iQ

InfoRMAA Quarterly

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IQ Tops Readership Survey

WHEN SILOS COLLIDE

BEYOND COMPLIANCE

RIM and Technology
WHO'S DOING THE DRIVING?

THE UNSTRUCTURED DATA TIPPING POINT

We're Not All Stumbling Toward The Standard

WHAT'S ON RECALL'S RADAR?
We Interview ANZ President Mark Wesley

iQ
infoRMAA Quarterly

Vol 24 – issue 1 – February 2008

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RECORDS MANAGEMENT ASSOCIATION
OF AUSTRALASIA

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In This Issue

Front Cover:
Kiwi recordkeepers were given a head start on implementing ISO 15489, and are leading the way, unlike some RIM constituencies around the world who are still stumbling. See page 28.

Kemal Hasandedic,
RMAA's National President

Start the RM Revolution – Friends, Romans and Records Managers

Is compliance really worth our time and effort? That is the question I pose to you my peers and fellow warriors. Are we still at the forefront seeking accountability and transparency in the decision making processes of the organisations we work for or consult to?

Yes, before the cascade or avalanche of vitriol flies, RM is not just about accountability and transparency; and compliance is not the only reason why we should implement best practice recordkeeping. But truly how many have and how do you know?

But this impassioned plea is about compliance. I have spoken in many forums that compliance may be the hook you need to sell RM in your respective organisation. However, it is not the only means by which we can promote the benefits associated with that which we do well.

I have often championed the cause of recognising the records and the information captured within our systems as a core critical asset and that asset needs to be properly maintained. There are a number of standards and pieces of legislation in Australasia and the world designed to improve the compliance framework in both the private and public sector.

Organisations worldwide face increases in compliance regulations examples of which are Sarbanes-Oxley, DoD 5015.2, ISO 15489, MoReq, VERS, Data Protection Act and Financial Service Act (UK) Official Information Act 1982 (NZ) and the respective state and territory Record/Archive Acts.

I am a firm believer that effective compliance systems are an integral aspect of good corporate governance. My stance is supported by Professor Alan Fels who, at the Global Standard SAI in July 2005, stated, "Compliance with laws should not be seen as optional; it is part of doing business in a modern society."

We are well aware of the reasons why this has taken a prominent focus on the world agenda. Some examples of non compliance and deficient RM practices are:

- British American Tobacco vs. Rolah McCabe
- John Elliott (Waterwheel)
- ICAC Royal Commission
- Children overboard affair
- BHP OK Tedi
- HIH
- Enron
- OneTEL

Companies like Enron, Tyco and others brought about legislation such as Sarbanes-Oxley in order to make corporations more liable and more responsible in managing and retaining information.

'The economic consequences of non-compliance could be severe for companies and executives alike. In one recent case, a single short email from a telecom analyst caused a ripple effect that ended when a financial services company settled with regulators for $400 million. The analyst himself agreed to pay a cool $15 million fine. A lot of policy writing, training and auditing could be accomplished for far less than $415 million.' Randolph A. Kahn, 'Measure the Total Cost of Failure', *Transform Magazine,* November, 2004

These are all excellent examples of why compliance should still be on the agenda and why we as Records and Information Managers (RIMs) should be at the forefront of waving the banner. But we need support to sell the message and to get the necessary corporate backing of our RM programs. The key in my mind is:

Framework for Records and Information Compliance

1. Good policies and procedures.
2. Executive-level programme responsibility.
3. Proper delegation of programme roles and components.
4. Programme dissemination, communication, and training.
5. Auditing and monitoring to measure programme compliance.
6. Effective and consistent programme enforcement.
7. Continuous programme improvement.

To this end we need the respective authorities who are entrusted with the power to audit and enforce good RM practices to do so. NAA has already got some runs on the board as does the NSW State Records Authority. But the censures have been in my mind too light or ineffective in making those who have the power to take note.

So I say to you my fellow RIM warriors, let us take up the banner and challenge the bodies enacted to provide us with support. Let's get them active in providing the direction and action in ensuring the compliance regime in Australasia is not a toothless paper tiger. We also need to force the issue of reviewing our outdated legislation.

Take heart, records management is a business function, not an IT function. Electronic Document and Record Management Systems (EDRMS) are supported and maintained by IT, but designed by YOU and the business units collaboratively to meet the corporate goals.

During the French Revolution the cry was for "Liberty Equality and Fraternity". Ours might be, "Transparency, Accountability and Compliance."

Kemal Hasandedic, FRMA
(aka Jean Jacques Rousseau)
National President and Chair of the Board

From the CEO

RMAA Membership Levels

There have been some recent changes and some member confusion in terms of the RMAA membership levels and the continuing professional development (CPD) scheme. The main points of RMAA Membership Levels are summarised below. The complete document can be downloaded from the RMAA website or by contacting me.

Kate Walker,
CEO of the Records Management Association of Australasia

The concept and practice of 'Life long learning' is an important element in enabling us to take our place in the global knowledge economy. Therefore a Professional Education and Training Framework (PETF) should be designed to enable the overarching goal of 'people learning to manage education' to be achieved. Consequently the RMAA Board has determined that in order to complete the final step towards being a 'profession' there is a requirement for continuing Professional Development (CPD).

The primary purpose of the PETF is to ensure that we, as records and information managers maintain professional currency, increase our standing within our profession and ensure that the profession is supported in our activities via the development, dissemination and advancement of professional knowledge. Full details of the CPD are on the RMAA website.

Why the New Professional Standards and Membership Grading Are Important

Members of RMAA are entitled to a fair and equitable professional standard that underpins the status of the profession and supports strong career opportunities for its members. These professional standards enable existing RMAA members to move to higher membership levels by fulfilling the required criteria, thereby demonstrating recognised leadership within the profession.

About the Membership Categories and Grades

In accordance with current theory and practice adopted by most professions, RMAA has developed a professional standards model and membership grades to support its membership categories. Within this model each grade of membership is defined by criteria based on professional attributes expected of a practitioner at that level. The entry level of professional membership is that of Associate Member.

Members can be part of RMAA either through an individual membership, through being a nominated member via their organisation paying the corporate fee, or through maintaining an individual membership as an emeritus member on retirement.

Special Membership Categories

Corporate Membership. Corporate members are recognised within RMAA as playing a leading part in the education and training of records and information managers. Covers individual memberships through a single special corporate fee.

Emeritus (Retired). RMAA members who have made a commitment to assist RMAA and its Branches in day to day support.

Membership Grades

Student Membership. Available to any current student (as defined within the RMAA Constitution). This category provides students with access to a broad range of issues and information whilst ensuring that they keep abreast of industry developments and trends. Student Members receive the full range of member benefits, but have no voting rights. The first year's membership is free, after students pay a nominal membership fee.

Individual Member. Available to any person working in, or with an interest in records and information management (RIM). Provides the full range of member benefits including discounts to events, eligibility for grants, members' only online access, and scholarships.

Associate Member (previously known as 'Associate'). Available to those who possess a minimum of Certificate IV and equivalent professional career knowledge, skills and experience in RIM. Applicants must provide evidence of a minimum of 3 years experience within the RIM field and hold a position of responsibility or leadership.

Associate Members receive the full range of member benefits. Associate Member's receive a minimum of 35% discount to RMAA events.

They are required to complete a minimum of thirty (30) points of continuing professional development (CPD) per annum. Associate Members are entitled to use the post nominal ARMA.

Chartered Member (previously known as 'Member' - name changed following member survey to clarify confusion of a 'member' and a 'Professional Member'). Available to those who possess a minimum of a Bachelor qualification and equivalent professional RIM career knowledge, skills and experience.

The award of Chartered Member recognises the efforts of members to pursue their professional development and to improve practice within the profession. It represents the culmination of a sustained

(Continued on next page)

From the Editor's DESK

As we launch into what promises to be a hectic year, one of great change across a range of spheres, *IQ*'s February 2008 issue looks into the future of Compliance, and ponders what the preponderance of unstructured data will mean to RIM.

We look at what happens when the silos of RIM and organisation management collide, and consider the 'create and maintain' Impact of ISO 15489. And we ask Recall Australasia what's on their radar for the future.

IQ looks into the driving forces of RIM in the technological age, and by way of contrast, we look at RIM in our nearest northern neighbour, Papua New Guinea, which has just launched its own records and archives management association. And we continue our 3-part series on EDRMS user behaviour.

IQ Tops Readership Survey

Commencing on page 41 of this issue we publish a survey of RIM readership habits in Australasia, conducted by Drs Margaret Pember and Roberta Cowan of WA's Curtin University.

Their report provides a wealth of information, but of particular interest to us is the fact that *IQ* has by far the highest readership of the numerous recordkeeping industry journals available, and is considered the leading journal in Australia and New Zealand for providing practical information on and to the profession.

Photo Credits

We've had much positive feedback on the photo content of November's *IQ*, in particular the great Convention Review spreads. Credit where credit is due. Mark Harris took most of the shots on pages 54-57, while Mike Steemson was responsible for those on page 53. Mike also took the evocative shot of Chris Szekely on pages 10-11. And the photographer responsible for the page 51 photo was *Neil* Richardson, not Ian.

RMAA Wellington Convention photos can be accessed at Flickr.com. – search under 'RMAA Convention'.

Editor Absent This Month

I will be overseas on a study tour from early February to early March. I will endeavour to check my email occasionally, but if there is anything urgent you wish to discuss regarding *IQ*, you can address your query to RMAA Marketing & Events Manager Kristen Keley at marketing@rmaa.com.au.

Stephen Dando-Collins
Editor
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'Dear Editor…'

RMAA Listserv Discussion Inspires US Journal Article

I recently placed an article in ARMA's *Information Management Journal* in the US regarding the need to actively involve users in taxonomy design. Sort of an adjustment in focus to the DIRKS model to make the designs more user based and accepted, ('The Key to Taxonomy Design', November-December 2007 *IMJ*.)

I was inspired to write it by some discussions on the RMAA list server on the disconnect between RM-based and user-based taxonomies, which seemed to be a developing concern.

Since I had just completed a taxonomy design for a major metropolitan area – 6,000+ staff including 200+ user design sessions – I thought I would write up the process that we use and share it. North America is only just focusing on DIRKS style methodologies and I wanted to add my perspective to the developing discussions.

Jim Connelly
St Albert
Alberta, Canada

(IQ published a feature article by Jim, 'Functional Taxonomies: Myth of Magic?', in its November 2007 issue - Editor.)

RMAA MEMBERSHIP LEVELS: Continued from page 5

period of commitment to the profession and reflects the superior level of achievement in both professional practice and professional development of the member.

Applicants must have been a member of the RMAA for a minimum of 5 years, and actively engaged in the practice of the profession of records and information in a senior management role demonstrating strategic management and leadership. Leadership and service to the RIM community must also be demonstrated.

Academic and professional education will be interpreted broadly but the member must be able to demonstrate clearly that their professional development activities during their time as a RIM has been focused and has been directed towards improving both their professional practice and their professional standing. Chartered Members are required to complete 30 points CPD per annum.

Chartered Members receive the full range of member benefits, including a minimum of 40% discount to RMAA events. Chartered Members are entitled to use the post nominal MRMA.

Fellow (previously known as "Fellow"). Available to those who possess a minimum of a Bachelor qualification and equivalent professional career knowledge, skills and experience in RIM.

To apply for Fellowship , a person must have been active member of the RMAA for a period of not less than 7 years. During this period, the applicant must have demonstrated significant commitment to the RMAA's aims and objectives and been actively involved in advancing the RIM profession, including the active support of other practitioners to improve their professional development.

They must also have held Chartered Member status for a minimum of 2 years, and are required to complete 30 points CPD per annum. Fellows receive the full range of member benefits including a minimum of 40% discount to RMAA events, and are entitled to use the post nominal FRMA.

Why Should You Upgrade Your membership?

- Professional standing
- Industry recognition
- Demonstrates professional credibility
- Career prospects

Kate Walker
FRMA MAICD AMIM MBA BSc (BAdm) AdvDipBus (Rkg), DipBus(Adm)
RMAA Chief Executive Officer
kate.walker@rmaa.com.au

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NAA Modifies DIRKS:

A Long Overdue Reform Finally Arrives

An Assessment by Stephen Macintosh, ARMA, and Andrew Warland

As reported in the November issue of *IQ,* in September last year the National Archives of Australia (NAA) in Canberra, (pictured), conducted industry briefings on modifications to the DIRKS (Designing and Implementing Recordkeeping Systems) methodology. DIRKS forms part of the International Standard for Records Management, ISO 15489. Here, the authors assess the changes and their future impact on recordkeeping.

Almost four years ago, Stephen Macintosh wrote an article for *IQ* outlining a successful DIRKS process at the Human Rights & Equal Opportunity Commission. In that article he offered suggestions to the NAA regarding their use of steps A, B and C of the DIRKS process. (See 'Making DIRKS Work', November 2004 issue.)

In 2006, Stephen took up a short assignment with the Federal Court and a significant part of his responsibilities was to help the Court to complete the DIRKS process, which had been commenced in 2000.

Much to his disappointment, many of the suggestions for improvements he made back in 2004 had not been acted on. In fact, he felt that in many respects various practices that were arrived at in order to meet the requirements of the NAA had become institutionalised. For example:

- Agencies were still being required to use NAA-prescribed naming conventions.
- Agencies were still being discouraged from using a single file term for a case or a project.
- Agencies were still being required to explain and describe their business, in enormous detail, to the NAA in a quite artificial and distorted manner in order to get a disposal authority issued.

Even after the Federal Court invested significant resources and time, the NAA sent back a third submission to the Court with some 44 pages of amendments. Needless to say, recordkeeping at the Federal Court was being associated with this strange, struggling project and the Court largely abandoned any attempt at having NAA approve a functional disposal authority.

This sad story is one of a myriad the authors have heard about regarding implementation of the DIRKS process. It is therefore a great relief to learn that the NAA is significantly overhauling their appraisal processes.

In particular, this means that steps A, B and C of the DIRKS methodology that were all previously required to develop a functional disposal authority - now called a 'records authority' - will be returned to their rightful owner, ISO 15489, and replaced with a simpler two-step appraisal process that 'de-links' the functional classification developed in Step B with retention and disposal schedules.

In some respects, the ISO-based DIRKS process – which still provides a best practice methodology - could be seen as the victim of a hijacking. However, after a patient and painstaking rehabilitation, recordkeepers will continue to use the DIRKS methodology as described in the Standard.

A healthy development with this new regime is that the NAA will give agencies more independence to determine how long they want to keep records that are not in the very limited category of 'Retain as National Archives'.

Quite aside from any criticism of the way the NAA managed DIRKS projects in the past, this change reflects the reality of the federal public sector in the 21st century - public sector agencies, particularly the smaller ones, are acting with increasing autonomy in relation to their day-to-day management. It will also give agencies a stronger sense of ownership and responsibility about their recordkeeping requirements.

The 'new' methodology moves away from the functional approach and encourages agencies to identify their core business functions or activities which are then linked to retention and disposal actions with fewer and broader, more-encompassing single classes.

Some of the changes are contentious. For example, the heavily cut-down version of step A will contain less useful information, and the Business Classification Scheme (BCS) has been de-linked from disposal and retention actions. A BCS is no longer a mandatory requirement (although it is encouraged).

Recordkeepers may find it harder to carry out their core role - 'analyse organisation's business, see points where records are created, and develop systems to capture and manage those records for as long as they are needed to support that organisation's business' - without having either the complete historical context provided by the previous Step A or the business context provided by a BCS.

The NAA hasn't completely abandoned some form of Step A, and they do encourage agencies to do Step B, but no longer mandate it or have any role in it. How many organisations will therefore bother with a BCS, we wonder?

We would like some clarification regarding how this new regime is going to incorporate the excellent generic (functions based) recordkeeping tools such as Keyword AAA and the soon-to-be-revised AFDA.

We may be left with functional records authorities for our common administrative functions, and core-business based authorities for our core businesses – which could be quite difficult to implement.

One government agency we know of is looking forward to the new approach, which they feel will be simpler and will speed up the process of getting a records authority. However, it does have concerns about how they will map their BCS to the new authority classes.

Finally, we are wondering how these changes will impact on products like TRIM that link Function and Activity 'pairs' with disposal classes (as in AFDA, etc).

Overall, the new regime is a step forward, because, at the end of the day, in the words of Deng Xiaoping: 'No matter if it is a white cat or a black cat; as long as it can catch mice, it is a good cat.' The success of this new regime will depend on how skillfully it is implemented.

The Authors

Stephen Macintosh, ARMA, is currently Specialist Recordkeeper with the Dubai Municipality in the United Arab Emirates.

Andrew Warland is Senior Consultant, Information & Records Management, with Converga Pty Ltd, Sydney, NSW.

Microsoft Launches New Search Product

SYDNEY: Microsoft has launched its Search Server 2008 Express free enterprise search product, promising that it will help workers uncover 'the right information'.

The new Search Server features the enterprise search capabilities of Ms Office SharePoint Server (MOSS) 2007.

Free connectors to Documentum and FileNet are expected to be available in Australia this month, as well as search capabilities based on the OpenSearch standard, meaning searches can be undertaken across Open Text, Business Objects and Cognos repositories.

SocSec Tribunal Takes Objective Route

CANBERRA: The federal Social Security Appeals Tribunal (SSAT) has implemented an Objective ECM solution.

SSAT processes more than 10,000 appeals a year. Its new ECM solution will be used to support SSAT's appeals processes at its offices in all states and the ACT, covering all administrative functions including human resources, finance, IT and legal.

980,000 Records Go Missing at Japanese Bank

TOKYO: One of Japan's leading banks, Resona, has disclosed that 980,000 customer records went missing from 27 branches last year.

The Information Management Journal (Sept/Oct 2007) reports that a routine bank audit disclosed the problem. The records did not show customers' passwords, but included ATM records, withdrawal and deposit slips, and tax payment details.

Resona Bank is not the first Japanese bank to be embarrassed in this way. In October 2006, the Bank of Tokyo-Mitsubishi UFJ lost 960,000 customer records.

NZ Disposal Authorities Now Available Online

WELLINGTON: All current NZ Government disposal authorities are now available through Archives New Zealand's Archway online document system.

The new reference tool for recordkeepers was launched at last September's government recordkeeping forum.

In the past, says an Archives New Zealand media release, many organisations found it difficult to identify the Archives New Zealand authorities in place for disposal of their records.

The disposal authorities can now be searched by agency, authority number, keyword, or date online, at www.archway.archives.govt.nz/CallDisposalAuthoritySearch.do.

Safety Whistleblower or File Share Thief?

SEATTLE: A Boeing quality assurance inspector for 18 years until he was fired last year, Gerald Eastman claims the 320,000 company files he downloaded over 2 years were part of a campaign to expose dangerous quality faults in Boeing aircraft manufacture.

Eastman had twice officially complained to the Federal Aviation Authority (FAA) about shortcuts he claimed Boeing were taking. After the FAA told him that their investigations had found nothing they could take action over, Eastman went to the press. Articles subsequently appeared in two Seattle newspapers using documents that prosecutors now say were provided by Eastman.

The *Information Management Journal* (Sept/Oct 2007) says that none of the files downloaded by Eastman had been encrypted or password protected. To obtain the files, Eastman successfully searched for unprotected file shares. He was denied access to many, but not all.

Eastman, who has not been accused of trying to profit from the sale of the downloaded files, was charged with computer theft last July, when he pleaded not guilty. He is expected to come to trial shortly.

TOWER Continues to Grow

CANBERRA: Leading Australian ECM vendor TOWER Software has announced that its revenue grew by 25% in Australia and almost 40% overseas in 2007.

Marketing its TRIM Context solution in Australasia, North America and Europe, TOWER's 2007 revenue was $45.2 million. In a press release, the company said that similar revenue growth is expected this year.

During the year the company doubled its offices from 10 to 20 around the world, with staff numbers increasing to 210, 100 of those based overseas.

Last November, TOWER's TRIM Context 6 solution had its US Department of Defense DoD 5015.2 certification renewed. In 1999, TOWER Software was only the second software company in the world to receive this DoD certification, which it has maintained ever since.

Google Comes Up Short in Search Survey

SILVER SPRINGS, MARYLAND: Analyst firm CMS Watch's 2008 Enterprise Search Report finds that the technology inside Google's hugely popular Search Appliance product has not kept pace with the Google company's marketing spin.

The latest CMS Watch Enterprise Search Report analyses 18 major enterprise search offerings, with Google the best known and most used.

Google has been marketing Version 5 of GSA, its Search Appliance, by emphasising enterprise security and connector enhancements, but the report discloses that Google actually trails most competitors in those areas.

CMS Watch found that GSA still relies on Web-based access for document-level security, and remains weak at collecting non webpage content in general and SharePoint-based information in particular.

The report also found that the Google Search Appliance lacks advanced tuning controls found in most other enterprise search products.

GSA excels at searching website content, and CMS Watch found that Google's happiest customers are those who use GSA for basic Web searches.

"The challenge comes on an Intranet or other complex enterprise environments where you have heterogeneous document stores and critical security requirements," CMS Watch analyst Theresa Regli told IQ.

The full CMS Watch report can be acquired at www.cmswatch.com.

Irish Document Managers Catching Up

DUBLIN: AIIM Europe's annual document management survey has shown that Irish organisations are rapidly catching up with their counterparts in the UK, US, and Australia.

The RMS *Bulletin* (November 2007) reported that the survey, carried out last year, found that 30% of Irish organisations were using document and records management systems in 2006, compared to just 20% in 2005.

A further 22% of organisations surveyed had commenced integrating document and records management projects across departments, up from 11% the previous year.

Overall, 41% of Irish organisations had been planning to spend more on document and records management technologies in 2007; 20% were planning to spend less.

UK Govt Reviewing 30-Year Rule on Record Release

LONDON: The British Prime Minister, Gordon Brown, has initiated a review of the practice of holding classified British Government documents for 30 years before they are released.

The practice for many years in Britain has been to release most classified documents 30 years after they were created, transferring them to The National Archives of Great Britain (TNA) and largely opening them to public access.

There have been some exceptions to that rule, in the case of documents referring to the time Nazi leader Rudolf Hess was a prisoner in Britain, for example, with some held indefinitely, without explanation.

Prime Minster Brown has commissioned a 3-man panel to review the 30-year rule and recommend whether or not it should be reduced. If it were to be reduced, public access to many classified documents would be sped up.

The Prime Minster's review panel is made up of Paul Dacre, Editor in Chief of Associated Newspapers, Sir Joseph Pilling, the former Permanent Secretary of the Northern Ireland Office, and UK historian David Cannadine.

The review's terms of reference were released last November. They can be accessed at the UK National Archives website, www.nationalarchives.gov.uk.

US Airline Trials Paperless Boarding Passes Using Handheld Devices

HOUSTON: Continental Airlines and the US Transport Security Administration (TSA) have been conducting a 3-month trial on flights out of Houston involving passengers boarding without paper boarding passes.

MSNBC reported that selected Continental passengers have been able to receive their boarding passes in the form of a 2-dimensional bar code on their mobile phones or PDA's since December. TSA staff validate the passes using handheld scanners.

If the trial, due to end next month, is successful, the scheme will be extended across the Continental Airlines US domestic network.

New ARMA Award

LENEXA, Kansas: ARMA International, the US counterpart of RMAA, has announced the creation of the Cobalt Award to recognise organisational excellence in managing records and information.

The first Cobalt Award will be presented at the ARMA international Convention at Las Vegas between October 20 and 23 this year.

The award will recognise RIM excellence within an organisation covering such issues as compliance, polices, procedures and practices, and risk and asset management. For details, go to www.arma.org/excellence.

Convention topics will address and discuss the challenges and issues in meeting the balance between individuals, business and government needs in relation to records and information management.

Possible Topics for Presentations could include:

- Privacy – Individual's rights versus Government/Business needs.
- Electronic Documents – security, access, evidence, privacy
- System Security versus Physical Document Security
- Document Destruction
- Legislation – Privacy Act, Evidence Act, FOI – Case studies or comparison of how it affects differing environments
- Internet/Email Security - Phishing, Spam, email scams
- Identity theft – case studies, tips for prevention
- Biometrics – information storage, access and security
- Biometrics – demonstration of uses or case study of implementation
- SMS and MMS as records

Suggestions for other topics which fit within the theme are welcomed.

Presentations should be at least 35 minutes for Professional Papers and/or Case Studies. A written abstract of 250-400 words outlining your paper, along with a biography, should be forwarded to the Convention Organiser, Kristen Keley, email: Kristen.Keley@rmaa.com.au by 30 June, 2008.

Once accepted full papers/presentations must be submitted to the Convention Organiser by 1st September 2009. If you cannot meet this deadline, please do not commit to a paper.

Presenting a paper at an RMAA Convention is an excellent way of gaining experience towards a professional upgrade and also gains 20 CPD points - 10 for presenting and 10 for a day's attendance at the Convention.

R·M AA
Records Management
Association of Australasia

WHAT'S ON RECALL'S RADAR?

A change in attitudes to secure records disposal. Increasing, not decreasing, use of paper. Records managers wielding unprecedented influence in their organisations, or, alternatively, records management being entirely outsourced. New technology such as RFID. And records that magically disappear when accessed by unauthorised people. These are all issues on the radar of MARK WESLEY, President of Recall Australia-New Zealand, as he tells *IQ*.

IQ: Mark, when you took over as President of Recall ANZ in 2006, after several years within Recall North America and time with major corporations in North America, how did the realities of the post and the Australian and New Zealand cultures compare with your expectations?

MW: It has been an extremely positive experience for me, both professionally and personally. I am fortunate to have an experienced, high-performing team here. While the market is very competitive and dynamic right now, we are enjoying great success in growing our partnerships with existing customers and by obtaining new customers. On the personal side, it has been a wonderful experience for my family and we are truly enjoying living in Australia.

Although the records management industry is somewhat mature here, I have been surprised at how relaxed many Australian companies are when it comes to the disposal and destruction of documents.

In order to save money in the short-term - ignoring the risk - many companies here use recyclers, which do not offer a closed-loop, secure method of destroying documents. In the US, most companies use secure destruction companies. Of course, the material is still 100% recycled, but confidentially shredded first.

For example, many of the leading financial institutions in Australia use recyclers for the disposal of records. Some rely on employees to determine which documents need to be securely destroyed and which can be sent directly to recyclers.

In the United States, mainly due to Gramm-Leach-Bliley, all of the major financial institutions utilise secure destruction services exclusively. US financial institutions would rarely consider using recyclers or allowing employees to determine which documents go where, which is very risky in my opinion.

While working directly with a recycler may save money in the short term, it exposes companies, their customers, and their employees to significant risk.

IQ: You gained a BS in Systems Engineering from the US Naval Academy at Annapolis before going on to serve as a Logistics Officer with the US Marine Corps. Have you been able to apply many of the lessons you learned at Annapolis and in the Marine Corps to how you manage Recall's operations?

MW: My time in Annapolis and in the Marine Corps was invaluable in countless ways. I was fortunate to have received a tremendous education and was exposed to people from very diverse backgrounds – experiences which have afforded me a unique perspective.

The discipline and focus that my time in the military instilled in me are probably not surprising to most people, and both are, I believe, key components of leadership.

But more than the drive to succeed, both the Naval Academy and Marine Corps taught me how to step back from the immediacy of any given situation, consider the facts and information available, and ultimately, apply the resources at hand to make sure that I and, more importantly, my team, would exceed our goals.

IQ: Recall has gone through quite a tumultuous period over the past few years, with changes in the focus of your owners and through acquisition. Can we expect further acquisitions and/or a change in ownership in the near future?

MW: The Chief Executive Officer of Brambles, Mike Ihlein, has made it very clear that Recall is an excellent business with significant growth potential and that Brambles has no plans to sell Recall. As for acquisitions, Recall will continue to assess 'bolt-on' acquisition opportunities as they arise.

IQ: In Australia and New Zealand, Recall employs more than 1,000 people – compared to, say, 1,300 employed by Recall Europe. That makes Recall a big fish in the Australasian RIM pond. What are your core businesses in Australia and New Zealand?

MW: Within Australia and New Zealand, Recall provides comprehensive management solutions throughout the information life cycle. Specifically, our Document Management Solutions (DMS) include indexing, archival, digitisation, storage and retrieval of our customers' information in a number of formats.

Recall's Data Protection Services (DPS) ensure that multi-media assets of a corporation – tapes, film and fiche, discs, etc. – are securely stored and readily available for customers.

And Secure Destruction Services (SDS) provides end-of-life shredding of our customers' important information in a manner that prevents those items from being compromised. For highly sensitive materials, customers can actually view the destruction process and be handed a Certificate of Destruction at the end of the process.

Ultimately, what we provide to customers in ANZ is security for their critical business assets and the efficiency that comes from working with a company focused on optimizing its operations and leveraging innovative resources.

IQ: What percentage would you estimate Recall holds of the market in those core markets in Australia and New Zealand? And how does that compare with Recall's market share in other parts of the world?

MW: In Australia and New Zealand, Recall is the clear market leader in the 'vended segment' of the market. However, the largest segment of the overall information management market in Australia and New Zealand is the 'unvended segment' – that is, companies that hold information internally and have not yet outsourced the

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management of that information. In fact, this is the situation around the world.

Elton Potts, President and Chief Operating Officer of Recall, delivered a presentation in New York on 24 October in which he said: "Most of our market is still handled in-house or is in-sourced by companies like yours, and they try to do it themselves. The guesstimates to the market vary, but let's just say that the market is huge."

Mr Potts went on to say that 40% of Recall's revenue comes from markets where Recall believes it has the largest presence within the vended segment of the market and 54% of revenue comes from markets where Recall believes it is number two in the vended segment.

Mr Potts' presentation is available on the Brambles website: www.brambles.com.

IQ: Who are your major competitors here?

MW: We have a number of competitors in the region, and I expect we always will. I try not to spend a tremendous amount of time focusing on who those competitors are at any given moment – the fact that we have competition at all is very good.

It's good for our customers, because it means they will expect us to work for their trust and satisfaction, and it's great for us because it prevents us from becoming complacent.

IQ: Are there fields in which you operate in Australasia that you don't operate in elsewhere in the world?

MW: Yes. Our customers in Australia and New Zealand are mature when it comes to information management. This means that they demand a full suite of services.

For example, we have a significant business here focused on improving document processes within companies and removing paper from processes as much as possible.

In some of the other countries in which we operate, information management is still a relatively young industry so we are very careful not to increase our costs and those of our customers by setting up operations prematurely. As our customers' needs change so do the services we provide by geography.

IQ: Do you do the same things differently here?

MW: Not really. Recall is a global company with a tremendous number of global customers who work with us because they know that they can expect the same standard operating procedures, level of quality and commitment to customer service regardless of location.

Our corporate culture is centered on identifying and sharing best practices globally, especially in the areas of security, efficiency, environment, operational excellence and customer service and the only way for us to make sure that we maintain the same level of performance worldwide is by implementing standard operating procedures everywhere.

IQ: What is your mantra when it comes to customer service?

MW: The first line of our Value Statement is 'All things begin with the customer.' I think that makes our stance on customer service pretty clear – it's absolutely critical to our business.

We value customer satisfaction above all else and are very proactive about measuring it, analysing the feedback we receive and taking any action required to improving it.

This is encapsulated in our Perfect Order programme. The three key components of Perfect Order are: clear and detailed standards for timeliness, responsiveness, accuracy and process consistency; measurements that reveal how we are performing against these standards, thus providing an ever-more-specific blueprint for continuous improvement; and; regular report cards, sent to our customers, that grade our effectiveness in achieving the highest possible levels of service excellence.

IQ: An *IQ* reader in New Zealand has asked - what are firms such as Recall doing to help Kiwi clients facilitate their organisation's compliance with the New Zealand Public Records Act of 2005?

Mark Wesley, Presi
ANZ business

MW: Recall has been working with organisations across Australia and New Zealand for many years helping them implement document management strategies and systems that comply with national and state-based privacy legislation.

While the New Zealand Public Records Act of 2005 is quite similar in its aims to most other regional legislation dealing with public records, it does have the requirement to obtain authorisation from the Chief Archivist before disposing of public records. We can easily add this 'authorisation' step into our usual secure destruction systems, and certainly carry out the destruction process.

The other point I would like to make is that the Act calls for the creation and maintenance of systems for records management that the public can have confidence in. Whilst this is fairly vague and somewhat immeasurable, anyone dealing with public records will need to ensure they have adopted best-practice in this area to avoid problems in the future should any compliance issues arise.

IQ: In Australasia, Recall promotes itself as a leader on compliance issues. When it comes to compliance, what does Recall offer clients that its competitors don't?

MW: With the continuing explosion of information/records created in today's business environment - both electronic and physical format - companies need a partner that can help them organise and manage this information so it can easily be retrieved, allowing them to stay in compliance with regulations, make better business decisions, and provide information when necessary, which can be of particular importance in legal proceedings.

Recall's Standard Operating Procedures (SOPs) and systems are designed specifically to ensure compliance and are based on best practices used around the globe. We use the same procedures and systems globally and are continually refining them to offer better security and compliance to our customers.

Another aspect of compliance is the security of documents and information. Recall has invested millions of dollars to ensure our facilities are 'best in class'. We have strict security standards that are followed in all Recall facilities across globally.

Our new facility in Sydney - at Greystanes - is an excellent example of world-class security features. In fact, security is Recall's number one priority when it comes to managing our client's valuable information.

Throughout the years, we have continuously invested and researched new ways to help our customers manage their information. This year we launched the industry's first full-cycle storage and management service and facility to utilise radio frequency identification (RFID) technology for identification, inventory, and tracking of customers' document and electronic data archives.

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Recall's usage of RFID technology within information centres is another way of demonstrating our commitment to security and innovation. In addition, RFID tagging supports strict compliance with data management regulations such as the Health Insurance Portability and Accountability Act (HIPAA), Sarbanes-Oxley (SOX), the Fair and Accurate Credit Transactions Act (FACTA) and more.

IQ: What is the single most important benefit your clients are looking for when they come to talk to you about compliance? And can you deliver it?

MW: They need us to help them organise their information so they can meet audit requirements and retrieve information when necessary. Compliance, if not managed correctly can end up being a huge drain on human and physical resources.

If asked by authorities to supply specific files or documents along with their access history, many companies have no accurate record in the form of an audit trail. With our 66 facilities throughout Australia and New Zealand, our fleet of over 150 vehicles, secure web-enabled services, and our own carton and document movement records, we are able to satisfy this need.

IQ: People have been predicting the demise of paper records for more than thirty years. Yet we still keep building new paper pulp mills and churning out hard copy. Do you see a day when paper will disappear? If so, when? And, bearing in mind that in the past it was thought that digital media and the environmental movement would combine to put an end to paper production – which they haven't - what, to your mind, would be the main cause of the death of paper?

MW: I don't personally think there will ever be a day when paper will disappear, and recent independent studies have shown that paper usage by business is on a steady incline and will continue to be for the foreseeable future.

The environmental upside of this increasing use of paper is that more and more organisations are using recycled paper for their everyday needs, which is something we have embraced for many years. In fact, as a company, Recall sends for recycling over 28 thousand tonnes of paper every year.

IQ: The need to archive emails has created a huge burden for archivists and records managers. Some industry pundits say that only a small percentage of emails are worth keeping. Is there any easy solution to deciding what to keep and what to throw away?

MW: There is no 'easy' way to determine emails that must be kept. In coordination with legal counsel and a certified records manager – known as a CRM in the US - companies should establish an email use and retention policy.

This policy will differ based on the industry and the type of document/record being managed. The retention policy should dictate emails that must be kept and for how long. Companies should also put in place an archive system to support this policy and develop some way of auditing compliance. Recall can assist in providing this expertise if necessary.

IQ: Should all emails be retained, in case they contain information which only much later proves to be important?

MW: Once again, I would recommend that companies work with their legal counsel and a certified records manager to establish an email use and retention policy and then make sure to follow it.

IQ: Identity theft has become a huge issue over the past few years. Many security lapses can be put down to gullible consumers or lack of security awareness by organisations, or lazy employees who dump documents in indiscriminant ways. How can organisations maximise records security?

MW: As I mentioned earlier, I believe that some key areas of the Australian and New Zealand markets lack security awareness when it comes to the secure disposal/destruction of documents. While Recall's Secure Destruction Services shred documents and then send the paper for recycling, many Australian companies use 'pure' recyclers, and send intact documents for destruction which doesn't guarantee confidentiality or mitigate the potential exposure of information.

As a consumer here, this concerns me greatly, as I believe identity theft will continue to become a larger issue. In my opinion, all documents should be shredded and then recycled. This offers maximum protection to the company, as well as its employees and customers, for very little incremental cost.

By engaging a supplier such as Recall to manage their information, whether it's for storage and retrieval, archival, digitisation or destruction, businesses are taking a proactive step towards making sure that they don't compromise sensitive information belonging to their customers.

This is something that is not only becoming increasingly important from a regulatory standpoint, it's also something that individual consumers are becoming more aware of and expecting of the companies they work with.

Let's face it, identity theft is an 'industry'. Luckily for us, the majority of identity theft occurs online. Yet it remains a fact that someone's identity can be stolen from paper records, and this does occur, and increasingly people want to be sure that companies with which they deal are not going to have their personal records compromised in any way.

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IQ: If I were a client who came to you asking you to solve my organisation's records disposal/destruction needs, what services could you offer me? And how sure could I be that you those processes were fully secure?

MW: We would first work with you to make sure you had a records retention policy in place that assigned a destruction date to all records. We would also make sure processes were in place to make sure the policy was followed.

Once that was completed, we would place secure bins at your locations and launch an internal awareness campaign to ensure that all employees were educated on the importance of placing documents into these containers.

We would roll out a 'Be Sure' program aimed at educating employees on the proper way to dispose of documents. We would then service these containers on a scheduled basis and transport the paper securely to one of our Destruction Centres, where the information would be securely shredded, then baled and sent to a mill for recycling.

Secure destruction processes are critically important, and Recall securely destroys over 28 thousand tonnes of paper and digital files every year. For certain classifications of records we also offer Certificates of Destruction as one hundred percent proof that the records in question have been converted into a totally unrecognisable condition and appropriately disposed of.

In fact, we can also arrange for customers visit our destruction facilities to view, and film if they like, their records being destroyed. However, an equally important aspect of secure destruction is accurately identifying at record creation stage, exactly which records will require destruction and apply an accurate sentencing date to them.

IQ: Without naming names, what is the worst example you have come across of an organisation's security failure when it came to the unauthorised accessing or disposal of records?

MW: It is not appropriate for me to comment on another company's specific performance in this area. However, there are always examples in the global press of situations in which data tapes containing personal information have been lost, or addresses accessed by unauthorised individuals, or countless other examples of critical and confidential information being leaked to competitors.

These situations can be avoided if organisations consider the risk and ensure that information is protected and securely disposed when it is no longer required

IQ: With records increasingly going digital, should records and information managers be demanding a greater say in how IT dollars are spent in their organisations?

MW: Absolutely. A good amount of information generated today is generated in electronic format. This information must be properly managed. Records and Information Managers should certainly be very involved in ensuring that decisions made in areas of IT infrastructure and security policies are both compliant and efficient.

They need to ensure that the key role they play in the physical side of records management is reflected in how the IT side of the business manages and protects the flow and security of digitised information.

IQ: Could digitisation actually sideline IT departments as mere functionaries, making RIMs all-powerful in their organisations?

MW: IT is an enabler of business priorities and drivers. Technology is there to be used by everyone. A company's CIO or IT Manager is someone who works with departmental heads to ensure that their requirements can be met and addressed through digital channels. It's not about power, it's about collaboration.

IQ: Recall Australasia won the RMAA's 2007 Jim Shepherd Award, for the company's contribution to the Association as an industry partner. Congratulations on that. What sort of areas would you like to see the RMAA expand its experience, know-how and influence into in the future?

MW: Firstly, more influence in educating the Australian market and government on the risks associated with not properly destroying information and documents.

Secondly, a return to some of the more traditional training methods. I don't remember the last time Recall hosted a site tour for students or practitioners but we would certainly love the opportunity to contribute more in this area as we feel we have a lot to contribute.

Thirdly, making more of an impact on the wider record keeping community who are not professionals. We are seeing more evidence particularly from young people thrust into record keeping a lack of understanding about basic recordkeeping principles

IQ: You have a degree and an MBA. Will the profile of records and information managers only increase as their educational qualifications increase?

MW: Regardless of education, I do believe that their role will become increasingly more important to organisations within Australia and New Zealand as companies become more aware of the risks and security aspects of managing their ever increasing physical and electronic information.

That being said, educational qualifications can only further increase the profile of the role.

Some industries within the Australian market certainly do value the role of the records manager. In other industries, the sad fact is, that a records manager really only gains profile when things go wrong.

I think what records managers deserve, rather than profile, is respect. One could argue that increased qualifications should indeed make the manager more knowledgeable and more effective, thus gaining the respect of peers, and not the negative profile of someone who oversaw a disaster.

IQ: Increasingly, both corporations and government agencies are contracting out various aspects of their RIM needs to private contractors, from mail room operation to records storage. Can you foresee the day when companies such as Recall are complete one-stop records management shops, with in-house records departments in both business and government no longer existing?

MW: Yes, this is a possibility and a trend we have started seeing. Increasingly, companies are outsourcing some functions to other companies that may have more expertise in a particular area such as Records Management.

In this day and age you need to be able to service your customers' different needs. We already specialise, not only in records storgae, but in business process outsourcing, and workflow and imaging solutions. We also offer insourced services, where we place highly trained staff onsite at a customer location to manage their information. This all reflects the future of RIM.

IQ: What new products or services are on the horizon that will change the way you operate? And when will that happen?

MW: The launch of RFID is very exciting. We plan on rolling out the technology in Australia sometime next year. We believe that this technology will definitely be able to improve traceability of information and will change the way companies manage information within their own office environments in the future.

IQ: What ideal new product would you love to be able to offer your clients, if someone would only invent it?

MW: How about documents and electronic records that magically disappear if they are ever touched by unauthorised personnel?

IQ: Now there's an idea to stimulate debate in the recordkeeping community! Thank you for your time, Mark. iQ

For The Record

Mark Wesley currently serves as President of Recall's ANZ business, where he manages 1,000 employees across all service lines and functions. Mark came to Recall in February of 2002 as the General Manager of the Document Management Services (DMS) division across North America. In this role, he grew the division dramatically while also improving margins and customer service.

Mark also served as Vice President, Operations for North America, where he drove significant improvements in safety, productivity, efficiency and quality across all service lines.

Prior to joining Recall, Mark acted as a supply chain consultant with A T Kearney, worked in senior account management positions with The Coca-Cola Company, and held senior management roles with ICG Commerce.

He also served for five years as a Logistics Officer in the United States Marine Corps. Mark holds a BS degree in Systems Engineering from the United States Naval Academy and an MBA from The Wharton School of The University of Pennsylvania. Mark was born in Atlanta, Georgia and currently lives in Sydney with his wife and two daughters.


Change is coming.

BEYOND COMPLIANCE

Looking to the Future of Records Management

By Steve Baily

Worldwide, there is a new climate of compliance. But what is the point of compliance legislation and freedom of information access if records do not exist or cannot be found? Could the future of effectively managing records to meet compliance and FOI obligations depend on RM making itself invisible?

The terms 'records management' and 'legal compliance' seem to have become inseparable in recent years. Whether in the public or private sectors there appears to be a host of legislation and regulation which either explicitly or implicitly acknowledges the efficient management of records to be a critical aspect of compliance measures.

It's not difficult to see why. Records are, after all, the evidence we leave behind from the transactions we carry out. Our records therefore have the power to either become the best available evidence to demonstrate the legality of our operations, or the most damaging confirmation of our culpability: the classic 'smoking gun'.

In the UK public sector the most high profile piece of legislation is, of course, the Freedom of Information Act (FOIA). First passed in 2000 and directly effecting somewhere over 100,000 public authorities it makes no secret of the pivotal role records management has to play, as the following quote from the introduction to the accompanying Code of Practice on the management of records issued under Section 46 of the FOIA makes clear:

'Any freedom of information legislation is only as good as the quality of the records to which it provides access. Such rights are of little use if reliable records are not created in the first place, if they cannot be found when needed or if the arrangements for their eventual archiving or destruction are inadequate.'

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Though not perhaps endorsing the need for records management in quite so direct terms the principles underpinning the UK Data Protection Act 1998 also have clear records management implications. These include the need to ensure the accuracy of records containing personal data (Principle 4), to ensuring retention is controlled (Principle 5) and that security and access are managed (Principle 7).

Unlike the FOIA, the Data Protection Act does of course affect both public and private sector organisations. The private sector (at least those sections of it with operations covered by US jurisdiction) are also grappling with the fall out from the Sarbannes-Oxley Act, designed to improve standards of corporate accounting and governance in the wake of a series of high-profile corporate scandals.

The list goes on, and so the case for records management appears to get stronger and stronger. Certainly records managers haven't been slow when it comes to accumulating detailed knowledge of these particular pieces of legislation. In fact I suspect that many records managers are in fact better informed about the detailed nuances of the FOIA than many a high street lawyer.

Reaping the Benefits

It certainly seems as though records managers have benefited in recent years from this new climate of compliance. Records management is much higher profile than ever before.

Indeed the fact that of just two Codes of Practice accompanying the UK Freedom of Information Act one is devoted entirely to records management is itself testament to this. At the same time high-profile corporate scandals such as Enron have provided many a records manager with a foot in the door of the boardroom and the attentive ear of senior management.

The evidence certainly suggests that organisations are willing to allocate more resources than ever before to addressing records management issues. There is widely acknowledged to be a shortage of qualified practitioners with many organisations failing to fill vacancies for records management posts.

Further proof is provided by the membership of the UK Records Management Society (RMS) - http://www.rms-gb.org.uk/ - which has grown rapidly in recent years and now stands at over 1100.

A focus on compliance issues has also given records managers a unique and distinctive voice in the increasingly crowded market place of information specialists.

Whereas others may look only to the use, reuse and potential value of information; records managers are also aware of its evidential properties and the risks associated with it. This is a vital role, but one which is getting increasingly harder and less popular to perform.

The whole drive of the IT industry in recent years has been to empower the user and liberate information; to cast aside the shackles of restraint and allow almost limitless use and reuse.

To take just one example: many records management systems rely on a combination of the way in which information is structured (classification scheme, file plan etc) and the allocation of descriptive metadata to ensure efficient resource discovery.

Now with the prevalence of desktop search engines such as Google Desktop imposing such restrictions and burdens seems anachronistic to users accustomed to storing whatever they like where they like and relying on Google to find it.

An associated effect of vastly improved search engines and cheap data storage has been to chip away at the relevance of retention and disposal management – at least as far as the user is concerned. The whole notion of actually taking the time and trouble to choose what to keep and what to destroy can seem laughable to users with access to almost limitless storage.

To a degree, records managers have coped with this changing IT and organisational landscape by relying on traditional definitions of what falls within and outside their professional remit.

As any newly qualified records manager will tell you: 'whilst all records are information; not all information are records'. Information tends to be regarded as informal, ephemeral and of lesser consequence. When it comes to keeping the organisation out of court and protecting its assets and interests it is evidence in the form of records which make the difference.

All records management theory is based on this assertion, the belief that a record must contain certain core properties before it is worthy of the name, and of our attention.

One of the great advantages of this for the records manager has been that it has kept records management theory still achievable despite the exponential growth in the volume of information in recent years.

The last decade has witnessed an information explosion: email, websites, relational databases, GIS data and now the rise of so-called Web2.0 applications and services.

To varying degrees records management has been largely able to wash its hands of all of this and to continue to focus on what we do best: ensuring that core business records are managed appropriately throughout their lifecycle thus ensuring we remain efficient and most of all, compliant, organisations.

The question is, however, whether this is really the best approach, or just the easiest? Can we really continue to disregard the vast majority of information created within our organisations, or is there a pressing compliance-based business need to adapt records management practice to encompass a far wider body of data and information?

Diminishing Coverage, Diminishing Influence?

A little while ago I published a post on my Records Management blog which used some unashamedly spurious statistics to point to how the percentage of information within an organisation over which the records manager has influence has diminished greatly. To quote from it:

'Forty years ago in the days of typing pools, formal registry systems and memos the percentage of an organisation's information that we would acknowledge to be 'records' may have been around 80-90%. Twenty years ago with the birth of the PC this may have dropped to 60% (as the amount of informal drafts and 'documents' etc increased).

Ten years ago with the birth of email, rise of relational databases etc, the percentage of the total information within our organisations that we considered to be within our professional remit may have dropped to 30%.

Now, with the exponential rise in information being created with terabytes of research data, geo-spatial data, image files, multi-media files, etc, our records management programmes may only be covering less than 5% of our total information holdings.'

What I was hoping to draw attention to through these figures is that perhaps we as records managers have been guilty of focusing too much on achieving an admirable depth of knowledge on specific 'niche' issues at the expense of getting to grips with the bigger picture.

With what we would describe as 'records' only now accounting for a fraction of the total information being created and used by an organisation the danger is that unless we find ways of dramatically scaling up records management we risk becoming an irrelevance.

Even worse, by ignoring this bigger picture we not only risk missing tremendous opportunities for making a genuine difference where it is most required, but we could also be failing in our own self-appointed role as the custodians of compliance.

For example, have you ever considered the paradox that we always talk about records management as being the answer to complying with a Freedom of Information Act?

Now, to complicate the situation massively we have an increasing number of staff and students choosing to by-pass the systems provided by the institution and instead using one of a number of externally hosted systems commonly referred to as Web2.0.

It could be storing photographic teaching resources on Flickr, using Facebook to host group discussions or Google Docs to store, share and edit their documents. Indeed Trinity College Dublin have recently become the first institution to announce their intention to use Google mail as the basis of their institutional email system.

And yet, despite this complex and dispersed IT environment, the need for the effective management and governance of information throughout its lifecycle remains constant.

The interaction between student and tutor conducted in Facebook may be an important element of that student's formal assessment. The research papers stored by the project manager in Google Docs may be subject to audit or required as part of the Research Assessment Exercise.

The discussion between two academics regarding a student on Skype may be subject to the Data Protection Act. We cannot just turn a professional blind-eye to such sources and rely on the fact that they do not quite fit the category of 'records' as traditionally conceived.

'There is an argument that ensuring our organisations are legally compliant should represent our minimum attainment, not our ultimate and sole objective'

If the public have a general right of access to all recorded information held by a public authority there appears little logic in only confining our management activities to the small percentage of information that we categorise as records.

As far as the Act and the individual requestor is concerned the scrap of paper, database field or page on the intranet is of equal weight and importance as the minutes of a meeting, contract or correspondence file.

What is therefore emerging is the need for records managers to find ways of striving for the same objectives regarding effective management and governance as before, but on a new and unprecedented scale.

The New Challenge

Consider the average university. It will undoubtedly contain several shared network drives, plus information stored in local hard drives, CD ROMs and other media. It will also include central 'line of business' applications such as the finance and HR systems.

Alongside those will be a myriad of databases containing research data and now often an institutional repository as well. Then of course there are the institution's email system, intranet and Web content management system and all this is only scratching the surface.

To do so would be to expose our organisations to unacceptable levels of risk and to diminish the right of records managers to claim that ensuring compliance is the expected outcome of investment in records management.

The challenge must now be to consider how we can continue to achieve the same traditional compliance-driven objectives in a radically different technical environment. For if we cannot find ways of scaling up records management practice to cope with the size and complexity of the new information saturated organisation its long term relevance may well be open to question.

Compliance as the Minimum Benchmark

Lastly, it is perhaps worth considering whether ensuring compliance is all that we as records managers should be striving for. There is an argument to say that ensuring our organisations are legally compliant should represent the minimum level of attainment and not our ultimate and sole professional objective.

One risk of concentrating on compliance-driven arguments at the expense of all others is that it may only lead to minimum interest and investment. Naturally, senior management will always want to protect the legal interests and reputation of the organisation but will not want to spend a penny more on doing this than is

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absolutely necessary.

Allied to this is the manager's inevitable risk management-based approach to such issues. Whereas the records manager might be keen to demonstrate how it is impossible to comply with every nuance of FOI best practice without massive investment in records management, so senior managers may be approaching it from the following rather different perspective: "What's the minimum extra we have to do to tick the compliance box and what other positive by-products will expenditure in this area have which actually add value and offer a return on investment?"

Likewise, it also has to be said that compliance based arguments leave most users cold. It is important that we never underestimate the critical importance of the average user to our achieving our objectives in records management.

> **Compliance-based arguments leave most users cold**

After all, it is the countless staff who create and use information on a daily basis who will ultimately decide if and how that information is managed, not the records manager. Based on the old adage that one volunteer is worth ten pressed men perhaps records managers should seek to better understand how records management can provide practical help to users as they perform their daily role and to 'sell' it to them on this basis.

JISC InfoNet's 4 Guiding Principles for Records Management

At JISC InfoNet, our belief in the need to reconsider how records management can best contribute to achieving compliance, combined with the advantages of moving beyond a solely compliance-dominated message has led JISC infoNet to formulate four guiding principles which underpin all of the records management support activity we undertake in the further and higher education sectors.

These are that our approach to records management will be:

1. benefits-led;
2. practical;
3. invisible;
4. innovative.

Being benefits-led is to ensure that we focus on the positive impact of records management and demonstrate its ability to answer problems. As such it acknowledges that records management should be the means to an end, rather than the end in itself.

Of course that end could be legal compliance, but could equally be any number of other issues ranging from the broad and large to the small and specific. Our recent 'Managing information to Make Life Easier: A guide for administrators' resource is a good example of this approach.

By retaining a practical focus we hopefully ensure that we deliver resources that meet a very real need. Records management is a discipline with a strong theoretical core, and that is to its credit.

However, it is often at its most effective when it succeeds in hiding this complexity from the end user with the most simple solution proving to be the most effective.

This notion of hiding the complexity also lies at the heart of our desire to make records management invisible. This may sound a surprising thing to say for a profession that has spent many years trying to get itself 'on the agenda' but is, we believe, the most productive path to follow.

Creating a large, imposing monolith called 'records management' and attempting to impose it on everyone and everything is not, we believe, likely to achieve the best results.

It is by integrating records management as seamlessly as possible into the way people and organisations work so that it ceases to be thought of as a separate activity that it stands the best chance of truly making a difference across the organisation.

And finally: the need to innovate. This applies both to the issues records management should be seeking to engage with, and also to the way in which we as a service try to achieve this.

As I hope to have demonstrated in this paper, records management now has a broad and challenging canvas on which to work. Our organisations still need what records managers have to offer, perhaps now more so than ever, but only if we are prepared to radically rethink how we are to achieve this.

The Author

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WHO'S DOING THE DRIVING?

Is Technology Still Driven by Compliance to RIM Principles?

What is RIM's role in a collaborative electronic world? Is Records Management a leader, or a follower in this brave new world? Has RM had its hard copy day, and will it become irrelevant to the future Information Manager?

By David Pryde, FRMA

For the last three to five years at least, the momentum of chaos theory has spread across the entire information paradigm, particularly in Australia and New Zealand. Frontiers have been crossed and boundaries continue to move in a fluid environment that can evolve as quickly as the next jargoned term can be "coined".

Was it Records Management that begat Information Management that begat Knowledge Management that in turn begat Enterprise Content Management, or was it CRM? These are now legitimate disciplines that can be utilised to organise and manage information depending on the organisation and its structure.

This article is not another 'my discipline is better or worse than yours' dissertation, it is a contemplation of the role that records management still plays in a collaborative electronic world.

> "Before you become too entranced with gorgeous gadgets and mesmerizsng video displays, let me remind you that information is not knowledge, knowledge is not wisdom, and wisdom is not foresight. Each grows out of the other, and we need them all".
> *Arthur C Clarke*

Throughout this time only one framework has remained constant, providing the processes by which to engage more meaningful and innovative recordkeeping – that is records management. Some believe that records management has had its 'hard copy' day and is irrelevant to the future Information Manager.

I believe it can be shown that while the role of the Records Manager may have evolved, these new disciplines still require the foundation providing framework, compliance and best practices that have remained constant in providing security and maintenance of the corporate memory.

But first, where and what is this chaos of which I speak? Over the last few years, perhaps even longer, three strong and irresistible synergies, each a powerful storm and market indicator in their own right, have merged into a driving maelstrom at speed, ripping the fabric of the known and possible while sewing opportunity and innovation, changing the information management landscape in its wake.

The Synergies

1. Governments' desire and ability to legislate on electronic recordkeeping in consultation with stakeholders.
2. The customers' insatiable need to devour more information and engagement of new services when they are provided online. Advancement in information technology – that is keeping pace with the evolution of the profession.

Resulting Change of Paradigm

In a number of areas we have seen not only a change in attitude but a complete reversal in thinking resulting in new business processes. I'm not suggesting that these changes are bad or good, only significant and that they should be looked at independently by organisations.

Neither government nor private organisations have been exempt from the effects of this storm but surprisingly it is government that is at the head of the most innovative and cost effective business changes.

- Reducing costs through the elimination of overheads – outsourcing of some services (Managed Services).
- Providing improved and increased services online at a premium – reducing cost and in some cases becoming self sustaining. (See "Make your Website Generate a Return" - IT Brief Number 38 Aug 2007).
- Providing access to a larger pool of information, more efficiently and effectively. After all, according to Natalie Ceeney, Chief Executive of the UK National Archives, "Are we concerned only about access to historical government material or access to government material"?
- Knowledge Management is driving organisations to be smarter in the use of their information, to proactively search for data sets that can be accessed online.
- "To provide an appropriate framework within which public offices and local authorities create and maintain public records and local authority records, as the case may be" – The Public Records Act 2005 (Part 1, Section 3, Paragraph (e).

Governments Fight Back

It is fair to say that electronic document management has been around for about 10 years since its primitive beginnings. But, it took until 2003 for the New Zealand Government to at least recognise the status of most electronic documents as equal to paper with conditions, in the Electronic Transactions Act 2003. Another 2 years and the Public Records Act 2005 replaced the Archives Act 1957.

In the interim, Archives NZ has run meetings, seminars, workshops and forums for government Information Managers to come to terms with electronic record keeping. It has published numerous advice papers under Continuum – its 'flagship desk file devoted to its Government Recordkeeping Programme'.

Since 2005, Archives NZ has responded with a number of General Disposal Schedules, collaborative forums on standards, metadata, digitisation and storage culminating in a number of mandatory standards in these areas for government recordkeepers to follow as best practice. The ISO 15489 Recordkeeping Standard always at the core of its legislative direction.

Chief Executive of Archives New Zealand, Dianne Macaskill, and her team have lead a spirited and determined fight, based on education to ensure the identification, capture and retention of records pertaining to public offices and local authorities in all formats and media.

The strategy of information sharing, education and consultation has certainly made a transition to encompass digital recordkeeping that much easier.

In 2010, Archives New Zealand begins audits and reporting on the ability of public offices to comply with the Public Records Act 2005. Given the opportunities and innovations we have discussed it is also interesting that some organisations outside the government umbrella are embracing these same standards and sharing in the benefits.

What Hasn't Changed?

Whether your organisation is ready to embrace these new innovations or not, realisation that some things have changed but the foundations have not is critical to your progress.

Simply buying an electronic document management system is not the answer to your problems, it is only the beginning. Many IT and records managers who were amongst the first to "play in this space" will admit that time spent getting the foundations right, if done correctly will save time later in taking advantage of those opportunities.

> **Three strong and irresistible synergies, each a powerful indicator in their own right, have merged into a driving maelstrom at speed**

Here are a few starting points to get you thinking…

Records Management Framework

1. Who is providing advice to the organisation on the impact of numerous Acts, international and local Standards of 'Best Practice'? How do you know your organisation is compliant and not at risk?
2. Does your organisation have a classification system or a functional taxonomy? Do you know the difference? Who will give context and a final disposition to your information to enable your staff or customers to find it again?
3. Who provides advice on retention and disposal of your electronic records and where you have a hybrid or hard copy/electronic are both linked? Who updates and is responsible for the Retention Schedule.
4. Who writes or recommends changes to records management policy? Who makes decisions on whether various levels of confidentiality and security should apply to your records?
5. Who is responsible for the capture of electronic records, their maintenance and destruction under Government legislative requirements (government entities only)? If this service is a managed service, is your vendor compliant with 'Create and Maintain', Digitisation and Storage Standards?
6. Do you have a corporate archive? Do you have a strategy to migrate this information into an electronic repository?
7. How many electronic repositories do you operate?
8. Most importantly, who is going to be your RM Champion in the organisation?
9. Identifying appropriate opportunities to showcase your information to your whole organisation, its stakeholders and customers. Who will monitor your key performance and compliance against such things as the NZ Government Storage Standard, digitisation and metadata standards?
10. Who will have the responsibility to design and maintain the process of migration of legacy datasets to enable continued access to them?

Enterprise Architecture

1. EA is different for each organisation and dependant on some serious thinking culminating in the creation of an IM strategy.
2. Your IM Strategy should at least provide you with a vision to move forward, by identifying where your architecture should be, and measuring where it is.
3. This gap analysis should be the first project for the IT Team.
4. Provision of a 24/7 network

Electronic Document and Records Management System

1. Have you determined what your organisation will expect this thing to do? Can you communicate those needs into your Request for Tender Documentation?
2. Each work group should have input into the corporate specification to ensure that all corporate needs are identified.
3. What if you can't have your wish list from any vendor?
4. How does your EDRMS manage paper, email, records that are impossible to convert to electronic format (relics, gifts, portraits, art, historical volumes)?
5. Is there a Change Management or communications plan in place to communicate what is happening? What is the vision, how it will happen and what support or information is available to those affected?

The Changed Landscape?

While we can see that the basics have not changed, the landscape of information management is a fresh canvas limited only by the imagination of those who continue to evolve technology in response to others who are still imagining and developing what is still possible. This might sound less than scientific and perhaps

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philosophical but currently we are in the hands of those who say "I want this" or "Why can't we do that"?

As a legacy from this incredible journey, there are a number of discoveries that must be embraced and brought into the mainstream of Information Management. Some are tools; others are skills that we need to develop but in all knowledge has been gained in the learning to take us further.

Functional Corporate Taxonomy

We spoke briefly about classification in the section on records framework. Classification and Indexing have always been the responsibility of records departments - professional staff providing context to information received, captured into a records management system and forwarded to someone to deal with.

Classification systems are usually constructed under a 2 or 3 tier hierarchy that describes the function, the activity and maybe a service. They are hard work to compile, maintain and apply to 100% of incoming correspondence. Unfortunately the tiers used to describe function, activity or service may not have sufficient explanation to give correct context to particular correspondence.

The functional taxonomy uses 4-5 tiers to describe the agreed terms for the organisations functions, activities, activity types, subjects and services. In its simplest form, the taxonomy is a mirror image of the exact representation of the organisation which can be duplicated in your EDRM system, your intranet/internet, corporate email or corporate shared folders.

Where a classification system would need to be redesigned during a corporate restructure, the corporate taxonomy will evolve as the organisation does. With documents linked at the service level all relevant information is available providing two further benefits, firstly better internal reporting ability and more faith by staff and customers that all information is available.

Data Dictionary

In database management systems there is a file that defines the basic organisation of a database. A data dictionary contains a list of all files in the database, the number of records in each file, and the names and types of each field.

Most database management systems keep the data dictionary hidden from users to prevent them from accidentally destroying its contents. Data dictionaries do not contain any actual data from the database, only book-keeping information for managing it. Without a data dictionary, however, a database management system cannot access data from the database. (http://www.webopedia.com/TERM/D/data_dictionary.html)

Directory of Services

Another benefit of the Corporate Taxonomy is a schedule of the entire range of services provided by your organisation. Using this list as a CSV file it is easy to add metadata to create an accurate and professional Directory of Services to be posted on your intranet/internet.

Business Skills

In the 1990's, all managers had to learn new business skills in marketing and communication. In the Information Age, managers have had to learn or enhance their skills in Project Management and Change Management. There are plenty of Gartner Group statistics in the public domain indicating that 60-70% of IT or IM project failures are due to poor Project or Change Management.

An inability to understand the requirements of the staff (users) or the inability to communicate to understand their needs, overcome their fears and lead the organisation to the goal. This requires project teams to be in 360 degree communication with the organisation, tools, FAQ's, meetings, training, support and more communication.

Changing Roles

On thing that is evident as the smoke rises and the dust settles, traditional roles in IT and Records Management have changed. Regardless of discipline, are we all knowledge managers, information managers or even recordkeepers?

In the new paradigm, IT Managers need to understand records management principles on retention and disposal, classification, capture and registration so that they can understand the difference between housing data and managing records of continuing value to the organisation.

The Records Managers need to understand information technology principles to ensure they understand how the data model and the architecture work so they can monitor and make recommendations on the same issues. The roles of the Records Manager include;

1. 'Establishing, managing and maintaining recordkeeping frameworks that enable accountability and governance, preserve memory and identity and, provide information.
2. Establishing, managing and maintaining recordkeeping processes and systems that capture, maintain and provide authentic, reliable, accessible and trusted records of social and business activities; and meet the needs and expectations of individuals, organisations and society.
3. Apply theory and practice through ethical behaviour, promulgated in codes of practice or conduct.
4. Engage in an advocacy role for the recordkeeping profession to promote awareness and understanding of recordkeeping theory, practice and ethics'.
5. Should champion RM projects from the Chief Executive to the newest staff member.
6. Construct and maintain the corporate taxonomy.
7. Develop and enhance the RM framework to the organisation.
8. Manage the retention of continuing value records in the corporate Archive.

Core Values of Records Management

According to Colwell (2007), the four core values of a records manager are;

1. To promote and uphold public accountability by the organisation in which we work.
2. To preserve cultural memory.
3. To promote and grant, within justified constraints, equality of

access to publicly available information.

4. To protect the rights of individuals through the creation and maintenance of credible and accurate records and recordkeeping systems.

Without the Records Department

Earlier I suggested that there are some who believe that records management is irrelevant in the information world. Let us look at a situation where the records department were let go and the service outsourced.

All incoming mail is now scanned by a vendor and transmitted to the organisation for download into the EDM system. All legacy documents have been migrated to the EDMS as well.

But consider these questions:

1. Who will make decisions on classification and dissemination?
2. The Contract Management team is having a clear out after 'end of year'; they have 15 archive boxes of contracts that need retaining for several years. Who decides how and where these hard copy files should be actioned?
3. A staff member is leaving after 30 years service and sends 4 archive boxes of personal notes, files and plans for permanent archiving. To whom does he send it?
4. Who actions Freedom of Information requests in your organisation?
5. Who actions legal discovery requests from solicitors in your organisation?
6. If you don't have records staff, where did all that intellectual property go?

I could go on further. Who will provide context to information received? Who will provide security and access controls or undertake compliance auditing and where will training come from? Do you get the point? Some managers aren't, and they're happily paying consultants premium fees to do the same thing.

Records Management may not be as sexy as other information management disciplines, however I believe that I have shown that it is essential. All the disciplines are required, if all the benefits of the information evolution are to be achieved, and if we are more collaborative than we have been in the past, even with Archivists and Librarians who are making new strides with oral and imaging technology.

Surely this can only mean, improved services, reduced costs, more transparent government and business, happier customers and staff who have faith that all the information is available in one place to enable them to make knowledge based decisions.

For any more information on the issues discussed in this article please don't hesitate to contact the Records Management Association of Australasia at admin@rmaa.com.au.

The Author

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WE'RE NOT ALL STUMBLING TOWARD THE STANDARD

The 'Create & Maintain' Impact of ISO 15489

By Michael Steemson, ARMA

Many New Zealand Government agencies received their own copies of ISO 15489 because of some fast foot work by Archives New Zealand in a deal with the International Standards Organisation for a licence to distribute the work freely to public sector agencies with its recordkeeping programme. With some parts of the world stumbling toward uptake of the standard and others embracing it, what has been its impact on Kiwi information management?

Much has been written about ISO 15489. Some observers have criticised it for being too high-level. Some believe it applies only to electronic records; others that it's just for paper. Too many still don't know of its existence.

Since its launch at the 2001 ARMA International Convention in the Palais des Congrès de Montréal, Canada, before an impressive group of august world experts, usage of ISO 15489 has been studied and worried over. International survey results have been troubling but not surprising. They reflect, to the letter, what we all know still to be the case:

Recordkeeping is regarded too lowly in many places that should know better. But it's not all bad news. Authorities like the British Standard's Institution, the US National Archives and Records Administration (NARA) and the European Commission's planned Model Requirements for the Management of Electronic Records, known as "MoReq2" - the '2' to differentiate it from its Y2K version - all hold ISO15489 as the basis of their processes.

'That phrase 'create and maintain' comes straight out of ISO 15489'

Embedded in Kiwi law

New Zealand has gone further. It has created legislation based on it - the Public Records Act, 2005 - which, although it makes no mention of it by name, lifts out one of the standard's fundamental phrases, 'create and maintain'. The Act uses the phrase to underpin its most important section, Section 17: Requirement to create and maintain records.

It's a very short section, only three paragraphs long, but it begins with the fundamental instruction: 'Every public office and local authority must create and maintain full and accurate records of its affairs …'. Note the use of the word 'must'.

This is not 'guidance', or just 'best practice'. This is mandatory, and it's the really BIG difference between it and the old Archives Act of 1957. It's prescriptive. It brooks no argument.

Government agencies in New Zealand are beginning to realise its import, and that's why New Zealand recordkeepers at least are finally receiving something like the attention they richly deserve.

It's the first piece of national, central government legislation anywhere in the world, that I've come across, that follows ISO 15489 so precisely. Its Archives New Zealand authors, lead by the institution's Government Recordkeeping Group Manager, Greg Goulding, made the connection.

Now the Government Recordkeeping Group is driving the point firmly home, dubbing its latest recordkeeping guideline the "Standard on the Creation and Maintenance of Full and Accurate Records". An exposure draft of the work is on-line at the hugely cumbersome URL, www.archives.govt.nz/continuum/documents/Create%20and%20Maintain%20Exposure%20Draft.pdf. It's worth studying.

That phrase, 'create and maintain', comes straight out of ISO15489. The international work uses the term 20 times in that or the directly synonymous form, 'create and keep'.

It uses wider variants like 'created, captured and managed', 'creation and management', 'created and captured', and others, taking such incontrovertible directives to more than 30.

One Word in every Hundred

The word 'create' and its variants like 'creation', 'creator' and 'creating' occur 80 times in the standard. 'Maintain' and its variants appear almost as frequently… almost one word in every hundred of its 25,000 or so words. It uses the word 'management' hardly more frequently.

The ISO standard opens with the phrase on Page 1 in Section 1, Scope. 'This part of ISO 15489 applies to the management of records, in all formats or media, created or received by any public or private organisation in the conduct of its activities, or any individual with a duty to create and maintain records'.

Two pages later, in Section 3, Terms and Definitions, is describes: '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'.

In Section 8, Design and Implementation of a Records System, it takes a different approach: 'Identification of requirements for records: The requirements can be derived from an analysis of the organisation's regulatory environment and the risk of not creating and maintaining the records'.

And so on.

The words 'create' and 'maintain' are crucial to ISO15489 and the Public Records Act. Without them, both would be emasculated. So, now New Zealand recordkeepers are getting the 'Create and Maintain Standard' to bring them into the game.

The Right Approach?

Is this the right approach? Undoubtedly, though to read some of the usage surveys carried out on ISO15489, records managers might be excused for questioning that judgement. Researchers in the US and Britain have both wondered at the lack of up-take and understanding of the standard's value by record staffs.

The US study, by the University of Maryland's Centre for

WE'RE NOT ALL STUMBLING TOWARD THE STANDARD: Continued from page 29

Information Policy, found very low interest and understanding of the standard. The study, lead by the then Director, Lee S. Strickland, found that just under three quarters of the offices surveyed didn't know if their electronic records management systems complied with the requirements of ISO 15489.

That's not altogether surprising, as the standard has never been formally adopted by United States legislation or regulation, despite the fact that ARMA International and NARA were leading contributors to its creation.

Professor Strickland's team reported, in a document available on the NARA website: 'Most office employees are not aware of ISO 15489 but did inquire about the standard, or requested that the research team send them more information'. The Maryland team was grasping at positive straws.

Almost as dismaying were the findings of a similar survey carried out around the same time by the North-east England Northumbria University's School of Computing, Engineering and Information Sciences in Newcastle-upon-Tyne.

That survey was lead by Professor Julie McLeod, Professor of Records Management, School of Computing, Engineering and Information Sciences, (a past contributor to IQ). In its final report, available at http://northumbria.ac.uk/static/5007/isorep, the survey group declared:

'ISO 15489 usage limited. Whilst records professionals have used ISO 15489 in a variety of ways, the results suggest that, to date, its impact in the UK on organisations, senior management and other staff, has been limited. Reasons for this include the lack of recognition of records management, the dominance of other priorities, such as Freedom of Information legislation, and the nature of the standard itself.'

Some U.K. respondents had protested that the standard was too high-level, too expensive and lacking sufficient compliance specification, amongst other disappointments. Other respondents disputed such negativity, but the overall feeling was down-beat.

However, the indisputable fact about the surveys is that they were both completed as New Zealand was, in effect, enshrining the standard in its Public Records Act and just as Archive New Zealand began distributing its licensed copies of the standard to government agencies as root and branch guidance for compliance. The Antipodeans were far ahead of the game … again!

Those UK and US recordkeeping practitioners and their managers may have been ambivalent about the standard but, right across the world, the professional records and information authorities and associations were not in any doubt about it. It was just what they wanted and they were bedding it into their processes.

Greg Goulding, Archives New Zealand's Government Recordkeeping Group General Manager, who is leading the latest Kiwi recordkeeping standards initiative

In the six years since its publication, ISO's 15,489th work of standard setting has swept the world. Written originally in English, Europe's international business language nowadays, it has been translated into German, French, Dutch, Icelandic, Swedish, Spanish, Latvian, Estonian, Lithuanian, Russian and, by Renmin University linguists in Beijing, into Mandarin Chinese, making it one of ISO's most successful publications since the 9000 series of quality codes in the 1990's

A Literary Note

Create and Maintain. It's hardly a new idea. It's been around since the monks began writing down scriptures.

To strike a literary note, for a moment, the power of create and maintain is perfectly illustrated by the creation and maintenance work of two small-time actors of the 17th century, John Heminges and Henry Condell who created the First Folio of 'Mr William Shakespeare's Comedies, Histories and Tragedies', and maintained them for us and for millions of bored, bemused school children

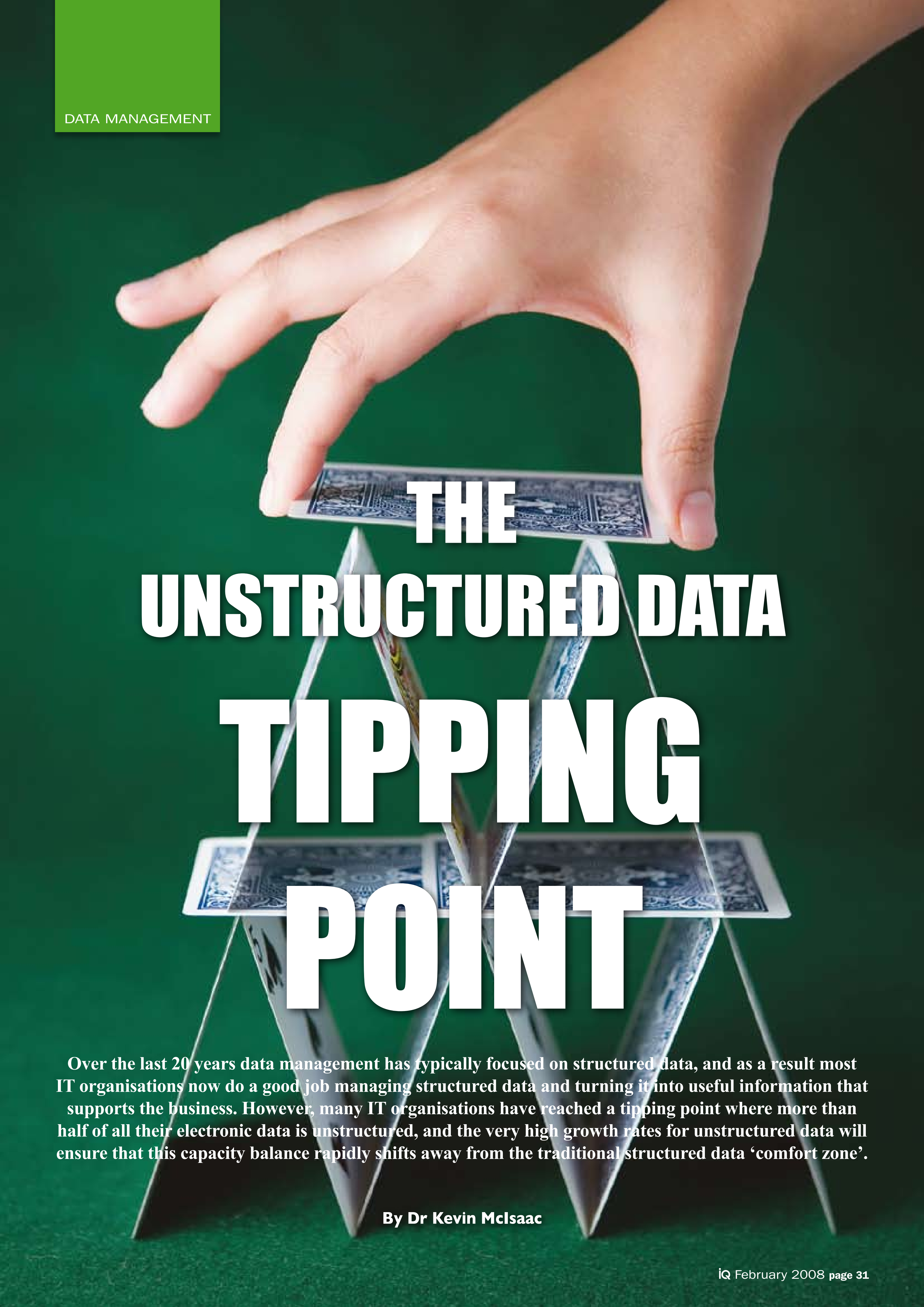
But for them, we would probably have never heard the Seven Ages of Man… 'All the world's a stage and all the men and women merely players'. Or the Prince of Denmark's sadness at the graveside of his childhood friend and mentor, his royal father's jester: "Alas, poor Yorick".

Even some of the few portraits we have of the Bard are suspect but, right or wrong, the face is one of the best known in English literature. That's the force of create and maintain.

Most recordkeepers have little prospect of equalling such longevity with their work, but to their organisation, their activities are just as foundational. The trick is to persuade their organisations of it. Now that would be worth standardising.

The Author

Mike Steemson, ARMA, is the principal of the Caldeson Consultancy in Wellington, New Zealand. A former President of the Records Management Society of Great Britain and an experienced journalist and conference speaker, he won of the inaugural Objective RMAA Article of the Year Award. Mike has become an international authority on ISO 15489.



THE UNSTRUCTURED DATA TIPPING POINT

Over the last 20 years data management has typically focused on structured data, and as a result most IT organisations now do a good job managing structured data and turning it into useful information that supports the business. However, many IT organisations have reached a tipping point where more than half of all their electronic data is unstructured, and the very high growth rates for unstructured data will ensure that this capacity balance rapidly shifts away from the traditional structured data 'comfort zone'.

By Dr Kevin McIsaac

To cope with this rapid transition to unstructured data, IT organisations must learn to manage unstructured data as successful as they currently manage structured data. To accomplish this, the IT organisation needs to work with the business to define a data management policy and then implement unstructured data management systems to enforce that policy.

Since email is usually the largest unstructured data repository, and often the de-facto records management system, starting with email is recommended.

Observations

Today, most new data is stored in electronic format making digital data management an important organisational competency. While most IT organisations do a good job of managing structured data, our recent IBRS-Computerworld data management survey indicates that the same can't be said for unstructured data .

Through the last decade, storage capacity growth rates were reasonably constant at around 30-35% per annum, however in recent years this has accelerated to over 60% per annum.

A major cause is the shift in the type of data managed by IT organisations from structured data - typically transactional information, eg, finance, manufacturing, HR etc - to unstructured data - typically business records eg, email, documents, audio and video.

These unstructured data types are often orders of magnitude larger than structured data and are poorly managed by traditional data management systems, ie, relational databases.

Data Management Concerns Highlighted by Survey

In conjunction with Computerworld, last October we at IBRS ran a Web survey across a broad range of issues in data management, covering 81 Australian and New Zealand organisations.

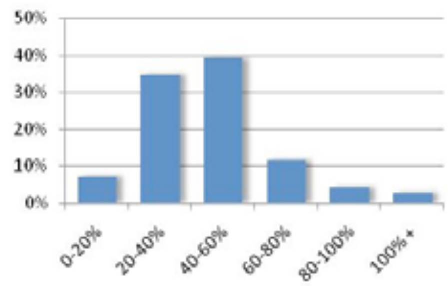
The survey highlighted several key data management concerns:

- 75% of respondents said they were concerned that their unstructured data was growing too rapidly, compared to only 21% who were concerned about the growth of their structured data.
- 63% said they did not have adequate systems to manage their unstructured data,
- Only 13% said they were concerned about the time taken to provision new storage.
- Only 7% said they were concerned they were spending too much on storage hardware or software.

These results support the view that in spite of the rapid data growth rates (i.e., 60%+) experienced by most organisations, the aggressive commoditisation of storage (both disk drives and storage arrays) has ensured that storage infrastructure costs have remain contained.

Furthermore, the IT organisations' extensive experience in managing structured data has ensured that this class of data has remained under control. However, it appears the rapid shift in the ratio of structured to unstructured data has left most IT organisation ill prepared to cope with unstructured data.

Email Growth in Next 12 Months



Data Management Policy

An important best practice in data management is to have business managers own the data, making them responsible for using that data to generate business value. In this model the IT organisation is the steward of the data, managing it on the behalf of the business based on policies defined by them.

In our survey, only 14% of respondents said their organisation had a clear, formal data management policy, leaving most IT managers without a mandate to manage this important corporate asset.

While 58% of respondents said they had classified some or most of their data, the survey report highlighted these gaps:

- Only 29% had assigned business owners for the data.
- Only 17% said the business had defined the value of their key data.
- Less than 7% said they created metadata or taxonomies to classify data.

To get the most out of their data assets, and ensure that the IT organisation can manage data in the best interest of the entire business, organisation must invest more in data classification and formal data management policy.

Information Life Cycle Management

In recent years vendors have heavily marketed the idea of "Information Life Cycle Management" (ILM) as a solution to many of the problems caused by the rapid growth of data.

The goal is to automate the management of the data lifecycle to optimise storage hardware usage and minimise storage management costs while ensuring that the data service levels - ie, performance, availability and recoverability - are met.

Based on our survey, the use of ILM has gained little traction in A/NZ, with:

- 78% not using ILM at all.
- 11% only using basic ILM - ie, using multiple tiers of storage with data statically provisioned to meet performance and availability requirements.
- 5% using optimised ILM - ie, using multiple tiers of storage with data statically provisioned to optimise cost versus data service levels.
- 5% using dynamic ILM - ie, using multiple tiers of storage with data actively migrated between tiers to optimise cost versus data service levels.

There are several reasons why ILM has not been broadly adopted. Firstly, as the earlier statistics show, storage costs and provisioning times are not a major pain points and so there is little urgency to implement ILM.

Secondly, ILM requires formal data management policies that give the IT organisation a clear authority to manage the data to optimise storage. Finally, data must be categorised before it can be matched to the right class of storage.

The Email Data Management Challenge

The use of email has grown rapidly, and in many organisations it is the largest unstructured data repository and often the de-facto records management system.

Even though email is often a mission critical system, in our survey 60% of respondents said managing email was one of their top data management problems. Furthermore, despite all the vendor and media hype about compliance, only 2% of organisations surveyed had implemented an e-discovery or compliance solution!

The common solution for containing email storage growth (45%) is the use of mailbox quotas - ie, set a limit on how much email each user can keep. However, in most cases this merely shifts the problem elsewhere, as users simply copy their email to their local disks or network drives.

While an enterprise email archival system can be a powerful solution for both management and compliance, only 19 % of organisations had successfully implemented email archiving, with another 10% trying and failing!

The anecdotal evidence from our clients is that implementing email archival is a high priority, but the success of these projects varies greatly depending on which vendor's software is implemented and the experience of the project team.

While getting e-mail data management under control is an urgent IT project, we recommend proceeding with great caution, especially in validating the success of the vendor's archival solution in other organisation and its ability to meet your organisation's needs.

Next Steps

Examine your storage capacities and growth rates and determine when your organisation will reach the tipping point. As the balance of storage capacity shifts to unstructured data, invest in:

- Systems for managing the unique characteristics of unstructured data that enable IT to effectively manage this data and ensure the business can generate value from this information.
- A data management policy that provides the IT organisation with a clear mandate to manage corporate data in the best interest of the enterprise.
- An email archival solution to effectively manage email growth, enforce data lifecycle policies and enable e-discovery. iQ

The Author

Dr Kevin McIsaac has over 20 years of IT experience and is a recognised expert on infrastructure, operations, vendor management and the art of running IT as a business. For the last 5 years he has worked for META Group, most recently as Research Director Asia/Pacific, researching, distilling and disseminating best practices in IT. In that role he advised the CIOs and the IT management teams of leading Asia/Pacific organisations.

Prior to joining META Group, Dr McIsaac held leadership positions at Computer Associates and Functional Software.

Dr McIsaac is a highly sought after speaker who is regularly quoted in the global press.

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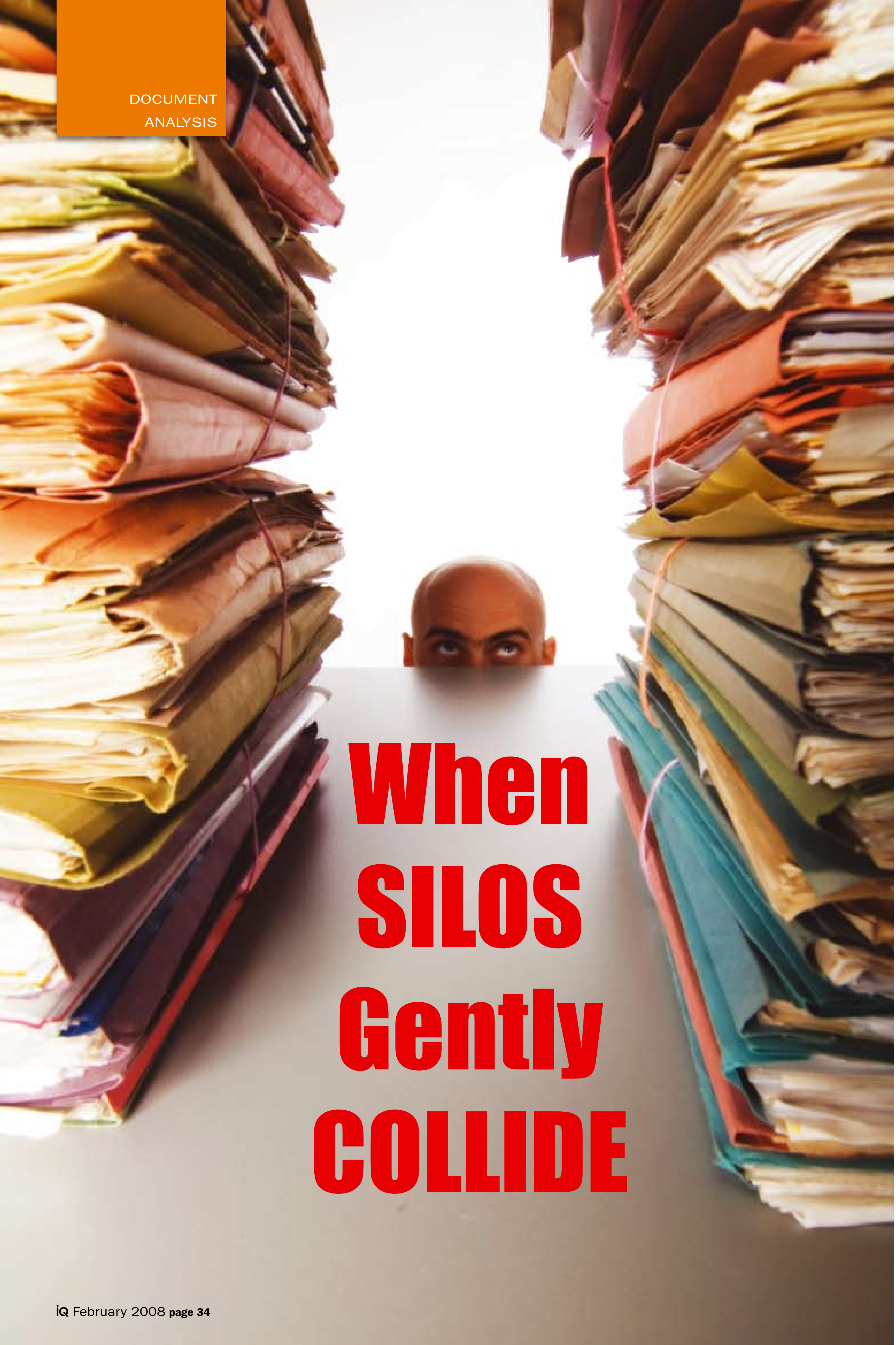


When SILOS Gently COLLIDE

What happens when Information Management and Organisation Development bump into each other? Will Sentiment Analysis of documents change the way organisations do business? Could records management hold the key to continuous organisation improvement and sustainability?

By Kenneth Tombs

In looking back over the last twenty years it's reasonable to say that everyone associated with records management understood the importance of document management as it evolved from paper through microfilm to the digital.

Over the years, we've been rising to the challenge of thinking differently about our information and how documents contain it. Sometimes acceptance was easily won, or more often it took consensus building to make progress where harder facts couldn't guide us. Our use of documents has evolved all-be-it slowly until the last decade caught up with us, since when we've been running hard to stand still intellectually.

During the last millennium, paper documents superseded oral testimony in petitioning the king to right a wrong or gain some favour. Even in AD 1100 England, the king's time was too precious for speaking face-to-face with his subjects and courtiers! The result was, if you couldn't read or write then you were stuck, so we all learnt to write eventually!

Come the 1970s, when gradual improvements to getting words down on paper had brought us the electric typewriter. Then came the golf-ball typewriter, then typewriters with memory , daisy-wheel printers which empowered word processing, after which the rest is history!

Today the critical role of documents, electronic and paper, in our legal and administrative processes as far as Europe is concerned anyway, is almost taken for granted. Those spurious arguments about legal admissibility and evidential value that solicitors mischievously presented have settled back to the sorts of arguments that lawyers made anyway to help win their case.

With this broad acceptance of non-physical documents, professionals became aware of the significance of electronic documents, while a few of our leaders got caught out because they didn't adapt and learn from what was going on around them. Enron was the obvious one not so long ago, while we had the 'Cash for the Contras' with Colonel Oliver North electronic communication debacle happening over ten years ago.

This raised the game for the electronic document as a way of reliably proving an organisation's leaders were acting, or not, above-the-board; compliance with acceptable norms of behaviour was possible to demonstrate by accessing what they wrote, or deleted! For some reason, sociologically, things electronic were considered more transparent than things paper.

These are the first observations of writing being closely linked to behaviour and mindset emerged, though we never thought about it like that at the time. Mostly we now accept that documents contain a record of human intent and action. At a conscious level we can understand what a manager intended by re-reading their words in an email or a document.

Yet documents represent not just factual content. There are often myriads of hidden meanings, ideas and allusions within them that give away, often unconsciously, the writer's state of mind toward what they type in.

For example, an email to a supplier's project manager may be seemingly bland and professional, yet, between the lines, we can see that the writer is seething with anger over how that supplier has behaved.

The syntax and word grouping in a document, its brevity or layout, even the application it's written in, can bring insight to the state of mind of the writer. While this is simplistic today, we have begun to understand the rules and codes that represent how communicate intellectually. The next steps for EDRM are on their way!

Much research through the years has shown that we leak emotion into what and how we write and speak. This is what makes the difference between a lifeless novel and those seething with innuendo and hidden meaning that sell by the box load.

Yet for most of us in the commercial world, any hidden emotional meaning has little value, and anyway it's all too difficult and time consuming to be worried by such things.

So, like character is to an individual and culture to an organisation; content is to the rational and sentiment to the emotional. We no longer have a single dimension in our documents. We have two, and both are as equally as important to our businesses long term, though it may not seem so.

WHEN SILOS GENTLY COLLIDE: Continued from page 35

While content describes our actions and thoughts as individuals, documents in the collective describe how we work together at an emotional level. So what? You may well ask. For most purposes the emotional levels of our documents might as well remain hidden from view. All that matters to us as individuals is reading something to decide for ourselves what the writer's hidden meanings and motivations are.

Yet, in the collective, documents, and especially those in structured storage, could give insight to a CEO in understanding the culture of their business. Here the content or intent becomes irrelevant and what we look for are 'managerial emails being written in an aggressive tone'. Or, 'Is customer correspondence too acquiescent?' Or, 'Are our customer proposals always phrased as positively as they should be?'

When we find this, we can initiate some intervention to put it right or make it as we wish, yet the actual content is not significant to this process.

This emotional connection with our documents becomes a critical success factor for rebuilding lacklustre businesses or delivering value in the public sector.

Sentiment Analysis on their news feeds. Can asking 'Why?' help us to understand the importance of this aspect of information management?

Simply, there is so much editorial and reporting material around today that it's impossible for an editor to read it all, with the risk that something important gets missed in the noise of it all.

Enter Sentiment Analysis, where for example, we can see that the general view of journalists' articles towards a topic had been positive or ambivalent in tone. Suddenly one item stands out as being strongly negative towards that topic. Immediately the editor can read this and decide that either it's from a journalist with known bias towards the topic, or more importantly it's some fast emerging piece of press not to be missed.

In a High Court case in London last year, some of these emotional tools were used to see how fast we could make sense of a complex case, compared with some of London's best. The result was a 10:1 reduction in time taken to formulate the case's outline story compared to the traditional methods of barristers, counsel and note books.

Yet, in these examples, advanced technologies merely

'This emotional connection with our documents becomes a critical success factor for rebuilding lacklustre businesses or delivering value in the public sector'

helped identify needles in the proverbial haystack. The characteristics of the documents and their context aided us in finding out what was significant far faster than by having to read everything first! We got pointers for where to look in the index of documents and what to look for before reading them manually.

The year before that, Sentiment Analysis and Emergent Mapping were used to show statistically that the UK Government's policy programme for improving major projects, OGCGateway™, was indeed ahead of the game.

The downside was that the scoring system used by Gateway reviewers could give spurious valuations. In organisation development terms, outstanding success was being masked by erroneous assumptions about scoring projects.

None of this would have been possible to investigate without considering the emotional representations in their library of documents.

The most important aspects of these two examples are that in the court case we used emotionally hidden characteristics to find important content, while in the Gateway review we used hidden emotional characteristics to make statistical comparisons with. In neither example were we ultimately interested in the worded contents of documents themselves.

Historically, the attitudes and culture of our business leaders created the processes and effective practices in their workplace. Today, with a plethora of political initiatives, more confident staff, nasty legal issues, general batches of do's and don'ts, and the rapid turn over of executives along the way, leaders are now often slaves to their company's culture and not the master.

From an organisation development and improvement point of view, the collective emotional representations in our documents could become a major source of understanding for how their business and the people in it are truly behaving. From bullying and fraud, to weakness, and lack of skill, all are represented in our documents, whatever the actual content.

This begs the question, how long have we got before yet another layer of intrusion seeps into my working life? For most purposes, the analytical tools being embedded into our office systems are years away and can be thought of like a spelling or grammar checker.

Sentiment Analysis at Work

However, some applications are already in place and being used with good effect, such as news services Bloomberg and Reuters who already have, or soon will have, implemented

Why Collision of Silos Can be a Good Thing

Importantly, another aspect of document management is emerging - when the Information Management silo bumps up with the Organisation Development silo! No longer to be separates, the record management profession could be holding the keys to continuous organisation improvement and sustainability.

Can this possibly be true? If we carry on with the Sentiment Analysis example as one of many such techniques, then at a business executive level monitoring the sentiments expressed by project managers could forewarn executives without having to read those boring reports and circulars.

They can watch for when the key players in the project team change their views or attitudes about how things are going - when positive emails start to become negative.

In assuming that the coming decade will make such techniques commercially viable for all businesses, with Microsoft and others are working on it, there could be a tremendous benefit to organisation improvement and effectiveness.

We would no doubt see a dramatic improvement in using characteristics in, and of, documents to help find them. As far as using what is in an EDRM system to guide learning and development, I'm not aware of any attempts to blend Organisation Development with the emotional representations of documents.

So, while this is an interesting though somewhat philosophical extrapolation of what the future might bring, how long before this becomes as common place in our thinking as electronic documents have - ten years, twenty, maybe?

Australian Companies at the Leading Edge

Probably not that long. Two Australian companies in the Organisation Development space have realised the potential for this and have tentatively begun to consider the possibilities.

The first business to get interested in using document characteristics for OD purposes was Mettle, a specialist leadership and organisation culture, based in Victoria. For them the idea of being able to look inside businesses itself should mean a more effective outcome for the customer. As an organisation they were very successful - so successful that another Australian company, Chandler Macleod, bought them!

Mettle is relatively small and focussed, while Chandler Macleod is substantial and far reaching in their services. Regardless, it didn't take Chandlers long to appreciate what might be possible if this sort of approach could be made to work. In fact, we have the perfect combination of leadership and culture skills plus the consulting services necessary to combine with a technology provider and make this work.

What is surprising is that several innovative Australian businesses have interests in exploiting the potential from this sort of emotional technology - looking inside documents without reading them. Maybe Australians are more aware of their emotional side than the rest of the world gives them credit for.

No doubt there will be a lot more written about this in the years to come.

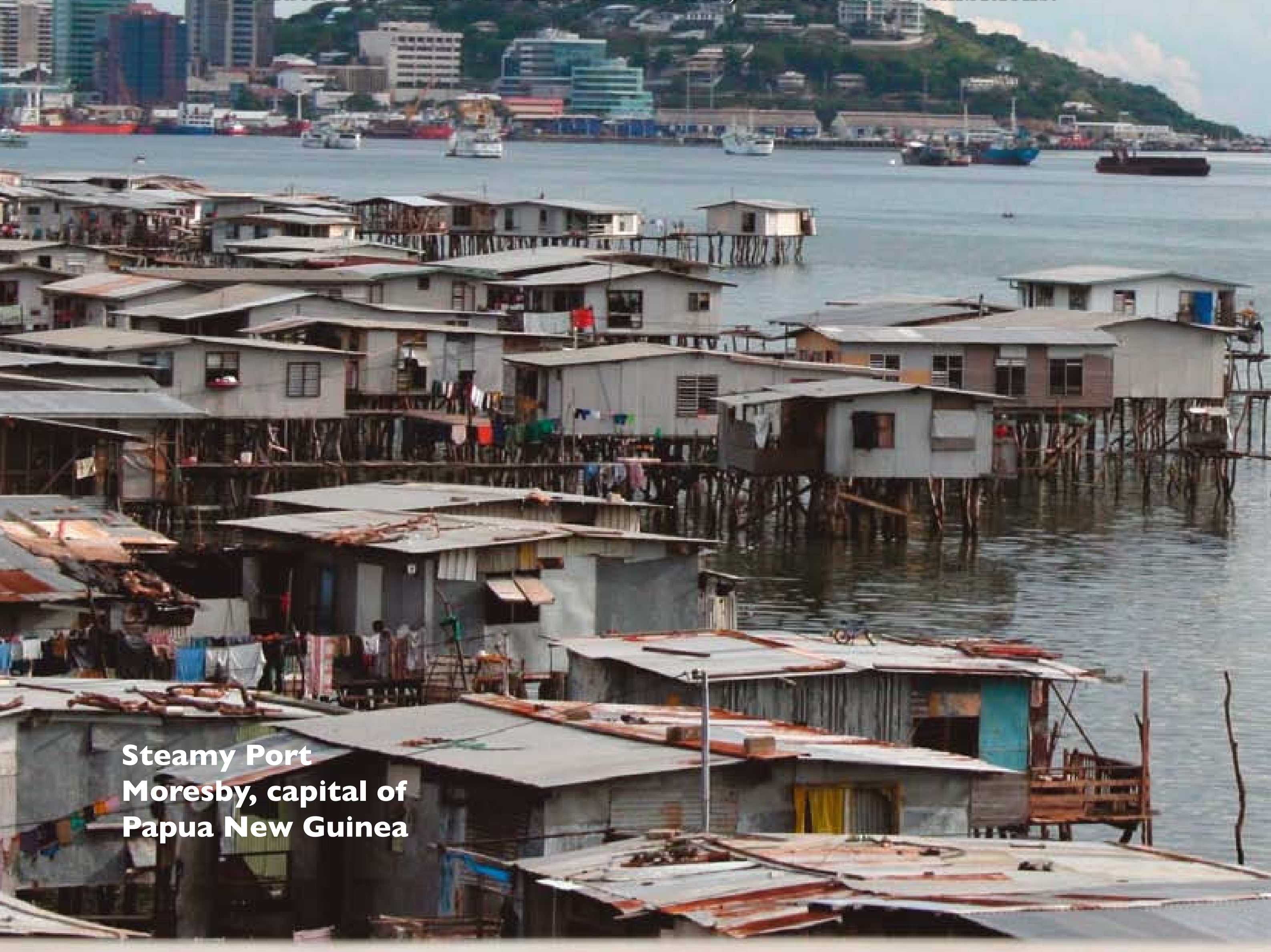
The Author

Kenneth Tombs is Director, Public Sector (UK), for Mettle UK a subsidiary of Chandler Macleod. His interests are in the emotional analysis of documents, having been involved in a number of high profile UK and American initiatives on digital preservation and improving government. He lives near Saint Ló in Lower Normandy, France, and can be contacted at ktombs@mettle.biz

PACIFIC RIM:
Papua New Guinea's New
Records & Archives Management Association

By Jason Korni

A little over a year ago, with the support of the RMAA, Papua New Guinea's records & archives community formed an industry association. Here, the Association's founding President tells of PNG RAMA's creation, and its future ambitions.



Steamy Port Moresby, capital of Papua New Guinea

The desire to create a records management professional association in Papua New Guinea (PNG) was considered during three consecutive records and archives workshops held in Port Moresby in 2006. After gauging the views of fifty attendees, nominees were elected to set up an Association and coordinate issues relating to records and archives in Papua New Guinea.

The RAMA Executive consists of President, Vice President, Treasurer, Secretary and 3 advisors. The work before us at creation was immense; it included seeking funds, advertising in the newspaper for one month (as required by law) and other administrative duties. However we were thrilled to secure funds and to advertise the Records & Archives Management Association's objectives before we received the Certificate of Incorporation in early 2007.

As a Special Interest Group of the Records Management Association of Australasia, PNG RAMA sought alliances with, and support from, the RMAA CEO, Kate Walker, for establishment and office infrastructure. The RMAA Board subsequently approved $2,500 (PGK 5,966.00) which RAMA invested in a laptop and flash drive for operational use . The remaining balance was used to establish the Association bank account for collection of membership fees and other donor monies to fund RAMA operations to achieve its objectives.

We are enthusiastic about the potential membership in PNG, where business remains heavily paper-based and resources to manage recordkeeping operations are limited. Records management training and education at university level and from private training organisations in PNG is growing in response to demand. We estimate potential members to be as many as 1000, and anticipate fast registration once our brochure is printed and sent to organisations.

We are seeking a Patron for RAMA, who will be responsible for supporting us to accomplish our objectives. For this purpose we are targeting positions of high governance and accountability such as the Governor-General and the Director-General of National Archives PNG.

Another task we are planning is a major launch for RAMA in 2008, funding permitting. This event we hope will be attended by RMAA representatives from Australia, New Zealand and other Pacific island nations. This will be a wonderful opportunity to show RMAA members the face of Port Moresby, one that is not publicised in the newspapers, along with our national cultural institutions, and engage with our cultural heritage. We will keep you posted on the launch.

We are currently operating from the President Jason Korni's office and home, and may consider establishing an office for RAMA in future.

RAMA supports the National Archives of PNG and has dedicated its objectives to the realisation of National Archives objectives. RAMA has received Director-General Jacob Hevalawa's full backing, for which we are most grateful.

In August 2007, we were informed of the RMAA Convention in New Zealand and were offered free conference registration from RMAA. At that stage, RAMA did not have the funds for a delegate to attend the conference. However through the assistance of RMAA member Helen Onopko, sponsorship was sought through the RMAA ListServ for a delegate to travel to the convention.

Together with organisational help from Michael Steemson, we were able to procure funding from individual and corporate donations from New Zealand and Australia to finally make it possible for the RAMA President to attend the convention. Our sincere thanks to the donors whom we later met at the Convention.

We want to thank especially Helen Onopko for her tremendous effort in bringing RAMA representation to the New Zealand Convention, RMAA CEO Kate Walker and the RMAA Board for providing registration and Michael Steemson for

PACIFIC RIM: PAPUA NEW GUINEA'S NEW RECORDS & ARCHIVES MANAGEMENT ASSOCIATION: Continued from page 39

organisation the 'Dollar Request' through the ListServ, meeting me at the airport and arranging a meeting with the RMAA Board. Thanks, Mike. Hope to meet you again in Sydney for the 2008 convention.

It was my first trip to New Zealand. I arrived at Wellington Airport and was greeted by Convention Convenor Michael Steemson, Helen Onopko, of the RMAA's South Australian branch, and Suzanne Pickert, of Records & Archive Services - mentors and organisers of my trip, and the Acting PNG High Commissioner to New Zealand, Mr Andrew Tumbu, and his wife Linda.

I was booked into the Central City Apartment Hotel for my visit. It was close to the Convention Centre and I had no difficulty finding my way from there, although I got lost on the first day of the Convention. I lost my way back to the hotel four times before I was assisted by my colleague, Josepha Baibuni. Josepha, RAMA's Treasurer, is Records Manager at the National Fisheries Authority (NFA), Port Moresby. The NFA sponsored Josepha's attendance at the Convention. It was very comforting to have a compatriot from PNG with me.

Back home in Port Moresby, PNG, it is very hot, being so close to the equator - 34 to 35 degrees Celcius, in which heat you cannot stand for too long. For the first time in my life – since I have never before left PNG – I experienced cold weather - 15 degrees and colder! - and Helen thankfully had brought me warm clothing.

Though there were many speakers, I chose to attend selected topics which relate to my country. I enjoyed all the papers, but the two I liked the most were Professor Nakata's paper, 'Towards guidelines, standards and protocols for Indigenous digital collections in the Public Domain', and the paper from Hinureina Mangan - Kaihautū/Director Te Wānanga o Raukawa – 'The Special Challenges and Value of Records as taonga to the mana and credo of Māori.'

Both papers related to how indigenous records were kept and how they find ways to preserve for the future generation so they know their past and predict the future. This is particularly relevant to Papua New Guinea, where the oral tradition is our archive across our many hundreds of clans and languages.

I also had the privilege of being given 15-20 minutes to present to the RMAA Board. My paper was based on building stronger recordkeeping infrastructures in PNG to preserve records for future use. Questions were raised from Board Members concerning the amendment of certain laws to allow RAMA to work with the office of the National Archives.

The feedback was very positive, and one Board Member suggested that a proposal be put together and submitted to AusAID for a pilot project to build an Archive repository. This project will be one task upon which RAMA can focus in 2008.

I was also invited by RMAA 2008 Convention Convenor and National Board Member, Mr Christopher Colwell, to present a paper at next year's Convention. I will now take up that challenge and accept to represent PNG RAMA by compiling a proposal and submitting it to the RMAA Convention Organising Committee.

Papua New Guinea is a developing country and is still adapting to many administrative and economic pressures. I wish to inform RMAA members about the status of records and archives in Papua New Guinea so that people from different countries will learn more about our struggle and how we are trying our best to adapt and adopt with the best practices regarding proper recordkeeping and archiving.

If you would like to join RAMA, or to donate to RAMA, please contact our Australian mentor Helen Onopko at, helen.onopko@internode.on.net, or you can contact me direct, at, Jason Korni jkorni@mrdc.com.pg

Article author and PNG RAMA's President, **Jason Korni**, and RAMA's Treasurer, **Josepha Baibuna**, experiencing their first ever overseas convention dinner, at the RMAA's International Convention at Wellington, last September

The Author

Jason Korni, pictured above, attended school in Port Moresby, Papua New Guinea, and won a scholarship to attend a two-year Business Studies Certificate in Technical Training. He has worked in several companies' administrations including the South Pacific Brewery, Steamships Merchandise and Origin Energy before being accepted into a Diploma in Business Studies.

In 2004, Jason joined Mineral Resources Development Company Limited - a state owned company assigned to invest traditional landowners royalties and equity in viable investments. Here, he coordinates the company's records and archives.

Jason is married to Susan and they have a daughter Delilah who is 2. He will be a speaker at the Sydney 2008 RMAA International Convention.

RECORDKEEPING'S

The Top Ten Professional Journals Read by Recordkeeping Practitioners in Australasia

By Dr Roberta Cowan and Dr Margaret Pember, FRMA

This paper presents the findings of the 'Professional Reading Habits of Australasian Recordkeeping Practitioners' survey conducted in 2007. The research analysed demographic details, practice areas, professional affiliations, levels of formal education in recordkeeping and the respondents' assessment of the professional value of a number of recordkeeping publications . The survey provided data to enable the identification of the top ten journals read by recordkeeping practitioners in Australasia, along with other data reflective of the profession in 2007.

We have previously argued that, to be recognised as professional, recordkeepers, as part of their professional development, must keep abreast of research done in the discipline area (Pember & Cowan, 2007). Research outcomes can then be incorporated as appropriate into professional practice.

Research is not restricted to academics alone; much practical research is carried out by practitioners. Regardless of research method, publication in the relevant professional journals is the recognised vehicle for the communication of research output. In order to further an academic research career, an individual's research output is assessed against research quality.

Research quality is measured according to the journal title in which the research appears. It may come as no surprise that the ranking of recordkeeping journals for research quality has been ignored by the recordkeeping profession. Since no previous assessment of the recordkeeping journals had been done, the survey was undertaken to provide data about the profession's perception of the professional journals currently available to them.

For the survey, the term recordkeeping practitioner was used to describe a person who, for the major component of their job description, was involved in any aspect of recordkeeping, from mail clerk to records indexer to archivist to knowledge manager.

The survey, which was entirely voluntary, was circulated to the three major Listservs for recordkeeping practitioners in Australasia: The Records Management Association of Australasia (RMAA), the Australian Society of Archivists (ASA), and Archives and Records Association of New Zealand (ARANZ). By default the premier serial publication of each professional body was included in the list of journals for assessment, even though at the time of the survey two were not classed as academic/scholarly and one was not refereed.

Responses to the survey far exceeded expectations with one hundred responses being received in the first 24 hours. Anonymous data from the survey were aggregated and compared in various ways. The overall results of the research are discussed below.

Methodology

The online survey tool, SurveyMonkey , was used to gather data from respondents. The main section of the survey dealt with the professional reading habits of recordkeeping practitioners in Australasia through an assessment of the journals they read.

In keeping with the development of a ranking of journal quality, which could fulfil the Australian Research Quality Framework (RQF) requirements (Evaluation Panel 11), an A-D ranking system (see below) was developed for refereed journals. Respondents were asked to apply this ranking to each of the journals listed. The RQF is important to academic researchers because it is linked to the distribution of research funds by the Commonwealth Government.

Thirty-eight English language "refereed" journals relative to recordkeeping practice were identified for critique by respondents. The list of journals was developed largely from Ulrich's Periodicals Directory and information on individual journal websites (e.g. RMAA's *Informaa Quarterly*, which at the time of the survey was not listed on Ulrich's as academic/scholarly and refereed).

Purely "trade" magazines, as distinct from academic or scholarly journals, were not listed by name in the survey as articles in these publications are not refereed. However, respondents were able to list any other professional publications that were read, such as these, in a specific question in the survey (question 45).

The ranking system provided to the survey respondents was:

A: This journal disseminates useful information about the latest theoretical aspects of recordkeeping research - it is a key research journal.

B: This journal disseminates useful aspects about the practical aspects of information management practice - it reports on practical research.

C: This journal provides broader professional reading beyond your current area of employment in recordkeeping.

D: You have not had the opportunity to access this journal in the last five years.

As well as the questions about professional reading, respondents were asked demographic questions and questions about their own professional writing, and finally there was a section on what they would like to see in a 'Utopian' recordkeeping publication.

Respondents were asked to indicate any questions they did not wish to answer. The tables produced by the collection and analysis survey tool (SurveyMonkey) does not include the missing responses in any percentage calculation, but the number of missing responses is noted for each question (see the tables). The number of respondents who indicated that they did not wish to answer a question was included in the percentages for each question. The results of the various sections of the survey are discussed below.

Respondent Location

Survey respondents were asked to indicate their geographic location and all respondents answered this question. It was interesting to note that the largest response, almost one quarter, came from Western Australia. This was followed closely by New Zealand at 21%. It was disappointing that there was no response at all from Tasmania. For full details of the geographic distribution of survey respondents see Table 1.

		Response Percent	Response Total
Western Australia		24.7%	40
New Zealand		21%	34
New South Wales		16%	26
Australian Capital Territory		11.7%	19
Victoria		11.7%	19
Queensland		8%	13
South Australia		4.9%	8
Northern Territory		1.2%	2
Tasmania		0%	0
Do not wish to answer		0.6%	1
		Total Respondents	**162**
		Missing Responses	0

Table 1: Geographic distribution of survey respondents

Professional Affiliation

Respondents were asked to identify the professional associations with which they were personally affiliated (as distinct from corporate membership). Over half (55.7%) were personal members of the RMAA, and approximately one third (32.9%) were personal members of the ASA. The third largest membership affiliation was with ARANZ.

Over 20% of respondents were also members of other professional bodies that had not been nominated in the survey, such as the Australian Computer Society, the Australian Institute of Project Management, Museums Australia, ARMA International, the American Society of Archivists, the Canadian Society of Archivists, and the UK Records Management Society.

It is interesting to note that 17 respondents (12.1%) did not give any details of professional affiliation. Can one assume that these respondents do not have personal membership of any professional association? For greater detail of survey respondents' professional affiliation see Table 2.

		Response Percent	Response Total
RMAA		55.7%	83
ASA		32.9%	49
ARANZ		15.4%	23
ALIA		9.4%	13
IIM		8.7%	8
Other		21.5%	32
Do not wish to answer		2.7%	4
		Total Respondents	**149**
		Missing Responses	13

Table 2: Professional affiliation of survey respondents

The vast majority of respondents with affiliation (70%) belonged to a single professional association. Twenty-two percent of respondents belonged to two professional associations and eight percent to three professional associations. The most common dual affiliation combination was RMAA/ASA, followed by RMAA/ARANZ.

Educational Qualifications of Respondents

Survey respondents were asked to indicate their highest level of information management qualification. Almost all respondents indicated some level of formal qualification in information management. Overall, 56.5% had a qualification in information management at the university level. Over one-third of respondents (41.6%) indicated that they had completed a postgraduate degree.

Those indicating a qualification other than those listed in the survey were either undertaking postgraduate study at the time of the survey; or TAFE qualifications below diploma level. See Table 3 for full details of the respondent's levels of formal educational qualifications in information management.

		Response Percent	Response Total
Postgraduate degree		41.6%	67
Undergraduate degree		14.9%	24
Diploma (TAFE)		13%	21
Other		3.7%	6
Do not wish to answer		2.5%	4
		Total Respondents	**161**
		Missing Responses	1

Table 3: Highest level of information management qualification of survey respondents

One of the criteria listed in Pember & Cowan (2007: 33) for professionalism is 'a professional education at university level'. A cross tabulation of professional affiliation and educational qualification indicated that, within the confines of this survey, membership of university-trained respondents in all of the professional bodies is approaching or greater than fifty percent.

Age of Respondents

Ages were bracketed in 10-year cohorts. Almost half (48.8%) of the

RECORDKEEPING'S TOP TEN: Continued from page 43

survey respondents were over 45 years old. Almost one-third (30.6%) were in the 35-45 year-old bracket, and less than one-quarter (20.7%) were less than 35 years old. See Table 4 for details of age brackets of survey respondents.

		Response Percent	Response Total
Over 45		48.8%	78
35 to 45		30.6%	49
25 to 35		18.8%	30
Under 25		1.9%	3
Do not wish to answer		0%	0
		Total Respondents	**160**
		Missing Responses	2

Table 4: Age cohorts of survey respondents

Although mid-career and older practitioners were well represented, the survey did not attract much response from younger recordkeeping practitioners. Is this because the tool used, i.e., an online survey, is not a preferred communication tool of the younger cohort? If this is so, how should the profession engage with the under 30s?

Area of Professional Practice

Survey respondents were asked, in a multiple-choice question, to indicate the professional areas in which they practised. Only about 30% of respondents worked in a single area of recordkeeping: archives 14.4%; current recordkeeping 9.4%; information management 4.4%; document management 1.3%; knowledge management 0.6%; and manuscripts 0.6%.

Of those respondents working in multiple areas, almost three quarters (71.9%) indicated that they worked in current records management and almost two thirds in archives (65.6%). In fact, two of the 160 respondents to the question worked in all areas except manuscripts. The "other area" responses included those working in policy and standards development, in an advisory role, and as educators.

For greater details of the discipline areas in which respondents practice see Table 5.

		Response Percent	Response Total
Records		71.9%	115
Archives		65.6%	105
Information management		56.2%	90
Document management		48.1%	77
Knowledge management		19.4%	31
Manuscripts		6.2	10
Geographic information (including maps)		2.5%	4
Other		3.8%	6
Do not wish to answer		0%	0
		Total Respondents	**160**
		Missing	2

Table 5: Areas of professional practice of survey respondents

Journal Format Preferences

About three quarters (77.2%) of the respondents answered the question about choice of journal format. Over half (54.4%) of those responding noted that they still preferred a hardcopy journal format. Over a quarter (28.8%) indicated that they had no preference; and only 16.8% preferred electronic access.

Quite a significant number (37) did not respond to this question. Can one assume they have no preference about journal format or that they do not read professional publications? For details of the respondents preferences on journal format see Table 6.

		Response Percent	Response Total
Hardcopy		54.4%	68
No preference		28.8%	36
Electronic		16.8%	21
Do not wish to answer		0%	0
		Total Respondents	**125**
		Missing Responses	37

Table 6: Journal format preference of survey respondents

'Older readers prefer hardcopy'—that is the dogma—but a cross tabulation of the responses to the question on 'hardcopy vs electronic format' with age, shows that all respondents over 25 preferred hardcopy over electronic format (see Figure 1). It is true that the preference appears to become stronger in the over 45s, but we cannot be sure of the actual figures for the 25-45s because of the substantial number of respondents in the 25-35 and 35-45 cohort who did not answer this question (Figure 1, NA).

This finding supports anecdotal evidence that readers prefer the portability and the freedom to read any time, any place (Fellowship in Record Keeping FIRK, November meeting 2007). Indeed, some felt that a disconnection from the digital world was necessary for enhanced comprehension. This is supported by the professional educational literature (e.g. Plotzner & Lowe, 2004).

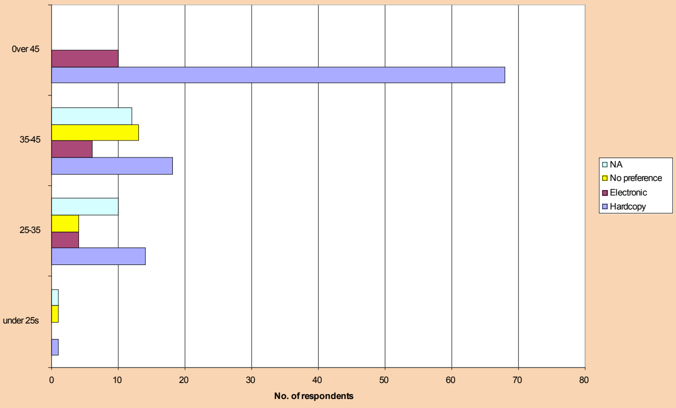


Figure 1: Journal format preference vs age cohort of survey respondents

Professional Reading of Respondents and Assessment of Journals

In this section of the survey respondents were presented with a list of journal titles followed by their ISSN. The journals included publications with a broad focus on archives, records management, and knowledge management, etc.

Each journal was classed as academic/scholarly by Ulrichs (other than *Informaa Quarterly* and Archifacts). Each journal was refereed (other than Archifacts), and each journal has the majority of its text in English. Respondents were asked to 'classify' individual journals according to personal perception of its research value using the rankings (A-C) described earlier.

The majority of the journals are not Australasian as there is a dearth of such publications. Consequently it was expected that respondents may never have seen some of the journals listed. Respondents were asked to rank any journals that fell into this category separately (D).

It was expected that many journals would be so obscure that they would not be read at all by Australasian recordkeeping professionals. Surprisingly, 38 of the 39 titles (97.4%) listed were read by at least one recordkeeping professional in Australasia.

Top Ten Recordkeeping Journals

The ten most widely read recordkeeping journals in Australasia were identified from the choices made by respondents in the survey. In order to rank the journals for this analysis the number of respondents who rated each journal (A-D) were analysed as a percentage of the number of respondents who answered the question regarding that particular journal. The majority of the thirty nine journals in the survey had a very small readership, mostly between 3% and 10% of respondents.

The most widely read journal by far was *Informaa Quarterly* (84.1%), the RMAA publication. This was followed by Archives and Manuscripts (52.1%), the ASA publication. Archivaria headed the list of non-Australasian publications with a readership of 35.8% of the survey respondents. It is interesting to note that, although read by only 28.9% of respondents, Archifacts (ARANZ), still made the list of top ten publications. For a complete listing of the TOP TEN journals see Table 7.

Respondents were also asked to nominate any publication other than the 39 listed (i.e. non-refereed/non-scholarly), that they found professionally useful. Over three quarters of the respondents did not answer this question (75.9%). Are we to assume that these respondents do not find any other publication professionally useful? IDM Image & Data Manager was rated as the most useful "other" publication read by respondents (41%). No "other" publication was rated at more than 5% by respondents.

Who is Reading and Who is Not?

It will come as no surprise that the primary readers of *Informaa Quarterly*, Archives & Manuscripts and Archifacts are the respective memberships of each professional association. 82% of respondent RMAA members read IQ; 78% of respondent ASA members read A&M; and 74% of respondent ARANZ members read Archifacts. (See Figure 2).

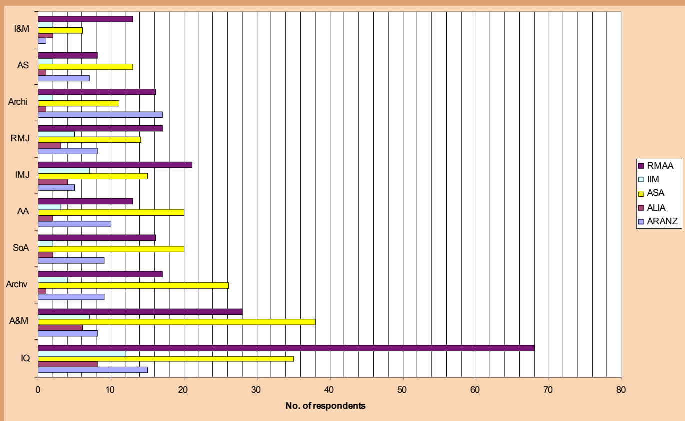


Figure 2: Top ten journals read vs professional affiliation

> **The most widely read journal by far was *Informaa Quarterly***

		Response Percent	Response Total
Informaa Quarterly (IQ)		84.1%	106
Archives & Manuscripts (A&M)		52.1%	63
Archivaria (Archv)		35.8%	42
Society of Archivists Journal (SoA)		33.9%	39
American Archivist (AA)		31.9%	38
Information Management Journal (IMJ)		30.7%	35
Records Management Journal (RMJ)		30.7%	35
Archifacts (Archi)		28.9%	35
Archival Science (AS)		18.4%	22
Information & Management (I&M)		17.9%	21

Table 7: The top ten journals read by recordkeeping practitioners in Australasia

The majority of respondents with RMAA affiliation do not read widely outside their own professional journal. Those respondents with ASA affiliation tended to read Australian journals on archives, records management and libraries. ARANZ affiliates tended to read much more internationally (not just the Australian journals) and widely (both records and archives).

Quality Rating of the Three Professional Association Recordkeeping Journals in Australasia: *Informaa Quarterly*, Archives & Manuscripts and Archifacts

Rating of journal titles by the profession is the initial stage of producing an index of journal research quality. In this paper, discussion is limited to an assessment of the three Australasian recordkeeping association journals: *Informaa Quarterly*, Archives & Manuscripts and Archifacts.

The survey respondents were asked to assess the journal titles (based on content), in terms of the theoretical aspects of recordkeeping research (A), practical aspects of the research (B) and broader professional reading (C) against not reading the journal in the last five years (D). One hundred and sixty respondents (98.8%) attempted the journal rating section of the survey, although the overall "missing response" for each individual title was about 25%.

Survey respondents rated Archives & Manuscripts (A&M) as the major Australasian journal for the latest theoretical aspects of recordkeeping research (see Figure 3, A class), but it must be noted

RECORDKEEPING'S TOP TEN: Continued from page 45

that a significant number of respondents either did not read this journal or answer the question about the journal.

Informaa Quarterly (IQ) was rated as the major journal for the dissemination of the practical aspects of information management (see Figure 3, B class). All three of the Australasian journals were classed by some respondents as part of their broader professional reading, rather than as a vehicle for theoretical or practical research dissemination (see Figure 3, C class). A significant number of respondents also noted that they did not have access to these journals over the past five years (see Figure 3, D class). The number of survey respondents who did not answer the question is also noted in Figure 3 (see NA).

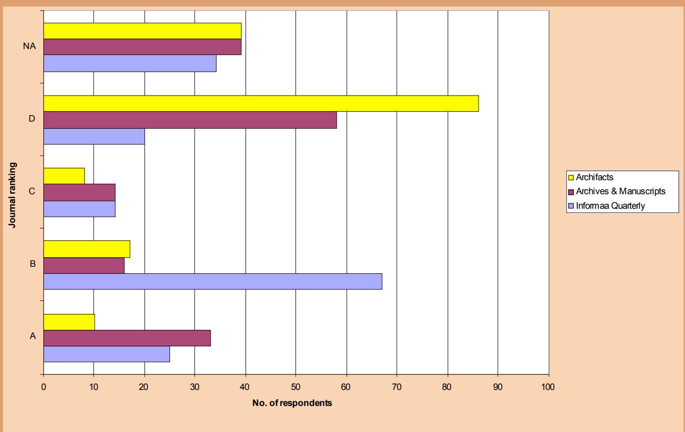


Figure 3: Analysis of rating of Australasian recordkeeping society publications

Readership and Qualifications of Respondents

Despite the survey finding that A&M is the major vehicle for the dissemination of the latest theoretical research and that *IQ* is the major vehicle for the dissemination of practical aspects of information management, *IQ* has a surprisingly high tertiary-qualified readership (65%). Until mid-2007 (after this survey was conducted), *IQ* was classed as a trade magazine; the publication is now classed as academic/scholarly in Ulrich's. This analysis shows that the RMAA has a strong base for a successful scholarly journal and a magazine.

For full details of tertiary and non-tertiary qualified respondents reading each of the Australasian journals see Figure 4 (R ~ read; NR ~ do not read; NA ~ did not respond).

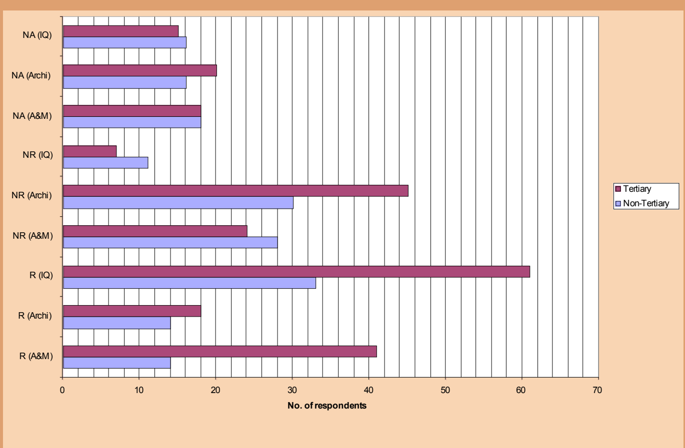


Figure 4: Analysis of readers of Australasian society journals vs qualification

What Respondents Really Want in Professional Journals

This section of the survey provided respondents with the opportunity to tell the researchers about their ideal professional publication by answering questions such as: Do the journals you have access to meet your professional needs?; How could they be improved?; and What else would you like to see in the journals?

Twenty-five percent of survey respondents answered this question. Some respondents were satisfied with the journal content. Positive comments ranged from 'I am happy with what I read.' to 'I think the journals I read cover a variety of subjects and topics and are very educational. It also keeps you abreast of current technology.'

Negative comments focused largely on the readability of journal content with comments such as: 'Most professional publications are a dull read. I read them because I need to but I do not enjoy them.'; or ''Journals' implies old and boring! Would like to see … a variety of formats, like colourful eZines, online journals, as well as the more traditional journals and magazines.'; or 'Most are too wordy and time-consuming and not practical for the every day, hands on…We do not have time to sit down and read topics over our heads'. As one respondent noted: 'Writing styles need to be lively to maintain reader interest'.

The cost of journal subscription is always an issue, particularly for those practitioners without access to an academic library, as indicated by the following response. 'Access to many is expensive, and difficult—many libraries do not have copies or e-access.'

Most respondents identified the need for a broad mix of article content that includes both theoretical and practical aspects of the recordkeeping industry, in a single publication. Comments ranged from: 'I like … latest archival and recordkeeping theories, case studies, both international and local, professional issues, and reviews.'; to '[A] mix of academic research, case histories, book reviews, active "letters to the editor" discussion on hot topics.'.

There was a very strong focus on the need for practical and honest case studies (22% of respondents identified such a need): 'Case studies could do with being a lot more honest, warts and all exposés rather than soft soaping of the problems.'.

The high percentage of tertiary qualified respondents reading *Informaa Quarterly* and some comments (many of which came from tertiary-qualified respondents) regarding the writing style common to academic journals indicate that some readers find the language of research articles somewhat turgid. Does research writing need to be hard going in order to transmit information to the recordkeeping profession?

Professional Writing and Publication

Responses to this section of the survey indicate that Australasia has a strong base of professionals who write and publish about recordkeeping. Almost one quarter (23.4%) of survey respondents indicated that they wrote papers about recordkeeping topics or issues for publication. These practitioners wrote largely for academic and scholarly journals (75.9%), although a significant number (55.2%) also wrote for trade publications. Only one respondent indicated publication in the newspaper or popular magazine category.

From the responses it is clear that the professionals responding to the survey do not usually limit their publication activities to one specific area of recordkeeping. The majority of respondents wrote and published papers about contemporary records management (72.4%). Over half (55.2%) have published papers on archival topics, and almost half (48.3%) on information management.

A significant number of respondents published papers about their research (17.2%) and 20.7% noted that they published papers about other topics and issues such as recordkeeping systems, recordkeeping policy, internet security, metadata, preservation, and archival history.

Thus, the breadth of papers written and published by survey respondents is quite broad. For a listing of the broad topics respondents write about see Table 8.

		Response Percent	Response Total
Contemporary records management		72.4%	21
Archives		55.2%	16
Information management		48.3	14
Research		17.2%	5
Knowledge management		10.3%	3
Manuscript management		6.9%	2
Other		20.7%	6
		Total Respondents	**29**
		Missing Responses	N/A

Table 8: Publication discipline areas of survey respondents

Conclusion

This survey of Australasian recordkeepers has provided some interesting insights into the profession in 2007. The largest group of survey respondents were members of the RMAA (55.7%). Single affiliation was the most common membership mode (70%), but membership of two professional bodies was relatively common (22%). The dual pattern was usually membership of the RMAA and the ASA.

> **‘Informaa Quarterly (*IQ*) was rated as the major journal for the dissemination of the practical aspects of information management’**

Well over half of the respondents (55.5%) had a formal qualification in information management at the university level. Almost half of the survey respondents (48.8%) were over 45. Seventy percent of respondents worked in multiple areas of the recordkeeping industry. Almost one quarter of the respondents write about recordkeeping topics or issues for publication, and three quarters of these write for refereed publications.

There were many surprising results from the section of the survey on the reading and rating of the recordkeeping journals, not the least of which is that only one title was not read by at least one of the 162 survey respondents.

Recordkeeping is often thought to be a narrow field, but as one respondent commented ‘I personally was not aware of the large volumes of journals that were available.’. The top ten journals included the three Australasian recordkeeping association journals, with *Informaa Quarterly* being the most widely read journal (84.1% of respondents). Archives & Manuscripts is read by over half the survey respondents (52.1%) and Archifacts by over a quarter (28.9%).

Archives & Manuscripts is considered the vehicle for disseminating the theoretical aspects of recordkeeping and *Informaa Quarterly* for disseminating the practical aspect of information management. The response about preferred journal format was also a surprise as even the younger recordkeeping professional prefers hardcopy over electronic.

Although most respondents (75.9%) did not offer an opinion on their ‘utopian recordkeeping publication’, it is clear that respondents prefer a mix of content across the recordkeeping continuum. In addition they want a mix of theory and practice as well as information on the latest issues in recordkeeping.

If the survey is any indicator of the state of the recordkeeping profession in Australasia in 2007 we can only say that the profession looks very healthy and the future looks bright indeed! iQ

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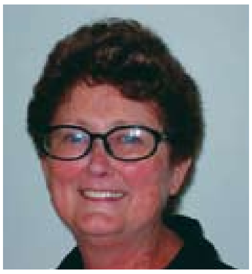

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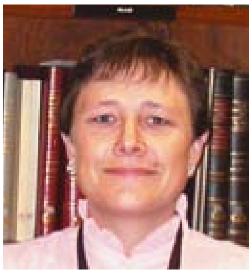

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Information Seeking Behaviour of Electronic Document and Records Management Systems (EDRMS) Users: Implications for Records Management Practices. Part 2

By Pauline Singh, ARMA, Professor Jane E Klobas and Professor Karen Anderson

In the first article in this series, in the November 2007 issue of *IQ,* the authors described how they approached their study on whether the way RM professionals manage records in accordance with the ISO 15489 standard is consistent with the information seeking behaviour (ISB) of EDRMS users. Here, they continue their report by discussing their methodology.

Having established the basic tenets of our study, we will continue by describing the research method used and the way we conducted our data analysis, commencing with the study's Sample.

Sample

In total, we studied four different organisations, using three different types of EDRMS between them, and 40 users to identify the ISB of EDRMS users. The research required participation by EDRMS users. Hence, we decided to target participants at middle management levels.

This group of EDRMS users are professionals in their respective fields, and these middle managers rarely have a personal or administrative assistant assigned to them to seek information on their behalf, whilst senior management may have such a resource. This group of people are assigned tasks to prepare reports and provide ground level advice to management, and thus are target EDRMS users.

Selection Criteria for Participating Organisations

We applied the following criteria when selecting the organisations sampled for participation in the research.

- The organisation had an established records management program with the pillar RM best practices stated in ISO 15489 implemented. This refers to a RM program where there are: recordkeeping policies and procedures in place; some form of classification exists, such as a taxonomy, thesaurus, or classification scheme to classify the organisation's corporate records; and a retention and disposal schedule that authorizes the disposal of records in accordance with legislation affecting the organisation.

- At least one qualified or experienced records management staff member is appointed to manage the records management section.
- The organisation had an EDRMS. The EDRMS must be managing electronic records with integration to the MS Office suite of applications or similar (e.g. MS Word, Excel, PowerPoint, Email Management, or equivalents like McIntosh or Lotus). It does not matter if the organisation is running a parallel system managing paper and electronic records.

Initial Contact with Selected Organisations

We made initial contact with each of the RM professionals either by telephone or by email, to introduce them to the researchers and the research, and to find out if the organisation met the criteria to be included in the research.

Once the organisation consented to participate in the research, we initiated a formal process for organising the interview sessions. An email was sent to the RM professionals requesting that they identify key EDRMS users in their organisation, across various departments within the organisation, so that a cross section of staff from different professional backgrounds are identified for the study.

When the RM professional completed the interview schedule, we reviewed the position description of the EDRMS users identified in order to ensure that a cross-section of staff from different professions and business units were selected for participation.

Research Tools Used to Collect the Data.

Identifying RM Practices – Case Study with RM Professionals

Using the pillar RM best practices stated in Table 1, we developed structured interview questions addressing how each of the pillar principles were being practiced in the organisation.

We held interview sessions with the RM professionals in each of the four organisations to find out how they have implemented the pillar records management principles in their organisations. Before the interview sessions, we requested all four RM professionals to either email or make available to us whilst onsite all documentation on RM their organisation had developed or referenced for its RM regime.

This documentation included Retention and Disposition Schedules (RDS), classification schemes, thesauri, policies, procedures, guidelines, and training information about the EDRMS. Screen dumps of the EDRMS record registration and search screens were also requested to be made available onsite or via email.

Most of the requested information was received via email in advance of the scheduled interview session with the RM professionals, and this greatly assisted with preparing for the interview sessions with each of them. The screen dumps of the EDRMS provided an understanding of how the EDRMS was configured for the organisation and provided an overview of the type of metadata being captured in the EDRMS.

On the first day onsite, the RM professional provided a demonstration of the EDRMS to us. The demos usually lasted 30 minutes. This was then followed by a one-hour interview scheduled with the RM professional. With the permission of the RM professionals, we recorded the interview sessions using a MP3 player.

Identifying the ISB of EDRMS Users – Short Questionnaire, Interview Sessions, and Protocol Analysis with Participants

We asked participants to complete a short questionnaire, stating their name, the department they worked for, job title, bullet descriptions of their job functions, and what other information sources they used.

We followed this with an interview session with the participant using semi-structured interview questions. Lastly, we used the “Think Aloud” Protocol Analysis research method (Ericsson & Simon 1993) where we asked participants to think aloud and show us how they conducted their most recently executed simple search, followed by how they conducted their most recent difficult search using the EDRMS.

We visited each of the four organisations and gathered data on their premises. The interview sessions and the subsequent protocol analysis were conducted in the office of the participant in order to have access to the EDRMS from their office computers.

It was possible to identify the ISB of EDRMS users using the above methodology. By using the “Think Aloud” Protocol Analysis approach, it was possible to obtain an insight into users’ information seeking thought processes as they conducted the different types of searches. From an understanding of their ISBs, it was then possible to describe this behaviour.

With the permission of the participants, we taped the interview sessions and later transcribed them. Notes were also taken during the course of the interviews and the protocol analysis observations.

Data Analysis

ISB of EDRMS Users

To identify the ISB characteristics of the EDRMS users, we used both the data gathered from the individual interview sessions with each participant and the protocol analysis for the difficult and simple searches.

An initial ISB pattern was plotted using the data from the interview with each participant. Then, for the same participant, we plotted the ISB pattern from the protocol analysis for the simple search and a separate ISB pattern for the difficult search. A comparison was made of the three different ISB patterns for each participant, looking for similarities and differences. We performed these steps for all 40 participants; hence, in total we developed 120 ISB pattern flow charts from the interview and protocol analysis data.

The ISB pattern from the interview data provided a representation of the participant’s ISB characteristics, identifying all the different ISB characteristics the participant would engage with when seeking information in the EDRMS.

We found that the data from the protocol analysis reflected the ISBs described by the users in their interview sessions; the protocol analysis demonstrated a subset of the behaviours

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described in the interviews. The data from the protocol analysis was limited to the user's most recent simple or difficult search experience.

This in turn skewed the ISB of users' to the specific information the users were seeking when they conducted their last simple or difficult search. For example, if the simple search was to look for a document with a specific "Record Number" and the record number was known at the time, then a metadata search was conducted.

Hence, we decided to use the ISB patterns plotted using the interview data to develop the individual information seeking behaviour (IISB) for each user, and then we aggregated these IISBs to form the aggregated ISB pattern for each organisation.

We then aggregated the four ISB patterns plotted for each organisation, to derive a single final aggregated model of the ISB of EDRMS users as presented in Figure 2.

RM Practices

We used the pillar RM principles and practices from ISO 15489 as presented in Table 1, and developed interview questions for the RM professionals to find out what RM practices they used to manage records in the EDRMS.

We then developed a matrix, and compared all the eight pillar RM principles and practices stated in ISO 15489 to the practices used to manage records in the EDRMS as they were presented in the interview sessions with the RM professionals.

Table 4 presents a condensed version of the matrix, using the first of the eight pillar RM principles, RM policies, as an example. The second column lists the type of questions that were developed to address how the RM policies have been implemented in the organisations. The next four columns present the responses from each of the four organisations.

This method was continued in order to find to out how the

Table 4. The practices used to manage records in the EDRMS in compliance with RM principles

What are the pillar RM principles & practices stated in ISO15489?	Interview Questions for Records Managers	Organisations			
		Org. A	Org. B	Org. C	Org. D
Records Management policies are written to outline the aim and objectives of the records management principles and practices that need to be adopted in the organisation. It sets the rules on how records need to be managed and specifies the roles and responsibilities of staff in the organisation. Most importantly, it states that records need to be captured into the corporate information repository, which is the EDRMS.	1. Is there an IM/RM policy in the organisation?	Yes	Yes	Yes	Yes
	2. What is the IM/RM policy of the organisation?	All organisations had RM policies, which were made available.			
	3. Is it endorsed and supported by senior management?	Yes	Yes	Yes	Yes
	4. Does the policy state that the EDRMS is the corporate information repository for the organisation?	Yes	Yes	Yes	Yes
	5. How is the policy implemented in the organisation?	Training	Training	Training	Training
	6. How do you perceive the usage of the EDRMS in the organisation?	Good	Good, as indicated by the Audits.	Moderate. Improving	Good

Table 5. Extract from matrix for coding ISB and RM practices

Practices used to manage records by the four organisations.	Information Seeking Behaviour Characteristics				
	Stage 1: Starting Search	Stage 2: Formulate Search Strategy			
		Metadata Search using Boolean Logic	Navigating Tree Structure of Classification Scheme	Both Metadata & Navigation	Retrieve Search from Shortcuts
Records Management policies are written to outline that the EDRMS is the corporate information repository. Policies also outline roles and responsibilities for RM.	✓	-	-	-	-

Figure 2. Information Seeking Behaviour (ISB) processes model of EDRMS users

1 Start Search

a EDRMS users search the system for the following reasons: 1) they have a task to do & require info fr the EDRMS to complete the task, 2) need to action a task by responding to action items via the EDRM workflow, or 3) they require information in the EDRMS as reference materials or to recollect what was communicated or performed previously on the same or similar subject matter. Hence, when STARTING a search, there is an AWARENESS of what EDRMS users are searching for. They are aware of at least 1 or more metadata associated with the search. Users made their decision on what search strategy to employ based on whether they AUTHORED or FILED the item, or KNOW WHERE the item is stored in the EDRMS. If users AUTHORED, FILED or are AWARE where the items is filed they tend to NAVIGATE to the folder or item. Users also think if they have conducted the search previously and if they have SAVED these searches into their FAVORITES shorcuts. Or if the information can be accessed from their RECENT items folder.

2 Formulate Search Strategy

b EDRMS users can formulate more than one search strategy. EDRMS users exhibited 3 methods of formulating a search strategy: 1) If they have not conducted the search previously, they will use a **METADATA** search based on knowledge of what they are looking for, using the search engine. The decision on the choice of metadata fields to search by will vary depending on what information is being searched for & the level of **AWARENESS** user has of the information being searched for. Using the CONTENT SEARCH is last option used. If they have saved the search criteria before they will either 2) **RETRIEVE** the search from their SHORTCUT , or 3) **RECALL** where the document is filed & NAVIGATE/BROWSE thru the CLASSIFICATION SCHEMA.

3 Execute Search

c **EXECUTE** search based on search strategy.

4 Process & Evaluate Search Results

d Users review the search results by **BROWSING** the DOCUMENT TITLE\PARENT FOLDERS OF DOCUMENTS, DATE, DOCUMENT/FILE NUMBERS - to make their selection.

e Whilst **BROWSING** , users will **ASSESS** the search results based on search criteria in Step 2 to see if it resembles what they are searching for.

f If NO, then they will continue **BROWSING** thru the remaining results.

g If they have not found what they are searching for or if there are too many search results, users will decide to continue with their search using a **REFINED** search criteria. Users tend to **REFINE** their search by **FILTERING, SORTING** or changing the selection of metadata fields, and also by varying the search criteria terms used in the metadata fields. If NAVIGATION is used, they will decide to NAVIGATE using different keywords via the Classification Schema.

5 Access Search Results

h If there is a match, users will **LAUNCH** documents that match their search criteria. Depending on the design & functionality of the EDRMS, some users do step 6i before step 5h.

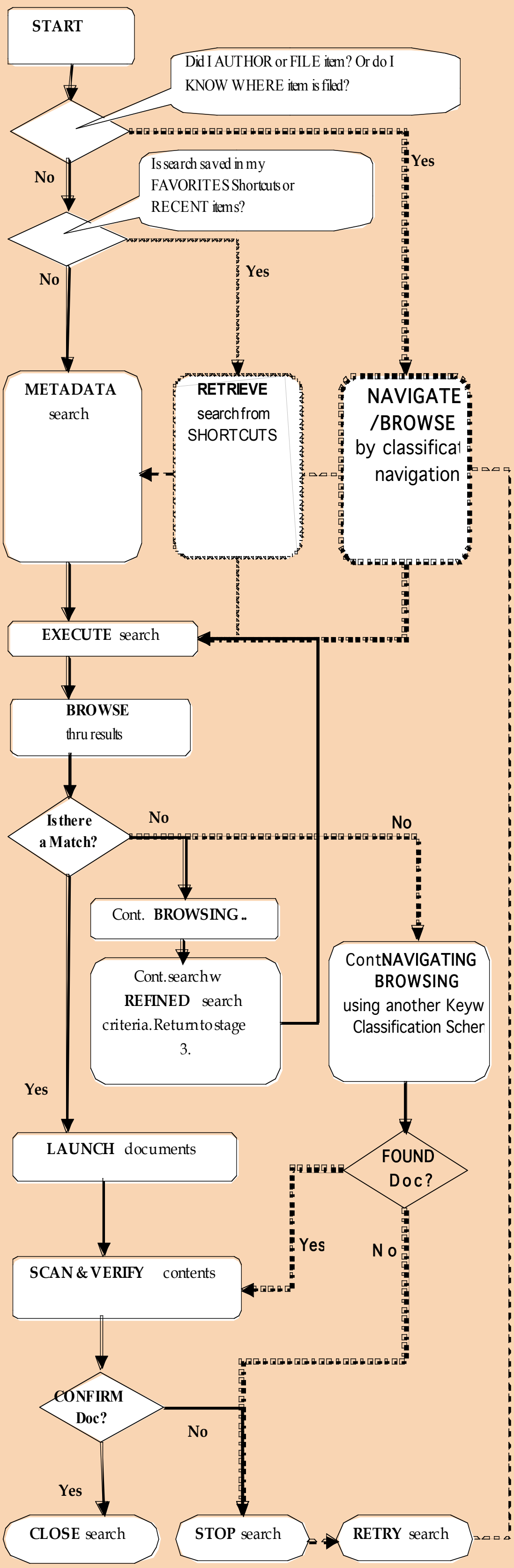
6 Decision Making about Search Results

i If users are able to **LAUNCH** open the doc they will **SCAN** through the LAUNCHED document & **VERIFY** its contents. A few users do step 5h before step 6i, as their EDRMS enables **SCANNING** of the doc via a Viewer at the bottom of the search results window.

j Actions of **LAUNCHING, SCANNING & VERIFYING** the document enables users to **CONFIRM** that have found the document they are searching for.

7 End Search

k If they have found the document this will **CLOSE** their search. Otherwise users will decide to **STOP** the search after spending 10 - 30 mins of searching. Nearly all users stated that the importance of the info being searched determines whether time affects their searching or not . Users will seek assistance from their colleagues, Records Section or the HelpDesk. If promising leads are obtained from these sources, users will return to the EDRMS and **RETRY** FORMULATING SEARCH STRATEGY again.



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remaining seven pillar RM principles were implemented and practiced in the organisations by the records managers.

Matching ISB with RM Practices

Having the answers to what the ISB of EDRMS users is and how records are managed in the EDRMSs, we then proceeded to answer the primary research question: are the ways in which corporate documents and records are managed in the EDRMS consistent with the ISB patterns of users?

We developed another matrix, see Table 5, listing the eight pillar RM principles stated in Table 1 in the vertical axis and the ISB characteristics in the horizontal axis. We ticked the columns where RM practices matched ISB characteristics.

Table 6. Explanation of the search methods available to users in the EDRMS

Search Methods	Explanation
1. Metadata Search using Boolean Logic	Searching using the search window in the EDRMS for terms in the metadata fields of the record by using Boolean logic operators like 'AND' or 'OR'. An example would be 'performance appraisals AND Joe Bloggs'. The words 'performance appraisal' would be part of the title metadata field and 'Joe Bloggs' the author metadata field of the record.
2. Navigating Tree Structure of Classification Scheme	Navigating or browsing the tree view folder structure of the classification scheme presented in the EDRMS.
3. Both Metadata & Navigation	A combination of the search methods 1 and 2 explained above.
4. Retrieve Search from Shortcuts.	Retrieving search from the shortcut functionality available in the EDRMS. These include; retrieving searches from the recently accessed or saved searches folders; or retrieving records stored in a favourites folder for quick access.
5. Metadata Search using terms in Classification Scheme	Refers to searching using terms in the classification scheme as metadata fields, under the classification metadata. Examples of first level terms in the classification scheme are; Personnel, Financial Management, Legal Services. Examples of the second level terms are: planning, reviewing, advice, compliance.
6. Using terms in the Thesaurus	Searching using terms in the classification scheme that are listed in the thesaurus. The thesaurus can be either uploaded into the thesaurus functionality in the EDRMS, or uploaded into software that integrates with the EDRMS. In either of these installations, it is possible to search for records classified against the terms in the thesaurus. If the thesaurus is not integrated to the EDRMS then, it will not be possible to perform the aforementioned search.
7. Sorting Search Results	Refers to the act of using the sorting functionality in the EDRMS to sort the search results presented after a search by preferred metadata fields such as; author, title, date, record number.
8. View Related Docs / Containers	When the search results are displayed it is possible to highlight a specific record and find out which records or containers (folders) are related to the record. This functionality enables users' to identify and browse related or similar records held in other containers, relevant to their search.
9. Refining Search using Boolean or by Varying Metadata	Conducting a refined search to the existing search using either Boolean logic terms like 'and' or 'or' to either expand or narrow the search results. Or refining the existing search by changing the search terms that are assigned as metadata for the record being searched.

Findings

The Information Seeking Behaviour (ISB) of EDRMS Users

EDRMS users performed a sequence of information seeking activities from the time they started a search to when they ended it. We grouped the activities into seven processes: starting the search; formulating search strategy; executing the search; processing and evaluating results; accessing results; decision making about search results; and finally ending the search.

Figure 2 presents the ISB model. It provides a process view of the activities users perform when seeking information in an EDRMS. The information seeking activities are grouped into seven sequential broad ISB processes. Comprehensive descriptions of each of the

ISB activities performed by users is stated in the flowchart in the sequences in which they occur.

In the following, we describe our observations of the ISB of EDRMS users in each stage of their information seeking process as outlined in Figure 2.

Stage 1: Start Search

When starting a search in the EDRMS, users had an awareness of:
- what information was being sought;
- whether the information was authored by the user conducting the search; and
- whether a search shortcut had been created by the user and could be retrieved for the current search.

Stage 2: Formulate Search Strategy

The users exhibited three methods of formulating a search strategy. In almost all cases, if they had not conducted the search previously, they would use a metadata search based on their knowledge of what they were looking for, using the search engine provided by the EDRMS.

The decision of which metadata fields to search by depended on a number of factors, which we discuss later in this paper. If the user had previously conducted the search, they might use a saved shortcut to retrieve the search or, if they remembered where the record was filed and the functionality was available to them, they might navigate or browse through folders using the classification scheme or tree structure that was implemented in the EDRMS.

Shortcuts included saved searches, recent edits, and items stored using the favorites functionality in the EDRMS. It was at this stage of the ISB that the IISS of the user came into play. The IISS reflected the user's preferred method for searching.

Thus, we observed users who preferred to navigate the folder tree structure to find records, seek records by searching via metadata fields in the search screen, or search using preferred metadata fields like document title, author or date.

Stage 3: Execute Search

This was the act of executing the search formulated in Stage 2 by hitting the enter button on the keyboard.

Stage 4: Process and Evaluate Search Results

At this stage, the users browsed through the search results and assessed the search results to ascertain if the information they sought had been found. They refined their search criteria either to reduce the number of search results to a manageable few or to better focus on finding the required records.

Common sub-activities were:
- Sorting search results to display information in a preferred order. Most frequently users sorted by date created, author, document title, or by chronological or alphabetical order.
- Filtering search results by using relevant metadata fields to refine the search results to a meaningful set to work with or to browse through. Users most often filtered by record type and date created.
- Navigating down the classification scheme folder structure using (where it was available) a hierarchical (tree) view to identify the sought records or information.

Stage 5: Access Search Results

Users accessed search results to confirm that they had found the record they were seeking. Their access could be limited by the security settings in the EDRMS. Launching open items that matched the search criteria.

Stage 6: Decision Making About Search Results

The users scanned the opened record to verify that the contents matched the search criteria and to confirm that it was the record being sought.

Stage 7: End Search

If the required record had been found, the search was closed. This could also be the case if the record could not be found. A search might be stopped when users did not find information quickly in the EDRMS but expected to find it from another source.

After having either stopped or closed the search, users would retry the search if there were promising leads from sources where the users sought help in order to improve the search strategy. They would retry the search by returning to the stage where the search strategy was formulated.

Other Factors Impacting the ISB of EDRMS Users

We hypothesized how the four factors training, IISS, task, and time would affect the ISB of EDRMS users, as presented in Figure 1. Our findings proved these hypotheses, but additionally revealed that training also influences IISS and task influences time.

The Affect of Training on ISB

Table 6 presents and explains each of the search methods that are available to users given the design of the EDRMS in the organisations studied.Figure 3 summarizes the relationship between the training provided and the search methods that were used by the study participants.

Figure 3. Search methods used in relation to training received

Figure 3 reflects an aggregation of what training was provided to users, and what search methods users stated in the interviews that they used. The x-axis lists all the different search methods available to users in the EDRMS. Each of these search methods are explained in Table 6.

We make the following observations from the findings presented in Figure 3. The organisations provided training on

INFORMATION SEEKING BEHAVIOUR OF ELECTRONIC DOCUMENT AND RECORD MANAGEMENT SYSTEMS:
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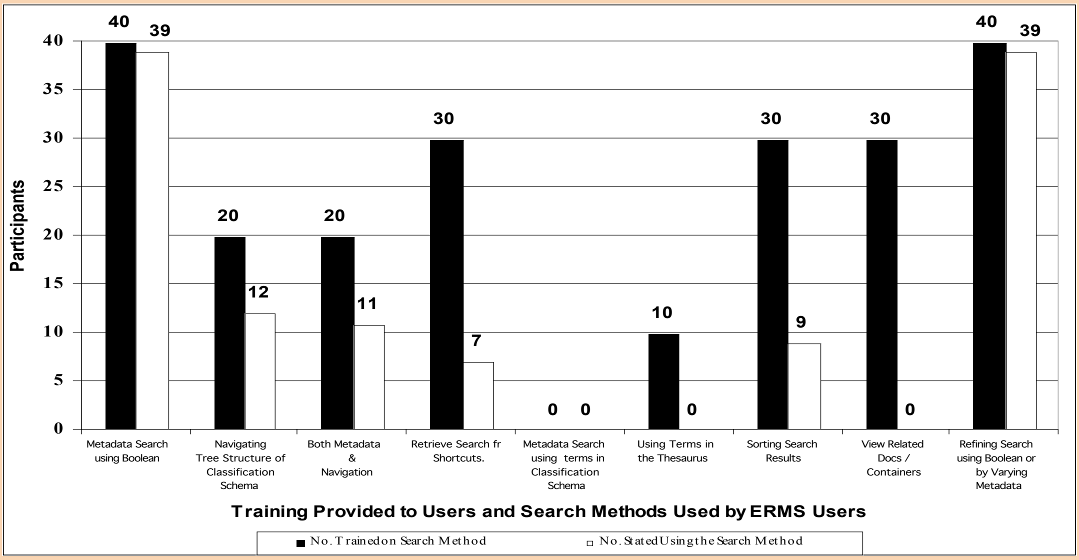
Figure 3. Search methods used in relation to training received



some aspects of searching and not on others. Users tended to use the techniques they were taught.

One organisation only provided training on two search methods and users in this organisation only used these methods. No user employed a search technique they were not trained in using. Three organizations provided training on how to view related documents or folders but none of the users used this function. Some search techniques were observed to be more popular than others. Ninety-eight percent (98%) formulated their search and refined their search using metadata fields.

Reviewing the training program of the four organisations and also the interview data of the RM professionals, we observed that none of the organisations provided training on how to search using the metadata associated with the first or second level EDRMS in the classification scheme or using the thesaurus functionality embedded in the EDRMS.

Organisation C's thesaurus was uploaded using a third party thesaurus application and not integrated into the EDRMS. Hence, users cannot search by browsing through the thesaurus and click on terms in the thesaurus to view records classified against the thesaurus terms. Training was provided to all Organisation C's participants on how to search the thesaurus, so users would know how to request new folder titles from the Records Section.

However, training was not provided on how to consult the thesaurus application and type in these thesaurus terms in the classification metadata fields of the EDRMS to search for records classified against these terms.

Training programs on different search methods thus appear to play an important role in enabling users to effectively search and retrieve information stored in the EDRMS. Providing focused training on the search skills that are most relevant to the type of tasks users are likely to perform frequently would enable users to adopt these search methods as part of their IISS.

The Affect of IISS on ISB

We describe the Individual Information Seeking Style (IISS) of users as the personal information seeking style that individual users already possess for information seeking, either to complete a task or to fulfil an information need. An IISS could be developed: through working with EDRMS in previous jobs; working with other information systems like the Microsoft Windows Explorer's tree view folder structure common in network drives; or using search engines such as Google to search the internet or intranets; or a combination of these experiences.

Users did express some information seeking preferences in the interviews. For example, eight participants (20%) said they would create shortcuts to quickly access their frequently used records or documents. Some of the users who had used the "tree view" folder structure hierarchies in network drives or MS Windows Explorer preferred to "navigate" down the folders in the EDRMS instead of seeking information via metadata fields. These stated preferences were evident when users demonstrated searches to us.

We also noted that at times this direct relationship between IISS and ISB was moderated by both training and task. For example, we observed users who had a preferred IISS of "navigating" down the "tree" view folder structure of the EDRMS also seeking information by using metadata fields when they were not able to find information using their preferred method.

The EDRMS training provided them with the skills of seeking information via metadata fields, and the task they had to perform forced them to use a non-preferred search method in order to find the required information, thereby moderating their ISB. The moderating influence that training has on IISS suggests that it is possible to improve the search and retrieval skills of EDRMS users by providing appropriate EDRMS training programs.

The Affect of Task on ISB

Previous research on theories of information seeking behaviour by Carol Kuhlthau, Gloria Leckie, T. D. Wilson, and Katriina Byström (Fisher, Erdelez & McKechnie 2006), indicate that "task" and/or "information need" drives the ISB of users. We observed this phenomenon in our research findings as well.

The findings indicate that the EDRMS users' information seeking behaviour is driven either by a task that he/she has to complete or by a cognitive need for information to make decisions or to find out more about a topic.

Before proceeding to explain this finding, we would like to take a moment to define the terms "task" and "task information awareness" (TIA) as used in the research. We define task as a work related activity that the user needs to perform and complete by seeking and acquiring information.

Examples of tasks are the need to action an invoice, write minutes of a meeting, write reports on specific subject matters, conduct analysis of past policies on a subject matter and develop new polices or revise existing policies, and conduct searches for information on behalf of colleagues or supervisors. TIA, on the other hand, refers to the bits of specific information pertaining to the overall work tasks that the user or his/her colleagues know about and that aids the completion of the task.

As an example, the task could be to approve an invoice from a supplier. The TIA the user could have to complete this task is perhaps only the specific invoice number to be approved. With this TIA, the user would be able to conduct a search in the EDRMS using the metadata field "invoice number" and retrieve the invoice from the supplier and thus be able to complete the task.

Alternatively, the user's TIA could be only the name of the supplier of the invoice to be approved. With this TIA, the user could decide to conduct a metadata search using the supplier's name or, if the user knows where supplier folders are filed in the EDRMS, he/she may prefer to navigate to the specific supplier's folder and retrieve the information.

Examples of the types of information that we observed that users were seeking from the EDRMS to complete their tasks included searching for information that:

- they have authored in the course of their work and which they have filed into the EDRMS themselves;
- their colleagues have authored and filed into the EDRMS;
- they need to share with their immediate business unit or colleagues and which has been registered into the EDRMS by them or others;
- they need to either action, respond, review, or look at to complete their task; and/or
- information that contains historical data.

Observations from the protocol analysis suggest that the task directly influences the ISB. The level of TIA that users have of the task they need to complete greatly influences them when they seek information in the EDRMS, thus making TIA a subset of task.

For example, if users are aware that the information they need was created on a specific date, or who the author is, or where it was filed, they use this information to decide how to formulate their search strategies. That is, this knowledge influences whether they use a metadata search to find the information, navigate to the folder, retrieve the search from their favourites, or use their recently accessed records shortcuts. It also helps them to later "Process and Evaluate the Search Results" by refining, filtering, or sorting their search results.

The Affect of Time on ISB

We hypothesized that time directly affects the ISB of EDRMS users. While time did have an effect, it was weaker than we expected, and moderated by task. Twenty-eight users (70%) said that they did not apply a time limit when searching the EDRMS. The remaining 12 (30%) said that they did not consciously time themselves when searching for information. They estimated that they spend between 2 to 30 minutes before deciding to stop the search.

All 40 users were aware that the EDRMS is not the only source for information and that not all their colleagues store information in the EDRMS. Thus, if they are not able to find the information they are seeking, they stop the search. They may then search other applications, approach a colleague directly, or seek clarifying information.

Implementation of Pillar RM Principles and Practices

We report our findings on how each of the organisations had implemented the pillar RM principles and practices, along with our findings on users' ISB patterns in the EDRMS.

Policies

The organisations have implemented RM policies that are endorsed by senior management in their organisations. The policies outline that records created and received by the organisation will be managed using the EDRMS according to records management practices and legislative requirements that the organisation needs to adhere to.

The policies have been implemented in the organisation by communicating them to relevant staff, through campaigns during the launch of the policies, or as part of the RM induction programs to new staff. This documentation is also published on the corporate intranets. In general, the RM professionals reported that they perceived that the EDRMS is embraced positively by the organisation; however, there is resistance from some users.

Procedures and Standards

All the organisations have comprehensive RM procedures and guidelines developed and implemented as part of the RM programme. This documentation was promoted and communicated to all staff via road shows when it was initially implemented, and subsequently through induction programmes for all new starters.

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Continued from page 55

All organisations provide RM induction training in addition to training on the EDRMS. As part of the RM induction, staff is trained on what is a record, made aware of their responsibilities to save records, and that email records need to be captured into the EDRMS.

In organisation B, an analysis was conducted prior to EDRMS implementation identifying what information in each business unit is a record, and as such needs to be captured into the EDRMS. Staff in the other organisations were trained in how to identify records and register them in the EDRMS.

After reviewing the RM documentation and the induction materials, we concluded that users are provided with awareness and understanding of what is a record and of their responsibility to save records into the EDRMS. There is also awareness in all organisations that, apart from the EDRMS which is the corporate information repository, there are other information management (IM) systems implemented for capturing records and non-records.

Both organisations B and D have developed document-titling standards and communicated these to staff during induction programmes. However, when we reviewed the interview and protocol analysis data it is clear that these standards are not followed consistently by all staff.

About 43% of the users stated that their information seeking experience in the EDRMS is difficult primarily owing to poor document titling by their colleagues or the Records Section.

Metadata

Metadata are implemented in all the EDRMS implementations. In organisation B, to use the metadata is the only method available to users when searching and retrieving information. The design of the EDRMS does not provide a folder structure view of how information is organised, so users in organisation B cannot navigate down a tree-view folder structure.

All the organisations have designed their EDRMS using multiple record types so that appropriate metadata for the specific record type can be captured into the EDRMS. The implementation of this design assists users in searching for and retrieving specific records by limiting their search to a record type, then using a combination of metadata fields for the record type to conduct their searches. For example, when registering "contracts" users are required to complete metadata on the contract number, date created, supplier details, etc. When

All the organisations have designed their EDRMS using multiple record types so that appropriate metadata for the specific record type can be captured

Table 7. EDRMS users' preferred and frequently searched metadata fields

Ranking by frequently used metadata fields	Metadata Fields Frequently Searched	Organisations:					%
		A	B	C	D	Total:	
1	**Title Word**	10	9	0	8	27	**68**
2	**Document / Application Type**	10	0	2	0	12	**30**
3	**Author**	0	0	7	0	7	**18**
4	**Record Type**	0	5	0	0	5	**13**
5	**Object ID / Record or Document No.**	1	1	2	1	5	**13**
6	**Date**	0	0	5	0	5	**13**
7	**File Number**	0	0	4	0	4	**10**
8	**Contact**	0	3	0	0	3	**8**
9	**Treasurer's Number**	0	0	2	0	2	**5**
10	**Any Word**	0	0	0	2	2	**5**
11	**Typist**	0	0	1	0	1	**3**

The Authors

Pauline Singh, ARMA is a PhD Candidate at the University of Western Australia, completing her program in 2008.
For fuller details of her background and experience see the first part of this article, in the November 2007 issue of *IQ*. Pauline may contacted at paulines@iinet.net.au.

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For fuller details of her background and experience see the first part of this article in the November 2007 issue of *IQ*. She may be contacted at jane.klobas@uwa.edu.au

Karen Anderson, PhD, was until late last year, a Senior Lecturer in the School of Computer and Information Science at Edith Cowan University, Perth, WA where she developed the Archives and Records program in 1994. Last month, Dr Anderson commenced duties at Mid Sweden University, at Harmosand, Sweden, as Professor of Archives and Information Science.
For fuller details of her background and experience, see the first part of this article in the November 2007 issue of *IQ*. She may be contacted at karen.anderson@miun.se.

This article first appeared in *Human IT Journal* and appears in *IQ* with permission.

searching for the record type "contracts" these metadata fields can be used in combination to find the specific contract.

In Table 7, users' preferred metadata fields when seeking information from the EDRMS are listed and ranked. The data from the interview session with users were used to compile this ranking. The responses were to the interview question "What is your preferred way of searching for information in the EDRMS?" Users could list a number of preferred metadata fields in their response. A tick was made in the metadata field each time it was stated as a preferred field.

An aggregation of all the ticks for each metadata field was performed to derive the total for each organisation, as shown in columns three to six. An aggregation of the responses for all four organisations is presented in column seven. The last column presents a percentage figure derived from column seven.

The three most preferred and frequently used metadata fields for searching are the Title (68%), the Document or Application Type (30%), and the Author (18%).

When search results are displayed, users frequently browse the following metadata elements: Title of the Records (98%), Date (33%), and Author (10%). Given that the Title metadata is a key element in the search and retrieval of EDRMS records, it is essential that the data entry into this field is as accurate and meaningful as possible.

In the next issue of *IQ* we will complete this report with the final comprehensive details of our findings on Classification Scheme/Thesaurus, Retention & Disposition Schedule, Security, Training, Monitoring & Auditing, and a discussion of our observations and recommendations.

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Coming Up

In The May 2008 issue of *IQ*...

• Education & Training • Information Awareness Month • Dubai Diary • And Much More

The final deadline for accepted copy for May's *IQ* is April 1. Peer review submissions should be forwarded at least 6 weeks prior to each issue's copy deadline. Send all submissions to editor.iq@rmaa.com.au

J Eddis Linton Awards For Individual and Group Excellence in Records Management

Named after J Eddis Linton, one of the founders of the RMAA, the J Eddis Linton Awards celebrate his outstanding contribution to records management across three categories.

Outstanding Individual.

Candidates must be nominated by a peer or colleague and be a professional member of the RMAA. The award is judged on the contributions made to the individual's workplace or to the profession as a whole - for example, the introduction of techniques or systems that improved the quality of records management, productivity and performance, or for outstanding achievement that has enhanced the profile of records management.

Outstanding Group

This award recognises the contribution by a group of at least three people to enhancing records management and which has resulted in innovation and best practice and led to improved business performance and efficiency. The award is open to groups, committees (not the RMAA's), vendors, business units or consultants who have achieved excellence in records and information management and created an increase in commitment to records and information management within their organisation.

Student of the Year

Nominees, of any age, must:

1. Have studied fulltime or part time in Australia or New Zealand with an institution/provider accredited by the RMAA.
2. Have achieved a high level as a student in a dedicated records and information management course completed in the previous 12 months (July-June). Study may be undertaken at any level, including tertiary and VET.
3. Have attained no less than a Credit or its equivalent for the entire course.
4. Describe his/her personal vision of the future direction of records management in 1,000 words.

Conditions & Prize Details

1. Candidates must respond to the selection criteria using the official nomination form.
2. Only financial members of the RMAA may nominate or be nominated for these awards.
3. In all instances the judges' decision is final, and no correspondence will be entered into.
4. The judges may, at their discretion, choose not to present an award in any category where no nominations are received or where it is deemed that nominees do not meet award standards.
5. Winners in all three categories will be announced and presented with a commemorative plaque at the RMAA International Convention at Sydney, NSW, in September, 2008. In addition, winners will receive their choice of free 2008 Convention registration worth $1,200 or $1,000 in travel costs to attend the 2008 Convention. In the case of the Group award, this prize applies to one representative, not the whole group.

Application forms can be found at the RMAA website, www.rmaa.com at the 'Awards' page.
Nominations close 1 August, 2008
Nominations, with supporting material, should be forwarded to:
RMAA Awards Committee
PO Box 276 St Helens TAS 7216, Australia

R·M AA
Records Management Association of Australasia

ENTER NOW!

Hamer Awards Moved to May

The Sir Rupert Hamer Awards for excellence in government recordkeeping in Victoria, the winners of which are normally announced each December, have been extended, with the 2007/2008 Awards night presentations now scheduled to take place in May this year.

The awards, unique in Australia, are managed by the Public Records Office of Victoria (PROV) in association with the Public Records Advisory Council and with sponsorship from the Victorian Branch of the RMAA, and cover inner budget agencies, outer budget agencies, local government authorities, rural/regional agencies, and small agencies.

James McKinnon, PROV's Manager Public Programmes, told *IQ* that it had been decided to move the announcement of the Hamer Awards to May each year, from December, to include it among Victoria's Information Awareness Month (IAM) activities, now that IAM has blossomed into a major event on the Australian RIM calendar.

A new category has also been added to the Hamers this year. For details on the latest Awards, go to www.prov.vic.gov.au

Objective Renews RMAA Award Sponsorship

For the fourth year running, leading ECM vendor Objective Corporation has signed up to sponsor the RMAA Article of the Year Award.

Objective

RMAA Article of the Year
AWARD

Inaugurated in 2005 to reward RMAA members whose work is published in RMAA journals, the Objective Award recognises skillful and authoritative authorship on subjects of prime interest to the records and information management profession.

Past winners have been Mike Steemson, Elisabeth Wheeler, and Amanda Cossham and Kerry Siatiras, (pictured, at right).

All articles by RMAA members, including corporate members, published in *IQ* between November of last year and August this year, and online by *iRMA*, (*Information & Records Management Annual*), automatically become eligible for the 2008 award.

Articles are considered for their originality, thorough understanding of the subject matter, and their ability to pass on information in an engaging manner.

The judging panel is made up of the Editor of *IQ*, a member of the RMAA National Board, and an Objective Corporation representative.

From top left, clockwise, **Mike Steemson**, **Elisabeth Wheeler**, **Amanda Cossham**, **Kerry Siatiras**

Jim Shepherd Industry Award

Recognising Companies Who Support RMAA

Established in 2004 and named in honour of one of the RMAA's founders, (pictured), this award recognises services to the records management industry and support of the Records Management Association of Australasia.

Award Criteria

The winning company must demonstrate the following:

- A minimum of five (5) years continuous sponsorship of the RMAA at both Branch and National level. Sponsorship can be financial or 'in kind'
- Active involvement/participation in advancing the records management industry.
- Their product or service must be specific to the records/information management industry.
- They must be a Corporate Member of the RMAA.

Conditions & Prize Details

1. Applications covering the selection criteria and demonstrating the organisation's suitability must be submitted by either an individual member (who does not work for the organisation) or by a Branch Council, Chapter or SIG of the RMAA, on the appropriate nomination form (available on the RMAA website). Self nomination will also be accepted, but must be endorsed by a professional RMAA member who does not work for the company.
2. The judges' decision will be final and no correspondence will be entered into.
3. This Award will not be presented in a year when, in the opinion of the RMAA, no application meets the all award criteria.
4. The winner will be presented with a plaque recognising their achievement in front of their peers and customers at the RMAA International Convention in Sydney, NSW, in September, 2008. In addition, the winning company will be featured in an article about the award in the November 2008 issue of *IQ* and will be given one (1) year's free advertising in the RMAA's online Product Directory in up to three (3) categories.

Enter Now

Application forms are available on the RMAA website www.rmaa.com.au at the 'Award' page.
Nominations close August 1, 2008
Nominations should be forwarded with supporting documentation to:
RMAA Awards Committee
Records Management Association of Australasia
PO Box 276 St Helens TAS 7216, Australia

R·M AA
Records Management
Association of Australasia

RMAA Snapshot:

The People Who Help Make Us Tick.

Toni Anderson

New South Wales Branch President

A certified Associate member of the RMAA, Toni Anderson is the National Information Manager for the Australian Securities and Investments Commission (ASIC), in Sydney, joining the organisation in March 2007. Her responsibilities include managing the 'holy trinity' of information services: Library and Research; Intelligence Gathering; and Records Management.

The role includes leading implementation of ASIC's Records & Information Management Strategy and developing and maintaining the organisation's IM direction.

Her previous roles focused on information and records management in private sector and government organisations in the health, housing, planning and major events arenas. Toni was associated with delivery of corporate information services as part of the Sydney 2000 Olympics team – truly an 'Olympic record' holder.

TRUE CONFESSIONS

IQ asked Toni some personal questions:

A little known fact about you?
Well, people have been looking for my secret, but still haven't found it.

Marital status/children?
Happily neither at the moment.

Are you sporty?
Is swimming at a holiday resort a sport? Actually, I'm a member of the Sydney Olympic Park Aquatic Centre and regularly do aquaerobics.

How did you get started in the RIM industry?
I always think RIM has a way of choosing you. After leaving school I worked in records with a State Government agency while I was undertaking part-time tertiary studies. I went in other directions for a while but came back to RM in a supervisory role and have progressively taken on more responsibilities.

Word that best describes you?
Centred – in a good way. Some friends tell me that I'm like the eye of the storm, calm until pushed.

The thing you like best about your job?
I really love my current role with ASIC, the opportunity to provide well rounded information services is fantastic, and we have a great national team supporting the organisation. Our clients always provide positive feedback on our work and see the contribution we make to their success.

The thing you least like about your job?
The constant pressure to do more with less in our industry, as opposed to value-adding. While I'm keen to introduce innovation and improve efficiency you do get to the point where resources can be so stretched the opportunity to add value is just not viable.

The most important lesson you've learned?
Not to sweat the small stuff. Expend energy on important things and the little things will take care of themselves.

Your motto for life?
You get what you settle for.

The book that has influenced you most?
I love accounts of real people overcoming adversity. Recently I read One Unknown, the story of Gillian Hicks, who was severely injured in the London bombings and yet maintains the most positive attitude. It has had a real impact on me.

Your favourite movie/s?
Sabrina – the first one with Audrey Hepburn.

Favourite singing artist/s?
I love Bruce Springsteen, Van Morrison, and recently discovered The Cat Empire.

Favourite dining experience?
The Ritz Carlton in Bali. Picture a cliff-side restaurant with a pier extending out into the ocean, 5 Balinese musicians, butler, personal chef, the best lobster you've ever tasted, accompanied by champagne.

Favourite holiday spot?
Last year I went to Uganda, trekking to see the gorillas. I'm not known for my capacity to 'rough-it' – anything less than 5 stars is camping. I loved the wildlife; and on reflection even the trekking was enjoyable.

Favourite way to spend free time?
Dinner out with friends, a glass of champagne, weekends away, doing something active, going to the movies, champagne, reading a good book, traveling. And did I mention champagne?

The vehicle you drive?
Nissan Pulsar Q. But it does have a sunroof.

The vehicle you would like to drive?
I'd rather have someone to drive me around. I'm thinking Silver Service taxis.

Business philosophy?
We need to demonstrate our positive business contribution, and use quantitative and qualitative measures that provide real evidence of achievements.

Your plans for the RMAA in NSW?
RMAA provides excellent peer networking opportunities to members. There have been major benefits in my own career, and I'd like to encourage a higher level of interaction between members. Continuing education is also a priority. Branch Council encourages members to suggest areas of interest and new ideas.

How would you like to be remembered by family, friends & colleagues?
Life should not be a journey to the grave with the intention of arriving safely in an attractive and well-preserved body – but rather to skid in sideways, champagne in one hand, strawberries in the other, body thoroughly used up, totally worn out, and screaming, 'Woo hoo – what a ride!'

Your secret dream/ambition?
To have the same issues as Victoria Beckham when she moved to LA and her biggest problems were finding a manicurist and a hairdresser… iQ

Did You Know

By RMAA Marketing & Events Manager Kristen Keley, ARMA

We ask you to complete surveys but do we listen to what you say? What happens to the information you give us, what do we do with it? Is it just read and filed away, ignored, a waste of time, or is it used to make decisions that change the way we operate?

Well I'm glad you asked! The RMAA values your opinion and appreciates that you take time to complete surveys. Based on the feedback received from you through our surveys the RMAA make changes to programs and events, communication delivery and even the menus at functions. Some recent examples include:

Professional Member Level Title Change

The terminology for the RMAA's middle level of professional membership from Member to Chartered Member was altered, based on your feedback.

Changes to Conventions

Based on your feedback in regard to conventions we have:

- Increased seating during breaks (where possible), or at minimum cocktail tables to rest your plate on.
- Introduced vendor networking drinks on Tuesday evening to give you dedicated trade exhibition viewing time in addition to the breaks.

- Incorporated a more formal seated lunch on Wednesday so that you can network with vendors and to make the trade prize draws more of an event in themselves.
- We have already introduced healthier choices and improved food delivery for people with special dietary requirements but you also want a better variety of foods and hot choices at every lunch, so we are incorporating that too.

Events Changes

Based on your feedback in regard to events, the RMAA has:

- Provided more events.
- Run events in conjunction with accredited training providers.
- Arranged events in more remote locations.
- Chosen topics and speakers you have requested.
- Revised the costs of events to ensure reasonable cost while maintaining financial viability.
- Sourced less expensive venues, audio visual and catering
- Created a standard sponsorship package for all events to ensure consistency amongst branches

Changes Regarding Publications, Brochures & Posters

Based on your feedback in regard to publications, brochures and posters, the RMAA has:

- Introduced a career brochure for youth and a career flyer for those seeking a career change explaining why records and information management is a good choice.
- Continued the production of its Industry Poster series
- Altered the format of *iRMA* (*Information & Records Management Annual*) from a hard copy publication to an electronic publication.
- Provided *IQ* (*Informaa Quarterly*) electronically as both a full issue and as individual archived articles which are searchable.

Okay, so the world hasn't spun on a different angle on its axis because of these changes, but we are listening to you and making alterations where possible to ensure that you are getting the service and benefits you want from us.

RMAA ACT Branch Helps Shape Territory Records Policy Via ACT Territory Records Advisory Council

By Marion Hoy, MRMA, RMAA ACT Branch Councillor

The ACT's Territory Records Act was created in 2002 after 13 years of self-government with no recordkeeping legislation and very little knowledge of recordkeeping responsibilities.

The Act created the position of Director of Territory Records and the Territory Records Office was then created to assist the Director carry out his regulatory functions. The Territory Records Advisory Council was established in 2002 to assist and advise the Director of Territory Records.

The ACT Government is committed to ensuring that its Committees reflect the diversity of the ACT community, therefore membership to the Council is based on a cross representation of community organisations with stakeholder interest in preserving records for cultural, social and historical purposes.

The Records Management Association of Australasia has had a local representative, Veronica Pumpa MRMA as part of Council since its inception in 2002.

The main role of the Council is to advise the Director of the Territory Records Office on the development and review of standards and codes for records management and the disposal of Government records.

Members of the Council meet 4 times per year and represent a broad spectrum of interests within the ACT community with members from community organisations that have an interest in recordkeeping, including the Australian Society of Archivists, the Records Management Association of Australasia, the Heraldry and Genealogy Society of Canberra, the National Trust of Australia, and the Australian Women's Archive Project, as well as the Director and a representative of Aboriginal and Torres Strait Islanders.

The current council comprises: Mr George Nichols (Chairman) Ms Veronica Pumpa (Deputy Chair), Ms Judith Baskin, Ms Jill Caldwell, Ms June Penny, Mr Steve Stuckey, Mr Phillip Tardif, Ms Joanne Taylor and Mr David Wardle.

The Council ensures that the community interest is considered in the procedures that make up the course of daily records management in the ACT Government. During 2007, the Council provided comment on 13 records disposal schedules, there is now a total of 39 approved working schedules. These disposal schedules cover approximately 130 different functions of the ACT Government.

Records Management Association of Australasia

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