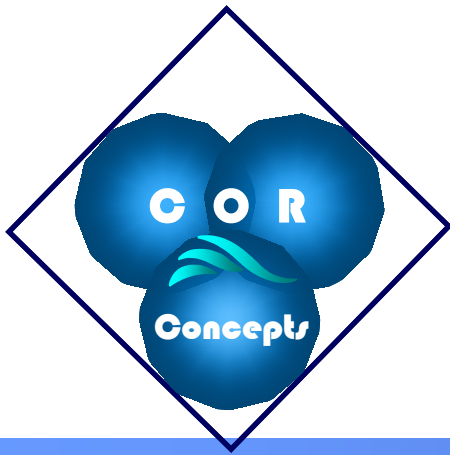


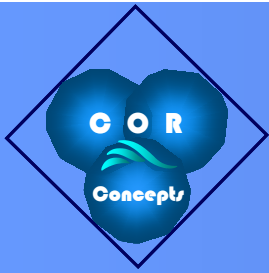


CREATING THE RECORDS MANAGEMENT IMPERATIVE

KZN Provincial Archives
Records Management conference
January 2012

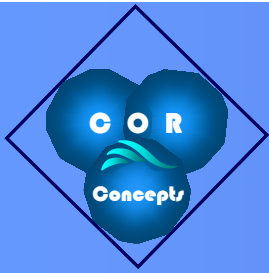
Paul Mullan
COR Concepts
0832736087

paulm@corconcepts.co.za



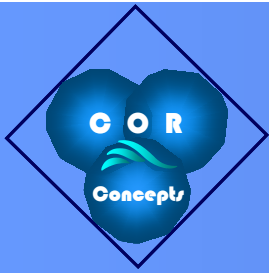
Agenda

- Understanding why records management often has low priority in organisations
- Identifying the key reasons for proper records management in your organisation
- Linking records management to key strategic drivers
- Creating an awareness and communications plan
- Weapons, tools, allies and co-conspirators to be used.



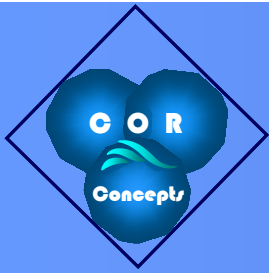
First – some questions

- How many of you have implemented a records management programme?
- How many had difficulties in getting:
 - Management commitment?
 - The resources you needed?
- Why do you think this was the case?
- What was the impact on records management?



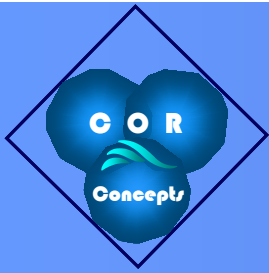
Why does records management have low priority?

- It is not in the strategic plan for the organisation
- The CEO/DG/HOD doesn't think it is important
- "There are better, more important things to do!"
- "We've tried before and users found it was a pain without any real benefit"



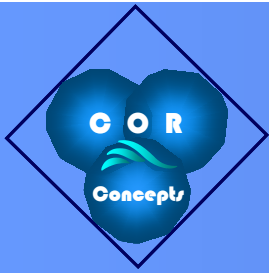
Why does records management have low priority?

- “We are not in the business of records management”
- “We can get by without it – we always have!”
- Risks of not doing it are lower than the costs of implementing it properly
- My manager (or I) don’t have the right influence/authority in the organisation



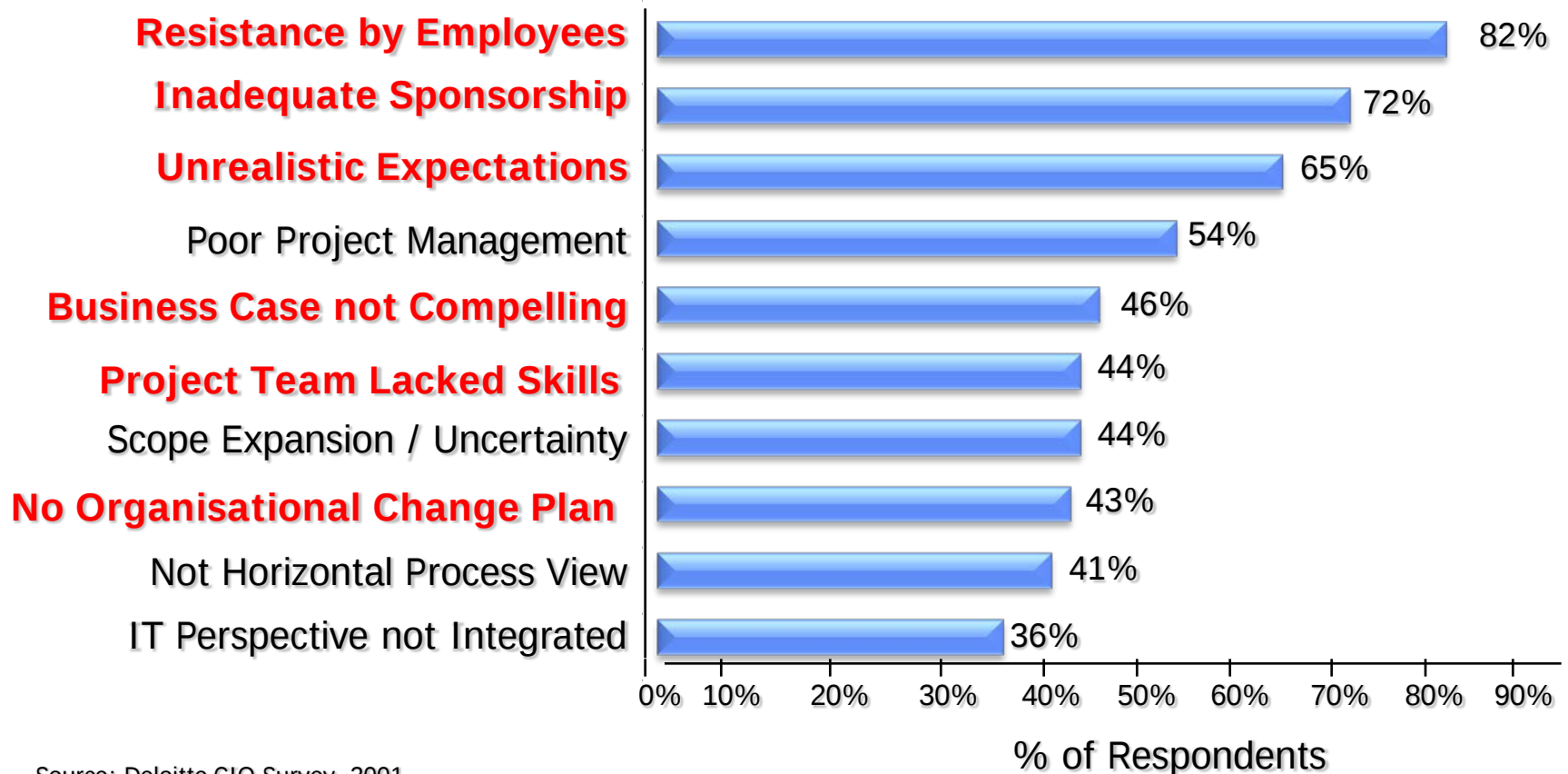
Why does records management have low priority?

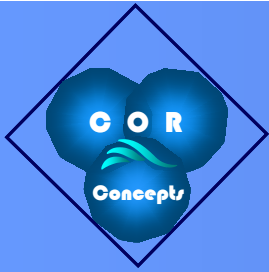
- Penalties of not doing it are lower than the costs of implementing properly
- Benefits are not understood or aren't worth the cost
- The organisation doesn't understand Records management
- “We have an archive – why do we need records management?”



The top 10 reasons why projects fail

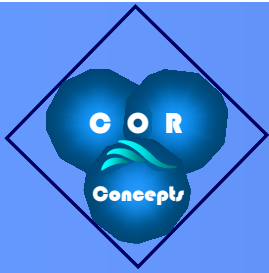
Change Management Addresses Six of the Top 10 Project Challenges.





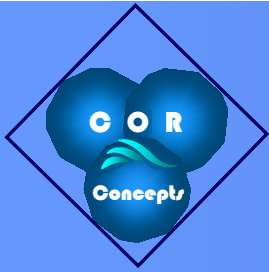
Reasons why records management fails

- Inadequately trained and/or inexperienced records managers
- **Failure to identify, set and manage benefits and expectations**
- Poor leadership at any and all levels
- Failure to adequately identify, document and track requirements (No strategy?)
- Poor plans and planning processes



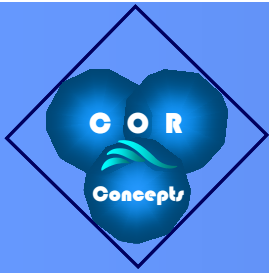
Reasons why records management fails

- Poor effort estimation
- Cultural and ethical misalignment
- Misalignment between the records management team and the organization it serves
- Inadequate or misused methods
- Inadequate communication, including progress tracking and reporting



Why is it so important?

- Major reasons to implement a proper records management programme:
 - It is essential if you are to live the values of your organisation
 - It is a legislated requirement (PAIA, PFMA, NARS...)
 - Records are information assets. Good governance (King III) requires proper management of assets.
 - Records are required for evidence and accountability
 - Most Importantly – Records Management is essential to a well run, efficient organisation

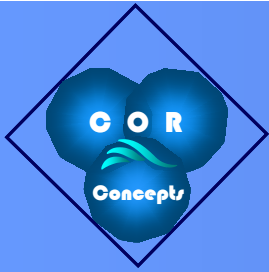


Benefits to the Organisation

Potential Benefits from implementing proper records management include:

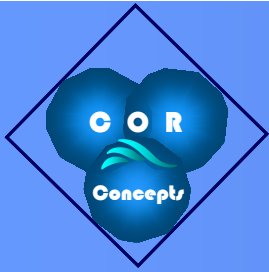
- greater assurance of legal compliance to minimize liability and discovery impacts
- improved staff productivity with effective records management systems
- ease of finding information
- reduced storage costs through elimination of unnecessary and duplicate documents
- ensured safety of vital organizational records
- efficient, cost-effective records retention and disposal system

**Benefits should be not be treated in isolation
They must be aligned to the corporate strategy
They must mean something to the executive team**

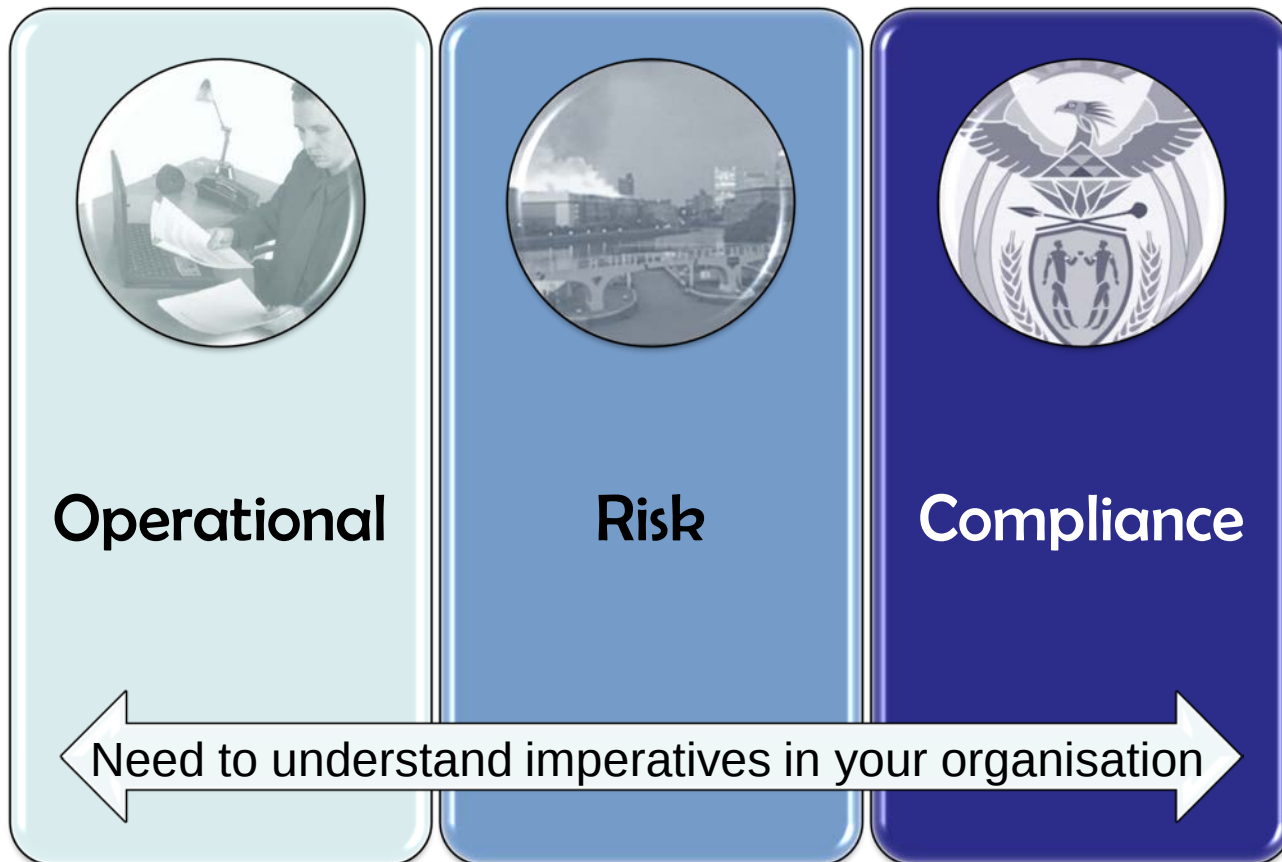


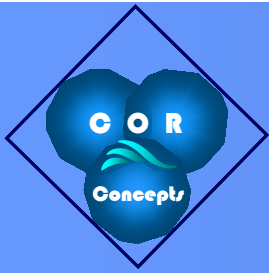
Reasons to implement records management

- Business reasons (Benefits)
 - Operational efficiencies
 - Ability to find information etc
- Reduction of risk
- Meet compliance requirements



Identifying records management imperatives





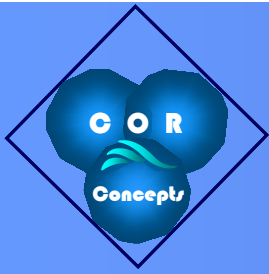
Business Reasons to implement: Typical scenario

- Policies, procedures and practices are in contravention of the law
- Everybody files their own information – in their own way.
- Uncontrolled and increasingly difficult to find.
- Implementation & standardisation across the organisation is important to ensure compliance (and ability to find information)

NARS Act

Heads of governmental bodies must ensure that all records under their control are stored and filed in a systematic and orderly manner.

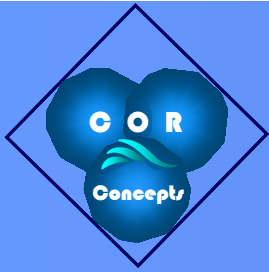




Business reasons to implement: Typical scenario

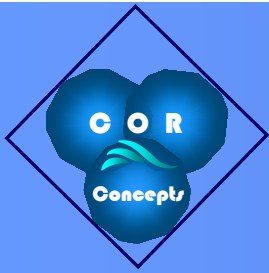
- Records now exist which are taking up valuable space:
- Paper and electronic filing is inconsistent
- Important communications are at risk
- Current practices do not meet audit requirements

Heads of governmental bodies responsible to ensure that a written disposal authority is issuedin respect of all records in all formats in their custody before any records are destroyed, deleted



Business reasons to implement: An example

- Customer service is important to most organisations.
- Batho Pele is key to Government
- How can records management assist with Batho Pele?



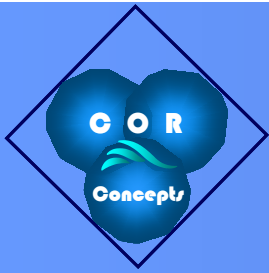
Records Management & Batho Pele

Consultation

- Citizens have the right to quality services
 - Not possible without availability of accurate up-to-date information

Service standards

- Citizens need to receive the same level of service wherever they go
 - Staff needs access to all correspondence to be completely informed and provide a holistic service



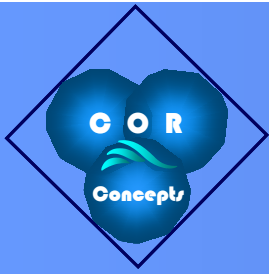
Records Management & Batho Pele

Access

- Citizens have the right to access to services
 - Not possible without availability of accurate up-to-date information

Courtesy

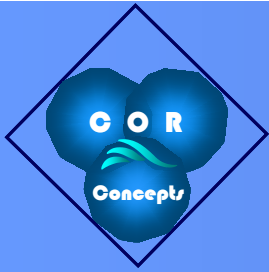
- Citizens have the right to be treated with respect
 - Staff are often rude and behave badly because they do not have the right tools and access to the right information to be able to serve the citizens properly



Records Management & Batho Pele

Providing information

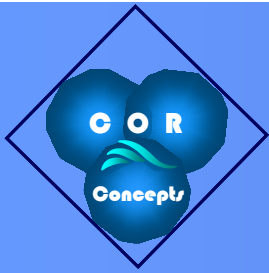
- Citizens should be given full, accurate information about the public services they are entitled to receive
 - Not possible without availability of accurate up-to-date information
 - Systems to capture, manage and preserve the information should be in place
 - Information about all services provided should be available to all staff to enable them to provide correct information



Records Management & Batho Pele

Openness and Transparency

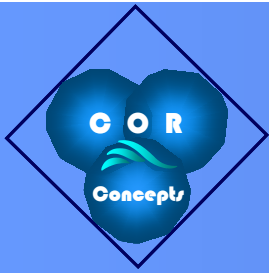
- Citizens have the right to know how government operate and how it uses its resources
 - Without the availability of information there is no openness and transparency
 - Systems to capture, manage, preserve and disseminate information should be in place



Records Management & Batho Pele

Redress

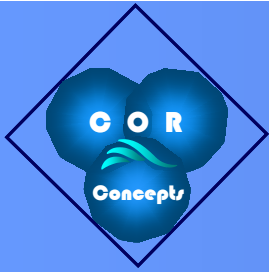
- Problems should be addressed quickly and accurately when service standards falls below the acceptable level
 - Not possible without availability of accurate up-to-date information and a proper audit trail to follow up when things go wrong
 - Systems to capture, manage and preserve the information should be in place
 - Immediate access to correct information will lead to rapid resolution of problems



Records Management & Batho Pele

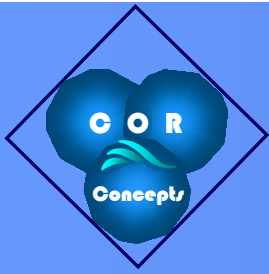
Value for money

- Public service delivery improvement should reduce cost
 - Services are delivered with the taxpayers money
 - Accountable for how the money is used
 - Money wasted on
 - searching for information that are not kept in proper records management systems
 - providing incorrect or insufficient information



Records management supports Batho Pele

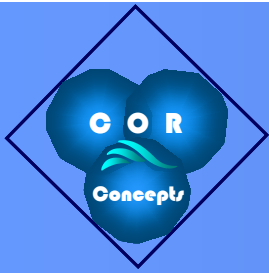
Do you have the
authentic, reliable and trustworthy records
needed to sustain quality service delivery?



Legal reasons to implement

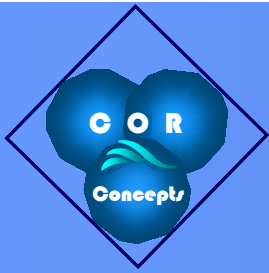
National Archives requirements

- Formulate and implement a *records management policy* and related *records management procedures*
- Designate a *records manager* to take responsibility for records management in the office
- Attend *training sessions* offered or approved by NARS
- Compile and maintain *approved records classification system(s)* for paper-based and electronic records
- Manage electronic correspondence systems, e-mail and websites with an *Integrated Document and Records Management Solution*



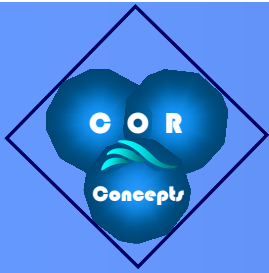
Legal reasons to implement Cont../

- Create a retention schedule and implement *systematic disposal programmes* to reduce storage cost involved in storing records no longer required
- Keep all records in *safe custody*
- Inspect sub-offices to ensure that sound records management practices are followed
- Ensure that *staff are trained* to apply the proper procedures to facilitate sound management of records
- *Train creators of records* to allocate file reference numbers/subjects to records according to an approved classification system.

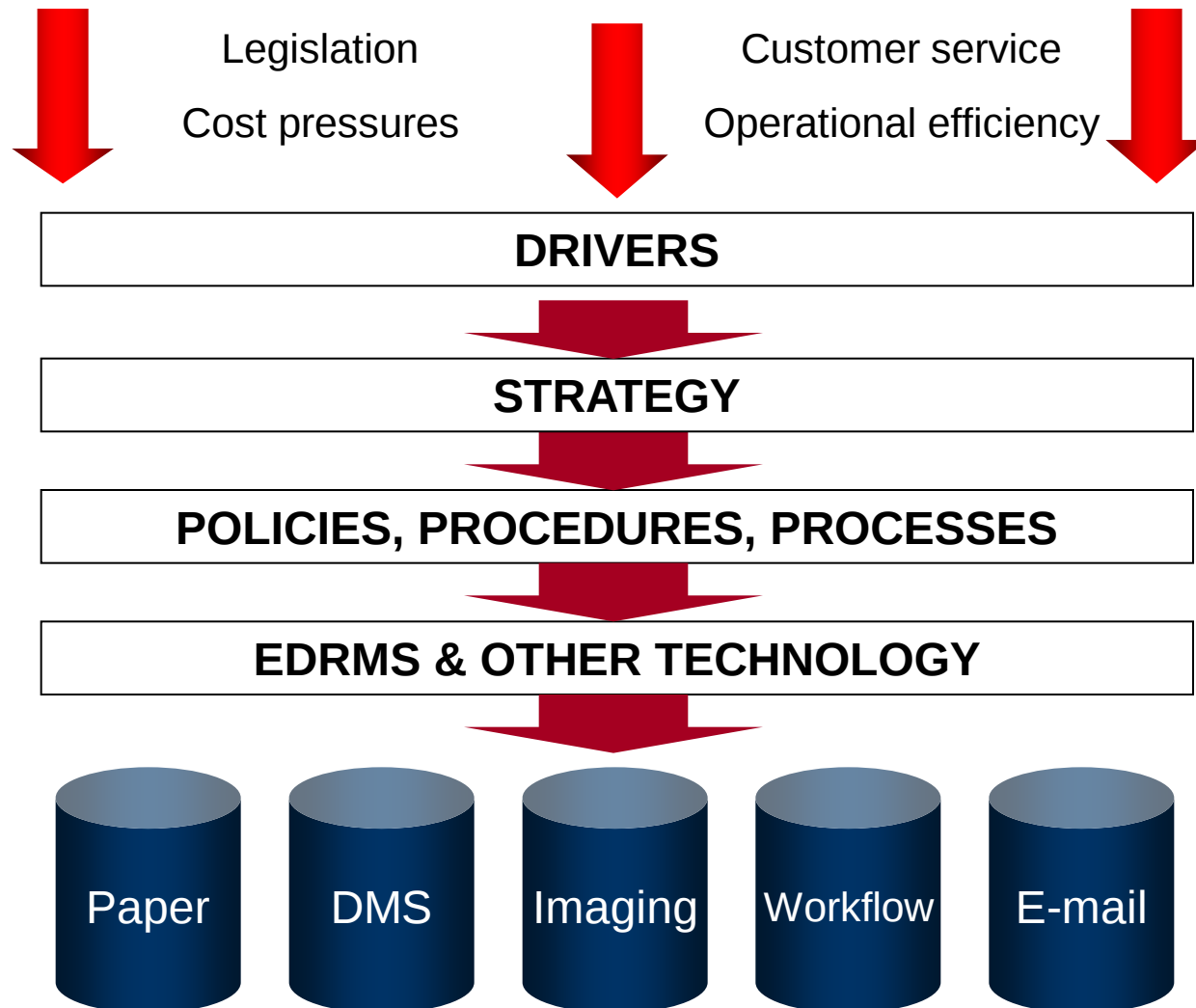


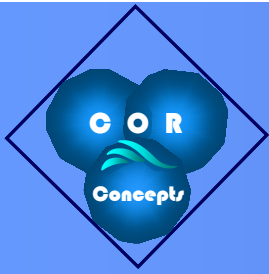
The Risk perspective

- Risk Management is a key aspect of corporate governance (especially with King III)
- Business continuity
- Protection of company assets
- Operational risk, dependent upon internal processes, people and systems, plus external events
- Much of operational risk becomes exposed through documents and records
 - High value, low volume records
 - Low value, high volume records
- Increased risk from non-traditional areas (e-mail and electronic documents)



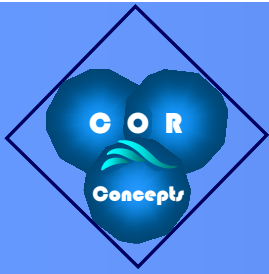
Developing your imperatives





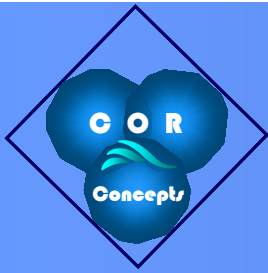
Developing your imperatives

- Start with the annual report and strategy plan
- Extract the key organisation drivers
- Think how records management can assist the function/department
- Find out who is responsible and think how this causes them pain/sleepless nights.



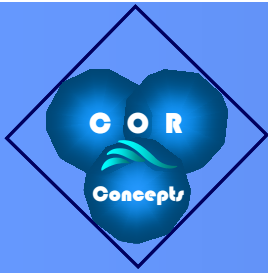
Developing your imperatives

- Think how records management can assist THEM achieve their goals
- Draft a matrix.
- Use the input as guidance into your records management strategy and communications plan



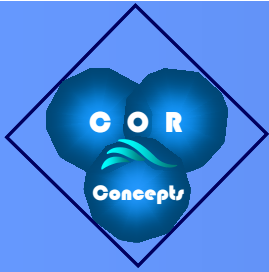
Linking strategy to Corporate objectives

STRATEGIC GOAL	Records Management Programme Benefits
Regulatory compliance	• Compliance to NARS Act • Assist with compliance to PFMA, PAIA, etc • Assist with compliance to POPI, Companies Act, and other new laws • Assist with compliance to King III • Assist with compliance to organisation specific legislation • Assist with compliance to MISS • Help with clean, unqualified Audits
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 • Meet Batho Pele requirements
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



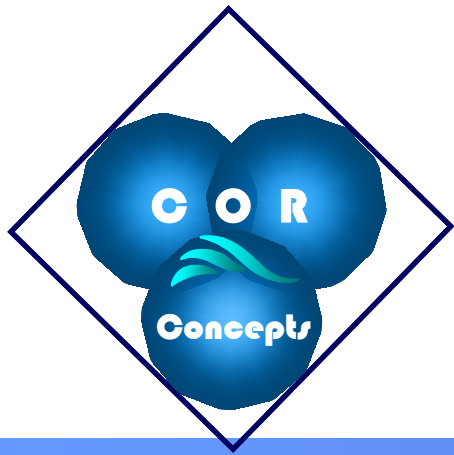
Linking strategy to Corporate objectives

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

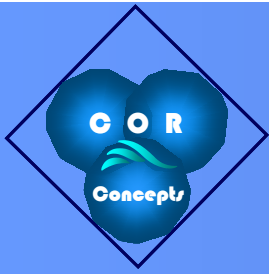


Communicating the programme

- Must link the programme to the goals of the organisation
- Must understand and communicate the benefits (Extract from the strategy matrix)
- 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)

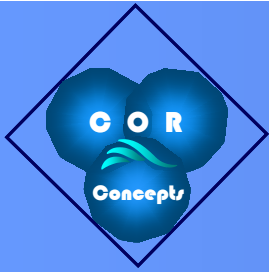


Building a communications plan



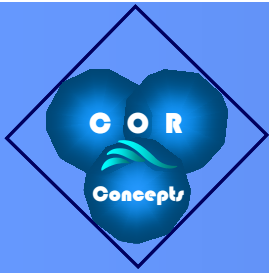
Elements

- Voice
- Medium
- Message
- Audience level
- Target groups (Different priorities, needs requirements)
- Stage of the project



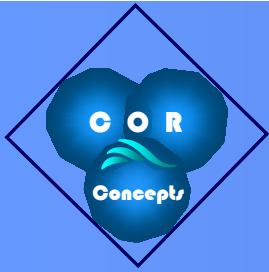
The Voice

- Who are the voices?
- At what stage?
- Credibility and authority
- See which Weapons, tools, allies and co-conspirators you can use.



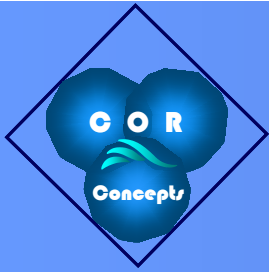
Mediums and tools

- Executive briefs
- Multi-disciplinary steering committee communiqués
- One-on-one meetings
- Departmental meetings
- Formal training sessions
- E-based or web cast training on the intranet
- Hand-holding and mentoring
- Training and procedures manuals
- Regular information forums
- Internal communication avenues such as intranets and portals
- Internal magazines
- E-mail reminders
- Presentations at external industry forums in the form of a case study and subsequent internal communication
- Use of external consultants



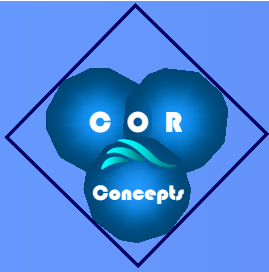
The message (Examples)

- Rationale and Vision for the programme
- Overall costs of the programme
- The current situation (supported with photographs) with a vision of the future
- Organisational impacts and benefits
- Risk and evidential weight considerations
- Compliance and corporate governance
- Records as a corporate asset
- Use of e-mail and other electronic record keeping tools
- Creating a sense of urgency and importance
- Effect on specific departments
- Roles and responsibilities
- Staffing implications
- Effect on processes



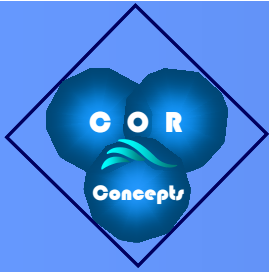
Audience level

- The Board
- Management
- Staff
- IT



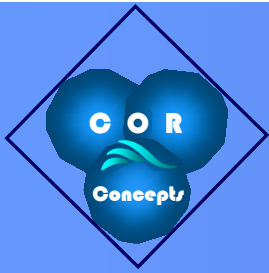
Project phases

- 1 Conception
- 2 Initiation
- 3 Launch
- 4 Pilot
- 5 Rollout
- 6 Maintenance



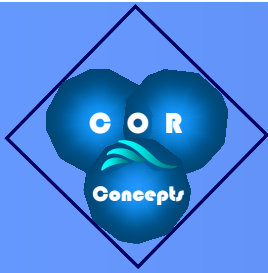
Different Departments or Groups

- May have different requirements
- Some may already be managing records well
- Some may have high priority
- Others really don't care
- Some may not be affected
- Need to tailor the message to each.



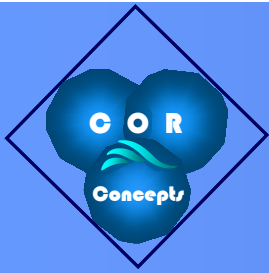
Communications plan template

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				
	Message				
	Medium				
	Audience				



Communications plan

Project Phase	Communication tactic	Priority 1 Departments <i>Add list of departments</i>	Priority 2 Departments <i>Add list of departments</i>	Priority 3 Departments <i>Add list of departments</i>	Priority 4 Departments <i>Add list of departments</i>
Project initiation	Voice	CEO and Records manager. Needs to be a strong, consistent and coherent message	CEO and Records Manager. Needs to be a strong, consistent and coherent message	CEO and Records Manager. Needs to be a strong, consistent and coherent message	CEO and Records Manager. Needs to be a strong, consistent and coherent message
	Message	Project scope, status and expected timings Benefits of project. Emphasis that the process of doing it correctly is critical. Advance Notification of interviews and expected participation	Project scope, status and expected timings Benefits of project Emphasis that the process of doing it correctly is critical. Advance Notification of interviews and expected participation	Project scope, status and expected timings Benefits of project. Emphasis that the process of doing it correctly is critical. Advance Notification of interviews and expected participation	Project scope, status and expected timings Benefits of project. Emphasis that the process of doing it correctly is critical. Advance Notification of interviews and expected participation
	Medium	One on one meetings	One on one meetings	e-mail briefing	e-mail briefing
	Audience	Senior mgmt, middle management and all staff	Senior mgmt, middle management and all staff	Senior management, middle management and all staff	Senior management middle management and all staff



Communications plan

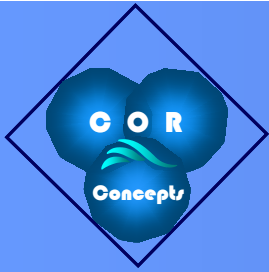
Project roll-out

Development of posters in conjunction with Communications department. A number of posters to be developed, with the following suggested key messages. The voices to be appropriate to the message (ie Group Risk to be the voice for Risk etc):

- 1.Compliance
- 2.Risk management
- 3.Documents and records as corporate assets
- 4.Benefits of doing it properly
- 5.Benefits of consistent platforms
- 6.Knowledge management

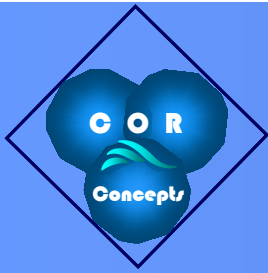
Development of portal/intranet space for all information regarding the project to those who need it. With FAQs.

Development of open communication channel for those who need to participate and who may have concerns or contributions.



What phase are you at?

- Programme initiation
- Policy Development
- File Plan development
- Procedures development
- System selection and procurement
- Implementation
- Training
- Reviews



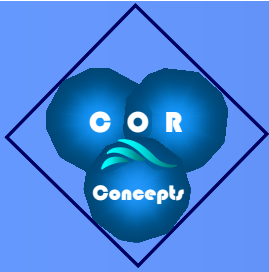
Populate the template for your particular phase.

Project Phase	Communication tactic	Priority 1 Departments <i>Add list of departments</i>	Priority 2 Departments <i>Add list of departments</i>	Priority 3 Departments <i>Add list of departments</i>	Priority 4 Departments <i>Add list of departments</i>
Your current phase	Voice				
	Message				
	Medium				
	Audience				

Choose two priority departments:

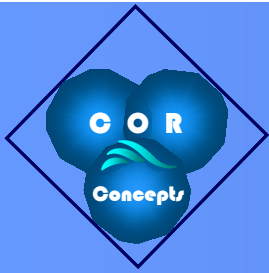
1. Those that will be really reluctant to move to the new platform
2. One that are itching to move forward

Anticipate the problem children



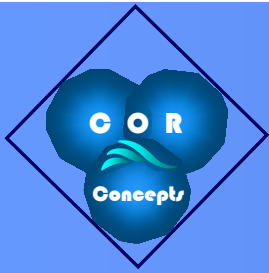
Remember – it is all about change





Who needs to change?

- Management at all levels?
- Records management staff (including the records manager?)
- Users, records creators

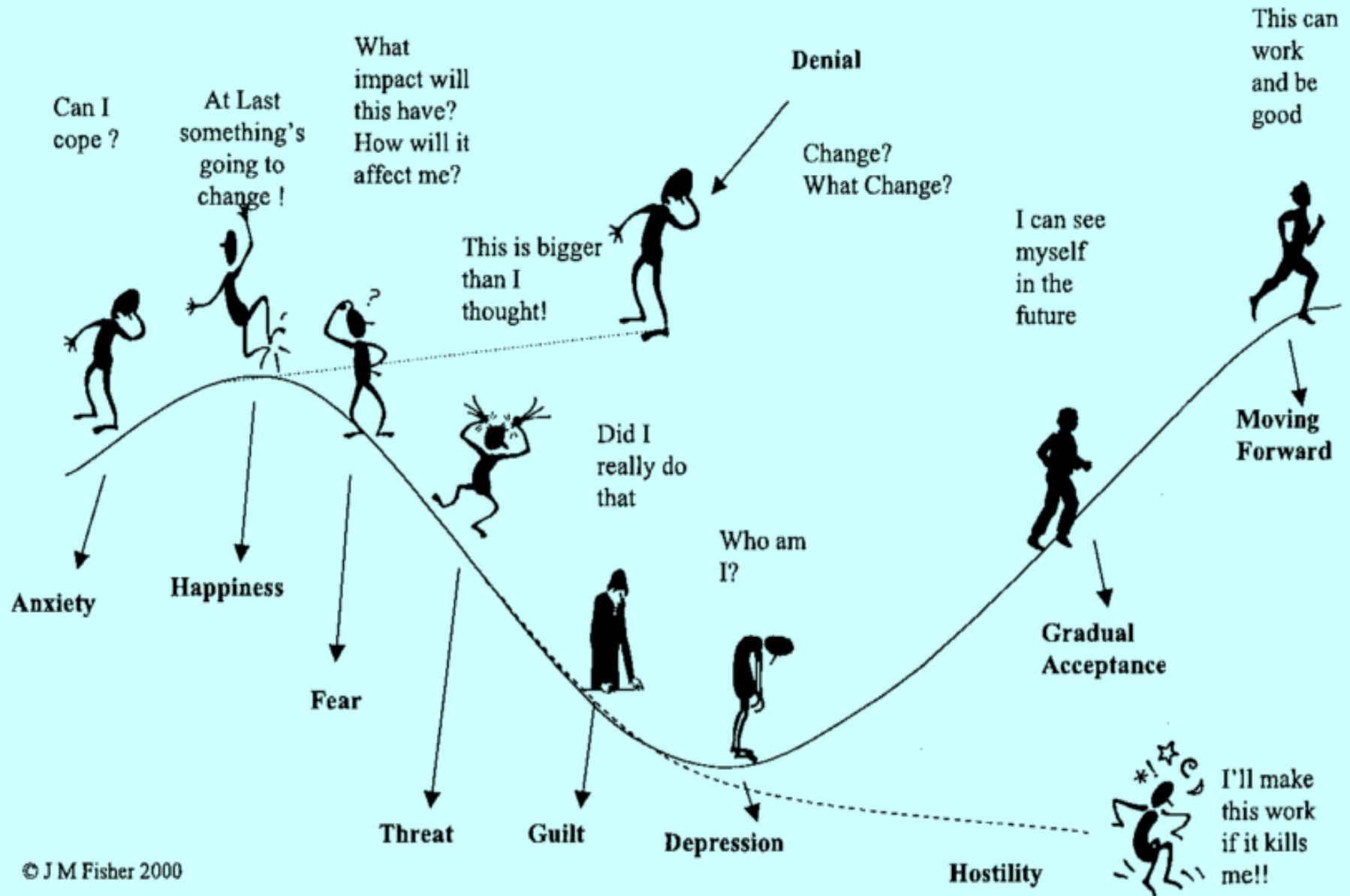


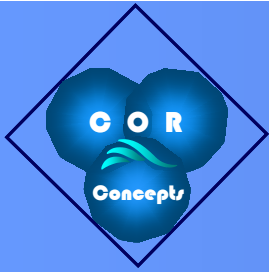
What is change management?

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.

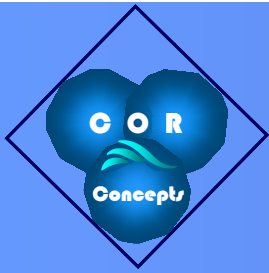
Managing change means managing people's approach to their work - not easy, but essential to ensuring real and lasting benefit.

The Process of Transition





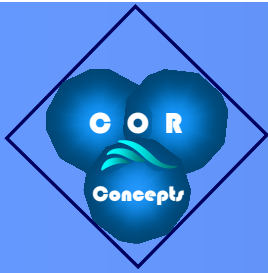
**CHANGE
BEGINS WHEN
THE TALKS
ABOUT CHANGE
BEGIN.**



Building blocks for effective change

The ADKAR Model:

- **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

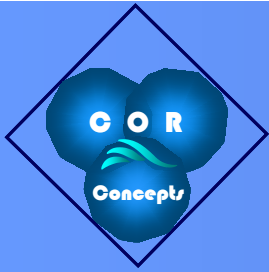


Building blocks for effective change



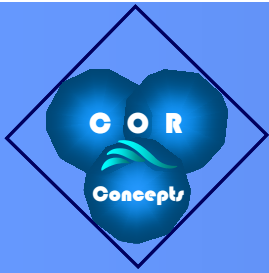
and when one of the key elements is missing...





Weapons, tools, allies and co-conspirators

- Who in your organisation can assist?
- If no-one listens to you, who will they listen to?
- Don't try and do it alone
- IT – the CIO often sits on exco
- Compliance/legal
- Risk manager
- Internal audit
- Auditor general
- Provincial Archives



Questions?



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