

General Info

FileNo: 109251

Title: Change Management and Preconditions for Implementation of Electronic Document Management Systems in Ontario Municipalities

Start Date: 31/03/2017

End Date: 28/07/2017

Keywords:

Project Members

Principal Investigator

Prefix:

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Country:

Comments:

Others

Rank	Last Name	First Name	Affiliation	Role In Project
Masters Student	Taylor	David	Social Science\Political Science	Co-Investigator

Common Questions

1. General Information

#	Question	Answer
1.1	Please provide a brief summary of the study, including the rationale, avoiding the use of technical terms and jargon. (max 500 words)	The purpose of this paper is to review the introduction of Electronic Document Management Systems (EDMS) in Ontario municipalities, consider the factors of success/drivers or factors failure/impediments in the implementation of EDMS, and ultimately

		provide recommendations for managers considering implementing EDMS in their municipality.
1.2	If this is a funded project, please provide the ROLA reference number and/or the grant title.	
1.3	Has this study been submitted to any other research ethics boards (REBs)?	No
1.4	For each team member listed in the Project Team Info tab, please list the following. Their ROLE in this study. Their RESPONSIBILITY in this study. (E.g. Sam Doe, PI, responsible for the conduct of the research study. Alex Green, Research Assistant, responsible for recruitment, interviews and analysis of data.)	Joe Lyons, PI, Supervising Professor. David Taylor, MPA Candidate responsible for interviews, research and writing the final paper.

2. Study Description

#	Question	Answer
2.1	What are the study hypotheses or, if specific hypothesis are not normally part of the methodology, what are the research questions ? Provide details of the procedures that will be used to test the hypotheses or research questions. In writing this section consider that the board needs to understand what a participant will experience as they take part in the study.	A specific hypothesis is not being pursued in this project; instead research questions will be considered. The research question will be approached through the case study method. It is my intention to consider two Ontario municipalities which have implemented EDMS, one successfully and one which was unsuccessful. I will interview up to 6 staff members from each municipality to determine what they believe was relevant to the success or failure of EDMS implementation. The specific research questions are: Does Kotter's Change Management Model provide an explanation for the successes or failures in the implementation of Electronic Document Management Systems in Ontario municipalities? Are there other factors of success or failure for implementation of EDMS in Ontario municipalities? Participants' experiences will be fairly limited. They will take part in a single telephone interview where they are asked various questions about the implementation of EDMS in their municipalities. The interview questions are attached.

		<p><u>The interviews will be recorded only with the consent of the participant. Recording is not mandatory. If participants do not agree to being audio-recorded, I will take handwritten field notes instead.</u></p> <p><u>The specific municipalities to be considered are not known at this time. In order to determine if the appropriate staff members in the respective municipalities are available to be interviewed, contact will be made following REB approval. It is necessary to review two comparable municipalities. Potential municipalities who I know have attempted to implement EDMS fall into two comparable groups: (1) Hamilton, York Region, and London and (2) Norfolk County, Grey County and the Township of Springwater. Two municipalities will be selected out of one of those two groups, based on the availability of staff to be interviewed.</u></p> <p><u>Anecdotally, I have learned from colleagues that several municipalities have attempted EDMS implementation projects and ceased those projects due to issues that arose. For the purpose of this study, successful and unsuccessful implementation will be based on whether or not the municipality completed the roll out of EDMS as originally planned.</u></p>
2.2	Does this study include any deception or withholding of key information that may be relevant to the participant making an informed decision about participation?	No
2.3	Please explain and justify the use of deception in this study.	
2.4	If you are giving a debriefing, describe how and when the participants will be debriefed. Note that if you are using deception, you must always have a debriefing. Please include the debriefing letter in the Attachment tab.	
2.5	What is the anticipated number of participants needed to carry out this research?	10-12

2.6	How much time will a participant be asked to dedicate to the project? If there are multiple, separated sessions, please indicate the time needed for each session.	1-2 hours for each participant.
2.7	List all study instruments (e.g., survey, data collection forms, etc.) that will be used in this research study. For each instrument, indicate whether or not you developed the instruments yourself or if it is a standard instrument in the relevant field. Please ensure that all instruments listed here are included in the Attachment tab.	
2.8	For each of your study procedures, list the locations where the study procedures will be conducted.	This will be conducted by a telephone interview to municipal staff members.
2.9	What is the age range of the participants?	25-65
2.10	Does this study involve research with Canadian Aboriginal peoples?	No
2.11	Does this study involve online research?	No
2.12	Will this research take place in a K-12 classroom system or child-care system??	No
2.13	Describe the participants being selected for this study and the criteria for their inclusion. If your inclusion criteria involve characteristics/qualities that would require you to identify if a potential participant qualifies, describe how will you do that (e.g., if you require a participant to be fluent in a language, or have a certain personality characteristic, how will this be ascertained?).	The participants will be determined based on their participation in EDMS implementation in their respective municipalities. This will include positions such as clerks, IT professionals, senior managers and project managers. However, the exact positions are not known at this point and may change based on the persons involved in each municipality.

3. Recruitment Process

#	Question	Answer
3.1	Describe your recruitment procedure. This should include how potential participants will become aware of your study, how they will secure their participation in the study and how they can get in touch with you. Ensure that all recruitment documentation is included in the Attachment tab.	Preliminary contact with persons responsible for EDMS in both municipalities reviewed will be required. This will be done by a short phone call to determine simply who was involved in EDMS implementation. Once that has been determined, follow up with an email will be made (sample attached) explaining the purpose of the study and proposed phone interview. If necessary, persons identified as being involved

Commented [KH1]: NOTE: The generally recommended procedure for recruitment is that the researchers provide recruitment information to a designated person at the organization/municipality who can distribute to the potential participants (i.e., those meeting the inclusion criteria; in this case, being involved in implementing the EDMS). Those who are interested can then contact the researchers directly for more information. This procedure respects potential participants' privacy/confidentiality, and also protects the principle of voluntary recruitment. This is preferred over the Lead providing the names and contact information of others involved in the initiative. However, if researchers can justify to the REB why it is more appropriate in this context for the Lead to disclose to the researchers potential participants, then it may be approved. Additional considerations are needed, however, such as clearly communicating to potential participants that even though they have been identified as being involved in the organizational initiative by the project lead, their participation is completely voluntary and that participating (or not) will not have any effect on their employment, and to what extent their data will be kept confidential.

		<p>in the EDMS implementation will also be asked if they can identify other persons in their municipalities who were involved in the implementation. This will be done to ensure the most appropriate staff have been interviewed.</p> <p><u>Contact will originally be made with the project lead who has been identified in public information. Where that project lead cannot be contacted, other prospective interviewees who are involved in EDMS implementation will be contacted. David Taylor will be making these phone calls.</u></p> <p><u>While it would be preferred that potential participants be contacted through general distribution, the nature of this study requires contact with specific persons who were heavily involved in the EDMS implementation project in their respective municipalities. As a result, the only feasible way to get to the most appropriate persons for this study, and to get the necessary information from those specific persons, is for contact to be made by the researcher first.</u></p> <p><u>The criteria for determining the "most appropriate staff to be implemented" is the degree to which staff were involved in the EDMS implementation project in their respective municipality. Because of the significantly different corporate structures and roles between municipalities, it is impossible to determine who was involved in the project based on publicly available information. As a result the only feasible way to ensure the most involved staff in each municipality have been interviewed is to ask other staff whether they are aware of other relevant participants.</u></p>
3.2	If you indicated that the researcher will contact the participants directly, please indicate how the researcher has access to or will obtain the contact information.	Publicly available contact information on municipal websites for the municipalities studied will be used to make preliminary contact. During the preliminary phone call, a request for an email address will be made.

3.3	Will a person who might have some influence (e.g., supervisor of employees, teacher of students, or other such relationships) be making initial contact with the potential participants.	If "No" please move to Section 4.
3.4	If you answered "Yes" to question 3.3, please describe the nature of the influence and what steps will be taken to ensure it does not exert undue influence on the person to participate.	

4. Consent Process

#	Question	Answer
4.1	Which of the following forms of consent / assent will be used? Ensure that all consent documentation is included in the Attachment tab.	Written Consent Verbal Consent (e.g., for a telephone survey)
4.2	Please elaborate on each kind of consent listed above.	<p>A consent document will be included in the Information Letter. Should the interviewee not provide the written consent, at the beginning of each phone call interview consent of the participant to use their opinions as part of the research will be requested.</p> <p><u>The information letter requests that participants return a scanned copy of the consent document. Alternatively, verbal consent will be obtained and be recorded by the researcher</u></p>
4.3	If you selected unable to obtain consent / requesting a consent waiver, please elaborate.	
4.4	Seeking consent from individuals under the age of 18 or who may have diminished capacity without obtaining parental/legal guardian consent should be based on whether or not they have the capacity to understand the significance of the research and the implications of the risks and benefits to them. Please indicate how consent will be obtained for those under 18 or who may have diminished capacity.	N/A - all participants are 18 or older and do not have diminished capacity.
4.5	If you indicated that no parental consent will be obtained for individuals under the	

	age of 18 or with a diminished capacity, please explain here.	
4.6	Will a person who might have undue influence on the participant be consenting the participant?	If "No" please go to question 4.8.
4.7	If you answered "Yes" to question 4.6, please explain here.	
4.8	Indicate if the participants may have any of the anticipated communication difficulties listed below.	None
4.9	If there is an anticipated communication difficulty, as indicated above, please describe the procedures that will be used to address this.	

5. Risks, Benefits and Safety

#	Question	Answer
5.1	List and describe any foreseeable potential risks and harms. If there are risks or harms, describe what potential benefits there may be to individuals or society to justify these risks or harms.	The only harms that can be identified are opinions by staff members about problems with implementation of EDMS being attributed to them, and other staff taking issue with that. This risk is a very low likelihood.
5.2	Please indicate how you will minimize any potential risks/harms in this study.	By asking participants if their opinions can be attributed to them, all participants will have an opportunity to express concerns about possible issues with providing these opinions. Interviewees will not be specifically identified by name and will instead be referred to generally by a descriptive label. This label will be determined by researcher and the participant at the end of each interview. A reasonably informed person who knows the specific positions in a given municipality and knows who was involved in the EDMS implementation could still determine who has provided the opinion. However, by only using descriptive labels, a higher level of anonymity will be afforded to participants.
5.3	If there is a possibility that the participant may experience emotional distress, what training / qualifications does the interviewer / researcher have that equips them to recognize such distress and to know when to stop the interview?	

5.4	If there is a possibility of distress, please comment on what resources will be available to deal with potential distress (e.g., Will a list of resources be provided? Is there someone on site to deal with distress?).	
5.5	Please confirm that you are aware of any obligations that you may have for reporting information to outside agencies (e.g., information about abuse of minors to CAS, or other such information) that may arise in this study. This limit on confidentiality must also be clear in the Letter of Information and Consent.	

6. Confidentiality and Data Security - Collection of ...

#	Question	Answer
6.1	Based on the information in the Guidelines for Confidentiality and Data Security, are you collecting identifiable information for this study?	If "Yes" please answer question 6.2.
6.2	If yes to question 6.1, identify any personal identifiers collected for this study. Select all that apply.	Full Name Telephone Number Email Address Audio Recording Other
6.3	If you have selected "Other" above, please specify.	-Employment title/position in the organization
6.4	Explain and justify the use of each identifier selected above.	For contact purposes, the participants' name, phone number and email address will be needed. With the consent of each participant, audio recordings may be made of their interviews. The intention of this will be to allow for a more fluid interview without the need for notes to be made throughout the interview. Participants' employment title/position in the organization will be collected during the interview, which may be an indirect identifier. Participants will select how they wish to be referred to in the results of this research (i.e., descriptive label) that does not identify them in order to protect their confidentiality.

7. Confidentiality and Data Security - Transporting o ...

#	Question	Answer
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7.1	Will the transport of study records conform to the requirements of the Guidelines for Confidentiality and Data Security Section A - Transporting of Study Data?	If "Yes" please answer questions 7.2 and 7.3.
7.2	If you answered "Yes" to question 7.1, who will have access to the data (identifiable or de-identified data)?	Only David Taylor and Joseph Lyons will have access to the information.
7.3	If you answered "Yes" to question 7.1 and the data to be transferred include identifiable information, list the type of identifiable information that will be included with the data sent off-site.	Names, emails, phone numbers and audio recordings.
7.4	If you answered "No" to question 7.1, please describe the deviations you are requesting with respect to the transport of study data containing identifiable information, and explain why these deviations are essential to being able to conduct the study?	

8. Confidentiality and Data Security – Storage, reten ...

#	Question	Answer
8.1	How are you storing your data	Electronic
8.2	Will the storage of study data conform to the Guidelines for Confidentiality and Data Security Section B - Storage, Retention and Destruction of Study Data?	If "Yes" please go to question 8.4.
8.3	If you have answered "No" to question 8.2, please describe any deviations you are requesting with respect to the storage of study data, and explain why those deviations are necessary for the conduct of the study.	
8.4	If someone other than the local Principal Investigator will be retaining the study data please specify who will store the data, how the data will be stored, and where the data will be stored.	The data will be stored on an encrypted external hard drive and maintained by David Taylor.
8.5	Please confirm that data (identifiable and/or de-identifiable) will be retained for a minimum of 5 years as per regulatory guidelines (e.g., granting agency guidelines).	Yes

8.6	Will you be retaining data with identifiable information for longer than 5 years	If "No" go to question 8.10.
8.7	Will the data with identifiable information being retained for longer than 5 years be professionally archived?	
8.8	If yes to question 8.7, please provide information on the professional archive depository and confirm that the Letter of Information and Consent contains information that data with identifiable information will be archived.	
8.9	If you will be retaining data with identifiable information for longer than 5 years describe (1) how long it will be retained, (2) why it is necessary it be retained for longer than 5 years, and (3) how you will ensure the confidentiality of the data during the extended retention period.	
8.10	If you are collecting identifiable information how will you destroy that data after the retention period indicated in the above questions?	The external hard drive will be wiped.

9. Compensation

#	Question	Answer
9.1	Will participants receive any compensation or incentive for participation?	No
9.2	Please elaborate on any compensation or incentive the participants will receive.	
9.3	Will participants receive any reimbursement for expenses?	No
9.4	Please elaborate on any reimbursement for expenses that participants will receive.	
9.5	If any compensation or reimbursement will be prorated please provide details of the prorating here and in the Letter of Information and Consent.	
9.6	If compensation involves entering the participant into a draw, describe how the participant will be entered into the draw and how they will be notified of winning.	

	Ensure that the identifiable information for the draw is not associated with the data.	
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10. Online Research

#	Question	Answer
10.1	All questions in an online survey must be optional as participation is voluntary.	
10.2	Identifiable information, including IP address, cannot be collected or stored with the data at any time.	
10.3	If you will be entering the participants into a draw at the end of the survey, the participants must be able to skip all questions and still gain access to be entered into the draw.	

11. Research with Canadian Aboriginal Peoples

#	Question	Answer
11.1	Will the research be conducted on Canadian Aboriginal lands, include Canadian Aboriginal people or seek input from participants regarding a Canadian Aboriginal community's cultural heritage, artefacts, traditional knowledge or unique characteristics?	
11.2	Will interpretation of research results refer to Canadian Aboriginal communities, peoples, language, history or culture?	
11.3	Please describe the nature and extent of your engagement with the Aboriginal community(s) being researched. The nature of community engagement should be appropriate to the unique characteristics of the community(s) and the research. The extent of community engagement should be determined jointly by the researchers and the relevant communities. Include any information/advice received from or about the Aboriginal community under study.	

12. K-12 Classroom

#	Question	Answer
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12.1	Have you consulted with the Research Services department at the school board that you wish to enter before submitting this application? Please include any relevant correspondence with the Research Services department and/or principal which indicates you can collect data at their school.	
12.2	Please confirm that your research project will be submitted to the appropriate school boards once Western approval has been granted and that all school board approval notices will be forwarded to the Office of Research Ethics.	
12.3	Have the research team members that will be directly interacting with K-12 students received a police check to enter into the classroom and work with children?	
12.4	If the research is happening during school hours, what will the children who have not been consented/assented to participate in the research do during this time?	
12.5	Indicate which of the groups you will recruit from the school. Please select all that will apply.	
12.6	If you have selected "other" above, please specify here.	
12.7	If you have indicated that you are recruiting students above, please select the age range(s) of the students from one of the following groups. Please select all that apply.	
12.8	If you will be requesting any information from the school or the board (e.g., student achievement scores, report card grades), indicate which information and how parent consent for this information will be sought.	
12.9	If research procedures require individual students to participate by being alone with the researcher in a private room/area, there must be at least two researchers present during these times. Does your study include any such conditions?	
12.10	If you have answered "Yes" to question 12.9 please confirm that the requirement of	

	having at least two researchers present will be met.	
12.11	Is the project in any way testing or evaluating a new curriculum or pedagogy?	
12.12	If you answered "Yes" to question 12.11, is the new procedure only being introduced as a result of the research project (i.e. It is not part of the normal curriculum that would be occurring even if the research was not being conducted?)	
12.13	If you answered "Yes" to question 12.12 please explain.	
12.14	How will you distribute materials and collect informed consent when children are involved?	

13. Conflict of Interest

#	Question	Answer
13.1	Will the researcher(s), members of the research team, and/or their partners or immediate family members receive any personal benefits (for example a financial benefit such as remuneration, intellectual property rights, rights of employment, consultancies, board membership, share ownership, stock options etc.) as a result of or by being connected to this study?	No
13.2	If you answered "Yes" in question 13.1, please describe the benefits below (do not include conference and travel expense coverage, possible academic promotion, or other benefits that are integral to the conduct of research generally).	
13.3	If applicable, describe any restrictions regarding access to or disclosure of information (during or at the end of the study) that the sponsor has placed on the researcher(s).	

14. Confirmation of Responsibility

#	Question	Answer
14.1	I confirm that I have read all study documents, assume full responsibility for	Yes

	the scientific and ethical conduct of this research and agree to conduct this study as outlined in the approved Western Protocol and documents approved by the REB in compliance with the TCPS2 guidelines.	
14.2	Have you exported a copy of this submission to Word using the "Export to Word" button? Note that you will be unable to submit your response or future amendments if this is not done.	Yes

Attachments

Description	File Name	Version Date
Recruitment Email	Recruitment Email- EDMS Implementation.docx	08/05/2017
Telephone Script	Telephone Script- EDMS Implementation.docx	08/05/2017
Response Letter	Response Letter- EDMS Implementation.docx	08/05/2017
Information Letter and Consent- Tracked	Information Letter- David Taylor- EDMS Implementation- May 8, 2017 (tracked).docx	08/05/2017
Information Letter and Consent- Clean	Information Letter- David Taylor- EDMS Implementation- May 8, 2017 (clean).docx	08/05/2017
Initial Recommendations	109251 Lyons (P).pdf	01/05/2017

Subject Line: Invitation to participate in research

Hello,

My name is David Taylor. I am a Master's Student at the University of Western Ontario in the Public Administration Program. I have received your email address from [insert method of obtaining contact information]. You are being invited to participate in a study that I am conducting. My supervisor for this research is Joseph Lyons, a Professor at the University of Western Ontario.

I am conducting an academic study of Electronic Document Management Implementation in Ontario municipalities, and I would like to conduct a telephone interview with you to discuss your insights and experiences in relation to this topic.

I have attached a letter of information that provides further details about the proposed study.

If you are willing to participate in this study, or would like more information on this study please contact me at the contact information given below.

Thank you,

David Taylor

[Redacted signature]

Commented [KH1]: Only institutional email addresses should be used in research (i.e., @uwo.ca)

Supervisor:
Joseph Lyons
Assistant Professor
University of Western Ontario
519-661-2111, ext. 85168
jlyons7@uwo.ca

If you have any questions about your rights as a research subject-participant you may contact:

The Office of Human Research Ethics
The University of Western Ontario- 519-661-3036

Department of Political Science

STUDY TITLE: Change Management and Preconditions for Implementation of Electronic Document Management Systems in Ontario Municipalities

PRINCIPAL INVESTIGATOR: Joseph Lyons, Assistant Professor

STUDENT: David Taylor, [REDACTED]

Dear [REDACTED],

My name is David Taylor. I am a Master's Student at the University of Western Ontario in the Public Administration Program. I am conducting an academic study of electronic document management implementation in Ontario Municipalities. My supervisor is Joseph Lyons, an Assistant Professor at the University of Western Ontario.

You are invited to participate in this research because I understand that you have been involved in the Implementation of an electronic document management program and I would like to conduct an interview with you to discuss your insights and experiences in relation to this topic.

The study that I am conducting aims to help municipal administrators in Ontario municipalities who will consider electronic document management implementation in the future by providing guidance on factors of success or failure.

As part of my study, I am conducting interviews with key individuals, such as you, who have been involved in electronic document management implementation. I aim to interview a broad range of people, who I am selecting based on my review of written documents, and based on referrals from other interviewees. The interviews will be conducted via telephone, and with your permission, will be audio-recorded.

I ask for about 45 minutes to an hour of your time.

If you would like the results of the research made available to you, please let me know during our interview and I will make them available once they are ready.

The interview will be confidential if you wish and I will not be identifying you by name, but rather by a descriptive label which you and I will agree on at the end of the interview.

The possible risks and harms of this research are that it may be possible for an informed person to attribute your opinions on the topic we discuss to you, even though I use a descriptive label.

The benefits to you are a contribution to other Municipal staff who may be embarking on an electronic document management implementation program. [insert: what are the potential benefits of this research to society?]

Before the interview, you will be asked to sign and return by scanned copy a form saying that you have read this request letter and consent to be interviewed (attached). The form will also give

Commented [KH1]: Letter of information and consent documents typically are not personalized; instead they are standard documents provided to all participants.

Commented [KH2]: This is inconsistent with the Western Protocol. All information provided in the ethics application and study documents need to be consistent.

Commented [KH3]: If there is an option to be identified directly in the research, this needs to be stated in the ethics application (see section on identifiers; Western Protocol section 6) and there needs to be a statement to this effect on the consent form (i.e., "I agree to be directly identified in the research dissemination. Yes No")

Department of Political Science

you the option of consenting to tape recording of the interview. Consenting to a taped interview is not mandatory. If you decline taping, I will take notes.

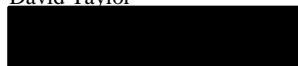
Participation in the interview is voluntary. You may refuse to participate, refuse to answer any questions or terminate the interview at any time. If you wish to withdraw from this study, please contact the researchers at the contact information provided below and your data will be removed from the dataset and confidentially destroyed. You do not waive any legal right by consenting to this study.

Interview notes / tape recordings will be securely stored on an encrypted hard drive by David Taylor, and will be used only for this study, unless required by law. Representatives of The University of Western Ontario Non-Medical Research Ethics Board may require access to your study-related records to monitor the conduct of the research. While we do our best to protect your information there is no guarantee that we will be able to do so. The researcher will keep any personal information about you in a secure and confidential location for a minimum of 7 years. A list linking your descriptive label with your name will be kept by the researcher in a secure place, separate from your study data.

Please do let me know if you could meet with me over the phone sometime during the next three weeks. Many thanks in advance for considering my request. If you have any questions at all, please feel free to contact me at the coordinates below.

Yours sincerely,

David Taylor



Joseph Lyons
Assistant Professor
University of Western Ontario
519-661-2111, ext. 85168
jlyons7@uwo.ca

If you have any questions about your rights as a research ~~subject-participant~~ you may contact:

The Office of **Human** Research Ethics
The University of Western Ontario- 519-661-3036; ethics@uwo.ca

Department of Political Science

Electronic Document Management Implementation

Consent Form

Joseph Lyons
Assistant Professor
University of Western Ontario
519-661-2111, ext. 85168
jlyons7@uwo.ca

David Taylor

I have read the Letter of Information, have had the nature of the study explained to me and I agree to participate. All questions have been answered to my satisfaction.

☐ YES ☐ NO

Commented [KH4]: If participants do not agree to this, they will not sign this consent form (so a yes/no checkbox here is not needed).

I agree to be audio ~~video recorded~~ in this research ~~(consenting is not mandatory)~~

☐ YES ☐ NO

Commented [KH5]: If video-recording is not a part of the study procedures as outlined in the Western Protocol/ethics application, it should not be included.

I consent to the use of quotes obtained during the study in the dissemination of this research identified to me by a ~~descriptive label~~ I agree to

☐ YES ☐ NO

Commented [KH6]: This is clear by the yes/no checkbox option. If audio-recording is mandatory, there should not be a yes/no checkbox option on the consent form, and instead a clear statement indicating that audio-recording is a mandatory study procedure

Commented [KH7]: NOTE: How/where will you record the descriptive label?

Print Name of Participant

Signature

Date (DD-MMM-

YYYY)

My signature means that I have explained the study to the participant named above. I have answered all questions.

Print Name of Person
Obtaining Consent

Signature

Date (DD-MMM-
YYYY)



Telephone Script

STUDY TITLE: Change Management and Preconditions for Implementation of Electronic Document Management Systems in Ontario Municipalities

Hello, may I please speak with [insert the name of the potential participant here].

If the potential participant is not home, ask if there is a better time to call. Do not leave a message as it may be a confidential matter you are calling about that may not be apparent to you

If they are home, continue with the conversation

Hi, [insert the name of the potential participant here] this is David Taylor calling. I am a Master's Student at the University of Western Ontario. I am calling today to ask if you are interested in a research study we are conducting. The study is being supervised by Assistant Professor Joe Lyons, and will look at Electronic Document Management Implementation in Ontario municipalities, and I would like to conduct an interview with you to discuss your insights and experiences in relation to this topic.

Would you be interested in hearing more about this study?

If no, thank them for their time and say good-bye

If yes, continue to explain study details to them based on the letter of information

I am now going to read you the letter of information over the phone [Clearly read the letter of information the participant over the phone]

Do you have any questions?

[Answer any questions they may have]

Do you agree to participate in this study?

**If yes, continue with the study*

**If no, thank them for their time and say good-bye*

Commented [KH1]: As this script pertains to professionals, and they are being contacted at their place of employment, this should be revised.

Commented [KH2]: This information does not reflect the recruitment/consent procedures provided in the Western Protocol (sections 3 and 4 respectively). The telephone scripts provided should match the recruitment/consent procedures. The recruitment information indicates that municipalities will be contacted to determine who was involved in the EDMS implementation, but this script does not reflect this. Further, it would not be recommended that the municipality provide the identities/contact information of potential participants to the researchers, but instead that the municipality personnel familiar with the implementation working group forward the recruitment information to potential participants who can then contact the researchers directly for more information if they are interested. NOTE: If researchers request that the organization provide identities/contact information to the researchers, there needs to be sufficient justification in the application for this (i.e., why is it more appropriate in this context for the organization to provide this information, as opposed to maintaining the confidentiality of these professionals).

Further, it seems like the verbal consent script is included in the Interview Questions document, so it is not clear what this document is being used for.

Introduction to Each Interviewee

Hello, may I please speak with [insert the name of the potential participant here].

Hi, [insert the name of the potential participant here] this is David Taylor calling. I am a Masters student at the University of Western Ontario I am calling today to speak to you about a research study I am conducting. I am being supervised in this study by Assistant Professor Joseph Lyons.

I had previously sent you a letter about this study. The study will look at the implementation of Electronic Document Management Systems at Ontario Municipalities. Are you able to speak to me about this research?

I am now going to read you the letter of information over the phone

Do you have any questions?

Do you agree to participate in this study?

Are you comfortable with your comments being attributed to you by use of your employment title only? I will not use your name.

Are you comfortable with me recording the conversation in order to have better records of your responses?

Commented [KH1]: These questions should be the same as the yes/no consent options on the written consent form.

Interview Questions

The following are the general questions I will ask each participant. However, due to the fluid nature of interviews, in some situations not all questions will be asked as they may become irrelevant or be answered in previous questions. Additionally, some follow up questions may be necessary if the specific question outlined below does not elicit a sufficient response or if there is any confusion as to the information being sought.

The preliminary questions that will be asked of each participant are as follows.

1. What is your position in the organization?
2. What was your involvement with the EDMS project?
3. Was this your only responsibility at the time, or was it only part of your responsibilities?
4. If only part of your responsibilities, what percentage did the EDMS project take up?
5. Are the reports I have found online all the reports, or is there additional publicly available background information?

The following questions will be asked if the public reports reviewed don't already provide this information:

1. What was the total amount of the budget for the EDMS project?
2. Was this the original estimated budget?
3. Were there any supplemental budget approvals?

4. How many full time equivalent staff were allocated to the EDMS project?
5. Were there any increases or decreases of staff allocated during the EDMS project?
6. How many departments were involved in the EDMS implementation?
7. How many total departments at the Municipality?

The following questions represent the main information sought in order to address the research question.

1. Was the need for the system urgent? If so why?
2. Was this urgency used to justify the implementation project?
3. Who lead the push for the implementation project?
4. Did this group remain the same or change at all through the project?
5. Were end users of the EDMS system identified as part of the implementation process, and if so, were they engaged implementation?
6. If yes, how were end users engaged?
7. Do you believe this engagement, or lack of engagement, contributed to success or failure of the implementation?
8. How many members of the implementation team were there?
9. What departments/divisions did this represent?
10. Was the implementation of EDMS a top-down or bottom-up project?
11. Did senior management support the project? How is the support, or lack of support, demonstrated?
12. If senior management support was originally present, did it wane at all during the project implementation?
13. Do you believe that senior management support, or lack of support, contributed to success or failure of the implementation?
14. Did Council support the project? How is the support, or lack of support, demonstrated?
15. Was the need for EDMS reflected in any policy documents of the Municipality (e.g. strategic plan etc.)?
16. If council support was originally present, did it wane at all during the project implementation?
17. Do you believe that Council support, or lack of support, contributed to success or failure of the implementation?
18. Do you believe there was a clear vision/strategy of what needed to be done in the implementation before it began?
19. Was the vision/strategy of the project well communicated to the organization?
20. Was the progress and success of the project well communicated to the organization throughout implementation?
21. Was the budget allocated sufficient in your opinion?
22. Was this sufficient staff allocation in your opinion?
23. Was the portion of the Municipality included in EDMS implementation (full or partial implementation) the correct amount? Why?
24. Was implementation successful? Why?
25. Can you identify any barriers to implementation or factors that contributed to implementation failure? (This will be open ended before asking about specific factors I have hypothesized are involved)
26. Can you described how these items contributed?
27. Can you identify any things that supported implementation or factors that supported implementation?

28. Can you identify how these items contributed?
29. To what degree was the new EDMS system integrated with existing processes?
30. To what degree were existing processes changed to integrate with the EDMS system?
31. Do you believe either of these integration issues contributed to success or failure of the implementation?
32. Were there any short term deliverables that showed the value of the project to the organization?
33. Do you have any other comments to add about the topic?