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**iQ / THE R.M.A.A. QUARTERLY**



# Striving For Balance

**RIM and  
the Law**

**Electronic  
Integration  
in China**

**26th RMAA  
International  
Convention  
in Review**

**Objective  
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## Comments from the Chair

DAVID PRYDE, MRMA

RMAA Chairman of the Board



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# Questions of Balance and Passion

The celebrity chef and writer Bryan Miller once said, "The qualities of an exceptional cook are akin to those of a successful tightrope walker: an abiding passion for the task, courage to go out on a limb, and an impeccable sense of balance". If we substitute the words records manager for cook, is the quotation any less meaningful or true?

The mantle of records and information management is not just the maintenance and security of paper, or a few servers containing electronic data or images. Today's records practitioner must walk that tightrope with poise and balance in facing the daily hurdles of legislative and legal compliance, business management, change and project management, human resources, marketing, web author/publishing, and information and technology specialist and advisor.

Yet, every day, we "gird our loins" and "take up the heavy mantle" because of the passion and love we have for what we do.

"Striving for balance" was the theme of the 26th International RMAA Convention, but what is this balance we seek? Firstly it must be a healthy balance between the needs of your work, home, family and faith. The struggle for that healthy balance is the subject of the iQ Interview in this issue of iQ.

Too much or too little in any area can have serious implications for one or all these areas. Donald Trump is quoted as saying, "If you're interested in 'balancing' work and pleasure, stop trying to balance them. Instead make your work more pleasurable". A fair statement, but it also comes from a man who has been married, how many times?

### AN IMPECCABLE SENSE OF BALANCE

I believe that, fundamentally, recordkeepers have an impeccable sense of balance which they demonstrate every day in the workplace by:

- Building records management frameworks to best practice standards while resource poor.
- Influencing management and stakeholders to the ROI for RM programmes without a tangible product to sell.
- Leading projects that are under resourced (budget and human and physical resource wise) yet continue to succeed, under budget and ahead of timeframes.
- Displaying their courage to stand by their principles on information matters in the face of managerial and corporate pressure.

» "IF YOU'RE INTERESTED IN 'BALANCING' WORK AND PLEASURE, STOP TRYING TO BALANCE THEM. INSTEAD MAKE YOUR WORK MORE PLEASURABLE" «

In striving to find our balance, we must take a holistic approach. Do you know where you want to go, and what you need to do to achieve it? Break it down into small tasks – you can only eat an elephant one bite at a time.

List the tasks into a project plan, and get going. It does not matter if you get side tracked by emergencies or other priorities. You can always come back to the plan.

If you set dates for the completion of tasks, flag them, and these will become milestones that can be communicated to management or detractors later.

Make sure that successes are celebrated across the organisation, especially if they result from work done for other departments. Small pilots undertaken in one area will breed competition between other departments. This is most useful as a strategy for change management.

I will give the final word on this subject to Donald Trump, because this is so true. He said: "Without passion you don't have energy, without energy you have nothing". From the passion exhibited by those people I spoke to at the RMAA's International Convention in Adelaide in September, where I had the privilege of playing ringmaster to a spectacular carnival of RIM information sharing and networking, I know that our profession is in good hands.

### RMAA ADELAIDE CONVENTION

Talking about that recent RMAA Convention, I am going to leave the "debrief" and "wrap up" of the event on iQ's pages to other people. But it would be rude of me, however, not to publicly thank a few people for contributing to the Convention's success, and the Editor has given me the opportunity to do that in the Convention Review later in this edition, so, meet me there, on page 45.

David



## From the CEO

### KATE WALKER

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

RMAA Chief Executive Officer



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# A Matter of Balance

Every organisation shares a common set of goals: to generate and grow revenue, satisfy customers, and operate at optimum levels of efficiency.

In recent years, executives and boards of directors have put another critical directive on the plate for management: balance regulatory compliance with all the other imperatives.

Compliance regulations challenge organisations to reengineer business processes. While the focus has been primarily on electronic business processes and communications, corporate and compliance mandates include paper-based processes.

It is not uncommon for records and information officers, compliance officers and corporate legal departments to struggle with transforming strategy into reality. Despite efforts, many organisations experience costly, disruptive, and fragmented programme implementations that often go under-utilised.

The number and scope of laws, regulations and standards is staggering, and continues to expand. Many regulations are complex, subject to misinterpretation, and lack best practices. Overlay geographic and industry-specific regulatory environments, and it's easy to understand the frustration and concern within organisations. It can all make the act of balancing records and information management programmes a nightmare.

Implementation deadlines and audits as well as high-profile litigation and prosecutions have created a culture of fear that is counter-productive. The core issue underlying compliance is surprisingly clear: Focus on the lifecycle (or continuum) of paper and electronic records and information – how information is created, receipted, managed, used, accessed and archived.

This is one of the best tactics for transforming a culture of fear into a culture of compliance. It creates an environment in which cross-department process owners have:

- A shared understanding of the organisation's compliance practices.
- Simplified and non-disruptive business processes.
- Ubiquitous and transparent technologies that support these processes.

The basic question for compliance programme strategies is, "How can the investment result in both compliance and corporate benefit?"

Balancing and establishing a culture of compliance relies on persistent, proactive risk management. It encourages organisation to:

- Assess information lifecycle requirements in the context of the people and processes closest to the documents, information, and records in question.

- *Balance* compliance mandates for accessing, sharing, and storing information with these requirements.
- *Insert* technologies such as systems, version control, document processing, workflow and archiving directly into these processes.

This approach provides a foundation for a culture of compliance that tangibly contributes to standard corporate goals. In general, most worldwide, geographical, and industry-specific laws and regulations focus on how organisations manage paper and electronic records and information in the context of specific business processes.

Addressing this issue requires organisations to adapt or reengineer to ensure accountability, information accessibility, information accuracy, information integrity, security, and standardisation.

How can process owners execute and manage non-disruptive, useable and repeatable processes that support compliance practices? How can compliance processes become an everyday, network-enabled, front-office habit? How can organisational strategies account for current regulations as well as inevitable future ones?

The universal challenges of compliance must also be balanced with the expectation of most regulatory agencies for a "compliance programme lifecycle." This is a tall order for any organisation, regardless of industry. However, understanding common themes within compliance challenges can help focus organisations directly on the pain points experienced by even the best efforts of compliance officers and implementation committees.

A well balanced programme of records and information management is needed to operate an effective organisation. The RMAA, through its networking, professional development, education, advocacy, standards and professional programmes, is there to help you balance your records and information management programme.

### THE RMAA BOARD OF DIRECTORS

I would like to welcome the incoming Board of Directors:

- NSW – Christopher Colwell (Term Expires 2011)
- ACT – Amanda Harris (Term Expires 2012)
- QLD – Kemal Hasandedic (Term Expires 2011)
- SA – Donna-Maree Findlay (Term Expires 2012)
- NZ – David Pryde (Term Expires 2010)
- WA – Trissa Dent (Term Expires 2011)
- NT – Anastasia Govan (Term Expires 2012)
- VIC – Debbie Prout (Term Expires 2010)

The RMAA Executive consists of:

- **Chair of the Board** – David Pryde (Term Expires 2011)

*continued on page 6*



# ABOUT OUR CONTRIBUTORS



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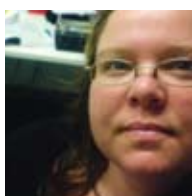
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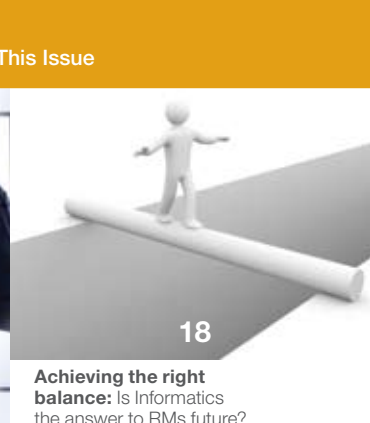
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**In This Issue**



**Achieving the right  
balance:** Is Informatics  
the answer to RMs future?

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## FROM THE EDITOR'S DESK

I think you'll enjoy this issue's 'Striving for Balance' *iQ* Interview, which gets quite personal with four interviewees.

I want to thank the interviewees for their participation, often under difficult circumstances: Alison North completed her interview while traveling in the Middle East. Conni Christensen wanted desperately to contribute, only for her father to pass away at interview time; sincere commiserations, Conni.

Another potential interviewee ran out of time. "I guess I haven't got the balance right yet," she said.

You'll also find our article from two leading Chinese RIMs, about records management in China, a revelation. Not only because of China's historical approach to RM. The very fact the authors felt able to be (mildly) critical of the way things have been done and to suggest future courses is in itself revelatory.

### A LEGAL JOKE

We have several items about law and lawyers in this issue, so it's perhaps appropriate to share a lawyer joke sent to *iQ* by Stephen MacIntosh, an Australian RIM with the UAE's Municipality of Dubai.

A rich lawyer was driving in his stretch limousine when he saw two men at the roadside, eating grass. He had the driver pull over, then asked the men why they were eating grass.

The pair said they were too poor to afford food. The rich lawyer told them to get into his car; he would take them to his mansion. But, said one man, he also had a wife and two children. The rich lawyer told them all to get in. But, said the second man, he had a wife and six children. The rich lawyer also told them all to get in. So they did.

As they were all driving away, the two men thanked the rich lawyer profusely.

"That's alright," said the lawyer. "You'll enjoy it at my house. The grass there is at least a metre high."

### COMING UP IN 2010

The journal's themes for next year's issues are:

#### February 2010 issue:

'The Professional Edge'.

#### May 2010 issue:

'Access Across the Generations'.

#### August 2010 issue:

'Information Continuity'.

#### November 2010 issue:

'Education & Careers'.

Copy deadline for February's issue, December 1.

### Stephen Dando-Collins

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

## » "DEAR EDITOR" ... «

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

### New Standard Opens Door to Integration of RM, IM and KM

Thank you for publishing my article in the August issue of *iQ*. As you may know, the International Standard Committee Draft (CD) on a Management System for Records was issued in July, and the new 'family' standard number allocated – 30200.

It will be a bigger step in our profession, I think, with this management system approach, than the traditional recordkeeping control. Some professionals are already beginning to talk about the integration of records management, information management, and knowledge management. I am looking forward to having a nice chance to listen to and share ideas with Australian professionals on the subject. I can be

contacted at [sacho@dimsway.com](mailto:sacho@dimsway.com), or [songahm.cho@dims.co.kr](mailto:songahm.cho@dims.co.kr).

**Song-Ahm Cho, CEO,**  
DIMS Corporate  
Seoul, Republic of Korea

### Really Pleased

Thanks for doing such a great job with the *iQ* Magazine. It's a really good read with a good variety of articles which are always well presented. I was really pleased (and pleasantly surprised) to see that I was shortlisted for the Objective RMAA Article of the Year.

**Jane Larke, Director,**  
CITS – University Information Management  
Curtin University of Technology  
Perth, WA

*continued from page 3*

- Vice Chair of the Board – Debbie Prout (Term Expires 2012)
- Executive Member – Anastasia Govan (Term Expires 2010)

The Board has a mix of new directors and experienced directors, and a mix of gender, age, passions and directions that will ensure the RMAA continues to grow and prosper.

Finally, a personal thank you to Thomas Kaufhold, who steps down from the role of ACT Director and who provided input to the RMAA Board for close on 20 years.

**Kate**



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# More Questions For Records Managers

In the last issue of *iQ*, Australian RIM veteran **GLENN SANDERS**, MRMA pitched some interesting recordkeeping questions at our readers. Here, he reflects on the feedback, and throws some more your way.

I've had a pleasing response to the August column. My thanks to those who commented. It's my experience that whenever listserv topics get a little heated (like folio numbering, sorry, slipped in *again*) the emails in support outnumber the hostile ones by four to one.

So, if you have something that bugs you about how we work in the records field, please say so. You won't be alone. We need more public debate!

One email gently took me to task for juxtaposing reboxing fees with GRR box design, thereby implying it was GRR who levied the fees. For the record, it wasn't. Over the last ten years I've used lots of storage companies around Sydney. The very best service was from one which doesn't exist any more, and by far the worst was from one which still does. The company which levied reboxing fees wasn't the worst, but still exists. All you storage company reps out there can assume therefore that it's not you. Just don't assume it was GRR

## WHAT'S YOUR POSITION ON WEB 2?

The listservs have been quiet lately on this subject, but significant threads have been about web 2, cloud computing, and business use of Twitter and Facebook.

A bit of Googling reveals that the term *web 2* is going through the same phases as other jargon since relational emerged years ago. The common theme is using browser-based technology to access data which is not stored on your LAN or PC.

Other than that, it's simultaneously a trendy fad, a technology, a concept, a software marketing tool. It's on the (expensive, overblown) speaker's circuit, and IT strategy architects throw it around in meetings. Does anyone know when it began, or when it will begin?

The important point is not what web 2 is, but that we RIMs need a position on it right now. My initial take is that we must support anything which improves customer service, business processes and access to information.



However, that information, in a business environment, has to be managed, and if any of it is records – and it surely is – then we have to ensure that the information is accessible, secure, available, has integrity and is properly disposed of.

Yes, web 2 and the like are different, but are they significantly different from managing any other outsourcing situation? What do you need to change in your policies, procedures, and user awareness programmes to cater for web 2 and the cloud? Just don't be negative, or you'll be left behind.

## HOW DO YOU KEEP UP TO DATE?

If listservs are quiet, if not moribund, how else do you keep up to date?

I've never liked forums, because I have to remember to log in, whereas RSS feeds and listserv emails just arrive. To someone of my generation, Facebook is unappealing. Do you use it, or Twitter, or blogs? Do you blog yourself, or use any of these for business? I'd be interested to receive your feedback. **iQ**

- Get back to me on the RMAA listserv, or at, [sandersinfo@gmail.com](mailto:sandersinfo@gmail.com).



## About the Author

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

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

This is the second in his series of occasional columns for *iQ*.



## WORLDWIDE NEWS

### FORRESTER HAS GOOD NEWS AND BAD NEWS FOR RIMS

**CAMBRIDGE, MASSACHUSETTS:** Nasdaq-listed US technology and market research group Forrester Research says, in a new report, that companies are beginning to understand that that it is bad business to put records management resources on a back burner.

The conclusion is drawn in the September 2009 report by Forrester Research, a document which comes with a price tag of US\$499 (AU\$570) online. The report also reveals that only one in five companies is very confident that their RM system is good enough to meet e-discovery or compliance requests quickly.

The 14-page report, *Records Management: User Expectations, Market Trends, And Obstacles*, has been reviewed on a number of industry websites. CMS Wire commented: 'The good news is that by the end of 2010 more than half of those surveyed say they will be expanding their technology deployments in this regard.'

Leading Australian RIM consultant Andrew Warland discusses the report in this issue of *iQ* – see page 31.

### A "BEACHY" LIFE ON CARDS FOR RETIRING CHIEF ARCHIVIST

**HOBART:** One of Australia's longest-serving State Archivists, Ian Pearce, retired at the end of September after 25 years at the head of the Archives Office of Tasmania, with big plans for the future in his new home in a small beachside village 23 kilometres from Hobart.

Ian Pearce told *iQ*: "I'm looking forward to doing beachy stuff – lots of walks, fishing and sailing." He will also be in travelling mode, in Australia and overseas, working on his music. "Mostly folksy/bluesy stuff. I play guitar and banjo and sing, and I used to play in a small band. My playing has been pretty limited for the past few years, so getting more time for it will be good."

Ian was a founding member



Ian Pearce

of the Tasmania Branch of RMAA, and of the Australian Society of Archivists, to which he has been appointed a Fellow. To mark the Chief Archivist's retirement, Tasmania Premier, David Bartlett, praised Ian's decade of chairing the Council of Australasian Archives and Records Authorities, his work on the State's 1983 Archives Act, his development of the Archives' public Internet access, and its burgeoning holdings. The Premier commented: "I am sure he will be missed."

Ian joined the Tasmania State Service as an archivist in the 1960's. He is particularly proud of his 2005 amendment of the State Archives Act to "clarify and strengthen requirements for government organisations to keep their business records and the State Archivist's role in establishing a framework for government recordkeeping generally".

In the 1970s, he undertook major reviews of recordkeeping in the then Premier's Department and the Department of Community Services, among others. In the 1980s, he established government recordkeeping protocols within the Archives Office structure.

But it will be hard to get archives out of his blood, and he confessed to *iQ* that, in his retirement, he may contemplate "a bit of writing about the Archives Office and my time there."

### NYPL RESEARCH CHIEF ANOINTED AS 10TH US ARCHIVIST

**WASHINGTON DC:** The head of research at the New York Public Library, David S. Ferriero, has been nominated to be the tenth Archivist of the United States and head of the US National Archives and Records Administration (NARA) by President Barack Obama, making him arguably the most powerful and influential archivist in the world.

Sixty-three-year-old Ferriero, has been head of the Research Libraries at NYPL for four years since he was head-hunted to the Big Apple from the Duke University in North Carolina, where he headed the university library. He began his career as a junior shelf-stacker in the Massachusetts Institute of Technology (MIT) Libraries, rising to acting co-director by 1996.

His NARA nomination, which came only four years after President George W Bush's controversial appointment of historian Professor Allen Weinstein to the post, aroused considerable media interest. Professor Weinstein resigned from

the post last December, revealing he was suffering from Parkinson's Disease.

Individual blogosphere complaints that new chief archivist appointee Ferriero was "only a librarian" were stifled by information management heavy-weight support. A recent president of the Society of American Archivists, Steve Hensen, wrote, on the US Archives listserve: "David Ferriero may not be 'trained as an archivist' (but) he is far closer to being one than any in recent memory."

"Ferriero has the personal charisma to be a positive force not only for NARA but for the entire archival profession. With all due respect to past Archivists, and indeed to most of the rest of us, for all of our obvious intelligence, analytical skills, wit, charm, and good looks, 'charisma' has never been something that has been closely associated with our profession. And while its value may be overrated, in the immortal words of Bugs Bunny, 'it couldn't hoit!'"

NYPL Board of Trustees Chair Catherine Marron praised the choice saying, "The entire country will benefit from his experience and wisdom".

Washington ARM consultant, Rick Barry, on the National Coalition for History blog, said: "Mr. Ferriero should do very well as Archivist of the US."

Mr Ferriero's appointment is subject to Congressional hearings and approval.



David Ferriero

PHOTO: TODD EBERLE, NYPL

### NAA LAUNCHES GOVT EMPLOYEE TRAINING TOOL WITH DIGITAL EMPHASIS

**CANBERRA:** The National Archives of Australia (NAA) has launched the 'Keep the Knowledge – make a record!' training package, designed to encourage employees of Government agencies at all levels to embrace good records management practices.

The package is aimed at every Australian Government employee, from entry level to agency heads, as, says the NAA, all have a responsibility to make and keep records of their work.

Comprising a slideshow and presenter's guide, online eLearning module, reference card and promotional posters, the 'Keep the Knowledge' package places particular emphasis on emails and other



types of digital records. It includes practical information and tips such as effective naming of records.

NAA Director-General Ross Gibbs said, at the time of the launch of the package, that 'Keep the Knowledge' will assist all Australian Government agencies reinforce a culture of good records management.

- For more information, visit [www.naa.gov.au](http://www.naa.gov.au).

## ARCHIVES NZ DIGITAL CONTINUITY ACTION PLAN RELEASED

**WELLINGTON:** The New Zealand Government's Archives New Zealand has formally launched a Digital Continuity Action Plan (DCAP) for the NZ public sector.

The Plan is designed to provide a platform for public sector agencies to act in a co-ordinated way to manage their digital information effectively. Its aim, says Archives NZ, is to ensure that public sector resources are used more

efficiently through collaboration by sharing ideas, expertise, and systems, and by minimising duplication.

The Digital Continuity Action Plan is available, free of charge, online and in a 44-page book.

- For more information, go to [http://continuum.archives.govt.nz/digital-](http://continuum.archives.govt.nz/digital-continuity-action-plan.html)



[continuity-action-plan.html](http://continuum.archives.govt.nz/digital-continuity-action-plan.html). The DCAP is reviewed later in this issue of *iQ*.

## SURVEY INDICATES IT, LEGAL AND RM COMING TOGETHER TO MEET E-DISCOVERY CHALLENGES

**OCEANPORT, NEW JERSEY:** An e-Discovery Readiness Survey conducted recently by international RM company CommVault has shown marked change in the way enterprises are approaching the challenges of e-discovery.

The CommVault survey, which quizzed in-house lawyers at 42 major enterprises across the USA, found that, to meet the challenges of e-discovery, 60% of respondents have assembled cross-functional e-discovery teams within their organisations. Those teams are made up of representatives from the legal, IT and records management areas.

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This result compares with a 2007 CommVault IT survey which found that only 14% of IT departments had engaged their corporate legal departments in joint efforts to deal with e-discovery issues.

The 2009 survey also found that 60% of respondents have formalised litigation plans in place that address electronic records and content and records management generally, and e-discovery specifically.

More than a half the respondents said that at least 25% of their legal disputes currently involve e-discovery. A third of those surveyed confessed settling legal disputes earlier than they might have otherwise, simply to make the problem go away.

## HEINER AFFAIR 'WON'T GO AWAY'

**SYDNEY:** The Heiner Affair, a 1980s Queensland legal case which highlighted the destruction of government records, has not gone away, and won't, a former Australian Supreme Court judge said last month on radio.

Speaking on 2GB's Alan Jones programme in October, the Hon Barry O'Keefe, AM QC, a former Commissioner of New South Wales' Independent Commission Against Corruption, told listeners: "It's not something that's going to go away. The principle is too important. That is, the rule of law."

Talk-back host Jones had asked what, if anything, the Federal Government was doing about the 20-year-old Heiner Affair, which, he said, "involves sexual attacks including pack rape at Queensland's John Oxley Juvenile Detention Centre". Jones outlined the

series of reports and investigations into the event, which revealed the shredding of records, and asked how governments could ignore the findings.

Judge O'Keefe responded: "One of the problems is to find a forum in which to cause governments to do something. There doesn't appear to be such a forum, except the forum of public opinion."

Referring to a demand for the appointment of an independent prosecutor into the affair, the judge said: "In Queensland it's necessary that these things go to a parliamentary committee. Now, under the legislation, it's supposed to be bi-partisan, but there's a serious argument that the latest decision by the Crime and Miss-Conduct Commission in Queensland was not, in fact, bi-partisan."

The comments came a month after the *Brisbane Times* revealed that the Heiner Affair was part of a new business communications and technology course being taught in Queensland's 256 secondary schools.

## NZ RIM MAKES AN EXHIBITION OF HIMSELF

**WELLINGTON:** New Zealand Records and Library Manager, Graeme Thompson, has been delighting and shocking the Kiwi art world with a bizarre exhibition of art assemblages and sculptures.

A review in *The Wellingtonian* showed the artist with a group of Wedgwood porcelain figurines with grenade launcher forearms, and a burned, wooden Pinocchio, armoured and toting a machinegun, astride a charred guardian horse.

Graeme manages records at the Parliamentary Counsel Office, the country's central government legislation-writing department. He graduated Master of Library and Information Studies from the Victoria University of Wellington in 2000, and worked as contract archivist at the Wellington City Council and Archives New Zealand before joining the PCO.

He is also chairman of the NZ Theatre Archive Trust Board. "I suppose my artistic endeavours come back to the 'recordness' of records, and how accurate the transmission of information is via records," said Graeme.

## iQ'S EDITOR WINS PREMIER'S LITERARY AWARD

**BRISBANE:** The editor of the RMAA's *iQ* Magazine, Stephen Dando-Collins, was presented with the 2009 Queensland Premier's Literary Award for science writing by Premier Anna Bligh in September.

Stephen's award was for his latest book on Australian history, *Pasteur's Gambit: Louis Pasteur, the Australasian Rabbit Plague, and a Ten Million Dollar Prize*.

In *iQ* last year, Stephen discussed the extensive archival research that he and his wife Louise undertook for the book. The first edition of *Pasteur's Gambit* sold out the week the award was announced, and publishers Random House had to rush through a reprint to meet demand.

*Pasteur's Gambit* was also shortlisted for the Victorian Premier's Literary Awards, has been nominated for the Prime Minister's History Prize, and has been nominated for the Waverly Library Award for a book based on research. **iQ**

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# RMAA Stalwart Steps Down after 2 Decades of Service

**ADELAIDE:** At the RMAA Convention in September, Thomas Kaufhold, MRMA (Life), announced that he was not standing for re-election on the completion of his last term as RMAA Director, marking the end of a long involvement at executive level with the Association.

Thomas, best known in recent years as the RMAA's National Treasurer, has performed many roles on ACT Branch Council (in fact all of them at one stage or another) since 1970 and served 3 stints on the RMAA's Board of Directors, 1975-1980, 1988-1993, and 2000-2009.

## SERVED UNDER 6 PRESIDENTS

Thomas told *iQ*: "I have served under 6 National Presidents/Chairmen of the Board and have seen the Association more than double in size, but, more importantly, increase its influence throughout the RIM industry and governments at all levels.

"In the early days, the Association was run by volunteers and all activities and events were organised and managed by the Branches. This arrangement served us well, but it became apparent that things had to change if we were going to become more than a collection of keen individuals.

"The push to professionalise the Association began in earnest in the 1980s-90s. Education was a big focus, and development of the records management standards provided a huge impetus for not only the Association but to all RM practitioners. The first National Convention in 1983 was a sign of things to come.

"I was privileged to be involved in major changes to the Association's administration. Finances were centralised, the number of Board members was reduced by half, and the constitution was changed to accommodate changes to the Companies Act and better meet the needs of members and the profession.

"The appointment of an Executive Officer/Chief Executive Officer put the

Association on more professional footing. This has allowed the Board to focus on strategic issues and future directions of the Association. The Board has striven to provide the CEO with adequate resources to run the organisation, but more needs to be done.

"I leave the Board at a time when it is considering a new governing model to meet the demands of the changing and challenging environment, and to better facilitate its growth and influence. I wish the Board and members well in the process and look forward to the final outcome."

And what are Thomas' plans for the future? "I plan to stay active on the ACT Branch Council, and I am looking forward to serving the Association in other capacities. Finally, I would like to thank colleagues and past and present Board members for their passion of the profession and their friendship. It has certainly been an experience."

## THANKS THOMAS

Several RMAA members wanted to share their thoughts about Thomas. Said Andrew Wood, ARMA, of the South Australia Branch, "Congratulations to Thomas on what must be a record innings. Thomas' role as treasurer for such a long time must be commended."

"The name Thomas Kaufhold has become synonymous with the RMAA over a long period," commented Life Member Ray Holswich, ARMA, of the ACT Branch. "My first meeting with Thomas was in Alice Springs at the 3rd National Convention in 1986. He struck me then as a person who had the interests of the Association at heart.



» "WELL DONE THOMAS KAUFHOLD, AND THANK YOU FOR YOUR CONTRIBUTION TO THE RMAA" «

"His contribution, particularly on the financial and business side of the Association, will be acknowledged for a long time to come. Now he will have the well-earned rest he rightly deserves. But, Thomas' interest in the RMAA will remain steadfast. Well done Thomas Kaufhold, and thank you for your contribution to the RMAA."

Said Debbie Prout, ARMA, Victorian Branch Director, "Thomas Kaufhold, the elder statesman of the board, is a fountain of knowledge. He was always able to give context and history to issues, and as a fairly new member on the board I found this to be of great benefit.

"Thomas was a gentleman, in every sense of the word, who always gave members the opportunity to speak. Even though Thomas had been on board for many years he was still very passionate about the profession and keen to share his knowledge. I will miss his calm presence, and on behalf of the Victorian Branch I wish him all the best for the future." *iQ*

# Four Successful Female Executives, Striving for Balance

From Adelaide to Brisbane, London to Melbourne, the personal stories of four successful female RIMs trying to do it all and have it all make for a unique *iQ* Interview.





## Interview Snapshot

- All interviewees had quite different careers before coming to the RIM world.
- Several have overcome serious health problems to get where they are.
- All are having fascinating careers in RIM.

**iQ: A concert violinist has to avoid sport and the kitchen to protect their fingers. A member of the armed forces has to spend many months or even years away from their family. An author has to become antisocial and lock themselves away to write their next book. In developing your career, what is the biggest sacrifice you have had to make?**

**Margaret Birtley:** Moving away from the family home in Melbourne, in order to take up my current post in Adelaide. My eldest son had already left home and was working overseas, but the rest of the family, each with their own commitments and friendship circles in Melbourne, declined to move.

So, I set up a second home, and became a 'frequent flier'. Not every weekend, but usually twice a month. The youngest boy was 16 when I made the move, and for the first couple of years I really missed not seeing the family on a daily basis over breakfast!

**Wanda Lawson:** Spending time apart. As a consultant you are often traveling and away from home. It is only since we have had BlueSky19 that we have been able to turn this into an opportunity, with the flexibility to travel and/or work together.

**Alison North:** I don't believe that I have ever sacrificed anything. I may have had to decide to take one path over another, but I have never felt that sacrifice came into it.

**Allison Hunter:** I like to think that you make choices, not sacrifices. But I have found that I have less head-space for reading and writing for fun now that I spend so much energy on reading and writing for my profession. When I was working fulltime and studying part-time I had to give up horse riding, which I regretted; I was just too exhausted.

**iQ: How did you feel then, and how do you feel today, about having to make that sacrifice?**

**Margaret Birtley:** The move to South Australia has definitely been worthwhile. There are many advantages to working in Adelaide; I cycle or walk to work, and appreciate the accessibility of the city and its cultural precinct. I've always devoted long hours to my work, and the current arrangement makes it easy for me to focus on work during the week, and then relax with the family when I spend weekends in Melbourne.

**Wanda Lawson:** In the year we married, my husband traveled 48 weeks out of 52. We had just moved to a new state, and I had changed career direction and companies, we were building our house and organising our wedding, for which most guests were traveling in from overseas.

At times, on Monday morning, driving Neil to the airport, I would think. 'Why am I doing all this?' However, I'm not really sure even then that I saw it as a sacrifice. With her education interrupted by the war, my mum worked most of her life in a factory. Education gave me choice and opportunity, and I have always been clear that we also choose how we react to situations either positively or negatively.

For most of that first year in Queensland, I felt like I was on an exciting roller-coaster ride of endless possibility. Especially when the sun was shining and the jacarandas were blooming.

**Allison Hunter:** I made a conscious decision to develop my professional career, and knew that this would involve having less time to pursue other activities. But I would like to reintroduce some things. I've reintroduced horse riding, which has been great! I don't

## About our interviewees



**MARGARET BIRTLEY** CEO, Collections Council of Australia (CCA), Adelaide, SA.

"My career started with a passion for the Dark Ages and the early medieval literature of North

Atlantic countries. I became a specialist in the early medieval languages and literature of England and Iceland, and taught these subjects at Monash and Melbourne universities during the 1980s.

"During that time, I married and had two sons. I took recreation leave for the arrival of my 'Monash baby', and leave without pay for my 'Melbourne baby'. Recreational interests included three 'Rs': rowing, refereeing (at regattas), and renovating an inner-city Melbourne terrace and a rural weekender.

"My husband injured his back badly in a car accident, and everything changed. I became the main earner, he became the parent who picked up kids and prepared meals. My university contract wasn't extended, so I worked as Executive Officer for the Victorian Branch of the Museums Association of Australia. My third son was the 'MAA baby'.

"Since then, I've worked for over 20 years with Scienceworks (at Museum Victoria), Deakin University, and the CCA, in a range of roles: administrator, conference convenor, museum practitioner, board and committee member, educator and researcher.

"With CCA, I advise the board, manage the Secretariat, represent the CCA in forums, and advocate Australia's collections wherever they are found: in archives, businesses, galleries, historical societies, Indigenous keeping places, libraries, museums, universities and elsewhere."



**WANDA LAWSON** Partner, BlueSky19, IM consulting & solutions firm, Brisbane, Qld.

"Husband: 1. Children: 0.

Pets: 0. After qualifying as a teacher and working in childcare I moved from the UK to Australia. I joined Pizza Hut, progressing from assistant manager to area manager,

managing 450 staff and a \$15 million turnover. From there I moved to David Jones, Brisbane as Human Resource Manager. In the 1990's, with a Brisbane-based systems integrator, I specialised in business process improvement utilising ECM and BPM technology.

"Searching for some excitement, new challenges and flexibility, I joined my husband in his consulting company BlueSky19, which he'd been developing since 2007. Our commitment is to make it straightforward for our clients to achieve outcomes, with flexibility and pragmatism.

"We place a strong focus on building enduring relationships with our clients. We get back flexibility, variety, and the opportunity to work together."

*continued on page 14*

think that I have found the right mix of professional and personal yet to achieve a good work/life balance. But I'm working on it.

**iQ: What period during your career has been the most challenging, in terms of balancing family, career, educational demands and other commitments?**

**Margaret Birtley:** It's a long while ago, but in 1985 I held too many roles. It started off as a year without pay in order to fulfil Role Number 1, motherhood: my second son was born in January, and I wanted to spend more time with the kinder-kid as well.



**About our interviewees**

**ALISON NORTH** Managing Director, The Genuine Group, Middlesex, UK.

"From 1972 to 1986 I worked in the petroleum exploration and production business, covering the first offshore information centres

on North Sea production platforms. I have worked in Japan, the USA, the Middle East, and extensively in Europe.

"In 1986, I became a self-employed information management consultant. The Genuine Group Ltd was set up in 2007 to bring together FileBusters Ltd, established in 1995, and Document Law Ltd (2006), to provide specialist information management consultancy.

"I bring in the business, and manage the projects. I also deliver IM master classes, am the Records Management Society (RMS) of Great Britain's Executive Treasurer, and a trustee of a hospital charity. I've just published my first management book, 'Managing Records Retention and Disposal', a challenge.

I'm married to the fabulous Geoff. We have two daughters, Lorna (25) an adventurer and travel writer, and Isla (20), a psychology student. We recently sold our family home of 16 years and are rebuilding, in an eco-friendly way, a 1950's bungalow. Another new challenge.



**ALLISON HUNTER** Coordinator, Standards & Policy, Public Records Office Victoria (PROV), Melbourne, Vic.

"I've been working for PROV since 2002. I began as a reference officer, then moved to work including appraisal, disposal, arrangement and description, and transfer.

"At the same time I achieved my Master of Information and Systems majoring in ERM and KM at Monash University. By then I was part of the PROV Compliance Team, assisted with annual departmental assessments and the Victorian Electronic Records Strategy (VERS) Certification scheme, and completed the PROV Appraisal Policy. In 2007, I moved to the Standards and Policy team and have been actively involved in the Standards redevelopment project.

"I am also actively involved with the RMAA's Victoria Branch (currently as Branch Council Secretary), and the Australian Society of Archivists Victoria Branch. I have two cats, and a fish."

Role Number 2 was meant to be the PhD. I'd been enrolled part-time over the previous couple of years, but really wanted to move the work along with greater concentration. Roles 1 and 2 were planned, and should have been all-consuming. But two other, unexpected, roles emerged.

Role Number 3 arose because a university colleague asked me to help with part-time teaching in a new interdisciplinary subject that he and I had proposed and had just been accredited. This was satisfying, but a serious distraction from the PhD.

Role Number 4 was the car accident that damaged my husband's back and reversed our bread-winner roles. The writing was on the wall as far as the PhD was concerned!

**Wanda Lawson:** A period of serious ill health has been the most challenging. It introduced a vulnerability that I hadn't experienced before. Flying to Sydney to complete a consulting assignment was now accompanied by concerns that I would simply run out of energy. It necessitated a change of approach. For example, rather than flying down and back in the same day, I would stay with a friend overnight.

**Alison North:** The most difficult period for me was in 1998, when I had breast cancer and was determined to keep the family, the business and my life exactly as they always were so that no-one outside of the family knew anything was happening to me.

I came unstuck at school sports day – the mother's race – when I fell over. It was the effect of the chemo drugs. I embarrassed my daughter, and realized that I was not superhuman.

In general, balancing career, family, etc, is always going to be a challenge, and sometimes one thing wins out over the other. I wanted it all, and I got it in full!

I guess one thing that did fall by the way-side was my circle of friends (acquaintances I suppose). They have dwindled over the years and only the ones from my childhood and early career remain. In my life, there is little time to go and see people or spend time partying.

**Alison Hunter:** My most challenging time was whilst working fulltime and studying part time – two subjects per semester. I lived with my sister, and lived on Pepsi Max to give myself enough energy. I tended to take leave to write essays, or concentrate on my studies, instead of having holidays.

**iQ: With hindsight, is there anything you would have done differently?**

**Margaret Birtley:** No. I have always immersed myself in every role I take on, and gain a sense of fulfillment from any achievement, whether it relates to work, or to family, or to myself.

**Wanda Lawson:** No, not really.

**Alison North:** I doubt it. If I want something, I go and get it or make it happen, whether it is for me, my family or my business.

**Alison Hunter:** I would have found a way to keep up horse riding! And spent more time with my elderly dog; he died shortly afterwards.

**iQ: In your experience, are the demands that the records and information industry makes on its participants any different from those made by other industries?**

**Margaret Birtley:** Working with heritage collections, including records that may acquire heritage significance in the future, has given me a profound sense of responsibility to future generations. Heritage collections are developed on the presumption of permanence, and custodians carry heavy responsibilities for their conservation and preservation. I'm not sure that other industries have the same sense of obligation to the future.

**Wanda Lawson:** It really depends on the industry. They are certainly different from the demands made on a doctor, for example.

**Alison North:** No, everyone has to work hard, right now even harder to survive the current recession. We all seem to be tired and sleep all weekend. Or maybe that's my age!

**Alison Hunter:** You have to be more actively involved in your own



professional development than other careers. Keeping up with new ideas, concepts, and developments in the records management and other associated professions – archives, information management, and knowledge management, for example – is also very important and can be difficult to find the time to do because unlike other professions, it is not necessarily a requirement of your job. You do it because you want to, not because you have to.

**iQ: Give us a peek into a typical working week for you.**

**Margaret Birtley:** The CCA has nationwide interests and responsibilities, and the company's directors are located in several states, so effective communication is essential.

Last week, I sent 130 emails and 6 formal letters, issued an e-Bulletin to subscribers, participated in two teleconferences, and hosted a meeting to discuss digital futures for the collections sector. Other focal points: progress of our annual audit, advocacy of a more sustainable collections sector proposal, and preparation of presentations to forthcoming conferences.

After hours, I did my regular 2 hours at the gym, met museum workers at their monthly networking breakfast, attended three exhibition openings, and went to a public lecture on astronomy (something I knew nothing about!) as a precursor to the opening of Adelaide's RI Aus, the Royal Institution in Australia.

On the family front, I helped one son choose a washing machine for the share-house he's just moved into in Melbourne, and planted seedlings in my small Adelaide garden.

**Wanda Lawson:** Well, I'm no domestic goddess, so I try to avoid

housework. I am a keen exerciser; it's one of my key outlets. So, a week always involves some time for running or swimming plus a workout with a fitness trainer.

If I'm at a client site I might have an activity to plan or deliver on, eg, facilitating a workshop, conducting training, or writing documentation. If not working with a client I usually have a prospect to meet or I might attend an industry presentation to enhance skills or knowledge. There's also marketing material to prepare, training to develop, emails to answer, phone calls to make etc.

When not directly involved in client work I try to work at BlueSky19 only 3 days per week, as I also have charity commitments in various forms as a consumer representative.

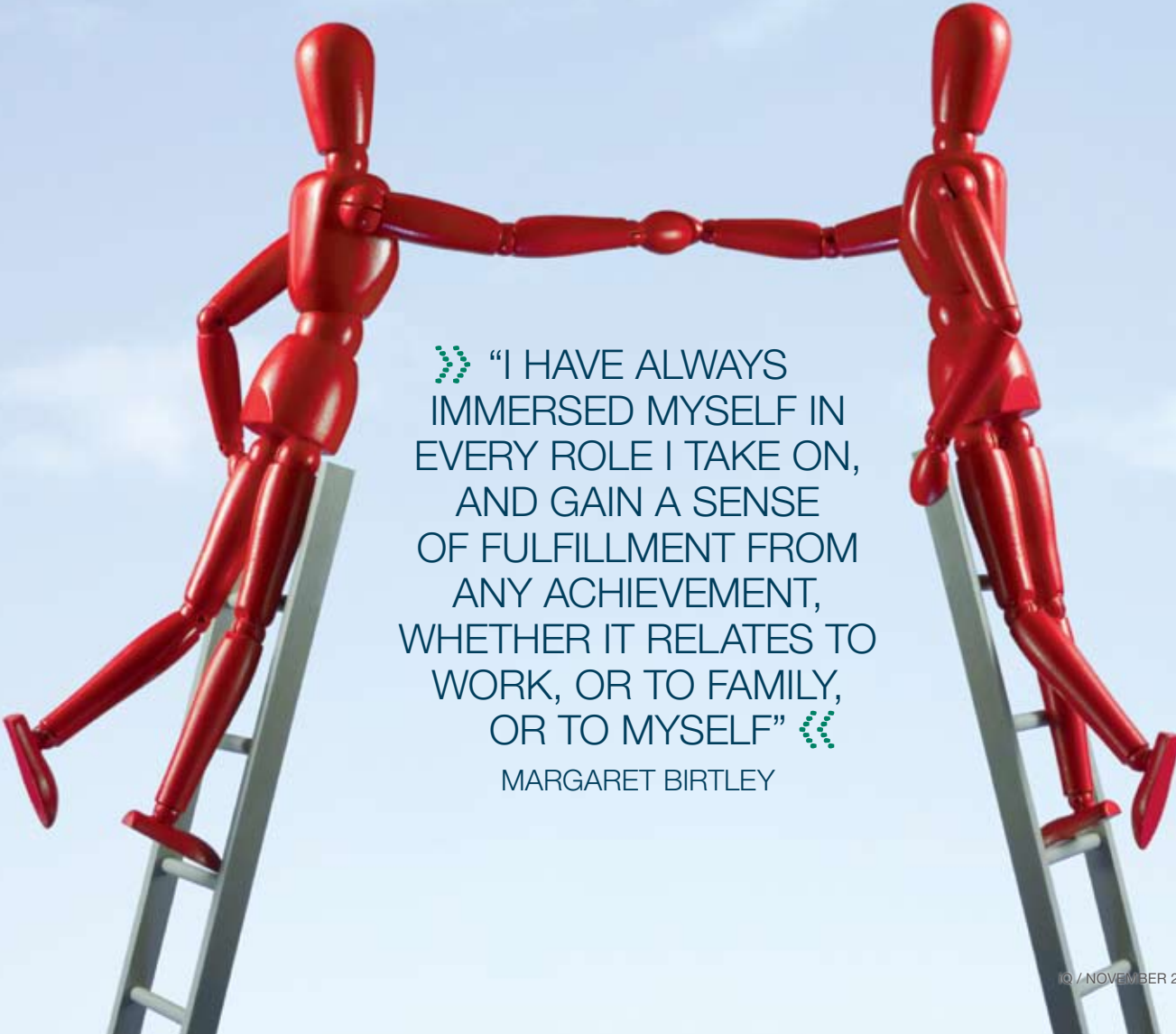
Whilst recovering from illness I also discovered a talent for painting, so I try to attend an art class whenever I can. And a lot of my time is spent maintaining communication with my UK-based family.

**Alison North:** Sunday: Client conference call; some parts of the world work on Sundays. Preparation work for week's work. Sunday dinner. Isla calls re books she needs for uni, and her loan hasn't come through yet.

**Monday:** Office; accountants' meeting morning, partner meeting in afternoon. Evening, go to gym. Geoff cooks dinner.

**Tuesday:** Client gap analysis and mentoring of a new RM. Evening, meeting with charity.

**Wednesday:** Complete conference chairing notes, client notes from yesterday's gap analysis. Authorize payments and staff salaries. Check on master class venue and requirements. Evening dinner with Geoff's business colleagues and clients.

» "I HAVE ALWAYS  
IMMERSED MYSELF IN  
EVERY ROLE I TAKE ON,  
AND GAIN A SENSE  
OF FULFILLMENT FROM  
ANY ACHIEVEMENT,  
WHETHER IT RELATES TO  
WORK, OR TO FAMILY,  
OR TO MYSELF" «  
MARGARET BIRTLEY



## » “IDENTIFY AS SOON AS YOU CAN WHAT YOU WANT TO ACHIEVE FROM YOUR CAREER, AND YOUR PRIVATE LIFE, AND KEEP YOUR GOALS FIRMLY IN MIND.” ALLISON HUNTER «

**Thursday:** Meetings all day with prospective clients/new projects. Evening, pack suitcase, clean bathroom, and vacuum.

**Friday:** Office, last notes for colleagues re current work whilst I am away. Depart for client work in another country; sleep during 7-hour flight.

**Saturday:** Settle into hotel and prepare for next two weeks' work

**Allison Hunter:** A typical week involves document drafting, reviewing, discussing, revising, and circulating. Professional reading and research. Management tasks for the Standard and Policy Team. Meetings with various stakeholders. Drafting and revising articles and presentations. Develop agendas, minutes preparation and circulation for the RMAA Vic Branch meeting and the ASA 2010 Conference Committee.

Feeding and spending time with my cats; spending time with my family; horse riding once a fortnight.

**iQ: Would you change any of that?**

**Margaret Birtley:** I'm very happy with the mix of activities, but wish that the week had more hours, or that I could manage with less sleep, because there is so much of value to be done!

**Wanda Lawson:** Maybe move the UK a bit closer to Australia. No, seriously, I enjoy my life.

**Alison North:** Not a minute. I love it.

**Allison Hunter:** Sometimes.

**iQ: What advice would you give to young women just starting out on their careers, in terms of expectations and sacrifices?**

**Margaret Birtley:** Aim high, prepare to seize opportunities, and recognise that not every career step will be easy. Make time to consider your options at each decision point, so you're confident of your choice. Understand what you are relinquishing.

**Wanda Lawson:** Respect yourself. Be prepared to be accountable, be flexible, and if there are getting to be more bad days than good, do something about it.

**Alison North:** You get what you want if you work for it. Hard work is necessary in your career and your family life. Never stop asking questions. Be as organised as you can. Older people know a lot more than you think. There is no 'I' in 'team'. Success does not happen overnight. A lot of clichés, but all true.

**Allison Hunter:** Identify as soon as you can what you want to achieve from your career, and your private life, and keep your goals firmly in mind.

**iQ: Should Anyone, male or female, have to make sacrifices for the sake of their career?**

**Margaret Birtley:** I don't think that making sacrifices is gender-specific. It's important to be aware that career decisions often involve making choices, and therefore some options will inevitably have to be sacrificed.

A year after I'd shifted from medieval studies to the museum world, I received from a former colleague a postcard that depicted a page from an Anglo-Saxon manuscript. Being reminded of my past interests and expertise brought sudden tears of regret to my eyes, but helped me appreciate that I was now on a new and equally engaging career path.

**Wanda Lawson:** No one should have to make sacrifices. But some things require compromise and the pursuit of different opportunities that may exclude others.

**Alison North:** No-one should have to make sacrifices.

**Allison Hunter:** I don't think anyone should have to make sacrifices for the sake of their career.

**iQ: Did you feel you had to make a choice between career/education and family, or at least the timing of having a family?**

**Margaret Birtley:** We didn't plan the timing of our children. I was fortunate that, in those days of limited maternity leave, I was able to afford childcare; no subsidies in those days! And to maintain continuity in my career.

**Wanda Lawson:** No.

**Alison North:** Not really. I made more of a choice between working and education than work and family. I chose to have my first child at 34. I didn't feel the need to have one before then. In the company where I was working I was the first woman to return to work after having a baby.

**Allison Hunter:** You have to make choices all the time.



**iQ: Is your family understanding about your career versus their needs? Have you ever had to make a choice between family and career?**

**Margaret Birtley:** My family has grown up understanding that my work has sometimes invaded the evenings and weekends, but they did frequently draw the line at stopping at yet another historical museum as we drove through country towns. There are always opportunities for 'quality time'; they just have to be seized. The washing-up can always wait!

**Wanda Lawson:** At times, I have found living away from my family hard, particularly when my father passed away in the UK.

**Alison North:** My husband is fantastic, and my girls always knew their mum worked for a reason; not just the money, but a real need to contribute outside the home as well as within it.

Did I ever have to make a choice between family and career? No, never. That makes it sound easy. It isn't. But choosing between the two would be no choice; family would always win. My baby sister had to make that choice as she has a disabled son. She is fantastic, and I admire her so much. She and her husband have given their whole life to looking after him.

**Allison Hunter:** I don't have children, but I know of others who actively pursue their career and spend quality time with their children. Usually, their partner is equally understanding and committed, which helps.

**iQ: Did you ever imagine your life taking the path that it has? Did you plan it this way?**

**Margaret Birtley:** I remember, pre-babies, telling a cousin that I was committed to giving up work as soon as I had children, and to being a fulltime mum. Then I found myself in fields that I valued, and with colleagues who valued my contribution, so I found ways of staying in the fulltime workforce as the children arrived. I couldn't have predicted the effect of my husband's early retirement on the family and on my consequent need to stay employed.

**Wanda Lawson:** Did I imagine having my own information management consultancy? No. Did I think about following a path that was rewarding, interesting and fulfilling? Yes. I think it has happened through a mixture of both planning and panning

**Alison North:** I never had a master plan. When at 17 I discovered that as a woman I could not join the Royal Navy and serve on a ship, I had no second choice, so just drifted into secretarial work and from there to records management.

**Allison Hunter:** I didn't plan to be involved in the records management profession. I was a bookseller who obtained a degree in anthropology, and through a pure accident of fate had to choose between remaining a bookseller, part time, or a short term contract

in an archival authority with no fulltime guarantees. It's funny how things turn out sometimes.

**iQ: What is the one word that would describe your career to date?**

**Margaret Birtley:** Fulfilling.

**Wanda Lawson:** Variety.

**Alison North:** Fantastic!

**Allison Hunter:** Spasmodic.

**iQ: What are your plans/ambitions for the future?**

**Margaret Birtley:** To find new ways of achieving greater sustainability for Australia's heritage, and, perhaps in retirement, to visit some of the amazing overseas collecting organisations that I haven't yet seen.

**Wanda Lawson:** I turned 50 in October, and really, I just like to enjoy life and to continue on continuing on. Last year, my key goal was to complete a half marathon, and I ran the Gold Coast. This year I had a goal to have both my husband and I work on a client engagement together in a location other than Brisbane; I recently achieved this. I'm figuring exactly what I want out of next year.

**Alison North:** I am 60 next year and I want to write another book and do more mentoring and pass on my skills and experiences to new records managers before I decide to stop (if ever). I also have many more business and new technology ideas I'd like to develop.

I want to get more involved with charity, polish up my French and read more of the books on my book list. Combine that with climbing Everest or some other big mountain, flying a plane and/or a racing car. Well, you get the picture. There is not enough space in this journal to list everything I'd like to do.

**Allison Hunter:** I'd like to write more readable and practical documents; stuff that people actually find helpful and can put into practice in their organisations.

**iQ: What would be your advice to an ambitious young RIM?**

**Margaret Birtley:** Active membership of your professional association can help you to stay connected with the industry and bridge gaps in regular employment. So, maintain your subscriptions, contribute to list discussions, join a committee, and always have a business card to promote your contact details.

**Wanda Lawson:** Participate in all aspects. Don't accept excuses.

**Alison North:** Don't get stressed. Your instinct will tell you what to do. Follow your dream, but always recognise you're not superhuman, and you don't have to be.

**Allison Hunter:** For every professional goal you want to achieve, find a personal one, and delight in achieving both. **iQ**

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# ACHIEVING THE RIGHT BALANCE: Recordkeeping informatics

PART 1

The concept of informatics encompasses both the technological and social aspects of information systems. The authors argue that taking an informatics approach to recordkeeping will enable records managers to successfully deal with the problems inherent in the digital environment. If this does not occur, they say, the occupation of records manager may disappear altogether.

BY GILLIAN OLIVER, JOANNE EVANS, BARBARA REED, AND FRANK UPWARD

Many disciplines have taken up informatics as a concept that captures the richness, complexity and variety of skills, practices, theories and knowledge that power the systems of the information age. The informatics approach is an enabler of greater flexibility in systems so that they may better balance and be responsive to individual, business and government recordkeeping needs.

The overwhelming majority of records created and received by organisations today are digital, and it has long been recognised that the 'traditional' records management strategies and approaches developed for the analogue environment simply are not up to the job of managing evidence in today's communication environments.

In other words, the discipline of records management faces a crisis and practitioners must demonstrate their relevance in the digital world.

We propose that better – more efficient, more effective,

more reliable, more sustainable management of evidence – comes from understanding and appreciating the informatics, knowing not just about managing records, but also about managing the systems and processes in which they are created, captured, managed and consumed.

## INTRODUCING RECORDKEEPING INFORMATICS

The purpose of this paper is to introduce the concept of recordkeeping informatics and to outline an approach to its implementation in organisations.

We begin by defining informatics, seeing how it is used in other disciplines and explaining its relevance to current recordkeeping. This is followed by a brief overview of each of the five parts or facets that comprise recordkeeping informatics.

In conclusion, we urge those responsible for the management of current records to accept the challenges of the digital environment and in so doing to actively engage in re-shaping and broadening their philosophy and approach.





## Story Snapshot

- Records management faces a crisis
- RIMS should broaden their approach to meet digital challenges
- Informatics offers a new approach

### What is Informatics?

Informatics has been defined as follows: 'Informatics is the science of information. It studies the representation, processing, and communication of information in natural and artificial systems. Since computers, individuals and organisations all process information, informatics has computational, cognitive and social aspects.'

'Used as a compound, in conjunction with the name of a discipline, as in medical informatics, bio-informatics, etc., it denotes the specialisation of informatics to the management and processing of data, information and knowledge in the named discipline'.

Successful technological innovation and process change requires understanding of the intricacies of information interactions within systems – knowledge of implicit as well as explicit factors that impact on efficacy, efficiency and effectiveness, and an understanding and appreciation of contexts and their interaction with content and structure.

Many disciplines have taken up informatics as a concept that captures the richness, complexity and variety of skills, practices, theories and knowledge that power the systems of the information age.

A notable example of this is in the healthcare field. In this context, informatics is explained as particularly focusing on:

- "understanding the fundamental nature of these information and communication systems, and describing the principles which shape them;
- developing interventions which can improve upon existing information and communication systems;
- developing methods and principles which allow such interventions to be designed;
- evaluating the impact of these interventions on the way individuals and organisations work, or on the outcome of the work."<sup>ii</sup>

Synergies with what is clearly necessary in recordkeeping environments are obvious. Recordkeeping informatics encompasses all that needs to be known regarding the construction and destruction of information objects that evidence actions in and through space and time.

The first bullet point above, understanding and describing the fundamental nature of information systems, succinctly states the starting point required in order to move forwards – in other words, in order to do anything at all to achieve the desired objectives.

It is this point that is so often not addressed; recordkeeping practitioners may face significant pressures to fix problems, but 'fixing' is likely to be doomed to failure if that fundamental understanding is not present.

It is essential when thinking about this primary focus in the recordkeeping context to consider information and communication systems in the broadest possible sense, that is embedded in organisational and societal frameworks. This emphasises the need to identify those environmental features which shape and

influence information and communication systems, and in turn the capacities and constraints for recordkeeping within them.

Understanding the complexity and features of the information management framework that surrounds and influences recordkeeping processes is essential. We suggest that a continuum approach is a way of making sense of the network of skills and knowledge that recordkeeping systems analysts will need to draw upon when designing, implementing and evaluating systems for managing records and recordkeeping.

### What is a Continuum Approach?

By 'continuum approach' we are referring to the application of continua models as a practical device to provide a way forwards. We envisage recordkeeping informatics starting with the axes of the records continuum model (recordkeeping) and moving on to the other continuum models (informatics).

The Records Continuum Model provides the recordkeeping perspective, relating to our business activities in the broad sense referred to by Barbara Reed:

"...As members of society at the beginning of the twenty-first century, we are enmeshed in the world of records to the point where they become almost invisible as just a part of the background to the conduct of our lives ... at times of crisis ... we turn to or seek authoritative records to support or deny actions and provide us with accounts of what happened, when and who knew about it."<sup>iii</sup>

Developed by Frank Upward in the 1990s, the Records Continuum Model is widely known as a theoretical model, but perhaps not so widely appreciated as a vibrant and dynamic practical tool. The impetus for Upward's work was the need to provide 'new rules for a new game'.<sup>iv</sup>

The 'new game' was the challenge of managing records in today's digital world, when the accessibility of records is more important than their location. The linear and ordered model of the records' lifecycle is no longer appropriate as the theoretical basis for understanding the messy, fluid and dynamic world of digital records, which is characterised by ongoing change and forever emerging new technologies.

The extension of the recordkeeping model into recordkeeping informatics is via the other related models including the information continuum, the publishing continuum, the data continuum, the digital forensics continuum.<sup>v</sup>

For instance, the information continuum provides a unifying theory which distinguishes the different purposes for which recordkeepers and librarians manage information. Clear understanding that the primary purpose of records managers and archivists is to manage information as evidence for the purpose of accountability helps focus attention on the development and application of appropriate tools and techniques, rather than trying to develop absolute rules for which media should be managed as records.

A continuum approach is clearly essential now with the advent of cloud computing and the world of social software, as it appears that the last traditional organisational defences against external chaos are crumbling.

Control of when, where and how records are created and maintained assumes nightmare proportions as records managers continue to attempt to impose techniques that were developed to manage orderly and tangible paper records, within the tight information boundaries of organisations of the pre-digital and networked world.

### RECORDKEEPING INFORMATICS

Our use of 'Recordkeeping Informatics' goes to the nub of the challenges facing records managers in this early part of the 21st century. Digital and networking technologies have significantly





» "RECORDS MANAGERS HAVE TO BE ABLE TO DEAL WITH TECHNOLOGICAL AND PROCESS INNOVATION..." «

altered the way we go about our business as an employee, as a citizen, as a taxpayer, as a family member, as a friend, as a member of a community, as a customer and as a consumer.

It is, however, not just technological change that recordkeeping systems have to accommodate. Shifts and transformations in individual and societal attitudes are also impacting on expectations of, and relationships with and between individuals, layers of government, industry and community organisations.

The nature of records is changing, as the nature of recorded information changes, along with the nature of the systems in which it is created, managed and consumed.

It is not enough for records managers to know how to manage paper records. They need to know how to manage the business of recordkeeping, that is, in the words of the Australian Records Management standard, 'making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information'.<sup>vi</sup>

This includes being able to be involved in the design of the capacities, and/or appraisal of the capabilities, of business systems to create, capture and maintain adequate records to meet 'operational business needs, accountability requirements and community expectations'.<sup>vii</sup>

Records managers have to be able to deal with technological and process innovation, be aware of the risks and opportunities that they bring for recordkeeping, and be able to capitalise on their efficiencies and effectiveness.

Better – more efficient, more effective, more reliable, more sustainable – records management comes from understanding and appreciating the informatics, knowing not just about managing records, but also about managing the systems and processes in which they are created, captured, managed and consumed.



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### The Significance of the Term

Our choice of the term “recordkeeping informatics” rather than “records management” is significant in two other respects. Firstly, it signals the degree of difference from the established approaches to the management of current records worldwide.

It clearly acknowledges the central role of information systems and technologies. It provides a clear point of departure from the philosophy that the principles to be applied to digital records are exactly the same as in the paper world. They are not, and attempts to do so result in frustrating failure.

Secondly, it is intended to convey the message that the issues and challenges of records is not simply the purview of a distinct occupational group known as records managers. The scope of practitioners concerned in one way or another with this area will also include information architects, developers, and business analysts.

We also conjecture that new occupations will emerge such

as metadata registry administrators, and that a group currently far too slight in numbers, recordkeeping systems analysts, will become a more noticeable part of the work-force.

### Five Component Parts

We envisage five component parts or facets that will have to be taken into consideration, in order to develop a recordkeeping informatics approach applicable to the management of current records. Taken together these five parts form a kind of kaleidoscope, layering and interweaving to produce a coherent whole. But that coherent whole is not fixed and immutable, nor should it be considered as a linear series of steps.

In the second part of this article, to be published in the next issue of *iQ*, those five facets will be discussed in detail, before the authors make the argument that, unless a recordkeeping informatics approach is adopted, records management may cease to exist. **iQ**

### About the Authors



**BARBARA REED** is a director and principal consultant of Recordkeeping Innovation Pty Ltd, in Melbourne, Australia. Barbara has consulted in the records, archives and information industries

for over 15 years, to clients in private industry, all tiers of government and non profit organisations, both in Australia and overseas, particularly in the Asia Pacific region.

Barbara is the Head of the Australian Delegation to TC 46 SC11 responsible for the development of the ISO 15489 in records management and a member of IT21, Standards Australia's Committee on Records Management.

She is an expert advisor to the AGLS working party on metadata standards for resource discovery. She conducts training and professional development courses in records and archives in Australasia, and is involved with recordkeeping research projects through associations with Monash University, Melbourne, and the Centre for Digital Information Management at Mid Sweden University, Sweden.

Previous employers include Monash University's School of Information Management and Systems where she spent 5 years as a senior lecturer at teaching both undergraduate and postgraduate programmes, specialising in recordkeeping and information management.



**DR FRANK UPWARD** is currently a principal researcher in the Centre of Organisational and Social Informatics at Monash University, Melbourne.

He worked as an archivist, data manager, information manager and recordkeeping systems analyst in government positions and

as a consultant before lecturing within archives, records, information management, and knowledge management specialisations at Monash University.

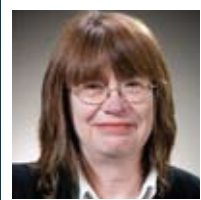


**DR JOANNE EVANS** is a Research Fellow at the eScholarship Research Centre (ESRC) at the University of Melbourne, Australia, and has been responsible for the design, development and deployment of the Centre's archival information systems in a wide range of archives and records projects. From 2003 to 2007, she undertook her

PhD as part of the Clever Recordkeeping Metadata Project at Monash University, investigating infrastructure for sustainable automated recordkeeping metadata capture and re-use.

Joanne has also been involved with recordkeeping and resource discovery metadata standards development as part of working groups within Standards Australia's IT 21/7 Committee and with the Australia Society of Archivist's Committee on Descriptive Standards.

Her current research interests at the ESRC lie in exploring ways in which recordkeeping principles are applied into scholarly practices in order to meet the challenges of the digital and networked age particularly for the humanities, arts and social sciences.



**DR GILLIAN OLIVER** is currently Senior Lecturer in Archives and Records Management at the School of Information Management, Victoria University of Wellington, New Zealand. She is actively involved in digital preservation, having undertaken research at HATII, University of Glasgow, and developing digital archiving capability for Archives New Zealand.

Prior to this she led the development and delivery of online education for records and information management at The Open Polytechnic of New Zealand. Her professional practice background spans both libraries and records management. She established and is the listowner for nzrecords, an electronic discussion forum for both records managers and archivists.

Dr Oliver received the EFMD/Emerald Award for Outstanding Doctoral Research in Information Science for her study of the interactions between organisational cultures and information management. This research focus was the result of working in three countries (United Kingdom, Germany and New Zealand).



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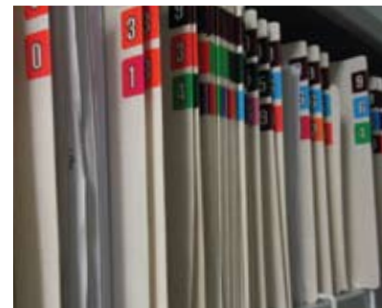
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# A Business Classification Scheme as a tool for change at the Brotherhood of St Laurence

Nonprofit organisation the Brotherhood of St Laurence (BSL) entered uncharted waters when its new – and first ever – Records Manager this year took it down the road of a Business Classification Scheme (BCS), starting with the DIRKS methodology. This article chronicles the progress of the project to date, as BSL strives to balance its service needs with its records management priorities, and as the Brotherhood discovered some unexpected project outcomes.

BY LEISA GIBBONS

## Story Snapshot

- BSL is operated by 600 employees and 1200 volunteers
- Until the author joined the organisation this year, BSL had no records manager
- Creation of a retention and disposal schedule was given top priority



Brotherhood of St Laurence family day care; opposite, BSL founder Father Tucker

The Brotherhood of St Laurence was founded by Father Gerard Kennedy Tucker as a religious order of the Anglican Church on the 8th December 1930, in a parish church in Adamstown, Newcastle. In 1933, the Brotherhood moved to Melbourne, eventually establishing its headquarters in the inner city suburb of Fitzroy, where it currently still operates. The BSL vision is to work towards, "An Australia free of poverty".

The organisation is incorporated under the Brotherhood of St Laurence (Incorporation) Act 1971 of the Victorian Parliament, which sets out a constitution for it. Current services provided by the Brotherhood include: job training and placement programmes; care for the elderly and people with disabilities; early childhood development programmes; and support services for newly arrived refugees and migrants.

These services are delivered over a large physical area, from Craigieburn in Melbourne's north, through inner Melbourne and down to Frankston on the Mornington Peninsula.

Over the last 10 to 15 years, the BSL has grown rapidly and currently administers multiple sites with a current workforce of over 600 employees and 1200 volunteers. With rapid growth came increased professionalisation, and to this end the organisation has highlighted the strategic value of knowledge generation and retention.

In May 2008 the BSL appointed a Knowledge Manager, who sits in the Research and Policy division and manages the BSL



Information Centre, which includes the library and, since March 2009, the very first BSL Records Manager.

The primary objective of the new appointment was the establishment of an organisation-wide records management function which would rid the BSL of its heavy burden of paper records.

It was agreed that creation and implementation of a BSL Retention & Disposal Schedule was top priority. As a result, a DIRKS project was initiated and ran from mid April to the end of July, 2009, with the aim of creating a Business Classification Scheme (BSC) to inform the construction of a Retention & Disposal Schedule. DIRKS steps A, B, C and E were undertaken to collect relevant data from historical documentary sources, and from surveys and interviews with current staff.

### INVESTIGATING BUSINESS FUNCTIONS AND ACTIVITIES

The investigation into the nature and culture of the BSL found that it is an organisation where innovation is combined with a passion for client service. At any one time there are many ideas in development, and in implementation at various stages, as well as those that are in the process of becoming part of the organisational memory.

The current organisational structure includes governance in the form of the Board of Directors and charter and life members, as well as board-appointed committees to oversee various operational areas. In addition, there are eight service activities which are generally called divisions. (See Fig. 1)

Investigation on the client-focused business areas funded directly by external entities, such as those found in Community Services, Social Enterprises and Research & Policy, revealed that the range of business activities, as well as the relationships developed and business requirements are very diverse.

Stakeholders in programmes include various federal and state government agencies, as well as local government and private enterprise. It was also found that the nature of constant tendering for Government or other programme funding contributed to the reasonably constant rollover of programmes and projects.

Information collected from the surveys of relevant staff also revealed a heavy work practice in the establishment and maintenance of relations with people external to the organisation, supporting the analysis that external relationships influence business activities.

The five top activities performed by employees were: reports (90%), information requests (90%), procedures (86.7%), external relationships (83.3%) and meetings (80%). Furthermore, a majority of individual job activities involve: support, organisation, management, sourcing and strategy.

Historically, the organisation has always been active in generating new ideas and advocating empowerment and transformation. An investigation into historical activities concluded that most functions of the organisation were established within the first 20 years of its existence and have remained consistent over time. (See Fig. 2)

The investigation into types of records being created and managed revealed, significantly, that the two primary types of records created at the Brotherhood are client files and correspondence. However, there are also considerable recordkeeping processes around audit and compliance, as well as project work, strategy, agreements, research and evaluation.

Overall, the DIRKS analysis provided evidence that individual work units are heavily influenced by relationships with external authorities which contributes to perceptions of independence and isolation. Reasons for this come from the numerous funding

DIVISION	DESCRIPTION
Chaplaincy	The role of the Chaplaincy is to work with the community to support the staff, volunteers and clients.
Finance	Undertakes activities to manage financial obligations of the Brotherhood as well as provide high level advice, strategic direction and leadership for the Brotherhood principally in strategic financial matters and resource allocation decisions.
Research and Policy	Undertakes research projects and advocate BSL strategy on public policy. Also provides service evaluation and development in partnership with funding organisations, including Government.
Social Enterprises	The division's objective is to manage and develop profitable social enterprises that contribute to the Brotherhood's social objectives and are consistent with BSL Values. Social Enterprises develops innovative programmes as businesses which support BSL social objectives and often have relationships, funding or otherwise, with local, state and federal government agencies.
Aged & Community Care	Looks after the aged community with community care services, day care, independent living units, residential care – low and high care, as well as disability support services and social inclusion programmes for older people, and particularly those with an intellectual disability. This division is highly regulated and obtains government funding for providing aged services.
Community Services	Within its structure are various service operations running as independent departments, which initiate and acquire funding for programmes they develop.
Organisational Services	Contains the majority of the internal operations departments such as HR and IT.
Communications & Development	Looks after public relations, corporate partnerships, fundraising and some publications. This department, although not usually receiving direct funding through programmes, is instrumental in developing relationships with the community, including other organisations and government, to secure support, financial or otherwise.

Fig 1: Brotherhood of St Laurence Service Divisions

Chaplaincy	Advocacy campaigns. Also referred to as social action, social reform, public affairs, public education & social policy.	Human Resources including employees and volunteers
Governance	Promotions and publishing	Providing community services and programmes
Finance	Enterprises and businesses	Research
Fundraising and donations	Auxiliaries	Renting and purchasing property and assets

Fig. 2: Historical activities of BSL





providers structuring service delivery models, which in effect, promote autonomous governance and expertise.

Finally, this analysis also revealed the significance that advocacy and strategy has on the Brotherhood and that advocacy activities are found within the current practices of Communications & Development, Community Services, Research and Policy, as well as in Governance, including the vision of the organisation.

The identity of the organisation is strongly tied to its history of advocacy, and much emphasis is placed on finding innovative services to those clients most in need.

### CREATING THE BSC

The primary challenge in creating the BSC was the long history of interchanging the words 'programme', 'service' and 'project' to mean very similar activities. Clarification of these terms in respect of financial support has meant that service is often a conceptual collection of activities.

For example, Family Services. Project is now defined as an activity that contributes to the development of programmes. Therefore programmes are now specific, funded activities, such as the *Stronger Families* programme being run out of the Ecumenical Migration Centre (EMC).

Information Centre staff workshopped how to conceptualise the large division of Community Services which contains multiple programmes and service centres each with strong links with external funding bodies.

The challenge of this task was to get the librarians thinking about activities rather than subjects. The end result was that the collective mind was able to break down the issues into smaller transactional components, which eventually found resolution in the BSC.

In addition to using the above information gathered from the DIRKS project, resources from other organisations were used, including a draft disposal schedule and BSC kindly shared by fellow nonprofit agency the St Vincent de Paul Society. Griffith University's BSC, thoughtfully published to the web, was also consulted, as well as other information gathered from PROV Retention & Disposal Authorities.

The resulting BSC is summarised opposite.

### THE FUTURE VISION OF BSL RECORDS MANAGEMENT

The goal of the new Records Management programme at the BSL is to promote good recordkeeping practice to support all business needs. The BSC, originally created as a tool to help develop a Retention and Disposal Schedule, is now being unexpectedly used to promote common business requirements and activities shared by the large divisions across the organisation.

Records management at the Brotherhood has a 3-year plan which involves developing and implementing a retention & disposal schedule along with recordkeeping policy and guidelines to support good recordkeeping and information sharing.

Organisational change is inevitable, and the BSC provides evidence to support and encourage change to balance the needs and circumstances of independent departments with an organisation-wide strategy. **IQ**

### THE BSL BSC

FUNCTION	ACTIVITIES
<b>Chaplaincy</b>	
Activities associated with providing a chaplaincy service within the organisation.	Education
	Pastoral Care
<b>Governance</b>	
Activities associated with the management of the organisation to ensure accountability within its statutory environment.	Corporate Identity
	Annual Reporting
	External reporting
	Governing Boards and Significant Committees
	Other internal committees or clubs
	Risk Management
	Strategic Management
	Elections
	Audits
	Legal Services
<b>Finance</b>	
Activities associated with the management of the organisation's financial resources.	Financial Management
	Policies and Procedures
	Grants and funding Management
	Trust Fund Management
	Fundraising and Donations
<b>Asset Management</b>	
Activities associated with the management of organisational assets including equipment & stores, fleet management, property management, technology & communications and related policies & procedures.	Equipment & stores
	Fleet Management
	Policies and Procedures
	Property Management
	Technology & Communications
<b>External Relations</b>	
Activities associated with the establishment of a relationship with a body external to the organisation. It includes relationships with Government, community, funding bodies, consultants and other community organisations. Excludes advocacy records.	Consultants
	Associations/Auxillaries
	Fundraising Campaigns
	Policies & Procedures
	Public Lectures and Conferences
	Visits
	Community Relations

#### About the Author

LEISA GIBBONS has been the Records Manager at the Brotherhood of St Laurence (BSL) in Melbourne since March, 2009. Previous to the Brotherhood, Leisa worked as an archivist at the BHP Billiton Archives.

Leisa completed her Masters of Information Management & Systems (MIMS) at Monash University, Melbourne, in 2007, with specialisations in librarianship and records & archives management. In addition to her position as BSL Records Manager, Leisa is studying a PhD in archival science under Sue McKemmish as part of the Centre for Social and Organisational Informatics at Monash University. Leisa's research expertise is web 2.0 technologies, born digital moving image, and online social and community recordkeeping.

FUNCTION	ACTIVITIES
<b>Internal Relations</b>	
Activities associated with developing and managing of internal relationships and communications.	Communications
<b>Community Services</b>	
Activities associated with delivering services and programmes to clients.	Training and development
	Residential Care
	Community Programmes
	Policies & Procedures
	Licensing and accreditation
	Strategic Development
	Funding applications
	Client files
<b>Research</b>	
Activities associated with the investigation or inquiry into a subject of interest.	Collaborative Ventures
	Consultancy
	Funding applications
	Commercialisation (for funding)
	Ethics
	Research data
	Programme Evaluation
	Publications
	Strategic Development
<b>Human Resources</b>	
Activities associated with managing staff and employees to fulfil their duties of employment within the organisation.	Evaluations
	Industrial Relations
	Promotion
	Selection and Recruitment
	Staff Development
	Staff Exchanges
	Staff Files
	Leave

» “MUCH EMPHASIS IS PLACED ON FINDING INNOVATIVE SERVICES TO THOSE CLIENTS MOST IN NEED” »

FUNCTION	ACTIVITIES
<b>Human Resources <i>continued</i></b>	
	Occupational Health and Safety
	Personnel Management
	Policies and Procedures
<b>Enterprises</b>	
Activities associated with the development and management of business solutions for the organisation.	Statutory applications
	Financial Management
	Strategic Development
	Business Operations
<b>Knowledge &amp; Information Management</b>	
Activities associated with recording, distributing and managing information access, retrieval and creation across the organisation.	Records Management
	Library & Collections Management
	Copyright
	Privacy
	Statistics reporting
	Security of sensitive records
	Publishing
	Policies & Procedures
	Information requests
	Intellectual Property
	IT systems
<b>Advocacy</b>	
Activities associated with influencing public policy.	Political commentaries
	Submissions to Government
	Strategic

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# Streamline Information Access and e-Discovery to Control Risks and Reduce Costs

How do you enable RIM and legal teams to keep information assets from becoming liabilities, and from becoming the basis of a nightmare e-discovery scenario for you organisation? There is a repeatable, defensible strategy you can put in place.

BY PAUL McCLURE



## Story Snapshot

- E-discovery represents 35% of the cost of litigation
- RMs must be able to identify what to save for compliance and e-discovery
- New e-discovery software lessens the burdens

Here is the challenge – e-discovery today represents 35% of the cost of litigation. Companies that fail to produce information in a timely or appropriate manner face the risk of paying millions of dollars in sanctions and fines, not to mention loss of corporate reputation, lost revenue and embarrassment (Osterman Research, June 2008).

To complicate matters, the amount of data being stored, managed, administered and protected by organisations is exploding. Evolving case law, regulatory pressures and privacy acts only add to the confusion. As a result, e-discovery timeframes and compliance SLAs are regularly being overshot, causing unnecessary risk and exposure.

### MORE THAN JUST ARCHIVING

Software now exists that can assist companies to investigate message and file archives, along with backup data, providing

the most comprehensive and risk adverse electronic disclosure solution that exists today. Having an effective and proactive legal discovery strategy can mitigate risk and reduce the costs associated with litigation.

Responding to legal action is more than just archiving. The capability to manage backup data, along with archived messages, is becoming increasingly more important as courts begin to look beyond email for discovery.

Software uniquely provides capabilities for search and retrieval across all data types and data copies with a Singular Information Management® approach. A single interface enables the archive, find, search and retrieval capabilities necessary to meet the increasing demands for retention and retrieval regardless of data source or media type.

With more business being conducted electronically, records managers must be able to identify content that should be saved to help facilitate proper corporate governance and discovery.

### A SINGULAR APPROACH

A singular approach allows companies to automatically classify content so it can be easily leveraged for business purposes and effectively execute legal holds across all electronically stored information (ESI).

Look for a legal hold feature that spans email, files and backup tapes to minimise corporate disruption, maximise protection and



eliminate the reckless disposal of evidence based on regular retention policies.

Not limited to legal action, users abiding by internal governance or compliance rules can also leverage the legal hold feature set for adherence to company policies that mandate the retention and disposal of certain documents and information.

### SAVE TIME AND MONEY

Consider the true costs of e-discovery, apart from the obvious risk of fines or sanctions due to data management missteps. The drain on corporate resources, the results of lost productivity from legal fishing expeditions, the astronomical costs of outsourcing e-discovery actions – all of which directly influence your company's bottom line.

### SUMMING UP

There is no doubt that we live in litigious times. The chances are pretty high that your organisation is a target for litigation or electronic discovery.

A consistent, repeatable and defensible strategy for promptly meeting e-discovery challenges is the only way your organisation can reduce the risk of a legal or public relations nightmare.



### About the Author

PAUL McCLURE is the Sydney-based Product Manager for CommVault Asia Pacific and Japan, with responsibility for all product management and product marketing operations in the region.

Paul has been with CommVault for over 4 years, during which he has undertaken many roles, including pre-sales, sales, specialist and product management. Prior to joining CommVault, he worked in a variety of storage and data management roles for Systems Integrators, Brisbane.

Overall, Paul has more than 11 years IT industry experience in end user, systems integration and vendor roles, with a major focus on data protection, archiving and storage.

Paul married last month, in Sydney.

### SOLUTION BRIEF: WHAT TO LOOK FOR IN E-DISCOVERY SOFTWARE

#### Key legal benefits

- Enable efficient, end-to-end e-discovery.
- Simplify and accelerate the review process, saving on outsourced costs.

- Empower legal and business teams to conduct their own e-discovery searches, eliminating the IT bottleneck.
- Enable global legal holds and federated search of all ESI.
- Perform early case assessments and prepare for opposing counsel negotiation.
- Ensure the integrity of original data for it's court submission.
- Weigh the costs of settling vs. the cost of discovery.
- Mitigate the threat of sanctions and fines.

#### Key RIM benefits

- Reduce in-house e-discovery burdens and costly outsourcing fees.
- Leverage search across multiple data types from a single interface.
- Identify, collect and preserve critical information assets.
- Produce, retrieve and review all discoverable data on demand with a repeatable and defensible strategy.
- Manage data from its creation to deletion across all repositories.
- Address legal hold requirements across all ESI.
- Provide audit-ready reporting.
- Identify and classify "records of business".
- Manage ESI proactively to prepare for data mapping exercises and meet and confer sessions. **iQ**



# ☒ ☒ ☒ ☐ ☒ ☒ A legal checklist before taking off into the cloud

There are at least eight areas where a move to cloud computing should not be contemplated unless the legal requirements can be demonstrably satisfied.

BY DR COLIN BOSWELL



## Story Snapshot

- Cloud computing is the new toy on the RIM block
- There are major legal implications to outsourcing RIM functions
- Look before you leap onto the cloud

Cloud computing is promoted as the next disruptive technology in the organisational use of IT. If this does happen, no matter what else changes there are some verities which must not change, in particular meeting legal requirements.

There are major legal implications involved in outsourcing IT service to cloud computing vendors. The key legal issues associated with cloud computing are:

- Discovery requirements.
- Auditing and security obligations.
- Data privacy and geopolitical obligations.
- Data protection and access.
- Meeting business obligations.
- Service quality assurance and vendor penalties.
- Contract termination<sup>1</sup>.

Until these are satisfactorily addressed, no organisation should consider moving its IT operations to a cloud computing environment. This article summarises the implications for each of these legal issues and suggests applicable responses.

### 1 Discovery Requirements

In a legal context, discovery requires a party to provide all relevant documents that are in its possession, custody or control. That means that the party is obliged to produce all documents in its control, even if these are not literally in its possession when the demand is made, and, instead, are located in its vendor's cloud computing system.

An organisation relying on one or more cloud computing providers for document storage may be required by law to produce all documents that it has the practical ability to obtain, including those managed under contract by its cloud provider/s.

Organisations using cloud providers for document and data storage should require the vendor/s to assure the authenticity and reliability of the material they are hosting, including associated metadata. They should also ensure that the contracts with their cloud providers define clearly the latter's responsibilities with respect to discovery and other litigation requirements.

### 2 Auditing and Security Requirements

An organisation's auditors must be able to give assurance on the control procedures relating to outsourced functions performed by independent service providers, including cloud computing vendors.

In Australia, the relevant guideline is AGS 1042 Control procedures at outsourcing entities<sup>2</sup>. The equivalent New Zealand guideline is New Zealand Auditing Standard No. 404 Audit Considerations Relating to Entities Using Service Organisations.

It would be particularly unwise to opt for a cloud vendor who could not guarantee to meet national auditing and security standards or an equivalent (such as SAS 70).

### 3 Data Privacy and Data Location Obligations

National and local privacy legislation may determine whether, and where, personal and related data can be stored in the cloud.

For example, European Economic Area legislation requires that, "Personal data shall not be transferred to a country or territory outside the European Economic Area unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data".

Information about Australian privacy protection legislation and online privacy, and related factors can be found at the website of the Australian Privacy Commissioner, and at the Electronic Frontiers Australia site. In New Zealand, the Privacy Act 1993 and subsequent amendments governs data privacy.

Note that in any outsourcing arrangement, the client, and not the provider, is likely to be held responsible for any lack of compliance with data privacy legislation.

Before an organisation puts any personal information – staff, customers or individuals, prospects or contacts – into a cloud computing environment, it is essential that the cloud service provider guarantees that its data storage and access controls meet all applicable legislation.

### 4 Data Protection and Access Requirements

Multiple organisations using a single cloud vendor for, say, a common application, may have their data co-located with those of others and possibly spread across an ever-changing set of hosts and data centres.

It is essential that each organisation's data are isolated from that of others and that there is no data leakage. It is also essential that data are not lost and that satisfactory recovery processes are in place.

The cloud vendor/s must be able to guarantee the organisation that they can support data segregation and data recovery.

The cloud vendor/s must also guarantee that they have mechanisms and controls in place that protect client data from the vendor/s' or others' staff, especially privileged administrators.

### 5 Business Continuity Requirements

Ideally, the cloud computing provider will always be available to support the client's systems at the specified levels. Ideally, too, its resources, and your processes and data, will never be suddenly sequestered and become unavailable.

In an ideal world, a vendor should not discontinue its operations but, if it does, it will ensure a smooth transition from its services. Yeah right! Just some examples: Yahoo recently announced that it will close GeoCities. Microsoft has announced that it is going to close its Popfly online mashup service. And, two years ago, Google terminated its pay-to-download Google Video service.

While users of these services may not have had legally binding contracts with the suppliers, they did not anticipate the service being withdrawn. Most users of Gmail are in a similar situation.

Ideally, the cloud vendor will guarantee ongoing access to data and processes. If not, then the prospective client must ensure there are satisfactory fallback processes to manage the risk of the provider not honouring the commitment.





## » “IDEALLY, IT IS BEST THAT A CLOUD CUSTOMER HAS THE LAWS IN ITS COUNTRY OF ORIGIN TO GOVERN THE AGREEMENT WITH THE VENDOR” «

### 6 Service Quality Requirements and Vendor Liability

A quick examination of many cloud vendor service level specifications shows that they are heavily weighted in favour of the vendors<sup>3</sup>. Further, it is unlikely that any but the most powerful potential client has any chance of altering such terms and conditions.

Most cloud vendors will, in limited cases and for paying clients, accept some liability for not meeting SLAs. Generally, any reimbursement is limited to service credits that can be applied against future charges.

Organisations must carefully review any prospective cloud computing vendor's proposed terms and conditions, identify what is promised, what recompense there will be in the event of failure, and how this will be determined. Further exploration towards a sourcing contract should only continue if these terms and conditions are acceptable to all parties.

### 7 Termination and End of Contract Requirements

IBRS research shows that a large proportion of outsourcing contracts are re-negotiated or terminated early<sup>4</sup>.

Experience suggests that termination issues will be minimised if they have been satisfactorily negotiated as part of the original contract. If not, they will need to be finalised prior to the exit.

The latter places the terminating organisation at a significant disadvantage, with a high probability of involving lawyers, leading to a potentially expensive and disruptive exit.

Any organisation moving some or all of its functions to the cloud should ensure that exit and termination requirements have been agreed and included in any contract.

### 8 Jurisdiction of Any Contract/s

Ideally, it is best that a cloud customer has the laws in its country of origin to govern the agreement with the vendor. If not, and if there is a dispute, the customer will have to undertake proceedings in an overseas jurisdiction. This may act as a significant disincentive to seeking redress through the courts of that country.

#### NEXT STEPS

Before committing to outsourcing IT functions to cloud computing vendors:

- 1 Remember the key legal issues that need addressing:
  - Discovery requirements.



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- Auditing and security obligations.
- Data privacy and geopolitical obligations.
- Data protection and access.
- Meeting business obligations.
- Service quality assurance and vendor penalties.
- Contract termination.
- Contract jurisdiction.

- 2 Obtain legal advice and assurance that the contract/s with the proposed vendor(s) minimise risks that the client organisation may not be able to meet its legal requirements.

- 3 Have auditors review the vendor's security and privacy provisions to ensure they meet applicable national and international obligations.

At this stage, you might consider using the IBRS "SaaSability" Service Level Checklist as one of the tools for vendor evaluation.

Only when the lawyers and auditors have satisfied the IT governance committee that the proposed conditions are acceptable should negotiations and evaluations continue. **IQ**



#### About the Author

DR COLIN BOSWELL is an advisor with IBRS, spreading his time between bases in Australia and New Zealand. He has significant experience with ICT management and consulting. Dr Boswell specialises in business continuity planning, green IT, organisational ICT reviews and restructuring, IT-related strategy development, review and implementation, strategic sourcing, and external quality assurance of ICT systems and projects.

Prior to IBRS, Dr Boswell was the New Zealand Consulting Director, Gartner, and prior to that was Partner responsible for the New Zealand IT Practice for PA Consulting Group.

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# THE COST OF POOR RECORDKEEPING:

## Has the penny finally dropped?

Doubts about the accessibility and accuracy of electronically stored information. Sky high compliance and e-discovery costs. It all sounds so familiar. But, according to a new survey, there is light at the end of the RM tunnel.

BY ANDREW WARLAND

A major challenge for many organisations around the world is managing the volume of mostly uncontrolled and unstructured digital information stored in email systems, across network and non-network locations and, increasingly, in the Internet cloud.

Very few organisations can confidently claim to have this problem under any real control, and many have adopted limited point solutions that include acquiring records, document and content management systems, locking down drives, archiving emails, limiting access to internet based applications, implementing search-based solutions, and even maintaining a 'print to paper' approach – leaving the original digital version in place.

But, even in organisations that have acquired and implemented purpose-designed solutions to manage it, there is often still a problem with the volume of unstructured digital information; few of these solutions seem to completely replace network drives and email systems. No wonder e-discovery requests are a concern!

According to a September 2009 Forrester research report titled 'Records Management: User Expectations, Market Trends, and Obstacles', only 50% of the (mostly North American) companies surveyed indicated they would be 'very confident' or 'somewhat confident' of being able to demonstrate that their electronically stored information was accurate, accessible and trustworthy for e-discovery purposes.

It is then not surprising that the cost of e-discovery is so high. A 2009 case in the Supreme Court of New South Wales (Richard Crookes Constructions Pty Limited v F Hannan (Properties) Pty Limited [2009] NSWSC 142 (6 March 2009)) bears this out – the likely cost for electronic discovery was estimated at around \$300,000 just for that single case.

### THE COST OF 'LOST' INFORMATION

The cost of discovery is one thing, but the costs associated with the inability to find the information required in support of, or to defend, a case, or adequately address compliance requirements because it is badly retained or organised, can be significantly higher.

The Forrester report quotes a figure of US\$253 million as a pay out in a 2008 case involving pharmaceuticals giant Merck and their drug Vioxx. This figure was later reduced. Merck finally reached a settlement of \$4.8 billion to end thousands of US state and federal lawsuits.

It seems, however, that the penny is finally dropping on the need to address these concerns. The findings of the Forrester report appear to show that it is bad business to put investment in records management on the back burner. Over 50% of the stakeholders surveyed for the report indicated that they would be investing in new licences or would try out new products.

Records managers need to get up to speed with these issues quickly, and be more directly involved in decision-making processes – only 36% of the companies surveyed indicated that they had consulted records managers when considering new IT deployments.

The Forrester report includes six necessary actions for records managers that include: being involved in decision-making processes, ensuring that all types of electronic information are included, ensuring retention policies are in place, better using technology and the vendor who provides it, and putting work into the development of good repositories.

As David Roe from CMS Wire ([www.cmswire.com](http://www.cmswire.com)) noted in a blog dated 14 September 2009, 'when you sit back and look at (the Forrester action plan), it all looks really obvious'.

That's a mighty truth ... and some! But are companies getting the message? At least one penny seems to be dropping. Organisations begin to see that, without actions like these, they are leaving themselves open to compliance madness and sky-high costs. **IQ**



### About the Author

ANDREW WARLAND is a Sydney-based RM consultant who currently works in local government. He has spent close to 30 years in information management; the first 19 years with the Australian Department

of Foreign Affairs and Trade. He later worked in private enterprise, where his clients included major Federal Government agencies and multinational corporations in Australia and New Zealand.

He is a member of the International Standards (ISO) sub committee developing a standard for digital preservation.



# Five steps

## to preventing terminated and unauthorised employees from accessing sensitive data

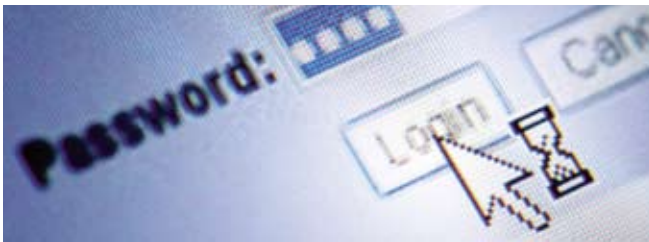
Redundancies and corporate re-organisations are an unfortunate reality in today's economic climate. Too often, businesses leave themselves vulnerable to a data breach or serious security incident during the redundancy cycle by not immediately revoking the network and application access points of terminated employees.

BY ADAM BOSNIAN

### Story Snapshot

- Internal data security threats are real
- A recent survey indicates that 71% of departing employees are likely to take your data with them
- There are steps you can take to counter this





» “REMEMBER, TRUST IS NOT A SECURITY POLICY, AND THE DAMAGE THAT INSIDERS CAN DO SHOULD NOT BE UNDERESTIMATED” «

Security threats from inside the organisation are not a new phenomenon, but layoffs and economic uncertainty can significantly exacerbate the problem. A recent Cyber-Ark survey, “The Global Recession and its Effect on Work Ethics,” found that 71 percent of the employees surveyed declared they would definitely take company data with them to their next employer.

The study further stated that “Top of the list of desirable information is the customer and contact databases, with plans and proposals, product information, and access/password codes all proving popular choices.”

Moreover, the “Jobs at Risk = Data at Risk” survey published by the Ponemon Institute, found that 59 percent of employees who were laid off, terminated, or who quit their jobs in the last 12 months admitted to stealing company data, and 67 percent admitted to using their former company’s confidential information to leverage a new job.

#### THE RESULT OF ORGANISATIONAL FAILURE?

When a security incident of this nature occurs, we tend to file it away as an example of an “employee gone bad.” In reality it constitutes a failure of the organisation to uphold their responsibility on behalf of the business to manage, control and monitor the power it provides to its employees and systems.

At a basic level, the organisation and its management has a fiduciary responsibility to ensure that access to critical information and applications is authorised and that it is continually monitored to make sure the resulting activity is authorised as well. The failure stems from the “perception of control” an organisation has over their most sensitive networks, systems and devices.

#### THE THREAT OF SHARED ACCOUNTS

The threat to an organisation is increased exponentially when the access is through administrative, shared or privileged accounts – these represent the most powerful IT users in an organisation, often providing wide-ranging access to most systems, application or database within the enterprise.

These privileged identities, which exist on virtually every one of the thousands of servers and applications within a typical enterprise, very rarely get changed, due to the presumed extra IT effort involved and the need to communicate the new settings to the IT staff, which if not done effectively could potentially impede or slow down an administrator doing a time-critical task.

This type of uncontrolled access can lead to dire situations. In fact, failure to control these privileged identities led to two of the more critical security incidents in the past year.

In 2008, the city of San Francisco was brought to its knees because an employee locked down the city’s IT system through a privileged account. And more recently, a Fannie Mae employee implanted a “logic bomb” on the company’s network because access to his privileged accounts was immediately revoked upon his termination.

#### FIVE STEPS TO PREVENTING SEVERE INFORMATION SECURITY INCIDENTS

If you’re concerned about this happening at your organisation, here are specific steps you can take to help prevent severe security incidents:

- 1 Improve internal security controls around privileged accounts via encryption, password protection, and auditing of system access;
- 2 Reduce the risk of internal data misuse by implementing policies and technologies which provide special treatment for privileged identities and ensure compliance with regulatory requirements;
- 3 Ensure administrative and application identities and passwords are changed regularly, highly guarded from unauthorised use and closely monitored, including full activity capture and recording;
- 4 Avoid sloppy habits when exchanging privileged and sensitive information, such as sending sensitive or highly confidential information via email or writing down privileged passwords on post-it notes;
- 5 Ensure provisioning, and more importantly deprovisioning, of user access in an immediate timeframe after employee status or role changes.

Remember, trust is not a security policy, and the damage that insiders can do should not be underestimated.

To thwart this threat, the first big step is making that key decision to effectively manage these privileged accounts, and then doing so in a streamlined manner that makes it efficient and transparent to the user.

Streamlining the management of privileged accounts by controlling who has access, when access was gained, what is being done with the sensitive data and why access is needed is critical in preventing a major security incident from occurring at your company. **iQ**

- This article first appeared in the September 2009 issue of the *Bulletin*, journal of the Records Management Society of Great Britain, and is reprinted in *iQ* with permission.



#### About the Author

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# TOWARDS INTEGRATION: the System & Mechanisms of Electronic Records Management in China

Electronic records management in China is a complex issue involving multiple players and leadership along the life of records. The assignment of jurisdiction and responsibility is a problem. The records management community has had little say in its own development, and the situation has been made even worse by newly-created IT management departments. To deal with these problems, the authors have proposed an integration road map consisting of five recommendations.

BY DR YUENAN LIU AND DR XIAOMI AN

### Story Snapshot

- In China, all records managers are 'archivists'
- The demands of e-integration are challenging old records management models
- A new approach is called for

The strength of the Chinese archival administration has been its relatively complete administrative organisations, the setting of an archives sector in every record-creating organisation and the ongoing reform of the administrative systems. However, such a system had a vital weakness in that the control of records was separated into different phases under different authorities, creating difficulties in life cycle records management and coordination of creation, capture and transfer.

The management of electronic records during their entire life involves records creators, records managers, IT people, and administrators from different departments, institutions and fields. It takes a long time. In China, a lack of clear assignment of jurisdictions and responsibilities over electronic records management approaches, processes and requirements from isolated and separated players has caused serious problems to the effectiveness and efficiency of e-government and e-business.

### ARCHIVES RATHER THAN RECORDS

In China, 'records' is a term not as commonly used as 'archives'. Traditionally, 'records' means only 'current records' referring to documented information created in the process of business and of use for their creating purpose.

'Archives' has a much broader meaning, referring to records with continuing value and worthy of preservation, including semi-current and non-current records. Therefore, people who are responsible for archives management either in creating organisations or in archives institutions are all called archivists.

### CHARACTERISTICS OF THE CHINESE ARCHIVES ADMINISTRATION SYSTEM

After half a century's development, a system of archival administration from the national level to the local level has been formed in China. Horizontally, the different levels of specific archival administrations hold responsibilities for archival supervision within jurisdiction areas.

Vertically, each government department established its internal archival administrative unit in charge of the archives management within the industry. Within this network, the State Archives Administration of China (SAAC) was responsible for the overall plan, organisation, coordination, regulation and guidance of the whole country's archival management.



Fig. 1 Records creating organisations and archives institutions sharing responsibilities of archives management





In records creating organisations, a relatively complete network existed comprising a senior executive, part-time archives managers in each business sector, and full-time managers of an archives sector. It used to be very effective.

“Senior executives presided at routine meetings to discuss problems, exchange experiences and better regulations of archives management. Thus records collection and archives management became an organic part of the whole organisation management chain and a daily operation of business sectors”. (Li, Z. 2008)

However, records management in the phase of creation, that is the records phase in Chinese terms, and in the phase of archival custody are separately supervised by authorities of the business administration and the archival administration.

The standards and approaches of each were completely different, lacking necessary connections and co-operation, and this has caused conflicts, blanks and disconnections. (Feng, 2007)

### IMPACT OF ADMINISTRATION REFORM

In 1992, China moved to build a market economy system with administration reforms focussing on streamlining government organisations and introducing decentralisation. This separated government functions and enterprise management.

Many administrative departments were closed down, and the number of governmental organisations decreased. In the process, some archives units of government departments were shut down and some of the vertical administrative archives management chains disappeared.

In the newly established self-disciplined industries, archives management was weaker than ever. Some have made no new archives management regulations since they were founded.

The organisational network that enterprise archives management in a number of business corporations have relied on is no longer in sight. The transfer of enterprise archival records to the national archives has now been changed to an occasional measure, happening only when the enterprise is bankrupt or no longer exists.

### IMPACT OF INFORMATION TECHNOLOGY

The wide application of information technology in government and enterprise has undermined the authority of archives administrators in China to a large degree.

Because electronic records are easy to change and are dependent on computer systems, the majority of organisations and individuals in China did not regard them as having evidential value, and did not take any archiving measures to control their creation, maintenance and use when they first faced the question. This has become one of the biggest obstacles for ERM.

Archival administrators' response to the IT challenges has been passive. So far, SAAC has only developed three national standards, two industry standards and one administration regulation related to ERM.

Backup systems of Chinese electronic records are in paper form, hardly effective for electronic records such as databases, emails, websites, wikis, etc. They cannot guarantee the authenticity of electronic records and electronic messages, and they lose contextual information and evidentiality of records.

Such practice has reduced the effectiveness and efficiency of e-government and e-business. Archives managers are in danger of losing authority for ERM.

Meanwhile, an evolving IT administrative network has been established throughout the country. In 2008, the central administrative authority was assigned to the newly built Ministry of Industry and Information Technology (MIIT) into which the former authority “Office of Information Technology of the State Council” was merged.



### SUGGESTIONS FOR IMPROVING THE CHINESE ERM SYSTEM & MECHANISMS

#### Optimising records administration

*Introduce a single authority with overall control of ERM across different administrative authorities:* This is important

for unified regulations, policies, standards and best practice approaches to the best value of ERM for e-government and e-business of society as a whole.

*Introduce a multi-player co-ordination organisation as the single authority, which can promote common measures to mutual problems:* Such a coordination organisation should have three features for good governance.

Firstly, only this coordination organisation should have the power of control over ERM across the country. Secondly, the coordination organisation would cover representative members, including General Office of the Communist Party of China (CPC) Central Committee, General Office of the State Council, MIIT, SAAC, Administration for the Protection of State Secrets and National Standards Institute.

Thirdly, this organisation should have an office in central government's overall management department to ensure powers of resource distribution and effectiveness in coordination.

Right now, a multi-department participated ERM policy is under consideration and has a relatively clear goal to establish a national ERM organisation.

*Empower SAAC via national legislation with responsibility to manage the creation of records and current records, such as amendments to the Archives Law of People's Republic of China and development of a Records Act.*

*Challenge archival administration professionals to improve their ERM knowledge and skills.* They should strengthen connections with records creating organisations, focusing on service rather than supervision. They should strengthen training and support, promoting good practice and encouraging innovation in archives management.



#### Optimising the Archival Repository Network

The layout of archival repositories has always been an important issue because the final destination of the electronic records matters.

Since 1992, only the public archives in China are independent institutions. Their collections belong to the country, and they have the obligation to provide public service. Other archives or archival sectors do not have such obligations.

This unjustifiable categorising of the archives repository has led to a disordered and institutionalised national archive resource. Numerous archival records which are national assets are actually in the custody of departments, corporations or even individuals. (Fu, 2007)

The national authoritative coordination organisation should pay special attention to this matter. The SAAC should identify, and project authority over, national archival repositories.

National control doesn't mean physically centralised storage, especially those specialised records appropriate to their industry field. For example, departmental archives and corporate archives of state-owned institutions could be given distributed custody but with a portal for public access to their records.



### Develop Professional Services

Archives administrations should be responsible for policies, standards and financial aids, resources and expertise to support the ERM applications. Developing professional services (specialist consulting services, specialist IT companies for EDRMS, etc) would help to promote this work.

If China could adopt international good practice from developed countries, archival administrations could provide guidance and solutions to ERM applications with clear policies and standards, rather than promotion of certain products.

The US Defense Department's "Electronic Records Management Software Applications Design Criteria Standard, DoD 5015.02" and the U.K.'s "Functional Requirements for Electronic Records Management Systems" both involved several years of standard testing work on ERM applications.

The European Union's 2008 second edition of "Model Requirements for the Management of Electronic Records" (Moreq2) will also take software testing as one of its major improvements.

China should take experiences from them and promote professional services through policy guidance, instead of direct administrative interference. (Liu, 2009)



### Build a Self-Adaptive Responsibility Chain

The current administrative system focuses on ERM work but lacks holistic PDCA (Plan, Do, Check, Act) control in terms and reviews for action.

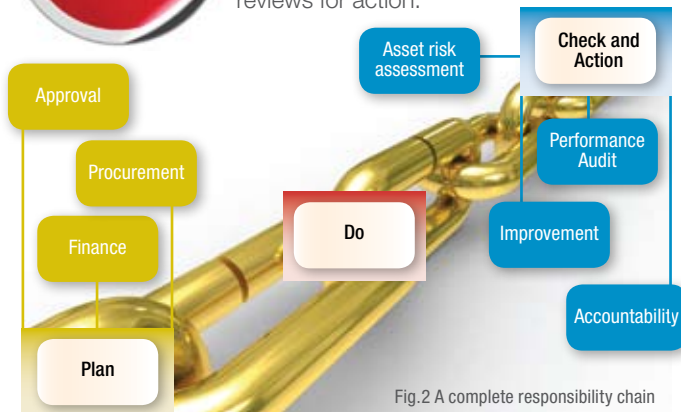


Fig.2 A complete responsibility chain

A complete responsibility chain should be built up to improve control of a self-adaptive system. Project planning mechanisms should be part of procurement and allocation of resources and finance. Audit mechanisms should be embedded into accountability, asset risk and performance. These should be matched to each other to guarantee support.

The goal is to ensure quality management of electronic records and the people involved from the very beginning. A good example, showing the way for China's future, came on May 14, 2007, when the national standard GB/T 20916-2007 (Unified Office document Format, UOF) was released.

Two months later, a deputy of the Beijing Congress proposed that the municipal government take the lead in the application of the UOF. The Municipal Information Technology Office agreed the government should procure software that supports the UOF and encourage professional applications, pilot projects, etc. This case is the first step of linking planning, creation and preservation into a connected chain in China. (Hu, 2007)

The purpose of an audit mechanism is that electronic records should be audited as business assets, and ERM should be part of the performance audit in both records creating organisations and archives institutions.

In countries like the US, Australia, New Zealand, Canada, the UK and Finland, audit reports reflect the performance of ERM in central or federal government helping to check and review ERM on a regular basis for ongoing improvement. (An et al 2008)

In China, there is some good news. The National Audit Office of China is heading towards overall performance audit centres for economy, efficiency and effectiveness focusing on authenticity and regularity. The office will promote establishment of an effective government performance management system. From 2012, all audit projects will have to undertake an annual performance audit (Bi, 2009). This includes ERM projects which are publicly financed.

In May 2007, the promulgation of the Chinese version of SOX (the US Sarbanes-Oxley Act, 2002), called here *Corporations' Internal Control Regulations*, required that legal business audits based on records evidence will replace administrative instructions and become the main method of monitoring the corporation.

In July 2009, *Temporary Regulations on Implementing Government Leaders' Accountability* was issued by the General Office of the CPC Central Committee and the General Office of State Council, which will help to complete the administrative responsibility system and evidence-based governance. In addition to this, information assets management is also under experiment.

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- ✓ Capture all emails automatically?
- ✓ Comply with legal requirements for records retention?



Find out how to beat the Email Challenge with  **ComplianceVault** from Maxus



All these facts show a continuously enriched monitoring system for the possibility of building integrated planning and auditing mechanisms.



### Enhance Co-operation

Co-operation must be the future direction for ERM applications.

First, enhance the co-operation between archives administrations and archives professional associations. In China, archives associations and enterprise archives management cooperation groups are active partners. Although some industries no longer have independent supervising departments, their archives associations are still alive.

Second, enhance the cooperation among archives, libraries, museums and data centres in the long-term preservation of digital information resources.

International good practice should be learnt and adopted, and there should be wide application of ISO14721 *Open archive information system (OAIS) Reference Model* across all fields. Trusted digital repositories are being built across the world, and Chinese archival administrations should more actively organise and participate in such co-operation.

Third, enhance the co-operation between the archives administrations at central and local levels. Since China's 11th 5 Year Plan, ERM projects are under construction across the country, but due to lack of overall planning and guidance, the majority overlap and repeat lower level jobs.

Finally, enhance co-operation between administrators, industry, the education sector and researchers. Impacts of administration reform and IT technology in administration and industry have provided opportunities for education and research in ERM – innovative research to meet both present and future demands.

Building research and development partnerships in ERM would not only avoid job duplication but also build new knowledge and



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skills to meet the challenges. Such co-operation is important for sustainable development of ERM and for capacity building across fields.

### CONCLUSION

Separation of responsibilities of records creation and archival custody is the main reason for conflicts and overlaps in managing records in China. The impacts of administration reform and IT applications have made the situation even worse.

To guarantee the authenticity, reliability, integrity and usability of electronic records, and to improve the effectiveness and efficiency of e-government and e-business, integration is the key.

Taking advantage of a centralised Chinese archival administrative system, the preliminary integration of records and archives management and the ongoing administration reform as the foundation could lead to the optimisation and innovation of archives management adaptive to the challenges from ERM. **iQ**

• **Acknowledgement** The authors' research is supported by the National Natural Science Foundation of China, (project number: 70673110). The authors thank Huiling Feng, Guojun Zhao, Yongjun Xu and Mike Steemson for their suggestions facilitating improvements to the paper.



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# Mastering the Business of Writing

Tired of your drafts being returned because of grammar and layout problems? Do people misread your emails, requiring another to 'clarify'? Do you struggle with the tone of difficult letters? Always amending team members' drafts? If you have answered 'yes' to any of these questions, then read on.



## IN BRIEF

**Title:** The Business of Writing

**Author:** Verne Ordman

**Publisher:** Verne Ordman & Associates

**Cost:** Varies by application



'The Business of Writing', a programme designed to improve writing for work, is available face-to-face, online, and through a ready reference book.

It involves 12 modules with sub-topics, explanatory text, activities and assessment tasks. Online, during activities, pop up boxes tell you why you have chosen a correct or incorrect answer, and you can redo questions. For each topic there is extensive supporting information and templates, which can be downloaded for future reference.

The online programme requires time and concentration. You may wish, or need, to do some topics more than once (I certainly did), but as you can access each topic four times you have plenty of opportunity to absorb and reinforce the information.

The small, hardcopy 'Business Writing' book includes many of the programme's tips, presented as a quick ready-reference for document layout, different headings, when to use text, punctuation, etc.

## WHAT DOES IT COVER?

The modules cover both straightforward and complex activities, including:

- Planning and constructing documents.
- Preparing instructions, requests and complaints.
- Debunking common grammatical myths.
- Constructing lists using numbers and bullets.
- When to use active and passive tense, especially for those difficult letters.
- How to shorten sentences and avoid over use of adjectives.

## WHAT WAS IT LIKE TO USE?

Navigation between screens and modules online is clear, and you always know where

you are and how to move back. The table of contents tells you how long you took for each unit, how many times you have accessed them, and your assessment mark. There is a mixture of on-screen activities, such as 'true or false', entering text and multiple choice.

For me, the online text is small in places, and some highlight colours were difficult to read. Some of the scroll boxes could have displayed more information, especially when you have to read and answer questions for activities.

These interface issues did not detract from my ability to work through the modules.

## WHAT DID I LEARN?

I have been writing for business and academic purposes for over 25 years, but I still learnt much from 'The Business of Writing'.

I learnt how to be consistent with punctuation in bullet points and how to make sure my sentences were not too long. One segment that I found particularly helpful taught me how to use passive voice to present less than positive news so readers will not be offended.

I have noticed a change already in my emails; I now make sure the reader knows what to do next, and if I want a response.

## IS THIS FOR YOU?

If you have to write for work – emails, reports, letters, procedures, job applications, or for study assignments – this course can improve your skills. It will help you structure your documents, put you in the reader's shoes, and improve the professional image of you, the writer.

Today we write more rapidly than before, and, with emails now predominant, are sending information to far more people than we used to. What we write needs to make sense to readers and not be insensitive or confusing. We

can all benefit from improving the way we impart information, and this programme is designed to help achieve that. **IQ**

## For More information

- <http://www.businesswriting.biz>.
- See also, RMAA newsletters at <http://www.rmaa.com.au/docs/library/business-writing/index.cfm>
- During 2010-2012, the RMAA, in conjunction with Verne Ordman & Associates, will deliver face-face Writing for Business workshops. Watch out for details.

## WHAT USERS SAY

**From attendees of the Business of Writing workshop at the RMAA Convention in Adelaide in September:**

"I enjoyed this. Very logically sequenced. I look forward to completing the online course."

Pamela Gonzalez, Information Management Branch, FAHCSIA, ACT.

"Very informative. Key points for me: what the reader needs to know, and, answer as many questions as possible."

Clem Dunkley, Document Management Services, Strategic Information and Technologies Branch, Department of Education and Training, Queensland.

"A great course. The interactive component is a great way to develop further skills.

Encourages completion of the course online." Jenny Burgess, ARMA, National Museum of Australia, ACT.



**The Reviewer**

**MARIAN HOY,**  
MRMA, is  
the RMAA's  
Professional  
Development  
& Education  
Officer.

# BARRIERS TO INFORMATION SEEKING IN EDRMS: an empirical study

PART 1

Are knowledge workers able to search and retrieve information from their EDRMS? This 2-part article reports the results of a study of the information seeking behaviour of 40 EDRMS users in four different organisations using three different types of EDRMS which highlights barriers to information seeking and discusses how RMs can address their barriers.

BY PAULINE JOSEPH, ARMA

Advancements in information and communication technologies have changed and empowered the way knowledge workers<sup>i</sup> create, receive, send and use corporate information<sup>ii</sup> in organisations.

Knowledge workers are able to transmit and access corporate information on demand from anywhere and at anytime working from home, via their iPhones, Blackberries or from the office. The subsequent growth in corporate information has resulted in knowledge workers failing to get to grips with searching for emails, documents and records.

## CURRENT BUSINESS ENVIRONMENT AND KNOWLEDGE WORKERS

Surveys and other research provide statistical evidence that search and retrieval of corporate information is an issue for organisations.

The 2006 Information Management Survey conducted by YouGov<sup>iii</sup> reported 22 per cent of respondents admit to having lost an important document that was saved as an email attachment<sup>iv</sup>, 'a fifth of employees spend over 30 minutes looking for documents on the network', and employees spend on average 66 minutes a day searching for email<sup>v</sup>.

The Delphi research showed that most business professionals spend 'more than 2 hours a day (25% or more of an 8-hour day) searching for the information they need to perform their jobs'<sup>vi</sup>. The Delphi researchers maintain that these results are consistent with many other surveys, which have concluded that business professionals typically 'spend anywhere from 15% to 50% of their day seeking needed information, most of which is stored electronically and should be easily identified'<sup>vi</sup>. Further in the Delphi survey, '61% of respondents believe they have a less than 75% chance of finding the information they need'<sup>vii</sup>.

Consequently, it has become important for organisations operating in the age of information and communication technologies that are readily accessible to its employees to implement or strengthen records management programmes by implementing EDRMS that manage their corporate information including emails in both paper and electronic formats.

This has resulted in a paradigm shift in recordkeeping responsibilities from trained Records Managers (RMs) to the employees or knowledge workers in the organisation. This

## Story Snapshot

- The ways corporate information is transmitted within organisations have changed dramatically
- A study was undertaken to determine whether EDRMS users are seeking information as the systems' designers intended

means knowledge workers need to have an understanding of: what is a record; when to capture and register information into the EDRMS; what metadata needs to be captured when registering information; and importantly how to search and retrieve this information for their work or tasks.

The latter is the impetus for the research conducted to investigate how knowledge workers searched for and retrieved information from their EDRMS. Or what is the information seeking behaviour of EDRMS users? And does this behaviour match with the manner in which RMs manage corporate information in EDRMS? The details of this research and the findings were reported in a three part series of articles republished in *iQ* in November 2007, February and April 2008<sup>viii</sup>. The focus of this article is on the observed barriers to information seeking from this research and how these barriers can be overcome.

## BACKGROUND TO THE RESEARCH

The aim of the research was to investigate if the way electronic document and records management systems are designed to work match the way knowledge workers or users of the system search for information. A case study approach was taken to investigate how four sampled organisations had implemented their records management programmes benchmarked to the records management standard ISO 15489<sup>ix</sup> in the EDRMS implemented.

Interviews were held with each of the four RMs to find out how RM principles were implemented in their organisation. A demonstration of the EDRMS was provided to the researcher as well to gain insight into its design and working. The RMs were requested to identify 10 EDRMS users in their organisation and it was requested that these users represent a cross section of uses from various business units.

Firstly, interview sessions were conducted with each of the

40 users to find out their information searching patterns using the EDRMS. Secondly, the users were asked to describe and demonstrate how they conducted their last simple and difficult searches in the EDRMS.

For a detailed description of the research methodology and data analysis conducted, see the previously republished article in the February 2008 issue of *iQ*<sup>x</sup>.

The information seeking behaviour model of EDRMS users was derived as one of the findings in the research and was republished in the February 2008 issue of *iQ*<sup>x</sup>. This model is presented in Figure 1 in that article.

All forty EDRMS users reported performing a linear sequence of information seeking processes from the time they started a search to when they ended it, as presented in Figure 1. These information seeking processes conformed to the following seven stages:

**Stage 1:** Start Search;

**Stage 2:** Formulate Search Strategy;

**Stage 3:** Execute Search;

**Stage 4:** Process and Evaluate Search Results;

**Stage 5:** Access Search Results;

**Stage 6:** Decision Making about Search Results; and

**Stage 7:** End Search.

At each of these stages, users were observed to engage in different types of information seeking activities such as browsing, navigating, sorting and refining their search, as shown in Figure 1.

### Simple searches

The 40 sampled users perceived a simple EDRMS search as a search that required minimum effort by them to search for and retrieve the sought information to complete their task. When users demonstrated how they conducted their simple searches

they were observed to be successful in finding and retrieving their required information, thus were able to close their searches to end their information seeking process.

### Difficult searches

Users perceived a search to be difficult when they had to spend more than five minutes and considerable effort to retrieve their sought information. In difficult searches, users were not able to successfully close their search as in their simple searches. Instead, users had to stop their search and then decide how best to acquire the information to complete their task. Eight users (30%) were observed returning to retry the search in the EDRMS again if required.

Users in 67% of the difficult searches were able to find the required information and close their searches. However, 33% of users could not find the required information and had to stop their difficult searches.

### WHAT USERS DID AFTER THEY STOPPED THEIR DIFFICULT SEARCHES

Figure 1 describes users' information seeking behaviour once they decided to stop their difficult searches in Stage 7: End Search.

As shown in Figure 1, when users stopped their difficult search, they verified their current task related information clues by checking from other information sources and/or by seeking help from people resources.

They checked other information repositories in the organisation to verify the information was not stored elsewhere or sought help from people resources such as their colleagues, the records section or the HelpDesk to find out if they were able to help with searching or the information. Users then analysed if the sought information was found<sup>xii</sup>. If it was found, they closed their search.





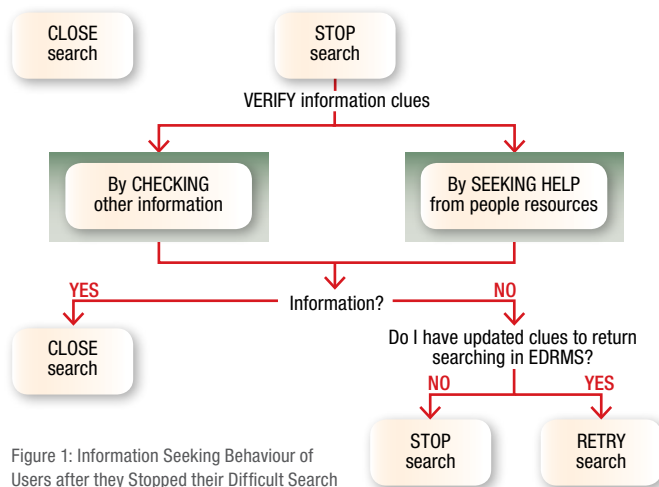


Figure 1: Information Seeking Behaviour of Users after they Stopped their Difficult Search

If not, users assessed whether their updated information clue/s would enable them to retry their search in the EDRMS. If 'yes', they retried their search formulation strategy by returning to stage 2 of the information seeking process. Otherwise, they stopped the search.

The above description indicates that when EDRMS users decide to stop their search it does not necessarily mean they have given up seeking their required information, as their tasks still need to be completed.

On the other hand, it highlights the additional time and effort they need to expend on tracking the required information, thereby affecting their productivity levels and building their frustrations working with these systems.

For these reasons, RMs need to be aware of the information seeking behaviour of their EDRMS users and take the necessary actions to address the barriers identified next from the research findings.

### IN THE NEXT ISSUE

In part 2 of this article, which will appear in the February 2010 issue of *iQ*, the reasons why barriers to information seeking behaviour were experienced by the survey group will be identified, with suggestions for RMs on how to overcome these barriers. Additionally, the implications of the findings will be discussed. **iQ**



#### About the Author

**PAULINE JOSEPH**, ARMA graduated from Curtin University of Technology, WA, with an Honours degree in Information and Library Studies in 1991. She is currently an Associate Lecturer at Curtin University of Technology, lecturing in records and archives management. A qualified librarian, she has spent 17 years as an information management professional, working in both the government and private sectors in Singapore and Western Australia. A more detailed author biography will appear with the next and final instalment of this article.

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- xii For example, the sought information was stored in the network drive, held as a paper copy or CD-ROM and not registered in the EDRMS.

## Reviewing

# Achieving Balance: 26th RMAA International Convention in Review

Its theme was Striving 4 Balance. It was held in Adelaide in September. It had the most ambitious programme of any RMAA convention. And it attracted 360 delegates, with a total of 518 participants.

The Convention's organisers established a programme which they hoped would offer something for everyone.

The Sunday saw many delegates registering and taking the RMAA-organised sightseeing tour of Adelaide. Others attended one of the 7 special interest group (SIG) meetings. There was also a popular 'newbies' orientation session, and the day included an opportunity to meet the Chairman of the Board.

Over the three main days of the Convention, the programme incorporated 6 keynote presentations, 36 other auditorium presentations, 13 workshops, 2 panels/round tables, and 4 site visit tours. And then there were the social and networking events.

Overall, the Convention programme was extremely well received, and several papers presented at the Convention are being reprinted in *iQ*.

### THE PROBLEM OF WORKSHOP 'NO SHOWS'

Organisers had just one disappointment. A number of early registering delegates had opted to go to every workshop, but failed to turn up to the workshops on the day.

The result was that delegates who registered later were excluded from attending workshops of their choice, only for there to be many empty chairs when the workshops got under way.

This was particularly evident in the *How to maximise your outsourcing relationship for common use services* workshop,

### A CHARITABLE TOUCH

**Each year, the RMAA supports charity at the Convention.**

This year the Association held a silent auction, with all the funds raised being split evenly between the Starlight Foundation and Guide Dogs SA/NT with a total of \$265 being raised.



Adelaide Convention Centre

where only 6 of the registered 19 participants actually showed up. This was obviously disappointing for the workshop presenters, who had spent many hours preparing the course material.

The RMAA Board is hopeful that, for future Conventions, delegates who register for workshops make every effort to attend them.

### A BUMPER EXHIBITION

A bumper trade exhibition featuring 60 stands was held as part of the Convention. Delegates took full advantage of the availability of the vendors to ask questions, view product demonstrations and stockpile promotional material, as well as entering the numerous competitions and prize draws.

As at the more recent conventions, the RMAA provided an Internet cafe for participants' convenience. This year, a Career & Education Stand, a new innovation, featured information from many educational institutions and provided advice on the Association's CPD scheme, as well as answering a range of other queries.

The RMAA's Professional Development Officer, Marian Hoy, told *iQ* that she was pleased with the interest shown in the stand. It was such a success that it will be a regular feature of future conventions.

Another feature of the Convention this year was the introduction of table topics at the lunch tables, where each table in the Exhibition hall was given a discussion topic for those who sat down to lunch. Twenty six topics featured and topics ranged from 'content versus context' and 'digitisation' to 'succession planning' and 'employment trends'.

### A WHALE OF A TIME AT ADELAIDE ZOO

This year's Welcome Reception was hosted by the RMAA at the Adelaide Zoo. Many delegates took advantage of the looping Convention buses which picked up passengers from, and later dropped them back to, the Convention Centre, while others opted for the more strenuous but scenic walk along the Torrens River.

Delegates who chose the bus option were greeted by friendly Koala and Platypus mascots and representatives of event sponsor, HP. Once at the Zoo, delegates were ushered away in groups of 10-15 for private behind-the-scenes tours.

Everyone met back under the Rotunda for canapés, drinks and conversation. Luckily the poor weather which marked the rest of the Convention held off for the evening, and a pleasant evening was had by all.

### ALL THE FUN OF THE FAIR

'The carnival comes to town' was the theme for the RMAA's inaugural Convention Awards Dinner. Whilst a grand dinner has always been a feature of RMAA conventions, this year was the first time that the Association's annual awards were combined with the dinner, so that the award recipients could be suitably honoured and have the opportunity to celebrate their success.

The Awards pages overleaf provide full details of this year's deserving award winners.

'The Carnival comes to town' proved to be a bright, fun theme which incorporated a sea of colour and an interactive sideshow alley which included laughing clowns, a knock em down game, basketball throw game and airbrush tattoos, all of which were extremely popular with the guests.

Local band 'NDulge played covers from the '70's, '80's and '90's. Sponsored by SEMA Group, fun was the aim of the night, and it was certainly an evening to remember.

When all had been said and done, the Convention wound up on a quieter social note, giving participants a chance to say goodbye and swap information. This year's Farewell Drinks were held in the Convention Centre's foyer, overlooking Adelaide's Torrens River.

### DID YOU HEAR THE ONE ABOUT...?

Morning Tea on Day 1 raised a few queries about brightly coloured cakes which resembled frogs. The most common question was "What do you call those frog cakes?" To which locals replied, with one eyebrow raised, "Um, frog cakes". For the record, they were Balfours Frog Cakes, and are listed as a South Australian Heritage Icon.

Adelaide saw its fair share of bad weather during the Convention with heavy

rain storms, particularly on Monday. Kristen Keley, convention organiser, at the registration desk, asked Convention staff for some water. At this point, the ceiling began to leak. A few drips quickly developed into a downpour above Kristen's head.

After grabbing the important things – computers, printers, and afternoon tea – the RMAA staff stood back and watched as quick-acting Convention Centre staff went into action. Within half an hour, they had completely relocated the registration desk, and removed several wheelie bins half-filled with water. Apart from some damp carpet tiles there was no sign of a problem.

Delegates did a double take as they came out from sessions – the registration desk had mysteriously moved to the opposite side of the exhibition entrance while they were in session. Kristen later joked, "I know I asked for some water, but that is over-delivering".

### RMAA ANNOUNCES NEW NAME FOR ITS CONVENTIONS: INFORUM

The RMAA recognises that in order to continue to improve and develop member services, their annual convention needs its own independent identity. In future, the Association's Conventions will be known as inForum, hosted by RMAA, rather than as the RMAA Convention.

This change offers an opportunity to provide a wider range of information-based topics and to expand the participant base to related information fields. Most importantly, it provides future participants with the most up-to-date and relevant convention that the RMAA can offer.



### CARBON FOOTPRINT

In an effort to reduce their carbon footprint the RMAA converted from satchels to non-woven bags, and introduced an Exhibitor CD which combined all of the exhibitors satchel inserts into a more convenient (and much lighter) electronic version, which seemed to be appreciated by delegates.



The 2010 inForum theme is Information Continuity: Safeguarding Business and Community Identity. This convention will focus on information continuity for the business and government world, and also for individuals, families, community-based organisations, and indigenous and minority communities.

There are multiple perspectives of how information, memory and evidence supports business and community identity, and all need to be understood and included in policy, practice and enabling technologies.

Through multiple concurrent sessions consisting of professional papers, round tables and workshops, two streams will explore perspectives of business, government and communities, and the policies, processes and enabling technologies that support information continuity.

The flyer inserted in this issue of iQ gives more details of inForum 2010, which will be held 5-8 September, on the Gold Coast, Queensland. **iQ**

### CONVENTION GUEST FROM FIJI

Thanks to a joint sponsoring effort by the Administration Services Group, ENERGEX, the Qld Branch Council, and RMAA, Miriama Wainibu-Naaura, who works for the Fiji Broadcasting Corporation Limited in Suva, Fiji, was selected from a list of Fijian candidates to attend the RMAA's 2009 Convention for professional development.

'Miri', seen here flanked by RMAA CEO Kate Walker (left), and Jennifer Curley, Team Coordinator, Records, ENERGEX, at right, thoroughly enjoyed the Convention and found the networking opportunities invaluable. She commented on the warm and welcoming reception she received from staff, delegates and speakers alike.



Kate, Miri and Jennifer





# From the Chair's Point of View

BY DAVID PRYDE, MRMA,  
Chair of the RMAA

I would like to thank so many people for a great 4 days and for making this Convention very memorable for those who attended. In particular, I wish to show my personal appreciation to the following.

Firstly, the Honourable Jay Weatherill MP, South Australian Minister for Environment and Conservation, Early Childhood Development, Aboriginal Affairs & Reconciliation, and Minister Assisting the Premier in Cabinet Business & Public Sector Management, who opened the Convention.

The official proceedings began with a 'Welcome to Country' by Kuarna Elder Aunty Josie Agius, whose spiritual welcome to the land was both poignant and educational for our members.

No convention is possible without our keynote speakers and presenters from both home and abroad, leaders in their field. We appreciate their time and willingness to share with the community, sometimes far from home.

The RMAA would also like to show its gratitude to all the generous Convention sponsors, whose financial assistance enables us to keep our Convention pricing to a minimum.

Thank you, in particular, for your continuing support of the profession and the Association, to:

- **Platinum Sponsor**, SEM Group, (Gala Awards Dinner)
- **Gold Sponsor**, HP, (Welcome Reception @ the Zoo)
- **Silver Sponsor**, Objective, (Neck Lanyards)
- **Bronze Sponsor**, EMC, (Wednesday's Luncheon).

Our International Convention continues to grow in session numbers, speaker content and vendor participation. It takes 3 years planning and managing to ensure that it all comes together for an enhanced delegate experience.

While the Board is allowed to make a few decisions, everything that transpires to produce these exceptional events has had the personal touch of our Convention Manager, the inimitable Kristen Keley.

To chair or MC a Convention is not an easy task; it requires the patience of Job, the diplomatic skills of an ambassador, as well as assertiveness, tact and excellent communication skills. I'm sure delegates will agree with me that Helen Onopko brought all these qualities and more to her role from beginning to end. Thanks Helen!

Our CEO, Kate Walker, manages the RMAA, and events like this, with a laptop and a phone permanently in her hands. With Kate and her dedicated staff, the seamless operation of the Association and these events from the background

continues to heighten delegate and member experiences.

A recent staff addition, Marian Hoy, not only picked up the speaker programme mid-stream and saw it to completion, she was also the person behind the workshops and the face of the RMAA Education & Career stand. No mean feat, I'm sure you will agree.

The registration desk becomes Convention HQ, and our staff are always willing to resolve any problem a delegate, presenter or exhibitor may have - with a smile and a caring word. Thanks to Tony, Wendy, Susan & Alex. Special mention to Bonita Kennedy (SA Branch) and Rebell Barnes (NSW Branch), who acted as volunteers for the duration of the Convention.

I have been quoted many times as saying the "RMAA is a community of practice; a family". The success of our international conventions relies on a team effort, every member doing their part, and relying on the others to play their part. We have a magnificent team. Well done to all.

Members will be pleased to know that the Board of Directors contributed to this team effort by hosting special interest groups, chairing workshops and some sessions, and then manning the RMAA 40th Anniversary and RMAA Education & Career stands. They have my thanks and deserve our appreciation also.

And now, it's time to start thinking about next year's event... **iQ**

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# Welcome Function Photos



» “THIS YEAR’S WELCOME RECEPTION WAS HOSTED BY THE RMAA AT THE ADELAIDE ZOO” «



1 Mahendrarajah Selvarajah (Malaysia) with Miri Wainibu-Nagura (Fiji)  
2 L to R: Ivor Cencic & Ray Holswich  
3 Michelle Phillips opens Welcome on behalf of HP (sponsor)  
4 L to R: Alan Cavanagh, Ross Thompson & Andrew Wood  
5 South African Keynote Speakers Shadraack Katuu and Ngwanaphalama (Margaret) More catch up at the Welcome  
6 RMAA Mascots for Welcome at Zoo



# Convention Dinner Snapshots



1 Dinner Theme 2 L to R: Dale Chartres, Jan Lawrence, Fran Wharton  
3 Wendy Daw and Rebell Barnes at Gala Dinner 4 Laughing Clowns  
5 Knock Em Down Game 6 Amanda Harris won best costume for her 2 headed woman act  
7 Clowning around – L to R: Jan Fisher, Helen Onopko and Suzanne Pickert



## J EDDIS LINTON AWARDS 2008-2009

Introduced in 2000 and named after one of the RMAA's founding fathers, the J Eddis Linton Awards are heading into their tenth year this year. They were introduced to provide recognition of excellence in records and information management and are presented in three fields: most outstanding student, most outstanding individual and most outstanding group.

The awards were presented at the RMAA's International Convention's gala awards dinner at the Adelaide Convention Centre on September 21. There was no winner in the Most Outstanding Student category this year, as no nominations were received. The other award winners for 2008-2009 were as follows:

### **MOST OUTSTANDING INDIVIDUAL AWARD**

**Judith Ellis**

The finalists, apart from Judith Ellis, were: John Sim, Tania Hughes, Michael Vale, and Rhonda Marchant.

In her 30-year career, award winner Judith Ellis has made an outstanding contribution to records and information management, not only in Australia but also internationally.

Judith has edited, written and contributed to many books and articles, and is a sought after presenter. In her role as a consultant, she has provided a full range of information and knowledge management services to an extensive range of industries in the public, private and non-profit sectors.

She has taught courses and subjects at Monash, Deakin and RMIT Universities and has had course advisory roles at Monash and Canberra universities and RMIT. She has also chaired the Advisory Board for the Centre for Organisational and Social Informatics at Monash. This is just the tip of an impressive list of achievements that make Judith a worthy recipient of this year's award.



Trissa Dent accepts the J Eddis Linton Award for Outstanding Group on behalf of Water Corporation

Congratulations to Judith, and to all the other finalists.

### **MOST OUTSTANDING GROUP AWARD**

**Aqua Project Team, Water Corporation, Western Australia**

The other finalists, apart from the winning team, were: EDRMS Project Team, Energex, Queensland, and the Records Management Team, Department of Further Education, Employment, Science and Technology, South Australia.

The winning team from WA's Water Corporation recently completed the successful deployment of an Electronic Records and Document Management (aquaDOC) to 3,112 users distributed throughout Western Australia.

Integral to this deployment was compliance with the State Records Act 2000 and strengthening the foundations and understanding of the Corporate Recordkeeping Plan. The deployment of aquaDOC to a diverse audience

throughout the state was a significant challenge. A core component of the project was to address the cultural change required by the business to successfully achieve the desired state of the Corporation's vision for an enterprise electronic document management solution.

The project required a balance between delivering the main objective of document management cloaked in best practice records management. A hard copy corporate file management culture existed, however; staff were not familiar with associating electronic document creation and control with existing hard copy records management practices.

The end result of the project saw a single repository for all corporate information attached to corporate files with appropriate retention and disposal created. 151 Local User Experts were identified and trained to support document management practices. Currently, aquaDOC holds 2.4 million records. **iQ**

## JIM SHEPHERD AWARD 2008-2009

Named after another RMAA founding father, the Jim Shepherd Award was introduced in 2004. It recognises vendor support of both the RMAA and the records and information management industry as a whole.

### **WINNER** **Records Solutions**

Founded in 1994, Records Solutions is a provider of records and information management solutions and services to

the public & private business sectors.

They have been a Corporate Member of the RMAA since 1995, and an active participant of the RMAA through its many endeavours and direct involvement in branch and national activities since 1994. As a supporter of the RMAA, Records Solutions has maintained a regular presence at seminars and conferences and has offered support through services, advice, presentations and staff time in organising and attendance of events. **iQ**



Anne Cornish accepts the Jim Shepherd award on behalf of Record Solutions

## OBJECTIVE RMAA ARTICLE OF THE YEAR AWARD 2008-2009

The Objective RMAA Article of the Year Award was introduced in 2004 to promote and recognise quality written contributions to the RMAA's journal, *iQ* Magazine, and subsequently was broadened to include its sister publication, the online annual *iRMA* (Information and Records Management Annual). The award has been generously sponsored by Objective Corporation since its inception.

### WINNER

**Paula J Smith: For, 'How to be a records management champion'.**



Paula's article was a stand-out for the judges. It seems that it was for readers, too, with much favourable feedback being received at the time the article was published, and since.

Objective Corporation's Katrina Hinton, one of the three judges of this year's award – who also included the Editor of *iQ* and a representative of the RMAA Board – remarked to *iQ*, about the winning article:

'Paula's article topic is one of perennial interest and relevance to records

managers if they're to raise their profile and sell their services. The style of the article is engaging, the ideas innovative, and I don't recall this particular message before – having some fun with records management.

'It's a message that's long overdue – although I reckon some of us might struggle with a game of charades! The article ticked all the boxes for me.'

It ticked all the boxes for so many readers, too, who wanted to follow up on Paula's article, that the RMAA asked Paula to run a series of 10-minute 'How to be a Records Management Champion' segments at the RMAA International Convention in Adelaide.

As winner of this year's award, Paula won a top-of-the-range Canon digital camera, with a recommended retail value of \$799, courtesy of award sponsor Objective Corporation.

### AWARD FINALISTS 2008-2009

All the finalists in this year's award were:

- **Robert Thornton**, for 'Insuring Archives: How to insure the irreplaceable', published in the November 2008 issue of *iQ*.
- **Michael Steemson**, for 'Records Security problems in Hong Kong: Can you bank on it?', published in the November 2008 issue of *iQ*.
- **Jane Larke** (not Janet Larke as reported in the last issue of *iQ*), for 'Taking Curtin into the 21st century', 2008 *iRMA*.

## Objective

RMAA Article of the Year  
AWARD

- **Anastasia Govan**, for 'Project management methodology for implementing an EDRMS', 2008 *iRMA*.
- **Sally Algate**, for 'Useful skills for the records manager of today', 2008 *iRMA*.
- **Paula J Smith**, for 'How to be a records management champion', August 2009 issue of *iQ*.
- **Robert Bromwich**, for 'Government access cards: A key to fraud and identity theft?' November 2008, February 2009, and May 2009 issues of *iQ*.
- **Andrew Warland**, for 'Have you fallen into the generation gap?', August 2009 issue of *iQ*.
- **Frank McKenna**, for 'Do you really need a taxonomy/classification scheme with a records management system?', August 2009 issue of *iQ*. **iQ**

### HOW YOU CAN BE IN THE RUNNING FOR THE 2009-2010 AWARD

Every article/paper published in *iQ* and *iRMA* between now and August 2010 automatically goes into contention for the 2009-2010 Objective RMAA Article of the Year Award. There is no need to fill in an entry form.

As always, the judges will be looking for articles that inform, engage and inspire readers, while displaying the authors' sound knowledge of their subject.

So, set to work on your potentially award-winning article today.

- Send *iQ* submissions to [editor.iq@rmaa.com.au](mailto:editor.iq@rmaa.com.au).



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## BRANCH AWARDS 2008-2009

These awards were introduced for the first time in 2008-2009, to recognise records and information management excellence and innovation at branch level. And the winners were:

- **Most Active branch** Queensland.
- **Most Active Chapter or Special Interest Group** NSW Local Government Chapter. Honourable mention to the Queensland Local Government Chapter.
- **Most unusual event** ACT – Diversity in collection management – the Australian National Insect Collection; a walk and talk.

- **Best attended branch event** Victoria – for its Annual State Seminar, with 89 registered participants
- **Most New Members** Queensland, with 104 new members for the year. Honourable mention to New South Wales Branch, who were close runners up with 101 new members.
- **Best newsletter** Tasmania.
- **Most Collaborative Information Awareness Month Event** ACT Branch for their involvement in ACTKM. **iQ**

## Life Membership

Life membership is the ultimate honour which can be awarded by the RMAA, and recognises lifetime achievement and service to the RMAA and/or the records and information management industry.

### Awarded in 2008

- Margaret Pember
- Julie Lenson

### Awarded in 2009

- Ian Pearce

Research & Education Grant  
No grant was awarded in 2008-2009.

## RUMPELSTILTSKIN AWARDS 2008-2009

Another new award category, one that recognises the impact and effectiveness of news sharing and discussion among industry professionals via electronic means – listservs, forums, and email.

### LISTSERV-FORUM ANNOUNCEMENT AWARD

**Barbara Reed**

For: Recordkeeping Innovation for constantly promoting courses and encouraging Professional Development.

This award category recognises excellence in one way announcements. The award is presented to the most outstanding announcement that demonstrates the ability to reach the right people with the right information at the right time.

### LISTSERV-FORUM NEWSLETTER AWARD

**Lorraine Bradshaw, Information Enterprise Australia**

This award category recognises the effective utilisation of the technology to disseminate newsletters. The award is presented to the most excellent electronic newsletter with the highest standards, effectiveness, overall creativity and value.

### GRAND PRIZE

**Paul Archer**

The Grand Prize honours the author with the most successful and beneficial posting. This award recognises the positive results that organisations and individuals can achieve using email list/forum technology.

### LISTSERV-FORUM DISCUSSION AWARD

**Paul Archer**

For: 'Job Titles etc: Are we Records Managers or Not '. Posted 16/05/2009.

This award category recognises optimal usage of the technology to share and exchange information in a group setting.

### LISTSERV-FORUM INNOVATION AWARD

**Paula J Smith**

For: "Sharepoint"

This award category recognises overall innovation in the implementation of Listserv/Forums. **iQ**



Kuala Lumpur

## Coming Up – In the February 2010 issue of *iQ*...

### RMAA MALAYSIA CHAPTER FORMED

Read all about the RMAA's first South East Asian chapter, recently formed in Malaysia.

### THE PROFESSIONAL EDGE

From EDRMS use to a Digital Strategy, Centralised Content Audit to personal development, we'll be exploring many ways you can give your role and your organisation the professional edge.

Editorial submissions welcome. Get them in early – the deadline for accepted copy is December 1.

- To: [editor.iq@rmaa.com.au](mailto:editor.iq@rmaa.com.au) **iQ**



# Snapshot:

## The people who help make us tick:

### Marian Hoy, MRMA

#### RMAA Professional Development & Education Officer

Marian was born in country New South Wales in the town of Nyngan. Her father was in the bank so moved everywhere; New South Wales, Tasmania and Western Australia. Four primary schools, three high schools, and four universities later including the University of Wales, Marian had a much travelled upbringing.

#### TRUE CONFESSIONS

iQ asked Marian some personal questions:

##### A little known fact about you:

My direct ancestors were First and Second Fleeters. He was a public servant, she was a convict. I am descended from their son, William Henry Broughton.

##### Marital Status:

Married for 23 years to Michael Hoy, with a son 22 years old and just finished his degree, and a daughter 18 in the first year of her degree.

##### How did you get started in RIM?

I was going to follow my mother into librarianship but archives were recommended, as that would increase my chances of studying overseas. There were fewer post graduate archives courses than library courses in Australia at the time.

##### A word the best describes you?

Practical.

##### The thing that you best like about your job?

I work from home, so I don't have to drive every day.

##### The thing you least like about your job?

This is a toss up. It is hard having to send reminders to people about deadlines when I know they are getting so many emails – my jobs revolves around deadlines. I also do not like the metadata deprived email and document titles I get. Documents titled 'RMAA' or email subject headings of 'Convention' are not helpful, and it worries me they are being captured into recordkeeping systems. I spend a lot of time revising titles, so I have

a better chance of finding them again.

##### The most important lesson you've learned?

Do not believe you are the only person who can get the job done – trust others and give them a chance to make you dispensable.

##### Your Motto for life?

I'll think about it over a cup of tea.

##### The award/ honor you're most proud of?

In 1981 I won a Rotary International Foundation Award to study for a Postgraduate Diploma in Archive Administration at the University of Wales in Bangor, Wales. It was a wonderful opportunity to learn about archival theory with medieval wills and land titles, and Wales was a just a spectacular place to travel in – apart from the very winding roads. Everyone loved the Welsh lilt I came back with, but it didn't last for long.

##### The book that has influenced you most?

One book that has been my constant companion for 30 years is *Care of House Plants*, by David Longman, but I was initially taught about archives through the *Manual of Archival Administration* by Sir Hilary Jenkinson, so it must also get recognition.

##### Your favorite movie?

Lord of the Rings trilogy.

##### Your favorite singing artist?

Pavlov's dog.

##### Your favorite restaurant or dining experience?

Revolving restaurant in the Telecom Tower in Kuala Lumpur during the International Council of Archives Congress, July 2008. Amazing views, food, and even better company from four different nations. Seeing the famous Petrona Twin Towers almost eye to eye was just spectacular.

##### Favorite holiday spot?

Vienna and Lord Howe Island are both favourites.



PHOTO: PHOTOGRAPHY ON HERITAGE

Marian Hoy, MRMA  
RMAA Professional Development & Education Officer

##### Your idea of fun?

I'll let you know when I have finished by PhD, hopefully in 2010.

##### The vehicle you drive?

2005 slightly battered red Mazda3 Max Hatch.

##### The vehicle you would like to drive?

Aurora blue Mazda 6 Luxury Sports Hatch.

##### The luckiest moment in your life?

Deciding at the last minute way back in 1984 not to pull out of a Sunday lunch at the Carrington Restaurant in Bungendore, NSW, and finding upon arrival that Michael Hoy had also been invited. The perfect place, that sparked a romance and a future together.

##### Your business philosophy?

Believe in the people I work with.

##### Your personal measurement of success?

Seeing others have 'light bulb' moments.

##### Your ambitions for RMAA Professional Development & Education?

Generate or support diverse opportunities for information professionals to develop a passion for learning, to continually build their skills and knowledge and to want to step outside their comfort zone.

##### How would you like to be remembered by family, friends and colleagues?

As a typical ISFJ, they will say, 'Who will now remember everyone's birthday and celebrations?'

##### Your secret dream or ambition?

A cure or foolproof treatment for motion sickness, so I can stress less when I travel and be able to function on arrival at my destination. **iQ**

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