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Implementing an EDRMS - Checklist

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Acknowledgments

The checklist for implementing an electronic document and records management system (EDRMS) in Australian Government agencies was initiated by the National Archives of Australia as part of its Electronic Document and Records Management Systems in Australian Government agencies project.

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INTRODUCTION

The electronic document and records management system (EDRMS) checklist covers a range of activities and tasks that may be helpful for project managers and teams in an Australian Government agency when:

- initiating an EDRMS project
- selecting an appropriate EDRMS to meet specific business requirements
- implementing an EDRMS.

The checklist can also be used in an internal audit program.

Project management tasks are not the focus of this checklist as agencies will have their own preferred project management methodologies.

THE EDRMS CHECKLIST

Completing the checklist, reviewing the results and planning the steps to take should involve input from all sections of your agency with an interest in managing records, including:

- records and information management professionals
- IT specialists
- senior managers and executives
- end users.

Completing the checklist will require a range of skills and competencies. These include:

- an understanding of the agency's records management requirements
- familiarity with business information systems and the technological environment
- knowledge of associated records and information management and IT strategies, policies and procedures
- contract negotiation skills
- project management skills.

If your agency does not have the necessary time or expertise, you may wish to engage consultants to undertake activities on your behalf.

Throughout the checklist reference is made to relevant documents. You should also refer to your agency's specific strategies and plans that might have a bearing on the project (for example, your IT strategy).

Tasks to prepare for an EDRMS implementation are roughly sequential. Some tasks in the initiation phase may be carried out in parallel with tasks in the implementation phase. The ability to run several streams of work together will depend on the skills and resources allocated to the project and the timeframe.

1 INITIATION PHASE

1.1 Refer to your agency's preferred project management methodology. Project management skills are required from the initiation phase through to the post-implementation review.

NOTES

1 INITIATION PHASE

1.2 Initial analysis – understand your agency’s business and records and information management environment.

As a starting point, use the National Archives of Australia, *Check-up 2.0, 2010* – a tool for assessing your agency’s information and records management.

You will also need to refer to your agency’s:

- information management framework or strategy – guides the creation, management and use of information records, enabling your agency to identify priorities and high-risk needs, and anticipate future needs
- information architecture – maps your agency’s use of information and systems
- records and information management policies and procedures – provide a snapshot of current records and information management systems, practices and responsibilities.

This analysis will assist in identifying:

- gaps and inefficiencies in existing records and information management systems and practices
- how an EDRMS may improve the state of records and information management in your agency and provide a starting point for a business case
- legislation and standards applicable to your agency.

Consider

National Archives of Australia, *Check-up 2.0, 2010* – a tool for assessing your agency’s information and records management

National Archives of Australia, *Digital Recordkeeping – Guidelines for Creating, Managing and Preserving Digital Records, 2004* – provides comprehensive assistance to Australian Government agencies in creating, managing and preserving their digital records

National Archives of Australia, *Digital Recordkeeping Self-assessment Checklist, 2004* – a tool for Australian Government agencies to evaluate the management of digital records

Standards Australia International, *AS ISO 15489.1: Records Management – Part 1: General* and *AS ISO 15489.2: Records Management – Part 2: Guidelines, 2002* – the Australian and international standard for records management

NOTES

1 INITIATION PHASE

1.3 Develop a business case for your EDRMS project.

A well-defined business case will enable senior management to decide whether to support the proposed project before significant resources are committed to its development.

Your business case should include:

- synopsis of the current situation and how the project will improve management of records and information
- business benefits of implementing an EDRMS, including the impact and effect the system will have on business immediately after implementation and beyond
- business options and recommendations
- objectives and business drivers
- key performance indicators
- project budget
- plans for stakeholder involvement
- implementation plan
- risk-mitigation strategies
- change management initiatives.

NOTES

1 INITIATION PHASE

1.4 Seek and gain support of an EDRMS project sponsor.

Ultimately the project sponsor is accountable for the success of the EDRMS project. The project will impact on the majority of staff across the agency, therefore a senior manager is the most suitable project sponsor.

Consider

National Archives of Australia, *Implementing an Electronic Document and Records Management System – Information for Senior Management*, 2011

NOTES

1 INITIATION PHASE

1.5 Draft technical and functional requirements.

Refer to:

International Organization for Standardization, *ISO 16175-1 Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 1: Overview and statement of principles*, International Organization for Standardization, Geneva, 2010.

International Organization for Standardization, *ISO 16175-2 Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 2: Guidelines and functional requirements for digital records management systems*, International Organization for Standardization, Geneva, 2011.

Each agency needs to assess and amend the functional requirements to suit their own business and technical requirements and constraints. Also keep in mind these standards do not cover requirements for specific business processes, general system management and design.

NOTES

2 IMPLEMENTATION PHASE

Research and design

2.1 Analyse business needs and processes to understand approaches and processes for managing information and records.

Information gathered from users in business groups could include:

- the types of electronic documents or objects used
- the software or technology used
- how and where documents are currently stored
- the volume of information and records produced (also consider future growth)
- existing use of the agency's records classification scheme (if in scope of the project)
- access and security rules
- review processes
- approval processes
- version controls
- publishing information.

Note: you should focus on business processes that produce information and records you envisage will be captured in the EDRMS. Digital information captured in existing business systems (that is, finance or HR systems), will most likely be out of scope of the project, unless there is a business need to integrate the EDRMS with such systems.

Consider

International Organization for Standardization, *ISO 26122 Work Process Analysis for Records*, 2008 - this international standard can assist your agency to understand your business processes so you can identify your information and records management requirements

NOTES

2 IMPLEMENTATION PHASE

Research and design

2.2 Work with users and other stakeholders to plan for potential process improvements by exploring workflow functionality within EDRMSs, and assessing if there is a strong case for integration with existing systems.

Automated workflows may be used in the following areas:

- business processes for transactional documents such as applications and grant requests, or system access requests
- correspondence tracking, freedom of information requests and other document-control processes.

NOTES

2 IMPLEMENTATION PHASE

Research and design

2.3 Develop a communication strategy to include records management awareness sessions and EDRMS training.

Records management awareness sessions reinforce the messages of good recordkeeping practices and also explain everyone's role within the new process. Allow staff to share and clarify their concerns and perceptions of what the EDRMS will and will not be able to do.

Training sessions on how to use the EDRMS will need to be developed to cater for the needs of the various groups to be trained (for example, general, advanced and system-based users). Similarly, different approaches should be considered – not everyone will learn at the same pace or with the same style of training.

NOTES

2 IMPLEMENTATION PHASE

Research and design

2.4 Assess the impact of the EDRMS on the existing IT hardware and software environment, and ensure all technology infrastructure will be ready for deployment.

Identify standard software packages used within the agency, such as office systems and file formats, that may be required to integrate with the EDRMS.

NOTES

2 IMPLEMENTATION PHASE**Research and design**

2.5 Develop a records migration strategy for existing records.

An option is to disable shared drives so that all corporate records must be saved to the EDRMS. Read and copy access to the shared drives is still necessary so that older documents and objects may be retrieved and saved into the new environment.

NOTES**2 IMPLEMENTATION PHASE****Research and design**

2.6 Develop an administration model to support the ongoing management and evaluation of the EDRMS.

NOTES

2 IMPLEMENTATION PHASE

Research and design

2.7 Develop and gain approval from all stakeholders for a security model.

Consider

Attorney-General's Department, *Protective Security Manual*, 2006

Attorney-General's Department, *Protective Security Policy Framework*, 2010

Department of Defence Intelligence and Security, *Australian Government Information Security Manual*, 2009

NOTES

2 IMPLEMENTATION PHASE

Research and design

2.8 Develop and gain approval for agency-wide business rules that support the ongoing operation of an EDRMS.

Develop procedures and business rules in a variety of ways that suit user needs, such as:

- checklists
- reference cards
- user manuals
- procedures
- web-based information.

They should be embedded into the design and configuration of the system as much as possible.

NOTES

2 IMPLEMENTATION PHASE**Research and design**

2.9 If in scope of the project, review and evaluate your agency's records classification scheme or file plan for records and information that will be captured into the EDRMS.

A records classification scheme or file plan facilitates the management of records. It is a tool that can also help with the identification of vital records and, when linked with records authorities, the management and disposal of records.

NOTES**2 IMPLEMENTATION PHASE****Research and design**

2.10 Identify general and agency specific records authorities that can be incorporated into the EDRMS to facilitate applying disposal actions to records.

NOTES**2 IMPLEMENTATION PHASE****Research and design**

2.11 Review and update the technical and functional requirements to incorporate any changes identified during the research and design stage.

NOTES

2 IMPLEMENTATION PHASE

Procurement

2.12 Procurement is the process that will enable your agency to acquire the EDRMS and involves:

- a request for tender
- evaluating alternative solutions provided by the market
- entering into a contract with the chosen service provider.

The request for tender process will require your agency to provide information to tenderers to help them understand the requirements and context, including:

- specifications for technical and functional requirements
- requirements for planning, pre-implementation, and post-implementation activities
- longer-term needs and objectives
- the agency's existing and planned document and records management processes and approaches.

Refer to:

Department of Finance and Deregulation, *Procurement Policy and Guidance*, 2008 – provides information on the procurement process

Consider

State Records of South Australia, *EDRMS Procurement and Pre-implementation Guideline*, 2009

State Records of South Australia, *Across Government EDRMS Panel of Products Procurement and Pre-Implementation*, 2007

NOTES

2 IMPLEMENTATION PHASE

Deployment and review

2.13 Develop a rollout/implementation strategy and plan.

NOTES

2 IMPLEMENTATION PHASE

Deployment and review

2.14 Configure the EDRMS to suit the needs of your agency.

Develop EDRMS tables such as action officer lists, synonym dictionary and record types. Ensure metadata requirements are catered for.

Metadata ensures that records can be found, read and understood both in the immediate and long term. Recordkeeping metadata is data describing the context, content and structure of records and their management through time. It can be used to identify, authenticate and contextualise records and the people, processes and systems that create, manage, maintain and use them.

Consider

National Archives of Australia, *Australian Government Recordkeeping Metadata Standard* Version 2.0, 2008

International Organization for Standardization, *ISO 23081 Records management processes -- Metadata for records*, 2006

International Organization for Standardization, *ISO 16175-2 Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 2: Guidelines and functional requirements for digital records management systems*, International Organization for Standardization, Geneva, 2011

NOTES

2 IMPLEMENTATION PHASE

Deployment and review

2.15 Develop a support model for both business processes and technical help.

At the completion of the implementation, formalised levels of user support should be introduced for queries or problems identified by staff.

NOTES

2 IMPLEMENTATION PHASE

2.16 Configure, test and set up the system.

Typically this will involve:

- establish the development and testing environment (infrastructure and application, including integration)
- functional design and documentation
- technical design and documentation
- integration set up
- develop test plans/scripts
- configure and set up the system in test environment
- test system technical capabilities and functionality in the test environment; then review and retest as needed
- establish the training environment
- test system technical capabilities and functionality in the training environment; then review and retest as needed
- establish the production environment (infrastructure and application)
- test system technical capabilities and functionality in the production environment; then review and retest as needed.

NOTES

2 IMPLEMENTATION PHASE

2.17 Train all users in how to use the EDRMS **and** their recordkeeping practices and responsibilities.

Typically additional tasks relating to training include:

- develop training materials and logistics arrangements
- training evaluation
- distribute procedures and business rules.

The EDRMS should be available to staff just as training is completed. Training should continue after implementation to include new starters and refresher sessions.

NOTES

3 POST-IMPLEMENTATION REVIEW

2.18 Develop a post-implementation review plan.

Consider

Standards Australia International, *AS ISO 15489.2: Records Management – Part 2: Guidelines*, 2002

NOTES

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