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Professionals Australasia

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In this issue

CONTENTS

View from the Chair

DAVID PRYDE, MRIM

Chairman of the Board,
RIM Professionals Australasia

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Professionals Australasia

The principles of strategic planning

Strategic business planning is a disciplined and pragmatic approach that any organisation or business can use to make conscious decisions *now* that will influence their future later.

Here are some of the benefits:

- Making more informed choices and decisions
- Setting future directions
- Allowing priorities to be identified
- Allowing limited resources to be used wisely
- Improving performance through accurate monitoring and reporting

A well-constructed strategic plan promotes a common understanding about an organisation's overall purpose and direction to internal and external stakeholders. Individuals can see how their tasks affect the team, and then how the team's contributions support the achievement of the corporate mission.

The organisation is then able to concentrate on its core activities while having the flexibility of heightened awareness to recognise and exploit opportunities. Management and staff who can hone these skills are more able to be creative and innovative in finding solutions in an ever-changing and competitive business environment.

Incorporating strategic planning into the management of information assets is the same.

Tools are becoming increasingly important as the private sector struggles to differentiate itself and succeed in a highly competitive global business world, while government attempts to provide a growing range of services with limited resources.

Toolkits provide resources or guides that focus our attention on building a true picture of corporate reality, before our decision-making is filtered by over-optimistic, biased world views. It doesn't matter how big the toolkit or how many tools are used provided that these five core principles of strategic planning are covered.

1. Preliminary self-assessment

Is this the right time for a new project, a new technology implementation? Are there unfinished projects still to be completed, do you have the resources, the personnel? Does the organisation have the appetite or the stamina for change? Give the vision every chance to succeed by creating the right environment for change.

2. Dream-building

This is where the vision is built by identifying what the 'perfect world' will look like:

- Draw on the beliefs, mission, business drivers and environment of the organisation.
- Describe what you want to see in that perfect world.
- Be specific, positive and inspiring.
- Do not assume that everything will be the same as it is now.
- Be open to dramatic modification to the organisation, thinking, methodology, teaching techniques and facilities.

3. Taking stock

Once you identify where you want to be (in terms of finance, resources, staff, service levels and business processes) the next step is to identify where you are now. This is the process of taking stock and involves thorough analysis of both the internal and external environment. It is vital that managers of this process are brutally honest in collecting data and not shy of negative feedback so that a true understanding of the position of the organisation can be determined.

Continued on page 52

From the CEO

KATE WALKER
FRIM MAICD AMIM, MBA, BSC (BAdm), AdvDipBus (Rkg), DipBus (Adm)

Chief Executive Officer,
RIM Professionals Australasia

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Professionals Australasia

When strategic management meets information management

The more things stay the same in the world of records and information management, the more they surely change.

It is critical to combine strategic management with management of information. Let's start by looking at the chaos that ensues when the two are not combined:

- Organisational **knowledge** is not leveraged to maximum competitive effect.
- Storage media and IT infrastructures are swamped with **uncontrolled** content.
- Innovation is **stifled by poor collaboration** and restricted knowledge sharing.
- Employee productivity is crushed by **information fatigue**.
- Business process **efficiency fails** to keep up with competitors.
- Processes are **inflexible**, hampering business re-organisation and outsourcing.
- Team-work culture **dies** due to increasingly dispersed employees.
- **Data leaks**, litigation and compliance infringements damage the business.

The goal is to combine strategic management with the world of records and information management and to build management awareness around the production factor information.

Management is made up of: performance – bottom-line oriented (the aggressive approach) or cost driven (the defensive approach); value; conformance – assurance driven (the aggressive approach) or compliance driven (the defensive approach); and cost.

An information strategy defines how the company will use the information to achieve not only compliance, but also a competitive advantage. It is a comprehensive, constantly evolving plan that encompasses:

- strategising (defining organisational and functional strategies)
- aligning (who and where do we want to be)
- governing (prioritising information governance initiatives)
- executing (focusing on operational applications and initiatives)
- optimising (leveraging business analytics).

When these actions work together, you will find that they will improve processes, increase productivity, and enhance decision-making.

Two critical practices must align to achieve success. They are *performance management* – the practice of articulating, communicating and measuring the achievement of an organisation's strategic objective – and *information governance* – the practice of overseeing the people, systems and processes that produce the information that is the lifeblood of your organisation. In every business, strategy defines the elements which are critical to execution and those elements help you make decisions that facilitate achievement.

For most organisations, taking an incremental approach is a practical way to prove business value and build a sustainable program. The program should be repeatable to allow small, tactical steps for immediate results to be made, whilst still being able to undertake systematic, long-term strategic approaches.

One approach is to:

- **prioritise** areas for business improvement
- **maximise** availability of information assets
- **create** roles, responsibilities and rules
- **improve and ensure** information asset integrity
- **establish** an accountability infrastructure
- **convert** to a master information-based culture
- **develop** a feedback mechanism for process improvement.

The one overarching critical component is 'Change – How will you handle it'? Do you take the band-aid approach or will you implement a wellness program. Think about how many 'projects', change programs, reorganisations, transformation initiatives, systems modernisation etc that you have on the go at the moment. Think about the degree to which these changes share artifacts, language or strategic intent. How well coordinated is the decision-making and governance of these changes. The list goes on… but then think about the poor mid-level employee – how do you think they are getting on trying to juggle all these conflicting priorities. Remember, it is important to focus on alignment and coordination of change.

Whilst this information is a little 'all over the place' – it will give you bits and pieces to think about and hopefully will give you a nudge, to head down the strategic management path.

Kate Walker

WORLDWIDE NEWS

DIRECTOR OF STATE RECORDS NSW RETIRES

Alan Ventress, Director of State Records NSW, retired from the organisation in September. Alan was with State Records for more than 11 years, initially in the position of Associate Director and then Director since 2008.

Under Alan's directorship the organisation obtaining funding for the Digital State Archives, provided more online archival content for users, delivered more online customer services and increased the use of social media for communication and engagement.

Alan Ventress, holding a gift upon retiring from his role

Alan's retirement was mentioned in Parliament on the 20 September. The Hon. Greg Pearce paid tribute to Alan and thanked him for his contribution to this field.

"Mr Ventress was involved in the preservation and provision of access to the State's cultural resources first as Mitchell Wing librarian with the State Library of New South Wales from 1993 to 2001 and subsequently as Deputy Director of State Records and Director since 2008," said Mr Pearce.

"On behalf of the NSW Government I express appreciation for the contribution Mr Ventress made to State Records and to our society as a volunteer for many organisations, most notably as a member of the executive of the Royal Australian Historical Society and the History Council of New South Wales, of which he is a founding member."

A new permanent director has yet to be found, however Jenni Stapleton is acting in the role. Jenni's previous role was Manager, Government Records Repository State Records' commercial business unit. She joined the State Archives in 1978.

GEORGIA STATE GOVERNMENT BERATED FOR ARCHIVES CLOSURE

Governor of the US state of Georgia, Nathan Deal, has been very much on the mind of the nation's information management and historian professions since his demand for public sector budget cuts forced closure of the state's archives from the beginning of the month (November 2012).

The Georgia Secretary of State, Brian Kemp, whose office oversees the archives, spoke of his "great consternation" but said that after the shutdown, the public would be allowed access only by appointment and these could be limited depending on the availability of reduced staff levels.

Georgia became the only state without a fully accessible state archives. Seven of the archives' 10 staff have been 'let go'.

Within a week of the announcement, 60 US archive and historical societies, led by the National Coalition for History, expressed "serious concerns regarding the continued uncertainty about the fate of the Georgia Archives".

In a terse letter to Governor Deal, the Coalition commented: "As historians and conservators of American history and culture, we care deeply about the services, programs, and activities provided by the Georgia Archives. It is ironic that at the same time that we are commemorating the signing of (the US Constitution) our nation's most sacred document, the state of Georgia might effectively deny its citizens access to their public records."

FILEBOUND PARTNERS WITH TMIG

FileBound Australia Pty Ltd has signed a partnering agreement with The Information Management Group Pty Ltd (TIMG).

It will see TIMG deliver a cloud-based document management and workflow solution for use by its clients. This partnership will allow TIMG's clients to access all of the benefits of advanced document management and workflow without the capital expense of an onsite installation.

EX-PRO KEEPER TYACKE PRAISED OVER HILLSBOROUGH DISCLOSURES

Britain's former Keeper of the Public Record, Sarah Tyacke, has been picked out for special praise for her part in the production of almost half a million vital documents for the latest inquiry into the death of 96 fans crushed in the crowd during a major match at the Hillsborough football ground in Sheffield, North East England, in 1989, a tragedy that became known as 'the Hillsborough Disaster'.

The inquiry was opened in 2009 by the government-backed Hillsborough Independent Panel, of which Ms Tyacke was a member. Last September the panel reported 'multiple failures' of emergency services and alleged deliberate misinformation by local police. British Prime Minister David Cameron issued a public apology. Demands rose for re-opening of the old inquest which blamed the fans.

Sarah Tyacke

Writing in Britain's *Guardian* newspaper, the chairman of the UK and Ireland Archives and Records Association, Martin Taylor, said that the work of archivists and records managers was amongst the most significant contribution to the panel's investigation, adding: "Sarah Tyacke, the staff of the Sheffield Archives and many other records professionals have been instrumental in making (the) documents available for the first time. They are to be congratulated for their hard work and commitment, enabling the records of the Hillsborough disaster to speak for themselves."

UK ARCHIVE ON UFOS RELEASED

BRITAIN has released an archive detailing government briefings on unidentified flying objects (UFOs).

Former prime minister Tony Blair received a briefing about UFOs from the Ministry of Defence because of his concerns over the disclosure of classified information on alien life-forms.

Downing Street requested the advice for the PM in 1998 as the Freedom of Information Act was being introduced, which allowed the public to obtain information on alien mysteries.

Mr Blair's concerns were raised after he received a letter from a member of the public referring to a 'cover-up' and asking him to make UFO reports and other information available.

According to *The Daily Telegraph*, Mr Blair sought advice from the MOD for their policy on the issue. He was told by staff at the ministry that it has "only a limited interest in UFO matters"

INDUSTRY NEWS CONTRIBUTORS: **MIKE STEEMSON** AND **HEATHER MILLAR**

• If you have any news stories for *iQ*, please contact editor.iq@rimpa.com.au but that they "remained open-minded' about 'extra-terrestrial life forms'".

The stranger investigations included one into a UFO sighting by a police officer at Chelsea football club and another into a visit by three 'men in black' to a person who reported a UFO encounter in Lincolnshire, east England.

According to the files, a hotel owner in Wales once complained to her MP after a UFO landed in a field "from which two tall silver-suited 'faceless humanoids' emerged and began 'making measurements'".

Also included in the files are details of a 1995 briefing by one of the defence ministry's UFO intelligence officers which speculated on why aliens would visit earth.

Despite having no hard evidence for alien craft, the officer explained that any visit would most likely be motivated by military reconnaissance, scientific development or tourism.

In a briefing prepared in 1979, a UFO intelligence officer noted that no radio tracking systems had ever picked up alien transmissions.

The release of the documents came after a request by David Clarke, author of the book The UFO files.

IRON MOUNTAIN LAUNCHES UNIFIED SOLUTION FOR MANAGING PAPER AND DIGITAL FILES LEVERAGING SHAREPOINT

The new Iron Mountain® Records and Information Management 360° Solution™ enables organisations to centralise the management of physical and electronic records, making it easier to apply one set of policies that govern access rights, retention periods and destruction protocols, regardless of where information is stored.

As a result, organisations can find records faster, lower risks of noncompliance and cut storage costs. One early customer is Microsoft, which adopted the solution to manage its physical and electronic records inventory.

"The unified view offered by this solution provides the ability to seamlessly organize, access and apply policies across all of our content," said Nishan DeSilva, senior director, Information Management and Compliance, Microsoft. "By integrating both physical and electronic content through Iron Mountain, we can improve productivity to our business users and gain tighter control over our information for compliance, electronic discovery and disposition purposes."

At the heart of the solution is Accutrac 360° for SharePoint, Iron Mountain's software for managing multiple paper and electronic record inventories, whether they're stored with the customer or with storage vendors. Now, through a partnership with Gimmal®, Accutrac is integrated with Microsoft SharePoint so customers can use Iron Mountain's records management platform to classify SharePoint records and apply legal holds and retention periods. Gimmal, a maker of information lifecycle solutions for Microsoft SharePoint, signed a partnership agreement with Iron Mountain in July 2011.

• For more information, visit www.ironmountain.com/RIM360.

QUEENSLAND GOVERNMENT'S DIGITAL CONTINUITY STRATEGY FINALISED

Last year, Queensland State Archives sought feedback on a digital continuity strategy for the Queensland Government. The strategy has now been finalised and is published on Queensland State Archives' website.

The *Queensland Government Digital Continuity* Strategy sets out strategic activities and principles to guide a consistent approach to ensuring the continued accessibility of digital records throughout their lifestyle, in the context of ongoing technology obsolescence.

Queensland State Archives will now develop a program of work to implement the strategy. A copy of the strategy can be accessed from http://www.archives.qld.gov.au/Recordkeeping DigitalContinuity/Pages/Default.aspx. iQ

At the helm of Recall

Elton Potts, Group President and Chief Operating Officer of Recall, and Dan McFarland, President Recall ANZ, were in Adelaide recently. Paul Fechner, RIM Professionals Australasia's SA Director, met with them to discuss the state of the industry, and learn about some of Recall's leading edge technology for document management

Welcome gentleman. Can you tell us a little of your background?

Dan: I've worked at Recall for 10 years now and in my current role for 15 months. Going back one step in my career path – I worked for Delta Air Lines in corporate development. During that time, I worked through the catastrophic incident that was 9/11, from the perspective of an airline employee, as well as the downfall of Enron and the dissolution of Arthur Anderson. These events resulted in critical reviews of the financial industry, with outcomes such as Sarbanes-Oxley [the Sarbanes-Oxley Act 2002 is a United States federal law that set new or enhanced standards for all US public company boards, management and public accounting firms]. I envisioned that things were going to become much more rigid. I could see compliance was going to be a bigger business driver. I was also looking for job growth opportunities and applied for a position at Recall.

Elton: My background has been in financial and operating roles in Brambles (Recall's parent) for 10 years, including six years with Recall. Brambles wanted to grow the global Recall business and approached me to do that. The exciting thing is we can operate like a small, entrepreneurial company, but with the backing of a large company.

What do you enjoy about being at the helm of Recall?

Elton: There are many things. We are both local and global. Some customers operate in one market, such as here in Adelaide. Other customers work in multiple markets in a number of countries and need consistency across all geographies. I get to work with customers all around the globe, looking at all the exciting things that are happening in the industry and help them meet their needs.

Dan: One of the things I enjoy is the level of passion in this industry, which is phenomenal – it's obvious at trade shows and other industry events. We have blue-chip customers and staff; we share expertise with customers and leverage our expertise in best practice with our customers. I love helping our customers to solve their problems.

Where do you see the industry in 10 to 20 years' time?

Elton: I'll get out my crystal ball (laughs)… You have to look at history to look ahead. In 1975, they predicted the paperless office – and we are making progress. I don't know that it will ever be 100% paperless, but information is increasingly becoming more critical to businesses, and there are two issues there. The first is compliance. More and more regulation is being put in place; there are privacy issues and more government oversight issues – so compliance is critical and will continue to become more so. Secondly, businesses are driving for increased efficiency. Executives are asking, "how can we support our business so that we are compliant, in a way that meets our regulatory requirements in the industry, but in a way that is more and more cost effective." Recall provides those solutions.

People talk about paper versus electronic. I'm agnostic; we can support whichever medium customers need to manage their records. Every organisation has different needs for managing information in a way that delivers value to customers and enables them to make the right decision at the right time. We help them accomplish this goal in a way that protects their customers' privacy and information. As I look at it, it's a growth industry.

Dan: I will echo some of what Elton said. In the 10 years I have been with Recall, I have not seen a relaxed position from any government entity regarding compliance. My position is that it will only continue to become more stringent and there will be more oversight, especially as the volume of data grows both physically and digitally.

Currently, information management is seen as a cost to the business. I think there is going to be a lot more value and an elevated status for information managers as businesses start to use data analytics to help drive top-line revenue and profit.

How do you support the industry?

Elton: Firstly, we work with trade associations to develop standards of excellence and grow the entire industry.

Dan: The other thing we do is support the trade organisations by presenting information to their members from an education standpoint.

Elton: One of the key things we try to do is drive technology innovation in the industry. RFID, for example, is a great technology that helps our customers from a compliancy standpoint.

What exactly is RFID?

Elton: RFID – or Radio Frequency Identification – is the electronic 'tagging' using specially designed RFID equipment.

Dan: RFID delivers increased security and management efficiency to the storage and auditing of customer records. By marking document archival cartons with passive RFID tags, and by using specially designed RFID equipment deployed throughout our facilities, Recall provides enhanced inventory and audit reporting for its customers. The technology enables us to complete the process in a fraction of the time and cost taken by traditional, physical audits.

Dan McFarland (left) with Elton Potts

And what's the benefit of this technology?

Dan: Previously, an audit involved physically moving cartons on the racks so that the barcodes could be scanned manually. With some customers having tens of thousands of cartons, this was a massive undertaking in terms of time and labour. The new RFID tags allow Recall to automatically scan 'through' the three-deep carton stacks without having to touch a single carton.

Elton: Recall's RFID tagging helps organisations maintain compliance with strict regulations, State and Federal Privacy Acts and global reporting regimes such as Sarbanes-Oxley.

What type of customers and industries would benefit most from this technology?

Elton: Any and every customer will benefit from this technology. In fact, more than 25 million of our cartons are already tagged. If Recall stored hundreds or thousands of your cartons, it is now a simple and quick job to locate the exact carton you wish and deliver it. Many of our healthcare customers are looking at RFID tagging for their entire medical records systems.

What are the benefits of RFID tagging and audits?

Dan: Well, of course the immediate benefit is the speed and cost saving of carton indexing and locating. However, very soon we will be commencing the RFID tagging of individual files – just imagine being able to locate a specific file within any number of cartons!

And, of course this leads onto offsite scanning. Soon we will be able to offer our customers the service of locating misplaced cartons or files (provided they have been RFID tagged) on their own site.

Elton: Also, and this is exciting, we are now RFID tagging DPS tapes. The great benefit of this is that we will be able locate and identify any given tape, no matter where it is ie, on or off site, in a fraction of the time. This time-saving technology is a real boon for the financial industry.

That is certainly a high tech solution that will save us all a lot of angst. Thank you both for your time. iQ

The evolution of a records and information manager

How one woman's personal journey – from Project Manager, Records Management with responsibility for Australia and New Zealand to Manager, IT Security & Risk Management for Asia Pacific – may help you find fulfillment through a lack of career direction!

BY **ANGE COBLE**

Over the past year or so I have written various articles for RIM Professionals Australasia and presented numerous times at records and data events on the importance of embracing our roles in RIM and making it our own by taking specialised knowledge and making it an operational advantage to your colleagues. Ok, so not a hard sell – if you are passionate about your topic, it resonates through to your audience to help meet your program objectives. In my experience, and to generalise a little, to get the quickest return, most great incremental strategies start with 'what's in it for them'… but don't let the target audience fool you: by positioning your program to be 'all about others', you reap the rewards that makes it 'all about you'.

Today I write this short piece to hopefully provide some of you with an understanding of how passion in your role and embracing your personal brand can help you to achieve career satisfaction and lead you in almost any direction given the foundations in RIM.

So here's a little trip down memory lane on my 'career' (I say that with tongue-in-check as that is not what I was looking for)

where the trail at times is very windy and dynamically unyielding (sleep, rest…what is that?!)…

In 2009 I joined J&J and moved to Sydney as a Project Manager, Records Management. I was fresh from a country town where I had worked in strategic planning and organisational change for the NSW State Government (in an electricity distributer's amalgamation).

So how did I go from a strategic role managing 'secret' government amalgamation planning (yes…I really was locked away and unable to discuss much of my day-to-day work with anyone) to managing records in the world's largest medical devices company? In short, I had skills that were both practical and theoretical, and not necessarily always found in traditional RIM.

My days in banking were extremely important as this was my first taste into records management and also the first step in my formal training. I knew I enjoyed optimisation from the moment I took our manual paper-based processes and turned them into electronic, paperless systems – I like to use the description, money in the safe not records….although in some cases it really is the records in the safe and the money elsewhere ☺

It was under the guidance – or more prudently, the lack thereof – by my friend and mentor (now CEO of the financial institution) that I strayed off the trail I had planned for myself and took a delightful journey that had me working in advertising, sales, customer relationship planning, direct marketing, business analytics, IT infrastructure, compliance, regulation, ERMS (my very first), call centres, internet banking, human resources and, of course, law.

What an adventure and not a day went past that I was not prepared to engage in something new and push the envelope, work out side of the square, shake the tree… and any more analogies you can think of for not accepting the status quo **grin**

My resume reads as a jack-of-all-trades (happy to debate the master of none with anyone) but I am actually a very loyal employee – I never leave for dissatisfaction and, in most cases, all my next adventures are inside the same company. My previous CEOs or directors were the great provokers in my working life and some remain close friends to this day (a story for another day which will make you laugh, one provoked me so much I had to marry him… my husband looks forward to the day he gets to tell our grandchildren he put an ad in the local paper and their grandmother applied… that's how he found me… we are still working out which one of us that story would reflect poorly on!)

A ROADMAP FOR CHANGE

I left my finance sector days to join NSW largest electricity distributor as their Business Planning Manager and the pattern of certain disarray in my 'day job' continued. Not bound by my title, I gained my OHS green card and went on jobs with our field teams to 'sling conductor' (and afraid of heights, the team would happily put me in the EWP [elevated work platform] and send me as high as they could – always safely harnessed of course and clinging for dear life!) just so I could better understand what a change in an office would make to the teams in the field.

I became extremely passionate (you see a pattern of my personality forming) about safety and efficiencies in optimisation of our resources which led to plenty of hours of research combined with my external business university studies to complement my 'latest career' direction. This is where I fell into organisational change and strategic alignment of resources for better utilisation which meant many hours of working isolated to produce a roadmap for change and amalgamation.

Circumstances led to me moving to Sydney – which brings me to J&J, a fantastic, forward-thinking multi-national organisation that really does support and promote its employees.

Starting at J&J was an incredibly confronting experience personally. I thought I was going to be the first person to pass out in a product PowerPoint presentation – and that was in reaction to a diagram, not even a picture! Needless to say, I realised quickly that I would not be a product specialist and I would do everything I could to support these fantastic teams

to do what they do best everyday, by doing what I do best… (left this sentence hanging on purpose)!

Whether it was my broad background or just my passion for 'walking in my colleagues shoes', I quickly engaged with the J&J teams in as many projects as I could – first as a participant in my knowledge space then as a leader based on my skillset. I reached well past my job title and function to engage with colleagues in and out of J&J, in and out of RIM, across ASPAC and then globally to ensure what I delivered to my teams locally was benchmarked to any other RIM program. I took the marketing and sales teams head on and created a branded program and delivered to them big wins with little effort (on their part).

Our RIM program in Australia and New Zealand (A/NZ) won multiple awards in J&J and became the benchmark to other programs for the delivery and implementation model. All the while I was little concerned about myself always putting the teams first, yet consistently and quickly I absorbed new challenges – another ERMS implementation, IT Infrastructure deployments, Business Continuity Planning, Information Security, Physical Security, new global service desk implementation management, communication and change planning, team building events, cloud and mobility deployments – taking on new challenges, while still maintaining our RIM program in A/NZ and chairing the region's RIM team.

Without my varied experiences and foundation knowledge of RIM, I would not have been rewarded with my new role in Security & Risk – having the ability to understand RIM and work interoperable in businesses has lead to a very satisfying and diverse career journey with an array of work/life experiences.

My message to you all and the purpose of this short editorial is – don't underestimate the power of *you*. For me, passion and energy I suspect is my brand by default – it's who I am – on which every other layer can drift.

In your career journey, challenge yourself, push outside your traditional RM job role or function and look for ways that your RIM knowledge and skills can aid your company's commercial momentum. In doing so, you will reap the benefits through benefiting others.

Finally, something I say to most people who ask what I wanted to be when I grew up – *I am still growing*! iQ

About the author

ANGE COBLE has extensive experience in local and international, and private and public industry. In her current role as Manager, IT Security & Risk Management Asia Pacific for Johnson & Johnson, Angela is responsible for ongoing strategic engagement of J&J to further improving their security posture and risk culture within Asia Pacific.

• She can be contacted on acoble@its.jnj.com.

How Sutherland Shire solved its complex delegation management challenges

A routine internal audit identified the need for more automation, increased efficiencies and better management of assigned delegations. Here's how the Sutherland Shire Council made it happen.

BY **TREVOR ROWLING** AND **ALEX PALMER**

In today's litigious society it is crucial that the delegations handed to Council staff are accurately recorded and managed. This can be extremely challenging for organisations like the Sutherland Shire Council with over 400 staff who require different levels and types of delegations.

Managing and reporting on hundreds of delegations against just as many staff is by no means a trivial task to start and is made all the more difficult by people changing roles within their department, staff departing and new staff commencing. This problem was brought sharply into focus recently when a large council in the New South Wales region had to remove its entire senior management team as a result of a failure to properly manage delegated authority.

No proper system was in place to monitor and track who had permission to sign off and approve particular building budgets. This resulted in staff, in most cases inadvertently, carrying out activities and making approvals without the correct authorisation.

A routine internal audit at Sutherland Shire Council highlighted the need to strengthen its own processes in this area. Council needed a more automated and efficient process to easily manage and view its users, and all of their assigned delegations.

Story snapshot

- Software built around roles rather than individuals takes into account regular staff changes.
- A logical and intuitive design caters for technical and non-technical users.
- Quick access to historic delegation information makes it simple to report on.

Trevor Rowling, Manager of Administration and Governance at Sutherland Shire Council, contacted Seamless (SSC's content management system provider) to discuss the concept.

He explains his role as project manager: "I originally approached Seamless and asked them to develop a delegations management system for Sutherland Shire Council. The process we were using was very manual and as a result very time consuming. The new system needed to manage the whole end-to-end process, and make it easy to set up and track the many delegations we have to deal with. Over 400 staff at the council had delegation responsibilities, many of which continually need to be altered and updated.

"As project manager I was involved right from the very outset, and worked with Seamless throughout development and delivery of the final system. As well as providing a simple way to view and manage delegations via Browser (we didn't want to install yet another application on their computers), the system needed to be easy to set up and maintain."

HOW SUTHERLAND SHIRE DESIGNED ITS DELEGATIONS MANAGEMENT SYSTEM

To drive the design of the solution, Sutherland Shire mapped its delegations process and identified the most time elements of the process. Five key areas were identified as keys to success.

1 User management

SSC needed to get a large amount of users from across different corporate applications (HR & Payroll, Active directories) into its new delegations system.

To simplify this process, we built the delegations software to read staff details directly from our Payroll system, and let us set up users directly within the delegations software or bulk import users from a range of file formats including SQL, CSV and XML.

We designed the software to support a large range of fields during the import process (such as photos, location, multiple roles) to ensure there was no extra re-keying of information.

Using bulk imports, hundreds of users can be imported in a matter of minutes.

2 Roles management

Because of regular staff changes, we made a conscious decision to build the software around roles rather than individuals. This ensured that delegations assigned to roles were automatically propagated to the right individuals without requiring any additional effort, particularly when staff changes occurred.

Just like users, we were able to either create roles directly in the software or import them into the system via standard file formats such as CSV and XML (and group them into hierarchical folders for ease of maintenance to better manage staff changes).

3 Delegations management

Most importantly for our non technical users – delegations had to be easy to set up, categorise and assign. Because of the large number of delegations we had to manage (some of which are quite complex and consist of multiple components) we developed a tree-view approach.

We found this was the most logical and intuitive way to manage our delegations – and combined with an intuitive desktop style interface – allowed users to import or right-click and create new delegations and sub-delegations within minutes.

Once delegations are created, they can be assigned to roles and users, and the system handles all subsequent version management so we can see how the delegation changes and evolves over time.

4 Reporting

Since one of the drivers of the project was improved compliance, a key feature of the system was the ability to see the full history of each delegation.

The history report needed to give us a complete and accurate picture of how any given delegation has been used and managed with Sutherland Shire Council at any point in time.

The delegations software automatically tracks any changes to the details of the delegation (such as its name or any of its properties), and records assignments of the delegation to and from users and roles.

Because this was such a regularly used feature, we extended the reporting capability to let users design custom reports based on any parameters (such as role, dates, delegations and more).

These reports could also include generic text, logos and information layout, and be sent to print for signing, and/or exported into PDF format to save as a permanent record.

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THE SYSTEM NEEDED TO BE EASY TO SET UP AND MAINTAIN

5 Presentation

Once we set up our users, roles and delegations, we needed an intuitive and simple way for all staff to find this information.

As our intranet staff directory was already the primary point of reference for people/role based information, we linked the delegations system to automatically display what delegations a staff member holds, and allow intranet users to easily view, export to PDF or print off required delegations.

We can now introduce an advanced search on the intranet that allows staff to search for people based on delegation. We can also add any of the reporting screens from the software to operate directly from within our intranet, and using web services, extract any other information managed in the delegations system for output to any of our sites.

BENEFITS TO SUTHERLAND SHIRE COUNCIL

Trevor Rowling thinks that the end result has met the significant challenges inherent in building a delegation management system: “The previous process for managing delegations was very time consuming, and not at all user friendly. One of the key success factors in this project was always going to be the speed and ease with which users could update information in the system. This objective has been achieved absolutely.

Similarly providing quick access to historic delegation information was extremely important. Management of this information is now simple to access and report on. Again Seamless have over delivered. We are extremely happy with the finished system and confident it solves what has been a significant problem area for us.”

Leon Gelbak, Director of Technology at Seamless, is already looking toward future enhancements to the system: “We have had some very positive feedback from Sutherland Shire Council, and are already looking at ways to improve the system further. We’ve already built the system as a standalone tool so other councils facing similar delegations challenges can configure and implement SSC’s software in-house or subscribe to it as a web service.” iQ

Openness: Are we there yet (and how will we know)?

Advancing technology in recordkeeping has implications for Freedom of Information and Open Government. In this article, the director of the Office of Government Information Services (OGIS) in the US National Archives and Records Administration explores these two concepts, and how they will be affected and developed.

BY **MIRIAM NISBET**

Story snapshot

- Mediation services have changed the FOI culture.
- Strong records management supports open and accountable government.
- Methods of measuring and evaluating success need development.

In the United States, the Freedom of Information Act (FOIA) provides the public with the right to access US government records and information. The law – passed in 1966[1] and one of the older FOI statutes in the world – was a 20th century product of the Open Government principles developed by our nation's founders. The US federal law and its counterpart state laws are now well established as an essential way for the public to learn about the inner workings of the government, fostering transparency and accountability and nurturing the nation's democracy.

With the FOIA as a backdrop, and fueled by technological development, the government has the ability now – more than ever – to make its records available to the governed (that is, the public) without waiting for a request to be made under the FOIA.

In other countries as well, many of them new to 'on demand' access to government information, citizens have unprecedented access to government information, a development (or vision) that many refer to as 'Open Government'. When we talk about Open Government, however, we find that the term means very different things to different people.

Is Open Government about using technology to make government work better and disclosing vast amounts of data for use by citizen entrepreneurs? Is it using more inclusive and cooperative processes to help government agencies develop workable solutions on controversial and complex issues (collaborative governance)? Is it making government records more readily available to shine light on government operations and root out corruption?

Open Government is all those and more.[2] Let me focus on two aspects that are particularly relevant to those of you in the archival world, who are critically important to making Open Government work. Also, I invite you to address the challenge of measuring success in achieving openness, transparency and public collaboration.

A MEANINGFUL PATH TO ACCESS

The US FOIA is fairly straightforward in concept: anyone can ask for records of the executive branch agencies (our equivalent of ministries), which then – within strict time limits – must release the records or tell the requester why the information is being withheld under specific exemptions. But the access law proved to be more difficult and costly than any of us could have imagined and so our Congress has continued to improve it, sometimes at the behest of FOIA requesters and sometimes at the urging of agency officials who implement the law.

Typically, each year the US government receives around 600,000 FOIA requests and over 9,000 administrative appeals from denials of access. Agencies spend more than one-third of a billion dollars annually on FOIA administration and litigation.[3] Given the volume of requests and appeals, it is not surprising that disputes regularly arise between members of the public and the federal agencies. These parties sometimes have very different opinions on what should be disclosed, how to disclose it, how much to charge for it, and many other issues.

When Congress amended the US law in 1974 to give it 'teeth' and to make it what is basically today's FOIA, Congress included enforcement mechanisms so that a FOIA requester, if dissatisfied with an agency's response, can file an administrative appeal within the agency, and then file a lawsuit in federal court to challenge the agency's action.[4] Having different routes to enforce the right of access is crucial to the success of any access law.

Still, these disputes far too often end up in federal court. To try to prevent or resolve disputes that arise in the FOIA context, Congress recently created a federal office – the Office of Government Information Services, within our National Archives and Records Administration – to provide mediation services to FOIA requesters and federal agencies, as an alternative to litigation.[5]

We are now fairly well established and have handled more than 1,000 requests for assistance in resolving disputes. Introducing mediation services to the FOIA process is a creative and collaborative approach to changing the culture of a well-established system, which I have heard criticised too often as balky, impenetrable and adversarial.

In addition to helping to resolve disputes, my Office is charged with reviewing agency FOIA policies, procedures and compliance and recommending policy changes to Congress and the President to improve the administration of FOIA.[6] Our handling of cases, as we mediate and facilitate disputes, gives us a first-hand look at agency practices that also is helpful to us in our review role.[7]

We have heard great appreciation for our dispute resolution and other activities to ensure that the FOIA is working as it should. However, we also faced criticism this past year from the requester community that the government bureaucracy was keeping us from being able to freely make recommendations for change and that we are not forcing the agencies to do certain things. Yet the statute gives us no enforcement power. And although everyone, including our Congress, refers to OGIS as the independent FOIA Ombudsman, neither the word independent nor the title Ombudsman appear in the law.

The recent changes to the US law reflect a maturity in implementation that some might characterise as: what took so long? In addition to establishing my office and for the first time directing the agency FOIA offices to use dispute resolution in handling FOIA requests, our law now expressly requires the appointment of a high-level official to be responsible for making the FOIA process work well.[8]

The amended law was passed at the end of 2007 and went into effect in 2008. But the changes benefited considerably from a boost when President Obama, on his first full day in office on 21 January 2009, issued two directives to the heads of US departments (our ministries) and agencies on Open Government[9] and on the Freedom of Information Act.[10]

Certainly the US experience underscores that without top-down support at the highest levels of government, even the most beautifully written FOI or Access to Information law cannot succeed.

RECORDS MANAGEMENT AS THE BACKBONE OF GOOD GOVERNMENT

Technology and the power of the internet raise many additional implementation issues. With the advance of the Open Government initiative in many countries, one recurring question I hear is: Is FOI obsolete? My answer is a resounding “no”.

Unless one wants to depend solely upon the voluntary disclosure of documents by those most likely to want to withhold them, one must let members of the public tell the government what information they want. And, if we intend to improve the delivery of information that our citizens want and can use, access professionals must be on the frontline in managing and preserving information.

Even in countries that are presumed to be leaders, we face enormous challenges whether dealing with traditional or digital media. Technology has certainly raised the bar on the critical need for modern records management. The US government

> TECHNOLOGY HAS CERTAINLY RAISED THE BAR ON THE CRITICAL NEED FOR MODERN RECORDS MANAGEMENT

included in its 2011 Open Government National Action Plan several interrelated pieces – increased efforts at proactive disclosure of government data; continued improvement of our FOIA; and modernied management of government records.

As the Archivist of the United States likes to say: “The backbone of an open and accountable government is strong records management.” How do we achieve that in the face of information inflation?

Archivists more than anyone understand that managing government records is a complex proposition that involves a commitment from all levels within an agency and the means with which to store, maintain and retrieve those records. We are fortunate in the US that the importance of good records management was highlighted in President Barack Obama’s November 2011 memorandum[11] on managing government records, which launched an executive branch-wide effort to modernise records management policies and practices, and called for the development of a Records Management Directive.

Implementation of the Directive, which is expected any day now, cannot happen without continued collaboration among many stakeholders, beyond those in the government, to include the public interest community, the business and Information Technology community, and members of the public at large.

If the goal is to ensure transparency and accountability, then good records management policies must be ‘baked

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1 5 U.S.C. § 552 (1966), Pub. L. 89-554, 80 Stat. 383.

2 The Open Government Partnership, which now has 55 member countries, calls for a member’s commitment to open government across four key areas – fiscal and budget transparency, freedom of information, asset disclosures for public officials, and citizen engagement. White House, “Fact Sheet: The Open Government Partnership,” September 20, 2011, http://www.whitehouse.gov/the-press-office/2011/09/20/fact-sheet-open-government-partnership. See also Open Government Partnership at http://www.opengovpartnership.org/

3 http://www.justice.gov/oip/reports.html

4 The U.S. district courts have exclusive jurisdiction over FOIA cases.

5 U.S.C. § 552(a)(4)(B). 5 5 U.S.C. § 552 (2006), amended by OPEN Government Act of 2007, Pub. L. No. 110-175, 121 Stat. 2524. See 5 U.S.C. § 552(h)(1)-(3).

6 5 U.S.C. § 552(h)(2) (2007).

7 The U.S. Department of Justice also looks at and encourages agency FOIA compliance in its long-established role in leading FOIA implementation and issuing policy guidance; the Justice Department also defends agencies in FOIA litigation.

8 5 U.S.C. § 552(k) (2007).

9 http://www.whitehouse.gov/the_press_office/TransparencyandOpenGovernment

10 http://www.whitehouse.gov/the_press_office/FreedomofInformationAct

11 http://www.whitehouse.gov/the-press-office/2011/11/28/presidential-memorandum-managing-government-records

12 See, for example, the work of the Center for Technology in Government at the University of Albany (New York, USA): http://www.ctg.albany.edu/projects/opengov_sap

Additional resources

- Text of the Freedom of Information Act, including the Memorandum of the President of the United States dated January 21, 2009: http://www.gpo.gov/fdsys/pkg/USCODE-2010-title5/pdf/USCODE-2010-title5-partI-chap5-subchapII-sec552.pdf
- New federal FOIA mediation office marks first anniversary: http://rcfp.org/newsitems/index.php?i=11643&fmt=print&PHPSESSID=31a98479393001b4d2bd0027831252c9
- FOIA dispute mediator opens doors: http://fcw.com/Articles/2010/01/14/NARA-OGIS.aspx
- Office of Government Information Services (OGIS) reports on activities and recommendations to Congress: https://ogis.archives.gov/about-ogis/ogis-reports.htm
- Attorney General’s Memorandum for Heads of Executive Departments and Agencies, Freedom of Information Act, March 19, 2009: http://www.justice.gov/ag/foia-memo-march2009.pdf

into' government processes at all levels. While we are doing that, we need to weave freedom of information principles into records management – as we create and manage records, we should consider how to make it easier to disclose them, if not immediately, then later. Building in openness and accessibility, just as it is with architecture, should be as the way governments do business.

METRICS OF SUCCESS

Improving records management and providing meaningful public access to information requires change, and change is hard for most of us. Our experience in the US is that culture change does not come without executive leadership and commitment at the highest levels of government, combined with collaboration with private industry and non-governmental organisations. I have found that it is difficult to engender conversations within agencies and among agencies, not to mention between government officials and members of the public, unless leaders make it clear that they expect and demand a culture of collaboration.

As we consider how far we have come and where we are going, we must look for ways to measure the impact, costs and effectiveness of Open Government in its various forms. How do we know whether we are spending our efforts and resources wisely? How do we know where we are falling short? I will use the Office of Government Information Services (OGIS) as an example of the metrics challenge.

As a new part of the US FOI landscape, OGIS is encouraging a new mindset by offering a different way of doing business. We believe that OGIS is contributing to the evolution of the FOI culture by redefining the meaning of success from being a win-lose situation to one where the parties to a dispute can buy into an outcome of their own making, and by emphasising the cost-saving benefits of stakeholder collaboration.

But we would welcome a less elusive way of assessing our effectiveness in mediating disputes. We have some ideas for measuring success, for example:

1 A study of FOIA litigation and which matters are most litigated. By getting our finger on the pulse of what is most litigated – delays, denials due to a certain exemption, fees, etc. – we can use that information to focus on the issues in our ombuds efforts to prevent litigation. But the question remains of how we can measure a reduction in litigation and, if there are fewer cases, to what is that attributable? Are more disputes being prevented at an earlier point and, if so, how do we capture that phenomenon?

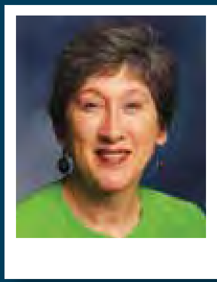
2 A survey based on a sample of our closed cases. Can we better identify the recurring problems, especially the systemic ones? Are the solutions that OGIS has helped facilitate something that agencies and requesters can live with, recognising that the goal is ensuring that FOIA works, not that one party wins and the other party loses?

We have invited our stakeholders and any interested parties to work with us in developing effective tools and methodologies for assessing the federal FOIA system, as well as the use of mediation as an innovative approach to improving the process.

But the larger questions extend to other aspects of Open Government and are ones that call for careful study and thoughtful action. Researchers and academics are asking: Is the unprecedented access citizens now have to government data creating transparency? And if so, what impact is that transparency having on government and society? How do we measure what is not happening, that is, who and what are being left out of the openness tent? What data and evaluation tools and techniques can be leveraged to answer and understand these complex questions?[12]

The answers will lead us to better and more open government. iQ

- This article is based on Miriam Nisbet's presentation at the 2012 International Congress on Archives, Brisbane, Australia and at inForum (RIMPA), Melbourne, Australia and Wellington, New Zealand.



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Cutting across silos for a new RIM/ICT future

When RIM and ICT work together as information partners, it takes both industries into the realm of 21st century information sharing.

BY **JANET UPTON**

Story snapshot

- RIM and ICT exist to serve the business.
- Gatekeepers become enablers.
- Improvement, innovation and quality are key drivers.

To be really successful, I believe that Records and Information Management and Information Technology must accept that they exist to serve the business; that is, the specific organisation or company that employs them. They must prove their value to the business by understanding what the business needs and offering the most appropriate and cost-effective policies, tools, services and advice to meet those needs.

Such an approach calls for flexibility, business acumen, collaboration and integration. It requires moving outside the traditional silos. It means listening not telling, proposing not dictating, all the while seeking to understand what the business needs and identifying how RIM and IT can best meet them.

In my almost three decades in records and information management (RIM), I've worked in a variety of organisational structures. Sometimes, I've reported to the Chief Information Officer. At other times I've reported through corporate, administration or policy streams. There have been pluses and minuses in each situation, but my belief is that there's no single structure that guarantees RIM will have a voice at the top table and make a positive organisational impact. Rather, it's the development of strong collegial working relationships between RIM, IT and the business that makes the difference.

Structure can, usefully, help set the scene but it can also become a barrier to effective relationship building and integration. Structure can make us too comfy, unwilling to change, to understand and meet the needs of the world around us. Structure can become silos.

We need to work together effectively as information partners, get out of our traditional silos and step out together into the big wide world. The sooner we do that, the better for our organisations and customers.

CHANGING THE WAY WE WORK... TOGETHER

Over the past three years at Land Information New Zealand (LINZ), my RIM team (Knowledge Management) has worked hard to change the way we work with IT and the business. We've deliberately confronted behaviour and attitudes that kept us in our cosy RIM silo and prevented us from adding value to the business. We've actively redefined ourselves from 'gatekeepers' to 'enablers' and developed new working relationships across the business.

Practical examples of our move from 'gatekeepers' to 'enablers' are our projects on the virtual storage function, *Dropbox*, and email box sizes.

In the past, the use of tools like *Dropbox* was not endorsed at LINZ. We had a traditional document management approach, requiring all documents to be saved into the centralised EDRMS. However, as our staff became more involved working with international organisations and companies, the need to access *Dropbox* for work-related purposes increased to the point where we had to change our tune. Either we supported people to use the tool safely, or they'd use it anyway and in ways we could not influence.

Our team worked with the IT department to develop guidelines and user guides to actively support the use of *Dropbox*. To start with, we needed to understand how people wanted to use the tool. We met with current users and became *Dropbox* users ourselves, spending time getting to know what the tool could (and couldn't) do. We developed advice on version control, document security and the relationship of *Dropbox* documents with our EDRMS, etc.

Then, LINZ IT worked with my RIM team to increase corporate email box sizes. We were open about the risks of doing this and also the risks of doing nothing. We considered a range of approaches and developed clear communication with the business. Now we are following this up with training, targeted support and help documentation.

As a result of our efforts with both *Dropbox* and the email box size, we've turned very frustrated staff 'customers' into happy ones. We've shown that a collaborative, customer-centric approach from RIM and IT delivers a 21st century business-friendly information solution that enables LINZ staff to work efficiently.

While IT and RIM still have delegated responsibility from the Chief Executive to ensure organisational compliance with government security and information management requirements, we've proactively shifted our focus to providing the policies, tools and support to help staff access and share information inside and outside the organisation.

We've left behind the comfort of our traditional silos. We've become adept at navigating the information tightrope. We have put just enough rules and policies in place to protect information, while ensuring staff can actively participate in 21st century information sharing networks.

Our RIM team proactively seeks opportunities to work closely with IT and the business. We don't sit back and wait to be asked to join projects, we offer our skills and experience upfront, knowing that our experience in change management, user training and support and big systems rollouts is valuable.

In the 2012-13 year we're focusing on projects that will deliver decreased cost and improved usability and mobility for the end user. Some of these projects are at the investigative phase, involving us in research, market analysis and blue skies thinking.

We're asking whether our current tools are appropriate for LINZ going forward. If not, what other tools are available, such as open source and cloud solutions, and how do these fit with the government's ICT roadmap and our own business needs?

At the same time, we're negotiating strongly with existing suppliers of our information tools and services to get cost-effective and sustainable solutions within LINZ's reducing resource baseline. This takes time and persistence, a range of knowledge and skills across the RIM, IT and Procurement teams.

We've learned to respect our differences, combining our cumulative wealth of experience and joint forces to negotiate really good deals for our business. This has been a shock to some vendors as we've demanded lower costs, better value, more flexible pricing structures and service delivery models. The success of this collaborative approach has been evident through reduced costs and significantly improved service offerings, enabling LINZ to continue being innovative and service oriented in very difficult economic times.

You could be forgiven for thinking everything's rosy for the RIM/IT relationship and that we're two peas from the same (i) pod. However, life isn't that simple!

The reality is both RIM and IT professionals can feel like foreigners in a strange land when dealing with each other and the business. Why is this the case? I'd suggest that both IT and RIM professionals carry around baggage that can get in the way of a healthy collaborative relationship.

- Our use of specific jargon and acronyms – virtualisation, R&D schedules, SDLC, ECM, digitisation, SAAS, PRA – that are gobbledegook to others.
- The misconception that the 'specialised' professional knowledge we hold is inaccessible to others without years of study.
- Our proclivity to stay in our comfort zones, clinging to world views that in some cases represent a world that's definitely 'last century' where knowledge was locked away, not shared due to the risk of 'what people might do with it'
- Our prejudices and stereotypes of the 'others' as geeks, nerds, horn-rimmed librarians, records police – exactly the sort of people you don't want to be seated next to at the office party!

The reality is RIM and IT professionals do have their differences but, then again, so do men and women, architects and scientists, politicians and lawyers, cats and dogs. It's time we acknowledged our differences – and got over them!

There are many benefits to RIM and IT working closely together. We're not starting from a zero base. We share a common belief in the value of data and information. We take a systematic approach to our work. We have a commitment to improvement, innovation and quality. Deep down, we like creating order out of chaos and dare I say it: we really like fixing problems and helping people, with a strong service ethic and common customer base.

And above all, we want our work to make a difference – to our organisations and the wider economy.

By working closely with IT and the business, records and information management professionals can increase skills and knowledge – add more strings to professional bows and become more marketable in a world of job uncertainty. By partnering with IT we can increase our professional credibility and the impact we can have on our organisations.

MOVING OUTSIDE THE SILO

So what's stopping us leaving our RIM silo and partnering with IT and the business? Why do we find it so hard to challenge the status quo? Why are we reluctant to involve our teams in projects outside our core area of expertise? I suggest we are overcome by three key demotivators:

1 **Fear:** We worry that by stepping outside the silo, we'll expose what we don't know. We focus on our ignorance and inabilities, rather than the skills, knowledge and experience we do have.

If we couple these fears with the typical RIM personality type of 'quiet, behind the scenes achiever, who never blows their own trumpet', we have a double whammy.

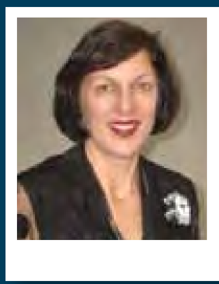
2 **Busy-ness:** We expend so much effort maintaining our current systems dealing with decades of legacy issues, that the thought of finding extra time to think outside the box, researching, exploring alternatives, making new relationships with IT and taking on more work across the business seems impossible. We need to ask ourselves "will we spend our time on the problems of the past or the opportunities of the future?"

3 **Politics and power:** There are powerful forces that want to prevent us from changing. Vendors don't want us to look at other products or to challenge their cost models. They'd like us to remain quiet and keep paying the bills. Decision-makers who supported purchase of existing systems may fear a change in direction could suggest original decisions were flawed.

Change upsets and disrupts. True! However, change is also a necessary companion to innovation and improvement. Without change we have no progress.

We could be overcome by our fears, disempowered by the work on our 'to do' list, frightened by the silly power games that people with something to lose will play. Or we can see ourselves as change agents, step up to the challenge and boldly move outside our RIM silo to partner with IT and the business. This sounds easy – but just how do you create partnerships and move outside your silo? Here are a few tips:

- Infiltrate: Find out what's going on in the business and elbow your way in, Gate crash if you must! Listen and learn all you can. People love to tell you about their work.
- Learn the lingo. Read everything you can about the business so you can use language the business understands.
- Sell RIM skills and knowledge in ways that resonate with the business. The goal is to add real tangible value to the business, so your skills become your greatest advocates.
- Be a service improvement agent. Don't moan about the service you get in the organisation, suggest improvements. Praise good service.
- Talk solutions, not problems. Talk opportunities, not barriers.



About the author

JANET UPTON is Manager, Knowledge Leadership at Land Information NZ. She has been in information management for over 25 years in libraries, records and knowledge management roles in the private and public sectors. Janet can be contacted at jupton@linz.govt.nz.

In my experience, some RIM professionals excel at 'problem and barrier identification'. We leap at a chance to over-analyse risks of new technology and seem hell bent on retaining the 'safe' status quo, while the world around us changes. We see risk as something inherently bad and to be avoided at all costs. It's a wonder some of us get out of bed in the morning!

Sadly, we're not very good at 'Solutions and Opportunities' To change might ruffle our RIM feathers and make us feel professionally challenged, but the alternative, doing nothing and hope the new technology will disappear, is not an option.

Together with IT, RIM professionals have a key role in helping our organisations successfully walk the tightrope between the old and the new. We need a 'Yes can do' attitude, calculating risk, but proactively identifying ways to mitigate information and data loss while embracing the opportunities offered by social media, cloud computing and changing information paradigms.

So what is the future for RIM professionals? If we're prepared to move outside of our silos, I believe we have a bright future ahead of us. Technology is changing at a rapid rate and organisations need the skills, knowledge and experience of records and information managers and IT professionals to plan and execute successful transitions from the old to the new.

The organisations need our skills to identify ways for technology to enhance business opportunities, reduce costs and deliver a better user experience for our customers and staff. For this to happen, RIM and ICT professionals need to embed themselves in the fabric of their organisations by creating successful partnerships across silos.

There is an exciting RIM/ICT future around the corner. The question is: will we break out from the comfort of our silo and become part of it? iQ

- This article is a condensed version of the presentation given by Janet Upton at the RIMPA inForum conference in Wellington on 31 August 2012.

This article was inspired by a draft PhD thesis titled 'Electronic records classification in Malaysia: A case study at syariah courts', written by Umi Asma' Mokhtar.

Can technology classify records better than a human?

Drawing on a legal case study, this article explores the potential for advanced search tools to find and keep records in a specific business context.

BY **ANDREW WARLAND** WITH **UMI ASMA' MOKHTAR**

In their 1999 book *Sorting Things Out: Classification and Its Consequences*, Geoffrey Bowker and Susan Leigh Star wrote that "to classify is human".

Classification schemes, taxonomies, thesauri and the like help us to categorise, find, manage and better understand all sorts of things in their specific context.

Humans almost instinctively sort things into categories – we *classify* them. We overlay or link them with some kind of form and structure, and in so doing endow them with a meaning and context that helps us to make sense of them, to make their management more efficient, to 'add value'.

We seek to classify records for similar reasons: to give them business context, to establish evidence of business activities and to facilitate their "description, control, links and determination of disposition and access status". (AS ISO 15489.2-2002 4.3.4.1.)

Bowker and Star suggest that classification is the "sleeping beauty of information science" and, certainly, classification is an essential recordkeeping tool.

But, the methods we are using to classify digital records, to assign business context to them, seem to be failing. As a profession, we are more often than not using, or attempting to use, paper-based methods, with less than successful outcomes.

Because these methods are failing, organisations are turning to alternative methods to find and group records into business or other contexts, including by deploying advanced search tools.

Search tools, of course, do not classify records. They provide little more than a temporary grouping of possibly related records, not necessarily all records relating to a specific business context.

However, search tools that can learn how to find and then keep records in context are increasingly being used to support legal e-Discovery practices. SharePoint 2013, for example, includes an e-Discovery site based on these ideas. Perhaps, with the assistance of records managers, these tools can be used to improve or replace our current methods, to herd the digital cats into their respective categories.

THE PROBLEM OF CLASSIFYING DIGITAL RECORDS

Recordkeeping classification schemes describe categories of business activity and the records those activities generate.

In most contemporary recordkeeping systems, for both paper and digital records, classification terms are applied to the aggregation (ie, a file or container); individual records contained in the aggregation inherit the classification terms, rather than being applied on each record.

Where the classification scheme is mapped to retention requirements, inherited classification facilitates the retention and disposal of aggregations of records.

Inherited classification assumes two things. First, the aggregation has the most appropriate classification for the records it contains and, second, all relevant records will be or have been placed by people in the correct (or any) classified aggregation.

In practice, probably no more than 5% of all digital records created or received by organisations ends up in classified aggregations in recordkeeping systems, let alone an aggregation that includes a classification. The rest are stored, unclassified, on network drives, in email folders and, increasingly, in the cloud.

Records managers might respond that this situation is tenable – not everything is a record and so not everything needs to be kept as a record. On the other hand, most records managers know that a lot of digital records are not captured in a recordkeeping system or classified.

There are a number of reasons why the use of recordkeeping systems and, by extension, the classification of digital records, has not been successful, and why as a profession we need to find better ways to classify them, including by looking at what technology can do for us.

For a start, the way that people have created or captured digital records over the past 20 years has been mostly divorced from any recordkeeping system; people manage digital records in network drives and email folders, applying their own rudimentary and mostly uncontrolled forms of classification to the names of folders.

Story snapshot

- Classification of digital records needs to be improved.
- Recordkeeping systems with competing structures cause inconsistency.
- Sound classification practice supports other recordkeeping functions.

These 'systems' abound with the oft-forgotten remnants (and multiple duplicates) of digital objects including records. In many organisations, backup processes that should be used only for disaster recovery have become the de facto archives of digital records.

Most people who work in organisations understand the need to keep records. Saving a record to a recordkeeping system is often an additional step that, in most cases, still leaves the original record stored in its drive or folder. As well, copying a record from a 'user-classified' network or email folder to a recordkeeping system with a different classification structure doesn't make sense.

Records managers seem to be stuck between a rock of records classification theory and the hard place of end user classification practice.

A second reason why the classification of digital records via recordkeeping systems has failed is because records management theory tells us that not everything is a record and only records should receive the special attention (and classification) that recordkeeping systems provide. There continues to be a persistent belief on the part of records managers that EDRM solutions are the answer to the digital nightmare we face and yet EDRM success stories are not common.

Courts, on the other hand, do not differentiate between records and non-records. A record – that is, evidence – of a business activity is a record regardless of whether it has been captured or managed in a recordkeeping system.

There is not, to our knowledge, a single piece of case law in Australia or Malaysia in which all evidence of a particular business activity was discovered because the organisation had an effective classification system, or even an EDRMS.

In the past year, a number of records management professionals, including Adelle Ford from Recordkeeping Innovation and Cassie Findlay from State Records NSW, have called for records managers to shift their thinking in relation to the management and classification of digital records, and "to reinvent our practice for the digital environment".

Shifting our thinking means finding new ways to manage the sheer volume of digital information created and received by organisations, to maintain our relevancy as a profession. We need to lead with innovative and useable options, not offer solutions that aren't working or delivering real returns on investment.

These options could potentially include e-Discovery methods to find, aggregate and classify digital records in their business context.

CLASSIFICATION AND E-DISCOVERY

The processes involved in legal discovery and the classification of records have a similar outcome – to identify and group all related business records for a given business context. A typical subpoena for the production of records is likely to ask for "any and all records (including all different types) that relate to a given subject".

The problem for most contemporary organisations receiving such a request is that, even with a classification scheme applied in an EDRMS, they cannot be entirely sure that all records required can be found or produced. The message will go out from the legal team seeking records in any location and in any form.

Although a well-implemented classification scheme should, in theory, be able to identify all records that provide evidence of a specific business activity, the reality is that there are likely to be many more records that haven't been classified.

To satisfy legal requirements, and in the absence of any realistic recordkeeping options (such as producing a container containing all known records), organisations turn to discovery methods such as search and review to produce all related business records.

The IT department may even be required to attempt to recover records from backup tapes or network drive folders with obscure and fanciful names like 'John', '1999', or 'Peter's Stuff', or 'Xmas Photos 1989'.

But surely, isn't one of the stated purposes of recordkeeping classification to identify evidence of business activities? Wouldn't a request for production of records be made more easy if all that was required was to produce all records classified against a particular function, activity and/or related transactions?

> IT IS WELL ESTABLISHED THAT HUMAN ASSESSORS WILL DISAGREE IN A SUBSTANTIAL NUMBER OF CASES AS TO WHETHER A DOCUMENT IS RELEVANT

Of course, the classification of records is not just about supporting discovery or the production of evidence. It is about linking records with business actions and providing business context for those records, and utilising that classification to support other recordkeeping activities including retention and disposal.

What, really, is the difference between a subpoena for "any and all records (about a given subject), in any format", and business requirement to keep and/or find any and all related records in their business context? In simple terms, the former is a legal demand that cannot easily be ignored, while the latter is our rarely achieved ideal state.

Why aren't the two aligned? We believe it is largely because the method used to classify digital records, by requiring them to be stored in classification-based aggregations in an EDRMS, has failed as a recordkeeping process, un-mandated by an uncaring business. The problem is not with classification, it is with how it is implemented, as Ford noted.

CAN TECHNOLOGY-ASSISTED REVIEW HELP?

One option that appears to have potential to help is an e-Discovery method known as technology-assisted review, with expert guidance and input from records managers. Courts in the United States have started to make use of these methods successfully instead of using traditional manual methods.

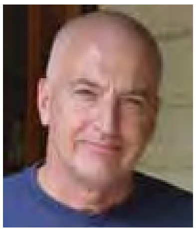
A 2011 research report from the University of Richmond, Virginia examined whether technology-assisted review in e-Discovery could be more effective and more efficient than exhaustive manual review. (Grossman and Cormack, 2011)

The paper noted a general perception that technology-based tools were considered by many lawyers to be inferior to manual-based reviews; a sentiment that could just as easily replace the word 'lawyers' with 'records managers', and 'reviews' with 'classification'.

The authors found that technology-based tools were in fact both more efficient and produced results that were superior to the latter as measured by *recall* and *precision*. It also found that manual review was "far from perfect".

The paper stated that the objective of an e-discovery review was: "… to identify as many relevant documents as possible. The fraction of relevant documents identified is known as *recall*, while the fraction of identified documents that are relevant is known as *precision*. That is, recall is a measure of completeness, while precision is a measure of accuracy or correctness".

About the authors



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The effectiveness of a review is referred to as F_1, or "the harmonic mean of recall and precision". Relevance, on the other hand, "remains elusive", and requires human intervention. This intervention, according to some, should only be done by lawyers who claim to be "better able to assess relevance and privilege than non-lawyers".

The paper further noted that: "It is well established that human assessors will disagree in a substantial number of cases as to whether a document is relevant, regardless of the information need or the assessors' expertise and diligence."

This sentence could just as easily have said that "end users will disagree on the most appropriate classification of a record (that is, its relevance to a specific part of the classification), regardless of their expertise".

While the paper was not specifically focused on classification, the concept was more or less identical – whether a computer based algorithm could achieve a better result than manual review (based on pre-defined keyword searches) in relation to the grouping of related (digital) records in a specific business context.

The paper noted a previous study (Voorhees) that found that the practical upper bound for manual review was 65% precision and 65% recall "since that is the level at which humans agree with one another".

By comparison, a computer algorithm-based review, targeting documents from the Enron email archive, and having humans review only 1.9% of documents to help the system 'learn', achieved average recall and precision rates of 76.7% and 84.7%, with no recall lower than 67.3%.

If records managers could help a system to learn how to classify digital records, success rates for the classification of those records could be as high as indicated in these results.

The application of technology to assist with legal review, a method commonly known as 'predictive coding', is not just theory.

In October 2011, Andrew Peck, a US magistrate judge for the Southern District of New York wrote that computer-assisted coding "works as least as well if not better than keywords or manual review", particularly in large-data-volume cases where it may save … significant amounts of legal fees in document review". Against objections, predictive coding was approved for review and production of electronic documents.

The classification of records remains a valid business and recordkeeping requirement, but it needs to be implemented differently in the digital world to be successful. Technological methods, including predictive coding, may be one answer.

These methods will still rely on the expert assistance of records managers to 'seed' search algorithms correctly by locating and identifying records that are relevant to a specific part of the classification scheme or schemes. And, of course, records must be classified accurately and persistently so that, when linked to retention requirements, all related records can be disposed of appropriately.

Current methods to classify digital records need to change to be successful. Technology-based classification is an option that needs further exploration. iQ

• We would like to acknowledge feedback on this article from James Lappin (UK).

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TEXT ANALYSIS: the next step in search

Text analysis technology provides the way forward in dealing with today's exponentially expanding information.

BY **JOHANNES C. SCHOLTES,** Ph.D

Text analysis differs from traditional search in that, whereas search requires a user to know what he or she is looking for, text analysis attempts to discover information in a pattern that is not known beforehand. One of the most compelling differences with regular (web) search is that typical search engines are optimised to find only the *most* relevant documents; they are not optimised to find *all* relevant documents. The majority of commonly-used search tools are built to retrieve only the most popular hits – which simply doesn't meet the demands of exploratory legal search.

This article will lead the reader beyond the Google standard, explore the limitations and possibilities of text analysis technology and show how text analysis becomes an essential tool to help process and analyse today's enormous amounts of enterprise information in a timely fashion.

Story snapshot

- Patterns and characteristics: a key focus.
- Finds *all* relevant information, not just the *most* relevant.
- International environments require a specific approach.

THROUGH THE USE OF ADVANCED TECHNIQUES SUCH AS PATTERN RECOGNITION, NATURAL LANGUAGE PROCESSING AND MACHINE-EARNING, TEXT ANALYSIS DISCOVERS INFORMATION IN A PATTERN THAT IS NOT KNOWN BEFOREHAND

FINDING WITHOUT KNOWING WHAT TO LOOK FOR

In general, text analysis refers to the process of extracting interesting and non-trivial information and knowledge from unstructured text. By focusing on patterns and characteristics, text analysis can produce better search results and deeper data analysis, thereby providing quick retrieval of information that otherwise would remain hidden. Through the use of advanced techniques such as pattern recognition, natural language processing and machine-earning, text analysis discovers information in a pattern that is not known beforehand.

Text analysis is particularly interesting in areas where users must discover new information, for example with criminal investigations, legal discovery and when performing due diligence investigations. Such investigations require 100% recall ie, users cannot afford to miss any relevant information. This is the opposite to a user who uses a standard search engine to search the internet for background information and simply requires any information as long as it is reliable. During due diligence, a lawyer certainly wants to find all possible liabilities and is not interested in finding only the obvious ones.

BEYOND THE GOOGLE STANDARD

With Web search engines like Google, most companies and organisations place a premium on being found as close to the top of search list as possible. Experienced users have become quite savvy in utilising search engine optimisation techniques to enhance high rankings.

Now, an entire generation of tech-savvy computer users exists whose expectations and perceptions of full-text search functionality and performance are almost completely influenced by the 'Google effect'. In most instances, this type of approach works fine if users only need to find the most appropriate website for answering general questions. Users type in full-text keywords and expect to see the most relevant document or website appear at the top of a result list. Page-link and similar popularity-based algorithms work very well in this context.

However, a lot of information that may be vital for them to know may not come to light using only these basic search techniques. If, for example, a user's search is related to fraud and security investigations, (business) intelligence, or legal or patent issues, other searching techniques are needed that support different sets of issues and requirements, such as the following:

- **Focusing on optimised relevance:** the first requirement of broader search applications is that not only does the best document need to be found, but all potentially relevant documents need to be located and sorted in a logical order, based on the investigator's strategic needs.
- **Handling massive data collections:** another issue impacting effective strategic searching is how to conduct extensive searches among extremely large data collections. For example, if email collections need to be investigated, these repositories are no longer gigabytes in size; rather, they can be a terabyte or more. When handling this volume of data, plain full-text search simply cannot effectively support finding, analysing, reviewing and organising all potentially relevant documents.
- **Finding information based on words not located in the document:** In this context, consider investigators who may have some piece of information concerning an investigation but don't necessarily know other details they may be looking for. Who is associated with a suspect? What organisations are involved? What aliases are associated with bank accounts, addresses, phone records or financial transactions? Traditional precision-focused, full-text approaches are not going to help users find hidden or obscure information in these contexts.
- **Defining relevancy:** when defining a search's relevance, all factors that could be in play during a specific search instance must be accounted for (in the context of overall goals). Using the investigative example again, consider possible involved parties and what 'relevance' would mean to their actual search:
  - – Investigators want to comb documents to find key facts or associations (the 'smoking gun').
  - – Lawyers need to find privileged or responsive documents.
  - – Patent lawyers need to search for related patents or prior art.
  - – Business intelligence professionals want to find trends and analyses.
  - – Historians need to find and analyse precedents and peer-reviewed data.

All of these instances require not only sophisticated search capabilities but also different context-specific functionalities for sorting, organising, categorising, classifying, grouping and otherwise structuring data based on additional meta-information, including document key fields, document properties and other context-specific meta-information. Utilising this additional information will require a whole spectrum of additional search techniques, such as clustering, visualisation, advanced (semantic) relevance ranking, automatic document grouping and categorisation.

CHALLENGES FACING TEXT ANALYSIS

Due to the global reach of many investigations, a lot of interest also exists with text analysis in multi-language collections. Multi-language text analysis is much more complex than it appears because, in addition to differences in character sets and words, text analysis makes intensive use of statistics as well as the linguistic properties (such as conjugation, grammar, tenses or meanings) of a language. A number of multi-language issues will be addressed later in this article.

But perhaps the biggest challenge with text analysis is that increasing recall can compromise precision, meaning that users end up having to browse large collections of documents to verify their relevance. Standard approaches to countering decreasing precision rely on language-based technology, but when text collections are not in one language, are not domain-specific and/or contain documents of variable sizes and types, these approaches often fail or are too sophisticated for users to comprehend what processes are actually taking place, thereby diminishing their control.

Furthermore, according to Moore's Law, computer processor and storage capacities double every 18 months which, in the modern context, also means that the amount of information stored will double during this time frame as well. The continual, exponential growth of information means most people and organisations are always battling with the spectre of information overload. Although effective and thorough information retrieval is a real challenge, the development of new computing techniques to help control this mountain of information is advancing quickly as well. Text analysis is at the forefront of these new techniques, but it needs to be used correctly and understood according to the particular context in which it's applied. For example, in an international environment, a suitable text analysis solution may consist of a combination of standard relevance-ranking with adaptive filtering and interactive visualisation, which is based on utilising features (ie, metadata elements) that have been extracted earlier.

CONTROL OF UNSTRUCTURED INFORMATION

More than 90% of all information is unstructured, and the absolute amount of stored unstructured information increases daily. Searching within this information, or performing analysis using database or data mining techniques, is not possible, as these techniques work only on structured information. The situation is further complicated by the diversity of stored information: scanned documents, email and multimedia files (speech, video and photos).

Text analysis neutralises these concerns through the use of various mathematical, statistical, linguistic and pattern-recognition techniques that allow automatic analysis of unstructured information as well as the extraction of high quality and relevant data. ('High quality' here refers to the combination of relevance [ie, finding a needle in a haystack] and the acquiring of new and interesting insights). With text analysis, instead of searching for words, we can search for linguistic word patterns which enable a much higher level of search.

INFORMATION VISUALISATION

Text analysis is often mentioned in the same sentence as information visualisation, in large part because visualisation is one of the viable technical tools for information analysis after unstructured information has been structured. ZyLAB software extracts facts, entities, and events from data and presents them in logical colour-code reports (see figure 1 above right).

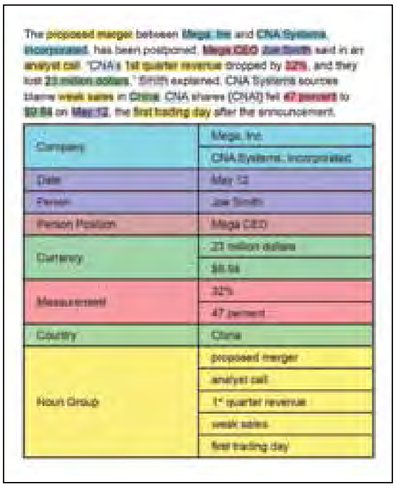

Figure 1: Advanced Text Analytics & Classification by ZyLAB

Another visualisation approach is a 'treemap' in which an archive is presented as a coloured grid (see figure 2 below). The components of the grid are colour-coded and sized based on their interrelationships and content volume. This structure allows you to get a quick visual representation of areas with the most entities. A value can also be allocated to a certain type of entity, such as the size of an email or a file.

These types of visualisation techniques are ideal for allowing an easy insight into large email collections. Alongside the structure that text analysis techniques can deliver, use can also be derived from the available attributes such as 'sender', 'recipient', 'subject', 'date', etc.

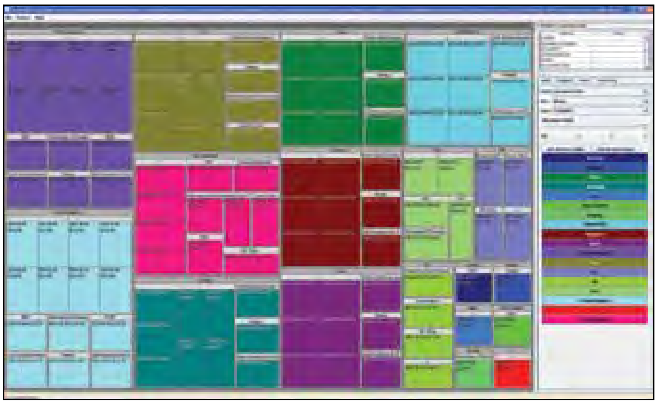

Figure 2: TreeMap visualisation of a tree structure

TEXT ANALYSIS ON NON-ENGLISH DOCUMENTS

As mentioned earlier, many language dependencies need to be addressed when text-analysis technology is applied to non-English languages.

First, basic low-level character encoding differences can have a huge impact on the general search ability of data: where English is often represented in basic ASCII, ANSI or UTF-8, foreign languages can use a variety of different code-pages and UNICODE (UTF-16), all of which map characters differently. Before a particular language's archive can be full-text indexed and processed, a 100% matching character mapping process must be performed. Because this process may change from file to file, and may also be different for different electronic file formats, this exercise can be significant and labour intensive. In fact, words that contain such language-specific special characters as ñ, Æ, ç, or ß (and there are hundreds more such characters) will not be recognised at all.

Next, the language needs to be recognised and the files need to be tagged with the proper language identifications. For electronic files that contain text that is derived from an optical character recognition (OCR) process or for data that needs to be OCRed, this process can be extra complicated.

Straightforward text-analysis applications use regular expressions, dictionaries (of entities) or simple statistics (often Bayesian or hidden Markov models) that all depend heavily on knowledge of the underlying language. For instance, many regular expressions use US phone number or US postal address conventions, and these structures will not work in other countries or in other languages. Also, regular expressions used by text analysis software often presume words that start with capitals to be named entities, which is not the case with German. Another example is the fact that in languages such as German and Dutch, words can be concatenated to new words, which is never anticipated by English text analysis tools. More examples of linguistic structures exist that cannot be handled by many US-developed text analysis tools.

In order to recognise the start and end of named entities and to resolve anaphora and co-references, more advanced text analysis approaches tag words in sentences with 'part-of-speech' techniques. These natural language processing techniques depend completely on lexicons and on morphological, statistical and grammatical knowledge of the underlying language. Without extensive knowledge of a particular language, none of the developed text analysis tools will work at all.

A few text analysis and text-analytics solutions exist that provide real coverage for languages other than English. Due to large investments by the US government, languages such as Arabic, Farsi, Urdu, Somali, Chinese and Russian are often well covered, but German, Spanish, French, Dutch and Scandinavian languages are almost always not fully supported. These limitations need to be taken into account when applying text analysis technology in international cases.

AUDIO SEARCH

Written text, such as transcripts from audio recordings, cannot fully convey intent, nuance or emotions which are only discernible by human listeners. Additionally, speech-to-text technology is generally limited to dictionary entries.

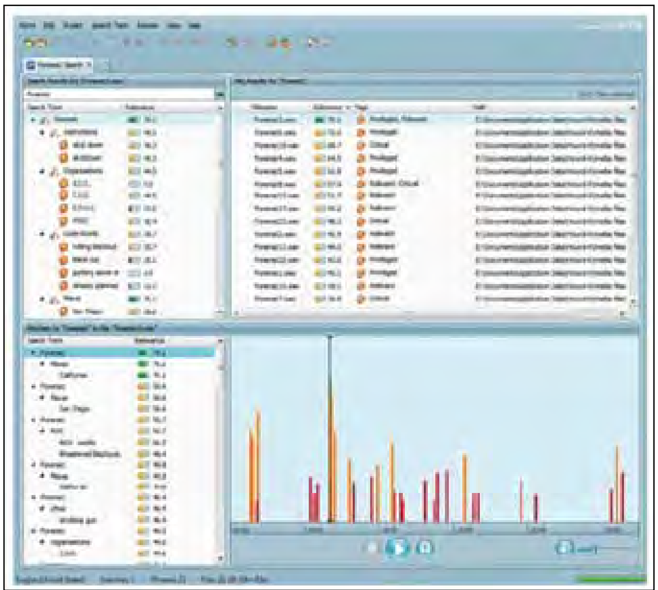

Figure 3: ZyLAB Audio Search shows important keywords, code words and insight that may be buried in recorded conversations, meeting videos and voicemail.

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WITH TEXT ANALYSIS, REVIEWS CAN BE IMPLEMENTED MORE EFFICIENTLY AND DEADLINES CAN BE MADE EASIER

In contrast, the Audio Search technology of ZyLAB transforms audio recordings into a phonetic representation of the way in which words are pronounced so that investigators can search for dictionary terms, but also proper names, company names or brands without the need to 're-ingest' the data.

With Audio Search investigators can quickly identify relevant audio clips from multimedia files and from ubiquitous business tools such as fixed-line telephone, VOIP, mobile, and specialist platforms like Skype or MSN Live. The intuitive software enables technical and non-technical users involved in legal disputes, forensics, law enforcement and lawful data interception to search, review and analyse audio data with the same ease as more traditional forms of Electronically Stored Information (ESI).

A PROSPEROUS FUTURE FOR TEXT ANALYSIS

Even with some of the limitations and challenges profiled here, we already see the extensive application of data mining in two areas: e-discovery and compliance. Associated with these are the cognate areas of bankruptcy settlements, due-diligence processes and the handling of data rooms during a takeover or a merger.

The final application in this context will unfold as major legislative changes and stricter control systems will undoubtedly take place in the short term: companies will have to carry out regular (real time) internal preventative investigations, deeper audits and risk analyses. Text analysis technology will become an essential tool to help process and analyse the enormous amount of information in a timely fashion.

Although changes in the legal and financial world are typically evolutions rather than revolutions, a significant role for text analysis in e-discovery and e-disclosure certainly exists. Data collections are just getting too large to be reviewed sequentially, and collections need to be pre-organised and pre-analysed. With text analysis, reviews can be implemented more efficiently and deadlines can be made easier. The challenge will be to convince courts and auditors of the correctness of these new tools. Therefore, a hybrid approach is recommended in which computers make the initial selection and classification of documents and, based on established investigation directives, human reviewers and investigators implement quality control and evaluate the investigation suggestions. By doing so, computers can focus on recall and users can focus on precision. **iQ**

• This article was first published in the *Bulletin* (the journal of the Information and Records Management Society, UK).

Pedagogy in her stars

When she was still at high school in Perth, Western Australia, Karen Anderson wanted to be an architect. She had won a teacher-training scholarship but was so sure she did *not* want to be a teacher that she initially dodged university. It was to no avail.

Dr Karen Anderson
Professor of Archives and Information Sciences, Mid Sweden University

Dr Karen Anderson PhD, Grad Cert Ed., BA (Hons), AALIA, FASA[1] is now a Professor of Archives and Information Science and teaches recordkeeping on the other side of the world. She is delighted at this outcome. "One of life's little ironies," she calls it, adding: "But I'm definitely not sorry I ended up as an educator after all!"

She is part of the Department of Information Technology and Media at the Mid Sweden University in Härnösand, 450 kilometres north of Stockholm, where she has worked for nearly six years and held the Archives and Information Science Chair since 2008. It's all a long way from the high school girl, born in Perth in 1949, with aspiration for architecture. What happened there? She answers frankly: "My maths results weren't good enough."

Like it or not, pedagogy was in her stars. Her first job, library assistant in the central cataloguing service of the Education Department of Western Australia, led her back into study for the then Library Association of Australia's Registration Certificate and, eventually and inevitably, into the University of Western Australia linguistics course. She earned an honours BA degree. She remembers: "All my jobs as a librarian were, by accident, within the education sector."

TEACHING OPPORTUNITY KNOCKS

Over the next couple of decades, she has been successively acquisitions librarian for one of Edith Cowan University's (ECU) forerunner institutions, then at the Western Australian Ministry of Education, before bowing to the muses and joining ECU to teach in its library studies program.

Then, more opportunity knocked. "In 2005 I learned through the International Council on Archives' section for archival educators network that there was a one-year guest researcher position available at Mid Sweden University," says Karen.

"After a considerable amount of thought and discussion about practicalities, I applied. It was one of those 'now or never' decisions. I'd often thought about living and working overseas and knew if I didn't go soon it would be too late. I thought a change would allow me to see different approaches to professional education systems.

"The ECU and Mid Sweden programs had a lot in common. Both are for distance education from IT schools. They take a records continuum approach in their teaching and research. Even more, I had learned that a Mid Sweden research program was investigating recordkeeping needs and values in small to medium enterprises and local government. Before my guest term was out, the university had advertised the archives chair. I knew I would really like to continue working there, so I applied."

And how did it work out? She answers with certainty: "I enjoy living and working in Sweden and have found people, colleagues in particular, to be very welcoming and great to work with. It has been stimulating and exciting to learn and work in a different legislative environment that highly values freedom of information and access to public records and archives."

PLANNING THE MOVE

What is her advice to RMs planning such a move? Again, sound suggestions: "Do some reading and find out as much as possible before going. Be prepared to accept and deal gracefully with differences in systems and culture. However similar the culture may seem to be at first encounter, it won't be the same.

"If there's a new language involved, try to learn it even if, as in Sweden, almost everyone speaks English. I didn't have much time between deciding to go and arriving. I learned on the run with the help of a great Swedish tutor who has become a friend too. However, if you have time to take a language course, preferably one that immerses you completely in the language, take it! You miss a lot if you don't understand the ordinary things of life that are happening around you.

"Think carefully about how to build a new social life beyond work. I have been very lucky in that my landlords have drawn me into their circle of friends and I have joined a couple of social clubs."

And what about the Swedish environment? How did you adjust to that? "I don't find the cold to be much of a problem because indoor temperatures are very well regulated and Swedes say there is no such thing as bad weather, only bad clothes. But I did find sleeping in the light in summer a challenge, solved by buying blackout blinds for my bedroom."

How did you get into RM? "When the Western Australian ministry was being 'downsized' in the late 1980s I realised I needed to know about archives. I enrolled in a course run in Perth by Anne-Marie Schwirtlich, then a senior officer at National Archives of Australia and Ann Pederson, US-born senior recordkeeping lecturer working at UNSW at the time.

"Then ECU decided to develop a full archives and records management program by distance education and I became the coordinator, with the first student intake in 1994.

NEW KID ON THE BLOCK

"This was a considerable challenge, since I was definitely a new kid on the block at the time, both in course development and the recordkeeping profession. The first courses for the program were commissioned to be written by US recordkeeping guru David Bearman, WA State Librarian and former Queensland State Archivist Bob Sharman, ECU IT lecturer Mark Brogan and David Roberts, later New South Wales State Records Authority director. I was lucky to be working with Vicky Wilson, an experienced records manager and active member of RIM Professionals Australasia in Western Australia, who had already written a course in records management. I learned a lot from these experts and from the very welcoming archives and records community."

It's been an astonishing career. What is her benchmark for such success, I wonder? Dr Karen prevaricates: "I'm always too much aware of what I don't know yet, what I haven't read yet or haven't yet done to have one of these!"

Enough of work! Let's get personal. Any new ambitions? "I'm still enjoying working at Mid Sweden University too much to consider another change before retiring. We have research we want to pursue and want to build our PhD program. A strong research program is essential to the survival of recordkeeping as a discipline within universities.

How does she like spending down time? "Gardening has always been something I really enjoy and I miss my year-round garden in Perth. I compensate with a vegetable plot that my landlords have shared with me in their garden and my balcony garden in summer and a collection of windowsill herbs and orchids. The winter temperatures can drop to minus 30 centigrade, so gardening activities are strictly seasonal. I also enjoy meeting and travelling with friends."

When and where was your last holiday? "I'm writing this in London, having been invited to a 50th birthday party and a 50th wedding anniversary in the same week. Next, I'll be spending a couple of weeks in the Lofoten Islands off the north-west coast of Norway with some friends. It's a very beautiful area and, if the weather is okay, we will be able to see puffin colonies and go whale watching. I've never done that before."

Where can old mates reach you? "I'm never far from my email: karen.anderson@miun.se or at Mid Sweden University ITM, Universitetsbacken 1, 871-88 Härnösand, Sweden." iQ

- *Thank you for your time, Dr Karen Anderson and all the best of fortune for the rest of your inspirational career.*

Qualifications

PhD *University of Western Australia*, (2002); Grad Cert Ed (Tertiary Teaching) *ECU*, (2003); BA (Hons) *University of Western Australia*, (1982); Associate of the Australian Library and Information Association – Registration Certificate, (1971). Honours: Fellow of the Australian Society of Archivists, Inc. (2006-)

IF YOU HAVE TIME TO TAKE A LANGUAGE COURSE, PREFERABLY ONE THAT IMMERSES YOU COMPLETELY IN THE LANGUAGE, TAKE IT!

Transform your EDRMS outcomes

As the result of research conducted in 2011 in 107 different organisations, a new model of practice has been developed which offers significant insights into what makes a successful EDRMS project.

BY **MICHELLE LINTON** AND **KEVIN DWYER**

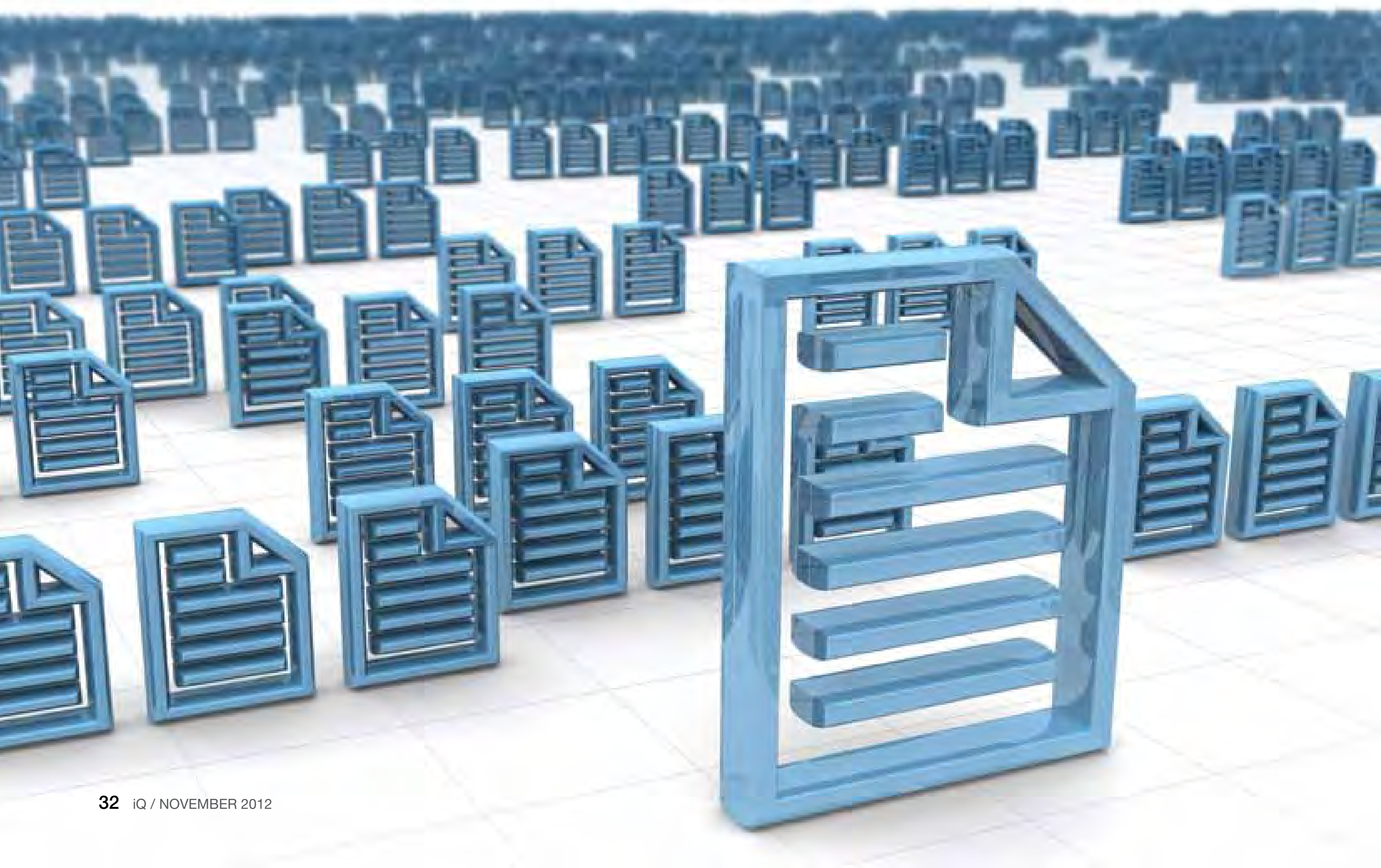
Story snapshot

- Patterns and characteristics: a key focus.
- Finds *all* relevant information, not just the *most* relevant.
- International environments require a specific approach.

In every records manager's heart there is a vision. It is of an audience within their organisation that embraces using the EDRMS. It is of managers happily opening their doors to discuss how to manage records better. It is of receiving a pat on the back from the CEO for securing the information of the organisation, and making everyone's work life easier.

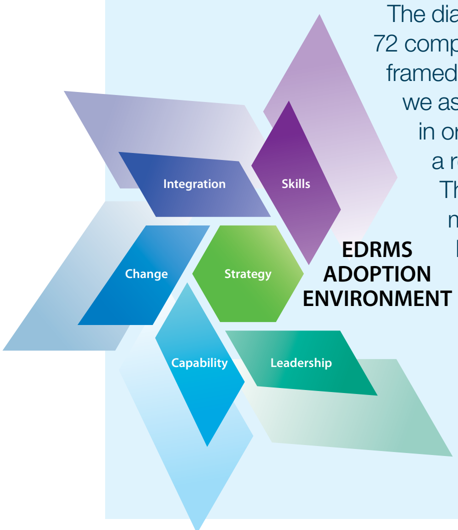
For many managers the vision is just a light at the end of a long, dark tunnel of challenge, but for some managers there is actually some reality in the vision. They have, and continue to, transform notions of information and records management from a world of archiving fitting with the previous century and to be avoided, to one immersed in today's digital world where records and information management is everyone's responsibility and which is desirable.

Developing a framework in which to design and develop the approach to this transformation and reduce the failure rate of EDRMS projects has been our quest over the last three years. We started with the REX Project with Ausgrid (formerly EnergyAustralia) and believed we had the seeds of an approach even before RIM Professionals Australasia rewarded the project with the J Eddis Linton Award (Most Outstanding Group) for excellence and innovation in records management in 2010.



The Transformation Model of Practice

The Transformation Model comprises six critical components and 18 elements which describe the detail of each component. We have tested the model using a set of diagnostic questions[3] with our research group and organisations external to that group against the level of adoption achieved within their organisations, and made this diagnostic available to the industry to self-measure the current strength of adoption projects. The model is not limited to EDRMS implementations. It is equally a model of practice for taking strategic action to build EDRMS adoption post initial implementation.



The diagnostics comprises 72 comprehensive questions framed as statements, to which we ask for a true/false response, in order to gain as factual a response as possible. The responses prove the majority of elements must be in place for a transformation to high levels of EDRMS adoption[4] by end users. Typical of the outcomes we have seen are the examples drawn from our research results illustrated in the Figure 1 & 2.

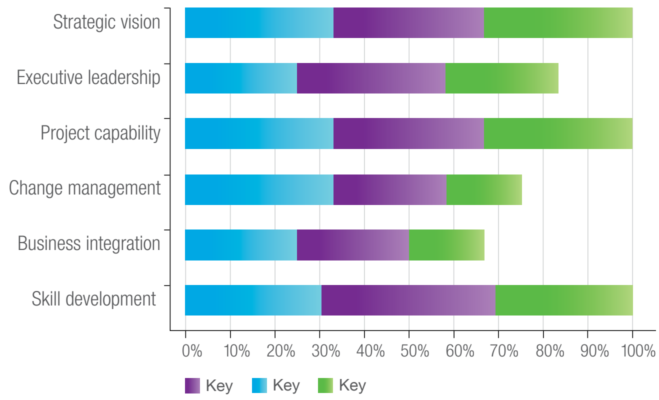


Figure 1: Successful project >80% adoption

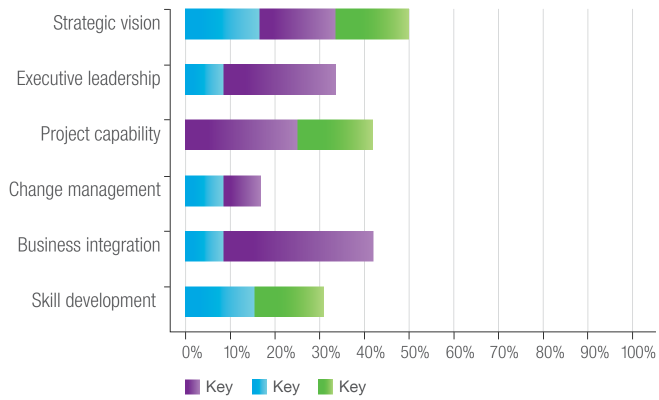


Figure 2: Failed project <10% adoption

Quantitative research supported by RIM Professionals Australasia, conducted in 2011 with 107 organisations, confirmed some of our thoughts and revealed new paradigms which we presented at the 2011 inForum[1] conference and published, in part, in *iQ* magazine[2].

The research gave us and the records and information community significant insights into successful and unsuccessful EDRMS projects and the beginnings of a model for transformation, but not enough to translate into a model of practice.

We selected 20 of the original 107 organisations to represent a cross-section of the industry, and included equally those who achieved success in their project, and those who were deemed to have failed. They participated in further qualitative and quantitative analysis to find out the detail of the structure and execution of their project that underpinned their results. The end result of our research is the Transformation Model of Practice.

The Transformation Model of Practice is a non-linear model, and it is crucial to understand that as a key principle. There are not six steps to this model which, if taken in sequential order equal success. It is a model of practice, which applied to an organisation's particular environment, creates successful individual adoption of the EDRMS and good records and information management practices. The components each team focuses on improving, to maximise adoption within their environment, is dependent on the motivators and blockers to transformation in the organisation and the culture of the organisation.

We can take the Strategic Planning component as an easy example. Unequivocally and not unexpectedly, strength in strategic planning is of benefit regardless of organisation size, particularly in driving Executive Leadership. However a small organisation with less than 100 end users is likely to be weak in the strategic planning component and still achieve the strength of leadership that will carry the project to success. But our research shows it is critical for an organisation of over 500 end users to demonstrate strength in Strategic Planning.

Although we have much more analysis to do and will conduct further research there are some interesting qualitative observations we can make now.

THE FLOW-ON IMPACT OF GOOD PRACTICE

As stated the components of the Transformation Model are inter-related, not sequential. Implementing good practice in one component and/or element will have a flow-on positive impact on another component. This knowledge empowers the records team to build a strategic approach to increased adoption.

Let's say you undertake the diagnostic and the results indicate Executive Leadership within your organisation is weak. You may be generally strong in project capability and skill development, as many organisations are, but the lack of willing engagement by Leaders is a root cause of low adoption. You need to achieve these outcomes:

- Active sponsors who believe the EDRMS benefits the business
- Nomination from the Executive of managers to engage with the project team
- Participation by business units in meetings about the project

PRACTICE/DRIVERS IN MODEL	OUTCOMES
Strategic Planning: demonstrating return on investment from the EDRMS	• Increases probability of active sponsor • Major positive impact on nomination of managers • Positive impact on participation by business
Executive Leadership: providing governance through a RM policy	• Increases probability of active sponsor • Slight positive impact on nomination of managers, but no policy has a major negative impact
Change Management: undertaking a documented stakeholder management plan	• Increases probability of active sponsor • Strong positive impact on nomination of managers, but no plan has a major negative impact • Major positive impact on participation by business
Change Management: undertaking undocumented stakeholder management activities	• Major positive impact on participation by business
Skill Development: experience in demonstrating how an EDRMS can improve business process	• Increases probability of active sponsor • Major positive impact on nomination of managers, and limited experience has a major negative impact • Major positive impact on participation by business

Table 1: Goal – Prioritisation of the EDRMS project by Executive

What are your options? At present many records managers (RM) are flummoxed. They ask for support, explain the importance, and still don't get it from the Executive. At first you may think that you'd need to work on improvements in the area of Executive Leadership, but the diagnostic analysis shows how the outcomes are achieved by operating in other components.

Look closely at the drivers from the Transformation Model of Practice in Table 1, and examine the outcomes of harnessing these to drive prioritisation by the Executive. Select the practice that provides the outcome that is a priority for you, and is most practical to apply in your organisation. For maximum impact add all to your strategic plan and take the steps to implementing them over a defined time period.

Note: If one of the three desired outcomes is not listed as being positively or negatively impacted, then you can assume that current research data indicates the drivers in the left hand column have no impact on that specific outcome.

THE AT-RISK DEMOGRAPHIC

The research provides us with the following demographic information: industry type, size of organisation, required number of end users and number of operating locations. Early analysis of these demographics has revealed a general industry risk and a project team behavioural risk to achieving high individual adoption rates of the EDRMS.

To us, it is self-obvious that larger implementations are likely to need a more structured approach to implementing an EDRMS, but what is the point at which the number of targeted end users becomes a major project risk factor. The research to date has revealed this to be greater than 500. Although a structured approach with a high level of planning may be in place, the evidence points to, for example, a strong trend to a much higher level of disagreement on the objectives of the project, which is not evident in projects with a targeted number of end users below 500. These projects are less stable overall than smaller projects.

Perhaps surprisingly, an increased number of locations do not appear to lead to general weakness within the Transformation Model. This does not mean that these projects are not inherently more challenging to run and deliver results; just that it does not inhibit creating the best possible model of practice on which to run them.

FINISH WHAT YOU START

At the project team level, analysis of several variables reveals that project teams tend not to follow through on the actions required to cement in place the activities which we know drive adoption levels. For example, of the teams (54%) which provided templates for business units to undertake their own file planning, 38% do not equip their people with the skills and knowledge to use the templates. It is excellent that there are an increasing number of organisations recognising that a successful devolved model of records management is necessary for EDRMS uptake, but it is time that 100% recognised the need to follow through actions

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to final outcomes. Half-baked approaches lead to increased frustration and disillusionment within a records team, and from the business units, and may be more damaging than taking no action at all.

In the months leading up to inForum 2013 we will continue the research to validate the Transformation Model of Practice. With increased data we will uncover the relationships between the elements of the model and the industry demographics (such as size and diversity), so that a weighting can be applied to each element. This will better inform the industry on what is critical for an EDRMS Transformation Model of Practice in each type of environment. iQ

• To contribute to this research, and fully understand the model please visit **www.EDRMSadoption.com.au**

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4 A high level of adoption is defined by the authors as being greater than 75% of end users targeted in the organisation project or program.

COMPONENT	ELEMENTS
Strategic vision The level to which goals are defined and set, and business benefits analysed, and risks managed.	• Clarity of purpose • Evaluation of opportunities • Return on Investment
Executive leadership The commitment of executives and managers to prioritising the EDRMS program over other initiatives competing for time and resources	• Appropriate budget • Governance • Prioritisation
Project capability The skills and knowledge available to the team and the degree of collaboration within the team and with outside stakeholders.	• Team cohesion • Analytical planning • Effective execution
Change management The planning and practices to engage with all stakeholders within the EDRMS project.	• Communications • Stakeholder Management • Performance management
Business integration The level at which the RM team works with the business units to integrate the EDRMS into processes and drive business benefits.	• File planning • Process mapping • Process re-engineering
Skill development The breadth and availability of resources and the capability of the RM team to support the end users.	• Training • Coaching • Support

Appendix 1: Description of model components and elements

Ending the cold war between RIM and ICT

The common ground between the ‘information superpowers’ – RIM and ICT – offers opportunities for greater interaction and mutual benefit.

BY **LEITH ROBINSON**

Background: The Cold War

The Cold War refers to the period between 1947 and 1991 when there was high tension between the political superpowers of the Western world, led by America, and of the Communist world, led by the Soviet Union. This article draws an analogy to the hostile relations between the information superpowers – RIM and ICT – and provides strategies to end it. The background to this article is a PhD which included a survey and case studies of four local government areas: Wanneroo, Busselton, York and South Perth.

The 21st century context: The drivers of interaction

The 21st century's home, work and recreation have been transformed by the forces of technological advances, globalisation, financial restriction and user demands. The shifts in context require a new information infrastructure and fresh thinking on how services are delivered, and how the workforce is trained and participates.

THE HISTORY OF THE STRAINED RIM-ICT RELATIONSHIP

Many factors have contributed to the hostility between RIM and ICT. For example, software packages and hardware were chosen by computing specialists with little regard for RIM implications, and there was competition for responsibility, resources and status. The political superpowers similarly competed.

Authors such as Molholt (1985) observed distrust, and an emotional and psychological gap between professional teams. Previous studies report the information staff and the computing centre each feared being made obsolete by the other; rivalry was acknowledged by South Perth participants. There is professional jealousy. For instance, recent data shows that (by the number of employees) the ICT sector is far larger than RIM, and that the median pay for ICT Managers is far higher than that of Records Managers.

Conflicting opinions are held over which sector is ascendant. Wong (2011) contends that records managers are becoming ICT professionals; by contrast Davenport (1994) states, "*It will be difficult to keep technology in a supportive rather than a leadership role given the power of technology experts in many organisations, and the strong commercial clout of the technology industries*".

The strain meant stereotypes arose, as per the Cold War. Most people are familiar with Hollywood's depiction of the Russians (from James Bond films to *Get Smart* on TV), and in this study, the findings are that ICT saw RIM as controlling, and RIM saw ICT as smug.

As Frand and Bellanti (2000) wrote, "*Not even the basics of a co-operative enterprise or understanding existed, and there was no shared viewpoint or interest in developing one*". But circumstances have changed, and this article now discusses the current similarities between the formerly discrete professions.

THE CURRENT SIMILARITIES BETWEEN RIM AND ICT

In the 1990s and 2000s common concerns such as risk management and standardisation initiated discussions between RIM and ICT. The ongoing transformations in context mean the sectors are in upheaval: RIM no longer has a monopoly on information, and ICT no longer has a monopoly on technology. Respective examples of this loss of control are users naming, indexing and storing documents, and "Bring your own device" policies.

RIM and ICT are both affected by the organisational realignment from a print to a digital environment, and by user demands for sharable and remotely accessible data. Common issues are privacy, identity theft, the Cloud, and social media; common issues in the Cold War were the oil crisis and agricultural crop failures.

RIM and ICT roles and practices have been revised, due to the previously named forces. 'Roving' (or floor-walking) to assist staff has been introduced in both departments. RIM now – like ICT, and especially due to the dominance of electronic format –

Story snapshot

- RIM and ICT sectors have each feared becoming obsolete by the ascendancy of the other.
- Often the RIM and ICT sectors attract second career employees.
- Making joint goals and having clearly allocated roles can alleviate tensions between the sectors.

THE EVIDENCE OF COMMONALITIES SUGGESTS IT IS POSSIBLE TO MOVE FROM PAST HOSTILITY TO PRESENT COMPATIBILITY TO FUTURE HARMONY

produces wikis, blogs and webcasts (as observed at the case study sites), does back-up and circulates multiple copies. Both RIM and ICT managers plan, develop and maintain systems for the input, searching, retrieving, updating and the output of information in organisations, hence the mobility of workers between RIM and ICT sectors is increasing via positions such as data mining and information architecture. Interestingly, both RIM and ICT are often second careers.

Gartner Incorporated foresaw hybrid information roles whereby IT, Information Management, Legal and Librarian duties intersect, and a similar prediction was made by the Shire of Busselton. Recent job advertisements indicate this hybridism, such as those for the Manager of Information Resources at the WA Department of Health and the Senior Knowledge Management Advisor at New Zealand's Ministry of Environment.

Some of the core beliefs of the two sectors are shared, such as protecting rights and privileged information, and the Australian Computer Society and RIM Professionals Australasia list common values.

Other examples of affiliations and sector-spanning are journals like *Image and Data Manager*, associations such as the Institute for Information Management, formal Memoranda of Understandings, and jointly hosted and/or experienced conferences, such as *Big Data 2012* (29-31 October, in Sydney).

There is cross-over in RIM and ICT curricula and training, producing hybrid information management/information technology professionals. Subsequently, as Jennifer Trant (2009) stated, "*Collaboration across disciplines becomes a natural way of doing business when your education exposes you to diverse backgrounds and viewpoints*".

The convergence of course design and delivery is reflected in Western Australia by Edith Cowan University offering the Bachelor of Information Technology, with an Information Services major, and nationally by the Masters of Information Management at RMIT being taught by the School of Business, IT and Logistics. The convergence and interaction between the sectors is also evident by Innovation & Business Skills Australia's updating the training packages of CUL11 Library, Information and Cultural Services and ICA11 Information and Communications Technology; and the international *Skills Framework for the Information Age*, a model for assessing ICT competencies.

A number of firms train both sectors – for instance, on email management – and advise on a business's entire information framework. Western Australian examples of such firms include IRIS and IEA, and national examples are Records Solutions and Relevancy Consulting. Further crossover is shown by the recent permission of members of ACS and RIMPA earning points for the Continuous Professional Development (CPD) schemes via attendance at some of the other sector's events.

The evidence of commonalities suggests it is possible to move from past hostility to present compatibility to future harmony.

NONETHELESS, THERE ARE BARRIERS TO RIM-ICT INTERACTION

Different expectations and difficulties in quantifying outcomes impede progress of cross-sector projects. RIM and ICT staff may be sceptical of the interaction, or perhaps fearful that ICT issues will dominate RIM, and vice versa.

Another barrier is prejudices. The case studies reflected that as per the Cold War, 'us-and-them' mindsets prevailed and resistance formed. Knight (2011) reported from New South Wales that the notion of working with recordkeepers so appalled ICT staff that they walked out. By comparison, this study's survey found most respondents were neutral (48%) or in favour (43%) of working together, although remarks from those against included "*what an absolute nightmare*".

Additional barriers are insufficient resources (including space) and disparate terminology and concepts. At the ICA Congress, Alison Fleming from Archives New Zealand reported remarks such as "*I can't get IT to understand – they have no idea!*"

REQUIREMENTS AND STRATEGIES TO FOSTER RIM-ICT INTERACTION

Staff should be encouraged to trust and change rather than be forced to change. They need to see themselves as contributing to (rather than owning) an organisation's information content and systems. Both RIM and ICT are likely to negotiate the terms of the interaction, so it is suggested a mediator be present.

Write down the vision. A likeness is drawn to the NATO and Warsaw pacts in the Cold War. Strong leadership is crucial, and senior-level management buy-in is required for sufficient resources to begin and sustain the interaction. At Wanneroo and South Perth the anticipated financial benefits helped obtain approval.

Make joint goals and establish guiding principles. At one Busselton site, a manager reported "*Everyone knows the ground rules*". Next, determine resource contributions and allocate roles. The clear outlining of authority was recommended by many research participants, and the removal of uncertainty did lead to relationships thawing at South Perth.

Unifying the managerial and financial structures of the partnering services can help (to have one budget, said survey respondents, and "*not to serve two masters*", which would mean being a double agent). The physical design of work areas can aid interaction – in the case studies colleagues shared offices and open-plan desks.

A core interaction technique is communication; the Cold War featured "the red telephone" – the Moscow-Washington hotline. Alan Bell at ICA2012 stated "*tell IT the 'specs' (the specifications) – what you want them to build*". Misdirected and insufficient communication caused problems at the majority of the case study sites, although as a South Perth manager stated "*you simply can't always tell everyone everything that is going on*". Another strategy is formal cross-sector meetings (like the cold war summits), which should begin well in advance of scheduled projects and mergers, and continue throughout. From the case studies, one manager always took a jar of lollies to meetings as an ice-breaker. Unlike the Cold War, they weren't poisoned lollies.

'Getting to know you' sessions are important. Team-building exercises featured at the case study sites: "Talk to people, not about them" was the stance taken by American President Ronald Reagan. Respect builds from learning of the breadth of knowledge the members of both teams possess, and friendliness increases from learning of personal interests. American and Russian aides found they had read the same childhood books. Try company forums to share ideas and best practices and discuss common issues.

Ongoing socialisation is essential, and measures to foster collegiality include combined retreats for information and computing professionals. In 1988 Reagan, Gorbachev and their wives attended the Bolshoi Ballet together; my office held pizza nights.

The breaking down of rivalries is partially reliant upon management and staff recognising their common purpose, as was the case in Busselton. In 1975 the USA and the Soviet Union were part of an international space mission, and the RIM and ICT sectors recently co-operated in the production of MoReq2, the second version of the model requirements for the management of electronic records.

For RIM and ICT in an organisation the common purpose may be handling information throughout its life cycle and, ultimately, seamless information provision. Projects they can work together on include EDRMS implementation, the training of users, and manning a help/enquiries phone and desk service. (Survey respondents particularly supported this last option).

Walters and Van Gordon (2007, p. 392) note, "*Addressing cultural differences is especially important because doing so can help staff develop appreciation for each other and for working together*". My study found that attitude to interaction is neither job-level nor age-related; hence it is necessary for the application of cultural change measures to the entire RIM and ICT teams, to move from Culture shock to Culture change to a New culture.

More strategies are to identify "*what's in it for them*". For instance, the fragile state of the world economy means both RIM and ICT are "*expected to provide an ever-growing range of services with less funds and fewer staff*". Interaction can assist the stretching of resources; President Reagan offered to share Strategic Defense Initiative [weapons] technology. Also, establish reward systems: these may be financial (such as performance-related bonuses for teams) and/or non-financial (such as health memberships and subsidised entertainment).

Form cross-sector teams and decide whether interaction is voluntary or mandatory for the individuals in each section. There

are examples of both approaches in the literature and case studies; and each way has been successful.

Important measures to facilitate RIM-ICT interaction include recruiting hybrid staff, enrolling employees in external cross-sector training, and instructing staff in-house in the role of the other service. Training is vital, due to skill disparity threatening project success and undermining staff commitment. As a Busselton interviewee noted, "*Staff fear looking stupid if they get a task they can't handle*". My study investigated the knowledge required to work in merged services.

The nomination of specialist knowledge required included 'Training and assisting patrons', 'Reference services' and 'Policy and strategy development', thus confirming the probable RIM-ICT joint activities in an organisation. For generic knowledge 'Communication skills' and 'Interpersonal skills' were ranked as equally most required by 25% of respondents; and 'Staff co-ordination and management' and 'Socialisation' were highly ranked as well. These responses indicate awareness of the need to combat potential antagonism. If procedure manuals for each service are prepared, this will also assist staff.

Perseverance is key. A Wanneroo co-ordinator commented, "*I think at the moment we are moving forward but maybe at a slower pace than we wanted to*"; remember peace talks during the Cold War also broke down, and a flexible approach to the interaction should be adopted.

It is recommended that the RIM-ICT service be regularly reviewed. Set short-term and long-term targets; 'quick wins' will build enthusiasm for change. This is evidenced by comments from participants at Wanneroo who said, "*Now even for small things within a bigger project we try to find a way to clump them all together and get everyone working on it*".

The next section of this article examines the advantages of RIM-ICT interaction.

THE ADVANTAGES TO ORGANISATIONS

Lazzari (2011) declares, "*For effective enterprise-wide information success, it is imperative that RM collaborates with IT*". The advantages result from the optimisation of the information asset, whereby the departments combine efforts to support users, across agencies and countries. (This fits with the force of globalisation mentioned earlier). For example, the 2011 Federal Budget included almost $400m over four years to integrate the ICT infrastructure of Medicare, Centrelink and the Child Support Agency.

RIM-ICT interaction increases the return on investment in those departments to an organisation via greater efficiencies and reduced functional overlap. This was the case in the Victorian Government's unification of many support services.

Participants from South Perth advised that integrating teams and sites had "*corrected the fragmentation of our service*". Longer service hours may be possible, if teams are cross-trained and tasked, and delivery of services may be more consistent, and the literature indicates that RIM and ICT can work together in any environment.

Symon (2009) notes synergies of processes also enhance decision-making, and the achievement of compliance and litigation requirements. For example, recent Californian laws about public records mean that the IT departments are now working with the City Clerk offices to respond to requests. Arnold Schwarzenegger, who featured in Cold War films, brought those laws in when he was Governor.

THE ADVANTAGES TO THE INFORMATION SECTOR

Deakin University (2002) reports that professional bodies that work in tandem have a bigger perspective on issues, gain increased impact and influence, and subsequently deliver more powerful advocacy. Similarly, co-operating RIM-ICT departments can share organisational insights and are assured "*a seat at the executive table*".

Assets and liabilities can be balanced – "sharing resources is sensible" commented a survey respondent; practices are improved – "*It's great to be able to take advantage of the experience of the other sections*", and common problems may be solved. Many participants mentioned the shared workload – "*staff can all pitch in to help when it is needed*".

About the author

LEITH ROBINSON ARIM worked in records management in the private sector for 13 years. She is currently undertaking a PhD (Information Studies) at Curtin University, after winning an Australian Postgraduate Award and Curtin Research Scholarship. She is a councillor for the WA branches of RIM Professionals Australasia and the Australian Society of Archivists.

Staff competencies increase from working on joint projects. My research and also Considine, Jakubauskas and Oliver's (2008) study demonstrate that higher levels of motivation and job satisfaction ensue from greater task variety. Furthermore, if professionals gain cross-sector skills they will strengthen their level of job security and increase their future job opportunities. This is particularly relevant to recordkeepers due to forecast job prospects and industry growth being less than that for computing professionals.

However, there is a negative side to interaction, which is explored in the next part of the article.

THE DISADVANTAGES OF RIM-ICT INTERACTION

Ingles and his fellow researchers (2005) note functional integration is the greatest cause of role upheaval, and that the initial impact on staff morale may be negative. A manager from South Perth reported "*staff that were included were 'flat out'; those that weren't felt excluded*". Projects may not conclude as planned, leading to dissatisfaction. A survey respondent was wary that "*the benefits may be one-sided*".

Independence reduces if RIM and ICT converge. Caroline Brown from Scotland who was at ICA2012 repeated comments of "*The IT people are taking over!*" There can be job losses. Marshall (2011) advises that mergers of services in Tasmania reduced staffing by 11%; my survey respondents predicted a decrease of 8%. Taylor, Steemson and Howard (2011) report that staff unhappy with new converged environments may resign (they defect, as per the Cold War, to other organisations), and this was evident at the case study sites. Staff turnover, as per defections, constitutes the loss of valuable knowledge and experience.

CONCLUSION

It is acknowledged that despite homogenising forces, there will be always be some differences between RIM and ICT professionals. Recordkeeping activities do work effectively when there is a technology base, yet technology is not a surrogate for professional practices, thus both industries will continue. However, cross-disciplinary education, training and tasking are important strategies for organisational success.

The Cold War ended due to transformations in world context and in the superpowers themselves; it was no longer relevant, reasonable or profitable to be antagonists. A similar transformation in the context of RIM and ICT means détente is appropriate and achievable. **iQ**

- This article is based on a presentation given at the RIM Professionals Australasia inForum in Perth on 30 August 2012. References are available, email: ltkrobinson@bigpond.com

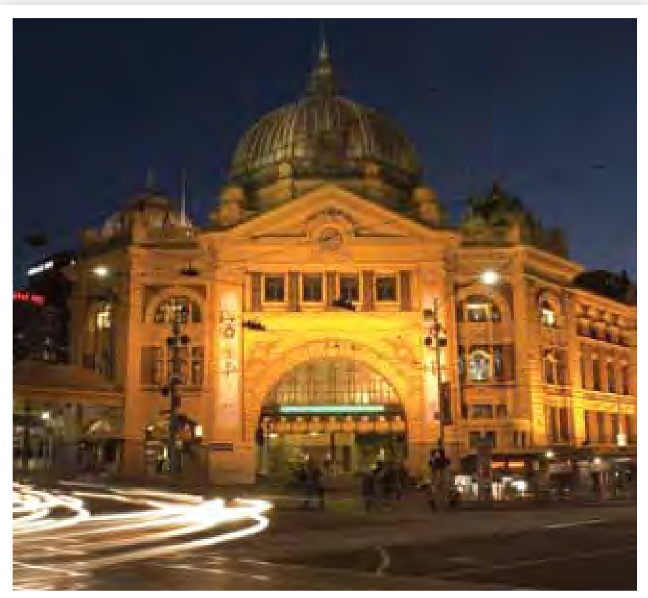
View from the floor

inForum 2012: Business + RIM + ICT = Strategic Success

inForum

"This is different," said RIM Professionals Australasia Chairman David Pryde as he took to the 'stage' to introduce the first in the series of one-day multi-stream conferences in three different cities that made up this year's inForum. Melbourne, Perth and Wellington hosted the conferences with the theme 'Business + RIM + ICT = Strategic Success', which explored how records and information management works in conjunction with other key roles to achieve strategic success. Here's the wrap-up on each event.

BY **HEATHER MILLAR** AND **MIKE STEEMSON**



Melbourne: 28 August

inForum's first one-day program kicked off in Melbourne at the Ibis Melbourne hotel, with Rebecca Grant, from RIM Professionals Australasia's NSW Branch chairing the event.

RIM Professionals Australasia Chair David Pryde declared the conference officially open. "We are told records managers are becoming extinct", he said, "and will be replaced by digital information managers – I believe it is the opposite. How records managers work with ICT determines the critical success of these projects. This inForum is designed to look at some of these issues, as well as giving you the opportunity to meet other people in your industry, exchange ideas, build networks, and access professional development opportunities. By the end of the day you should feel empowered, confident and have gained insight, a mind enriched and armed with proactive strategies to implement those that are right for you."

David also then thanked the sponsors and members of the vendor community, saying it was delegates "best chance to get the intelligence that is in the market today."

He then welcomed the first keynote speaker for the convention, Miriam Nisbet, Director of the Office of Government Information Services (OGIS) at the National Archives and Records Administration in the US whose presentation was titled 'Openness: Are we there yet (and how will we know)?'.

"It was the intention of the nation's founders to have open government in the US," said Miriam. "After all, you must have an informed citizenry to have a democracy." With this in mind, it was the Obama government's intention to improve the way the US Freedom of Information Act (FOIA) works.

She explained that the federal law and its counterpart state laws are now well established as an essential way for the public to learn about the inner workings of the government, fostering transparency and accountability and nurturing the nation's democracy.

"The government has the ability now – more than it ever has – to make its records available to the governed, the public, without waiting for a request to be made under the FOIA.

"Records managers are the backbone of open government," said Miriam. A summary of her paper can be found on p14.

The second keynote speaker for the morning was Sherry Xie a PhD Candidate and Adjunct Professor at the University of British Columbia, Canada. Sherry has worked as subject librarian, archivist and records manager in university and government settings in China and Canada. She spoke about her research on and solutions for digital information management and digital preservation.

After the morning tea break – during which time delegates had the opportunity to explore the trade exhibition – Kathryn Crawford and Kirsten Wright gave a lively talk on social media at Victoria University in the Central Room. Kirsten, the University Archivist, discussed how social media sites maintained by VU staff have grown exponentially, leading to the need for greater governance and control of VU's social media outputs and the need to provide direction and advice to VU staff wishing to use social media. The presentation focused on two elements of VU's overall media strategy: the development of a social media register and the capturing of records of VU's social media outputs.

The concurrent stream in the Town Hall Room featured vendors from the trade exhibition sharing useful industry information about their products; while delegates in the Central Room, were given a standards update from Judith Ellis, from Enterprise Knowledge.

During lunch, RIM Professionals Australasia announced the winners of its annual awards (see pages 48-51 for more on this).

After lunch the speaking program continued with sessions from Joy Siller, of Siller Systems Administration and Cathy Meynell-James of the Victorian Public Records Office.

The second last speaker of the day was Allen Hancock, who – as anyone who knows Allen would know – has a flair for the literary, having won *iQ*'s Article of the Year twice previously. Allen's presentation on 'The Getting of Wisdom' considered the RIM lessons one could learn from other people's mistakes – starting out with a poem and worked Aesop's Fables into the mix.

Finally, Alan Bell from the University of Dundee in Ireland took the lectern, again with a literary bent with musings from the English author and filmmaker Clive Barker on dreaming and community. Alan went onto consider whether as we adopt new methods of engagement, and as our users and potential users adopt new ways of communicating with each, recordkeepers are struggling to find a signal amongst the noise of online communication?

Closing drinks were then held and the RIM Professionals Australasia team prepared to fly out to Perth.

Perth: 30 August

inForum's Perth conference at the Kings Perth Hotel saw the largest turn-out of all three conferences with 80 delegates.

Lisa Read-White of RIM Professionals Australasia's WA Branch chaired the proceedings. Lisa had attended the ICA Congress in Brisbane, and commented that it had been a very exciting program of speakers at ICA, and "what a great opportunity we now have to hear some of them on the program here in Perth".

First on the program was Alan Bell, who set the tone for the day by addressing the question of whether new forms of engagement and communication require a fundamental change in the role of the records and information manager.

Alan was followed by Göran Samuelsson, Assistant Professor in Archives and Information Science at Mid Sweden University and Project Leader for CEDIF, the Centre for Digital Information Management. Göran – in a presentation that highlighted the similarities and differences between the archivist and the enterprise architect – suggested ways to achieve the objective of working proactively together, by drawing on his research undertaken within CEDIF. He also highlighted the prerequisites for a joint master plan of the emerging information landscape.

Debbie Cutts then presented a case study on the vital information project implemented by Fremantle Ports to protect their information. The presentation took participants through the processes followed by the organisation and the tools used to manage its vital information. Debbie pointed out how difficult it was at times to bring about culture change, when people thought "what's the point of managing vital information when it's all in TRIM!". But by working with the people and not the systems, the organisation's information culture changed over time.

Janine Douglas' presentation drew an analogy with the Red Queen, from *Through the Looking Glass*, who said: "*Now, here, you see, it takes all the running you can do, to keep in the same place. If you want to get somewhere else, you must run at least twice as fast as that.*" Janine suggested that information managers can feel like they have to run twice as hard just to maintain the status quo. Drawing on recent empirical research undertaken in the WA public sector and from her experiences in public and private sector organisations, she went onto suggest ways in which information managers can influence the strategic view of information and information management in their organisations.

Then it was time for lunch and the announcement of RIM Professionals Australasia's awards. Lisa Read-White, in presenting the awards, commented on how good it was to see some locals winning this year. (See pages 48-51 for more on this.)

After lunch the speaking program continued with a session from Ineke Deserno, a PhD candidate at Monash University, who lives in Belgium and works for NATO. Ineke considered the evidence base for corporate social responsibility in recordkeeping. She was followed by another PhD candidate Leith Robinson, of WA's Curtin University. Leith's paper can be seen on page 36.

Joy Siller discussed the changing roles and functions of both RIM and IT professionals and the ideal positioning of information management within an organisation (and why) in her presentation on 'Information Technologists, Records Managers & Enterprise Content Managers: The case for aggregated information management roles'.

The final speaker of the day was keynote Karen Anderson, the Foundation Professor of Archives and Information Science at Mid Sweden University and Professor II at Oslo University College. Karen – who features in our 'RMs abroad' feature on p30 – presented a paper which drew on research in several organisations undertaken within the CEDIF at Mid Sweden University. "Many archivists considered that it is not their role to participate in wider information management strategies, preferring to focus on the capture of records into 'e-archive' without recognising that the information in the archive is a potentially re-usable business asset' said Karen. "This research contributes to an understanding of information cultures within organisations."


Closing drinks were a good way to network with other RIM professionals

As in Melbourne, the concurrent stream featured vendors from the trade exhibition who spoke throughout the day, and the day concluded with closing drinks.

Wellington: 31 August

When inForum 2012 went to Wellington, the earthquake-prone Kiwi capital, records management tenets were shaken to the foundations with magnitude 7.5 thoughts like "EDRMS has failed", "marginalise compliance", "reflect yesterday's practices" and, perhaps even more unnerving "WikiLeaks teaches valuable lessons".

The seminar's fortunate 50 delegates listened in near-disbelief at what they were feeling. First shocks came from New Zealand's top information manager, Archives New Zealand's John Roberts, Director, Client Capability Group. He talked "a little bit of what do you think we're doing and why we're doing so much bad stuff".

Then, NSW State Records Senior Project Office Cassie Findlay put the boot into well-worked principles with commendations like: "WikiLeaks is a kind of halfway house between the old and the new form of archives."

And, another Kiwi specialist, Information Manager for the NZ government regulatory Electricity Authority, Suzanne Jones, had more after-shocks with a novel concept: "Information increases in value the more it is used."

John Roberts set the paradigm for the day saying: "I think there are huge opportunities for us to take a much richer, much more powerful view of our role as recordkeeping professionals in organisations than we sometimes have, historically."

He put it in a nutshell, then: "As professionals, we're all in the business of understanding, judging, looking at competing priorities, tensions, making choices, giving advice. A business shouldn't do stuff because we say it's good recordkeeping practice. That's just a nonsense. Let me say that out loud. It's a nonsense for us to say business should do dumb stuff because it happens to look like good recordkeeping."

Another of his bugbears: "So why do we focus so much on compliance? My suggestion, or my challenge, to you is that it's an easy way out so we don't have to think about what the right solutions are, what the choices and trade-offs really are. A compliance mentality means that somebody else has given us the answer. All we have to do is implement it. I don't think that is consistent with the role we aspire to as professionals."

He slammed reliance on EDRMS, too, insisting: "They were a good idea but they were essentially an automation of a paper paradigm. They perpetuate this idea: 'you do your business and, if you can get around to it and you're not too busy and you can remember actually how to do it, you create a record afterwards'. We can do better."

He had a go at RM standards, too, in his guise of gamekeeper turned poacher, saying provocatively: "Sometimes, they're just a cost." And he explained why!

Cassie Findlay had an admiration for what her countryman Julian Assange had done through the WikiLeaks webpages. "What can archives learn from WikiLeaks? That we would do a better and more honest job if we acknowledged and accommodated the fact that recordkeeping is, in fact, a series or collection of political acts."

She posited that the decision to make or not make a record, the activities that we participate in as professionals make us all 'political actors', a most unsettling thought. She went further: "As recordkeeping professionals, we should be extending ourselves beyond the standard government archives' single perspective setting and be about deploying robust

» IT'S A NONSENSE FOR US TO SAY BUSINESS SHOULD DO DUMB STUFF BECAUSE IT HAPPENS TO LOOK LIKE GOOD RECORDKEEPING «

JOHN ROBERTS

contextualisation and access services to recordkeeping systems that sit in disparate contexts and offer a range of perspectives at once."

The role of the contemporary information managers, she insisted, should not be just to serve as gatekeepers waiting for decades before making the raw materials of history public in piecemeal form. Rather, it should be as trusted guardians and providers of timely evidence, use of which would allow an honest course for society.

Ultimately, it was the electricity worker, Suzanne Jones, who shocked with an entirely mercenary memo. She declared: "We need to be very clear on what the value of information is. We talk about return on investment. The other economic argument that I like is so, so simple." And it was obvious, once she'd said it.

"Information increases in value the more it is used. When we're thinking of things like office productivity I think we need to get the economic argument in front of people so we don't let the baby go with the bath water. The drive to lose costs from the business environment mustn't lose the sense of the value of the information. It's not an inconvenience, it's not an impediment. It's about realising actual value in dollars."

Then, at last, there was some good news. Land Information NZ's Knowledge Leadership Manager Janet Upton told what could be done in successful enterprises as "the KM team works across traditional silos to build a new, joint RIM/ICT future that is good for business" – inspiring processes explained entirely in her feature on p18. iQ

Our exhibitors

RIM Professionals Australasia would like to acknowledge inForum's sponsors and vendors. This year, vendors were presented with a new challenge – three different rooms over three days at three different venues/conferences, but they coped admirably!

Fort Knox's Scott McKibbin (left) and Danny Gunn

Wellington: Background Ezescan stand, foreground Linton winner Stephen Clarke networks over a cup of coffee

"With the diverse geographical locations for this year's inForum, we decided to send a different staff member to each of the shows. Fabian handled Melbourne, Steven took on Perth, and Demos flew over to NZ. This allowed us to have someone fresh at each show, and avoided the logistical nightmare of having to ship gear from/to three locations.

"Not only did we exhibit at each show, we presented as well. People commented on how good our stand looked at each conference venue along with great feedback on our presentations.

"Once again this year we took on the role of being a major sponsor. It's our way of supporting the important work performed everyday by records managers.

"We look forward to exhibiting, speaking and sponsoring at inForum 2013."

– Mike Kirkby, Ezescan

During coffee and lunch breaks, delegates had plenty of opportunity to mix it up with the vendors and ask questions, view product demonstrations and stockpile promotional material. They also had the chance to avail themselves of the giveaways – from sweet treats to squishy de-stress toys – and to take part in the numerous competitions, surveys and prize draws put on by vendors.

Without our vendors commitment to research and development, without marketing and sponsorship of events like these, there would be little innovation and very expensive conventions. Many thanks from RIM Professionals Australasia to all those who took part. **iQ**

Melbourne: Cate Stokes at the InfoXpert stand talking to Martin Donaldson

Melbourne: Alan Chate (ACS) and David Pryde, RIM Professionals Australasia Chairman of the Board

"As a relatively new player in the Electronic Records Management field, TechnologyOne found the inForum conventions a useful forum to connect with a large number of Information Management professionals in one place."

– Geoff Moore, TechnologyOne

Our Sponsors:

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Bronze sponsor – ezescan. transforming paper into knowledge

inForum 2013 – Canberra

From 8 to 11 September, at the National Convention Centre in Canberra, RIM professionals will gather to explore the theme of 'Information Governance'. The 2013 program offers a plenary stream, complemented by site visits to a number of Australia's national information institutions such as the National Library of Australia, National Museum of Australia, National Gallery of Australia, National Archives of Australia, National Film & Sound Archive and Australian War Memorial.

ICA Congress report

World politics tensions heat up ICA's crowded Brisbane congress

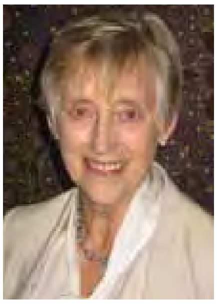
BY **MIKE STEEMSON**

The bitter tensions of modern world politics illuminated a number of ICA Congress sessions in Brisbane in August; some of them rather close to Australasian home. The quadrennial congress, for the first time in the southern hemisphere, attracted 1,000 delegates and 200 presentations in a labyrinthine cornucopia of information management policy, practice and prophecy.

Amongst scores of more conventional workshop and lecturer presentations, ICA made time for fascinating debate on the information management spin-offs from WikiLeaks and its founder Julian Assange, the Australian citizen who was, at the time, hiding from British authorities in London's Ecuador embassy. On another day, a Hong Kong academic stood up to berate his Chinese "special administrative region" for ignoring recordkeeping.

It was all rather brave, a bit scary and far removed from the more comfortable, cloistered calms of the Triple A discussion paradigm: accessibility, appraisal, and accountability.

Dame Stella Rimington



Former British MI5 chief, the elegant Dame Stella Rimington, started it with her keynote, *Secrecy and Accountability: Archives in a WikiLeaks World*. Before becoming a British spy and, later, the first MI5 director general to be officially identified, Dame Stella trained as an archivist, an interest she resumed on retirement. She doesn't think much of our WikiLeaks hero and didn't mince her words about it to the conference.

She blamed the US Government for the "so-called secret database" that provided Mr Assange the opportunities. She said: "What is not good or healthy in my opinion is the indiscriminate pouring out into the public domain of screeds of leaked documents by Julian Assange and his WikiLeaks organisation including information about live sources in vulnerable positions thereby putting their lives at risk."

And she warned: "The effects of the WikiLeaks action seems most likely to be that more and more information will be protected in more and more complex ways contributing to less rather than more openness and less information than ever being available to the public about what's being done in their name which must be the absolutely opposite effect of what WikiLeaks was seeking."

The social program at the ICA Congress delighted and entertained.

PHOTO: HAAK78/SHUTTERSTOCK.COM

About the author

Former London newspaperman MICHAEL STEEMSON, ARMA, is the principal of the Calderson Consultancy in Wellington New Zealand and a member of the editorial committee of *iQ*.

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

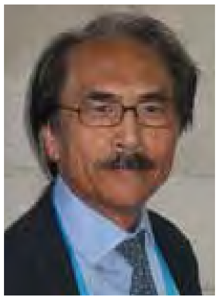
Cassie Findlay

An hour later, in an entirely separate presentation, NSW State Records' feisty Digital Archives Project Manager, Cassie Findlay, took a much more positive view of her wayward countryman Assange's legacy. She told her packed breakout session in Room M2 of the vast Brisbane Conference Centre:

"The arrival of WikiLeaks at this particular point in history can teach archivists and recordkeepers some extremely valuable lessons: lessons that, if properly heeded, will enable the archival profession to deliver on some of its more grandiose claims about ensuring accountability for the powerful and healing and reparation for the weak."

What lessons? "That we would do a better – and more honest – job if we acknowledged and accommodated the fact that all of us working in recordkeeping are political actors," she said. The role of contemporary archives was to serve as a "trusted guardian and provider of timely, useable evidence, the use of which will allow us to steer an honest course for our society."

Simon Chu



Hong Kong's dapper information management maverick, Simon Chu, was slotted into the last session of the day so quite a lot of delegates missed the courageous blasting he gave his former employees, the Hong Kong Government over its "empty talk of preservation of democracy heritage".

Until 2007, he was Director of the Hong Kong Government Records Service (GRS). Now he teaches history at the Chinese University of Hong Kong, chairs the Hong Kong Archives Society and goes public with the crusade he used to wage behind official secrets constraints. He told the conference: "The tragedy for Hong Kong public records is that Hong Kong has no archival laws and the government refuses to enact any."

He revealed: "Government agencies follow their own, individual guidelines but do not transfer records to the public records office. Records are being destroyed without Government Records Service approval. In 15 years there will be no public records of Hong Kong. No records, no history!"

After his passionate speech, when asked whether he was concerned at speaking out so openly against the Chinese authorities, he said cheerfully: "I don't care. I wasn't a popular figure with government when I was in the GRS, one of the vocal minorities who criticise the administration while I was still an official." **iQ**

OUTSTANDING ACHIEVEMENTS AWARDED

The RIM Professionals Australasia Awards were presented in three different cities as part of the series of inForum conventions in 2012.

J Eddis Linton Awards 2011-12

Introduced in 2000 and named after one of RIM Professionals Australasia's founding fathers, the J Eddis Linton Awards celebrate outstanding contribution to records and information management across three categories, individual, group and student.

INFORMATION PROFICIENCY MOST OUTSTANDING INDIVIDUAL

Winner: Stephen Clarke, NZ for his outstanding contributions to ISO RIM standards (see right)

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

STUDENT OF THE YEAR

Deborah Talbot (see p 51)

This category is awarded to a student – full or part-time – who has achieved excellence in educational studies in records and information management in the previous 12 months.

EZESCAN MOST OUTSTANDING GROUP

Winner: Western Australian University Sector Disposal Authority Working Party

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

Western Australian University Sector Disposal Authority Working Party. Front row left to right – Sue Adams (ECU), Michelle Lillico (UWA). Back row left to right – Debbie Crudass (ECU) Natalie Mitchell (Curtin) Narelle Crichton (UWA). Absent, the representative from Murdoch, John Farley.

Stephen Clarke (left) accepting his award from RIM Professionals Australasia Chairman of the Board, David Pryde

'Rock star' Stephen NZ's first J Eddis Linton Most Outstanding RIM professional

The NZ Inland Revenue intranet news boasted about the principal information strategist last month: "If there are rock stars in the records and information management world, Stephen Clarke would be one of them."

The excited news item was announcing that Stephen Clarke, MRIM, six years with the IRD, had received the RIM Professionals Australasia's J. Eddis Linton Award for the Most Outstanding Individual, the first NZ member to receive it. The Association's Chair, David Pryde, FRIM, made the presentation at the inForum 2012 seminar in Wellington. He told the gathering: "I am extremely proud to convey the company's highest award for excellence to a Kiwi whose reputation internationally is as well-known and celebrated as in Wellington."

The Eddis Linton award citation said that Scotsman Stephen, "has contributed to many standards that provide the international environment for digital recordkeeping eg, as a member of the Experts' Review Group for MoReq2 and by contributing to ADRI and CAARA publications".

It went on: "Stephen is the first RIM professional to have achieved the outstanding distinction of leading the development and publication of four ISO RIM standards in the same financial year (2010-11)."

Praise came too from the IRD Group Manager, IDS Strategy and Business Engagement, Geoffrey Frost, who told the department's intranet: "Stephen doesn't just represent Inland Revenue in the international information management standards arena, he actually represents New Zealand. This award is recognition by his peers for the outstanding work that Stephen has done over a number of years."

Stephen arrived in New Zealand from Britain in 2006 and worked at Archives NZ where he managed the development of the Archives' Digitisation Standard and was lead technical author of the mandatory Create and Maintain Standard for Full and Accurate Records. He is married to Sue and they have two children.

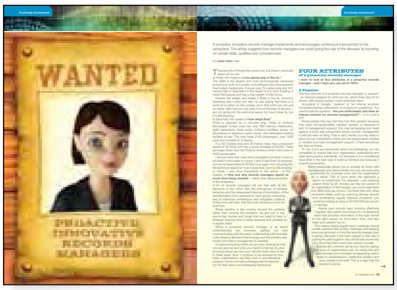
Recall Article of the Year Award

This award recognises quality written contributions to RIM Professionals Australasia's publication *iQ* Magazine. Authors are judged on their ability to inform, engage and inspire readers, while displaying a sound knowledge of their subject.

FINALISTS


Where history meets current records

- *Where history meets current records*. By Noela Bajjali, November 11



- *Wanted: proactive, innovative records managers*. By Chris Fripp, February 2012


2020: Navigating the Information Tsunami

- *2020: Navigating the Information Tsunami*. By Debra Leigo, February 2012


At the risk of remaining unheard

- *At the risk of remaining unheard*. By Kevin Dwyer and Michelle Linton, May 2012


How to rebrand records management to encourage support and collaboration

- *How to rebrand records management to encourage support and collaboration*. By Janet Knight and Kate Cumming, August 2012

WINNER

Winner: Janet Knight & Kate Cumming – How to rebrand records management to encourage support and collaboration (*iQ*, August 2012)


Janet Knight (left) and Kate Cumming, winners of the Recall Article of the Year Award

How you can be in the running for the 2012-13 award

Every article/paper published in *iQ* between now and August 2013 automatically goes into contention for the 2012-13 Recall RIM Professionals Australasia Article of the Year Award. There is no need to fill in an entry form. As always, the judges will be looking for articles that inform, engage and inspire readers, while displaying the authors' sound knowledge of their subject. So, set to work on your potentially award-winning article today.

- Send *iQ* submissions to editor.iq@rimpa.com.au.

Branch & Chapter Recognition Awards

Recognises the ongoing efforts of volunteer members at Branch/Chapter level in a number of categories.

Most Active Branch
Winner: Queensland Branch Based on the number of events held by the branch in the past financial year

Most Active Chapter/SIG
Winner: NSW Local Government Chapter Based on the number of events held by the chapter/ SIG in the past financial year

Most Unusual Event
Winner: Queensland Branch for their 'The Death of John Hancock' Based on a RIM related event with a different approach or unusual topic base

Best Attended Branch Event
Winner: Victoria Branch for 'Victorian State Seminar' Based on the number of participants who actually attended a single event (excludes events organised by Head Office)

Most New Members
Winner: Australian Capital Territory Branch The branch which had the largest number of new members (based on %)

Best Newsletter
Winner: New Zealand Branch The branch newsletter deemed to be the most informative and visually interesting

Most Collaborative IAM Event
Winner: Australian Capital Territory Branch The event held during IAM which involved the highest number of collaborating bodies represented

Rumpelstiltskin Awards

These awards recognise quality contributions to the RIM Professionals Australasia Listserv and Forums in a number of categories.

Listserv / Forum Discussion Award
Winner: Claire Boston for 'Records Managers and the Privacy Act' For optimal usage of the technology to share and exchange information in a group setting.

Listserv / Forum Announcement Award
Winner: Information Enterprises Australia staff for 'Consistent promotion of industry specific topics and encouraging professional development seminars'
For excellence in one way announcements that demonstrate the ability to reach the right people with the right information at the right time.

Listserv / Forum Innovation Award
Winner: Andrew Warland for re-posting Listserv topics such as 'Death of a Document' For overall innovation in the implementation of Listserv / Forums.

Grand Prize
Winner: Paula Smith for 'consistent constructive support and promotion of RIM practices and principles' For the 'author' with the most successful and beneficial posting. This award recognises the positive results that organisations and individuals can achieve using email list / forum technology. iQ

THE REWARDS OF VERSATILITY

Deborah Talbot is the J Eddis Linton Student of the Year for 2012. She outlines the many twists and turns her career path has taken and explains the importance of taking up opportunities and continuing to learn new skills.

I've been employed in Information Management in the corporate sector for over 30 years, entering the workforce as a Library Clerk the year after completing high school, then commencing a Bachelor of Applied Science (Library Studies) part-time at Curtin University for a couple of years. During this time I married but continued studying and was about to commence my last semester in this course when I had to drop out due to the birth of my first child. This was in the late 1970s when married women had to resign from the public service and working mothers were in the minority, so I spent the next 10 years as a housewife and mother to four young children.

Then I returned to the workforce as a geophysicist's assistant where my duties included managing the seismic tape library and data validation. After nine months I moved to a Records Manager's role at the Perth Mint which included setting up a small library and managing the archives. This set me along my path for the future. Within a year the Banking Arm of the mint was purchased by the then R&I Bank of Western Australia and a niche precious metals bank was established called R&I Gold Bank and I was given the role of Information Resources Manager and continued to incorporate the duties of records manager, librarian and archivist. After 18 months, during the 1989 recession and WA Inc, R&I Gold Bank was absorbed into the parent company. The R&I Bank and many jobs were made redundant. My role was to be one of those redundancies, but I chose not to let that stop my career progress and wrote to the Managing Director of the R&I with a job description document detailing a new role providing a current awareness service and specialist research duties to the Executive Committee. I was successful in this move and spent a couple of months as the sole employee of the old business archiving their records while moving into the new role.

RETURNING TO STUDY

Shortly after this time I went back to Curtin to return to the Library Studies degree only to find that I almost had to start again and was exempted from one semester only. I recommenced the course on a part-time correspondence basis and finished it within three years while working full-time and raising four young children. At the end of the course I received the Dynix Award for Information Technology in Librarianship.

I stayed with the bank for 15 years and took on a number of project management roles including corporatisation and privatisation (when the name changed to BankWest), corporate image, centralisation of the lending department which required the development of workflow and systems to

The J Eddis Linton Student of the Year for 2012 – Deborah Talbot

deliver quality records management including the introduction of the records management system RecFind to track files, thus introducing barcode tracking to the organisation. I was also responsible for writing and reviewing all the bank's policies and procedures, implementing an intranet, developing mobile banking systems and moving the bank from a mainframe dumb terminal system to pcs and laptops. I was heavily involved in the introduction of ATMs, mobile banking, supermarket banking and internet banking. This was my first taste of quality knowledge management systems and I knew this was the direction I wanted to move into.

A BALANCING ACT

In 2002 after completing a year's maternity leave (after the birth of my sixth child) I was made redundant and took a well needed trip to the UK and a few years' break before returning to the workforce. Attempting to maintain some life balance I decided to return to part-time work and job-shared at Iluka Resources for three years as Information Specialist. During this time my duties involved running the library with a major focus on records and archives management. We also upgraded TRIM from a records management system to include electronic records management and undertook an information audit which involved travelling to all mine sites in Australia interviewing staff about their information and knowledge activities. While at Iluka I returned to part-time study and completed a Graduate Certificate in Document Management from RMIT via the internet. I thoroughly enjoyed studying this way, interacting with lecturers and fellow students via blogs.

At this stage my husband became ill so I chose to move to a less stressful job and moved to my old school as a part-time records officer. This gave me school holiday breaks and the ability to work school hours. However, I missed the corporate environment and after 12 months started work with Rio Tinto Exploration as Information Specialist running their library and managing a scanning project.

Four years later we have completed the scanning of about 80,000 technical reports and increased the library clientele beyond Australia to a global coverage. In 2009 I decided it was time to return to study and commenced an online course in Masters in Information Management majoring in Knowledge Management through the University of Canberra. I really enjoyed interacting with students from around the world and sharing IM experiences. The course covered Leadership, Knowledge Management, Communications, Information Architecture, Social Networks, etc. and I have learnt a whole new set of skills and greater understanding of knowledge management system applications. My final unit in Social Networking was combined with undergraduate students (though marked according to the level being studied). Some students doing this unit were from other backgrounds (Communications or IT) and I found myself mentoring some of the students regarding basics in records and information management which was missing from the course.

NO MATTER WHAT HAT I AM WEARING I ALWAYS SEEM TO BE INVOLVED IN TRAINING AND EDUCATION OF STAFF AND REALLY ENJOY MENTORING MY STAFF

I continue to wear a number of hats including that of librarian, records manager, archivist, data and information specialist, and now Business Administrator for our SharePoint 2010 rollout which is being used as an EDMS. No matter what hat I am wearing I always seem to be involved in training and education of staff and really enjoy mentoring my staff. Even those who have moved on to other jobs in other companies contact me for mentoring.

I continue to be involved in professional development attending or presenting at conferences and workshops with a particular interest in the future of information management because I am passionate about my industry. I was on the branch council for the RMAA in the 1990s and will probably continue with more study in the future. My family have asked me to take at least one year off before I start my PhD, but I'll probably take two. I seem to start a new degree course about every 10 years, but I probably won't wait that long for the next one. Learning has become a hobby of mine. iQ

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Continued from page 2

The principles of strategic planning

Conduct an environmental scan to collect data to answer questions about perceptions, needs, wants, and staff climate from all stakeholders and allow them to identify their 'future state'. The environmental scan is a key on-going process for internal and external honesty and openness to changing conditions. It identifies strengths, weaknesses, trends and conditions drawing from internal and external information.

4. Identifying the gaps: setting goals and objectives

The measurement between current performance and future state is known as the 'gap', and it allows you to identify areas that need improvement or enhancement. This gap analysis is usually organisation-wide in terms of strategic planning however limited, more granular assessments can aim at business direction, business processes, quality assurance, information technology, and finance or performance.

Goals are simply a clearer statement of the visions, specifying the milestones to be achieved if the vision is to become a reality.

Objectives are clearer statements of the specific activities and tasks needed to achieve the goals, with resources, key performance outcomes and measurements for success clearly specified.

5. Communication and buy-in

Strategic planning is a tremendous communication and marketing opportunity, but many don't use communications to their full potential. A communication plan must have 360-degree capability which will carry your messages but also allow stakeholders to 'buy into' the strategic planning process through their feedback.

By communicating regularly, advising people what is happening and openly discussing issues you will reduce or eliminate rumor; reduce fear of the unknown; get an honest staff climate from feedback or submissions; inspire stakeholders to follow the vision; and help prevent unwanted surprises.

Tools are a good thing in the right hands – and a marvel in the hands of an expert. Only training and experience can turn the right hands into an expert. I would like to finish with two quotes from our era that really say it all.

"The Stone Age was marked by man's clever use of crude tools; the information age, to date, has been marked by man's crude use of clever tools"
– Unknown Author

"If you give people tools, [and they use] their natural ability and their curiosity, they will develop things in ways that will surprise you very much beyond what you might have expected."
– Bill Gates

David Pryde

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