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# WORLDWIDE NEWS

## Surprise moves at Archives New Zealand

New Zealand's Chief Archivist, Marilyn Little, has left the post after three and a half years to step up to a senior management role in the agency's parent ministry, the Department of Internal Affairs (DIA).

Public announcement of the change came in a statement by the new Acting Chief Archivist, Richard Foy, in a routine edition of the Archives' newsletter. It caused RIM-community surprise not unlike that which accompanied Ms Little's appointment to lead the public records archives in 2014 after the still-unexplained resignation of her predecessor, Mr Greg Golding.

Before the new moves, Mr Foy was the Director of Digital Strategy for the Information and Knowledge Services branch of the DIA. In a leading article in the September 29 edition of Archives NZ's on-line publication, *Ngá Tapuwae*, he introduced himself as "having taken on the role in late-July, as Marilyn Little was seconded to acting Deputy Chief Executive for the Policy Regulatory and Ethnic Affairs branch of the Department of Internal Affairs".

FROM THE TOP: Marilyn Little and Richard Foy

It seemed that, internally, Archives New Zealand was also taken aback. Its website continued to list Ms Little as 'Chief Archivist and General Manager', despite the DIA's own, separate website showing her heading the five-branch policy department. Mr Foy announced that Ms Little had since accepted the permanent post, starting on 2 October. He wrote:

"At Archives, we are saddened that we have to say goodbye to Marilyn as she has made a significant and lasting contribution to Archives since February 2014, and has built a really high performing team that has a noticeable culture and welcoming team spirit."

He noted that Ms Little had lead the creation of the Film Preservation Lab, the Christchurch Archives rebuild following the 2011 earthquake, the successful handling of the Prime Minister's text message review, and the building of a "solid foundation for recordkeeping standards". He went on:

"I will remain as acting Chief Archivist until 31 March 2018. In the New Year, a contestable recruitment process to appoint a new Chief Archivist will be run."

## Restricted Australian defence data hacked

About 30 gigabytes of restricted defence information on the F-35 Joint Strike Fighter, the P-8 submarine hunters and Australian naval vessels has been stolen in a hacking attack.

*The Australian* newspaper reported on 12 October 2017 that the hacker had access to the data for three months before the Australian Signals Directorate became aware of it. The ASD referred to the period – between July and November 2016 – as "Alf's Mystery Happy Fun Time", in a reference to a *Home and Away* character.

The federal minister responsible for cyber security, Dan Tehan, revealed that a hacker understood to be based in China had stolen 'significant' data from an Australian defence contractor. The Government's Australian Cyber Security Centre (ACSC) learned of the incident last November and helped end the attack.

At an industry conference in Sydney, ASD employee Mitchell Clarke provided details about the hack on a 50-person aerospace engineering firm that subcontracts to the Defence Department.

"That … archive contained about 30 gigabytes of defence and other commercially sensitive data. A lot of the data was ITAR, ITAR is the US International Traffic in Arms Regulations," Clarke said.

## NZ Privacy Commissioner 'very concerned' at personal data breach

New Zealand Privacy Commissioner John Edwards has revealed his concern about the findings of an Auckland High Court judge that criminal gang members were able to obtain the private details of a police informant from car registration files held by the nationwide company, Vehicle Testing NZ Ltd, a former state-owned enterprise.

Sentencing six members of the Head Hunters gang for kidnapping and manslaughter, Justice Palmer noted that in an earlier attempt to kidnap the victim, one of the gang members had been able to get the details from the car numberplate of a motorist who reported the group behaving suspiciously. This was done through a VTNZ employee who had access to the company's database.

Mr Edwards has asked VTNZ for details of the incident, and for an explanation of the security processes and procedures in place at VTNZ.

A VTNZ statement said the company had worked closely with a police investigation after the breach was detected. A spokesman told media: "We have reviewed our policies and processes. Since the incident, we have also increased audit and procedural controls."

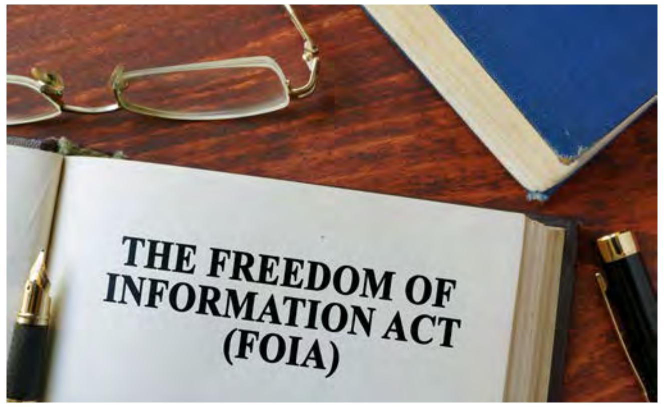
ABOVE: John Edwards

## US state agencies using the law against FoI claims

State governments in the USA are increasingly attempting to close down Freedom of Information demands for public records. The ploy? Issuing legal writs against the requesters.

The venerable US news co-operative, Associated Press (AP), reported[1] recently:

*"Government bodies are increasingly turning the tables on citizens who seek public records. Instead of granting or denying their requests, a growing number of school districts, municipalities and state agencies have filed lawsuits against people making the requests: taxpayers, government watchdogs and journalists who must then pursue the records in court at their own expense."*




The lawsuits claim that the records sought do not have to be divulged but do not seek damage awards. Freedom-of-information advocates are alarmed at the trend, AP reported, saying the method was a new way for governments to hide information, delay disclosure and intimidate critics.

The report quotes University of Kansas journalism professor Jonathan Peters saying: "This practice essentially says to a records requester 'File a request at your peril'. These lawsuits are an absurd practice and noxious to open government."

Some state officials employing the process say they are acting in good faith, insisting the courts should clarify unclear obligations, for example, when the documents may be shielded by an exemption or privacy laws.

The AP writer cites a catalogue of examples including an Oregon parent wanting details about school employees getting paid to stay home; a retired educator seeking data about student performance in Louisiana; and Kentucky college journalists requesting documents about investigations of employees accused of sexual misconduct.

The lawsuits have been denounced by some courts and policymakers. In the north western state, Michigan, the House of Representatives voted 108-0 earlier this year in support of a Bill that would make it illegal for agencies to sue public records requesters. The Bill's sponsor called the tactic "a backdoor channel to delay and put pressure on the requester" that circumvents the state's Freedom of Information Act. The Bill "remains pending in a state Senate committee", AP reported.

An Australasian observer commented: "We know that USA society is highly litigious but let us hope our local authorities and Government agencies do not find ways of adopting similar baulks to FoI activity."

Footnote

1 See https://apnews.com/7f6ed0b1bda047339f22789a10f64ac4

INDUSTRY NEWS

## British Library rushing to save decaying sound archive

A Nazi radio archive with more than 4,000 discs that have never been played, a collection of Beijing street sounds from the 1990s and the voice of Florence Nightingale are among the British Library's six-and-a-half million sound recordings.

The earliest are from the 1880s, recorded on wax cylinders that sit, fighting off mould and decay, four storeys underground beneath the library's huge London complex. In a race against time before the most fragile recordings vanish, the archive is being digitised, the global *Wired* magazine (https://www.wired.com/) reported. The feature continued:

"Sound recordings are facing two ticking time-bombs – the formats are degrading and some are literally falling apart on the shelf," said Will Prentice, the softly spoken head of technical services at the British Library, the digitisation project leader. He's trying to save the recordings before they are lost to decay and dead hardware.

Efforts to date by the Prentice team are showcased in an on-line exhibition opened in October, Listen: *140 Years of Recorded Sound*, (http://sounds.bl.uk/). But there's much more to do. One and a half million analogue discs, tapes and cylinders across 40 different formats are stored in the library's archive. "If you can think of something that you can hear, we've got something like it," Prentice told *Wired.*

In 2014 a team of five engineers started digitising the collection at a rate of 20 tapes per person per day. At that rate the project would take 47 years to complete, the team reckoned. To speed things up, the library launched *Unlocking Our Sound Heritage*, a project with the aim of raising £40 million.

More than £18.8 million has been raised so far, *Wired* reported, which is being put towards saving the most at-risk recordings. An additional ten digitisation centres are being created across England, Scotland, Northern Ireland and Wales, with each focusing on digitising their local collections.

"We're excited about digitising things that are held in tiny pockets of England," Prentice said. "There's dialect and folk songs – Britain's really diverse for that." Prentice has been with the library for 17 years. He doesn't have a favourite sound from the archive, but when pushed, one does come to mind.

"Before the Russian Revolution they sent an engineer around the Caucasus, travelling partly on trains, partly on donkeys to make recordings of local music," he told *Wired.* "Some of those are wonderful."

## US family doctors tire of electronic data entry burden

American family doctors spend more than half of each workday typing into computers and completing other tasks in electronic health records, according to a new US study conducted by the American Medical Asssociation and the University of Wisconsin[2].

The GPs complain the workload is taking time away from patient care.

Using IT event logs and direct observation data, researchers found that during a typical 11.4-hour workday GPs spent almost six hours on data entry and other tasks within health records systems.

AMA immediate-past president Steven J Stack, MD commented: "I am not surprised to hear these results, and I can tell you no one who practices medicine today would be surprised by them. They highlight exactly why new technologies that can bring greater efficiencies to medicine are so important."

Phycians blame poorly designed and implemented EHR systems for a growing sense among general practitioners they are neglecting their patients as they try to keep up with an overload of type-and-click tasks.

The association said it recognised many changes could only be implemented in the long-term due to vendor product development lifecycles, limitations of current legacy systems and existing contracts, regulations and institutional policies.

"However, there is a great sense of urgency to improve EHRs because every patient encounter and the physician's ability to provide high-quality care is affected by the current state of usability," the association said in a call to action.

Footnote

2 "Tethered to EHR", *Annals of Family Medicine*, corresponding author, Brian G. Arndt, brian.arndt@fammed.wisc.edu, Madison, WI, USA, www.annfammed.org/content/15/5/419.full

## Belgium joins the recordkeeping standard club

The centre of Western Europe, tiny, triple-tongued Belgium, the headquarters of the European Union and land of more beau breweries than you could shake a stick at, has final joined all its Euro-neighbours in the record management unities of ISO15489, 30300 and more.

Early in the year, Belgium's National Bureau for Standardisation (NBN) became a 'participating member' of the ISO Archives and Records Management sub-committee, TC46/SC11, and was represented for the first time in the sub-committee's plenary sessions in Pretoria, South Africa.

The SC11 website[3] reported: "Since the regulatory framework is currently changing in Belgium, records and information management is a growing concern, not only for public organisations, but also for the private sector. Among others, the adoption of the *Belgian Digital Act 2016* appeared to be a great opportunity to develop policies and to gather national experts."

A NBN mirror committee for the SC11 has been formed to incorporate international standards into national ones. The first decisions of the national committee regarding implementations of the ISO standards were expected before the end of the year.

The SC11 on-line statement says: "(It) will likely lead to the national adoption of the ISO 30300 Management System for Records (MSR) series, ISO 16175 and ISO 15489. Moreover, the latter will probably be mentioned, among other international standards, in the Royal Decree that facilitates the application of the Digital Act. As the three Belgian national languages are French, Dutch and German, links with French-speaking countries, the Netherlands and Germany will be established or strengthened to work together."

Belgium's active part completes SC11's West European coverage and brings its participating membership to 31. Another 18 nations are connected as "observing" members. The sub-committee's Secretariat is managed by Standards Australia.

Footnote

3 ISO TC46/SC11: https://committee.iso.org/sites/tc46sc11/home/news/content-left-area/news-about-standarization-in-t-1/nbn-belgium-bureau-for-standardi.html

## PRO Vic gets new improved disposal standard

As part of Public Record Office Victoria's (PROV) continuous improvement program, the Disposal Standard and associated specifications have been reviewed and updated.

The Disposal Standard is concerned with the lawful disposal of public records by an agency, which can be done in one of two ways:

- by authorised destruction, or
- through an authorised custody transfer.

The associated specifications are related to developing disposal authorities, implementing disposal authorities and transfer of State Archives to PROV.

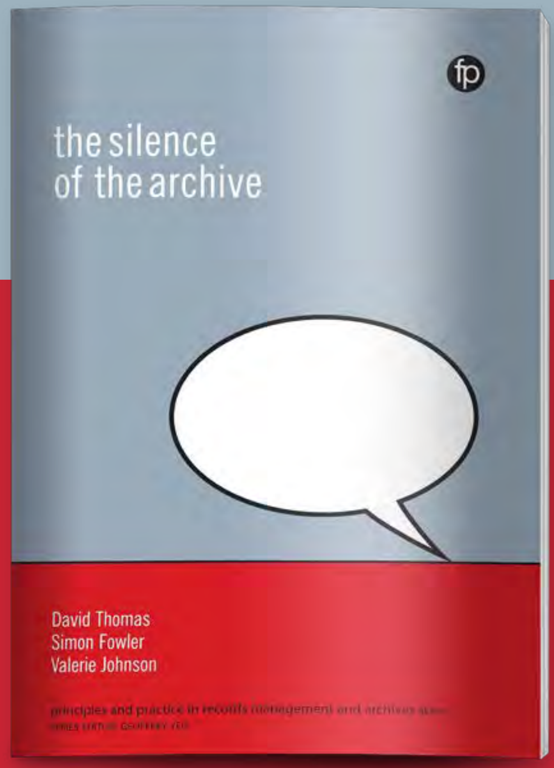
A review of these documents included an assessment and feedback period to determine what could be streamlined and what needed to be updated to ensure clarity, practicality and relevance to Victorian Government agencies.

Changes made as a result of the review included:

- the removal of the Accuracy principle from the Disposal Standard, as it was adequately covered by other principles
- removal of 15 requirements across the three Specifications, as they were adequately covered elsewhere
- rearrangement of the principles to better reflect the workflow from authorisation to action
- rephrasing of existing principles and requirements to improve clarity
- adjustment of examples of evidence to improve clarity.

PROV thanked all stakeholders who contributed to the successful revision of these documents. They can now be downloaded from the PROV website at prov.vic.gov.au/recordkeeping-government/about-standards-framework-policies/disposal-standard.

# The silence of the archive




In this book, the authors bring together cases, stories and illustrative examples to consider 'the silence of the archive' – ie, situations when the archives, for whatever reason, do not contain the information required. The authors describe why these silences exist, discuss their impact, and survey how researchers have responded to them in the digital age.

Review by **Barbara Reed**

The notion of the archive as inherently political has always been around, despite one of the core tenets of archival practice being the assertion of the neutral archivist providing the moral and physical defence of the record. The arrival of digital records has exacerbated those trends already in evidence in schools of thought such as post-modernism and post-colonialism. There is very little chance that the archive can be thought of as neutral, fixed and stable in today's world. And this book brings the discussions of the archives as constructed spaces into prominence.

The silences discussed range broadly, some of the more obvious are as follows:

- Records which never existed, or were never captured
- Records which have been supressed or where voices have been deliberately silenced
- Records which have been destroyed
- Records which are technologically dependent and bizarrely both fragile and ubiquitous at the same time
- Records that are so voluminous that they defy existing practices for management again, paradoxically, creating virtual silences.

This is, of course, my list, and does not do justice to the exploration of silences undertaken in this book. Separated into seven chapters, each addressed by a named author, each contains a range of great stories and cases ranging across many centuries, as the authors bring their collective experience gained broadly across the UK public sector and further afield, to exploring these ideas.

In the main, the volume addresses the notion of the archive as some form of 'neutral' custodial space – but as we all recognise, the digital fundamentally challenges practitioners to be more active in the shaping of records for the future. These essays begin to approach a type of continuum stance through the advent of the digital, where issues surrounding the formation of the archive must be approached as a design issue, and kept front of mind during all records processes. These approaches may appeal more to iQ readers, so it is with some regret I leave the great stories behind … of ships claiming to be attacked by sea monsters off the coast of Scotland – or was it to cover up intelligence missions? … of maps as political reflections deliberately omitting those aspects not to be discussed or known about … of forgeries across the years from John Drewe adding papers to the Tate Gallery archive to authenticate forged paintings … to Mark Hofmann's forgeries around key documents in the Mormon faith … and of fictitious flights of fancy such as details of Shakespeare's Italian travels.

Back to our own practices, though. This book positions the process of appraisal as central to the existence and silence of the archive, with numerous examples of how selection practices affect the resulting archive – eg, large-scale destruction of papers following World War 1 which at the time reflected the social requirement to move on, but now, in a different social time, regarded with regret. But we can bring this type of questioning about appraisal practices very much into the current workplace with new concepts of appraisal covering decisions about what to create/capture, as well as what to select. The issues of politics (little p), both organisational and social, greatly affect our chances of having records into the future. This more proactive notion of appraisal is embedded within the 2016 revision of ISO 15489, Records Management.

Similarly, there are many examples in the book of how descriptive practices are inherently political – from the construction, or absence of references in the catalogues of archives. But taking this forward to the current workplace, and the complexities of ensuring appropriate labelling to capture context, the issues are fundamentally the same. Your 'border control' may be my 'humanitarian disaster', depending on personal, organisational and social perspectives. The authors discuss the deliberate obfuscation through use of code words, perhaps understood at the time by those in the know, but intended to hide. And they also discuss emerging attention to rights of subjects of records – not simply the single perspective of the creating organisation.

David Thomas in particular discusses mechanisms for access – both through traditional style catalogues but thinking into better digital experiences for users (and I would add regardless of whether they are seeking archival or current records). I particularly liked his somewhat trenchant comment on the misinformation being promulgated by some UK politicians that publishing open datasets somehow replaces the notion of access to records as open government.

*In the main, the volume addresses the notion of the archive as some form of 'neutral' custodial space*

Thomas questions, too, how we can scale our processes and practices adequately for the digital world.

Lastly, in my very selective romp through this book, there is an excellent discussion of the concept of imagined archives. This is the expectation of users that particular records exist. Leading to unachievable expectations where the records just don't exist for whatever reason, this intriguing notion is also important for our notion of proactive appraisal. Articulated by Michelle Caswell and Anne Gilliland in the archival literature in relation to the expected records surrounding those accused of crimes against humanity, this notion can be extended to any community of individuals affected by organisational actions too. Rather than leaving such expectations hanging there, we could turn them around and use them as templates for what records should be created. Intriguing ideas.

*The Silence of the Archive* (London, Facet Publishing, 2017) was brim full of interesting cases, stories and illustrative examples. It is packed with references to the latest archival literature and thinking, while ranging broadly across other domains reflecting the erudition of its authors. A thoroughly thought provoking and recommended read. ❖


## ABOUT THE AUTHOR

Barbara Reed is the chair of IT 21, Standards Australia's Records and Document Management Systems Committee and RIMPA representative on that Committee. In her day job, she is a director, Recordkeeping Innovation and a consultant in the field of records, archives and information management with more than 25 years' industry experience in Australia and the Asia Pacific region.

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# A whiff of hope for Hong Kong Public Records Management law?

**Hong Kong Special Administrative Region of China is still an exception in the civilized world because of its adamant refusal to introduce an Archives Law. But there seem to be signs of a breakthrough recently.**

By Simon FK Chu

Simon FK Chu, speaking at the conference Seeking Truth through Archives, at Hong Kong's international Discovery College earlier this year

With the stepping down of Leung Chun-Ying, the most unpopular head of government during Hong Kong's history, the newly 'elected' chief executive Carrie Lam, has pledged to legislature pan-democrats that she would introduce such a law, possibly by the end of this year.

Her declaration came after a report on the issue was released by the Sub-Committee on Archives Law of the region's Law Reform Commission. The Hong Kong Archives Action Group (AAG) remains skeptical that Mrs Lam will stand by her words in a government that answers not to the people of Hong Kong but to Beijing.

So, instead of waiting passively for the bestowal of a mercy from the government, the AAG has adopted a more proactive strategy. Since early this year, the group has been working with three legislators from the democratic camp within the government, Charles Mok, Dennis Kwok and Tanya Chan.

> *The reality is that Hong Kong's Chinese overlords ... have made it very difficult for Legislative Council members to introduce private bills*

## PRESSURE ON CHIEF EXECUTIVE

They plan to place a Private Member's Archives Bill before the Legislative Council. All are fully aware that it could be little more than a gesture. The most that might be achieved would be to make some noise and, perhaps, exert a little more pressure on Chief Executive Lam.

The Bill covers creation of a statutory records management structure and the appointment of an archives and records council giving advice and making recommendations to the Chief Executive on appointment of a government archivist.

To prevent the statutory body becoming toothless, the Bill includes sanctions for failure to create or manage records, for unauthorised destruction and for denial of public access.

The political reality is that Hong Kong's Chinese overlords since 1997 have made it very difficult for Legislative Council members to introduce private bills. Article 74 of the Basic Law – Hong Kong's mini-constitution – stipulates categorically that a private member's bill cannot be introduced if it has a "substantive effect on public expenditure, political structure or operation of the government".

## BILL COULD BE THROWN OUT

In a letter to the three Bill authors and the AAG, the Legislative Council's director of administration, Kitty Choi, argued that the Bill posed significant implications on the future records management policies, implying that the Bill should be thrown out.

However, the director seems to have forgotten that in 2009 she issued the General Circular No. 2/2009 - Mandatory Records Management Requirements in an attempt to provide 'teeth' to the 2001 Records Management Manual of the Government of the Hong Kong Special Administrative Region. The General Circular was to serve as a substitute for legislation, she said, and declared the dawning of the new age for records management policy in Hong Kong.

This most important 2009 policy statement made it mandatory for public bureaus and departments to start or continue undertaking a number of measures to establish a comprehensive management system for their records. It further required that these reforms and measures be completed before April 2012.

Therefore, the AAG and the three authors have good reason to assume that by now, five years after the deadline, a sound records management infrastructure has already been laid down with proper management measures and procedures firmly established in all public departments.

## NO FINANCIAL BURDENS?

To implement these policies, the departments will have already invested substantially to establish a sound RM infrastructure theory and practice. Therefore, passage of the Bill would not induce extra 'substantial' financial pressure on the departments.

On the contrary, the proposed legislation would only help the government's cause by providing a legal framework for all its ongoing undertakings and make sure that all future budgetary allocations would be used more cost-effectively.

But what is so sad is that, even if the legislators win the argument, in the end they may lose the debate. General Circular No. 2/2009 has proven to be largely ineffective.

Nevertheless, as part of the legislative procedure, the draft Private Members Bill has been forwarded to the Department of Justice for comments. The AAG and the legislators involved have little further to do than wait and see how Mrs Lam's government reacts. ❖

### ABOUT THE AUTHOR

Simon Chu Fook-keung was government archivist and director of the Hong Kong Government Records Service until the territory was returned to China in 1997. He is a member and former chairman of the Hong Kong Archives Society and has been Special Adviser for UNESCO's Asia Pacific Committee for the Memory of the World Program. He is a committee member of HK Archives Action Group. He is an honorary associate professor of the University of Hong Kong teaching archives program at postgraduate level. He also teaches archives and history in the Chinese University of Hong Kong.

# MUST THE SKY FALL?

As someone who has been struck by lightning surely knows (Google 'Grimestad lightning'), seemingly improbable events can – and do – actually happen. But when it comes to RIM, convincing management to consider prevention, as opposed to dealing with the aftermath of an 'event', can be difficult. Perhaps then, as RIM professionals, we should consider changing the motivational focus for implementing information governance from risk aversion to business profitably.

By Craig Grimestad

There is an old children's tale called Henny Penny or Chicken Little, where a chicken has an acorn fall on its head and it runs around yelling "the sky is falling", believing the world is coming to an end. Of course, the sky wasn't falling, isn't falling and seems to be safely secure. Often, those with records management responsibilities are treated as a 'Chicken Little' within their company as they warn of consequences to their existing (or non-existing) information governance (IG) or records and information management (RIM) policies, procedures, and practices. That treatment typically results from a corporate belief that the risk is exaggerated and any potential reward is minimal.

I digress, but I recall my own similar experience as an engineer some years back when I chaired the 'Corrective Action Committee' as part of a quality management program for our engineering department. Our task was to establish new norms and processes in response to 'failure' events to assure they would never happen again. We were successful and provided a valuable function. However, it seemed to me that we would be more valuable and better off to establish new norms and processes before a failure 'event' took place, avoiding the high cost of remedy and loss of reputation. Accordingly, I proposed that we rename our committee to be the 'Prevention and Corrective Action Committee'. I lobbied hard with our management team, arguing that prevention could be the same cost and effort of the corrective action without the high cost of the failure event. I lost the argument. I was unable to persuade my management team that we should include prevention in our title and charter. It is just hard for a company to be preventive rather than corrective.

To be fair, we were in a fiercely competitive market and raising the cost of the product with more robust designs might have hurt our ability to sell product and make a profit. Also the focus and cost of any prevention activity was uncertain. What specific areas of the product should be made more robust? How robust should we make the design? How many redundant systems we use?

The same however, is not true in the world of IG. The path to an IG business operation can be readily identified, and if done well will save the company money! The operational efficiency benefits of implementing IG changes lowers operating costs, even to the extent that the savings exceed the cost of implementation, and makes the business more competitive (See Psychology of RIM: Information governance is free, iQ, May 2017).

Perhaps those of us in the RIM community should change the focus of our pitch to company leadership? Instead of focusing on the risk of a deficient IG program and being rewarded by being considered a 'Chicken Little', we should revise our focus to be the improvement in efficiency and profitability? Then, the minimisation of the risk and expense of a 'Significant Records Management Event' is an additional benefit. Even if a company has business activity in, or interactions, with Europe and is concerned about the strong threat of the penalties under the new General Data Protection Regulation (GDPR), will it comprehensively improve the IG business function, or only perform a partial measure focusing on privacy?

> *Most companies ... place themselves in the 'It can't happen to me' camp – despite the increasing threats from lawsuits, hacking, terrorism ...*

As one who was struck by lightning (yes, struck by lightning – go to Google USA, enter 'Grimestad lightning' and you will find a summary of the strike), I well understand how something that seems so improbable can actually happen. Most companies have had the good fortune (so far) to have avoided a 'Significant Records Management Event' to date. Rather than appreciating their good fortune and moving to mitigate their risk by developing and implementing a solid IG/RIM program, they place themselves in the 'It can't happen to me' camp – despite the increasing threats from lawsuits, hacking, terrorism and natural disasters. For them, the sky must fall, or the lightning must strike, to be moved to action. Even then, their action might only focus on the area of the 'event'.

Much better then, for a company to understand and focus on the financial business improvement that results from a comprehensive IG implementation. Then the company has strong motivation to comprehensively implement and manage a full IG business function, and those with records management responsibilities will be viewed as 'business champions' rather than 'Chicken Little'. ❖


**ABOUT THE AUTHOR**

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

➲ He blogs to: infogoto.com/author/cgrimestad

# THE RECORD IS DEAD

## LONG LIVE THE RECORDS MANAGER

In the interest of doing things differently, this article (that maybe you're reading in hard copy, or maybe in HTML) is an interactive article. It asks you to do something. Let's be bold, and put it out there, says our author: What are you going to do differently to meet the challenges of these changing times in the records and information world head on?

By **Alyssa Blackburn**

Recently, after much procrastinating, I cleaned out my garage. Inside one box I found bundles of handwritten notes and 3 ½-inch floppy disks that I used for my university assignments. A story for another day is explaining to my children why a disk called 'floppy' was actually hard. With a little sadness, I realised there was no way I could get those documents back. The technology was well and truly extinct.

It made me stop and take stock of just how rapidly things around us are changing. Websites are losing favour to apps, and we're seeing the end of the dedicated mp3 player. And does anyone know someone who still uses a Blackberry?

### THE AGE OF THE RECORD IS DEAD

The information management space is not immune to changes. Perhaps the most significant is the extinction of the concept of a traditional, declared 'record'. I would argue that the age of the record is dead. Rising from the ashes (of a proper disposal process, of course!) comes the age of content, information, and data management. The challenges are different, but no less real, and in fact can be thrilling. This, along with the slow death of the electronic document and records management system (eDRMS), is a sure sign of changing times.

All information, content, and data has value regardless of whether it conforms to the traditional definition of a 'record'. The value may only be realised in the short term, presenting low risk to the organisation, but its value is there. As a result, this information needs to be managed regardless of its format or ability to fit within a definition that, to be honest, doesn't reflect how people work anymore.

We've moved past the days of enterprise content management (ECM) and into a time where we need to deliver enterprise information management (EIM) across all systems, across the organisation, regardless of format. As the concept of a record starts to be replaced with the broader concepts of information, content and data management, the role of the records manager has never been more important.

### ADAPTING TO A CHANGING ENVIRONMENT

Our ability as records managers to adapt to this rapidly changing environment will ensure that we add value to our organisation at a strategic, tactical and operational level. Strategically, we ensure that our organisation meets its compliance requirements. Tactically, we deliver the right information to users, reducing the noise of stale content to allow them to make good decisions. Operationally, we reduce storage costs by pushing information through a lifecycle so that the organisation only holds the information it needs, not everything else. It's vital for us to meet users in the work environment in which they are familiar. If we meet them where they are, and in the systems that they work in, we will bring information management to the user – not the other way around.

Our role in an organisation has never been more valuable. But the recognition of that value is dependent on our ability to keep up with the changing times. If we as professionals are not actively committed to both seeking and making change, we will find ourselves left behind and not able to fulfil the vitally important part we play within an organisation.

*Our role in an organisation has never been more valuable. But the recognition of that value is dependent on our ability to keep up with the changing times*

In the interest of doing things differently, this article (that maybe you're reading in hard copy, or maybe in HTML) is an interactive article. It asks you to do something. Let's be bold and put it out there: What are you going to do differently to meet these challenges head on? It doesn't have to be world-changing, although I can promise, the world around you will start to change if you do.

It might be something as simple as reviewing your policies and making sure they're written in plain English. It could be updating your classification scheme to make it less complex and more user-friendly. Put together a plan for Information Awareness Month to wave your IM flag high. Or maybe you'll commit some time to researching and becoming more familiar with new technology.

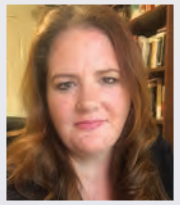
### GET IN TOUCH

You can tweet me at @blackburnaj or connect with me on LinkedIn and tell me the one (or many!) change you're going to make or what you'll do differently. Telling someone about it will help you stay accountable and create a community of ideas, options, opinions, and more importantly, support!

Come on Team Information Management – the path ahead of us is amazing and the opportunity we have is unprecedented. Let's grab it by the horns and make it happen!

#RMforChange ❖

**ABOUT THE AUTHOR**



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# INFORMATION MANAGEMENT STANDARD – *Australian Government*

On 28 April 2017 the National Archives of Australia released an Information Management Standard for the Australian Government. The Standard outlines principles for well-managed information within the federal government. It clarifies the National Archives' expectations for the management of business information to enable agencies to meet business, government and community needs and expectations. This article will cover why and how the National Archives developed the Standard and look briefly at what it includes.

By **Esther Carey**

The National Archives was formally established under the *Archives Act 1983*. The Archives oversees Australian Government information management by issuing standards and policies as well as providing guidance to agencies. The Archives also identifies the archival resources of the Australian Government, preserves them, and makes them publically available.

## BACKGROUND TO THE DEVELOPMENT OF THE STANDARD

The National Archives has a lead role in advising agencies how to create and manage trusted business information to meet their information management requirements and support efficient business processes. Its website contains a wealth of guidance and advice. This includes the current Digital Continuity 2020 Policy which is a whole-of-government approach to digital information governance.

In 2015 the Archives decided to investigate if it could support its current and future policy and advice by providing a foundation of key principles for Australian Government information management. An environmental scan of other Australasian jurisdictions revealed that they all had issued specific standards for their jurisdictions. The National Archives has previously issued standards on metadata but not on other subjects.

> *... the Archives decided to investigate if it could support its current and future policy and advice by providing a foundation of key principles*

Other reasons that led to the Archives' decision to develop a Standard which would outline fundamentals for information management included the following:

- The retirement of Check-Up 2.0, a self-assessment tool which had provided agencies with minimum recordkeeping requirements as recommended by a 2006 Australian National Audit Office (ANAO) report
- An omission noted by the ANAO in report no. 52 2011/2012, *Records Management in the Australian Public Service* that 'there is no single clear and explicit requirement for the Australian Government to create records of all its key business activities and decisions' (p.33)
- Remarks about this ommission by Peter Shergold in his 2015 report *Learning from Failure: why large government policy initiatives have gone so badly wrong in the past and how the changes of success in the future can be improved.* Conclusion

A.4 stated that 'An APS-wide policy on record keeping should provide practical guidance about when and how records must be created, including that records of deliberative discussions in all forms, including digital, should be retained.'

## OBJECTIVES IN DEVELOPING THE STANDARD

The Archives' objectives in developing the Standard were to do the following:

- Provide agencies with clear, simply worded principles to assist them to create and manage information effectively and accountably to meet business and community needs
- Situate the Standard within the framework of the Australian Government by referencing jurisdiction-specific legislation and policy
- Be consistent with the key concepts and principles of International Standard ISO 15489-1:2016 Information and documentation – Records Management – Part 1: Concepts and principles, which in 2017 was adopted as an Australian Standard
- Have an explicit requirement that records documenting Australian Government activities including communications, actions, and deliberations and decisions should be created
- Avoid the use of overly technical language to ensure the Standard would have a broad potential reach
- Highlight the benefits of managing information to maximise its value as a business asset and enabler.

The Standard was developed taking into consideration *The independent Review of Whole-of-Government Internal Regulation (Becher Red Tape Review)* – Principles for Internal Regulation http://www.finance.gov.au/publications/reducingredtape/principles/

These recommended that regulation should be principles-based, preferring capability improvement and good practice over mandatory requirements.

The Standard promotes a risk-based approach where the recommended actions should be followed more closely for high-value information or information needed to mitigate high business risk. It was developed in consultation with a variety of internal and external stakeholders.

*The Standard promotes a risk-based approach where the recommended actions should be followed more closely for high-value information …*

## CONSULTATION

The Standard was developed iteratively following a series of consultations.

Internal stakeholders within the National Archives were consulted about its purpose and scope, they were then consulted again after the first draft and after the penultimate draft following the consultation period.

Australian Government agencies were regularly informed about the development of the Standard via face-to-face and online GAIN (Government Agency Information Network) forums.

There was a formal consultation period with external stakeholders covering June to mid-July 2016. The Archives placed a draft on its website inviting comment from Australian Government agencies, professional bodies and other Australasian government archives authorities. The Archives also held a face-to-face consultation session with interested agencies and other parties to canvass direct feedback.

## BUSINESS INFORMATION

The Standard primarily uses the term 'business information'. Business information is defined as 'information and records in digital and non-digital formats that are created, used or received as part of government business. This includes both structured and unstructured information'. The National Archives has for some time preferenced the use of the term 'information' over 'record' to ensure that information in all formats and storage locations, including those not automatically regarded as records by some, such as datasets, are covered by appropriate information governance.

## ABOUT THE STANDARD'S CONTENT

The Standard is structured around eight principles with recommended actions to achieve the outcomes described in the principles. The Standard is deliberately high level so that it will not need regular update. It is supported by implementation guidelines. These guidelines link the recommended actions from the Standard to further advice relevant to the action on the Archives' website. The implementation guidelines will be regularly updated as policy and advice changes.

The Principles cover governance, creation, description, storage and preservation, appraisal, destruction and transfer, reliable and trusted management in systems, and use and reuse.

The emphasis for the first principle on information governance is that it is proactive, embedded within corporate structures, with the end goal of managing information as an asset to support business outcomes, needs and obligations.

The second principle on creation is explicit that the Australian Government jurisdiction is required to create records of its activities to support business needs including: enabling business operations, being accountable to stakeholders and satisfying individual and collective rights and entitlements.

The eighth principle on use and reuse highlights the need to manage business information to maximise effective and responsible access. Responsible access can mean restriction when needed for privacy or security considerations. Effective access can be optimised by planning to improve business system governance and architecture to facilitate interchange of information when beneficial. Under legislation, policy and general initiatives the Australian Government seeks to make its information available for the benefit of, and use by, the public and the Australian economy. This is reflected in the recommended actions of this principle.

These, and the remaining principles, provide Australian Government agencies with practical good practice guidance to improve capability and effectively meet fundamental requirements for the creation and management of Australian Government business information.

## WHY MANAGE INFORMATION WELL?

As records and information management practitioners we all know the benefits of well-managed information. Trusted and accessible information improves business efficiency and supports operations and outcomes. Digital technology has positively transformed the way that information can be created, accessed, accumulated and shared. Managing government information resources well protects their value as business and public assets for the benefit of clients, society and the economy.

Badly managed information can have real and poignant consequences. In 2016 the Royal Commission into Institutional responses to Child Sexual Abuse issued a consultation paper on records and recordkeeping practices. It found that the lack of records creation, or poor quality recordkeeping, had traumatic effects on children who had spent time in out-of-home care. These effects included disconnection from family and community, lack of knowledge about their family medical histories and diminished self-esteem and sense of identity. (p.10)

The Standard contains a statement that 'Every day the Australian Government takes actions or makes decisions that affect the lives of Australian citizens, residents and visitors'. Managing information well is not an end in itself, it is a means to an end. The National Archives through its policies and advice, as well as the Standard, assists agencies to create and manage information so that it can protect rights and entitlements, provide evidence of accountable and transparent decision making and meet the many and various purposes for which it is needed. ❖

## THE PRINCIPLES

http://www.naa.gov.au/information-management/information-management-standard/

**Principle 1: Business information is systematically governed**
Proactively plan and implement information governance to manage business information as an asset to support immediate and future business outcomes, needs and obligations.

**Principle 2: Necessary business information is created**
Create business information that is fit for purpose to effectively support business needs.

**Principle 3: Business information is adequately described**
Describe business information so that it can be found, understood and accessed appropriately when needed.
Information that describes an information asset is known as metadata.

**Principle 4: Business information is suitably stored and preserved**
Store business information securely and preserve it in a useable condition for as long as required for business needs and community access.

**Principle 5: How long business information should be kept is known**
Analyse and document how long to keep business information to meet identified business and community needs.

**Principle 6: Business information is accountably destroyed or transferred**
Keep business information for as long as required after which time it should be accountably destroyed or transferred.

**Principle 7: Business information is saved in systems where it can be appropriately managed**
Manage needed business information in systems that protect its integrity and support trusted and reliable use.

**Principle 8: Business information is available for use and reuse**
Create and manage business information so that it can be effectively accessed over time by staff and other users with a right of access.

## ABOUT THE AUTHOR

Esther Carey works in the Collection Management Branch of the National Archives. Her role includes developing standards and providing advice to Australian Government agencies on information management practices. She led the development of the Information Management Standard for the Australian Government.

Esther holds a Master's degree in Information Management and Systems (Records and Archiving) and a Master's degree in Museum Studies and Cultural Policy from Monash University. She also has a graduate diploma in Information Management (librarianship) from the University of Melbourne.

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# NEW INTERNATIONAL IM STANDARD FOR PROTECTION AND USE OF PERSONAL INFORMATION

Our author takes a ‘personal’ look at the new international IM standard for the protection and use of personal information – ISO/IEC 27552.

By **Alan Shipman**


Almost every organisation stores and uses (processes) personal information that can include names, addresses, contact details, staff and medical records. The quantity of personal information is growing too, as is the number of situations where organisations need to cooperate with others over personal information.

Protection of the privacy of the individual in the context of personal information use is a societal need, as well as the topic of dedicated laws and regulations all over the world.

As the quantities grow, the smaller newcomers, the ‘small-to-medium enterprises’ (SMEs) for example, increasingly need guidance on how personal information should be managed to reduce risk of privacy breaches and the impact of such breaches on the organisations and the individuals concerned.

Requirements for the protection of personal information vary depending upon the circumstances of the organisation, in particular where national laws and regulations apply. The purpose of a new international standard planned jointly by the International Standards Organization (ISO) and the International Electrotechnical Commission (IEC), called ISO/IEC 27552 – Information Technology – Security Techniques for Privacy Management – Requirements (to give its full title) is to translate these requirements into practical advice.

The new international standard will guide organisations through management of personal information throughout its life. It will apply in as many countries as possible, addressing the requirements with attention to local laws and regulations.

*The new international standard will guide organisations through management of personal information throughout its life.*

## STANDARDISATION WORK

The ISO/IEC working group[1] responsible for identity management and privacy international standards has been allocated this work. The group is a sub-group of the sub-committee responsible for standardisation of IT Security Techniques, ISO/IEC/JTC1/SC27.

At its meeting in Tampa, Florida, USA, in April 2016, the working group discussed the possibility of linking the use of personal information, known by the committee as ‘Personally Identifiable Information (PII)’, to information security. A draft proposal was produced, setting out how such a linkage could be achieved.

The work group decided that the project would take the form of an extension to the international standard on high-level information security management, ISO/IEC 27001[2]. This standard is part of the family of standards providing requirements for an information security management system. Providing an extension will enable organisations that wish only to follow the wider security standard to do so while those that wish also to follow the personal information protection standard will be supported.

This proposal was approved by ISO/IEC in June 2016. Work then began on an initial draft, and the reference number ISO/IEC 27552 was allocated.

The agreed scope of the new international standard was as follows:

*This document specifies the requirements for establishing, implementing, maintaining and continually improving a Privacy Information Management System (PIMS) in the form of an extension to ISO/IEC 27001 for privacy management within the context of the organization.*

*In particular, this document specifies PIMS-related requirements for PII controllers and PII processors holding responsibility and accountability of PII processing.*

*This document is applicable to all types and sizes of organizations, including public and private companies, government entities and not-for-profit organizations, which are PII controllers and/or PII processors processing PII within an ISMS.*

## WHY LINK WITH INFORMATION SECURITY?

One of the requirements for the processing of personal information is that it “shall be processed in a manner that ensures appropriate security of the personal information, including protection against unauthorized or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organizational measures”[3].

The high-level standard, ISO/IEC 27001, provides requirements for establishing, implementing, maintaining and continually improving information security management. The adoption of an information security management system is a strategic decision for an organization and is influenced by its needs and objectives, security requirements, the processes used and size and structure of the organization. All of these factors can be expected to change over time.

Information security management preserves the confidentiality, integrity and availability of information by applying a risk management process and gives confidence to interested parties that risks are adequately managed.

Hence, ISO/IEC 27001 provides a mechanism for identifying and adopting security controls appropriate to the processing of personal information within an organisation.

The new project will use the high-level structure, identical sub-clause titles, identical text, common terms and core


definitions as defined in the ISO management system model, such that compatibility with other ISO management system standards is maintained. This common approach will be useful for those organisations that choose to operate a single management system that meets the requirements of two or more management system international standards.

*Many of the requirements for the fair and lawful processing of personal information link to records management principles*

## WHAT ABOUT RECORDS MANAGEMENT?

Many of the requirements for the fair and lawful processing of personal information link to records management principles:

- The processing of personal information needs to be managed.
- All uses of personal information needs to be documented.
- Retention policies need to be established for personal information.
- Destruction processes for personal information need to be established and monitored.
- Personal information needs to be processed securely and in known locations.

Hence, it is appropriate for organisations with records management expertise to ensure that personal information is processed in accordance with records management practices, and to involve records management facilities in the design and management of the related processes.

## HOW WILL IT WORK?

The Information Security Management System (ISMS) defined in the high-level security standard was designed to permit the addition of sector specific requirements.

ISO/IEC 27552 will define additional requirements for the protection of personal information, enabling a management system to be extended to cover both the general requirements for information security, an ISMS, and the more specific requirements for the protection of personal information, a Privacy Information Management System (PIMS). These additional requirements will be written in such a way that they are practically usable for the protection of personal information by organisations of all sizes and cultural environments.

ISO/IEC 27552 will be used by companies that process personal information on their own systems or on the systems of sub-contractors. The work group identifies these organisations as 'data controllers'. It will also be able to be used by 'data processors', those organisations that process personal information for other organisations.

## WHAT ABOUT COMPLIANCE AND CERTIFICATION?

An organisation complying with ISO/IEC 27552 will be able to generate documentary evidence of how it manages the storage and use of its personal information. Such evidence could be used to facilitate agreements with business partners where the processes are mutually relevant. This might also assist in relationships with other stakeholders. The use of this standard in conjunction with the high-level standard can, if desired, provide independent verification of this evidence.

Compliance with ISO/IEC 27552 cannot simply be taken as compliance with laws and regulations. A number of national regulations call for 'the monitoring of compliance with a code of practice'[4] as a method for the accreditation and certification of organisations. Potentially, ISO/IEC 27552, when published, could provide a basis for such a code of practice.

## WANT TO GET INVOLVED?

At the time of writing this article, 55 countries are participating in the committee that deals with information security projects[5]. Participation by individual experts is through each countries national standards body. If you want to get involved, contact your national standards body. ❖

### *References*


1 Formally entitled ISO/IEC/JTC1/SC27/WG5
2 ISO/IEC 27001 Information technology - Security techniques – Information security management system - Requirements
3 From EU General Data Protection Regulation (Regulation 679/2016)
4 EU GDPR Articles 41 and 42
5 List participating countries https://www.iso.org/committee/45306.html?view=participation


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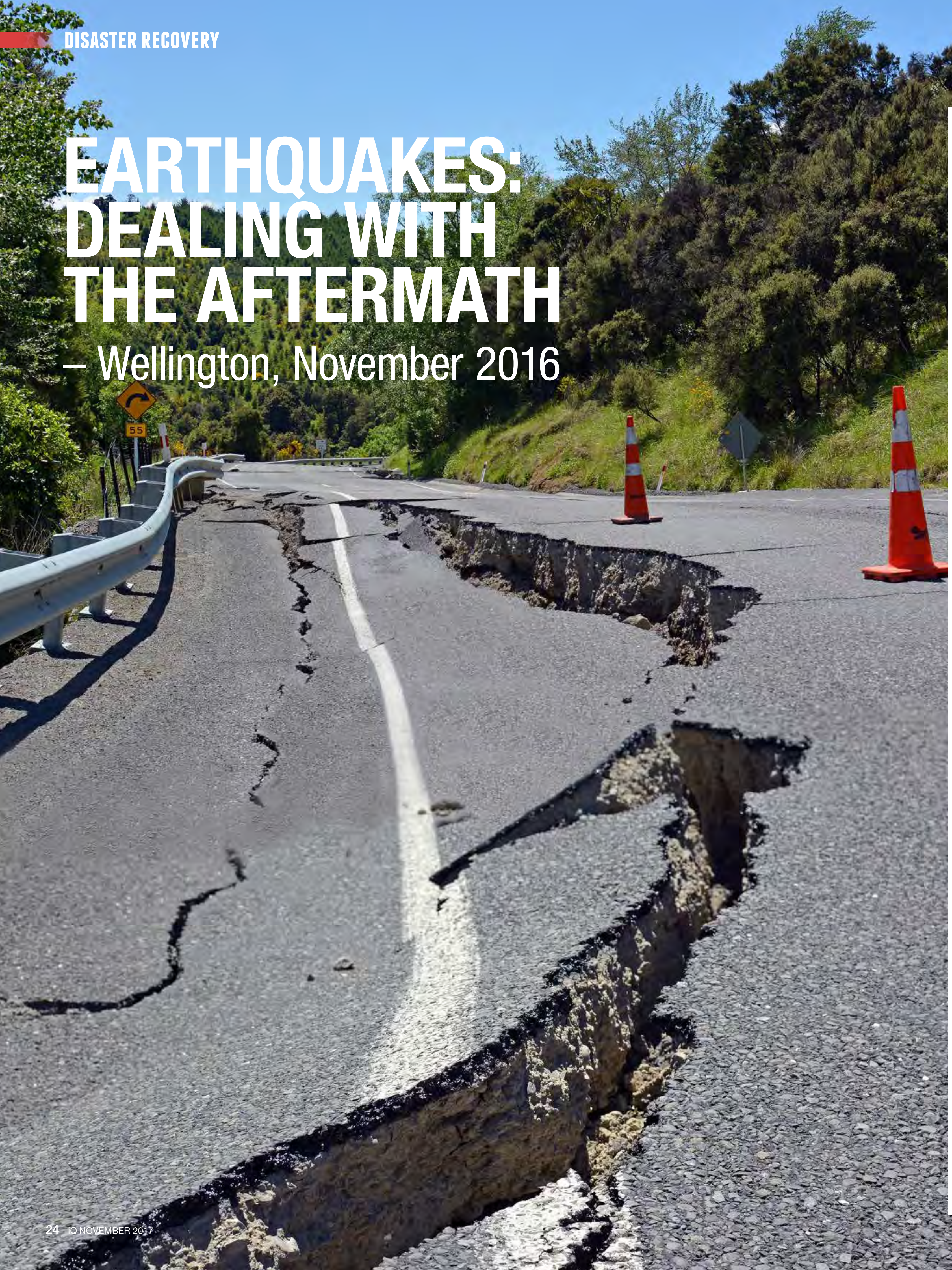


# EARTHQUAKES: DEALING WITH THE AFTERMATH

## – Wellington, November 2016





**What happens when an earthquake hits and your building has been reduced to chaos? The building becomes inaccessible and your entire agency has to set up shop elsewhere. Where do you begin in recovering from a natural disaster? This case study provides you with some insight and helps get you started on thinking about how you'll be able to respond effectively and efficiently when disaster strikes.**

By **Beatrice Siu**

Six months had passed since the November earthquake hit Wellington. Government agencies were salvaging their belongings, office equipment, and work. Some agencies suffered only minor damages, others were not so fortunate.


### THE PROJECT

I received a call from a colleague asking me to help run a project involving going through hundreds of boxes the agency had recovered from their building. Three to four hundred boxes had been sitting in a hangar for six months and no one at the agency quite had the know-how to process that many boxes.

Happily offering my services, we started scoping out the project together. We agreed this project was a unique opportunity to measure how much paper the agency was producing, managing and storing. I began to develop a methodology on how we would document and provide an accurate account of what had been uplifted from their offices.

### THE DIFFICULTIES

The project itself seemed like many I'd been involved with before. However, there were a number of challenges I hadn't anticipated.

**Staff communication** – This proved difficult because even though communications were sent out, staff were not necessarily comprehending the importance of regularly following up on them. Additionally, people were receiving different information from varying sources and weren't sure who had the correct information about what was happening.

**Staff co-operation** – not everyone was supportive of the project. When the agency decided to hire an external contractor to deal with the boxes, a few members of staff were not pleased, and some took it upon themselves to start moving the boxes to different locations. They hadn't kept a record of where boxes were moved, who the boxes went to, or what was found inside the boxes.

**Emotional encounters** – In the aftermath of the earthquake, staff were left distressed, frustrated and confused. I quickly learnt that I needed to provide staff a sympathetic ear but not let myself get too emotionally drawn in, so it wouldn't affect my work.

During my time on this project, I began seeing a pattern in the way people were managing their work. The state of people's desks wasn't that surprising, but it shouldn't take an earthquake for an agency to start taking their records management seriously. These were the biggest problems I found:

- Idiosyncratic filing. There was no consistency to how staff created, saved, and managed their physical records. The lack of process was evident. Some papers looked half worked on while others were completely processed and weren't filed away properly. What if other staff required access to those same records and couldn't access them because they were locked away in someone's desk draw? Or if sensitive records were left open on someone's desk and anyone walking by could read them?
- The inability to differentiate between a record, work notes or reference material. This lack of understanding in many staff members often results in people wanting to keep all papers because they fear destroying and losing information.
- Inappropriate use of office desks to store personal records. I found this to be the most disturbing issue. I came across divorce papers, academic transcripts, and mortgage papers … you get the idea.

The Wellington earthquake led to the destruction of many city office buildings. Some suffered only minor damages – others were not so fortunate.

## THE LESSONS

Even though many of us speculate on what kinds of record-keeping chaos is present in our own offices, you just never know the true extent of the chaos. It certainly surprised me. My time on this project was enlightening and I took away many valuable lessons. I wish to bring these lessons to your attention, I am sure your agency can benefit from this knowledge.

*... it shouldn't take an earthquake for an agency to start taking their records management seriously*

- Storing personal records at work is not appropriate. It is a professional work space and the agency isn't responsible for personal records.
- Storing closed or inactive physical records takes up valuable office space. Closed records still require ongoing records management. Ongoing records management is crucial in protecting business continuity and corporate knowledge. By storing records securely offsite, you'll be saving precious floor space while also having access to them, if required.
- Earthquakes are an opportunity to review. The statistics generated in this project were used to assess the amount of paper accumulated and stored at people's desks. The agency then made informed decisions on issues like: how to set up their new office space, re-calculate budgets, and review their policies in records/information management.
- Ongoing staff training is important. Start implementing training sessions to teach staff better ways to manage their work and educate them on what papers to keep or discard.
- Take care in dealing with people's emotions. Natural disasters can and will occur when you least expect it. It's a stressful experience and cultivating the right morale for staff can improve people's attitude in dealing with the aftermath when disasters hit.

What are your thoughts on this case study? Should people be keeping large piles of paper around their desk? Do you know how much paper your office generates and accumulates? How many tonnes does it weigh? Should you be storing so much paper onsite? Is it necessary to keep it all onsite?

I encourage you to reflect on how your office would deal with recovering from a natural disaster. Seize this learning opportunity and secure your agency's records properly, so you won't suffer great loss in knowledge, money and time. ❖

### ABOUT THE AUTHOR

Beatrice Siu is Squadron Leader (2-i-c) of the Flying Filing Squad, Wellington, New Zealand – Private and Public Sector consultancy for Records Management.
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# BYO MOBILE DEVICES IN THE WORKPLACE

## *– HELP OR HINDRANCE?*

As the corporate world struggles to keep up with new technologies, there is an increasing demand by staff to bring their own devices to work. But just what is the impact in terms of security, and what are the effects and concerns for organisations?

By **Julie Coxall** and **Emma Garbelini**

*"Documents are the lifeblood of society, communicating information that spans contracts, textbooks, financial statements and everything in between."*

*- Abhay Parasnis, Chief Technology Officer, Adobe.*

It's a tremendous time of change in the information management sector. Gone are the days when BYOD meant 'bring your own drinks' – now the growing trend for BYOD is 'bring your own device'. This is part of the larger trend of IT consumerisation. So what is BYOD? Simply, employee-owned devices are being used by staff members in their workplace to assist them to carry out their role.

With the continuous consumption of mobile devices by the wider community comes a change that is like a tsunami to the corporate world. With over three quarters of Australians now using mobile phones and interacting more than 480 million times a day, with over a 40 million increase from year to year, this device now acts as the communication channel for text messages, emails, video calls, purchases, online payments, communication and data storage.

In fact, mobile data is seen as the hottest commodity on the planet with a 74% year-on-year growth rate. As Marc Benioff from Salesforce, an American cloud computing company, states: "The world is being re-shaped by the convergence of social, mobile, cloud, big data, community and other powerful forces. The combination of these technologies unlocks an incredible opportunity to connect everything together in a new way and is dramatically transforming the way we live and work."

Employee-owned devices being used in the workplace also extends to laptops, iPads and tablets, smartphones, Notebooks and PCs. Currently 67% of employees use their own devices at work. So what is the impact that this is having in the workplace, and just what are the effects and concerns for organisations? Is there an increased security risk that is posing a threat to the safety of corporate data? Is this a change that business needs to embrace to ensure that policies are in place to protect themselves?

Technology needs to evolve with the business, progress needs to be solution based not device based with implementation of technology appropriate to the business needs. A device that is not appropriate to be used in the work place and not compatible with organisational requirements will create unnecessary risk and a hindrance to productivity.

### SUMMARY

- BYOD is one of the fastest growing changes in the corporate world.
- Mobile data is seen as the hottest commodity on the planet with a 74% yearly growth rate.
- Currently approximately 67% of employees use their own devices at work.

## THE BENEFITS OF BYO DEVICES IN THE WORKPLACE

As business, corporate and government sectors rapidly move to the online environment and an increasingly large number of transactions are carried out online, there is a need for change within the work place to cater for emerging technologies to assist staff to carry out their jobs.

The use of BYO devices in the workplace creates a more open, efficient and honest workplace that can have benefits to both the organisation and their employees. The impact on the organisation will be not only to save money by eliminating the need to buy specific devices and equipment, but also to give the staff member flexibility and added convenience.

Staff who are confident and skilled in using their device of choice within the workplace will result in an organisation experiencing an increase in productivity. Access to information is available outside of the work environment – when staff are on the road, or when they require access outside of office hours or from remote locations. If a staff member cannot get to work due to a change in personal circumstances, weather conditions or a sick family member, they can still work on projects to avoid delays and minimise down time. Other enhancements available from mobile devices can include less staff time wasted on carrying out manual data-entry – eg, when taking payments or interacting with customers. The use of purpose-built apps for information sharing is being used by energy providers by pointing the smartphone at the meter to gather data or photo-based transactions to report or provide evidence whilst in the field.

In addition, this flexibility offers better communication and sharing of information, including manuals, guidelines, reference lists, procedures and customer records. Staff have increased access to tools that support effective decision making; within the health sector, healthcare professionals have the ability to access point-of-care tools in remote locations to provide support for better clinical decision making and improved outcomes for patients. Furthermore, the BYOD environment offers better communication and sharing of information between staff and office and mobile staff constantly out on the road.

The use of up-to-date technology through personal investment by staff in the latest devices allows for utilisation of this equipment in the workplace providing an environment that is current and cutting edge to keep up with the latest trends. The organisation will reap the benefits of these devices. Additionally, mobile staff that are onsite or with clients outside of the workplace have access to data and information on hand at all times to answer enquiries immediately, providing excellent customer service and being informed and up to date at all times.

The BYOD environment is convenient and portable, offering staff excellent time management capabilities for connection to work and customer information, while also with suppliers, contractors and consultants outside of the organisation that may all be working on a project together. Extensive apps now offer capacity for connection to work, shop, bank, research, track and complete hundreds of tasks on a daily basis – eg, flight bookings and check-in, mapping, social media, food delivery, taxi bookings and public transport.

As a final point, a shift in learning patterns has resulted in mobile devices being ideal platforms for staff to view short lessons or training quickly and conveniently from anywhere at any time, eliminating the need for learning at a set time and place. Today's learner prefers multimedia videos, podcasts and audit to keep them engaged in a leaning environment, all of which can be made available via a smartphone or tablet. Studies carried out by the eLearning Industry in the US have shown that making training available on an employee's mobile device can lead to an increase in productivity of up to 40%.

### SUMMARY

The use of BYOD devices in the workplace has the following benefits for both the organisation and staff members:

- Information is available outside of the work environment – vital for staff who work remotely or are constantly on the road
- Offers flexibility, better communication and sharing of information
- Provides access to tools that support effective decision making
- Is convenient and portable offering staff excellent time management capabilities
- Provides an ideal platform for staff training.

## THE RISKS OF BYO DEVICES IN THE WORKPLACE

What devices will staff use and will they be compatible with other platforms in the work environment? This will place technical expectations and challenges for ICT departments with non-windows phones and tablets using a platform that is not compatible. ICT staff may not be familiar with all device types; this would result in them having to learn and spend time researching to set up the device in the organisation environment. The scary fact here is that a high percentage of executive officers have no comprehension of the issues confronting the ICT team with conflicting operating systems such as iOS vs Android.

There is a risk of potential data breeches with devices being synced to other networks or other smart technology at work or home. This may result in access to a large amount of highly confidential corporate data being available outside of the work environment across multiple devices including family members? On the other hand if the device is not synced, is the information being used by staff on site or remotely up to date and current? Moreover, do you know all the information that is stored on your mobile device? Mobile devices keep large amounts of location information – eg, the location of every call that is made. Photos are automatically geotagged unless location information is disabled. In fact, data that has been deleted from corporate systems can also still be stored on a mobile device.

Consideration needs to be given to just where the back up of data on the mobile device is being stored – if it is in the Cloud, where is that Cloud – onshore or offshore? In fact, is it synced to a free Cloud environment that you may not be aware of? Data security is compromised in this environment and may now be under legislation of another country.

Another risk factor to be thought through is, when a staff member who accesses corporate information from their own device leaves the company abruptly, this may result in devices not being wiped of passwords and corporate data.

Additional risk factors include devices left unattended in a public place – these could be picked up or stolen by a third party leaving corporate information vulnerable, so the device must be with you at all times. Theft or loss of a device can also make you a target for someone stealing your identity and corporate information. Additional security risks for staff include accessing unsecured WiFi when away from the work environment – eg, at airports, coffee shops and hotels, or even in your own home. Unsecured networks are susceptible to hackers with easy access to organisational systems for information. Jailbroken or rooted devices provide additional and increased security risks to the operating environment as they are often unstable, and unvetted applications can be installed with some applications being purpose built for malicious activity without the owner being aware.

In conclusion, it has been highlighted that many risk factors can occur with the use of BYO devices in the workplace, and to ensure there are safeguards in place.

### SUMMARY

- Are all devices used by staff compatible with other platforms in the work environment?
- This trend is placing technical expectations and challenges for ICT departments.
- Consider the potential of risk for data breeches with devices being synced to other networks or other smart technology at work or home.
- Be aware of all the information that is stored on your mobile device.
- Theft or loss of a device can comprise the safety of corporate information.

## ADOPT A POLICY AND PLAN

To assist in overcoming the risks associated with the use of BYOD in the workplace, the organisation can implement control mechanisms including development and adoption of a security policy and plan for use by all staff. This will outline regulations and protocols staff must follow to use their own devices at work.

Having a policy in place before allowing the use of those BYOD mobile devices will help minimise security risks and corporate information being compromised.

There are a number of important factors that need to be included in this policy:

- Protect access by using a password or a locking mechanism to prevent unauthorised access.
- Secure device at all times.
- Enable firewalls if possible.
- Enable auto lockout.
- Install reputable security software that includes anti-theft/loss protection.
- Ensure anti-virus software is loaded and up to date, regularly maintained and checked.
- Ensure device backups are used.
- Ensure organisational information (other than emails, contacts and calendar and tasks) remains on the device for the shortest practical time.
- Back up data either with a backup application or by manually syncing the device to your PC.
- Ensure all documents that are copied and edited on mobile devices are reintroduced back into the enterprise content management software at earliest opportunity to prevent loss.
- Ensure any confidential information classified by the EDRMS as protected is not transferred to a personal device.
- Ensure back up of personal information on the device (this the responsibility of the owner so as to ensure that if the device needs to be wiped personal information is not lost eg, photos).
- Ensure only reputable applications are installed.
- Log out of website when finished.
- Turn off location services when not using them and limit applications that can track and use this information.
- Ensure all staff using BYOD undertake mandatory awareness training.

Ensure there are restrictions or guidelines for the use of jailbroken or rooted devices. (Other solutions can include restricting BYOD to certain devices or operating systems only, and ensuring updates are carried out regularly.)





## CONCLUSION

This article has introduced you to the benefits and risk of introducing BYOD into the workplace. The main points are to ensure there is a BYOD policy in place, and staff are educated in and understand the guidelines of use with the organisation. Ensure that the ICT department is aware of all devices being used and that these are connected to the platform with the assistance of ICT staff. Always assess devices to ensure their fit for purpose and improve efficiencies for staff. This is an opportunity for organisations to embrace change, empower staff and improve workplace satisfaction while successfully engaging with customers and supporting technological change. ❖

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### ABOUT THE AUTHORS


Julie Coxall has worked as a librarian in public libraries for 13 years before moving into records management in 2007. Julie has a Master in Information Management. Having worked in the local government sector for over 20 years, Julie has a sound understanding of the legislative requirement for record keeping in the public sector. During this time Julie has rolled out a scanning program for incoming organisational mail, including writing and implementing quality control of all scanned images to ensure compliance with relevant standards. Julie was a leading hand in the development of an integration program between application software and HPE TRIM to ensure all templates are captured into the corporate EDRMS. She also coordinated the implementation of a $1.5 million dollar digitalisation program of hardcopy archives.

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Emma Garbelini has been working in the information management space for over 10 years, in state and local government roles and as a consultant. Emma holds a Certificate IV in Record Keeping and Certificate III in Business. She has a passion for retention and disposal and EDRMS administration. Emma is proactive in evaluating current business processes and developing proposed enhancements to the City's record keeping practices.

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ACCESSIBILITY

# THE MISSING PIECE IN THE ACCESSIBILITY PUZZLE

This article is about accessibility – why we as RIM professionals need to fix it and how.

By Lynda Leigh

When I worked in a highly restricted registry, I learnt a lot about restricting access to records through the need-to-know principle – relevant policies, procedures, ICT security groups, signed access lists and so on. It was hard work to remember all this, but things were going to get a whole lot harder when I left the public service and discovered the real world.

A few years back I changed my name – it's easy done via deed poll. Once I had my new name, I started the process of updating the rest of my details, and the first thing I did was amend my driver's licence.

The process (in the ACT) took place as follows: I gave them my old licence; and they took a new photo, gave me a slip of paper which had my details on it (and my new name) and said that they would post my new licence to me. A few days later, a delivery notification arrived and I presented it at the post office. I was then asked for photo ID. I explained they were holding my new driver's licence, which is my photo ID. I also explained I'd just changed my name and showed proof of my new licence – a slip of paper. This was not accepted, and I was asked again for photo ID – because it's their policy. We were at a stalemate. After explaining the issue to the manager and asking them to consider opening the envelope – they did – and I then had my new photo ID. And I could now sign for my photo ID, as per their policy.

## ACCESS TO RECORDS: IT CAN CHANGE LIVES

There was a little boy who never existed. He had an unregistered birth – in fact, he had never seen a doctor, nor been to school. The authorities only found out about him upon his death. (*Daily Mail*, 11 October 2017, 'Father of boy, 5, who died after cutting his foot on a cat food tin at squalid family home escapes jail').

He's not the only one – 20% of Aboriginal births in Western Australia between 1996 and 2012 weren't registered – that's nearly 5,000 babies who have no identity. (*The Conversation*, 4 July 2016, 'Invisible children: research shows up to one in five Aboriginal newborns aren't registered').

There are people who don't have access to their birth certificate for various reasons. Sadly, the Royal Commission into child abuse has also revealed the destruction of records of people who experienced institutional 'care' as children. "What is perhaps less obvious is how crucial these records can be for care leavers' identity and well-being." (*The Conversation*, 20 December 2013, 'Not just about abuse: records access is key to care leavers' identity').

Without a birth certificate you cannot open a bank account; if you don't have a bank account you can't receive wages, benefits, even Medicare rebates.

Access to records can indeed change lives. Records are created by people, for people – your own life starts with a birth certificate and it ends with a death certificate. Your record will outlive YOU.

## PEOPLE UNDERSTAND CONTEXT, COMPUTERS DON'T

I know many of us are fearful that our jobs can be automated as there's a push for artificial intelligence (AI) for RIM … Computers are stupid! We all know that January comes before February … yet how often do you see files in no logical order on share directories?

There's a difference between data and records, and it is context – and people understand context. We classify a tomato as a fruit, but we don't put it on a pavlova!

AI has to learn from people – for example, we know the difference between the federal Budget, the company budget and Budget the hire car company. Imagine the confusion when we have a subject line like: 'The Budget cuts into to the budget of Budget'.

Many years ago I had to process my dad-in-law's estate – a hard enough task made harder because mum-in-law had died six years prior. When I went to disconnect the landline/phone, Telecom couldn't find it in on their system.

Firstly, the surname was spelt incorrectly, then the street name was spelt wrong. Then we had the privacy issue – I had authority from the executor of dad-in-law's will, but then discovered the account was in mum-in-law's name.

Dad-in-law was the executor of her will, and he was dead. I doubt AI would have understood the problem, but a person certainly would.

Nowadays we can receive our bills via email – we click it, check it and pay it – all electronically.

I received a renewal notice for my company car, but oddly I couldn't amend the policy. I used their two-method authorisation system (date of birth and phone number, access code sent by text). If I used my details, I got my Home and Contents; when I used the director's details, I got his van. It appears that a company name was considered an appropriate 'entity' by the automated process. To fix the problem, a 'driver' had to be linked to the policy.

My first day on a new contract is actually pretty straightforward: I receive a temporary security pass, a slip of paper with my ICT username and password, and sometimes I have to complete some eLearning.

One agency had mandatory record keeping training for all new staff via via eLearning before we can access the system. I discovered I could do the test without completing the module which I passed with 80% – two questions wrong about some agency acronyms. I emailed the service desk with my pass certificate, and they replied that they could see I didn't complete the required eLearning module per their policy.

I then finished the module as instructed and when I enquired about the two acronyms I discovered they were for the previous system which was replaced years ago.

It is not a system, software, or hardware that misplaces, loses, or makes records inaccessible, it's people.

Consider this:

- Moving files to a USB
- Storing files on personal drive and in a personal email account
- Printing and deleting files, then storing in hard copy format
- Corruption of data – Ctrl A, then presses space bar, saves file – resulting in a document with no text
- Corruption of data via software migrations/updates, removal or change of extension
- File titles incorrect or incomplete eg, Nofile.xls, summary.zip, thisone.doc
- Storing files in the wrong folder or hidden within multiple layers of sub-folders
- Moving or deleting the original file so short cuts/links in other (more important) folders don't work – hyperlinks as well.

## INVEST IN TRAINING

Why do we expect ICT to fix our mistakes with a single click, button push? People created this mess! We need to invest in training and quality assurance (QA). QA indicates a knowledge gap which is rectified by training plus QA ensures accuracy of the records so that people can find them. Let's invest in our people by providing training and support.

My contract is extended and I return on site ready to continue after a break. However, my manager forgot to tell ICT I was returning and now my profile is inactive. My manager grants access permissions and I'm told "good to go". I find out that I'm locked out as I don't have a new password, so I have to contact the service desk.

*Look beyond process, procedures and policy and remember people, for they are the missing piece in the accessibility puzzle*

I ring them using the loud speaker and I ask them to reset my password. They do; it's a random set of numbers and letters, upper case, lower case PLUS they ask for my manager's name to email her the last half of my password for security purposes. Manager passes me the rest of my password on a 'post-it' note.

Type in password, doesn't work, try again, doesn't work, try again – locked out. Ring service desk via loudspeaker, given the same set of random letters and numbers. We repeat this process a few times until they give me the entire password which everyone in the branch has HEARD. Yes, I could have been dismissed for breaching the ICT security policy for passing on my password. But I'm lucky, they understand my situation.

I discovered that the mics in court are for the remote sonographers not for amplification. The judge apologised for the lack of accessibility and, during the case, stated that I was an unreliable witness, as what I heard wasn't what was being said. The sheer enormity of it all hit; my future was being decided by someone else and I was at a huge disadvantage. All I could do was concentrate on something positive, something that I did well and that was records management. When the judge asked for evidence, I had it – I knew how to access records that the other party had forgotten. The judge accepted that I wasn't able to do a normal job in a normal office – I was in fact disabled because I am profoundly deaf and I wear two hearing aids.

*The Disability Discrimination Act 1992* (Cwlth) defines disability as:

- total or partial loss of the person's bodily or mental functions
- total or partial loss of a part of the body
- the presence in the body of organisms causing disease or illness
- the malfunction, malformation or disfigurement of a part of the person's body
- a disorder or malfunction that results in the person learning differently from a person without the disorder or malfunction
- a disorder, illness or disease that affects a person's thought processes, perception of reality, emotions or judgment, or that results in disturbed behaviour



ACCESSIBILITY


and includes a disability that:

- presently exists
- previously existed but no longer exists
- may exist in the future
- is imputed to a person (meaning it is thought or implied that the person has disability but does not).

As we get older we accept loss of eye sight, hearing and mobility as a given, however you can join the disabled community at any given moment through accident, illness or just by living a full life.

Over four million people in Australia have some form of disability – that's one in five people. Some of those disabilities are invisible.

My own definition of disability is simply "unable to discharge a task".

What about if you broke your arm skiing? You would have extreme trouble logging on – Ctrl, Alt, Delete. If you had a baby in a pram, you would have trouble with stairs. If you lost your voice to a bad cold, how would you be able to conduct a meeting? Just because you're unable to do ONE thing, doesn't necessary mean you're completely unproductive.

You could use 'sticky keys function' on the keyboard so you can log on using one hand. You could take the lift when you have a pram if there is one. And, if you lose your voice, why not use the National Relay Service to place a conference call from the comfort of your own bed!

Many agencies are Web Content Accessibility Guidelines compliant externally, but don't consider being compliant internally – especially in regards to eLearning, webinars and presentations.

As RIM professionals, I want you be at the forefront of accessibility. Instead of narrowing your focus, your policies and your attitude – widen it. Apart from the economic and altruistic benefits – accessibility also prevents loss of skills and productivity.

Instead of listening to a webinar or podcast – I want to read a transcript. Instead of listening to a movie, video, DVD, eLearning – I want captioning. Instead of communication by the phone, I want to use text, email, live chat, instant messaging. Instead of ringing the service desk to unlock my account, I want to use a 'secret question' application.

Look beyond process, procedures and policy and remember people, for they are the missing piece in the accessibility puzzle. ❖

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## AUTOMATED ELECTRONIC RECORDS MANAGEMENT

# ARE WE THERE YET?

Cloud providers have recently introduced some new and powerful cloud services for big data and artificial intelligence. These cloud services have the promise to finally reap the power of artificial intelligence for automating electronic records management. But is the market finally ready? And will these new services finally convince the sceptics that artificial intelligence can be used to effectively automate electronic records management?

By Tim Shinkle

Years ago, at the turn of the millennium I was the chief technology officer at a leading records management software provider called TruArc. TruArc had recently introduced and patented AutoRecords, the first ever commercially available use of artificial intelligence for electronic records management, and we were hoping we'd get a huge jump on our competition. Although we had some success with AutoRecords, there were also some challenges. The main challenges being, it didn't always work well enough to convince the sceptics, and the market wasn't ready.

One of the things we discovered with AutoRecords was it is sometimes too risky to be a leader in emerging markets when the market might not be ready for new technology. This is especially true when the industry isn't mature enough, as we found when leveraging artificial intelligence for electronic records management.

Although artificial intelligence had been around for some time (back in 1996 IBM's Deep Blue became the first machine to win a chess game against the reigning world champion, Garry Kasparov), artificial intelligence was still not in mainstream use. This was especially true in the records management industry, where paper records were still being perceived as one of the primary challenges faced by records managers.

Artificial intelligence for electronic records management just wasn't ready. Yes, AutoRecords could at times classify (or categorise) records with a high degree of accuracy, but other times it couldn't. To complicate matters further, retention schedules sometimes contained hundreds or even thousands of record categories, where most record series were developed for paper records.

What also wasn't helpful were organisations using record categories such as 'other'. Records being filed in the 'other' category often were based on context at the time only available outside the computer.

Implementing AutoRecords revealed that most organisations weren't ready for artificial-intelligence-based solutions. This was evident when we ran into problems during a study on AutoRecords performed by the National Archives in the USA (NARA). The study involved using legacy retention schedules originally developed for paper and the use of poorly suited training sets that ended up being ineffective for AutoRecords. Although some people might argue this is the flaw with artificial intelligence, but isn't artificial intelligence supposed to adapt to your environment auto-magically? As it turns out, like a child, artificial intelligence can't just start running before it crawls or walks, it needs to be taught and prepared to run properly over time and with some investment.

But it wasn't just organisations' readiness that was the problem with AutoRecords. There were plenty of challenges with AutoRecords that we had yet to figure out. A big challenge was betting our solution on a single point of failure, being a classification (or category).

The artificial intelligence was supposed to identify a classification or category to file a record under a particular record series. In the unstructured world of document management, knowing just one dimension of a document, such as classification (category or subject), might help for searching, but it isn't good enough to automate electronic records management. Unstructured documents tend to contain multiple categories or subjects for multiple reasons.

An example of the single classification problem can be explained with something as simple as a résumé. A résumé has a fairly distinct pattern and AutoRecords was pretty good at learning what a résumé looked like. But saying something is a résumé often isn't enough.

What if the résumé is a draft where only the final résumé is the record? How do we know which résumé is the final version? Further, what is the context surrounding the résumé? Was the résumé captured as part of a hiring process for employment?

Should the résumé be filed as part of a case file containing many different types of employment documents under a human resources classification? Just knowing something is a résumé isn't always helpful.

Then there is the problem of false positives and false negatives. A document could simply be discussing a résumé and not be a résumé, or, a résumé describing job experience might result in a classification that isn't a résumé, when in fact it is. As it turns out, people rarely depend upon a single piece of information to make a decision about a document being a record. Why should artificial intelligence be any different? We needed more dimensions and guessing at the single best category was only giving us one piece of the puzzle.





## OTHER CHALLENGES

- **Training** – Taxonomies and training sets need to be as accurate as possible for effective machine learning. Developing a taxonomy often takes a high level of expertise and it is difficult to find a good training set. Maintaining a training set, as things change over time, became too difficult, time consuming and expensive to perform with most organisations existing in-house resources.
- **Algorithms** – Leveraging only one algorithm or approach for the best or even top three classifications was probably doomed from the start. One algorithm producing the most likely classifications to choose from as 'the' classification didn't provide robust enough results for processing thousands or millions of records automatically without human oversight and intervention.
- **Scalability** – When we introduced AutoRecords we were dealing with thousands of records at a time, we are now in the age of potentially billions of records at a time for some of our larger customers and data is only growing. Just recently, a large US federal agency tried to leverage in-house (non-cloud based) artificial intelligence services to process their records, only to realise too late that it will take years to process the records they have and it will never catch up with the ingestion rate of new records being added.
- **Change** – Algorithms, technology, retention schedules and records management change all the time. AutoRecords needed to be updated, retrained, and retooled constantly to plug into many different repositories and technologies. The technology required extensive integration upgrades and maintenance often dealing with insufficient application programming interfaces (APIs).

AUTORECORDS

## ADDRESSING THE CHALLENGES

With AutoRecords, we faced and fell short of effectively addressing the challenges (outlined on previous page).

In the end, our company was bought for our electronic records management functionality, not AutoRecords. The purchasing company quickly abandoned AutoRecords, where it disappeared into the world of cool products that never succeeded (remember the dot-com bubble?).

So, you might ask, has anything changed in the world of artificial intelligence that can address these challenges? We now believe the answer is a resounding YES, but perhaps not how we had originally intended to use artificial intelligence.

Many technology companies, including some of the world's largest, have invested billions of dollars into big data and artificial intelligence cloud services, where big data and artificial intelligence are complimentary services solving the most challenging problems AutoRecords had faced.

Companies such as IBM have gone on to do amazing things with artificial intelligence, winning the game show *Jeopardy* for instance with their Watson technology against the best human competitors. Google's artificial intelligence recently beat the best Go player in the world and many others are accomplishing spectacular achievements never before thought possible.

The lessons learned from these achievements are now being leveraged in cloud APIs available to the public for solving many real-world problems. This is a perfect time to revisit artificial intelligence for electronic records management and leverage these recent investments in cloud-based big data and artificial intelligence services.

The latest artificial intelligence (aka cognitive computing) and big data cloud offerings provide a powerful assortment of services. We currently have the ability to crawl data sources found on-premises, on mobile devices and in the cloud. Via cognitive computing and big data cloud services we also understand this data in ways never before possible.

This unprecedented level of understanding gives us the ability to make better decisions on how best to manage our electronic records.

To understand where we are with cognitive computing, as compared to where we were with AutoRecords, look no further than the big technology vendors such as IBM, Microsoft, Google, DeepMind, Amazon and others. These technology companies have collectively invested billions of dollars in developing and exploiting cognitive computing technology (there are some very large open source initiatives as well, with the likes of TensorFlow, H2O and others).

Cognitive computing is helping solve real world problems that humans have been unable to solve on their own. Recently IBM Watson solved a patient care problem that had stumped doctors for months. Google has even changed their approach to search. The *Wired* article 'Artificial intelligence Is Transforming Google Search. The Rest of the Web Is Next' discusses how computers now are performing certain functions of search that, until recently, required human insight. AutoRecords, with its use of artificial intelligence technology, has gone from something that was ahead of its time to something that is now mainstream and growing in leaps and bounds. There's no denying that the artificial intelligence market has matured.

## TRAINING

A big challenge we faced with AutoRecords was training sets (training sets are used to train the cognitive services to learn patterns in data). Having access to large cleansed training sets is a challenge – especially as changes occur over time. Many of the available cognitive cloud services come pre-trained and ready to use. You can even try some of them online before you decide to invest. Technology companies are training their cognitive APIs for both horizontal and vertical industries using training sets such as Wikipedia and large data sets from healthcare, banking and other industries.

IBM recently bought a company that services banks in part because it can leverage the knowledge the company has on the banking industry – the knowledge can then be used to train IBM's Watson to better serve its customers. This approach is far superior to what we faced with AutoRecords, where training was a significant challenge for customers to do on their own.

## MULTI-DIMENSIONS

A second challenge we had with AutoRecords was that classification was a 'single point of failure'. We depended entirely on the classification value provided by AutoRecords to understand the record and perform some action based on the result.

Having a single classification (or even having false positives and false negatives on a single classification) is not as challenging to address when decisions are spread across multiple dimensions, with each dimension providing valuable input for better overall decision making.

As discussed earlier, simply knowing a document is a résumé is often not enough. Cognitive services can now provide a much richer understanding of documents, providing dimensions for concepts, keywords, entities, relationships, sentiment, author and more.

As an example, for a hiring manager in Human Resources, knowing the relationship of the author, their role in the organisation and the person being discussed in the résumé can make all the difference in how the document is managed. The machine can now make these connections without having to depend upon the single classification of 'résumé'.

Patterns of who someone is, where they work, what they do, and the data they use, can all be leveraged when crawling and combining valuable information into large sets for cognitive processing and analysis.

*Companies such as IBM have gone on to do amazing things with AI, winning … Jeopardy for instance … against the best human competitors*

## OTHER CHALLENGES ADDRESSED

Today's technology can meet all the many challenges in algorithms, scalability and managing change over time:

- Algorithms – The algorithms used today are much more sophisticated, with the ability to self-train and leverage massive scale data sets not previously accessible to on-premises solutions. There also are many more algorithms for specialised capabilities such as language, speech, visual recognition, data insights and more. These algorithms can be leveraged together or separately depending upon the need.
- Scalability – Today's cloud services are more scalable than ever before. New research and development in cloud computing and cloud platforms, with technology such as Docker and containerization, are expected to keep pace with the volumes of data being produced on a massive scale. Microsoft, Google, IBM and others are even developing specialised reprogrammable computer chips to increase cloud performance.
- Change – Change is now much more manageable for customers of cloud services, as algorithms are improved they can be swapped out and can pick up where previous algorithms left off, using the same training data sets. Cloud vendors can change these algorithms for you without a disruption to the service as improvements occur in the artificial intelligence industry over time – the Stanford report 'Artificial Intelligence and Life in 2030' <http://ai100.stanford.edu/2016-report> covers artificial intelligence over the last 100 years to today, discussing many of the changes that have occurred in the industry over time.

## PUTTING ALL THE PIECES TOGETHER

The combination of cognitive cloud services and big data analytics provides a powerful approach to understanding the value, cost and risk for optimised electronic records management. big data analytics provides a rich feature set for visualising data including the ability pull together multiple sources of related data, such as storage, litigation and compliance costs.

Big data analytics is the mechanism for exploiting all the dimensions that are provided from the cognitive services for large volumes of electronic records. Big data services are easily shared among different groups within the organisation, leveraging analytics for other use cases - information governance/enterprise records management (electronic records management) is just one group of many that can leverage their organisation's investment in big data.

Another piece of the puzzle is crawl technology. This technology can work behind a firewall to harvest multiple data sources found on-premises and pool the data in a central location for analysis (eg, PostgreSQL, Apache Cassandra and others). Crawl technology can also be used to take the results of the analytics and execute compliance rules on the originating data sources, including decisions to manage data in-place or transfer it to a central archive on-premises or in the cloud.

Where the three key pieces of technology – crawler/harvester, cognitive cloud services and big data analytics – provide a solution to the challenges of electronic records management, the final piece is cloud-based storage – a place to put all this data (e.g., Hadoop Distributed File System on-premises or in the cloud). As systems expire, a cloud-based 'intelligent archive' - managed by the main components of the solution - provides a cost-effective location for records to be reused and managed over long periods of time.

*The recent Wired article 'The End of Code'… suggests that soon we won't program computers; instead we'll train them like dogs*

## FUTURE STATE

It is apparent that the days of the traditional electronic records management solution are coming to a close. The recent *Wired* article 'The End of Code' by Jason Tanz suggests that soon we won't program computers; instead we'll train them like dogs. In the not too distant future we will spend our time training computers and asking the right questions to process our records instead of buying and implementing expensive content and records management solutions and scripting rules manually. This is prompting some people to proclaim it is the end of tech companies. We already are seeing a shift in the electronic records management industry away from big electronic records management software purchases and a shift in budgets from traditional IT technology investments to investments in big data and the cloud.

In conclusion, we believe that the world of artificial intelligence has fully matured since we first created AutoRecords more than a decade and a half ago and it is now powerful enough to effectively meet the enormously challenging requirements of modern enterprise records management. artificial intelligence technology is ripe for taking over the task of chasing down massive amounts of data and determining how best to manage it over time. We now are able to use cognitive services to orchestrate tremendously powerful solutions for our customers. These solutions include leveraging crawl technologies, cognitive and big data cloud services in meaningful and effective ways to serve the entire electronic records management industry. ❖


### ABOUT THE AUTHOR

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This year, inForum took place from 10 to 13 September in Brisbane, Queensland. Here's how three delegates experienced this leading event for the records and information management (RIM) industry …

# PEOPLE FIRST AT INFORUM 2017

By Lydia Loriente, *newbie*

Last year's inForum highlighted the value of information. This year, people were recognised as essential to effective records and information management. We must engage and collaborate, and listen to people. We need to be self-reflective and open to developing ourselves as practitioners and as leaders.

inForum was held in Brisbane this year, in Southbank. It had a full program of local and international keynote speakers, four speaker streams plus a series of workshops. There was also an excellent trade fair, and plenty of social and networking events, along with two breakfast sessions. All squeezed into two-and-a-half days.

I arrived in Brisbane a few days early for some meetings, and used my free time to browse the many galleries and exhibitions that Brisbane has to offer. As recordkeepers and information managers, we help to shape what records are created and captured, and a small proportion of these end up in permanent collections. I reflected on our opportunities and responsibilities to guide good record keeping, so that corporate and community memory is preserved, and so that there is accountability for actions and decisions.

This was my first inForum, and one of my first conferences. So I took advantage of the Networking and Information Session on the Sunday afternoon. It outlined the many member benefits that RIMPA offers, including a free mentoring program, a continuing professional development program, branch and chapter events and more. It also made the Sunday night Welcome Reception more enjoyable, as I had some familiar faces to mingle with. I enjoyed chatting to my new professional friends that evening. I also got to meet some senior RIMPA volunteers, including some members of the Board!

inForum kicked off on the Monday morning with a welcome by the outgoing RIMPA Chair of the Board, Lisa Read White. A passing comment I had made at the networking drinks the night before led to me being called up on stage during the welcoming address, to give a two-minute briefing on how to use Twitter at a conference. After that, we were treated to two international keynotes, before the parallel speaker streams began. I watched Eric Swain from the National Archives of Australia introduce the new Digital Authorisations Framework. It is designed to help organisations transition from paper-based signing to electronic approvals, by understanding and addressing the needs and the risks of going digital.

## TRADE EXHIBITION

It wasn't long before it was my turn to speak on electronic signatures, and then it was lunchtime! It was great to have lunch served in the Trade Exhibition Hall, as it made it easy to visit vendor stalls during the breaks. In the afternoon, I learnt about the opportunities and risks of BYO devices in the workplace. Then, I heard Katherine Clarke talk about her fascinating research on the competencies and capabilities expected of RIM professionals.

Clarke's research was funded by a RIMPA Research and Education Grant. The ability to apply for a grant is a member benefit, and applications close on 30 June each year. Clarke's presentation highlighted that as RIM professionals, we must have a range of transferable leadership and people skills, in addition to our discipline knowledge. As Clarke explained, 'personal resilience' featured in many RIM job descriptions, and 'emotional intelligence' is the highest valued skill when hiring for RIM roles.

As a current student in a RIMPA-accredited university course, I listened with interest when Clarke said that her research highlighted the value of qualifications and critical analysis skills for RIM professionals. Clarke's research also found that non-records employers often do not understand recordkeeping competencies. This is something we may need to consider when navigating the job market or commencing a new role.

Every presentation summary looked interesting, so I had to make some tough decisions about what to attend. Luckily, many attendees took to Twitter to share what they were learning. During the breaks, I was able to hear some take-home messages from the presentations I missed, by searching the #inforum2017AU hashtag. I have also since browsed the wonderful presentation slides and papers that RIMPA has made available on the members-only website.

I finished Monday afternoon hearing new professional Sarah Botur talk about her first three years in the profession, contrasted to Geraldine Aricheta's advice with 20+ years' experience. Botur demonstrated the value that transferable skills from other educational experiences can bring to the profession. Her design skills and creativity were evident in her informative and entertaining slides, and her approach to record keeping.

My professional practice is heavily influenced by records continuum theory. So I was delighted to hear Peter Ifould give

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an overview of the history and development of records and archival theory. This was within the context of recognising how non-RIM knowledge workers understand and perceive their responsibilities to keep records as part of their job. There was then another networking opportunity, before the informal Branch Dinners.

I was very excited to hear the first keynote for Tuesday, Bram Lagrou, talk about the people side of professional practice. Lagrou, who has a background in psychology, used the popular DiSC profile model, to step us through how to recognise and respond to various behaviours in the workplace. I learnt that observing and reflecting on how colleagues prefer to communicate, can help us achieve better working relationships.

On the Tuesday afternoon, Craigie Sinclair and I delivered a workshop on how to use the International Council on Archives (ICA) Information Culture Toolkit. Every organisation has an 'information culture', and the toolkit helps to understand what that is. Information culture influences whether staff will use or value your records management program. The toolkit encourages engagement with people, and self-reflection on our own professional practice.

## HEROES AND VILLIANS

The 'Heroes and Villains' Gala Awards Dinner was a fantastic opportunity to meet more professionals in a relaxed environment over some delicious food. RIMPA awards were handed out in 11 categories. It was inspiring to hear about RIMPA member achievements, and to see vendors supporting the awards through sponsorship. In addition, longstanding RIMPA member Jennifer Curley was recognised for her tireless volunteer work and dedication to the profession, by being awarded a 'life membership'. After the announcements, I approached her to ask if she had any tips for a newbie like me. She encouraged me to continue to volunteer for RIMPA. She had one question for me, "Do you have one hour a week?" Of course I said yes, and her response was that I should dedicate at least one hour per week to my professional development and my contribution to the profession.

A standout for me on Wednesday was Sandra Pickett's presentation on being an emotionally healthy leader. There were some great synergies between Clarke's findings discussed earlier in this article, and Pickett's extensive research into emotional intelligence in the workplace. Pickett emphasised that we always have a choice in how we react and behave in a given situation. I learnt some practical strategies, such as 'buying time' by asking if the conversation could stop now, but be continued later, if I feel too stressed or angry to easily moderate my behaviour. Pickett shared some reflections on her own experiences in the workplace, and encouraged us to reflect on whether we could do more in this space, for ourselves and for our teams.

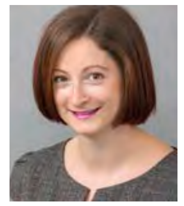
Our final treat before the closing lunch and People's Choice Vendor Awards, was a keynote from Simon Waller. Waller's enthusiasm and observations were inspiring, and continued the theme of people first. He spoke about RIM professionals positioning ourselves as the 'digital champion'. He told us that we are, or should be, indispensable to our organisations. He warned us that there are plenty of digital savvy people in the workplace, and if we don't give them good technological options, they may either go rogue and develop their own 'shadow' systems, or give up and leave.

Waller urged us to make small (good) changes often, rather than large (bad) changes occasionally, to encourage people to accept and adopt necessary change. He told us that we cannot make anyone do anything, but we can listen to people and try to genuinely help them. Our responsibility as RIM professionals is to provide support and advice to knowledge workers around records and information management. We cannot (or should not) tell people what to do. We should be proactive, and have meaningful conversations with our colleagues about their information needs. We should focus on people first, which will lead to effective RIM programs in our organisations.

For a conference on record and information, there were plenty of reminders about people. Sometimes we might get caught up in following a checklist, standard or process, and forget that we are likely to fail if we ignore the people who are impacted by, or needed for, the process. I thoroughly enjoyed inForum, and have returned to my work motivated and interested in putting people first in my records management professional practice.

I cannot wait for #inforum2018AU, to be held in Hobart, Tasmania, from 9 to 12 September 2018. The three streams cover access to records and information, strategy and governance, as well as leadership. I hope to see you there!

### ABOUT THE AUTHOR



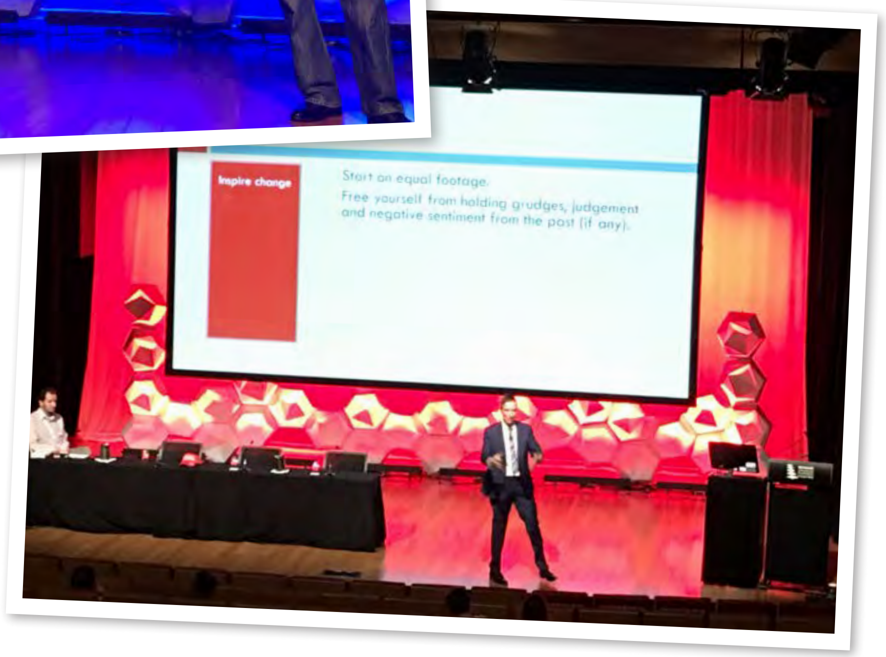
Lydia Loriente (BA (Hon), DipLang (Italian), MEuIntStudies, ARIM) is a senior records analyst at Monash University, and a student in the RIMPA-accredited Graduate Diploma of Information and Knowledge Management at Monash University. Lydia has also worked in sales, marketing and data management, as well as in corporate governance specialising in policy development and privacy compliance. Informed by records continuum theory, Lydia is passionate about empowering people to do their own effective recordkeeping and information management, and embedding recordkeeping compliance into everyday work practices.

✉ She can be contacted at lydialoriente@gmail.com

INFORUM 2017

# HANGING OUT WITH PEOPLE WHO 'GET IT'

By Lynda Leigh, *speaker*

I knew I was onto a good thing when I walked into the speaker's room on Sunday afternoon and keynote presenter, Jay Zaidi, greeted me with a big grin, with his feet on coffee table and his laptop on his lap. I checked in with the AV guys and yes, they had right version of my slides and I was 'good to go' for my presentation on Tuesday so I could relax and enjoy the conference until then.

In the speaker's room I also met fellow speaker and newbie, the lovely Lydia Loriente, who ended up being my buddy for the rest of the conference. We both attended Chris Fripp's information session together and, after given a big smiley sticker by Chris with his parting words ringing in our ears – "Look out for these, at least you'll find someone you know" – off we went to the Welcome Reception.

I thought I would know nobody at the conference, then I bumped into a few former colleagues and a few members of my local RIMPA branch. I recognised a familiar name from IQ articles … how wrong could I be thinking I knew no-one?

I confess sometimes it can be lonely being a contractor – no after-work drinks, no Melbourne Cup sweeps or Christmas party invites – I'm simply contracted to start a task, finish that task and then move onto the next task.

At inForum, I found my tribe who spoke the language of RIM – one delegate expressed that it was great to "hang out with people who get it". And oh, did we get it, sharing and laughing at in-the-industry jokes, along with groans and WTFs!

Even if I hadn't met someone before, I knew something about them straightaway – all I had to do was look for the colour line on their pass. A green line meant a fellow speaker – we talked about the process/business of speaking and our chosen topics. Blue meant delegates – it was great to discover out what was happening in their world and if they were coming to my presentation. And as for red – exhibitors – I could pick their brains on the upcoming ICT trends or asked them why I haven't heard of them before (change of name, merges, upgrades and so on).

Whilst most conversations started with the usual introductory questions about someone's home town and/or who they worked for or with, and then came the all-important "so are you a hero or villain or, gasp, a nobody?". Some people (myself included) had worked out their outfits long before booking our accommodation.

Definition of a forum is a meeting or medium where ideas and views on a particular issue can be exchanged. It was a really bad day on-site that provided the basis for my abstract. I felt I had to do something about an issue, I felt like a canary in a mine – and it was an honour to be invited to chirp, I mean, speak.

One of the keynote speakers said that sharing skills is a key trait that leaders have. I wanted to lead a change of a business process and inForum gave me the opportunity.

I would urge you to consider speaking at inForum 2018 because I found multiple benefits from speaking this year.

Speaking helped me with introspection; it gave me a chance to refine and think deeply about the topic, the problem and the solutions. I felt I was adding value, sharing my insights. I didn't have to worry about 'knowing the audience' as I already was one of them.

Speaking provided me with the inspiration to become a better consultant; I am now well prepared for going into a meeting and talking with a few people after speaking to lots of people. The message is the same, only the method of delivery has changed.

I believe it's good for RIM professionals to come together and find solutions to common challenges that will benefit the industry as a whole – we provide a valuable service and we need to remember that we are change managers too.

I really enjoyed the networking and exchange of ideas and I long for more diverse speakers of various corporate levels, roles and backgrounds. One delegate expressed that, for a female-dominated industry, there was a lot of males on stage and on the Board.*

I find conferences are like a huge brainstorming session. They also let speakers put their opinions and influences out there (agree with them or not – as an example see*) and get people thinking about what they're doing in their agencies or businesses and what they could/should be doing better or stop doing.

I know the conference could lead to more contract and speaking work. But better still, I found a 'brains trust' that I could depend on – thanks to inForum 2017, I had found 'someone you know'.

### ABOUT THE AUTHOR

Lynda Leigh is a speaker and trainer – she is also profoundly deaf. Lynda's mission is to be known for her ability, not her disability. Her experiences as a consumer and customer service manager provide a gold-mine of information not only about accessibility, but about the communication and resilience challenges that all of us face. When Lynda became a solo-entrepreneur, it was clear that she was a people person. She's taken her experience and created Canberra's most in-demand networking workshops. Lynda found her forte in Records and has over 15 years of experience as a records and information manager. She also ran IT support for 700 staff members in a major government department. Now she shares her experience and skills to both government agencies and small businesses alike.

She can be contacted at lynda@brightsparkspeaking.com.au.

# EXPERIENCING INFORUM AT HOME

By Gunta Bajars, *branch councillor*

This was my second inForum, having attended Adelaide in 2009. Being in my home city was a bonus – no travel and accommodation costs. It was wonderful to see and hear the variety of speakers and meet delegates from all over the world, and listen to their experiences.

I took the opportunity to volunteer on the registration desk, handing out calico bags courtesy of our ever-generous sponsors. It was slow at times, and very busy at others. Lovely to see new and old faces. I felt it was a great way to feel part of inForum and would volunteer again.

The Brisbane Convention and Exhibition Centre was an excellent venue – so close to bus and train, and Southbank, the Brisbane River and with the City a short walk away for our visitors. I had heard the catering would be wonderful, and was not disappointed.

I had happy memories of the Branch Councillors' meeting in Adelaide when Branch Councillors from all over Australia sat around a table and met the Board and discussed items of commonality. Sadly, only a handful of Councillors came on Sunday afternoon. Where were you all? A pity to waste the opportunity to put faces to names and share issues …

Monday night was Branch dinner night, and each Branch took the opportunity to meet at a local venue for networking and a meal. This was after the drinks welcome at Rydges. Queensland Branch found itself at the Plough Inn within Southbank. The Plough Inn continued its well-earned reputation for great food. For those non-Brisbanites, the Plough Inn is a Heritage-listed building which existed in Stanley Street, before Expo 88 and Southbank. It has been able to blend into its surroundings and has many memories for us Brisbane natives. We were joined for dinner by some Brisbane members who were unable to attend the conference. It was a wonderful opportunity to socialise in an informal setting.

Tuesday brought with it the Company Annual General Meeting. It was great to be able to attend in person, and cast my own vote, rather than relying on a fellow Queenslander holding my proxy. Remember, if you have professional status, you have voting rights. Do not waste this privilege – you have worked hard to achieve and maintain your status. If you cannot attend, remember to give your proxy to someone else attending.

The theme of the Conference Dinner was 'Heroes and Villains'. I was amazed how many people had thought of a character and then found the appropriate costume. We were honoured to be joined at the conference dinner by two Donald Trumps and Barack Obama, Bat Girl, Tweetie Pie and so many more.





When the Awards were announced, Queensland excelled. Nancy Taia, our current Branch President took out the Industry Contribution Awards for her many contributions to Queensland Branch – congratulations Nancy! Queensland also received the Jim Shepherd award in the Branch Category. Fitting to receive the award named after one of the Founding Fathers of Queensland Branch!

Speakers were many and varied. It was difficult to choose which speaker to attend sometimes. Flicking through my notes, I feel the need to reread my notes and relate them back to the presentations which are now on the RIMPA member's area (what a great resource). I'll be able to view the presentations for those speakers that I did not attend in person. I know in the past I have referred to past papers when a topic was raised at work, and I needed to update my knowledge/facts.

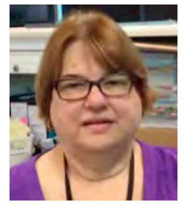
Jay Zaidi from Alydata in the USA and Shadrack Katuu from the International Atomic Energy Commission in Vienna were great keynotes that set the tone of the Conference. I really enjoyed the presentations in the 'About Me' stream by Linda Zakman from National Archives, who spoke on investing in an information governance profession, and Sandra Pickett from Victoria University who spoke on being an emotionally healthy leader – most relevant today. I had so many favourite speakers!

The vendor mall was popular. It was great to see that some of the vendors had embraced the 'Heroes and Villains' theme on their stands. There were some who are regular attendees and others were attending for the first time. There was a mad scramble first thing in the morning, and at the breaks, to grab your food and drink, gulp them down, and then visit the vendors to see what new products or services they had to share, take some brochures and of course the 'give-aways'. Great way to be popular when you return to work, if you have goodies to share.

On the final day, the last speaker was before lunch and we moved to a separate room for a sit-down lunch. The vendors had all but packed their stands and could join us. The various raffles were drawn, final announcements made and people started departing for home – wherever that was. It was all over for another year.

Many thanks to Kristen and her team at RIMPA for organising another wonderful event. We must not also forget our vendors, sponsors and speakers, and of courses the delegates that attend. I would encourage anyone to attend inForum if possible. It is a great way to meet others in a similar industry, who 'get it', listen to speakers from Australia and overseas, and access the vendor mall. As a professional member, exercise your right to vote by attending the Annual General Meeting. Start planning, whether for 2018 or 2019 or ??? – hint, you can take leave and fund your own conference fees and travel and accommodation and call it a holiday! Adelaide and the Barossa were great nine years ago!

**ABOUT THE AUTHOR**



Gunta Bajars ARIM is a records manager and administrator with many years' experience in both the private and public sector. She has worked with traditional paper records, eDRMS and Legacy systems. She is a Queensland Branch councillor and is currently membership secretary.
She can be contacted at guntabajars@yahoo.com.au.

# OUTSTANDING ACHIEVEMENTS AWARDED

The RIMPA Awards were presented at inForum 2017.

## INDUSTRY CONTRIBUTION

**Introduced in 2014, these awards for industry contribution are presented to professional members of the association who have contributed to the RIM industry in a notable way. The awards cover the following areas:**

- Involvement with Standards / Education
- Involvement with Company
- Involvement with Leadership / Mentoring
- Involvement with Innovation / Strategy / Governance

**Winners:**

- **Nancy Taia** – Contributions to Queensland Branch
- **David Nowlan** – Contributions to Victoria Branch
- **Suparna Chatterjee** – Contributions to WA Branch

Molly Ap-Thomas with Iron Mountain's Peter Innes and Lisa Read White

## IRON MOUNTAIN ARTICLE OF THE YEAR AWARD

IRON MOUNTAIN®

**This award recognises and encourages quality written contributions to iQ by RIMPA members annually. In 2016-7, shortlisted articles were:**

- 'What you need to know – an intranet tale' – Lorien Mader
- 'Records management and the governance of things' – David Moldrich
- 'How to relocate your records successfully' – Molly Ap-Thomas
- 'Goodbye ECM… Hello Digital Content Services: Getting RIM onto the enterprise radar' – Linda Shave

**Winner:** Molly Ap-Thomas
The judges commented that Molly's was "a practical guide to relocating successfully. Great advice and insider tips!" and that "it is a useful checklist that I feel I could apply and covers a topic not extensively written about in recent years."







## JIM SHEPHERD AWARD

**This award was named in honour of one of the Association's founding fathers, Jim Shepherd. It recognises long-term value towards RIMPA, industry/profession development and/or industry/profession co-operation and is presented in two categories – RIMPA Branch and Vendor.**

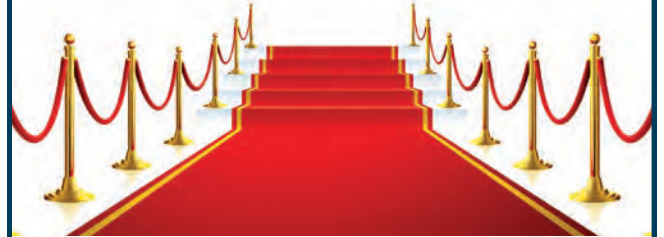
**Branch winner:** Queensland Branch


Nancy Taia of the Queensland Branch accepts the award from Lisa Read White.

**Vendor winner:** EzeScan


Lisa Read White presents the award to Mike Kirkby, Ezescan.

# 2017-18 Article of the Year Award



### How you can be in the running for the 2017-18 award

Every article/paper published in iQ between now and August 2018 automatically goes into contention for the 2017-18 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.**

## J EDDIS LINTON AWARDS

**Recognises excellence in records and information management across five categories: Student, Innovation, Collaboration, Implementation and Business Benefit.**

### Category – Student of the Year: sponsored by Records Solutions

Records Solutions
Helping Manage Information Effectively

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

**Winner:** Leanda Davis


Student of the Year Leanda Davis, with Anne Cornish from Records Solutions.

## Category – Innovation: sponsored by Information Proficiency / Sigma Data

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

Shortlisted nominees:

- Edith Cowan University
- Logan City Council
- Australian Transaction Reports and Analysis Centre (AUSTRAC)

**Winner: AUSTRAC**

The 'People' template workspace introduced by AUSTRAC is an end-to-end digital personnel, security and case file that enables a secure, person-centric view of information across a range of business process including recruitment, vetting, onboarding, payroll, performance management and internal investigations.

The People and Integrity Unit at AUSTRAC have transitioned from being almost entirely paper-based to 95% digital. The initial reluctance, and indeed a lack of confidence, to use an online system quickly turned to one of strong advocacy as the outcomes and subsequent benefits were realised. The business unit now view themselves as proponents for showcasing the benefits of digital workflows and, as a result, the entire agency reaps the benefits.

The innovative and collaborative approach is becoming the norm in AUSTRAC, with each and every business unit looking to identify a digital information management solution to assist with dealing with limited resources. This transformation has without question improved user experiences and built a culture that values digital information.

Alex White and Lisa Read White from Information Proficiency, presented the award to AUSTRAC's Kate McCowage (centre)

Simon Eve-Macleod and Peter Stokes, APRA.

## Category – Business Benefit: sponsored by Information Proficiency / Sigma Data

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

Shortlisted nominees:

- Edith Cowan University
- Logan City Council
- Australian Prudential Regulation Authority (APRA)

**Winner: Australian Prudential Regulation Authority (APRA)**

The completion of their IM rollout project has given APRA a platform upon which to build and a clearer picture of what can be achieved. It also represents a significant change in attitude towards working digitally, and is a significant step towards fulfilling the Digital Continuity 2020 objectives. APRA will continue to explore the capabilities on the IM platform, beginning with workflow for standard business processes, electronic signatures and digital approval for internal documents, migration and decommissioning of legacy systems, as well as utilising the out-of-the-box capabilities of SharePoint.

Benefits included:

- Automated records management of all content. Over 100,000 documents captured in the first six months.
- Closure of 98% of shared network drives across the organisations (exceptions were made for a number of very large and complex spreadsheets).
- No hard copy files created for new records.
- Ability to 'bulk-upload' a large number of documents and apply metadata in one go.
- Email integration to capture incoming and outgoing emails into linked sites.
- A reduction in printing of approximately 70%.





## Category – Implementation: sponsored by FYB

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

Shortlisted nominees:

- Edith Cowan University
- Brimbank City Council
- Griffith University
- Coal Services
- Australian Prudential Regulation Authority (APRA)
- Australian Transaction Reports and Analysis Centre (AUSTRAC)
- Central Land Council
- Department of Industry Innovation & Science

**Winner: Department of Industry, Innovation & Science**

The Department of Industry Innovation & Science took an innovation approach to increase its compliance with the Digital Continuity 2020 Policy by embracing information governance and creating a program of work to transform and improve the understanding of and compliance with digital information management.

An information management program was established to address concerns of departmental staff and increase the department's compliance with the DC 2020 policy through a number of projects including digital documents management, paper reduction and policy update etc.

First and foremost, the project's objectives were to consult with staff across the department to listen to their concern with regards to digital documents management. The second key objective was to increase the department's awareness of and compliance with the Digital Continuity 2020 Policy through the establishment of key information management governance documentation and a program of works.

Daniel Dawson, FYB, presents the award to Miles Davis, Department of Industry, Innovation & Science.

BELOW: Mike Kirkby, EzeScan with Debbie Crudass, Edith Cowan University.

## Category – Collaboration: sponsored by EzeScan

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

Shortlisted nominees:

- Edith Cowan University
- Australian Transaction Reports and Analysis Centre (AUSTRAC)

**Winner: Edith Cowan University**

ECU Records and Archives Management Services team, in collaboration with ECU's Governance & IT departments and with consultant support from Information Proficiency, successfully developed and implemented a solution that provides access for internal and external stakeholders to one source of truth for ECU policies, statutes, by-laws and rules.

This included the transition from local servers to cloud-based storage and a Google-style search interface. The result is a simple, single page using one search box and an 'A-Z' browse option. Users enter a search term or keyword into the search box, in a format that is familiar to anyone who has ever used an internet search engine.

The success of this project has resulted in a significantly improved user experience, the removal of a standalone unsupported system, and a successful integration to the existing recordkeeping system.

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Professionals Australasia

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See more at
www.rimpa.com.au

## Trade Exhibitor People's Choice Awards

Winners of the 2017 Trade Exhibitor People's Choice Awards:

**Most interesting stand:** EzeScan

Ezescan's Demos Gougoulas, with Thomas Kaufhold

**Most informative stand:** Votar Partners

Votar Partners' Mark Williamson, with Thomas Kaufhold

**Best themed stand/giveaway:** Miktysh

Miktysh's Kylie Lack, with Thomas Kaufhold