

Information Management Advice 20 – Managing Change in EDRMS implementation projects

Introduction

Archival authorities around the country have commenced the introduction of deadlines on the acceptance of paper records, and started to plan for new digital repositories. Government agencies, to meet these deadlines, are required to start planning their strategies for the transition from paper to digital.

The purpose of this Advice is to highlight to agencies change management and cultural issues specifically encountered when embarking on a project to implement, and transition to, an electronic document and records management system (EDRMS). The intended audience includes Records Managers, IT Managers, Project Managers, Business Managers and analysts involved in recordkeeping system design and EDRMS implementation projects.

Know your goal

An important part of identifying the change management aspects of an EDRMS implementation is being able to clearly articulate the desired 'future state' (or goal), the 'current state', and the steps or stages in between.

The implementation of an EDRMS is **not** an infrastructure project – it is not simply a matter of deploying a piece of software to end users, and should not be managed as one. An EDRMS is a technical solution that will impact every employee across the agency, and require significant review of, and potential modification to, numerous entrenched business processes. It will frequently highlight the need for new processes to be developed to support business in the new environment. Unlike many line-of-business systems that simply enforce uptake (as to perform certain tasks the new system **must** be used), new EDRMS technology invariably has to compete against a variety of established informal recordkeeping systems like network drives, filing cabinets, access databases, Outlook personal storage (PST) files, etc. Typically, the actual software deployment activity ends up being a very small part of the project. The most resource-intensive undertaking for the agency is in:

- the analysis of core business processes that create the records
- the development of tools required to manage those records and processes (in order to ensure that requirements unique to individuals, business units, and the agency more broadly, are identified and adequately provided for)
- the sustained cultural shift achieved through successful engagement of the workforce.

EDRMS implementation is really an organisational change management project. The Tasmanian Government Project Management Guidelines define organisational change management as "...the management of realigning an agency/organisation to meet the changing demands of its business environment, including improving service delivery and capitalising on business opportunities, underpinned by business process improvement and technologies. An EDRMS implementation includes the management of changes to the organisational culture, business processes, physical environment, job design/responsibilities, staff skills/knowledge, and policies/procedures".

An EDRMS requires considerable analysis and review of existing tools and processes in order to ensure these will transition successfully to the new technical environment (or be suitably redeveloped). There are likely to be a number of 'sub-projects' associated with the introduction of an EDRMS solution. These include:

- the development of tools such as enterprise-wide classification schemes (if not already in use);
- functional retention and disposal schedules (in order to enable electronic disposition if system enabled); and
- business process review and mapping (in order to identify opportunities for automation/workflow).

Planning is best managed via formal project management methodologies – the Tasmanian Government Project Management Guidelines will assist in the development of a project plan and associated documentation. What the guidelines will not do, however, is identify the issues and key milestones specific to your business that will need to be addressed as part of the project. This requires the input of subject matter experts, knowledgeable project managers, and strategic level Records managers who will be able to highlight trigger points of significant change and adaptation required by the organisation.

Specifically planning for organisational change, closely linked with outcome/benefits realisation planning, is a substantial discipline in its own right. Agencies should consider engaging a qualified external contractor to facilitate organisational and cultural change across the agency, as part of the digital transition strategy.

Know your environment

A critical part of the planning process begins with understanding your current state. There is little point running full tilt at a shiny new EDRMS solution, if:

- you have no idea what (or where) the records are that should be managed, migrated or converted;
- what tools will be required in order for the EDRMS to manage them appropriately;
- what current business processes are likely to be affected and how the system may (or may not) support them;
- whether those processes are out of date and performed “because that’s the way we’ve always done it”, or
- whether there are opportunities to improve business efficiency as part of the project outcomes.

Common business drivers for EDRMS implementations are:

- a way to save storage costs (physical records),
- to improve accessibility for staff,
- to centralise recordkeeping to reduce risk and improve decision-making (where multiple repositories exist – business systems, network shares, email, personal filing cabinets)

However, any system **can only provide the solutions it is configured to provide**. This means a significant amount of time and effort must be dedicated to a detailed analysis of the agency ‘status quo’, including functional business analysis and business process mapping, to fully realise the potential offered by electronic records management. Engagement with the business owners, users and other stakeholders will assist in both providing the roadmap for your project plan, and highlighting the various change activities required. See *Appendix 1 – EDRMS checklist* at the end of this document for more information.

Know your audience

Undoubtedly the single biggest threat to the success of your EDRMS implementation is **people**. The end result of underestimating the change management aspects of your project is likely to be a failed initiative. You may find yourself with a grossly sub-standard product not ‘fit for purpose’, with patchy adoption, and a disrupted, unhappy workforce.

There are a number of potential stumbling blocks for the introduction of new technology in the workplace. Strategies for successfully navigating them require an awareness of:

- Established informal practices

Information workers have likely become comfortable with informal document management practices, particularly where there is no structured or formalised guidance to ensure consistency across the business. Particular areas that may require attention include:

- naming conventions (for documents and folders),
- workflow processes, and
- clear business rules and procedures for managing printing, scanning, email, shredding, etc.

Engage with a range of stakeholders to develop corporate standards that meet enterprise business needs. These standards should be included in various training, communication and induction strategies as part of formal transition planning.

- Digital literacy levels

Do not overestimate the digital literacy of your staff. For many, particularly those used to working with paper-based records (eg field workers), or even single line-of-business systems with which they have become familiar, new technology can present a significant challenge. Those who feel uncomfortable are likely to resist any change, and may not want to admit the root cause of their concern. All staff should be provided with desktop training opportunities, including a program for senior management.

- Information sharing practices

Some staff may feel uncomfortable with the idea of sharing their information between workgroups, business units, or with the larger agency. They may feel a sense of 'ownership' of the records, and have an inflated perception of the sensitivity of the information. They may, however, be the same people who welcome access to information from other areas! Strategies to overcome this resistance may include:

- Actively promoting the benefits of sharing, such as reduction of duplication
- Identify areas where their own work practise will benefit from information sharing
- Explain the security and access controls available, and how they can be applied to protect sensitive information

- Tolerance for ambiguity

There may be an initial lack of clarity at the early stages of the project as to the extent of change required, and any resulting impact on the workforce. This is frequently due to the fact that a significant amount of analysis must be undertaken throughout the project, in order to develop new tools and processes to effect the change. Because these requirements are not always clear or understood at the outset, a communication plan that keeps end users regularly informed and updated as the project progresses is vital to reassure staff who may feel uncomfortable with vague or shifting goalposts.

- Change readiness

There will always be those who adapt quickly to change, and those who require more support. Some staff will be enthusiastic, and will be the drivers for additional innovation in the new environment. Some will be ambivalent, just wanting to get on with the job as long as they are kept informed, and trained appropriately. Some may be concerned about change, relying on opportunities for feedback and participation in solution design to order to feel part of the process. Still others will be resistant and potentially resentful. This can be driven by perceptions of loss of control, changes to status and how they are regarded in the organisation, or even fear of losing their job to technology.

- Perceived (and actual) impact on day to day tasks

Implementing an electronic system will likely require the establishment of new roles and responsibilities, particularly for records staff. Consider the business need for in-house training

provision, adequate support/helpdesk frameworks for end users, and quality assurance/audit processes. There may be a need for more processing roles for conversion of paper documents to digital. It should also be recognised and communicated that a period of adjustment will be expected, change will invariably slow processes as users master the new ways of doing things. General staff may have concerns about whether the system will improve task management or make things more difficult and time consuming, particularly if there are existing negative perceptions from previous implementations. There may also be concerns about the level of involvement and effort required in preparation for the launch, for example, preparing documents on network drives for migration.

Successful change requires significant ongoing effort as new habits take time to embed, so plan for change management initiatives both throughout your project, and beyond your go-live date.

See TAHO Advice 55 *Change Management: Preparing for Change* to assist in the assessment of your agency’s change readiness, some organisational engagement tactics, and tips for the development of a Change Management plan (including Communication and Transition planning) as part of your project.

Common change elements summary

Whilst the introduction of an EDRMS system is a significant change in itself, there are a number of associated changes throughout the project lifecycle that must be identified and managed. These are highlighted below:

Change	Strategy
Change from network drive usage	Consider issues associated with access and security, business ownership, decisions around migration of information to the new system and the ongoing role of network drives (closure, drafting, ‘read only’ legacy information, business systems support)
Change from self-managed files	Consider development of enterprise or business unit naming conventions for folders and documents (see Appendix 2 Standard précis document template at the end of this document), impact of transparency of centralised information, and perceived losses of control/power by individuals, data entry standards, development of business rules for managing information electronically
Change (or introduction) of classification tools	Consider scope of classification use (what systems are likely to be affected), development of tool, ongoing administration, training and support.
Change of format (paper to digital)	Consider culture and scope of implementation. Does the agency have the capacity to support a ‘paperless office’ model? What are the required tools for mobility, accessibility of information in the field, electronic signatures, management of source records?
Change of processes, policies and procedures (including automation/workflow)	Consider reviewing business processes for inefficiencies, particularly where processes cross department or business unit boundaries. Consider those processes where duplication of information, double-handling, or hybrid processes split across electronic and manual functions can be streamlined.

<p>Change to information management culture</p>	<p>Consider the change from information silos to information sharing, and/or to level of expectation of individuals performing their own records management tasks.</p>
<p>Change to job design/description and responsibilities</p>	<p>Consider changes to recruitment processes (highlighting information management skills and technology use), updates to statements of duties, performance management plans, and policy, communication and formalisation of staff responsibilities.</p>
<p>Change to staff skills and knowledge requirements</p>	<p>Consider scheduled introductory and refresher training (technical use of system, use of new tools introduced, and general recordkeeping responsibility), helpdesk support structures, appointment of power users within business units, materials such as “cheat sheets” and FAQ, user feedback mechanisms, ‘sandpit’ system environments for user practice</p>

Appendices

EDRMS Implementation checklist

Standard précis document template

Recommended Reading

Change Management - Preparing for Change (2014: Advice 55)

EDRMS implementation; some tips (2007: Advice 19)

Implementing information security classification in EDRMS (2013: Advice 34)

Implementing better records and information management (2007: Advice 17)

Australian Standard AS ISO 15489 - Records Management (2005: Advice 5)

Further Advice

For more detailed advice, please contact:

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Acknowledgements

Implementing an EDRMS – Checklist, National Archives of Australia 2011 | www.naa.gov.au
Implementing an EDRMS – Key Considerations, National Archives of Australia 2011 | www.naa.gov.au
The Change Factory – Leading Change Program 2013, Kevin Dwyer

Information Security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

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State Archivist

Appendix I – EDRMS Implementation Checklist

I INITIATION PHASE
<p>I.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. (Review the Tasmanian Government Project Management Guidelines)</p>
<p>I.2 Initial analysis – understand your agency’s business and records and information management environment.</p>
<p>As a starting point, review the National Archives of Australia, <i>Check-up 2.0, 2010</i> – a self-assessment tool for assessing your agency’s information and records management practice.</p> <p>You will also need to refer to your agency’s:</p> <ul style="list-style-type: none"> • 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, procedures and controls – provide a snapshot of current records and information management systems, practices and responsibilities. <p>This analysis will assist in identifying:</p> <ul style="list-style-type: none"> • 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. <p>Consider</p> <ul style="list-style-type: none"> • National Archives of Australia, <i>Check-up 2.0, 2010</i> • Legislative Mapping for Information Managers (2013: Advice 36) • Developing an Information Asset Register (2013: Advice 39) • Standards Australia International, <i>AS ISO 15489.1: Records Management – Part 1: General</i> and <i>AS ISO 15489.2: Records Management – Part 2: Guidelines, 2002</i> – the Australian and international standard for records management
<p>I.3 Develop a business case for your EDRMS project</p>
<p>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.</p> <p>Your business case should include:</p> <ul style="list-style-type: none"> • 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.

I.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
- Tasmanian Government Project Management Guidelines

I.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.

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 all document centric processes
- approval processes
- version controls
- publication of 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 opportunities to reduce the number of information silos, systems and associated support/administrative requirements by identifying such repositories, and planning migration to a corporate EDRMS.

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

2.2 Work with users and other stakeholders to plan for potential process improvements by exploring workflow functionality within the EDRMS, 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.

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). Different approaches should be considered – not everyone will learn at the same pace or with the same style of training.

Consider

- Recordkeeping training provided externally by TAHO in conjunction with the Tasmanian Training Consortium (<http://www.ttc.tas.gov.au/>)
- Vendor training
- Train the trainer
- Online self-paced training as well as facilitated (instructor led)

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, which may be required to integrate with the EDRMS.

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.

Consider

- File formats required to be migrated forward into the new EDRMS from legacy systems

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

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

Consider

- Implementing information security classification in EDRMS (2013: Advice 34)
- Tasmanian Government Information Security Policy Manual

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.

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 retention and disposal schedules, the management and disposal of records.

Consider:

- Information Classification Tools (2014: Advice 6)
- Classification Scheme Considerations (2014: Advice 66)

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

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

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

Consider:

- State Records of South Australia, *EDRMS Procurement and Pre-implementation Guideline*, 2009
- Tasmanian Government Procurement Guidelines (<http://www.purchasing.tas.gov.au/>)

Deployment and review
2.13 Develop a rollout/implementation strategy and plan.
2.14 Configure the EDRMS to suit the needs of your agency.
<p>Develop EDRMS tables such as action officer lists, synonym dictionary and record types. Ensure metadata requirements are catered for.</p> <p>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.</p> <p>Consider</p> <ul style="list-style-type: none"> • National Archives of Australia, <i>Australian Government Recordkeeping Metadata Standard Version 2.0</i>, 2008 • International Organization for Standardization, <i>ISO 23081 Records management processes – Metadata for records</i>, 2006 • International Organization for Standardization, <i>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</i>, International Organization for Standardization, Geneva, 2011
2.15 Develop a support model for both business processes and technical help.
<p>At the completion of the implementation, formalised levels of user support should be introduced for queries or problems identified by staff</p> <p>Consider</p> <ul style="list-style-type: none"> • Development of business rules and standards • Naming conventions • “Power user” peer support program • Helpdesk – including tracking • Online reporting/forums/FAQs • Development and introduction of Recordkeeping quality assurance processes (monitoring and reporting on information being registered to the EDRMS by end users for consistency, appropriate security, file selection, etc)
2.16 Configure, test and set up the system.
<p>Typically this will involve:</p> <ul style="list-style-type: none"> • 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.

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. Training should be pitched appropriately according to the requirements of the intended users, general staff, records professionals, system administrators. Training should also be offered in capability streams – introductory, intermediate and advanced - to cater for various skill levels and knowledge building.

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*

Appendix 2 – Sample Business Unit documentation naming conventions (Human Resources)

Document Type	Precis / naming convention	Folder name (or number)	Security Classification	Workflow name (or number)	Access	Disposal Schedule (records use)	Retention (records use)
Corporate Cardholder acknowledgement	Cardholder declaration – [card type] – [employee name]				Finance		
Change in hours	Change in hours – [position no/title]				HR		
Commendation	Letter of commendation – [employee name]						
Delegation	Delegation notification – [position]						
Employment confirmation (previous employment)	Employment confirmation – [organisation name] – [employee name]						
Employee responsibilities policy (signed)	Signed Employee responsibilities policy – [employee name]						
Expression of interest	Expression of interest – [position no] – [employee name]						
Incident report	Incident report – [dd/mm/yyyy] – [incident description]						
Induction checklist	Induction checklist – [position no/title] – [employee name]						
Letter of offer	Letter of Offer – [position no/title] - [employee name]						
Mobile phone usage agreement	Mobile phone use agreement – [employee name]						