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State Records  
of South Australia



# EDRMS Procurement and Pre-Implementation

Guideline

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## Introduction

State Records of South Australia (SRSA) has published a suite of documents concerning electronic records management and the implementation of an Electronic Document and Records Management System (EDRMS). To ensure adequate records management of electronic and physical records South Australian Government mandates implementation of a compliant EDRMS.

This Guideline describes a process that agencies can use to ensure that purchase and implementation of an EDRMS complies with South Australian Government Standards. SRSA developed this Guideline in consultation with government stakeholders.

Procurement according to this Guideline and associated Standards is mandated unless written exemption is received from the Director State Records.

## Background

From 2004-2009, it was mandated that selection and procurement of an EDRMS be made from an approved panel of products. This panel ceased to operate on 31 July 2009.

Following consultation with a number of key stakeholders, including the Office of the Chief Information Officer, the Crown Solicitor's Office, and the Across Government Information and Records Management Strategy Group, SRSA is replacing the EDRMS Panel arrangement with a standards based approach for system procurement.

Agencies have the freedom to procure any system that meets all of the requirements described in the *EDRMS Design Standard*, *South Australian Recordkeeping Metadata Standard (SARKMS)*, *EDRMS Functional Specification Standard*, *EDRMS Procurement and Pre-implementation Guideline*, **and** *Victorian Electronic Records Strategy (VERS) Version 2*.

## Scope

This *EDRMS Procurement and Pre-implementation Guideline* supports a number of records management standards that are referred to as the SRSA suite of EDRMS documents. They are to be utilised when procuring and implementing an EDRMS. These include:

- *Adequate Records Management Standard (2002)*
- *Document and Records Management Systems Standard (2009)*
- *EDRMS Design Standard (2009)*
- *South Australian Recordkeeping Metadata Standard (SARKMS) (2009)*
- *EDRMS Functional Specification Standard (2009)*

## Purpose

This *EDRMS Procurement and Pre-implementation Guideline* will contribute to maximum return on investment for agencies investing in an electronic solution as part of their Strategic Records Management Program.

The *State Records Act 1997* has among its objects:

*“To promote the observance of best practice by agencies in their management of official records”*

A quality management approach to planning the procurement and pre-implementation of an EDRMS has a number of benefits to agencies, including:

- Value for money
- Guaranteed return on investment
- Increased agency satisfaction
- Increased accountability
- More informed and efficient procurement
- Better strategic decision-making
- Reduces potential for agency resources to be wasted
- Ensures Suppliers are bidding for projects with the necessary support to proceed
- Establishment of equal partnerships with suppliers.

## Guideline

This Guideline identifies a number of tasks an agency will need to undertake in order to select the most appropriate EDRMS to meet specified business requirements. The completion of these tasks is expected to identify and in some instances address fundamental project management risks that otherwise could jeopardise the viability, stability and quality of an agency's EDRMS implementation. The complexity and size of the documents produced during this process will be dependant on the scope and level of risk associated with an agency's EDRMS project.

SRSA has appointed an EDRMS Coordinator to liaise with agency representatives and provide advice on the EDRMS procurement process.

### How will agencies use this Guideline?

Agencies will be required to follow the procedures detailed in this Guideline. Notably, that the respective agency's Chief Executive and SRSA must have endorsed the procurement and implementation approach before an agency commences negotiations with a selected EDRMS vendor.

### Preparing for an EDRMS

Agencies will need to undertake the following tasks to adequately plan for the installation of their EDRMS. It is acknowledged that not all tasks may be completed by an agency before procurement. For example, an agency may elect to engage a records management consultant or an EDRMS vendor to develop its records' migration strategy.

However, a written commitment to undertake all tasks will be required by SRSA from an agency's Chief Executive before procurement of an EDRMS takes place (see Attachment 2). An agency will also certify in writing that the preferred system meets all necessary requirements (see Attachment 3). SRSA must endorse this prior to proceeding to formal contract negotiation. Implementation of an EDRMS will be subject to State Records' records management audits and agencies will be required to:

- Undertake a risk analysis of the current recordkeeping environment
- Develop a specification for any additional technical and functional requirements specific to the business, not included in the *EDRMS Functional Specification Standard*
- Develop an evaluation plan, criteria by which a solution will be selected, and gain approval from the agency's own procurement section or other relevant body (e.g. Shared Services) with the inclusion of a contract negotiation strategy
- Develop and agree on a project governance model and ensure the EDRMS project is sponsored
- Gain a written funding guarantee via an approved business case
- Develop agency specific communication and marketing plans
- Develop and gain approval for a comprehensive change management plan
- Undertake an environmental scan of the agency, including IT skills audit and training requirement
- Develop and gain approval for a comprehensive training strategy

- Develop a records' migration strategy for existing official records
- Design and implement a project implementation approach based on a sanctioned methodology such as PRINCE 2
- Develop an administration model to support the ongoing management of the EDRMS, including:
  - Develop and gain approval (from all stakeholders) for a security model
  - Develop agency-wide business rules which support the ongoing operation of an EDRMS
  - Develop a workgroup administration model
  - Develop and gain approval (from all stakeholders) of the membership of various workgroups that will operate in the EDRMS
- Develop a post implementation review plan.

Agencies may implement workflow functionality to automate processes in and between workgroups. It is important for detailed business analysis to be undertaken to ascertain all the steps in a process to facilitate accurate process re-engineering.

It is important to note that agencies may require a cost benefit analysis as a component of the business case. While there are many benefits derived from an EDRMS implementation (e.g. more efficient processing of customer enquiries, ability to find all electronic information, etc) many are difficult to quantify so caution should be applied in this process.

## **Records management requirements**

Before procuring an EDRMS solution it is important that an agency uses fundamental records management tools to ensure consideration of all the legislative and business risks associated with inadequate records management practice.

There are a number of records management tools that an agency requires including:

- A strategic records management plan
- An independently developed self-assessment report of current recordkeeping practices using the Adequate Records Management - Improvement Matrix and Evidence Toolkit
- A business classification scheme
- A thesaurus derived from a relevant business classification scheme to classify all records
- A State Records Council approved records disposal schedule
- Schemas to be implemented in the EDRMS, such as action officer lists, synonym dictionary, record types, security level structure and classification, etc
- Identified reporting requirements for the agency
- Metadata compliant templates for major Microsoft applications (e.g. MS Word, MS Excel, etc)

## Technical requirements

There are a number of issues concerning IT infrastructure that agencies will need to consider before implementing an EDRMS. They include:

- Technical architecture (e.g. desired EDRMS topology)
- Standard operating environment of the agency's computers (e.g. capacity of existing desktop PC fleet)
- Impact on existing software solutions
- Database, software application and web servers (particularly important if agencies operate over a number of geographically distributed sites)
- Mass storage systems
- Local and wide area networks, including bandwidth capacity
- Remote facilities such as dial-up services
- Printers
- Document scanners
- Barcode readers
- Telecommunication services
- Backup media, offsite storage, recovery and housekeeping
- Replication requirements
- Security facilities
- Application programming interfaces kits and scripts for systems integration facilities
- Viewers for interpreting and displaying images/files in the correct format for online screen viewing
- Helpdesk and technical consulting support
- Integration requirements
- Available IT support

Agencies will be required to provide details of their network infrastructure to the preferred solution provider(s) so that they can make an informed decision on which solution(s) are fit for purpose for their current or proposed technical architecture.

## Specification of functional requirements

It is vitally important that an agency undertake detailed analysis of its business requirements with regard to function and cultural requirements. The *EDRMS Functional Specification Standard* should be used as a basis from which an agency can develop additional functional requirements. As a minimum, business analysis expertise within an agency's information technology section will need to collaborate with the relevant records manager(s) to develop these requirements.

## Evaluation plan

Agencies will be required to develop an evaluation plan. Consultation with contract and purchasing specialists within the agency as well as SRSA, the Crown Solicitor's Office, the State Procurement Board and the Office of the Chief Information Officer will ensure that the agency is apprised of any regulatory or policy directives that will affect the selection and purchase of an EDRMS.

As previously stated, an agency will need to gain approval of the evaluation plan from the agency's own procurement section and any other concerned third party and collaborate with them to produce a contract negotiation strategy

The evaluation plan will include selection criteria (possibly weighted) including:

- All functionality listed in the EDRMS Functional Specification Standard
- Any criteria identified in the agency's risk assessment of the current recordkeeping environment (e.g. network infrastructure limitations, price, cultural restrictions, etc)
- Any additional functionality identified in the agency risk assessment and during business analysis.

The plan will need to incorporate:

- The scope of the evaluation to take place
- A probity process to maintain objectivity, compliance with across-Government procurement policies, consistency of evaluation, and assurance that confidentiality is maintained
- An ethical behaviour statement to ensure all vendors are treated honestly and equitably
- Identification of any conflict of interest and the exclusion of officers concerned from the relevant decision making processes
- A statement to discourage the receiving of gifts and/or hospitality during the procurement process and requests for money, gifts or forms of entertainment should not be exchanged for information, business or services
- A statement on non-disclosure of commercially confidential information in relation to the contracts (e.g. price details, trade secrets and proprietary information must not be divulged without the Respondent's prior written approval).
- The number and initial composition of the evaluation team must be determined prior to commencing this process
- Evaluation team rules and governance
- Evaluation process (e.g. secure storage of responses, evaluation team minutes, incomplete responses, clarification procedure, communications with vendor/s, resolution of differences, decision making, evaluation templates, testing of functionality, test scripts, etc)
- Weighting criteria if required based on risk analysis exercise.

The evaluation of EDRMS solutions may include any one of the following criteria:

- Useability
- Price

- Ability to integrate
- Technical compatibility
- Ability to configure
- Customisation requirements
- Addresses all functional requirements
- Compatibility of project personnel and methodology with agency culture.

The evaluation process is likely to consist of two phases:

- Evaluate solutions based on price, technical compatibility, functional useability and system tests
- Evaluate ability to integrate, cultural fit, configurability and the need for customisation.

## **Project governance**

There are multiple governance models that could be developed. SRSA recommends the following model. The Chief Executive within an agency, authority or portfolio is the most appropriate custodian (sponsor) of an EDRMS project as the solution will impact all elements of the business and will require the highest level of commitment to succeed. The Chief Information Officer is the most appropriate project agent, overseeing the day-to-day output of the project and its governance. The agency's internal auditor and records manager act as the customer's advocate. The respective stakeholders all report to the Chief Information Officer during an EDRMS implementation and the project board consists of:

- Chief Executive
- Chief Information Officer
- Internal Auditor
- EDRMS Project Manager
- Records Strategist
- Records Manager
- IT Manager
- Relevant stakeholders representing different areas of the organisation.

## **Funding guarantee**

It is important that agencies commit the necessary funds to implement an EDRMS. This commitment is likely to be required over a number of financial years, especially for larger agencies. An EDRMS implementation is a significant investment. For many agencies the principle component of the project's budget will be the project management element, which includes system design, configuration and customisation. Other key elements requiring funding include the development of records management pre-procurement requirements, ongoing training and resource requirements for administering and maintaining the EDRMS.

## Change management plan

It is essential that public servants embrace and understand the business need for an EDRMS in their agencies. The program's sponsor should be the main advocate throughout the solution's implementation, especially as he/she has the ultimate responsibility for ensuring its successful execution. An important first step in this process is a statement from the Chief Executive that details his/her endorsement of the project team and its proposed goals, as well as the requirement for all staff to collaborate and cooperate with the project team.

For this cooperation to be achieved, it is imperative that a fit for purpose change management strategy is developed to underpin the program and that the agency's Executive commissions the strategy.

Other factors contributing to the success of the change management process include ensuring:

- Open and consistent communication, led by the agency's Executive
- Training related to records management policies, practices and systems is provided to all staff
- Appropriate personnel changes are implemented to support the new records management environment.

The change management program will need to:

- Detail the direct benefits for individuals so they want to become involved
- Demonstrate advantages to managers and staff, like the enhancement to current work practices, increased productivity and improved service delivery quality, through champions and the success of the program in pilot sites
- Provide the ability for staff to give feedback or raise issues relating to the program
- Convey the program's requirements, rationale, and short and long term benefits of implementing adequate document and records management practices
- Ensure that adequate support is given to program champions and end users so that they can continue to support the various elements of the program and do not lose interest
- Locate, support and empower project champions to assist with the successful uptake of the EDRMS
- Provide an effective and well-planned education and training program to support the change management process.

## Communication plan

A sound marketing approach for the effective and efficient communication of the deliverables of an EDRMS is vital. Essentially the approach should be based on business improvement, customer service and collaboration. Agency decision-makers and general administrative staff will clearly need to see and understand exactly what the solution delivers to them as individuals. The one-size-fits-all approach is not a sound vehicle to effectively communicate important information, especially if staff are expected to modify behaviour and practices as a result.

Analysis should be undertaken to identify the various Communities of Practice that operate within an agency, as it is the common interests connecting people that facilitate the continuing development and sustenance of communication networks. This information will help define the regularity, type, style, content, length, etc of documents or presentations to be provided to each staff segment.

## **Risk management**

A detailed risk management plan focusing on time, quality and cost will need to be developed by an agency outlining the causes, consequences, probabilities and mitigation strategies for all identified risks. These should include but not be limited to the following:

- Funding
- Cultural impacts
- Customer expectations
- Staff expectations
- Skill set required to deliver greatest return on investment
- Project scope
- Project approach (methodology)
- Intellectual property
- EDRMS administration
- Systems (application)
- Backend (database on server)
- Security classification
- Organisational change (e.g. potential restructures)
- Staff turnover
- Systems reliability
- Hardcopy/electronic records migration
- Geographic spread
- IT infrastructure
- Configuration versus customisation
- Across Government directives
- Training
- Contractual obligations
- Post implementation issues

## **Functional business analysis**

Functional business analysis is one of the most important and highly recommended aspects of an EDRMS rollout. The result of the analysis provides the foundation for other elements (e.g. training strategy) and tools to be developed (e.g. synonym dictionary) as part of a strategic records management program.

It details an agency's functions, activities, transactions and processes resulting in the identification of recordkeeping requirements and the foundation for the development of business classification schemes, functional thesauri and records disposal schedules.

Functional business analysis is conducted in a number of ways including:

- Interviews with business units, work groups, teams and individuals from operational areas within the agency, to identify core business activities and transactions, and any business specific language associated with these
- Business process mapping to identify workgroup transactions and the respective recordkeeping requirements as a result of these transactions
- Analysing documentary sources, such as legislation, strategic plans, annual reports, web pages, etc.

As a result of this analysis a business classification scheme is developed, providing a hierarchical model of the agency's administrative and core business functions:

- At the broadest level, an agency carries out a number of business functions
- Each function is made up of a number of activities that constitute that function
- Each activity is then broken down into the transactions that make up the activity

This process produces a hierarchical model of the business and will form the basis of the business classification scheme. This methodology does not base the business classification scheme on the organisational structures of the agency, but rather on its functions and activities. Functions and activities are generally more stable than organisational structures, particularly within government agencies (e.g. when there is a change in government or a ministerial change).

Conducting functional business analysis provides:

- A clear definition of the delineation between a document and a record
- Identification of inefficient and ineffective practices and duplication of effort
- Opportunities for business process re-engineering
- A description of the agency's governance model
- A basis for deciding the EDRMS project implementation methodology
- Identification of relationships between workgroups
- A description of IT architecture
- Communication strategy requirements
- Resource requirements
- Suitable sites for a pilot and continued roll out

The output of this process will not only provide an opportunity to identify requirements to create and manage particular records as evidence of business activities and decisions, but will also produce the first stage in the development of the:

- Roles and responsibilities of staff
- Policies and procedures, including privacy and access to records
- Security regime
- Vital records and disaster recovery plan

- Classification scheme/thesaurus
- Records disposal schedules and disposal program
- Functional requirements for software selection
- Workflow processes for implementation in the electronic document and records management system.

## Environmental scan

As part of the development of a change management strategy it is important to ascertain specific cultural inhibitors to an EDRMS rollout. Many of these may have been identified during the agency's risk analysis, however these need to be validated both in scale and likelihood in order that they are adequately mitigated. They include:

- IT literacy levels
- Preferred processes to administer files and documents
- Information requirements at the desktop (e.g. interface configuration)
- Likely issues of resistance within the organisation (e.g. sharing of information between workgroups)

## Administering an EDRMS

One of the principle concerns many users of an EDRMS will have is the security of their records in a corporate-wide system. There will be confidential records that should be viewable and/or known of only by the author and potentially the document's approving officer (e.g. certain Ministerials, Cabinet Submissions, etc). There may be draft documents that an author would prefer were not viewed by others until they are ready for publication. Users will quickly lose faith in the EDRMS if one of these records were to be returned in another user's search results. It is important to define all exceptions to business rules (as many as possible) prior to system implementation (prior to and during a pilot). Some requirements may not be achievable once the solution is 'live' and changes may have to wait for future software version upgrades.

An agency specific policy on access to record types should be developed prior to the implementation of an EDRMS and exceptions to the policy only granted by the respective Chief Executive of an agency. Administration of this policy will be in the hands of the EDRMS System Administrator.

The *EDRMS Design Standard* and *South Australian Recordkeeping Metadata Standard* provide assistance in standardising document types and the metadata associated with them.

## Project implementation approach

Agencies will need to decide on a project management model for their EDRMS implementation. The risk analysis exercise will assist in formulating a fit for purpose approach based on the following criteria:

- Functional complexity of proposed EDRMS solution
- Expected timelines for design, development and implementation of solution (e.g. the more constricted the phases the more resources required)

- Availability of suitably skilled in-house resources (e.g. it may be more appropriate to reassign a suitably skilled in-house resource from elsewhere in an agency for short-term EDRMS roles)
- Availability of suitably skilled outsourced resources

There are essentially four project management models an agency can develop:

- Entirely in-house sourced
- Entirely outsourced with the respective vendor
- A mix of in-house and outsourced personnel
- Subcontracted outsourced personnel

Project management methodologies apply a framework for successful delivery and many agencies apply the PRINCE 2 methodology to projects with a technology element. It is important to ensure the management of the project lifecycle is not too onerous and is commensurate with the level of risk involved and number of resources available.

A balance must be struck between excluding elements that appear to have minimal value, increase risk or timelines and retaining elements that ensure necessary procedures are followed to retain focus and management control on any variations to the project plan. These elements will be identified in a risk management exercise.

## **Records migration**

The migration of legacy records is a costly and inexact process, especially for current records in Government as most are not created and captured using any of the existing standards (e.g. SARKMS). An agency will need to consider whether records referenced in legacy systems should be migrated, using a risk assessment exercise. The risk assessment should include the following criteria:

- ‘Vital’ status of the record (importance to business)
- Current use of records (activity)
- Potential ease of migration (e.g. what record formats need to be included)
- Cleanliness of data
- Public interest
- Likely cost
- Experience of vendor migrating similar records from similar systems

## Process to Procure

No contracts or pilots are to commence in an agency until SRSA and the respective agency's CE has signed off that all preparatory work has been either committed to action or completed (according to this Guideline) and due process (evaluation and negotiation) has been followed. See Attachments 2 and 3.

When selecting the solution(s) to be evaluated consider the possibility of aligning with an agency that has an established contracted solution and any benefits or cost savings that may be achieved through association.

SRSA suggests the following process for an agency to follow when procuring an EDRMS (a workflow representation of this process is included as Attachment 1):

1. All elements detailed in the Pre-procurement Checklist (see Attachment 2) must be either committed to action or completed, and endorsed by the respective agency's Chief Executive and SRSA
2. Any functional or technical requirements identified in the risk analysis above those detailed in *EDRMS Functional Specification Standard* should be incorporated into the evaluation plan
3. Consider the terms and conditions for inclusion in a purchase contract. Consult the agency's procurement officers, SRSA, Crown Solicitor's Office, Office of the Chief Information Officer and the State Procurement Board for assistance.
4. Assess the selected solution(s) according to the evaluation plan
5. When the evaluation is complete, a signed pre-procurement certificate (see Attachment 3) must be forwarded to SRSA for approval, prior to formal contract negotiation
6. Enter formal contract negotiation with the vendor of the selected solution. Again, consult with contract and procurement specialists within the agency, Crown Solicitor's Office and Office of the Chief Information Officer.
7. Sign contract
8. Notify SRSA EDRMS Coordinator of conclusion to negotiations.

## Support

When considering and negotiating for purchase of an EDRMS significant consideration should be given to the following:

- Training
- Technical support
- Research and development

It is important that training and support is made available to users of the system. System training should be intrinsically related to records management concepts and practices as well as the functionality of the system. Also, training should be tailored to the needs of the users having regard for their specific roles in records management. This requires collaboration between the vendor and the agency and should take into account national records management competency standards.

The agency must have access to comprehensive technical support for the system, through technical and user documentation, on-site support and support through a medium such as telephone or e-mail. The system should be supported through all phases of operation, i.e. during implementation, operation, development and migration. The support should be provided in a timely and secure manner.

The vendor should be able to demonstrate a commitment to research and development and the enhancement of the system. A system of managing proposed enhancements and version upgrades must be established, allowing for consultation between the vendor, the agency and SRSA.

When developing a maintenance agreement, consider at least the following:

- term of the agreement
- financial arrangements (payment frequency and conditions, penalties and whether they are performance-linked)
- upgrades (automatic or under separate agreement, charges)
- license administration (distribution, charging, whether based on concurrent users or PC count)
- quality control and reporting mechanisms
- fault resolution (e.g. bug fixes where the problem is with the product, or where the problem is with incompatibility between products)
- maintenance and support over specified versions/releases (such as current version plus second-most recent version).

## **Exemption process**

An agency that has made a thorough analysis of its records management requirements and believes it is necessary to purchase a solution that does not meet the requirements laid out in the SRSA EDRMS standards may seek an exemption to procure a solution outside this process by submitting a business case to the Director State Records.

The granting of an exemption will be considered on a case-by-case basis and must be approved by the Director State Records before procurement can occur.

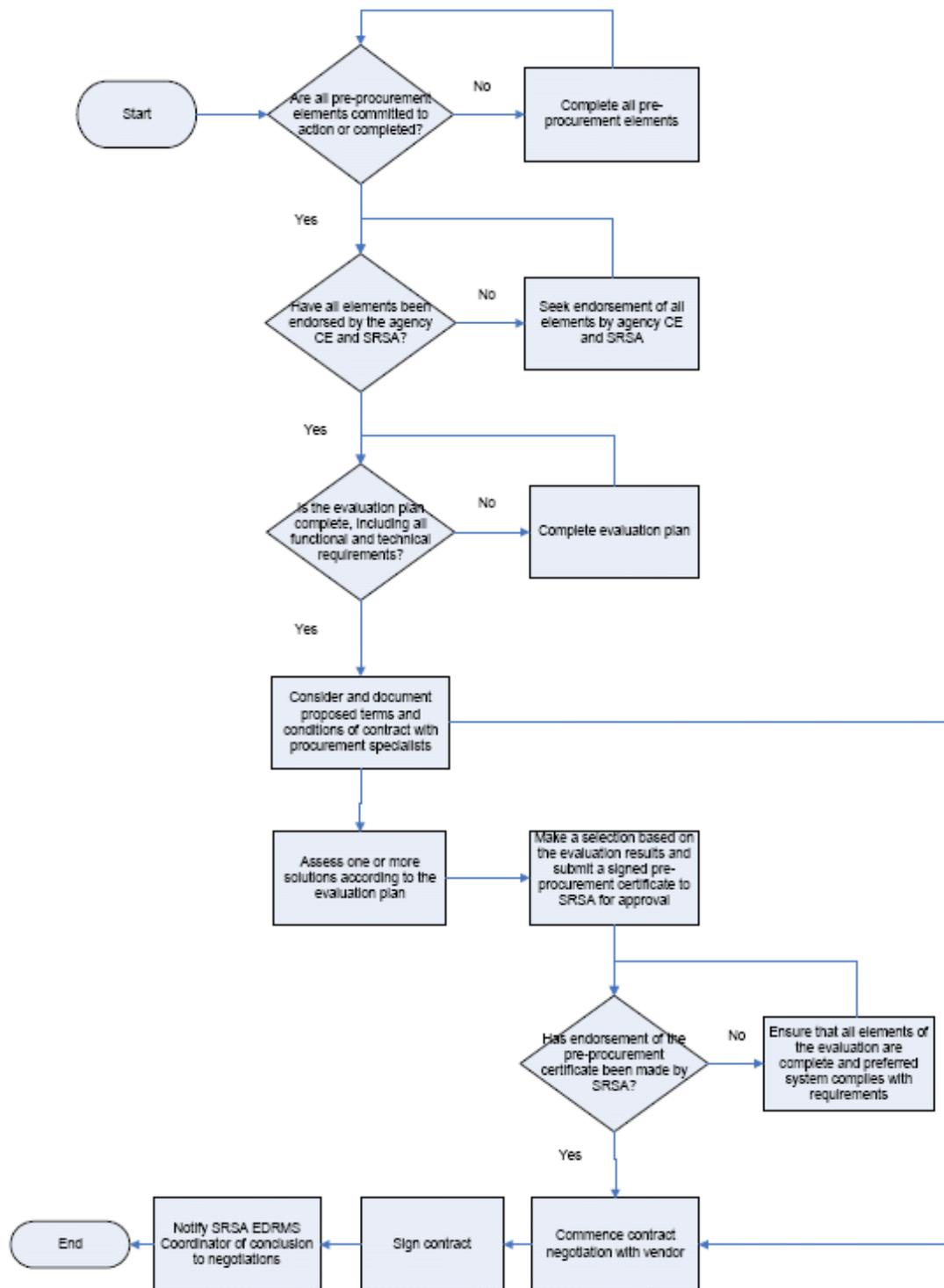
The agency will need to submit a strong business case, approved by the agency's Chief Executive, to SRSA. It will need to include but is not limited to:

- Details of the preferred solution and the supplier
- A case not to procure based on SRSA EDRMS standards
- Cost analysis
- Risk analysis to both the records and the agency of not procuring a compliant solution

Exemption from procuring based on SRSA EDRMS standards still requires that the solution:

- Meets the South Australian Government's recordkeeping standards
- Meets the South Australian Government's ICT policies and standards
- Is supplied by a commercially viable service provider (as defined by the South Australian State Procurement Board).

## Attachment1 – Process to procure



## Attachment 2 – EDRMS Pre-procurement Checklist

Once the status of each task in the EDRMS Pre-procurement Checklist has been established (either committed to action or completed), it will need to be signed by the Chief Executive. The checklist should then be forwarded to the SRSA EDRMS Coordinator to gain SRSA approval to proceed. The EDRMS Coordinator will return the endorsed document to the agency and a copy will be forwarded to the SRSA Records Management Auditor to include in an assessment of the agency's records management practices.

TASKS TO BE COMPLETED	STATUS
<b>Business Pre-procurement requirements</b>	
Undertake a risk analysis of the current recordkeeping environment	
Develop a specification of technical and functional requirements that includes those in the <i>EDRMS Functional Specification Standard</i> and any additional business specific requirements identified in the risk analysis	
Develop and gain approval from the agency's own procurement section for an evaluation plan (i.e. criteria by which a solution will be selected) which includes a contract negotiation strategy	
Develop and agree on a project governance model and ensure the EDRMS project is sponsored	
Gain a written funding guarantee via an approved business case	
Develop agency specific communication and marketing plans	
Develop and gain approval for a comprehensive change management plan	
Undertake an environmental scan (e.g. IT skills audit, training requirements) of the organisation	
Develop and gain approval for a comprehensive training strategy	
Develop a records migration strategy for existing official records	
Design and implement a project implementation approach (e.g. based on PRINCE 2)	
Develop an administration model to support the ongoing management of the EDRMS	
Develop and gain approval (from all stakeholders) for a security model	
Develop and gain approval for agency-wide business rules that support the ongoing operation of an EDRMS	
TASKS TO BE COMPLETED	STATUS
Develop a workgroup administration model	

Develop and gain approval (from all stakeholders) of the membership of various workgroups that will operate in the EDRMS	
Develop a post-implementation review plan	
<b>Record management pre procurement requirements</b>	
A strategic record management plan is in place	
An independently developed self-assessment report of current recordkeeping practices using the Adequate Records Management - Improvement Matrix and Evidence Toolkit	
Develop a business classification scheme	
Develop a thesaurus derived from a relevant business classification scheme to classify all records	
A State Records Council approved records disposal schedule	
Develop EDRMS schema, such as action officer lists, synonym dictionary, record types, etc	
<b>Technical Pre-Procurement Requirements</b>	
Develop a desired topology to support an EDRMS, that considers requirements such as network, hardware, database, peripheral equipment, server storage, software, etc.	

I hereby commit <agency name> to the development and delivery of all elements in the above checklist prior to the procurement of a product and an associated service provider.

**Chief Executive .....**

<agency name>

<date>

Endorsed

**Director State Records .....**

<date>

*Approval to Procure*

## Attachment 3 – EDRMS Pre-procurement Certificate

The system described below has been selected for procurement and implementation by <agency name>.

Attached is a copy of the completed evaluation by which selection of this product was judged to comply with requirements of the SRSA EDRMS standards, including *Adequate Records Management Standard*, *Document and Records Management Systems Standard*, *EDRMS Design Standard*, *EDRMS Functional Specification Standard*, *South Australian Recordkeeping Metadata Standard*, *EDRMS Procurement and Pre-implementation Guideline* and the *Victorian Electronic Records Strategy*.

This certification should be renewed each time system configuration, that is hardware or software, is changed.

---

**System name:** ..... **System version:** .....

**System vendor:** .....

---

### Certification

I hereby certify that the system identified above has been evaluated to be compliant with

- *Document and Records Management Systems Standard*
- *EDRMS Design Standard*
- *EDRMS Functional Specification Standard*
- *South Australian Recordkeeping Metadata Standard*
- *Victorian Electronic Records Strategy*

and meets the following conditions:

- The system effectively allows this agency to manage risks associated with poor records management
- The system is able to interrogate and report upon the data it contains
- The system is capable of employing metadata standards to ensure accurate identification and preservation of this agency's records
- The system enables this agency to access and subsequently disclose information to meet business needs in ways that protect information that is sensitive, confidential or impinges on personal privacy
- The system contains the appropriate functionality to ensure the protection of data.

Further,

- The system will be implemented to ensure compliance with the *EDRMS Design Standard*, and
- The system will be operated and maintained by people who are trained and competent in its application.

**Chief Executive** .....

<agency name>

<date>

*Certified*

---

**Director State Records** .....

<date>

*Endorsed*

## Glossary

SRSA has developed a comprehensive glossary based upon a number of sources. Where a definition exists within current legislation, such as the *State Records Act 1997*, it will take primacy. If no definition is available within legislation, the primary source is Australian Standard AS ISO 15489 Records Management.

This glossary is available on the SRSA website, [www.archives.sa.gov.au](http://www.archives.sa.gov.au).