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Comments from the Chair

DAVID PRYDE, MRMA

RMAA Chairman of the Board



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The Utility of Education

As the peak records and information management body in Australasia, the Records Management Association of Australasia (RMAA) does not involve itself in the politics of the day, except to understand and decipher government legislation in regard to recordkeeping for public offices in Australia and New Zealand.

It is certainly not my intention to involve us in the matter now dubbed "Ute Gate" except to highlight, that should the Australian Government have put in place "best practice" records and information management processes and procedures for the capture and retention of electronic data (emails), then any misconceptions of impropriety may have been averted.

RETURN ON INVESTMENT

You will all be aware that one of the returns on investment for implementing records and information management frameworks is mitigation of risk. As the dust and smoke settle over a certain utility vehicle in Prime Minister Kevin Rudd's Federal Seat of Griffith, at a time when government at all levels is legislating to highlight to voters that they are truly transparent and accessible, "Ute Gate" perhaps is a timely reminder that more work needs to be done in the area of email capture and security.

This incident is just further confirmation that the resources that the RMAA Board have put into training and education are justified, not only for our members and the profession to take back to their workplaces, but for employers, including government, to understand the many other financial benefits that a records management framework brings to the table.

EQUIPPING US FOR THE RIM'S BALANCING ACT

With the diverse and far reaching subjects that the average records manager now has to contend with, not to mention developments in IT, Shareware and Web 2 products, the more information that we can make available in courses, seminars or workshops must assist members in balancing their daily workload.

It is with this in mind that the RMAA's two major events this year have identified the diversity of our profession (Information Awareness Month),

while the theme for the 26th RMAA International Convention in Adelaide in September is "Striving 4 Balance".

I am certainly looking forward to attending a number of our keynote and local speaker's presentations at the Adelaide Convention, to find ways to work smarter, more efficiently and to bring balance into my work ethic.

I want to ensure that my RIM framework – one that is based on best practice principles – is appropriate for the unique business processes of my organisation, and still compliant with the legislation and standards that govern it.

The RMAA's Education Strategy is not only about the girding of our members with the tools or knowledge for personal development, although it is a driving force behind it. The strategy is also a vehicle to increase our sphere of influence across the profession.

TELL THE WORLD

We still regularly encounter attendees at RMAA events across Australia and New Zealand who did not know we existed until someone like you told them about us and invited them to a seminar.

Word of mouth still remains the most powerful marketing and industry education tool that we possess. Tell your colleagues, employees or customers about our monthly seminars, and about the benefits of membership to our association. Any one of you can earn valuable CPD points by contributing an article about your successes to *iQ* or *iRMA*, or even as a paper to your Branch.

As individuals we don't always celebrate our successes well, but, by telling the Association what you are doing, not only will you receive recognition, you might just have the answer to someone else's problem.

By sharing our experiences not only are we educating, we are adding to the growth of our community as a whole.

I look forward to seeing you in Adelaide next month.

David

References:

<http://www.news.com.au/heraldsun/story/0,,25665805-661,00.html>



From the CEO

KATE WALKER

FRMA MAIGD AMIM, MBA, BSC (BAdm),
AdvDipBus (Rkg), DipBus (Adm)

RMAA Chief Executive Officer



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Professional Development: More than Just Training

Professional development is an important manifestation of the records and information management (RIM) professional commitment to personal excellence. It is a necessary response to a rapidly changing environment. Although professional development is an individual responsibility, it thrives on partnership with the associations and institutions that share common goals and value.

It is no great secret that business has become more complex and organisations more difficult to manage given the increasing rate and pace of change. Nothing in business can be taken for granted. Shortening product life cycles require the acceptance of shortening strategy life cycles. What may have been successful historically cannot be guaranteed to work in a new and different environment. This presents executives with very different strategic challenges.

PROFESSIONAL DEVELOPMENT SHOULD NOT BE SEEN AS MERELY 'TRAINING'

Effective professional development is much more structured than mere training and can consist of a number of strands, aimed at developing different areas of skills and knowledge.

It is our job to foster dialogue between RMAA members and the institutions which provide context and support for the work and growth of records and information management; to raise the bar against which RMAA professional members measure their commitment to professional excellence through continued learning.

RIM professionals commit themselves to a programme of continual growth that anticipates and complements the evolving information needs of our organisations and of society. The true professional commits themselves, organisationally and individually, to lifelong learning and professional development.

At the same time, professional development is a shared responsibility, sustained by the activities of organisations such as RMAA. In many ways, professional development is the embodiment of an ongoing process of personal mastery aided by organisational interest in, and support for, learning through partnerships.

While each partner plays an important role in sustaining professional growth, the foundation for development must start with a personal commitment.

MEETING THE NEW CHALLENGES

We are challenged to manage an exploding body of information, weaving electronic, print and non-

print resources into a seamless fabric of services for constituents. The availability of information resources marketed directly to the end-user is unprecedented.

The strategic position of RIM professionals has never been more promising. Yet the challenges they face are staggering. While the core of RIM principles, practices and values remains relevant, the skills and knowledge required to perform our jobs are constantly changing.

Increasing diversity brings increased demand for interpersonal skills. The fragility of traditional materials threatens the future and hinders their use. Digital reproductions, material "born digitally," and ephemeral material are at risk of obsolescence due to shifting standards and racing technology. Only increased technological skills will ensure appropriate and effective action by professionals.

RIM professionals who embrace new concepts and skills can play a key role in managing these issues. Providing leadership will demand that whole organisation commits to building competence in teamwork and in system-wide thinking. Through close working alliances, RIM professionals can develop the perspective necessary for leadership.

INDIVIDUALS CREATE PROFESSIONAL ORGANISATIONS, NOT THE OTHER WAY AROUND

Although organisations can be described as "professional" or "excellent," their collective excellence results from the work of individuals who practice the highest principles of the profession. Learning, the key to acquiring and maintaining individual excellence, is ultimately the responsibility of the individual.

Over a lifetime, each RIM professional develops along parallel growth paths of career experience, personal development, contextual understanding, and in-depth expertise. Learning drives the RIM professional further along each of these continuums. For maximum effectiveness, learning needs to be thoughtfully managed.

It is the responsibility of each RIM to identify the professional and personal skills and knowledge needed for current and anticipated responsibilities; to continuously assess the skills, aptitudes and knowledge they possess; and to canonise that awareness into personal learning strategies.

RIM professionals should aggressively seek opportunities to learn from a variety of sources in related professions and in professions that have not traditionally been associated with records and information management.

continued on page 6

ABOUT OUR CONTRIBUTORS



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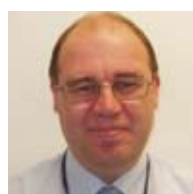
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I SPY: Managing the secret
files of New Zealand's security
and intelligence agency.

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FROM THE EDITOR'S DESK

We enjoyed putting this *iQ* together for you. We hope you enjoy reading it. This issue, I'd like to use my column to share a word to the wise...

DON'T BECOME TOO ATTACHED

Somewhere, somehow, the online con merchants got hold of my personal email address. In came a torrent of email, supposedly from my bank.

It looked to be genuine Commonwealth Bank email, inclusive of logo and colour scheme. There was a problem with my account, one email said. Another said someone had been trying to steal from my account. Another offered me \$99.00 to take part in an online CBA survey. All I had to do, said the emails, was reply with my account details and password, to verify my identity or receive my \$99.00.

There was just one flaw – I don't bank with the Commonwealth. Nor do I have an account with Morgan Chase or the other banks who sent me similar emails over the next few weeks.

Next it was Pay Pal emailing, saying that my Pay Pal account had expired and asking me to re-register. Another small problem – I don't have a Pay Pal account, either. Then the Australian Taxation Office emailed me. Curiously, they wanted my bank account details, too.

I didn't respond to any of these scams. But some people do; often, very bright people. Similarly, I never open email attachments, even if they're from people I know. I will only open attachments if I'm expecting them. My computer is my livelihood, and I'm not putting either at risk, thank you.

A couple of months ago, a friend in Canada, head of an IT company no less, sent me an email with a very large attachment. I didn't open the attachment, but I didn't have to. The same email came in 36 times, flooding my Inbox. Next day,

18 times, next day, 9 times, etc. My email was affected for days.

My friend apologised profusely later. He'd opened an attachment at work, found a cute baby photo and emailed it to his wife. That started the multiplicity virus; it went out to everyone in his address book – time, and time again. And if recipients opened the attachment, it went out again, to everyone in their address book, over and over again, the world over.

So, please, don't open attachments you're not expecting. For all our sakes!

Stephen Dando-Collins

Editor, *iQ* Magazine
editor.iq@rmaa.com.au

continued from page 3

Records and information management professionals, academics and researchers have a responsibility to share what they have learned through writing, speaking, mentoring and modelling, in order to facilitate the learning of their colleagues and the advancement of the profession.

In addition, they should articulate professional development needs to their employers, to RMAA, to educators, and to other professional organisations which have relevant knowledge and skills to share.

Kate



"DEAR EDITOR" ...



SEND YOUR LETTERS TO:
editor.iq@rmaa.com.au

Training for Success

I participated in the RMAA ACT Branch's 1-day seminar 'Leveraging RIM for Better Business Outcomes' in June.

I gave a presentation, 'Leveraging Enterprise Content Management for Business Benefit', and my perception was that the overall event was well received, and it was certainly well run. I learned a lot on the day.

I also noted that the RMAA provides training. As the August issue of *iQ* has an education and training focus, could I say that our company has a number of courses in knowledge management, taxonomy, change management and enterprise content management that are based on offerings within Masters

programmes at the University of Melbourne.

I hope that we can contribute to the education and training of RMAA members in this important area.

Dr Rod Dilnutt

William Bethwey & Associates
Melbourne, Victoria

Ironing Out a Few Things

Thank you for featuring me in the RMAA Snapshot in the May issue of *iQ*.

I have had lots of positive comments... not to mention many friends offering me their ironing, to do for them!

Maureen Lipinski, ARMA

President
RMAA ACT Branch, Canberra



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Notice of RMAA Annual General Meeting

Notice is hereby given that the 34th Annual General Meeting of the Records Management Association of Australasia will be held on Tuesday 22nd September 2009. It is to commence at 5:00 pm and will be held at the Convention Centre, Adelaide.

To all Members

In accordance with the Constitution of the Association, notice is hereby given of the date and time of the Annual General Meeting of the Association. The closing date for acceptance of any motion of business not relating to the ordinary annual business of the Association will be 5.00p.m. on 2nd September 2009.

All items to be sent to Kate Walker,
Chief Executive Officer, PO Box 276, St Helens,
Tasmania, 7216 or emailed to kate.walker@rmaa.com.au



Business Proceedings of the Annual General Meeting

- 1 To receive a report from the President on the activities of the Company in the preceding year;
- 2 To receive and consider the duly audited statements of accounts and the report from the Auditors;
- 3 To appoint the Auditors for the ensuing year;
- 4 To transact such other business as shall have been included in the notice convening the meeting;
- 5 To declare the Board members for the ensuing year in accordance with the nominations of persons put forward by each Branch;
- 6 To elect from the declared Board, the office bearers of the Executive as determined by the Board from time to time;

Kate Walker FRMA
Chief Executive Officer
Records Management
Association of Australasia



**Coming up in the
November 2009
issue of *iQ*:
STRIVING FOR
BALANCE**



**Send editorial submissions to
editor.iq@rmaa.com.au. Deadline
for final accepted copy, October 1.**





SCANDAL FORCES RESIGNATION OF ARCHIVES NZ MINISTER

WELLINGTON: New Zealand Government Minister Responsible for Archives NZ, Dr Richard Worth, has resigned from Government and parliament amidst a flurry of allegations and police inquiries into scandals involving Indian and Korean businesswomen in NZ.

Dr Worth's shock resignation came a month after the Minister featured in *iQ* as the first central government politician interviewed by the journal.

In the first week of June, New Zealand Prime Minister, John Key, told a surprise media conference about a police inquiry into the Minister's "inappropriate behaviour", adding: "All I can tell you is his conduct does not befit a Minister, and I will not have him in my Cabinet. If he hadn't resigned I would have sacked him."

Allegations dating back before the ministerial resignation involved sexual text and phone messages to an Indian woman in Auckland and a meeting in a Wellington hotel with a Korean businesswoman.

Dr Worth issued a statement denying any criminal activity but, days later, after phone-text material was released to the PM's office by one of the female complainants, Mr Key commented: "There's no road back for him as a minister. I've washed my hands of him." Dr Worth resigned from Parliament two days later.

Formerly a leading lawyer and businessman, Dr Worth had been a member of the New Zealand Parliament since 1999. He gained a PhD in Australia/New Zealand trade issues from the Royal Melbourne Institute of Technology University.

Prior to his political career, he was NZ Consul for Columbia and in Monaco. He has had strong connections with the Korean, Indian and Chinese communities, and is the immediate past-president of the Hong Kong New Zealand Business Association, and past chairman of both the India Trade Group Inc and the Korea/New Zealand Business Council.

Dr Worth served in the Royal New Zealand Naval Reserve for 20 years,

attaining the rank of Captain, and was made an Officer of the British Empire (Military Division) – OBE.

Police inquiries were continuing into the allegations against Dr Worth.

FAULKNER CHALLENGES RECORDKEEPERS

CANBERRA: The Australian Government's Cabinet Secretary and Special Minister of State, Senator John Faulkner, has issued a special challenge to recordkeepers, to make the fullest use of the new 'potentialities' of technological change.

Speaking at the National Archives of Australia headquarters before an audience including eminent federal and state politicians, government agency leaders, NAA and National Library of Australia executives to launch Information Awareness Month in May, Senator Faulkner warned that technological change had brought new problems.

"Chief among those is the need to make the fullest use of these new potentialities without undermining either the right of Australians to information privacy, or the principles of recordkeeping and information storage that underpin government accountability," he said.

"When entire databases can be saved to a thumb-sized USB drive, emailed across the world, or reduced to bits and bytes in an electronic trash bin with the click of a mouse, the responsibility of government to have strong policy settings and clear principles is great. The Government is moving to put those policy settings in place."

Senator Faulkner said consultation on the Government's exposure draft of the Freedom of Information (FOI) Reform Bill was continuing with a public 'roundtable' hosted by the Department of the Prime Minister and Cabinet.

He had urged Commonwealth Department agency heads to take a lead role in the reforms, telling them: "Openness and transparency in government is an essential prerequisite for a strong and robust democracy, and the Government seeks your assistance in implementing its policies in this area."

The senator outlined the new Government policies to increase public participation in Government processes, and raising scrutiny, discussion, comment and review of the Government's activities.

"Our reforms are based on the principle that information held by the Government is to be managed for public purposes, and is a national resource," he said.

"Integrating the processes of government with the expectations and demands of an increasingly educated and technologically savvy community requires a significant cultural shift from all the various players in government."

Senator Faulkner's speech in full is available on-line at www.smos.gov.au/speeches/2009/sp_20090505.html.

RECFIND 6 ACHIEVES VERS 2 CERTIFICATION

MELBOURNE: Knowledgeone Corporation's RecFind 6 enterprise content management (ECM) solution has been certified by the Public Record Office of Victoria (PROV) under the Victorian Electronic Record Strategy (VERS) Version 2 Specifications 1-5.

RecFind 6 was designed to include all the functionality required to meet any compliance or legislative requirement, as well as capture and manage content of any kind including digital assets.

The product joins a select list of ECM solutions to be certified under the internationally recognised VERS standard.

RETIRING MACASKILL PRAISES RECORDS AND ARCHIVES PROFESSIONALS

WELLINGTON: Retiring Archives New Zealand Chief Executive, Dianne Macaskill, saluted recordkeeping professionals in her valedictory speech at the Government farewell on June 4.

Ms Macaskill told 200 guests at the function: "Records managers are a valued professional group making significant contributions to the management of government's information in an increasingly complex and fast moving digital world."

Ms Macaskill was leaving after eight years in charge of the newly independent department and leading the creation of the Public Records Act, 2005, development of the Continuum and Archway online products and official adoption of the National Register of Archives and Manuscripts.



Dr Richard Worth

She thanked the RMAA "for the work that you have done to progress the records management profession and for your advice and input over the years".

To ARANZ members, she said: "You have often been challenging, but you have always added value, kept us on our toes and made us think further about some important issues."

In thanking the NZ Society of Genealogists and the Archives Council for their advice, she said: "Your input has meant we have developed a number of world leading products. For example, our digitisation standard has been recommended to become an ISO standard."

"Our mandatory standards are picked up by other countries and our programmes such as the digital continuity action plan and the public recordkeeping audit framework have been jointly developed and widely accepted."

For hard-pressed Government agency recordkeepers, she had words of encouragement: "Collaboration can be hard, but recordkeeping and information management collaboration is working well in the New Zealand public service and making a real difference to the effectiveness of government's information management."

The Acting Minister Responsible for Archives NZ, Maurice Williamson, paid tribute to Ms Macaskill saying: "On behalf of the Government I would like to thank you for your commitment, dedication and capability in leading the department from strength to strength. Archives New Zealand is in a strong position thanks to your leadership."

Greg Gouling, Archives NZ's Group Manager Government Recordkeeping, has been appointed Acting Chief Executive and Chief Archivist.

INTERNET FOUNDERS SAY WE AIN'T SEEN NOTHING YET

MADRID: Internet inventors Sir Tim Berners-Lee and Robert Cailliau told the 18th International WWW conference in April that the future has only just begun.

Speaking at the Word Wide Web conference in Spain, the two engineers said that the Internet's full impact will only be realised when far more people and information go online.

According to the United Nation's International Telecommunications Union, only 23% of the globe's population currently uses the Internet, and only 5% in Africa. The World Wide Web was introduced in 1991, and had entailed 500 websites by 1994. The Web's reach now stands at "over 80 million".

Sir Tim told the assembly: "The Web as I envisaged it – we have not seen it yet. The future is still so much bigger than the past."

Robert Cailliau, a Belgian software scientist who worked with Sir Tim in 1989, told the Conference that a bigger Internet would spur development of new technology. "When we have all data online it will be great for humanity. It is



a prerequisite to solving many problems that humankind faces."

Another co-founder of the Web, Vinton Cerf, now a Google Vice-President, said use would rise as mobile access increased. "We will have more Internet, larger numbers of users, more speed, more things online and more appliances we can control over the Internet."

ALMOST HALF OF ORGANISATIONS STRUGGLING WITH E-DOCUMENTS

GLASGOW: A study by the AIIM in the UK had found that, there, 47% of organisations surveyed find managing electronic office documents a challenge.

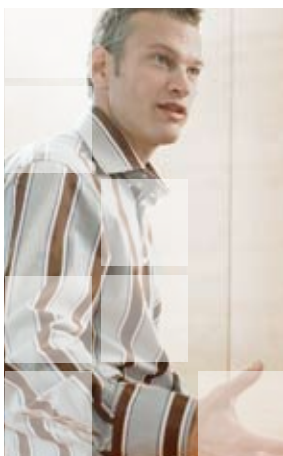
The July issue of the RMS *Bulletin* reported that the annual 'State of the ECM Industry' research report, published by the AIIM in the UK in June, also found that modern business communication channels, including instant messages, text messages, blogs and wikis, are uncontrolled and off the corporate radar for 75% of organisations.

Not surprisingly, the drivers for bringing electronic content into a controlled and searchable environment have recently changed in the UK, in line with the changes in the economic climate. Where, two years ago, compliance was the principle driver, today, cost savings and efficiency are the main motivating factors.

- The AIIM survey report can be downloaded, free of charge, at: www.aim.org.uk/research.



Continued on Page 58. For more Worldwide RIM News, go to the back of the journal



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QUEENSLAND STATE ARCHIVES EMBARKS ON MULTI-CHANNEL RECORDKEEPING TRAINING PROGRAMME

BRISBANE: To support the Queensland Government's new Right to Information and Information Privacy legislation enacted in July, 2009, Queensland State Archives (QSA), as lead agency for recordkeeping in Queensland, is launching a new RM training programme based on the results of a needs analysis study.

A spokesperson for QSA's Policy and Research Unit told *iQ* that the Archives first undertook a Recordkeeping Training Needs Analysis covering the state's public authorities.

That study of Queensland Government recordkeepers and information management specialists identified a number of preferred training models including customised training, delivered in-house or at convenient locations at a low cost. Participants also indicated that they needed more information about what training in this area was already available.

Based on the findings of the analysis, Queensland State Archives is developing a multi-channel Recordkeeping Training Programme that will include self-directed online learning, facilitated face-to-face training, and information forums.

A new *Introduction to Recordkeeping* training package is already available. Agencies can use it to deliver in-house recordkeeping training, customised for the Queensland public sector.

Training providers are being sought to develop courses in the areas of

greatest need as identified in the analysis. These include understanding agency responsibilities under the *Public Records Act 2002* and disaster preparedness. Queensland State Archives' successful "Masterclass" programme will also continue to be expanded with topical issues for recordkeeping practitioners.

The promotion of the importance of recordkeeping was also highlighted in the Training Needs Analysis and, in response, Queensland State Archives is developing a Recordkeeping Awareness Programme to assist public authorities to promote key recordkeeping messages.

The QSA spokesperson said that, as information management is central to the Government's Right to Information reforms, it is essential to promote and support sound recordkeeping practices in the public sector.

- More information about the Recordkeeping Training Programme is available from the Queensland State Archives website, <http://www.archives.qld.gov.au>.

CHARLES DARWIN UNIVERSITY GRADUATE DIPLOMA COURSE ACCREDITED

DARWIN: Charles Darwin University is offering a Graduate Diploma in Information and Knowledge Management that is now accredited by RMAA.

CDU's Graduate Diploma, approved by the RMAA Board for accreditation in June, is an online course with core and optional units including Perspectives in Information and Knowledge Management; Information Access Services; Information and Knowledge Management Systems; Professional Practice, which involves a 150 hour work placement with a directed action research project; and, Management Strategies for Information and Knowledge Environments.

- Information, including course content, can be found via CDU's Faculty of Creative Arts and Humanities, at <http://www.cdu.edu.au/creativeartshumanities/postgraduate.html>.
- Alternatively, information about CDU's Gra-

duate Diploma course can be found at the RMAA website, through the Membership/Professional development/Available courses menu, at <http://www.rmaa.com.au/docs/profdev/education.cfm>.

STATEMENT OF KNOWLEDGE WORKSHOPS IN 2 STATES WILL PARALLEL CONVENTIONS

ADELAIDE & BRISBANE: Two workshops will be conducted by Marian Hoy, representing the RMAA, and Sigrid McCausland of the Australian Society of Archivists (ASA), at the RMAA Convention and at the Joint ASA/ARANZ/PARBICA Conference in September and October.

The RMAA workshop will be held on Sunday, September 20, from 12.00 to 2.00pm, at the Adelaide Convention Centre, as part of the meeting of the Education Special Interest Group.

The ASA/ARANZ/PARBICA Conference will take place on Wednesday, October 14 between 1.30 and 5.00pm, at the Sofitel Hotel, 249 Turbot Street, Brisbane.

These workshops will be open to members of the RMAA and ASA, as well as to educators and representatives of allied professions. They will be free to participants, whether or not they are attending the respective convention or conference.

The workshops will examine issues such as:

- Comparing the Statement with other professions such as ARMA International, Special Libraries Association and Australian Computer Society.
- Uses in education, professional development and employment.
- Who are potential stakeholders and audience inside and outside the profession?
- Role of the Statement for course accreditation.
- How to incorporate indigenous, minority and marginalised groups perspectives on the ways of recordkeeping.
- To secure a place at either workshop, whether or not you are attending the RMAA Convention or the ASA/ARANZ/PARBICA Conference, email marian.hoy@rmaa.com.au. **iQ**





Questions Records Managers Should be Asking

Australian RIM veteran and sometime *iQ* contributor **GLENN SANDERS**, MRMA has stepped up to the plate to write a semi-regular column for the journal, a column in which he will be sharing his RIM thoughts and experiences with you. He starts with some questions that he suggests you should be asking.

Why is always a good starting point: Why have a thesaurus? Why enter file titles in upper case? Why folio number (sorry, that sort of snuck in)? Why spend time on listservs, or doing a column for *iQ*?

It's part of being professional. That is a much-analysed word, but to me, part of being professional is thinking about what you do, all the time, and always asking why. On that basis, a profession is a community of practitioners who discuss everything, from mundane practicalities through to the very underlying fundamentals of what they do. Back when I started in this business, the medium was meetings and hardcopy publications, today the way we maintain the professional community is electronic.

I regard a few minutes each day on listservs, and browsing RSS feeds (mostly not in the records domain), as an essential part of my professional activities. Does that mean I think you are a tad less professional if you don't follow some listservs (even if you don't contribute) and RSS feeds, and if you limit your professional reading to *iQ*? Yep! 'Fraid so. I don't folio number either.

CHECKED YOUR CONTRACTS RECENTLY?

A hot topic on the international RECMGMT listserv has been storage companies levying archive re-boxing fees. It's happened to me – an unexpected, unbudgeted invoice for re-boxing 500 of those manky type one GRR boxes, surely the world's most badly-designed archive box. When I checked the terms and conditions, there was nothing about re-boxing, though it was in the latest price list, so I had no leg to stand on.

Most organisations I've worked with don't have separately-negotiated contracts, just accounts, and the records manager has inherited those accounts from long gone predecessors.

Have you recently checked your storage terms and conditions against current prices? What did you do about new price categories sneaking in that weren't in the terms, or in the contract?

» « "I REGARD A FEW MINUTES EACH DAY ON LISTSERVS, AND BROWSING RSS FEEDS (MOSTLY NOT IN THE RECORDS DOMAIN), AS AN ESSENTIAL PART OF MY PROFESSIONAL ACTIVITIES" » «

Worth thinking about! Maybe it's time to go out to tender again, just to test the market.

GOOGLE WAVE BANE OR BOON?

Finally, an issue I'm grappling with at the moment. Steve Bailey, RM seer and senior adviser to an arm of Northumbria University, England, says in his blog (<http://rmfuturewatch.blogspot.com>) of 9 June that records management in the future will not be about managing individual objects all with finite and predictable life spans. It will be about capturing the numerous links between objects as part of an ongoing thread if, when and how they are used.

Google Wave (www.wave.google.com) is very much a case in point, raising not only the old issue of where do records live (your hardware, or Google's), but threatening to overturn the very basis of the way we view information.

Where does that leave the records continuum (not to mention folio numbers)? Are we as a profession flexible and adaptable enough to handle – or even influence – all this? What do you think? **iQ**

- Get back to me on the RMAA listserv, or at sandersinfo@gmail.com.



About the Author

GLENN SANDERS, BA, Dip Lib (UNSW), GDDM, MBII (RMIT), MRMA, has been involved in managing information in government and the private sector, for over thirty years. As a freelance consultant, he introduced computer systems into many organisations.

Long a proponent of decentralised operations, he has also set up two large central records facilities. Recently he has been involved in selecting and implementing electronic document management systems, and managing a large hardcopy cleanup prior to a major office relocation.

Sometimes, he's been known to do a bit of sailing and bushwalking.

Going the Distance

Australia's largest information studies school is located, not in one of the capital cities, but at Charles Sturt University at Wagga Wagga. This year, the school has embarked on a major academic recruiting drive to expand its distance education programme. *iQ* spoke with the Head of School, Associate Professor **PHILIP HIDER**, about the programme, and also asked whether today's information management courses are equipping RIMS to meet tomorrow's challenges.

Interview Snapshot

- With most students possessing work experience, CSU recognises the need to provide courses that support their career paths and aspirations.
- An increasing number of the School's graduates find employment outside dedicated information agencies.

iQ: Philip, back in March, Charles Sturt University announced that it was expanding its 30-year-old School of Information Studies' distance education programme by seeking five new lecturers covering areas including information management, records management, and digital libraries. Most appointees were expected to be based at CSU at Wagga Wagga, although some latitude was allowed for quality candidates who could be based off campus. What was the catalyst for this expansion?

PH: The catalyst was a comprehensive review of the School's operations the previous year involving a series of consultations with practitioners across the information industry—think tanks, focus groups, review panels, etc.

The outcome of all this consultation, as well as a lot of discussion within the School, was a set of recommendations, including the key recommendation that the School expand its curriculum to cover the full range of information fields, focusing on the nexus between people, technology and information, rather than on a particular institutional setting.

This recommendation has been enthusiastically adopted by the School, with its main undergraduate and postgraduate courses being completely restructured to accommodate new specialisations in areas such as records and archives management, underpinned by a set of core subjects designed to provide our students with a broad understanding of information management issues.

iQ: What is the objective of the expanded programme?

PH: The aim of the new Bachelor of Information Studies and Master of Information Studies courses is to produce graduates equipped with the information skills and knowledge transferable across

sectors, but also to offer students the option of specialising in a particular field through a set of subjects grounded in contemporary practice.

iQ: What was the reaction to the recruitment drive from potential appointees? What obstacles, challenges, surprises have you encountered?

PH: We were very pleased with the response, receiving more quality applications than ever before, and from a wider range of backgrounds. The greatest challenge was selecting from the array of excellent applicants, ensuring that we ended up with the optimal mix of expertise that we were seeking.

iQ: How has the recruitment of the new lecturers panned out to date? Have all appointments been made? Who have you secured for these roles, and what areas do their skills encompass?

PH: The process has been a complex one, and not yet quite finished. We have so far appointed three full-time lecturers and one part-time. These appointments cover some very different areas, such as information needs analysis, archives and records management, information retrieval and digital libraries.

iQ: How many new appointees taken up their posts?

PH: Two so far. The international appointments should come on board in another month or two.

iQ: How many staff does the SIS now employ, and covering what areas of study?

PH: The School currently employs twenty academic staff and five general staff. This makes us by far the largest information studies department/school in Australia, accounting for well over half of the country's graduates at university level.

The academics cover a wide range of areas, from information systems through to information literacy and society. As well as traditional areas of strength such as library science and teacher librarianship, we now have significant expertise in areas such as knowledge management, information literacy, information architecture, and digital archives.

In addition, the School has over fifty sessional staff on its books, based all around Australia and mostly also working full-time in the information industry, across many different



About our interviewee

Associate Professor PHILIP HIDER is Head of the School of Information Studies at Charles Sturt University at Wagga Wagga, New South Wales. Dr Hider worked with the British Library from 1995 to 1997, in Singapore from 1997 to 2003, and since then at CSU. He teaches and researches primarily in the areas of information organisation, retrieval and architecture.

sectors. They assist in the teaching of specific subjects, according to their particular expertise.

iQ: What new SIS programmes will now be offered or expanded, and when will they be available to students?

PH: The new Bachelor and Master of Information Studies courses that I mentioned will be available from the beginning of next year. Both courses will include a specialisation in records and archives management, taken in the final third of the course. However, students with a degree or graduate diploma in information management would usually be eligible for credit, so they may go straight into the specialisation stage of the Masters.

iQ: What quality assurance measures do you have in place to ensure that what you are teaching is relevant to the needs of the IM world today, and tomorrow? How can you be sure that you are preparing your students for the long run?

PH: For each course, there is a panel of external advisors who provide feedback on an annual basis, and whenever significant changes are proposed. These advisors are leading practitioners from the various fields and subfields covered by the course. All courses are formally reviewed every five years.

iQ: Will the school be teaching into other courses such as IT and MBA?

PH: We do teach into some courses, such as some of the IT courses, and this is likely to increase as we develop more generic subjects, and subjects more relevant to fields such as information systems and management.

iQ: Will research be a focus for activities?

PH: The University's aim is to align its teaching and research as closely as possible, and this is reflected in the overlap between the School's research strengths and revised curriculum.

iQ: Covering what areas?

PH: Various kinds of informatics, digital libraries and archives, information practice and literacy—these are just a few of the areas in which staff are currently engaged in industry-oriented research.

iQ: Is it likely that publications on Information Studies will emerge from the expanded SIS programme?

PH: Staff in the School publish in many professional and research journals, and future publishing directions are likely to reflect the new curriculum. The School is also linked to CSU's Centre for Information Studies, the leading information studies publisher in Australia, and its own publishing agenda is broadening into new areas of information practice.

iQ: Does the Charles Sturt SIS regard continuing professional education as important?

PH: Yes, absolutely.

iQ: What emphasis do you place on courses for students who have yet to enter the workplace versus those in the workplace who are looking to improve their skills and qualifications?

PH: Indeed, another recommendation coming out of the School Review last year is for the new curriculum to be designed in a way that readily accommodates shorter courses, and we aim to establish a raft of PD offerings based on the new curriculum and its specialisations, once we have the new courses bedded down.

Most of our students, even our undergraduates, already have some work experience, and we take this very much into account when developing our subjects and learning resources. Many of our students in our Masters programmes are seasoned professionals looking for a change of direction, or to update their skills in a particular area.

At the same time, we are also hoping to attract more school leavers into the Bachelors course—particularly into the newer parts of the course, including the records and archives management specialisation.

»» "AT CSU WE HAVE LONG EXPERIENCE OF SUCCESSFUL DELIVERY OF COURSES THROUGH DISTANCE EDUCATION" ««

iQ: What qualifications relevant to records management will result from your courses?

PH: The Bachelor of Information Studies (Records and Archives Management), and Master of Information Studies (Records and Archives Management).

iQ: What are the career opportunities for graduates from your courses?

PH: Many of our students are already working in information management positions in large and small organisations in the public and private sectors. Some students undertake university studies to broaden their employment horizons or to enhance their opportunities within the advancement structures if they are working in larger organisations.

Increasing numbers of our graduates find employment outside of dedicated information agencies, such as libraries, and this trend is set to continue, particularly given our new curriculum.

iQ: What is your view of the records management educational programmes currently on offer across Australia and New Zealand by tertiary institutions and private educators?

PH: I think there is a good variety of programmes available in the VET and higher education sectors to meet the needs of students from many different backgrounds. Each programme offers its own blend of records management, developed in a particular educational context.

At CSU we have experienced strong demand from our students to offer more subjects in records and archives management – we already offer a Graduate Certificate in Audiovisual Archiving, and

subjects in areas such as digital preservation – and so we see the new specialisation as extending our students' opportunity to develop their skills and knowledge in the field.

iQ: What is your opinion of closer connections between, or amalgamation of, archives, library and records management studies for the development of a broader, more enveloping information management degree?

PH: Amalgamation of the discipline content would not be appropriate. But our new courses certainly aim to make connections between the three fields, as well as others, wherever possible. I believe this is in line with the trend in practice, and provides our graduates with the necessary flexibility required by today's job market.

iQ: Today's RIM faces the challenge of addressing more information with less time to react and adapt than ever before. They need to gain new skills to address this challenge, but workplace and family demands give them less and less time to improve their learning. So, does the future of records and information management education lie with distance education?

PH: I believe it does, but not to the exclusion of face-to-face education. At CSU we have long experience of successful delivery of courses through distance education. However, in today's diverse educational environment, there should be scope for different approaches from a range of different providers.

iQ: Thank you, Philip. iQ



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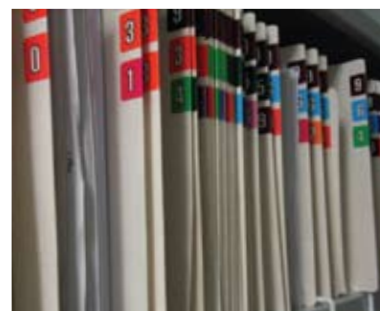
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Students Survive Masterclasses in Recordkeeping

This autumn, RMAA Masterclasses in Recordkeeping hit Sydney and Canberra for the first time, as RIMs from several Australian states and territories toiled to improve their records and information management skills and qualifications under expert tutors.

BY MARIAN HOY, MRMA



Story Snapshot

- These RIM masterclasses were a first for the RMAA.
- There were lessons for the participants, and surprises for the facilitators.
- The next masterclasses are coming to a city near you between now and December.



Top: The lounging Chris Fripp and the inaugural Diploma of Recordkeeping Masterclass in Sydney. Taken on day 3 – and yes, everyone was still smiling. (Photograph courtesy of Julia Lang)
Above: Study groups hard at work in the Certificate IV Masterclass, Canberra.
 (Photograph by Marian Hoy)

In the last week of March, an intrepid bunch of 18 records managers descended on Cliftons' Training Rooms in George Street, Sydney to participate in the inaugural RMAA Diploma Masterclass for the BSB07 Diploma in Recordkeeping.

Over four days, the laid back but thorough Chris Fripp, MRMA led the group through debates, arguments, scenarios, role plays and, of course, some serious theory discussion and assessment in classification systems and in documenting and managing business systems.

The group was very diverse; from several states and territories covering the federal, state, local government, private and not-for-profit sectors. All agreed that it was great hearing the perspectives and issues faced by different jurisdictions. The homework was a challenge, but they managed to get through it.

The benefits of an intensive face-to-face classroom approach proved to include the group dynamics and the tremendous amount of knowledge that already existed amongst the participants. There was always dialogue and with the deckchairs changing every day there was never an opportunity to start feeling too comfortable.

ASSESSMENT IN THE GROUP ENVIRONMENT

Assessment in this environment was different to other formal study, as it was based on observation, written class activities, group participation, willingness to speak to the whole group, and, of course, written assessment undertaken as evening homework.

The challenge that lay ahead for the participants once they left the training room was to complete the Diploma in Recordkeeping, through recognition of current competencies and more face-to-face or distance-based learning. Having four units gave them a head start.

As of the end of June, eight participants had completed the full qualification, and they were looking forward to undertaking the Advanced Diploma Course.

Comments from participants included: 'The course was very interesting, and the subjects were appropriate to records management; and, of course, the presenters were very informative'. 'A great course; having wanted to advance my qualifications in records management I found this course covered the required subjects for advancement within the profession of records management – highly recommended to anyone planning a career in records or information management'.

CERTIFICATE IV MASTERCLASS IN RECORDKEEPING SURVIVES A FROSTY CANBERRA

The first Canberra-based intensive Masterclass for the BSB07 Certificate IV in Recordkeeping was held June 15-18 in downtown Moore St at Cliftons' Training Rooms. Seventeen students braved four days of early morning frosts to undertake intensive lessons. I had the privilege to be their facilitator.

Over the four days the group went through some 44 sheets of butcher's paper with small group work ideas, instructions, and feedback from whole group brainstorming. Some activities were completed in the workbooks, and, of course, there was the homework, and formal assessment tasks.

Students were kept busy, with everyone taking turns presenting to the group, scribing, and introducing their 'desk partners' to the class, sitting in a different seat each day and working with different colleagues.

There were quiet times with individual activities and reflections, but most of the time it was small group work with participants sharing knowledge about how things worked in federal, ACT and NSW jurisdictions. Even those from federal organisations had different experiences to share.

The participants hailed from large departments to small agencies and local government bodies, with a mixture of paper-based and electronic recordkeeping systems – diverse workplaces with just as diverse practices.

The challenge during the week was always to look beyond the day-to-day environment, which was hard. But the participants were not daunted, and were able to see the broader context of their work.

One real eye opener for the group was an activity about records lost in a fire. Participants were asked, 'Where else could a researcher find information about a 1955 flood, given that the local council records had been destroyed?' The list of alternatives produced through group brainstorming was awesome, and showed just how varied sources of information can be – there is a world beyond the day-to-day sources of information in the workplace.

The other eye opener was just how many different types of legislation and standards related to recordkeeping, and how much the terminology varied between the three jurisdictions, and in the literature, yet with all meaning the same thing.

Comments from the participants following the course included: 'Worthwhile course, where it has given me a greater understanding of my role within recordkeeping'; and, 'Excellent course – have learnt more in this course than any course I have attended'.

YOUR CHANCE TO ACQUIRE SOME RECORDKEEPING QUALIFICATIONS

If you like the idea of intensive learning and listening to colleagues from different environments – and occasionally letting the facilitator say something – then a Masterclass could well suit you. It is hard work, but worth the effort.

More RMAA masterclasses are scheduled, so have a serious think about it. Here are the dates and locations for the remainder of 2009. Check the RMAA website for more details.

Certificate IV Masterclass in Recordkeeping

- **Auckland:** 6-9 October 2009

Diploma Masterclass in Recordkeeping

- **Adelaide:** 10-13 August 2009
- **Sydney:** 17-20 August 2009
- **Brisbane:** 12-15 October 2009
- **Canberra:** 19-22 October 2009
- **Melbourne:** 16-20 November 2009

MASTERCLASS AT THE RMAA CONVENTION

If four days of intensive learning is not quite what you were looking for, but you want to make a start on achieving recordkeeping qualifications, try a one-day intensive course at the RMAA Convention in Adelaide in September.

The Certificate IV in Recordkeeping unit, 'Set up a business or records system for a small office', is being run on the last day of the 2009 Convention in Adelaide, on Wednesday 23 September 2009.

THANKS TO STUDENTS AND EMPLOYERS

The RMAA would like to thank the participants from these two and other masterclasses for all their effort and active participation, and to thank the many employer organisations for supporting their records managers' commitment to achieving these qualifications. **iq**



About the Author

MARIAN HOY, MRMA, is the RMAA's Professional Development and Education Officer. Her more detailed biography appears on page 28 of this issue of *iq*, as part of her article, 'Understanding the role, place and potential of the "Statement of Knowledge for Recordkeeping Professionals".'

How You Can be a Records Management Champion

RIM Education and Training is not only about improving your knowledge and skills. It's also about educating your workmates about RIM, and their part in it. Here are some tips on creating tools and activities that will help make you a records management champion in your organisation.

BY PAULA J SMITH, ARMA

Story Snapshot

- If the profession is to achieve broader recognition within organisations and communities, RIM needs to be made more accessible using images others can understand and empathise with.
- There are simple strategies that make this achievable.



When Archives New Zealand asked me to deliver a presentation on this topic I grinned...and then headed off to dictionary.com. What better place to start than with a definition for the 'champion': "*An ardent defender or supporter of a cause or another person*".

Sound like anyone you know? The stereotypical records manager, surrounded by paper in a dark basement, makes the business ask, "What relevance do you have for me?" Before we can find the right champion(s) we need to change these perceptions; moving from irrelevant paper shufflers to incredibly relevant and value adding professionals.

All too often we expect that the chief executive will naturally be the greatest champion – after all they are at the top of the tree. I would suggest that in reality the greatest champion is you; the records manager, the archivist, the librarian, the information manager. You are all 'ardent defenders of records management'.

A WELL STOCKED TOOLBOX

My friends know me as a person who loves metaphors; file classification is a tree, EDRMS is a fishing trip, etc. As a profession we need to move away from our traditional definitions and translate concepts into much more accessible and relevant images that the wider user population can immediately visualise, understand, and empathise with.

In your toolbox of FCS methodologies, cataloguing rules, disposal schedules, change management techniques, templates and tools, you should also have a great network of people who can fill your skill gaps where possible.

In my case, while I know the images I want produced, designing them is not my forte. In a previous role I was lucky enough to have the assistance of an in-house Creative Design Manager, who helped me translate one of my favourite RM concepts. Let me explain...

BUILDING A HOUSE

Records and Information Management (RIM) is like building a house. You have to have strong foundations before you can install the value adding solar panels, home automation tools and wireless technology.

If a house has foundations made from sand not aggregate, sooner or later the house is going to collapse! So my talented designer colleague produced not only a graphic that I could use in training presentations but also a cut-out house that participants could make up during training sessions.

This is a particularly useful tool if you have lots of 'doers', completer finishers, and blue dots. People, who like to do and deliver, will learn more by putting that house together than 15 beautifully presented PowerPoint slides.

In gaining the assistance of your design team, or the person in your organisation that has that skill set, you have managed to create a tangible and useful resource but also changed their perception of RM. They will talk about you, they will also use your work in a portfolio which will be shared with other clients across the business and so the drip-feeding of messages begins. If the design team have had fun working with you, and why wouldn't they, word will get out.

HAVE SOME FUN

Increasingly, the role of the records/information manager is to act as change agent. We are not simply filing clerks, or file classification specialists, we are trainers, account managers, and change agents. We need to amend our engagement model to align with the organisational context in which we are operating and within that context the various sub-cultures that exist. So let's start with a game of charades.

On the RMAA website you will find a PDF containing films that feature records and information management. I have used this during presentations and workshops, and

have asked attendees to play charades – information management style.

I'm sure some of you are looking horrified right now as did many of my participants, but once the games had started, participants enjoyed the session, laughed, and yes, admittedly some still looked bemused, but on the whole they had fun. As a result records management training became fun.

When they get the film name – Iron Man, for example – the discussion becomes one of “What on earth does that have to do with records?” So begins the conversation.

For anyone who hasn't seen the movie, there is a bad guy named Obadiah Staines who receives a video clip from a group of terrorists he has hired, which is later translated and watched by Pepper Potts (PA to the good guy Tony Stark). If Obadiah had disposed of the item, he would never have been found out – retention and disposal schedule anyone?

Because you have translated this often academic and confusing thing into something your colleagues ‘get’, and have had fun with, they begin talking about it, to each other, to colleagues, to management. And so the conversation edges into other areas. “Oh, no, you need to go talk to the records manager before you buy that software. But you'll like her. She's fun, and she knows this stuff”.

KEEP IT SIMPLE AND RELEVANT STUPID (KISARS)

We often try to explain file classification as ‘buckets in which we put stuff’. But that leads users to ask why they can't have ‘Mary's file’ and ‘Joe's file’. One tactic I have used in the past has been to get three objects from the supermarket, wrap them in paper and ask people in training courses/workshops, etc, to tell me where in the supermarket it should live.

Participants have to agree where in the supermarket that item must be stored. They cannot take the paper off the items or peek at the contents, they can shake the item, smell it, etc, but that is all. Why?

The items will typically be tinned goods, cat food, cheese etc. What we are trying to get participants to understand is that classification goes on all the time, but users never think of it that way, and that's okay.

Participants soon understand that file classification is not about what shelf you put something on (necessarily), but is about what rules the item needs to be managed properly. So, in our example, does it need to be stored with animal or human produce, kept refrigerated, etc?

This same tool can also be applied to metadata. Using the same tins users now need to identify which of the items can be



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- Activities for championing

Records Management original presentation delivered to Archives New Zealand http://continuum.archives.govt.nz/previous-forum-papers.html#Power_of_persuasion

used by someone who is lactose intolerant, on a low calorie diet etc – where would they find that information and why? It's on the label under ‘Ingredients’. Oh, yes, that's metadata!

CONCLUSION

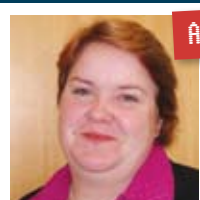
Every organisation has different strengths, different culture and different tolerances for championing activities. Some are open to technology, competitions, story time and charades. Others are not. That an organisation doesn't respond well to a particular tactic is no-one's fault, it is simply that the tactic employed is not right in that organisational context and at that point in time.

The examples I have given are both low-cost and low-technology options. They are tools that I have used as a sole charge records manager, with often little or no budget to speak of. Wherever possible I try to make my sessions interactive, more dialogue than monologue, and have succeeded in raising the profile of RM and changing perceptions.

By opening the door to conversation, using humour as a stress relieving tactic, your user base and professional peers feel more relaxed, more able to deal with the inevitable change that comes from many RIM projects. You have become an accessible and interesting organisational resource, and you will find people across the organisation, who want to support you.

I am a firm believer in having some fun with our profession. Though the research is by no means clear-cut, there is increasing evidence that humour can have significant benefits during periods of organisational change. According to Barsoux, (1996) humour “enhances trust, facilitates change and encourages plurality of vision.....helps to break down barriers between people and makes an organisation more participative and responsive”

And isn't that what we are aiming for? **IQ**



About the Author

PAULA J SMITH has been involved in the Records and Information Management industry for 10 years in a variety of roles, both in the UK and New Zealand. As a practicing Records Manager she has implemented Electronic Document and Records Management Systems (EDRMS), developed Information Management strategies, file classification schemes, training programmes, and records management compliant roadmaps.

She recently joined Techtonics Group Limited, in Wellington, New Zealand, as an Information Management Consultant, having previously worked for a number of public sector organisations including a central government agency, regional fire service, large shire council, city council, and a Crown entity.

Paula is an Associate member of the RMAA, and holds both an MSc in Records Management from the University of Northumbria and a BSc (Hons) in Business Information Systems from the University of Wales. She has written a number of articles on records management, corporate governance, EDRMS implementation and is also currently mentoring two new entrants to the profession.

Paula is also a councillor with the New Zealand branch of the RMAA, and is responsible for the delivery of the branch's events programme. She is currently working with other councillors on a number of workstreams, with a core focus on the CPD programme in New Zealand.

THE VENDOR/CLIENT RELATIONSHIP: Educate Each Other & Benefit

Many RIMs have to deal with vendors of one kind or another, and this often involves long-term service relationships, and employee training. Professional RIMs who educate themselves on how to deal with external providers, as well as their products, improve their knowledge and their skills, to their advantage, and to the advantage of their organisation.

BY MICHELLE LINTON

In the May issue of *iQ*, Editor Stephen Dando-Collins closed the editorial column with an invitation to vendors and consultants to share their side of the story on what makes a good vendor/client relationship. It was an unusual and refreshing request that sparked my interest. With the August issue of *iQ* focusing on education and training, it was a timely opportunity to share our experience as a training provider.

The definition of vendor provided by the Collins English Dictionary is “a person who sells something”. True; but unfortunately for some seeking to establish a vendor/client relationship the word “sells” has negative connotations.

A client's approach may become wary. A client may be so concerned about being oversold; their communication with the vendor prevents them gaining the best service. Important information is withheld and disappointment follows when the quote does not fit the need.

Truly beneficial relationships are established when the vendor is viewed as a supplier of specialist services. Vendors hold a wealth of knowledge relating to their products or services. A vendor will also hold knowledge on utilisation within your industry. Knowledge that will help you, as a client, achieve your objectives. You may not need to purchase the full range of service, but that comprehensive knowledge can be tapped into to help you make the right decision. But only if, as a client, you are prepared to share your story.

The recordkeeping industry has an advantage when it comes to vendors. Glamour industries attract salespeople on an easy path to making a fortune. Vendors attracted to servicing the recordkeeping

industry do so because they have specialist skills, not because the subject provides witty dinner party talk (although passionate and rewarding discussions will ensue on the subject at RMAA conferences and the like). Those specialist skills will have been honed over years of work within the industry. Charlatans are thin on the ground.

FINDING YOUR PERFECT MATCH

So, if vendors in the industry are generally to be trusted for their integrity and possess at least the basic skills required, does establishing a relationship really matter? And what are the benefits it will bring?



In the case of service vendors, it does certainly matter. Many of the vendor services used in recordkeeping will involve a long-term relationship. You may be working with them from 3 months to 3 years.

One of my clients tells me our partnership has to last for 10 years, because in a very large government department that's how long the training plan is. When that's the case, then you need to make sure the personalities can co-exist, and you both share the vision.

Step one as a client is to interview potential vendors.

Educate yourself on the depth and breadth of the vendor's services, their philosophies in implementing those services, and the general personality of the prospective vendor organisation. It's almost like culling resumes for a job interview. Some of this information you can gain from advertising and websites, and it's well worth arranging informal phone calls or meetings.

Step two is to meet with suitable vendors and explain your requirements. Be open and honest. Giving the impression that you have an unlimited budget or unlimited training participation time of all staff is wishful thinking generally.

As a vendor, this is our opportunity to educate you on the range of options we offer, and give you the best solution for your current situation, but to do so we need to know what the situation is.

In a recent meeting, instead of being embarrassed about it, the client was quite clear that our training delivery covered the rollout of the EDRMS only. After the system was fully implemented their in-house trainers would provide sufficient resources. Knowing that, we made sure a full transfer of knowledge package was included in the proposal to guarantee ongoing successful training.

There shouldn't be any embarrassment when a client is not certain which service to ask for a quote on. Remember, as a RIM you don't need to have all the answers; that is the reason

Story Snapshot

- While there is no training course on how a busy RIM should work with an external vendor, there should be.
- In lieu of a formal training course, RIMs can educate themselves on what to look for in a vendor, on how to interact with them, and how to make both their jobs easier.

you're engaging the vendor. Allow them the opportunity to provide solutions. An experienced vendor will have provided service to a wide range of industry; generally far more within a space of two years than a client will have worked at in a lifetime.

At this stage, gather prices and proposals. Even where the contract must go to tender it is worthwhile going through the first two steps. The information gathered will help you establish exactly what service you are seeking and the price range, and enable you to accurately prepare and then evaluate a tender.

Vendors understand that clients need to gather information and proposals and review them with higher authorities.

Step three is making your selection of the right vendor.

Sometimes you will have a preferred vendor, but their price is outside the budget. Contact the vendor to discuss the situation.

As a vendor, we may have offered an ultimate solution because the client expressed that preference, but a viable and less expensive option is likely to be available. Think of this like choosing a printer. We'd all like the top of the range model, but to meet the budget are likely to decline to purchase the stapling option. You may be able to negotiate an alternative price in a discussion with your preferred vendor.

Sometimes, these steps will be covered and completed within a month, but that is rare. Frequently, for the vendors, the conversations occur over 12 months, and even up to three years. In that space of time we will also have been keeping in contact with the client. By the time that we're engaged, a good relationship has already been developed, and we both have confidence in the partnership.

Sometimes, too, clients are reluctant to stay in contact when they haven't finalised a decision. So, why do vendors continue to call? Obviously we want to gain the contract, but also we want to make sure we will be in a position to provide the services.

As vendors, we need to predict your demand on our services. If we receive a call the week before a client has decided delivery is to commence (and it has happened) we will not be able to provide training. Our trainers will be fully booked. By keeping in contact with our clients, we can make sure we're in a position to provide the right services at the right time. If you aren't ready to make a decision yet, or have selected another vendor, don't be embarrassed about it, just be clear.



» “A PROJECT WITH CLEAR DEFINITIONS AND EXPECTATIONS IS MORE LIKELY TO BE COMPLETED IN TIME AND ON BUDGET WITH A CONTINUING HEALTHY RELATIONSHIP” «

BUILDING A STRONG PARTNERSHIP

Once accepted as a partner with an organisation, what things lead to positive/unsatisfactory outcomes?

The usual suspects of honesty and trust need to be in place for both parties, but over the years I've found there are three other key indicators of an outstanding relationship.

1 Open access to information and staff

As the new people on your team, we need information to make our part of the project successful. In a good relationship, access to the people who can provide that information will be freely available. As a client you will know some of the places the information can be found, which will be a great help. But there will be other sources that we view as valuable too, which you may not have identified.

A client who dictates who the vendor may talk to in providing a solution will limit the ability of the vendor to find the right solution. For instance, whilst talking to a manager about the training for their staff is useful, it is often more helpful to course design to talk to the end users and get to know the practicality of their everyday work, so we can ensure training is transferred to learning.

Where restrictions on access to information occurs it is often well meaning (not wanting to disturb others in setting up the project), but usually leads to a less successful outcome.

2 Continuous communication between the vendor and client

We all find it easy to communicate when all is going well. There will have been initial meetings, phone calls and emails to which both parties were responsive in setting up the project. It is very easy to let this lapse as the project gets under way, and end up in a situation where the only communication is about problems. Or even worse – one party is struggling, and shuts down all communication.

It is worthwhile to establish communication expectations from the outset and commit to meeting these. This may be weekly progress reports, a monthly review meeting, or an evaluation process.

Telephone calls can be scheduled in just as a meeting with a staff member would. Contact by email or phone needs to be responded to within 24 hours. And most importantly, problems are not ignored. Every project has risks and issues. Be open about these. Identify and discuss them from the outset, but also discuss them when they occur.

3 Clearly defined project expectations

A mutual understanding of expectations is paramount. Assumption of understanding is dangerous. One of the striking things about working with different clients is the variance in opinion on recordkeeping practice, and how to utilise an EDRMS.

Each client takes a different approach to the style and method of reporting in a project, centralised versus decentralised recordkeeping, use of classification schemes, etc. As an

experienced vendor (having learnt by my own errors!), I know the questions to clarify. However I'm still frequently an onlooker to other vendors providing their preferred approach, which does not meet client expectations.

Both parties need to take responsibility for understanding and articulating the style of the solution to be provided. A project with clear definitions and expectations is more likely to be completed in time and on budget with a continuing healthy relationship.

REWARD YOURSELF

A healthy vendor/client relationship is rewarding. It's a team of professionals working together to successfully achieve a common goal. Your partner is a trusted source of information and advice. Your partner goes the extra mile on a project. Your partner brings a fresh perspective and vast experience through the variety and range of people they work with. All because they feel like a valued team member due to the relationship that has been established.

The steps to establishing a healthy relationship sound like common sense when it is spelt out. As the client, avoid taking the view that once the vendor is engaged they should know what to do. A suitable vendor will know what to do, just not the specifics of how your organisation needs it done.

As a client you still need to work on the relationship beyond the sale. A vendor who asks for extra information, time and effort from you is not trying to avoid doing work themselves. They are trying to work more effectively for you. Give, and you will receive. **IQ**



About the Author

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The lack of learning design in TRIM training became apparent to her when she was engaged by a client in 2005 and has led the company over the past 4 years to become a pre-eminent recordkeeping and EDRMS training provider through a learner focused approach and practical training solutions.

Michelle has developed a suite of training, courseware and eLearning solutions, as well as providing individual training plans, which provide training solutions across all sectors and company size within the recordkeeping industry. Linked Training Group is a HP TRIM partner.

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Toward sustainability in RIM education and training

In 2011, Australian universities will move to a de-regulated market which will mean more aggressive competition for students. A new \$43 billion high speed National Broadband Network (NBN) is also being created. In light of these developments, is records and information management (RIM) university education sustainable, and what are the implications of ever faster online access for the student learning experience? This short article reviews the significance for RIM, of these two major developments in Australia's higher education landscape.

BY MARK BROGAN

A buzzword in environmental management from the 1990s, 'sustainability' has become very much part of the vocabulary of business management. According to Figge and Hahn (2005)¹ sustainability can be viewed as the balance of what inputs a business takes from its resources and the outputs it returns to its environment from raw materials, work-life balance and bottom line profit.

In earlier work, Laszlo et al. (2002)² proposed that "only companies that deliver value to their shareholders without robbing value from their stakeholders truly have sustainable business".

Across a variety of industries 'sustainability' has gained currency in discussions and thinking from the boardroom to the shop floor. Education and training programmes can also be evaluated in sustainability terms. But what is the nature of sustainability in education and training? Should the business of educating and training RIM professionals operate on a sustainable basis? Is there a clear need to identify sustainability requirements, and for stakeholders to be proactive in ensuring that RIM education and training operates on a truly sustainable basis?

Story Snapshot

- The way we are learning, not just what we are learning, is changing rapidly.
- Educators are challenged to keep pace with changing delivery methodology that their students must both study and use in the process of their studies.

SIGNIFICANT HURDLES

When professionals and others think education and training, they often think in terms of core knowledge and skills. But from pro-active strategies for academic workforce renewal to what kind of market we want for education and training, the reality of education and training is much more complex. These sorts of issues go to the heart of sustainability of our current RIM higher education programmes, in a time of great change.

At University level, implementation of the Bradley Review recommendations will result in a de-regulated market for tertiary education in 2011. In this market place, niche programmes such as RIM face significant hurdles.





About the Author

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His research interests include digital memory, knowledge management, e-business, and public policy for communications and information technology. He co-wrote the report on the 2009 RMAA Technology Survey which appeared in the May 2009 issue of *iQ*.

Edith Cowan University (ECU) has been teaching records and information management since 1993, and was the first Australian university to offer a distance education programme for recordkeeping professionals. Since 1993, demand for distance education has grown, along with the number of Australian university providers. However RIM higher education remains small in terms of aggregate student demand. All current providers now face the challenge of scaling up in a new and challenging operating environment.

LESSONS FROM HISTORY

Sustainability is a word with huge social desirability. But achieving sustainable higher education is likely to be more easily talked about, than achieved. Lessons from economic history are instructive. An important lesson, is that in small scale industries, the key to achieving sustainability is for players to compete collaboratively. In terms of higher education, moving RIM studies to a model based on the concept of collaborative competition involves some interesting possibilities. For example, providers might combine their efforts by offering courses on a consortium basis. In so doing, they might forge a new brand that works to expand student demand, for example, in lucrative international markets.

This kind of model also improves sustainability by reducing the unit pool for each participating institution, producing an economy of scale benefit. Providers can better align outputs to resources, free up capacity for research, and work to ensure that key stakeholders can have confidence in the relevance and innovative character of programmes provided.

Building a sustainable business strategy for RIM education and training is one of many challenges facing educators. An increasingly technology-rich and tech-savvy marketplace means that, with full implementation of the new high speed National Broadband Network (NBN), student expectations of their online learning experience will change. When ECU's courses began back in 1993, the Internet was still new, and much of our teaching was offline, involving paper and CD-ROM. Now of course, the student learning experience in distance education is wholly online.

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LEVERAGING THE NEW

On 1 July, 2009, ECU launched a new School of Computer and Security Science, which offers studies in records and information management, archives and digital recordkeeping.³

The current challenge for educators is to leverage some of the newer delivery modes and tool sets made possible by high speed broadband. In 2009, ECU did its first wholly desktop video and iPod MP4 unit.

On the curriculum side, change is also normative, rather than exceptional. Something to be expected in a dynamic, rather than static knowledge domain, such as RIM. As one of their first course exercises, students at ECU are requested to map the knowledge domain of RIM. Students are encouraged to explore their different maps and to explore why boundaries have been drawn differently. When reviewing this work, it is clear that while recordkeeping concepts are well represented in student thinking, many students work with concepts drawn from IT and security, business and law. The multi disciplinary character of RIM is never far from view, and drives development of the curriculum in new and exciting directions. **iQ**



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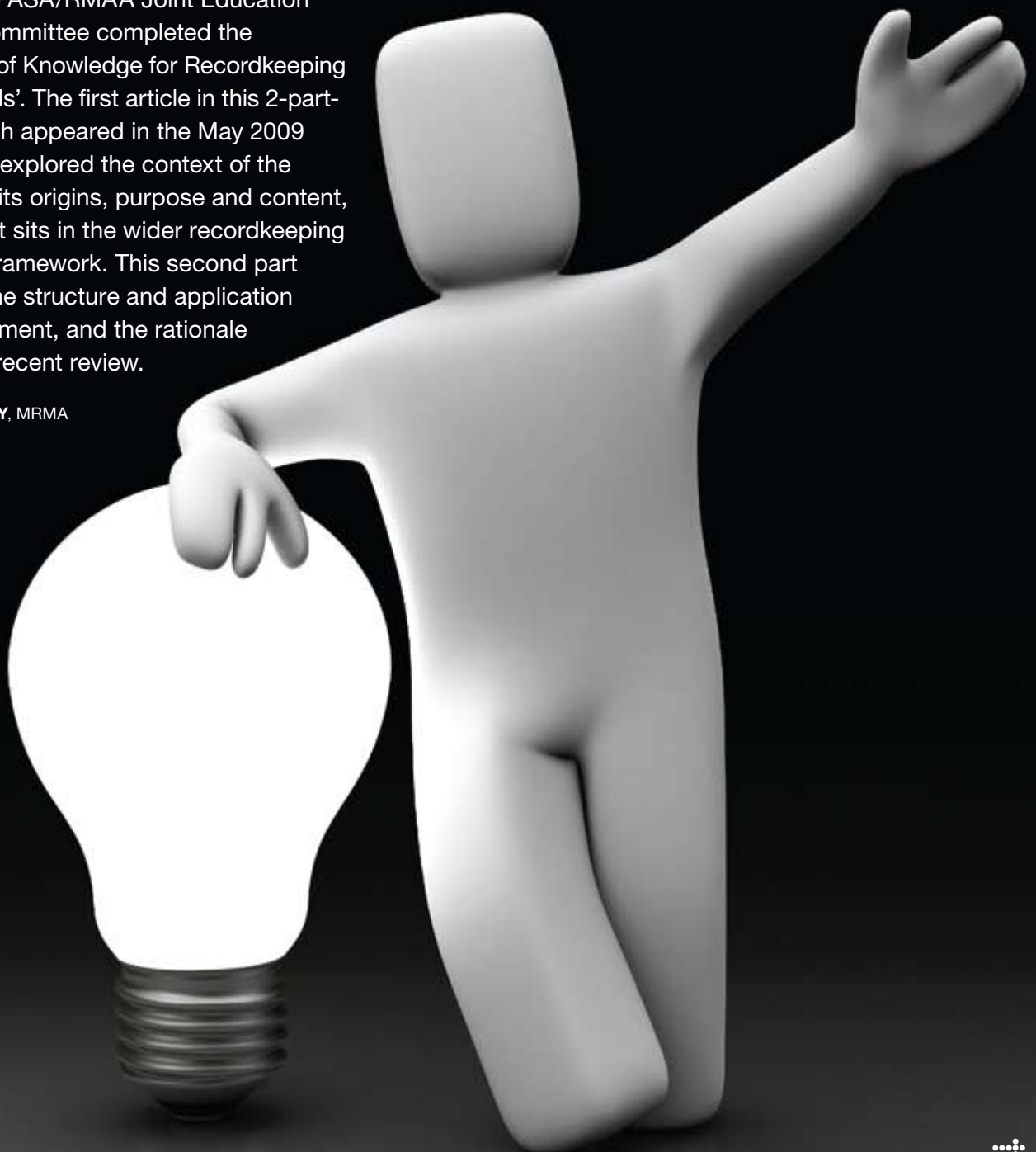
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Understanding the role, place and potential of the 'Statement of Knowledge for Recordkeeping Professionals'¹

PART 2

In 2006, the ASA/RMAA Joint Education Steering Committee completed the 'Statement of Knowledge for Recordkeeping Professionals'. The first article in this 2-part-series, which appeared in the May 2009 issue of *iQ*, explored the context of the Statement, its origins, purpose and content, and where it sits in the wider recordkeeping education framework. This second part examines the structure and application of the Statement, and the rationale behind the recent review.

BY **MARIAN HOY**, MRMA



Story Snapshot

- Much work by representatives of the RMAA and ASA has gone into creating the Statement of Knowledge.
- There are many ways that educators, institutions, professional bodies, and individuals can apply the Statement of Knowledge.

I began this article by asking whether the Statement of Knowledge is just one more example of a statement or set of competencies of skills, knowledge or attributes or does it have something else to offer the recordkeeping profession? Why, I asked, do we, in Australia, have both the Recordkeeping Competency Standards and the Statement of Knowledge for Recordkeeping Professionals? How do they compare with competencies of other information-based professions?

This article set out to explore the context of the Statement of Knowledge, its origins, purpose, content and where it sits within the wider recordkeeping education framework. Descriptions of knowledge, skills and attributes, such as the Statement of Knowledge, can influence the education, work and self-identity of every recordkeeping professional.

Exploring the descriptions of knowledge, skills and attributes, referred to loosely as 'competency frameworks', of other information-based professions and the research framework will also add to the context of the Statement of Knowledge. The article will conclude with a discussion on the future of the Statement of Knowledge and what might influence its direction.

STRUCTURE OF THE STATEMENT OF KNOWLEDGE

The Statement of Knowledge is divided into the following parts:

- introduction, sources and where it sits within the wider recordkeeping education framework;
- summary of the capabilities of recordkeeping professionals; and
- explanation of the knowledge domains.

There are four knowledge domains, covering underpinning theory, records and recordkeeping systems, context and processes. The descriptions in the Statement introduce the full body of knowledge that is embedded in the literature, policies, procedures and systems over time and in multiple contexts.

1 Knowledge domain: Body of theory and principles

This domain is about understanding the body of theory that informs the recordkeeping profession. Theoretical knowledge should underpin all decisions and actions undertaken by practitioners.

Theory is constantly being researched, challenged, confirmed or modified so it is not fixed in time or place, but is rather a dynamic ongoing process. Ethics and principles guide how the body of theory is interpreted. The following three domains are all informed by the theory domain.

2 Knowledge domain: Purposes and characteristics of records and recordkeeping systems

This domain covers records and systems in which they were created and maintained; why they were created, the information they contain and how evidence is represented in the records. The systems could be hard copy or digital and exist in the past, present and future.

3 Knowledge domain: Context

This domain describes the broader environment that is needed to support creation and maintenance of records. It is about the legislative, regulatory, governance, community and business frameworks. It is also about the standards that guide implementation of theory and ethics, such as *AS ISO 15489, Records Management*.

4 Knowledge domain: Recordkeeping processes and practices

This domain describes the implementation of recordkeeping theory, frameworks and standards and reflects a range, but not all, of the responsibilities of the many and varied roles that members of the profession might carry out. These include appraisal, preservation, custody, ongoing management, reference, accessibility, description and classification.

APPLICATION OF THE STATEMENT OF KNOWLEDGE

There are many ways educators, institutions, professional associations and individuals can apply the Statement of Knowledge.

A statement of knowledge is one of the benchmarks by which an association can regard itself as a professional association, along with ethics and codes of practice.² The very existence of a statement of knowledge increases the credibility of a profession, whatever the uses to which it is put.³

The ASA and the RMAA are using the Statement of Knowledge as a foundation document to assist in the recognition of courses at undergraduate and graduate level at several Australian universities, through assessing how much recordkeeping knowledge is covered and to what depth.

This recognition process also supports guidelines for determining professional membership of the respective associations.⁴ This recognition process complements, but does not seek to duplicate the formal accreditation process that all training providers at vocational and higher education level in Australia must undergo.⁵

Managers of recordkeeping teams can use the statement to identify areas of training for the workplace and to assess if there are gaps in policies and procedures. The Statement can assist



the preparation of individual or team learning and development plans for:

- induction plans for new recruits;
- teams undertaking new responsibilities and projects;
- existing personnel needing to understand new concepts and practices; and
- experienced personnel ready to take on new challenges.

The Statement of Knowledge influences what professionals do, learn and know in several ways, including through:

- information in recruitment information and interview questions;
- helping organisations decide if they are looking for employees with knowledge to undertake routine operational processes, or in-depth knowledge to solve complex recordkeeping issues;
- using the knowledge domains to determine content for formal or short courses;
- facilitating individuals to map their areas of expertise and identify strengths and directions for further development;
- helping associations and employers identify priorities for professional development ; and
- helping promote the value of professional knowledge to potential employers.

In addition to the knowledge outlined in the Statement, professionals need a wide range of skills and knowledge in other areas, depending on the context in which they are working. These might be identified through codes of conduct, statement of values, leadership capability, and information technology or management skills.

There are a considerable number of these sources available to professionals to direct their future development. Some are jurisdiction specific, others based on industry or professional association requirements.⁶ There is work yet to be done to get the Statement used more widely. It needs a variety of marketing angles, such as short, catchy material for career fairs and various job guides, in hardcopy and online formats. An executive summary would help those wanting to know why it exists and what it contains.

Other publicity material is dependent on the context, such as career advice for new starters to the profession or business cases to justify employing a recordkeeping professional. A review of the Statement of Knowledge by the ASA and RMAA commenced in 2008. Areas that need attention include presentation, language, promotion to members of the associations, as well as to related disciplines and employers.

The review needs to take account of new research into principles and practices of recordkeeping and education of recordkeeping professionals, such as the research on 'Pluralising the Archival Paradigm through Education', which recommends the need to 'reconfigure educational programmes to be more inclusive, culturally sensitive and diverse'.⁷

If the Statement of Knowledge is to support educational programmes of the recordkeeping profession, then it too needs to be able to reflect such recommendations. The role of the Statement of Knowledge in recognition of courses will be able to be evaluated for the effectiveness of its content and structure.

PLACE OF THE STATEMENT

Having described how the Statement is used, the next issue to discuss is its place in, and value for, the profession. The Statement can make a contribution to the research framework of the profession as a source for which aspects of the underpinning theory and practice needs to be investigated through research, by students, practitioners or educators.

For example, how are records and systems changing as we move from physical to digital entities? Is practice keeping up with new standards or moving ahead? Are community environments and expectations changing? Pember (2007) makes this link between the body of knowledge and research unequivocal: 'One indicator of a *profession* is a body of domain-specific core knowledge and theory. This body of knowledge or theory base in turn is founded on a reiterative process of rigorous research and theory development'.⁸

Anderson (2007) has expressed concern about the long term prognosis for the records professions if there is not a strong research framework to sustain over time 'an educated body of professionals whose expertise is underpinned by an integrated understanding of theory and principle'.⁹

Procter (2005) is concerned that educators and practitioners alike might 'be high-jacked by non recordkeepers, without any natural affinity with the principles of recordkeeping'.¹⁰ Pember and Cowan (2007) also argue the need for a research framework and presents evidence that research into recordkeeping is increasing through national and international initiatives.¹¹

The results of such research will in turn build new knowledge and influence the body of theory and practice of the records professions. It can therefore be argued that research plays just as important a role as education and training in moving the thinking and practice of the records professions forward.¹²

Anderson (2007) provides a framework for developing a research culture that will contribute to a greater understanding of recordkeeping theory and practice, involving collaborative efforts between practitioners, students, educators and professional associations.¹³

These arguments about research, education, knowledge and the identity of a profession would indicate that the research framework should be part of the wider context of the Statement of Knowledge. Figure 1 shows the connection between research, the Statement of Knowledge and other elements of the recordkeeping education framework.¹⁴

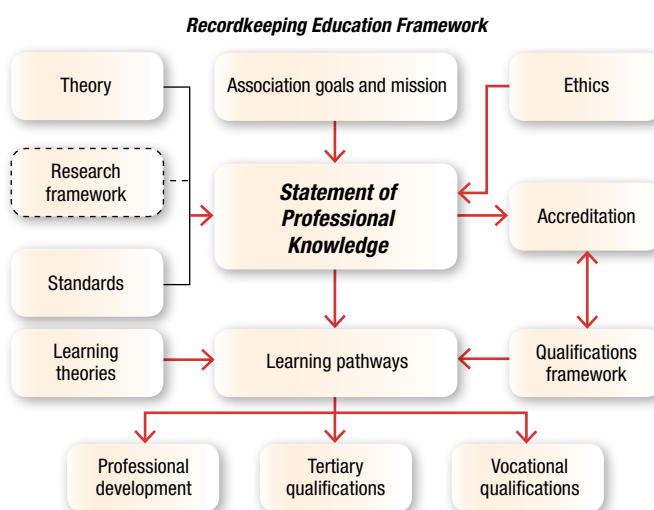


Figure 1: Place of research in recordkeeping education framework

» “THE STATEMENT OF KNOWLEDGE HAS THE POTENTIAL TO SUPPORT THE PROFESSION AT RESEARCH, INSTITUTIONAL, EDUCATIONAL AND INDIVIDUAL LEVELS” «

The Statement also has a place in continuing professional development. Crockett (2007) has argued the importance of continuing professional development to assist recordkeeping professionals continue to learn and that there needs to be a framework to support this.¹⁵

The Statement of Knowledge can provide a foundation for such a framework. It is not tied to any one jurisdiction, time frame, association or organisation, standard, procedure or legislation, and can help institutions and professionals target their education and training. This means it is relevant to professionals working with records and organisations, in the past, now and into the future.¹⁶

The Statement of Knowledge offers another foundation document to assist educators design and deliver recordkeeping courses. It is a complement to the competency standards, which focus more on the practical aspects of recordkeeping.

A unit named ‘Review recordkeeping functions’ is derived from the Statement to support implementation of recordkeeping theory and principles at the operational level.¹⁷ Both have a role in the education and training of the profession, but neither can provide a foundation for all approaches.

A study by Pember (2005) about employment trends supports the need for different levels of knowledge. The study showed that employers were taking on both operational support personnel, as well as experienced or highly qualified professionals.¹⁸

Formal qualifications are part of the solution to building the profession, however they do not remove the need to engage in continual transfer of learning, at all levels within an organisation. Domain specific knowledge still has to be applied in context to give it meaning and to support problem-solving and knowledge transfer.¹⁹

This means that whatever the level of knowledge, skills and ethical principles a new employee or contractor might bring with them, there will still be a need for ‘situated learning’, where the knowledge, skills and behaviours and culture relevant to that organisation need to be understood. Once understood they can be evaluated, challenged and adapted as the work practices and culture of the organisation changes.²⁰

The Statement of Knowledge facilitates this contextual learning as it is not bound by specific contexts; rather it supports the ability of professionals to interpret knowledge.

A statement focussing on knowledge offers a balance to the current focus on skills for the workplace.²¹ One example of this focus on skills is the relatively recent inclusion of mandatory employability skills in the competency-based training packages.²²

Billet (2000) argues that skills alone will not affect cultural change in the workplace or support new ways of working. Rather, knowledge underpinned by values and attitudes are better placed to support the ability of organisations and individuals to change culture and practice.²³

CONCLUSION

There is no question that competency frameworks can be complex, resource intensive and at constant risk of ceasing to be relevant for whatever purpose they were developed.

The intent of the Statement of Knowledge was to give the recordkeeping profession a fighting chance of remaining a profession with a unique and valuable body of knowledge. The form and size of the Statement recognises that short documents, linked to but not tied to other frameworks could offer flexibility in how it could be used, and be more manageable to review and renew over time, as it has to be.

The lengthy and complex two year review of the recordkeeping competency standards clearly illustrates the importance of having a Statement that is not tied to complex government contexts and which can be updated through processes that are manageable by professional associations.

The Statement of Knowledge has the potential to support the profession at research, institutional, educational and individual levels. However, both the Statement and the recordkeeping competency standards will remain at risk if not fully embraced by the profession. They are not just pieces of information, but invaluable tools for everyone while they study, when at work, undertaking research, when promoting the profession, and for professional development.

The Statement of Knowledge and the recordkeeping competency standards cannot remain unchallenged. They will only be relevant as long as there is a will to continually critique



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Marian is a professional member of the ASA, the RMAA and an individual member of the International Council on Archives (ICA). She is Secretary of the ICA, Section on Archival Education and Training (SAE). Marian has published in areas relating to archival control systems, thesauri, training, and competency frameworks. Marian worked as a recordkeeping practitioner for 26 years and in January 2009 joined the team at RMAA as the Professional Development & Education Officer.

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and renew them, especially as research reveals over time what constitutes the underpinning domain-specific body of theory and practice.

There is concern at the amount of work involved in the continuing commitment to competency frameworks, however they are an integral part of the identity, education and training of the profession and the commitment has to be made. If the profession ignores the Statement and the recordkeeping competency standards, they will become out of date very quickly, not reflect research into theory and practice and eventually the knowledge unique to the recordkeeping profession will be absorbed or changed by others or just disappear.

The recordkeeping profession needs to be able to move across multiple environments for today's and tomorrow's challenges, be recognised by employers, the community its 'political masters', and be able to take a stand in society.²⁴ How professionals embrace and apply the knowledge depends on the context of the workplace, and values, and ethical principles. This knowledge will be interpreted every day, sometimes challenged, other times lead to new knowledge or just to be more clearly understood.²⁵

PROGRESS UPDATE

Since the writing and first publication of this article a user forum page has been established on the RMAA website for comments and more detailed information arising from the review of the Statement of Knowledge.

It is also a place where documents will be available for comment and review.

- Visit <http://forums.rmaa.com.au>. You do not have to register as a user to browse this material.

What professionals cannot do is let their knowledge remain the same; they must continue to research and to learn, however that is achieved, so they can adapt and develop new knowledge at theoretical and practical levels. So too the Statement will need renewal over time to reflect the domain-specific body of knowledge that defines the profession. **IQ**



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I SPY....

Managing the Archives of the New Zealand Security Intelligence Service

Forget the Aston Martin and the Walther PPK. Spying is all about keeping records – on people like us. In a rare insight into the recordkeeping practices of a national security and intelligence service, this article, by officers of New Zealand's SIS, reveals how the agency administers secret dossiers, old and new, and how it addresses information requests.



The New Zealand Security Service was established on 28 November, 1956, assuming functions that at different periods since 1919 had been exercised by the New Zealand Police and the Security Intelligence Bureau.

Most of these organisations' records*, including reports and assessments relating to groups and individuals that had been of security interest at various times, and administrative and operational files, were inherited by the new organisation.

From early 1957, records were created by the New Zealand Security Service which, on 11 September 1969, became the New Zealand Security Intelligence Service (NZSIS).

The great majority of these records are "classified"; that is, they carry a national security classification: "Restricted", "Confidential", "Secret", or "Top Secret", and are consequently subject to strict controls regarding storage, handling and release.

Like other security and intelligence organisations, the NZSIS has always faced intense public interest in the information it holds. The need to safeguard security and privacy has often meant that requests for information have been declined, as provided for in the Official Information Act 1982 (OIA) and the Privacy Act 1993. This has led to some criticism of the Service.

On the other hand, the nature of some of the information released by the Service has also been criticised, usually by those seemingly unable to view material in its correct historical context.

Historical context is important because information collection priorities have altered over the years, as the nature and perceptions of threats to security have changed. From a post 9/11 perspective, for example, the significance of the Soviet bloc – the Service's focus for decades – is not readily apparent.

The nature of reporting and filing has also changed. Comparatively few people are or were in the past actively investigated by the NZSIS or its predecessors. In earlier times, though, it was common for all those who had come to notice, even in some minor way and even although they were not under active investigation or of security concern, to be identified and all references to them, both public and in classified reporting, to be assiduously placed on a personal file.

These old files may also contain sensitive personal details about convictions, health, and adoptions that would not be reported today.

There is a further class of records – the vetting files – which result from the statutory responsibility of the NZSIS to make enquiries about people – usually government employees – to provide advice concerning their suitability to be granted a security clearance.

Such enquiries for security clearance vetting purposes are undertaken with the formal agreement of the person concerned. The resulting vetting files are generally of no historical value, and are mostly outside the scope of this discussion.

STATUTORY ACCESS REGIMES

Many requests for access to personal information held by the Service were received following the passing of the OIA in 1982. Since 1993, the Privacy Act has provided for access to this type of information. Both security and privacy constitute grounds for

Story Snapshot

- The focus of security service recordkeeping has changed over the years as threats to national security have changed.
- FOI has been perceived at NZSIS as a way for adversaries to 'out' security agents.
- The Service today feels that citizens have a right to privacy, and this and security needs have to be balanced.

withholding information; the OIA and the Privacy Act also provide that in certain circumstances a person requesting information can be given notice that the agency neither confirms nor denies the existence or non-existence of information.

Initially, those seeking access to personal information were provided by the Service with a brief summary of anything that was held on file. It soon became apparent that a concerted information collection and pooling plan had been instituted by some activists who wished to identify the Service's sources of information, including "agents".

Agents, in security intelligence parlance, are not regular employees, but those who work under direction in target organisations to collect information secretly. This is often at personal risk, and the NZSIS is under a legal and moral obligation to protect their identity.

Confronted by these attempts to expose its agents, from November 1983, the Service generally invoked Section 10 of the OIA and declined to confirm or deny whether or not any relevant information was held.

Where appropriate, the "neither confirm nor deny" approach is still followed, but in recent years the NZSIS has often been able to be more forthcoming. In numerous cases, applicants have been given copies of reports or summaries of personal information held on them – or, as often as not, they have been informed that no information is held about them.

There has also been interest in information held about organisations and people other than the applicants. Significant amounts of information in these categories have been released under the OIA from NZSIS custody to writers – averaging twice a year since 1993. Some recipients have been family historians, and books have not always followed, but the Service's contribution has now been acknowledged by a dozen authors.

NZSIS ARCHIVES POLICY

In 2000, at the request of the Rt Hon Helen Clark, Prime Minister and Minister in Charge of the NZSIS, the Service began to formulate an archives policy to aid the proactive and systematic public release of records in NZSIS custody.

After extensive consultation, with views canvassed from the Chief Archivist, the Chief Ombudsman and the Privacy Commissioner, and appropriate members of their respective

* Records Held by the NZSIS

New Zealand Police: security intelligence records	Security Intelligence Bureau (established by military; operating under Police control 1943 – 1945): all records	New Zealand Police: security intelligence records	New Zealand Police Special Branch: most records	New Zealand Security Service: all records	New Zealand Security Intelligence Service: all records
1919 – 1941	1941 – 1945	1945 – 1949	1949 – 1956	1956 – 1969	1969 – present

offices, and the Inspector-General of Intelligence and Security, the policy was launched by Helen Clark in November 2003.

A summary of the policy, which has a guideline withholding period of fifty years before transfer to Archives New Zealand, appears on the NZSIS website and is reproduced below.

In June 2005, the Minister in Charge, under the provisions of Section 22(1)(d) of the Public Records Act 2005, renewed a certificate deferring for ten years (five years in respect of records over fifty years old) the transfer of NZSIS records to Archives New Zealand. This recognises the practical issues and difficulties involved in preparing Service records for transfer.

SECURITY AND PRIVACY ISSUES

Unique security and privacy concerns arise when security intelligence records are considered for release. Among the most significant is the obligation to protect the identity of agents who provided information to the NZSIS and its predecessors. This is not dissimilar to the long-standing conventions in the news media relating to the protection of sources of information.

Another is the requirement to obtain, prior to release, permission from the originators of classified information. In practical terms the consequences of this requirement are usually more evident when considering information provided by overseas intelligence services, as discussed below. These imperatives are recognised by legislation.

There is a view that the records of overseas intelligence services are an open book. This is far from being the case. The requirements to protect the identity of agents, other sources of information, and serving and retired staff, and to maintain the secrecy of certain operations, are universally recognised.

By the nature of its work, a security intelligence organisation often collects privacy-sensitive information. The NZSIS will not generally release sensitive information unless the subject consents, or an appropriate period has passed – when such material may be made available only to the person, or the close family of the person, who is in the record – or the information is already in the public arena.

The Service regards private citizens as being entitled to expect greater privacy than public figures, and considers that time diminishes privacy concerns.

Except where security concerns impinge (as with the identity of NZSIS staff members and agents), the preference of the Service is to leave decisions about privacy matters to Archives New Zealand staff, who have greater familiarity with those issues.

DECLASSIFICATION

Declassification is the process whereby national security classifications, and the concomitant restrictions on storage, handling and release, are removed under appropriate authority. Declassification, a pre-requisite for public release, is usually a laborious task requiring the page-by-page examination of documents. Sensitive information must be identified, and the originator's views obtained on the information's suitability for release.

Where records are locally-generated, they can usually readily be assessed and a decision quickly obtained on whether to release or withhold them. However, declassification can be very time-consuming when the information is of overseas origin. Archival matters are not a priority for security intelligence services, and obtaining release permission from overseas liaison partners can be a lengthy process.

Information that cannot be made public is excised from the release copy, which is annotated to record the excision and the grounds for it. Experience has shown that care must be taken when excising sensitive material. For example, former Communist Party members have proved adept at identifying old comrades

years later despite concealment of their names; blacked-out text can be electronically reconstituted; and what has been deleted may correctly be deduced based on the context and the size of the gap.

Where the information that is releasable is not representative of Service holdings and would create a false impression, it is generally issued with a clarificatory statement. Where information cannot be released in full, for example because it is too recent, a summary may be provided.

RECENT ACTIVITY

In April 2007, the NZSIS recruited an experienced declassifier to prepare Service records for public release by transfer to Archives New Zealand. The first records to be transferred, Special Branch files relating to the 1951 waterfront dispute, became available to the public at Archives New Zealand on 27 March 2008.

A significant group of NZSIS papers relating to Dr William Ball Sutch, who in 1975 was tried and acquitted of charges under the Official Secrets Act 1951, was released under the OIA in May 2008.

Concurrently, the Chief Ombudsman and the Director of Security made public an annex to a report written in 1976 by the then Chief Ombudsman, Sir Guy Powles. The release of this formerly Top Secret annex is consonant with an important principle of the NZSIS's archives policy: that the Service will deal impartially with information, regardless of whether it reflects unfavourably on the Service or shows the Service in a good light.

In fact, the methods employed by the Service in its investigation of Dr Sutch were sharply criticised by Sir Guy.

Not unexpectedly, the recent releases have prompted many requests for access to personal information held by the NZSIS.

Public views are being canvassed by the Service to determine what records are of most interest, and individuals who have requested information and are the subject of early personal files are being invited to give their views on the disposal of the records concerning them. To date, they have invariably wished to see them preserved and eventually transferred to Archives New Zealand.

The NZSIS is indebted to Archives New Zealand for undertaking a series of appraisals of records held by the Service. Vetting records were appraised in 2003, subject files earlier this year, and personal files are now being assessed.

The outcome is a set of disposal schedules identifying significant categories for preservation and enabling the destruction of other records. Very few vetting files will be kept, but it is envisaged that many other records will be preserved.

LOOKING AHEAD

A number of files relating to the Second World War and early Cold War period have been identified as being of high public interest. After any security or privacy issues have been dealt with, these will be the next records to be transferred to Archives New Zealand.

As the Service's small declassification team must give priority to Privacy Act and OIA requests, it is not possible to give a precise timetable for the transfer of these files. ‡ The Service remains nonetheless committed to the progressive declassification and public release, through transfer to Archives New Zealand, of records of historical interest that are no longer of administrative value.



‡ NEW ZEALAND SECURITY INTELLIGENCE SERVICE ARCHIVES POLICY: SUMMARY

General Principles

The New Zealand Security Intelligence Service (NZSIS) is subject to New Zealand's archives legislation and will maintain and preserve as long as required to proper standards all records of security and historic value in its custody.

These are mainly in paper or electronic form but also include photographic, audio and video material. Many records will eventually become available for public access, but there will be sufficiently compelling reasons to withhold some from public access indefinitely, subject to periodic review.

Where possible, records appraised as having long-term value will be transferred to Archives New Zealand (ANZ). The NZSIS will deal impartially with information, regardless of whether it reflects unfavourably on the Service or shows the Service in a good light.

The archives policy does not provide guidance on responding to requests made under the Official Information Act 1982 and the Privacy Act 1993. Each request made under the statutory access regimes will be assessed on an individual basis and the Service will act in the spirit of these statutes taking into account security and privacy considerations.

CRITERIA FOR PRESERVATION

Records in the following categories will be preserved:

- History of the Service including structure, objectives and important papers relating to administration;
- Major intelligence cases;
- Significant individuals;
- Important issues of the day;
- Advice to ministers;
- Relations with Parliamentary, judicial and quasi-judicial authorities;
- Relations with other agencies;

- Period pieces (reports which capture the essence of the period concerned);
- Representative 1% cross-section of personal and subject files;
- All indices, hard copy and electronic;
- Vetting records of historically significant people;
- Precedent-setting vettings;
- Vettings reviewed at request of candidates;
- Service staff; and
- Any other records approved for preservation by the Chief Archivist.

Criteria for Disposal (ie, Preservation or Destruction)

- Disposal must comply with legislative requirements. There will be no destruction of records without a current authority approved by the Chief Archivist.

Handling Procedures: Disposal

- Significant files will be retained intact.
- Any original papers meeting preservation criteria will be retained from files scheduled for destruction.
- All vetting files outside preservation criteria will be destroyed *in toto*.


Withholding Periods

- Security concerns will always remain paramount.
- Privacy issues will also be taken into account.
- These considerations may preclude release at any time.
- Where there is a high level of public interest, the withholding period may be reduced.
- Access decisions, especially for older records, will be subject to periodic review.

Withheld Shorter-term


- Subject files: release 50 years after creation.
- Personal files: release 120 years after the birth of the subject or 50 years after the death of the subject, whichever is later.






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To include:

- Some files on target organisations and personalities and Service administration;
- Some information relating to technical intercept operations; and
- Material from overseas liaison services where the originator's permission to release it has been obtained.

Withheld Longer-term

- Information on NZSIS staff members in general: release 100 years after death, unless the member or next-of-kin gives approval for prior disclosure.
- Note: generally limited to name, dates of service and outline of responsibilities; privacy-sensitive material not releasable.
- Some files on target personalities: release 100 years after death.
- Information on technical operations: some may be released 100 years after creation.

Withheld Indefinitely

- Information disclosing the existence of an interception warrant.
- Material that could identify sensitive sources of information or agents.
- Information the release of which would constitute a threat to security, be a breach of confidence, or could endanger a person.
- Liaison service material, until the originator gives permission for its release.
- Some material relating to sensitive operational techniques or targetting.

Custody

- Classified information will remain in the custody of the Service.
- Declassified material, that has been appraised as having long-term value, will generally be transferred to ANZ.
- Supervised access to selected archives at NZSIS Headquarters may be negotiated on a case-by-case basis.

Guidelines for Release

Security Significance

Declassification is essential before public release.

Information will not be released which may reveal:

- the existence of an interception warrant;
- sources of information or the identity of agents;

- other assistance available to the Service;
- operational techniques still used by the Service;
- current or planned Service operations; or
- liaison service information where the originator has not given permission to release it.

Confidentiality

Confidentiality obligations to liaison services and other organisations and individuals must be observed.

Privacy

Private citizens are entitled to expect greater privacy than public figures, and sensitive information will not generally be released unless the subject consents, the information is already in the public arena, or an appropriate period has passed.

The Service will be guided by relevant legislation and practice. Time will diminish privacy concerns.



Handling Procedures: Release

Security is paramount.

All material to be released must be:

- expurgated of any references that might compromise security;
- formally declassified; and
- annotated to indicate where deletions have been made and why.

Original records must:

- be kept intact;
- record any release of the document; and
- identify any deletions or excisions made on the version released.

Material being declassified should be made available to all except that some personal information may be releasable only to the person, or the close family of the person, who is in record.

The Service will endeavour to process material as requested by the public, and, as resources permit, other records judged to be of the most interest to the public. **iQ**

‡ NZSIS ARCHIVES RELEASE PROGRAMME 2008 – 2009

- Anti-Conscription Organisations
- New Zealand Peace Council
- Communist Party of New Zealand
- Society for Closer Relations with Russia

About the Authors

This article was written by New Zealand Security & Intelligence Service archives staff. It is an offence under New Zealand law to name any member of the NZSIS, or their associates, other than the Director. The article was approved for publication by the Director, Dr Warren Tucker.

- Further information about the NZSIS is available on the Service website: www.nzsis.govt.nz
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Have You Fallen into the RIM Generation Gap?



The latest LexisNexis survey of technology uptake and usage painted an interesting picture of differing attitudes and approaches by the different generations – Baby Boomers, Gen X, and Gen Y. Here, Andrew Warland discusses the survey for *iQ*.

Representatives of the different generations then give their views.

BY ANDREW WARLAND,
BABY BOOMER (AGED 50),
SYDNEY RM CONSULTANT



» “BOOMERS HAVE A WORK ETHIC, A SOCIAL CONSCIENCE THAT TELLS THEM THAT ACCESSING FACEBOOK AT WORK IS SOMEHOW “NOT WORKING” RATHER THAN “NET WORKING” «

Baby Boomers like me – the post-war generation born before 1965 – are less likely to adopt new records creation and management technology than the younger generations known commonly as Generation X (born 1965 to 1979) or Generation Y (born after 1980), according to the findings of a survey of technology uptake and usage conducted late last year, and released earlier this year, for US-based law reference company LexisNexis.¹

According to the Lexis Technology Gap Survey, Gen Y multi-tasks with technology at twice the level of the Boomers, but are most concerned that it may be affecting their productivity. On the other hand, twice as many of the oldsters are worried that high technology usage damages work-place etiquette and teamwork.

The survey, carried out in the US last year but by now probably mirrored across the Western World, examined usage and uptake rates of a range of new and emerging information technologies, including social networking applications, among Boomers, Gen X and Gen Y employees in white collar positions, which include records managers, and legal environments. Not surprisingly, perhaps, it found that, overall, Gen Y was more likely to adopt and make use of technology than Boomers.

The outcome of the survey is consistent with the results of a May 2009 tracking conducted by Facebook (www.insidefacebook.com) that found fewer Boomers were returning to it after initial usage – although the number of active users in every other age bracket had increased. And, interestingly, more women than men use Facebook – 56% to 44%.

GEN Y'S 99% USAGE

Conversely, while 99% of Gen Ys have profiles on social networking sites, less than a quarter use Twitter, according to a survey from Pace University and the Participatory Media Network published on CNET (news.cnet.com) on June 1 this year.

This probably doesn't come as much of a surprise to Boomers who have watched their Gen Y children grow up with a wide range of technology, and who were more likely to use new technology than their parents. If the Boomers' parents were the children of the industrial revolution in the West, Boomers like me were the children of the post war technological revolution.

We adopted that technology because it was cheap, affordable and popular. Listening to the Stones on a tranny had none of the quirky connotations that it might today. Groovy, man!

LexisNexis doesn't list the actual jobs covered by the survey, but it examined the use and uptake of a broad set of technology now used across a range of employment sectors.

Some of that technology, such as the so-called 'office productivity tools' (word processing, spreadsheets, email), has been with us for almost 20 years now, and is the source of almost all our unstructured electronic and printed paper records, and, for records managers, headaches!

MORE WEB-BASED RECORDS

In the past couple of years, however, new and mostly Web-based technology has begun to creep into the office environment, creating even more information and records to manage.

Gen Ys particularly, the Gen Xs and, to a lesser degree, the Boomers, have taken to this new technology and have been adopters of social networking tools. The Pace University survey noted for example that Gen Ys formed Facebook's 'initial core' of users.

Much as we Boomers may not want to admit it, the younger generations really do seem to be a bit more 'with it' in terms of uptake and use of technology. They are, mostly, the ones with a mobile phone glued to an ear driving down freeways at 100 km/h, or fidgeting away, seemingly endlessly engaged in phone chat with friends.

Hand in hand with the new technology are new types of records. The white collar professionals surveyed are the ones using office productivity tools to create unstructured records. And now they are creating new types of records with the new technology that makes the job of managing these records even harder: work promotional videos to Youtube, comments on Facebook or, even more difficult, 140 character Twitter messages. And then, last May, along came Google Wave that brings all these things together!

At the 2009 AIIM conference in the US, one member of the so-called E20 (E for Enterprise) group of enterprise content management vendors flippantly suggested giving up managing – or pretending we can manage – the new 'content' and just let users do it all in Facebook.

British RM strategist, Steve Bailey, (<http://trmfuturewatch.blogspot.com>), makes a remarkably similar recommendation for what he calls "democratising information management" in his book *Managing the Crowd*, reviewed by RMAA experts in November 2008's *iQ*... only Steve is deadly serious about it.

The faster uptake of new technology by younger generations is hardly news. Just over a decade after the Second World War ended, the Iowa Cooperative Extension Service, a part of the Iowa State University of Science and Technology, published a report entitled *The Diffusion Process*, described as a supplement to another publication 'How Farm People Accept New Ideas'.²

The article proposed that farmers (and people in general) do not adopt new ideas at the same time. It suggested that some, mostly younger farmers adopted ideas when they were first introduced, other mostly older farmers waited longer perhaps to be sure the technology was worth investing in. Some never adopted new ideas – a technology diffusion model as it were. The article was the foundation for the idea of a technology lifecycle that describes the take up of technology generally in the population.

In his 1991 book *Crossing the Chasm*, (HarperCollins), Geoffrey Moore further developed the idea of a gradual adoption of technology and suggested that there was a 'gap', or chasm between the innovators and early adopters, and the early majority.

If the theory is correct, then the older we get the less rapidly we take up new technology and have just as little interest. After all, do we really see the point in using a wireless device to play games on a TV screen? Most of us would rather go for a walk.

BOOMERS GET ANNOYED

The LexisNexis survey, however, reveals not only the impact of technologies on the workplace and the gaps between generational adoption but also its usage. Very clearly, there are some aspects of the new technology that, frankly, Boomers appear to find a little annoying.

For example, the survey suggested that this adoption has led to decline in proper etiquette in the workplace. Three quarters of Boomers and Gen Xs surveyed thought that the use of laptops or PDAs (personal digital assistants) in meetings was distracting or impolite, compared with less than half Gen Ys.

On the other hand, three quarters of legal Gen Ys might use such devices in courtrooms, presumably to keep in contact with their colleagues rather than any social networking interests, compared with a fifth of Boomers who, perhaps, are more likely to be leading the court case.

While Boomers might complain that the younger generations wouldn't know how to handwrite (let alone post) a letter, they are challenged by the sheer volume of social networking communications. Gen Ys claim to receive around a third fewer emails than their Gen X and Boomer counterparts – why send an email when you can have an online conversation?

And Gen Ys aren't just doing this in non-working hours. Almost two thirds of Gen Ys reported accessing a social networking site from work, compared with less than one in six Boomers. Is this because Boomers have a work ethic, a social conscience that deep down tells them that accessing Facebook at work is somehow 'not working' rather than 'Net working'?

Befriending a colleague via a social networking site appears to be acceptable practice among Gen Ys. But only just over a third of Boomers do, which tends to support the results of

Facebook's internal monitoring suggesting that its use by Boomers reduces.

LexisNexis also revealed that Gen Ys are likely to be online or 'connected' for as much as twice as long in a working day as their Boomer (and likely parental generation) counterparts.

ANXIETY & TWITCHINESS

Ubiquitous connectivity and 'never off' access via mobile devices brings another downside: two thirds of Boomers, and around three quarters of Gen Xs and Ys, say that they never get to 'switch off' work responsibilities after hours as their devices are 'always on'. This permanent connectivity seems to result in some kind of contact anxiety and twitchiness.

The rise and universal use of easily accessible social networks and communication tools has underpinned two fundamental human traits:

- a deep-seated need for connectivity and community in the cold steel industrial world, and
- the inclination to narcissism and the need for recognition, notice and applause.

Some commentators have even suggested that online personalities and avatars can be inconsistent with psychological profiles for real-life personalities. In the (relatively) anonymous online world, one can pretend to be almost anything and anyone.

One cartoonist portrayed one older man pretending to be a young man talking to another older man pretending to be a young female, both getting what they wanted out of the transaction but neither realising each other's real identity. A case of both 'who will I be today' and 'who do you want me to be?'

The diffusion process and the adoption of new things will continue to be a generational issue, and the Gen Ys will make the same complaint 20 to 30 years from now about their children's generation. **IQ**



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What X, Y and the Boomers had to say

iQ also canvassed responses to the LexisNexis survey results from Baby Boomer, Gen X and Gen Y RIMs across Australia. Here's what some of them had to say.

For Generation Y – Amy O'Connell



Twenty-eight-year-old Gen Y's **AMY O'CONNELL** is a Queensland energy sector records management clerk. Amy's view is...

I think that larger, older corporations seem to have more of a technology gap between generations. People with long service in a business happily perform in similar positions which focus on particular tasks. They have no desire to use new or different programs and technology unless required.

There are always the exceptions though, and generational stereotypes simply don't take this into account. My own father, for instance, has more gadgets than I do, and is very interested in technology updates and new software.

Generation Y, on the whole, enjoys frequently acquiring new technology and almost accidentally developing skills that can be incorporated effectively into the workplace.

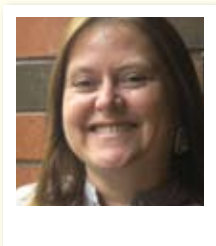
It's part of the lifestyle, and explains the higher use of programs for personal tasks and social networking with colleagues and clients.

» "IN MY EXPERIENCE, GENERATION Y ADAPTS TO NEW SYSTEMS AND TECHNOLOGY VERY WELL, SIMPLY BY GROWING UP IN THE INFORMATION ERA. LUCKY US!" »»

Generation Y has the ability to multi-task at higher levels, using different devices simultaneously and with ease. This streamlines tasks, allows switching between programs smoothly and learning new programs easily. Gives more time for other things, too.

In my experience, Generation Y adapts to new systems and technology very well, simply by growing up in the information era. Lucky us!

For Generation X – Lara Lynch, Peta Sweeney, and David Horne



Gen Xer **LARA LYNCH** is Archives Coordinator in University Information Management at Curtin University of Technology, Perth, Western Australia. She writes...

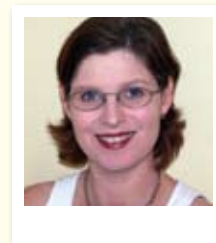
Stuck somewhere between people who don't trust technology and those who can't live without it, seems to be the lot of Gen Xers like me. From the LexisNexis survey, it seems that Gen X doesn't use technology at work as much as Gen Y or as little as Baby Boomers; rather the accepted norm, I'd have thought.

I was in high school before I touched computers and so, while I adapt easily, I still generally wait for someone to hand me new things and say 'Here you are. Knock yourself out'. I find it pretty easy, probably because I'm required to.

But I'm not intrigued by the mass of new technology. The sheer volume of material is probably to blame for that. I choose merely to learn what I need for the job and, while I may be curious about software that impacts on work, anything else leaves me at a bit of a loss.

What a difference from my mother, who sits firmly in the Baby Boomer camp and wants the biggest, best computer she can afford with the largest screen just to play computer games.

Compare us both with my Gen Y nieces. Their techno-savvy astounds their grandma, and gives dad a helping hand. They help with such ease and grace that they leave you feeling a little imbecilic for not being just like them.



Gen Xer **PETÁ SWEENEY**, MRMA, is 40, and President of the Queensland Branch of the RMAA. She says...

I like technology, but only so far as it improves my ability to work. I don't find social networking, texting, etc, an aid to improvement. I regularly use email at work, but don't find that it impacts too much. Probably, in time, I will feel that same about social networking tools but, like the Boomers, currently I see them as non-productive.

I see some developments like email and social networking as barriers to communication. Don't send me an email when you are only two desks away; get up, walk, and talk to me.

I like new technology, but it must be useful. I'm not afraid to interact with technology and play, provided I have the time and understanding. I'm happy to attend training and learn.

I'm frustrated that Gen Y won't answer a ringing phone, but will answer an email. What the ...?

Contrary to popular opinion, I didn't grow up surrounded by technology. I had records, too, you know; vinyl ones, and I still play them. But because technology was introduced to us by about mid-high school I'm very comfortable looking for technology solutions.



Gen Xer **DAVID HORNE**, ARMA, MBA, Team Leader Records Management Unit, Airservices Australia, Canberra, ACT, puts it this way...

Personal devices such as black-berries and pagers mean I really never get to switch off my work responsibilities". Seventy-seven percent of Gen Xers believe this, unsurprisingly.

Technology is moving fast, and work is moving just as fast. From an Industrial relations perspective, it's clear that Gen Xers and organisations are not.

» "THE WORK DAY FOR MANY GEN X PROFESSIONALS HAS INCREASED WITH THIS NEW AVAILABILITY" «

It is extraordinary that employment agreements are still couched in terms of the 37 to 40 hour weeks when reality is quite different. The work day for many Gen X professionals has increased with this new availability.

Employers and customers now do not differentiate between business and non-business hours. The US market watchdog CNBC.com (www.cnbc.com/id/25586129/) forecasts strong chances of litigation as employers seek to provide PDA's to employees but not pay for resulting overtime.

CNBC also reports a recent survey (CareerBuilder.com) suggesting that 25% of workers take their PDA's on holidays to stay in touch. Nine percent said their bosses expected them to work on holiday.

With survey results like these, is it any wonder that Gen Xers feel they are unable to switch off? They are right to be concerned as they try to reach an appropriate life/work balance at this stage of their careers.

For the Baby Boomers – Geoff Beck



Boomer **GEOFF 'BECKY' BECK**, 59, a senior records manager with Queensland's Ergon Energy, looking after the company's RM in North Queensland, has the last word...

We don't use small devices 'cos we can't see them ... so what is the point? We don't use games, music, video, multimedia, social networking, etc, 'cos we don't see it as work ... they're play things!

We are not techno-challenged. We invented most of it, and have used it for lots of years.

We attended training courses on interviewing, etc, that told us to maintain eye contact and use the correct body language. Therefore, unless we are deformed contortionists, we can't use laptops, etc, when meeting with people.

We see the Net as a research tool, not as entertainment.

Some of us raised in country areas didn't see or use a telephone, TV, transistor radio, etc, until we were nearly grown up. I didn't fly in an aeroplane until I was over 30!

A Baby Boomer's childhood was spent without electronics. Gen X and Y grew up with it – because we bought it for them! **iQ**

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Do you really need a Taxonomy/Classification Scheme with a Records Management System?



Why are RIMs still doing it the old way? Could there be an easier way to index, manage and retrieve records, regardless of their form or content? The author proposes a fundamental rethink of the way records are classified.

BY FRANK MCKENNA

Classification schemes are a way to group or order data; the objective being to group 'like' objects together. Classification schemes have been in use for tens of thousands of years, probably beginning when man first realised that there were different types of animals and plants.

We use classifications schemes both to make things easier to find and to add value to a group of objects. By adding value I mean that a classification (describing a group) may provide more information about the members of that group that is obvious from an analysis of a member; this could be referred to as semantics.

Classification schemes are used in all walks of life, for example; in business, in science, in academia and in politics. Are you a liberal or a conservative? Is it a mammal? If it is, is it a marsupial or a monotreme or a placental mammal? This last example illustrates the usual hierarchical arrangement of classification schemes.

In business, we have long used classification schemes to order business documents, that is, records of business transactions. We are all familiar with file folders and filing cabinets; these things are tools of a classification scheme. They make implementing a classification scheme easier as do numbering systems, colors, barcodes and Lektrievers.

With the first commercial availability of mainframe computers in the early 1960s came our first attempts to computerise filing systems. It was also in the 1960s that we saw the first text indexing systems and the first sophisticated search algorithms.

The advent of text indexing and search algorithms allowed us to do a much better job of classifying data but more importantly, they allowed us to do a much better job of finding data.

Story Snapshot

- Asserts that most records managers do not fully understand the standards they are charged with enforcing.
- Suggests that by using an 'index set' you can index, manage, and retrieve any record, regardless of form and content.

LET'S NOT GET INTO A DEBATE ABOUT TERMINOLOGY AND ACRONYMS

Our industry, (information management, to use an all-encompassing term), is often its own worst enemy. It creates terms and acronyms at will with both confusing and overlapping definitions. Then it wonders why normal end-users exhibit first bewilderment and then disinterest.

Let's look at a few examples, eg, RIMS, RMS, DMS, EDRMS, IAMS, CMS, ECM and KMS. Do you realise that the process of records management is part of each of the preceding acronyms?

For my part I will stick with my old friend the world records management standard, ISO 15489. It tells us that records are evidence of a business transaction and that records are in any form including paper, electronic documents and emails (I know emails are electronic documents but the world generally differentiates them because emails are 'different').

So as far as I am concerned, the term records management system, or RMS, includes everything we do and is easily recognised and understood, so, this is the term and acronym I will use in this paper.

BROWSING VERSUS SEARCHING

Classification systems are very good at making it easier for us to find information by browsing but not very helpful when we are searching.

Most classification systems require you to first 'browse' before finding the exact information you want; you usually have to examine multiple objects before you find the one you want. But this is what classifications systems are very good at; because they organise data in a logical (to a human being) way, we usually know where to begin looking. This is why a classification scheme works so well with a manual filing system – multiple cabinets or multiple shelves of file folders.

Classification schemes are great for physical data, and, I would say, absolutely necessary for physical data; how else would you organise fifty-thousand file folders containing seven and a half million pages in a huge filing room with hundreds of shelves?

However, with computers, I don't need to browse through multiple objects to find the one I want. By using techniques more appropriate to the computer than the filing room, I can search for and find exactly what I want almost instantly. I do not need to leaf through the file folder, I can go directly to the page or directly to the word. I can use the power of the computer.

» “OUR INDUSTRY IS OFTEN ITS OWN WORST ENEMY” «

The following statement will be probably seen as heresy by most practicing records managers, but we actually don't need a classification system (Taxonomy) when computerising records. We just need a way to index and then search for information.

We need to organise our data so an ordinary end-user can easily find what they need without having to be a trained, professional records manager.

INDEXING VERSUS CLASSIFYING

Now, I know my interpretation of these two terms will not thrill everyone, but the differentiation is an important part of my hypothesis.

Let's start by looking at two kinds of books – a reference book and a work of fiction. Both have tables of content (a classification system called a TOC) but only one, the reference book, usually has an index.

The TOC for the reference book is both useful and often used. The TOC for the work of fiction is both not useful and rarely used – readers rarely need more than a bookmark.

The TOC for the reference book is way to organise information into a logical form grouping 'like' information together in chapters and sections. A TOC for the work of fiction is just a list of chapters; it serves little or no purpose for the typical end-user, the reader.

All the reader of a fiction book really needs is two things; a bookmark and a 'memory' of the author, title, cover combination so he/she doesn't accidentally buy it again at the airport bookshop before that dreaded long and boring flight.

The reader of the reference book actually needs both the TOC and the index for browsing (the TOC) and searching (the index).

A work of fiction doesn't usually have nor need an index because the end-user doesn't require it. A reference book usually has an index and it is often used to go direct to a page and locate something very specific.

Drawing parallels with our broader topic, some information needs both a classification system and an index, some information needs just an index, and some, such as works of fiction, doesn't require either.

Generally speaking, scientific collections require a classification system – a scientific taxonomy. For example, the study of plant species and the study of animal species – eg, using a phylogenetic classification system. Scientists simply could not communicate with each other without having a detailed and exact classification system in place. But, most end-users are not scientists.

They are just people trying to find the best place to store something, and they want to find it again with the least amount of effort and pain.

My contention is that we can solve all 'content management' and records management needs with a solution based on the application of a sensible, simple and self-evident – read that as easy to use, or human-oriented – indexing system plus the required searching capabilities; ie, covering both Metadata and full text. There is a better way.

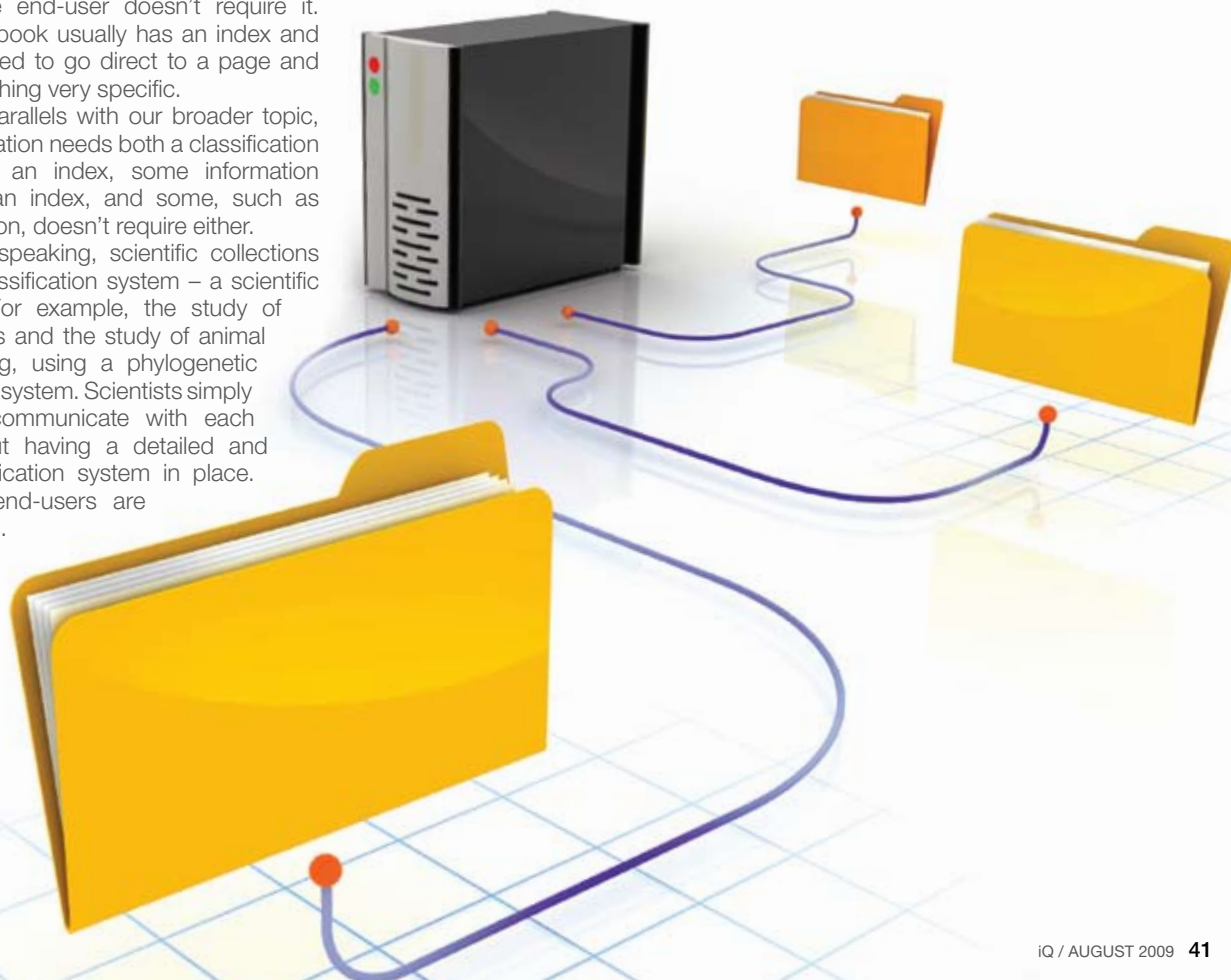
WHAT INDEXING SYSTEM?

Whenever I consult with customers who are contemplating the capture and organisation of data, hopefully into information, I always give the same advice. That is, "When you are thinking about how to index data, first think about how you will find it later."

Ask this key question of your end-users, "When you are about to search for information what do you usually know about it?" For example:

-
- Do you know the last name?
-
- Do you know the first name?
-
- Do you know the date of birth?
-

A good indexing scheme reflects real life usage of the system; it reflects how ordinary humans work and 'see' information. Put simply, it indexes the information people will later need to search on. It indexes the information people understand and are comfortable with because it is self-evident.



INDEXING EMAILS

An email is usually described as an unstructured document, the same way a Word or Excel document is described as being 'unstructured', but in fact it does have structure. Even better, everyone is familiar with an email's structure so we have very little to teach end-users; that is, we have a simple and self-evident 'natural' set of Metadata items to index.

- Date of email
- Sender
- Recipient
- CC
- BCC
- Subject
- Text of the body of the email
- Text of any attachments

For any normal end user trying to find an email this is how they would envision an appropriate search. They wouldn't care that the email has been classified down to 6 hierarchies using the world's most sophisticated Business Classification Scheme (BCS).

Understanding what end-users typically 'know' before they do a search determines what elements you have to index. This is the key to implementing a successful indexing system.

The above 8 elements of an email are self-evident inasmuch as, "Of course I need to be able to search on the sender or recipient or subject..."

INDEXING ELECTRONIC DOCUMENTS

Now let's look at ordinary electronic documents (not emails) because they are much less structured. We all know there are ways to add a common structure using features of MS Office like the information dialogue box – asking for keywords, etc – and templates and smart tags, but these things are rarely and inconsistently used.

With shared drives, we usually find some form of 'evolved' classification system because managing electronic documents in shared drives is akin to managing millions of pieces of paper in tens of thousands of file folders in hundreds of filing cabinets.

Unfortunately, the good intentions and purity of design of the original architects of the shared drives folder/sub folder naming conventions (a classification system) are soon corrupted as users make uncoordinated changes and the structure soon becomes unwieldy and incomprehensible.

In my opinion, shared drives are OK for the creation of documents – ie, a work area – but not OK for the management of documents. In fact, I would say shared drives are absolutely hopeless for the management of documents, as history and practice will attest.

Once again, we need an appropriate indexing system and once again we need to ask, "What do people know at the time of the search?" For example:

- Original filename
- Original path/filename
- Type/suffix – e.g., .DOC, .XLS, .PDF, etc
- Author
- *Subject

METADATA AND THE DUBLIN CORE

Let me quote from the Dublin Core website: <http://dublincore.org/>

"The Dublin Core Metadata Element Set is a vocabulary of fifteen properties for use in resource description. The name 'Dublin' is due to its origin at a 1995 invitational workshop in Dublin, Ohio; 'core' because its elements are broad and generic, usable for describing a wide range of resources."

To quote Wikipedia: http://en.wikipedia.org/wiki/Dublin_Core
 "It provides a simple and standardised set of conventions for describing things online in ways that make them easier to find. Dublin Core is widely used to describe digital materials such as video, sound, image, text, and composite media like web pages."

The Simple Dublin Core Metadata Element Set (DCMES) consists of 15 elements.

1 Title	6 Contributor	11 Source
2 Creator	7 Date	12 Language
3 Subject	8 Type1	13 Relation
4 Description	9 Format	14 Coverage
5 Publisher	10 Identifier	15 Rights

To my mind, the Dublin Core is an excellent set of elements for describing almost any 'record' because it is both simple and appropriate to both computers and 'normal' end-users. As a professional, I like the elegance of the Dublin Core.

I also like the basic principle, because it fits in with my hypothesis. That is, there is a better way to store, index and find records than a complex and unwieldy taxonomy.

THE FULL SOLUTION?

- We need an application that stores documents of all types; ie, all types of content.
- We need an application that indexes both Metadata and full text.
- We need an application with a customer configurable Metadata model.
- We need an application that allows you to search on both Metadata and full text in a single search.
- We need a search that combines BOOLEAN and numeric operators; eg, AND, OR, NOT, =, <, >, etc.
- We need a 'standard' Metadata definition (a Class if you will) that includes a simple (not more than 20 in my estimation) set of data elements that includes all of the elements necessary to index all of the types of documents (including file folders and paper) that you manage.
- We need an application that includes all types of data capture, eg, from the file system, from the native application, from a scanner, etc.
- We need an application with a comprehensive security system.
- We need an application with all reporting options, eg, both standard reports and ad hoc reports.
- We need an application with a configurable audit trail.
- We need an application with comprehensive import and export capabilities.

THE STANDARD METADATA DEFINITION (MASTER METADATA CLASS)

I have come up with a limited set of elements that I believe can be used to index and find any type of record, paper or electronic. I have borrowed heavily from the Dublin Core because it makes good sense to do so; there is no need to reinvent the wheel.

#	ELEMENT	EXPLANATION
1	Title	A name given to the record. Typically, a Title will be a name by which the record is formally known. Text, eg, "Business Plan for 2010".
2	Author(s)	The sender or author, eg, Mark Twain or f.mckenna@k1corp.com
3	Dated	The original date of the document or published date.
4	Date Received	Date received by the recipient or recipient's organisation, whichever is the earlier.
5	Original Name	e.g., filename or file\pathname for electronic documents – C:\franks stuff\sample.xls
6	Primary Identifier	An unambiguous reference to the record within a given context. Eg, the file number.
7	Secondary Identifier	An unambiguous reference to the record within a given secondary context. Eg, the case number or contract number or employee number.
8	Barcode	Barcode number or RFID tag.
9	Subject	The topic of the record. Typically, the subject will be represented using keywords or key phrases. Recommended best practice is to use a controlled vocabulary.
10	Description	An account of the record. Description may include but is not limited to: an abstract, a table of contents, a graphical representation, or a free-text account of the record.
11	Content	Words or phrases from the text content of the main document and attached documents.
12	Contents	Description of contents if the document is a container, eg, an archive box.
13	Recipient(s)	Addressed to, sent to, etc. People or organisations.
14	CC recipient(s)	CC and BCC recipients.
15	Publisher	An entity responsible for making the record available. Company or organisation that either published the document or that employs the author.
16	Type	The nature or genre of the record, usually from a controlled list; eg, complaint, quotation, submission, application, etc.
17	Format	The file format, physical medium, or dimensions of the record. Eg, Word, Excel, PDF, etc.
18	Language	Eg, English, French, Spanish.
19	Retention	The retention code determining the record's lifecycle.
20	Security	Access rights, security code, etc.

My contention is that, by using an 'index set' like the above 20 Metadata elements, you can index, manage and retrieve any 'record' regardless of form and content.





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» “THE STANDARDS ARE NOT WRITTEN FOR RECORDS MANAGERS, THEY ARE WRITTEN FOR ACADEMICS AND TECHNICAL PEOPLE” «

WHAT ABOUT ALL THE STANDARDS ‘OUT THERE’?

There are a plethora of local, state, federal, industry and international standards pertaining to the management of records. Examples are DoD 5015, MoReq2, Dublin Core, ISO 15489, VERS etc and literally thousands of standards for Metadata.

The problem with most of these standards is that they are extraordinarily difficult to read and understand – even the Dublin Core documentation can be heavy going. I would draw a parallel back to the times when the Bible was in Latin, but Christians were supposed to order their lives by its teachings. The problem being that only about 0.025% of Christians spoke Latin. Ergo, how do you order your life by a book you can’t read?

My assertion is that most records managers do not fully understand the standards they are charged with enforcing.

The problem isn’t with the records managers; it is with the people who write the standards. The standards are not written for records managers, they are written for academics and technical people – ie, systems engineers who are experts in XML. Just like the Latin Bible, they are not written in the language of the intended user.

And even when you do think that you have a grasp of the fundamentals, there are always multiple points to be clarified, as to the exact meaning, with the standards authority.

WHAT ABOUT RETENTION/DISPOSAL SCHEDULES?

This should probably be the subject of another paper, because retention schedules have also become way too complex, unwieldy and difficult to understand and apply.

The question will be, “How can I do away with my classification system when my retention codes are linked to it?”

I have looked at hundreds of retention schedules, and every single one has been way too complicated for the organisation trying to use it. Another problem is that very few of the authorities that compile retention schedules do so with computers in mind. This means that we end up with lots of very vague conditional statements that are almost impossible to computerise.

Most retention schedules are written for archivists to read, not for computers to process. This is the heritage of retention

schedules; they assumed an appraisal process by a trained and expert archivist.

The Continuum model or ‘Whole of Life’ model or File Plan model all assume we will allocate a retention code at the time the record is created, not during a later appraisal process. This made much more sense and allowed us to better manage the record throughout its life cycle.

However, many such schemes also linked the retention code to a classification term or embedded the retention codes within the classification system. This of course made the classification system even more complex and difficult to understand and apply.

To my mind no organisation needs more than ten retention codes – shortest period, longest period and eight in between – and three life cycles; eg, active, inactive, destroyed. This is also probably heresy to a lot of the records management profession but, I would ask them to think about the proposition that something that was entirely appropriate to the manual world is not necessarily entirely appropriate to the computerised world.

There is an easier and simpler way to manage retention, and there is no need to embed retention codes into the classification system just as there is no need for a classification system in any modern, computerised records management system.

WHAT ABOUT FILE FOLDERS AND ARCHIVE BOXES?

This is the classic stumbling block. This is when the records manager tells you that all the standards require you to use the same taxonomy for emails and electronic documents that he/she uses for traditional file folders and archive boxes.

You need to explain that the classification from the manual paper handling world is inappropriate to the computerised world, that it is an anachronism. You need to explain that all it will add is complexity, massive cost, confusion and a seriously negative attitude to end-users. You should say it is time to discard techniques and tools from the eighteenth century and adopt techniques from the twenty-first century. You should say you have a much better way.

Then you should probably duck and run. Failing all else, blame me and give them my email address. **IQ**



About the Author

FRANK MCKENNA is a Sydney-based software engineer and founder, major shareholder and CEO of multinational software company Knowledgeone Corporation.

Frank began his career in IT as a programmer and systems analyst, and progressed to project management. He has lived and worked in the US, Canada, South America, Africa, Asia, Europe, Australia and New Zealand. Before founding Knowledgeone, he was Technical Director for Burroughs Corporation in Australia. Prior to that, with Sperry Univac, he installed and tested mainframes on three continents.

Today, Frank splits his time between homes in Sydney, Australia and San Diego in the US. His hobbies include Jaguar cars (particularly E-Types), art, and writing – he is the author of three books and countless papers. And he has presented at numerous industry conferences, including for the RMAA and ARMA International.

• Frank can be contacted at f.mckenna@knowledgeone.corp.com. This article is a shortened version of a white paper which can be read in full at <http://www.knowledgeonecorp.com/news/pdfs/Do%20you%20really%20need%20a%20Taxonomy%20V2.pdf>



WHAT IS A RECORDS MANAGEMENT SYSTEM?

Definitions and Concepts

It seems simple enough – defining what a records management system is. But different words can have different definitions around the world, and, as the author points out, to get an international standard right it is necessary to get the definitions right.

BY SONG-AHM CHO

There have been some arguments regarding the definition and concept of a Records Management System (RMS) in the recent development of the international standards for RMS.

In one approach to define Records Management System, each word such as records is defined first, then each term such as records management is defined and finally the whole terminology, Records Management System, is defined.

For the purpose of defining Records Management System, I'll review other ISO management system standards whose definitions and concepts are widely accepted.

DEFINITIONS AND CONCEPTS OF A QUALITY MANAGEMENT SYSTEM

1 Definitions of Quality Management System.

'Quality Management System' was the first developed standard among ISO Management System Standards (MSS) and is commonly used as a reference for MSS.

I'll review the approach and strategy used to define the terms of ISO 9000-2005 "Quality management system-Fundamentals and vocabulary".

Quality – Degree to which a set of inherent characteristics fulfils requirements.

Requirement – Need or expectation that is stated, generally implied or obligatory.

Management – Coordinated activities to direct and control an organisation system. A set of interrelated or interacting elements.

Management System – A system to establish policy and objectives and to achieve those objectives.

Quality Management – Coordinated activities to direct and control an organisation with regard to quality.

Quality Management System – A management system to direct and control an organisation with regard to quality.

Organisation – A group of people and facilities with an arrangement of responsibilities, authorities and relationships.

Quality Policy – Overall intentions and direction of an organization related to quality as formally expressed by top management.

2 Concept Relationships in QMS Terms.

A set of words related to Quality Management System has been carefully categorized into three relations – generic, partitive and associate – to reflect the status and relation of each word to another in the hierarchy of terminologies related to Quality Management System thereby preventing any possible contradictions in meaning (See figure 1).

- **Generic relation:** Subordinate concepts within the hierarchy inherit all the characteristics of the superordinate concept and contain descriptions of these characteristics which distinguish them from the superordinate (parent) and coordinate (sibling) concepts, e.g. the relation of spring, summer, autumn and winter to season.
- **Partitive relation:** Subordinate concepts within the hierarchy form constituent parts of the superordinate concept, e.g. spring, summer, autumn and winter may be defined as parts of the concept year. In comparison, it is inappropriate to define sunny weather (one possible characteristic of summer) as part of a year.
- **Associative relation:** Associative relations cannot provide the economies in description that are present in generic and partitive relations, but are helpful in identifying the nature of the relationship between one concept and another within a concept system, e.g. cause and effect, activity and location, activity and result, tool and function, material and product.

As shown in figure 1, Quality Management System is positioned as a subordinate concept to System and Management System to reflect its generic relation with them (See box 1 of figure 1). This means that Quality Management System inherits all the

characteristics of its super-ordinate Management System and is one of subordinate Management Systems in charge of quality in an organisation just like Financial Management System and Environment Management System are in charge of finances and environment, respectively.

In contrast, Quality Management System forms an associate relation with Quality Management (See box2 of figure1). This means that Quality Management System is *NOT* a subordinate concept to Management or Quality Management. Quality Management System, therefore, does not inherit any characteristics of Management or Quality Management, but is associatively related.

According to the definition of Quality Management System, Quality Management System is emphasised as a subordinate “management system” to direct and control an organization with regard to quality. In contrast, Quality Management is defined as “coordinated activities” to direct and control an organisation with regard to quality.

To fully understand the international standards prescribing the requirements for Quality Management System, one must understand Management System as much as a Quality Management professional understands Quality Management.

A close look at the definition of Management System reveals that a Management System exists to 1) establish policy and objectives and 2) achieve those objectives.

When a person or an organisation carries out a project, it can be successfully completed if policy and objectives are properly set up first, then necessary human resources, materials, and technology are appropriately provided to accomplish the objectives.

However, as we all know, in reality, neither properly setting up policy and objectives nor providing necessary resources is easily done.

Hence, to successfully control and direct an organisation with regard to quality, ISO developed the Quality Management System Standards, which prescribe the requirements for properly setting up policy and objectives, and appropriately providing necessary human resources, materials, and technological elements to accomplish the objectives. In this respect, we can say that the Quality Management System Standards have been developed for the success of Quality Management.

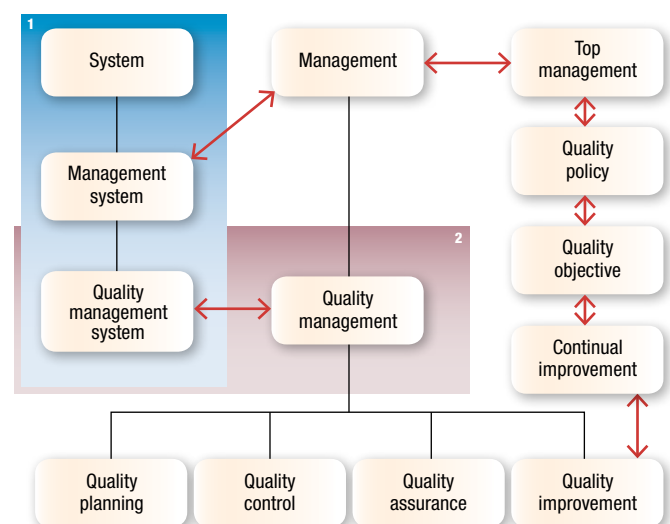


Figure 1: Concepts relating to management

The definition of Quality Management System mentions three key terms: organisation, quality and management system. By substituting the words “quality” and “management system” with their respective definitions and re-writing the definition of Quality Management System, the overall meaning of the definition becomes more explanatory. (In the case of the definition of quality, the word “requirement” was further substituted with its own definition.)

Quality Management System is a “system to establish policy and objectives, to achieve those objectives and to direct and control an organisation for the purpose of enhancing the degree to which a set of inherent characteristics fulfils need or expectation that is stated, generally implied or obligatory by the customer.”

3 Definitions of Concepts of Records Management System

1) Current Definitions. For the purpose of defining Records Management System, not only records, but management, system, management system, etc, must be defined as well as their respective relation to one another, just as in ISO 9000-2005.

Current definitions of terms included ISO 15489 and TC46/SC11/WG8 Records Management System – Fundamental and Vocabulary draft (version 4) are listed below, but is still not a complete list of words necessary to define every term used in Records Management System. However, the words listed below are defined in a way similar to that in Quality Management System.

Records – Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. [ISO15489-2001]

Records Management – A field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions of business in the form of records. [ISO 15489-2001]

Management System – A system to establish policy and objectives and to achieve those objectives. [ISO/IEC CD27000, 2006]

Records Management System (RMS) – A part of the overall management system, based on records management principles, to facilitate the management of the RMS risks associated with the business of organisation. This includes the organisational structure, planning activities, responsibilities, practices, procedures, processes and resources for establishing, implementing, operating, monitoring, maintaining and improving recordkeeping policy.

Records System – An information system which captures manages and provides access to records through time. [ISO15489: 2001, 3.17]

The definition of Management System listed in the draft of WG8 and quoted from ISO CD27000 is the same as the definition listed in Quality Management System ISO 9000-2005.

The definition of Records Management may seem different from the definition of Quality Management, but in terms of content, they are quite similar.

The definition of Records Management indicates that Records Management establishes a generic relation with Management just as the definition of Quality Management does for Quality Management.

“Coordinates activities” used in the definition of Quality Management is described in detail in relation to records in the definition of Records Management, but the description essentially means coordinates activities.

The definition of Records Management signifies the “direct and control of an organisation” by prescribing effective and systematic control. (Refer to the definition of Quality Management)

4 Definition of Records Management System

Since Records Management System Standard is a standard prepared by guide 72 just like any other ISO Management System Standards, it seems appropriate to adopt definitions and concepts of Quality Management System Standards to define Records Management System. Then, Records Management System can be defined as below [See table 1].

TERMINOLOGY	DEFINITION
Records Management System	Management system to direct and control an organisation with regard to records

Records Management System is one of subordinate Management Systems such as Financial Management System and Quality Management System. Quality Management System is a management system in charge of quality whereas Records Management System is in charge of Records. They essentially share the fact that both are management systems for directing and controlling an organisation.

Although the definition of Records Management System suggested in Version 4 is different than the definition given above (See table 1), at the meeting at Wellington in November, 2008, it was agreed to adopt the same strategy that was employed to define Quality Management System to define Records Management System. Since a large number of people often confuse Records Management System with Records System, it was agreed to replace Records Management System with “Management System for Records”.

On one hand, Records System, as noted in its definition, is an Electric Documents/Records Management System. Just like records vaults or archives where records are captured and stored to be later released upon request, Records System is an information system that directly manages records. This is a completely different system from a management system, which directs and controls an organisation for the purpose of 1) establishing policy and objectives and 2) achieving those objectives in regard to records.

For successful records management, one must appreciate the essence of a Management System that establish policy and objectives and accomplish them in regard to records besides a Records System in MSS. In contrast to what experts in Records Management or Quality Management often think – that their management runs differently compared to other managements – the way of management, irrespective of any expertise in one field over another, is essentially the same in every professional field.

» “IN THIS LOGIC, ONE CAN DOUBT, AND ASK,
“WILL NOT A SINGLE ORGANISATION OR AN INDIVIDUAL
EVER FAIL IF EQUIPPED WITH A MANAGEMENT SYSTEM?”
BUT THE ANSWER IS “NO.” «

This is why, when ISO Guide 72 suggests PDCA (Plan-Do-Check-Action) or process model for MSS, it also recommends adoption of “Common management elements” such as policy, planning, implementation and operation, performance assessment, improvement, and management review as the main clause and sub clause for any management system.

5 Significance of Records Management System

Why is Management System in Records Management System emphasised more than Records Management, a field of expertise where the entire process from the creation to the disposition of records is efficiently and systematically managed?

Records Management System, in essence, is a management system to manage Records, so why would the incorporation of Common Management Elements, which may be seen as a matter of formality to some people, into Records Management System make any difference in actually managing Records?

To answer this question, let's consider what a management system really is and what role management and expertise play respectively.

Foremost, any mission or vision will eventually be achieved if any organisation or an individual considers given resources, circumstances and environment, carefully establishes proper objectives for success, provides procedures, human resources and facilities at right times by proper procedures to accomplish the objectives, and builds a system that can perpetuate the entire process.

In ISO MSS, such a system is defined as a management system and common management elements required for a management system to play such a role are prescribed.

In this logic, one can doubt, and ask, “Will not a single organisation or an individual ever fail if equipped with a management system?” But the answer is “No.” The effectiveness of the Management System suggested by ISO has been proven and recognised internationally by the success of numerous organisations that adopted Quality Management System, Environment Management System, or Information Security Management System.

However, in reality, there are indeed differences among organisations in establishing a management system appropriate for an organization's current business environment, and in operating the established management system efficiently and effectively to meet the requirements specified in the MSS.

Why are constituent elements offered by ISO Management System successful? There are subtle differences in the constituent elements of ISO Management System with respect to each professional field, but all management systems contain common management elements founded by the PDCA model, and their basic structures are similar and guarantee compatibility between professional fields.

As we are well aware, the PDCA model is a model where one comes up with a plan, executes the plan, checks the implementation process, and corrects and improves the process if there are any problems. People agree that if one follows this

model, any project will successfully be accomplished. However, we also know that there are many cases where 1) people execute without a carefully laid out plan, 2) execute but find problems later by ignoring or missing an inspection, or 3) know a problem exists but repeat the problem as they fail to solve the root cause of the problem.

This is why the ISO MSS standards use all of the components from the PDCA model to have it systematic within the organisation and be operated in a structural way. By these practices from the model, effects from a management system that “sets a goal and works to achieve that goal” can be judged, be guaranteed and have the PDCA model's elements regulated and be obligated to have the common management elements.

On the other hand, things that we think are different in each professional field are discussed under the section titled “Implement and Operation” in MSS. This section prescribes necessary requirements to operate and apply to actual business practices to direct and control an organisation with regard to Information Security, Records, and Quality.

The same section in other ISO management systems such as Quality, Environment or Information Security contains expertise in each field. This means that expertise in each field, though that is an actual subject the Management System operates for, in the hierarchy of Management System is considered as a subordinate-level skill and a procedural component.

6 The Ultimate Purpose of Records Management System

What is the ultimate purpose of Records Management System? Is the purpose accomplished solely by controlling the records of the organisation from creation to disposition? To answer this question let's review the ultimate purpose of Quality Management System.

Quality Management System has been developed from Inspection through Quality Control to Quality Management. (See figure 2)

At the Inspection time, Quality is achieved by finding unacceptable products and separating them from the good products by inspection, just before delivering the final product to customer but it is waste of time and money.

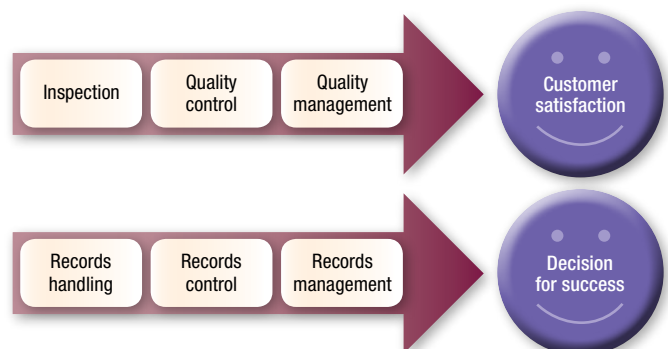


Figure 2: Historical Development of Quality Management

At the Quality Control time, the product quality was improved by controlling the quality at each process from the design to the final release. Still, the effectiveness and contribution of Quality Control has taken small part in organisation success because top management underestimates quality factors when establishing the policy.

Recognising that the purpose of Quality Control is not to control quality itself but to satisfy customer for the success of the organisation, the Quality Management was developed to become a part of Management System for the organisation.

Founded on this ultimate purpose, ISO 900-2005 organises the principles of Quality Control into eight principles:

- 1 Customer focus.
- 2 Leadership.
- 3 Involvement of people.
- 4 Process approach.
- 5 System approach to management.
- 6 Continual improvement.
- 7 Factual approach to decision making.
- 8 Mutually beneficial supplier relationships.

Therefore, it didn't just standardise practice, skill and technology, but also can be flexibly applicable to the diverse circumstances that an organisation faces during Quality Management.

The historical development stages of Records Management System are not established like that of Quality Management System, but let's review the ultimate purpose of RMS from the same point of view.

The purpose of Records Management is not restricted to the filing, classification, distribution, and preservation of records and documents. Traditional records handling and control practice, techniques and skill have been focused on such practices, whereas one needs to understand that in Records Management System, the ultimate purpose of Records Management is not in the management of documents or records, but is to provide at the management level accurate information and content necessary in order to make desired managerial decisions for the success and accomplishment of the vision of an organisation.

Records Management does not intend to manage records themselves, but to manage the records of a business created by performing works necessary for accomplishing mission and vision of the organisation.

Managing the records of a business means not only managing records themselves but managing overall information including the context of the business processes that produce records. Records Management therefore should manage information that contains business context to help make right decisions.

TOUCHING THE CEO

From this point of view, records managers should not lament that their CEO does not recognize the importance of records management, but instead offer something that can touch the CEO by concentrating on the development of technology and knowledge that supports the mission or vision of the organisation.

Therefore, what is important in a Records Management System is not expertise in records management, but common management elements. The ultimate purpose of records management can only be achieved by having common management elements.

As mentioned above, the purpose of records management is not to control or manage, but to use records for maximizing the value of the organisation, vision accomplishment, improving performance, and supporting the success of the organisation. This is why MSS requires almost mandatory insertion of common management elements.

CONCLUDING REMARKS

As discussed, it is desirable to decide Records Management System-related terms and current definitions to reconcile with terms in other ISO management systems, and by considering international custom, successful cases and the ultimate purpose of Records Management System, and, if possible, to find the principles of records management and prescribe Records Management System Standards based on these principles.

Furthermore, it is advisable to actively and positively participate in the development of the Records Management System Standard, since records management based on a Management System will result in the following effects based on the examples of other management system standards.

- It will develop the Records Management System Standard into a family structure in order to maintain consistency and predictability of the future direction of the standard development.
- It will systematise the operation process in order to seek consistency, not just a one-time result.
- It will reconcile with other Management Systems so that managerial decisions of top management does not neglect records management concerns.
- And, most importantly, it will continuously and systematically improve the performance of records management through a Management System. **IQ**



About the Author

SONG-AHM CHO is CEO of DIMS (Document Information Management Service) Corporate, Seoul, South Korea. For over 20 years, he has established document/records management systems in major national infrastructure construction

projects such as nuclear power plants, an international airport, and high speed railways, as an expert on documents, records, and quality management systems.

He has been a member of KAB (Korea Accreditation Board), ASQ (American Society for Quality) and ARMA International, and holds ISO lead assessor certificates for quality and environment management system.

Since 2002, DIMS has been the leading business consulting service of documents and records management systems in South Korea in accordance with the global standard, serving the nation's top 100 enterprises and public institutions.

As a member of the national delegation of ISO TC46/SC11, he has participated in developing the Records Management System Standard at WG9.

- He can be contacted at sacho@dimswat.com

Previewing

26th RMAA International Convention



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R·M A·A
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The Best TRADE EXHIBITION Yet

An RMAA International Convention would not be complete without the trade exhibition. This year, the Trade Exhibition features 56 trade display stands supported by leading records and information management vendors and industry representatives.

In addition, this year your Trade Exhibition has the added features of an internet cafe, a silent auction, and seating for catering and networking chat points on lunch tables to encourage delegates to network with people with similar interests and issues.

EDUCATION AND CAREER STAND

This year, too, there will be an Education and Career Stand in the Trade Exhibition area. The stand will be there to help you set and achieve your career goals.

Education and professional development providers accredited with the RMAA, and Convention workshop providers, will have information at the stand for you to check out, and RMAA Professional Development and Education Officer Marian Hoy will also be at the stand along with representatives of the RMAA Board to advise you on the best ways to achieve your goals.

CONVENTION OPENING TIMES

DATE	REGISTRATION DESK	TRADE EXHIBITION
Sunday, September 20	12.00pm-5.30pm	Not Open
Monday, September 21	8.00am-5.00pm	9.30am-5.00pm
Tuesday, September 22	8.00am-5.00pm	8.30am-5.00pm
Wednesday, September 23	8.00am-4.30pm	8.30am-3.15pm

SILENT AUCTION

In continuing its commitment to assist charitable causes, the RMAA is running a silent auction over the course of the Convention to raise money for two worthy charities - the Guide Dogs of SA/NT and the Starlight Foundation Children's Charity.

The generously donated items to be auctioned will be displayed in the Trade Exhibition area, and the winning bids will be presented at lunch on Wednesday 23 September.

The RMAA will be seeking items for the Silent Auction right up until the Convention, and would appreciate

hearing from any companies willing to contribute. If you have a product or service to donate, please email marketing@rmaa.com.au. You will be helping us help two sterling charities. **iQ**

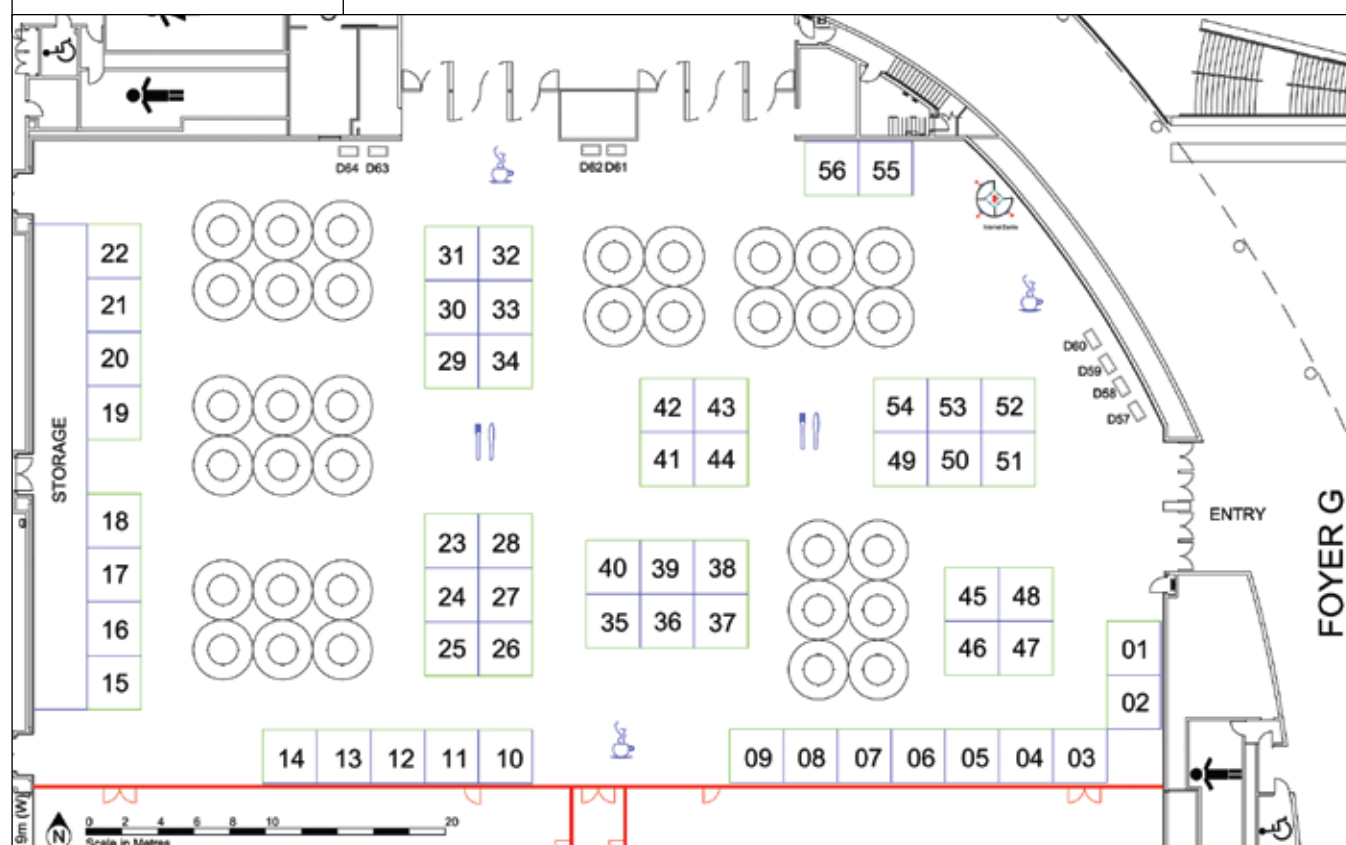
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Exhibition Hall Floorplan



An Awards Dinner, New Awards, Networking and Newbies Sessions, SIG Meetings, and More

AWARDS DINNER TO INCLUDE NEW BRANCH AWARDS

The RMAA has moved its Awards ceremony from the first morning of the Convention to incorporate it into the Convention Dinner on the Monday evening. In addition to presenting the J Eddis Linton Awards, Jim Shepherd Award, Objective RMAA Article of the Year Award, and the Research & Education Grant, the RMAA will also announce Branch Award winners from the previous 12 months.

A range of Branch Awards are being presented for the first time, to recognise the efforts of volunteers at Branch level, including SIGs and Chapters. These Branch Awards will be an ongoing feature of future Conventions.

Some aspects of the dinner will not change – such as the good food and wine, great entertainment, spectacular theming and plenty of fun and frivolity. What a great environment to celebrate our members' successes over 2008-2009.

NETWORKING SESSIONS AND SIG MEETINGS ON SUNDAY

On Sunday, September 20, before the Convention kicks into top gear on the Monday, there will be special interest group meetings in abundance covering areas such as Private, International, Legal, Local Government, State Government and of course Education (see article in this issue). In addition, we have a couple of other sessions that will provide valuable networking opportunities:

NEWBIES SESSION

Are you new to the RMAA? Or, perhaps this is your first RMAA Convention? Then this session is for you. Learn what to expect, how things work, how to get the most out of your membership and/or registration and insider details that will make your experience less daunting.

Best of all, meet seasoned RMAA members and delegates (Oldies) who are willing to share their wealth of knowledge and experiences with you, giving you some friendly faces to approach during the Convention and some extremely valuable network contacts for now and in the future.

MEET THE CHAIRMAN OF THE BOARD

Branch Presidents and Councillors are invited to meet with the RMAA Chairman, CEO & Board to discuss the RMAA at an International and Branch level and then to participate in an open knowledge and experience-sharing forum to swap ideas for increasing member involvement, events, mentoring schemes, education, etc.

This will be followed by an open meet and greet session that anyone is welcome to attend. Contact marketing@rmaa.com.au for more details.

OPEN TEXT USER BREAKFAST

Open Text are hosting a User Breakfast for their customers during the RMAA Convention. This will be at the Hyatt Hotel, 7am-9am, Wednesday, 23 September.

- Contact Selena Papi at, selena.papi@opentext.com.au for more information or to book. **iQ**



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Your Convention Programme

More Featured Keynote Speakers

In last May's issue of *iQ* we featured Convention keynote speakers Ngwanaphalama (Margaret) More, Shadrack Katuu and Dr Karen Anderson. Here are details of six more RMAA Convention keynote speakers who you should not miss in Adelaide.

Margaret Chalker National Archives of Australia, Canberra





Margaret Chalker has been with the National Archives of Australia (NAA) since May 2005. She was Director of Communications and Marketing and acting Assistant Director-General, Corporate before taking on her current role as Assistant Director-General, Government Information Management, in early 2007.

The NAA's Government Information Management Branch was established in February 2007 to bring a sharper focus to the management of all information across the Australian Government sector. A particular emphasis of the new branch was building good working relationships and improving communication with agencies, and providing sound, practical and implementable advice and procedures.

Margaret's background is in communications. Before coming to the Archives, Margaret spent 13 years at the Australian Sports Commission where she was Director of Marketing and Communication Services. Her area of responsibility included media management, marketing, events, corporate identity and sponsorship, and corporate communications during the Sydney 2000 Olympics.

In her earlier career, Margaret worked in the public programmes area at the National Library of Australia, was the first Public Affairs Manager at the National Science & Technology Centre (Questacon), and was Senior Adviser to the then federal Minister for Arts, Heritage and Environment. She has also held positions with the Australia Council and the Australian Schools Commission.

Margaret has assisted the National Library of Australia's oral history programme; her subjects included Arthur Boyd and Phillip Adams.

 "PUBLIC AND PRIVATE SECTOR COMPANIES ARE NOW BEGINNING TO COMMUNICATE THROUGH NEW CONTENT VEHICLES SUCH AS BLOGS, WIKIS, FORUMS, CHATS AND SOCIAL NETWORKING SITES. BUT WHAT ARE THE RISKS AND THE REWARDS?" 

Margaret Birtley Collections Council of Australia, Adelaide



Margaret Birtley is the inaugural CEO of the Collections Council of Australia, a body mandated to speak with one voice for collections in Australia. Her background is in the not-for-profit cultural sector, with prior employment in universities, museums and a professional association. At different times she has worked with all four of the major domains in the collections sector – archives, galleries, libraries and museums.

As an educator, Margaret lectured first in early medieval languages and later in museum studies. She now holds honorary roles with the University of South Australia and Deakin University.

As a researcher, Margaret directed *A Study into the Key Needs of Collecting Institutions in the Heritage Sector* (2002), and contributed to *Conservation Survey 2006*. She is an expert assessor for the Australian Research Council.

As an administrator, Margaret has organised many projects and events, including a conference about multicultural collections and a Summit on digital heritage collections.

As a museum practitioner, Margaret was employed as Manager of Visitor Programmes at Scienceworks, and subsequently undertook voluntary roles with a number of museums boards and committees, including as Vice-President of Museums Australia. She has provided advice to governments through appointment to several state and national advisory committees.

David Schulz Objective Corporation, Sydney



David Schulz has been a part of implementing more than a hundred document, process and collaboration projects in the public and private sector across Asia Pacific over the last 15 years. His role as Objective's Industry Solution Manager is about championing the needs of specific industries within the formalised product marketing programme that Objective operates.

David speaks with people across Australia and New Zealand to clarify the understanding of the specific challenges they face and to identify the specific solutions required. He is also responsible for communicating the practical solutions Objective provides to their target markets.



Amela Silipa and Diana Faleafaga
National Archive;
and Ministry of Education,
Sport and Culture, Samoa

In a unique 2-hour roundtable, these two Pacific island speakers will address the subject of nation building with records in the Government of Samoa.

In 2008, the Samoan Cabinet endorsed two foundation policy documents – the *Code of Best Practice – Records Management*, and the *Common Administrative Records Schedules*. Late in 2008, Samoa became the first Pacific island nation to legislate for best recordkeeping practice.

The roundtable will describe 2008 and 2009 projects at a strategic and

operational level to develop a National Archive, records management practices and sustained capacity building of records management practitioners.

The speakers' paper will discuss issues with the two foundation documents, the taskforce that has been established with, and the scope of the legislation introduced to support, best practice recordkeeping.

Nation building is also about recognising the past, and the roundtable will discuss a project to digitise German records between 1900 and 1914, when Samoa was a German territory.

Following presentations from the two speakers, the roundtable discussion will seek to learn from other experiences of projects which have similarly started from scratch with legislation, and/or an archive, as well as comparing issues about digitising century old records.

Diana Faleafaga has worked as a records and information officer in several ministries in the Government of Samoa, including the Public Service Commission, and Post and Telecommunication.

Diana was the Senior Information Officer at the Ministry of Finance and is now the Deputy Chief Executive Officer of the Ministry of Education, Sports and Culture.

In 1999, she participated in a Library

and Study Tour in Adelaide, to compare and contrast records management practices within the Samoan Ministry of Finance and in private sector agencies in Australia.

In 2008, Diana joined the Samoan Government's Records Task Force to develop new whole of government legislation and best practice recordkeeping for the Government of Samoa.

Amela Silipa has had a career as a records officer and senior records officer in a wide range of ministries in the Government of Samoa, including Transport, Treasury, Public Works, Public Service Commission, Foreign Affairs and Justice and Court Administration.

In 2009, Amela was appointed to the role of the first Principal Archives Officer of the new National Archive, within the Ministry of Education Sport and Culture.

Amela has represented the Government of Samoa at an e-governance forum in South Africa, has participated in the working group for the Records Toolkit in Brisbane, and presented a paper at the 2007 PARBICA Conference in New Caledonia.

Like Diana, Amela is a member of the Records Task Force, developing whole of government approaches to recordkeeping legislation and best practice.



Daniel Larocque
Open Text, Canada

Dan's presentation is entitled 'Candy and Aspirin: The precarious balance between personal creativity and corporate compliance... What do Records Managers need to know about Web 2.0?'

This session will highlight the emerging trends as both government and commercial sectors begin to embrace and adopt the real-time and collaborative communication platforms that often originated in the personal productivity realm.

Public and private sector companies are now beginning to communicate

through new content vehicles such as blogs, wikis, forums, chats and social networking sites. But what are the risks and rewards that the business can expect? Where does the Records Manager fit? Why should Web 2.0 matter inside the public sector?

This next wave of electronic business communication is on the horizon and turning a blind eye today could mean risk tomorrow. Attendees will come out of this session with a better understanding of what Web 2.0 means, and its possible implications for legal/FOIA/ATIP discovery, records capture and corporate memory preservation.

This session will outline the specific technologies and tools that comprise "Web 2.0" and give real-world examples of how such tools have been used successfully to bridge people, content and business processes in distributed and decentralised environments, as well as discussing the risks of such tools when used in an unsanctioned and unmanaged fashion.

As Open Text Canada's Vice President, Public Sector, Dan is responsible for

managing the Canadian Public Sector line of business for Open Text. This consists of Federal, Provincial, local-level governments including the Education and Health programmes. Dan also holds a leadership role in Open Text's Public Sector Centre of Excellence.

With over 18 years of experience managing projects for various levels of government, Dan has acquired extensive experience delivering business solutions utilising enterprise content management systems (ECMS).

During his career, he has been awarded: an Open Text Outstanding Achievement award; two Government Distinction Awards (GTEC Medals) – one being a Gold Medal for a National E-Government Award in the category of Strategic Information Management; an industry sponsored Canadian Information Productivity Award; a Government sponsored Excellence Award; a vendor-sponsored Customer Success Award; as well as a nomination for national Agatha Bystram Award for Leadership in Information Management. **iQ**

See
Them in
September



SIR RUPERT HAMER AWARDS RECOGNISE EXCELLENCE IN RECORD MANAGEMENT

Projects which demonstrate excellence and innovation in records management across the public and community sectors were recognised at the Sir Rupert Hamer Records Management Awards ceremony, during Information Awareness Week, on Thursday 28 May, at Queen's Hall, Parliament House, Melbourne.

The annual awards, named after the late Victorian Premier, who was in office when the Public Records Act was passed in 1973, have been offered by the Public Records Advisory Council (PRAC) and held by Public Record Office Victoria (PROV) since 1998. The Victorian Branch of the RMAA is a sponsor of the awards, whose judging committee consists of members of PRAC, PROV, RMAA and ASA.

Among the 130 guests at the awards ceremony were patron Lady April Hamer, OAM; Debbie Prout, President of the RMAA's Victorian Branch; Helen McLaughlin, ASA Victorian Branch Convenor, and Ross Latham, Victorian State Director, National Archives of Australia.

Giving the keynote address, Adam Fennessy, Executive Director, Policy and Cabinet, Department of Premier and Cabinet, praised the work of the Victorian Government institutions and communities represented at the awards.

And the winners were...

LARGE AGENCY CATEGORY **Winner: Department of Human Services**

Department of Human Services, for 'The Records Management Improvement Strategy', a long-term approach to improving records management. Key objectives were to reduce an estimated

76 kilometres of records through authorised destruction of time-expired records; to increase the percentage of records captured in the recordkeeping system; and to preserve and prevent deterioration of vital records and finding aids.

LARGE AGENCY CATEGORY **Certificate of Commendation:** **City of Greater Dandenong**

City of Greater Dandenong, for 'Historical Scanning Project: Scanning the past to build the future.' This project aimed at dealing with controlling and providing access to various records including inactive and archival records dating from before the 1994 council amalgamations

LARGE AGENCY CATEGORY **Certificate of Commendation:** **University of Melbourne Record Services**

University of Melbourne Record Services, for 'Web Archiving @ the University of Melbourne', which focuses on University of Melbourne Web pages containing corporate records, or document corporate activities. Using an Internet archive subscription service, two approaches permit either quarterly, whole-of-domain retrieval for archiving, or a selective approach to target particular pages more frequently.

MEDIUM AGENCY CATEGORY

Winner: Victorian General-Auditor's Office

Victorian General-Auditor's Office for 'Records Management Checklist: A tool to improve records management'. This was the primary tool used to collect evidence for the Office's performance audit of RM in the Victorian public sector in mid-2007.

SMALL AGENCY CATEGORY **Certificate of Commendation:** **Rural Finance Corporation**

Rural Finance Corporation for 'The Rural Finance Corporation Records Management and Disposal Program', which improved RM across the agency and improved access to records through a scanning program and by the transfer of records to PROV.

COMMUNITY ARCHIVES CATEGORY (Providing public record access in the local community) **Winner: Castlemaine and District Historical Society Inc**

Castlemaine and District Historical Society Inc, for the 'Metcalf Shire Council Sundry Correspondence Files Project'. The Society received three volumes and 76 boxes containing over 500 documents each of correspondence of the former Metcalf Shire. All required cleaning, rehousing and indexing to render them accessible to the wider community.

COMMUNITY ARCHIVES CATEGORY (Projects or programmes that provide greater understanding of and accessibility to the archival collection)

Winner: Royal Historical Society Victoria

Royal Historical Society Victoria, who, assisted by a Potter Foundation grant, commenced digitising the significant Macpherson Robertson collection, images from which were used in the online exhibition, 'Macpherson Robertson's Round Australia Expedition 1928'.



The Hamer Awards winners were all smiles.



OBJECTIVE RMAA ARTICLE OF THE YEAR AWARD ENTRANTS SHORTLISTED

Objective

RMAA Article of the Year AWARD

Awards month is rushing toward us, with the Objective RMAA Article of the Year Award to be presented next month along with a host of other RMAA awards at the Gala Dinner of the 26th RMAA International Convention in Adelaide, and the shortlisted articles in the running for the award have been announced.

As in previous years, all articles published in *iQ* over the past 12 months – November 2008 issue to August 2009 issue – and in the *iRMA* online annual for 2008, which have been written by RMAA members or employees of organisations which are corporate members of the RMAA, automatically go into the running for the award.

A shortlist has been prepared, from which the winner will be determined by a panel made up of the Editor of *iQ*, a representative of the RMAA National Board, and a representative of the award's sponsor, Objective Corporation.

iQ Editor, Stephen Dando-Collins, noted that while a number of reliable, previously published authors have continued to submit articles to the RMAA's journals, this year also brought a whole new crop of authors to light. He said that it was particularly pleasing to see so much excellent material appear in *iRMA* this year.

He also noted that, since he commented about the paucity of submissions to *iQ* from the ACT in 2007-2008, this past year has seen a bumper crop of articles come in from the Territory.

At the same time, he said, offerings from Victoria have been few in 2008-2009, and he would encourage Victorian RMAA members to put their author's hats on this coming year and flood *iQ* with submissions.

THE SHORTLIST

The shortlisted articles for the 2009 award are as follows:

- **Rob Thornton**, for 'Insuring Archives: How to insure the irreplaceable'; November 2008 *iQ*. An eye-opening wake-up call for records managers everywhere.

- **Michael Steemson**, ARMA, for 'Records Security Problems in Hong Kong? You can bank on it'; November 2008 *iQ*. A timely report on the loss of customer records by Hong Kong banks.

- **Janet Larke**, ARMA, for 'Taking Curtin into the 21st Century'; *iRMA* 2008 edition. An interesting chronicle of the development of RM from the inception of Curtin University to today.

- **Anastasia Govan**, MRMA, for 'Project Management Methodology for Implementing an Electronic Document and Records Management System'; *iRMA* 2008 edition. An outline of parallel paradigms of using project management methodology to successfully implement an EDRMS.

- **Sally Algate**, MRMA, for 'Useful Skills for the Records Manager of Today'; *iRMA* 2008 edition. A handy article on useful skills for RMs, and how they can be acquired.

- **Robert Bromwich**, for 'Government Access Cards: A key to fraud and identity theft?'; November 2008, February 2009 *iQ*, and May 2009 *iQ*. In three parts, a detailed analysis of the government access card experience in Australia and overseas and future prospects for such cards.

- **Paula J Smith**, ARMA, for 'How You Can be a Records Management Champion'; August 2009 *iQ*. A call for RIMs to make the profession more accessible to enable broadened recognition within organisations and communities.

- **Andrew Warland**, for 'Have You Fallen into the Generation Gap?'; August 2009 *iQ*. An informed and entertaining analysis of the latest LexisNexis survey of technology uptake.

- **Frank McKenna**, for 'Do You Really Need a Taxonomy/Classification Scheme with a Records Management System?'; August 2009 *iQ*. A thought-provoking new approach to indexing, managing and retrieving records.

You may have noticed that a favourite author or article did not make the shortlist, such as Mark Brogan's and David Roberts' detailed RMAA technology survey report, 'From mainstream to bleeding edge technology in the RIM workspace'. That article would certainly have been shortlisted, had the authors been members of the RMAA.

In making their final decision, the judges will be looking for an article that is original, that displays the author's thorough grasp of the subject, that conveys new information, that provokes discussion, and which delivers its message in an engaging and readable style.

The winner of the 2009 Objective RMAA Article of the Year Award will receive a top of the line digital camera, courtesy of award sponsor Objective Corporation. The award will be announced at the gala Awards Dinner held during the 26th RMAA International Convention in Adelaide in September.

- Submit an article to *iQ* over the next 12 months, or to the 2009 edition of *iRMA*, and if your submission is accepted, and if your article is published and you are a member of the RMAA or your employer is a corporate member of the RMAA, you will be in the running for the 2010 award. **iQ**

COMMUNITY ARCHIVES

CATEGORY (Innovative programs that ensure local records of significance are accessible and that support places of deposit in operating, expanding and maintaining their collections)

Winner: East Gippsland Shire Council

East Gippsland Shire Council. Applying the Local Government Retention and Disposal Authority led to the transfer of permanent records to PROV and the identification of significant temporary records

with local historical significance. The Shire supported the appointment by PROV of six local places of deposit in 2008, and has to date transferred 95 large volumes of historic council records to them.

COMMUNITY ARCHIVES

CATEGORY (Projects or programmes that provide greater understanding of and accessibility to the community archives' archival collection)

Certificate of Commendation: Bellarine Historical Society Inc

Bellarine Historical Society Inc, for 'Geelong and District Potpourri Database.' This is an ongoing project providing free online access to a variety of indexes to records and other information sources relevant to the Geelong district. Produced primarily by historical society volunteers across the region.

- For information on the Hamer Awards, including details on categories, current and past nominations, and winning entries, visit <<http://www.prov.vic.gov.au/events/rmham.asp>>. **iQ**



WORLDWIDE NEWS

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NLA WARNS OF INTERNET BLACK HOLES

CANBERRA: A National Library of Australia warning of potential loss of cultural heritage and history down Internet 'black holes' has been highlighted by Australian media.

The warning, from the NLA's Web Archiving manager, Paul Koerbin, in April, was headlined by the *Sydney Morning Herald* and featured on the SMH.com website.

Koerbin warned: "Australia is in danger of losing its cultural heritage and much of its recent history if ephemeral material on the Web isn't archived for future generations."

He told the *SMH* that everything from government documents to personal photos and video clips were being published exclusively online. The transient, dynamic nature of the Web meant that much of this information would be lost over time, he said.

Koerbin added, "There is a serious issue regarding the loss of our digital cultural heritage. We are losing history ... the fact is there will be 'black holes' that future researchers will have to deal with."

The NLA report discussed US and UK projects to salvage Web material and said that the NLA had been archiving

Australian online publications at its Pandora website (<http://pandora.nla.gov.au>) for a decade. These included sites associated with the Sydney Olympics, Prime Minister Kevin Rudd's 'Kevin07' election site, and the 2007 Sydney APEC summit, but had captured fewer than 22,000 'archived titles'.

Mr Koerbin said the Web had greatly changed since the NLA began archiving, and was now "highly dynamic, enormous and ever growing". Social networking, as opposed to simply publishing material on a Web page, made Web archiving even more complex and daunting.

"While it has always been an issue to determine what we should try and preserve, this is much more complicated now and in fact we can probably do relatively less," he said.

MUTED WELCOME FOR NEW CANADIAN LIBRARIAN AND ARCHIVIST

OTTAWA: Professional body reaction to the appointment of a new Librarian and Archivist of Canada, Daniel J Caron, has been muted. Dr Caron, whose promotion was announced in April, replaces the popular founder head of the joint library and archive institution, Ian E Wilson, who had retired ten days earlier.

Dr Caron had held the post of Senior Assistant Deputy Minister, Corporate Management and Horizontal Integration Sector in the institution since 2008. He joined Canada's then National Archives in 2003 as Director-General of Corporate Management. His background is in economics; he holds two economics degrees, and a PhD in Applied Human Sciences.

Three days before the appointment was announced, the Canadian Library Association CLA Executive Council wrote a stiff letter to the Canadian Government demanding that the replacement be "a librarian or an archivist with recognised professional qualifications".

At press time, CLA had made no further comment. Only the Association of Canadian Archivists (ACA) offered formal congratulations.

Canada boasts of being the 'most wired nation on Earth', but local blogs have been largely silent on the subject of the new appointment.

Only a Vancouver writer on a large, two-year-old, Canadian and US blogsite, Social Justice Librarian, has reacted, posting: 'What does it mean that the new Librarian and Archivist of Canada is neither a librarian nor an archivist; not even an author, but rather an *economist*? ... Am I the only one who is a little freaked out about this change?'

Apart from the CLA, apparently, she is.

LEN ASPREY GOES TO NORTHUMBRIA

NEWCASTLE UPON TYNE: Leading Australian information management figure Len Asprey has been recruited by major UK learning institution Northumbria University as an honorary visiting Professor of Enterprise in the School of Computing, Engineering and Information Sciences (SCEIS).

Director of the Sydney agency Practical Information Management Solutions, Asprey will support teaching programmes "drawing on his extensive consulting and project management experience in information and knowledge management", the university announced in June.



Len Asprey

Professor Julie McLeod, Professor in Records Management at SCEIS, said: "We are delighted that Len Asprey has accepted our invitation. He brings a wealth of current practical experience and expertise in document and information management."

The University is working with Asprey to develop a number of programmes to support innovation in information, document and records management. The first of these is scheduled for the Northern Spring 2010.

Len Asprey told *iQ* that one of the themes of his work at Northumbria would be "the management of drawings and technical documentation, which has synergies with the content offered by the schools' engineering programmes, and has direct relevance to both business and government sectors because of the intense construction activity that is expected preparatory to the London Olympics in 2012." **iQ**



The National Library, Canberra

Snapshot:

The people who help make us tick:

Lisa Read White,
Western Australia Branch President

Lisa has more than 12 years experience in the information and records management industry, after working for a range of organisations in both the private and public sectors.

She has spent considerable time in recent years managing projects and consulting in oil & gas, mining & resources, government (local, state & federal), with regulatory bodies, utilities, and on indigenous projects.

Regularly involved in providing comment on industry publications, Lisa holds positions on several committees including the ICT Industry Collaboration Committee (ICTICC).

Lisa has been invited to judge awards such as the WA Information Technology and Telecommunications (WAITTA) Awards (Innovation and Student Categories) and the WA Lonnie Awards for State Records Compliance.

She was appointed President of the WA Branch of the Records Management Association of Australasia (RMAA) in 2006.

TRUE CONFESSIONS

iQ asked Lisa some personal questions:

A little known fact about you?

I'm a rally co-driver in the ARC, WARC and WA Clubman series. I get to tell men what to do in the car, and they do it, without question, whilst driving at insanely fast speeds. It's the dream of every woman!

Marital status/children?

Married to Alex. We have 2 children aged 6 and 9 years.

How did you get started in the RIM industry?

Working in a family business which was under threat from a takeover, I was encouraged to go into government. I was picked up by Premier and Cabinet, and ended up on a study path involving Information Management. I eventually went into contracting and consulting. The rest was one foot in front of the other really.

Word that best describes you?

What? Just one? I need to phone a friend for this...

The thing you like best about your job?

The variety of projects and clients I get to work with. Some organisations are really interesting and some of the people very inspiring. Others are a reality check that help me realise how good variety is.

The most important lesson you've learned?

That living life with no regrets is really important. Life can end at any point without warning, so I like to live life to the fullest.

Your motto for life?

Slide into heaven sideways screaming... "Wow, what a life!" If I can, and I want to, I will. If I can't, and I want to, I will find a way!

The award/honor you're most proud of?

I always find it rewarding when my children are proud of something I did. If they talk about me in their school news I know I've achieved something important to someone else.

Your personal measurement of success?

Being happy with no regrets, and finding a balance between work and play. I don't have any enemies, that I know of.

The book that has influenced you most?

Dilbert – sometimes it's so close to the truth it's hilarious.

Your favourite movie/s?

Star Wars and Lord of the Rings series.

Your favourite singing artist/s?

Apparently it's anything my husband puts on. I normally try to hide it so he doesn't put it back on.

Your favourite holiday spot?

I really like Steep Point.

Your favourite way to spend free time?

With my family. And rallying – a great way to see the countryside whilst going really fast.

The vehicle you drive?

Mitsubishi Lancer Evolution 1.



Lisa Read White,
Western Australia Branch President

The vehicle you would like to drive?

I'd like to test drive the Nissan R35 GTR, the first car to debut in competition racing and win; a monster in size and weight and very forgiving for average drivers. That suits me.

The luckiest moment in your life?

Having 2 healthy children. And I've had some close calls in motor sport.

Your business philosophy?

Work smart and be honest.

Your ambitions for the RMAA in WA?

To break the mould of the stereotypical records and information manager and to facilitate industry professional development in a variety of ways that meet most member needs, including programmes like mentoring.

Your suggestion for how records managers can best cope during the current economic downturn?

Ignore the hype and look at the facts. Now is a great time to pick up that skilled staff member you've been looking for, a great time to pitch smart business initiatives. Look for opportunities, and make the most of them.

How would you like to be remembered by family, friends & colleagues?

Someone with good personal values, who liked to have fun, contributed to society and looked after family and friends. I guess this is all very well as long as my death doesn't make me an entrant in the Darwin Awards!

Your secret dream or ambition?

To not work full time and spend more time relaxing. **iQ**

RMAA Directory

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