in a separate venue. Each topic begins with a 5-minute conversation, then…

*   Once time runs out, participants vote for whether they want to continue talking about the topic (signified with a thumbs-up), are finishing the conversation (signified with a thumb to the side) or are finished with the conversation (thumbs-down).
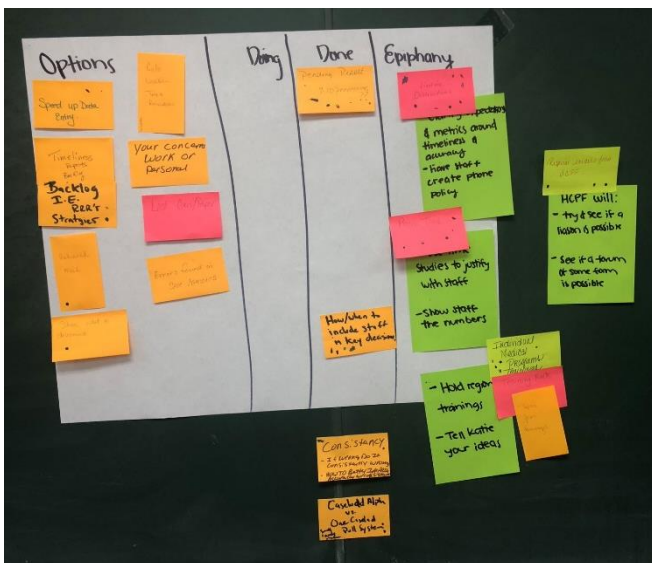
o   If a majority have a thumbs-up, 5 more minutes is added to the timer.

o   If a majority are thumbs to the side, 3 more minutes is added to the conversation.

o   If a majority have thumbs-down, the conversation is finished. This method helps reign the conversation to be salient and constructive. If it is not, there is a mechanism to finish and move onto another topic for effective use of time. An example of a Lean Coffee board is to the right:

APPENDIX A. ALAMOSA CASE STUDY

Below is some information on how Alamosa County transitioned its verification processes from paper to EDMS. Though their approach may not directly align with the size or organization of your team, there are a few lessons learned that are worth considering as you finalize your EDMS implementation plans.
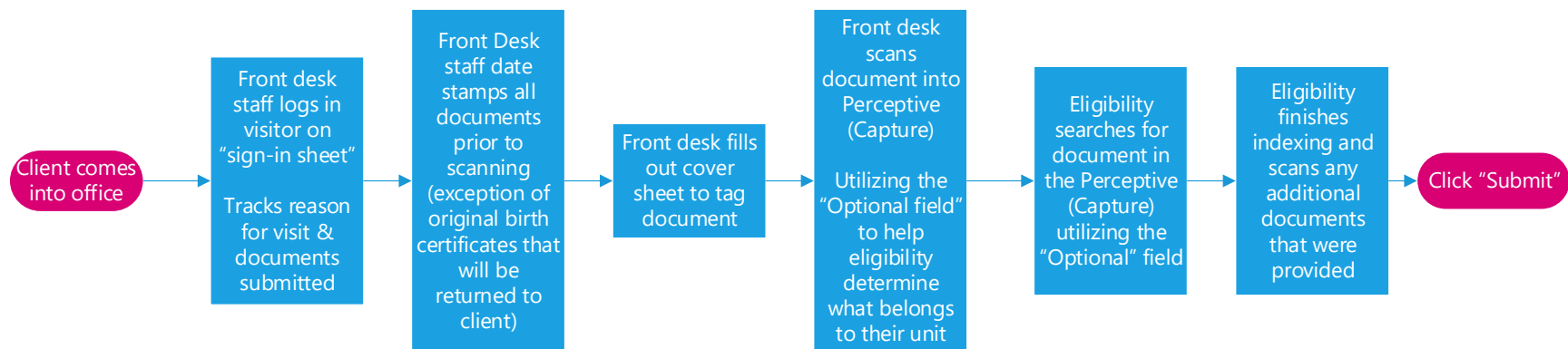
The table below outlines of some of the key process and staffing changes Alamosa implemented and other processes/policies they maintained that influence how they integrated EDMS into daily operations:

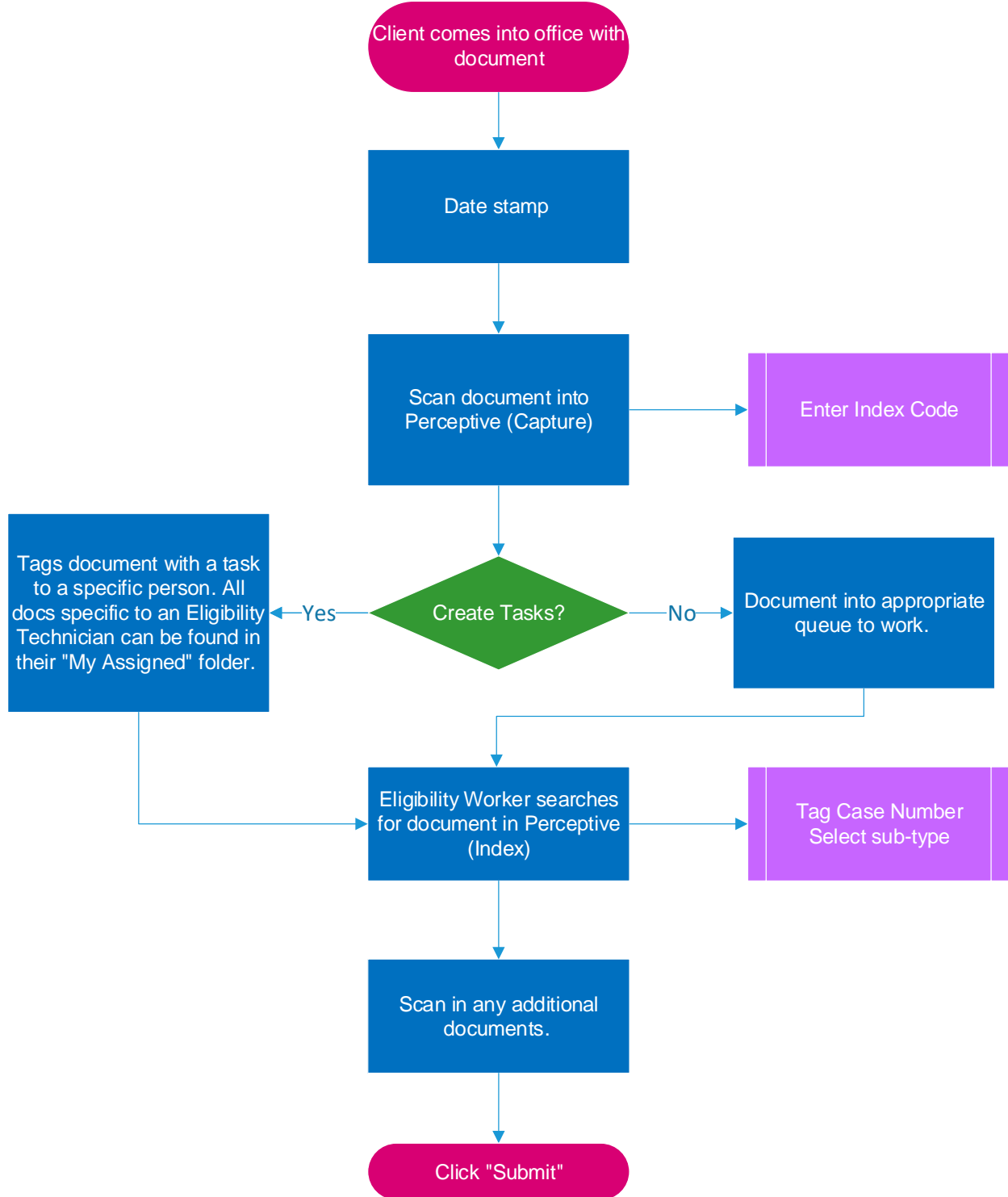| Implementation Highlights	
Process Changes	• Forms are now indexed according to a specific algorithm that is used throughout the department • Front desk staff use the same cover page to catalog documents prior to scanning. Cover page includes client's name, phone number and case number. • Front desk staff use department-wide Google sign-in tracking sheet to monitor documents received/processed*
New Resources	• Time allocated for participating in planning meetings • Google tracking sheet
Paper Retention Policy	• New documents are scanned into EDMS, and original paper submissions are held for up to 3 months
Staging Implementation	• Alamosa integrated EDMS into one program's regular operations within three months • EDMS processes were scaled out to rest of the department in the following six months
Staffing Changes	• Front desk maintained same responsibilities • Eligibility Technicians are responsible for scanning all new documents, verifications not submitted directly to the front desk
Scanning Historical Files	• Historical files are scanned as needed • Alamosa county still follow the original standard of holding onto documents for a case for the current year (and up to 3 years prior)
Performance Improvement	• Time saved without having to make copies • Front desk staff reduced by 1 full-time employee

* There is no notification sent to eligibility technician when documents are uploaded through PEAK. Therefore, staff need to manually search for these documents using a special filter in EDMS.

The next page provides a workflow mockup of Alamosa's process for managing submitted documents, which is based on a case-based model. Counties who use a task-based model to manage their work can reference the workflow on pg. 21 as a potential method to integrate EDMS into their operations.

ALAMOSA COUNTY DHS EDMS WORKFLOW

Client comes into office → Front desk staff logs in visitor on "sign-in sheet"

Tracks reason for visit & documents submitted → Front Desk staff date stamps all documents prior to scanning (exception of original birth certificates that will be returned to client) → Front desk fills out cover sheet to tag document → Front desk scans document into Perceptive (Capture)

Utilizing the "Optional field" to help eligibility determine what belongs to their unit → Eligibility searches for document in the Perceptive (Capture) utilizing the "Optional" field → Eligibility finishes indexing and scans any additional documents that were provided → Click "Submit"

OPTIONAL EDMS WORKFLOW- TASK-BASED MODEL


```
Client comes into office with
document
          │
          ▼
     Date stamp
          │
          ▼
Scan document into ──────────► Enter Index Code
Perceptive (Capture)
          │
          ▼
      Create Tasks?
    Yes ◄──    ──► No
     │              │
     ▼              ▼
Tags document    Document into
with a task to   appropriate
a specific       queue to work.
person...
     │              │
     └──────┬───────┘
            ▼
Eligibility Worker searches ──────► Tag Case Number
for document in Perceptive          Select sub-type
(Index)
            │
            ▼
Scan in any additional
documents.
            │
            ▼
      Click "Submit"
```

Tags document with a task to a specific person. All docs specific to an Eligibility Technician can be found in their "My Assigned" folder.

APPENDIX B. STAFF READINESS ASSESSMENT TOOL

Key to Success	Key Indicators	How is my office doing now?	What do we need to do next?	Who will follow-up and by when?
Logistics	☐ All staff who are responsible for scanning have the scanner at their desk OR there is a shared scanner for all staff to use ☐ All scanners have been checked to make sure that they are connected to the computer ☐ Staff know basic troubleshooting steps (e.g. scanner won't turn on, paper gets stuck). ☐ EDMS desk aids have been created and stored in a central location ☐ State issued EDMS desk aids are bookmarked for future reference	.	.	
Leadership	☐ One person has been designated as the EDMS Project Manager and one "back-up" SME has been identified. ☐ EDMS Project Manager actively solicits feedback and questions. ☐ EDMS Project Manager regularly and effectively communicates information and guidance to office staff. ☐ EDMS Project Manager is committed to making EDMS successful and demonstrates ownership			
Planning	☐ We have a clear and written plan on how current documents/active cases will be scanned ☐ We have a clear and written plan on how closed case files will be scanned ☐ We have identified who is responsible for scanning current documents / active cases. ☐ We have identified who is responsible for scanning closed files.			

| Key to Success	Key Indicators	How is my office doing now?	What do we need to do next?	Who will follow-up and by when?
Eligibility Technician Buy-In	☐ All eligibility technicians understand how EDMS can support their current processes ☐ Eligibility technicians understand the value in moving away from using paper ☐ Technicians understand their role in a successful EDMS implementation ☐ Technicians have a solid understanding on the purpose of EDMS			
Employee Competency & Comfort Assessment	☐ All staff have received the appropriate training for their role ☐ Training materials are available in a centralized location for review and refreshers ☐ EDMS Project Manager/team have sat with each staff to asses competency with the new hardware ☐ EDMS Project Manager/team has sat with each staff to assess competency with the new software ☐ Supervisor(s) have sat with each employee and specifically discussed employee comfort level with the EDMS applications ☐ Supervisor(s) have sat with each employee and specifically discussed employee comfort level with electronic case files			
Resources	☐ There are process maps outlining the steps required to scan documents and when scanning will occur ☐ EDMS desk aids are stored in a central location that all staff can access			

APPENDIX C. WASTE WALK WORKSHEET

Waste	What do you notice?	Performance impact on value stream	Possible countermeasures
Errors Producing and Correcting			
Backlog Having too much of something to work			
Waiting / Pending Idle time, blocked work, waiting work			
Churn Unnecessary steps, questions, paperwork, or rework			
Customer Response Time Length of time required for a customer to interact with the agency			
Non-Utilized Talent Not using the best work techniques and processes of staff			
Paper Documentation Requesting paper forms of information when electronic are available or accessible			
Motion Movement by people, documents, clicks of a mouse			

APPENDIX D: PICK CHART

After completing your waste walk or your current state value stream map, your team can create a list of their opportunities for improvement and corresponding countermeasures that might resolve the inefficiencies. For example, if your team found that having to go to the front desk to pull new forms throughout the day was an inefficient use of time, your team might decide to have the front desk distribute forms received two times a day as a potential countermeasure to better use technicians' time. Once you have listed out your countermeasures, your team can then move to prioritizing which efforts to focus on in the near future using a PICK chart.

PICK stands for **Possible – Implement – Challenge – Kibash**. A PICK chart helps teams evaluate which projects they should pursue across two axes: effort and impact. Evaluating efforts involves understanding the human resources, capital and time needed to successfully implement the counter measure that will potentially help you improve the problem area. Impact relates to the difference the countermeasure will make to achieving your desired performance metrics and other goals for your staff.
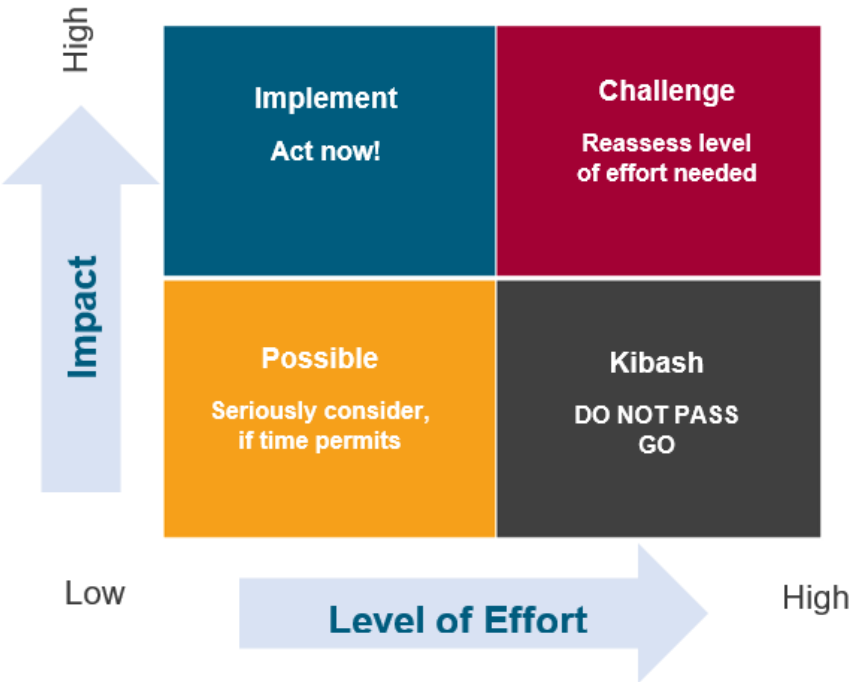
Below are some questions you might ask your team to evaluate where different countermeasures might fall in this matrix:

Effort	Impact
How much time would this require your team to implement?	How much time would this countermeasure potentially save your team?
Would extra training be necessary?	Would you be able to reduce the number of staff needed to complete this process?
Do you need other materials, equipment to implement this process?	Would this change allow you to provide better service to your clients in other areas?

APPENDIX E. ACTION PLAN TEMPLATE

Once you've determined which countermeasures to pursue, your team should build an action plan. These plans will help your team break down the key steps to implement the countermeasures you selected by assigning responsibility to different people on the team, clarifying deadlines and identifying specific outcomes that will indicate success.

Who's working on this plan?	
What is the change you would like to try?	
What is the outcome you want to achieve?	*…in order to…*
List up to three targets you'd like to meet if the change was successful. (Observable, measurable, and timed.)	

Task	Who?	When?	Support and resources

APPENDIX F. EDMS CHECKLIST

Below are some recommended steps to include when you start the process of integrating EDMS into your agency.

- ☐ Perform a staff readiness assessment to gauge readiness to adopt EDMS

- ☐ Define the current state of processes that will be impacted by using EDMS

- ☐ Identify areas for improvement in these processes

- ☐ Define future state of workflow processes, calling out EDMS touchpoints

- ☐ Setup the project team responsible for implementation

- ☐ Develop a Project Charter

- ☐ Develop a Communication Plan

- ☐ Facilitate regular team meetings to understand progress/challenges

APPENDIX G. PROGRESS TRACKER

GOAL

[INSERT HERE]

OBJECTIVES

[INSERT HERE]
[INSERT HERE]
[INSERT HERE]

Status Key

🟩	**In Process**
🟪	**Slow Start**
🟦	**In Development**
🟦	**Completed**
⬜	**Not Started**
🟧	**No Longer Required**

STATUS

#	Initiative	Description	Lead	Start	Finish	Status	Updates
1							
2							
3							

KEY PERFORMANCE INDICATORS

[INSERT HERE]
[INSERT HERE]
[INSERT HERE]