

TOOLKITS FOR INFORMATION LIFECYCLE MANAGEMENT

Toolkit Research Project

The four toolkits were evaluated via research carried out within the Information, Knowledge and Systems Research Group, School of Computing, Engineering and Information Sciences, Northumbria University. The project was funded by the UK Arts and Humanities Research Council (AHRC) <http://www.ahrc.ac.uk>

The aim was to critically evaluate these specifically selected toolkits for assessing records management capacity and/or compliance from both theoretical and practical aspects.

The project methodology was qualitative, obtaining the views of a wide range of stakeholders:

- Toolkit developers
- Toolkit users
- RM expert researchers
- IM expert researchers

Techniques used included a modified Delphi technique to consult performance measurement experts, and cognitive walkthroughs and modified heuristic reviews to obtain stakeholder evaluations.

The toolkits were examined for (a) their context and purpose(s), (b) the underlying principles and models of their design, and (c) their utilisation and the benefits realised, together with their strengths and areas for improvement.

A free copy of the research report is available at:

<http://northumbria.ac.uk/sd/academic/ceis/re/isrc/themes/rmarea/tlkit/>

Information Lifecycle Management (ILM) addresses “the infrastructure of reference information through better data management approaches, better protection, retention, archive, HSM, and regulatory compliance.”
SNIA, 2004

“Content must be managed so that it is used to achieve business goals.” AIIM, 2005

“Good records management should be seen as a benefit, not a burden” (Information Commissioner's Office, 2006)

- ◆ **Does your organisation have the structures, policies, procedures and facilities in place to manage its records effectively?**
- ◆ **Do you want to assess your current records and information management (RIM) capabilities against standards and best practices?**
- ◆ **Do you want to develop a strategy to improve your RIM capacity in support of ILM?**
- ◆ **Do you want to strengthen your RIM systems?**
- ◆ **Do you know that there are RIM self-assessment tools to help you achieve this?**



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Effective Records and Information Management

Effective RIM is crucial for any organisation to:

- achieve business goals
- improve performance
- demonstrate good governance
- meet compliance requirements
- mitigate risk

RIM toolkits are effective for:

- assessing compliance
- assessing capacity
- benchmarking against standards
- identifying strengths/weaknesses and areas for improvement
- raising awareness of issues
- building partnerships with all stakeholders

A free guide to four RIM capacity and compliance toolkits, including real case examples and recommendations for their practical use, produced from a research project, is available at:

<http://northumbria.ac.uk/sd/academic/ceis/re/isrc/themes/rmareat/toolkit/>, covering:

- Provenance
- Audience
- Coverage
- Good practice content
- Process, format
- Resource requirements
- Accessibility
- Compatibility
- Usability
- Evaluation approach

Toolkits Covered in the Guide

Evaluated via a research project, these toolkits were:

- **To assess information management (IM) governance in health service organisations, via an online tool**
Information Governance Toolkit (IGT), developed by the UK National Health Service ([only available via NHSnet](#))
- **To assess IM capabilities of Canadian federal organisations, via a conceptual model**
Information Management Capacity Check (IMCC) Tool and Methodology, developed by the Library and Archives Canada
<http://www.collectionscanada.ca/information-management/002/007002-2003-e.html>
- **To assess RIM capacity in the public sector, particularly for developing countries, via an online tool**
Records Management Capacity Assessment System (RMCAS), developed by the International Records Management Trust
<http://www.nationalarchives.gov.uk/rmcas>
- **To assess RIM for compliance: available to all organisations for a fee, via an online tool**
RiskProfiler developed by ARMA International and NetDiligence
<http://www.arma.org/standards/eassessment.cfm>

Case Studies – Views of Users

These toolkits have been developed for different purposes, in different countries and for different sectors, however their use is not restricted to these. They can be used for print and/or electronic records. Real-life users found the toolkits flexible and could use them to meet their own particular objectives, at the level of detail they needed. They used them for purposes such as benchmarking, gap analysis and assessing compliance with regulations. The toolkits were effective, and assisted in improving RIM within their organisation. They would use them again.