CHALLENGES AND OPPORTUNITIES FOR RECORDS MANAGERS

KAREN ANDERSON

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EVIDENCE OF FAILURE

A gap in Sweden between rights to access records & information and ability to deliver:

40% of all 290 Swedish municipalities could not produce Council minutes from 1999 (Lundell & Lings, 2011)

A Swedish National Archives survey of government authorities on the current status of their electronic recordkeeping (97% response rate):

- 64% had no strategies for long-term preservation of electronic documents
- 22% were working on a strategy.
A LARGE RAILWAY PROJECT

Inadequate preservation strategies for digital records necessary for future railway maintenance (Borglund & Anderson, 2010)
- Current records management and preservation were seen and managed as separate phases
- Focused on records capture of simple documents
- Too late to capture records in databases and business systems when they started to plan for preservation at the end of the project ....
Information management benchmarking

Conducted by Mid Sweden University’s archives and information science group’s Centre for Digital Information Management (CEDIF)

Project conducted September 2010 - February 2011. Researchers:
- Karen Anderson and Göran Samuelsson.
- Marie Morner Jansson, Research assistant
RESEARCH AIMS

A snapshot of the current state of IM in Swedish organizations;

Insights into the future need for IM skills in Swedish organizations;

An understanding of the use of archivists’ expertise within the organizations.
IM: OUR DEFINITION

Organization-wide strategies and processes to ensure creation, capture, management and use of information.
Includes enterprise content management, business process management and records management,
Covering the management over time of information regardless of media (records, documents, data, email, web, video, photos and other information carrying media).
WHY SURVEY IM?

Some governments, through their information policy and management authorities, recognize that focusing on traditional records management approaches is not enough to ensure capturing evidence of processes and transactions in the digital business environment.

Archival authorities in these countries are leading or closely involved in initiatives to foster sound information management strategies.
RESEARCH METHODS

- Data gathered through a web survey, 32 interviews, & 2 focus groups about:
  - The state of the art of information management;
  - Its importance to business and service efficiency and effectiveness;
  - Business needs for knowledge and skills (competence) in information management;
  - The professional status of archivists within organizations
THE WEB SURVEY

- Targeted: ‘the person in the organization who has the best overall view of IM’. The respondents were:
  - Archivists 38%;
  - IT managers / IT strategists / information architects 22%;
  - Business process managers / developers 8%;
  - Registrars (operational records managers) 2%; and
  - Some other role 31%.

- Some instances of collaboration, because no single person could answer all questions.
INTERVIEWS AND FOCUS GROUPS

32 interviews
  – Selected senior managers with responsibility for IM and asked for deeper interviews on these themes and their organization’s needs

2 focus groups
  – Our aim was to mix IT / enterprise information architects /business process managers with archivists.
  – Circumstances beyond our control: 1 group of IT & EIA and 1 group of archivists
WEB SURVEY TOPICS

- What are the drivers for information management?
- Challenges to achieving EU’s / e-delegation’s vision of ‘seamless’ information?
- Does the organisation have a specific IM framework?
- Where does responsibility for IM rest in the organisation?
- What competence profile is needed by the person or function in charge of IM?
- In which areas are more knowledge /skills needed to facilitate faster/better implementation of IM
WEB SURVEY TOPICS

- Who uses long-term preserved information?
- What standards are used?
- What metadata/descriptive strategies are used?
- Business process management & description
- Sustainable information management and environmental aspects ... ‘green IT, green information processes’
- IM in practice:
  - Experience in implementing regulations, standards, systems
  - Which professions are the best allies?
  - In which areas is more knowledge needed?
RESEARCH FINDINGS

IM Strategy:

Some uncertainty about who should answer the survey questions, indicating lack of assigned 'ownership' of IM strategies and development—a matter for concern given the importance of information governance for effective functioning of an organization;

Barely 1/3 have a clear vision and strategy for IT management that equally values information along with the technology to manage it.
ARCHIVISTS

Only involved with IT professionals for planning and developing an e-archive, or where business processes are being closed down.

Not involved in reconstruction of information structures, business rules and ownership of business processes, or what information architects call “information archeology”.

IM IN THE EMERGING DIGITAL ENVIRONMENT

Social media:
- 36% have no regulatory framework for using it.
  - Who speaks for the organization?
  - Where are the borders between business and private use?

The Cloud:
- 56% say 'No' to cloud services for document management.
- Only 12% use the cloud for IM purposes.
THE SNAPSHOT

- 90% of respondents had updated or are “working on” their IM frameworks;
- Low adoption of available records management standards;
- Many lack IM maturity or resources for developing organizational e-archive repositories
  - On the other hand, some larger organizations are now in the 3rd generation of their e-archive
RELATED FINDINGS
FROM OTHER PROJECTS

The Swedish National Archives survey
(Riksarkivet, 2010)
– Our study included other types of organizations, but general levels of progress towards long-term IM strategies confirmed.

AC+erm project: (McLeod, Childs & Hardiman, 2010)
– ‘People issues’ are the major problem

Greening information management
(McDonald, McCulloch & MacDonald, 2010)
PERCEIVED GREATEST CHALLENGES

Chosen from a list of 10. Respondents could choose more than 1 challenge:

- Long-term preservation (54%)
- Lack of resources for IM (47%)
- Information security (41%)
- Personal data protection (41%).
COMPETENCIES NEEDED

Identified as missing or needing development:
- Greater competencies in enterprise-wide information modeling;
- Strategies for ensuring quality in information structures;
- Some archivists wanted to improve their IT skills;

Areas for professional development identified:
- Standards,
- Regulations, legal frameworks,
- Business process development and
- Systems development.
MEETING THE CHALLENGE

- Research programs for archives and records management
- Ensure that archival records are usable
  - The problem of legacy systems
- Use international standards
  - Many organizations use standards in their business and understand their value
- Build partnerships with other professions
- Develop & share tools, guidelines, advice
- Educate for now and the future
- Train for professional development
USE ARCHIVAL RECORDS??

Archives should be accessible and usable
- Re-using information, capitalizing on knowledge
- Meeting PSI Directives

Strategies are needed to protect archival records when large scale search strategies are employed
- Ensuring authenticity, integrity, context, privacy, security
- Allowing or denying access re-use where appropriate

Dependent on harvesting and aggregating metadata
USING STANDARDS: ISO 30300

ISO 30300: 2011 *Information and Documentation – Management System for Records – Fundamentals And Vocabulary*
ISO 30301: 2011 *Information and Documentation – Management System for Records – Requirements*
ISO 30302 – *Guidelines for Implementation*
ISO 30303 – *Requirements for Bodies Providing Audit and Certification*
ISO30304 – *Assessment Guide*
WHAT NEXT FOR STANDARDS?

- Promoting the ISO 30300 series
  - Engaging with management & other professional allies
  - Using ISOs 9000, 14000, 27000
- Developing auditing and certification strategies
- Overlaps between ISO 15489 & ISO 30300 series?
  - How should they be harmonised?
  - Other linked standards – 23081 & 26122?
DEVELOP & SHARE STANDARDS & TOOLS

Teach our students how to:

– Find out about available standards and tools
– Develop and present standards for use within organizations
– Develop and present advice for users of standards and services
  • Eg Advice on Managing the Recordkeeping Risks Associated With Cloud Computing.
COLLABORATING
Finding allies and Professional partners
- Senior management
+
- Auditors
- Law professionals
- Risk managers
- Information architects
- Business process analysts / managers
- IT managers
OPERATING IN THE DIGITAL ENVIRONMENT

Students should be able to use online services, learning platforms, social media
- Eg University of San Jose Introductory program for RM students
- Use real examples from listservs: eg How does an organisation meet records requirements for managing their presence on Twitter?

Knowledge about systems and processes is a necessity (Oliver et al., 2010).

Digital labs for teaching and learning
- Mid Sweden University and Simmons College partnership - sharing digital labs & resources
- A number of US iSchools developing their own digital labs

Communicating with professional allies
A WISH LIST FOR EDUCATED PROFESSIONALS

Leaders as well as managers
  – Change managers
  – Innovators: new trends in ICTs, organisations & business
Business process analysts
Risk managers
Auditors: evaluation experts
Project managers
Trainers
OPPORTUNITIES?

Records managers and archivists should be:

- Key players in the whole organisation’s information management
- Facilitators of access to the highest quality sources of information
- Advisors and developers of information management standards
REFERENCES


[http://www.northumbria.ac.uk/static/5007/ceispdf/final.pdf](http://www.northumbria.ac.uk/static/5007/ceispdf/final.pdf)

REFERENCES


CEDIF at Mid Sweden University