



**Public Record Office
of Northern Ireland**

**PREPARATION AND IMPLEMENTATION OF AN
ELECTRONIC DOCUMENT AND RECORDS
MANAGEMENT SYSTEM (EDRMS)**

Lessons Learned Report

July 2005

CHAPTER 1: FOREWORD

How could Civil Servants work without a PC? Over the last 20 years new technology has quite simply transformed how we work. We like to think that technology has also produced significant benefits in terms of our management of information and in communication. In reality, those benefits have been only partially achieved and are, at best, patchy. So where lies the weakness? What is stopping the full achievement of those benefits? We have the technology, but we do not have the necessary foundation of innovative and sound records management. Somehow we have struggled on by using traditional records management practices and those have proved ineffective in the new working environment.

For any organisation working in the 21st Century, information is a key asset that must be held within a structure with associated procedures that allow speedy and easy retrieval. In the era of Access to Information - Freedom of Information, Data Protection, etc. – retrieval has become a critical business need.

Electronic records management is the way of the future. Produced by PRONI's EDRM Project Team (in line with the composite Lead Implementer Report), this 'lessons learned' document will be used to inform the wider roll out of Electronic Document and Records Management (EDRM) across the NICS. It is based on practical experience of working with EDRM and it identifies the main issues that must be addressed.

The introduction of EDRM in PRONI, however, is only the beginning of what can be thought of as a journey. We must look to the future and that means ensuring continued access to a vital asset. With that in mind an Electronic Preservation Working Group has been established under the eGovernment Board to investigate and report on standards, guidance and procedures for the long-term migration and retention of electronic records.

Gerry Slater, Chief Executive of PRONI

CHAPTER 2: INTRODUCTION

This report aims to reflect the tasks and potential issues involved around preparation and implementation of an EDRMS. It also records the first opinion of staff using an EDRMS.

This is an interim report, recording early findings. As part of the NICS EDRM Implementation Project, a Lessons Learned Register will be maintained. At further intervals, more detailed and specialised reports will be drawn from material contained in the register, and issued to specific audiences (e.g. Information Managers).

A further, summary report will be issued by PRONI in approximately six months time. This will contain more in-depth reaction from the users involved.

CHAPTER 3: BACKGROUND

In January 2003, the Electronic Document and Records Management Infrastructure (EDRMSI) Project was initiated. It established a procurement framework of EDRM (and associated) products, initiated three lead EDRM implementations and produced a business case outlining how EDRM should be implemented across the NICS. The business case recommended implementing a central NICS EDRM managed service.

Cecelia McCormick (DP) was appointed as Project Manager and was supported by Johnnie McAteer, (EO1), Administrator, on a full time basis. Zoë Smyth, Records Manager, and Larry Murray, IT, completed the Project Team. Although their contribution was on a part time basis the extent of their contributions varied depending on need. From October 2004, Zoë worked on the Project full time.

PRONI implemented TRIM Context to the entire organisation of 90 staff, on one site – with different disciplines and different requirements for usage.

CHAPTER 4: LEAD IMPLEMENTATION AREAS

Public Record Office of Northern Ireland

As the Public Record Office of Northern Ireland holds the brief to advise the NICS and wider public sector on best practice records management we recognised from the outset the importance of this project for the NICS and of sharing the lessons learned.

Cecelia McCormick, PRONI Lead Implementation Project Manager

Department of Enterprise, Trade and Investment

As part of the DETI EDRMS Lead Implementation project, TRIM Context 5.2.2 was implemented in three branches, involving approximately 70 seats, within Personnel, Information Management and Services Division (PIMS), namely Information Management Branch (IMB), Personnel Development Branch (PDB) and Information Technology Branch (ITB). Following successful implementation in the lead implementation business areas, it is DETI's intention to subsequently roll out the product across the rest of the Department from spring 2005. This would involve approximately a further 650 seats (based on current staff numbers).

Fiona McCausland, DETI Lead Implementation Project Manager

Office of the First Minister and Deputy First Minister

OFMDFM has implemented TRIM Context 5.2.2 in 4 business areas containing approximately 90 staff. The branches involved are IT Unit, Equality & Rights Division, Public Service Reform Unit, Personnel and Knowledge Network. The intention is roll out to the rest of the department commencing in the autumn 2005.

Harry McCabe, OFMDFM Lead Implementation Project Manager

CHAPTER 5: LESSONS LEARNED

5.1. Preparation

This is the key stage of the project. It takes time, commitment and resources. This stage took an estimated timescale of 14 months at PRONI. It is the re-introduction of good records management practices to support your business needs. The key tasks involved in this stage are listed below:

- Electronic Questionnaire and Information Audit
- Introduction to Corporate File Plan – Backlog File Review
- In-House Records Management Training – all Staff
- Focus Groups – Business Process Mapping
- Retention requirements identified
- Secondary Procurement exercise
- File Plan Development – ongoing work
- Guidance on Data Transfer & Rationalisation of storage drives
- Product selection
- Senior Management File Plan & Training requirements
- Lead Implementation Sub-Groups – Policies & Procedures, Training, and IT

5.2 Implementation

Took PRONI approx. 3 months. Tasks at this stage included:

- Configuration & Software training
- Data Transfer
- Document Naming Conventions
- Internal Policy & Procedures issued
- PRONI test script developed & our configuration tested
- Interim Registry arrangements agreed
- PRONI File Plan agreed and imported
- Rollout to desktops
- End-User training

5.3 Operation

Go-Live was on 17 January 2005 – at time of this report 6 months ago. Tasks at this stage have included:

- Floorwalking & Helpdesk/Queries
- Closing File Registry
- User Acceptance Testing for NICS
- Personal Drives Restricted/Quota Managed
- Reporting Problems Procedure established
- Email Management – Investigating auto delete after 3 Months
- File Plan Reports
- Handy Hints for users
- Old File Plan Drive – read only version
- System Management
- Workflow, Schedules, Migrated Software
- Lessons Learned

5.4 Key Issues

5.4.1 Awareness

Good communication is a vital aspect –

- Senior management need to be aware of the resource implications for work planning.
- End users need to be kept informed of progress – in a step-by-step approach. Too much information can be as bad as too little.
- Local/Branch Representatives should be appointed to act as a contact point within their business unit. Reps will play an increasingly active role as the project progresses. In PRONI the local representatives were called Section Reps.
- TUS need to be kept updated.

Timely and appropriate staff training is also vital –

- Records Management Basic Skills for paper and electronic records is necessary – this training can introduce staff to the concept of a file plan.
- Local/Branch Representatives required additional records management skills – to be competent in training existing and new staff in the business units.

5.4.2 Housekeeping (Records Management Preparation)

Convincing staff about the benefits of EDRM and getting staff buy-in is probably the most difficult task to achieve as they involve changing bad IT habits and winning hearts and minds. Issues – there is a general reluctance to give up information and to share it with others. The aim is to get users to accept the big cultural change of thinking corporately and sharing this information. Some users proved reluctant to give commitment to the project no matter how much they were encouraged. They cited lack of time and other commitments as well as wanting to hold onto material “just in case”. This included members of Senior Management and it was difficult to encourage change. Senior staff, whilst supporting and commending the project, struggled to find the time to carry out audits and tidy-ups and encourage their staff to do so. The time spent by all staff would need to be reflected in Corporate and Business Plans, as well as PPAs.

Again a step-by-step approach is advisable. Tasks included:

- Information Audit
- Electronic tidy up of drives and Outlook
- Managing email accounts
- Data transfer from personal and group drives to the file plan
- Rationalisation of data held
- File Registry needs to be reviewed and preparations made for its closure. Again this is one area where staff will need to be encouraged to follow guidance. Despite requests to ensure all papers were filed before sending files to be closed, our Registry are still receiving papers for filing, some of which were created many years ago. This places a further burden on Registry staff who are already coping with closure of one filing system and the introduction of a new one.

5.4.3 Policies & Procedures

A consistency of approach was adopted with the other lead implementers. Need to cover topics such as email management, naming conventions and registry procedures.

5.4.4 File Plan

Do not underestimate the time and skills it takes to develop a file plan. PRONI as a lead implementer – adopted the NICS Corporate File Plan (Version2) to promote consistency of approach. The Corporate File Plan was used, as a framework, which was then refined to meet PRONI's business needs. We supplemented the corporate file plan with one operational functional area – called 'Managing Archives & Records'.

Development of a file plan takes a lot of time and commitment from senior management and all business units to establish a system relevant to your business needs. Development of the lower levels of a functional file plan depends on a good level of understanding of business processes within the organisation. Including staff in the development process has benefits – providing a sense of local ownership and input and familiarisation prior to launching the file plan. The availability of Records Management expertise within PRONI was a big advantage for us. Zoë was and continues to be instrumental in providing advice and guidance to staff. Not all Departments will have this expertise.

A functional file plan is a living document, which requires continued development, review and ongoing monitoring. A recent check of our file plan shows a 25% increase in the number of folders created since go live – this confirms that the file plan is a continuously developing project, requiring ongoing monitoring and controls. Due to adopting the Corporate File Plan structure there is also an issue regarding folders, which are currently not containing any documents in PRONI, but it is too early to come to any conclusions on this. Monitoring will identify the bad habits.

5.4.5 Infrastructure

PRONI has 90 users on a single site, but depends on the Department for Regional Development for MS exchange services. Currently running a Windows NT domain environment, but will shortly be migrated to a Server 2003 active directory environment.

5.4.6 Configuration

We were overwhelmed with the terminology. Confusing issues included configuration conflicts – there were various aspects to be built that also needed to be aligned e.g. preventing end-users creating folders had to be included in the user profile *and* the record type. Building email addresses for users in TRIM required us to set up the system for both the web and exchange address – initially we only had the web address inserted and this didn't allow TRIM to recognise the user.

The Lead Implementers are following a recommendation to meet in a workshop to further compare the configuration set-up.

5.4.7 Training on the system

Tower delivered training for System Administrators, Power Users & IT Managers and by SureSkills for our end-users.

- *System Administration & Power Users*

Balance had to be obtained in having key staff trained in order to progress with implementation – however; this may have been done too early prior to the go-live date. These key users had access to the Model Office, involvement in testing, and an internal session with project team on particular issues regarding data transfer.

- *End-User*

Decision taken to train the end-users within a week of go-live & the software was rolled out to desktops the day following the user's training. End-user training was kept simple and covered just the basic requirements – what to file, where to file and searching for documents. It is recognised that a further programme of training will be required to build on this and embed this change.

- *Floorwalking*

A Decision was made, on advice from others, to delay external floorwalkers until the users had a chance to avail of the system. We left a 10-day gap and still feel that this proved too early. Only half a day was required. Internal floorwalking was provided by the project team from go-live day, this was time intensive but well worth the effort. User feedback from the staff survey indicates that perhaps floorwalking could be re-introduced in cycles over the first 6 months.

5.4.8 Support

Records Management, handholding and answering queries takes a lot of time and effort during the initial introduction. This supports the floorwalking exercise and provides individual attention. Main queries relate to file plan and how to name documents.

It is felt that some on-site support from Tower would be useful initially when going live.

IT – Technical problems are logged with Tower via their web support system. Response times are good – difficult problems are escalated to Tower HQ.

Tower User Group – Forum for logging problems and sharing experiences with other implementers and prioritising enhancement requests.

5.4.9 IT Issues

We are running TRIM on Server 2003 with SQL Server 2000. Tower have indicated that up-to-date versions of MS Office 2003 may help to stabilise appearance/non-appearance of TRIM icons in MS Outlook. PRONI's current configuration is a combination of MS Windows 2000/XP and MS Office 2000/XP and this seems to be contributing to the instability of the TRIM icons. Also Word as the default email editor cannot be turned on in Outlook or it stops TRIM icons appearing in new messages in Outlook.

Following the installation of Server 2003 Service Pack 1, TRIM stopped working. An unknown feature of the Service Pack was the root cause of this and it was necessary to roll back to the original configuration, which cured the problem – the issue here is PRONI cannot keep our Server up-to-date until this issue is resolved, possibly between Tower and Microsoft.

Excel spreadsheets – that have linked formulae – have to be all checked out at the same time (in effect treated like a database). Tower is to provide a “patch”. A user on Windows XP/Office XP can save PowerPoint Presentations directly into TRIM Context 5.2.3. This is not the case with a user on Windows 2000/Office 2000 (and TRIM 5.2.3) - as the file name path is considered invalid. These users still have to drag and drop presentations from another drive or use the ‘send to’ feature.

During configuration of TRIM – locations are established, these are identified as licensed internal locations and PRONI opted for a set ‘external’ location (to cover any documents originating from outside the organisation). When locations don't map accurately to those established in the TRIM list – a little white icon appears and this is called a ‘ghost’ within the system. The Ghost locations – have developed in our use of TRIM & require ongoing managing. We are still investigating how to reduce the creation of ghosts.

Document Content searching has been erratic and has been reported to Tower Software, there is work-around but this is only a short-term fix and needs to be repeated.

CHAPTER 6: PRONI EDRMS CALENDAR OF EVENTS

6.1 PREPARATION PERIOD

Month	Event	Assigned to	Lessons Learned
July 2003	Project Manager appointed	PM	Identified that major input would be required from project management, records management and IT staff.
	PID produced	PM	
	Project Board & Team decided	PM	
	Procurement evaluation (until Sept 04)	PM	
August 2003	Electronic questionnaire issued & results compiled	RM	Could have got these results from IT but this was seen as official launch of Project to end-users and demonstrated to them what work was required. Over 18000 e-mails were held in individual's in-boxes and over 14000 documents in personal drives. (approx 90 staff)
	Local sectional representatives nominated	PM	Nominees identified by Head of Sections (HOS). Someone who would be aware of procedures and could communicate to others in sections. Problems getting nominees from HOS. Need to get local staff involved. Need to set out time required. Need to be able to change staff at short notice.
	Electronic 'tidy up ' of e-mails commenced	RM	
	Informal presentation to management team	PM	Need to get Senior Management Team on board. Did everything we could to keep them informed. Identify at early stage the scale of commitment required.

Month	Event	Assigned to	Lessons Learned
	Information Audit (IA) developed	RM	Be prepared to follow up. Deadlines were not fully met. Initially we did not give clear definition of what were current and non-current files - criteria were not established clearly.
	First Project Board meeting	PM	
September 2003	Deadline for IA returns	RM	Identified that there were different understandings of terms used in audit.
	Preparation of Business Case	PM	
	Local TUS consulted	PM	
September 2003	Visit to DETI to see pilot EDRM	PM	Useful to see what others were doing. Visit highlighted need to set up user roles, permission levels and classification and put in controls.
	Project Manager trained	PM	Useful gave PM more confidence.
	Some analysis of IA returns	RM	Showed that there were over 900 non-current files. Files held in Registry where no papers had been placed for over two years were closed.
October 2003	Continued work on Business Case	PM	A lot of time spent on this. Perhaps work involved did not reflect any financial savings - not primarily financial savings but more for efficiency. Identified scale of task involved and that this had to be managed on a step-by-step basis.
	Continued work on IA	RM	Identified need to tackle paper registry system and get this in order.
	Corporate file plan introduced	RM	At this stage we welcomed the file plan. It was timely. Decided to follow functional approach. Therefore we would not recommend mapping old Sectional file list to new classification.
	Initial look at scope notes	RM	Too vague and duplicated headings.
	Linkage of IA to file plan	RM	A lot of effort and skills were required at this stage.

Month	Event	Assigned to	Lessons Learned
	Meeting with Section Reps to discuss file plan	RM	Important to keep local representatives informed and up-to-date with Project.
	Commence closure of non-current files	RM	Involved additional time commitment from Registry staff.
November 2003	Business Case finalised	PM	
	Draft file plan prepared	RM	Started to think about relevance of some of the categories and level they were at. Knew we needed local knowledge and new local areas of file plan.
	Involving Section Reps and Heads of Sections with scope notes	RM	An attempt to have these localised. Too labour intensive and was not the right time to do it. It is felt that these were not required at this stage. We made little use of scope notes.
	Back log of file review initiated	RM	Significant time input from internal Reviewers and Project Team
	RM3 training (3 Days) – some staff attended this short course	RM	RM3 short course, gave a useful introduction for some staff to records management. During course it was suggested that e-mail guidance should be issued. Decided to issue at a later stage as we felt that file plan needed to be put in place.
	Pilot file plan loaded	IT	On a windows shared directory – use limited to Corporate Services Section & Section Reps. Creation – simple enough procedure.
December 2003	Quick Reference Card issued	RM	Reference Card – design & development requires knowledge of training competencies and creativity to produce – takes time. This was to act as an aid for those staff involved in the pilot file plan test.
	Pilot file plan tested in corporate services	RM	Bad timing for pilot (pre-Christmas) despite some brief training and quick reference card staff required more training. Identified need for further records management training. Staff needed to know what to file and where to file it and clearly identify ‘what is a record?’
	Presentation to IMF by Project Manager	PM	Showed that there was considerable amount of interest in NICS and wider public sector

Month	Event	Assigned to	Lessons Learned
	Christmas		
January 2004	Business case approved by project board	PM	
	In house RM training course developed	RM	Had a mixture of informative and practical sessions. PRONI had expertise to develop and run this course. Other organisations may need to look at specification and seek alternative training. Decided that all staff would attend including CEO to demonstrate commitment.
	Timetabling and organising training	PM	Took a lot of effort. Highlighted the Project as a major event within PRONI and the cultural change required.
	IT & RM involved in set up of training	IT & RM	Student email accounts, uploaded the file plan to windows directory. Created 'dummy' files with mistakes and papers collated for attendees to develop a good file.
February 2004	2 week in house RM training course for all staff – also open to external parties	RM	Training programme was intensive and was a lot of effort for the primary trainer. Decision by trainer to include presentations and practical tasks was good idea. Trainer needs excellent presentation/workshop skills and good knowledge about the topics. Good to involve outside bodies as it established liaison with others. Hard to fit everyone in within two weeks. Need to follow up for absent and new staff. Needs to be included in induction training and have refresher courses.
	First checkpoint for review of backlog files	RM	Response low. Various checkpoints are a good idea to keep on top of this. Encourages awareness. Had to be raised at Senior Management level
	Developed in house E-mail management guidance	RM	Need to issue guidance early. Supported RM training.
	Agreement to place project documents on OFMDFM 'quick place' intranet site	PM	Could have been utilised more. Not accessible to some government departments and wider outside bodies.
	Evaluation of RM training	PM	Feedback was very positive from both staff and invited representatives of other lead implementers and departments. 85% of attendees rated the course content as good or very good, while 80% similarly rated the practical exercises.

Month	Event	Assigned to	Lessons Learned
	Preparation for focus groups meetings	PM & RM	Did not leave enough time to prepare for focus groups – but was started due to wish to follow up on positive feedback from the RM training course.
March 2004	Training evaluation report presented to Senior Management Team	PM	
	Started first stage of meetings with focus groups (through to mid April)	RM	Did not leave enough time-gap between first and second stage meetings, this was critical. Stage 1 meetings needed to feed into Stage 2.
	First File Plan Sub-Group - papers submitted to Information Practitioners Group	RM	Contentious issue. 11 departments looking for consistency in approach. A file plan sub group established to meet this need. PRONI Records Manager highlighted subject headings in common file plan that required amendment. Agreed a need to hold a workshop – hosted by PRONI. A lot of interest but people were not sure of direction. Needed records management guidance on how to develop a file plan.
	File Registry Audit started - locating files and establishing registry duties for benchmarking	RM & PM	Using the file register a random selection was made and a check carried out that papers were where they should be. Questionnaire also issued to staff requesting details of time spent on registry duties during two-week period.
April 2004	First Stage Focus Group meetings for file plan continues	RM	Getting availability of staff was difficult in short period of time. Needed to reschedule times.
	Presentation to UCD archive students by Records Manager	RM	Illustrated professional archival interest in the EDRM Project.
	Workshop for Information Practitioners on file plan development	RM	Useful workshop. Got people thinking about functional file plan. Agreed some consistencies and developed understanding to those in attendance. Increased RM input to Project and time commitment from PRONI – designing and delivering this workshop. Illustrated the increasing demand for records management expertise from external organisations & the need to provide guidance to NICS & public sector.

Month	Event	Assigned to	Lessons Learned
	Second Stage Focus Groups meetings started	RM	Allowed us to establish a localised file plan to meet PRONI business needs. Identified that a lot of work was required to establish low levels and that this work would be ongoing.
	Attendance at Records Management Society – Annual Conference, in Bournemouth	RM	Good to establish contacts. Showed that we were thinking and doing the same as others and that we were not too far behind.
	Visit to TNA re EDRM – by Records Manager	RM	Good to establish contact with their EDRM staff and hear their experiences
	Checkpoint for backlog file review	RM	
May 2004	Focus Groups completed	RM	Do not forget about retention. Do not allow it to become an add-on.
	Secondary procurement commenced	PM	
	Audit of Registry completed	RM	Although most files were easily located some were not found even after extensive search. 34 staff returned questionnaire and details noted for benchmarking. Similar exercise to be carried out post implementation to gauge any savings.
	Draft file plan & retention schedule prepared	RM	Do not underestimate time taken to do this part of the work. This requires major commitment and specific skills.
	Second electronic questionnaire issued	RM	Results were mixed. Although average number of e-mails held reduced by 61% the number of documents in personal folders increased by 42%. It appears that staff were transferring e-mails for retention to their personal drives.

Month	Event	Assigned to	Lessons Learned
June 2004	Submitted proposed file plan to heads of sections and section reps	RM	Consultation needed at various stages. Has to be acceptable to staff and requires them to be involved. Difficult to include CEO at this stage, as file plan is required to be present. However it is also desirable to have Senior Management involved. Senior management approval was on the understanding that the file plan would continue to evolve.
	Meeting of lead implementers re common file plan areas	RM	Changes made as a result. The aim of the meeting was to assure consistency of approach. Agreed five main things. 1. Corporate & development of operational file plans. 2. File plan structure of 4 levels. 3. Identified common headings, which may be used as required at different levels of the file plan. 4. The need to test the file plan during development and in the EDRM pilots. Both are needed for effective evaluation. 5. The single critical issue for EDRM has been the time and effort involved in designing and developing file plans.
	Preparation for PRONI Records Management Annual Conference	RM	Using feedback from previous year's conference, practical workshops were introduced and well attended. Evidence of continued external interest in EDRM topics.
	Strategy developed on data transfer/rationalisation prepared	RM	Initial decision taken to refer to 'data transfer' as a rationalisation process. Rationalisation was preferred – as transfer implied that all data would simply be moved, which was not the case. Needed to be done step-by-step and Project Team realised need to limit alternative storage areas.
	Backlog review deadline	RM	Holiday period – difficulties with staff availability. Most sections had however completed by deadline.

Month	Event	Assigned to	Lessons Learned
July 2004	Rationalisation of personal drives – first stage of data rationalisation	RM	Big Cultural Change. People found it difficult to let go and to realise that corporate value of documents. Giving a clear deadline focuses the mind. No matter how long you give people there will always be problems. Common statements included: ‘i keep it because i might need it.’ questions to be asked include ‘is it published elsewhere. Could it be printed to file? How often do you need it? When was the last time you used it?’
	Section Reps considering security & access permissions within file plan	RM	Difficulties as staff were on leave – had to be followed up continuously.
	File plan amended	RM	As a result of June meeting with lead implementers, PRONI had to create an operational file plan. This was a lot of work at this late stage for the Records Manager and additional consultation with staff involved was necessary to explain changes.
	Preparation work on PRONI disposal schedule	RM	Experience of records management at PRONI was available which may not be the case in other areas.
	Senior management approved draft file plan taking in changes since June	RM	Keep senior management informed
	Report on backlog review to Senior Management Team	RM	Keep senior management informed

Month	Event	Assigned to	Lessons Learned
August 2004	Rationalisation of shared drive – 2 nd stage of rationalisation process	RM	Very scary month for everyone. New deadline for this 2 nd stage had to be given. Staff had to justify any documents being moved to new file plan. They were advised to print out to paper registered files what needed to be kept and delete multiple copies and non-significant versions. Time problem with holiday season. A lot of negotiation went on during this period. A Transfer Form was created which had to be approved by HOS before being sent to Records Manager for overall approval. As a result, the amount of data transferred was not that much and priority was given to those who met the deadline. Deadline met by most but some didn't meet it until October - reason being volume of material held.
	Further changes to file plan as a result of rationalisation	RM	Work on the file plan is never ending!
	Start setting up the new file plan	RM	Section reps were updated on file plan. They were asked to train their staff and were provided with Reference Cards (which again, took a lot of time to design and develop for staff).
	Query Log & Change Log established for data rationalisation process	PM	Good idea but wasn't utilised by PRONI staff. No previous culture of a helpdesk set up.
	Supplier demonstrations	PM	Helped Project Team to get a handle on various products. Gave team and others chance to have an input on decision of chosen product.
	Presentation to Society of Archivists by Records Manager	RM	Delivered to the RM Group. Recognised a wider UK interest in our EDRM project.
	Section Rep training on file plan	RM	Got them involved in recognising their area of the file plan. Project Team needed good coaching skills.
	Consideration of scope notes for local use	RM	Another attempt to make these more relevant.
September 2004	Reference site visits	PM	Interesting to find out that other organisations were having similar issues and that not too far behind.

Month	Event	Assigned to	Lessons Learned
September 2004	Shared file plan launched to users	RM	<p>Old shared drive was made read only. This focussed minds. E-mails excluded from this area, as they would be too difficult to file. Relocation of documents to be transferred was a problem despite this being one of the questions on the Transfer Form.</p> <p>A lot of reference material (not records) had been identified. Ideally would have liked them to go to intranet – interim solution adopted by creating a ‘reference library file plan’.</p> <p>The shared file plan was a familiarisation exercise only and we recognised it did not give the functionality of an EDRM.</p>
	Monitoring started & constant amendments		<p>Users did not stick to the rules. Documents placed at 3rd 4th and 5th levels. Others created folders at a 6th level.</p> <p>Despite control log we had a problem monitoring it because it did not have the functionality and reporting capacity of an EDRM. Recommendation: keep the length of time for this exercise to a minimum.</p> <p>Access permissions not fully agreed which meant that some people could not create or edit documents. Staff learnt that they needed to provide the information requested from the project team. Identified the need for basic IT skills. Again this necessitated the need for this exercise to be limited to a defined time period.</p> <p>Project team spent a lot of time monitoring what was going on within the file plan and identifying malpractice.</p>
	First draft of PRONI disposal schedule produced	RM	Made use of available records management expertise within PRONI.
	Presentation to Infolreland conference by Records Manager	RM	Recognised wider Irish/UK interest in our EDRM project
	IT server procurement	IT	SQL Server.
	Tower trim system selected as EDRM product	PM	

6.2 IMPLEMENTATION PERIOD

Month	Event	Assigned to	Lessons learned
September 2004	CEO requirements meetings	RM	Senior management require special training – understanding of a wide range of file plan and searching capabilities of EDRM. E-mail management important.
	Shared drive closed	IT	Deadline for rationalisation had been reached and we had to remove alternative area for saving. Big part of Culture Change.
October 2004	Lead Implementer Sub Group meetings for Policy & Procedures, Training and IT requirements	PM	Lead implementers come together to establish a common approach where possible to these areas. This took time. Generic documents produced but each lead implementer had to add requirements for their own business needs. Time commitment involved reviewing drafts of documents and attending meetings.
	Drafting of internal policies & procedures	RM & PM	Due to our RM role at PRONI - took opportunity to add to policies & procedures – updated initial e-mail management guidance, developed naming conventions & interim registry arrangements.
	Presentations delivered to Further and Higher Education, also Local Government sector by Records Manager	RM	Interest from public sector organisations.
	Software installed	IT	Turn off system warning notifications until system settled. We received 23,000 e-mails over course of one weekend due to a communications error.
	Configuration workshop	PM	Configuration needs a lot of consideration and be prepared for a lot of debate on how you will go forward. Traumatic experience, which we were not prepared for. Hopefully others will be. May have been better if we had received a preparatory session to familiarise team with the terms that would be used. Be prepared to make decisions and get familiar with system jargon.

Month	Event	Assigned to	Lessons learned
October 2004	System set up for training	IT	Spare room was used for tower training sessions with intention of this becoming a 'model office' however due to creation within PRONI of an A2I Unit this room was required. A smaller model office was established elsewhere. This consisted of 4 computers with a separate database established. Section reps could use these facilities for training and familiarisation. The model office database was also uploaded to Section Reps' computers following their training in November.
	Analysis of file plan folders naming conventions	RM	Project team spent a lot of time monitoring what was going on within the file plan and identifying malpractice need for consistent document naming conventions was very apparent. Staff continued to rely on the subject title on emails for naming documents and we still get "RE" and "FW" appearing.
November 2004	Power user training	PM	Section Reps were trained (perhaps too early but this was required to fit in with plans). This is where it was apparent that in some instances we did not have the most appropriate person for the role.
	System user training	PM	This was delivered to project team and selected section reps. Deliberate decision to include staff that were likely to remain in PRONI thus ensuring continuity. Problem with level of training as it was too complex for most users needs.
	IT admin training	IT	
	Meetings with Section Reps to agree file plan for transfer	RM	Continue with constant communication
	Test import/export of file plan	IT	More flexible way. Gives insight of how things work.
	Presentation to Government Computing's - Information Management in NI Conference by Records Manager	RM	Reflects continuing interest in EDRM project and related records management topics
	Visit to Staffordshire County Council to view EDRM system in use with various business units there – Project team minus the PM	PM	Opportunity to view flexibility of product.

Month	Event	Assigned to	Lessons learned
December 2004	Arrangements with SureSkills for end user training	PM	Need to be prepared to give information regarding business needs and what end users were required to know on completion of training. Provide trainers with copy of file plan.
	Meeting with Section Reps to agree naming conventions & how to transfer data to trim	RM	Extremely important. We identified naming conventions. Asked each section rep to manually migrate section's documents to trim to ensure necessity of transfer and correct naming conventions
	Meetings with Lead Implementers to finalise policies etc.	PM	Decisions need to be taken on personal areas, management of e-mails. Lead implementers decided to try different routes to test various options.
	PRONI Policy & Procedures agreed by project board	PM	
	Develop PRONI test script	PM	Test Script development – again took up a lot of time and effort. We felt need as we were first to go live and we wanted to test our configuration.
	Section Reps test configuration	PM	Section Reps were asked to do simple test script. Most of them welcomed opportunity to be reintroduced to system and viewed it as retraining. Identified anomalies in configuration.
	Christmas		
January 2005	Continued to monitor and rationalise EDRM shared file plan	RM	A lot of monitoring and consultation with staff on use of this shared file plan area.
	Section Reps transferring data	RM	Project team had to be available to answer questions. Deadline for completion given as 28 February, which focussed mind. Reminders had to be given.
	Roll out of TRIM to desktops	IT	Carefully plan roll out. Ensure adequate trained staff to finalise and sign off installation for users.
	Go live 17 January	PM	Launch highlighted on intranet home page.

6.3 OPERATING PERIOD

Month	Event	Assigned to	Lessons Learned
January 2005	Floorwalking provided by Internal Team & ½ day external floorwalking provided by SureSkills	PM & RM	Floorwalking internally for first two weeks following go live. On advice from DETI floorwalking from SureSkills was delayed until middle of second week to allow users some time to get used to system.
	Answering queries & hand holding	PM & RM	Multiple daily questions on naming conventions, what and where to file documents
	Monitoring	IT, PM & RM	Time consuming. Identified problems with ghost locations and naming conventions. Identified other problems which needed to be raised with Tower
	User Acceptance Testing (UAT) Script was issued by Deloitte	PM	Script was not user friendly. Work done with other Lead Implementers & Deloitte
	IT Meeting with Tower re Infrastructure	IT	
	Personal drives restricted to 5MB	PM	Aim was to force staff to save to TRIM and restrict alternatives, whilst at the same time allowing an area for personal documents such as copy of their annual staff report etc.
	Procedures for reporting system problems to Tower established	PM	
	Instructions issued to close File Registry	RM	Need to follow through & set rules. Files to be closed and held centrally for any further documents produced prior to go live that require filing.
February 2005	Naming Convention meeting with Corporate Services	RM	Even after going live be prepared to give advice on file plan changes and naming conventions. Corporate Services had many areas of the file plan in which they were involved.
February 2005	Deadline for document rationalisation.	PM	4000 new and transferred documents held in TRIM

Month	Event	Assigned to	Lessons Learned
	Personal drive 5MB limit increased to 10MB	PM	TRIM checks documents out to user's personal drive for editing. At times this was being prevented due to size of documents e.g. those including picture or logos, which would have caused 5MB limit being breached. Limit had to be increased to allow for editing space.
	Meeting with DRD ISU to discuss deletion of e-mails from Outlook automatically after 3 months	PM & IT	Welcomed by DRD ISU who would view PRONI as a pilot area for this. Work still in progress. Important to keep users involved to prepare for this change.
	User Acceptance Testing (UAT) With Deloitte	PM	Script was not user friendly. This level of testing was employed, as we were part of lead implementation for wider roll out to NICS.
	Meeting with CEO to discuss file plan requirements	RM	Need to identify requirements and work with Senior Management – file plan still evolving.
	Comparison report between current file plan at PRONI and original NICS Corporate file plan version 2	RM	This was required to be prepared for File Plan Sub Group meeting. Little change at high levels since the June 2004 meeting. Focus has been on the lower levels and document naming convention.
	Developed Handy Hints document	RM	Useful tool for end user staff. Eased questions directed to project team – in some areas.
	Internal floorwalking continues	PM & RM	More questions as users got used to system requirements. Allow time for this.
	Shared EDRM File Plan Made 'Read Only'	IT	Ease transition to TRIM and reduce alternative areas for filing
March 2005	Gateway Review	RM	Next stage of NICS programme. Gateway Reviewers interested in Records Management role.
	Input to NICS Policy & Template Action Plan.	PM & RM	Time required to review, comment on these documents and attend meetings to discuss.
	Review results of UAT	PM	Recognised some errors were down to profiles and internal problems with reports.

Month	Event	Assigned to	Lessons Learned
	IT and Records Manager attended TRIM User Group Meeting at Windsor	RM & IT	Learn that we are having similar problems to others. Get a handle on future new releases of TRIM – was very useful
	Project Manager attended Post Implementation Meeting at TNA	PM	Useful to share experiences and make comparisons with other users.
	Funds approved for more resilient contingency solution	IT & PM	
	Continued amendment to file plan	RM	File plan is not written in stone. It continues to be an ongoing area of work.
	Monitoring of Naming Conventions, System Usage, Ghost Locations etc	RM	Need time to monitor problems and analyse results.
	DCAL LIMs visits facilitated to see TRIM in use at PRONI	PM	Starting to provide lessons learned. LIMs are asking same questions that concerned PRONI staff at outset, regarding security issues and personal areas.
April 2005	Tower Workflow & Reports training	PM	Good benefits to be gained from using workflow but will require time and staff resources. Considered use of new record types.
	Finishing UAT With OFMDFM, DETI & Deloitte	PM	
	Develop & issue Staff Survey Questionnaire to all Staff	PM	Survey conducted as there is a need to evaluate project in terms of Culture Change - see appendix A
	More DCAL LIMs visit	PM	Time needed to facilitate interest in EDRM system
	Migrated to new server	IT	Consultant brought in from Tower. This was basically a hand holding exercise as tasks required had been learned from previous experience
	Rollout of TRIM Version 5.2.3 to all users	IT	Automated roll out does not work on NT4 domain
	Preparing Lessons Learned	PM	Takes time. Input from all Project Team, key users and all staff. It is essential to keep good records throughout the project.

CHAPTER 7: FILE PLAN

Issues associated with the development of a functional file classification are illustrated diagrammatically on the following page. The importance of developing the file plan within an EDRM Project cannot be understated. Nor can the time and resource required be underestimated. Again our in-house expertise was invaluable in preparation and development of PRONI's file plan.

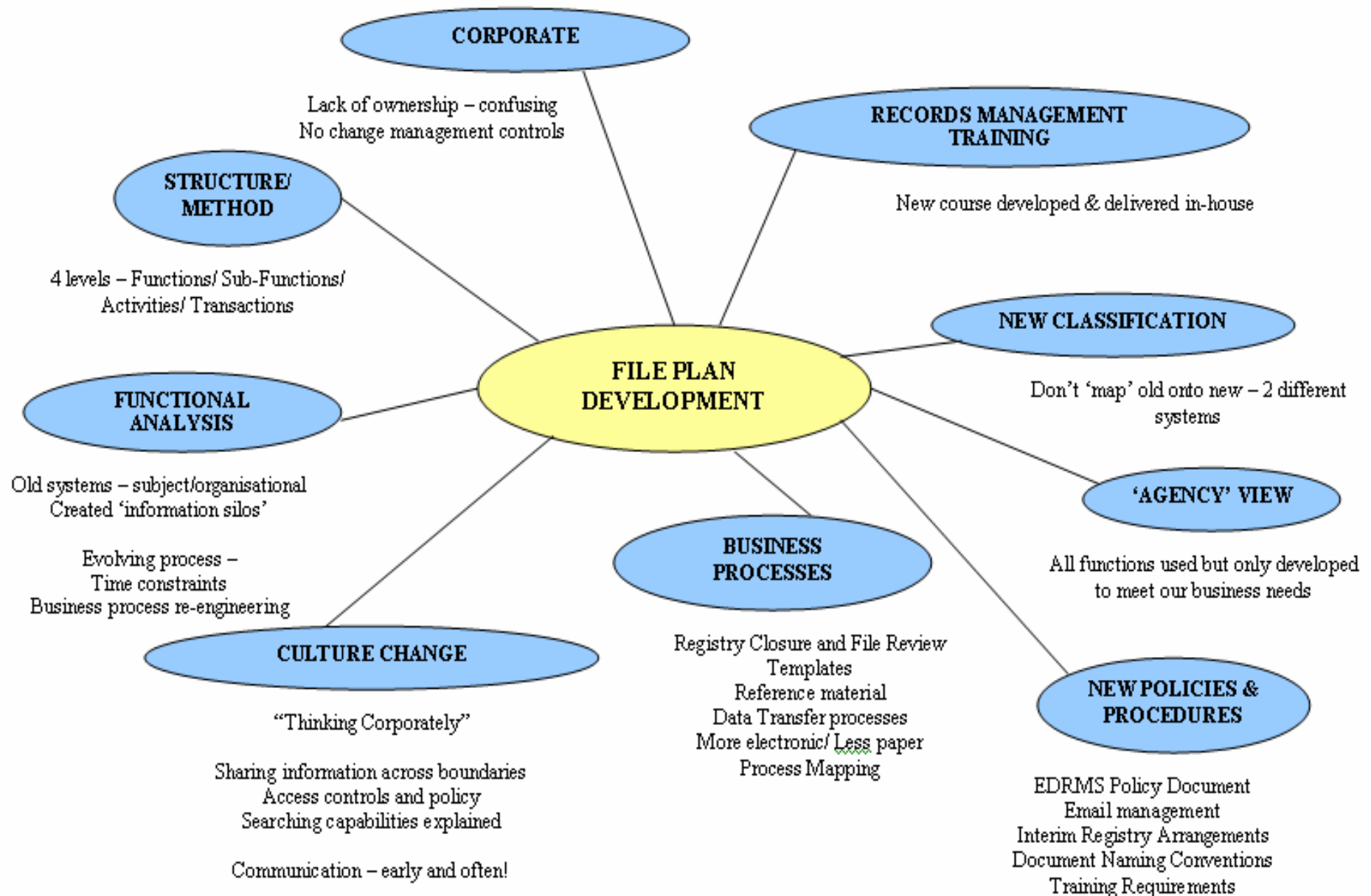
It is important that staff become familiar with the structure and accept the culture change of 'sharing information' before implementation and the best way to achieve this is to involve them in the development and allow time for this cultural change to embed.

In PRONI we developed the NICS Corporate File Plan Version 2 to meet our own business needs. Our aim was to create a functionally based file plan – moving away from the organisational and subject based classification that was in existence for our paper registry. In addition we developed an Operational area, called 'Managing Archives and Records' – this area of the file plan was easier to develop in-house due to the fact that staff understood their business functions and activities. PRONI had to develop the Corporate functions to meet the agency's business requirements – this was more difficult as it required us to work within the NICS Corporate File Plan Version 2 (to minimise amendments) and ensure that the various levels were relevant to PRONI's work activities.

As part of file plan development – business process mapping is a useful tool and it is worth considering the impact business process re-engineering would have. At PRONI we investigated our current business processes and used this information to form the development of our file plan. We did not however, include any business process re-engineering within our EDRM Project - further investigation of workflow may help us to streamline our internal processes and improve the file plan in the future.

PRONI's Records Management advice based on our own experience would be not to go down the route of mapping an existing classification onto the functional approach taken in the NICS Corporate File Plan Version 2.

Lessons Learned Chart



CHAPTER 8: USER REACTION

A detailed summary of the survey results is available in Appendix A.

At an early stage in the implementation there was some reluctance to use the system. A few documents were lost due to a communications error and this caused a lack of confidence with a few users until it was resolved. Other 'niggling' problems have occurred which can cause some dismay among users. Hopefully some of these problems can be resolved in time and through future product releases.

In general terms however, the user reaction has been positive.

In May 2005 - approx. 6,000 documents had been placed in TRIM since go-live & 174 folders had been created since go-live – this represented approx. 25% increase at this level of the file plan (illustrating the fact that the file plan is a live document). Also, 55 staff had been using TRIM to file documents since go-live.

It should be noted that 40% PRONI staff have no administrative role and therefore would not need daily access to TRIM.

CHAPTER 9: THE WAY FORWARD

- **Continued Management of TRIM**
Involves addition of new users and their training, monitoring of the system and provision of reports, review of the file plan and document naming
- **The development of a continuous training programme**
Now that staff are using the system more they have requested more training in specific issues e.g. finalising documents, version control, favourites etc.
- **Schedules**
Disposition procedures need to be developed and built into TRIM. Further guidance on this topic will be developed for the NICS.
- **Workflow**
Further investigation and development work with specific areas needs to be undertaken.
- **Record Types**
Further investigation and development work with specific areas needs to be undertaken.
- **File Registry Review**
Need to follow up on the file registry closure. And continue to put in place procedures regarding the new hybrid system.
- **Promotional activities**
Sharing lesson learned – by giving presentations, model office, facilitating visits. Also continued input into the NICS EDRM Project and guidance via our website.

APPENDIX A: SURVEY RESULTS

Key findings

45 staff returned the questionnaire – almost 48% return (a prize was offered to encourage returns – had hoped for 60% return).

Training

How staff rated their training - Overall figures were as follows:

Very Good 27%

Good 49%

Fair 22%

Poor 2%

Comments regarding timing and content of training included – that it perhaps was too broad ranging and assumed basic knowledge of the system in advance. Comments about the training provision – some Systems Administration/Power Users thought it was too early (see above); some Power Users/End Users thought that training was rushed and that extra time should have been allowed.

Some issues for further training were highlighted in the survey –

General Refresher in Basics

Finalising Records

Workflow

Sending e-mails to non-TRIM users & saving e-mails

Favourite Records

Naming Conventions

Support

78% rated the Project Team as good in preparation for implementation!
64% rated their Section Representative as good.

Floorwalking - Staff were asked how useful they found floorwalking provided by internal staff following go-live:

Very Useful 37%

Useful 39%

Not Useful 8%

Not aware this had occurred 16%

External Floorwalking: Survey indicated whether staff had asked or clarified anything with SureSkills floorwalker - 6 members of staff advised they had & all were satisfied with response from floorwalker.

Regarding the Floorwalking exercise - staff were asked if they preferred to use Internal floorwalkers or SureSkills external floorwalker – the results were:

Internal 44%
SureSkills 0%
No preference 56%

Documentation

Survey returns indicated that 77% of staff rated the TRIM User Manuals as satisfactory or very good. This compares with 94% of staff who rated the Handy Hints produced internally as satisfactory or very good.

Staff were asked for ideas regarding improving documentation – comments included that experience comes through practice; section representatives might facilitate local guidance manuals; more reference cards on specific topics would be welcomed; and perhaps more floorwalking required, 4 months into implementation (as above).

Use of TRIM and the file plan

Survey queried how easy staff found the file plan to understand, results concluded: Very Easy 25%
Satisfactory 67.5 %
Not at all 7.5%

Staff were also asked - how confident they were in knowing where to file their documents in TRIM:
Positive 23%
Usually confident 56%
Often unsure 18%
Not confident at all 3%

Staff were also asked - overall how user friendly did they find TRIM:
Very 34%
Satisfactory 54%
Not user friendly 12%

This section of the survey illustrated that - of those who found TRIM to be “very user friendly” 57% were daily users of the system and of those who found TRIM “not to be user friendly” 60% only used the system a few times a week or less.

Comments regarding ‘what they liked about TRIM’ included -

Good way of storing documents, cuts down on paperwork, searching, access to documents easier and comparison of revisions.

Comments regarding 'what they disliked about TRIM' were more wide-ranging and included –

Glitches in saving, can't file documents alphabetically, icons disappearing, slow checking in/out of documents, takes time, opening email attachments takes too long, difficulties with searching, lack of confidence in using system, too many folders, and sending links to multiple people is difficult.

Problems users reported in the survey included –

Slow checking documents in/out, knowing where to file documents, document naming needs to be consistent, forgetting how to use it, size of personal storage drive in relation to checking documents out for editing, saving and forwarding emails, queries misdirected, system compatibility problems, saving PowerPoint presentations, culture change from familiarity of paper to electronic.

Users were asked how they found the searching facilities in TRIM:

Excellent 31%

Good 43%

Average 14%

Poor 0%

Never used 12%

66% of staff responded that using the basic search facilities met their needs. 74% found the searching facilities either good or excellent.

Saved searches have not been used widely outside project team members.

Regarding use of 'My Containers' 61% of staff used this option in TRIM but there was a more mixed response on the usage of 'My Favourites' with only 49% indicating that they did use this option and 51% not.

Finally users were asked to detail any problems over a 5-day period and only 16% reported any problems.