


AFOA Conference

How to Conduct a RIM Situational Analysis

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Agenda

1. Introduction
 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
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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 or records as assets
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Situational Analysis

- What is it ? (ToC)
 - Related documents: business cases, IM capacity assessments, requirements analyses, etc.
 - Underpinning for IM program and policy frameworks, classification schemes, IM procedures, IM business rules, EDRMS plans and specifications etc.
 - Why do it ?
 - Approaches
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2. Establishing RIM Program Vision

- Many sources:
 - Legislation
 - Internal plan/policy/mandate/bylaw
 - Standards e.g. ISO 15489
 - Managerial imperative
 - Outcome of previous Situational Analysis or study




3. Situational Analysis



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- 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'
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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.

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- 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.
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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 or unaffordable
 - Recommendations were organized in a chronological Action Plan, which must also therefore be justified
- If anyone disputes or disregards your Action Plan:
 - Your writing was not clear, or
 - People do not care whether your RIM program succeeds.

5. Conclusion

- Situational Analyses are a great way to identify, prioritize, justify and promote elements of or your entire 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 learn about the detailed business practices of your organization, and for staff 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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