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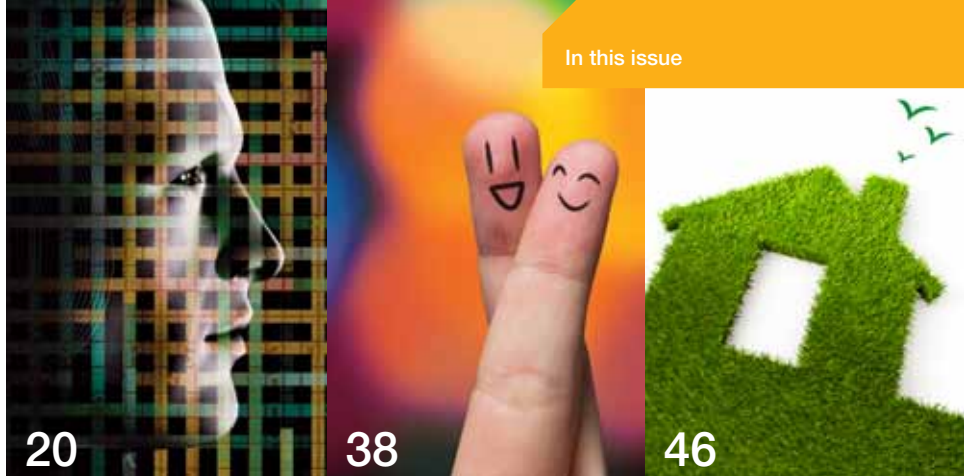
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## From the CEO

### KATE WALKER

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Chief Executive Officer,  
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Professionals Australasia

# Why do we need to plan our professional development?

**Records and information management (RIM) professionals play a critical role in helping organisations assess, acquire and deploy RIM services. At the same time, they face unprecedented challenges in communicating the value of their role and managing end-user expectations. To help meet these challenges, RIM Professionals Australasia provides training and tools to enhance professional development. It has a special focus on strategies to demonstrate the value of professional information services.**

The answer to the question as to why we need to plan our professional development comes from the fact that we live in an ever-changing society. The world of business does not stand still. Technology has become indispensable to organisations' activities. The primary emphasis is that information needed by businesses is provided by technology and that, to ensure that the required qualities of information are met, the RIM and IT processes need to be controlled.

Certifications such as ARIM (Associate Member), MRIM (Chartered Member) and FRIM (Fellow), with their continuing professional development requirements, have been drivers for professionals to maintain their currency and skill levels to practice their professions.

Today around the world, reports of white-collar crime, information theft, computer fraud, information abuse and other information control concerns are being heard more frequently. Yearly reports have made organisations and management more information-conscious of the pervasive nature of information and technology across the business enterprise. The increased connectivity of systems and open system environments has proven to be the lifelines of most business entities. RIM technology is used more extensively in all areas of business.

Due to the rapid diffusion of computer technologies and the ease of information accessibility, knowledgeable and well-educated RIM professionals are needed to help ensure that more effective controls are in place to maintain data integrity and to manage access to information.

Essentially, technology has made three significant impacts in the business environment. First, it has impacted what one can do in business in terms of information and as a business enabler. It has increased the ability to capture, store, analyse and process tremendous amounts of data and information. This has empowered the business

decision-maker many times over. It also has become a primary enabler to various production processes and service processes. It has become a critical component to business processes. There is a residual effect in that the increased use of technology has resulted in increased budgets, increased successes and failures and increased awareness of the need to control.

Second, technology has impacted controls significantly. While control objectives have in large part remained constant, except for some that are technology-specific, technology changes have altered the way systems should be controlled. Safeguarding assets as a control objective remains the same, whether manual or automated. However, the manner through which the control objectives are met certainly is impacted.

Third, technology has impacted the profession in terms of how audits are performed (information capture and analysis, control concerns) and the knowledge required to draw conclusions regarding operational or system effectiveness, efficiency and integrity, and reporting integrity. Initially, the impact was focused on dealing with a changed processing environment. As the need for RIM officers with specialised skills grew, so did the beginning of the RIM professional association.

## WHY PROFESSIONAL DEVELOPMENT PLANNING IS IMPORTANT

Professional development is as important to an individual's career as it is to the company which commits training and resources to this position. A professional development plan and path offers the opportunity to grow, in turn upgrading the level of services one can provide an organisation. If an individual is not offered a career path and development program, the chances of poor performance and turnover are high.

An organisation must recognise that a RIM professional with the proper mix of training (formal and on-the-job), development of designated skills, and increased level of knowledge and abilities provides a valued resource for managerial positions in corporate, compliance, informatics and other operational areas. Among the various types of incentives for a professional, career advancement is one of the most effective. In recent surveys, some professionals rank career advancement higher than monetary reward.

In today's environment, professional development planning for RIM staff in most organisations is insufficient. This is due largely to pressures of time and



job performance. In most instances, individuals do not receive an appropriate mix of training and experience to adequately develop their knowledge, skills and abilities to progress within the organisation. Thus, the career ladder and options open to the individual are not planned, nor formally defined, resulting in turnover and losses to outside organisations.

How does a RIM professional or organisational management design, develop and implement a professional development plan? The process of matching individual career paths with organisational objectives is not easy. Professional development is an important element to any organisation; it should not be overlooked. The key components of such a plan are a defined career path with experiential development, training, and expected knowledge, skills and abilities to be achieved as a person progresses up the career ladder.

A key point management should remember is that a professional development plan must be a viable, workable concept supported by management. It should not be another sales pitch to potential employees or a

false promise to staff. Employee motivation and trust will be lost if they find out that the plan does not exist. This is when organisational management can lose its credibility with staff.

A functional and fully successful professional development plan should consist of at least six major areas, which are to be integrated into an established process within the organisation. These areas are:

- 1 career path planning with management support
- 2 definition of knowledge, skills and abilities
- 3 performance assessment
- 4 performance counselling/feedback
- 5 training
- 6 professional development.

Each of these elements is a necessary component of an effective career development plan.



## PROFESSIONS AND PROFESSIONALS

Any profession may have some of the qualities suggested below in Table 1 (Wilensky 1964). These qualities may also be seen as stages through which an occupation or activity may go in becoming a profession. There is clearly overlap between stages, and not all stages may be essential.

QUALITY OR STAGE OF DEVELOPMENT	
1	The activity becomes a full-time job.
2	Formal training is instituted for the job.
3	The job becomes a subject of university study.
4	Professional associations are established.
5	Lobbying leads to practitioner licensing ( <i>RIM Professionals Australasia has been advised that currently they have chosen not to 'license' any professions that aren't health based – however, RIM Professionals Australasia does have certification of professionals</i> )
6	A formal code of ethical practice is developed.

Table 1: Qualities of a profession (Wilensky 1964)

Johnson (1970) suggests another list, this time of the main characteristics of a professional occupation. You will see similarities with and differences from Wilensky's list.

CHARACTERISTICS	
1	The presence of skill based on theoretical knowledge.
2	The provision of training and education.
3	Some means of testing the competence of members.
4	Organisation of the members.
5	Adherence to a code of conduct.
6	An element of altruistic service in which work is performed not solely for financial reward.

Table 2: Characteristics of a professional occupation of a profession (Johnson 1970)

Such structural or functional accounts of what it means to be a profession give way to other approaches. Freidson (1994) offers a range of perspectives. More recently Walker (2001: 192) describes how “Central to our redefinition of

## KNOWLEDGE AND VALUES SHOULD DEMONSTRABLY INFORM, EVEN DIRECT, PRACTICE

professionalism are our educational values and our struggle to live our professional lives in the ways which are most appropriate and consistent with the values and the moral purposes of our professional deliberations and action; our work thus turns on who we are and what we stand for.”

### POSSIBLE ELEMENTS OF PROFESSIONALISM

Looking at existing schemes and frameworks for professional development and, and with a nod to elements from Wilensky's and Johnson's lists, we can suggest that the professionalism may include:

- their *knowledge*, about their subject and about records and information management
- the *virtues / values / principles / codes* that inform their profession and development
- the *skills or capabilities* that they exercise in their work.

Knowledge and values must not simply sit alongside the skills, capabilities, purposes, or practices of a RIM professional. Knowledge and values should demonstrably inform, even direct, practice. Professionals are not simply characterised by what they can do, by their competencies. Rather they are characterised by what they do in fact do, and how and why they do it, and by what informs what they do, and how and why they do it. Perhaps they are characterised by how they live their professional lives. Thus the knowledge, values and capabilities of a professional are not best seen as a single list, or even as three lists. They are much more usefully seen and used as a matrix, with knowledge and values informing capabilities and hence action – and perhaps, demonstrably informing action. Knowledge about RIM, and even more so values and principles about RIM, come alive in the acts of RIM. **iq**

Kate



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## TOP AWARD FOR NZ SILENT MOVIES FINDS

An internationally renowned festival of silent film in Italy has honoured the New Zealand Film Archive with the 2011 Jean Mitry Award, the annual international prize for individuals or organisations "distinguished for their contribution to the reclamation and appreciation of silent cinema".

The Film Archive (NZFA) shares the award with the US National Film Preservation Foundation (NFPF), the Archive's partner in the collaboration to preserve 'lost' American silent-era films identified in New Zealand, the first time that the award has been shared by two organisations.

The festival, *le Giornate del Cinema Muto*, established by the north-eastern Pordenone province in 1986, made the award on 7 October 2011 ahead of a screening of the preserved reels of the British melodrama, *The White Shadow* (1923), the earliest surviving feature credited to director Alfred Hitchcock (1899-1980). The opening 35 minutes of the film were found at the NZFA by Leslie Lewis, a NFPF researcher, and preserved in Wellington at Sir Peter Jackson's Park Street, Miramar, studios.

NZFA Chief Executive, Frank Stark, said from Pordenone that it was an extraordinary night. "The award has really brought home to us what an impact the work of the Film Archive has made on the international cinema community.

All week, people have been coming up to me to thank us for what we have done."

Among the many rarities recovered through the multi-year repatriation initiative is the discovery of the only known print of US Director John Ford's comedy *Upstream* (1927), reported in *iQ* in May 2011.

Only a fraction of the American films created during the first four decades of motion pictures still exist in the United States. The silent films, however, had a worldwide popularity. Many works discarded in the U.S. survive as distribution prints were salvaged at the end of cinema runs decades ago. Most of the films recovered in New Zealand owe their survival to far-sighted collectors such as Jack Murtagh, from whose collection both *Upstream* and *The White Shadow* were unearthed.

## FROM ASIO TO THE NATIONAL ARCHIVES

**ASIO's deputy director-general of corporate and strategy David Fricker has taken over as the new director-general of the National Archives of Australia.**

Announcing the appointment in December 2011, Arts Minister Simon Crean said Mr Fricker's past management experience in the public and private sectors would be an advantage for the archives.

Mr Fricker, who has worked at the Australian Security Intelligence Organisa-



David Fricker

tion (ASIO) for the past 10 years, was involved early on as chief information officer, with responsibility for records and archives, as well as scrutinising previously classified records that were set to be released into the public domain. Before that,

he worked as a private IT consultant, and began his career in Canberra as a computer programmer with the Customs Department in 1979.

"It's a very, very exciting prospect, this new job, and a whole lot more than just looking at records," he told *The Canberra Times*.

"I come at thinking of it first and foremost as a goldmine of information for Australians to understand what is our constitutional democracy and what is the foundation for our federation, and just keeping our Commonwealth Government accountable. The opportunities ahead are quite outstanding."

Mr Fricker replaced Ross Gibbs, who left the Archives in April after eight years in the job, with the position filled since by temporary director Stephen Ellis.

Mr Fricker's appointment is for five years commencing on 1 January 2012.

## REDUNDANCIES AT THE ASA

**The Australian Society of Archivists (ASA) has announced the redundancies of its Executive Officer and Finance Officer positions.**

The decision was announced on 22 October 2011 at the ASA Council meeting.

"The financial position and viable future of the Society are the overriding concern of all Councillors," said Pat Jackson, ASA President. "In this context we have reluctantly taken the significant decision to make redundant the positions of Executive Officer and Finance Officer."

"There are consequences to this decision which will have an immediate impact on our operations. However the remaining Councillors have commenced planning transition arrangements."

In other changes at the ASA, Bill Shaw and Luisa Moscato have resigned from Council, and Steve Stefanopoulos has resigned from the position of Secretary/Treasurer, however he is filling a casual vacancy position.



20th Century silent movie melodrama, *Upstream* from 1927

INDUSTRY NEWS CONTRIBUTORS: MIKE STEEMSON, HEATHER MILLAR

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## PLUM UN JOB FOR MICHAEL HOYLE

Australian information and archives consultant Michael Hoyle has landed a plum digital recordkeeping specialist job with the United Nation's International Criminal Tribunal for Rwanda.

Michael will be preparing its records for handover to what the UN describes as the "successor organisation", a new International Residual Mechanism for the Criminal Tribunals (IRMCT). The work will involve four months' intensive consultancy at the Rwanda tribunal's headquarters in Arusha, Tanzania.

The temporary post runs until early February in which time Michael will make an inventory and appraisal of ICTR digital and unstructured records and record systems, and identify records required for the successor tribunal.

Soon after his appointment, he told *iQ*: "It all happened pretty quickly. I actually got word while I was in London and then had to negotiate it while working in Botswana and attending a meeting in Brazil. Flew home for a fortnight and then headed to Arusha. I've been living out of a suitcase for months..."

The Rwanda tribunal was established in 1994 and is due to close at the end of 2014. It will begin handing over to the IRMCT in July this year. The tribunal has indicted more than 90 people, held more than 50 trials and convicted around 30 on charges varying from genocide to 'war crimes' and 'crimes against humanity' during the 1994 Rwanda civil war.

Michael Hoyle was featured in the *iQ* 'RM's abroad' feature last May. Home-based in Seattle, USA, he has for some years been doing consultancy work in Africa, South Asia, the Middle East and the Caribbean independently and with the London-based International Records Management Trust. Previously, he worked in Australian public service agencies,



Professor Peter Grant



including regional offices of Australian Archives, and for 10 years with Archives New Zealand, becoming the organisation's Group Manager, Government Recordkeeping.

## NEW QGCIO APPOINTED

**Professor Peter Grant has taken on the new role as Queensland's new stand-alone Queensland Government Chief Information Officer (QGCIO).**

Minister for Information and Communication Technology Simon Finn, in welcoming Professor Grant to the role on 1 December 2011, said that he had been appointed following an extensive merit selection process that took place after the Premier's announcement to create the CEO level role in July.

"I'm very pleased that Peter will take on this role, which is the first of its kind in the nation," Mr Finn said.

Professor Grant brings over 40 years of experience to the position – half of which has been in the public sector. He has previously held senior executive roles across a range of State Government portfolios, including the Department of Public Works, Queensland Health and the Department of Transport and Main Roads (Queensland Transport at the time).

Professor Grant has also had senior roles in the private IT sector, including stints with Microsoft and Gartner.

The QGCIO will be responsible for whole-of-Government ICT direction including National Broadband Network master planning, effective working relationships with the ICT industry, and building ICT capacity development across the public sector.

## NEW ARL SPEC KIT ON DIGITAL PRESERVATION

**The Association of Research Libraries (ARL) has published *Digital Preservation*, SPEC Kit 325, which explores the strategies that ARL member institutions use to protect evolving research collections and the roles and responsibilities of stakeholders.**

ARL libraries were surveyed about their digital content, strategies for preserving that content, and the staff, time and funding they currently devote to digital preservation.

Each responding library was also asked to compare its digital preservation activities of three years ago to current activities and project three years into the future. In addition, to better understand the roles of research libraries in the emergent field of digital curation, the survey sought to identify issues that are and are not being addressed through current practices and policies.

The survey revealed, as the digital preservation field is maturing, that most ARL libraries are rising to the challenge of establishing policies, workflows, and infrastructures to systematically preserve their rapidly expanding bodies of digital content. The survey also revealed that most ARL libraries are actively engaging in in-house digital preservation rather than outsourcing it to external parties, thus maintaining their control and ownership over the digital content that they curate.

The SPEC Kit includes documentation from respondents that describes policies, procedures, and guidelines for digital preservation, cooperative agreements, job descriptions, and data management services.

- Go to <http://publications.arl.org/Digital-Preservation-SPEC-Kit-325/>





The website OccupyArchive.org

## THE DIGITAL ARCHIVES OF OCCUPYWALLSTREET

A number of museums and institutions have moved to archive both physical and digital paraphernalia associated with the evolving OccupyWallStreet (OWS) movement.

According to the Associated Press, at least six major US museums and organisations, including the Smithsonian and New York Historical Society, are collecting various material produced or linked to OWS – with the Museum of the City of New York opening an exhibition on Occupy in January 2012.

Meanwhile, OccupyArchive.org – hosted by the Roy Rosenzweig Center for History and New Media at George Mason University – has already collected approximately 2,500 digital items, including compressed files of entire Occupy websites and hundreds of images extracted from Flickr.

Material gathered from cities all around the world where Occupy movements took place – including Adelaide and Brisbane – can be found on the website.

## ABC TO OPEN ACCESS TO DIGITAL ARCHIVES

The ABC and Education Services Australia have garnered a \$20 million project to digitise the public broadcaster's archives for a new education portal the Federal Government hopes will promote use of the National Broadband Network.

The NBN Education Portal, announced jointly by communications minister Senator Stephen Conroy and school education minister Peter Garrett, will offer public access to ABC's archive and interactive content.

It would be specifically targeted at primary schools and linked to the school curriculum, allowing teachers to use the portal as a resource.

It would offer tutorials on Australian historical social issues and "self-directed interactive learning activities" such as games, quizzes and collaborative projects.

It is set to cost \$19.94 million over three years for set-up funds and ongoing content additions, and is separate from a \$27 million fund to promote new skills for use under the NBN.

## CANBERRA ICT SPEND HITS \$2.5BN

The Federal Government's ICT goods spend reached \$2.5 billion in 2009-10, with \$2bn going straight into the pockets of overseas vendors, according to a report in *The Australian* on 20 December 2011.

Local suppliers only accounted for \$407 million of the total for the top 12 categories, according to analysis of data from the Government's centralised procurement information system, AusTender.

In documents released to *The Australian* under Freedom of Information, Defence was responsible for almost half of all government contracting, consultant auditors Protiviti found in a spending review commissioned by the Finance Department.

Protiviti examined almost 80,000 contracts with commercial suppliers worth \$42.5bn during the 2009-10 financial year, compared with estimated spending of \$31.5bn a year earlier.

Services dominated federal spending, accounting for 66% of contracts at around \$28.2bn; spending on goods was around \$14.3bn.

IT consultancy services were worth \$765m during the period, with local suppliers only picking up \$852,000 – well under 0.1%. **iQ**

**Coming up in the May issue of iQ:**

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# Making the most of an audit opportunity



In November 2010, the Ministry of Fisheries got notice of its impending merger with Ministry of Agriculture and Forestry (MAF). We were, at that time, half-way through a records improvement program that involved tackling 15 years worth of legacy records, revisiting all of our policies and processes as well as a re-launch of an improved file plan within the Fisheries' electronic corporate management system. It was already looking like a very full work program for 2011 and so the last thing we wanted was to hear that we were on the list for a Public Records Act (PRA) audit scheduled for early in 2011! But, of course, that is precisely what happened.

We initially considered asking Archives New Zealand to defer the audit. It did not seem to make sense given the upcoming merger. However, the timing was not necessarily going to get any better so we took hold of the audit as an opportunity and used it as preparatory work for the move into MAF.

## RECORDS PROGRAM AND THE ISSP

At the Fisheries Ministry, we had already identified some significant holes in the records process through the development of our Information Systems Strategic Plan (ISSP). This strategy identified one of the 'quick wins': a project to ensure the Ministry's EDRM system was being properly utilised. Instead of considering a costly and perhaps unnecessary change in technology, we decided, as the first step, to identify the gaps in the underlying business processes, training and support, and correct these. This work was in-flight when the PRA audit started but it enabled us to take a strategic look at the value of the EDRMS as part of our record-keeping toolkit.

Part of the Improvement project was to take a risk management approach to the large legacy records issue that the Fisheries Ministry faced. Listing and storing the most at-risk material securely was underway. The intelligence gained for that work helped to inform development of a comprehensive retention and disposal schedule for Ministry records.

## SELF-AUDIT SHOWED THE GAPS

The self-audit, first step in the PRA process, enabled us to pause the work we were doing and take stock. It gave us the chance to stop and reflect on the gaps in our program, take a helicopter view of the program, see where we had made progress and

New Zealand's Public Records Act 2005 instructed Archives New Zealand to oversee five-yearly audits of recordkeeping processes in some 200 Kiwi public service departments. The audits began in earnest in 2011. The Ministry of Fisheries was one of the first, and then Information Manager, Olwyn Crutchley, had just been told the department was going to be swallowed up into NZ's massive Ministry of Agriculture and Forestry. It sounded like operational overkill but, resourcefully, the records team discovered RM opportunity in the audit.

BY OLWYN CRUTCHLEY

where significant work was still to be done. It also forced us to begin planning for some of the work that we had not yet considered. Initially, we approached the self-audit offline in an Excel document shared with Archives NZ so that we could work on it collectively. The records team leader, that was me, and an Archives NZ advisor formulated the responses to the audit questions together.

While many of these questions were clear and well-purposed, we found some needed to be refined and elucidated. I am hopeful that Archives NZ will review the questions over time. We had to seek clarification on some to ensure we were collecting the right information. We also noticed a degree of repetition that might be eliminated, but overall the coverage was useful. It creates an examination of services and processes that should lead to improvement as public sector organisations go through the PRA audit process.

## FRAMEWORK AND ROADMAP DEVELOPMENT

The self-audit revealed a number of areas that we had not yet considered in our records program or had fragmented elements within different previous policy and planning documents. Drawing these together into a Records Strategy and Framework was our response to this situation. This became a 20-page document collated from a number of sources. It covers the following:

- Principles
- Framework
- Headings for all of the elements of our records program, including a statement of current state, desired future state and performance measures for success
- Recordkeeping roadmap – a work program for the next 18 months

Developing the Roadmap covered all aspects of the records program, putting plans in place for service development. A lot of the work we had already completed was able to be highlighted in this document and we attained signoff from the Ministry's Strategic Leadership Team giving a good level of visibility to the records program.





### About the author

OLWYN CRUTCHLEY is Information and Data Manager for the newly merged Ministry of Agriculture and Forestry (MAF) with responsibility for the Document and Records Management, Geospatial Data, Data Management and Business Intelligence functions for the Ministry.

She was previously Manager Information Centre with the Ministry of Fisheries with responsibility for the Document and Records function, Data Management, Web and Geospatial and IS Training teams.

She is a qualified Prince 2 practitioner and used these skills to lead the Ministry of Fisheries Information Services Strategic Plan and associated projects.

Olwyn has also held similar Information Management positions in the Department of Labour, Conservation Department and Statistics NZ.

The subsequent desk-top review, a process whereby Archives NZ surveys the 'evidence' supplied to support the self-audit and, from it, formulates follow-up questions, and the onsite audit both supported our self-audit assessment. In some cases, they took a more favourable view of our records management current state than we did. Because of the elapsed time between these stages, we had in some cases made significant progress and this too was reflected in a more favourable review than we had anticipated.

Archives NZ outsourced on-site audits to external providers. The auditor we worked with was inexperienced, but did bring a fresh perspective and was interested in a wider range of activities than just traditional electronic or paper records. Work we had done in cataloguing our data sets was drawn upon as evidence of good practice in managing these important Ministry records and this got special mention in the final audit report.

### CURRENT STATE OF PLAY

So where are we now? The MAF-Fisheries merger has certainly meant a re-evaluation of plans. New priorities are emerging that will most likely delay delivery of the work originally planned for the Fisheries records program. MAF will itself have a PRA audit early in 2012 and we will take our learning from the Fisheries audit into this one. Having developed the Framework and Roadmap for Fisheries we will be developing a new one for the merged Ministry, reassessing recordkeeping priorities across the entire organisation.

The audit experience was largely a positive one. We gained understanding of our internal records program. It encouraged us to plan across a broader range of issues than we had been doing. The value lay mainly in the self-audit which, especially if Archives NZ continues to refine the questionnaire, would add value to any organisation. **iq**



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Library, Records, Information  
and Knowledge Management

# Not sitting at the grown-ups table:

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## the problem with records management

Records management in the 21st century is all about business and technology, yet the records management profession has historically attracted people who prefer to be left in the 'back room'. The good news is that records managers understand that their voices need to be heard, and are recognising the skills they need to develop.

BY CHERYL MCKINNON





There is a sense of frustration in the records management profession. An informal show of hands in a session on professional education at the recent ARMA conference showed that most of the attendees had college or university degrees in library sciences or archival studies. Few had degrees in business or technology.

The problem? Records management in the 21st century is all about business and technology. Over the last generation a disconnect has developed between the skills developed and the skills needed to be a successful, strategic manager of corporate records. The self-described 'control freaks' of the content management world are finding it difficult to flourish in the social, mobile, collaborative business of 2011.

Brian Hill, Principal Analyst with Forrester Research Inc, has recently completed a survey in conjunction with ARMA International. The results are eye-opening. Today's records manager often has little input or visibility into strategic planning – 43% had no idea what their technology budgets were for the next year, despite the fact that 53% of them expected to deploy RM software in 2012.

Perhaps even more worrisome is that over the last two years, the participation of records managers in IT strategic planning has declined, according to Hill's survey.

### IT'S THE SOFT SKILLS, STUPID...

The good news is that records managers understand that their voices need to be heard, and recognise that they have work to do. Professor Victoria Lemieux of University of British Columbia delivered a workshop on the future of library, archival and information studies programs in higher education. Attendees were very vocal on what skills need to be developed early in a records management career: project management, communication and leadership skills, technical expertise and methodologies for continuous process improvement.

The records management profession has historically attracted the librarians, the cataloguers, the filers. In the paraphrased words of one workshop participant, "We gravitated to this line of work because we like the quiet of the back-office." Years of advice to be more strategic, market yourself, evangelise the value of records, sell the importance of the department does not seem to have its intended result. Perhaps because it's not easy to convert an introvert into an extrovert.

### HOW DO WE FIX THIS?

Records managers need to develop these soft skills in order to be heard and get to the right budget and planning meetings. The excuses of no time, resources or training budget won't help: Nothing will change until the individuals inside the profession get this done.

- **Cultivate good presentation and public speaking skills.** Prepare to make a positive impression during meetings and workshops. Do your homework, know your subject, develop simple, clear slide decks as talking points. Dress for the boardroom, not the file room. Conquer the fear of public speaking by volunteering to do training sessions, presenting at local chapter meetings or joining a Toastmasters club.
- **Embrace social media instead of just warning against its risks.** Share your expertise. Start a blog, exploring the themes you know best. Be cognisant of any corporate social media policies and ensure you're not disclosing anything confidential. The records management world is always hungry for practical tips, lessons learned and 'how-to' from real practitioners. Join relevant groups on LinkedIn or other professional sites and keep your profile up-to-date. Start a Twitter account and follow

## RECORDS MANAGERS NEED TO DEVELOP THESE SOFT SKILLS IN ORDER TO BE HEARD AND GET TO THE RIGHT BUDGET AND PLANNING MEETINGS

industry thinkers, favourite vendors, consultants, analysts and practitioner peers. Share links to the article or blog posts you like, or have written yourself.

- **Figure out how to find your own Cognitive Surplus.** What act of consumption can you replace with an act of creativity? Can you give up one hour of TV to spend one reading a book on marketing, business planning or project management? Can you use a lunch break to bookmark or download audio or video tutorials on improving spreadsheet or XML skills? Can you cut back on routine dull meetings and do more with collaboration, wiki or internal social media tools?
- **Learn the lingo of your audience.** Understanding if your IT department uses a waterfall or agile project approach helps you figure out how to plan your time and participation. Learning their processes means being seen as a helpful resource. Figuring out the pressures faced by business managers during product or program launches helps you set deadlines and deliverables that won't conflict with the way they are measured and rewarded.

### RISK IS A FOUR-LETTER WORD

But it doesn't have to be. Risk management and mitigation is a fundamental goal of a records and information strategy. Records managers who want to deepen their involvement in the business and technology planning activities for their organisation need to understand that some risk is necessary. The rise of the web, of mobile and social technologies, of new business models all under the spectre of economic uncertainty means change is inevitable. Innovation cannot happen without risk.

In the words of Julie Colgan, Certified Records Manager and Director of Information Governance, Client Advisory Services at Merrill Corp, records managers need to "let go of 'perfect' and get really comfortable with 'good enough.'" The business world almost never wants to invest in perfect. Perfect has only occurred in the basement." Understanding the strategic compromises that can be made to deliver better, faster services to the business without compromising compliance mandates is the core diplomacy 21st-century records managers need to learn. [iQ](#)

- This article was first printed on CMSWire.

### About the author

CHERYL MCKINNON is the founder of Candy Strategies Inc., a consulting and marketing services firm helping organisations embrace open source and open standards as part of an information management strategy.

- She blogs at [www.candystrategies.com](http://www.candystrategies.com) and can be followed on Twitter @CherylMcKinnon.



# WANTED



**PROACTIVE,  
INNOVATIVE  
RECORDS  
MANAGERS**



A proactive, innovative records manager implements and encourages continuous improvement in the workplace. This article suggests how records managers can avoid going the way of the dinosaur by focusing on certain skills, qualities and competencies.

BY CHRIS FRIPP, FRIM

There are lots of things that amaze me, but three in particular stand out for me:

a) Firstly, the mystery of **how planes stay in the air?**

The A380 is the largest and most technologically advanced aircraft ever built. It is quieter, more efficient and more powerful than today's largest jets. It is just over 75 metres long and 24.1 metres high or equivalent to the height of a 6 story building. It holds 450 people and has a max weight of 569 tonne.

Despite the weight and height it floats in the air, amazing. Speaking with a pilot one day, he was saying that there is a point of no return on the runway; up to that point you can pull up safely, after that you just have to trust the laws of physics. I am not going into the technical reason for how it does fly, but it is still amazing.

b) Secondly, the mystery of **how ships float?**

What is deemed as a mid-size ship, *Pride of America* (Norwegian Cruise Line) has over 660 balcony staterooms, eight restaurants, three pools, children's facilities, shops, an abundance of spacious public rooms, and dedicated meeting facilities at sea. The ship holds 2145 passengers, over 1000 crew and consists of 15 decks.

It is 307 metres long and 35 metres wide, has a maximum speed of 25 knots and has a gross tonnage of 92,000. There are larger ships than the *Pride of America* which hold close to 5000 passengers.

I did not think that I was that overweight, but when I float on my back in the ocean or a pool, I sink in less than 10 seconds, so how do these ships do it? But once again I am not going into the technical reason for how it does float, but it is still amazing.

c) Thirdly – and more importantly to this article – is the mystery of **how and why records managers spend so much time being reactive** – rather than being *proactive* in the workplace.

A lot of records managers tell me that with all the demands in the office with the emergence of wireless networks and the widespread sharing of information, of the transformation from personal to work group computing, and of enterprise architecture and integrated systems, doing more with less, that they only have time to put out spot fires.

Being reactive is like moving around the pebbles rather than moving the boulders; we get lost in the day-to-day worries and forget that we need to have a strategic direction that is being reviewed and updated on a regular basis.

Being a proactive records manager is all about understanding the business, getting out and communicating with the users, collaborating with business units, keeping abreast of technology and the industry and where information management is heading.

It is about knowing where you are now, looking at what you are good at and what you need to improve on, plus knowing where you and your records team want to be in three years' time. I continue to be amazed at how many organisations say they have a recordkeeping program, but do not have a strategic plan for records, nor do they have a recordkeeping framework.

## FOUR ATTRIBUTES of a proactive records manager

I want to look at four attributes of a proactive records manager – and I hope you can score 100%.

### 1 Passion

The first attribute of a proactive records manager is 'passion' – ie, having a passion for what you do, which then rubs off on others, with people saying "I want what they have".

According to Google, 'passion' is "*an intense emotion, compelling feeling, enthusiasm, or a desire for something*". You need to ask the question, "**Are you enthusiastic and have an intense emotion for records management?**" – or is it just a job?

Some people may say that they lost their passion because they were not appreciated, needed, wanted, or because of lack of management support. You may be banging your head against a brick wall somewhere where records management is still just seen as filing. That is sad; maybe you may need to leave and go somewhere where you are appreciated, needed or wanted and have management support. (There are places like that out there).

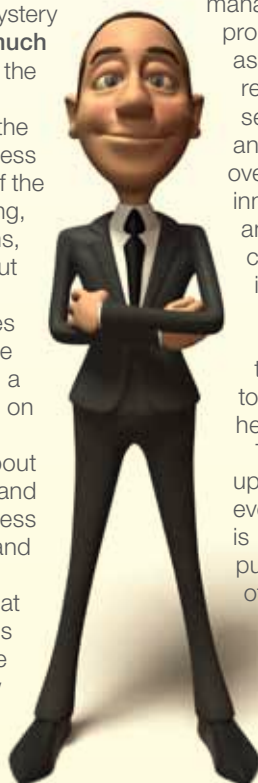
To me, if you are passionate about recordkeeping, you are compelled to ensure that your organisation understands and uses best practice standards, not because it is a compliance issue (that is the best way to build up barriers) but because it is good governance.

Being passionate allows you to actually sit down with management and demonstrate how you are improving productivity for business units and the organisation as a whole. This in turns gives the executive a return on investment. For example – just reducing search times by 20 minutes per day per person in an organisation of 400 people, you could save them over \$800,000 per annum. Combine that with other innovative ideas, such as reducing storage spaces and undertaking regular disposal programs, you could be looking at close to \$1,000,000 per annum in savings.

Having your records team working effectively together also paints the picture of a professional team that provides information in the right format to the right person on time every time, and also helps your passion live on.

This means having regular team meetings, having update sessions like toolbox meetings and keeping everyone informed on how the records strategic plan is going. Because if the team played a vital role in putting the plan together, they will all take ownership of it, thus they then inherit your passion as well.

Sounds like common sense you may be saying, but a lot of organisations are not doing this and very minimal communication is happening, which leads to dissatisfaction, ineffective workers and poor morale of all staff. This is a sign that the passion is dying.



## » A KEY COMPONENT OF A RECORDKEEPING FRAMEWORK IS DEVELOPING A COMMUNICATION PLAN, BECAUSE COMMUNICATION IS A CRITICAL ASPECT OF RECORDKEEPING «

### 2 Professional

According to Google, a 'professional' is "a member of a vocation founded upon specialised educational training". A big part of being a proactive records manager is not only being seen as professional, but also acting professional in manner and dress.

The Records Management Association of Australasia (RMAA) last year changed its name to Records and Information Management (RIM) Professionals Australasia, to demonstrate that the role of a records manager is a lot broader than the perceived 'filing clerk' and is now producing qualified practitioners.

To have qualifications, you first have to have recordkeeping competency standards which capture the various dimensions that, when taken together, account for 'competent' performance. Competency standards in training packages are determined by the industry to meet identified industry skill needs.

Although RIM Professionals Australasia has had recordkeeping competencies since 2001, very few organisations utilise them to their full potential and even less organisations know that they exist. Although they are used as a basis for the vocational education courses, it is very disappointing to see how few people use them for anything else.

In addition to the recordkeeping competencies, RIM Professionals Australasia and the Australian Society of Archivists joint Education Steering Committee have developed a 'Statement of Knowledge'. (<http://www.rimpa.com.au/professional-development/statement-of-knowledge/>)

As the RIMPA website states: "The statement of knowledge identifies the unique body of theory, standards and ethics that differentiates recordkeeping professionals from other professionals."

Once again, like the competencies, many records managers are not aware that this exists. So if you don't have a copy, download the document and familiarize yourself with it.

Vocational education courses were developed from the recordkeeping competencies and cover the following courses:

- Certificate 3 Recordkeeping
- Certificate 4 Recordkeeping
- Diploma Recordkeeping
- Advanced Diploma Recordkeeping

These courses are available either as distance education or in a classroom environment, with the classroom courses being run in all states around Australia. For more information see the Education and Professional Development section of [www.rimpa.com.au](http://www.rimpa.com.au). It is highly recommended that all records staff should hold a minimum of Certificate 4 Recordkeeping and records managers and their 2ICs should have as a minimum a Diploma or Advanced Diploma in Recordkeeping.

Following on from that, there is now a demand for higher paid positions to have a qualification from a university. These courses range from Graduate Diploma, to Bachelor courses to Masters of Information Management.

Obtaining qualifications from a recognised course allows members to fast-track their upgrade to professional membership of RIM Professionals Australasia.

Putting it simply, if you want to be seen as a records and information management professional, you need to get qualifications.

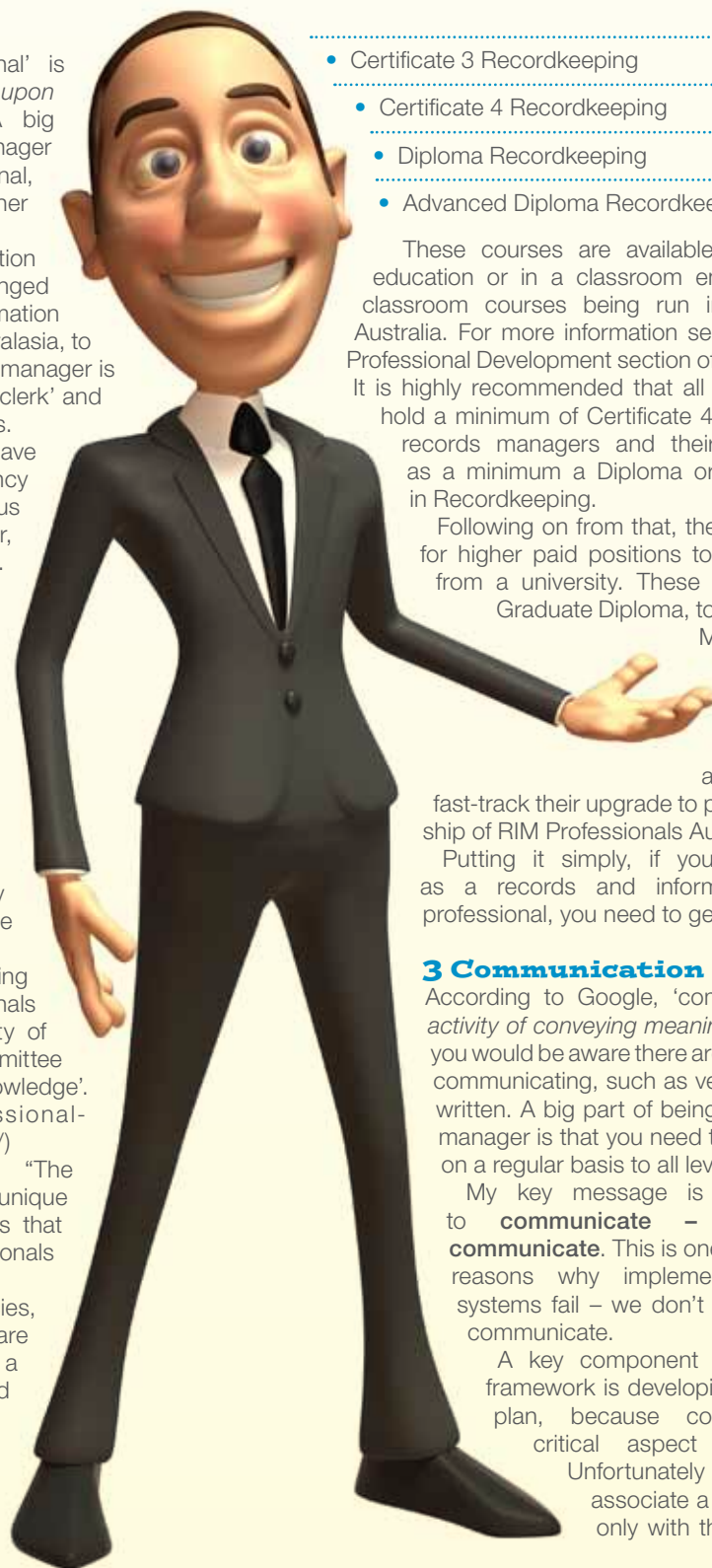
### 3 Communication

According to Google, 'communication' is "the activity of conveying meaningful information". As you would be aware there are a number of ways of communicating, such as verbal, non-verbal and written. A big part of being a proactive records manager is that you need to be communicating on a regular basis to all levels of staff.

My key message is that we all need to **communicate – communicate – communicate**. This is one of the underpinning reasons why implementations of EDM systems fail – we don't take the time out to communicate.

A key component of a recordkeeping framework is developing a communication plan, because communication is a critical aspect of recordkeeping.

Unfortunately most people associate a communication plan only with the implementation of





## Attributes of a proactive records manager

### Be passionate

Be passionate about records management – encourage other staff members to share your passion and to understand your subject matter. If you are passionate about recordkeeping, you are compelled to ensure that your organisation understands and uses best practice standards – then compliance just falls into place.

### Act professionally

Are you qualified, and are your staff qualified? Experience is great, but to be seen as a professional you should ensure all of your records team has, as a minimum, a Certificate 4 in Recordkeeping. Dress professionally; remember first impressions are important.

### Communicate often

Communicate – Communicate – Communicate at team meetings, at managers meetings, at forums; participate in Information Awareness Month at your workplace and understand your business units through collaboration – understand what is in it for them.

### Think innovatively

What six impossible things are you going to achieve when you go back to your workplace? Always look for new ways of doing things and encouraging innovative thinking from your staff.

a new system and or change management, but you should develop an ongoing communication plan for records. This obviously sits beside your records strategic plan, records risk matrix and records training plan etc.

The records manager should ensure that communication given is relevant, open and honest, accurate, consistent and timely. Part of that is acknowledging the importance of two-way communication and as such, you should plan to actively seek and obtain feedback about the various aspects of the services you provide from all staff.

It is also important that you respond to all feedback from the stakeholder groups via a number of feedback mechanisms including workshops, newsletters and emails.

Communication objectives should relate to at least three themes:

- **Why** are we doing this?
- **How** and **who** will be impacted?
- **What's** in it for me? (*the user of the system*)

Communicating is about raising awareness of recordkeeping, and being seen by the organisation as a proactive professional recordkeeper who can assist them in working smarter not harder in this electronic age. Part of raising awareness is also the running of an effective training program.

Taking communication one step further, we start looking at **marketing recordkeeping**. How well do we explain what you do? How do you describe to someone in eight seconds or less what recordkeeping is all about and make it so interesting that they want to find out more or even have a career change. I call this the 'lift' conversation – explaining to the CEO what records management is all about, how you are increasing productivity across the organisation, how you are saving up to a million dollars a year on reducing search times, and why it is essential to have executive support, all before you get to the ground floor. ....

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## » IF YOU WANT THE RAINBOW, YOU HAVE TO DEAL WITH THE RAIN «

Marketing is the process of creating, communicating, and delivering results that have value for your organisation, and as such records managers need to be seen and heard, and provide a value-added service for our customers.

A lot of people say “what do we have to market?” Well, as recordkeeping is everyone’s responsibility, there is a duty of care by the records manager to ensure that they communicate best practice records management on a regular basis.

### 4 Innovation

According to Google ‘innovation’ is “*doing something new, which might involve radical or incremental changes in thinking*”. What does that mean in the real world? I think it means different things to different people and depends on your situation and how much support you get from management.

There is often confusion between continuous improvement and innovation. Continuous improvement is an ongoing effort to improve products, services or processes, whereas innovation is about doing something different, which might involve radical or incremental changes in thinking.

Let’s break the mold of “if it isn’t broken, don’t touch it” or “we’ve been doing it this way for 20 years and it’s working just fine”.

Often the vendors are seen as innovators – but is it just that they are utilising new Microsoft features? As you know, the industry has gone from document management to enterprise content management to cloud computing, but can we all be innovative? I think yes.

As I said earlier, innovation is about doing something new, which might involve radical or incremental changes in thinking. For some, this means getting the organisation to think seriously



**About the author**

CHRIS FRIPP is Director Records and Information Management with Relevancy Consultancy. He holds the status of Fellow and Life member of RIM Professionals Australasia and is the inaugural winner of the J Eddis Linton Outstanding Individual Contributions award. Chris also facilitates class room style VET courses at a location near you on behalf of Esset Australia.

- He can be contacted at [chris.fripp@relevancy.com.au](mailto:chris.fripp@relevancy.com.au)

about records management; for others it might be developing a business classification scheme; for one organisation, it might simply be the scanning of documents; while for yet others, it is having a fully electronic content management system where the organisation is paperless and integrated with all business systems.

In the latest movie version of *Alice in Wonderland*, Alice says that each day her father thinks of six impossible things to do each day and sets out to achieve them. **What six impossible things are you going to do this week?**

If you want the rainbow, you have to deal with the rain. In other words being innovative is not easy, you will have successes and you will have days when it feels like you are banging your head against the brick wall. To be a proactive and innovative professional records manager, you need to have a positive mindset and a strategic plan.

Being seen by the organisation as a leader rather than a follower involves taking risks, but it’s better than being seen as a dinosaur and eventually becoming extinct. **iQ**

- This article is based on a presentation given at the RIM Professionals Australasia annual convention in Darwin in September 2011.



## International Council on Archives Congress, Australia 2012

### *A Climate of Change*

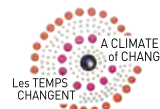
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# Careers in RIM – current initiatives

For the past two years RIM Professionals Australasia has been focusing on raising awareness among secondary and tertiary students and career advisors of the records and information management industry as a viable and interesting career option.

iQ has previously reported on the release of our youth focused career website, career DVD and the career expos attended in 2010-11. Current career initiatives from RIM Professionals Australasia include:

- a Career Kit which is available via a request form from our career site in electronic or hard copy
- a hard copy of the Career Kit distributed as a satchel insert at the Career Developers Association of Australia convention on the Gold Coast in April
- an A5 size advertisement on an education wall planner which goes to every secondary school in Australia
- attendance by some branches at school career days and career fairs where they will present on the industry. **iQ**

» RAISING  
AWARENESS  
OF CAREERS  
IN THE RIM  
INDUSTRY «

## The Career Kit includes:

- a covering letter
- course recognition flyer
- typical position profiles guide
- brochure about RIM Professionals Australasia
- 'Career in RIM' brochure
- Career DVD (or a link to Career DVD in the electronic version)
- Career Highlighter (in the hard copy only).

**Career Kit**

**Recognised Courses**

The RIM Professionals Australasia (formerly RMAA) recognition program involves having course curricula tested against criteria for content, assessment and qualifications and experience of the teaching resources. Recognition is granted on the basis of the Statement of Records Management and the AS Standard for Records Management and if applicable the Recordkeeping Code of Practice.

Obtaining qualifications from a recognised course allows members to fast track to professional membership of RIM Professionals Australasia.

**What is Records & Information Management?**

Information is one of the most vital, strategic assets an organisation has. A records and information management professional helps identify, organize, maintain, retrieve, and dispose of information, while ensuring compliance, minimizing costs, and reducing litigation risks.

**Is your future in Records and Information Management?**

**RIM Professionals Australasia**

**A snapshot of typical Records and Information Management careers**

**Records Officer**

Pay range: \$35,000-\$60,000

*"I like the hands on approach and the combined theory of RIM. Having the knowledge helps me perform the tasks involved with ensuring that everyone can access the information they need when they need it"*

**Typical duties:**

- Mail processing - receive, sort, open, scan and distribute incoming mail - process outgoing mail
- Scan hardcopy records
- Attach hard copy records and electronic documents to a file
- Admin or workflow electronic documents to a responsible officer
- Create and maintain hard copy folders
- Business files
- Prepare temporary value records for off-site storage

**Records Coordinator**

Pay range: \$45,000-\$75,000

*"As a Records Coordinator I like to think of myself as the unofficial information gatekeeper. I am involved in many tasks but mainly oversee the daily functions of the records office."*

**Typical duties:**

- Supervise staff and oversee performance of more complex record keeping tasks and performing those tasks when required
- Report policy and procedure writing
- Budgeting and budget monitoring in relation to record keeping activities
- Individual and group training of staff to records policies and procedures
- Staff development and management
- Interpretation of legislation, standards and guidelines and ensuring they are applied appropriately

**What is Records & Information Management?**

Information is one of the most vital, strategic assets an organisation has. A records and information management professional helps identify, organize, maintain, retrieve, and dispose of information, while ensuring compliance, minimizing costs, and reducing litigation risks.

**What do Records & Information Managers do?**

Records and information management professionals identify, organize, maintain, retrieve, and dispose of information, while ensuring compliance, minimizing costs, and reducing litigation risks.

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# 2020: Navigating the Information Tsunami

As the ocean that is electronic information, surrounded by seas of records and data, continues to rise at an ever-increasing rate, those who float along with the tide are left floundering, sinking with irrelevant and inaccessible information.

BY DEBRA LEIGO

Pumping out the unwanted deluge has become an increasingly constant chore and navigating the seas of records an impossibility without specifically designed keels and sails. Sleekly designed supermaxi yachts with specialised navigation tools and equipment smoothly sail through rough waters, manned with appropriately skilled crew, competently fulfilling their duties as team members. With the total volume of digital information expanding by about 50% per annum<sup>1</sup>, transforming the tidal wave of the past decade into a 'perpetual tsunami'<sup>2</sup>, leisurely drifting through shallow waters in a makeshift raft complacently expecting to arrive at the desired destination is no longer an option.

The swelling seas necessitate serious solutions and navigational skills. All those who create and use records, the crew, will gradually gain the most basic skills of records management until these skills become accepted and expected as fundamental prerequisites in any workplace; a natural progression in

mandatory skill levels which has evolved from requiring basic literacy to include computer literacy over the past couple of decades, with information literacy more recently emerging as a prerequisite in many workplaces<sup>3</sup>. The necessary skills will include familiarity with legislative requirements and standards such as ISO 15489, and the abilities to consistently follow procedures such as titling and filing conventions, defining records and determining the characteristics of 'recordness', and understanding the need for, and purpose of, evidential value. Records managers, creators and users, the



supermaxi captain and crew, will have moved beyond debating the characteristics, accepting that a record is anything, regardless of format<sup>4</sup>, which provides evidence of an activity<sup>5</sup>. The focus will be on ensuring that records are reliable, authentic, useable and, most vital in the oceans of digital information, accessible.

The increasing use of natural language tagging and user contributed content, especially in social media domains such as Facebook, Flickr, Youtube and Twitter, which has flooded into the workplace, is here to stay. While tagging remains useful for individuals managing finite information resources, this unstructured approach remains less than ideal when managing infinite quantities of digital records in a global environment. Here, controlled language will become increasingly important to ensure effective and efficient retrieval. The utilisation of metadata standards and tools such as thesauri and business classification schemes will significantly increase, facilitating consistently higher precision and relevance retrieval results. Concurrently, natural language tools such as tagging will be refined for effective use at the local or individual level. Natural language and controlled vocabularies will co-exist, with controlled vocabularies embedded in metadata at creation and natural language added as optional user contributions. Either will be used for retrieval depending on the level of recall, relevance or precision required.

### UP-SKILLING THE CREW

Up-skilling the crew will provide them with transferable skills and facilitate a significant increase in the adoption of standards, consistency and compliance with legislative requirements; activities which will streamline the supermaxi's navigation through the information tsunami. A general understanding of the necessary qualities and evidential attributes of records and the role of metadata in providing access, coupled with improved information literacy skills enables the crew to power through the roughest seas working smoothly as a team. Under these new conditions, records managers, the captains, are getting on with the task of providing access and overseeing compliance, laying to rest the current debates over record definitions in relation to social media and format attributes and moving on with the more crucial technical issues of how to capture and store these records to ensure their accessibility, security and survival. While the crew are operating at a higher level with their newfound skills the captain is working with the yacht builders to design the best navigational tools.

Security remains an issue of constant concern, with one third of all digital information either stored in or passing through the cloud by 2020<sup>6</sup>. The focus is on ensuring records remain secure from those who should not have access, yet available to those who should, and that they survive and remain useable for as long as required. Improved compliance with legislative requirements and mandatory adoption of records management standards which improve consistency in the way records are created, managed, stored, accessed and transferred, will improve security, ensuring privacy is maintained while concurrently obliging freedom of information requests and supporting open governance.



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True consistency in records management, especially creation, storage, security, retrieval, and global transferability of records and metadata won't occur until the rate of technological redundancy begins to plateau. Once standardised technology, including storage media, digital formats and applications, are widely adopted and the rate of technological change is significantly reduced, records management theory and practices will begin to catch up with current realities. Concurrently records managers will also have to up-skill, acquiring a level of IT knowledge that enables them to be actively involved in the design and development of specialised navigational tools for capturing, storing, managing and accessing digital records rather than the current practice of accepting inferior tools designed by those without specialist knowledge and experience of navigating the stormy waters of the information tsunami.

Powering ahead through the information tsunami, navigating the rough seas of digital records, to effectively and efficiently arrive at desired destinations, will be achieved through consistency and standardisation. Up-skilling the crew will avoid floundering amongst the flotsam, slowly drowning or becoming marooned in uncharted territory. Leaving navigation to a fully functioning crew, the captain will focus on ensuring that the navigational tools are built to circumvent the roughest seas, arriving safely at the desired destination. **iq**

### About the author



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# Creating your blended learning success story

Blended learning solutions – utilising multiple communication and delivery modes to educate an audience and achieve performance goals – can help to achieve success during the implementation of an electronic document and records management system (EDRMS) training program

BY MICHELLE LINTON AND KEVIN DWYER

“What’s a blended learning solution?” our client enquired when we recently publicised our placement as Finalist in the Blended Learning Solutions of the 2011 Australian Institute of Training & Development Awards for Excellence. Its training talk for multi-mode training design was our reply. Whilst commonly used in major training initiatives, it is still rare to hear the expression within the Records and Information Management (RIM) sector, which is truly perplexing given that every EDRMS training program is a major initiative impacting all staff within an organisation.

Blended learning solutions utilise multiple communication and delivery modes to educate the target audience and achieve a required performance goal. Providing learners a somewhat random assortment of modes of training is not blended learning and nor is it effective. Every element within a blended solution has a specific purpose.

Blended learning, by its nature is complex. However, this does not restrict use of a quality blended learning solutions to large organisation, big budget training programs. Part of the beauty of a blended solution is the ability to harness internal resources as effective elements.

Whilst it is tempting to use what we, as trainers or record managers personally like as training tools and communication modes in designing a blended solution, don’t do it. What we like is irrelevant. We need to discover what will engage individuals in the lines of business, and what will block learning and transference of that learning to the workplace. Complete a comprehensive training needs analysis first to determine the best training and support tools and communication modes.

## THE DISCOVERY STAGE: A TRAINING NEEDS ANALYSIS

Use a training needs analysis (TNA) to get to know the client from head to toe. Interview stakeholders across the organisation to build, at a minimum, knowledge of the learning preferences, existing skills, attitude towards learning, culture and recordkeeping maturity. Validate what people have told you by cross-checking your findings against any hard data that is available. For example, look at recordkeeping statistics and outcomes of similar training initiatives. Be sure to deal with fact and build an accurate profile of your audience.

Simultaneously put the records team through an appraisal to check the strengths and weaknesses of the team, appraising their record management, EDRMS, communication and training/support skills at least. Also determine if the team has the size and ability to support the business requirements of the project, whilst at the same time continuing day-to-day business.

A thorough TNA identifies project risks, enabling them to be engineered out of the project in the design phase. The TNA should also tease out, if it is not already clearly stated, the goal of the project. The goal of the project combined with the knowledge gained from the TNA forms the scope of the project. Skilled project managers will create a high and low end scope. This makes the budgetary process a negotiation over what certainty of outcome is required and how much to invest to get that certainty. Discussion of the cost of best practice is desirable to achieve the best outcomes rather than a take it or leave it approach to the proposed scope. If the budget has been pre-set at a level too low in light of the TNA results, take the opportunity to use the TNA to fuel an objective debate over the budget.



### Story snapshot

- To achieve successful blended learning, complete a training needs analysis (TNA) first.
- The designer must determine from the TNA what content and modes of delivery will and won't work.
- The componentry of the blended learning solution depends on the goal of the program and the environment in which it is being developed and implemented.



A final key outcome of the TNA is to build an effective rollout plan. Start by considering what the potential components of a rollout are. For instance is the rollout based on business units, or on business processes, or a combination of both? Plot them on an impact and ease matrix (ie, impact on delivering the goal, and ease of doing). Aim to complete the high impact easy-to-do components first. The high impact hard-to-do components will be next, but will need extra detail in the plan to address the challenges. Question whether to do the low-impact components at all. Is this valuable use of your resources? If you do address the low impact hard-to-do components, break them into easier-to-do components.

Don't be tempted to create a rollout plan starting with resistant business units first. Whilst it may look like a great win if you can achieve a successful outcome early in the project, the risk is high their attitude will render the training unsuccessful due to the level of resistance. The whole project may become compromised and your budget will blow out redesigning the project and retraining.

Understand what drivers can be harnessed to move the hard-to-do components into the easy-to-do quadrant. For instance success stories from one business unit will filter to other units working closely with them. Or a unit may have an audit on the horizon. Time their participation at the stage where you are solving a top-of-mind problem. They will be ready to listen and you will be adding immediate value.

There's an exhaustive amount of information gathered in a TNA and it looks like a major investment. The size of that investment and the time taken can be limited by using one of two deliberate approaches to information gathering:

- A broad, shallow TNA across the whole business to provide general knowledge and then a deeper TNA for each business unit pre-training to identify anomalies that will require attention.
- A full TNA on one business unit on which the overall program is based, with minor TNA's on each unit prior to rollout.

Reduce duplicate effort in conducting a TNA by managing your project team to work together. Share information gained by the record manager, any external specialists and the change manager with the training manager. Likewise, save time in having to generate reports by using statistics supplied by the EDRMS administrator and the IT department.

### DEVELOPING THE SOLUTION

#### Design considerations

Developing a blended learning solution from the TNA is an exciting journey of thoughtful analysis, use of tried and tested design elements and plenty of blue sky thinking. The objective of this analysis and design process is to answer one key question: "How do we deliver the skills and knowledge that will move people from resistance to acceptance, and finally enthusiastic use of the EDRMS?"

The designer must determine from the knowledge and facts gained from the TNA what content and modes of delivery will work and what won't. Additionally they must consider where change management can support the training, and where the training can support change management, integrating these two fundamental elements of an EDRMS project into a symphony of learning opportunities.

Developing a blended learning solution is part science and a lot of art. It is about designing a multi-layered approach to managing human behaviour so that people learn knowledge at a pace they can tolerate using modes of communication they prefer and providing support to practice their new skills and transfer them back into the workplace.



Designing to specific outcomes is essential. This includes the change messages and how training instruction is written and delivered. Each activity and all the elements within a blended learning solution must have specific goals, and be designed in detail to achieve the defined outcomes.

Learning and development teams also need to be adept at anticipating what the human reaction of different stakeholders will be to every message. Learning programs must have flexibility and utilise continuous improvement as a means of taking remedial action where the original design results in unforeseen reactions. Often potential risks can be identified from the outset and contingencies put in place within the design. A common example is when stakeholders continue to show reluctance or even outright hostility to changing their recordkeeping habits. The specific response to these people will be dependent on their personality; however, planning to engage in one-on-one sessions with very reluctant stakeholders should be part of every design.

### Design activities

There are eight interlinking and supporting activities to be completed within an EDRMS program to achieve maximum success. It may not be within the training provider's scope to design the elements for all activities but each of them is harnessed to create a blended learning solution.

- 1 Planning the rollout
- 2 Creating communications materials and developing change activities
- 3 Developing the records team
- 4 Engaging stakeholders and managers
- 5 Developing super user skills
- 6 Developing end user skills
- 7 Creating a program to transfer skills to the workplace
- 8 Re-engineering business processes

Each activity is built of multiple components. For example, development of the records team may include instructor-led sessions of EDRMS training, communications training and Train the Trainer. At the same time it can include on-the-job personal and skill development for individuals who will need to adapt to new responsibilities. Consider adding presentation

responsibilities for appropriate records staff into the manager engagement activity to build strength in liaising with higher levels of management. Each blended learning component of the records team development activity will address the skill gaps necessary to achieve the required goal for the project.

### Blended learning design in practice

As mentioned before the componentry of the blended learning solution depends on the goal of the program and the environment in which the program is being developed and implemented. Three scenarios follow which demonstrate how this works in practice.

#### Scenario 1: Building sustainable internal capability

An organisation with an EDRMS implemented five years ago which has never been formally rolled out across all location. On engagement the EDRMS is used exclusively for capturing a narrow range of records by head office administrative staff.

**The goal:** All staff have the capability to manage records electronically and actively do so.

**The organisation overview:** 200 staff, 20 locations across state, 1.5 proficient records staff with good change, planning and business analyst skills, large variety of individual work activities, high level of executive support, highly educated workforce.

**The strategic approach:** Utilise identified internal capabilities to reduce costs and drive adoption; harnessing skilled records staff to manage internal change, planning and business analysis and the capability of the workforce to be developed to self-deliver training. The overall outcome will be a workforce skilled in EDRMS and recordkeeping with an independently sustainable training program.

#### Recommendations:

- Develop rollout and change management plan internally following minimalistic TNA with training company.
- Develop communications pack externally with internal responsibility for delivery.
- Deliver end user and administrator training to the records team. Engage training company for ad-hoc consultations that include ongoing development through informal education and knowledge transfer over life of program.
- Deliver manager exclusive technical training/change sessions pre-rollout, supported by communications and change activities driven internally.

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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.

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- Train 40% of super users via eLearning delivered in an instructor-led environment to build confidence in eLearning. Training includes how to deliver eLearning to end users and engage in business process.
- Train end users via eLearning with super user support. Activate licences only on training completion.
- Re-engineer organisation-wide major business processes (ministerials, policies, etc) to drive adoption.
- Support business unit re-engineering and offer consultant support at business unit expense.

### Scenario 2: Adoption in an immature environment

This organisation is implementing an EDRMS for the first time.

**The goal:** All records are managed within EDRMS from initial creation.

**The organisation overview:** 1000 staff, one location, centralised record unit of 10 staff with low EDRMS and business analysis skills, all staff practising physical record management, integration of the EDRMS with multiple systems, moving from centralised record management to devolved model.

### Research & Education Program – phase 2 underway

The second phase RIM Professionals Australasia Research and Education Grant 2011 has now commenced with Michelle Linton (Linked Training) and Kevin Dwyer (Change Factory) exploring: “Establishing benchmarks for EDRMS adoption: Creating a guide for the RIM industry”. The research project continues on from the “Training & Change Models for EDRMS: What’s passing and failing?” survey results presented at inForum 2011.

Phase 2 will commence with a series of interviews with successful EDRMS implementers from a cross section of the industry. It will research in-depth the nature and diversity of the measures of adoption and the level of adoption achieved between implementations. Validation of the results will be cross-checked through short surveys of the whole industry.

The final results of the study funded by the Research Grant will be distributed at the 2012 International Council on Archives Congress, 20-24 August in Brisbane as well as being made available through the RIM Professionals Australasia website.

Continued on page 52

## How much of your EDRMS training is retained when they get back to their desk?



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# Leap into a new challenge in 2012

Are you thinking of a new challenge for 2012 and beyond? Maybe study and formal recognition of your experience skills and knowledge is on the cards?

## ACCREDITED TRAINING COURSES

There are a wide range of options for you to consider:

- Tertiary qualifications
- Vocational qualifications
- Short courses
- Single units from tertiary or vocational qualifications

RIM Professionals Australasia has accredited courses from a wide range of education and training providers from Australasia as well as internationally, so you can be assured that they have met current practice standards and are flexible for today's professionals, as well as supporting your upgrade to professional membership status.

See the complete list of accredited courses on the education pages of our website at: <http://www.rimpa.com.au/professional-development/courses-available/>

**RIM Professionals Australasia is also holding masterclasses in 2012** for those wishing to achieve recordkeeping qualifications in intensive face-to-face mode. See page 27, right, for more information or you can check out the Calendar of Events on the home page of our website at: <http://www.rimpa.com.au>

## OTHER PROFESSIONAL DEVELOPMENT OPTIONS

Maybe formal study is not for you at the moment. There are plenty of other ways for you to build your skills and knowledge. **Here are just a few options that do not necessarily cost money and some can be done anywhere:**

- Attending and speaking at seminars and conferences
- Writing journal articles and reports for RIM Professionals branch newsletters, *IQ*, *iRMA* or other publications
- Peer reviewing journal articles
- Mentoring students, volunteers or staff or seeking a mentoring relationship for yourself
- Developing management and communication skills through being involved in RIM Professionals Australasia events and activities such as contributing to the RIM listserv and our social media networks [iQ](#)

If you have any questions about what kind of education, training and professional development best suits you, please contact Dr Marian Hoy on [marian.hoy@rimpa.com.au](mailto:marian.hoy@rimpa.com.au). She will be happy to discuss options.



# VET courses prove popular

iQ reported in February 2011 that the RIM Professionals Australasia had run a series of Advanced Diploma of Recordkeeping intensive masterclasses in Sydney, Melbourne, Brisbane and Canberra, plus the Diploma of Recordkeeping in Adelaide, Perth, Hobart and Darwin – made possible with government funding for 105 places. It was very pleasing to see that 96% of the participants completed the courses.

RIM Professionals Australasia would like to say well done to both individuals and employers for demonstrating commitment to professional development and embarking on these qualifications; and to remind participants not to forget to seek an upgrade of your professional status – you will certainly deserve it.

The qualifications are being provided through the Registered Training Organisation, Esset Australia with Relevancy Pty Ltd being the sole provider of trainers for these courses.

Unfortunately the funding was a once-off, so the focus for 2011 was on the Certificate 4 Recordkeeping Course, especially in Local Government who can take advantage of the Australian Apprenticeship initiatives in NSW and QLD. Certificate 4 courses were run in Albury, Campbelltown, Blacktown, Sutherland, Rockdale and Townsville.

Almost 70 individuals and employers who enrolled in the Certificate 4 courses recognised the importance of these qualifications as the minimum qualification for all records staff which allows participants to build skills and knowledge.

All of the VET classroom courses can be run in any location in Australia, with the proviso that there is a minimum of 10 participants. The following courses have already been locked in for 2012, so if you are serious about being a recordkeeping professional, enrol either yourself and/or your staff in one of the below courses. If you want something near you, then get 10 people together and let RIM Professionals Australasia know. **iQ**



## ADVANCED DIPLOMA – RECORDKEEPING (CANBERRA)

Units 1-4	6 – 9 March 2012
Units 5-8	4 – 7 June 2012

## ADVANCED DIPLOMA – RECORDKEEPING (CAIRNS)

Units 1-4	8 – 11 May 2012
Units 5-8	23 – 26 July 2012

## DIPLOMA – MANAGEMENT (SYDNEY)

Units 1-4	13 – 16 February 2012
Units 5-8	1 – 4 May 2012

## CERTIFICATE 4 RECORDKEEPING (BEGA NSW)

Units 1-3	21 – 23 March
Units 4-7	21 – 24 May
Units 8-10	18th – 20th June

## DIPLOMA RECORDKEEPING (WARRNAMBOOL VIC)

Units 1-4	28 – 31 May 2012
Units 5-8	20 – 23 August 2012

## DIPLOMA RECORDKEEPING (ALBURY/WODONGA)

Units 1-4	16 – 16 August 2012
Units 5-8	22 – 25 October 2012

## HERE ARE SOME COMMENTS FROM STUDENTS UNDERTAKING THE VARIOUS VET COURSES IN 2011

“Well all I can say is.... THANK YOU!!! Your explanation of the course content was great. When I did my ‘Secretarial Diploma’ plus I’ve done a few certificates since then but have never enjoyed it as much as this Diploma, so big thanks ☺ It’s really helped my confidence and to feel somewhere equal as my counterparts in the industry.” – Sharon Chapman (WA)

“Your wisdom, patience and humour made the course an enjoyable and rewarding experience. My staff and I have been challenged and thanks to your guidance and our newly gained knowledge, we feel confident in our abilities to meet new challenges.” – Lisa Stone (NSW)

“I want to thank you for all your help and understanding and I wanted to tell that I really enjoyed the course, one of the best courses I’ve done.” – Ed Cubilla (QLD)

“I thoroughly enjoyed the course; it has been the best course (content, structure and application in day-to-day practical use etc.) I have ever attended, thank you very much – your knowledge and experience has most certainly made all the difference. I have learnt more from this course (including from you) than what I think I have learnt in the last 4 years and I feel that I have learnt a lot during that time.” – Amanda Pentz (SA)

For further information on obtaining government initiatives of up to \$4,000 go to the following website: [australianapprenticeships.gov.au](http://australianapprenticeships.gov.au) or call the Australian Apprenticeships referral line on 13 38 73.

(Note: not available to Commonwealth & State Government employees)

# Information and cultural service convergence:

## A case study of the City of Wanneroo

Information and cultural service convergence is an increasingly frequent response by local governments to external pressures, especially changes in technology and user expectations. This article examines convergence using the case study of the City of Wanneroo, and conclusions are made as to convergence's potential to meet future challenges.

BY LEITH ROBINSON

There are many external pressures on today's organisations, making them receptive to information service convergence as a counter-measure. The major forces include finance (especially the economic losses from the GFC and recent natural disasters)<sup>3</sup>, user expectations (immediate and seamless information provision)<sup>4</sup>, and compliance with regulations<sup>5</sup>. Operations are also influenced by the demands for governance, freedom of information and transparency of actions<sup>6</sup>.

At present, organisations need to improve access, achieve the full potential of information resources, reduce functional overlap and increase efficiency<sup>7</sup>. Cost-cutting, risk management and interoperability are sought, and the alignment of business goals is paramount<sup>8</sup>. Fortunately, technological changes have advanced the production, storage and retrieval of information, enabling a converged system, platform and portals, and a holistic view of an organisation's information is being adopted<sup>9</sup>.

This article draws upon current Ph D research about memory institution convergence. The methodology comprised an international literature review, a survey of Western Australian information professionals and four case studies in WA. These investigated local government provision of information and cultural institutions, their convergence and subsequent operation, and the results from the first site visited are now reported.

### Story snapshot

- Information service convergence has positive and negative consequences.
- User expectations drive convergence.
- The WLCC case study is a strong endorsement for convergence.



## Definition

### What is convergence?

Convergence is defined as “the coming together of distinct and separate factors or phenomena”<sup>1</sup> Convergence is described as superior to other coordinated efforts such as collaboration and co-operation as it creates rather than exchanges value; it is transformational<sup>2</sup>. Convergence is evident in all sectors – private, public, academic and not-for-profit – and may be embodied by management, site, staff, collection, education and association cross-over.



## BACKGROUND: THE CITY OF WANNEROO

The city of Wanneroo is located 25 kilometres north of Perth, covers approximately 633 square kilometers, and has a current population of 108 780<sup>10</sup> and rising. The area was settled in 1838, and land use over time has included market gardening, lime and manufacturing industries, as well as residential.

The Wanneroo Library and Cultural Centre (WLCC) is at the corner of Dundee Road and Rocca Way, close to the major thoroughfare of Wanneroo Road.

The construction of the WLCC began in October 2007, and it opened to the public in September 2009. The WLCC is the first site in WA to feature a range of information and cultural services – there are four domains, including a library, regional museum, community history centre and an exhibition gallery, plus function spaces ('The Great Court', meeting rooms, theatre and conference room) and commercial enterprises. It is two storeys high; the museum and community history centre are on the ground floor, and the library and gallery are on the upper floor. The council website is the entry point to material about the services, and there are further links to the web pages of the library, museum and community history. Photographs from the history centre had begun to be catalogued using the software Mosaic, but were transferred to Spydus to match the library catalogue, as part of the convergence.

The WLCC has other tenants as well as the information and cultural organisations, with two enterprises currently leasing premises. There is Café Elixir on the ground floor and the Nanovich Hair Lounge on the upper floor.



The Wanneroo council website contains details on the Wanneroo Library and Cultural Centre

## CONSEQUENCES OF CONVERGENCE

Information service convergence features positive and negative consequences. These are positioned against Wanneroo's experience; similarly the incentives (pressures and needs) for any organisation to implement convergence are illustrated by the findings of the case study.

Financial pressure may be alleviated. The pressure of finance meant the key convergence outcome of economic regeneration was sought by the City of Wanneroo. Council documents stated "the ongoing redevelopment of the town centre (of which the WLCC is a cornerstone) will change the dynamics of the area, attracting more shoppers and casual visitors". Staff similarly recognised the likely boost to the local economy, predicting an increase in the number of businesses. Organisations maintain their revenues via innovation, and new ideas and new products or services can be sparked by the greater staff intermingling when teams converge, as Wanneroo found.

Converged information sites [by their nature] can obtain multiple sources of funding. The \$18.9m cost of the WLCC was not borne solely by the City of Wanneroo; the State Government contributed \$6 million and Lotterywest \$300,000. Furthermore, the total sum was lower than it might have been due to being offset by land swaps with various businesses.

Careful planning of converged sites means income can be generated via room and equipment rental and sponsorship. At Wanneroo the IT lab has a long-term booking by Meditrain; other curators hire the museum's dryer, and Rayco sponsored a '50 years of service' library display.

Information service convergence offers many ways to achieve cost cutting, including rent and utility bills. The management convergence of Archives New Zealand and the National Library of New Zealand into the Ministry of Internal Affairs was predicted to save \$20 million, and the physical convergence of the holdings of the Darwin branch of the National Archives of Australia (NAA) with the Northern Territory's Archive Service at Milner will also achieve significant savings<sup>11</sup>. Another example is the NAA and the Public Records Office at the Victorian Archives Centre sharing costs such as reception and security<sup>12</sup>. The incorporation of 'green features' in the building designs of Wanneroo will not only cut costs but also ensures the council meets their environmental responsibility; thus goals are aligned.

User pressures may be met via convergence. The Manager of Capacity Building explained that user expectations drove the convergence – the council aimed to heighten engagement with the community, achieve greater satisfaction of public needs and to reshape attitudes to cultural services, and results show the community has benefited. A focus group member noted, by all the teams working together, they delivered "a better experience for the ratepayers".

Positive consequences of convergence are numerous. The advantage from convergence of an increase in customers occurred at the WLCC, with library and museum records showing not only more visitors and members (50% more than expected by the museum 2009-2010; "If the museum had been stand-alone I don't think we'd have gotten so many people") but also more diversity in patrons and greater in-house use of resources (In the first year there were 81% more enquiries in the community history centre).

Convergence enables an organisation to achieve the full potential of their information resources. Patrons and staff benefit from converging information resources, as quotes from Wanneroo employees illustrate: "We have expanded the information network for everyone involved in the convergence", and "It's great to be able to take advantage of the experience of the other sections". As part of the process of merging information services, physical and virtual elements of service models are often renovated, improved or upgraded – for example, the Wanneroo gallery is now a Category A facility, with 24-hour environmental control.

Integrated services improve access. Both physical and/or electronic converged information services are simpler and more convenient for internal and external customers. Better access keeps customers loyal. Wanneroo showed enormous improvement, in terms of a better physical location, access to collections previously stored away, longer hours and extra days open. In particular the access to the museum was far greater – it used to be in the middle of a National Park!

The need of interoperability is realised at Wanneroo, with service referrals and also concurrent programs.

The trend in organisations to treat the information asset as a whole is represented at Wanneroo by donated items being directed to whichever of the domains they most suit, and all of the Council's artworks are now held in a single storage area. Organisation structure can be streamlined following convergence – for instance, at Wanneroo the staff from three domains of museums, gallery and community history all report to the single co-ordinator of Museum, Arts and Heritage.

Centralised storage and joint staffing offer consistency and co-ordination, and improve efficiency<sup>13</sup>. Economies of scale occur<sup>14</sup> when the 'back-of-house' duties are shared. For example, at Wanneroo the museum now has one location in which it can



carry out display, storage, research, conservation, preparation and education. Library productivity has increased: "Our business unit is hitting goals and everything like that".

Convergence stretches staff resources, when employees can service more than one function. There is convergence in the WLCC at both professional and support levels. A manager remarked: "It is much better from a HR management perspective if you've someone who can fill in in multiple places; we fight over one of the casual library staff who works in the museum as well as the library". Integrated services build morale. A quote from an interviewee supports this notion: "It makes for a really harmonious workplace... happier and healthier".

Integrated information services suit city, suburban or rural environments<sup>15</sup>; Wanneroo is considered part of the Perth metropolitan area.

Integrated services match today's work practices and organisational culture – stratification and separation is just not the mode (nor is it feasible) in the 21st century. A senior manager at Wanneroo said: "For me [convergence] is a natural synergy – I couldn't see why we wouldn't do it".

Information service convergence has competitive importance, and ensures differentiation from rivals<sup>16</sup>. This is crucial to be a player in an ever-broadening market place and consumer pool as geographical and time limitations shrink, and one reason propelling the WLCC's creation was to "ensure our place in the hearts and minds of customers"<sup>17</sup>.

Converged information services often garner greater publicity – a Wanneroo interviewee stated: "Our activities get broadcast on a wider scale". Companies who implement integrated information services can use it as a marketing tool<sup>18</sup>, citing modernity in approach, and this also ensures respect and clout. For example, people from Wanneroo commented diplomatically: "I think [professional colleagues] have been pretty impressed with what we've done", and – less diplomatically – "Yeah, they are really envious, it makes you feel good!"

The WLCC employees found "it [convergence] makes for a really harmonious workplace because everybody has a better understanding of what everybody's jobs are". Staff cohesion has grown due to joint initiatives – for example, a participant said: "The 'Symbols of Australia' project was something to really bond and work together on", and the overall number of co-hosted events has increased.

Convergence delivers mutual benefits for partners. Interviewees commented how patrons now "make a day out of it" by visiting all domains. A senior staff member at WLCC noted the café was "getting lots of business from us", frequently doing the catering for the hirers of the function spaces; in reciprocation all WLCC staff receive 10% discounts on coffee!

The use of convergence to 'future-proof' institutions, thus ensuring continuance seems to have eventuated at the WLCC. A library officer said: "Everything is busier overall"; a museum assistant agreed: "I can say yes, 100% it is much busier!"

Yet there are disincentives and negative consequences to implementing information service convergence. There is the chance that it might not eventuate as planned (For example the museum at the WLCC did not receive its planned allocation of space, particularly no education area) and that there will be unequal contributions from the merging partners<sup>19</sup>. There may be disparity in the opening hours of partners: Wanneroo interviewees reported the difference in weekend hours of the library and museum made patrons curious and dissatisfied.

If contrasting partners are selected for a converged information site, conflict in approach may result – for instance there were issues for collection care due to the presence of a food provider, plus a security issue was caused due to the café staying open later than the other partners, meaning the building couldn't be fully alarmed.

Admittedly, converging staff teams is fraught; in particular, roles and responsibilities must be clear. For instance, early on in the operation of the WLCC some people were not invited to relevant meetings, and some messages were misdirected.

The literature about convergence revealed the cost of implementation is a deterrent (the start-up funds vs. long-term savings). Compromises were made at Wanneroo: the museum received less audio-visual equipment, the IT lab opened with 12 not the hoped-for 22 computers, and the library postponed the introduction of RFID. Information service convergence is acknowledged to be demanding of effort, and the Wanneroo Co-ordinator of Museum, Heritage and Arts agreed, writing "the journey was tiring but exciting", and planning of convergence can be lengthy<sup>20</sup>. This was demonstrated by the Wanneroo site taking eight and a half years from conceptualisation to actualisation.



## CONCLUSION

This discussion of issues and implications of convergence was offered to any organisation contemplating a merge, to be transferred to their situation as would best aid them.

It was found that the WLCC case study is a strong endorsement of local governments pursuing convergence, with the construction of the building transforming and improving communities, physical and virtual collections, skills and practices, and achieving qualitative and quantitative benefits, such as higher levels of efficiency and satisfaction.

A senior manager stated, "I would strongly advise that anyone who has an opportunity to do a convergence to have the courage to do it".

The pressures and needs identified earlier in this article are likely to continue in future – such as a stringent financial environment, especially with analysts predicting GFC Mark 2<sup>21</sup>; heightened user demands for "one-stop-shops" and further advances in technology. Consequently the appropriateness of converged information services will also remain, and may even escalate. With this regard the City of Wanneroo intends to use the information and cultural convergence of the WLCC as a model for services in the proposed suburb of Alkimos, and will continue the convergence at the WLCC via aligning and integrating service delivery with health and education sectors, and to target programs to small business.

**Thanks to the City of Wanneroo council and staff for their co-operation. iQ**

- This article is based on a presentation given at the RIM Professionals Australasia annual convention in Darwin in September 2011.

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## Is cloud computing a data centre in the sky?



Recent research of 1000 commuters in the UK, aimed to find out if office workers understand 'geek speak', has discovered that many are not as tech or security aware as they could be.

When asked what cloud computing meant, a quarter thought it was a data centre in the sky. A fifth thought it was something that Microsoft advertises, 10% global warming caused by overheating computers and 10% guessed it was a trendy club in SoHo. Only 35% thought it was a new way to access IT services over the internet.

The survey was conducted by Infosecurity Europe in the run up to the number one dedicated Information security event which takes place earlier this year at Earls Court.

In answer to the question 'What makes Smartphones smart?' a third of commuters thought it was because they look really cool, 46% correctly said it was because they can run applications and also email and web browsers, 9% said it was because they use artificial intelligence. A small minority said it was because smartphones can tell the time in 137 languages or contain nanobots.

When asked what android is, a third said a new science fiction film, 10% a new robot invention and 17% said it was Darth Vader's father! A miserable four out of 10 people correctly said it was an operating system for mobile phones.

### WHAT'S A COMPUTER CRACKER?

Claire Sellick, Event Director for Infosecurity Europe said, "It was surprising that when asked what a computer cracker was, a fifth thought it was a new food for technology freaks, a third a powerful new computer chip, and a few said it was slang for a cocaine user. Only 46% gave the correct answer of someone who breaks into computer systems illegally. Those on the dark side of IT often prey on people's ignorance."

Many commuters also did not have a clue about malware either as a third thought it was a new form of advertising on mobile phones, and a fifth clothes made from recycled materials. Only 30% said it was software designed to harm their computer, and the rest said it was a viral infection."

When asked about how they use phones for work, 90% of people said they now have work-related information saved on their home computer or personal mobile and 81% said they kept sensitive information from their employers on their personal mobiles. Only four out of 10 said the data was protected by encryption. Half of people knew the password for their phone, whilst a third did not use one and 17% could not remember what it was.

When asked whose data they thought was most important to protect, four-fifths said their own data and only 16% said sensitive customer data, and 5% their employer's data.

Many found defining 'consumerisation of IT' tricky – the majority thought it was buying too many computers, iPhones, iPods, games, televisions and gadgets. A fifth were nearly correct in answering, "it was consumers who make their own IT". A few thought it was using up all their computers disk space. Just 22% gave the correct answer of "People using their own IT at work as it is better than their employers".

A third thought 'virtualisation', was a 3D game, 22% a new way of problem solving and 12% a form of hypnosis. A third correctly identified it as the creation of a virtual version of hardware, software or an operating system. **iQ**

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# In the shadow of the cloud – technology in the RIM workspace

## RIMPA 2010 Technology Survey – Part 2

The second part of this article – the first was published in the November 2011 issue of *iQ* – reports results from the RIM Professionals Australasia 2010 Technology Survey, which has enabled a longitudinal view of data first gathered in 2008.

BY MARK BROGAN AND DAVID ROBERTS

### COMMUNICATION AND MESSAGING

Earlier we noted Outlook's dominance of corporate email systems. The 2008 survey noted a majority of host organisations limiting mailbox size (63.6%) as a response to the problem of escalating storage costs. The 2010 survey records a similar, albeit slightly smaller majority (59.4%) (Q. 36,  $r=170$ ). Setting aside the long standing argument about the suitability of ECM and EDRMS as the solution of best fit for email capture into the corporate store, utilisation of these solutions has grown from 35.7% of respondents in 2008 to 46.2 % in 2010 (Q. 42,  $r=169$ ).

This result is tempered by the 'Other' responses to this question, with three respondents noting that capture/profiling into an EDRMS is the policy, but many users do not follow it. Similarly, the number of respondents using a Records Management application to store email rose from (19.8% to 24.9%), though the difference between this and the capture/profiling option is not clear. The non-management options – letting users keep all messages in the mail file and letting them create personal archive files – were commensurately down (31.5% to 24.3%





and 30.6% to 26.6% respectively). This suggests that more of our respondents' organisations are conscious of the risks of these options and organisations are working to achieve greater control of email.

Coincidentally, acceptance and utilisation of email archiving has grown across all measures. Twenty-one per cent (21.0%) of respondents (Q.42,  $r=169$ ) reported working in organisations that use archiving applications (up from 16.4% in 2008). The number of respondents reporting no email archiving in use in the host organisations declined from 57.5% in 2008 to 43.7% in 2010 (Q.43,  $r=167$ ). Has email archiving come of age? In a 2010 review of enterprise content management, industry analysts Gartner, cite improved email application performance, reduced storage costs, improved email backup and recovery, compliance and e-discovery as important business drivers.<sup>1</sup> Business benefit is rated as high. The vendor line-up in this survey encompasses product such as Zantaz, Symantec Enterprise Vault, EMC Email Extender, GFI Archiver and Quest Archive Manager. New entrants include Aftermail and Mimosa Nearpoint. Symantec's Enterprise Vault is the most popular solution encompassing 14.4% of respondents, followed by Quest Archive Manager (4.8%). The number of respondents who were unsure or did not know whether the host organisation had an email archiving solution was consistent with 2008 and once again disappointingly high (31.9%). Are some RIMers displaying the silo mentality that they complain so loudly about when encountered elsewhere in organisations? In the absence of email archiving, the capability of searching Outlook (.pst) email archives across the network may be required for

business and compliance reasons. Between 2008 and 2010, this capability grew from 13.1% of respondents to 18.7% (Q.46,  $r=166$ ).

The growth in use of this range of solutions for capturing and managing email as records – profiling email into an EDRMS, using a Records Management application to store email and email archiving – may well reflect a number of organisations having decided on their approach since the 2008 survey. The number of respondents "Currently evaluating applications to manage email history" (Q42,  $r=169$ ) fell from 16.4% in 2008 to 4.7% in 2010.

In our review of the 2008 data on Instant Messaging (IM) we observed that IM "tends to be seen as suitable for personal, but not business communications, with many employers regarding it as a threat to productivity."<sup>2</sup> This was borne out in the number of respondents whose organisations did not permit the use of instant messaging programs and enforce this as policy (36.5%). The 2010 data show IM no closer to the mainstream with around the same percentage of respondents (36.0%) (Q.55,  $r=164$ ) for this item reporting organisations not allowing use and enforcing this policy. As evidence perhaps that host organisations are more prepared to embrace IM bred for business, the percentage of respondents reporting use of 'secure' 'internal' IM in the form of products such as Microsoft LCS, Lotus SameTime or GroupWise Messenger grew from 17.2 % in 2008 to 25.3% in 2010 (Q.56,  $r=162$ ).

With growing concern about computer security, it would be a surprise if organisational attitudes to external Webmail (Gmail, Hotmail, Yahoo, MSN) showed any sign of moderation. And the data yielded no surprises with the percentage of respondents reporting systems restrictions limiting access in the workplace growing from 35.6% to 39.6% (Q.57,  $r=164$ ). But these technologies are old hat anyway. More relevant in 2010 would be information about social networking services like Facebook, Myspace and Twitter. Use of these services has raised similar issues with employers, including productivity implications arising from time wasting.<sup>3</sup>

Much more important for RIM than the personal use of these services by employees is their use by organisations, along with blogs on their own websites, for communicating with customers and stakeholders as part of their mainstream business. And where you interact with your customers and stakeholders, there are recordkeeping requirements and RIM implications. Unfortunately the survey gives us no insight into trends in this area. Clearly this is an area for improvement in future iterations of the survey.

## NEW TECHNOLOGY

Database archiving appears to have gained ground since 2008, with the percentage of respondents reporting no database archiving declining from 55.4% to 44.2% (Q44,  $r=163$ ). However, little certainty can be attached to findings here with 43.6% of respondents admitting to being unsure, up from 33.8% in 2008. EMC is the only significant vendor reported in this market accounting for 6.1% of respondents.

The use of RFID for file and asset tracking grew from very small numbers in 2008, to 9.1% of respondents in 2010 (Q.53,  $r=164$ ). Q54 explored respondent perception of technology and its potential for utilisation in the RIM program. According to the 2010 data, RFID, Cloud computing, EDRMS/ECM and Sharepoint are the technologies most likely to be undergoing analysis/assessment for potential utilisation in the RIM program (Q54,  $r=54$ ). However, there is many a slip between the cup and the lip as they say, and feasibility assessment is no reliable guide to technology adoption.



## » FOR MOST RIM PROGRAM MANAGERS, ROI WILL BE A MUCH MORE EFFECTIVE JUSTIFICATION THAN COMPLIANCE «

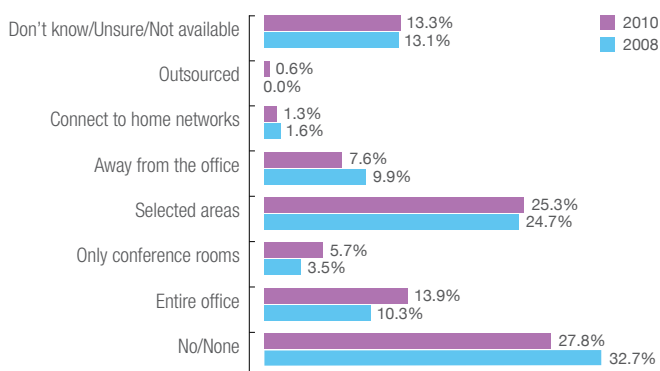
Cloud computing is a case in point. The 2010 data contain remarkably slim evidence of adoption, with only one respondent citing organisational use for data protection and backup and one other reporting evaluation in conjunction with tablet devices – presumably a reference to the iPad. According to industry analysts Gartner,<sup>4</sup> five important adoption inhibitors (risks) have undermined enthusiasm for the cloud. Respectively, these are:

- 1 **Data location risk** – the risk pertaining to where records are being stored, something often not transparent in hosting arrangements
- 2 **Data and code portability risk** – a full application system offered as a cloud service or software as a service (SaaS), can be a tricky place to retrieve code and data, if required
- 3 **Data loss risk** – the risk that a SaaS provider might lose data or records
- 4 **Data security (privacy) risk** – the risk pertaining to operation over the Internet and out of sight, where security and privacy are clear risks
- 5 **Vendor viability risk** – the risk of vendor instability. For example, in April 2011, Techworld reported Iron Mountain's decision to close its cloud based storage services. According to Gartner, Iron Mountain's announcement made it the "third public cloud infrastructure as a service (IaaS) provider to abandon the market over the past year."<sup>5</sup>

In an enterprise context, risk must be carefully considered, and the 'internal' cloud looks a much safer prospect for organisations going forward.

The 2010 survey showed modest increases in the availability of wireless networking in respondent organisations (Q77,  $r=158$ ) (Figure 4). Wireless networking was available in the entire office for 13.9% of respondents (10.3% in 2008) and in selected areas for 25.3% of respondents (24.7% in 2008); while the organisations offering no wireless networking fell from 32.7% in 2008 to 27.8% in 2010. Confusingly, the organisations offering wireless networking away from the office fell from 9.9% in 2008 to 7.6% in 2010! Individually these changes might be regarded as not statistically significant, but together they seem to indicate a general upward trend. The availability of wireless connectivity for visitors in conference rooms (Q78,  $r=159$ ) grew from 20.3% in 2008 to 27% in 2010.

Do you offer wireless networking in your organisation?



On the face of it, these small, perhaps even equivocal, changes are surprising. Since the 2008 survey we have seen the rise of two successive types of wireless devices: firstly Netbooks and then the new generation of tablet computers kicked off by the release of Apple's iPad in 2010. Tablets, in particular, have been touted as business, as well as consumer, devices. Perhaps it is too early to expect to see an impact from the penetration of these devices on the availability of wireless networking in our respondents' organisations. In any case, we need data about the deployment of these devices, if we want to identify the relationship between them and growth in wireless networking. Wireless computing has the potential to change profoundly the way organisations function. Despite the limited evidence available from the survey so far, this is truly an area to watch.

The survey had seven questions about PDAs. We noted in our previous article that this type of device was dominated by smart phones.<sup>6</sup> Two years on, talking about PDAs is even more of an anachronism. The maturing of tablet devices, notably the release of Apple's iPad 2 and a growing range of Android-based competitors, and their growing use as business devices, presents as another hole in the survey.

Last time we noted that penetration of these devices in respondent organisations remained limited. That appears less the case now, with 11–25% of people using them in 20% of respondent organisations (up from 11.3%), and 26–50% of people using them in 9% of respondents' organisations (up from 4.4%).

The dominance of BlackBerry handheld devices continued (Q80, up from 50.8% to 57.2%) but it would have been interesting if newer products, such as iPhones, Android smartphones and tablets, had been available as options.

From the RIM perspective, the most interesting question about PDAs was Q86 (Do the PDAs integrate with the organisation's DM / RM / EDRMS system?). While biased towards a certain approach, this question at least provides some indication of the extent to which business conducted by employees using this technology can be captured into the corporate record. There is little change from the 2008 survey ("Yes" up from 8.1% to 10.3%). A cause for uncertainty is the likelihood that many of these devices would be connected to corporate email servers which, in turn, may be linked to records management systems. So it may be possible to capture records of messages sent to and from a much larger proportion of these devices.

Of more concern is that 28.1% responded "Don't know / Unsure / NA" – plus the 39.7% of the survey population who skipped the question. This suggests that, for many of us, the RIM implications of smart devices are not yet on our radar.

One might have expected to see growth in the use of corporate or enterprise portals among respondents' organisations (Q92: What portal product do you use?). The survey shows little change, with a slight fall in the "None" response (21.7% to 17.1%) and the continued dominance of Microsoft Sharepoint (up from 30.4% to 34.9%). Of interest from the RIM perspective would be the extent to which RM services are available to users working within portal environments, for example, through RM products that integrate with portal systems, like Australia's RecordPoint.

### CONCLUSION

The 2010 survey provided the first opportunity for a longitudinal review of data first gathered in 2008. Subject to its limitations, survey data showed that *perception of benefit realisation from RIM and ECM in respondent host organisations has grown since*



2008. Coincidentally, as measured by respondent attribution of use, host organisations are *deploying more of the functionality that systems deliver*. Both are positive indicators for the future of the RIM program. Elsewhere the data are more sobering and suggest that the ‘tectonic plates’ of records, documents, data and information may be shifting in ways that redefine the RIM program and pose challenges to RIMers who do not recognise these changes.

For example, the data show the growing importance of technologies currently *outside* the RIM space that are significant in RIM terms. Deployment of email archiving is up and the first evidence of database archiving adoption is also coming through. The former elevates to centre stage the comprehensive capturing of information artifacts that are evidence of communications and messaging behavior. In evidential terms, what matters is the email *document* consisting of the metadata, message text, and attachments. Database archiving shifts the locus of concern to the management of *data*, with seldom used data in information lifecycle management terms, held in XML format. The data also show that only one in ten respondents works in an organisation that can claim some level of integration of smart phone technology (Q.86) into enterprise EDRMS/ECM systems. Mobile computing is mostly conducted *outside* the control of enterprise RIM.

In summary, as it was in 2008 and 2010, communications and information technology is working to create new challenges and tools for the enterprise RIM program. As the landscape becomes more complex and rich in terms of the technology tool set, opportunities are created for adaptive RIM professionals who are committed to up skilling, lifelong learning and are prepared to see the program holistically. This is the main lesson to be learned from the mass of data gathered over two years of survey work to date. In *Making records management fit for purpose*, Paula Smith sums it up:

*“The line between records, information, data, and knowledge is blurring in ever-increasing ways. The convergence of technologies, the advances, the ways in which we are using the technologies before us mean that we as records and information management (RIM) professionals cannot see ourselves and our discipline as divorced from the paradigm in which we operate.”*<sup>7</sup>

As well as pointing to the need to work more collaboratively and holistically, to bridge the service gap between records, documents and data, the data also point to the risks of excessive reliance upon compliance as a business driver and the ‘one tool to rule them all’ mindset. Compliance was identified in both 2008 and 2010 as the single most important driver of RIM adoption, growing in importance as measured by the percentage response. Perception of measured Return on Investment (ROI) as a *barrier* to the expansion of RIM (Q.27) also grew over the same period from 26.5% of respondents in 2008 to 33.1% in 2010. Being able to value information assets and demonstrate their relationship with the real business of organisations using financial and non-financial metrics has never been more important, but seems neglected, according to the data. For most RIM program managers, ROI will be a much more effective justification than compliance.

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‘One tool to rule them all’, is short hand for over investment in enterprise ECM/EDRMS business solutions to the exclusion of other, potentially more efficient solutions. Even where ECM/EDRMS is the most efficient solution to a RIM problem, thoughtful approaches to planning and implementation are required. We are told in RIM 101 that successful ECM/EDRMS deployment requires executive sponsorship, support across the organisation and good change management. If anyone of these factors is missing, or if the benefits of RIM have been oversold, ECM/EDRMS may find it has few enthusiastic supporters outside its immediate sponsor community. Exploring new business opportunities for the RIM program is therefore both a source of rejuvenation and an essential risk management strategy.

The 2008 and 2010 data offer some great insights into what kinds of new technologies and knowledge bases some of our more innovative colleagues are exploring. Amid the many references to ECM, EDRMS and WCM, we find business intelligence and collaboration, data mining, enterprise resource planning, customer relationships management, information life cycle management, data archiving with XML- to name a few. The scope of our work and interest as RIM practitioners must move to encompass them all. **iQ**



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# RMs abroad

Meet the ex-pat Australasian records and information management professionals who choose to live and work overseas. In this issue, we visit **JAMES LOWRY** in London.



**James Lowry**  
Program Manager,  
International Records  
Management Trust, London

## Tell us about your background.

I was born in Adelaide in 1978 and took a Masters degree in Information Management (Archives and Record-Keeping) from Curtin University. I worked in the South Australian State Government and the mining industry before moving to London in 2007. I'm a program manager for the International Records Management Trust, and I have managed projects in Nigeria, Kenya, Uganda and Tanzania.

## Why did you go overseas?

Apart from all the usual reasons Australians move to London, I hoped I'd get the opportunity to work for the International Records Management Trust. I'd read a lot about its work when I was studying at Curtin, and I wanted to contribute to it.

## How did it work out?

I didn't like London much at all, for the first few months. It was cold and dark and nothing seemed to work properly. I found a flat and a job quite quickly, though. I had to wait a couple of years for a post to come up at the Trust, but I worked with some interesting archival collections in that time. I particularly enjoyed working at the Royal Festival Hall. Anyway, four years later, I am now working for the Trust and my wife and I have bought a flat here.



## » THE THING I LIKE BEST ABOUT WORKING FOR THE TRUST IS KNOWING THAT OUR WORK CAN IMPROVE PEOPLE'S LIVES «

### Advice for someone else planning such a move would be?

Come in spring so you can get ready for winter. Otherwise, there is not much planning you can usefully do until you get here.

### How did you get into records management?

I intended to train as a librarian after I finished my BA, but the archives courses seemed more stimulating. The more I looked into it, the more I became convinced that archives offered more diverse kinds of work, in more diverse kinds of organisations. I applied for the Masters course at Curtin, and took a records job in the State Government.

### What are the things you like best, and least, about work?

The thing I like best about working for the Trust is knowing that our work can improve people's lives. Government recordkeeping systems have fallen apart in a lot of developing countries. There are videos on the Trust website that include interviews with people who have to wait in registry offices for months while their records are found. Poor recordkeeping affects people's ability to prove they own land, to get justice through the courts, to be paid salaries and pensions, and so on.

The Trust's work in Ghana and Tanzania during the 1990s has had lasting effects on the efficiency of certain ministries, and the work we are doing in Sierra Leone on civil service payroll verification has saved the Government a lot of money that could be redirected to services. I also like that the Trust has made a long-term commitment to the countries we work in, and that the people we work with in those countries are friends as well as colleagues.

There are a few things I dislike about the work. I have sometimes met people who have an interest in keeping government records in disorder; I always find that disheartening. It is especially so because it is never immediately apparent.

Once, Professor Justus Wamukoya, Associate Professor at the School of Information Sciences, Moi University, Kenya, and I were promised an interview with a particular senior civil servant, and we attended his secretary's office for three days, waiting to be given an audience. The delay wasn't unusual, so we only realised we'd wasted our time after a records clerk, who had heard we were from the Trust, discreetly advised us that they were waiting for us to lose interest.

In another case, a permanent secretary assembled various relevant staff members in a meeting room, so that it seemed the meeting would go ahead. We sat around the meeting table for over an hour while they discussed whether or not the meeting should proceed. There was a lot of debate, entirely for show, about the various protocols that had or had not been observed in calling the meeting. Eventually, he put it to a vote. The records staff present voted that we should be allowed to proceed with the meeting, but they were outnumbered. Although these situations are frustrating, and can be absurd, they remind me how important records and recordkeeping are in promoting open government and fighting corruption.

### Your personal benchmark for success is:

Is this going to be helpful?

### Where to from here? Any new ambitions?

I want to continue with the work of the Trust and, in particular, I want to help to achieve some of the initiatives we have

been working on for the last few years. One of the most important is the creation of a digital records management training centre in Africa. We are working on this with the Eastern and Southern African Management Institute, which is based at Arusha in Tanzania, but has sites in 10 countries in eastern and southern Africa and attracts students from central and western Africa too.

None of the African universities teaching archives and records management has the personnel or facilities to offer practical training in this area. The Centre would also offer opportunities for the highly technical research and development that could develop the skills needed to modernise government recordkeeping in Africa and respond to the issues resulting from things like e-government programs, freedom of information / right to information initiatives, interest in 'open data', cyber transactions and cyber crime. A centre would be the quickest and most economic way of developing local knowledge and skills, and the idea is strongly supported by African colleagues, most formally by a written endorsement from ESARBICA (the Eastern and Southern Africa Regional Branch of the International Council on Archives). Obtaining the funding for the first five years of operations, which is how long we estimate it will take for the Centre to become self-financing, is the impediment.

### With whom/what do you like spending down time?

At the moment, I am spending my spare time editing a special issue of *Comma* [the International Journal on Archives] that will focus on sub-Saharan Africa, and, with Professor Wamukoya, a *festschrift* (celebration issue) for Dr Anne Thurston, the founder and director of the Trust. I am volunteering for the Association of Commonwealth Archivists and Records Managers and I am working with some English colleagues to establish a British branch of Archivists Without Borders. Two years ago, I founded a small film festival that also takes some of my time each year, and when I can, I like to work on my *ex libris* collection. Otherwise, I like going to the theatre, the cinema, seeing friends.

### What book(s) are you currently reading?

I am reading Amos Tutola's *The Palm-Wine Drinkard and His Dead Palm-Wine Tapster in the Dead's Town* ([http://en.wikipedia.org/wiki/The\\_Palm-Wine\\_Drinkard](http://en.wikipedia.org/wiki/The_Palm-Wine_Drinkard)). I bought a photocopy of it at the Wuse Market in Abuja, Nigeria, after being excited by the language and style of an extract called "The Incomplete Gentleman" that I read in an anthology of short stories.

### When and where was your last holiday? Why there?

In 2010, I went to a music festival in Lithuania with my wife and some friends. Most of our time was spent in Vilnius, but we did drive out to the Hill of Crosses, near Siauliai. The Lithuanian countryside is beautiful in September.

### Your favourite restaurant and/or dining experience is:

My favourite restaurant in London is St John's, because there are usually lots of traditional but uncommon British dishes on the menu. I've also tried some good food while travelling: the smoked pork that is sold on roadsides in Kampala and the Uzbekistani restaurant near Mendelevskaya in Moscow stand out. **IQ**

**IQ: Thank you for your time and effort James.**

# Happy together?

## Encouraging recordkeeping and ICT professionals to collaborate

This article examines the nature of the relationship between recordkeeping and information and communications technology (ICT) professionals in the NSW public sector and measures that State Records NSW, the State's records and archives authority, is taking to strengthen ties between the professions. It draws on anecdotal evidence and information received from two surveys conducted by State Records in 2010.

BY JANET KNIGHT

### Story snapshot

This article:

- defines the key terms of 'ICT professional' and 'recordkeeping professional'
- discusses why the two professions need to collaborate
- considers some anecdotal evidence about how the professions relate to each other
- explains a survey conducted by State Records NSW to discover what ICT professionals think about records management and some of the key outcomes of that survey
- examines some lessons learnt from State Records' compliance survey on digital recordkeeping which involved ICT professionals
- describes some initiatives State Records has introduced as a result of the survey findings.



## Definitions

### ICT professional

When referring to this stakeholder group the term 'information and communications technology (ICT) professional' is used. This is a collective term and may not be what some professionals would use to label themselves. An 'ICT professional' is someone who has a role in engineering and/or maintaining systems to manage information assets.

It is important to note that in reality ICT professionals are not easy to pigeon-hole. They can have quite different and often unique roles – for example, they could be chief information officers, database administrators, enterprise architects, business analysts, infrastructure managers, network administrators and engineers, programmers, web analysts and more.

### RM professional

There has been recent debate over the name of this very association<sup>1</sup>, demonstrating that recordkeeping practitioners can also define themselves in different ways. The term used here is 'recordkeeping professional' which is meant to cover those with roles in managing and protecting records (and archives) and their ability to function as evidence.

Some recordkeeping professionals may also be concerned with or involved in the related disciplines of information management or knowledge management. Indeed, many ICT professionals surveyed certainly feel this should be part of their role.

## WHY DO RM AND ICT NEED TO COLLABORATE?

Traditionally these two broad groups of quite distinct professionals have not had a great deal of interaction or collaboration. Why do they need to now?

The obvious answer can be summed up in two words: 'digital recordkeeping'. With the increasing use of digital methods of conducting business, recordkeeping professionals need to engage a lot more with a wide range of stakeholders to ensure that digital records which provide evidence of business are captured, maintained and protected for as long as they are required. Engagement needs to be upfront, strategic and proactive.

Recordkeeping professionals need the support, assistance and technical expertise of ICT professionals to help them achieve their recordkeeping objectives. But do they recognise that they also need recordkeeping professionals? Are ICT people even aware of what recordkeeping professionals do in relation to digital information and how their work can be of assistance?

Ultimately the reasons for collaboration should actually be related to the strategic business objectives of the organisation. What does the business want to achieve? Are the skills of both recordkeeping and ICT specialists required for those goals to be met? Often they are and therefore collaboration needs to happen.

## ANECDOTAL EVIDENCE OF HOW THE PROFESSIONS RELATE TO EACH OTHER

State Records has long been preaching the message that for digital recordkeeping to support the business effectively, recordkeeping and ICT professionals need to work together. But it was unclear to what extent real collaboration was occurring and there seemed to be very little research in this field.<sup>2</sup>

Many recordkeeping professionals have reported anecdotally that their ICT colleagues did not see records management as relevant to their objectives and lacked either the time or the desire to collaborate. Some relationships were friendly, but many were cool and some simply arctic.

A few organisations did seem to be making the most of collaboration opportunities, and these organisations were leading the way in best practice digital recordkeeping: but only a few.

In terms of State Records' role, traditionally it has been difficult to engage with ICT professionals. Input has been sought on guidelines and strategies and attempts have been made to invite ICT professionals to forums and focus groups on relevant topics. However, comments were rare and attendance at events even rarer. Often a handful of 'sympathetic' ICT people

have been relied upon to obtain the ICT perspective and it has been rare for State Records' staff to interact with or impact on the majority. Even when staff members have been in the ICT arena, e.g. presenting to ICT groups, often participants would get up and walk out before the presentation commenced!

State Records staff have also fought for a place at the table in various ICT meetings and developments such as the implementation of large or whole-of-government systems or strategies, but while sometimes involvement was secured, the recordkeeping advice often goes unheeded or is placed in the 'too hard' basket (with a few notable exceptions).

## SURVEY OF ICT ATTITUDES

The relationship between the professions was clearly not all rosy. However, there was not any real concrete evidence of what ICT professionals thought. So State Records' staff decided to ask them!

### Survey aims

A survey was conducted of ICT professionals in July-August 2010 in order to understand the problems they face in relation to digital information, their attitudes toward recordkeeping and records management, if they saw any shared objectives and what they saw as the barriers to cooperation.

It is important to stress that the survey was never undertaken to evaluate what ICT professionals thought about the performance of recordkeeping professionals or the quality of their work (although some comments along these lines were received).

The ultimate aim of the survey was to determine projects and initiatives that State Records could undertake to foster better working relationships between the two groups. These would then hopefully encourage better digital recordkeeping and compliance with State Records' standards and bring about better business support.

State Records' staff also hoped to gain a better understanding of how to engage with ICT professionals and tailor guidance to them more easily in future.

## SURVEY FINDINGS

There were 217 respondents. The staff at State Records considered that quite a victory as there had been so little success obtaining feedback from ICT professionals before. However, they were brought back to earth by the fact that only two ICT professionals approached were willing to take part in the focus groups arranged to workshop the results!

This article does not give a full description of the survey findings. There is an extensive description of results and analysis of findings in the Survey Report which is available online.<sup>3</sup> This article will, however, highlight some of the major issues that the survey revealed.

Generally, the survey results were surprising and encouraging. The majority of the sample were quite respectful of their recordkeeping colleagues and recognised that there is value in collaboration if barriers can be overcome. However, these may have been the professionals already more willing to engage – the ones who think records management has no value probably didn't fill in the survey!

### Barriers and obstacles to cooperation

There were a number of barriers to cooperation identified by ICT professionals or made clear from an examination of the survey results.

Firstly, ICT and recordkeeping professionals have fundamentally different understandings of the same key concepts associated with digital recordkeeping. For example, there is confusion and disagreement within the professional communities about what digital records and archives are, how records differ from information and what records need to be saved.

Not only are conceptual understandings dissimilar, the professions really do speak a different language. How can communication and collaboration happen if they can't even understand each other? ICT professionals believe this problem stems from the fact that the training and education for each profession has a fundamentally distinct focus and vocabulary and this is perpetuated by the fact that many practitioners operate in 'silos'. If recordkeeping professionals really want to engage they need to express their requirements in ICT terms or, even better, in plain English that can be understood by all.

It was also clear from the survey that there are misunderstandings between professional groups regarding the definition of their roles. As roles evolve the traditional lines between the ICT, information and recordkeeping professions are blurring. This leads to mistrust and territorialism which is at the heart of some of the conflict experienced. An alternate problem with roles in some organisations is that many ICT professionals assume that the role of a recordkeeping professional only encompasses paper records – the stereotypes have stuck and recordkeeping professionals are not seen as players on the digital stage.

One of the fundamental problems identified by ICT professionals is the technical skills of recordkeeping professionals. While there is a growing body of highly skilled practitioners who have embraced technology, there are still many who shy away from it. This is no longer an option. Recordkeeping professionals need to have a working knowledge of relevant technology to meet their professional obligation to protect the records or they will risk career obsolescence.

Other key obstacles identified by ICT professionals included personality clashes, the lack of time to think strategically, the lack of support from senior management, the lack of resources and physical isolation. Many of these obstacles need to be on the radar of senior management in organisations. Shared service arrangements in NSW for both records and ICT may complicate some of these issues further.

### Common goals and problems

On the positive side, the survey findings highlighted that the professions are united in their concern to address a number of key problems with digital recordkeeping.

Most surprisingly the number one area of concern identified by ICT professionals (64.5%) was classification. It is often assumed that ICT professionals do not see the validity of classification. They do recognise its importance, but as a means to improve retrieval rather than as a structure for linking to business activity. Opportunities exist here for a unified approach to the collection and application of good quality metadata *in addition to traditional recordkeeping classification* to make dramatic improvements to retrieval.

The professions are also unified in the goal to rationalise and reduce storage of digital records. Again this was surprising. While the assumption was that ICT want to keep everything (and this was certainly a prevalent attitude for a time) they are realising that it is not a viable prospect to preserve, structure and provide access to everything in a digital environment.

ICT professionals also share many of the concerns that recordkeeping professionals grapple with. Problems identified included:

- employees unwilling to meet their responsibilities
- too many formats
- system limitations
- authenticity and security
- preserving digital information over time
- email management
- lack of guidance and standards
- lack of defined retention/disposal requirements
- ownership or compliance issues
- aligning to business needs.

With some of these issues ICT professionals want recordkeeping professionals to assist them (if obstacles can be overcome). With some issues they don't even recognise that their recordkeeping colleagues can help.





## » IF RECORDKEEPING PROFESSIONALS REALLY WANT TO ENGAGE THEY NEED TO EXPRESS THEIR REQUIREMENTS IN ICT TERMS OR, EVEN BETTER, IN PLAIN ENGLISH THAT CAN BE UNDERSTOOD BY ALL «

### OUTCOMES OF THE SURVEY

The survey certainly provided State Records with a more concrete understanding of what some ICT professionals think of recordkeeping, where they see synergies and what obstacles may need to be overcome to encourage collaboration.

As stated, the ultimate aim of the survey was to determine projects and initiatives that State Records could undertake to foster better working relationships between the professionals. A huge list of potential projects was included in the survey report<sup>4</sup> with a feature enabling readers of the report to rank which projects they felt would be of most benefit. While it was hoped this would tweak the interest of ICT professionals so much with the survey that they would rush to provide feedback, State Records received very little direct feedback from ICT professionals. Clearly seeking engagement is not an easy process.

### COMPLIANCE SURVEY

Shortly after the first survey State Records issued another survey: this time it was a compliance survey of the 309 NSW public offices to assess whether they had met the first phase of implementation requirements for our mandatory *Standard on digital recordkeeping*.<sup>5</sup>

#### Aims of the survey

The survey sought to measure whether for systems acquired or built after 30 June 2009:

- digital records had been defined for the business processes the systems support
- the systems are designed and implemented as recordkeeping systems
- the systems have the required functionality
- the systems can capture the defined minimum capture and process metadata requirements and link these persistently with the records
- the metadata is disposed of in accordance with the *State Records Act*.<sup>6</sup>

This was for any new business system including administrative management systems like HR or finance systems or other systems designed to manage core business.

It was strongly recommended that the organisation's ICT and recordkeeping professionals complete the questionnaire together and being a compliance survey, a number of senior managers also took notice. Amazingly, and largely due to the dogged persistence of Catherine Robinson, the responsible staff member at State Records, the response was 100%. The survey report is again available on State Records' website.<sup>7</sup>

#### Relationship issues revealed by the survey

The survey results were in some ways very encouraging. In 83% of cases public offices had met most of the minimum requirements of the standard for the first phase.<sup>8</sup>

However, in obtaining responses to the survey there were many reported problems in securing cooperation between recordkeeping and ICT professionals. ICT professionals often queried why they should have to engage with State Records at all. On some occasions it was difficult to identify who in fact were the 'system owners' as documentation about them was minimal.

The responses again pointed to language difficulties between the professions. As one respondent commented "...[you need to] make your questionnaire natively understandable by ICT professionals". So State Records needs to work harder to be understood and avoid confusion. Terms that the staff who compiled the survey thought everyone would understand, like "business systems" (which had been defined carefully in the survey), were actually open to wide interpretation.



This survey again highlighted that many recordkeeping professionals lack the skills and knowledge required to manage digital records in business systems. For example, staff at State Records had to clarify repeatedly to recordkeeping professionals what recordkeeping metadata was and that it was indeed a State record residing in business systems where records were captured and maintained. In addition, few understood the rules about the disposal of metadata. In fact the whole issue of digital disposal at all in business systems is a significant challenge for many recordkeeping practitioners.

The survey also revealed that organisations are investing time and resources into acquiring and developing systems, but little if any effort is going into their long term management. For example, only 40% of the 213 new systems acquired after 30 June 2009 had documented metadata mappings and very few (20) had migration planning. With systems being renewed on average every 5-10 years this is of concern. Disposal is not undertaken in 75% of these systems and only about 1/5 of systems had the capacity to document the disposal of digital records. Is this because recordkeeping professionals are not stating these longer term planning needs strongly enough at the design phase of systems?

As an aside, another issue for the long term management of business systems, that State Records' staff members often hear about anecdotally, is that ICT practitioners involved in the development of systems often pay scant or no attention to documenting the way systems have been configured, which is a major risk for the long term management of the records within it.

Two senior project officers from State Records had a number of follow-up face to face sessions with selected organisations. These discussions were often fruitful but also often fraught. These meetings, along with feedback from recordkeeping professionals by phone, were valuable in identifying issues encountered by recordkeeping professionals when liaising with their ICT colleagues. Some ICT staff:

- overused their own jargon – sometimes deliberately
- treated recordkeeping requirements as 'administrative add-ons' rather than being relevant to business
- assumed the system could meet the basic requirements of the standard without conducting any assessment
- equated recordkeeping with information security compliance in ISO 27001
- believed that there were no records in business systems
- believed that back up systems would ensure recordkeeping obligations could be met.

Clearly there is work to do in building relationships and clarifying what is needed.

Another very useful thing State Records staff learned through these interactions is that sometimes the expectations placed on ICT practitioners are too great. For example, there is often little value in instructing ICT staff on how to identify recordkeeping requirements. While this detail may be of interest to some business analysts and enterprise architects, the average ICT person does not see it as their role – their role is the delivery of the platform and tools to meet the requirements that have *already* been specified. Dialogues about setting requirements for business systems need to occur more between recordkeeping professionals and business managers/system owners. This is another stakeholder relationship that needs to be nurtured.

## INITIATIVES STATE RECORDS HAS INTRODUCED

The surveys have given State Records a better understanding of why there is not a marriage made in heaven and how to start addressing barriers to collaboration. Staff members at State Records are learning to approach interactions with ICT with modified language and very concrete examples of what is required. There is also more clear identification of 'what is in it for them' and the business so recordkeeping is not seen as a pointless bureaucratic exercise.

Some initiatives State Records staff have developed or are developing include:

- a 15-minute e-learning module aimed at ICT which gives an overview of what records management can do to help them manage the problems they face with digital information<sup>9</sup>
- a section on the website that draws together existing resources that can assist ICT with these problems<sup>10</sup>
- more examples, case studies and templates on a range of digital issues to make it very concrete what is required<sup>11</sup>
- more guidance in key areas like managing shared drives, information enterprise architecture, metadata, disposal in the digital environment, assessing business systems<sup>12</sup>
- targeted approaches to system owners and business managers to make it clear why ICT and recordkeeping professionals need to work together and why it is important to identify requirements for recordkeeping and build them into digital systems.

In addition, State Records' staff members continue to speak at conferences and forums, to invite ICT professionals to relevant events, seek involvement in whole of government



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ICT initiatives to ensure a recordkeeping perspective is added to the mix and advise particular recordkeeping professionals in agencies about working with ICT to address their digital recordkeeping problems.

### A TASTE OF SUCCESS...

To end on a positive note here are a few success stories:

- 1 State Records has been working with the development team from the Department of Premier and Cabinet regarding the whole-of-government e-recruitment system. Over time the team have built many recordkeeping requirements into the system rather than expecting users to manually capture records afterwards.
- 2 The University of Sydney have worked very successfully with their ICT staff to build customised user interfaces and successfully address recordkeeping needs in their business units. May Robertson gave a presentation on this at the NSW Records Management Forum in November 2010 and the podcast is available on our website.<sup>13</sup>

### CONCLUSION

In conclusion, State Records has made a conscious effort over the past year to engage with ICT professionals and sell the message that records management has value in the digital world and partnerships with them are crucial to support business.

The surveys have provided a much more concrete understanding of why, for the most part, it is difficult to engage

with this stakeholder group and what they see as the barriers. Some of these barriers are complex and many are out of State Records' control e.g. personality clashes, physical isolation, lack of senior management support, lack of time and resources and different educational backgrounds and skill levels.

Despite these problems, State Records can claim to have made some baby steps in trying to strengthen ties between the professions. Perhaps this has not happened as successfully or as quickly as initially hoped, but slow progress has been made. Many lessons have been learned along the way which will inform future projects aimed at fostering this important relationship. Hopefully the professions will one day get to the point where they can be 'happy together.'

*The State Records website can be found at [www.records.nsw.gov.au](http://www.records.nsw.gov.au) iQ*

• This article is based on a presentation given at the RIM Professionals Australasia annual convention in Darwin in September 2011.









### About the author

JANET KNIGHT is a project officer in the Government recordkeeping program at State Records NSW.

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# Previewing

## Business + RIM + ICT = Strategic Success

Melbourne – 28 August  
Perth – 30 August  
Wellington – 31 August

This year, inForum is being held as a series of one-day multi-stream conferences in three different cities. The theme will explore how records and information management works in conjunction with other key roles to achieve strategic success.



In 2012, RIM Professionals Australasia is assisting with the International Council on Archives (ICA) Congress being held in Brisbane, 20-25 August 2012.

As a result, instead of running inForum in its traditional format in 2012 there will be a series of one-day, multi-stream conferences to be held in Melbourne (28 August), Perth (30 August) and Wellington (31 August) utilising speakers from the ICA Congress (many of whom are international) and from across Australia and New Zealand.

Our theme, **Business + RIM + ICT = Strategic Success**, explores how RIM and ICT support business objectives in order to achieve strategic success. While the role records and information management plays is important in any business, it is only part of the equation. The way it works in conjunction with other key roles determines the success or failure of projects and achievement of strategic goals.





## Melbourne – 28 August

Ibis Hotel, Therry Street, Melbourne

Leading the way for events, arts, culture, sport and infrastructure, Melbourne offers something for all types of conference and incentive groups.

The city is set on the shores of picturesque Port Phillip Bay, with its beauty enhanced by the meandering Yarra River, immaculate parks and gardens, public art, enchanting laneways, classical buildings and innovative design.

Melbourne is a truly global destination for major events and is home to five of the six most significant annual sport events held in Australia including the Australian Football League Grand Final, the Spring Racing Carnival, featuring the Melbourne Cup, the Australian Open Tennis Championships, the Boxing Day Cricket Test and the Australian Formula 1™ Grand Prix.

Famous for its laneways, stunning waterfront precincts and trendy neighbourhoods, the city provides an endless choice of restaurants, cafés and bars in original locations.

Melbourne's rich multicultural history combined with the drive for innovation has resulted in some of the most delicious and diverse cuisine in the world. Melbourne is also famous for its many and varied shopping experiences, including those offered in historic laneways, outdoor markets, international boutiques, comprehensive shopping centres and department stores.



## Perth – 30 August

Kings Hotel Perth, cnr Hay and Pier St, Perth

Perth City Centre is located alongside the peaceful waters of the Swan River, 20km inland of the Indian Ocean on the West Coast of Australia. Much of Perth was originally built using convict labour and this can still be seen today in some of Perth's remaining historic buildings. These days however, the river and surrounding area provides a scenic outlook for the city of Perth as well as a place for recreational activities.

The area around the city also had significant historical meaning to the Aborigines of the region, and according to Aboriginal folklore the Swan River was created by a large mythical snake known as the Waggy, which slithered its way through the area creating the bends and gullies which shaped the river. In winter came the rains which filled the empty channel with water, and the river we know today as 'The Swan' came to be.

During your visit to Perth you will find many fun activities in Perth's city centre, many of which focus around the picturesque Swan River. You can enjoy one of the many river cruises which operate along the river, some offering dining and music as you spend a few hours cruising in and out of the city.

For spectacular panoramic views of Perth and the river, visit Kings Park and Botanic Garden and take advantage of the many lookouts and vantage points available to the public, or enjoy a relaxing picnic in one of the many recreation areas of the park.

The Swan River also provides an excellent scenic backdrop to enjoy while dining in Perth, and many restaurants have excellent river views where you can enjoy delicious meals while taking in the surrounding landscape.

While in the city visitors can also visit some of Perth's main tourist attractions including the Perth Zoo and the Old Mill, both just a short ferry ride from the city, as well as Barracks Arch and Kings Park both of which are located just on the edge of the Perth city centre, and are easily accessible by public transport.



## Wellington – 31 August

Abel Tasman Hotel,  
Willis Street, Wellington

Arts, culture, fine dining and breathtaking natural scenery – that's what Wellington's all about.

New Zealand's capital city is nestled between rolling hills and a stunning harbour, and has a vibrant and compact downtown area that's best explored on foot.

The city is home to Te Papa, the national museum, which tells the story of New Zealand's history through bold and interactive exhibits. In Wellington you'll discover an amazing range of cafés, art galleries, theatres, attractions and a humming nightlife. The gourmet and wine experiences of the Wairarapa region are also just a short drive away. **iQ**



## inForum 2013 – Canberra

The RIM Professionals Australia conference for 2013 will be in Canberra from 8-11 September and will coincide with Canberra's 100th anniversary celebrations.





# TRACKING THE CARBON FOOTPRINT: recordkeeping and global responsibility

As awareness grows regarding the need to cut carbon emissions and the general community indicates a desire to help, what appropriate recordkeeping systems are necessary to record carbon outputs? Here, the authors examine what governments are doing in Australia and internationally to create environmental accountability

BY DR BOB PYMM AND RACHEL CREASE

## Story snapshot

- Maintaining records relating to carbon production in industry requires sophisticated accounting and recordkeeping systems.
- This has led to a raft of new and complex legislation and a new international standard for the quantification and reporting of greenhouse gas emissions and the systems associated with tracking these emissions.
- A cooperative, informed approach is needed to ensure its introduction is as smooth as possible in this major new area for industry, government and records.



» "IT IS THE PUBLIC THAT IS BEING ASKED TO ASSUME THE RISKS ... THE PUBLIC MUST DECIDE WHETHER IT WISHES TO CONTINUE ON THE PRESENT ROAD AND IT CAN ONLY DO SO WHEN IN FULL POSSESSION OF THE FACTS." »

(RACHEL CARSON, CBS, 1963)

Carson's comments were made in the context of concerns that an extreme ecological catastrophe was about to be triggered by the build-up of DDT and other chemicals in the environment. If she was commenting today, it would likely be in the context of the controversial climate change debate. Facts and statistics abound around climate change; it is in their 'full possession' or otherwise that the polemic lies. As those responsible for the management of information, the collectors and keepers of those 'facts', records professionals, have a vital role to play in the business of climate change.

This article will focus on why the recordkeeping role is particularly important in the context of the climate change debate. The need for accurate and reliable records to provide the evidential base is critical for both informing the public debate and also providing the basis upon which legislation can be implemented. For organisations affected by such legislation, having effective records management systems in place to record carbon outputs will not only be a legislated requirement but will also be essential for budgetary purposes and future planning. The contested nature of the debate raises the importance of primary records as evidence and pushes such records into the limelight.

Since Rachel Carson alerted the world to the dangers of indiscriminate use of pesticides in *Silent Spring* (1963) and the Club of Rome published its *Limits to Growth* (1972) the modern environmental movement has gradually gained momentum. Today the environment is as much part of the mainstream consciousness as education or health, recognised in curriculum and outcomes at all levels of education, in the establishment of government departments and in the mission statements of private enterprise. Many issues are debated under the environment umbrella, with climate change being possibly the most hotly debated of all.

Climate change has been called the greatest social, economic and environmental challenge of our time (CSIRO, 2011, p. ix). In Australia this impact is changing our 'rainfall, temperatures, bushfire frequency, health, heritage and biodiversity for current and future generations' (Department of Climate Change, 2011). And as polluters of the Earth's atmosphere, Australians are the worst (Garnaut, 2011, p. xvii), with the highest per capita greenhouse gas emissions in the developed world; ironic for a people who outwardly take such pride in their environment and who have had a profound influence on the establishment and growth of the modern environmental movement.

The above information about climate change comes from reputable government and NGO sources. They are not, however, accepted by all and there are many organisations and individuals who campaign on a platform of climate change denial. The Citizens Electoral Council of Australia, for instance, claim that "satellite temperature data shows average global temperature is now on the decline" (Isherwood, 2010) and British climate change sceptic Christopher Monckton has called global warming a "scam" and claims that a carbon tax would "push Australia into economic oblivion" (Burrell, 2011).

It would seem then that every person and institution has an opinion, or a belief, about climate change, and such beliefs, right or wrong, are important, for they determine, in the end, the political will power to tackle the issue.



»» “WHAT HAPPENS IN THE COURSE OF MANY CAMPAIGNS IS THAT INFORMATION BECOMES A ‘RESOURCE’ WHICH IS USED TO PROMOTE THE CAUSE RATHER THAN TO ENLIGHTEN PEOPLE SO THAT THEY CAN JUDGE THE ISSUES FOR THEMSELVES.” »»

(MARTIN, 1988)

More than 20 years ago, in the context of education and the environmental movement, Martin commented on how information was frequently misused to serve a campaign, rather than enlighten people.

But maybe there is more to it than simply misusing the available information. What if the facts themselves are hard to find, and even harder to comprehend? Maintaining records relating to carbon production in the manufacture, production and delivery of goods and services is in itself a complex business requiring sophisticated accounting and recordkeeping systems. For example, recent guidelines produced by the UK Department of Energy and Climate Change (2011) to assist industry capture and record its greenhouse gas emissions in order to meet reporting requirements run to 50 pages, with links to four other separate sets of guidelines that may also need to be followed in some circumstances. Just understanding what is required is a major task that will need to be addressed by records managers in developing new policies and processes. Thus industries as disparate as mining, agriculture, electricity generation and road transport will need to maintain huge volumes of records and may need to report according to more than one standard in order to meet the demands of legislation ranging from the international, such as the Kyoto Protocol, to national, state or local levels.

Within Australia, federal and state governments have proposed and enacted a range of measures and schemes at both the state and federal level aimed at measuring greenhouse gas emissions, seen as key contributors to climate change. These include the National Carbon Accounting System (for land-based emissions); state-based greenhouse gas reduction legislation, National Carbon Offset Standards, carbon farming initiatives, various programs to reduce household emissions and now, the proposed Clean Energy Futures Plan (popularly known as the Carbon Tax).

Potentially, a great deal of money is involved in these schemes, many of which are seen as controversial. And also, a great deal of recordkeeping and information gathering, with each program calling for reporting in a standardised manner, evidence to support the manner in which the information has been gathered and reported, and the need for regular audits and external validation.

It is clear that this raft of complex legislation, proposals and schemes all involve the keeping and reporting of large amounts of information. As Dearstyne (1999) noted in the broader context... (see quote right):







» « “...INFORMATION HAS GRADUALLY BEEN RECONCEPTUALIZED SO THAT IT IS NOW WIDELY REGARDED AS A KEY STRATEGIC RESOURCE FOR INSTITUTIONS, THE BASIS FOR DOING BUSINESS AND DELIVERING SERVICES...” » «

(DEARSTYNE, 1999)

For carbon emissions accounting and trading, it will be fundamental with effective recordkeeping underpinning the implementation of strategies to deal with the broader issue of climate change. But Dearstyne also goes on to sound a note of warning over the need for records professionals to continue to emphasise their role and value to an organisation in order that, despite the growing recognition of the importance of information to organisational success, the position of the record keeping function is not undervalued or marginalised. Taking Dearstyne's point, it may be that these new requirements provide an opportunity to enhance the role and status of recordkeeping within organisations. For organisations and governments, large amounts of money will be involved, and dispute over the rationale behind these schemes is likely to continue. Collecting and maintaining relevant, accurate, verifiable records is going to be crucial to the success of any of these programs.

### RECORDKEEPING AND CARBON EMISSIONS REPORTING

The introduction of an international (and Australian) standard specifying the principles and requirements for quantification and reporting of greenhouse gas (GHG) emissions and the requirements for the design, development, management, reporting and verification systems associated with tracking these emissions provides a set of first principles (AS/ISO 14064, 2006). The standard comprises three parts providing considerable detail informing organisations on how to identify, quantify and report emissions, both to internal and external users. It also outlines approaches to dealing with facility-level data and consolidating that at the organisational level.

The specifics covered in 14064 are of course supported by the AS/ISO Standard 15489, fundamental to records management, which is all about records management assisting organisations create, capture and manage full and accurate records to meet their business needs, legislative requirements and other stakeholder's expectations. The standard emphasises the importance of recordkeeping in meeting legislative and regulatory requirements and in providing evidence of such compliance through the records of its activities. Section 7 of the standard describes the characteristics expected of records – that they are authentic, reliable, are complete and unaltered and so on. While none of this is new, in a contested arena where significant financial resources may be involved and where there is a high level of dispute as to the usefulness of the entire activity, transparent adherence to such standards becomes critical for any organisation. In this particular context of reporting carbon emissions, the concerns of stakeholders are heightened. Thus for:

- **Business or organisational needs:** there may be a significant financial impact caused by the legislation while at the same time the organisation may be eligible for offsets, rebates and so on. There will also be an accounting impact which needs to be tracked – possibly a reduction in the value of assets, following cash flows, keeping track of inputs and outputs and their carbon 'impact' and so on. And of course there is the need for accurate reporting to shareholders, the ASX and government.
- **Legislative requirements:** legislation will call for specific records to be maintained, be available for auditing and indicate their compliance with the Act. As Schwirtlich (1999) reminds us, 'Legislation is one way of ensuring the importance of accountability, distributing responsibilities ...



and of articulating public rights' and in this particular case, again, there is a heightened awareness among the public with a desire for reliable, accurate information to inform what will inevitably be an ongoing debate.

- **Stakeholder expectations:** politicians on both sides of the issue; the complete range of pressure groups (for example, farmers, miners, environmentalists and so on) and the general public feel a real connection with this issue which has become a polarising one within the community. Both sides of the debate will produce facts and figures in support of their position and it is vitally important that reliable, accurate records are available to help provide unbiased information from a neutral perspective. As *The Age* reported recently, "... accepting the need for change depends on easy access to accurate information, something largely absent from much of the debate around the proposed carbon tax..." (29 July 2011).

The benefits of good recordkeeping generally have been clearly articulated across a wide range of situations and the case for recording carbon emissions and usage is no exception. The development of assessment tools such as the JISC Impact Calculator, a powerful, freely available instrument that enables organisations to assess the tangible and intangible benefits of an effective records management function for the whole organisation in relation to the resources involved in implementing and maintaining such a function, provide a reasoned basis upon which to build record management systems. As Jones (2003) points out, an effective records management function should be seen as an investment for the organisation, not just an expense.

This view is echoed by O'Brien (2007), noting in their response to the publication of the National Greenhouse and Energy Reporting System (NGERS), that "high standards of recordkeeping improves the likelihood of corporations being able to demonstrate compliance" and go on to suggest that a review process be undertaken by external auditors of existing recordkeeping systems to ensure such systems meet NGERS reporting standards. Another submission to the same report noted the need to enhance transparency and hence credibility of emissions and energy usage reporting, again calling on reported data to be externally audited (KPMG, 2007).

The National Greenhouse and Energy Reporting System legislation (2007) established a national framework for organisations to report greenhouse gas emissions and energy consumption and production. NGERS sees reporting and its associated recordkeeping as critical to the success of any emissions reduction program, being 'a central component of most greenhouse and energy programs as it allows entities and governments to monitor the achievement of their greenhouse and energy objectives' (NGERS, 2008). This System established a national framework and standards for reporting across all industries. Section 5 of the System spells out the principles to be applied when designing reporting programs. These principles will come as no surprise to recordkeeping professionals and include: relevance, completeness, consistency, transparency and accuracy. However, the complexity of the reporting requirements and the challenge of meeting these principles led to the development of formal NGERS Reporting Guidelines (2008) to assist organisations meet their responsibilities under the Act. While allowing a level of flexibility, "Although the information to be kept in records is a matter for individual corporations ..." the Guidelines then go on to detail the mandatory records to be created and retained (for seven years) "in order to maintain a high-quality, easily auditable greenhouse gas inventory" (p. 37).



To assist in this reporting process, the federal government also redeveloped an online reporting tool, the Online System for Comprehensive Reporting (OSCAR), for the capture of information required under the Act.

### ISSUES FOR RECORDKEEPING PROFESSIONALS

The introduction of this wide-ranging raft of legislation and its high visibility with the general public does create some concerns for recordkeepers over and above the normal challenges provided by the demands of any new legislative requirement. Many of these can be seen as broadly generic issues concerned with the 'big picture', affecting the records management profession generally, but that will need to be addressed in ways specific to the policies and practices of those businesses. Thus these concerns include:

- The complexity of the range of legislation being put in place and its various recordkeeping and reporting requirements. At the federal level this includes: the proposed Clean Energy Futures Plan currently being drafted; the NGERS reporting requirements noted earlier; the National Carbon Offset Standard (NCOS); and the National Carbon Accounting System (NCAS). And this is not all with most of the States also having their own set of requirements of which the New South Wales Greenhouse Gas Reduction Scheme (GGAS) is probably the best established with its own complex reporting and compliance requirements.
- Additionally, there are international standards and reporting requirements to which Australia is committed. The Kyoto protocol is probably the best known. This calls for quarterly reporting across a range of indicators in order to assess progress against our Kyoto targets.
- The widespread impact of these legislated reporting requirements falls across virtually all large businesses, industries and organisations. The complex changes to internal policies, procedures, accounting and recordkeeping systems that will be required are going to be similar, regardless of the organisation. There are opportunities here to build on existing networks, industry groupings and system user groups to work together in order to keep costs down, develop better systems more quickly, increase awareness and provide professional development for staff.
- These changes to systems bring with them the concern that sophisticated (and expensive) EDRMS installations will need upgrading or integrating with newer data capture





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approaches required to acquire and manage this volume of new data. Recent concerns over the value and complexity of EDRMS and their shortcomings (see for instance Steve Bailey's 'case for the prosecution' 2007) suggest that there will be considerable effort required to ensure existing systems can cope with this influx of a large amount of new data and manage it appropriately without requiring substantial and costly upgrades.

- Away from the mandated requirements, it is clear from the level of community interest, debate and polarisation on the issue suggest that records created and reported on carbon emissions and usage will be the subject of close scrutiny by both experts in the field and the general public. They will be highly visible and for some, controversial. The value of these records as evidence will likely be disputed and clear, auditable trails from their creation to their use in the various reporting requirements will be essential.

### CONCLUSION

While there are many and varied greenhouse gas emission reduction schemes being planned, or in place, around the world and within Australia, with detailed reporting requirements and guidelines for compliance, there appears to have been limited discussion of the impact this may have on recordkeeping processes. Yet the recordkeeping standards demanded by such legislation are, for very good reasons, exacting. The potential costs and revenues involved are considerable.

It is in enabling impartial evidence to be brought to the discussion that good recordkeeping practices come to the fore. Auditable, measurable and transparent systems will provide the level of openness necessary for informed debate. With such a high-profile topic, with extremes of opinion and political support, the ability of our profession to make a significant contribution to the debate is considerable.

But it will need the profession to be proactive in designing or redesigning policies, practices and systems, working closely with IT departments and systems developers; liaising with relevant government authorities and accounting bodies; and in developing arguments and business cases for senior management in order to ensure the business is ready and properly equipped to meet the demands of the new environment. There needs to be more published to inform the profession – case studies, industry specific studies etc – and close cooperation with government departments to ensure relevant training, workshops and guidance material is provided before the legislation comes into force. It is a major new area for industry, government and records management – it needs a cooperative, informed approach to ensure its introduction is as smooth as possible. **iQ**

- This article is based on a presentation given at the RIM Professionals Australasia annual convention in Darwin in September 2011.



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## Creating your blended learning success story

**The strategic approach:** Drive adoption via a controlled, staged rollout that also manages the adaptation of the record team to their new EDRMS role, requirements and skill development. From the outset create a business support structure via super users and self-directed learning tools for end users to minimise necessity of individual support by the records team.

### Recommendations:

- Rollout business unit by business unit over six months.
- Develop a strongly defined communications plan externally with high use of visual tools to create a consistent, upbeat message (posters, flyers, and video).
- Train records staff in end user and records specific use of the EDRMS, BCS training, file planning and support, and communications.
- Run manager workshops on record management responsibilities, system capability and risk management through EDRMS.
- Train 20% of staff as super users using multi-modal delivery (instructor led, eLearning, online forums, help guides).
- Train end users by instructor-led training with advanced topics available via eLearning and super user support.
- Develop file planning sessions and targeted goals, with a reward structure in place managed by internal records team.
- Establish improved productivity through information management of organisation wide business process in EDRMS using an external business analyst.

### Scenario 3: Connecting business

The organisation has an identified risk within a business unit where critical information is currently managed via physical records with a high loss rate.

**The goal:** Reduce the risk of information loss by re-engineering the business process to utilise the existing EDRMS.

**The organisation overview:** Business unit of 500 staff within a larger organisation, 100 locations across state, two records officers within unit, recent past experience of major technical software implementation causing breakdown of business functions, very low level of administrative staff, high level of executive support, single critical business process.

**The strategic approach:** Deliver the EDRMS solution as a business productivity enhancement of core service delivery. Key actions will be to provide ample opportunity for input into the business solution to reduce project failure risk through cynicism caused by association with previous failures. The approach will incorporate a high intensity communications and change program, and extensive trialling of all components to prove the training and change design before rollout.

### Recommendations:

- Develop a rollout plan with initial stage of a quarantined trial to fully test and endorse process. Timeframe for delivery not defined until trial demonstrates reduced risk and increased productivity. Delivery across state to be undertaken on a staggered regional rollout. Expectation full trial and approval will take 12 months or more.
- Provide basic EDRMS skills instructor-led training provided to all staff.
- Map core business process which is the sole recordkeeping function for the majority of staff, to the EDRMS. Create training specific to business process, rules and use of EDRMS. Provide instructor-led training to all staff.
- Carefully control dissemination of information via multiple modes over life of project, with a strong face-to-face approach. Use an external project manager to work closely with internal business improvement team to communicate with staff.
- Elicit input and feedback from stakeholders and managers via a steering committee. Educate them on communicating the change to staff and provide them with tools to do so.
- Deliver training at regional centres.
- Establish a support team to manage queries.
- Gain mandate by Executive to commence fully electronic file management. **IQ**



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