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Professionals Australasia

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Kate Walker, Chief Executive Officer, RIM Professionals Australasia

RIMPA's CPD program: what you need to know

The RIMPA Board requires RIMPA's professional members to comply with a mandatory continuing professional development (CPD) program.

Along with the RIMPA Code of Ethics, under which members are responsible for undertaking ongoing professional development, RIMPA's CPD program helps to demonstrate that professional members are committed to serving the public and the profession by maintaining and developing their proficiency and competence.

The program is intended to be flexible and to allow members to determine and select their own learning needs.

WHAT'S NEW?

- Returns are to be sent annually
- The three-year cycle has been removed
- 50 points are required per year
- CPD will be requested in **April**
- CPD returns due prior to the issue of invoices
- Any CPD that has not been completed (or terms negotiated with the CEO) at the time of the issue of invoices (May), the invoice will be for the full individual rate (not the discounted professional member rate)

THE ANNUAL CPD PROGRAM CYCLE

WHO DOES THE PROGRAM APPLY TO?

All professional members of RIMPA must comply with the CPD program. This includes:

- Associate Members (ARIM)
- Chartered Members (MRIM)
- Fellow Members (FRIM)

Students, corporate nominees and vendor members are not subject to the requirements of the RIMPA CPD program.

WHAT IS CONTINUING PROFESSIONAL DEVELOPMENT?

For the purpose of the RIMPA CPD program, 'continuing professional development' is defined as any learning activity that meets at least one of the following criteria:

- Relates to professional needs
- Assists with long-term career goals
- Is of interest to the member's employer
- Relates to professional ethics or public safety

WHAT KINDS OF ACTIVITIES ARE CONSIDERED CPD?

The chart on the following page provides examples of continuing professional development activities. These fall under six main categories:

- Formal activities
- Informal activities
- Seminars and meetings
- Presentations and papers
- Service activities
- Industry involvement

A quick test to determine if an activity qualifies for CPD is to ask yourself two questions:

- "Does this activity make me a better practitioner?"
- "Does this activity advance the profession?"

If the answer to either of these questions is "Yes", then the activity qualifies as CPD.

RIMPA's CPD program

A quick test to determine if an activity qualifies for CPD is to ask yourself two questions, "Does this activity make me a better practitioner?" and "Does this activity advance the profession?". If the answer is "yes" to either, then it qualifies as CPD.

Formal activities
- Qualifications
- Structured courses
- Face-to-face
- Distance learning
- Short courses

Informal activities
- On-the-job
- Private study
- Work projects
- Reading / videos
- Software

Seminars and meetings
- Conferences
- Seminars / webinars
- Meetings
- Workshops

Presentations and papers
- Presentations
- Journals
- Research
- Articles

Service activities
- Journal committee
- Accreditation committee
- Peer reviewer
- RIMPA Branch Council
- RIMPA Board
- RIMPA Chapter Council
- Mentoring
- RIMPA committees

Industry involvement
- Consulting
- Industry sponsored research
- Design project supervision
- Field trips

HOW DO I FULFIL MY ANNUAL CPD REQUIREMENT?

To comply with the RIMPA CPD program, professional members must declare that they have completed the activities each year.

Professional members will receive an email from RIMPA in April requesting that they declare their compliance with the CPD program. RIMPA has an *optional* online CPD log to assist members with tracking their CPD activities each year. Members, however, may choose to record their activities using other methods, such as calendar, diary, spreadsheet, word document etc.

HOW DOES RIMPA MONITOR COMPLIANCE WITH THE CPD PROGRAM?

After the invoices have been issued, RIMPA will conduct a random audit of professional members. Any members who have been selected in the audit may be required to produce supporting documentation as proof of compliance. Failure to comply may entail a review of the practice of that member and/or removing professional membership status.

WHAT PROFESSIONAL DEVELOPMENT OPPORTUNITIES DOES RIMPA PROVIDE?

The RIMPA professional development program offers activities across every area.

WHAT IF I AM NOT ACTIVELY PRACTICING?

Professional members who are not actively practicing due to illness, unemployment, parental leave or retirement may be exempt from the annual CPD requirement. However, a CPD return must still be submitted annually advising of extenuating circumstances.

CONTACT

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WORLDWIDE NEWS

IBM launches business email that integrates social media

IBM has recently launched a new email application for businesses that integrates social media, file sharing and analytics to learn a user's behavior and predict interactions with coworkers.

The application is part of IBM's attempt to shift its focus to cloud computing and data analytics from the hardware services that had long been the company's bread and butter.

The new e-mail service, known as IBM Verse, includes a built-in personal assistant that can learn from a user's behavior and draft responses to e-mails based on similar previous interactions.

It also allows users to transform e-mail content into threads for blogs and social media, view the relationships between different employees in an e-mail, mute a chain and search through attachments.

The e-mail's interface pins a user's most frequent contacts, schedule and lists of assignments to a dashboard for easy access.

"We came at this from the perspective that this is about changing the game, not just incremental improvements in e-mail," Jeff Schick, IBM's general manager of social solutions, told Reuters.

IBM's enterprise mail service, known as Notes, is used by 25,000 companies worldwide and more than 50,000 use IBM's social platform for businesses, IBM Connections. The company hopes IBM Verse will eventually replace Window's popular Outlook.

The free initial model will include limited mailbox sizes and file sharing. A paid version with additional features and data allowance became available in January 2015.

IBM is not the only company trying to give e-mail a makeover. In October, Google Inc launched an e-mail service called 'Inbox' that will better organise e-mails and display information such as appointments, flight bookings and package deliveries in a more user-friendly way.

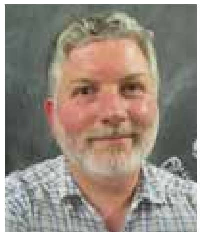
But unlike Google, IBM Verse will not sell the data it gathers about users to advertisers, a selling point critical for businesses concerned about privacy and security.

The service is delivered through cloud computing and will be available in IBM's Cloud Marketplace.

Whanganui to 3D scan its Giant Moa bones

A New Zealand museum has launched a $15,000 to $20,000 campaign to let it make three dimensional digital scans of its huge collection of bones of the extinct moa bird and allow free access to anyone wishing to re-create them. It will be its first venture into the cutting-edge information technology.

Giant Moa heads in realistic pose



Dr Mike Dickison

The project is the dream of Dr Mike Dickison, the Natural History Curator at the Whanganui Regional Museum on the west coast of the North Island, 200 kilometres north of Wellington. He told *iQ*: "We want to raise our profile and tell the world about the collection which we hold in trust for the people of New Zealand, and especially for the citizens of Whanganui who, after all, pay us our salaries."

Dr Dickison hopes eventually to be able to create a 3D scan and printing suite at the museum. "You can spend any amount on such things. The sky's the limit, but $20,000 would buy a pretty respectable scanner for us to make a start."

The museum's collection of bones of the iconic Giant Moa and the smaller Bush Moa is one of the largest in the world. In addition, the museum has six of the world's best moa eggs which could also be scanned in three dimensions and reproduced by a 3D printer putting down successive layers of plastic, metal, resin or other material to build a solid copy.

Make copies for visitors

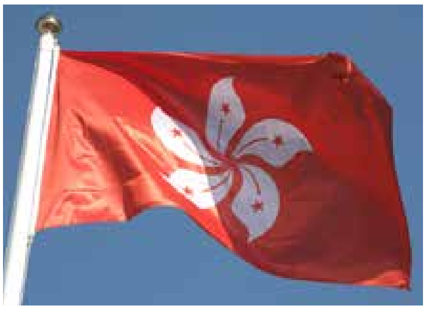
Dr Dickison says that raising money using Brooklyn, New York-based Kickstarter.com "is a bit novel for New Zealanders". He went on: "But there's been enough international interest in this so that I think we'll get enough donors to build a little scanning suite of our own. With the addition of a 3D printer we could make copies for visitors."

The museum considered charging for copies of the 3D files, said Dr Dickison: "It would probably cost more to administer than we could make and it's actually more important that people around the world know that we have this collection. We'd really like people to share those files, do things with them.

"School kids from the other side of the world would be able to print out the bones in their classrooms, be able to see photographs and scans and some of them will, one day, be able to come to Whanganui and see the bones for real. We want to make this collection available to everyone in the world if we can."

Dr Dickison revealed that modern research had found that the Giant Moas, whose heads could reach 3.6 metres high, rarely stood with heads raised to that height, usually adopting a more hunched stance, see the Whanganui Museum website at www.wrm.org.nz. The news is a disappointment for museum curators who formerly displayed their moa models and skeletons in the more imposing, upright pose.

Action group demands records kept for Occupy Hong Kong



Hong Kong's Archives Action Group has demanded that the 'autonomous region' government retain records of last year's 'umbrella demonstrations' against Beijing-driven restrictions on candidates for HK Chief Executive elections. Just before Christmas, police broke up the last of the weeks-long peaceful sit-ins by thousands of protestors blocking street around government offices.

In an open letter to the current Chief Executive, Leung Chun Ying, the AAG Chairman, William Waung, wrote:

"Hong Kong is living through a unique period of its history arising out of constitutional reform and campaigns for democracy. Future generations will need to understand why the present situation occurred, what happened and how it was resolved.

"The role of the Hong Kong Government in these events has been and continues to be critical. The records that document deliberations, decisions and actions of the Government agencies and officials are vital evidence for understanding this historic time.

"The Hong Kong Government needs to assure the people of Hong Kong that government records relating to constitutional reform and associated events, including the Administration's handling of the people's campaign for universal suffrage will not be mismanaged or destroyed, until a professional cadre of archivists mandated by archival legislation is in place to process these records in accordance with international archival standards and best practices."

At the time of writing, two months after the approach, the AAG had received no acknowledgement from the Chief Executive office. The recordkeeping demand was reported in the English-language South China Morning Post under a headline: 'Call to preserve wealth of Occupy Central records'.

The action group, comprising professional and private citizens concerned with the absence of archives legislation in Hong Kong, was established in May 2008.

➲ Further details are at www.archivesactiongroup.com.

Harvard Business Review highlights 'the danger from within'

As global attention swirls around protecting corporate and government networks and sensitive digital files from external attacks, the more common and dangerous threats remain from within the organisation. The September 2014 issue of *Harvard Business Review* highlighted 'the danger from within'.

"Insiders can do much more serious harm than external hackers can, because they have much easier access to systems and a much greater window of opportunity," wrote Oxford University professors David M Upton and Sadie Creese, who are co-leading the Corporate Insider Threat Detection research program, an international project to help organisations uncover and neutralise such threats.

The *Harvard Business Review* report continued, "According to various estimates, at least 80 million insider attacks occur in the United States each year. But the number may be much higher, because they often go unreported. Clearly, their impact now totals in the tens of billions of dollars a year. Many organisations admit that they still don't have adequate safeguards to detect or prevent attacks involving insiders. One reason is that they are still in denial about the magnitude of the threat."

In a 2013 survey of more than 120 companies, Varonis found that most leakage of intellectual property caused by internal access was not malicious or even intentional. Among the causes: employees who upload sensitive, work-related data to their personal cloud accounts; low awareness of non-disclosure agreements; lack of training and ongoing communications about protecting sensitive data; and the absence of available tools that enable organisations to manage and control who has access and who should have access to sensitive, non-public data files. The survey found that only 46% of respondents were asked to return digital content when leaving their last position.

Among the researchers' recommendations is monitoring employees' access and use of data. In describing the study, Professor Upton reported, "We have burglar alarms installed to prevent people breaking into our houses. But it's the people we let through the door that are the problem. It's the same for organisations. The principles used to defend against external threats just don't work with insiders. In recent years businesses have been letting more people into their houses – be it through the use of cloud services, Google drives, employees bringing their own devices to work, or through the proliferation of social media and use of big data. Though these people may have a legitimate access to an organisation's cyber-assets, the scope for them to exploit this or be exploited is hugely increased."

➲ Further information about the research can be found here: www.cs.ox.ac.uk/projects/CITD/

⇛

New research shows information rights management can offer security in a mobile, collaborative world

New research has been conducted into the value information rights management can bring to the changing mobile and remote working environment.

The research, conducted by Ovum, highlights that most organisations do not offer adequate protection for commercially sensitive documents outside the firewall, and fail to grasp importance for documents to be controlled for their lifetime.

Within the current business climate there are several issues and practices that deter the effective management and protection of sensitive documents and corporate information. The unsanctioned use of consumer grade file sync and share or document management systems, the proliferation of mobile devices in the workplace, and the need to share information with vendors, partners, or others outside enterprise walls have created an even greater risk of data leakage and non-compliance. New technological developments and changing regulatory environments have completely changed the way one looks at traditional information boundaries.

Ovum indicates that information rights management solutions can be used to meet the need for secure collaboration in today's mobile and remote enterprise. However, many of the existing IRM solutions posed adoption challenges due to a less than seamless end-user experience that required the use of 3rd party plugins or software downloads.

"The lack of corporate control over documents opens organisations up to the risk of non-compliance with regulatory requirements," said Sue Clarke, Senior Analyst at Ovum. "Information rights management technologies provide visibility, governance, and lifetime control over content, which helps organisations to comply with the growing number of regulations and legislation."

To overcome security and adoption challenges, Ovum highlights the need for next generation IRM products with flexible and robust technology that works within existing workflows and protects documents at the file level. File-level control and audit trail capabilities can enable enterprises to manage the content, protect intellectual property, prevent data loss, and meet regulatory requirements.

"Keeping documents confidential in the mobile age is increasingly difficult," says Eli Potter, senior director of business applications at ServiceSource. "Information is an asset which has value to the business and needs to be suitably protected. Having IRM is vital to the success of a company's sharing strategy and keeping its data safe."

National Archives to recognise top agencies

The National Archives of Australia has launched a new awards scheme – promoting excellence and innovation in the management, use and reuse of government digital information.

David Fricker

"Ensuring that the Australian Government and people have access to trustworthy, usable digital information when they need it is one of our commitments," said David Fricker, Director-General of the National Archives.

The National Archives Awards for Digital Excellence will recognise and encourage innovation in digital information management by Australian Commonwealth government agencies.

"Many agencies already excel in managing their digital information," said Mr Fricker. "We have introduced the awards to recognise those agencies that are innovative and successful in their approach to digital information management.

"More specifically, the awards will acknowledge agencies that have embraced digital transition, made headway in regard to digital continuity and made a significant change in the way their agency operates in the digital environment."

Winners will be selected from case studies submitted by agencies that demonstrate progress towards digital transition or digital continuity, or best practice in digital information management. Improvements in accountability and decision-making and innovative use of technology will be considered by the judges.

Applications will be accepted from Australian Commonwealth agencies that have submitted a response to the National Archives' Check-up Digital in 2014.

➲ The awards program is open for applications until 28 February 2015.

Majority of companies still struggling with data security

Businesses have still not cracked the threat of a data breach or how to defend themselves against hacking attacks and other cyber threats, according to a new study.

The 2014 IT Security and Privacy Survey conducted by global consulting firm Protiviti quizzed more than 340 data professionals at companies with gross annual revenues ranging from less than $100m to greater than $20bn. It suggests companies still need to make further improvements to their data security and privacy practices.

While executive management has a higher level of awareness when it comes to the organisation's information security exposures, data professionals are less confident that they have the resources to fight off an attack.

The key findings include the following:

- **Companies do not have proper 'core' data policies.** One in three companies does not have a written information security policy (WISP). More than 40% lack a data encryption policy. One in four do not have acceptable use or record retention/destruction policies. These are critical gaps in data governance and management, and they carry considerable legal implications.
- **Not all data is equal.** The percentage of organisations that retain all data and records has more than doubled – not necessarily a positive development. In addition, a relatively large number of organisations do not prioritise data that is processed and governed with a data classification schema. Even fewer companies appear to prioritise data that is highly regulated, including PCI (payment card industry) and healthcare-related information.

However, there is some positive news: the survey shows that chef information officers are more engaged in taking on the primary responsibility for security policies than in previous years. Also, companies are becoming more aware of their data lifecycle – where and how long their data is stored. Of note, only a small number of organisations are moving their sensitive data into the cloud despite news stories and industry conjecture to the contrary.

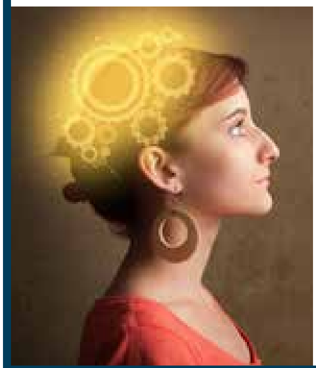
Protiviti managing director and UK leader of the firm's data security and privacy practice Ryan Rubin said: "Our survey results tell a story of gaps between where companies currently stand and where they should be in relation to fundamental elements of data security.

"Some progress has been made since last year, yet many organisations still fall short of important standard protocols for data security and privacy. Companies need to take more action in relation to the risks they recognise to better protect their crucial data."

➲ See more at dataiq.co.uk

Coming up in the May issue of *iQ*:

A lifetime of learning: Education and professional development



Do you have a story about how education and professional development has influenced or enhanced your ability to operate successfully as a records and information management professional? Or how these things have influenced your team in the workplace that you wish to share? We would love to hear from you.

Articles due: Wednesday 1 April

Just under half of firms still keep all their data on-site

According to a new European study by Iron Mountain, 46% of IT teams will insist on keeping data close at hand on hardware they can see, touch and control when that data is confidential, sensitive, business-critical, frequently used, subject to strict regulation, newly created, or of potential business value.

First introduced by Forrester in 2011, the term 'server hugger' describes the desire to store data in the line of sight and reflects an enduring caution about moving data off-site or into the cloud. Iron Mountain's series of in-depth interviews with senior IT professionals in France, Germany, the Netherlands, Spain and the UK, reveals that although this mentality remains widespread, things are beginning to change – often for very valid business reasons.

Just over a third (37%) of respondents now include the cloud as part of a hybrid on-and off-site storage solution that includes tape, disc and cloud storage, while another 8% plan to introduce cloud storage in the next 12 to 24 months. Surging data volumes and growing confidence in the security and benefits of the cloud are the main drivers behind this trend, but some sectors, including healthcare, manufacturing and financial services, remain cautious.

A UK healthcare firm with fewer than 250 employees explains that it stores everything on site because, quite simply, "we are not allowed to store data anywhere else". A retailer of the same size says that it keeps all its data on site because it's the nature of its information is too sensitive and business-critical to put at risk.

In the Netherlands, a financial services firm with just under 100 employees says it keeps all its data on servers on site in order to better protect it. "Given the kind of business we're in, we cannot afford any kind of data breach." However, it can work the other way. A Dutch telecommunications firm with more than 1,000 employees says there is no point to putting its information employees need to access frequently on an "old or slow responding server; their work will be hampered and so will the business." The firm now relies on a private cloud to store its data.

A services firm in France with over 1,000 employees relies on a hybrid storage solution that includes the cloud. The company eventually decided to back-up some of the most frequently-used information it stores in the cloud on-site so that it doesn't have to pay the high cost of data retrieval.

A Spanish firm in the same business sector with less than 250 employees faces the same challenge of how to handle ever-increasing volumes of information more efficiently. "We are now having to store data at an alarming rate. While we have budget reduction initiatives, we have little control over the amount of data produced." The firm is now evaluating cloud options.

A media and broadcast firm in Germany with over 500 employees explains that its priorities for data have changed in the last few years. "Due to the growing volume of unstructured data, our focus has shifted from data protection and risk to cost-effective data storage." The company has its own data centre and also uses tape, public clouds, internal servers and digital hard drives in a secure environment.

"In a world where more and more businesses recognise the value of information, data storage has become a business-critical issue rather than a back-office activity," said Christian Toon, head of information risk at Iron Mountain. "The IT professionals we spoke to believe that getting storage right is an art rather than an exact science. Most still feel most at ease when they can see and touch their data storage racks – often for very sensible business reasons. However, evolving security risks and the growing need to harness the full value of information is making on-site server storage untenable in the long term. We would advise IT teams to transition to a rich, blended platform that includes a secure off-site data centre and cloud solutions."


Christian Toon

World agencies urge mandatory privacy policies by apps marketers

More than a score of the world's privacy enforcement agencies have called on computer application marketplaces to compel app developers to declare before data uploads if they will be collecting personal information from the programs.

The privacy officers, including the Privacy Commissioner of Australia, Timothy Pilgrim, and the New Zealand Privacy Commissioner, John Edwards, have raised the issue in an open letter[1] to the operators of seven app marketplaces, including Google Play, the Apple App Store, Microsoft, Amazon, and "all companies that operate app marketplaces".

A media release late last year insisted: "Having privacy information prior to download is critical. It allows individuals to decide whether they are comfortable with the collection, use and disclosure of their personal information before the app is even on their device. Without this information, it is difficult for individuals to provide meaningful consent."

'Privacy sweep' finding

The privacy agencies' demand followed a mobile app 'privacy sweep' by the Global Privacy Enforcement Network (GPEN)[2] that found many popular mobile apps were seeking access to large amounts of personal information without adequately explaining how that information would be used. The agencies examined over one thousand mobile apps and found that 85% of them failed to explain clearly how they would collect, use and disclose personal information.

The agencies' open letter to the app marketplaces insisted: "While privacy policy links sometimes appear in the app marketplace listings, we observed during the (privacy sweep) that this practice is not consistently applied. Given the wide-range and potential sensitivity of the data stored in mobile devices, we firmly believe that privacy practice information (for example, privacy policy links) should be required and not just optional for apps that collect data in and through mobile devices within an app marketplace store."

Others signing the letter to the app marketers included commissioners from Canada, Colombia, Holland, Norway, Korea, Britain, Israel and Italy. ❖

Bibliography

1 Open letter: https://privacy.org.nz/news-and-publications/statements-media-releases/joint-open-letter-to-app-marketplaces/
2 GPEN: https://www.privacyenforcement.net/home

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

NZ Chief Archivist to inspect PM's text deletions: official

Archives New Zealand newly confirmed Chief Archivist Marilyn Little is investigating public records management practices of NZ Prime Minister, John Key, following Government admissions that he had deleted text messages he had received.

By **Mike Steemson**

The 'inspection' follows a protest in an open letter to Ms Little by Green Party MP James Shaw who claimed: "The text messages are a public record under (Section) 4 of the Public Records Act; and disposal of these texts messages is contrary to (Section) 18."

He demanded that: "This issue be addressed with urgency given that a number of messages have already been deleted and it is in the public interest for public offices to maintain public records".

The Chief Archivist's unprecedented investigation was announced without warning three days before Christmas and went largely unnoticed by NZ media. A month earlier, the Government's Economic Development Minister, Steven Joyce, had admitted, in answer to a Parliamentary Question, that Mr Key had deleted some of the 1,000 messages he received each day.


NZ Chief Archivist Marilyn Little

Ms Little's statement said, baldly: "The Chief Archivist has decided to review recordkeeping practices of the Prime Minister in regard to text messages which may (or) may not be considered public records between the period November 2008 and November 2014 in relation to a request about a possible breach of the Public Records Act 2005."

The statement adds: "The use of private mobile phones and devices and personal text messages on ministerial phones and devices are explicitly excluded from the scope of this review." Mr Key has acknowledged a text correspondence with right-wing blogger, Cameron Slater.

Ms Little further declared that she would make no other comment "while the review is underway but will publish a final report when the review is complete".

PUBLIC RK GOOD PRACTICE 'NOT UNIVERSAL'

Announcement of the dramatic move came on top of the release, four days earlier, of responses to a questionnaire put to the Chief Archivist by *iQ* in the middle of the year. In answer to a question on the impact of government agency audits required by the country's controversial Public Records Act 2005, Ms Little insisted:

"Our first audit program began in 2010 and is nearing completion, which means that we will have audited every public office once. The program has shown that since the Act came into force, the vast majority of agencies have a robust approach to record keeping". But she continued, admitting:

"However, good practice is not universal across agencies or within agencies across all aspects of record keeping. So we will be working with agencies on that in 2015."

The failings had been hinted at in much-delayed Archives 'annual' reports to Parliament since the audits began in 2010. *iQ*'s questionnaire, seeking more detail after one of these Parliamentary reports, was itself delayed five months. No explanation for this delay was offered.

> *One area that might benefit from clarification is the definition of a public office*

HOLD ON RK AUDITS PROPOSED

It has been revealed to *iQ* that Archives proposes a 12-month hold from mid-2015 on the next audit cycle. Archives and its parent ministry, the Department of Internal Affairs (DIA), will review the processes and make a study of the first complete results. At the time of writing, no public announcement of the halt had been made. Archives sources could not tell *iQ* whether auditing would resume after the 12-month moratorium.

Ms Little was appointed Chief Archivist for a single year in February last year upon the unscheduled resignation of the predecessor, Mr Greg Goulding, following a $10 million 'blowout' of a major government archive digitalisation program and heated Parliamentary debate. Ms Little's renewed contract was announced, also without fanfare, at the end of the year.

The questions put by *iQ* to Ms Little range from the impact of the NZ Public Records Act on Kiwi public service to the Chief Archivist's status. To the first point, Ms Little summarised with damning faint praise: "The overall picture is one of adequate practice and no significant failure."

To the latter point, she answered: "I have worked in DIA for over eight years, and I am well connected with senior colleagues and understand the way the Department works. I've found this 'insider' support and knowledge invaluable since moving into the Archives role."

To a question about the need for changes to the Public Records Act, Ms Little said: "One area that might benefit from clarification is the definition of a public office. At its core this definition is clear but clarifying coverage over entities more distant from central government is a complex and time consuming process."

Arguments have surrounded the Act over whether state academic institutions should come under its auspices. Some government-owned and part-owned companies have also challenged the legislation's authority over them.

Another *iQ* question sought clarification of 'new measures' outlined in government budget proposals for a "number of public offices (to be) provided with targeted records and archives management advice". Ms Little explained mystifyingly:

"The new measure measures our provision of advice and assistance to all agencies. It is not the agency that is targeted, but rather advice about particular problems or opportunities that agencies bring to our attention that is targeted. This measure contrasts with general advice, such as that available on our website, through our training program or in response to minor or simple queries."

INFORMATION SECURITY CONCERNS

iQ asked: "What action does Archives NZ take when record-keeping issues have been highlighted in the media, losses or dumping of public records or the leaking of documents? Are the agencies concerned contacted proactively by Archives NZ or does Archives NZ wait to be asked?"

The Chief Archivist's response showed that the institution has, yet, no clear idea of its legal sanction powers. She said:

"Our actions are both proactive and prompted by complaints and, as with any regulator considering action, we need to weigh the costs of intervention against the seriousness of the harm being done, as well as the benefit for individuals, agencies and the public records system as a whole. We also need to be clear that we have jurisdiction to act.

"Routine issues are dealt with by the Archives staff member with the agency portfolio relationship, seeking information and offering advice and assistance. Serious issues, such as the unauthorised disposal of records, can warrant a formal Chief Archivist's requirement to report under the Act and could lead to inspections mandated by the Act."

NO TO NATIONAL LIBRARY-ARCHIVES MERGER

Ms Little strongly dismissed rumours, firmly believed in the Kiwi records and archives profession since the National Government's devolution of Archives NZ into a department of the DIA, that the institution would be merged with the National Archives of NZ, a move modelled on the controversial concatenation of Canada's national archives and library. She told *iQ*: "There is no proposal to merge Archives NZ and National Library. Cabinet decided in 2010 to maintain the two separate institutions." ❖

ABOUT THE AUTHOR

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KEEPING RECORDS TOGETHER

Do you know what's going on in Queensland? Have you checked out the Queensland State Archives (QSA) Records Connect blog page recently? Seen its listserv postings? Been to its consultation page? Things are changing at QSA. The Government Recordkeeping team has been hard at work looking at how things are done and how they can make it easier for public authorities to manage their public records.

By **Sharon Mennis**

Under a new leadership team – comprised of Mr Darren Crombie, Acting State Archivist, Ms Josephine Marsh, Acting Director Government Recordkeeping and Ms Julie Shanks, Manager Policy & Research – QSA launched *Keeping records together* in November 2014. *Keeping records together* is a fundamental shift in how QSA and public authorities can work together to achieve good government in Queensland. Some of its new tools are outlined in this article.

The aim is to be a partner of choice – to work with public authority customers to help resolve recordkeeping challenges

CUSTOMER CHARTER FOR PUBLIC AUTHORITIES

QSA is adopting a new approach to working with its customers, and has released a *Customer charter for public authorities*.

The aim is to be a partner of choice – to work with public authority customers to help resolve recordkeeping challenges. The charter sets out QSA's commitment to be helpful, relevant, collaborative and accessible.

In the past, QSA presented itself as a regulator. This approach had its time and place in embedding recordkeeping into business processes, however, as we move into the digital era, this old approach no longer works. It doesn't take into account the practicalities of managing records in the modern world. QSA wants to become part of the solution by helping to embed efficient records management practices into every day business activities.

QSA is now undertaking partnership projects with several public authorities, and what is learnt will then be shared with all public authorities in the form of helpful and relevant advice.

QUEENSLAND RECORDS – HOW WE DO IT

Queensland records – How we do it is QSA's new overarching framework for recordkeeping in public authorities. It replaces the previous Recordkeeping Policy Framework Diagram and represents a major shift in how records are managed. Good government is now at the centre of everything that is done for both QSA and public authorities. QSA has moved away from compliance with the Act and towards partnering with clients to find solutions to recordkeeping problems. Recordkeeping advice is also being transformed with the aim of being relevant, meaningful and succinct. As part of the launch, the following were released:

- *What records do you need to keep?* – a one-page cheat sheet answering that age-old question
- *Mythbusters* – busting retention and disposal myths like “is it true that *all* records need to be kept for seven years? False!” More mythbusters will be added to the series in the new year.

BORN DIGITAL, STAY DIGITAL

QSA has partnered with the Queensland Government Chief Information Office (QGCIO) to produce the *Born digital, stay digital discussion paper*. The discussion paper has been developed as part of the *Queensland Government ICT Strategy 2013-17 Action Plan* and seeks feedback on some of the big challenges of moving from paper-based recordkeeping into the digital world.

The discussion paper outlines potential strategies and actions to help address the challenges of managing digital records. QSA and QGCIO will use the feedback to develop a framework for records and information management that reflects a modern government, where information that is born digital, stays digital.

QSA and QGCIO wants to use the feedback received to help shape the future of information management across

government. How do we move away from printing digital information for a 'wet' signature that generates multiple copies of the same record? What guidance and support can QSA and QGCIO provide to integrate information management requirements into your business systems? How do we get support from our senior leaders to drive improved information management across government?

QSA's vision is for information that is born digitally to be managed digitally across its life. This supports the goal of the Queensland Government to be Australia's most digitally interactive state and recognised globally as a digital innovation hub.

GRDS RENEWAL PROGRAM

Queensland's *General Retention and Disposal Schedule for Administrative Records (GRDS)* has changed very little since it was first introduced over 17 years ago. It is the most downloaded publication on the government recordkeeping section of QSA's website, and the plan is to transform it into a relevant and efficient tool for records disposal. QSA has published a discussion paper which seeks feedback on:

- the challenges in implementing the GRDS
- the structure, format, numbering and disposal triggers
- what records should be covered by the GRDS
- if, and why, public authorities keep records longer than necessary.

QSA has taken a new approach with this discussion paper with more diagrams and pictures to better explain its purpose. From talking with clients, QSA knows that the GRDS presents challenges that it has tried to address, and now feedback is being sought. QSA has also released a short and engaging animated video to accompany the discussion paper, with great feedback so far.

QSA has left the GRDS renewal consultation process open until the end of February so the conversation can be continued across a variety of media, including Twitter, Facebook, blogs, list serv messages and face-to-face meetings.

QSA's vision is for information that is born digitally to be managed digitally across its life

SO WHAT'S NEXT?

It's still all systems go with more releases coming soon including:

- a new advice/resource centre which will be an update of QSA's recordkeeping advice so that it is practical, easy to understand and integrated
- new Mythbusters (eDRMS)
- *GRDS Lite*
- *General Retention and Disposal Schedule for Short Term Value Records*
- practical social media recordkeeping tips
- and much more!

QSA is also aiming to make its *Queensland records – How we do it* diagram interactive on its website, so people can seek advice through the resource centre or by clicking on different parts of the diagram. This is a work in progress!

Keeping records together marks the beginning of big changes at QSA. To check in and see what's happening, follow QSA on twitter @QSArchives #keepingrecordstogether, on Facebook Queensland State Archives, via blog posts at Records Connect or on www.archives.qld.gov.au. You can also contact rkqueries@archives.qld.gov.au.

ABOUT THE AUTHOR

Sharon Mennis is a Principal Appraisal Archivist at Queensland State Archives. She has more than 10 years experience in archives and records management, including numerous Queensland departments and in a small statutory authority. Sharon has previously presented at RIM events and at QSA Recordkeepers Forums. She is currently leading the GRDS Renewal program and the review into short term value records.

Sharon is happy to chat to Queensland government recordkeepers about any issues of concern and can be reached at rkqueries@archives.qld.gov.au.

Is your RIM program sustainable?

It pays to create a sustainable model for your extended RIM team – the benefits will far outweigh the costs.

By Michelle Linton & Kevin Dwyer

Great teams accomplish great action. A great team may have an excellent leader – one who motivates team members and empowers them to exceed their own expectations. Or an excellent leader who develops the combined skill and knowledge of the team, which enables the team to achieve previously unattainable goals. Or a great team may have arisen through an accomplished group of people coalescing as a team around a common purpose, and their combined talent, effort and passion for the purpose result in new levels of performance and success.

At some stage great teams disband. When that occurs, history shows us, the remaining team can fall from the state of grace very quickly. Think of football teams that lose their inspiring coach, or their high-performing players as they accept lucrative contracts elsewhere. The premiership trophy one year, and wooden spoon the next. Whole civilisations, political parties and businesses have a history of being vulnerable to downfall when the team essence is broken.

This loss of leadership, talent and knowledge is a well-known phenomenon and mitigation of it is typically a component of an organisation's risk management plan. Organisations protect their future by developing operational structures and processes that are sustainable beyond reliance on excellent leaders and great talent. They assess and evaluate the risks and protect themselves from loss of their competitive intellectual property, ongoing unique service delivery and/or market performance.

The sustainability of records and information business units, and other internally focused customer service business units, however, is usually not managed by the risk management plan. Typically, it is not managed at all.

THE SUSTAINABILITY RISK

There is a high likelihood that within the next 12 months any given records and information management (RIM) team will be impacted by one of the following or similar events:

- A business case is approved requiring a limited lifespan project team to be established
- A skilled and multi-faceted team member departs
- Head count within the business unit is reduced
- Budget constraints limit grade level of new staff acquisition
- A team member with decades of organisation specific experience retires

story snapshot

In the absence of a sustainable RIM program, when team dynamics change, the team and projects they support may flounder or collapse. Managers and team members have a responsibility to develop sustainable programs.

Acquiring or replacing staff in a small industry is difficult. The talent pool is small, and in areas outside Sydney and Melbourne, tiny in comparison to other industries. What makes it more difficult in the RIM industry is the breadth of skills required by a modern records and information officer to truly deliver effective outcomes.

Whilst the role that is being filled may be titled 'Records Officer Grade xx' in reality the position, unless there is a large team in place, will require the incumbent as a minimum to deliver a blend of the following:

- Recordkeeping or records management
- Management, leadership and administration skills
- EDRMS system configuration and maintenance
- Training planning and delivery, and help desk support
- Business analysis
- Change and stakeholder management.

The distribution of skills required for each role varies with grade and position. In all likelihood the role diversity was shaped by the previous incumbent. If they showed a talent for training for instance, that may have become a key deliverable of the role, the RIM unit shaping their training program around that individual's ability. Within the small marketplace for RIM professionals, the obvious question is – will there be anyone currently available at the same grade level who can fill the incumbent's shoes?

If the position cannot be filled with someone of equal talent, the records program may be weakened. Or the RIM team may need reshaping each time there is staff turnover. Neither of these are optimal choices.

The incidence of staff turnover having a detrimental impact on the RIM unit's strategic and operational goals is high. Cases can be cited of organisations where the following took place:

- A flourishing community of practice disintegrated when the inspiring manager left.
- ELearning development was discontinued when the talented developer departed, leaving all work incomplete.
- A successful program of business analysis floundered when the new incumbent in the role had poor communication skills.
- The creation of record types became prolific due to the inability of the new administrator to negotiate with business units, resulting in confusion and access problems.

The list goes on and on.

DEVELOPING A SUSTAINABILITY PROGRAM

What each example has in common is the failure to develop a records management program where the blend of competency elements acquired by the team are sustainable. In the absence of a sustainable program, when the team dynamics change, the team and projects they support flounder or collapse. Managers and team members have a responsibility to develop sustainable programs.

Sustainable services means providing consistent quality of service to an effective level, which can be delivered by the typical human resources available in the marketplace. Whilst bright ideas and new initiatives should be encouraged, they need to be implemented on a framework that can be replicated if the organisation's RIM team was to experience a 100% turnover.

Sustainable solutions also take into account the impact of major reductions in head count, either due to the cessation of a project team or budget cuts.

The incidence of staff turnover having a detrimental impact on the RIM unit's strategic and operational goals is high

ABOUT THE AUTHORS

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Michelle is a Learning & Development professional with 24 years' experience in the planning, design and delivery of training programs. Michelle has developed and delivered innovative, outcome focused EDRMS training for over 30 government and private organisations since 2005. Michelle's pragmatic approach to learning strategies leading to application adoption has been enthusiastically welcomed by the industry, and she is a regular speaker at RIM events and contributor to industry magazines. Linked Training is the training partner in the REX project which was awarded the J.Eddis Linton Award for Excellence – Most outstanding group in 2010.
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Sustainable solutions are developed through the establishment of key practices within the RIM unit. Whilst record managers understand the value of implementing these practices, they fail to recognise how to establish them as sustainable solutions or how they will reduce risk and improve performance of the RIM unit long term.

KEY PRACTICES FOR SUSTAINABILITY

Succession planning

Succession planning for a RIM team should form part of a more extensive succession plan for the organisation. A good succession plan needs to include the following:

- A list of RIM leadership roles
- A list of critical RIM operational roles – don't forget to include business roles such as super users
- A list of high-capability individuals who are acknowledged as either potential RIM team replacements for the identified leadership or critical roles. These individuals will undoubtedly lie outside of your RIM fraternity as well as within it
- A capability framework for RIM roles to identify any gaps in the knowledge and skills of individuals acknowledged as potential replacements or leaders
- A development program to close any identifies gaps
- A regular review process to ensure the succession plan is kept up to date

In an ideal world, for each of these framework elements, there would be an effective set of policies and procedures with accompanying KPIs put in place to govern the entire end-to-end succession planning process. If an overarching succession planning system is not present in your organisation then do at least note down some standards about how you are going to manage succession planning. Then you may talk with business leaders who control a high proportion of the roles and resources and human resources in a meaningful manner.

The succession plan itself should have its own documentation, including not only the lists of roles and the individuals identified as potential replacements, but also the competencies required by the roles, and possessed by the potential replacements.

In addition, a proper succession planning document will include a risk assessment for each individual role based on risk factors specific to the position, the business and the industry, as well as a strategy for either reducing the risk or closing the competency gaps between those required by the role and those possessed by the potential replacements.

Notes should also include a summary of the plans for the potential replacements, and for the role itself – if the role changes then its succession planning will inevitably be affected too.

For individuals acknowledged as either potential replacements or potential leaders, development plans should be included as part of their existing personnel files. This may take some effort with HR and the business as a whole, if you do not have an overarching succession planning framework within which to fit. Even more reason to document your intentions and method.

The most sustainable models of recordkeeping practice are ones in which business units drive their own learning, supported by the RIM team

COMMUNITIES OF PRACTICE

The most sustainable models of recordkeeping practice are ones in which business units drive their own learning, supported by the RIM team. For example, Finance takes on responsibility for training staff in claiming travel expenses and invoices right from the moment the document is registered in the EDRMS.

In these devolved models, new employees in each business unit are inducted into recordkeeping processes by a super user. Super users regularly meet to build their skills and support each other. The RIM team can and should set up an online forum and either an annual or bi-annual face-to-face forum to assist in this endeavour. The object of the forums is to introduce new functionality, new processes and share experiences and learning.

Organisations which have developed relationships with managers and super users to engage and empower them to lead and drive recordkeeping in their business unit, are much more insulated when there is staffing disruption within the RIM unit. Not only that, the managers and super users themselves become a source of candidates for succession planning into the RIM unit.

TRAINING RESOURCES AND MODEL

Training programs often fall into the situation where either the training program your team delivers is dependant on the outstanding skills of one individual, or there are inconsistent learning experiences and outcomes because multiple people of very different capabilities are used as trainers.

A sustainable program successfully achieves the required learning and performance outcomes, regardless of the delivery team, by building resources and a model comprising the following:

- Training resources that can be maintained and added to by records staff with basic software skills. This may be achieved by creating standardised templates, developing or acquiring a base set of resources to be modified only slightly with upgrades or configuration changes, and establishing guidelines for resource development.
- A comprehensive knowledge base covering the principles of the records management framework, the functionality of the EDRMS system and organisation specific decision. The knowledge base provides trainers and support staff with the underpinning knowledge when communicating with end users.
- A training model with a clearly defined process of communication, delivery and support, and identified objectives. The model must also identify and enable exceptions such that individual trainers with a variation of skill in delivery (eg, your new trainer may only be able to manage one-to-one training) will achieve the same objectives under a flexible approach.

KNOWLEDGE TRANSFER

A common issue with EDRMS implementations which have been in place for a period of time is that they evolve into unique configurations quite different to other organisations.

Whilst policies and procedures give guidance to the overall configuration, there is much in the detail of a configuration and the rationale behind it that is not referred to in policies and procedures. People coming into the role of administration manager in these instances are not in a position to understand the rationale for a configuration aspect and may make decisions which make the configuration even more complex.

This knowledge of why decisions are made needs to be captured so that any future decisions to make changes are from an informed position. Some of this information can be captured within notes areas of the EDRMS, and other information may be captured in documents. This information must be passed on during induction to new RIM staff.

SUSTAINABILITY COST BENEFIT ANALYSIS

Creating a sustainable model for your extended RIM team has benefits which far outweigh the costs. These include, but are not limited to, the following:

- Reduced recruitment costs
- Better connections with the business resulting in more innovative use of EDRMS functionality and information management practices
- Increased potential to expand and grow the application of good information management practices
- Increased value of the RIM team through more consistent and better executed services
- Faster response times through more informed decisions ❖

Setting up a successful RM department

This article is written for those of you who have been given the task of setting up a records management (RM) program for your organisation. From finding storage rooms to training staff, the following information may be helpful if this is something you are about to embark on – it may even help if you are already well on your way to a successful RM program.

By **Kylie Welch**

story snapshot

Starting with getting the all-important executive support you need, right through to setting up contracts with storage providers for your paper records, this article could help you set up a successful RM program.

EXECUTIVE SUPPORT

A vital requirement for an effective records management department is to have support from the top. It is important that the executive team, especially the CEO are aware of the importance of having good RM processes within the organisation.

It is important for the executive team to be aware of the nature of recordkeeping within their organisation. To have the CEO aware of the need to have a well-structured records management services area is the first step towards compliance.

The CEO could also put in writing his approval for the records manager to dispose of paper and electronic records. This can be as simple as an email from the CEO or a formal letter. Support for the RM team or records manager from the CEO is a very important thing.

BE INCLUDED IN THE ORGANISATION CHART

Information management (IM) is now an integral part of the success of all government organisations and RM processes need to be considered when proposing new systems. RM should always be considered when new business processes are being scoped, not only for compliance reasons, but to ensure that any official business records will be considered during the scoping period of any new process.

It is important that the area sit within the correct department – reporting to the correct executive. Whether it sits within the information technology (IT) area, the library or a central business information centre, a sense of place with a strategic overview is needed. Within the structure of the organisation, the RM department should report to at least one executive with a yearly report to the CEO including an update on progress. Monthly reports are also recommended to the immediate manager to ensure that there is accountability and strategic considerations taking place.

In some cases, organisations may consider setting up the records department as a project before continuing onto a business as usual department.

ADEQUATE STAFFING

To retain good RM staff it is important to pay to the level of skill for each employee and to have a supportive professional development plan in place. You don't necessarily have to hire a records manager if your organisation is willing to support professional development but basic recordkeeping is a must for all staff. You may have to discuss with your manager if you are already a records manager and are feeling overwhelmed whether another team member is appropriate.

Learning about RM is a skill in itself. Some things that the RM team have to have knowledge of are as follows:

- Taxonomies
- Disposal authorities
- Risk management training
- IM processes
- Disposal processes
- Electronic document management systems
- Project management
- Business communication
- Communication skills
- Critical thinking
- Continuity planning
- Change management
- Customer relationship management
- Leadership skills
- Marketing
- Mentoring
- Policy writing
- Presentation skills
- Workshop creation management
- Researching skills
- Training skills

ADEQUATE POSITION DESCRIPTION

The position description should include position purpose. This is to support the development and delivery of an integrated RM program that provides ready access to current and historical information across the organisation and to preserve the value and integrity of information necessary for the organisation to meet and provide quality outcomes in meeting business requirements. The description doesn't necessarily have to state that the employee have a knowledge of RM processes as these can be taught if the organisation is prepared to invest in someone.

It is important to include relationships within the position description. Some examples are as follows:

INTERNAL	EXTERNAL
Service areas	Contractors
Administrators	Consultants
Managers	National Archives
IT department	RIMPA
All staff	Other sector-related organisations

Table taken from *The End of Membership As We Know It* by Sarah L Saldek, P65.

These relationships are crucial to the smooth running of the records department. These are the people that the records team will be working with often, especially the internal relationships.

Other considerations within the position description are as follows:

- Company vision
- Company values
- The purpose of the role
- Principal accountabilities
- Monitoring and reporting to management
- Information sharing (collaboration)
- Health and safety
- Technological competencies

ADEQUATE BUDGET

A detailed budget must be in place for a successful RM area. This includes the following:

- Phone
- Catering
- Salary for each employee
- Printing costs for brochures and training material
- Professional fees for any consultants the record manager may need as they create a successful records program
- Some money for books and stationary
- Minor equipment purchases (iPads, laptops)
- Travel both regional and national if required
- A consumable budget for the boxes needed to store paper files
- Funds for storage off-site
- Professional development for study in the field and conferences

It is important for the records manager to ensure that there is enough money in the budget to cater for the upcoming year. Training courses and conferences are important to attend to ensure that current records management practice is instilled in staff. If there are other sites within the organisation around the country, or even around the world, it is important to add travel funds within the budget each year. Planning is the key when it comes to creating a successful budget.

RECORDS MANAGEMENT POLICY AND PROCEDURES

Having firm policies and procedures is vital to a successful RM program. Most organisations have an overarching IM policy. Procedures, guidelines and forms should also be available in the same area.

An RM policy should include a policy statement which talks about the reason we need a policy for IM. It should cover responsibilities including the overall responsibility that the executive team has for leadership and guidance on IM within the organisation, the manager's responsibility for ensuring that their staff are compliant with their own RM practices and all staff. Our policy is quite simple but the procedures, guidelines and forms give more detail.

SERVICE LEVEL AGREEMENT (SLA)

Tying into plans and policies is an SLA which provides a framework for the on-going relationship between staff and the team. This is based on the mutual responsibility of both staff and the records team to contribute to the broad strategies and improved performance objectives of the organisation. The most important points with the SLA are to develop and maintain efficient processes, provide cost effective records management services, to keep up to date with best practice and to ensure that the turnaround or delivery of recalled boxes is maintained.

RM CHARTER

Hiring a consultant to create an RM charter and review is recommended as a foundation to the RM department. This resource can be used to build recordkeeping best practice into the strategic planning, culture and values of your organisation. The information that any organisation holds is a key enabler in ensuring that the vision and business drivers are achieved and an RM charter is a key document in the setting up of any records department.

A charter should cover the following:

- The purpose and culture of the organisation
- The current changing environment
- The future vision
- Why IM needs to be taken seriously
- Where your organisation needs to be to become compliant
- The current state of IM within the organisation
- The work done to date and the work to be done
- Conditions for success
- Next steps

Once a year, the records manager and administrator should carry out an information audit over the organisation

RECORDS RESPONSIBILITY FORM

There will always be a requirement to ensure that managers and team leaders are taking their RM requirements seriously. In answer to this, it is recommended that a records responsibility form be created. Managers and team leaders should sign this at the end of each year. The form states that managers and team leaders confirm the following:

- They are aware of requirements of Acts that cover RM
- All staff under their care have been advised of their recordkeeping responsibilities
- Admin staff in their area have worked with the records team that year to look at disposal of records or sending paper records off-site
- Staff in each area are saving their business e-records onto the supplied shared drives or the organisational EDRMS, not on their desktop or C drives
- The records in their area are being kept in a secure and dry environment

DIGITAL INFORMATION MAP

Once a year, the records manager and administrator should carry out an information audit over the organisation. This advises the records manager on the types of information kept and the location. It also ensures that all staff are aware of where different information types are kept, who has responsibility and who has access to these records. Higher level, confidential business records will need to be noted also to ensure that they are held securely.

This process can be lengthy and will involve many staff members but as it is only required as a once-a-year audit, it can be scheduled in at a time convenient to the records team.

LIST OF KEY SYSTEMS

Most organisations have many key systems in place at any one time. Some administrators use more than one of these key systems at one time to get all the information they need to do their jobs effectively. It is important that the records team knows about all of the key systems in the organisation. The records managers are not always directly responsible for the archiving features within these systems, but it is important that they are available to give advice when called on and to be assured by the managers of those systems that nothing is being deleted without prior consultation with the records manager.

VITAL RECORDS REGISTER

Most organisations have a high focus on disaster recovery and one piece of work that is often viewed as important is a vital records register. It is advisable to hire a consultant/specialist come in and carry out this work. The process involves interviews with key staff and an understanding of where information is kept. The final result will be a current, high value document showing very clearly the different levels and what kind of information was needed quickly.

LEVEL 1	Irreplaceable and/or documents required immediately
LEVEL 2	High value/difficult-to-replace documents requiring some mitigation
LEVEL 3	Easy-to-replace information with little or no mitigation

TAXONOMY/FILE CLASSIFICATION STRUCTURE

It is important to have a functional taxonomy or file classification structure as a foundation for the way staff file their paper or electronic records. A functional taxonomy will never change (ie, employee, business, property, systems and communications). If an organisation were to decide to use a departmental taxonomy this will be subject to change. For example, if one area is named Executive it may be changed to Corporate Services at some point in time.

If you as a records manager or organisation are unsure about how to create a taxonomy, there are quite a few specialist companies that can help you through this process. It is something I highly recommend.

TRAINING PLAN (OVERALL DETAILS FOR EACH YEAR)

An overall yearly training plan is advisable to ensure that full coverage for staff training is obtained. An example of an effective training plan covers the following:

- Basic recordkeeping skills for all staff
- Training on the file classification structure
- A tour of the off-site paper storage provider is popular
- RM workshops specifically for managers
- A workshop teaching about record retention times and disposal
- A workshop teaching about general disposal authorities
- Training on the creation of records, the maintenance and disposal
- Teaching staff how to improve filing for quicker finding
- A getting ready for the coming year

It is advisable that these workshops be held in a room with a projector, PC and whiteboard. As an icebreaker, you could get staff to have a competition to see who can fold an archive box the fastest and have a bag of lollies as a prize. Keeping RM fun can be a challenge, so breaking up the 60-minute workshop with small challenges is a good way to keep staff interested in the content of your workshop.

BROCHURES

When creating brochures it is important to capture the attention of staff quickly. Some recommended headings are as follows:

- Information about the team
- What the RM department does for staff
- What RM is (summary)

It is important to keep the information in the brochure short and simple but informative. This should be handed out to at staff orientation events or kept in a central area for staff access.

INTRANET SITE

An intranet training page can be one of the key communication areas for the records team. When sitting down with new staff at their computer, the records team member can take staff through each training resource list and help them become familiar with RM processes. Be sure to keep the information relevant and easy to understand. Keeping it simple is important because the wording that records and information managers use can be unfamiliar such as taxonomy and classification structure.

INFORMATION CARDS

Information cards are helpful to give to staff. Each area can have their specific retention times on each card plus some helpful RM quick tips. These could be laminated and colourful and tied together with a clasp to ensure they don't get lost easily. Staff enjoy having something on their desks that they can keep close and refer to when needed. The information on each card can have information from disposal authorities on one card, another card could give advice on what the definition of a record is in their specific area or the process for sending records off-site.

FILE NAMING GUIDELINES

There was once a person who had just started out in a new job as a records manager. On day one her manager asked her to find some high level meeting minutes. After a very long frustrating search she found what the manager had requested. The electronic document was named 'Tuesday' and was in someone's personal files. This story can be seen as funny or you could roll your eyes and nod in agreement. We have all spent unnecessary time looking for documents that have not been named correctly. Thankfully most staff name their records well most of the time, but it is still advisable to have a common file naming convention for any organisation.

OFF-SITE CONTRACTORS FOR LONG-TERM STORAGE

Having a partnership with an off-site contractor for the storage of paper records is important. Meet with the off-site providers around your region to ensure that you chose one with systems that are easy to use and a quick turnaround time for retrievals.

Having a close relationship with the off-site storage provider is important as most organisations have a lot of paper records retrieved during the year and some are extremely urgent. Training will be required to ensure that the records team know the processes for lodging and retrieving records when required.

DEDICATED STORAGE AREA COMPLIANT WITH STORAGE STANDARDS

On-site storage areas must meet with compliance but many do not. There are many storage areas within organisations that do not fully comply with the requirements of storing records. It is important that when setting up a dedicated storage area on-site that the following points are taken into consideration:

- Storage areas must allow on-going access to the records by authorised users
- The building in which records are stored must comply with legislative building codes
- The building must have adequate drainage systems to prevent flooding
- The storage area must be insulated from the climate outside
- Storage areas must be protected against internal hazards such as chemicals, electrical equipment or fire suppression systems
- Records are held far from natural and man-made hazards
- Shelving must be used
- Boxes used to house paper records must be clean and in good condition
- Records must be stored away from the light

OPERATIONAL PLAN FOR RM SERVICES

Operational plans are taken very seriously at a high level within most organisations. An effective way of keeping on top of the smooth running of an RM department is to identify any gaps in the day-to-day operations of the department. Whether it be training, professional development or collaboration, scoping the RM operational plan early on in the year can be helpful. As the year progresses, trying to see where the gaps are to make the records area more effective will help create operational plans for each year. It is advisable to have no more than three goals for the year. These goals can be broken down to milestones. If one goal is to train all new staff on RM processes, this can be broken down into steps such as to work with the Human Resources department to ensure you have access to new staff lists.

CALL LOG

Preparing and maintaining a call log is an important part of operational reporting. Keeping a log of all requests for help, archiving or training is helpful for reporting reasons and to be accountable for meeting departmental objectives. This helps for when the records team are asked for accountability for the kind of services offered at any given time.

COMMUNICATION PLAN

There are many ways to communicate with staff and it is important to structure these communications throughout the year. Sending too many all-staff emails could create complacency when it comes to staff reading them. Sending specific emails out at key times of the year is recommended. If it is the end of the financial year, for example, it may pay to send an email to the finance department to remind them of their recordkeeping requirements. The communication plan should cover the following:

- Newsletter article
- Regular all staff emails
- Floor walking (informal discussions with staff at their desk)

REGULAR MEETINGS WITH STAFF AND MANAGERS

Attend as many meetings as possible. Growing relationships with all staff is a key to success. By attending different meetings, the records team will be able to advise staff on best practice or any new developments. It is also a good place for managers and staff to get to know the team and ask any questions that they may not normally think of asking. Take brochures and any other helpful information to hand out to staff to ensure that they take something away with them.

SURVEYS

Each year it is recommended that the records department carry out a survey to ensure that what they do aligns with their service level agreement. It is easy to create a simple survey, send the link to all staff and have little incentives like the first five people to complete the survey will get a chocolate fish.

The surveys are helpful in steering the department towards slightly different training needs and in finding out if the services offered are what staff require. Once the survey has been completed by as many staff as possible, a final survey report should be created and sent to the executive team and senior management team which, once they have read the recommendations, they should sign off.

DESK FILE

Desk files may take a while to create but they are well worth having in the office. Desk files are good for when a new team member starts within the department. These should cover topics such as the following:

- General disposal authorities (GDAs)/record retention and disposal authorities
- Forms and brochures
- File classification/taxonomy
- RM contacts within the organisation
- File-naming procedures
- Off-site storage process
- Policies/procedures
- External authorities
- Meeting procedures
- Loaned records
- Destruction bins
- Travel bookings
- Accommodation bookings
- Reimbursement of expenses
- Maintenance requests
- Visitors
- Cleaning issues
- Order books
- Staffing issues
- Training

RECORDS CONTACT IN EACH AREA

Some companies call them champions, some call them contacts, but whatever the name, having someone in each department who has a firm understanding of RM processes is important. Ensure that you use incentives such as morning tea when meeting with the champions of each area, as it is added work to their role.

VISIT PEOPLE

One way for an RM department to do well is for the records team to make the time to get to know people, to visit them and to really listen to the needs of staff. Getting out there and getting to know people builds relationships, which in turn creates a bond of trust that records managers are not there to wrap a ruler over their knuckles or to tell them off for not knowing about how best to manage their information. If staff know you are approachable, nice and helpful, they will be happy for you to sit with them even if their RM isn't as good as they would like.

The full list

1	Executive support
2	Be included in the organisation chart
3	Adequate staffing
4	Adequate position description
5	Adequate budget
6	RM policy and procedures
7	Service level agreement
8	RM charter
9	Records responsibility form
10	Digital information map
11	List of key systems
12	Vital records register
13	Taxonomy/file classification structure
14	Training plan (overall details for each year)
15	Brochures
16	Intranet site
17	Information cards
18	File-naming guidelines
19	Off-site contractors for long-term storage
20	Dedicated storage area compliant with storage standards
21	Operational plan for RM services
22	Call log
23	Communication plan
24	Regular meetings with staff and managers
25	Surveys
26	Desk file
27	Records contact in each area
28	Visit people ❖

ABOUT THE AUTHOR

Kylie Welch has been working in the RIM sector since 2009. She has gained a Diploma in Records and Information Management and has presented at conferences on how to run a successful RM department. She has a teenage daughter, is a Justice of the Peace for New Zealand and when she has grasped a concept, enjoys writing new material that others find helpful.
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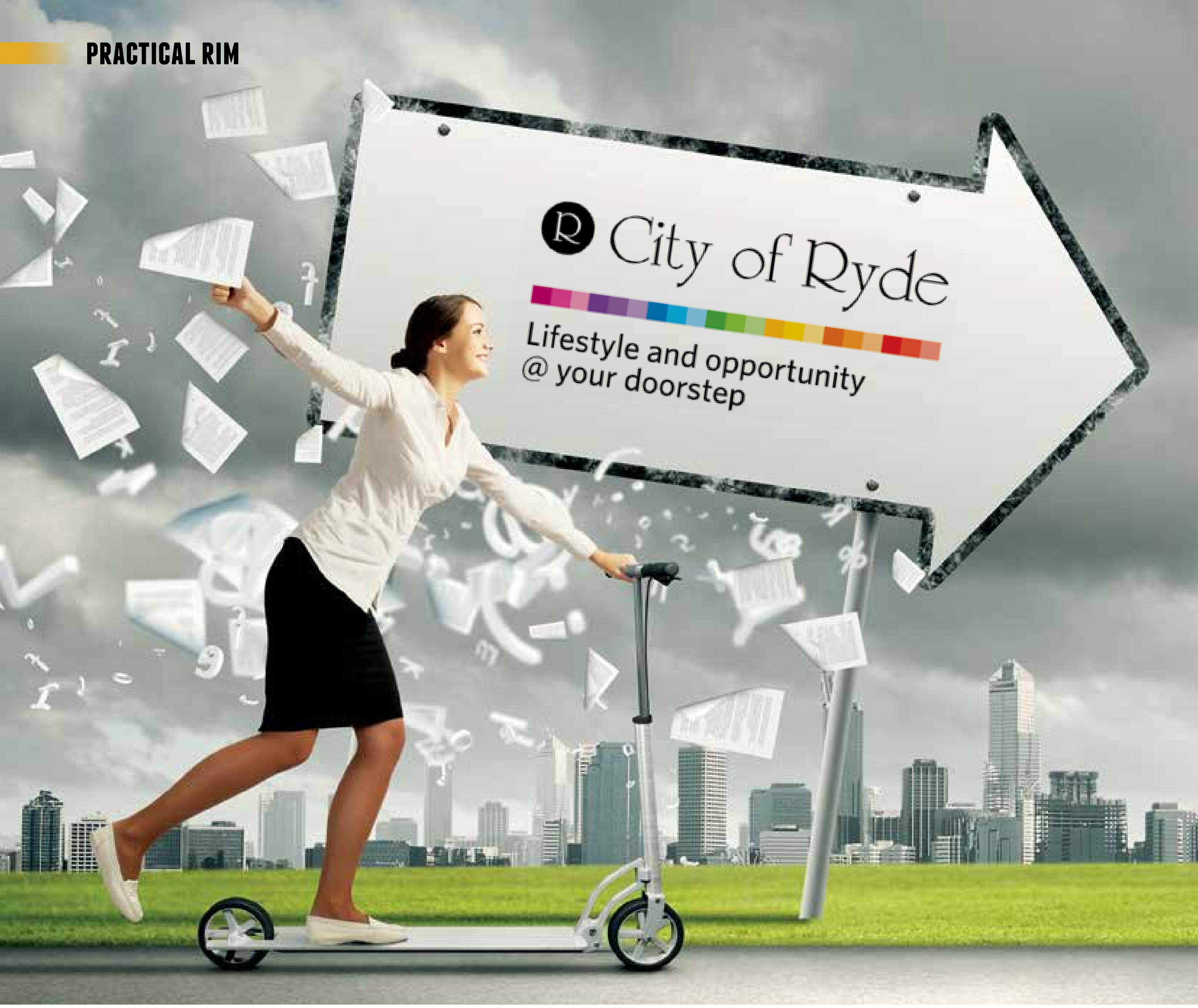

Driving business forward: an enterprise-wide information management solution


Greg Navin, NSW Branch President

Linda Shave was about to present at a RIMPA event in Sydney last November. NSW Branch President Greg Navin introduced her to the audience and mentioned that they were former colleagues. He said Linda was a thought leader in the profession, and that she inspired him with her leadership, innovation and dedication to driving RIM solutions. Linda then reminded Greg he had once told her she would never make a 'registration officer' or 'records officer' as her registration skills were lacking. Here, Linda outlines how she turned his opinion around – by driving business forward at the City of Ryde through an enterprise information management project that proved to be 'ahead of its time'.

By **Linda Shave**

story snapshot

It was 2008, and NSW Planning reforms were requiring government agencies to put in place systems and processes to deliver online services; effectively capture, manage and preserve information assets; and improve staff training and retention. This called for a complete business process overhaul.

The location was the City of Ryde, a local government council which at the time of the business improvement and enterprise-wide information management initiative comprised around 100,000 residents and 40,000 dwellings. The City of Ryde is in the Sydney metropolitan region in NSW and home to many of Australia's major technology companies and part of an ever-changing, dynamic global marketplace.

The year was 2008 and government agencies at all levels faced challenges to meet demands for governance and transparency, and to put in place systems and processes to support the NSW Planning reforms to deliver online services; effectively capture, manage and preserve information assets; and improve staff training and retention. This called for a complete business process overhaul and the introduction of an information lifecycle management solution to improve efficiencies, interoperability between core business systems and extend collaboration within Council and external parties.

An HP TRIM enterprise document and records management system (EDRMS) was already in use – albeit in a very limited way – for the capture, management, searching and publishing of information. An evaluation of the technology was undertaken to ensure it could provide the necessary transparency, efficiencies and improved processing times and governance features as identified by the initial business analysis and surveys.

CHALLENGES

It became apparent to me that the TRIM EDRMS was able to support identified functionality; however, the business feedback on using TRIM was not positive and had the potential to be a road block to success. A quick win was needed and the most unlikely opportunities appeared on the horizon in the guise of the Top Ryde shopping centre development and an upgrade to TRIM 6R2.

The then general manager Michael Whittaker had a vision for the Top Ryde shopping centre and at a meeting he expanded on this vision to announce that we would scan all development applications and associated documents in colour, distribute these electronically and reduce turnaround times. I did happen to say to the general manager that I was inspired by his vision for the Top Ryde shopping centre; however, I do not recall offering to take the challenge on.

The next day I was presented with two projects. The first project was the scanning of development applications to be delivered within four weeks. This would not have been an easy feat at the best of times let alone when you have only a few flatbed scanners. The second was a golden opportunity upgrading TRIM to TRIM6R2.

With these projects came the reality that Council would be receiving, in addition to normal business, hundreds of development applications (DA) and associated documents. The scanning of plans would need to address all sizes, be scanned in colour and saved into a PDF text searchable format. Clearly, this would require the design, development and delivery of new business processes for the electronic planning (ePlanning) lifecycle and a new eDA solution. It would also require a review of the Information and Records Management section to discover current processes for mail handling, development applications, scanning, registration, physical folder creation and current TRIM structure.

SCANNING DISCOVERY

Rising to the task I undertook a hasty business needs analysis with customer services and the planning section and development assessment team. I proceeded to undertake research on high quality scanning formats, scanners able to support colour A4, A3 and A0 formats, barcoding and provide a PDF text searchable output format. Mission completed, I approached the procurement and IT team to see if I could utilise the opportunity of the Fuji Xerox 'printer replacement' program to obtain on trial a Fuji Xerox ApeosPort C4300 multifunction device and SmartSend 2.1 technology. Permission was granted and thank you to Fuji Xerox for having supplied us with the pilot ApeosPort C4300 multifunction machine so that testing and proof of concept could commence as time was of the essence.

INFORMATION AND RECORDS MANAGEMENT DISCOVERY

As previously specified TRIM was already in use at the City of Ryde, but in a very limited way, and business feedback was not positive. It was time to go and visit the Information and Records Management section and meet its manager Greg Navin and his team to learn more about their current processes, current TRIM structure and challenges, and to identify areas of opportunities.

The TRIM 6R2 was a timely project; it provided users with new icons and features and included the ICE search engine tool and WCM – a platform to design and publish from. After reading the TRIM 6R2 feature manuals and SDK development manual I could see some real benefit realisations and in my mind evolved the naissance of 'eTRIM', a scanning integration solution and the motto of 'solutions through innovation'.

The next step was to design, develop and implement an ePlanning case management solution in eTRIM, integrate scanning and market the solution within the four-week framework provided. No pressure.

It was during this time that I faced a couple of challenges; as a project manager, two of my mottos are 'never ask others to do what you yourself will not do' and 'take all accountability for failures'. In this case, it was already a high-risk project so I needed to learn quickly, bring people on board, win confidence and show inspiration and leadership. All in a day's work!

The creation of a new information management solution commenced with a full process analysis of the end-to-end planning life-cycle. This involved brainstorming sessions including developing a functional model for planning and identifying all inputs, outputs, relationships to other business activities, business units and responsible persons involved in the process. The teams were asked questions like, when did we expect to receive information? What did we expect to be the output, and what was the sequence of events that needed to be triggered? I went on to create a whole roadmap of the processes.

These processes were translated into case folder structures within TRIM to support planning services such as pre-lodgement, applications, appeals, inspections and enforcements. This new structure provided the foundation for 'eTRIM' – a macro-driven business prefix taxonomy solution that applied business rules, retention and structure, The intention was to make it easier for the Information and Records Management team and business to use.

Once the case management structures, relationships and workflow actions (as identified by business representatives) had been agreed and signed-off, we needed to integrate over 38,000 property folders from GIS into eTRIM. The property folder structures included property details and links back to GIS and CRM. I embarked on the very labour intensive process of manually linking the 38,000 properties to streets and link streets to suburbs. This approach was a critical in my design component for eTRIM; the solution needed to be responsive to searching. Being able to use a 'semantic tagging', 'metadata approach' and introducing 'prefix taxomonies' would allow users to find information (record) assets such as council and residential properties via suburbs, streets, DA number, project numbers and a number of other search criterion.

...it was already a high-risk project so I needed to learn quickly, bring people on board, win confidence and show inspiration and leadership

Once completed an extensive digital scanning exercise was undertaken for capturing and registering records into eTRIM commenced. For two weeks I scanned and registered all DA packs myself in order to perfect the scanning process and registered them against properties in eTRIM. All other processes remained manual such as physical folder creation, as we needed to perfect scanning and show the development assessment team that the process would work.

It is important to mention that InfoMaster 'MasterView' application played an important role in linking TRIM to DA tracking; it provided the framework for what I called 'a single view' linking TRIM, TechnologyOne applications and CRM to the DA tracking application which was to become a core for the planning and development assessment team to use.

The eTRIM Development Applications and scanning were introduced four weeks from the first brainstorming sessions. This was closely followed by Principal Certifier Applications, Voluntary Planning Agreements, Compliant Development Applications, Pre-Lodgement, Building Certificates and Business Registrations. Within four months, full-colour scanning of all plans including A0 plans and stamped approved plans was underway.

The case management approach quickly lead to increased transparency, efficiencies, and improved processing times for all planning services such as pre-lodgement, applications, appeals, inspections and enforcement.

The time taken from receiving a document to making it available to staff was reduced from five days to four hours, improving processing times for many services by around a week. Change management issues often encountered when implementing new solutions were kept to a minimum as the business had been involved in the process from the beginning.

OBSTACLES

One of the obstacles the Information and Records Management team and I faced was a lack of resources, as this project was never budgeted for. In fact, the recordkeeping eTRIM and scanning solutions had *no* budget. However, we did have the printer replacement program which we capitalised on to undertake the proof of concept for eTRIM and eDA (Development Applications) – the rest is history.

SUCCESS

This project is a wonderful example of how fighting an obstacle became the driver for what was achieved at the City of Ryde. Solutions through innovation provided an enterprise solution – ahead of its time. The Integrated eTRIM case management solution was developed for the business with input from the business and was embraced by users immediately. We involved users from the outset in brainstorming sessions, workshops and training. It is this collaborative approach and this engagement strategy that contributed to users embracing the solution with enthusiasm.

So much so, that in many instances, users did not even want us to hold training sessions, because they already knew how to use the solution. Now that is user adoption at its best!

ABOUT THE AUTHOR

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

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Just think of what could have been achieved if I had access to the agile flexibility of mobile technologies, cloud offering such as SaaS and cloud deployment models such as public cloud back then.

Thank you to Greg Navin and the team Tim Herridge, Chris Castro, Moninder Arora, Mona Guirguis, Bhushana Munot, Ratiya Glover and Myra Malek. It was a memorable time and Information and Records Management triumphed in the end. I will always remember this project, the team and the friends I made with fond memories.

Oh! By the way Greg Navin confirmed, at the end of the project, that I had met registration 101 skills.

Silos and spirals:
reflections of a new professional in the information age

In this article, a new RIM professional considers what's important for information and recordkeeping professionals as they strive to support fundamental organisational processes and developments in the information age.

By **Jonathan Ellis**

"It is a very sad thing that nowadays there is so little useless information."
Oscar Wilde

Now I hate to argue with a literary great the size and stature of Oscar Wilde, especially as I've dug up and dragged this citation from the grave for misuse and misrepresentation in an unrelated contemporary context (that's journalistic licence for you), but I'm afraid I must. Certainly, it's safe to say that in the modern organisation there is a *lot* of information – not all of it useful, not all of it well managed.

To be more accurate, perhaps the problem is not masses of *useless* information, but simply that there is so much scope for duplication and disorder – records stored in multiple locations, and multiple locations available to store records – that it's sent spinning and spiralling at the click of a mouse. The results can be extremely difficult to manage and add furrows to even the most battered brows.

I'm going to consider information silos and spirals in a modern business environment; this will include the management of unstructured data (the silos), corporate communication (the spirals) and the coalescing crux of information and records management professionals in supporting core organisational needs. Indeed, having completed a postgraduate qualification in Archives and Records Management in 2013, I have been working professionally in corporate records management for eight months. Through attendance and engagement with professional events, societies and communities, and reflecting upon common experiences and observations, these problematic themes seem ubiquitous across the professional landscape.

Firstly, corporate communication. In any organisation this can be arduous, but often the larger the organisation the greater the difficulty in achieving quick, concise communication: the diseconomies of scale. If we consider the usual method for e-communication and recording decisions, the inefficiencies become apparent. An email is sent to a small group of employees for which sign-off on a decision is required. Several recipients make recommendations and 'reply to all', others reply only to the sender, and some forward it on to further stakeholders. Feedback is received piecemeal from various sources and painstakingly collated, before updates are made and an email is sent back out. The spiralling then recurs, and from a little acorn the email tree grows. Multiply this across an organisation and you grow yourself an almighty forest.

This is unnecessarily time-consuming, leads to scraps of information distributed haphazardly, and sign-off on any decision becomes laborious and opaque. It's the same effect as the document sent via email attachment, saved on a team-shared drive, multiple desktops, forwarded to others, saved again, changes made, etcetera etcetera. Multiple versions of the same document scattered in different locations; this story is old, I know, but it goes on...

story snapshot

The author considers information silos (unstructured data) and spirals (corporate communication) and the coalescing crux of information facing records management in a modern business environment.

> *…creating a virtual collaborative space for discussion means information need only be published or distributed once*

SO, HOW TO PROCEED?

The use of Enterprise Social Networks is certainly a move in the right direction. Indeed, creating a virtual collaborative space for discussion means information need only be published or distributed once. This is a more dynamic, efficient and fluid option, in which all stakeholders can be encompassed in a permission-led environment. Networks such as 'Salesforce Chatter', something of a hybrid between Facebook and Twitter, can be used as a resource for sharing knowledge, submitting queries, conducting surveys and communicating details of internal events to your 'followers'. As such, it can also become a valuable tool for the information or records manager to utilise – meeting the user in their virtual spaces to promote best practice, two-way engagement and awareness of their service. Moreover, through following selected groups, enterprise social networks provide a valuable window for keeping up-to-date with the activities and events of key stakeholders, and therefore pre-empting any recordkeeping implications they may engender (in essence, like snooping on distant Facebook friends).

Undoubtedly, keeping abreast of new technology and business practices is an important lesson as a new professional, as they invariably and inextricably have recordkeeping repercussions. Agile working is one such modern working practice. In a global economy the fixed workspace is outdated and impractical and so the tools to enable a more flexible and efficient work environment need to be chiselled. These include mobile and remote devices, alongside virtual spaces for communication. Essentially, work is no longer the physical space, but rather the head space. Conversely, records management teams will typically be required to assist with the *physical* implications of agile working – including site moves, reduced storage space and restructures – but this also means engaging with technologies to support the core activities of the organisation. These concerns may extend into capturing records produced *through* web 2.0 technologies within a given organisation, and thus understanding the context and content of these formats.

Nonetheless, amongst any developments to organisational culture, we must always keep information governance and compliance emblazoned across our chest. After all, wherever the record is created and stored, it is owned by the organisation not the individual. Amongst information and recordkeeping professionals, the fundamental role effective recordkeeping plays in maintaining organisational compliance is well established (although in any organisational context such messages are not always readily received, or noticed, until the products of our work are required). This inextricable relationship is supported through systematic approaches to retention, appraisal, management systems and training. In-turn, accountability, accessibility, legal admissibility and authenticity of information and evidence are safeguarded. Importantly, this extends into unstructured data.

The murky world of unstructured data is vast, sweeping and ever increasing. In most organisations this comprises a cocktail of data held on s-drive file servers, desktops, numerous Microsoft SharePoint team sites (as organisations increasingly advocate this as *the* recordkeeping solution), and documents uploaded in enterprise social networks.[1] Much of this often lays latent.

Aside from the unnecessary e-storage costs, over retention and general inefficiencies this can cause, the very valid concerns here are the potential for pockets of semi-hidden information and the difficulties this subsequently poses in relation to e-discovery and disclosure.

Hence, in any organisational context, there must be a real drive to situate records management in a position to readily thrust and force core compliance-based messages on the agenda amongst business-wide, strategic and cross-functional data related projects. Retention schedules and standards setting out the expectations and responsibilities of employees creating and managing data are clearly valuable tools. However, their actual implementation largely relies on people and/or systems. Records management is not the prime concern of the record creator, and they will invariably revert to the easiest option. Therefore any standards or policies must work in tandem with the technical solutions to unstructured data, and actively synergise IT, legal compliance and end-user requirements.

The mass move towards Microsoft SharePoint – a web application used to store, organise and share information – is reasonable. As the mantra goes, SharePoint supports collaboration, quick access to information and streamlined business processes. This ticks many boxes, and the functionality and fluidity that managed metadata, filtering and tagging can potentially bring is welcome (as opposed to the familiar drilling down into numerous buried shared drive folders). However, actual implementation can prove problematic.

Certainly, scalability is a major issue, and if mass migration is not systematically regulated, structured and standardised from inception, SharePoint itself can become something of a sprawling ocean beast: thousands of tentacles (or SharePoint sites, depending on your disposition) each acting independently and with very little restraint. Undoubtedly, there is no point moving everything from shared drives to SharePoint if it's simply going to be managed chaotically in a shiny new location. Therefore, control should be executed through information policies, record categories, managed metadata and retention. If this is not pre-defined it potentially asks a lot of the user. Moreover, if systematic training is not disseminated many employees will simply not use it.

Therefore, across the professional landscape, solutions for auto-classifying records and disposition are being explored. This includes integrated hybrid solutions, involving Enterprise Information Management Systems operating behind SharePoint for automated retention based on record classification, in addition to records management functionality within SharePoint itself.

ABOUT THE AUTHOR

Jonathan Ellis is currently an Assistant Records Manager at Unilever in the UK, and holds a postgraduate qualification in Archives and Records Management from the University of Liverpool.

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Notoriously, records management capability in SharePoint has been limited. The lack of event-driven retention is undoubtedly a shortcoming, whilst supplementary add-ons are often required to make it fit for purpose. However, pragmatism is paramount and the scope for systematic records management in SharePoint is clearly far greater than that applied on the shared drives of many organisations. This also provides the option for using 'In-place Records Management' (ie, the record remaining in situ within a particular team-site) or a designated 'Records Centre', again posing the dilemma of balancing control and user flexibility. Experience suggests efficient manual declaration of records is improbable.[2]

A phrase consistently uttered during postgraduate study was that 'there are no easy answers' to managing information in the 'digital age'. I thought this was a cop-out (I paid for answers!) however I am increasingly aware this is the case. There is no 'one size fits all'. An understanding of your *particular* organisational context is crucial and, as ever, senior management support, organisational culture, structure, budgets, scope and time-resources all need to be considered. Moreover, the means of conducting business and communicating are always evolving, and the modern, dynamic business must develop accordingly. As a new professional coming into this environment, the scale and the speed of acceleration can be overwhelming: stood impotently at the stable gate, dressed in a cheap cowboy costume, lasso at the ready, but the horse having bolted a long, long time ago. This particularly seems the case in regard to unstructured data.

Nevertheless, what remains unchanged is the fact that information is the lifeblood of good business, and its useability – whether for risk management, protection of intellectual property, or operational purposes – is only as good as the design and implementation of the recordkeeping system being used. Retention schedules implemented through systematic, automated disposition is the utopian dream. The reality is less glitzy. However, this is very much a process and what's important as information and recordkeeping professionals is that we are actively striving to support fundamental organisational processes and developments in the information age. The scarcity of information espoused in Wilde's gas lit Victorian age is a romantic dream, but we must continue the march into this brave new world. ❖

This article was first published in the September 2014 issue of the *IRMS Bulletin* in the UK.

NOTES

1 The enterprise social networks praised by myself only moments ago do have important recordkeeping implications. Indeed, whilst internal guidelines may state that documents should ultimately be stored in designated Enterprise Information Management (EIM) systems or platforms, users will revert to the easiest and this may well include uploading to social networks.

2 Additionally, the use of content type (reusable settings applied to categories of content), Information Management Policies, and the capacity for e-discovery controls, suggest some possibility for information and records management in SharePoint 2013.

THE BENEFITS OF NETWORKING

Networking isn't just for bosses and the people who bring in business for their organisations and firms, you know. It's just as important for executive assistants, personal assistants and office professionals of all stripes too!

By **Ron Gibson**

Done the right way, networking will pay off in spades for you. It will keep you in your job. It will help you stay sharp in your role. It increases your professional development. It gives you a pool of contacts, skills, resources and advice to draw on when you need these things. And it can help you find a better job.

No doubt about it. Networking is important. If you're not doing it, you should be! And even if you are networking, you can always take your game to the next level.

Consider the following:

- **Business cards**. You need them. You will meet with customers, suppliers and other professionals in the course of your working week and using business cards will raise your profile as your company's representative.

- **Go to networking events**. The more people you meet, the more you will learn. The more you learn, the more ideas you can bring back to your company. If you're looking to increase your value to your organisation, the best thing you can do is build up your network of connections.

  Here's a tip: Networking events can be a little daunting so get there early and ask the host to introduce you to other members and guests. The host can also provide background information and invaluable reminders of peoples' names and other key facts.

- **Become a prominent member in your professional association**. Don't just join. Join in. Make sure you attend most, if not all of your association's events so that your profile is reinforced amongst other members and guests. Give time to your association via committee work and meet up with fellow members between group meetings and you will form lasting relationships that will open doors otherwise closed to you.

- **Follow up the new contacts you make**. This can be an informal email to say you enjoyed the conversation or meeting, always saying thank you for help you received and finishing with something like, If I can help you in any way, any way at all, just let me know or Let's stay in touch and keep talking or Please feel free to contact me whenever you like.

- **Stay in touch**. It's true; people will forget about you unless you keep in touch with them regularly. Decide how often and when you need to be in contact with the people in your network and schedule time to do this accordingly—maybe it's an hour each week or perhaps an afternoon once a month. Give people a call or shoot them an email to touch base and help keep yourself up to speed on what's happening with them and let them know you care about the relationship.

- **Connect your boss**. He or she is always on the hunt for the next connection who will take your organisation to the next level.

  First, you want to learn your boss's business priorities and goals. With this information, you can make introductions to people that can be helpful or useful to your boss either directly to people in your network or indirectly to such people via your contacts' networks.

If you can do this effectively and you can do it with regularity, you will become an invaluable resource in your boss's eyes and build an even stronger relationship with him/her. And that could bring you the promotion or pay rise you so richly deserve sooner rather than later.

- **If you haven't joined LinkedIn, you need to**. When you meet someone professionally, ask him or her to connect with you on LinkedIn while your are fresh in the person's mind, meaning as soon as you return from a networking event or wherever you met them. LinkedIn is a great way to keep up with people and let them know about your achievements and learn about theirs. ❖

ABOUT THE AUTHOR

Referred to as 'That Networking Guy' by many companies and firms, Ron Gibson provides in-depth networking training and coaching, focusing on business growth and development. Get Ron to speak at your next conference or sales meeting about how to bring in more business, more consistently and more often.

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Meet Julie Walker: Student of the Year

Julie Walker, Acting Records Services Coordinator at Lake Macquarie City Council, won the 2014 J Eddis Linton Student of the Year award. Here she tells us about her career as a RIM professional and why professional development is important to her.

For someone who considers herself a late developer, I was thrilled to win the Student of the Year award at the inForum Gala Awards Dinner in Adelaide in September.

I was nominated by Chris Fripp, who was my tutor for both of my advanced diploma courses and who is a great inspiration to me.

I left school in 1978, and my first job was as a records clerk in the NSW Land Tax Office. I had an interview for the NSW Public Service, and was offered my choice of a job in one of six different government departments. I had no qualification other than my School Certificate, and chose the Land Tax Office because the interviewing officer said a lot of young people worked there.

I certainly didn't set out with the intention of being a records manager, but I think I have certain attributes that have set the course for my career – for example, I'm a naturally very organised person, with a good memory (I'm brilliant at remembering file numbers!) and am thorough in my attention to detail. These attributes have helped me along the way.

My next job was as a receptionist for the Commissioner of Land Tax, and then I was employed by the National Australia Bank as a savings bank officer. This job entailed a lot of filing – hundreds of cheques in number order every day! In those days, all records were paper, and everything was done manually, without the help of computers.

After a few years with the bank, I took a clerk's job in the Health and Building Department of Campbelltown City Council.

After a few years in this role, I got married and relocated to Lake Macquarie, where I took a job as a medical receptionist. During this time I had health problems myself, and decided to look at other employment options that would better suit me.

In 1989 I was employed at Lake Macquarie City Council (LMCC) as a records officer. At that time we still had paper records and files, although records were indexed electronically. File movements were tracked by barcodes, and we spent lots of time filing and managing paper records. We also microfilmed many records.

I left Council at the end of 1994 to have a baby. In 1998, I returned part-time to the Records Section. By then we were using scanners to digitise incoming paper records, and we created correspondence in electronic format.

In 2001 I took a full time job in Council's HR training team, making conference bookings, organising training sessions, and providing general administrative duties for my team. After a year, I became editor of Council's weekly staff newsletter.

A job within LMCC then became vacant for an access to information officer. I did this role for three years, processing FOI applications and subpoenas. I was seconded from this job into a business analyst role to assist with our controlled documents system and provide EDRMS expertise to all Council departments. This job required me to provide staff training, develop procedures and training manuals, review processes, and implement changes within business units.

As a business analyst, I loved the creative and problem solving aspects of my role. Working with an electronic EDRMS, the functionality allows you to be creative in designing workable solutions for your customers. I also like that legislation and standards provide a meaningful framework for you to work within, and in designing solutions you need to consider that legal requirements for recordkeeping are maintained as part of your solution.

In 2008 I was seconded to work as a project support officer for Council's Service Review project. The Service Review looked at approximately 50 services delivered by LMCC, and was a major project that involved the whole of Council.

After 18 months on this project, I returned to the Records Section. I realised that if I wanted to progress my career, I would need to gain some formal qualifications that would support my experience in the RIM industry.

…the benefits from doing the course were significant for me

UPSKILLING

In 2010, I undertook my Advanced Diploma in Recordkeeping through a course offered by RIMPA. This was the best professional choice I have made. The knowledge and skills I gained through completing the course have helped me in so many ways.

Since completing the course I have been project manager or a project team member on several projects which have delivered significant results for the organisation. These include using sub folders in TRIM (our EDRMS), the implementation of Pictures in TRIM software, and the provision of access to all our corporate policies, procedures, guidelines and forms kept in TRIM through our intranet. My most recent project was implementation of a universal search tool (iFerret) that allows document content and metadata searching of TRIM, users' email accounts, and seven other data repositories.

At the beginning of this year, I became an empty nester, and wondering what to do to keep myself busy, decided it would be advantageous to gain a management qualification.

I signed up for an Advanced Diploma of Management course offered by RIMPA. Again, the benefits from doing the course were significant for me. I am now acting records services coordinator at LMCC, and am enjoying the new challenges and opportunities this role is providing.

As a RIM professional I enjoy the diversity my role now offers. I look forward to the many changes and improvements the future will bring, and will be proactive in continuing to develop my skill-set to meet those changes. I really believe that the more effort you put into your work, the more satisfaction you get from it, so you might as well make an effort!

At the moment I am acting in the records services coordinator role. The role will be advertised externally as a permanent position in 2015, so my manager is allowing me to gain experience for six months which will allow me to compete with the open market when the position is advertised. Currently we are working on several projects, including the introduction of Ezescan, and digitisation of our historic minute books, as well carrying out our normal operational tasks.

I try to be encouraging to my team members, as well as a positive role-model for them. I aim to use my skills and experience to influence an improved recordkeeping culture within my organisation. ❖

WHY DO WE KEEP RECORDS FOR SEVEN YEARS?

And, coincidentally, when and why were archives first established in England?

By **Andrew Warland**

The destruction of records after a pre-determined retention period, subject to any actual or potential litigation preventing that destruction, is a standard and legally acceptable business practice.

The most common retention period, especially for financial and business records, is seven years.

What is the origin of the seven-year period?

BIBLICAL ORIGINS?

From time to time it is claimed that the seven-year period is based on Biblical references, including Deuteronomy 15:1 – 2 which refers to the cancellation of debts at the end of seven years.

However, while the influence of the Biblical seven-year period cannot be ruled out, the seven-year period for records appears to have its origins in the concept of legal limitations that were first established in Roman law in relation to property, and then much later in English law in relation to simple contracts; the latter based on a six – not seven – year period. Records relating to those contracts had to be kept for the period of limitation, and then could be destroyed.

ROMAN LAW

Limitation periods for certain actions first appeared around 450 BC in the 'Twelve Tables' of Roman law. The 'Twelve Tables' included the principle of *usucapio* or 'taking by use': 'Usucapio of movable things requires one year's possession for its completion; but usucapio of an estate and buildings two years.' (United Nations of Roma Victrix)

Usucapio is in many respects the basis for the expressions 'possession is nine-tenths of the law', and 'finders keepers'. That is, the possession of something (usually over a given period of time) is the basis for owning it.

ENGLISH LAW

English law, on the other hand, never accepted the idea that long possession of property was the basis for ownership or acquiring title. Instead, the continual possession of property over a passage of time removed the original owner's right to claim it back.

Changes to feudal and property laws were introduced to England by William I following his conquest in 1066. The Normans brought with them Jewish moneylenders who introduced new forms of commerce and rules that eventually found their way into English financial practices and law, especially property law.

These practices included new forms of legal document, known as 'shetar', 'starr' or 'Jewish gage' (related to the 'gage' of mortgage, or 'death pledge'), which included the requirement that a defaulting debtor must sell his property to pay his obligation. (Shapiro)

Over the next 250 years, these lending practices became one of the key sources of grievance against Jewish moneylenders. Indeed, they became '… a weapon of socio-economic changes that tore the fabric of feudal society and established the power of liquid wealth in place of land holding'. (Shapiro)

William's successors, Henry I (1100 to 1135), Stephen (1135 to 1154) and then Henry II continued to modify English property laws. Henry II (1154 – 1189) '… assumed an increasing share of litigation that had previously only been heard in local courts. This was done through the issuance of Royal writs, including the new concept of a "writ of debt" which was used to collect loans of money', no doubt based on the model provided by the *shetar*. (Regina v. Oxfordshire County Council; Biancalana)

Henry II's successor, Richard I, was crowned in July 1189. Anti-Jewish riots broke out after his coronation and many original loan documents were destroyed making it difficult if not impossible to prove an obligation. Coincidentally, these actions resulted in the creation, in 1200, of local Archives (*Archae*) to ensure that duplicate copies were kept of important records.

STATUTE OF LIMITATIONS ACT 1540

It was not until 1540 that a new Act of Limitation prescribed limitation periods for land-related writs:

- 60 years for land-related writs of right
- 50 years for writs of *morts d'ancestor*
- 30 years for claims based on possession of the claimant

STATUTE OF LIMITATIONS ACT 1623

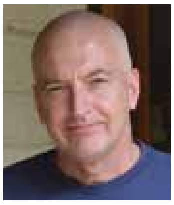
In 1623, a new Statute of Limitations was enacted. Until the passage of the 1623 Act, no limitation periods existed for other, non-property claims.

The additional limitation periods added to legislation were as follows:

- Two years: Actions for slander
- Four years: Actions of trespass to the person, assault, menace, battery, wounding and imprisonment
- Six years: Actions on the case (other than slander); actions for account, other than such accounts as concern the trade of merchandise between merchant and merchant, their factors or servants; actions of trespass, detinue, action sur trover, and replevin for taking away of goods or cattle; actions of debt grounded upon any lending or contract without speciality; and actions of debt for arrears of rent; actions of trespass to land

The 1623 Act also provided for an extension of time where the plaintiff was under the age of 21, a married woman ('feme covert'), mentally disabled ('non compos mentis'), imprisoned, or 'beyond the seas'.

ABOUT THE AUTHOR



Andrew Warland is a Sydney-based, information management consultant with over 33 years of practical experience and working knowledge across the spectrum of information, records and content management issues in Australia and New Zealand. He has direct and practical experience working with a range of business and information and enterprise content management systems including SharePoint and TRIM.

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Clearly, the new six-year limitation period created an obligation to retain records relating to the matters described for that period of time.

REVIEW IN 1936

Limitation periods were further reviewed in 1936 and the following recommendations made.

- A single limitation period of six years should apply to actions in simple contract, and actions in tort.
- A new limitation period of 12 years (down from 20) was created for actions on a specialty.

These periods are the same as those found in Australian legislation.

SO, WHY SIX YEARS?

The origin of the six-year limitation period for 'Actions on the case' and other matters may never be known.

According to a report of the UK Law Commission in 2001, '… we have been unable to trace any information on the reason why the six-year period was thought appropriate'. However, the six-year period 'at present applies to the majority of such actions (and) is familiar to the general public'.

As the majority of business is based on some form of simple contract, it follows that records relating to such matters should be kept for at least seven years, one year after the expiry of the six-year limitation.

And this appears to be the origin of the common seven-year period. ❖

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What's next? Perceptions of policy setters and practitioners

With over 40 years' combined experience in the records and information management (RIM) industry – and having both worked with State Records NSW and the National Archives of Australia, as well as being involved in a number of professional societies, Standards Australia and other information management bodies – our authors give their perceptions about the qualities, skills and attitudes required of RIM professionals now and in the future.

By **Kate Cumming** and **Janet Villata**

We are responsible for managing information in an era of massive business transformation.

We are operating in an era of ageing legacy systems and monolithic EDRMS structures. Our organisations are rapidly adopting a range of purpose-specific services located in the cloud, in mobile applications and in personal devices. They rely on multiple proprietary or purpose-built corporate systems, ranging from transactional systems for specific business processes, to large enterprise-wide applications. Business information is being pulled in all different directions, usually by different or competing organisational interests, technological and service agendas.

In virtually all corporate environments, there is no conscious awareness of what is happening to corporate information. There is very limited knowledge of where information is moving to, where it is being fragmented, where it is being duplicated, where it is disappearing, where it is now offshore and where it is now controlled by third parties.

There is little governance and very little control or consideration of the short and long term needs of the business. The reliability, usability and longevity of vast amounts of corporate information are under threat. Interestingly this all comes at a time when there is also stronger regulation, more public interest, expectation and demand for access, and growing privacy and security concerns. Welcome to the challenging technological, business and crowded information landscape of today!

Now and into the future, it will be our role to detangle these complex threads and ensure that our organisations have the information, efficiencies and accountabilities they need. If we don't step up to this challenge, our personal futures, and the future of our profession is under threat.

story snapshot

This article examines two key questions:

1. Are we, as the practitioners of today, embracing the challenges we face?
2. Are we positioning ourselves well to confront the challenges of the future?

It also builds a profile of the RIM professional of the future.

ARE WE CHANGING AS A PROFESSION TO MEET THE CHALLENGE?

This article examines two key questions: Are we, as the practitioners of today, embracing the challenges we face? And are we positioning ourselves well to confront the challenges of the future?

In our experience, the answer to these questions depends on the individual. We have met practitioners who are actively positioning themselves, who grapple with current issues and who are firmly focused on the challenges ahead. We have also met others who doggedly cling to what they have always done. They have a limited focus, and try not to think about the changes that are happening now, let alone considering what the future might hold. Most of us probably sit somewhere in-between these two extremes.

In the remainder of this article, we will compare and contrast the kinds of qualities, attitudes and skills of those at each ends of that spectrum. This can help to build a profile of the RIM professional of the future and give some direction for those who are not quite there yet.

OPERATIONAL VS STRATEGIC

To be future-focused professionals, it is essential that we take a strategic, proactive approach to information. Yet, in our experience, a number of RIM professionals are still thinking and working operationally and reactively. We have heard many times people say "I have too much day-to-day work to develop a strategic plan", or "how can I possibly be involved at systems design when I don't have enough time to manage my existing tasks?" We cannot be complacent about this. The reality is: if we want to be in work in the next five to 10 years, we will need to make time for a strategic approach.

THE INFORMATION VS THE BUSINESS

If we are not strategic, we focus our energies on the procedural tasks in front of us and we fail to see the big picture. We focus so much on the *information*, that we forget the relative importance of the *business* the information is supposed to be supporting.

If we cannot recognise what is strategically important to our business, if we cannot understand our value and our role in relation to strategic objectives, we cannot expect others to value and appreciate our contribution.

COMPLIANCE VS RISK-BASED DECISION MAKING

We all know we have reduced resources and too much information. Taking a strategic approach gives us more high-level understanding about what information is being created, and it also enables us to focus on the key areas of business where our assistance and input will have the most value.

Some practitioners, in contrast, often try to implement a compliance-driven one-size-fits-all approach in an attempt to achieve 'best practice' across the whole organisation. This is frequently unachievable and unsustainable.

We need to heed the message that not all information is equal. We need to be strategic: to focus our resources on high-risk, high-value business areas and the records and information that support this business.

EXCLUDE BUSINESS SYSTEMS VS WORK WITH BUSINESS SYSTEMS

High-risk, high-value information is often in business-specific systems and applications. Future-focused professionals will be working with stakeholders in their organisations to undertake activities such as:

- defining information architectures, where systems and their interrelationships – including the use of metadata schemas across systems – are examined and managed
- determining standard information requirements and defining risks for the introduction of new business systems, including those in the cloud.

Future-focused professionals will not try to make every system in their organisation comply with ISO16175. Instead they will take a risk-based approach to ensure that:

- information captured in key systems is identified
- the systems are configured appropriately to manage that information
- if information requirements are unable to be met, the risks are identified and communicated to management
- information can be migrated effectively to new systems if their life span exceeds the life of the systems they are in.

It is also important to remember that systems need governance: both upfront and ongoing governance. Without governance, massive problems can rapidly occur.

Joe Montana, a US-based consultant, gives examples of the completely unregulated data growth that is occurring in corporations today. He says that: "In our work, we have seen a 2,000-employee company with 20,000 active SharePoint sites, and a 10,000-employee company with more than 50,000 sites. These sites are usually loosely regulated, if at all, and companies not only can't quantify the number, they have no insight into their contents."[1]

Future-focused professionals need to be proactively considering governance, business risk and strategic advantage. They need to be putting information at the heart of systems design and purchase, instead of just the technology. That way they will be recognised as invaluable assets to their organisations.

INSULAR VS COLLABORATIVE

Tackling strategic issues and addressing information architecture and business systems design and governance might seem like a scary new direction for some. This is delving into some areas that are not our traditional areas of expertise.

Collaboration may not come easy to some RIM professionals. They may not be confident enough to try and get involved in these technical issues, or they may try but struggle to 'to get a seat at the table'. As a result, organisation-wide systems are deployed without their input and without an awareness of ongoing information needs, requirements and risks. Long-term information useability, sustainability and management are often jeopardised.

We need to work primarily with the business to understand their objectives and needs and to communicate how we can proactively assist. We also need to align ourselves with those who have similar goals, such as security and legal staff. Of course the prime stakeholder we need to work with in relation to systems design and information architecture is IT.

Sadly, at present many RIM professionals currently have notoriously discordant relationships with IT.[2] Future-focused RIM professionals need to nurture this very key stakeholder relationship.

UNSKILLED IN IT VS UNDERSTANDING OF IT AND CONTINUOUS LEARNING

A key impediment to working with IT is if RIM practitioners lack skills in IT. We do not believe we need to *be* IT professionals. However, we do need to have a working knowledge of our organisation's key systems, and the key processes affecting information (like migration and archiving methods) to collaborate with IT successfully. For many existing RIM practitioners, that *will* mean up-skilling for the future.

Up-skilling does not necessarily mean RIM professionals have to obtain degrees in IT. A speaker at the July RIMPA NSW Branch meeting from the Hunter Institute of TAFE pointed out that 70% of learning is incidental learning – so some can be obtained by being brave enough to be involved in organisational projects and programs or taking on new challenges within the office environment.[3]

OVER RELIANCE ON EDRMS VS HIGH-RISK, HIGH-VALUE BUSINESS SYSTEMS

Traditionally RIM management professionals are comfortable with the EDRMS and for them information management is based around EDRMS-specific solutions. Unfortunately this often means that they are not considering highly critical systems or strategies if they are inconsistent with EDRMS use.

We have been using EDRMS long enough now to know that EDRMS is not the solution to all of an organisation's information needs. It is just one tool. EDRMS solutions can offer the kind of functionality that is useful for us as RIM

professionals, but they are expensive to purchase and maintain and most users find them clunky and unfriendly. Many EDRMS implementations fail. It is often painstakingly difficult and costly to integrate EDRMS with other business systems, and some integrations simply cannot get off the ground. When they finally work, one of the systems is upgraded and the integrations need to be re-established.

More and more organisations are turning off their EDRMS integrations. The technological landscape is changing so rapidly, the cost of constantly redefining integrations is becoming too large and too nebulous and hard to tie to business need and risk. In some cases EDRMS themselves are being shut down.

In many organisations not much information is actually being saved into the EDRMS and the information that is saved tends to be administrative information of low risk and low importance. UK-based records consultant James Lappin recently assessed a very large multi-national company with a very strong records management program. He found that the corporate EDRMS occupied only 4% of the organisation's total storage environment; 33% of corporate storage was taken up by business applications and a staggering 63% by corporate email.[4]

There is a risk that we as RIM professionals could be allowing ourselves to become niche by working only with niche technology. Niche can be cool, niche allows for differentiation, niche allows for specific and unique skills. However, in evolutionary terms, niche can be risky. In the wild, species that become too dependent on a particular food source or habitat have their fate specifically determined by the fate of that food supply or environment. We are more than a specific piece of technology and we must ensure that our advice and practice reflects this.

There is a risk that we as RIM professionals could be allowing ourselves to become niche by working only with niche technology

We are not advocating that organisations wholeheartedly abandon their EDRMS. Some practitioners have very successful implementations and EDRMS can provide much value. However, we need to stop focusing *all* our attention on EDRMS. We need to be heavily involved where the high-risk, high-value information is, which is often no longer in EDRMS.

NEGATIVE CHANGE RESISTER VS POSITIVE CHANGE FACILITATOR

You just need to listen to a group of practitioners talking about SharePoint or email archives or the cloud to understand why we might be perceived as negative!

SharePoint is not a perfect recordkeeping system, nor are email vaults. The cloud does provide a host of challenges to good information management over time. However, we also need to understand that in the end, the business will not determine what systems to use based solely on their ability to keep records. They never have, and they never will. If we stand in the way and criticise every proposal put forward to meet business needs, we will soon stop being consulted!

A future-focused RIM professional will determine and document the information risks within systems, assess their likely impacts, and make these clear to management. If management choose to live with these risks, future-focused professionals will accept it, and direct their energies toward making the best of the systems that have been selected and mitigating risks where they can through appropriate governance arrangements.

PRECEDENT AND TRADITION VS REINVENTION AND AGILITY

Our industry has a strong tradition of deploying powerful tools such as classification schemes, disposal authorities and metadata schemas. These are incredibly valuable tools but sometimes we do not market and deploy these tools in the most strategic ways.

For instance, disposal authorities are our bread and butter. And now the application of these tools is needed more than ever. Every organisation is drowning under the weight of information, and each year it is getting worse. The problem is genuinely becoming extreme, with David Rosenthal of Stanford University calculating that based on rates of current data growth, the cost of maintaining all the data created in the year 2020 will be 100% of the gross world product.[5]

Therefore it is genuinely going to be financially, physically, logistically and strategically impossible to keep all the information that is being created. Despite this, most current RIM professionals are not successfully setting up proactive disposal methods and some are not disposing of digital information at all.

Future-focused professionals will see disposal now and in the future as a proactive, future-facing process. They will apply retention rules to yet to be created information in high value, yet to be deployed business applications. This will enable them to tag the high-risk, high-value information so that it survives amongst these chaotic information volumes and so that it can be protected against technological transformation.

One of the problems in reaching this goal, however, may be in the way we are approaching IT professionals about disposal issues. To ICT professionals, the word 'disposal' has a specific meaning to it, associated with very passive and end-of-life-cycle processes. It is not at all strategic or proactive. It is a set of formulaic, low-value activities associated with winding down a system and any data it holds, turning it off and locking it away.

Future-focused professionals will need to be very alert to meaning and consider different forms of language to convey their strategic intentions. We need to communicate about our tools and processes in a way that stresses their genuine business relevance. For example:

- Disposal authorities are tools that identify the rules for information governance and retention.
- Metadata requirements are mechanisms for maintaining information integrity, useability and accessibility.

It is important to also consider when our tools require reinvention. For example, metadata is critically important, but we really need to reassess the value of large, core mandatory metadata sets. Experience with digital archiving is increasingly showing us that metadata is integral for maintaining the ongoing meaning, context and integrity of information. But the metadata that offers this value is very seldom the mandatory unique ID, record type, disposal authority reference metadata that we as RIM professionals agitate long and hard for. The long-term value metadata is proving to be the information within business applications that makes sense of the data, that tracks its use, that records a series of dates about transactions, that conveys a real understanding about the business. It is not generic, it is specific.

Therefore, in the future, we need to carry forward our traditional tools, but we need to be agile and responsive, and reinvent or reapply these tools in different ways, as business needs require.

So this then is the profile of the RIM professional of the future. They will be:

- strategic
- business focused
- risk-based
- engaged with systems and technology
- collaborative
- continuously learning
- prepared to work with different solutions
- engaged with the change occurring around them
- prepared to reinvent traditional tools and approaches.

So what's next? To conclude, we will provide two scenarios that demonstrate the types of challenges that RIM professionals are facing and show why as a profession we must become strategic, business focused and resilient.

SCENARIO 1: SOCIAL MEDIA

The following quote is from the LinkedIn User Agreement. It is specific to LinkedIn but it pertains to the information management model of any social media service provider.

This statement is useful because it is so clear and leaves absolutely no doubt about responsibility for information management in social spaces. The LinkedIn Agreement says:

> *"We may change or discontinue Services, and in such case, we do not promise to keep showing or storing your information or materials... For avoidance of doubt, LinkedIn has no obligation to store, maintain or provide you a copy of any content that you or other Members provide when using the Services."*[6]

No social spaces, which are third-party owned, in the cloud, with millions and millions of individual users, will provide assurances that they will manage your information for you on an ongoing basis. Yet, each year, more high-risk and high-value business operations move to social spaces.

However many organisations are not even aware that they may need to keep information about business conducted in social media or they assume the provider will keep it for them. Or, in the words of Alec Christie, a partner at law firm DLA Piper, many organisations still see social media as 'a magical realm' where the standard rules of business and client management no longer apply.[7]

This is a common symptom of the fundamental transformations we have been discussing. In transformed systems and spaces, people commonly assume all is new but business fundamentally has the same accountabilities and it needs the same information for its effective transaction and management. As future-facing professionals, this is our role. To help our organisations through these fundamental transformations by helping them to identify and manage the information they need.

If you have noticed that your organisation is moving some of its core business into social media, you can start to explore the following questions:

- What social media channels is your organisation using?
- What are these channels being used for? Who is your organisation engaging with? What discussions are taking place? What services are being promised or delivered?
- What information might need to be captured from your social channels to help your organisation meet its business, information and accountability needs?
- How long does this information need to be kept?
- Is it already being captured in another way? For example, are customer complaints taken out of social and processed through formal complaints channels?
- What are your export options for the social channels you are using?

- What tools are out there to assist?
- What else could your organisation do to improve its services if it could better manage the information from social exchanges?
- Are traditional forms of information, like reports and publications, transforming in social systems?

> *…each year, more high-risk and high-value business operations move to social spaces*

When you look at this list of questions you can see that *you* are a key stakeholder in this transformation as you are the one with the experience in information management that core aspects of social media governance will need to draw on.

Most business environments have no understanding of information risk and no conception of how rapidly the information they are accustomed to having to support their operations is transforming. By becoming involved in these transformations, you will likely end up mitigating major risks that no one else even considered and make people sit up and take notice that you might be a valuable stakeholder for other organisational projects and programs involving transformation. And you? Well you are transforming yourself along the way into that future-focused professional.

SCENARIO 2: OFFICE 365

Finally, let's consider another complex but increasingly common scenario.

Office 365 is a service provided by Microsoft where all traditional components of Office are offered as a service through the cloud. In this scenario, you find out next week that your organisation is planning to adopt it.

Your organisation will no longer need servers, or licences, or network environments, or IT staff to run and maintain their Microsoft environments. All services are now provided by Microsoft and your organisation will simply pay an annual fee based on the specific services it will use. It is a cheaper, leaner and more agile operating environment. The one simple compromise is that all your corporate information will now reside on Microsoft's servers, wherever these may be. Everyone is happy … well nearly everyone.

For many years you have worked hard with IT to develop and refine integrations between your EDRMS and your email, your SharePoint and other Windows-based environments. You have built up your corporate EDRMS use extensively, conducted extensive and ongoing user training, and put lots of effort into user guides and into redeveloping and testing integrations when upgrades have occurred. You have engaged all staff and most are regularly creating records in your EDRMS environment.

But, you painfully discover, Office 365 will not integrate with the version of EDRMS software you run. Everything you have crafted and laboured over is now suddenly redundant. Your current work plan to further refine your information management landscape is out the window.

You decide you have two options.

Option 1: You decide to upgrade to the latest version of your EDRMS tool, skipping several versions in-between, in the hope that it will have the capacity to integrate with Office 365. This will require a significant budget which you hadn't planned for, it will mean all your existing integrations with other business applications will need to be rewritten, all existing user guides, training courses, procedures etc will need to be completely re-crafted, and all staff will need to retrained in this very new version of the software.

Option 2: You decide to do the following:

- Look at the information risks and consequences associated with this cloud transition and communicate these to management
- Develop information mapping, longevity plans and governance arrangements for the business units involved in the cloud transition
- Work with business areas and IT staff to safeguard and protect information in this new business environment
- If export out of Office 365 is an option in the future, plan for what information you can repatriate from this environment and where you will store it on its return
- Develop classification and disposal models that can be applied to large aggregations of Office 365 data, to ensure it can either be routinely purged or flagged for ongoing retention

Either of these options is obviously hugely complex, risky and is not guaranteed to be successful.

But business is evolving. We cannot fight it, we need to do what is best in our own organisational contexts to support it.

It is too early and too contingent to say what the right option in this scenario would be, but to deal with this and all the other challenges coming our way we will need to be those future-facing professionals who are all of the qualities outlined above.

With these characteristics, we will provide genuine value to our organisations and will help to safeguard corporate information into the future, through the massive business transformations that are occurring.

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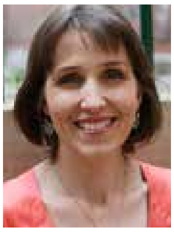
CONCLUSION

So, in conclusion, what's next?

We believe that strategic, proactive, business-focused RIM professionals are what's next. The ones full of enthusiasm and energy to undertake challenges and plan strategically. The ones who address governance and accountability, support service delivery and information sharing and provide critical support to high-risk, high value digital business. The ones who have the skills and understanding to work with key business systems, who collaborate with all stakeholders, who are positive change facilitators and who are agile and resilient enough to reinvent and reassess to meet changing business needs.

In the end, the future is in the hands of each of us: we wish you all the best for it. ❖

ABOUT THE AUTHORS



Janet Villata has been a recordkeeping professional for over 20 years. She is currently an Information Practice Advisor for Austrade where she is responsible for building information requirements into business systems and working with staff to meet their information management responsibilities. For much of her career Janet was employed by State Records NSW where she worked in all operational areas, but more recently with digital recordkeeping projects. She has also worked for the National Archives of Australia and the (then) Australian Broadcasting Authority. Janet has a Bachelor of Arts from the University of New England, a Diploma in Archives Administration from the University of NSW and a Masters in Information Science from Charles Sturt University. Janet has also been actively involved in the Records and Information Professionals Association of Australia.

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Kate Cumming is a Senior Project Officer in the Government Recordkeeping program of State Records NSW where she works with NSW Government agencies on a wide range of digital business and recordkeeping issues. Kate holds a PhD in Information Management and Systems from Monash University. She is a co-founder of the recordkeeping and archives discussion group the Recordkeeping Roundtable and regularly blogs on IM issues at http://futureproof.records.nsw.gov.au Together with colleague Janet Villata, Kate is a previous winner of the *iQ Article of the Year Award* and together with colleagues in the State Records Digital Recordkeeping Team, was shortlisted in 2012 for RIMPA's J Eddis Linton Award for Most Outstanding Team.

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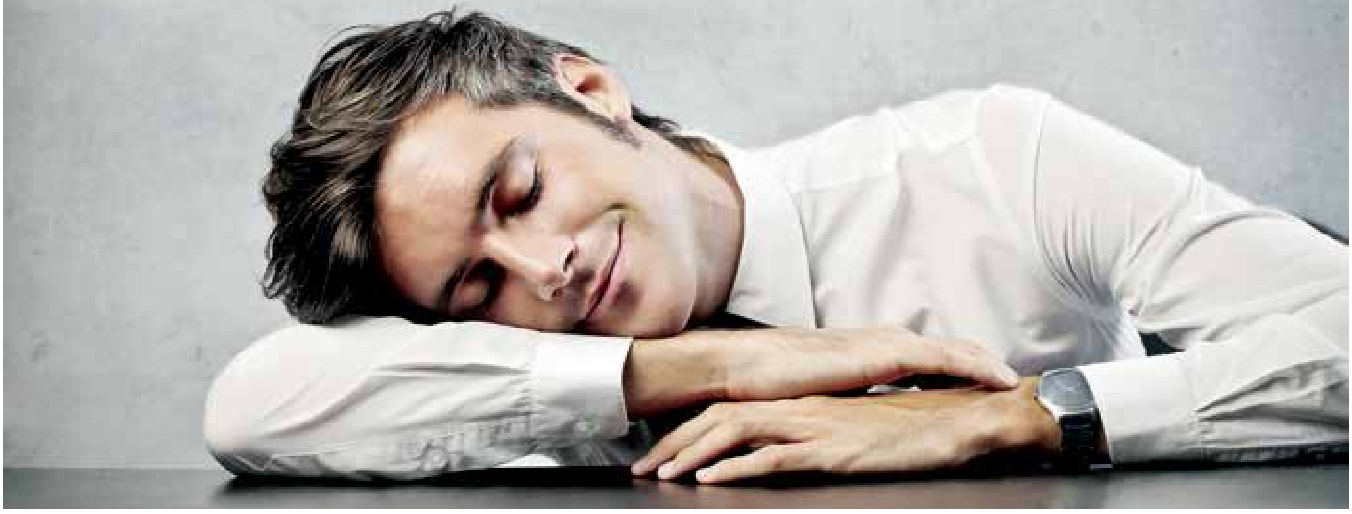
Digital Dreams
(not digital nightmares)

30 August – 2 September 2015 | MCG, Melbourne, Victoria



This year's inForum theme, while still in the planning stages, is intended to touch on a range of areas of interest including: data, the Cloud, digitisation, digital repositories/disposal/destruction, automation, content management, context management, EDRMS and mobile technologies, as well as personnel areas such as upskilling staff, change management, etc.

The conference will feature a plenary stream, a vendor stream and workshops and will be complemented by a trade exhibition, networking opportunities and social functions.

Networking opportunities in addition to all meal breaks will include a Newbies Orientation Session, Listserv Users Drinks and Branch hosted Dinners, while the social functions include a sports themed Welcome Reception sponsored by Objective and hosted at the MCG and a 1920s themed Gala Awards Dinner sponsored by EzeScan and held at the Plaza Ballroom.

ABOUT MELBOURNE

Victoria's capital, Melbourne, sits on the Yarra River and around the shores of Port Phillip Bay. Lauded for its sense of style and elegance, Melbourne boasts glamorous festivals and events, Australia's best shopping, a lively passion for eating and drinking, and a flourishing interest in the arts. Restored and preserved nineteenth-century architecture, built following the discovery of gold, provides a heady reminder of a prosperous age, while beautifully tended parks and gardens present a therapeutic respite from the pace of city life.

Being hosted in Melbourne, what more fitting and iconic location is there for inForum than the famous Melbourne Cricket Ground (MCG)? The MCG is also home to the National Sports Museum which houses Australia's most comprehensive sporting collection, showcasing more than 3500 objects related to the greatest moments in Australian sporting history and includes many interactive displays.

SPONSORSHIP AND EXHIBITION

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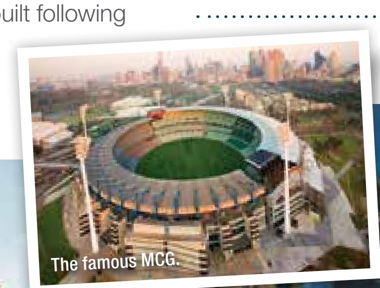
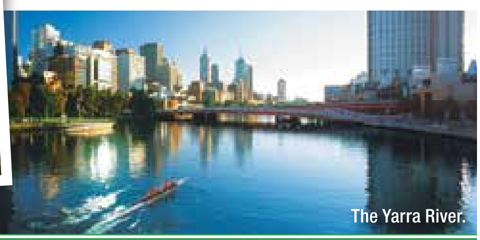


The famous MCG.

Flinders Street Station.



The Yarra River.

CONTACT

For a sponsorship kit, pictures of the venue, or for any queries, please email **wendy.morris@rimpa.com.au**

PHOTOS: COURTESY OF MELBOURNE CONVENTION & VISITORS BUREAU

RIMPA AWARDS: IS IT YOUR TURN IN 2015?

Records and Information Management Professionals Australasia (RIMPA) presents a range of awards each year at our annual inForum convention. Some awards are by nomination, others are on merit.

J EDDIS LINTON AWARDS

The J Eddis Linton award for Implementation, sponsored by FYB, recognises leadership through the practical application of innovation, collaboration, implementation, business benefit and excelling students.

The J Eddis Linton Awards seek to engage our leaders with the world, through global recognition and knowledge that is underpinned by the program's established framework.

The Awards culminate in the recognition and celebration of organisations and individuals that implement world-class initiatives and industry leading services on a prominent and far-reaching scale.

Nominations for the one project can be submitted for all categories that apply. Nominations can be self-nominated or nominated by another party. All nominees must be financial members of RIMPA.

Nominations open 1 July and close 30 June with the winners to be announced at inForum.

Award timing

Awards are open for nomination from 1 July and close 30 June each year. Awards will be presented at inForum.

Award categories

Innovation

The J Eddis Linton Award for Innovation recognises leadership through the practical application of innovative solutions for new and existing market needs resulting in a commercial, environmental and/or social benefit.

Collaboration

The J Eddis Linton Award for Collaboration recognises an exemplary skills development collaboration between a department, employer or industry body and, at least, one other stakeholder (including vendors and consultant).

Implementation

The J Eddis Linton Award for Implementation recognises organisations that have achieved outstanding results through excellence in implementation of a project.

Business benefit

The J Eddis Linton Award for Business Benefit recognises organisations that have achieved outstanding success for business improvement.

Student

The J Eddis Linton Award for Student recognises students who have achieved excellence in educational studies in RIM.

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Business Benefit

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Student

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RECALL ARTICLE OF THE YEAR AWARD

All articles published in the last four issues of *iQ* – November 2014 to the August 2015 issue – written by RIM Professionals Australasia members or employees of organisations which are corporate members of the RIM Professionals Australasia, automatically go into the running for this award. The judges are looking for articles which are original, engagingly written, display a thorough grasp of the subject matter, and which contribute to industry information and debate.

JIM SHEPHERD AWARD

The RIM Professionals Australasia Jim Shepherd Award is awarded to vendors in recognition of both their support of Records and Information Management Professionals Australasia (RIM Professionals Australasia) and of services to the records and information management industry. It is awarded in two categories being: National or Multi-National Company and Regional Company. ❖

FOR MORE INFO

More information on the Records and Information Management Professionals Australasia Awards is available at: **www.rimpa.com.au/grants-and-awards/** or by contacting Kristen Keley: **kristen.keley@rimpa.com.au**

THE GENERATION GAP

Today's workplace is a multi-generational one, spanning across 50 years.
Yet each generation has its own set of expectations, needs, values and working styles...

	BABY BOOMERS	GENERATION X	GENERATION Y
Born	1946-1964	1965-1981	1982-1995
Characteristics	Hard working, loyal, confident, competitive.	Antiauthority, self-reliant, family focused.	Digital thinkers, feel entitled, needy.
Why they are the way they are	Grew up in a time of affluence. Reared to pursue the Australian Dream.	Children of workaholics and divorce, television. Reared to be self-sufficient.	Micro-managed by parents, technology, always rewarded for participation. Reared to be high achievers.
Communication styles	Prefer detailed dialogue in-person or via phone. Appreciate meetings. Believe no news is good news.	Prefer clear, concise communication – not over explaining, clichés, or corporate jargon. Prefer e-mail.	Prefer frequent feedback and problem solving via technology instead of phone calls or meetings.
Problems faced now	Dwindling retirement funds, lack of job opportunities, less technology skills; and rising health issues.	Debt, caring for young children and aging parents, balancing life and work, stuck in roles.	Debt, unemployment, difficulty transitioning from Uni to career, negative stereotypes, being taken seriously.
Why they join	Opportunities to lead and leave a legacy.	Opportunities to further their careers.	Opportunities to learn from others.
Volunteer styles	Want to lead. Like to manage others. Like to hold meetings and discuss strategies.	Want autonomy. Hate being micro-managed or anything that wastes their time.	Want structure. Expect immediate feedback and increasing responsibility.
Flaws	Have a "been there done that" attitude, not always open to new ideas.	Have difficulty committing, tend to have a "wait-and-see" approach.	Have short attention spans and high demands and ask "what's in it for me?"
Turn-offs	People suggesting they try something new.	Chaos, distrust, loyalty that goes unrewarded.	Dismissing their ideas because of lack of experience. ❖

Table taken from *The End of Membership As We Know It* by Sarah L Saldek, P65.

WHAT DOES INFORMATION GOVERNANCE REALLY MEAN FOR SHAREPOINT?

The ultimate goal is to have minimal impact on the SharePoint user experience while ensuring proper compliance with the right governance policies. A solid information governance platform that includes support for SharePoint lets you achieve this objective in a transparent, cost-efficient and pervasive manner.

By **Pierre Van Beneden**

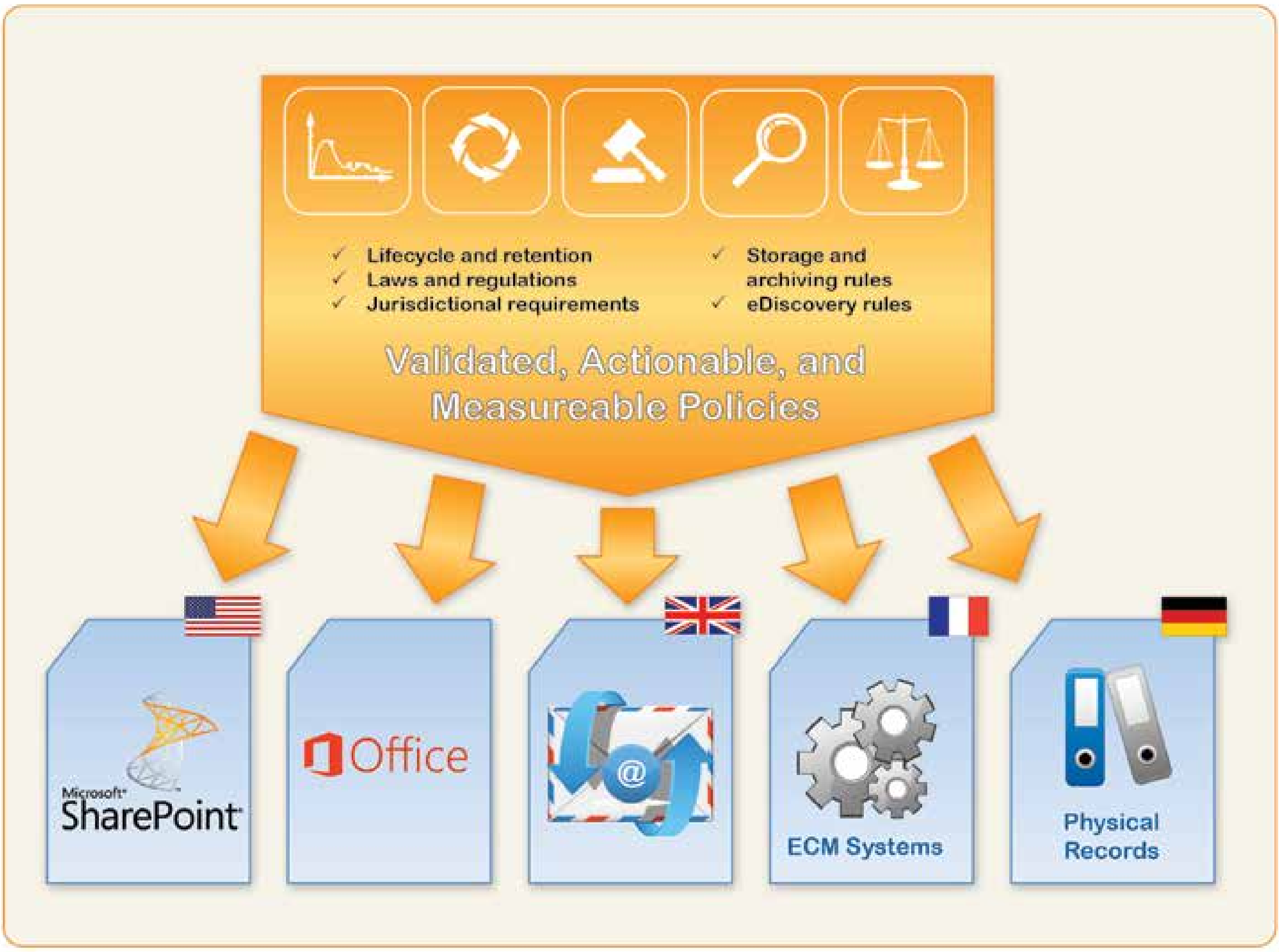
Collaboration is essential to modern day businesses. Collaboration tools like SharePoint have been proven to improve efficiency among individuals and teams, accelerating business processes and decision-making across the enterprise. SharePoint has been widely adopted – it is considered one of the most rapidly growing enterprise technologies today by allowing companies to create sites to share information, manage documents, and publish reports. A critical side-effect, however, is the generation of vast quantities of content, records, and information. While companies and employees certainly benefit from the ease of content creation and sharing, the amount of information generated creates a tricky situation for companies: they must comply with the vast amount of regulations and apply their approved corporate retention schedule to all information assets, and content within SharePoint is no exception.

Information governance enforces desirable behavior in the creation, use, archiving, and deletion of all corporate information. SharePoint delivers basic records management functionality, however industry analysts agree that the current offering does not address all enterprise records management and information governance requirements including: the ability to provide support for multiple jurisdictions, integrating the required laws and regulations into organisational policies, easy file plan creation/management, as well as out-of-the-box time or event-driven disposition processing for records.

Because SharePoint does not meet the needs of all organisations, especially global enterprises or those in highly regulated industries, the need for an approach that integrates SharePoint with more robust information governance systems is evident. SharePoint must be supplemented by functionality that enables the automatic enforcement of information governance policies across jurisdictions, cloud-based and on-premise IT systems, and information repositories including paper record storage systems, and it must do so in a manner which is non-intrusive to the end-users of SharePoint.

The information governance approach selected for SharePoint environments must enable customers to govern all information created in SharePoint (on-premise and cloud) from a central location, without having to migrate SharePoint content to expensive, proprietary Enterprise Content Management (ECM) repositories or other long-term archiving systems. The last thing an organisation should have to do is move the content that has been created in SharePoint to another system simply to enable records management and governance capabilities. Furthermore, organisations require a mechanism to apply appropriate policies to information and enforce policy-defined levels of accessibility, protection, and retention to content created and residing within SharePoint. A comprehensive information governance solution should enable organisations that use SharePoint to proactively manage the entire information lifecycle across all SharePoint sites.

⇛



Robust policy engine must drive information governance rules to all information sources including SharePoint.

IT ALL STARTS WITH POLICY...

Every information governance program requires sound, validated, actionable policies, which must incorporate the requirements of all corporate functions – business, legal, risk management, compliance, IT, privacy and executive management. If applicable, policies need to be designed to support multiple jurisdictions and need to be systematically enforced across all content repositories, in the cloud or on-premise.

A few years back, basic time-based retention and disposition were all that organisations needed to track, but that is no longer the case. Today, information management specialists recognise that an information asset has multiple distinct milestones in its lifetime.

Moreover the lifecycle of content usually exceeds the one of the repository (or user) that created it making the management of information over time and over applications difficult if not impossible. Advanced policies should also integrate and manage more complex lifecycle actions such as being able to automate the move to a less expensive storage tier or to 'anonymise' and declassify a record over time. Furthermore, policies need to link to corporate standard operating procedures, laws, regulations and more.

AUTOMATED AND TRANSPARENT GOVERNANCE

The ultimate goal is to have minimal impact on the SharePoint user experience while ensuring proper compliance with the right governance policies. An information governance platform should combine corporate policies with systematic enforcement and content orchestration across SharePoint farms, content repositories, and physical archives. A solid information governance platform that includes support for SharePoint lets you achieve this objective in a transparent, cost-efficient and pervasive manner. ❖

ABOUT THE AUTHOR

Pierre Van Beneden, Chief Executive Officer at RSD, brings over 25 years' experience driving growth at software companies through leadership and a results-focused approach. Prior to joining RSD, Pierre was VP EMEA for Adobe Systems Inc. From 1995 to 2001, Pierre was with Lotus Development Corporation where he served in a variety of executive roles. Prior to that, he spent almost a decade at Oracle Corporation driving global growth strategies. He holds a PhD in business management from Paris University and a Master's degree in the same subject from Paris Dauphine.

Causing employees to behave badly

Good initiatives require consideration of employee behavioral patterns for successful implementation.

By **Craig Grimestad**

Implementing or running a successful information governance / records and information management program requires full cooperation from all employees. As companies advance their information governance or records management programs, they need to be cautious and diligent in their planning and implementation so they do not motivate good employees to behave badly by not complying with the policy or improvement initiatives.

While participation is never voluntary, full cooperation requires individuals to make choices and take actions that are consistent with the intent of the initiative. This is most easily accomplished when each individual actually supports the complete change (both the change and its timing), and clearly sees the path they need to take. Troubles arise when individuals see problems for themselves with the change, the social consequence of that change, the timing of the change, or some combination of these three. If no satisfactory resolution is found, they may then start making independent decisions and taking actions that are not supportive of the initiative or requirements. Perhaps surprisingly, this often occurs with the best and brightest within a company.

CARING TOO DEEPLY?

Employees who are strong contributors often carry a significant amount of information, convenience copies and official records. They are loyal and responsible individuals who care deeply for their company's well-being and are confident that they have a role to play in the continued success of the business. They have established themselves as a go-to person – an individual who can be counted on to solve problems and provide leadership through crisis situations – a role model for others to follow.

Then the day comes when someone who does not know them – nor their contribution to the company and their need to access records and information to continue to contribute at a high level – issues a directive requiring disposal of valuable information.

Feeling responsible for continuing their strong contribution when asked or required to dispose of records or information from email, shared drives, or repositories, they evaluate the

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

'request' and make a determination of what they think is best. Having been 'burned' before, with other company programs and initiatives, they resist disposing of records without a means as to preserving the intelligence.

Individuals in this situation have been known to be very creative in relocating the information or records. Moving information and records away from a known repository to one that is 'hidden' is a dangerous practice, and all the more so when the transfer of company information and records goes into a private domain. While this might be more common these days with electronic files, this is a media neutral problem. Employees have been known to have boxes of paper records in their garage because they felt a need to keep what there wasn't space for at the office, or what was supposed to be disposed of because they were convinced they might need them. So while the 'team' thinks they have improved company risk, in fact, it has become worse.

AVOIDING BAD BEHAVIOUR

I am not excusing bad behavior, but I know how it happens and that it can be prevented. Hopefully you do as well and are in a position to do something about it for your company. As we learned before, following Juran's Rules of the Road for Cultural Change (see *iQ* Feb 2014 'Rules of the Road for Cultural Change') removes the motivation for employee bad behavior and leads to successfully implemented initiatives.

At a minimum, Rule #1 Provide Participation to the Recipient Society, and Rule #3 Provide Enough Time for the Recipient Society, would have found the problem and led to a successful resolution. For the particular concern demonstrated here, this is a simple two-part guide to follow: **Before** reducing an employee's ability to retain information, be sure to **satisfy employee needs to retain or access information.** ❖

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