



Management of Corporate Electronic Records

LEADERSHIP and ORGANISATIONAL DEVELOPMENT PROGRAM



THE MANAGEMENT OF CORPORATE ELECTRONIC RECORDS

a project of the Leadership and Organisational Development
Program

Tradewinds Hotel

7 December 2001



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“A project to practice and learn teamwork whilst producing a worthwhile solution to the problem of managing corporate electronic records within the Department of Conservation and Land management.” eRecords Team



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Team Members.

Peter Murray

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Departmental Sponsors.

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Goal 1 - What is a corporate electronic “record”?

Goal 2 - Current status of eRecords in the Department

Goal 3 - Identify the problem between current and required Record Keeping System

Goal 4 - Recommend a Record Keeping Process for the Department

Goal 5 - Make Recommendations for a plan to transition from current paper based system to an integrated paper and eRecord system

STRATEGIES



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Goal 1 - What is a corporate electronic “record”?

DEFINE A ELECTRONIC CORPORATE RECORD

INTENDED OUTCOMES

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Goal 1 - What is a corporate electronic “record”?

LITERATURE REVIEW

STRATEGIES



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Goal 1 - What is a corporate electronic “record”?

DEFINITION OF ELECTRONIC CORPORATE RECORD

“All records recorded or received by an officer in the course of their duties are public records.”

ACTUAL OUTCOMES



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Goal 2 - Current status of eRecords in the Department

**INVESTIGATE HOW ELECTRONIC RECORDS ARE CURRENTLY
BEING MANAGED IN THIS DEPARTMENT**

INTENDED OUTCOMES

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Goal 2 - Current status of eRecords in the Department

**INTERVIEWED ISS AND OTHER INDUSTRY PLAYERS
SURVEY TO DETERMINE CURRENT STATUS**

STRATEGIES



Goal 2 - Current status of eRecords in the Department

- Many different forms of electronic record exist.
(A full and complete inventory of these is required)
- InfoRMS being introduced across the whole department.
- Current management of e-mail is hard copy and file
- The protocols exist and are published on CALMweb.
- The degree to which these are being used is not known

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Goal 3 - Identify the problem between current and required Record Keeping System

GAP ANALYSIS -

COMPARE:

HOW ERECORDS ARE MANAGED NOW

TO:

HOW THE ACT REQUIRES THE DEPARTMENT TO MANAGE RECORDS.

INTENDED OUTCOMES

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Goal 3 - Identify the problem between current and required Record Keeping System

SURVEY RESULTS

REVIEWED CASE STUDIES (MANY EXIST)

STRATEGIES



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Goal 3 - Identify the problem between current and required Record Keeping System

ASK FEMINA

- Requirement to create a Corporate Record Keeping System incorporating eRecords.
- Ensuring record management protocols are followed.
- Procurement of robust software to fit the department's needs.

ACTUAL OUTCOMES

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Goal 3 - Recommend a Record Keeping Process for the Department

DEVELOP BUSINESS RULES

Goal 4 - Recommend a Record Keeping Process for the Department

INTENDED OUTCOMES

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Goal 4 - Recommend a Record Keeping Process for the Department

INTERVIEW ISS AND OTHER INDUSTRY PLAYERS

LITERATURE REVIEW

CASE STUDIES

STRATEGIES



Goal 4 - Recommend a Record Keeping Process for the Department

ASK FEMINA AND KARINA

The development of business rules and protocols for ERM needs to include the following:

- Recognition of the structure of the organisation and the way we operate (workgroups, Regionalisation, specialists and the wide variety of types of records).
- Clear guidelines for, and sound training and supervision of staff (a simple process that will encourage correct use by all staff)
- Managing different versions of documents, authentication, continuity, attachments and relationship to paper (or other media).
- Workflow, high volume files, security.

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Goal 5 - A plan for transition from current paper based system to an integrated paper and eRecord system

COMPILE RECOMMENDATIONS FOR A TRANSITION PLAN FROM CURRENT PAPER-RECORD MANAGEMENT TO INTEGRATED PAPER AND ELECTRONIC RECORD MANAGEMENT.

INTENDED OUTCOMES

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Goal 5 - A plan for transition from current paper based system to an integrated paper and eRecord system

- Interview ISS and other industry players
- Literature review
- Case studies

STRATEGIES

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Goal 5 - A plan for transition from current paper based system to an integrated paper and eRecord system

ASK FEMINA AND KARINA

- Use the recommendations of the existing comprehensive studies. Reinforce adherence to the existing rules through managers to individuals.
- Intensely scrutinise and where possible trial software to ensure that any purchase will meet the department's needs and predicted needs.
- Incorporate a thorough training plan including provisions for general IT skills.

ACTUAL OUTCOMES

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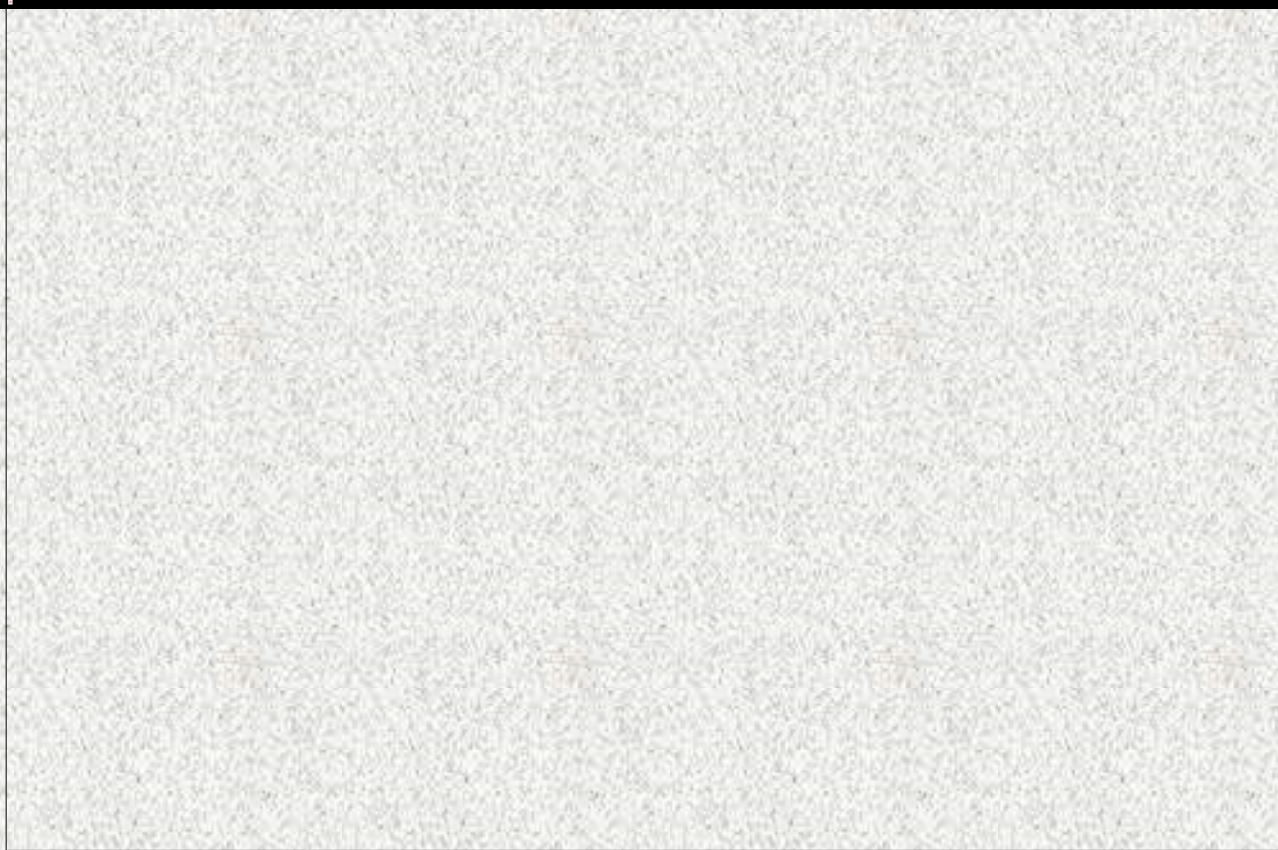
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- Informing and training staff and managers at all levels.
- Encourage local management to support the continued roll out of infoRMS and the use of the standardised CALM key word classification thesaurus.
- Review, design, approve and distribute business rules for management of eRecords.
- Procure software that suits the needs of the department.
- Phase in any changes to gain and maintain staff acceptance and use.
- Incorporate record management into staff inductions.

RECOMMENDATIONS

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REVIEW - Project Management Processes

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Team Intentions (as set during residential phase):

Egalitarian approach (decisions by consensus)

Clear definition of the project goals

Agreed strategies and objectives for each goal

Agreed sharing/delegation of responsibilities

Time management using a Gantt chart

Appointment of a project coordinator

Communication via e-mail, phone and meetings

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What actually happened.

Egalitarian approach (decisions by consensus)	√	√	√		
Clear definition of the project goals	√	√	√	√	√
Agreed strategies and objectives for each goal	√	√	√		
Agreed sharing/delegation of responsibilities	√	√	√		
Time management using a Gantt chart	√				
Appointment of a project coordinator	√	√	√		
Communication via e-mail, phone and meetings	√	√	√		

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Really

What ~~actually~~ happened.

Egalitarian approach (decisions by consensus)

√ √ √

Clear definition of the project goals

√ √ √ √ √

Agreed strategies and objectives for each goal

√ √ √

Agreed sharing/delegation of responsibilities

√ √ √

~~Time management using a Gantt chart~~

~~√~~

Appointment of a project coordinator

√ √ √

Communication via e-mail, phone and ~~meetings~~

√ √ √

A web page was setup for everyone to keep in touch

√



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A project to practice and learn teamwork whilst producing a worthwhile solution to the problem of Managing Corporate Electronic Records within the Department of Conservation and Land Management.

TEAM

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INTRODUCTION

The Department employs a records management system known as **InfoRMS**, this system is used primarily for only one type of record, *correspondence* and only one format *paper*. The new State records act has a definition of Government records that clearly includes electronic records. This means that electronic records that are produced or recieved by an officer of this Department must be managed according to a **Record Keeping Plan**.

Most officers in the department have access to computers in their normal work and are creating, sending and recieving all types of electronic documents such as email, spreadsheets, word processing documents, GIS data, other databases, images, diaries etc. These electronic documents currently exist in numerous systems throughout the Department, but there is no corporate **Record Keeping Plan** that comprehensively manages all these electronic documents.

[GOALS](#) - [PROGRESS](#) - [LIST OF READINGS](#) - [CONTACTS](#) - [EMAIL ARCHIVE](#) - [NOTICES](#)

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And then what happened...

Web site organised for everyone to keep in touch ✓

Gantt chart use initially and progress reports issued ✓

Project then slowed down due to other pressing workloads

Panic stations near the deadline pulled us together

~~Work occurred in discrete bursts rather than in the systematic manner described in the Gantt chart.~~

and we finally made real progress !!

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- DISTANCE
- TOPIC
- WORK OBLIGATIONS
- PERSONAL COMMITMENTS
- LEADERSHIP
- SCOPE
- VOLUME OF WORK WAS NOT APPRECIATED FROM OUTSET

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- COMMUNICATION. E-mails were often not responded to for some time and it was hard to follow them up.
- TIME MANAGEMENT AND OTHER COMMITMENTS. Pressing demands from the day job routinely confounded commitments to the team - despite best efforts.
- LEADERSHIP. Leadership by appointment might have worked better than leadership by situation (people rising to the occasion)
- LOYALTY AND COMMITMENT. Despite these the team repeatedly gave each other support, praise and showed periods of very effective synergies.

REVIEW - TEAM DYNAMICS AND ISSUES



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- WORKING TOGETHER AS A GROUP IN THE SAME ROOM IS FAR FAR BETTER THAN WORKING AT DISTANCE
- PLANNING.
- KNOWING THE TEAM..
- OPEN TO OTHERS OF POINT VIEWS.
- COMMON UNDERSTANDING OF PROJECT CONTENT.
- AWARENESS OF STAGES OF GROUP DEVELOPMENT AND CHANGES.
- LEARNT ABOUT PERSONAL LIMITS.

REFLECTIONS UPON LESSONS LEARNT



CONCLUSION

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QUESTIONS ?

Summary and conclusions

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MANAGEMENT OF CORPORATE ELECTRONIC RECORDS

was brought to you today by

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Thank you