

RESEARCH SCENARIO ONE – APPRAISAL ANSWERS

The Bidding Culture and Local Government: Effects on the Development of Public Libraries, Museums and Archives

<http://www.northumbria.ac.uk/sd/academic/ceis/re/isrc/themes/ibarea/bidcult/>

This research project investigated the significance of competitive bidding for local government archives, public libraries and registered museums. It determined the scale and extent of competitive bidding in these sectors; identified and evaluated approaches to bidding for and securing funds; and investigated the consequences of non-bidding and unsuccessful applications in addition to successful submissions. It was funded by Re:source, the National Council for Museums, Archives and Libraries from 2000 to 2001.

The methodology included:

- a postal questionnaire survey of all local authority archives, libraries and registered museums in England. This questionnaire comprised both closed questions to collect quantitative data, and open questions to obtain views and opinions.
- in-depth interviews with almost one hundred local government and other key personnel nationwide.

Data	Document	Location
	Project information sheet	(i) Word file on University shared drive (ii) on project web pages on University website
	Questionnaire template	Word file on University shared drive
	Contact details of staff in archives, libraries and museums who will be sent the postal questionnaire	Access database on University shared drive
Completed questionnaires		Paper questionnaires in locked filing cabinet in University office
Quantitative data from questionnaires		In Excel spreadsheet on University shared drive
Descriptive data from questionnaires		(i) Word file for storage, on University shared drive (ii) In software package (e.g. NVivo) for analysis, on University server
	Contact details of staff in archives, libraries and museums who will be interviewed	Access database on University shared drive
	Email correspondence with interview participants	Email system on University server
	Interview schedule	(i) Word file on University shared drive (ii) Paper copies in filing cabinet in University office
	Consent form template	(i) Word file on University shared drive (ii) Paper copies in filing cabinet

		in University office
	Signed consent forms	Paper forms in locked filing cabinet in University office
Data from interviews		(i) Audio records of interviews on recording device and on University shared drive (ii) Transcripts of interviews (raw and anonymised versions) in Word files on University shared drive (iii) Anonymised transcripts in software package (e.g. NVivo) for analysis, on University server
Etc.	Etc.	

The appraisal answers below are indicative. What is important to consider is the reason why a record/document is retained or deleted. In different projects the same type of material might be treated differently because the reasons for doing so are different.

1 Items kept for a short period

(Why, how long, where kept, destruction method?)

Email correspondence with interview participants. Emails arranging meetings etc can be deleted after the meeting as no longer required. Delete from inbox and empty deleted items folder.

Audio record deleted after interview transcribed, to ensure confidentiality of personal/sensitive data. Delete files and reformat media.

Unanonymised interview transcript deleted after anonymised transcript agreed with participant, to ensure confidentiality of personal/sensitive data. Delete files from shared drive.

Etc.

2 Items kept very long term

(Why, how long, where kept?)

Project information sheet, questionnaire template, interview schedule, signed consent forms, anonymised transcripts, synthesised data, project outputs (journal articles etc.), which comprise the record of research project and results, kept in accordance with the university's retention schedule, and to answer any queries about the conduct of the project and the veracity of the findings raised by participants or readers of the journal articles published from the project. Stored on University shared drive.

OR

Record of research project and results, kept for a period as required by the research funder/and or the University (whichever is longest). Stored in University repository.

Etc.

3 Items that fall in between

(Why, how long, where kept, destruction method?)

Contact details of staff in archives, libraries and museums who were sent the postal questionnaire; contact details of staff in archives, libraries and museums who were interviewed; email correspondence with interview participants (not previously deleted). Deleted at the end of the project (i.e. the end of the funded period plus x months/years, as defined by the University's retention schedule). These personal details are no longer required and therefore under the Data Protection Act should be deleted. Delete files from shared drive. Delete emails from inbox and empty deleted items folder.

Etc.

RESEARCH SCENARIO TWO - ANSWERS

AC⁺erm – 'Accelerating Positive Change in Electronic Records Management'

<http://www.northumbria.ac.uk/acerm>

This research project aimed to investigate and critically explore issues and practical strategies to support accelerating the pace of positive change in managing electronic records. Its focus was on designing an organisation-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. It was funded by the Arts & Humanities Research Council from 2007 to 2010.

The methodology included:

- a systematic literature review on the topic of e-records management
- electronic Delphi studies (via email) looking in turn at the 3 facets of the study - people issues, understanding work processes, and systems and technologies. Each Delphi involved ~20 participants and comprised 4-5 rounds of questions: one round to refine and discuss the issues identified by a systematic literature review, a round where the issues were ranked in order of importance / urgency, at least one round to propose and discuss solutions to the issues, and finally a round to evaluate the solutions against criteria such as priority and feasibility

Data	Document	Location
	Project information sheet	(i) Word file on University shared drive (ii) on project web pages on University website
	Materials needed to administer the systematic literature review, e.g. database search strategy, results of database search (recorded in a reference management software package, e.g. Endnote), obtaining copies of journal article (e.g. by ILL), electronic (Word, pdf) or paper copies of journal articles, analysis of articles (e.g. in a database such as Access), written up review	Access database (for article analysis), Excel files (for administration), Word files, pdfs - on University shared drive Paper copies of articles in filing cabinet in University office Endnote database on University server

	Contact details of participants in Delphi studies	Access database on University shared drive
	Consent form template	(i) Word file on University shared drive (ii) Paper copies in filing cabinet in University office
	Signed consent forms	Paper forms in locked filing cabinet in University office
	Questionnaire templates for each round in each Delphi study (~12 to 15 templates)	Word files on University shared drive
	Email correspondence with Delphi participants	Email system on University server
Completed questionnaires		(i) Emails in email system on University server (ii) Content copied into Word files on University shared drive
Quantitative data from questionnaires		In Excel spreadsheet on University shared drive
Qualitative data from questionnaires		(ii) In software package (e.g. NVivo) for analysis, on University server
Etc.	Etc.	

The appraisal answers below are indicative. What is important to consider is the reason why a record/document is retained or deleted. In different projects the same type of material might be treated differently because the reasons for doing so are different.

1 Items kept for a short period

(Why, how long, where kept, destruction method?)

Emails arranging meetings (colloquia) etc can be deleted after the meeting as no longer required. Delete from inbox and empty deleted items folder.

Interlibrary loan administrative details after receipt of the item. Delete files from shared drive.

Etc.

2 Items kept very long term

(Why, how long, where kept?)

Access database (for article analysis), Endnote database (for bibliographic information). Useful for future research activities by the project team. Kept indefinitely. University shared drive.

Project information sheet, questionnaire templates for each round in each Delphi study, analysed/synthesised anonymous data, as permanent record of project and its findings. Kept indefinitely. Project website (on the University's website), archived on the British Library's UK Web Archive.

Anonymised answers to each Delphi questionnaire. Signed consent forms. Kept for 10 years, to enable the project staff to write up journal articles from the project. University shared drive.

Etc.

3 Items that fall in between

Why, how long, where kept, destruction method?

Contact details of participants in Delphi studies; email correspondence with Delphi participants; unanonymised responses to the Delphi questionnaires.

Deleted at end of project (i.e. the end of the funded period plus x months/years, as defined by the University's retention schedule). These personal details no longer required and therefore under the Data Protection Act should be deleted. Delete files from shared drive. Delete emails from inbox and empty deleted items folder.

Etc.