

# Preparing for EDRM – a case study

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# University of Hertfordshire

- One of the region's largest employers – 2700 staff
- Turnover £205M
- Student community of 23,000
- Including 2,000 international students from 85 countries
- 160,000 alumni
- 21 schools arranged into 6 faculties
- e-learning environment
- £120M de-Havilland campus
- £15M sports village



# Why is Preparation and Planning important?

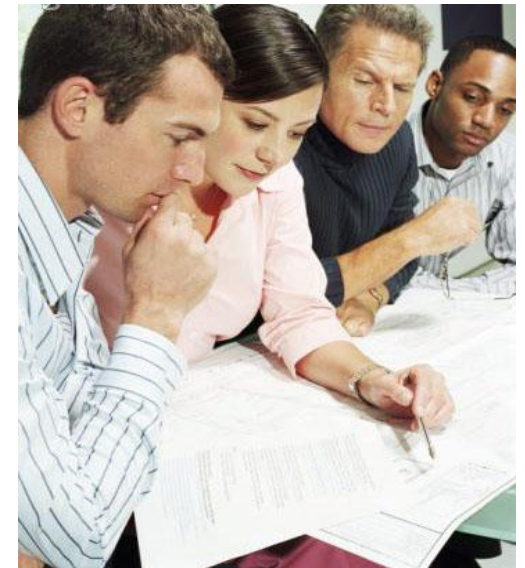
## EDRM Implementation To Do List ....

- Installation
- Communications
- Controls
- Budget Management
- Risk management
- Records audit
- Feasibility/Options review
- Testing
- Process change
- Solution development
- Change management
- Data migration
- Business Case
- RM strategy, policy
- Fileplan
- Retention schedule
- Requirements spec
- Procurement
- Training



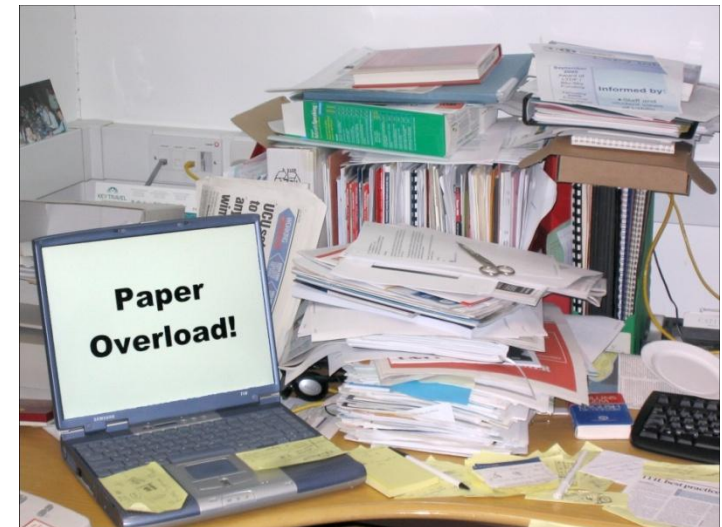
# Why is Preparation and Planning important?

- Extensive, complex and inter-related range of activities to be undertaken
- Significant investment (£100,000 - £1M+)
- Success rate
- High Risk
- Preparation required to mitigate and manage risk



# Why EDRM?

- A need to improve management of documents
- Records and major processes in paper format
- Efficiency
- Space utilisation
- Compliance with regulation & legislation
- Better student service
- Litigation support
- Protect records against loss
- Reduce risk through errors
- Information sharing



# Project Brief

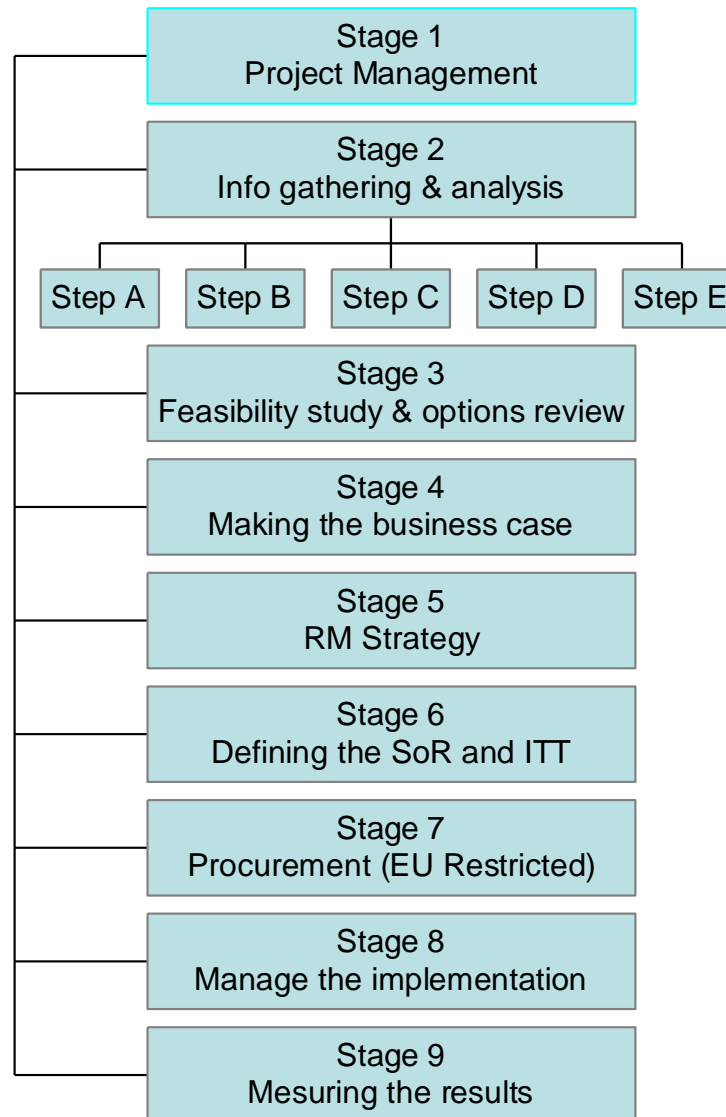
- Mandate from the OVC
- Improve record keeping across the University
- EDRM Project + Records Management Programme
- Initial scope: Investigations and Preparations for EDRM
- Initial budget: Services for above
- Endeavour to go enterprise-wide
- Outline Plan
- Clarity vital from the start!



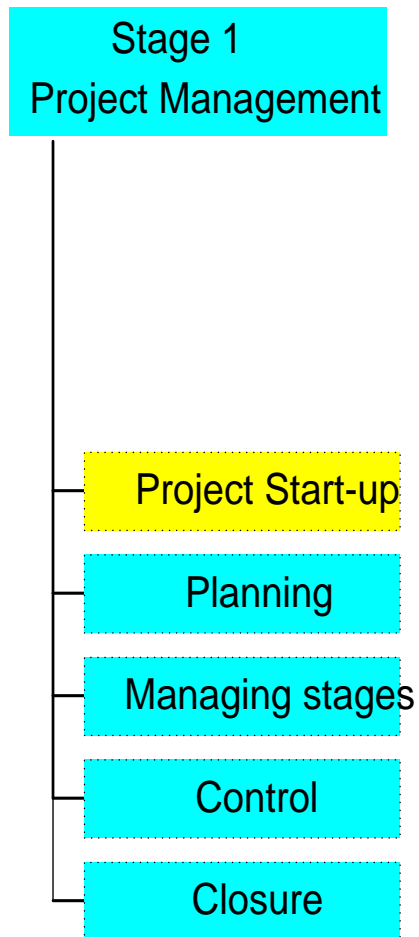
# Commissioning

- Commissioned Cimtech Ltd. to carry out services:
  - University owns Cimtech Ltd.
  - 20 years experience in preparing & implementing EDRM
  - 100's of clients in the public and private sector
  - Software independence
- Provision of services
  - Project Management
  - EDRM consultancy services
- JISC EDRM implementation methodology
  - Cimtech developed
  - infoKit on JISC infoNet

# EDRM implementation methodology



# Stage 1: Project Management



Repeat for each stage

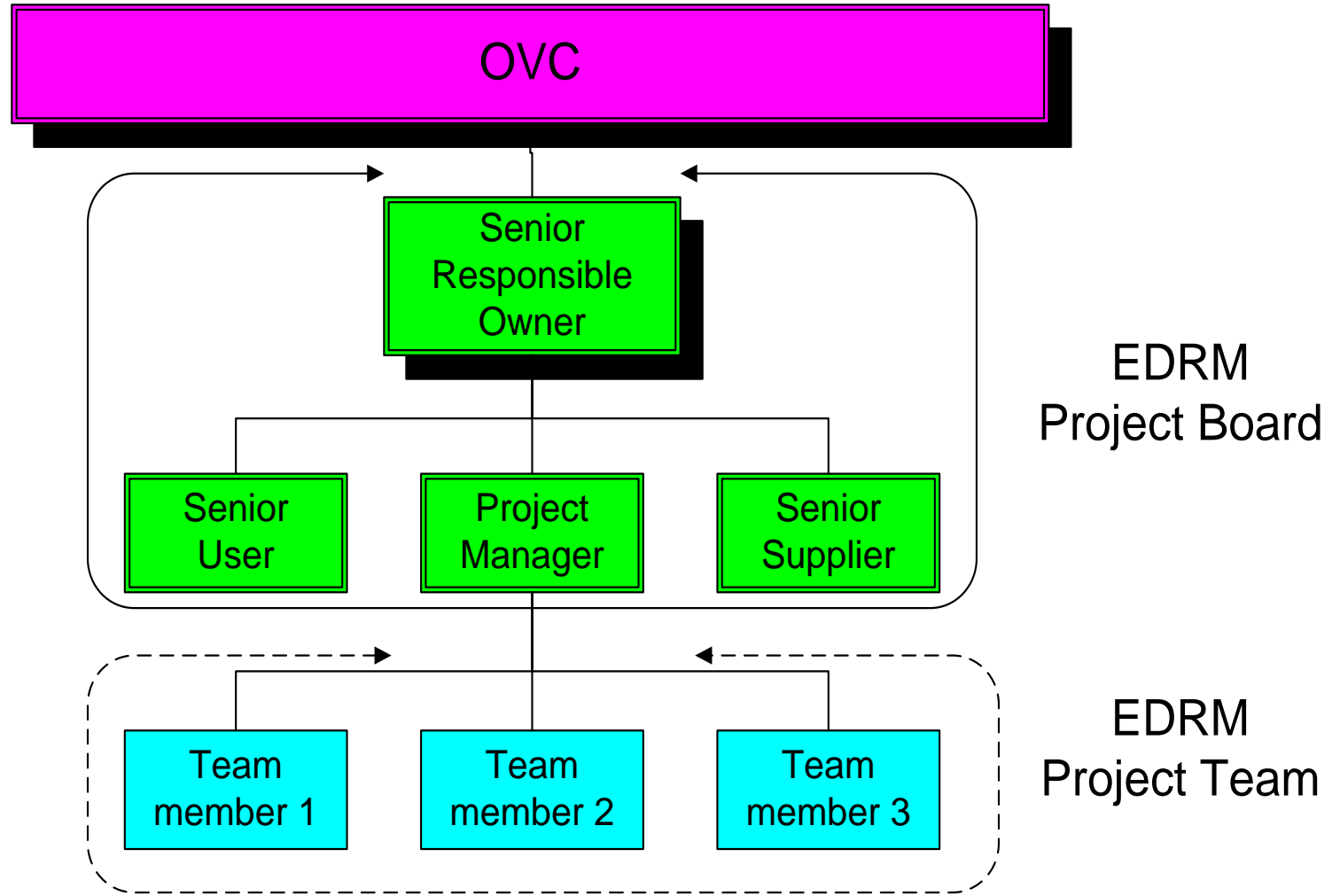


# Project Start-up: PID

- Definition
  - Objectives, Approach, Scope, Deliverables, Exclusions, Constraints, Interfaces
- Organisation Structure
- Communications Plan
- Change Management Plan
- Quality Plan
- Tolerances
- Controls



# Project Start-up: Project Board



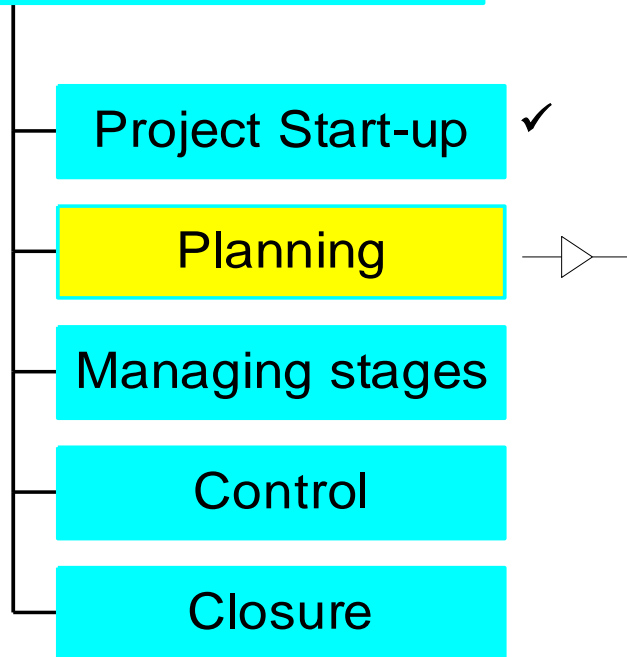
# Project Start-up: Communications

- Communications Plan
- Stakeholders
  - Project Board
  - Users & HoDs
  - University Staff
- EDRM Development Group
- Intranet Web Site
- e-newsletter
- Seminar/workshops

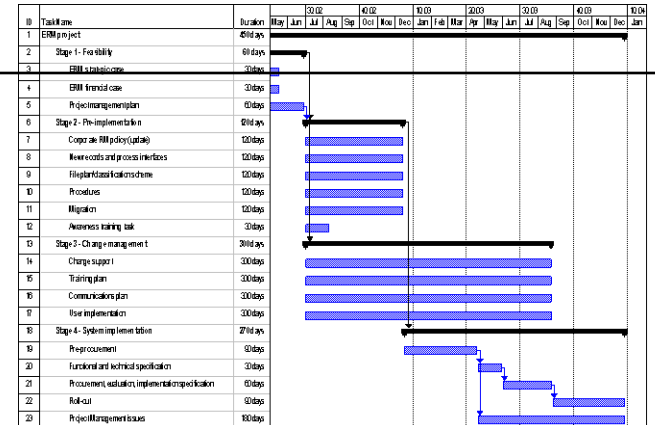


# Planning

## Stage 1 Project Management



Plan for each stage:  
‘Rolling Wave’ planning



# Managing Stages

## Stage 1 Project Management

Project Start-up ✓

Planning ✓

Managing stages

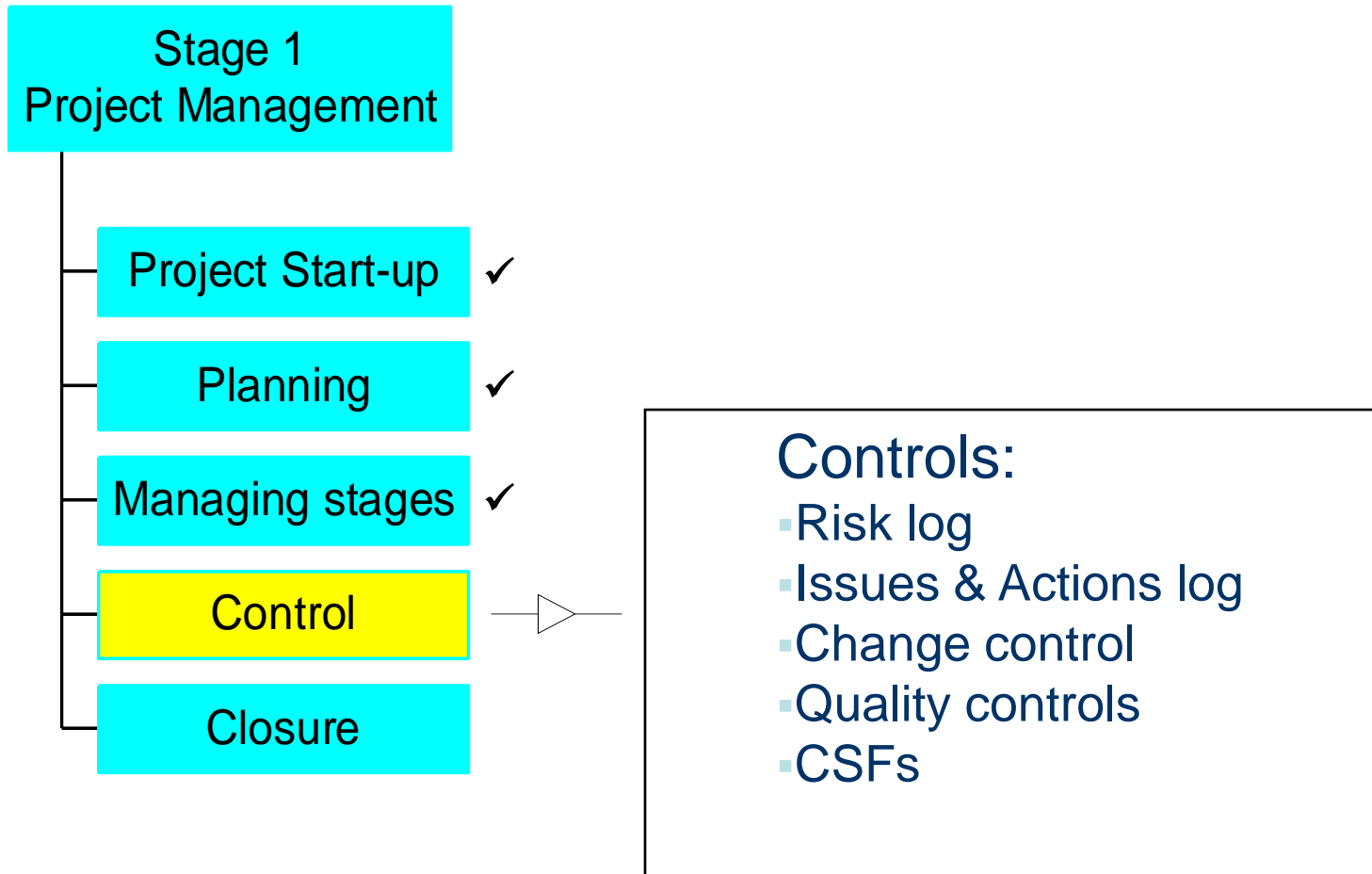
Control

Closure

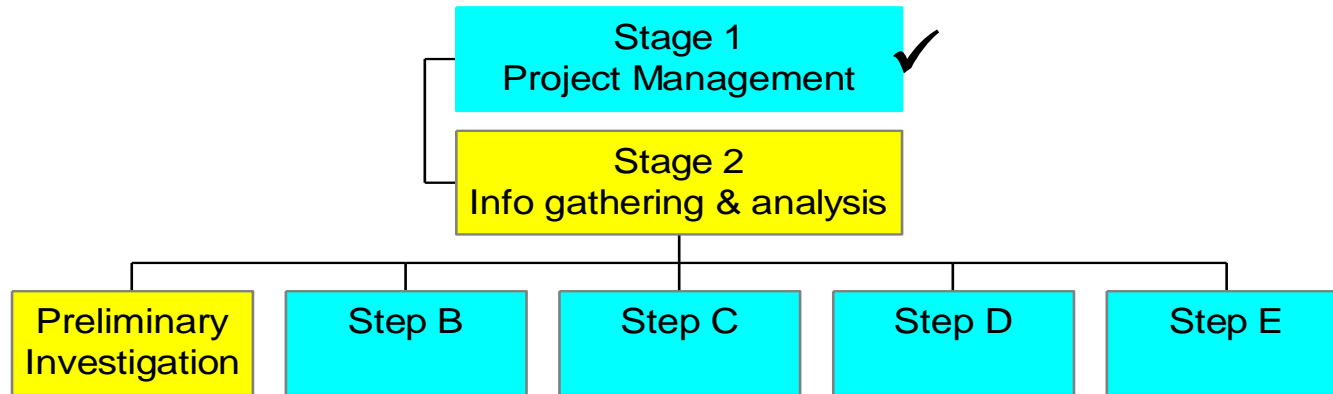
### Stage Plan:

- Stage description
- Pre-requisites and dependencies
- Deliverables
- Budgets
- Resources

# Controls



# Stage 2: Investigation and Analysis

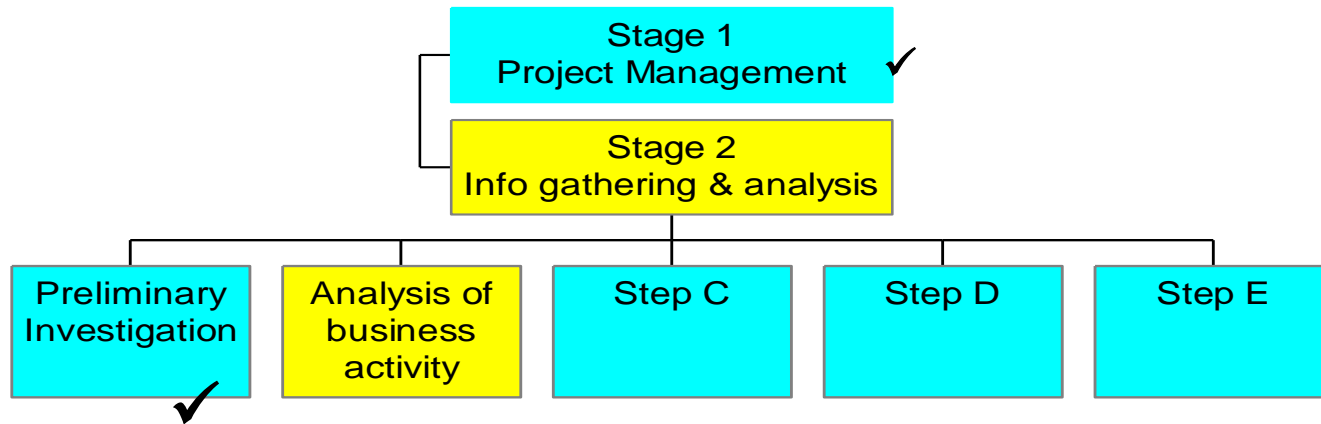


- Basic understanding of the University, structure, functions, activities, record keeping

Investigation



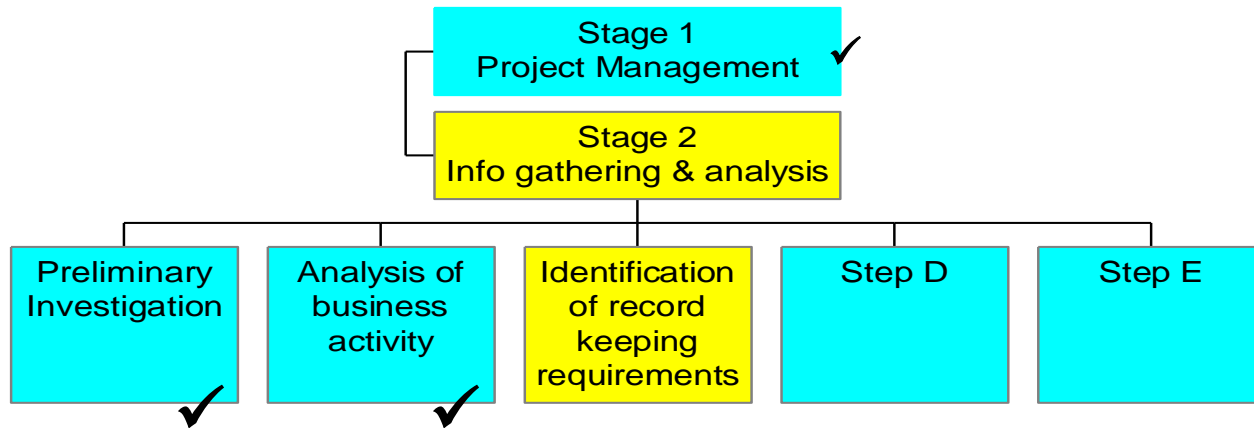
# Stage 2: Investigation and Analysis



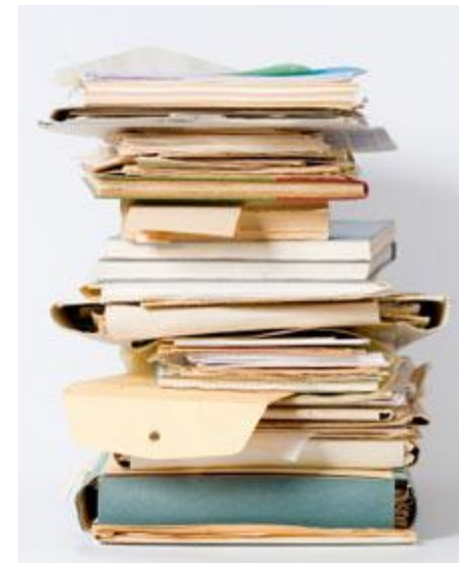
- Interviews and investigation
- Begin to map out (top level) functions for classification scheme



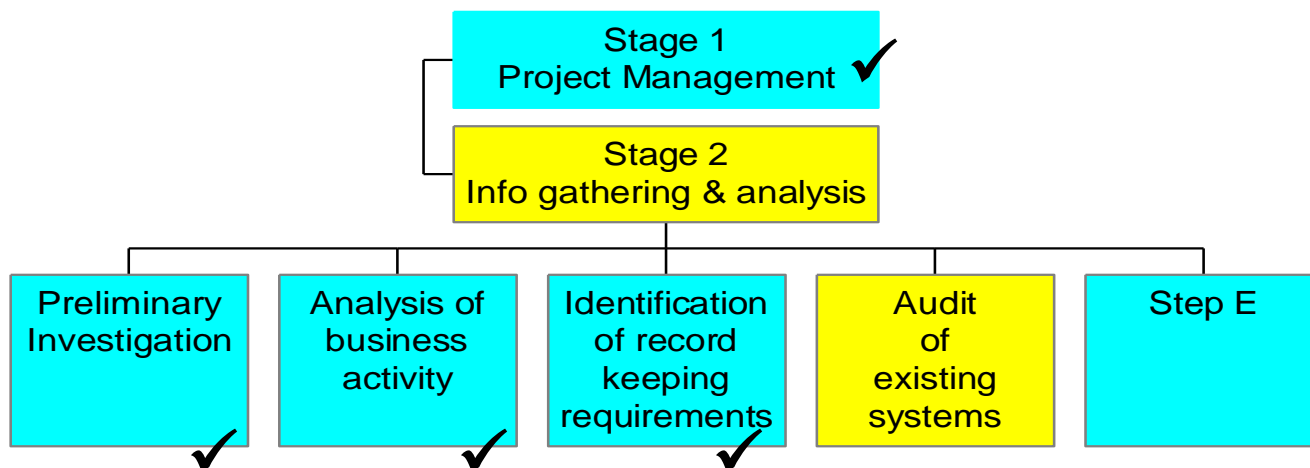
# Stage 2: Investigation and Analysis



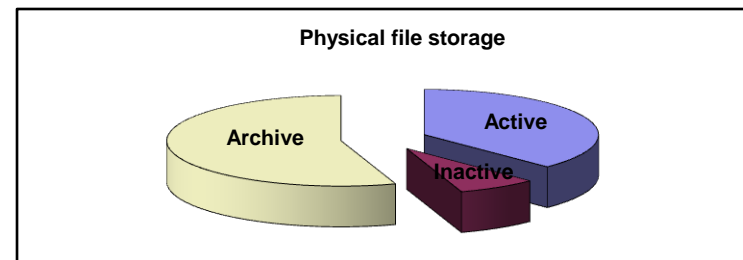
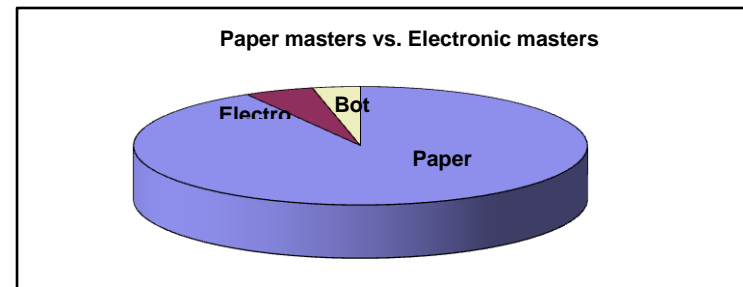
- Interviews and investigation
- Identifying record keeping requirements
  - Policy, standards or best practice
  - Compliance
  - Legislation
  - Business/Operational



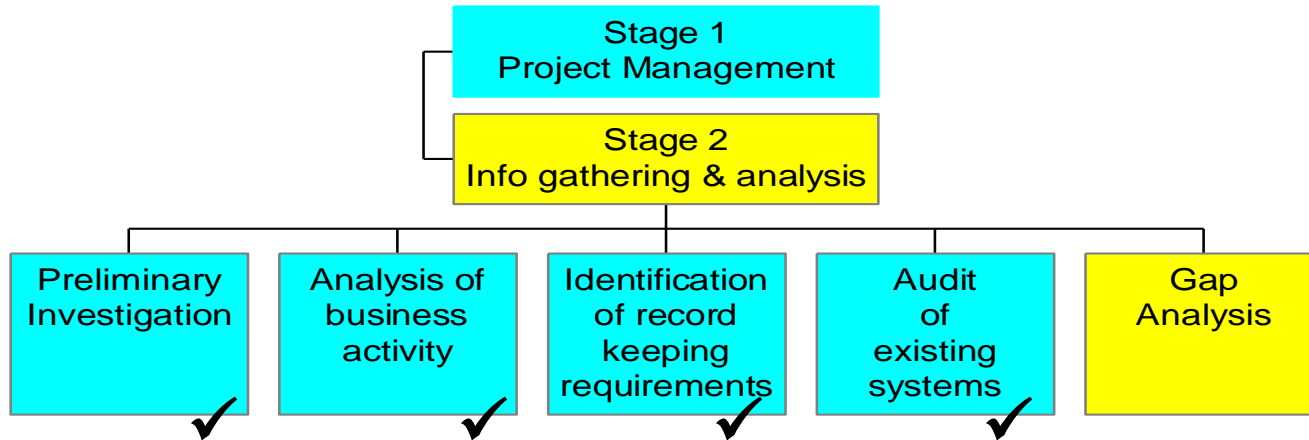
# Stage 2: Investigation and Analysis



- Identify record collections, organisation, volume, storage details, retention
- 330 returns (90% return rate)
- 4 linear km paper
- Masters pre-dominantly paper
- 39% records retained permanently
- 41% record series duplicated



# Stage 2: Investigation and Analysis



- Are record keeping requirements being met?
- Gap analysis



# Stage 3: Feasibility Study & Options Review

## Strategic benefits

- Compliance & Legislation
- Better student service
- Litigation support
- Security
- Information and knowledge sharing
- Protection of records against loss/destruction
- Reduce risk thro' errors
- On-line services and electronic business

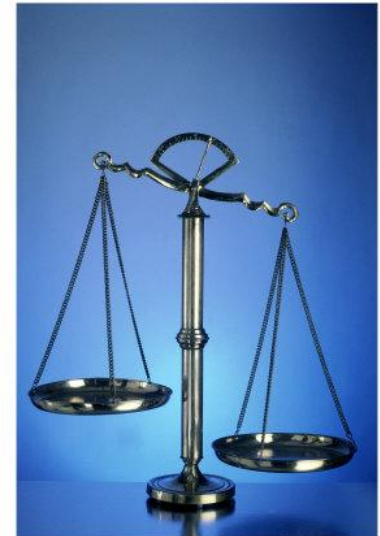
## Tangible benefits

- Efficient space utilisation
- Media & repro savings
- Staff efficiency savings



# Stage 3: Feasibility Study & Options Review

- Review options for implementing EDRM
  - Option 1: Do nothing
  - Option 2: Do minimum – Electronic Registry system
  - Option 3: Phased EDRM
  - Option 4: Phased EDRM + Content Management
  - Option 5: Fast track EDRM + Content Management
  
- Proposed option
  - Option 4
  - Hybrid
  - Enterprise wide EDRM
  - Phased



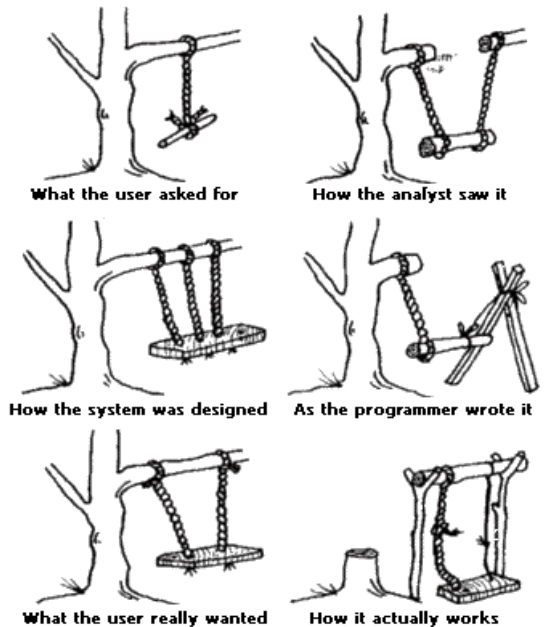
# Stage 5: RM Strategy

- Appoint Records Manager
- Produce and implement RM strategy & policy, procedures, standards and best practice
- Fileplan including retention scheme
  - Functions based
  - JISC HEI business classification scheme
  - 2 levels



# Stage 6: Define SoR and ITT

- Define Statement of Requirements
  - Background & Context
  - Functional requirements
  - Technical requirements
  - Supplier Services requirements
- Suitable and sufficient



# Stage 7: Procurement

- EU restricted tender process
- 1<sup>st</sup> part
  - Notice
  - Pre-Qualification Questionnaire
- 2<sup>nd</sup> part
  - ITT
  - Evaluation
  - Presentations, demos, site visits etc.



# Stage 8: Manage Implementation

- Model Office ✓
- Paper Registry/Box Tracking System (in progress)
- Governance
- Estates
- Rollout (function by function basis)



# Lessons Learned

- Objectives - clear from the start (Project Brief, PID)
- Records Management – start early
- Realistic project planning – rolling wave
- Business Case – discuss criteria with FD/sponsor
- Measure success - CSFs
- Statement of Requirements – suitable & sufficient
- Controls - Issues and Actions Log, Risk Log
- Project managed within EDRM
- Paperless Project Board meetings!

