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Arts & Humanities
Research Council



Records management principles & practice in the post-modern world

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Overview

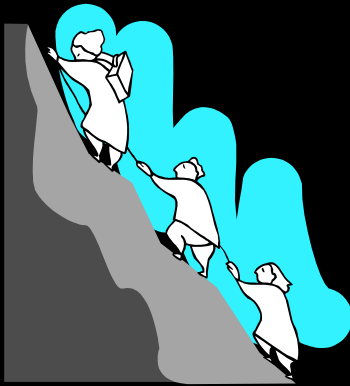
- post modern world
- RM principles
- RM practice
- RM players
- progress through partnerships

The post-modern world - nature



- complexity
- contradiction
- ambiguity
- diversity
- interconnectedness

The post-modern world - challenges

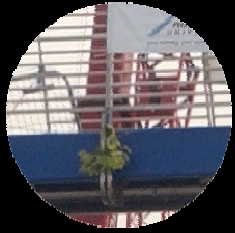


- ICTs
- legal & regulatory
- human and organisational
- records management requirements



Principles

- records & records systems characteristics
- principles of RM programmes
- processes & controls
 - capture
 - retention & disposition
 - classification & indexing
 - storage
 - access
- birth to death management
 - active, semi-active, inactive
- continuum
 - creation, capture, organisation, pluralisation



Practice

- policy, procedures, programmes
- roles & responsibilities
- systems & technologies
- standards, best practice & methodologies
- tools/toolkits
- operational, tactical & strategic

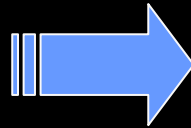
Fitness-for-purpose?





Progress

- Bearman
- Cook
- Cox
- Duranti
- Harris
- Hedstrom
- Horsman
- McKemmish
- Pitti
- Reed
- Ross
- Upward



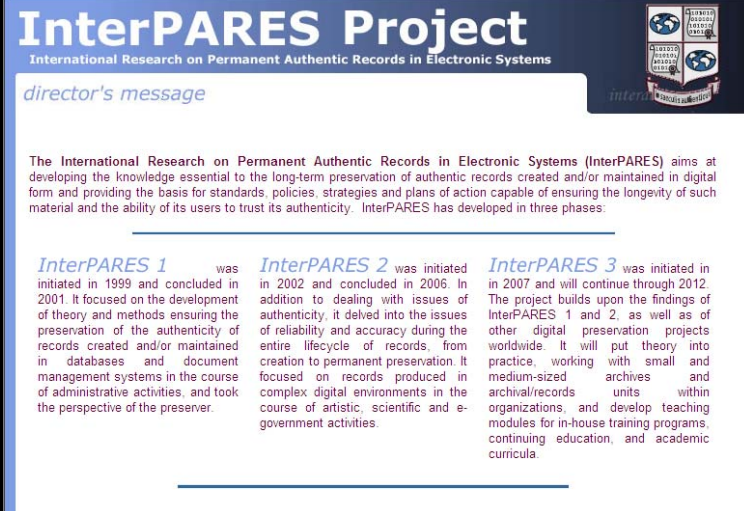
- conceptual shifts / horizon scanning
- continuum model
- functional requirements
- description & metadata
- appraisal
- digital preservation
- ethics & accountability



Progress... selected examples

- InterPARES
- CRKM - Clever RK metadata
- espida

InterPARES



InterPARES Project
International Research on Permanent Authentic Records in Electronic Systems

director's message

The International Research on Permanent Authentic Records in Electronic Systems (InterPARES) aims at developing the knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form and providing the basis for standards, policies, strategies and plans of action capable of ensuring the longevity of such material and the ability of its users to trust its authenticity. InterPARES has developed in three phases:

InterPARES 1 was initiated in 1999 and concluded in 2001. It focused on the development of theory and methods ensuring the preservation of the authenticity of records created and/or maintained in databases and document management systems in the course of administrative activities, and took the perspective of the preserver.

InterPARES 2 was initiated in 2002 and concluded in 2006. In addition to dealing with issues of authenticity, it delved into the issues of reliability and accuracy during the entire lifecycle of records, from creation to permanent preservation. It focused on records produced in complex digital environments in the course of artistic, scientific and e-government activities.

InterPARES 3 was initiated in 2007 and will continue through 2012. The project builds upon the findings of InterPARES 1 and 2, as well as of other digital preservation projects worldwide. It will put theory into practice, working with small and medium-sized archives and archival/records units within organizations, and develop teaching modules for in-house training programs, continuing education, and academic curricula.

www.interpares.org/

- Permanent Authentic Records in Electronic Systems
- IP 1
 - digital preservation theory & methods
- IP2
 - preservation guidelines for complex contexts
- IP3
 - theory into practice in smaller organisations/functions

InterPARES outcomes

- IP1
 - characteristics of digital records
- IP2
 - guidelines for making & maintaining digital materials – for creators & preservers
 - 50 case studies
 - preservation models
 - policy framework (March 2008)

CRKM project



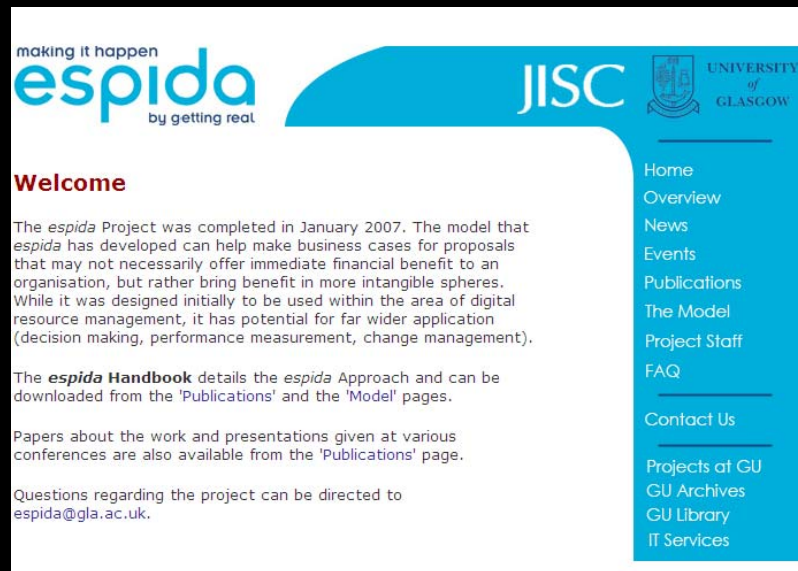
- Clever RecordKeeping Metadata project
 - create once, use many times
 - automated capture & interoperability
- Monash University, NAA, State Records NSW, Australian SoA

www.infotech.monash.edu.au/research/groups/rcrg/crkm/

CRKM project outcomes

- demonstrator system
- insight into complexity of metadata
- recommendations for RK metadata standards development
- RK in web services & service oriented architectures

espida



The screenshot shows the homepage of the espida project. At the top left, it says "making it happen" above the "espida" logo, with "by getting real" underneath. To the right of the logo is the JISC logo and the University of Glasgow crest and name. Below the logo is a "Welcome" section with a paragraph of text. To the right of the main content is a vertical navigation menu with links: Home, Overview, News, Events, Publications, The Model, Project Staff, FAQ, Contact Us, and Projects at GU (with sub-links for GU Archives, GU Library, and IT Services).

making it happen
espida
by getting real

JISC UNIVERSITY of GLASGOW

Welcome

The *espida* Project was completed in January 2007. The model that *espida* has developed can help make business cases for proposals that may not necessarily offer immediate financial benefit to an organisation, but rather bring benefit in more intangible spheres. While it was designed initially to be used within the area of digital resource management, it has potential for far wider application (decision making, performance measurement, change management).

The **espida Handbook** details the *espida* Approach and can be downloaded from the 'Publications' and the 'Model' pages.

Papers about the work and presentations given at various conferences are also available from the 'Publications' page.

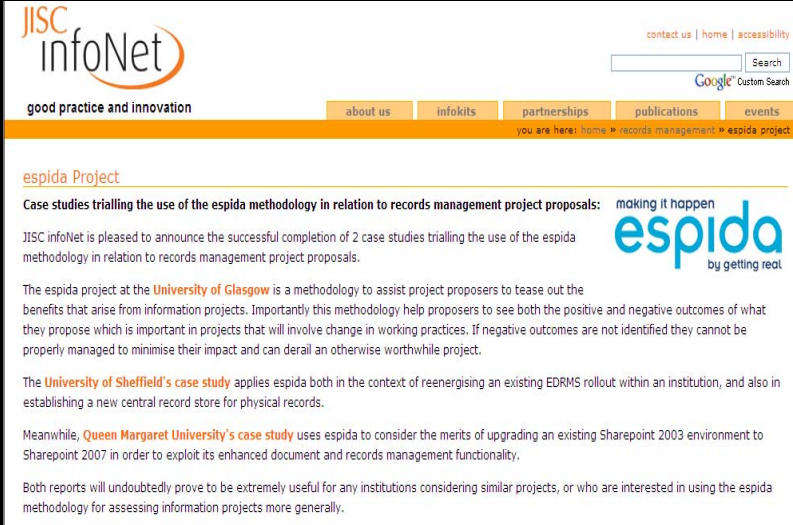
Questions regarding the project can be directed to espida@gla.ac.uk.

Home
Overview
News
Events
Publications
The Model
Project Staff
FAQ
Contact Us
Projects at GU
GU Archives
GU Library
IT Services

www.gla.ac.uk/espida/

- value of information
 - intangible benefits
- approach for
 - making business case
 - project proposers & decision makers
 - effective communication
 - informed decisions
- business language
 - balanced scorecard

espida outcomes



The screenshot shows the JISC infoNet website. The header includes the JISC infoNet logo, navigation links (contact us | home | accessibility), a search box, and a Google Custom Search button. Below the header is a navigation menu with links for about us, infokits, partnerships, publications, and events. The main content area is titled "espida Project" and contains the following text:

Case studies trialling the use of the espida methodology in relation to records management project proposals: making it happen

JISC infoNet is pleased to announce the successful completion of 2 case studies trialling the use of the espida methodology in relation to records management project proposals.

The espida project at the **University of Glasgow** is a methodology to assist project proposers to tease out the benefits that arise from information projects. Importantly this methodology help proposers to see both the positive and negative outcomes of what they propose which is important in projects that will involve change in working practices. If negative outcomes are not identified they cannot be properly managed to minimise their impact and can derail an otherwise worthwhile project.

The **University of Sheffield's case study** applies espida both in the context of reenergising an existing EDRMS rollout within an institution, and also in establishing a new central record store for physical records.

Meanwhile, **Queen Margaret University's case study** uses espida to consider the merits of upgrading an existing Sharepoint 2003 environment to Sharepoint 2007 in order to exploit its enhanced document and records management functionality.

Both reports will undoubtedly prove to be extremely useful for any institutions considering similar projects, or who are interested in using the espida methodology for assessing information projects more generally.

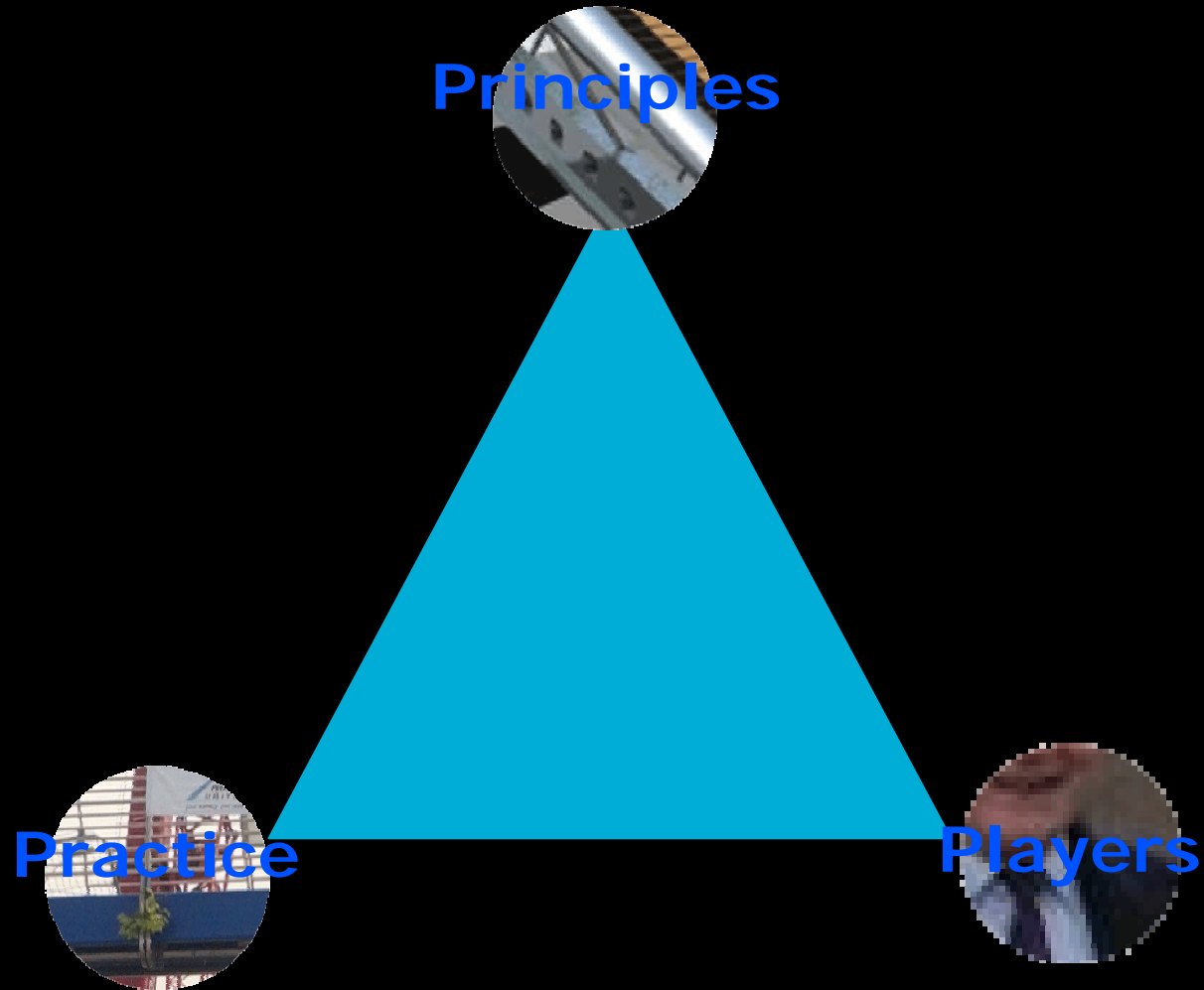
- a model or approach
 - impact scorecards
 - training exercise
- real case studies
 - EDRMS
 - Sharepoint upgrade

<http://www.jiscinfonet.ac.uk/records-management/espida>

“The trouble with research is that it tells you what people were thinking about yesterday, not tomorrow. It’s like driving a car using a rear-view mirror”

Bernard Loomis

A perspective on post modern RM





Players

- four stakeholder groups (ISO 15489)
- other information professions
- other disciplines
- others?

Witness seminars



<http://northumbria.ac.uk/sd/academic/ceis/re/isrc/conf/>

- Exploring the essence of records management (May 2006)
- Examining the issues & challenges of email & e-communications (Oct 2007)

AC⁺erm

Courses Request prospectus Student support Visiting International
Schools & Services eLibrary eLearning Portal Desktop Anywhere

Home Page > Schools & Services > Academic Schools > School of Computing, Engineering & Information Sciences > Research at Computing, Engineering and Information Sciences > Information, Knowledge and Systems Research Group > Themes > Records Management > Accelerating positive change in ERM

Accelerating positive change in ERM

AC⁺erm - Accelerating positive change in electronic records management' is a project aiming to investigate and critically explore issues and practical strategies to support accelerating the pace of positive change in managing electronic records.

Its focus is on designing an organisational-centred architecture from three perspectives: (i) people, including vision, awareness, culture, drivers and barriers; (ii) working practices including processes, procedures, policies and standards; and (iii) technology in terms of the design principles for delivering effective recordkeeping.

Funder: Arts & Humanities Research Council (AHRC) (Grant No. AH/D001936/1)
Date: January 2007 to December 2009

Project Information:
Project summary, April 2009
[ERM Project Summary](#)

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SEARCH

courses site

Project Team

Project Blog

Systematic Literature Review

Designing an Architecture

Resources

[www.northumbria.ac.uk/
acerm](http://www.northumbria.ac.uk/acerm)

Funded by AHRC

- accelerating positive change in erm
- explore issues & practical strategies
 - designing the architecture
 - people, processes, technology
- approach

AC⁺erm

ACerm - Accelerating Positive Change in Electronic Records Management

A project focusing on people, working practices and technology issues to develop a deeper understanding of how to design and implement an organisational-centred architecture for e-records management. This is a research blog for discussion, data collection and dissemination.

Wednesday, 9 April 2008

Designing an Architecture - the People Facet

We are currently working on the first stage of the investigative phase of the project. This comprises exploring three facets of designing an organisation-centred architecture for ERM - people issues, understanding work processes and systems, and technologies.

<http://northumbria.ac.uk/ed/academic/cel/ru/irc/themes/erm/arch/>

- The first facet - People - includes vision, awareness, culture, drivers and barriers.

The investigations will be conducted using a combination of e-Delphi studies and face-to-face colloquia involving an appropriate mix of experts, disciplines and recordkeeping stakeholders. The Delphi studies will build upon our findings from the systematic literature review. Using the review findings as a starting point, they will gather primary data from selected participants and develop a picture of 'expert opinion' on each facet. The colloquia, to be held in different parts of the UK, will validate and extend the Delphi studies through face-to-face discussions between more participants. The end result will be vignettes, placed in the public domain, of issues and solutions.

Information For New Visitors



Welcome to our AC⁺erm Web Log. If you wish to add comments then read the user guide at our [website](#).

The Project Team

Julie McLeod - Project Director

Sue Childs - Research Fellow

Rachel Hardman - Senior Research Assistant

Naomi Hey-Gibson - Blog Maintainer

<http://acerm.blogspot.com>

- systematic literature review
- investigation
 - e-Delphi studies
 - colloquia
 - multi-disciplinary
- dissemination
 - website & blog
- value
 - products & process

PhD research

Risk & e-RM

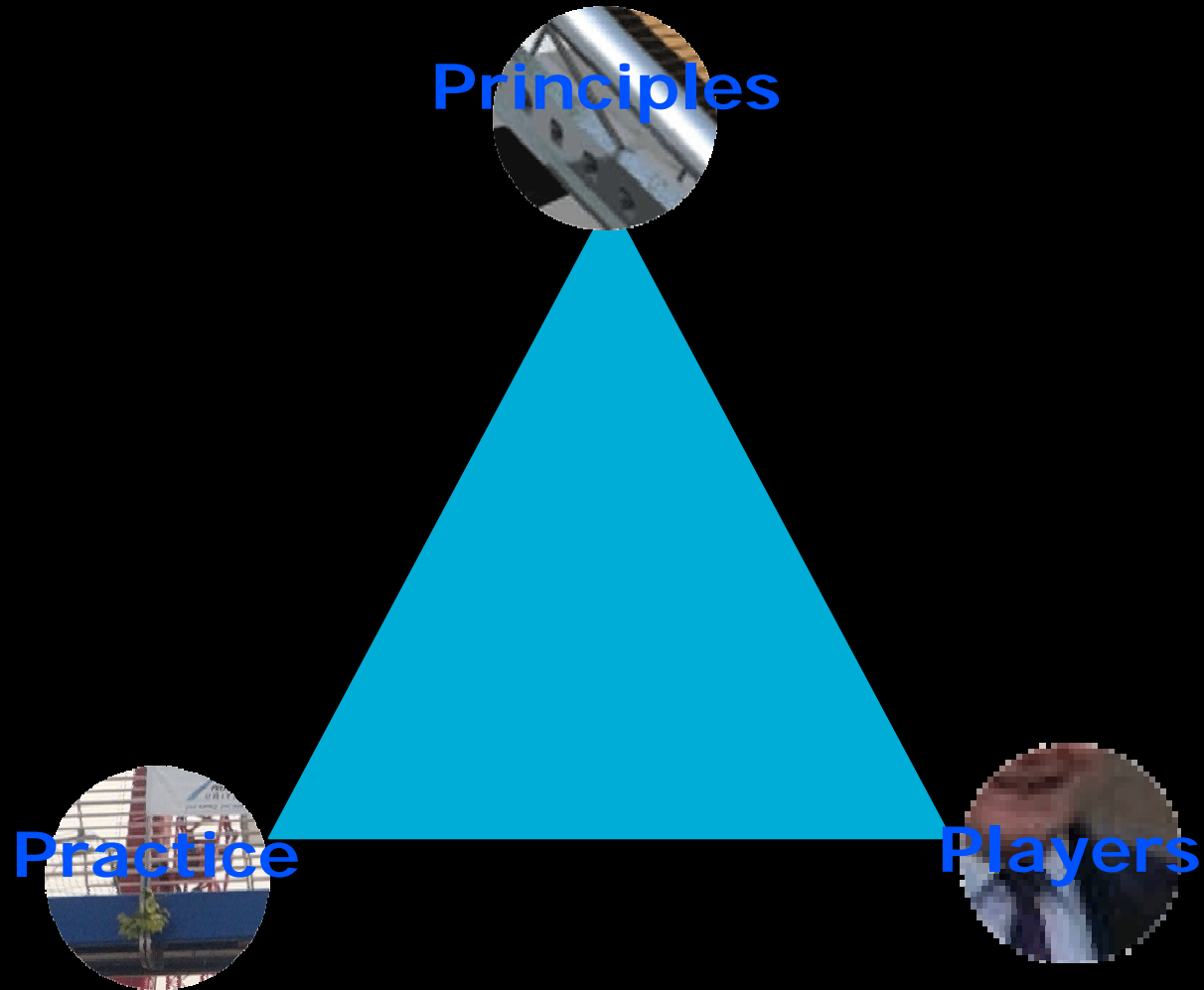
- investigate perceptions of risk
- develop model for risk & e-rm
 - SMEs
 - case studies
- naomi.hay-gibson@unn.ac.uk

Continued communication

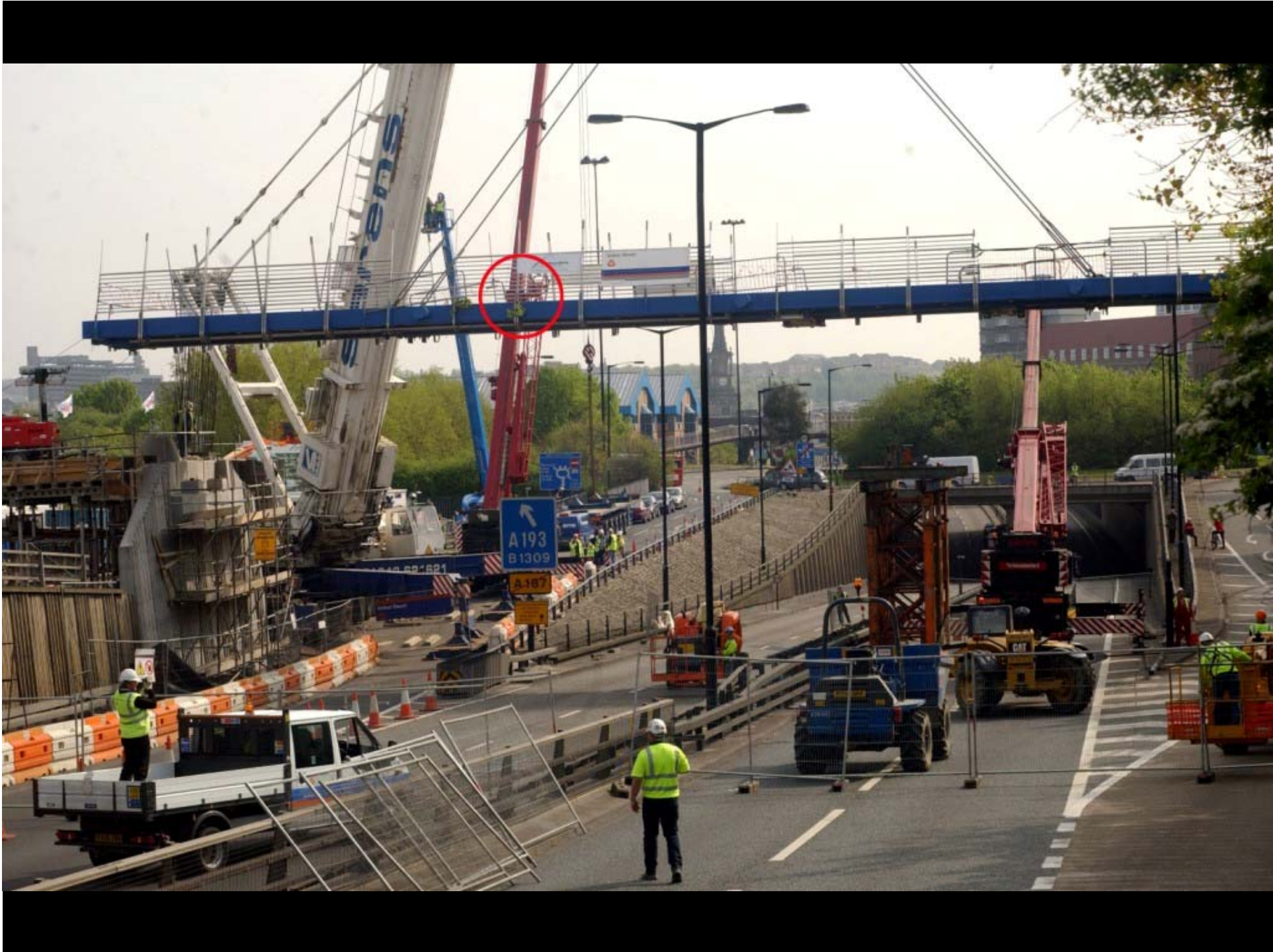
- managing records/data in information communication systems

- co-operative action research
- participants: RM practitioners & system users
- elizabeth.lomas@unn.ac.uk

A perspective on post modern RM

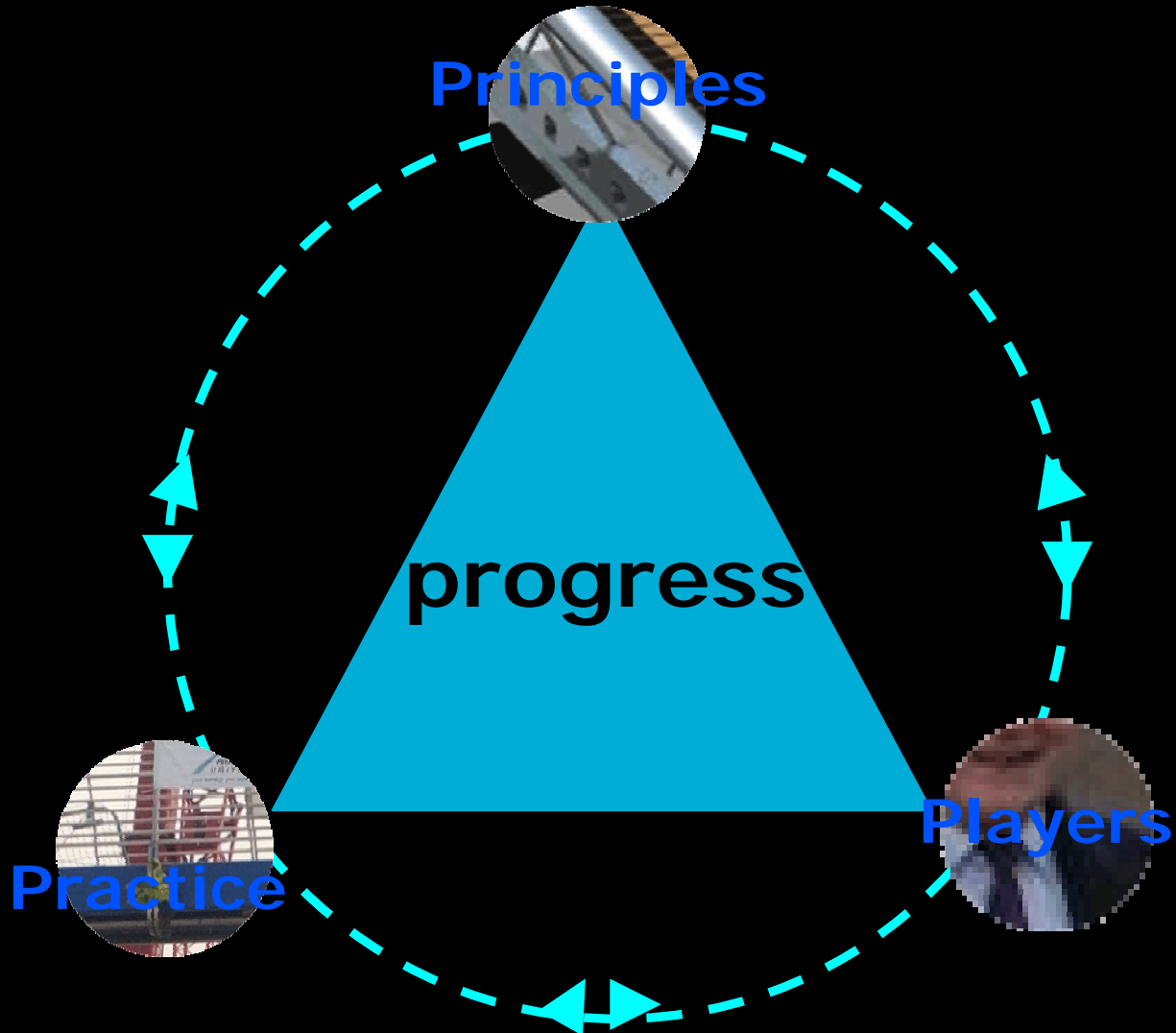








Potential power of partnerships



In summary...

- challenge our approach
- bridge gap between principles & practice
 - research projects
 - physical & virtual networking
- engage others
 - all stakeholders & multiple disciplines
 - “returning records management to the people”
(Coulson, 1998)