

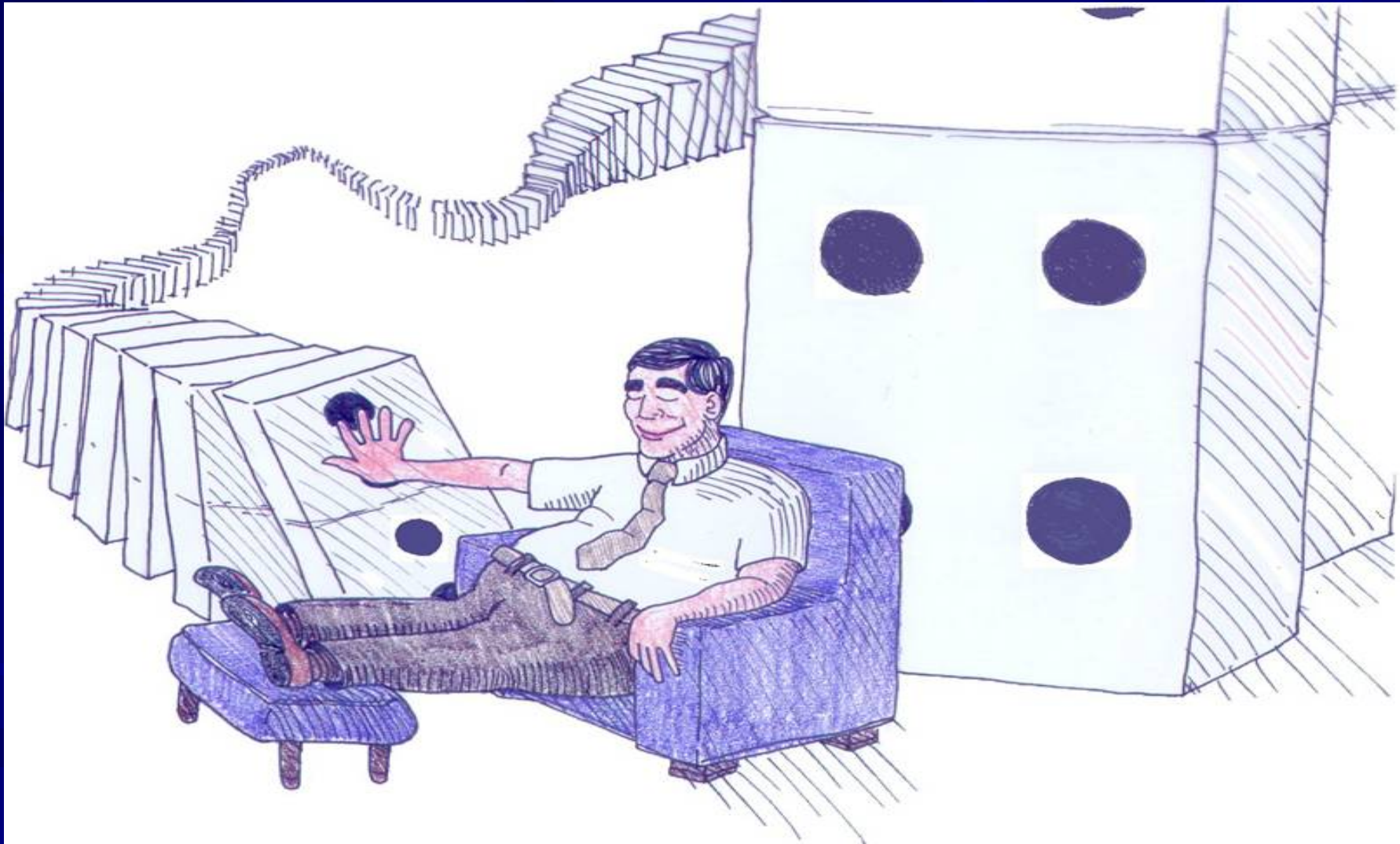


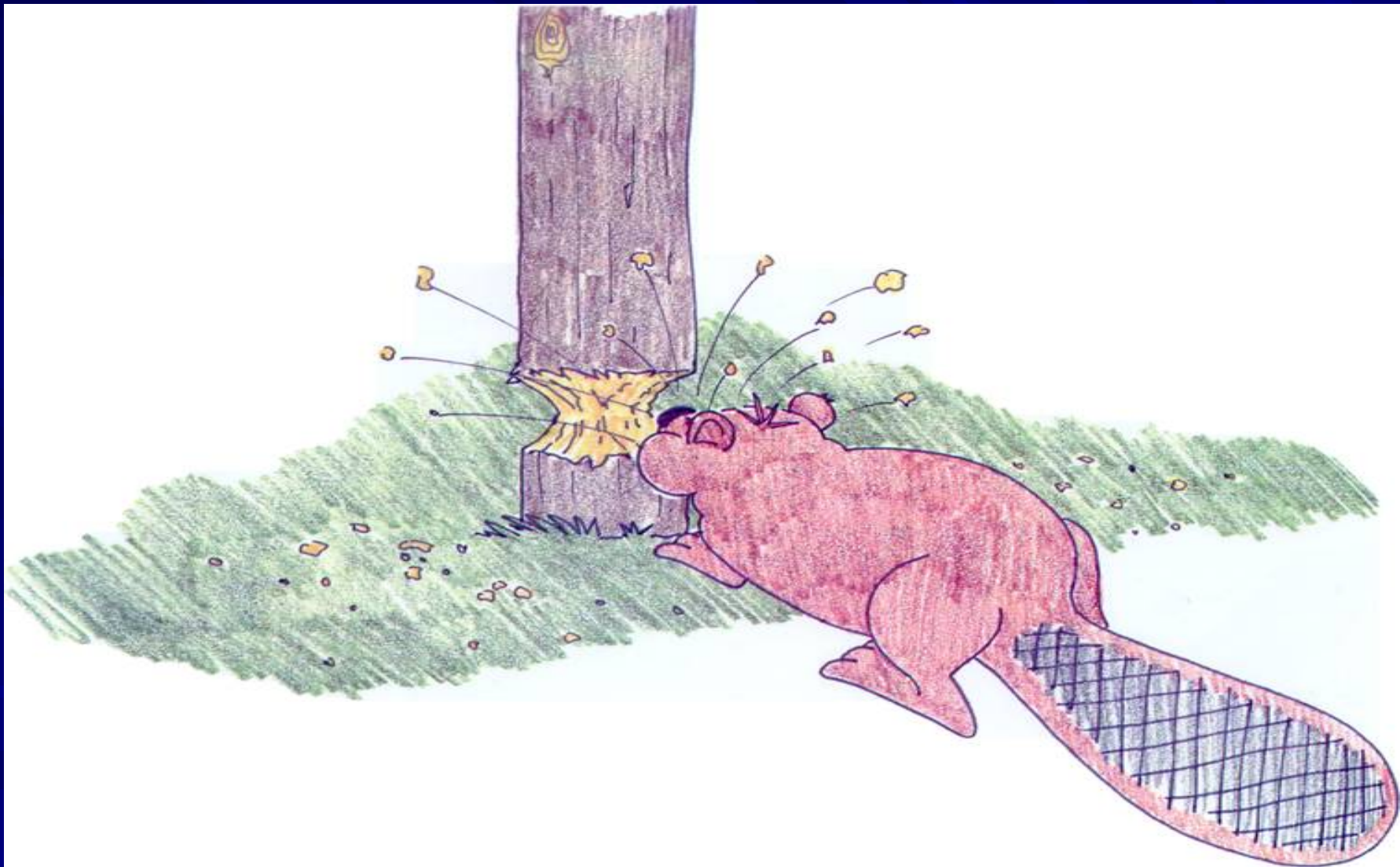
The RIM Ecosystem: Managing Records in a Whole, New Way

New Mexico
Digital Preservation Conference

L. Reynolds Cahoon

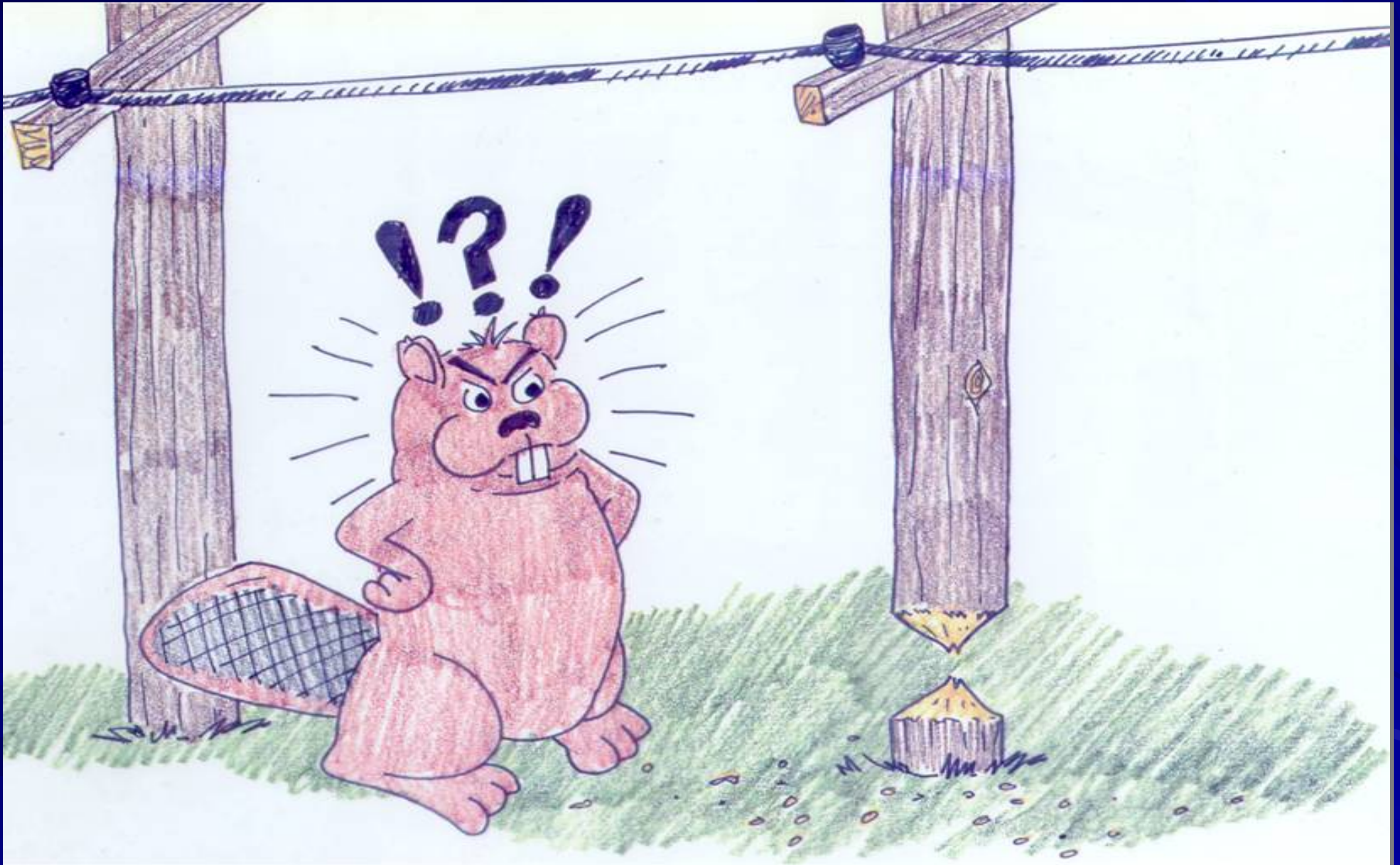
5-6 June 2008







Unintended Consequences



What's Happened?



- Business processes embraced new technology faster than our record keeping systems
- Roles changed or eliminated
- IT Systems are often funded, designed and implemented without adequate thought for the records they create and how those records will be managed over time

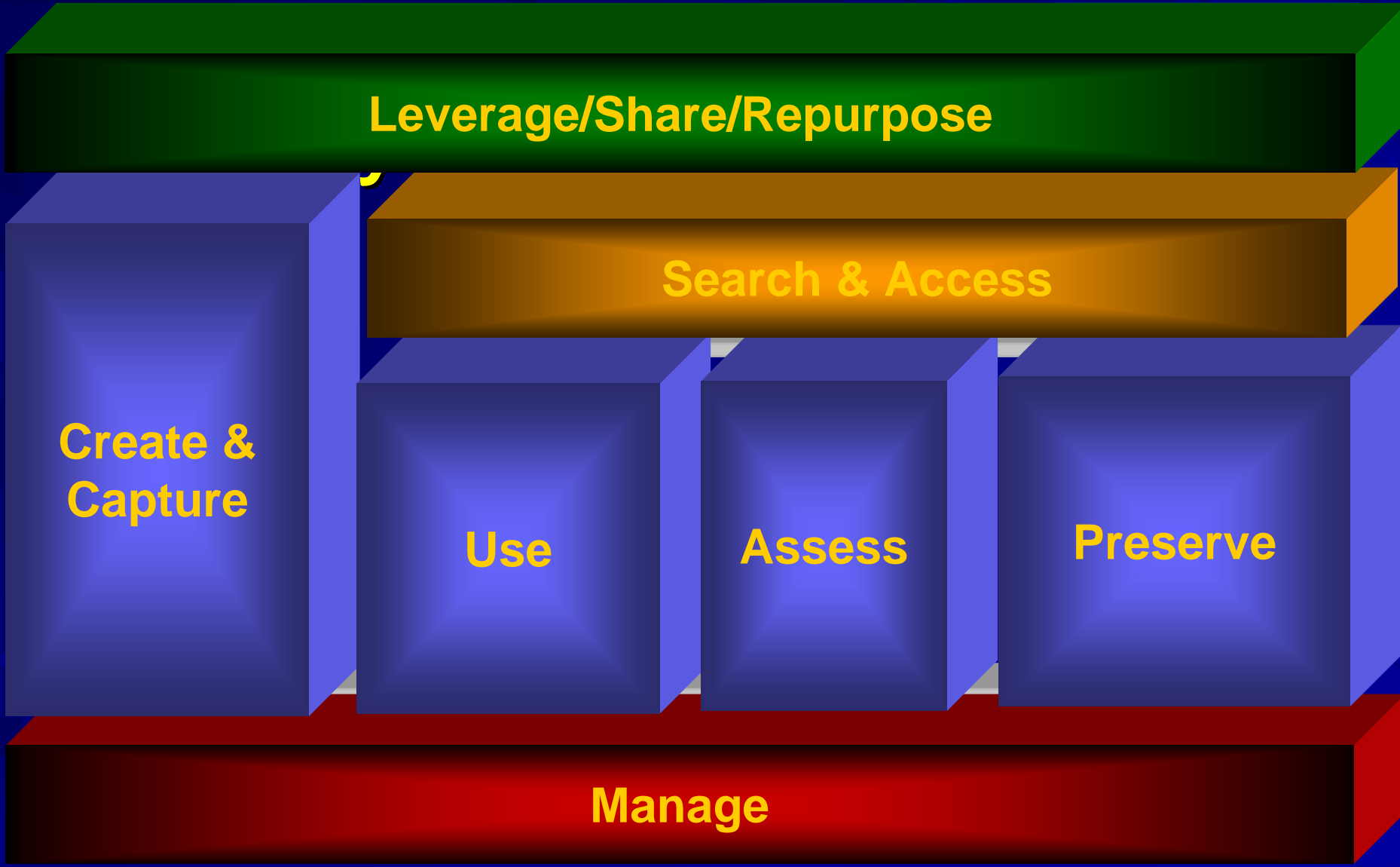


Needed:



**A New Way,
A Holistic Way,
To Think
about
how we
manage records
and
information**

The iRIM Lifecycle Organization Ecosystem



A Holistic Approach



- View management of records/information from a holistic, organization Ecosystem perspective - linked to strategic business outcomes
- Establish a coalition of key players and thought leaders
- Assess current and future states using a capability model
- Use “systems approach” to understand dynamics
- Use enterprise architecture-centric framework for analysis
- Plan for short, medium and long term - including Persistent Digital Object Preservation
- Note: In presentation mode, (F5) click on lines in yellow for more detail

Holistic Approach Summarized



Events

Patterns

Structure

Mental Models

Result: A Sustainable Program



- Program supports vision and goals
- A long-term solution - not just a quick fix
- Root causes addressed, not just symptoms
- Solutions embedded in Enterprise Architecture
- Program aligned with enterprise ecosystem

So What?



- New information systems have recordkeeping capabilities built in
- Business processes create smarter records, better able to act as evidence and information containers
- Records and information assets are more easily exploitable for improved results
- Information asset management:
 - ▶ produces more,
 - ▶ costs less
 - ▶ reduces overall risk
- The program preserves and makes available, over time, authentic, reliable records and information assets



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Custom Shows

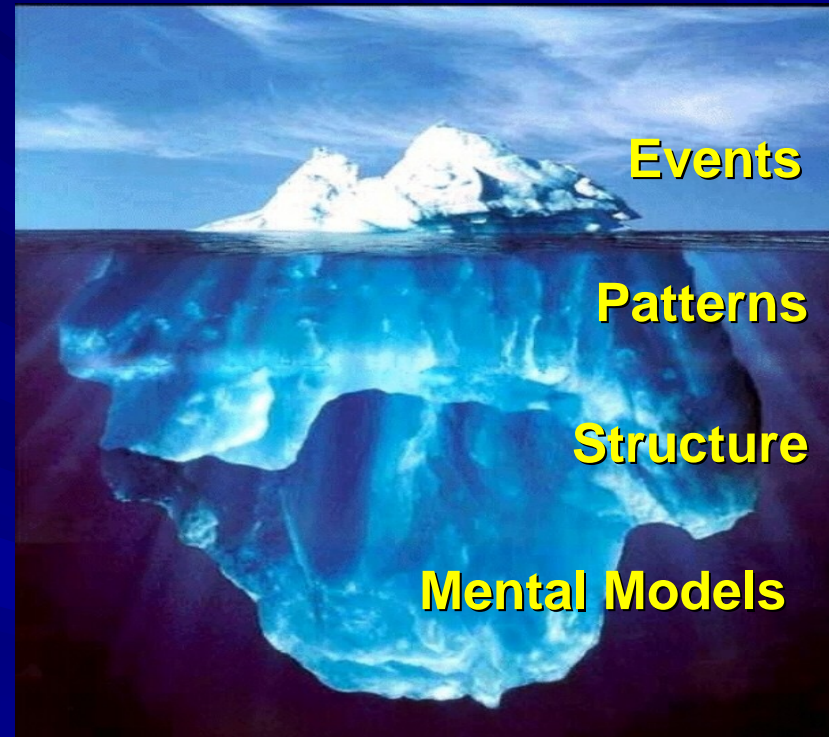
Levels Of Understanding



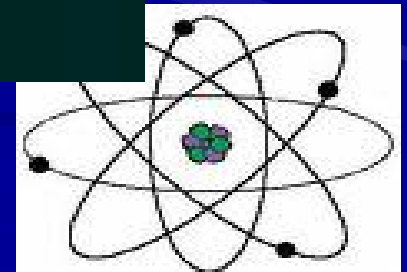
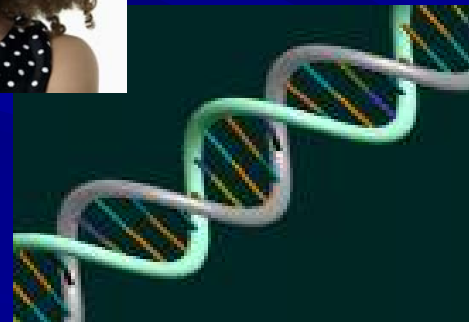
Structure is Not as Easy to See



- Move from thinking about events to seeing patterns and on to exposing structure
- If we see the world as events causing further events, we can react.
- If we see trends and patterns, we can anticipate.
- But if we can understand the underlying structure, we can work to change it.
- This is the opportunity to influence events and patterns in our favor.



A World of Systems



What is a System?



- A collection of two or more parts which interact to function as a whole
- Systems have three fundamental properties:
 - The performance of any part influences the performance of the whole
 - How any part influences the performance of the whole depends on what one or more of the other parts are doing
 - Group the parts in any way and the groups will possess the first two properties
- The essential properties that define any system are properties of the whole and none of the parts have those properties
- A system is not the sum of its parts – it is the product of the part's interactions
- When we take a system apart it loses its defining characteristics
- Can not understand the whole system just by understanding the parts

System Observations



- If the parts are all trying to optimize themselves, the whole is sub-optimized
- Today's problems come from yesterday's solutions
- Cause and effect are not closely related in time and space
- Obvious interventions often produce non-obvious consequences
- Dividing an elephant in half does not produce two small elephants

Apply Systems Theory to See the Whole



- View and understand the enterprise as a system
- Look for systemic causes not just symptoms
- Start with changes to the ecosystem
- Identify high-leverage solutions where small changes in the right places lead to disproportionately positive results
- Tools
 - ▶ System archetypes
 - ▶ Causal loop diagrams
 - ▶ System dynamics (stock and flow) models

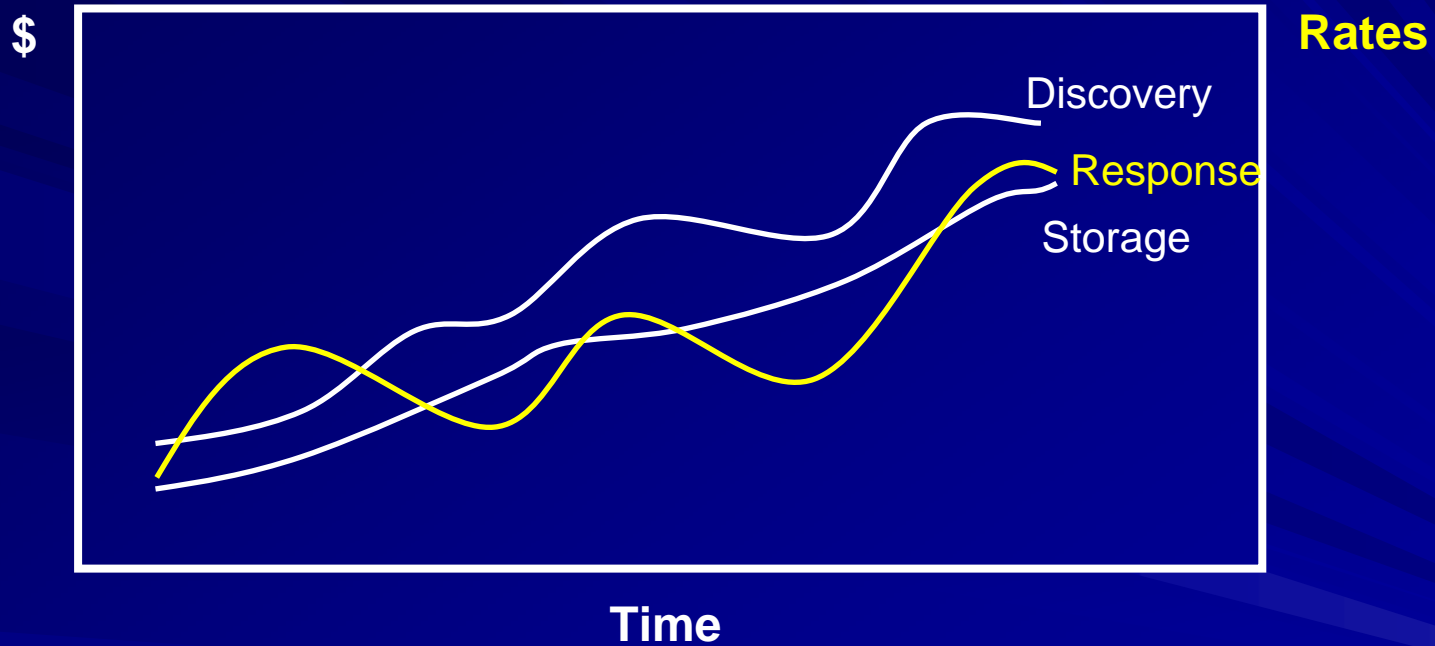
Beyond Symptomatic Solutions



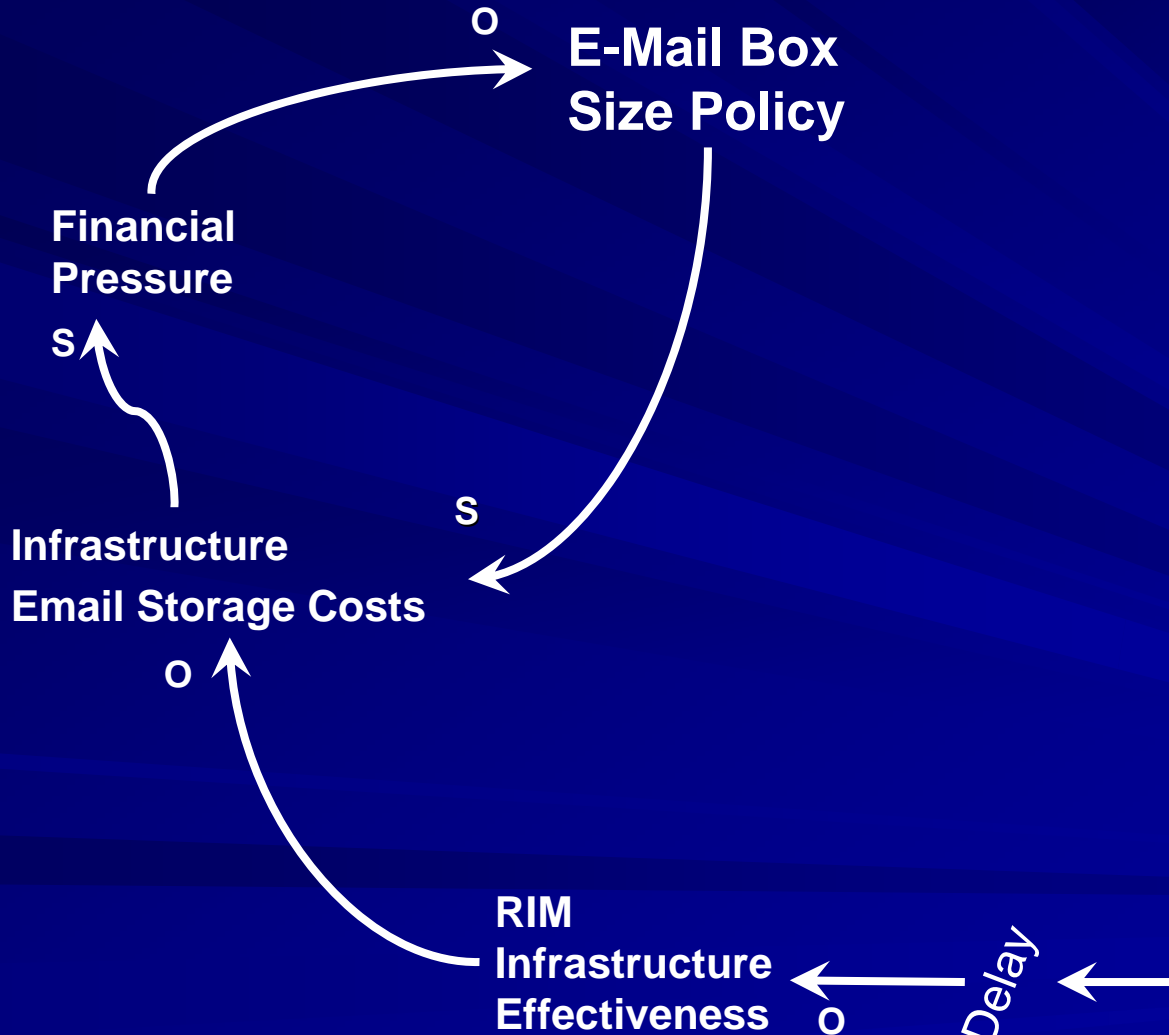
■ Identify key variables:

- Discovery response rates; discoveries of unscheduled materials
- Discovery response costs
- E-mail auto-delete policy or mail box max policies
- Documentation adequacy to support claims or assertions
- Case settlement ratios and costs
- Record storage costs; disposal rates;
- Customer satisfaction
- Compliance rates; compliance costs
- Business process transaction costs
- Information retrieval times; success rates

Explore Trends in Behavior Over Time

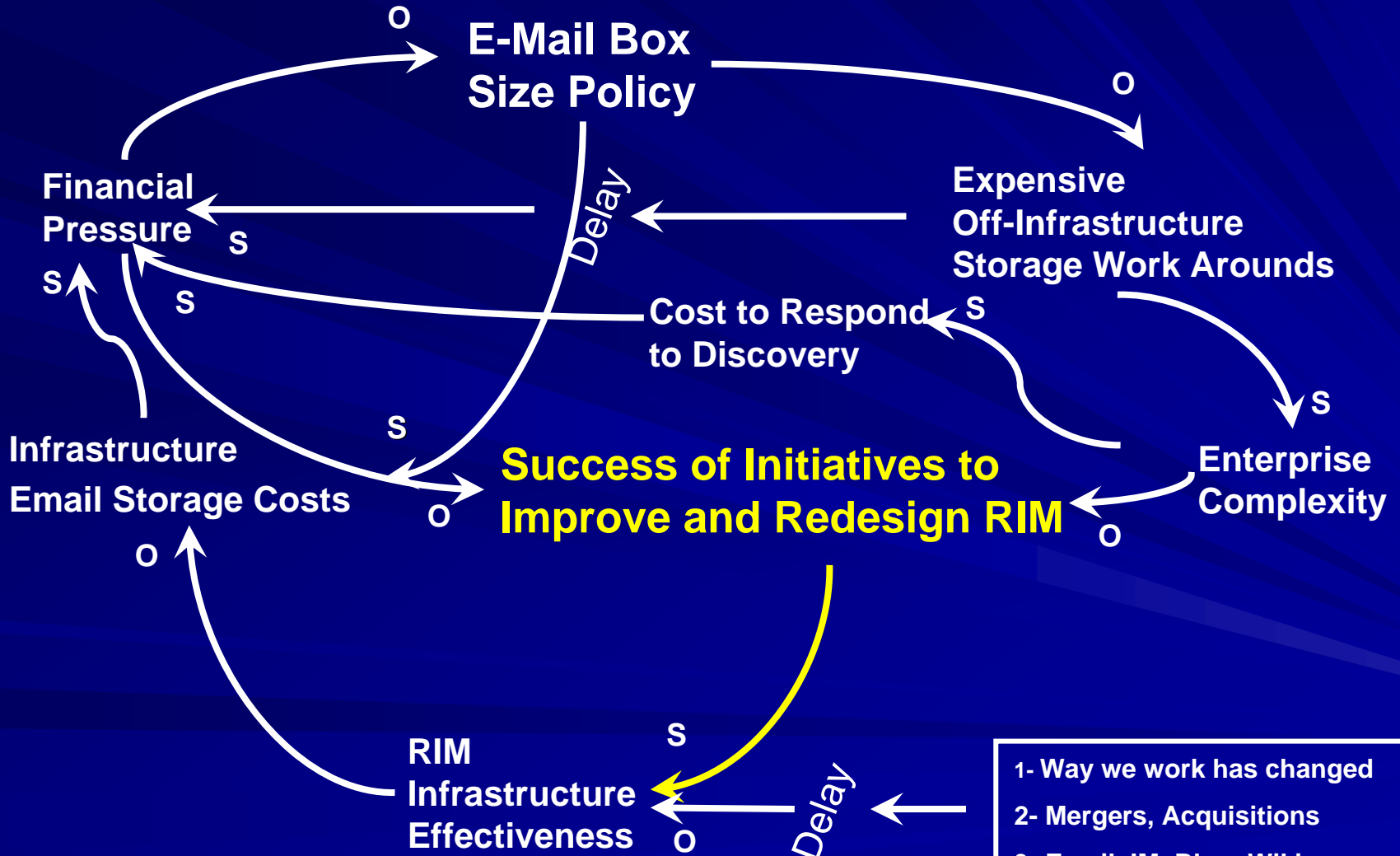


E-Mail Box Size Policy Backfires



- 1- Way we work has changed
- 2- Mergers, Acquisitions
- 3- Email, IM, Blog, Wiki, Social Networks

E-Mail Box Size Policy Backfires



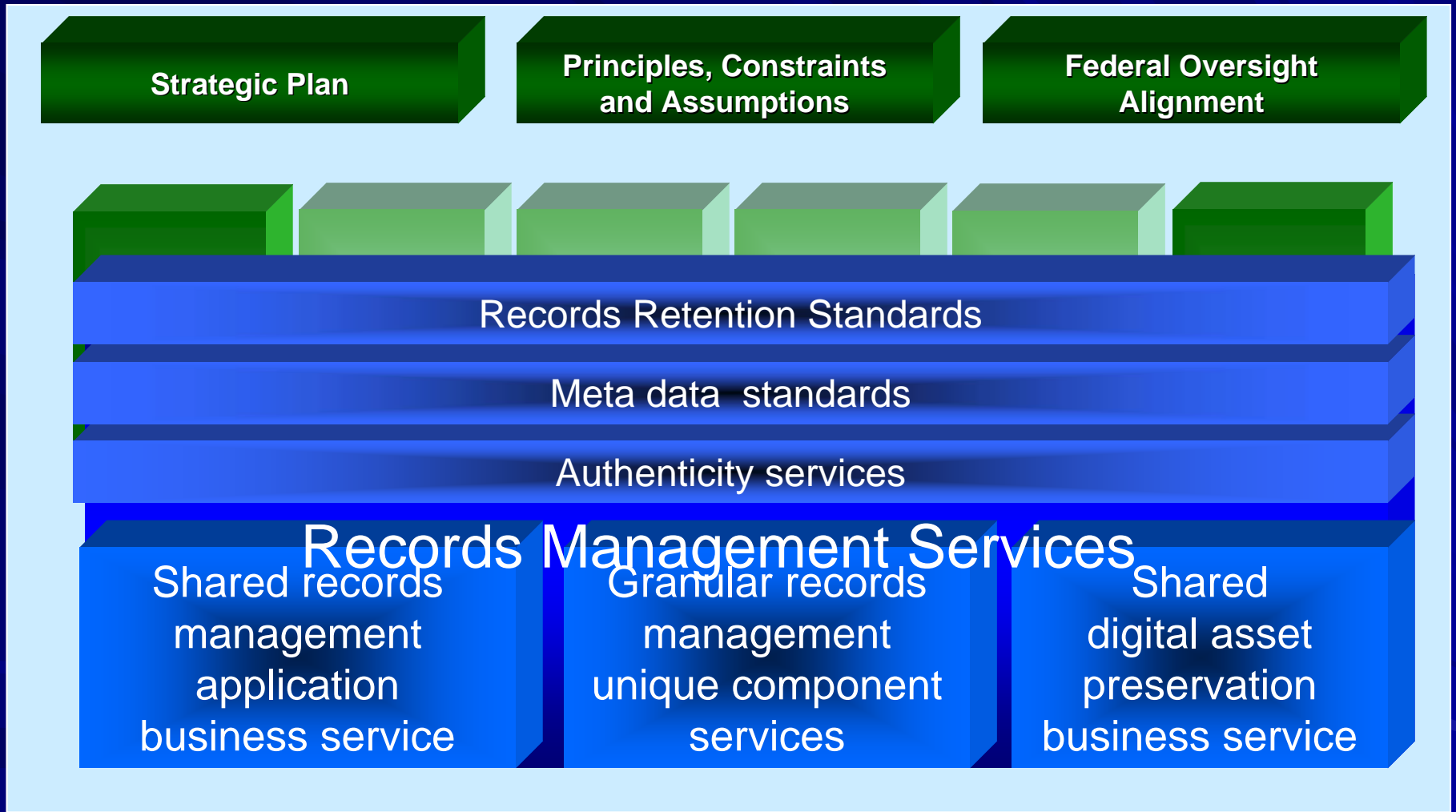
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Architecture-Centric Framework

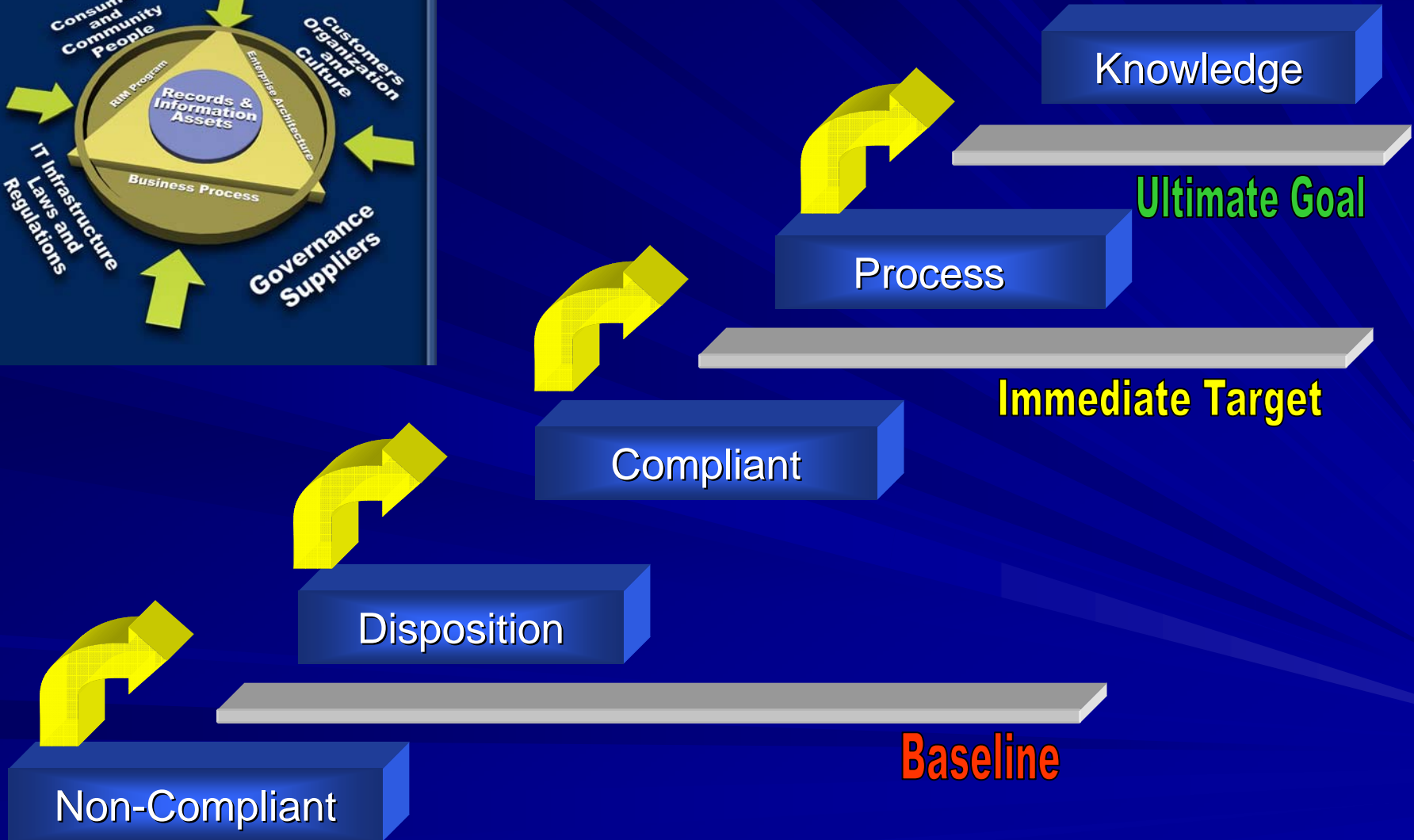


- Provides the structure to implement a sustainable program for managing all information assets
- Governance process for technology investment planning and control
- Allows records management principles to be “baked” into the enterprise architecture
 - ▶ Capital planning and **investment process**
 - ▶ Part of all elements of **enterprise architecture**
 - ▶ Embedded in business **processes design methods**
 - ▶ Embedded in Solution **Development Life Cycle** methods

Records Management Services in EA



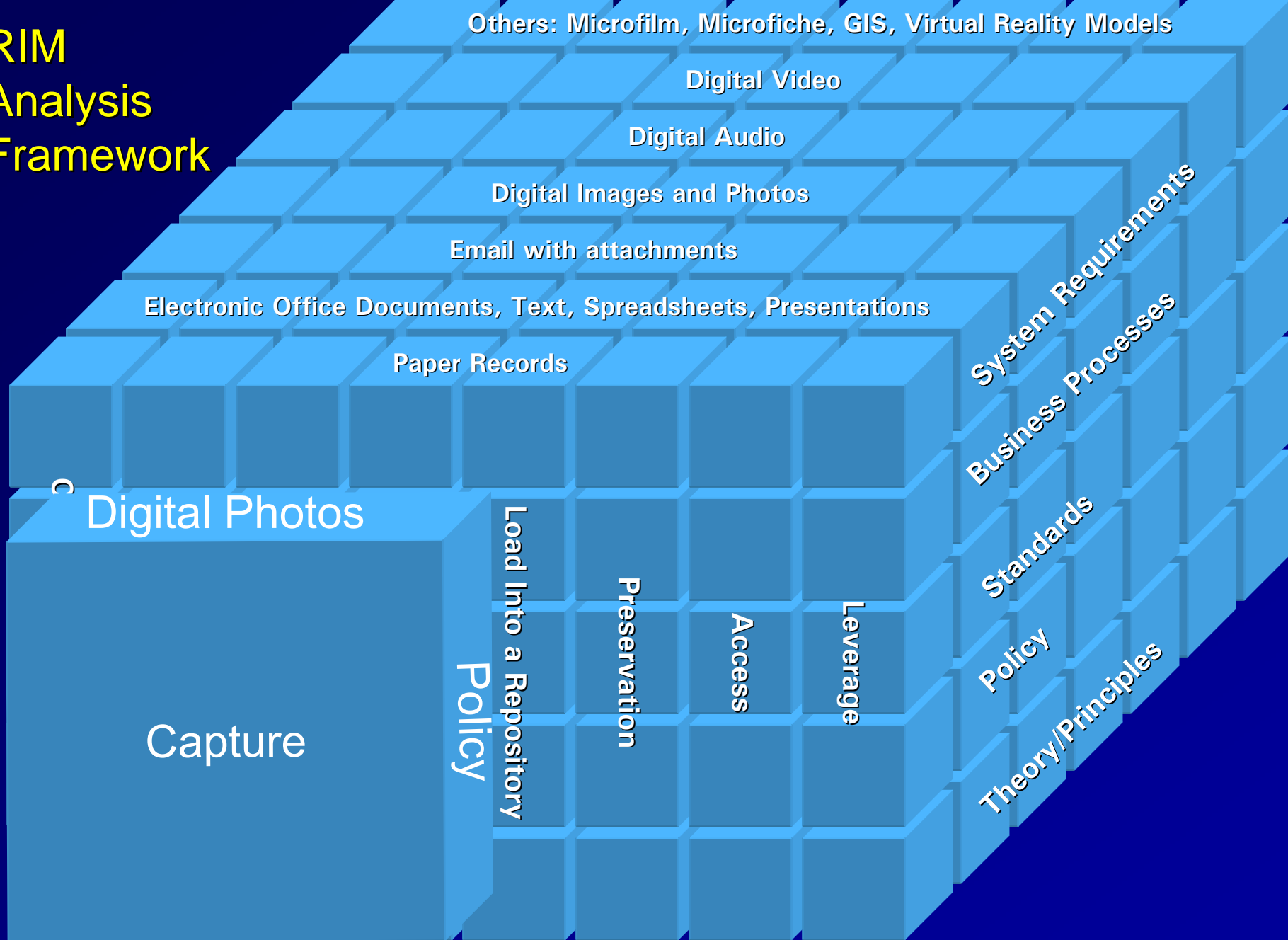
Capability Model



RIM Analysis Framework



RIM Analysis Framework

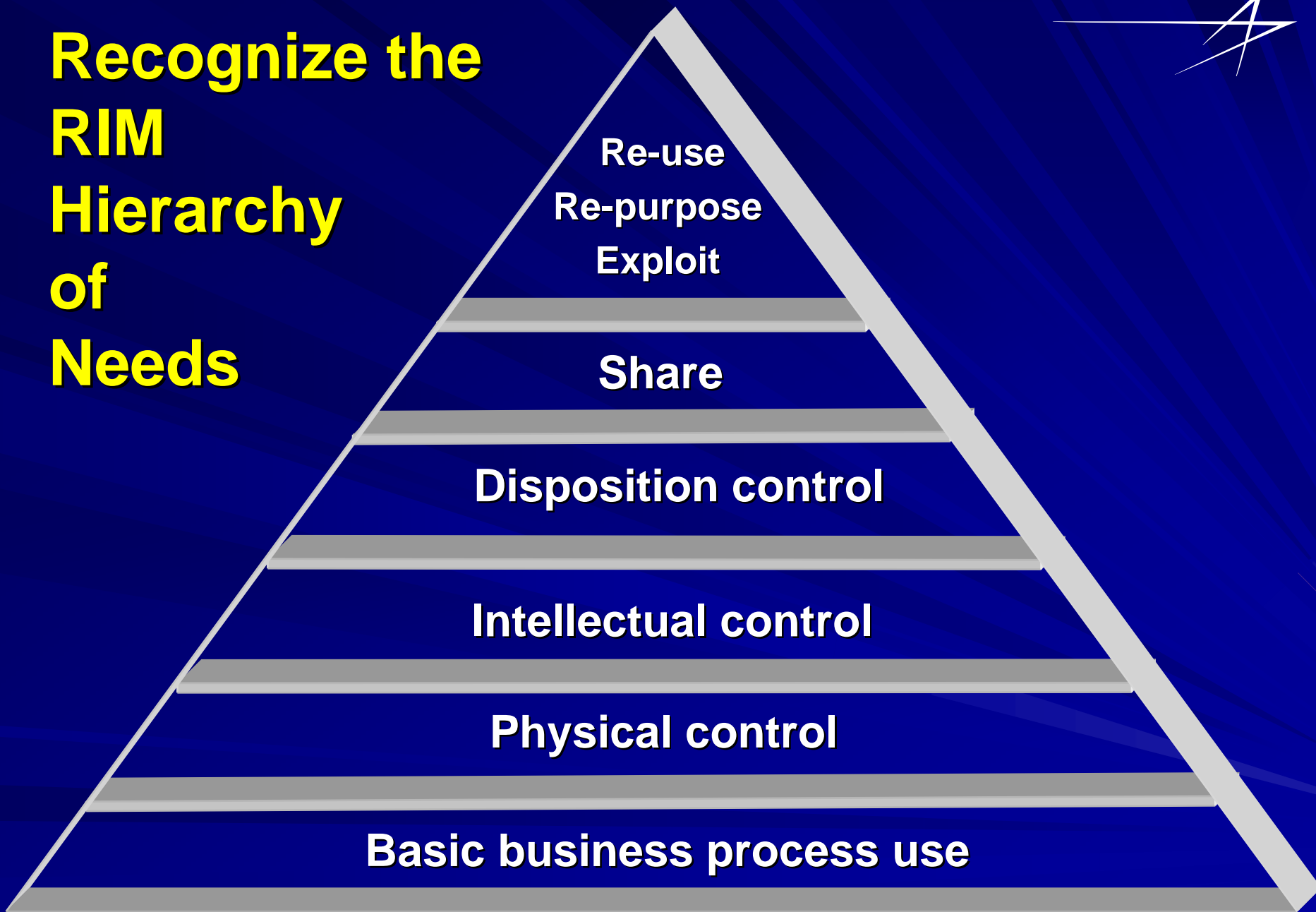


Organize a coalition



- Records Managers can't do it alone...so
- Organize a coalition to build support
- Engage the key players and other “Thought Leaders”:
 - ▶ Operating Executives
 - ▶ Business Process Owners
 - ▶ Compliance Officer
 - ▶ Legal
 - ▶ Audit
 - ▶ Finance
 - ▶ Procurement
 - ▶ Human Resources
 - ▶ CIO, IT, Enterprise Architecture
- Partners in planning and implementation

Recognize the RIM Hierarchy of Needs



Establish Broad RIM Principles



Engage the coalition to establish RIM goals and business case

- Create and manage records to meet business requirements
- Use a RIM life-cycle based, risk management approach
- Records are kept long enough to protect rights and assure accountability—and no longer
- Records and information are discoverable, shareable, interoperable and exploitable across and beyond the organization
- Records of long-term value are preserved and made available

Use the Coalition to help:



- Develop a general, high level assessment of the ecosystem
- Establish a maturity model that is right for the organisation
- Assess risk, apply maturity model to high risk/high return business processes
- Develop a “Good Enough” “To-Be” target capability based on organization strategic plan and IT tactical plan
- Develop a “roadmap” of the path to the target

This Capability Model



Provides a Way to:

- Align RIM with organization strategy
- Benchmark where we are
- Think about what is “good enough” records management and set capability targets accordingly
- Draw a “roadmap” filling the gaps with high ROI initiatives
- Establish accountability and measure progress
- Apply a little science with a little art
- Take a step along the path to an sustainable RIM program