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WORLDWIDE NEWS

RIM professionals and academics press new Kiwi Government on Archives NZ promises

Leading New Zealand RIM professionals and academics have challenged the new Kiwi Labour Government to press ahead swiftly with its pre-election promises to restore public service independence to Archives New Zealand and the National Library.

They have also urged haste with the promised consideration over appointing the Chief Archivist as an Officer of Parliament.

Dr Julienne Molineaux, Director of Auckland University of Technology's Policy Observatory and lecturer in the institution's Centre for Business Interdisciplinary Studies, launched the challenge in a post to the Observatory's Briefing Papers weblog that she edits. The post protested:

"The issues aren't just about size, but separating out conflicts of interest, and recognising the loss that happens to organisations with strong professional cultures when they are submerged in large conglomerate agencies where the dominant culture is a managerial not professional one."

The administration history of Archives NZ has swung from initial control by the Department of Internal Affairs (DIA), to a decade of separation as an independent Government agency, and then re-disposal as a DIA department when the ruling Government party changed again.

Dr Molineaux's blog post, entitled 'An unlikely political football', was published at briefingpapers.co.nz/an-unlikely-political-football/. In it, she describes the frequent re-structuring within the NZ public sector as "almost an addiction". She argued:

FROM TOP:
Dr Julienne Molineaux.
Dr Brad Patterson.
Mr David Pryde
Ms Elizabeth Charlton

ARCHIVE AT WHIM OF MINISTER

"The official archives of NZ should not change its priorities every time the government's strategic priorities change. Additionally, it ignores the constitutional function of an official archive.

"Archives NZ is the regulator of government record making, keeping, and destruction. It has an important constitutional role by providing the foundation of democratic accountability: records provide evidence of government activity and of citizens' relationship with the state.

"Records underpin the Official Information Act, the work of the Ombudsman, the courts and commissions of enquiry. It can be argued, from this perspective, that the Chief Archivist and the Archives should not be organised and rearranged at the whim of a Minister or the State Services Commission, but report directly to the whole parliament, as the Auditor-General does."

LABOUR PARTY MANIFESTO

In the run-up to last year's NZ General Election, the Labour Party's 2017 Manifesto Internal Affairs policy[1] vowed to:

◆ "Commit to Archives New Zealand and the National Library being re-established as independent and separate entities outside the Department of Internal Affairs"

◆ "Investigate the National (sic) Archivist being an Officer of Parliament"

Dr Molineaux reaction was: "The proposal to 'investigate the (Chief) Archivist being an Officer of Parliament' is an attempt to entrench the main powers and functions of the Archives as answerable to parliament not government, which will also make it harder for upcoming governments and the State Services Commission to undo this reform."

New Zealand RIMPA senior, David Pryde, swiftly backed Dr Molineaux's call for action. He commented: "The National Library and Archives NZ must be proclaimed as independent, national institutions and treated as such. You would never see the National Archives of Australia denigrated in such a way.

"Perception is at the heart of this issue – perceived meddling or interference by the managing department can be more destructive to reputation or strategic planning than reality can be."

Archives NZ has power under the Public Records Act to scrutinise and report on Government agency recordkeeping practice. David Pryde questioned:

"How will scrutiny of the DIA's own public record processes by a subservient Archives NZ be perceived or believed. Why is the highest archives and records authority in the land reduced to servitude under a department that must report its archival and recordkeeping capability?"

POLITICIANS' MISGUIDED TINKERING

Victoria University Stout Research Centre Adjunct Research Associate, Dr Brad Patterson, a former president of the Archives and Records Association of NZ (ARANZ) also backed the challenge. He told *iQ*: "Placing Archives New Zealand beyond the misguided tinkering of unsympathetic politicians and bureaucrats would be a service to all New Zealanders."

He went on: "Sadly, the adverse predictions of those opposing the (latest) reincorporation of Archives NZ into the DIA have been borne out. The present subordinate, enfeebled and professionally leaderless state of the institution is testimony to that."

"ASTUTE REFLECTIONS"

ARANZ Vice President, Elizabeth Charlton indicated that Dr Molineaux had made "very astute reflections on the current state of Archives NZ's current deployment within the Department of Internal Affairs."

She continued: "Archives NZ would be in a stronger position to deliver its strategy if it were unencumbered by the capricious policies of the larger department. Financial support and assurance needs to be given by Government to the agency so it can deliver on its mandate as the public record keeper and repository of government memory."

1 NZ Labour Party 2017 Manifesto Internal Affairs: https://d3n8a8pro7vhmx.cloudfront.net/nzlabour/pages/8546/attachments/original/1504586800/Internal_Affairs.pdf?1504586800

US state agencies 'turn the tables' with FoI lawsuits

US State government departments are increasingly thwarting Freedom of Information (FoI) public records requests by filing lawsuits against the requesters, the agency Associated Press has warned.

Requesters are being named as defendants. The state agencies do not demand damages but the requesters … taxpayers, government watchdogs and journalists … must then pursue the records in court at their own expense, the agency disclosed in an AP News release – 'Governments turn tables by suing public records requesters' – late last year[1].

AP reported that the trend had alarmed FoI advocates, who believe it is becoming a new way for governments to hide information, delay disclosure and intimidate critics.

A University of Kansas journalism professor, Jonathan Peters, told AP: ""This practice essentially says to a records requester, 'File a request at your peril.'

These lawsuits are an absurd practice and noxious to open government."

"TACTIC FLIPS THE SCRIPT"

AP reported that Government officials employing the tactic insisted they were acting in good faith; that it was best to have courts determine whether records should be released when legal obligations are unclear "for instance, when the documents may be shielded by an exemption or privacy laws".
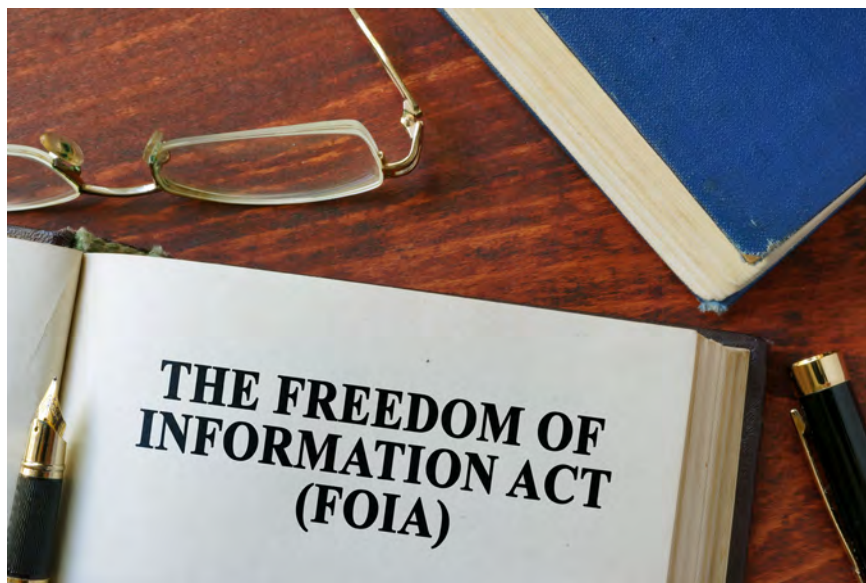
Most state FoI laws allowed requesters denied information to seek courts approval for a release and for the government agencies to pay legal costs. It went on:

"Suing the requesters flips the script: Even if agencies are ultimately required to make the records public, they typically will not have to pay the other side's legal bills."

An education watchdog, Mike Deshotel, who was sued by the Louisiana Department of Education after filing requests for school district enrolment data last year, protested: "You can lose even when you win. I'm stuck with my legal fees just for defending my right to try to get these records."

The AP release named similar cases from state government agencies in Oregon, Kentucky, New Jersey, Michigan.

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1   'Governments turn tables by suing public records requesters'. AP News, https://apnews.com/7f6ed0b1bda047339f22789a10f64ac4

Time to recognise Australian Government digital excellence

Significant awards recognising Australian Government excellence in digital information management are open for nominations.

The National Archives of Australia 2018 Awards for Digital Excellence will celebrate Commonwealth agencies at the forefront of digital transformation.

National Archives Director-General David Fricker encouraged agencies to highlight their achievements in digital information management by nominating for the annual awards.

"Australians are early adopters of technology and expect information to be available to them online and in real time," Mr Fricker said.

"These awards celebrate agencies that are leading the way with digital transformation initiatives aimed at increasing public access to information online, including records of government policies and decisions.

"By awarding top government innovators, the Archives commends best practice digital management of our valuable information."

Award winners will be selected from case studies that showcase significant progress towards Digital Continuity 2020, a whole-of-government approach to digital information governance.

Last year's winners delivered user-centric approaches for digital documents management, and impressive interoperability between stakeholders.

Submissions close 28 February 2018, with winners announced at the launch of Information Awareness Month on 1 May 2018.

To enter, visit www.naa.gov.au/information-management/digital-transition-and-digital-continuity/digital-excellence-awards/index.aspx

LEFT: Kiwi troops at Clapham Junction, near Passchendaele, in November 1917. Credit: Alexander Turnbull Library

BELOW: Larnach Castle

Magnificent Seven join NZ's UNESCO Memory of the World

Another seven New Zealand heritage document collections have been added to the UNESCO Memory of the World register, bringing to 27 the number of the nation's treasured world archives inscribed since the NZ list opened in 2010.

The magnificent seven collections are held in repositories almost the length of the country, from Auckland Libraries, Wellington's Alexander Turnbulll Library, the Nelson Provincial Museum and the Otago University's Hocken Collections.

The Memory of the World New Zealand Trust Chair, Ms Dianne Macaskill said: "Inscription on the UNESCO register makes our history, our culture and our values more visible to New Zealanders and to the world. The inscriptions include collections that cover the Great War, 20th century politics, the arts and literature, Chinese culture and experiences in New Zealand, architectural design and social and industrial developments.

"All greatly contribute to the story of our nation's history and heritage and are significant to the identity of New Zealanders today."

The Auckland Libraries archives are the personal papers from the early 20th Century of John E, Lee, an outspoken member of the first New Zealand Labour government and advocate for social justice, and from John ("Jack") Thomas Diamond's meticulous research and documentation of West Auckland's

history that he compiled over 60 years from the 1930's.

The collection of New Zealand's official First World War photographs, held at the Alexander Turnbull Library, is the most extensive visual record of New Zealanders at the Western Front during WWI.

ART AND CULTURE SHOWCASE

From 1976 to 1989 the weekly TVNZ series, *Kaleidoscope*, now held by the national sound and vision museum, Nga Taonga, was the first television series dedicated to New Zealand's arts and culture showcasing established and emerging artists, from painters and poets to dancers and stained-glass artists.

The Presbyterian Research Centre's Ng Chinese Heritage Collection has been gathered since 1959 by church members Dr James Ng and his wife Eva. They document the 'unique voice' of Chinese New Zealanders from the first arrival of Chinese miners in the 19th century.

The Hocken Library's Salmond Anderson Architects Records have almost 150 years to 2008 of architectural development in southern New Zealand including Category 1 historic places like Dunedin's First Church and Larnach Castle, Oamaru's Bank of New South Wales and the now-demolished Seacliff Lunatic Asylum. Nelson Museum's Tyree Studio Collection, dating from the 1860s to the 1940s contains more than 120,000 negatives digitised in a seven-year project completed last year and providing insight into the development of regional New Zealand.

NZ Privacy Act reform is urgent: Commissioner

Privacy law reform is urgently needed to prevent New Zealand falling further behind international standards, said Privacy Commissioner John Edwards in a briefing to the new NZ Minister of Justice, Mr Andrew Little, in November.

Mr Edwards said that most existing privacy laws around the world had been reformed in the last three years or were currently being reviewed and updated. He continued:

"Internationally, the most influential is the European Union (EU) General Data Protection Regulation that comes into force in May 2018 and affects Europe and many of New Zealand's trading partners. The GDPR standards lift the baseline internationally in response to the challenges to consumers and data protection in the global digital economy."

LAST UPDATE 2011

In 2011, the New Zealand Law Commission's comprehensive review of privacy made numerous recommendations for

changes to the Privacy Act. These proposed changes were to enable the law to better keep pace with the rapid changes over the past 20 years to information and communications technology. The Government at the time accepted the majority of those recommendations.

In a subsequent review of the operation of the Privacy Act in 2016, the Privacy Commissioner provided a report to the previous Minister of Justice, Ms Amy Adams, recommending additional reforms, including the power to fine non-compliant agencies.

Mr Edwards said: "New Zealand has a competitive trade advantage because the EU has formally recognised that our privacy law meets its current standards. This EU adequacy status allows the unrestricted transfer of European data for processing. The current risk for New Zealand is that our Privacy Act has fallen behind international standards and the case for reforming it is clear and very evident."

NZ Privacy Commissioner's briefing: https://privacy.org.nz/news-and-publications/reports-to-parliament-and-government/briefing-for-the-incoming-minister-2017/

Nearly a third of directors in UK unaware of GDP

Four in 10 directors said they were not aware of how General Data Protection Regulation (GDPR), due to come into force in the UK in May 2018, would affect their businesses

Jamie Kerr, head of external affairs at the Institute of Directors (IoD), which conducted the research, points to the difference between those that are unaware and those already complying.

"On the one hand a lot of people either don't know about it, don't understand or don't know whether they'll need to be compliant with it, and on the other hand those that do are setting in place the right structures to make sure they are," Kerr said.

"Quite frankly I'm not surprised by the figures from the IoD," said Mark Taylor, ICAEW technical manager, technical innovation.

"They're in line with the conversations we've been having with members, the public and other professional bodies, so this is not unsurprising," he added.

Of those who were aware, 86% were very or somewhat confident of being compliant by the 21 May 2018 deadline.

"I'm positive about the figures with regards the levels of businesses that feel confident that they're going to become compliant," said Taylor.

"It shows that while not every director is necessarily aware, companies are making good progress towards becoming compliant – so that's a useful statement in itself."

Kerr said regulatory factors such as auto-enrolment, the apprenticeship levy, changes to the national living wage, new reporting requirements and businesses' contingency plans approaching Brexit were pushing back compliance deadlines for smaller businesses.

The research also found that only half of directors had engaged with partners or vendors who they shared data with.

When asked where they would find information, the majority (52%) said they would speak to external private advisors and 45% said they would go to the government or Information Commissioner's Office (ICO).

"This is an opportunity for ICAEW members, as they can take the skills that they have already with regards to understanding confidentiality and security," said Taylor.

"They can use these as ways of advising their clients and trusted partners, and reassuring them about the methods and approaches that they can use to become GDPR compliant, and surrounding the use of good cyber security."

"A lot is going to depend on the messaging being stepped up by the Information Commissioners Office and the government," Kerr said.

"It would help if [people] are given step-by-step guidance through the process of complying with it.

"Possibly more than they are getting at the moment, as clearly that doesn't seem to be filtering through."

In June 2017, research suggested that thousands of businesses would be at risk of being fined over GDPR, the maximum cost of which would be €20m, or 4% of annual turnover.

Next issue

Security and access

The May 2018 issue of iQ will feature a section on Access and Security – covering ECM, security, scanning, FOI, privacy, knowledge management, system implementations, the Cloud, digitisation programs and solutions and SharePoint – plus general features. If you have an article on any RIM-related topic, we would love to hear from you.

Copy due: Friday 30 March.

LESSONS FROM THE WORLD AROUND US

It's important for an organisation to understand the lifecycle of its records. Records, like living things, have a time to live and a time to die…

By Craig Grimestad

As we work to instill an information governance culture in our companies, we often have difficulty moving the workforce to the correct perspective of records and how they need to be managed. We need to find a way to communicate with the workforce that enables a correct understanding of records and promotes appropriate retention and disposal. One effective communications and learning tool that might be useful is learning by association – identifying parallels to knowledge one already possesses. For records, the world around us provides many parallel illustrations that can be helpful to articulate the character, attributes and phases of a record's lifecycle.

Foundationally, let us assert again that records are a company's most important asset. More important than property, buildings, equipment, and yes – sorry to say – people. Like other assets, records require maintenance to retain their value and usefulness. Records are the lifeblood of a company, travelling throughout the corporate body from one location to another to accomplish the purpose for which they were created.

Records, like living things, have a lifecycle. They are created, have a useful life, and then 'die' (no longer useful to the company). Having a lifecycle represents that there is an end to the usefulness of a record. All records should be considered as lasting for a 'period of time' – there are no permanent records. Companies that take or allow a 'keep it all' approach to retention of records, do themselves damage, both from a cost and liability perspective. This could be described as a 'Dead Sea' approach to records management. There is inflow, but no outflow.

Certainly the useful life of a record can be a long time – the life of a company … but 'life of a company' is not permanent. I digress, but we recently bought a tulip tree for our backyard. This is a magnificent tree, attractive in appearance, fast growing, growing up to 100 feet in height. If grown in optimal conditions, a tulip tree can live for 300 years. That's a long time, many generations, but it is not permanent. Your company may be growing quickly, have a strong future, enduring many generations, but it won't be permanent.

There are also records that have a very short life span. Similarly, annual flowers decorate for a season. Then, as the season ends and the weather changes, they wither and die, having fulfilled their purpose. Most records fall somewhere in between 'life of company' and 'short life span'.

> *All records should be considered as lasting for a 'period of time' – there are no permanent records.*

During their useful life, plants are pruned to keep them healthy and useful. So too there is value in 'pruning' records during their useful life. Draft copies, earlier versions and duplicates can all be trimmed or disposed of, to eliminate confusion and establish the Official Record. When the end of life comes to living things, they begin to decay and rot. Similarly, once the useful life of a record is over, the record transitions from being an asset to a liability. The cost required for retention is no longer justified, the record consumes space in the repository (potentially making it more difficult to locate a desired useful record), and the record remains available for a records search by outside counsel during litigation.

Living things come in all shapes and sizes, with varying lifespans. All are identified and classified in their respective taxonomies by common characteristics and placed groups of species and sub-species. Similarly, records come in many forms, shapes, and sizes. Paper, electronic, film, disk, clay models, tissue specimens, core specimens and more. Each is assigned a place in the company's record retention schedule where record classes (prescribing retention) are established according to common characteristics and information content.

Records are an essential dynamic part of the operation of a company. Records document a company's corporate existence, its learning, its transactions, its ability to develop and produce services and products, its possessions, and its satisfaction of legal and regulatory requirements. The better the workforce recognises the value of records, the stages of the record's lifecycle, and the transition of a record from an asset to a liability, the better they will be able to actively participate in an information governance culture. Drawing parallels and using examples from the world around us can be very helpful in attaining that comprehension and participation. ❖

ABOUT THE AUTHOR

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

Recordkeeping Informatics for a Networked Age

In this book, authors Frank Upward, Barbara Reed, Gillian Oliver and Joanne Evans, as practitioners and academics, use their thinking about archival practices to present a new teamwork and Internet-based business application approach that could help a recordkeeping mind to develop and help usher in a new era of cyber-maturity.

Review by **Rachael Davern**

Recordkeeping Informatics for a Networked Age is an academic book that looks at the field of informatics and the recordkeeping continuum. On its own, informatics looks at how a specific study area contributes to society; how it helps form knowledge; and how related techniques and technologies can maximise social and cognitive roles. By placing a focus area in front of 'informatics', it becomes a specialisation, and suddenly we are looking at the science of record keeping and its social and intellectual effects. The recordkeeping continuum is a theory we are all familiar with, and blurring the lines between the various aspects of the continuum forms the basis of the recordkeeping single-mind. The book also goes into mending the fracture between information management and information systems design, while strengthening and recognising the individual roles that they both play.

What is particularly exciting about this book is the way that it recognises the difference of information management practices here in Australia, in comparison to the rest of the world – specifically Britain and the United States. It is refreshing to read a book that acknowledges our unique nature, the role we have played, what we are currently doing, and where our future is likely to take us. It helps to stay engaged with the topics being presented, as well as being relatable. The first part of the book focuses on the history of record keeping in Australia and explains the influences we've had, as well as the influence we have given.

Whilst this book wouldn't be considered as light reading (with the exception of the Hermione Grangers of the recordkeeping world) it is broken down into bite-sized pieces for easy digestion, and there is also an informative preface provided. It focuses on four aspects: 'The Recordkeeping Single Mind' which looks at a 100-year history of record keeping, as well as a need for the recordkeeping single-mind to be applied within our digital age. 'Facets of Analysis' takes a look at recordkeeping cultures, the records management process and access to records. Recordkeeping metadata and continuum thinking make up 'The Building Blocks'. The final part is 'The Future', for recordkeeping informatics, it relies on the discipline and ethics of professionals in the information

> *... suddenly we are looking at the science of record keeping and its social and intellectual effects.*

management sphere.

A small aspect of the book is the importance of record keeping – from writing the history books to keeping governments accountable. They look at ethics of the recordkeeping profession and the balance of unbiased recording of everything, versus individual privacy, and finding the equilibrium between transparent government agencies and WikiLeaks catastrophes. Information management professionals, including those in the recordkeeping sphere, need a holistic approach to how they operate. The way forward is through authoritive information resource management and ethical evidence-based recording and decision-making. Whilst we all know that we need to move away from archaic paper-based thinking and into the world of nanosecond archiving, the way forward is not a well-known path. This book gives the reader the critical thinking needed to start exploring the new world.

The passion and the vast experience of the authors shine throughout this book, each bringing valuable insights from their area of expertise. Whilst the metaphors do chop and change slightly, the voice of the book is unified and consistent. The encouragement to bring the industry out and away from glorified filing to a level of true professional status is inspiring. Do not be put off by the tertiary language of this book. Every level of information management professional can take something away, even if you have to read it bit by bit. ❖

ABOUT THE REVIEWER
Rachael Davern is a/Coordinator Service & Information, City of Subiaco.
✉ She can be contacted at rachaelr@ subiaco.wa.gov.au.

Research in the Archival Multiverse

This new book on research methods and theoretical frameworks for archival science is a must-read for educators, researchers and researchers-to-be in archives and record keeping. There is also a wealth of information for practitioners interested in record keeping and archival theory, history, and research.

Review by **Lydia Loriente ARIM**

*R*esearch in the Archival Multiverse – edited by Anne J Gilliland, Sue McKemmish, and Andrew J Lau – is an edited academic text representing the latest scholarly thinking, as well as a historical overview of record keeping, archival theory and research. Contributors are a mix of seasoned and emerging academics and practitioners predominantly from North America, Europe and Australia. The book arose out of discussions and work undertaken by the Archival Education and Research Institute (AERI).

I am a student and new professional in record keeping and archives. I do not have extensive research experience. As a 'newbie', I enjoyed reading about the history, theories, research projects and research methods outlined in the book. I found it to be a great induction into understanding archival scholarship and research.

Comprising 34 essays in over 1000 pages from 39 contributors, it is a very large book. Do not let that detract you from the wealth of information in it. While I read it cover to cover, chapters are standalone essays that can be read in any order. It was not possible to mention every author due to the word limit of this review, so I have focused on just a few chapters to provide a taste of what is included.

Part 1 is an extended introduction comprising a dedication, a preface, and chapter 1. It explains the origins of the book, the term 'archival multiverse', has a brief history of archival scholarship, and sets the scene for the remaining sections. In the dedication to the late Allison Boucher Krebs, there is an introduction to Indigenous considerations to knowledge sharing and archiving.

The archival multiverse is described as 'a world of multiple ways of knowing and practicing, of multiple narratives co-existing in one space' (p.9). The archival multiverse 'allows multiple views of purpose, code and existence. Thus it allows for multiple views of archiving and is inclusive of various minority or underrepresented groups' (p. 11). It is an exciting concept which challenges scholars and practitioners to reflect on their perception of what is an archive and what is archival practice (inclusive of recordkeeping), in order to be inclusive of a diversity of views and approaches. As noted in the introduction, 'such research in archival and recordkeeping studies is important in part precisely because it unsettles some of our own complacency and confidence in our professional knowledge base and its associate assumptions' (p. 64). In fact, there is a caution in the Dedication: 'Warning: Reading this chapter may be dangerous for your archival practitioner
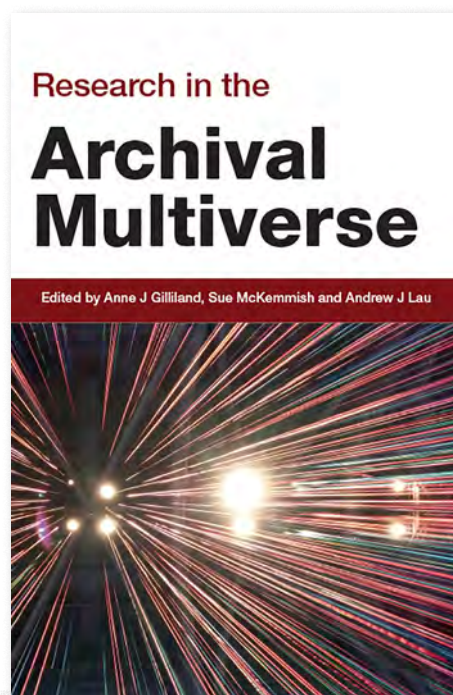
upon how and why they chose particular methods and research design. This adds value to the case studies and will be appreciated by researchers considering using particular approaches themselves. Finally, a brief Part 5 provides biographical information about contributors.

Fitting with the theme of 'archival multiverse', the book is inclusive of the diversity of terminology used in the profession. There is deliberately no glossary, and each author was given freedom to use archival terms in whichever way they chose, but asked to explain their understanding and use of terms within their essay. It would have been interesting if the book had included a 'multiverse' glossary that explained the various uses and meanings of the terms used.

The majority of authors research or practice in Western countries (particularly North America), with only one author each from China and Korea, and no authors from some regions. More variety in where contributions were sourced may have added diversity to this book about research in the archival multiverse. However, this does not detract from there being a wealth of information and a range of approaches presented.

This book demonstrates that record keeping and archives is a discipline with a strong theoretical and scholarly underpinning. As the blurb states, archival studies has 'experienced unprecedented growth' in the last 15 years, and graduate education programs in archival studies 'have among the highest enrolments in any information field'. Educators in university research courses would find value in familiarising themselves with this book. Anyone who is doing, or wanting to do, research in archival science would find this book valuable for its overview of historical and current thinking, research methods, and the application of those methods in case studies. The book is ripe with ideas for further research, with many authors identifying areas that need attention. There is also a wealth of knowledge that could be appreciated by practitioners, as I found when reading the book. ❖

The book can be purchased, or the majority of it downloaded for free, from: http://www.publishing.monash.edu/books/ram-9781876924676.html

> *The archival multiverse is... 'a world of multiple ways of knowing and practicing, of multiple narratives co-existing in one space'*

worldview' (p.5).

Part 2 contains 12 essays exploring recordkeeping and archival theories. I enjoyed learning about diplomatics, which is the analysis of documents to understand if they are reliable/authentic (chapter 2 by Luciana Duranti and Giovanni Michetti). Chapter 4 by Sue McKemmish provides an overview of some records and archives theory and practice in Australia, inclusive of Western as well as Indigenous perspectives. It includes a useful outline of records continuum theory, which could serve as an introduction, or as a refresher. Continuum theory is also covered in chapter 6 by Frank Upward. In chapter 7, Eric Ketelaar explains the archival turn – how, only recently, archives and archival practice has begun to be scholarly recognised in and of itself, rather than just providing sources for historians.

Part 3 has 10 essays covering a range of methodologies, some of which are also addressed in part four. I learned about grounded theory in chapter 17 by Jenny Bunn (also addressed in chapter 33 by Sarah Ramdeen and Alex H Pool), and about literary warrant assessment in chapter 15 by Wendy Duff and Kate Cumming, along with many more theories within the other essays.

In Part 4, there are 11 research case studies. They cover a range of research methods such as diplomatics (chapter 24 by Heather MacNeil), bibliometrics (chapter 27 by Kimberly Anderson), and more. Chapter 25 by Leisa Gibbons uses continuum theory to develop a model for reflective research design. Chapter 29 by Karen F Gracy proposes using ethnography in archival research. What is unique about Part 4 is that the authors were asked to make explicit and reflect

ABOUT THE REVIEWER

Lydia Loriente (BA (Hon), DipLang (Italian), MEuIntStudies, ARIM) is a senior records analyst at Monash University, and a student in the RIMPA-accredited Graduate Diploma of Information and Knowledge Management at Monash University. Lydia has also worked in sales, marketing and data management, as well as in corporate governance specialising in policy development and privacy compliance. Informed by records continuum theory, Lydia is passionate about empowering people to do their own recordkeeping, and embedding recordkeeping compliance into everyday work practices.

✉ She can be contacted at lydiabloriente@gmail.com

DIGITAL ARCHIVING:
DISRUPT OR BE DISRUPTED?

What does 'creative destruction' mean for archival practice? What do archivists need to do to make sure we do not become obsolete in the face of rampant technological change?

By **John Sheridan**

E conomist Joseph Schumpeter popularised the term 'creative destruction' to describe the theory that technological advances make obsolete not just individual practices but whole philosophies, industries and ways of life.

We can find evidence for this idea in the historical record: for example, we can trace the ancestry of computing back through the development of punched-card textile looms in the 18th and 19th centuries. During the industrial revolution, weavers found their industry and way of life disrupted by technological advances.

Reflecting on the challenge of digital records, what does creative destruction mean for our archival practice? What do archivists need to do to make sure we do not become obsolete in the face of rampant technological change?

One option might be leave the challenge of digital archiving to another profession, or rely on another, newer kind of memory institution to figure out how to manage digital archiving. However, at the UK National Archives we believe that it is archivists who are best placed to curate and sustain digital archives – so long as we embrace disruption.

There are strong arguments that digital archives grown from within established archives, such as The National Archives, are best equipped to develop the new capabilities we need to preserve digital records. Here are three of the reasons why.
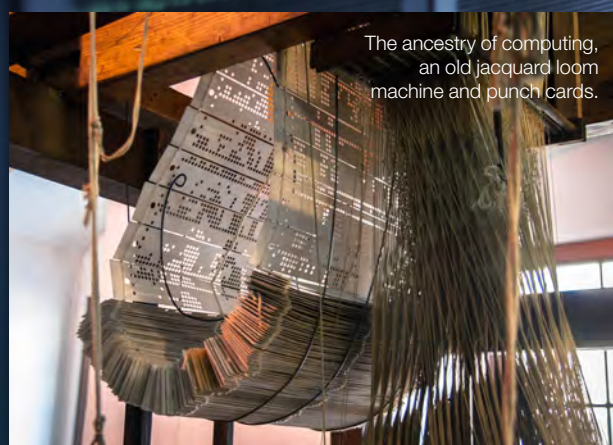
The ancestry of computing, an old jacquard loom machine and punch cards.

WE ARE ALREADY TRUSTED

There are good reasons to trust established archives with digital preservation. We have a proven institutional commitment to successfully preserving unique, precious and fragile things, while making them accessible to the public. We also have a strong tradition of ensuring the provenance and the authenticity of our collections.

> *The disruptive archive has to be able to adapt and evolve incessantly, exploring the digital landscape in which it operates and understanding how that landscape is changing.*

Our track record gives us 'trust capital', which would otherwise be hard to gain and that the digital archive can draw down from. The culture, practices and hard-won reputation of the established archive confer legitimacy on the digital archives we create and sustain. This is a crucial part of justifying the rights and privileges we need so that we can do the extraordinary things we have to in order to preserve digital records over generations of technological change.

PROSPECT OF LONGEVITY

Archives are not ephemeral, fly-by-night operations. Archives are often long-established institutions, looking after collections that society and the state have viewed as important and have already kept for hundreds of years.

At The National Archives, our oldest records date back almost a thousand years. The institution exists as a result of the original Public Record Office Act, passed in 1838 to 'keep safely the public records'. The relevant legislation and archival practices have evolved over time, but we are still the guardians of the public record 179 years on. Applying Bayesian reasoning, this track record means that the

The National Archives
of Australia

likelihood for the ongoing existence of the archive's collection, and the institution which preserves it, is comparatively very high – much higher than for any alternative. There is a very good prospect that the physical collection and the institution underpinning it will survive into the future – and the digital archive can draw down from this prospect of longevity.

CAPACITY TO CHANGE

Over the years The National Archives has grown and changed, as have our beliefs about what 'accessibility' should look like. Advances in conservation science have altered our practices and our standards as we determine the best ways to preserve our collection. The people, location and governing law might all change, but our core purpose and our dogged determination to preserve the public record are part of our institutional DNA and endure across the generations.

We are committed to preserving the public record – in fact we are pretty passionate about it. If we are to keep doing this throughout the 21st century, we know we need to be able to adapt in response to government departments' changing digital preservation needs.

The good news is that change is nothing new for archives. We are accustomed to change. We are familiar with the evolution of records (for example, from letters to telegrams to telexes to faxes to emails). We take the inevitable and unceasing changes in government structures and legislation and day-to-day working practices in our stride.

FACING UP TO CONTINUAL CHANGE

This all works in our favour provided we accept that we cannot just adapt once: we have to commit to continual change.

Any digital preservation system we build is strictly temporary. Technology moves so fast that any system we construct will necessarily become obsolete, sooner or later. When that happens, we will have to be able to extract the records held within it, undamaged and unadulterated. Collections of digital records have to be able to survive successive generations of expendable systems that preserve them.

The disruptive archive has to be able to adapt and evolve incessantly, exploring the digital landscape in which it operates and understanding how that landscape is changing. It needs to continually make smart decisions based on razor-sharp situational awareness.

In the words of Lewis Carroll's Red Queen: "Now, here, you see, it takes all the running you can do, to keep in the same place. If you want to get somewhere else, you must run at least twice as fast as that!"

We are going to keep on running, and disrupting what we do and how we do it. We will carry on making tough decisions about how we turn our most stringently limited resource – money – into maximum benefit in a digital world that just will not stand still for us. ❖

You can read more about The National Archives plans to become a disruptive digital archive at: nationalarchives.gov. uk/about/our-role/plans-policies-performance-and-projects/ our-plans/digital-strategy/

ABOUT THE AUTHOR

John Sheridan is Digital Director, The National Archives, UK.
✉ He can be contacted on jsheridan@ nationalarchives.gsi.gov.uk.

Minister deletes private email account used to capture public records

The Queensland state archivist has made recommendations to government regarding creation and disposal of public records by ministers after a government minister deleted a private email account used to capture public records and a subsequent investigation by the Queensland Crime and Corruption Commission.

By **Philip Taylor, MRIM**

A Queensland government minister has been investigated by the Queensland Crime and Corruption Commission (CCC) over allegations he used a private email account to capture public records which were subsequently destroyed when the email account was closed. Mark Bailey, Queensland's Energy Minister, became embroiled in the matter following a request for information (RTI) lodged by *The Australian* newspaper. The email account mangocube6@yahoo.com was used by the minister to conduct business relating to his portfolio responsibilities.

The account was deleted by Mr Bailey soon after the RTI was received. Mr Bailey denied any knowledge of the application. After initial inquiries, the CCC announced that it had formed the view the actions raised "reasonable suspicions of corrupt conduct". [1] Furthermore, the CCC considered that there is sufficient evidence to raise a reasonable suspicion of corrupt conduct relating to the potential destruction of public records by the minister as this may be an offence under the *Public Records Act 2002* (Qld)[2]. Following the preliminary findings by the CCC, the minister

was stood down from the Queensland Government's ministry.

The use of private email accounts for the conduct of official government business is in breach of the Queensland Ministerial Handbook and Ministerial Information Security Policy. The deleted email account was able to be reinstated as part of the official investigation into the issue raised.

The CCC requested the Queensland state archivist to investigate further the destruction of official government records by deleting the email account.

In September 2017, following further consideration of the matters raised, the state archivist prepared a report for the CCC. The state archivist considered potential breaches of the Public Records Act, the Right to Information Act and *Information Privacy Act 2009* and to any other offences in the Queensland Criminal Code.

The state archivist found that there were a number of public records captured in the private email account, of which a number could be disposed of by Mr Bailey. However, there were a number of other records which could only be disposed of via an approved records and disposal schedule. As no authority had been given, this was a potential breach of the Public Records Act.

The CCC considered the meaning of the term 'dispose', which is not defined in the Public Records Act. It formed the conclusion that the term 'dispose' implies a permanency to the disposal of a public record. However, as the account and records were able to be recovered there had been no permanent disposal. The CCC decided to not pursue the matter any further and Mr Bailey was reinstated to his former position in the government.

The Queensland state archivist has made a number of recommendations to the government regarding the creation, maintenance and disposal of public records by ministers.

There has been criticism by some that the conclusion reached by the CCC was not appropriate. In his analysis, Kevin Lindeberg commented …"in the case of Minister Bailey the fact that his received/created emails were always 'public records', consistency at law must apply to reasonably expect that he, as a responsible minister of the Crown, should know (along with other ministers or public officials also who may create/receive public records in their public positions) that their records may be required in a future right to information access application."[3]

The use of private email accounts by public officials is fraught with danger as Hilary Clinton found out. [4]

The interesting issue is that public officials continue to ignore the clear message – official government business needs to be captured and retained in official recordkeeping systems. ❖

> *The CCC considered the meaning of the term 'dispose' … It formed the conclusion that the term … implies a permanency to the disposal of a public record.*
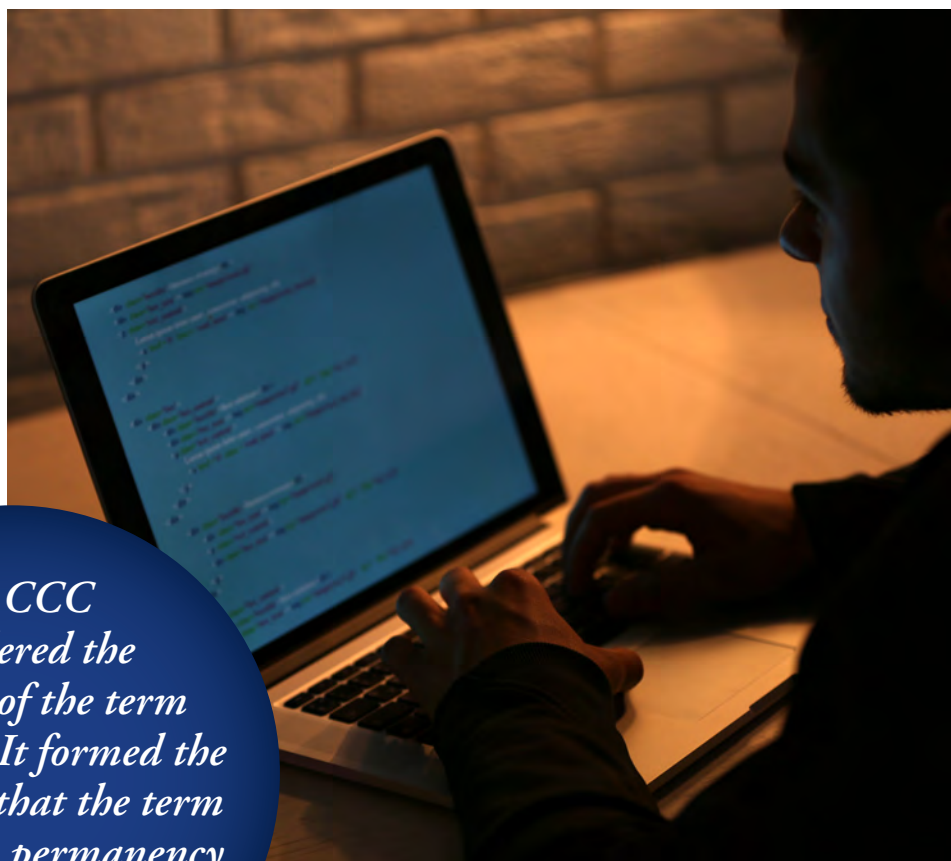
ABOUT THE AUTHOR

Philip Taylor MRIM joined RIMPA's Qld Branch in 1992 after relocating from Victoria. He became a Branch Councillor in 1993 and in 2001 became Branch President, a position held until 2007. Philip had a long-held interest in education for records management staff and was Qld Branch Education Coordinator for many years. Philip is currently a member of the Editorial Committee for *IQ*. His career in records management spanned over 35 years in both state government and higher education sectors. Now retired, he enjoys travelling and pursuing a number of other interests. His interest in records management still remains, especially in the area where records management interacts with public policy issues. He was awarded Life Membership of RIMPA in 2006. He has been a member of RIMPA since 1974.

✉ He can be contacted at philip2013@bigpond.com.

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BEING AN EMOTIONALLY HEALTHY LEADER

Being a leader or manager is about more than just attending meetings, managing budgets, setting goals and delivering objectives. It's about finding the right balance between output and fostering professional relationships with people, through collaboration and engagement. This article explores the attributes of a holistic leader and the value of drawing on one's professional journey and life experiences to be a good leader.

By **Sandra Pickett**

Depending on your leadership style and preferences, this article may challenge your views and ideals on what constitutes an effective leader in today's corporate sector. Emotions, mindfulness, behaviour, self-awareness, resilience and empathy are referenced throughout, some of which may seem foreign to you from a business context. The purpose of this article is to encourage you to expand your thoughts, to be open to self-reflection and new ways of thinking for the greater good.

By no means am I an expert in emotional intelligence; this paper is based on my passion for leading teams, 30 years working with people in various sectors and various roles, and my interest in material written by professionals within this specialised field. The content only scratches the surface and may inspire others to explore the value of understanding the key competencies of an emotionally healthy leader.

WHAT IS EMOTIONAL INTELLIGENCE (EI)?

In basic terms, EI is the ability to understand and manage your own emotions and those around you. Individuals with a high degree of EI tend to know what they are feeling and the feelings of others, in order to manage their own behaviour and relationships effectively. Underpinning all aspects of EI is a core attitude towards ourselves and others. The term EI was first coined in 1990 by Peter Salovey and John Mayer and gathered momentum in 1995 by Daniel Goleman in his book titled *Emotional Intelligence.*

Warren Bennis, the founding father of leadership writings and insights, based in the United States, identified resilience as the most important quality of a leader who has aspirations to lead a healthy and meaningful life. He has called for "the field of leadership studies to attend to how we can develop leaders who understand relationships and communication, who can manage themselves and others with wisdom, creativity and values." [1]

HOW STRESS AFFECTS OUR EI

Stress levels play a vital role in terms of how leaders perform under 'stressed-out' mindset conditions. Studies by Henry Thompson show that the higher the stress levels, the more individuals demonstrated lower EI. Similar to Thompson's findings, another study by Goleman focuses on stress levels of leaders and shows that "stress may reduce the leader's access to his or her full EI ability". We have all experienced high stress levels at certain stages of our lives and throughout our careers and have probably relived particular scenarios in our minds over and over. For example, how did this conversation even start? Why did I react that way? Could I have responded differently?

Hindsight is a wonderful thing and can lead to 'self-talk' after an event or situation for hours, days, weeks and months, depending on our state of mind at the time and overall emotional wellbeing. When we don't think clearly, we often become overwhelmed with an emotional reaction and are 'hijacked' in being able to think and respond in a clear and confident manner. Goleman refers to these moments as 'the amygdala hijack' whereby the emotional part of the brain regulates whether to go into fight, flight or freeze mode. [2]

STAYING ABOVE THE LINE OF CHOICE

Having self-control and being aware of your feelings (and blood pressure) is likely to supress emotional outbursts. Let's face it, we have all behaved badly at some stage and have witnessed others behaving badly, whether it be a professional athlete, politician, family member, friend or neighbour. The workplace is not exempt from outbursts by disgruntled work colleagues for a whole range of reasons such as frustration,

deadlines, constant challenges, being pushed to the limit, heavy workloads, negativity amongst the ranks, everyone on different pages, resistance to change, health issues and so on.

Over the years, I have personally bore the brunt of some irrational outbursts by an array of colleagues including senior management of both genders. Fortunately, these outbursts have been rare and, to be honest, the good leaders far outweigh the bad ones. When looking at 'The Line of Choice' (Figure 1) adapted from the work of Robert Kiyosaki, there is a clear distinction in where we sit depending on our responses and how we react in the present. [3]

Personal responsibility	Above the line
Line of choice	
Blame Deny Justify Defend	Below the line

Figure 1: The Line of Choice

There is always a personal choice in the way we react at any given moment. Remaining clear and level-headed is a skill requiring training and practice. It's not easy being disciplined and being able to think logically on your feet at short notice. Leaders who operate above the line, take responsibility for their reactions and behaviours rather than what's happening at the time. Their responses are more likely to be constructive and thoughtful. When operating below the line, leaders demonstrate a knee-jerk reaction or 'automated' response based on blame, denial, justification and being defensive. Responses under these conditions are often driven by anger and/or frustration and are typically unproductive. Some conversations below the line can be hurtful at a professional and/or personal level and could very well damage relationships. In some instances, these relationships need time to heal and re-establish themselves and, in a worst-case scenario, may never be salvageable.

Imagine being advised by your supervisor that you were unsuccessful in the recent promotion you applied for. If your frame of mind at that moment is operating below the line, you may be upset by the news and choose to voice your displeasure and storm out the office straight to Human Resources to make a formal complaint. A healthier response would be to ask why you were overlooked on this occasion, is there any aspect of your skillset that you need to work on, and if you found a suitable course would they support further training.

Another option, above the line, is to buy some time if you feel yourself getting upset and distressed. This can be achieved by letting your supervisor do all the talking and, at the first opportunity, wrap up the conversation before you say something you may regret. Once you've had time to think with a clear head, you will know how to process the information and what action, if any, you choose to take. Alternatively, you could simply accept the decision and acknowledge that it's out of my control and ask yourself, would anything I say at this point change the outcome. No doubt there are other ways of handling the situation above the line. Being instinctive to know which battles to fight and where to channel your energies will assist in your ability to make healthier choices.

Throughout my career, I have come across a handful of

... the foundation of great leadership is knowing your strengths and weaknesses, being optimistic ... with the agility to think on your feet.

great leaders who influenced me, for the better, in terms of my career and making good choices. Until now I never really gave much thought as to why this number is so low; however, after reading some interesting material around EI, backed up by studies and extensive research, it seems much clearer. There are too many studies to cover in this article therefore, I will briefly outline three.

THE ACTIONS HEALTHY LEADERS TAKE

The first study underpins a flaw in the old leadership model in terms of short-term results and behaviours. Bob Rosen (founder) and Kathie Ross (consultant) of Healthy Companies International, undertook a survey during the past two decades of 500 CEOs across 50 countries. [4] The survey results showed that healthy leadership is based on core qualities or roots. "In other words, it's who we are that determines what we do and ultimately, drives performance." Furthermore, the foundation of great leadership is knowing your strengths and weaknesses, being optimistic, having good physical health with the agility to think on your feet. These qualities are complimented with a specific set of actions deemed essential in meeting the demands and challenges of today's fast-paced work environment.

Actions relevant to modern leaders include:

◆ building a culture based on trust and that everyone has a role to play

◆ reaching a common goal through a positive mindset and authenticity

◆ fostering relationships to form strong connections

◆ engaging and encouraging others to work at their best

◆ driving high performance through physical health (stamina) and emotional health (resilience)

◆ exploring and seizing opportunities depending on interest and curiosity.

THE THREE INTELLIGENCE CENTRES

The second study identifies three core emotions that help us to think clearly and react responsibly in most instances. These core emotions are depicted from Antonio Damasio's notion that there are three centres of intelligence and our thinking is only balanced if all three thinking centres intercept. [5]
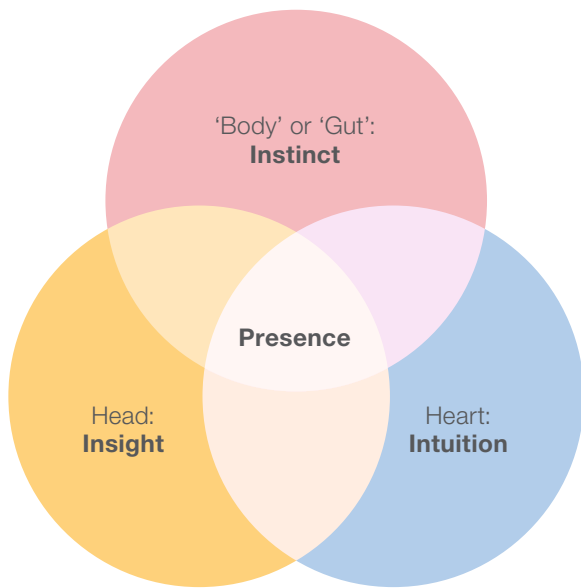
Figure 2: Three centres of intelligence

Instinct is based on thinking using your gut or body thinking. You may have heard or used phrases along the lines of "I always rely on my gut feeling" or "my instinct never fails me". If you have good instinct, you are aware of your immediate environment and instinctively know how to respond in most circumstances.

Intuition is thinking more with your heart based on your feelings. People who think through their feelings enjoy engaging and connecting with people and need to be valued for the work they do because their contribution matters. They typically avoid conflict and upsetting others.

Having good insight enables you to think with your head, analyse the situation and make good decisions based on the facts. I suspect the older style of leaders would have relied predominately on this centre of intelligence and perhaps instinct to some extent. Taking people's feelings into consideration would not have been the norm.

Basically, if leaders use all three methods of thinking (interception of all three centres of intelligence), they are more likely to be balanced and have a holistic approach to leading others. Real clarity in our thinking occurs when we are fully connected with all three centres.

We tend to have a preference that we 'go to' as our predominant thinking centre especially under pressure situations. As we become more confident and tap into all three centres, known as 'whole body thinking', emotional health will increase. "We start to approach wisdom in leadership that is simultaneously decisive, compassionate and logically coherent." [6]

For as long as humans are in the workplace, there will always be outbursts and difficult people to contend with. Outbursts in general are random and unplanned unless they are synonymous with an individual's known aggressive and/or impulsive behaviour. Good leaders have a tendency to apologise in a sincere manner for their short comings and may provide context as to why they reacted the way they did.

Drawing on my own personal experience, poor leaders often deflect, pretend the conversation never happened and in some cases behave differently towards you in a negative way. I have known bad leaders to keep their distance and make no attempt to negotiate or work through the issue probably because they don't know how or don't see the need or value in rebuilding a fragmented relationship.

COMPETENCIES OF EMOTIONAL INTELLIGENCE

The final study by Goleman and Cherniss in 2001, identifies 20 competencies of EI which are grouped under four clusters as shown in the model below. [7]

PERSONAL	SOCIAL
Self-awareness	**Social-awareness**
Emotional self-awareness	Empathy*
Accurate self-assessment	Organizational awareness
Self-confidence*	Service orientation
Social-awareness	**Relationship management**
Emotional self-control*	Influence
Trustworthiness	Inspirational leadership
Conscientiousness	Developing others*
Adaptability	Building bonds
Achievement orientation	Teamwork and collaboration*
Initiative	Conflict management
	Communication*
	Change catalyst

Figure 3: 20 competencies of EI

Put simply, it's all about applying the right balance within each of the clusters through a sound understanding of ourselves and others, and how to manage ourselves and others with some degree of empathy. The higher the number of competencies, the better our performance will be. The competencies highlighted with an asterisk are the areas that the majority of the executives needed to work on. What is surprising is seeing self-confidence, teamwork and collaboration and communication on the help list. Without these fundamental core skills, I did wonder how they got the job in the first place and how they are performing in the role.

Resilience is another trait that resonates with me. Resilience is a contributing factor to one's overall wellbeing given no two days are the same, and that we all have bad days from time to time. Leaders need to be able to bounce back while keeping their emotions in check and motivation levels high. This is not always easy, and the recovery time depends on the situation and how overwhelmed we feel. Some of the healthier strategies to get us through these difficult times include exercise, meditation, quiet time to clear the mind, listening to music, focusing on what's important, mapping out a plan to address the issue, and perhaps asking for assistance from people we can rely on and trust.

Trust can be an issue for some leaders in terms of wanting to be in control more often than not, rather than delegating. This state of mind and preference to do it ourselves is based on the belief that "no-one is capable of doing it as good as me and besides it's quicker if I just do it myself". This is unsustainable and not the trait of an emotionally healthy leader. Good leaders invest in their people and focus on developing skills in those individuals who have the potential to grow with encouragement, guidance and support.

DIGITAL CHAMPIONS

Last year, I was inspired by a presentation by Simon Waller at the Municipal Association of Victoria (MAV) ICT conference in Melbourne on 'digital champions'. Whether you have a background in records management, IT or information management, the role of a digital champion is to assist organisations to improve their business processes through automation.[8] I purchased Simon's book *The Digital Champion* (signed by the author which was a nice touch) and adapted it so I could apply the concept more broadly. For example, the last two projects I worked on – one still current – I engaged digital champions across the organisation to be advocates for my projects. These champions are among the first to see and test the new solution and be the go-to people post-implementation. The type of individuals that make good digital champions are energetic, passionate about making a difference, eager to learn and positive. However, in some instances, your digital champions could also be individuals who are sceptical and negative towards most things, including your project. Therefore, for strategic reasons, it's worth getting them involved from the get-go to gain their trust and change their mindset, if you can pull it off. Once their colleagues see the change in them, for the better, they too will be convinced the solution must be good.

A NEW LEADERSHIP FRONTIER

There have been different views in recent times on whether leaders and managers should be responsible for motiving their staff and ensuring their happiness at work. "Motivation is internal; people are responsible for motivating themselves, and they can't motivate you any more than you could motivate them."[9] I agree with this view, in that leaders should be accountable in the provision of a safe and positive workplace while fostering interaction, excellence and opportunities whereby individuals can thrive and motivate themselves.

On the other end of the scale, Santiago Jaramilo is calling for a new leadership frontier which goes beyond EI. In a recent article he quotes "MQ-level leaders motivate, engage and inspire employees with the meaning in their work."[10] He reflects on the world today and significant changes in the work environment which he believes warrants a change in leadership styles to meet modern day business demands. This changing landscape has seen a surge in leadership expectations and whether they are realistic or attainable is up for debate. Satinder Dhiman released a book this year which has strong undertones around holistic leadership and the emphasis that self-mastery – 'mastering the me in leadership' – is the foundation that success is built on.[11] He makes a spiritual connection between Hindu values and self-development, self-effort, self-will and self-perseverance as a means of preparing us for life and leadership. Sounds like an interesting topic for another time.

IDENTIFY WHAT YOU DO WELL....

We have all been exposed to people who have challenged us and have attempted to sabotage our projects and our pride. There are times when we need to have courageous conversations with difficult colleagues in an ethical and professional way to build bridges and enhance rapport. Regardless of the outcome, there will always be circumstances that leaders cannot influence or change because they are simply out of our control. Furthermore, there will be times when influences, linked to work or our personal lives, will be tested and cause us to be reactive and make decisions without much thought. In these times, it's best to be honest and acknowledge that we're not at the top of our

game and how we choose to handle ourselves during these times is critical. As mentioned earlier, how we react and behave under stress and difficult times, will define how others perceive us as leaders.

Having a strong work ethic and a drive to make a difference remains at the top of my list. However, what has changed over time is my maturity and openness to self-evaluation and gaining a better understanding of my strengths and the currencies that keep me motivated and focused in the workplace. I have learned the importance of engaging and collaborating with colleagues and to own my reactions and behaviours. It's never too late to learn from good and great leaders and to adjust our mindsets, learn more about ourselves and how we interact with others towards a common goal.

In the words of Martin Seligman "…the best way to be happy and more successful is to identify what you do well and do more of it…"[12] ❖

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ABOUT THE AUTHOR

Sandra Pickett has over 20 years' experience in the RIM profession. Throughout her career she has attained qualifications in record keeping and archival management and has worked within the public and corporate sectors. In addition to implementing systems and new initiatives within the digital space, she has a background in lecturing and consulting and has a passion for leading teams. During the past 10 years she has expanded her knowledge with respect to Information Privacy and Freedom of Information. Recently, Sandra moved from local government to the education sector and is currently the Manager, Records and Archive Services at Victoria University.

✉ She can be contacted at sandra.pickett@vu.edu.au.

Leadership attributes

As a leader, you need to be able to manage your people effectively – to find out what motivates them, and to give them the support and energy they need to execute their roles to the best of their ability. Next time you are thinking about your people, and their ability to develop into leaders themselves, think about the attributes outlined here, and consider how you might best approach them.

By **Kevin Dwyer**

L eaders strongly influence the performance of their teams, whether intentionally or not. Coaching, communication and drive are three elements of a leader's attributes that contribute to that influence.

COACHING TO GET THE BEST OUT OF PEOPLE

There are few things more frustrating for a leader than having people in positions of power – and with the capability to exercise that power – not doing so. Leaders have to be able to adjust their reactions and display different aspects of their coaching range to get the best out of people who are at opposite ends of the spectrum regarding their ability and the degree of accountability they take.

Accountable and able
These are the people we feel blessed to have. They are able to do their role, they feel accountable for their role, and they just get on with it once we tell them the outcome we are attempting to achieve.

Accountable but not able
Many of our people are like this, and we need to spend time coaching or training them to do what we want. They take to the training with gusto as they know they need to learn the skills and knowledge to get the job that they are responsible for done, to a level of quality they can be proud of. We need to be supportive and encouraging of questions and empower them to take action.

Not accountable but able
These are the most difficult people to deal with. They do not need to be shown what to do, but to be shown how to behave. They need to be shown, then a follow-up is required to ensure they do what they have been shown.

Not accountable and unable
This is the easiest group to deal with. Move them to another role or, in many cases, let them explore which role matches their particular capabilities and desire to 'own', in other organisations.

COMMUNICATION

Leaders have to be able … to display different aspects of their coaching range to get the best out of people who are at opposite ends of the spectrum

THE ART OF COMMUNICATION

Verbal communication is about listening, asking questions and talking. Unfortunately, it is an infrequent occurrence for us to meet an individual who is good at all three and can vary, at will, the ratio required of all three, to effectively communicate in different emotional environments. We are more likely to get three of the four variations of the propensity to talk and the propensity to listen and ask questions.

Propensity to talk high; propensity to listen and ask questions high
Leaders whose ability to talk clearly is matched by their ability to listen and ask questions are seen as good, caring communicators.

Propensity to talk high; propensity to listen and ask questions low
Those with a high propensity to talk and a low propensity to listen and ask questions are perhaps the most problematic of communicators. Even though they think they are communicating well, the people they communicate with are highly likely to:

◆ switch off

◆ feel undervalued

◆ not understand the complete message being conveyed

◆ feel frustrated.

People with this trait are usually easily identifiable. Their speech is peppered with the word "I", they talk over the top of others, complete others' sentences and may use phrases such as "do you get me?" frequently in an insincere attempt to ensure people understand what they are thinking.

Leaders who communicate in this way are more likely to be seen as haranguing, rather than communicating.

PROPENSITY TO TALK LOW; PROPENSITY TO LISTEN AND ASK QUESTIONS HIGH

Passive communicators who only seem interested in others' views make it difficult for the listener to know what is really on their mind. This relies on the listener's questioning skills, and may well result in the listener being frustrated by their inability to get clarity from the communicator about what they want, where the boundaries are and what level of authority they have to act.

Leaders who communicate in this way often think they are communicating well because of their questioning, clarifying style. But if they do not share what is directly on their mind in an assertive but non-threatening way, then people do not know how to react to what they have heard. They do not even know whether they have heard the full story.

People who communicate in such a way may be good at counselling others, but should be clearer about their needs in order to be an effective communicator.

Propensity to talk low; propensity to listen and ask questions low
Leaders who exhibit these characteristics undoubtedly won their role through default. They tend to keep to themselves, rarely talking about what they feel or think, occasionally discussing what they have done. When they listen, they hear, but do not really listen. They internalise what they hear, do not clarify nor ask questions to understand context or emotion.

They formalise responses in their head, but infrequently communicate them.

They are seen as moody and taciturn and therefore difficult to get along with, even if they are perfectly nice, introverted people.

LEADERSHIP ATTRIBUTES AND THE IMPACT ON POORLY PERFORMING TEAMS

Poorly performing teams are most at risk from leaders' attributes and behaviours. Two of the attributes which significantly impact upon poorly performing teams are a leader's drive and a leader's degree of unconscious incompetence – that is, the degree to which they "don't know what they don't know", to quote a former US Secretary of State.

High drive, low unconscious incompetence
Leaders who have a self-effacing approach to their own ignorance and put faith in subordinates with higher levels of skills and knowledge than their own, but who still drive the organisation, its people and themselves to achieve agreed milestones usually get rapid improvement in the performance of their team.

High drive, high unconscious incompetence
Conversely, those leaders with a low level of self-awareness regarding their lack of skill, or poor behaviour and strong drive, tend to experience further rapid decline in performance. They may enjoy an initial improvement as the drive they offer aligns people to a set of actions. However, the false dawn is replaced by confusion as the inability to listen to others' ideas and the championing of methods without the skill to execute them create inconsistent approaches to addressing problems, with little support from the team.

Low drive, low unconscious incompetence
Leaders with low drive but high self-awareness of their shortcomings usually succeed in improving the performance of teams. However, progress is slow unless they are aware of their drive short-comings, and delegate responsibility and authority to act in tandem to more capable team members.

Low drive, high unconscious incompetence
Leaders who do not know what they don't know and have little drive will be overrun by others with drive. In situations like this, there tends to be high inertia to change as individual leaders with high drive compete for the high ground, often in opposition to each other and with no one able to harness their drive for the good of the team. ❖

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ABOUT THE AUTHOR

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

✉ He can be contacted at Kevin.Dwyer@changefactory.com.au

TRAINING AND LEADERSHIP
THE GOOD, THE BAD AND THE UGLY

Good training and leadership will provide the modern leader with the necessary skills and mind-set to successfully build, support and grow a healthy environment.

By **Linda Shave**

The case for change in the information management industry can be clearly made as our industry is being challenged in this digital-driven economy. We need to understand current and evolving digital drivers that are changing our industry, and identify and plan for the new skills needed for the jobs for tomorrow. To do this we need to better understand the differences between the concepts of training and leadership.

DEFINING TRAINING AND LEADERSHIP

Training and leadership are often united with management, however they are separate concepts and require different skill sets and attitudes to meet the changing culture needs of the organisation and the workforce in this evolving and complex digital world. Table 1 provides a brief definition of the differences between training and leadership.

Title	Definition
Training	Training is about teaching a person the skills needed to undertake a particular function, activity or task, and/or providing a person with a particular type of behaviour.
Leadership	Leadership on the other hand is the art of applying innovation, skills and attitudes to motivate and lead a group of people or the organisation towards achieving common goals. Leadership is people and future focused, whereas management is essentially process/task focused.

Table 1. Defining the difference between training and leadership

Good training and positive leadership provide for a healthy environment – one that encourages innovation, knowledge sharing and an entrepreneurial way of working for the benefit of the organisation and its future. In contrast, poor training and toxic leadership has the potential to provide an unhealthy environment for its workforce, the combination of poor training and toxic leadership stifles growth and trust, and is unproductive. It provides a toxic environment that impacts the workforce and business efficiency, and conceivably could impact on the organisation's continuance.

THE GOOD SIDE OF TRAINING

As defined in Table 1, training is about teaching a person the skills needed to undertake and successfully accomplish their day-to-day functions, activities and tasks in their workplace and is often measured by key performance indicators. Positive training from a people, process and technology stance provides the skills, knowledge and behaviours needed by the worker to be confident, productive and positive in undertaking their work. Positive workers have trust in their leaders and their organisation to keep them skilled and up-to-date in times of change.

THE GOOD SIDE OF LEADERSHIP

The new era of all things digital will be challenging and require strong leadership skills to navigate and drive cultural and organisational change. The modern leader will need to take on an entrepreneurial mind-set in order to successfully drive these changes and be able to persuade, encourage, support

and enthuse the embryonic workforce through this period of upheaval.

Leadership skills will require a fusion of technology, business knowledge, openness, adaptability, critical thinking, problem solving, communication, entrepreneurialism, innovation and interpersonal skills. These can be grouped into three categories: working, thinking and tools. See Table 2.

This type of leader will provide positive leadership in order to build, support and grow a healthy environment – one that encourages innovation, knowledge sharing and an entrepreneurial way of working for the benefit of the organisation and its sustainable future.

Working	Business savvy Agile – adaptable Entrepreneurialism Leadership (including persuade, encourage and support) Communication Interpersonal, collaboration, teamwork Lifelong learning
Thinking	Creativity Innovation Critical thinking, problem solving and decision making
Tools	Technology Intelligent information management Digital and technology literacy Analytics Robotic and intelligent process automation Artificial Intelligence Keeping up to date with evolving technologies and trends

Table 2. Sample skills for the modern leader

THE BAD SIDE OF TRAINING AND LEADERSHIP

An organisation cannot evolve and its workforce cannot continue to be productive if the organisation's leaders stay stagnant, undeveloped and out of date. The reality is, this group of stagnant, undeveloped and out-of-date leaders is growing, and this is apparent in many organisations.

The combination of no training or poor training is failing to meet the need for new leadership development skills – skills needed to address the changing needs of the organisation and the workforce, and to encourage and support the organisation and workforce through the challenges of the fourth industrial revolution now and into the future. Leaders who remain stagnant, undeveloped and out of date are a potential risk to the organisation and the workforce as they can stifle innovation and growth.

THE UGLY SIDE OF TRAINING AND LEADERSHIP

We now come to the 'ugly side of training and leadership'. This group of 'toxic leaders' provides an unhealthy environment for its workforce; the combination of poor training and toxic leadership stifles growth and trust, and is unproductive. Unfortunately, toxic environments and toxic leadership is abundant and, during your career, you may have encountered and/or will encounter a toxic leader.

TOXIC ENVIRONMENTS AND TOXIC LEADERSHIP

There are many current examples of organisations showing toxic behaviours. Without exposing them, you – as the reader – can identify with them and/or are experiencing similar mannerisms/traits within your own organisations. So what are the signs of a toxic leader? See Table 3.

Heading	Description
Actors	The toxic leader can hide their traits behind a mask of charisma. Further, toxic leaders can be seen as actors playing a role to achieve their self-styled goals.
Arrogance	The toxic leader is arrogant, in their mind they are always right and they will take input from a limited group of 'yes-men' and 'yes-women'. The chosen few get information, nobody else does, and there is no discussion about the work being done. Quite the opposite, the first anyone knows about it is when it is published or announced by the toxic leader and they normally gloat on their perceived position and/or power.
Self-centred and blame shifting	The toxic leader is willing to harm others in order to come out on top. They are willing to push an idea. However in the event that the idea fails to deliver, the toxic leader will shift the blame and disown the team (internal and external), leaving them to repair their reputations.
Revenge	Revenge from a toxic leader is swift for those who do not support their decisions. A toxic leader treats employees callously. They assign blame without regard and take all the credit for themselves. For example, as a worker, if you deliver something good they will take the credit, if something goes wrong they will normally blame you and/or the tools or both.

Table 3. Signs of a toxic leader

These toxic behaviours can be a front to hide their incompetence or the greed for power and control. Whichever, this noxious leadership has its toll on the organisation and the workforce.

THE EFFECTS OF TOXIC LEADERSHIP

Noxious leaders basically sap the strength out of an individual(s) and can spread unethical behaviours across the organisation. In this demoralising and dehumanising environment, the toxic leader may drive the organisation into failure. So what are the effects of toxic leadership? See Table 4.

Heading	Description
Employees	The toxic leader and the toxic environment can prevent employees thinking creatively and achieving goals. The employee's productivity will decline and they will fail to meet their key performance indicators. In desperate cases, the employee in order to keep their jobs and please their toxic leader may themselves slide into unethical behaviour, become stressed, depressed and suffer burnout.
Organisation	The toxic leader is charming to those above them. The toxic leader in many cases is good at marketing and selling an idea, even if the idea is not well researched or very likely to fail. They are good at self-promotion and patting themselves on the back. However, if the project fails, the toxic leader will blame everyone around them and the tools for not having delivered the project. On the off chance that the project is delivered they will take all the credits and rewards as their own. In many cases, organisations encourage toxic leadership by rewarding results and ignoring how they were achieved. Toxic environments have the potential to put an organisation at risk, damaging its image and branding.

Table 4. Effects of toxic leadership

A toxic workplace has characteristics of the organisation not investing in their employees and toxic leaders take advantage of this environment. Therefore, it is crucial to measure the effects of toxic leadership against the impact on people's lives especially in terms of stress, absenteeism, de-motivation, under-performance, diminished confidence and also the effect of toxicity in the workplace on company innovation, growth, reputation and sustainability. Toxicity in the workplace needs to be eliminated.

Respect, professionalism, trust and steadfastness are the values that are the foundation of a positive, innovative and digital culture. Good training and leadership provide the guidance needed for a positive environment to undertake its daily work. It encourages positive professional ethics, dictates how we relate to people and how we do business. Good training and leadership will provide the modern leader with the necessary skills and mind-set to successfully build, support and grow a healthy environment – one that encourages innovation, knowledge sharing and an entrepreneurial way of working for the benefit of its employees, the organisation and its future. ❖

ABOUT THE AUTHOR

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

✉ She can be contacted at linda.shave@bigpond.com

RESEARCH EXPLORING INDIVIDUAL AND ORGANISATIONAL CAPABILITY

Are we asking for the right competencies when recruiting staff? That was the question I asked after reading the report *State of Government Recordkeeping and Public Records Act 2005 Audits 2014/15* (Archives New Zealand, 2017). More than 10 years after the New Zealand Public Records Act, why was the Chief Archivist saying recordkeeping maturity – particularly disposal and digital management – was still so low?

By **Katherine Clarke**

As part of a Masters of Information Studies, through Victoria University of Wellington, I examined what competencies New Zealand government employers valued when recruiting recordkeeping staff and compared that data with relevant Australasian recordkeeping frameworks.

This article covers the research method, and literature reviews on – education, change the shared ICT space (that is information, communication and technology) and leadership. It then describes competencies and capability; examines the competencies employers valued; and analyses findings including a gap analysis with relevant Australasian recordkeeping frameworks. It finishes with some considerations for employers, practitioners, and standard setters for developing capability.

RESEARCH METHOD

I approached 123 NZ central government organisations. They provided job descriptions for recordkeeping roles they had advertised in 2014/15 and completed an on-line survey about what they valued from those same job descriptions. I had a response rate of 23% from 30 employers. The response sample was broadly inclusive – small, medium and large organisations, city and regional, positions at entry, operational, advisory and managerial levels. Findings are broadly, generally applicable, and indicative findings can be drawn from the research.

LITERATURE REVIEW

EDUCATIONAL

Qualifications are defined as any type of tertiary qualification. In the literature and Australasian research I found a curious ambivalence regarding qualifications and education. Here are some of the things RIM practitioners have said about qualifications:

- nice to have "but it doesn't really matter" [Survey participant] (Records Management Association of Australasia, 2006, p. 11)

- knowledge or skills in qualifications quickly become obsolete

- they don't indicate whether a person can apply the theory to practice

◆ they don't indicate whether someone has the people skills to be effective

◆ in fact "we'd rather they had people skills over qualifications because we can train people" for technical skills (Participant #5 as cited in Clarke, 2016, p. 29)

Only 14% of my survey participants thought qualifications were good sources for RIM competencies. Martinez and Whately claim that an adequate education can be gained through ongoing professional development (2011). It can be easy for qualified people to overlook developing competencies – like emotional intelligence and communication.

However, before throwing the qualifications baby out with the educational bathwater, the literature review raised a few red flags. In today's complex digital environment, employers need people capable of giving professional advice and being innovative (Johnson & Rankin, 2006; Spencer & Spencer, 1993). Richard Cox says the necessary depth of understanding and reflection is unlikely to occur through short training courses focused on acquiring specific technical skills (Cox, 2000).

According to Gartner, you need a certain level of intellectual capability and deep understanding to "advance beyond the facts, even the conspectus [Survey] of the domain, and dare to lay out a wholly new approach". (Gartner, 1993, as cited in Cox, 2000, p. 19). A recent recordkeeping survey indicated nearly 80% of participants had a university diploma or higher, nearly 60% found their educational background to be extremely or very relevant to their work (RIM Professionals Australasia, 2015). Some claim, "a relevant qualification demonstrates to employers that certain levels of competency and understanding have been reached and that candidates have adequate levels of intellectual capability". (School of Information Management, 2015).

In my research, 58% of the job descriptions contained activities requiring a certain level of intellectual and critical analysis capability. Fifty-two percent of job descriptions required candidates to have a qualification. However, for those same job descriptions survey participants stated 73% of their positions required a candidate to have a qualification. I spent some time trying to find a relationship between qualifications and salaries in my research data. And I couldn't find one. Which leads me to speculate – what kind of flow-on effect is that 20% discrepancy having? For instance:

- Is it lowering salary ranges for practitioners – creating disincentives for practitioners to invest in qualifications and education?

- Is this devaluing qualifications, and the capability of practitioners with qualifications?

  This could be an interesting area of future research. For employers considering qualifications and education:

- Your organisational capability can be drawn from a mix or range of people – including non-RIM specialists.

- Consider your joined-up capability, competency, education and qualification, and the developmental support your organisation can provide.

- Also consider how you are asking candidates to demonstrate they have the capability mix you want.

CHANGE AGENTS

The number of operational level positions is decreasing, and the numbers of advisory level positions are increasing.

Year	Operational positions	Operational %	Entry level	Entry level %
2002/03	22	51	11	50
2006/07	23	77	8	27
2014/15	7	23	5	16

Table 1: NZ Research on Recordkeeping Recruitment 2002 to 2015 (pre 2014 figures McQuellin Table 3, p. 23) (Clarke, 2016; McQuellin, 2008)

"Employers need people capable of giving professional advice rather than actually carrying out tasks for others." (Johnson & Rankin, 2006, p. 102). Consider, in advisory positions, the transferable competencies required like strategy, communication, influence and change, analysis, working in the ICT space; and for RIM advisors, long-term professional perspectives inclusive of all stakeholders.

In recent Archives NZ reports (Archives New Zealand, 2015, 2017), disposal and digital management has been singled out for poor organisational maturity, indicating transformational recordkeeping elements – that is transforming data and information into records – aren't being integrated into information systems, and a greater range and depth of competencies may be required (Martinez & Whately, 2011) (Archives New Zealand, 2017).

Moving into the shared ICT and leadership space, 'designing-in' digital RIM may be more challenging than originally anticipated. How we "bring our strengths to bear in collaborative partnership with others" influences outcomes (Oliver & Foscarini, 2014, p. 127). Change is required. Change is a complex process requiring intentional effort (Self, 2007; Stanleigh, 2008) and may require leadership characterised by "the unglamorous virtues of patience and staying power" (Badaracco, 2001, p. 122).

As young nipper, I vividly remember yacht racing with my father. Clueless as to where we were headed, I was instructed as the yachts 'skipper' in the fine act of using the wind to arrive wherever the 'captain' directed as fast as possible. This involved using the wind to 'tack' to change direction – moving the tiller so the boat tipped over in an alarming way as we scrambled under the sail – while avoiding getting hit by the

'boom' [sail]. It was – quite frankly – not to my taste.

On the other hand, in calm, shallow water – with Dad standing on the shore – deliberately moving the tiller so that the yacht capsized, creating the opportunity to clamber over the side, stand on the centre board, then as my weight began tipping the yacht right side up again, hopping back into the boat – all this while remaining dry… Now that was immense fun and my happy space.

As information management 'skippers' you may feel – as I did as a young nipper – a little unsure in the ICT space, and wonder where are we going, and how we're going to get there; you may even be a bit fuzzy as to why you want to get there!

Research shows shared leadership using new genre leadership – i.e. transformational, change-focused leadership – is positively related to team effectiveness when work is complex. Some people believe leadership and the ability to influence can be learned by well-grounded practitioners over time (Martinez & Whately, 2011), because it takes many forms, like:

- using structural elements – systems, processes, technology, training programs,

- using soft skills – being flexible, communicating, collaborating, influencing

- developing intellectual capability – finding creative solutions, and

- showing courage (Mariz, McCrea, Hackman, Kurtz, & Jimerson, 2011).

Others suggest using narrative (stories, case studies) or leadership "where ordinary individuals quietly show leadership and resolve ethical issues" (Badaracco, 2001, p. 122) and "the unglamorous virtues of patience and staying power" (Badaracco, 2001, p. 122).

Practitioners consider possible allies in the ICT space:

- information architects – the organisation-wide systems thinkers

- in NZ, RIM executive sponsors working at the strategic level.

Consider – in the 'yachting race of change' – as RIM practitioners where your 'happy-place' is – that creative spark or place that captures your enthusiasm. What type of change agent will you be?

RESEARCH FINDINGS

Before examining the research data and findings, it's important to clarify some meanings. Competencies are the building blocks of individual capability development. The research grouped them as:

- Personal attributes, i.e. behavioural competencies/Interpersonal skills, e.g. emotional intelligence, customer service, results focus, personal resilience.

- Transferable (or business) competencies, e.g. writing reports, verbal presentations, designing educational programmes, influencing others, showing leadership

- Domain specific (foundational and technical), i.e. "a profession's set of knowledge" (Findlay, 2016, May 10)

Organisational capability is a 'joined-up' combination of individuals and teams, cross-functional sideways and up to executive level.

The research examined three types of data:

◆ from the on-line survey – 'highly valued'

◆ from the job descriptions – the number of times it was included in a job description.

◆ in either the job description or survey data – the combined, sum total of the number of times a competency was included.

In the on-line survey, employers were asked why they valued the competencies they did. They indicated they were important for understanding, communicating and promoting recordkeeping activities; and supporting organisational business needs.

In the job description data, when all the competencies were counted up, personal attributes rated the highest, then transferable (i.e. business) competencies, follow by RIM competencies (See Figure 1).

One survey participant said:

"The strong focus on people-related skills is intentional and we would compromise on functional/technical skills and knowledge…"[to get]…[an excellent communicator, approachable and solutions focused person]. (Participant #5, as cited in Clarke, 2016, p. 29)

Employers were asked in the on-line survey "what competencies were highly valued". They gave 71 unique competencies, creating a mean value of five. Nearly half of all 'highly valued' survey data were for personal attributes, while transferable and RIM competencies were evenly rated.
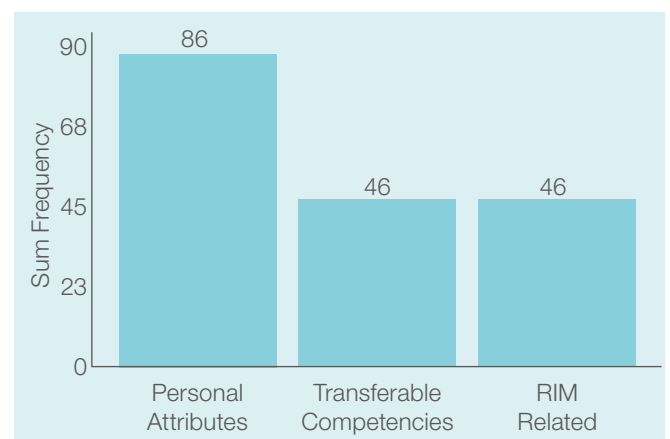

Figure 2: Sum frequency count data – Survey Data

For the highly valued transferable competencies, the emotional intelligence cluster was the most highly valued at 21; in the next step down at 13 and 12 are the influence cluster, records management foundations, and collaboration. Under integrity and ethics come a number of transferable competencies.

Figure 1: Job description sum of all competencies by type

Count	Type	Competency
21	Emotional intelligence	Personal attributes
13	Influence cluster	Transferable
13	Records management foundations	Domain
12	Collaboration/teamwork	Transferable
10	Integrity and ethics	Personal attributes / domain
9	Clusters RIM/IT application/systems	Transferable
8	Communication - Business analysis	Transferable
7	Customer service - Intellectual capability	Transferable

Table 2: Highly valued competencies

In both the survey and job description data, business analysis was valued. However, the focus for employers was on current business requirements – for example:

◆ understanding the needs of others

◆ supporting their work activities and objectives.

In the transferable competencies chart (Figure 3) – arranged by combined total in the job descriptions – the top three are business analysis, and written and verbal communication.

The individual elements of the influence cluster were examined. Motivating, promoting, advising, supporting and training of staff in RIM rated moderately. Low value was placed on advocacy, change, and leading. If change is required, surely these competencies should have rated more highly? This is another potential area of research.

At least one domain specific competency was included in 90% of job descriptions for RIM positions, with an average of eight per job description.

Returning to the Archives New Zealand report on poor disposal and digital management – Figure 5 shows disposal-related activities. More than 10 years ago, McQuellin found disposal requirements were included in job descriptions (McQuellin, 2008). In my research, while disposal was included in 71% of job descriptions, most descriptions were vague e.g. "implement a disposal program". As shown in figure 5 the
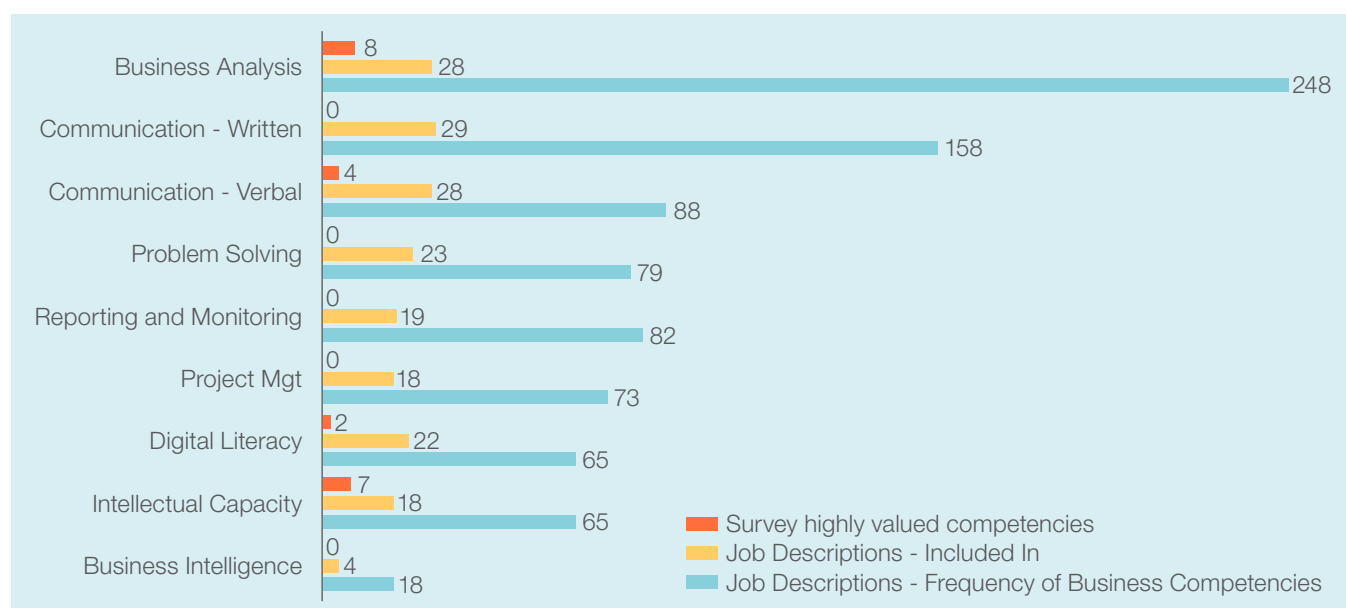

Figure 3: Transferable competencies – job description and survey data (excluding the influence cluster)
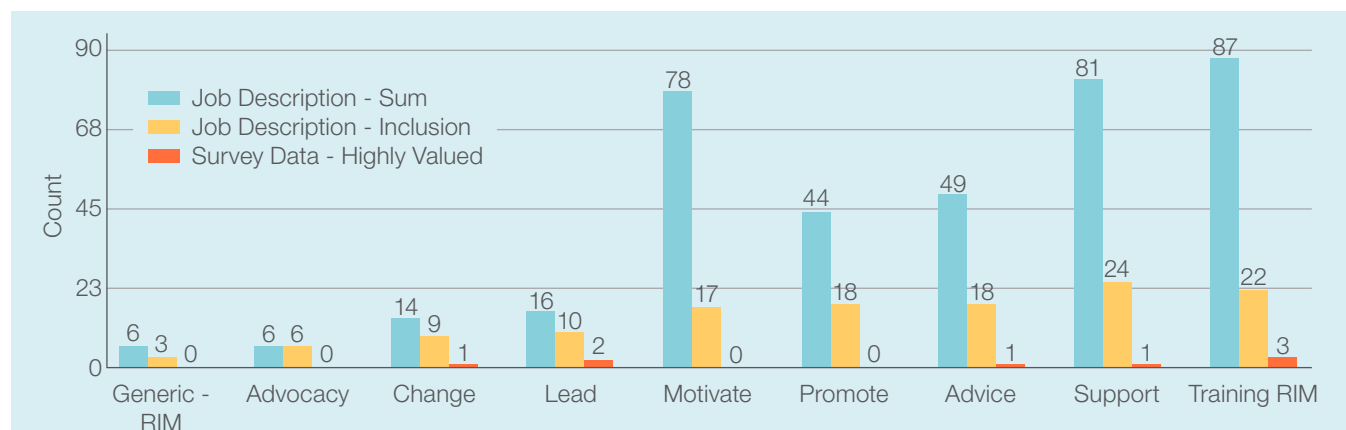

Figure 4: Influence competencies for all positions

peaks of develop, and implement disposal indicated employer awareness of the need for disposal. However, the significantly low rating for retain, appraise, schedule, destruction, and legacy indicate low awareness of the actual competencies or activities of disposal. This may be indicator data for a link between the competencies asked for and organisational disposal maturity.

This raises the question – do employers understand the competencies required? And why would they – because RIM is a niche market. If employers are a bit hazy about the competencies required, then the importance of what RIM frameworks are communicating to stakeholders becomes critical.

Turning now to job descriptions in the RIM context. The Australian Capability Matrix, and ARMA International have model job/competency descriptions. New Zealand had no RIM guidelines and employers create positions and job content as seems reasonable to them. So how did New Zealand employers do? Looking at the job descriptions, approximately half of the job descriptions were clear, concise, and coherent. A few position levels were unclear until you combined the job title, content, AND salary. Nearly half of job descriptions sourced content from external recordkeeping frameworks, and – when these sources weren't used – few employers included domain specific competencies. Two employers used ASA/RIMPA

employers valued developing capability. RIM frameworks placed value on external / community expectations and cross-cultural perspectives – where employers had gaps.

TRANSFERABLE COMPETENCIES
The picture changed for transferable competencies (i.e. business competencies). Employers highly valued written and verbal communication. The ISO standard is silent; other RIM frameworks were weak or vague. The Australian Matrix features strongly. The RIM frameworks had comprehensive records management requirements inclusive of business analysis and management, and to a lesser extent ICT competencies – whereas employers focus was narrow – e.g. short-term perspectives of meeting user and work group needs, manage people (not management), digital literacy (not technology). The RIMs included review and monitoring, not so employers. All valued training programs for staff – but only ARMA International valued having training and learning competencies for developing training programs (ARMA International, 2008). So, how effective are our current staff training programs if the people developing them have no adult learning theory education? This may be an area for future research.

DOMAIN SPECIFIC COMPETENCIES
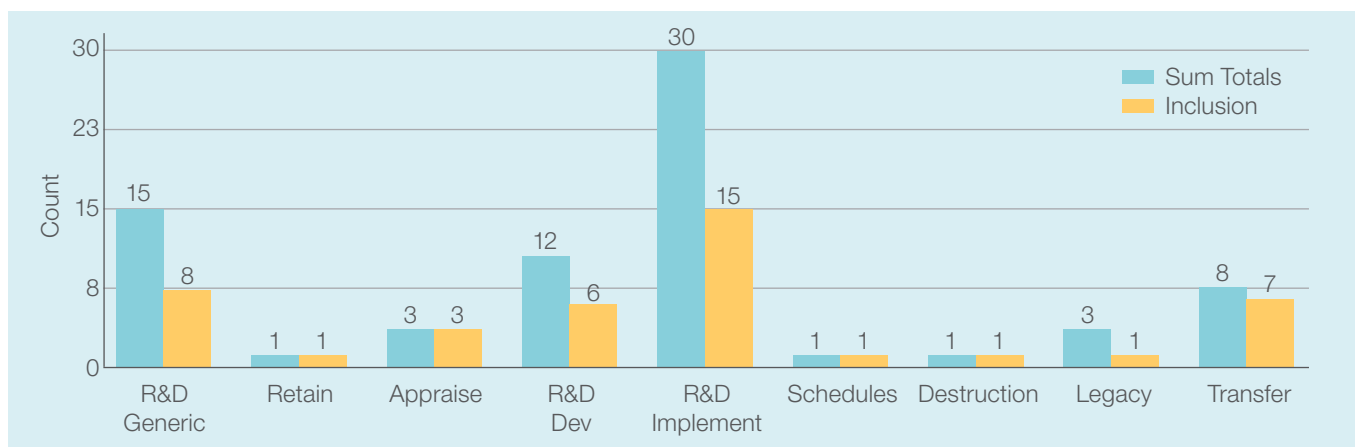In terms of domain specific competencies, the RIM frameworks

Figure 5: Job description references to disposal competencies – inclusion and sum frequency count

frameworks. These findings indicate some employers may lack understanding of required competency mixes. However, approximately 20% of job descriptions used existing internal or externally sourced job descriptions – so employers may be open to using shared job descriptions.

Something for practitioners to consider – inclusion in a job description doesn't necessary indicate it's valued. In Figure 6, the job descriptions' legislation appears to be valued, however looking at the survey data, it was records management knowledge that was 'highly valued' by employers.

GAP ANALYSIS

In the following section on gap analysis, RIM frameworks and employer competencies were compared to see how they align – and if there were gaps between them.

PERSONAL ATTRIBUTES
In terms of a RIM framework, it was found that only RIMPA acknowledged personal attributes, while employers valued many personal attributes. Some RIM frameworks and
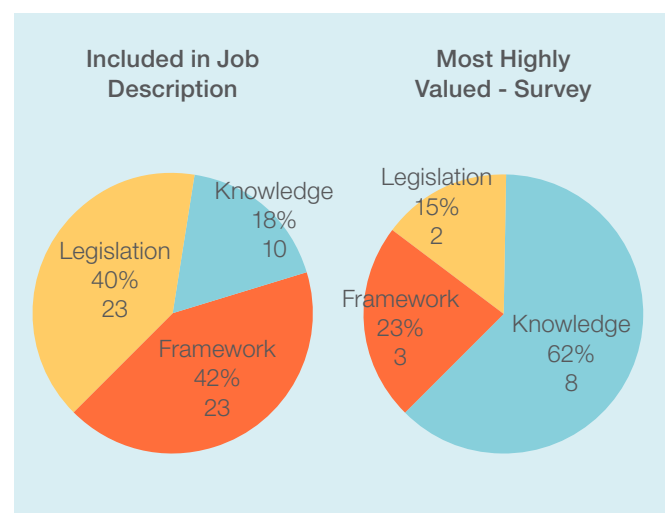

Figure 6: Comparison of core RM foundational competencies – job descriptions and survey data

(except the Matrix) were strong. Employers tended to either have gaps or be weak, some indicated risks for digital management because limited value was placed on deep knowledge, technical proficiency, and long-term data integrity, retention and access perspectives. For New Zealanders, the NZ standard had weaknesses in expectations for deep knowledge and understanding simply stating: "Trained staff must be assigned to carry out records management functions and activities" (Archives NZ, 2014, p. 23).

SUMMARY CONSIDERATIONS FOR EMPLOYERS, PRACTITIONERS, AND STANDARD SETTERS

FOR EMPLOYERS

1 RIM frameworks are like the structural elements of buildings – they support effective, well-functioning RIM outcomes. Use the RIM frameworks – both the what of the Standards and how of the professional associations – as well as this research to analyse and develop your organisational RIM maturity and capability.

2 Consider the transferable competencies your organisation needs for effective, intentional change. If you have robust job descriptions, consider sharing them with employers less familiar with capability mixes.

3 If you're not recruiting for required competencies – do you have sufficient internal resources to develop staff capability so that you can bring your "strengths to bear in collaborative partnership with others" (Oliver & Foscarini, 2014, p. 127)

4 Qualifications aren't essential, but they ensure someone has a certain level of capability. If you're not requiring qualifications, how are you expecting candidates to prove they have the competencies required? If qualifications are required, state it in your job description – so the salary encourages practitioner investment.

5 Consider how you are counterbalancing immediate and short-term business drivers, so they don't negatively impact on medium- and long-term RIM requirements.

   ◆ Would hiring 'externally focused RIM professionals' with perspectives wider than their employers with a "professions set of knowledge" (Findlay, 2016, May 10) address this?

   ◆ Perhaps an integrated information strategy would?

   ◆ Or an Executive Sponsor who can effectively advocate at the senior leadership table for RIM?

FOR PRACTITIONERS

1 Add to your career plan a "professions set of knowledge" (Findlay, 2016, May 10).

2 Add competencies from this research to your development plan.

3 Invest in your RIM education program – you may have a better understanding of some required competencies than your employer.

4 Use the RIMPA resources:

   ◆ Be familiar with the RIMPA Statement of Knowledge and Code of Ethics.

   ◆ Use the certification, mentoring and CPD programs.

FOR STANDARD SETTERS

Generally, the silence in RIM frameworks and RIM NZ frameworks was indicative of low RIM organisational maturity in NZ central government organisations. When creating frameworks consider:

◆ What will they be communicating to stakeholders?

◆ How comprehensive will they be?

◆ How clear are benchmarks?

I believe by using robust and comprehensive competency frameworks we will individually and collectively building the information and records management maturity that best meets the needs of our users, employers, and stakeholders both now and into the future. ❖

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ABOUT THE AUTHOR
Katherine Clarke has a Bachelor of Applied Science from the Open Polytechnic of New Zealand and completed a Master of Information Studies at Victoria University of Wellington in 2016. This resulted in an interest in supporting and developing information and records capability in both individuals and organisations. She currently works as an archivist/archives advisor at Archives New Zealand in Wellington.
✉ She can be contacted at kj.clarke@clear.net.nz.

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MATURITY MODELS –
ANOTHER PASSING FAD?

There has been an increase in the development and
implementation of maturity models – but are they here to stay?

By Shadrack Katuu

There is constant discussion within organisations about
how best to evaluate outcomes and impact of their
business activities. This is in order to demonstrate their
relevance to stakeholders regardless of whether private-
sector or public-sector organisations.

As records professionals we are increasingly caught in
these discussions when having to justify our annual budgets
and sometimes even our very existence. Our constant
struggle as professionals is communicating
with senior executives in ways that they
understand.

Maturity models are one of the
common management tools that have
been used to assess and report
on different organisational levels.
Maturity models are designed to
help the organisation implement
effective process improvement in a
given management discipline. This
is done by providing an objective
means of assessing the status quo
using transparent objective criteria.

Maturity models started amongst
computer software engineers in the
1980s and 1990s. They have since
spread to other subject domains including
e-government, financial management, human
resources management, health, information
systems, project management and risk management. These
models are developed on the basis that an organisation
does not move from zero capability to optimum capability
instantaneously, but rather progresses along a journey of
maturity.

The maturity achievements are marked in levels, varying
from three to seven. Previously, professionals would have

to make judgement calls based on subjective criteria such
as their own acumen developed over years of experience.
However, this would be limited to the extent of one exposure
that is often not easy to generalise when experiencing a new
set of circumstances. Maturity models are an attempt to
minimise subjective assessment. This may be manifested in
a framework that incorporates industry standard and good
practices.

SEVERAL MATURITY MODELS ALREADY

Records professionals have developed a
number of maturity models in the past.
One of the oldest is the Information
Management Capacity Check (IMCC)
tool and methodology published
by Library and Archives Canada
in 2002. Another one is the
Records Management Capacity
Assessment System (RMCAS) that
was developed in the early 2000s
by the London University-backed
International Records Management
Trust using funding from the World
Bank.

RMCAS was developed by a team of
experts from different countries with three
main parts: a data gathering tool, a diagnostic
tool and a knowledge base of resources. RMCAS
is a comprehensive and sophisticated tool that was built by
combining assessment criteria from three standards: the ISO
15489-1 standard published in 2001, the Model Requirements
for Management of Electronic Records (MoReq) standard
published in 2001 and the Information Management Capacity
Check (IMCC) Tool and Methodology published in 2002.

I was one of the professionals that contributed to its

> *Maturity
> models are
> designed to help the
> organisation implement
> effective process
> improvement in a
> given management
> discipline.*

development as well as the testing. With the passage of time, two of the three standards on which RMCAS' criteria is based have since been superseded: the most recent version of ISO 15489-1 was published in 2016 while MoReq has been updated twice, first with MoReq2 in 2008 and MoReq2010 in 2011.

Records professionals from almost a dozen countries around the world actively used RMCAS for almost a decade, and their experiences have been published in local and international publications. RCMAS is still freely available to download from the National Archives of the UK's website http://www.nationalarchives.gov.uk/rmcas/.

Another prominent maturity model for records professionals was developed by ARMA International and is known as the Generally Accepted Recordkeeping Principles (GARP). It was developed to address information governance aspects in records and information management. GARP was following the trend of other Generally Accepted Principles such as those in accounting and auditing.

Other maturity models are in the area of enterprise content management, with the best-known being Enterprise Content Management Maturity Model (ECM3). ECM3 was developed as an open source product by individuals in a number of consulting firms based in North America. The first edition was published in 2009 and a second edition in 2010.

FASCINATED BY DEVELOPMENTS

Since my first encounter with maturity models during the development of RMCAS, I have been fascinated by the development or construction of new maturity models, their application in specific contexts, how they are empirically or conceptually validated as well as comparative assessment between models within the same disciplinary domain. This has resulted in several publications so far with a few more to come – see box, below:

MORE ONLINE PAPERS ON MATURITY MODELS

◆ Katuu, S. (2012b), *Enterprise Content Management and Digital Curation Applications – Maturity Model Connections*, presented at the The Memory of the World in the Digital Age: Digitization and Preservation, 26-28 September, Vancouver available at: http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/CI/CI/pdf/mow/VC_Katuu_28_D_1130.pdf (accessed 22 November 2017).

◆ Katuu, S. (2013), *The Utility of Maturity Models – The ECM Maturity Model within a South African context*, Lisbon, Portugal: iPRES 2013, available at: http://benchmarkdigitalpreservation.files.wordpress.com/2013/09/caiw2013katuu.pdf (accessed 22 November 2017).

Finally, this brief discussion highlights an increase in the development and implementation of maturity models. However, we need to be realistic about the limits of these tools. No maturity model should be considered capable of single-handedly addressing all assessment challenges within an organisation or even within a subject domain. These are simply tools that provide a guiding framework rather than an all-encompassing grand narrative.

To this end, I have embarked on a project to collate the experiences of practitioners from different subject domains in an edited book. These will be narratives on their experiences either developing, applying or validating different maturity models. The call for chapters was published in October 2017 and complete chapters should be submitted soon. See deadlines and more details at https://www.igi-global.com/publish/call-for-papers/call-details/2989.

Through publications such as this book, we may find out whether maturity models are a passing fad or are here to stay. ❖

ABOUT THE AUTHOR

Shadrack Katuu is head of the Records Unit at the International Atomic Energy Agency, Vienna, Austria. Shadrack completed his undergraduate degree in Kenya, Masters studies in Canada and Doctoral studies in South Africa. He has worked in Botswana, Canada, Kenya, South Africa and the US. He has authored several publications (see http://goo.gl/sJ3qBG).

✉ He can be contacted at skatuu@gmail.com.

KNOWING THE BASICS:
refreshing our knowledge of records

In the wake of a recent earthquake, our author gained some keen insights on how public agencies respond when recovering their records after a disaster. The take-home message was to encourage staff to reflect on managing their losses and seeing opportunities to review and secure the agency's records. However, as she sifted through boxes and boxes of paper, she learned something else – many people do not seem to know what a record is.

By **Beatrice Siu**
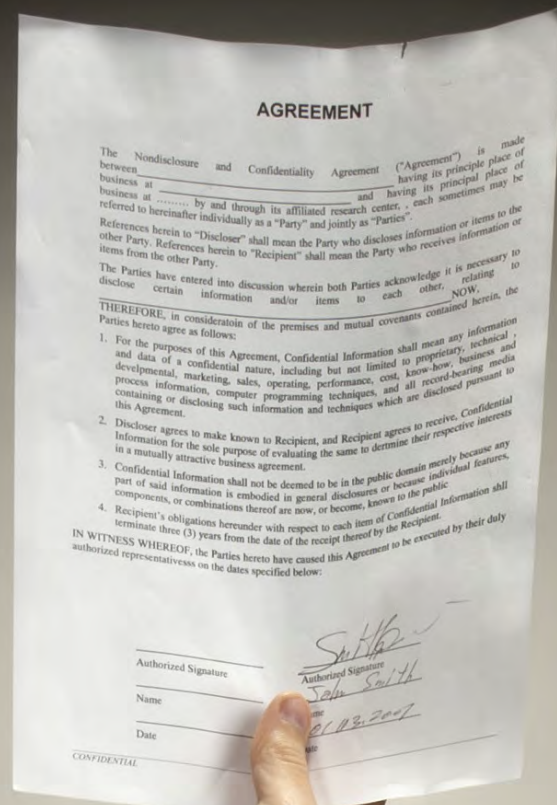
A mongst all the papers and leftover files that were retrieved after the earthquake, there were many bundles of files filled with materials that were not records. Staff had filed and saved nearly everything from advertisement brochures to newspaper articles. It seems that people wish to keep such materials for possible use in the future, but the amount of paper people had accumulated was enormous. Sometimes in the workplace, we can lose sight of knowing what we need to file as a record.

This sparked a thought: how often do we provide refresher training sessions on the basics – do we know what a record is?

In a general sense, people do understand, or they will at least know what the purpose of a record is. It is always important to provide staff training on better records management as practices and policies continue to be updated. Going back to re-learn the basics is a critical part of maintaining best record-keeping habits and standards. So, what is a record? A record provides evidence and proof of decisions, transactions, and/or an activity. Regardless of format, as long as the record serves an evidentiary purpose, it is considered a record. This is quite a basic working definition, and there are other principles to keep in mind when we talk about what a record is.

A record is considered to be:

◆ a trustworthy source

◆ readily accessible (not including records with restricted access for privacy reasons), understandable and usable

◆ critical in facilitating business operations

◆ maintained to an acceptable standard to fulfil business, government, and/or community purposes.

To help us out further, it is also beneficial to understand what a record is not, such as:

◆ a duplicate or copy made for convenience or reference purposes

◆ draft papers and documents

◆ brochures and promotional materials

◆ books, publications and journals

◆ memos and appointments created for administrative purposes, i.e. invitations/appointments for meetings, personal notes and comments added to documents etc.

UNDERSTANDING THE DIFFERENCES

Seems pretty straightforward so far right? After learning what a record is, can you tell the difference between a record and other kinds of materials/information?

We accumulate material (electronic or paper-based) so frequently and easily in today's technological work environment, telling the difference between information, documents and records gets harder.

One way to tell the difference between documents, information and records is the level of its accountability. Accountability in a records sense means considering the risks (i.e legal, commercial, historical) and consequences brought to an individual or an organisation if the material was lost, destroyed, or even kept beyond the time it is considered useful or valuable. Information is generated and circulated all the time in articles, books, advertisements, posters etc but does not provide 'evidence' of actual work, i.e. capturing our exchanges, actions, and decisions. Information is informative but is it a record? No! Not always.

It is harder to discern whether or not a document is a record. It's tricky because in many current, working environments, our workspace is mostly electronic, and all documents are saved into a record-keeping system of some sort. So we tell ourselves, since our emails and draft documents are saved into a records or document management system, and does also contain 'evidence' of actual work, therefore it must be a record right? Yes … and … no.

Documents begin as pieces of work and undergo various versions as drafts before they become finalised. The document is not considered a record until it is saved into a final version that is unalterable. Hence, when the document has reached its final state, it is then usually 'declared' a record. Still a bit unclear? Ok, the general rule of thumb is that if a document is/can be superseded and is in a format or version that staff can still edit, then the document is not a record, not yet!

If you're still feeling lost and confused about documents and records, I found this helpful definition from the businessdictionary.com: "Generally speaking, records function as evidence of activities, whereas documents function as evidence of intentions".

Okay, it may sometimes be required to remember the intentions. If so, then that itself becomes an activity and the general rule holds.

> *"... records function as evidence of activities, whereas documents function as evidence of intentions ..."*

CONCLUSION

It may seem like such a small thing, asking questions and talking about what a record is, as well as considering the differences between records, documents and information. But when we forget the basics, we forget what we should be filing/saving, and how best to manage and store our work.

Offering refresher training on the basics can bring a big impact to an organisation's state of work and records management. The benefits on giving refresher training means we can maintain standards whilst continuing to improve the way we look after our records for many years to come. ❖

ABOUT THE AUTHOR

Beatrice Siu is Squadron Leader (2-i-c) of the Flying Filing Squad, Wellington, New Zealand – Private and Public Sector consultancy for Records Management.

✉ She can be contacted at bea@filing.co.nz
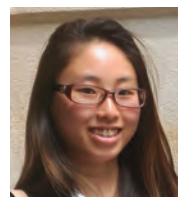
INFORUM HEADS TO HOBART IN 2018

The next RIMPA conference – inForum 2018 – is taking place from 9 to 12 September at WrestPoint, in Hobart, Tasmania.

inForum 2018 is taking place in Tasmania for the first time in 17 years, with the last Hobart-based conference in 2001. A beautiful destination, picturesque Hobart offers great pre- and post-conference touring opportunities as an added bonus to the always informative and interesting conference, which features a range of presentations, complemented by workshops and a trade exhibition.

STREAMS IN 2018 INCLUDE:

STREAM 1: ABSOLUTELY ACCESSIBLE

This stream is all about obtaining the right information in the right format, on any device, anywhere in the world and covers enterprise content management (ECM), security, scanning, FOI, privacy, knowledge management, system implementations (including system specifications, tender evaluation, testing and roll-out), the Cloud, digitisation programs and solutions such as Office 365 and SharePoint.

STREAM 2: STRATEGIC SAGACITY

This stream covers strategic and operational planning, information governance, compliance, managing risk, meeting critical business needs, writing policies and procedures, disaster planning and more.

STREAM 3: BECOMING BETTER LEADERS

This stream covers becoming a leader with a vision and being proactive not reactive. It includes improving leadership skills, motivating teams, networking skills, change management, performance management, multi-generational teams, project management and professional development.

It is intended to offer presentations aimed at varying levels of expertise ranging through tactical, operational and strategic.

The full program and online registration will be available from mid-March 2018. In the meantime, have a look at the inForum website to see what Tasmania has to offer, or to download a justification-to-attend document to help you make your case!

SPONSORSHIP AND TRADE EXHIBITION

If you have a product or service you would like to promote to the delegates at inForum 2018, it features a trade exhibition as well as numerous opportunities to promote your company through one of our sponsorship packages. Several have already been taken up.

If you are interested in sponsoring or exhibiting at inForum 2018, please contact Kristen Keley for a sponsorship kit: Kristen.keley@rimpa.com.au

Sponsors include:
Platinum – EzeScan
Gold – Grace
Silver – Iron Mountain & MicroFocus
Bronze - DocsCorp

www.inforum.net.au

NOMINATIONS 2018 RIMPA AWARDS

It is not too early to start thinking about who you will nominate for the 2018 RIMPA Awards. The awards will be presented at the inForum Gala Dinner at the Hobart Function and Conference Centre on Tuesday 11 September.

JIM SHEPHERD AWARD

Recognises long-term value and contribution towards

1 RIMPA,

2 industry / profession development and/or

3 industry / profession co-operation

and is presented in two categories:

RIMPA Branch which is chosen using the Branch Balanced Scorecard.

Company which is based on the company requirements available on the RIMPA website.

J EDDIS LINTON AWARDS

Recognise excellence in records and information management in five categories:

Category – Student of the Year: sponsored by Records Solutions
Recognises high-level achievement in RIM-related studies.

Category – Innovation: sponsored by Information Proficiency / Sigma Data
Recognises leadership through the practical application of innovative solutions for new and existing market needs resulting in a commercial, environmental and/or social benefit.

Category – Business Benefit: sponsored by Information Proficiency / Sigma Data
Recognises individuals and organisations that have achieved outstanding success for business improvement.

Category – Implementation: sponsored by FYB
Recognises individuals and organisations that have achieved outstanding results through excellence in implementation of a project.

Category – Collaboration: sponsored by EzeScan
Recognises an exemplary skills development collaboration between a department, employer or industry body and, at least, one other stakeholder (including vendors and consultant).

IRON MOUNTAIN IQ ARTICLE OF THE YEAR AWARD

Any current financial member who submits an article to iQ between September 2017 and August 2018 is automatically placed in the running for the Iron Mountain IQ Article of the Year Award.

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

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

RESEARCH AND EDUCATION GRANT

To support research on a RIM Professionals Australasia position in records management. Emphasis will be placed on sharing the results of the project with the membership, in addition to any national distribution, publication or presentation.
See rimpa.com.au for more information on these awards.

A MOVEABLE FEAST:

digital records migration with a changing scope
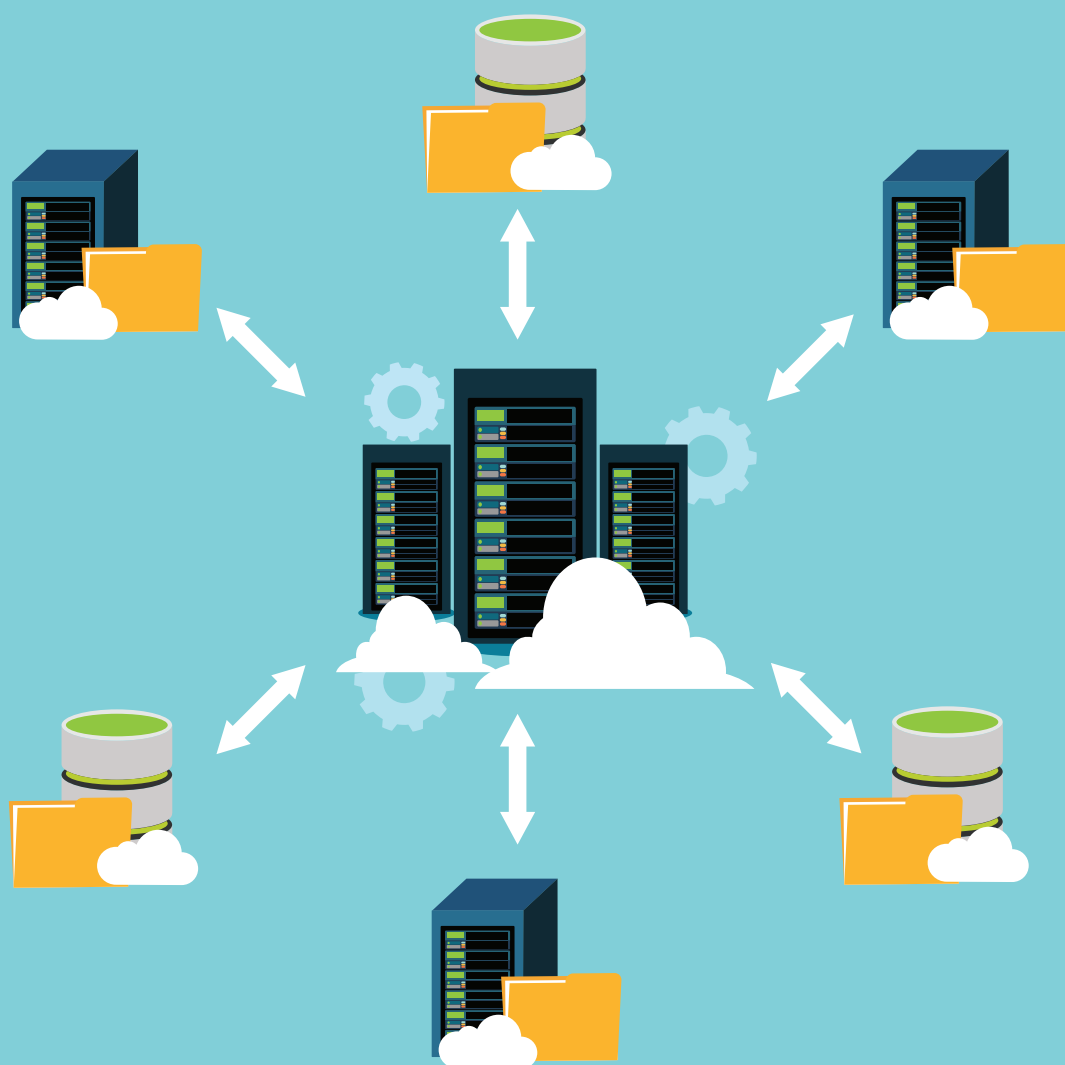
The Canterbury Earthquake Recovery Authority (CERA) was a temporary government agency set up to respond to the 2011 Canterbury earthquake sequence. As the agency moved towards closure, all records had to be migrated to eight inheriting agencies. This was a challenge in its own right, but with the addition of an unclear and shifting scope for these migrations there were many additional challenges.

By **Juliet Moore**

In 2011 the Canterbury region in New Zealand experienced an earthquake sequence which devastated the region and its largest city, Christchurch. The Canterbury Earthquake Recovery Authority (CERA) was the government agency set up to respond to this. It had a five-year lifespan from April 2011 to April 2016. I became the records manager at CERA in 2013; they had not had one prior to this. My role was to ensure that the CERA records were preserved for future use. This was such a unique event, it was important to me and my team that these records were available going forward.

This article deals with the digital migration of the entire organisation's records and some of the key factors, issues and learnings we experienced. It will provide some pointers for your own records migration project.

WHAT AND WHY?

As a public office, CERA had recordkeeping requirements under the *New Zealand Public Records Act 2005*. Most records were required to be retained and needed to be transferred at the end of CERA's life for their ongoing management.

The CERA records needed to transfer to the agencies inheriting the work, however, which work was transferring to which agencies was not clear and the three main agencies taking on the bulk of the work were not established until late 2015.

Figure 1: Parties involved in the migration

7 INHERITING AGENCIES INVOLVED IN MIGRATION

There were seven inheriting agencies involved in the migration:

◆ Ministry of Social Development (MSD) – CERA's technical systems piggy-backed on their systems and their support was needed for the transfers to be successful.

◆ Department of Prime Minister and Cabinet (DPMC) – inheriting agency and larger business owner of CERA. Inheriting agency in two aspects – DPMC received closed records and the newly established sub-department Greater Christchurch Group (GCG) received on-going business records. Added complication of their support services managed through CASS (Central Agencies Shared Services).

◆ Õtākaro Ltd and Regenerate Christchurch – two major inheriting agencies not established until late 2015/early 2016. No staff, systems etc.

◆ Land Information New Zealand (LINZ) – standard agency, but based in Wellington while CERA were based in Christchurch.

◆ Ministry of Business, Innovation and Employment (MBIE) – standard agency, based in Wellington, but some CERA staff moving to Christchurch offices.

◆ Ministry of Health (MoH) – complications with MoH and the Christchurch District Health Board (CDHB) and their legal requirements and responsibilities around the records inheritance.

This was a large and complex closure of an entire agency. This was not a one-size fits all records transfer. Each agency was different in its set up, location, mandate and requirements.
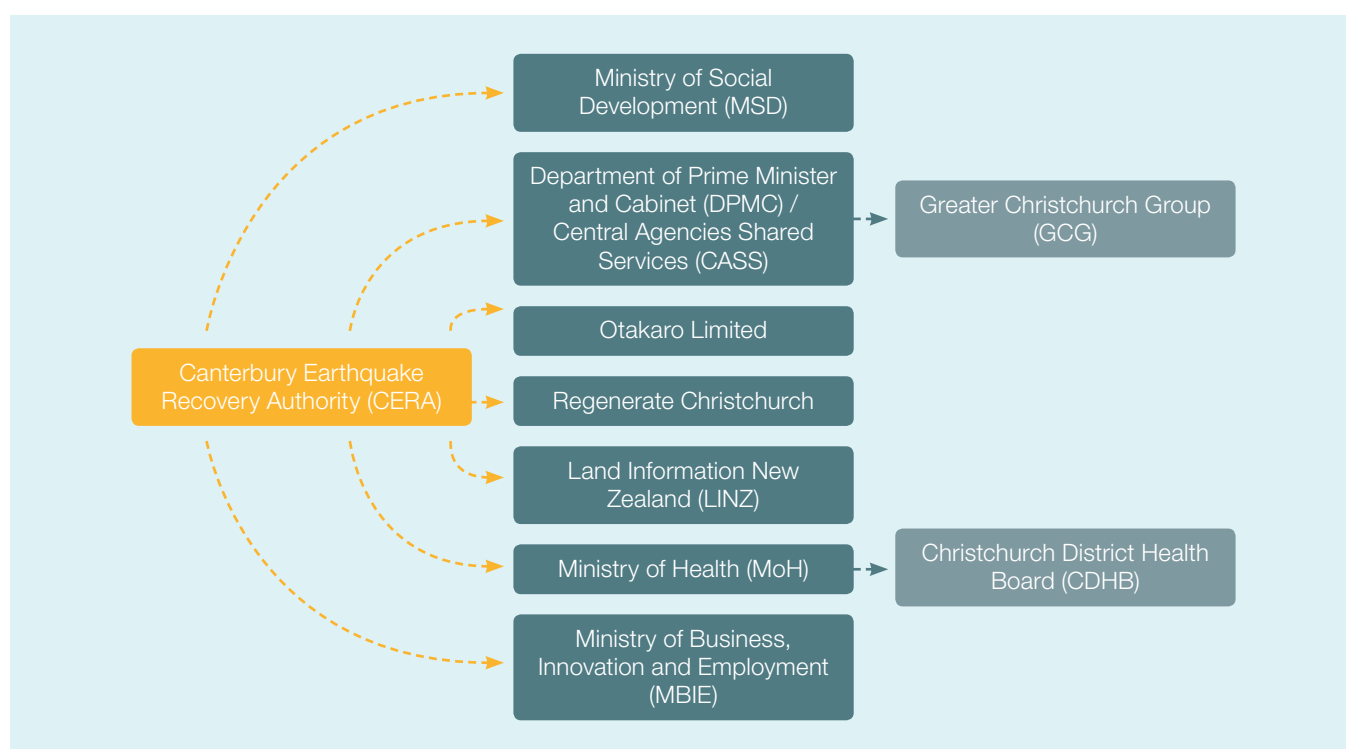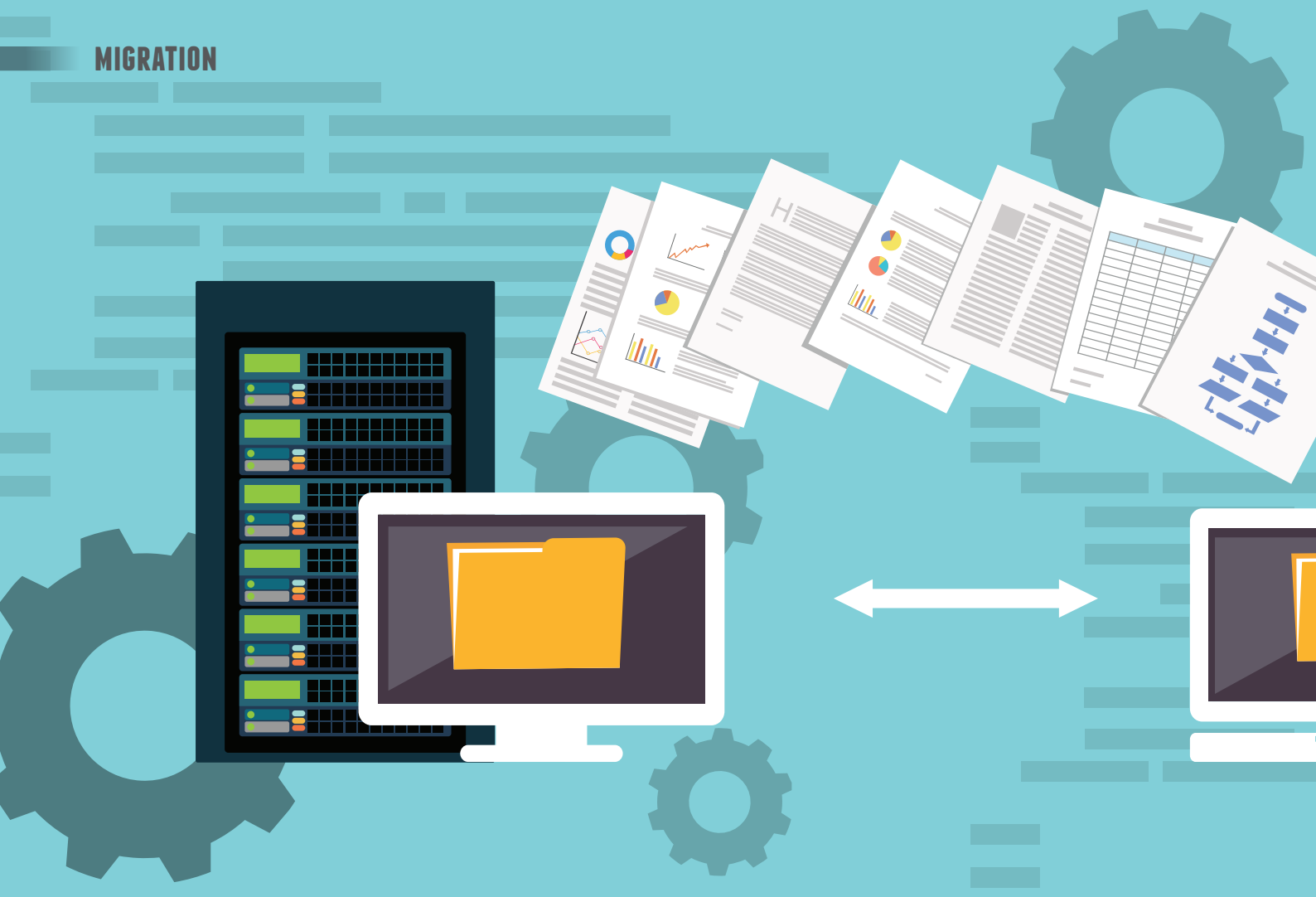
SCOPE

There were many factors which impacted on understanding and confirming scope for the migrations:

Change

A Change Management Office (CMO) was set up within CERA to handle the transition and close down. Seven agencies were identified as inheriting functions. Scope changed numerous times and sometimes confirmed decisions were retracted at the last minute. Parts of projects were also split out to different agencies which created tougher export instructions and complicated requirements lists.

These ongoing scope changes led to problems with tracking, managing and transferring projects.

Linked material

An issue with scope was how to manage linked areas. A piece of work will not always sit neatly in one area or project, it will often touch on many other pieces of work and rather than duplicate this work the spaces are usually linked. CERA used a functionality called 'aliases' as an integral function in its EDRMS to link work together. Questions around what level of this material should be transferred were complex – which agency should get the 'original'? should the other interested agency get a copy? How would the copies versus the records be identified?

These questions were handled as they came up and as appropriate in the circumstances, but they were something which we didn't have time to consider in advance. Planning around how these should have been managed and the implications and constraints of each inheriting system should have been addressed.

Agency ability to take records

Each inheriting agency was functioning at a different level of recordkeeping maturity and development. This impacted their ability to take transfers. For instance, one agency was using a shared drive rather than an EDRMS, and therefore had no ability to import old versions.

Most of the inheriting agencies were able to accept records transfer, however Ōtākaro Ltd and Regenerate Christchurch both had different abilities and authority to take records due to their designated status.
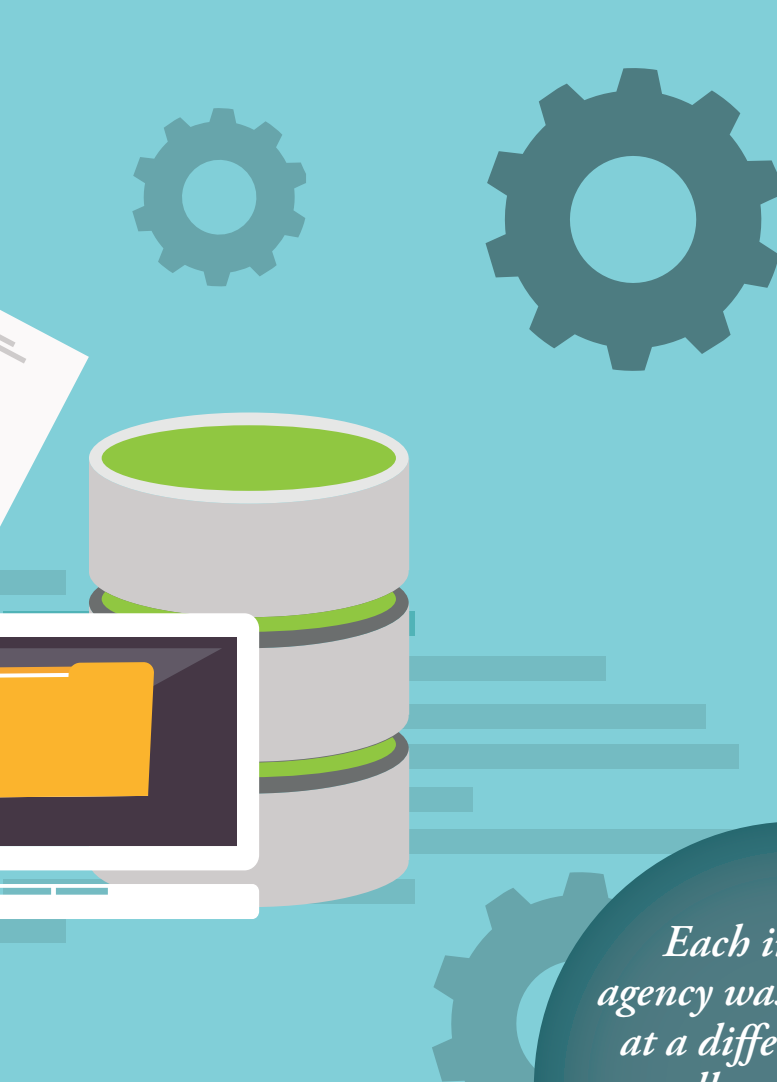
Regenerate Christchurch as a jointly controlled entity managed by the local council and the Crown could only receive copies. This was understood fairly early in the transfer planning and was able to be well managed.

Two weeks prior to the end of CERA, Archives NZ confirmed that Ōtākaro Ltd did not meet the requirements to be a public office. This meant that all records transferred to them could only be transferred as copies, not as official records. Scope change from this was large as the copies had to be created and transferred, and additionally another agency which was a public office had to take the 'official' record transfer for these records.

Transfer to the CDHB was also more complicated as the approval for this migration had to come from the Ministry of Health (as the responsible inheriting agency) with a designated responsibility down to the CDHB to manage.

Data

Data is also in scope for transfer. While the EDRMS was the core records repository, there were many other line of business systems containing data or records. There were CRM, GIS, land management and health and safety systems. All required advice and checking from a recordkeeping

large agency and coordinating its work streams in conjunction with our on-going scope changes made it difficult to confirm that we could do exports in the timeframes required. We ended up having first twice-weekly, then daily and eventually twice-daily calls with the team assigned to us.

While CERA had been a stand-alone department, in January 2015 it became a departmental agency under DPMC. This brought both positives and negatives. Positively – we had support from another agency and it became clear that we could transfer closed records to them (previously it was unclear who would manage these). Negatively – we had another agency to communicate with and another layer of bureaucracy.

Balancing the communications between DPMC staff, CASS staff and MSD staff was challenging.

Internal communication with CERA staff was around the steps required to transfer their work. Short timeframes around scope, combined with a lack of understanding about the process steps required surrounding the transfer, meant staff received conflicting messaging and priorities from different business teams.

There is a lot of pressure on people at the end of a business. They have different stressors about completing their work, finding a new job and varying emotions about the changes. Not everyone deals with change well, and at CERA it wasn't just the dis-establishment of a team, but of the whole organisation. They key was really to communicate as much as possible and to make yourself approachable to questions.

In external communication, we had a different series of problems. Inheriting agencies wanted advance notice of details such as size, scope and content types for the material they would receive. All of which we struggled to supply with the continuing changes to scope.

To help mitigate this, we held workshops in Wellington with representatives from IT and Records of the various inheriting agencies. These were great in developing a rapport with the actual people involved. Getting everyone in the room together showed we weren't holding anything back, which had been a perception. Additionally, we were able to provide better metrics for transfers after the first round of transfers which helped with the on-going messaging.

> *Each inheriting agency was functioning at a different level of recordkeeping maturity and development. This impacted their ability to take transfers.*

perspective, and were potentially in scope for various migrations.

Legacy systems were also a factor. Due to its speedy start up, CERA had a series of legacy systems used in 2011. These needed to be checked to make sure the records were removed, the system closed out properly and the data transferred.

So, when examining the scope of this migration, at the outset it may sound like a one-size-fits-all model, this is not the case due to different legal requirements, agency types and systems. Each transfer had its own complications to manage and the scope of each transfer was fluid.

TIME

CERA had a fixed end date of 18 April 2016. It was apparent many months prior to this date that, if staff were working until the end date, the business could not be properly closed on the same date. While this was apparent, all funding stopped at that date, so this was a complex issue to resolve.

By the time the agreement was given for DPMC/CASS to finish up the close-out process, many staff had already left or signed contracts for new positions. Advance planning could have helped here as it meant leaving a job unfinished for many staff and added conflicting priorities to staff workloads. It was frustrating trying to complete work and handover at the same time.

COMMUNICATION

There were two parts to CERA's internal communication – those within CERA and those with MSD.

CERA utilised MSD systems which meant a degree of 'internal' communication was required with them. MSD is a

TRANSFER STEPS

Pre-export steps

There was a lack of comprehension from across the organisation that there were steps required prior to the migration of a project. When a project closed, there were a series of steps to tidy these up and ensure that there were no further changes. These comprised locking security, changing ownership, finalising versions, and a general records check and tidy around duplication, poor filing and naming and removing personal documents incorrectly added to the system.

We needed teams to stop working so we could perform these steps for each project prior to transfer. At this stage, we could then get a list of documents and sizes for the scope of a transfer.

Post-export steps

Post export, the Records team performed a series of audit
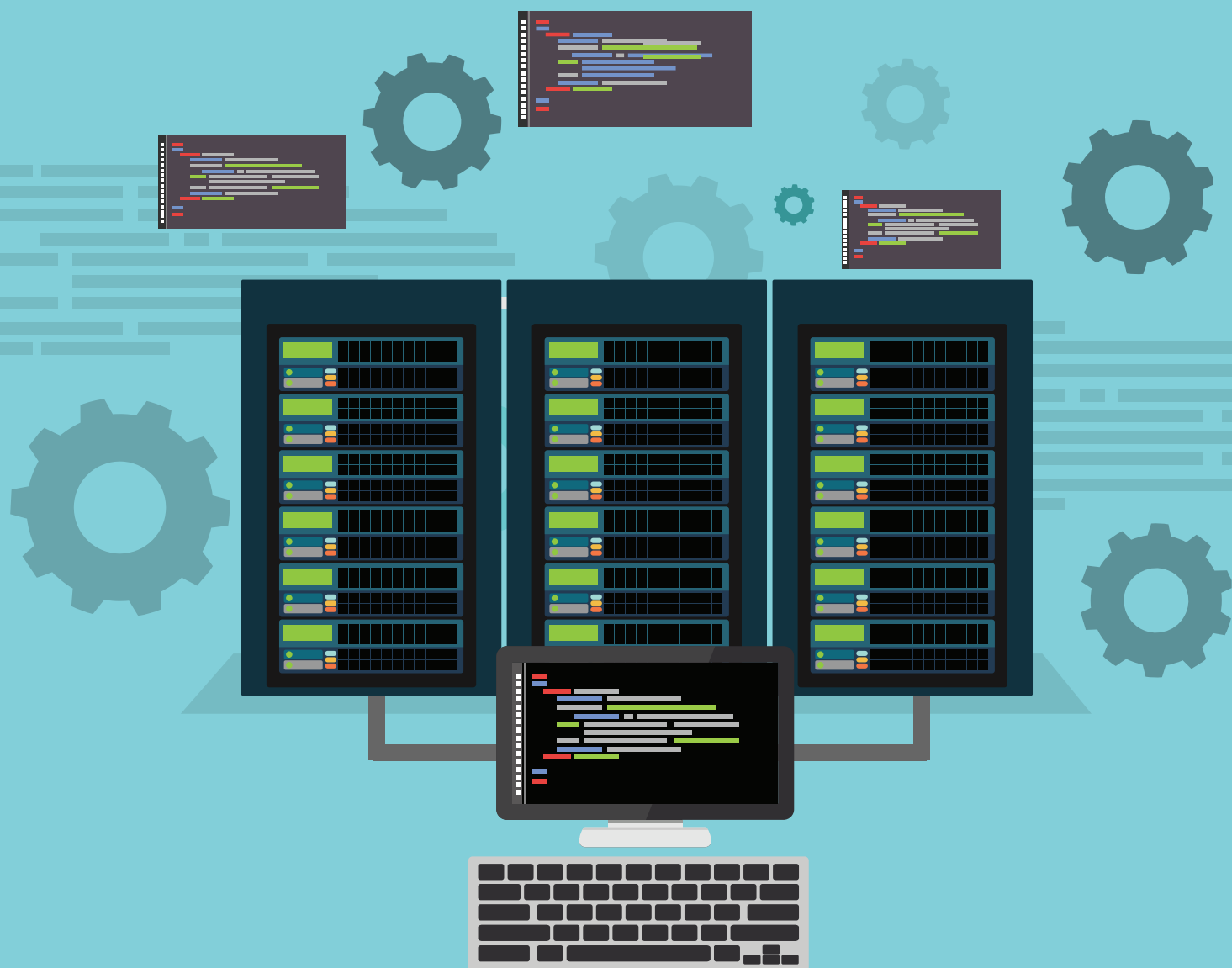
checks. These audits covered checking on export numbers and figures, a visual check and manual spot checking.

These audits took considerable time which needed to be factored in to the export timeframes. If these were not successful there was no point in continuing with the next stage of the transfer.

MSD steps

MSD had steps which we required them to perform for us. They needed to copy the export onto an external device for hand-over to the inheriting agency.

The main external device we used were IronKeys due to their security abilities, however they do take longer to copy as they are encrypting the data as they process. Combined with MSD and CERA system compatibility issues, this further added to our export timeframes.

Inheriting agency steps

The inheriting agency needed to collect their transfer device and perform their own series of checks and audits prior to beginning import, and then perform their own post-import checks as well.

This all takes time! It might feel like I am labouring the point

here, but with the amounts of data involved every step took hours or days and teams of people working to achieve. The collaboration and communication between all of these teams was the key, and the larger story of a successful migration rests on the clear and frequent communications amongst all parties, combined with good personal relationships which we developed in those larger in-person meetings.

TECHNICAL ISSUES AND LEARNINGS

Here is a series of technical issues encountered and some of our key learnings:

Bulk export – when installing an EDRMS, the assessment process should have a section covering 'has the ability to bulk export'. Beware! Providers may have answered this in the positive, however their idea of bulk export might be 100 documents at a time. You may then have to pay for the development of a bulk export tool.

Final vs. draft versions – during initial testing we realised that if we did not publish all the documents the export tool would take the last 'published' version, not the most current. This was something we picked up in time to stop any issues occurring, but which had the potential to have caused major data loss.

We had issues with identifying the size of transfers due to lack of version control. In 2013, I had tried to implement some degree of version control, but this did not progress. Consequently, when we came to transfer, there were unlimited versions on documents. The Objective system could take 999 versions so in some cases documents had hundreds of versions. Agencies could choose not to import these into their systems, but we had a duty under the Public Records Act to export these. This threw out our scope estimates substantially in at least two cases.

Large files over 180 MB in size error-ed out and didn't transfer using our bulk export tool. We had to identify these and migrate them through an entirely separate and time-consuming process. This was a manual process so was also more likely to have issues. Lesson – be aware of the constraints of the import and export tools in use.

We had a series of 0 byte files which we were unaware of prior to the first lot of transfers. These were files which had been corrupted during the initial migration into Objective and ended up as 0 bytes. We had no ability to fix these and they had to be accounted for and explained to inheriting agencies.

Source system file names and rules did not necessarily transfer smoothly into inheriting systems. For example, where there were macrons on words or the file names were 'too long' this error-ed on import into the DPMC system iManage.

Password protected documents were not accessible at the new agency – something we are probably all aware of, but hard to fix on a large scale. Tools are available, but it wasn't planned for and we didn't have time to perform any fixes of these.

Metadata – which metadata fields are you including and how do they map to the inheriting agencies/ systems fields? This needs to be sorted and understood well in advance. You cannot assume that you are talking about the same thing because you are using the same term. How do you apply this to different document types? Email metadata is different to document metadata.

Different document types have different metadata. Are these all being captured? Are they all correct? We had a problem with our email type. When emails were added to Objective, they had been renamed. For example, from 're:re: issues around installation and catch up', to something useful and relevant for finding the email. When we exported these, they reverted to their original email names.

Auditing – the audit checks should in the first instance be completed by the export tool. This should show that the figures for the export are the same, however don't discount the importance of manual and visual checks. The manual and visual checks we did showed issues more times than we would have anticipated. We put in place a full series of audit checks for each export group. As our confidence in the tool built, we lowered the amounts we were checking, but we continued to complete these right to the end.

There is a plethora of issues which can and will come up. These are going to vary for each migration, but be prepared to respond and have the people and skills on hand to manage these.

TEAM REQUIREMENTS

It's important to have all the key people available in your project team. This is how you handle the changes, variations and issues during your migration and respond appropriately at speed.

Project manager – this was the best thing to happen to our migration project. Without a PM you have to manage the planning as well as be the records expertise. They have the practice and know-how to be the overseer of the whole project. They know how to track, audit and communicate.

Technical person – you need a technical person or people who can work with the external developer (if you have one) or other technical staff on the import side. This person needs to be able to represent the records point of view preferably or help you to do so. The company and other technical people may not understand your point of view and why it matters. For example, the need to transfer all of the versions was not something considered by the technical team, but something record-keepers require. This was the case for a surprising number of things e.g. auditing, visual checks, tidying, security and access.

Records team – we needed a full team working to meet our time frames. This might not be as necessary for a system to system transfer if not under time pressure, but audit checking the bare-minimum of checks required a whole team. For the last six months, I had a team of four working solidly on this work.

Senior management – you need to make sure you have the support of your senior managers. They are likely to be the only people who can help get things solved in crunch times. We had an amazing CIO and GM supporting us, and there were still all the issues with scope that they were not able to do anything about. There can be a perception that you are making things difficult and that it should all just happen – they need to represent and support your points to the rest of the business.

Building a good team is important anytime, but with the pressures and requirements during a migration of records this is even more important.

Digital records migrations are not easy. There are so many moving parts that something will likely go wrong.

RISK

Risk management and tracking is the format through which your senior management team is likely to view and understand your records migration.

Any transfer between organisations will have a degree of compliance requirements from both sides which need to be tracked and managed. This is where your PM really pays off. They list, manage, track, report and escalate risks and issues as required.

Raising risks and issues is how to escalate these to management and raise their importance. Something which I have mentioned throughout this piece is the lack of technical understanding from outside the team. There are common issues which occur here because most people only ever see the front end of IT systems. There is a perception that everything technical is 'easy and instantaneous', effectively 'magic'. We know this not to be true. The risks and issues around matters such as the timings of transfers and the fragility of the export tool all need to be clear and raised with a higher level of management.

In a larger project like this, consider following a standard risks and issues process. This helped to raise risks and make the wider team and management aware of these prior to them becoming issues (or not). It meant that it was on their radar and they didn't feel blindsided or baffled by technology which never garners a good response.

SUMMARY

Digital records migrations are not easy. There are so many moving parts that something will likely go wrong. There is no one-size-fits-all plan which will make sure everything is successful and works the first time. It's up to you to get the right parties involved and to adapt and respond to the issues as they arise.

1 **Plan:** You will have read this a million times, but it doesn't make it untrue – 'Failing to plan is planning to fail'. Do as much planning as possible and understand the constraints of the receiving system and agency and the constraints of the tools you are using. This will allow you to mitigate these as much as possible. Lock down and get scope confirmed as soon as possible. CERA was an unusual set of circumstances, but locking down that scope and getting it committed to by management with the authority to do so would have made my whole team's life better. If you have a clear scope, then you will be able to plan and check more thoroughly.

2 **Communicate:** This is the theme that comes through more than anything else. Over-communicate, there is so much going on, people might not be hearing you. Use the risks and issues tracking to communicate with senior management and ensure they are hearing what you are saying. Help others to understand the complexity of the processes which surround a migration, the reasons the requirements exist, and the time it will take to complete these processes. If they understand the 'what' and the 'why', then they can help you to achieve your requirements.

3 **Get technical:** Make sure you get involved and understand as much as you can of the technical aspects of the migration. The better you can understand this, the more likely you are to be able to spot issues, help find solutions and complete a successful migration. It's the job of the information professional to be the 'voice of the records'. No one else will put them first.

4 **Success:** Ultimately this records migration was successful. We were concerned the whole way through for the importance of these records to New Zealand. The records of the Canterbury earthquakes will be investigated and used for many purposes for years to come and they need to be accessible and findable for everyone. This was a moveable feast of a project the entire way through, but ultimately as a team we made it happen and I am so proud of the work we achieved. ❖

ABOUT THE AUTHOR

Juliet Moore has been working in the information and records industry for over a decade in the United Kingdom and New Zealand and has experience in corporate, government and iwi environments. She has a strong background in Public Records Act management and the official information request and privacy aspects of records management, as well as being an experienced trainer in records management and copyright requirements. She is currently the records manager and project lead at Te Runanga o Ngāi Tahu in Christchurch, New Zealand.

✉ She can be contacted at Juliet.Moore@ngaitahu.iwi.nz

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