

Records Requirements Implementation Component (RRIC)

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For each of the identified records management requirements:		
Can it be addressed through technology?		
If yes, required?	Will policies need to be developed or changed?	What sorts of management practices will be required?
If no, What policies and management strategies will support the requirements?		

The Records Requirements Implementation Component (RRIC) focuses on the identification of technology, management, and policy strategies to address the requirements identified through the Business Process, Record, and System Levels of the RREC.

The RRIC provides an organizing framework for records management requirements and strategies for addressing them. In some cases, the same technology, management, or policy strategies may address a range of records management requirements. In other cases, specific strategies may be necessary to ensure that the individual requirements are met. For example, one requirement might state that the record of a completed transaction should be moved into an archival vault, at which point no further modifications can be made to the record. This requirement may be supported by technology through the use of workflow features that move the record into another location after the final step in the process has been completed. However, policies must be created that clearly identify the components of a 'final record' and when in the process a record is deemed 'final.' Further, management practices must be put in place to govern who is authorized to move the record into the vault and what components of the record must be maintained in the archive. Once the management and policy strategies have been determined, technology can be used to allow only the person or persons authorized to archive a record the technical permission or capability to do so. Technology can also be used to provide an audit trail to ensure that only authorized individuals, at the appropriate times, have archived the record. Another policy that would support this requirement would be a prohibition against sharing user IDs and passwords among the system users.

While there is no pre-defined method for using the RRIC, it is very useful to implement it in conjunction with technology awareness activities. We recommend an iterative process of technology awareness, feasibility assessment, and technology selection. This approach helps the organization understand the full range of technology options and their costs and benefits as part of the determination as to whether records management issues should be addressed by management, policy, or technology strategies. Ideally, an organization should strive to maximize the use of technology, and rely less on human factors to ensure that records management issues are addressed. However, this may not always be cost-effective or feasible. Therefore, the costs and benefits of technology strategies compared to management and policies strategies should be addressed as a component of the RRIC.

Implementation Strategies for Records Management Requirements			
	Strategies		
	Policy	Management	Technology
Requirement 1			
Requirement 2			
Requirement 3			
Requirement ...			

Steps Involved in Using the RRIC:

1. Gather information about potential technology choices to support the business process and associated records management requirements.
2. Gather information on such costs as hardware, software, training, development, system integration, development, etc.
3. Assess organizational capabilities or organizational readiness for the adoption of new technology.
4. Conduct an analysis of the cost and feasibility of using initially selected technologies to address the records management requirements.

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5. Test the technological capabilities and reassess feasibility for implementation.
6. Identify required complementary policy and management strategies to support the selected technology components.
7. Identify individuals within the organization to assist in the development and implementation of required management and policy strategies.

Hint: The framework above is a useful way to record and compare the different strategies that can be used to implement records management requirements.