

Session # W24

How to Conduct a RIM Situational Analysis

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Agenda

1. Introductions
2. Establishing RIM Program Vision
3. Situational Analysis
 - a) Literature Review
 - b) Designing the Questionnaire
 - c) Scheduling Interviews
 - d) Conducting Interviews
 - e) Observations
 - f) Recommendations
 - g) Action Plan
4. Presentation of Results
5. Conclusion

1. Introduction

- Most organizations have had no real control of records or information since about 1985
- Most organizations manage only a tiny % of what today qualifies as a record
- Most organizations do not treat information as an asset

Situational Analysis

- What is it ?
- Related documents: business cases, IM capacity assessments, EDRMS requirements analyses, etc.
- Underpinning for IM program and policy frameworks, classification schemes, IM procedures, IM business rules etc.
- Why do it ?
- Approaches

2. Establishing RIM Program Vision

- Many sources:
 - Legislation
 - Internal plan/policy/mandate/bylaw
 - Standards e.g. ISO 15489
 - Managerial imperative
 - Outcome of Situational Analysis or similar study e.g. IM Capacity Check, IMCAT etc.

3. Situational Analysis

- a) Literature Review
- b) Designing the Questionnaire
- c) Scheduling Interviews
- d) Conducting Interviews
- e) Observations
- f) Recommendations
- g) Action Plan

a) Literature Review

- Obtain defining documents
- Do a walk-about
- Examine external web site, Intranet site, and shared drives
- Read, keep in mind goals, note remarkable items as 'Observations'

b) Designing the Questionnaire

- Start with a long all-inclusive list (from other sources or from brain-storming)
- Pare it down until it reflects the RIM program vision and circumstances of your organization

c) Scheduling Interviews

- The biggest impediment to timely completion
- Examine org chart, create list of people whom you want to interview, representing all functional groups
- Get Senior Mgt approval to take 2 hrs of their time
- Have Senior Mgt send an email to all managers of the work groups
- Have managers send a supporting email to their staff
- Call or email each individual, suggesting or insisting on one of 2 times/dates when they be grouped with 3 – 4 others for the session
- If need be, send confirmation by email

d) Conducting Interviews

- Sessions:
 - 4-5 people with similar work functions
 - Keep management in a single separate session
 - 1.5 to 2 hours in duration
 - Back to back is tiring for you, but efficient
 - Leave a half hour between meetings
- Brief introduction of yourself, the project, the purpose of the session: be light and constructive (it's not an audit or performance appraisal) but invite criticism.
- May need a scribe or translator.
- Take careful notes: number the pages, note the names of the attendees at the top, the date etc.

- Greet people at the door, hand out cards, chit-chat, be/seem curious about the circumstances of their work.
- Draw diagram of the table, noting names, roles.
- Open with relevant definition of 'information' or 'record'.
- Ask an open-ended question, allowing people to discuss/complain about common problems, eliminating questions that you would have to raise later.
- Proceed through all the questions, taking notes.
- Be prepared to deviate from the questionnaire, a lot.
- Consider having interviewees quickly score the organization's IM performance.

e) Observations

- Transcribe notes, if not already digital.
- Append these to the preliminary structure of the Annex of Observations.
- Move draft observations into the relevant sections.
- Eliminate redundancies and merge results, forming simple statements, sometimes linking two or more issues to each-other.
- Clean up language, forming clear sentences.
- Number the Observations.

f) Recommendations

- For each distinct Observation, think of and briefly describe a solution:
 - Some observations will lead to multiple Recommendations.
 - Some observations will *not* lead to a Recommendation at all.
 - Some Observations must be combined to lead to a Recommendation.
- Next to each Recommendation, note the Observation number(s) that support it.
- Many Recommendations will suggest or necessitate additional definition. These could be supplemental annexes or subsequent work for the Action Plan.

g) Action Plan

- Action plans must be *actionable*
- Action plans must indicate *who* does *what*, *when*, and often suggest *how*.
- A timeline, GANTT chart or other graphical representation is helpful.
- You must attempt to anticipate all needs and solve all problems, so that other people can focus solely on their assigned task.

4. Presenting your Results

- Sequence:
 - RIM program Vision was developed and approved
 - Questions were designed to elicit comments about practices encompassed by the RIM program vision
 - The resulting Observations are consequently relevant to the success of the RIM program
 - From these Observations were derived specific Recommendations, which must also be valid and relevant, even if sometimes unpalatable
 - Recommendations were organized in a chronological Action Plan, which must also therefore make sense
- If anyone disputes or disregards your Action Plan:
 - Your thinking/writing was not clear, or
 - Because people do not want your RIM program to succeed.

5. Conclusion

- Situational Analyses are a great way to identify, prioritize, justify and promote elements of your RIM program
- They can be satisfying for you, and definitely a stimulating experience for the staff who participate
- They can be a great way to get exposure to your own organization, users and clients, and for them to be exposed to contemporary RIM concepts
- They can be a great way to determine whether your organization takes the RIM program, and you, seriously

Questions ?

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