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ELECTRONIC RECORDS MANAGEMENT

framework for strategic planning and implementation

VERSION 1.0

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Introduction

This document is compiled from contributions of a working group composed of participants representing a wide range of government departments, agencies and other organisations. It is intended as a framework for thinking about strategic planning for the introduction of electronic records management to a UK government organisation.

The document sets out a structured set of elements or points, from broader to more specific, which can act as a checklist and support for developing detailed strategic plans. The document is intended to be supportive rather than prescriptive; each element will not be of equal relevance or weight to every government organisation. A suggested use of the document is to:

- assess each element for relevance to your own organisational needs for ERM
- determine how this element is handled in your strategic thinking
- incorporate into, and expand upon, the element in the relevant documentation
- ensure co-ordination and consistency between documentation products and within strands of strategic thinking.

The document may also be useful as a benchmark for periodic review of progress and developments, and for contributions to detailed programme planning. Although elements are arranged in a broad logical structure, there is no implication that sections and elements follow a strict chronological order. This will vary according to the approach taken to programme planning.

The strategic framework covers:

- A Developing an outline business case
- B Developing a pre-implementation strategy
- C Developing a change management strategy
- D Developing an ERM system implementation strategy.

Participating organisations in the Invest to Save funded project work from which this document emerged are:

- Crown Prosecution Service
- Court Service
- Ministry of Defence

INTRODUCTION

- Department for Education and Skills
- Department of Health
- Highways Agency
- HM Treasury
- Board of Inland Revenue
- Medical Research Council
- National Archives of Scotland
- National Assembly for Wales
- Northern Ireland Office
- Public Record Office, NI
- Scottish Executive
- Scottish Parliament
- Department of Trade and Industry
- Treasury Solicitors Department

A Develop an Outline Business Case

Develop a Strategic Case

- **Relate ERM to the strategic context**
 - Organisational strategy and objectives
 - Government policy imperatives
 - Emphasise ERM as aspect of IM/KM
- **Identify drivers for change**
 - Modernised government
*e-government, e-business and e-records
Knowledge management strategies*
 - Legislative requirements
 - *Freedom of Information, Data Protection, Human Rights Act, European Commission Directives, Public Records Acts*
 - *Government accounting rules, Audit requirements, Finance Act, PAC*
 - *Devolved areas legislation*
- **Identify business benefits**
 - Cross-government services and administration
 - Departmental business processes
 - Corporate information management
 - Informational and knowledge-based benefits
- **Identify key stakeholders**
 - Business process improvement
 - IT infrastructure
 - Change management
 - Records management
- **Identify objectives and boundaries**
 - Scope
 - Outcomes
 - Constraints

Develop an Economic Case

- **Identify appropriate options**
 - Adapt current systems
 - Procure/develop new systems
- **Identify assessment criteria**
- **Carry out a SWOT analysis**
- **Carry out a risk analysis**
 - Strategic risks
 - Operational risks
- **Cost/benefit appraisal**
- **Benefits realisation**
 - Citizen benefits
 - Business benefits
 - Records and information management benefits
 - End user benefits

Develop a Project Management case

- **Identify critical success factors**
- **Develop a risk management strategy**
- **Determine a business analysis and planning process**
- **Plan an implementation approach**
 - Pilot systems for early learning and avoidance of pitfalls
 - Enterprise-wide but phased rollout
 - Modular rollout (one business process at a time)
 - Incremental rollout (levels of functionality implemented in stages)
- **Business continuity planning**
- **Describe project management processes**
 - Roles and responsibilities

Develop a Commercial/Financial Case

Options for procurement strategy

- Relationship to PPP/IT outsourcing
- Commercial market products

Affordability

- Stakeholder buy-in

Procurement

- Office of Government Commerce support
- Procurement regulations and best practice

B Develop a pre-implementation strategy

Formalise a corporate policy on ERM

- Define what constitutes a record
- Identify points when an electronic document becomes an electronic record
- Define and identify ownership/custody of records
- Define roles and responsibilities across the organisation

Develop internal agreements between records management unit and organisational units

- Identify benefits for the organisational unit
- Identify responsibilities for the organisational unit

Carry out an information audit

- Define objectives of audit
 - Information and record objectives
 - Organisational objectives
- Produce and maintain a records inventory
 - Electronic
 - Paper
- Develop links to appraisal strategy and file structure development

Develop an appraisal strategy

- Build on information audit
- Develop links to filing structures, business objectives
- Link review dates to review schedules for paper records
- Consider whether review dates need to change
- Consider impact of larger volume of records – e.g. e-mail
- Impact of legislation on retention/review

Prepare an electronic fileplan/filing structure

- **Determine how far can existing filing structures be used**
 - Consider how well they work now
 - Consider need to move to smaller file grouping units
 - Consider scope for rationalisation
 - *Eliminate duplication*
 - Develop strategy for hybrid filing systems
 - *Linking paper records to electronic copies prior to ERM introduction*
 - *Linking electronic records to earlier related legacy paper files*
 - *Linking post-ERM paper records to electronic records (e.g. incoming correspondence, non-standard documents such as large plans)*
 - Develop strategy for dealing with cross-cutting issues
- **Decide on naming strategies**
 - Functional, structural, subject
 - Thesaurus/controlled vocabulary
 - *Consider use for naming for File folders*
 - *Consider use for naming for documents*
 - *Conformance with Pan Government Category Lists*
 - *Use of departmental thesaurus*
- **Determine metadata requirements**
 - Conformance with cross government metadata framework
 - Records management metadata requirements
 - Departmental requirements
 - Method of implementation
- **Determine interoperability requirements**
 - Conformance with e-GIF standards
 - Technical and informational interfaces
 - User interface standards
 - Departmental system needs
- **Determine corporate fileplan structuring principles**
 - Corporate structure not individual structures
 - Subject-based model
 - Service/Business Process-based model
 - Functional-based model
 - User models for storage and retrieval

- **Develop retention and disposal schedules**
 - Investigate extent to which schedules for existing physical records can be applied
 - Determine relevant business needs
 - Determine relevant public record needs
 - Consider other legislation (e.g. FoI)
 - Minimise review where possible

Develop a migration strategy

- **Evaluation and preservation plans**
 - Existing electronic documents for business continuity
- **Technical issues**
 - Current platforms and plans for change
- **Legal and legislative requirements**
- **Continuing business needs**

Develop a set of fundamental procedures

- **Recommend document naming conventions**
- **Recommend document formats**
- **Develop E-mail policies**
 - Which e-mails are to be kept
 - What format they should be kept in
 - How messages should be composed
 - How dialogues should be managed
- **Manage use of shared network drives**

Develop a pre-implementation training and awareness strategy

- **Build information literacy competency for all staff**
 - Make all staff aware of their responsibilities and contribution
- **Devise methods and stratagems**
 - Induction programmes
 - In-house publications
 - Best practice cards, Mouse mats

- **Educating e-Champions and senior management**
 - Briefing sessions
 - Internal contact networks
 - External networks

C Develop a change management strategy

- **Identify alternatives and select approaches**
 - Champions/volunteers, early adopters
 - Programme Office
 - Corporate wide rollout
- **Develop awareness of benefits**
 - Benefits for the organisation as a whole (*'why it's good for us all'*)
 - Benefits for the individual user (*'why it's good for you in particular'*)
- **Define/describe impact on working practices**
 - Roles and responsibilities
 - *Who files records and documents?*
 - *Who maintains the folder structure?*
 - Describe benefits realisation
 - *Identify how benefits will be recognised*
- **Define an implementation training strategy**
 - Identify groups requiring different forms of training
 - Link technical training and corporate information management policy
 - Identify delivery approach
 - *In-house (slower, more awareness of job requirements, better future support)*
 - *External IT trainers (faster, limited awareness of job requirements)*
- **Develop a communications strategy**
 - Awareness development and management of expectations
 - Support for local planning/preparation
- **Develop a user implementation package**
 - Training options
 - Implementation/training scheduling
 - Delivery scheduling for consequential upgrades
 - Acceptance and signoff arrangements

D Develop an ERM system implementation strategy

Pre-procurement

- **Develop a comprehensive scoping document**
 - Identify outcomes, constraints, opportunities, synergies
- **Identify and initiate pilot project(s)**
 - Evaluate software
 - Identify appropriate consultants if necessary
 - Implement and review
- **Review ERM policy**
 - Conformance with PRO requirements
 - Incorporate capture policy for different document and record types
 - Incorporate conclusions from information audit
 - Learn from others
- **Standards conformance**
 - PRO conformance
 - PD0008, PD 5000 (BSI)
 - BS7799
- **Develop Terms Of Reference for full implementation strategy**

Systems design

- **Determine relationship and interfaces with other systems**
 - Departmental information systems strategy
 - *Records established as key consideration in systems development procedures*
 - New e-business systems
 - Websites, Intranets
 - Briefing systems, Knowledge Network
 - Existing operational and standard administrative systems (personnel, finance, estates)

- **Determine arrangements for managing structured data**
 - Databases and datasets, existing and newly created
 - Information mapping between services, data sharing arrangements
 - Maintaining historical data; database snapshots
- **Determine metadata elements for ERMS**
 - Determine metadata to be captured for each folder and document
 - Determine metadata that should/could be captured automatically
- **Design and implement fileplan on selected product**
 - Does previous fileplan require modification?
 - Does new system allow a desired simplification?
- **Implement retention rules**
 - Standard retention and disposal rules
 - Departmental-specific retention and disposal rules
 - Agreement with PRO
- **Implement access, retrieval and storage strategy**
 - Build detailed access models for security and business needs
 - Electronic storage locations: centralised, distributed
- **Implement appraisal/migration policy**
 - Plan take-on of migrated data
 - *Paper file management*
 - *Existing electronic material*
 - *Hybrid files*
- **Agree usage policy for ERMS and alternatives**
 - Policies and procedures for non-ERMS storage
 - *E-mail systems*
 - *Shared network drives*
 - *Intranets*
 - *Collaborative and groupware systems*
 - Determine any constraints on storage
 - *Measure use*
 - *Set limits on use*
 - *Remove availability*

- **Determine scanning policy**
 - Determine document types that will be created and remain in paper (*incoming correspondence, necessary legal documents, highly sensitive material*)
 - Determine document types that will be routinely scanned
 - Determine how scanning will be organised
 - *Centrally or locally; specialised function or general access*
- **Build consideration of sustainability issues into long-term planning**
 - Maintaining business access over time
 - Managing technology upgrades: hardware and software
 - Managing storage growth and structured disposal
 - Develop XML capabilities
- **Build up procedures for review and transfer of historical record**
 - Compliant procedures
 - Approved formats

IT technical issues

- **Test integration and configuration**
- **Confirm final configuration**
- **Test network impact**
- **Determine consequential hardware upgrades (e.g. monitors, RAM)**
- **Run a technical pilot**
- **Plan technical implementation for reliability, resilience, security and disaster recovery**
- **Plan detailed capture mechanisms for different document and record types**
- **Desktop rollout**
 - Desktop clients and standard office software
 - Browser interfaces
- **Develop a technical implementation package**
- **Plan to manage and monitor infrastructure impacts**

Project management issues

- **Roles and responsibilities**
 - Overall programme management
 - *Business-led or IT/RM-led*
 - ERM system management
 - Implementation project
 - Record management
- **Pilot system**
 - Ensure participation by end users
 - Review and learn from user experience
- **Formal reviews**
 - Plan for necessary OGC Gateway and other peer reviews
 - Ensure reviews from pilot and early implementation fed back to planning process
- **Project monitoring and control**
 - Develop measurements, reporting structures, accountability
 - Develop change control processes
 - Ensure stakeholder involvement
- **Post-implementation review**
 - Develop continuing improvement and change processes