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Professionals Australasia

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RIM PROFESSIONALS AUSTRALASIA WEBSITE
http://www.rimpa.com.au

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Kate Walker, Chief Executive Officer, RIM Professionals Australasia

What we believe about the value of YOUR professional association

RIMPA exists to help members value and promote their profession as well as nurture their individual careers. RIMPA provides organising structures that support the creation and distribution of knowledge, the sharing of best practices, a framework for solving problems and obtaining advice, and a forum to debate what being a professional means.

We *believe that* RIMPA is essential for the vitality of the records and information management profession.

RIMPA offers key services that support professional development, professional practices, knowledge generation, and research.

Outcomes from these services include:

- Promoting quality education and excellence in the profession
- Fostering educational leadership and direction
- Encouraging career development and professional growth
- Developing and maintaining an ongoing relationship with businesses and other stakeholders
- Nurturing partnerships
- Promoting a spirit of fellowship
- Recognising professional members, business partners, and student members for outstanding contributions
- Advocacy
- Standard setting
- Policy setting
- Position of records and information management as a profession

These outcomes are valuable to members, employers, the profession, businesses and community partners.

VALUE TO MEMBERS

RIMPA **is** its members! Active participation by members is mutually beneficial to RIMPA and its members. The vitality of RIMPA is perpetuated by the contributions of the members, and members benefit through the various activities and services.

Through RIMPA publications, members share ideas, cutting-edge information, practices and research.

Publications include journals, magazines, newsletters, white papers and electronic publications. These forums provide individuals an opportunity to share best practices and/or explain how trends in the larger community impact the profession. Practical, interesting, and relevant to the practitioner, these publications help define the purpose and direction of the profession. Members are often the authors of the publications as well as avid readers. *Thus, we believe that* quality publications support dynamic communities of practice.

RIMPA members also have the opportunity to obtain and share best practices and the results of research through networking, presentations, communities of practice, publications and other means of communication (websites, discussion boards, e-mail, chat rooms, listservs). RIMPA provides opportunities for leadership development, industry certification, job searches, on-line experiences, and professional growth and development through conferences and other company activities. Opportunities to participate give members a venue for sustaining camaraderie. Members benefit by developing friendships, sharing ideas that foster a higher quality records and information management environment, and discussing problems and ways to solve them. *Thus, we believe that* members should take an active role by participating in company activities.

Members benefit by developing friendships, sharing ideas that foster a higher quality of records and information management environment, and discussing problems and ways to solve them

RIMPA encourages members to participate in research activities as researchers and/or as participants. RIMPA provides financial resources and professional support for research. *Thus, we believe that* members will strengthen the profession by participating in research, as well as by conducting and applying research to enhance their programs.

VALUE TO THE PROFESSION

RIMPA provides leadership, direction, and a united voice for the records and information management profession. The vitality and credibility of the profession is sustained through association activities, programs, and research.

Marketing strategies are a key component in sustaining RIMPA. RIMPA markets the profession, all stakeholders benefit. The values and goals of the profession are reflected in the marketing strategies of RIMPA.

For the profession to prosper, RIMPA must provide a forum for the exchange of ideas to provide direction for the profession. These forums may include conferences, seminars, and training sessions.

Members meet face-to-face to exchange ideas, interact, develop relationships, and strengthen professional networks.

A knowledge base is the foundation of the profession. RIMPA expands the knowledge base through continued research. *Thus, we believe that* research is vital to the health and growth of the profession. Research improves teaching practices, administration of programs, and curriculum development.

A unified voice for the profession is available through RIMPA. This voice advocates for the profession on behalf of members at the local, state, national and international levels on issues such as legislative initiatives and mandates. *Thus, we believe that* RIMPA must provide leadership, direction, and a unified voice for the profession.

VALUE TO EMPLOYERS

Employers of records and information management professionals benefit from services provided by RIMPA when their employees actively participate. Active participation in professional development opportunities facilitates the development of highly qualified records and information management professionals. Through

members' professional involvement, employers have access to standardised curriculum, assessment tools, industry standards, funds for research, outlets for publication, and employer recognition. *Thus, we believe that* employers should encourage their records and information management professionals to maintain an active role in RIMPA.

VALUE TO STUDENTS, BUSINESSES AND COMMUNITY PARTNERS

Students directly benefit from professionals who are actively involved in RIMPA. Businesses and communities ultimately benefit when highly trained students assume their roles as productive citizens and employees. Businesses with access to a well-developed workforce are more competitive in the global marketplace. RIMPA assist records and information management in responding to environmental trends. *Thus, we believe that* students, businesses and communities profit when they actively participate in RIMPA.

We believe that members of the profession, employers of professionals, businesses and communities, as well as other stakeholders, are the beneficiaries of RIMPA. RIMPA must creatively focus on the future to continuously provide value to all stakeholders. As RIMPA grows and expands, we must continuously respond to changing demographics and societal changes through needs assessments and strategic planning. Students, businesses and communities are the ultimate beneficiaries of RIMPA. *Thus, we believe that* RIMPA is essential to the life of the records and information management professional.

We encourage all members to become active in your professional association and to expand the membership through demonstrating the value of membership.

FOR MORE INFORMATION

You can help the Association and your colleagues by introducing new people to the benefits of RIMPA membership – in fact, you would be doing your colleagues a service by encouraging them to join.

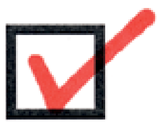
If you would like some information you can provide to non-members to encourage them to become part of THE professional association for records and information management, please do not hesitate to contact me at kate.walker@rimpa.com.au

Kate Walker
Chief Executive Officer

What RIMPA has done in the past 12 months

- Responded to an average of 40 media items per week
- Provided over 26 submissions relating to records and information management reviews / policy documents
- Developed four new special interest groups (SIGs)
- Participated in the development of Standards
- Run 61 professional development seminars, workshops and networking events
- Provided 16 webinars (including three available free to members and nine streamed live)

- Provided a free webinar viewing to every member
- Increased our online resource library with 147 new items
- Distributed a new technology poster and a new competencies poster free to every member
- Provided a free searchable product and services database 'Marketplace'
- Posted an average four media articles of interest on Facebook per day
- Recognised 17 individuals and groups for their contributions to the RIM industry through branch and company awards
- Produced and distributed four editions of *iQ: The RIM Professionals Australasia Quarterly* magazine in both hard copy and electronic format to every member plus subscribers
- Produced and distributed six copies of *Around the RIM Newsletter* to every member
- Advertised RIM as a career in every secondary school in Australia and distributed 123 career kits to school career counsellors
- Run a very successful inForum conference at the MCG
- Promoted Information Awareness Month and provided selected members with free giveaways to promote RIM within their organisations
- Provided greater and timely member communication on key issues
- Administered the free RIM Listserv
- Conducted a Salary & Benefits Survey and made the results available to the public



WORLDWIDE NEWS

NZ Chief Archivist blasts Govt recordkeeping

Marilyn Little.

The New Zealand Chief Archivist, Marilyn Little, has blasted the country's public sector over "disappointing… low levels of recordkeeping maturity" and warns that her department will be "critically examining its regulatory role".

The rark-up came in the last of a series of annual reports from five years of information management audits on 'State of Government Recordkeeping'[1] by Archives New Zealand under the authority of the *Public Records Act 2005*.

The 'strong wording' was welcomed by RIMPA New Zealand Director, Gerard Rooijakkers, ARIM, who called it "the clearest message yet that public organisations are required to up their game when it comes to their statutory recordkeeping responsibilities". He called for "similar maturity assessment to assist with improving the overall recordkeeping with local (government) authorities".

In the Archives NZ report, presented to the Wellington Parliament on its last day of business for the year, 16 days before Christmas, Ms Little complained: "The standard of recordkeeping maturity achieved by public offices since the (Public Records) Act came into force is not at the level that the Chief Archivist would expect." She went on:

"Barely half of the public offices audited in 2014-15 have recordkeeping maturity at or above the level of a managed approach to records management."

Better regulatory stewardship

The report marks the end of the first five-year program of monitoring, begun in 2010, in New Zealand's 201 public service departments, agencies, state-owned enterprises and entities. Ms Little spells out the way forward:

"The conclusion of the first audit program is an opportune time for Archives New Zealand to consider its role as the government recordkeeping regulator. During 2015-16, Archives will be critically examining its regulatory role to ensure that the outcomes sought for the public recordkeeping system are clear and attainable and continue to support the purposes of the Act.

"This will take place in the context of the Government's strong emphasis on the effective use of information and on better regulatory stewardship. This context reinforces the foundational importance of good recordkeeping."

The 2014-15 audits were carried out over 33 agencies ranging in size from Archives New Zealand's own governing ministry, the Department of Internal Affairs and the vast Ministry of Justice to the country-wide tertiary institution, Tai Poutini Polytechnic, Television New Zealand and the NZ Security Intelligence Service.

The "challenges"

The report highlights a variety of "challenges" including:

- "standard records management and archival disciplines are a valuable foundation but are not sufficient"
- "alleged failure to create full and accurate records"
- "the finding that more than half of the public offices audited did not have regular monitoring or reporting on policies, procedures and processes".

Of the 33 offices audited, three had "low recordkeeping capability", the report said, commenting sternly: "Each of the three public offices was requested to advise Archives of how they intended to address these recommendations and implement improvements." The faulty agencies are not identified.

Ms Little disclosed that Archives was evaluating the auditing program to assess its value to public offices before starting the next five-year cycle of audits. She concluded: "Archives New Zealand is also examining its wider role as a regulator so that good records provide a foundation for government accountability and the public can have confidence in the integrity of government records."

Less paper, not paperless, to streamline business

When you hear the term 'paperless', most people think it means that paper is completely removed. That's neither accurate nor possible. What going paperless really means is that you pinpoint the areas of your business that are paper-heavy, manually driven and time-consuming and then streamline those areas to improve efficiency.

This is the principle behind the 'business streamlining' solution identified by California Silicon Valley conglomerate ECM leader, Les Walker, in a recent edition of Australasia's on-line magazine, *IDM*. In his feature, '7 Benefits of a Paperless (aka ECM) Solution'[2], he proposes to company management:

"Streamlining will involve some type of enterprise content management (ECM) solution that utilises workflow and automation to replace those processes that are slowing you down and costing you too much time and money."

Mr Walker, President, Enterprise Content Management at Konica Minolta Business Solutions in Orange County, CA, lists his seven benefits as return on investment ("huge and fast"), labour savings (paper's time-consuming), printing costs ($500 a person, p.a.), storage costs (paper = space), lost documents (>5% docs lost daily), improved security ("whole new level") and improved customer service ("the most important").

He sums up: "Going paperless isn't scary and doesn't have to be overwhelming. If anything, it will make your employees' lives easier and will help your bottom line."

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1 'Report: State of Government Recordkeeping and Public Records Act 2005 Audits 2014-15', Archives New Zealand, Wellington, NZ, Dec 9, 2015, http://archives.govt.nz/chief-archivists-annual-report-state-government-recordkeeping-2014-15

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10 years to save Australian mag-tape history

Australia's National Film and Sound Archive (NFSA) has warned of terminal threats to the nation's audio and visual magnetic tape collection. In a discussion paper 'Deadline 2025: Collections at Risk'[3], it warns that the national cultural collection's thousands of hours of audiovisual content risks being lost forever unless it is digitised by the year 2025.

- **The size:** Approximately 45,000 hours of video and 42,000 hours of sound in the NFSA collection awaiting digitisation from analogue and obsolete tape and discs.
- **The outlook:** At current rates of investment, only about 30% could be digitised in time to beat the 2025 deadline.
- **The cost:** Extra funding to raise digitisation capacity to meet 'Deadline 2025' estimated at AU$10 million.

In a media release, the film and sound archive CEO, Michael Loebenstein, said: "All tape-based formats created in the 20th century are now obsolete. Tape that is not digitised by 2025, we risk losing forever."

International consensus

"Australia needs a National Framework for Digitisation of Audiovisual Collections – a collaborative approach by government and cultural institutions, in order to mass-digitise and save our heritage before the 2025 deadline."

The 'Deadline' paper reveals a consensus among audio-visual archives internationally that "we will not be able to support large-scale digitisation of magnetic media in the very near future". It explains that magnetic tape technology had more than 40 professional formats across video and audio. Content risked loss through deterioration as well as technical obsolescence.

Losing this content to technological obsolescence from our national collections would be a calamity, CEO Loebenstein explained, adding:

"This is a preventable loss. If we act swiftly today, we will all enjoy the advantages that digitisation of our collections can bring to Australia."


Australian National Film and Sound Archive CEO, Michael Loebenstein.

Austrian-born Mr Loebenstein has been CEO of the NFSA since 2011. He was formerly Curator for Special Programs at the Austrian Film Museum. He is in a second term as Secretary General of FIAF, the International Federation of Film Archives.

New order in Australia's Federal Court

The Federal Court of Australia is moving beyond law reports with its electronic document management processes. The court's information management unit has begun extending the successful, award-winning federal digital court filing system, the first in the country, to administrative records in its principal and eight state registries.

Federal Court Records Manager, Lyn Nasir, told *iQ*: "The court is committed to the recently released Digital Continuity 2020 policy, building on the Digital Transition Policy. We are transiting our central and state registries towards efficient digital information governance and management."

Training was proceeding at speed, she said. The new administration system allows courts to save documents, especially emails, directly to case files.

"Previously emails were only kept for 30 days before being archived in a vault system, which made retrieval very time consuming" said Lyn Nasir. "Now we can access all emails directly."

Lyn also sees benefit in use of one repository for all court administrative records and files, rather than having information duplicated in various places. She recognises that once staff was confident that stored documents could be easily found and retrieved, there would no longer be a need to keep duplicates.


Federal Court of Australia Records Manager Lyn Nasir.

The court has been using RecFind since 1993 to transition from paper-based files to a fully digital environment. It has been acknowledged as a global leader in the practice of managing electronic court documents and has won a number of awards in recognition. Documents for retention are now saved in digital format only. From the beginning of this year (2016) paper files were no longer the Court's accepted format.

Academic makes IM call to unite

A top UCLA information studies academic has called for IM professionals to "unite to make clear their role in society to society, so that our value becomes clear to all."

Dr Marcia J Bates, PhD, Professor Emerita at the Los Angeles university's Department of Information Studies, writing in on-line *Information Research*[4], proposed: "We are taking part in an extraordinary sea change in how information science, libraries, archives, and all the information-related disciplines are viewed."

Dr Bates is a fellow of the American Association for the Advancement of Science and was editor in chief of the massive, $4,000 third edition of the *Encyclopedia of Library and Information Sciences*[5].

In her paper entitled *The information professions: knowledge, memory, heritage*, she wrote: "Each week, it seems, we learn of a new information-related field:

- Knowledge management: is that the same as information management?
- Bioinformatics – *not* the same as biomedical informatics?
- Digital humanities – or was that humanities informatics?
- And so on and so on."

Creative ferment, too

"There is a lot of uncertainty and confusion now… as well as a lot of creative ferment... going into the creation of new information professions."

The profession needed to formulate a conception that made sense out of the ferment, that rationalised and clarified where existing information professions played roles in the new landscape, she wrote, adding:

"It is important to be proactive lest others, with far less understanding of information organisation, set an agenda for these professions founded on ignorance of the actual requirements."

Dr Marcia J Bates.

Professor Bates insisted that it would be to the advantage of all information professionals to recognise their commonalities, while respecting their differences, in order to instruct society about the "fundamentally important" purposes they served in human society.

She declared: "It is time that all the information professions unite to make clear their role in society to the larger society, so that our value becomes clear to all."

Harvard Law Library chops its trove for the world

In a digital-age sacrifice unthinkable in past decades, the near 200-year-old Harvard Law School Library is slicing the spines from its 40,000 federal and state law books and scanning their 40 million pages for a complete on-line, searchable database of American case law.

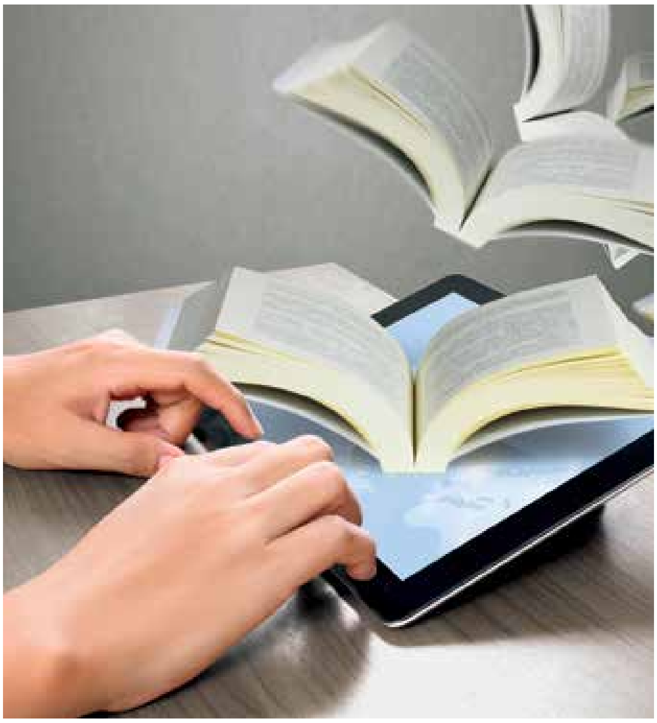
The *New York Times* reported the library's 'Free the Law' project under the approving headline: "Harvard Law Library readies trove of decisions for digital age". It reported the dean of the Law School, Professor Martha L Minow saying: "Improving access to justice is a priority. We feel an obligation and an opportunity here to open up our resources to the public."

The school's law book collection is excelled only by the Library of the US Congress. Scanning of the California and New York state books was completed before the end of last year. Managers expect the entire library to be on line by the middle of next year, the *Times* said. Access to the database will be free.

The work is being undertaken for the Harvard school by a Californian start-up company, Ravel Law, and will be available on line at www.ravellaw.com. Daniel Lewis, co-founder of Ravel Law and its chief executive officer, reported that the company hoped to make money by offering, for a fee, more advanced analytical tools it is developing, like allowing a lawyer to see how particular judges had responded to certain kinds of motions in the past.

The *Times* report quotes Jonathan L Zittrain, a Harvard Law professor and director of the law library, saying: "You can imagine the way your heart skips a small beat when you put a book under a chopper like that".

After the volumes are scanned, workers re-attach the spine to the pages, encase the book in shrink-wrap and "put it back in the depository for the apocalypse," he said.



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NSW getting 'legislative teeth' for Data Analytics Centre

The Hon. Victor Michael Dominello, MP.

New South Wales' young Adonis Innovation Minister, Victor Dominello, is getting the 'legislative teeth' he wants for his pet project, the state's Data Analytics Centre. Legislation before parliament will give the power to force state government agencies to hand over data.

Under the bill, the minister will be able to order an agency to provide information to the DAC within 14 days of receiving written direction, in circumstances where "the premier has advised the minister that the data is required for the purpose of advancing a government policy".

Australian publishing group Nextmedia's *IT News* journal reported[6] late last year that Mr Dominello would be able to request details of the kinds of data each agency held in order to decide what was available to the agency when it wanted to inform a government policy. NSW universities are excluded from this provision.

IT News reported: "In the case of state-owned corporations, which are generally given more freedom to operate at an arm's length from government, the premier would need to give his approval and the relevant portfolio minister consulted before the data can be requested.

"The secretary of the Department of Finance, Services and Innovation would have the power to report any cases of agency non-compliance to the premier, and to publicise any failure to comply in an agency's annual report."

Mr Dominello had, earlier in the year, foreshadowed the new powers to allow the new agency to "realise the government's ambition of building an effective inter-agency information brokerage". He said he wanted to take a "carrot and a stick" approach that would "ensure the heads of government agencies get with the program".

UNESCO gives Hillary Archive 'world treasure' status

Sir Edmund Hillary's archive of personal photographs, diaries and letters has been added to UNESCO's list of the world's most treasured documents.

The Hillary Archive, now in the care of the Auckland War Memorial Museum, has been inscribed on to the UNESCO Memory of the World International Register – a list identifying 'documentary heritage of universal value'.

Sir Edmund Hillary bequeathed the archive to the museum. Spanning the second half of the 20th century through to the early 21st century, the collection records Sir Edmund's ascent of Mount Everest in 1953, as well as his adventures and humanitarian work in Nepal.

His daughter, Sarah, told the Auckland daily newspaper, the *New Zealand Herald*, that the Hillary family was "absolutely delighted" that the piles of papers and photos that were once in "complete chaos" had been given international recognition.

"Dad would be astounded"

"To think that this collection has been considered so important is a tremendous honour. It means it will always be looked after properly and more people in the world will be able to see it and use it. I think Dad would be astounded by it all," she said.

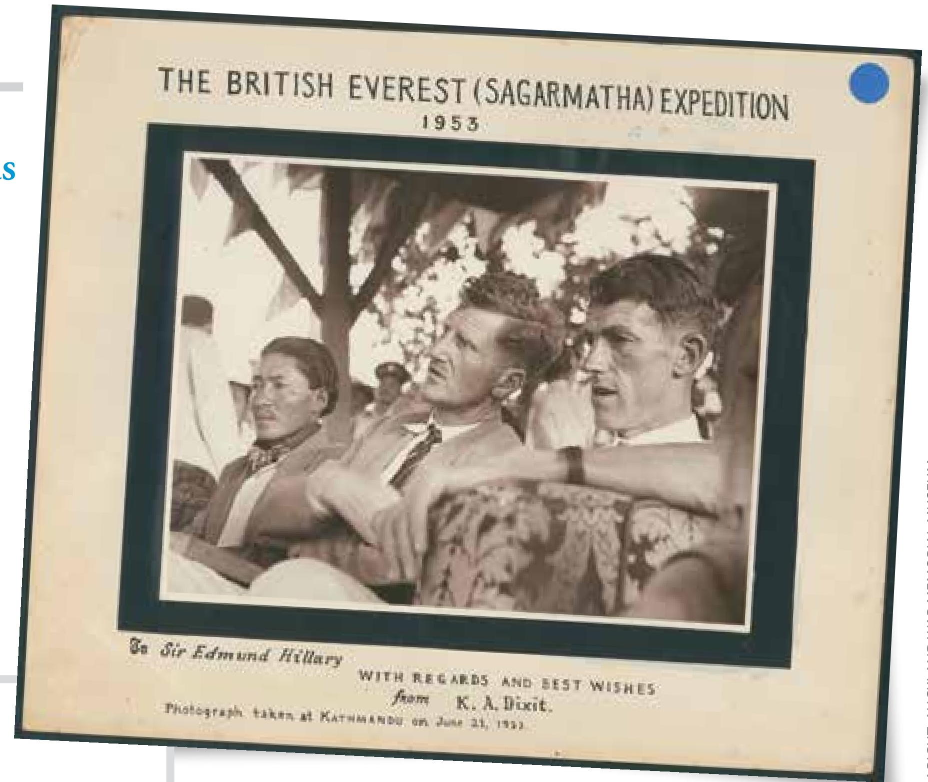
Sarah Hillary's favourite items in the collection are personal photos of her family's adventures together and letters sent between her father and her mother, Lady Louise, who died in a plane crash in 1975. "There was a lot of humour in their letters; my parents were very funny."

Only two other New Zealand items are on the international list – the 1840 Treaty of Waitangi and the 1893 Women's Suffrage Petition.

New NZ inscriptions

Meanwhile, two new treasures have been added to UNESCO'S New Zealand index, the 1835 Declaration of Independence of the United Tribes of New Zealand, *He Whakaputanga o te Rangatiratanga o Nu Tireni*, and the *Pickerill Papers on Plastic Surgery*, the early 20th century records of eminent Otago doctors, Henry Percival (1879-1956) and Cecily Pickerill (1903-1988), NZ pioneers of plastic surgery for facial deformities and WWI wounds.

Memory of the World New Zealand Trust Chairperson, Mrs Dianne Macaskill, said, "These two new inscriptions onto the New Zealand register and the inscription of the Sir Edmund Hillary Archive onto the UNESCO Memory of the World International register make 2015 a significant year for the recognition of the importance of documentary heritage in New Zealand."



Hillary Archive photograph of the triumphant climbers back in Kathmandhu, Nepal, 23 days after the June 1953 climb. Left to right, Sherpa guide Tenzing Norgay, expedition leader, Sir John Hunt, and Sir Edmund Hillary.

BOTTOM RIGHT: AUCKLAND WAR MEMORIAL MUSEUM.

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The RM Song of the Century


Ms Heather Jack.

A clever Scots colleague has come up with a keenly comic *Records Management Song* to sing along to Billy Connolly's seminal 'Welly Boot Song' or, in the Antipodes, the John Clarke (aka Fred Dagg) 'Gumboot Song': same tune, Down Under lyrics.

Heather Jack, Director of the Glasgow RM consultancy HJBS Ltd, composed the ditty after archival sciences Professor Michael Moss likened her to the famous Scots comedian following her 'memorable presentation' to a Caledonian conference. He blogged:

"Heather Jack is one of the very few stand-up records managers who can be guaranteed always to raise a laugh. Without a single note, she talks excitedly about her personal journey from the pastures of the library to the challenge of information management consultancy in both the public and private sectors. Like a female Billy Connolly, she never falters."

Heather jokes: "His comparison to Billy Connolly is an accolade I'm quite proud of, if not entirely deserving." She is a fellow of Britain's Information and Records Management Society (IRMS) and co-director of the society's podcast series, podcasts.irms.org.uk.

Here's the Antipodean version of her song (right), to be practised in the bath perhaps, before inflicting it on the RM family. The original version is not suitable for the "hard of Scots". ❖

CONTACT US ✉ If you have any news stories for *iQ*, please contact editor.iq@rimpa.com.au

THE RECORDS MANAGEMENT SONG

If it wasn't for good records, where would you be?
You'd be in compliance breach with rubbish quality
'Cos you couldn't prove what you had done to audit or IRD
If you didn't keep good records for your business

Records they are wonderful. Oh, records they are swell,
'Cos they protect your clients and your company as well
And when you're sitting in a court, you can always tell,
When a case is lost through lack of trusted records

When you are working mobily and out on client site
And misunderstood security means to files you have no right
You'll question 'smarter working' 'cos it seems a load of (quite!)
'Cos no one planned smart access to the records

There's records managers and SIROs, there's archivists an a',
There's analysts and IT support, all for one and one for all
If we don't work together then yer business will not grow
'Cos business risk is tied up with its records

There's the DPA, FOIA, the PRA an a'
Their spirit's pure dead brilliant, when translated it can soar.
But try a tick-box exercise, no real compliance with the law,
And the harm can come for want of decent records

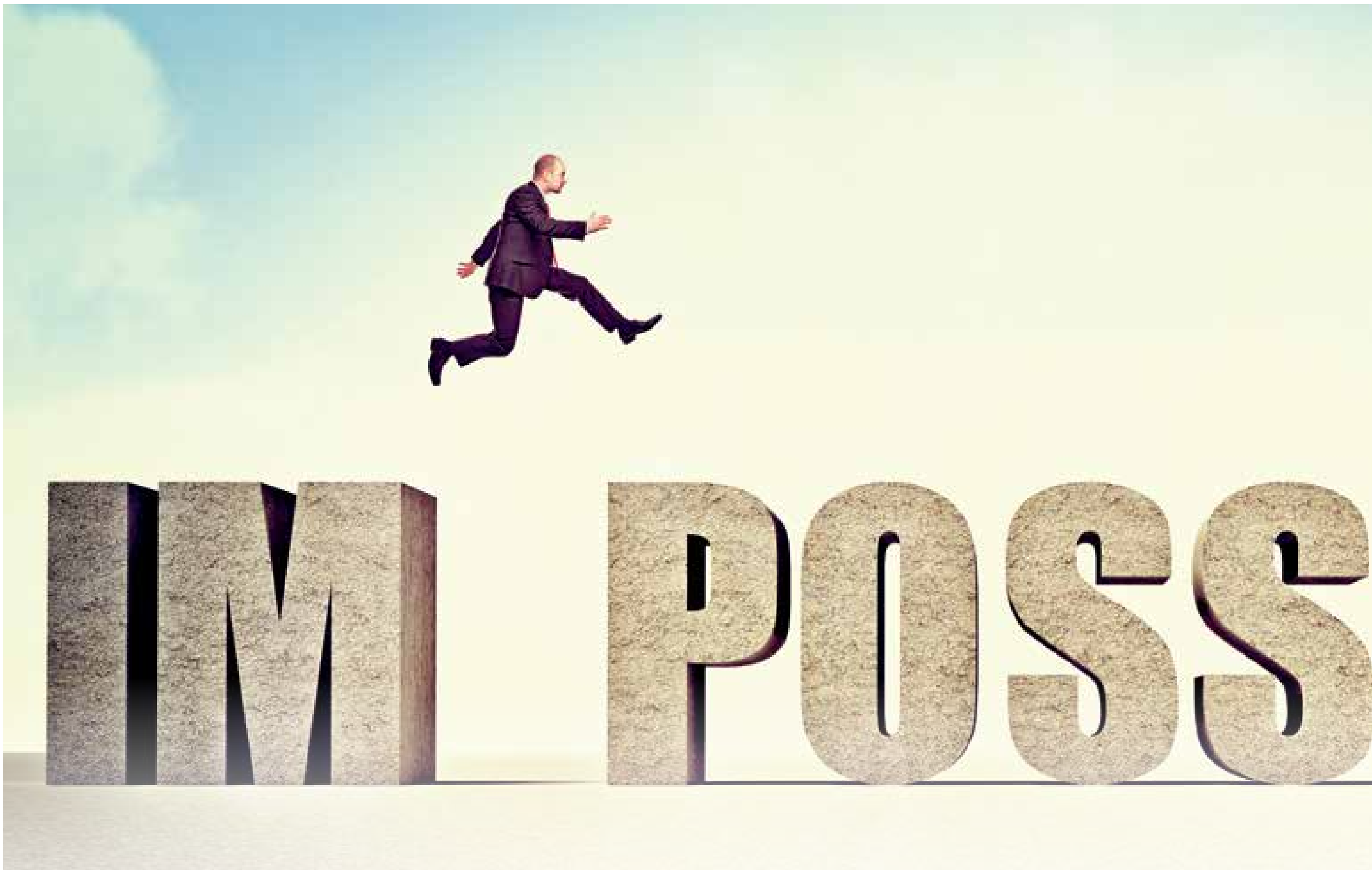
Now, I can file and you can file and he can file and a'
But none can find if we don't have consistent filing lore
People's rights and justice, economy and a'
They all will thrive if we can keep good records.

Hey!

Next issue Privacy and security feature

The May 2016 issue of *iQ* will feature a section on privacy and security. If you have a story to tell on this topic, or any other RIM related topic, we would love to hear from you.

Articles due: Wednesday 30 March



ENERGISE COMPLIANCE WITH CLEAR AND DOABLE REQUIREMENTS

Providing clear requirements and demonstrating that tasks can be readily accomplished are key enablers for success.

By **Craig Grimestad**

Have you ever been in a conversation with someone who is trying to instruct you on what to do, but ends up confusing you with multiple options? Or there is one hour available to do a task and you are given a task that would take many hours of work? *OK, so what do you **really** want me to do?* Do you sometimes feel like screaming: "I can't do what you want, if I don't *know* what you want!" Instructions need to be clear and doable in the time allotted.

In the Information Governance (IG) world, we call these instructions 'requirements', and they are essential to an efficient, well-run program.

Consider breaking down large tasks into smaller pieces or steps, where each step is seen as clearly doable

PUT IT IN YOUR POLICIES AND PROCEDURES

Many companies do not do a good job of establishing clear and doable requirements in their policies and procedures. Terms like 'should' instead of 'shall' pepper the documents. It may seem like a triviality in wording, but it actually makes all the difference in the world. When you ask someone if they are doing what they 'should' be doing, and the answer is **no**, their response might also include their rationale – "Well it didn't say I had to, so I didn't do it", or "Well it didn't say I had to, so I'm doing it a different way that is better for me". Commonly this leads to time-wasting discussions about what was intended, why the

'should' way is the preferred solution, and why the company cannot have every employee choosing to perform this task (and by extension every task) a little differently. Using command language with words like 'shall' and 'must' provides clear requirements and improves operational efficiency by keeping the organisation's energy focused on accomplishing requirements.

ABOUT THE AUTHOR

Craig Grimestad is a senior consultant with Iron Mountain Consulting. His specialty is designing RIM core components with a sub-specialty for RIM auditing. Craig holds a Masters of Science degree in Engineering and was the records manager for the Electro-Motive Division of General Motors where he participated in the development of the GM Corporate RIM program, and implemented and managed Electro-Motive Division's RIM program.

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Companies have also asked their workforce to perform tasks in compliance with IG/RIM policy that they simply cannot do. Sometimes it is simply a lack of knowledge about how to accomplish the task that can be remedied by training. Other times the problem is more problematic, being associated with structure, tools or technology availability – eg, are there 'official repositories' set up for workers to place their records in? – not to mention capacity – eg, are the workers allowed sufficient time to accomplish the task? Whatever the issue or issues, workers are hesitant to move forward in accomplishing a task that they do not perceive as doable. They are not willing to spend their precious time on something that appears to have little or no chance of success and will waste their time.

Actions to provide clear requirements and to show that tasks can be readily accomplished are key enablers for success. If you mean to be specific, be specific. If you mean to allow for options, identify the options. If someone comes up with a better way, change the requirement. Consider breaking down large tasks into smaller pieces or steps, where each step is seen as clearly doable. Compliance is energised when tasks are clear and success is assured. ❖

Changing of the guard

David Moldrich, the long-serving chair of the Australian Standards IT 21 Committee on Records Management, has announced his retirement. And we do mean long-serving – David has served our professional community in this role for 23 years! We take a look back with appreciation.

By **Barbara Reed**

The story is often told of the beginning: that David was working for BHP at the time and one day he was asked, in the context of quality systems, what a quality record was and how to achieve it. The lack of a definitive answer sent David off to Standards Australia, which similarly had no answer. This led to the first IT 21 committee being put together in 1991. It was, and remains, David's particular skill to dr the right people into the network, and six sub-committees were subsequently formed t work on aspects of records practice, which would eventually emerge as AS 4390.

The going wasn't always smooth, as there was considerable meeting of minds that needed to be negotiated as everyone participating fought to write text on aspects of records management as society faced the digital world. Many will remember with groa of agony the introspection of that time over what constituted a record. But the outcom of all that painful introspection emerged in the standard. Processes such as appraisal and classification were thrashed through, and some significant advances in collective understanding were codified. Terminology (everyone's favourite!) had to be negotiated. The views of institutions needed to be balanced by broader professional views. Consensus was worked towards during the following five years.

TAKING AS 4390 INTERNATIONAL

AS 4390, published in 1996, was the world's first records management standard. It was published in six parts and had a big impact locally, as the profession embraced its clear statements. It became an important part of the teaching syllabus for educational organisations. And the proposition that it be immediately adopted internationally again saw David in the frontline of negotiations on how that could be achieved. An informal meeting in London saw the process towards it being adopted internationally commenc under David's guidance. The decision to work towards international consensus rather t immediately adopting the approved text saw the development of an active internationa community of records experts which continues to grow and strengthen.

In 2006, David received the Medal of the Order of Australia for his services to the development of national and international standards in the field of Information Management.

Nowadays, he's moved into new fields. David's Facebook page www.facebook.com/ david.moldrich.1 describes him as "self-employed principal consultant, musician at piano, keyboards and vocal". His page is filled with family, Sri Lankan cooking and mus videos of him as 'JAM Entertainment' piano player and singer, with a rock group and cheerful solo covers of modern classic songs like 'Magic Carpet Ride', 'At Last' and 'You are so Beautiful'. ❖

➲ *RIMPA and the records and information management community wish David well in new ventures.*

An update on Standards Australia's IT 21 Committee

In this period of change for Standards Australia, perhaps it's timely to pause and take a look at what the Standards Australia IT 21 Committee is doing for standards in our professional practice.

By **Barbara Reed**

Outgoing chair of Standards Australia David Moldrich hands on a committee in remarkably fine shape, still brimming with people passionate about aspects of our profession. And always on the look-out for new people with passion.

The Australian committee – the IT 21 Committee on Records Management – works within the framework of Standards Australia. That framework shifts from time to time. People on the committee represent communities or organisations. Big organisations, such as Department of Defence, can be represented in their own right, as can the state and territory records regulators. But beyond that, individuals are appointed to represent other stakeholder groups – such as small business, professional bodies, and local government etc. Australia and New Zealand cooperate on this committee, so it is a joint committee between the two countries, with the results of our work adopted as AS/NZ standards where this is agreed. All up, there are about 30 people on the committee, which meets three times a year. The committee is supported by the absolutely indispensable Agnes Simai as the Standards Australia project manager.

A proportion of the business is taken up with international business – making sure we've got appropriate representation, and input into the developments internationally, and into the appropriate decisions and deliberations. But a larger part is consumed by thinking about what is needed at a local level. Sometimes this coincides with the international work, but sometimes the records community here in the Antipodes needs something to meet local requirements. But, as Standards Australia reminds us, working on projects needs resources – and not just the professional text writers and negotiators but also organisational support from Standards Australia. To get that, we have to submit our proposed projects to an approval process that prioritises our proposals with those of other standards committees – so it can be a bit of a longish haul.

Nonetheless, between formal meetings of IT 21, the work is carried forward by stalwart chairs of sub-committees.

INTERNATIONAL WORK

At a MSS (Management Systems Standards) level, Judith Ellis has been representing Australia's positions in this important work resulting in the AS/ISO 30300 series. Not only have new standards establishing records as a management system – up there with the quality standards, with environmental management etc – but also developing agreed terminology and implementation guidelines. Judith has also been negotiating hard to have some of the recordkeeping principles adopted into other MSS level standards. The Australian

⇛

committee seeks to endorse these standards as soon as they are available, sometimes with a twist to reflect local terminology a little more precisely.

Cassie Findlay, the Australian Society of Archivists representative on IT 21, is project leader for the international revision of the foundation standard ISO 15489. At an Australian level, we review the drafts when they come to us, and provide comments as a community to the international process. At present this document is at FDIS (Final Draft International Standard) stage, which means it is being distributed to all national member bodies for final vote. There are rules around how widely the documents in progress can be distributed, but the stakeholder groups all have a vote which then consolidates into a single Australian vote. With any luck (!), this new standard will be available for publication next year. The whole international process – with three-month voting periods, translation requirements, comments, resolution and negotiation, new versions etc – makes this a very long process.

Part 2 of the original ISO 15489 contained implementation guidance. Because of the growth of other specific standards dealing with particular topics, there has been quite a lot of questioning about what type of guidance is needed to replace the old Part 2. Currently two groups are working on two aspects – one on appraisal, which has been repositioned to reflect the original definitions of AS 4390 (ie, appraisal is the process of evaluating business activities to determine which records need to be created and captured and how long the records need to be kept). This repositioning for the digital age remains contentious, particularly within some archival practices. A second Guidance document is being developed on Systems Design and Implementation, possibly filling the gap left with the removal of the DIRS methodology.

> *We're exploring a digital preservation sub-committee, and would be delighted to hear from anyone interested in this*

Recent adoptions from the international work have also included AS/ISO 18128, Risk Assessment for records processes and systems, which joins the AS/ISO 26122, Work Process Analysis for Records as a part of the really practical analysis lens. Both these pieces were the result of a large Australian input!

Coming up, in addition to the continuing negotiations of the revision of ISO 15489 is the systematic (that means regular cycle of review in ISO speak) review of the ISO 23081 Metadata for Records Standard, and the ISO 16175 Principles and Functional Requirements for Records in Electronic Office Environments. Both these standards have had significant Australasian input in their initial development, so it will be interesting to identify what our local community needs are now, and how we can represent those to the international community.

The committee has been joined by the highly expert Peter Wyatt who is representing Australasian views of this community particularly into the development of the PDF format standards.

LOCAL INITIATIVES

But, don't think that the work of IT 21 is all about international standards! There is lots of work specifically focussed on our Australasian community. And all the work referenced below has active participation across both Australia and New Zealand.

Casey Ann Mowett is capably steering a group that is developing a local standard on Document Control. This work has been ongoing for a while, but Casey has injected a new lease of life and we hope that a nearly final draft will be available in time for our first meeting in 2016.

Work on 'recordkeeping in small business and organisations' has also been revitalised with the reconstitution of the committee under the direction of Kirsteen Thomson from Queensland and Oneder Macdiarmid from NZ.

The IT 21 Committee also represents the micrographic community. Not too many new standards are coming out of that area at the moment, but the need to keep these standards viable and appropriate is felt by any organisation that has need to access microfilm. So the IT 21 Committee is supported by a very expert group of specialists contributing knowledge to working out what should remain, what should be updated and what should be deleted from the portfolio of micrographic standards Australia/NZ have adopted/developed in the past.

The Committee recently committed to investigating establishing a new sub-committee to encompass the new areas of work which don't quite fit into micrographics or other existing sub-committees. We're exploring a digital preservation sub-committee, and would be delighted to hear from anyone interested in this.

A local committee has been established to consider what, if any, revisions Australasia would like to the ISO 16175 standards, given their extensive use in jurisdictional work, but also the fact that they are over 10 years old.

Recently finalised work includes publication of the AS 5478, Australasian Recordkeeping Metadata Reference Set. This is a set of metadata elements supporting local implementation of recordkeeping metadata.

And just in case this wasn't enough, IT 21 undertakes irregular seminars letting the community know what is happening within the standards world. These have been conducted in Melbourne, Sydney, Wellington and Perth. In 2016 events are being planned for Brisbane and Canberra.

Just writing this all down makes me feel a bit exhausted. And what is represented in the above text is by no means all the work that has been done – just a list of what we are currently doing. So there is no question that the Australian Standards Committee works hard for the recordkeeping community in Australasia. But it is always open to new ideas, particularly ideas for new or emerging issues that need some form of consensus approach. The sub-committees are always looking for new members, so please don't hesitate to come forward.

What David Moldrich started with the seemingly simple question 'what is a quality record?' has cascaded into a vibrant body of professionals committed to working for the profession. The ease and grace that David has always shown in navigating the shoals of disagreement, scope creep and the inevitable personality clashes will be sorely missed. ❖

ABOUT THE AUTHOR

Barbara Reed is the newly appointed Chair of IT 21, Standards Australia's Records and Document Management Systems Committee and RIMPA representative on that committee. In her day job, she is a director, Recordkeeping Innovation and a consultant in the field of records, archives and information management with more than 25 years industry experience in Australia and the Asia Pacific region. Previously she has been an academic in recordkeeping at Monash University. Areas of special interest include digital recordkeeping strategies, recordkeeping metadata and standards development for whole of government initiatives.

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WORLD'S FIRST RM STANDARD IS 20, BUT WHO REMEMBERS?

As AS 4390 Standard for Records Management turns 20, we take a look at its impact on the profession.

By **Mike Steemson**

Lightning struck 20 years ago, or so, and I blinked hard. I'd clicked on a listserve post mentioning the imminent release of a national standard for records management, the world's first. Wow!

I was a newly fledged RM busy-body. Just what my new world was twittering for. Where? When? Who? What?

Now I know some of the answers. Australia's world-beating AS 4390 Standard for Records Management firmly set the young profession on its global feet and hauled it, sometimes trembling apprehensively, into the van of commercial and political enterprise.

Hard to believe, but AS 4390 was published 20 years ago on 5 February 1996. It was the child of years of thinking and five years of brain-storming by the embryo Standards Australia committee IT 21, supported strongly by a younger RIMPA (then RMAA) and led by Melbourne information management innovator and principal consultant, David Moldrich.

Five and a-half years later, in October 2001, the standard had spawned the international ISO 15489 that effectively replaced it. AS 4390 was withdrawn from Standards Australia's catalogue just months later in March 2002. It had begun with a small bang and had, briefly, been fiercely argued. But in its short lifecycle it laid foundations to a swarm of management standards world-wide.

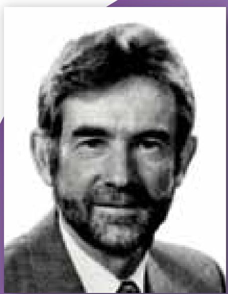
NAGGING FOR 'DRAFT'

My listserve tip-off came in mid-1995. I nagged the post author for a copy of the 'draft', and finally acquired one that I hawked around British Standards Institution colleagues to little obvious effect. In Australia, reaction too was muted.

Index to the 1995 editions of *Informaa Quarterly* (now *iQ*) shows no sign of the standard. The February 1996 edition carried a brave 'Australian Standard for Records Management approved' headline, but RMAA Federal President Denis Comber's welcome was guarded:

"It is anticipated that the final document will incorporate many of the changes that were recommended by the Association and will be truly representative of the best standards in records management within Australia.

"All Federal Directors and Branch Councils have been urged to undertake a careful examination of the Standard for the purpose of assessing its ability to meet our needs."



I am convinced that a window of opportunity exists to promote all aspects of records management reform

Ken Ridley

EDITORIAL WELCOME

Informaa Quarterly editor, Ken Ridley, topped his editorial with commentary on the official report of the Royal Commission into (1980s) Commercial Activities of the Western Australian Government: "I am convinced that a window of opportunity exists to promote all aspects of records management reform."

He linked the commission's findings with the welcomed publication of AS 4390 but warned: "The existence of records management systems and standards can lead to organisational accountability, but to what extent?"

Early criticism arose over the standard's widened definition of appraisal, a problem that at first had the word dropped from successors.

Leading Australian archivist, historian and academic, Michael Piggott, remembered the row in his magisterial 2012 work, *Archives and Societal Provenance: Australian Essays*[1], cheerfully commenting: "The idea behind it, however, was incorporated into the ISO standard and has become widely accepted as central to digital records preservation strategies."

He backed the "broadening of what constitutes appraisal as part of the Australian standard on records management, AS 4390". He went further: "Because it focused on identifying those activities and functions to be documented through records, the significance of this development is impossible to overestimate."

"MADE HISTORY"

The standard "made history", he insisted, dismissing the argument positively: "International recognition of the idea's Australian beginning hardly matters when set against what is actually important. Imitation is compliment enough."

Now, AS 4390 seems to have dropped completely out of IRM sights. Web searches for "AS 4390" now bring up Alaska Airlines services to Seattle, flight number AS 4390, or word of an extinct California settlement, Bontes "at an elevation of 4390 feet", and a mysterious US Special Operations Group computer server, AS 4390.

As Australian guru Michael Piggott comments in his 2012 study: "The inner history of AS 4390's development and later impact on ISO 15489 has yet to be fully written up."

Now, there's a thought. It'd certainly make a fascinating PhD thesis. Any takers? ❖

ABOUT THE AUTHOR

Former London newspaperman Michael Steemson, ARIM, is the principal of the Calderson Consultancy in Wellington New Zealand and a member of the editorial board of *iQ*.
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International recognition of the idea's Australian beginning hardly matters when set against what is actually important. Imitation is compliment enough

Michael Piggott

Business continuity for small business owners

As RIM professionals, we are taught to be prepared for disaster, to ensure business continuity and quick recovery should a flood, fire, earthquake or other unforeseen event take place. As a small business owner, our author was determined to be well prepared – especially given few small businesses recover after such an event. Here's her story.

By Lisa Read-White

We put in place a number of strategies to ensure our business would be able to continue operating should an unforeseen event such as a natural disaster take place – including backups of systems to another physical location, dedicated business software to manage records, customer contacts, email, finances etc. We didn't plan for every event, but we did plan for what we considered the more likely events. This even included built-in fail cutovers for our phones.

A few years ago someone cut through the main cables in our business area which brought down the phones, internet, email and website. We were prepared, and simply moved to our backup servers. What we didn't know, and didn't plan for, was the fact that the failure of the network also occurred with our provider and so we could not execute our phone cutover. We went three-and-a-half days with no main lines for customers to call us. Seems like a minor disaster, but for some businesses this would be crippling.

As a business owner, I derive all my income from this business; I've put endless amounts of time and my heart into building it. To be impacted by such a minor event is frustrating to say the least.

DEVELOP YOUR RESPONSE PLAN

It's natural to want to protect your business any way you can. Disaster planning does not need to be an expensive exercise. Even if you need to spend a few dollars on being prepared, it's worth it if you don't have to count the impact and loss after an unforeseen event.

Our home is firmly in the middle of a high fire-risk zone and our business is only 15 minutes away. We are used to packing up our most prized possessions and leaving home due to the risk of fire, but few of us have the same approach for our businesses.

I encourage you to take action as soon as you can. Take a few minutes to consider what could happen realistically to your business. Don't forget about things like loss of data, virus attack, sabotage from disgruntled employees, and market changes. Develop a plan to respond if any of these events occur. If possible, put in a strategy to avoid these events.

It's well worth making sure your team is aware of the plan. At the end of the day you want to be in a position where you can maintain business as normal as possible with minimal impact to your cashflow, reputation, and market share. It may take your entire team to pitch in and help. Remember they also derive their income from your business and they care about having a job tomorrow. ❖

ABOUT THE AUTHOR

Lisa Read White is a consulting professional with more than 19 years experience in information and records management, working for a range of organisations both private and public. Lisa is a current company director of RIMPA.

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IMPLEMENTING AN EDRMS: THROUGH A NEW RECORDS MANAGER'S EYES

When her manager announced she was to work on a project to implement an EDRMS within the organisation, one of the biggest learning curves of our author's career began… Her advice? Hard work, commitment and curiosity… Using these three things to help guide you as you work on an implementation will see you through successfully. Here's her story.

By **Kylie Welch**

As a fresh faced records manager in 2009, I was keen to please and decided that I had to learn this new craft very quickly. I had only ever worked with active records in my career as an executive assistant, so crossing over to records management in itself was a huge mind-set shift. As the months went by, I realised that there was more to the management of records than meets the eye. Thankfully, my manager put me on a robust professional development plan and I was soon into study, attending conferences and workshops and reading material to ensure I was quickly upskilled. This went well for a year and I was quickly able to talk to staff about how best to manage their information within the organisation.

I was able to set up an educational program, create and deliver workshops and meet with staff to ensure they too understood the basics of records management. All was going well in my new records manager role until one day the words Electronic Document and Records Management System (EDRMS) jumped out of my study books into the mouth of my manager.

It was then that I discovered that our lovely records management department was about to be morphed into a department that had to work on a project to implement an EDRMS.

I have to admit, I felt both trepidation – because I didn't know anything at all about an EDRMS implementation – and excitement – because I had learnt a little about EDRMS in my study and could see its benefits. One thing I didn't realise at that moment was that I was about to start one of the biggest learning curves of my career, one that would be both challenging and hugely rewarding at the same time. This is my experience.

LEARNING THE LANGUAGE

Picking up the terminology and acronyms that come with an EDRMS was not always easy for me. It was literally like

learning a new language. Terminology such as Categories, Triggers, Document Libraries, Columns, Active Directories, Activities, Audiences, Authentication, BCS, Content Type, Item, Keyword, Lists, Minor Version, Workspaces, Permissions, Site Collection and Term Set baffled me and, admittedly, took me a while to grasp, but as with everything in life, repetition was the key. The more I worked with these words and concepts, the more familiar these words became.

My advice? Quickly become familiar with the terminology and jargon of EDRMS. It will come in handy during implementation.

story snapshot

Read up on the system online, and get familiar with the jargon.

Build strong relationships with the executive, consultants, and staff.

Ask for help from those who have implemented an EDRMS before.

LEARNING ABOUT THE SYSTEM

Along with learning the language of an EDRMS, I also had to learn about the system the organisation had chosen. Once I knew what the EDRMS was, I was able to go online and read the information our consultants had given us to see what we were in store for. For me, being a hands-on learner, I knew that learning about the system by reading was a good start, but I looked forward to getting stuck into using the actual system we were to implement.

My advice? Look up the product on the internet – there is a lot of good information out there. Take up study if you can. A lot of courses teach on an EDRMS.

UNDERSTAND THE BIG PICTURE

Because I was learning as I went, I didn't always follow the big picture. If you are about to implement an EDRMS, it is important that you understand the big picture. What is the big picture? Well, it is finding out what the organisation wants to achieve once the EDRMS has been successfully rolled out across all areas, the unique language that comes with an EDRMS, and who will be involved in the project. It is about finding out what the communication rules or phrases are (eg, are there certain words that the project team should or shouldn't use?). When will answers need to be given, meetings need to be had and RM rules need to be implemented? Finding out and understanding the big picture is helpful. Another way you can understand the big picture is to ask other RM professionals who are already implementing or have already implemented an EDRMS. Their experience will be helpful in knowing what you will be required to do on the project.

My advice? Keep the lines of communication open between yourself, your manager and the project sponsor. Keep the big picture in mind and head towards the end result with that in mind.

BEING ON A PROJECT TEAM

I was quickly put on a project team consisting of the project sponsor, manager, project manager, a business analyst and very knowledgeable consultants. Having never been involved in a project before, this in itself was a very quick learning curve for me. Weekly, and sometimes daily meetings were called to ensure we were on track and following the project plan.

The project plan itself was considered of great importance and the team had to work together, even though this was new for all of us, except for our very capable consultants, to ensure we got off to a good start. In this case, I didn't have to run the project, like many records managers do, and was able to listen to and learn from the project team and consultants about how to even be on a project. They were skilful in how they managed the project, which ensured a good start to the implementation, but for me it was all very new, as is the case with most records managers. Some RM professionals have never had to work within a project team, so the first time in having to do so can be quite intimidating.

My advice? Listen and learn, attend all of the meetings and ask questions. Don't be afraid to say "I don't quite get it".

ATTENDING COURSES AND WORKSHOPS

Once the project was announced, I – along with the project team and my administrator – was quickly sent on a comprehensive learning journey. Because we were leading the way, we were the ones that had to know the system well. My administrator and I had a laugh on the first day of the EDRMS introductory course, because we soon discovered that we would have to pay close attention. It was a course that taught us the basics of the EDRMS and if we missed a step that day we would be completely lost. For us, it was like being asked to be an IT person for the day. We had no frame in our learning to pin this new information on and knew that this was our foundation learning and that we had to pay close attention while there. I don't think I have ever been so focused at a course as I was that day.

My advice? Pay close attention at every opportunity to learn and don't be afraid to ask questions.

Don't be afraid to say "I don't quite get it"

THE RM FOCUS

Already having a paper records management process in place supports the implementation of an EDRMS as staff are already familiar with an organisational filing structure (based on a sector wide taxonomy) and, as the records management expert on the project team, it was expected that I would be able to confidently transfer the filing structure and legislative requirements into the EDRMS. This was no small feat. To transfer retention times into EDRMS triggers was a challenge, but one that I was able to overcome by talking with our knowledgeable consultants, Archives NZ and other RM professionals. It was an ongoing challenge, but the more I learned the language of an EDRMS the more confident I became at giving advice on retention and disposal.

My advice? Don't feel overwhelmed. Remember that you do have the knowledge and, if you don't, you can ask your peers and other organisations who have already implemented an EDRMS. Remember to be confident in your knowledge.

COMMUNICATION

A year or so into the EDRMS implementation project, there was a change of manager. Coming in with fresh new eyes, the new manager quickly saw that we were not communicating as effectively as we could. He could see that the terminology and jargon we were using with staff in our information workshops was bogging them down with too much information. His approach was to keep it simple and it worked really well. Once we took the taxonomy away from our information workshops with staff, and started to simply focus on the area they would be working in and the information that particular area required, we found the project began to gain a more positive reputation with staff. Communication was a real key for us as a project team and, once we adopted the 'keep it simple' rule, we found more success with staff.

My advice? When rolling out an EDRMS, don't use too much jargon. Keep the information to a minimum so as to not overwhelm staff. An EDRMS is a new way of doing things and not everyone likes change. Try to keep it as simple as you can.

KEY RELATIONSHIPS

The key relationships you are going to have during the roll out of an EDRMS are with the project team and the RM consultants (if you are able to have consultants on board, which I do highly recommend). Keeping the lines of communication open with everyone on the project team is important. There were times of frustration along the way with other people in the project team simply because the knowledge wasn't yet there (mostly on my part), the translation of the RM language wasn't easily transferred into an EDRMS and the implication of adding RM retention and disposal times into the mix sometimes felt as though I was making things more complicated. Being strong in your knowledge and knowing what has to be considered when working with the project team is important. Having the RM consideration at the forefront of the project was important because managing information within an EDRMS effectively is vital. Sometimes analysing and planning the RM considerations for a specific area within the organisation takes a while. This can be frustrating for the project manager and business analyst, but keeping the lines of communication open, remaining patient and being thoughtful towards each other is really important.

Another key relationship you should nurture is with the executive team. Having support and buy-in from the top is vital. I am sure you have heard stories about the chief executive not allowing anyone to send him/her attachments but insisting on receiving only links to the EDRMS once available. Things like this are big wins and should be encouraged. Don't be afraid to meet with and talk with the executive team about the use of the EDRMS and how important it is to have them on board with the project.

Keeping up your relationship with staff during the implementation of an EDRMS is important. Remember that this could be a scary journey for staff because it changes the way they are storing and working with their information. Keeping up the communication with all staff is important. They will feel more at ease if they feel that they can approach you and the project team as their area is rolled out.

My advice? Keep the lines of communication open and upbeat between you and the project team. Don't take things personally. It can get frustrating and confusing but stick with it. Be patient with each other; this could be new for everyone. The relationship you have with staff and the executive team is important. Make sure you keep talking to people. They may be a bit overwhelmed by the prospect of such a big change.

YOU WILL BE TRAINING STAFF

As the records management expert on the team, you will be allocated training duties. Not so much training staff in how best to use the system (that is the job of the floorwalker/s) but to help staff understand the RM considerations within the new system. Staff could potentially be worried about their information disappearing or not being easily found, but you can reassure them that the process of saving and finding their documents is sound. You will likely be attending, and maybe even facilitating, training sessions as areas are rolled out – if not, to just give RM advice.

My advice? Attend as many EDRMS training sessions and workshops as you can to put staff at ease, knowing you are giving RM advice. Be prepared with disposal authorities, copies of the taxonomy/business classification structure and legislative requirements because staff will want to know that the information they work with is safe and not being deleted.

WORK WITH THE CONSULTANTS

The consultants I worked with during the EDRMS implementation were amazing. I learnt so much from them. They had effectively rolled out many EDRMS's before and had so much knowledge and were happy to share that knowledge. They were informative, upbeat and confident, and never lost their patience with me or the project team when we didn't quickly grasp a concept. They were happy to go over things as often as I needed them to, and I appreciated their knowledge and patience. Learning from other people's experience is a very important key, and trusting that they know what they are doing was important for me. It was the first time in my life that I had worked with consultants and, thankfully, it was a great experience. I wasn't afraid to ask for help when I needed it, and they were quick to offer their assistance.

As the records management expert on the team, you will be allocated training duties

My advice? If you are able to have consultants on board, work with them and learn from them as much as you can. Make the most of your consultants and their knowledge while they are there, because they have already been on the journey you are on and know what they are doing.

COLLABORATE – DON'T REINVENT THE WHEEL

One thing I enjoy about being in the RIM sector is its collaborative nature. RM professionals and consultants are more than happy to share knowledge and experiences, and this was the case for me during this project. There were many times when we reached out to other organisations that had already started their implementation, and the knowledge we gained from them was helpful and reassuring (that we were on the right track). Knowing that we were 'all in the same boat' was reassuring. I was able to build some great friendships from reaching out and collaborating because we had the same questions, issues and concerns.

My advice? Reach out to other RM professionals when you need to. A lot of us are implementing new systems or have already implemented new systems and can help along the way. We are usually all happy to share our knowledge.

REMEMBER IT IS A MARATHON NOT A SPRINT

Implementing an EDRMS can take up to three years (or more), depending on how big the organisation is and you will do well to *keep the end in mind*. This project is not going to go away quickly, but it will be rewarding for you. Once you have journeyed towards the successful implementation of an EDRMS, you will reap the rewards of the knowledge you have gained. You are now good at managing projects, communicating with staff, working within a project team, working with consultants, knowing the EDRMS language, and giving RM advice in the electronic world. Once you have been on an EDRMS implementation project, your skills will be enhanced, and you will be able to confidently give advice in the future. It's a good thing. The project in itself, as I mentioned, can be challenging but it will also be rewarding, but you won't regret it once you have seen the successful implementation of an EDRMS happen.

My advice? Remember, an EDRMS project is a marathon not a sprint. Think ahead with the end in mind, and learn as much as you can along the way.

CELEBRATE YOUR SUCCESSES

Along the way you are going to feel as though you have rolled out an area within your organisation really well. The RM considerations have been implemented, the rules are working well, and staff and the project team are happy. Remember to celebrate successes along the way. Enjoy the times when things go well, and there are a lot of those times, because it will help keep you and the project team and staff engaged. Communicate the success in a newsletter or all staff email. Remember to celebrate when things go well.

Go out together for a rewarding visit to a café or restaurant to enjoy your successes. It is important to celebrate together to keep motivated.

My advice? Take time to celebrate with the project team. Go out together for a rewarding visit to a café or restaurant to enjoy your successes. It is important to celebrate together to keep motivated. Also, reward staff when they are engaged with the project. Chocolate Fish or coffee vouchers go a long way with staff.

SUMMARY

An EDRMS implementation is not a small project. As an RM professional, it could potentially be one of the most challenging projects you have ever worked on, and you will most certainly be rewarded with a sense of achievement and reward. As you journey towards the successful implementation of an EDRMS, remember where you started and where you are now. There is a lot said for hard work, commitment and curiosity. Use these three things to help guide you as you work on an implementation and, most importantly, don't forget to ask for help when you need to and to learn from those who are already knowledgeable in implementing a new system. ❖

ABOUT THE AUTHOR

Kylie Welch is the winner of the 2015 Recall Article of the Year award for her article 'Setting up a successful records management program' and is the Director of InfoTrain Limited. InfoTrain delivers RIM workshops and consulting, and offers resources to help with professional development.

➲ For information on training dates and opportunities www.infotrain.co.nz.

Back to the future intrapreneurialism

Rethinking future staff development and educational programs is necessary due to the onslaught of digital omnipresent technologies. The challenges associated with the changing nature of work, the enterprise workplace and on-going skill requirements are very real and need to be addressed. This transition will require a skilled, educated and digital literate workforce with employees who are adaptive, agile, and focused on the future and the jobs for tomorrow.

By Linda Shave

Employees and organisations need to rethink current approaches to staff development and educational programs as traditional methods for career development become disrupted by both the young 'digital natives' coming into the workforce and disruptive technologies. Organisations need to be responsive to change and so must employees.

DEVELOPING THE WORKPLACE INTRAPRENEUR

The upcoming employee will need to adopt an intrapreneurial mind-set and an intrapreneurialism approach to working in the future. The intrapreneur worker will be innovated, self-motivated, make things happen, and possess the ability to manage, organise and solve real-time problems within the enterprise.

As professionals, managers and leaders in our industry, becoming an intrapreneur worker in our workplace should be considered a must. Even though adopting an intrapreneurial mind-set and intrapreneurialism approach to working may not necessarily be something you have considered up until now, these will become main ingredients in sustaining our future employment opportunities. Yes, this will entail a paradigm shift by all levels of management within an enterprise to facilitate and grow an intrapreneur culture.

INTRAPRENEUR V'S ENTREPRENEUR

Many of us may be familiar with the concept of 'entrepreneur'. However, most of us will be less familiar with the term 'intrapreneur'. Table 1 provides a simple definition of the difference between an intrapreneur and an entrepreneur.

TERM	MEANING
Intrapreneur	A person employed to work independently within a company in order to introduce innovation and to revitalise and diversify its business. • WordWebOnline – wordwebonline.com/en/INTRAPRENEUR
Entrepreneur	Someone who organises a business venture and assumes the risk for it. • WordWebOnline – wordwebonline.com/search.pl?w=entrepreneur

Table 1 – Difference between an intrapreneur and an entrepreneur

As previously mentioned, the concept of entrepreneur is not new. For many of us we might associate the term entrepreneur with incubators, people who invent and implement new products and initiatives. We hear about entrepreneurs in government policy and the term entrepreneurship is strongly associated with economic growth and industrialists.

However, little known and often overlooked are the terms intrapreneur and intrapreneurship. Interestingly, these terms are not new – as far back as 1978, Gifford Pinchot coined the terms in a paper he wrote with his wife Elizabeth, titled 'Intra-Corporate Entrepreneurship'. Yet, 35 years later we are only just appreciating the value and need for the employee to adopt an intrapreneurial mind-set and an intrapreneurialism approach to working.

An intrapreneur, in contrast to an entrepreneur, is the internal worker who utilise their skills, passion and innovation to create something new and useful for the business. An intrapreneur can be seen as a driver of innovation within the enterprise; they can identify opportunities for improvement and they have an overall desire to improve efficiency and productivity. Intrapreneurship can be and should be associated with the intrapreneur helping the enterprise grow and remain economically viable.

An intrapreneur might be considered as the internal 'entrepreneur' – the principal difference being that:

- an intrapreneur in many cases needs management approval to commence on any initiative and/or project
- an entrepreneur has the freedom to act on their impulse, business venture and take risks.

THE INTRAPRENEURIAL WORKER

So what distinguishes the intrapreneurial worker? In Table 2, we see some common traits that an intrapreneurial worker may demonstrate:

Intrapreneurs make things happen in the enterprise	They are individuals who: • manage, organise and solve real-time problems • take a concept and convert it into a reality • become the champions of the new project, policy, process, product or solution • share and collaborate • are not afraid to make mistakes • learn from mistakes • are instruments of change

Table 2 – Intrapreneurial workers' traits

In Table 3, we are presented with an example set of skills for the intrapreneur worker. These have been broken down into three main categories: working, thinking and tools.

CATEGORY	DESCRIPTION
Working	• Communication • Collaboration, teamwork and leadership • Lifelong learning, personal management and well-being
Thinking	• Creativity and innovation • Critical thinking, problem solving and decision making
Tools	• Information literacy • Digital and technology literacy • Analytics

Table 3 – Example set of skills for the intrapreneur worker

RETHINKING FUTURE STAFF DEVELOPMENT AND EDUCATION PROGRAMS

Entrepreneurship has become an important topic and is covered in many university programs. However, there is limited investment in skilling the internal intrapreneur for the jobs of tomorrow and few learning strategies and training programs available for intrapreneurship either through territory organisations or the business entity.

Modernising corporate thinking and encouraging an intrapreneurial atmosphere	• Early identification of potential intrapreneurs • Management sponsorship for intrapreneurial projects • Promotion of intrapreneurship through trial projects • Developing collaboration between intrapreneurial participants and the enterprise
Encouraging an intrapreneurial environment	• Create a system of feedback and positive reinforcement • Establishing an innovated environment based on trust and self-confidence • Providing an environment of communication
Equipping the intrapreneur with education and training	• Incorporating intrapreneurial culture and skills into every day thinking • Networking opportunities • New technology maturity • Digital literacy • Marketing, collaboration and communication skills
Equipping the intrapreneur with education and training	• Decision making and problem solving skills • Opportunity-seeking and initiative taking • Agile project management • Developing business models and business plans

Table 4 – Some steps for modernising corporate thinking and encouraging an intrapreneurial atmosphere

The skilling of the 21st century professional will require managers and leaders to consider new ways of providing staff development and education

The development of intrapreneurial skills can contribute to business sustainability, growth and the creation of a new digital workforce. Therefore, internal staff development and educational programs should be updated to include encouraging and building an intrapreneurial culture. Table 4 outlines some steps that might be utilised in modernising corporate thinking and encouraging an intrapreneurial atmosphere.

The skilling of the 21st century professional will require managers and leaders to consider new ways of providing staff development and education. The responsibility should be shared by both employees and the enterprise.

Sustainability of the enterprise workforce for the jobs of tomorrow will depend on the enterprise adopting an intrapreneurial approach and providing the skills to make it happen. The opportunities for those enterprises that develop and maintain an intrapreneurial workplace culture are infinite. ❖

ABOUT THE AUTHOR

Linda Shave is acknowledged as a thought leader and architect of change. She is a researcher, consultant and auditor in areas of virtual information asset management, business process management, cloud migration, corporate governance and risk management. Linda is a former CEO, CIO and a member of numerous professional organisations.

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STAYING SANE IN RECORDS MANAGEMENT

The increase in digital recordkeeping, with its greater demands on time and skill, has led to a corresponding increase in stress levels for the people undertaking these RIM roles. Managing the welfare of your staff can lead to a healthier working environment and better outcomes for both the records team and the organisation.

By **Michelle Linton** and **Kevin Dwyer**

The stress of fulfilling a records management role, in both senior management and administration, has increased over the past five years.

The increase in the stressfulness of these roles is causing good people to feel like they are incapable of performing their roles, and for some people will cause temporary incapability to do so. Stressed teams become dysfunctional, and stressed projects collapse. This is occurring on a regular basis across the industry.

The increase in stress is directly related to the increase in digital recordkeeping within organisations, with its greater demands on time and skill in record and information management roles. It is approximately 15 years since the first organisations commenced digital recordkeeping, making it obvious that the industry are slow in learning how to manage themselves and their health in a new world.

Suffering prolonged stress is harmful, both physically and psychologically. Being aware of factors that cause stress is the first step in managing them.

Stress is generally blamed on poor project management, lack of budget, etc. But these are the typical outcomes of people not possessing the required level of competence to perform in their role. Competence provides the capability to analyse requirements accurately, write project plans with reasonable time lines, and calculate and negotiate necessary budget or develop strategies for working within a defined story snapshot

There has been an increase in stress levels for people in RM roles due to digitalisation.

Stress is reduced when people are competent in their roles.

There are three main factors that obstruct the building of competence in RM teams.

budget. Stress is reduced when people are equipped with the level of competence required in their role.

Competence is the skill, knowledge and attitude to perform the necessary tasks, or achieve an outcome. A driver is not competent in driving a car if they cannot drive from A to B without crashing. Incompetent drivers may lack steering skill, or road rule knowledge, or the right attitude to safety. And competence in driving is different if your role is a professional motor-racing driver.

The same concepts apply to RIM roles. Technically someone may have the skill to make changes in the EDRMS, but inadequate knowledge of records management regulations or organisational business rules will result in error of judgement in decision making, and with an increased likelihood of damaging errors the person's attitude is "I don't care".

Two people working in RIM roles with the exact same job description and duties may also require differing levels of competence to achieve the same outcomes. Each organisation will have a unique environment where the level of leadership and management competence within teams, units and from managers will vary.

Competence can be acquired through various skill development activities, and it is important to understand the three main factors that currently obstruct building of competence in our RIM teams.

1 ROLE EXPECTATIONS

The modern-day records professional may be required to contribute, and perform competently in:

- Governance
- Legislation and Standards
- Retention and disposal
- EDRMS systems installation, configuration and use
- Integration with other systems
- Enterprise searching software
- Training design and delivery
- Strategy
- Project planning
- Project management
- Budgeting and procurement
- Business analysis
- Change management and communications
- Staff management

Extensive! And the list grows each year, as does the required level of capability in each area; frequently with an absence of budget, time or support to develop the necessary skills and increase the stress factor.

This is an industry of good hearted people who genuinely believe in the value of improved information management. Constant pressure to do more, personally and as a business unit, in an environment where the capability expectations continue to grow is stressful. The standards being set for performance are frequently impossible to achieve in the environment.

The breadth of skill expectation is unrealistic when reviewed against analysis tools of thinking styles, such as NBI[1]. NBI profiles individuals on their strengths in four different thinking styles: realist/analyst, strategist/imaginer, preserver/organiser, and socialiser/empathiser. Strength

in particular thinking styles will typically be linked to different professions. Not surprising. We don't expect an artist to share the same skills and traits as an accountant. Strength in one thinking style does not mean a person lacks capability in others, but that it will not be their preferred approach.

Typically the records profession as a whole displays strength in the preserver/organiser thinking styles, being naturally strong in detail and routine. And yet the modern role requires a major input from the analyst, strategic and empathiser styles. For some within the profession, the level to which this is required will be highly challenging, and a great deal of effort is required to achieve the required outcomes, if they can be achieved at all. The expectation and pressure to perform can be intense and stressful.

The reverse is also true. There are people who have risen to records management positions due to their strength in management, but who will be challenged by the level of detail required in delivering the day-to-day services and results to the business, or understanding the IT component of the role.

Be kind to yourself. Know your strengths, and the impact of your 'weaknesses'. Focus on performing your strengths, and delegate, find a mentor or support person, undertake training etc, to support yourself in managing in other areas. Be realistic about your personal capability, and the personal need, to excel in all areas. The job needs to get done, but you don't need to do it all.

Bibliography

1 Neethling Brain Instrument

2 DIGITAL PROJECT MANAGEMENT

A digital transition project involves moving the records team, the organisation staff and the software to an environment where saving records in their digital format is second nature.

The transition to the latest version and desired configuration of the EDRMS software is generally successfully managed. The transition for end users is sporadic in success, at best. These projects began in about 2001, and will be ongoing for many more years.

The transition of the records team has a woeful history. Complete records teams are still walking out of these projects mid-way through to take less stressful roles, or critical individuals jump ship partway through the project due to the intense stress they are being placed under. Change management is very poorly applied within the project for records teams.

It is easy for vendors, contractors or senior managers to imply that now absent teams and individuals were 'weak'; they lacked the capability to perform the role, or the backbone for the project tasks.

The projects bring heavy workloads, and overwhelming demands from vendors and managers; or they ask the team to operate in a new environment that conflicts with their own values about records management. On top of this, within any long rollout, there will at some stage be a personal crisis for individuals involved, which will divert their focus and energy, and others have to carry the weight.

Current project management ignores the level of behavioural change required of the RIM team to transition to the new world of operations. Behavioural change is not learning a new skill and becoming capable of applying it, but the majority of people think it is. Behavioural change is about giving up something we currently do. For RIM roles that 'something' they need to change may include:

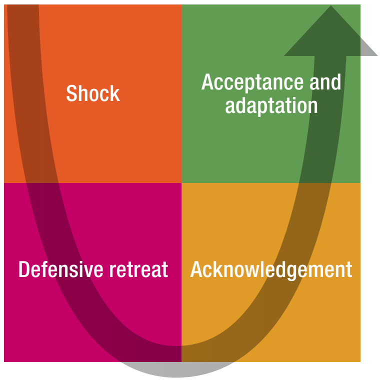
- the way they think about records, their role and their relationship with the business
- methods and processes of working
- their level of control and consequently power
- their workspace – eg, less physical work and more computer work.

People have an emotional reaction when something has to be given up. It may be just a general feeling of discomfort, with a few thoughts of "I don't want to do that, I don't think it's a good idea, I'll just let other people do it, etc." Or if a person thinks this change is likely to lead to a reduced RIM team, the reaction may be more extreme.

When that battle is going on in the brains of the RIM team they will have difficulty adapting to new ways of working, fail to see opportunities and instead see problems. They will not perform well at problem solving, and often find themselves in conflict with the business and the project team.

Individuals react to change in four stages:

1. Shock
2. Defensive retreat
3. Acknowledgement
4. Acceptance and adaptation



If the change is seen as generally positive, it has been explained well including how it will be managed and how people will be supported, people may move rapidly through the first two phases of shock and defensive retreat, and reach acceptance easily. That is the ideal.

Because the requirement for change management of the RIM team is ignored, a large percentage of people become entrenched cycling between defensive retreat and acknowledgement. People in defensive retreat develop 'bad' arguments to support their case, such as, when input is required, only gathering evidence that supports their case and ignoring any to the contrary. When people reach acknowledgement, they begin to experiment. However, it only takes one bad experience, another change lumped on top of the myriad of changes they are already undergoing or even just a bad word to take them back to defensive retreat. The more stressful the project, the more likely people are to become stuck in a cyclic nature between defensive retreat and acknowledgement.

Good change management in a project prioritises coping with change, including the increase in stress levels, for the internal records team. There must be a priority to keep this team intact, both for the retention of knowledge for the organisation, and as a duty of care to the individuals.

A project plan that does not actively address managing the welfare of the records team as part of the risk management component is inadequate in a digital transition project.

ABOUT THE AUTHORS

Michelle Linton, Managing Director, Linked Training

Michelle is a Learning & Development professional with 24 years' experience in the planning, design and delivery of training programs. Michelle has developed and delivered innovative, outcome focused EDRMS training for over 30 government and private organisations since 2005. Michelle's pragmatic approach to learning strategies leading to application adoption has been enthusiastically welcomed by the industry, and she is a regular speaker at RIM events and contributor to industry magazines. Linked Training is the training partner in the REX project which was awarded the J.Eddis Linton Award for Excellence – Most outstanding group in 2010.

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Kevin is a Change Management professional with more than 30 years' experience in the planning, design and delivery of change management programs. Since 2001, and the establishment of Change Factory, he has been involved in many Change Management projects ranging from re-engineering of customs processes to reduce risk to creating and revising performance management systems to improve customer service outcomes at five-star resorts. His first EDRMS project was as the Change Management partner for the REX project which was awarded the J.Eddis Linton Award for Excellence – Most outstanding group in 2010.

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3 PERSONAL SUPPORT

Life will get busy and stressful for everyone. Our plates all get full at some stage. Personal ability to self-manage the stress and cope varies; our plates are different sizes. The ability to manage and cope is increased when a person has support. That may be physical support; additional resources for instance to do the required work. Or it could be intellectual or emotional support; someone to talk to and expand our problem solving ability and discover new approaches. The latter is the most powerful support for ongoing strength.

Within government organisations, especially as people progress in their careers, it is easy to become isolated, and for individuals to believe they are without support, internal or external.

Ideally all senior managers would have the capability of providing the required support, but many lack the capability to recognise this as an important characteristic of a management role. Therefore individuals need to recognise the importance of a support person and seek one.

Support can only be provided if we allow ourselves to be vulnerable; to expose that we don't know it all and need some help. Allow yourself to share that with your team and manager, and open the communication path to subordinates and managers to enable them to seek support. Challenges, both practical and psychological, which seem insurmountable alone can be solved through open discussion.

Start taking the steps now to create healthier working environments for individuals, teams and future generations of record and information professionals. ❖

What is the leadership coefficient?

In today's hyper-active corporate sector in government, change occurs fast and furiously, with little or no notice and an entity can only manoeuvre successfully through these change-rapids under strategic leadership. There are many theories and plenty of publications which define successful leadership, but our author – through her own personal journey across the changing terrain of public sector – pins it down to one component: ATTITUDE.

By **Suparna Chatterjee**

In an environment that displays unprecedented complexities in its day-to-day business, and marks a spiralling expectation increase amongst all stakeholders in the face of world-wide economic turbulence, it is critical for an agency to manage these ever-evolving corporate needs through effective leadership.

Over the years, I have seen leaders who have inspired and influenced change in their environment: through facilitating collaboration, being committed to staff growth, creating a community of interdependence and progressing towards a shared vision to implement a department's goals.

In observing leadership across time, I firmly believe that it is ATTITUDE that covers the majority of important skills required to be an effective leader – ATTITUDE that is the leadership co-efficient.

Here is my summary of ATTITUDE:

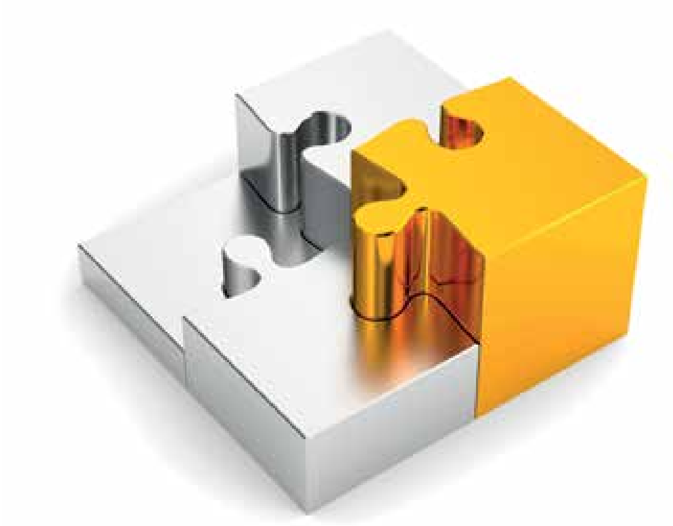
A = anticipate
T = team work
T = transformative
I = impart
T = trustworthiness
U= uphold pledge
D = delegation
E = empower

LEADERSHIP BEHAVIOURS

In my analysis of various leadership behaviours, what I have found is that a good leader can foresee what is yet to happen in an environment, as a consequence of impact – whether it be internal or external, national or international – and prepare in anticipation, always one step ahead of the game.

Some years ago in a particular agency, in anticipation of massive cut-backs, executives asked each branch to go through their individual areas and come up with role outlines, identifying areas of overlap and, through that process, highlight particular skillsets for certain duties. At the end of the analysis, some areas were collaborated, leading to significant savings and consequently avoiding any casualties for the time being. The process also built a transparency around required skill-sets for specific roles, and it eventually also addressed under performance with active encouragement towards knowledge sharing, and tapping into the tacit build-up of knowledge. This initiative also built clarity around corporate service responsibilities and became an essential part of an officer's role hand-over package.

Modern leaders work through a team approach to deal with corporate challenges; this collaborative approach attains more efficiency and a joined ownership of issues. It allows for a frank analysis of work, and goal achievement becomes a shared responsibility. I have seen many staff initiatives taken in departments where branch managers believed in operating as a team, with mutual respect for one another, and



together they (leaders and team) adapted decisions that were beneficial to the agency.

In this ever-changing world, being flexible and having a mindset to adapt to this evolving and diverse global environment is critical to be a successful leader. Priorities change, and adapting effectively to new ways of working and interacting, and being responsive and collaborative in delivering services, helps us to continue with business and thrive through a shifting economy.

As global citizens we are transforming and, as the population demographics change, the demand on the nature of our services are changing. The community expects to do the vast bulk of their business with government online, and we have to provide services from mobile devices from anywhere and anytime. Instead of relying on traditional services, an effective leader must integrate new techniques to deliver high-quality accurate and targeted services. It is not just about learning new technology – but how to use it effectively.

Having experienced many organisational changes, the importance of clear communication stands as paramount to me, and I believe that it creates an organisational culture that ensures security both for staff and stakeholders. Research also shows that a leader's ability to speak greatly influences a team's ability to reach set goals, influencing them to go in a wished-for direction and to increase efficiency, as well as to develop better relations with clients. It's the leader's sincerity, understanding and respect for others that builds a rock solid base for a team to cope with changes or any challenge.

Modern leaders work through a team approach to deal with corporate challenges; this collaborative approach attains more efficiency and a joined ownership of issues

ABOUT THE AUTHOR

Suparna Chatterjee ARIM is Manager Corporate Information at the Department for Child Protection and Family Support in Perth.

She has a Bachelor of Arts with Honours in English Literature from India, a Post Graduate Diploma in English from Curtin University, a Graduate Diploma in Public Sector Management (PSM) from Curtin, and Diploma of Business Studies (Recordkeeping) from Central Institute of Technology. Suparna has been in information management field for around 20 years and worked across several government departments.

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A COLLECTIVE VISION

While mapping correlation between a leader's competencies and a department's critical success, it seems that a leader's honest behaviour builds a positive influence and this spreads optimism, with the establishment of a collective vision and progress towards the set values and objectives in a collaborative manner.

It is not always the possession of knowledge in a leader that proves his/her competency, but the ability of a leader to use this knowledge effectively in a situation and this may mean utilising a member of his/her team for specific purposes. Honesty helps to build a knowledge bank that comprises the shared expertise of many staff to solve a problem. Frankness allows for acknowledgement of qualities in others; it helps to delegate without the fear of losing control and subsequently empowering staff.

Thus, through utilising the leadership co-efficient – ATTITUDE – and encouraging mutual respect and care for each other, as well as collaborating and communicating effectively, a leader can overcome various challenges and inspire staff to achieve results in a capable and powerful way. ❖

AUSTRALIAN INFORMATION AND KNOWLEDGE MANAGEMENT BENCHMARKING SURVEY 2015

Votar Partners conducted an online survey during August and September 2015 to gather data to benchmark the Information and Knowledge Management (IKM) practices of Australian organisations. The study covers the key foundations of an IKM framework, processes and technology used, barriers that prevent the effective sharing of information and knowledge between staff, and the organisational benefits of good IKM.

By **Kye O'Donnell**

Survey responses were received from 129 organisations across Australia, and a further three from overseas (New Zealand and the UK). The median number of full time equivalent staff was 500, with a broad range of five to 120,000. Most organisations in the benchmarking group were from the government sector (69%), as shown in figure one below.

Business Sector

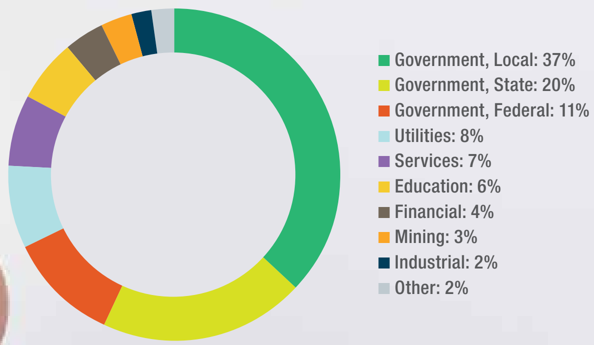

Figure 1: Sector

RESULTS

Responsibility

In only a third of organisations is the CEO or a senior executive responsible for Information and Knowledge Management (IKM). It is most common for a dedicated IKM area to be responsible (41%). A lack of senior sponsorship and accountability for IKM can be a major inhibitor to a successful program.

Who is responsible for IKM across the organisation?

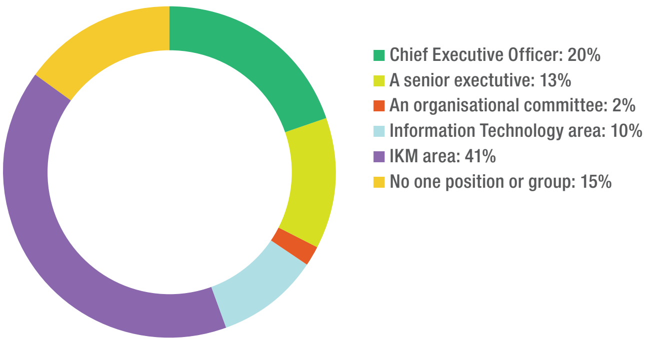

Figure 2: Responsibility for IKM across the organisation

Strategy

While a fifth of organisations either don't have a strategy for information or knowledge management, or have one that's out of date, most are in the process of developing a new one (27%) or are implementing it (53%). This is a positive indicator that organisations are recognising the importance of IKM to drive business success and sustainability.

Measurement

Many organisations monitor the use of systems and processes (44%), KPIs are used by some (36%), and surveys are the least common (29%). Ad hoc feedback is used by some (34%) and more than a quarter (27%) don't measure at all. While measuring IKM outcomes can be difficult, it is key to demonstrating to management the return on their investment, in what are often expensive systems and programs.

Processes

Most organisations have processes to manage documents and records (98%), but few have processes to encourage the use of information and knowledge, such as targeted knowledge transfers (10%) and expert directories (5%). Failing to encourage and facilitate staff to make use of corporate information and knowledge greatly limits the value of IKM programs to business processes, strategies and outcomes.

Which of the following IKM activities are undertaken in your organisation?

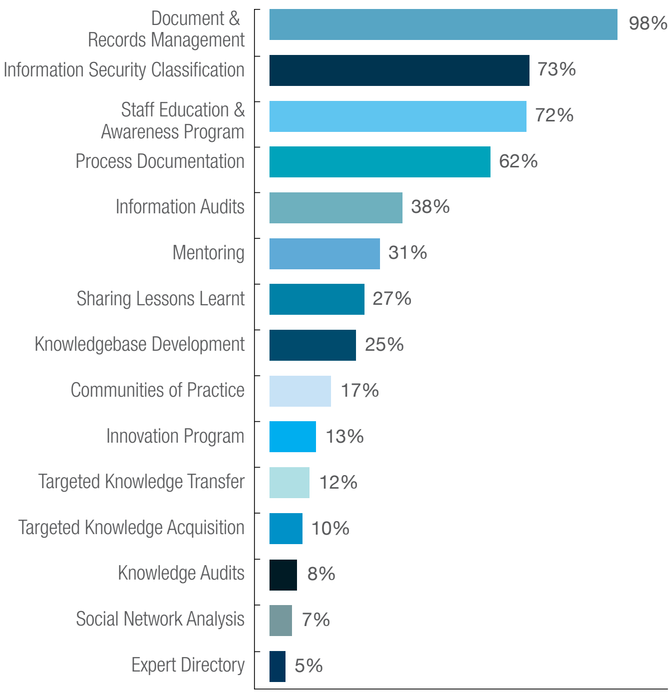

Figure 3: IKM activities currently undertaken

Culture

The majority of survey respondents believe their organisation has a very positive IKM culture based on consensus and negotiation of the organisation's key information elements and reporting structures. While the use of organisational systems appears to be high, they are often inefficient and consistently used across business areas.

IKM cultural indicator ratings

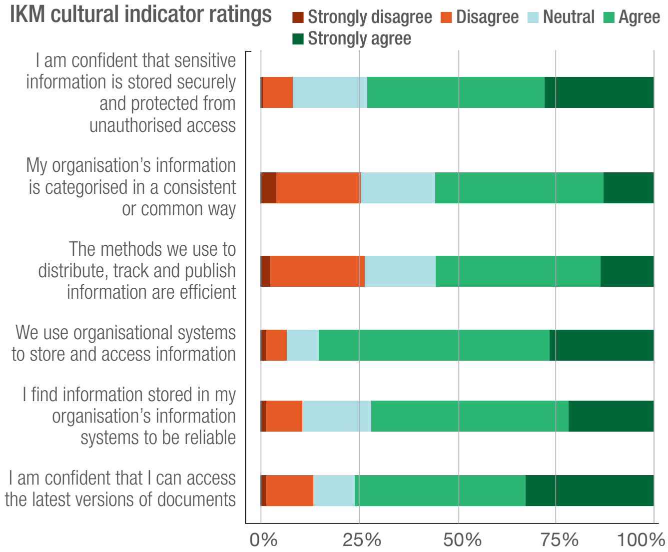

Figure 4: IKM cultural indicators

Technologies

While the use of some established technologies is very common, like EDRMS (89%) and Intranets (87%), the take-up of newer technologies is still slow, such as enterprise wikis (12%), data warehouses (14%) and enterprise search (18%). This may be due to budgetary limitations and the extensive planning and timeframes required to implement many of these technologies, particularly in the government sector.

Which of the following technologies are currently used in your organisation for IKM?

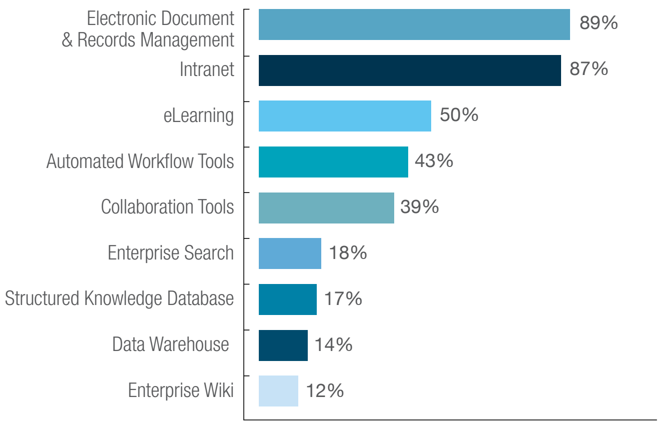

Figure 5: IKM technologies currently utilised

Enablers

System integration or consolidation is considered the biggest technology enabler for improved IKM in organisations, with 62% rating it ahead of mobility, data analytics and enterprise search. This highlights how more fundamental information and data management issues are still yet to be resolved in most organisations, preventing the introduction of more sophisticated technologies.

Barriers

People often don't appreciate the value of their knowledge to the organisation (47%) or don't have the skills to effectively use information systems to share their knowledge (54%). People however are often willing to share (48%). The barrier ratings indicate that people issues are the most prominent in organisations, rather than processes, culture or technology.

Figure 6: IKM barriers

Issues

Key issues that IKM attempts to address in organisations are process flows (77%), information access (77%) and information security (73%). Also quite common are collaboration (65%), efficiency (62%) and compliance (68%). More traditional knowledge management drivers such as succession planning, innovation and organisational learning are the least common reasons for an organisation's IKM program, suggesting a greater focus on information management.

Impacts

Good IKM has helped organisations with their regulatory compliance (77%) and improved staff productivity (68%). It has also improved quality of products or services (66%) and increased customer or community satisfaction (53%).

How has good IKM positively impacted your organisation?

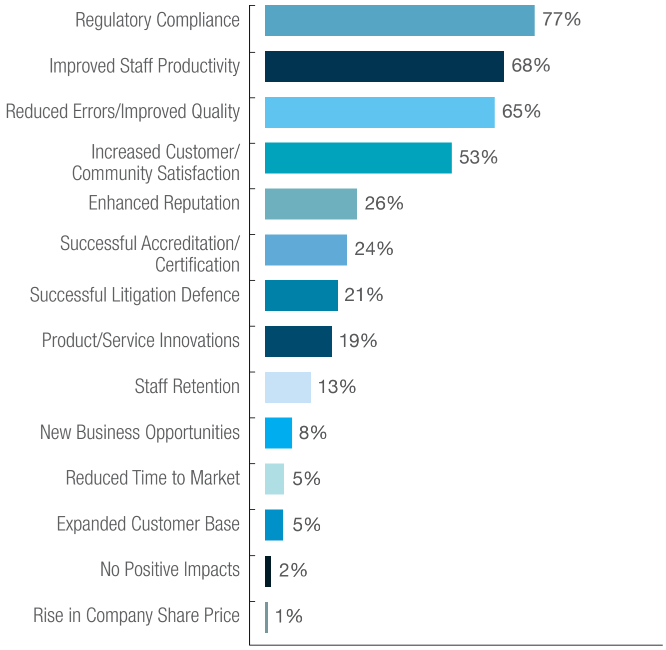

Figure 7: How IKM has positively impacted organisations

CONCLUSION

This study highlights some positive indicators for the future of IKM in Australian organisations. Most organisations are taking a strategic approach to IKM to ensure these programs are well structured and aligned to the organisation's business drivers and strategic direction. Positive organisational cultures for information and knowledge sharing also indicate that staff are becoming more aware of the value of their information to their colleagues and the need to manage it consistently.

Key areas for improvement were identified in the people, process and technology domains:

- A greater focus on identifying and removing people barriers to knowledge sharing
- Better processes and information architectures to facilitate access and use of information
- Integration of business information systems to improve efficiencies and data quality

Experience from Australian organisations shows that an effective IKM program will assist organisations to meet their compliance obligations, improve staff productivity and enhance the quality of the organisation's products and services.

IKM is a core discipline for the digital economy. The challenge for IKM practitioners is to align their work more closely with the business, to focus on and deliver better business outcomes, and to do so in a rapid, iterative and scalable manner. ❖

ABOUT THE AUTHOR

Kye O'Donnell BAppSci, MA, ARIM is a senior consultant at Votar Partners, specialising in records, information and knowledge management. Previously Kye has worked as records manager at the City of Perth and the Victorian Department of Justice; he was also an enterprise content management systems manager at Curtin University and a senior project manager at Public Record Office Victoria.

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Delivering the Wards Record Plan

In March 2012, the Victorian Ombudsman tabled a report *Investigation into the storage and management of ward records by the Department of Human Services* in Parliament in March 2012. Since that time the Records Management unit within what is now the Department of Health and Human Services has embarked on a major program of work to address recommendations in the report. The first stage involved the development of the Ward Records Plan and the second, the delivery of a complex multi-million dollar records management project.

By **Kylie Auld** & **Chris Hofmann**

It is important to remember why ward records are critical. Children have been placed in the care of the state of Victoria for over 150 years. The Ombudsman noted "the term ward began to be used in 1887 as the *Juvenile Offenders Act 1887* and the *Neglected Children's Act 1890* established that all neglected and offending children before the courts would automatically enter into the care of the state. Child migrants and Aboriginal children removed from the care of their parents would also often have become 'wards of the state'"[1].

Over 100 institutions in Victoria have housed state wards, more than 55 were privately operated and 45 state government-run. In his report, the Ombudsman defined wards of the state as children "either in the direct care of the state or placed or funded by the state in private institutions"[2].

OMBUDSMAN'S FINDINGS AND RECOMMENDATIONS

Some of the key findings of the Ombudsman included:

- the department had not inspected and indexed all ward records in its custody
- the archive where most of the department's ward records are stored is not fit for purpose
- that the storage and management of ward records in the custody of private institutions is not covered in the department's contractual arrangements.

story snapshot

The 2012 Ombudsman's report into the management of ward records contained six recommendations.

Three of these recommendations related to developing a three-year plan.

The Ward Records Plan project has an expected completion date of September 2016.

The Ombudsman concluded that the department should "take immediate action to ensure it has a thorough understanding of the records it holds in its collection so that care leavers can be assured that they have been provided with all available information regarding this often traumatic chapter of their lives"[3].

The Ombudsman report contained six recommendations, three of which related to developing and publishing a three-year plan. The Ombudsman requested that a plan be developed in consultation with the Keeper of Public Records and other relevant stakeholders. The plan had to detail how the department would identify, index, conserve, store, manage and provide ready digital access to all ward records within three years. Records which may be at risk, or may be urgently needed by former wards, must be prioritised in the plan. The plan must also be published on the department's website.

The plan had to detail how the department would identify, index, conserve, store, manage and provide ready digital access to all ward records within three years

The remaining three recommendations focussed on:

- communicating the discovery of collections of records to relevant stakeholders
- the relocation of all ward records from the department's archive to purpose-built storage facilities
- ensuring that ward records in the custody of non-government agencies are appropriately indexed and maintained.

GOVERNANCE

The first step in addressing the Ombudsman's recommendations was to determine key stakeholders and establish governance arrangements. The Health and Human Services Records Management Steering Committee was established in May 2012 and chaired by the executive responsible for records management in the department. Senior representatives from the Public Record Office Victoria (PROV) became members of both the new steering committee and the associated working group. Executives and senior managers on the steering committee represented the relevant departmental programs such as the Children, Youth and Families division, Family Information Networks and Discovery (FIND) and the Freedom of Information unit.

A ward records working group was set up in June 2012 specifically to develop the three-year plan and it also included representatives from the key stakeholder areas. The working group met fortnightly and provided monthly progress reports to the steering committee until the plan was completed. It was essential that all relevant stakeholders were consulted from the outset and regularly updated during development of the plan and project approach.

DEVELOPING THE WARD RECORDS PLAN

The next step was to determine the scope of the project. The term 'ward' ceased being used when the *Children and Young Persons Act* was introduced in 1989. However the working group agreed that all records of children removed from their families and placed in care were to be included in scope. The plan included:

- records from the late 1800s to 2012, the year the Ward Records Plan was written
- Department of Human Services records in the custody of the department or PROV
- all record formats including files, registers and index cards.

The department has an estimated 80km of hardcopy records in storage and more than 9000 collections in the department's recordkeeping system TRIM. It was challenging to determine which records were in scope due to the complex and changing nature of the department's functions over time. In order to ensure all records relating to wards were included in scope, the plan included not just collections of ward files but also all collections relating to the administration of out-of-home care. Even more broadly, Disability and Mental Health records were included in scope because of the known instances of ward-related information in these collections. In the end over 148,000 files and more than 87,000 boxes were included in scope of the final plan.

The plan was structured in three phases designed to prioritise the most important records for processing. This phased approach also addressed the recommendation that priority be given to records at risk or urgently needed. Every collection was reviewed and prioritised according to the following criteria:

- **Priority 1** – collections which definitely contain ward records
- **Priority 2** – collections likely to contain ward records
- **Priority 3** – collections which may contain ward records.

It was determined that the best approach to processing the records was to index and sentence every record in TRIM and preserve the records through re-boxing and transfer to purpose-built archival facilities.

The plan included an audit of the entire Department of Human Services archive and a separate business case was prepared to ensure fragile and frequently used finding aids such as ward registers would be digitised. The department also committed to develop and publish a finding guide to assist former wards and care leavers in accessing their records. The Ward Records Plan was finalised by the working group and published on the department's website by December 2012.

To address the three remaining recommendations a comprehensive communication plan was developed to engage and inform stakeholders about progress in delivering the Ward Records Plan. The key channels for communicating with former wards are through regular meetings with FIND, who provide a records service to former wards, and Find & Connect, who provide a website resource.

A separate project to relocate all ward records to either PROV or purpose-built archival storage is currently underway. The department's archive will be decommissioned and the holdings transferred to a PROV accredited storage provider by March 2016.

The Ombudsman's requirement regarding non-government agencies was addressed by seeking attestations from all agencies funded by the department who hold ward records. Every agency provided an attestation that the ward records in their custody are appropriately indexed and accessible when required.

WARD RECORDS PROJECT

The Ward Records Plan project is underway and has an expected completion date of September 2016. Delivery of this complex project has required the use of a proven project methodology. Chris Hofmann as the project manager has used the same Prince 2 based project methodology the department uses for complex IT and business process implementations. The methodology defines milestones, has a strong governance structure, uses a tested approach to stakeholder management and communications, has clear financial guidelines, and processes to escalate and report on issues and risks.

The first three phases of the project were completed by June 2015. Phase one focussed on planning, process mapping, development of the business case and seeking funding approval. In phases two and three over 40,000 of the highest priority records were processed. The processing included indexing, sentencing and preparation of permanent records for transfer to the PROV. Most of the boxes in Phase two and Phase three each contained more than 30 files resulting in the project indexing over 800,000 files in 11 months. By November 2015, over 6,000 registers and boxes of ward records had been transferred to the state archives.

The project team commenced Phase four in July 2015 and this phase is not only larger than Phases two and three combined it has also proved more complex. Phase four includes an estimated 600,000 mental health files, almost 400,000 disability client files and over 1 million index cards.

RESOURCING

Lessons learned from an earlier indexing project were used to build the team structure. The project teams have been selected on skills and experience required for each activity and include:

- a file indexing team which captures metadata for every file into the department's recordkeeping system TRIM
- a sentencing team with experienced and knowledgeable staff able to interpret up to 10 Retention and Disposal Authorities
- a PROV transfer team responsible for completing the required forms and re-boxing records into acid-free archive boxes
- a team focussed on developing the finding guide which is designed to provide information about the collection to former wards, Find & Connect and other stakeholders.

CHALLENGES

There have been some significant challenges in delivering the project including the complexity of different recordkeeping systems and numbering patterns used over time and high staff turnover.

A number of lessons have been learned including:

- the need to allow sufficient time for in-depth analysis of the scope and to enable grouping of similar collections prior to sentencing
- the value of frequent reporting to stakeholders
- the benefit of involving a system expert in the project team
- the importance of quality assurance (quality assurance measures have been included in each project process).

Statistics from the project showed that:

- the most files indexed by one person in a single day was 345
- the average number of files in boxes was 35, with the highest number recorded being 150
- the shortest processing time for a single box was 10 minutes and the longest took 2 and half hours

The first three phases of the Ward Records project were delivered within budget by June 2015

Bibliography

1 p.8 *Investigation into the storage and management of ward records by the Department of Human Services*, Victorian Ombudsman, March 2012
2 Ibid
3 p.4 *Investigation into the storage and management of ward records by the Department of Human Services*, Victorian Ombudsman, March 2012

- $70,000 was spent in one year on acid-free archive boxes
- over 90 job interviews were conducted in 12 months.

KEY SUCCESS FACTORS

If you are considering a records management project of this scale, there are some key factors which enabled effective delivery of this project.

Consider some of the following points before you start:

1 Establish the correct governance model as soon as possible and the best way to enrol and maintain executive support.

2 Determine who the key stakeholders are at the outset. Consult, collaborate and keep them updated with project progress. This includes continual reporting to senior management and establishing a close partnership between project and business teams.

3 Spend time defining the project scope and approach. Get the brief right!

4 Use a proven project management methodology to ensure consistent processes and quality of outcomes.

5 As part of your continuous improvement, look for opportunities to refine processes, improve the approach and add value based on what you learn along the way.

The first three phases of the Ward Records project were delivered within budget by June 2015. Three of the Ombudsman's six recommendations are complete and the remaining three are on track for completion in 2016.

Finally, and most importantly, the objectives of the Ward Records Plan will be met allowing:

- the department to provide efficient and timely access to records of former wards
- ward records to be appropriately conserved and stored
- mitigation of the risk of loss and physical damage to the records
- former wards to access information about the department's holdings through publication of the finding guide. ❖

ABOUT THE AUTHORS

Kylie Auld is the Manager, Records Management at the Department of Health & Human Services. She is currently leading a program of work which includes two major projects, one of which is the Ward Records Plan and the other the Health and Human Services Records Storage Strategy. Kylie is committed to addressing legacy records management issues as well as driving a program of work focussed on transitioning the department from hard copy to digital recordkeeping practices.

✉ She can be contacted at kylie.auld@dhhs.vic.gov.au.

Chris Hofmann is the Principal Project Manager for both the Ward Records Plan and the Health and Human Services Records Storage Strategy. Chris leads a multidisciplinary team of project and operational staff who deliver of a range of records management services across the state. Chris is also currently managing the decommissioning of the department's archive and transfer of 30km of holdings to a Public Record Office Victoria accredited storage provider.

✉ He can be contacted at chris.hofmann@dhhs.vic.gov.au.

What is information worth? The value of information is the amount a decision maker would be willing to pay for it prior to making a decision (based on its importance, worth or usefulness).

With most organisations drowning in data, paper-based and electronic documents, e-mails and social media messages, this information is stored (if at all) in operational systems, hidden on employees' disk drives or scattered across multiple repositories.

inForum 2016 will focus on helping RIM professionals to assist their organisations to reduce costs and increase efficiency through effective systems.

inForum 2016 will focus on helping RIM professionals to assist their organisations to reduce costs and increase efficiency through effective systems

It is intended that the conference theme will touch on a range of areas of interest including: creation, capture, storage and disposal, continuous improvement, scoping, implementation, roll outs, user adoption, systems integration, project management, improving customer service, optimising operations, information governance, compliance and risk, meeting critical business needs, and increasing the value of RIM professionals.

The call for papers closed on 1 February and the program will be released online in March, however information about the venue, trade exhibition and social program are currently available and updated regularly.

FOR MORE INFO Visit **inforum.net.au**

THE SOCIAL PROGRAM

There are many opportunities for both formal and informal networking at inForum. In 2016, these include the following:

- **Sunday 11 September**

  – Perth Scenic Tour
  A 1½ hour bus tour with commentary of Perth City's key highlights, 1-2pm

  – Information & Networking Session (formerly known as 'Newbies'), 4pm-5.30pm

  – Welcome Reception, Convention Foyer, Crown Perth Complex, 6-8pm

- **Monday 12 September**

  – RIMPA Gala Awards Dinner to be held at Frasier's Restaurant, Kings Park, Perth (aka State Function Centre) with the theme 'Australiana'.

- **Tuesday 13 September**

  – Networking Drinks to be held at The Merrywell, Crown Perth Complex, 5-6pm

- **Wednesday 14 September**

  – Networking & Exhibitor Prize Draw Seated Lunch, Grand Ballroom (Trade Exhibition area), Crown Perth Complex, 12.35-2.00pm

SPONSORSHIP AND TRADE EXHIBITION

inForum 2016 features a trade exhibition of 35 stands as well as numerous opportunities to promote your company through one of our sponsorship packages, some of which can be tailored to suit your needs. In 2016, exhibitors and sponsors will also have the opportunity to present on any topic of their choice for 20 minutes in a custom built area within the trade zone.

CONTACT If you are interested in sponsoring or exhibiting at inForum 2016 please contact Wendy Morris for a sponsorship kit: **wendy.morris@rimpa.com.au**

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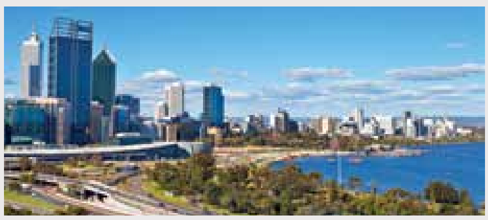
Perth, capital of Western Australia, sits where the Swan River meets the southwest coast. Its suburbs lie along sandy beaches, and the huge, riverside Kings Park and Botanic Garden on Mt Eliza offer sweeping views of the city. The Perth Cultural Centre houses the state ballet and opera companies, and occupies its own central precinct, including a theatre, art galleries and the Western Australian Museum.

Experience Perth and surrounds, and you'll find all of the essential ingredients for a great Australian holiday – some of the country's best beaches, plenty of nightlife, bustling markets, inner city parks, outdoor dining and amazing marine adventures. ❖



AWARDS 2016: NOMINATIONS ARE NOW OPEN

RIMPA presents a range of awards each year at our annual inForum convention. Some awards are by nomination, others are on merit.

J EDDIS LINTON AWARDS

The RIMPA Eddis Linton Awards recognise leadership through the practical application of innovation, collaboration, implementation, business benefit and excelling students.

The J Eddis Linton Awards seek to engage our leaders with the world, through global recognition and knowledge that is underpinned by the program's established framework.

The Awards culminate in the recognition and celebration of organisations and individuals that implement world-class initiatives and industry leading services on a prominent and far-reaching scale.

Nominations for the one project can be submitted for all categories that apply. Nominations can be self-nominated or nominated by another party. All nominees must be financial members of RIMPA.

Award categories

Innovation

The J Eddis Linton Award for Innovation recognises leadership through the practical application of innovative solutions for new and existing market needs resulting in a commercial, environmental and/or social benefit.

Collaboration

The J Eddis Linton Award for Collaboration recognises an exemplary skills development collaboration between a department, employer or industry body and, at least, one other stakeholder (including vendors and consultant).

Implementation

The J Eddis Linton Award for Implementation recognises organisations that have achieved outstanding results through excellence in implementation of a project.

Business benefit

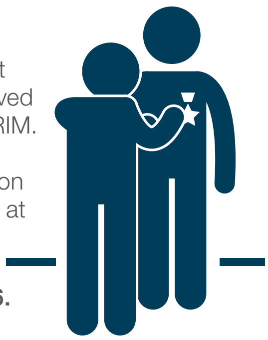
The J Eddis Linton Award for Business Benefit recognises organisations that have achieved outstanding success for business improvement.

Student

The J Eddis Linton Award for Student recognises students who have achieved excellence in educational studies in RIM.

Nominations should be submitted on the official nomination form, available at rimpa.com.au, by email to Kristen.keley@rimpa.com.au

➲ **Nominations close 30 June 2016.**



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INDUSTRY CONTRIBUTION AWARD

Introduced in 2014, these awards recognise industry contributions by RIMPA professional members.

Nominations can be submitted by any member of the Association, however every Branch Council should submit at least one nomination per year.

Nominations must include a brief supporting statement about the nominee and their nomination (ie, what is their contribution to the industry, where, when, how long, etc).

Areas where awards could be awarded include (but are not limited to):

- Involvement with Standards/Education
- Contribution to Standards/Governance/Strategy
- Involvement in Leadership/Mentoring
- Contribution to Local Government
- Contribution to the Company or to a specific Branch

Nominations (which do not require a nomination form) should be emailed to kristen.keley@rimpa.com.au

➲ **Nominations close 1 July 2016.**

RECALL *IQ* ARTICLE OF THE YEAR AWARD

Any current financial member who submits an article to *iQ* between September 2015 and August 2016 is automatically placed in the running for the Recall *iQ* Article of the Year Award.

Have you considered writing an article for *iQ*? Articles (of at least 750 words) can be submitted on any topic loosely related to RIM and also gain professional members CPD points.

There is still time to be considered for this year's awards, send your article submission to editor.iq@rimpa.com.au ❖

FOR MORE INFO More information on the Records and Information Management Professionals Australasia Awards is available at: **rimpa.com.au/grants-and-awards/** or contact Kristen Keley: **kristen.keley@rimpa.com.au**

EDRM implementation: a surprisingly bumpy road

When implementing an electronic document records management system (EDRMS), most organisations assume that it is just one more type of software which may bring added value… but the practical implications of such an implementation have a reach far beyond the software itself, since it asks for answers deep into an organisation's culture and its aims for the future. Most of the decisions that have to be made lie in unchartered territory, therefore demanding a very close collaboration, not only between consultant and customer, but also within the customer organisation and among the different stakeholders.

By **Joao Penha-Lopes, PhD**

When an organisation decides it should go to EDRM, it is because it has a sort of pain. Usually that pain has to do with the need to search for documents that are in different formats, with different origins, and assemble them for a purpose, which may be very hard and costly work. A typical example would be the search for what went wrong after a customer filed a complaint against the organisation. There will be emails in the individual email boxes of some people; there will be a paper letter with the request for bid; there will be a formal offer sent out and residing in a CRM system; there will be a couple more emails concerning some negotiating details; there will be another paper document with the order filed in a paper archive; there will be an invoice sent out from the accounting software – to make it short, it will be quite difficult to assemble all these documents in order to have a clear view of the whole process and what went wrong.

Within this context of need, it is absolutely necessary to evaluate if the organisation's expectations are, in fact, met by the implementation of an EDRMS. It is possible that, due to some lack of knowledge, people may have the wrong expectations even when talking about a very good EDRMS.

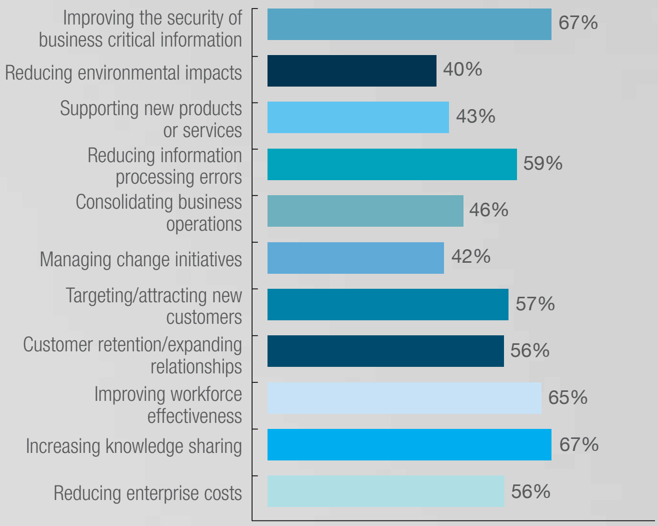
If any of the following situations exist in an organisation, then an EDRMS solution is a must:

1 Possibility of not knowing that a document exists

2 Possibility that, knowing that a document exists, not knowing where it is

3 Knowing a document exists, knowing where it is but having to push it manually from one person to the others.

Key aims and objectives for business critical document management processes



(Parks, 2011)

WHERE TO START

Although an EDRMS can be used anywhere within an organisation, it is not a good practice to try to implement it everywhere at the same time. Like the saying goes "How do we help an organisation?" – one department at a time, at least for EDRMS, is the appropriate methodology. One of the advantages of implementing one department at a time results in a faster internal sale of the solution because the other departments, not yet included, will see the immediate benefits for the departments where the solution is already implemented.

story snapshot

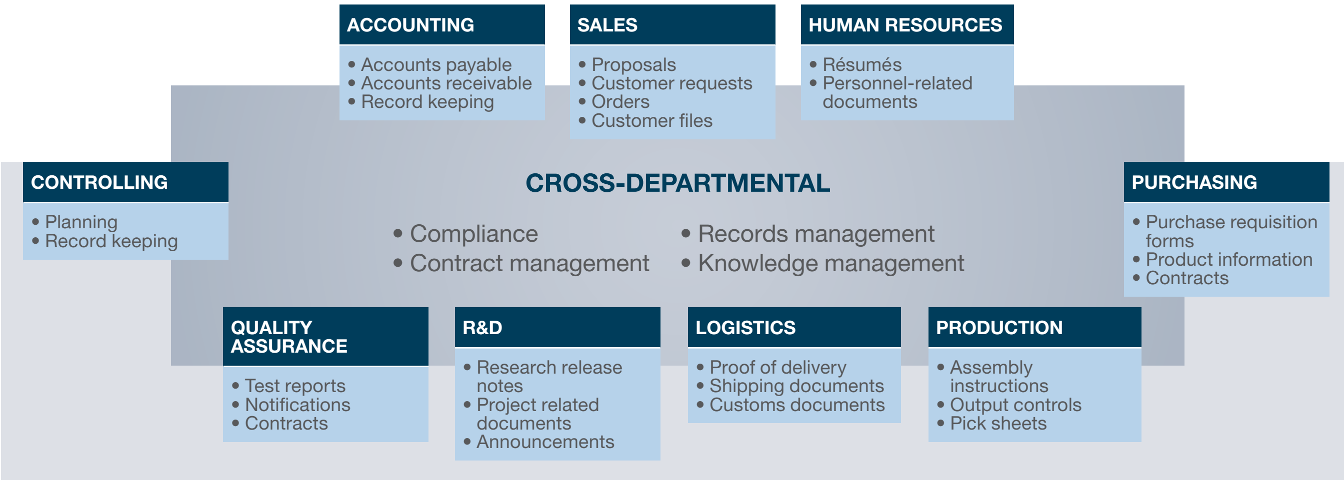
The first step is to evaluate if an organisation's expectations are, in fact, met by the implementation of an EDRMS.

Implement the EDRMS one department at a time.

Determine the list of documents and what should happen with each of them – where should they go and why.

Then define who handles them and what is allowed to be done.

After the 'sale' of the benefits of the EDRMS to the organisation, there must be a second sale to staff and middle management.



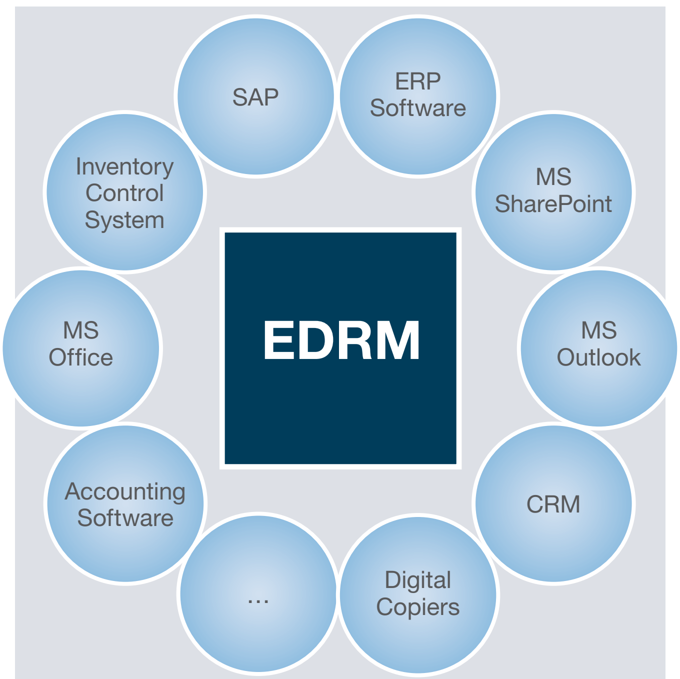
One should start where there is a more chaotic situation, in terms of needing to find the correct documents ASAP. If we consider that the finance department not only pays for the solution, but also deals with a huge number of documents such as vendor invoices, own invoices, credit notes, debit notes, bank statements, employee expenses, contracts, receipts, customer-signed delivery notes, and all the documents each organisation has in the area, the choice of the finance department to start the implementation seems like a wise one. The natural followers will be, not necessarily in this order, HR, sales, production and maintenance, for instance.

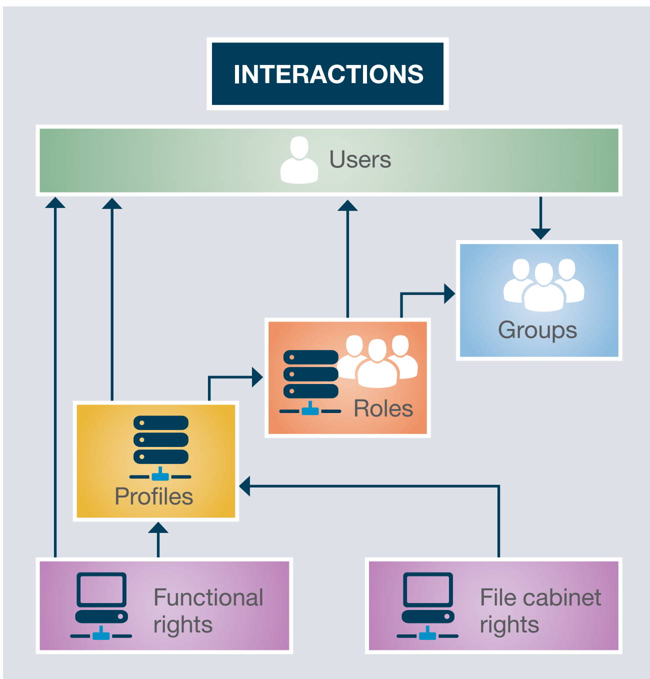
METHODOLOGICAL APPROACH

There is no success recipe in this area of activity, but there are some rules of thumb that one can follow. Since the aim is to manage documents one must start listing the types of documents that the department involved works with. It is necessary now to broaden our concepts of reasoning when we talk about a document. To start with, a document is not just a digitised piece of paper. Gartner back in 1999 was already stating that, at that time, only 7% of the documents we use daily were paper, therefore a document that later can transform itself into a record, may be any digital file we handle in the computer. So we need to list the types of documents, making note of their formats. An invoice can show up as a paper document or as a PDF as an attachment of an email. Although they are both invoices, the digital processing will have different starts depending on if we are processing the paper or the PDF version. The same applies for all the other types of documents that show up in the department: we need to know all of them and we need to know under which formats they show up. If they are originated in another application, it is also necessary to know, because the aim is to concentrate into a single repository all the documents of the organisation, with the necessary integrations with the other applications existing. The major benefit is that, with a single search, any document is detected independently of its origin, original format or original application. Once we determine the list of documents the next step is to know what should happen with each of them – where should they go and why.

WHO AND WHAT?

Once we start defining what happens with documents, the immediate next need is to define who handles them and what is allowed to be done. For the sake of an efficient solution maintenance, all these decisions should be made based on roles and profiles, instead of users, as the image below illustrates:





First we start by identifying roles. These roles do not have to have an equivalent on the organisation organogram. They have to be identified in order to know where to associate both access rights as well as functional rights. Say, the HR department: this does not include only one role; it will include at least two different roles – the staff and the manager, since clearly the manager will have all the rights of the staff plus rights of its own. So roles are used to identify sets of exactly the same rights. As stated above we can have access rights which are related to which file cabinets and which documents a role can access, and we can have functional rights which are related to what a user, belonging to that role, is entitled to do once access is granted. After it is quite easy to assign users or groups of users to each role found.

This is one of the main surprises. It is not trivial at all to identify the roles and the necessary profiles for each of them, with the sets of rights of the types in the figure above: either access or functional. It is a surprise because organisations never thought of this before or, at least, in a context where a decision must be made in order to move on.

The roles are also called upon in terms of document workflow, such as a vendor invoice approval. Workflows must be based on the roles and not in individuals as a general practice. This way of implementing a solution will make future organisational maintenance a breeze since, when people change jobs, it is only a matter of adding or subtracting users to the existing roles.

OPEN SOURCE VS PROPRIETARY SOFTWARE

This is an unavoidable subject when deciding what tool to implement. Again, the author does not believe there is one only answer; it will depend. Before elaborating on the two options lets settle on the concept of TCO-Total Cost of Ownership.

When choosing software, one tends to think only about the cost of the license; but although the cost is, indeed, a parcel of the whole costs, it is far from being the sole factor, and from being the most expensive one.

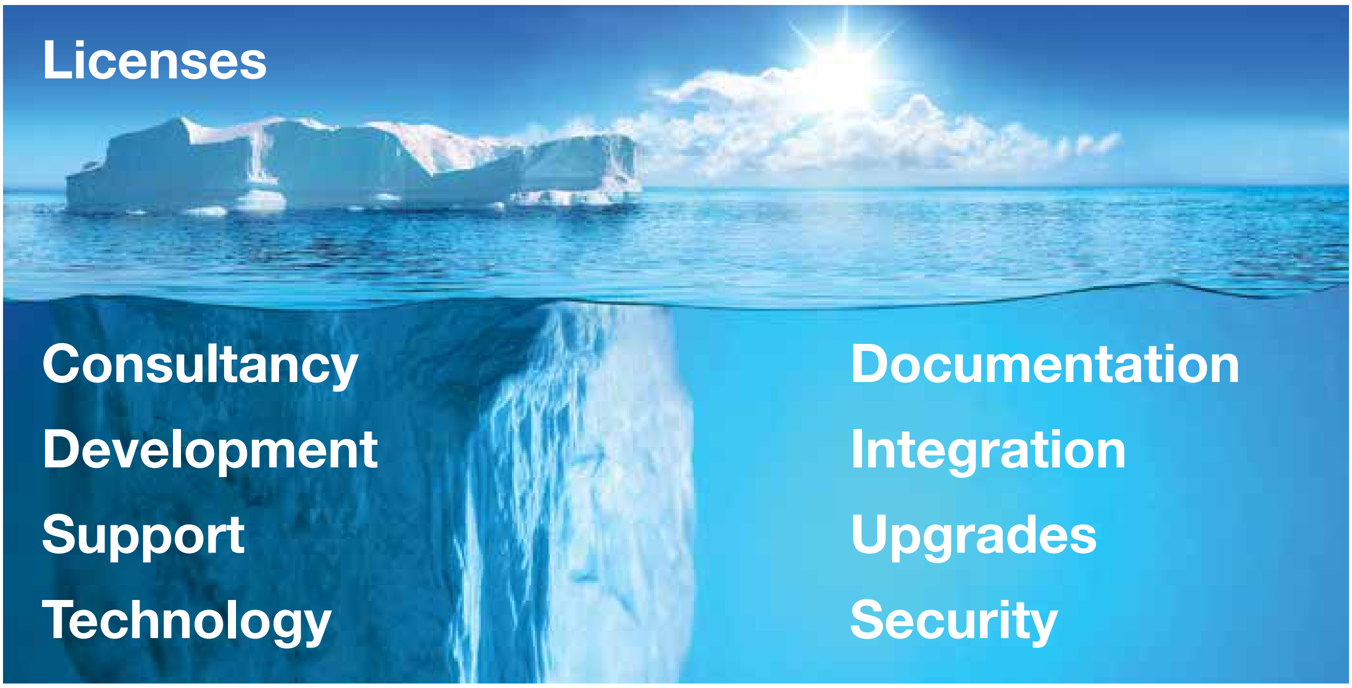
Below the water line, we have many costs that should be taken into consideration

Below the water line, we have many costs that should be taken into consideration. Consultancy, in all its forms, from the initial analysis to the configuration of the tools and training of users; documentation, not only on the tool but also on how the solution was built around the tool; eventual development, when the tool needs to be active; integration of the tool with surrounding applications; upgrades, so the tool can accommodate upgrades of the operating system as well as adding new functionality or ease of use; technology, as a means of making the life of the users as simple as possible; support, on how to use functionalities of the tool or on how to deal with known issues; and obviously security, so that quality control conformities can be duly met.

If all EDRM software were open source, most probably every brand would be similar or identical to the next one. What makes a software more secure, more user friendly or more powerful is its code, and this is why manufacturers invest so much in software development. Then they protect their investment with a proprietary software. Let's not confuse 'proprietary software' with 'proprietary interfaces'; the interfaces should always be open, meaning that a PDF archived should be kept as a PDF and not a strange format that only the software can understand. The same applies with databases where metadata and other information, such as full-text, is kept; databases should be open and not proprietary. If, for a university, open source may be the right choice due to the amount of 'free' knowledge to handle it, for a private corporation, the proprietary software offers the speed of being in production and operative support that a dynamic business requires.

BENEFITS TO BE EXPECTED

There are a number of benefits to be expected from the use of EDRM solutions, some are quite objective and others are subjective, and completely dependent on several factors related to the culture of the organisation and its management and staff, and these subjective benefits can only be calculated on each organisation.



Concerning the objective benefits we can quickly find the following:

- Savings on printed paper
- Savings on toner and ink related to printing
- Savings on space occupied with paper archives
- Savings on time spent looking for paper documents, processing them and re-archiving them
- Savings as a consequence of quicker payment processes
- Lower risk of losing or damaging documents
- Better control of who accesses documents and do what

On the other hand the subjective benefits, although they can be higher than those just listed above, depend very much on the culture of the organisation. If staff have a mood to adopt new tools, then the related enthusiasm will obviously be a great help in productivity improvement. If staff are reluctant in the adoption of a new tool, then the usual comments "What's in it for me?" or "I am not paid to do that" will be close enough to a show-stopper. Naturally, the management attitude will matter for the staff and usually after the 'sale' to the organisation is in place there must be a second sale to staff and middle management in order to show the individual benefits of using the EDRMS. These individual benefits are linked to the fact that staff will have much more time to do their core business and, chances are, they will perform their tasks much better with the consequent recognition.

When implementing an EDRM solution, it will be necessary to draw inter-departmental flows, and therefore it will be necessary to know how these departments work. Therefore the top management must also be ready to instruct department managers to provide all necessary information. The more efficiently used the EDRM solution is, the better the customer response, the internal processes, and the consequences of remote access. Typically internal processes, as well as customer service response, may have huge improvements as far as cultural context favours it.

Once the EDRMS is in place and in production, people will always find out new ways of improving efficiency and that is what really matters. Unlike Mozart's music, an EDRM solution is never finished and can always be improved. ❖

ABOUT THE AUTHOR

Joao Penha-Lopes is a MsC electronic engineer from IST (Lisbon) who has been involved in portable microwave projects, optical fiber projects, and the implementation of one of the first private TV stations in Portugal. In 1995, he decided to specialise in document management. He has two post grads in document management from the University Lusofona (Lisbon) and a PhD from Universidad de Alcala de Henares (Madrid) in 2013 with a thesis that studied the economic benefits of EDM. He is an ARMA collaborator for publications and professionally acts as an advisor on Critical Information Flows mostly for private corporations in Europe, Africa and South America.
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The Virtual Archive: the growing digital footprint

As information technology continues to ever-evolve, information managers need to ensure that information remains accessible but, most importantly, remains legible for the human eye many years from now.

By Gerard Rooijakkers

The idea of managing a digital archive is not the only challenge. A bigger challenge is "How will we make the information available for the researcher and interested members of the public?" Will they be able to view and research the information at leisure in their own home, being seated in the lounge browsing it on the smart TV?

This article will express my personal opinion on how the future may look and what the challenges are to make the information available to contractors in the field and the public from their work or home. How will the information be presented with the proper context, and how can the information from the various information silos be made accessible?

Managing and providing digital information in causality, providing proper context, is the main challenge, but is also a great opportunity to provide transparency regarding the organisation's way of conducting its business and aiming to "Be informative in perpetuity".

story snapshot

Today's ballooning data volume requires adequate governance.

We need to prevent digital dementia.

The Virtual Archive allows us to organise information to be accessed at a touch.

PAINTING THE PICTURE

It is evident with petabytes of data increase (electronic information in the form of structured and unstructured data), that this rapidly ballooning data volume requires adequate governance, life cycle management and security controls to ensure that the data is captured, kept up to date, validated, managed and made available for authorised and authenticated users. Not only do records and information managers have a vital role in the compliance aspects of information management, they also need to apply their professional expertise in achieving a different approach on how to manage and access the information.

This article will focus on the management of different types of data, the exponential growth (the footprint of our data) and how information management evolves from the traditional way of using, managing and making the data available for the development of apps as well as the provision of portals to serve customers with information at their fingertip. Some of the illustrations used are based on my experiences at Auckland Transport, a council controlled organisation (CCO), which was formed in November 2010 after the amalgamation of the councils in the former Auckland Council Region.

The Electronic Landscape consists of structured and unstructured data from a variety of functions and activities, including projects, subjects and objects managed in several business system applications which retain the following:

- Customer relationship data
- Geo spatial data
- Licensing and infringement data
- Asset management data
- Financial data
- Documentary information
- Computer Aided Design information

VIRTUAL ARCHIVE

Virtual means not physically existing as such but made by software to appear to do so. Some would argue that the Virtual Archive is a digital Pandora's box, containing all the evils of the electronic world.

The Virtual Archive is an opportunity to organise information in such a manner that it can be accessed, retrieved and researched at the fingertips, seated comfortably in a recliner chair, using GeeGees, (that is short for google goggles), navigating at the blink of an eye, feeling on top of Cloud Nine.

I cannot imagine that all records and information managers currently working in a digital environment would be in the state of total euphoria depicted here. I could argue that they are far from it.

The continuum of changing technology platforms, software applications and ballooning amount of data may give them more the feeling of being in the caboose from a driverless, runaway train: uncontrollable.

There's no doubt about it, we live in challenging times in our digital world, with all the action from malware, cyber-attacks, hacking, Wikileaks, information accidents and incidents, viruses and worms – I wonder: Did the New Zealand Government think of these worms when it classified a worm farm as extremely hazardous in the newly proposed Health and Safety Regulation?

EXPONENTIAL INCREASE OF DATA VOLUME

Auckland Transport (AT) doubles its data volume every year. In the five years of its existence, AT has now arrived at a staggering 1 petabyte of transactional data storage growth per week alone.

AT's Information Management Team migrated from external sources 254GB of electronic documents, digitised 54GB of physical records and reference material in the Financial Year 2014-15 and SharePoint data has grown from 2,750GB in 2014 to 4,100GB in 2015.

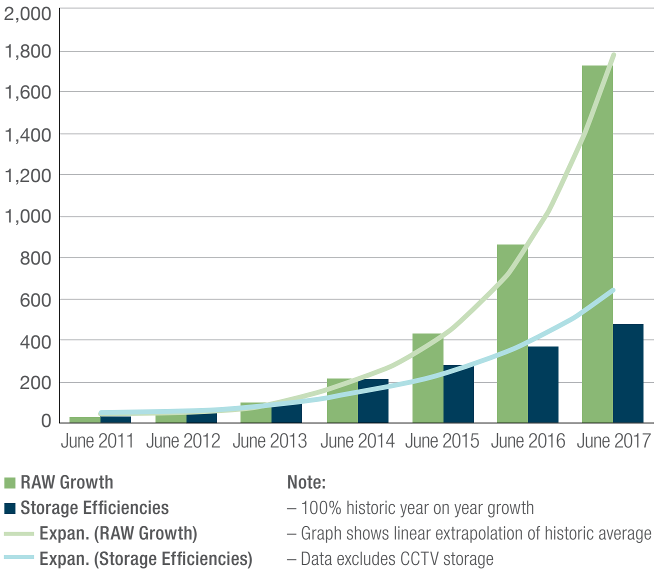
A large portion of data is generated by day-to-day transactions such as performance of electric trains, whereby incidents/events are registered on board the train and can be down-loaded into AT-systems when docked at the Wiri Train Depot in Manukau.

There is a significant volume of patronage data (through HOP card usage) from buses, ferries and trains which is downloaded and transferred from the Public Transport operators systems to AT-systems overnight and used for reconciliation of financial affairs with the PT-operators.

CCTV-information from public areas including traffic management, car park building security monitoring, bus lane violation and parking infringements form another substantial part of AT's data volume.

The increase in information has its challenges and AT is looking at a storage strategy: What data is kept where, from a cost-managing perspective, such as storing less required data in cheaper storage solutions in the Cloud. It requires AT to ensure proper data classification and knowing what data is critical to its business continuity as well as recognising its value to the organisation. The use of the Cloud also incorporates the mitigation of data sovereignty risks associated with using Cloud services located outside of New Zealand's jurisdiction or foreign-owned Cloud service providers.

Projected future growth – 2015 onwards



This graph indicates the prediction of AT's data growth

CHALLENGES TO MANAGE DATA GROWTH

This data growth is partially caused by duplication of information. Duplication happens when for instance sending emails with attachments, making back-ups, downloading data from source into spreadsheets, staff storing emails in SharePoint, MS Outlook and CommVault as well as storing transactional data in the Electronic Data Warehouse for Business Intelligence analysis and reporting. However at occasions duplication is undertaken purposely. For the maintenance of AT's car park buildings, AT has copied digital information from Auckland Council's property files. This duplication was necessary because AT staff cannot access/retrieve information from Auckland Council's FileNet system due to technical constraints.

So, one of the bigger challenges is to de-duplicate information, which requires applying business rules, data classification and run retention and disposal processes in an automated fashion.

THE DIGITAL FUTURE

The digital future is full of unknowns. Although, some companies seem specialised in crystal ball reading, producing interesting future predictions and trends, visualised in quadrants and matrixes, for people on the coalface of information management, working in the engine room, things can be less futuristic and shiny unless they wear a pair of pink coated glasses. For some the motorway of the digital future may feel like a road to glory but others deem it the highway to hell from which they would like to take the nearest exit and leave cyber space far behind in return for the wonderful world of printed matter. This may be a cynical reflection on the Virtual Archive but thanks to the organisation's positive mindset, and with the help of IT specialists and dynamic people in the information management profession, we slowly but surely are managing to tame that cyber beast, continuing to improve and enhance our business applications and managing the data flow and growth better. We have governance in place, policies and a whole range of IT-products, add-ons and apps to deliver a suitable outcome for our customers: the staff at AT and the public who use our services.

However, the exponential growth continues and the biggest challenges are lifecycle management, decluttering and deduplicating, as well as ensuring that we hold one source of the truth, complete and accurate and with the required integrity.

The sheer volume of data places information managers in a position in which they are virtually unable to manage this in the traditional records management way. IM professionals are embracing new technological tools to assist them in managing data.

> *The sheer volume of data places information managers in a position in which they are virtually unable to manage this in the traditional records management way*

ARTIFICIAL INTELLIGENCE

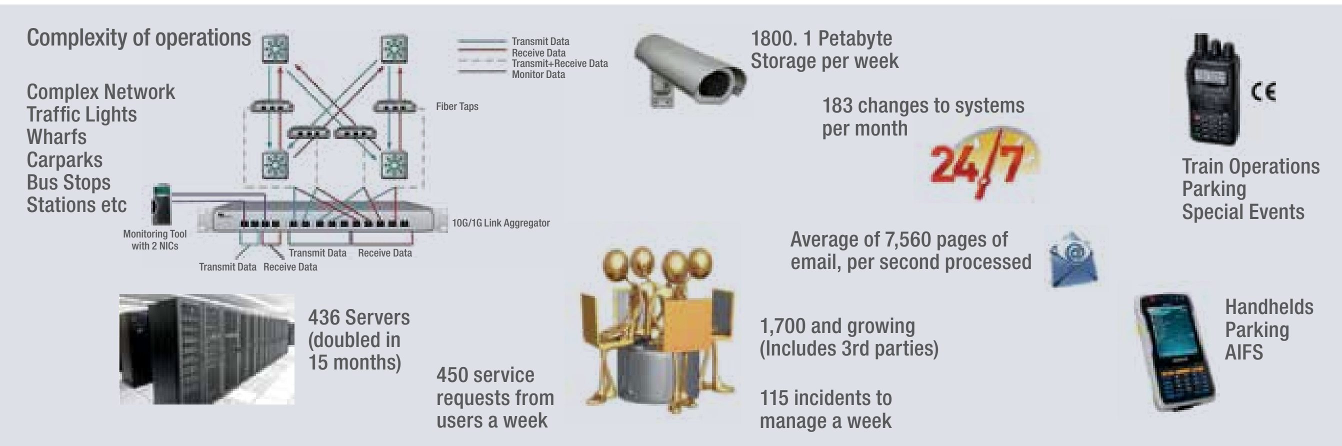
The ever-ballooning data volume requires information managers to apply artificial intelligence such as automated data classification – based on rules set by the individual organisation's functions and activities, and automated appraisal process whereby the records with long term business value and archival value (for a Council Controlled Organisation that is the listing of Protected Records for Local Government Authorities issued by the Chief Archivist of New Zealand Archives) are arrested as records and secured for future reference and research: System Assisted Information Management (SAIM).

Information managers all suffer from the ingenuity of people trying to evade their carefully designed and organised digital work space. People saving data in external media, exporting data into XL spread sheets are just a few of the problems we encounter. We need to make arrangements in an organisation to direct the use and saving of data in the respective core business applications in an automated way minimising any manual metadata entry through the design of document management within the application of preference.

INFORMATION COMPLEXITY

The information management complexity increases further with the even greater variation of digital forms, formats and media in which we hold our information as well as the increasing amount of business applications, mobile apps, use of social media and diversity of data storage options, on-site, in the Cloud with servers situated in New Zealand or elsewhere in the world.

This leads to numerous issues in the field of compliance with the PRA2005 as well as the conservation and preservation of digital information in general.



(Illustration from AT, FY 2014-15)

FEDERATING INFORMATION

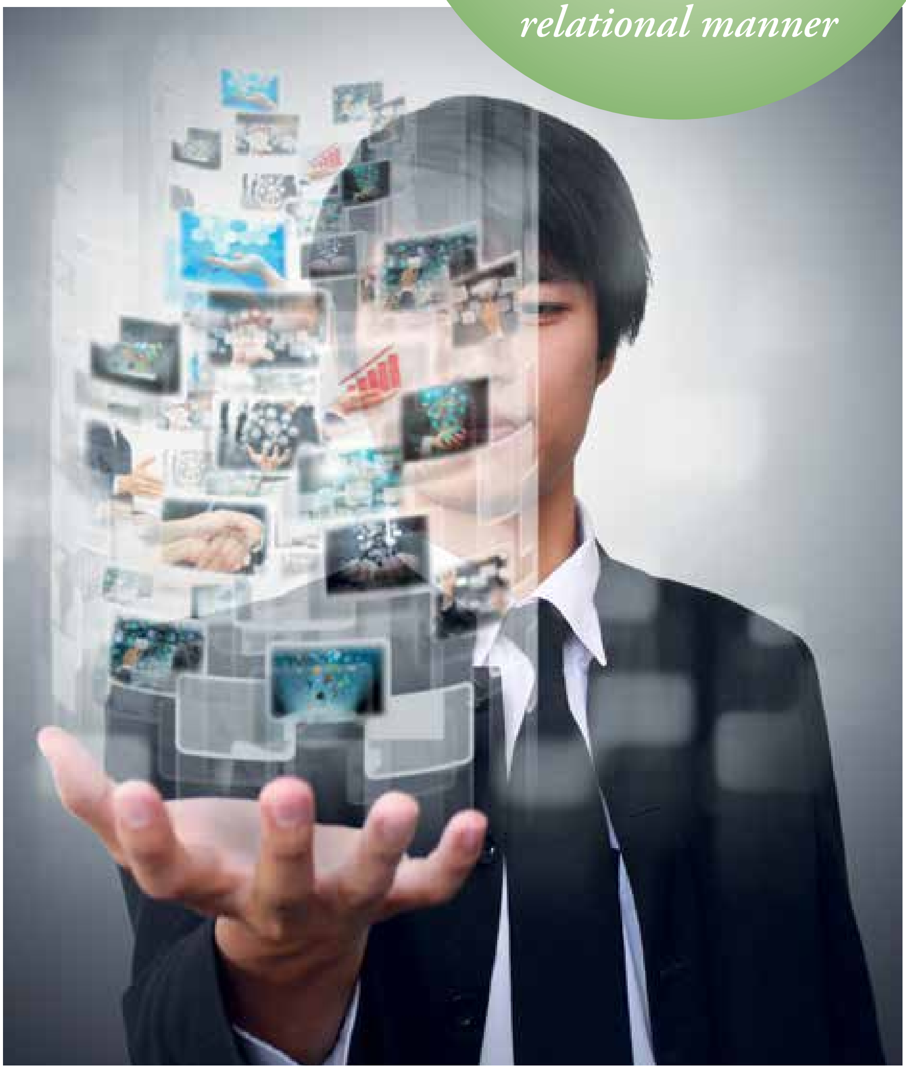
The siloed structuring of data, the use of different repositories urges us to federate the information sources to enable access and retrieval of the information in a relational manner. In other words when we look at a built structure (for instance a train station) we need to relate the information of the structure itself (CAD-drawings, technical specifications), the resource consent, building permit and other documentary information about the built structure, the financial data, asset management information, which may all be held in different business systems. Answering the "who can see what" question requires a granular access and security modelling as not all of the data is to be considered "open data".

AT's information is held in various silos. From the contractor's and public's perspective, it's necessary to access and retrieve the information required for their (research) project irrespective of where that information is held. The key to achieve this is federating information silos as well as attaining recognition and acceptance by users and information technologists.

Federated information management is an approach that relies on indexing data in its native form rather than converting it to a common format. This concept is in fact already working in web-indexing engines like Google, which reads and indexes a website's metadata and content rather than making copies and storing them in one unique format.

Federated information management allows for indexing a variety of types of data in various forms (spatial data, graphical files, business documents) and presenting them via a spatial user interface.

The siloed structuring of data, the use of different repositories urges us to federate the information sources to enable access and retrieval of the information in a relational manner



UNIFIED DATA GOVERNANCE

In our era of digital communication and transaction, the exponential growth of structured and unstructured data can be a scary experience for people working in the RIM profession. In light of business continuity and legal requirements, there is a need to ensure that appropriate governance is in place to manage the entire process of digital borne information, from its inception to archiving for perpetual use, and also to ensure that the data is accessed and retrieved by authorised people only.

Instead of creating separate governance structures for each of the business applications (and data silos) thus increasing the information disconnect, a more holistic approach is required as all of the data silos contain information interrelating to many of the daily business processes captured in a variety of business systems in an organisation.

Unified data governance will provide a comprehensive, unified platform which ties in data integration, data management and master data management. Unifying data governance will also be essential for the 'nexus of forces', a term used by Gartner for the combination of mobile, social, cloud and information innovation. Elements that will become more applicable for the digital archive, the container of all relevant information in which the public may have a continued interest.

ROADMAP TO UNIFIED DATA GOVERNANCE

The roadmap to unified data governance is a long-winding road, which includes many steps. I will highlight some of the elementary components.

Establishing a data catalogue: a directory of information about data sets, files, or a database. A catalogue usually describes where a data set, file or database entity is located and may also include other information, such as the type of device on which each data set or file is stored.

Data classification as a part of information lifecycle management (ILM) process can be defined as a tool for categorisation of data to enable the organisation to effectively answer following questions:

- What data types are available?
- Where are certain data located?
- What access levels are implemented?
- What protection level is implemented and does it adhere to for instance the *Public Records Act 2005* and the *Privacy Act*?

Data stewardship is the management and oversight of the organisation's data assets to help provide business users with high-quality data that is easily accessible in a consistent manner.

These three elements are essential for creating a robust, quality-assured digital archive with information that is complete, accurate and up to date: the one source of the truth. Information that can be upheld in court as evidence, information that can be used by AT's board of directors or Auckland Council to make considered decisions and information that can be provided to members of the public. Also, information that reflects the historical DNA of a community moving forward.

BUSINESS INTELLIGENCE

People working in information management are experiencing the growing digital footprint each and every day. Walking in Auckland's CBD to work or going shopping people are being monitored by CCTV. Auckland's main arterials and intersections are monitored by CCTV, as well as the railway, bus stations and parking buildings – so when travelling on the buses, ferries and trains, the public is being monitored. The intelligence of these devices is not only present in the imagery (video footage) capturing vehicles and people moving around the city, the data analytics are smart tools for improving Auckland's infrastructure. But it can also aid the emergency services by adjusting traffic lights to create a green light flow for them enroute to an incident/accident. CCTV is providing us data which can be visualised for road users in traffic congestion messaging on their mobile devices or leading people to a free car park space in one of Auckland's downtown car parks.

AT's Hop cards provide a wealth of information on the commuting trends from Aucklanders. It helps AT understand the travel patterns, which will allow measures to be implemented to minimise waiting times when people are having to change transport modes at Transport Hubs. It has a significant value for our customers when an App can alert public transport users on their mobile phone that the bus will arrive at their bus stop within five minutes, so they better leave their home quickly to catch that bus.

DIGITAL ARCHIVE

A digital archive is a continuum of information not even remotely analogue to the interpretation of the word 'archive' in the traditional recordkeeping sense. Each day we add information to it. When creating a digital archive from all of the available information, we aim for people to access the digital archive remotely.

In doing so, we expose the organisation to risks not dissimilar from managing a traditional archive with physical records. The complexity of information management increases with the expanding range of media and portals in an effort to communicate with AT's customers and service providers more efficiently. Opening up AT's systems to members of the public presents an increasing risk of information incidents.

Access and security, authentication management, is a highly complex matter. The first tier in structuring access rights can be managed through the Active Directory, which then requires structuring a more granular and concise access regime at Business Application's level.

The use of Apps for mobile devices introduces yet another level of risk. Recently security was breached on certain computer system of a popular car brand, allowing hackers to remotely take over the vehicle management of an American four wheel drive.

AT's CCTV footage comprises people and therefore a high standard of security is needed to prevent breaches of the *Privacy Act*. A raft of measures must be in place to safeguard these images from unauthorised access and viewing.

No matter what system of archiving, being able to access the information efficiently must result in the effective retrieval of the right information when needed. Retrievability is a term associated with the ease with which information can be found or retrieved using an information system, specifically a search engine or information retrieval system.

In the digital archive, all hinges on the quality of metadata capture of, in particular, unstructured data.

PRESERVATION STANDARD

The International Council of Archives (ICA) has investigated a standard preservation format for unstructured data to remain legible for the human eye in perpetuity – and has determined that PDF/A is the appropriate solution. "For now" I would like to add, as we do not know what the future holds with technology and applications continuously evolving. On that note: the International Organization for Standardization (ISO) is looking after the PDF suite of standards. It seems that the further development of PDF suite of standards is driven by Information Technologists only, which may not necessarily be in the best interest of Information Management. For instance, ISO 19005-2:2011 specifies the use of the Portable Document Format (PDF) 1.7, as formalised in ISO 32000-1, for preserving the static visual representation of page-based electronic documents over time. At the same time ISO states that ISO 19005-2:2011 is not applicable to:

- specific processes for converting paper or electronic documents to the PDF/A format
- specific technical design, user interface, implementation, or operational details of rendering
- specific physical methods of storing these documents, such as media and storage conditions
- required computer hardware and/or operating systems.

This seems to make the automated conversion of Word documents into the accepted PDF/A standard as recommended by the ICA almost impossible. It's something that needs addressing.

There are many challenges to be conquered and risks to be mitigated before we have a digital archive that can be researched from people's home comforts with the proper authorisation and authentication processes in place.

BUILDING INFORMATION MODELLING

Building information modelling (BIM) is a business methodology of organising, navigating and representing building information of (infra)structure in an intuitive manner in three or more dimensions. It is the (emerging) standard for capturing and communicating civil engineering and construction information. The information captured by BIM inherits the lifecycle of the asset being built ie, for a bridge or subway station with a 100-year service life, the BIM must also have integrity for the same period in order to support the asset's maintenance.

The concept to make navigation and access to information more intuitive and instant is an interesting option for AT as most of its information relates to the geo-spatial environment. The choice to use GIS (GeoSpatial Information System) as the navigational tool to access a variety of information sources seems logical. So how is AT trying to get the information available for contractors working on big projects for Auckland Transport?

The Central Rail Link is a significant project to create an underground rail connection from Britomart (the rail station at Queen Elizabeth Square) to Mt Eden Station. To support the administrative part of the project AT, LeapThought and Microsoft developed the Fulcrum product. AT already uses SharePoint Server for its corporate intranet, and have upgraded to the latest version of SharePoint Server so they can better accommodate projected growth over the next several years, including the adoption of Fulcrum.

Building the Fulcrum solution was a strategic decision for Auckland Transport, as it allows AT to leverage from existing technology and platform investments enabling us to choose from flexible deployment models for Fulcrum: on-premise, off-premise in a private or public cloud hosted on Microsoft Azure, and Microsoft Office 365, a suite of cloud-based communication and collaboration tools.

The open architecture also gives AT the ability to integrate data from existing systems, such as SAP, GIS, and Microsoft Dynamics CRM. Auckland Transport staff can now make faster, more informed decisions because all the relevant information is aggregated into personalised workspaces. This product development received the global Microsoft Partner Award in the Public Sector category 2015 and is one step on the road to provide integrated access to various information silos and the BIM concept.

CONCLUSION

The digital era has changed the way we communicate, access, retrieve and exchange information. Records and information managers have evolved with the new technological developments and embraced the benefits of it to start building on a digital archive. There lies a huge opportunity to serve our customers (internal and external) in a very timely and client friendly fashion at the comfort of their own home and/or office.

SAIM using artificial intelligence to manage digital information and preserving it in perpetuity is a significant and ongoing challenge. Retaining our digital information legible for the human eye will be just one of these challenges to be conquered. We need to prevent digital dementia: loss of corporate memory.

In the long run, it is future generations that will benefit from a digital archive, whether that be in the form of self-service from the comfort of the home, office or being the contractor in the field, the employee on the train or bus or a customer going to a physical library and archive centre and browsing the computer, like reading a book or newspaper.

To arrive at this ideal position we need to use artificial intelligence to structure and manage information as well as federating information sources. A holistic approach for information management is required and a unified data governance will be a founding force to assist in achieving this goal and ensure that we will not encounter digital dementia. ❖

ABOUT THE AUTHOR

Gerard Rooijakkers ARIM is information manager at Auckland Transport's Business Technology and New Zealand director of RIMPA. He was responsible for information management as manager of internal affairs with local authorities in The Netherlands for two decades. He then joined Auckland City Council in 1999 as their corporate records and information manager after which he managed Scion's Knowledge Centre in Rotorua before joining Auckland Transport in July 2011. At Auckland Transport, he is responsible for the management of information (structured and unstructured data), administered in several major software applications. The organisation's objective to fully operate in electronic form provides many challenges as well as opportunities in a very dynamic environment.

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