**ADVANCING AND CONNECTING THE RECORDS AND INFORMATION MANAGEMENT PROFESSION**

## The case for defensible disposal

# MEET RICHARD FOY
### NEW ZEALAND'S NEW CHIEF ARCHIVIST

## THE HIGHLIGHTS

# INFORUM 2018

- **EVENT WRAP-UP**
- **RIMPA AWARD WINNERS**
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**THOMAS KAUFHOLD**
MRIM, CHAIR OF THE
BOARD, RIMPA

## VIEW FROM THE CHAIR

This edition of *iQ* provides a wrap-up of inForum 2018, which was held in Hobart from 9-12 September at Wrest Point Hotel. Delegate numbers increased this year with an additional 50 delegates attending the conference. Vendor stands booked out and also saw a rise in numbers, resulting in a bustling Trade Exhibition.

Feedback about inForum 2018 was very positive. Attendees appreciated the variety of speakers and papers and that younger professionals were given an opportunity to present.

Congratulations to RIMPA's Marketing and Events team on an excellent job and for taking inForum to the next level. I also extend a heartfelt thank you to our members and RIM professionals for your continued support of inForum.

In 2019, RIMPA will celebrate its 50th anniversary. This milestone occasion will be earmarked with "RIMPA Live 2019" (formerly inForum), which is being held in Adelaide in September 2019. Let's start making plans to all be there for this important industry event.

### ON THE COVER
Recently-appointed New Zealand Chief Archivist, Richard Foy, has been establishing his vision at the national Archives New Zealand over the last six months. Michael Steemson ARIM, who sits on the Editorial Committee of *iQ*, arranged an interview with Mr Foy, which I feel will be of much interest to the RIM community.

### IN THIS ISSUE
There's plenty of good reading in this edition, here are a couple of highlights...

Ellen Broad talks about the business of how Artificial Intelligence (AI) is used in infinite business objectives and policy decisions and addresses the question: who gets held accountable when facial recognition algorithm fails?

Ellen is the Head of Technical Delivery, Consumer Data Standards for CSIRO's Data61. She's written about AI in the New Scientist and the Guardian and has been a guest on ABC Radio National's *Big Ideas* and *Future Tense* programs.

Randolph A. Kahn, ESQ. puts a case for why the destruction of information is so difficult and yet essential. He suggests that lawyers must find a way to get rid of information without creating business and legal issues for their clients. Mr Kahn is a two-time recipient of the Britt Literary Award and he teaches Law and Policy of Electronic Information at Washington University, School of Law and The Politics of Information at the University of Wisconsin-Madison.

### IN OTHER NEWS
The last 12 months has brought lots of changes for RIMPA as initiated by the Board and strongly supported by staff. The resilience, performance and loyalty in dealing with these challenges is very much appreciated.

At the 2018 Annual General Meeting (AGM), the Board reported on its recent accomplishments and some changes that have been implemented.

The 2017-2018 Annual Report was provided at the AGM, which includes an analysis of company finances by the Company Secretary and Chief Financial Officer plus detailed reports from all Branches and planned objectives for 2018-2019. A full copy of the Annual Report can be obtained by emailing: admin@rimpa.com.au.

A number of crucial resolutions were considered at the AGM, with a majority of them dealing with the performance and decisions made by the Board over the last 12 months. I am pleased to report that approximately 90% of voting members supported the Board's decision to set a new direction for RIMPA. This has given the Board and Branches assurance to continue to build on the new direction that we are taking.

I hope you enjoy reading the November edition of *iQ*.

> **"Feedback about inForum 2018 was very positive. Attendees appreciated the variety of speakers and papers."**

# Members Update

RIMPA's membership community continued to grow this quarter. An additional eight companies elected to join one of RIMPA's Corporate Membership packages, with a total of 27 staff from these companies now enjoying the benefits that a RIMPA membership brings.

The positive energy surrounding membership has also resulted in an increase in our Student Memberships.

At the recent inForum Gala Dinner in September, Thomas Kaufhold, Chair of the Board, along with Branch Presidents from South Australia, New South Wales, Queensland, Victoria, and the ACT, awarded hard-working individuals in the RIM industry with membership status upgrades.

RIMPA's Member Services team warmly welcomes all new members.

### Life Members

- Joy Siller
- Julie Apps
- David Pryde
- Trish O'Kane

### Chartered Members

- Rebbell Barnes
- Nancy Taia
- Mimma Sardi

### Associate Members

- Demos Gougoulas
- Matt Jordan

### New Corporate Companies

#### VIC

- Development Victoria
- Frankston City Council

#### ACT

- Department of Jobs and Small Business
- Office of National Assessments

#### QLD

- Queensland Treasury Corporation

#### WA

- Department of Local Government Sport and Cultural Industries
- City of Cockburn
- Department Fire and Emergency Services

### Student Members

#### NSW

- University of Technology (six students)

#### VIC

- Curtin University (two students)

#### WA

- Open Universities (one student)

### New Individuals

#### VIC

- Two new individuals

# National archives facility named in honour of former attorney - General Peter Durack QC

National Archives of Australia Preservation Facility

Australia's state-of-the-art facility for the preservation of Commonwealth records has been named in honour of the former Attorney-General who helped establish the National Archives of Australia.

The National Archives Preservation Facility in Canberra was officially named the Peter Durack Building on 21 September 2018 in recognition of the Fraser Government Attorney-General who introduced the first Archives Bill in 1978.

"I am proud to officially name the building after the Hon. Peter Durack QC," Attorney-General, Christian Porter, said at the naming ceremony attended by members of the Durack family and the Archives Advisory Council.

"Peter Durack was a strong advocate for freedom of information legislation and public access to Commonwealth records. He introduced the bill that became the Archives Act 1983 and led to the establishment of the National Archives.

"We see Peter's vision realised with the Peter Durack Building representing a significant investment by the Government in the preservation of Australia's past - for Australia's future."

The National Archives Preservation Facility was officially opened by former Attorney-General, George Brandis QC, on 9 June 2017 – International Archives Day.

The Peter Durack Building represents excellence in archival practice, being designed and constructed to provide a state-of-the-art preservation environment for paper, audiovisual, photographic and other physical records. Critically, it also supports archiving capability into the future as digital transformation becomes increasingly important in government business and service delivery.

The facility holds more than 350 shelf kilometres of documents and photographs, hundreds of thousands of hours of audio-visual material, and more than 700 terabytes of digital records.

Peter Durack QC (1926-2008) served in the Australian Parliament as a Senator for Western Australia from 1972 to 1993.

In Peter Durack's early years in Parliament, the records of the Commonwealth were being stored in leaking and flood-threatened Nissen huts beside Lake Burley Griffin, where the National Gallery of Australia now stands.

Peter Durack himself said of the National Archives that its: "... accumulation of information opens up a vast wealth of research material of vital interest to almost every profession and of great significance in the recorded history of this nation. The Government wishes that this great national resource should be put at the disposal of the public through a network of archival facilities and reference services."

"Australia owes Peter a debt of gratitude for his foresight and determination to ensure the preservation of Australia's Commonwealth records and his family members attending the naming ceremony can be justifiably very proud of his achievement seen on display in this state-of-the-art facility," the Attorney-General, Christian Porter, said.

*Courtesy of NSW State Archives & Records*

PHOTOGRAPHER: John Gollings

## LOCAL HISTORY GRANTS PROGRAM NOW OPEN

Community organisations can now apply for a share of $350,000 to support projects that seek to preserve and share local history for the benefit of all Victorians.

The Local History Grants Program, managed by Public Record Office Victoria, is now accepting applications of up to $15,000.

The program is about putting our dedicated community organisations first, who do such a great job of collecting and preserving Victoria's fascinating history.

The recent round saw forty-six community groups across Victoria share in the funding for historical projects and publications.

Projects funded included the Country Women's Association for their project to preserve photographs and documents from their 90-year history, the Ballarat Memorial Concert Band for their Century of Music project, as well as the Kilmore Historical Society for a textile conservation project to conserve rare wedding dresses.

Other successful projects ranged from digitisation of historic newspapers to the development of new historical signage on walking trails.

Victoria's diverse history is a real drawcard for visitors, with 6.8 million people visiting a museum, gallery, heritage site or monument on their trip in the year ending December 2017 – up by 27.2 per cent since the year ending December 2014.

You can submit your application online via https://prov.vic.gov.au/community/grants-and-awards/local-history-grants-program **Applications close at midnight on 18 December 2018.**

# The year that was: 1988 NSW cabinet papers released



Luna Park, Sydney

The historic closure of the State Brickworks and the establishment of the Independent Commission Against Corruption (ICAC) – 1988 was an historic year for the NSW Government.

Minister for the Arts Don Harwin joined former NSW Premier Nick Greiner to release the 1988 NSW Cabinet Papers.

"In 1988 we celebrated the bicentenary, introduced Home & Away to the world and honoured Aboriginal and Torres Strait Islanders through artwork at the Sydney Biennale," said Mr Harwin.

"It was also a huge year in NSW politics, with Nick Greiner's Coalition winning a landslide election through a swing of 8.3% - the second largest in NSW history at the time - to end twelve years of Labor rule.

"The election of his government ushered in several changes that transformed public administration in the state and paved the way for similar reform in other states and the Commonwealth that remain in place today."

Significant Cabinet decisions made in 1988 included:

- In February the Unsworth Cabinet debated a proposal for the redevelopment of Luna Park by Prome Investments.

- In March the Unsworth Cabinet approved the preparation of legislation to reduce 'restrictive' controls on AMP given the new environment of deregulation.

- In March the Greiner Cabinet approved the Ministerial Code of Conduct.

- In May the Greiner Cabinet approved the establishment of the Independent Commission Against Corruption, Australia's first anti-corruption body.

- In May the Greiner Cabinet decided to close the State Brickworks and Homebush Abattoirs during an emerging debate on the role of the state.

"Having committed $1.6m to digitising art collections across regional NSW and welcomed the State Archives and Records Authority of NSW to my portfolio, I'm pleased to continue increasing access to the archives including this fascinating glimpse into State political history," Mr Harwin added.

To access the digitised cabinet papers visit:

https://www.records.nsw.gov.au/archives/collections-and-research/guides-and-indexes/cabinet-papers-1988 -

Information supplied by NSW State Archives & Records.

## Queensland State Archives Records Governance Policy

The Records Governance Policy issued by Queensland State Archives is a fit-for-purpose records and information governance policy that recognises the diversity of Queensland Government agencies with a flexible and simplified approach to records management. The policy aims to support Queensland public authorities on their path to digital recordkeeping maturity and lift records management capability. More information about the policy can be found at

https://www.forgov.qld.gov.au/news/2018/new-records-governance-policy-released

# RIMPA'S NZ Branch Operating

After a period in dormancy the RIMPA New Zealand branch, through the efforts of a dedicated "working group" and a supportive Board, re-launched in July 2018 with a Constitutionally compliant Branch Council. The Branch includes Trish O'Kane MRIM Life and Mike Steemson ARIM, stalwarts from the first Branch in 2002 as well as other successive and successful Branch Councils.

New Branch President, Katherine Clarke ARIM hit the ground running and lead Councillors through successive planning days to deliver a Branch strategy with a uniquely New Zealand flavour which she delivered to the RIMPA Board at inForum 2018.

"The Strategy interweaves the four RIMPA threads of community, knowledge, good governance, and advocacy. The journey towards where we aspire to be



**NZ Branch (L-R)** Trish O'Kane, Dr Eric Boamah, Katherine Clarke, David Pryde, Mike Steemson

as a Branch began with understanding where we came from, where we are, and where we are headed. Then, keeping our people central in all we do — our purpose "advancing and connecting the records and information management profession" — comes into clear focus as the New Zealand Branch Council begins rebuilding services for New Zealand members," said Katherine Clarke.

## NZ Branch

**Katherine Clarke ARIM** – President
**David Pryde MRIM** – Director
**Mike Steemson ARIM** - Councillor
**Dr Eric Boamah** – Councillor
**Trish O'Kane** – MRIM - Councillor

# RIMPA's WA Branch Reformed



**WA Branch (L-R)** Suparna Chatterjee, Carolyn Atkinson, Mimma Sardi, Vicki Mills, Larry Knowles, Emma Garbelini (absent Gail Murphy, Debbie Cutts

A revitalised WA Branch is raring to go after a brief respite of 10 months.

The enthusiasm and commitment of the newly-elected Councillors bode well for the future of RIMPA in WA. The focus is set firmly on building great relationships within WA's records and information community to support and promote the industry. The WA Branch will assist members to further their professional development by providing opportunities to network and share resources and knowledge; explore partnerships and alliances within the broader information profession, and identify ways to work cohesively with other State branches.

Branch President Mimma Sardi said: "It is wonderful to see the recent reforming of RIMPA's WA Branch. The GM is supported by WA members, and the positivity and eagerness of those

members to nominate and become a Councillor of the WA Branch Council is clearly demonstrated.

The teams focus over the next 12 months is to engage with WA members and to offer relevant, topical workshops and seminars which harness networking opportunities for industry professionals. Our team welcomes all new and old members and looks forward to re-establishing ties with other WA Alliance groups."

## WA Branch

**Mimma Sardi ARIM** – WA Branch President
**Carolyn Atkinson ARIM** – WA Councillor
**Debbie Cutts MRIM** – WA Councillor
**Gail Murphy** – WA Councillor
**Emma Garbelini** – WA Councillor
**Larry Knowles MRIM** – WA Councillor
**Vicki Mills** – WA Councillor

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## A bunch of good questions for
# New Zealand's Chief Archivist Richard Foy

For a decade, Archives New Zealand has operated in turmoil: a succession of Chief Archivists acting or substantive; the $10 million blowout of a lynchpin digitisation project; loss of hard-fought public service independence with merger into a bigger ministry; impatience at its enfeebled authority; official removal of the jewel in its archival crown, the nation's founding Treaty of Waitangi and more. Now, Kiwi RIM professionals hope for regenerated focus from a new, vital, enthusiast carrying the full national archives harness.

BY MIKE STEEMSON ARIM

New Kiwi Chief Archivist, Richard Foy, confirmed in the position six months ago, has got the bit between his teeth. He has been meeting the coalface workers, mixing with private sector and public recordkeepers, setting out his vision for the beleaguered national Archives New Zealand. And he's been answering questions from a variety of professionals for iQ readers.

He doesn't want his private life to get entwined. Our opening "origins" question gets a brief, amusing response. He grew up in Wainuiomata, or "Wainui", as it's known locally, a largely post-WWII, rather remote working-class suburb in the hills half an hour north east of the capital CBD.

He quickly gets more serious setting out his career up to the Archives hot seat: 12 years of IT consultancy to industry before entering public service "enterprise architecture". Mr Foy sets out the new job and what needs to change. He has to be circumspect in what he says but declares he hopes "to remediate" some of the old, official structures. Remediate? It means "remedy".

He challenges three of our doubting questions over his independence with a detailed description of the institutions' work, highlighting his predecessor, Ms Marilyn Little's, challenge[1] to former Prime Minister, Sir John Key, for deleting "public record" mobile phone text messages, and pointing out the lack of Government funding for the tasks expected, a concern he brings up more than once.

He talks of the Executive Sponsor requirement[2] in the Archives' Information and records management standard, the Public Records Act of 2005[3], the new Ministerial Group on National Archival and Library Institutions (NALI)[4], background on all of which can be found online.

His closing shot is for our question

about the still-contentious name change from National Archives of New Zealand to the current one ordered by a Labour Party government almost 20 years ago. The change came at almost the same time as the old Australian Archives was given its prouder National Archives of Australia title. Asked about the usefulness of the NZ change all those years ago, Mr Foy comments wryly: "Our institution is still frequently referred to as the National Archives".

So there!

**iQ: Where and when were you born?**

RF: I was born in the late 20th century on planet Earth. More precisely, I was born in New Zealand and grew up in the small town of Wainuiomata, which is just outside of Wellington.

**iQ: When were you appointed to the role of New Zealand Chief Archivist?**

RF: I was initially appointed as Acting Chief Archivist in July 2017. This was formalised as a fixed-term position in April 2018.

**iQ: What has been the career that led you to management of Archives New Zealand?**

RF: I have a background in information, software systems, technology architecture and digital strategy.

For 12 years I consulted on technology to business, then joined the public service to lead enterprise architecture at the Ministry of Social Development, before joining the Department of Internal Affairs to spearhead Better Public Services, Result 10 and RealMe, the NZ government's official digital authentication, identity and privacy solution.

Before taking on the role of Chief Archivist, I was the Director of Digital Strategy for the Information and Knowledge Services Branch of DIA – the branch to which Archives New Zealand and the National Library belong. In this role, I worked closely with Archives and the Library to imagine a digital future and define a compelling strategy for growing into it.

I never would have imagined that one day I'd be the Chief Archivist. I wanted to be an astronaut. They're remarkably similar jobs.

**iQ: What do you see as the tasks of Chief Archivist and how are you undertaking them?**

RF: Under the Public Records Act 2005, the Chief Archivist has been given wide-ranging powers of oversight in regard to records and information management. One of the most fundamental is authorising the disposal of public records. The Act provides important safeguards to the integrity of public sector records and information management and checks on disposal decisions to ensure accountability.

From day one, it has been my intention to undertake these tasks with integrity and to be as open as I can about the role and the decisions I make.

**iQ: How much have the role and function of the Chief Archivist been adversely affected by successive Government restructuring policies over the past 40 years?**

One of the Parliamentary Finance and Expenditure Committee's criteria for the creation of an Officer of Parliament is that he/she must provide a check on the arbitrary use of power by the Government executive. Do you see any arbitrary use of power by the executive in relation to the regulatory role of the Chief Archivist and Archives NZ?

RF: Earlier this year a Ministerial Group on National Archival and Library Institutions (NALI) was formed to look at ways to strengthen the democratic and cultural contribution of Archives New Zealand, the National Library and Ngā Taonga Sound & Vision.

This group will look at whether the role and function of the Chief Archivist is adversely affected by its current positioning in government and any future changes that might be required to remediate that.

> " I never would have imagined that one day I'd be the Chief Archivist. I wanted to be an astronaut. They're remarkably similar jobs "

**iQ: Does the Chief Archivist have the necessary independence to verify that mandatory public recordkeeping and disposal standards are being met by public entities? Also, does the Chief Archivist have the authority to exercise a regulatory role across all government departments' records**

**creation and disposal? Can this really hold the machinery of government accountable to Parliament?**
RF: The Public Records Act 2005 provides the authority for the Chief Archivist to exercise a regulatory role across all government departments' records creation and disposal. It also provides the necessary statutory independence to verify that mandatory public record keeping and disposal standards are being met by public entities.

A good example of the Chief Archivist's independence can be seen in the 2015 review into the deletion of text messages by the then-Prime Minister, Rt Hon Sir John Key. That report, delivered by the Chief Archivist in his/her statutorily independent role, advised that the Prime Minister's practices and the nature of the text messages in question made it likely that they were public records. If the Chief Archivist was experiencing undue influence from the Minister responsible for Archives, or the Chief Executive of DIA, this review and subsequent report would not have taken place.

Records and information management in the public sector has been traditionally undervalued and what we are seeing now is the result of that undervaluing with the absence or ineffectiveness of reporting on records and information management to leadership, and the ongoing low priority of resources to support records management within public offices. Some of the reasons for this include the traditional gendering of 'filing' as an administrative task and the dissociation of information from other kinds of assets.

At the same time, Archives New Zealand and the Chief Archivist has generally taken a more cautious and patient approach to enforcing compliance with the Public Records Act, with the idea that harsh enforcement would only be met with even further reluctance from the sector.

The Executive Sponsor program is intended to help lift the responsibility and profile of records and information management across government by assigning responsibility for championing records and information management to a senior member of each public office's executive leadership team. This helps to embed the notion that records and information management is an integral part of a business operating effectively and that information is an asset that an organisation can reuse and exploit. The Executive Sponsor is responsible for implementing effective records and

information management strategies and policies. They are also responsible for cooperating and liaising with Archives New Zealand about monitoring and reporting on compliance.

Ultimately, the administrative head remains responsible for ensuring that records and information management is implemented and that the organisation complies with the Public Records Act 2005.

**iQ: In a pre-General Election statement, the Labour Party committed to establish Archives NZ and the National Library as independent and separate government entities and, further, to investigate the "National" Archivist becoming an Officer of Parliament. What is your view of these suggestions?**

RF: Earlier this year a Ministerial Group on National Archival and Library Institutions (NALI) was formed to look at ways to strengthen the democratic and cultural contribution of Archives New Zealand, the National Library and Ngā Taonga Sound & Vision.

This group is looking at whether the role and function of the Chief Archivist

is adversely affected by its current positioning in government and any future changes that might be required to remediate that.

As part of the process, I have provided my views, informed through discussion with Archives staff and other stakeholders, on the positioning of the Chief Archivist role and of Archives New Zealand.

Ultimately, I want Archives New Zealand to be in the best place to effectively and efficiently execute its legislative requirements – to regulate and lead the public sector records and information management system and to preserve and provide ongoing access to the public archives we hold.

**iQ: Archives NZ has a regulatory role, a records and information management advice function, and oversees preservation of and access to historic records. How do you see this management interplay working in the next phase of Archives NZ?**

RF: The two sides of the business complement each other, and work to remind the other why it is that we do what we're doing. Without regulation, public records would not be created;

without the creation of public records we would not have public archives to care for and provide access to. Without the holdings we cannot hold the government to account, nor can we know our past and learn from that for the future.

**iQ: Historically, records have been transferred to Archives NZ after 25 years. Could significantly earlier transfers improve public sector accountability mechanisms?**

RF: Records held by public offices are still available to the public through the Official Information Act and this is a key component of our public sector accountability mechanisms.

**iQ: Access to government information through Freedom of Information requests is key but there are issues with various agencies failing to respond promptly or adequately. What could Archives NZ do to bring improvement?**

RF: Archives New Zealand works with the Office of the Ombudsman to address records and information management issues that arise through complaints made to the Ombudsman and we are working to develop a formalised process

for this. In these cases, the various tools available to me through the Public Records Act are put to good use, such as direction to report.

The power of official information legislation is dependent on the quality of the public record, including the information itself and its accessibility. Greater awareness of the interplay between the various pieces of information legislation and the part they play in open government, transparency and accountability can only be beneficial.

Agencies do appreciate that compliance with the Public Records Act makes responding to Official Information requests easier but this relationship is not always so apparent to the public. Including comment on official information complaints related to records management in the Chief Archivist's Annual Report on the State of Government Recordkeeping could be an option.

**iQ: Would you consider introducing official 'stress testing' with monitored requests to agencies for information that should be readily accessible and with publicly reported outcomes?**
RF: This is an interesting idea. At this point in time, we are simply not resourced to support the level of involvement that would be required to make this an effective form of monitoring.

The State Services Commissioner is driving a programme of proactive release across government, encouraging public offices to make available information of public interest and providing guidance to assist agencies to develop internal policies and practices in relation to proactive release, including responses to requests for information under the OIA. Proactive release of information promotes good government, openness and transparency while fostering public trust and confidence in government.

**iQ: Archives NZ's former recordkeeping forums created a positive improvement in public recordkeeping understanding and beneficial linking of sector information managers. Would you consider re-establishing the forums, perhaps even in a different form? Also, how does the Chief Archivist support the training and professional development of public sector records managers and archivists, especially those in small organisations like local councils and community archives?**

RF: At present, our support for training and professional development of public sector records managers and archivist is through the provision of advice, standards and guidance. We are not currently offering training as we are limited by our resourcing.

As part of our transformation to 2057 work program, we are considering a number of options in regard to sector leadership and training for records managers and archivists.

In the meantime, I've been talking at conferences and other events, to raise the profile of Archives New Zealand and the importance of records and information management to good governance, accountability and transparency of government.

**iQ: What part does the Chief Archivist have in the ongoing and future roles of the Community Archives and where does that fit within the future of Archives NZ?**
RF: The Community Archive website is currently our main focus in this area of our role. Improvements to this service are being planned as part of our internal 2057 strategy work.

**iQ: Archives NZ's online Directory of Archives in NZ is no longer updated nor is it available online for download. Why has Archives NZ stopped supporting this?**
RF: The Directory of Archives was initially developed by Frank Rogers and Rosemary Collier and then leveraged by Archives New Zealand in the 2000s. I understand the Directory was a useful resource however competing priorities and limited resources have meant that some tasks and activities, including the maintenance and publication of the Directory of Archives, have been put on hold indefinitely.

The Community Archive (formerly the National Register of Archives and Manuscripts) website, while not a directory, does provide a good overview of the archival organisations across the country.

**iQ: Some 20 years ago, a Government changed the name of the then National Archives of New Zealand to Archives New Zealand? Was this useful?**
RF: The name was changed from National Archives of New Zealand to Archives New Zealand in the year 2000. Despite the amount of time that has passed since that change, Archives New Zealand has never firmly established itself in the public mind and our institution is still frequently referred to as the National Archives. **iQ**

**ABOUT THE INTERVIEWER**
**Mike Steemson** has been involved with records management and R.M. standard setting since the 1990's, from membership of the British Government's Central Computer and Telecommunications Agency to the International Standards Organization' subcommittee TC46/SC11. He is a life member and a former chair of the UK's Information and Records Management Society. He joined Rimpa in 1996, was a founding member of the NZ Branch in 2002, and gained professional membership ARIM in 2003. He is a member of Archives and Records Association NZ (Aranz) Wellington Branch Council.

1 Managing text messages under the Public Records act 2005: http://archives.govt.nz/advice/public-records-act-2005/managing-text-messages-under-public-records-act-2005
2 Executive sponsor requirement: see https://records.archives.govt.nz/home/roles-and-responsibilities-of-an-executive-sponsor/
3 Public Records Act, 2005: see http://www.ssc.govt.nz/node/8523.
4 National Archival and Library Institutions Ministerial Group: see https://www.dia.govt.nz/National-Archival-and-Library-Institutions-Ministerial-Group
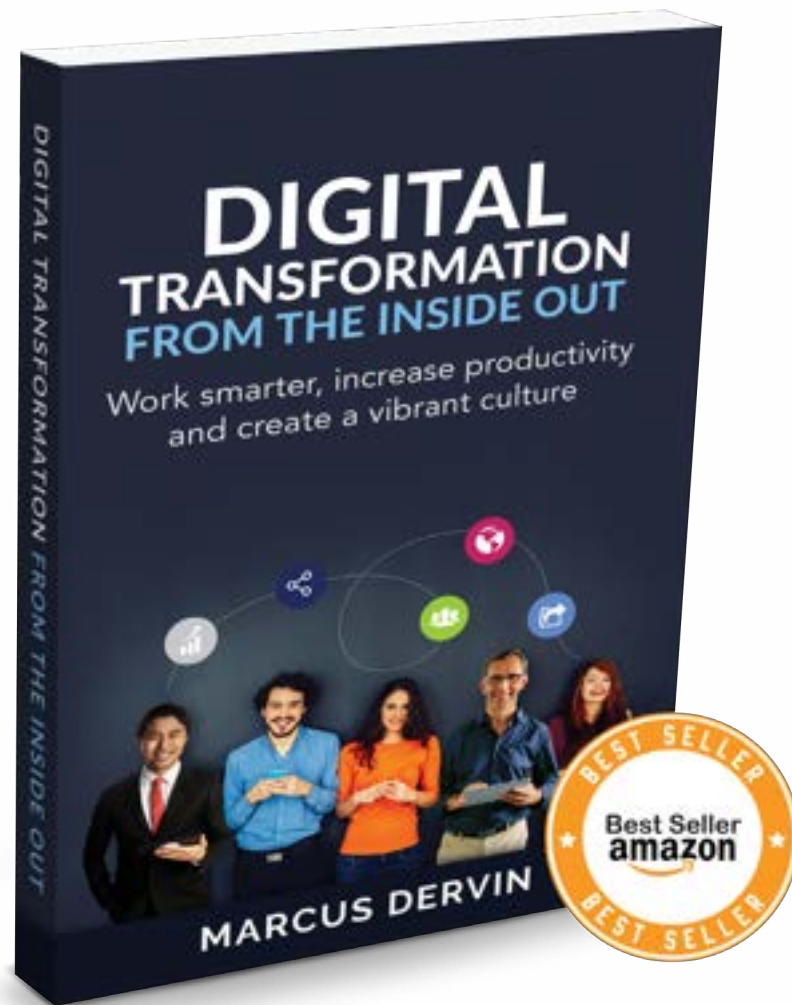
# DIGITAL TRANSFORMATION FROM THE INSIDE OUT

Digital Transformation from the Inside Out, is by Marcus Dervin, and focuses on the strategy and project success of digital conversion, rather than being a technical resource. This book can be read cover to cover or in sections according to your role and requirements. The focal point surrounds internal business transformation as opposed to customer processes.

**REVIEW BY KRISTEN KELEY MRIM**
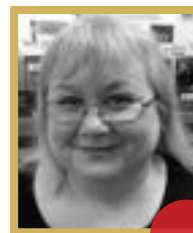
**ABOUT THE REVIEWER**

**KRISTEN KELEY** MRIM is a long-time member of RIMPA and the current SA Branch President. She holds Advanced Diploma's in Management and in Recordkeeping and is currently undertaking a Certificate IV in Training and Assessment.

The preface helpfully suggests key chapters of interest and usefulness based on your professional position — such as a HR manager, change manager or even a CEO — to ensure that you capture the most relevant pieces of information to you. It's recommended that IT professionals should read the book in its entirety.

Moving forward, the first few chapters are dedicated to looking at where organisations are going wrong in terms of productivity and process, culture, attracting top talent and the role technology plays in these areas. Most of us will identify with at least some of the scenarios and challenges faced by companies trying to deliver flexible, engaging and profitable work to a diverse workforce with varying technological expectations and skill levels.

It's a timely reminder that despite advances in technology, many companies and government agencies are still failing to benefit from the opportunities that improved availability, functionality and mobility of digital resources can provide. For example, they may have an electronic document management system but have only released the bare minimum functionality to avert potential chaos. In commercial organisations it is generally acknowledged that inefficient processes result in financial impacts on the business and it's equally obvious that staff in an organisation suffering from inefficient processes can potentially feel frustrated or even undervalued. This book deftly raises these issues and offers insight into the benefits of an ideal digital workplace.

It then moves from problems to solutions, outlining what components do and do not comprise a digital workplace. We are reminded that people invariably have different definitions and ideas that will change over time, and the digital workplace is proposed as an essential platform for staff to access resources and tools including productivity apps, document links, messaging, HR forms plus procedures and links to external systems.

As a Microsoft partner there is some bias towards Office 365 as a workplace solution, although the process of creating a digital strategy for business remains the same. One of the main sections of the book is a kind of checklist for the deployment of a successful digital workplace. This is called "the 9 Pillars" and includes considerations like Executive Support, Search Strategy, Social Technology Strategy, Governance and Information Architecture. The author goes into some detail describing each of the pillars and the keys to success for each one. Thankfully one of the pillars, Pillar 6, is dedicated to Document Management!

> **" A digital workplace is a core platform where you can perform work, collaborate with colleagues, access the information you need to do your job, and find out what's going on within the organisation. "**



Another significant section in the book is called The Six I's of Digital Transformation. This is where the reader can start applying the theory to their own business and begin to create a strategy of their own. Some of the numbers and tables might be complex on first reading, although a bit of persistence will help to clarify the theory and illustrate what the Six I's (being: Identify, Impact, Ideate, Innovate, Implement and Iterate) are for. That is, to identify and implement the most beneficial changes to show measurable ROI. Using a consistent business example throughout the process helps to show how it works and it would be a relatively straightforward exercise to build your own Six I's assessment model straight from the book.

Author Marcus Dervin owns a digital transformation consultancy in Sydney and obviously has a lot of experience in the enterprise technology space, offering actual client-based experiences to illustrate the theory. Digital Transformation from the Inside Out is an interesting and relatively easy read, which delivers some great ideas for anyone considering how to best leverage technology for their organisation. ⓘ

# In the age of privacy,

## keeping everything forever is intolerable

The 'age of privacy' has required companies to expend significant resources to examine their records access, utilisation, and disposal processes and make necessary revisions. With its severe penalties for non-compliance, the age of privacy has brought the 'keep it forever' style of records management to extinction.

**BY CRAIG GRIMESTAD**

We already know that a 'keep it all' approach to managing records is costly, problematic, and risky. After all, once your company does not need records, who are you keeping them for?

Once a company no longer needs them, any further use of these company records will be by someone else (likely obtained through discovery) and can only be detrimental. Even if the legal action is not successful, you have incurred expense and disruption that was not necessary due to the inclusion of this extra volume of records. It has always been good business sense to dispose of records once the company has no further use of them.

Today the age of privacy has arrived which represents another risk or, perhaps more correctly, danger, in retaining records beyond their required retention. As this age of privacy develops and matures, companies need to be responsive at a corporate, departmental, and personal level. Recordkeeping policies and procedures must be developed for records access, usage, and disposal. And, more than just being developed, actions must be taken to confirm compliance with these privacy policies and procedures at a personal, departmental, and corporate level. This is not an area to be trifled with as in addition to bad publicity, there are significant and potentially severe civil and criminal penalities.

Take the Health Insurance Portability and Accountability Act (HIPPA) as an example. This law specifies not only retention/disposal requirements, but records access and usage as well. This privacy law has consequences. Each violation is a $100 penalty, with up to a maximum of $25,000 for all violations of an identical requirement for a calendar year. It doesn't end there. Wrongful disclosure of individually identifiable health information has penalties of 50, 100, or 250 thousand dollars and might be coupled with

> **Today the 'age of privacy' has arrived which represents another risk or, perhaps more correctly, danger, in retaining records beyond their required retention.**

imprisonment of one, five, or 10 years depending on the reason for disclosure. This has forever elevated the significance of managing records.

More recently the European Union has established the General Data Protection Regulation (GDPR) which has stringent requirements for individuals' information including the 'right to be forgotten' that is, a right to have one's personal data erased, and the right to restrict processing.

Depending on the infraction, the penalties for a company may be as much as 20,000,000 Euros or 4% of the total of a company's global revenue. These can be crippling penalties for a company. As well, these penalties likely exceed the cost of implementing appropriate systems, repositories, and controls.

Of course, should a company be found in violation and have to pay the fines, it would still need to remediate its practices. It's much wiser to assure compliance before the law takes effect.

The age of privacy has required companies to expend significant resources to examine their records access, utilisation, and disposal processes and make necessary revisions. The age of privacy, with its severe penalties for non-compliance, has brought the keep it forever style of records management to extinction.

It is simply intolerable for records where privacy laws apply. As companies retool their records management programs to assure compliance where privacy laws apply, they would do well to extend those same disciplines across the business and establish or strengthen their Information Governance program. A disciplined Information Governance program reduces cost and improves business efficiency to the extent that it pays for itself. While initially troublesome, the age of privacy might be the driving force a company needs to establish a fully functional and comprehensive Information Governance Program. ⓘ

**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**

# Who gets held accountable when a

# facial recognition algorithm fails?

Artificial Intelligence (AI) is used in infinite business objectives and policy decisions. Although algorithms are inclined towards the same prejudices – biases even - as us humans. The question beckons, is it possible to make machines either responsible or ethical?

BY ELLEN BROAD

I gave a speech about data ethics to the Cranlana Program, which was broadcast as part of ABC Radio National's 'Big Ideas'. You can listen to the full conversation on ABC Radio National here. A transcript of the prepared speech is below.

Google thinks that I like American football.

Google also thinks that I like combat sports and the blues, but it's American football that confuses me most.

Who has a gmail account? Have you ever opened your ad settings? You can see how ads for you are personalised, based on the kinds of things you search for via Google and watch on YouTube. And you can change them, or turn off personalisation entirely.

Google has correctly guessed that I like pop music, sci fi and - although I'm ashamed to admit it - celebrity gossip.

But have I been sleep-searching American football?

See, Google's algorithm has assembled a figure representing me - a kind of data shadow - based on the data it has access to about me. Of course, Google doesn't know everything about me but it's had a go at figuring me out.

Maybe Google thinks I like American football because I genuinely do like Friday Night Lights, an American TV series set in a small town in Texas that revolves around American football. And maybe Google's algorithm can't tell the difference between liking a show about fictional American football and the real thing.

In this context - showing me ads that I never click on anyway - it doesn't really bother me. It does capture rather beautifully, though, the difference between my data shadow as Google interprets it to be and what the data actually reveals about me.

We use the term 'artificial intelligence' to describe machines that can perform tasks and make decisions that we used to think only people could make. While AI have been around in various forms for decades, the kinds of tasks and decisions artificial intelligence can make are quickly becoming more sophisticated and widespread, and it's because of data.

Enormous, endlessly expanding, diverse, messy data.

Many of our interactions take place online now. We sign up to loyalty programs and browse the Web. We pay our bills electronically and research symptoms online. We buy smart fridges and smart TVs. Sensors, mobile phones with GPS and satellite imagery capture how we move through the world. And our online lives leave thick data trails.

Data is powering automated cars, trains and planes. Automated systems learn from data to make lots of different kinds of decisions: about what we might like to buy online, when we could be at risk of getting sick. They decide who our potential romantic partners might be. The insurance premiums we get. The news we're exposed to.

The rapid advances in AI have been exhilarating for some and disturbing for others. For me, it's a bit of both.

I want to address three themes: access, control and

accountability. Because within the question, 'how can we build ethical machines?' are profound structural and historical choices regarding data - how it is collected, who has access to it, and how it is used (or misused) - to be unpacked.

Because data if you like is what gives AI life. It makes it smarter. You can't build smart machines without it.

And so, we need to ask questions like: Who has access to data? Who collects enormous data sources? What kind of organisations? And what responsibilities should they have? Do we as people have the ability to control and question automated decisions made about us? And, who gets held accountable when a machine gets it wrong? Because things can go wrong...

There's lots of stories about AI getting into trouble.

The social media chatbot that quickly becomes horrifically sexist and racist. Updates to Google Photos that accidentally see black people identified as gorillas. The camera that recognises images of Asian faces as people blinking.

These kinds of glaring problems are typically picked up quickly. But sometimes the issues training AI out of biases and prejudice can be more insidious, and more troubling.

Joy Buolamwini, a computer science researcher at the MIT Media Lab in the US, has spoken about issues she's had as a researcher getting robots to interact with her: to recognise her face, to play peekaboo.

But when Joy, who is black, puts a white mask on over her face, the robots can see her.

The problem here is poor data being used to train a robot about what faces look like.

Facial recognition software learns faces from big datasets of images of faces. If the images in what is called your 'training data' aren't diverse, then the software doesn't learn to recognise

> **" AI is shaped by its environment just as we are. It's impressionable. "**
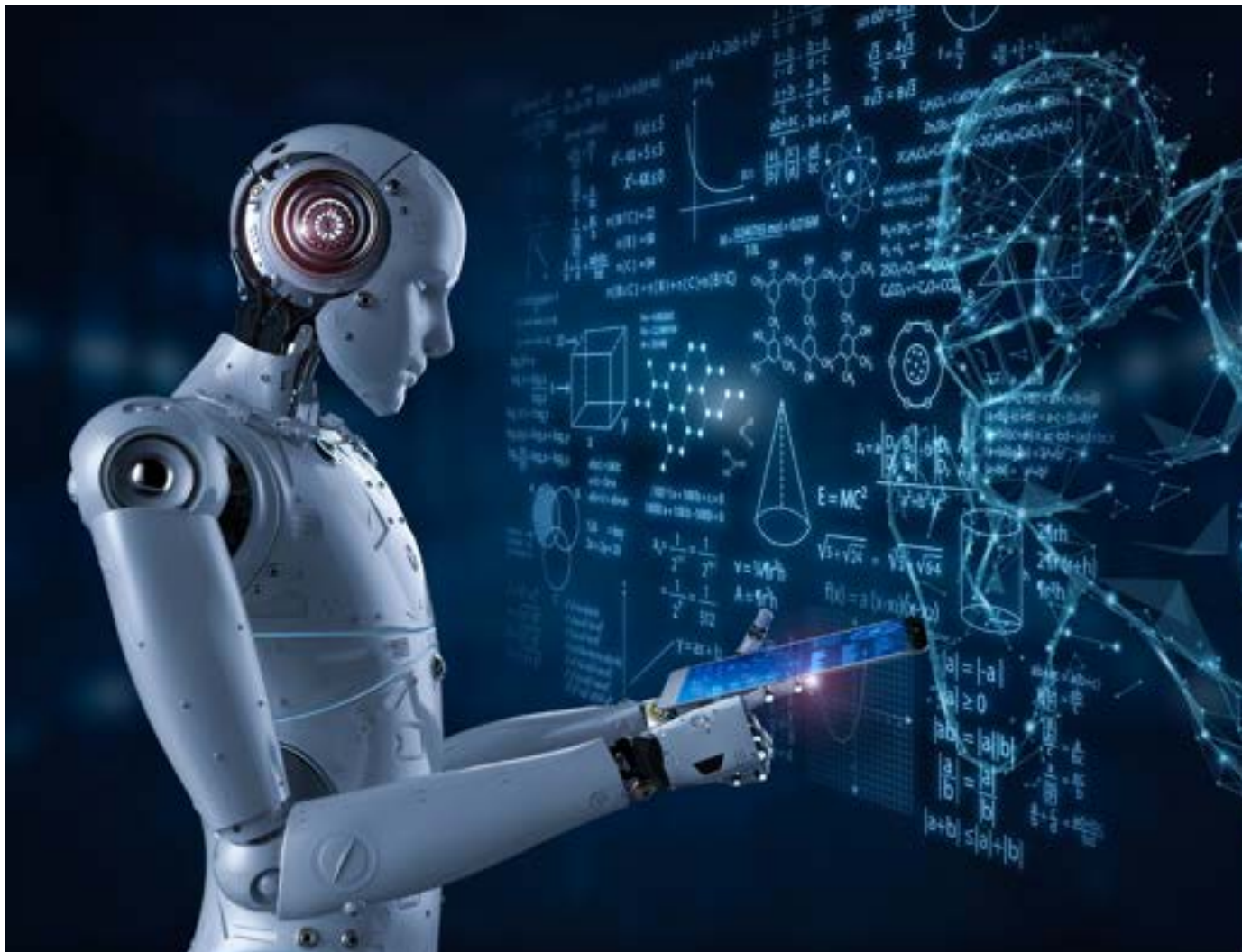
diverse faces.

A bit like humans really. AI is shaped by its environment just as we are. It's impressionable. And so, we need to take care not to encode biases within machines that we're still wrestling with as humans.

In 2016, the first international beauty contest judged by AI - and which promoted itself as analysing 'objective' features like facial symmetry and wrinkles - identified nearly all white winners.

In the US, sentencing algorithms are being developed to predict the likelihood of people who have been convicted of crimes reoffending and so to readjust sentencing. One of these algorithms was found to falsely flag black defendants as future criminals at twice the rate of non-black defendants.

It's not just race either: researchers from Carnegie Mellon University have discovered that women are significantly less likely than men to be shown ads online for high paying jobs.

In one machine learning experiment helping AI make sense of language, words like "female" and "woman" were closely associated by the AI with arts and humanities and with the home, while "man" and "male" associated with science and engineering.

In that experiment, the machine learning tool was trained on what's called a "common crawl" corpus: a list of 840 billion words in material published on the Web.

Training AI on historical data can freeze our society in its current setting, or even turn it back.

If women aren't shown advertisements for high paying jobs, then it will be harder for women to actually apply for high paying jobs. There'll be less women in high paying jobs.

Robots that struggle to read emotions on non-white faces will only reinforce the experiences of otherness, of invisibility, that can already be felt by racial minorities in western societies.

The extent to which a person or an organisation can be held responsible for a machine that is racist or sexist is a question coming up a lot in AI debates.

On the one hand, there's a fairly straight forward answer: people designing AI need to be accountable for how AI could hurt people. The hard part with AI can sometimes be figuring out when harm could reasonably have been prevented.

The creeping, quiet bias in data and AI can be hard to pin down. I have no idea if I'm not being shown ads for high paying jobs because I'm a woman. I don't know what I'm not being shown.

As AI becomes more sophisticated, and depending on the technique being used, it can be hard for the people who have designed an AI to figure out why it makes certain decisions. It evolves and learns on its own.

Take my American-football loving data shadow from Google.

I don't know how Google's algorithm actually works, even though I can see all of the data being used to guess (because Google's actually pretty transparent about it). And what's weird is, of all of the topics Google thinks I like, there are none related to technology or data or AI. And yet every day - I can see in the data - it's technology and data related stories that I'm looking at online.

Maybe the algorithm deduced that data is my job based on the frequency of my data-related searches, so I might not "like" it.

Or maybe it's based its assumptions about what I might like more on my gender and age than what I actually search for. I don't know what's being weighted. I don't really have a way of asking Google whether they can explain it either.

What does 'control' mean - who can ask questions - in an age of machines?

In the United States a class action lawsuit been underway for two years about cuts that have been made to Medicaid assistance for people with developmental and intellectual disabilities.

The decisions about where cuts would fall were based on a closed data model. When lawyers representing people affected by the cuts asked to see how the data model worked, the Medicaid program came back and said, "we can't tell you that. It's a trade secret."

In California a defendant was jailed for life without parole in a case in which the prosecution relied on the results of a piece of software that analysed DNA traces at crime scenes.

When expert witnesses for the defendant asked to see the source code for the software, the developer refused, saying the code was a trade secret. The language and expectations of business are increasingly intertwined with government when it comes to AI. A "trade secret" is something we understand from the commercial world.

But when should it be ok to refuse someone the information they need to exercise their democratic right to an appeal, because the algorithm being used is a "trade secret"?

Partnering with private sector organisations to deliver automated, predictive public services is becoming a necessity for government. We don't have clear expectations of the nature of those relationships: who owns the AI being developed using public funding; who should have control over and access to data used by the AI; and what our democratic rights are to understand and control how automation, algorithms, artificial intelligence, shape our interactions with government.

We need to have this discussion in Australia. In 2017, as well as the much-covered Centrelink debt recovery program, the government has also announced investments in predictive systems to identify welfare recipients for drug testing and identifying 'at risk' gamblers online.

When Centrelink began sending

> ❝ **The control we retain as humans - to appeal, to challenge, to choose - will determine the power structures in this new age of machines** ❞

automated debt notices over Christmas in 2016, it became front page news and the subject of a Parliamentary inquiry. The data model had flaws. The systems surrounding its implementation had flaws. The data matching process at the heart of Centrelink's debt recovery program wasn't new. Automating the process simply exposed existing flaws and scaled them up with devastating effect.

Access to data is power. If you're a start-up, a business, a researcher, or a government department building AI, you need access to high quality data sources.

And if you're someone on the receiving end of an automated decision, not having ready access to data to challenge it with immediately puts you in a less powerful position.

In the Centrelink case, the only way to challenge a decision was to validate the model – submit data about your employment and pay slips that might

expose an error. How accessible to you are your employment histories as data? Not the snippets, the payslips and documents. Your employment details as data that can be interpreted by a machine.

As more and more services are automated - applying for a home loan, getting health insurance - having access to our own data, or the ability to entrust it to someone else, will become increasingly important. The world we live in now is shaped by information flows and information hierarchies. And there's a trend emerging in the machines being built for tomorrow.

Automation is disproportionately affecting already vulnerable and marginalised people. We're at risk of entrenching - making permanent - existing structural inequalities.

In this new age of machines our power structures might look a little different at the top - tech and online giants

replacing mainstream media giants - but it's the same people left excluded and even more marginalised at the bottom.

The good news is while there are challenges there are also great possibilities.

At the same time, we're wrestling with these challenges, systems are being developed to try to address some of the issues of bias and under representation we struggle with in society.

Take recruitment. Challenges addressing gender and racial bias in recruiting processes have been well documented.

Today a range of tools are being developed which try to reduce that particular aspect of recruitment bias. One UK based start-up, Applied, offers gendered language detection in job descriptions and blind application scoring.

Historically in medical research, treatments that have been developed tend to be most suitable for middle aged men. That's because men are overrepresented in Australian clinical trials. Women make more difficult clinical trial participants because we menstruate. The impacts of drugs and other treatments are rarely tested on pregnant women at all.

Now, we have access to data about how people respond to treatments beyond expensive clinical trials. We have digitised scans, x-rays, blood tests, DNA histories. We have smart devices and mobile applications tracking symptoms and reactions in real time that we can use to devise fairer treatments for everyone, with the right data security mechanisms in place.

Artificial intelligence is being used to support and protect marginalised communities. In the UK, volunteers are teaching AI to spot potential slavery sites using satellite imagery - South Asian brick kilns, which are often the site of forced labour.

But when we see and hear stories about how data is being misused and abused, and driving bad automated systems, it makes it harder to have meaningful conversations about these kinds of possibilities. It makes it harder to trust.

A lack of trust is bad for business and bad for government. The economics are rubbish. When trust is low, investment is low and innovation is harder. But the issues we're dealing with in AI aren't new issues.

Statisticians, scientists and social researchers have always worked within

guidelines managing data responsibly and reducing bias. Issues around bias and prejudice in decision making aren't new either - society's reckoning with them is reflected in our anti-discrimination laws, our employment laws, our consumer rights laws.

What we need for this next machine age is a systems update.

People and organisations around the world are designing ways to handle data ethically, to build ethical machines and drive a fairer future for everyone.

Sage Bionetworks, a non-profit research organisation in the US is developing design solutions for data sharing and consent - meeting people where they live with the ethics, not just the technology. And they're building massive, intentionally diverse health datasets for future use as training data.

The Open Data Institute is developing a data ethics canvas to help teams work through the risks and potential impacts of data projects. The ODI has also been leading conversations in the UK and Europe about how openness can help organisations build trust.

Elon Musk is one of the sponsors of a non-profit called OpenAI, committed to researching and promoting AI safety. Just last week Google launched PAIR: the People + AI Research Initiative to study how humans interact with AI.

In New York AINow, an initiative co-founded by Australian researcher Kate Crawford, was recently launched to study the social impacts of AI.

There is a gap though. It's a knowledge gap that exists between people working on AI-related issues and our senior leaders who make decisions about where AI should be deployed.

We don't all need to become machine learning experts. We don't need to know how to build a car engine from scratch to know when it's at risk of breaking down. We have lights that flash on our dashboards, we have smells and sounds that trigger warnings. We understand some of the basic things that keep our cars healthy, and we learn how to respect others on our roads.

We do all need to develop a basic awareness of AI warning signs (dodgy data, unreasonable secrecy about how they work, over reliance on automated results over common sense) - the bad smells.

And organisations designing artificial systems or debating their role within different sectors need to develop the dashboard warnings, the indicators, to help people investing in AI check for errors before pressing the accelerator.

We need to give senior decision makers, our politicians and leaders, the skills and information they need to ask the right questions. To follow their noses. To know when AI stinks.

There's also broader policy questions to be debated about how what a healthy AI ecosystem looks like, and how it should be regulated. This is where I return to those three themes that will shape the evolution of our AI systems and who gets to benefit from them: access, control and accountability.

Data privacy is no longer the biggest challenge we're facing - we have other challenges like data monopolies. Technology giants like Google, Facebook, Amazon are sitting on enormous data sources of billions of people and acquiring artificial intelligence start-ups quickly.

We talk about accessing data held outside government for national security purposes, but what about for public interest purposes? Healthcare, transport planning? How do we generate competitive AI economies when who holds data holds the power? And what controls do we put around this?

When we talk about a dystopian future in which man is slave to machines, we tend to have these images of beings with super intelligence and super strength.

I'm more worried about stubborn, short sighted AI who can't distinguish me from my data shadows. Who will not listen, can't be argued with and can't be changed. Who respond to every request with "computer says no".

The control we retain as humans - to appeal, to challenge, to choose - will determine the power structures in this new age of machines.

Organisations designing and implementing AI now who will determine the controls we have. What are their responsibilities? How should they be held accountable for systems that make unethical or simply inaccurate decisions?

Access, control, accountability. How we apply these concepts to AI now will shape our future. We can't simply ignore the bad smells. But we also can't throw the keys away, halt development. There are risks and questions to be worked through, but there's also opportunities for AI to be used in genuinely powerful ways to improve our lives.

So... Take a moment, clear your nose. And let's work on that sense of smell of yours.

## ABOUT THE AUTHOR

**ELLEN BROAD** is Head of Technical Delivery, Consumer Data Standards for CSIRO's Data61. She returned to Australia from the UK in late 2016, where she was Head of Policy for the Open Data Institute (ODI), an international non-profit founded by Sir Tim Berners-Lee and Sir Nigel Shadbolt. While in the UK Ellen became an expert adviser to senior UK government minister Elisabeth Truss on data. She has also held roles as Manager of Digital Policy and Projects for the International Federation of Library Associations and Institutions (Netherlands) and Executive Officer for the Australian Digital Alliance.

Ellen's written and spoken about AI, open data and data sharing issues in places like the New Scientist and the Guardian, for ABC Radio National's 'Big Ideas' and 'Future Tense' Programs and at SXSW. Unrelated to her job, Ellen built an open data board game, Datopolis together with ODI CEO Jeni Tennison, which is being played in 19 countries. She wrote a book called MADE BY HUMANS: The AI Condition published by Melbourne University Publishing (MUP) in August 2018.

# Why destruction of information is so difficult and so essential:
# THE CASE FOR DEFENSIBLE DISPOSAL

BY RANDOLPH A. KAHN

**IN BRIEF**
- Information is growing unfettered for most businesses and impacting their ability to function.
- Lawyers must find a way to get rid of information without creating greater business and legal issues for their clients.
- Defensible disposition rids businesses of information that no longer has business or legal value without employees having to involve themselves in classification.

The information universe is expanding in truly mind-numbing ways. There is a new exabyte of data created every few hours across the globe. (One exabyte of data is the equivalent of 50,000 years of continuous movies). That Mount-Everest-sized pile of information is replicated many times every day and continues to grow faster and faster. Big companies typically have millions or billions of files stored in multiple locations, including third-party-owned Clouds. For many companies, that means they can't keep all their information forever because they are collapsing under its weight. So why are companies hard-pressed to clean house of unneeded information?

Companies historically had records-management programs so that they could manage records and properly dispose of them in accordance with the company retention policy at some future date. At the time, making retention rules work meant that employees had to apply the rules to their records. That was simple when each employee boxed their paper records annually and applied a retention rule to each box. However, having employees apply business rules to millions or billions of files from various systems is like drinking from a firehose through a straw. In other words, cleaning house according to the retention schedule applied to each record one by one for most businesses is no longer doable.

The current business environment is like information's "perfect storm"— more data in more formats and systems with less visibility into what information assets exist, more laws directing how it must be managed, more consequences for mismanagement, and more challenges in managing it according to old company rules with much of it floating in a Cloud.

## WHY DOES INFORMATION JUST PILE UP?

Companies relied for years on paper and electronic information, sometimes duplicating each other over and over. Although electronic information legally is on par with its paper counterparts for almost all purposes, lawyers fallaciously believed paper was the "best evidence," and thus the two piles grew even though paper printouts of electronic records could be legally destroyed.

Today, much of the growth in information volumes comes from communications, social media, and collaboration technologies the output of which may not rise to the level of a company record. Thus, the pile grows further with information that may be "nonrecord," which need not be retained to satisfy legal or business needs.

While litigants began to focus on electronic information for discovery purposes, sometimes company lawyers over-preserved information so as not to worry about its destruction during the pendency of a matter. What that set in motion was everything, even information ready for destruction pursuant to the retention rules, continuing to be preserved. Wide-sweeping legal holds that took precedence over retention rules stopped the proper destruction of records in the ordinary course of business according
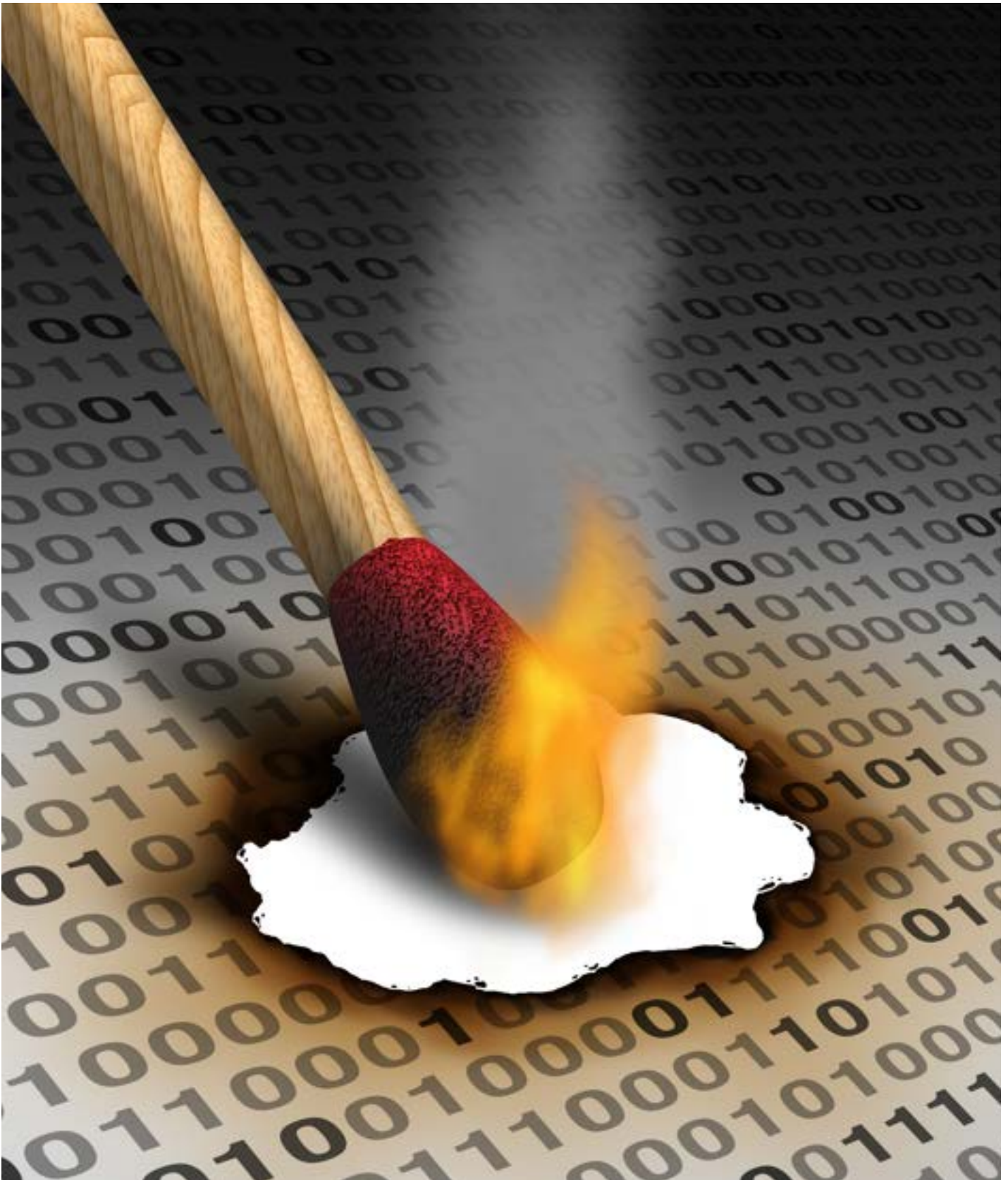
> **"The current business environment is like information's "perfect storm"**

to company policy. Thus, the pile grew larger still because employees couldn't classify and/or manage the growing amount of information, given that the sheer volume of files, documents, and e-mail became overwhelming.

Compounding matters, there was a need to manage information according to other information-related policy regimes, like information

security, privacy, attorney-client privilege, etc., which often impacted the same information. Further compounding the problem was that information classification couldn't be easily accomplished given limited functionality in most technology unless information was being purposefully stored in document and records-management applications. In other

words, if employees were so inclined (and they generally weren't), most technology in use didn't allow for such compliance rules to be easily applied or applied at all. Thus, the pile grew.

The fallacious belief that storage is cheap further impacted storage growth. Although storage costs per terabyte are decreasing a few percentage points, any cost savings are dwarfed by company information footprints doubling every year or two, and with storage costs between $5–$10 million per year, per petabyte, storage costs are now huge for companies with big information footprints. Thus, the pile grew larger.

Then Big Data happened. Big Data is not about large piles of information. It's about using analytics or artificial intelligence (AI) software to crawl through large piles of information to answer a business question. Suddenly there was even less pressure to clean house. Business folks want more information for longer periods of time to run queries and see what they learn from a business perspective.

In 2018 the tide seems to be turning in that less information may be retained given significant compliance events. First, with endless information security and privacy failures, companies realize their risk profile declines with smaller information footprints, which can be accomplished by keeping less and for a shorter period. As Jeff Stone, et. al put it in a May 29, 2018 article in the Wall Street Journal:

Cybersecurity threats are relentless, they're getting stronger and they are coming from more directions than ever . . . more, the consequences of a breach can be disastrous, with staggering losses of customer data and corporate secrets—followed by huge costs to strengthen security, as well as the threat of regulatory scrutiny and lawsuits.

Further, the EU's General Data Protection Regulation (GDPR) became law and is forcing companies to rethink what information they keep and for how long because GDPR requires it.

### WHAT IS DEFENSIBLE DISPOSITION AND HOW WILL IT HELP?

A solution to the unmitigated data sprawl is to "defensibly dispose" the business content that no longer has business or legal value to the organization. Defensible disposition is a way to take on piles of information without employees classifying.

To apply a retention rule to large

> **Lawyers must find a way to get rid of information without creating greater business and legal issues for their clients**

chunks of information to make a business decision to dispose of it requires different diligence depending upon the content; thus, there is no one-size-fits-all approach to defensible disposition. In some cases, a software analytics tool may need to crawl the contents looking for specific terms, and in others, knowing the age of the information pile, the business unit that created it, the lack of active litigation, and so on might be enough to purge the entire contents without looking at each file. Having worked with so many companies cleaning up stored information, determining the amount of diligence needed in analyzing information piles to make a company comfortable to purge is rather variable.

In any event, lawyers' input will be essential to help define a reasonable diligence process to assess the legal requirements for continued information retention and/or preservation, based on the information at issue. Thereafter, lawyers can also help select a practical information assessment and/or classification approach, given information volumes, available resources, and risk profile.

### DOES LITIGATION PROFILE MATTER?

A good time to clean up outdated

information is when there are fewer legal or compliance issues that require continued preservation of information. Disposing of information when no litigation or government investigations or audits exist is less risky. Otherwise, before information can be purged, the company must conduct sufficient diligence to ensure that nothing is destroyed that will give rise to a spoliation claim. That, of course, begs the questions of how diligence will be performed when it's impractical to review millions or billions of files or documents.

### CAN TECHNOLOGY HELP?

There are all kinds of analytics and classification technologies that can help analyze information and may help with defensible disposition; however, having used these technologies for years to help companies deal with dead data, the expense and/or complexity should not be underestimated. Putting aside cost, these technologies are better and faster than employees at classifying information. As Maura R Grossman, JD, Ph.D., et. al described in the Richmond Journal of Law and Technology, "[t]his work presents evidence supporting the contrary position: that a technology-assisted process, in which only a small fraction of the document collection is

ever examined by humans, can yield higher recall and/or precision than an exhaustive manual review process, in which the entire document collection is examined and coded by humans."

Studies and courts make clear that when appropriate, companies should not fear using technologies to help manage information. For example, in Moore v. Publicis Groupe, Judge Andrew Peck made clear in the discovery context that "[c]omputer-assisted review appears to be better than the available alternatives, and thus should be used in appropriate cases. Counsel no longer have to worry about being the "first" or "guinea pig" for judicial acceptance of computer assisted review."

### CAN I CLEAN HOUSE WITH METHODOLOGY ALONE?

If information has piled up and you don't think it makes sense to crawl it for records or preservation obligations, then there are other ways to get rid of content.

For example, if your company has 100,000 back-up tapes from 20 years ago, minimal review might be required before the whole lot of tapes can be comfortably disposed. On the other hand, if you have an active shared drive with records and information

that is needed for ongoing litigation, there must be deeper analysis with analytics and/or classification technologies. In other words, the facts surrounding the information will help inform whether the information can be properly disposed with minimal analysis or whether it requires deep diligence.

### CONCLUSION

Defensible disposition is needed like never before, given that information is growing unfettered for most businesses and impacting their ability to function. In addition, a bloated information footprint further increases a business's privacy and information security risk profile. Although there are many reasons why retention is no longer happening as it used to, what is clear is that keeping everything forever is not without great costs or risks that must be addressed. In the end, lawyers must find a way to get rid of information without creating greater business and legal issues for their clients. Without their guidance, no one will destroy data, and it will continue to overwhelm. ◉

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www.KahnConsultingInc.com

Mr. Kahn and his consulting team have been recognized across the globe as leaders in Information Governance. The Kahn Consulting team has provided consulting services to major global organizations including, advising the US and Foreign governments, courts systems, and major multi-national corporations on a wide variety of Information Management issues, including Information Governance, information security, privacy, Cloud storage strategies, Data Governance, e-communications policies and strategies, social media policy, records and information management programs implementation and litigation response processes. Mr. Kahn has been an expert witness in major court cases, and is a trusted advisor and consultant to corporations and governmental agencies.

Mr. Kahn is a highly sought-after speaker, and a two time recipient of the Britt Literary Award. He has written numerous published works, including; "Chucking Daisies," "Email Rules," "Information Nation: Seven Keys to Information Management Compliance," "Information Nation Warrior" and "Privacy Nation." Mr. Kahn teaches Law and Policy of Electronic Information at Washington University, School of Law and The Politics of Information at the University of Wisconsin-Madison.

# The role of automated data discovery in a GDPR programme

Do you have any online profiles or posts featuring those four magic characters: G D P R?

BY SARAH CLARKE

If so, whether you are a business decision maker, IT body, security body, charity boss, employed data protection pro, or job-seeking data protection pro (less and less likely), you are almost certainly drowning in a flood of golden bullety vendor pitches.

But, underneath that increasing frustration, you are almost certainly in the market for a technical solution or two. A shopping spree feeding a many-headed tech industry hydra claiming General Data Protection Regulation (GDPR) value-add with little or no buyer-friendly, or regulation relevant, context.

My Dad had a vaguely NSFW saying: "All fur coat and no knickers". That's a pretty accurate description of marketing copy versus functional reality for some kit. Conversely, there are some great tools. Ones that do exactly what they say on the tin, but too many customers ignore the maturity and medium-term investment needed to realise advertised benefits.

When it comes to automated data discovery – not to be confused with data mapping, although there's a tooling and process crossover – it's tempting to assume it will take care of Article 30: The requirement for data controllers and processors to keep a record of all personal data processing. Nailing that is an automatic accountability win and there are many other controls that directly or indirectly benefit.

Here I'm arguing at fair length that it won't, for most firms… at least, not in the time left to demonstrate robust progress towards compliance. An opinion informed by many years watching shelfware accumulate and working to ensure tech procurement respects real requirements and operational reality.

## MACHINE STUPIDITY
There's no doubt that technology can help tame the mountains of information you need to collect, categorise, analyse, prioritise, and act upon (or validate a reason for not acting upon).

The problem is, technology ain't intelligent, no matter the machine learning and AI-related blurbs. Out of the box, it knows nothing about YOUR business, your data uses, your data-handling practices, your specialist systems, and your third parties. You have to tell that to the tool, or add it offline.

Out of the box, it will guess, using more or less vanilla variables, what's personal,

sensitive, or secret. You are then left to weed out falsely positive findings and ones that are positively false, feeding local knowledge back in to tune. Even when you have some clean results, it won't know the difference between an ad hoc issue (that one time a personal data list made it onto an open file share) and a systemic issue (folk using that file share as a workaround to distribute a weekly system extract). Nor will it know why data is there, whether processing is compliant with collection purposes, or if data is being handled securely.

***Data is not a religion. It is not a panacea. Data isn't going to tell you what data you need to listen to. Humans are going to tell you what data you need to listen to.***

*Rik Kirkland, 'The role of expertise and judgment in a data-driven world' McKinsey.com – May 2017*

Establishing all that takes a hugely underestimated amount of deep local knowledge and time. It's an oft-ignored fact of more general tool ownership life. An expensive accident waiting to happen... IF you don't do your due diligence and have people on point who are accountable, adequately knowledgeable, and available to tune, triage, and treat outputs... plus a budget and plan that takes all of that into account.

Not all solutions are created equal. Some can automatically tackle more than the first two boxes in that process, and most can add significantly more

value over time (depending on the effort you put in). Others include means to automatically stop unauthorised data transfers and even redact/encrypt data on the fly. But, when you find yourself staring at initial output – a set of 'issues' both audit and the board might see as an urgent to-do list – it can quickly distract from other vital work and become a stick to hit you with when time is perilously short.

***Only a quarter of organizations with threat intelligence capabilities feel that it's delivering on business objectives***

*Tara Seals, on ISF's Threat Intelligence: React and Prepare report, InfoSecurity Magazine – June 2017*

For context, consider historical problems making usable sense of intrusion detection system output, the ongoing fun making successful operational use of many threat intelligence offerings, and the evolving joy relating to expected strategic value many businesses can't extract from data analytics solutions.

Or, for those in the GRC space, consider how complete, up-to-date, and useful IT asset inventories and GRC tools currently are. Then, if they are fit for purpose and adding real risk management value, consider what the overhead was to get them into – and keep them in – that state.

***... the pitfalls are real. Critically, an analytics-enabled transformation is***

***as much about a cultural change as it is about parsing the data and putting in place advanced tools. "This is something I got wrong," – Jeff Immelt, CEO of GE,***

*Nicolaus Henke, Ari Libarikian, and Bill Wiseman, 'Straight Talk About Big Data' McKinsey.com – Oct 2016*

## WHICH PIECES OF THE DATA PROCESSING PUZZLE?

And that's still only part of the tech acquisition equation. An equation that may still result in a positive for your organisation. The question is how positive.

Does the tool just look at more or less limited metadata, or does it look at file and record content? Depending on the answer, can it do what you hoped it would in terms of categorisation, analysis, and control?

How much of your information governance picture will the box or boxes paint? Will they work on structured data (eg databases), unstructured data (eg e-mail and file stores), bespoke systems, legacy systems, desktops, laptops, smartphones, CCTV, XaaS cloud-hosted data, mainframes, backup solutions, removable media... and the same again for your processors?

Collecting limited metadata and excluding some data subsets isn't necessarily a showstopper. BUT, to understand, articulate, and manage residual risk, you have to do robust enough due diligence to thoroughly understand tool capabilities, and confirm what is and isn't in functional, technical, and support scope.

Even more than that, do you know who will support and maintain it going forward? And how will it feed into future data protection GRC and related remediation? If you don't sort that, it's like kicking a ball down the pitch with no one to pick it up (except the opposition). More generally, are you aiming for a one-time blitz to feed the compliance machine, or is it intended to be a repeatable and sustainable improvement to your information governance world?

The counterpoint to all of that is the extent of the data control mess you are currently in and the continuing fogginess around how much GDPR-related control is enough. For organisations with good internal and supplier data-protection controls, well-structured and current information
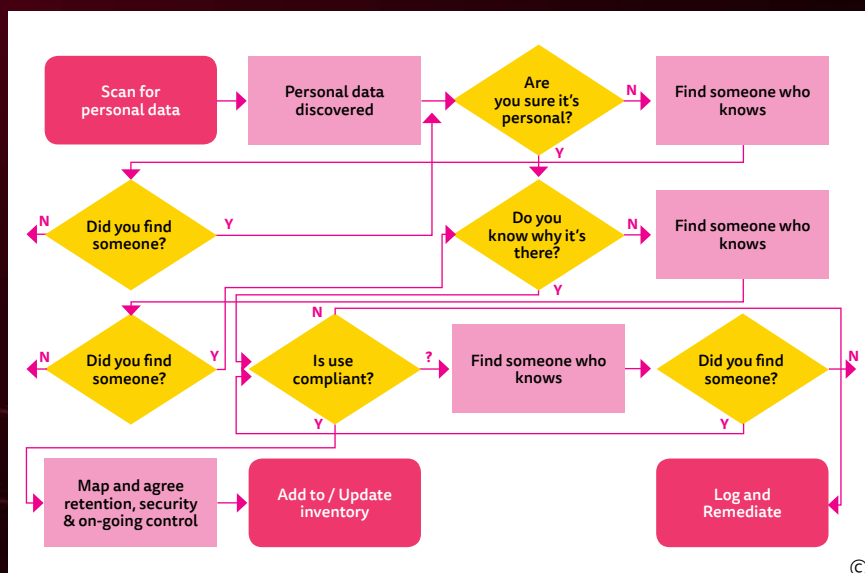
asset inventories, and meaningful data governance RACIs, there's much, much less pain, and far more to gain.

For everyone else, the theoretical lure of a system sorting this out for you, a way to evidence that something is being done, is dangerously powerful. Humans are terrible at balancing instant gratification against longer term pain. And when it comes to blinky boxes (allowing for pre-existing control maturity and influence wielded by your DP or security boss) buying a tech fix, for a people and process problem, stores up enormous angst … angst that might not be felt until the GDPR countdown gets loud enough to rob you and your board of sleep.

So what's to be done? Especially when, as predictably as day follows night, your GDPR journey kicks off with one huge question:

## WHERE DO WE START?

Thoroughly and finally pinning my colours to the mast, it's almost certainly not (based on everything above), with automated data discovery. For many firms, it wouldn't even be a cost-effective bolt-on to other first-phase activity.

The role of automated data discovery, at base, is to assess RESIDUAL data governance risk (the risk that remains when you understand your core data processing and have a reasonable handle on your data RACI). It can also help maintain control over time. Value-add that many don't yet have the means to realise.

But you don't have to take my word for this. Ask vendors for some sample tool output and translate it into something relevant to you, or (if quick and simple) take them up on the offer of a free trial. Then work with business and IT stakeholders to gather sufficient information to validate findings. Either confirm compliance with sufficient detail to create a useful asset inventory entry (see GDPR Article 30 for details), or log findings and allocate an owner if things need to be fixed.

You can extrapolate the likely overhead for triage and investigation by multiplying the number of alerts the tool typically generates by the time all that took. Remembering to add in effort to get the tool through internal/ supplier IT change management and then tune it. As compensation, that can be incredibly helpful to highlight other GDPR gaps and give you a rough feel for your information governance maturity.

If you do then decide to purchase a solution and diligently record all your tuning, triage, and investigative work, effort will tail off significantly over time. But given we have less than a month to do far more than find data, don't you need certainty right now, rather than potentially painful steps to prepare a tool to be useful later?

## OTHER OPTIONS

Tackling the big question more generally (at a very high level), this is what I recommend: Start with what you already know. Focus on data processing that's obviously high risk.

Firstly, feel around the edges of the whole personal data picture. You don't need tools to put existing IT, legal, procurement, marketing, HR, and other stakeholders in a room. Get them to list the highest volume, highest throughput, and most sensitive data collection and processing, along with the key systems and suppliers involved.

Start with your main data collection points (Internet, phone, face to face) and remind yourself why data was collected. Then link related processing to that starting point. Most of what you can and can't do with a set of data grows from the legal basis for processing and the purpose(s) initially agreed with data subjects. Backed up by detail in contracts, privacy notices, and any compliant justifications for a legitimate interest.

If you find the concepts of purpose and processing too abstract, you should read this post by Denmark-based privacy pro Tim Clements <https://www.linkedin.com/pulse/gdpr-why-purpose-great-starting-point-tim>. It brilliantly breaks them down into what matters and why, with terms that will make real sense to stakeholders.

Maybe you will outsource that exercise to a consultancy (all of them have a gap analysis offering), but be very conscious of time and expense. Even if you don't have a head start with pre-existing PIAs and other GRC info, there are some obvious priorities you don't need a consultant to tell you to fix (eg updating policies, privacy notices, and supplier contracts; improving subject request processes; doing better with data retention; rethinking marketing consent; reviewing what you can and do encrypt or anonymise).

When you've drafted that view, it will almost certainly represent 70–80% of your personal data estate and the associated inherent risk to data subjects and your organisation.

A conceptual take on a retail data asset framework. Data assets (customers by product category) and datasets (by product lines), flowing from collection points through core then secondary processes. Logically grouping purposes, collection mechanisms, processes, and process owners.

At the same time, crucially, nail your top-down data RACI, so you can bring the right quantity of the right people (from all impacted stakeholder groups), along for the ride. In tandem, applying agile principles (small 'a'), you need to agree a business-wide framework to capture, categorise, and map identified data assets. Starting with basics (eg What is one? Hint: it's never an application or server – those are data containers and means to process that are attached to assets and processes). You also need to agree your benchmarks for inherent risk (eg data volume, transaction numbers, special data classes, child data, convictions data, non-EEA location). Remembering a DPIA only has to be performed on high-risk processing.

That gives you your first priorities. A framework to inform quick wins, information asset inventory acquisition/ configuration, and strategic plans for other key changes.

On-going mapping and discovery will validate and widen that scope, allowing you to identify other priorities. As you delve into the less known knowns, you can build on intelligence and improvement plans for your core processing. Mapping other datasets and processes to the growing framework. Linking to known collection points, parent assets, core processes, and assessed controls … or logging strays for further assessment – valuable economies of scale.

There are mountains of details behind things covered in this last section, but I'll leave that for another time …

… except to reiterate one point, because it bears frequent repetition (count the times it said 'Find someone who knows' in the process flow towards the start of this paper): If you haven't found the right stakeholders and fostered buy-in (including formal assignment of accountability), no amount of mega per diem superstars or tools will sort this.

## DEFINITIONS AND ACRONYMS
**Data mapping:** Understanding the personal data you collect and process, and the journey that data takes, both

| DATA COLLECTION & CONSENT WHAT, WHO, HOW, WHY & WHERE Legally Justified, transparent, adequately controlled? | | | | | | DATA PROCESSING, PURCHASE & DISPOSAL WHAT, WHO, HOW, WHY & WHERE Legally Justified, transparent, adequately controlled? | | | | | How Much |
|---|---|---|---|---|---|---|---|---|---|---|---|
| PRODUCT CATEGORY 1 | Product Line A | Data Category, Collection Means | CONTRACT / CONSENT / OTHER | Collection Complies Y/N | CRM 1 | DELIVERY PROCESSING (Systems, processes, suppliers) | SUPPORT / COMPLAINTS (Systems, processes, suppliers) | MARKETING (Systems, processes, suppliers) | ANALYTICS (FRUAD / DATA SCIENE) (Systems, processes, suppliers) | OTHER PROCESSING (Systems, processes, suppliers) | # Records |
| | Product Line B | Data Category, Collection Means | | Collection Complies Y/N | | | | | | | # Records |
| PRODUCT CATEGORY 2 | Product Line C | Data Category, Collection Means | CONTRACT / CONSENT / OTHER | Collection Complies Y/N | CRM 2 | | | | | | # Records |
| | Product Line D | Data Category, Collection Means | | Collection Complies Y/N | | | | | | | # Records |
| HR | Perm / Temp Staff | Data Category, Collection Means | CONT / CONT / OTHER | Collection Complies Y/N | HR SYS | N/A | N/A | N/A | N/A | N/A | N/A |
| Personal / Sensitive / Child Data, Web / Phone / F2F, Direct / Partner / Intermediary / 3rd Party, Contract / Consent / Other | | | | | | Data Assets / Data Sets, People / Processes / Systems, Direct / Partner / Intermediary / 3Rd Party, Location | | | | | Data? |

internally and with third parties, until it is deleted or anonymised.

Or, to quote guidance on mapping from the Information Commissioner for the Isle of Man, tackling the five Ws:

- **WHY** … is personal data processed?

- **WHOSE** … personal data is processed?

- **WHAT** … personal data is processed?

- **WHEN** … is personal data processed?

- **WHERE** … is personal data processed?

**Data discovery:** Finding, analysing, categorising, and sometimes controlling personal data, often through technical means, to create, complete, or maintain accuracy of your data asset inventory.

**Combined purpose of both exercises:** To have sufficient information to reliably confirm (or trigger additional assessment of) the legality, transparency, fairness, and security of personal data collection, processing, and disposal. Enabling an organisation to respond effectively to subject requests, scope and prioritise activity required to address control gaps, understand and manage residual risk, more accurately assess incident impact, improve incident response, and sustain that over time.
**Shelfware:** Technology that never does the job it was bought to do. In effect,

remaining on the shelf.

**DLP:** Data loss protection/prevention

**DPIA:** Data privacy impact assessment (GDPR terminology)

**GRC:** Governance risk and compliance

**NSFW:** Not safe for work

**PIA:** Privacy impact assessment

**RACI:** A record of who is responsible, accountable, consulted, and informed. Often applied to operational processes, risks, and controls, including contributory activity and oversight.

**Caveats:** Definitions are my own, based on usage of terms in this paper. I am not a lawyer, so nothing here should be construed as legal advice. I am also a recent privacy convert following a long career in IT and InfoSec GRC. Since 2016, I have been dedicated to research, strategy, and planning for GDPR and more general data protection. I only claim expertise in transferable GRC skills and only offer opinions and advice based on experience, or good borrowed evidence. For everything else, I can call on a number of trusted advisors (one of whom reviewed this paper), if I need to check my legal and regulatory homework. **iQ**

**ABOUT THE AUTHOR**
**Sarah Clarke,** CIPP/E, is a privacy and security GRC specialist and award winning blogger (infospectives.co.uk). She works directly with clients and through other consultancies to provide de-techified and FUD-free advice aimed at helping clients to practically manage their privacy and security risks. All of which calls on combined experience of IT, Information Security, and Data Protection, including eight years in financial services.
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# INFORUM 2018
## WRAP UP

**INFORUM 2018 CONFERENCE**
9 – 12 SEPTEMBER
WREST POINT HOTEL, HOBART, TASMANIA

The Wrest Point Hotel in Hobart played host to RIMPA's premier education and networking event - inForum 2018. Perched adjacent to Salamanca Place, Hobart's waterfront heartbeat, Wrest Point offered delegates the ultimate vantage point of the harbour in which to network, engage and exchange information.

A total of 145 delegates descended on Hobart to take advantage of the four-day convention — with speakers travelling from as far afield as the United States, Singapore, South Africa, New Zealand and right across Australia — to deliver an array of thought-provoking and compelling presentations.

## Topic streams included:

**ABSOLUTELY ACCESSIBLE**

A stream that looked at ways to obtain the right information in the correct format, on any device, anywhere in the world. This stream covered Enterprise Content Management (ECM), security, scanning, FOI, privacy, knowledge management, system implementations, the Cloud, digitisation programs and solutions such as Office 365 and SharePoint.

**STRATEGIC SAGACITY**

This stream examined Strategic and Operational Planning, Information Governance, Compliance, Risk management, meeting critical business Needs, writing policies and procedures, disaster planning and more.

**BECOMING BETTER LEADERS**

Embraced discussion on becoming a leader with a vision and being proactive, not reactive. Presentations looked at leadership skills, motivating teams, networking skills, change management, performance management, multi-generational teams, project management, and professional development.



Delegates and Trade coming together at inForum 2018



> **Delegates were invited to mix and mingle and take advantage of prime networking opportunities from the get-go**



inForum Welcome Reception

## Sunday

There's nothing worse than not being able to see the local sights when attending a conference. As a mini 'discovery of Hobart' and to kick off inForum 2018, delegates were invited to participate in a Hobart City and Surrounds Sightseeing Tour.

The quickly-populated tour included a coach drive to Battery Point, Salamanca, Mt Nelson Lookout, the Botanical Gardens, Rosny Lookout and Mt Wellington. The discovery of Hobart was an excellent opportunity to see the sights before hunkering down for a four-day information-filled bonanza.

An Information Networking Session was the next stop, where seasoned and new RIM professional were invited to mix and mingle and take advantage of prime networking opportunities from the get-go.

A Welcome Reception sponsored by Micro Focus rolled out onto the Boardwalk Gallery in the early evening and was replete with delicious cocktails and live entertainment (that included a duo of circus performers, no less).

With the shared experience of food, wine and stimulating conversation, the evening set the tone for the three days to follow and was a befitting way to end the first day of inForum 2018.

Keynote Presenter
Paul Olenick from
the USA

Brunch in the Trade
Exhibition area

Trade exhibitors
showing how it's done

Keynote Opener Jordana
Borensztajn told us that
marketing does matter

## Monday

Thomas Kaufhold MRIM, RIMPA's Chair of the Board, officially opened inForum 2018 to a packed auditorium of eager conference attendees.

Jordana Borensztajn delivered a high-impact and energy-fuelled opening keynote address called, Marketing Matters for the Record.

The take out? That marketing is essential for every organisation to get right. Jordana shared valuable knowledge about marketing skills and ways to promote your message. She discussed the foundations of adopting a strong marketing strategy and how to gain more confidence and expand your marketing capabilities.

Topics of discussion for the rest of the day ranged from strengthening the management of Public Records in Singapore, action-focused innovation, a traditional versus digital approach to recordkeeping, social media archiving,

> " Marketing is essential for every organisation to get right "

Click here to meet
Jordana Borensztajn

recordkeeping in the age of Web 3.0 and the question was posed: are we digital transformers?

Delegates could choose to attend one of eight presentations on Monday or one of the four workshops on offer. Workshop topics included a discussion about simplified information management, a look at what's happening with Standards; and skills needed in Information Management and data collection.

Day One of the conference wrapped with a keynote address by Paul Olenick, who travelled from San Francisco (Silicon Valley to be precise) in the United States to talk about the tooling capabilities of Office 365.

What better way to finish an information-saturated first day than by spilling into a networking session to share a mojito and review the day's presentations with colleagues… The drinks were a hit thanks to sponsor FYB!

# Tuesday

An early morning breakfast sponsored by DocsCorp ensured delegates started the day bright and early and were braced with knowledge about how to protect against accidental information leaks.

From here we dove into the buzz world of Artificial Intelligence and then moved onto the implementation of SharePoint as an RM System.

Michael LeBoydre, former Detective at the Queensland Police Cyber Crime Unit, had delegates squirming a little in their seats as he spoke about personal information security and the insidiousness of hackers targeting everyday people – just like you and me - for identity theft…. Hint: potentially reconsider accessing public Wi-Fi hotspots as according to Michael, they aren't secure. Oh, and here's a Hacking 101 tip, definitely don't include your date of birth on social media platforms. Pesky hackers only need your DOB and email to start making inroads into accessing your personal information.

Food. Did anyone mention food!? Conference food can have a reputation for being pretty average, although the food at inForum was exceptional and the daily buffet lunches served in the trade area proved particularly popular. As did the daily delegate prizes, which saw some happy prize winners going home with extra weight in their luggage (although, we suspect the magnum of Mumm champagne may have been enjoyed well before the conference ended).

Following lunch, the tone was all about leadership – we heard about leading the way to become a better leader and Mark 'Squiz' Squirrell delivered a keynote on leading through adversity.

Squiz is more than equipped to talk towards leadership, after all, he was awarded the coveted Green Beret while serving with the Australian Commandos. He's also had an illustrious career as an international aid worker and escorted food convoys through the Gaza Strip, negotiated with Tamil Tigers and brokered deals with Somali clansmen. Then there's the time that he met and negotiated with Yasser Arafat.

Tuesday's workshop topics covered leadership for Information Managers and how AI is set to change the world (one tiny piece of artificial intelligence at a time).

The Trade Exhibition on Tuesday also proved popular with delegates convening in the dedicated trade area to refuel with a complimentary coffee courtesy of Grace and meet and greet with a slew of the most innovative vendors operating in the RIM industry… The Trade Exhibition is integral to the success of inForum each year and this year a total of 24 vendors, currently working at the fore of the information industry, attended the conference to share valuable information and expertise on new technologies.

A key highlight of inForum each year is RIMPA's night-of-nights - the Gala Awards Dinner – where homage is given to professional industry excellence. This year's Gala Awards Dinner, sponsored by EzeScan, included a stylish "white-on-white" theme, which was enthusiastically adopted by dinner guests. There were many interpretations of the theme – some dressed in masquerade, others went full-tilt glamour, and there may have even been a rather large white elephant in the room (who was seemingly anywhere and everywhere, although never "sitting in the corner").

Award after award rolled out in recognition of industry excellence as emcee Ryk Goddard, ABC Radio's local breakfast host, officiated proceedings with wit, finesse and a huge dollop of cheekiness (he did seem to love the joke about RIM professionals being basement dwellers).

Once official formalities concluded, The Rum Jungle Show Band kept a packed dance floor jiving away well into the night with cover songs from the 1960s to favourite, modern tunes.

Alex Bialocki and Chris Dolan from Encore Productions showed their depth of experience in working on live entertainment productions with the quality lighting, theming and surround sound they produced to create a fantastic atmosphere.


Ex-Australian Commando Mark 'Squiz' Squirrell


Click to hear Squiz tell us about meeting Yasser Arafat


Gala Awards Dinner

> ❝ **Talked about her unapologetic management style to 'lead loudly'** ❞



Event organisers Tynelle Spinner and Jo Kane



CSIRSO's Toni Moate's keynote on leadership

## Wednesday

AvePoint sponsored Wednesday's early morning breakfast for early birds wishing to learn about the intriguing topic: 'Records Management Pilates Stretches to the Cloud'…

It was convenient to know that NAA (National Archives of Australia) provided a mobile charge bar for the duration of the conference, most handy for anyone making the early dash to breakfast with a half-charged phone or device.

While some conference-goers were doing a check-up on all things records management or hearing about how records are practices, not artefacts; a final workshop was underway on semantic ontologies for the Australian Government.

If you've ever had any doubt about the importance of 'holding yourself to account', Toni Moate; CSIRO's Director, National Collections and Marine Infrastructure and the 2017 Telstra Tasmanian Business Woman of the Year, reminded delegates how it's done with penultimate keynote address of the same title.

Toni spoke about the importance of balancing professional and private lives while and talked about her unapologetic management style to 'lead loudly' – that

is, to not focus on where people do their job but rather, how people do their job. This cogent address was peppered with personal anecdotes that may have caused the odd watery eye in the Plenary Room.

Kate Fuelling delivered the closing keynote on leadership: Optimism is the New Black. This straightforward presentation offered practical and logical tips about ways that Information Managers can and should embrace the 'black art' of leadership.

The official close of inForum 2018 included a seated lunch, sponsored by Knosys, in the Derwent Room. Some conference attendees bemoaned that after four days of sheer food indulgence they had no room to fit lunch in (noted: most plates returned to the kitchen clean of the duck and steak mains options).

Congratulations to all who worked behind the scenes to make inForum 2018 a great success – in particular, Captain Jo Kane and Tynelle Spinner –

who did an exemplary job of bringing the RIMPA community together for four days of information, networking and connection.

With that, inForum 2018, is officially wrapped!

So, who's coming to RIMPA Live 2019 (formerly named 'inForum') in Adelaide?

### RIMPA LIVE 2019

RIMPA Live 2019 will be a particularly significant event as RIMPA celebrates its milestone 50th birthday in 2019.

At RIMPA Live 2019, we will raise a joint celebratory glass to our friends at the State Records of South Australia, who also celebrate an especially important centenary birthday in 2019 when they turn 100!

# A SPECIAL THANK YOU
# ON BEHALF OF RIMPA

## SPONSOR THANK YOU

What a resounding success inForum 2018 was! RIMPA members enjoyed one of the most attended and talked about conferences in recent years, with inForum 2018 receiving positive reviews from members and vendors.

On behalf of RIMPA and its Board, we would like to extend a heartfelt thank you to our sponsors for your commitment to making inForum 2018 so successful.

It was the vision of the Board, and our passionate Marketing and Events team, to deliver an event to inform, entertain and provide an excellent networking forum for our members to engage and interact.

As sponsors, your generous contribution helped to make our vision a reality by helping to offset the cost of holding the conference in an environment as aesthetically pleasing and functional as Wrest Point Hotel, Hobart, Tasmania.

As RIMPA continues to grow and transition into a new era as an organisation, please know that partnerships with our sponsors are vital to our success throughout this next chapter.

You are truly appreciated. Thank you!

| | |
|---|---|
| Platinum – Gala Awards Dinner | **EzeScan** |
| Gold - Barista Coffee Cart | **Grace** |
| Silver – Welcome Reception | **Micro Focus** |
| Silver – Delegate Lunches | **Knosys** |
| Silver – Conference Satchel | **RIMPA** |
| Silver – Delegate Lanyard | **Iron Mountain** |
| Bronze - Notepad & Pen | **RIMPA** |
| Bronze - Recharge Mobile Bar | **National Archives** |
| Bronze - Morning Teas + N/W Drinks | **FYB** |
| Bronze - Afternoon Teas + Pocket Program | **Records Solutions** |
| Bronze - Breakfast Speaker | **DocsCorp + AvePoint** |

## VENDOR THANK YOU

RIMPA would like to acknowledge the many Trade Vendors who attended inForum 2018.

We sincerely appreciate your willingness to offer information, services and expertise and thank you for your attendance at the event.

We are immensely grateful for our community of dedicated vendors. In addition to vendors who return to inForum annually, we were pleased to welcome some new vendors this year.

We are already accepting vendor applications for RIMPA Live 2019 and look forward to welcoming you as an integral part of this milestone occasion.

Thank you for your support and continued professional interest in RIMPA.

| | |
|---|---|
| **Iplatinum** | **Record Solutions** |
| **Wyldlynx** | **Alaris** |
| **Iron Mountain** | **Icognition** |
| **Micro Focus** | **ZircoDATA** |
| **timg** | **Brolly** |
| **Knosys** | **Redman Solutions** |
| **Coffee Barista Sponsored By Grace** | **Recordpoint** |
| **Grace** | **Information Proficiency/Sigma Data** |
| **FYB** | **InMailX By Digitus** |
| **Votar Partners** | **EzeScan** |
| **Avepoint** | **DocsCorp** |
| **Steamatic** | **Rimpa – 50th Birthday Celebration.** |

# OUTSTANDING ACHIEVEMENTS AWARDS

The RIMPA Awards were presented at inForum 2018

SPONSORED BY ezescan.



## WINNERS

### Jim Shepherd Award

**Branch of the Year**
Queensland Branch

**Vendor of the Year**
Information Proficiency

### J Eddis Linton Award

**Student of the Year**
**Sponsored by Records Solutions**
Janine Morris

**Innovation**
**Sponsored by Information Proficiency**
SEQ Water

**Implementation**
**Sponsored by FYB**
Royal Australian Mint

**Business Benefit**
**Sponsored by Information Proficiency**
Department of Health

**Collaboration**
**Sponsored by EzeScan**
City of Wondonga

### Iron Mountain IQ Article of the Year

The Missing Piece in the Accessibility Puzzle - by Lynda Leigh

### Industry Contribution Award

Paul Fechner
Anne Cornish

### Member Status Upgrades

**Chartered**
Rebbell Barnes
Nancy Taia
Mimma Sardi

### Associate Members

Demos Gougoulas
Matt Jordan

### New Lifetime Members

Joy Siller
Julie Apps
David Pryde
Trish O'Kane

RIMPA's QLD Branch


Louise Thompson, J Eddis Linton Award Winner for Innovation SEQ Water, and Carl Duncan


Life Member David Pryde


Life Member Joy Siller


Life Member Julie Apps


Vendor Award - Information Proficiency


Implementation Award - Royal Australian Mint


Industry Contribution Awards - Anne Cornish and Paul Fechner


Collaboration Award - City of Wodonga


Business Benefit Department of Health - Marina Muttukumaru


Student of the Year Winner Janine Morris


Chartered and Associate Members: Jenny Burgess, Rebbell Barnes, Nicole Lewis, Suparna Chatterjee, Anne Cornish, Nancy Taia, Demos Gougoulas, Mimma Sardi, Thomas Kaufhold and Matt Jordan

# How we are killing the world's second largest collection of data

If the largest collection of data we have right now is what is online, on our networks, in Amazon and Google etc, then what is the second largest collection? The answer is the world's collection of back-up tapes.

BY GUY HOLMES

Just about every major corporate and government body that is performing back-up and recovery to a reasonable standard, has created copies of all of its valuable data on tapes that are now sitting offsite as part of a disaster recovery plan. The problem of course, is that this data cannot be touched by users without significant effort. In fact, today there is an estimated 1 billion tapes sitting in offsite storage. The tapes are getting older, the drives are becoming obsolete, and with the advent of Big Data and Analytics tools, more and more companies want to gain access to these collections.

Since the 1950s, the only way to store back-up data was to send the tapes to offsite storage. The tapes would sit on shelves in an air-conditioned room, and if you needed one, a courier would bring it to your office. For those of us that had a Blockbuster video membership, the same sort of system applied. "Hey, I feel like watching Top Gun tonight." You would drive to the video store, hire the

video and subsequently watch it. When you were done, you have to send it back. Today, you can stream that content to your TV through Netflix on Demand without the chore of driving. Netflix has been the killer of Blockbuster for very obvious reasons.

For some reason, this isn't so obvious in the corporate world. Who wants to have to wait for a courier to deliver their corporate data? Why can't it be streamed to your desk, like a movie can? Why do corporates seem okay with the idea that 24-48 hours is a reasonable time to access data?

In general, industry chatter tells us that Tape is secure, and robust, and has always been used. But having read over five million tapes in the past, I can tell you that this is simply not the case.

Tapes deteriorate, back-up hardware and software suffer from obsolescence, and organisations are keeping their data for longer, and often forever.

For some reason the offsite tape storage industry generates revenues of $3Bn per annum, and is utilised by all

> **The offsite tape storage industry generates revenues of $3Bn per annum**

industry sectors – although, it does not solve the problem – rather, it makes it worse.

On top of this, companies that provide services to protect the data in fireproof warehouses with top level security have had five major fires in the past 17 years, resulting in total destruction of warehouses and their contents.

I don't know of a single company in any line of business that has had five buildings burn down, and personally, it seems strange that a company dedicated to protecting things from fire and theft can lose five buildings in 10 years.

The issue of tape collections deteriorating is also a growing problem. Tape consumption in terms of Terabytes stored on tape continues to grow and also continues to outpace the use of disk.

As far as we can tell, Tape is here for the immediate future, and this collection of data continues to grow while access becomes more complicated on a daily basis.

## THE MAJOR FACTORS IN DATA LOSS WHEN IT COMES TO TAPE ARE:

- Hardware Obsolescence: the tape drives to read the old tape are no longer available.

- Software Obsolescence: the software that wrote the tape is no longer available or supported.

- Tape Deterioration: the tapes, depending on brand and storage conditions, deteriorate and degrade making them harder and harder to restore as time goes on.

- The 'Do Nothing' strategy: this is the main reason the issue exists. Companies and users of tape take a 'do nothing' approach, and just let the data pile up, which becomes harder to read, and harder to solve until it is so complex that ends up happening.

- General Risks – Fire and Floods: if a tape storage company can burn down, despite being in the business of preventing fire, what do we do?

  - **In 1997,** a New Jersey facility was damaged by fire.
  - **In 2006,** a London warehouse was totally destroyed by fire.
  - **In 2006,** an Ottawa, Canada storage facility was burned down.

- **In 2011,** an Aprilia, Italy facility burned and was completely destroyed.
- **In 2014**, nine people died and an entire Buenos Aires facility burned down.

All of these examples are from just one storage provider. Equipped specifically to protect this data.

In addition to the above, the shortness of the technology life cycle is causing havoc with our IT infrastructure. Back-up software and hardware is being replaced at faster rates. When a drive technology used to be around for 10 years, we are seeing this lifecycle drop to less than two years.

Everyone is scrambling for the latest drive, the fastest device with the highest capacity. Every time they buy a new one, the old data becomes orphaned and inaccessible on the latest new technology they buy.

## SOME OF THE WAYS TO PROTECT YOUR DATA INCLUDE:

- Start to look critically at your data. Check what you have, how old is it, and how you can protect it. This needs to be done in conjunction with data managers, executives, and IT departments.

- Don't just look at the age of data, but look at the age of the media. Data is one thing, but if the media is no longer supported, act to get the data migrated to newer media or the Cloud.

- Don't just look at the age of media, look at the brand of media. In my experience, the brand of media is the number one factor in determining whether a tape will be readable or not.

- Review the holdings with your offsite providers as they can easily get out of control. Don't just let your storage bill ramp up, do something to keep it in check.

- Keep hardware, software, and media together as you may need them. If you buy new tape drives, keep the old ones available until you are sure you no longer need them.

The world is changing and there is no need to stay old school in our behaviours. There are many cost effective ways to take action to prevent data loss and it is not that complicated.

## ABOUT THE AUTHOR

**GUY HOLMES** has chased his passions wherever they led for the past 19 years. In some cases, his passion led him to starting a company that imported wine accessories, and in another he founded a leading global data management company.

Truth be told, after starting five companies, from scratch, in various industry segments, it should be no secret why Guy is bald. On the personal side, Guy has also chased his passions. The net result of that being five children, a wife of 27 years, summiting various mountains, running marathons, and being a member of an expedition to the North Pole.

In most of Guy's business ventures, magnetic tape storage was a key component to the business he was creating, and he spent a lot of time professing the merits of tape storage as the long-term storage medium of choice.

However, late one night in 2015, after 19 years, and having read over 5 million tapes, this all changed for Guy when he made a profound discovery. That discovery led Guy to found Tape Ark – a company driven to eliminate historical tape archives from the planet.

Guy has a degree in Physics, an MBA in Technology Management and maintains memberships with the ASEG, PESA & the AICD.

# Aligning business outcomes and governance requirements

## It doesn't have to be a balancing act

After 10 years working in local government and Information Management I am for the first time, sharing what I have learnt on my journey...

**BY JADE REED**

At times in my career searching for the balance between business requirements and governance demands felt like it was a losing battle, although along the way I have learnt that when you take the right approach it doesn't have to be this way.

Here are my top five lessons that enable Records Managers to align business outcomes with governance requirements:

1 **Speak their language**

2 **Find out 'what's in it for them'**

3 **Break the rules**

4 **Leverage technology**

5 **Measure your success.**

### LESSON NO 1:
### SPEAK THEIR LANGUAGE

If you're reading this, then like me you have an interest in information management. In my experience of working with local government only a small percentage of the people in our organisations understand or care about information governance.

Early on in my career I was taught that we need to educate our teams by going in and talking about legislative recordkeeping requirements. In the last few years I really questioned this approach and started thinking that perhaps the way I was taught is no longer the best way.

In my experience of working with hundreds of different council teams, if you go to a business unit and start talking about information management standards, business classification schemes or retention and disposal authorities, peoples eyes start to glaze over and you lose them about two seconds after you've opened your mouth.

A few months back, I was running a workshop with a building and planning team and I asked them directly what would make their life easier. One of the town planners told me that he wanted to be able to find all of the information about his development applications in one spot.

Upon hearing this I thought to myself – hello! Now we're talking information management language. A single source of truth – let's do this!

I continued to ask more and more questions and they continued to respond. During this dialogue I got greater insights into what they do and the challenges they face every day. I was mindful not to tell them what I thought I knew about them. Instead, I was listening to them describe what they needed me to understand about their roles.

Then part of the way through the workshop, completely unprompted, one town planner stopped and said to me, "To be honest before this meeting today I never understood or cared about naming my documents correctly. But now I can see how naming documents is crucial to helping me find what I need quickly and easily. I now realise just how important it actually is."

Simply by connecting this person to how a naming convention could make his life easier, we were finally on the same page. We were finally talking the same language. Not only did he understand how recordkeeping could help him, he also understood how it helped others.

Learning how to translate "records speak" into "planner speak" made all the difference. Once you learn to talk in terms that others can understand and relate to, then you can start to translate their requirements into governance terms or vice versa. Finding a common ground through common language is the first step to achieving alignment.

If I had followed the rules that I was taught as an impressionable trainee, we would never have achieved that alignment.

## LESSON NO 2:
### FIND WHAT'S IN IT FOR THEM

Once you've learnt how to 'talk the talk' with your business units, now it's time to understand what motivates them. When people can connect their actions to a clear purpose – one they believe in and care about – they are much more likely to act in alignment with that purpose.

I had the opportunity to work with a council that were embarking on an organisation-wide digital transformation project. They had a clear purpose and a customer first approach. The key people in the project kick-off workshop also had clear views and attitudes towards their EDRMS. The resounding comments from around the room were, "We don't use it and we never will."

Faced with such strong opposition, many people would give up right there and then. But we knew that their workload was overbearing. We knew that they were committed to delivering a better service to their customers. And we knew that if they wanted to tackle the issues and challenges they were facing, they had to start using their corporate systems.

Instead of agreeing with their existing views, we challenged their thinking and began to demonstrate the value of their existing document management system and showed them how using it could benefit them, and their community.

In the past, group training at this council had not been very successful. So, we focused on teaching their team leader so that he could teach others. After spending some one-on-one time his mindset and attitudes changed and he said, "I had no idea that it could work like this!"

Until we could address his issue without disruption, we would not have been able to get everyone else on board. After he experienced the shift and could see how this could deliver what he and his team needed, the team leader went and booked all of this team in for training. He is now an advocate for their corporate systems and forever a digital champion for their council.

The truth is a lot of the time, the desired business outcome and the governance requirement are often the same thing. Information is an asset and document integrity are integral to every business process. Even more than that it adds value for the customer. With strong document integrity in place, team members can execute their tasks with ease and have everything their customers need at their fingertips.

## LESSON NO 3:
### BREAK THE RULES

Records and Information Managers love to create business rules. But I think it's time we broke some of them. Not all of them, just the ones that add no value (which I think is still quite a few of them).

For example, I've worked with councils that make it mandatory for all staff to select the retention of a document when they register it. Now, the General Retention and Disposal Authority for local government records in NSW is 313 pages long.

How can you expect an engineer or a building surveyor or anyone for that matter, to know off the top of their head how long a document needs to be kept for?

Other councils set a rule in their EDRMS that restricts the user's ability to edit or rename documents. This rule encourages users to store the documents outside of the system to work on them. Which defeats the purpose of having a centralised document management system in the first place doesn't it?

Our role is to support people in our organisations to serve customers - to make it easier for customers to access information (not harder). Yet we implement rules that add no value and cause people to avoid using our corporate systems.

If instead we take a people first approach, we will design rules that complement each other and align business and governance requirements. If we shift our focus to adding value to the business unit, we will not only increase the use of our corporate systems, we will also improve the experience for both our internal and external customers.

## LESSON NO 4:
### LEVERAGE TECHNOLOGY

You know how we spend lots of time, effort and money setting up corporate systems only for some teams to rigidly stick to their old way of working and continue using physical files and paper to complete and track their work?

Or perhaps you have seen an organisation implement technology for technology's sake? They take a technology first approach, implement a new system and then try to design new processes in order to get people to use it. Unfortunately, this approach is something I've seen tried and fail too many times.

The approach we advocate is to flip the implementation method around.



> ❝ **Records and Information Managers love to create business rules. But I think it's time we broke some of them** ❞

Start with people first. Discover their challenges, understand what each business unit is facing and then provide them with a solution that helps them address that challenge. In fact, when we help councils implement systems this way, those too-tough-to-change business units often become the best advocates for the system.

Without doubt one of the greatest challenges and successes of any implementation is engaging people in a way that helps them embrace the change and transition to a new way of working. I was working at a council that has a high percentage of older people in their workforce. Some of whom have worked for decades using paper-based systems.

The transition to working digitally was going to take some getting used to, and it was no surprise that the change was met with significant resistance initially. One person in particular told us that his team would never be able to work electronically. He was so focused on the reasons why it wouldn't work that he couldn't see the benefits that the change would bring.

We were determined to get him (and others) on board. We knew that in order to achieve that we had to practically demonstrate how the change would

benefit him personally and make his life easier than it was using the paper-based system. We also had to connect him to how the community could benefit from him doing his work online. So, we worked closely with him to discover where his resistance was coming from. We took the time to be curious, listen and to subsequently understand and then troubleshoot what wasn't working for him.

He told us that the screen on his tablet was too small and there was too much glare on the screen when he used the tablet out in the field. In short, the technology wasn't fit for purpose. When we gave him the opportunity to try a different device, he loved it. A few months later it was as if we were working with a different person. He is now the 'poster boy' for digital transformation at that council.

## LESSON NO 5:
### MEASURE YOUR SUCCESS

Measuring success is a crucial part to taking a people first approach. You could follow the first four lessons that I've listed but if you don't measure the success, how would you know if it helped?

The easiest way to get buy-in or build business cases for future projects is to

provide statistics that show the success of your projects or other projects in your industry.

Measuring success can be difficult. Often it is something we forget to do or feel like we don't have the time to do. Out of all the councils that I have worked with there are only a handful that can tell me how successful their project was.

There is a story about a council in Victoria that analysed their paper usage only to discover that they used enough paper to pave the road all the way from Melbourne to Sydney. This council has now reduced its paper usage by 75% and because they measured their success, they can now share their story with the industry and their community.

My final lesson is this. Define your goals, set key performance indicators and continue to monitor your progress along the way. When people can see that they are making a difference and moving in the right direction, they will be motivated to do more.

There are many simple ways to measure your success. It could be by monitoring the usage and document registration in your EDRMS, the cost of printing and postage or it could be community satisfaction. Whatever the measure, make it mandatory monitor it, get motivated by it, then do more of it!

## SUMMARY

Many of the key benefits of using a records system are lost under a myriad of rules, jargon, documentation and generic training sessions. By addressing the business needs of your teams and customers first, the underlying rules and principles add value and the bonus achieved in the background is compliance.

As Information Managers we have always been responsible for managing information assets across an entire organisation to support its business outcomes. But with the amount of information that is generated today it's impossible for us to do this alone. What we need to do now is engage with our team members in ways that inspire them to help us achieve our regulatory, legal, risk and operational requirements.

When we take a people first approach, it changes the way we work. It gives us a stronger level of understanding, allowing us to build more efficient processes and implement more effective technology solutions.

I encourage you to change your language, find your purpose and re-write your business rules and policies. Empower your teams and you will build an information management culture that you own and can be proud of. 🔟

## ABOUT THE AUTHOR

**JADE REED** started her career in local government records management, Jade has a deep knowledge of how to get the most out of information management systems. She is passionate about training and developing teams within local government to achieve outcomes that rarely waver from 100% satisfaction. In her consulting role at Redman Solutions, Jade gets to share her experience and she brings a proactive energy to every project and audience.

# 2017-2018 ANNUAL REPORT
## (ABRIDGED)

## RECORDS AND INFORMATION MANAGEMENT PROFESSIONALS AUSTRALASIA

**Dear Members,**

I welcome you to RIMPA's 2018 Annual Report. This abridged report is part of the Board's commitment to providing communications and information about RIMPA's activities and operations.

A full copy of the Annual Report can be obtained by contacting RIMPA's administration department:
• admin@rimpa.com.au
• 1800 242 611

**THOMAS KAUFHOLD**
Chair RIMPA (MRIM)

# RIMPA 2017 - 2018 OVERALL ACCOMPLISHMENTS

**Anne Cornish MRIM - RIMPA Executive Director**

| Issue | Outdated Governance Procedures |
|---|---|
| Action | Creation of a specialised governance and audit branch – GABA<br>Invitation to the membership to participate in GABA |
| Result | • Representation from most states on GABA<br>• Stage 1 – Constitutional update<br>• Review CPD Process<br>• Development of Board/ Branch Induction Video |

| Issue | Financial Viability and Company Sustainability |
|---|---|
| Action | • Appointment of professional accountant to manage RIMPA Finances<br>• Staff restructure<br>• Forensic assessment of all costs |
| Result | • Professional accounting practices in place<br>• Expenditure delegation returned to the Board<br>• Reduction in unnecessary outgoings<br>• Reduction in contract staff – from five to two staff<br>• Centralised staff in one office location<br>• Minimised overall loss with a turnaround of $100k+ from 16-17 |

| Issue | Dissatisfied Members |
|---|---|
| Action | • Conduct member survey<br>• Personal contact with members<br>• Review of current membership database (CRM)<br>• Review and amend membership fees<br>• Review membership benefits<br>• Review and update status guidelines to acknowledge experience<br>• Regular communication with Branches and members about Board activities<br>• Update *iQ* format |
| Result | • Introduction of 12-month cycle mentoring program<br>• Introduction of non-accredited training workshops (RM Fundamentals)<br>• Amended corporate membership fees<br>• Large increase in corporate nominees<br>• Increase in professional members<br>• Evaluation of fit for purpose membership software<br>• 1 signed mentoring customer<br>• 2 signed training workshop clients (non-members)<br>• Increased iQ advertisers<br>• Implementation of reviewed and updated status guidelines<br>• Review of Professional Status criteria |

| Issue | Attendance at RIMPA Events |
|---|---|
| Action | • Conduct member survey<br>• Re-establishment of NZ Branch and strategy meeting conducted<br>• Re-establishment of WA Branch<br>• RIMPA Staff attending Branch Events to meet members<br>• Presidents meeting to discuss event processes and marketing<br>• Commencement of improved social media marketing<br>• Personal contact with past inForum exhibitors inviting them to inForum 2018<br>• Review of speakers and programs |
| Result | • Successful inForum with above estimate delegate numbers<br>• Improved inForum program focusing on new and future trends<br>• WA and NZ Events held<br>• New and returning exhibitors at inForum 2018 in Hobart<br>• Increase in available marketing platforms<br>• All Presidents attended inForum 2018 |

# 2018 – 2019 PLANNED OBJECTIVES

| | |
|---|---|
| Stage 2 Constitutional Update – Major review | Governance |
| Review Branch Regulations | Governance |
| Review Bylaws | Governance |
| Review Statement of Ethical Practice | Governance |
| Review Code of Conduct | Governance |
| Review CPD process | Membership |
| Review Professional Status Guidelines | Membership |
| Review Executive Committee Charter | Governance |
| Review Functions and Responsibilities | Community |
| Update RIMPA website | Knowledge |
| Implement new membership software | Knowledge |
| Improved members area on website | Knowledge |
| Implementation of new member forum (replace List serv) | Community |
| Maintain and expand alliances with like-minded organisations | Community |
| Delivery of accredited training and non-accredited training | Knowledge |
| Work with NT and Tasmanian members to re-establish active branches | Membership |
| Improved and relevant resource library for members | Knowledge |

# MEMBERSHIP UPDATE

**Tynelle Spinner, Member Services and Events Administrator**
**Jo Kane, Member Services and Events Manager**

The Board amended the pricing structure for Corporate Members as a result of feedback received from many members. The issue raised was that corporate membership was excessively expensive for each nominee which meant that many of our corporate members (65%) only had one nominee. The Board agreed to revert to a previous corporate membership fee structure where a set price is applied to nominees in groups of three.

**The new corporate pricing structure is as follows:**

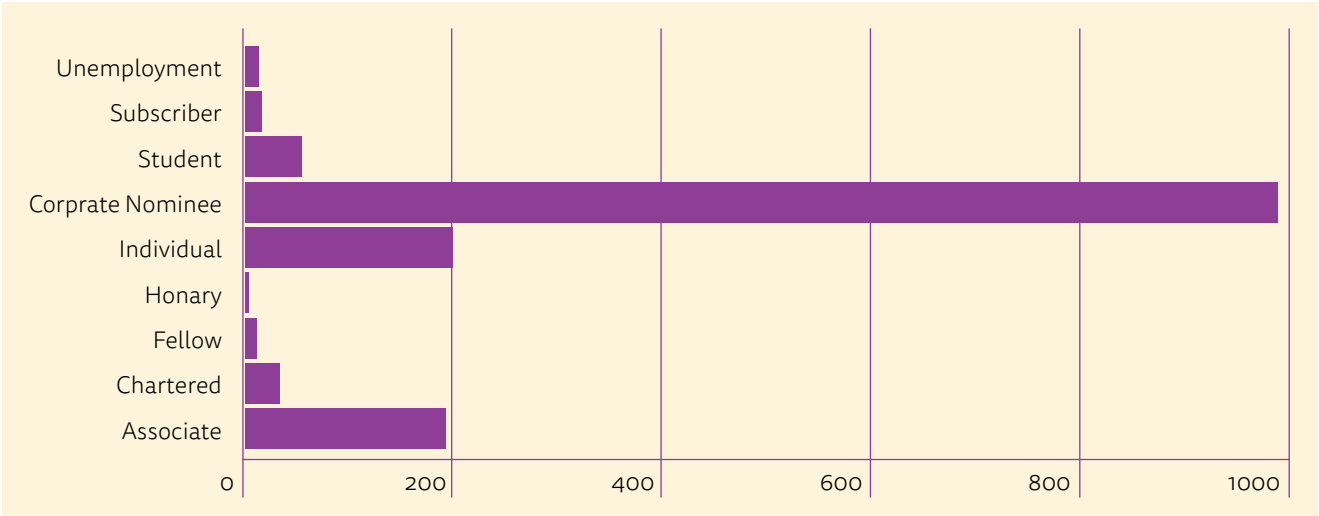| | | |
|---|---|---|
| **Category A** (includes up to 3 nominees) | AU$495.00 | (previously $365.00 per nominee) |
| **Category B** (includes up to 5 nominees) | AU$1045.00 | (previously $310.00 per nominee) |
| **Category C** (includes up to 9 nominees) | AU$1500.00 | (previously $290.00 per nominee) |
| **Category D** (includes up to 20 nominees) | AU$2,400.00 | (previously $275.00 per nominee) |

This change has proven to be very successful as nominees for Corporate membership has increased substantially and RIMPA has welcomed an extra 147 members.

Staff are steadily rectifying all issues with membership data such as duplication and incorrect member details.

As at August 2018, RIMPA had 1507 active members, with membership enquiries continuing to grow on a daily rate.

In May 2018, a Membership Survey was implemented. The survey identified some key areas that RIMPA can develop to improve member satisfaction as well as highlighted what members would like with respect to events and education. The survey also identified the preferred methods of communication that our members are most responsive to.

## Membership Snapshot August 2018



Horizontal bar chart of membership categories (values approximate):
- Unemployment: ~30
- Subscriber: ~30
- Student: ~70
- Corprate Nominee: ~1010
- Individual: ~215
- Honary: ~10
- Fellow: ~25
- Chartered: ~55
- Associate: ~210

X-axis: 0, 200, 400, 600, 800, 1000

# SURVEY SNAPSHOTS

## Improving Value:

- Advocacy for industry
- Listserv – Forum access
- Provision of PD and education to inactive Branch regions to increase value of membership benefits
- Increased value and benefits (over the last two years there has been a significant drop)
- Increased professionalism in communication and behavior
- Effectiveness of RIMPA's Board
- Website access

## Events and Education

- Collaboration internationally
- More webinars
- Online course access
- Minimum of four events per year at Branch level
- Access to events and workshops
- inForum conference
- Mentoring program
- PD program
- Bring back Listserv

## Preferred Methods of Communication

E-newsletter 82%

Digitail magazines 58%

Email with Event Flyer

Website news updates and online forums

In-person at events, conferences and training

Blog / option articles

Social media

Tynelle and Jo and are looking forward to continuing to build the RIMPA community and thank all members for their patience and understanding during the membership renewal phase.

*For a full version of the Annual Report and Branches Reports contact: admin@rimpa.com.au / 1800 242 611*

# ARTICLE
## — OF THE —
# YEAR

## HOW CAN YOU BE IN THE RUNNING FOR THE 2018-19 ARTICLE OF THE YEAR AWARD?

Every member article/paper published in *iQ* between now and August 2019 automatically goes into contention for the much-coveted 2018-2019 Article of the Year Award. There is no need to fill in any 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, get to work on your potentially award-winning article today.

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

# Thank You!

With this being the last edition of *iQ* for 2018, the Chair and Board takes this opportunity to sincerely thank RIMPA's subscribers, members, sponsors, industry colleagues and staff for the widespread support that you have given us this year.

**We also wish you a joyful and peaceful Christmas.**

## INTERVIEW WITH
# David Pryde MRIM Life

David Pryde MRIM Life, fell into Records and Information Management… He's happy for this twist of fate, only wishes that he'd started in the industry sooner.

**Tell us briefly about your stellar career in Records and Information Management…**
I fell into records management by accident — as a trainee file clerk at Redland Shire (QLD) in 1995 — I soon discovered I had an aptitude for it and that I liked it. My boss was passionate about the profession and about RMAA and I really enjoyed networking and meeting people at events.

After six months, I applied for a full-time position as an Information Resource Officer, enrolled in a Cert 4 at TAFE and became a professional member of RMAA. The thing that really hooked me was being given a 'day pass' to the Brisbane Convention, which opened my eyes to the unique world in which we work.

In 1999, I moved to New Zealand to assume the role of Records Supervisor at North Shore City Council in Auckland. My first job was to set up a decentralised Records Area in Environmental Services. My remit was to cover records from several area offices around the city, then integrate the records into the Council files and finally re-house them in our location.

I also set up a Records Centre, trained staff and implemented new processes that included plan scanning and digitisation of ES records. We were one of the first councils to provide record-viewing at kiosks and later online.

**In the newer digital world, do you think enough effort made to preserve records?**
I think the world has a narrow view of what preservation of records really means. To many, preservation is digitisation - thanks to Electronic Transaction legislation and other Digitisation Standards that give legality and legitimacy to digital recreations.

There are organisations in Australia and NZ that are giving great consideration to the preservation of records, both hard copy and digital. I just hope that the lessons learned from microfiche and thermal photocopy paper are not repeated in the digital world.

**You have been a member of RIMPA since 1999 and are now a Life Member. How have you contributed to the association?**
When I joined the Qld Branch in 1999, I was a very active member of the branch. At the end of 1999 I moved to NZ and for a couple of years was an overseas member.

The New Zealand Branch was formed in 2002 and because I was a professional member (ARIM), I was asked to join the Branch Council. In 2003, I subsequently formed the Auckland Chapter of the then-RMAA. Since then I've kept myself busy…

**2003 – 2007**
Auckland Chapter President (RMAA)

**2003 – 2013**
NZ Branch Councillor (RMAA/RIMPA)

**2004 – 2013**
NZ Branch Director (RMAA/RIMPA)

**2006 – 2008**
Vice President (RMAA)

**2008 – 2013**
Chair of the Board (RMAA/RIMPA)

**2016 – Present**
NZ Branch Councillor (RIMPA)

**2016 – Present**
NZ Branch Director (RIMPA)

**RIMPA provides members with a wide range of professional activities – ranging from conventions to networking events, workshops and indeed, this publication… Can you provide examples of how you take advantage of these opportunities?**
Phil Taylor was my tutor at Kangaroo Point TAFE. When I completed my first qualification, I heard him talk about RMAA not as an organisation, but as a professional support network that would give you everything you needed to be successful in our profession.

I've always taken advantage of training opportunities and view the member website, *iQ* and the Listserve as excellent resources. With the exception of this year's conference, I've attended every convention since 2003.

**Some might consider that RIM isn't the most interesting of career choices, yet we beg to differ! Tell us why RIM is THE profession to launch a career in…**
To be an effective information (records, content, data) manager you require several skills, some vocational, others from experience to be able to perform at a level of performance that meets or exceeds requirements.

I think Records and Information Management should be a career of choice, as it opens so many doors of opportunity.

I've enjoyed a wonderful career. The only thing I'd change is to have gotten into this field earlier.

**Thank you, David!**

# Directory

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**Email** chair@rimpa.com.au

**Member Services, Marketing and Event Manager**
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## ADVANCING AND CONNECTING THE RECORDS AND INFORMATION MANAGEMENT PROFESSION

- Professional recognition
- Education and professional development
- National and global networking
- Events and conferences
- Mentoring
- Advocacy for RIM professionals

# WE BELIEVE THAT OUR MOST PRECIOUS ASSET IS OUR CUSTOMERS' TRUST

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# What do YOU think of when you hear "Records and Information Management"?

## When our members hear it they think of:

Policies
Digital
Compliance
Cloud
Content
Assets
Security
Systems
Risk
Knowledge
Administration
FOI
Structure
Reporting
Business Continuity
ISO:15489
Standards
Information
Professional
Data
Metadata
Strategic
Disaster Recovery
Classification
Management
Storage
Governance
Disposition
Accountability
Records
Retention

## If YOU think like US you should be a member!

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