

M11 – Developing an Effective RIM Strategy

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Learning Objectives

- ▶ Understand the importance of having an RIM strategy
- ▶ Understand the need to align the RIM strategy with your corporate strategy
- ▶ Identify steps in developing RIM strategy

Why Develop a RIM Strategy?

“What’s the use of running if you are not on the right road?”

(German proverb)



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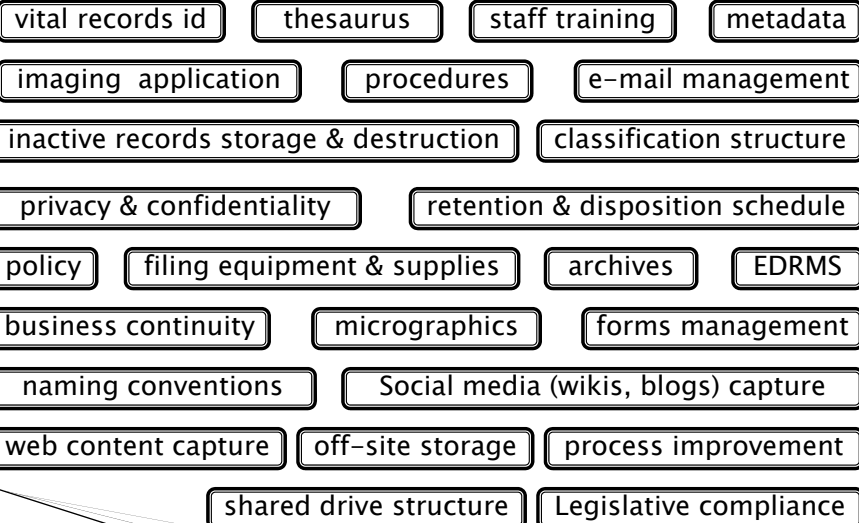
Why Develop a RIM Strategy?

- ▶ Information environment is rapidly changing
- ▶ Need to strive for continuous improvement
- ▶ Planning and change management are critical to RIM success
- ▶ RIM is a program, not an isolated project
- ▶ RIM scope should impact the whole organization

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RIM Program Elements



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Without A Strategy You:

- Don't know where you are going
- Don't know where your organization thinks you are going or wants you to go
- Can't accurately identify context, priorities or dependencies
- Can't manage expectations/change
- Won't know when you get there

Can't show the value of RIM

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RIM Strategy is ...

- ▶ Not a precise list of to-do's, tasks or steps to take
- ▶ Not a work plan with tasks, work effort estimates, and resource assignments
- ▶ Not a communication and identity plan
- ▶ Not a marketing plan
- ▶ Not a resources plan
- ▶ Not a change management plan

RIM Strategy Characteristics

- ▶ Multi-year focus (usually 3 – 5 years)
- ▶ High level
- ▶ Within corporate context
- ▶ Enterprise wide scope
- ▶ Identifies what RIM wants to look like and how to get there
- ▶ Includes measurable, realistic and attainable goals

**Provides value to the
organization**

Is Your Organization Ready?

Do you have:

- ▶ Corporate stability & planning mindset
- ▶ Corporate sponsor & senior management support
- ▶ Stakeholder relationships & participation commitment
- ▶ Time & energy to devote to process

Timing is Everything

If Your Organization is Not Ready...

- ▶ Focus on short term/annual tactical planning
 - Communication
 - Relationship building
 - RIM promotion and awareness building
 - RIM Education
 - Gather information to justify program

SELL, SELL, SELL

Before You Start (1)

- ▶ Develop strategic planning charter
 - Identify what you are going to do
 - Get approval/sign-off

Before You Start (2)

- ▶ Gather external background / conduct literature search
 - Who are your organization's competitors?
 - Are there any recognized industry standards, benchmarks or best practices?
 - Is there an industry association?
 - Is your industry highly regulated or with prescribed functions?
 - ISO
 - GARP ((Generally Accepted Recordkeeping Principles)

Before You Start (3)

- ▶ Identify corporate background
 - Organization's strategic plan
 - Organization's corporate values, vision and mission
 - Corporate drivers –what's important
 - Corporate direction – what's happened in the last 2–3 years
 - Lines of Business
 - What is your business (functions)
 - Where do you operate

Before You Start (4)

- ▶ Identify records management elements
 - Who are your RIM “customers”
 - Who are other stakeholders in information management
 - What services are provided?
What program elements exist?

Baseline RIM Benchmark

- ▶ Do you have a baseline benchmark identifying your current RIM state? How mature is your RIM program? If you don't know – find out.

- ▶ Potential Resources
 - ISO 15489
 - ARMA – GARP and GARP Maturity Model
 - Commercial tools
 - Carswell audit toolkit
 - ARMA International
 - Other organizations (internet etc)
 - <http://www.nationalarchives.gov.uk/rmcas/>
 - http://www.archives.sa.gov.au/files/management_guidelines_ARM_auditpolicy.pdf

Situation Analysis (1)

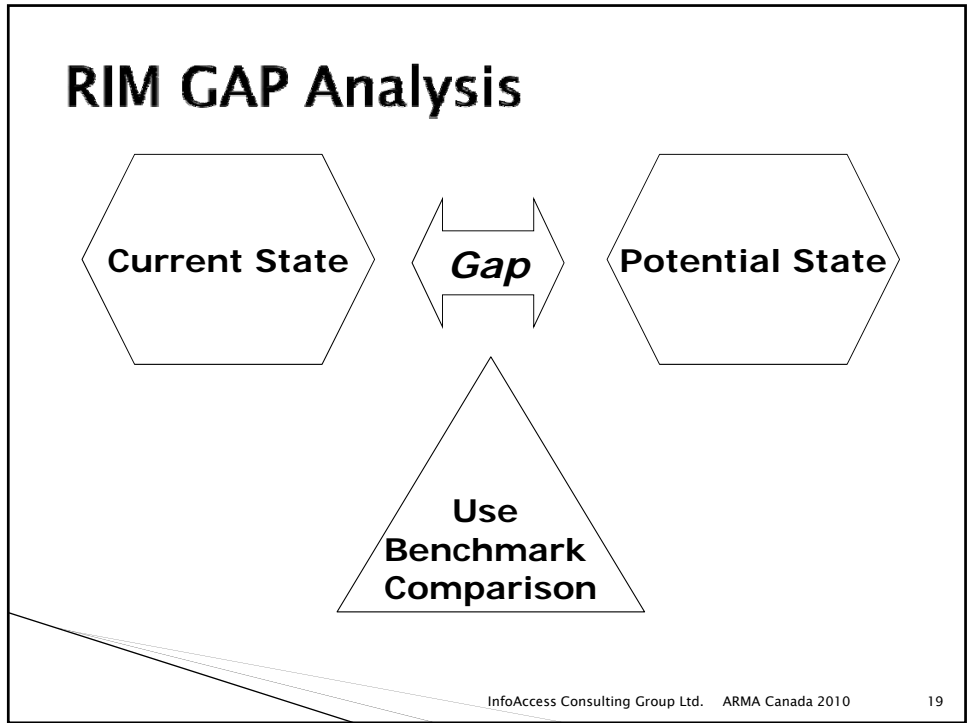
- ▶ External
 - Are there any recent or pending changes? How do they affect your organization? (ie changing laws, industry regulation)
 - Are there opportunities and/ or threats to consider (technology trends, industry issues, competitor positioning)
- ▶ Corporate
 - What are the challenges faced by your organization?
 - How can RIM contribute to the solution?

Situation Analysis ⁽²⁾

- ▶ RIM Program
 - SWOT analysis: What are the RIM program strengths, weaknesses, opportunities, threats & risks
 - GAP analysis: How does your program compare to best practices? What are some potential program or service improvements?
 - Risk analysis: What are the risks associated with your RIM program?

SWOT

<p>Strengths</p> <p>•What does your Program do well?</p>	<p>Weaknesses</p> <p>•What does your Program not do well?</p>
<p>Opportunities</p> <p>•Does strength create an opportunity to build on and improve RIM programs/ services?</p>	<p>Threats</p> <p>•Are there roadblocks or weaknesses that prevent you from successfully implementing change? How can roadblock be removed?</p>



RIM Risk Analysis

Risk Factor	Likelihood	Impact	Total Risk Score	Mitigating Action
	Low/ medium/ high	Minor/ moderate/ severe	Low/ medium/ high	

Total Score Calculation

Consequences Minor ↑ Severe	Medium	High	High
	Low	Medium	High
	Low	Low	Medium
	Low	→	High
	Likelihood		

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Prepare for Planning Session

- ▶ Develop agenda
 - Identify key issues, questions, and choices to be addressed as part of the strategic planning effort
- ▶ Identify approach
 - Focus group/retreat, or
 - Interviews and feedback
- ▶ Develop data gathering tools
 - Questions
 - toolkits
- ▶ Select & invite participants
- ▶ Provide background material
 - synthesis of situation analysis
 - key learnings

Planning Session Outcomes

- ▶ Finalized environmental scan
- ▶ Shared vision statement for RM
- ▶ RIM Mission statement
- ▶ Goals or organizational future state expectations
- ▶ Agreed upon key strategies to reach the goals
- ▶ Performance measurement metrics

Environmental Scan

- Incorporate all stakeholder perspectives in SWOT, GAP, Risk Analysis
- Identify critical issues that must be addressed
- Identify all assumptions (ie: economy will improve, legislation will change...)

Vision

- ▶ Is based on the organization's values and guides future actions
 - *"Will this goal, objective or activity help us to make a contribution to our vision?"*
- ▶ Potential Wording
 - *We believe that ...*
 - *We strive to ...*
 - *We are committed to ...*

Vision Statement

“quality is job one”

“ We will be recognized as a model of what a modern archives should be:

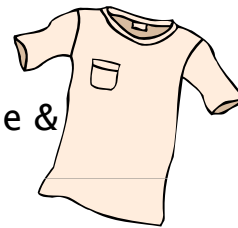
- *The reliable, trusted, authoritative guardian of Ontario’s documentary memory*
- *A leader in customer service, dedicated to identifying and responding to the evolving needs of our customers.*

• ... “

<http://www.archives.gov.on.ca/english/about/pdf/ontario-archives-strategic-plan-2007-10.pdf>

Mission

- ▶ Should be brief, unique, memorable & compelling
- ▶ Should answer the following:
 - What is the RIM program? What do we do?
 - Who is the target audience for RM?
 - What are we going to achieve? What results do we expect?



Mission Statement

- ▶ *“To provide greater protection of University assets.*
- ▶ *To realize cost avoidance opportunities for the campus.*
- ▶ *To reduce UCLA’s liability relative to litigation, privacy issues, and regulatory non-compliance. “*

http://www.finance.ucla.edu/Records/rrm_mission.htm

Goals

- ▶ Describe RIM program 3 –5 years from now after a successful implementation
 - In terms of program, resources, status, relationships, governance...

“ To develop and implement integrated information management programs, utilizing existing and emerging technologies, to improve the availability and accessibility of information campus wide”

“ to maintain accountability standards by addressing all administrative, legislative and archival requirements with respect to University records”

Murdoch University.
www.murdoch.edu.au/vco/secretariat/records/management_plan.html

Objectives

- ▶ Address key issues identified through the environmental scan
- ▶ Achieve defined goal
- ▶ Identify specific objectives that address the causes of the issues identified

Objectives Statement

- ▶ To ensure that full and accurate records are made, captured into and maintained in the university's centralised record keeping system.
- ▶ To have systems that will provide efficient tracking and retrieval of information/ records
- ▶ To exploit current technology to assist in the management of information and records.

Murdoch University

Measure Your Performance



If you don't set performance indicators how will you know when you succeed?



What gets measured gets done!

Measurement – Why & Why Not

► Why should we?

- Be accountable
- Show ROI
- Promote value of RIM
- Identify options for continuous improvement
- Justify costs for an enterprise-wide approach



► Why don't we?

- Difficulty defining objective, controllable metrics
- Fear of being held accountable
- Time and cost involved (lack of resources)

Performance Metrics

- ▶ Goals and objectives must be measurable
- ▶ Define target metrics as part of plan
- ▶ Choose metrics that are not dependent on factors outside of your control
 - not all failures in performance will be caused by poor recordkeeping

Finalizing Your Strategic Plan

- ▶ Finalize strategic plan that summarizes the results and decisions of strategic planning process
- ▶ Build in procedures for modifying strategies based on changes in the external environment or the organization
- ▶ Formalize adoption
 - Approved by organization – sr management
 - Incorporated in personal performance objectives

Next Steps – Annual Activities

- ▶ Develop tactical plans / activities that:
 - address goals and objectives
 - Identify and address gaps
 - provide work plans
 - Include change management & communication tactics
- ▶ Review strategic plan goals and objectives to confirm ongoing validity
 - Radical changes in environment may prompt redraft of plan
- ▶ Report on current performance as compared to target metrics

Quick Review

- ▶ RIM Strategy is important because it provides a framework for action that's focused on elements that will support & further corporate initiatives
- ▶ RIM is a corporate support initiative that is closely linked to what other stakeholders provide. The RIM strategy ensures that the RIM program initiatives are consistent

Quick Review

- ▶ RIM Strategy Steps
 - ▶ Environmental scan
 - ▶ Vision
 - ▶ Mission
 - ▶ Goals
 - ▶ Objectives
 - ▶ Performance Measurement Criteria

Now you're ready to develop tactical plans
and measure success!

RIM Strategic Planning

Session#: M11
Developing an Effective RIM
Strategy

Session evaluation and feedback
welcome!

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