



# **“Liquid archives”**

## **Background changes and trends in today's Records Management**

**Jordi Serra Serra**

Master's Degree in Records and Information  
Management in Business (MGDIE)  
University of Barcelona

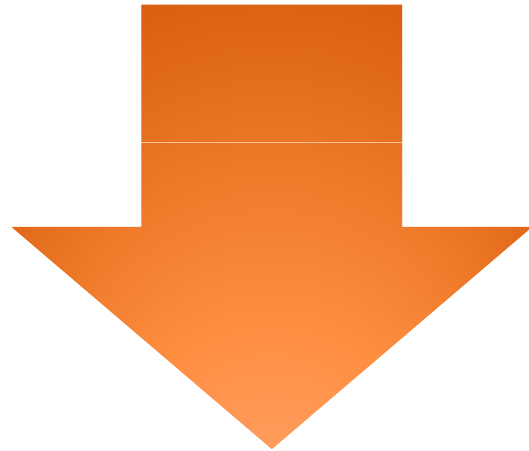
Inaugural Conference of II Cycle of Archival Section (School of History)  
celebrating 75th anniversary of the University of Costa Rica

August 26, 2015

# Manage uncertainty

- One of most characteristic features of current thinking is uncertainty (Zygmunt Bauman). Current thinkers agree to work with **fuzzy boundaries** (spatial, conceptual, chronological...). This approach hits also on designing records management systems, which become:
  - **Organic:** they can modify structures and create new ones from current uses, never quite predictable.
  - **Hybrid:** they merge elements from different disciplines, and add every kind of innovations without distinction according to the providing discipline.
  - **Evolutionary:** never finished, they are always adapting to the changes in organizations and the environment.

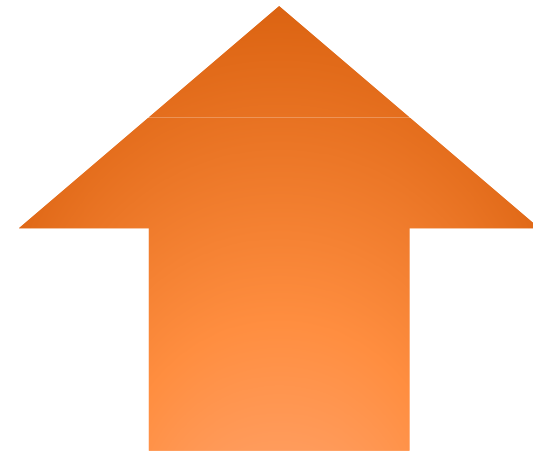
# Two questions



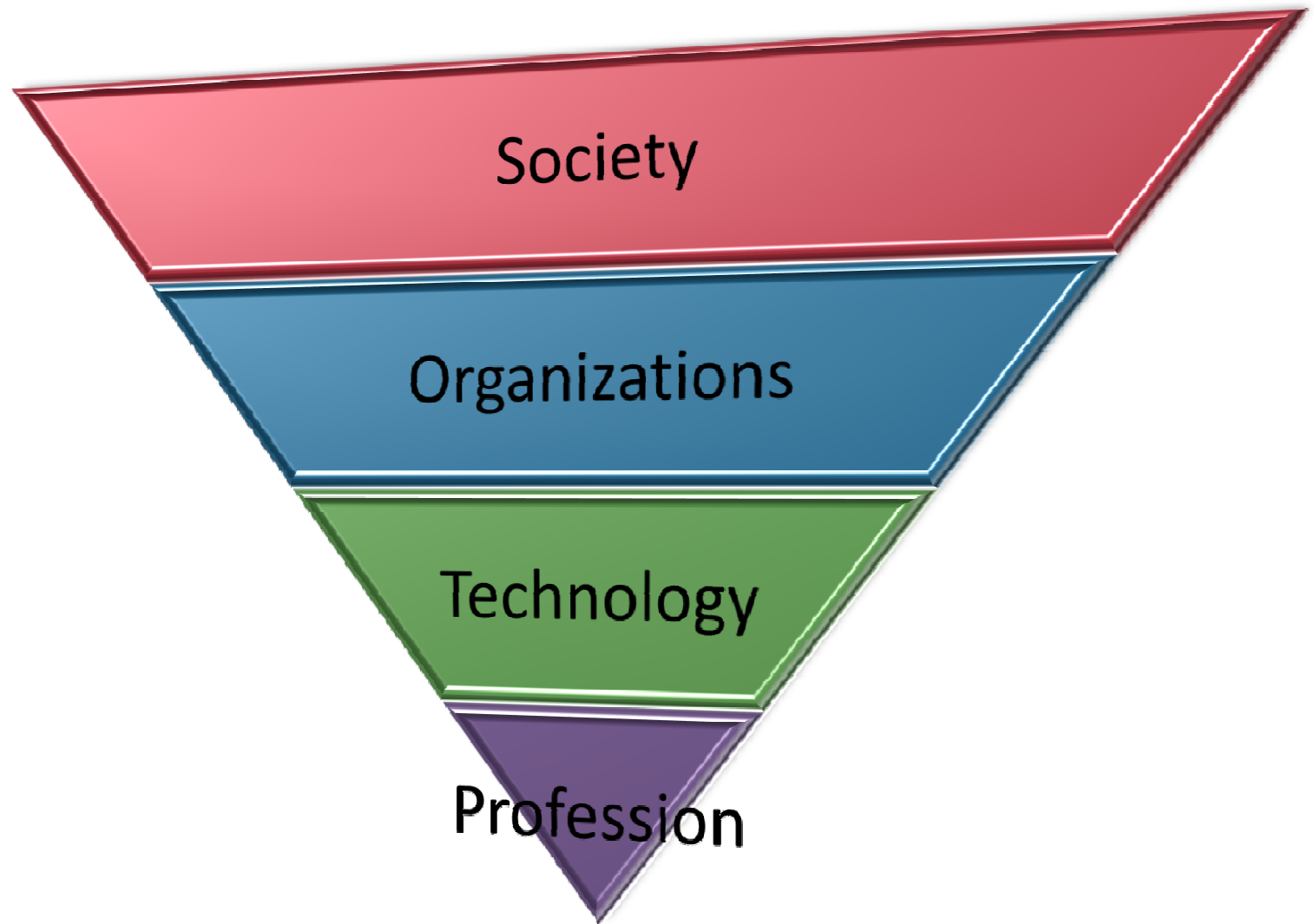
What Society  
demands to  
records  
management?



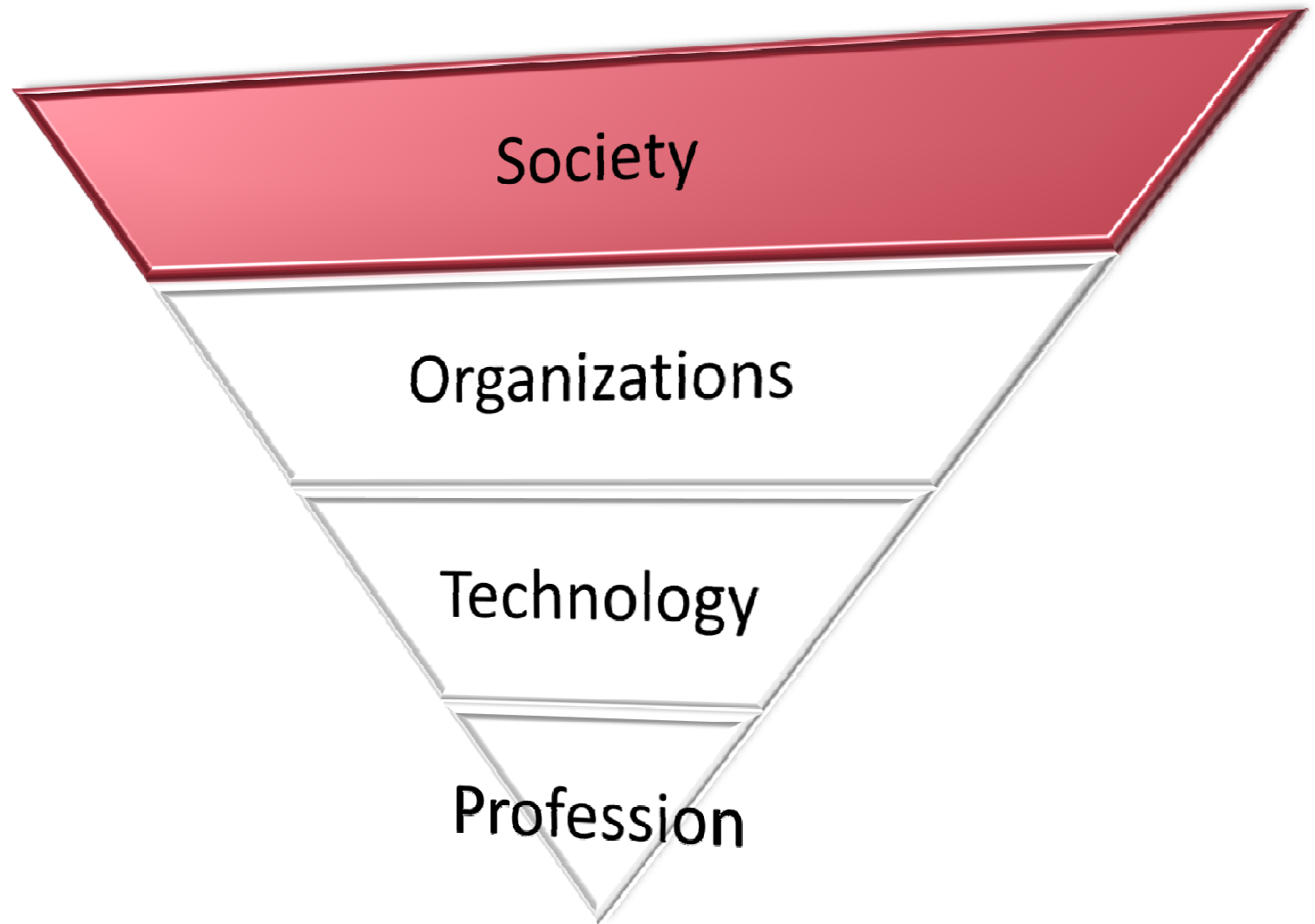
Can today's  
profession  
meet this  
demands?



# Factors



# Factors



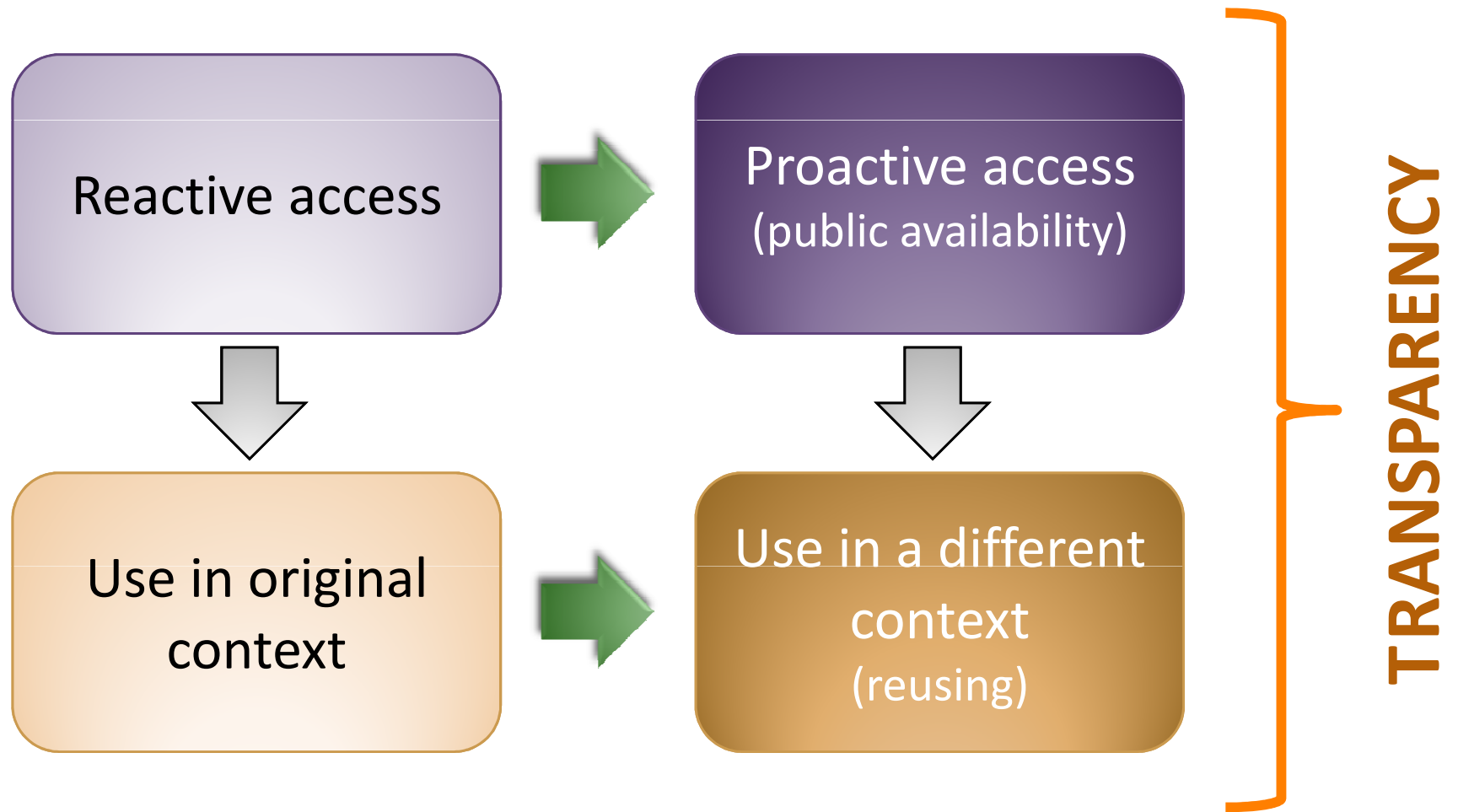
# Society

- Immediacy (if not online, don't exist)
- New rights relating to information
- Greater accountability (publicly available)
- Dilution of information ownership (reusing)
- Strengthening of identities (heritage)

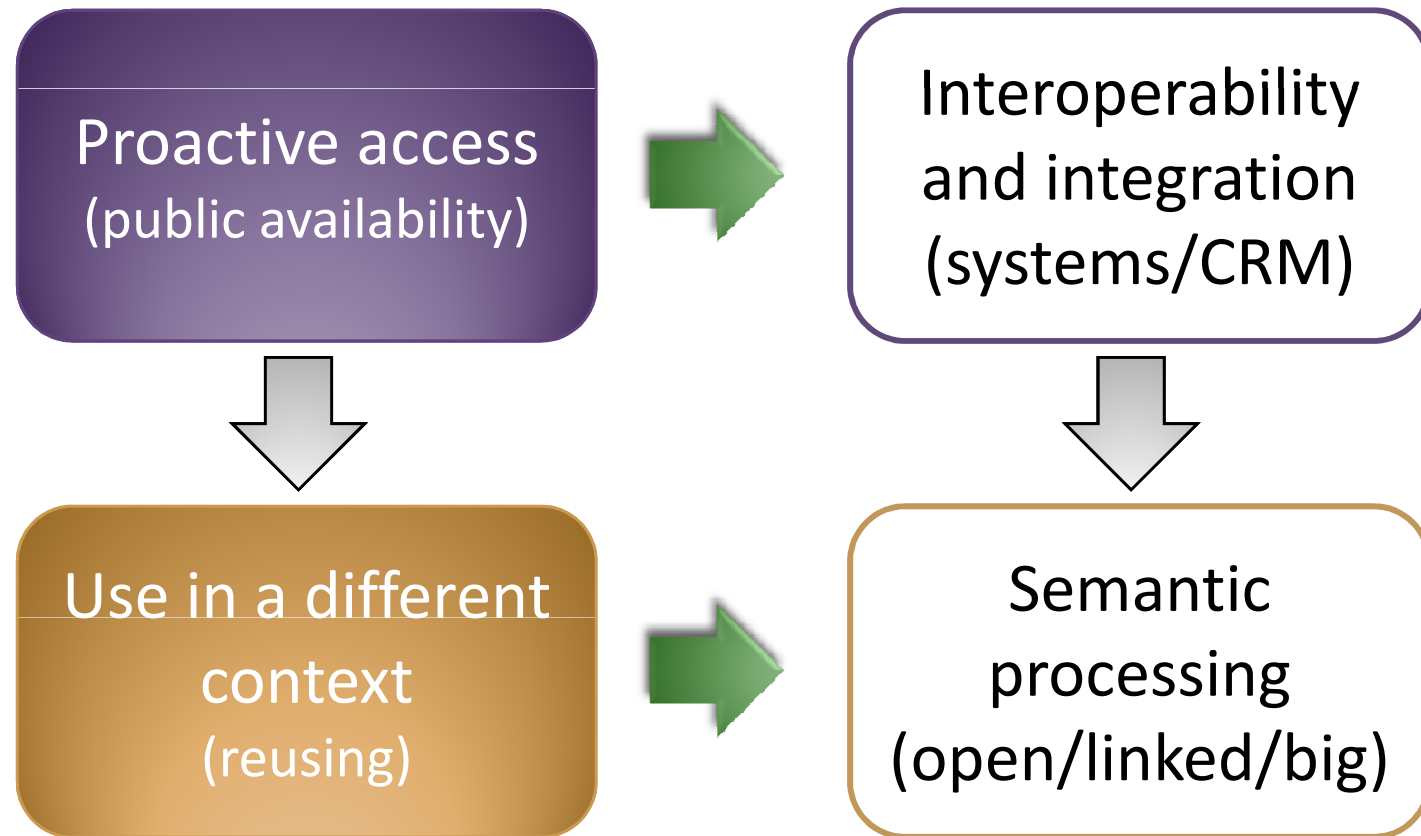
# Main driving factors for evolution

- Immediacy (if not online, don't exist)
- New rights relating to information
- **Greater accountability (publicly available)**
- **Dilution of information ownership (reusing)**
- Strengthening of identities (heritage)

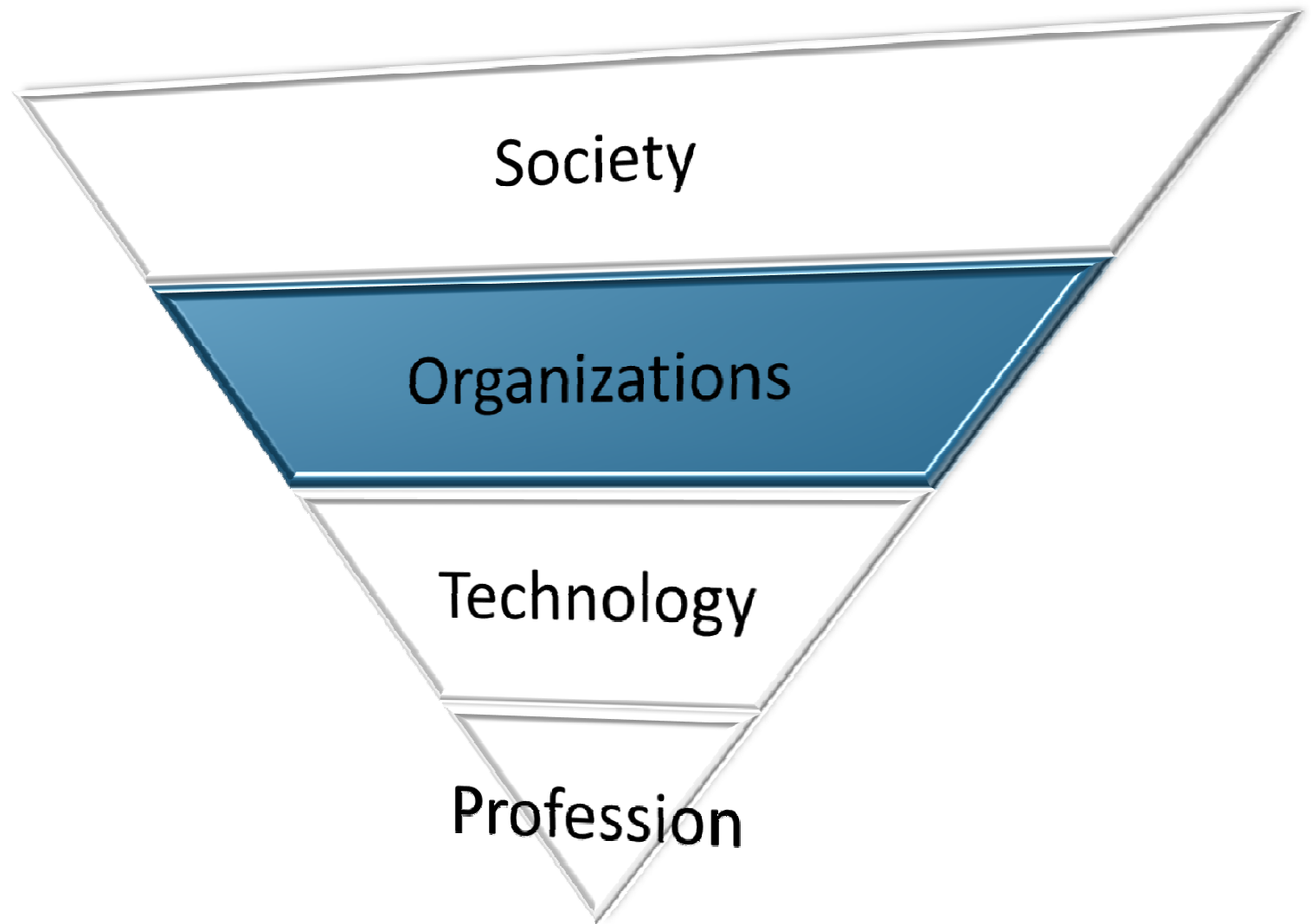
# New dimensions of access and use



# New dimensions of access and use: main challenges



# Factors



# Organizations

- Multiform
- Composed
- Ubiquitous
- Agile

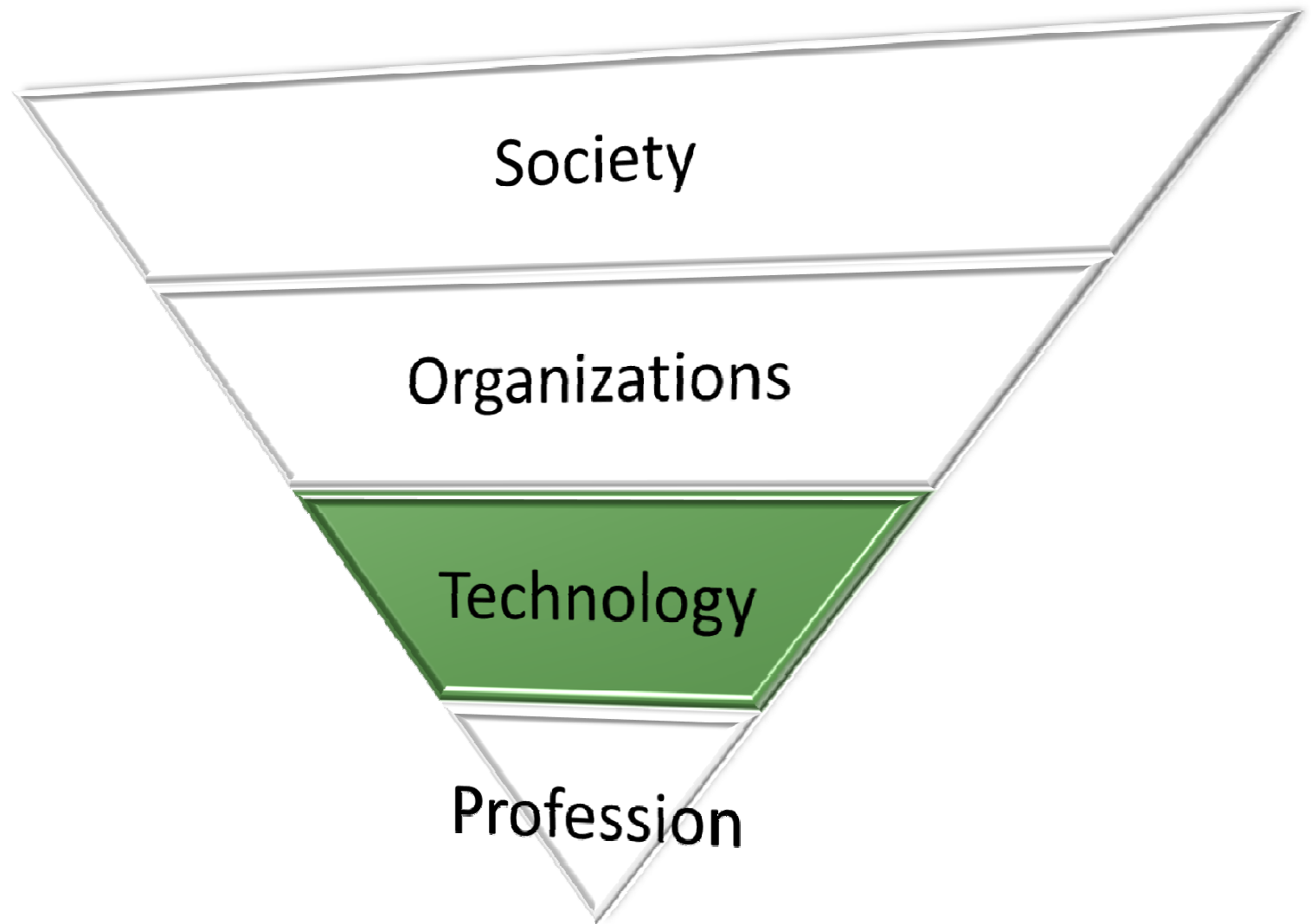
# Conflict of dynamics



# Impact on records management

- Ever-increasing volume of data to manage
- From formal to real (effective) compliance
- From formal to real (effective) security
- It's not about assets, it's about service
- Integrated (connected) systems with decentralized implementation
- Collaboration and invisibility (providers as customers)

# Factors



# Technology

- New software (open & free)
- New formats (data and more data, structured and linked)
- New forms of distribution (cloud computing and pay per use)
- New forms of interaction (federation, consumerization, mobility)

# Strategic trends in IT

1. Commit to the cloud
2. Mobilize everything
3. Make the business social
4. Digitize anything that moves
5. Extreme Information Management

OccupyIT (2015)

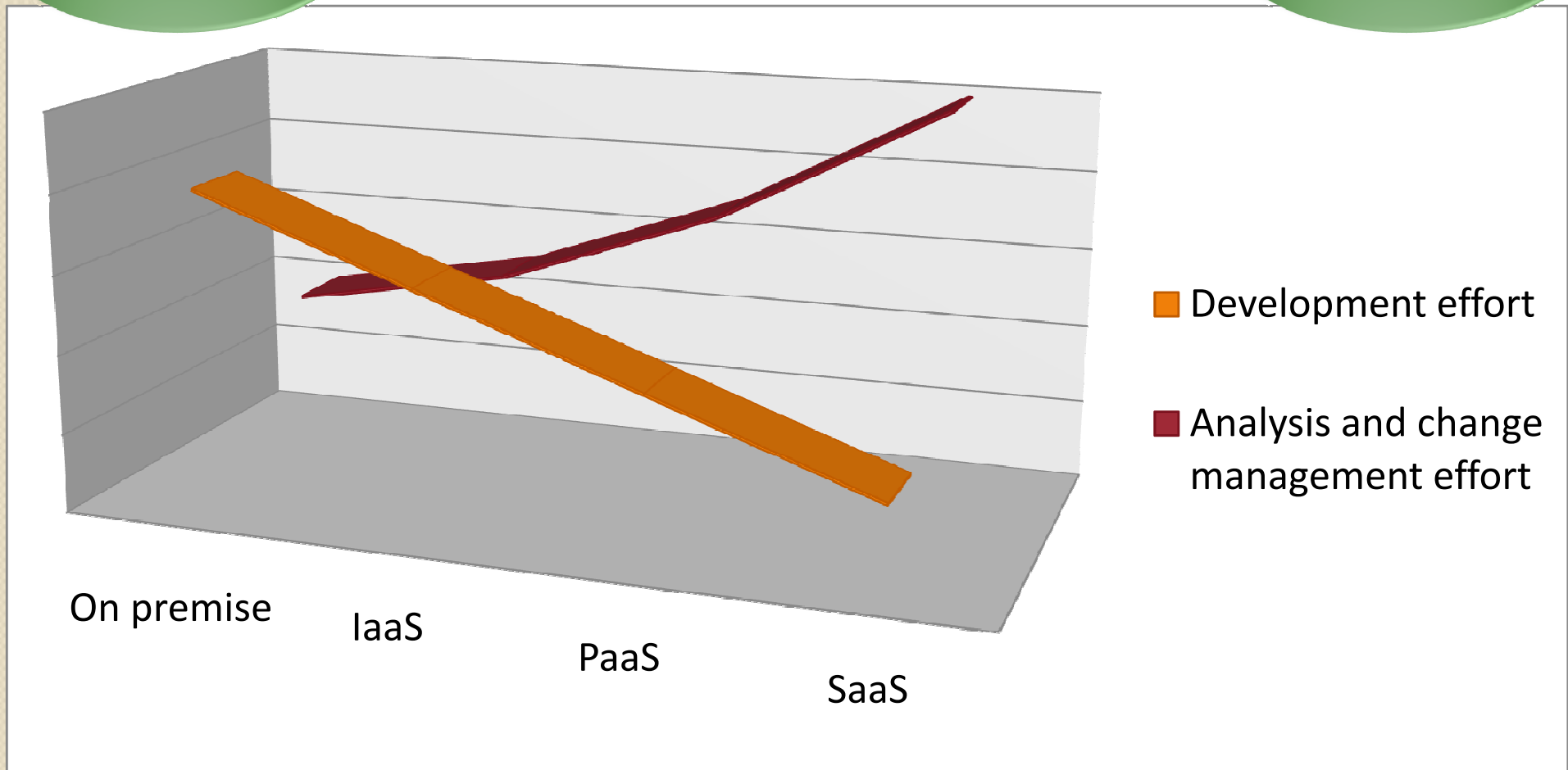
# Cloud computing

	On premise	IaaS	PaaS	SaaS
Application				
Platform				
Infrastructure				

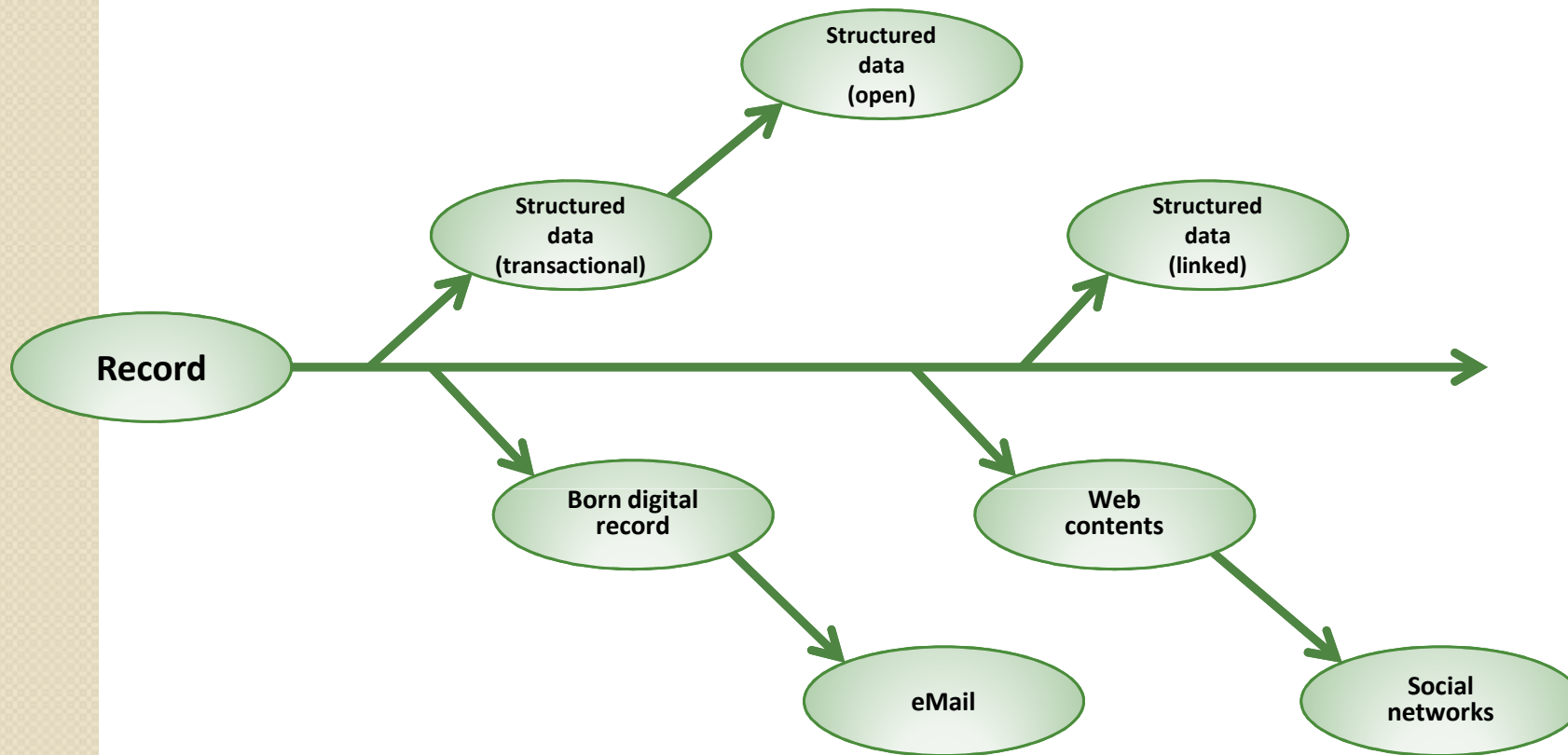
- User needs adapting
- Safer continuity
- Best long-term cost

- Faster deployment
- Easy to upgrade
- Best short-term cost

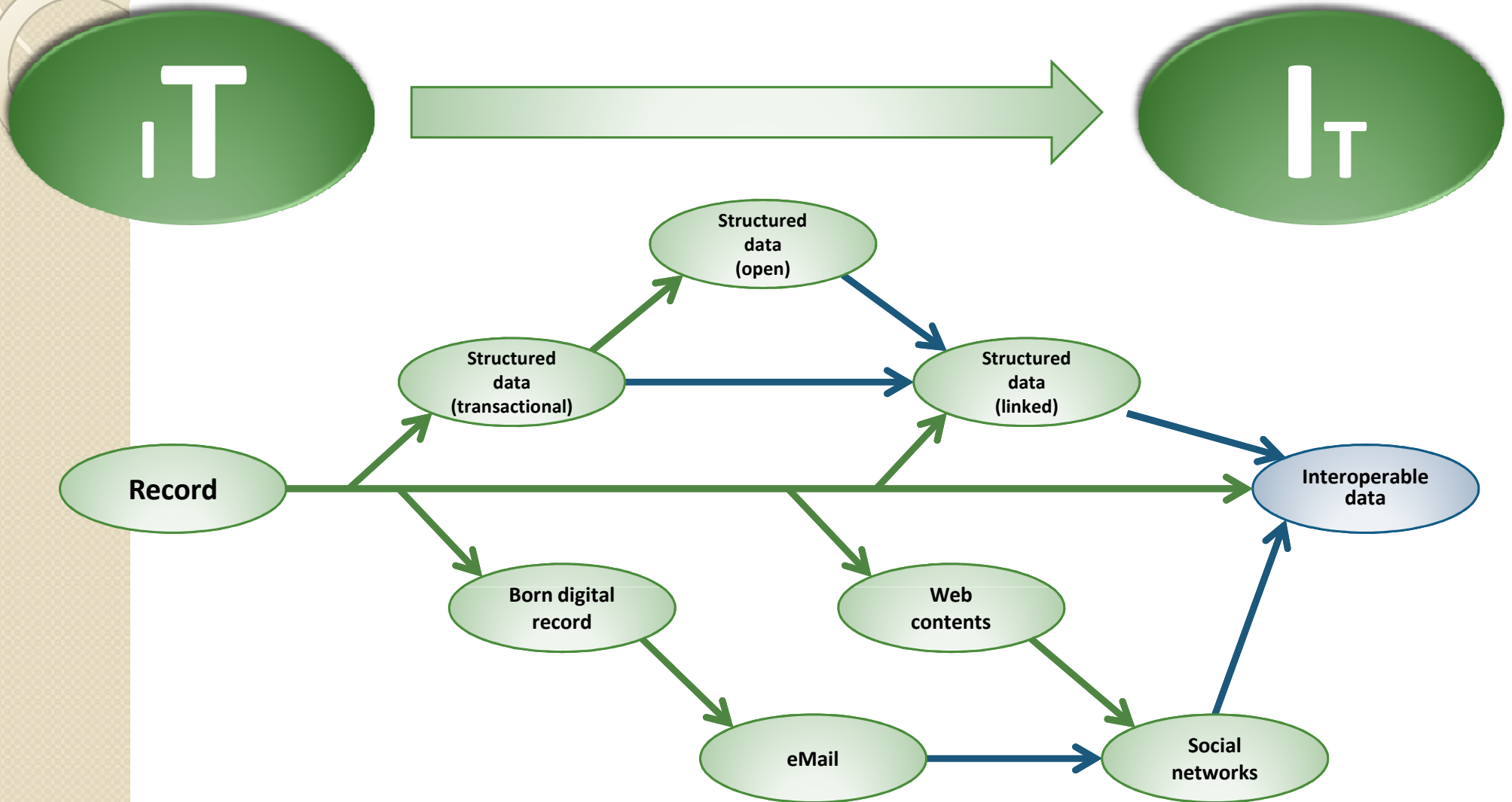
# A new opportunity



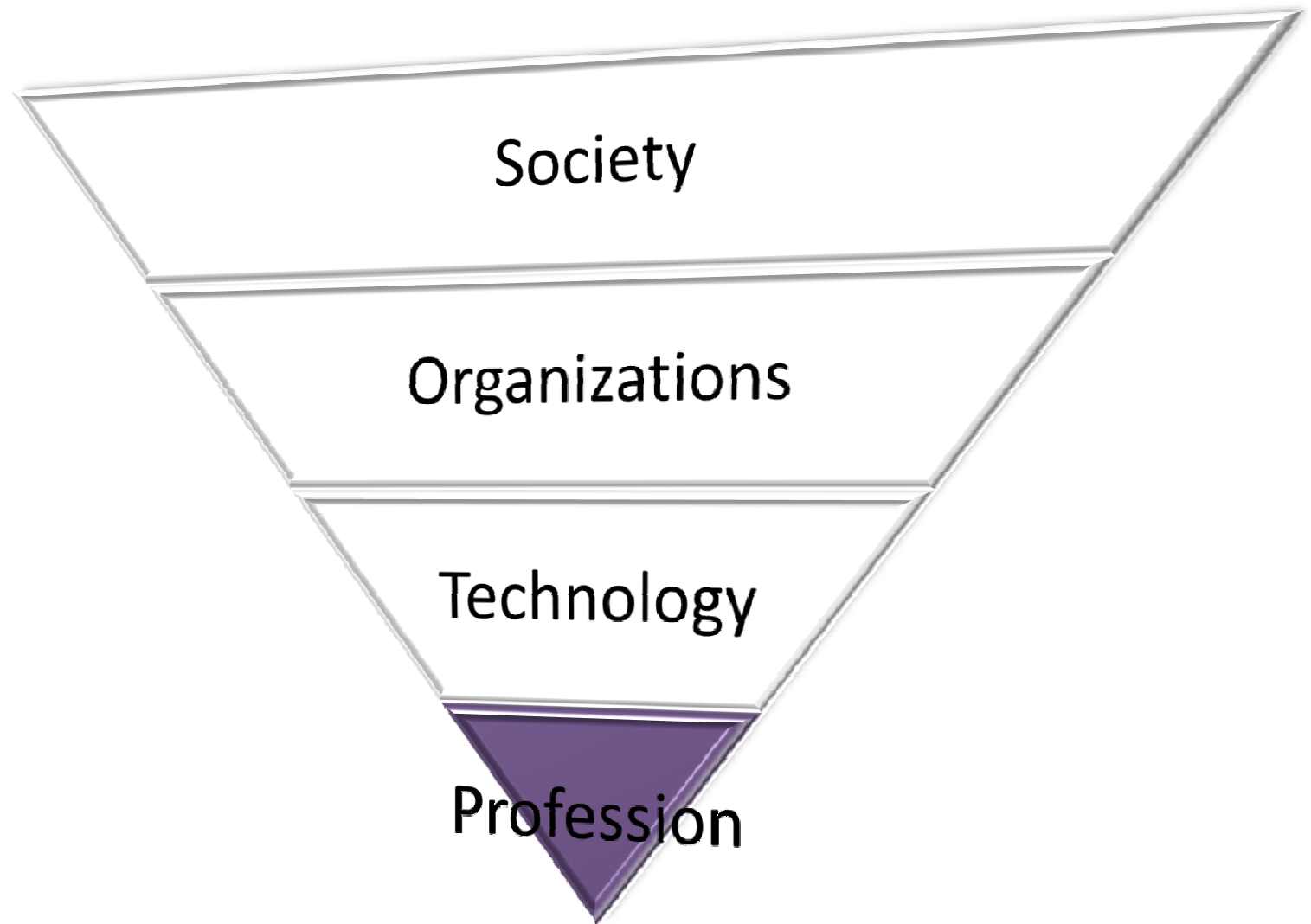
# The map of entities to manage has become more complex ...



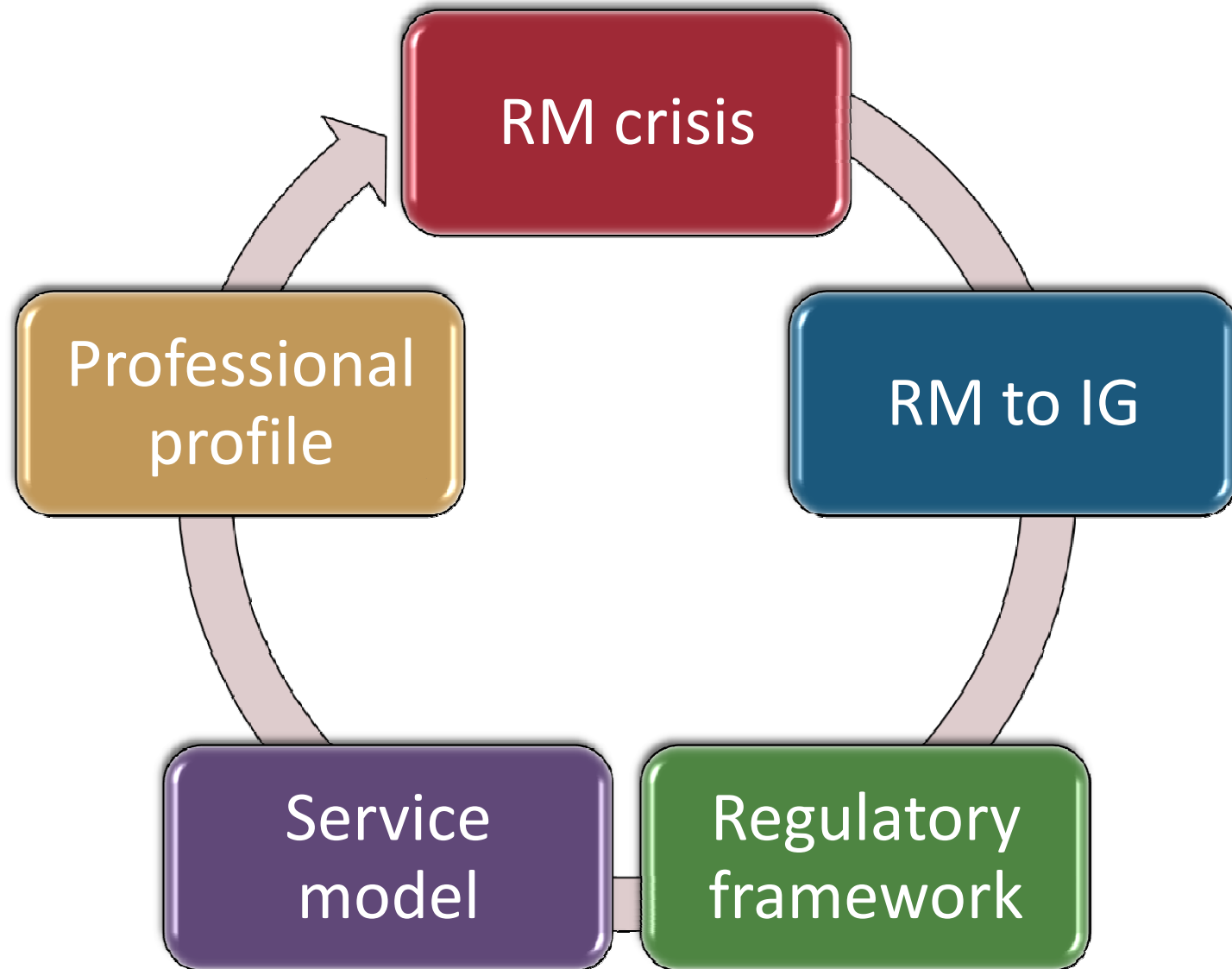
# ... or maybe not



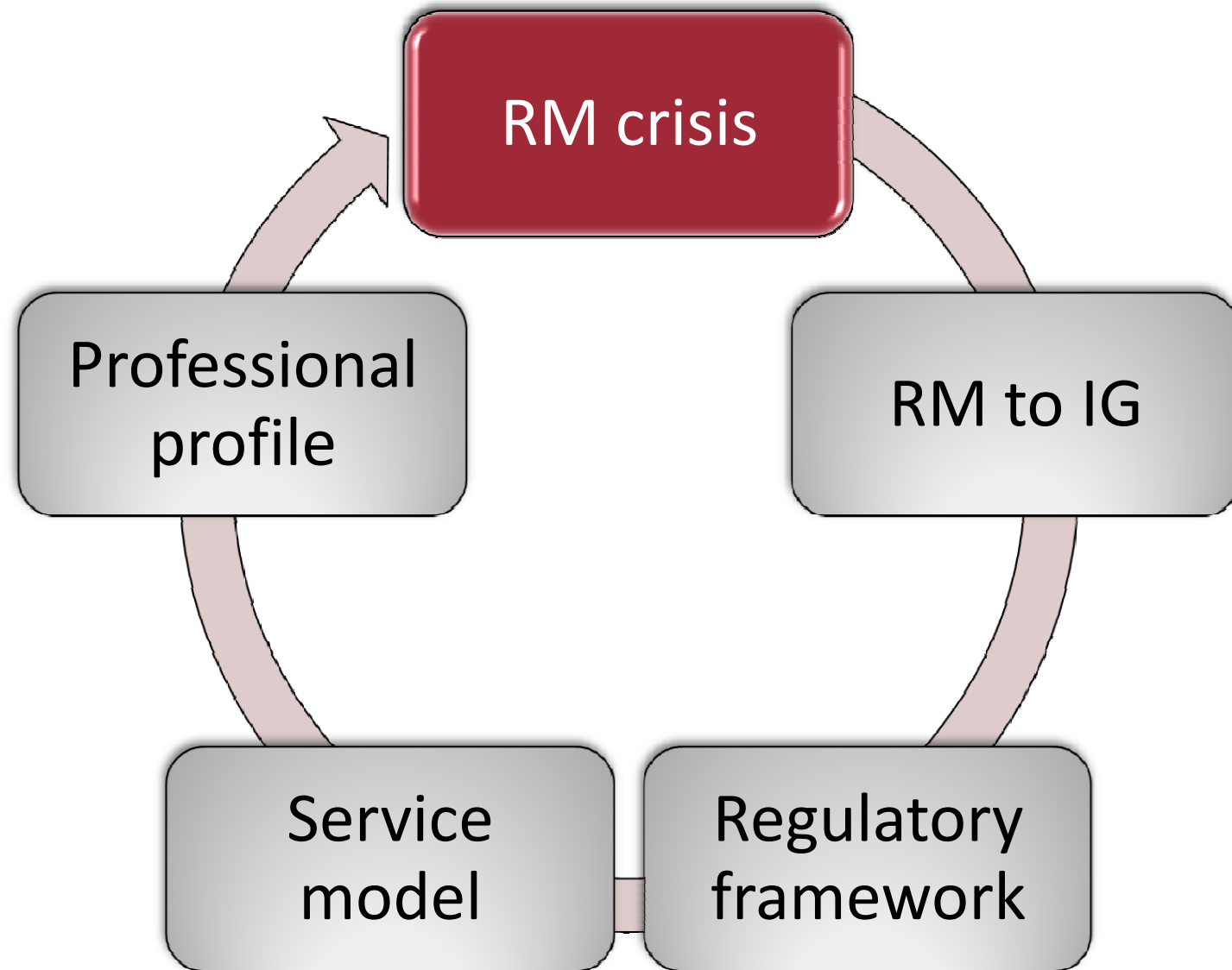
# Factors



# Profession



# Profession

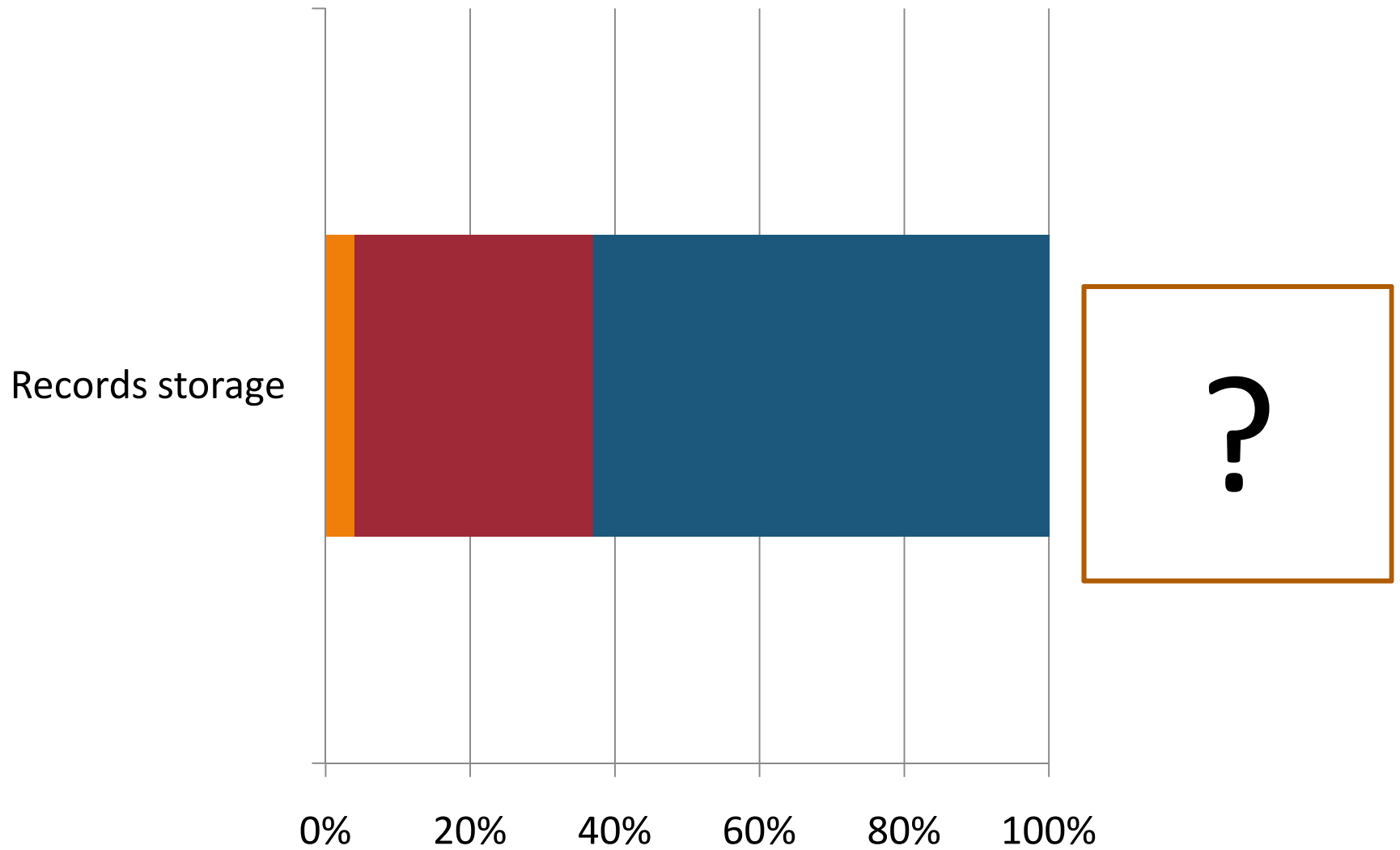




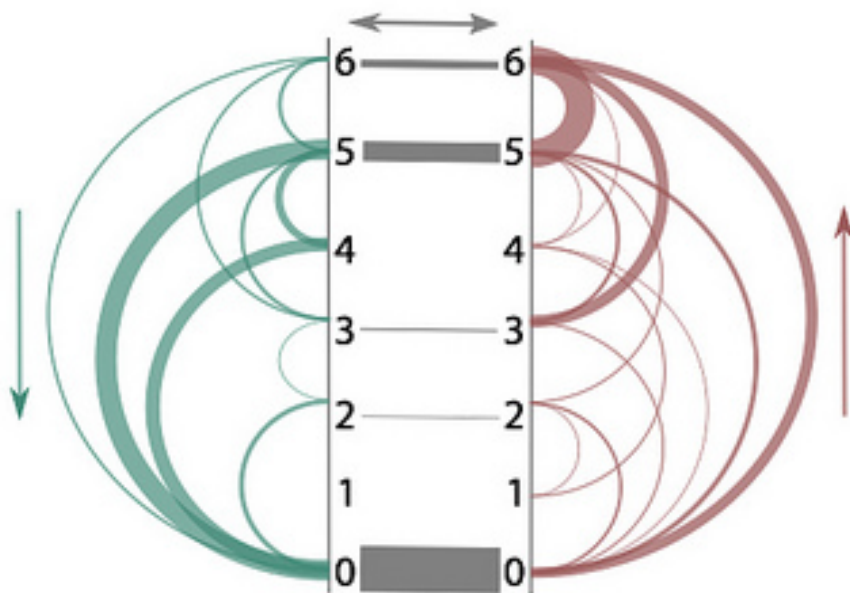
# Records Management is death... as we know it!

J. Mancini, 2015

# An example



# ... Another example



**Figure 5:** Flow of gossip across ranks. ( $\uparrow$ ) denotes that gossip email flow up the hierarchy, while ( $\downarrow$ ) denotes downward flow. ( $\leftrightarrow$ ) denotes that gossip stays within the same organizational rank.

Rank	Position or Job Title	
6	CEO	President
5	Vice President	Director
4	In-House Lawyer	
3	Manager	
2	Trader	
1	Specialist	Analyst
0	Employee	

**Figure 1:** Relative ranks of job titles. Figure has been reproduced from earlier work (Gilbert 2012).

## Have You Heard?: How Gossip Flows Through Workplace Email

Tanushree Mitra and Eric Gilbert  
 School of Interactive Computing & GVU Center  
 Georgia Institute of Technology  
 [tmitra3, gilbert]@cc.gatech.edu

# ... And another example

- Dilemma about information ownership
- Extensive replication of information
- Broader context for information
- Ability to record sensitive aspects of business processes

# Two spheres

Communications  
(spontaneous)

Documents  
(declared as  
records by users)

**+ Trust -**

# Limitations of traditional RM model

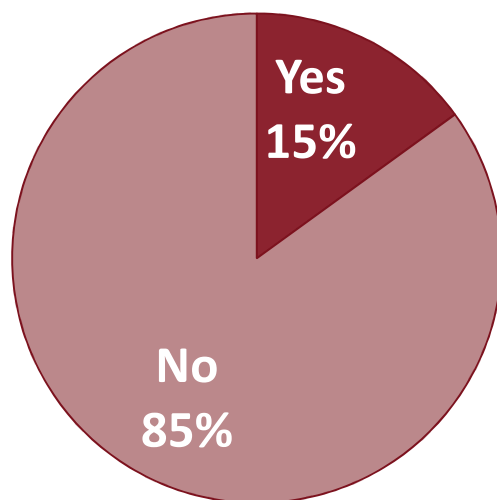
- Overly formal and self-demanding (perfectionist)
- Discreet perspective (focus on small-data)
- System based on borders (custodialist)
- Too centralized (system like unique tool)

# Consequences of this practices

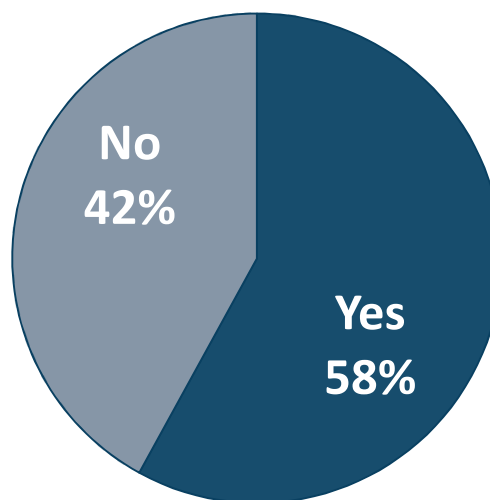
- Low percentage of effective coverage
- Low reliability and security levels
- Little value-added for end-users
- Too long-term ROI

# Consequence: people don't use it

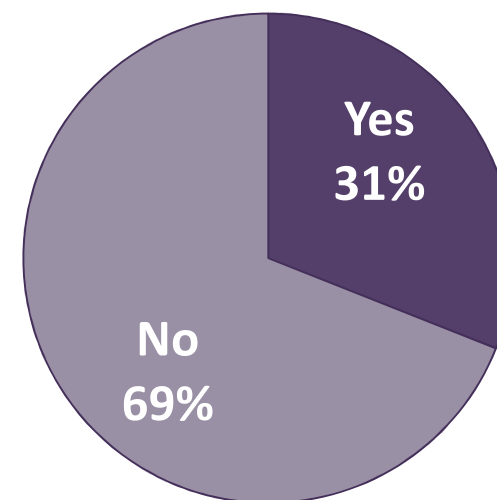
Do you trust in records management techniques as tools to face information risks, and do you think they meet your needs?



Do you know the records management system of your organization, and who are their responsables?

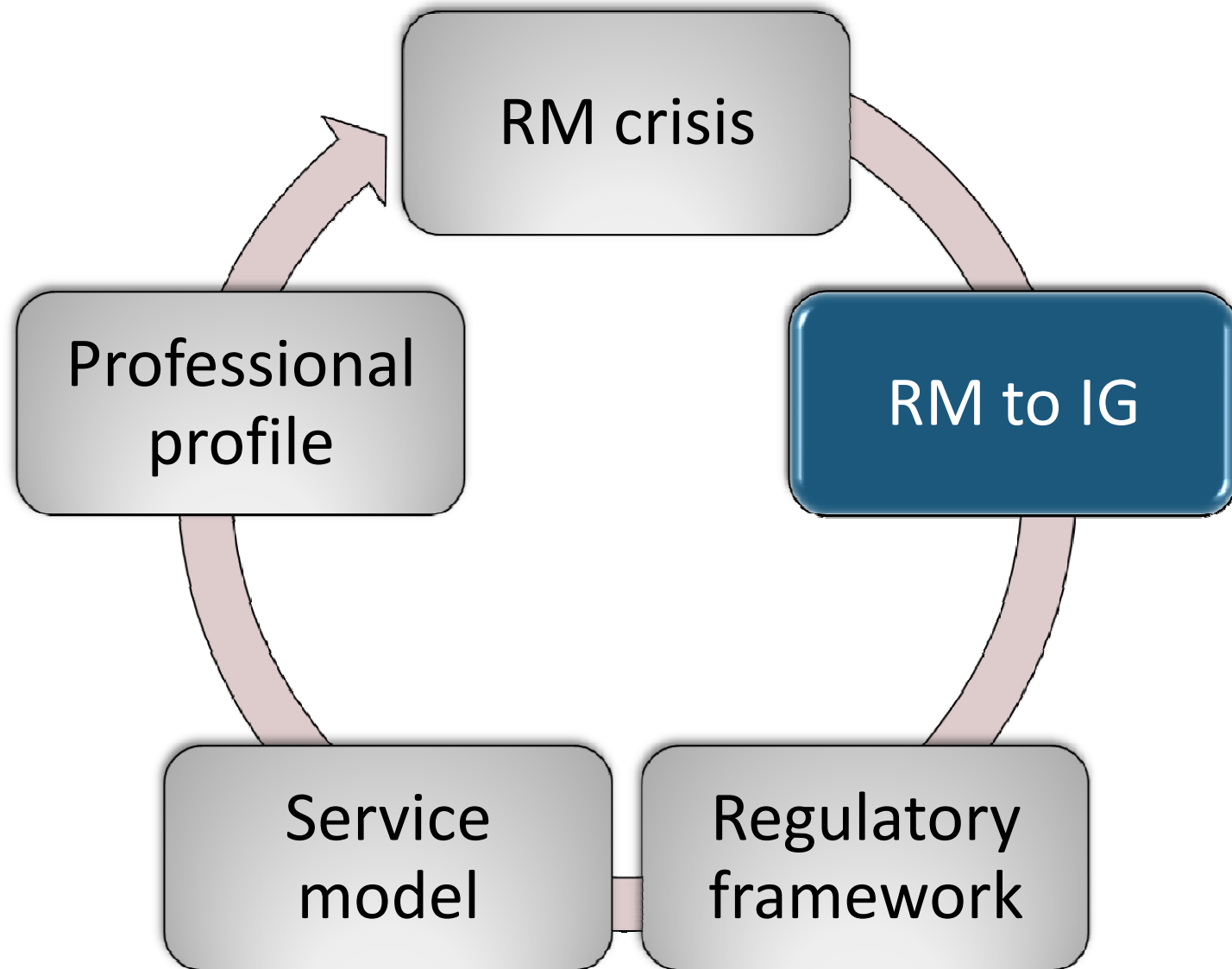


If yes, do you meet regularly with those responsables for learning, advice, etc.?



Iron Mountain Survey (2015)

# Profession



# Main driving factors for evolution

- Consumerization
- Mobility and renouncement to ownership
- Change in the nature of work
- Effective security requirements, not merely formal

# Evolution towards a new model

- **Overly formal and self-demanding**
- **Based on borders**
- **Too centralized**
- **With little value-added**
- **Low reliability and security levels**
- Good faith + Broader and detailed control
- Cross information processing, integrating and aggregating different systems and sources
- Guidelines for IT systems design
- Automated capture and RM tasks (Dropbox model: only save, search and share)
- Cross control + Paperless management + Digital preservation as standard

# Examples of this evolution

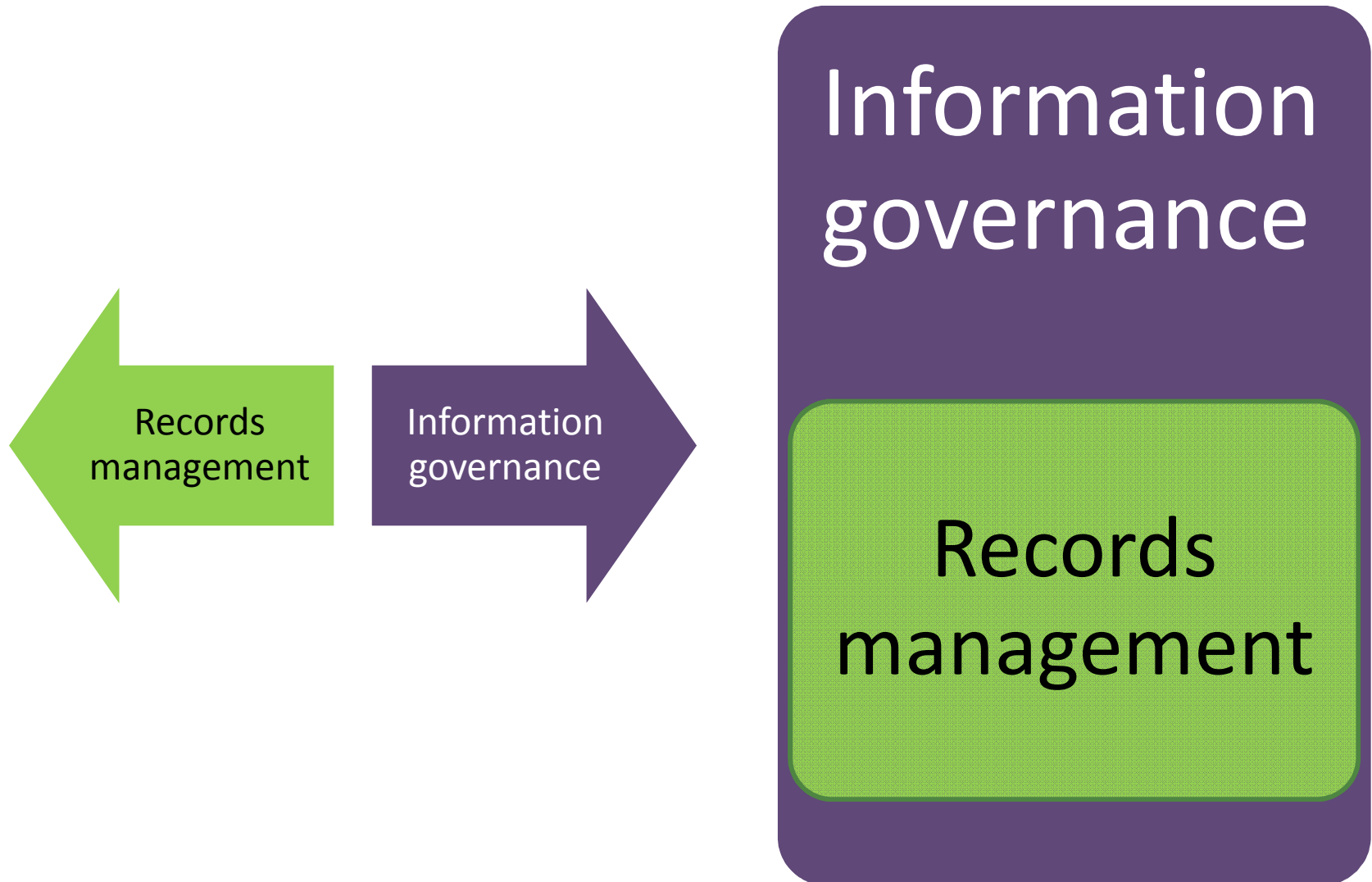
- Obama's 2011 Presidential Directive on Managing Government Records
- CAPSTONE approach (NARA)
  - eMail accounts
  - Pre-accessioning
- Big Buckets and new structures to classify
- BYOD and CYOD policies
- AILM Model

# Information Governance

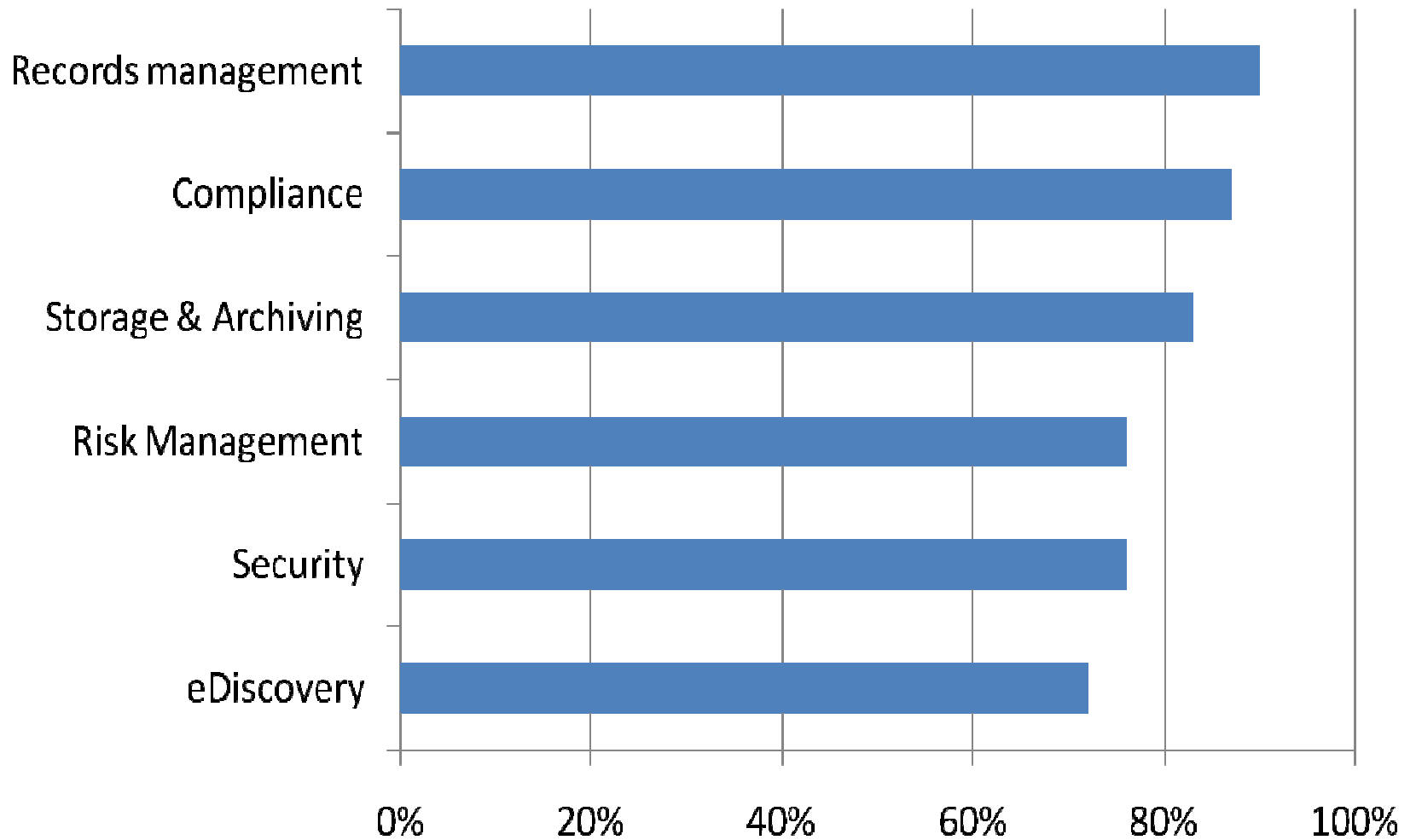
- *Information Governance is a framework of people, principles, processes and tools, that defines why, when and how information is managed within an organisation, in order to maximise its value, fulfil obligations, reduce costs and reduce risk.*

George Parapadakis, 2014

# Revolution or evolution?

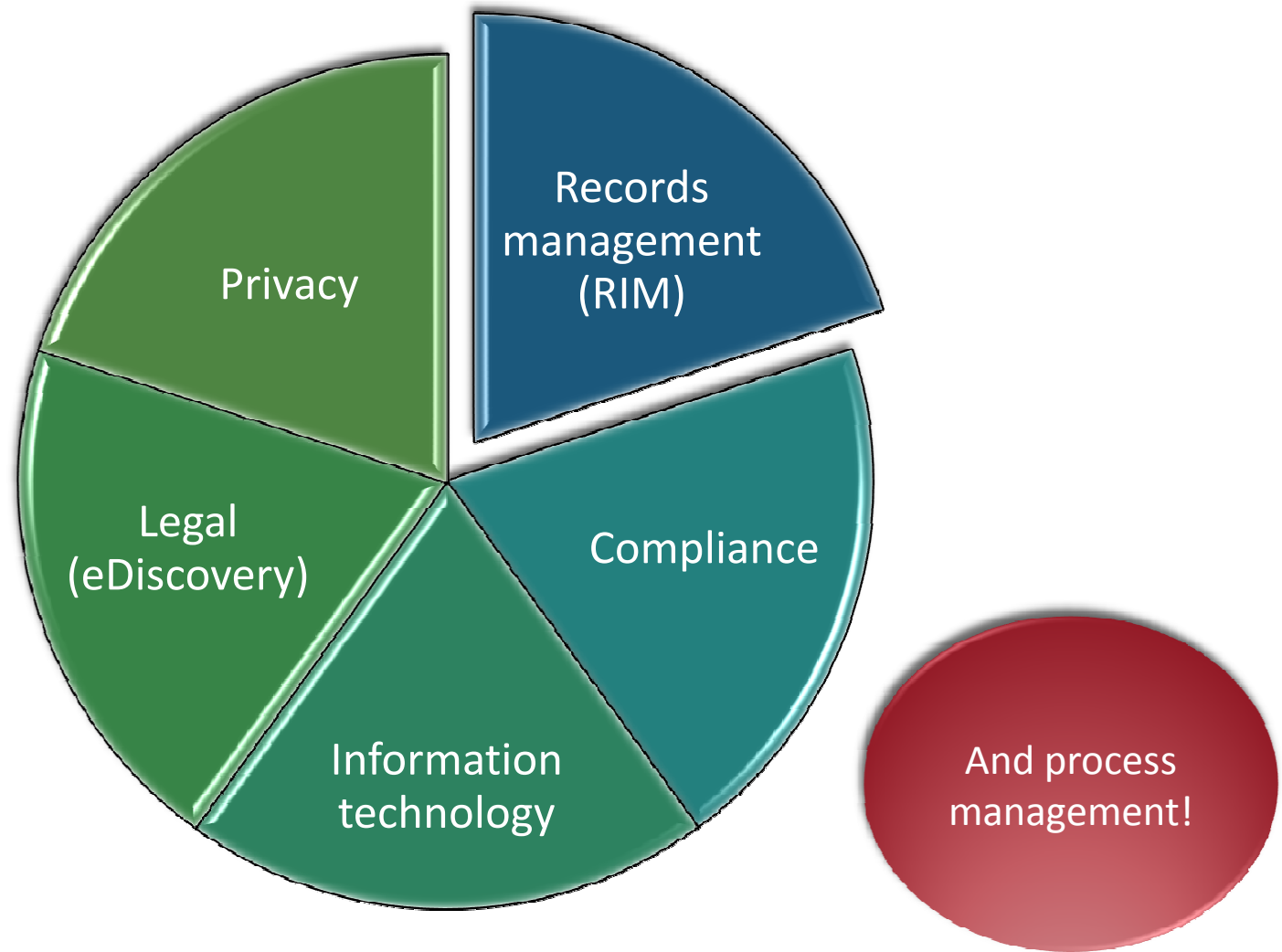


# What activities includes Information Governance?



Source: eDiscovery Journal

# Which areas includes Information Governance?



# An example of evolution: appraisal techniques

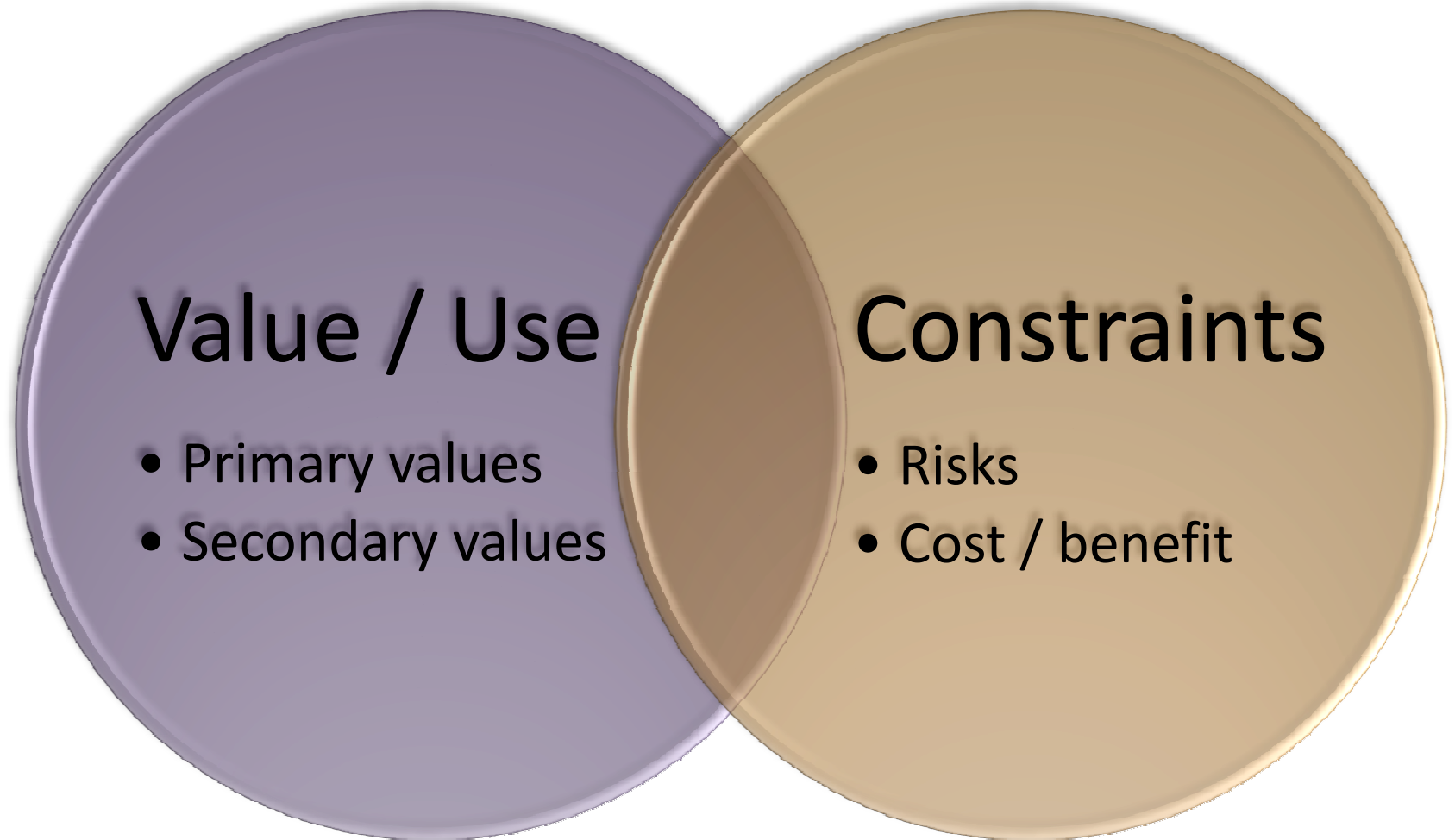
- Few and too abstract methodological references.
- Growing doubts of its utility looking at the continued increase in storage and processing capacity of information systems.
- Doubts also by the low efficiency and effectiveness of current procedure.

# Paradigm shift: appraise to preserve

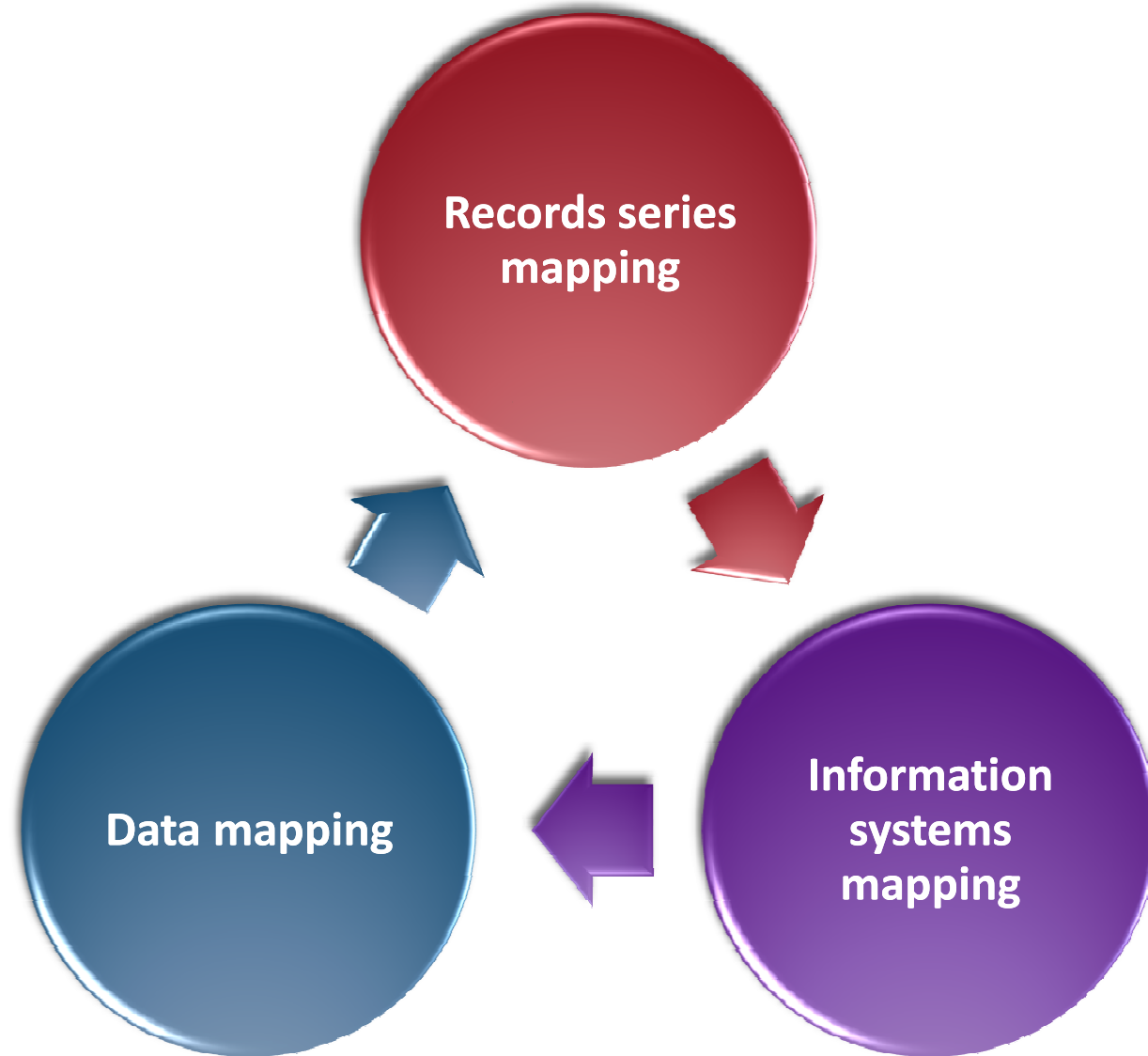
- “The traditional **media-centric space-reduction** paradigm has been augmented by another paradigm, one that organizations today believe is even more important. It is **content-centric** and its focus is **risk reduction.**”

Cohasset Associates

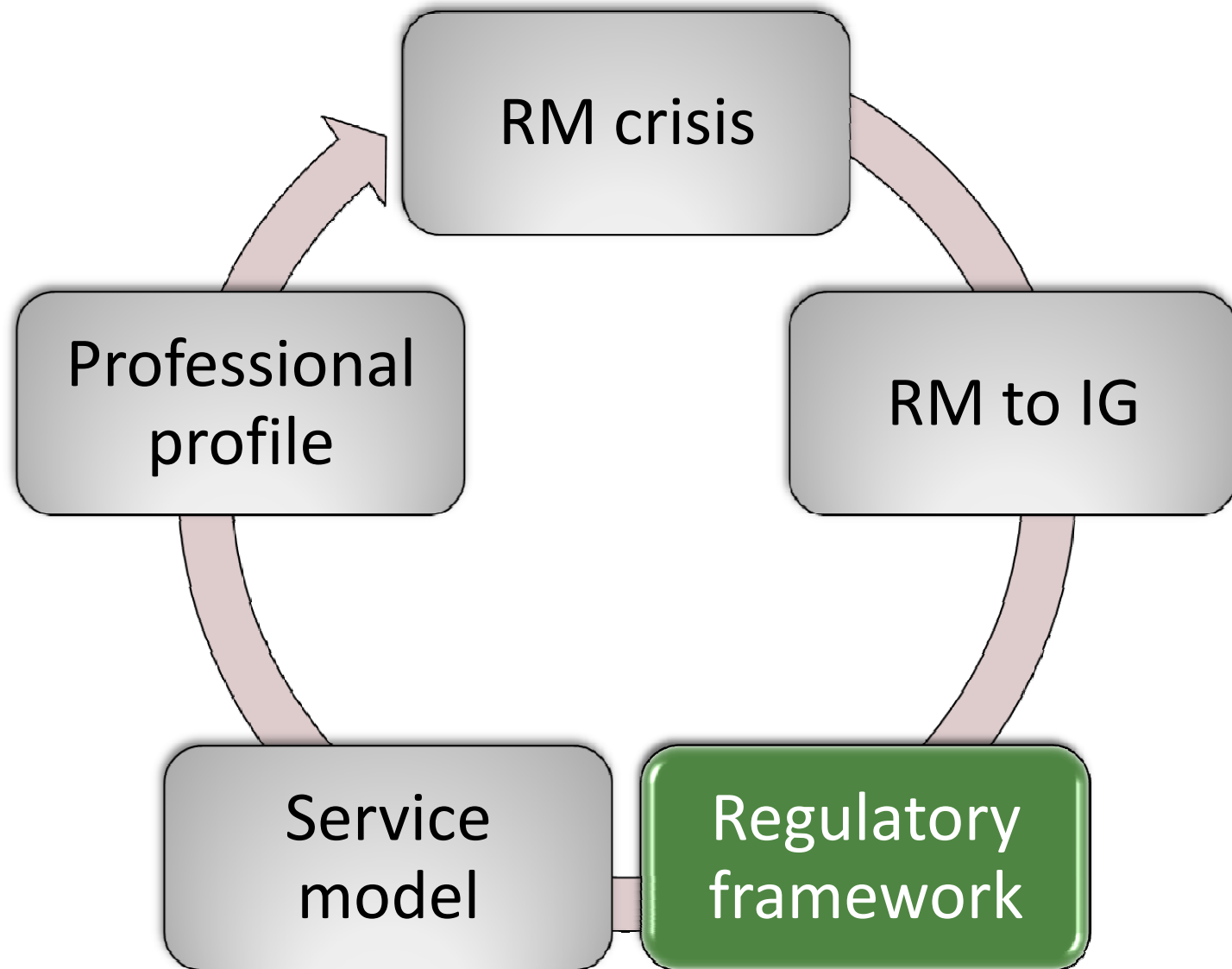
# Appraise by...



# Another example of evolution: RIM systems design



# Profession



# An opportunity: ISO 30300 family

- Customer/user oriented
- Leadership, responsibility, involvement and accountability of agents
- Focused on processes
- Integration into the whole of organization's management systems
- Continuous improvement

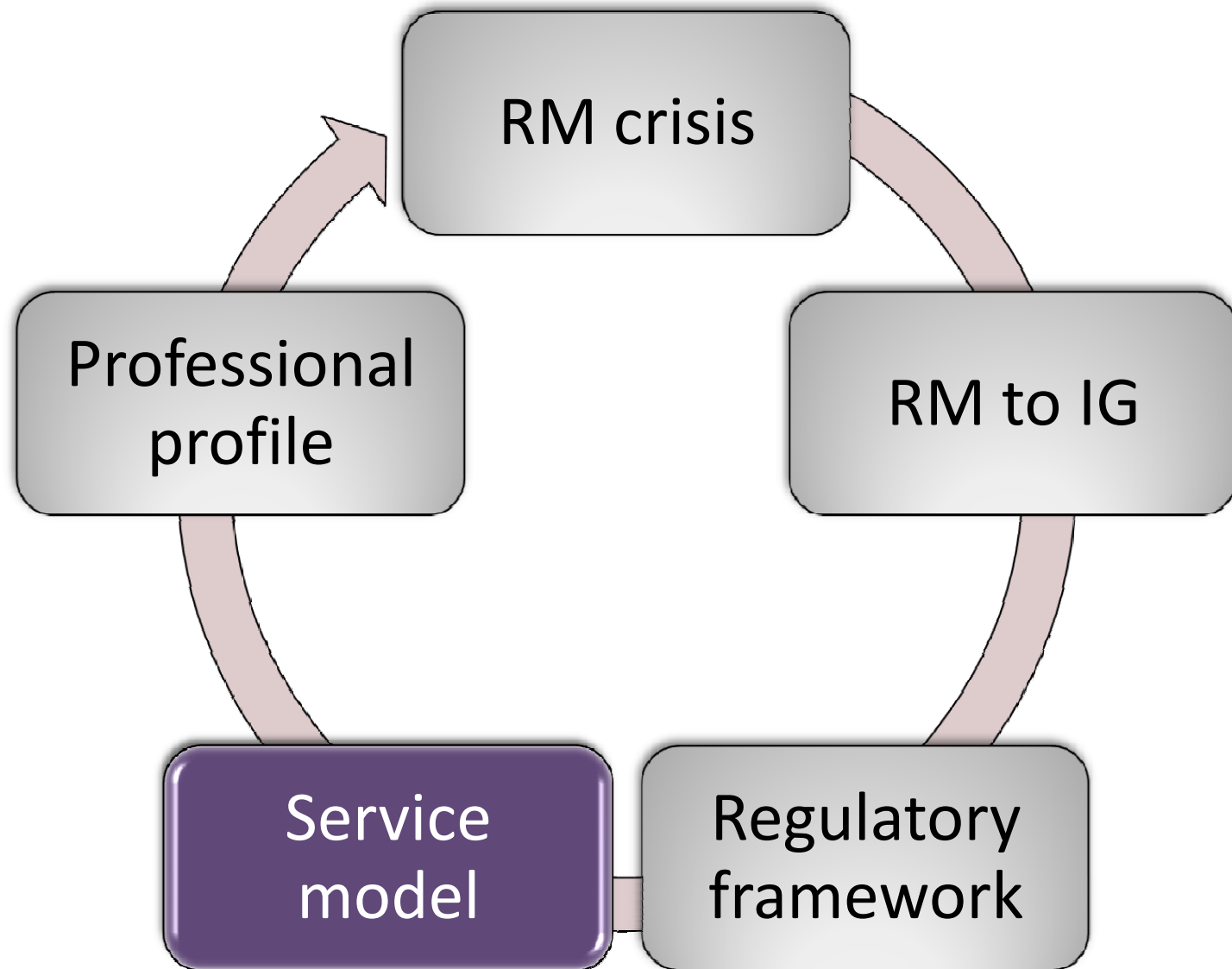
# Another opportunity: the ISO 15489 revision

- Consideration of process analysis as a basic source to identify records requirements.
- Consideration of dynamic records, data-based systems, and the relativity of RIM system boundaries in datacentric environments.
- Explicit consideration of relationships with other standards.
- Planned integration with long-term preservation systems and functionalities.

# And another one: the new ISO 9001:2015

- Strengthens the need to establish recorded and auditable metrics for achievement of objectives.
- Strengthens the process approach, and especially the integration of quality management system with the overall management of business processes.
- Strengthens the approach based on risks and opportunities.
- Evolves from recorded procedures to recorded information (not to keep documents, but the control).

# Profession

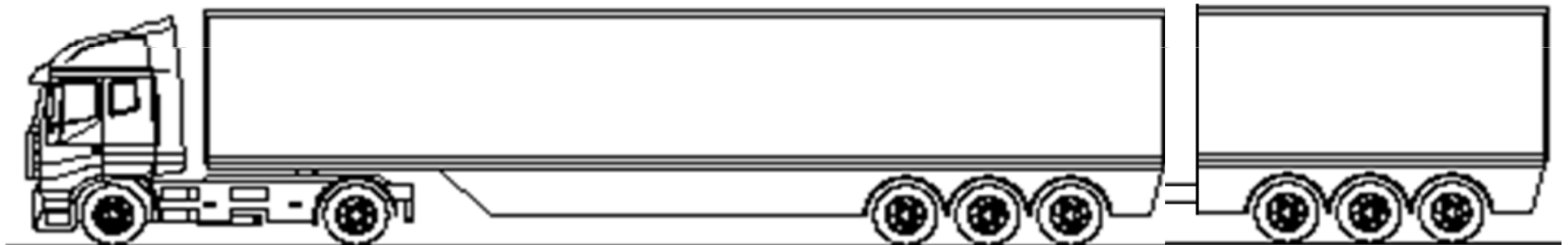


# Understanding the role of RM (RIM) system inside the organization

Policies

RIMS

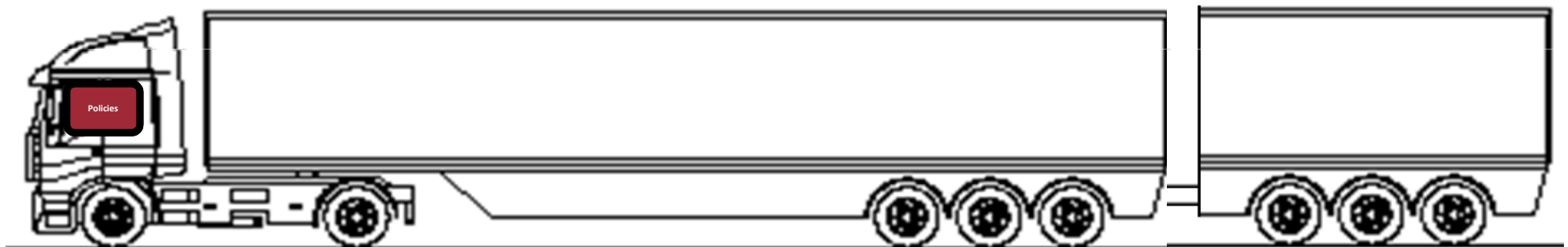
OAIS



# Understanding the role of RM (RIM) system inside the organization

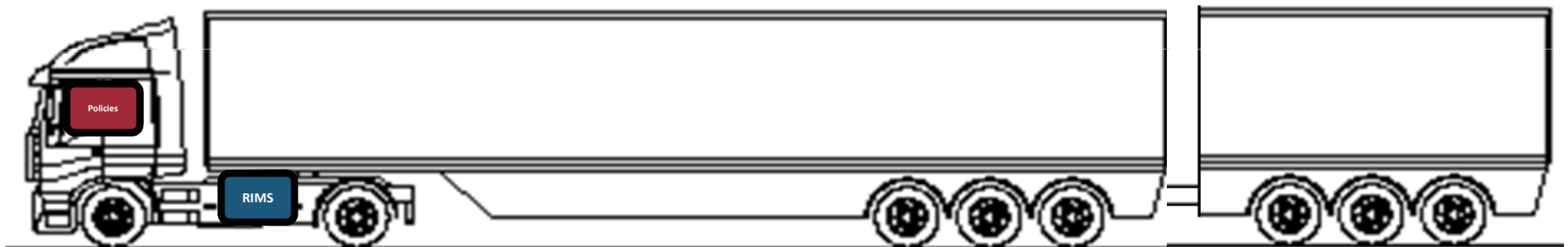
RIMS

OAIS

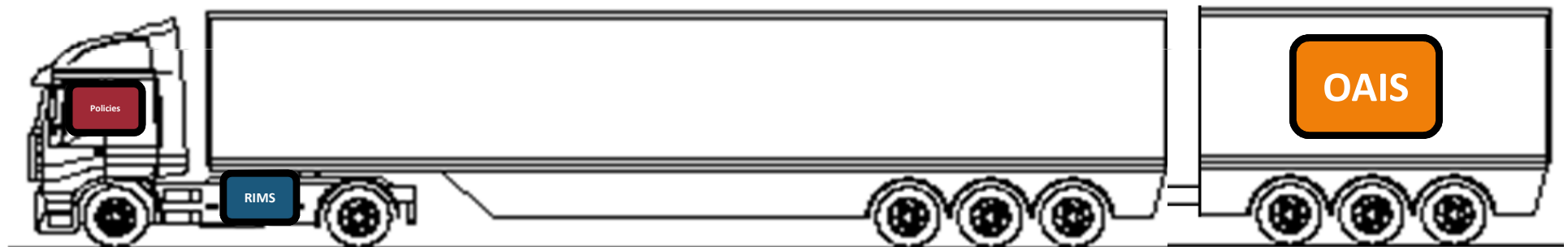


# Understanding the role of RM (RIM) system inside the organization

OAIS



# Understanding the role of RM (RIM) system inside the organization



# System's architecture: a matter of model

- In place RM

Document  
center

- Internal RC

Document  
center



Records  
center

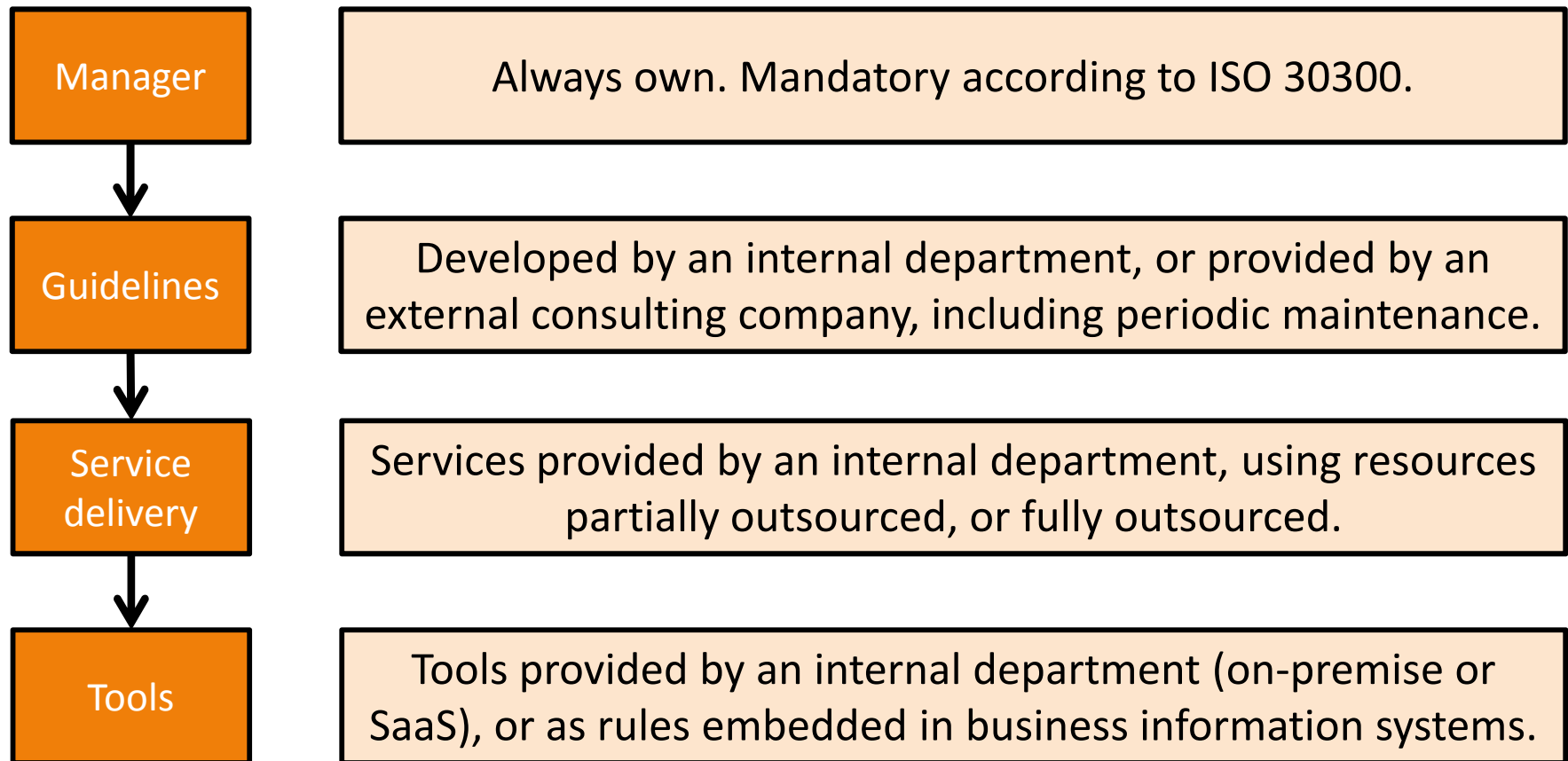
- External RC

Document  
center

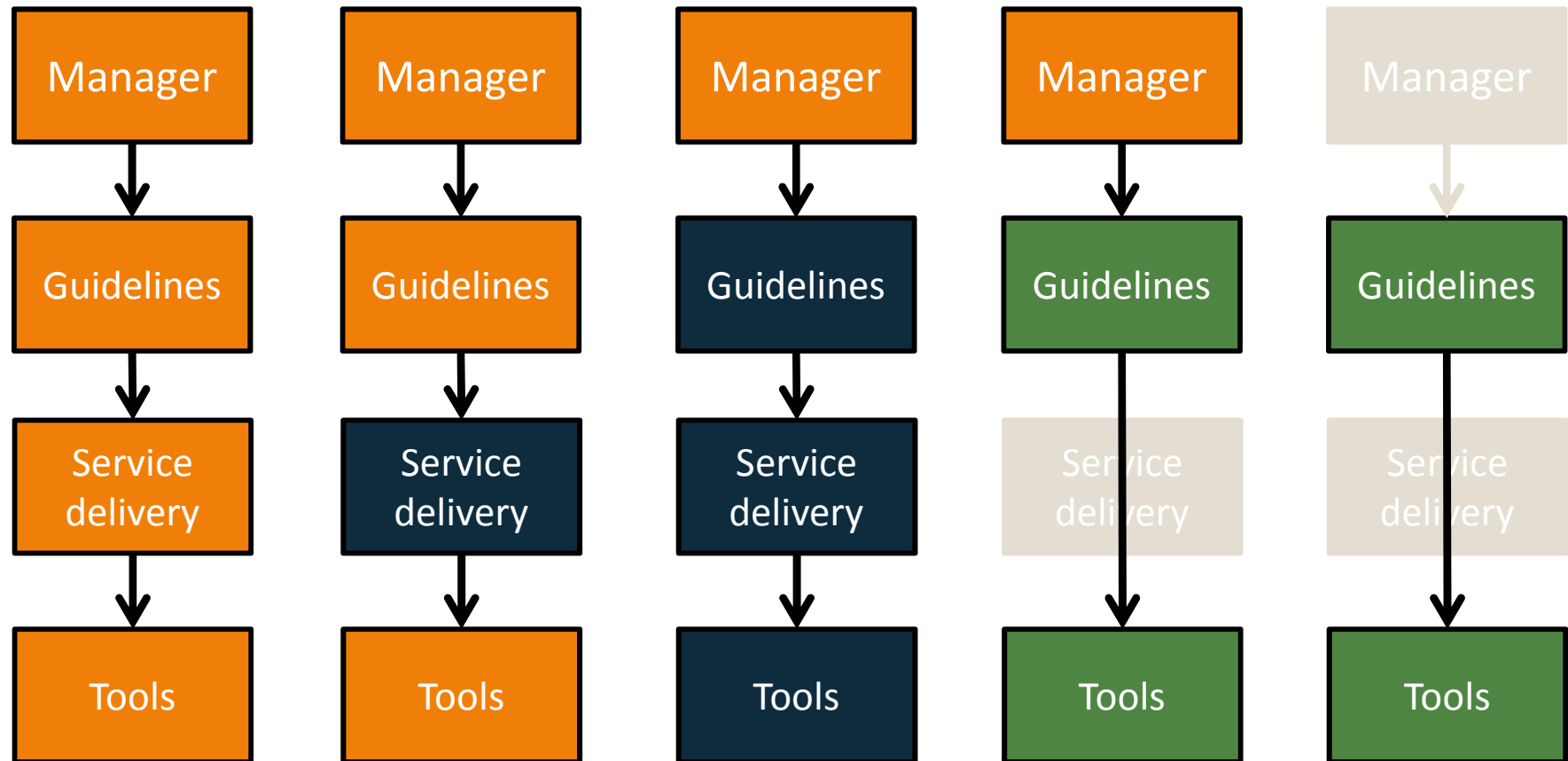


Records  
center

# Organizational model for RM (RIM) system maintenance



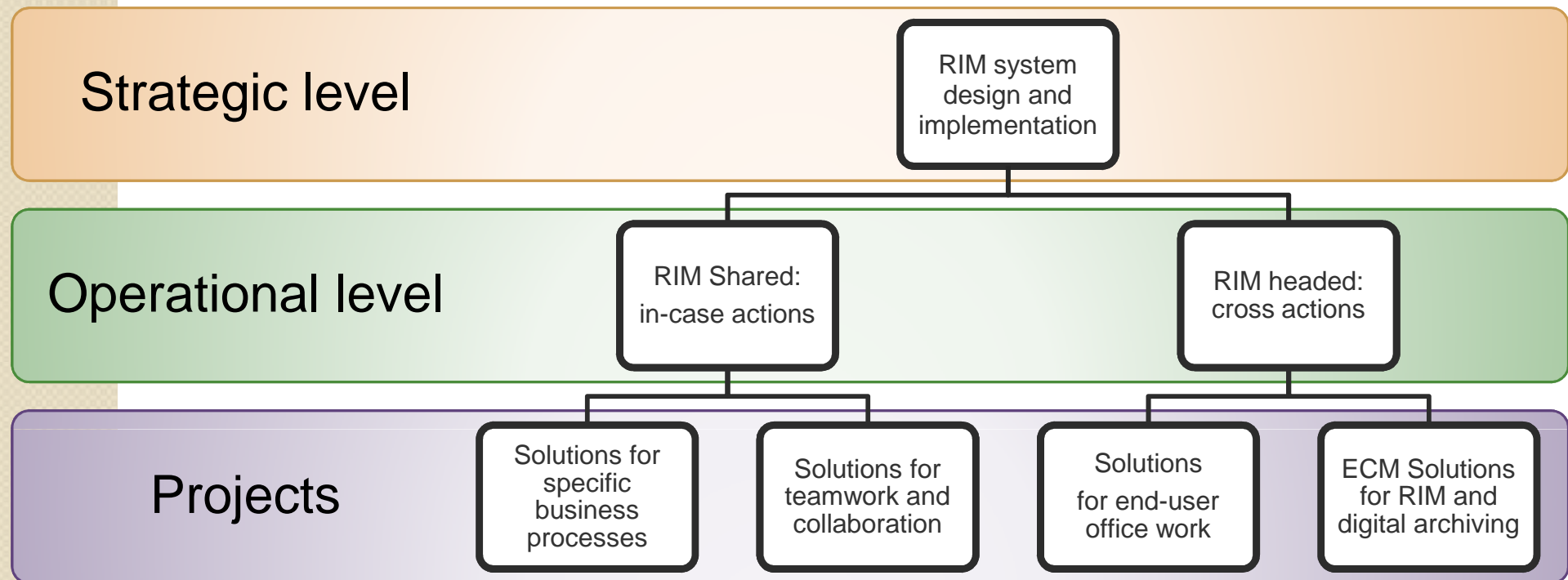
# Several organizational models for RM (RIM) system maintenance



# The future is nomadic: consultancy



# Opportunities for RIM projects



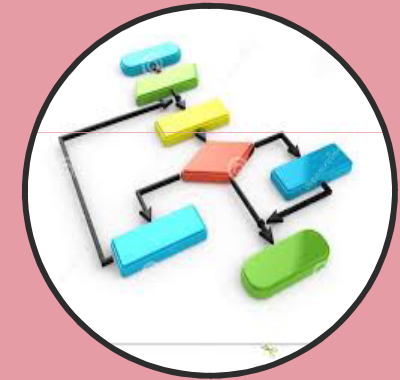
# Integrating three kinds of projects



RM/RIM system  
design and  
implementation  
project



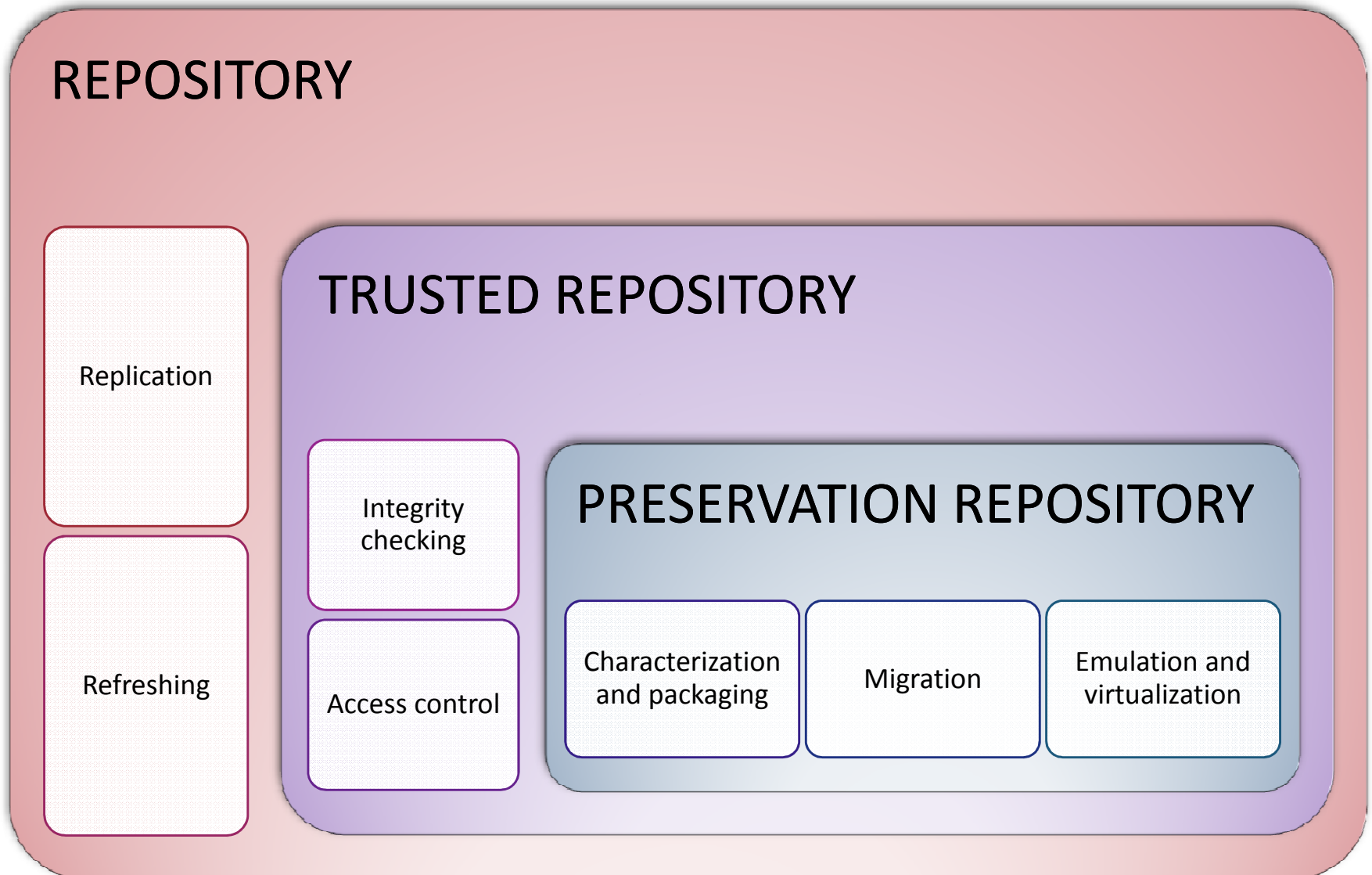
IT solution  
development  
project



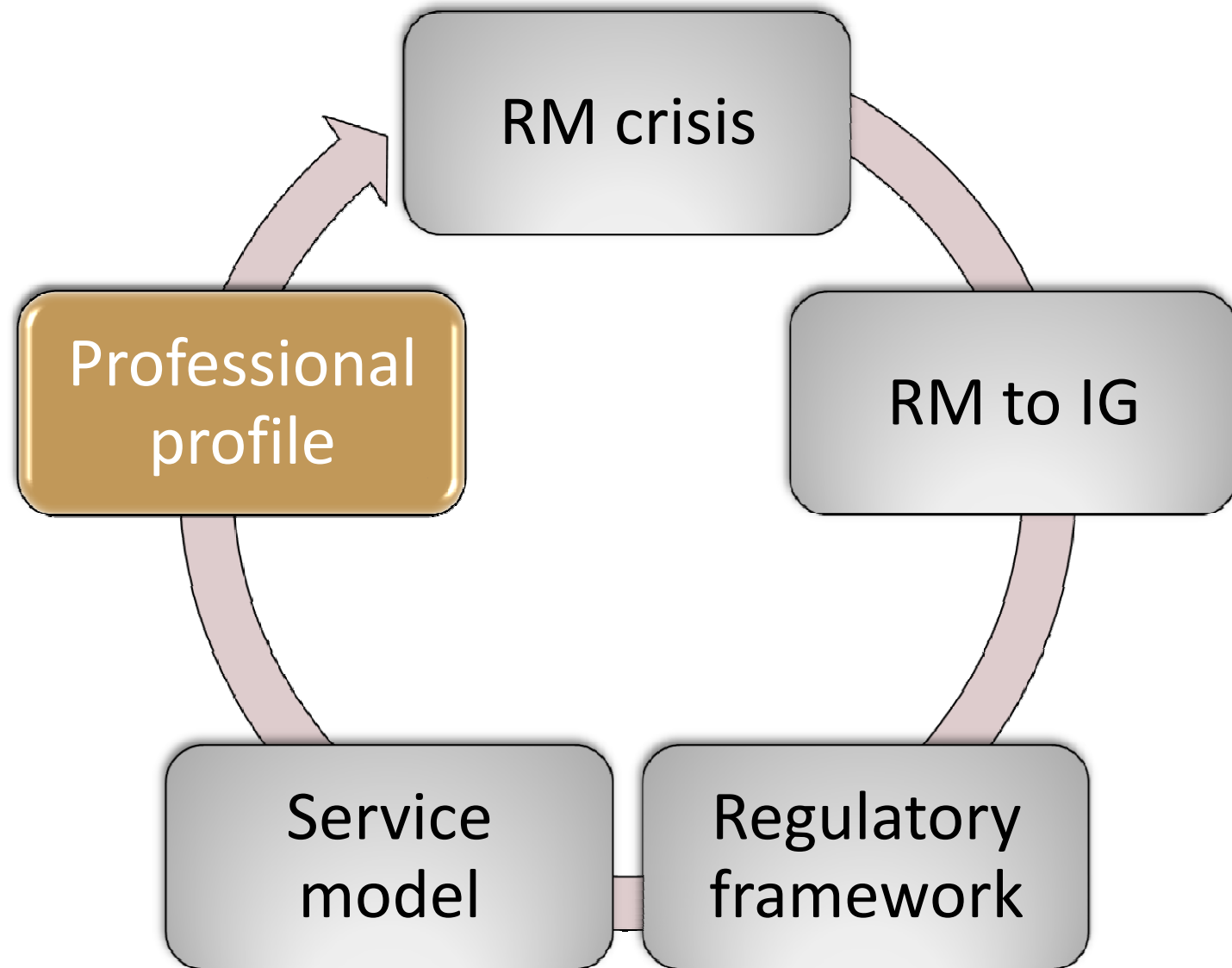
Business  
process  
reengineering  
project



# Always with an unavoidable service: long-term digital preservation



# Profession





Come back to endless discussion...

**What's a "Records  
Management Professional"?**

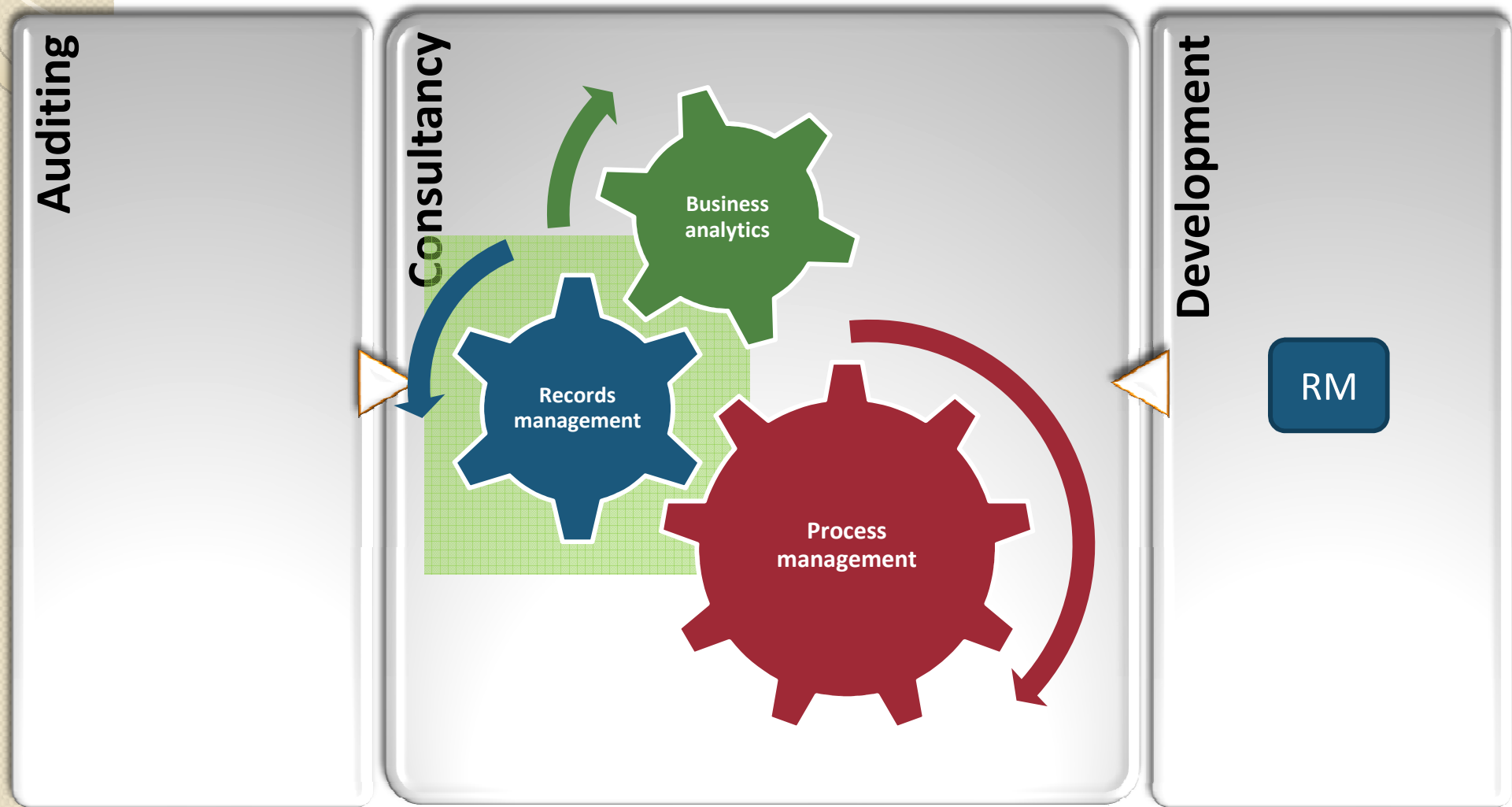
# Traditional barriers in countries where archival science is the original professional context

- Social image
- Organizational location
- Competences distribution
- Training and collaborative skills
- Systems ownership
- Unwillingness to action

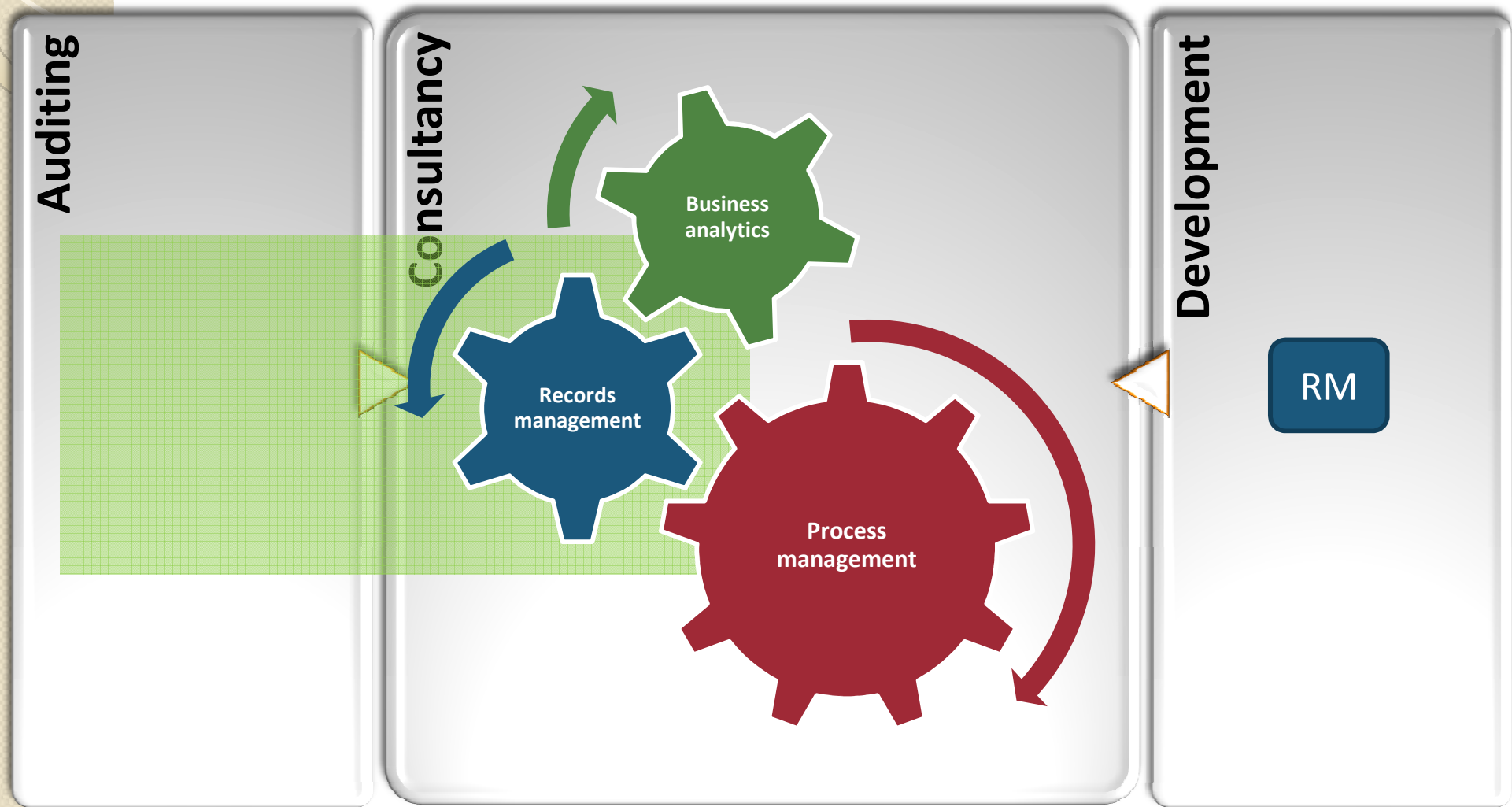
# Main driving factors for evolution

- **Blurred borders:** cooperation with other professionals and joint projects.
- **Acceptance of invisibility:** respect to competences distribution and greater autonomy to business systems and end-users.
- **Conceptual and methodological strength,** and use of really effective tools.
- **Differentiation** between business records management and cultural heritage management as two strongly specialized areas.

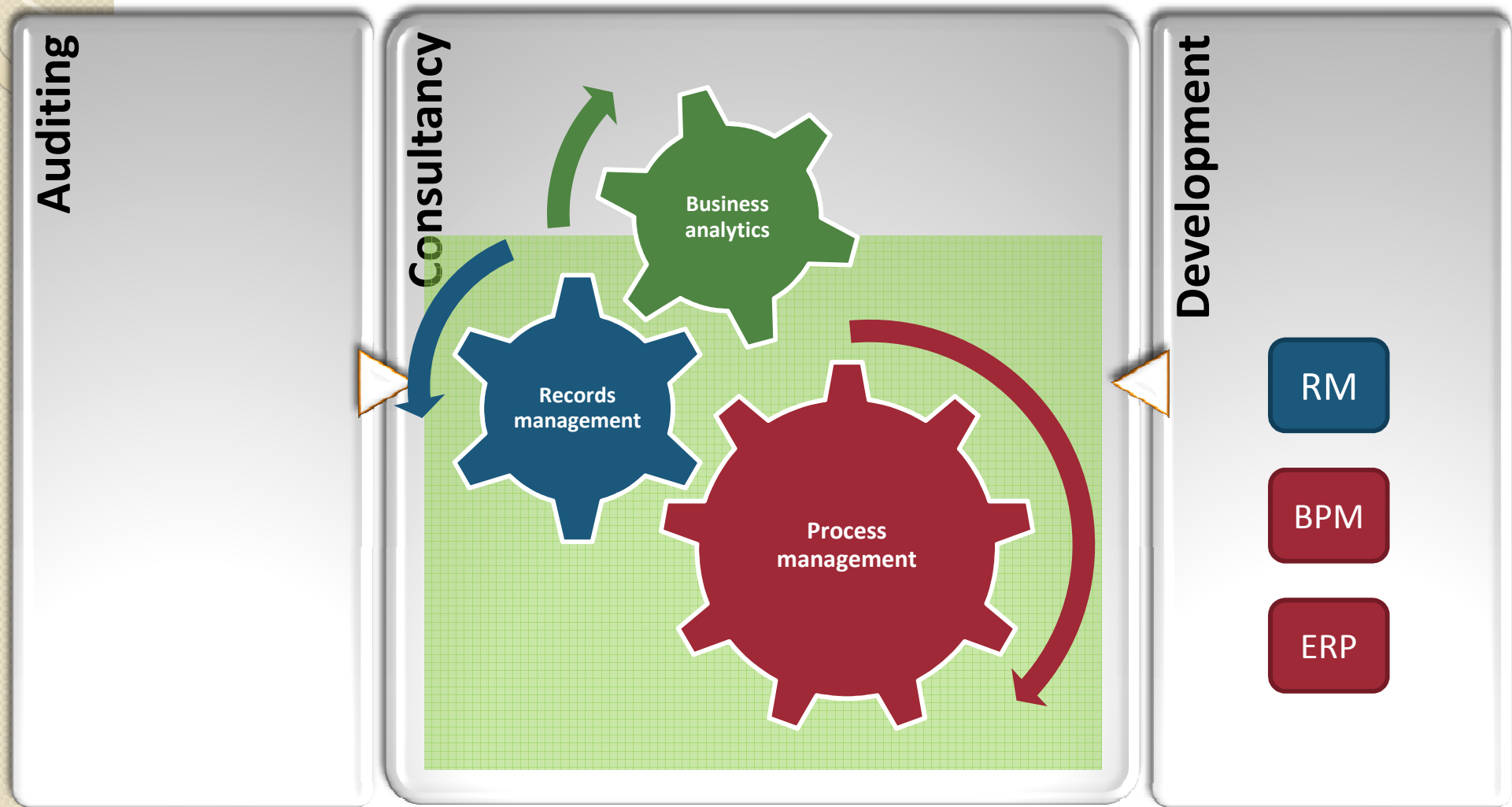
# Focused records manager profile



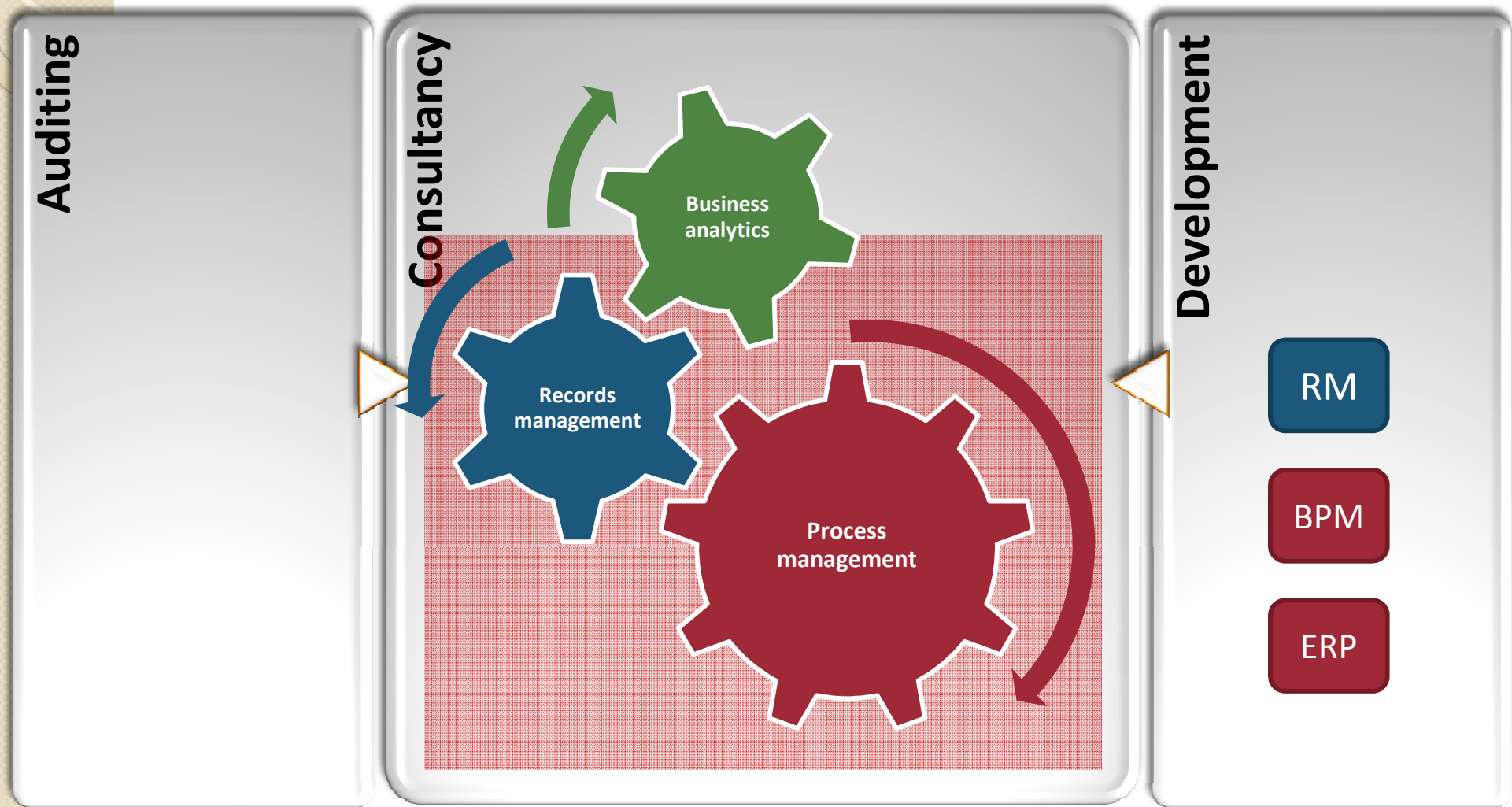
# Extended records manager profile



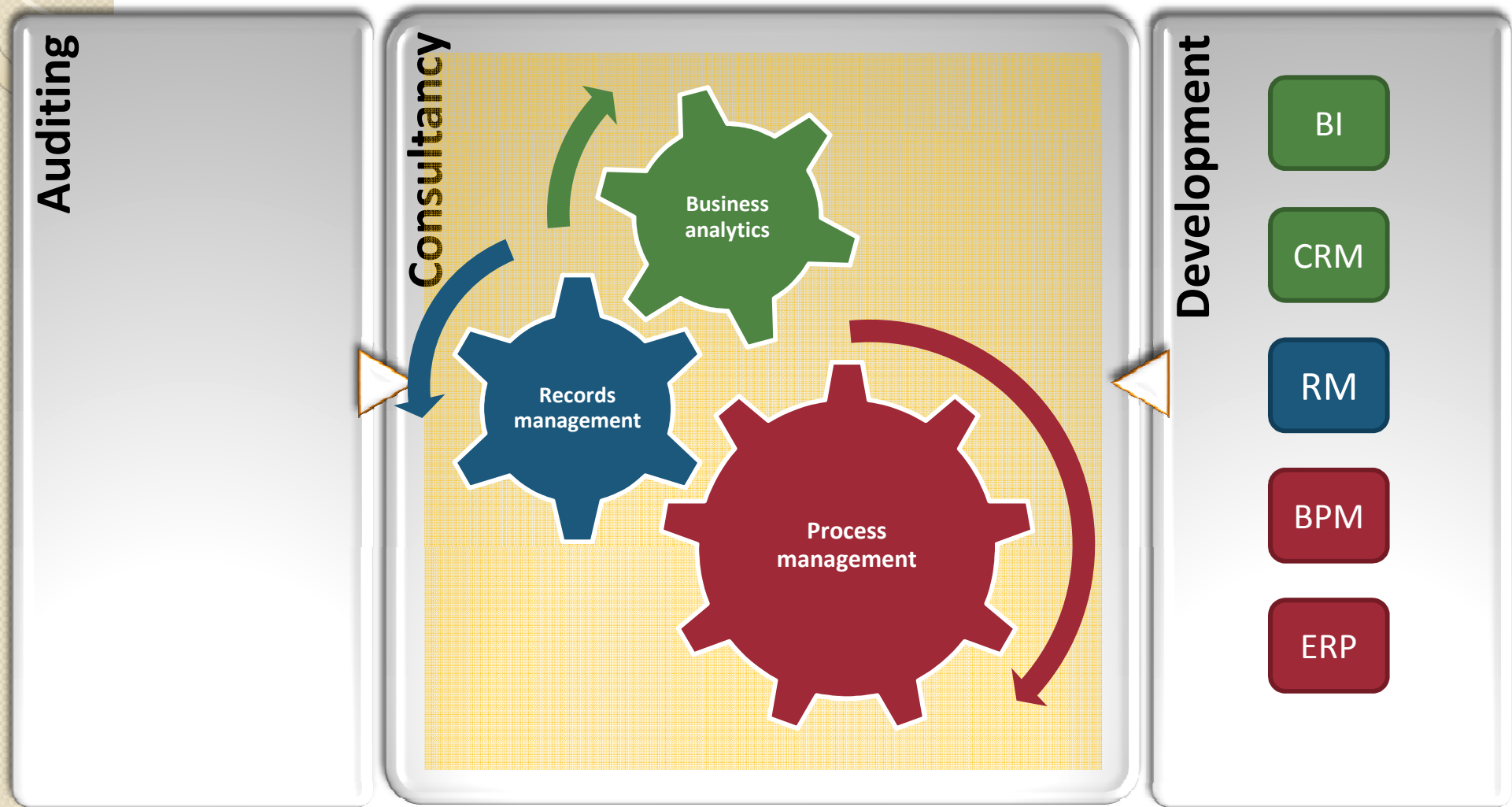
# Hybrid records manager profile



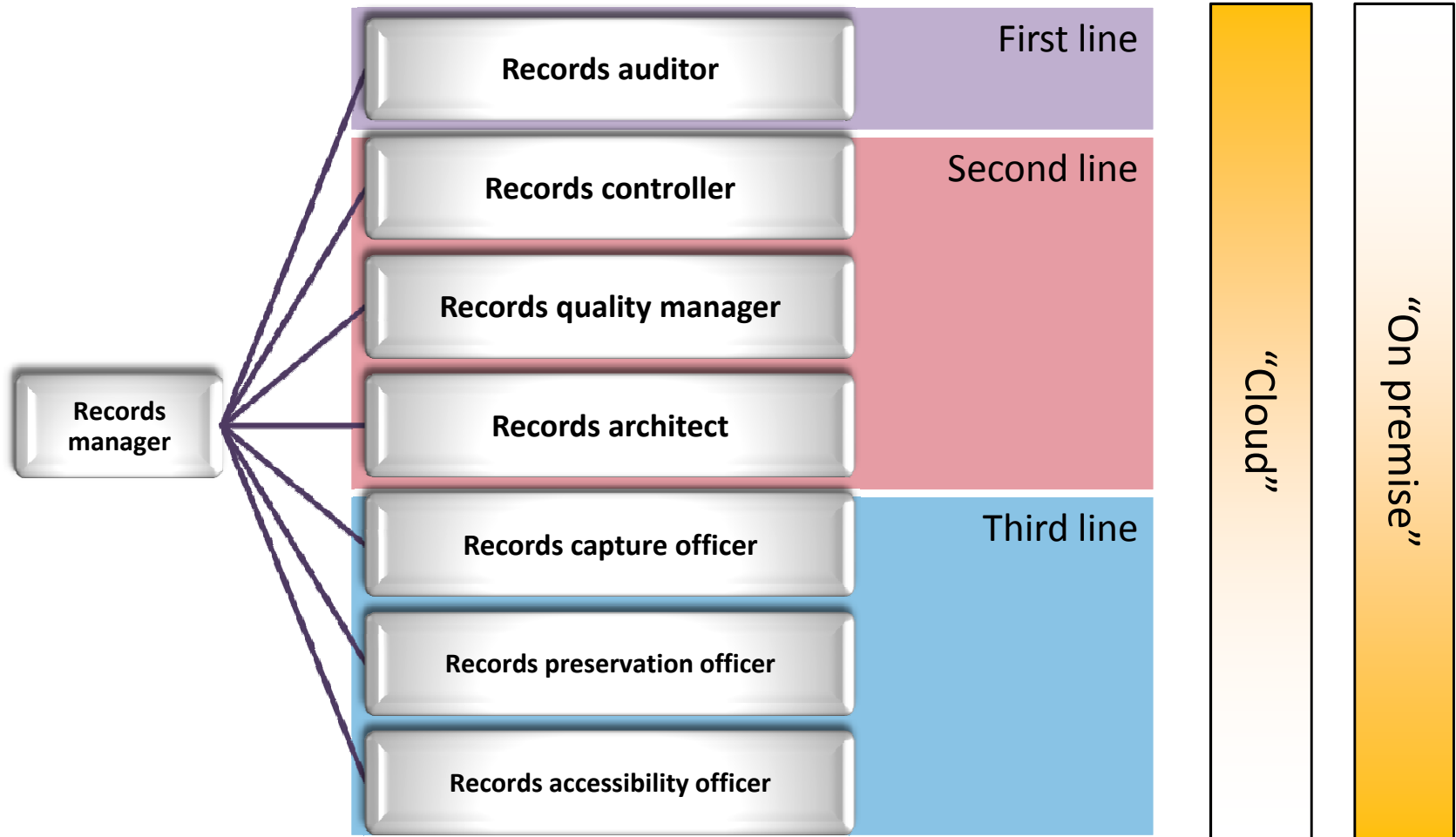
# Hybrid process analyst profile



# Full hybrid profile



# The metamorphosis of records manager



Frans Smit, 2013



# Thank you

## Jordi Serra Serra

[serra@ub.edu](mailto:serra@ub.edu)

<http://www.mgdie.net/en/>

<http://bd.ub.es/pub/serra/>