

# AERI 2010

## Issues Regarding Records Management in Enterprises and Organizations in the Public Sector

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**Where:** Great Lakes South

**When:** Thursday, 6/23, 3:15 - 4:15 PM

### Abstracts:

#### **Foscarini, Fiorella. Organizational Cultures and Records Classification Practices. Findings of an Empirical Study of Four Central Banks.**

One of the main issues I investigated in my doctoral dissertation is the influence exercised by dissimilar organizational cultures on the ways in which both the purpose of classification and the concept of business function are understood by developers and users of function-based records classification systems in organizations. Having observed that the meanings of records classification and function are not adequately described in the records management and archival literature, I formulated the research hypothesis that the characteristics of existing classification systems as well as the enactment modes of such systems by their users are specific to each organizational context. This presentation will provide an account of the methodology I employed and some of the findings of the multiple-case research I conducted in four selected Central Banks in Europe and North America.

#### **Park, Eun. Challenges in Health Records Management at Medium-sized Dental Clinics**

The objectives of the study is 1) to investigate the current problems and employee perspectives regarding health records management and system implementation at one medium-sized dental school and affiliated clinics; and 2) to determine a strategy to ensure reliable records management practices at the clinics. To examine the dental clinics' recordkeeping practices, the research team conducted face-to-face interviews and reviewed current systems. The research team also spoke to a representative of the software application company. The findings of the study show that the current practice at the dental clinics has many issues preventing efficient EHR management, such as successful transition, technical support and equipment, effective communication, training, sharing visions and knowledge. To solve identified challenges, we suggest a strategy to upgrade the system and merge databases into a central one. We also suggest three scenarios to figure out the best implementation strategy for the clinics.

#### **Proscovia Svärd: The Interface between Enterprise Content Management and Records Management in Shifting Organizations**

Government agencies have been characterized as bureaucratic organizations that are rigid and slow in reacting to changing organizational environments. However, this is slowly changing and municipalities are now required to re-engineer their work processes in order to elevate efficiency as the demand for quality services from the citizens increases. Through web based technologies information is being disseminated to the citizens and a two-way communication flow has been established. The management of information is crucial to this process. Records Management (RM) is the information management construct that has been employed to manage public information but now, Enterprise Content Management (ECM) is being promoted as the panacea to effective information management. Sundsvall and Härnösand municipalities in Sweden will provide case studies for this research project that will illuminate the challenges faced by local government in this shifting environment.

#### **Kallberg, Maria. Professional Challenges in Electronic Recordkeeping in Sweden**

Archivists have traditionally had a mandate to collect, organize and classify records, often late in the process after they have been delivered to the archives. This is reflected in organizational structures, where the archivists have rarely had a strategic management role although in Sweden there is clear and universally known legislation defining archives and the archival responsibilities of public organizations. With the transition from paper-based to electronic records, information can now be used strategically, for example through e-services. The challenge for the profession is to raise awareness

that we are active strategists and information managers. My research motive is to establish if and how this change affects the records and archives professionals and the archive as a function. I intend to conduct a quantitative study on municipalities regarding the strategic planning of digital archives with a deeper qualitative focus on organizations that have undertaken organizational change when implementing electronic recordkeeping systems.

**Convener:** Bruce Ambacher, University of Maryland

**Bios:**

**Bruce Ambacher**

I have a PHD in History, joined the National Archives in 1976, became an adjunct professor teaching archives courses in 1984 at George Mason University and in 2000 at the University of Maryland. I became a fulltime visiting professor when I retired from NARA in January 2007. As one of the "first generation" of electronic records archivists I was thrown into developing the practice of accessioning, describing, preserving and providing reference for electronic records. A major part of my NARA career was devoted to developing standards for federal agencies to use in creating and transferring electronic records for preservation. I worked with the intelligence community on several aspects of recordkeeping and strategic planning for new electronic records applications. I represented NARA on several interagency bodies addressing electronic records such as the Federal Geographic Data Committee, the GILS development team, and the NARA review team for DoD 5015.2. I served as the only archivist on the international committee that developed the OAIS reference model. I served as the co-chair of the RLG-NARA taskforce that developed Trusted Repositories Audit and Certification (TRAC). I devoted almost one-third of my career, in various intense time frames, to legal support relating to lawsuits (FBI appraisal, Iran-Contra, PROFS, and GRS 20). I also served as the unit head for preservation processing for one year and as the archival liaison to Lockheed Martin for the ERA project.

Thus I come to my current position with a strong background in electronic records processing and standards. I continue working with international experts working to turn TRAC into an ISO standard. My past positions also put me in a position to explain archival theory and practice to diverse audiences and have utilized the scholarly journals of other professions and satellite broadcasts to help other professions understand archives.

My current research interests continues to be advancing electronic records standards.

**Fiorella Foscarini**

Before joining the Faculty of Information at the University of Toronto, I worked for almost ten years as Senior Archivist for the European Central Bank in Frankfurt am Main (Germany), where I was primarily responsible for the development of records management and archival policies and procedures. Previously (from 1995 to 2000), I was the Head of the Records Management Office and Intermediate Archives at the Province of Bologna (Italy).

I obtained my PhD in Library, Archival and Information Studies from the University of British Columbia in June 2009. I also hold a degree in Arts and Philosophy from the University of Bologna, a postgraduate degree in Archival Science, Palaeography and Diplomatics from the State Archives School in Bologna, and a Master's degree in Design and Management of Advanced Records Systems from the University of Urbino.

In my doctoral dissertation – which is entitled "Function-Based Records Classification Systems: An Exploratory Study of Records Management Practices in Central Banks" and was conducted with the supervision of Dr. Luciana Duranti—I investigated the purpose of records classification, the meaning of the term function, and the methodology for conducting business analysis as adopted by the records managers and archivists of the organizations examined.

Since 2004, I have been conducting research for the InterPARES Project, to which I have in particular contributed in the areas of archival policy and legislation. Other research areas in which I have recently published are digital signature technologies and the functional approach to records appraisal. In 2007, I contributed to the review of the European Commission's Model Requirements for the Management of Electronic Records (now MoReq2).

One of the components of my teaching philosophy refers to a continuous effort to go beyond traditional disciplinary boundaries with the aim of obtaining new insights and inspirations. I believe that this attitude is especially important when it comes to forming new generations of professionals who will necessarily be confronted with an information society that will increasingly be less segmented. In particular, I believe that by exploring diverse approaches to the study of organizations, including their functions, cultures and behaviors, one can enrich the understanding of the recordkeeping function in different contexts.

At the same time, however, the act of crossing those disciplinary boundaries must be based on a deep understanding of the foundations of the archival science (of which records management is part). Only after having acquired a sound knowledge of records-related principles and methods, including any relevant controversial issue, students would be able to compare multiple perspectives, make insightful

connections, and use methodologies coming from other disciplines in order to investigate their own.

My research agenda is interdisciplinary and presupposes the involvement of sociology, organizational theory, social psychology, communication theory, organizational behavior, and other human activity systems-related studies. I am convinced that a better understanding of today's complex organizations and work systems will help improve the theories, methodologies, and practices that, in a digital environment more than in a traditional one, heavily rely on a function-based approach to records creation, classification, appraisal, arrangement, description, and access.

Furthermore, research in this area might shed light on contemporary diplomatics, which is another area that needs to be investigated in depth and possible with the assistance of new conceptual tools, such as those derived from genre studies.

#### **Eun G. Park**

Eun Park is Associate Professor in the School of Information Studies at McGill University, Montreal, Quebec, Canada. She holds a Ph.D. from the University of California at Los Angeles, an MLS from the University of Illinois at Urbana-Champaign, and an MBA from the University of Pittsburgh. Her research interests include digital archives, digital preservation, metadata, authenticity and authentication, electronic records management, and social aspects of information technology. She teaches courses on metadata, electronic records systems, digital preservation, and records management at the graduate level. In her Ph.D. dissertation, she explored constructs of authenticity as they are understood by universities and recordkeeping communities in different national, cultural, juridical, and organizational contexts to understand variables impact requirements for permanently preserving authentic records in electronic student records systems. Her Ph.D. dissertation was awarded with a Doctoral Dissertation Fellowship from the University of California Office of the President and the Eugene Garfield Doctoral Dissertation Fellowship from Beta Phi Mu (the International Library and Information Studies Honor Society). In 2001, she won the Oliver Wendell Holmes Award from the Society of American Archivists. In 2003, she became an assistant professor at the School of Information Studies at McGill University. Since then, she has been awarded major grants from the Social Science and Humanities Research Council (SSHRC) and Fonds de recherche sur la société et la culture (FQRSC). She is leading two research teams regarding building digital archives of photos and films on the contexts of AIDS and HIV, sponsored from SSHRC Standard Grant and International Opportunity Fund. She is a member of the International Visual Methodology for Social Change Project, and the Paulo and Nita Freire Project for Critical Pedagogy. She has been working for the InterPARES (International Research on Permanent Authentic Records in Electronic Systems) Projects since 1999 and, currently, she is a member of InterPARES III Project Team Korea.

#### **Proscovia Svård**

Proscovia Svård commenced in May 2009 as a PhD candidate at the Department of Information Technology and Media, Mid Sweden University in Harnosand, Sweden. She is working under the auspices of the Center for Digital Information Management (CEDIF) at [www.cedif.org](http://www.cedif.org). The Centre for Digital Information Management is a three year research and development programme funded by the EU and is managed by the Mid Sweden University in cooperation with county board of Vasternorrland and the municipalities of Sundsvall and Harnosand. The project aims at development models for effective and long-term information management within mainly public organizations but also within private organizations. She has worked as an Archivist, Research administration for the Program on Post-Conflict Transition, the State and Civil Society and Project Co-ordinator for a Nordic Documentation Project on the Liberation Struggles of Southern Africa [www.liberationafrica.se](http://www.liberationafrica.se) at the Nordic Africa Institute, Uppsala, Sweden. She has a BA and MA in Archives and Information Science and a BSc in Media and Information Science. Her research interests are; Business Process Management, Enterprise Content Management, Enterprise Architecture, electronic information management, long-term preservation of information, Truth and Reconciliation Commissions and their documentation processes, the role of archives in enhancing accountability and transparency in government institutions, information access and the link to democracy and development, long-term preservation of electronic information and its management.

#### **Maria Kallberg**

Maria Kallberg commenced as a PhD student in May 2009 at the Department for Information Technology and Media, Mid Sweden University researching in the Centre for Digital Information Management (CEDIF). She has a Bachelor of Arts in Archival and Information Science and has extensive professional experience as an archivist in both business and public archives in Sweden. Her most recent position was as the archivist for the Härosand municipality. She has also taught Archival and Information Science at Mid Sweden University. Her research interest is in implementing organization-wide records systems and the professional development of archivists. Her research objectives are to develop new knowledge that can guide the archival profession to improve their professional development to meet new challenges regarding organizational changes and the paradigm shift from traditional recordkeeping to digital recordkeeping.



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