2013

Managing Information and Records

Cimtech

The definitive guide—2013 Edition

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Chapter 5

Designing and Implementing an Information and Records Management Solution

● Information and Records Management Best Practice ● IRM Solution Options ● Enterprise Content Management from A to Z ● Designing and Implementing an IRM Solution ● Making the Business Case

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Chapter 5

Designing and Implementing an Information and Records Management Solution

This chapter outlines a proven methodology for designing and implementing an information and records management solution. If you wish to review your current information and records management policies, procedures and systems, benchmark them against best practice, improve them to meet best practice and your specific objectives, and implement an information and records solution based on new or existing tools, then this chapter provides you with a guide to managing the project.

It is based on a system implementation toolkit developed for JISC by Cimtech and available on the JISC Infonet website[1]. It can be easily adapted to cover a solution based on existing tools, a solution based on a full ECM system or an outsourced solution. The toolkit itself was based on Cimtech's own methodology developed over twenty-five years of consultancy in this field plus the DIRKS methodology[2] which was developed by The National Archives of Australia and developed as an international standard in ISO 15489[3]. DIRKS is no longer promoted by The National Archives of Australia but we continue to refer to DIRKS where it offers more details than the ISO standard.

The methodology comprises a total of ten stages. A complex stage will be broken down into several steps for clarity. Depending on the type of solution you opt for you may not need to go through every stage. For some organisations the methodology can function as a stage-by-stage guide to setting up, planning and managing an information and records management project. For others, who already have some of the information management framework in place, the methodology can provide a checklist to fill in the missing pieces.

Cimtech offers a one-day course at the University of Hertfordshire[4] to explain the methodology in more detail. This course can also be delivered inhouse for an organisation's project team.

5.1 Stage 1 – Positioning Information and Records Management Solutions

Stage 1 is designed to help the project team agree exactly what they mean by an information and records management solution and how it fits in with corporate strategy and existing IT systems. It will also help show how a solution implementation is just part of an overall information and records management programme. Stage 1 comprises:

- Step 1 defines what an information and records management solution is, what it is designed to do, what variations of solutions and systems exist under different acronyms, and how they vary in scope and function.
- Step 2 positions such solutions alongside other IT systems and applications within the organisation.
- Step 3 reviews best practice guidance for operating an information and records management programme.

For the first two steps you will find help in the A to Z of ECM functionality in Chapter 4 of this guide. For Step 3 you will find guidance on best practice in Chapter 2. The full contents of Stage 1 can be found on the JISC Infonet website[1].

Cimtech's methodology: the 10 stages

Stage
1. Positioning ECM and EDRM systems
2. Defining and managing your project
3. Information gathering and analysis
4. Feasibility study and options review
5. Making the business case for the preferred approach
6. Defining the statement of requirements (SOR)
7. Procuring the solution
8. Managing the implementation
9. Measuring the results
10. Project closure and solution support

5.2 Stage 2 – Defining and Managing a Project

This stage is designed to help the project team set up and manage their project. Stage 2 comprises three steps:

- Step 1 looks at a recommended project management methodology.
- Step 2 provides guidance on the procurement options available if needed and how to choose the right one.
- Step 3 looks at change management and communications as part of an overall project plan.

5.2.1 Stage 2: Step 1 – Project management methodology

All types of project benefit from following an agreed and proven project management methodology. Cimtech follows the project management methodology outlined in the JISC Project Management infoKit[5]. This takes an approach based on the PRINCE2 (Projects In Controlled Environments) methodology approved by government for public sector projects and widely used in the private sector as well.

The five main components of the JISC methodology:

The five main components of the JISC methodology

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

Project start-up and closure occur once. Planning, managing and controlling form an iterative cycle that may repeat many times before the project is complete.

Project start-up

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

Project start up

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

SCOPE
PROJECT

It is vital to define the scope of the project and JISC recommends up to four documents to define the project: (i) the project brief, (ii) business case, (iii) project initiation document (PID) and (iv) project charter. The business case is an outline document at this stage. The methodology assumes a detailed business case is produced at Stage 5 once the information gathering, analysis and feasibility stages have been completed and a preferred approach agreed. The PID is also updated later after the preliminary investigation in Stage 3.

JISC provides a link to a PID template on the project management infoKit[5]. There are ten recommended core components for a PID as listed below:

Core contents for a PID

- Project goals and objectives and critical success factors
- Project scope
- Identified risks and constraints affecting the project
- Assumptions made about the project
- Project's organisation structure and roles and responsibilities
- Project control mechanisms
- The reporting framework
- Stakeholders and their involvement
- Project planning and a milestone project plan
- Project budget

One vital area to define is the scope of the project. Organisations planning to set up an information and records management project will typically fall into one of three categories.

Category 1 The organisation has a designated information and records manager and is undertaking a programme of information and records management (IRM) projects to set up IRM policies, procedures and systems. The information and records management (IRM) solution implementation project is planned as part of this overall programme. The overall programme plan and timetable should show the IRM projects starting ahead of the solution project and should show the key dependencies between them including the following:

- An information and records management policy will be published prior to implementing a solution.
- IRM roles and responsibilities will be put in place.
- A corporate information and records audit will be completed prior to implementing a solution.
- A corporate classification scheme/file plan will be designed prior to implementing a solution or scheduled to complete in step with the planned roll out of the solution.
- Retention schedules for all records listed in the audit will be documented prior to implementing the corporate solution.
- Procedures and systems for the management of semi-current and archive paper records will be documented prior to implementing the corporate solution.

In this case the project plan can take account of all the IRM tasks that have been completed and some of the steps outlined in Stages 3, 4 and 6, below, can be truncated or avoided.

Category 2 The organisation has a designated information and records manager and is undertaking a programme of IRM projects to set up and agree professional IRM policies, procedures and systems. No solution implementation project was originally planned as part of this overall IRM programme.

In this case a separate IRM solution implementation project plan is needed and will need to include reference to the existing IRM programme and the key dependencies between the solution implementation project and the IRM programme. The key dependencies would be the same as those listed under Category 1. The solution implementation project plan can take full account of all the IRM tasks that have been completed and hence some of the steps outlined in Stages 3, 4 and 6 can be truncated or avoided.

Category 3 The organisation is not currently undertaking any programme of IRM projects. The decision to set up an IRM solution implementation project has just been made and the organisation is starting to draw up a project plan. In this case either two projects should be set up, an IRM project and a solution project, and the key dependencies between them defined or, if it is more expedient, an IRM solution implementation project should be set up including all the required IRM tasks within the plan. What such organisations should not do is plan to implement an IRM solution without having undergone any form of IRM programme and with no professional IRM input to the project.

Project planning, project closure

In a long IRM project it is not desirable or feasible to develop a complex and very detailed plan at the outset and then stick rigidly to every element of that plan. Only when Stage 1 is complete can we go into detail on Stage 2, and only when we have made key decisions in Stage 2 can we define the detailed requirements for Stage 3 and the resources that will be required to complete it. Hence planning is a repeated task that carries on throughout the life cycle of the project and the project plan will be a living document that will not be finished until the project has been completed

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

Organisations need software tools to assist with project planning and management. These are covered in the JISC project management infoKit. They must also be able to estimate the time and resources needed to complete all the tasks. The JISC EDRM toolkit provides a 'Resources required to complete the stage' subsection for each stage.

At the end of each stage key aspects of the project should be reviewed including:

- The business case as outlined in the PID and detailed in Stage 5
- The project scope as defined in the PID
- The project stages as defined in the project plan
- Is the project meeting the objectives defined in the PID?
- Has the risk situation altered?
- Should the project progress to the next stage?

Only when these questions have been answered should teams plan the next stage in detail.

There should be a reporting standard for the project. A standard highlight or status report template can be useful and the JISC Project Management infoKit provides samples. Dates should be scheduled for formal steering and project board meetings to coincide with the completion of major stages. It is good practice to set up a user group and plan regular monthly meetings as part of the communications plan, which is reviewed in Step 3 below.

Once the project plan and the monitoring, review and reporting mechanisms have been created, the last major area is the control mechanism needed to keep the project on track and deal with the issues that occur during a long and complex project. These include:

- Risk management
- Issue management
- Change control
- Quality control

Finally, at the end of the project it should be formally closed to ensure that:

- The organisation has formally accepted all outcomes.
- Operational procedures are in place
- The hand over to operational staff has been completed.
- Documentation and reference material is in place.
- Any further actions and recommendations are documented and disseminated.
- 'Lessons learned' have been documented and shared as appropriate.
- The results are disseminated to the relevant people.
- There are no loose ends.

5.2.2 Stage 2: Step 2 – Procurement approach

The project plan should include details of the preferred procurement approach if required.

The choice of approach can influence the timetable as it will introduce defined milestones. A formal public sector procurement can take 6 months to get to contract signing. More than one procurement might be required if independent consultancy is needed.

Consultancy and project management support

First, some third-party consultancy support or project management support may need to be procured. Depending on the size and duration of the project organisations can run a competitive procurement for consultancy, which involves writing a brief for the work, inviting three quotations and selecting the best value proposal.

When procuring consultancy support, clarify whether IRM project or solution procurement support is required, or both, and seek references where work has been done of a similar nature. When procuring project support expertise it is worth specifying that this is an IRM project and that staff with experience of managing similar projects are required.

Procuring solution and supplier services

The second and major procurement is for the solution and/or associated supplier services. Detailed advice on compiling a statement of requirements (SOR) for a solution and services can be found in Stage 6. Detailed advice on the procurement options can be found in Stage 7 and in the JISC EDRM toolkit. If you already have licences for the software (e.g. Microsoft SharePoint) then you may only need to procure supplier services to configure, implement and support the solution plus some add-ons to fill in gaps in SharePoint functionality. If you are planning to improve your information and records management using existing tools, you will not need to procure a technology solution but you may still need the third party consultancy support above.

5.2.3 Stage 2: Step 3 – Communications and change management

The project plan should include a series of change management and communications tasks.

Improving information and records management and, particularly, implementing an IRM solution will mean significant changes to working practices. To make sure that staff are aware of the project and take a positive view of it they need to be kept fully informed and resources need to be devoted to managing the change process and communicating the aims and progress of the project.

Awareness building

At the start of the project the awareness of the project needs to be raised and the benefits of all the preparatory work should be stressed. An electronic project newsletter and/or project web pages should be produced and updated regularly. Other communication routes include notice boards, staff publications and induction material.

Management need to be involved in setting up the project and the structures. They can help draw up a list of contact points in each department to help compile the records audit and increase awareness of the project in their areas. The contacts should all be local champions for IRM and the IRM solution. This is a good time to set up Local Information Managers, if you haven't done so already. The project team and/or consultants should set up workshops at the outset to explain the objectives of the project to staff, to outline the project plan and when staff will be impacted by the planned changes. It is vital to pre-empt the rumour mill and put out a positive message about the planned changes.

Change management

Throughout the project it is important to ensure that people are ready for change. They need to know what is being provided as a replacement for their current filing methods, what the benefits are, what training and support will be available and when the change will happen.

An implementation plan and timetable should be published and the project office and the local contact points should be publicised, indicating where staff should go for information or support. The user group and the project board should be involved in decisions as to which department will be the pilot and the order of the rollout after that. Once agreed, these too should be publicised and explained.

When the project reaches Stage 8, the user group can be involved in the model office, testing the configuration, the usability of the system and the effectiveness of the guidance and training.

When the system implementation reaches each department, it will need to follow a documented change management procedure. This will involve a pre-implementation workshop, benefits planning at a local level, an assessment of the information and records to be loaded onto the system, the design of a local fileplan and metadata, data migration plans, plans for any backfile scanning and a training plan that ensures that all staff are trained prior to implementation and assisted afterwards by ‘floor walkers’ who might be professional trainers or Local Information Managers.

The implementation package should provide a checklist for heads of departments to complete to indicate that their department is ready to go live. Amongst the supplier, the project team, consultant and local contacts should be a mix of IRM, IT, business analysis and training expertise to provide a full change management package. At least four levels of training should be provided for: end users, supervisors (Local Information Managers), IRM staff and system administrators.

Communications plan

The communication channels should be used to keep staff aware of when the major milestones are achieved, any changes to planned timetables, training dates, acceptance testing dates, etc. The project and stage plans should include a list of communication milestones or events to be ticked off throughout the project.

The communication plan should cover the promotion of good IRM practice. As policies and procedures and key deliverables such as the file plan are agreed, they should be publicised. Useful features for the project web pages can be a frequently-asked -questions (FAQ) page in which some of the misapprehensions about information and records management and the IRM solution can be corrected.

5.3 Stage 3 – Information Gathering and Analysis

Having positioned your project within the company (Stage 1) and set up the project structure and project plan (Stage 2) Stage 3 is where you carry out the information gathering and analysis. We assume a combined IRM programme and solution implementation project and divide it into four steps, following DIRKS:

- Step 1 : conduct a preliminary investigation.
- Step 2 : analyse business activity.
- Step 3 : identify the organisation's record keeping requirements.
- Step 4 : survey existing RM and other information systems.

5.3.1 Stage 3: Step 1 – Preliminary investigation

The DIRKS Manual Step A defines how to conduct a preliminary investigation. The 4 steps are:

- Determine the scope of the preliminary investigation.
- Collect information from documentary sources and interviews.
- Document the research.
- Prepare a report for senior management.

The work done in Step 1 needs to be balanced against the work planned for Step 4. The outputs of the preliminary investigation should be:

- A clear understanding of the organisation and the administrative, legal, business and social context in which it operates. This can help to scope the resources required to conduct the next steps.
- A general appreciation of the organisation's current record-keeping strengths and weaknesses including the need for an IRM Solution (e.g. ECM system) and the benefits it could bring in each area.
- Information to feed into the project definition and planning documents as defined in Stage 2.

Step 1 should ideally be carried out before the PID for the project is completed.

5.3.2 Stage 3: Step 2 – Analysis of business activity

We now need to analyse the organisation’s business activity in order to develop a corporate classification scheme and identify how processes can be improved. The DIRKS Manual Step B provides a detailed account of how to conduct an analysis of business activity. The key steps are:

- Collect information from documentary sources and interviews.
- Analyse the work that is performed by the organisation.
- Identify and document each business function, activity and transaction.
- Develop a business classification scheme based on business functions, activities and transactions.
- Validate the analysis of the organisation's business activity with senior management.

This is a resource-intensive activity. If the goal is to develop a comprehensive business classification scheme then as much of the organisation needs to be reviewed as possible but, if a phased solution implementation is being planned, information gathering can be phased as well.

For a radical implementation of an IRM solution that includes business process re-engineering, the core business processes need to be modelled so they can be redesigned to take advantage of the new technology and better meet business objectives. At the end of the analysis of business activity there should be:

- An understanding of the relationship between the organisation's business and records.
- A foundation for developing tools to establish corporate control over record keeping including a thesaurus, disposal schedules, record-keeping requirements and record-keeping responsibilities.
- An understanding of the scope for business process improvement and automation resulting from the implementation of an IRM solution incorporating BPM software if that is within scope.

This information should be clearly documented in:

- a function source document detailing the organisation's functions, activities and transactions with associated process maps/models.
- a business classification scheme that shows the organisation's functions, activities and transactions in a hierarchical relationship.

The classification scheme is used together with the record-keeping requirements defined in Step 3, below, to develop two additional important records management tools that are defined in the DIRKS Manual as being:

- A thesaurus of terms or records classification scheme to control the language for titling and indexing records in a specific business context
- A disposal authority/schedule that defines the retention periods and consequent disposal actions for classes of records.

The DIRKS Manual stresses that to conduct this vital step requires personnel with analytical skills, modelling techniques, oral and written communication skills and a broad knowledge of the institution. Internal resources can be used, if they exist, or a consultancy. Ideally a mix of both.

5.3.3 Stage 3: Step 3 – Identification of record keeping requirements

The DIRKS Manual Step C provides a detailed account of how to identify record keeping requirements. The key steps are:

- Locate relevant sources.
- Identify regulatory, business and community requirements for record keeping.
- Document these identified requirements in a suitable manner for reference purposes.
- Determine and document which of the identified requirements will be met.

At the end of the step the following should have been gained:

- An understanding of the organisation's need to keep records as evidence of its activities.
- An appreciation of the organisation's level of exposure to information risks and evidence-related risks.
- A framework to support records appraisal decisions and disposal actions.
- An appreciation of the factors that influence how these requirements can be met.
- A benchmark for judging whether the organisation's current records systems meet these requirements.
- A basis for determining the strategy which will enable the organisation to meet these record-keeping requirements.

5.3.4 Stage 3: Step 4 – Assessment of existing systems

The DIRKS Manual Step D provides a detailed account of how to assess existing systems.

1. Survey and assessment of IRM systems

The four key tasks that comprise the DIRKS assessment of existing systems are:

- Identify existing paper, electronic and hybrid business information systems.
- Analyse whether the organisation's record-keeping requirements are being met.
- Determine whether current systems can meet the gap between what exists and what is desired.
- Prepare a report describing the strengths and weaknesses of existing information and records-management practices to form the basis for Stage 4-the feasibility or options review.

The primary tool for this is an **information audit**. Those looking to implement a corporate IRM solution, to conduct a full audit of current records for Data Protection or Freedom of Information purposes or to cost up scanning or off-site storage need a comprehensive information audit. An information audit will also create an information asset register for information assurance purposes (see Chapter 2).

An information audit uses a questionnaire to create a list of information assets. An asset might be a database, a set of paper files, a group of folders on a shared drive, an email folder or a set of information on any media. The defining factor of a single information asset is whether the asset can be successfully described in a single questionnaire. An organisation might have hundreds of information assets or over a thousand.

If the audit is carried out by a central team it will be a labour-intensive exercise that requires the team to visit every business unit, interview local contacts, inspect the records and complete the questionnaires on a one-to-one basis.

The alternative is a delegated audit, which is the less labour-intensive approach for the central team. It involves a three-pronged attack comprising questionnaires coordinated with workshops and followed up by selected face-to-face interviews where needed. Survey tools or electronic forms can be used for questionnaire completion. A network of local contacts will be needed to complete the questionnaires and must attend the workshop beforehand. If the role of Local Information Manager exists, this will form a ready-made network. If not, this is a useful opportunity to set up the role and to start the nominated staff on the learning curve towards their new duties.

The audit responses must then be collated and analysed and presented in a report format more digestible outside the records management team. The analysis and the interview findings should be used to identify risks and issues to feed into the Stage 4 Feasibility Study. The facts and figures obtained will form a baseline for the current state of play of the organisation's information management and can be used as a benchmark later to compare with results after the IRM improvement programme or technology solution has been implemented.

An Information Audit/Asset Register and accompanying Information Management Assessment is a very powerful tool but to be successful in a short space of time requires experience and resources, and is one area in particular where outside consultancy can pay dividends.

Guidance on conducting information audits is provided in the JISC toolkit[1] and on The National Archives website[6]. Cimtech includes training on information audits in its courses, particularly Information and Records Management using Existing Tools and Information Architecture for SharePoint Document and Records Management.

2. Survey of current document and/or content management systems

Many organisations already have a number of document management systems. As part of the records survey described above, detailed data should be gathered in the following areas.

- For existing document and records management systems gather data on current practices including:
  - (i) how they are captured/created
  - (ii) how they are indexed/organised/managed
  - (iii) what security and access controls are provided
  - (iv) what finding aids are provided
  - (v) how they are routed/distributed across the institution
  - (vi) how they are retrieved and viewed and copied/printed
  - (vii) where they are stored, backed-up and archived, and
  - (viii) how they are reviewed and disposed of.
- For all existing document and records management systems, gather volumetric data
- Review the IT infrastructure including the applications used to create documents and content.

The information and records management solutions review, together with the analysis of business activity and the questionnaires, needs to provide for each system or series a detailed review of the current creation or capture, management, access and disposal practices.

This is an area that can best be conducted by a specialist consultancy following a standard methodology. Those wishing to conduct such a review themselves need to study Chapters 2—4 above, and Stages 4 and 6 below in detail.

Outputs from Stage 3

At the end of Stage 3 there should be:

- An understanding of the organisation's information and records management environment.
- An understanding of the organisation's business activities, functions and processes.
- A register of information assets held.
- An understanding of the strengths and weaknesses of existing information and records management practices and systems.
- An appreciation of information issues and risks.
- A detailed understanding of the IT infrastructure, the core business administration systems and existing information and records management solutions.

- Data on current document and records and content management practices, sufficient to specify a set of requirements for a new solution.

5.4 Stage 4 – Feasibility Study and Options Review

This stage is designed to help the project team identify:

- the most appropriate policies, procedures, solutions and services to implement in order to meet the requirements and remedy the weaknesses identified in Stage 3,
- their key business objectives for the project (Fig. 5.1).

5.4.1 Stage 4: Step 1 – Agreeing a strategy for information and records management

The DIRKS Manual Step E provides a detailed account of how to develop a strategy for record keeping. A record-keeping strategy should include developing or adopting policies and procedures, developing or adopting standards and implementing new system components or complete new systems and practices.

The DIRKS Manual states that to complete Step E the following four tasks must be completed:

- Investigate the broad range of tactics available to satisfy record-keeping requirements.
- Identify appropriate tactics to satisfy the organisation's record-keeping requirements.
- Assess factors that may support or hinder the adoption of these tactics in the organisation.
- Adopt an overall design strategy to bring the tactics to fruition.

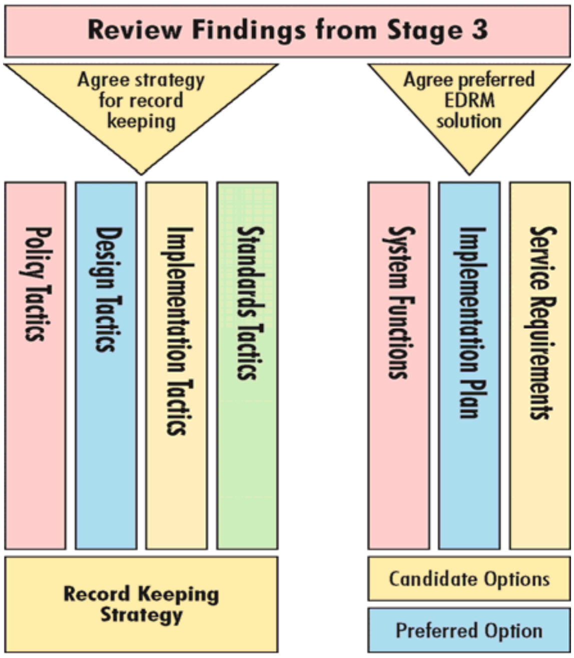


Fig.5.1 *The feasibility study options review (JISC)*

The overall result of this step should be an agreed, planned and systematic approach to the creation, capture, maintenance, use and preservation of records in the organisation that will:

- Form the basis for good record-keeping practices throughout the organisation.
- Assist with the design/redesign of the organisation's record-keeping and information systems.
- Contribute to related organisational objectives (BPR, e-business, compliance, etc.).

There are two key deliverables from this step:

- Documented tactics to satisfy the organisation's record-keeping requirements and constraints,
- A report for senior management recommending an overall strategy to improve record keeping.

Tasks that may result from the strategy may include:

- Developing a classification scheme and file plan
- Developing a corporate retention schedule
- Developing an information and records management policy and seeking its approval and adoption
- Developing a set of information and records management procedures;
- Defining corporate information and records management roles and responsibilities and re-engineering where required;
- Investing in information and records management education and training.

5.4.2 Stage 4: Step 2 – Agreeing a preferred IRM solution

There are five main questions that need to be answered in Step 2:

- What functions must the solution provide to meet record-keeping requirements and business objectives?
- What is the preferred implementation plan?
- What services are required to support the solution implementation?
- What are the candidate options?
- What is the preferred option?

System functions

In Chapter 4 of this guide we reviewed the core functions that comprise a full ECM solution. At Stage 1 it is difficult to know exactly what functions are needed as all the necessary fact-finding work has not been carried out. At Stage 4 it should be possible to decide on the functions and facilities needed and the resources available and hence whether the solution must be based on existing tools only or a point solution, an EDRM system or, a full ECM solution. More guidance is provided in Stage 6 below.

Implementation plan

Those implementing a corporate solution need to develop a phased implementation plan. Even assuming that there is an agreed classification and retention scheme and a core set of system functions to roll out, there are still many tasks to perform for each department/section prior to them implementing the solution. The preferred approach is to break down the implementation into phases and sub-phases. The coverage of each phase is detailed in the JISC toolkit and is reviewed briefly in Stage 8 below:

Phases	Description
Phase 1	Specification
Phase 2	Model office/prototype
Phase 3	Pilot(s)
Phase 4	Initial roll out
Phase 5	Secondary roll out
Phase 6	Corporate application development
Phase 7	Support

Service requirements

The third area where there are options to consider is services. Any purchased solution is made up of a combination of software, hardware and services. As long as the organisation has a modern IT infrastructure the only hardware probably needed for the solution will be scanning equipment and dedicated server(s) plus additional networked storage. Licences will need to be purchased for the software modules required to support the functions identified above.

Service requirements depend on how the solution is procured, what tasks the organisation is happy to take ownership of, and what tasks are delegated to the supplier or a third party. Even if no software needs to be procured there may still be a need for some or all of the following services in order to build on the preferred in-house software platform to develop the required solution. The table in Stage 6, step 5 (page 53), represents some core services that the supplier or third party integrators and/or consultants may be required to provide.

Options review

Based on the decisions made above, realistic options should be agreed and detailed. The work on Stages 1-3 and this step should enable the options to be narrowed down, leaving a subset that meet business objectives and IRM requirements within the budget. These options now need to be assessed so that the preferred option can be selected. It is always valuable to include the costs and risks of doing nothing, as well as comparing the costs, benefits and risks of various solutions.

5.5 Stage 5 – Making the Business Case for the Preferred Approach

This stage is designed to help the project team to make the strongest business case possible for the preferred option (Fig. 5.2). This is treated separately in Chapter 6 of this Guide. A full business case can also be found as Stage 5 of the JISC toolkit on the JISC Infonet website[1].

5.6 Stage 6 – Defining the Statement of Requirements

This stage is designed to help the project team to plan and produce any Statement of Requirements (SOR) that may be required for the preferred IRM solution and/or services. If a solution is to be procured then the SOR will form the major part of an invitation to tender (ITT) document to be sent out to shortlisted suppliers. The procedures will vary depending on the procurement approach adopted. If users are building on existing tools or using open software or software available already under a corporate licence (e.g. Microsoft SharePoint) then a system procurement may not be required but it may still be necessary to issue a services procurement for development and implementation support.

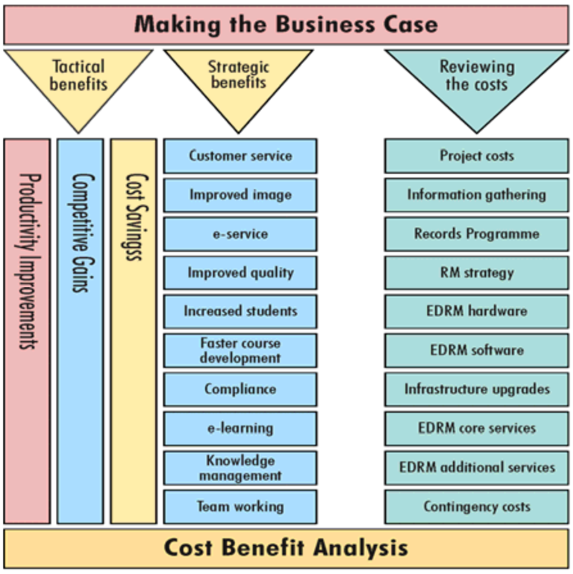

Making the Business Case
Tactical benefits
Strategic benefits
Reviewing the costs
Productivity Improvements
Competitive Gains
Cost Savings
Customer service
Improved image
e-service
Improved quality
Increased students
Faster course development
Compliance
e-learning
Knowledge management
Team working
Project costs
Information gathering
Records Programme
RM strategy
EDRM hardware
EDRM software
Infrastructure upgrades
EDRM core services
EDRM additional services
Contingency costs
Cost Benefit Analysis

Fig.5.2 Making the business case (JISC)

For this stage and Stage 7 (Procurement) it is assumed that this is a public sector procurement for a solution comprising ECM software and services, being conducted under the EU open-procurement, fixed-price procedure. For the private sector the procurement requirements are less demanding but good practice here also dictates a rigorous approach to defining requirements, inviting competitive tenders and evaluating responses.

Stage 6 lays out the process of compiling a statement of requirements (SOR) for an ECM solution (Fig. 5.3). It is based on a model six-part document:

- ITT
- background to the requirements
- functional requirements
- technical requirements
- service requirements
- price schedule

1. Invitation to tender

The first section to be completed is the ITT. It should invite tenders for a single contract covering the provision of the preferred IRM solution and associated supplier services for the whole, or a defined subset, of the organisation. It should make it clear that the solution will be implemented in phases and that there will be review points and potential termination points defined. It should lay out the following:

- Required format of responses.
- Responsibility for costs associated with bidding process.
- Scope of procurement/contract.
- Procurement process and evaluation criteria.
- Terms and conditions.

2. Background to the requirements

Section 2 of the SOR is designed to present to suppliers the background and business context. It should describe the business size, its functions, organisational structure and geographical locations together with its mission statement or vision for the future.

The current IM strategy and ICT infrastructure should be described. The policies, procedures and IT systems currently used to manage information and records then need to be outlined plus any planned new systems. The business objectives identified for the new solution should then be identified. This data enables the suppliers to understand the scope and culture of the organisation they are bidding to work with and their preferred IT platforms.

The phases of the preferred implementation plan should also be defined and departments and user numbers assigned to each phase.

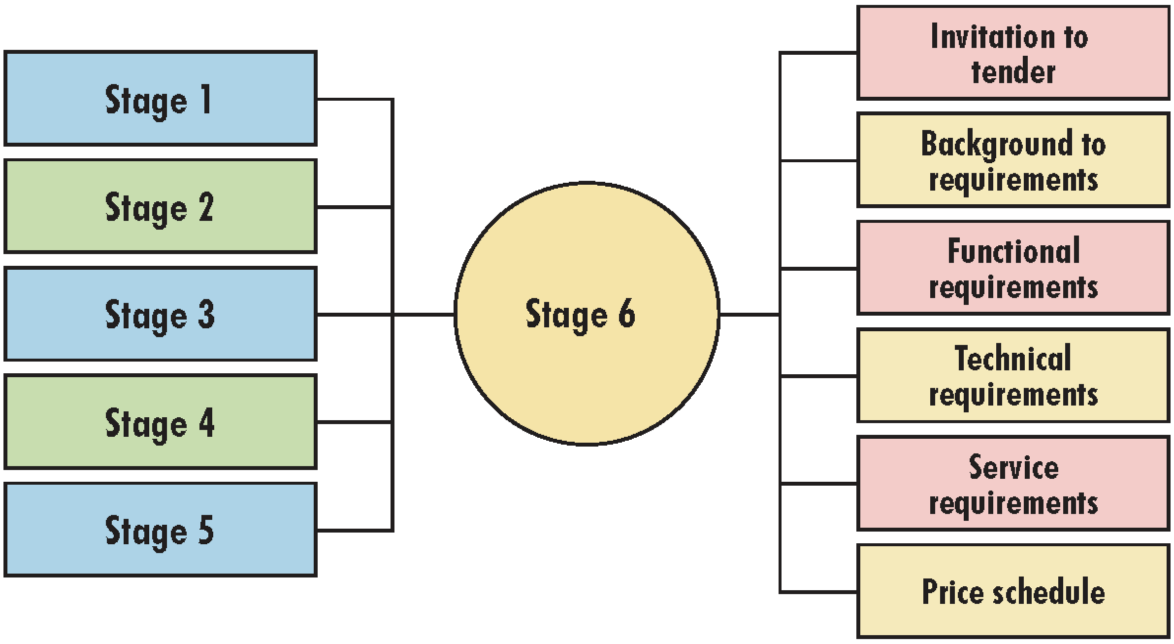
3. The functional requirements

Section 3 of the SOR lists the functional requirements. Functions can be listed in a tabular manner and allocated a status e.g. Mandatory (M), Highly Desirable (HD), Desirable (D) and Optional (O), with explanation of the meanings. Usually, vendors should be warned that failure to offer a mandatory requirement may lead to exclusion, however, use the term ‘may’ rather than ‘will’ in case no vendors fulfil all the mandatory requirements.

For convenience, the functions can be divided up using the same four headings we used in Chapter 4:

- Input
- Management
- Output
- Collaboration and Process management

Fig.5.3
The process for compiling a statement of requirements (SOR)



For the Records Management functionality we should look to standards (Chapter 2). It is not currently feasible to ask for compliance with either the National Archives 2002 Requirements for Electronic Records Management Systems[7] which are now superseded or the MoReq 2010 requirements[8], which supersede them but as yet can claim no compliant systems. Organisations in the public and private sector requiring a corporate solution with ERM functions should review the MoReq 2010 requirements and include as many of the core requirements as they need in their SOR. If a combined document and records management solution is required, specify that active documents and read-only records should co-exist in the same libraries and folders.

Stage 6 of the full JISC implementation toolkit reviews the specific requirements that may be included at each of the implementation phases.

4. The technical requirements

Section 4 should contain the key technical requirements designed to ensure the solution fits and runs on the current and planned IT infrastructure and that it can be supported by the ICT department with their skill set. This section is where we specify user numbers per phase, content volumes, performance requirements, mobile and remote access, resilience and availability, compatibility with ICT infrastructure and standards.

5. The service requirements

In Section 5 we need to specify the services required of the vendor. The core services are listed in the table below:

The issues and options, including some potential additional services that might be needed, are reviewed in full in Stage 4 of the JISC toolkit.

6. The price schedule

Section 6 should contain a proforma for the overall price schedule. This could be a separate document if the financial evaluation is to be kept separate from the quality evaluation. The tables should include one-off costs and recurring costs and optional costs. Vendors should be encouraged to offer fixed-price costs and to clearly identify any parts of the costs that are not fixed.

Vendor Services	
1	Project planning and management services
2	Configure, install and test the software on the hardware purchased by the organisation and attached to the network
3	Integration services as specified in the ITT to integrate the solution with the desktop and with key business administration systems
4	Change management, training and documentation services
5	Software support services for an agreed period of three to five years

It is helpful if the capital costs table is divided up by implementation phases with all costs allocated to phases. This simplifies matters should the contract need to be terminated at the end of a phase.

See Stage 6 step 6 of the full JISC toolkit for examples of the schedules.

5.7 Stage 7 – Procuring the Solution

This stage is designed to help the project team manage the procurement process efficiently (Fig. 5.4 overleaf). It comprises four steps. It follows on from Stage 2 of the toolkit where advice is given on project management and the choice of procurement approach. This stage assumes that a restricted fixed price EU OJEU (Official Journal of the European Union) procurement is undertaken.

- Step 1 covers a review of the suppliers on the market.
- Step 2 covers the notice and prequalification.
- Step 3 covers the issue of the ITT, clarifications and shortlisting.
- Step 4 covers selecting the preferred supplier.

As mentioned above, private sector companies are under no obligation to follow a rigid procurement procedure, but will benefit from a rigorous definition of requirements, a competitive procurement and a thorough evaluation of tenders, even if the procurement is only to implement licences already procured under enterprise agreements.

5.8 Stage 8 – Managing the Implementation

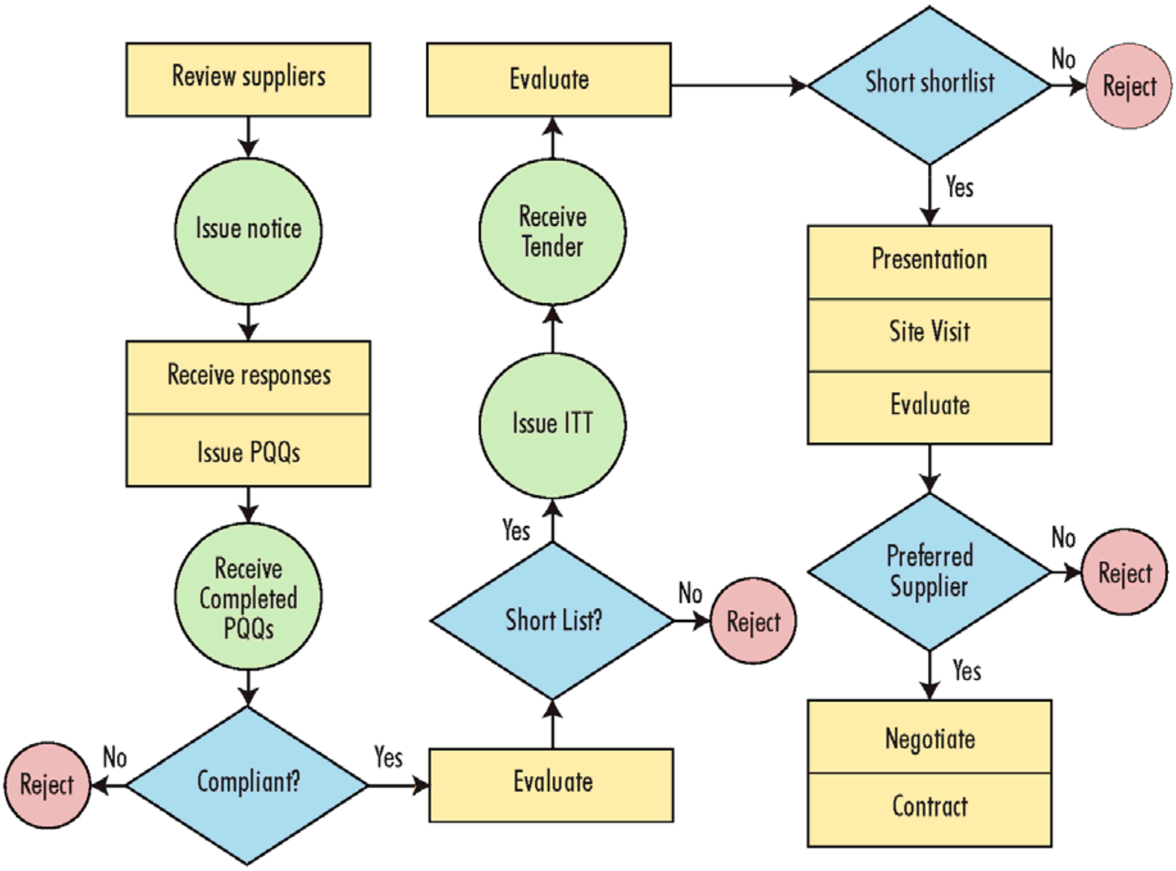
It is only after successful completion of all the previous stages that we can start to implement the selected solution.

Implementation has been split for convenience into six steps. The number may vary, but each agreed implementation phase needs to be planned and managed with the preferred supplier/service provider or in-house team tasked with supporting the implementation to ensure that both sides carry out their roles and responsibilities and that the requirements are met.

A project following PRINCE2 methodology will have controls at the beginning and end of each phase to ensure that the previous phase has been completed and signed off and the next phase has been sufficiently defined and agreed.

1. **Project initiation:** following award of contract to the preferred supplier.
2. **Model Office:** Specification and configuration of the baseline solution and creation of the proof of concept or Model Office. User acceptance testing.

Fig.5.4
Procuring the solution (JISC)


Review suppliers
Issue notice
Receive responses
Issue PQQs
Receive Completed PQQs
Compliant?
No
Reject
Yes
Evaluate
Short List?
No
Reject
Yes
Issue ITT
Receive Tender
Evaluate
Short shortlist
No
Reject
Yes
Presentation
Site Visit
Evaluate
Preferred Supplier
No
Reject
Yes
Negotiate
Contract

3. **Pilot(s):** one or more pilot implementations where the baseline solution plus any department/process specific functions is implemented in one or two departments/processes. Each pilot will require communications and change management tasks; implementation and support tasks and a user acceptance test.
4. **Roll-out:** the initial roll out of the baseline solution plus other specific functions to an agreed series of departments/processes. Each area should be supported as if it is a pilot.
5. **Further development:** of corporate applications built on top of the baseline solution. This may include the redesign of processes and the development of business process management applications.
6. **Project closure:** the end of the project when the solution will be supported alongside other core applications.

The Model Office is a very useful phase when putting in a complex solution with many configuration options. It can be a training room or virtual training room where we can invite in staff from the business units to try out the classification, configuration and user interfaces. Having this initial phase means that we have completed the user acceptance testing and usability testing and ironed out most of the issues by the time we hit a live department.

The pilot area(s) should be used to create template for the roll-out, so that the preparation, training, implementation and follow-up in each roll-out stage all follow a pre-defined plan. A well-resourced project will be able to employ a rolling approach in which one department is being prepared and trained while another is being implemented and so on.

The further development phase follows the corporate rollout in order to exploit the system more fully. In order to speed up the rollout and get the benefits of having every member of staff on the system we often recommend putting in a basic 'vanilla' configuration first then revisiting departments where business process redesign and further system functionality can bring additional benefits.

Your IRM solution starts to become 'business as usual' when the first of the departments has been rolled out. At this point the ICT helpdesk should

have taken over front line support and the corporate trainers have taken over training.

5.9 Stage 9 – Measuring the Results

This stage is designed to help the project team plan and manage the process of reviewing the project at key stages and measuring the results. Has the solution delivered the expected benefits? Has the solution delivered other valuable unexpected benefits?

Stage 9 builds on Stage 5 where we identify the benefits to make the business case for an IRM solution:

- **Step 1** makes the case for conducting a review of the project at key stages and measuring the results.
- **Step 2** covers the measurement of tactical or tangible benefits.
- **Step 3** covers the measurement of strategic benefits.
- **Step 4** covers feeding back the results obtained into the remainder of the project.

5.10 Stage 10 – Project Closure and Solution Support

This stage is designed to help the project team plan and manage the project closure process and ensure that the solution is fully supported. The JISC project management infoKit recommends that any project should be formally closed to ensure:

- The 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.

We would add that it is very useful to identify lessons learned and share them with other projects and other organisations.

This stage comprises two steps:

- Step 1 provides a checklist for project closure using the JISC headings
- Step 2 covers the support arrangements in more detail.

References

1. JISC. Implementing an Electronic Document and Records Management (EDRM) System. JISC applied infoKit *http://bit.ly/ZDy1m8*.
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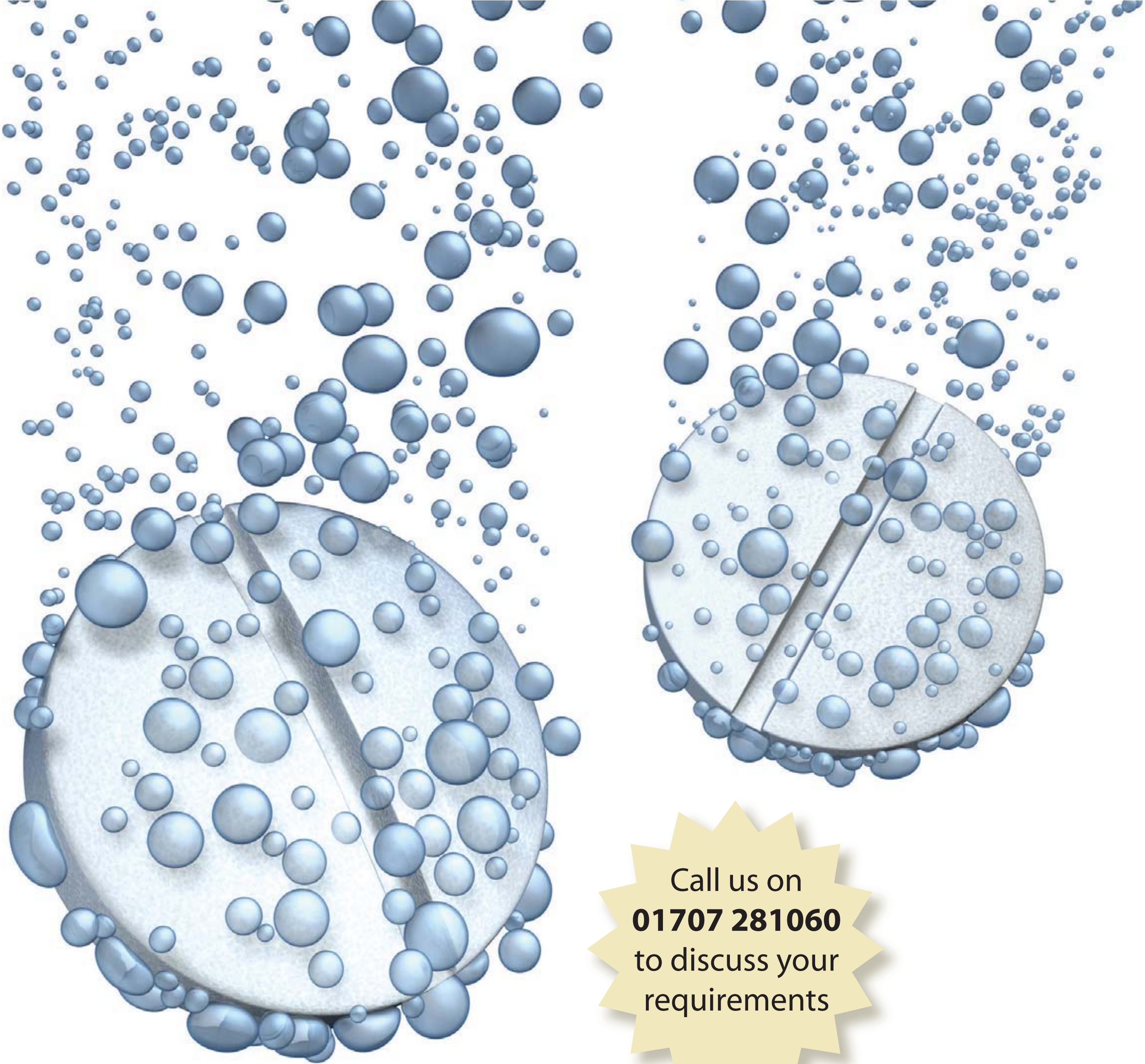
3. ISO 15489:2001 Information and documentation-Records management. BSI Business Information *www.bsi-global.com*.
4. Cimtech *http://bit.ly/1178yUz*.
5. JISC. Project Management infoKit *http://bit.ly/12s0b8U*.
6. IRM pages of The National Archives website *www.nationalarchives.gov.uk/recordsmanagement*.
7. TNA:2002 Functional Requirements *http://bit.ly/YuIuB5*
8. Modular Requirements for Records Systems (MoReq 2010) *www.dlmforum.eu*.



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