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Events

Aug 2005

1st – 5th **Records management course** Workshop convened by the Kwa Zulu Natal Archives at Durban Archive Repository. Contact Tel: (031) 309 5682. Fax: (031) 309 5685 E-mail: dbnarchives@kznedu.kzntl.gov.za

3rd – 5th **Managing electronic records** Workshop convened by Melrose Training in Durban Contact Tebby Shinondo Tel: (011) 4532260 Fax (011) 4532255 Email: cmwenya@melrosetraining.co.za

15th – November 4th **“The 7th Regional Course on Conservation and Management of Immovable Cultural Heritage”** Convened by AFRICA 2009 Programme in Mombasa Kenya. Contact AFRICA 2009 Regional Course, ICCROM, Via di San Michele 13, 00153 Rome, Italy, Tel: (39-6) 585 53 314 / Fax: (39-6) 585 53 349 Email: africa2009@iccrom.org Website: <http://www.iccrom.org/africa2009/home.asp>

15th – 19th **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Pietermaritzburg Archives Repository. Tel: (033) 342 4712. Fax: (033) 394 4353 E-mail: pmbarchives@kznedu.kzntl.gov.za

16th – 19th **“Records Management course”** Workshop convened by National Archives of South Africa in Pretoria, South Africa. Contact Arie Bot, Phone: (012) 323 5300, Fax: (012) 323 5287. E-mail: rmc@dac.gov.za **website** <http://www.national.archives.gov.za/rms/rmc.htm>

29th – 2nd Sept **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Ulundi Archives Repository. Tel: (035) 879 8500. Fax: (035) 879 8518 E-mail: archives@uld.kzntl.gov.za

Sept 2005

12th – 16th **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Durban Archive Repository. Contact Tel: (031) 309 5682. Fax: (031) 309 5685 E-mail: dbnarchives@kznedu.kzntl.gov.za

13th – 16th **“Records Management course”** Workshop convened by National Archives of South Africa in Pretoria, South Africa. Contact Arie Bot, Phone: (012) 323 5300, Fax: (012) 323 5287. E-mail: rmc@dac.gov.za **website** <http://www.national.archives.gov.za/rms/rmc.htm>

18-21st **50th Annual ARMA conference** Convened by ARMA in Chicago USA Website: <http://www.arma.org/conference/index.cfm>

26th – 30th **Records management course** Workshop convened by the Kwa Zulu Natal Archives at Ulundi Archives Repository. Tel: (035) 879 8500. Fax: (035) 879 8518 E-mail: archives@uld.kzntl.gov.za

Oct 2005

5th **Electronic Documents and Records management** Workshop convened by CIMTECH at the University of Hertfordshire in the UK. Tel: +(44)1707 281060 Fax: +(44)1707 281061 E-mail: c.cimtech@herts.ac.uk **website** http://www.cimtech.co.uk/Main/CourseEvents_EDMS.htm

10th – 14th **Records management course** Workshop convened by the Kwa Zulu Natal Archives at Pietermaritzburg Archives Repository. Tel: (033) 342 4712. Fax: (033) 394 4353 E-mail: pmbarchives@kznedu.kzntl.gov.za

11th – 14th **“Records Management course”** Workshop convened by National Archives of South Africa in Pretoria, South Africa. Contact Arie Bot, Phone: (012) 323 5300, Fax: (012) 323 5287. E-mail: rmc@dac.gov.za **website** <http://www.national.archives.gov.za/rms/rmc.htm>

24th – 28th **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Ulundi Archives Repository. Tel: (035) 879 8500. Fax: (035) 879 8518 E-mail: archives@uld.kzntl.gov.za

Nov 2005

8th – 11th **“Records Management course”** Workshop convened by National Archives of South Africa in Pretoria, South Africa. Contact Arie Bot, Phone: (012) 323 5300, Fax: (012) 323 5287. E-mail: rmc@dac.gov.za **website** <http://www.national.archives.gov.za/rms/rmc.htm>

14th – 18th **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Durban Archive Repository. Contact Tel: (031) 309 5682. Fax: (031) 309 5685 E-mail: dbnarchives@kznedu.kzntl.gov.za

28th – 02 Dec **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Pietermaritzburg Archives Repository. Tel: (033) 342 4712. Fax: (033) 394 4353 E-mail: pmbarchives@kznedu.kzntl.gov.za

Dec

7th **Electronic Documents and Records management** Workshop convened by CIMTECH at the University of Hertfordshire in the UK. Tel: +(44)1707 281060 Fax: +(44)1707 281061 E-mail: c.cimtech@herts.ac.uk **website** http://www.cimtech.co.uk/Main/CourseEvents_EDMS.htm

Jan 2006

16th – 20th **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Ulundi Archives Repository. Tel: (035) 879 8500. Fax: (035) 879 8518 E-mail: archives@uld.kzntl.gov.za

Feb 2006

6th – 10th **Registry management course** Workshop convened by the Kwa Zulu Natal Archives at Durban Archive Repository. Contact Tel: (031) 309 5682. Fax: (031) 309 5685 E-mail: dbnarchives@kznedu.kzntl.gov.za

Mar 2006

13th – 17th **Records management course** Workshop convened by the Kwa Zulu Natal Archives at Durban Archive Repository. Contact Tel: (031) 309 5682. Fax: (031) 309 5685 E-mail: dbnarchives@kznedu.kzntl.gov.za

IDMS Case Study for the Department of Science and Technology

By Anthony Hall

This brief article aims to highlight some of the issues the Department of Science and Technology (DST) of the South African Government was faced with while implementing their IDMS system. IT analysts enjoy formulating new acronyms just to confuse the industry but IDMS in this regards is the acronym for 'Integrated Document Management System'. The word integrated can be considered relative to the level of integration to your organizations people, process, document and data.

In 2002 under the leadership of the Director General, the Department of Arts and Culture, Science and Technology (DACST) opted to migrate from their already existing Document management system 'DOCSOpen' to the new three tier architecture product called CyberDOCS offered by Hummingbird Pty (Ltd). The Director General and his senior executive team chose to migrate from DOCSOpen to CyberDOCS for three major reasons;

1. Executives needed the ability to access documentation in the document management repository from anywhere in the world using standard WAN technology. The old 'DOCSOpen' system was a client server system with no remote access capability.
2. The core national department process, the Submissions process was an entirely paper based process and therefore inherited all risks associated with managing paper documents such as document loss, version conflicts, document duplication and vast paper mountains which basically results in poor service to the public and DACST partners. The DACST executive wanted to convert this process to an electronic automated process to negate the risks from managing it in a paper environment thus enhancing the service levels to their partners and the public.
3. Promote access to information and transparency in the department's processes while encouraging employee accountability.

The department had already implemented an EDMS (Electronic document management system 'DOCSOpen') so basic document management functionality had already been registered as a user requirement at the Department of Arts and Culture, Science and Technology (DACST).

However, just after the vendor completed the initial implementation of the core modules the department (DACST) split into the Department of Arts and Culture (DAC) and the Department of Science and Technology (DST). Both departments then opted to redeploy the solution

within the two departments respectively.

Four Keys Areas

The DST currently enjoys full utilization of the Hummingbird IDMS. We believe there are many factors that contribute to the successful implementation of this technology but four areas stand out and should be considered critical, these will be discussed in further detail. Sound project management would highlight these areas and ensure that all eventualities have been planned for.

1. Infrastructure readiness

Can your LAN handle the additional load?

Will your current servers be able to handle the processing and memory requirement?

Do you need remote access to the document repository?

Do you have a lab environment for testing?

Do all users have reasonable access to peripheral devices like scanners?

When the Department of Arts and Culture, Science and Technology split the DST were in a fortunate position as an entirely new **LAN** had to be implemented for the department since the Department of Arts and Culture kept the current IT infrastructure. This meant that the DST LAN was implemented according to requirements set out for all systems that will be managed by the IS unit at the DST.

New dedicated **servers** were procured for the IDMS solution meeting the recommended specifications supplied by the vendor to host the solution. Most vendors will supply you with hardware and software requirements list outlining the minimum and recommended specification for these components. **IGNORE** the minimum requirements as they are exactly that, aim to meet the recommended requirements as IDMS implementations are not static and will grow with your organization and should therefore be completely scalable. Ensure that operating systems and authoring products have the correct service packs or releases applied according to the software requirements specification.

A common requirement for most IDMS clients is to **access the document repository from any location**. Ensure that you have defined the way you will allow users to access the IDMS remotely before selecting a vendor and ensure you have the necessary infrastructure in place to provide and support the service. The DST opted to implement a VPN for both its remote offices and travelling users for fast and efficient access to the IDMS.

Do not attempt to implement your chosen IDMS without setting up a mirror of your live environment for testing and debugging purposes. IDMS administrators should not be expected to deploy new functionality, customization or configurations without having tested the change in a **'lab'** environment first. Your lab environment should be made available by the vendor on the date the initial customization has been complete. Thereafter any change to be implemented in the live environment should first be tested in your lab.

Managing documents will require the use of **peripheral devices for printing and scanning**. The DST setup a scanning bureau in the HR registry for large volume scanning by purchasing a high end document scanner and training registry staff to provide the scanning bureau service. A desktop scanner for add-hoc document scanning was also made available to each unit for smaller document scanning requirements.

2. Project Team structure

Creating the right project structure with the correct role players will be fundamental to any projects success. This is in no way different when implementing your IDMS.

Finding the correct role players is vital as all team members resolve for project success will be continuously tested through the implementation and user adoption phases. When adopting this kind of technology any negative perceptions in the minds of your project team members will be introduced to your end user. Changing that already negative end user perception becomes a change management nightmare.

Below is a brief description of the project structure used at the DST. Many of the roles defined below are not just for the duration of the project but are for the entire life cycle of the solution within your organisation.

- *Primary Project Sponsor* – Role responsible for overall success of the project.
 - Two Deputy Director Generals
 - Both were involved in the initial procurement decision
 - Highest possible executive level other than the Director General who chose the solution and appointed the Deputy Director General as the primary project sponsor.
 - Personal interest in the technology
 - CIO post is not typically high enough and the requirement should be seen to be driven by business and not I.T.

The project sponsor will face all types of resistance from end-users and all levels of

management alike. If your sponsor's commitment wanes during crises times, management will use the insecurity to revert back to the 'old ways' with users following suite close behind. Continuity of project sponsors is crucial, lost intellectual property on the project will cause delays, loss of end-user buy-in, scope creep and a host of other undesirables on your project.

- *IDMS Manager* – Role Responsible for all initiatives around your IDMS project
 - IDMS specialist
 - Although the CIO has majority interest in the project traditionally the role of a CIO is more strategic role and not operational enough.
 - Drives all IDMS initiatives as the project manager.
 - Marketed as the end-user champion for your organization.

This role needs to be able to interface enthusiastically with both end-users and all levels of your organizations executive. On the ground, the role will be seen as the 'peoples champion' directing all initiatives around your IDMS project. Sponsors support for this role must remain strong. Continuity of this role should also be considered critical and although this may be a contract post in your organization the role should exist until the solution life cycle in you organization ends.

- *IDMS Steering Committee* – Committee responsible for driving the IDMS project.
 - Should be chaired by primary project sponsor
 - Representatives from communications will assist with communication strategy around IDMS initiatives.
 - IDMS Manager will action items for project resources
 - Process owners are invited to attend should an IDMS initiative affect their business processes.
 - Additional role players are invited as and when required e.g. possibility of creating electronic tender documents will have the Supply Chain director and the head of the legal services attend the committee meeting.
 - Decisions taken by this committee will be considered policy once implemented at the DST

The steering committee at the DST has been the most effective way of getting IDMS initiatives approved, as all role players are invited to attend the meetings which is driven by two very senior executives within the DST.

- *Support team* – Responsible for all support around IDMS initiatives.

- Help Desk remains the standard interface to end-users for access to I.T support services and can therefore be considered to be 1st level support.
- IS System Administrators at the DST are trained to support IDMS users and will therefore form the 2nd level support tier
- 3rd level support would be the IDMS manager and/or Security, Network and Development specialists when required.
- The vendor will form the final tier of the support structure. It is important to finalise a support contract with the vendor before the initial implementation has been completed to ensure that from day one of live operation a support facility is available for teething problems, mentorship and product bug fixes.

3. Initial Implementation

As mentioned earlier in this article an IDMS implementation is not a once off I.T project. The initial implementation can be defined as the project initiation, needs analysis, installation, configuration and customization and deployment to the end-user. Once these are complete, your project will move into a post implementation phase where the most gains or losses are made. Below are a few key points for the initial implementation phase.

- *Project Initiation –*
 - Create a communication plan to involve all users in the implementation. Get your sponsor to approve the plan.
 1. The DST used divisional managers to initiate discussions with their subordinates around the IDMS implementation. These discussions informed end-users of the planned approach for implementation and important milestones to look out for as well as why the organizations actually chose the solution. Most users will not understand why you chose a particular solution and what the business problem was you as an organization were trying to solve, make sure they understand the ‘why’ and a large part of your change management issue will be resolved.
 2. The communication plan should allow for frequent updates on the project progress to both end-users and project sponsors.
 3. Create social celebratory events in the workplace for achieving important project milestones.
 - Signing a project charter with the service provider/vendor in this phase is crucial to the overall management of the initial implementation. The Charter should include;

1. A brief project scope
 2. Project roles and responsibilities
 3. Project Risks
 4. Assumptions
 5. Milestone and payment milestones
 6. Deliverables and penalties
 7. Communication channels
 8. An approved project plan
- Full administrator training must be done at this stage to ensure that the chosen IDMS administrators stay involved throughout the remainder of the implementation to gain access to valuable implementation knowledge from the vendor providing the professional implementation services. Make sure you motivate your IDMS administrators appropriately by adding their new functions to their job descriptions, allowing for above average performance bonuses and encouraging them to attend complimentary product training e.g. Microsoft SQL server if that is your chosen database for the document repository.
 - *Needs Analysis –*
 - KISS - It is pointless to do a thorough need analysis exercise as the vast majority of your users will not be able to give you the necessary input required to gain benefit from this. Your initial solution consulting or needs analysis should only really be system parameter configuration exercise with key users, process owners and project sponsors. However, post deployment consulting will happen indefinitely as needs analysis will now be driven by the business and end-user requirement not an IT offering. This may raise questions on the value of an URS.
 - Assess end-user computer literacy levels. You will struggle to teach users how to operate in an IDMS environment if they battle to grasp basic computing functions. The assessment will help you formulate your end-user training plan for maximum impact.
 - The output of your needs analysis exercise is typically a specification of some sort. Make sure you have a proper change control process because from the day you 'go live' system changes will be requested. Use your change control process to update you specification which will then remain an accurate reflection of the system build for troubleshooting and handover purposes.
 - *Installation, Customisation and Configuration –*

- This task should be done according to your specification created during the initial needs analysis stage.
- Ensure that a thorough testing phase is included here for measurement against the specification document before deployment to the end-users.
- This task should go smoothly if you had prepared well for it by making sure the necessary infrastructure was in place before initiating the implementation
- Your 'lab' environment should be updated at the end of this task to mirror the latest system build.
- *End-user Deployment –*
 - Deployment planning. Plan to deploy in 'baby steps' or smaller units as this will minimize your impact on both I.T support during this critical phase as well as minimize user frustration as they will have access to faster support as support can be focused on a smaller group of users instead of your entire organization.
 - Support on the IDMS must take preference over all other I.T support for this phase. Your users must see that I.T is willing to be flexible during the crucial user adoption phase.
 - Training
 1. Process based training – Although the software may come with training manuals I would recommend you customize your training manuals to suite your application. At the DST the main reason for the implementation of the IDMS was to convert a paper based process to an electronic process. We customized our manuals to suite the process therefore not just giving end-users generic product functionality training but training them according to the processes they will be involved in while using the IDMS.
 2. Train people with similar computer literacy levels together. There is nothing more frustrating for a fairly advanced computer users than having to wait for inexperience users to catch up on a course. The converse applies to inexperienced users not being able to follow in a class made up of predominantly advanced users.
 3. It is a lot harder to schedule managers to attend training due to busy schedules and perhaps in some cases 'blaze' attitudes. Train managers in a one-on-one environment. Use your IDMS champion to give them the individual attention and they will feel like I.T is making a special effort.

4. Post Deployment

Below are a few strategies the DST put in place, post deployment to ensure continuing user buy-in and system growth.

Executive buy-in strategy.

The primary project sponsor had the Director Generals office commit to using the IDMS. With the Director Generals office only accepting documents in the IDMS just about all users became obliged to use the IDMS should they wish to complete their work commitments. This creates a nice 'mushroom' effect, as subordinates are now forced to submit their work in the IDMS as all levels of management only accept Hummingbird managed items.

Continuous Training

The DST setup a permanent IT training room. Weekly Hummingbird training is hosted in the training room covering topics that are prevalent in that week in the DST IDMS environment. The training room will also be used for basic computer literacy training for those users with little exposure to IT.

I.T Forum

The DST setup an IT user forum that meets on a monthly basis. The idea behind the IT forum is to have a platform for IT users in the department to discuss their issues, for the IS unit to respond to issues and for the IS unit to promote a general IT awareness within the DST. Getting attendance at these forum meetings was critical for its success. The forum sits on a monthly basis and an expert in an interesting field of technology will present for 25-30 minutes to help attract attendance. An IS employee will then present on a 'Topic of the week' in terms of the DST IT environment and the session will end with eats. Although the IDMS was the catalyst for the IT user forum by making it a more general IT user forum we were able to attract more users as members of the forum.

Additional Forms and Templates

The IS unit at the DST is continuously looking for additional ways to enhance the systems value. On an ongoing basis we are converting old paper based forms to electronic forms and making them available for use as a template in the IDMS. Templates are obviously a great way to promote a professional image within your organization and with the use of an IDMS these templates can now be available to anyone at anytime. Once a new template has been added to the IDMS it is marketed appropriately as the only accepted method of completing the form.

Stability

This is a fairly obvious requirement but I believe it is worth mentioning again because all initiative based around your IDMS implementation will be under server distress should the system become unstable and unreliable. Do not deploy to all users unless you are fully aware of how to handle all disasters around your IDMS environment. The system, once in a live environment will quickly become a business critical application for your organisation, can you support it like one?

Continuous Wins

The moment your IDMS implementation becomes static is the moment your users will start to loose interest and the project profile will start loosing momentum in your organization. Create a culture of continuous wins on the IDMS project. Aim to release a new piece of functionality or enhancement in the IDMS once a month. Users will notice the enhancements and recognize the dynamic nature of the IDMS implementation.

In Closing...

Sound project management for a successful implementation of the technology is critical but getting usage and value from the system will be a 'people' problem. Make sure all your support and project structures are able to change and adapt to deal with the user adoption in your organisation. Promote a general IT awareness in your company and you may be pleasantly surprised to find the result of such an exercise is a motivated and enthusiastic IDMS user community.

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About the author

Anthony Hall is a specialist in the Hummingbird Enterprise Content Management range of software including technologies such as Document Management, Administrative Workflow, Electronic Records Management and Enterprise portals and has now been working in this environment for seven years. Anthony has a strong technical background in Hummingbird but moved to the project management field after demonstrating successes with his implementation methodologies at a number of Hummingbirds key accounts in South Africa. Anthony is currently contracted to the department of Science and Technology performing a

range of services around the Hummingbird implementation which has become a business critical application for this national department.

Additional information

1. A cookbook for EDM systems at the New York State Government in the United States of America http://www.oft.state.ny.us/cookbook/cook_intro.htm
2. EDRM system implementation toolkit <http://www.jiscinfonet.ac.uk/InfoKits/edrm/>
3. Implementing EDM systems at the North Dakota State Government in the United States of America <http://www.state.nd.us/itd/records/edms.html>
4. Implementing ERM projects by Brad Abbott <http://www.archives.org.za/abbott.htm>