

EDRM System Implementation Toolkit

Stage 2: Project management

– Step One

- Defining your EDRM project
- Project brief
- Project Initiation Document
- State 1
- State 2
- State 3
- Size and Type of System
- Project timetable
- Project charter
- Costing the Project
- Developing your EDRM project plan
- EDRM Project Planning
- Managing Project Stages
- Controlling risks, issues, changes and quality
- Change control
- Project closure

– Step Two

- Procuring EDRM
- Procurement Options
- Open Tender
- Restricted Tender
- Accelerated Tender

– Step Three

- Awareness Building
- Change Mgt
- Communications Plan

– Deliverables for stage

– Resources for stage

– Tools for stage

– FAQs for stage

– Hints and Tips for stage

References

Stage 2: Project Management

Reason for stage

This stage is designed to help the project team define and manage their EDRM project.

Definition of stage

Stage 2 comprises three steps.

- Step one looks at a recommended project management methodology and then provides guidance on how to define and manage an EDRM project using that methodology.
- Step two provides specific guidance on the procurement options available and how to choose the right one for you.
- Step three looks specifically at how to develop a change management and communications plan as part of your overall project plan.

Objectives of stage

This stage should help an EDRM project team to agree its project management methodology and confirm and agree the scope of the EDRM project and the plan for managing that project.

This stage points you to the JISC infoNet project management methodology and gives you advice on developing an EDRM project management plan using that methodology. It makes the case for either running a separate records management project in advance of your EDRM procurement project or of combining the two. It is vital to understand the dependencies between a records management project and an EDRM procurement project. Certain records management tasks should be completed before you start your EDRM procurement project and others should be completed before you start implementing your preferred EDRM solution. This stage includes a review of the procurement approaches you can take and makes the case for including change management and communications tasks in your plan.

Step One – developing an EDRM project plan

Following a project management methodology

If you are planning an EDRM procurement project then you need to follow an agreed and proven project management methodology.

You are recommended to read the JISC infoNet [Project Management infoKit](#)

This infoKit takes an approach based on the government–approved project management methodology – PRINCE2. PRINCE2 (Projects IN Controlled Environments) is a methodology approved by government for public sector projects. The JISC infoNet method pares down PRINCE2 to a framework suitable for managing any project.

There are five main components in the JISC infoNet project management methodology:

- Project start-up
- Planning
- Managing project phases
- Controlling risks, issues, changes, quality, etc
- Project closure

Project start-up and project closure occur only once. The remaining elements – planning, managing and controlling – form an iterative cycle that may repeat many times before the project is complete. We use these five components as a base on which to review how you should define (link to section Defining your EDRM project) and manage (link to section Developing your EDRM project plan) your EDRM project.

The methodology is a framework. The infoKit contains a number of useful definitions of a project and concludes that projects are usually characterised by being:

- Instruments of change
- Non-routine
- Unique
- Composed of inter-dependent activities
- Carried out by people who do not normally work together
- Temporary with defined start and end dates
- Intended to achieve a specific outcome
- Frequently risky and involving uncertainties

The infoKit reminds us that projects frequently fail. If they do some of the usual reasons cited are:

- Poor project specification
- Unrealistic timescales
- Timescales that are too long
- Inappropriate staff
- Failure to manage user expectations
- Failure to manage the change required

So in planning your EDRM project you need to try and avoid all of those pitfalls by following the preferred JISC infoNet methodology and the advice provided here.

Defining your EDRM project

The infoKit section on project start-up contains six sections:

- Sponsorship
- Defining the project
- Stakeholders
- Building the project team
- Setting up the project infrastructure
- Costing the project

These are all relevant to an EDRM project and we will use them here to review the questions you should ask and the tasks you should try to undertake to clearly define your EDRM project. Project definition is the most important area.

Sponsorship

If you are planning to implement a corporate EDRM solution then it will be one of the largest if not the largest IT project ever undertaken at your education organisation.

The first thing this implies is that you need sponsorship at the highest level. The budget will simply not be forthcoming if this is not seen as a strategic investment by the senior management team. Hence you need sponsorship from the top. This is vital to obtain the budget approval. It is also vital when you start asking busy staff to spend time assisting you with the audit or to volunteer their faculty or section to be the guinea pigs and pilot the solution.

Defining the project

This is the most important part of stage two. According to the infoKit in an ideal world there would be four documents produced to define the project:

- Project brief
- Business case
- Project Initiation Document (PID)
- Project charter

Project brief

The project brief is what the project sponsor should hand over to the project manager outlining what they had in mind for the project and how it fits in with the education organisation's strategies and plans.

If the project involves building a new gymnasium then you can expect a clear project brief as this is a traditional and well understood requirement.

If the project involves reviewing current records management policies, procedures and systems and defining the requirements for and procuring an EDRM system then as this is a new area for most education organisations you probably cannot expect as clear a brief and one of the key tasks for the team early on is to define the scope and coverage of the project as clearly as possible. This would normally be done in the PID and may result in the project brief being altered at the time when the PID is agreed and signed off.

Business case

The business case should investigate the feasibility of the project including the likely timescales and costs and whether it will deliver sufficient benefits to justify the expected costs.

If you have completed stage one then you should be clear on the type of solution you require although this will clearly be subject to confirmation after you have completed stages two to four.

At stage two you need to decide the full scope of the project and in particular the detailed scope of the first stages of the project. This should be defined in the Project Initiation Document. You should then be able to provide outline costs and benefits for the project as a whole and a more detailed set of costs and benefits for the early stages of the project.

We would recommend that the business case is produced and delivered with the PID rather than prior to the PID. We also recommend that the PID should clearly state when in the project the team

expect to be able to provide a more detailed business case.

In this EDRM toolkit we assume that a detailed business case can only be produced at stage five once the information gathering and analysis and the feasibility stages have been completed and a preferred approach has been agreed. Only then can a detailed business case be produced for the preferred approach and the preferred system.

Project Initiation Document

The Project Initiation Document (PID) is one of the most important documents. JISC infoNet provides a link to a PID template on the project management infoKit.

The core recommended contents for a PID include:

| PID Table of Contents | |
|-----------------------|---|
| 1 | Project goals and objectives and critical success factors |
| 2 | Project scope |
| 3 | Identified risks and constraints affecting the project |
| 4 | Assumptions made about the project |
| 5 | Project's organisation structure and roles and responsibilities |
| 6 | Project control mechanisms |
| 7 | The reporting framework |
| 8 | Stakeholders and their involvement |
| 9 | Project planning and a milestone project plan |
| 10 | Project budget |

Most of these areas are covered under project planning in Developing your EDRM project plan. One vital area that needs to be explored here is the scope of the project.

Project Scope

EDRM and Records Management

One of the most important areas to decide on is how the EDRM project relates to any overall records management project within the education organisation. JISC has been promoting the importance of professional records management in the education community for several years. There is a new infoKit on records management. Education organisations considering an EDRM procurement can be categorised as being in one of three states.

State 1

Your education organisation has a designated records manager and is undertaking a programme of records management projects designed to set up and agree professional records management policies, procedures and systems. The EDRM project is planned as part of this overall records management programme.

In this ideal case the overall programme plan and timetable should show the records management projects starting ahead of the EDRM project and should show the key dependencies between them including the following:

- A records management policy will be agreed and published prior to procuring an EDRM system;
- A corporate records audit will be completed prior to procuring an EDRM system;
- A corporate classification scheme/file plan will be designed and documented prior to implementing the EDRM system or will be scheduled to complete in step with the planned roll out of the system;
- Retention schedules for all records listed in the audit will be agreed and documented prior to implementing the corporate EDRM system;
- Procedures and systems for the management of semi-current and archive paper records will be agreed and documented prior to implementing the corporate EDRM system.

In this ideal case the EDRM project plan can take account of all the records management tasks that have been completed and some of the steps outlined in stages three, four and six of the toolkit can be significantly truncated or avoided.

State 2

Your education organisation has a designated records manager and is undertaking a programme of records management projects designed to set up and agree professional records management policies, procedures and systems. No EDRM project was planned as part of this overall records management programme.

In this case the decision to set up an EDRM project has just been made and hence a separate project plan is needed. The new EDRM project plan will need to include reference to the existing records management programme and the key dependencies between the EDRM project and the RM programme. The key dependencies would be the same as those listed in state one. Again the EDRM project plan can take full account of all the records management tasks that have been completed and hence some of the steps outlined in stages three and four and six of the toolkit can be truncated or avoided.

State 3

Your education organisation is not currently undertaking any programme of records management projects. The decision to set up an EDRM project has just been made and you are just starting to define the project and draw up a project plan.

In this worst case you should either set up two projects – a RM project and an EDRM project – and define the key dependencies between them or, if it is more expedient, you should set up an EDRM project and include all the required records management tasks within the plan.

What you should not do under any circumstances is plan to procure an EDRM system without having undergone any form of records management programme and with no professional records management input to the project.

Size and type of system

A second important area to agree is just how big a system and what type of system are you looking to procure? Stage one provides a review of the different types of system available which hopefully will help you to narrow down the options.

A number of universities to date have implemented an EDM system in a specific application. Most have opted to use EDM to manage student documents. Some have used EDM to manage finance documents. Others are using EDM to manage documents relating to externally funded research projects etc. A number of these are now looking to add ERM functionality to their solution.

To date no education organisation has completed the implementation of a corporate EDRM solution. However, based on central government experience and the advice of The National Archives a number of education organisations are now planning to investigate the feasibility of implementing a corporate EDRM solution.

Nobody would implement a corporate solution in one big bang. As we shall see in [stage six](#) when looking at the implementation plan in detail, good practice says you should start with a proof of concept or model office phase; then look at one or two pilots in specific applications and then start to roll out the solution. At each stage you would run acceptance tests and further progress in the contract would be dependent upon the supplier passing each test.

However, if you are an education organisation planning a solution now you should aim to include records management functions and you should be looking to select a system that can be used across the whole organisation even if budget constraints mean that you cannot afford to roll it out across the whole organisation initially.

For smaller education organisations who lack the budget for a corporate EDRM system at present or the project resources to manage such a project then the best approach in the short to medium term may be to investigate best practice for paper and electronic records management and look at what you can do with currently available tools. You should still aim to conduct an information gathering and analysis stage as outlined in [stage three](#). However, at [stage four](#) you will need to focus on affordable options for the short to medium term.

Project timetable

It is important to set a realistic timetable for your project. If you are in the ideal state one and are close to completing your records management programme then depending on the size of your organisation you should allow two years to specify and procure an EDRM solution and test it and pilot it and roll it out. If you are in state three then you should add in at least another year and that assumes that you have the resources to conduct a records management project in parallel with an EDRM procurement. If you do not then you are really looking at a five year total timetable to start your records management project and then when it is nearly complete to start your EDRM procurement.

In this toolkit we review the scoping options in more detail in [stage four](#).

Project charter

For large scale projects with a lot of stakeholders there may be a need for a project charter. This is regarded as a useful communication tool which helps to show that user consultation has taken place and consensus has been reached. A project charter can help reinforce the key objectives of the project for a wider audience. The role of the project charter is considered in more detail in [step three](#) where we look at the need for a change control and communications plan.

Stakeholders

JISC infoNet has produced a useful stakeholder analysis template which is available via the project management infoKit. If you are planning to implement a corporate EDRM system then key stakeholders will include the Head of central administration services/Registrar; Deans of Faculties/ Heads of Schools; the Head of Learning and Information Services (ICT) and Head of records/archives.

Building the project team

This is a vital area. You will almost certainly need to include third party experts on this team in the form of consultants.

Internally your project team should include the records manager or the archivist if you have one; a senior ICT person with experience of implementing other IT systems; representatives of the user departments which have been identified as pilot users or users who have expressed a strong interest in being early implementers. These would include a representative from the central administration area and a representative from at least one faculty/school.

For consultancy you have a choice of using one organisation that has expertise in both records management and in supporting EDRM system procurements or two organisations/individuals – one for records management consultancy and the other for EDRM system procurement support.

Setting up the project infrastructure

Ideally you will set aside a small office area where the internal project team can be based and where the model office or prototype system will also be located. Consultants would work from there when on site and not conducting interviews etc.

You should agree the software and versions that will be used to manage the project and ensure that consultants use the same software. Ideally consultants need access to e-mail and the intranet and the team should have shared space for posting project documents.

Again JISC infoKit has a useful link on the project management infoKit to a [Project Infrastructure checklist](#).

Costing the project

You need to develop an outline budget for the project as part of the PID and then to refine and add details to the figures as the project progresses and more decisions are made about the scope and the range of services required etc.

The costs will vary depending on whether or not the records management programme is included in the EDRM project costs or treated separately as part of a records management project.

The costs will also vary depending on how many users the system has to support and how many functions/modules are required.

The costs will vary depending on whether the project team is composed of all internal staff or a mix of internal staff and consultants.

The following headings are usually used to cost an EDRM project:

| Cost heading | Description |
|---------------|---|
| EDRM hardware | Scanners and dedicated desktop and server hardware including dedicated networked storage devices |
| EDRM software | Software licenses for DDC subsystem; EDM, ERM, BPM and other ECM software modules as required. Typically charged per actual user or per concurrent user and/or per server |
| EDRM services | Supplier services to specify and design and test and implement solution plus training services; data migration or backfile scanning services; |

| | |
|---|--|
| | integration services; business process management services etc |
| EDRM annual support | EDRM supplier support services including provision of new versions of software – hardware support services; |
| Project staff | Internal costs charged out to project for period of secondment or dedicated staff costs charged direct to project |
| Consultancy | Fixed price for agreed job or daily rate and timesheet basis |
| Project software, hardware and training and accommodation | Costs attributable to project team including cost of accommodation, cost of any new IT hardware or software, any training required etc. |
| Records management | If the project includes records management tasks these may involve significant expenditure on consultancy fees to conduct an audit and assist with drawing up a corporate file plan or a corporate retention schedule etc; accommodation and equipment costs if the strategy for managing semi-current and archive paper records was to build a central store and furnish it with high density mobile racking etc. |
| Contingency | EDRM hardware, software or service costs may exceed budget; there may be a timetable overrun which will increase supplier, project staff and consultancy costs etc. |

More details of the cost elements associated with an EDRM project are provided in stage five when we review all the factors to be considered when building a business case.

Developing your EDRM project plan

Following the JISC infoNet project management methodology we have covered the tasks required to set up the project in Defining the project above. In this section we review the other four components of a project plan:

- Planning
- Managing project phases
- Controlling risks, issues, changes, quality
- Project closure

When drawing up the stages for this EDRM toolkit we have based them on previous EDRM projects we have been involved in and a series of assumptions. When drawing up an overall project plan you will hopefully be able to use this toolkit to help you and you will need to make certain assumptions about the scope of the project, the timetable and the budget.

In a complex and long project like an EDRM project it is not desirable or feasible to develop a complex and very detailed plan and then stick rigidly to every element of that plan. You need to adjust to circumstances and to your findings at each stage in the plan.

Hence the JISC infoNet project management methodology and all good project management methodologies advise you to draw up a high level or milestone plan at the outset of the project and then to revisit it at each stage of the project. Linked to that you can then develop more detailed plans for each project stage and concentrate on managing at two levels – the overall project plan and the detailed project stage plan.

Our EDRM toolkit covers ten stages and we can define at a high level the key steps that comprise each stage and the type of resource that will be required at each stage. However, it is only once the first stage is completed that we can go into detail in the second stage and only once we have made key decisions in stage two can we define the detailed requirements for stage three and the resources that will be required to complete it.

Hence planning is an iterative task that carries on throughout the project. It involves feeding back the findings of each stage and readjusting the overall project plan to reflect the latest position. Managing the project stages is done stage by stage and involves developing a more detailed plan for each stage at the start of each stage and using it to manage that stage at a more detailed level.

Project control is an iterative task that carries on throughout the project. You start with an agreed approach to controlling the project and you then apply that approach through each stage of the project and adapt the approach as required to better suit the specific project.

Project closure is the final component which should only have to be implemented once at the end of the project when all the stages have been completed. It therefore mirrors the project start-up component.

EDRM project planning

The key document for any project including an EDRM project is the project plan. This will be a living document that will not be finished until the project is completed. It will be constantly amended to reflect the feedback from each stage of the project.

The ten stages in this EDRM toolkit are designed to form the basis for an EDRM project plan.

Stage one involves defining what you mean by an EDRM system and where it fits in your wider information infrastructure. At the end of that stage you will have a clearer idea of the type of functions you require – what is in scope and what is out of scope and hence you will be able to better plan stage two. You may also need to adapt the overall project plan.

Stage two involves defining the project at a high level and in particular the scope of the project. For some education organisations – who have no experience of records management and have not set up a records management project ahead of the EDRM project – this will involve extending the overall project plan considerably to include additional records management tasks at stages three, four, five and six. For other education organisations – who have completed a full records management programme already and planned EDRM procurement as one project within that programme – this will involve truncating the overall project plan and removing those tasks in stage three and stage four which have already been conducted.

The work done at stage three will again certainly lead to changes in the project plan for stages four to ten. In some cases more tasks will have to be added and in others some tasks can be removed.

The JISC infoNet preferred approach to planning is called the Sliding Planning Window or "rolling-wave" planning. It is well suited to an EDRM project plan as it is based on the premise that you should only plan in detail as far ahead as is sensible at the time.

The general principle that should be followed with an EDRM project plan is that the completion of each stage of the plan should be associated with the achievement of one or more milestones in the plan and each stage and ideally each step in each stage should have a clearly defined deliverable.

You need software tools to assist with project planning and management. These are covered in the JISC infoKit. No special tools are needed for an EDRM project.

You need to be able to estimate the time and resources needed to complete all the tasks. The toolkit provides you with a "Resources required to complete the stage" sub section for each stage.

The other planning techniques covered by the infoKit are all useful in an EDRM project. Managing an EDRM project is in that sense just like managing any other IT project.

Managing project stages

Your overall project plan should be part of an ongoing iterative monitoring and review process. If your plan is clearly written and based on the toolkit stages then you should be able to use it to track progress and identify changes at each stage.

The project team should regularly review which steps have been completed and which have been delayed and what the impact is of any delays on the rest of the plan. The team should also review which steps will lead to changes in the overall project plan and hence changes to the detailed steps required in each stage.

At the end of each stage you should review key aspects of the project. These should include:

- The business case as outlined in the PID or defined in detail in stage five
- The project scope as defined in the PID
- The project stages as defined in the project plan
- Is the project still meeting its objectives as defined in the PID?
- Has the risk situation altered (see Controlling risks, issues, change and quality)?
- Should the project progress to the next stage?

Only when these questions or a similar set of questions have been fully answered should you proceed to plan the next stage in detail.

You need to agree a reporting standard for the project. A standard highlight or status report template can be useful. Again the JISC infoKit provides samples.

You should schedule dates for formal steering and project board meetings. These should be scheduled to coincide with the completion of major stages. For an EDRM project we would recommend project board meetings at the completion of:

- Stage 1 and Stage 2:
- Stage 3
- Stage 4 and Stage 5
- Stage 6
- Stage 7
- Regularly throughout Stage 8
- Stage 9 and Stage 10

In addition you should aim to set up a user group and plan regular monthly meetings as part of the communications plan which is reviewed in step three

The project team should meet at least twice every month to review progress. Other ad hoc meetings should be called as needed as part of the control procedures reviewed in Controlling risks, issues, change and quality

The project team need to allow time and ensure they have the skill sets required to react to issues and changes that will occur in a complex project.

The feedback from a specific step or stage will mean that an alternative solution or option has to be explored rapidly and the step, stage and overall project plan adjusted accordingly. This is an area where external consultancy or project management resources can be beneficial.

Controlling risks, issues, changes and quality

Once you have created your project plan and your monitoring, review and reporting mechanisms

the last major area you need to consider is the control mechanisms you need to keep the project on track and allow you to deal with all the issues that occur during a long and complex project.

Risk management

All projects have an element of risk. Risk management is a mechanism to help you predict and mitigate those risks which might otherwise prevent the project meeting the objectives set for it.

You should set up a risk register for the project as a whole and in large projects such as an EDRM project it is valuable to set up a register for each stage in the project. The procedures defined in the infoKit are well suited to an EDRM project and no additional procedures are needed.

The risk owner is important. At various stages in an EDRM project the education organisation will be using the services of third parties – either consultants or an EDRM system/service provider. It is important to make it clear at each stage of the project when defining requirements for third party services/systems where the risk lies. If you appoint a consultant to conduct an audit then the roles and responsibilities of the consultant and the education organisation need to be defined and then the risk register for that stage will be able to clearly define who owns that risk – the consultancy or the education organisation. Similarly when you are signing a contract for a system and associated services it needs to be very clear what the roles and responsibilities are and hence who the owner of the risk is.

Issue management

In addition to risks, issues can and do arise and need to be managed. You should set up an issues log for the project as a whole and for each stage in the project. The procedures defined in the infoKit are well suited to an EDRM project and no additional procedures are needed.

Again the issue owner is important. At various stages in an EDRM project an issue can be assigned to the internal project team or to a supplier or third party consultant. If the owner cannot find a solution to an issue then an escalation procedure should be defined.

Change control

The third area to be controlled is change. In any project we have stated above that there will be changes to the original plan. Some of these are desirable and some are less desirable. They may result from detailed work done in a previous stage which then calls into question some of the assumptions or requirements made for the next stage.

Again the infoKit covers this area well. All proposed changes should be subject to an impact analysis to consider the impact in terms of time, cost and quality. Depending on the impact the change can either be approved by the project team or will need to be escalated up to the steering board.

The infoKit makes the point that change control is particularly important where a contractual relationship exists with a consultancy or with an EDRM system/service provider. JISC infoNet has a standard template for a change request form and education organisations should be sure before entering into a contract that the change control mechanism is defined and meets their requirements. Most change controls in a contractual relationship involve additional costs and hence it is vital that provision is made for the education organisation and the supplier to consider the request for change, consider the options and agree the preferred option and any costs associated with that option.

Quality control

The final vital control is on quality. The best way of controlling quality is through:

- A formal project management framework
- Adoption of recognised standards where they exist
- Detailed specification of requirements
- Detailed user acceptance procedures
- Defined escalation procedures

We have covered the formal project management structure. Stage six reviews the key standards governing EDRM systems and provides advice on how best to specify your requirements. Stage six also covers user acceptance procedures. The Statement Of Requirements should always require that a user acceptance test be conducted for each major deliverable.

The escalation procedures should also be defined. If agreement cannot be reached on the results of a user acceptance test then the matter should be discussed by the steering board. If agreement cannot be reached then a third party source of impartial advice should be called. That source should be defined in the contract. Failing that then the matter should be resolved by an agreed arbiter as also defined in the contract.

Project closure

The infoKit recommends that any project should be formally closed to ensure that:

- The education organisation has formally accepted all outcomes
- Operational procedures are in place
- The handover to operational staff has been completed
- Documentation and reference material is in place
- Any further actions and recommendations are documented and disseminated
- The results are disseminated to the relevant people
- There are no loose ends

JISC infoNet also points out that as benefits often cannot be fully measured until after the system has been running for some time a post project review should be conducted.

The recommended project review procedures for an EDRM project are detailed as stage nine in the toolkit. The next and final stage is project closure and support and it is vital that all support arrangements are in place and tested and accepted prior to project closure. This is reviewed in stage ten of the toolkit.

Step Two – agreeing the procurement approach

Your project plan should include details of the preferred procurement approach. The choice of procurement approach can influence your timetable as it will introduce defined milestones.

In an EDRM project you will need to make one or more procurements.

Procuring consultancy and project management support

Firstly you may need to procure some third party consultancy support or project management support. Depending on the size and duration of the project you can either run a competitive procurement where you write a brief for the work, invite three quotations and select the best value

proposal or you can use S-CAT and select the required category of service and then select three known suppliers and send your brief out to them. You could use the EU OJEC procurement route but this should not be needed if you have a list of consultants/project management specialists. One point to note here is that many of the specialist independent consultancies in the EDRM area are not large enough to figure on the approved list of S-CAT providers. Hence if you have a list of consultants that you want to invite to tender you may need to contact them direct to find out the name of their S-CAT partner and then invite their partner company to respond.

When procuring consultancy support you should clarify whether you require records management support or EDRM procurement support or both and you should seek references where work has been done of a similar nature to that you require.

When procuring project support expertise it is still worth specifying that this is an EDRM procurement and hence you would prefer project management staff who have experience of managing similar projects.

Procuring EDRM system and supplier services

The second and major procurement you will need to make is the EDRM system and associated supplier services.

Detailed advice on compiling a Statement Of Requirements for an EDRM system and services can be found in stage six of the toolkit.

There are two main decisions to make here.

System or service?

The first is whether you are procuring a system or a service or both and, if the latter, whether you want to procure the system and the services separately.

To decide this you really need to study stages four to six of the toolkit. At the outset it may appear that if you are planning to procure an EDRM system that will be used by 1,000 plus staff then it will clearly be a system procurement and the software and hardware elements of the procurement will be well over 50% of the total. However, in any EDRM procurement there are usually a large number of service requirements which – unless you have a large project team and IS department – will need to be provided by the supplier. Examples include:

- Specifying the solution
- agreeing the classification scheme/file plan in detail and loading it on the system
- supporting each Department during the roll out
- scanning backfiles of paper documents to be loaded on the system
- assisting with the migration of data from relevant finding aids
- redesigning business processes
- integrating the system with existing business administration systems
- running acceptance tests
- training users, operators, records managers and administrators
- project management
- support services

If you employ consultants as part of the project team then you can define your requirements and your file plan in more detail and this will reduce the services element.

If you require a significant number of services then you need to be aware that not all of the suppliers of the system software can provide all the services you may need. Many of the suppliers focus on developing and publishing their software and providing technical support. They work with systems integrators or value added resellers who are specialists in particular markets and provide a full solution to clients including all the services that may be required.

In some EDRM projects we have been involved in the value of the final contract comprises 75% services and only 25% software and hardware. 60% services and 40% software and hardware is very common.

Some government departments and local authorities have opted to let two contracts. Firstly they decide on the software supplier and procure a corporate license for the software. Then they separately let a contract to cover the required services including specifying and implementing the required system.

Why do you need to know all this? Firstly it can influence your choice of procurement route whether you are procuring a system or service. Secondly you should note that when estimating the cost of a solution you need to take account of more than just the cost of the software quoted by your supplier.

Procurement options

Unless you are a very small education organisation looking to implement an interim solution, you will be making a significant investment in an EDRM system/service. You will therefore be likely to exceed the European Commission threshold of £153,376 over five years of the project. You therefore need to follow EC procurement rules (link to section Reference and case studies, item 3) or use the Office of Government Commerce S-CAT (link to section Reference and case studies, item 5) or G-CAT (link to section Reference and case studies, item 4) routes.

OJEC procurement

There are three main OJEC procurement routes.

- Open tender
- Restricted tender
- Accelerated tender

You can also opt to go for a fixed price or negotiated tender. Negotiated tenders are very complex and time consuming and if at all possible you should go the fixed price route.

Open Tender

If you opt for the open tender route then everyone who expresses an interest to your notice is provided with a full copy of your Invitation To Tender (ITT)/Statement Of Requirements (SOR).

As we shall see in stage six the average ITT/SOR for an EDRM solution is a detailed document that may comprise 100 pages. Responding to this is a major task for a supplier and evaluating their response is a major task for the project team and costly if you are paying consultants to assist you with this process.

It is not uncommon to receive 100 expressions of interest for a major EDRM notice. Although a high percentage of these will not bother completing a detailed SOR there is still a risk that you might receive 20 or 30 detailed bids. Some of those bids would be from integrators based on the same software. Going this route therefore tends to load work on both the suppliers and the team.

If you are using the OJEC route then Cimtech would recommend the restricted tender route.

Restricted Tender

The EU procurement directive timescale calculator for a restricted tender provides the following recommended timetable. Some elements are mandatory and some are discretionary.

| Stage | Description | Set by EC directive or discretionary | Calendar days |
|-------|---|--|---------------|
| 1 | PIN published in OJEC | Optional | |
| 2 | Notice sent to OJEC | Suggest 30 days after Prior Information Notice published | 0 |
| 3 | Closing date for response to notice | Minimum 37 days set by EC directives | 37 |
| 4 | Appraise candidates and prepare shortlist | Suggest you allow a minimum of 7 days | 7 |
| 5 | Issue Invitations to Tender to shortlist | | 1 |
| 6 | Closing date for tenders | Minimum 40 days set by EC directive | 40 |
| 7 | Evaluate tenders | Suggest minimum of 10 days | 10 |
| 8 | Agree preferred supplier and award contract | Suggest minimum of 10 days | 10 |
| | | | 105 |

The Prior Information Notice (PIN) is an optional additional stage which is normally only required for complex projects where several suppliers may need to collaborate to provide the required solution. You issue a PIN normally one month prior to issuing the second formal Notice to give the suppliers time to negotiate an agreement with the required sub contractors.

Then you publish a Notice which is a short formal notice defining the system/services you require. You also need to prepare a Pre Qualification Questionnaire (PQQ) asking suppliers a set of questions.

Responsees are required to submit the completed PQQ within 37 days of the notice being issued.

The procurement office is tasked with reviewing the responses and weeding out incomplete response which do not meet the mandatory requirements.

The project team then reviews the long listed responses and agrees a shortlist of suppliers.

The shortlisted suppliers are sent the full ITT and SOR package and are given 40 days to respond.

When the full tenders come back in the team marks the responses.

You then select the preferred supplier and proceed to contract.

This process is reviewed in more detail in [stage seven](#) of the toolkit.

Accelerated Tender

If you are in a rush because you need to spend the money in a specific financial year or must have part of the solution in place by a specific time then you can make a case for an accelerated tender.

We would not recommend using the accelerated tender route for an EDRM procurement as no supplier will be able to prepare a detailed and considered proposal for a corporate EDRM implementation in 10 days.

G-CAT/S-CAT

The other option is to take advantage of the G-CAT/S-CAT service provided by the Office of Government Commerce.

G-CAT is a catalogue based procurement vehicle that has been established and managed by OGCbuying solutions. It provides public sector bodies with a simple means of procuring IT goods and services related to those goods. There are 26 prime contractors for G-Cat spread across seven separate categories.

1. Hardware and systems integration
2. Telecommunications and related services
3. Software
4. 3rd party maintenance
5. Managed IT services
6. Value added reseller
7. Total solution provider.

If you just wanted to purchase EDRM software you could go through category 3 or 6. Category 7 is better suited to those education organisations who need a system and services.

S-CAT is a catalogue based procurement scheme set up and managed by OGC which provides public sector bodies with a simplified means of procuring and contracting for a range of IT and Business Services. The S-CAT categories are:

1. IS strategy development
2. Programme and project management
3. IT architecture design
4. Requirements specification, procurement, evaluation modelling, system acceptance and implementation
5. Body shop supply of IT specialist and general administration personnel
6. Consultancy and support services in respect of e commerce, EDI, multimedia and internet/intranet services
7. Consultancy and support services in respect of computer and communications security, contingency planning and disaster recovery
8. Advice on public-private partnerships including market testing/outsourcing and PFI
9. Telecommunications consultancy
10. IT and management training
11. Application development, support and maintenance including testing
12. Business and management consultancy
13. Advice and support services for record, data and knowledge management.

If you had opted to purchase the EDRM system via G-CAT category 3 or 6 then you could use an S-CAT consultant to tailor the product to fit your requirements under S-CAT category 11.

Alternatively if you decide that it is primarily a service procurement then you could simply contract under S-CAT category 11 for a service provider to meet this requirement.

OGC warn that where an S-CAT service provider is contracted to design and specify an EDRM system it is imperative that the S-CAT service provider assumes any liability associated with the correct technical specification of any hardware and software or technical platform that it

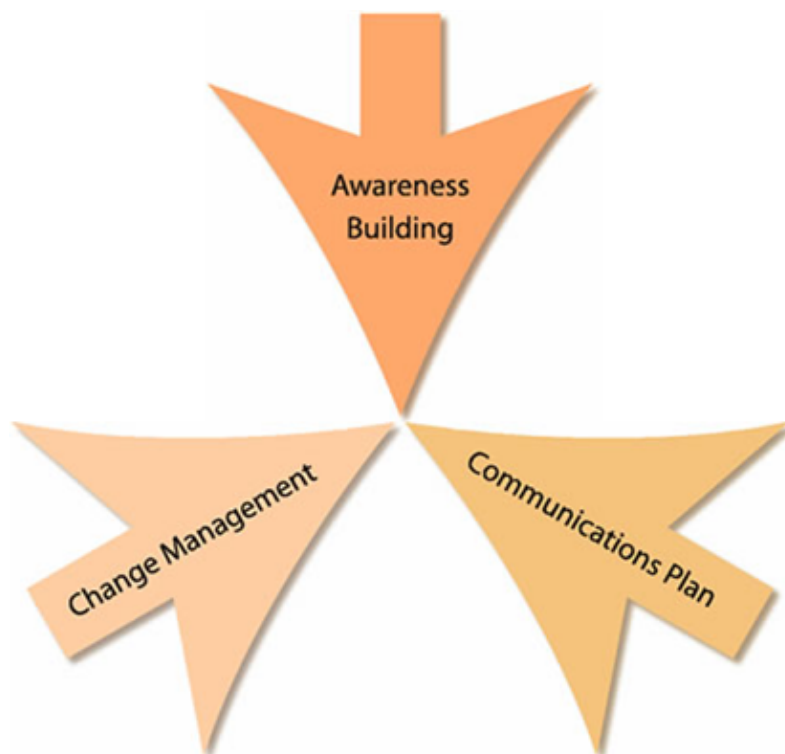
recommends. In other words is the platform specified able to scale to deliver the software solution envisaged or proposed? It may be necessary to set out the hardware and software acceptance criteria required within a special term (schedule) to any S-CAT service order.

To use G-Cat or S-Cat customers need to sign a customer access agreement with OGC buying solutions.

If using G-CAT or S-CAT you still need to enter into a competitive procurement which means you need to seek advice before selecting the G-CAT or S-CAT suppliers you want to shortlist. You then need to send them a full SOR and you need to evaluate their responses and negotiate with and contract with the preferred supplier.

Step Three – communications and change management

Your EDRM project plan should definitely include a series of change management and communications tasks. Implementing an EDRM system inevitably means significant changes to working practices. To make sure that staff are aware of the project and take a positive view of the project you need to keep them fully informed and you need to devote some resources to managing the change process and communicating the aims and objectives of the project.



Awareness building

Right at the start of your EDRM project or your overall records management programme you need to raise awareness of the programme and stress the benefits of all the preparative work.

You should make use of the new technology yourselves so an electronic project newsletter and project web pages on the intranet should both be planned for.

You need sufficient resources to update both on at least a monthly basis. Other communication routes include notice boards, staff publications and staff induction material to get the benefits of records management across.

When setting up the project and the project structures you need to be sure to involve senior management and some lively and opinion shaping staff in faculties and key administrative departments. Once they are on board you can use them to help you draw up a list of EDRM contact points in each faculty/department/business unit. Those staff will help you compile the records audit and should start to use your material to increase awareness in their areas. They should all be local champions for EDRM.

The project team and/or consultants should also set up early workshops designed to explain the objectives of the project to staff and outline the project plan and when staff will be impacted by the planned changes.

In all projects it is vital to pre-empt the rumour mill and be first to get out a positive message about your new project.

Change management

Throughout an EDRM project you need to ensure that people are ready for change. EDRM will impact almost all staff and people can feel very insecure and hence antagonistic if you simply tell them you are going to take their paper files away without explaining to them what you are going to provide them with as a replacement, what the benefits are, what training and support will be available and exactly when the change will happen.

Apart from the general awareness training and the communications plan described below, you need to publish the implementation plan and timetable and publicise the project office, the local contact points and the supplier contacts and indicate who staff should contact for information/support. The user group and the project board will agree where the pilots will be run and the preferred roll out order. This should be based on an informed assessment on how ready a department is for EDRM, how keen they are to be an early adopter and how suitable their records are for conversion. Once agreed this should be publicised and explained.

The next important step in the change management plan should be providing staff with a view of the planned solution. Once the preferred supplier has been selected they should be tasked with setting up a model office or a sample configuration of the solution. Staff in key departments including those who have signed up to run the pilots and be early adopters should be invited to use the model office and provide feedback on the user interface, the outline file plan and all aspects of the solution. Facilities should be provided for them to load sample documents and e-mails onto the system including scanning paper documents.

Next the project team and the supplier between them must provide a comprehensive change management or user implementation package for each section/Department starting with a pre-implementation workshop, an assessment of the records to be loaded onto the system; a plan for reducing paper storage; a plan for tidying up and restructuring local drives and e-mail inboxes; agreeing the folders to be set up and any backfile scanning and data migration requirements; setting up a training plan that ensures all staff are trained prior to implementation. It is important that these services are planned and either made a supplier requirement or a project team responsibility. The implementation package should provide a checklist for heads of department to complete to indicate that their department is ready to go live.

Between the supplier, the project team, any consultancy support and local contacts you need a mix of records management, IT and training expertise to provide a full change management package.

Training is a vital part of change management. When implementing a corporate EDRM solution you will need to provide at least four levels of training. Training for end users will ensure they know how to save documents to folders and index them and search for and retrieve them and that they can request new folders and other records services when required. If they are involved in team working

it will include training in using the business process management or collaboration tools implemented alongside the EDRM solution.

Training for operators will include how to operate scanners and quality check and index documents into the system. Training for the records manager and the records management contact points will include the user training plus training on how to set up new folders and folder parts and how to review and dispose of folders and documents according to the agreed procedures.

Finally there will be system administrator training for those tasked with managing the system and registering new users, setting access rights and privileges, backing up and archiving data etc.

Communications plan

This is linked to the awareness building tasks described above. However, the communications plan should cover the duration of the project. So in addition to announcing the project you should use the communication channels set up for the project to keep staff aware when all the major milestones are achieved, if there are any changes to planned timetables; training dates; acceptance testing dates etc.

The most successful approaches include web pages, an electronic newsletter, e– mail, notice boards and one to one workshops.

When setting up the project plan it is useful to create a list of communication milestones or events and tick them off through the project.

The communication plan should also cover the promotion of good records management practice. As policies and procedures are agreed they should be publicised as should the overall file plan when it is agreed. As part of the roll out when a Department has its folders all on the system then that should be publicised.

Useful features for the web pages can be a Frequently Asked Questions (FAQ) page in which some of the worst rumours about EDRM projects can be answered.

Deliverables from stage two

After completing stage two of the toolkit you should be able to produce as many of the following deliverables as you need for your project

| Step | Deliverable |
|------|---|
| 1 | Project Definition documents comprising: <ul style="list-style-type: none"> • Project brief (mandatory) • Business case (outline at this stage – see stage five for detailed guidance) • Project Initiation Document (mandatory) • Project charter (optional) • Project costs (updated and refined as requirements detailed) |
| 1 | Project plan (updated throughout project) Project stage plans (developed at start of each stage as defined in overall project plan) Risk register Issues register |

| | |
|---|---|
| | Change management plan |
| | Quality plan |
| | Project closure document and post project review document (see stage 9). |
| 2 | Procurement plan |
| 3 | Communications and change management plan |

Resources required to complete stage two

The resource required for stage two will vary depending on the size of education organisation and whether or not the project includes a records management programme as well as an EDRM procurement.

For [step one](#) the project manager should obtain sponsorship and document an outline project brief.

Consultancy support should be procured to assist in writing the outline business case and the PID and estimating the overall project costs.

The project manager should draw up the initial project plan with consultancy support and maintain it with ongoing support from a consultant in the early stages and from the supplier post procurement.

The project manager, consultancy and supplier should draw up the project stage plans.

The project manager and the consultant should draw up the risk and issues registers and the change management plan, quality plan.

For [step two](#) the project manager and the consultant should draw up and agree the procurement plan.

For [step three](#) the project manager and the consultant should draw up the communications and change management plan.

| Step | Resource estimate(days) | Description |
|----------------|-------------------------|---|
| 1 | 50 | Project and/or consultancy resource to produce the documents and keep them up to date throughout the project. |
| 2 | 10 | Project resource to draw up and agree the procurement plan and keep it up to date |
| 3 | 10 | Project resource to draw up and keep up to date the communication and change management plan. |
| Total Steps1-3 | 70 | |

Tools to complete stage two

- Word processing software
- Project management software (see [JISC infoKit](#) for guidance)

Frequently asked questions

Question:

Why do we need to follow a project management methodology?

Answer:

Because managing an EDRM project is a complex task and unless you follow a clearly defined plan you will forget to complete key tasks and will not be able to provide the progress reports required by your project board. If you leave then handing over the project to your replacement will be a very difficult process and your education organisation will be vulnerable.

Question:

Why is an EDRM project any different from any other IT project?

Answer:

It is not really. However it will be a big IT project as it will impact almost every member of staff and it will change the way they work. Therefore it needs careful planning. If you include all the records management tasks in the project then it also represents a major logistic exercise that has to be carefully planned for to ensure that the RM tasks are completed well ahead of the EDRM procurement and all the dependencies are met.

Question:

Can we do all this in-house or do we need consultancy or project management support?

Answer:

You can do it all in-house but as EDRM is relatively new in the education community it is not generally recommended. However, consultants are expensive so you need to ensure you have sufficient resources internally to carry out the core project management tasks and then just use the consultancy to carry out those specialist tasks when they can add value. These are indicated in this stage.

Question:

What is the best way of procuring an EDRM system and associated services?

Answer:

The options are reviewed in step two. Given that you have many other parallel tasks to complete the EC restricted tender programme can provide structure to your project. There are fixed milestones when you will be very busy but also gaps when you are waiting for supplier responses etc when you can concentrate on the other tasks.

Hints and tips for stage two

1. Ensure you study the JISC infoNet project management methodology and follow it as closely as you can when planning and managing your EDRM project.
2. Get in some external advice and expertise in the form of independent consultants plus your procurement department plus IT staff who have managed large IT projects before. They can

help you produce a realistic plan and budget. Someone who has gone through all this before can challenge some of your assumptions and provide informed answers to your questions and give you the confidence that you have made the right decisions.

3. Ensure that you have obtained senior management support and have the right project structure including the project board and the vital user group so you have users involved at an early stage.
4. Do not to ignore the change management and communications requirements. Today the main reason EDRM projects fail is not because the technology does not work. It is because insufficient effort was put into winning over the stakeholders and the users and ensuring that they receive all the support they need to use the system and make it work.

Additional References and Case Studies

Design criteria standard for electronic records management software application (version 19, June 2002) US Department of Defense, Washington 2002. DOD Directive 5015.2.

<http://jitic.fhu.disa.mil/recmgt/p50152s2.pdf>

MoReq – Model requirements for the management of electronic records. CECA–CEE–CEEA. Bruxelles Luxembourg 2001.

<http://www.ispo.cec.be/ida>

Functional requirements for ERMS 2002. The National Archives.

<http://www.nationalarchives.gov.uk/electronicrecords/reqs2002/pdf/requirementsfinal.pdf>

For Project Management, as well as the [infoKit](#) the OGC PRINCE2 website has further details of the PRINCE2 project management methodology.

<http://www.ogc.gov.uk/prince/index.htm>

The OJEC website for details of EC procurement procedures

<http://www.ojec.com/>

The industry yearbook published by [Cimtech](#) provides a comprehensive list of all the main suppliers in each of the categories described in [stage one, step one](#). It also provides a detailed management guide to the subject. Electronic document, records and content management: a comprehensive guide to electronic document, records and content management and a directory of products and services 15th edition 2004 Cimtech Ltd, University of Hertfordshire, College Lane, Hatfield, Hertfordshire AL10 9AB.

http://www.cimtech.co.uk/Main/Pub_EDRCM.htm

The DIRKS Manual, Steps A – D

<http://www.naa.gov.au/recordkeeping/dirks/dirksman/contents.html>

BSI–ISO 15489 – 2001 – Information and documentation – records management. Standards. BSI Customer Services 389 Chiswick High Road, London W4 4AL
<http://www.bsi-global.com/>

For modelling and redesigning business processes there are a number of useful reference works available as well as the Process Review infoKit. The following are three which we would recommend.

- Dave Chaffey. Groupware, Workflow and Intranets. Re–engineering the enterprise with collaborative software. Digital Press. Butterworth Heinemann. ISBN 1555581846.
<http://books.elsevier.com/marketing?isbn=1555581846>
- Thomas M Koulopoulos. The Workflow Imperative – building real work business solutions. Van Nostrand Reinhold. 1995 ISBN 0442019750.
- Rosemary Rock–Evans. Data modelling and process modelling. 1992 Butterworth Heinemann, ISBN 0750607394.

For guidance on the conduct of records audits, the design of business classification schemes and retention schedules you are recommended to visit the National Archives website.
<http://www.pro.gov.uk/recordsmanagement/standards/default.htm>

Magazines which contain useful case studies describing how organisations have successfully implemented an EDM or EDRM system include the following:

Managing information and documents MiD. Infoconomy Ltd, 17–18 Margaret Street London W1W 8RP.
<http://www.infoconomy.com/>

Information management & technology. Cimtech Ltd University of Hertfordshire, College Lane, Hatfield, Hertfordshire AL10 9AB.
<http://www.cimtech.co.uk/>

Web sites that contain useful information on all aspects of EDRM include the following plus individual supplier web sites:

- <http://www.aiim.org>
- <http://www.cimtech.co.uk>
- <http://www.document-manager.com>

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