



AC⁺erm

Accelerating positive change in electronic records management

Society of American Archivists Research Forum 2009

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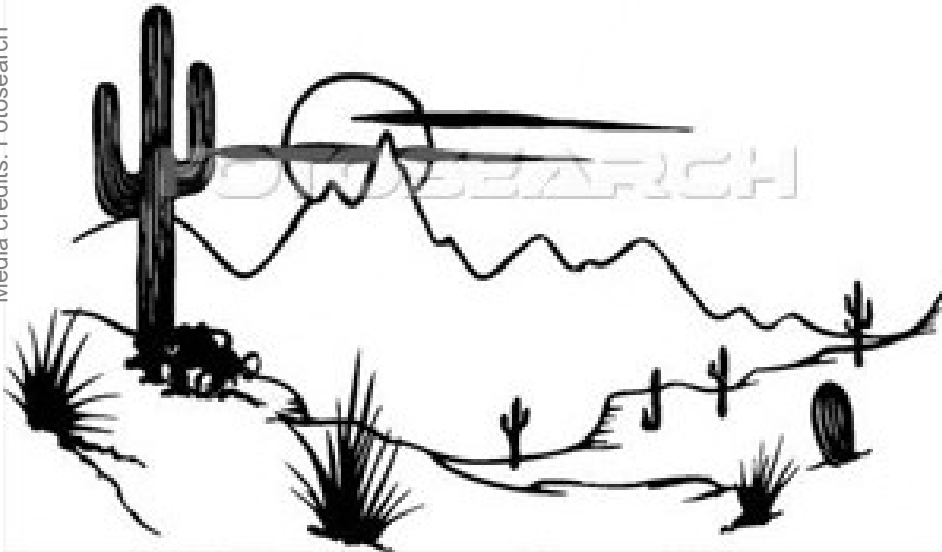
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Outline

- AC⁺erm project
 - research problem & project rationale
- Methodology
 - philosophy & design
- Interim findings
- Conclusions
 - e-RM
 - potential of the methodology

AC⁺erm: Problem & rationale

■ John McDonald...



“Managing the modern office:
Taming the wild frontier”
(1995)

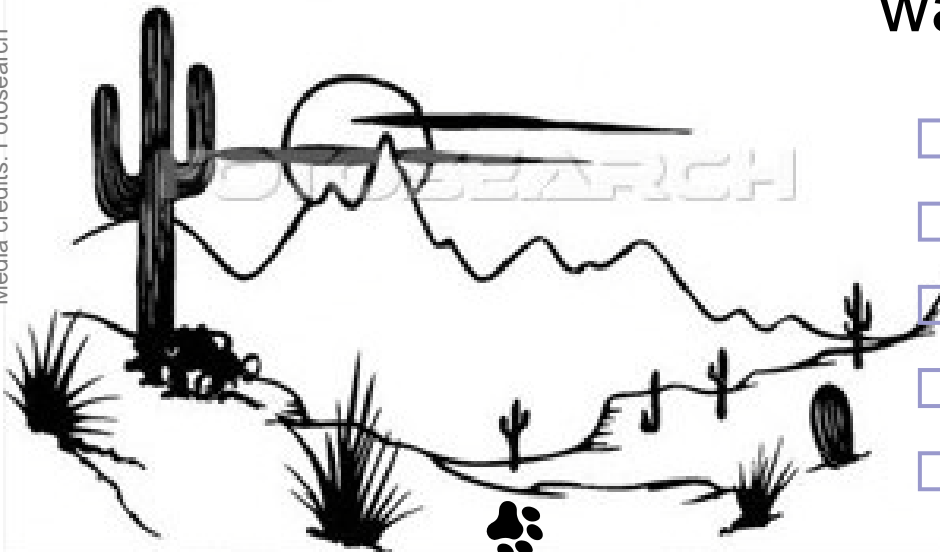
“The frontier of the modern
office is still wild”
(2005)

AC⁺erm: Problem & rationale

■ John McDonald...

ways out of the wilderness

- ☐ vision
- ☐ enhancing awareness
- ☐ assigning accountability
- ☐ ***designing an architecture***
- ☐ building capacity



AC⁺erm: Problem & rationale

■ aim

- to investigate & critically explore issues & practical strategies to support accelerating the pace of positive change in ERM

■ objectives

- develop critical global view of ERM
- gather multi-disciplinary opinion on ERM issues
- gather knowledge of practical strategies & CSFs
- develop an appropriate paradigm for ERM

Methodology

- three main phases
 1. comprehensive systematic literature review
 2. investigation phase
 3. dissemination activity
- multi-disciplinary participants & stakeholders

Methodology: 1. Systematic literature review

- objective & rigorous approach
 - via *a priori* design – parameters set in advance
 - minimizes researcher bias
- standard process
 - set review questions; comprehensive search
 - quality assessment
 - summarise evidence & interpret findings

Methodology: 1. Systematic literature review

Analysing the data

- quantitative analysis
 - characteristics of the sources e.g.
 - author(s)' sector
 - article's main focus
 - number of sources (total / selected / rejected)
 - reason for rejection of sources
- thematic analysis
 - select specific aspects via database queries
 - identify themes & group sources with common themes
 - tie themes to sources & evaluation criteria

.....

Methodology: 2. Investigation



- three facets of designing an architecture for ERM
 - people issues
 - understanding work processes
 - systems and technologies
- e-Delphi studies
- colloquia
- outputs – findings & vignettes

Methodology: 2a. e-Delphi studies

■ Delphi technique

- developed in 1950s at Rand Corporation
- panel of experts
- anonymity
- explore / refine issues through series of questions
- rank issues

■ modified version of a 'classic' Delphi





Media credits: French School Collection

Methodology: 2a. e-Delphi studies

■ Delphi technique

- developed in 1950s at Rand Corporation
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■ modified version of a 'classic' Delphi

	Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment {ranked joint 2 nd by urgency}
	<p>From your own perspective and experiences, what solutions are worth trying? Say why, how, who, when and where they work or could work better. <i>Please type your answer here</i></p> <p>Lorem ipsum dolor sit amet, consectetur adipiscing elit. Donec odio. Quisque volutpat mattis eros. Nullam malesuada erat ut turpis. Suspendisse urna nibh, viverra non, semper suscipit, posuere a, pede.</p> <p>Donec nec justo eget felis facilisis fermentum. Aliquam porttitor mauris sit amet orci. Aenean dignissim pellentesque felis.</p> <p>Morbi in sem quis dui placerat ornare. Pellentesque odio nisi, euismod in, pharetra a, ultricies in, diam. Sed arcu. Cras consequat.</p> <p>Praesent dapibus, neque id cursus faucibus, tortor neque egestas augue, eu vulputate magna eros eu erat. Aliquam erat volutpat. Nam dui mi, tincidunt quis, accumsan porttitor, facilisis luctus, metus.</p>
	<p>From your own perspective and experiences, what solutions should be avoided? Say why, how, who, when and where they have not worked. <i>Please type your answer here</i></p> <ul style="list-style-type: none"> • Lorem ipsum dolor sit amet, consectetur adipiscing elit. • Aliquam tincidunt mauris eu risus.

Methodology: 2a. e-Delphi studies

- **Analysing the data – thematic analysis**
- Using controlled vocabulary and facet analysis to generate theme ‘strings’

Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment

“Do get the RM team using all of the ‘new media’ that you’re likely to encounter over the coming years.”

records professionals [Th] encouragement [Pr] use [Op] media (new)
[SOO] team (RM) [Ag] present [Ti]

Methodology: 2a. e-Delphi studies

- **Analysing the data – phenomenological analysis**
 - Researcher's subjective insights into topic

AC⁺erm project <http://www.northumbria.ac.uk/acerm>
Phenomenological analysis – RM principles and methods

Phenomenological Analysis: Applicability of RM Principles & Methods in the e-Environment ¹

Voice 1 ²

Definition:

Principle: “1 a fundamental truth or proposition serving as the foundation for belief or action. 2 a rule or belief governing one’s personal behaviour. 3 morally correct behaviour and attitudes. 4 a general scientific theorem or natural law. 5 a fundamental source or basis of something.” (*Concise Oxford English Dictionary*).

Given this definition why then is the applicability of RM principles and methods in the e-environment an issue at all?

Pieces & parts in space ³

Methodology: 2b. Colloquia

■ Purpose

- ❑ data collection – validation and extension of e-Delphi studies
- ❑ dissemination – sharing ongoing research findings

■ Format

- ❑ face-to-face discussions based on results of e-Delphi studies
- ❑ delegates from diverse stakeholder groups and sectors

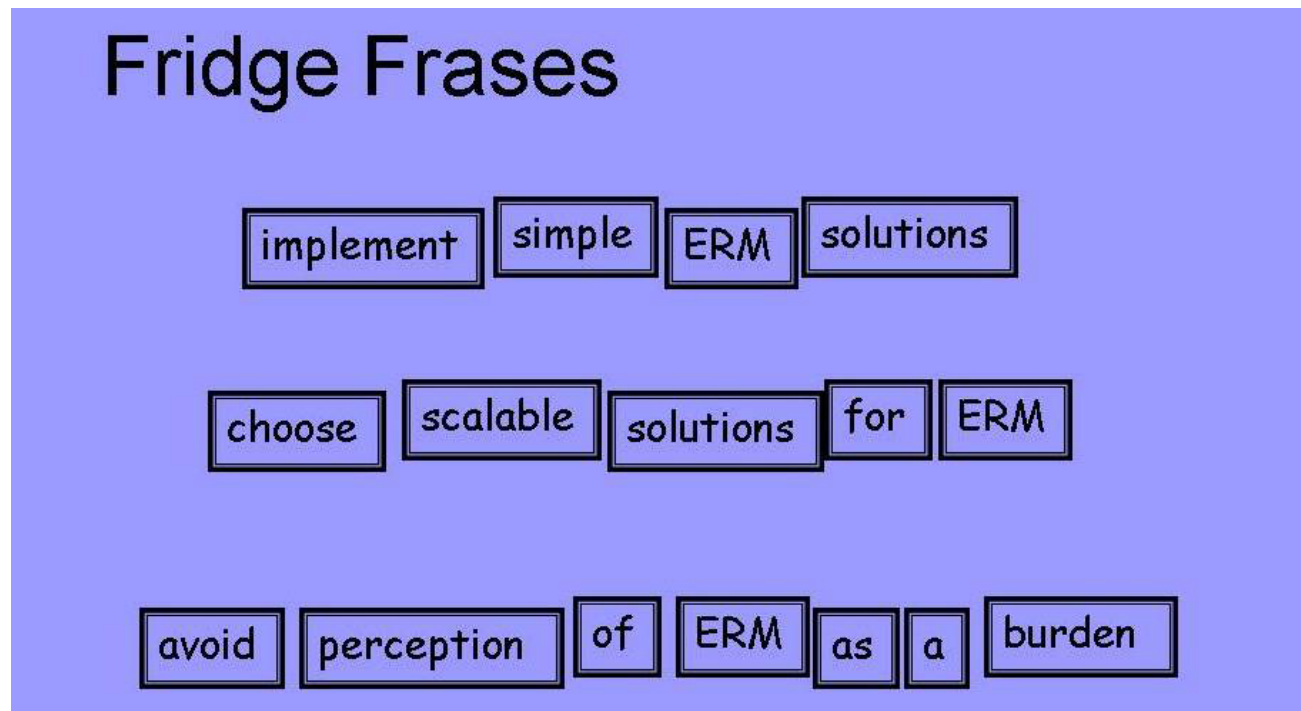


■ Events

- ❑ People – 09 October 2008 , London
- ❑ Process– 26 March 2009, Birmingham
- ❑ Technology – 24 September 2009, Edinburgh

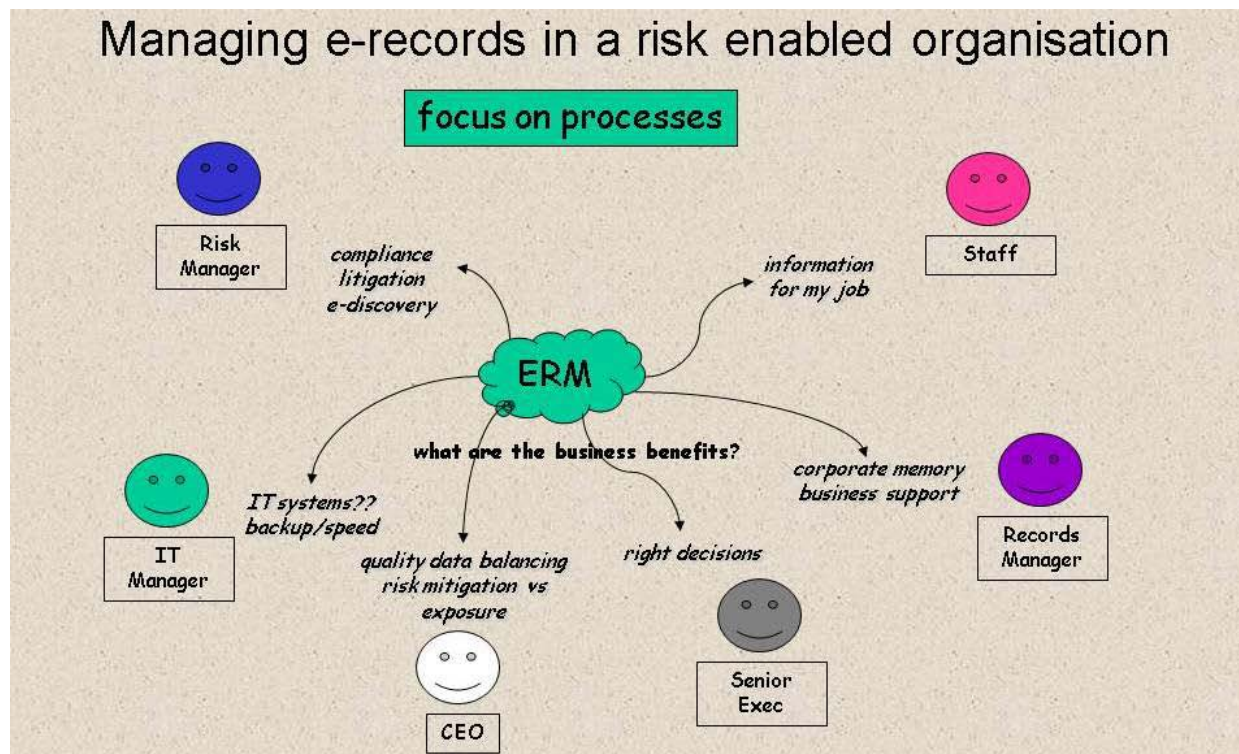
Methodology: 2b. Outputs – findings & vignettes

- ‘Fridge Frases’



Methodology: 2b. Outputs – findings & vignettes

- Rich Picture



Methodology: 2b. Outputs - findings & vignettes

■ Story

Jane's Story: The relationship between privacy, security and access

I work in the NHS¹. Things are so different now on the technology front. NPfIT² is making changes – the NHS is much more IT-enabled, though I admit some of the promised systems are woefully delayed. So in a number of ways my life is much easier now. There are some really annoying aspects though. Log on³ to the systems is one of them – every time you use a different system you're supposed to log on and then off when you've finished. Such a faff and takes up so much time. So one person logs on to the systems and leaves it open for the rest of us in the team to use. I know it's against the rules, but I really can't see a problem with this! No one is going to walk in off the street and look for stuff on our computers – we'd soon spot them if they did.

All the scares about the loss of private data from NHS organisations⁴ has really focussed the attention of our Chief Exec. We've been inundated with directives about information security, records management, information governance, blah blah blah. I just haven't got time to read them all. I just hope he doesn't cotton on to our team log in!

But I'm not a complete work slave. I am keeping up as best I can with electronic patient

Methodology: 2b. Outputs - findings & vignettes



■ RM Snakes and Ladders

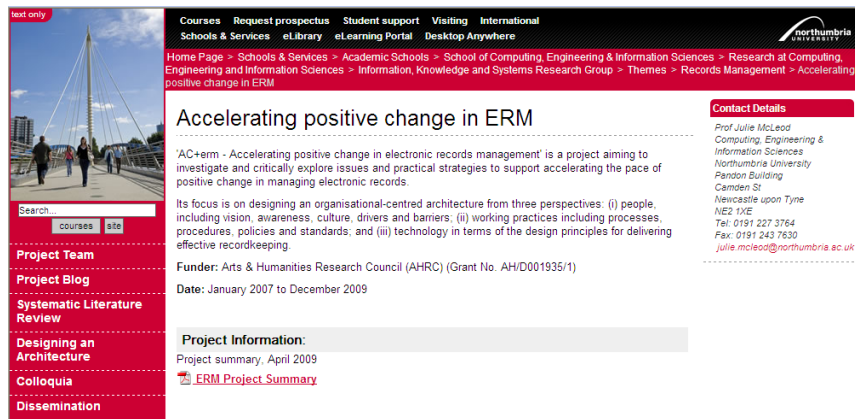
- Up
- Approve a budget
 - RM put in charge of IT
 - RM a major part of new joiner inductions
 - IM principles enforced through job descriptions
 - Standardised naming conventions
 - Corporate file plan
 - Enforced guidelines
 - Deduplication
 - Approved vital records programme
-
- Down
- No budget
 - No management
 - Data is lost in transit
 - Laptop is left on train (failure of information security policy)
 - Enforcement notice
 - Data corrupted; back-up tapes fail.
 - Basement archive flooded; mould sets in.

Methodology: 3. Dissemination



- **continuous**
- project website
- a blog
 - post interim findings
 - collect views, encourage trans-disciplinary debate
- articles & conference papers
- final colloquium

Methodology: 3. Dissemination



Facts & Figures

Website outputs

- ☐ 4 SLR
- ☐ 41 e-Delphi
- ☐ 7 colloquia
- ☐ 12 presentations/confs

www.northumbria.ac.uk/acerm

Methodology: 3. Dissemination



Facts & Figures

- Website outputs
 - 4 SLR
 - 41 e-Delphi
 - 7 colloquia
 - 12 presentations/confs
- Blog
 - 74 posts

<http://acerm.blogspot.com/>

Methodology: 3. Dissemination



Facts & Figures

- Website outputs
 - 4 SLR
 - 41 e-Delphi
 - 7 colloquia
 - 12 presentations/confs
- Blog
 - 74 posts
- Twitter
 - 44 tweets, 71 followers

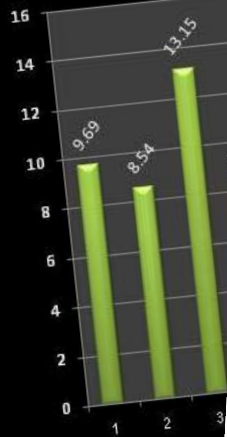
http://twitter.com/Northumbria_RM

Findings: Investigation phase

AC⁺erm Project

e-Delphi Study on process issues of electronic records management

Round 3 Outputs—Solutions



<http://www.northumbria.ac.uk/acerm>
Analysis - RM principles and methods

Applicability of RM -Environment¹

...serving as the foundation for belief or
(behaviour. 3 morally correct
norm or natural law. 5 a fundamental
English Dictionary).

...ty of RM principles and methods in the

...ples and methods? Are the principles
organization, maintenance, preservation,
characteristics of records (authenticity,
lifecycle and continuum theories/models?
distinctive from other information
management? Anything else?

...themselves. There are many methods of
al of fundamental principles, which centre on:
records and their wider setting,--
s. recordkeeping systems.

...ques, and tools are far too numerous to address
tically affected by the emergence of electronic
tual tool and as a means of managing retention

...tures:
ds analysis.

Any discussion of the foundations of RM must start with the term "record", defined
in the ISO RM standard as

Findings: e-Delphi studies – people facet

- 8 groups of **issues** emerged
- **Issue** ranked most urgent/important

1. CEOs, executives & management lack understanding of RM and their role within that

Findings: e-Delphi studies – people facet

- 8 groups of **issues** emerged
- **Issue** ranked most urgent/important

- **Solutions** to this issue

□ to try



1. Accountability
2. Benefits
3. Education & Development
4. Holistic
5. Less, not more
6. Organisational
7. Planning
8. Relationships

Findings: e-Delphi studies – people facet

- 8 groups of **issues** emerged
- **Issue** ranked most urgent/important

- **Solutions** to this issue
 - to avoid



1. Less, not more
2. Organisational
3. Planning
4. Relationships
5. Big stick
6. Introspection
7. Marketing

Findings: e-Delphi studies – process facet

- 20 groups of **issues** emerged
- **Issue** ranked most urgent/important

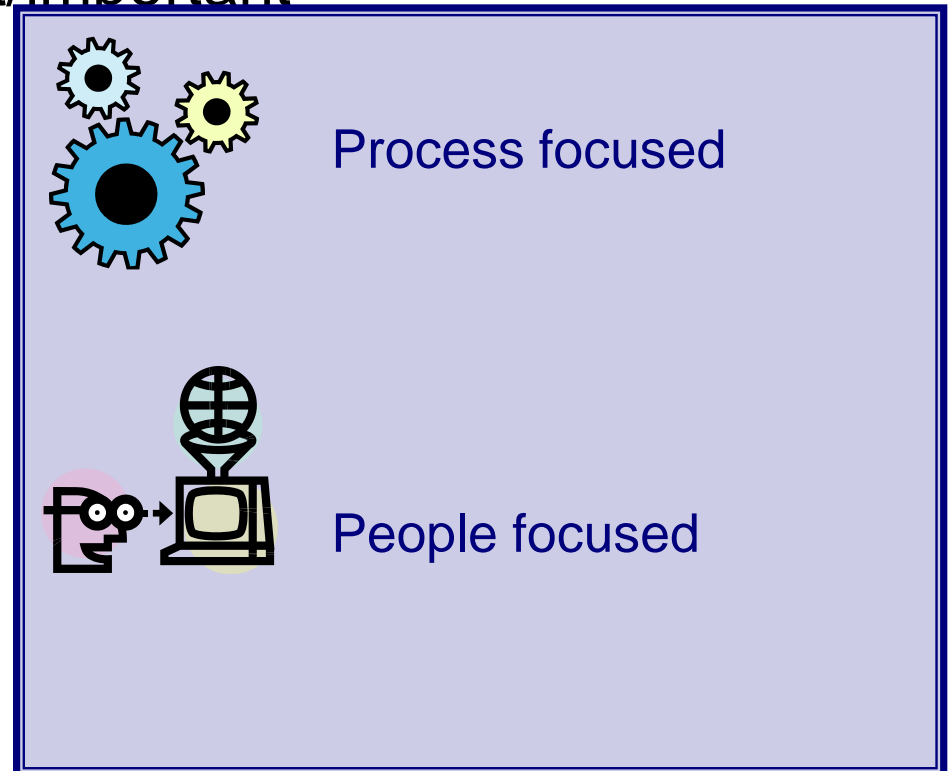
1. Organisation-level records management policies & infrastructure need to be established for e-RM

Findings: e-Delphi studies – process facet

- 20 groups of **issues** emerged
- **Issue** ranked most urgent/important

- **Solutions** to this issue

- ☐ to try
- ☐ to **avoid**



Conclusions: Methodology

SLR



Systematic Literature Review

Investigation



e-Delphi



Colloquia



Outputs

Dissemination



Conclusions: eRM - early stages



Mostly people issues / solutions



Contextualised solutions

People AC⁺erm Processes
Technology e-Delphi SLR colloquia
any questions?



Arts & Humanities
Research Council



- www.northumbria.ac.uk/acerm
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