

## 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:

Last Name: Lyons

First Name: Joseph

Affiliation: Social Science\Political Science

Rank: Assistant Professor

Gender: Unspecified

Email: jlyons7@uwo.ca

Phone1:

Phone2:

Fax:

Mailing Address:

Institution: Western University

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.</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	1-2 hours for each participant.

	multiple, separated sessions, please indicate the time needed for each session.	
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 in the EDMS implementation will also be asked if they can identify other persons in their

		<p>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	If "No" please move to Section 4.

	relationships) be making initial contact with the potential participants.	
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
6.3	If you have selected "Other" above, please specify.	
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.

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

#	Question	Answer
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	Names, emails, phone numbers and audio recordings.



	identifiable information, list the type of identifiable information that will be included with the data sent off-site.	
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.	

## 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
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 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.	Yes
14.2	Have you exported a copy of this submission to Word using the "Export to Word" button? Note that you will be	Yes

	unable to submit your response or future amendments if this is not done.	
--	--	--

## 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

## **Western Protocol / ROMEO Form – Response Letter**

1. Section 2.1 – will the interviews be audio recorded? If yes, will the recording be mandatory? This should be clear here and in the letter of information.

THE INTERVIEWS WILL BE RECORDED ONLY WITH THE CONSENT OF THE PARTICIPANT. RECORDING IS NOT MANDATORY.

2. Section 2.1 - which municipalities will be included?

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 COMPRABLE MUNICIPALITIES. POTENTIAL MUNICIPALITIES WHO I KNOW HAVE ATTEMPTED TO IMPLEMENT EDMS FALL INTO TWO COMPRABLE 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.

3. Section 2.1 in the Description: “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.” How will successful and unsuccessful implementations be identified? Is this public information? Do the participants self-identify as being part of an unsuccessful implementation?

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.

4. Section 3.1 in the recruitment procedure: “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.” Who will be contacted via the “short phone call”?

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.

5. Is it possible to have the researcher’s contact information available for distribution so that potential interviewees can contact the researcher independently? This is preferred rather than the researcher contacting individuals directly.

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.

02/05/2017

6. Section 3.1: "If necessary, persons identified as being involved 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."

7. What criteria will determine most appropriate staff are interviewed? This allows participants to be identified by 3rd parties which is not best method to recruit participants.

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.

8. Given the estimated length of the interview, the 33 question instrument will be difficult to manage in 45 minutes to 1 hour.

IT IS NOT ANTICIPATED THAT ALL QUESTIONS WILL BE ASKED TO EVERY PARTICIPANT. THIS REPRESENTS ALL QUESTIONS THAT SOMEONE COULD BE ASKED, BUT BASED ON THE SPECIFIC PARTICIPANT'S INVOLVEMENT AND THE WAY THE INTERVIEW GOES, NOT ALL WILL BE ASKED.

9. Section 3.1 – please provide your telephone script and email notice for recruitment. Samples and guidelines for these two items can be found here: [http://www.uwo.ca/research/services/ethics/board\\_guidelines.html](http://www.uwo.ca/research/services/ethics/board_guidelines.html)

A REVISED SCRIPT AND EMAIL NOTICE HAVE BEEN INCLUDED AS ATTACHMENTS.

10. Section 4.2 – please indicate how you will collect written consent if this is happening by phone.  
Letter of Information

THE INFORMATION LETTER NOW REQUESTS THAT PARTICIPANTS RETURN A SCANNED COPY OF THE CONSENT DOCUMENT. ALTERNATIVELY, VERBAL CONSENT WILL BE OBTAINED AND BE RECORDED BY THE RESEARCHER.

11. Letter of Information – please see our guidelines for Consent Documentation: Letter of Information & Consent Guidance Document [http://www.uwo.ca/research/services/ethics/board\\_guidelines.html](http://www.uwo.ca/research/services/ethics/board_guidelines.html) to add the appropriate information to the letter: a. please confirm that the letter is printed on institutional letterhead in its final draft, that page numbers and a version date are added in the footer. b. please add the title of the research to the top of the letter along with the PI name and student name and contact information. c. please provide an invite to participate "You are invited to participate in this research because you are..." d. information on the confidentiality of the data from section 8 of the guidance document. e. Information on the risks and benefits.

THESE CHANGES HAVE NOW BEEN MADE.



**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 an 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  


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

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

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



## 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\**



**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, (226-229-0404) davidvtaylor@gmail.com**

Formatted: Highlight

Formatted: Highlight

Dear [ \_\_\_\_\_ ],

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 ~~E~~electronic ~~D~~document ~~M~~management ~~i~~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. My supervisor is Joseph Lyons, a Professor at the University of Western Ontario.~~

The study that I am conducting aims to help municipal administrators in Ontario ~~m~~Municipalities who will ~~embark~~ ~~consider~~ ~~e~~Electronic ~~d~~Document ~~m~~Management ~~i~~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 ~~E~~electronic ~~D~~document ~~M~~management ~~i~~implementation. I aim to interview a broad range of people, who I am selecting based on my review of written documents, ~~or~~ and based on referrals from other interviewees.

~~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.~~

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.

02/05/2017

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 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.

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.

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

[Redacted signature]

Formatted: Highlight

Formatted: Highlight

Joseph Lyons  
Assistant Professor  
University of Western Ontario  
519-661-2111, ext. 85168  
[jlyons7@uwo.ca](mailto:jlyons7@uwo.ca)

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

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

02/05/2017

**Electronic Document Management Implementation****Consent**

Joseph Lyons  
Assistant Professor  
University of Western Ontario  
519-661-2111, ext. 85168  
[jlyons7@uwo.ca](mailto:jlyons7@uwo.ca)

David Taylor  
[davidvtaylor@gmail.com](mailto:davidvtaylor@gmail.com)  
226-229-0404

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

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

☐ YES ☐ NO

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

\_\_\_\_\_  
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)

02/05/2017