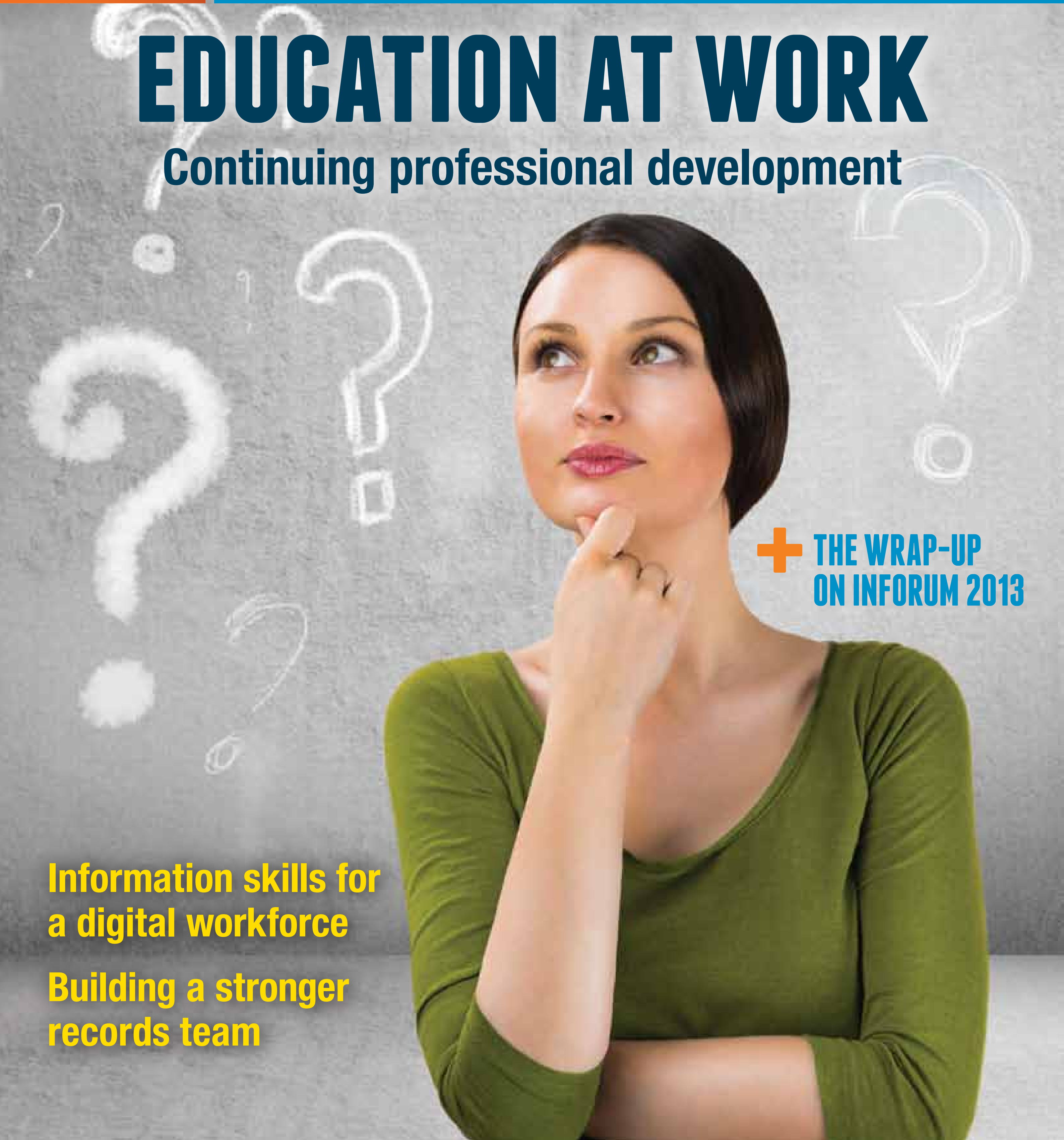
iQ THE R·I·M QUARTERLY

Professionals Australasia

Vol 29 / Issue 4 / November 2013 / issn 0816-200x
AU $90.00 incl GST ($81.82 + GST) for four issues



EDUCATION AT WORK

Continuing professional development

+ THE WRAP-UP ON INFORUM 2013

Information skills for a digital workforce

Building a stronger records team

See more at www.rimpa.com.au

---

iQ THE R·I·M QUARTERLY Professionals Australasia

VOLUME 29 / ISSUE 4 / NOVEMBER 2013

Official Journal of Records And Information Management Professionals Australasia

EDITOR: Heather Millar
Zest Communications
Professional writing and editing services
Web: www.zestcommunications.com.au
Email: editor.iq@rimpa.com.au
Post: Editor, *iQ* Magazine
PO Box 779, McLaren Vale SA 5171

ART DIRECTOR: Kerrie King
Kerrie King Design
Magazine and corporate design services
Email: king.design@iinet.net.au
Stock images: Shutterstock

EDITORIAL COMMITTEE
Kristen Keley (SA)
Michael Steemson (NZ)
Philip Taylor (QLD)

CONTRIBUTIONS & EDITORIAL ENQUIRIES
Articles, reports, reviews, news releases, Letters to the Editor, and content suggestions are welcomed by the Editor, whose contact details are above.

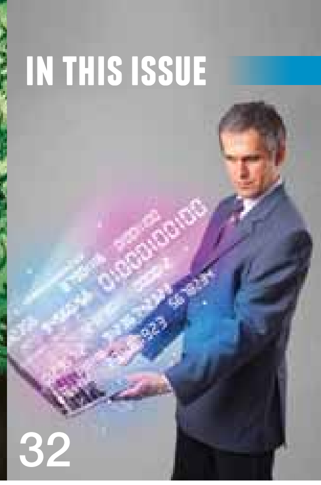
ADVERTISING
Wendy Morris
advertising@rimpa.com.au

ANNUAL SUBSCRIPTIONS
AU $90.00 incl GST ($81.82 + GST) per annum for 4 issues (including postage), from:
Subscriptions, Membership & Financial Services
RIM Professionals Australasia
PO Box 276, St Helens TAS 7216
P: 1800 242 611 F: 1800 333 802

***iQ* ONLINE ARCHIVE**
Copies of articles published in *iQ* since 1984 are available at the Members Only section of the RIM Professionals Australasia website, in the *iQ* Article Archive. Complete back issues from February 2005 are available electronically at the Members Only section of the RIM Professionals Australasia website.

The Members Only section of the website can be accessed with RIM Professionals Australasia membership, or, outside Australia and New Zealand, with the purchase of an *iQ* annual subscription.

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



CONTENTS

Debbie Prout, Chairman of the Board, RIM Professionals Australasia

An introduction from our new Chair

As this is my first Chairman of the Board article for *iQ*, I feel privileged to be able to introduce myself to our members. I originally became an associate member of RIM Professionals Australasia (then the RMAA) when I was in my mid-20s in the late 1980s, and I am very proud to say that I have always tried to ensure that I kept up to date with what was happening in our industry.

If my work place was unable to provide me with the opportunity to attend industry events I would make sure that I got involved in RIM Professionals Australasia activities even if I had to pay to attend events myself. I made the opportunity to meet other professionals who I could build a relationship with and have people I could contact when I needed to find out information or to seek clarification. David Moldrich and Judith Ellis were always wonderful with sharing their knowledge of records management issues and it is due to them that I got involved in this wonderful association.

WHERE IT BEGAN

I commenced in the profession, like many others, by mistake. I was newly married and trying to get a job after being unemployed for 12 months. I applied for an administration job I saw in the newspaper. Little did I know that the job was with ASIO! After a seven-month recruiting phase I started working there in November 1983, in general records. For the next seven months I did nothing but file pieces of paper, but it was the beginning of a new career. In those days, everything was done manually and the only electronic medium we had were telex machines. Over the next three years I learnt the skills that would be the back-bone of the work I would do for the next 30 years.

Unfortunately ASIO moved to Canberra and as my husband's career was based in Melbourne, we decided not to leave. Due to the skills I had developed with ASIO, it was easy to make the transition into Local Government and I quickly moved into a records manager's role. It was at this time that I first became involved with RIM Professionals Australasia.

David Moldrich was on the Victorian Branch and he wanted to get the local government sector more involved with the association. So I joined the branch and over the next few years became involved in helping to set up the Local Government Chapter, which I am happy to say is still going strong today. A special thank you to Kay Lewis who was the first president of the Local Government Chapter; with her passion and drive we managed to get this group to be very active in those first few years.

In 1993 I took some time away from the profession to have my daughter, but I wasn't away for long. My old boss from the city of Doncaster and Templestowe contacted me looking for someone to help out with some records management work at the Australian Nursing Federation (ANF) where he now worked. For the next two years I fitted in casual work with the ANF and other organisations around my role as mum. By the end of 1999 I was ready to resume work full-time and it was at this stage I went back into Local Government. How times had changed; we now had email to contend with and EDRMS systems being implemented – my skills needed updating. Once again I got involved in the association and used my network of contacts to help fill in the gaps in my knowledge.

I am very proud to be the first female in this role and look forward to continuing the great work of all those before me

I re-joined the Victorian Branch in 1999 and over the next 13 years I held the positions of Branch president and Local Government Chapter president, and I have been the Victorian Board member for the last six years.

Over the last three years I have run my own consultancy and, as I now have some flexibility in my working life, it has provided me with the opportunity to take on the role of Chairman of the Board. I am very proud to be the first female in this role and look forward to continuing the great work of all those before me. In particular I would like to thank Chris Fripp and David Pryde who have both offered me their support and to Ray Holswich – thank you for your kind wishes, you have no idea how much it means to me.

I feel strongly about RIM Professionals Australasia's role in advocacy and the need to have our voice heard. I appeared at a parliamentary enquiry recently and it was very apparent that people are not aware of how bad recordkeeping practices can impact on lives. Our profession needs to be better understood and promoted, and this is an area that I believe RIM Professionals Australasia can do more work in during my time as Chair.

I look forward to the challenges ahead.

Debbie Prout
Chairman of the Board

Kate Walker, Chief Executive Officer, RIM Professionals Australasia

The importance of continuing professional development

We are often asked to describe the importance of continuing professional development. Why is CPD important and why does it matter?

✔ You've finished your qualification.
✔ You've upgraded to a Professional member.
✔ Your new job and/or payrise is all lined up and ready to go.

It's fair to say this part of your mission is well and truly accomplished. Sit back and give yourself a pat on the back. But don't take too long about it or you'll be lagging behind your colleagues. The same is true for professionals with many years experience in the workplace.

Continuing professional development is important because it ensures you continue to be competent in your profession. It is an ongoing process and continues throughout a professional's career.

The ultimate outcome of well-planned continuing professional development is that it safeguards the public, the employer, the professional and the professional's career.

Well-crafted and delivered continuing professional development is important because it delivers benefits to the individual, their profession and the public.

- CPD ensures your capabilities keep pace with the current standards of others in the same field.
- CPD ensures that you maintain and enhance the knowledge and skills you need to deliver a professional service to your customers, clients and the community.
- CPD ensures that you and your knowledge stay relevant and up to date. You are more aware of the changing trends and directions in your profession. The pace of change is faster than it's ever been. If you stand still you will get left behind, as the currency of your knowledge and skills becomes out-dated.
- CPD helps you continue to make a meaningful contribution to your team. You become more effective in the workplace. This assists you to advance in your career and move into new positions where you can lead, manage, influence, coach and mentor others.
- CPD helps you to stay interested and interesting. Experience is a great teacher, but it does mean that we tend to do what we have done before. Focused CPD opens you up to new possibilities, new knowledge and new skill areas.
- CPD can deliver a deeper understanding of what it means to be a professional, along with a greater appreciation of the implications and impacts of your work.
- CPD helps advance the body of knowledge and technology within your profession.
- CPD can lead to increased public confidence in individual professionals and their profession as a whole
- Depending on the profession – CPD contributes to improved protection and quality of life, the environment, sustainability, property and the economy. This particularly applies to high-risk areas, or specialised practice areas which often prove impractical to monitor on a case by case basis.

The importance of continuing professional development should not be underestimated – it is a career-long obligation for practicing professionals.

RIM Professionals Australasia has mandated continuing professional development for professional members and is required by codes of conduct or codes of ethics. But at its core it is a personal responsibility of professionals to keep their knowledge and skills current so that they can deliver the high quality of service that safeguards the public and meets the expectations of customers and the requirements of their profession.

But continuing professional development should be engaging and fun too. Sometimes it's difficult to find a relevant course that fits in with your other obligations. Sometimes, as you walk out of a course or seminar it's hard to assess what you have actually learned. Have you absorbed the necessary skills and will you be able to apply them correctly in your work?

WHAT CONSTITUTES CPD?

RIM Professionals Australasia has six major types of CPD:

1 Formal education and training activities
2 Informal learning activities
3 Conferences and meetings
4 Presentations and papers
5 Service activities
6 Industry involvement – (for RIM practitioners in academic positions)

If you believe you are undertaking other types of CPD that comply with the general definition of CPD, you should make a submission for this to be recognised. In your submission you should state how you think it has complied with the intent of CPD and explain the content of the activity and how it was provided.

All CPD activities fall into the following three core outcomes:

a) Ethics
b) Practice management and business skills
c) Professional skills

TYPE 1 Formal education and training activities

Such activities include formal face-to-face education, distance education and short courses. They *may* be external to your employment or conducted in-house, but will always include time spent in preparation and/or follow-up, either through lectures and/or self study and will always involve some form of assessment.

Training activities within the workplace that do not involve some form of assessment are classed as on-the-job learning.

TYPE 2 Informal learning activities

There are two different forms of informal learning activity, namely on-the-job learning, that takes place because of workplace requirements, and private study where you can exercise complete discretion. On-the-job learning requirements usually arise when you undertake a new project and areas are identified where you need to extend your competency base. It almost always involves another person training you rather than self-paced learning. Exceptions could be learning from videos or structured software based training. On the other hand, private study is self-paced and is an opportunity for you to direct the way in which your professional career develops. Typical private study activities are the reading of books, journals, manuals, etc and familiarisation with the operation of technological aids, computer programs, equipment, etc.

TYPE 3 Conferences and meetings

Conferences, symposia, seminars, workshops, inspections and meetings run by acknowledged experts can be claimed as CPD provided that the content relates to the development of your professional career. This includes those events run by RIM Professionals Australasia, institutes, associations, societies and other groups to provide information relating to the profession.

TYPE 4 Presentations and papers

The preparation and presentation of material for conferences, seminars, symposia and courses can be claimed if these activities contribute to the RIM related competencies as contained in RIM Professionals Australasia's Statement of Professional Knowledge.

TYPE 5 Service activities (time weighting factor = 1)

Service to the profession may be allowable particularly where it contributes to the continuing professional development of others. Within RIM Professionals Australasia, this includes contributions as an *iQ* reviewer, member of a course accreditation team, participation in CPD audits, review of technical papers prior to publication, and the technical aspects of work undertaken on or for the boards and committees of RIM Professionals Australasia, including national committees and branch committees.

TYPE 6 Industry involvement (for RIM practitioners in academic positions)

RIM practitioners employed in academic positions are expected to foster links with industry to the benefit of RIM education, research and practice. This requirement also ensures that they are exposed to developments in RIM practice outside their institution.

No matter your situation, employed or not, funded or not… responsibility for your professional development lies squarely on your shoulders.

Kate Walker
FRIM MAICD AMIM, MBA, BSC (BAdm), AdvDipBus (Rkg), DipBus (Adm)

WORLDWIDE NEWS

New CEO for Standards Australia


Dr Bronwyn Evans

The Board of Standards Australia has appointed a new Chief Executive Officer, Dr Bronwyn Evans. Dr Evans is replacing Colin Blair, who is retiring.

An engineer by profession, Dr Evans comes to the role following an extensive global career in healthcare and engineering. Most recently, she held the position of senior vice president, Quality, Clinical and Regulatory at Cochlear Limited. Prior to that Dr Evans held senior positions at GE Healthcare and Ultrasound. She is a fellow of Engineers Australia.

Dr Evans commenced in the role on 28 October 2013.

As CEO, Dr Evans will be responsible for the implementation of Standards Australia's 2014-18 Strategic Plan which unambiguously outlines the organisation's vision, mission and priorities.

➲ *iQ* will feature an interview with Dr Evans in February 2014.

SA to review government record keeping

The South Australian government will conduct a review of how state records are kept in the wake of an independent inquiry into child sex abuse at a local school.

SA Premier Jay Weatherill announced issues related to the Debelle Royal Commission and government record-keeping will be examined in a review of the State Records Act.

The Government said the review, by retired District Court judge Alan Moss, would ensure the records act remained relevant in light of technological changes.

Former Supreme Court Justice Bruce Debelle's inquiry looked into the 2010 rape of a student at a western suburbs school by an after-school-hours-care worker and how the Government and Department handled the issue.

The Debelle inquiry was unable to trace to whom a key email had been sent because computers had been routinely wiped during a change of ministerial officers.

Mr Weatherill said the review would be able to look at that record-keeping practice, along with other matters.

"To the extent that there are issues that are raised by records, they are the subject of recommendations made by Mr Debelle. To the extent that there are broader issues about records more generally because of the change in technologies, because of the digital era and text messages and emails and all those things, the Attorney has announced a thorough going review of the State Records Act," he said.

National Archives closes reading room as online traffic rises

The National Archives of Australia is closing its reading rooms on Saturdays throughout the country, saying the move is a 'realignment of resources' rather than cost cutting. Weekday hours will not change.

From 1 November the reading rooms will close on Saturdays in Canberra, Sydney, Melbourne and Brisbane. Reading rooms in the other capital cities – Adelaide, Darwin, Hobart and Perth – do not open on Saturday at present.

An average of 11 people used the reading room in Canberra on a Saturday last financial year. Most requests for records were made online. Online users accessed more than 6 million items in the past financial year, and 50,000 items had been viewed in the capital cities' reading rooms.

The closure of the reading rooms on a Saturday is about a realignment of resources into areas that have high demand, according to the Archives.

New business information security management system standards released

BSI Group Australia and New Zealand has announced the publication of the revised BS ISO/IEC 27001:2013 and BS ISO/IEC 27002:2013 standards governing information security.

First conceived at business standards company BSI in the form of BS 7799, the standards help businesses manage information security. The 2013 revision of the international standard will enable businesses of all sizes and sectors to accommodate the rapid evolution and increased complexity of managing information and the continual challenge posed by cyber security.

The revisions reflect the transformation in the way business is conducted today compared to 1995 when the BS 7799 standard was first used; the revised standards also factor in the changed information security needs thanks to technological advances over the years.

The revisions will help further change perceptions amongst businesses that information security is limited to IT, and includes wider elements such as people. It also takes into account the interactions that can occur between other management system standards and issues such as Risk Management and Business Continuity Management.

One of the fastest growing management system standards used around the globe, the ISO/IEC 27001 standard is used for third-party accredited certifications with at least 17,500 certificates having been issued in 100 countries with a continual trend of double digit growth

year-on-year. Its use is supported by Code of Practice document ISO/IEC 27002. Both were developed through consensus of the international community with a membership of over 47 national standards bodies.

According to Anne Hayes, Head of Market Development for Risk at BSI, businesses need to avoid complacency with regard to Information Security and ensure that their practices are in line with today's business environment. Given the rapid growth and pervasiveness of IT within the workplace, and the rising awareness of the importance of cyber security, extra vigilance is needed and can now be better provided.

ISO/IEC 27001 standard

ISO/IEC 27001 Information technology – Security techniques – Information security management systems – Requirements which specifies the requirements for establishing, implementing, maintaining and continually improving an information security management system.

Key changes to the ISO/IEC 27001 standard include modification to fit the new high-level structure used in all management system standards, simplifying its integration with other management systems; and incorporation of feedback from users of the 2005 version, generically taking into account the changing technological landscape of the last eight years.

How businesses can benefit from ISO/IEC 27001

Businesses can enhance their reputation by including themselves in the large percentage of recognised global businesses that have implemented the standard. The ISO/IEC 27001 protects the business by identifying risks and putting in controls to manage or reduce them, helping them gain stakeholder and customer trust that their data is protected. Businesses can also increase tender opportunities by demonstrating compliance and gaining status as a preferred supplier.

ISO/IEC 27002 standard

ISO/IEC 27002 Information technology – Security techniques – Code of practice for information security controls gives guidelines on how to use ISO/IEC 27001 for organisational information security standards and information security management.

Key changes to the ISO/IEC 27002 standard include removal of duplication with ISO/IEC 27001 for ease of use; and revised and simplified guidance to address new/existing Information Security needs.

How businesses can benefit from ISO/IEC 27002

The ISO/IEC 27002 offers businesses a flexible set of controls to be used in the way an organisation wants to protect itself; and will also reflect the new threats faced by an organisation.

For organisations that are already certified to ISO 27001:2005, BSI has a range of tools including training courses, transition guides, webinars and events to help them transition to the new standard.

New executive at National Archives


Louise Doyle

The former director of the National Portrait Gallery, Louise Doyle, has joined the National Archives of Australia.

Ms Doyle was director of the portrait gallery for three years, appointed in August 2010 after previously serving three years as its deputy director.

She started at the Archives on 8 October as assistant director-general (access and communication). There are five assistant directors-general working under director-general David Fricker.

Ms Doyle said her focus would be on improving access to the Archives' documents and resources, especially through online programs. Her other responsibilities include events and exhibitions and research access through the reading rooms around Australia.

NY Library purchases Timothy Leary archives

The New York Public Library has acquired a huge archive of files from Harvard psychologist and LSD advocate Timothy Leary that could shed light on some of the studies he performed with psychedelic drugs, according to the Associated Press.

"[The archive] is the missing link in every attempt to piece together an account of research in to Timothy Leary and the emergence of scientific research into psychedelic drugs and popular drug counterculture," Denis Berry, a trustee for the Leary estate, told the *Associated Press*.

Leary, who passed away in 1996, was either revered or reviled for his famous studies into LSD and psychedelic mushrooms. Richard Nixon once referred to Leary as the most dangerous man in America while many of the beat writers hailed him as a hero, according to the *New York Times*.

One of the items in the collection that spans 335 boxes is a 'session record' of the time Leary and famous beat poet Allen Ginsberg took psilocybin, according to the *Times*.

"The first time I look psilocybin – 10 pills – was in the fireside social setting in Cambridge," Ginsberg wrote in the detailed account of his experience. "Professor Leary came in to my room, looked in my eyes and said I was a great man."

The archives contain hundreds of letters from Ginsberg, Aldous Huxley, William Burroughs, Jack Kerouac, Ken Kesey, Charles Mingus, Maynard Ferguson, Arthur Koestler, G. Gordon Liddy, Cary Grant and others, according to the *Times*.

The archive also includes a letter that Leary wrote to Kesey, author and noted advocate of psychedelic drugs, from prison, according to the *Associated Press*.

Study finds businesses putting personal information in rubbish bins

In a survey of commercial trash bins in the Sydney metropolitan area, 11% contained personal confidential information readily accessible to passersby and identity thieves. Of the more than 80 businesses surveyed, primarily bank branches and lawyers' and doctors' offices had confidential information in their trash bins.

The investigation, commissioned by the National Association for Information Destruction-ANZ (NAID-ANZ), took place earlier this year. A licensed private investigator casually examined the contents of publicly accessible trash bins used by businesses with an established responsibility to protect client data. According to NAID-ANZ, the study was designed to discover the relative percentage of confidential trash that might be available on any given day at a cross section of data-sensitive organisations.

Included among a dozen or so of the most troubling findings, was a report listing an account holder's information, including name, address, social security number, credit card number, account balances, and credit limits. A criminal could establish false credit or access the account holder's funds with this information.

Another set of documents found outside a solicitor's office included correspondence about a legal settlement for a real estate dispute, documenting the parties involved, the amount of the settlement, and bank account information for the account receiving the settlement.

The investigator also found results of blood tests from a lab in the trash outside a doctor's office. On the forms were patients' names, addresses, social security numbers, and diagnostic information.

While the results of the Sydney study demonstrate the need for improvement, the overall results are actually better than similar surveys conducted in other cities. In the same study conducted for Toronto, Canada; Madrid, Spain; and London, U.K., more than 40% of commercial trash bins contained confidential information at the same cross section of organisations.

Allowing unauthorised access to "personal information about an individual whose identity is apparent, or can reasonably be ascertained" is a violation of Australia's Privacy Act 1988, which requires private organisations to protect sensitive information.

New EIM solution from OpenText

OpenText has unveiled a new integrated solution that leverages the enhanced collaboration features of OpenText Transmittal Management with the speed and security of OpenText Managed File Transfer (MFT).

Through this integrated solution, OpenText is enabling businesses to transmit large, critical document packages to their customers and partners outside the firewall up to 30 times faster than traditional methods, such as file transfer protocol (FTP), while greatly improving user efficiency, security, and addressing regulatory compliance.

Businesses in a wide variety of industries, such as engineering, energy, and mining, use transmittals to transfer critical documents such as contracts, drawings, specifications, calculations, and other information between their customers or partners, usually for review, approval, or implementation purposes. These packages are an official business record, forming the basis for many contractual decisions and results, and are often used in determining liability and documenting due diligence in litigation or claims. Attempting to send these critical files through old practices, such as FTP services, USB flash drives, DVDs and personal email are inefficient, prone to error, complex and create security risks for the companies and individuals involved.

Files over 10MB in size are typically prevented from being sent through email due to their size. Through the use of OpenText's integrated EIM solution, businesses can now use the Transmittal Management interface to send these large transmissions faster and more securely to customers and partners outside of the firewall, greatly improving user efficiency, delivery times and corporate compliance.

OpenText's integrated Transmittal Management and Managed File Transfer solution is available directly from OpenText and through the company's global partners. ❖

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

Lost, stolen or strayed in Britain's dirty data warfare

Prick any British media pimple during a greater chunk of the disappearing year and out pops a festering records management story: lost government files, whistleblower data scandals, intelligence systems destruction, political exposure, security eavesdropping, faulty technology, police data seizure, Internet snooping and privacy incursions.

By **Mike Steemson**

The dirty war of data, largely lost in the fog of economic recovery good news stories and world-warring extremism horrors, is still being fought fiercely.

Unsurprisingly, worst offenders have been government spooks, British and US intelligence agencies that have, for example, reportedly cracked online encryption that the Internet millions trust to guard their personal transactions and privacy. The breach was revealed in top-secret documents leaked by the latest American secrets whisperer, Edward Snowden, to the *New York Times* and London's *Guardian* newspaper.

The two top-drawer dailies reported that US National Security Agency (NSA) and British Government Communications Headquarters (GCHQ) codebusters had built a "battery of methods in their on-going assault on the use of ubiquitous encryption across the Internet, one of the biggest threats to their ability to access huge swathes of Internet traffic".

The Guardian Weekly review edition in mid-September commented: "Through these covert partnerships, the agencies have inserted secret vulnerabilities, known as back doors or trapdoors, into commercial encryption software."

SPOOKS SMASH HARD-DRIVES

A month earlier, the *London Evening Standard* revealed that British security officials entered *Guardian* offices and smashed computers. *Guardian* Editor, Alan Rusbridger, wryly told of "two GCHQ experts overseeing the destruction of hard-drives in the *Guardian's* basement just to make sure there was nothing left in the mangled bit of metal which could possibly be of interest to passing Chinese agents".

Other private-sector companies have been more co-operative, apparently. The telecom companies BT, Vodafone Cable, the US firm Verizon Business and four others have been working with GCHQ since early 2012 providing access to fibre-optic cable services. A German newspaper *Süddeutsche Zeitung* world scoop in August, swiftly copied in Britain, revealed names of the companies that, together, control a major part of the high-capacity cables, the backbone to the Internet. None of the companies would comment on its part in the operation, but several said they had no choice but to comply with UK and European Union laws.

Back in May, there was news of strayed records: the UK's Serious Fraud Office (SFO) discovered it had mislaid 32,000 pages of evidence to an official investigation into arms deals with Saudi Arabia by London defence giant, BAE Systems. The documents and 80 audio tapes had been "returned to the wrong source between May and October 2012", the fraud squad's media release said. The SFO admission brought a stinging "government incompetence" rebuke from the Parliamentary opposition shadow attorney general and a BAE bromide response on the "unfortunate incident".

PHARMACEUTICAL SHENANIGANS

But it's not been all-public sector shenanigans. The *Guardian*, again, disclosed that the private pharmaceutical industry was "mobilising" patient groups to lobby against planned Euro-parliament legislation compelling companies to release all their data on drug tests. The move followed plans by the European Medicines Agency to force companies to publish all clinical trial results.

The trade groups, the Pharmaceutical Research and Manufacturers of America and the European Federation of Pharmaceutical Industries and Associations, have sought support from directors and legal counsel of drug companies, including the big guns like Roche, Merck, Pfizer and AstraZeneca. In their memo to the companies, the trade groups warned: "Some who oppose full disclosure of data fear that it could reveal trade secrets, put patient privacy at risk and be distorted by scientists' own conflict of interest."

The BBC revealed the extraordinary findings of a German computer geek, David Kriesel, that new Xerox copiers using the compression standard *Jbig2* were sometimes re-writing numbers, making sixes into eights and vice versa. Other numbers were being effected, too. On his blog site[1], Kriesel posted: "This is not an OCR problem as we switched OCR off on purpose. It is a lot worse. Patches of the pixel data are randomly replaced in a very subtle and dangerous way: The scanned images look correct at first glance, even though numbers may actually be incorrect."

The Beeb quoted a partner at London-based law firm Taylor Wessing, Niri Shan, saying the fault could raise interesting legal implications. "The person who provided the figures would be liable. Then the question would be, could (the provider) turn round to the manufacturer and say, 'Hold on a minute, this is your fault'?" The Xerox company was working on the problem.

HACKERS HIT APPLE IOS7

The *Evening Standard* had the story of the Apple hackers who compromised the company's testing of its new iOS7 operating system. The company admitted in July that its website trialling the new system had been hacked and "we've not been able to rule out the possibility that some developers' names, mailing and/or email addresses may have been accessed".

Then there was another *Guardian* exclusive on the leak to the Labour opposition of Tory Party policy documents on the "failings" of Britain's besieged national health service; the networked story of the seizure by police of "ten of thousands of pages" of material from the computer of the boyfriend of a *Guardian* journalist who'd worked with whistleblower Snowden; and *The Observer's* nightmares over government spooks' secret Internet "metadata hoovering".

And, oh, no! The syndrome even spread to the Arts. The *Evening Standard* film critic Charlotte O'Sullivan awarded four stars (out of five) to the Cert 15 documentary *We Steal Secrets: The Story of Wikileaks* and its hero, "the photogenic Australian" Julian Assange. Headlined "Tales of a heartbreak hacker", Ms O'Sullivan's mid-July review picks at Assange's disclosed flaws … paranoia, empathy deficit and megalomania … but recommends the "entertaining polemic" to us lesser mortals baffled by the rise of Wikileaks: "This a great place to start".

Thanks, Charlotte, but where will it all end? Answer me that! ❖

Bibliography

1 David Kriesel blog: http://www.dkriesel.com/

ABOUT THE AUTHOR

Former London newspaperman Michael Steemson, ARMA, is the principal of the Calderson Consultancy in Wellington New Zealand and a member of the editorial board of *iQ*.

He can be contacted at mike.steemson@xtra.co.nz

RECORDS MANAGERS – WHAT ARE YOU SAYING?

Words do make a difference. In the May 2013 article in *iQ*, 'Records managers – what ARE you thinking', I reviewed the positive promotional mindset that is helpful – if not essential, for a successful records manager. That is an excellent start – but how are others to know? **Answer:** It will be by the words coming out of your mouth – so *choose them carefully.* Assume whenever you speak that the whole company, including the CEO, is listening. Think of yourself as the guy that everyone wants to hear what they are saying.

I digress, but I remember a commercial for a brokerage firm (EF Hutton) some years back. In this commercial two people are having what seems to be a casual conversation about investments in a crowded setting, when the one individual asks the other a question. When the second individual starts to speak he begins with "Well my broker is EF Hutton, and EF Hutton says…". All of a sudden there is dead silence, all the people around them, regardless of what they were doing before, freeze in place, and turn their heads to listen in. Then the announcer comes on "When EF Hutton talks – people listen". Now people aren't going to 'freeze' when you speak, but people (probably more than what you'd expect) are listening to what you say and it can either be helpful or detrimental to your cause – *Choose to make your words helpful.*

Do you have a critic, someone who is a naysayer – a prophet of doom and gloom over you and the RIM program? The more impactful your RIM operational improvements, the more changes you cause people to make, the more critics you will have. Do not repeat or support their perspective. There are two sides to every coin. They just gave you the dark and dull side; you want to show them the bright and shiny side. There is something to be said for the concept of self-fulfilling prophecies. If nothing else, dwelling on thoughts, either good or bad, can establish a mindset or expectation of disappointment and failure, or of hope and success. *Choose hope and success! Put your thoughts of hope and success in their head!*

So what should you be saying?

Is something going poorly? Offer guidance and resources if possible to make it right.

Is something going well? Give praise and recognition to those who made it happen.

You have had successes, you see opportunities – how do you get your message out there? Develop an elevator speech – maybe a couple – for different situations with different people and use them when given an opening. What's an elevator speech? An elevator speech is concise set of words to transfer significant information to another party in a very short amount of time – typically 10-30 seconds. It is a very important tool in your toolbox. When someone asks "How's it going?" consider this as an opening to promote your RIM program. Probably not every time, but consider this as an opportunity to speak positively about the successes of you program, your excitement in what is happening now, going to be happening soon, or could happen if given appropriate support. You don't always have to say "fine", or "doin' OK" or "can't wait for the weekend" or speak about the weather, family or vacations. If you are speaking to a key management member, they will likely appreciate the update (everyone likes to be in the know – did someone say knowledge is power? You just put fuel in their tank!) and think more highly of you with your enthusiasm and job focus.

So what should you be saying – A LOT! Encourage, recognize, advocate, promote, inform. The specifics of what you should say will depend on your circumstances. Take advantage of your opportunities and let the words you use – all of them – help you to accomplish your goals and objectives. ❖

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 at http://blog.ironmountain.com/author/cgrimestad/

Screen capture software and follow-up strategies in an EDRMS deployment

A key component of any effective electronic document and records management system (EDRMS) deployment is the training and support program. It is possible to have an excellent EDRMS product with good technical support, but without an ongoing training and support program engagement with the EDRMS can easily wane. This is particularly important in an environment where the take-up of the EDRMS is not compulsory for staff to use. In these situations EDRMS training and follow-up strategies are critical to the success of the ongoing deployment.

By **Kaye England**

In an ideal position and with unlimited resources face-to-face training is always preferred for an EDRMS deployment. However, there are situations where this is not possible eg, staff in different locations or the need to train large numbers. Budget costs can also impact on the resources involved in running face-to-face training. There is a quick, economical solution to this problem: the use of screen capture software in the EDRMS training program.

story snapshot

Using screen capture technology in an EDRMS deployment is a quick, inexpensive training solution for large and small organisations.

Follow-up and support strategies are critical in an EDRMS deployment and ongoing training plan – be proactive not reactive.

Always be on the lookout for new technologies, software and ideas that can assist you with your training program.

SCREEN CAPTURE SOFTWARE

Screen capture software can be used to make short videos of the training procedures by capturing the active screen of the EDRMS. Such training videos can be used as the only training resource or to complement a face-to-face program. Additionally, it can be used in situations when it is important to get a message out to staff simultaneously eg, when upgrading the EDRMS or rolling out new functions or work processes. Screen capture software can help you to do this in a quick, cost effective and effective manner. A quick search of the Internet will provide a number of Freeware screen capture products, but there are also commercial solutions available at reasonable cost.

The benefits in using screen capture technology include the following:

- It is possible to reach any amount of users, large or small.
- It is relatively easy to use and edit – with little or no experience. Many of the screen capture providers have online training videos and resources to show you how to use the software.
- The recordings can be tailored specifically to your organisation so it becomes your training – your way! This means that it is possible to include information and work processes that are specific to your organisation.
- The training videos can be set up on a local Intranet – or, if preferred, made available on the Internet for the world to access!
- Training is asynchronous so the user can determine when and where they want the training to take place. The video can be replayed, slowed down or stopped at any time; the user is in control of how and when the training takes place.

Did I say follow-up is important? Actually it's not just important… it is critical!

Functions to look for in screen capture software include:

- the ability to record the active screen
- capturing of PowerPoint slides
- editing tasks such as cutting, splicing and importing files
- customising the screen with themes, backgrounds and callouts
- clickable links, table of contents, searching within capabilities
- quizzes
- capable of sharing videos in different formats ie, mp4, wmv etc.

It is also important to have a good quality headset with microphone.

Depending on your organisation and the staffing available you may have access to media specialists who can record and edit these videos. However, it is not necessary to be a media specialist in order to produce a training video. The following process takes the creator or editor through the development and capturing of the video:

1 Write the script. Having a script is necessary as it ensures that nothing is forgotten! Use your organisations written EDRMS procedures as a guideline.

2 Create the PowerPoints (if using). It is useful to at least create a template for the title and conclusion slide.

3 Practice the script and make a note of all of the software and documents that will be accessed during the recording.

4 If using your desktop or your email ensure that there is nothing inappropriate or personal showing.

5 If using an email program during the recording, turn off email notifications.

6 Record in a quiet place.

7 Open all software required, including the EDRMS.

8 Minimise screen toolbars – or if you have dual screens make sure that the screen being recorded has no toolbars showing.

9 Test the microphone, as this will be important for audio quality.

10 During the recording process use the pause function on the software to have a break, close software or change screens. Any pauses can be easily edited out during the editing process.

11 If a mistake is made during the recording, pause for a few seconds and start again. The gaps can be cut during editing.

12 When recording has been completed, save the file; edit using callouts, music, zoom and panning, transitions and then finalise.

13 Save to a format that suits your organisation best. MP4 format is highly recommended as it can be accessed on most computers and mobile devices.

14 Post to your organisations Intranet or the Internet. Alternatively host within your EDRMS and give access to users.

15 Remember to also post the script in PDF format. Some screen capture software has the capability of adding the text to the video (like subtitles); however this can be distracting.

Remember when recording, that you don't have to be perfect. It is quite acceptable to include some mistakes; it all helps to make it a more organic learning experience. The more experience you have in creating and editing videos, the more creative you become.

Once training has been conducted, (whether face to face or by using screen capture technology) follow up is important in order to maintain the EDRMS training program. All follow up strategies will be unique to the training needs of the organisation, but here are some generic suggestions that could help.

FOLLOW-UP AND SUPPORT

Did I say follow-up is important? Actually it's not just important… it is critical! 'After training follow-up and support' helps the trainer to see where the user is at and what to do next in terms of training and support. Any change in the way that people do their jobs is going to be difficult and users will take different amounts of time to adapt to the EDRMS.

Phone or email the EDRMS user three to four weeks after the training. Prior to this run an EDRMS report to monitor the activity of the user. Encourage the user by letting them know that the learning stage will be worth it in the end. If there is a problem, talk to them about it (another opportunity for training). Brainstorm any issues they have and deal with the issues one by one. Realise that some issues you will be able to solve immediately but others will take time and persistence. Reassure the user that they are doing well and it will all take time. Remind them that they can replay the training videos as often as they like and once again email the links to all of the online resources you have available.

The overall goal of follow-up is to be proactive not reactive.

EDRMS NEWSLETTER

Email out a newsletter to all EDRMS users once a quarter or once a month. Focus on the latest news and issues. Provide links to training videos and procedures. Highlight some of the EDRMS power users and tell their story. List the tips and tricks that will make their use of the EDRMS easier. All of this will help to promote and educate users.

ACCESS

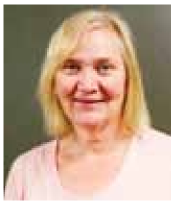
Ensure that all of your training videos, procedures and 'frequently asked questions' are easily accessible to all of your users. Have a web page set up either on the organisations Intranet or Internet or use the EDRMS. Advertise through the newsletter, training sessions and via email and explain how users can access all of the training material. If working within the university environment investigate the use of a course study desk for your EDRMS training. This will enable trainers to set up quizzes, forums, online links, virtual classrooms, email notifications etc all within a course environment. Monitor access regularly.

HELP DESK

Free or commercial screen capture software can also be used to complement the EDRMS Help Desk. These video clips can be more helpful for the user than talking to them via phone or email, and it is a great enhancement to the Help Desk. If a user emails or rings with a specific issue eg, how to move a document to a different folder, rather than talking them through the process it is possible to capture the process and email it to them. Keep these recordings short and to the point. They can be generic or personal – it's up to you but if they are generic they can be reused.

Remind them of the Help Desk phone number and email. Let them know that they can contact the Help Desk any time they need to.

ABOUT THE AUTHOR



Kaye England has worked at the University of Southern Queensland (USQ) for the last 17 years in both the Library and Corporate Records. In 2012 Kaye graduated with a Bachelor of Librarianship and Corporate Information Management (Distinction) from Curtin University. Kaye was the 2012 RIM Professionals Australasia (Queensland) Student of the Year and was awarded the 2012 John Dean Award for academic excellence. Kaye is currently the TRIM Training & Compliance Officer at USQ Corporate Records.

TRAINING FEEDBACK

No one is perfect – including trainers – and that's why it's very important to set up a training feedback form to gain ideas on what works and what doesn't. Use a free online survey tool or create your own. Send the survey out after the training, then analyse and make changes as a result of the survey if needed.

Review and revise the videos at least every 12 months – or every time there is an upgrade to the EDRMS.

CELEBRATE SUCCESSES

Finally, don't forget to celebrate your successes and at the same time encourage the EDRMS user. Be creative: send out a personal note (yes – handwritten), promotional merchandise (pen, USB, notebook etc.) or create a 'completed' training certificate with your organisation's logo.

LOOKING FORWARD

Never be satisfied with what you are doing and always look for new ways to do what you do! Keep on top of new technologies, network with others, attend training and gather all the information and ideas that you can. Read journals and newsletters, subscribe to lists and scan the web to see what others are doing. Most of all commit to meet the challenges of EDRMS and recordkeeping training with enthusiasm and professionalism. ❖

INFORMATION SKILLS FOR THE DIGITAL WORKFORCE

As an information management professional, what value do you add to your organisation? How do you prove your value? The National Archives gives us a skills matrix to consider.

As the field of information management grows beyond traditional records management, professionals need to be across an ever-growing range of skills.

Digital information and records management requires a broader range of knowledge than at any time in the profession's history.

IT architecture, systems analysis, business analysis, digital continuity, social media trends, security, auditing, legislation and regulations, risk management, project management are just some of the topics now in the mix.

Practitioners need to be able to show those who hold the purse strings that their skills have value to the organisation and – perhaps more importantly – be able to differentiate them from related skills.

For some time information and records management professionals have struggled to overcome negative perceptions, with records officers often relegated to the mythological dusty back offices or basements to do what has been considered non-critical work. Sadly for the standing of the profession, employees too often 'fall into' information management roles without any theoretical or academic grounding.

Fortunately, that situation is changing: information is now recognised as a corporate asset and information management seen as critical in improving digital business process and realising the benefits from current technology. The climate of open government and potential efficiency of citizen-centric services, combined with the demands of FOI, privacy and e-discovery, have brought the skills and knowledge of information workers into the spotlight.

But such exciting challenges raise the question: what do these skills look like?

While it may still be possible to get a start in the information management field with minimal qualifications, the dynamic nature of the work now usually requires new recruits to have suitable qualifications. It also requires information workers to continually upgrade their skills to keep up. Today, many employers expect a Certificate IV as a minimum for lower-level positions and a Bachelor or Master's degree for managerial or senior executive roles.

INFORMATION MANAGEMENT: A CORE BUSINESS COMPETENCY

The National Archives of Australia has recognised the need to document these skills for the Australian Government, but they could apply equally well to other sectors.

The 'Digital information and records management capabilities' (the capability matrix) is structured on the same lines as the Australian Public Service Commission's Integrated Leadership System and designed to be used in tandem with it.

The Archives' capability matrix sets out the skills required for information management to be seen as a core business competency in Australian Government agencies.

As part of the whole-of-Government Digital Transition Policy released in 2011, agencies are required to ensure they have suitably skilled staff to support digital transition and the ongoing management of digital information.

The capability matrix outlines the capabilities organisations need and provides examples of how they might be applied to particular positions.

Information and records management is no longer the responsibility of a small group of skilled specialists. Senior managers, ICT staff, business managers and most other employees all have some level of responsibility for managing information. The capabilities in the matrix are divided into three sections:

- capabilities for specialists in digital information and records management
- shared capabilities for ICT staff and specialists in digital information and records management
- generic capabilities for non-specialists.

The levels are differentiated by competency, level of skill and complexity, degree of autonomy, leadership requirements of the position and level of achievement. The responsibilities of employees may vary according to the specific requirements of the organisation, the area of specialisation or individual responsibilities.

The capability matrix is available as an exposure draft on http://www.naa.gov.au/records-management/development/qualifications/index.aspx for discussion. The Archives invites comments to agencytraining@naa.gov.au.

To complement the matrix, the Archives offers training for many of the required skills, with a particular focus on the Australian Government context.

In its e-learning space the Archives has 'Keep the Knowledge. Make a Record', which covers what all Australian Government employees need to know about managing records.

Other e-learning modules are available for organisations to roll out through their internal systems. These modules focus on the Australian Government context, but can be applied or adapted to other sectors.

'Introduction to digital records' provides an introduction to digital information and records management concepts.

'Keep it or delete it: making good choices about information' is designed for all public service employees and 'Legal requirements for managing digital information and records' covers legislation and other regulatory or policy requirements.

Contact agencytraining@naa.gov.au for more information about these modules.

'Practical sentencing in a digital environment' is a popular face-to-face course and the Archives continues to deliver specialised training such as 'Making sense of recordkeeping metadata'.

As well as formal training, the Archives offers ongoing development through workshops on topical issues.

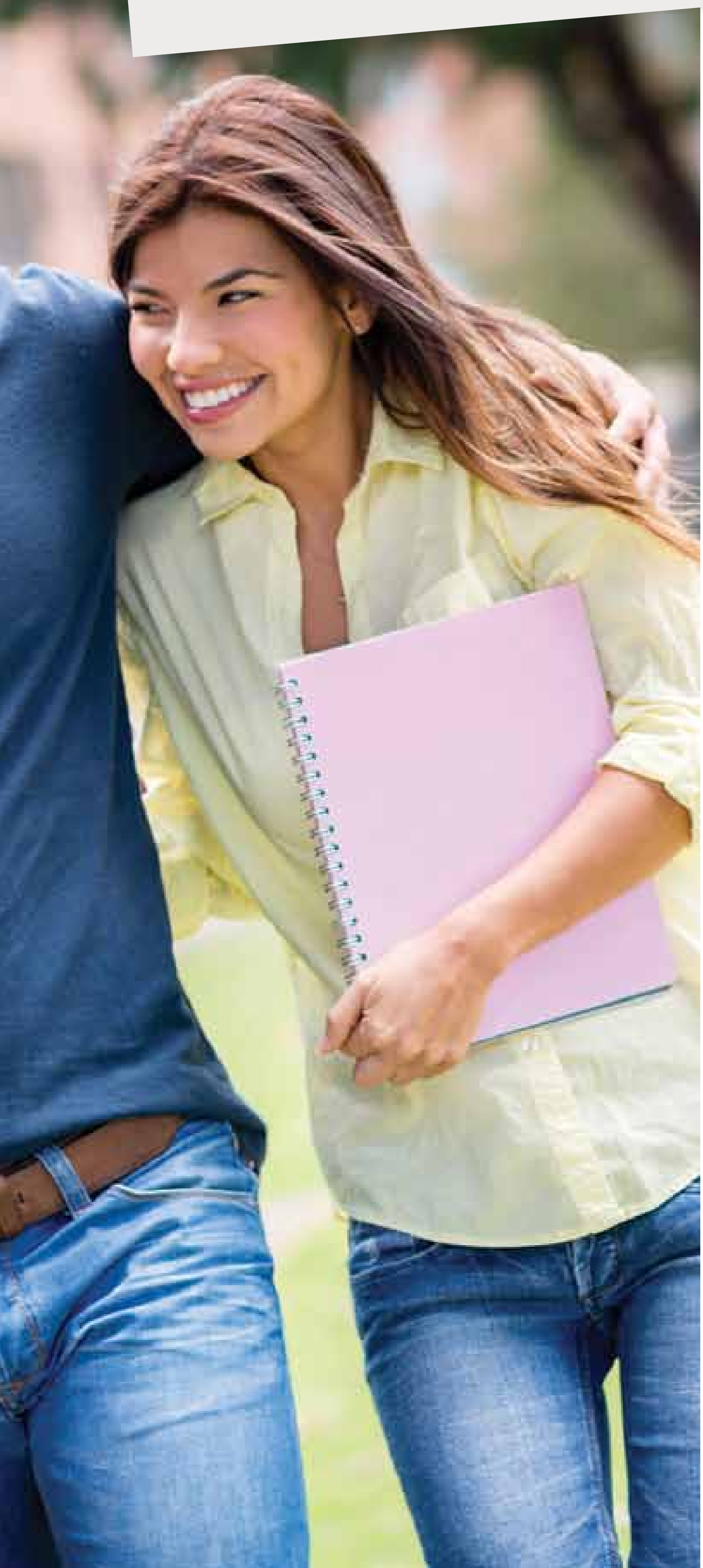
Digital Edge workshops are for Australian Government employees only and introduce topical subjects in the digital environment. One of the most popular workshops is 'Conquering the paper mountain', a testament to the current transition from paper to digital record keeping and the subsequent mindshift required of organisations. Others cover information governance and other aspects of digital transition and digital continuity. ❖

For the full training and development program visit http://www.naa.gov.au/records-management/development/index.aspx.

Like water dripping on a stone

This article gives an overview of two communities of practice established at the University of Melbourne (UoM) to support good information governance in the university community. It examines their role and their relationship to wider communication networks within the university.

By Adelaide Parr and Sally Newton



story snapshot

There are many benefits to using a community of practice model to support information management activities within an organisation.

The university established two communities of practice: the local records coordinators' (LRCs) network and the local information management experts (LIMEs) network.

Results are now starting to flow through from small initial steps to large cultural change.

It's almost an inevitable conversation we have with our colleagues. We are under resourced, understaffed and we work in a fast changing industry, with additional responsibilities becoming our challenge daily. Yet we are not alone in our organisations. We are surrounded by colleagues whose day-to-day work is the focus of our activities. With support, training and coordination, these colleagues can become our best allies in wearing away ignorance about information management.

ABOUT THE UNIVERSITY

The University of Melbourne was established in 1853. The members of the university community include academic and non-academic staff, honorary staff and alumni.

The university is considered a public agency in Victoria, and is therefore subject to the requirements of the *Public Records Act (Vic)* 1973 as well as privacy and other legislation with regards to information management. By ensuring compliance with the recently published PROV standards, the university also ensures that it is compliant with ISO records management standards, and best practice requirements for records management, ensuring a compatibility of approach between the university and its local, national and international counterparts.

The vice-chancellor has responsibility for the university's compliance with relevant legislation, but has, in the main, delegated this responsibility in various ways. This often means that working in a cross-organisational way is made complex and challenging. In the vice-chancellor's own words:

'A longstanding commitment to a devolved organisational culture carries with it considerable overlap and complexity' (Vice-chancellor's email to all staff, 1 July 2013)

In an effort to deal with this complexity, the university adopted Responsible Division Management (RDM) in 2009. This devolved management model represents a renewed commitment to local decision-making and accountability. Faculties and graduate schools, several administrative divisions and numerous research centres and institutes have a high degree of latitude in the way they implement their business, including adoption of systems. This includes the key responsibilities of finance, human resources, occupational health and safety as well as records management.

To support RDM, practice leaders were appointed in the domains of Advancement, Facilities Management and Sustainability, Finance, Human Resources, Information Technology, Engagement and Partnerships, Marketing and Communications, Occupational Health and Safety, Records Management, Research, Student Recruitment and Student Services. Practice leaders are expected to provide guidance in their domain, to promote the responsibilities of staff in that domain and to ensure the university's compliance with relevant legislation and regulations.

The practice leader for records management is the general manager, University Records and Policy. The position is supported by a records management policy and associated procedures as well as an enterprise classification scheme and a retention and disposal authority. Frameworks and tools are in place to enable compliance with the relevant legislation.

In practice it is generally the high level corporate records, formerly managed by the Central Records Office of the university, which are managed using specific records

> The term 'communities of practice' was first coined in 1991. Communities of practice are defined in the literature as a 'unique combination of three fundamental elements: a domain of knowledge, which defines a set of issues; a community of people who care about this domain; and the shared practice that they are developing to be effective in their domain'.
>
> (Wenger et al., 2002, p.27)

management software, HP TRIM. Other key enterprise systems capture information relating to university-wide functions including Human Resources, Finance, Research Management, Property Management and Student Management. With this devolution of information management to other systems, the Records Services unit also has a responsibility to ensure that these systems are managing information in a way that complies with legislative obligations as well as meeting business needs.

Outside these systems a large amount of information is stored on department or work unit shared drives by academic and professional staff. This information is backed up regularly but may not be organised and managed to the highest standards. The challenge is to change the culture of an organisation where information and records management has been seen as a solely central responsibility rather than a devolved one. A further challenge is spreading the understanding that, as a public record is anything made or received in the course of a staff members duty, every staff member is creating records and has a responsibility for records management.

Communities of practice on both a local and enterprise level have a role to play in effecting this change.

COMMUNITIES OF PRACTICE

Communities of practice often start out as loose networks and build into a community. Commentators such as Cox have noted a shift in emphasis in a period of just over 10 years from communities of practice as opportunity for learning to a form of knowledge management. 'The dominant usage of the term "community" of practice, at least in the organisational literature, is now to refer to a relatively informal intra-organisational group specifically facilitated by management to increase learning or creativity.' (Cox, 2005, p.538) It is this definition that best fits the way in which the University of Melbourne generally constitutes its communities of practice, including those built around information management.

There are many benefits to using a community of practice model to support information management activities within an organisation. The model enables people with an interest in or responsibility for a domain such as information management to meet and discuss issues and exchange knowledge about this domain. It helps promote a consistent approach across the organisation and provides an intra-organisation network that can both support information management professionals and other colleagues within the network. In addition, the relative informality of the model can be an advantage as it allows staff to develop a peer to peer relationship with individuals from many different areas and information management staff in a no-fault (and often cathartic) environment. When considering the size and complexity of the university, there were few other models that would have the same impact and potential to build a recognised and ground-up movement towards effective information management practices and compliance.

While measuring the success or impact of communities of practice can be difficult, anecdotally, the two communities discussed within this paper are having a positive effect on the wider community. While the effects of community activities can take time to appear, the implementation of tools such as the Continuous Improvement Program (discussed below) has started a more formalised undertaking of this process and will, in time, provide a more systematic and quantitative analysis of the benefits of this kind of approach.

AT THE LOCAL LEVEL: THE LIMEs

In 2009 a year-long project to reform the University Library's shared drive was completed and the project team disbanded. The challenge was to ensure that the new structure of the shared drive, based on the university's enterprise classification scheme, was maintained. A community of practice was suggested as a way of maintaining the new structure and ensuring good practice in information management continued.

Local information management experts (LIMEs) were initially nominated by supervisors of work groups across the library. Over time, other LIMEs volunteered to join the network. Our standing comment on the matter is "in many ways the LIMEs picked themselves" which, while a terrible pun, is true. They are generally individuals who care about information management, appreciate the efficiency of working in a well-organised information environment and who passionately want to contribute to maintaining that environment.

Currently the LIMEs role is not part of the formal job description for library staff. A role description for LIMEs has been developed and participation in the group is noted in the annual performance discussion.

The LIMEs' role is to provide an overview of the rationale behind the library's shared drive to members of their work group, to act as a point of contact on issues relating to the shared drive and to promote the use of the shared drive manual and guidelines.

Members meet regularly, currently, six times a year. The meetings are conducted reasonably formally. There are terms of reference, a written agenda is circulated before meetings and decisions made are recorded. All this information is freely available in the shared drive for all library staff. LIMEs members are encouraged to raise information management as a standing item at work group meetings. This gives them the opportunity to raise issues discussed at LIMEs meetings as well as bring the concerns of their work group back to the community of practice. The group has been coordinated by a member of the project team. As the group has evolved and matured, this is now changing as other leaders emerge. This is common to well-developed communities of practice and is encouraged as it contributes to the sustainability and longevity of the group.

Activities of the group include:

- revising the shared drive manual and guidelines.
- conducting regular 'spotlight' on a function in the shared drive.
- discussing and deciding on the best place to file commonly used documents
- sharing useful shortcuts such as how to embed the file path into a document footer to assist with good practice.

Individual LIMEs may also maintain a register of file locations for their work group.

The challenge is to change the culture of an organisation where information and records management has been seen as a solely central responsibility rather than a devolved one

AT THE ENTERPRISE LEVEL: THE LRCs

The local records coordinators' (LRCs) network was developed more formally than the LIMEs. Unlike the passionate, but self-selected ad hoc nature of the LIMEs, the LRCs were formed to be a group where the key selection criteria were slightly different. The role of LRC was established in conjunction with the introduction of RDM and the evolution of the practice leader role. In line with Cox's definition of the 'specifically facilitated' group, each business area was asked to nominate an individual who would take on the role of disseminating information back to the business area, and to provide a local contact for other staff. The role was also intended to provide feedback to records staff. Distributed LRCs with a base level of knowledge about records management requirements and compliance needs can provide useful local practice knowledge to centrally located records staff. Key to the implementation of the LRCs was ensuring the right person was selected. LRCs are not volunteers, they are nominated by a manager. Ensuring that they are enthusiastic, interested in the work required and have sufficient standing within their business areas to influence the actions of others is not automatic. This has led to some refinement of the process and additional requests for nominations over time. In addition, ensuring that this work is recognised is also proving to be a challenge. Currently in development are statements which reflect this involvement that can be added to performance management plans.

The LRC network also meets at least four times each year with an agenda that usually covers information sharing and presentations. Activities include:

- workshops to develop knowledge or skills in specific areas such as disaster preparedness, disposal, classification and so on
- guest presentations from specialists on topics such as privacy, digitisation and audit
- encouragement of participant-led discussion.

Presentations from network meetings are published on a website and in the past have been disseminated through a collaborative web space (Sakai).

The establishment of the groups isn't the only consideration for the creation of effective communities of practice. Administrative support for network meetings must be sustained and tools and materials for ongoing use need to be developed and disseminated to support the participants. Examples of support tools that have been developed for the LRC community of practice include:

- case studies to use in quarterly meetings
- an assessment and planning tool, the Continuous Improvement Program for Records Management (the CIP), which allows staff to assess their business units without needing records management training, and then develop strategies using clear and simple steps to better records management.

Through the implementation of the CIP, it has been possible to start a process of determining key performance indicators (KPIs) for records management within the university. A recent Records Review undertaken by the university's Internal Audit, Records Management and Finance and Planning teams, which used the CIP as its information gathering methodology, has led to an understanding of the base state of records management and the level of compliance with legislative requirements currently in place with each business unit within the university. From this baseline assessment, the CIP will then allow for ongoing assessment of records management maturity as well as the effectiveness of the LRCs.

One of the key recommendations from the Records Review was that the LRC network should be strengthened and prioritised as a method of dissemination of good practice in records management. This recognition from areas outside the usual records management cluster confirmed the value of the community of practice model in the university's unique and challenging situation.

SPREADING THE WORD TO COMMUNITIES OF PRACTICE AND BEYOND

In addition to regular meetings of these two communities, Information Awareness Month has provided an opportunity to engage the wider university community in a range of activities designed to promote better information management practice.

Each year a project group is formed, activities developed and promoted, then evaluated and refined for the following year. The activities are designed to be educational, informative and fun.

In 2011, the group devised a short quiz designed to assess participants' familiarity with common aspects of information management. More than 500 staff participated in the quiz and prizes were awarded for participation. Consisting of five simple questions, the quiz also highlighted areas of weakness in understanding across the university community, allowing for a more effective targeting of future activities.

In 2012, staff were offered 'orienteering online', an activity to show participants more about finding and managing information. This involved staff from areas not traditionally part of the university's information management community to assist in running activities, and had a spy theme to engage interest. Feedback from participants was that they enjoyed the tone of the challenges and the back-stories created to support the tasks. Feedback from the areas involved showed an upturn in use and understanding of the services that they offered, so the approach was generally agreed to have been successful.

In 2013, however, a different approach was taken. The decision was made to focus on the Enterprise Classification Scheme (ECS) and the Retention and Disposal Authority and their value as tools to enable better information management.

Information Awareness Month 2013 began with a workshop 'Explaining the Enterprise Classification Scheme' which was open to all staff. Following this workshop a personal challenge was issued to undertake a 12-step program. Over 70 staff signed up for the challenge and they were sent three emails a week for four weeks. The emails outlined a structured program of tasks such as appraisal, sentencing, information organisation and disposal – across each of three formats – hardcopy records, electronic records and email. In each format, the implementation of the ECS, the identification of retention periods for the records involved and the communication of key records management ideas were a key consideration.

Not all participants in 2013 were able to complete all tasks. Even where this was the case, informal feedback showed that participants valued the information provided and voiced an intention to keep the instructions for use at a later time.

The activities of Information Awareness Month are designed to support the LIMEs and LRCs in the role of champions for better information management. Members of the two communities of practice have been involved in the development of these outreach activities and were enlisted to support their promotion and uptake.

Records Services also publishes an occasional newsletter *On the Record* which is distributed to LRCs to provide a continuing source of information on records management topics as well as being a device they can use to promote information and records management locally.

Each issue focuses on a particular area of information management interest, such as staff responsibilities around good information management or retention and disposal. The newsletters are also intended to be used as factsheets for reuse over time. They are made available electronically and in hardcopy for ease of distribution to staff and for reprinting in local areas when needed.

THE FUTURE

Feedback from the 2013 Information Awareness Month personal challenge will contribute to the development of a 12-step team challenge which is currently being developed. The idea is that with the growing awareness of the ECS many staff members will be keen to see it applied in the shared drives of work units. The 12-step team challenge is likely to be run over 12 months. A longer time period is a necessary concession to the volume of work and records under consideration. The challenge will be supported by a range of resources such as checklists and case studies.

Bibliography

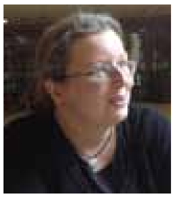
- Cox, A. (2005). What are communities of practice? A comparative review of four seminal works. *Journal of Information Science* 31, 527–540.
- Lave, J., & Wenger, E. (1991). *Situated Learning: Legitimate peripheral learning*, Cambridge, Cambridge University Press.
- University of Melbourne (2012). What does practice leadership encompass? Retrieved from: http://www.administration.unimelb.edu.au/project_rdmi/docs/What%20does%20Practice%20Leadership%20Encompass.pdf
- Wenger, E. (1998). *Communities of Practice: Learning, Meaning and Identity*, Cambridge, Cambridge University Press.
- Wenger, E, McDermott, R., & Snyder, W.M. (2002). *Cultivating Communities of Practice*, Boston, Harvard University Press.

These resources will be designed to ensure that they are fresh, engaging, vibrant and easily accessible. They will provide ongoing support to staff and almost automate some of the more basic activities currently occupying the time of information management specialists across the university.

The communities of practice established for information management at the university will continue to meet and evolve. Increasingly, they can become a springboard for further communication activities either through direct involvement or indirect fostering. Information Matters is a group on the University's implementation of the private social network, Yammer. Established in 2008, there are now over 2,500 staff, more than at third of the total, signed up to Yammer. This group provides a forum for members of the established practice communities and a place to expose information ideas to new consumers. There are plans to increase this use of Yammer. Other suggestions for activities and resources from the LRCs and LIMEs will be trialled and evaluated in conjunction with these groups. One suggestion currently being explored is the appointment of LIMEs to be the stewards of particular functions in the library shared drive.

Communities of practice, at the local or enterprise level provide a way to mentor those individuals with an interest in or responsibility for information management. Community meetings provide the opportunity to raise concerns, work through solutions, share successes and to receive feedback and suggestions. Feedback from active members of the communities of practice is that they feel strongly supported and informed. They see value in their role and have gained confidence through participation. Local change and improvement has been possible in part due to this increased confidence and knowledge.

The time spent resourcing these communities is time well spent as we see the results start to flow through from small initial steps to large cultural change. ❖



ABOUT THE AUTHORS

Adelaide Parr is a records analyst at the University of Melbourne. Previously she has held roles at Victoria University and the Public Records Office Victoria. Following 10 years of teaching in Australia and the UK, she joined the information profession having completed her Masters in Information Management and Systems at Monash University. She is currently convenor of the Victorian Branch of the Australian Society of Archivists.

Sally Newton originally trained as secondary school teacher, then completed a Graduate Diploma in Information Services and became passionate about information management. Prior to her current role, she worked as a collection manager in the Law Library, at the University of Melbourne before moving into the Information Strategy and Planning unit of the library.

BUILDING A STRONGER RECORDS TEAM WITHOUT A BIGGER BUDGET

As records managers an important task we have is to educate our teams so they can best educate our organisation – firstly, about the benefits good recordkeeping practices bring in reducing risk and improving productivity and secondly, about how to go about achieving those results. To get a return on our investment, we need to ensure we create the right environment, educate the right people in the right skills using training that is specific to the skill/knowledge deficit and to the individual/team being trained.

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

story snapshot

How do we quantify the return on investment in recordkeeping education?

Once a poor investment is made in training or education, gaining a second round of budget to get it right is a challenge.

There are three key actions required to deliver a return on investment on education.

Education is an enabler. "The single biggest factor, by far, in reducing the rate of death among children younger than five is greater education for women" according to the Institute of Health Metrics and Evaluation research comparing infant mortality and years of women's schooling between 1970 and 2009 across the globe. (Gakidou, Cowling, Lozano, & Murray, 2010).

Identifying the outcomes of investment is easy when there is clear evidence-based research. In this case, decreased infant mortality in developing countries was proven by research to be achieved by increased spending on strategies to keep young girls at school longer and on women's education in general.

If only the evidence and arguments for investing in recordkeeping education of our records management team were so clear!

The return on investment in recordkeeping education appears, at first glance, overwhelmingly more challenging to quantify. However, let's take a 'bigger picture' look at the research on the relationship between women's education and infant mortality for a moment. Where did the data gathered from 175 countries over 30 years come from? The answer is government and institutional records gathered and retained by diligent recordkeepers, many of whom did so in adverse conditions such as war and poverty, most likely with very little understanding of the long-term contribution they were making.

Gathering, filing and appraising records and making them available and accessible such that the right information can be found and applied to a useful purpose in the future requires skill. We face two challenges in equipping our teams with the skill to gather digital records:

- The cost of education – This applies both to educating single people in the records team or entire workforces in order to achieve improved records management.
- Achieving performance from the education – It is very common to find the investment in a person, team or workforce results in minimal change in behaviour or performance.

Unfortunately, once a poor investment is made in training or education and the budget return disappears into a black hole, gaining a second round of budget to get it right is a challenge – managers lose faith in our ability to deliver.

Three key actions are required to deliver a return on investment on education, regardless of the type of education.

1 CREATE FIT FOR PURPOSE TRAINING

The training must be fit for purpose. It must address the real skill gap. It's common to see a performance appraisal report that broadly identifies a skill gap, but the description of the skill gap is too broad to be useful to determine what the right training is. For instance, the report may indicate a records officer has a skill gap in appraising records as a result of not making effective progress with an appraisal project. The required training is then listed as 'appraisal training'.

Appraisal, like many processes we complete, is a process made up of multiple activities requiring multiple skills. For example, it could include liaising with business units to gather physical or digital records for registration. The records officer must be able to follow a process and also must understand the legislative and organisation-specific requirements of retaining records. Additionally, it's also important to have the confidence to make decisions, and the technical skills to apply those decisions. If the appraisal is a large project that the records officer is leading, then project management skills are also important.

When the process of appraisal is deconstructed in this way, what is the skill gap that should have been identified in the performance appraisal report? If the records officer actually does lack the skills to effectively establish relationships and influence business units to provide time and records, is training in appraising records fit for the purpose of improving their performance?

The resultant improvement from training in appraising records in this case is minimal. Training, mentoring or coaching which focuses on building influential communication skills provides a much better return on investment.

Likewise, large-scale training across a workforce must be fit for purpose. For example, if the workforce issue is poor titling, take the time to deconstruct the problem and determine what it is about titling people are failing to understand. Is it structure, how to identify a key word, using spell check, or the impact on finding? Or do they need support and training in documenting and distributing titling structures specific to their processes?

⇛

ABOUT THE AUTHORS

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

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

2 INVEST IN THE RIGHT PEOPLE

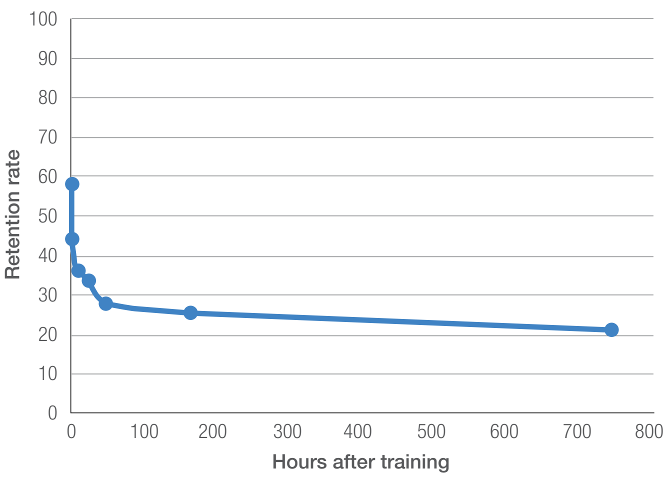
People are not created equal. We do not share equal ability to acquire skill and knowledge. We don't expect our accountant to be a great chef, or vice versa. Yet when it comes to our profession it is easy to fall into the trap of expecting everyone to be equally capable across a diverse range of skill and knowledge.

In educating our team, it is important to ensure that we invest wisely and do not try to give people skills and knowledge which they are uncomfortable in acquiring and using.

People have different thinking styles resulting in different preferences in the way they think and the way they learn. An individual may have a very strong preference for order, planning and organisation whereas another individual has a very strong preference for experimentation and seeing the big picture. A person who is most comfortable thinking about the big picture may not be the right person to train in the specifics of the functionality of an EDRMS. They may be slow to learn and even slower to teach others and potentially likely to gloss over detail.

People who rarely use their new found skill or knowledge lose it very quickly (see Graph 1). Investing education in people who do not use their training quickly is a sure fire way of getting a poor return on investment. Correspondingly, not planning the training such that people use their training directly after learning it is poor design bound for a low return on investment.

Retention rate after training without interventions



Graph 1: Ebbinghaus Learning Retention Rate Curve (Anderson & Schooler, 1991)

Take a team approach, regardless of whether your team comprises records officers, people in other business units or external consultants. Inevitably there are variations in the strength of skill between each member of our teams. Respect and value the difference, rather than fall into the trap of frustratingly trying to up-skill people who do not have talent in a particular area.

As managers, our focus should be to assemble the strongest possible team to drive and support good practices in recordkeeping and in use of the functionality of our EDRMS. While we should, as good managers provide equal opportunity for individual development, it does not equate with equal opportunity to acquire the same skills. In some cases it is better to acquire the depth of skills we need from a consultant rather than try to turn the proverbial pig's ear into a silk purse.

3 DEVELOP A LEARNING CULTURE

Learning is lifelong and every day. A learning culture consists of staff that value and embrace learning and understand its importance in the development of individuals and teams. A learning culture does not require a strategy or endorsement from executive level. It is supported and driven by managers and team leaders.

According to Peter Senge (Senge, 1990) a learning culture is "…where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning to see the whole together."

A learning culture recognises that people learn more on the job than through any formal program. This is commonly expressed as the 70-20-10 learning and development model.

- 70% of learning is provided through the use of workplace assignments and on-the-job experiences.
- 20% of learning is developed through workplace coaching and internal and external networks.
- 10% of the learning is delivered via formal training processes.

Thus an individual might attend a two-day course on administration of the EDRMS. This equips them with a certain level of skill and knowledge. In the workplace they are coached on applying administration within the organisation environment and provided with the opportunity to share and

develop ideas within team meetings. As part of business as usual, or due to initiatives taking place, their skills will be consolidated and stretched. In a learning culture, progress is monitored and acknowledged, regardless of where the learning was acquired, and individuals are provided with ongoing opportunities and support across all phases of the model to continue their development.

Creating a learning culture is a complex issue and requires in depth thought to create a set of tactics, in addition to the 70:20:10 learning and development model, which encourages the behaviours of a critical mass of people to change in order to create the culture. Tactics may include the following:

- Allowing time for critical reflection regarding what your team or individuals learned. Make this a formal part of the learning process whether the learning is provided on-the-job, through coaching or formal learning. Do this especially when we make mistakes. When recordkeeping issues arise hold a session to reflect on what was learned and reframe the learning to see how it applies across the unit or organisation (see collaboration below).
- Encouraging and formalising collaborative learning where the learning observed by critical reflection is actively reframed and applied to other areas. For instance, what a records officer learns about process mapping to help the business integrate the functions of our EDRMS with business processes can equally be applied to any of the processes of the record keeping unit. Multiply the value of training through collaboration.
- Communicating relentlessly the objectives and benefits of a learning culture and use positive examples to build trust and belief.

At a workforce level the same model can be applied, even though driving the development of a learning culture organisation wide is clearly not the responsibility of the records team. A training model that establishes super users as business unit coaches is able to ensure formal training is followed up by at-desk support by either the super users or the records team to establish recordkeeping practice. Individuals will continue to learn as they create records daily, and involving units in migration or archiving projects relevant to their business will further develop skills.

Adopting this model enables a team to reduce reliance on external spending to continuously increase skills. Skill development is internally driven, using external vendors as a starting base from which the full learning outcomes can be leveraged. It also changes expectations of outcomes of formal training. Instead of expecting an instant transformation in performance, both managers and the team can visualise that the process of becoming competent is phased and requires ongoing support.

CONCLUSION

Education clearly delivers benefits in our lives beyond the costs. This is demonstrated time and time again in wider society where education has a large multiplier effect. As records managers an important task we have is to educate our teams so they can best educate our organisation firstly about the benefits good recordkeeping practices bring in reducing risk and improving productivity and secondly about how to go about achieving those results. To get the multiplier effect we see in society and a return on our investment, we need to ensure we create the right environment, educate the right people in the right skills using training that is specific to the skill/knowledge deficit and to the individual/team being trained. ❖

Bibliography

- Anderson J R & Schooler L J (1991, November). *Reflections of the environment in memory*. Retrieved 3 October 2013, from University of Texas at Austin – Department of Psychology: http://homepage.psy.utexas.edu/HomePage/Class/Psy394U/Gilden/anderson%20schooler%201991.pdf
- Gakidou E, Cowling K, Lozano R, & Murray C (2010). 'Increased educational attainment and its effect on child mortality in 175 countries between 1970 and 2009: a systematic analysis.' *The Lancet*. 2010; 376:959–974. Retrieved September 2013, from Institute for Health Metrics and Evaluation: http://www.healthmetricsandevaluation.org/publications/summaries/increased-educational-attainment-and-its-effect-child-mortality-175-countries
- Senge, P (1990). *The Fifth Discipline: The Art and Practice of the Learning Organization*. Doubleday.

From litigation response to litigation readiness

Bringing eDiscovery in-house now will pave the way for enterprise information management later

By Johannes Scholtes

Only about 1% of organisations are reportedly prepared for full-scale eDiscovery activities. As a result, the vast majority of organisations facing litigation are forced into a costly reaction mode in order to respond to discovery requests within court-imposed timelines.

So, when the clock is ticking and the meter is running, how do you sift through internal databases, networks, computer systems, servers, archives, backup or recovery systems, laptops, PDAs, mobile phones and pagers to assess your legal risk and defend your organisation? And further, how can you possibly meet the rigorous demands of the impending eDiscovery while also preparing your organisation for litigation that may be looming?

TAKE CONTROL OF YOUR INFORMATION NOW

In most cases, the review of information for relevance and privilege and the processing of vast volumes of data in preparation for formal legal review are the most expensive elements of eDiscovery – accounting for as much as 50-80% of the budget when using external sources. Therefore, more and more organisations have acquired advanced tools to help them to control the costs and risks of the eDiscovery process. Most notably, organisations have started to deploy information management software and systems to help them respond to a specific legal matter now and prepare for future litigation.

And the technology options abound: advanced culling; processing and (forensic) full-text indexing; concept and fuzzy search; automatic pre-classification of documents into privileged, claim-related and non-related documents; intelligent redaction; machine translation; pattern recognition; relevance ranking; exact and near de-duplication; e-mail trail visualisations; and many other smart and innovative solutions.

But, the most comprehensive and desirable systems are those that incorporate true information management capabilities so that an organisation may assess the case as early on as possible. Secondarily, the best systems automate the more administrative aspects of the eDiscovery process (like legal hold workflow and intelligent collections and preservations), thus reserving resources for more thorough legal review and analysis by professionals. The added benefit is that the simplified and automated nature of the eDiscovery solution can be easily extended to everyday information management initiatives.

MEET THE NEEDS OF ALL THE STAKEHOLDERS

Various dynamics add to the extreme pressure of the situation and underscore the need for a proper methodology for managing vast volumes of information.

Both in-house and outside counsel want to prevent being ambushed by unknown liabilities. Therefore, one will have to find all of the relevant information – even files that have been deliberately altered and concealed. High recall, coupled with filtering and de-duplication tools, is paramount for eDiscovery technology because it gives outside counsel the assurance that they have all of the facts.

Everyone wants to reduce outside counsel's risk of court sanctions, fines and negative verdicts. If the potentially relevant information is properly preserved, collected and locked-down in legal hold, outside counsel is relieved of the risk of spoliation (accidental or deliberate) and related court sanctions or fines that can negatively impact the case.

Everyone wants to reduce the likelihood of premature settlements. Despite their innocence, some organisations settle cases if they believe the cost of eDiscovery will outweigh the cost of a settlement. We need technology to bring substantial savings and efficiencies to the client so that they can maintain their legal representation and protect their interests, reputation, and cash flow.

Related to the previous point, executives always have an eye on the bottom line, and as a result, they may demand more proactive and pragmatic information management solutions instead of draining significant resources to defend specific legal matters.

eDiscovery places an enormous burden on IT departments. Incremental collections from all different electronic sources (on-line, off-line, near-line, and in the cloud) are incredibly time consuming. Automation and preparation can relieve IT tremendously and enable them to focus on more strategic IT solutions to support the entire enterprise.

Figure 1: There are many stakeholders in a typical eDiscovery process

LITIGATION RESPONSE AND READINESS ARE MOVING TARGETS

While the latest eDiscovery and information management technologies have made great progress towards putting organisations in control of their information assets and liabilities, the environment is dynamic and requires solutions that can scale and adapt to new realities.

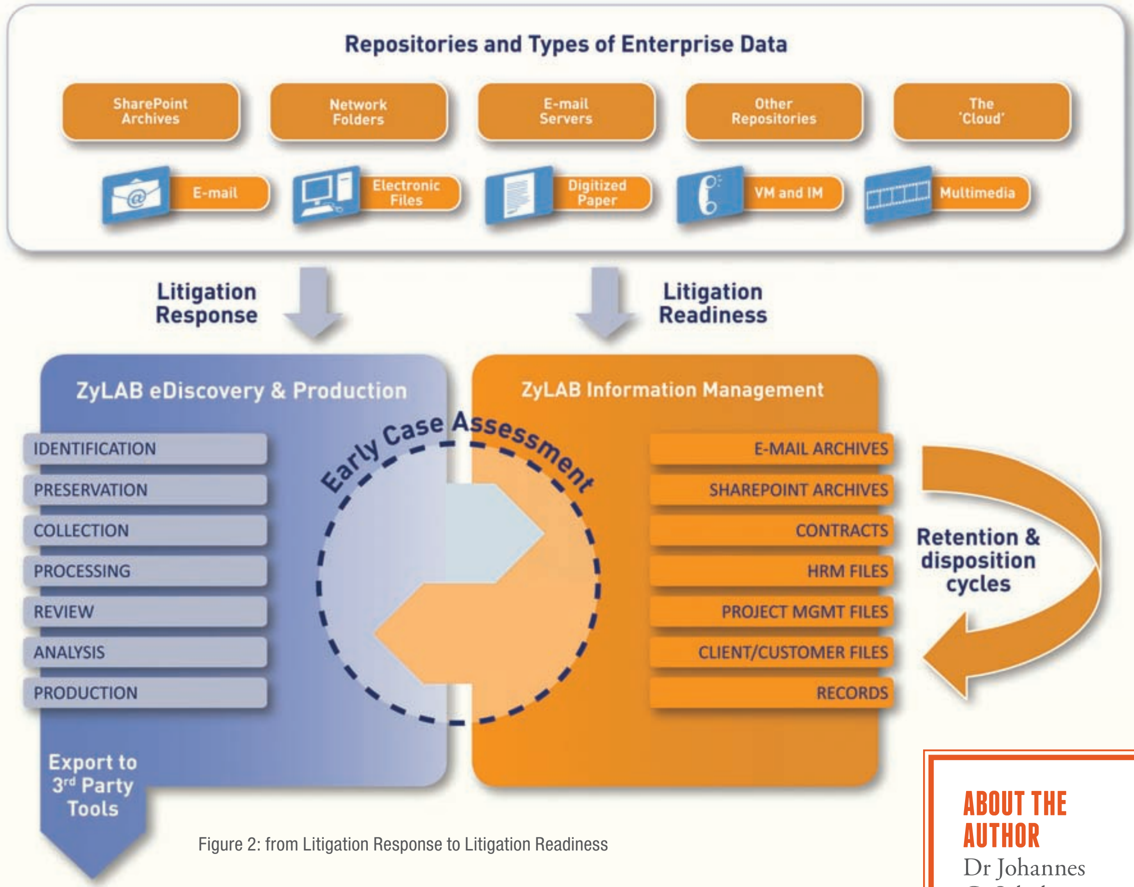


Figure 2: from Litigation Response to Litigation Readiness

Even after 50 years, Moore's Law still applies: Every 18 months, the volume of our stored data doubles. At that rate, the amount of information stored by an organisation will have grown 100 times over in 10 years.

The legal industry is one of the most conservative industries out there. Adoption of new technology is not a revolutionary process, but an evolutionary one which leads to higher costs from prolonged inefficiency.

The use of new social media such as Twitter and Facebook and non-searchable multimedia platforms like YouTube is growing exponentially.

With the introduction of cloud computing, information is everywhere and nowhere at the same time.

The number of law suits will only increase in the coming years due to the credit crisis, but also due to the increasingly litigious nature of our society.

Therefore, the only real solution to solve the eDiscovery burden now and in the future is to start properly managing all of your enterprise information as part of daily operations. Figure 2 shows the relation between eDiscovery and information management.

MOVING FROM COSTLY REACTION MODE TO SMART, PROACTIVE PRACTICES

While in-house eDiscovery systems are generally implemented to investigate a specific legal matter, more and more organisations are looking for a solid and robust foundation from which to pursue proactive, enterprise-wide objectives for information management.

In fact, the costly and disruptive nature of eDiscovery often triggers a broader information management initiative championed by executive leadership.

Proper information management initiatives may be based upon principles similar to eDiscovery (ie, identification, collection, review etc), but it often requires additional technology, procedures, and user training to help organisations achieve corporate governance despite the continued – and rapid – growth of their data populations.

Information management involves not only archiving, but also the implementation and enforcement of retention and disposition schedules to ensure organisations are not storing vast volumes of information unnecessarily. It is actually quite similar to the culling process during eDiscovery, yet in a broader form that is widely adopted as part of daily operations in all departments.

E-mail, SharePoint, HRM files, project files, customer files, official company records and legal contracts all contain potential future legal liability and cost considerations. For example, retaining 100,000 emails – which may have important files attached – in one's Inbox, Sent folder, or hard disk exposes the organisation to more risk and unnecessary storage costs. And the vast information stored on backup tapes and in MS SharePoint collections in a completely unstructured format presents its own potential risks, especially if the data is related to projects or litigation involving human resources or C-level management. Organisations will always have these types of unstructured data sets, but their potential risk can be managed by the right information management technology and protocol.

Information collections such as the ones noted above need to be ordered and classified in a filing plan, which can be done in a rather straightforward and pragmatic way. This action limits the amounts of data (and thus the potential cost of litigation), makes early case assessment possible on your live data, and limits the need for the expensive processes to collect and preserve all data in advance.

In the end, one will become litigation ready by making litigation response as unobtrusive as any other daily operating procedure. ❖

ABOUT THE AUTHOR

Dr Johannes C. Scholtes is Chief Strategy Officer and Chairman of ZyLAB North America.

A DIGITAL ARCHIVING MATURITY MODEL

Organisations are realising that it is business critical to archive digital information for several years. Ensuring archived information can be accessed when the need arises is key, as is creating value from assets that are archived. The term ‘digital archive’ is however used to cover many different types of solution for this problem. This article provides a way of categorising these different approaches to enable organisations to understand the differences and to select the best solution for them.

By **Jon Tilbury**

The term ‘maturity model’ is used to imply layers of sophistication in processes, the first of which must be complete before graduating to the next. This istrue for digital archiving – there is no point having a clever information management system if you do not have secure storage.

The digital archiving maturity model has two main sections:

- **Durable storage** – Layers 1-3 provide increasing levels of sophistication in the safety and security of the storage of the raw bits used to hold information. By the time you have a level 3 compliant system you can be confident your information will not be lost and that it has not been tampered with.
- **Information management** – Layers 4-6 ensure that the preserved raw bits can be found and interpreted correctly now and in the future. With a level 6 system your information is organised and searchable, the processes are automated and you can use it as you wish.

LEVEL 1: SAFE STORAGE

The simplest layer incorporates simple bit-level storage on magnetic or optical storage with some level of reassurance that the bits are protected against simple storage failure. This includes storage on protected spinning disks using RAID techniques, optical media with long-term storage and managed locations, or long-life tape storage.

LEVEL 2: STORAGE MANAGEMENT

At level 2 we add active storage management which moves the bits to the most appropriate location. The decision on which bits are located where may be done on the basis of storage durability, cost reduction, or performance. The criteria are flexible to balance all of these drivers.

LEVEL 3: STORAGE VALIDATION

The final storage sophistication adds multiple object storage plus fixity checking to validate storage durability. Object fixity is checked on storage, access and at regular intervals to confirm objects have not been tampered with. If bit failure is identified, self-healing from an alternative copy will occur.

The best storage system

A level 3 storage system appropriate to digital archiving will combine intelligent storage virtualisation with the digital object assurance. This will make sure it is possible to store the information efficiently and retrieve it as required, sure in the knowledge that it has not been tampered with during this process.

The maturity model layers

LEVEL 4: INFORMATION ORGANISATION

The first level of information management incorporates information hierarchy organisation, descriptive data management, and simple processes for uploading, locating and downloading information. Basic information security is also included.

LEVEL 5: INFORMATION PROCESSES

The most advanced digital archiving systems add capabilities to ensure that the information stored is usable when it is needed by the audience that requests it. This turns out to be highly complex as file formats and the applications that can read them are short lived and fragile.

LEVEL 6: INFORMATION PRESERVATION

A level 6 solution contains a variety of strategies to ensure the information is accessible for as long as it is needed – which may be forever. These could include file format identification, characterisation, validation, and migration to multiple alternative formats with different purposes. Alternatively it could include ways of using the original file long into the future by emulating the original software and/or hardware.

The best digital archive system

A level 6 digital archive system is built on level 3 storage and incorporates all of the features of levels 4-6. Systems that incorporate full information preservation are very rare in this emerging discipline.

WHAT DO I NEED?

A key question to ask is 'what level of sophistication do I need?'. If it is raw storage you are looking for, levels 2-3 might be good enough. If you just need to keep information for a couple of years but need to be able to find it quickly level 4 might be sufficient. If you have high volumes of information and few staff you will need a level 5 system. If you are concerned about being able to find information and to be able to use it more than 5-7 years after it was created, you need a level 6 system. ❖

ABOUT THE AUTHOR

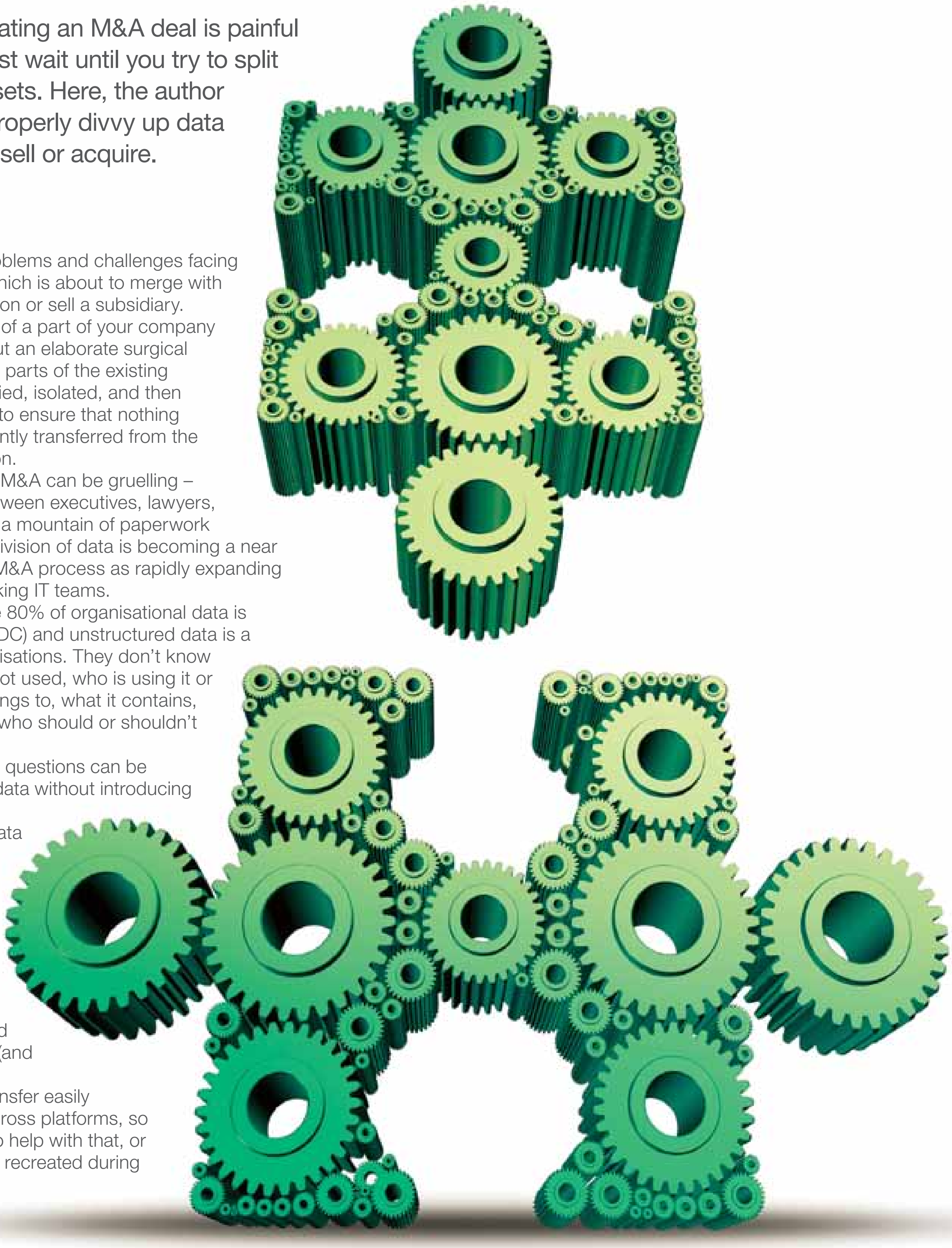
Jon Tilbury is director of Archiving Solutions at Tessella.

✉ For more information, email info@tessella.com

Why dividing your data after a merger or acquisition won't need the Sword of Solomon

If you think negotiating an M&A deal is painful and laborious – just wait until you try to split up your digital assets. Here, the author explains how to properly divvy up data when you merge, sell or acquire.

By **David Gibson**



There are many problems and challenges facing an organisation which is about to merge with another organisation or sell a subsidiary. Divesting yourself of a part of your company is rather like carrying out an elaborate surgical transplant – the correct parts of the existing entity have to be identified, isolated, and then meticulously extracted to ensure that nothing extraneous is inadvertently transferred from the source to the destination.

The business side of M&A can be gruelling – countless meetings between executives, lawyers, and bankers as well as a mountain of paperwork and red tape. But the division of data is becoming a near impossible step in the M&A process as rapidly expanding data overwhelms shrinking IT teams.

Why is this? Because 80% of organisational data is unstructured (Source: IDC) and unstructured data is a mystery for most organisations. They don't know which data is used or not used, who is using it or not using it, who it belongs to, what it contains, which is sensitive, and who should or shouldn't have access.

Even if some of these questions can be answered, moving the data without introducing service disruption, data corruption, or putting data at risk of leakage is no easy task. Terabytes and petabytes of information take time to move around, and technology is required to either move 'live data' safely, or data has to be moved while no one is using it (and when is that?).

Permissions don't transfer easily between domains or across platforms, so technology is needed to help with that, or permissions need to be recreated during the transition. Since a single terabyte of data usually has 2500 folders with unique permissions (50,000 folders total), each uniquely permissioned folder has 3-5 active directory groups, and each group has between 5-50 members, manual re-creation might take a bit more time than you think. And permissions aren't necessarily where they should be to begin with, as only 21% of organisations in our recent survey on data migrations (http://www.varonis.com/research/#data-migration) report that they regularly make sure that folders and SharePoint sites are safe from global access groups, like everyone and domain users.

There are other reasons of course for the need to migrate data, such as the purchase of new storage devices, the retiring of legacy storage, the adoption of new platforms, cleaning up of stale data and the removing of specific content. In fact, according to the same survey, 95% of organisations move data around at least once per year, and 44% move data more than 5 times per year.

STEPS FOR A SUCCESSFUL DATA MIGRATION

A successful data migration requires you to identify exactly what content is going to be moved, to decide whether to move it all at once or gradually, when to move it and what to do about permissions. You'll also need to identify the data owners, determine who uses that data, and whether your data migration will affect those users while the data it is moved to your new network attached storage device, domain or SharePoint server. These are all vital tasks and take a lot of time to do manually. Could you do all of this automatically?

In order to do so, you would first need metadata to identify data that should or should not be moved – eg, data that is stale, data that is created, accessed, or accessible by certain groups or individuals, data that contains specific content, or any combination of those metadata attributes. Once these data sets are identified, automation is needed to move or archive – whether their destination is a server in another domain or even on a completely different platform.

The following boxes must be ticked in order to move data securely and intelligently:

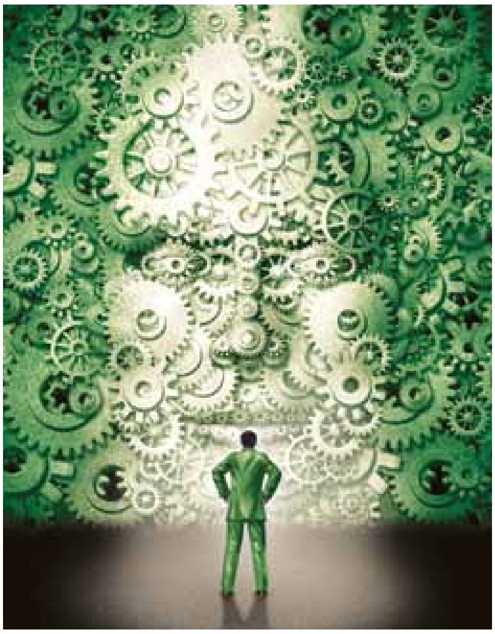
- Ability to schedule one-time or on-going migrations
- Option for incremental migrations for large data sets
- Automatically maintain, enhance and/or translate permissions for migrated data
- Ability to migrate data between servers in different domains
- Migration simulation and real time monitoring to avoid unwanted surprises
- Detailed reporting on migrated data, permissions and new groups

Does such technology exist? Yes. Enterprises are now able to configure one-time or on-going migrations, defining the destination path, folder, permissions translation, and when the migration should take place. This technology enables the rapid, safe execution of complex data migrations. Users can easily implement and enforce policies for data retention and location based on content, accessibility, and activity. The same metadata used to facilitate the migration also helps identify and remediate exposure of sensitive data and excessive permissions, identify owners, stale data, and determine who has, should and should not have access.

Intelligent, automated migration of large-scale data sets can reduce complexity and improve IT service by limiting user disruption and avoiding data breaches. By automatically identifying data sets for migration based on path, permissions, actual access and content classification, compliance policy implementation and enforcement are simplified while providing the flexibility to meet the business goals of any migration project.

Until recently, splitting large, complex data sets was about a precise as medieval surgery – the surgeon was as likely to take off his own thumb and a few errant limbs from the hapless patient during the process. In some cases the procedure was even less accurate – using the sort of Solomon approach in which a 'virtual' baby is divided down the middle. Now the procedure is as accurate and scientific as keyhole surgery and for the first time data migration can be automatic, accurate and swift. ❖

ABOUT THE AUTHOR
David Gibson is vice-president of Strategy at Varonis, www.varonis.com



A loyal sceptic is found

Do records management theory and current practice really align with digital information use and management? The question may seem pointless to many: 'What does it matter as long as the information needed can be found and it is secure?' But to the archivist or records manager, it's not enough. This article discusses research for a PhD thesis into what records management in today's digital government is. The research it is based on aims to analyse whether records management really is a dying occupation or whether it is simply evolving.

By **Katharine Stuart**

I've never been sure that digital information really quite fits the records management mould. Coming into the profession relatively recently (past 10 years), I entered when state government was on the cusp of change. I remember clearly working as a records manager for a transport agency and thinking that we could simply continue to manage records as paper, regardless of the fact that the records started out life as bits and bytes.

Perhaps naively, I never delved deeper into the problem at that stage of my career. I was only starting out and the job I had managed to land was quite plum. I didn't consider the issues that would soon surface as government continued to invest in digital infrastructure.

story snapshot

From Bearman's 1989 seminal work Archival Methods *to Cumming's 2012 recordkeeping roundtable plea for more loyal sceptics, and every curious archival and records professional in between, the question of how records management and digital information coexist needs to be examined and re-examined.*

I've had a few jobs since those reckless and carefree, non-digital worry-free days. I've had great opportunities, especially those that investigate the marriage of records management and digital information. However, I am still not sure that the marriage is a happy one. Looks can be deceiving, and this is why I am taking the step to find out whether the practice and tools actually being employed in government to manage records are suitable for today's digital environment. To do this, I am taking it to the people so to speak. But I'm getting ahead of myself. Let's look at why I think there is a problem.

THE AUSTRALIAN CONTEXT

Today digital communication and technology is being used by governments and citizens alike, and it plays a key role in social and economic transformations across the globe[1]. While many countries lack the infrastructure, such as broadband, to implement many digital government initiatives, Australia appears to be in an enviable position (United Nations Department of Economic and Social Affairs, 2012). Indeed, according to the Department of Finance and Deregulation (2011), digital communication and technology have changed almost all aspects of Australian society and are central to how people interact, make decisions and do business, including the way governments deliver services to citizens. The department has stated that in a few short years all Australians will be able to easily access and receive a range of services streamlined across government and tailored to their individual needs, locations and preferences.

In 2011 the Australian Government's commitment to managing digital information was confirmed with the release of its policy on digital transition (National Archives of Australia, c2011). This policy requests that all government agencies move from physical information management to digital information management over a four-year period (National Archives of Australia, c2011). Essentially this policy requests that agencies reduce paper stockpiles, manage digital information wherever it is held and consider the resources required to continue to work in the digital environment (National Archives of Australia, c2011).

With an understanding that all agencies are today dealing with digital information and that they have been mandated to manage the information in a digital fashion, is there really a problem? Well, it appears there is. In recent times there has been some research into the impact of digital information on records management in the Australian government context. For example, on a state level, the New South Wales State Records Authority (2010) undertook a survey that aimed to identify the barriers between successful information communication and technology (ICT) and records management communications. This survey found that many barriers stem from the rampant use of digital technologies and the application or non-application of records management (New South Wales State Records Authority, 2010). Similarly, the National Archives of Australia have found that while Commonwealth agencies are creating records, many are not investing in digital records management (TNS, 2010).

Records management ensures accountability by controlling information (ISO, 2001). According to the international standard on records management, a record maintains value and trust only when it is a full and accurate, fixed representation (ISO, 2001). This suggests that information flow of contemporary Australian Government information, when captured as a record, is fixed (ISO, 2001) – its flow is halted. To change a record, either amend or add to it, is to create a new fixed record (ISO, 2001).

And thus we come to the first of many issues. In many ways, digital information does not fit the records management mould and indeed defies records management control (Currall and Moss, 2008). In 2012 Istvan Dienes, a Hungarian control and information technology engineer, published his findings of a meta study where he compared 26 studies that attempted to measure information. Dienes found that all the studies defined digital information as something that flows – that information is seen to behave like a fluid regardless of how it is stored and delivered to the user (Dienes, 2012). According to Dienes (2012) information flows as a result of the actions of people, their organisations and their technology. Similarly, the fluid nature of information has also been realised in the Australian Government context. Dr Ian Reinecke (2011) suggests that information is the 'lifeblood' of public administration and recognised that its fluid movement is decreased through current government business processes, thereby decreasing the efficiency of government information use (Reinecke, 2011). Could one of these 'efficiency decreasing' processes be the current application of records management?

This non-alignment of records and digital information is a known problem

THE TENSION BETWEEN RECORDS AND DIGITAL INFORMATION

But this non-alignment of records and digital information is a known problem. In 2007 Ruth Frendo, of the University of Glasgow, re-acknowledged the 1990 observation of Scholle that information is conceived as 'discrete bundles, physically decontextualised and fluidly moving' (Frendo, 2007). Frendo (2007) believes that it is these discrete bundles and their disembodiment from their processing that poses problems for the records and archival world. Therefore it appears a tension exists between the fixed state of records required for accountability and evidence of government actions and the fluid nature of information created, used and consumed by government and its constituents.

This tension can be seen in the 2010 State Records Authority of NSW survey which found that ICT professionals believe records management professionals need more technical knowledge to manage digital information (State Records NSW, 2010). Disturbingly, many ICT professionals did not identify records management professionals as being a profession of use to the management of information ⇛

at all (State Records NSW, 2010). The study suggests the alignment of those responsible for records and those responsible for digital information in progressive digital government is problematic.

The 2010 survey by the National Archives of Australia found that Australian Government departments and agencies continue to create records mostly in paper format, with the annual cost of storing these paper records exceeding $200 million (TNS, 2010). Meanwhile the creation and consumption of digital information continues to increase (Reinecke, 2011, Gantz & Reinsel, 2011). The National Archives of Australia survey indicates that while government is working in a digital environment, it continues to adopt paper records management practices (TNS, 2010).

But perhaps we are just not explaining ourselves very well. Perhaps I am taking things too literally. There are many definitions of a record. The Australian Government chooses to use the definition from the international standard – ISO 15489. According to the standard, a record is 'information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business' (ISO, 2001, s3.15). Records management is defined as '[the] field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records' (ISO, 2001, s3.16).

That all seems quite straightforward. Government undertakes business, and the information used to do that business, as well as information created by business, is a record. However, does this mean that all government information being created is a record? Enter, public sector information.

Public sector information may or may not be a record. The Australian Office of the Information Commissioner chooses to adopt the Organisation for Economic Co-operation and Development's definition of public sector information – 'information, including information products and services, generated, created, collected, processed, preserved, maintained, disseminated, or funded by or for the Government or public institution' (Office of the Australian Information Commissioner, 2011).

However, this definition of public sector information appears to be very similar to the Australian definition of a record found in the Archives Act, 1983. A record:

means a document, or an object, in any form (including any electronic form) that is, or has been, kept by reason of:

a) any information or matter that it contains or that can be obtained from it; or

b) its connection with any event, person, circumstance or thing" (Part 1, s3).

According to the National Archives of Australia, information is a record by virtue of it being evidence of a business transaction with enough value to business and society to be retained (National Archives of Australia, nd). So public sector information is a record by any other name?

Assuming that public sector information and records are interchangeable, the problem of what a record actually is and the relevancy of current records management practice in the digital government universe still exists.

The National Archives of Australia survey indicates that while government is working in a digital environment, it continues to adopt paper records management practices

THE PROBLEM OF DIGITAL INFORMATION AS A RECORD

Currall and Moss (2008) state that the information, communication and technology culture and practices found within the public sector have cast doubt on the relevancy of current records management as evidence of actions. Cunningham and Phillips (2005) on the other hand do not dispute the relevancy of records management in government but believe that within government there are several inhibitors to good digital records management. Among these are the poor recognition of the importance of recordkeeping, the lack of a standardised approach to digital records management, the lack of understanding of the relationship between digital information and records, and the perception that records management is a corporate overhead rather than an investment (Cunningham & Phillips, 2005).

The problem of digital information as a record is further highlighted by Frendo (2007), who quotes Bruno Delmas (2001) noting that 'to distinguish between metadata and the text itself becomes imprecise in the production continuum of some documents'. What Frendo means is that in the virtual world the distinction between the medium and content is blurred. This blurring of boundaries perhaps indicates that the records and archival community needs to re-examine its understanding of what constitutes a 'document' (Frendo, 2007). Frendo (2007) further expands Delmas' notion and even touches on continuum theory when she states that it is vital for the archivist to be involved at the creation stage of a document rather than post-hoc documentation. That is, records management professionals need to be involved with the creation of metadata rather than the later interpretation and application of it. But is this really the truth of the matter?

Cumming (2010) offers David Bearman's view that it is actually not the role of the records professional to create data required for records and archival purposes, but rather that records professionals should obtain and manage the data from the rich organisational environment in which the records have been created. This idea is in contrast to Frendo's (2007) notion that records management professionals should be responsible for the early creation of metadata.

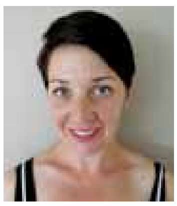
So which way to turn? Providing we can understand what the record is in digital government, how do we apply current records management practice to it? And as blasphemous as it might be to say – do we need to? These are just some of the issues that, at times, baffle me. As a records professional in the Australian Government, what is my doctrine – what is the record in digital government? As my search has lead to many different conclusions, I've now chosen to no longer ponder, but am seeking to find out for myself whether digital government and records can live hand in hand.

In 2014 I begin research to answer the questions:

- To what extent has records management practice been affected by the increased use of digital information and communication and technologies in the Australian Government?
- To what extent does the practice of digital records management in the Australian Government differ from the current theories of records management?
- In what ways do modern information workers discern records and their management?

As to why I ask these particular questions, well I had to start somewhere! However, I feel this research is significant for a number of reasons. As has been stated so often, information is a national asset and records management is a measure applied to ensure accountability. I believe that by answering the above questions, some headway can be made

ABOUT THE AUTHOR



Katharine Stuart is a PhD candidate at the University of Canberra. Her research focuses on the role and perception of records management within the Australian Government. Katharine has degrees from the University of Canberra and Macquarie University including a Master of Knowledge Management and Master of Museum studies. She has worked for the NSW Government as a records manager and as a project officer with NSW State Records Authority. She is now assistant director with the National Archives of Australia in the Government Information Management Branch.

She can be contacted at katharine_stuart@hotmail.com

as to whether the current theory and practice of records management matches the reality of management of digital information as records across government. This research hinges on gaining access to the 'real life' information players in government.

So how to answer my questions. I'm not actually approaching this research study with a theory already in mind. I'm ready for anything. To discover some answers to my questions I'm taking a two-pronged approach and starting by seeking out as many federal government records professionals as possible to answer a 20-question survey. I'm hoping this will give me a rough idea of what records professionals believe to be the current state of play within their organisation.

WHAT'S NEXT?

The second stage of the project will involve focus groups based on government organisations. Each focus group will consist of a records management professional; an ICT professional (responsible for the maintenance of an organisation's records management system); an information management professional such as a librarian; and a knowledge professional, someone whose primary role does not involve the management or provision of information but who needs information and creates information in their everyday work.

Why have I chosen to focus group with the four types of information worker and not just focus on the records manager? I believe records management is interpreted differently across most organisations. Many records professionals have the same opinion on what a record is in the digital environment, but what does everyone else think? I believe that others who are responsible for different aspects of information or who need to use information are a gold field waiting to be mined. What they can tell us will give a more universal view of what a record is in digital government.

The overall findings of the project I am hoping to feed back into the community. By understanding what we are doing, what works and what doesn't, what theory we abide by, which theories are out-dated, then perhaps some kind of updated professional body of knowledge can begin to be developed based on what is really happening, not just what we would like to happen.

I don't mean to offend anyone by undertaking this research. If anyone out there is interested in the research, would like to point me in the right direction, or be involved please contact me. I'm ultimately undertaking this research as I am passionate about records and I have a desire to know. And that is what makes me a loyal sceptic of the records management and digital information marriage. ❖

Bibliography

- Archives Act, Cth. (1983). Retrieved from http://www.austlii.edu.au/au/legis/cth/consol_act/aa198398/
- Cumming, K. (2010). Ways of seeing: Contextualising the continuum. *Records Management Journal*, 20(1), 41-52. Retrieved from http://dx.doi.org.ezproxy1.canberra.edu.au/10.1108/09565691011036224
- Cunningham, A., & Phillips, M. (2005). Accountability and accessibility: ensuring the evidence of e-governance in Australia. *Records Management Journal* 57(4) 301-317
- Currall, J., & Moss, M. (2008). We are archivists, but are we ok? *Records Management Journal* 18(1) 69-91
- Department of Finance and Deregulation. (2011). *Strategic Vision for the Australian Government's use of Information and Communication Technology*, draft V.2, Canberra, Australia: Author
- Dienes, I. (2012) A Meta Study of 26 "How Much Information" Studies: Sine Qua Nons and Solutions, *International Journal of Communication* 6
- Frendo, R. (2007). Disembodied information: Metadata, file plans, and the intellectual organisation of records. *Records Management Journal*, 17(3), 157-168. Retrieved from http://dx.doi.org.ezproxy1.canberra.edu.au/10.1108/09565690710833062
- Gantz, J., & Reinsel, D. (2011). Extracting value from chaos. *IDC iview*. Massachusetts, USA: IDC http://www.unpan.org/egovkb/global_reports/08report.htm, United Nations Public Administration Network, United Nations, New York, USA
- International Organization for Standardization. (2001). *ISO 15489-1 and 2: 2001 Information and documentation – Records management*, Geneva, Switzerland: Standards Australia
- National Archives of Australia. (c2011). *Digital Transition Policy*. Retrieved from http://www.naa.gov.au/records-management/digital-transition-policy/
- National Archives of Australia. (nd). *What is records management?* Retrieved from http://www.naa.gov.au/records-management/getting-started/records-management/index.aspx
- Office of the Australian Information Commissioner (2011) *Issues Paper 2: Understanding the value of public sector information in Australia*. Retrieved from http://www.oaic.gov.au/publications/papers/issues_paper2_understanding_value_public_sector_information_in_australia.html
- Reinecke, I (2011) *Implementing the ICT Strategic Vision, a report for the Secretary of the Commonwealth Department of Finance and Deregulation on the draft ICT Strategic Vision*, Australia:Strategies and Solutions Group Pty Ltd
- State Records Authority of New South Wales. (2010). ICT *Attitudes to recordkeeping: survey report*. Retrieved from http://www.records.nsw.gov.au/recordkeeping/topics/records-management/ict-attitudes-to-records-and-recordkeeping-survey-report
- TNS. (2010). *Records Management Practices and Arrangements in Australian Government Agencies*. Canberra, Australia: National Archives of Australia
- United Nations Department of Economic and Social Affairs. (2012). *UN E-Government Survey 2012*.

Records management and e-Government development in Europe: a tale of 3 municipalities

European governments are investing in e-Government development – all three cases reported on in this article were involved in the development of e-services. This paper explores the records management skills of the municipal employees and their understanding of the legal framework governing public records.

By **Proscovia Svärd**

The exponential growth of information, statutory and legislative requirements have increased the importance of records management as a function in modern organisations. Records management is no longer a back-office function but involves more people in organisations beyond records managers and clerks (Porter-Roth 2006). The effective creation and management of records underpins government accountability, freedom of information and privacy legislation, protection of people's rights and entitlements, and the quality of the archival heritage based on identified records of continuing value, (McKemmish 1997, Reed 2005).

European governments are investing in e-Government development and all the cases examined in this article were involved in the development of e-services. It is claimed that what is central to e-Government development is the use of the information and story snapshot

Records management skills and knowledge of the legal framework that governs public records are areas that still need attention if effective information management is to be achieved.

The Swedish municipalities had a more developed records governance model and a more positive attitude towards the management of public records compared to the Belgian case study.

communication technologies to deliver electronic services to the citizens. E-Government is supposed to increase efficiency and transparency (United Nations Department of Economic and Social Affairs 2012). The management of records is therefore crucial to this process and the daily operations of the municipalities.

THE CONSTITUTIONAL RIGHT TO ACCESS PUBLIC RECORDS

Both Swedish and Belgian constitutions guarantee citizens the right to access public records. In Sweden the rules governing public access to government records date back to the first Freedom of the Press Act of 1776 (Gränström, Lundquist et al. 2000). Chapter 2, Article 1 of the Freedom of the Press Act states that, "Every Swedish citizen shall be entitled to have free access to official documents, in order to encourage the free exchange of opinion and the availability of comprehensive information."[1] The Public Access and Secrecy Act was enacted in 2009 and has provisions that supplement the ones in the Freedom of Press Act on the right to access public records.

In Belgium, Article 32 of the Constitution was amended in 1993 to include a right of access to records held by the government:

"Everyone has the right to consult any administrative document and to have a copy made, except in the cases and conditions stipulated by the laws, decrees, or rulings referred to in Article 134."[2]

If access to government records is to be upheld and if public records are to improve efficiency, the records management function has to be robust. The current records management landscape requires all employees to cultivate an understanding of its role because we are all document creators (State Records 2004). Grimshaw (1995) confirms that it is the human information activities which give organisations a competitive edge. McLeod, Childs and Hardiman (2011) research confirms that 80% of the records management challenges are caused by people issues.

THE RESEARCH PROBLEM

Records management plays a vital role in enhancing transparency, accountability and access to public records (Shepherd, Stevenson et al. 2010). The public is guaranteed the right to access public records through the legal framework that governs public information. This can only happen through effective records management regimes.

In order for the municipalities to be able to live up to the legal framework that governs public records and to effectively use records in service delivery, they need employees who can efficiently create, use and manage the records. In (1995) Grimshaw posits that the quality and value of information, its sources, management and communication are critical to the success of an organisation. The article endeavours to answer the following question:

Q1 How are the records management skills of the municipal employees and what is their understanding of the legal framework governing the management of public records?

THE METHOD

The article draws on a study that I conducted in two Swedish municipalities and a Belgian municipality that I refer to as A, B and C respectively. I used case studies because of the nature of the issues I was trying to address. Creswell (2007) postulates that when an inquirer seeks to provide an in-depth understanding of the phenomena being studied, then case studies are the most suitable approach. Additionally Patton (2002) argues that, researchers interview people because we cannot observe everything. I conducted interviews in September 2012 and February 2013 respectively. A total of 56 interviews were conducted, transcribed and analysed. I interviewed 17 people in municipality A, 18 in municipality B and 21 in municipality C. The categories of people interviewed included heads of departments, heads of units, architects, environmental officers, GIS managers, secretaries, building permits granting officers, an archivist, IT personnel, social workers, two top management members and a legal advisor. The officers were from a total of six departments, two from each municipality and the departments were involved in similar business processes.

THE RESEARCH FINDINGS

The Swedish records management environment

Municipality A and B had a records management environment where officers were very much aware of the requirement to manage public records according to the legal framework. The interviewees from the four departments handled both digital and paper records which were printed out on paper as a long-term preservation strategy. They also had case and records management systems and registry functions that facilitated the capture of public records. They further had records and archives management policies and retention plans that detailed the different types of records that could be found in the departments, the mode of preservation, how long they could be kept before they were transferred to the municipal archival institutions or disposed of. Both municipalities had archivists but it was the registrars who were responsible for the active management of public records. They kept the records in their immediate archives until a period of five years, when they were transferred to the municipal archival institutions where the archivist took over the process. The majority of the officers confirmed that records management was integrated in their business processes but there were a couple of them who did not think that was the case. During the time I was conducting interviews, there was a big re-organisation in one of the departments in municipality A. Officer A1 expressed the fact that he had tried to pursue the issue of how records would be affected by the re-organisation without much success. He argued that the magnitude of the re-organisation could be the reason as to why, not much attention was being paid to the effect it was due to have on the management of records. He contended that it was of crucial importance to spell out records management responsibilities since the re-organisation meant that private entrepreneurs were to take over some of their activities. The municipalities had trained personnel like registrars and archives assistants who managed records but they had all attended elementary courses in registration work and records management. The archivists had university education but they were mostly involved at the end of the records continuum.

80% of the records management challenges are caused by people issues

The environment in Belgium

In municipality C the records management environment constituted a hybrid system of paper and electronic records. The paper records were considered as official while email correspondence was sometimes official and sometimes not. Most emails were retained in the officers' private email boxes and were deleted without appraisal and consultation with the archivist. This was particularly because the email boxes were by legislation private and hence beyond the access of the function of the archives. The archives service did not have a mandate from management to intervene in the management of active records. The email policy required all employees to take care of their emails by printing them out on paper and archiving them but only a few officers knew it existed. A few of the participants were of the view that records management was integrated in their business processes but the majority confirmed that it was not. The Belgian municipality did not therefore demonstrate carefulness and awareness in handling public records. Unit Head C22 for example expressed the fact that he regarded the call from the archives service to hand in records as a waste of time because they demand so much of him like making sure that there are no duplicates and so on. All the participants confirmed that the municipality did not have a records management policy and this partly clarified the many personalised systems in the organisation.

Most employees maintained records in their offices and according to personalised structures. This was because the municipality did not have a well developed registry function. The municipality also had a system meant to capture and manage public records but it only captured incoming records which were passed on to the respective officers. The responses to incoming records were not captured in the ⇛

system. The departments also had assistants who were links between their departments and the archives service but they had no training in records management. Officer C5 lamented that the lady in charge of the records at their department did not like the job but she had been asked by her boss to do it. Officers C5's statement was further confirmed by officer C6 who said that being responsible for records is seen as a punishment.

UNDERSTANDING RECORDS MANAGEMENT

All the officers in municipalities A and B confirmed that the management of public records was part of their responsibilities. The definition of records management included statements like; a system, rules for managing public records, preservation for retrieval and for future generation, registration and classification of information, sending the records to the archives and documentation, creating order among documents, security so that documents do not disappear, classification of records, all information regardless whether it is in digital form or paper for preservation, systematic maintenance of records, maintenance of records for posterity and for reference purposes. Unit Head B13 emphasised the need to freshen up people's knowledge about the management of public records. Despite the fact that the majority of those interviewed thought the management groups of both municipalities considered training in records management important, not many of the officers had been offered training. Training in the management of records was not systematic and it was assumed that even new recruits knew how to handle public records. Records management training was only offered to the officers who directly worked with public records. Where training for all personnel took place, it was in connection with systems implementation or if the laws governing a particular area of work were updated and new provisions had to be applied to the management of public records. Most of those interviewed officers had worked for the municipality for a long time and the majority of them were therefore managing records as a matter of routine. The officers were quite confident when it came to ranking their records management skills. On a scale of 1 – 10 where 1 was the worst and 10 was the best, a good number of the interview participants ranked themselves highly. Skills were acquired through consultation with the 'experts' and unsure officers were encouraged to ask the registry function or the immediate boss for guidance. Skills in handling public records did not however mean that all officers understood the current information/records landscape. For example the management of email correspondence was still a challenge.

In municipality C the officers' understanding of records management included the following. Officer C15 said it was the archives and information one needs about the history of certain elements, and the holding of that information that is important. Officer C13 said her understanding of records management was not much – that a records manager is a person who works in the archives; it involves keeping all important records, to increase the possibility for people to have access to information; it involves filing everything, all the papers one needs to save in a system, keeping records in an organised way, keeping information and storing it in a big hall so that one can be easily retrieved; and recording steps taken in an organisation so that one could see what happened from an administrative and legal point of view. All the interview participants confirmed that they had never been offered a course/training or briefing in records management. While most of the participants admitted that records management was part of their responsibilities, they confessed that it was time consuming. They did not feel motivated to do it and hated doing it and they confirmed that this was because they lacked guidelines and the knowledge to manage the records. Lack of training in records management meant that people did not exactly have a full understanding as to why they had to take care of the records other than being able to execute their work. Some of the interviewees confessed that their records management skills were not good. Those who maintained their own systems confirmed that this was not good for the municipality because it personalised organisational knowledge.

Those who maintained their own systems confirmed that this was not good for the municipality because it personalised organisational knowledge

KNOWLEDGE OF THE LEGAL FRAMEWORK GOVERNING INFORMATION

The majority of the officers in the Swedish municipalities understood the Public Access and Secrecy Act and cited it as the law governing the management of public records. The Swedish interview participants further made reference to other specific laws that governed the different municipal functions. The interview participants were positive about the

fact that public records were governed by a legal framework because it acted as a guideline but also protected public records.

In municipality C a majority of the interview participants did not put a lot of emphasis on the right for the public to access public records. However, there were departments that were highly regulated by law like the building permit unit and here the officers involved were very emphatic regarding the requirements put on the documentation of the cases they handled. The officers in municipality C were expected to find out by themselves the laws that governed the records they generated. The majority of them did not know these laws but expected the archivist to guide them. This fact complicated the management of records.

The majority of the interview participants in all the three case studies did not have a clue of the archival laws which detail how public authorities should handle public records. The focus was mostly on the specific laws that governed the different municipal functions and these laws required proper documentation. The archival law was only known to the people who directly worked with records and archives management issues.

CONCLUSION

Effective records management is the basis of business efficiency and it is through robust records management regimes that the right to access public records can be upheld. Records are however created, captured and used by people with the help of information systems. The people's understanding of the importance of records management as a function therefore plays a key role if the records are to serve the purposes for which they are created. As investments in e-Government development continue, records management training programs should be part of the agenda because the electronic environment requires an understanding of the importance of planning and managing records prior to their creation.

The interviews revealed that the records management function in the two Swedish municipalities was more developed. All the interviewed employees knew that it was important to handle public records well. The majority however did it as a matter of routine since no systematic records management courses were offered. The municipal employees relied on the registrars, their work experience and consultation with their immediate bosses, some of whom were looked upon as experts. The Swedish municipal employees therefore were quite confident regarding their skills to manage public records and ranked themselves highly. This did not mean that all was well because lack of training meant that there were officers and heads of units who were not at all confident in the management of email correspondence.

In municipality C, lack of a fully developed records management system and registry function meant that the management of public records was inadequate. This led to the development of personalised records management systems. The municipal employees lacked confidence when it came to judging their information management skills. They were not offered training and the organisation lacked a records management policy. Even though records were

important to the different business processes, they were poorly managed especially email correspondence.

Both the Swedish and Belgian citizens are guaranteed a right to access public records but if this right is not to be compromised, records management training programs should be part of the e-Government development agenda. This should further include knowledge of the legal framework that governs public records. In conclusion, this study confirms that knowledge in records management still matters and is required amidst e-Government development. Despite the fact that we are all records creators, there is still need to educate people about the role of records management in government authorities. Furthermore, the effective use of records in order to achieve business success hinges on the organisational employees' records management skills. Since e-Government is about the use of information technology, information and the development of government employees' competencies, more investments need to be put in the training of personnel in records management issues especially where the digital information landscape is concerned. ❖

ABOUT THE AUTHOR

Proscovia Svärd is a Ph D Candidate at the Faculty of Humanities, University of Amsterdam. She did her licentiate research at Mid Sweden University, Sweden. She has worked as an Archivist, Research Administrator for the Program on Post-Conflict Transition, the State and Civil Society and Project-Co-ordinator for a Nordic Documentation Project on the Liberation Struggles in Southern Africa www.liberationafrica.se at the Nordic Africa Institute, Uppsala, Sweden. She has a Licentiate Degree in Data and Systems Sciences, BA and MA in Archives and Information Science and a B Sc in Media and Information Science.

Her research interests are; Enterprise Content Management, Records Management, Long-Term Preservation of Information, Truth and Reconciliation Commissions and their documentation processes, the Role of Archives in Enhancing Accountability and Transparency in Government Institutions, Information Access and the link to Democracy and Development.

✉ She can be contacted at P.Svard@uva.nl

Bibliography and references

1 The Freedom of the Press Act: SFS 1949:105 at: http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/Tryckfrihetsforordning-19491_sfs-1949-105/

2 Constitution of Belgium, 1994. http://www.uni-wuerzburg.de/law/be00000_.html.

- Creswell, J W (2007). Qualitative Research & Evaluation Methods. (3rd e.). London, Sage Publications.
- Grimshaw, A (1995). Information culture and business performance. *Information Strategy Report 2*. Hertfordshire, HERTIS Information and Research 74.
- Gränström, C., Lundquist, L. and Fredriksson, K. (2000). *Arkivlagen, Bakgrund och kommentarer*. Göteborg, Graphic Systems AB.
- McKemmish, S (1997). Yesterday, Today and Tomorrow: A Continuum of Responsibility. Proceedings of the Records Management Association of Australia 14th National Convention, RMAA, Perth at: http://www.sims.monash.edu.au/research/rcrg/publications/recordscontinuum/smckp2
- McLeod, J, Childs, S and Hardiman, R (2011). 'Accelerating positive change in electronic records management: headline findings from a major research project." *Archives and Manuscripts, The Journal of the Australian Society of Archivists* Vol. 39 (No. 2): 65-93.
- Patton, Q M (2002). *Qualitative Research & Evaluation Methods*. London, Sage Publications.
- Porter-Roth, B (2006) Applying Electronic Records Management in the Document Management Environment: An Integrated Approach, White Paper at: http://docushare.xerox.com/pdf/docushare_RM_whitepaper.pdf (accessed 2013.08.05).
- Reed, B (2005). *Records in Archives: Recordkeeping in Society*, Eds. McKemmish, S., Piggott, M., Reed, B. and Upward, F., New South Wells, Centre for Information Studies.
- Shepherd, E., Stevenson, A. and Flinn, A. (2010). 'Information governance, records management, and freedom of information: A study of local government authorities in England.' *Government Information Quarterly*, Vol. 27 (No. 4): pp. 337-345.
- State Records Authority, New South Wales Government. (2003). Recordkeeping In Brief 32 – Promoting better recordkeeping at: https://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/recordkeeping-in-brief/recordkeeping-in-brief-32 (accessed 2013.08.06).
- State Records Authority, New South Wales Government. (2004). 'Building Better Records Management Skills.' 2013.08.05, from http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/documents/recordkeeping-guidelines/Building%20Better%20Records%20Management%20Skills.pdf (accessed 2013.08.05).
- United Nations Department of Economic and Social Affairs (2012) United Nationsl E-Government Survey. World e-Government rankings at: http://unpan1.un.org/intradoc/groups/public/documents/un/unpan048065.pdf (accessed 2013.03.20)

View from the floor


Julie Shepherd

inForum 2013 took place in Canberra from 8-11 September at the National Convention Centre, with records and information management professionals gathering to explore the theme of Information Governance. Here's the wrap-up on the event.

By **Julie Shepherd** ARIM

Congratulations to all those involved in yet another successful inForum convention, from the staff and volunteers of RIM Professionals Australasia to the impressive and motivating round of presenters to the large number of professional industry supporting exhibitors that all contributed to a most exciting and mind-blowing three days.

My journey commenced with the Newbies session on Sunday afternoon where Chris Fripp and other members of the RIM Professionals Australasia board joined with some of us oldies to familiarise those new to RIM and inForum events as to what to expect over the coming days. It was pleasing to see almost 20 new delegates at this session all keen and eager to learn more about our ever-changing industry. The content of the presentation was excellent in that it provided a greater understanding of RIM Professionals Australasia as a company, how it is set up and who members can turn to for assistance if required through the branches, chapter representatives and other events.

Having had the chance to speak with some of the newbies, it made me realise that records and information management is pleasingly still alive and inspiring to many.

Kate Walker, CEO RIM Professionals Australasia, also spoke about how successful the WA mentoring program had been and how the company hopes to use this as a role model across the state branches to help assist and guide people through the transitions of information management. We hope to hear more about this in coming months.

For those technologically savvy people, this was also the first inForum where tweets were sent during the entire event, (#inforum13) ensuring you did not miss out on anything. Thanks Paula…

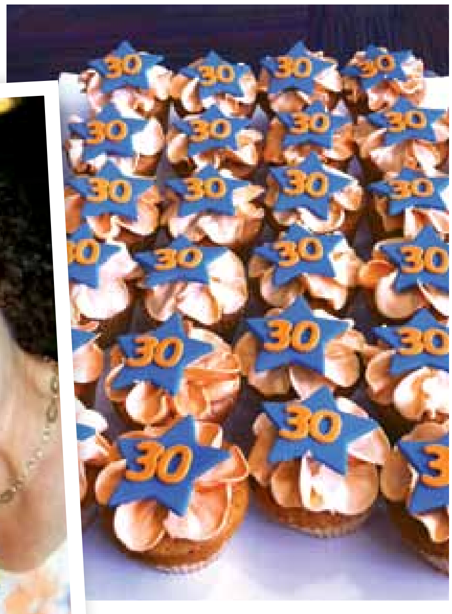
A sad farewell to our outgoing RIM Professionals Australasia Chair – David Pryde, who has decided it's time to step down from this role to focus on his own work in New Zealand with the dream of moving to Australia in the not too distant future. With this move, we now welcome another industry professional Debbie Prout ARIM to the Chair position. Congratulations Deb and all the best in your new role, I have no doubt you will bring new innovative ideas to the table.

COMMENTS FROM NEWBIES

"I can't wait for the speakers to start, I am both excited and nervous about listening to what they have to say"

"I no longer feel alone in a jungle of information knowledge and technology"

"I am hoping to learn new and exciting aspects of the industry that will hopefully help me better understand where I am and where I am going"



DAY ONE AND WITH THE WELCOME RECEPTION OVER, IT WAS TIME TO GET DOWN TO IT…

The theme of this year's inForum was Information Governance. There was an excellent range of speakers who all seem to make one thing clear: "This is a big deal; define it in its widest sense to best suit your organisation and embed it."

The overview I took from the presentations I attended was that information and data is a strategic asset that supports the business, so make sure your organisation understands what information governance is and what it means and do what is needed to ensure its adoption.

Chris Fripp from Relevancy Pty Ltd set the scene on Monday morning with the first of many fantastically informative presentations. His topic was 'Generation Touch: Managing information in the future,' and he gave a practical, believable and quite enlightening view to exploring what recordkeeping may look like in 20 years' time. This alerted everyone to the fact that the technology shift is changing rapidly and the next generation (Generation Touch) will be oblivious to most of the technology of the past. Desktops and notebook computers are on the decline, being replaced with touch-based tablets and smart phones, with voice recognition devices also being vastly improved. Paper documents will be a thing of the past, just like the baby boomers if we don't keep up with the pace. So get ready, the virtual office may not be far away, ensure metadata/taxonomy/security are in place, integration is working seamlessly, be prepared for the 2015 digital transition, enable system automation wherever possible, make touch screens available and ensure quality controls are in place to meet compliance and reduce potential cyber-attacks. Just a few things to think about.

Kerri Siatiras then reminded us in her presentation what information governance means for our profession – staying visible, relevant, building skills and competencies and keeping up with the new approaches and technology. By having all this in place, it will assist in reducing risk of information, decreasing costs, improving ability to find and reuse data, and manage information/ data effectively over its lifecycle.

Gartner's definition of information governance is the specification of decision rights and an accountability framework to encourage desirable behaviour in the valuation, creation, storage, use, archival and deletion of information. It includes the processes, roles, standards and metrics that ensure the effective and efficient use of information in enabling an organisation to achieve its goals.

Paula J Smith from OpenText NZ gave a presentation entitled: 'Beyond compliance: Information governance, the enabler of productivity, efficiency and collaborative working'. A blunt but practical view – some may ask… what is the difference between information governance and information management? Although it is thought that 'information at rest can be information at risk', governance must also be seen in terms of 'value and opportunity, not merely risk'. From this, I took the following: define what it means to you, make sure it fits your organisation, keeping it practical, audit what you currently have, define your scope, set principles and approach, assign roles and responsibilities and create a framework that ties governance to accountability that is designed to encourage the right behaviour.

Remember the people that produce and use the information are the people who know its value, ensure they know the right thing to do with it. Accurate capture of metadata and the requirements around it can assist with information governance challenges.

Gartner states: The root of all of our problems with information, and we do have lots of problems with it, is the fact that there is no accountability for information as such.

Clockwise: L to R: Debbie Prout, Lisa Read-White and Jennifer Curley; Cupcakes to celebrate the 30th annual inForum convention; L to R: Thomas Kaufhold, Ross Thompson, Norman Lewis, Eileen Tannachion; Delegates at the RIM Professionals Australasia trade stand; The stage where inForum 2013 took place; L to R: Paula J Smith and Donna-Maree Findlay

COMMENTS FROM PARTICIPANTS

"Get away from the office for a few days, soak up some new ideas different points of view, and come back refreshed, affirmed and ready to take on the world!"

Margaret Mikulin, Austin Health, Vic

"inForum continues to offer excellent value for money and valuable networking opportunities for all attendees"

Ian Aird, Holroyd City Council, NSW

COMMENTS FROM PARTICIPANTS

"RIM Professionals Australasia is full of talented and passionate professionals. It is an honour to mingle with them"

Chris Foley, Foley Business Consulting, Vic

"It is nice to be in the company of people who are passionate about a topic which is misunderstood or ignored by the majority of the business population and seeing them unleash that passion because they have plenty of people to share with that do care"

Kevin Dwyer, Change Factory, Vic

I could go on and on about the content of the presentations and how much I got out of them. In saying that, be sure to view the presentations on the RIM Professionals Australasia members-only website and form your own opinions. (members.rimpa.com.au)

This year inForum was supported by 35 industry trade exhibitors who continue to help mould this into an extraordinary event with their professional displays, industry knowledge, willingness to assist and of course those fantastic give-aways. Congrats to all those winners… Some of these vendors also conducted workshops based again around information governance, from developing a governance framework, to managing information in organisations, to training the company to do records management, amongst others. All of them very informative, just not enough time in a day to take them all in.

Above: Delegates on the Australian War Memorial site visit; Right: L to R: Debbie Prout, Mike Kirkby, Wendy Morris, Alex Bialocki

Amongst all these presentations there were tours organised to the National Library of Australia, Australian War Memorial, National Gallery of Australia, National Museum of Australia and National Archives of Australia (yes we were in Canberra).

I was lucky enough to tour the National Film and Sound Archives – in a word, *AMAZING*… If you are ever in Canberra, add this to your list of things to do. Our group was privileged to be able to take a look behind the scenes and witness firsthand how archival films and sound recordings are restored for the future in a new format if needed and the originals brought back to life where possible. We heard music that was recorded on wire, then played back on specially designed equipment to enable capture to modern day sound formats. And we viewed unreleased film from the capture of Ned Kelly (a re-enactment – with some of the real footage inserted) – and remember 'Skippy' the bush kangaroo? That's a tune most of us will always remember… well, they have it all.

Top it all off, there was the social event of the year – The Garden Party formal dinner. A great time was had by all… There was scrumptious food and music that made you want to dance all night (just ask me). As for the delegates in attendance, let's say they dressed for the occasion with characters from *Alice in Wonderland* taking out the best dressed prize, and Ezescan, the major supporters of the event, dressing for the occasion as the flying critters that you would typically find in your garden.

The night commenced with the announcement of the recipients of all of the RIM Professionals Australasia awards (see page 50). Congratulations to all those winners, the Branches and the chapter groups who put in such a huge effort each year to ensure industry information is being presented across their respective states. Well done and keep it up. These were followed by the Jim Shepherd Award and the J Eddis Linton Awards announcements, and then plenty of dancing.

But it all comes to an end until next year, bigger and better, see you all in Adelaide… ❖

➲ **Contact kristen.keley@rimpa.com.au if you would like to receive a 50% discount on an earlybird registration next year by committing to write an *iQ* article about your attendance at inForum 2014.**

Fancy Dress winners at the Gala Dinner,
L to R: Gavin Parton, Michelle Dean, Nancy Taia, Meryl Bourke

INFORUM 2014 – WHAT'S NEXT?

7-10 September, Adelaide Convention Centre

The records and information management industry is faced with a constantly evolving environment.

- What challenges lay ahead for the industry and its practitioners?
- Do our foundation methodologies and practices remain solid and true or should they be reviewed and challenged in the face of the electronic era?
- Have past approaches to change management, gaining management buy-in and introducing or upgrading systems and technologies been successful?
- How can we learn from our successes and failures?
- What do practitioners need to do not only to keep up but to grow and flourish?

➲ **Call for papers released in August *iQ* and available on the inForum website.**

Elizabeth Charlton

inForum 2013 from a RIM student's perspective

From 'Newbie' to feeling part of the profession – inForum meets new participant's goals

By **Elizabeth Charlton**

After nearly two decades in teaching, it was time to consider a change in career with records and archival management being my choice.

I selected the DipRIM through the Open Polytechnic of New Zealand, which is an institution providing tertiary education solely by distance. In the course information on Moodle, is a link to RIM Professionals Australasia's website, so I signed up for a student membership and made the commitment to attend inForum. I would also like to acknowledge RIM Professionals Australasia's support for students by subsidising my attendance.

The first thing I noticed when checking out the programme was the Newbie session. I was impressed that RIM Professionals Australasia catered for those who had never attended inForum. I was tickled pink to receive my smiley face badge identifying me as a Newbie. It definitely helped break the ice at the Welcome Reception. Apart from my badge, I also got to meet Laura and Lynda, students in the OUA programme. After spending nearly two semesters sitting by myself, it was wonderful to make contact with other students even if they were not in the same programme. It was interesting to compare our courses and assessment tasks.

My main objective from attending inForum was to get some understanding about EDRMS. I wanted to prepare myself for next semester's study. The last time I worked for an organisation big enough to have an EDRMS was in 1996 and from what I can remember records management was not highly promoted when using the LAN. Did EDRMS exist then? Anthony Woodward's presentation and demos of Recordpoint have made me feel less daunted about tackling the paper as I know have a concept to refer to. In fact a post came up on the NZ Records listserv about capturing Tweets a couple of weeks after the conference! I was really chuffed that I knew of one option to do this.

Liz Kofsy's "Don't let perfect be the enemy of good" was reinforced to me by Andy Carnahan when discussing writing a business plan to create an online presence for an archive (my last policy and planning paper assignment). Michelle Linton's example of Jenny Scott using Flickr also assisted me with the same assignment.

Networking is of course another important function of inForum. Meeting other New Zealand Branch members was beneficial, especially when I attended another function back in NZ and didn't need an introduction as we'd already met in Canberra. I already feel that I'm part of the profession.

I left Canberra with my goals met.

⇛

Thanks to the exhibitors/vendors

In this report, Linda Shave – who won this year's J Eddis Linton award for Information Proficiency Most Outstanding Individual, as well as writing the Recall Article of the Year – considers the theme of Information Governance at this year's inForum and thanks the exhibitors for bringing fresh ideas and products to the convention.

By **Linda Shave**

Information can be said to be the lifeblood of any organisation. Despite the many ways in which technology makes sharing information easier, it is unarguable that controlling, managing, processing, storing, protecting and analysing information has become more complicated. A business capacity to handle information depends upon a number of aspects including establishing a strategic framework for information management, one that defines how information is collected, analysed, controlled, accessed, used, managed and preserved.

With this picture in mind, inForum 2013 provided a full program of presentations and workshops with presenters sharing their knowledge and experiences. These presentations and workshops stimulated lunch break discussions and inspired many of the delegates.

The theme of Information Governance continued into the exhibition arena. These RIM Professionals Australasia events continue to thrive because of the sponsorship and support delivered by exhibitors/vendors. The exhibition area provides delegates and visitors with a glimpse of the latest products, tools, services and ideas. This year was no different with 35 stands that could be grouped into eight categories: EDRM, Education, Products, Professional Organisations, Scanning, Services, Storage and Recruitment.

So what is information governance and the strategic goal for records and information managers/professionals?

The strategic aim of information governance is to define and optimise enterprise programs in order to improve processes to manage information assets, reduce costs, manage risk and enable sound disposal of unnecessary data including records. Information governance when properly implemented is an enabler that increases eDiscovery efficiency, security and privacy to ensure regulatory obligations are fully satisfied.

A sound information governance program should have a 'policy, procedure and a set of processes' that incorporate a holistic view of all 'information assets' across the entire business. To achieve this business, IT and information and records managers need to collaborate to determine what information has ongoing value, what information is required for regulatory purposes, how long to keep it, ongoing migration/preservation and retention strategies regardless of the type, format or location of the information asset.

A WEALTH OF KNOWLEDGE

In analysing this definition, one can identify that information governance has a number of components such as: identifying content; managing risk managing security; enabling sound disposal, migration, preservation and retention strategies; and reducing costs.

Exhibitors and vendors provide a wealth of knowledge as well as offering a range of products, information, ideas and/or services. By focussing on just one point from the above list of components, relating it back to a particular exhibitor or vendor

COMMENTS FROM EXHIBITORS

"Every year we make new acquaintances and attract new clients to our products which shows the need to be involved in this industry and help where we can to assist providing quality information management tools."

"Wow what a busy week, such a good turnout and well organised."

Clockwise from top left: Objective, Ezescan (dressed as bugs), Fujitsu, Linked Training and Change Factory, The One Umbrella, Recall, Avision

ABOUT THE AUTHOR

Linda Shave is a researcher, consultant and analyst in areas of virtual information asset management, business process management, workflow automation, corporate governance and risk management. She is a former CEO, CIO and is a member of numerous professional organisations.
She can be contacted at linda.shave@bigpond.com

and taking the time to discuss the topic with them we can enhance our knowledge as information and records officers, managers and professionals and this may enable us to contribute to future initiatives.

As a RIM Professionals Australasia member, I am certain I speak for everyone when I say a big thank you to the exhibitors/vendors for their continued sponsorship and support, and in making these events a success by bringing fresh ideas and products to the table. Thank you also to the presenters for their time and contributions and the RIM Professionals Australasia staff who work tirelessly behind the scenes.

The future of information governance will hinge on automation and being agile in continually evaluating policies and adapting them to business priorities and drivers. Continuing to apply a paper paradigm of policies and processes will *not* scale to the size of the challenges ahead in the digital era. They will no longer work as we move forward beyond 2014 and embrace the next steps in our changing landscape.

Next year's inForum 2014 'What's Next?', to be held in South Australia, is an excellent and timely theme and should provide a glimpse of what we can expect from 2014 and beyond. So book this in your diaries. ❖

OUTSTANDING ACHIEVEMENTS AWARDED

The RIM Professionals Australasia Awards were presented at inForum 2013.

J EDDIS LINTON AWARDS 2012-13

Named after J Eddis Linton, one of the founders of RIM Professionals Australasia, these awards recognise excellence in records and information management and celebrate his outstanding contribution to records and information management. The winners in each of three categories wins a Coles Myer Gift Card valued at $500 and a plaque valued at $250.

Information Proficiency Most Outstanding Individual

This category is aimed at those RIM Professionals Australasia members who have achieved excellence in records and information management and contributed highly to the profession. This award can be self-nominated or nominated by an independent person or group.

Speech and award presentation by:
Lisa Read-White,
Information Proficiency
Winner: Linda Shave
Award accepted by: Linda Shave

L to R: Linda Shave, Alex White and Lisa Read-White (Information Proficiency)

Linda has spent a lifetime acquiring knowledge and experience as a researcher, senior business consultant and analyst in the areas of information management, business process management, workflow automation and corporate governance in the public and private sectors in Australia and overseas. Linda was the recipient of the ComputerWorld Honors Program in Washington DC. She has chaired and presented at numerous national and international conferences, has published numerous articles and has gained recognition as a specialist in providing streamlined business solutions that drive continuous improvement, benefit realisation and governance.

Ezescan Most Outstanding Group

This category is aimed at those RIM Professionals Australasia members who as a group have achieved excellence in records and information management and contributed highly to the profession.

Speech and award presentation by:
Mike Kirkby, Outback Imaging
Winner: Logan City Council for the for the Allconnex Water Disestablishment Records Transition Project

L to R: Meryl Bourke and Mike Kirkby

Allconnex Water was established in July 2010 and was made up of the Logan City, Redland City and Gold Coast City Council water divisions, with Logan City Council providing services under a number of Service Level Agreements. In February 2012, the State Government passed legislation that Allconnex Water would become a disestablished business. This meant that from the 1 July 2012, each council would take back control and management of water and wastewater services for their respective communities.

The Records Transition Project was one of many key areas identified as a critical business function. The project team was led by Logan City Council's Records Management Program and the total number of records to be tagged was almost 200,000. The transfer of records included both physical and electronic records and Logan received approximately 45 archive boxes of physical records and over 30,000 electronic documents.

Major issues included the extraction of records from the RecordPoint system to an acceptable format for all Councils to migrate as well as the loss of valuable knowledge and resources through key corporate services staff leaving during the project.

The Records Management Program developed a change management strategy to assist the water staff transitioning back to Council. They developed tip sheets, provided training, held regular meetings and updates and placed a Records staff member at one of the major water depots on the first day of transition to assist with any matters. They also needed to develop a contingency plan, so that staff could still access records after the disestablishment of the business and prior to the migration.

Although past the initial deadline, the reclassification project was finalised by the Records staff in January 2013.

Records Solutions Student of the Year

This category is awarded to a student who has achieved excellence in educational studies in records and information management. The award is open to both full-time and part-time students who have completed a dedicated records and information management course in the previous 12 months (July to June).

Speech and award presentation by:
Anne Cornish, Records Solutions
Winner: Nicole Thorne-Vicatos

JIM SHEPHERD AWARDS 2013

Awarded to vendors in recognition of their services to the records and information management industry and their ongoing support of RIM Professionals Australasia. The winner receives a plaque valued at over $500.

Winner: Objective Corporation
Award accepted by: Jordan Reizes

L to R: Jordan Reizes (Objective) and Debbie Prout (RIMPA Chair of the Board)

RECALL ARTICLE OF THE YEAR AWARD

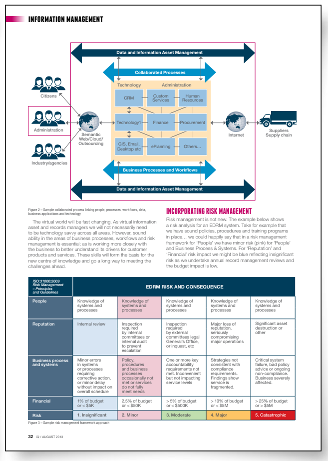
Recognises quality written contributions to *iQ* magazine in the previous 12 months. The winner receives a framed certificate and a Coles Myer Gift Card valued at $300.

Speech and award presentation by:
Graham Estreich, Recall
Winner: Linda Shave for her article 'The changing landscape of information and records management'

L to R: Graham Estreich (Recall), Linda Shave, Debbie Prout (RIMPA Chair of the Board)

INFORMATION MANAGEMENT

The changing landscape of information and records management



INFORMATION MANAGEMENT

INCORPORATING RISK MANAGEMENT

How you can be in the running for the 2013-14 Article of the Year award

Every article/paper published in *iQ* between now and August 2014 automatically goes into contention for the 2013-14 Recall RIM Professionals Australasia Article of the Year Award. There is no need to fill in an entry form. As always, the judges will be looking for articles that inform, engage and inspire readers, while displaying the author's sound knowledge of their subject. So, set to work on your potentially award-winning article today.
➲ Send *iQ* submissions to editor.iq@rimpa.com.au.

R·I·M
Professionals Australasia

Directory

Chair
Debbie Prout ARIM
Email prout.consulting@bigpond.com

CEO
Kate Walker FRIM
Email kate.walker@rimpa.com.au
Mobile 0409 250 795

Membership & Customer Services Manager
Maree Cooper
Email maree.cooper@rimpa.com.au

Finance Officer
David Webb
Email david.webb@rimpa.com.au

Marketing & Convention Officer
Kristen Keley MRIM
Email kristen.keley@rimpa.com.au

Branch Manager, & Sales & Sponsorship Coodinator
Wendy Morris
Email wendy.morris@rimpa.com.au

Address for all:
PO Box 276
St Helens TAS 7216

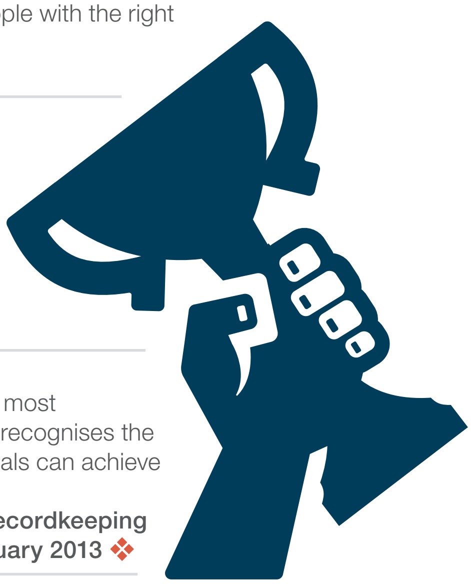
BRANCH RECOGNITION AWARDS 2013-14

- **Most Active Branch**
  Based on the number of events held by the branch in the past financial year excluding Chapter events.
  Winners: Co-awarded to ACT Branch and SA Branch
- **Most Active Chapter**
  Based on the number of events held by a Chapter in the past financial year.
  Winner: NSW Local Government Chapter
- **Most Unusual Event**
  Based on a RIM related event with a different approach or unusual topic or name.
  Winner: ACT Branch for 'Under the tip of the iceberg'
- **Best Attended Branch Event**
  Based on the number of participants who attended a single event.
  Winner: Queensland Branch
- **Most New Members**
  The Branch which had the largest number of new members by percentage.
  Winner: Queensland Branch
- **Best Newsletter**
  The Branch newsletter deemed to be the most informative and visually interesting.
  Winner: Queensland Branch

RUMPELSTILTSKIN AWARDS 2012-13

Recognises quality contributions to the RIM Professionals Australasia Listserv.

- **Listserv / Forum Discussion Award**
  This award category recognises optimal usage of the technology to share and exchange information in a group setting.
  Winner: Jessica Lawrence – 'Business Classification Schemes' posted on 26 March 2013
- **Listserv / Forum Newsletter Award**
  This award category recognises the effective utilisation of the technology to disseminate newsletters. The award is presented to the most excellent electronic newsletter with the highest standards, effectiveness, overall creativity and value.
  Winner: The One Umbrella
- **Listserv / Forum Announcement Award**
  This award category recognises excellence in one way announcements. The award is presented to the most outstanding announcement that demonstrates the ability to reach the right people with the right information at the right time.
  Winner: The One Umbrella
- **Listserv / Forum Innovation Award**
  This award category recognises overall innovation in the implementation of Listserv / Forums.
  Winner: Alison Toohey for seeking input on 'Developing e-learning modules for Knowledge Services Training' posted on 24 September 12
- **Grand Prize**
  The Grand Prize honours the 'author' with the most successful and beneficial posting. This award recognises the positive results that organisations and individuals can achieve using email list / forum technology.
  Winner: Vincent Ishwar – 'Legal basis for recordkeeping in Private organisations' posted on 22 January 2013



recall™
Your Information. Securely Managed.

GO DIGITAL

& MAKE YOUR DOCUMENTS WORK SMARTER TODAY.

Are you ready to leverage the intrinsic value of your information, automate your business processes and cut operating costs?

With Recall's highly-rated ReView™ powered by OnBase®, you can.

ReView is an Enterprise Content Management (ECM) software suite that can capture, store, manage and distribute digitised information within a single department or across an entire enterprise.

ReView enables users to:

- Reduce time and cost to perform important business functions
- Improve organisational efficiency and workflow
- Consistently comply with industry regulations and corporate policies

ReView is applicable to companies in virtually any industry including financial, insurance, medical, government, business services, consumer/packaged goods and others. It can support specific departments or functions such as Accounts Payable, Accounts Receivable, Human Resources, Contract Management, Claims or Forms Processing, as well as other paper-intensive activities in today's business environment.

As a global leader in lifecycle information management, Recall has the experience, people and facilities to expertly protect and secure your information. Our comprehensive menu of services includes physical storage, digital management, data protection and secure destruction.

To make the digital leap securely, contact us today at recall.com.au

CONTACT US:

Call 13 RECALL – 13 7322 55
moreinfo@recall.com
www.recall.com.au

RIM Professionals Australasia supports members' professional development throughout their careers

R·I·M
Professionals Australasia

Career website
careers.rimpa.com.au

Recognised Courses & CPD Scheme
rimpa.com.au/professional-development/