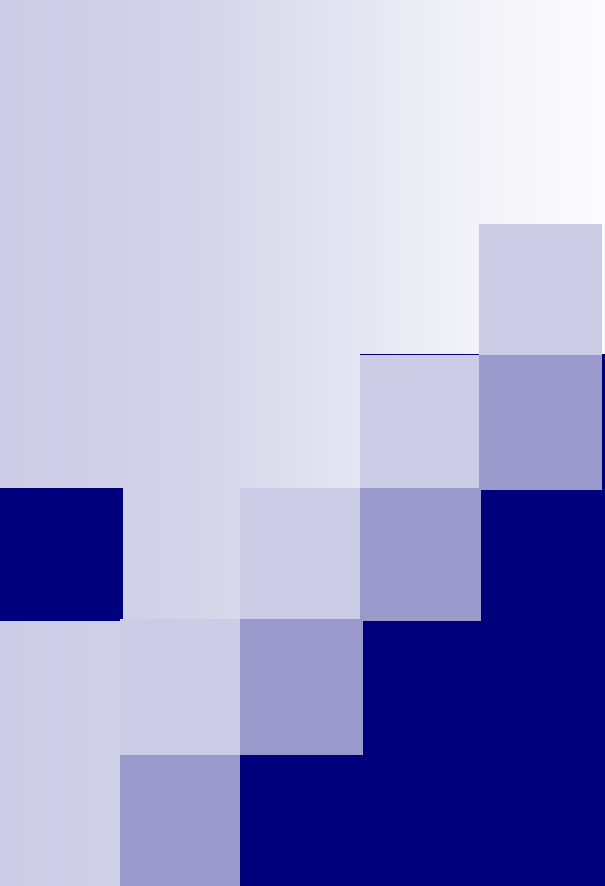


This work is licensed under the Creative Commons Attribution-Noncommercial-No Derivative Works 2.0 UK: England & Wales License. To view a copy of this license, visit <http://creativecommons.org/licenses/by-nc-nd/2.0/uk/> or send a letter to Creative Commons, 171 Second Street, Suite 300, San Francisco, California, 94105, USA.



Arts & Humanities
Research Council





Accelerating positive change in e-records management

A Brief Tour

19 November 2008, RMS London Group

Rachel Hardiman

School of Computing, Engineering & Information
Sciences, Northumbria University

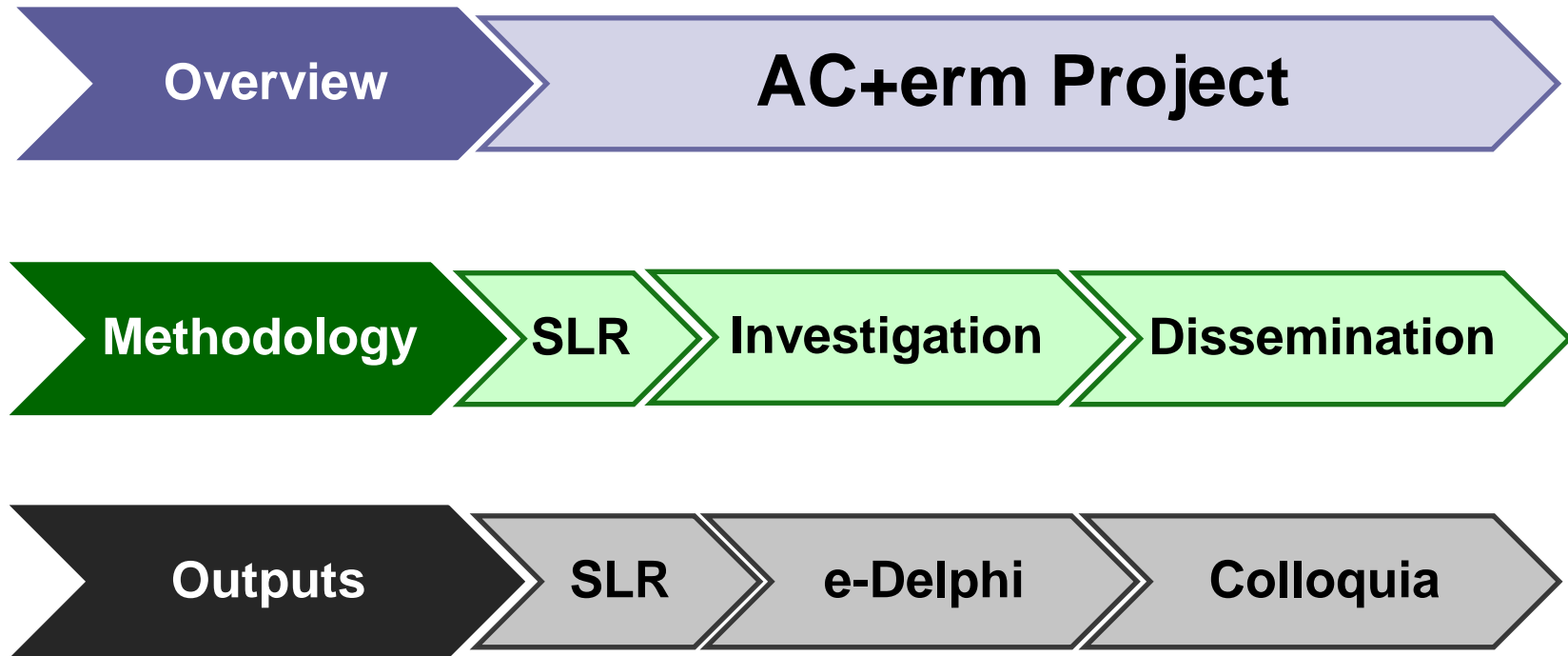
AC⁺erm project

ACcelerating the pace of +positive
change in erm



Arts & Humanities
Research Council





Overview

Origins of the project

- John McDonald...



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

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

Overview

Origins of the project

■ John McDonald...



ways out of the wilderness

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

Overview

Focus of the project

■ John McDonald...



ways out of the wilderness

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

Overview

Aims and objectives

Aim

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

Objectives

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

Overview

Value of AC⁺erm

Knowledge and understanding

- providing a deeper understanding of ERM issues and problems
- providing strategies, tactics and practical solutions

Building partnerships

- RM academics and practitioners
- engaging the wider ERM community
- UK and globally

Developing the discipline

- supporting records professionals
- developing UK's ERM research activity
- building capacity

Overview

Project participants

a

- AC⁺erm Project team

b

- Expert Panels (Advisory panel; FARMER)

c

- Delphi Study participants

d

- Colloquia delegates

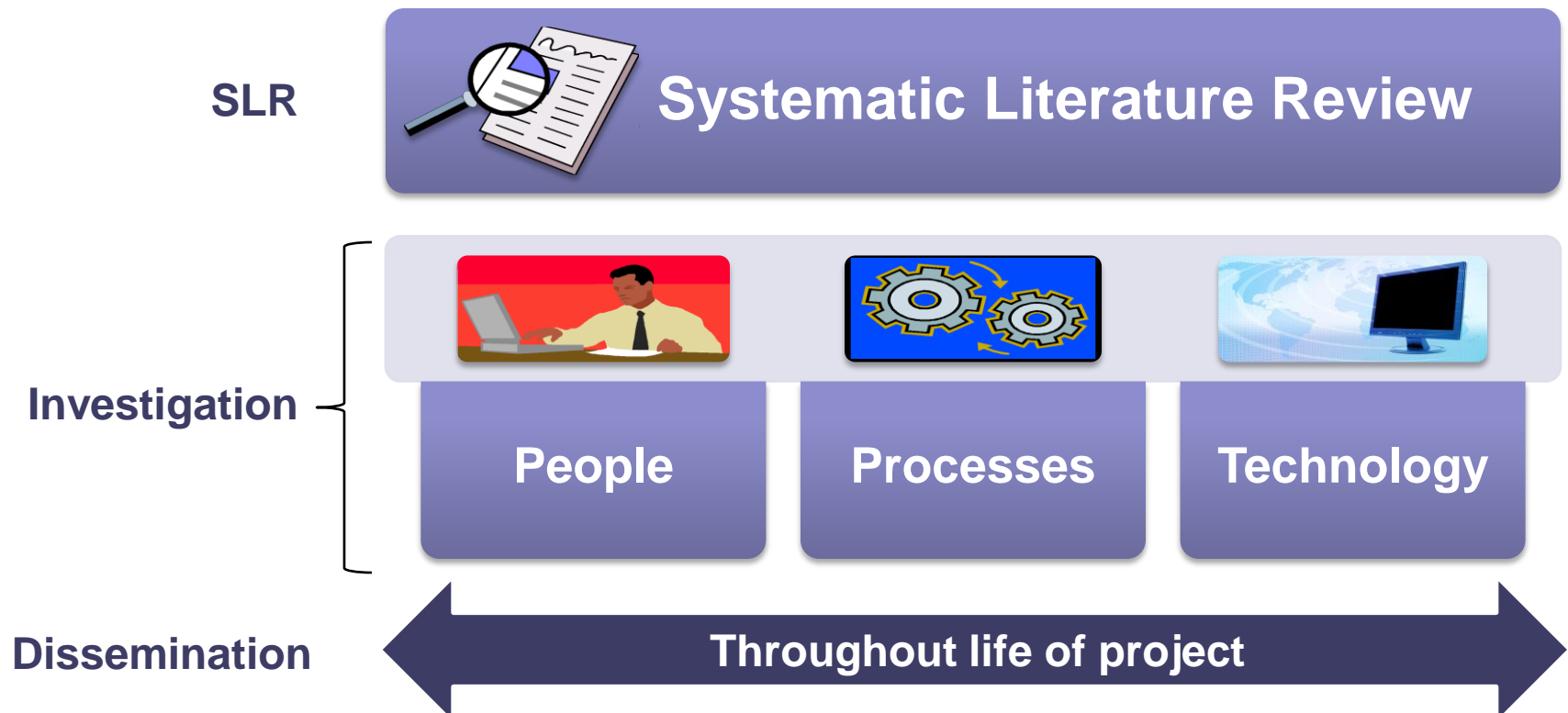
e

- You

Overview

Research process

- Qualitative
- Multi-disciplinary participants and stakeholders
- Three main phases



Methodology

Systematic Literature Review

Objective & rigorous approach

- *a priori* design – parameters set in advance
- minimizes researcher bias

Standard process

- review questions;
- comprehensive search;
- quality assessment;
- summarising evidence and interpreting findings

Narrative report & tables and bibliography

ACERM Systematic Review Data Extraction and Selection

Part 1 - Minimum Data Set

Date assigned:
 Reviewer:
 Resource ID Number:
 Review sample:
 Rejection reason:
 Select:
 Selection qualification:

Part 2 - Literature Mapping

Resource type:
 Approach/study type:
 Year of publication:
 Country (author):
 Author sector type:
 Main focus:
 Stakeholder group:
 Focus sector type:
 Focus sector type (detail):
 Country (focus):

Part 3 - Data Extraction

Number of subjects:
 Specific example(s):

- Approaches AP
- Architecture AR
- Progress PR
- Critical success factors CSF
- Barriers/Problems B/P

- Legal/statutory requirements LR
- Data protection DP
- Information access IA
- Standard ST
- Risk RI

- Model for ERM ME
- Model (paper records) MP
- Other model/paradigm MO
- RM Process RM

- People PE
- Change management CM
- Vision VI
- Partnerships - stakeholders PS
- Partnerships - trans disciplines PT
- Capacity building CP

- Productivity gains PG
- Cost saving CS
- Space saving SS
- Benefit (Other) B/O

- Technology TE
- Technology Issues TI
- Functional requirements FR
- Information security IS

Other OT

Part 4 - Summary and Evaluation

Resource type (publication) evaluation: High Medium Low
 Approach/Study type evaluation: High Medium Low
 Reviewer evaluation: High Medium Low

Summary:
 Reviewer evaluation - justification:
 Disputed items summary:

Methodology

Systematic Literature Review

- **Analysing the data – thematic analysis**
 - Selection of specific aspects via database queries
 - Identifying themes and grouping sources with themes in common
 - Tying themes to sources and evaluation criteria

THEMATIC ANALYSIS OF ARTICLES FLAGGED WITH THE TOPIC OF 'CRITICAL SUCCESS FACTORS' – INTERIM RESULTS 2007/10/30

Note: Weighting = Resource evaluation, Study/approach valuation, Reviewer evaluation. H= High, M = Medium, L= Low, e.g. [14] [HMM]
The project is looking at ERM from the three perspectives e.g. People, Processes and Technology. The relevant perspective(s) is indicated against the issues in the 'Overall Summary'.

Number of references: 21

Note: [1] and [2] refer to the same project, as does [3] and [4], therefore in the analysis these will be grouped together.

OVERALL SUMMARY

Critical success factors for the implementation of EDMS/ERMS etc., based on case examples (n=13), research* (n=1) and individual expert opinion* (n=1), were found to be:

Implementation projects are not just IT projects (covers People, Processes, and Technology Perspectives)

- not just IT projects⁵[5] [MMM]
- equal emphasis on technology, processes and people [6] [HHM]
- primarily operational [7] [HMM]
- more about change management [8] [MMM]

Commitment and support of CEOs (covers People Perspective)

- commitment and support of directors/CEOs [9] [MMM], [10] [MML], *[11] [MHH],⁵[5] [MMM], [12] [MMH], [8] [MMM]
- establish and maintain board awareness⁵[5] [MMM], [12] [MMH]

Project aligned with business objectives (covers Processes Perspectives)

- align the project with enterprise planning imperatives/organisation's business objectives and priorities [13] [HMM], [10] [MML], *[11] [MHH]
- include the project in corporate management and business plans [12] [MMH]

Methodology

Systematic Literature Review

- **Analysing the data – quantitative analysis**
 - Characteristics of sources amenable to numerical summary, e.g.
 - Sector of author >>
 - Main focus of article
 - Number of sources (total / selected / rejected)
 - Reason for rejection of sources
 - Correlation of journals and individual articles

Number of selected resources per sector of author

At least 39% of the authors work in the public sector, mostly in the universities and in central or local government agencies. A further 22% are providers of records management services, largely private-sector consultants and vendors. The heavy representation of the public sector reflects the impact of policies aimed at accountability and openness – e-government, FOIA, etc. The private sector may be under-represented in these figures, given the bias in this selection towards sources from the UK, where business may not be so heavily regulated as elsewhere; the balance may also change as more resources found by searching business bibliographic databases are analysed.

Author sector type	Number
Construction	3
Education	33
Government	26
Health	3
IT and telecommunication services	18
Media and creative services	2
Not specified	19
Pharmaceutical industry	1
Professional and business services	7
Records management services	33
Retail, hire and repair	1
To be confirmed	7

Methodology

Investigation

e-Delphi
Studies



Colloquia



Outputs
results
vignettes





Methodology

e-Delphi Study

■ Delphi technique

- ❑ Developed in 1950s at Rand Corporation
- ❑ Panel of experts (20–30 in AC⁺erm)
- ❑ Anonymity
- ❑ Exploration / refinement of issues through series of questionnaires
- ❑ Ranking of issues
- ❑ Modified version of ‘classic’ Delphi technique

	<p>Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment {ranked joint 2nd by urgency}</p>
	<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

e-Delphi Study

Delphi Main Form

Main Details Q1 Q2 Q3 Q4 Q5 Q6 Q7 Q8 Q9 Q10 Q11 Q12 Q13 Q14 Q15

ID (Record Number) 11

Participant ID 27

Facet Fp People

Number 1 1

Round I I

Response Received

Assigned to All

Analyses JMcL SMC RH

TA

PA

Participant 27 [Participant Name]

Participation Status: Active

Occupational Status: Non-Academic

Stakeholder Group

- Executive/senior manager
- Records Management professional
- Employee

* Record: 1 of 3 No Filter Search

Discipline

- Records Management (RM)
- Education
- History

* Record: 1 of 3 No Filter Search

Sector: Xr Private

Industry: Nz Not Specified

Organisation Size: Zz Not Specified

Record: 1 of 1 No Filter Search

Record: 8 of 133 No Filter Search

Methodology

e-Delphi Study

The screenshot displays the 'Delphi Main Form' application window. At the top, there is a navigation bar with tabs for 'Main Details' and questions Q1 through Q15. The 'List of Questions' section is active, showing a question titled 'Planning\General\People'. The question text is: 'Q1 ERM systems have focused on managing standard office documents. However, information/records in line-of-business systems (e.g. finance, HR, case management) and data in large, often distributed systems (e.g. research, geo-spatial data) also needs to be managed. This data/information can be in multiple formats.' Below the question is a 'Q1 Response' section containing two paragraphs of placeholder text (Lorem ipsum). At the bottom, there is a 'Themes' section with a list box and a search bar. The status bar at the very bottom shows 'Record: 1 of 1' and 'No Filter'.

Delphi Main Form

Main Details Q1 Q2 Q3 Q4 Q5 Q6 Q7 Q8 Q9 Q10 Q11 Q12 Q13 Q14 Q15

List of Questions [Planning\General\People](#)

Q1 ERM systems have focused on managing standard office documents. However, information/records in line-of-business systems (e.g. finance, HR, case management) and data in large, often distributed systems (e.g. research, geo-spatial data) also needs to be managed. This data/information can be in multiple formats.

Q1 Response

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Aenean at mi. Aenean pretium mollis neque. Duis sit amet nisl id lorem volutpat imperdiet. In sed erat. Curabitur tincidunt elementum sapien. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Sed velit est, mollis et, elementum ac, rutrum a, leo. Integer odio enim, varius ut, lacinia sed, vulputate id, lectus. Sed at dui. Nullam scelerisque euismod ipsum. Aliquam erat volutpat. Nunc auctor orci ac est. Nam leo arcu, faucibus nec, accumsan sed, pharetra sit amet, felis. Sed rutrum purus sed libero vulputate sagittis. Mauris sagittis nisi eu mi. Vestibulum ullamcorper nisl vel magna. Pellentesque ultrices pulvinar purus.

Curabitur sed augue. Integer sed tortor. Maecenas suscipit bibendum augue. Phasellus leo mauris, sollicitudin vitae, sollicitudin sed, porttitor in, elit. Integer non nisl. Curabitur quis turpis. Morbi porttitor neque aliquet nunc. In quis ante. Nulla hendrerit, augue nec vulputate lobortis, nisi libero dignissim turpis, et malesuada urna magna in sapien. Nunc lobortis. Integer est mi, luctus ac, suscipit quis, faucibus a, lorem. Aenean ac lacus at neque pharetra egestas. Curabitur egestas. Nam vel lectus eu lorem tincidunt semper. Nunc eu magna. Vestibulum a arcu. Aliquam erat volutpat.

Themes

Record: 1 of 1 No Filter Search

Record: 130 of 133 No Filter Search

Methodology

e-Delphi Study

- **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

“Grow a records management team with experts in your priority areas, e.g. records manager, lawyer, IT technical expert, project manager.”

knowledge/skills [Th] requires [Pr] build [Op] records professionals [SOO]
team (RM, multidisciplinary) [Pd] records professionals [Ag] other
professionals [Ag] organisation [Sp]

Methodology

e-Delphi Study

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

Perspectives and approaches

The environment within which people work exerts a major influence on their behaviours and practices. In a highly regulated sector or industry, an organization (or at least those parts concerned with the core function) will be fully aware of the need for good RM and recordkeeping, and may well have invested in industry-specific data and records management systems to ensure compliance. Other settings may accommodate—or even demand—far more fluid, experimental, disorganized, or haphazard ways of working. Records professionals must be flexible enough to work along all points of the spectrum, and apply RM principles through policies and practices that help rather than hinder whatever working environment and culture they find themselves in.

Each actor in a workplace is driven or constrained by a variety of factors: first and foremost, by the requirements of their role—basically, in carrying out their contractual obligations for the job they are paid to do. How they carry this out will be influenced by other factors, supposedly subsidiary but sometimes subjectively of equal or even greater importance—organizational or group culture; personal desires, objectives, or fears; relations and interactions with colleagues,

Methodology

Colloquia

■ Purpose

- ❑ data collection – validation and extension of e-Delphi studies with a larger group of participants / delegates
- ❑ dissemination – sharing ongoing research findings

■ Format

- ❑ face-to-face discussions based on results from e-Delphi studies
- ❑ delegates from diverse stakeholder groups and sectors
- ❑ colloquium for each facet under investigation (People, Processes, Technology)

■ Events to date

- ❑ People Facet colloquium – 09 October 2008 in London

Methodology

Outputs

■ Interim findings

- ongoing, regular outputs a central feature of the Project
- **SLR** – thematic and quantitative analyses for each facet
- **e-Delphi studies** – questions for each round; thematic analyses of responses; results of ranking exercises; phenomenological analyses by Project team
- **Colloquia** – issues / solutions supplementing e-Delphi results; proposals for vignettes.

■ Vignettes

- tools / exemplars drawn from research findings, in a variety of formats and tailored to a variety of audiences

■ Formal outputs

- journal articles, conference papers, etc
- final Project report

Outputs

Where can I find them?

- AC⁺erm Project website – Dissemination area
 - www.northumbria.ac.uk/acerm

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

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

Dissemination

Dissemination of findings

In line with its aim to *accelerate* the pace of positive change in ERM, the project's findings are being disseminated throughout its life on a regular basis. We hope that this ongoing dissemination will emphasise the urgency of the ERM issue, influence change as the research proceeds, and encourage widespread discussion.

These pages contain interim outputs from the various stages of the project, and will be added to as each phase or element is completed. The outputs will include questions and analyses of responses from e-Delphi studies; presentations at conferences and other events; journal articles; and vignettes.

Dissemination and discussion also takes place through the project blog and through a series of colloquia. Details of these are available through the appropriate links below or on the left of this page.

Dissemination – Systematic Literature Review outputs >>>

Dissemination – e-Delphi Study outputs >>>

Dissemination – Colloquia >>>

Dissemination – ERM resources >>>

Contact Details

Prof Julie McLeod
Computing, Engineering & Information Sciences
Northumbria University
Pandon Building
Camden St
Newcastle upon Tyne
NE2 1XE
Tel: 0191 227 3764
Fax: 0191 243 7630
julie.mcleod@northumbria.ac.uk

Search...
courses site

Project Team

Project Blog

Systematic Literature Review

Designing an Architecture

Colloquia

Dissemination

- > Systematic Literature Review
- > e-Delphi Studies
- > Colloquia
- > Resources

Outputs

Where can I find them?

- **AC⁺erm Project blog**
 - <http://acerm.blogspot.com/>

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.

Friday, 12 September 2008

[Help us identify the solutions to the people issues of ERM](#)

Would you help us by completing an online survey?

An e-Delphi study with a group of stakeholders (records professionals, senior managers, IT specialists and employees in different sectors and countries) identified over 30 core people issues in accelerating electronic records management and suggested a number of potential solutions to address them.

But, which of these solutions are most likely to succeed? We want to discover how other stakeholders/people rate them in terms of their desirability, feasibility, impact, priority, and immediacy of action, based on their experience and perspective.

We have set up an online survey at smart-survey. Completing this survey will help us to help you and others identify the solutions most likely to work and accelerate positive change in managing electronic records. It should take you about 20 minutes to complete and only requires ticking boxes and selecting options from drop down menus.

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

Outputs

Systematic Literature Review

■ Thematic analyses

- interim analysis of Critical Success Factors 2007.10
- interim analysis of People issues 2008.04
- People Facet e-Delphi study round 1 questions, based on SLR analysis
- (forthcoming) interim analysis of Process issues

■ Quantitative analyses

- Interim quantitative analysis 2007.10

Outputs

General literature / resources

■ ERM resources

- List of ERM resources (publications, institutions, blogs, etc)
- AC⁺erm electronic records Google search engine

Outputs

e-Delphi Studies

■ People Facet

- all rounds – list of questions
- Round 1 – preliminary thematic analysis of issues (text)
- Round 3 – ranking of issues in terms of urgency/importance (graphs and tables)
- Round 4 – solutions to issues: approaches that work and approaches to avoid (mind-maps, text, word clouds).
- Round 5 – phenomenological analyses of participant responses

■ Process Facet

- Round 2 – ranking of issues in terms of urgency/importance (graphs and tables).

Outputs

Colloquia

■ Colloquium 1

- Summary of issues and solutions from People e-Delphi Study
- Forum 1 – summary of discussion of issues
- Forum 2 – summary of discussion of solutions / vignettes (1)
- Forum 2 – summary of discussion of solutions / vignettes (2)

Outputs

Vignettes

- artistic draft from Colloquium delegates ...



AC⁺erm

ACcelerating the pace of
⁺positive change in erm

www.northumbria.ac.uk/acerm

<http://acerm.blogspot.com>

eb.acerm@unn.ac.uk



Arts & Humanities
Research Council



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



Arts & Humanities
Research Council



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