

Queensland State Archives

Guideline for the planning of an electronic Document and Records Management System (eDRMS)

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Queensland Government
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1. Introduction

Many Queensland public authorities are exploring the implementation of an electronic Document and Records Management System (eDRMS) to assist in the management of paper and electronic records and documents.

Benefits of implementing an eDRMS can include:

- the secure and systematic management of unstructured or semi-structured data such as emails and documents
- a reduction in redundancy and duplication of information
- a reduced risk of not being able to retrieve information when required
- improved security, thereby reducing the risk of unauthorised access
- greater ability to discover and re-use corporate information
- better control of document versions, and
- a reduction in the response time for information requests.

In recent times, Queensland State Government agencies have had access to a wide range of advice on planning for and implementing an eDRMS, developed by CorpTech.¹ As Queensland State Archives' (QSA) clients also encompass Local Government, Statutory Authorities and Government-owned Corporations, QSA has released this Guideline in response to requests for additional advice from these sectors.²

1.1 Purpose

Like all Information Technology (IT) projects, successful implementation of an eDRMS requires a wide program of activities that are not solely focused on implementation of the technology system alone.

This Guideline has been developed to assist public authorities to plan for the introduction of an eDRMS. It highlights some of the recommended tools and environments that should be in place prior to implementation. It also outlines a number of the key non-technical issues that should be explored and undertaken prior to system deployment.

The Glossary in Appendix A provides clarification and definitions of the terms used in this document.

1.2 Authority

The State Archivist has issued this Guideline in accordance with section 25(1)(f) of the *Public Records Act 2002* (the Act). QSA is responsible for the provision of policy advice relating to a wide range of strategic information management and recordkeeping issues for Queensland public authorities. This Guideline forms one part of a wider policy framework that aims to promote best practice recordkeeping and information management in Queensland public authorities.

¹ CorpTech is the Queensland Government's provider of corporate applications. It is part of the Shared Service Initiative of the Queensland Government, hosted by Queensland Treasury. Their eDRMS Implementation Kit is available to State Government Departments at http://intranet.shareservices.qld.gov.au/edrms/htmldocs/how_to_use/index.htm

² This Guideline has been developed with reference to the advice provided by CorpTech.

1.3 Scope

This Guideline focuses on pre-implementation records management related matters for public authorities planning to introduce an eDRMS. The matters highlighted are not exhaustive, but draw attention to some of the key considerations prior to implementation. Links to additional resources are provided.

Out of Scope

The procurement and implementation of the eDRMS software are not covered in this Guideline. Detailed advice on the migration of records and the integration of eDRMS and business systems is out of scope, as are linkages with enterprise content management systems.

1.4 Acknowledgements

The contributions made in the development of this Guideline by representatives from CorpTech, Department of Education, Training and the Arts, Maroochy Shire Council, Department of Communities and Disability Services, Department of Public Works, Department of Housing, Forestry Plantations Queensland and the Department of the Premier and Cabinet are acknowledged.

2. What is an eDRMS?

Organisations generally have a records management software application to manage their hard copy files and records. Increasingly, organisations are implementing eDRMS to facilitate the management of electronic records within the organisation, along with hard copy records.

In an eDRMS, records management functionality controls the access and retention of records according to implemented business rules and classification.³ An eDRMS can manage the entire lifecycle of records, from creation through to disposal, and allows for the implementation of records management tools such as a Business Classification Scheme and Retention and Disposal Schedule.

As the name suggests, the functions of an eDRMS include both document management and records management, providing a solution which manages both needs in the one system. While various eDRMS software products may take different approaches to integrating the electronic management of documents and records within the system, there are conceptual differences between the functions of document management and records management. Some of these distinctions are outlined in Figure 1.

Figure 1 – Some key distinctions between electronic document and electronic records management functions

	Document Management	Records Management
Scope	Documents refer to unstructured or semi-structured information such as word processing documents, spreadsheets, multimedia materials, emails, scanned documents and images.	Records refer to material in any format that provides evidence of business activities.
Driver for management	To improve accessibility to and sharing of the information and knowledge within the documents.	To maintain and preserve the content, context and structure of records over their required retention period.
Key activities	<ul style="list-style-type: none"> Version control and checking-in and out of documents to undertake revisions. Activities to enable collaboration between users in the development of documents, such as workflow. 	<ul style="list-style-type: none"> Records are locked or fixed as a representation of the business activity. Classification of records into a functional Business Classification Scheme which provides context to the record. Capture of recordkeeping metadata to provide evidence of the authenticity of the record over time. Disposal of records in accordance with an authorised Retention and Disposal Schedule.

³ Records may be classified for various purposes. For example: they can be classified to identify the security status of a record, such as 'Highly Protected'; or against a Business Classification Scheme, to provide context for the record through identifying the business function to which it relates.

These distinctions are highlighted because some eDRMS software products may have strengths in document management capability over records management. It is important to ensure the selected eDRMS product has adequate records management functionality to be able to ensure the capture and maintenance of full and accurate records.

2.1 Examples of Generic Functional Requirements for an eDRMS

A number of organisations have released generic requirements for electronic records management systems. While these may not encompass the document management functionality outlined in Figure 1 above, they are useful resources to understand the records management functionality of an eDRMS.

<p>International Council on Archives Guidelines and Functional Requirements for Electronic Records Management Systems http://www.ica.org/sites/default/files/ICA-Guidelines-principles%20and%20Functional%20Requirements%20Module%202.pdf This document lists core, high-level and generic requirements for electronic records management systems. It was developed by the International Council on Archives in an effort to develop a harmonised, generic set of international recordkeeping functional requirements for software products based on existing jurisdiction-specific specifications.</p>
<p>National Archives of Australia Specifications for Electronic Records Management Systems Software http://www.naa.gov.au/records-management/publications/ERMS-specs.aspx This is a generic set of requirements for ensuring adequate recordkeeping functionality in electronic records management systems software in Commonwealth agencies. The specifications are complemented by a Guideline: http://www.naa.gov.au/records-management/publications/ERMS-guidelines.aspx</p>
<p>Archives New Zealand Electronic Recordkeeping Systems Standard http://www.archives.govt.nz/continuum/documents/publications/s5/ This Standard articulates a set of functional specifications for electronic recordkeeping systems for use within the New Zealand public sector.</p>
<p>European Commission Model Requirements for Electronic Records Management specification (MoReq2) http://www.moreq2.eu/downloads.htm The MoReq2 Specification details requirements for Electronic Records Management Systems and was produced by Cornwell Management Consultants/Serco Consulting. It was funded by the European Commission and builds on the earlier MoReq Specification which was published in 2001.</p>
<p>Department of Defense, United States of America Design Criteria Standard for Electronic Records Management Software Applications, DoD 5015.2-STD http://jtc.fhu.disa.mil/recmgt/standards.html This is a baseline standard developed specifically for the United State's Department of Defense. It has been endorsed by the National Archives and Records Administration (NARA) of America as a starting point for agencies to develop system requirements. The standard is supported by a program for compliance testing of software products: http://jtc.fhu.disa.mil/recmgt/</p>

3. Records management prerequisites for an eDRMS implementation

A number of initiatives should be undertaken prior to the implementation of an eDRMS. Having the following records management foundations in place will help to facilitate change management and the adoption of the eDRMS by users, thereby increasing the likelihood of success of the project.

Because the following initiatives constitute significant projects in their own right, it is recommended that public authorities take care to consider the program of work that is required to develop these prerequisites, scope the timing and phasing accordingly, and adopt a program and project management framework.

These prerequisites will require ongoing maintenance as business functions change, new staff are appointed, and new internal and external standards and best practice guidance for records management are developed.

3.1 Organisational information management and records management strategies, standards, policies and procedures

Strategies, standards, policies and procedures for the management of information and records, endorsed by the Senior Executive, must be in place for the implementation of an eDRMS to be effective. This should include policies for digitisation, information security classification and access rights so that records can be appropriately and securely managed within the eDRMS.

These foundation documents will guide the business rules and configuration choices when implementing an eDRMS.

Tips:

- *Developing organisational information and records management standards, policies and procedures is an iterative process. They may need to be revised to take into account configuration and process decisions made during implementation of the eDRMS.*
- *The requirement to adhere to standards, policies and procedures for recordkeeping could be included in organisational position descriptions, performance and operational plans, code of conduct training and other similar employee initiatives.*

Useful Resources:

- Queensland State Archives: *Information Standard 40: Recordkeeping*
<http://www.qgcio.qld.gov.au/qgcio/architectureandstandards/informationstandards/current/Pages/Recordkeeping.aspx>
- Queensland State Archives: *Guideline for Recordkeeping*
<http://www.archives.qld.gov.au/downloads/QGEAGuidelineforrecordkeepingQSA1.0.0.pdf>
- Queensland State Archives: *IS40 Self-Assessment Checklist and Guideline*
 - *IS40 Compliance Guideline*
<http://www.archives.qld.gov.au/downloads/IS40ComplianceGuidelineNov2006.pdf>

- *IS40 Compliance Checklist*
<http://www.archives.qld.gov.au/downloads/IS40ComplianceChecklistNov2006.doc>
- *IS40 Compliance Attachments*
<http://www.archives.qld.gov.au/downloads/IS40ComplianceAttachmentsNov2006.pdf>
- Queensland State Archives: *Digitisation Disposal Policy*
<http://www.archives.qld.gov.au/government/ddp.asp>
- State Records of South Australia: *Adequate Records Management in Perspective - Records Management Policies, Procedures & Practices*
http://www.archives.sa.gov.au/files/management_ARM_policies.pdf
- National Archives of Australia: *How to Develop a Recordkeeping Policy*
<http://www.naa.gov.au/records-management/publications/RK-policy.aspx>
- Queensland Government Chief Information Office: *Queensland Government Information Security Classification Framework*
<http://www.qgcio.qld.gov.au/qgcio/architectureandstandards/Pages/security.aspx>

3.2 Recordkeeping awareness and culture

The development of records and information management policies and procedures alone will not automatically mean that all staff are aware of their existence or will actively adhere to them.

An effective recordkeeping culture is one in which there is an understanding and appreciation of the value of making, keeping and managing full and accurate records. In organisations where an effective recordkeeping culture prevails, the fundamental recordkeeping principles and standards outlined within the organisational policies become increasingly intrinsic to work practices at all levels.

The introduction of an eDRMS into an organisation for the first time can be challenging for end users. Because registering records and placing them in the correct file is usually devolved to end users in an eDRMS environment, having an appropriate level of recordkeeping culture in place prior to implementation is important.

Tip:
A Communications Plan and Stakeholder Management Strategy will be useful tools for developing a recordkeeping culture. It will be important to take an approach which not only focuses on growing awareness and capability, but also on gaining commitment and sustaining the change. It is important to include users and other stakeholders in consultation exercises.

An effective recordkeeping culture can be developed through strategies that address:

- *Awareness – for example through provision of information at team meetings*
- *Attitude – for example through establishment of a temporary change management officer to actively assist staff with change strategies, and*
- *Skill levels – for example through provision of a range of training opportunities so that there is a basic understanding of records management fundamentals, the Business Classification Scheme and Retention and Disposal Schedule.*

Useful Resource:

- Queensland State Archives: *Operational Recordkeeping Implementation Plan Workbook: A Workbook to assist State and Local Government in Queensland develop Operational Recordkeeping Implementation Plans (Section 2.5: Developing a Recordkeeping Culture)*
http://www.archives.qld.gov.au/forms_templates/ORIPworkbookv01.doc

3.3 A functional Business Classification Scheme

A functional Business Classification Scheme (BCS) is a tool that describes the functions and activities of an agency, derived from an analysis of business activity. Different eDRMS products may implement the BCS in different ways, through components such as file or record plans or thesauri. However, the characteristic features of a BCS are that it contains terms and scope notes that represent and describe functions, activities, transactions or other elements which encapsulate the nature of the business and shows their interrelationships. The structure of the scheme is hierarchical, moving from the general to the specific.⁴

A functional classification scheme facilitates the management of records. It is a tool that can also help with the identification of vital records and, when linked with the Retention and Disposal Schedule, the management and disposal of records.

Depending on configuration decisions, general users may be required to directly interact with the classification scheme in the eDRMS. Where this is the case, prior familiarity with the scheme may help to reduce the risks associated with change management and adoption of the eDRMS.

Keyword AAA is a functional classification scheme consisting of terms for functions and activities common across the public sector, and is available free of charge to State Government public authorities. Developed by the State Records Authority of New South Wales, it may be used as a basis for developing an agency's classification scheme for controlling and disposing of public records.

Keyword for Councils is a similar scheme for local government.

Contact Queensland State Archives on info@archives.qld.gov.au or phone (07) 3131 7777 for further information regarding licensing and obtaining copies of these classification schemes.

Tips:

- *On occasion it may be challenging for some end users to understand and use a functional classification scheme, particularly when trying to classify records associated with a project. There are various options for the classification of project management records, and these are explored in the Public Records Brief: Classification of Project Management Records*
<http://www.archives.qld.gov.au/publications/PublicRecordsBriefs/Project%20mgt%20classification.pdf>
- *Having highly-trained or 'power users' familiar with the Business Classification Scheme to whom general users can refer may be a useful way of propagating use of the BCS within the organisation.*

⁴ Adapted by QSA from National Archives of Australia, DIRKS Glossary. QSA (2004) Glossary of Archival and Recordkeeping Terms
<http://www.archives.qld.gov.au/downloads/GlossaryOfArchivalRKTerms.pdf>

Useful Resources:

- Queensland State Archives: *Public Records Alert: Business Classification Schemes and Thesauri*
http://www.archives.qld.gov.au/publications/PublicRecordsBriefs/bus_class_schemes_thesauri_200505.pdf
- Queensland State Archives: *Public Records Brief: Functional vs. Subject Based Classification*
http://www.archives.qld.gov.au/publications/PublicRecordsBriefs/functional_vs_subject-based_classification.pdf
- The process of functional analysis is described in the Australian Standard 5090–2003: *Work process analysis for recordkeeping*
- The process of analysing the functions and activities of an organisation is also described in the *Designing and Implementing Recordkeeping Systems (DIRKS) methodology*, in particular, Step B:
 - National Archives of Australia: *The DIRKS Manual: A Strategic Approach to Managing Business Information*.
<http://www.naa.gov.au/records-management/publications/DIRKS-manual.aspx>
 - State Records Authority of NSW: *Strategies for Documenting Government Business: The DIRKS Manual*.
<http://www.records.nsw.gov.au/recordkeeping/dirks/dirks-manual>
- For information on developing a thesaurus for records titling, after identifying functions and activities, see:
 - State Records Authority of NSW: *Guideline 15: Developing and Implementing a Keyword Thesaurus*.
<http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/guidelines/guideline-15/?searchterm=guideline%2015%20keyword>
- For information on using and implementing *Keyword AAA* or *Keyword for Councils*, see:
 - Queensland State Archives: *Using Keyword AAA: A Guideline for Queensland State Government Agencies, Statutory Authorities and Government Owned Corporations*.
<http://www.archives.qld.gov.au/downloads/KAAAGuide.pdf>
 - Queensland State Archives: *Using Keyword for Councils: A Guideline for Queensland Local Government Authorities*.
<http://www.archives.qld.gov.au/downloads/KFCGuide.pdf>

3.4 An authorised Retention and Disposal Schedule

The *Public Records Act 2002* prohibits the disposal of public records without the permission of the State Archivist. This permission is given through authorised Retention and Disposal Schedules.

Having an authorised Retention and Disposal Schedule in place prior to an eDRMS implementation is important. The Schedule provides identification of temporary records, which can be destroyed once their retention period expires, and records of permanent retention value.

With an authorised Retention and Disposal Schedule, agencies are able to sentence records and lawfully dispose of public records once their retention periods have

expired.⁵ Undertaking a sentencing project prior to an eDRMS implementation enables public authorities to lawfully dispose of public records when retention periods have expired, and may reduce the effort and expense associated with the migration of records to the new system.

Tip:

The length of time of a project to develop a Retention and Disposal Schedule will depend on the size of the public authority, how many functions it undertakes, decisions on the scope of the project, and the available resources. For large organisations it may take more than a year and require a small team of staff to identify and appraise all current and legacy records.

Queensland State Archives provides advice on the development of Retention and Disposal Schedules.

Useful Resources:

- Queensland State Archives: *Information Standard 31: Retention and Disposal of Public Records*
<http://www.qgcio.qld.gov.au/qgcio/architectureandstandards/informationstandards/current/Pages/Retention%20and%20Disposal%20of%20Public%20Records.aspx>
- Queensland State Archives: *Guideline for the Development of Retention and Disposal Schedules*
<http://www.archives.qld.gov.au/government/appraisal.asp#guideline>
- Queensland State Archives: *Public Records Brief: Developing Retention and Disposal Schedules – Identifying & Mapping Legislative Recordkeeping Requirements*
http://www.archives.qld.gov.au/publications/PublicRecordsBriefs/developing_retention_disposal_schedules.pdf
- Queensland State Archives: *Guideline for the Implementation of Retention and Disposal Schedules*
http://www.archives.qld.gov.au/downloads/implementation_guideline.pdf
- Queensland State Archives: *Public Records Brief: Implementing Retention and Disposal Schedules –What is sentencing?*
http://www.archives.qld.gov.au/publications/PublicRecordsBriefs/What_is_Sentencing.pdf
- Queensland State Archives: *Sector-specific and General Retention and Disposal Schedules*
<http://www.archives.qld.gov.au/government/disposal.asp>

⁵ Sentencing is the process of identifying which disposal class a record belongs to and applying the disposal action to the record specified in the authorised, relevant Retention and Disposal Schedule. It is a process that requires consideration of the value of the records in the context of their actual or potential business use *beyond* the prescribed and authorised retention period. Sentencing should involve at least three stages: assigning, reviewing, and final disposal.

3.5 Recordkeeping metadata

Metadata is most commonly defined as ‘data about data’. In a broader sense, metadata is descriptive data about an information resource, such as images, sounds or electronic and hard copy records and documents. Metadata allows users to find the data or information they are looking for and determine if it meets their needs.

There are different types of metadata. One particularly important type for an eDRMS implementation is recordkeeping metadata. Recordkeeping metadata is data describing the context, content and structure of records and their management through time.⁶ It can be used to identify, authenticate and contextualise records; and the people, processes and systems that create, manage, maintain and use them.⁷ Recordkeeping metadata is the information about each record, captured in the eDRMS, which enables the record to be identified and managed. Metadata is therefore an essential component of an eDRMS.

Most eDRMS systems enable administrators to configure and specify the capture of optional and mandatory metadata. This includes metadata that can be automatically captured by the system, metadata that is entered by users when saving records and additional metadata that is entered by records managers over the life of the record. It can also be possible to specify different metadata to be captured for different types of records.

Therefore, prior to the implementation of an eDRMS, it is essential to consider what metadata will be required and how the metadata will be captured and managed. It will also be necessary to identify the schemes (or controlled vocabularies) that will be used to populate the information for each identified metadata element. For example, use of the *Queensland Information Security Classification Framework* to populate the ‘security classification’ element.

Queensland State Archives’ *Queensland Recordkeeping Metadata Standard and Guideline* provides advice to public authorities on the metadata required to appropriately identify and manage records over time. This Standard specifies minimum mandatory information that must be captured to ensure authenticity, and a range of optional elements. It also includes a number of recommended schemes and advice on implementing recordkeeping metadata.

Tip:

It is usually possible to automatically, rather than manually, capture a range of metadata in an eDRMS. When selecting an eDRMS, it is important to investigate what metadata the system will capture and how. In particular, it is desirable to automate metadata capture as much as possible to reduce the amount of manual entry required.

⁶ Standards Australia (2002) AS ISO 15489.1-2002 Information and Documentation: Records Management section 4.

⁷ National Archives of Australia (2004) Glossary of Recordkeeping Terminology

Useful Resources:

- Queensland State Archives: *Queensland Recordkeeping Metadata Standard and Guideline*
www.archives.qld.gov.au/downloads/QRKMS.pdf
- Queensland State Archives: *Public Records Brief: Understanding and Applying Recordkeeping Metadata*
www.archives.qld.gov.au/publications/PublicRecordsBriefs/metadaintro.pdf
- Queensland State Archives: *Public Records Brief: Queensland Recordkeeping Metadata Standard and Guideline*
www.archives.qld.gov.au/publications/PublicRecordsBriefs/QRKMsoverview.pdf
- Queensland State Archives: *Public Records Brief: Transitioning to the Queensland Recordkeeping Metadata Standard*
www.archives.qld.gov.au/publications/PublicRecordsBriefs/QRKMstransition.pdf
- Queensland State Archives: *Public Records Brief: Recordkeeping Metadata and Information Standard 34: Metadata*
www.archives.qld.gov.au/publications/PublicRecordsBriefs/metadatalS34.pdf
- Queensland Government Chief Information Office: *Information Standard 34: Metadata*
<http://www.qgcio.qld.gov.au/qgcio/architectureandstandards/informationstandards/current/Pages/Metadata.aspx>

4. Key issues when planning eDRMS implementation⁸

The decision to implement an eDRMS can be driven by a range of factors. These may include the need to improve efficiency, administration, customer service and compliance with standards or legislation.

Implementing eDRMS software alone will not result in the realisation of the identified benefits, nor provide a solution to all of the document management and recordkeeping issues facing an organisation. Alignment between the business needs and strategic direction, the people, the processes and the technology is critical. Adequate resources to provide support to staff and effectively manage the change are vital, particularly where an eDRMS is being implemented for the first time within an agency.

Careful attention to the following nine points will help maximise the success of an eDRMS project. Many of these points are common project management considerations for any information technology project.

4.1 Business need and benefits

A documented business case will help enable senior management to decide whether to support the proposed project, before significant resources are committed to its development. This business case will also guide the project over time.

The core of a business case is an assessment of the need, objectives, costs and benefits of proceeding with a project. Along with the business case, the development of a Benefits Management Plan will outline measurable benefits. This will require an initial quantification to be taken as a baseline measure.

Responsibility for managing the delivery of each benefit should be assigned to appropriate staff. Responsibility for overseeing and coordinating the delivery of all benefits should also be assigned. These roles may be separate to the Project Manager, who is typically focused on the delivery of the project to agreed budgets and timeframes.

For further information on the benefits of implementing an eDRMS, refer to Queensland State Archives' Public Records Brief *Realising the Benefits of implementing an eDRMS*.⁹

4.2 Scope of the program

As an eDRMS implementation is complex and has the potential to touch on all facets of an organisation's business, the project scope must be controlled and clearly communicated to avoid the project running over time, increasing in cost or resources and/or failing to deliver on stated benefits.

⁸ Implementation issues and guiding principles to inform the development of information systems that create and maintain electronic records are also identified in the International Council on Archives' *Principles and Functional Requirements for Records in Electronic Office Environments - Overview and Statement of Principles*. This document is available from the International Council on Archives' website at <http://www.ica.org/sites/default/files/ICA%20Overview-principles%20and%20Functional%20Requirements%20Module%201.pdf>

⁹ <http://www.archives.qld.gov.au/publications/PublicRecordsBriefs/eDRMSbenefits.pdf>

To effectively scope the project, an agency may consider:

- What business processes and business units will be involved or impacted. Understanding and developing business processes may require extensive analysis and consultation.
- Systems with which the eDRMS will integrate. Business systems are used by organisations to facilitate the transaction of business activities, and can therefore generate records. To effectively manage these records, agencies may choose to interface or integrate them with an eDRMS, rather than designing recordkeeping functionality into the systems. For further information on records in business systems, refer to the *Guidelines and Functional Requirements for Records in Business Systems*.¹⁰
- Extent of, and approach to, procurement, for example, software, hardware, development services, training services.
- Range of legacy systems, shared drives and other data stores from which data may be migrated and the scope of an associated quality assurance program. Preparation for and undertaking data migration may involve substantial effort and resources.
- Approach to rollout that will best suit the organisational environment, for example, a pilot, a gradual rollout, or direct changeover ('big bang').
- Scope and approach to testing, reviewing and evaluating the implementation.

Some project methodologies include staged implementations which further break down the scope of projects into smaller, more controlled activities which can be more suitable for larger organisations with more complex requirements.

It is important to have a formal change control process identified and established in order to manage any changes to the project scope.

4.3 Senior sponsorship and clearly defined roles and responsibilities

Ensuring the project has the support of the Chief Executive Officer, and establishing and retaining genuine senior management sponsorship and leadership for the project, is essential. This support is indispensable to promote and champion the project.

A framework should be established to provide appropriate direction and governance for the project, incorporating the project sponsor and a project steering committee (or equivalent).

For a successful project outcome, it is necessary to carefully identify and communicate the roles and responsibilities for a multidisciplinary project team. The planning should also consider the impacts on staff that are outside of, but expected to work with, the project team.

Roles may be required for:

- governance
- project management
- risk management

¹⁰ <http://www.ica.org/sites/default/files/ICA-Guidelines-Principles%20and%20Functional%20Requirements%20Module%203.pdf>

- finance
- legal
- audit
- IT
- contract management
- information management
- records management
- frontline users
- benefit management
- change management
- communications
- security
- testing
- service support
- training, and
- business continuity/disaster recovery.

Each project team member (including the project manager) should be clearly aware of their responsibilities in relation to official project resources such as project plans, schedules or reporting tools.

Having a multidisciplinary team means it is important to have consensus and awareness about the project objectives, deliverables and benefits. A common understanding of terminology is also critical, particularly given that some records management and information technology terms may be understood in different ways by different groups.

It is important to ensure project staff have sufficient workload capacity and skills to be able to do the work and to secure their time and commitment.

For further information on responsibilities, refer to Queensland State Archives' Public Records Brief: *Responsibilities required for planning, implementing and operating an eDRMS*.¹¹

4.4 Selecting the right software product

The decision regarding which eDRMS product to select must be driven by the organisation's needs and closely linked to the business benefits. A specification will generally be developed which identifies the functionality and requirements of the agency.

eDRMS encompass the two functions of document management and records management. Software products may have different strengths in each of these functions and therefore it is important to be aware of this and have a clear understanding of the business needs in order to be able to select an appropriate software solution (see section 2). Information from technology research groups such as Gartner, Forrester Research, and others, may be useful to identify strengths and weaknesses of available products.¹²

Some public authorities may have access to established contracts or panel arrangements whereby products have already been assessed as meeting certain

¹¹http://www.archives.qld.gov.au/publications/PublicRecordsBriefs/Responsibilities_required_for_eDRMS.pdf

¹²<http://www.gartner.com/> and <http://www.forrester.com/rb/research>

requirements. For example, local governments have access to the Local Government Association of Queensland's Local Buy service¹³, and State Government agencies can access a limited range of products available under existing contracts.¹⁴

Prior to the formal evaluation of the products, the evaluation criteria and their weighted value must be identified and agreed. It is important to ensure the total cost of ownership (including support, maintenance and hardware) is clearly understood and opportunities to conduct reference site visits, demonstrations, bench testing and proof of concepts to substantiate vendor responses are considered.

When evaluating a product awareness of the functionality that comes as standard (or as core) to the software and the functionality that may need to be further developed in order to meet the organisation's specification/requirements is an important issue.

It is also important to note that some, but not all, eDRMS software products are able to maintain a Business Classification Scheme and Retention and Disposal Schedule within the system. Where they do not, a third party product may be required for such maintenance.

4.5 Project approach

There are many methodologies that can be used to assist with an electronic document and records management system. The most common methodologies currently utilised within Queensland Government include:

- **PRINCE2** – *Projects in Controlled Environments*.¹⁵ A project management methodology that provides a product-based approach to project management which is commonly used in the implementation of IT products and services.
- **PMBOK** – *Project Management Body of Knowledge*.¹⁶ A project management methodology that outlines the principles of project management with a basic framework for delivery.
- **DIRKS** – *A Strategic Approach to Managing Business Information*.¹⁷ Provides an eight-step methodology for the design, development and implementation of recordkeeping systems and tools. DIRKS needs to be tailored to fit with the overall project management methodology that is employed by the organisation.
- **ITIL** – *Information Technology Infrastructure Library*.¹⁸ A business driven approach to assist organisations in optimising their IT service management practices.

An overall project management approach which suits the specific needs of the organisation should be selected. Some public authorities may have organisational or sector-specific methodologies which they must follow¹⁹.

¹³ Details of the Local Buy panel are at <http://www.localbuy.net.au/Contracts.htm>

¹⁴ Please refer to the Queensland Government Chief Procurement Office for further information.

¹⁵ http://www.ogc.gov.uk/methods_prince_2.asp.

¹⁶ <http://www.pmi.org/>

¹⁷ <http://www.naa.gov.au/records-management/publications/DIRKS-manual.aspx>

¹⁸ <http://www.ogc.gov.uk/itil>

4.6 Stakeholder engagement and change management

Stakeholders include all personnel directly or indirectly affected by the implementation of the eDRMS. Stakeholder management is paramount to the success of the eDRMS project. An effective and thorough communication plan should be developed and made available to all stakeholders.

The communication plan should identify the key messages, the stakeholders, methods of communication and provisions for feedback. Groups of stakeholders may include users, 'power users', 'champions', senior management, implementation partners and vendors.

Methods for actively engaging stakeholders in the project and the development of the system should be identified. Within the communication plans, a consultation framework may be adopted, identifying how stakeholders will be able to provide feedback or raise issues relating to the project, and how the business rules, configuration choices, processes, requirements and design will be agreed and signed-off.

For many organisations, implementing an eDRMS brings with it a great amount of change to business processes, systems and day-to-day work for all employees. Developing and implementing a change management strategy and plan will assist all affected employees to understand and take ownership of their changing environment.

The change management plan should explore strategies for raising awareness of the change, encouraging engagement and participation in the change, providing knowledge on how to change, and supporting and sustaining the change.

4.7 eDRMS policies, procedures, rules and requirements

The implementation of an eDRMS will require the need to develop and implement a range of documented policies and procedures in line with organisational information management and records management standards (see Section 3.1). These may encompass:

- information for employees on how to use the system, for example, user manuals and procedures.
- business rules - decisions about many aspects of system use, including roles and responsibilities, the particular data to be captured, and ongoing management. These rules will help inform system configuration.
- security models for ensuring records are secure and only accessible to authorised staff.
- the configuration of the system. Information on the system settings which facilitate the correct functionality of the system according to stated business requirements.

¹⁹ In line with the Service Delivery and Performance Commissions' *Review of ICT Governance in the Queensland Government*, PRINCE2 has been adopted as a standard methodology for all Queensland Government State Departments.

4.8 Training

A training needs analysis is essential for understanding the training needs for business, support and technical staff. This will assist to identify the skill levels of employees in current systems and processes, and will provide an indication of the amount of training required for a successful eDRMS implementation to occur.

A training program and plan should be developed to include information such as:

- groups that will require different training content
- training methods and mechanisms that will be employed for each of these groups, and
- the technical environment that will be used to conduct the training.

Consideration should also be given to whether the training can focus on use of the system, or also needs to include fundamentals such as what is a record, and what needs to be captured in the system.

4.9 Beyond implementation

While the focus when planning for the implementation of an eDRMS may be selection and deployment, it is also important to consider requirements for the ongoing support and operation of the system once implemented.

A model for how the system will be supported will need to be considered as part of the project planning, both for queries or problems raised by staff that are of a business nature, and those that are of a technical nature.

Once operational, procedures for quality assurance of data entry and strategies for ongoing awareness and technical maintenance will need to be implemented. For example, a strategy may be to incorporate basic training into the induction program for new staff or to monitor the uptake of the system to identify areas of use and non-use to target extra training and education opportunities. Organisational information management and records management standards, policies and procedures may need to be revised to take into account the practices within the eDRMS.

Once operational, there are also likely to be requests for further developments or enhancements of the system to meet emerging business needs, for example, integration with new systems. The model for how such requests will be managed and implemented will need to be considered.

Planning for and undertaking a post-implementation review of the project will help to identify lessons learnt which can be applied to other projects within an agency. It can also highlight and recommend potential new projects required as a result of the implementation.

It is also important to work with those responsible for enterprise architecture within the organisation to ensure the eDRMS continues to be best utilised and positioned to support the management of records from across the organisation. This is particularly important when new business systems that generate records are procured or built for the organisation.

Appendix A: Glossary

The following key terms have been taken from QSA's *Glossary of Archival and Recordkeeping Terms*. For further definitions, please refer to:

<http://www.archives.qld.gov.au/downloads/GlossaryOfArchivalRKTerms.pdf>

Business Classification Scheme	The functions and activities of the agency derived from the analysis of business activity, containing terms and scope notes that represent and describe functions, activities, transactions or other elements and shows their relationships. The structure of the scheme is hierarchical, moving from the general to the specific.
Document	Recorded information or object which can be treated as a unit. Some documents are records because they have been part of a business transaction, or were created to document such a transaction. Conversely, some documents are not records because they do not function as evidence of a business transaction.
Electronic records	Records created, communicated, stored and maintained by means of electronic or computer equipment.
File	An organised aggregation of records grouped and managed as a discrete object because they deal with the same activity or transaction. A file can be physical or electronic.
Record	<ul style="list-style-type: none"> • Information created, received and maintained as evidence and information by an agency or person, in pursuance of legal obligations or in the transaction of business. • Recorded information, in any form, including data in computer systems, created or received and maintained by an agency or person in the transaction of business or the conduct of affairs and kept as evidence of such activity. • Records are information objects that document business activities and transactions. To be regarded as evidence, a record must be complete. Complete records comprise contextual and structural data as well as content data. <ul style="list-style-type: none"> a) Contextual data is information about the creation and use of the data. The context refers to the business function and activity in the course of which the record is created. Contextual data is concerned with the who, what, where, when and how of the creation and management of the information object. Contextual data may be intrinsic or extrinsic to the information object. b) Structural data includes formal internal structures of the information object and the structural relations between records in an electronic record that are used by the interaction of software and hardware to constitute the equivalent of the physical record in the paper environment. Structural data maybe intrinsic or extrinsic to the information object. c) Content data is the information contained within the information object. The content is intrinsic to the information object and is what the record is about.

<p>Records lifecycle</p>	<p>The stages through which a record is said to pass during its 'life' such as:</p> <ul style="list-style-type: none"> a) Creation b) Distribution c) Use d) Maintenance e) Storage, and f) Disposal.
<p>Retention and Disposal Schedule</p>	<p>A document issued by the State Archivist authorising the disposal of public records. It defines the temporary or permanent status, retention periods and consequent disposal actions authorised for classes of records described in the Schedule.</p> <p>There are two main types of Schedules:</p> <ul style="list-style-type: none"> a) Functional Retention and Disposal Schedules authorise the retention and disposal of records unique to a specific agency. b) General Retention and Disposal Schedules authorise the retention and disposal of records common to more than one agency. Such records may include: <ul style="list-style-type: none"> i) general administrative records ii) common records that relate to unique functions, and iii) records relating to the unique functions of like agencies.

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