


Canadian Records Management Summit – Calgary, Alberta
February 21-24, 2006

From Planning to Implementation:


How to Ensure Implementation Project Success



Outline

- ▶ Introduction
- ▶ What Makes RIM Programs Successful?
- ▶ Steps to Implementation
- ▶ How to Determine Implementation Readiness
- ▶ Go!
- ▶ Summary of Key Points


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Introduction

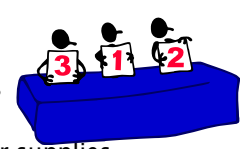
- ▶ Difference between RM and RIM
- ▶ Why implement RIM programs?
- ▶ Why is implementation so difficult for so many organizations?
- ▶ Start at the beginning with the end in mind

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Why RIM Programs Don't Succeed

- ▶ Management problems
- ▶ Human problems
- ▶ Inefficient filing procedures
- ▶ Poor use of equipment
- ▶ Improper equipment and/or supplies
- ▶ Inefficient use of space
- ▶ Excessive records costs



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Successful RIM Programs

- ▶ Include *ALL* staff, all phases
- ▶ Continuous improvement to systems
- ▶ Up-to-date with filing
- ▶ Educate and educate again!
- ▶ Audit
- ▶ Work towards program intent *ALWAYS*

Step 1: Needs Assessment

- ▶ Collect data - previous assessments, available literature, org charts, file lists, what is/should be, etc.
- ▶ Ask questions - fact finding interviews
- ▶ Prepare a table to summarize needs (Figure 1)



Figure 1

<u>What does the organization do now?</u>	<u>What does the organization need?</u>	<u>How will having this improve RIM for the organization?</u>
Uses old space-inefficient vertical cabinets	Space efficient lateral end-tab filing equipment	More efficient use of space
Uses top-tab legal size file folders	End-tab letter-size file folders	More efficient file retrieval
Everybody does their own thing with filing	Records classification system	Consistent method of classifying records across the organization

Step 2: Analyze Your Data

- ▶ Needs assessments don't provide diagnosis
- ▶ Needs assessments do not identify the "root" of the problem(s)
- ▶ Conduct diagnosis by analyzing your data
- ▶ Handout 1 - Analyze Your Data

Analyze, Analyze, Analyze

- ▶ Break down the “whole” into “parts”
- ▶ Need to look at:
 - Issue
 - Evidence
 - Possible Causes
 - Other Relationships and Impacts
 - Organization’s Potential to Resolve the Issue (Low, Moderate, High) *



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Example Issue

- ▶ ISSUE: Inconsistent filing standards across the organization
- ▶ EVIDENCE: Different departments use different filing systems – e.g., alphabetic, numeric, block numeric, other...

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Example Issue: Inconsistent filing standards (continued)

- ▶ POSSIBLE CAUSES: Lack of knowledge, lack of training, no organization-wide records contact, etc.
- ▶ OTHER RELATIONSHIPS/IMPACTS:
 - Lack of staff to maintain files,
 - Inexperienced staff,
 - Not in my job description,
 - Other?

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Example Issue: Inconsistent filing standards (continued)

- ▶ ORGANIZATION’S POTENTIAL TO RESOLVE THE ISSUE:
 - L/M/H – identify the potential!
 - How can the organization resolve the issue?
 - Set policy for RIM
 - Train staff
 - Make budget to set up a RIM program
 - Hire Corporate Records Officer

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Step 3: Synthesize Your Data

- ▶ Put the “parts” back together again
- ▶ Past experience, Gap, SWOT, forced relationships, brainstorming, etc.



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Example: SWOT

- ▶ Strengths, Weaknesses, Opportunities, Threats
- ▶ Build two matrices:
 - Strengths/Weaknesses + Opportunities
 - Strengths/Weaknesses + Threats
- ▶ Handout 2 – Synthesize Data using SWOT

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Step 4: Prioritize

- ▶ Based on synthesis
- ▶ Based on organization’s ability to resolve the issue (L/M/H)
- ▶ Brainstorm with staff for other ideas
- ▶ Set up Priority Project/Justification guide based on risks, conditions and future ...

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Prioritize –Risks

- ▶ Identify the risks involved for each solution – e.g.,
 - The solution has never been used before.
 - Some employees will probably be against it.
 - The real investment and/or operating costs may be higher than foreseen.
 - Etc.



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Prioritize – Conditions

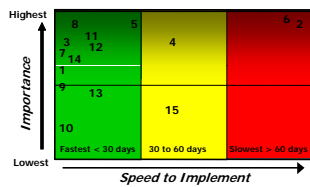
- ▶ Discuss the conditions the organization must create and maintain – e.g.,
 - A high discipline in classifying all records will be needed.
 - Maintenance has to be improved.
 - A Corporate Records Office must be created.
 - Etc.

Prioritize – Future

- ▶ Focus on future perspectives – e.g.,
 - The solution proposed does or does not anticipate future developments such as an EDRMS.
 - How will government legislation impact the organization's records keeping?
 - What is the organization's overall efficiency now vs. the future? Can we improve?
 - Etc.



Prioritization Matrix



Step 5: Ready or Not?

- ▶ How do you know if your organization is ready to *accept* an implementation project?
 - Executive approval
 - Implementation plan approval



The Implementation Plan

- ▶ Each implementation “project” should be detailed in a separate implementation plan
- ▶ Examples of implementation “projects:”
 - Classification system design
 - RIM procedures, policy, guidelines
 - EDRMS implementation
 - Etc.

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Write the Implementation Plan

Include such topics as:

- ▶ Software requirements
- ▶ Training requirements
- ▶ Communications plan
- ▶ Change management plan
- ▶ Budget requirements
- ▶ Schedule for implementation
- ▶ Business readiness evaluation



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Is the Organization Business-Ready?

- ▶ The business readiness assessment will help determine if your organization is ready to accept the project
- ▶ Conduct separate business readiness assessments for each department

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Business Readiness Assessment

- ▶ Determine level of readiness for each factor being assessed:
 - 3 = Full Ready
 - 2 = Partially Ready
 - 1 = Planning to Do
 - 0 = Forgot to Do
- ▶ Combine this with level of importance assessment ...

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Business Readiness Assessment

- ▶ Determine level of importance for each factor being assessed:
 - **H or M** PLUS level of readiness of **1 or 0** = the affected business area has NOT made the required effort to get ready
 - **H or M** PLUS level of readiness of **3 or 2** = the affected business area HAS made the required effort to get ready
- ▶ Example factors

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Example BR Factors

- ▶ Does the affected business area clearly understand and agree with the business process changes that are required in order to accommodate the new or changed system functions?
- ▶ Has an implementation plan been prepared that identifies the various activities, timeframes and resources?
- ▶ Have all new staff roles and responsibilities been defined and approved?
- ▶ Has the necessary hardware and software been installed in the affected department?
- ▶ Is the department ready for implementation?
- ▶ Etc.....

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GO!

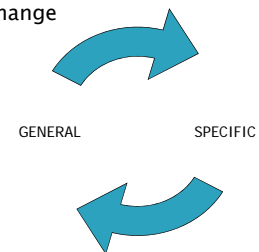
- ▶ Cognitive Dissonance
- ▶ “Take time to plan your work, then take time to work your plan”
- ▶ Monitor implementation
- ▶ Adjust where necessary
- ▶ Be smart about change!

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Change Management

- ▶ Best Method
 - Identification of change
 - Internalization of change



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Change Management

- ▶ Spaced practice
 - “Quick and often”
 - Introduce new methods in a short period, ample rest periods
 - Provides better learning than “continuous practice”

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Change Management

- ▶ Rehearsal, rehearsal, rehearsal!
- ▶ Facilitate new learning by having learner in an “anxious” state rather than a “comfortable” state – don’t start from what they know!
- ▶ Set demanding goals but respect the “absorptive capacity”
- ▶ Reinforce learning through evidence & feedback

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Key Points

- ▶ Include ALL staff in the RIM program
- ▶ Obtain Executive approval/support
- ▶ Analyze your data
- ▶ Synthesize your data
- ▶ Prioritize your projects
- ▶ Prepare implementation plan
- ▶ Assess business readiness
- ▶ Manage change

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