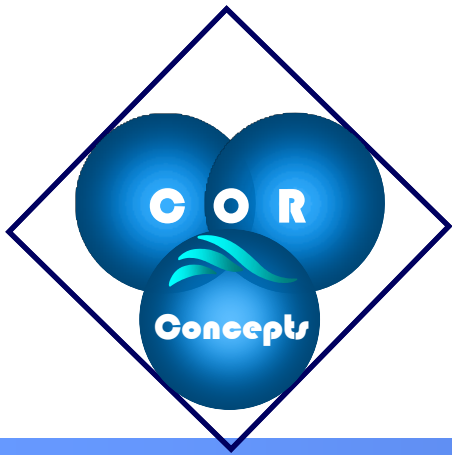
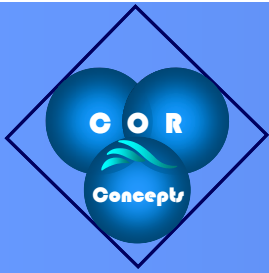




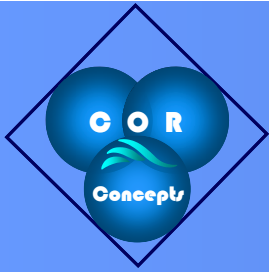
Strategic Planning for records Management

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Agenda

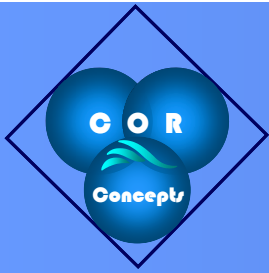
- **Agenda**
 - What is strategy?
 - How does this apply to records management?
 - Elements of the strategy
 - Project management
 - Communications – promoting the programme
 - Roles and responsibilities
 - Evaluation and revision



Definition of strategy

- “The art of war, especially tactics. The part of it concerned with the conduct of campaigns, choice of operations to be attempted and getting of forces into favourable positions for attempting them.” (Oxford Dictionary)
- Approach, design, manoeuvre, method, plan, plot, policy, procedure, programme, scheme, tactics

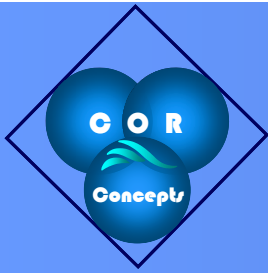




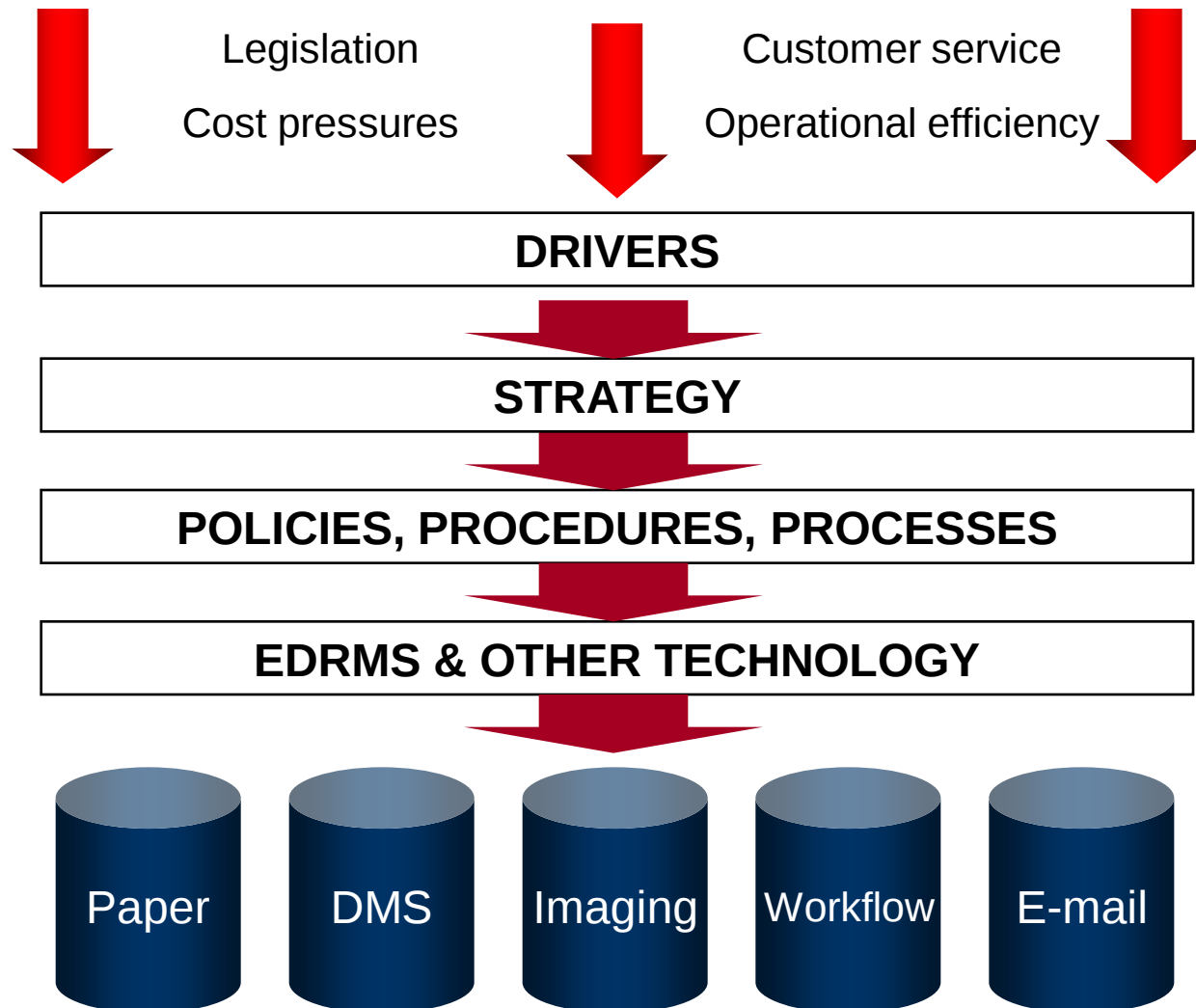
Strategy implications for records managers

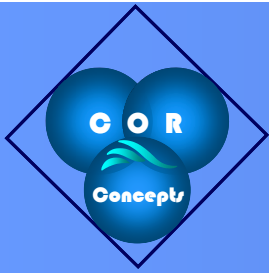
- It's war out there
- Understand the extent of the war, and each battle
- Tactics need to be defined, planned and carefully implemented
- Choice of operations need to be determined
- Resources need to be identified and deployed accordingly
- Leadership is critical
- Communication is critical





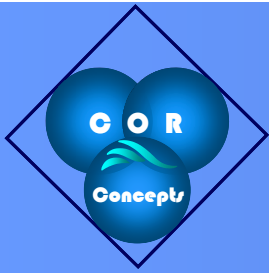
The process





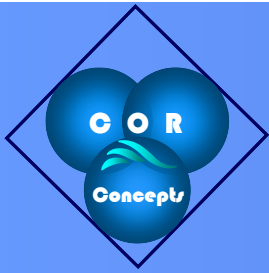
The Strategy

- **Scope**
- **Objectives**
- **Key elements**
 - **Policy Framework**
 - **Records Management Audit**
 - **Supporting procedures**
 - **Implementation**
 - **On-going audits, reviews, refinement**



SCOPE

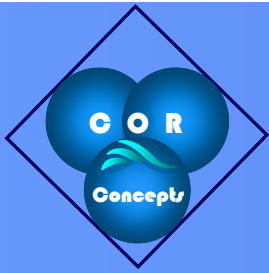
- This strategy relates to all records, in any format, at any location of the “*your organisation*” as described in the “*your policy document name*”.
- Identify the depth and breadth of what you are trying to achieve:
 - All records?
 - All locations?
 - All media?
 - Throughout the life-cycle?



Media Ownership

- Consider who owns the following media:
 - Documents (paper and electronic)
 - Technical drawings
 - Audio visual
 - Audio recordings from call centres?
 - IT records held in databases
 - Archived media (CD's, DVD, magnetic tapes)

Discuss: When, if and how do you get custody?

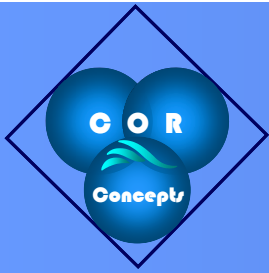


OBJECTIVES

What are you expecting to achieve?

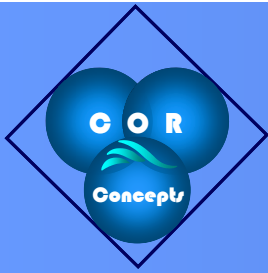
The records management strategy has a number of objectives which are geared towards ensuring that “*your organisation*” manages all of its recorded assets effectively. In particular, the strategy will constitute an approach for realising the benefits of effective records management, including:

- Compliance with statutory, regulatory and standards requirements
- Reduction of information-related risk
- Effective management of information assets throughout their life-cycle, from creation or capture to disposition
- Accessibility to information according to pre-determined security constraints
- Efficient use of staff time
- Space savings
- Increased accountability
- Cost reduction
- Improved working environment



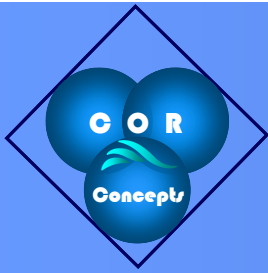
Objectives expanded

- Consider moving beyond the registry (s)
- What other areas in the organisation create, manage, store records?
- How can you gather records as early and completely as possible?
- How can you make records management a part of everyone's daily tasks?



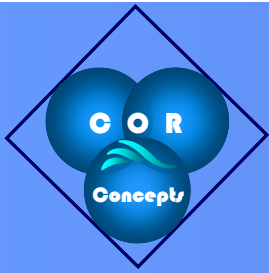
Linking strategy to Corporate objectives

STRATEGIC GOAL	Records Management Programme Benefits
Transformation	• Creation of standardised platforms for information • Facilitates the integration of group support functions such as Human Resources, Finance and Procurement through standardised platforms • Facilitates Group programmes through allowing information from various operating divisions to be shared • Creation of a common "language" in the way that information is managed throughout the organisation • The programme can force compliance in certain instances so that information must be managed in a particular way, hence reducing deviation from standards, and leading to consistent use.
Customer focus	• Faster access to information to support customer queries • Accurate information to customers to reduce the number of queries • Providing information to customers in a format they require
Risk management	• Reduced risk of exposure due to lost information • Reduced loss of Intellectual Capital • Tighter security and access control to records
Contract Lifecycle management	• Proper and accurate control of contracts and supporting documentation (<i>in conjunction with contract lifecycle management systems</i>) • Use of the correct versions of contracts • Easy access to contracts to support decision making processes



Linking strategy to Corporate objectives

STRATEGIC GOAL	Records Management Programme Benefits
Improved Operational Performance	•Lower costs of storing information •Easier and faster access to accurate information •Reduced time to complete processes •Greater collaboration between employees, especially cross-functions or operational divisions •Standardised processes, naming conventions, procedures leads to reduced time and effort in creating, storing, finding and retrieving information
Human capital development: Motivated and value-adding employees	•Less time spent wasted on unproductive tasks •Reduced time wasted on finding information •Employees can focus on value-add and contributing, instead of being permanently frustrated due to the inability to access the information tools necessary to perform their jobs •Enabling a knowledge sharing environment •Employees prefer working in organised, well governed environments with easy access to supporting tools •Employees provided with the tools to guide them in how to handle records properly
Other strategic goals?	•How can we align our programme to these?

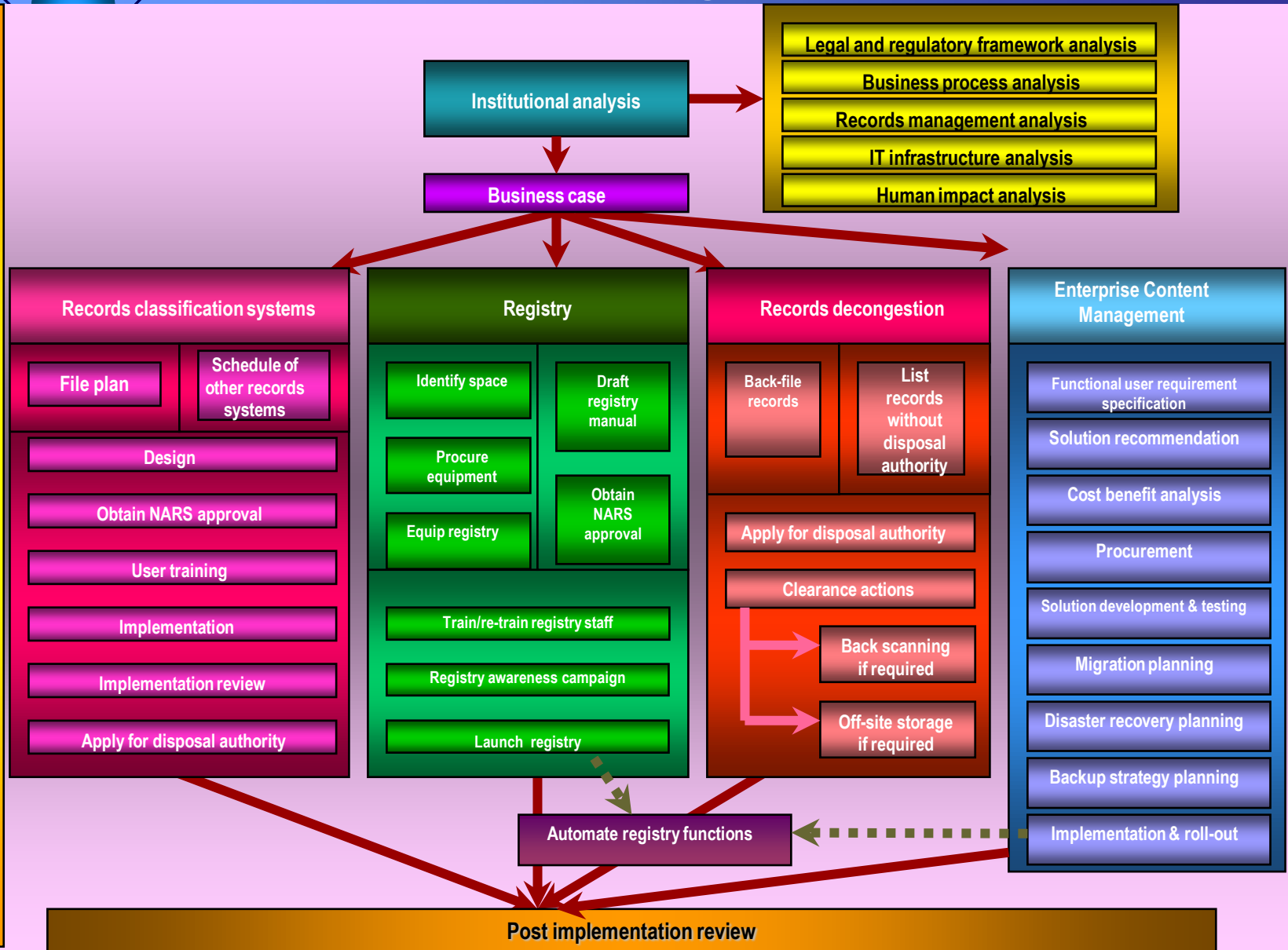


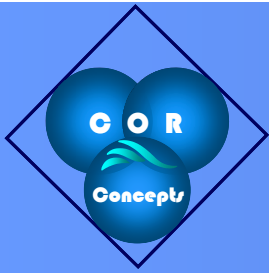
Key elements

- Look at ISO/SANS 15489 for elements which potentially should be included
- Government departments look to National Archives and Records Service (NARS) documentation
- NARS Records Management Improvement Framework



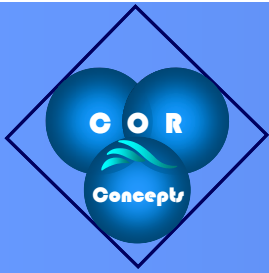
SA NARS Records Management Improvement Programme





Key elements and principles

- **Management & Coordination**
 - Executive commitment is crucial
 - Coordinators must be appointed
 - Multi-disciplinary steering committee
 - Forming key relationships
- **Program development**
 - Must be systematic
 - Users must be consulted
 - The records inventory is a key building block
 - The audit forms a basis for setting priorities, and time lines.



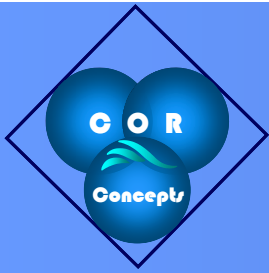
Key elements and principles

- **Content**

- The entire life cycle of records must be considered
- All media types must be included
- Disposition of both originals & copies
- All legal requirements must be included
- Business requirements too!

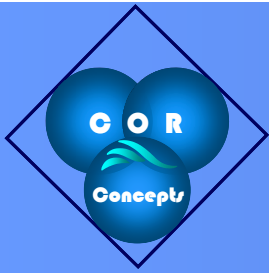
- **Implementation**

- Training, monitoring, revising...
- Change management is critical (more than just training)
- Records holds
- Destruction rules must be followed



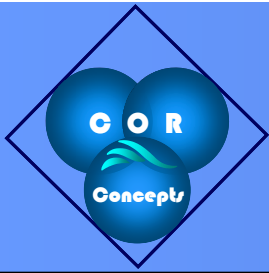
Policy Framework

- **Policy statement:**
 - Describe the programme
 - Appointment of the records manager
 - Description of roles and responsibilities
 - Describing the composition and functions of the records steering committee
 - Requesting cooperation from all staff



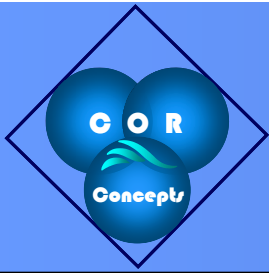
Policy Framework

- What policies exist that impact on records and how do they overlap?
 - The records management policy
 - IT/ICT policies
 - E-Mail policies
 - Internet usage
 - Information sensitivity classification
 - Access control
 - Human Resources
 - Monitoring and interception
 - Promotion of Access to Information
 - Privacy



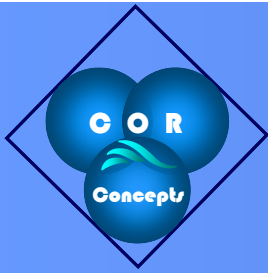
Records management responsibilities

Position	Level of Responsibility
Chief executive	Highest level of responsibility ensuring that organization complies with all requirements for records management as stipulated by law
Senior management	High level of responsibility for ensuring that records management is operating successfully. The Corporate Records Manager belongs at this level.
Managers of business units	Responsibility for ensuring that their staff create and keep records as an integral part of their work and in accordance with established policies, procedures and standards. Provide the necessary resources for the management of records in their business units and liaise with the Corporate Records Manager.



Records management responsibilities

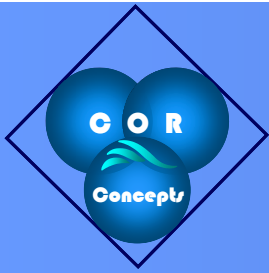
Position	Level of Responsibility
Records managers	Responsible for the operational management of the records of the organisation, reporting to the Corporate Records Manager; may supervise records staff.
Staff with records related duties such as IT and compliance staff	Responsibility to liaise with recordkeeping professional regarding records duties and responsibilities.
Records staff	Responsible for performing day to day records management tasks such as file creation and disposition
All staff	Responsible for creating, receiving and keeping records, documenting the business they perform, responsibility for ensuring that these records are captured into authorised recordkeeping systems
Others	Information officer, security officer, facilities manager



Audit/Capacity check

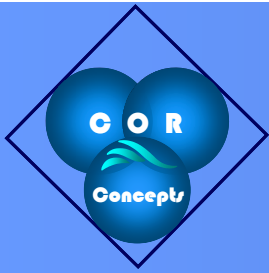


Source: Canadian Archives



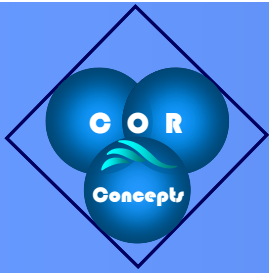
Procedure Framework

- Procedures need to cater for records throughout the lifecycle
- Must cater for:
 - The Records Manager and staff
 - Registry staff
 - Users who handle records
 - Records in all formats
 - Indexing and metadata requirements
 - How to file (paper and electronic)
 - Disposition (transfer and destruction)
 - Vital records



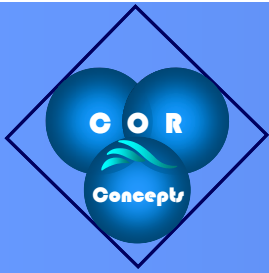
Procedure Framework

- Who will develop the procedures?
- Are there procedural requirements (ie NARS) which must be adhered to?
- How will they be rolled out?
- Who will ensure they are enforced?
- What benefits will users derive from following them?
- What penalties if they don't?



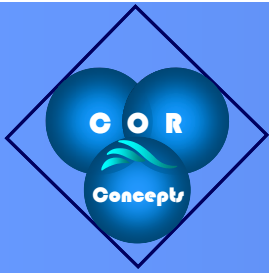
Detailed procedures

- Maintaining the file plan and registers of files opened
- File/folder opening, usage and closure practices
- The allocating of the correct reference numbers to records
- Document flow through processes
- Correct use of paper-based and electronic subject folders
- Correct use of paper-based and electronic policy, routine enquiry and parent files
- Physical care of files
- Back-up and disaster recovery procedures
- Document imaging procedures
- Digital records preservation



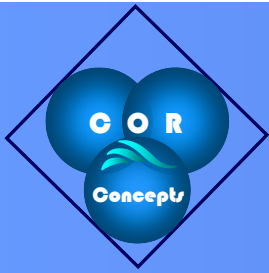
Detailed procedures

- Creation and control of electronic documents?
- Version control?
- Use of templates?
- Storage locations?
- Use of notebooks, and storage of records on C: drives?
- Back-ups (especially for notebooks and desktops)
- Think carefully of procedures that impact on users (ie non-registry staff), and other departments (especially IT)
- Don't develop in isolation.



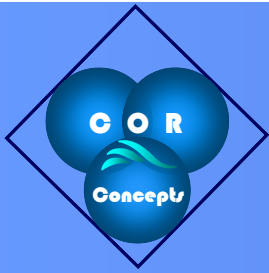
Implementation

- Must follow the policy and procedures
- Requires detailed knowledge of roles and responsibilities
- Training is critical, at all levels, and of all components
- Requires dedicated commitment from the sponsor (CEO)
- Input from multiple disciplines is critical, including Records management staff, users, Heads of Departments, IT, Legal, Compliance
- Staff must understand why they are doing things, and the benefits if we expect them to do it.
- Implementation is not a once-off exercise



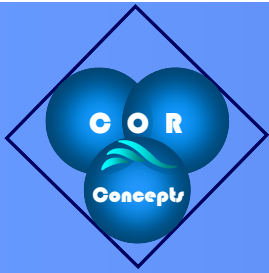
Implementation

- Staff must understand why they are doing things, and the benefits if we expect them to do it.
- Implementation is not a once-off exercise
- Enforcement of policy is critical
- Staff must have the tools to do their jobs
- Communication is key



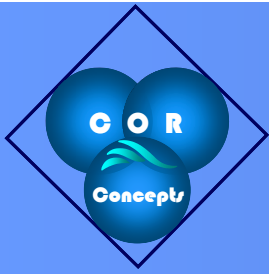
Audits and reviews

- On-going audits and reviews are critical
- The programme is not static
- Must have metrics to measure performance against
- Training never stops
- Consider including records management functions into KPIs, for annual review
- Include Records management in induction programmes



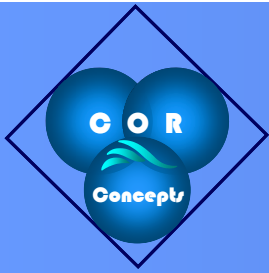
Project Management

- The records management programme must be treated as a formal project
 - responsibilities,
 - Deadlines, and
 - identified resource requirements
- Create an action plan for all activities



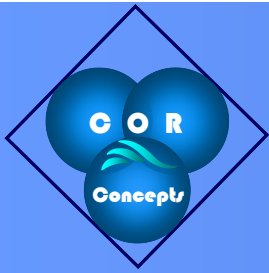
Example of an action plan

Strategic Goal	Objective	Action	Responsibility	Target Date
1 Responsibility and Accountability	To provide a clear system of accountability and responsibility for records	Establish a records management strategy with processes for ongoing monitoring and review		
		Secure senior management 'buy-in' to improving records management, and the designation of a senior manager to be responsible for records management		



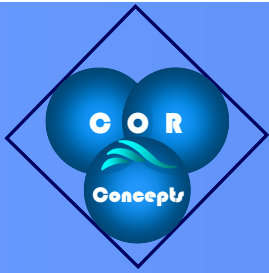
Elements to include in the strategy: For discussion?

- Implementation processes and priorities
- Policies
- Legal and compliance universe – legislation, regulation, standards and policy
- Risk management
- File plan/other schedules
- Security classification
- Security implementation – of physical and electronic records
- Access, index and search
- Staffing
- Program champion
- Records Manager
- Other records staff
- Steering committee



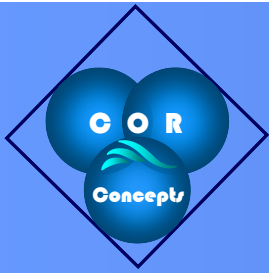
Elements to include in the strategy: For discussion?

- Communication and change management
- Training
- Inventory
- Records Centres (own and outsourced)
- Infrastructure and quality controls
- Transfer forms and procedures
- Retrieval requests and processes
- Use of Outcards?
- Retrieval authorization
- Labels and indexing
- Departmental filing areas
- Retention Schedules
- Records destruction/disposition
- Destruction authorization
- Certificates of destruction
- Confidential records destruction
- Records hold



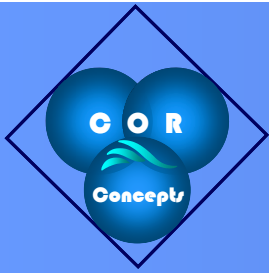
Elements to include in the strategy: For discussion?

- Micrographics/Quality control
- Micrographics service requests and specification sheets
- Logs and registers
- Imaging/Quality control
- Imaging service requests and specification sheets
- Vital records
 - Identification of vital records
 - Vital records analysis
 - Vital records protection and retention
 - Vital records retrieval and reconstruction
- Audits
- Custodianship



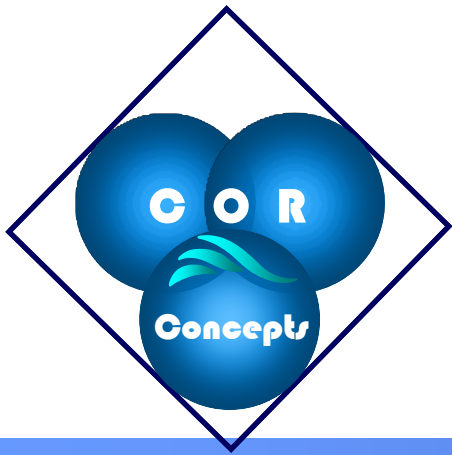
Elements to include in the strategy: For discussion?

- Copies, loans and reprographics
- Forms management
- Intellectual property
- Physical preservation
- Archives management
- Ongoing reviews and improvement
- Preservation
- Database records
- Back-up
- Business Continuity/disaster recovery

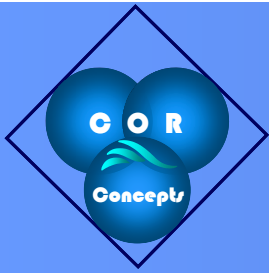


Elements to include in the strategy: For discussion?

- Software implementation and use
- Metadata
- Portals
- Imaging
- Office documents
- E-Mail
- Internet
- EDRMS
- Workflow
- Audio visual records



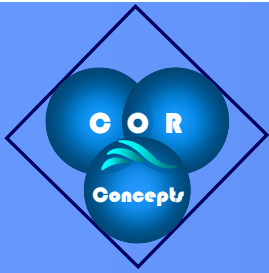
Change & Communications Management



What is change management?

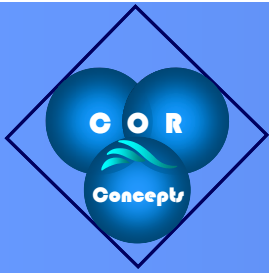
The art and human science of enabling your organisation to make the transition from an old way of operating to a new way of doing particular things, and making that transition as painless and comfortable for staff as possible.

Managing change means managing people's approach to their work - not easy, but essential to ensuring real and lasting benefit.



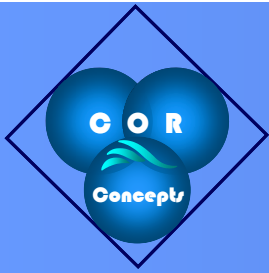
Goals of change management

- effective management of user education and training to increase acceptance of the records management programme,
- completed transition from old methodologies of work to new methods that incorporate the programme
- Policies implemented and procedures imbedded in the corporate culture/ethos



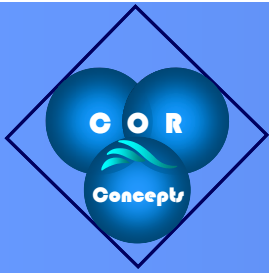
Building blocks for effective change

- **Awareness** – of why the change is needed
- **Desire** – to support and participate in the change
- **Knowledge** – of how to change
- **Ability** – to implement new skills and behaviors
- **Reinforcement** – to sustain the change



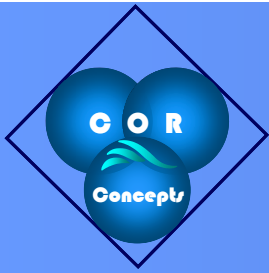
Change management tools include

- **Training**
- **Marketing (Getting the message across)**
- **Mentoring**
- **Communication campaign**
- **Development of tools, forums to share experiences and learning**
- **the re-engineering of business processes to allow them to take optimal advantage of the change.**



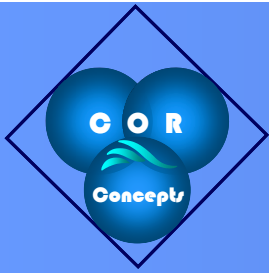
Discussion

- Who are the change agents, advocates and adversaries in your organisation?
- What tools, resources can you use?
- What is the current culture for change like in your organisation?



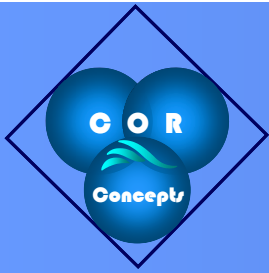
Workshop: Your change strategy

What is the scope of the change?	
How many people will be impacted?	
Who will be impacted?	



Workshop: Your change strategy

What will be changed - processes, systems, job roles, etc?	
What groups/departments will be impacted?	
Will all people be impacted the same ?	
What is the timeframe for the change?	

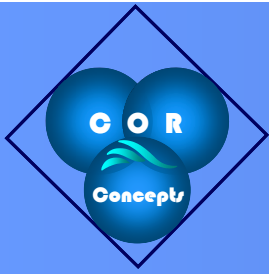


Workshop: Your change strategy

What is the perceived **need** for this change among employees and managers?

How have **past** changes been managed?

Is there a shared **vision** for the organization?



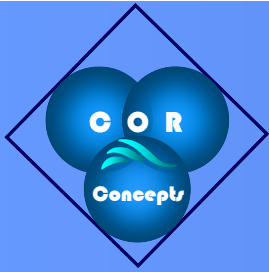
Workshop: Your change strategy

How **much** change is going on right now?

What **risks** do you foresee?

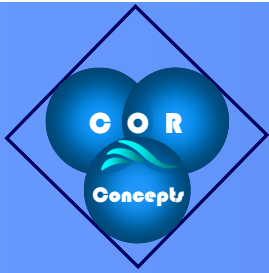
What **resistance** do you anticipate – from where?

What **special tactics** can you use?



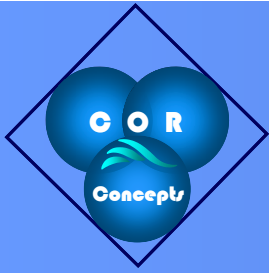
Communicating the programme

- Must link the programme to the goals of the organisation
- Must understand and communicate the benefits
- Must have the **VISIBLE** backing of the CEO
- Must speak the language of the organisation (NOT records management language)
- Work with IT
- Identify and work with change agents (people who get things done)



Communications plan template

Project Phase	Comms. Tactic	Dept. or Group 1	Dept. or Group 2	Dept. or Group 3	Dept. or Group 4
1 Conception 2 Initiation 3 Launch 4 Pilot 5 Rollout 6 Maintenance	Voice	Who are these various groups?			
	Message		What should you be saying to them?		
	Medium			How best to reach them?	
	Audience				Who in the groups?



Questions? Discussion

