

AC⁺erm Colloquium 3

Forum 1: Further exploration of ‘Systems and Technology’ issues identified in the Systematic Literature Review and e-Delphi study

Comments on specific issues; issues identified as missing from original list; general comments.

In this session, delegates were each given a copy of the list of 20 issues identified from the Systematic Literature Review and Delphi Study and asked to examine it and to add any issues they thought were missing from the list. They were also invited to comment on the issues if they wished.

After delegates noted their additions or comments individually on the sheets provided, a short plenary discussion on the issues followed.

(i) Comments on specific issues

This section records annotations to individual issues on the list. Where an annotation covers more than one issue, it is included in Section (iii) (General Comments).

Text appearing in square brackets after the comments gives details of the delegate’s background, where provided, in the format [Stakeholder group–Sector–Industry]. Text in curly brackets indicates that the sheets were marked by delegates, or that further comments were made that linked with or referred to other issues, and indicates where these may be found.

1	<p>Deciding on the appropriate approach to Electronic Records Management (ERM) within a given context</p> <ul style="list-style-type: none"> • {Marked as joint most important with (15)} [n/k] • Going to be determined by technology supplier unless bespoke system – theory not implementation. [RIM–Government] • Very important – joined up approach. [RIM–Public–Government (Local)] • {See Section (iii) General comments: C02} <p style="text-align: center;"><i>(15) – Long-term storage / preservation of records</i></p>
2	<p>eMail</p> <ul style="list-style-type: none"> • {Marked with question mark} [n/k] • A dinosaur that still needs to be house-trained. [RIM–Government] • {See Section (iii) General comments: C03}
3	<p>e-Communications</p> <ul style="list-style-type: none"> • Text, blogs etc. [RIM–Private–Construction / Architecture] • Text messages. [RIM–Public–Environment] • Web-based facilities or blogs – social networking. [RIM–Public–Health] • {Marked with question mark} [n/k] • {See Section (iii) General comments: C03}

4	<p>Web 2.0 technologies</p> <ul style="list-style-type: none"> • Blogs – when do they become an information business asset? [RIM–Public–Environment] • Video presentations. [RIM–Public–Environment] • {Marked with question mark} [n/k] • Not sure what these are. [RIM–Public–Government (Local)] • {See Section (iii) General comments: C03}
5	<p>Cloud computing</p> <ul style="list-style-type: none"> • {Marked with question mark} [n/k] • What is that? Links with item 20 possible if it's IT terminology. [RIM–Public–Government (Local)] • {See Section (iii) General comments: C03} <p><i>(20) – Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.</i></p>
6	<p>Maintaining a distinction between records, information and data in the context of modern technology</p> <ul style="list-style-type: none"> • Outdated? Use of information asset. [RIM–Public–Education] • Education. [RIM–Public–Environment] • {Marked with question mark} [n/k]
7	<p>IT systems design</p> <ul style="list-style-type: none"> • RM needs to be integral part of this from planning stage. [RIM–Public–Environment] • Close relation. [n/k] • Based on the psychology of record creation and sharing need to influence IT development to include record <u>keeping</u>. [RIM–Government] • {See Section (iii) General comments: C05} • {See Section (iii) General comments: C09}
8	<p>Implementation of IT systems in complex environments</p> <ul style="list-style-type: none"> • Vendor led solutions. [RIM–Private–Finance] • {Linked with (9)} [RIM–Public–Education] • {'complex environments' underlined and annotated with question mark} [n/k] <p><i>(9) – Interoperability of systems / technology</i></p>
9	<p>Interoperability of systems / technology</p> <ul style="list-style-type: none"> • {Linked with (8)} [RIM–Public–Education] • How records [fare??] out of this and work within. [RIM–Public–Environment] <p><i>8 – Implementation of IT systems in complex environments</i></p>
10	<p>Automation of Records Management (RM) processes in systems in which information is created (e.g. office and line-of-business systems) and managed (e.g. EDRMS, line-of business systems)</p>

11	<p>Balancing the demands of systems, work processes, and users in the design and implementation of IT systems</p> <ul style="list-style-type: none"> • Need to include RM and information in the design and <u>implement</u>. [RIM–Public–Environment] • {Marked with question mark} [n/k] • {See Section (iii) General comments: C09}
12	<p>Measuring IT value</p> <ul style="list-style-type: none"> • 7, 18, 14 [n/k] (7) – <i>IT systems design</i> (8) – <i>Implementation of IT systems in complex environments</i> (9) – <i>Interoperability of systems / technology</i>
13	<p>Measuring RM value</p> <ul style="list-style-type: none"> • Risks and buy in. [RIM–Public–Environment] • How to sell – can we convince ourselves? [RIM–Government]
14	<p>Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems</p> <ul style="list-style-type: none"> • 1 {Most important} [RIM–Public–Environment] • {See Section (iii) General comments: C05}
15	<p>Long-term storage / preservation of records</p> <ul style="list-style-type: none"> • Maintaining access. [RIM–Private–Finance] • Maintaining access. [RIM–Private–Construction / Architecture] • and access. [n/k] • Access. [n/k] • Electronic and paper – ability to future proof electronic information. [RIM–Public–Environment] • {‘Long-term’ underlined} [RIM–All sectors–IM Consultancy] • {Marked as joint most important with (1)} [n/k] • Why do we keep records in the first place? [RIM–Public–Health] • and deletion / e-recovery – how can it be certain that an item is gone. [RIM–Government] <p>(1) – <i>Deciding on the appropriate approach to Electronic Records Management (ERM) within a given context</i></p>
16	<p>Digital signatures</p> <ul style="list-style-type: none"> • Authentication process inc. version control. [RIM–Private–Finance] • / Authentication and permission to document level. [RIM–Public–Education] • Authentication and authorisation. [RIM–Private–Construction / Architecture] • Evidential weight. [n/k] • Tech issue. [RIM–Public–Environment] • {Marked with question mark} [n/k] • Expand to compound documents. [RIM–Government]

17	<p>Legal practices relating to information and records (e.g. data protection / privacy, freedom of information, intellectual property rights) lag behind technology</p>
18	<p>RM practices lag behind technology</p> <ul style="list-style-type: none"> • Not linking in with IT. [RIM–Private–Construction / Architecture] • New gadgets packages first RM record. [RIM–Public–Environment] • ?Reason why ... consequences? [RIM–All sectors–IM Consultancy] • People issues too. [RIM–All sectors–IM Consultancy] • See (7) and (10) and (11) and (14) as these are the issues behind (18). No. (18) is not an issue in itself. [RIM–Government] • {See Section (iii) General comments: C05} • {See Section (iii) General comments: C13} <p><i>(7) – IT systems design</i> <i>(10) – Automation of Records Management (RM) processes in systems in which information is created and managed</i> <i>(11) – Balancing the demands of systems, work processes, and users in the design and implementation of IT systems</i> <i>(14) – Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems</i></p>
19	<p>Generational divide in attitudes towards and use of technology</p> <ul style="list-style-type: none"> • {Marked with question mark} [n/k] • {See Section (iii) General comments: C13}
20	<p>Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.</p> <ul style="list-style-type: none"> • {'It' circled] What = 'it'? {'Equal terms in practice' underlined} [RIM–All sectors–IM Consultancy] • Engagement with IT professionals, not IT itself. [RIM–All sectors–IM Consultancy] • {'to engage with it on equal terms' underlined and annotated with question mark.} [RIM–Public–Health] • RMs need to keep abreast of technology. [n/k] • and ongoing training to keep up with changing technology. [RIM–Public–Health] • {Marked with question mark} [n/k] • Rephrased to focus on enough knowledge to engage with IT professionals <u>not</u> technology and <i>vice versa</i> (People issue now). [RIM–Government] • {See Section (iii) General comments: C13}

(ii) Issues missing from the original list

This section records issues added by delegates to those on the list. The delegate responses have been grouped under rough categories.

Text appearing in square brackets after the comments gives details of the delegate's background, where provided, in the format [Stakeholder group–Sector–Industry].

<p>M01 Psychology and culture</p>	<ul style="list-style-type: none"> • How IT systems impact the psychology of records creation. [RIM–Private–Finance] • The personal aspect of computers. [n/k] • Issue of 'my computer' and 'my records' rather than organisational system which employees adhere to. [RIM–Public–Health] • People and technology: With technology, staff become "end users"! As if they are using a service or product supplied by someone else ... maybe they should be "customers"! [RIM–Public–Government (Local)] • IT jargon meaning different things. [n/k] • (11), (18), (19), (20) may be human processes rather than IT issues. [RIM–Public–Education] <p><i>(11) – Balancing the demands of systems, work processes, and users in the design and implementation of IT systems</i> <i>(18) – RM practices lag behind technology</i> <i>(19) – Generational divide in attitudes towards and use of technology</i> <i>(20) – Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.</i></p>
<p>M02 Training and education</p>	<ul style="list-style-type: none"> • Education of users – technology awareness. Constantly changing landscape. [RIM–Public–Education] • A people or a technology issue: understand technologies and keeping abreast of developments. [RIM–Public–Government (Local)] • Moving fast – e-mail now Facebook. [n/k] • Education in RM at induction. [n/k] • RMs need to keep abreast of technology. [n/k]
<p>M03 Organisational profile / recognition of RM</p>	<ul style="list-style-type: none"> • Records Management seen as an add on – not generally properly resourced either in terms of staffing et al. [RIM–Public–Education] • Records Management (in my organisation anyway) has to constantly justify its existence – quite frustrating when making the case for funding for ERM. [RIM–Public–Education] • Record managers need to have ear of IT and senior management to influence good ERM practice / development: input into strategy. [n/k]

<p>M04 Web 2.0 technology</p>	<ul style="list-style-type: none"> • Webinar conferences giving company info. [RIM–Private–Pharmaceutical] • Blogs / Twitter / texts – how do you define “what is a record?” [RIM–Public–Education] • Policy and procedure in relation to Web 2.0 technology. [n/k]
<p>M05 Industry slow to adapt to technology and <i>vice versa</i></p>	<ul style="list-style-type: none"> • Industry suspicion of electronic environment – slow moving. [RIM–Public–Education] • IT systems lagging behind industry practice!! [RIM–Public–Education]
<p>M06 Nature and properties of ‘records’</p>	<ul style="list-style-type: none"> • Texting / e-communications – are these records? Yes, if business transaction. Ref to (18). [n/k] • As a profession we don’t hear that a record is a record. [n/k] • Quality and reliability of records very important re capture in ERM. [n/k]
<p>M07 Preservation / access</p>	<ul style="list-style-type: none"> • Access to long-term present [??] records. [n/k]
<p>M08 Authentication</p>	<ul style="list-style-type: none"> • Digital signatures → authentication. [n/k] • Authentication processes – ensuring only authorised persons can access records or alter them. [RIM–Public–Education]
<p>M09 Technology / delivery choice considerations</p>	<ul style="list-style-type: none"> • If organisation is supplier led. [n/k] • Technology issue: Supplier-led development (e.g. ‘Microsoft’ organisation). [RIM–Public–Government (Local)] • If organisation is supplier led (Microsoft). [n/k] • Use of open source software. [n/k]
<p>M10 Complex environments</p>	<ul style="list-style-type: none"> • Complex organisations – how do organisations which are based in one larger organisation but funded by another cope with different IT systems etc? [RIM–Public–Health] • Technological? Organisational? Related to Issue 8. Working for an organisation which is funded by a different organisation with a different IT platform / strategy. [RIM–Public–Government (Local)] <p><i>(8) – Implementation of IT systems in complex environments</i></p>
<p>M11 Information as asset</p>	<ul style="list-style-type: none"> • Technology is an asset as well. the two (information and technology) should be managed together! [RIM–Public–Government (Local)]
<p>M12 Infrastructural aspects</p>	<ul style="list-style-type: none"> • IT infrastructure. [n/k] • No standard technology build. [n/k] • Ingest processes – IT needs at this point. [RIM–Public–Education]
<p>M13 Regulation</p>	<ul style="list-style-type: none"> • ICO new powers (Big Stick) for uninvited inspection may well give weight to imposing records management. [RIM–Public–Government (Local)]

(iii) General comments

This section records general comments and those covering more than one issue).

Text appearing in square brackets after the comments gives details of the delegate's background, where provided, in the format [Stakeholder group–Sector–Industry]. Text in curly brackets indicates that the sheets were marked by delegates.

<p>C01</p>	<ul style="list-style-type: none"> (2), (3) {bracketed} Exacerbates problem of “what is a record?” If you can say it in 150 characters, can it be worth keeping? [RIM–Government] <i>(2) – eMail</i> <i>(3) – e-Communications</i>
<p>C02</p>	<ul style="list-style-type: none"> (2), (3), (4) {bracketed} Venn diagram [n/k] (2), (3), (4) {bracketed} Venn diagrams would help [RIM–Public–Health] <i>(2) – eMail</i> <i>(3) – e-Communications</i> <i>(4) – Web 2.0 technologies</i>
<p>C03</p>	<ul style="list-style-type: none"> (2), (3), (4), (5) Not issues. [n/k] (2), (3), (4), (5) All part of the same thing – symptomatic. [n/k] (2), (3), (4), (5) Not really issues. All linked together = mger issues. [n/k] <i>(2) – eMail</i> <i>(3) – e-Communications</i> <i>(4) – Web 2.0 technologies</i> <i>(5) – Cloud computing</i>
<p>C04</p>	<ul style="list-style-type: none"> (4), (5) Not sure these are the issue i.e. new software / technology. <i>(4) – Web 2.0 technologies</i> <i>(5) – Cloud computing</i>
<p>C05</p>	<ul style="list-style-type: none"> (7), (14) {Arrow from (7) to (14)} [4 delegates, n/k] (14), (18) {Arrow from (14) to (18)} [4 delegates, n/k] <i>(7) – IT systems design</i> <i>(14) – Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems</i> <i>(18) – RM practices lag behind technology</i>
<p>C06</p>	<ul style="list-style-type: none"> Espida – embed RM issues into the strategic agenda. [RIM–All sectors–IM Consultancy]
<p>C07</p>	<ul style="list-style-type: none"> (7), (10), (14), (18) All linked. [RIM–Public–Health] See (7) and (10) and (11) and (14) as these are the issues behind (18). No. (18) is not an issue in itself. [RIM–Government] <i>(7) – IT systems design</i> <i>(10) – Automation of Records Management (RM) processes in systems in which information is created and managed</i> <i>(11) – Balancing the demands of systems, work processes, and users in the design and implementation of IT systems</i> <i>(14) – Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems</i> <i>(18) – RM practices lag behind technology</i>

C08	<ul style="list-style-type: none"> • (7) + (18) + (14) the main issue. [RIM–Public–Education] <i>(7) – IT systems design</i> <i>(14) – Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems</i> <i>(18) – RM practices lag behind technology</i>
C09	<ul style="list-style-type: none"> • {(7) and (11) linked by two-way arrow} [n/k] <i>(7) – IT systems design</i> <i>(11) – Balancing the demands of systems, work processes, and users in the design and implementation of IT systems</i>
C10	<ul style="list-style-type: none"> • {(8), (9) bracketed} Multi-Agency working now very important: health / social work / police multi-agency data stores.. [RIM–Public–Government (Local)] <i>(8) – Implementation of IT systems in complex environments</i> <i>(9) – Interoperability of systems / technology</i>
C11	<ul style="list-style-type: none"> • (10), (14), (18) [n/k] <i>(10) – Automation of Records Management (RM) processes in systems in which information is created and managed</i> <i>(14) – Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems</i> <i>(18) – RM practices lag behind technology</i>
C12	<ul style="list-style-type: none"> • {(12), (13) bracketed} Hand in hand. [RIM–Public–Government (Local)] <i>(12) – Measuring IT value</i> <i>(13) – Measuring RM value</i>
C13	<ul style="list-style-type: none"> • (18), (19), (20) {Bracketed and marked} [RIM–Public–Education] <i>(18) – RM practices lag behind technology</i> <i>(19) – Generational divide in attitudes towards and use of technology</i> <i>(20) – Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.</i>

(iv) Thoughts for discussion

T01	<ul style="list-style-type: none"> How records managers engage and influence IT architecture is the crux. IT 'Data Governance' teams are interested in RM's understanding of 'business context' and ability to 'connect' the perspectives of a large range of stakeholders. However, IT needs to be willing to acknowledge 'data' must be managed in accordance to the nature of its aggregation – high level 'data categories' may be fine e.g. some access type mgt. but insufficient to assure 'data reliability' which requires addressing with definition and scope of aggregate components at a more detailed level. [RIM–Private–Finance]
T02	<ul style="list-style-type: none"> (1), (2), (3) – agree on order. [RM / Info Prof / Employee] <ul style="list-style-type: none"> (1) – <i>Deciding on the appropriate approach to Electronic Records Management (ERM) within a given context</i> (2) – <i>eMail</i> (3) – <i>e-Communications</i>
T03	<ul style="list-style-type: none"> New technology is an increasing issue that records managers need to keep up with. [RIM–Public–Environment]
T04	<ul style="list-style-type: none"> What is the appetite of the information and records professional for change of attitude / change of approach / speaking to their counterparts in the information world? (This is a People thing!) Get involved with IT people. Keep ear on the ground for development. If you don't understand, ask and ask again (you may find they don't understand either!). [RIM–Public–Government (Local)]
T05	<ul style="list-style-type: none"> Solve the technology lag by influencing suppliers and products and many of the issues will be dealt with. [RIM–Government]

(v) Comments shared in plenary discussion

P01	<ul style="list-style-type: none"> Some issues aren't really issues e.g. technology ones (2–5) are outcomes not issues. In context of technology the (RM) profession doesn't move fast enough "the horse, its son and its grandson have bolted!" At the same time IT systems are not keeping up with business needs, e.g. e-signatures are not always supported. <ul style="list-style-type: none"> (2) – <i>eMail</i> (3) – <i>e-Communications</i> (4) – <i>Web 2.0 technologies</i> (5) – <i>Cloud computing</i>
P02	<ul style="list-style-type: none"> We haven't developed enough tools for everyone to be a records manager (and what does that mean?) Fact is lots of records are created but what are the risks of managing them? Taking a risk based approach is the way forward.

P03	<ul style="list-style-type: none"> • RMs lack influence / input to the development of technologies; need to take a step out and work with IT.
P04	<ul style="list-style-type: none"> • Managers don't understand how to manage information assets to reduce risks and increase competitiveness. Need to align RM with the organisation's strategic agenda.
P05	<ul style="list-style-type: none"> • RMs don't understand technologies and not everyone (in an organisation) embraces IT, not everyone 'does Facebook etc'. If an organisation is supplier lead (e.g. Microsoft) then they can't use other things (e.g. Web 2.0 technologies).
P06	<ul style="list-style-type: none"> • An example of Issue 8 (above) is where Organisation 1 is funded by Organisation 2 who has a different platform <i>(8) – Implementation of IT systems in complex environments</i>
P07	<ul style="list-style-type: none"> • IT systems affecting records creation processes – best thing is for RMs to come up with principles for IT systems and not be supplier/system lead; would then not be behind.
P08	<ul style="list-style-type: none"> • RM has suffered from people's willingness to take greater risks (e.g. Iraq, the global financial crisis). But is the tide now flowing in our favour (e.g. FCO and financial institutions)? Can we demonstrate we have less risky ways of doing business? Is the tide turning with new regulations – EC Solvency Directive?* We don't need a business case (for RM) now. * 'Solvency II': European Parliament approval of proposed Directive brings modern insurance regulation nearer. The European Commission has welcomed the European Parliament's approval of the proposed Directive on the taking-up and pursuit of the business of Insurance and Reinsurance, also known as the Solvency II Directive. Solvency II is a ground-breaking revision of EU insurance and reinsurance law designed to improve consumer protection, modernise supervision, deepen market integration and increase the competitiveness of European insurers. Under the new system, insurers and reinsurers would be required to take account of all types of risk to which they are exposed and to manage those risks more effectively and with increased transparency. In addition, insurance groups would have a dedicated 'group supervisor' that would enable better monitoring of the group as a whole. Intensive negotiations between the Parliament, the Council and the Commission over the recent months have prepared the ground for swift adoption by the EU's Council of Ministers, to which the text as approved by the Parliament will now return. http://europa.eu/rapid/pressReleasesAction.do?reference=IP/09/621&format=HTML&aged=0&language=EN&guiLanguage=en