



# AC<sup>+</sup>erm Project

People Facet: Delphi Study

*Thematic Analyses*



Arts & Humanities  
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The AC\*erm Project – Accelerating positive change in electronic records management' – ran from 2007 to 2010 and aimed to investigate and critically explore issues and practical strategies to support accelerating the pace of positive change in managing electronic records.

It focused 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.

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# AC<sup>+</sup>erm Output

## People Facet – Delphi Study – Overview of Entire Study

### Background *General*

The first facet of the investigative phase of the project related to the human and 'people' aspects of managing e-records. It included vision; awareness; culture; drivers and barriers; and the implication of such factors for the implementation of recordkeeping systems.

Participants in the Delphi study on the people and human aspects of ERM responded to five rounds of questions to identify, explore, and clarify the issues and solutions. We analysed the participants' responses using a range of different approaches (subject themes, numerical ratings, subjective explorations) to provide a broad view of the data. The outputs were produced in textual, numerical, graphical and diagrammatic forms to support different cognitive styles.

The study was carried out over five rounds, moving from identification and exploration of the issues through ranking them in order of urgency or importance to suggesting solutions.

Finally, an online survey was conducted to discover how the wider RM profession and other stakeholder groups rated the solutions in terms of their desirability, feasibility, impact, priority and urgency.

A diagram of the structure of the various stages of the Delphi Study is given on page (ii) overleaf.

### Nature of Output All rounds – lists of questions

Round 1 – preliminary thematic analysis of issues (text).

Round 3 – ranking of issues in terms of urgency/importance (graphs and tables).

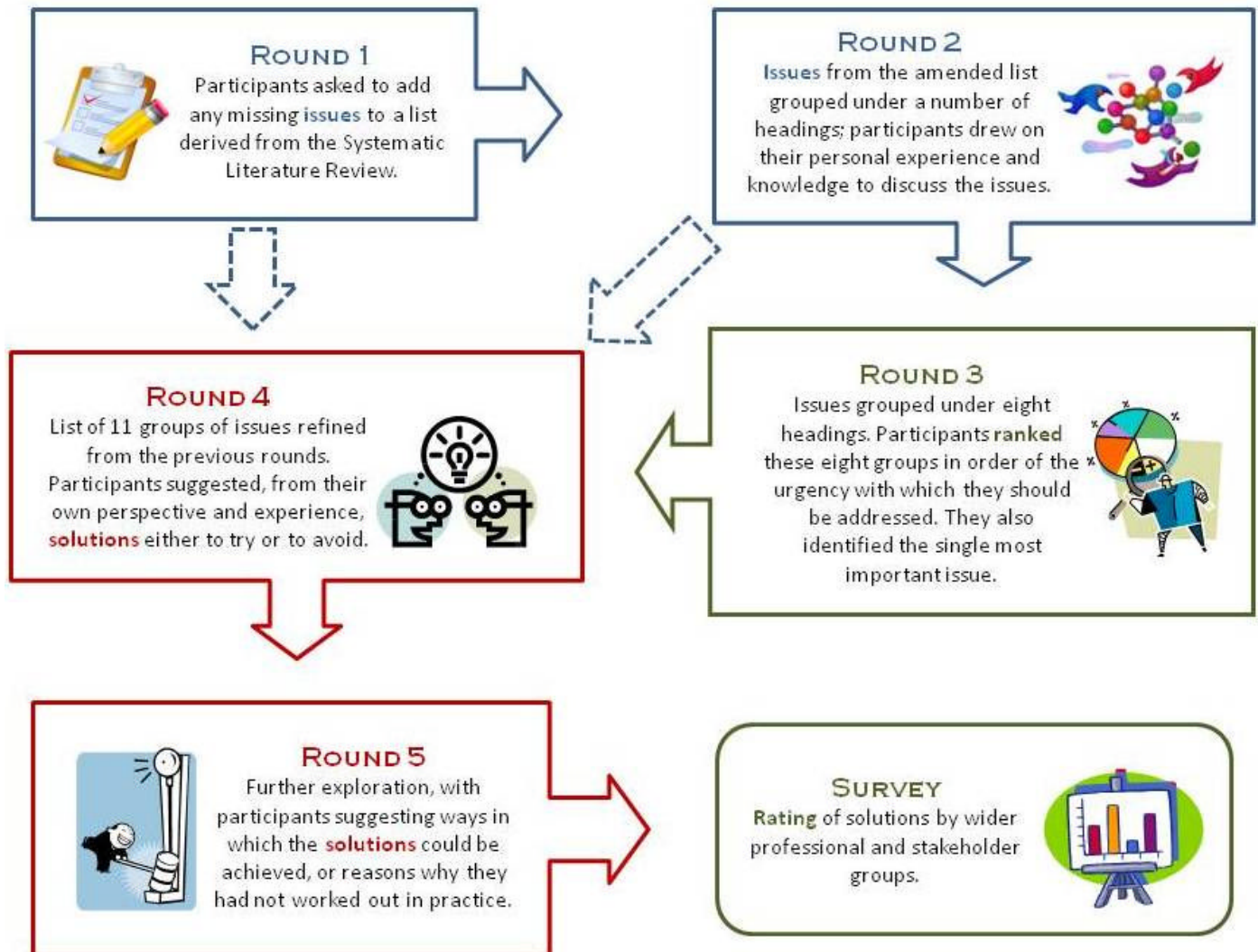
Round 4 – solutions to issues: approaches that work and approaches to avoid (PDF files of mind-maps, including text-only version; word clouds).

Survey – summary of responses to online survey (text and tables).

*[Note: separate thematic analyses were not carried on data from Rounds 2 and 5.]*



## Structure of People Delphi Study



# AC<sup>+</sup>erm Output

## *People Facet – Delphi Study – Round 1 – Identifying the Issues for Discussion*

**Background** In Round 1, the participants were provided with a list of issues that had emerged from the Systematic Literature Review (SLR), and asked to add any that they felt were missing. They were encouraged to think freely and extensively, without restriction.

Participants were also asked to advise to which stakeholder group(s) they belonged, and what their disciplinary / professional area was.

**Nature of Output** Thematic analysis of issues (format: text).

This output consists of the original list of issues and an analysis, under thematic headings, of the list as amended by participant responses.

The analysis was compiled in May 2008.

## ***People Facet – Delphi Study – Round 1 – List of questions presented to participants***

### **Round 1: Establishing the people issues**

***RM=records management; ERM=electronic records management***

#### **People issues identified:**

- Information management is not a high priority for staff
- Lack of knowledge about / awareness of importance of record keeping processes by both employees and managers
- Chief executive level vision is needed for ERM in an organisation
- ERM needs to be part of the strategic development of information systems
- Staff do not understand their responsibilities in managing information
- Staff need convincing that record keeping is important ;staff need to be persuaded to apply recordkeeping principles to e-records
- Awareness raising of managing e-records is needed at national, local and organisational levels
- IT has brought individualisation to the conduct of business
- The PC / Internet revolution has lead to people seeing information / records as theirs, not a corporate resource
- Control conflicts with spontaneity and informality of (for example) e-communications
- Many problems facing ERM systems implementation are behavioural not technical
- ERM needs commitment, cooperation, collaboration, communication and consultation with all stakeholders
- Managing electronic records is about / requires culture change
- Managing electronic records causes change (e.g. in work practices)
- Implementing any ERM system requires change management; change takes time and must be in the business case
- There is resistance to organisational & cultural changes caused be ERM
- Implementing ERM requires good planning
- A disjunction exists between RM theorist and RM practitioner understanding of e-records management
- Records professionals are grappling with ERM research & theory, vision & strategy, changing roles
- Records professionals' role is threatened by other professionals as ERM emerges
- Other professions / stakeholders have different perceptions of ERM than records / information professionals
- Records / information professionals see many challenges with ERM
- Business and IT perceive few challenges
- New partnerships needed between different information professionals (e.g. IT, records managers, archivists) to understand how to manage e-records, and design & implement systems
- ERM causes change in organisational status and power relations

- ERM alters relationships between managers and workers
- ERM encourages / requires sharing
- Awareness and training is needed at all levels within organisations to build capacity / capability
- Records managers need to make RM understandable to others
- All staff need training in how to manage records in ways that mesh with their working practices
- Records / information professionals need advanced IT knowledge & skills
- Business, IT and other professions do not fully understand what ERM is
- Staff should not be treated as a homogeneous group but differentiated by attitude and IT skills when implementing ERM systems
- Need user friendly systems requiring the minimum of behaviour change
- Tensions exist between data protection / privacy and access to information
- Ethics and societal importance of recordkeeping and special demands of e-records need more coverage

## ***People Facet – Delphi Study – Round 1 – Analysis of responses***

### **1. Systems and products**

#### ***Information and records***

- ... are cheap and simple to create, enabling easy production of information that can be both dangerous and of poor quality
- ... are generated by and represent the lives and activities of people
- ... are perceived by staff as an individual rather than a corporate resource
- ... are costly to manage in terms of money and time if they are of poor quality
- ... storage requires proactive control by records professionals
- Staff are unaware of the value of information

#### ***Recordkeeping***

- ... approach of records professionals is bottom-up, without an understanding of the top-down view
- ... benefits need to be identified for each staff member
- ... is difficult
- ... benefits of developing staff in good practice and habits
- ... staff need to be convinced of its importance, in traditional as well as electronic formats
- ... is given a low priority by staff
- Staff lack understanding, and need to be made aware, of their recordkeeping responsibilities
- ... tools need to be used appropriately

#### ***Records Management and Information Management***

- ... solutions and strategies require partnerships between IT staff, legal staff, records staff [Ag]
- ... good practice is not seen by staff as bringing individual benefits, but rather as a burdensome overhead
- ... is not seen as important by staff
- ... is considered a high priority by staff as well as records professionals, but they do not use the same terminology
- ... needs to be part of an organisation's culture to the same extent as quality assurance
- Staff lack awareness of the need to synchronize electronic and paper records
- Staff need to be made aware of the importance of RM and IM
- ... provide a long-term knowledge base, but this is not recognized
- ... poor quality brings legal implications for staff
- The risks brought by poor-quality RM can be reduced by ERM
- ... systems design and implementation should be, but often is not, integrated with working practices in a non-intrusive way
- ... tools should be intuitive and simple
- Inability to assess the business value of RM results in ERMS with low functionality
- ... value is absent from the balance sheet
- ... value is not perceived within organisations

**ERM**

- ... causes cultural change in organisations
- ... changes the relationship between managers and staff
- ... complexity of people and technical issues are not understood by IT professionals or vendors
- ... encourages information sharing, which ultimately results in more effective and efficient systems
- ... impacts on all staff
- ... is implemented inconsistently in organisations
  - There is a lack of perception about the opportunity for efficiency gains provided by ERM
- ... is perceived as a management fad
  - Staff need to understand the risks of poor ERM
- ... relevance is not recognized by managers
- ... needs to be able to manage multiple record types
- ... requires commitment from the CEO and from managers
- ... requires the drive and determination of one individual or team
- ... requires involvement at all levels in an organisation
- ... requires integration with other systems and processes
- ... requires proactive management in systems development
- ... requires new methods
- ... requires openness to ideas and prior mutual understanding by professional partners
- ... requires cross-disciplinary partnerships in research
- ... requires new partnerships with auditors and compliance]
- ... requires new partnerships with education programmes and research
- ... requires proactive planning
- ... requires proper resourcing
- ... requires allocation of responsibility
- ... requires staff to be already acclimatized to cultural change
- ... requires training
- ... requires understanding by all staff
  - Staff fear that ERM is unreliable
  - Lack of accuracy in records in ERM systems causes user disenchantment

### **ERM systems**

- ... are excessively complex
  - Control may cause conflict with informality and spontaneity, and requires a balance between control and flexibility
  - Efficient systems can cause perception of job losses
- ... provide little payback for staff
  - Inconvenient access and poor usability causes staff to retain copies of information / records for their own convenience
- ... implementation problems are mostly behavioural
- ... implementation and maintenance significantly neglects training
- ... implementation brings technical problems
- ... implementation requires change management
- ... implementation requires an emphasis on the benefits provided
- ... implementation requires partnership working between IT and records professionals to ensure a user-friendly system that works on both practical and theoretical levels
- ... implementation requires project management
- ... implementation and maintenance requires training of staff by skilled trainers as well as systems experts
- ... implementation: the length of the process is perceived as a barrier

### **ERMS**

- ... generic nature causes failure in corporate deployment across diverse organisations
- ... implementation: training frequently lacking in quality and scope

### **Information aspects / products**

- Information asset registers give rise to a narrow view of information assets by staff
- Staff are lacking in awareness of information assets and liabilities
- Staff do not share information assets
- There is a lack of recognition of the creativity, experience and authoritative knowledge that are embodied in information products, and of the potential for such recognition as a motivational factor

## 2. Agents

### *IT professionals*

- ... (mistaken) assumption that they understand RM can be dangerous and costly for organisations. There is a tension between this assumed understanding and actual lack of understanding of many basic RM principles
- ... have a project-based focus rather than the ongoing, linear focus of records professionals
- ... and business professionals' perception of ERM can cause challenges
- Education programmes for IT professionals and systems designers should include knowledge of recordkeeping
- ... require basic RM knowledge/skills
- ... and vendors sell 'silver bullets'

### *Records professionals*

- ... have an ongoing, linear focus rather than the project-based focus of IT professionals
- ... have an introspective focus on their own methods
- ... professional jealousy limits scope of training offered to staff
- ... knowledge can enhance other professionals
- ... lack recognition of end user perspectives
- ... must avoid a passive approach or victim mentality
- Education programmes for records professionals should provide skills in training
- ... require advanced IT knowledge/skills
- ... require basic IT knowledge/skills
- Good partnership working with IT professionals obviates the need for records professionals to have advanced IT knowledge/skills
- ... require specialisation in IT or legal aspects
- ... often lack the skills to manage their changing roles
- ... have insufficient voice to enable delivery of the full potential benefit of their contribution to organisational IM strategy

### *Staff*

- ... believe ERM to be time-consuming and wasting time more effectively spent elsewhere
- ... ERM responsibility can enhance quality
- ... get frustrated with a corporate desktop experience which seems outdated compared with their experience of home computing
- ... personal investment in information leads to a reluctance to delete information
- ... engage in recordkeeping without realising it
- ... have a raised expectation that IM can provide the simple and effortless search and retrieval capabilities of the Internet



### 3. Environment and processes

#### **Change**

- ... causes disruption of the routine that enables people to manage their lives
- ... causes alienation where there is a lack of staff involvement
- ... requires buy-in from and consultation of staff
- ... management is difficult
- ... management needs to be included in the business case

#### **Ecology**

- Behavioural aspects require management
- Perception that there is no need for recordkeeping as information is always right and always available on the internet

#### **Organisations**

- ... culture of fear gives rise to a perception that ERM systems are unreliable and that data will be lost when IT system go down

#### **Training**

- ... requires follow-up and reinforcement
- ... should be reinforced through a variety of options for self-study
- ... strategy should require that training is provided to staff when they are first employed and whenever new versions are introduced

#### **Data Protection**

- ... causes a lack of certainty in staff about information release
- ... causes staff to be cautious about online storage
- ... requires the accommodation of both rights and obligations
- ... requires that staff be given specific advice and training in the retention of information/records
- ... is used as a scapegoat

#### **Risk awareness**

- ... is perceived differently by different professions (records, business, IT, etc)

# AC<sup>+</sup>erm Output

## *People Facet – Delphi Study – Round 2 – Understanding the Issues*

**Background** In Round 2, the participants were provided with a list of groups of issues that had emerged from the original list of issues from Round 1 plus the further issues identified in their responses to Round 1.

They were asked to indicate how these issues manifested themselves in practice, based on their own knowledge and experience and furnishing any real-life examples where possible.

The questionnaires were sent to the participants in May 2008

**Nature of Output** No separate analysis was drafted for this round. Instead, the responses fed into the questions for Round 3 and the Phenomenological Analyses carried out in Round 5.

## ***People Facet – Delphi Study – Round 2 – List of questions presented to participants***

The question asked of the participants, in respect of each of the following groups of issues, was “From your own perspective and experiences, do these issues manifest themselves in practice, and, if they do, how? Please share any real examples.”

- 1 The e-environment creates a different culture in which records are created and used, e.g.
  - the individualisation of record creation and use
  - the informality and spontaneity of e-communications
  - e-records being easy to create but difficult to manage
  - management of e-records requiring new methods
  - synchronising the management of both paper and e-records
  - the Internet replacing the need for people to keep their own records
  - user expectations of information/records management based on their experiences of the simple search capabilities of search engines
- 2 Management of e-records is about change:
  - ERM causes change – in relationships, in working practices
  - implementation of ERM requires change – in organisational cultural, in working practices
  - CEO support for ERM is meaningful only if they also buy into a culture of shared access to corporate knowledge / information
  - this change needs to be managed – e.g. by applying change management techniques
  - change is needed even before the implementation of ERM
  - change involves the whole organisation
  - changes needs managers’ commitment – e.g. managers must be seen to be changing themselves
  - senior management commitment can suffer from the transience of personnel at this level
  - change needs involvement of staff in the process
  - staff need continuing support and encouragement after the formal implementation stage
- 3 The e-environment has altered the roles, relationships, and knowledge & skill requirements of the professions who deal with information:
  - the records professionals – records managers, RIM staff, archivists
  - the information management professionals – librarians, information & communication managers, knowledge managers
  - the IT professionals – IT, information systems
  - specialisation is needed within professions – e.g. record professionals specialising in IT, or law, or business management; IT staff specialising in record keeping
  - specialisation may not be necessary if you have good working partnerships with other professions in the organisation, e.g. records professionals working with IT professionals

4 Non-records professionals have entirely different views about record keeping. For example, many people (staff, managers, policy makers, the wider population):

- are not aware that records are more than information
- are not aware of the need for good recordkeeping
- do not realise the risks from poor record keeping
- see information as an asset but not as a liability
- do not consider recordkeeping important, even if they recognise the need for it, apart from 'their own' records
- do not see the values/benefits of the 'knowledge reservoir' residing in records
- are actually 'managing' their 'own' records, but do not see it as that, nor do it in the ways that record professionals would want them to

5 Systems for managing records are often poorly designed, e.g.

- ERM systems are expected to be more efficient, or to save time, but users may find they create more pressures and require more effort
- Users see the system as a burdensome overhead, not a value-added activity
- Users need some payback from using the system; need to clearly see what the benefits to them are; these will vary from person to person
- Users fear that ERM systems are unreliable or will lose data – they lack trust in them
- ERM systems may require users to continually check data accuracy and quality
- Who are the systems designed for? Are they designed for users?
- Making the system work – where does the real responsibility lie?
- Users need to be involved in system design and development stages
- Is system design any different in the e-environment than it was in the paper environment?

6 Information is all about people, e.g.

- Information/records represent someone's personal 'story', their life
- Information/records are personal achievements, of creativity, experience and authoritative opinion: this value is often not recognised, nor exploited
- Tensions exist between the corporate and the personal
- Tensions exist between 'your' records and 'our' records – records are needed to show all sides of the story
- Managing records involves respecting everyone's rights as well as understanding everyone's obligations
- 'Ownership' of records and their management is not about keeping information to oneself, it is about taking control of/being in control of the records; ownership is of the responsibility, not the record

# AC<sup>+</sup>erm Output

## *People Facet Delphi Study – Round 3 – Ranking of Issues*

**Background** In Round 3, the issues identified in the literature and supplemented by the comments and discussion in the first and second rounds were collated into 8 groups. Delegates were asked to rank them according to their urgency for attention if the acceleration of positive change in managing e-records is to be achieved

They were asked to (a) rank the relative urgency of the groups of issues; and (b) identify the single most important individual issue to address.

**Nature of Output** Analysis of the participant rankings (tables and charts).

This output consists of the list of issues given to participants; the weighted ranking of the issue groups in line with the responses (bar charts and tables); and the ranking of single issues (table). The analysis includes an explanation of the weighting method used.

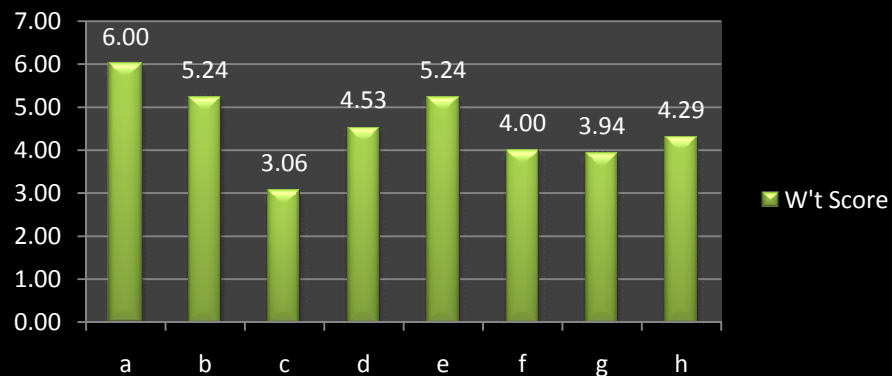
The analysis was compiled in June 2008.

## People Delphi Round 3 - Analysis

*Topic Groups provided to participants for ranking from 1 to 8 in order of decreasing urgency*

<p><b>a Actors – executives and management: lack understanding of records management and their role within that</b>  CEO must have vision and commitment if ERM is to succeed  CIO background is almost invariably IT rather than IM, which is problematic for full understanding of ERM issues  Managers need to commit not just to change in the organisation but lead by example through changing themselves  Managers can fail to recognise the relevance and importance of recordkeeping  Management commitment at senior level may be hard to sustain because of transience of staff at this level</p>	<p><b>b Actors – records professionals: need appropriate knowledge/skills, approaches and relationships for the e-environment</b>  Records professionals perceive ERM in different ways from other professionals and stakeholders  Records professionals need to build partnerships with other specialist staff (IT, legal, audit, etc)  Records professionals need to avoid introspective focus on their own methods, and recognize the perspective of end-users  Records professionals have insufficient 'clout' within organisations to enable their perspectives to fully inform corporate IM policies  Records professionals need to adapt to the changing roles, requirements, knowledge/skills and relationships required by ERM</p>
<p><b>c Actors – other professionals: lack understanding of records management and their role within that</b>  Business professionals can perceive ERM as either less challenging than it actually is or, conversely, see it as too challenging  Information professionals must form new partnerships with each other  Information professionals find their roles, relations and required skill-sets changing in the e-environment  IT professionals lack understanding of the complexities and challenges of ERM and of the human and technical aspects of implementing ERM systems  IT professionals (and vendors) sell simplistic 'silver bullet' technological solutions to IM/RM requirements/problems</p>	<p><b>d Actors – staff, users: lack understanding of records management and their role within that</b>  Lack understanding of the risks associated with poor-quality ERM  See RM requirements as a time-consuming burden rather than a benefit  Often do assign a high priority to recordkeeping, but not in the same terms as records professionals  Are unaware of their IM/RM responsibilities  Retain personal copies of records held in RM and IM systems because the systems are frequently inconvenient to use and access  Perceive the information they create as a personal or individual rather than a corporate resource, and give a higher priority to their personal information needs than to corporate IM/RM needs  Fail to share information  Do not trust the accuracy of electronic records and feel the need to constantly check them</p>
<p><b>e Systems - Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation</b>  Needs to be part of an organisation's culture to the same extent as quality assurance  Provides a long-term knowledge base, but this is not recognized  Value is not perceived within organisations and is absent from the balance sheet</p>	<p><b>f Systems – E-environment: has changed the nature of work and workplace relationships</b>  E-records are cheap and simple to create, enabling easy production of information that can be both dangerous and of poor quality  E-records are costly to manage in terms of money and time if they are of poor quality  The e-environment changes the relationship between managers and staff  The e-environment requires integration with other systems and processes  The e-environment requires new methods</p>
<p><b>g Systems - ERM systems: need to well designed</b>  Systems design and implementation should be, but often is not, integrated with working practices in a non-intrusive way  Tools should be intuitive and simple  Inability to assess the business value of RM results in ERMS with low functionality  Users need to be involved in systems design / development  Requires proactive management in systems development  Are perceived as a management fad</p>	<p><b>h Environment and processes: implementation of ERM and systems requires change and change management</b>  Change requires the commitment of managers, and their willingness to change themselves  Change needs the full consultation and buy-in of all staff  Change involves the whole organization</p>

## Ranking – Average Weighted Score (by Topic Group)



## Ranking – Average Weighted Score (by score)

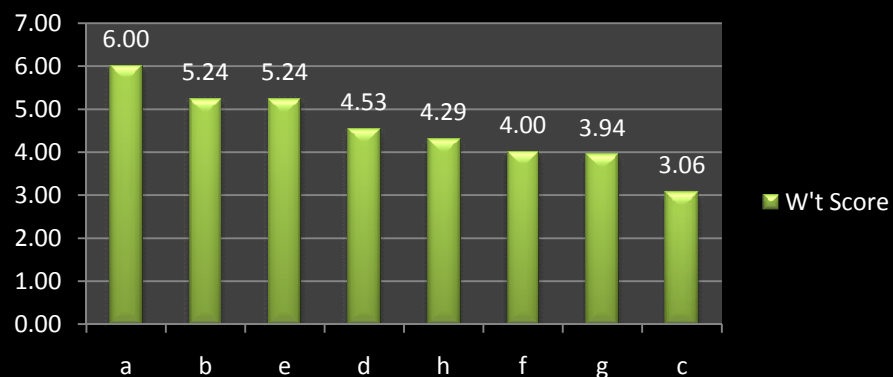


Chart Data - by Topic Group

Topic Group	Avg Score
a	6.00
b	5.24
c	3.06
d	4.53
e	5.24
f	4.00
g	3.94
h	4.29

Chart Data - by Score

Topic Group	Avg Score
a	6.00
b	5.24
e	5.24
d	4.53
h	4.29
f	4.00
g	3.94
c	3.06

Rank	Topic Groups							
	a	b	c	d	e	f	g	h
1	6	2	0	1	4	1	1	2
2	2	3	1	3	3	3	1	1
3	1	4	1	3	2	3	2	1
4	5	2	1	2	2	0	2	3
5	2	2	3	2	0	1	5	4
6	0	2	4	1	3	3	1	3
7	0	2	3	4	2	2	2	1
8	1	0	4	1	1	4	3	2
All	17	17	17	17	17	17	17	17
Weighted Score	102	89	52	77	89	68	67	73
Avg W't'd Score	6.00	5.24	3.06	4.53	5.24	4.00	3.94	4.29

A weighting from 8 to 1 in order of importance has been assigned to the selections made, then divided by the number of responses to arrive at the average weighted score.

### Example:

6 participants gave a ranking of 1 ('most urgent') to Topic Group (a), 2 gave a ranking of 2, and so on.

A weighting of 8 is applied to those ranked 1, 7 to those ranked 2, etc.

Weighted Score =  $8 \times 6 + 7 \times 2 + 6 \times 1 + 5 \times 5 + 4 \times 2 + 3 \times 0 + 2 \times 0 + 1 \times 8$

Average Weighted Score =  $\frac{\text{Weighted Score}}{17}$

Topic Group	Topic - single most important	Votes
a	Managers need to commit not just to change in the organisation but lead by example through changing themselves.	3
e	Records Management... Needs to be part of an organisation's culture to the same extent as quality assurance	3
a	From my perspective the CEO can determine the level of success of ERM within organisations. To see the benefits of ERM the CEO must fully support the necessary policies and resources to change organisational behaviours to succeed.	1
a	Managers can fail to recognise the relevance and importance of recordkeeping.	1
a	Maintaining management commitment at senior level. Succession planning for policy, attitudes and behaviours is needed as well as for roles and responsibilities and should be built into 5-year business plans.	1
b	Records professionals need to avoid introspective focus on their own methods, and recognize the perspective of end-users	1
b	Records professionals need to adapt to the changing roles, requirements, knowledge/skills and relationships required by ERM.	1
d	Perceive the information they create as a personal or individual rather than a corporate resource, and give a higher priority to their personal information needs than to corporate IM/RM needs	1
e	Value is not perceived within organisations and is absent from the balance sheet	1
g	ERM systems: need to well designed. RM system design and implementation should be, but often is not, integrated with working practices in a non-intrusive way	1
h	Environment and processes: implementation of ERM and systems requires change and change management.	1
h	Change needs the full consultation and buy-in of all staff	1
x	The concept of records management needs to be dissolved into normal working practice such as quality and not perceived as an isolated insular activity that gives the impression of requiring extreme amounts of effort. ECM systems must be designed in a fashion that is almost transparent in relation to the Business Function Activities. People have adapted electronic systems to meet their needs basically because they could and due to the lack of direction in the evolving years because they had to. Records Management should be promoted as a vital element of Information Governance which is in keeping with the context of Enterprise Content Management.	1



# AC<sup>+</sup>erm Output

## People Facet – Delphi Study – Round 4 – Proposed Solutions

**Background** In Round 4, the participants were provided with a list of 11 groups of issues refined from the previous rounds. These issues were selected as follows:

- Eight groups of issues ranked as ‘most urgent’ in Round 3
- The two single issues ranked as ‘most urgent’ in Round 3
- An additional group of issues identified by the project team as emerging from the literature and the responses to earlier rounds

Participants were asked to suggest, from their own perspective and experience, solutions either to try or to avoid, expanding on the contexts in which the solutions had worked, could have work better, or had not worked. They were also invited to add solutions to any other relevant issues that they felt were not covered under the 11 sets presented in the questionnaire.

**Nature of Output** Analysis of solutions proposed to the issues identified and prioritized in Rounds 1–3 (formats: mind maps; word clouds; text).

This output consists of the questions put to the participants and the analysis, under thematic headings, of their responses.

The analysis is primarily presented using mind maps created using the MindGenius software application, which are provided here in the form of snapshots of the individual mind-map ‘branches’ along with a textual version that preserves the hierarchies of the visual maps.

Two word clouds generated using the free web-based application Wordle are also presented, whereby the font size of the word or phrase as it appears in the ‘cloud’ graphic is proportional to the frequency of a topic’s appearance.

An additional mind map that illustrates some primary relationships between actors, systems and environment in the context of ERM.

The analyses were compiled in June 2008.

## ***People Facet – Delphi Study – Round 4 – List of questions presented to participants***

**For each of the 12 groups of issues below, participants were asked to respond to these two questions:**

- From your own perspective and experiences, what solutions are worth trying? Say why, how, who, when and where they work or could work better.
- From your own perspective and experiences, what solutions should be avoided? Say why, how, who, when and where they have not worked.

### **Groups of Issues**

- 1** Executives and management lack understanding of records management and their role within that {*ranked 1<sup>st</sup> by urgency in Round 3*}
- 2** Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment {*ranked joint 2<sup>nd</sup> by urgency*}
- 3** Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation {*ranked joint 2<sup>nd</sup> by urgency*}
- 4** Staff, users: lack understanding of records management and their role within that {*ranked 4<sup>th</sup> by urgency*}
- 5** Implementation of ERM and systems requires change and change management {*ranked 5<sup>th</sup> by urgency*}
- 6** E-environment: has changed the nature of work and workplace relationships {*ranked 6<sup>th</sup> by urgency*}
- 7** ERM systems: need to well designed {*ranked 7<sup>th</sup> by urgency*}
- 8** Other professionals: lack understanding of records management and their role within that {*ranked 8<sup>th</sup> by urgency*}

### **Single Issues**

- 9** Managers need to commit not just to change in the organisation but lead by example through changing themselves {*single issue ranked joint 1<sup>st</sup> by urgency*}
- 10** Records/information management needs to be part of an organisation's culture to the same extent as quality assurance {*single issue ranked joint 1<sup>st</sup> by urgency*}

### **Additional Issues**

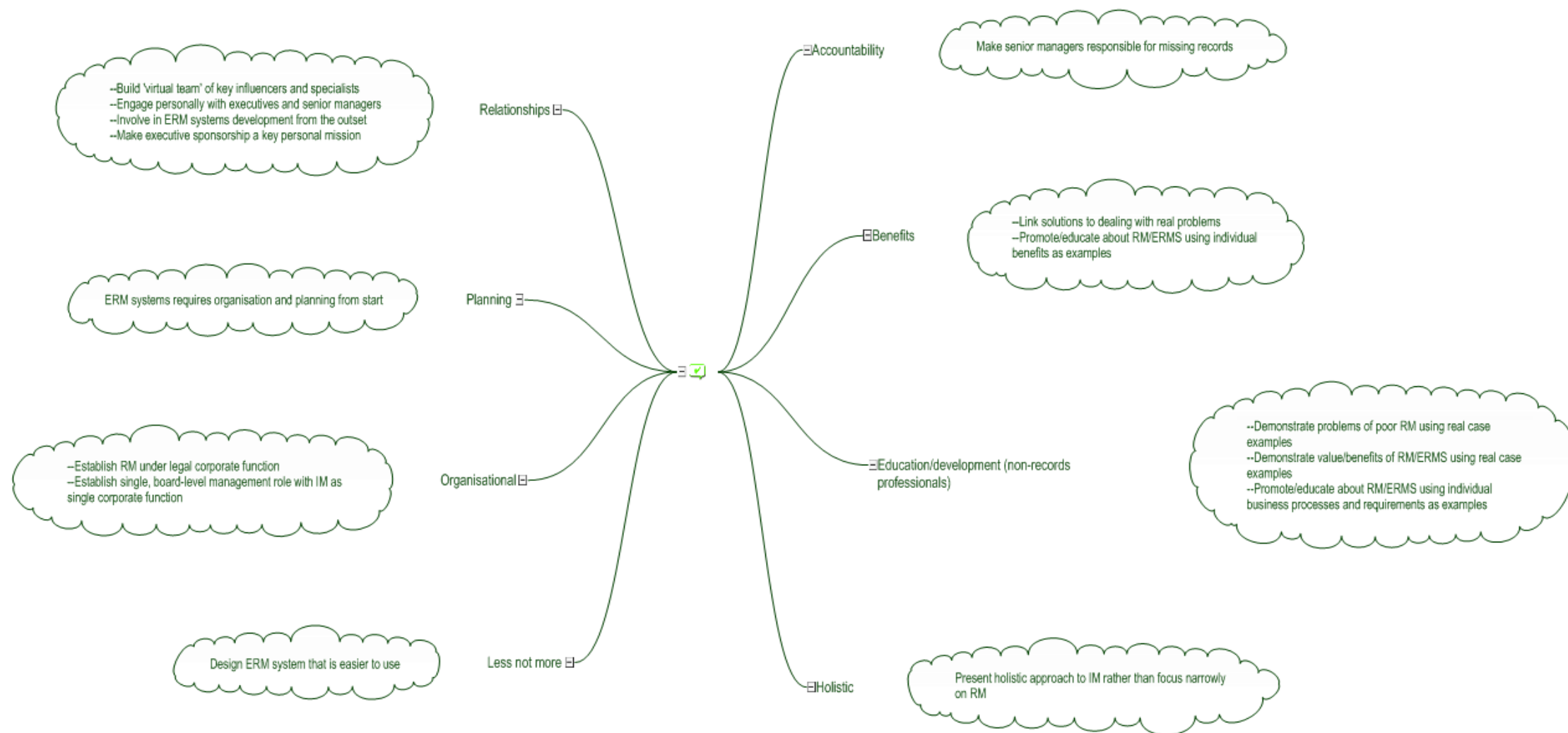
- 11** Integration/interoperability of ERM systems with other systems/processes is needed {*additional issue identified from further analysis of the results from rounds 1 to 3*}
- 12** Any other solution(s) that you think should be tried, or avoided, that does not fit in with the above issues but should be included at this stage

# ERM People Issues - Outline of solutions proposed in Round 4 of Delphi Study

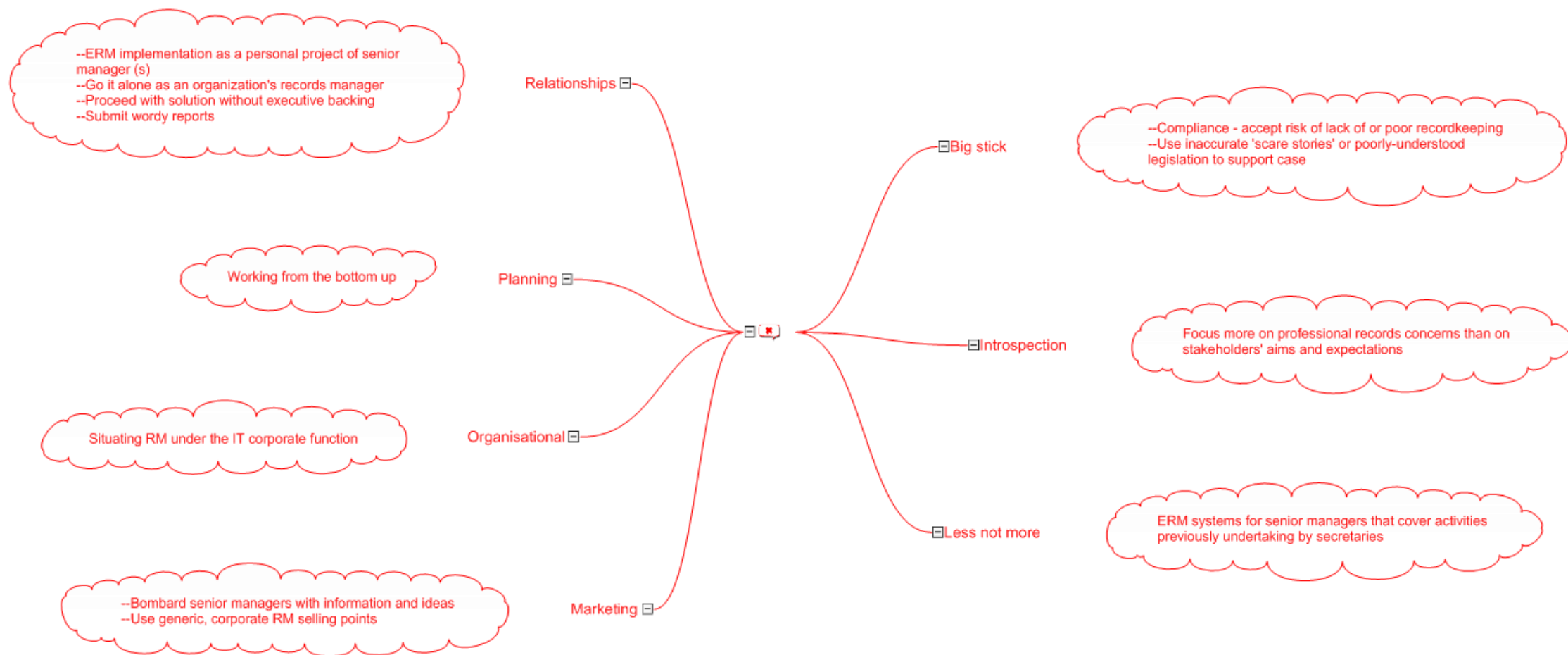
**ERM People Issues - Outline of solutions proposed in Round 4 of Delphi Study.**

1. Executives and management lack understanding of records management and their role within that
2. Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment
3. Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation
4. Staff, users: lack understanding of records management and their role within that
5. Implementation of ERM and systems requires change and change management
6. E-environment: has changed the nature of work and workplace relationships
7. ERM systems: need to well designed
8. Other professionals: lack understanding of records management and their role within that
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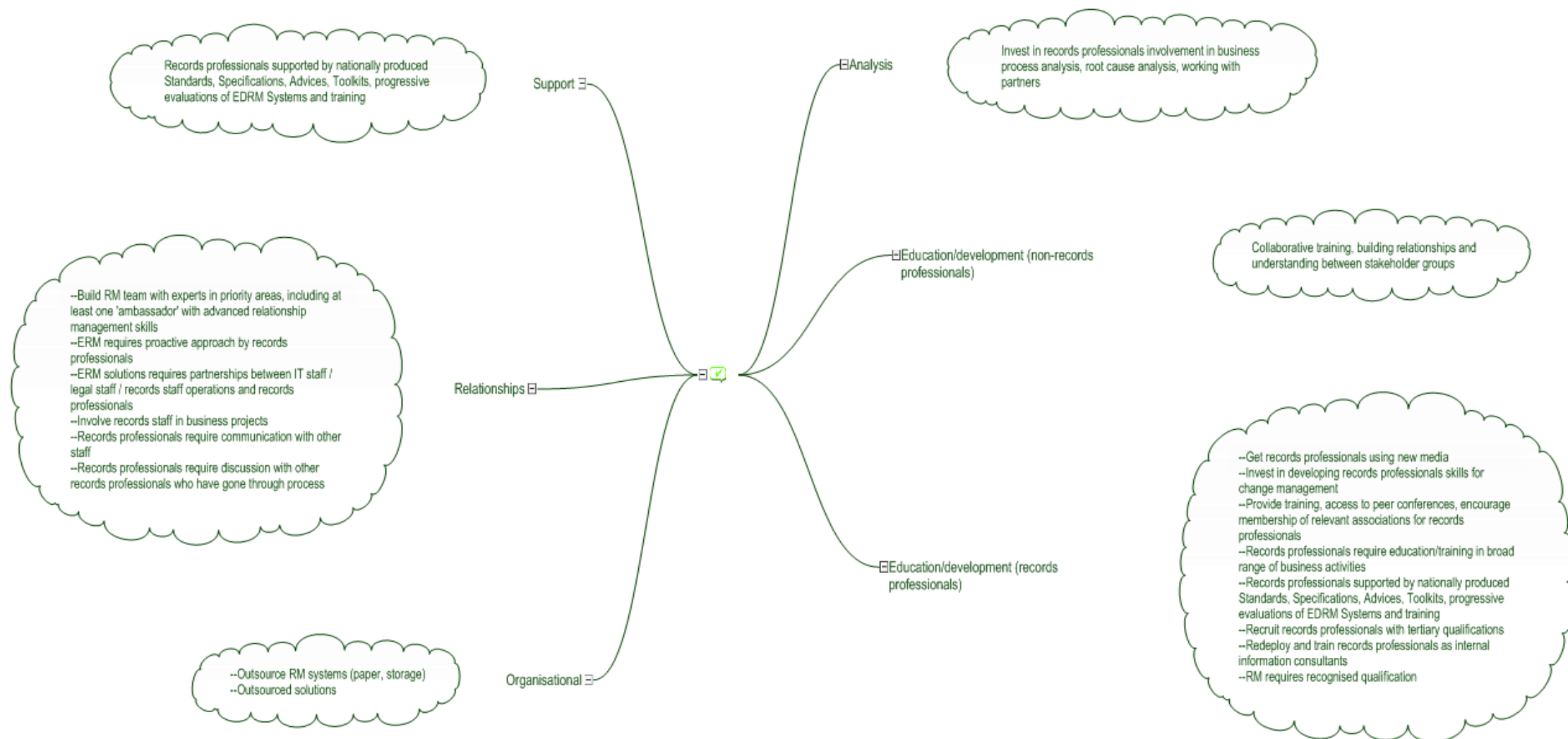
# 1. Executives and management lack understanding of records management and their role within that: Solutions that work



# 1. Executives and management lack understanding of records management and their role within that: Solutions to avoid



## 2. Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment: Solutions that work



## 2. Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment: Solutions to avoid

Isolated records professionals, going it alone

Relationships



Education/development (records professionals)

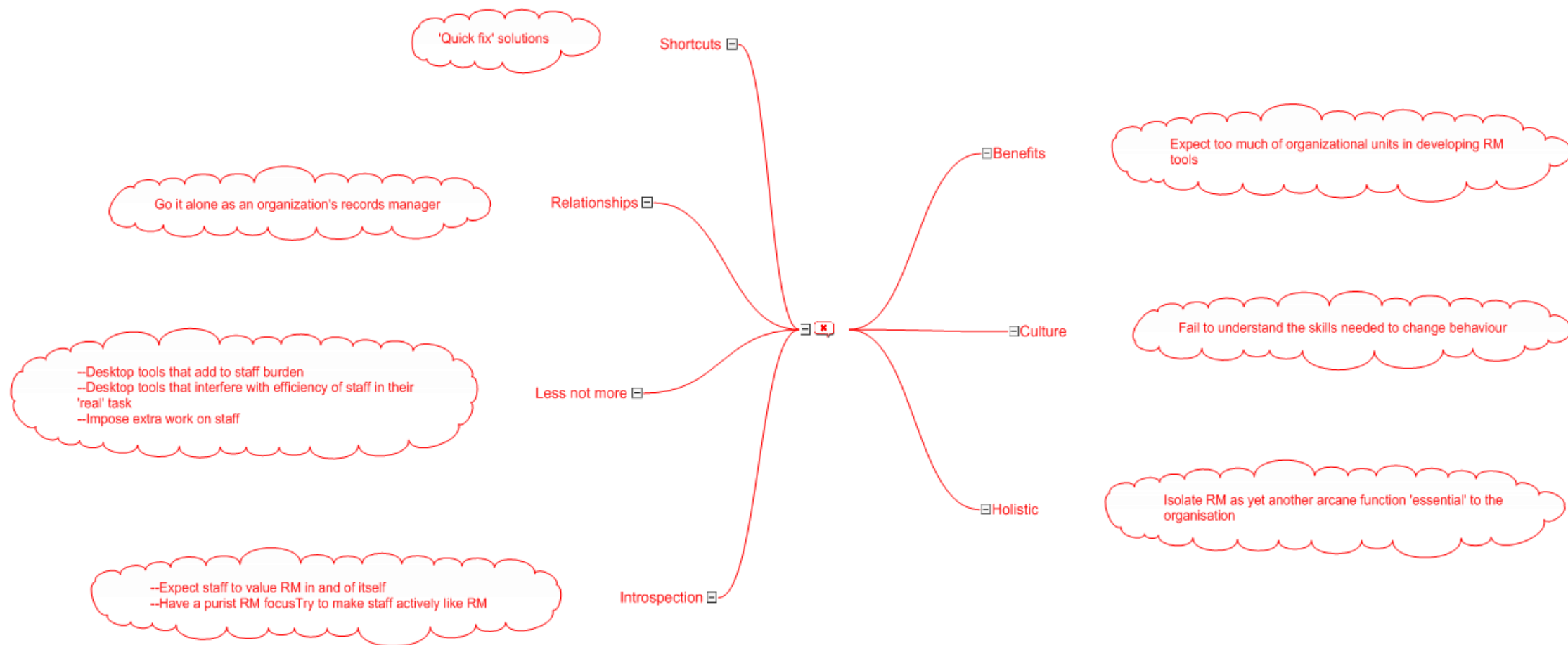
- Education by vendors
- Emphasise project management training
- Expect universal expertise in records professionals
- Expecting change to occur from within the existing records staff
- Fail to elicit at the interview stage whether candidates have the full range of competencies and qualities required
- Hire on the basis of qualifications only



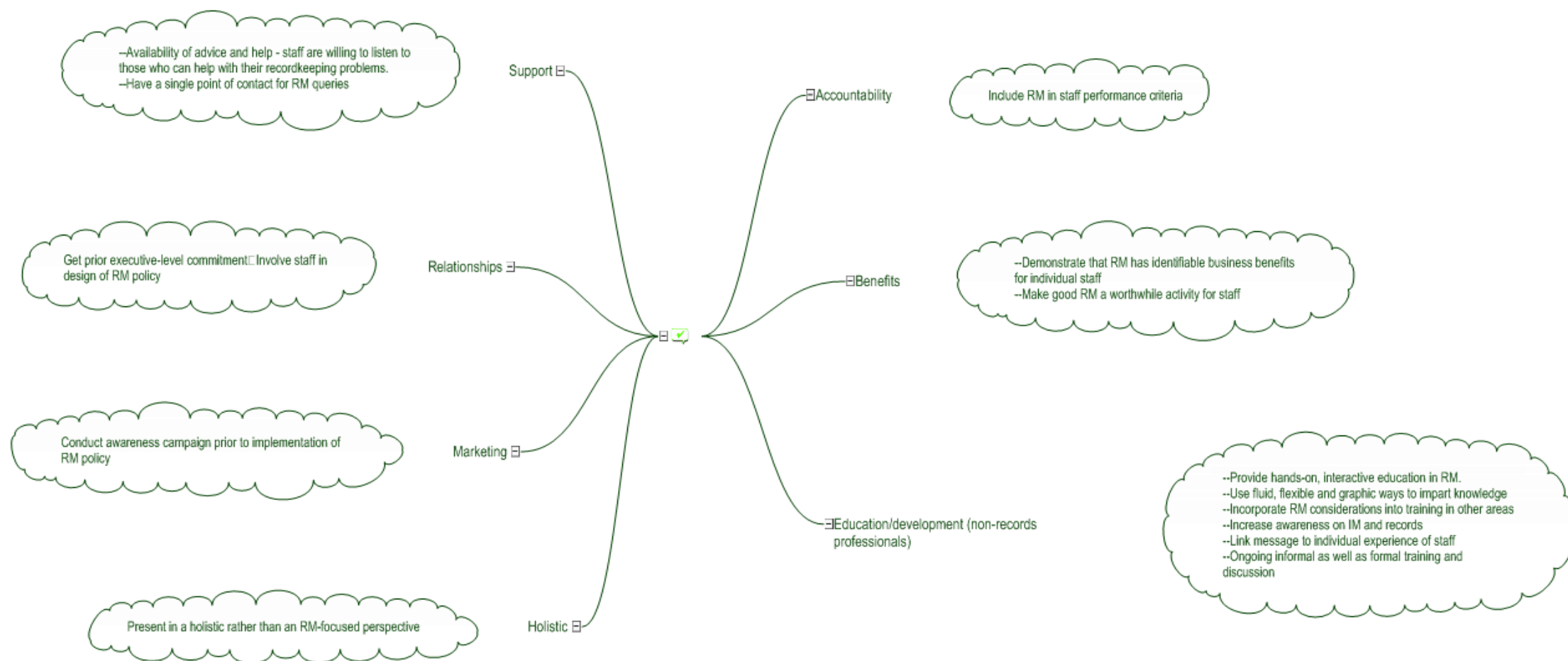
### 3. Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation: Solutions that work



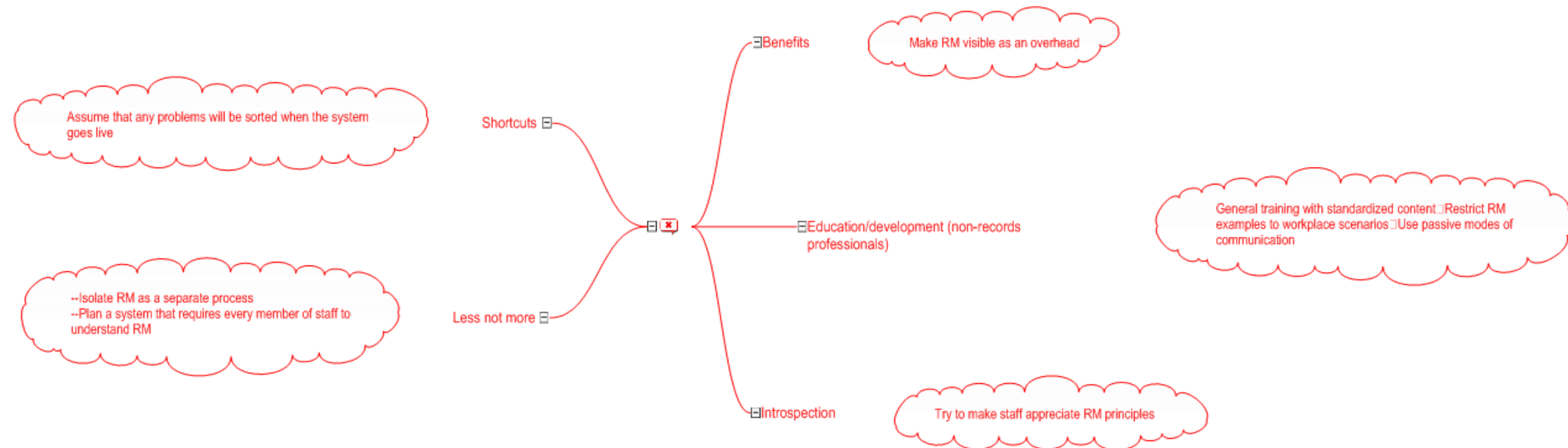
### 3. Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation: Solutions to avoid



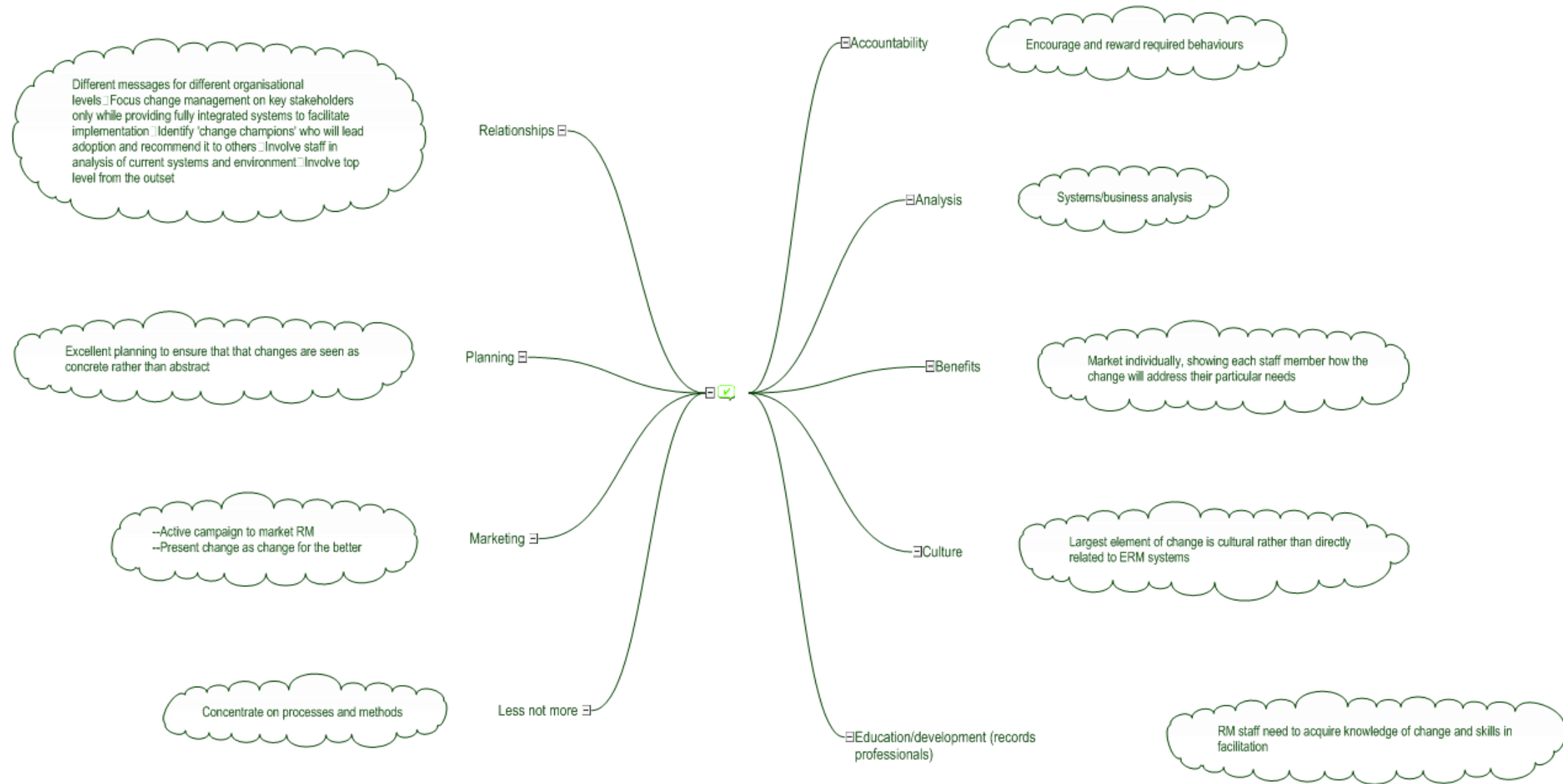
## 4. Staff, users: lack understanding of records management and their role within that: Solutions that work



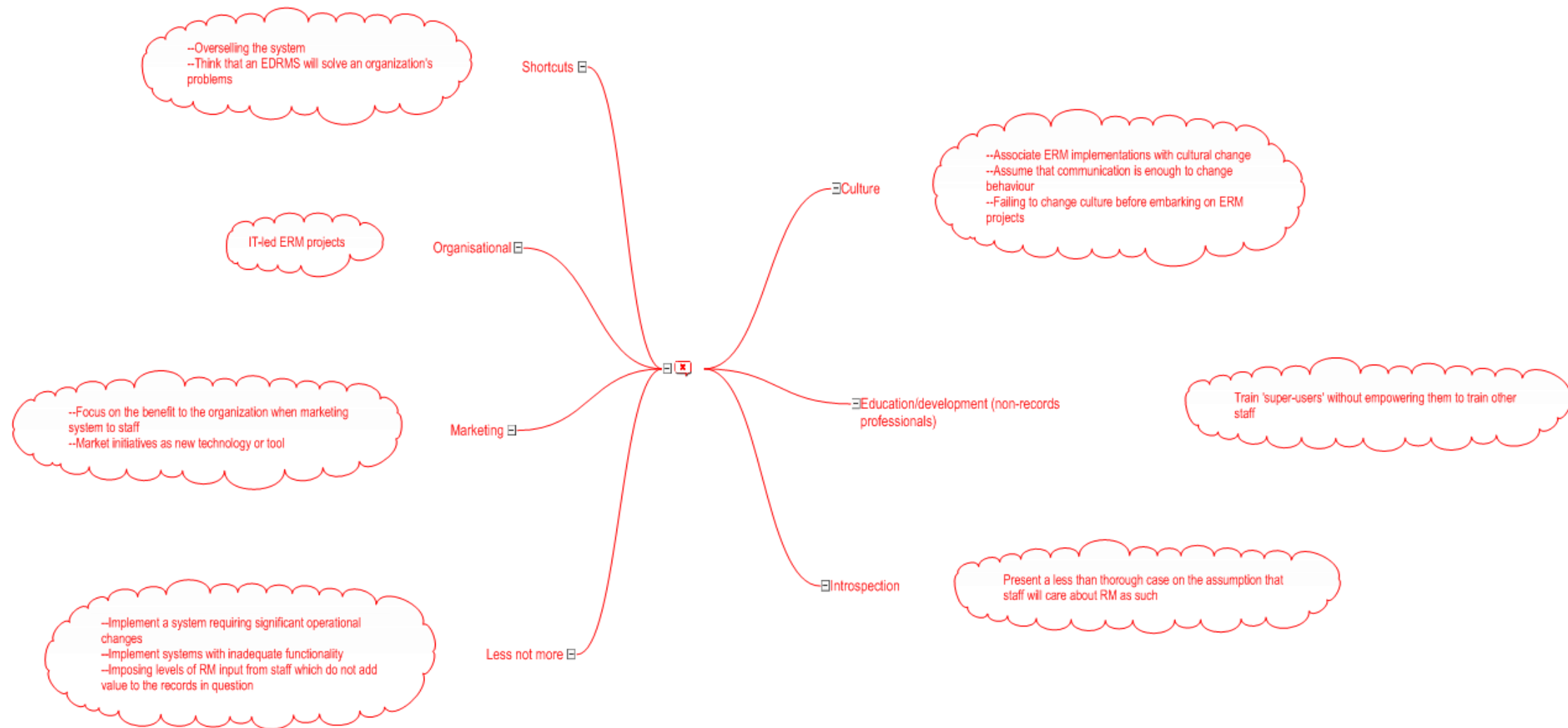
4. Staff, users: lack understanding of records management and their role within that: Solutions to avoid



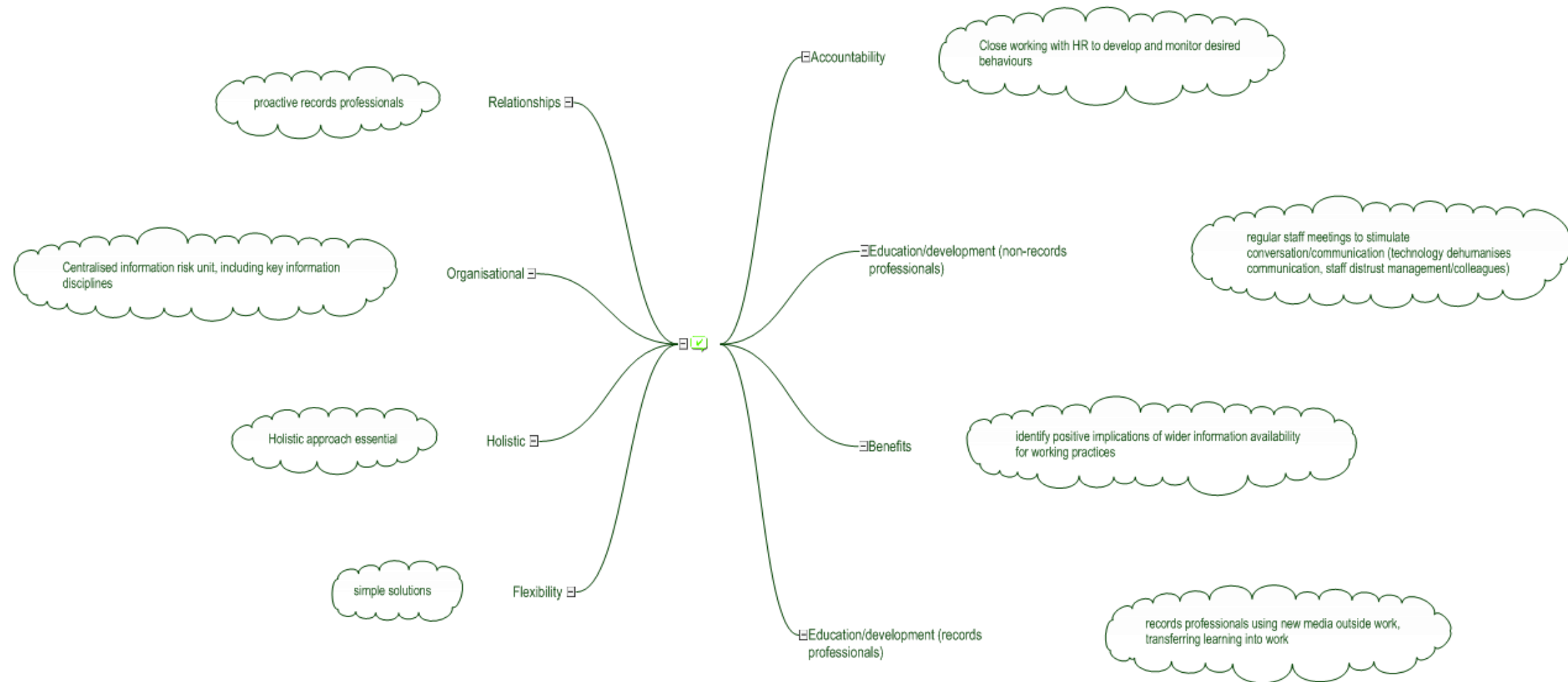
## 5. Implementation of ERM and systems requires change and change management: Solutions that work



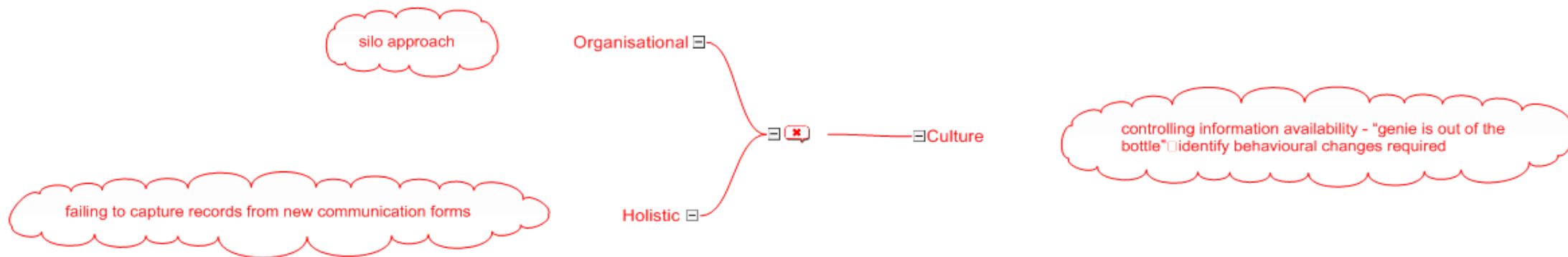
## 5. Implementation of ERM and systems requires change and change management: Solutions to avoid



## 6. E-environment: has changed the nature of work and workplace relationships: Solutions that work

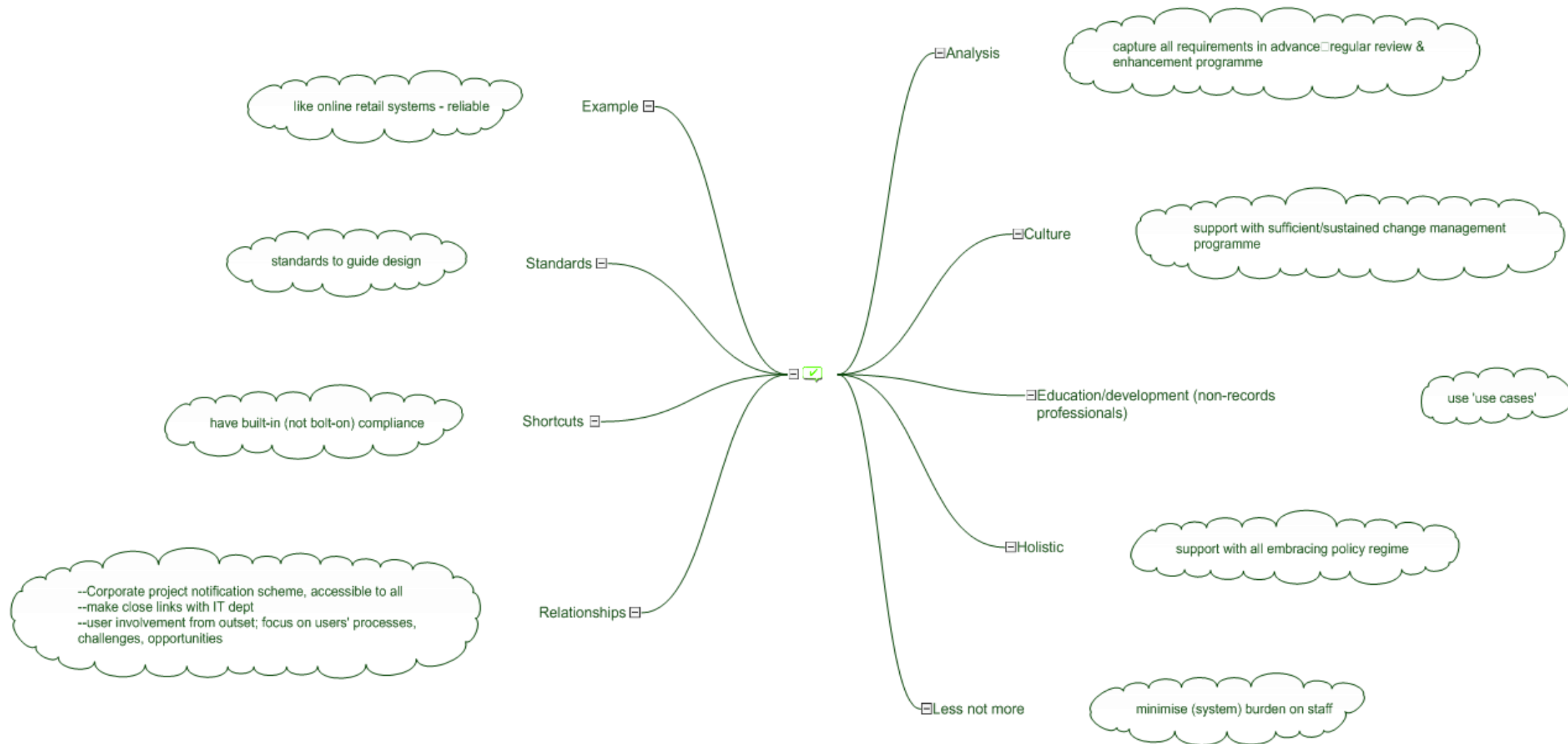


## 6. E-environment: has changed the nature of work and workplace relationships: Solutions to avoid

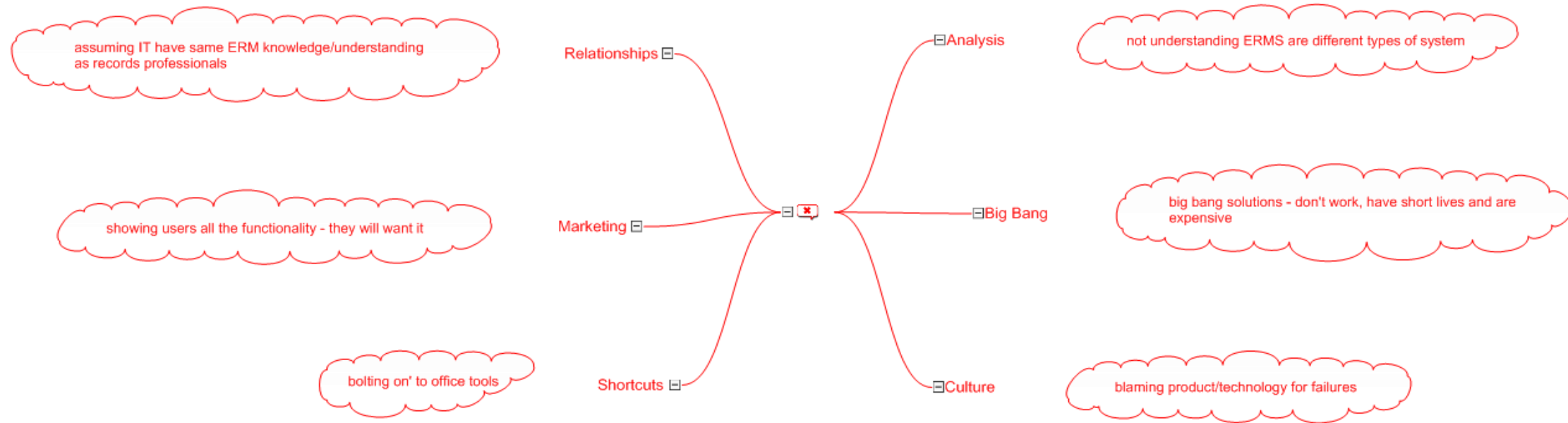




## 7. ERM systems: need to well designed: Solutions that work

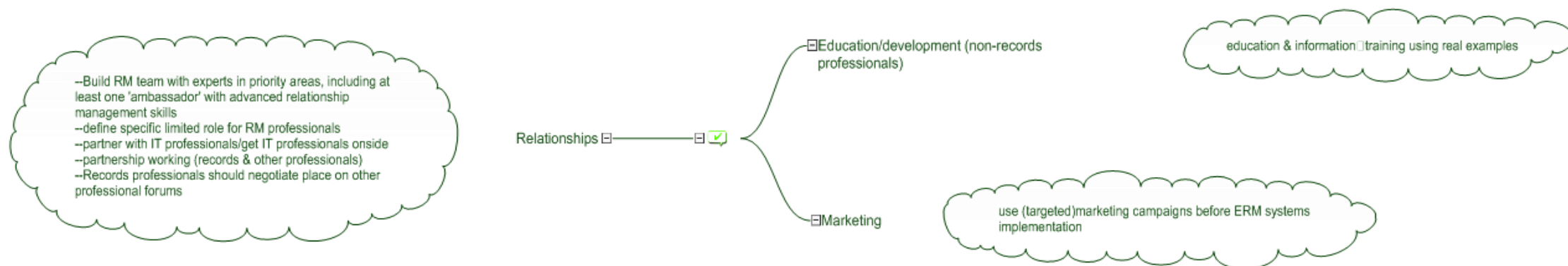


## 7. ERM systems: need to well designed: Solutions to avoid



## 8. Other professionals: lack understanding of records management and their role within that:

### Solutions that work



## 8. Other professionals: lack understanding of records management and their role within that: Solutions to avoid

overselling RM benefits, can't deliver

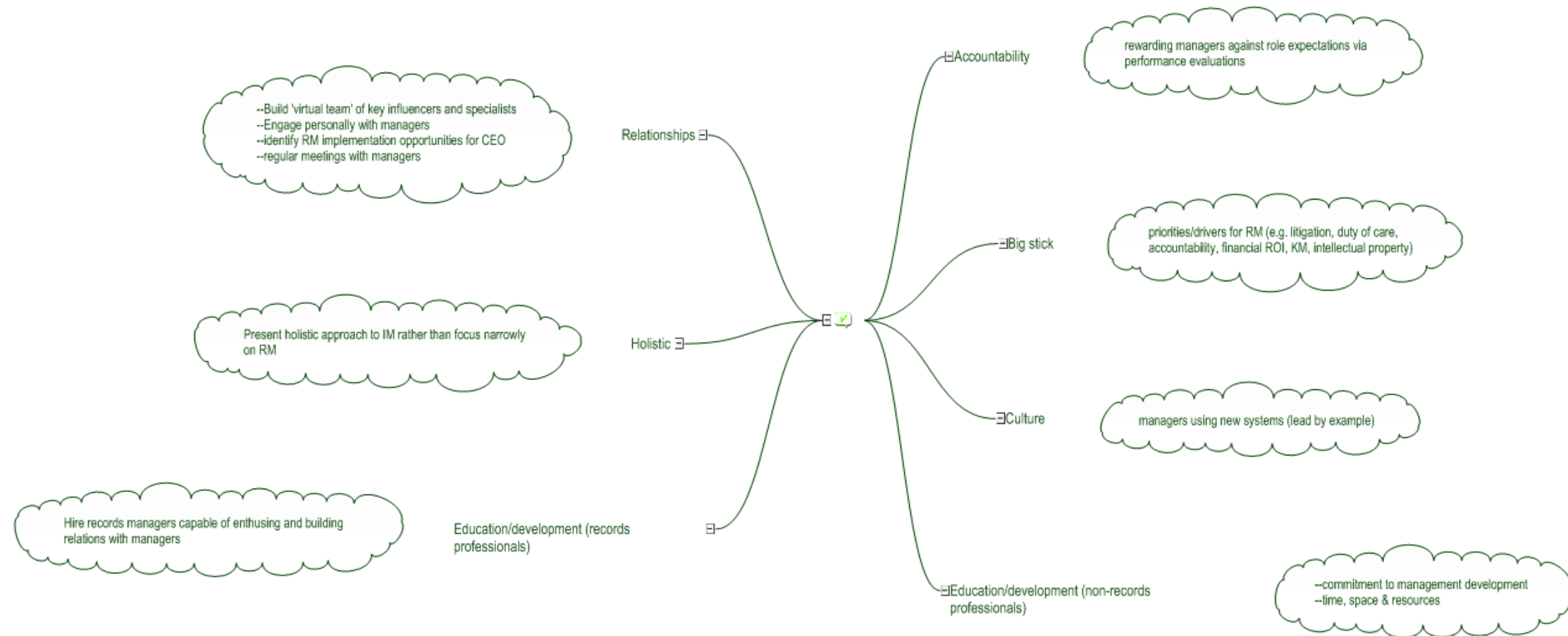
Shortcuts



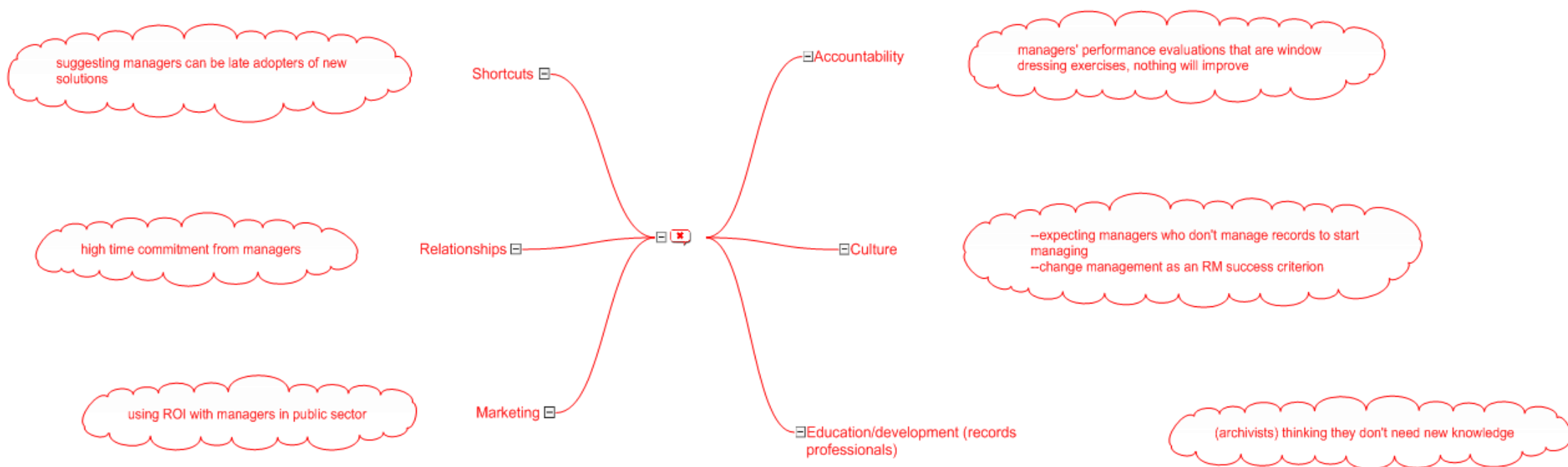
Education/development (non-records professionals)

--formal instruction - learn through experience  
--neglecting problem of lack of understanding  
--training - death by Powerpoint

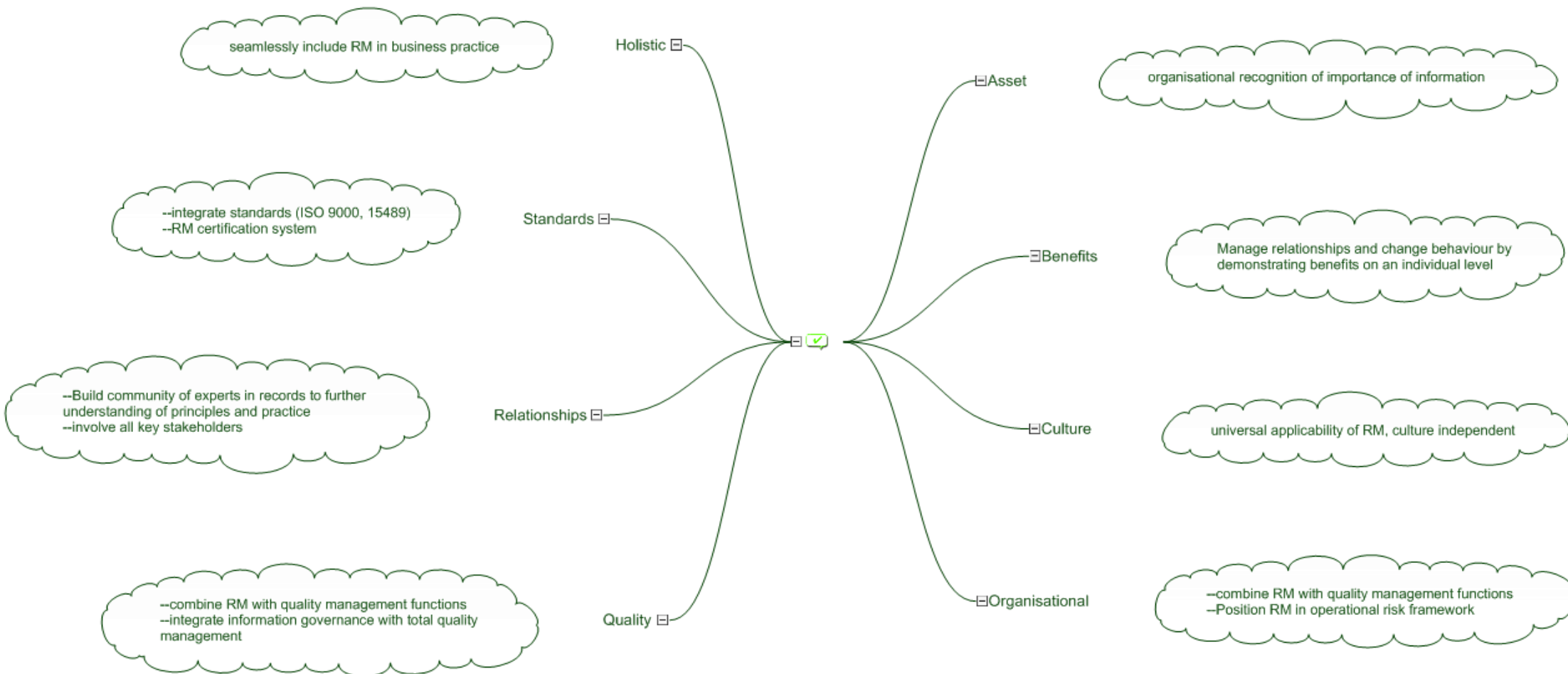
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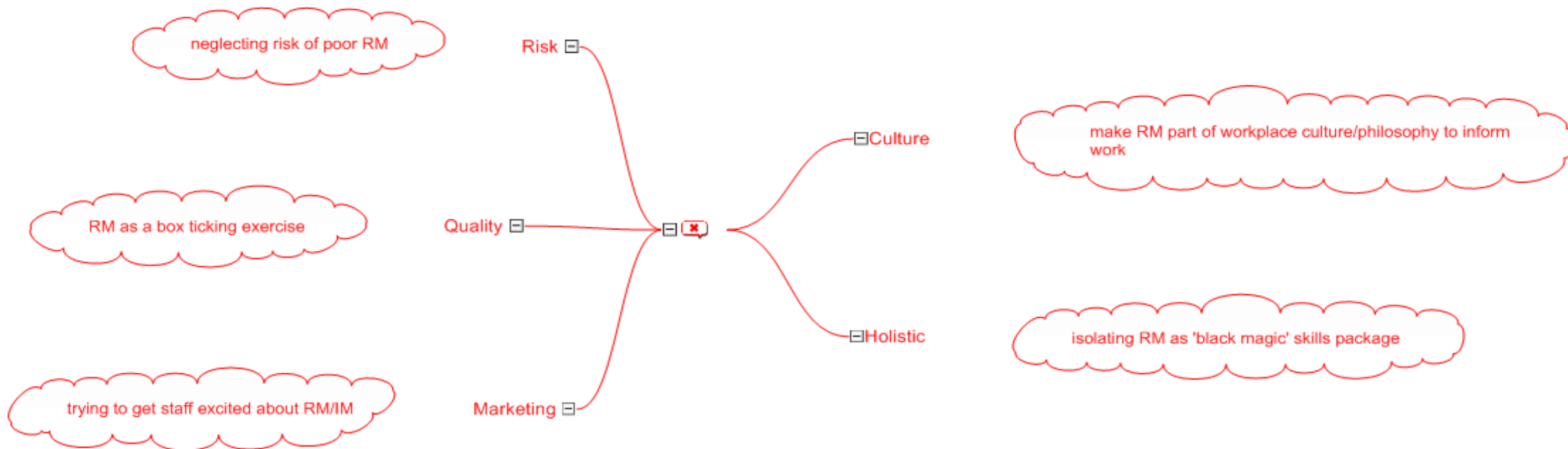
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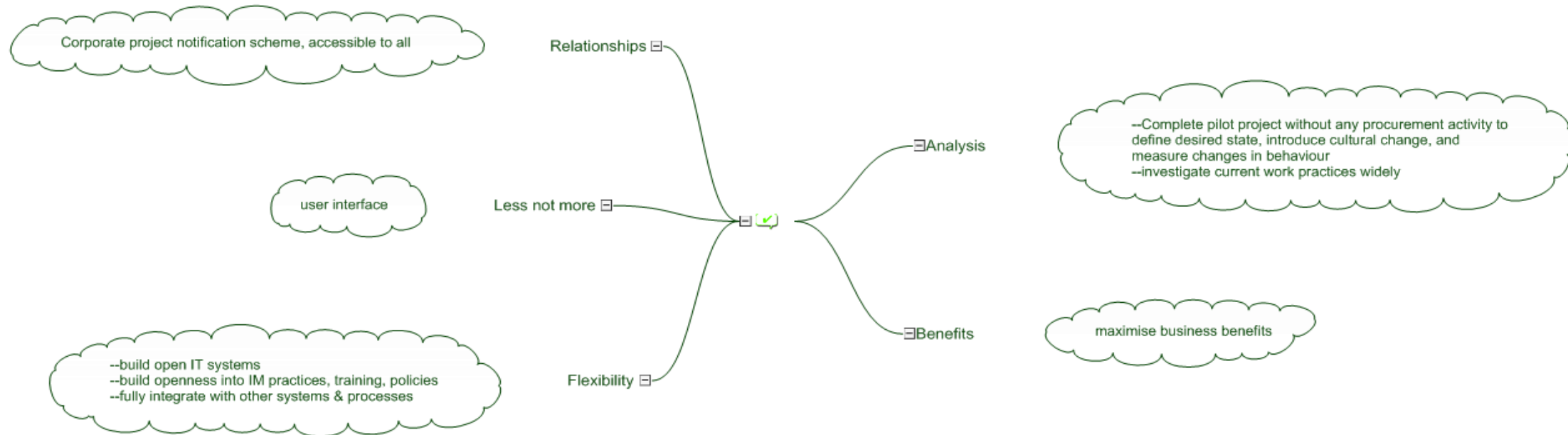


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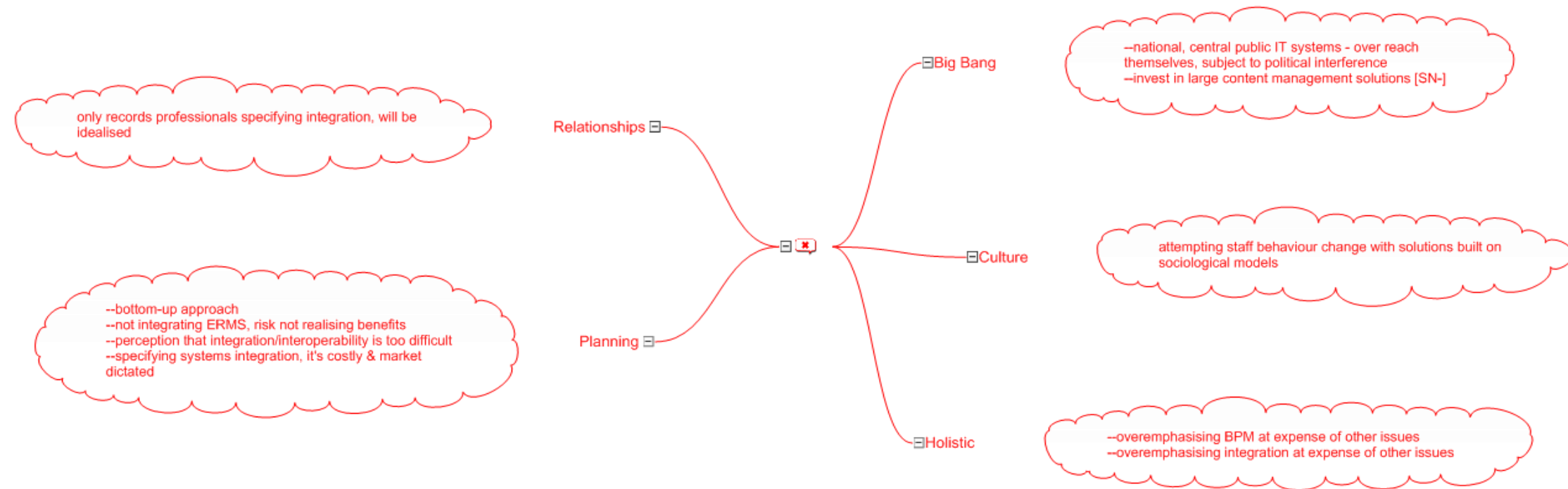




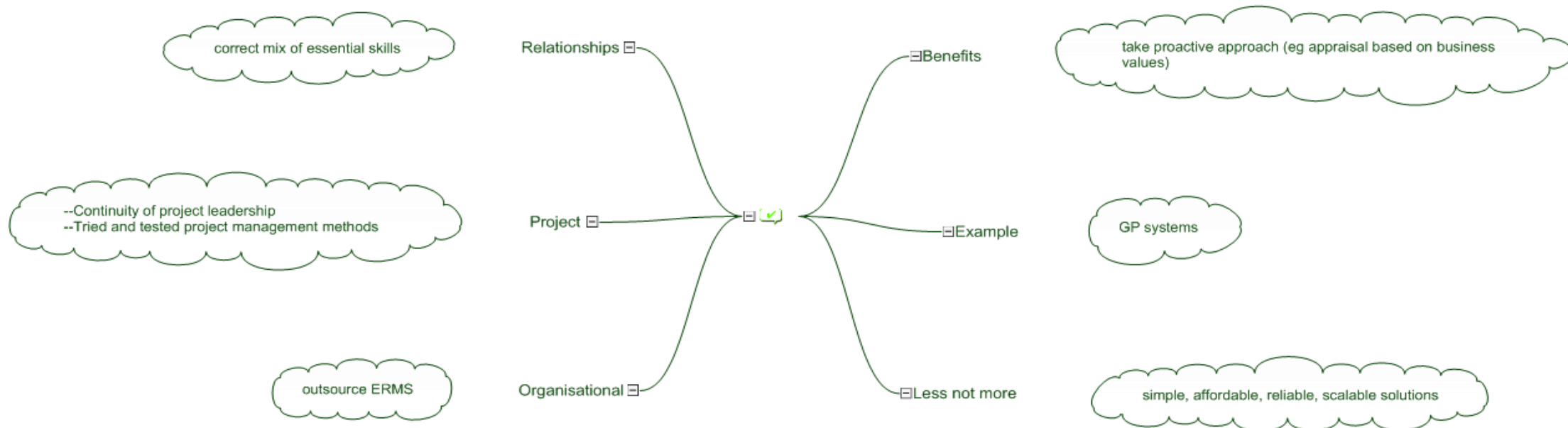
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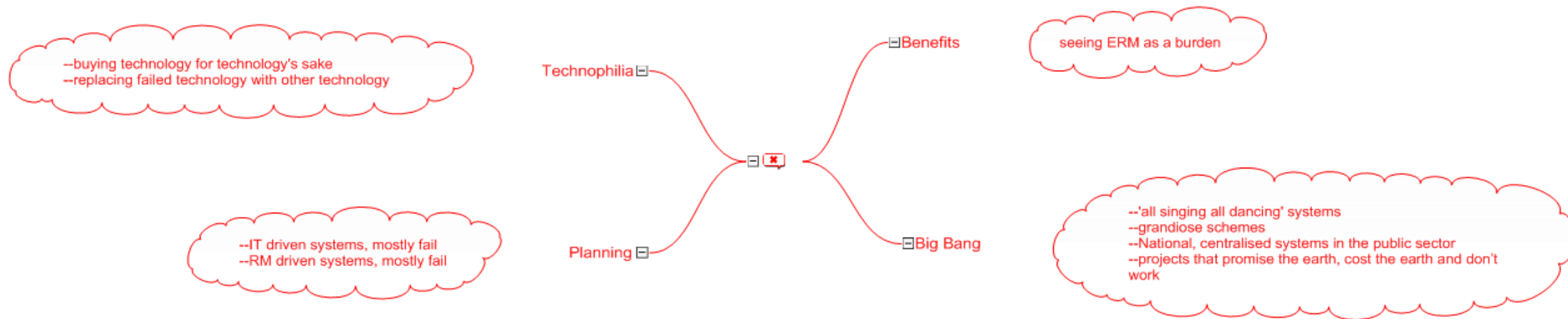
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## 12. Any other solution(s) that should be tried, or avoided, that does not fit in with the above issues: Solutions that work



## 12. Any other solution(s) that should be tried, or avoided, that does not fit in with the above issues: Solutions to avoid



## *People Facet – Delphi Study – Round 4 – Outline of proposed solutions*

### **1. Executives and management lack understanding of records management and their role within that**

#### **1.1 Approaches that lead to success in ERM—try these!**

##### **1.1.1 Category: Accountability**

- 1.1.1.1 Make senior managers responsible for missing records

##### **1.1.2 Category: Benefits**

- 1.1.2.1 Link solutions to dealing with real problems
- 1.1.2.2 Promote/educate about RM/ERMS using individual benefits as examples

##### **1.1.3 Category: Education/development (non-records professionals)**

- 1.1.3.1 Demonstrate problems of poor RM using real case examples
- 1.1.3.2 Demonstrate value/benefits of RM/ERMS using real case examples
- 1.1.3.3 Promote/educate about RM/ERMS using individual business processes and requirements as examples

##### **1.1.4 Category: Holistic**

- 1.1.4.1 Present holistic approach to IM rather than focus narrowly on RM

##### **1.1.5 Category: Less not more**

- 1.1.5.1 Design ERM system that is easier to use

##### **1.1.6 Category: Organisational**

- 1.1.6.1 Establish RM under legal corporate function
- 1.1.6.2 Establish single, board-level management role with IM as single corporate function

##### **1.1.7 Category: Planning**

- 1.1.7.1 ERM systems requires organisation and planning from start

##### **1.1.8 Category: Relationships**

- 1.1.8.1 Build 'virtual team' of key influencers and specialists
- 1.1.8.2 Engage personally with executives and senior managers
- 1.1.8.3 Involve in ERM systems development from the outset
- 1.1.8.4 Make executive sponsorship a key personal mission

## 1. Executives and management lack understanding of records management and their role within that

### 1.2 Approaches that impede progress in ERM—avoid these!

#### 1.2.1 Category: Big stick

- 1.2.1.1 Compliance as a driver – senior managers may accept risk of poor recordkeeping
- 1.2.1.2 Use inaccurate 'scare stories' or poorly-understood legislation to support case

#### 1.2.2 Category: Introspection

- 1.2.2.1 Focus more on professional records concerns than on stakeholders' aims and expectations

#### 1.2.3 Category: Less not more

- 1.2.3.1 ERM systems for senior managers that cover activities previously undertaken by secretaries

#### 1.2.4 Category: Marketing

- 1.2.4.1 Bombard senior managers with information and ideas
- 1.2.4.2 Use generic, corporate RM selling points

#### 1.2.5 Category: Organisational

- 1.2.5.1 Situating RM under the IT corporate function

#### 1.2.6 Category: Planning

- 1.2.6.1 Working from the bottom up

#### 1.2.7 Category: Relationships

- 1.2.7.1 ERM implementation as a personal project of senior manager(s)
- 1.2.7.2 Go it alone as an organization's records manager
- 1.2.7.3 Proceed with solution without executive backing
- 1.2.7.4 Submit wordy reports

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

### 2.1 Approaches that lead to success in ERM—try these!

#### 2.1.1 Category: Analysis

- 2.1.1.1 Invest in records professionals involvement in business process analysis, root cause analysis, working with partners

#### 2.1.2 Category: Education/development (non-records professionals)

- 2.1.2.1 Collaborative training, building relationships and understanding between stakeholder groups

#### 2.1.3 Category: Education/development (records professionals)

- 2.1.3.1 Get records professionals using new media
- 2.1.3.2 Invest in developing records professionals skills for change management
- 2.1.3.3 Provide training, access to peer conferences, encourage membership of relevant associations for records professionals
- 2.1.3.4 Records professionals require education/training in broad range of business activities
- 2.1.3.5 Records professionals supported by nationally produced Standards, Specifications, Advices, Toolkits, progressive evaluations of EDRM Systems and training
- 2.1.3.6 Recruit records professionals with tertiary qualifications
- 2.1.3.7 Redeploy and train records professionals as internal information consultants
- 2.1.3.8 RM requires recognised qualification

#### 2.1.4 Category: Organisational

- 2.1.4.1 Outsource RM systems (paper, storage)
- 2.1.4.2 Outsourced solutions

#### 2.1.5 Category: Relationships

- 2.1.5.1 Build RM team with experts in priority areas, including at least one 'ambassador' with advanced relationship management skills
- 2.1.5.2 ERM requires proactive approach by records professionals
- 2.1.5.3 ERM solutions requires partnerships between IT staff / legal staff / records staff operations and records professionals
- 2.1.5.4 Involve records staff in business projects
- 2.1.5.5 Records professionals require communication with other staff
- 2.1.5.6 Records professionals require discussion with other records professionals who have gone through process

#### 2.1.6 Category: Support

- 2.1.6.1 Records professionals supported by nationally produced Standards, Specifications, Advices, Toolkits, progressive evaluations of EDRM Systems and training

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

### **2.2 Approaches that impede progress in ERM—avoid these!**

#### **2.2.1 Category: Education/development (records professionals)**

- 2.2.1.1 Education by vendors
- 2.2.1.2 Emphasise project management training
- 2.2.1.3 Expect universal expertise in records professionals
- 2.2.1.4 Expecting change to occur from within the existing records staff
- 2.2.1.5 Fail to elicit at the interview stage whether candidates have the full range of competencies and qualities required
- 2.2.1.6 Hire on the basis of qualifications only

#### **2.2.2 Category: Relationships**

- 2.2.2.1 Isolated records professionals, going it alone



### 3. Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation

#### 3.1 Approaches that lead to success in ERM—try these!

##### 3.1.1 Category: Accountability

- 3.1.1.1 Include quality of RM in criteria for assessing performance of top managers

##### 3.1.2 Category: Asset

- 3.1.2.1 Educate staff to appreciate that the records they create are an asset that adds value

##### 3.1.3 Category: Benefits

- 3.1.3.1 Combine adherence to RM principles and practice with delivering clear benefits to staff
- 3.1.3.2 Manage relationships and change behaviour by demonstrating benefits on an individual level

##### 3.1.4 Category: Big stick

- 3.1.4.1 Highlight advantages of compliance and disadvantages of non-compliance
- 3.1.4.2 Highlight legal requirements that impact in recordkeeping
- 3.1.4.3 May be accomplished when driven by financial motive

##### 3.1.5 Category: Less not more

- 3.1.5.1 Align desktop tools with information policies and business needs
- 3.1.5.2 Design desktop tools to be intuitive and to aid staff in creating and managing records appropriately

##### 3.1.6 Category: Minimize RM

- 3.1.6.1 RM should be pervasive but in the background

##### 3.1.7 Category: Organisational

- 3.1.7.1 Appoint CIOs with RM skills
- 3.1.7.2 Position RM in operational risk framework

##### 3.1.8 Category: Quality

- 3.1.8.1 Integrate RIM into overall quality culture

##### 3.1.9 Category: Relationships

- 3.1.9.1 Build community of experts in records to further understanding of principles and practice
- 3.1.9.2 Communicate and co-operate with other departments
- 3.1.9.3 Get people on board early

3.1.9.4 Interdisciplinary understanding between RM, IM, business analysis, and IT staff

**3.1.10 Category: Risk**

3.1.10.1 Educate staff to appreciate that the adhering to corporate RM policies avoids risk and cost to the organisation

### 3. Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation

#### 3.2 Approaches that impede progress in ERM—avoid these!

**3.2.1 Category: Benefits**

3.2.1.1 Expect too much of organizational units in developing RM tools

**3.2.2 Category: Culture**

3.2.2.1 Fail to understand the skills needed to change behaviour

**3.2.3 Category: Holistic**

3.2.3.1 Isolate RM as yet another arcane function 'essential' to the organisation

**3.2.4 Category: Introspection**

3.2.4.1 Expect staff to value RM in and of itself

3.2.4.2 Have a purist RM focus

3.2.4.3 Try to make staff actively like RM

**3.2.5 Category: Less not more**

3.2.5.1 Desktop tools that add to staff burden

3.2.5.2 Desktop tools that interfere with efficiency of staff in their 'real' task

3.2.5.3 Impose extra work on staff

**3.2.6 Category: Relationships**

3.2.6.1 Go it alone as an organization's records manager

**3.2.7 Category: Shortcuts**

3.2.7.1 'Quick fix' solutions

## 4. Staff, users: lack understanding of records management and their role within that

### 4.1 Approaches that lead to success in ERM—try these!

#### 4.1.1 Category: Accountability

- 4.1.1.1 Include RM in staff performance criteria

#### 4.1.2 Category: Benefits

- 4.1.2.1 Demonstrate that RM has identifiable business benefits for individual staff
- 4.1.2.2 Make good RM a worthwhile activity for staff

#### 4.1.3 Category: Education/development (non-records professionals)

- 4.1.3.1 Provide hands-on, interactive education in RM.
- 4.1.3.2 Use fluid, flexible and graphic ways to impart knowledge
- 4.1.3.3 Incorporate RM considerations into training in other areas
- 4.1.3.4 Increase awareness on IM and records
- 4.1.3.5 Link message to individual experience of staff
- 4.1.3.6 Ongoing informal as well as formal training and discussion

#### 4.1.4 Category: Holistic

- 4.1.4.1 Present in a holistic rather than an RM-focused perspective

#### 4.1.5 Category: Marketing

- 4.1.5.1 Conduct awareness campaign prior to implementation of RM policy

#### 4.1.6 Category: Relationships

- 4.1.6.1 Get prior executive-level commitment
- 4.1.6.2 Involve staff in design of RM policy

#### 4.1.7 Category: Support

- 4.1.7.1 Availability of advice and help - staff are willing to listen to those who can help with their recordkeeping problems.
- 4.1.7.2 Have a single point of contact for RM queries

#### 4. Staff, users: lack understanding of records management and their role within that

##### **4.2 Approaches that impede progress in ERM—avoid these!**

###### **4.2.1 Category: Benefits**

- 4.2.1.1 Make RM visible as an overhead

###### **4.2.2 Category: Education/development (non-records professionals)**

- 4.2.2.1 General training with standardized content
- 4.2.2.2 Restrict RM examples to workplace scenarios
- 4.2.2.3 Use passive modes of communication

###### **4.2.3 Category: Introspection**

- 4.2.3.1 Try to make staff appreciate RM principles

###### **4.2.4 Category: Less not more**

- 4.2.4.1 Isolate RM as a separate process
- 4.2.4.2 Plan a system that requires every member of staff to understand RM

###### **4.2.5 Category: Shortcuts**

- 4.2.5.1 Assume that any problems will be sorted when the system goes live

## 5. Implementation of ERM and systems requires change and change management

### 5.1 Approaches that lead to success in ERM—try these!

#### 5.1.1 Category: Accountability

- 5.1.1.1 Encourage and reward required behaviours

#### 5.1.2 Category: Analysis

- 5.1.2.1 Systems/business analysis

#### 5.1.3 Category: Benefits

- 5.1.3.1 Market individually, showing each staff member how the change will address their particular needs

#### 5.1.4 Category: Culture

- 5.1.4.1 Largest element of change is cultural rather than directly related to ERM systems

#### 5.1.5 Category: Education/development (records professionals)

- 5.1.5.1 RM staff need to acquire knowledge of change and skills in facilitation

#### 5.1.6 6cat Less not more

- 5.1.6.1 Concentrate on processes and methods

#### 5.1.7 Category: Marketing

- 5.1.7.1 Active campaign to market RM
- 5.1.7.2 Present change as change for the better

#### 5.1.8 Category: Planning

- 5.1.8.1 Excellent planning to ensure that that changes are seen as concrete rather than abstract

#### 5.1.9 Category: Relationships

- 5.1.9.1 Different messages for different organisational levels
- 5.1.9.2 Focus change management on key stakeholders only while providing fully integrated systems to facilitate implementation
- 5.1.9.3 Identify 'change champions' who will lead adoption and recommend it to others
- 5.1.9.4 Involve staff in analysis of current systems and environment
- 5.1.9.5 Involve top level from the outset

## 5. Implementation of ERM and systems requires change and change management

### 5.2 Approaches that impede progress in ERM—avoid these!

#### 5.2.1 Category: Culture

- 5.2.1.1 Associate ERM implementations with cultural change
- 5.2.1.2 Assume that communication is enough to change behaviour
- 5.2.1.3 Failing to change culture before embarking on ERM projects

#### 5.2.2 Category: Education/development (non-records professionals)

- 5.2.2.1 Train 'super-users' without empowering them to train other staff

#### 5.2.3 Category: Introspection

- 5.2.3.1 Present a less than thorough case on the assumption that staff will care about RM as such

#### 5.2.4 Category: Less not more

- 5.2.4.1 Implement a system requiring significant operational changes
- 5.2.4.2 Implement systems with inadequate functionality
- 5.2.4.3 Imposing levels of RM input from staff which do not add value to the records in question

#### 5.2.5 Category: Marketing

- 5.2.5.1 Focus on the benefit to the organization when marketing system to staff
- 5.2.5.2 Market initiatives as new technology or tool

#### 5.2.6 Category: Organisational

- 5.2.6.1 IT-led ERM projects

#### 5.2.7 Category: Shortcuts

- 5.2.7.1 Overselling the system
- 5.2.7.2 Think that an EDRMS will solve an organization's problems

## 6. E-environment: has changed the nature of work and workplace relationship

### 6.1 Approaches that lead to success in ERM—try these!

#### 6.1.1 Category: Accountability

- 6.1.1.1 Close working with HR to develop and monitor desired behaviours

#### 6.1.2 Category: Education/development (non-records professionals)

- 6.1.2.1 Regular staff meetings to stimulate conversation/communication (technology dehumanises communication, staff distrust management/colleagues)

#### 6.1.3 Category: Benefits

- 6.1.3.1 Identify positive implications of wider information availability for working practices

#### 6.1.4 Category: Education/development (records professionals)

- 6.1.4.1 Records professionals using new media outside work, transferring learning into work

#### 6.1.5 Category: Flexibility

- 6.1.5.1 Simple solutions

#### 6.1.6 Category: Holistic

- 6.1.6.1 Holistic approach essential

#### 6.1.7 Category: Organisational

- 6.1.7.1 Centralised information risk unit, including key information disciplines

#### 6.1.8 Category: Relationships

- 6.1.8.1 Proactive records professionals

### 6.2 Approaches that impede progress in ERM—avoid these!

#### 6.2.1 Category: Culture

- 6.2.1.1 Controlling information availability - “genie is out of the bottle”

#### 6.2.2 Category: Holistic

- 6.2.2.1 Failing to capture records from new communication forms

#### 6.2.3 Category: Organisational

- 6.2.3.1 Silo approach

## 7. ERM systems: need to well designed

### 7.1 Approaches that lead to success in ERM—try these!

#### 7.1.1 Category: Analysis

7.1.1.1 Capture all requirements in advance

7.1.1.2 Regular review & enhancement programme

#### 7.1.2 Category: Culture

7.1.2.1 Support with sufficient/sustained change management programme

#### 7.1.3 Category: Education/development (non-records professionals)

7.1.3.1 Use 'use cases'

#### 7.1.4 Category: Holistic

7.1.4.1 Support with all embracing policy regime

#### 7.1.5 Category: Less not more

7.1.5.1 Minimise (system) burden on staff

#### 7.1.6 Category: Relationships

7.1.6.1 Corporate project notification scheme, accessible to all

7.1.6.2 Make close links with IT dept

7.1.6.3 Involvement from outset; focus on users' processes, challenges, opportunities

#### 7.1.7 Category: Shortcuts

7.1.7.1 Have built-in (not bolt-on) compliance

#### 7.1.8 Category: Standards

7.1.8.1 Standards to guide design

#### 7.1.9 Category: Example

7.1.9.1 Like online retail systems - reliable



## 7. ERM systems: need to well designed

### 7.2 Approaches that impede progress in ERM—avoid these!

#### 7.2.1 Category: Analysis

- 7.2.1.1 Failing to understand that ERMS are different types of system

#### 7.2.2 Category: Big Bang

- 7.2.2.1 Big bang solutions - don't work, have short lives and are expensive

#### 7.2.3 Category: Culture

- 7.2.3.1 Blaming product/technology for failures

#### 7.2.4 Category: Shortcuts

- 7.2.4.1 'Bolting on' to office tools

#### 7.2.5 Category: Marketing

- 7.2.5.1 Showing users all the functionality - they will want it

#### 7.2.6 Category: Relationships

- 7.2.6.1 assuming IT have same ERM knowledge/understanding as records professionals

## 8. Other professionals: lack understanding of records management and their role within that

### 8.1 Approaches that lead to success in ERM—try these!

#### 8.1.1 Category: Education/development (non-records professionals)

- 8.1.1.1 Education & information; training using real examples

#### 8.1.2 Category: Marketing

- 8.1.2.1 Use (targeted) marketing campaigns before ERM systems implementation

#### 8.1.3 Category: Relationships

- 8.1.3.1 Build RM team with experts in priority areas, including at least one 'ambassador' with advanced relationship management skills
- 8.1.3.2 Define specific limited role for RM professionals
- 8.1.3.3 Partner with IT professionals/get IT professionals onside
- 8.1.3.4 Partnership working (records & other professionals)
- 8.1.3.5 Records professionals should negotiate place on other professional forums

### 8.2 Approaches that impede progress in ERM—avoid these!

#### 8.2.1 Category: Education/development (non-records professionals)

- 8.2.1.1 Formal instruction rather than learning through experience
- 8.2.1.2 Neglecting problem of lack of understanding
- 8.2.1.3 Training – 'death by Powerpoint'

#### 8.2.2 Category: Shortcuts

- 8.2.2.1 Overselling RM benefits, can't deliver

## 9. Managers need to commit not just to change in the organisation but lead by example through changing themselves

### 9.1 Approaches that lead to success in ERM—try these!

#### 9.1.1 Category: Accountability

9.1.1.1 Rewarding managers against role expectations via performance evaluations

#### 9.1.2 Category: Big stick

9.1.2.1 Priorities/drivers for RM (e.g. litigation, duty of care, accountability, financial ROI, KM, intellectual property)

#### 9.1.3 Category: Culture

9.1.3.1 Managers using new systems (lead by example)

#### 9.1.4 Category: Education/development (non-records professionals)

9.1.4.1 Commitment to management development: time, space & resources

#### 9.1.5 Category: Education/development (records professionals)

9.1.5.1 Hire records managers capable of enthusing and building relations with managers

#### 9.1.6 Category: Holistic

9.1.6.1 Present holistic approach to IM rather than focus narrowly on RM

#### 9.1.7 Category: Relationships

9.1.7.1 Build 'virtual team' of key influencers and specialists

9.1.7.2 Engage personally with managers

9.1.7.3 Identify RM implementation opportunities for CEO

9.1.7.4 Regular meetings with managers

## 9. Managers need to commit not just to change in the organisation but lead by example through changing themselves

### 9.2 Approaches that impede progress in ERM—avoid these!

#### 9.2.1 Category: Accountability

- 9.2.1.1 Managers' performance evaluations that are window-dressing exercises; nothing will improve

#### 9.2.2 Category: Culture

- 9.2.2.1 Expecting managers who don't manage records to start managing
- 9.2.2.2 Change management as an RM success criterion

#### 9.2.3 Category: Education/development (records professionals)

- 9.2.3.1 Records professionals (archivists) thinking they don't need new knowledge

#### 9.2.4 Category: Marketing

- 9.2.4.1 Marketing in terms of ROI with managers in public sector

#### 9.2.5 Category: Relationships

- 9.2.5.1 High time commitment from managers

#### 9.2.6 Category: Shortcuts

- 9.2.6.1 Suggesting managers can be late adopters of new solutions

## 10. Records/information management needs to be part of an organisation's culture to the same extent as quality assurance

### 10.1 Approaches that lead to success in ERM—try these!

#### 10.1.1 Category: Asset

- 10.1.1.1 Organisational recognition of importance of information

#### 10.1.2 Category: Benefits

- 10.1.2.1 Manage relationships and change behaviour by demonstrating benefits on an individual level

#### 10.1.3 Category: Culture

- 10.1.3.1 Universal applicability of RM, culture-independent

#### 10.1.4 Category: Organisational

- 10.1.4.1 Combine RM with quality management functions
- 10.1.4.2 Position RM in operational risk framework

#### 10.1.5 Category: Quality

- 10.1.5.1 combine RM with quality management functions
- 10.1.5.2 integrate information governance with total quality management

#### 10.1.6 Category: Relationships

- 10.1.6.1 Build community of experts in records to further understanding of principles and practice
- 10.1.6.2 involve all key stakeholders

#### 10.1.7 Category: Standards

- 10.1.7.1 Integrate standards (ISO 9000, 15489)
- 10.1.7.2 RM certification system

#### 10.1.8 Category: Holistic

- 10.1.8.1 Seamlessly include RM in business practice

## 10. Records/information management needs to be part of an organisation's culture to the same extent as quality assurance

### 10.2 Approaches that impede progress in ERM—avoid these!

#### 10.2.1 Category: Culture

10.2.1.1 Try to make RM part of workplace culture/philosophy through procedures and methods

#### 10.2.2 Category: Holistic

10.2.2.1 Isolating RM as 'black magic' skills package

#### 10.2.3 Category: Marketing

10.2.3.1 Trying to get staff excited about RM/IM

#### 10.2.4 Category: Quality

10.2.4.1 RM as a box-ticking exercise

#### 10.2.5 Category: Risk

10.2.5.1 Neglecting risk of poor RM

## 11. Integration/interoperability of ERM systems with other systems/processes is needed

### 11.1 Approaches that lead to success in ERM—try these!

#### 11.1.1 Category: Analysis

11.1.1.1 Complete pilot project without any procurement activity to define desired state, introduce cultural change, and measure changes in behaviour

11.1.1.2 Investigate current work practices widely

#### 11.1.2 Category: Benefits

11.1.2.1 Maximise business benefits

#### 11.1.3 Category: Flexibility

11.1.3.1 Build open IT systems

11.1.3.2 Build openness into IM practices, training, policies

11.1.3.3 Fully integrate with other systems & processes

#### 11.1.4 Category: Less not more

11.1.4.1 User interface

#### 11.1.5 Category: Relationships

11.1.5.1 Corporate project notification scheme, accessible to all

## 11. Integration/interoperability of ERM systems with other systems/processes is needed

### 11.2 Approaches that impede progress in ERM—avoid these!

#### 11.2.1 Category: Big Bang

11.2.1.1 national, central public IT systems - over reach themselves, subject to political interference

11.2.1.2 investment in large content management solutions

#### 11.2.2 Category: Culture

11.2.2.1 Attempting staff behaviour change with solutions built on sociological models

#### 11.2.3 Category: Holistic

11.2.3.1 Overemphasising BPM at expense of other issues

11.2.3.2 Overemphasising integration at expense of other issues

#### 11.2.4 Category: Planning

11.2.4.1 Bottom-up approach

11.2.4.2 Not integrating ERMS: risk not realising benefits

11.2.4.3 Perception that integration/interoperability is too difficult

11.2.4.4 Specifying systems integration: it is costly & market-dictated

#### 11.2.5 Category: Relationships

11.2.5.1 Only records professionals specifying integration: will be idealised



## 12. Any other solution(s) that you think should be tried, or avoided, that does not fit in with the above issues

### 12.1 Approaches that lead to success in ERM—try these!

#### 12.1.1 Category: Benefits

12.1.1.1 Take proactive approach (eg appraisal based on business values)

#### 12.1.2 Category: Example

12.1.2.1 GP systems

#### 12.1.3 Category: Less not more

12.1.3.1 Simple, affordable, reliable, scalable solutions

#### 12.1.4 Category: Organisational

12.1.4.1 outsource ERMS

#### 12.1.5 Category: Project

12.1.5.1 Continuity of project leadership

12.1.5.2 Tried and tested project management methods

#### 12.1.6 Category: Relationships

12.1.6.1 Correct mix of essential skills

## 12. Any other solution(s) that you think should be tried, or avoided, that does not fit in with the above issues

### 12.2 Approaches that impede progress in ERM—avoid these!

#### 12.2.1 Category: Benefits

- 12.2.1.1 Seeing ERM as a burden

#### 12.2.2 Category: Big Bang

- 12.2.2.1 'All singing all dancing' systems
- 12.2.2.2 Grandiose schemes
- 12.2.2.3 National, centralised systems in the public sector
- 12.2.2.4 Projects that promise the earth, cost the earth and don't work

#### 12.2.3 Category: Planning

- 12.2.3.1 IT-driven systems: mostly fail
- 12.2.3.2 RM-driven systems: mostly fail

#### 12.2.4 Category: Technophilia

- 12.2.4.1 Buying technology for technology's sake
- 12.2.4.1 Replacing failed technology with other technology



### What does this Word Cloud represent?

The responses provided by the e-Delphi participants were in a rich, discursive form – a single sentence often presented complex situations or ideas. In order to 'unpack' the responses and break them down to units more amenable to analysis and the identification of themes, we created a controlled vocabulary of standardised terms and adapted a form of facet classification to present these terms in the context they appeared.

The classification facets available under the system we used are:

Thing [Th], Kind [Ki], Part [Pa], Property [Pty], Process [Pr], Operation [Op], System operated on [SOO], Product [Pd], By-product [BP], Agent [Ag], Space [Sp], Time [Ti], Form [Fo].

To this, we added an extra facet Example [Ex] to show where there was an empirical basis for the statement, based on a case study or example, or on personal experience.

### How themes are created

Original text

"The [Australian State Agency] had largely confined its RM focus to the records of the Administrative service and neglected the functional records of the [Agency]. When we contacted them and asked about their problems and needs, they came to us with photos of storage problems and tales of recordkeeping woe and confessed their confusion. In other words, they were so grateful that someone had shown an interest in their problems and looked to us for advice and a way forward! ... The important point is that people who were not good recordkeepers and didn't know how to go about it were aware of the problem and keen to get help. They were ready to listen when someone asked about their problems."

## Faceted theme

awareness [Th] lack of knowledge/skills (RM) [Ki] causes [Pr] receptiveness [Op] support (RM) [SOO] staff [Ag] central government (Australia) [Sp]  
case example [Ex]

To create the word cloud, each word or phrase was listed as many times as it appeared in the themes abstracted from the entire set of responses.

The size of the font in the word cloud is proportional to the frequency with which the word/phrase appears. If, for example, the above theme is added to another proposed as part of the solutions to ERM problems <staff [Th] requires [Pr] awareness [Op] IM [SOO] information (subset, records) [SOO]>, the word cloud generated for these two themes looks like the example on the right.

The full word cloud was generated from the entire list of themed solutions.







## What does this Word Cloud represent?

The responses provided by the e-Delphi participants were in a rich, discursive form – a single sentence often presented complex situations or ideas. In order to 'unpack' the responses and break them down to units more amenable to analysis and the identification of themes, we created a controlled vocabulary of standardised terms and adapted a form of facet classification to present these terms in the context they appeared.

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To this, we added an extra facet Example [Ex] to show where there was an empirical basis for the statement, based on a case study or example, or on personal experience.

### How themes are created

#### Original text

"[An Australian Records Office], underfunded and under-resourced, has been obliged to concentrate on other aspects of compliance with its legislation. It has so far managed to put out very brief standards, but no support, advice or training for records professionals in government agencies. The result is impatience, frustration and very limited progress in agencies in dealing with their e records."

#### Faceted theme

lack of training (RM) [Th] causes [Pr] frustration [Pd] RM services (government) [Ag] central government (Australia) [Sp] case example [Ex]

To create the word cloud, each word or phrase was listed as many times as it appeared in the themes abstracted from the entire set of responses.

The size of the font in the word cloud is proportional to the frequency with which the word/phrase appears. If, for example, the above theme is added to another proposed as part of things and approaches to avoid in relation to ERM <policies/procedures (corporate) [Th] avoidance [Pr] lack of facilitation [Op] staff [SOO] work processes (easier) [Pd] control [Pd] case example [Ex]>, the word cloud generated for these two themes looks like the example on the right.

The full word cloud was generated from the entire list of themed things and approaches to avoid.

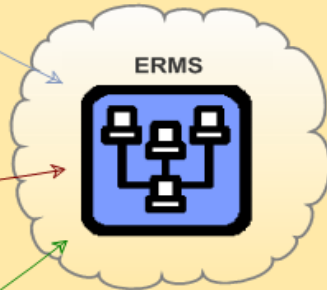
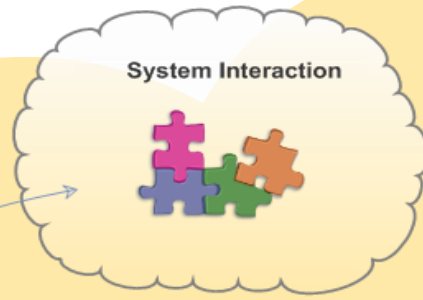


e-environment

RM culture

Implementation

RM principles



# AC<sup>+</sup>erm Output

## *People Facet Delphi Study – Round 5 – Exploration of Solutions*

**Background** In Round 5, participants were asked to engage in further exploration of a selection of the solutions offered in Round 4.

As well as responding to individual questions for each of the selected solutions, they were also invited to consider some general questions:

- What are the key characteristics of a system that makes it work or fail to work?
- How could this solution be achieved?
- Why is this solution not used in practice?

**Nature of Output** This output consists of the questions put to the participants. The responses to Round 5 were subjected to phenomenological rather than thematic analysis, which is provided in a separate publication.

The questionnaires were sent to the participants in June 2008.

## ***People Facet Delphi Study – Round 5 – List of questions presented to participants]***

- 1 RM doesn't require the understanding or involvement of senior managers. RM should be seen as basic organisational infrastructure, like water or computers.
  - But why is it that RM departments are often undervalued, poorly resourced or even non-existent, whereas no one would dispute the importance and resourcing of Estates or IT departments?
- 2 ERM needs to be pervasive in the organisation, hidden in the background, by use of systems transparent to the user.
  - If RM is too much in the background how are staff to be made aware of their recordkeeping role and responsibilities?
- 3 Developing an RM culture within an organisation requires the involvement of all key stakeholders.
  - Who are these key stakeholders?
  - How do you involve them?
- 4 The importance and value of information needs to be recognised by staff before they will value RM practices. The focus needs to be on their own individual activities and the benefits of information/RM to them.
  - How could this individual focus be achieved across all the different staff groups?
  - Would other methods also work?
- 5 RM/IM need to be respected as essential functions but you don't need to make them likable.
  - Discuss
- 6 RM should be integrated into the organisations' quality processes, become part of the Total Quality Management Concept. Good RM is essential for quality.
  - How could this be achieved?
- 7 ISO 9000 (the quality standard) should be integrated with ISO 15489 (the RM standard).
  - How could this be achieved?
- 8 ERM needs to be seen as essential for the survival and success of an organisation.
  - How could this be achieved?
- 9 ERM should be seen as a competitive advantage not a burden.
  - How could you sell its competitive advantage?
- 10 The risk of poor quality RM needs to be recognised.
  - How could this be achieved?
- 11 Make RM a performance area in the performance contracts of senior management.
  - How could this be achieved?
  - Should this be applied to other staff levels?



- 12** RM is not an element in the culture of an organisation but an essential tool. It must be applicable across all types of organisational cultures. You cannot change cultural conditions to an optimum to suite RM. Others disagree – citing the problem of failing to bring about prior cultural change.
- What aspects of an organisation's culture needs to be present to enable effective RM?
  - ERM is a new activity so some degree of change must occur: what level or degree of change is required? what aspects of an organisation or of staff working behaviour would have to change?
- 13** RM can't require a whole management class to change.
- If the value of RM is not recognised and the risks of poor RM not realised who is responsible for changing this perception?
  - Or doesn't it matter? Organisations can survive without good RM.
- 14** ERM systems implementation requires the application of change management techniques.
- Why are such techniques so rarely used?
- 15** Avoid solutions to staff behavioural change that are based on sociological models.
- Why don't these work?
  - What else could work?
- 16** Before introducing systems the organisation and its business requirements needs to be analysed. The system needs to maximise the business benefits.
- Why is system/business analysis before system design, procurement or implementation, so rarely undertaken?
- 17** ERM systems design requires staff involvement from the outset.
- How do you get such involvement?
  - How do you find out from staff what their needs *really* are?
- 18** ERM systems are not like other systems; records are special forms of information.
- Do we need separate ERM systems?
  - Couldn't RM requirements simply be built into the other systems, e.g. finance, HR.
  - Do staff need to know the distinction between information and records to use systems?
  - Does it help to say that RM is special/different?
- 19** There was disagreement about the level at which the implementation of ERM systems should start, e.g. don't start with the senior managers *or* managers must be early adopters of new solutions.
- What are the strategies/approaches to use?
  - Is there any best way or is it always context specific?
- 20** These systems were listed as systems that work: online financial services, online retail services, clinical recordkeeping systems, GP systems, electronic versions of paper patient records.
- What are the key characteristics that make them work?
- 21** These approaches were listed as ones that do not work: big bang solutions, records driven solutions, technology driven solutions, all singing all dancing systems, single source solutions, whole organisation solutions.
- What are the key characteristics that make them unsuccessful?



- 22** The essential skills for ERM are (in order from most to least important): project management, change management, business process analysis, technology, records management.
- Do you agree with the need for these skills?
  - Do you agree with their order of importance?
- 23** The traditional RM principles and theories from the paper world are not fully applicable in the electronic environment.
- Which principles and theories are *not* applicable?
  - Which are applicable?
  - And why?
- 24** The e-environment requires a proactive approach by records professionals.
- What would such an approach entail?

# AC<sup>+</sup>erm Output

## *People Facet Delphi Study – Survey to evaluate solutions proposed by Delphi Study participants*

**Background** To supplement the solutions proposed by the Delphi Study expert participants, an online survey was conducted to evaluate the solutions. Respondents were asked to consider whether the solutions to the issues were highly desirable, definitely feasible, would have a high impact, or would need immediate action.

The list of solutions for each issue was prefaced in each case with the following text:

“In an ideal world – disregarding all constraints and from your perspective – please rank all of the solutions against each aspect on a scale of ‘Strongly agree’ to ‘Strongly disagree’ as per the drop down menus.”

The survey was advertised on the Project blog and to a number of professional discussion lists: the archives and records management lists in the UK, USA and Australia, and the LIS-LINK Library and Information Sciences list in the UK.

The survey was launched in September 2008 and a total of 42 responses were received.

**Nature of Output** This output consists of the collated results of the survey.

## People Facet Delphi Study – Survey – Evaluation of Solutions

### Issue 1

Executives and management lack understanding of records management and their role within it.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Make senior managers responsible for lack of/poor recordkeeping	Highly Desirable	22	13	1	2	0
	Definitely Feasible	8	16	5	7	0
	High Impact	12	18	4	2	0
	High Priority	13	16	5	1	1
	Needs Immediate Action	15	17	3	2	1
Use real case examples to demonstrate problems/benefits	Highly Desirable	24	14	2	0	0
	Definitely Feasible	17	16	2	1	0
	High Impact	12	16	5	3	0
	High Priority	6	18	7	5	0
	Needs Immediate Action	7	17	8	4	0
Target education & solutions to individuals and real problems	Highly Desirable	24	9	3	2	0
	Definitely Feasible	13	19	2	3	0
	High Impact	14	14	4	4	0
	High Priority	10	17	6	3	0
	Needs Immediate Action	8	18	8	2	1
Present a holistic approach to IM not a narrow RM focus	Highly Desirable	26	7	2	3	0
	Definitely Feasible	13	14	1	8	0
	High Impact	15	9	8	4	0
	High Priority	14	12	6	5	0
	Needs Immediate Action	13	13	5	5	1
Establish IM/RM as a single, corporate board-level function	Highly Desirable	19	12	4	3	0
	Definitely Feasible	9	20	3	3	1
	High Impact	15	12	7	2	0
	High Priority	11	13	5	7	0
	Needs Immediate Action	11	16	3	7	1
Incorporate RM under a corporate function (e.g. legal, IT)	Highly Desirable	4	10	5	13	6
	Definitely Feasible	4	17	10	4	1
	High Impact	2	10	11	10	4
	High Priority	3	6	16	5	7
	Needs Immediate Action	2	5	16	6	7
Work from the top down	Highly Desirable	17	9	8	4	0
	Definitely Feasible	11	10	9	6	0
	High Impact	15	9	8	4	0
	High Priority	9	11	10	6	0
	Needs Immediate Action	10	9	12	6	0

**Issue 2**

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

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Involve records professionals in business projects, business process analysis	Highly Desirable	25	10	1	1	0
	Definitely Feasible	14	16	5	2	0
	High Impact	13	17	4	2	0
	High Priority	12	16	5	4	0
	Needs Immediate Action	11	18	6	2	0
Use collaborative training	Highly Desirable	11	17	9	0	0
	Definitely Feasible	7	18	8	1	1
	High Impact	5	17	11	2	0
	High Priority	6	12	15	3	0
	Needs Immediate Action	4	14	14	4	0
Get records professionals using new tools (Facebook, wikis, blogs etc)	Highly Desirable	12	10	13	2	0
	Definitely Feasible	8	19	9	1	0
	High Impact	3	10	17	6	1
	High Priority	3	10	14	8	1
	Needs Immediate Action	6	10	11	7	4
Invest in developing records professionals' skills	Highly Desirable	23	14	0	1	0
	Definitely Feasible	11	22	2	1	0
	High Impact	13	20	1	2	0
	High Priority	11	18	6	2	0
	Needs Immediate Action	14	16	4	3	0
Build RM team with experts in priority areas	Highly Desirable	19	13	2	2	1
	Definitely Feasible	8	19	6	3	1
	High Impact	13	16	4	2	1
	High Priority	9	16	7	2	2
	Needs Immediate Action	9	18	8	2	1
Take a proactive approach to ERM	Highly Desirable	27	10	0	0	0
	Definitely Feasible	14	13	7	1	1
	High Impact	18	12	7	0	0
	High Priority	17	15	5	0	0
	Needs Immediate Action	16	14	6	1	0
Take a partnerships approach to ERM	Highly Desirable	21	10	5	1	0
	Definitely Feasible	12	14	9	2	0
	High Impact	14	11	9	3	0
	High Priority	12	11	8	5	0
	Needs Immediate Action	11	13	10	2	1
Outsource RM systems	Highly Desirable	0	2	14	11	11
	Definitely Feasible	3	9	11	10	4
	High Impact	5	5	12	10	5
	High Priority	1	0	12	12	11
	Needs Immediate Action	0	1	12	11	12

### Issue 3

Records Management and Information Management: principles and practices need to be a valued and integral part of the organisation.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Include quality of RM in senior managers' performance criteria	Highly Desirable	21	13	0	3	0
	Definitely Feasible	10	16	5	5	1
	High Impact	12	17	5	1	1
	High Priority	9	13	9	6	0
	Needs Immediate Action	8	19	7	3	1
Appoint CIOs with RM skills	Highly Desirable	14	15	6	3	0
	Definitely Feasible	6	7	9	12	2
	High Impact	11	16	8	2	0
	High Priority	4	15	13	5	0
	Needs Immediate Action	6	13	11	7	0
Position RM within key activities of the organisation e.g. risk, quality	Highly Desirable	25	6	3	3	0
	Definitely Feasible	10	18	6	2	1
	High Impact	12	14	5	5	0
	High Priority	10	16	7	5	0
	Needs Immediate Action	9	12	8	7	0
Highlight drivers for recordkeeping	Highly Desirable	20	12	3	1	0
	Definitely Feasible	8	23	4	2	0
	High Impact	7	17	7	4	0
	High Priority	6	15	11	4	0
	Needs Immediate Action	5	15	10	4	1
Educate staff to appreciate the organisational value of records	Highly Desirable	21	14	3	0	0
	Definitely Feasible	9	20	3	4	0
	High Impact	10	19	6	1	0
	High Priority	8	18	10	2	0
	Needs Immediate Action	8	16	6	5	1
Demonstrate benefits of good recordkeeping for the individual	Highly Desirable	23	14	2	0	0
	Definitely Feasible	12	21	2	1	0
	High Impact	12	16	6	2	0
	High Priority	12	17	7	1	0
	Needs Immediate Action	11	16	6	2	1
Align desktop tools with information policies and business needs	Highly Desirable	26	10	0	1	0
	Definitely Feasible	14	13	3	6	0
	High Impact	17	13	7	1	0
	High Priority	14	11	8	3	0
	Needs Immediate Action	15	12	8	2	0
Make RM pervasive but in the background	Highly Desirable	20	12	1	3	1
	Definitely Feasible	11	14	6	5	1
	High Impact	14	14	6	2	1
	High Priority	13	13	9	0	1
	Needs Immediate Action	13	14	8	0	2
Develop communication and co-operation between RM and other departments	Highly Desirable	24	11	2	0	0
	Definitely Feasible	16	15	4	2	0
	High Impact	17	14	4	2	0
	High Priority	16	13	5	2	0
	Needs Immediate Action	17	14	4	2	0

#### Issue 4

Staff, users lack understanding of records management and their role within it.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Include RM in staff performance criteria	Highly Desirable	20	10	2	3	1
	Definitely Feasible	8	19	5	2	2
	High Impact	9	16	6	3	1
	High Priority	9	16	7	1	4
	Needs Immediate Action	8	16	6	4	2
Demonstrate benefits of good recordkeeping for the individual	Highly Desirable	18	17	2	0	0
	Definitely Feasible	14	19	3	0	0
	High Impact	11	19	5	0	0
	High Priority	14	17	4	1	0
	Needs Immediate Action	12	16	7	0	0
Provide ongoing informal & formal RM training and advice, using interesting methods	Highly Desirable	24	11	1	0	0
	Definitely Feasible	16	15	5	0	0
	High Impact	15	15	6	0	0
	High Priority	16	14	4	2	0
	Needs Immediate Action	15	14	5	0	1
Incorporate RM considerations into training in other areas	Highly Desirable	19	16	1	0	0
	Definitely Feasible	12	19	3	2	0
	High Impact	10	17	6	3	0
	High Priority	11	12	10	3	0
	Needs Immediate Action	9	13	9	2	2
Present RM within a holistic IM perspective	Highly Desirable	22	9	4	3	0
	Definitely Feasible	15	14	4	3	0
	High Impact	13	15	5	2	1
	High Priority	14	11	6	3	1
	Needs Immediate Action	13	11	8	3	1
Involve staff in design of RM policy	Highly Desirable	14	20	1	2	0
	Definitely Feasible	11	17	6	3	0
	High Impact	13	11	8	4	0
	High Priority	12	15	6	3	0
	Needs Immediate Action	11	12	10	2	0

## Issue 5

Implementation of ERM and systems requires change and change management.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Present change as for the better, encourage & reward required behaviours	Highly Desirable	19	15	2	1	0
	Definitely Feasible	10	14	9	3	0
	High Impact	11	15	11	0	0
	High Priority	11	13	9	2	0
	Needs Immediate Action	11	14	8	3	0
Use systems / business analysis	Highly Desirable	19	12	5	0	0
	Definitely Feasible	9	20	6	1	0
	High Impact	9	18	8	0	0
	High Priority	10	12	12	2	0
	Needs Immediate Action	10	11	11	4	0
Actively market RM, targeting individuals and their needs / benefits	Highly Desirable	12	23	1	1	0
	Definitely Feasible	10	20	4	2	0
	High Impact	11	15	6	3	0
	High Priority	9	15	7	4	0
	Needs Immediate Action	9	15	8	3	1
Plan well to ensure changes are seen as concrete rather than abstract	Highly Desirable	25	10	1	0	0
	Definitely Feasible	13	18	4	1	0
	High Impact	18	12	4	2	0
	High Priority	13	16	5	2	0
	Needs Immediate Action	9	16	9	0	1
Focus change management on key stakeholders only	Highly Desirable	2	4	3	20	9
	Definitely Feasible	3	10	8	13	1
	High Impact	2	6	7	18	3
	High Priority	1	3	7	19	5
	Needs Immediate Action	1	2	5	19	8
Actively involve staff from the outset	Highly Desirable	26	10	0	0	0
	Definitely Feasible	14	16	1	3	0
	High Impact	21	13	1	0	0
	High Priority	19	13	3	0	0
	Needs Immediate Action	17	14	1	2	0
Use tried and tested project management methods	Highly Desirable	9	12	11	3	2
	Definitely Feasible	7	16	10	1	2
	High Impact	6	12	18	0	1
	High Priority	6	8	17	4	0
	Needs Immediate Action	7	8	17	4	0

Ctd. / ...

.../Issue 5 – ctd.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Change culture before embarking on ERM projects	Highly Desirable	7	5	8	12	5
	Definitely Feasible	2	9	9	13	4
	High Impact	6	8	14	7	2
	High Priority	6	5	11	10	3
	Needs Immediate Action	6	5	12	8	4
Be realistic about what an ERM system will achieve	Highly Desirable	21	13	1	0	0
	Definitely Feasible	14	16	4	1	0
	High Impact	16	16	3	1	0
	High Priority	14	13	7	1	0
	Needs Immediate Action	14	15	6	0	1
Associate ERM implementations with cultural change	Highly Desirable	17	11	6	3	0
	Definitely Feasible	9	15	8	3	0
	High Impact	9	17	9	1	0
	High Priority	8	15	11	1	0
	Needs Immediate Action	9	14	10	3	0



## Issue 6

The e-environment has changed the nature of work and workplace relationships.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Identify positive implications of wider information availability for working practices	Highly Desirable	19	17	0	0	0
	Definitely Feasible	9	20	5	2	0
	High Impact	11	19	6	0	0
	High Priority	9	14	11	1	1
	Needs Immediate Action	6	14	11	4	0
Capture records from new communication forms	Highly Desirable	20	14	0	2	0
	Definitely Feasible	9	19	2	6	1
	High Impact	10	12	11	2	0
	High Priority	13	10	10	3	0
	Needs Immediate Action	11	11	9	3	1
Have a centralised information risk unit	Highly Desirable	8	12	14	3	0
	Definitely Feasible	5	18	10	2	0
	High Impact	4	9	19	2	1
	High Priority	5	8	15	8	1
	Needs Immediate Action	5	5	18	5	2
Employ proactive records professionals	Highly Desirable	26	9	1	0	0
	Definitely Feasible	14	13	4	4	1
	High Impact	19	12	3	1	0
	High Priority	20	12	4	1	0
	Needs Immediate Action	18	10	5	3	0
Records professionals work closely with HR to develop desired staff behaviours	Highly Desirable	7	16	6	6	1
	Definitely Feasible	3	15	9	7	2
	High Impact	5	16	8	5	2
	High Priority	5	13	8	9	1
	Needs Immediate Action	3	14	8	9	2
Get records professionals using new tools outside work & transfer learning into work	Highly Desirable	8	11	15	3	0
	Definitely Feasible	3	13	16	3	0
	High Impact	3	10	19	2	1
	High Priority	3	5	21	6	1
	Needs Immediate Action	4	4	22	5	2
Hold regular staff meetings to stimulate communication	Highly Desirable	13	11	10	3	0
	Definitely Feasible	11	15	6	4	0
	High Impact	7	16	8	5	0
	High Priority	8	10	12	5	0
	Needs Immediate Action	6	11	12	6	0

## Issue 7

ERM systems need to well designed.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Support ERM with an all-embracing policy regime	Highly Desirable	24	10	4	0	0
	Definitely Feasible	13	13	4	5	0
	High Impact	15	9	8	3	0
	High Priority	11	15	8	2	0
	Needs Immediate Action	10	13	9	2	1
Organise and plan ERM systems from the start	Highly Desirable	25	12	0	0	0
	Definitely Feasible	17	14	2	3	0
	High Impact	18	13	4	0	0
	High Priority	18	12	3	2	0
	Needs Immediate Action	14	15	5	2	0
Recognise that IT, RM & human factors are of equal importance	Highly Desirable	15	13	4	2	2
	Definitely Feasible	9	14	7	5	2
	High Impact	11	14	8	1	2
	High Priority	14	11	9	1	1
	Needs Immediate Action	13	10	11	1	1
Involve all stakeholders	Highly Desirable	17	15	0	2	1
	Definitely Feasible	7	18	4	5	3
	High Impact	9	20	3	2	1
	High Priority	11	16	7	2	1
	Needs Immediate Action	7	18	7	1	2
Capture all requirements in advance, using standards to guide design	Highly Desirable	20	12	3	3	0
	Definitely Feasible	9	14	7	5	0
	High Impact	13	15	5	2	0
	High Priority	11	14	6	3	1
	Needs Immediate Action	13	13	7	2	1
Have built-in (not bolt-on) compliance	Highly Desirable	22	8	5	0	0
	Definitely Feasible	11	11	7	5	0
	High Impact	13	14	6	0	0
	High Priority	12	9	10	2	0
	Needs Immediate Action	11	11	10	1	1
Involve users from outset, focusing on their requirements	Highly Desirable	25	9	1	1	0
	Definitely Feasible	12	19	3	2	0
	High Impact	19	12	3	1	0
	High Priority	18	13	5	1	0
	Needs Immediate Action	15	14	4	1	0

Ctd. / ...

... / Issue 7 – Ctd.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Have a regular review & enhancement programme	Highly Desirable	15	18	1	0	0
	Definitely Feasible	13	18	4	1	0
	High Impact	12	16	5	1	0
	High Priority	7	15	13	0	0
	Needs Immediate Action	10	14	8	3	0
Support staff with sufficient/sustained change management programme	Highly Desirable	19	14	1	0	0
	Definitely Feasible	13	17	2	3	1
	High Impact	13	18	3	0	0
	High Priority	10	17	8	0	0
	Needs Immediate Action	11	14	9	1	0
Use 'use cases' with staff	Highly Desirable	7	14	9	1	0
	Definitely Feasible	6	19	9	0	0
	High Impact	6	11	13	1	0
	High Priority	4	12	11	5	0
	Needs Immediate Action	5	10	10	6	0
Design desktop tools to be intuitive, with embedded RM	Highly Desirable	28	7	0	0	0
	Definitely Feasible	15	10	4	7	0
	High Impact	20	12	2	0	0
	High Priority	16	10	7	1	0
	Needs Immediate Action	15	12	6	2	0
Design ERM systems that are easier to use	Highly Desirable	29	6	1	0	0
	Definitely Feasible	16	12	4	2	1
	High Impact	23	9	2	0	0
	High Priority	21	9	3	1	0
	Needs Immediate Action	22	6	7	0	0
Use simple, affordable, reliable, scalable system solutions	Highly Desirable	21	11	3	1	0
	Definitely Feasible	10	12	8	4	1
	High Impact	13	13	7	1	0
	High Priority	12	15	6	1	0
	Needs Immediate Action	14	11	9	1	0
Outsource ERM systems	Highly Desirable	0	1	14	11	12
	Definitely Feasible	2	9	12	5	6
	High Impact	3	3	16	6	6
	High Priority	0	0	15	11	8
	Needs Immediate Action	0	1	13	9	11

**Issue 8**

Other professionals lack understanding of records management and their role within it.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Records professionals must recognise this lack of understanding	Highly Desirable	17	18	0	0	0
	Definitely Feasible	9	23	3	0	0
	High Impact	8	21	4	2	0
	High Priority	9	17	8	1	0
	Needs Immediate Action	9	15	8	2	0
Educate staff using real examples and innovative methods	Highly Desirable	20	14	0	0	0
	Definitely Feasible	12	22	2	0	0
	High Impact	18	11	5	0	0
	High Priority	15	14	6	1	0
	Needs Immediate Action	12	14	7	1	0
Develop partnership working, e.g. records & IT professionals	Highly Desirable	27	8	0	0	0
	Definitely Feasible	16	13	6	1	0
	High Impact	17	14	4	0	0
	High Priority	17	12	5	1	0
	Needs Immediate Action	14	12	6	2	0
Define specific, limited role for RM professionals	Highly Desirable	3	4	9	12	9
	Definitely Feasible	1	8	11	9	6
	High Impact	5	3	11	11	5
	High Priority	1	4	11	8	10
	Needs Immediate Action	2	4	10	8	10
Records professionals should negotiate place on other professional forums	Highly Desirable	11	18	5	0	0
	Definitely Feasible	7	16	7	4	0
	High Impact	8	15	9	1	0
	High Priority	8	12	12	2	0
	Needs Immediate Action	8	9	13	4	0

**Issue 9**

Managers need to commit not just to change in the organisation but lead by example through changing themselves.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Managers should use new systems, leading by example	Highly Desirable	21	14	0	0	0
	Definitely Feasible	9	13	5	7	0
	High Impact	14	17	4	0	0
	High Priority	11	14	9	0	0
	Needs Immediate Action	13	13	9	1	0
Highlight drivers for RM	Highly Desirable	15	16	1	1	0
	Definitely Feasible	8	19	4	3	0
	High Impact	9	20	2	3	0
	High Priority	8	15	8	2	0
	Needs Immediate Action	9	15	8	3	0
Build 'virtual team' of key influencers and specialists	Highly Desirable	15	13	4	1	1
	Definitely Feasible	6	21	5	2	1
	High Impact	8	17	7	1	0
	High Priority	6	19	6	2	1
	Needs Immediate Action	6	15	11	1	1
Hire records managers capable of enthusing & building relations with managers	Highly Desirable	26	8	1	0	1
	Definitely Feasible	11	12	5	5	1
	High Impact	18	13	2	0	1
	High Priority	15	16	5	0	0
	Needs Immediate Action	14	10	11	0	0
Records professionals engage personally with managers	Highly Desirable	19	13	1	1	0
	Definitely Feasible	10	18	2	3	1
	High Impact	14	15	4	1	1
	High Priority	8	22	4	0	1
	Needs Immediate Action	11	16	8	1	0

**Issue 10**

Records / information management needs to be part of an organisation's culture to the same extent as quality assurance.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Recognise organisational importance of information	Highly Desirable	28	7	0	0	0
	Definitely Feasible	14	12	6	2	0
	High Impact	19	14	3	0	0
	High Priority	15	13	6	0	0
	Needs Immediate Action	16	15	4	0	0
Demonstrate benefits of good recordkeeping for the individual	Highly Desirable	19	15	0	0	0
	Definitely Feasible	11	23	1	1	0
	High Impact	14	15	6	0	0
	High Priority	11	17	6	0	0
	Needs Immediate Action	11	18	5	1	0
Demonstrate risk of poor recordkeeping	Highly Desirable	23	9	1	1	1
	Definitely Feasible	14	18	1	1	1
	High Impact	13	15	5	2	1
	High Priority	9	15	9	1	1
	Needs Immediate Action	10	15	7	2	1
Position RM within key activities of the organisation, e.g. risk, quality	Highly Desirable	15	12	2	5	0
	Definitely Feasible	8	17	6	3	1
	High Impact	9	17	4	5	0
	High Priority	8	14	6	8	0
	Needs Immediate Action	7	17	4	8	0
Seamlessly include RM in business practice	Highly Desirable	26	9	0	0	0
	Definitely Feasible	14	10	2	8	0
	High Impact	18	16	2	0	0
	High Priority	15	19	3	0	0
	Needs Immediate Action	12	16	6	1	0
Integrate IM/RM standards	Highly Desirable	13	16	3	2	1
	Definitely Feasible	11	13	5	3	2
	High Impact	12	13	7	1	2
	High Priority	12	11	10	1	1
	Needs Immediate Action	11	9	13	0	1
Use RM certification system	Highly Desirable	9	10	13	4	0
	Definitely Feasible	6	12	9	6	0
	High Impact	6	11	15	3	0
	High Priority	3	10	17	3	0
	Needs Immediate Action	4	9	17	3	0
Build a community of records experts	Highly Desirable	16	15	4	0	0
	Definitely Feasible	11	16	6	1	0
	High Impact	11	13	9	1	0
	High Priority	9	16	10	1	0
	Needs Immediate Action	7	18	11	0	0

### Issue 11

Integration / interoperability of ERM systems with other systems and processes is needed.

Solution		Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
Complete a pilot project prior to procurement	Highly Desirable	14	16	6	0	0
	Definitely Feasible	10	15	5	5	0
	High Impact	13	11	9	2	0
	High Priority	10	12	8	4	0
	Needs Immediate Action	7	10	12	5	0
Use systems / business analysis	Highly Desirable	17	15	3	0	0
	Definitely Feasible	12	17	4	0	0
	High Impact	12	15	6	0	0
	High Priority	7	16	10	0	0
	Needs Immediate Action	7	14	10	3	0
Fully integrate ERM / RM with other systems & processes	Highly Desirable	21	15	0	0	0
	Definitely Feasible	10	13	8	4	1
	High Impact	20	13	2	0	0
	High Priority	17	15	2	1	0
	Needs Immediate Action	15	15	4	1	1
Build openness into IM practices, training, policies	Highly Desirable	17	14	2	0	0
	Definitely Feasible	8	18	7	0	0
	High Impact	8	16	8	0	0
	High Priority	7	16	8	1	0
	Needs Immediate Action	9	13	11	0	0
Build open IT systems	Highly Desirable	9	15	9	0	0
	Definitely Feasible	6	11	15	2	0
	High Impact	7	13	11	2	0
	High Priority	6	9	16	3	0
	Needs Immediate Action	7	6	18	4	0
Design simple user interfaces	Highly Desirable	26	7	1	0	0
	Definitely Feasible	12	15	6	2	0
	High Impact	21	12	1	0	0
	High Priority	18	13	3	1	0
	Needs Immediate Action	16	14	5	0	0
Involve all stakeholders in systems design/selection	Highly Desirable	15	11	4	3	1
	Definitely Feasible	6	13	7	8	2
	High Impact	13	13	8	2	0
	High Priority	8	13	12	2	1
	Needs Immediate Action	7	12	12	3	1