AC+erm
Accelerating positive change in electronic records management

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Julie McLeod

Sue Childs & Rachel Hardiman
School of Computing, Engineering & Information Sciences, Northumbria University
Outline

- AC\textsuperscript{+}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
Methodology: 2a. e-Delphi studies

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

- modified version of a ‘classic’ Delphi

Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment (ranked joint 2nd by urgency)

From your own perspective and experiences, what solutions are worth trying? Say why, how, who, when and where they work or could work better. Please type your answer here …..


Donec neque justo eget felis facilisis fermentum. Aliquam porttitor mauris sit amet orci. Aenean dignissim phellentesque felis.


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.

From your own perspective and experiences, what solutions should be avoided? Say why, how who, when and where they have not worked. Please type your answer here …..

- 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.”

Methodology: 2a. e-Delphi studies

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

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

**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**
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’

**Fridge Frases**

- implement simple ERM solutions
- choose scalable solutions for ERM
- avoid perception of ERM as a burden
Methodology: 2b. Outputs – findings & vignettes

- Rich Picture

Managing e-records in a risk enabled organisation

- Focus on processes
- Compliance litigation e-discovery
- Information for my job
- Corporate memory business support
- Right decisions
- Quality data balancing risk mitigation vs exposure
- IT systems backup speed
- What are the business benefits?
Methodology: 2b. Outputs - findings & vignettes

- Story

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

I work in the NHS. Things are so different now on the technology front. NPfIT 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 on 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 organisations 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/confns

- Blog
  - 74 posts

http://acerm.blogspot.com/
Methodology: 3. Dissemination

Facts & Figures

- Website outputs
  - 4 SLR
  - 41 e-Delphi
  - 7 colloquia
  - 12 presentations/conf

- 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
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

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

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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

- Process focused
- People focused
Conclusions: Methodology

SLR

Systematic Literature Review

Investigation

e-Delphi
Colloquia
Outputs

Dissemination
Conclusions: eRM - early stages

Mostly people issues / solutions

Contextualised solutions
any questions?

- www.northumbria.ac.uk/acerm
- http://acerm.blogspot.com
- eb.acerm@unn.ac.uk