iQ

FEATURE SECTION
STANDARDS

+

DIGITAL DISPOSAL

MANAGEMENT
LOOKING AFTER YOU

**BRANCH
EXCELLENCE
AWARDS**

**INFORMATION
AWARENESS
MONTH**

TRACEY SIM,
NZ BRANCH PRESIDENT

ADVANCING AND CONNECTING THE RECORDS AND INFORMATION MANAGEMENT PROFESSION

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VIEW FROM THE GENERAL MANAGER

ANNE CORNISH
MRIM, GENERAL
MANAGER, RIMPA

Firstly, I'd like to offer my sincerest condolences to everyone impacted by the catastrophic and devastating Australian fires.

The fire catastrophe across Australia highlights the importance of records and information as they play a part in everyone's lives on a daily basis and the use of accurate and accessible information is imperative in order to operate effective emergency services.

RIMPA contributed to this cause by offering assistance and advice to those councils heavily impacted by the fires. A big thank you to our vendor partners who have volunteered and donated their time and resources to assist fire-affected areas.

2020 sees us entering a new decade which was referred to in the 1900s as the "Roaring 20s" and an era that produced major changes in the world of technology and information. The introduction of the telephone and radio was instrumental in the way that we currently live.

The theory behind the introduction of these pieces of technology was that "the radio brought the world closer to home and the telephone connected families and friends."*

In 2020, this approach is still valid, only using different or improved technology platforms.

I am personally hoping that the '20s will be referred to as a 'dynamic' decade that sees further change and an enhanced profile of records and information management. "Yeah, yeah", I hear you all say ... Although, as a collective industry, there really is no better time to make this happen with the current focus on digitisation in the workplace.

2020 will see RIMPA focus on advocacy and public relations and encourage new membership groups to the RIMPA family. In 2020, RIMPA will also introduce an RTO in line with a new-look Business Services Package and further workshop training opportunities across all areas.

> **"I am personally hoping that the '20s will be referred to as a 'dynamic' decade that sees further change and an enhanced profile of records and information management."**

RIMPA Live will be held in Canberra from 12 October – 15 October, at the National Convention Centre. The theme is *Digital Continuity,* in line with the Commonwealth direction for 2020 and will also be embedded into the theme for Information Awareness Month (IAM). We are privileged to have international guests participating in IAM to discuss global issues impacting all records and information professionals.

I'd like to acknowledge the New Zealand Branch, which is back with a vengeance, and organising various events for the membership across its three main locations.

As has been the case in the past few years, RIMPA will continue to move forward with new and interesting concepts in order to make the 2020s as dynamic as possible for RIMPA members.

* Tar Heel Junior Historian Association, NC Museum of History

RIMPA Branch Excellence Awards 2019-2020

The RIMPA Branch Excellence Awards are presented at the Information Awareness Month events held by each Branch of RIMPA throughout the month of May.

The awards recognise outstanding achievements and contributions to the records and information management industry through the practical application of initiatives that promote the RIMPA Charter of leveraging the value of records as corporate assets and as evidence of business activities.

The Awards also honour RIMPA members who have made significant contributions to the advancement of our profession and who are leaders in the records and information management industry. They culminate in the recognition and celebration of organisations and individuals that implement initiatives and industry leading services that raise the visibility of records and information management across industries.

Timing: Nominations are open 1 February 2020 and close 31 March 2020.

Categories: The Awards are presented to members in the following categories:
- New Professional
- Outstanding Student
- Outstanding Group
- Outstanding Individual

NEW PROFESSIONAL

Presented to a new professional to the records and information management industry who has been working in the industry for less than five years. The recipient of the New Professional award has achieved excellence in their career to date or made a significant contribution to the profession. They show a penchant for the records and information management industry and aspire to build on the core foundations to lead us into the future.

OUTSTANDING STUDENT

Awarded to a student who has achieved excellence in educational studies in records and information management. The recipient of the Outstanding Student award will have a positive attitude towards study and a passion for records and information management.

OUTSTANDING GROUP

Open to groups (other than RIMPA Committees) who have achieved excellence and made an outstanding contribution to records and information management. The recipient of the Outstanding Group award will have demonstrated distinction and a lasting, high impact in one or more of the areas: innovation, marketing, partnership and teamwork, collaboration, implementation and business benefit.

OUTSTANDING INDIVIDUAL

The pinnacle award bestowed upon an individual within the records and information industry by RIMPA Branches. This highly coveted award is the highlight of the Branch award season and is presented to an individual who has made a significant contribution to records and information management.

HONOURING CONTRIBUTIONS TO RIMPA

In recognition of significant individuals, some Branch awards have been named to honour the contributions these people have made in our industry and community.

ACT BRANCH
- Rob Barnett Award – Outstanding Individual

NZ BRANCH
- Dr Gillian Oliver Award – Outstanding Student
- Dianne Macaskill Award – Outstanding Individual

QLD BRANCH
- Harry Haxton Outstanding Student Award
- Harry Haxton Outstanding Group Award
- Chris Simpson New Professional Award
- Chris Simpson Outstanding Individual Award

SANT BRANCH
- Lisa McDonough Outstanding Individual Award

VIC BRANCH
- David Moldrich Outstanding Group Award
- Judith Ellis New Professional Award

WA BRANCH
- Marita Keenan Award – Outstanding Student
- Neil Granland Award – Outstanding Individual

John Cain, Premier of Victoria from 1982 to 1990 died on Sunday 22 December, 2019. He was 88.

BY DAVID BROWN,
ASSISTANT DIRECTOR GOVERNMENT SERVICES,
PUBLIC RECORD OFFICE VICTORIA

As Premier of Victoria, Cain had a massive impact on Victorian politics. Prior to the election in 1982, Labor had not been in government for 27 years. Since then, Labor has been in government for twenty six of the thirty eight years. A major influence on this success was Cain's legacy of integrity and honesty.

Cain would buy his own stamps for his personal mail, he would never travel first class, he travelled by public transport. Cain extended these high standards to his ministers requiring that they deal directly with the public rather than using lobbyists. In 1985 Cain forced the Governor of Victoria to resign after the Governor accepted a free trip to the United States with his wife from Continental Airlines.

John Cain's lifelong interest in information access, recordkeeping and archives was particularly significant. An ongoing and wide-ranging reform was the introduction in 1982 of Freedom of Information Act (FoI Act). The FoI Act was the second significant reform to how government manages and releases its information and records.

The Public Records Act passed in 1973 had set standards for creating and maintaining government records. It also enabled access to permanent records, which were just a small subset of overall government information and records. Cain, with his vision of an open and accountable government, used FoI to expand and change the understanding of and relationship between government and public. Prior to the FoI Act the underlying paradigm

was that the public didn't have a right to know what government was doing and what it had decided. After the passing of the FoI Act, that assumption was reversed.

The FoI Act paved the way for the next suite of reforming legislation to manage government information and access (for instance the Privacy Act 2000, Health Records Act 2001, Privacy and Data Protection Act 2014, Victorian Data Sharing Act 2017, Family Violence Protection Amendment (Information Sharing) Act 2017.

"John Cain's lifelong interest in information access, recordkeeping and archives was particularly significant."

John Cain's legacy to Victoria and Victorians was a significant change to how government and public interact and the expectations around those interactions, and his interest in equity, social inclusion and openness drove significant changes to Victorian society. Cain forced exclusive private male-only sporting clubs that were using public lands to accept women as full members.

Clubs like the Melbourne Cricket Club and Victorian Racing Club after resisting, fell into line. Cain changed café and restaurant rules allowing Melbourne to develop a vibrant café culture, extending opening hours and changing liquor licencing.

The legislative program orchestrated by John Cain, was no less innovative and progressive. Creating the Transport Accident Commission, WorkCare, forcing Government owned enterprises to pay dividends to the treasury.

"His sweeping law reforms didn't stop there: he disbanded the police special branch, decriminalised and regulated prostitution and introduced firearms control legislation. "

In the last few years of his life we were pleased to have John Cain's support as a Patron of our biennial Sir Rupert Hamer Records Management Awards.

In his memory we share this photo of him with Public Records Advisory Council President Judy Maddigan and Alastair Hamer celebrating the innovative government recordkeeping projects awarded at the 2018 Hamer Awards.

Vale life-long friend to archives and libraries, John Cain.

REFERENCES
1. https://www.theage.com.au/politics/victoria/farewell-to-john-cain-the-man-who-led-labor-out-of-the-wilderness-20191223-p53mfw.html

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Meltdown in Massachusetts Motor Vehicle Registry Recordkeeping systems.

A major public scandal occurred in late 2019 involving the Massachusetts Registry of Motor Vehicle when it was revealed that the Registry which is responsible for maintaining the records of vehicles and drivers in the USA state, had not been processing interstate notifications of drivers with suspended or cancelled licences.

BY PHILIP TAYLOR IN BOSTON, MASSACHUSETTS

The issue came to light when a truck driver was charged with seven counts of negligent homicide following a traffic incident when seven people were killed. The driver's commercial licence had been previously cancelled in another state following convictions for other traffic offences.

Interstate convictions are notified to the MRV for recording and subsequent action. It was discovered that the driver's licence had been cancelled and that RMV had taken no action, an internal review into the operations of the Registry was launched. The review found 365 additional commercial license notices "reflecting serious offenses" in the manual queue that had never been processed.

The review determined that the problems ran much deeper than the commercial licence system. In March 2018, the review found that employees, "stopped processing out-of-state notifications and simply sorted them into mail bins and stored them in a records room." 54 bags of unopened mail were discovered in a storage room.

The review also identified an issue with an overreliance on paper files and a lack of electronic document systems in the organisation.

The RMV Registrar has been fired and a full review into RMV systems and procedures has commenced. The stored mail has all been opened and processed.

Source WBUR News October 2 2019.
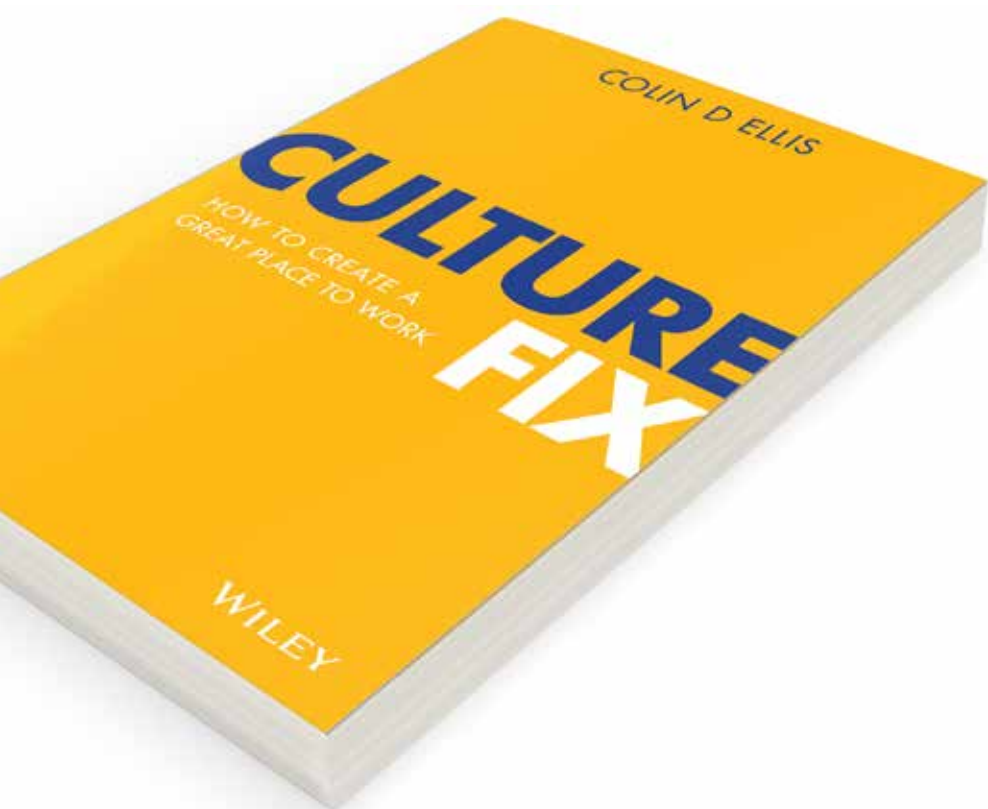
CULTURE FIX

HOW TO CREATE A GREAT PLACE TO WORK

Colin Ellis has taken his years of professional experience to give knowledgeable insight into organisational culture and the strengths, weaknesses and areas of improvement that can be easily identified and actioned.

Ellis has based his book around "The Six Pillars of Culture", each providing background and case studies before giving readers ways to introduce key concepts into their own workplace. This article provides a brief overview of what was discussed in each of these Pillars, concluding with a personal reflection.

REVIEW BY SUSANNAH TINDALL

Pillar 1: Personality and Communication

In Pillar 1, Ellis explores the role of human intelligence, specifically referencing emotional intelligence as a key contributor in influencing culture. People need to be self-aware of their strengths, as well as where and how they could improve. The work environment provided is also of vital importance - people need to feel that their preferences for working and communicating, as well as their general personality, are understood within the greater team.

Pillar 2: Vision

A significant theme within 'Vision' was the mission statement versus the vision statement. Ellis believes vision statements are often not followed, existing more as a tick-box, stating, "Vision statements are lived, not laminated." A vision statement needs to be appropriately thought out, creating something that will work and shape each team so they understand their day-to-day role and how this fits into the organisation. This understanding is what will build a great organisational culture.

Pillar 3: Values

Similarly to Vision, values are only, for lack of a better word, valuable if they are actually followed. Ellis states, "Unless they're practiced consistently at every level of the organisation, they become mere words in an annual report, or on a poster or webpage, that matters little to those who work in the culture".

Ellis also stressed the importance of induction, and how to build upon this often neglected area. Having a strong induction into an organisation allows new staff to quickly establish the values and goals and how their role contributes to this.

Pillar 4: Behaviour

This was a meaty pillar, and one of the strongest in arguing for what can make or break a thriving culture. Behaviour will shape and influence the remaining pillars and has the potential to allow an organisation to thrive.

As part of this pillar, Ellis discussed the role of leadership and performance feedback, and how to appropriately shape both positive and negative behaviours within the workplace. The author believes leadership is not hierarchical, but rather a two-way contribution that can equally benefit each person. Behaviour, much like the Pillar 'Innovation', is not a quick or easy process. "You can't simply tell someone to change... Some people won't want to do it. They'll blame their upbringing, their age, other team members, their lack of knowledge, technology or the weather". People reacting poorly to or resisting change will dramatically reduce success within the organisation and actively contribute to holding it back.

> "One of his most significant messages is not to let bureaucracy get in the way of collaboration."

Pillar 5: Collaboration

As part of this pillar, Ellis discussed the difference between what is and isn't collaboration. Ellis gave many real life-examples of experience working in varying geographical teams, and how this can affect the team. He was quite critical of organisations when it comes to collaboration, stating "... make no mistake, collaboration - or the way people work together - is critical to a culture's success. It's just that most cultures aren't good at it."

One of his most significant messages is not to let bureaucracy get in the way of collaboration!

Pillar 6: Innovation

Ellis admitted innovation can be one of the hardest things to achieve in an organisation. The author believes that while viewed negatively, there is a great need for failure, and senior management needs to understand this is simply part of the process.

Following on from another study, Ellis believes the five key actionable areas for innovation are "Associating, questioning, observing, experimenting and networking." Each of these areas is linked strongly with collaboration.

Personal Reflection

Ellis has presented numerous case studies throughout and gives ample opportunity to analyse your workplace and how changes could be adopted. He has given a thorough exploration into the modern workplace, and the challenges that accompany this. With things like open plan, endless emails, and work from home days, he discussed how these could be both a positive and negative to a workplace.

Ellis states, "Wherever you sit on an organisation chart, whatever your length of service or performance, you get a say in the culture". There is a role and importance for building culture from every level of an organisations. This isn't something restricted to senior management or brought in by a consultancy - it needs to be lived and practiced by everyone. As a new professional, I found this an important message.

While the author has presented his ideas generally across any profession, it is important to see how these could be adopted by records management staff. Key areas like collaboration, particularly with IT are sometimes a weaker area for our industry. Our role is extremely important, and we have to ensure that recordkeeping needs, especially those relating to compliance, are appropriately communicated and understood by the wider workforce. Unfortunately, records is one of those areas that can be neglected at times, and a culture change could be just the thing needed.

Throughout Ellis' book, there was a constant theme that a change of culture is not a quick, easy, cookie-cutter job that you can copy from somewhere else, but something that takes time, consideration and a degree of trial and error. "This is the start, and for those looking to evolve their cultures, here is your potential legacy."

ABOUT THE REVIEWER
SUSANNAH TINDALL
is a new professional in Records Management. She has completed a Bachelor of Arts at The Australian Catholic University, as well as a Graduate Diploma in Information and Knowledge Management at Monash University, specialising in archives and records. Susannah gained experience through volunteering at the Victorian Public Records Office, along with two short-term appraisal contracts at The University of Melbourne. Susannah has been a Records Officer for Monash University since 2017.
Contact:
susannah.tindall@monash.edu

New Kiwi branch president

with plans and an eye on carbon footprints.

She's RIMPA's southern-most branch president ever, raised in a librarian-ridden family in the academic haven of the "Edinburgh of the South". But she was seduced into the hornet's nest of information and records management by a "totally radical" piece of software that changed her ways. She's Tracey Sim, ARIM, Head of Corporate Records Services at the University of Otago in Dunedin, and the new President of the New Zealand RIMPA Branch.

BY MIKE STEEMSON ARIM

She took over the reconstituted branch late last year from the steady hands of the re-founding leader Katherine Clarke, MRIM, who'd guided the branch through post-rebirth agonies to new vigour.

Tracey is a native Dunedin-ite, a Mainlander, as Kiwis call denizens of the country's South Island; the largest in hectares but not in humanity. She admits to being 43 … "but I don't look a day over 42 years and 364 days, so everyone says". She's a "crazy animal lady" and aspires to higher academic status.

She has mighty plans for further branch revitalisation but her first challenge will be pushing them while so physically remote from NZ's political capital, Wellington, and the commercial hub, Auckland.

It's not getting her down. Her eyes are on training, collaboration and profession advancement. But she's keeping a wary one on carbon footprints, too. "Good for Planet Earth and for the NZ Branch", she insists. *iQ's* first question was on this Day-One problem:

iQ: Since NZ Branch was created in November 2002, it has never won a leader on the Mainland, let alone in the venerable city of Dunedin, NZ's UNESCO City of Literature. So, how does it feel to be RIMPA's southern-most branch president? And, how are you going to arrange Branch Council meetings when most councillors live at least 800 kilometres away in North Island?

TS: I'm thrilled to be NZ Branch President. Being from the mainland though does mean that I will naturally have a special interest in fostering a stronger South Island presence.

You touch on the uniqueness of the NZ Branch – we're a whole country and our concept of "long distance" is different to that across the Tasman. But it still means that event attendance for the majority of us will involve air travel, and in NZ that's expensive. It's a good question to ask of any group – how can it stay connected in a world that is increasingly digital, dispersed and aware of its carbon footprint? I will certainly be asking this question of our Council and membership and looking for guidance.

There will be emphasis on the use of technology such as video conferencing for Branch Council meetings and live-streaming of events so none of our members misses out on opportunities to stay connected and learn.

Technology use is especially important. A branch where the majority of members are, as we would expect, centred around the governmental hub, means that those outside of the area, like its new president, for example, need to work doubly hard at keeping in the loop and remaining connected. It's good for the Earth, not just for NZ Branch!

> **"There will be emphasis on the use of technology such as video conferencing for Branch Council meetings and live-streaming of events so none of our members misses out on opportunities to stay connected and learn."**

iQ: Three of your female relatives have enjoyed successful librarian careers. How did you, almost 20 years ago, manage to tear yourself out of the cloistered hush and into the hi-tech hurly-burly of raucous records and information management?

TS : Quite by accident as it happens, isn't that always the way? I confess to working as a Library Assistant while I was a student at Otago University in the late 1990s and as one of my first full-time roles after study. The path at that point was clear and predictable given my family history … except it wasn't.

In two of my stop-gap early roles I was exposed to a piece of software called Alchemy that has been well and truly superseded now but was pretty amazing at the time. It allowed us to digitise source records, manipulate them for quality purposes, add information about them (hello metadata) and store them in a database. Even better, we could provide access to the digitised copies in the database to medical staff across multiple locations at any time of the day or night. This was especially important for clinicians working evening shifts. This was totally radical, man! Joking aside, I could see how much of a difference this was making – a real clinical difference – and I was hooked.

So, I managed to secure a role as an e-records administrator, signed up to post-graduate study at Victoria University of Wellington's School of Information Management (SIM). You will have noted that my surname is SIM. It was a sign really that I was at the right place and moving into the right career!

iQ: What can you reveal about your life before that? Where and when did it start? What got you to Dunedin and New Zealand's oldest university? Lots of Kiwi history lurks there. Was that part of the fascination?

TS: I am proudly Dunedin born and bred. I have always entertained the idea of becoming an academic, and I still might! The lure of a PhD does still beckon.

There is a lot of history in Dunedin. I am privileged to work at New Zealand's oldest University and to enjoy the sights and sounds of our early Scottish roots. But did you know that Dunedin has become a highly creative digital industry in the video game development market? That is just one example of how we are still making history down here! We have a saying that 'you can't beat Dunedin on a good day, 'a Dunner Stunner' – and it's completely true!

iQ: Who or what introduced you to RIMPA. When did you join and why?

TS: The Who: David Pryde, the current Director of the NZ Branch, in his former records management role at the Auckland University of Technology. I remember we worked on a charter document for foundational records management at New Zealand universities and I thought this was really good stuff!

The Why: I found that there was a distinct lack of professional development opportunities specifically tailored to information and records managers (and people in IRM roles). I, and many colleagues in the profession, wanted and needed the opportunity to foster communities of practice and to achieve industry recognition. RIMPA offers this.

The When: March 2011 (note to RIMPA HQ: Thanks for checking this. Your records are better than mine).

> **"I am proudly Dunedin born and bred. I have always entertained the idea of becoming an academic, and I still might!"**

iQ: Why did you consider taking on the NZ Branch? What was the opportunity and what are challenges?

TS: From a professional perspective, I feel that I have the experience in the field to make a positive contribution to the NZ Branch, and the time is right. I also feel that this role is an excellent way for me to connect with my peers in the wider IRM community. So, I will be gaining from this experience, too. I welcome the opportunity to find ways in which we can connect as a community of practice and as passionate advocates for information. There is much untapped opportunity in New Zealand for collaboration with similar organisations across the country and branch growth, particularly in the South.

I unexpectedly had an operation on my cervical spine earlier this year. Mentally and physically I was caught off guard. During my recovery I decided I had two options: I could feel sorry for myself and my 'bad luck' (I did a bit of that initially!) or; I could turn this experience on its head and use it as a lesson in appreciation for life.

So, I decided that to any opportunity that came my way I would simply say "yes". You never know what is around the corner. Adopting a 'yes first' policy has really been working for me and I encourage others to give it a go!

iQ: Can you describe the abilities you bring to the RIMPA NZ office? Can you outline the future you see for the branch and the society?

TS: I'm passionate about what I do. I wouldn't have been in this industry for over 20 years if I didn't absolutely love what I do, love the colleagues I work with and meet. I come to work feeling as if I have a contribution to make. I pride myself on my ability to engage with a range of people, roles and organisations. I am also a firm believer in communication and collaboration, so I'm not going to be silent.

In my book there is no such thing as too much when it comes to communication and collegiality so fair warning has been issued! All in all, the abilities I think I will bring most to this role centre on people and relationship management.

The success of the NZ Branch relies on individual commitment to a group effort, and each of us has a role in shaping its future. I will be guided by our membership on this, but what could that future look like? I've mentioned some of this, but I haven't forgotten:

- More training and professional development opportunities this side of the Tasman, and a
- Stronger voice in shaping the information and records landscape in NZ.

iQ: What other questions would you answer, if iQ knew enough to ask them?

TS: I can say with quite some confidence that I can rock a neck brace, and that is not an easy accessory to pull off! Perhaps at the next branch meet-and-greet I could suggest that we dress up and the theme be 'pretend invalids' and I could prove this statement!

Outside of work I'm Mum to three: one of them is human, the other two have fur: one 10-year-old, one grumpy cat and one Mexican Chihuahua. I've always had strong aspirations of becoming a crazy animal lady and I'm making very good progress. I'm really looking forward to holidays in the caravan this summer with most of the menagerie mentioned above (the cat is not a fan of holidaying) and the bloke, because New Zealand is just a terrific country for camping and exploring and making memories.

Thank you, Tracey.

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' sub committee 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.
Contact: mike.steemson@xtra.co.nz

Eyes on Information

The purpose of Information Awareness Month (IAM) is to increase public awareness of information and its place in all aspects of daily life. By focusing attention at a number of events during the month of May on the role that information plays in day to day activities, the value of good information practices and policies are highlighted and promoted.

IAM is a collaborative event between various bodies within the records, archives, library, knowledge, information and data management communities. In 2020, we come together with international bodies to discuss global issues impacting records and information professionals.

The theme for 2020 is 'Eyes on Information', raising the profile of information management.

Records Information and Management Professionals Australasia (RIMPA): www.rimpa.com.au

Australian Society of Archivists (ASA): www. archivists.org.au

Australian Library and Information Association (ALIA): www.alia.org.au

InfoGov ANZ: www.infogovanz.com

Institute of Information Management: www.iim.org.au

National Archives of Australia (NAA): www.naa.gov.au

Data Management Association (DAMA): www.dama.org.au

Health Information Management Association Australia: www.himaa2.org.au

IAM 2020
Information Awareness Month
Eyes on Information

Information on
Digital Preservation, Education and Training, effectively working with ISO Standards, Information Governance, sustainability of traditional records and information management, Diminishing skillsets.

Check your branch or the RIMPA website for upcoming IAM events.

Visit rimpa.com.au

International Summit on Global Issues to be held in conjunction with Information Awareness Month in May.

Hosted in Canberra at the National Archives of Australia, world leaders in information and records management will collaborate with our Australian industry counterparts (NAA, ASA, IIM, DAMA, HIMAA, ALIA, InforGovANZ and RIMPA) over three days to participate in a series of round table discussions focused on global issues and topics impacting records, archives and information professionals globally.

Discussing global issues impacting information and records:

- Digital Preservation: Long-term requirements for digital records. Can we rely on the digital records of today in 100 years?
- Education and Training: Availability and changing requirements of new age information professionals.
- Diminishing skills in records, archives and information management as a result of the digital imposition.
- Determining the value of information and how this is an asset to any organisation.
- Information Governance: What is required? Is there a standard set of governance tools that all records professionals should use?
- Effectively working with ISO Standards and putting them into action. Is there a long-term requirement for traditional records and information management professionals? What must change to remain sustainable?
- Can history be relied upon when using social media and other information forums?
- Is records management a poor cousin to information technology and data specialists and how can this change?

The summit takes place from **28 April – 30 April** and culminates in a one-day seminar on Friday 1 May to celebrate the launch of Information Awareness Month (IAM).

Observers are welcome to attend the round table discussions and the one-day seminar will be open for all to attend.

Event details can be located at the RIMPA events calendar. **Visit rimpa.com.au/events/calendar**

Start Training with RIMPA in 2020!

Our second round of training is now available!

DEVELOPING CLASSIFICATION SCHEMES & PLANNING FOR DIGITISATION

Session 1:
Developing Classification Schemes – Workshop 03

This workshop provides attendees with the knowledge and skills to design and implement a workable classification scheme for their organisation.

Attendees will:

- Understand the benefits of classifying records.
- Understand different classification methods.
- Understand how to apply your classification scheme to records.
- Learn tips and tricks when implementing a classification scheme.

Session 2:
Planning for Digitisation – Workshop 06

This workshop explores the main steps in preparing and implementing a digital workplace for records and information.

Attendees will:

- Understand related terminology.
- Understand and define a digital workplace.
- Identify records for digitisation.
- Assess and understand high value records.
- Determine the digital culture.
- Understand digital governance requirements.

DATES

Adelaide	19 February, 2020
Albury-Wodonga	3 March, 2020
Shepparton	5 March, 2020
Darwin	19 March, 2020
Melbourne	1 April, 2020
Sydney	8 April, 2020
Alice Springs	21 -22 April, 2020

There will be more dates available throughout all states so please keep checking the RIMPA online events calendar for up to date information.

COST PER PERSON

MEMBERS $350.00 for both sessions.
$230.00 for only one session.

NON-MEMBERS $550.00 for both sessions.
$350.00 per person for only one session.

A daily session can be purchased and shared between two people if necessary.

RIMPA can also assist your company to identify areas of interest and our trainers will tailor training workshops (half and full days) to meet your needs.

Please contact the administration team to request more information on the tailored training workshops that we can offer.

Contact: admin@rimpa.com.au

RIMPA

Putting standards into perspective

What has been the impact of records management standards on organisational practice? Do failures in recordkeeping point to problems with standards? In this article, we look at the roles that standards play in organisations, using examples from the Victorian public sector. We believe that standards are an essential component of a much larger program of work that must be undertaken to effect improvement. Our argument for this is that, despite the existence of comprehensive standards, poor recordkeeping practices continue to negatively impact many organisations and, ultimately, the public.

BY DAVID BROWN, ALISON MCNULTY AND PETER FRANCIS

There are a range of records management standards available for use within the Australian environment – Standards Australia produces a comprehensive set and the commonwealth, state and territory record authorities each issue standards for public offices within their jurisdiction. However, despite the standards and the untiring efforts of records management practitioners, poor recordkeeping practices are still common within organisations. This can be seen in the many audits, investigations, royal commissions and media articles which highlight recordkeeping failures.

Does this mean recordkeeping standards are not necessary or not helpful? We would strongly argue that they are critical – but that they are one essential component of a larger program of work. And that, to be effective, requirements need to be built into services, systems and products by suppliers and into processes, structures and systems by organisations. In this article, we will outline why we believe standards are essential, how some organisations have successfully used them to achieve improvement, the evidence for why they are not enough and other components we believe are needed.

STANDARDS ARE CRITICAL

For most organisations standards are the starting point for understanding good practice. Standards demonstrate what needs to be achieved for an organisation to perform at an acceptable level. They enable improvement by showing strengths, weaknesses and gaps. For those trying to improve practices within their organisation standards provide ammunition and justification for action.

Many people continue to have a very narrow view of what records management involves – the attitude that registering hard copy files and the most critical incoming correspondence into a records management system and keeping older files in a storeroom is surely sufficient. Standards provide a way to extend this understanding so that recordkeeping thinking and disciplines can be introduced more broadly into organisational structures, programs and systems. For example, by providing a way to raise concerns and argue for inclusion in auditing programs and governance structures.

Organisations need standards to measure their practices, in order to identify areas of weakness and demonstrate the need for improvement in a plausible way. Unless current practice can be assessed against what is objectively recognised as an acceptable level of practice, it is hard to identify and understand gaps and shortcomings. This is particularly important in fields such as records management, where it can be challenging to influence senior management and successfully argue for action and resourcing. Standards assist in developing business cases as they can be used to demonstrate that there are problems that are having a serious impact. When a major issue or crisis does occur and attention is being paid to recordkeeping, standards provide a pathway to improvement by showing what good practice looks like.

Examples of organisations using the Public Record Office Victoria (PROV) Recordkeeping Standards in this way can be found in the case studies published on the PROV website. Wannon Water received a Sir Rupert Hamer Award Certificate of Commendation in 2013 for their work on developing and successfully implementing a strategic approach to improving their records management. Wannon Water started this by organising an independent review of their records management against the PROV Standards. The outcome of this was a Records Management Strategy which was used to progressively address the issues and challenges which were identified. Wannon Water reported that they also used the PROV Standards to help them determine the actions required to actually improve their practices.

> **"Organisations need standards to measure their practices, in order to identify areas of weakness and demonstrate the need for improvement in a plausible way."**

After a Victorian Ombudsman Report in 2009 accused the City of Casey of hindering an investigation into the Brookland Greens Estate, the Council embarked on an ambitious information management transformation program. The PROV Recordkeeping Standards were used to assess practices and identify problems and gaps, in order to determine the key improvements required. This very successful project resulted in the City of Casey moving to a fully digital recordkeeping environment. One of the ways that the PROV Standards were used was to assess progress and demonstrate improvement. As the project commenced, an assessment showed that Council was in compliance with only five of the requirements from the PROV Standards. Two years later, in 2015, the Council was in compliance with most of the requirements.

Auditors and regulators rely on standards to assess performance against. Without standards, it is difficult to make impartial and credible judgements and meaningful recommendations. In its 2016 Performance Audit of public sector records management, the Victorian Auditor-Generals Office (VAGO) used the PROV Recordkeeping Standards to undertake a detailed assessment of two large departments.

The VAGO Report made a range of recommendations which the two departments committed to implementing.

This led to a funding and attention boost for records management in each of the departments, with subsequent measurable improvement.

But have Standards resulted in good records management?

Standards are important, but they are only one element of what is required. PROV issues a comprehensive set of recordkeeping standards. Compliance with the PROV Recordkeeping Standards, including Retention and Disposal Authorities, is mandatory for all Victorian public sector organisations. Under the Public Records Act (Vic) 1973, the head of every Victorian public office, including local government, is responsible for ensuring this. If standards were all that was needed, there could be confidence that good recordkeeping practices were the norm across the Victorian public sector.

Instead, recordkeeping is identified as an issue in many audits, investigations, inquiries and royal commissions, causing and contributing to a range of organisational problems and failures. The media also reports regularly on the problems caused by inadequate recordkeeping, although the connection between the reported issue and recordkeeping is often not made explicit.

Evidence of the ongoing issues caused by poor recordkeeping, despite the existence of standards, can be found in the reports published by the Victorian Auditor-Generals Office (VAGO), Ombudsman Victoria (OV) and the Independent Broad-based Anti-corruption Commission (IBAC). Of the 46 reports published by these bodies in 2019-20, 15 identified recordkeeping issues and failures. Recurrent issues were that records were not created or couldn't be found, records were incomplete or lacked contextual information and that records couldn't be trusted due to the lack of proper controls being placed on them (i.e. version, security, metadata and authorisation controls).

Examples of recent audits and inquiries which highlighted poor recordkeeping practices and the problems they caused or were symptomatic of are:

- IBAC released a report in September 2019 on local government corruption risks and vulnerabilities, assessing the practices of two councils. The investigation highlighted a lack of thorough and accurate recordkeeping practices with key documents (such as business cases, quotes and contract details) not being generated or filed consistently and failures to save records into organisational systems. In one instance, hard copy records were held at a staff member's home and were ultimately seized as part of the investigation.

- OV released a report in September 2018 outlining their investigation into three Protected Disclosures made about Bendigo South East College. The report found blatant nepotism, conflicts of interest and misuse of funding and resourcing. The recordkeeping was found to be poor, with one example being that there were no records of people applying for jobs they were subsequently appointed to.

- The Final Report of the Royal Commission into Institutional Responses to Child Sexual Abuse released in December 2017 found critical recordkeeping failures in both current and historical practice which caused distress and harm to people who had been 'in care' as children, prevented the

identification of perpetrators and prevented or hindered redress and civil or criminal proceedings.

WHAT IS AN EFFECTIVE STANDARD?

To be effective, standards have to be clear, applicable to the range of possible scenarios and measurable. If they are too prescriptive or granular, organisations will struggle to apply them to their particular circumstances. But if they are too broad and vague, it is difficult to measure practices against them and gain a clear understanding of what good practice looks like and how to achieve it. There is limited value to standards that are not embedded into organisational practices, processes and systems. For the end user standards should be invisible and unexceptional. General staff should be able to go about their work, with confidence that recordkeeping compliance requirements are built into structures, processes and systems.

For the end user, this should be like buying a household appliance. When people do this, they can be confident that the product meets Australian Standards and will therefore operate at a level that is considered safe and functional.

The purchaser is not expected to find the appropriate Australian Standard, read and understand it and then assess the product to make sure it complies. In this sort of environment, companies must build compliance against standards into their products and services to operate.

Ideally, recordkeeping standards would also act in this way. If this were the case, developers and suppliers wishing to sell products and services to organisations would ensure they complied with them. And records management professionals working within organisations would have the authority and resources to ensure that systems and processes were able to meet recordkeeping standards in ways that were invisible to the end user.

IF STANDARDS ARE NOT ENOUGH, WHAT ELSE IS REQUIRED?

There are a range of elements required for an effective Standards Program. It is the role of record authorities like PROV to provide guidance products to assist organisations in interpreting and implementing standards. Case studies can be particularly helpful in outlining how an organisation used and applied a standard to their particular circumstances and environment. Those which highlight challenges and difficulties and how these were overcome are particularly valuable.

However, ultimately it is up to organisations to decide the extent to which they will apply recordkeeping standards and the amount of attention and resourcing they will give to this. In some fields, organisations cannot operate without demonstrating their compliance with standards. Unfortunately, this is not the case with records management! Legislation differs in each jurisdiction, but government record authorities like PROV do not generally have the power to enforce compliance. Unfortunately, even when a record authority can state that, under their legislation, compliance with the standards they set is mandatory for a particular sector, this falls short of being able to force this to happen.

Within organisations, it is critical that records management is included in the governance structure and reporting arrangements, alongside other critical corporate responsibilities and disciplines. The level of organisational compliance against the recordkeeping standards which apply to them needs to be reported, with action taken when issues are identified. Assessing and measuring compliance is an essential part of this. Undertaking regular and formal audits of organisational recordkeeping practice is also essential. Providing assessment tools is an important way that records authorities can help ensure that recordkeeping is measured and audited within organisations.

One of the issues within some organisations is that records management is seen as being confined to a narrow area of practice. So an organisation might ensure that the Electronic Document and Records Management System meets recordkeeping standards but not apply these standards to all of the systems and processes across the organisation which are creating and capturing records. Overcoming this requires senior organisational support and an environment and culture where information and records management is understood and valued.

To be effectively applied to practices, standards must be localised by the organisation. Their generalised nature means they are widely applicable but this can make them difficult to apply in a particular circumstance. It often requires the expertise of a records management professional, whether in-house or as an external consultant, to interpret and apply standards in a way that delivers maximum benefit. Implementation in an agency requires changes to infrastructure, systems, policies, procedures, and operations.

The standards must be integrated into the business and its systems and processes. Wherever possible, compliance needs to be invisible to the end user. By embedding compliance in systems or making it part of the work, it is not perceived as an extra and non-essential task. If recordkeeping is seen as an unnecessary administrative burden, the compliance battle has been lost. Achieving victory by embedding the requirements from relevant recordkeeping standards into systems and processes across the enterprise inevitably requires expertise, organisational support and resourcing. If the organisation is able to buy systems, products and services which already comply with recordkeeping standards this provides substantial benefit.

PROV INITIATIVES

PROV tries to ensure that recordkeeping standards are effective and relevant in three ways:
1. Understanding the information and records management (IRM) environment
2. Reviewing and revising standards, policies and guidelines
3. Extending and revising the range of products and tools it makes available to the IRM community.

PROV has a well-developed engagement strategy through which products and tools are tested with clients, feedback incorporated and products regularly revised. In addition, PROV runs or is involved with forums, working groups and committees that are engaged with topical IRM concerns and activities. Surveys and research are used to gain a deeper understanding of the environment and the needs of public offices.

PROV reviews and revises the Recordkeeping Standards, Specifications and associated guidance products regularly. This is done with the involvement of IRM practitioners from Victorian public offices and any other stakeholders. For example, the standard and specifications for storing digital and physical records are currently being reviewed and revised. The aim is to make these products more accessible to a wider audience, ensure they can be successfully applied to all Victorian public offices and that compliance against them can be measured in a meaningful and useful way. As part of this, jargon and unnecessary detail are being removed and the number of documents and requirements are being reduced.

> "The media also reports regularly on the problems caused by inadequate recordkeeping, although the connection between the reported issue and recordkeeping is often not made explicit."

> **"For the end user, this should be like buying a household appliance. When people do this, they can be confident that the product meets Australian Standards and will therefore operate at a level that is considered safe and functional."**

make substantial improvement and provide targeted assistance to public offices experiencing major issues or challenges. A particular focus for PROV is trying to "sell" the benefits of good recordkeeping and the organisational and societal impacts of poor recordkeeping.

To try to provide organisations with the support and assistance they require, PROV is extending and improving the products it provides. Work includes:

- Revising the information management maturity measurement tool (IM3), an online tool which organisations can use to measure the maturity of their information management practices.
- Developing a new assessment tool for organisations to use to assess their maturity against PROV's Recordkeeping Standards (RKAT).
- Developing new online training modules.
- Developing new guidance and case studies on topical subjects such as implementing recordkeeping controls in Office 365 and SharePoint Online.

Given that it cannot actually force Victorian public offices to comply with the standards it issues, PROV tries to advocate for recordkeeping within government, contribute to initiatives and projects it thinks will

CONCLUSION

Our conclusion is that records management standards are critical and necessary but there are other components needed for a standards program to succeed in improving recordkeeping practices across organisations. Requirements need to be embedded into practices, systems and processes.

Compliance needs to be monitored and assessed, with results reported into the governance structure and any non-compliance rectified. For this to be achieved, standard-setting bodies such as PROV need to ensure that the standards they set are effective and need to provide guidance and tools to support organisations.

We would argue, however, that the ultimate recordkeeping success would be for standards requirements to have to be built into all systems, services and products by suppliers and for all organisations, public and private, to have to demonstrate compliance with records management standards in order to operate.

That is the holy grail for recordkeeping standards!

ABOUT THE AUTHORS

DAVID BROWN
David Brown is the Assistant Director Government Services at Public Record Office Victoria. He has worked in archives and records management across government and the private sectors for a long time (1984). He has a Master of Business (Information Management) from RMIT.
Contact:
david.brown@prov.vic.gov.au

ALISON MCNULTY
Alison McNulty is the Senior Manager Standards and Policy at Public Record Office Victoria. She has 20 years' experience in public sector information and records management and a Master of Business (Information Management) from RMIT.
Contact:
alison.mcnulty@prov.vic.gov.au

PETER FRANCIS
Peter Francis is the Manager Standards and Policy at Public Record Office Victoria. He has 25 years' experience in management, quality assurance systems development, process re-design and change management. He has a Bachelor of Information Systems (Hons) from the University of Melbourne.
Contact:
peter.francis@prov.vic.gov.au

Knowledge Management Meets Information Management:

ISO30401 Introduction

As records and information management (IM) professionals, we are aware of the plethora of standards associated with records and information management. That this edition of *iQ* focuses on standards, attests to the importance of the number of standards to our profession.

BY SIMON RAWSON MRIM

Increasingly organisations seek greater value from their information assets and to improve collaboration between staff, consumers and suppliers. An answer to this demand is investing in search and collaboration tools such as Microsoft 365, Workplace by Facebook, Slack and G Suite.

Being IM professionals, we are key stakeholders in the use of these tools. Too often though we face challenges of putting new systems into play without the necessary budget, resources or time. How can we improve this situation and get the support and resources from senior management to do the job properly?

One of the answers is aligning ourselves with information value attainment and the strategic goals of the organisation.

This article looks at the standard for knowledge management (KM) system requirements, ISO 30401, released a year ago in November 2018. 30401 presents a model for management systems associated with organisational knowledge. It also supports the requirement for continuous improvement, a mandatory component of broader quality management and ISO 9001 quality management systems.

ISO 30401 acknowledges the overlap with IM and that once codified, knowledge is subject to IM processes.

Continuous improvement is a must in most organisations, quality accredited or not. The big opportunity for records and IM professionals is to extend this more broadly to business processes as opposed to restricting continuous improvement to recordkeeping systems and processes.

Although not directed specifically at records and IM, the management system model ISO 30401 provides a similar framework for knowledge management systems as ISO 30301 provides for IM and governance. The same applies to other management systems such as ISO 9001 and ISO 14001 (environment management). The alignment presents opportunities for IM professionals to extend their value to an organisation.

INFORMATION MANAGEMENT VERSUS KNOWLEDGE MANAGEMENT

Many people and organisations see IM and KM as interchangeable terms. While there is overlap, there are important distinctions, and it is common to see separate business units responsible for each function. It is also common to see several information and KM support systems within one organisation.

Both functions are responsible for the productive use of information within an organisation. The key differences are:

- KM – is responsible for the development and maintenance of both tacit and explicit information in one or more distinct or specialist knowledge domains, intended to inform staff in resolving issues or making decisions directly related to that domain. KM is also responsible for fostering knowledge networks amongst peers.
- IM - is responsible for classifying and managing explicit unstructured and structured information related to organisational decision making, as well as retention and archival functions.

KM is sometimes viewed as a training and human development function. Sometimes it is regarded as a customer service function. Business applications for handling technical service management (ITSM) requests generally comply with the Information Technology Infrastructure Library (ITIL) structure, which includes functions for management of knowledge bases.

Many ITSM systems (e.g. ServiceNow, BMC, Cherwel, ZenDesk etc) are also used for broader KM.

The primary stakeholders and overlapping functions across organisations for knowledge and IM are shown in the diagram below. The areas of overlap vary from organisation to organisation.

> **"The starting point for management standards is the vocabulary and management systems."**
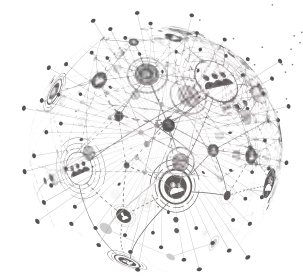
ISO 30401 KNOWLEDGE MANAGEMENT SYSTEM REQUIREMENTS IN THE STANDARDS UNIVERSE.

Meeting ISO 30401 is mandatory for quality accredited organisations. The standard for Quality Management System Requirements, ISO 9001:2015, introduced the requirement to manage organisational knowledge as an aspect of quality for the first time (clause 7.6.1).

ISO 30401 is classified by the International Standards Organisation under the 30400 series Human Resource Management, reflecting the people-centricity of KM.

In terms of the detail, number of standards and maturity of practice, records management is far more developed as a formal discipline. The starting point for management standards is the vocabulary and management system. For records management the relevant standards are ISO 30300 (Information and documentation — Management systems for records – Fundamentals and vocabulary) and 30301.

These build a management framework around ISO 15489 and its predecessor,

AS 4390. With AS 4390 in 1995, Australia was the first country to develop a standard on records management.

The purpose of any of the management system requirements is to get management on board and align with governance and corporate goals. The primary goals are attainment of value and mechanisms which can be measured and audited.

KEY SECTIONS OF ISO 30401

ISO 30401 is not prescriptive in its approach and nor does it cover IT support systems. The key sections and associated requirements (slightly paraphrased for succinctness) are listed below. I have retained the structure and numbering rather than providing the information in narrative form as the structure and numbering of ISO 30401 is the same as other ISO management system standards, especially ISO 30301, ISO 9001, ISO 14001 etc. The alignment is valuable, provides a great structure

> **"If we think strategically about our role and the value we provide to our organisations, using the classification and information management skills we already possess, our place becomes even more important."**

for IM planning, and will be familiar to management in any quality centred organisation.

4. Context of the organisation
4.1. Understanding the organisation and its context
4.2. Understanding stakeholder expectations
4.3. Determine scope of KM
4.4. KM system dimensions
4.4.1. General
4.4.2. Knowledge development
4.4.3. Knowledge conveyance
4.4.4. Enablers
4.4.5. Knowledge culture
5. Leadership
5.1. Commitment
5.2. Policy
5.3. Roles and top management responsibility
6. Planning
6.1. Risk and opportunity action
6.2. Objectives
7. Support
7.1. Resources
7.2. Competence
7.3. Awareness
7.4. Communication
7.5. Documented information
7.5.1. General
7.5.2. Creating and updating
7.5.3. Control of documented information
8. Operation
9. Performance evaluation
9.1. Monitoring and evaluation
9.2. Internal audit
9.3. Management review
10. Improvement
10.1. Nonconformity and correction

Section 7.5 is fairly particular in describing the types of IM controls which should be applied.

The detail in each section of each management system is broadly similar but different. If you have responsibility for your recordkeeping systems then I recommend reading the respective standards. The guts of each are only a few pages long.

Annex B describes the relationship between related disciplines. In particular it says, "KM and IM are often confused…" It goes on to define the difference being that KM involves codification and creation of information, and that once created that it is subject to IM processes. However, Annex B also states that much knowledge cannot be codified (for example experience and the ability to draw insights) and that IM alone cannot meet the need for a KM system.

Other related disciplines described in Annex B include data management, business intelligence, customer relationship management, learning and training, HR management, innovation management, risk management and quality management.

The Bottom Line: Continuous Improvement and Business Process Alignment. Both KM and IM management system requirements describe the need for continuous improvement. neither goes into how this is done.

Point 8.2 a) of ISO 30301 requires design of records processes based on work processes "…to satisfy accountability and other stakeholders' interests…". ISO 30401 describes reviewing lessons and feedback collection as methods for knowledge acquisition (section 4.4.2 Knowledge development).

Both requirements can feed continuous improvement of information and business processes in general, not just of the management system. As IM professionals we are primary stakeholders in the design of our support systems and processes. With the march of technology, and more specifically forms, workflow, metadata and search constantly improving, we have the tools to build immediate feedback processes into our information management systems.

Taking a leaf out of the Knowledge Centred Services model (KCS) which underpins many of the service desk knowledge management systems, hand in hand with feedback mechanisms is the need to promote a 'fix it or flag it' culture. If as a user you find an error in a procedure, a clarification needed, or spot a potential improvement to a process then it should be your responsibility to provide this feedback. Lessons learned reviews are important, but it is far more effective to be able to provide feedback the moment you find an issue or opportunity.

Managing feedback is a key factor in continuous improvement. Providing a continuous improvement process is a powerful factor in gaining senior management support, especially if we also measure and report on outcomes.

CONCLUSION AND CURRENT STATE OF SUPPORT SYSTEMS

An essential element of an effective knowledge management support system is the development and ongoing management of taxonomies. Knowledge taxonomies may be keyed to specialist knowledge domains. These should be maintained by subject matter experts under guidance from knowledge and/or information management staff. Taxonomies can be used more broadly as a means (for example) of classifying the policies and procedures of our organisations and records classification.

Effective taxonomies will become more important as our support systems evolve with AI and automation. For example, Microsoft announced in November Project Cortex as the newest member of the Microsoft 365 family of applications (https://techcommunity. microsoft.com/t5/Microsoft-365-Blog/Introducing-Project-Cortex/ ba-p/966091), describing it as an organisational knowledge network.

Features include auto-tagging and automatic organisation of content into shared topics such as "…projects, products, processes and customer." Cortex sits over Office 365 graph search which builds network connections across content, email and conversations based on common use.

Graph search techniques are also used in Google search and the open source Elasticsearch (which is available in Amazon Web Services).

We are seeing a quantum shift in information management tools. If we think strategically about our role and the value we provide to our organisations, using the classification and information management skills we already possess, our place becomes even more important.

ABOUT THE AUTHOR

SIMON RAWSON MRIM specialises in information and knowledge management, especially in Microsoft 365. He is a jack-of-all-trades, being a certified project manager, business analyst and information architect. He speaks regularly at conferences and runs training workshops on governance and process-centric information architecture. Simon is a RIMPA Victorian branch council member.
Contact: simon@powermark.net.au
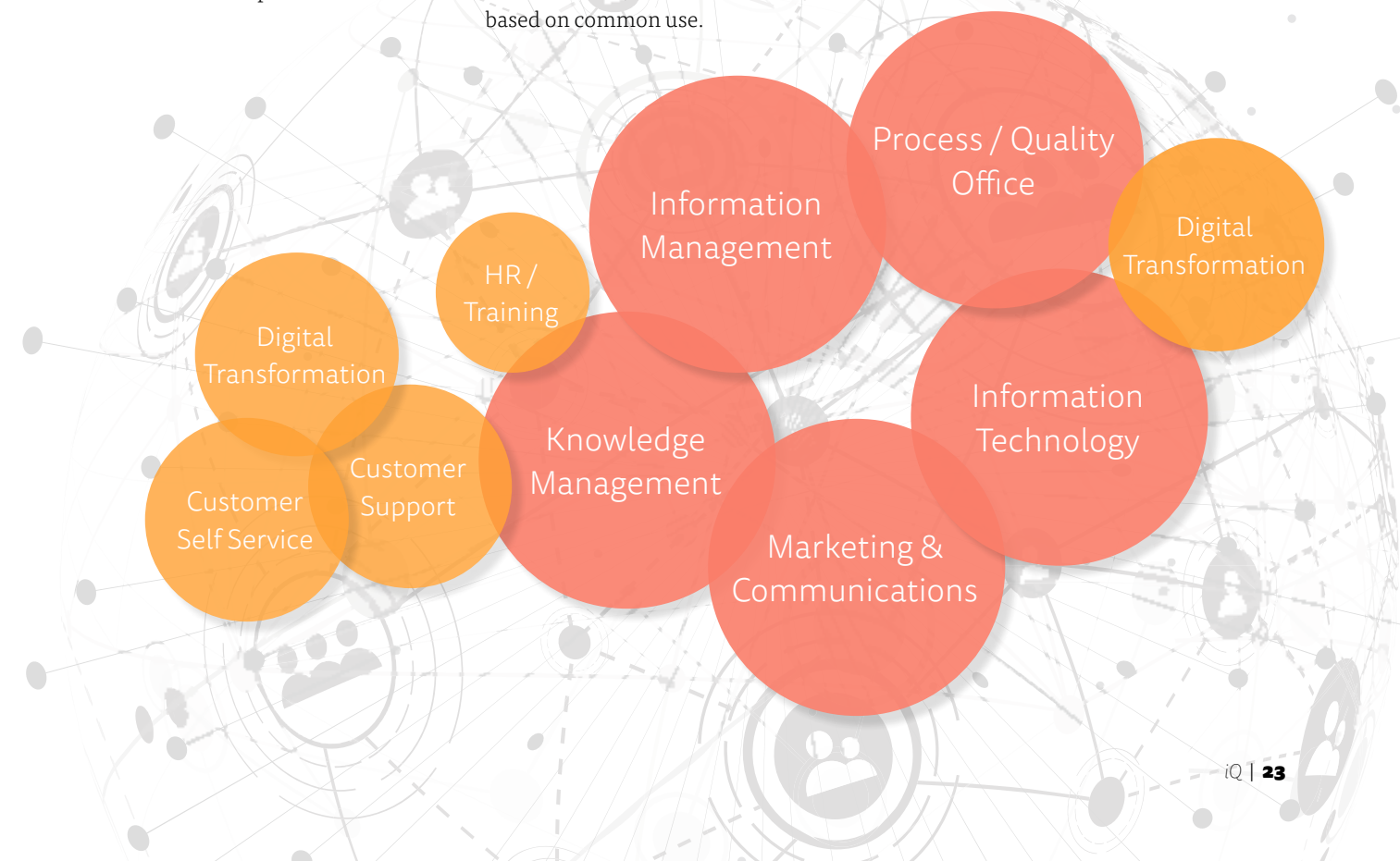
Standards:
Navigating the Labyrinth

To be or not to be? In my opinion, it is not that there should be no standards. The real question in our metaverse world of data, cybernetics, augmented and virtual reality technologies is: What are the right standards for the digital world?

BY LINDA SHAVE

There is a fairly universal agreement that there is a 'labyrinth' of standards, often with overlapping and sometimes conflicting requirements. These have created challenges for effective oversight. The impact of fragmentation and overlaps, has created confusion, inconsistencies and inefficiencies, in how standards are implemented in similar types of public sector agencies.

This article provides a list of current and evolving records and information management standards. It introduces a matrix with a four-step colour palette approach to explore how one might navigate and better understand the 'labyrinth' of standards.

SOME CLARIFICATIONS

I believe it is important to highlight that records and information management is based on legislation, compliance, transparency and best practices for recordkeeping activities. Each agency is governed by varying Public, State, Territory and Archives Acts.

Records and information management standards on the other hand are not mandatory. They are voluntary standards which should be considered as examples of professional best practice.

However, some standards can and do instigate regulatory legislation which can vary from state to state and country to country. For example, Integrated Quality Management Systems can

include standards such as ISO 9001 (Quality), ISO 14001 (Environmental), ISO 27001 (Information Security), ISO 45001 (Health and Safety) and ISO 15001 (Energy). Further examples might also include building controls, aircraft engineering, autonomous vehicles, drones, et cetera. There are numerous standards bodies, Table 1 provides a list of some of the main standard bodies. It should be noted that a number of ISO Standards are supported by Technical Committee teams, Technical Reports, Technical Specifications and Publicly Available Specifications. The aim of these committees, technical reports and specifications is to provide agility in changing demands, such as technology drivers. Table 2 provides you will a list so that you can identify the prefixes.

A LIST OF CURRENT AND EVOLVING STANDARDS

The following 4 tables provide an overview of current and evolving standards.

Table 3 covers a wide-ranging list of ISO Standards; Table 4 provides an extensive list of ISO/IEC standards; Table 5 provides a list of Other Standards and finally Table 6 provides a list of standards that are currently in development and incorporates General Data Protection regulation.

NAVIGATING THE LABYRINTH OF STANDARDS

This section utilises a matrix approach that introduces four categories for records and information management, these are:

1. Functional Requirements, Concepts, Principles and Guidelines for planning, implementation, managing and migration of digital records.
2. Business Continuity, System Security, Cyber Security, Risk Management, Governance, Privacy, Auditing, Auditors, Data Management, Interchange and Data Quality for keeping digital records.
3. Technology, Blockchain, Intelligent Process Automation, Artificial Intelligence and General Data Protection for digital records.
4. Data Entity Dictionary (eArchiving), Trusted Third Party Repository, Archives Management, Open Archival Information Systems, Metadata, Preservation, Redaction, Discovery, Evidence, Schemas and Integration for using, archiving and transferring digital records/archives.

The matrix uses a four-step colour palette approach of blue, yellow, green and pink in an attempt to map the relationships between each of the four categories and the standards. See Table 7.

Table 1 - List of some of the main Standard Bodies

STANDARDS BODY
International Organisation for Standards (ISO)
International Electrotechnical Commission (IEC)
The European Standardisation Organisation
Association of Records Managers and Administrators (ARMA)
National Institute of Standards and Technology (NIST)
The American National Standards Institute (ANSI)
Standards Australia
British Standards Institute (BSI)

Table 2 – List of ISO Prefixes

ISO PREFIX	MEANING
ISO/TC	The international organisation for standardisation (ISO) Technical Committee
ISO/TR	Technical Reports
ISO/TS	Technical Specifications
ISO/PAS	Publicly Available Specifications

Table 3 – List of ISO Standards

ISO STANDARDS	
ISO 13008: 2012 Information and Documentation - Digital Records Conversion and Migration Process	**ISO/TR 17068: 2017** Information and Documentation - Trusted Third Party Repository for Digital Records
ISO 15489-1:2016 Information Documentation - Records Management - Part 1: Concepts and Principles	ISO 19011:2018 Guidelines for Auditing Management Systems
ISO 23081-1: 2017 Information and Documentation - Metadata for records Part 1: Principles	**ISO 30300:2011** Information and Documentation – Management Systems for Records – Fundamentals and Vocabulary also supported by TC46/SC11 (International standards and technical reports)
ISO 23081-2:2009 - Information and Documentation - Managing metadata for records Part 2: Conceptual and implementation issues	**ISO 30301:2019** Information and Documentation – Management Systems for Records – Requirements
ISO/TR 23081-1:2017 Information and Documentation - Records management processes - Metadata for records - Part 1: Principles	**ISO 30302:2015** Management Systems for Records – Guidelines for implementation
ISO/TR 23081-2:2009 Information and Documentation - Managing metadata for records - Part 2: Conceptual and implementation issues	**ISO 56002:2019** Innovation management - Innovation management system - Guidance
ISO/TR 23081-3:2011 Information and Documentation - Managing metadata for records - Part 3: Self-assessment method	**ISO 18091:2019** Quality management systems - Guidelines for the application of ISO 9001 in local government
ISO/TR 26122:2008 Information and Documentation – Work process analysis for records	**ISO/TS 8000-1:2011** Data quality - Part 1: Overview
ISO 16175-1:2010 Information and Documentation - Principles and functional requirements for records in electronic office environments – Part 1: Overview and statement of principles	**ISO/TS 8000-2:2018** Data quality - Part 2: Vocabulary
	I**SO/TC 46/SC 11** Archives/Records Management
ISO 16175-2:2011 Information and Documentation - Principles and functional requirements for records in electronic office environments – Part 2: Guidelines and functional requirements for digital records management systems	**ISO 15386:2009** Dublin Core Metadata for resource discovery
	ISO 14721:2012 Open Archival information system (OAIS) for digital repository design
ISO 16175-3:2010 Information and Documentation – Principles and functional requirements for records in electronic office environments – Part 3: Guidelines and functional requirements for records in business systems	**ISO/TR 13028:2010** Information and Documentation – Implementation for Digitisation
	ISO/TR 18492:2005 Long term preservation for electronic storage and access
ISO 22643:2003 Data Entity Dictionary Specification Language (DEDSL) - XML/DTD eArchiving standards European commission	**ISO/TR 15801:2017** Document Management – Electronically stored information – Recommendations for trustworthiness and reliability

Table 4 - List of ISO/IEC Standards

ISO/IEC STANDARDS

ISO/IEC 20546:2019 – Information Technology – Big Data Overview and Vocabulary	ISO/IEC 27013:2015 Information Technology - Security Techniques – Guidelines on the integrated implementation of ISO/IEC 27001 and ISO/IEC 20000-1
ISO/IEC 27000:2018 Information Technology – Security Techniques – Information Security Management Systems – Overview and Vocabulary	ISO/IEC 27014:2013 Information Technology - Security Techniques – Governance of information security
ISO/IEC 27001:2013 and ISO/IEC 27002:2013 Information Technology - Security Techniques (standards bundle)	ISO/IEC 27016:2014 Information Technology - Security Techniques – Information security management - Organisational economics
ISO/IEC 27017:2015 Information Technology - Security Techniques - Code of practice for information security controls based on ISO/IEC 27002 for Cloud Services	ISO/IEC 27017:2015 Information Technology - Security Techniques – Code of practice for information security controls based on ISO/IEC 27002 for cloud services
ISO/IEC 27031:2011 Information Technology - Security Techniques - Guidelines for information and communication technology readiness for business continuity	ISO/IEC 27018:2014 Information Technology - Security Techniques – Code of practice for protection of personally identifiable information (PII) in public clouds acting as PII processors
ISO/IEC 27002:2013 Information Technology - Security Techniques – Code of Practice for Information Security Controls	ISO/IEC 27023:2011 Information Technology - Security Techniques – Mapping the revised editions of ISO/IEC and ISO/IEC 27002
ISO/IEC 27003:2017 Information Technology - Security Techniques – Information security management system implementation guidance	ISO/IEC 27031:2011 Information Technology - Security Techniques – Guidelines for information and communication technology readiness for business continuity
ISO/IEC 27004:2016 Information Technology - Security Techniques – Information security management - Monitoring, measurement, analysis and evaluation	ISO/IEC 27032:2012 Information Technology - Security Techniques – Guidelines for cybersecurity
ISO/IEC 27005:2018 Information Technology - Security Techniques – Information security risk management	ISO/IEC 27037:2012 Information Technology - Security Techniques – Guidelines for identification, collection, acquisition and preservation of digital evidence
ISO/IEC 27006:2015 Information Technology - Security Techniques – Requirements for bodies providing audit and certification of information security management systems	ISO/IEC 27038:2014 Information Technology - Security Techniques – Specification for digital redaction
ISO/IEC 27007:2017 Information Technology - Security Techniques – Guidelines for information security management systems auditing	ISO/IEC 27042:2015 Information Technology - Security Techniques – Guidelines for the analysis and interpretation of digital evidence
ISO/IEC 27008:2011 Information Technology - Security Techniques – Guidelines for auditors on information security controls	ISO/IEC 273013:2018 Information Technology - Security Techniques – Electronic discovery - Part 1: Overview and concepts
ISO/IEC 27009:2016 Information Technology - Security Techniques – Sector specific application of ISO/IEC 27001 - Requirements	ISO/IEC 27701:2019 Information Technology - Security Techniques – Privacy ex-tension - Enhancement to ISO/IEC 27001 for privacy management - Requirements
ISO/IEC 27010:2015 Information Technology - Security Techniques – Information security management for inter-sector and inter-organisational communications	ISO/IEC 38500:2015 – Information Technology – Governance for IT
ISO/IEC 27011:2016 Information Technology - Security Techniques – Guidelines for information management guidelines for telecommunications organisations based on ISO/IEC 27002	ISO/IEC 19757-3:2016 Information technology - Document Schema Definition Languages (DSDL) - Part 3: Rule-based validation – Schematron
	ISO/IEC JTC 1/SC32 - Data management and interchange

Table 5 - List of Other Standards

OTHER STANDARDS

Australian Standards in addition to those above (in numeric order)

AS/NZ 5044-1:2010 AGLS Part 1: Reference Description

AS/NZ 5044-2:2010 AGLS Part 2: Usage Guide

Australian Standards: Handbooks

SA/SNZ HB 168:2017 – Document Control

Defacto Standards

DoD 5015.2 Department of Defense (USA) Electronic Records Management Soft-ware Applications – Design Criteria Standard

ICA -Req Module 3: Training materials – International Council on Archives

Jurisdictional standard

VERS Victorian Electronic Records Standard (Management of Electronic Records (PROS 99/007)

ARMA standards report

Metadata: A Basic Tutorial for Records Managers: An ARMA Standards Report (03-2019)

ANSI-Registered Technical Reports:

Auditing for Records and Information Management Program Compliance ARMA International TR 25-2014

Developing Electronic File Structures ARMA International TR 23-2013

Glossary of Records and Information Management Terms ARMA International TR 22-2016

Implementing Electronic Messaging Policies ARMA International TR 31-2018

Implementing the Generally Accepted Recordkeeping Principles® TR 30-2017

Mobile Communications and Records and Information Management ARMA TR 20-2012

Records Center Operations ARMA TR 01-2011

Retention Management for Records and Information ARMA International TR 27-2015

Secure Management of Private Information ARMA International TR 28-2015

Understanding Electronic Records Storage Technologies ARMA International TR 26-2014

Using DoD 5015.02 STD Outside the Federal Government Sector ARMA TR 04-2009

Using Social Media in Organizations ARMA TR 21-2012

Vital Records ARMA TR 29-2017

Table 6 – Standards currently in Development including General Data Protection

IN DEVELOPMENT

ISO/NP TR 23347 Statistics – Big Data Analytics – Data Science Life Cycle

ISO/IEC WD 27030 - Information Technology - Security Techniques – Guidelines for security and privacy in Internet of Things (IoT) (Title missing)

ISO/IEC WD 27031 - Information Technology - Security Techniques – Guidelines for ICT readiness for business continuity

ISO/TC 307 - Blockchain and distributed ledger technologies

ISO/TC 184 - Automation systems and integration

2755-2017 - IEEE Guide for Terms and Concepts in Intelligent Process Automation

ISO/IEC JTC 1/SC 42 - Artificial Intelligence

ISO/IEC JTC 1/SC 42/AG 1 - Artificial Intelligence Management System Standard

ISO/IEC WD 23053 - Framework for Artificial Intelligence systems using machine learning

ISO 16175-3 – (In progress) Information and documentation – Principles and functional requirements for records in electronic office environments – Part 3: Guide-lines and functional requirements for records in business systems

PROV is currently reviewing the VERS Standard

General Data Protection Regulation 2016/679/EU (GDPR) (also see ISO 27001)

Table 7 – Four-step colour matrix - Mapping relationships between categories and standards

1. Functional Requirements, Concepts, Principles and Guidelines for planning, implementation, managing and migration of digital records.	2. Business Continuity, System Security, Cyber Security, Risk Management, Governance, Privacy, Auditing, Auditors, Data Management, Interchange and Data Quality for keeping digital records.	3. Technology, Blockchain, Intelligent Process Automation, Artificial Intelligence and General Data Protection for digital records.	4. Data Entity Dictionary (eArchiving), Trusted Third Party Repository, Archives Management, Open Archival Information Systems, Metadata, Preservation, Redaction, Discovery, Evidence, Schemas and Integration for using, archiving and transferring digital records/archives.
ISO 13008: 2012	ISO 19011:2018	ISO/TC 307	ISO 22643:2003
ISO 15489-1:2016	ISO/TS 8000-1:2011	2755-2017	ISO/TR 17068: 2017
ISO 23081-1: 2017	ISO/TS 8000-2:2018	ISO/IEC JTC 1/SC 42	ISO/TC 46/SC 11
ISO 23081-2:2009	ISO/IEC 27000:2018	ISO/IEC JTC 1/SC 42/AG 1	ISO 15386:2009
ISO/TR 23081-1:2017	ISO/IEC 27001:2013 and ISO/IEC 27002:2013	ISO/IEC WD 23053	ISO 14721:2012
ISO/TR 23081-2:2009	ISO/IEC 27017:2015	General Data Protection Regulation 2016/679/EU	ISO/TR 18492:2005
ISO/TR 23081-3:2011	ISO/IEC 27031:2011		ISO/IEC 27037:2012
ISO/TR 3081-3:2011	ISO/IEC 27002:2013		ISO/IEC 27038:2014
ISO/TR 26122:2008	ISO/IEC 27003:2017		ISO/IEC 27042:2015
ISO 16175-1:2010	ISO/IEC 27004:2016		ISO/IEC 273013:2018
ISO 16175-2:2011	ISO/IEC 27005:2018		ISO/IEC 19757-3:2016
ISO 16175-3:2010	ISO/IEC 27006:2015		ISO/TC 184
ISO 30300:2011	ISO/IEC 27007:2017		
ISO 30301:2019	ISO/IEC 27008:2011		
ISO 30302:2015	ISO/IEC 27009:2016		
ISO 56002:2019	ISO/IEC 27010:2015		
ISO 18091:2019	ISO/IEC 27011:2016		
ISO/TR 13028:2010	ISO/IEC 27013:2015		
ISO/TR 15801:2017	ISO/IEC 27014:2013		
ISO/IEC 27031:2011	ISO/IEC 27016:2014		
ISO/IEC WD 27031	ISO/IEC 27017:2015		
	ISO/IEC 27018:2014		
	ISO/IEC 27023:2011		
	ISO/IEC 27032:2012		
	ISO/IEC 27701:2019		
	ISO/IEC 38500:2015		
	ISO/IEC WD 27030		
	ISO/IEC JTC 1/SC32		

CONCLUSION

The question "Standards: Have they made a difference? What has been the impact of records management standards, in particular, in public sector agencies?", is worthy of comment. I am of the opinion, that records management standards on their own, is not the only driving force that is impacting public sector agencies. I believe the current situation is an outcome of conflicting exigencies. Demands such as technological advancements and the continued evolution of artificial intelligence, machine learning, big data, cybernetics, smart grids and connected intelligent processes. All of which are fuelled by a constant flow of digital data. Further, the field of Data Science is expanding exponentially with its scientific methods, processes, algorithms and systems that extract insights from structured and unstructured data. The combination of these omnipresent drivers has corroded and continue to erode projects and initiatives due to a combination of factors. Such factors include:

- The overlapping and sometimes conflicting requirements of standards.
- The complexity and interpretation of which standard(s) to apply for a particular enterprise/agency.
- The conflict of priorities and budget cuts for managing records for:
  - the day to day operation of an enterprise/agency.
  - meeting the demands of the labyrinth of legislative and archiving requirements.
- A lack of understanding of the array of terminologies used for different disciplines in the fields of data, records and information management.
- Understanding that different approaches are needed for different enterprises/agencies (no one size fits all).
- The Machinery of Government (MoG).

This article has attempted to answer the questions posed and to highlight some of the overlaps, inconsistencies and challenges caused by the growing range of standards, legislation and terminologies. The article has provided a list of current and evolving records and information management standards. It introduced a matrix to enable one to navigate and better understand the 'labyrinth' of standards. It mapped how these standards might fit together for a business continuity project. It has provided a brief overview of the different legislative jurisdictions and the many terminologies being used in the field for data, records, and information management.

Finally, as we move forward there is a growing need to consider a more holistic approach and hopefully this article has provided some insights. In respect to the question, "What are the right standards for the digital world?" We may need a symposium on digital standards and the way forward. Such a symposium should include representatives from professionals, Standards Bodies, Government Agencies, Legislators, Academia and representatives from evolving areas such as the field of Data Science.

ABOUT THE AUTHOR

LINDA SHAVE, MRIM is acknowledged as a thought leader and architect of change. She is a researcher, consultant and author on topic areas such as intelligent information management, artificial intelligence, robotic process automation, privacy and security. Linda is a gold laureate winner for Government Innovation and has an interest in data science, robotics and quantum computing. Linda is a member of numerous professional organisations.
Contact: linda.bizwyse@gmail.com

Standards – Who Needs Them?

Civilization, society, governmental bodies, companies, and individuals need standards.

BY CRAIG GRIMESTAD

Standards provide stability and are a principal mechanism by which growth occurs and progress is captured as specifications and measures are established. Standards are intended for uniformity, efficiency, completeness, and accuracy, and can be used to identify where an entity needs to expend resources to achieve conformity to requirements. For the innovators among us, standards are also used to identify the advancement provided by the innovation. For those seeking to show the excellence of their work, standards provide a yardstick to identify their performance as measured by the "standard of excellence."

Consider the use of standards in manufacturing. Standards have given us interchangeable parts which allows for mass production, instead of products being "hand-crafted." Standards have also established a path for high-quality parts, improving form, fit, function, and durability. Almost all areas of modern living, including transportation, building, medical, household appliances, and personal care, have greatly benefited from the establishment and utilisation of standards.

Standards exist in many forms with varying degrees of maturity. Some are so time tested and established, that they are effectively beyond debate. Others are less tested and proven, with an opportunity for improvement either by revision or extension. Almost all standards are maintained and advocated by a governing body that has the ability to issue updates. When difficulties arise with the utilisation of standards, it is helpful to establish the cause of that difficulty to establish the best path forward.

Decades ago, the United States initiated an effort to "standardise" with the rest of the world by transitioning to the "metric" standard. Although the US government supported this initiative, it failed. Certain areas including manufacturing, medicine, and the military did largely convert, but retail, construction, and transportation largely did not convert. This has left the US in a dual state, with a mix of customary and metric units becoming utilised.

> ## "Standards exist in many forms with varying degrees of maturity."

While this dual state now generally appears to be workable (today every "home mechanic" needs a set of both SAE and metric tools), it was identified as the cause for the 1999 Mars Climate Orbiter failure. There are many reasons why the full adaption of the metric standard failed in the United States including:

- The transition was not mandatory.
- Society is deeply entrenched in "customary" standards.
- Little or no apparent value for the US population.
- The high cost of transition.

While the maturity of the Metric standard had no part in the failure of its implementation, the maturity and scope of the standard being utilised can be a cause of implementation difficulty.

Care should be taken to assure that the standard is fully applicable and appropriate for the application. If there is uncertainty, or known difficulties, a mechanism to address those issues should be developed to preclude derailing the entire effort. As alluded above, this mechanism might include pursuing a revision to the standard.

Standards exist for the betterment of society. They provide for stability and establish "best practices" for widespread use. If they are difficult to embrace, it would be well for those advocating their utilisation to include "Change Management" practices in their implementation path. If the standards seem too arduous to utilise, proposing revisions to the standard should be considered. To be effective, standards need to be understood, provide value, and be implementable.

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

A Standard Perspective On Records Management

Recording calls, action items from meetings, personal data and many more items involved in business processes are becoming more important and required for public agencies, with the same pace of change being applied to the removal of paper in offices and homes across the globe.

BY DANIEL CHIDGEY

This shift has called for more guidance, and as a direct response, Standards Australia has worked with a range of technical experts to develop industry-backed records management solutions, and where appropriate bring international guidance into the Australian market.

Developing standards is a comprehensive process. With the support of numerous technical experts, our work has been ongoing for many years to make the lives of records management professionals easier.

AN AUSTRALIAN APPROACH TO STANDARDS

The records management sector has a strong international presence, with Australia playing a significant role in developing international standards in this space. In doing so, the national records management sector can be equipped with global guidance on records management systems and techniques.

We have worked with many technical experts to develop several national guidance documents on records management. Below is a sample of some of the projects helping professionals in this space to do their job efficiently and effectively.

SA/SNZ HB 168:2017, DOCUMENT CONTROL

We publish several documents from Australian Standards to Technical Specifications and Handbooks. All are industry developed and go through a consensus-based process, although Technical Specifications and Handbooks are referred to as lower consensus documents and focus more specifically on guidance at a different level.

SA/SNZ HB 168:2017, Document control is a handbook that provides guidelines for processes, procedures and systems for implementing a document control program. A document control program is a critical process for organisations of any size in helping provide an orderly, efficient and accountable process for significant documents.

An example of the benefits of a publication of this nature is its assistance in meeting statutory and contractual obligations for some organisations, and also in providing consistency in the way business-critical information is recorded and managed internally.

According to the handbook, document control can help traceability and movement of business-critical documentation to be captured in a contained and fully auditable manner. Importantly, business-critical documentation is classified as vital records and should be managed as such.

This publication's aim is to be a straightforward document to help these professionals do their business-critical, yet often overlooked, job for their organisation.

AS/NZS 30302:2016 Information and documentation - Management systems for records - Guidelines for implementation

AS/NZS ISO 30302 is the Australian adoption of a part of a series of International Standards, under the general title Information and documentation — Management systems for records, ISO 30302 outlines guidance for the implementation of a management system for records (MSR).

The purpose of this standard is to provide practical guidance on how to implement a MSR within an organization in accordance with ISO 30301. This document covers what is needed to establish and maintain a MSR.

Implementing a MSR is often looked at as a complex project, which takes aim at updating an existing records management system to improve management. Alternatively, a MSR could be rolled out within an organisation that has no existing system of records management whatsoever. This standard aims to clarify process for both situations.

There are many reasons why an organisation would implement a MSR. It can be as a risk reduction measure ahead of organisational change, or outsourcing of processes, or could even be as simple as an organisation deciding to incorporate records management processes in business processes.

With the growing use of e-commerce transactions and social media-based marketing, there will be an increased need for tighter management of records. For professionals in this area of any business, the expectation around new processes being quickly incorporated into a MSR can be helped considerably by following a standard-based MSR, such as one outlined by this standard and other standards in this international series.

Given the breadth of coverage in terms of the size of organisations, standard's processes are able to be simplified for smaller firms while larger firms may find a layered approach a more effective method.

Guidance in this standard is written in the same structure as ISO 30301, and describes the activities required to meet the requirements of ISO 30301 including how to document these actions.

Regardless of the size of an organisation, or the existence of any records management system, AS/NZS 30302:2016 outlines how organisations can go about implementing a records management system in line with international standards in the field. The adoption of this international standard to become an Australian and New Zealand standard means that the technical experts have carefully considered the international standard and its application to our unique market circumstances.

This guidance is for organisations of any size and has specifically been reviewed and adapted to the Australian and New Zealand market with international expertise included along the way. Our role in the international standards system makes this possible and delivers this supportive result to Australian industry.

> "With the growing use of e-commerce transactions and social media-based marketing, there will be an increased need for tighter management of records."

INTERNATIONAL GUIDANCE FOR AN AUSTRALIAN SECTOR

There are international guidance documents published by world-leading experts that the Australian committee views as relevant to the national sector and can deliver great benefit. Below are several examples.

ISO/TS 19475-1:2018 Document management — Minimum requirements for the storage of documents — Part 1: Capture

International standards development also calls on technical specifications to address specific concerns of any sector, and as previously outlined the records management area is not exempt. ISO/TS 19475-1:2018, Document management – Minimum requirements for the storage of documents – Part 1: Capture has been published in 2018 to cover the requirements around capturing the content of electronic records.

As more and more documents are being recorded electronically, and as organisations shift to paperless futures, the management of records will be increasingly important in its early stages to ensure accurate capturing of the record.

Combining the changes in hardware and software in the digital space means that guidance provided by standards is going to be relied upon as more moving parts are introduced into business processes. To address this, the technical specification provides the minimum requirements necessary for operating a document management system to enhance the authenticity, integrity and readability of an electronic document.

Importantly, this document outlines electronic documents that can be required for legal, regulatory or business evidential purposes. Organisations outlining processes for doing this consistently will not only have a greater chance of a better collection of documents, but all the reasons for having a records management system may well be easier met. That is, the document helps organisations following this standard to manage the readability, maintenance and auditability of electronic documents.

> **"As more and more documents are being recorded electronically, the management of records will be increasingly important in its early stages to ensure accurate capturing of the record."**

ISO/TS 19475-2:2018 Document management — Minimum requirements for the storage of documents — Part 2: Storage

While Part 1 of this series aimed at guidance around the collection of electronic records, the second part of ISO/TS 19475 series provides requirements for the storage of documents. Capturing records correctly is vital to start records management process off properly, but the storage of these records is almost the essence of what a records management system is designed to achieve.

ISO/TS 19475-3:2018 Document management — Minimum requirements for the storage of documents — Part 3: Disposal

Naturally, as Part 1 covered collection and part 2 covered storage of records in an organisation, Part 3 covers the disposal of records. Discussion in records management is often around the need for effective processes to be used given the sensitivity of the records or legal requirements around their use. Therefore, the disposal of these types of records is equally, if not more important than their collection and storage.

ISO/TS 19475-3:2018, Document Management – Minimum requirements for the storage of documents – Part 3: Disposal is viewed as the book end to the process and outlines the disposal of records being managed. The term management in this case, refers to the entire life cycle of the records with a strong argument made that effective management goes from collection right through to disposal. Hence, the significance of these three technical specifications in the electronic records sector.

THE IMPACT OF STANDARDS.

With over 7,000 documents in the catalogue of standards and our reliance on the support and technical expertise of nearly 5,000 contributors to our process, we have a major role to play in the development of future guidance for the records management sector.

The small sample of standards listed here show the breadth of coverage from each guidance document, yet the impact that each document can have when implemented in an organisation. Collection of e-records using a standard process, storing them, and disposing of them using the same standard process is a simple way of showing how a standards process right through the records life cycle can make business processes easier.

There is no doubt the sector is changing considerably, and despite more documents being electronic and the reporting requirements becoming more stringent, the development of standards shows no signs of slowing down and the commitment of dedicated experts to help write the standards is unwavering.

A DIGITALLY FOCUSED FUTURE

While the professionals in the records management sector manage a digital transition, we are likewise watching this shift away from a paper-based economy. In late 2019, after many months of consultation we have launched a commercial policy aimed at partnering with innovative developers of Apps and web-based platforms to distribute our content in ways of better value to end users.

The work in delivering this framework is not a run from PDF and hard copy papers, but rather an acknowledgement that like every other organisation in the publishing and content worlds we need to prepare for a digital future while maintaining a presence in hard copy distribution. As delicate as this balance is, consensus-based decisions and stakeholder driven work programs are our daily business. These two criteria will certainly be front and centre as future distribution models are rolled out.

WHAT NEXT AND WHY?

Every sector of the Australian economy is shaped by the use of standards, but also by the commitment of professionals in the standards process.

Our commitment is to continue to work with you to evolve the organisation and to achieve better access, and ultimately better use of standards.

By continuing to work together, the efficiency of the records management industry will go from strength to strength and the sector will continue to innovate and deliver the vital guidance needed by the Australian and international community.

For more information about how to get involved, or for feedback on the standards in the sector please email SEM@standards.org.au

ABOUT THE AUTHOR

DANIEL CHIDGEY is Head of Stakeholder Engagement at Standards Australia. He is responsible for the delivery of strategic engagement and a multitude of relationships with industry leaders and government. Daniel has held various roles in engagement and standards development. He's experiences spans into political and commercial risks, and the policy environment.

Have your say

Records Classification

Records classification has been at the core of records management practice since AS4390, the Australian Records Management Standard, was adopted in 1995. But for almost all of this time, classification has been controversial, facing criticisms about usability, structure and purpose.

BY STEPHEN BEDFORD

Some of these concerns were addressed in the Records Classification Handbook HB 5031-2011 issued by Standards Australia in 2011, yet these concerns are still regularly raised. New trends in technologies and business practices, which were emerging in 2011, have strengthened in the years since. This has led to Standards Australia starting a process of revising the handbook.

THE REVIEW

I have been asked by IT21, the Records Management committee of Standards Australia, to lead a review of the Records Classification Handbook.

What I would really like to do with this article is to let you know what we think are the issues that need to be addressed, but more importantly check if they are the issues that you want guidance and answers to. Sometimes my personal opinions will come through– don't let this stop you commenting if you disagree!

THE EXISTING HANDBOOK

The handbook was the output of theIT21-09 Records Classification subcommittee of Standards Australia (hilariously, Standards reused this number for another subcommittee, thereby breaking its own standard on unique numbering).

Conceptual work was carried out between 2002 and 2009, and was based on thinking of the time. The handbook was completed when Cathy Ashton took over leadership and completed the work.

WHAT IS STILL TRUE?

I've always said that if you describe the work that you do, you describe the records you create and capture when you do that work. Sounds like classification should be easy, but strong anecdotal and empirical evidence suggests this is not so. End users find classification schemes hard to use.

Why is this? The handbook identified particular problems and suggested solutions (see table below).

Generic language required user interpretation and brain power / mental load.	Use specific rather than general language.
Users had to navigate a large and complex hierarchy to get to the correct classification.	Consider shortening or collapsing the hierarchy.
Huge schemes and confusing choices.	Only present terms which relate to an individual or their unit to reduce choice.
Hard to tell who was doing what to whom.	Use action statements to clarify the process.
Written for records staff and disposal authorities, not average users.	Differing presentation formats for different contexts.
Hard to use, for whatever reason.	User consultation and useability testing of products.

As these are problems that we all face, other solutions to useability issues may have emerged in the meantime.

Do you still think that end users find it hard to use records classification? What techniques have you used to address useability?

Why do we classify records? The current version of the handbook states that records classification "enables:

- work to be linked to form a continuous record of activity;
- recording and documenting changes to the way business activity is described;
- meaning to be passed on to those who may not have been directly involved in the business that was undertaken;
- work to be distributed to appropriate people and groups;
- links to security and access permissions to be applied to records; and
- links to disposal periods and actions applied to records."

Because records classification is about identifying the business process that records, there is potential for more uses, such as identifying the reason for collecting personal information under privacy legislation.

Is records classification delivering on its promises? Are there other benefits flowing from using records classification that we should call out?

IT'S NOT JUST DISPOSAL

We do not create records in order to destroy them. We create records in order to be able to understand and prove what happened in a particular case or instance of a business process. Perhaps reflecting the regulatory environments where most of us work, there is an overemphasis on disposal, which you can see in the number of organisations that use disposal schedules to classify. In some cases, this has led to records classification schemes mirroring disposal authorities, even though the purposes and audiences of these products are very different.

ALTERNATIVE STRUCTURES

The original AS ISO 15489 stated that classification should be based on an analysis of "functions, activities and transactions". Many people have interpreted this team mean that records classification schemes have to be structured according to a strict "function – activity -subject / transaction" model, even though that was never explicitly stated. The current AS ISO 15489 clearly contemplates other structures:

"Business classification schemes may be hierarchical or relational, and may consist of various levels of relationships, depending on what best represents the business"

Do you believe that all records classification schemes need to follow function – activity -subject - transaction? Have you experimented with other structures, and how has that worked?

WORK PROCESS ANALYSIS FOR RECORDS

The Handbook contemplated potential structures for records classification other than the traditional top to bottom functional decomposition. One of these was the sequential analysis described in ISO/TR 26122 Information and Documentation – Work process analysis for records. ISO/TR 26122 is not just about giving business context to records through understanding where a record fits in the hierarchy of business activity in an organisation, but it also deals with understanding the business context of a particular record within a particular business process.

Have you used work process analysis for classification? What has your experience been?

Where has the Handbook dated?

> **"Do you still think that end users find it hard to use records classification? What techniques have you used to address useability?"**

RECORDS TITLING

Discussion amongst the IT21-09 group was heavily of the opinion that records classification "was just another piece of metadata", (nevertheless an important one that could determine other metadata values). It was thought that it could be either be a separate metadata element, or appear in the records title. However, the published handbook states that records classification must form part of the title – this concept is out of date. It is also misleading, in that it was referring to records at the aggregation level of a case or file, and it was not intended to cover records of other levels of aggregation.

Should the classification always appear in a records title? At what level of aggregation? Can classification be combined with other metadata elements to form a title, as is sometimes done in faceted classification?

AGGREGATIONS

Speaking of aggregations, records classification can give strong hints (or even explicitly state) how records that relate to a particular process should be aggregated. But the entire concept of aggregation itself is being challenged. Some organisations have experimented with doing away with aggregations. Business systems and collaborative office environments challenge what we understand to be an aggregation.

What aggregation level should records classification be applied to? What does classification mean in a records environment without aggregations?

WHAT ISSUES HAVE EMERGED?
Electronic Records and Business Systems

Records management classification was conceptually formed to cope with an environment where:
- discrete documents were created resulting from a particular instance or case of a business process, and
- these documents were managed together in aggregations.

In a business system the information that makes up a record may be stored as a combination of data in fields in tables, metadata, and documents. Some of these fields maybe reused in completely different applications supporting different business processes of differing levels of sensitivity.

The emphasis of records managers is on the case or instance of a business process, but software vendors may focus their controls on different elements such as fields or tables.

How do you "classify" records in business systems? Is there any point in classifying if the controls which come from classification can't be implemented in a meaningful way?

KNOWLEDGE WORK AND COLLABORATIVE ENVIRONMENTS

For all their difficulties, business systems by their very nature are focused on well mapped out, repeatable business processes. Collaborative environments are concerned with knowledge work, which is less formal and less process driven. Early collaborative environments (shared drives) were document focused, later environments are shifting to the social experience where the emphasis is on chat.

Challenges to classifying records in collaborative office environments relate to business context include:
- Separating low value records (or non-records according to your ideology) from high value business records.
- Understanding which business process created a record in a non-process oriented repository.
- Tying together records to tell a story of what happened if the focus is on individual documents (shared drives), or the "passing show" of chat in (google hangouts, MS Teams or Facebook Workplace).

Can we and should we impose the formal structure of classification on an informal collaboration space? How do we meet some of the challenges outlined above?

> **"Is records classification delivering on its promises? Are there other benefits flowing from using records classification that we should call out?"**

MACHINE LEARNING

Late last century, a large organisation I am familiar with restructured their regional operations from 12 large to 40 small regions and got rid of their records staff. When asked who would manage records, a senior executive stated "computers will solve everything". The Royal Commission followed a year later...

But that was last century. The ultimate promise of AI and Machine learning is to be able to point the technology at an unmanaged repository such as a messy shared drive, an email inbox, or a collaborative space and "sort it out", thereby reducing the need for user involvement.

But what does it mean to "sort out" an unmanaged repository? What does classification scheme designed to be implemented by AI / Machine learning look like? What do we actually want the technology to do?

BUSINESS CONTEXT - "JUST" CLASSIFICATION, OR SOMETHING ELSE?

"The purpose of records classifications not to describe the subject or content of a record. Rather, it is to place the record in the context of the business activity that created it" HB 5031-2011, p4.

We always understood the importance of classification in establishing business context, but this hints at something beyond what our normal understanding. I believe that there are three main types of business context:
1. What Business Process does a record relate to. This is what we traditionally think of as classification. An example is "Licensing Builders".
2. What case or instance of that business process does it relate to. It may be "Bob the Builder's Builder Licence Application".
3. What stage of that business process does it relate to. Is this Bob's licence application before or after it was corruptly messed with by the Fat Controller?

These questions are particularly pertinent when thinking about modern office environments with their collaborative workspaces and business systems.

How well does classification tie records back to business context? Should this handbook be widened include more advice about capturing business context, if that advice is not explicitly about classification?

ENTERPRISE ARCHITECTURE

At the time of the drafting of the handbook, we felt that Enterprise Architecture was an emerging field that was relevant to business classification – we just didn't know how. It is now clear that classification relates to the business layer in enterprise architecture, and that EA documents like Business Capability models perform very similar, if not the same function as classification. This opens up opportunities for collaboration with Enterprise Architects, to share the work, prevent duplication of effort and open up new opportunities.

One of the themes of 21st Century records management is "is records management still relevant?", and "who will replace records managers?". The answer to that question is, I believe, Enterprise Architects. We just have to make sure they do it properly!

FEEDBACK - WHAT DO YOU THINK?

On that cheery note, I'd like to invite you to give feedback on your questions and experiences with records classification. Please feel free to use the questions scattered throughout this article as a guide, but don't limit yourself if there are other issues you would like to see addressed.

Please send your comments and questions to rmclasscomments@gmail.com by 9th April 2020 (to give me something to read over the Easter Holidays!).

ABOUT THE AUTHOR

STEPHEN BEDFORD spent 10 years as an archivist at the Archives Authority of NSW (now State Records), much of that time advising on records management matters. He then decided he probably should become a records manager, to understand what he was advising on.
He has worked at the Reserve Bank of Australia, the NSW Department of Education and Training, the State Library of NSW, and the Australian Broadcasting Authority. He was the chair of the Records Management Classification Subcommittee IT21-09 of Standards Australia, and currently works for the NSW Department of Customer Service, Sydney, NSW.

Looking after yourself

In the recent series of management articles in *iQ*, a range of topics relevant to being a manager have been covered. In this last of the management articles, we turn to perhaps the most important aspect of being a manager and that is looking after yourself.

BY PHILIP TAYLOR MRIM, MA (ARCHIVES AND RECORDS)

Being a great records manager involves more than being able to manage the records of an organisation. As the management series has outlined, being a records manager involves being a manager to others. But more importantly, is managing your own wellbeing. How well do you look after you? You might be good at being a manager but if you don't look after your own health then what's the point?

In recent years increased working hours, job insecurity, long commutes, and technological advances have meant we spend more time on work related tasks, even when we are at home. Many of us are time-poor, and find it difficult to juggle the demands of work commitments with our personal lives. The need to sacrifice personal time is having an impact on major life decisions, continuing education or delaying taking a holiday. Striking a healthy work-life balance is a difficult challenge; however, it is possible to find fulfilment in both your career and personal life.

Alex Elmywood, a noted author in this, suggests that good health can be simply stated as:[1]

Physical wellbeing – reflecting on general overall health and the elements that influence your health. How satisfied are you with things such as exercise levels, nutritious diet, healthy sleep and of course your lifestyle choices?

Emotional wellbeing – when you consider your emotional and mental health, how satisfied are you with your confidence levels, how well do you manage your emotions and your degree of positivity?

Are stress levels manageable and how confident are you in your ability to cope with life's ups and downs?

Intellectual wellbeing – when you consider your personal growth, how content are you with the degree to which you engage in creative and stimulating mental activities to expand your knowledge and skills?

Social wellbeing – reflecting on the people your life (family, friends, professional relationships, the community you live in etc.), how content are you with the level of positive connection and interaction? How content are you with the level of support you receive from others?

Occupational wellbeing – finally, the one that we all strive to achieve – a healthy work-life balance. When you consider the balance of workplace stress and the degree of satisfaction and reward that you get from your occupation (including the financial aspect), how content are you?[2]

WORK-LIFE BALANCE: TIPS TO RECLAIM CONTROL

The Mayo Clinic in the USA offers many practical steps that can be taken if your work life and personal life are out of balance.[3]

There was a time when the boundaries between work and home were fairly clear. Today, however, work is likely to invade your personal life — and maintaining work-life balance is no simple task.

This might be especially true if you're concerned about losing your job due to restructuring, layoffs or other factors. Technology that enables constant connection to work can eat into time at home. Work-life balance can be especially difficult. When does work stop and when do you start to do other things that contribute to your life like, playing with the kids, going out with the family for a picnic or not forgetting your wedding anniversary?

What actions can you take to get the work-life balance back on an equal level? Start by evaluating your relationship to work. Then apply specific strategies to help you strike a healthier balance.

MARRIED TO YOUR WORK? CONSIDER THE COST

It can be tempting to rack up hours at work, especially if you're trying to earn a promotion or manage an ever-increasing workload — or are simply keeping your head above water. If you're spending most of your time working, though, your home life will take a hit.

Consider the consequences of poor work-life balance:

- Fatigue. When you're tired, your ability to work productively and think clearly might suffer, which could take a toll on your professional reputation or lead to dangerous or costly mistakes.
- Poor health. Stress is associated with adverse effects on the immune system and can worsen the symptoms you experience from any medical condition. Stress also puts you at risk of substance abuse.
- Lost time with friends and loved ones. If you're working too much, you might miss important family events or milestones. This can leave you feeling left out and might harm relationships with your loved ones. It's also difficult to nurture friendships if you're always working.
- Increased expectations. If you regularly work extra hours, you might be given more responsibility, which could lead to additional concerns and challenges.

STRIKE A BETTER WORK-LIFE BALANCE

As long as you're working, juggling the demands of career and personal life will probably be an ongoing challenge. But if you can learn both to set limits and look after yourself, you can achieve the work-life balance that's best for you.

Setting limits

You can't manufacture time. If you don't set limits, then work or other obligations can leave you with no time for the activities and relationships you enjoy. Consider these ideas:

- Manage your time. Cut or delegate activities you don't enjoy or can't handle — or share your concerns and possible solutions with your employer or others. Do what needs to be done and let the rest go.
- Learn to say no. Whether it's the boss asking you to spearhead an extra project remember that it's OK to respectfully say no. When you quit accepting tasks out of guilt or a false sense of obligation, you'll have more time for activities that are meaningful to you.

> **"Remember, striking a healthy work-life balance isn't easy. Creating the work-life balance is a continuous process as your family, interests and work life change."**

- Leave work at work. With the technology to connect to anyone at any time from virtually anywhere, there might be no boundary between work and home — unless you create it. Make a conscious decision to separate work time from personal time.
- Take advantage of your options. Ask your employer about flexible hours, a compressed work week, job sharing, telecommuting or other scheduling flexibility. The more control you have over your hours, the less stressed you're likely to be.

CARING FOR YOURSELF

A healthy lifestyle is essential to coping with stress and to achieving work-life balance. Try to:

- Eat a healthy diet. The Mediterranean diet — which emphasises fresh fruits and vegetables and lean protein — enhances the ability to retain knowledge as well as stamina and wellbeing.
- Get enough sleep. Lack of sleep increases stress. It's also important to avoid using personal electronic devices, such as tablets, just before bedtime. The blue light emitted by these devices decreases your level of melatonin, the hormone associated with sleep.

- Make time for fun and relaxation. Set aside time each day for an activity that you enjoy, such as practicing yoga or reading. Better yet, discover activities you can do with your partner, family or friends such as walking, dancing or taking cooking classes.

KNOW WHEN TO SEEK PROFESSIONAL HELP

Everyone needs help from time to time. If your life feels too chaotic to manage and you're spinning your wheels worrying about it, talk with a professional such as a counsellor or other mental health provider. If your employer offers an employee assistance program, take advantage of available services.

Remember, striking a healthy work-life balance isn't easy. Creating the work-life balance is a continuous process as your family, interests and work life change. Periodically examine your priorities and make changes, if necessary to make sure you're keeping on track.

WORK-RELATED STRESS AND BURNOUT

When the pressure at work becomes unmanageable and challenges a worker's ability to cope, it leads to stress. While some workplace stress is normal, excessive stress can interfere with a worker's productivity and performance, impacting physical and emotional health, and affecting relationships and work-life balance. Work-related stress has been associated with increased rates of heart attack, hypertension and burnout. Burnout is a state of emotional, mental, and physical exhaustion caused by excessive and prolonged work-related stress. The negative effects of burnout manifest in all aspects of life, including your home, work and social life.

WARNING SIGNS OF AN UNHEALTHY WORK-LIFE BALANCE

- Working long hours and taking work home.
- Regularly checking your phone for work-related communications during downtime.
- Regularly working through lunch.
- Not making yourself available to others and relationships struggle as a result.
- Neglecting other aspects of your life because of work commitments.
- Feeling tired a lot and having difficulty sleeping.
- Regularly feeling physically and emotionally drained during and after work. Feeling unhappy or resentful about the amount of time spent at work.
- Spending an inordinate amount of time thinking or worrying about work.
- Feeling you have no time for any activities besides work commitments.
- Regularly pulling out of or saying no to social engagements.

Do many of the warning signs resonate with you? If so then your work-life balance may be out of kilter. It is important that, where possible, any imbalance is addressed to avoid negatively impacting on physical and mental wellbeing. While work is a crucial and rewarding part of our lives, it can become so all-consuming that we neglect other, equally crucial aspects of life. A balance needs to be struck which adequately addresses work commitments, with home life and developing fulfilling relationships

with others. The correct balance will be different for each individual, depending on their priorities and the life stage they are at.

Work can be stressful. There's nothing wrong with a bit of pressure to push us to do our best. There are going to be tight deadlines, busy periods and the occasional hiccup. But there's a big difference between a little bit of stress and an overwhelming amount.

One in eight Australian men will experience depression and one in five will experience anxiety in their lifetime. Men are at least three times more likely to die by suicide than women. And overall, men are less likely to seek help for mental health conditions than women.

Like our physical health, it's important to look after our mental health too. Whether it's our own mental health or looking out for signs of poor mental health in our workmates, friends or family, we all play a role in looking out for each other.

TIPS TO HELP LOOK AFTER YOUR MENTAL HEALTH

The Beyond Blue organisation https://www.beyondblue.org.au/ identifies a number of signs that point to concerns regarding your mental health. Everyone has ups and downs, but if you're feeling stressed or worried for no particular reason or notice changes in your mood, thoughts or behaviour for more than a few weeks then it might indicate that you could do with some extra support.

WORK LIFE

> "One in eight Australian men will experience depression and one in five will experience anxiety in their lifetime. Men are at least three times more likely to die by suicide than women. And overall, men are less likely to seek help for mental health conditions than women."

Signs and symptoms of mental health issues include:

- feeling sad, empty, down or miserable,
- feeling tired all the time,
- changes in your weight (more or less),
- feeling angry, aggressive or irritable,
- loss of interest in, or avoiding activities you used to enjoy,
- feeling panicked, restless, tense or on edge,
- excessive worry or fears,
- using alcohol or other drugs.

LOOK OUT FOR YOUR WORKMATES

If you're concerned about a colleague, asking if they're "okay" is a simple way to start. They may be happy and relieved to talk. If not, you may need to do the talking. Explain your concerns and let them know you are here to help.

It can be useful to talk about a specific event, rather than things in general. Acknowledge the challenges they face and draw their attention to their strengths and achievements. You might offer some practical help if they want it. Sharing your own experience is very important. Be curious and share something of yourself. The biggest barrier for men seeking help is feeling alone.

A conversation can make the difference in helping someone feel less alone and more supported, no matter where you have it. Don't underestimate the power of just 'being there'.

TAKE ACTION

In many ways, mental health conditions are no different to physical ones. Many people will experience mental health issues at some stage in their life. And just like a physical illness, there is treatment or support to get better and the earlier you get help the better.

WHERE AND HOW CAN I ACCESS HELP?

If this article raises issue that are of concern to you, there are a number of organisations that offer assistance.

- **Life Line 13 11 14 https://www.lifeline.org.au/**
- **Beyond Blue 1300 22 4636 https://www.beyondblue.org.au/**

ABOUT THE AUTHOR

PHILIP TAYLOR joined the Qld Branch in 1992 after relocating from Victoria. He became a Branch Councillor in 1993 and in 2001 became Branch President, a position held until 2007. Philip had a long held interest in education for records management staff and was Qld Branch Education Co-ordinator for many years. Philip is currently a member of the Editorial Committee for *iQ*. His career in records management spanned over 35 years in both state government and higher education sectors. Now retired, he enjoys travelling and perusing a number of other interests. His interest in records management still remains especially in the area where records management interact with public policy issues. He was awarded Life Membership of the RIMPA in 2006. He has been a member of the former RMAA and RIMPA since 1974.
Contact: philip2013@bigpond.com

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Digital hoarding, digital nightmare –

digital disposal!

The amount of information retained by agencies that has no value and is classified as redundant, obsolete or trivial (ROT) varies from 50 – 85%. In the State of Government Recordkeeping Report 2017 – 2018 the NZ Chief Archivist advised that only 50% of all agencies had a Disposal Authority. Many agencies do not have an ongoing and robust programme to reduce the digital clutter.

BY KERRI SIATIRAS AND CRAIGIE SINCLAIR

Imagine a world where all digital information has identified disposal dates and a streamlined process for managing that information throughout its lifecycle. And if you can imagine that, then how about imagining a world where the timely deletion of information occurred, and the digital information of long-term value was preserved appropriately.

The technology exists for this. The information management practice and experience exist for this.

What's stopping us? Just why does it appear so hard to carry out disposal in an electronic world?

There are many hurdles, but often we come across information management (IM) professionals who don't manage to get past the first one - convincing the team managing the digital storage space and systems that disposal of digital information is essential. Advice given to senior management from our ITS colleagues often fails to include the IM requirements and IM is not embedded in policy, procedure and business as usual activities.

ARGUMENTS AND RESPONSES

Outlined in this article are some of the points that have been raised by our IT colleagues and some of the IM responses. The responses are not comprehensive but are designed to give ideas on ways that you may be able to respond. Let us know your views – and any success stories you have had!

ARGUMENTS WE'VE HEARD
"Why wouldn't you keep it all? Data analytics and AI will enable us to make use of the information"

IM RESPONSES COULD BE: We could – but this may not be a blanket solution. In NZ the Privacy Act requires us to only retain personal information for as long as we have a business need for it. We need to develop a disposal routine that is appropriate for the information we hold.

"Storage is cheap"

IM RESPONSES COULD BE: Right! Storage may be cheap but it's the cost of ongoing storage management that is the concern. For example, storage management includes:
- Staffing costs for evaluating, purchasing, deploying, configuring and maintaining the storage systems;

- Cost of office space and running costs for the storage systems such as electricity prices;
- The costs of disk redundancy. There is an overhead with disk storage space. To obtain 50 terabytes of usable storage, for example, your organisation will have to purchase more than that;
- Replacement cost of storage systems and migration of information and data from old to new systems;
- Back up costs. Knowing your backup costs are a useful metric for IM professionals;
- Staff time costs as staff are unable to find the information and records that they need to do their jobs because of the clutter!

"Our stuff is in the cloud – it's not an issue"

IM RESPONSES COULD BE: Most cloud storage options are priced by the amount of space used. Over time the amount of space used will increase unless information is regularly deleted.

Use of cloud services raise issues such as:
- Understanding legal jurisdiction. Depending on where the information is stored, you will need to understand what the legal issues are that may arise.

- Cost of carrying out deletion processes to comply with relevant information and records management standards. Is this even possible with the cloud tools being used?
- Trusting that the storage provider will take due care with your information and data. Do you know how it's being used, who has access to it, and whether deleting something actually deletes it permanently?
- Facing the risk that, at any stage, cloud providers will increase costs.
- Consider that there is the possibility that there will then be a decision to make a blanket deletion of information and records to reduce storage costs (remember when organisations used to do that with emails and shared drives?).

"But we may need it for longitudinal reporting"

IM RESPONSES COULD BE: Absolutely - some information or data sets may be needed for longitudinal reporting. For such reporting to have integrity and reliability it should be possible to identify exactly what information is needed and take measures to ensure that that information is available long term.

"But we might need it" (for reasons we have not thought of but just in case)

Or **"Why would you delete it? It may prove to be the equivalent of Galileo's diary"** (i.e. considered worthless in the day, but now understood and recognised as a significant scientific leap forward)

IM RESPONSES COULD BE: As with any information (whether in digital form or not) the reasons for retaining it must be as well understood as the reasons for deleting or destroying it. Understanding the reasons for retaining information should be a conscious decision – not an excuse for not managing it.

For public sector agencies there are other considerations with regards to the information they store:
- New Zealand agencies must be able to maintain it in an accessible form as required by the Public Records Act 2005, Part 2, Section 17 (2)
- In Australia and NZ they must also be able to search and retrieve it in response to requests made under the Official Information Act or the Freedom of Information Act and the Privacy Acts.

This means that organisations must ensure that information and records retained are accessible for as long as it is held – not just for as long as the information is legally and administratively required!

"Our systems don't enable us to delete records"

IM RESPONSES COULD BE:

Now, this is a real issue. Many systems have been designed for record creating but not record keeping. Some corporate business systems are not capable of or even allow systematic disposal in a manner that sits well with IM practices and organisational compliance obligations.

So that's where other options must be considered when migrating data or changing to a new business system. Building these decisions into your IM framework means when the business system is being replaced or upgraded that the process must become part of the project. In the longer-term embedding IM requirements into process development and system requirements may eliminate this problem.

"Deletion costs too much"

IM RESPONSES COULD BE:

This is the consequence of information and records being seen as an overhead - not as a strategic asset. How many times have you heard of systems being rolled out without engaging the expertise of IM professionals in the organisation to discuss the content being managed?

Well-managed information enables organisations to deliver services effectively, efficiently and consistently. Conversely, poorly managed information means organisations waste time, effort and energy.

"Information by design slows down the delivery of products"

IM RESPONSES COULD BE: On the contrary, well-designed finding and disposal methods accelerate delivery. Implementing technical IT roll outs without considering IM requirements makes it harder – and much more expensive – to implement systematic disposal at a later date.

It also creates a retrospective compliance burden which in turn increases the organisation's risk profile.

IM REQUIREMENTS FOR SYSTEMATIC DISPOSAL

If we look at the digital hoarding question purely from an information and records management perspective, there are many reasons to put in place regular and systematic disposal of digital information. Such as:

> "Good information and records management can increase revenue and can have a quantifiable value that is both marketable and saleable."

IM REQUIREMENTS

Legal compliance

EXAMPLE: In NZ, to comply with the Public Records Act and across Australia to confirm with state and federal recordkeeping legislation. Plus, the Official Information Act, the Freedom of Information Act and the Privacy Acts in each country.

Risk management

EXAMPLE: n general terms the most convincing counter argument to retaining digital information in bulk is risk management.

Where the information held, for example personal data, is of high risk to the organisation, developing relationships with the risk team will give traction to systematic disposal when legally required. Including the lack on disposal on your risk register will also raise the issue with your senior leadership team.

Better information security

EXAMPLE: Systemic disposal of digital information also reduces the organisation's vulnerability to cyberattacks.

Systematic disposal is best practice

EXAMPLE: Following best practice advice and guidance from local official archival institutions.

Seek reduction in direct costs

EXAMPLE: Keep a look out for redundant hardware, network and management needs and therefore costs.

Reduction in the amount of information to back up each day

EXAMPLE: One organisation Kerri worked with had never deleted anything from their electronic document and records management system because they had never turned that functionality on. After five years back-ups could not be completed outside of business hours.

Certainly, that was a strong signal to look at a new tool, but also a signal about their information management practices. Getting rid of unnecessary information is just as much part of managing information as protecting the information of longer-term value.

Reduced migration costs

EXAMPLE: Reduction in the amount of information and therefore the costs to migrate it to new systems and platforms over time.

Ability to identify archival value digital information

EXAMPLE: Greater chance of identifying information of archival value so it can be managed appropriately.

Data debt / information management debt

EXAMPLE: Data debt is the deferred cost of managing data. What would the cost be to retrospectively apply systematic management and disposal to your organisation's information?

Being able to find information and records when needed

EXAMPLE: If staff are unable to find information and records there is wasted time spent looking for information, duplication of information, re-creation, inconsistent processes, and no confidence in the correct version to support senior management decision-making.

Regular disposal increases the speed of access for the discovery of high value information and /or for information requests.

Clarity on authoritative data sources

EXAMPLE: For data sources used for reporting and analytics to inform strategy and operational delivery agencies and staff need to understand what information should be stored and where - reducing effort and duplication.

Sustainability

EXAMPLE: It is estimated that between 3 – 5% of the world's energy is used by computers currently – and some experts are estimating this could rise to 20% by 2025 . While the majority of usage is from streaming services and the internet of things, implementing systematic disposal supports a sustainable approach to business and reduces our carbon footprint.

> "Maintaining digital hygiene is simply good practice - it reduces risks and enables agencies to be efficient, effective, and accountable."

MEASUREMENT

To support our colleagues and our profession we can focus on how to measure our impact in a way that provides our organisations with quantifiable metrics. While writing this paper we noted the lack of metrics to support our arguments – while we think they are true, without real metrics we cannot prove our value. Good information and records management can increase revenue and can have a quantifiable value that is both marketable and saleable. It can create business opportunities for our organisations, but the lack of key metric tools and analytics for this discipline means our business cases and project portfolios are poorer for not having accurate metrics and return on investment (ROI) figures.

Maintaining digital hygiene is simply good practice - it reduces risks and enables agencies to be efficient, effective, and accountable. Part of good information management is to thoroughly understand the information created by our agencies, why it is created and where it is stored. We also need to understand what the risks are to the agency if we over-retain information that should be deleted (for example personal information covered by our Privacy Act).

We will know when IM principles are embedded when they are part of business as usual and ingrained into our organisational project portfolio management and delivery. In the meanwhile, we still have some way to go with some of our IT colleagues in developing an enduring understanding of IM principles and a consistent level of stakeholder engagement that ensures we all have an equitable seat at the table.

ABOUT THE AUTHORS

KERRI SIATIRAS is an independent Information and Records Management consultant. She has extensive experience as both a practitioner and consultant and loves bringing her passion for "organising stuff" to life in her projects. Kerri began working in information management roles in 1991. She was recently awarded the RIMPA NZ Branch Outstanding Individual Award for 2019. **Contact: kerri@siatiras.co.nz**

CRAIGIE SINCLAIR is the Manager, Information and Records Management at Victoria University of Wellington. As a reformed librarian she has many years' experience in information and records management, working for the last 15 years in higher education. **Contact: craigie.sinclair@vuw.ac.nz**

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Queensland Chapter Hosts Two-Day Conference

BY MICHELLE ROIGARD,
MARKETING & SPONSORSHIP OFFICER

The Qld Chapter values knowledge. We embrace opportunities to network and hear from people from around the country and learn about case studies, upcoming trends and welcome newbies to the industry.

From 30 October – 1 November 2019, the Qld Chapter held a two-day conference at The Sebel Pelican Waters Gold Resort and Spa in Caloundra. The conference kicked off with a meet and greet at the welcome reception, sponsored by Records Solutions. We were fortunate to meet the newest member of the RIMPA team, 'OwlMember', who travelled to Caloundra to support us. The welcome reception provided an excellent opportunity for everyone to interact, develop and strengthen relationships with fellow delegates and catch up with colleagues.

Day one of the conference started with an address to all delegates by Meryl Bourke, the Qld Chapter President.

Gabrielle Ingram, Manager, Productivity & Information Management from Griffith University presented, *Evergreen is the new black – A whirlwind tour into information governance and the office 365 ecosystem*. Gabby's presentation provided a whistle-stop tour of the information governance options available in O365 and shined a light on the opportunities available to re-image what IM practitioners look like in an organisation. Gabrielle engaged the audience with facts, ideas and food for thought around O365.

Cathaye Robertson, Senior Policy Officer, Queensland State Archives, who delivered a presentation on *Ghost in the Machine* (beyond eDRMs and AI), suggested that eDRM's have been the gold-standard of recordkeeping applications for years, yet face a number of problems from cost to adoption. Cathaye discussed moving away from eDRM's and the great opportunities AI could have for records management in the future.

Following morning tea keynote speaker, Kim Skubris, a freelance reporter, presented on the power of storytelling.

Kim spoke about how storytelling builds relationships, trust, and drives business and left delegates with some key messages:

- Fear of the tongue.
- Everyday people doing extraordinary things.
- Tell stories.
- Consider your communication and your audience.
- What is your kryptonite?

Peter Cantwell, Assistant Ombudsman, Queensland Ombudsman, presented a journey in highlighting the recordingkeeping issues identified during an Ombudsman investigation about allegations about the care of persons detained at the Forensic Disability Service (FDS). The details revealed in the public report and presented by Peter reaffirmed the importance of recordkeeping and it's relevance in business.

Over lunch, sponsored by Grace, Lucy Schelberg was presented with her Chartered Member status.

John van der Zant – Managing Director, CorpMem delivered a case study about a hard copy appraisal project undertaken at the Croydon Shire Council. John explained the many challenges faced by small regional councils in remote parts of Queensland in managing records and information. The project saw physical records that were being stored in containers moved and digitised.

RIMPA OwlMember with conference delegates

Lucy Schelberg

Photo Booth

Schynayne Portch, Recordkeeping Trainee from Burke Shire Council, joined John on stage to give us an insight into her journey in becoming involved in records and what a typical week looked like for her at Burke. Schynayne was sponsored by RIMPA Qld to attend the conference, an annual initiative introduced three years ago.

Our last speaker was Demos Gougoulas, Director, Sales & Marketing at EzeScan. Demos shined a light on capture in the age of digital and that regardless if it's hard copy or digital born, the issues are the same. People generally name documents silly names and file them where they can't be found!

Janine Morris, Chris Simpson and Nicholas Fripp

A Halloween-themed networking dinner saw the majority of delegates dressed to impress. Congratulations to Janine Morris MRIM who was awarded the Chris Simpson Award - Outstanding Individual as part of the RIMPA Qld Excellence Awards for her contribution to the industry. Janine was presented with the award by Chris Simpson and Nicholas Fripp from iCognition.

Martine Harkin, Director, Leading Teams, opened day two of the conference. Martine held an interactive session that provided tools to help us learn more about our clients and how to get the best out of our teams. Martine told us how the best leaders have a strong awareness of 'self first'.

We welcomed business coach, Kate Osborne, who spoke about adapting to change through disruption and guided delegates through a workshop. Kate asked 'who are you really?' and explained the fastest way she achieved collaboration in winning teams that faced change. Communication is key to creating an environment where people can thrive and collaborate. She illustrated 10 key steps to collaboration and the 'soul model'.

Megan Cappelleri, Practice Manager Enterprise Information Management, at Datacom, provided insight into how to be a mentor and give the best to your mentee. She highlighted the importance of ensuring that you match the right mentor with the right mentee. A key takeaway in having a successful mentor/mentee relationship is to 'set your boundaries'.

Lastly, we heard from Muhammad Hamza Faheem from Rapid7. Muhammad presented on the *Essential Tenets of Secure Information Management*. Muhammad discussed how records and information management is the core of any society, organisation and management system.

Bringing in modern technology and cloud services and security risk to your organisation is essential. He further highlighted the risks involved in cyber security and how to avoid the pitfalls.

The Qld Chapter delivered an inspirational event that was jam-packed with in-depth sessions on the importance of keeping records and where records and information management is going in the future plus insights into managing teams.

Change is happening and will continue to happen and we need to embrace the technologies that are changing and challenging our way of processing information and records.

We'd like to sincerely thank our sponsors for their support: EzeScan, TIMG, Records Solutions, Neopost, iCognition, Grace, ZircoDATA, CorpMem and Kodak Alaris/ACA Pacific.

SAVE THE DATE!

The Qld Chapter Conference will be held in Townsville on 27-29 May 2020, during Information Awareness Month.

CHECK THE RIMPA EVENTS CALENDAR FOR DETAILS

AVEPOINT

AvePoint accelerates your digital transformation success. Over 16,000 companies and 6 million SharePoint and Office 365 users worldwide trust AvePoint software and services for their data migration, management, and protection needs in the cloud, on-premises and hybrid environments.
Contact: Joanne Chang
Email: joanne.chang@avepoint.com
Phone: 0432 660 196
Address: Level 11, 459 Collins Street,

BROLLY

Brolly is proudly Australia's first comprehensive social media archiving and engagement service. Brolly has been built to archive digital-born records securely and efficiently. Our service gives you the confidence to ditch the spreadsheets, knowing your records are being managed securely.
Contact: Carla Kavanaugh
Phone: 1300 797 633
Email: carla@brolly.com.au
Address: Level 3, 21 Victoria Street, Melbourne, Vic 3000 Australia

CASTLEPOINT

Castlepoint is a complete records and information management solution for all of your electronic records, in any of your business information systems. It uses AI to register, classify, sentence, and manage the lifecycle of all records from a single interface, and provides a security overlay for audit, governance and discovery.
Contact: Gavin McKay
Chief Technology Officer
Mobile: +61 404 151 729
Phone: 1300 996 905
Email: gavinm@castlepoint.systems
Contact: Rachael Greaves
Chief Information Officer
Mobile: 0488 114 767
Phone: 1300 996 905
Email: rachaelg@castlepoint.systems

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CorpMem Business Solutions provides a wide range of services focused on improving your business by reducing the cost of delivering records management while at the same time improving efficiencies. CorpMem converts their clients' corporate memory into a knowledge asset.
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Email: info@corpmem.com.au
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Document management professionals turn to DocsCorp when they are looking for easy-to-use software that empowers them to work safer and smarter. Our product portfolio includes email recipient checking, metadata cleaning, document comparison, PDF creation, and image file conversion to PDF, which can be accessed on the desktop, server or cloud.
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Phone: +1300 559 451
Email: info@docscorp.com

EZESCAN

EzeScan is one of Australia's most popular production capture applications and the software of choice for many Records and Information Managers. Solutions range from v production records capture, highly automated forms and invoice processing to decentralised enterprise digitisation platforms which uniquely align business processes with digitisation standards, compliance and governance requirements.
Contact: Demos Gougoulas
Director Sales & Marketing
Phone: 1300 393 722
Email: sales@ezescan.com.au
Web: www.ezescan.com.au

ELO DIGITAL OFFICE

ELO Digital - a global ECM company with Australian expertise! Servicing more than 1,000,000 users in over 40 countries. With more than 30,000 live projects the ELO product suite provides process enhancements, stability and compliance. The Australian based subsidiary delivers 1st class solutions for EDRMS, DMS, SharePoint integration and much more. ELO is available "as a service" or CAPEX solution. In the cloud or on premise, ELO has a fast ROI. ELO provides consultancy, development and support services from its offices in Australia. ELO is a Federal, State and Local Government supplier compliant with Australian standards as well as GDPR and FDA requirements.
Web: www.elo.com/en-au
Email: r.krause@elodigital.com.au
Phone: (02) 94600406

GRACE INFORMATION MANAGEMENT

Grace Information Management offers an accredited, secure and trusted records and information management service that is constantly evolving to meet the ever-changing needs of information management professionals. Our range of services are provided nationwide and encompasses the secure storage, transportation, digitisation and confidential destruction of your valuable information with strict compliance to Australian Standards.
Contact: Emily McLeod
Phone: 02 9838 5711
Email: emcleod@grace.com.au
Address: 9 Hepher Road, Campbelltown, NSW, 2560

IRON MOUNTAIN

Iron Mountain Incorporated (NYSE: IRM), founded in 1951, is the global leader for storage and information management services. Trusted by more than 225,000 organisations around the world, and with a real estate network of more than 85 million square feet across more than 1,400 facilities in over 50 countries, Iron Mountain stores and protects billions of valued assets, including critical business information, highly sensitive data, and cultural and historical artefacts.
Contact: Anita Pete
Phone: 02 9582 0122
Email: anita.pete@ironmountain.com
Address: Level 2 170-180 Bourke Road Alexandria NSW 2015

INFOMAYA

InfoMaya is a Canberra based, Enterprise Information Management Advisory consultancy. We work with our clients to achieve their organisation's information and data management goals and legislative compliance requirements. Not only do we work with our clients, we also have the capacity to mentor and up-skill our client resources to confidently continue on their organisation's information and data management maturity journey.
Contact: Chathra Wickramasinghe
Phone: 0433 812 015
Email: chathra@gmail.com

INFORMATION PROFICIENCY

Information Proficiency is a Records & Information Management specialist providing a full range of services and software. We also develop our own range of productivity and connectivity tools. Our team are experienced practitioners and can assist with anything information management. We work hard to understand our client requirements, and implement solutions to match. Services available in all States & Territories.
Website: www.infoproficiency.com.au
Email: info@infoproficiency.com.au
Phone: 08 6230 2213

I-SIGMA

The International Secure Information Governance & Management Association™ (i-SIGMA™) is a non-profit watchdog organization, enforcing standards and ethical compliance for approximately 2,000 secure data destruction and information management service providers on six continents. Formed by the merger of the NAID® and PRISM International™, the association currently maintains the world's most rigorous and widely accepted data-security vendor-compliance certifications with hundreds of government and thousands of private contracts using the programs to meet their regulatory due diligence requirements.
Contact: Robert Johnson
Phone: +1 602 788 6243
Email: rjohnson@isigmaonline.org
Address: 3030 N. 3rd Street, #940, Phoenix, AZ, 85012, USA

KNOSYS

Knosys is the Knowledge Management platform that empowers employees with the ability to deliver better customer experiences. Our KM solution is called KIQ Cloud and it makes your company knowledge make sense - organising unstructured data and delivering up-to-date, accurate and relevant records and information instantly, exactly when it's needed. Our platform incorporates smart-search technology through machine learning and improves productivity, governance and compliance throughout your organisation. Knosys is your single source of truth, engaging staff and delighting customers.
Phone: 03 9046 9706
Email: ekuchel@knosys.it
Address: Level 8, 31 Queen Street,

MICRO FOCUS

At Micro Focus we help you run your business and transform it. Our software provides the critical tools you need to build, operate, secure, and analyse your enterprise. By design, these tools bridge the gap between existing and emerging technologies—which means you can innovate faster, with less risk, in the race to digital transformation.
Contact: Aylin Dinscoy
Phone: 0416 223 226
Email: dincsoy@microfocus.com
Address: Level 8, 76 Berry St, North Sydney NSW 2060

NATIONAL ARCHIVES OF AUSTRALIA

The National Archives of Australia can best be described as the memory of our nation – collecting and preserving Australian Government records that reflect our history and identity. Our collection traces events and decisions that have shaped the nation and the lives of Australians. Visitors are welcome to explore our collection, online or in person, to learn more. As well as preserving our history, the National Archives plays a key role in helping to ensure the Australian Government and its departments are effective and accountable to the people.
Contact: Johannah Wilson
Phone: 0412 556 348
Email: Johannah.Wilson@naa.gov.au
Address: 13 King George Terrace Parkes ACT

SHRED-X

For 20 years Shred-X Secure Destruction has been the number one choice for confidential secure destruction, document shredding, office paper recycling and destroying sensitive data. We understand that protecting the privacy of your organisation's sensitive data and private information is paramount. As the leaders in the Document Destruction industry, we implement a strict Quality Assurance program, ensuring that your sensitive data is in the best of hands.
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Email: Jake.Ferguson@shred-x.com.au
Phone: 1300 747 339 ext 103

RECORDS SOLUTIONS

Records Solutions is an Australian owned company, founded in 1994 by Records Management Professionals. We provide records and information management solutions and services to the public and private business sectors. Our services are developed and delivered in accordance with a Quality Management System.
Contact: Keith Davis
Phone: 0488 661 305
Email: admin@rs.net.au
Address: PO Box 3194 Victoria Point West Qld 4165

PUBLIC RECORDS OFFICE VICTORIA

Public Record Office Victoria (PROV) is the archives of the State Government of Victoria. We hold around 100kms of records dating from 1830s right up to the present day. Our impressive collection includes records of immigration and shipping, criminal trials and prisons, premiers and governors, royal commissions, boards of inquiry, wills and probates and much more. These records hold stories of the key events and decisions that have shaped the history of the State of Victoria.
Contact: The office of PROV
Phone: 03 9348 5600
Address: PO Box 2100, North Melbourne, VIC 3051

Save the Date!

MARCH

NEW ZEALAND	11 March: Re-launch of NZ Branch
DARWIN	19 - 20 March: Training Day and 1 Day Seminar: Reuniting with RIMPA
CANBERRA	27 April - 2 May: International Summit
ADELAIDE	8 May: Future Proofing Information Management
NEW ZEALAND	13 May: One Day Seminar and Awards Dinner
VICTORIA	22 May: One Day Seminar
QUEENSLAND	27 - 29 May: Conference

MAY

INTERVIEW WITH

Carolyn Atkinson MRIM

Carolyn Atkinson has worked in the records and information management arena in various government departments for many years. In 2001, she completed a Bachelor of Applied Science - Records Management at Curtin University.

Carolyn has worked in senior records and Information Management roles and is currently a recordkeeping consultant at the State Records Office in Western Australia.

Carolyn's distinguished career recently saw her achieve Chartered Membership status. In 2019, Carolyn was appointed to the role of President of RIMPA's WA Branch.

You've worked for seven State Government Agencies in an Information Management environment. Why were you drawn to this career path?

I found myself in the Information Management field in my first full-time job after completing Year 12 and realised I had an aptitude for the work which I thoroughly enjoyed. I like to be organised and I truly enjoy interacting with people. I loved it so much that when the opportunity arose I studied and turned my job into a career!

During your career you've cultivated knowledge and experience in all facets of Information Management. Which areas particularly interest you?

I love all areas and enjoy sharing my knowledge and interacting with colleagues by helping them understand why records are so important. This has led to my love of developing and delivering training sessions and being involved from the ground up with new projects.

What do you hope to achieve for the WA Branch in your role as president?

I look forward to the continuing success of the RIMPA WA Branch and building on those positive foundations to raise the WA presence so that members want to continue being involved with the association. I am also enthusiastic to explore opportunities for regional WA.

List three career highlights of your association with RIMPA?

Being part of the RIMPA community and networking with industry colleagues while keeping up-to-date with trends has truly been a highlight.

I clearly remember my first interstate RIMPA Conference in Sydney in 2008. Flying over the Sydney Harbour Bridge on the descent into Sydney airport was breathtaking and a sign of the awesomeness and excitement to follow at the conference.

Becoming a member of the WA Branch Council in 2018 (I should have done it years ago!) and of course, now being the President of the WA Branch Council.

What are the key attributes of a great records officer?

To be a great records officer you need to love what you do and be knowledgeable in your field. In this arena we need to be excellent communicators, be a team player, have extremely good interpersonal skills, be approachable, helpful, flexible, patient and have an eye for detail.

Thank you, Carolyn.

profile

R
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relationships

records

resources

recognition

industry standards

ideas

information

international

innovation

member benefits

management

mentoring   meetings

membership

policies   people

professional
development

partnerships   promote

advocacy   advance

australasia   alliances

advice

affiliations

access

RIMPA