

AC⁺erm Project

Project Colloquia:
Programmes and Summary

*Colloquia 1–3:
People, Processes and Technology*



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The AC*erm Project – Accelerating positive change in electronic records management' – is a research project carried out by the School of Computing, Engineering and Information Sciences in Northumbria University from 2007 to 2010. It aimed to investigate and critically explore issues and practical strategies to support accelerating the pace of positive change in managing electronic records.

The project focused 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.

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CONTENTS

Introduction	i
Colloquium 1	
Introduction	1
Agenda	2
Discussion Forums	
List of Issues and Solutions from People Delphi Study	3
Forum 1	7
Forums 2 and 3	17
Colloquium 2	
Introduction	24
Agenda	25
Discussion forums and workshop	
Forum 1 – Issues	26
Forum 2 – Solutions	30
Workshop – Vignettes	43
Colloquium 3	
Introduction	52
Agenda	53
Discussion forums and workshop	
Forum 1 – Issues	54
Forum 2 – Solutions	61
Workshop – Vignettes	74
Colloquium 4	
Introduction	84
Agenda	85

AC⁺erm Output

Project Colloquia – Introduction

Background The AC⁺erm project organised a number of free colloquia to facilitate further data collection and ongoing dissemination of results. These events also proved to be valuable focal points for discussion and interaction between records professionals, academics in the recordkeeping disciplines, and experts and users from a wider base of disciplines and groups.

The first aim of the colloquia was to validate and extend the Delphi studies through face-to-face discussions between a larger audience of participants. The second aim was to keep delegates informed of research progress and to share ongoing findings.

The first three colloquia were linked to the three facets of the project:–

Colloquium 1, focused on the outputs of the e-Delphi study on the ‘People’ issues of ERM, took place in London on 09 October 2008.

Colloquium 2, based on the e-Delphi study on the ‘Process’ aspects of ERM, was held in Birmingham on 26 March 2009.

Colloquium 3, dealing with the results of the Delphi study on the ‘Systems and Technology’ issues, was held in Edinburgh on 24 September 2009.

The fourth and final colloquium was a more substantial event, presented as the latest in the Northumbria Witness Seminar Conference series (<http://www.northumbria.ac.uk/sd/academic/ceis/re/isrc/conf/>). It was held in Newcastle upon Tyne on 04 March 2010 and focused on the links and synergies, actual and desired, between research and practice in the field of Records and Information Management.

Nature of Output Text and graphics.

The outputs include the agendas for the colloquia, along with summaries of the delegates’ contributions to the discussion and activities of Colloquia 1, 2 and 3. Salient aspects of the discussions and suggestions, and of the comments on and trials of the vignette prototypes, have also been incorporated in relevant project outputs.

The full proceedings of Colloquium 4 are published separately as the Proceedings of the Third Northumbria Witness Seminar Conference.

AC⁺erm Output

People Facet – Colloquium 1 – Introduction

Background The first colloquium, focused on the outputs of the e-Delphi study on the 'People' issues of ERM, took place in London on 09 October 2008. Just under 50 delegates attended and contributed to a series of discussion forums, adding to and extending the e-Delphi data.

The colloquium was structured to accommodate presentations from the team and three discussion forums, which addressed the 'People' issues and solutions that had emerged from the Systematic Literature Review and the e-Delphi study (also available via the main Dissemination page).

The specific remits were (i) to refine and add to these existing outputs, and (ii) to make suggestions / proposals for developing vignettes and their appropriate audiences. The vignettes are a form of output that crystallises aspects of the research findings in the form of tools or exemplars.

Delegates were split for the forums into a number of groups, each of which contained representatives from more than one stakeholder group, and sat at a separate table to facilitate discussion and exchange.

Forum 1

Delegates were asked to consider and comment on the full list of issues from the SLR and e-Delphi, and to add any issues they felt were missing.

Forum 2

Delegates were asked to choose the issue that most interested them, and to form discussion groups with others who had chosen the same issue. They commented on the solutions that had been proposed through the e-Delphi study, and made proposals for vignettes and their audiences.

Forum 3

The exercise for Forum 2 was repeated, but this time delegates discussed an issue assigned to their group by the team rather than one that they had chosen themselves.

Nature of Output Text, tables and graphics.

The agenda and a list of the issues and solutions discussed are provided for reference.

In each forum, the delegates were asked to make notes and / or appoint a rapporteur to report back from the discussion; the outputs from the colloquium consist of the initial issues / solutions list plus the collated notes of the rapporteurs and individual delegates.

The delegate discussions, comments, additions, and suggestions for vignettes are collated and summarized in two sections, one relating to Forum 1, the other combining Forums 2 and 3.

Acknowledgements: The 'snakes and ladders' vignette drafted in Forum 3 is the work of one of the delegate groups (G. Sippings, C. Vallis, E. Lomas, J. Foster, J. Lappin and M. Schofield).

Accelerating positive change in electronic records management Tackling the People Issues Together

Project Colloquium
9 October 2008, Wellcome Trust, London
Wellcome Collection Conference Centre (Franks and Steel Rooms)
183 Euston Road, London NW1 2BE

Most companies say their most important assets are their people, but few behave as if this were true. Change projects typically devote the lion's share of their budgets to technology and processes, not staff issues.

Dawson, MJ and Jones, ML 'Herding Cats: Human Change Management' (PwC, n.d.)

Agenda

12.00–12.30 **Lunch**

12.30–13.00 **Introduction**

- The AC⁺erm project – background and initial findings

Forum One

- *Identifying the people issues*
 - Have we got them right? ➢ Have we identified them all?

Forum Two (Discussion)

- *In search of solutions – issue of choice*
 - What is worth trying? Avoiding? How can we ensure that they work?

15.00–15.20 **Tea**

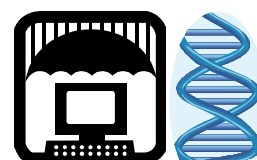
15.20–16.15 **Forum Three (Discussion)**

- *In search of solutions – issue allocated*
 - What is worth trying? Avoiding? How can we ensure that they work?

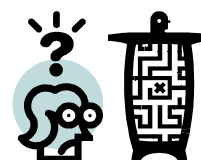
16.15–16.30 **Summary & next steps**

People Facet – Colloquium 1 – List of issues and solutions from Delphi Study**a****Executives and management lack understanding of records management and their role within that.**

- Make senior managers responsible for lack of/poor recordkeeping
- Use real case examples to demonstrate problems/benefits
- Target education & solutions to individuals and real problems
- Present a holistic approach to IM not a narrow RM focus
- Establish IM/RM as a single, corporate board-level function
- Incorporate RM under a corporate function (e.g. legal, IT)
- Work from the top down

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

- Include quality of RM in senior managers' performance criteria
- Appoint CIOs with RM skills
- Position RM within key activities of the organisation e.g. risk, quality
- Highlight drivers for recordkeeping
- Educate staff to appreciate the organisational value of records
- Demonstrate benefits of good recordkeeping for the individual
- Align desktop tools with information policies and business needs
- Make RM pervasive but in the background
- Develop communication and co-operation between RM and other departments

c**Staff, users: lack understanding of records management and their role within that.**

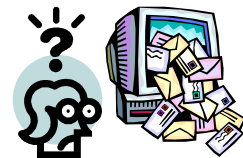
- Include RM in staff performance criteria
- Demonstrate benefits of good recordkeeping for the individual
- Provide ongoing informal & formal RM training and advice, using interesting methods
- Incorporate RM considerations into training in other areas
- Present RM within a holistic IM perspective
- Involve staff in design of RM policy

d**Implementation of ERM and systems requires change and change management.**

- Present change as for the better, encourage & reward required behaviours
- Use systems/business analysis
- Actively market RM, targeting individuals and their needs/benefits
- Plan well to ensure changes are seen as concrete rather than abstract
- Focus change management on key stakeholders only
- Actively involve staff from the outset
- Use tried and tested project management methods
- Change culture before embarking on ERM projects
- Be realistic about what an ERM system will achieve
- Associate ERM implementations with cultural change

e**E-environment: has changed the nature of work and workplace relationships.**

- Identify positive implications of wider information availability for working practices
- Capture records from new communication forms
- Have a centralised information risk unit
- Employ proactive records professionals
- Records professionals work closely with HR to develop desired staff behaviours
- Get records professionals using new tools outside work & transfer learning into work
- Hold regular staff meetings to stimulate communication

f**Other professionals: lack understanding of records management and their role within that.**

- Records professionals must recognise this lack of understanding
- Educate staff using real examples and innovative methods
- Develop partnership working, e.g. records & IT professionals
- Define specific, limited role for RM professionals
- Records professionals should negotiate place on other professional forums

g

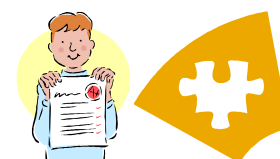
Managers need to commit not just to change in the organisation but lead by example through changing themselves.



- Managers should use new systems, leading by example
- Highlight drivers for RM
- Build 'virtual team' of key influencers and specialists
- Hire records managers capable of enthusing & building relations with managers
- Records professionals engage personally with managers

h

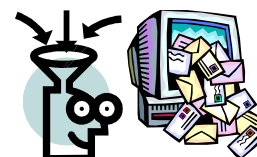
Records/information management needs to be part of an organisation's culture to the same extent as quality assurance.



- Recognise organisational importance of information
- Demonstrate benefits of good recordkeeping for the individual
- Demonstrate risk of poor recordkeeping
- Position RM within key activities of the organisation, e.g. risk, quality
- Seamlessly include RM in business practice
- Integrate IM/RM standards
- Use RM certification system
- Build a community of records experts

i

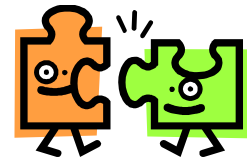
Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment.



- Involve records professionals in business projects, business process analysis
- Use collaborative training
- Get records professionals using new tools (facebook, wikis, blogs etc)
- Invest in developing records professionals' skills
- Build RM team with experts in priority areas
- Take a proactive approach to ERM
- Take a partnerships approach to ERM
- Outsource RM systems

**ERM systems: need to well designed.**

- Support ERM with an all-embracing policy regime
- Organise and plan ERM systems from the start
- Recognise that IT, RM & human factors are of equal importance
- Involve all stakeholders
- Capture all requirements in advance, using standards to guide design
- Have built-in (not bolt-on) compliance
- Involve users from outset, focusing on their requirements
- Have a regular review & enhancement programme
- Support staff with sufficient/sustained change management programme
- Use 'use cases' with staff
- Design desktop tools to be intuitive, with embedded RM
- Design ERM systems that are easier to use
- Use simple, affordable, reliable, scalable system solutions
- Outsource ERM systems

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

- Complete a pilot project prior to procurement
- Use systems/business analysis
- Fully integrate ERM/RM with other systems & processes
- Build openness into IM practices, training, policies
- Build open IT systems
- Design simple user interfaces
- Involve all stakeholders in systems design/selection

People Facet – Colloquium 1 – Forum 1 – Comments on specific issues; issues identified as missing from original list; general comments; issues to prioritise

(i) Comments on specific issues

a

Executives and management lack understanding of records management and their role within that

- True • Yes • Important • Agree partially • Senior management buy-in is essential.
- Not entirely correct. Executives and managers lack understanding of the benefits of good records management and their role (and in certain organisations their legal / regulatory obligations) within that.
- All issues need to be phrased in terms of benefits/expectations • Need to sell benefits and value of good records management.
- Should be linked with (g)¹ which is very important • [and (g)] Executives and managers may believe they have understanding and give support, but in reality expect others to deal with it.
- Should include ERM • Should include 'electronic' • Need to add 'electronic' in there – perception is that RM is still paper • Include electronic • Electronic (records) should be included or emphasised – misunderstanding of RM and IT responsibilities.
- [and (f)² and (c)³] There is no identification with or ownership of RM. /
- Why should senior managers need to understand RM? They only need to appreciate that there is a reqt for good RIM and the issue around compliance – basically the need to know that someone is looking after this!
- Should be reversed also, i.e. RMs fail to understand executives and management.

b

Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

- True • Yes • Agree • Important • Agree partially
- Tall order – needs to be built into job descriptions. [also (c)]
- [also (h)⁴, (j)⁵] Review of principles and practice essential to identify where ERM can add value.
- Records / info management: some organisations see these as separate issues. How do we tie them together? And what about Knowledge Management ...?
- Perhaps people do understand principles and need, but are unconvinced as to the benefits, i.e. whether it is worth putting the time / resource in to it?
- Records managers are not integrated in businesses. they seem to still be too separated, which is why they feel it needs to be 'valued'.

¹ (g) Managers need to commit not just to change in the organisation but lead through example by changing themselves.

² (f) Other professionals lack understanding of records management and their role within that.

³ (c) Staff, users lack understanding of records management and their role within that.

⁴ (h) Records/information management needs to be part of an organisation's culture to the same extent as quality assurance.

⁵ (j) ERM systems need to be well designed.



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

- True • Important • Yes, but also lack understanding of benefits, positive aspects. [also (f⁶)] • [Staff] buy-in is essential • Agree partially
- Needs to be expanded to include lack of understanding of recordkeeping in general and lack of training in using computers; job descriptions should all include recordkeeping.
- Responsibility needs to be added • Responsibility hasn't been devolved. No expertise in RM. No time allocated to RM. Not in JDs. • Tall order – needs to be built into job descriptions. [also (b⁷)]
- Staff ... lack understanding of the value of good records management.
- Records managers need to be able to help staff realise and understand the importance of records to their particular work and role.
- [also (j⁸)] ERM to be intuitive and promote understanding of RM and their requirements.
- The wrong way round – RMgrs need to understand users and staff. This is not something we currently do to a required level of detail. • The wrong way round – records managers need to understand business (as well). • Records managers also need to understand staff. • Should be reversed also, i.e. RMers fail to understand [staff].
- [and (a⁹) and (f)] There is no identification with or ownership of RM.



Implementation of ERM and systems requires change and change management.

- Agreed. Little understanding of impacts of multiple changes and expectations of modified behaviours. [also (e¹⁰)] • True – top-down approach needed • Yes. 'Change manager' is an 'in' topic. • Agree fully. • Important [ish – in parentheses]
- Should also include understanding of external pressures on change, not start with the systems. ERM implementation is change mgt. ERM experts are change mgt agents but need to understand role in broader change mgt environment.
- [also (j)] Engage all staff or representatives at every stage of development and implementation. • Need to engage with appropriate stakeholders prior to procurement of ERM. • Business requirements at outset.
- Ongoing change needs to be managed due to updates. • This must not be perceived as one-off change. It is ongoing and must be future-proofed.

⁶ (f) Other professionals lack understanding of records management and their role within that.

⁷ (b) Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

⁸ (j) ERM systems need to be well designed.

⁹ (a) Executives and management lack understanding of records management and their role within that.

¹⁰ (e) The e-environment has changed the nature of work and workplace relationships.



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

- Agree – training seen to be a catch-up process and *ad hoc*. • Agree fully. • Agreed. Little understanding of impacts of multiple changes and expectations of modified behaviours. [also (d)¹¹] • Critical • Important.
- A bit – not that much.
- Advantages – sharing information.
- Expectations have changed with ‘instant’ electronic access
- This is a very general statement. Useful to tie it specifically to RM? • How is this defined? Does it cover SMS messaging? • Is this Web 2.0? Needs to be clearer.
- Higher expectations? i.e., do people expect to be able to find things instantly?
- Impact of email – and lack of management of it.
- Change in boss / PA role – i.e. senior managers often don’t have own PA / secretary doing records management / filing nowadays – but do senior managers take over this role?
- e-environment and organizational change. • Must recognise changes such as home working. Solutions must take this into account.
- Reassure staff that it is a benefit, most will see it as a mechanism for job cuts.



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

- True • Agree fully. • Important.
- Yes, but also lack understanding of benefits, positive aspects. [also (c)¹²]
- Other professionals – who are these? How are they different from executives, management, staff, users? • ? other information professionals or broader set of professionals?
 - converging info professionals
 - strength of multi disciplinary approach
 - definition of roles and complexity is not what our customers want.
- [and (a)¹³ and (c)] There is no identification with or ownership of RM.
- Also – record managers have a lack of understanding of IT professionals or other professional stakeholders who have valuable skills and can work with them. • Records managers need to understand other stakeholders’ business processes. • RM must conversely fully understand / have insight into users’ needs.
- Records managers need to find ways of communicating with and influencing other professionals. I’m glad this point is here.
- [also (i)¹⁴] Recruitment and training.

¹¹ (d) Implementation of ERM and systems requires change and change management.

¹² (c) Staff, users lack understanding of records management and their role within that.

¹³ (a) Executives and management lack understanding of records management and their role within that.

¹⁴ (i) Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment.

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

- A real problem • Most important • True – actions speak louder than words. • So true • Change management very important! More sometimes than training. • Important. • Agree partially
- [and (a)¹⁵] Executives and managers may believe they have understanding and give support, but in reality expect others to deal with it. • Good point – but do senior managers really understand – do they ever manage their own records, for example?
- Managers need to see R mgt as a vital / important function – not just filing / storing of records.

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

- True • Very important; it would be great for there to be a hygiene factor to info management. • Important. • Agree partially
- Is quality assurance that much a part? More than risk or data protection etc? Same as (b)¹⁶? • Potentially remove: why quality assurance? I agree RM / IM should be integrated / mainstreamed. • Reference to quality assurance is a red herring. R/IM needs to be part of an organisation's culture. Period.
- Not applicable to all organisations – should emphasise risk assessment. • Extend to performance management and risk
- May be better analogies – i.e. health and safety. • Add “or health and safety” (not all organisations have quality assurance cultures).
- RM needs to be part of ‘taken for granted’ daily processes – like ‘brushing your teeth’ – everyone accepts it has to happen.
- [also (b), (j)¹⁷] Review of principles and practice essential to identify where ERM can add value.

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

- Agree fully. • True
- [also priority/focus]. V. important and raises issues regarding initial and ongoing professional training for RMgrs. • [also priority/focus]. Would like to see more on the training of RM professionals for the modern business and the shape of this profession in the future.
- [also (f)¹⁸] Recruitment and training.
- For a rapidly changing e-environment.
- Collaboration more important.

¹⁵ (a) Executives and management lack understanding of records management and their role within that.

¹⁶ (b) Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

¹⁷ (j) ERM systems need to be well designed.

¹⁸ (f) Other professionals lack understanding of records management and their role within that.



ERM systems need to be well designed.

- Vital, but what is 'well designed'? • Agree fully. • True
- Needs to be explained a little bit more (is this about making sure that systems are user-friendly?) • What does that mean? Easy to use? Quick to use? • What does it mean? It can be true if you build in-house EDRM system but usually you buy them already packaged, so it would be more useful to [rephrase?] and concentrate more on how we can influence the production of EDRMS from the major companies.
- Assumes this relates to ergonomics.
- Must be designed to meet needs of people, not just the system. • The systems designed must also be fit for purpose of users(s) organisation(s).
- [also (c)¹⁹] ERM to be intuitive and promote understanding of RM and their requirements.
- Self evident needs to be well designed. The important part is how the design relates to the people using. An apparently well-designed and consulted [project] can still result in an apparently poor system as the 'right' people or not enough people were consulted.
- [also (d)²⁰] Engage all staff or representatives at every stage of development and implementation. • Engage all stakeholders at outset.
- [also priority / focus] It would be really great to have a toolkit of what to bear in mind when configuring ERM systems or the ERM environment if not using EDRMS.
- [also (b)²¹, (h)²²] Review of principles and practice essential to identify where ERM can add value.
- **Not a people issue.** • **Not people - IT.**



Integration/interoperability of ERM systems with other systems/processes is needed,

- Yes. • True • Agree partially
- Perhaps the relationship between 'systems' and 'processes' should be clarified.
- [also priority / focus] Would like to see more advice on how to focus on the bigger picture – a more holistic approach – rather than the main focus on EDRM systems and documents / emails.
- **I don't think this is a people issue.** • **Not a people issue except need for simplicity.** • **Not a people issue.** • **Not people – IT.**

¹⁹ (c) Staff, users lack understanding of records management and their role within that.

²⁰ (d) Implementation of ERM and systems requires change and change management.

²¹ (b) Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

²² (h) Records/information management needs to be part of an organisation's culture to the same extent as quality assurance.

(ii) Issues missing from the original list

- Perhaps risk is missing.
- Links to other legislation (DP, FOI)
- Where is KM and information sharing?
- Sharing / knowledge management / compliance
- Nature of communication between information professionals and staff – needs to be more flexible and more of a two-way process.
- Resources – training, staff systems, time.
- Training • Importance of training • Training: staff often playing 'catch-up' – training is reactive.
- Human resources for records management, i.e. making sure there are enough people to work on ERM issues, projects etc. If records/information are a corporate resource (akin to people and money) then it should be resourced more appropriately or in line with other corporate functions. Staffing levels for ERM are often inadequate. • Resourcing – appropriate; and lack of enough RM support within organisations. • Sufficient resources required.
- People – especially senior managers – need to understand the benefits to them and how it will help them achieve their objectives. Focus on this as it underpins engagement which is at the heart of positive change. • Doesn't seem to be issue looking at benefits for people / staff / users: i.e. does it make life easier / quicker etc. • Benefits – these need to be made relevant to different groups. E.g., end users' access to alternative info sources and senior managers – governance, leg. compliance.
- Flexible working through the e-environment and sharing / transparency of information provokes feelings of job insecurity amongst staff and users. Specially in specialist roles / functions. i.e., staff feel easily threatened and dispensable. /
- A lot is mentioned about ERM systems and not about any system containing records, e.g. databases, Web 2.0, content mgt systems. [Applies particularly to (d), (j) and (k).]
- Influence of vendors on stakeholders – vendors talk to senior managers and IT and influence these people. /
- Lack of RM experts in small–medium sized organisations. . No view held by two RMs in group.
- We need to be able to empirically demonstrate how RM and user investment in it will directly and positively contribute to improved delivery and outputs.
- RMgrs need to find ways of improving their knowledge of complex and specialist business processes (the ones which actually add value to the orgn.) rather than sticking to the more generic (and therefore easier) central areas of Finance, HR, etc.
- Create emphasis on reality / practicality:
 - realistic targets accepting people do not love filing!
 - management of change is costly
 - competing budgets.
- Influence of the XY generation.
- Buy-in from staff. Agreement to change.
- Some consideration needed for type of organisation introducing EDRM into and the different approach required e.g. educational institution or central government, banking, etc – focus will be very different.

(iii) General comments

- All relevant. • All people related issues present. • All are relevant. • Yes have got them right. • Yes have identified them all. • People issues identified well and cover main areas – e.g. change management; senior management buy-in and leadership; RM skills; technical – changes / issues.
- (a) – (k) all required.
- (a)²³, (c)²⁴ and (f) (f) Other professionals lack understanding of records management and their role within that. are the same, they just apply to different stakeholder group. Could have one issue: stakeholders lack understanding of RM and their role within that.
The main issues I encounter are to do with management of expectations and the relationship between that, and change within the organisation. On both the 'business' and IT sides it is often the case that problems with change are directly related to misconceptions regarding expectations or assumptions regarding business processes and their function/operation, or, IT systems, their capabilities and resource requirements. In that respect attempting to separate out the various issues can be a little misleading; it can suggest that they should be tackled in isolation when in fact they usually cannot be treated in this manner.
- Some people-related issues can be merged together, i.e. lack of understanding of RM appears three times depending on roles, after all is lack of understanding anyway.
- Issues (a), (c) and (f) are actually saying that no-one understands RM and their role in it. /
- Other professionals – who are these? How are they different from executives, management, staff, users? Can (a), (c) and (f) be treated as one issue around communication / awareness / training?
- Communication skills are very important – related to Issue 1 [influence of vendors]. Need to be able to influence and talk the language of others and understand what is important to them.
- In identifying system requirements engage all of these stakeholders, prior to going to a vendor or design.
- RM professionals need to understand better their users and their needs.
- (a) and (g)²⁵ seem like two parts of similar topic / issue
- (b)²⁶ and (h)²⁷ seem like two parts of similar topic / issue
- (j)²⁸ and (k)²⁹ seem like two parts of similar topic / issue
- Does seem to be some issues that follow on from others, e.g. (a) and (g), (e)³⁰ and (i).³¹
- There is an escalating relationship between (g)³² and (a)³³ which leads to (c).³⁴ If managers don't understand RM, they will not change themselves and if they don't change, they will not convince / influence their staff to change.
- (b)³⁵ and (c) are saying the same thing?

²³ (a) Executives and management lack understanding of records management and their role within that.

²⁴ (c) Staff, users lack understanding of records management and their role within that.

²⁵ (g) Managers need to commit not just to change in the organisation but lead through example by changing themselves.

²⁶ (b) Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

²⁷ (h) Records/information management needs to be part of an organisation's culture to the same extent as quality assurance.

²⁸ (j) ERM systems need to be well designed.

²⁹ (k) Integration/interoperability of ERM systems with other systems/processes is needed.

³⁰ (e) The e-environment has changed the nature of work and workplace relationships.

³¹ (i) Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment.

³² (g) Managers need to commit not just to change in the organisation but lead through example by changing themselves.

³³ (a) Executives and management lack understanding of records management and their role within that.

³⁴ (c) Staff, users lack understanding of records management and their role within that.

- Would re-order or group issues.
 (d)³⁶ and (j)³⁷ and (k)³⁸ – relate to ERM. (d) also relates to culture.
 (k) important not just ERM.
 (a) and (g) – relate to management levels and lack of understanding.
 (b) – needs more to description of issue – RM needs to be recognised as a function with appropriate authority and leading the change.
 (d) and (h)³⁹ and (g), (e)⁴⁰ and (i)⁴¹ are all about culture and change, ways of working.
 (a) and (f)⁴² – staff and other prof[essionals], similar to management levels, RM not understood, recognises and effect. So add (a) and (g) here → it is a marketing issue .
- Some of these issues are factors for success of ERM, e.g. (g), (d), (j).
 Others are current situation statements, e.g. I, (e), (f), (a).
 It is difficult to contrast / compare these two types to prioritise.
- Training for records managers should be taken more seriously in a corporate environment.
- Interdependability on KM, ECM, etc and making sure the correct solution is adopted.
- Incorporate existing processes and practices, and through business analysis, define the system requirements.
- It might be more useful to understand the relationships between these issues as there is a lot of overlap. Perhaps where the overlap is is where the main problems are?
- All the issues have a lot of sub-issues within them, e.g. there is a lack of understanding, but there are also pre-conceptions (they think they know what RM is).

³⁵ (b) Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

³⁶ (d) Implementation of ERM and systems requires change and change management.

³⁷ (j) ERM systems need to be well designed.

³⁸ (k) Integration/interoperability of ERM systems with other systems/processes is needed.

³⁹ (h) Records/information management needs to be part of an organisation's culture to the same extent as quality assurance.

⁴⁰ (e) The e-environment has changed the nature of work and workplace relationships.

⁴¹ (i) Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment.

⁴² (f) Other professionals lack understanding of records management and their role within that.

(iv) Issues to prioritise or focus on

- All key issues for ERM.
- Focus on resources [HR]; issue (e)⁴³ is critical
- Focus on (a),⁴⁴ (g),⁴⁵ (b)⁴⁶
- Most important (e), (d),⁴⁷ (a).
- Focus should be No 1=E, No 2=D, No3=B.
- Priorities: (e), (g), (i),⁴⁸ (h).⁴⁹
- Focus on (a), (g), (d), (b), (h).
- (c)⁵⁰ – but see above ‘mutual understanding’ (and links to (e)); (h); (j)⁵¹ and (k)⁵² (intrinsically linked).
- Focus should be on:
(c) – with proviso above [records managers need to understand staff]
(g) – if managers won’t do things, staff won’t.
(e) / (i) – how the e-environment changes what skills are required.
- Focus on
(a) – problem; (b) – solution to (c) and (f);⁵³ (c) – problem; (d) – ubiquitous; (f) – staff and users;
(g) – solution to (a); (h) – solution to (a), (c), (f).
- Priorities of issues
Records sys (d) (j) (k) – 4th
Marketing (a) (g) (c) and (f) – 3rd
Culture/change (d) (h) (g) (e) and (i) – 2nd (maybe joint 1st?)
RM function (b) most important.
- Priorities
1 – (a), (g) Senior management/[staff] buy-in is essential.
2 – (b) Review of principles and practice essential to identify where ERM can add value; (c) ERM to be intuitive and promote understanding of RM and their requirements; (d) Engage all staff or representatives at every stage of development and implementation; (f) Recruitment and training.
3 – Reassure staff that it is a benefit, most will see it as a mechanism for job cuts.
- Most important / vignette suitability
(i) – If records professionals are to be involved in ERM they need skills / knowledge. It might be that records professionals are replaced by information managers – is there a difference?
- [also (i)]. (i) v. important and raises issues regarding initial and ongoing professional training for RMgrs.
- [also (i)⁵⁴]. Would like to see more on the training of RM professionals for the modern business and the shape of this profession in the future.

⁴³ (e) The e-environment has changed the nature of work and workplace relationships.

⁴⁴ (a) Executives and management lack understanding of records management and their role within that.

⁴⁵ (g) Managers need to commit not just to change in the organisation but lead through example by changing themselves.

⁴⁶ (b) Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

⁴⁷ (d) Implementation of ERM and systems requires change and change management.

⁴⁸ (i) Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment.

⁴⁹ (h) Records/information management needs to be part of an organisation’s culture to the same extent as quality assurance.

⁵⁰ (c) Staff, users lack understanding of records management and their role within that.

⁵¹ (j) ERM systems need to be well designed.

⁵² (k) Integration/interoperability of ERM systems with other systems/processes is needed.

⁵³ (f) Other professionals lack understanding of records management and their role within that.

- [also (j)⁵⁵] It would be really great to have a toolkit of what to bear in mind when configuring ERM systems or the ERM environment if not using EDRMS.
- [also (k)⁵⁶] Would like to see more advice on how to focus on the bigger picture – a more holistic approach – rather than the main focus on EDRM systems and documents / emails.
- General – looking at the world from a narrow RM focus – weakness.
- General – should not start from a technology issue.
- General – good to present as questions.
- Most important / vignette suitability
 - (i) – If records professionals are to be involved in ERM they need skills / knowledge. It might be that records professionals are replaced by information managers – is there a difference?
- RM skills required and relationships / approaches.
- Communication skills for RMs.
- Risks of not undertaking RM.
- Cross-function / cross-boundary, i.e. country, resistance to joined-up corporate approaches.
- (b)⁵⁷ – solution to (c)⁵⁸ and (f).⁵⁹
- (g)⁶⁰ – solution to (a).⁶¹
- (h)⁶² – solution to (a), (c), (f).

⁵⁴ (i) Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment.

⁵⁵ (j) ERM systems need to be well designed.

⁵⁶ (k) Integration/interoperability of ERM systems with other systems/processes is needed.

⁵⁷ (b) Records management and information management – Principles and practices need to be a valued and integral part of the organisation.

⁵⁸ (c) Staff, users lack understanding of records management and their role within that.

⁵⁹ (f) Other professionals lack understanding of records management and their role within that.

⁶⁰ (g) Managers need to commit not just to change in the organisation but lead through example by changing themselves.

⁶¹ (a) Executives and management lack understanding of records management and their role within that.

⁶² (h) Records/information management needs to be part of an organisation's culture to the same extent as quality assurance.

People Facet – Colloquium 1 – Forums 2 and 3 – Further exploration of solutions to ‘People’ issues identified in the e-Delphi study

Missing items; comments; suggestions for vignettes and target audiences

Issue (a) Executives and management lack understanding of records management and their role within that.

Comments

Forum 2

- Solutions could very much depend on type of organisation.
- If organisation is highly regulated this could make getting senior buy-in easier by highlighting risks / consequences of not implementing appropriate RM systems and controls. Try to use examples as back-up.
- This was felt to be similar if organisation was subject to political ‘scrutiny’ e.g. likely to get buy-in if a senior manager was in position of having to give information to government, MP, ministers etc. Any erroneous info provided could be fatal – so could avoid this via good records management practice.
- If continually faced with closed door – be innovative and find route in. This could be informal approach via (say) PA to find time slot in MD’s diary to get foot in door.
- Use others who have already benefitted from added value of RM input to act as ambassadors to ‘bend’ senior managers’ ears to persuade them to buy in.

Vignettes and target audiences

Forum 2

- Monopoly: w/out good (compliant) records management always land on ‘Go To Jail’. By implementing good rec. management practices – roll dice but never land on ‘Go To Jail’ but if do RM has your ‘get out of jail free’ card up his sleeve for you.

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

Missing items

Forum 2

- Performance criteria for all staff?
- RM as part of induction process.
- Supervisors with ‘global’ responsibility.
- Appropriate business analysis and systems design.
- All parts of the business work together, i.e. IT and everyone else?

Vignettes and target audiences

Forum 2

- Induction training.
- Intranet sites / easy access.
- Process flows.
- CBT.

Audience – All staff.

Issue (c) Staff, users: lack understanding of records management and their role within that.

Comments

Forum 2

- Include RM in staff performance criteria
✗ Too big stick – not a good cultural [act?]
- **Demonstrate benefits** of good recordkeeping for the individual
- Provide ongoing informal & formal RM training and advice, using interesting methods
- Incorporate RM considerations into training in other areas – Agree
- Involve staff in design of RM policy
 - Users often know best.
 - Now have tools to extract that.
- Branding – 'RM'.
- Need to understand user psychology.

Vignettes and target audiences

Forum 2

- Benchmarking data – [?] data etc.
- Mechanism to capture what changes users would like to achieve for an RM project.

Forum 3

- Snakes and Ladders game:



Rules for Game – 'Ups'

- Approve a budget
- RM put in charge of IT
- RM a major part of new joiner inductions
- IM principles enforced through job descriptions
- Standardised naming conventions
- Corporate file plan
- Enforced guidelines
- Deduplication
- Approved vital records programme

Rules for Game – 'Downs'

- No budget
- No management
- Data is lost in transit
- Laptop is left on train (failure of information security policy)
- Enforcement notice
- Data corrupted; back-up tapes fail.
- Basement archive flooded; mould sets in.

Audience – Staff.

Issue (d) Implementation of ERM and systems requires change and change management.

Missing items

Forum 2

- Assess current situation – know where you are before you embark on change.
- Use appropriate people-led methodologies that are flexi.

Comments

Forum 2

- Actively market RM, targeting individuals and their needs/benefits
Focus.
- Understand the culture. Be realistic about the extent you can change the culture.
- Don't assume you can import a solution that worked in a different organisation.
- Don't leave change management too late: involve users from the earliest stages of the design process.

Forum 3

- ID and train champion(s) depending on size of organisation and project to sell and promote.
Champion should have overall knowledge of the system and business area to answer specific questions.

Vignettes and target audiences

Forum 2

- A template for a good communications plan ... how to:
 - identify audience types
 - assess current situation – their needs and concerns
 - target them with the right message in the right format.
- Get users to express what benefits they are seeking from a change.

Audience – People responsible for implementing change project – whoever that may be – records manager.

Forum 3

- How to identify the characteristics required to be a champion:
 - enthusiasm
 - communicator
 - understanding of 'bad' business processes
 - right 'level' of seniority
- How to make best use of the champion:
 - local support
 - properly trained / training needs analysis

Issue (e) e-Environment: has changed the nature of work and workplace relationships.

Comments

Forum 2

- Employ proactive records professionals [– First priority]
- Records professionals work closely with HR to develop desired staff behaviours [– Second priority]
- Work can be done securely from a remote location.
- IT are 'in charge' and more creative functions use more budget.
- Culture clash / diversity / understanding of tools
- New people joining organisations are used to communication technology; don't understand or care how it works, just want to use them to help them with their job.
- Products developed by academics and focused on sharing, not controls.
- Lack of process training or lack of insistence on no exception to instruction given in training.
- Some jobs have stopped i.e. typists and other roles have absorbed some of their functionality.
- Can't prevent technology *per se* and don't want to.
- Have process to evaluate new technology / applications holistically.
- Computing staff should understand more about the context of the data managed on the systems.

Forum 3

- Remote working – interoperability.
- Using new technologies (Web 2.0, msn, change in the email communication).
- Understand the tools that people use in the corporate environment.
- Decide which ones we should manage / control and why. (Identify the different types of records – add values.)
- Link the types of records with policy.
- Awareness of training; communications plan.

Vignettes and target audiences

Forum 2

- Records professionals work closely with HR to develop desired staff behaviours
- Checklist of issues of common interest between RM and HR.

Issue (f) Other professionals: lack understanding of records management and their role within that.

Comments

Forum 3

- Similar terms e.g. classification, archiving – definitions from both sides.
- Develop partnership working, e.g. records & IT professionals
Partnership working doesn't work when your professional expertise not recognised.
- Records professionals should negotiate place on other professional forums
We should definitely go to other professional forums / events, and learn their languages.

Vignettes and target audiences

Forum 3

- Educate staff using real examples and innovative methods
- Make training modular – start with absolute basics, don't bombard with info; i.e.
 - 'When you need to call Records Management'
 - A tool for HR, Finance, IT so that they know when they need to contact RM for advice
 - Get a workshop together – discussion around a table produces good results
 - All professionals sharing their expertise – e.g. move to a new building.
- At least one organisation has used a puppet show.

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

Comments

Forum 2

- Encourage interviews with senior people who have actually made a change (even if just an empty cupboard).
- Need to start at the top.
- Name and shame
- Show senior managers how more junior staff have achieved.
- Should senior people be involved in choosing a system?
- There has to be a big stick for senior people, expressed accountability.
- Shatter the belief that 'the system' will do everything.
- Managers should focus not on a system but on the policy and promoting a certain culture. Additional benefit – if managers lead in transparency, people will not feel so insecure.
- RM should be embedded and mandatory – part of induction, part of probationary training. Ongoing process.
- Records manager: should be better integrated so their presence and procedures are known and explicit.
- 'Before and after' demonstrations

Forum 3

- Define 'manager' – anyone with responsibilities to manage people and change.
- Managers must 'sign up' to change and be seen to practise.
- Changes must be obvious / should be perceived to be of value. Business benefits.
- Sector / function specific.
- Policy
- Corporate-wide comms policy.

Vignettes and target audiences

Forum 2

- Way of engaging senior staff, make RM interesting, not using RM vocabulary, good illustration of terms e.g. explaining metadata by an ipod.
- Visualisation of their aims, e.g. model office, a before-and-after demonstration of a correctly structured drive, esp for a project team.
- At least one organisation has used a puppet show.

Audience – Staff at all levels, but forcibly including managers.

Forum 3

- Toolkit / training / CBT – workshops / forums / user groups.
- Training certificates.
- Hard data to prove benefits.
- Pilot project / proof of concept.

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

Missing items

Forum 2

- j!Develop an IM competency framework and performance management for all levels and roles / responsibilities.

Comments

Forum 2

- Don't need reference to quality assurance.
- Don't talk about records / recordkeeping – call it information management.
- Demonstrate benefits at all levels, from the individual and his / her job, to snr managers and their responsibilities, to the organisation and its business objectives (the 'what's in it for me' factor).
- Recognise and reward good practice, good competence, good performance ...
- Objectives similar to those for (b).

Forum 3

- Two-pronged approach:
 - Make sure (pro-active) the records manager contributes to FOI, business continuity, risk. Looking for opportunities into which to build good RM.
 - Organisations moving towards 'hot desking' culture – this can be a driver for moving to EDRM.
- Continuity planning – to build into this that as part of managers' annual review it becomes the norm to have a file review, update your retention schedule etc ... Make it part of your org's project management methodology for example.
- Make sure bits of your RM policy is also embedded in all other relevant policies.

Vignettes and target audiences

Forum 2

- Toolkit – principal elements required for e.g. snr managers, team leaders, practitioners, staff ...

Forum 3

- Advice on what areas of the organisation you could look at where RM policies could be embedded.
- RM training video that would be shown as part of your induction – light-hearted comedy video.
- Checklist of RM products (target audience those areas of the business where those products could be of use) – e.g. your vital records audit or retention schedule could be useful in the design and update of your orgs business continuity planning.

Issue (i) Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment.

Missing items

Forum 2

- Definition of skills needed by records professionals – not necessarily RM skills, also leadership, communication, change management.

Comments

Forum 2

- Avoid?: Outsourcing RM systems – maintain healthy scepticism – could lose control need to input on user requirements and maintain management control; security issues may rule out outsourcing.

Vignettes and target audiences

Forum 2

- Collaborative training

Tool for records professionals / managers responsible for RM.

Encourage / [?] to think about when engaging in collaborative training:

- Induction
- IT training
- organisational areas e.g.
 - HR
 - Legal
 - Marketing / Communication
 - Audit
 - Finance

- Format – checklist? statement? guidelines?

Issue (j) ERM systems: need to well designed.

Issue (k) Integration/interoperability of ERM systems with other systems and processes is needed.

Comments

Forum 2

- The problem: Gap between the 'nice' records systems provided by the vendors, and the user tolerance to 'capture' records with all necessary metadata.
- Make these systems work harder so that they are less intrusive to the user: active rather than passive. Systems embracing all recorded information from short-term transitory, through to records requiring long-term retention, through in-line business systems (not adding system and their list).
- (j): Use simple, affordable, reliable, scalable systems.
- (k): Design simple user interface.

Vignettes and target audiences

Forum 2

- Toolkit indicating who should be involved in design of interface – design, RM issue, IT, governance.

AC⁺erm Output

Process Facet – Colloquium 2 – Introduction

Background The second AC⁺erm colloquium focused on the ‘Process’ facet of the project and was held on 26 March in the REP conference centre in at the Birmingham Repertory Theatre. Over 30 delegates attended, adding to and extending the data from the e-Delphi data in a series of discussion forums.

Delegates were split into a six groups, each of which contained representatives from more than one stakeholder group.

Forum 1

Delegates were asked to consider and comment on the full list of issues from the SLR and Process e-Delphi study, and to add any issues they felt were missing.

Forum 2

Each group was allocated a single issue for discussion and asked to comment on the solutions that had been proposed through the e-Delphi study.

Workshop

The delegate groups were asked to evaluate and comment on three draft vignettes / tools based on the solutions offered in the e-Delphi study.

The first was ‘Fridge Frases’ or ‘Fridge Phrases’, where words and phrases are available in the style of ‘fridge magnets’ to form issues and ideas for training sessions, brainstorming, etc.

The second took the form of ‘rich pictures’ – issues or problems are encapsulated and explored through pictorial representations, in a flexible and non-linear manner.

The final type of tool was a story – issues or problems are presented through a ‘personalised’ narrative, from a particular perspective (in this case, of a systems user).

Nature of Output Text, tables and graphics.

The agenda is provided for reference.

In each session, the delegates were asked to make notes and / or appoint a rapporteur to report back from the discussion.

The outputs from the colloquium consist of the initial material for discussion presented to the delegates combined with the collated notes of the rapporteurs and individual delegates, together with notes taken by the project team.

Accelerating positive change in electronic records management Tackling the Process Issues Together

Project Colloquium

26 March 2009, Birmingham Repertory Theatre, Birmingham
REP Conference and Banqueting Centre (Victoria Suite)
Centenary Square, Broad Street, Birmingham, B1 2EP

The majority of eDRMS implementations I have seen to date are marvellous examples of tail wagging the dog – the creation of systems of control that service a few RM people in the organisation and ignore the business usability for everyone else – this is simply not sustainable.
Participant in AC⁺erm e-Delphi Study

Agenda

- | | |
|--------------------|---|
| 12:00–12:30 | Lunch |
| 12:30–12:40 | Introduction <ul style="list-style-type: none">• The AC⁺erm project – update on findings |
| 12:40–13:10 | Discussion Forum One <ul style="list-style-type: none">• <i>Identifying the process issues</i><ul style="list-style-type: none">➢ Have we got them right? ➢ Have we identified them all? |
| 13:10–14:40 | Discussion Forum Two <ul style="list-style-type: none">• <i>In search of solutions</i><ul style="list-style-type: none">➢ What is worth trying? ➢ What should be avoided? |
| 14:40–14:50 | Workshop - Introduction |
| 14:50–15:10 | Tea |
| 15:10–16:25 | Workshop <ul style="list-style-type: none">• <i>Using the draft tools (vignettes)</i><ul style="list-style-type: none">➢ How useful are they? How well do they work? How could they be better? |
| 16:25–16:30 | Summary & next steps |
| 16:30–17:30 | Drinks reception – networking & further discussion |

Process Facet – Colloquium 2 – Forum 1 – Issues for discussion; delegate comments and discussion

Discussion Forum 1 – List of Issues

1. Organisation-level RM policies & infrastructure need to be established for e-records management
2. The need for non-IT processes to conduct business in the e-environment should be recognised
3. E-records management needs to be seen in the context of business risk & risk management
4. E-records are created in different business processes and maintained in multiple systems. Organisations need to manage this records environment in an integrated way
5. How can we improve recordkeeping processes for e-records?
6. Organisations need to develop and implement a preservation strategy for e-records
7. The relationship between privacy, security and access needs to be understood and managed
8. Organisations need to recognise where the e-environment creates new processes / affects existing processes and need to manage this
9. RM principles and/or methods need defining or developing for e-records management
10. Organisations need to recognise which business processes need analysing and/or re-engineering for e-records management and implement the outcome
11. The nature, development and/or organisational use of standards and national strategies needs to be effective
12. Organisations need a strategic approach to the use of new technologies and need to manage the associated recordkeeping implications

Forum 1: Further exploration of 'Process' issues

These process issues are those identified from the Systematic Literature Review and refined and added to by the participants in the e-Delphi study.

Under each specific issue, the comments from Colloquium delegates are given. In addition, the delegates identified issues which were missing from original list, and gave general comments. Where known, the stakeholder category is given (as designated by the delegate). (Note: RMger = records manager, n/k = not known).

(i) COMMENTS ON SPECIFIC ISSUES

- 1 Organisation-level RM policies & infrastructure need to be established for e-records management
 - Statement of fact rather than issue. [SM/IS Admin]
 - Needed but very difficult to get stakeholder support. [RMger]
 - {'Infrastructure' highlighted.} [RMger / Systems Administrator / Project Manager]
 - Statement of standards? Has to be enforced. No point having them if they are unachievable. [RMger]
- 2 The need for non-IT processes to conduct business in the e-environment should be recognised.
 - Agree. [SM/IS Admin]
 - {'recognised' highlighted} To ensure ERM is not IT-driven. [RMger / Systems Administrator / Project Manager]
- 3 e-Records management needs to be seen in the context of business risk & risk management.
 - Within regulatory bodies this is embedded and compliance is a requirement. [SM/IS Admin]
 - Dependent on sector. [Information professional / employee]
 - Massive driver. Change wording of 'needs to be seen in the context of' to 'needs to be aligned to'. [RMger]
- 4 e-Records are created in different business processes and maintained in multiple systems. Organisations need to manage this records environment in an integrated way.
 - Core issue—Budget lead—"How to eat an elephant"—Projects to implement e-records tend to aim at selecting areas of business and not the organisation as a whole: this affects (1) above and others. [SM/IS Admin]
 - Important in our organisation to get RM issues involved in system set up. [RMger]
 - Yes! [Information professional / employee]
 - {'Multiple systems' and 'integrated' highlighted} [RMger / Systems Administrator / Project Manager]
 - Core. Needs to be done from the start. [RMger]
- 5 How can we improve recordkeeping processes for e-records?
 - Delete item – vague! This assumes there are processes and they don't work [RMger / Info Prof / Employee] • Delete? First we need the processes in place. Assumes the processes don't work. Simplistic. [RMger]
 - Assumes process needs improvement – it may be OK at present. [IT; RMger; Employee]
 - Very important. [RMger]
 - Need to be integrated within business and record-keeping processes – not an add-on. [n/k]

- 6 Organisations need to develop and implement a preservation strategy for e-records.
 - Simplistic. [RMger / Info Prof / Employee] • Seems simplistic – multiple policies / workstreams. [IT; RMger; Employee]
 - Important to our organisation. [RMger]
- 7 The relationship between privacy, security and access needs to be understood and managed.
 - and implemented [RMger / Info Prof / Employee] • and implemented [RMger]
 - What we're getting most engagement from organisation with. [RMger]
 - Can be a good 'in'. [Information professional / employee]
 - particularly by senior managers (not a separate issue from info/RM). [n/k]
- 8 Organisations need to recognise where the e-environment creates new processes / affects existing processes and need to manage this.
 - Wider than records management. [RMger / Info Prof / Employee] • Wider than records management. [RMger]
 - Important to our organisation. [RMger] • This is really important. [Information professional / employee]
 - recordkeeping is only one facet of electronic data handling. [n/k]
- 9 RM principles and/or methods need defining or developing for e-records management.
 - Merge with number 1.¹ [RMger / Info Prof / Employee] • Merge with No 1. [n/k]
 - {'Or methods' and 'developing' highlighted.} [RMger]
 - Methods more than principles. [Information professional / employee]
- 10 Organisations need to recognise which business processes need analysing and/or re-engineering for e-records management and implement the outcome.
 - Must not replicate what already have. [RMger / Info Prof / Employee] • Must not replicate what already have. [RMger]
 - They do but very hard. [Information professional / employee]
 - Nice to have, though I would assume, a long uphill struggle to prioritise. [n/k]
- 11 The nature, development and/or organisational use of standards and national strategies needs to be effective.
 - Assumption that organisations use them in the first place. [RMger / Info Prof / Employee] • Assumption that organisations use them in the first place. [RMger]
- 12 Organisations need a strategic approach to the use of new technologies and need to manage the associated recordkeeping implications.
 - Strategic approach very difficult to put in place. [RMger]
 - {'Strategic' highlighted}. [Information professional / employee] • {'Strategic' highlighted} joined-up approach. [RMger / Systems Administrator / Project Manager]

¹ (1) Organisation-level RM policies & infrastructure need to be established for e-records management.

(ii) ISSUES MISSING FROM THE ORIGINAL LIST

- Maybe issues like quantity and heterogeneity of data could be raised. [Researcher in Information Management]
- The need to develop more flexible systems that can be adapted easily to technology changes. [Researcher in Information Management]
- RM needs to be included within cost/benefit analysis for new processes. [n/k]
- More open architecture design for system to enable greater integration between systems – rather than necessarily searching for the Holy Grail of No 4.² [n/k]
- Recognise business environment – is it stable or turbulent? Planning horizon. [IT; RMger; Employee]
- Overall – nothing in list about evaluation / performance management measures. [IT; RMger; Employee]

(iii) General comments

- Is this static or in a state of change? [RMger / Info Prof / Employee] • Is this static or in a state of change? [RMger]
- (1),³ (2),⁴ (3)⁵ – agree on order. [RMger / Info Prof / Employee]
- (7)⁶ should be at a higher position – move to above existing issue (4).⁷ [RMger / Info Prof / Employee] • (7) should be at a higher position – move to above existing issue (4). [n/k] • (7) should be at a higher position – move to above existing issue (3). [n/k] • (7) should be at a higher position [RMger]
- (8)⁸ and (10)⁹ similar (merge). [RMger / Info Prof / Employee]
- Link Issue (8) and (10) [RMger]
- Merge (1) and (9).¹⁰ [RMger / Info Prof / Employee] • Merge (1) and (9). [n/k] • Merge (1) and (9). [RMger]
- Ranking: change (1) to #2; (4) to #3; (6)¹¹ to #5; (7) to #4; (8) to #1. [RMger] • Ranking: change (1) to #2; (8) to #1. [Information professional / employee]
- Ranking: change (6) to (10) [n/k]
- Ranking: change (7) to (8) [n/k]
- (3) and (7) are important to ensure managing records in an electronic way is TAKEN SERIOUSLY and that senior management and IT buy into it. [RMger / Systems Administrator / Project Manager]
- Assume stakeholders are engaged. [RMger]

² (4) e-Records are created in different business processes and maintained in multiple systems. Organisations need to manage this records environment in an integrated way.

³ (1) Organisation-level RM policies & infrastructure need to be established for e-records management.

⁴ (2) The need for non-IT processes to conduct business in the e-environment should be recognised.

⁵ (3) e-Records management needs to be seen in the context of business risk & risk management.

⁶ (7) The relationship between privacy, security and access needs to be understood and managed.

⁷ (4) e-Records are created in different business processes and maintained in multiple systems. Organisations need to manage this records environment in an integrated way.

⁸ (8) Organisations need to recognise where the e-environment creates new processes / affects existing processes and need to manage this.

⁹ (10) Organisations need to recognise which business processes need analysing and/or re-engineering for e-records management and implement the outcome

¹⁰ (9) RM principles and/or methods need defining or developing for e-records management.

¹¹ (6) Organisations need to develop and implement a preservation strategy for e-records.

Process Facet – Colloquium 2 – Forum 2 – Solutions for discussion; delegate comments and discussion

Forum 2: Further exploration of solutions to ‘Process’ issues identified in the e-Delphi study

Six key ‘Process’ issues were selected to be covered in the Colloquium. The solutions identified for these issues by the e-Delphi participants were listed and then further explored by the Colloquium delegates: one issue per table of delegates. The stakeholder categories of the delegates on each table are given.

The delegates were asked to: comment on the solutions given; add additional solutions to be tried/avoided; identify the important solutions to focus on when developing vignettes; to suggest type of vignettes and target audiences.

The various routes for feedback (delegate notes, rapporteur notes, oral feedback) are given here and distinguished by different font colours.

List of ERM process issues selected for exploration

1. The need for non-IT processes to conduct business in the e-environment should be recognised
2. E-records are created in different business processes and maintained in multiple systems. Organisations need to manage this records environment in an integrated way
3. (a) How can we improve recordkeeping processes for e-records?
(b) Organisations need to develop and implement a preservation strategy for e-records.
4. RM principles and/or methods need defining or developing for e-records management
5. Organisations need to recognise which business processes need analysing and/or re-engineering for e-records management and implement the outcome
6. Organisations need a strategic approach to the use of new technologies and need to manage the associated recordkeeping implications

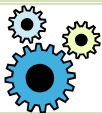
Colloquium delegate feedback

- People were interested in knowing from which stakeholder groups and sectors the solutions to these issues came.



1. The need for non-IT processes to conduct business in the e-environment should be recognised

n.b.—By ‘non-IT processes’ we mean processes at a high level (e.g. governance) *not* routine processes (e.g. manual recordkeeping)



Solutions from e-Delphi Study

- Plan for non-IT processes at a strategic level
- Understand staff roles in the e-environment
- Integrate responsibilities between IT and RM professionals
- Establish mutual understanding between IT and RM professionals
- Train IT professionals on non-IT processes ! and vice versa.
- Use specialist staff expertise (e.g. business analysts, super users) ! Delete word ‘specialist’. End users? People at the coal face.
- Raise staff awareness of their business conduct responsibilities ! Surely this is a given.

} ! Link.

Table 1	Senior Managers	Records Professionals	IT/Systems Administrators	Employee / Staff
No. at the table		3	1	1

Summary of Colloquium delegate feedback to Issue 1

Question

Comments / critical review

What other solutions are worth trying?

[Written feedback – Rapporteur] [Written feedback – Individual delegate notes] [Oral feedback]

- Recognise 'processes' at tactical and operational tiers.
- Talk to / engage staff at 'coal face': specialists have role but so do generic non-specialists – they're "expert on day-job".
- Communication and language development; all professionals work with information. Not sure how to solve
- Integrate at senior level. One service not two (or more!) tribes.
- Talk to the users and find out the issues.
- Perception that processes are non-IT.
- Communication is crucial.
- Some organisations have a CIO; IT and users aren't separate – need shared understanding.

What other solutions should be avoided?

- Not assume can buy new systems and save the world.
- Avoid over-reliance on external specialist "consultants".

Which solutions are most important / urgent / worthy of focusing on to develop vignettes (i.e. tools to help understand / develop / implement successful solutions)? Why?

- 'Compliance' not best.
- 'Earned value' needed – how to sell this. Metrics?
- Risk management metrics.
- Aids to quantify costs / earned values

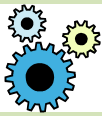
What types of vignettes would be valuable & why? (e.g. a list of actions; problem scenario & solution; a flowchart; causal loops; exercise)

Who would be the target audience(s) / stakeholder group(s)?

- Metrics for earned value / added value of RM, benefits of IM governance
- Risks – tangible (loss (finance))
- Risks – intangible (reputation)
- Aim to quantify
- Case studies may help but need to show how they relate to given business sectors.
- Identify needs categories for action
- Compliance / risk / value – total compliance is not always necessary
- Table of categories of risk – tangible and intangible
- Strategic, tactical, and operational levels – need cohesive plan not *ad hoc* systems
- Case studies / examples, though these will be different for different sectors.



2. e-Records are created in different business processes and maintained in multiple systems. Organisations need to manage this records environment in an integrated way



Solutions or rather ‘enablers’? **from e-Delphi Study**

- Embed RM in line-of-business and desktop systems
- Restrict use of new media/technology within the business environment
- Adopt centralised recordkeeping policies and procedures
- Use a sophisticated search engine across all different systems
- Adopt a centralised recordkeeping system
- Clarify record status of information within new technologies

Table 2	Senior Managers	Records Professionals	IT/Systems Administrators	Employee / Staff
No. at the table	2	3	1	2

Summary of Colloquium delegate feedback to Issue 2

Question

Comments / critical review

What other solutions are worth trying?

- [Written feedback – Rapporteur] [Written feedback – Individual delegate notes] [Oral feedback]
- Getting organisation to make decision on records management conformity across organisation (where appropriate).
 - Process for organisation to make decision to procure system
 - Manage rather than 'restrict' new media / technology
 - Senior management buy in and corporate wide 'edict'
 - How to put in place all of the organisational building blocks to enable a good core decision:
 - Budget
 - Will
 - Processes
 - Governance

What other solutions should be avoided?

- Clarify record status of information within new technologies.

Which solutions are most important / urgent / worthy of focusing on to develop vignettes (i.e. tools to help understand / develop / implement successful solutions)?
Why?

- 'Decision and mandate from on high.

What types of vignettes would be valuable & why? (e.g. a list of actions; problem scenario & solution; a flowchart; causal loops; exercise)

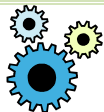
- A process for making explicit the type(s) of people that need to be brought together to get technical solutions / governance model for everybody's requirements: Delegate's organisation has a good model.
- Value not of implementing small things of immediate value, but of what long-term benefits can be achieved – e.g. ISO 9000 has forced additional processes on the back of which much has had to be adopted.

Who would be the target audience(s) / stakeholder group(s)?

- Didn't like sixth solution
- Fourth solution was OK
- First solution – might be OK but need to focus on / consider culture
- Rather than "restrict" new IT, "manage" would be better.
- People seek systems / solutions at different times – find people do this in (silos) rather than at strategic level
- What happened with e-mail that meant we had to have it? Messaging will be the same



3. How can we improve recordkeeping processes, including preservation, for e-records?



Solutions from e-Delphi Study

- Apply ERM methodology ! **integrations; inheritance of metadata; keep it simple for access** appropriate to the e-environment rather than processes developed for paper records
 - Treat improvement as a continual rather than single activity
 - Accept and work with IT rather than blaming it for problems
 - Use robust systems from reputable vendors, with post-implementation back-up service
 - Encourage greater formality in e-communications (particularly email) ! **Contextualised**
 - Manage information at the level of linked items (e.g. information threads) rather than folders to improve access and disposal processes
 - Create clear rules and simple processes for managing email
 - Treat formal (or important) and informal (or non-important) recordkeeping environments differently
 - Automate records flow between staff
 - Maintain quality of e-recordkeeping by audit trails and sign offs
 - Use checklists and automated signals/flags to ensure that e-recordkeeping processes are carried out as required
-
- Include preservation in the RM strategy
 - Use lead government agencies and systems vendors to help ! **and professional bodies depending on the field / sector**
 - Follow national/international preservation strategies, don't draw up your own
 - Develop global not local preservation policies
 - Storage management needs to include management, integrity, and usability over time
 - Use VERS-compliant recordkeeping systems
 - Provide mechanisms and tools to implement preservation strategies
 - Embed seamlessly preservation processes in working practices
 - Capture and maintain preservation-based metadata, with the record, and for the life of the record
 - Restrict saving records to designated locations where they can be easily backed up and preserved

Table 3	Senior Managers	Records Professionals	IT/Systems Administrators	Employee / Staff
No. at the table 4 people, multiple roles		3	2	1

Summary of Colloquium delegate feedback to Issue 3

Question

What other solutions are worth trying?

What other solutions should be avoided?

Which solutions are most important / urgent / worthy of focusing on to develop vignettes (i.e. tools to help understand / develop / implement successful solutions)?
Why?

What types of vignettes would be valuable & why? (e.g. a list of actions; problem scenario & solution; a flowchart; causal loops; exercise)

Who would be the target audience(s) / stakeholder group(s)?

Comments / critical review

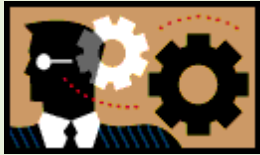
[Written feedback – Rapporteur] [Written feedback – Individual delegate notes] [Oral feedback]

- Ensure metadata captured for record keeping processes as well as preservation
- Fine balance between what you can ask staff to do and what metadata system will automatically capture.
- Unpack first solution to find out what is good for people, what is technical stuff (e.g. capture), and what staff can be expected to do.

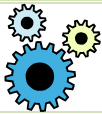
- Blanket approach to 'formalise emails' to be avoided but contextualisation important.

- Achieving balance between intuitive RM processes and user input (Apply ERM methodology appropriate to environment).
- Email records management: identifying important emails and 'formal' contexts.

- Scenarios of email creation and use, with consequences valid to each scenario and ERM-relevant.



4. RM principles and/or methods need defining or developing for e-records management



Solutions from e-Delphi Study

- Review effectiveness of RM methods by staff member with both RM and IT expertise
- Review the need to revise traditional RM principles
- Continue using traditional RM methods
- Review the need to revise traditional RM methods
- Use new techniques/tools (not methods) {e.g. managing information at the level of linked items rather than files /folders}
- ! Needs more explanation of what this means.
- Raise awareness about new ideas on RM principles/RM methods with records professionals

! Vice versa – practice led by experience.

Table 5	Senior Managers	Records Professionals	IT/Systems Administrators	Employee / Staff
No. at the table	1	3		

Summary of Colloquium delegate feedback to Issue 4

Question

What other solutions are worth trying?

Comments / critical review

[Written feedback – Rapporteur] [Written feedback – Individual delegate notes] [Oral feedback]

- Review effectiveness of current RM practice / method using audits (programmes of reviews) and 'super users'. If there is a gap then need to change / develop procedures.
- Traditional methods translating into modern e-environment.
- Raise awareness of RM principles with outsourced IT partners.
- Understand the organisation and how it operates, and how IT operates.
- Software providers with RM experience.
- Solution 2 (reviewing RM principles) – e.g. email – look at process and if it is dross or important
- Work with software providers to have more RM knowledge.

What other solutions should be avoided?

Which solutions are most important / urgent / worthy of focusing on to develop vignettes (i.e. tools to help understand / develop / implement successful solutions)?
Why?

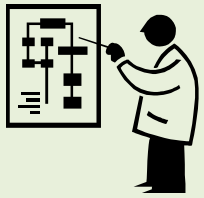
- Raise awareness of RM with outsourced IT partners and other external bodies and involve them so they can effectively understand RM requirements and feed this back to the organisation.

What types of vignettes would be valuable & why? (e.g. a list of actions; problem scenario & solution; a flowchart; causal loops; exercise)

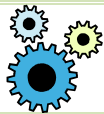
Who would be the target audience(s) / stakeholder group(s)?

- Examples of scenarios – IT / external partners.
- Need to understand the organisation, and how IT and records managers work in organisations and power bases
- Involve outsourced partners / IT.
- Scenarios for senior managers – what can happen and what the consequences are.

- Issue of how RM / IT is seen and operated in the public and private sectors.
- Issue of records management and jargon (in some organisations). Much of this is still in infancy and being re-active to applying RM.



5. Organisations need to recognise which business processes need analysing and/or re-engineering for e-records management and implement the outcome



Solutions from e-Delphi Study

- Examine business processes to identify need for re-engineering using information governance as the starting point
- Examine business processes to identify need for re-engineering using information applications audit
- Assess business processes before ERMS/systems implementation
- Avoid just automating existing processes
- Design file-plan to be practical and user focussed

Table 4	Senior Managers	Records Information Professionals	IT/Systems Administrators	Employee / Staff
No. at the table	1	5	2	4

Summary of Colloquium delegate feedback to Issue 5

Question

Comments / critical review

What other solutions are worth trying?

[Written feedback – Rapporteur] [Written feedback – Individual delegate notes] [Oral feedback]

- Implement e-records management on a process basis rather than a department basis.
- We found Issue 5 to be ambiguous. We feel it needs to be clarified – business processes or recordkeeping processes. But the key thing was which business processes should be focused on – cannot do all (very expensive).

What other solutions should be avoided?

- Not always necessary to re-engineer business processes, but might be relevant to re-engineer recordkeeping practices.

Which solutions are most important / urgent / worthy of focusing on to develop vignettes (i.e. tools to help understand / develop / implement successful solutions)?
Why?

- Assess business processes before implementation.

What types of vignettes would be valuable & why? (e.g. a list of actions; problem scenario & solution; a flowchart; causal loops; exercise)

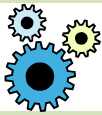
- Make friends with your IT department / business analysts.
- Tools to help senior managers / professionals to help identify / prioritise which business processes to analyse – e.g. if implementing ERM(S) – in terms of governance and efficiency.
- Things to help us make friends with our IT departments.

Who would be the target audience(s) / stakeholder group(s)?

- BPA doesn't always capture what actually happens but what people believe should happen. Defining business process is just the beginning.
- Didn't look at file-plan – very specific.
- Ways of working



6. Organisations need a strategic approach to the use of new technologies and need to manage the associated recordkeeping implications



Solutions from e-Delphi Study

- Pressurise vendors to develop practical solutions
- Use risk management to align RM with business context/strategies
- Develop the RM strategy to incorporate new technologies
- Develop policies on use of new technology based on research evidence
- Build RM requirements into the implementation life-cycle of new technologies

Table 6	Senior Managers	Records Professionals	IT/Systems Administrators	Employee / Staff
No. at the table		2	2	

Summary of Colloquium delegate feedback

Question

Comments / critical review

What other solutions are worth trying?

[Written feedback – Rapporteur] [Written feedback – Individual delegate notes] [Oral feedback]

- Making decisions more centralised (**strategic**), rather than service areas buying their own solutions.
- Starting afresh getting a strategic technology partner in.
- Embed RM in the organisational culture.

What other solutions should be avoided?

- Putting pressure on vendors doesn't work, not willing to do it. Nothing in it for them. (Why don't sectors rally together to lobby vendors.)

Which solutions are most important / urgent / worthy of focusing on to develop vignettes (i.e. tools to help understand / develop / implement successful solutions)?
Why?

- Using risk management align RM with business context / strategies, incorporating business analysis 'stockpiling the evidence'.
- Getting the strategy in first to incorporate in the new technologies.
- Build RM requirements into the implementation life-cycle of new technologies.

What types of vignettes would be valuable & why? (e.g. a list of actions; problem scenario & solution; a flowchart; causal loops; exercise)

- Toolkit to assess risk and potential benefits in financial terms and real life examples (scare stories) and benefits. Cost of not doing it.
- For records managers to use for preparing cases to senior management.

Who would be the target audience(s) / stakeholder group(s)?

- BPA doesn't always capture what actually happens but what people believe should happen. Defining business process is just the beginning.
- Level at which the process is – the granularity issue.

Process Facet – Colloquium 2 – Workshop – Summary

Workshop: Exploration and evaluation of vignettes drawn from ‘Process’ issues and solutions

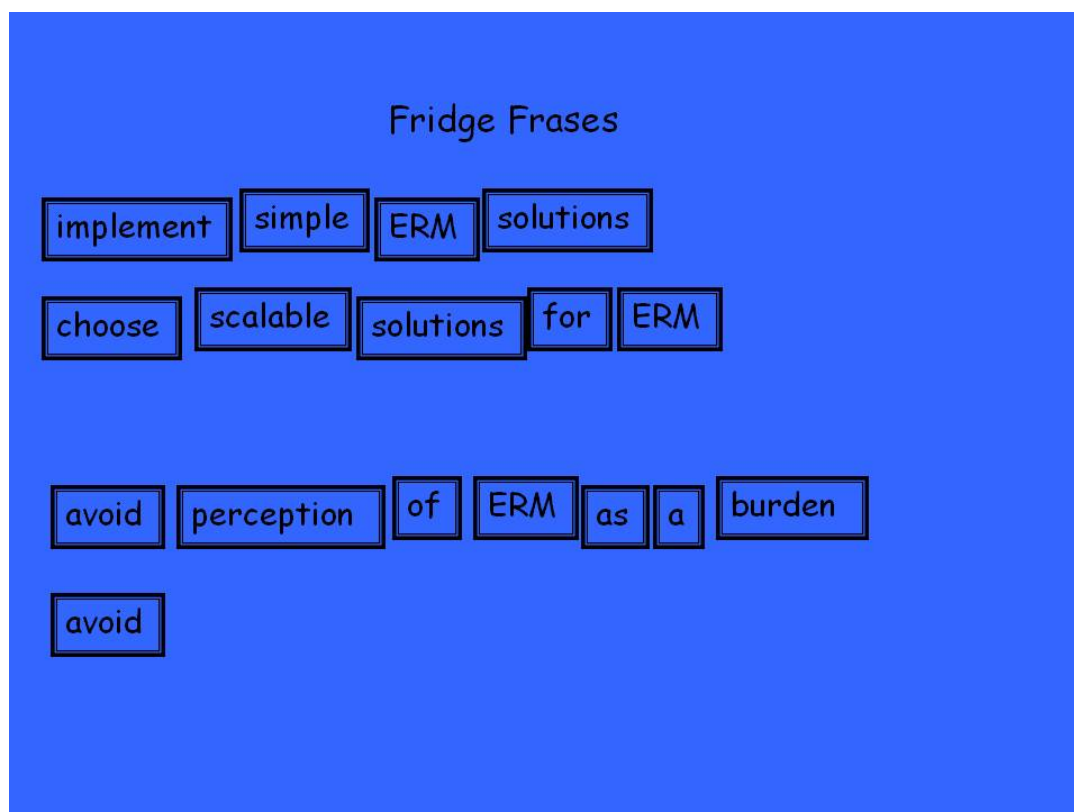
One of the objectives of the AC⁺erm Project is to develop vignettes – a type of output that crystalises aspects of the research findings in the form of tools or exemplars that can be of use to practitioners, users and other stakeholders

We developed three types of draft vignette – fridge magnets, a rich picture, a story – for discussion and testing at the Colloquium.

Each type of vignette was tested by two groups of delegates. We gave the delegates tasks which required them to use the vignette in a ‘real world’ scenario.

We then asked for feedback: strengths of the vignette and what could be better; clarity of the vignette and how it could be improved; usability of the vignette and how it could be improved; other ways of using the vignette; other types of vignette that could be developed.

Vignette 1. ‘Fridge magnets’



Guidance for delegates

Fridge Frases is a set of 'fridge magnets' containing words and phrases from Round 3 of the e-Delphi discussion of solutions to try/avoid for the process issues identified.

A potential alternative would be electronic fridge frases to drag and drop either individually or as a group in virtual space (anyplace).

(For ease we have given you an A-Z list of all of the words/phrases on the magnets. We've also provided blanks if you want to add in your own words).

Using the Fridge Frases – Your Task

1. Induction event

You are the Information/Records Manager for Organisation X (you are free to choose the sector). You have a 30 minute session in the induction event for new staff (max. 12 people) and want to introduce them to e-records management - what it is about and the organisation's approach to it.

Task: how can you use the *fridge frases* to engage the staff and get across these messages?

2. Identifying user requirements

You are the Information/Records Manager for Organisation X (you are free to choose the sector) and are planning a new e-RM system. You want to engage staff *below managerial level* in thinking about what they/the organisation want from the new system.

Task: assume the role(s) of the staff and use the *fridge frases* to identify the requirements/wish list.

Collation of delegate written feedback

Question	Comments/critical review
What are the strengths of the vignette?	<ul style="list-style-type: none"> • Fun, opportunity to tailor to an audience. • Good icebreaker. • Easy handling it, free to use it in a variety of contexts. • Relatively straightforward for user audience (however not necessarily for the records manager). • It can easily be adapted. • Gives people a framework to work in. • Introduces them to vocabulary. • Non-threatening.
What could be better about the vignette?	<ul style="list-style-type: none"> • Less words – too many provided. • More non-records management words. • Less jargon • Less jargonistic words. • Words we added ourselves were 'space', 'control' and 'access'. • Each piece of word/phrases—frases could be bigger for a group of 12 people that are sitting around a table and can play with them.
How clear is the vignette – (a) its content, (b) how to use it?	<ul style="list-style-type: none"> • Easy to understand. • Easy to use. • Clear content, possibilities to use it in very different ways. • Content good, though more words to add for context – e.g. 'delete' but not that clear how best to use. • Fairly clear – apart from volume.
What changes would improve its clarity?	<ul style="list-style-type: none"> • Contextualise the words to records – for each department – e.g. HR records, if running it with them / that department. • Ideas on how it could be used. • Less is more.

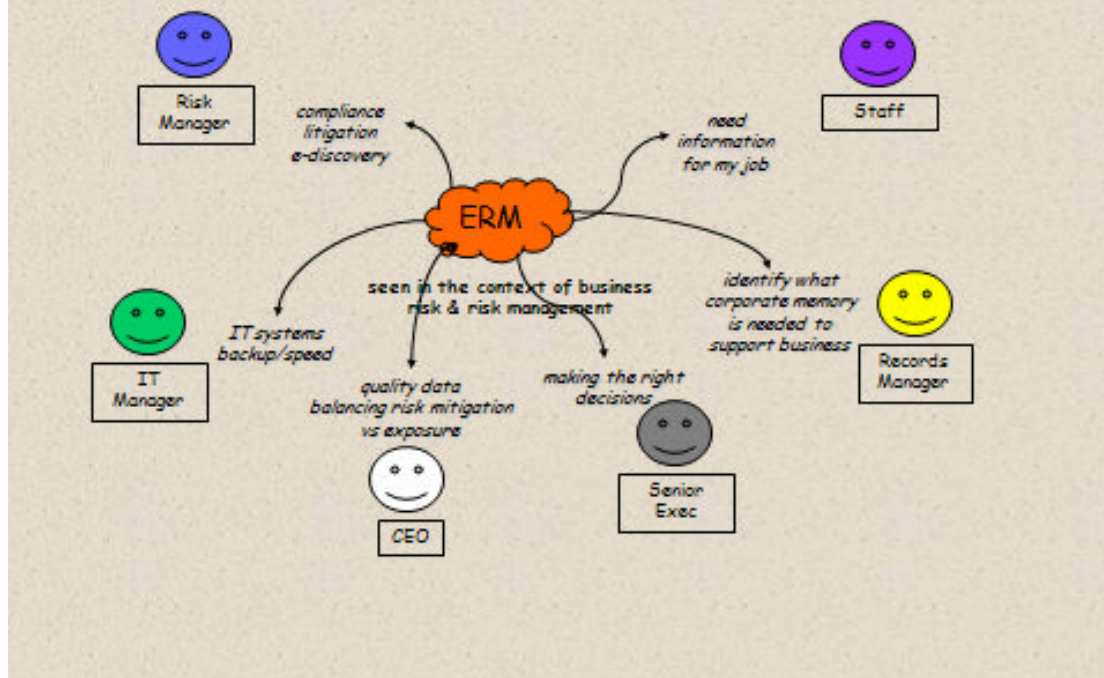
- How usable is the vignette?
- Very usable.
 - A lot in terms of increasing user participation and collaboration.
 - Very easy to use, but only for particular audiences. Need to be clear on what the aim of session was and whether use of words/phrases would achieve that.
 - Could do with less words.
- What changes would improve its usability?
- Less jargon.
 - Again maybe the size of the frases, bigger would be better.
 - It's very flexible and probably needs to be adapted, so I wouldn't worry too much about creating questions that could be used for any purpose – it's the concept that counts.
- How else could the vignette be used? (e.g. scenarios; contexts)
- [Example 1]
 - Identify your records (what?). 5 minutes tailored to the department.
 - Managing them (how?).
 - Why? e.g. security / information governance. WIFM [what's in it for me] – benefits.
 - Bowls of words – people choose the words for records then move on to choose new words for managing them and the WIFM words or benefits.
 - [Example 2]
 - Put together sentences of what they would want RM to look like in their organisations – although then feeding the audience slightly with words.
 - Not only what they want it to look like but also what they don't want it to look like – e.g. imposed file plan, more work, difficult to use ...
 - Could also be used to explain classification, designing fileplans or facets of ERM.
 - In categorisation and retrieval tasks. i.e. put frases in categories that you choose and then perform a retrieval task; how these are related.
 - For developing team / departments' file structure hierarchies.
- Are there other types of vignette you would like us to develop?
- Depends on purpose or use ... Identifying risks? Identifying business processes.

Summary of additional points from delegate oral feedback (notes taken by Project Team)

- Audience – attention on words not on the concepts
- Interesting vocabulary
- Some delegates liked the name 'Frases' (Frases' TM); others disliked it and preferred 'Phrases'
- Provide sentences not just words in the vocabulary
- Use with processes as the phrases to discuss workflows
- e-Learning package
- Could use photos instead of words
- Provision of blanks so people could add in their own words a good idea
- Electronic version – lacks group focus.

Vignette 2. Rich Pictures

1a. Managing e-records – taking a risk-based approach



1b. Managing e-records - taking a risk-based approach



Guidance for delegates

The **Rich Pictures** represent the approach that a risk enabled organisation might take to managing its e-records.

- **Picture 1a** shows different stakeholders' overall views of e-records management as seen in the context of business risk & risk management
- **Picture 1b** shows some of their detailed responses to the questions 'How can we improve recordkeeping processes for e-records?' and 'E-records management needs to be seen in the context of business risk and risk management'.

Using the Rich Pictures – Your Task

Pictures 1a & 1b. Selling the risk-based approach

You are the Information/Records Manager for Organisation X (you are free to choose the sector). You want to get the senior management team to take a different risk-based approach to managing its electronic records/information. You want to discuss what processes would be in place if an organisation were to take a risk-management approach (i.e. a risk-enabled organisation) and compare that with your organisation.

Task: how could you use the *rich pictures* to engage them and sell this approach?

Picture 2. How can the risks be managed?

This blank picture presents a first level solution suggested in our study i.e. 'Use a risk-based approach to record keeping analysis'

Task: Choose a fictitious organisation and develop a rich picture to explore the processes involved in implementing this solution

Collation of delegate written feedback

Question	Comments/critical review
What are the strengths of the vignette?	<ul style="list-style-type: none"> • For brainstorming. • Discussion document. • Starting point only. • Training materials. • Shows actors (not communities). • Examples of issues / coverage - shows audience that ERM is terrifying. • Value for word storm exercise.
What could be better about the vignette?	<ul style="list-style-type: none"> • Less detail and more focused. • Too busy / confusing. Less busy. Needs to be more structured: takes too long to read. • Consistent phrasing; don't mix quotes and facts. • Helping people to identify risk – but <u>not</u> for senior managers. • Clever headings. • Multiple diagrams.
How clear is the vignette – (a) its content, (b) how to use it?	<ul style="list-style-type: none"> • Not very clear! • Not intuitive; needs description. • Took 15 minutes to understand it. • Picture 1b contained 'jargon'. • Depends on audience – sector / tier. • Down to personal preferences.

What changes would improve its clarity?	<ul style="list-style-type: none"> • Less detail – but only for staff to understand issues at a basic level. • Fewer lines. • Simpler – staged introduction (e.g. via PowerPoint). • Clearer headings. • Clearer logic.
How usable is the vignette?	<ul style="list-style-type: none"> • Only for brainstorming, possibly for training. • Difficult to read colours / image. <ul style="list-style-type: none"> ○ Printers with single colour. ○ Disabilities. ○ Cultures and meanings of colours. • Need to drill down levels
What changes would improve its usability?	<ul style="list-style-type: none"> • Make it sector based. • Monochrome. • Simple lines. • Logical flows. • What about photos rather than drawings?
How else could the vignette be used? (e.g. scenarios; contexts)	<ul style="list-style-type: none"> • Early introduction. • Word storm exercise – do own ‘mindmap’. • Strategic level. • Training? • <u>Not</u> training or performance management.
Are there other types of vignette you would like us to develop?	<ul style="list-style-type: none"> • Traffic lights for risk. • Standard text / bullet points presentation. • Photos / clear diagrams for illustration.

Summary of additional points from delegate oral feedback (notes taken by Project Team)

- Examples of risk / risk management, not comprehensive view.
- Bulleted list better – easy to understand.
- Multiple diagrams – nested diagrams, so click through from one to the next developing the ideas/picture
- Too jargonistic - simpler if better focused for particular group
- Flip chart, different clouds, construct your own rich pictures
- Not to be given to senior managers as it stands
- Could use with PowerPoint – if giving a training presentation, the presenter could click through the individual diagrams, discussing as they went
- Better if sector-based
- No key to pictures

Vignette 3. Story

Jane's Story: The relationship between privacy, security and access

I work in the NHS ¹. Things are so different now on the technology front. NPfIT ² is making changes – the NHS is much more IT-enabled, though I admit some of the promised systems are woefully delayed. So in a number of ways my life is much easier now. There are some really annoying aspects though. Log on ³ to the systems is one of them – every time you use a different system you're supposed to log on and then off when you've finished. Such a faff and takes up so much time. So one person logs on to the systems and leaves it open for the rest of us in the team to use. I know it's against the rules, but I really can't see a problem with this! No one is going to walk in off the street and look for stuff on our computers – we'd soon spot them if they did.

All the scares about the loss of private data from NHS organisations ⁴ has really focussed the attention of our Chief Exec. We've been inundated with directives about information security, records management, information governance, blah blah blah. I just haven't got time to read them all. I just hope he doesn't cotton on to our team log in!

But I'm not a complete work slave. I am keeping up as best I can with electronic patient records ⁵. We're not an early adopter site, thank goodness. Let someone else identify all the issues and iron out all the bugs! I do understand people's concerns about the security of their information! You can't blame them with all these data loss scandals trumpeted in the papers. I'm personally OK with having an electronic patient record, but I admit I do worry about my financial records and identity theft. Patients are going to be able to opt in / opt out of the electronic patient record scheme (I've lost track as to whether it's going to be an opt in or an opt out mechanism!). But how we're going to deal with that on a daily basis I have no idea. We do a lot of epidemiological research here using anonymised data from the patient records. We've made really significant discoveries that will make such improvements to people's lives. So electronic records will make it much easier for us to obtain the data for our research. But if significant numbers of people opt out of having an electronic record this could totally invalidate our research.

The government doesn't help! I couldn't believe their wide reaching plans for data sharing in the public, and private, sector, including the sharing of patient records. And to hide this clause in a Coroners and Justice Bill too! Good on the BMA and royal colleges for challenging this. I see their protest has had some effect. The clause has just been withdrawn and the topic is now to be discussed further ⁶. One small victory for democracy.

Reference

Simmons A. (2006). *The story factor. Secrets of influence from the art of storytelling*. Revised edition. Basic Books

¹ UK National Health Service

² National Programme for IT (NPfIT) in the NHS <http://www.connectingforhealth.nhs.uk/>

³ E-Health Insider Sponsored Feature: Sentillion. 10 Dec 2008. <http://www.e-health-insider.com/features/sentillion/>

⁴ Lamb: NHS data loss utterly shocking. 26 Nov 2008. <http://www.libdems.org.uk/home/lamb-nhs-data-loss-utterly-shocking-72506312;show>

⁵ NHS Care Records Service <http://www.nhs-care-records.nhs.uk/>

⁶ eHealth Insider Primary Care. Data sharing clause 152 dropped. 09 Mar 2009. http://www.ehiprimarycare.com/news/4640/data_sharing_clause_152_dropped

Guidance for delegates

Jane's Story is her individual take on the *relationship between privacy, security and access*, based on her experiences in her work and personal life.

Using the Story – Your Task

1. Exploring the story's content

You are staff members attending an awareness raising event in your organisation, Organisation X (you are free to choose the sector), which is concerned about privacy, security, and access issues. As part of this event, staff have been split up into small groups and asked to discuss this scenario. Your table is one of these groups. What issues and concerns about privacy, security and access does this story raise/trigger?

2. Using stories

You are the Information/Records Manager for Organisation X (you are free to choose the sector). Critique the story-based approach as a way of raising awareness about an issue. Are there other contexts in which stories could be helpful?

Collation of delegate written feedback

Question	Comments/critical review
What are the strengths of the vignette?	<ul style="list-style-type: none"> • May only work if you've got someone prodding. • Dramatises it, which is quite powerful. • Might work better as a video. • Hits home. • Way it is written – chatty, realistic. • Good vehicle for discussion. • Identify with scenario – operational person. • Non-threatening way of introducing situation. • References at bottom reinforce reality of scenario. • Improves the reach of RM understanding. • Highlights areas for concern for individuals.
What could be better about the vignette?	<ul style="list-style-type: none"> • Need to add guidance / how to use this / examples for the trainer. • Might need strong facilitation from the trainer, structured discussion. • Some issues with accuracy and content will become obsolete. • Could you contrast with scenario from RM / Security / IT staff point of view? • Too many messages? • Highlight the consequences of poor data / record management.
How clear is the vignette – (a) its content, (b) how to use it?	<ul style="list-style-type: none"> • Content is clear, but set the scene first? e.g. on a ward. • Not as simple to use as it could be. • Needs some editing. • Actually insert questions into the vignette e.g. why might this be an issue? • Got a bit lost in the 3rd paragraph. • Need a facilitator, to input reasons for doing things correctly, perhaps? To squash any misconceptions. • Check accuracy, split up 3rd paragraph. • How is OK but perhaps a table for feedback (improve structure).

What changes would improve its clarity?	<ul style="list-style-type: none"> • Perhaps write it as a conversation with someone else, saying why it is an issue. • Put in consequences of what this is e.g. a week later ... • Get them to work out the consequences or risks, and how they could be addressed. • 3rd paragraph a bit long – break up or reduce. • Draw out / emphasise sensitivity of data being handled. •
How usable is the vignette?	<ul style="list-style-type: none"> • Bringing in perspectives. • Table for comments. • Usable. • Adaptable. • On its own, perhaps limited use. • Would need to have many scenarios. • Might be better to have stories that are not relevant to group being used.
What changes would improve its usability?	<ul style="list-style-type: none"> • Have 2 sheets – the plain story, and 1 bringing out consequences. • More framework.
How else could the vignette be used? (e.g. scenarios; contexts)	<ul style="list-style-type: none"> • Videos, roleplays, with 'real' actors. • Putting in business context. • Ice breaker. Non-threatening way of introducing difficult issues. • Video interview with flash forward to show consequences. <ul style="list-style-type: none"> ○ School administrator ○ Doctor's receptionist ○ Call centre operator ○ Police / lawyer ○ Bank / insurer
Are there other types of vignette you would like us to develop?	

Summary of delegate oral feedback from notes taken by Project Team

- Good idea
- Useful
- Easy to re-write for different contexts
- Some of it too geared towards RM people
- Doesn't need the references for the users, though useful for a facilitator
- For records managers, guidance on when/how to use it with senior managers
- If too focused on NHS and used in an NHS context, then users will focus on the context not the issues
- Reasonable amount of content to draw out the issues – can't be too simple
- Consequences of issues in the story could be 'discussed' using Fridge Phrases
- Training context and facilitation, and perhaps e-learning
- If aimed at end users, give chief executive scenario (and vice versa) so learn about other perspectives

AC⁺erm Output

Technology Facet – Colloquium 3 – Introduction

Background The third AC⁺erm colloquium focused on the ‘Systems and Technology’ facet of the project and was held on 24 September in the Merchants’ Hall in Edinburgh. Just under 30 delegates attended.

Delegates were split into groups; they were asked to return written responses for later analysis and, depending on the session, either appoint a rapporteur to report back from the group discussion or engage in general open discussion.

Forum 1

Delegates were asked to consider and comment on the full list of issues from the Systematic Literature Review and Systems and Technology e-Delphi study, to add any issues they thought were missing, and to make any further comments or notes for discussion that they felt necessary.

Forum 2

Delegates examined proposed solutions to ‘Approaches to e-records management’, one of the five issues selected for further exploration in the colloquium.

Each group was allocated a single issue for discussion. Delegates individually completed a questionnaire (based on that used in Round 4 of the Delphi Study) on one of the eight proposed solutions to the issue, and noted any aspects that they thought required further discussion.

All delegates in the group then discussed the issue, electing one of their number as rapporteur to take notes and feed back briefly at the end of the discussion.

Workshop

Delegates were divided into four groups, each of which was invited to draft a vision for e-records management.

The activities were conducted using three draft tools (vignettes) developed by the Project—‘fridge phrases’, rich pictures, and narrative. The delegate groups used the vignettes to develop and / or communicate their ideas.

Each group as a whole drafted a vision for ERM, and used the ‘Fridge Phrases’ tool to develop the vision and / or to articulate it more fully. They then communicated the vision through rich pictures, narrative, or both.

The groups reported back their thoughts on both the topic itself and the usefulness or otherwise of the vignettes as tools in this context.

Nature of Output Text, tables and graphics.

The agenda is provided for reference.

Forum 1 – list of issues with collated summaries of discussion.

Forum 2 – material presented for discussion, with summary of discussion and questionnaire responses.

Forum 3 – material presented for discussion / activity, with images or representation of vignettes drafted by delegates and summary of discussion.

Accelerating positive change in electronic records management Tackling the Technology Issues Together

Project Colloquium

24 September 2009, The Merchants' Hall, Edinburgh

22 Hanover Street, Edinburgh EH2 2EP

<http://www.merchantshall.co.uk/>

RM is something that should be done not something that can be bought and installed.
Participant in AC⁺erm e-Delphi Study

Agenda

- | | |
|--------------------|---|
| 12:00–12:30 | Lunch |
| 12:30–12:40 | Introduction <ul style="list-style-type: none"> • The AC⁺erm project – update on findings |
| 12:40–13:10 | Discussion Forum One <ul style="list-style-type: none"> • <i>Identifying the technology issues (all issues)</i> <ul style="list-style-type: none"> ➢ Have we got them right? ➢ Have we identified them all? |
| 13:10–14:40 | Discussion Forum Two <ul style="list-style-type: none"> • <i>In search of solutions (five selected issues)</i> <ul style="list-style-type: none"> ➢ What is worth trying? ➢ What should be avoided? ➢ What is desirable? ➢ What is feasible? ➢ What is likely to happen? |
| 14:40–14:50 | Workshop - Introduction |
| 14:50–15:10 | Tea |
| 15:10–16:25 | Workshop <ul style="list-style-type: none"> • <i>Using the draft tools (vignettes) to build a vision of ERM</i> <ul style="list-style-type: none"> ➢ Vignette 1 – textual, using ‘fridge phrases’ ➢ Vignette 2 – graphic / textual, using ‘rich pictures’ ➢ Vignette 3 – textual, using narrative ‘story’ |
| 16:25–16:30 | Summary & next steps |
| 16:30–17:30 | Drinks reception – networking & further discussion |

Technology Facet – Colloquium 3 – Forum 1 – Comments on specific issues; issues identified as missing from original list; general comments

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

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

(i) Comments on specific issues

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

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

1

Deciding on the appropriate approach to Electronic Records Management (ERM) within a given context

- {Marked as joint most important with (15)¹} [n/k]
- Going to be determined by technology supplier unless bespoke system – theory not implementation. [RIM–Government]
- Very important – joined up approach. [RIM–Public–Government (Local)]

2

eMail

- {Marked with question mark} [n/k]
- A dinosaur that still needs to be house-trained. [RIM–Government]

3

e-Communications

- Text, blogs etc. [RIM–Private–Construction / Architecture] • Text messages. [RIM–Public–Environment]
- Web-based facilities or blogs – social networking. [RIM–Public–Health]
- {Marked with question mark} [n/k]

4

Web 2.0 technologies

- Blogs – when do they become an information business asset? [RIM–Public–Environment]
- Video presentations. [RIM–Public–Environment]
- {Marked with question mark} [n/k] • Not sure what these are. [RIM–Public–Government (Local)]

5

Cloud computing

- {Marked with question mark} [n/k]
- What is that? Links with item 20² possible if it's IT terminology. [RIM–Public–Government (Local)]

6

Maintaining a distinction between records, information and data in the context of modern technology

- Outdated? Use of information asset. [RIM–Public–Education]
- Education. [RIM–Public–Environment]
- {Marked with question mark} [n/k]

¹ (15) Long-term storage / preservation of records.

² (20) Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.

7

IT systems design

- RM needs to be integral part of this from planning stage. [RIM–Public–Environment]
- Close relation. [n/k]
- Based on the psychology of record creation and sharing need to influence IT development to include record keeping. [RIM–Government]

8

Implementation of IT systems in complex environments

- Vendor led solutions. [RIM–Private–Finance]
- {Linked with (9)³} [RIM–Public–Education]
- {‘complex environments’ underlined and annotated with question mark} [n/k]

9

Interoperability of systems / technology

- {Linked with (8)⁴} [RIM–Public–Education]
- How records [fare??] out of this and work within. [RIM–Public–Environment]

10

Automation of Records Management (RM) processes in systems in which information is created (e.g. office and line-of-business systems) and managed (e.g. EDRMS, line-of business systems)

11

Balancing the demands of systems, work processes, and users in the design and implementation of IT systems

- Need to include RM and information in the design and implement. [RIM–Public–Environment]
- {Marked with question mark} [n/k]

12

Measuring IT value

- 7, 18, 14⁵ [n/k]

13

Measuring RM value

- Risks and buy in. [RIM–Public–Environment]
- How to sell – can we convince ourselves? [RIM–Government]

14

Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems

- 1 {Most important} [RIM–Public–Environment]

15

Long-term storage / preservation of records

- Maintaining access. [RIM–Private–Finance] • Maintaining access. [RIM–Private–Construction / Architecture] • and access. [n/k] • Access. [n/k]
- Electronic and paper – ability to future proof electronic information. [RIM–Public–Environment]
- {‘Long-term’ underlined} [RIM–All sectors–IM Consultancy]
- {Marked as joint most important with (1)⁶} [n/k]
- Why do we keep records in the first place? [RIM–Public–Health]
- and deletion / e-recovery – how can it be certain that an item is gone. [RIM–Government]

³ (9) Interoperability of systems / technology.

⁴ (8) Implementation of IT systems in complex environments.

⁵ (7) IT systems design. (18) RM practices lag behind technology. (14) Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems.

⁶ (1) Deciding on the appropriate approach to Electronic Records Management (ERM) within a given context.

16

Digital signatures

- Authentication process inc. version control. [RIM–Private–Finance] • Authentication and permission to document level. [RIM–Public–Education]
- Authentication and authorisation. [RIM–Private–Construction / Architecture]
- Evidential weight. [n/k]
- Tech issue. [RIM–Public–Environment]
- {Marked with question mark} [n/k]
- Expand to compound documents. [RIM–Government]

17

Legal practices relating to information and records (e.g. data protection / privacy, freedom of information, intellectual property rights) lag behind technology

18

RM practices lag behind technology

- Not linking in with IT. [RIM–Private–Construction / Architecture]
- New gadgets packages first RM record. [RIM–Public–Environment]
- ?Reason why ... consequences? [RIM–All sectors–IM Consultancy]
- People issues too. [RIM–All sectors–IM Consultancy]
- See (7) and (10) and (11) and (14) as these are the issues behind (18).⁷ No. (18) is not an issue in itself. [RIM–Government]

19

Generational divide in attitudes towards and use of technology

- {Marked with question mark} [n/k]

20

Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.

- {'It' circled] What = 'it'? {'Equal terms in practice' underlined} [RIM–All sectors–IM Consultancy]
- Engagement with IT professionals, not IT itself. [RIM–All sectors–IM Consultancy]
- {'to engage with it on equal terms' underlined and annotated with question mark.} [RIM–Public–Health]
- RMs need to keep abreast of technology. [n/k] • and ongoing training to keep up with changing technology. [RIM–Public–Health]
- {Marked with question mark} [n/k]
- Rephrased to focus on enough knowledge to engage with IT professionals not technology and vice versa (People issue now). [RIM–Government]

⁷(7) IT systems design • (10) Automation of Records Management (RM) processes in systems in which information is created and managed • (11) Balancing the demands of systems, work processes, and users in the design and implementation of IT systems • (14) Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems • (18) RM practices lag behind technology.

(ii) Issues missing from the original list

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

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

Psychology and culture	<ul style="list-style-type: none"> • How IT systems impact the psychology of records creation. [RIM–Private–Finance] • The personal aspect of computers. [n/k] • Issue of 'my computer' and 'my records' rather than organisational system which employees adhere to. [RIM–Public–Health] • People and technology: With technology, staff become "end users"! As if they are using a service or product supplied by someone else ... maybe they should be "customers"! [RIM–Public–Government (Local)] • IT jargon meaning different things. [n/k] • (11), (18), (19), (20)⁸ may be human processes rather than IT issues. [RIM–Public–Education]
Training and education	<ul style="list-style-type: none"> • Education of users – technology awareness. Constantly changing landscape. [RIM–Public–Education] • A people or a technology issue: understand technologies and keeping abreast of developments. [RIM–Public–Government (Local)] • Moving fast – e-mail now Facebook. [n/k] • Education in RM at induction. [n/k] • RMs need to keep abreast of technology. [n/k]
Organisational profile / recognition of RM	<ul style="list-style-type: none"> • Records Management seen as an add on – not generally properly resourced either in terms of staffing et al. [RIM–Public–Education] • Records Management (in my organisation anyway) has to constantly justify its existence – quite frustrating when making the case for funding for ERM. [RIM–Public–Education] • Record managers need to have ear of IT and senior management to influence good ERM practice / development: input into strategy. [n/k]
Web 2.0 technology	<ul style="list-style-type: none"> • Webinar conferences giving company info. [RIM–Private–Pharmaceutical] • Blogs / Twitter / texts – how do you define "what is a record?" [RIM–Public–Education] • Policy and procedure in relation to Web 2.0 technology. [n/k]
Industry slow to adapt to technology and vice versa	<ul style="list-style-type: none"> • Industry suspicion of electronic environment – slow moving. [RIM–Public–Education] • IT systems lagging behind industry practice!! [RIM–Public–Education]
Nature and properties of 'records'	<ul style="list-style-type: none"> • Texting / e-communications – are these records? Yes, if business transaction. Ref to (18).⁹ [n/k] • As a profession we don't hear that a record is a record. [n/k] • Quality and reliability of records very important re capture in ERM. [n/k]

⁸ (11) Balancing the demands of systems, work processes, and users in the design and implementation of IT systems • (18) RM practices lag behind technology • (19) Generational divide in attitudes towards and use of technology • (20) Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.

Preservation / access	<ul style="list-style-type: none"> • Access to long-term present [??] records. [n/k]
Authentication	<ul style="list-style-type: none"> • Digital signatures → authentication. [n/k] • Authentication processes – ensuring only authorised persons can access records or alter them. [RIM–Public–Education]
Technology / delivery choice considerations	<ul style="list-style-type: none"> • If organisation is supplier led. [n/k] • Technology issue: Supplier-led development (e.g. ‘Microsoft’ organisation). [RIM–Public–Government (Local)] • If organisation is supplier led (Microsoft). [n/k] • Use of open source software. [n/k]
Complex environments	<ul style="list-style-type: none"> • Complex organisations – how do organisations which are based in one larger organisation but funded by another cope with different IT systems etc? [RIM–Public–Health] • Technological? Organisational? Related to Issue 8.¹⁰ Working for an organisation which is funded by a different organisation with a different IT platform / strategy. [RIM–Public–Government (Local)]
Information as asset	<ul style="list-style-type: none"> • Technology is an asset as well. the two (information and technology) should be managed together! [RIM–Public–Government (Local)]
Infrastructural aspects	<ul style="list-style-type: none"> • IT infrastructure. [n/k] • No standard technology build. [n/k] • Ingest processes – IT needs at this point. [RIM–Public–Education]
Regulation	<ul style="list-style-type: none"> • ICO new powers (Big Stick) for uninvited inspection may well give weight to imposing records management. [RIM–Public–Government (Local)]

(iii) General comments

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

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

- (2), (3)¹¹ {bracketed} Exacerbates problem of “what is a record?” If you can say it in 150 characters, can it be worth keeping? [RIM–Government]
- (2), (3), (4)¹² {bracketed} Venn diagram [n/k] • (2), (3), (4) {bracketed} Venn diagrams would help [RIM–Public–Health]
- (2), (3), (4), (5)¹³ Not issues. [n/k] • (2), (3), (4), (5) Not really issues. All linked together = mger issues. [n/k] • (2), (3), (4), (5) All part of the same thing – symptomatic. [n/k]
- (4), (5) Not sure these are the issue i.e. new software / technology.
- (7), (14)¹⁴ {Arrow from (7) to (14)} [4 delegates, n/k]
- (14), (18)¹⁵ {Arrow from (14) to (18)} [4 delegates, n/k]

⁹ (18) RM practices lag behind technology.

¹⁰ (8) Implementation of IT systems in complex environments.

¹¹ (2) eMail • (3) e-Communications.

¹² (4) Web 2.0 technologies.

¹³ (5) Cloud computing.

- Espida – embed RM issues into the strategic agenda. [RIM–All sectors–IM Consultancy]
- (7), (10),¹⁶ (14), (18) All linked. [RIM–Public–Health]
- See (7) and (10) and (11)¹⁷ and (14) as these are the issues behind (18). No. (18) is not an issue in itself. [RIM–Government]
- (7) + (18) + (14) the main issue. [RIM–Public–Education]
- {(7) and (11) linked by two-way arrow} [n/k]
- {(8), (9)¹⁸ bracketed} Multi-Agency working now very important: health / social work / police multi-agency data stores. [RIM–Public–Government (Local)]
- (10), (14), (18) [n/k]
- {(12), (13)¹⁹ bracketed} Hand in hand. [RIM–Public–Government (Local)]
- (18), (19), (20)²⁰ {Bracketed and marked} [RIM–Public–Education]

(iv) Thoughts for discussion

- How records managers engage and influence IT architecture is the crux. IT ‘Data Governance’ teams are interested in RM’s understanding of ‘business context’ and ability to ‘connect’ the perspectives of a large range of stakeholders. However, IT needs to be willing to acknowledge ‘data’ must be managed in accordance to the nature of its aggregation – high level ‘data categories’ may be fine e.g. some access type mgt. but insufficient to assure ‘data reliability’ which requires addressing with definition and scope of aggregate components at a more detailed level. [RIM–Private–Finance]
- (1), (2), (3)²¹ – agree on order. [RM / Info Prof / Employee]
- New technology is an increasing issue that records managers need to keep up with. [RIM–Public–Environment]
- What is the appetite of the information and records professional for change of attitude / change of approach / speaking to their counterparts in the information world? (This is a People thing!)
- Get involved with IT people.
Keep ear on the ground for development.
If you don’t understand, ask and ask again (you may find they don’t understand either!).
[RIM–Public–Government (Local)]
- Solve the technology lag by influencing suppliers and products and many of the issues will be dealt with. [RIM–Government]

¹⁴ (7) IT systems design • (14) Inclusion of RM requirements in standards, frameworks, architectures, and models for enterprise and IT systems.

¹⁵ (18) RM practices lag behind technology.

¹⁶ (10) Automation of Records Management (RM) processes in systems in which information is created (e.g. office and line-of-business systems) and managed (e.g. EDRMS, line-of business systems).

¹⁷ (11) Balancing the demands of systems, work processes, and users in the design and implementation of IT systems.

¹⁸ (8) Implementation of IT systems in complex environments • (9) Interoperability of systems / technology.

¹⁹ (12) Measuring IT value • (13) Measuring RM value.

²⁰ (19) Generational divide in attitudes towards and use of technology • (20) Current professional education for records professionals does not provide them with an adequate understanding of the IT world or with the knowledge / skills to engage with it on equal terms in practice.

²¹ (1) Deciding on the appropriate approach to Electronic Records Management (ERM) within a given context • (2) eMail • (3) e-Communications.

(v) Comments shared in plenary discussion

- Some issues aren't really issues e.g. technology ones (2–5)²² are outcomes not issues. In context of technology the (RM) profession doesn't move fast enough "the horse, its son and its grandson have bolted!" At the same time IT systems are not keeping up with business needs, e.g. e-signatures are not always supported.
- We haven't developed enough tools for everyone to be a records manager (and what does that mean?) Fact is lots of records are created but what are the risks of managing them? Taking a risk based approach is the way forward.
- RMs lack influence / input to the development of technologies; need to take a step out and work with IT.
- Managers don't understand how to manage information assets to reduce risks and increase competitiveness. Need to align RM with the organisation's strategic agenda.
- RMs don't understand technologies and not everyone (in an organisation) embraces IT, not everyone 'does Facebook etc'. If an organisation is supplier lead (e.g. Microsoft) then they can't use other things (e.g. Web 2.0 technologies).
- An example of Issue 8²³ (above) is where Organisation 1 is funded by Organisation 2 who has a different platform.
- IT systems affecting records creation processes – best thing is for RMs to come up with principles for IT systems and not be supplier/system lead; would then not be behind.
- RM has suffered from people's willingness to take greater risks (e.g. Iraq, the global financial crisis). But is the tide now flowing in our favour (e.g. FCO and financial institutions)? Can we to demonstrate we have less risky ways of doing business? Is the tide turning with new regulations – EC Solvency Directive?²⁴ We don't need a business case (for RM) now.

²² (2) eMail. (3) e-Communications. (4) Web 2.0 technologies. (5) Cloud computing.

²³ (8) Implementation of IT systems in complex environments.

²⁴ 'Solvency II': European Parliament approval of proposed Directive brings modern insurance regulation nearer. The European Commission has welcomed the European Parliament's approval of the proposed Directive on the taking-up and pursuit of the business of Insurance and Reinsurance, also known as the Solvency II Directive. Solvency II is a ground-breaking revision of EU insurance and reinsurance law designed to improve consumer protection, modernise supervision, deepen market integration and increase the competitiveness of European insurers. Under the new system, insurers and reinsurers would be required to take account of all types of risk to which they are exposed and to manage those risks more effectively and with increased transparency. In addition, insurance groups would have a dedicated 'group supervisor' that would enable better monitoring of the group as a whole. Intensive negotiations between the Parliament, the Council and the Commission over the recent months have prepared the ground for swift adoption by the EU's Council of Ministers, to which the text as approved by the Parliament will now return.

<http://europa.eu/rapid/pressReleasesAction.do?reference=IP/09/621&format=HTML&aged=0&language=EN&guiLanguage=en>

Technology Facet – Colloquium 3 – Forum 2 – Discussion and voting on proposed solutions

In Forum 2, delegates examined proposed solutions to five issues selected for further exploration in the colloquium.

They were also asked to vote individually on one of the solutions, evaluating it in terms of set criteria – in the case of Issue 1, the desirability of the approach and the likelihood that it would succeed.

Issue 1—Approaches to e-records management

Solutions:

- 1.1—Stand-alone Electronic Document and Records Management Systems (EDRMS)
- 1.2—EDRMS integrated with office systems
- 1.3—EDRMS integrated with line of business (LOB) systems
- 1.4—EDRMS integrated with Web 2.0 technologies
- 1.5—Use of office systems' existing functionality
- 1.6—Use of line of business (LOB) systems' existing functionality
- 1.7—Use of Enterprise Content Management (ECM) systems
- 1.8—Some combination of approaches 1.1–1.7

Rapporteur's summary of discussion

(a) Individual solutions

1.1 Stand-alone Electronic Document and Records Management Systems (EDRMS)

Likely to happen, but usually not desirable. Too much now expected. Not scalable.

1.2 EDRMS integrated with office systems

Chance of being done well is low. How does the interface work? Does it make sense to a user? Better to have something invisible.

1.3 EDRMS integrated with line of business (LOB) systems

May work for a given organisation: none of the solutions should be pursued for the sake of it, but to answer a specific need. Risk appetite.

1.4 EDRMS integrated with Web 2.0 technologies

Mostly disagree: the integration with EDRM would be detrimental, though Web 2.0 would be [sic].

1.5 Use of office systems' existing functionality

Disagree – will remain tied to the supplier's commercial aims rather than what you need; also don't have adequate functionality e.g. in re legal issues.

1.6 Use of line of business (LOB) systems' existing functionality

Would be popular where the funds or support are not available. Depends on sector, and if the adequate functionality. Some risks attached. Problems may arise if the RM requirement is introduced after the LOB was designed.

1.7 Use of Enterprise Content Management (ECM) systems

Good in a controlled environment, too loose, not a record keeping tool, but a sharing tool. Likely to be used, as possibly a cheaper option. Not suitable for some functions, e.g. HR or Finance.

(b) General comments

1. Some purposeful combination of the above – many of the views came back to horses for courses. Combination really the only approach that could work—everything depends so much on sector, money, context, etc. Depends what you're looking for.
2. More is being asked of EDMS, so care would have to be taken that functionality—e.g. legislation compliance—is available (e.g. may not be available under LOB). EDRMS is being asked to do more and more. Originally supposed to just speed up process (EDM), now being asked to do collaboration, compliance as well.

3. Several that were not seen as good solutions would be likely to be introduced or applied because of cost or risk appetite. Solutions that are not necessarily adequate or appropriate get chosen for various reasons—big difference between those that were actually most appropriate and those most likely to be implemented (whether through familiarity, management choice, whatever).

Also, different combinations work for different areas of the same organisation and EDRM may work for processing prescription payments, but a different solution in the same organisation for policy development or creative work.

Good ERM is not solution-led.

Implementation likelihood also depends on level of cultural shift expected: 'ideal' solution might demand too much

Individual delegates' voting on the separate solutions

Solution 1.1: Stand-alone Electronic Document and Records Management Systems (EDRMS)

Sector

	Highly desirable	Likely to happen
All Sectors	Disagree	Disagree
Public	Disagree	Agree
Private (large)	Don't know	Don't know
Private (SME)	Agree	Agree
Not-for-profit	Disagree	Agree

Industry / organisation type

	Highly desirable	Likely to happen
All industries / org. types	Disagree	Agree
Construction	Don't know	Don't know
Education	Disagree	Agree
Energy, utilities and infrastructure	Agree	Agree
Finance	Agree	Agree
Government (incl. police, armed services)	Disagree	Agree
Health	Disagree	Agree
Manufacturing	Agree	Agree
Pharmaceutical industry	Agree	Agree
Service industries	Disagree	Agree

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Government

Thoughts for discussion

Stand alone systems, items of software specifically for RM, don't seem reliably capable of delivering all that is expected, which is collaboration, IM, even KM, compliance etc and not just 'registering' records. They are best used in either very process driven environments using a lot of templates / standard forms for information gathering, or in heavily regulated environments. Otherwise they are difficult to implement and very difficult to maintain and develop. However, many risk-averse organisations—e.g. charities, schools—have got used to the idea of EDRMS and would see any other solutions as risky. (Though Christian Aid took in SharePoint ...). So EDRM may not be suitable but they get brought in nonetheless.

Solution 1.2—EDRMS integrated with office systems**Sector**

	Highly desirable	Likely to happen
All Sectors	Agree	Disagree
Public	Agree	Disagree strongly
Private (large)	Agree	Don't know
Private (SME)	Agree	Disagree
Not-for-profit	Agree	Disagree

Industry / organisation type

	Highly desirable	Likely to happen
All industries / org. types	Agree	Don't know
Construction	Don't know	Don't know
Education	Don't know	Don't know
Energy, utilities and infrastructure	Don't know	Don't know
Finance	Don't know	Don't know
Government (incl. police, armed services)	Agree	Don't know
Health	Neither Agree / disagree	Don't know
Manufacturing	Neither Agree / disagree	Don't know
Pharmaceutical industry	Neither Agree / disagree	Don't know
Service industries	Neither Agree / disagree	Don't know

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Other (Information / collections)

Thoughts for discussion

- ? Pragmatic approach which accepts that various Office systems will always be in use.
- ? Where is boundary between 2 (from user perspective)?
- ? Where is overall architecture that makes the systems interoperable
- ? ... meet user requirements?

Solution 1.3—EDRMS integrated with line of business (LOB) systems**Sector**

	Highly desirable	Likely to happen
All Sectors	Neither Agree / disagree	Neither Agree / disagree
Public		
Private (large)		
Private (SME)		
Not-for-profit		

Industry / organisation type

	Highly desirable	Likely to happen
All industries / org. types		
Construction		
Education		
Energy, utilities and infrastructure		
Finance		
Government (incl. police, armed services)		
Health		
Manufacturing		
Pharmaceutical industry		
Service industries		

Delegate details

Role	Records / information professional
Sector	Not-for-profit
Organisation type	Education

Thoughts for discussion

The range of 'solutions' are just tools that will be appropriate for particular circumstances. They are not objectives in themselves, and the diversity of options is a strength.

Solution 1.4—EDRMS integrated with Web 2.0 technologies**Sector**

	Highly desirable	Likely to happen
All Sectors		
Public	Don't know	Don't know
Private (large)	Don't know	Don't know
Private (SME)	Don't know	Don't know
Not-for-profit	Don't know	Don't know

Industry / organisation type

	Highly desirable	Likely to happen
All industries / org. types		
Construction	Don't know	Don't know
Education	Neither agree / disagree	Neither agree / disagree
Energy, utilities and infrastructure	Don't know	Don't know
Finance	Disagree	Disagree
Government (incl. police, armed services)	Neither agree / disagree	Neither agree / disagree
Health	Neither agree / disagree	Neither agree / disagree
Manufacturing	Don't know	Don't know
Pharmaceutical industry	Neither agree / disagree	Don't know
Service industries	Neither agree / disagree	Neither agree / disagree

Delegate details

Role	Records / information professional
Sector	Private
Organisation type	Finance

Thoughts for discussion

Not sure EDRMS is feasible in complex global organisation although Web 2.0 itself is important.

Is EDRMS necessary?

Solution 1.5—Use of office systems' existing functionality**Sector**

	Highly desirable	Likely to happen
All Sectors	Disagree	Disagree
Public	Disagree strongly	Disagree strongly
Private (large)	Disagree	Disagree
Private (SME)	Neither agree / disagree	Neither agree / disagree
Not-for-profit	Neither agree / disagree	Neither agree / disagree

Industry / organisation type

	Highly desirable	Likely to happen
All industries / org. types	Disagree	Disagree
Construction		
Education		
Energy, utilities and infrastructure		
Finance		
Government (incl. police, armed services)	Disagree strongly	Disagree strongly
Health		
Manufacturing		
Pharmaceutical industry		
Service industries		

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Government

Thoughts for discussion

Existing functionality unlikely to meet requirements to meet all statutory or business-critical processes:

- no interoperability
- not sustainable
- not strategic – organisational wide
- unlikely to be consistent in practice
- problem as system upgrades
- e.g. Microsoft Vista - versions etc
- [illegible] tie in to existing vendor
- not innovative or efficient.

Solution 1.6—Use of line of business (LOB) systems' existing functionality**Sector**

	Highly desirable	Likely to happen
All Sectors		
Public	Agree	Agree
Private (large)	Don't know	Don't know
Private (SME)	Don't know	Don't know
Not-for-profit	Agree	Neither agree / disagree

Industry / organisation type

	Highly desirable	Likely to happen
All industries / org. types		
Construction	Don't know	Don't know
Education	Agree	Agree
Energy, utilities and infrastructure	Don't know	Don't know
Finance	Disagree	Disagree
Government (incl. police, armed services)	Neither agree / disagree	Neither agree / disagree
Health	Agree	Agree
Manufacturing	Disagree	Disagree
Pharmaceutical industry	Disagree	Disagree
Service industries	Don't know	Don't know

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Education

Thoughts for discussion

Within the university sector there is a move to look at using more of LOBs' functionality for managing records, e.g. HR systems, Finance, Student Records. The concern is that these are not primarily recordkeeping systems and do not have the same controls as EDRMS systems. However, in light of cuts in budgets in public sector and lack of resources for EDRMS then using LOBs' existing functionality may be a solution.

Solution 1.7—Use of Enterprise Content Management (ECM) systems**Sector**

	Highly desirable	Likely to happen
All Sectors	Neither agree / disagree	Disagree
Public	Neither agree / disagree	Neither agree / disagree
Private (large)	Neither agree / disagree	Neither agree / disagree
Private (SME)	Disagree	Disagree
Not-for-profit	Disagree	Disagree

Industry / organisation type

	Highly desirable	Likely to happen
All industries / org. types	Disagree	Neither agree / disagree
Construction	Disagree	
Education	Disagree	Agree
Energy, utilities and infrastructure	Disagree	Don't know
Finance	Disagree strongly	Neither agree / disagree
Government (incl. police, armed services)	Disagree strongly	Don't know
Health	Disagree strongly	Neither agree / disagree
Manufacturing	Agree	Neither agree / disagree
Pharmaceutical industry	Don't know	Don't know
Service industries	Disagree	Neither agree / disagree

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Education

Thoughts for discussion

Isn't this just file sharing?

Good for 'project management' style assignments – not for record keeping.

For Issue 2, delegates were asked to indicate whether various trade-offs were advisable in a range of specified contexts.

Issue 2—Strategic trade-offs and prioritisation

Solutions:

- 2.1—Prioritise usability over functionality
- 2.2—Prioritise functionality over usability
- 2.3—Prioritise usability over integration / interoperability
- 2.4—Prioritise integration / interoperability over usability
- 2.5—Prioritise functionality over integration / interoperability
- 2.6—Prioritise integration / interoperability over functionality
- 2.7—Prioritise initial hard cost over everything else
- 2.8—Prioritise ongoing hard cost over everything else
- 2.9—Prioritise ease of implementation over everything else

Rapporteur's summary of discussion:

In every case, depends on type and size of organization, and on business drivers.

Individual delegates' voting on the separate solutions

Note – Only active responses are noted below; where no response was registered against a sector or industry, the latter have been omitted from the tables.

Solution 2.1: Prioritise usability over functionality

Sector and Industry / organisation type

Sector		Industry / Type	
All		All	
Public	Advisable	Construction	Not advisable
Private (large)	Advisable	Education	Advisable
Private (SME)	Not advisable	Energy, utilities and infrastructure	Not advisable
Not-for-profit	Not advisable	Finance	Not advisable
		Government (incl. police, armed services)	Not advisable
		Health	Not advisable
		Manufacturing	Don't know
		Pharmaceutical industry	Don't know
		Other [Not specified]	Advisable

Delegate details

Role Records / information professional
Sector Public
Organisation type Other (Environmental)

Thoughts for discussion

Where usability is important. In opposition [??] with numerous other forms usability is important for ease of learning and use.

Solution 2.2—Prioritise functionality over usability**Sector and Industry / organisation type**

Sector		Industry / Type	
All		All	
Public	Not advisable	Construction	Advisable
Private (large)	Not advisable	Education	Not advisable
Private (SME)	Advisable	Energy, utilities and infrastructure	Advisable
Not-for-profit	No preference	Finance	Advisable
		Government (incl. police, armed services)	Not advisable
		Health	Advisable
		Service industries	Not advisable

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Other (Environmental)

Thoughts for discussion

In many organizations it must function to complete a specific task and does not necessarily have to look pretty to users.

Solution 2.3—Prioritise usability over integration / interoperability**Sector and Industry / organisation type**

Sector		Industry / Type	
All		All	
Public	Advisable	Construction	[No response]
		Government (incl. police, armed services)	Advisable

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Government

Thoughts for discussion

Good usability could perhaps compromise legal / statutory requirements or might work well in one area but not in another (poor interoperability).

Set up a cross-sectoral group—IT / RM / users etc to work together to produce usability and integration / interoperability.

Solution 2.4—Prioritise integration / interoperability over usability**Sector and Industry / organisation type**

Sector		Industry / Type	
All		All	
Public	Advisable	Construction	[No response]
		Government (incl. police, armed services)	Advisable

Delegate details

Role	Records / information professional
Sector	Public
Organisation type	Government

Thoughts for discussion

Integration over usability may lead to better sharing of knowledge / avoidance of duplication but in complex environment (e.g. finance system, GIS, image system) may be difficult to achieve.

Solution 2.5—Prioritise functionality over integration / interoperability**Sector and Industry / organisation type**

Sector		Industry / Type	
All	Not advisable	All	Don't know
Public	Not advisable	Construction	Not advisable
Private (large)	Not advisable	Education	Don't know
Private (SME)	Advisable	Finance	Not advisable
Not-for-profit	Advisable	Government (incl. police, armed services)	Advisable
		Health	Don't know
		Manufacturing	Not advisable
		Pharmaceutical industry	Don't know
		Service industries	Don't know
		Other	

Delegate details

Role	Records / information professional
Sector	Private
Organisation type	Construction

Thoughts for discussion

Solution 2.6—Prioritise integration / interoperability over functionality**Sector and Industry / organisation type**

Sector		Industry / Type	
All		All	Don't know
Public	Advisable	Construction	Advisable
Private (large)	Advisable	Education	Don't know
Private (SME)	Not advisable	Energy, utilities and infrastructure	Advisable
Not-for-profit	Not advisable	Finance	Advisable
		Government (incl. police, armed services)	Not advisable
		Health	Don't know
		Manufacturing	Advisable
		Pharmaceutical industry	Don't know
		Service industries	Don't know
		Other	

Delegate details

Role	Records / information professional
Sector	Private
Organisation type	Construction

Thoughts for discussion**Solution 2.7—Prioritise initial hard cost over everything else****Sector and Industry / organisation type**

Sector		Industry / Type	
All		All	
Private (SME)	No preference	Energy, utilities and infrastructure	[No response]
		Pharmaceutical industry	Advisable

Delegate details

Role	Records / information professional
Sector	Private
Organisation type	Pharmaceutical industry

Thoughts for discussion

The nature of the business will drive forward the requirements to prioritise hard costs.

Solution 2.8—Prioritise ongoing hard cost over everything else**Sector and Industry / organisation type**

Sector	Industry / Type	
All	All	
	Pharmaceutical industry	Advisable

Delegate details

Role	Records / information professional
Sector	Private
Organisation type	Pharmaceutical industry

Thoughts for discussion

Ongoing 'hard costs' – depending on how business / project progresses.

Solution 2.9—Prioritise ease of implementation over everything else**Sector and Industry / organisation type**

Sector		Industry / Type	
All	Not advisable	All	Not advisable
Public	Not advisable	Construction	[No response]
		Government (incl. police, armed services)	Not advisable
		Health	Not advisable
		Other [audit and inspection]	Not advisable

Delegate details

Role	Senior manager
Sector	Private
Organisation type	Public Audit

Thoughts for discussion

What is the point of having a system that was easy to implement unless it also provides best fit to your business needs and is user friendly?

Ease, or speed of implementation, may be important but these factors are likely to be lower priorities than other strategic drivers.

Systems and technology Facet – Colloquium 3 – Workshop: A Vision for ERM – Summary

AC⁺erm Team's notes from discussion

Value / usefulness of the tools:

- Fridge Phrases
 - Really good
 - Took a while—looked at words for a while and eventually it came together. Need more connectors.
 - Good that it was done collaboratively.
 - To come up with vision, needed to make up about half the words [one group]
 - Made up practically all the words except 'and' and 'or'! [another group]
- Story
 - Difficult, needed more time.
 - More constrained for story.

BACKGROUND INFORMATION FOR VIGNETTE DEVELOPMENT

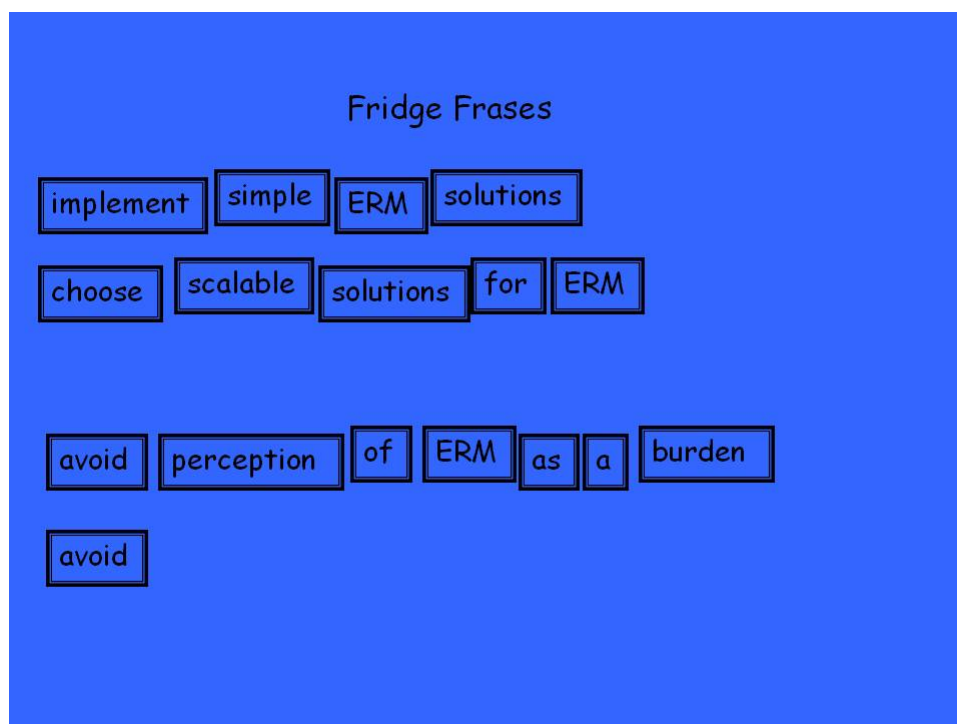
Fridge Phrases

Fridge Phrases (or Fridge Frases) is a set of 'fridge magnets' containing selected words and phrases from our synthesis of the data collected during the Delphi studies.

The concept of Fridge Phrases is that the magnets containing the words/phrases are simply selected and placed on a 'receptive' magnetic medium to create sentences (see diagram below). A potential alternative would be *electronic* Fridge Phrases which are dragged and dropped either individually or as a group in virtual space (i.e. anyplace).

Fridge Phrases can be used in a variety of situations by different stakeholders; for example as an ice-breaker; in training/awareness sessions; to engage users. Specific uses might include:

- introducing ERM at an induction event
- introducing policy/programme/system implementation
- finding out user needs/benefits/preferences
- getting views from people about good/bad situations/systems
- getting feedback/evaluation.



Stories

“Powerful stories are ‘cultural DNA’, affecting us in ways both perceptible and opaque. Every culture -- whether it’s a business, an institution, a family, or a nation -- is constructed by the stories it tells. Stories matter...” Narrative Lab

“storytelling is one of the most important ways--though not the only way--to get people to change their ideas and their behavior, not grudgingly and slowly, but quickly, willingly and enthusiastically” Steve Denning

“Anecdote trains and coaches leaders to be better storytellers to influence, persuade and communicate more effectively, and to provide a coherent path when times are turbulent.” Anecdote

“An anecdote circle is a gathering (physical or virtual) whose purpose is to generate and collect anecdotes about some issue or topic. Usually the anecdotes gathered will be used later in some sort of sense-making, and they may be placed in a narrative database for sense-making and as a knowledge repository.” Cognitive Edge

Some sources for further information:

Anecdote <http://www.anecdote.com.au>

Cognitive Edge and David Snowden <http://www.cognitive-edge.com/>

Steve Denning <http://kmedge.org/int/stevedenning.html>

Kathy Hansen's Blog 'A storied career' <http://www.astoriedcareer.com/>

Narrate <http://www.narrate.co.uk>

Narrative Lab <http://www.narrativelab.com>

Simmons A. (2006). *The story factor. Secrets of influence from the art of storytelling*. Revised edition. Basic Books

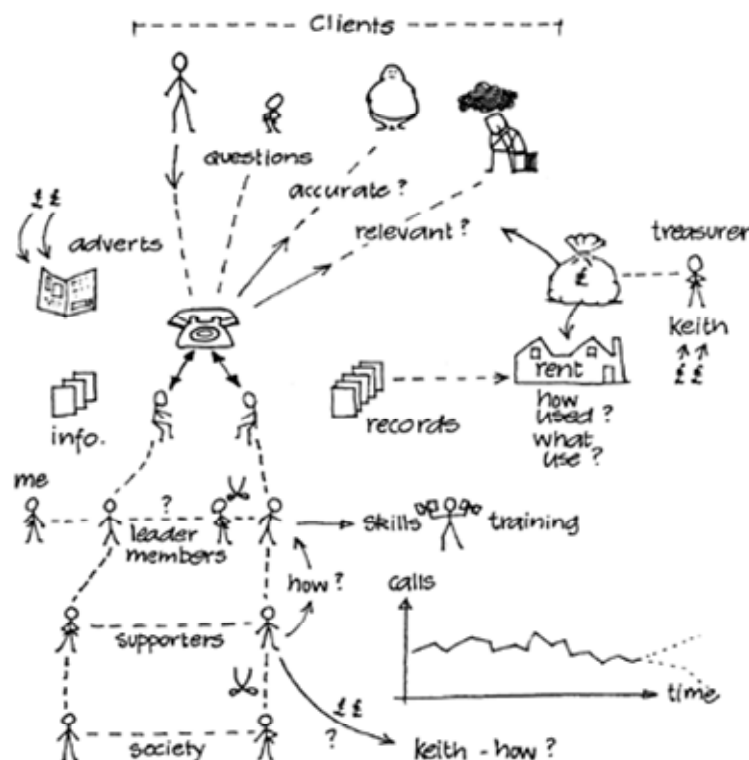
Cont'd / ...



Rich pictures

Purpose

Rich pictures were particularly developed as part of Peter Checkland's Soft Systems Methodology for gathering information about a complex situation (Checkland, 1981; Checkland and Scholes, 1990). The idea of using drawings or pictures to think about issues is common to several problem solving or creative thinking methods (including therapy) because our intuitive consciousness communicates more easily in impressions and symbols than in words. Drawings can both *evoke* and *record* insight into a situation, and different visualization techniques such as visual brainstorming, imagery manipulation and creative dreaming have been developed emphasizing one of these two purposes over the other (Garfield, 1976; McKim, 1980; Shone, 1984; Parker, 1990).



Part of a rich picture of a telephone helpline situation

© Open University Systems Group

<http://systems.open.ac.uk/materials/t552/pages/rich/richAppendix.html>

TECHNOLOGY COLLOQUIUM VIGNETTES—Group 1

In this workshop, delegates were divided into four groups, each of which was invited to draft a vision for e-records management.

The workshop activities were conducted using draft tools (vignettes) developed by the Project. They are intended to provide scenarios related to ERM in various formats that will have a greater impact than more conventional documents or expositions.

The vignettes used were of three types—‘fridge phrases’, rich pictures, and narrative. The delegate groups used the vignettes to develop and/or communicate their ideas.

Each group as a whole drafted a vision for ERM. The whole group used the ‘Fridge Phrases’ tool to develop the vision and / or to articulate it more fully.

They then went on to communicate the vision through rich pictures, narrative, or both.

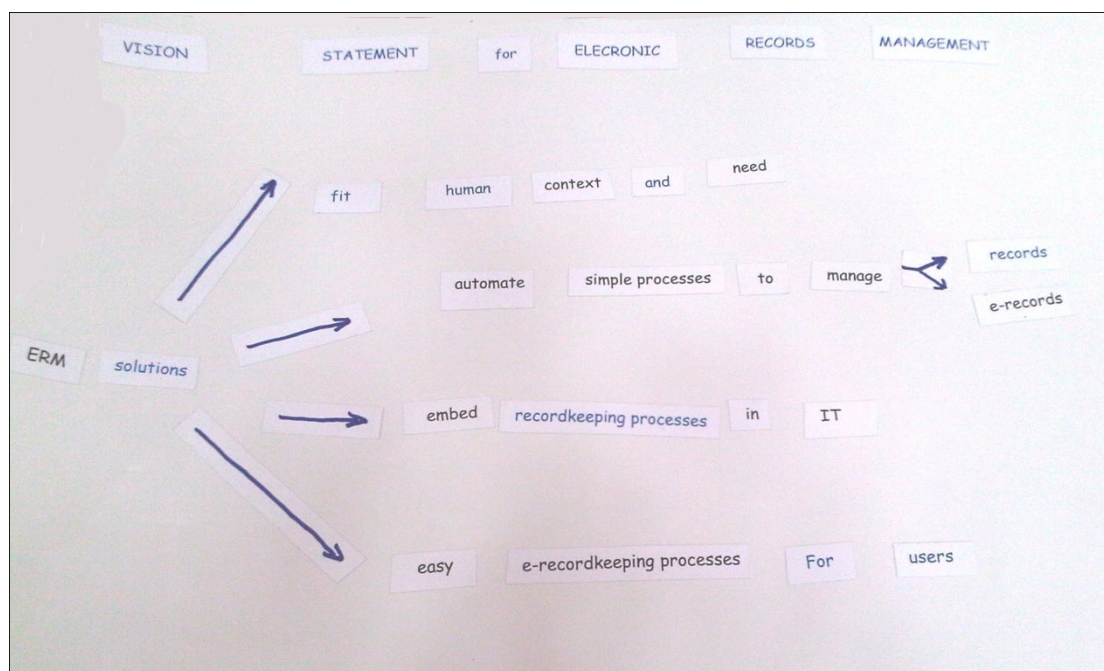
The groups reported back their thoughts not only on the topic itself but also on the usefulness or otherwise of the vignettes as tools in this context.

A VISION for ERM

This group started with the following vision:

“ERM will be valued by everyone as an essential enabler. It will be automatic, ubiquitous and intrinsic without being a burden.”

Then they expanded upon it with the fridge phrases.

Illustrating the Vision—Fridge Phrases

Illustrating the Vision—Stories

Once upon a time...

Jill woke up one morning to discover the loss of all her photos, all her diaries, all her e-mails... all her life. She didn't know who she was anymore - and nobody else did either.

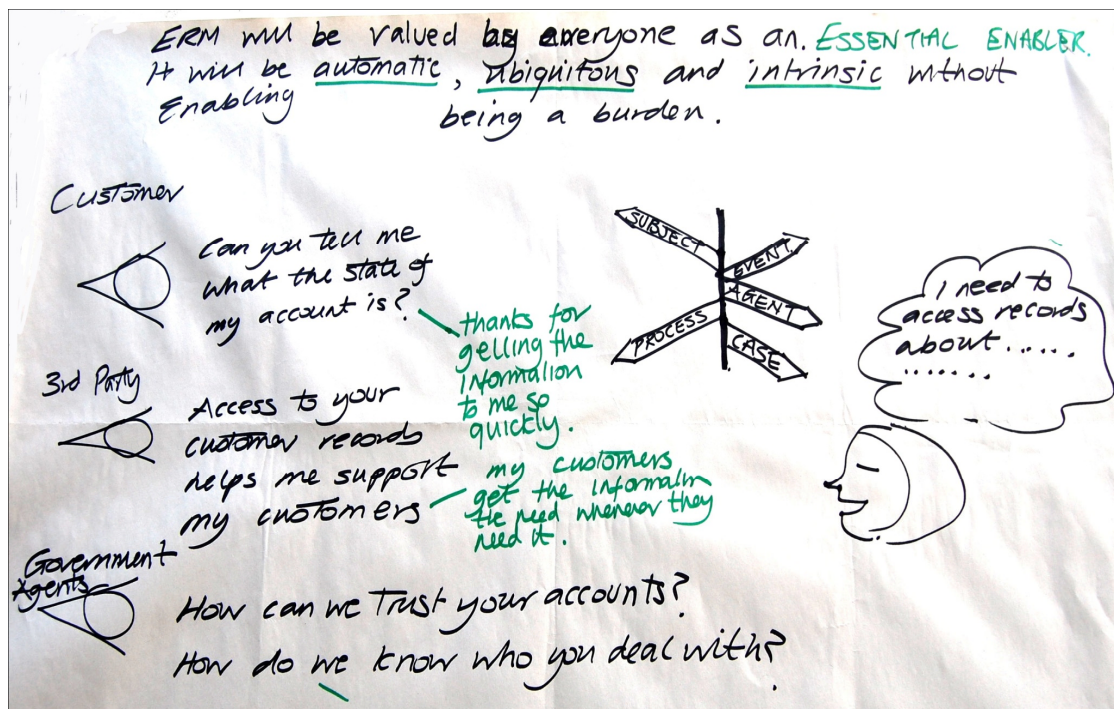
"Oh what shall I do!" she fearfully cried.

Suddenly, without warning, the Records Manager avatar appeared on her personal communication device with a "Zap!" and a "Pow!". He declared; "Fear not young Jill! For all your photos, diaries, emails and other sundry records have been stored safely and automatically in the Electronic Records Management System. I'm already recovering it all back for you"

"Oh thank you kind and wise records manager - and to think, I didn't even know"

So young Jill got back all her photos, all her diaries, all her e-mails and she lived a happy and recorded life thereafter.

Illustrating the Vision—Rich Pictures



TECHNOLOGY COLLOQUIUM VIGNETTES—Group 2

In this workshop, delegates were divided into four groups, each of which was invited to draft a vision for e-records management.

The workshop activities were conducted using draft tools (vignettes) developed by the Project. They are intended to provide scenarios related to ERM in various formats that will have a greater impact than more conventional documents or expositions.

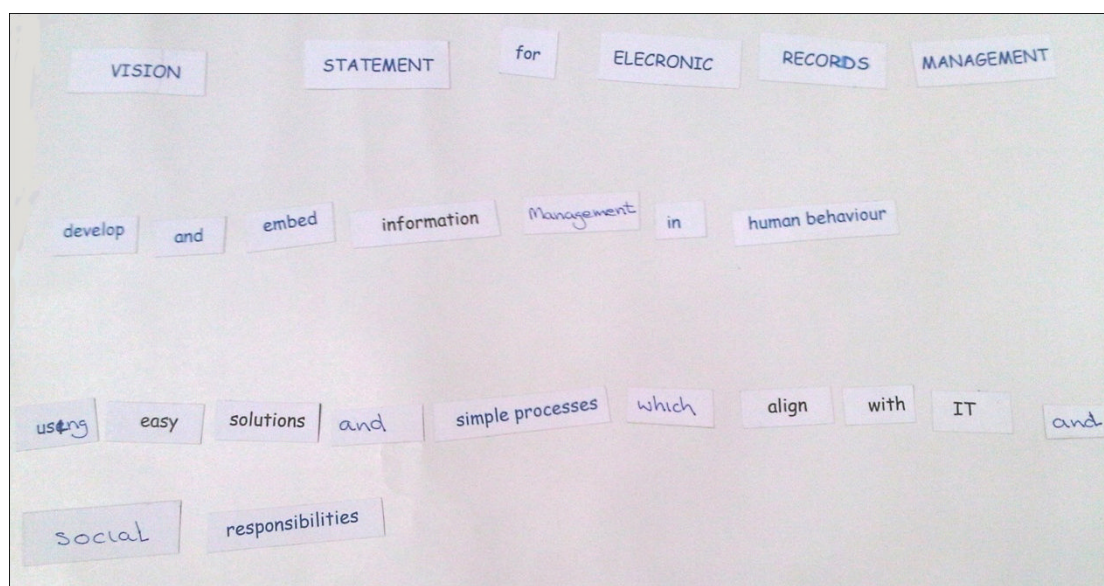
The vignettes used were of three types—‘fridge phrases’, rich pictures, and narrative. The delegate groups used the vignettes to develop and/or communicate their ideas.

Each group as a whole drafted a vision for ERM. The whole group used the ‘Fridge Phrases’ tool to develop the vision and / or to articulate it more fully.

They then went on to communicate the vision through rich pictures, narrative, or both.

The groups reported back their thoughts not only on the topic itself but also on the usefulness or otherwise of the vignettes as tools in this context.

Illustrating the Vision—Fridge Phrases

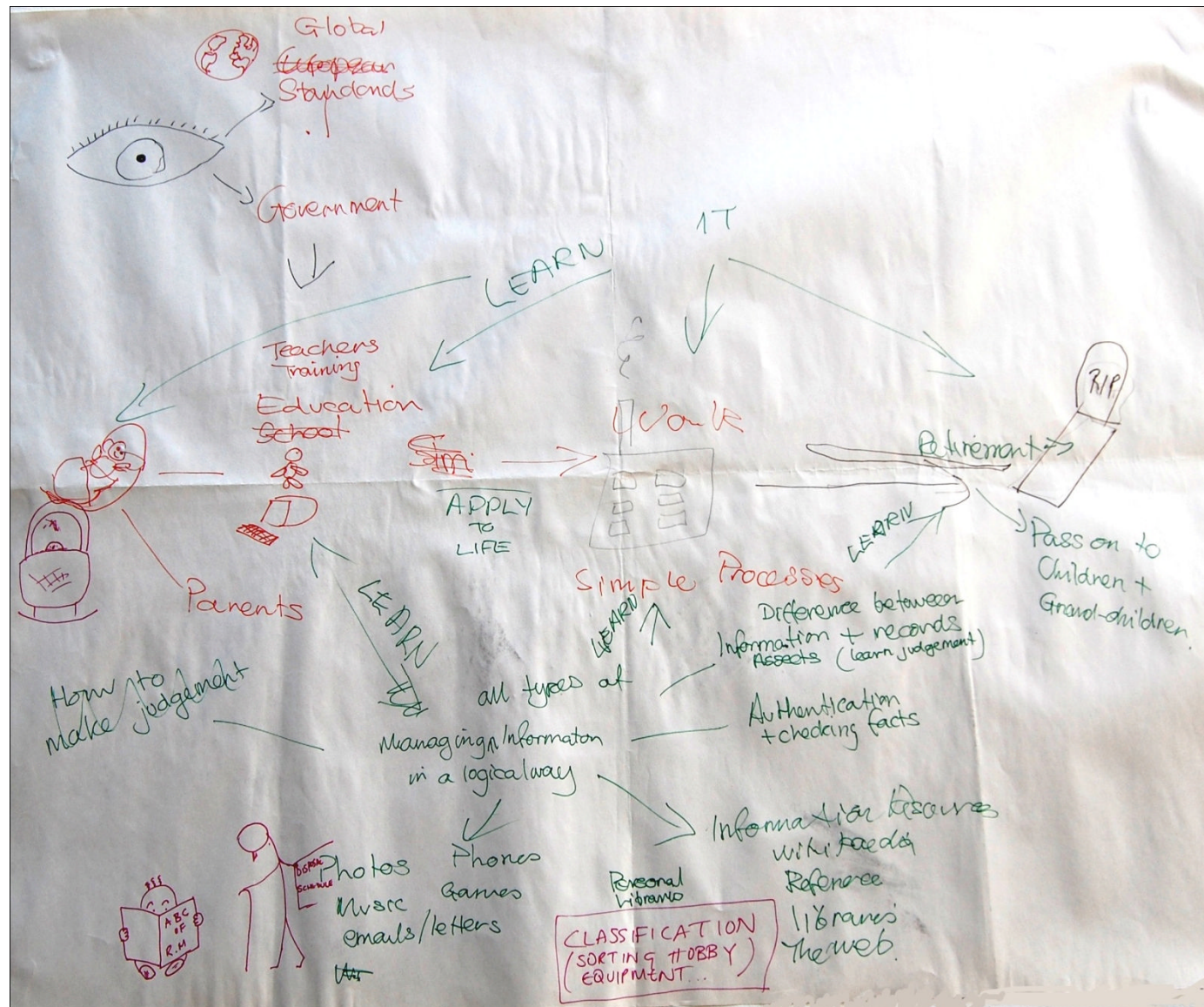


NOTES from GROUP'S REPORT BACK and DISCUSSION

Children are doing their own IM—on iPods, phones, etc—so it's the idea of teaching them how to manage this as well.

Can teach children through examples of birth and death certificates—record / information carried through time—if they look at their own stuff, say photos, in 10 years' time, will they be able to say when they were taken, who the people were?

Illustrating the Vision—Rich Pictures



TECHNOLOGY COLLOQUIUM VIGNETTES—Group 3

In this workshop, delegates were divided into four groups, each of which was invited to draft a vision for e-records management.

The workshop activities were conducted using draft tools (vignettes) developed by the Project. They are intended to provide scenarios related to ERM in various formats that will have a greater impact than more conventional documents or expositions.

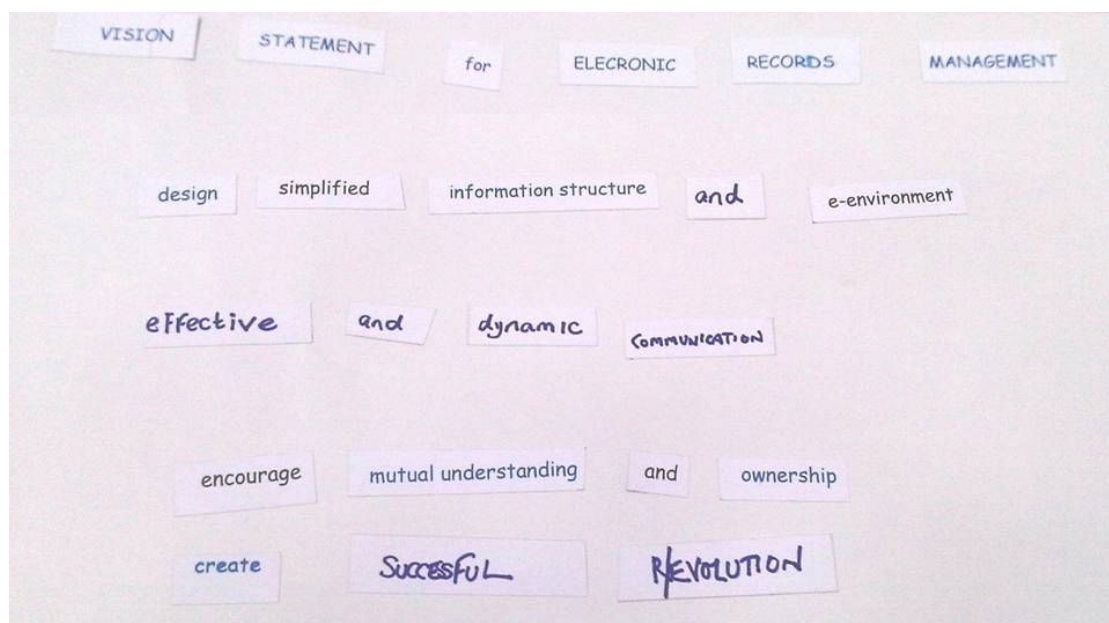
The vignettes used were of three types—‘fridge phrases’, rich pictures, and narrative. The delegate groups used the vignettes to develop and/or communicate their ideas.

Each group as a whole drafted a vision for ERM. The whole group used the ‘Fridge Phrases’ tool to develop the vision and / or to articulate it more fully.

They then went on to communicate the vision through rich pictures, narrative, or both.

The groups reported back their thoughts not only on the topic itself but also on the usefulness or otherwise of the vignettes as tools in this context.

Illustrating the Vision—Fridge Phrases



Illustrating the Vision—Stories

Donald was given a task by Mickey. The task had a time limit. Mickey hasn't communicated the task clearly. There was no mutual understanding of the task and Donald took no real ownership of it.

He looked in his own very complicated database but could not find the information. He didn't talk to anyone else to see if their systems had the information.

Donald was unable to provide the information to Mickey.

TECHNOLOGY COLLOQUIUM VIGNETTES—Group 4

In this workshop, delegates were divided into four groups, each of which was invited to draft a vision for e-records management.

The workshop activities were conducted using draft tools (vignettes) developed by the Project. They are intended to provide scenarios related to ERM in various formats that will have a greater impact than more conventional documents or expositions.

The vignettes used were of three types—‘fridge phrases’, rich pictures, and narrative. The delegate groups used the vignettes to develop and/or communicate their ideas.

Each group as a whole drafted a vision for ERM. The whole group used the ‘Fridge Phrases’ tool to develop the vision and / or to articulate it more fully.

They then went on to communicate the vision through rich pictures, narrative, or both.

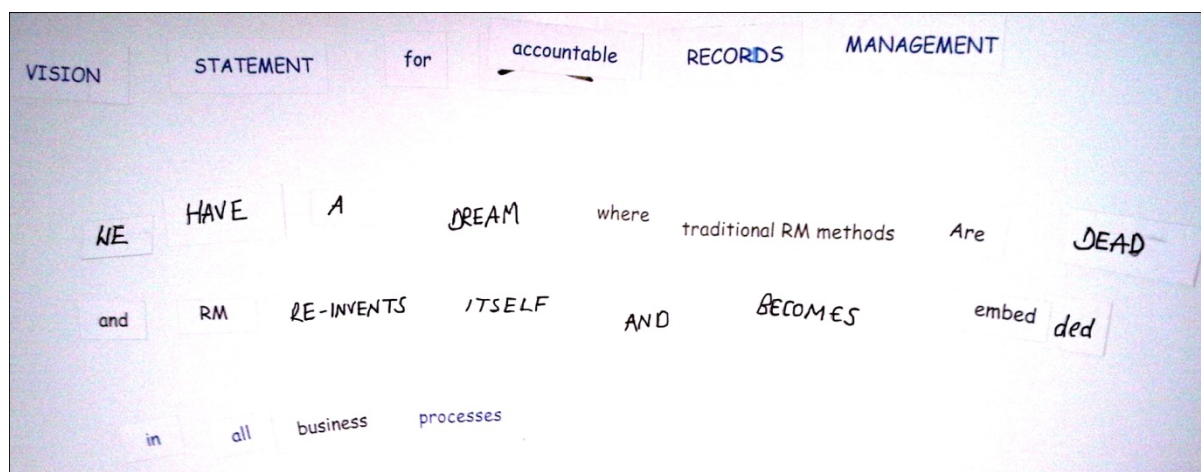
The groups reported back their thoughts not only on the topic itself but also on the usefulness or otherwise of the vignettes as tools in this context.

NOTES from GROUP'S REPORT BACK

RM is dead; can we re-invent it ourselves?

Changed title of vision to ‘Vision for Accountable RM’

Illustrating the Vision—Fridge Phrases



Illustrating the Vision—Rich Pictures

AC⁺erm Output

Technology Facet – Colloquium 4 – Introduction

Background The fourth and final colloquium was a more substantial event than the previous three, presented as the latest in the Northumbria Witness Seminar Conference series.

Unlike the first three colloquia, the focus was not on a facet of the project but on the role of RM research as a whole – a group of 50 delegates and witnesses discussed and debated the links and synergies, actual and desired, between research and practice in the field of Records and Information Management

The conference was divided into three sessions – two seminars and an open discussion.

Seminar 1

This session considered the transforming capacity of research and development from the academic perspective. The academic witnesses, chaired by a practitioner, gave statements on the value, impact and challenges of doing information and records management research and development, citing examples in support. The discussion was then opened to the floor.

Seminar 2

The practitioner witnesses, chaired by a former academic, gave statements on the value and impact of research and development in the field of RM, considering whether they provided solutions or helped make improvements and whether and why practitioners engage in R&D. The discussion was then opened to the floor.

Open floor discussion

This session took the form of an open discussion on the future for research and development, facilitated by Professor Michael Moss. Delegates were asked their views on what the research agenda should be; who should do the research and where; how research and practice can be integrated; and whether it is possible to assess the value and impact of research.

Nature of Output The output consists of the formal proceedings of the conference, published separately and also available at www.northumbria.ac.uk/acerm.

Transforming Information & Records Management through Research & Development

A Witness Seminar

4 March 2010, The Great Hall, Sutherland Building
Northumbria University, Newcastle upon Tyne

Agenda

- 12:00–12:45 **Registration and lunch**
The Great Hall, Sutherland Building, Northumbria University
- 12:45–12:55 **Welcome**
Prof Fary Ghassemlooy, Associate Dean (Research), School of Computing, Engineering & Information Sciences, Northumbria University
- 12:55–13:10 **Introduction: Setting the scene**
Prof Julie McLeod, School of Computing, Engineering & Information Sciences, Northumbria University
- 13:10–14:40 **Seminar 1: The transforming capacity of research & development: academic perspectives**
Doing information and records management research: what's the value? Examples & challenges.
Chair: Adrian Cunningham (National Archives of Australia)
Witnesses: Steve Bailey (JISC infoNet), Sue Childs, Elizabeth Lomas, Dr Alison Pickard, (Northumbria University)
- 14:40–15:00 **Refreshment break**
- 15:00–16:30 **Seminar 2: The transforming capacity of research & development: practitioner perspectives**
What's the value, worth? Does it provide solutions? Does it help make improvements? What's the impact? Why would practitioners engage in/do R&D?
Chair: Catherine Hare (Consultant)
Witnesses: David Bowen (Audata Ltd)/Chris Campbell (Continued Communication Group), Maria Luisa Di Biagio (ECB), Paul Dodgson (Driving Standards Agency), John McDonald (Consultant, Canada), Andrew Snowden (Fujitsu)
- 16:30–16:55 **Open Floor Discussion: The future for research & development**
What should the research agenda be? Who should do the research and where? How can we integrate research and practice? Can we assess the value and impact of research?
Chair: Prof Michael Moss (Glasgow University)
- 16:55–17:00 **Closing remarks and thanks**
Julie McLeod, Northumbria University
- 17:00–18:00 **Drinks Reception**
Opportunity to network and view research outputs exhibition