THE VALUE OF INFORMATION

Unlocking the value of information
Thinking differently about IM
inForum 2016

+ Introducing the revised RM standard ISO15489

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Kate Walker, Chief Executive Officer, RIM Professionals Australasia

The value of RIMPA

There is no better vehicle than RIMPA to help you build knowledge about records and information management (RIM) and establish great relationships in the RIM community.

Joining RIMPA is an investment in yourself and your career. Getting involved early and building your network right throughout your career, as well as keeping a network of professional contacts current just makes sense – when you have challenges at work, you know people who have been there and done that and who can give you a different perspective and advice. RIMPA is a great place to be mentored in whatever skills you need to learn, and a great way to hone and display your skills.

RIMPA offers the following benefits:

- ◆ **Networking opportunities** – It's a place to get to know people and be known. You can sell your product or your skills, find a job and make friends.

- ◆ **Professional development** – RIMPA offers ways to sharpen your skills, stay abreast of industry trends and earn certifications needed to advance your career.

- ◆ **Gives you a voice** – It's difficult for one voice to change an industry. RIMPA serves as the voice of the industry which means it gets heard by legislative bodies. RIMPA represents you and people listen.

- ◆ **Resources** – RIMPA members have more resources available to help them in meeting the demands of daily requests.

- ◆ **Education** – RIMPA offers education through webinars and conferences throughout the year, mentoring opportunities and certification.

- ◆ **Professional standing** – Joining RIMPA is a great addition to a resume and signals to an employer that you are career-minded and stay connected to your profession.

- ◆ **Personal development** – RIMPA gives you the chance to get involved and participate in leadership opportunities, committees and local events.

- ◆ **Professional information** – RIMPA members have access to job boards, online forums, publications, and much more!

WITHOUT YOU, RIMPA CANNOT EXIST!

RIMPA counts on YOU and ME – to pay our annual dues, participate in educational offerings, acquire certifications, volunteer on branch councils and committees, write articles, give presentations and network – so that it can continue to provide opportunities for us all to grow our careers as RIM professionals.

As an advocate for the RIM professional career and a long-time supporter of professional organisations, I am an active member of several professional associations. Without our membership and participation, professional organisations cannot exist. The return-on-investment (ROI) in belonging to a professional organisation can be priceless when members choose to participate in what is being offered.

Over the years, I have met some amazing, remarkable professionals through my active participation in professional organisations, and some of these individuals have become some of my very best friends! I have had the opportunity to serve in a variety of leadership roles. As a result of expanding my professional network, I have helped others to secure employment; given and received encouragement and support; gained new resources; learned and shared tips and tricks; as well as a whole lot more.

If you are not yet a member of RIMPA, make the decision today to investigate the benefits and begin connecting with other RIM professionals worldwide.

Further benefits include the following:

◆ Members receive a minimum 50% discount on all events and webinars and a minimum 30% discount on inForum – in fact simply by attending inForum you will receive almost double your membership cost back in savings.

◆ Members receceive up-to-date information direct to your desk through bi-monthly *Around the RIM* newsletter and quarterly *iQ* magazine.

◆ Members have exclusive access to a massive information library of seminar papers and past *iQ* articles.

◆ For your $365 investment, you will receive over $4445 in return! NB: If you are paying for your own membership (ie, investing in yourself), you can certainly arrange a payment plan.

◆ And so much more! … career information, marketplace product and services directory, on-demand webinars, recognition and awards, industry influence and involvement (Standards, media comments, responses to government policy), course recognition, survey results and more.

At $365 (incl GST), membership costs $7 per week – that is a cheap investment in your career and professional development.

Kate Walker
Chief Executive Officer

What is RIMPA membership worth?

Subscription to IQ quarterly magazine
$90 value

Discounts on Products and Services
$375 value

Discounts on Conferences, Seminars & Webinars
$1,880 value

Discounts on Masterclasses (Vocational Training)
$2,100 value

Free access to online information resources
$ unlimited value

YOU PAY: $365
YOU CAN RECEIVE: More than $4,445 in value
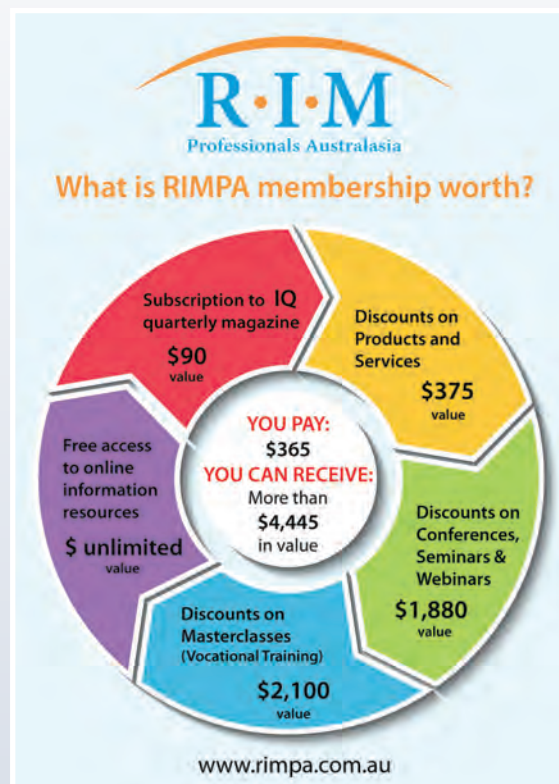
www.rimpa.com.au

FOR MORE INFORMATION See our website at **rimpa.com.au**. You might also like to checkout our Facebook page – the link is on the RIMPA homepage.

WORLDWIDE NEWS

National Archives provides expert assistance to Cuban colleagues

The National Archives of Australia is assisting the Office of the City Historian in Havana, Cuba to conserve and preserve historic iron gall ink documents that date from the period 1550-1661.

Two of the Archives' senior conservators travelled to Havana recently to provide restoration expertise and deliver staff training in this specialised preservation and conservation work. Iron gall ink, which includes iron salts, has been in use for many centuries but fades with time, jeopardising collections worldwide.

The Archives is well placed to provide this assistance following its recognition in 2011 when it won the Jikji/UNESCO Memory of the World Prize for contribution to the preservation of the world's documentary heritage. The Archives holds many documents written in iron gall ink, including the Pitcairn Island Register, 1853-1881, which is currently undergoing intensive conservation treatment in their Preservation lab in Canberra.

The Office of the City Historian funded the technical assistance and acquisition of supplies with a grant from the Council on Australia Latin American Relations (COALAR), a body established by the Australian Government in 2001 to enhance Australia's economic, political and social relations with Latin America.

Since 1938, the Office of the City Historian has been responsible for the comprehensive restoration and transformation of the historic centre of Havana. The City's archives contain a rich cultural heritage collection including the Havana City Council documents. The technical assistance provided by the Archives will support restoration of these documents which are widely utilised by researchers and academics.

Two-thirds of companies see insider data theft

A recent survey by management consultant Accenture Plc and HfS Research has found that many businesses are plagued by data theft by their own employees.

The survey found that out of the 208 organisations surveyed, 69% "experienced an attempted or realised data theft or corruption by corporate insiders" over the last 12 months.

Media and technology firms, and enterprises in the Asia-Pacific region reported the highest rates – 77% and 80%, respectively.

"Everyone's always known that part of designing security starts with thinking that your employees could be a risk but I don't think anyone could have said it was quite that high," Omar Abbosh, Accenture chief strategy officer, said in an interview in Tel Aviv.

Each year, businesses currently spend an estimated $84 billion to defend against data theft that costs them about $2 trillion – damage that could rise to $90 trillion a year by 2030 if current trends continue, Abbosh forecast. He recommended that corporations change their approach to cybersecurity by cooperating with competitors to develop joint strategies to outwit increasingly sophisticated cyber-criminals.

• Source: Bloomberg

New DropBox features announced, including document scanning

Scanning, sharing and creating files just got easier thanks to a handful of new Dropbox features. The file-hosting and cloud-service company has added several additions to its software platform, particularly with its mobile app for Apple iOS.

The most notable update includes document scanning through the Dropbox app, and the ability to create Microsoft Office documents directly from the app with a front-and-center 'plus' button.

Through their camera phone, users can scan and organise documents like sketches, receipts, printouts and Post-its. Similar apps provide this service for both iOS and Google Android, such as Evernote Scannable and CamScanner, respectively. With the feature natively built into Dropbox however, you can also search text and keywords within these scanned documents.

In addition, Dropbox and Microsoft have been longtime partners and there is already some integration, accessing Dropbox through the Office suite and vice versa. Starting today, users can seamlessly create Microsoft Word, PowerPoint and Excel documents directly within the app by tapping a central 'plus' button at the bottom of the screen. Users can further edit these files using Microsoft's own apps.

• Source: CNet

Iron Mountain's acquisition of Recall complete

Iron Mountain has announced the completion of its acquisition of data management group Recall, after the Federal Court gave the deal a final tick off in early May.

Recall shareholders voted overwhelmingly in favour of US-based Iron Mountain's $2.6 billion takeover of the business records manager in April. The takeover was approved in March by the Australian Competition & Consumer Commission (ACCC) after Iron Mountain offloaded a bulk of its Australian assets. Recall's board signed off on the sweetened offer mid last year.

To win approval for the deal, Iron Mountain laid out its plans to divest a majority of its Australian assets to the ACCC, after the watchdog noted the $2.6bn takeover would see the country's two largest providers of physical document management services rolled into one, with a market share of between 59 and 71 per cent.

• Source: The Australian

Archives recognises world-class digital achievers

The Australian National University (ANU) and the National Blood Authority (NBA) were the big winners at the recent National Archives of Australia's *Digital Excellence Awards*. The awards were presented by the NSW Information Commissioner Elizabeth Tydd.

Recognising and promoting excellence and innovation in the management, use and reuse of digital information by Australian Government agencies, the *Digital Excellence Awards* celebrated innovation, better and more efficient government, user-focused client interfaces, and greater transparency of important government information.

Winning the large agency category, the ANU was recognised as an exemplar, through their seamless integration of digitalised processes and their Electronic Records Management System.

Winning the small agency category, the National Blood Authority impressed the judges with its transformational work on building a patient interface into the Australian Bleeding Disorders Registry.

The judges described the ANU as an 'exemplar for other agencies in simplifying and succeeding in digitising high volume transactions and seamlessly integrating its core enterprise systems within a dynamic and diverse cultural environment.'

The National Blood Authority entry, MyABDR (a patient interface with a clinical registry), received acclaim as a true example of transformation and digital excellence.

• Peter O'Halloran, from the National Blood Authority, ACT is presenting on 'Digital Continuity 2020 or Digital Irrelevance 2020?' at inForum in Perth, 11-14 September. The NBA, which won one of RIMPA's J Eddis Linton Awards in 2015, is also shortlisted for several of the J Eddis Linton awards this year – to be presented at the Gala Dinner at inForum.

New study finds more than 50% of SMBs breached in past year

A new US study has found that more than 50% of small and mid-sized businesses (SMBs) have been breached in the last 12 months.

The survey, sponsored by Keeper Security and conducted by the Ponemon Institute, found that no business is too small to evade a cyber attack or data breach and businesses across all industries are impacted by this threat.

Only 14% of the companies surveyed rated their ability to mitigate cyber attacks as highly effective. Confidence in SMB cybersecurity posture is so low primarily because personnel, budget and technologies aren't sufficient.

Additionally, IT security priority determination is not centralised to one specific function in a company, therefore reducing accountability and resulting in less informed decision making.

The most prevalent attacks against smaller businesses are web-based and involve phishing and social engineering breaches. Widely adopted technologies such as anti-virus are still useful, but they can not be depended on to protect against exploits and cyber attacks. Three out of four SMBs reported that exploits have evaded their anti-virus solutions.

The study found that SMBs have a major lack of control and visibility when it comes to employee password security. Strong passwords and biometrics are believed to be an essential part of a security defense, yet 59% of respondents say they have no visibility into employees' password practices and hygiene and 65% do not strictly enforce their documented password policies.

"We've conducted many surveys on enterprise cybersecurity in the past but this unique report on SMBs sheds light on the specific challenges this group faces," said Dr Larry Ponemon, chairman and founder of the Ponemon Institute. "Considering the size of the SMB market in the United States alone, this information can be useful to diminish the risk of breach to millions of businesses."

⟳ The study can be accessed at signup.keepersecurity.com/state-of-smb-cybersecurity-report/

• Source: Marketwired, 30 June 2016

Gartner's top 10 technologies for information security

Gartner has highlighted the top 10 technologies for information security.

They are as follows:

◆ Cloud access security brokers

◆ Adaptive access control

◆ Pervasive sandboxing (content detonation) and IOC confirmation

◆ Endpoint detection and response solutions

◆ Big data security analytics at the heart of next-generation security platforms

◆ Machine-readable threat intelligence, including reputation services

◆ Containment and isolation as a foundational security strategy

◆ Software-defined security

◆ Interactive application security testing

◆ Security gateways, brokers and firewalls to deal with the internet of things

⟳ For the implications for security organisations, go to gartner.com/newsroom/id/2778417

⟹

FBI: Hillary Clinton should not be charged over her private email server

Hillary Clinton will not be indicted over her use of a private email server after the FBI found while she was "extremely careless" there was no "intentional misconduct".

FBI Director James Comey's decision almost certainly brings the legal part of the issue to a close and removes the threat of criminal charges.

Hillary Clinton

US Attorney General Loretta Lynch said that she would accept the recommendations of the FBI director and of career prosecutors. "No charges are appropriate in this case," Mr Comey said in making his announcement.

But Mr Comey made that statement after he delivered a blistering review of Ms Clinton's actions, saying the FBI found that 110 emails were sent or received on Ms Clinton's server containing classified information.

• Source: News Corp Australia Network

Recognising Victorian innovation in records management

The Sir Rupert Hamer Records Management Awards were announced in June at a gala event in Parliament House. The Awards showcased projects highlighting the role of good recordkeeping and record keepers in capturing the history and culture of Victoria, and in ensuring government accountability.

On the 24 June, Public Record Office Victoria and the Public Records Advisory Council presented the 2016 Sir Rupert Hamer Records Management Awards in a special evening ceremony at Queens Hall, Parliament House.

2016 Award winners included:

♦ Wannon Water, for its Plans Database Project, which involved the digitisation of 21,000 large format hardcopy plans into an electronic document and records management system

♦ Department of Education and Training, for its program to make best practice and compliance easy for all staff by creating one platform for document management and collaboration, resulting in a faster, easier to use document and records management system

♦ Department of Health and Human Services, for its project which converted a database of ward of the state records to Public Record Office Victoria's digital archive

♦ Agriculture Victoria, which contracted two companies to design, develop and implement a metadata driven product, which then allowed a single point of access for all digital / physical assets and records across the organisation; this approach resulted in a quick and efficient way to connect and search all of its databases, regardless of their function, design or location.

Named after former Victorian Premier and public records advocate, Sir Rupert Hamer, the awards have been offered by the Public Records Advisory Council (PRAC) and Public Record Office Victoria since 1998.

⟳ For more information: http://prov.vic.gov.au/government/sir-rupert-hamer-awards

• Wannon Water is also shortlisted for several of RIMPA's J Eddis Linton awards, to be presented at the Gala Dinner at inForum in Perth, 11-14 September.

Fire destroys top floor of Essendon Historical Society Museum

A blaze swept through a 125-year-old former court house containing old records and valuable photos in Melbourne's north-west on 27 June.

The Metropolitan Fire Brigade (MFB) said at least 50 firefighters tackled the fire at the building, which houses the Essendon Historical Society Museum in Moonee Pond.

The top floor of the two-storey former court house was fully ablaze, but crews brought the fire under control within an hour.

A large amount of smoke billowed from the building and people were advised to avoid the area.

The MFB said a faulty light transformer in the building's ceiling caused the fire and the damage bill would be about $450,000.

Essendon Historical Society president Bob Chalmers said he was devastated.

"We've got all our records and photos inside and we've worked very, very hard to restore the building in recent times and now it's ruined," he said. "It's heartbreaking."

Mr Chalmers said the photo collection housed in the building was valuable.

"Mainly photos of the people and places dating well back so I don't know what state they'll be in, but it won't be very good," he said.

"We were in the process of [digitising the photos], and there are some off site probably that we can rescue but we won't know until we look into it how much we've actually lost." ❖

• Source: ABC News

CONTACT US ✉ If you have any news stories for *iQ*, please contact editor.iq@rimpa.com.au

Survey: Employees take sensitive data when they leave

More than one in four employees takes and/or shares sensitive company data when leaving a job, according to a recent survey from secure communications solutions provider Biscom.

More than one in four employees takes and/or shares sensitive company data when leaving a job, according to a recent survey from secure communications solutions provider Biscom.

Technology decision-makers take heed: Survey findings show that the technology a company implements plays a major role in employees' decision to take company data. For example, tools like Dropbox, Google Drive, and e-mail, make it effortless to take files.

The survey also found:

SURVEY
Jan 26, 2016

- 15% of respondents said they are more likely to take company data if they are fired or laid off than if they leave on their own.

- Of those who take company data, 85% report they take material they have created themselves and don't feel doing so is wrong.

- Only 25% of respondents report taking data they did not create.

- About 95% of respondents said that taking data they did not create was possible because their company either did not have policies or technology in place to prevent data stealing or it ignored its policies.

IT'S NOT DATA THEFT! – OR IS IT?

"The survey's results reveal employees as a big security hole," John Lane, CISO of Biscom, said in a statement. "Companies can use this information to understand how they can protect their data. Whether it's updating employee training, establishing stricter company policies to prevent data theft, or obtaining secure tools to store and track company data."

Although stealing data can result in significant security risks, most survey respondents reported that they didn't view it as data theft. Despite the fact that they're taking sensitive information, including company strategy documents, customer lists, and financial data, the report found that employees don't consider their actions malicious or even wrong. The report concluded that this may be why data theft is so prevalent. ❖

• Source: LegalTechNews.com

ENERGISE COMPLIANCE WITH AUDITING

There is no substitute for an audit – you must know that your workforce is actually complying.

By **Craig Grimestad**

I can hear some of you saying: "Did you really have to go there? I cannot stand audits. They are time consuming, expensive and the business just won't tolerate the intrusion for information governance (IG) and records and information management (RIM)". Sorry, the answer is yes. Without auditing, you are not able to ensure that the workforce is actually doing what they are required to do.

I digress, but back in my youth there was a popular cartoon character named Mr Magoo (you can still watch him on YouTube) who had very bad eyesight (although he thought it was perfect) and was always mistaking his surroundings for his own alternate reality. He happened to have a bald head and one day he walks into a barber shop and requests a haircut. When he takes his hat off, the barber finds a single hair standing up in the middle of his bald head. The barber dutifully clacks the scissors over his head – forward, backward, left, right, and finally after some period of time actually cuts the single hair on his head. He then pronounces the haircut complete. Mr Magoo pays him and walks out, believing that he has had a full haircut.

FACING REALITY

We, in IG/RIM, cannot live in our own little world, our own reality, thinking that the workforce has performed activities to become and maintain compliance when it is possible (perhaps even likely) that they are not compliant. Audits help to assure we are all in the same reality, actually accomplishing and performing as required.

The good news is that the audit for IG/RIM does not have to follow the traditional path of financial audits. In fact, if you do, you may once again find yourself in your own reality like Mr Magoo, because you are getting a representative view – not a comprehensive view. You are not just looking for evidence of processes and the performance of those processes, you are looking for evidence that each individual from the executive suite to individual contributor (employees and contractors) across the company are actually doing what your policy and procedures say they are to do.

This is good news because you do not need to engage in time consuming interviews to establish a view of workforce compliance. What is needed is to develop a list of the IG/RIM requirements of each individual to each individual, turn them into questions, and have them respond – Yes, No, or In Process. This list of questions will need to be tailored based on area of responsibility and level of responsibility, and there needs to be departmental questionnaires as well. This does require some good work upfront to identify the requirements and turn them into questions but, to the workforce, the questionnaire they are required to answer is minimally intrusive – resulting in minimal pushback. This is simple, straightforward and very powerful.

Audits help to ensure we are all in the same reality, actually accomplishing and performing as required

So where do these IG/RIM requirements come from? Your policies and procedures. That is why it is important that your policies and procedures have 'requirements language' such as 'must', 'shall' and 'will'. Using words like 'should', 'might' or 'could' provides the opportunity for variation of activity, including no activity at all. You don't want to spend any time on non-productive discussions on definition and intent. Much better to preclude all of that with clear, non-negotiable requirements language.

HOW DO YOU DEVELOP THE QUESTIONS?

Each requirement from the policies and procedures should be the subject matter for at least one detailed compliance question. Not so much "Are you aware of the policy for the disposal of confidential records?" but rather "At the proper time, do you dispose of all confidential records in the shred bins or by shredding yourself?" The answers are multiple choice: **Yes**, **No**, or **In Process**.

Yes means yes, the department or individual is in compliance.

No is a red flag, it means there is a problem. The department or individual is non-compliant and doesn't intend to become compliant.

In Process means the department or individual is not yet compliant, but is committed to becoming compliant and is working on it.

Those are all the answers you need to develop a comprehensive view of compliance! Clearly once you have taken the survey, your work isn't over, it is always an ongoing process. You will need to follow up with those who say 'No' (and also potentially their management) to help them change their answer to 'Yes' or 'In Process'. For the 'In Process' answers, you will want to do some analysis. Are there questions for which there was an epidemic of 'In Process' responses, indicating a need for a deeper dive and possible corrective action? Or, is it that they just need a little more time before they can say 'Yes'? You always have the option of following up at any time.

What about evidence of compliance and interviews? For evidence, use the 'Trust but Verify' approach. Let the user respond without producing evidence, but be on notice that the evidence may be required at any time. That way the user is responsible for having evidence, but you only request it as situations warrant. Interviews are also important, but conducted only on an as-needed basis as the data identifies a need for follow-up. Therefore, the intrusions into the business are kept to a minimum and only occur as driven by the data. This technique may be unconventional, but it provides a lot of information with minimal investment, provides for comparative analysis of progress with subsequent audits, and provides flexibility in how and when to conduct follow-ups.

Regardless of the technique you choose for performing an audit, performing an audit will energise compliance. People respond to actions more than words, and holding individuals accountable by checking their IG/RIM performance with an audit will not only energise compliance, it will provide valuable feedback for improvements and modifications to your program.

The audit is such a strong energiser for compliance that actually even the notice of a coming audit will energise compliance. Give the workforce advance notice of the audit, even to the point of sharing the audit questions in advance, and your audit results will be better for it. After all, your objective is compliance, not to identify those who may otherwise have overstated their performance.

Yes, you really want and need to do this. ❖

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: blogs.ironmountain.com/author/cgrimestad

Data-driven leaders always win

Author Jay Zaidi's new book details a practical holistic framework and strategies to help organisations learn to be driven by their data.

Review by **Andrew Warland**

I s data the new electricity? Microsoft CEO Satya Nadella thinks so[1]. Data, he stated in May this year, is powering a fourth transformative industrial revolution, just as steam, electricity, and information technology powered the first three.

Just as steam (or water) and electricity were connected with newly emerging technology to bring about transformative change, good quality and accessible data connected with new and emerging forms of technology can bring about transformative change. We experience it regularly, the latest fad being personal health monitors that tell us if we have had a good sleep, among other useful things. Predictive analytics can uncover and deliver deep and often immensely valuable insights that can reduce costs and drive significant new economic growth to companies willing to exploit it.

Globally, many organisations (as well as some governments and cyber criminals, with different motivations for doing so) have realised the value of accessing and leveraging data,

especially 'big data'[2]. Companies such as eBay, Alibaba, Uber and Airbnb that have succeeded in this area differ from traditional bricks and mortar industries, because they are built around (and sometimes founded solely upon) data, including data submitted willingly by users on personal devices.

However, accessing and leveraging the value in data (especially when there is a lot of it) can be a challenge for many organisations. In *Data-driven leaders always win*, Jay Zaidi details a practical holistic framework and strategies to help organisations learn to be driven by their data. He describes why good data governance, ownership and responsibility, accessibility and security, quality and interoperability between systems, and management are all essential for success.

Zaidi explores the risks and dangers for organisations that

are not investing in data, and the potentially massive benefits when it is successful (Uber, for example). Predictive analytics can provide a return on investment of as much as 45%.

BECOMING DATA DRIVEN

Organisational theory states that organisations are made up of three elements: people, processes and technology. To these three, Zaidi adds a fourth – data. To succeed with data and become 'data driven', executives need to understand and embrace the importance of data to their business. They need to treat data as a core business asset and ask (or learn how to ask) for that data in a form that they can digest. New roles, such as a chief data officer, may be required to guide organisations through the change.

Although Zaidi recommends a holistic approach to data strategies and programs, which is certainly feasible, such approaches may run the risk of trying to do too much. These strategies and programs may be just as likely to succeed if they begin as relatively small and focussed data analytics and/or business intelligence programs that produce simple dashboards, and grow from there. If the dashboards 'hit the spot' (which is likely), executives may soon ask for more and more allowing the program to grow.

The reasons data-related programs fail, according to Zaidi, include lack of executive interest or focus, 'old-school' mindsets (including poor data literacy), or a generally poor understanding of both the problem, risks and the potential benefits. Additionally, the tendency to want to hoard data (because 'knowledge is power') in 'data fiefdoms' can limit the potential outcomes.

Other factors that can influence the success of data-related programs include inadequate data skills within the business

To succeed with data and become 'data driven', executives need to understand and embrace the importance of data to their business

ABOUT THE AUTHOR

Andrew Warland is a Sydney-based, information management professional with almost 35 years of direct, practical experience and working knowledge across the spectrum of information, records and content management issues in Australia and New Zealand. He is currently the Information Architect with Uniting (formerly UnitingCare NSW.ACT) where he works on data governance, stewardship and modelling, as well as collaboration related applications including SharePoint, Yammer and Office 365.
✉ He can be contacted at andrewwarland@gmail.com

and IT, incorrectly or poorly focussed specialist expertise, inadequate analytical capability, poor quality data or data integrity issues, and generally low rates of data literacy across the organisation.

Best practice data management methodologies are essential foundations to overcome many of these issues, but their implementation needs to be consistent and in line with an overall data strategy. Effective data governance and stewardship, data modelling, data storage, data quality and integrity measures, along with the appropriate management of contextual metadata, reference data and master data, are all essential for success.

Records and information management professionals have key skills especially around data modelling, reference and master data management, and metadata, and accordingly should have the opportunity to contribute to data-driven programs. ❖

Bibliography

1 https://www.youtube.com/watch?v=z3oYf2Prtgo
2 Some commentators have noted that all the talk about 'big data' is overlooking the potential value of 'small data'. For the purpose of this review, the term 'data' refers to both.

THE VALUE OF INFORMATION

Most of us are by now aware that the digital era has brought with it a paradigm shift, and the key to competing in the digital economy requires business model innovation in order to exploit the value of information assets. Government and its agencies must recognise this, and start to leverage the value of information assets for continued efficiency, competitive advantage and growth.

By **Linda Shave**

story snapshot

The value of information in data-driven decision making is crucial.

The challenge will be how to sieve through volumes of digital data to unlock its value.

RIM professionals are vital to the process, and should take their place at the executive table.

Information is the primary resource and product created by all levels of government and its agencies. As the digital economy continues to progress, the value of government information will increase, and managing these information assets will be crucial to both government and citizens.

THE DIGITAL ECONOMY AND DATA-DRIVEN DECISION MAKING

Extracting the value of information is fundamental for all levels of government and its agencies for data-driven decision making. Data-driven decision making, in brief, is an approach to business governance that values decisions based on and backed up by information that can be authenticated. The success of the data-driven approach is reliant upon the availability of data, the quality of the data gathered and the effectiveness of its analysis, interpretation and use. As such the value of information in data-driven decision making is crucial to all levels of government and its agencies – for example:

◆ As it responds to economic demands

◆ In policy development

◆ In supporting decision making

◆ In making evidence-based decisions

◆ In embracing economic opportunities

◆ In administering programs and services

◆ In ensuring transparency and accountability to the public.

THE VALUE OF INFORMATION

For government and its agencies, understanding the value of information and how it might be used for business advantage, innovation and growth remains largely untapped. This shortfall in exploiting and leveraging the value of government information, both structured and unstructured, could hinder government and its agencies from being agile to responding to economic and technological challenges – eg, the information explosion that Web 3.0 and the continued evolution of omnipresent technologies will introduce.

Web 3.0 semantic web is the third decade of the web and the next step in the evolution of the 'intelligent web' which is introducing a new 'digital' information age for governments and business. In this era of the all-pervasive cloud and the Internet-of-Things (IoT), semantic technologies will add meaning to linked data, open up access to data sources and combine information from disparate sources. The challenge for government and its agencies will be how to sieve through the volumes of digital data, find, read and unlock its value, given the fast pace of technology change and the shortening of time to obsolescence.

WHAT IS VALUE?

Government and agencies collect and create large volumes of data and this 'information' is the primary resource. Over time government and agencies will be increasingly driven to take a holistic approach to identify the value of all relevant information assets both structured and unstructured.

Table 1 provides a simplistic overview of how one might identify the value of information. Value has been narrowed down to three categories these being worth, importance and appreciated.

Categories	Association
Worth	Price and cost
Importance	Significance and usefulness
Appreciated	Innovative and respected

Table 1 – Value categories and association

As the evolution of the digital economy continues to evolve, government and its agencies are responding by developing new programs and services for collaboration, effectiveness, efficiencies and interoperability between other governments, government agencies, private enterprise and citizens. Interoperability via the Cloud could also provide government and its agencies with additional opportunities for creating, collecting, storing, managing, searching, accessing and perpetuating digital data.

The development of these new programs and services will require government and its agencies to identify the value of its information. Table 2 provides a sample government value proposition for developing a new program and service.

Sample government value proposition for developing a new program and service

Value category	Description
Worth	**Price** – Will the proposed program and service price reflect best value and be acceptable to private enterprise, the citizen and/or marketplace? **Cost** – Does the proposed expenditure, outlay and/or expense to develop the proposed program and service reflect best value, benefits realisation and/or return on investment to the government and its agencies?
Importance	**Significance** – What is the expectation, aim and/or outcome of the proposed program and service to the citizen and/or marketplace? **Usefulness** – What is the perceived convenience, effectiveness and/or efficiency expected from the proposed program and service: a. To/by the government, other governments and/or government agencies? b. To/by the private enterprise, citizen and/or marketplace?

Value category	Description
Appreciated	**Innovative** – Does the proposed program and service reflect state-of-the art, futuristic and creative use of information, resources, technology and innovation?
	Respected – Is the proposed program and service reliable, suitable, sufficient and/or satisfactory? a. To the government, other governments and/or government agencies? b. To the private enterprise, citizen and/or marketplace?

Table 2 – Sample possible value proposition for developing new programs and services

As indicated, extracting the value of information is fundamental for government and its agencies for data-driven decision making. The success of the data-driven approach is reliant upon the availability of data, the quality of the data gathered, the effectiveness of its analysis, interpretation and use. Table 3 provides a description of the four data-driven decision groups.

Data-driven decision groups	Description
Availability	Digital data should be available when and where it is required.
Accuracy & reliability	Digital data must be accurate and reliable.
Analysis	Digital data needs analytic tools to be able identify the value of the digital data.
Usability	Digital data needs to be in a usable format if it is to be successfully used in decision making.

Table 3 – Data-driven decision making four groups

Failure to understand the value of information could hinder government and its agencies from being agile to responding to economic and technological challenges as well as impacting on data-driven decision making, for example policy development. Table 4 is a sample government impact table for policy development and possible consequences. It is based on the value of information, not being identified, and the outcomes of the policy failing to meet private enterprise, citizen and/or marketplace expectations.

Value category	Description
Worth	**Price** – Government reputation, lack of trust in government etc. **Cost** – Economic impact, financial etc.
Importance	**Significance** – Based on ISO 31000:2009 Risk management principles and guidelines significance could range from moderate to catastrophic. See Figure 1. **Usefulness** – No perceived convenience, effectiveness and/or efficiency.
Appreciated	**Innovative** – Would not reflect state-of-the art, futuristic or creative use of government information, resources, technology and/or innovation. **Respected** – Would not be seen as reliable, suitable, sufficient and/or satisfactory.

Table 4 – Impact table for policy development if the value of information is not identified

THE VALUE OF INFORMATION FOR RECORD AND INFORMATION MANAGEMENT PROFESSIONALS

For many years RIM professionals have struggled with the challenge of justifying their 'value'; this is an interesting dilemma and one needs to ask the question – 'why is this so?' Government and its agencies do not seem to have the same problem in recognising the 'value' of other professional groups within the wheels of government, such as information technology (IT), human resources (HR), financial and legal services. So lets step back and clarify in simple terms what records and information management is.

WHAT IS RECORDS AND INFORMATION MANAGEMENT?

Records and information management (RIM) is the method in which a government and its agencies creates, collects, identifies, captures, manages, preserves and disposes of its information assets in all formats including physical, digital, structured and unstructured.

The primary objective of RIM is to ensure that the right information is secure and available anytime, anywhere to the right person, in the right format at the right time and that the continued value of these information assets is/are identified, monitored, perpetuated and available in order that this information can be utilised to its fullest potential.

The ability of government and its agencies to respond with speed to the needs of economic drivers and citizen demands depends on how well these information assets can be collected, created, captured, searched, used and

managed. Further, government and its agencies need to know the value of the information and how this value can be extracted in order to make informed decisions. Given the above synopsis and taking a similar approach, let us apply the three value categories – worth, importance and being appreciated – to identify the value of RIM professionals. See Table 5.

Sample value proposition for RIM professionals

Value category	Description
Worth	**Price** – From the Chief Financial Officer (CFO) and based on accounting principles records and information management (RIM) is seen as an operational cost of doing business. The value that RIM as a service adds to the business remains in most cases intangible. **Cost** – What is the cost, repercussion and/or ramification for government and its agencies: a. In not being having the right information available, secured and accessible to the right person, in the right format at the right time? b. In not identifying and monitoring the continued value of information assets so that the value of these information assets can be utilised to fullest potential?
Importance	**Significance** – RIM professionals status and their skills should be recognised at executive level in much the same way that government and its agencies acknowledge other professional groups such as IT, HR, financial and legal services. **Usefulness** – RIM professionals should be acknowledged as a valuable contributor to the effectiveness and efficiency of government and its agencies. RIM professionals should be seen as enablers/catalysts to government and its agencies in responding to the needs of economic drivers and citizen demands.
Appreciated	**Innovative** – RIM professionals can bring to the table modern ideas, methodologies, skills and tools to assist and contribute to government and its agencies' agendas – in much the same way as other professional groups such as IT, HR, financial and legal services? **Respected** – RIM professionals like any other professional body are proficient, skilled, experienced, trained and/or endorsed to carry out their duties in a reliable, suitable, sufficient and satisfactory manner.

Table 5 – Sample of possible value proposition for RIM professionals

RIM professionals should be accepted as a professional asset, as a vital cog in the working of government…

UNDERSTANDING THE VALUE OF INFORMATION

As we can observe from the above, understanding the value of information, how it might be extracted and exploited to make informed decisions could help government and its agencies respond to economic, technological challenges and provide the possible means for government and its agencies to capitalise on the value of information for business advantage, innovation and growth.

On the other hand failure to understand the value of information could hinder governments and its agencies from being agile to responding to economic and technological challenges as well as impacting on data-driven decision making. For example, this lack of understanding of the value of information could result in policies and practices failing to meet private enterprise, citizen and/or marketplace expectation and impact government and its agencies reputation.

Further, understanding the value of RIM professionals may require government and its agencies' CFOs and executives to rethink that RIM professionals are a valuable resource and investment for government and its agencies. RIM professionals should be accepted as a professional asset, as a vital cog in the working of government, in much the same way as IT, HR, financial and legal services professionals.

By fusing the three value categories for identifying the value of information:

◆ Worth – price and cost

◆ Importance – significance and usefulness

◆ Appreciated – innovative and respected

…and meshing these to the ISO 31000: 2009 Risk Management Principles and Guidelines one might be able to better identify any consequences and possible impacts.

Risk Management Practice based on ISO 31000: 2009	Consequence				
People	Knowledge of systems and processes.	Knowledge of systems and processes.	Knowledge of systems and processes.	Knowledge of systems and processes.	Knowledge of systems and processes.
Reputation	Internal review.	Inspection required by internal committees or internal audit to prevent escalation.	Inspection required by external committees legal General's Office, or inquest, etc.	Major loss of reputation, seriously compromising major operations.	Significant asset destruction or other.
Business process and systems	Minor errors in systems or processes requiring corrective action, or minor delay without impact on overall schedule.	Policy, procedures and business processes occasionally not met or services do not fully meet needs.	One or more key accountability requirements not met. Inconvenient but not impacting service levels.	Strategies not consistent with governance/ compliance requirements. Findings show service is fragmented.	Critical system failure, bad policy advice or on-going non-compliance. Business severely affected.
Financial	1% of Budget or <$5K	2.5% of Budget or <$50K	> 5% of Budget or <$500K	> 10% of Budget or <$5M	>25% of Budget or >$5M
	Insignificant	**Minor**	**Moderate**	**Major**	**Catastrophic**
	1	2	3	4	5

Figure 1 – ISO 31000: 2009 Risk Management Principles and Guidelines

As previously mentioned semantic technologies will add meaning to linked data and combine information from disparate sources. The challenge for government and its agencies will be how to sieve through the volumes of digital data, find, read and unlock its value. This rapid pace of technology change and shortening of time to obsolescence will require new business models, skills and tools. Valuing and investing in RIM professionals as we move forward could provide the government and its agencies with the ability to respond to the many exigencies it faces, demands which depend on how well government and its agencies record and information assets are collected, created, captured, searched, used and managed.

In a digital economy RIM professionals should take their place at the executive table with their professional peers such as IT, HR, financial and legal services etc. In the present and evolving digital economy there is no apparent reason for RIM professionals not to be valued for their true worth. Value which if realised could reap enormous benefits to government and its agencies. ❖

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Linda Shave is acknowledged as a thought leader and architect of change. She is a researcher, consultant and auditor in areas of virtual information asset management, business process management, cloud migration, corporate governance and risk management. Linda is a former CEO, CIO and a member of numerous professional organisations.

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WHY YOU NEED TO THINK DIFFERENTLY ABOUT INFORMATION MANAGEMENT

To maximise our value as information practitioners, it's time to think differently about how we manage our information and what we ask our end users to do.

By **Alyssa Blackburn**

Two recent conversations in very different contexts got me thinking about information management processes and how they impact an organisation's user population. I have spent a vast majority of my career as an IM practitioner, mainly in a government environment. Almost two years ago I made a fairly major life decision to leave this and change direction completely to work for a vendor because I found the challenge of user adoption of information management practices just too hard. Two separate conversations made me consider several ways organisations can face this challenge.

LEARNING FROM RELICS OF THE PAST

A while back, my four-year-old daughter found an old street directory on our bookcase and bought it out to me wanting to read it. It was full of colourful pictures after all! She asked me what it was and I had to really think hard about how to explain. I told her it was something that I used to use to find my way when I needed to go somewhere in the car. She shook her head, laughed at me, and said, "No Mummy, you don't use a book, the lady tells you where to go". This is a child who has never known a time before a GPS! I certainly don't feel that old (depending on the day of course), but the pace of technology advancement can certainly be mind boggling at times.

This conversation recently came flooding back to me when I was attempting to explain to some (clearly much younger) colleagues what a physical records repository looked like and how people interacted with it. I spent a long time trying to explain what a file was, only to discover that their definition of a file (document) and mine (folder) were completely different and we had been talking about different things for quite some time. They had never had the opportunity to work with traditional physical files, and in all likelihood, probably never would. Their level of understanding about how these processes worked was always going to reflect that.

HOW FAR HAVE WE ADVANCED WITH INFORMATION MANAGEMENT?

This conversation forced me to reflect on whether we've really moved as far as we should in the modern practices of electronic information management. Technology has done amazing things for us and bought us so many changes in our everyday lives; it makes me stop and wonder why in some cases we're still trying to fit a physical information management model into a highly digital environment. I believe the management of information is one of the most important things an organisation can do. Having access to accurate, relevant and timely information is the cornerstone for an organisation to achieve business efficient and productivity. Successful information management idepends on end users creating, capturing and using information according to various organisational requirements. However, so many organisations seem to make this unintuitive for the average end user.

Many organisations haven't transitioned their practices from the 'old school' physical environment. They may be operating with electronic information, but essentially the processes haven't adapted from the physical world. This might be enforcing the concept of files (or folders, if you will),

asking an end user to go through a formal record declaration process, or enforcing a traditional business classification scheme. It could be any number of things we've just adapted from physical records processes and attempted to squeeze into an electronic environment.

Maybe it's time to look at this like we look at the street directory. A valuable resource of its time, but something that has since been replaced by different technology. When the GPS was invented, it didn't just try and replicate a street directory, but strove to make it better and work using the best technology available at the time. And this has continued to the adoption of smart phones to almost replace the traditional GPS, as this technology continues to adapt to user demand and need.

It's the same for information management. To maximise our value as information practitioners, it's time to think differently about how we manage our information and what we ask our end users to do.

> *Information management practice and practitioners should take advantage of this leap forward in technology to automate traditional processes that relied on an end user to enact*

HOW CAN WE THINK DIFFERENTLY?

There are three key steps we can take to approach information management differently and provide the efficiency and effectiveness organisations need:

1 TAKE A RISK BASED APPROACH TO INFORMATION MANAGEMENT

The volume of information generated today is exponential and we no longer have the capacity to manage everything individually like we would in a physical regime. Rather, information managers should take a controlled, risk-based approach to identifying information that is of high value and risk to the organisation. They should focus approximately 80% of their energy on managing this. Everything else can be grouped and managed more holistically but without the rigorous oversight. This needs to be aligned with organisational outcomes, business needs and strategic value, but the focus should shift to that which is most important.

2 CHANGE OUR TERMINOLOGY AND MAKE OURSELVES EASIER TO UNDERSTAND

End users don't get – nor do they care about – the difference between a document and a record. As I discovered recently, the definition of a document/file/folder can mean different things to different people. Let's meet our end users where they are, rather than trying to force them into terminology that is, at best, not particularly relevant to them and, at worst, outdated.

3 REMOVE THE BURDEN OF TRADITIONAL RECORDS MANAGEMENT TASKS FOR END USERS

I've talked throughout this article about how technology has changed. Information management practice and practitioners should take advantage of this leap forward in technology to automate traditional processes that relied on an end user to enact. A good place to start is looking for ways to automate classification. If a formal record declaration process is required, technology can automate this rather than relying on the end user to carry out the action.

It's important to ask: Do the processes we ask end users to go through align to the way they work? Or are they at odds with modern working life? It's so important to build easy-to-use information management practices for how users work now today – not how things worked 20 or 30 years ago. ❖

ABOUT THE AUTHOR

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Unlocking the value of information

In this article, we look at the importance of access to knowledge for society, how that mirrors the organisational experience, and how records and information management professionals can engage organisations in the building of information asset value chains.

By **Michelle Linton** & **Kevin Dwyer**

The wheels of development turn faster and faster each decade. Co-author Michelle Linton's grandfather was born in 1901 and died in 1998. He was a man of the 20th century and, in that time, he witnessed change at 10 times the rate of the previous century. He witnessed the development of cars, planes, television, man on the moon, mobile phones and the internet, also the cure for polio and tuberculosis being found. What was the driver of the increased pace of change? Put simply, access to knowledge.

In 1727, Benjamin Franklin introduced the first public library to Philadelphia. Prior to that, sharing knowledge to a wide audience was difficult and the privilege of only the wealthy who could afford to purchase books. Libraries meant anyone could access knowledge and understand the hows and whys of the world.

Access to knowledge, when it was mainly word of mouth, resulted in knowledge gained being built on and extended. An example is when the potter's wheel was invented in 3500 BC; it took another 300 or so years for the invention of the axle to take place, thereby expanding the potential of the wheel. If there was no way to share the knowledge of the wheel and axle development, then progress towards carts and eventually cars and trucks would have slowed immensely.

Societies that developed written forms of communication early on rapidly became more advanced in areas of knowledge speciality – ahead of the rest of society. Societies limited to verbal communication only, who could share only within their own tribal group and were unable to capture knowledge, could not capitalise and advance at the same rate.

Of course, in today's world where we we can communicate and share via video and digital communication forms, a verbal-only society would not provide the same limitations.

In the past 16 years of the 21st century, the rate of change has escalated even further, and our access to knowledge has exploded with the internet and Google. Many of us as kids may have been envious of families who owned the *Encyclopaedia Britannica* – imagine having access to all that information! And yet that pales into insignificance alongside the level of information we can access on the internet. Type a question in, any question, and you'll have an answer.

Our access to knowledge has become easy and instant. As a result, we teach ourselves a huge range of skills and knowledge voluntarily and willingly – whether it be cooking exotic foods, editing digital photos, perfecting our cricket skills or anything else that takes our fancy.

LAGGING IN THE WORKPLACE

But in our own workplaces we are lagging behind in ease of access to information. The information we hold in our organisations has the same potential to transform and improve our business as the information we access in our personal lives, but we have not yet capitalised on it. The challenge is two-fold:

1 Ensuring we have accessibility so we can leverage the huge growth potential of knowledge

2 Developing the corporate culture that mirrors the innate learning nature that has unfolded in Gen Y and Millennials

When we look back at history, we can see the benefits of increased accessibility to information. Records management, and in particular the storage of digital records in an electronic document and records management system (EDRMS), has the potential to make this happen in our own organisations.

For example, an EDRMS helps to connect pieces of information/business knowledge together by defining relationships and providing a full history of decision making, impacts and influences at our fingertips. Let's say, I develop a training course and manual. A customer asks for a customised version, which I create, based on adaptation of the original. An instructional designer who is working with another client is asked for the same course, customised again. They can simply view the relationships and access the existing customised course and make a decision to use the same customisation if it suits – and they'd also have easy access to any tools created. Therefore, I've increased accessibility and value. When I want to review the original course in future, as part of a continuous improvement project, I would then have access to all the changes clients had asked for. I may then find it makes sense to create a new version of the original course in order to meet client needs or changes as a result of changes in business theory, etc. Clients then have access to a course that better meets current needs without customisation costs.

Despite this type of capability in an EDRMS and many, many millions being spent on EDRMS implementations, we

story snapshot

Throughout history, we can see the benefits of increased accessibility to information.

An EDRMS has the potential to make this happen.

Barriers must be identified and overcome.

RIM has a rightful place at the executive level as an enabler for business improvement.

continue to lag behind in workplaces in ease of access to – and therefore realisation of – the value of information.

The maximum value of information is realised when we are able to adapt it to create new ideas and new information. Think back to the example of the development of the wheel, the axle and the cart. The information on how to build a wheel grows in value as it is used and then adapted.
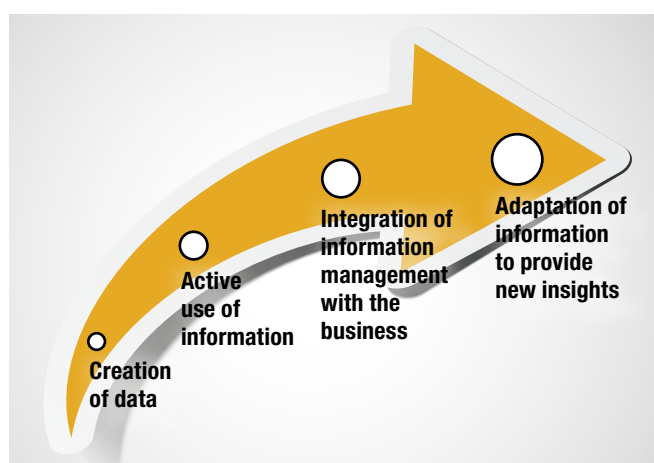
In manufacturing, as an item is assembled from parts, then warehoused as a finished good, then sent to a retail outlet to be sold as a branded item, and then used by the purchaser, it grows in monetary value. This is called a value chain.

THE INFORMATION VALUE CHAIN

Information, just like manufactured goods has a value chain. In the information value chain, data is initially created or collected and stored to be made available to others as a single point of information.

Analysing or editing the information in a collaborative manner creates information of greater value than the original data. Integration of the information into business processes in an efficient and effective manner creates even more value.

Synthesising new information from several existing sources of information to add new insights or wisdom adds even more value.

Integration of information management with the business

Adaptation of information to provide new insights

Active use of information

Creation of data

 Organisations currently operate at the lower end of the digital information value chain. They create and store and view records of information, but according to an annual study on the digital universe by the International Data Corporation, less than 1% of information business is currently analysed.

To effectively move information further up the value chain and increase the value for organisations requires excellence in information management. Effective information management enables people to utilise complex data sources and improve business process.

THE OPPORTUNITY

At an organisational level, records management, and in particular the storage of digital records in an EDRMS, has the potential to drive the realisation of benefits similar to those we enjoy in our personal lives. An EDRMS provides the ability to connect pieces of information/business knowledge together through defining relationships that provide a full history of decision making, impacts and influences at our fingertips.

Consider a very ordinary type of information that most people would consider only useful to a specific group of people within the organisation – Occupational Health incident reports. They inform the Occupational Health and Safety (OHS) business unit of when and where workplace injuries

or near misses are occurring. They are accessible to the OHS unit and not broadly distributed. The OHS unit identifies trends such as the type of work or equipment with high injury rates, and direct action is followed up with the correct business unit to reduce rates. Generally, the outcome would be a change of process, equipment or re-training. That is the immediate value of the information.

What if we made the outcomes of this information accessible to the wider organisation? How would that result in more value being unlocked?

Imagine that same data, and not just the report, was accessed by Procurement prior to going to a tender for a new delivery vehicle for a distribution organisation. They could analyse the data to determine if there was a correlation between design aspects and incidents in loading vehicles.

Imagine that even broader data of the root causes of incidents and accidents is analysed. The analysis may find that, as has been the case in my own experience, that the root cause of many incidents and accidents is the triumvirate of new staff or contractors, infrequently conducted activities and abnormal situations such as weather. This information, if acted upon, can and has saved lives. However, if all the records and the analysis are strictly the purview of OHS staff and their managers, lives may be lost.

BARRIERS TO BUILDING THE INFORMATION VALUE CHAIN

The aforementioned challenges to building an information value chain, accessibility and culture are supported by a number of 'physical' and 'emotional' barriers.

The physical barriers to unlocking value are structures we create that prevent everyone across the business having access to information such as:

◆ creating shared drive and business system structures that lock information into silos

◆ using private email accounts and personal drives

◆ creating information in software not accessible to all (eg, Visio, Project)

◆ storing information outside the mainstream business by the increased use of mobile devices.

Emotional barriers to unlocking value are personal attitudes that drive people to storing their information in inaccessible locations, such as:

◆ indifference to the value of information

◆ disbelief in the benefits of using the EDRMS

◆ personal sensitivity of exposing our ideas to others, especially in their formative stages

◆ distrusting others to use our information in a way that makes sense to us

◆ protecting what we consider to be personal IP – not wanting others to get the kudos for building on our thoughts and analysis of information

◆ using the sharing of information as a power play.

OVERCOMING THE BARRIERS – GOVERNANCE

The foundation in overcoming both the physical and emotional barriers to unlocking value from information is an effective information asset governance framework. That is, a governance framework that treats information as a valuable asset.

A sustainable information asset governance framework has six components:

◆ Strategy

◆ Policy

◆ Systems

◆ Support

◆ Quality assurance

◆ Continuous improvement

Traditionally, the priority that forms strategy is compliance with regulations and recordkeeping principles. The records management strategy is determined in reaction to the RIM unit convincing the senior management team of a need to comply by a specified date. There is little consideration by senior management given to the management of the information value chain as a part of business strategy which, in turn, drives records management strategy.

Disconnecting the records management strategy from the business strategy in this manner creates a poor governance structure which has flow-on effects for other components of good governance.

In the model described here, business strategy drives the development of the criteria to evaluate the alternatives for development of the tools to support the use of an EDRMS.

Typically, this is where the governance structure ends.

The inclusion of a quality assurance component evaluates not only the quality of records management but also the Information Asset Governance Framework itself.

In this model, the records and information management unit designs, develops and regularly assesses measures of success to inform the senior management team, other business units and the RIM unit itself of the impact of adoption of good recordkeeping practices.

In addition, audit is engaged to include a review of information management practices against the policy and processes promulgated by the senior management team as part of their annual audit plan. The audit approach treats information as an asset to be managed.

The combined measures from the RIM unit and audit inform senior management about progress or otherwise of achieving the desired strategic outcomes. Senior management take decisions based on the measures to ensure that deviations from the strategic vision of managing the information value chain are corrected.

The last piece of an information asset governance framework is to create a formal process of evaluation of the current state and development of recommendations to changes to the governance framework components. That is, a continuous improvement process.

A formal Information Asset Governance Framework approach designates responsibility and accountability for the evaluation of internal and external influences which may impact the strategy and policy settings for the management of the information value chain to specific roles.

The results of the evaluation inform senior management of the risks and opportunities and recommended changes to the processes needed under the overarching governance framework to maximise the value of information within the organisation.

OVERCOMING THE BARRIERS – ENGAGING THE ORGANISATION

Putting the foundation of an information asset governance framework in place is indeed a very good start to overcoming the physical and emotional barriers to unlocking value; however, it is far from sufficient on its own.

Engaging the organisation through all layers of management in the strategic reasoning behind the information management policy, its implementation, support offered and the process for improving the system should it not work as intended, is a mandatory step to overcoming both the physical and emotional barriers to unlocking the value of information.
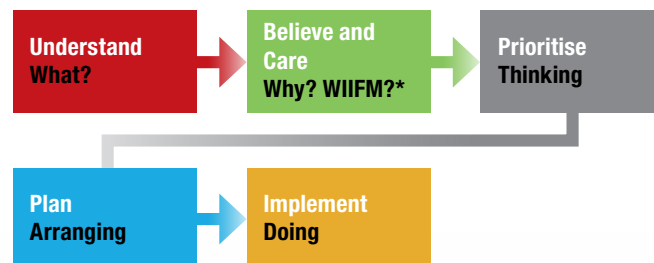
Engagement goes beyond managers just understanding the intention of the program you are running. It requires tactics to move managers through five stages of engagement:

1 Understanding what is intended

2 Caring about the intention and believing it will be good for the organisation and, in particular their business unit

3 Prioritising the activities required to implement the program, for example, attending training

4 Planning the implementation

5 Actually implementing

OVERCOMING THE BARRIERS – PERSONAL ADOPTION

If we engage the organisation through the layers of management and have an information assets governance framework we will have great impetus to individual adoption of the alternative system of storing and accessing information. However, sad to say, this is still not enough.

We need to ensure we create a critical mass of individuals, including our most influential people, who are able to jettison their emotional ties and adopt new behaviours consistent with the desire to share information and build value by collaboration.

To have this happy situation, sufficient people must believe three things:

Good for me

Norm

Intention to change
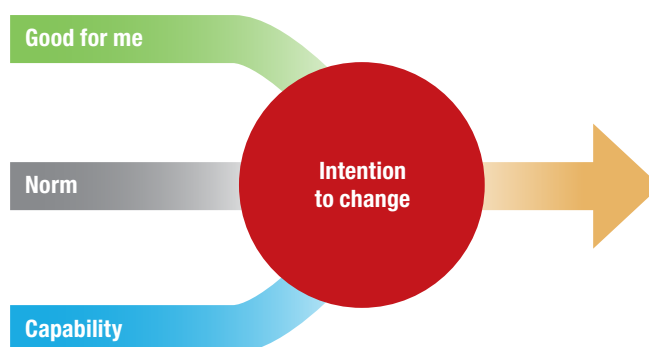
Capability

1 The program outcomes will be good for them

2 The program activities are the norm

3 They have the capability and will be given the necessary authority and encouragement to change their behaviours and ready access to any data to make decisions related to their new behaviours.

TACTICS TO OVERCOME THE BARRIERS

Here are examples of some of the tactics that work to overcome physical and emotional barriers by either engaging the organisation and or driving individual adoption.

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Run a marketing campaign

Develop an internal brand for your program to cut through the clutter of communication. Develop the brand around the benefits of the program, not the EDRMS system. The brand need not include a logo, although it is more powerful if it does. You can quite simply use colours and fonts and phrases to tie your program activities together. Use cut-through communication techniques to help managers to be aware and understand your intention.

Tie that internal brand to communication collateral across multiple channels. Outline the objectives of the program, the steps to be taken including individual responsibilities, and the benefits of the program to individuals, business units, the organisation and its customers, as well as the consequences of doing nothing.

Channels to consider include the intranet, organisation newsletters, simple brochures, workshops, how-to guides, morning teas, team briefs, video, posters and even emails. Select each channel carefully for its reach and ability to carry the message that makes people feel, then think, then do what we want them to do.

Do not get ahead of yourself in your communication. Too much detailed information too early only confuses people. And do not rely on emails and briefings only. You are very likely to fail.

Myth busters

If you are in an organisation with active opposition to your program to use an EDRMS to unlock the value of information, this tactic is likely to work well on several fronts. It can be used with managers who are doubtful because of poor experiences with the EDRMS or have heard bad stories which have been perpetuated.

Analyse the myths and stories that are told about the EDRMS. There will be plenty. A common one we hear is: "I can find any file I need in my shared drive structure; once you put them in <insert system name here> they are lost. It's almost impossible to find them."

Run a workshop for an hour or two with managers and people designated at branch level as 'superusers' who will support the branch roll-out to demonstrate how the myths are not true.

Analyse what issues influential people have in the business, especially the nay-sayers. You are bound to find an issue that the functionality of your EDRMS will resolve. With your knowledge of what will help, ask them the question: "Would it be helpful if I could show you how to resolve that problem?"

File mapping

Migrating people from their habits of using a shared drive structure they have lovingly crafted over many years to a business classification scheme is one of the more difficult emotional barriers you will have to overcome.

Run workshops with nominated influential staff in the branch to help them map their exiting file structure to the BCS. Help them after the workshop to develop a migration plan starting with the low risk records. Give them support. Don't let them fail this significant task.

Cross functional process integration

For those not used to collaborating, who may therefore be naysayers as well, develop a program of integrating cross functional business processes with the EDRMS functionality to utilise system capability such as workflow to demonstrate the power of the EDRMS to deliver value beyond compliance.

IN CONCLUSION

To conclude this article, we would like to make a plea to all readers. You have an opportunity to make a positive impact, a large impact, on your organisations and further, the Australian economy.

Records and information management is seen, by and large, as a passive force in organisations responsible for keeping good order of documents, files and communications and keeping intact an historical view of our key decisions. Records managers are seen as nice people who talk a lot of technical jargon, but do a great job in saving us from ourselves in our poor work habits.

This can and needs to change. Records and information management has a rightful place in discussions at the executive level as an enabler for business improvement.

We can and need to change our views on our own capabilities and set about engaging our organisations in the building of information asset value chains. So we ask you all to think about what you have read here and work towards educating your executives about the value of information. ❖

From Woolongong to Wellington: a new RIM rootstock

Wellington really turned it on for ISO TC46, and I'm not talking just about the pōwhiri, the Magnitude 5.4 earthquake, two days' 8+ hours of sunshine, a Force 9 gale or the Te Papa banquet to 100. At the week's end more than the 110 delegates went back home to all global points shaken and stirred. (Did you notice how these numbers tie up: 15489? Odd, eh!)

By **Mike Steemson**

For the world of records and information management it was especially rousing, the launch of its new, improved world standard, 15 years after the first edition, almost 30 since the seed of an idea for an RM rootstock germinated in Woolongong … yes, *that* Woolongong, the one in New South Wales, Australia. Is there another? (See more on that on page 29.)

The Geneva-based International Standards Organisation technical committee for information and documentation, TC46, held its annual head-to-head in May, for the first time in Wellington, to continue work on a number of IRM and library standards under development by its five sub-committees.

But the main interest was the Sub-committee 11 (SC11) launch of the re-written world standard on Records Management, ISO15489. With it came throat-catching ceremonials, farewells to old workhorses, greetings to new bloods, glances back to beginnings, and forward focuses to new norms.

Information managers all, left to right: Peter Murray, Deputy Chief Executive Information Knowledge Services, NZ Department of Internal Affairs; Dr Gaëlle Béquet, Chair, ISO TC46, the Hon. Peter Dunne, MP, NZ Minister of Internal Affairs; Hans Hofman, retiring head of ISO15489 work group; Leif Andresen, Chief Advisor, Danish Royal Library, SC14 member; David Moldrich, retiring chair of ISO TC46 SC11 and Standards Australia RM sub-committee IT/021; and Chris Szekely, Chief Librarian, Alexander Turnbull Library, Wellington.

"CLEAR STANDARDS A MUST"

Day One
A bright, sunny early-start day at the freshly renovated and earthquake-proofed art-deco NZ Ministry of Business, Innovation and Employment ('M-Bee') building in the city centre. A welcome by a New Zealand information management gun, Peter Murray, leader of Information Knowledge Services at the Department of Internal Affairs covering Archives New Zealand, Government Information Services and privacy office, and the National Library. He opens with:

"Having robust, clear and relevant standards is a must if we want to be professional managers of information about people, about us and our services." He outlines what's happening records-wise across the public service and winds up with:

"The outcome of all this focus is information driven insights are reshaping services and

policies, and adding public and private value. Information and record keeping must be based on robust clear and relevant standards."

TC46'S 'CRUCIAL ISSUES'

Then the chair of TC46, Dr Gaëlle Bequet formally opens the gathering. In her day job, she's director of the reference library world's International Standards Serial Number (ISSN) centre in Paris. She says that the meeting "highlights issues as crucial as digital preservation, digital publications' formats, archives and records management to name a few".

That evening, at the formal Māori pōwhiri (welcome ceremony) that always delights overseas delegates, especially the Australians, government Minister of the Department of Internal Affair, Mr Peter Dunne, insists that the standard's new version "addresses the management of records in a rapidly changing world".

All good stuff.

Day Two
More wall-to-wall sunshine and the RIM community hears insider details of the new ISO15489 for the first time from the new SC11 chair, Australian consultant Cassie Findlay. Lots of exciting stuff, as you can see in her feature (page 35) and Barbara Reed's opinion and opinionated piece on the results (page 32).

SC11 group celebrate new ISO15489, left to right: Retiring chair, David Moldrich; new chair of RM standard work, Cassie Findlay; Mrs Marie Moldrich; China delegate Dr An Xiaomi; new chair of Standards Australia committee TC/021, Barbara Reed.

Day Three
As Windy Wellington weather sometimes does, it turns sour … thunder, lightning, torrential rain and cold … in time for a CBD rooftop reception for delegates hosted by GOVIS, the Government Information Services managers' group. Govis is a very knowledgeable, sociable group that's had special beers brewed to mark its 25th anniversary. The weather keeps many overseas delegates indoors but the beer was great!

$\Rightarrow$

ABOUT THE AUTHOR

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Top: SC11 group celebrates new ISO15489, left to right: Spanish delegate, Carlota Bustelo Ruesta; Project Manager, Agnes Simai; Sweden's Elisabeth Klett and delegation head Anki Steen; and newly-elected SC11 chair, Judith Ellis. **Above:** Head of ISO TC46, Dr Gaëlle Béquet leads applause for retiring SC11 chair, David Moldrich, after presenting him with the ISO Certificate of Merit. **Right:** David Moldrich, retiring chair of ISO RM standard committee, congratulates retiring colleague, Hans Hofman, head of ISO154589.2016 work group.

> *SC11 says goodbye to its doyen, day-one founder David Moldrich, Australian master record keeper management*

HEART-STOPPING 'QUAKE

Day Four

An hour before TC46 committees start the day's work, a Magnitude 5.2 earthquake 50 kilometres north and only 27 kilometres deep shakes the capital. Not too severe by Wellington standards, but many delegates feel their first 'quake and don't know whether to dive under a table or leave the building as they've been gently advised at each meeting. It's over almost before it begins, but heart-rates are hoisted for a while.

That evening, at a slap-up, sponsored dinner in the swish dining room of the national museum, Te Papa (loosely: 'Our Place'), SC11 says goodbye to its doyen, day-one founder David Moldrich, Australian master record keeper and holder of the Australian Order of Merit for services to record management. He's stepping down from chair of SC11 and from Standards Australia's IT 21 Committee on Records Management which he helped found. TC46 chief, Gaëlle Bequet, presents a touching and telling eulogy and an ISO certificate of merit.

David, in his turn, farewells Dutchman Hans Hofman, retiring SC11 colleague and leader of the work group making the final charge hauling together the fraught complexities of the ISO15489 revision. The tall Dutchman gets an ISO certificate, too, and he jokes about the battles for consensus.

Day Five

The final day is for review and settling work plans before the next TC46 gathering. Unsurprisingly, many of the delegates have already headed for home or for the tourist delights of "the coolest little capital in the world" and "clean, green" New Zealand.

Now, I wonder who's going to record, just for posterity you understand, the anecdotes from the infighting in the run-up to ISO15489.2016? ❖

www.iso.org/iso/catalogue_detail?csnumber=62542

IN THE BEGINNING THERE WAS BHPS, SAP AND "WHAT'S RM?"

July 1988 and here I am sitting in the Admin Building of the Broken Hill Propriety Ltd Steel Works (BHPS) in Wollongong, Australia. My title is Senior Records Manager for BHP, and I'm here because BHPS is the first organisation in Australia attempting to install a new piece of German software called SAP.

By **David Moldrich,** OM

The 1998 Standards Australia IT/021 members

A David Moldrich, 1998

B Dr Graeme Pratt, 1996

C Frank Upward, 1999

D Ross Gibbs, 1990s

E Sue McKemmish, 1996

I'm here because after they have installed and configured SAP; they are going for Quality Certification. Someone found a section in the Quality Standards that refers to the need for process controls for 'quality records', and now it's my problem.

So I do what most others would do and call Standards Australia (SA) and ask for a copy of the standard for quality records and "while you're at it, a copy of any standards on records management". The answer immediately comes back (wait for it!): "What's records management?"

It's a long story! Shortcut: after many meetings, it looked like I had identified a wide gap in Quality Standards requirements and the need for a standard on records management (RM). So I wrote a proposal from BHP (thank you, BHP, for the sponsorship) requesting that SA set up a committee to discuss (and agree) on the requirement for an RM standard.

The initial meeting was really just to gather RM experts to gauge how much interest there would be. As I recall, the meeting took place sometime in February 1989 at SA, Alfred St North, North Sydney. It was attended by the following:

DAVID IN THE CHAIR, OKAY?

Claude le Compte, project manager, SA; Graeme Pratt, managing director, Opticon Australia; Frank Upward, Monash University lecturer; Ross Gibbs, director, Public Records Office, Victoria; Sue McKemmish, Monash University information management faculty head; me; and 10 or so others representing the Public Records Office, NSW, the National Archives of Australia, the RMAA (as RIMPA was then known) and the Australian Society of Archivists.

The meeting went well and we agreed. Claude then wrapped it up saying that, as there were no objections, David Moldrich would be chair.

Hey! Wait a minute! I didn't step forward for that (nor did everyone else just step back). I'd just identified the

need!! Anyway, that's how I became the chair of Standards Australia's IT-21 Records Management Committee!!

In 1991, SA assigned a new project manager, Peter Treseder, who stayed with us and ISO/TC46/SC11 until 2003. It wasn't always planned to have six parts in AS4390. It took two years to decide on this, and various people took charge of each part and its sub-committee. In total we are talking about 70+ individuals from across Australia. It took six years up to 1996 from conception to publication of AS4390 Parts 1-6. It was a mammoth effort for all.

Officially we used to meet four times per year when the norm was to meet face to face. A teleconference could still only be done with one other group, so getting together to collaborate over this subject was not easy. The majority of the committee had to fly into Sydney and then get out to Homebush – not cheap exercises. We all had to pay our own way or get our organisations to pay up.

> *It took six years up to 1996 from conception to publication of AS4390 Parts 1-6. It was a mammoth effort for all.*

FRANK UPWARD SHOCKS US

Frank Upward played an overall 'advisor' role and Barbara Reed became the real editor of the all parts. At our final meeting I, like the rest of the committee, thought that we were really only getting together to pat each other on the back, crack the bottle of 'Champagne' and send this 'beast' off to the publishers.

Then Frank Upward walked into the room looking very uneasy. Stupidly, I thought that he was just not feeling well

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SC11 project managers: then and now

A Former SC11 project manager, Peter Treseder

B Current SC11 project manager, Agnes Simai
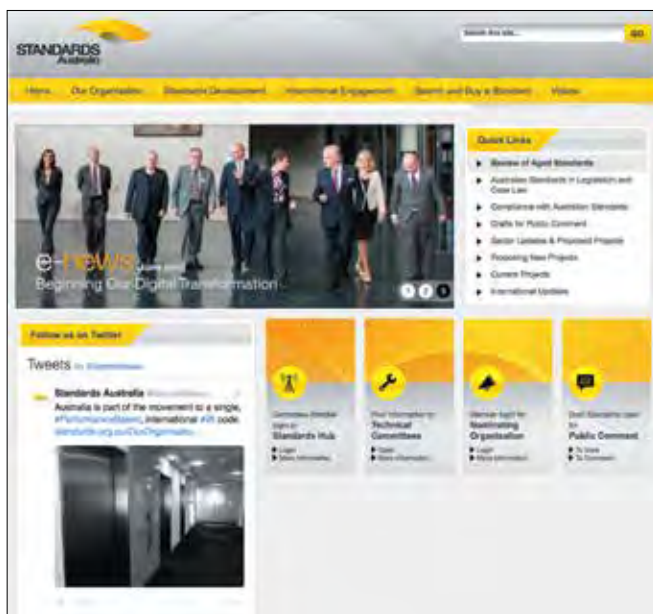
after his flight up from Melbourne. But he proceeded to tell us that he was not happy with the final draft and that three of the six parts needed to be changed.

After five years of to-ing and fro-ing, I now felt 30+ sets of eyes glaring at me and looking for answers. So I did what any other chair would have done. I told Peter Treseder to "lock the doors" and that no-one was leaving the room until we had consensus on the final set of documents.

So after six more hours of deliberation and Peter Treseder doing 'cut & paste' with the document – we are talking about 1995 when cut & paste was done with a pair of scissors and sticky tape – we finally arrived at what you now know as AS4390 – Records Management. The series was published on 5 February 1996.

ISO TAKES AN INTEREST

Then in October 1996, Peter phoned me to tell me that Verina Horsnell, the head of ISO/TC46 – Information and documentation, was in Sydney for meetings with the librarians. Peter had been chatting with Verina and she was interested in having a discussion around records management standards. I was living in Melbourne, so I jumped on a plane that afternoon and flew to Sydney to have dinner with Peter and Verina. My thoughts:

"What about an international standard! Great! Let's get the chair, ISO/TC46 drunk and see if she will take it on!"

That's almost what happened. We met at an Italian restaurant in Sydney to discuss what the options were to internationalise AS4390. But after only a couple of glasses of good Australian Merlot, Hill of Grace, we had agreement from Verina that we should try and get AS4390 adopted as an international standard.

In August 1997, we had an ad hoc meeting of interested parties in the British Standards Institution offices in London. In attendance were experts from Australia, Canada, France, Germany, the International Council on Archives, Sweden, the United Kingdom and the United States.

Between that initial meeting and the launch of ISO15489, SC11 held multi-day meetings in London, Athens, Washington, Paris, Melbourne, Berlin and Stockholm. The international standard was officially launched at the Montreal, Canada, ARMA International Convention in October 2001.

RM NOT LEVEL FIELD

What was really important during these initial and formative years was the understanding in the 1990s that the records management industry was not a level playing field globally. Some countries were advanced in their thinking and others were catching up.

In many ways going from AS4390 to the first iteration of ISO15489 was seen by some as a backward step. But the importance of ISO15489 in being the initial step of an RM journey for some countries cannot be underestimated.

There are not enough words to express the RM industry's debt of gratitude to Barbara Reed in the effort she made to succinctly express the contents of both AS4390 and later ISO15489. If I am to be known as the 'grandfather' of RM standards, then it is fair to say that Barbara is the 'grandmother' of AS4390 series and ISO15489 series (the bearing of both of these children was as painful as a real birth… or so I am told!!)

It is great to see the impact that the initial ISO15489 had on countries like Kenya, Korea, China and many European countries. These same countries are now seen to be the 'leading experts' in some of the subject matter that SC11 is now tackling.

The new 15489 is a big step forward in RM thinking and certainly sets the scene for an exciting period of development for subjects that could accompany this main document.

Thinking back all the way to our initial SA meeting for AS4390, we have finally got what we planned for a single Standard document. That's right, ISO15489 will be only one document. It is the core document that all other products will be developed from and related to … just like we planned it in 1989. ❖

ABOUT THE AUTHOR

David Moldrich was chair of the Australian Standards IT 21 Committee on Records Management for 23 years. In 2006, he received the Medal of the Order of Australia for his services to the development of national and international standards in the field of Information Management. These days, David describes himself as a "self-employed principal consultant, musician at piano, keyboards and vocal".

New ISO15489 moves the goalposts much closer to format neutrality

We have a new version of the keystone professional standard – ISO15489. And that is a terrific thing. It is phenomenally difficult to achieve international consensus on these things – as you may have heard some of us bleat periodically. And when it is a revision, it is more difficult because we have the added complication of different countries taking up the standard at different times.

By **Barbara Reed**

So clearly if you're in a country that has recently adopted the earlier standard, perhaps spent time translating and promoting it within the jurisdiction, then changes are not particularly welcome.

But the previous standard was getting on for 15 years old. And that's a very long time in the fast-paced technology world we live in. All standards have a compulsory review period after five years. But at first, the international standards community could not agree on what changes were appropriate, so this new standard is quite an achievement.

All standards are compromises to reach the goal of international agreement. But it does move the goal posts significantly. It has moved the baseline standard much further towards format neutrality. That was there in the original standard, but paper practices did still permeate a bit. Now the focus is far more digital, while still enabling the paper world.

There are four aspects to the new version of ISO15489 that I particularly like and which will stand us professionally in good stead as we manage records in the digital world. For me, these are:

◆ the principles-based approach

◆ the clear articulation of records control tools

◆ a discipline-specific analysis methodology

◆ the ubiquity of recordkeeping metadata.

Each of these had their geneses in the earlier version, but their articulation is much clearer in the current one, and they all have potential to be developed further as we evolve.

PRINCIPLES-BASED APPROACH

The new standard pushes towards a principles-based document. This is in line with a whole lot of other developments in approaching information management – for example: open data, the 'by design' approach etc. Pushing towards more principle-based approaches means that we can continue to develop and refine them to provide a framework for creative implementation without getting bogged in the specifics of implementation.

For some, this is a problem, because they want an instruction manual. But reality bites when we realise the complexities of jurisdictions, organisations and technologies all wanting specific guidance material – not possible at the international consensus layer. So this approach is really positive and provides lots of room for local practice as well as future work making sure the principles remain robust and understandable.

CLEAR ARTICULATION OF RECORDS CONTROL TOOLS

Identification of the key records control tools is another vital aspect to provide possibilities for future expansion. 'Records control tools' is the wording accepted in this standard, but users may reference these as the 'policies' (technology specific usage), or business rules, or some other terminology. These are the things that drive the behaviour of specific applications used to support record keeping. This is our professional portion of the information governance space. These are the things that professional record keepers need to be particularly responsible for: development, accuracy and usage/implementation. The tools themselves haven't changed much. They are as follows:

◆ Metadata schema for records to set core rules on how an organisation defines and structures records and other authoritative information

⟹

◆ Records classification (business classification schemes) to link records of action to business context. Note the more liberal interpretation of what records classification is. It may be inherited from software system modules that describe functionality, or from workflows, or from other sources, but must perform the key task of providing the linkage to business

◆ Access and permission rules to identify people, internal and external, and enable actions, access and delegation

◆ Records retention (disposition authorities) rules around how long records and information should be kept. They still look pretty traditional, and are still in need of study about how to express them in ways that can be machine processable.

These are the key governance documents that recordkeeping professionals need to manage. They are defined to exist OUTSIDE any specific technological application, and to be deployed creatively when and where they are needed. This is a major step forward. Now we have to see whether the standard's language can convey this new paradigm to practitioners.

A DISCIPLINE-SPECIFIC ANALYSIS METHODOLOGY

As many readers in Australasia will know, we have had a concept of appraisal that embraced determining what to create, as well as how long to keep records. This has been established since 1996 with the introduction of the AS4390 sequence of standards on records management. Appraisal has always been very difficult in the international arena as it has been enshrined in the legislative environment in some jurisdictions meaning only the 'how long to retain' part (and often focusing only on those things determined to be archives).

With the emerging digital environment, the arguments for including a more proactive stance have gained weight. We have managed to convince our international colleagues of the strategic advantages of approaching appraisal in this way. It becomes an analysis methodology underpinning the development of all of the key records control tools. Again, it will be interesting to see if the articulation and the adoption live up to the promise raised in this document. And we all hope so!

UBIQUITY OF RECORDKEEPING METADATA

At the risk of sounding like a broken record, the importance of metadata to digital records cannot be overstated. Basically they don't exist without metadata. So the approach to metadata has been to weave it throughout the standard. It

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is identified as a key control tool in the form of metadata schema, but it is also the beginning of the maturity of the recordkeeping profession in that metadata has ceased to be the preserve of the kind of kooky few, and has become the core. Lots of room to move here, lots of implementation experience to be considered and lots of future development opportunity should we need it.

Recordkeeping metadata remains controversial. Some of our colleagues are focused only on document-centric, 'profile' level metadata. But the approach we have developed for recordkeeping metadata is so much richer, and so much more powerful. Relationships and context are king, but as yet largely unimplemented in persistent ways. We're going to have to keep plugging away at this, but the new standard has articulated the concepts that will enable continuing innovation.

A PERFECT DOCUMENT? NO, BUT …

Is the new ISO15489 a perfect document? No, nothing can be. But it does provide a re-articulation of our professional practice in ways that are sustainable and implementable in an ever-changing digital environment.

There are plenty of areas for further development, and innovative implementation will allow further development. It is still organisationally focused, but acknowledges the increasingly blurry boundaries between organisations and looks a bit towards client-centric record keeping.

There are hooks to be found to support creative innovation. It remains to be seen if our recordkeeping regulators and implementers can work with the hooks and the expansive possibilities enabled by the standard to create the vibrant and creative recordkeeping approaches that we all want. ❖

Introducing the revised International Standard on Records Management, ISO15489: 2016

The decade and a half since the issue of the global recordkeeping standard ISO15489 has seen an astonishing amount of change in the way we work and how we live our lives. When the standard was introduced, it was into a landscape mostly of centrally managed, in-house ICT shops, serving MS Office suites and custom database applications.

By **Cassie Findlay**

Social networking was limited to Friends Reunited[1] and clouds remained meteorological phenomena. Record keeping was only starting to come to grips with operating in non-EDRMS business systems. Managing paper records still shaped many of its practices and tools.

However, in the 1990s new approaches to making and keeping records suitable for the digital environment had been taking shape. Pittsburgh University's David Bearman's 1994 work on record keeping warrants and a systematic approach to recordkeeping systems[2] and Monash University's Frank Upward's 1996 records continuum model provided the building blocks of a more strategic approach[3]. Recordkeepers began to recognise that the volume and complexity of digital records meant that many reactive and manual approaches had to be replaced by understanding business and assessing risk.

The 1996 Australian Standard on records management, AS 4390, reflected these understandings, and it was that standard that served as the starting point for the development of the first, 2001 edition of ISO15489 *Records Management*.

ISO15489: 2001 marked an important milestone in the development of more digital-friendly approaches to making and keeping records. It was adopted worldwide by over 50 countries and translated into more than 15 languages, the first global consensus on the core business of recordkeeping professionals. For a profession which encompassed a significant variety of traditions across different regions of the globe, and with existing practices at almost every level of maturity, this was no mean feat.

> *ISO15489: 2001 marked an important milestone in the development of more digital-friendly approaches to making and keeping records*

CONFIRMING OUR SHARED UNDERSTANDINGS

During the following decade, after a number of abortive attempts to refresh the standard, a new SC11 working group was formed in 2012, led by senior advisor at the Nationaal Archief of the Netherlands, Hans Hofman. The working group comprised representatives from dozens of countries, with a smaller editorial group nominated to carry out the drafting work[4].

Early on, the working group (WG 13) agreed on a number of assertions. These served as important throughout the revision process, and are included in the standard's introduction. The group agreed on:

◆ the roles of records as both enablers of business activity and information assets

◆ the increased opportunities for records use and reuse in the digital environment

◆ systems and rules for the creation, capture and management of records needing to extend beyond traditional organizational boundaries, such as collaborative and multi-jurisdictional work environments

◆ the need for records controls that can be independent of other components of records systems

◆ the importance of recurrent analysis of business activity and context to identify which records needed to be created and captured, and how they should be managed over time

◆ the importance of risk management in devising strategies for managing records, and the management of records as a risk management strategy in itself.

We wanted to acknowledge the digital realities of the world around us but did not wish to write a standard that addressed technologies specifically, as this would date it quickly. It was agreed in this phase of the review that the standard should be technology agnostic, written so it would be able to guide approaches in any environment including for paper based record keeping. We agreed, however, that we needed to revise the standard with a digital mindset. We were aware that we needed to move away from the remaining conventions and practices that had been borne of paper practicalities, if our profession was to step up to the business and record keeping needs of society, business and government today.

AN ADAPTABLE, DIGITAL-READY TOOLKIT

Digital service delivery or accountable business systems, developed in collaboration with other players including business and ICT, need flexible principles and options. The revised Standard was built with these in mind.

Many discussions were had on the subject of 'must' and 'should' – ISO-speak for compliance vs non-compliance
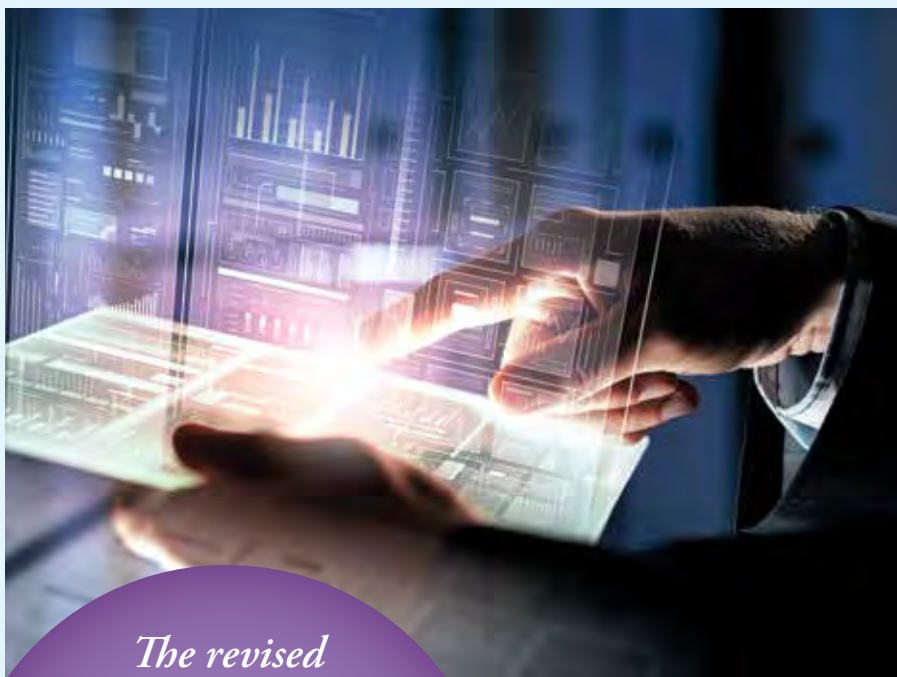
The revised version of ISO15489: 2016 is different to its predecessor in that, up front, it establishes a number of principles to guide any approach to managing records

standards. There were arguments on both sides. However, the working group agreed on the 'should' path – and this was used only sparingly. Defining and implementing policy, systems and processes for records are all highly contingent on context and risk. Specifying that an organisation of any type, across the globe, *must* carry out a specified set of actions to be deemed to be 'managing records' seemed counterintuitive to this understanding. Some jurisdictions and communities may, of course, also need checklists, compliance and certification. However, in this core document on managing records, the decision was made to express the work as a set of principles and concepts – on which other more prescriptive advice or requirements could be layered.

CONCEPTS AND PRINCIPLES

The revised version of ISO15489: 2016 is different to its predecessor in that, up front, it establishes a number of principles to guide any approach to managing records. These are:

a the creation, capture and management of records are integral parts of conducting business, in any context

b records, regardless of form or structure, are authoritative evidence of business when they possess the characteristics of authenticity, reliability, integrity and useability

c records consist of content and metadata, which describes the context, content and structure of the records, as well as their management through time

d decisions regarding the creation, capture and management of records are based on the analysis and risk assessment of business activities, in their business, legal, regulatory and societal contexts

e systems for managing records, regardless of their degree of automation, enable the application of records controls

and the execution of processes for creating, capturing and managing records. They depend on defined policies, responsibilities, monitoring and evaluation, and training in order to meet identified records requirements.

Reviewing the standard as a whole, the integration of these principles throughout the remainder of its parts becomes clear. The fundamental importance of appraisal, as the recurrent, analytic work that underpins decision-making is embodied in Principle 4.

Given the disruptive nature of the information revolution going on around us it was also important that the Standard reconfirm some of the key concepts of our profession:

♦ The definition of 'records' used in the 'Terms and definitions' of the standard has not changed substantively, but the primacy of records' transactionality and reliance on metadata are emphasised

♦ Metadata for records is referenced throughout the Standard, as well as in the explanation of key concepts, as the fuel that drives the recordkeeping engine.

♦ Records systems are characterised as sets of functionalities connected to a number of control tools for records. These may exist in a variety of forms and may often be a set of interconnected tools and repositories rather than a single application.

The Standard also contains descriptions of the nature and purpose of:

♦ Appraisal: described in the Standard as recurrent analysis of business context, business activity, processes and risk for the purpose of determining what records to make and keep and how to manage them

♦ Records controls: including metadata schemas; access and permissions rules, classification and disposal rules

♦ Records processes: including the application of rules from records controls, migration and use/reuse of records

♦ Policies and responsibilities.

WHAT HAS CHANGED?

In the original standard, certain characteristics were described for records, the implication being that without such characteristics they were not records leading to unhelpful interpretations of notions of 'record' and 'non record' being used in formal systems. In fact, of course, any information or data representing some action or transaction is a record, no matter how well or poorly structured, or lacking in metadata.

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✉ She can be contacted at findlay.cassie@gmail.com

Now, a slightly revised set of characteristics is ascribed to 'authoritative records'. This supports the idea that some records may require more rigour in their management, and a greater understanding of business context and risk - afforded by routine appraisal.

Appraisal, now a chapter of its own in the revised standard, was amongst the most hotly debated aspects of the review. An Australasian description of appraisal was difficult for some nations to accept, given the different way the term is used by some[5]. However, there was also agreement that the analysis work and decision-making entailed in our understanding of appraisal was more essential than ever in dealing with the challenges of contemporary record keeping. No other term appeared to exist, at least in English, that adequately encompassed these activities, and it was finally decided to use the word to describe the core aspect of recordkeeping practice. Unfortunately, adding normative implications of it as a formal definition in the 'Terms and definitions' proved a step too far, and so it does not appear there.

AN ECOSYSTEM OF STANDARDS AND GUIDANCE

There has also been a change in the way guidance for this standard will be produced. Since 2015, work has been undertaken on supporting guidance for the standard, documents on the design of systems for records and appraisal. New pieces of guidance on appraisal for managing records and systems design are underway, but as separate resources, not parts of 15489. The Management Systems for Records (MSR) series offers a top management implementation framework for embedding records management policy and processes across organisations.

ISO15489, in its new 2016 iteration, sits at the centre of this rich ecosystem of standards and guidance on making and managing records in the 21st century. It is a vital resource for any recordkeeping professional working on systems and processes to ensure evidence of digital business is made, and to manage it accountably over time. ❖

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4. The editorial group of WG13 comprised: Hans Hofman (Netherlands), Cassie Findlay and Barbara Reed (Australia), Joanna Smith (Canada), Sylvie Dessolin-Baumann (France), Don Rosen (USA), Raivo Russalepp (Estonia), Elisabeth Klett (Sweden), Wout van der Reijden (Netherlands), Sharon Smith (Canada) and Gemma Lee (Korea).
5. In some countries appraisal is the process undertaken by archivists selecting records for permanent preservation as archives, often using the criteria of 'legal, administrative or historical value' as a basis for decision making. In these jurisdictions it is typically not used for other decision making about records in other contexts.

Adopting an electronic records management system: drivers and barriers to success

Electronic records management systems (ERMS) are being adopted by many enterprises as a way of streamlining their business practices as well as ensuring compliance with government authorities, laws and accepted best practice in record keeping. It's important for stakeholders to see the benefit of ERMS, if the adoption is to be successful and embraced as an enterprise-wide project.

By **Katriona Campbell**

Tangible benefits are the ones you can measure once the ERMS is running; there will be some immediate benefits, as well as some long-term overall measures of success. Tangible benefits will include (Adam, 2007) cost savings, resource savings, freeing up floor space, productivity gains, and competitive advantage. Further tangible benefits include time saving (which can be used to further revenue earning tasks), better stock control and improved cash flow (as debts are collected and creditors paid in a timely fashion).

Intangible benefits may be less clear to measure or calculate – however, the organisation will experience some of these benefits immediately. Intangible benefits (Adam, 2007) will include centralised storage of information, better information management, compliance with laws and standards, improved customer service (including a decrease in customer complaints), more efficient business processes, improved staff morale and team work.

There is the opportunity for full disaster recovery. It is envisioned that the centralised storage of information will discourage the silo effect and increase knowledge sharing, and reduce duplication of tasks. There will be no need to transfer files and information physically between various sites. Decisions will be able to be more evidence based, because

the information is available in real time. Additionally, there is an opportunity to archive company information for posterity and historical reasons.

The following factors will be significant in the enterprise adoption of ERMS. It's important that management, the ERMS implementation team, and the ERMS support understand these factors, together with any barriers to adoption, before the roll out. This will ensure most issues will be anticipated and resolved prior to any escalation of problems (perceived or actual).

CRITICAL SUCCESS FACTORS IN THE ADOPTION OF ERMS

- Consultation with all stakeholders
- Clear understanding of workflow models
- Training in system and record keeping
- Clear understanding of the benefits
- Genuine user participation
- IT support and consultancy

- Whole of enterprise adoption
- Clear policy
- Future planning
- User friendly software, system and policies
- Clear classification (Gunnlaugsdottir, 2008)
- Thorough testing prior to adoption
- Clear change-over schedule
- Executive support
- Culture of open communication and feedback (Holt, Swatman, & Wilkins, 2009)
- Driven from the top, building from the bottom (Hase & Galt, 2011)
- Excellent support upon roll out – eg, helpline, roaming support, clear manuals, ongoing training (Di Biagio, and Ibiricu, 2008)

BARRIERS TO SUCCESSFUL ERMS ADOPTION

- Technophobia – the fear, dislike or mistrust of technology. Training and reassurance, support and communication should help to alleviate some of those fears.
- Resistance to change. Resistance to learning new skills. Once again, communication is key, as well as allowing others to see how the system will benefit them. Show some quick successes which will happen, and gather your 'cheerleaders' to assist in spreading positivity.

- Initial set up costs of a new system may be off putting especially in smaller businesses or organisations. Sticking to a strict budget and only getting what you need should assist here.
- Failure to view records management as critical, and poor understanding of legal requirements. This can be solved through education about recordkeeping principles, laws and standards. It is important to help staff see the bigger picture and their role in it. Sometimes case studies can help people see real world consequences.
- Enthusiastic and conscientious staff keeping everything. Clear guidelines need to be set in place regarding what needs to be kept and what can be disposed of immediately. Provide some quick lessons in filtering during the training.
- Uncertainty about what constitutes a record, so some records not kept. Once again guidelines will ensure staff are clear that alternate formats such as an e-mail, a photo or recording may constitute a record in certain circumstances.
- Concerns about technology replacing people's jobs and concerns about job security. This requires reassurance that technology is not there to replace jobs, but to make tasks easier and ensure compliance.
- Information security risks involved with ERMS adoption can be met with a risk analysis, and the implementation of suitable controls, barriers and policies.
- Changeover hiccups or teething problems can lower morale and confidence in the project. Ensuring most barriers are anticipated and addressed can help. Also, call to action your 'cheerleaders' and give people some awareness of successes and benefits that are already happening.

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◆ Over-enthusiasm can lead to early adoption of ERMS without ironing out problems in testing and trials. It can also lead to poor decision making and risk taking to hasten adoption. This problem has often been seen when businesses want to be 'first to market'. ERMS teams or crews need to stick to schedule and budget and both rally and monitor each other.

There are many ways to measure success. Just as there are both tangible and intangible benefits for managers and employees in the rollout of the ERMS system, the measure of success of the actual roll out will be measured in many ways. For some it will be the speed of rollout, or the speed of acceptance and adoption by the whole enterprise. Others will measure success by the feedback from staff, and some by the improvement in cash flow and other benefits.

Through the reading of relevant literature however, one thing is clear. Records managers and executives alike must

> *Having crew or team members from all areas of business is the top critical success factor in the adoption of any business system*

remember that, while we are dealing with technology on one hand, on the other we are dealing with real people. Our employees will have genuine concerns, fears and varying levels of interest in the project.
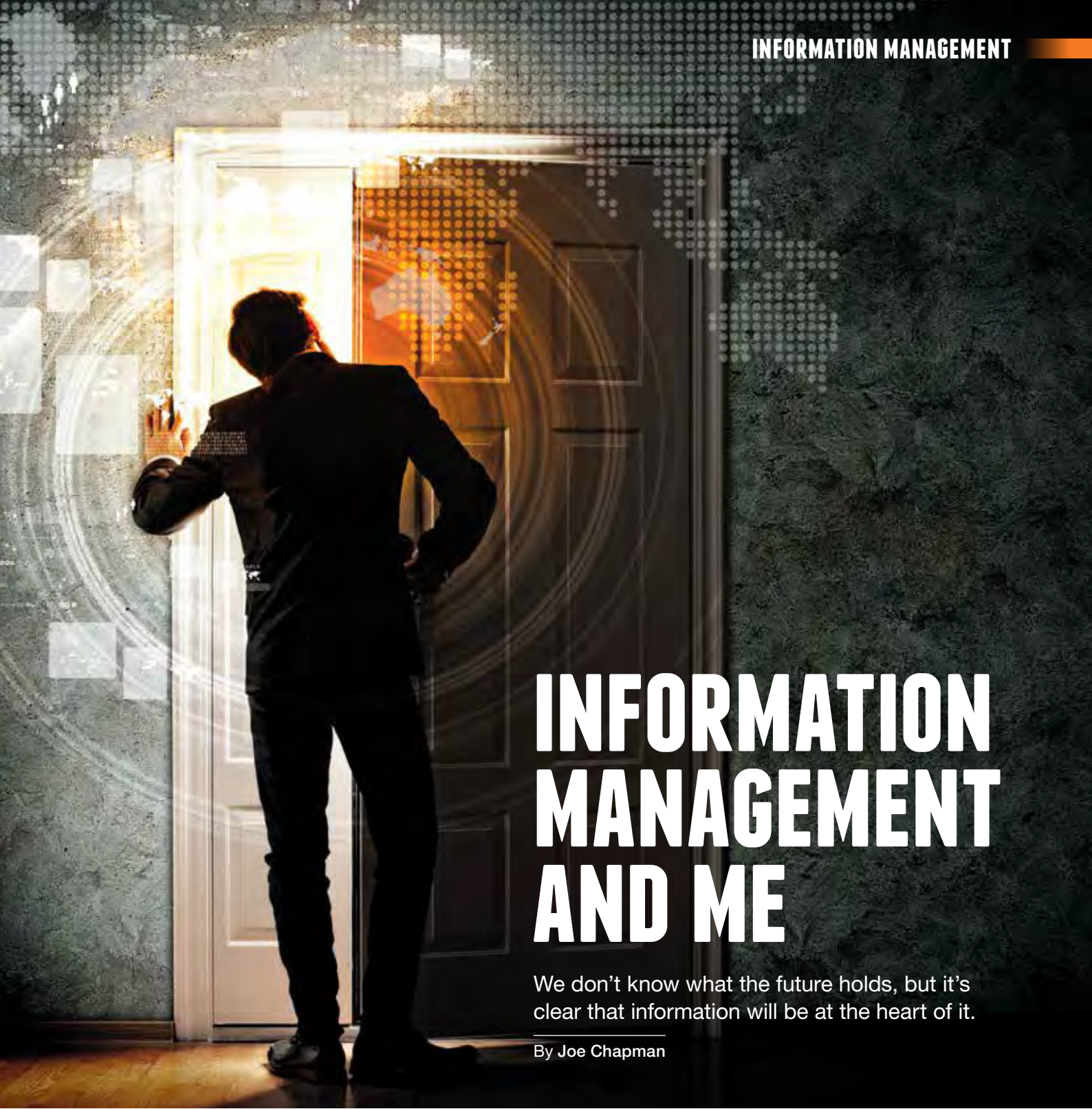
Having crew or team members from all areas of business is the top critical success factor in the adoption of any business system. There needs to be consultation and input at each stage of development. Managers need to address concerns and listen to feedback in a constructive way. Communication between all stakeholders needs to be open, transparent and reciprocal. Clear dissemination of information regarding the system, top level training and support, an openness to feedback, and a willingness to take suggestions on board will ensure that all other success factors and barriers can be taken care of in a manner that makes transition smoother and less stressful for all concerned. ❖

ABOUT THE AUTHOR

Katriona Campbell is a firm believer that education can change lives and should be a lifelong pursuit. She is a tutor, carer, small business operator, computer tinker, student, blogger and writer. Her interest in records began when she moved from teaching to administration at a country TAFE, where she became exposed to recordkeeping practices and saw the benefits of having an excellent system in place. She consolidated this with formal learning at Edith Cowan University and further work practice at Birtwistle Local Studies Library working on the Picture Armadale Project. Her future goal is to conduct research in two areas – access to information for people with disabilities; and the social impact of digitising historical records. She is currently enrolled in a Master of Media and Communications with a specialisation in Social and Cultural Inquiry to achieve this end.
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INFORMATION MANAGEMENT AND ME

We don't know what the future holds, but it's clear that information will be at the heart of it.

By **Joe Chapman**

What does the future hold for you?

I read an article recently about a university inviting local 12-year-old school pupils to visit the campus to help them think about their higher education options. Higher education … 12-year-olds!

I like to think that it was my worldly wisdom that allowed to me to realise that such a scheme was nothing more than a forward-thinking recruitment drive. But it also got me reflecting on how little I knew at such a tender age about what I wanted to do at uni and beyond, and how impossible it would have been for me to foresee where I've ended up even three years ago, never mind, erm … several.

It was in early 2013 that I stumbled across an opportunity to be part of something called an 'Information Management project' for a local council. I have to admit that, although thoroughly disillusioned with my job in project support for a large oil-and-gas firm, it was the latter part of that concept that grabbed my attention rather than the former!

"It'll be good project experience," I thought, "whatever this 'information management' lark is about".

Fortunately, the project manager was either perceptive or indeed foolish enough to hire me, and it's because of that moment and because of his decision that I'm able to find myself well-and-truly hooked (probably against my better judgement) on working in this sector, with all its invigorating highs and demoralising lows.

As it turns out, information management and project management aren't all that different – for example there are many required skills that are common to both, and the same is true of the challenges. So what have I learnt after my unexpected career turn, and what does the future hold?

⇒

PATIENCE, PATIENCE ...

The number one culture shock for me (of which I've had a double dose courtesy of the lethal combination of information management and local government!) has been the pace of change.

Nothing happens quickly in this business, whether it's getting people to believe in the need for and benefits of reform, acquiring the resources necessary to make it happen, or seeing the fruits of one's labour.

Given the financial constraints we face (especially in the public sector), this is hardly surprising, but considering the growing recognition, importance and scope of what we do and are expected to do, this is worrying.

Just like the day-to-day tasks we engage in, the solution to this problem requires that most precious resource – time. We need to invest the time not so much in talking amongst ourselves (although that helps) but taking our message 'out there', delivering it in a variety of forms but always couching it in words and ideas that make sense to – and matter to – our audience.

Ironically in this age of information and communications technology (to coin my department's often-forgotten full name), I've found that face-to-face still works best. Our customers are far more likely to engage with a human face than with text on a screen or a voice on a phone.

Keep it practical, too – it justifies pulling people together in the first place, and fosters both trust and creativity in tackling the issues at hand. It also makes you more memorable and approachable which increases the likelihood that people will find the time and inclination to get things done.

"But I don't have time for that." Really? Do you have time for dealing with the consequences of low engagement and poor compliance? If we want people to spend time and money doing things that will benefit them in the future, wouldn't it help to lead by example?

You never know what the future holds, so it's important to focus on getting people on-board.

PEOPLE SKILLS

In my last job, I spent most of my time sat at a desk, just me and my spreadsheets, communicating with only a small band of close colleagues who shared the same skills and the same deadlines. It turns out this wasn't ideal preparation for what I did next.

People often think of records managers as dour, technocratic sorts, concerned only with tedious filing methods and compliance with policies that no-one reads (or was that just me?). Within a few months it was clear that this stereotype vastly underestimated not just the alcoholic capacity but also the people skills possessed by those working in this type of role.

There are many obstacles on the path to improving information management, but most of the biggest ones are to do with people – at all levels. No ordinary desk worker likes the idea of someone telling them that they need to change their ways, and no manager is easy to please when it comes to asking them to spend some of their increasingly squeezed budget on something.

And you can put forward the most technically brilliant case possible, but if you can't deliver it in the right manner or overcome the inevitable resistance, you won't get anywhere.

So how does one overcome this challenge, without resorting to (literally) banging employees' heads together or (even better) locking your managers in a room and forcing them to recite your information management strategy until they're hoarse?*

Of course you have to be a good communicator, but it helps to know about negotiation and personal resilience, too. That doesn't mean practising your technique on that particularly abrasive trader you meet at the market at weekends – bribes should never be offered in return for compliance with retention policies, and they probably won't apply to him anyway.*

You never know what the future holds, so it's important to arm yourself with a range of skills.

Please note, not all of the above is based on real events.

STRATEGIC DIRECTION

The digital age – with its culture of data sharing and all the pitfalls that go along with it – has raised the stakes in information management. Nevertheless, it can still be difficult to gain *and retain* the support of senior managers for the investments in physical and human capital that we know are necessary to ensure we keep information safe whilst satisfying the insatiable demand for it.

This support is both critical and fragile. What previously looked like complete commitment to a set of actions and goals can be abandoned faster than you can say 'council budget cuts'. This is a particular risk when the improvements you aim to deliver are difficult to quantify in pounds and pence, or don't at least improve (in a tangible way) the experience of your organisation's customers.

The only way to combat this threat is by keeping up the pressure. Persistence is key (translation: make yourself a nuisance and they'll do it just to keep you quiet). Constantly update those in power on what you're doing, and constantly remind them why you're doing it. If possible, get them round a table at

> *Constantly update those in power on what you're doing, and constantly remind them why you're doing it*

key stages so you can look them in the eye and judge whether they're just talking the talk.

It is as important, though, to expect the unexpected, and be ready (if not necessarily willing) to adapt your approach or change direction in response to changing organisational priorities.

I've learnt to spread my wings, raise my personal profile and thus broaden my influence within the council; I've also not been afraid to look around. You may believe wholeheartedly in what you're doing, but if the powers-that-be do not, you're fighting a losing battle.

You never know what the future holds, so it's important to be prepared for sudden change.

FACING THE FUTURE

What does the future hold for us?

The paradox facing the information management sector is that while the value of information is growing, effective management of it remains largely underappreciated and often misunderstood. While information management as a function has changed almost beyond recognition, as an industry it remains largely the same as it always has been.

Information is everywhere – it comes in many different forms and serves a variety of purposes – yet the rationale for investing time, money and effort in sorting out an organisation's records is still often couched in very narrow terms of legislative compliance, and in particular of avoiding the financial and reputational impact of data protection breaches.

Another common misconception is that effective information management relies on complex and often expensive IT systems; and conversely that implementing the latter will deliver the former. But most of what an organisation seeks to achieve by implementing platforms like SharePoint can be – and in any case has to be – achieved to some extent before the system is rolled out.

We must also overcome the assumption that information openness and security are incompatible, and prove that with a clear strategy, intelligent design and effective governance,

we can satisfy increasing demands for transparency and accountability whilst fulfilling our legal obligations. That has to be the core principle of any organisation's information management strategy nowadays.

Finally, if my own story is anything to go by, few school leavers and graduates see information management as their future, and many (like myself) who end up in the industry do so 'by accident' rather than by design. Either way, it's often hard to explain what we do in a way that is accurate and enticing, and without others applying labels like 'admin and filing' or even the dreaded 'ICT'.

OVERCOMING THE CHALLENGES

The fundamental cause of these issues lies within our own domain, and resolving them is in our hands. The industry has to raise its profile and its stature, and it has to move beyond its traditional grounding to embrace and incorporate 21st-century applications of information management.

Ours has the potential to become a more-formally recognised profession, sitting comfortably alongside the established sectors of change and project management.

After all, good practice in both of these includes having a strong business case, sufficient resources, strong governance, clear objectives and a realistic plan for achieving them, effective communication with stakeholders, robust management of risks, well-defined success factors and ways of measuring them… sound familiar?

However, this will not happen overnight or automatically, and the IRMS can (and does) play a lead role in making this happen. In my view, a priority area should be the development of clear lines of professional development from entry-level to experienced expert.

This doesn't have to be built from scratch, but could instead involve working with institutions that already offer information management qualifications to define a standard syllabus for each level. This would have several benefits, including:

◆ helping those looking for certification of their skills and experience to understand which course is best for them

◆ providing a greater incentive for them to undertake academic study by making clearer the benefits of doing so

◆ helping employers understand the level of theoretical knowledge that an employee or applicant possesses

◆ offering opportunities for those with long-standing qualifications to update these to ensure that they are relevant to the work we do in the 21st century.

We don't know what the future holds, but it's clear that information will be at the heart of it – the new currency being exchanged between businesses and their customers, governments and their citizens, and so on. Becoming one of the financial advisers of this new global market would be an attractive career choice for anyone – maybe even 12-year-olds. ❖

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Australian businesses identify human error as top threat to information security

Businesses in Australia view human error as a larger threat to information security than deliberate theft or sabotage from a third party, according an information security tracker survey by Shred-it.

story snapshot

Over two-fifths of businesses think employees pose the biggest risk to information security today.

Just 16% of C-suite execs say deliberate theft or sabotage by a third party is the most likely source of a data breach.

Business leaders see legislation as key to affecting change.

The survey, based on responses from more than 1,100 businesses in Australia, shows that businesses are at risk of damaging data breaches caused by human error due to inconsistent knowledge of information security risks and poor implementation of security policies and protocols.

Human error or accidental loss by an employee is identified as the biggest source of a potential data breach, with 38% of C-Suite executives and 46% of small business owners recognising this as an area of concern.

Despite this, almost a third (29%) of small and medium sized businesses (SMEs) and 5% of larger organisations said they had either never trained their staff on information security policies or didn't have these policies in place.

A further third (33%) of SMEs said they had no documents that would cause their business harm if stolen, despite the fact that all businesses deal with confidential information such as employee records, customer information and other personal, financial and proprietary company data.

William White, National Sales Manager, Shred-it Australia, commented: "The issue of employee error is understandably a large concern to businesses in Australia. Deceptively simple actions such as leaving paperwork containing client information on your desk or throwing old invoices in the recycling bin could potentially have a damaging impact on any organisation.

"Leaked confidential information can not only hurt a company's reputation but also put them on the wrong side of the law," said Mr White. "Businesses must understand the responsibility they have to ensure their employees fully understand how to handle and dispose of information. An educated workforce is one of the first steps to ensuring your organisation is protected from data thieves."

THE IMPORTANCE OF INFORMATION SECURITY PROTOCOLS

When it comes to disposing of confidential information in a physical format, larger organisations are more inclined to have a formal policy for shredding documents prior to disposal compared to SMEs.

Additionally, large organisations are three times (45%) more likely than SMEs (15%) to invest in external services for disposing of confidential information, with improved safety and security cited as the most common reason.

Additionally, whilst 82% of large organisations and 63% of SMEs claim to be auditing their organisation's information security procedures or protocols at least once a year; a staggering one quarter of small business owners claim to be rarely or never doing this.

Implementing policies, such as a 'clean desk' policy in the workplace, and ensuring staff are trained on these would ensure that staff are not leaving documents in plain sight whilst away from their desk and disposing of all sensitive information securely. However, this is not a widespread practice, with only 23% of SMEs having a formal policy, compared to 48% of larger organisations.

Further, a 'shred-it all' policy would ensure that all documents are securely destroyed on a regular basis, removing the decision on what should and should not be treated as confidential from individual employees. Implementing such a policy would strengthen information privacy and confidentiality and is one of the simplest and most effective ways to improve security and help prevent security breaches.

FURTHER FINDINGS

There was a lack of understanding and education among businesses on the broader implications of a data breach:

◆ C-suite executives have a deeper comprehension of a data breach's broader implications on the business, with only 3% believing that a data breach would not have a serious impact on their business.

◆ By contrast, 40% of small business owners said an information breach would not have a serious impact on their business despite data breaches costing Australian businesses an average of AU$2.82m[1].

Businesses are failing to understand the legal requirements concerning confidential information:

> *…larger organisations are more inclined to have a formal policy for shredding documents prior to disposal compared to SMEs*

◆ Worrying statistics showed low awareness among businesses of the legal requirements concerning confidential data. Fewer C-suite executives claimed to be 'very aware' of the legal requirements of storing, keeping or disposing of confidential data in their industry this year (52% in 2016 compared to 67% in 2015). In comparison SME's have remained at a stable level of awareness year on year, with 43% very aware of their legal requirements in both 2015 and 2016.

◆ In addition, there also remains ambiguity across both large and small businesses over potential fines for lost confidential information under Australia's Privacy Act. Worryingly, only 12% of SMEs are aware that there are financial costs associated with a data breach and even among C-suite executives this figure is below half (46%), suggesting a need for clarity of legal obligations for businesses.

More action on information security is required from the Australian Government:

◆ Legislation is increasingly identified as having a critical role in information security. Half (53%) of SMEs rate the Government's response to information security as mostly good, but feel they could do better, with an additional 26% claiming that improvements are needed.

◆ More C-suite executives claim a need for improvement in the Government's commitment to information security this year (34% in 2016 compared to 19% in 2015).

◆ In addition, large organisations are also much more likely to say additional legislation would put pressure on their organisation to change their information security policies with 39% stating this is the case. ❖

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inForum 2016:
The value of information

**11-14 September 2016
Crown Perth, Perth, WA**

Only a few weeks remain before records and information managers from around Australia and New Zealand converge in Perth to network, learn and discuss the value of information.
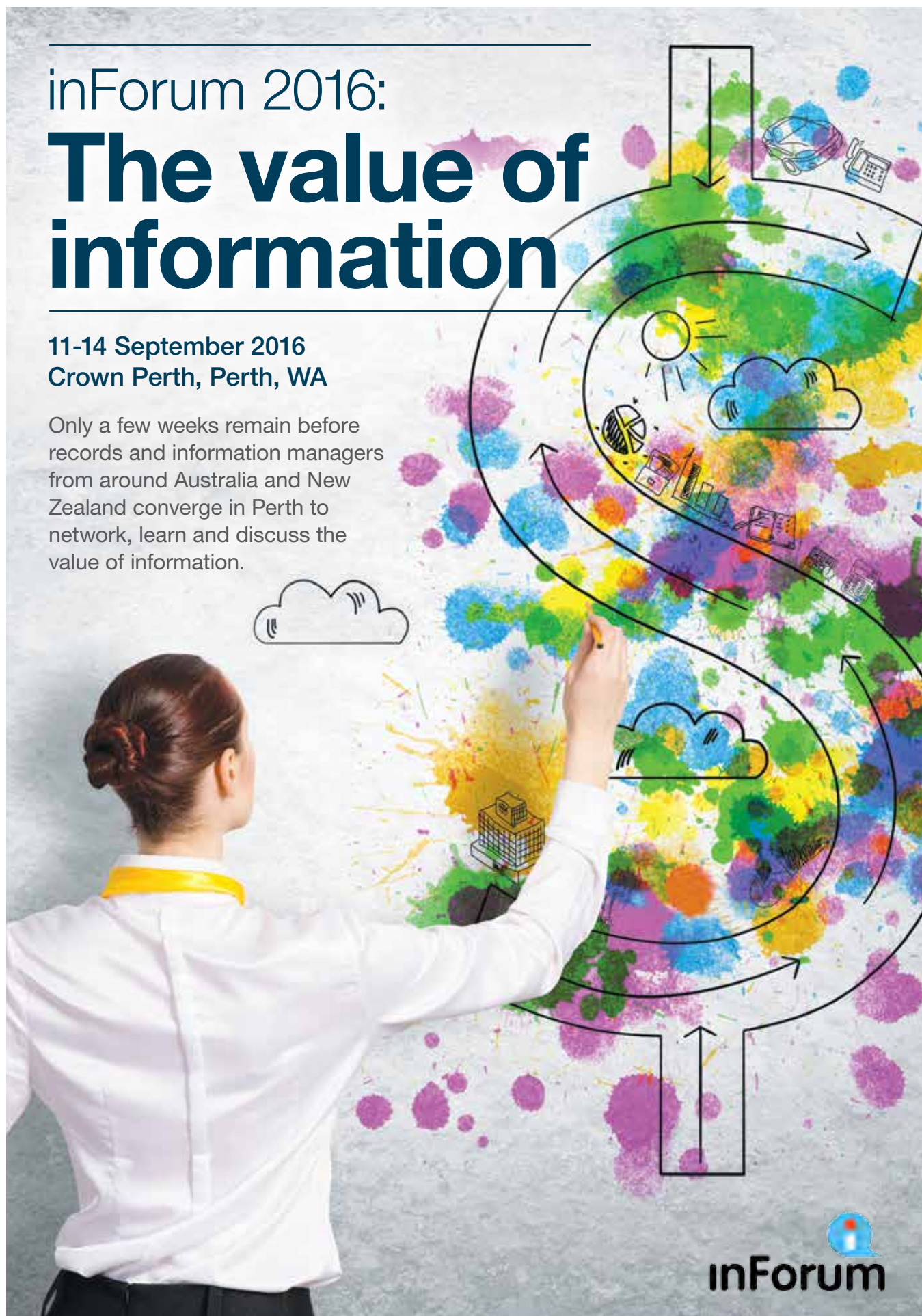
inForum

In previous issues we have covered the social program and the keynote speakers for 2016, but inForum also covers a much wider range of interesting and diverse topics. Here's a random snapshot.

You can succeed! Implementing and sustaining digital recordkeeping that users love

Peter O'Halloran, National Blood Authority

Over a two-year period, the National Blood Authority transformed its organisational culture and records management function from a paper-rich model to a digital-first culture where users have ready access to high quality information at the touch of a button.

Authority staff have embraced this new digital model with high levels of user satisfaction, driven by an ability to have access to information across the Authority from any location and at any time. This case study highlights the critical factors to the success of the project and details the costing methodologies adopted to gain and sustain senior executive engagement and support.

Gamification – Using digital games to affect desired recordkeeping behaviour

Jonathan Toquero, Dept of Education

The Department of Education (WA) is using digital gaming to revolutionise the way it delivers records awareness training, and up-skilling staff to better manage records and information resources.

Gamification is the application of game mechanics to non-gaming environments. Serious (educational) games, driven by instructional goals and appropriate application of game mechanics, have considerable potential to engage, motivate and influence the behaviours of the workforce. It is the attributes of games, such as compelling storylines, attainable challenges, rewards, recognition and control that make them so powerful for learning – particularly on topics riddled with myths and considered by the audiences to be uninteresting and of low priority, such as recordkeeping.

Serious games are more engaging than traditional forms of learning, including eLearning, because of their ability to elicit emotions such as enjoyment, excitement, anger and fun. It is the emotional engagement with the game that causes learners to persevere and, in doing so, master the embedded instructional objectives. It is effective indoctrination by stealth to correct behaviour, develop new skills and change attitude.

The Department of Education identified its customised instructional goals and desired user behaviour in records and information management. Gamification was then used as the dissemination tool of choice. This presentation explains the game journey including the business case, solution design, pre-game planning, audience profiles, special features, measures of success and lessons learnt.

Gamification has made records and information management compliance training interesting and effective, and ready for the next generation of the Department's workforce.

How to upskill yourself as an IM professional in a changing digital world

Chris Foley, Foley Business Consulting

The information landscape has changed in the 21st century, and with it has changed the roles which information management (IM) professionals are expected to perform in the workplace. Digital information has replaced hardcopy information as the primary method of business communication and activity. The governance of business information and processes rather than the direct handling of information have become core attributes of IM roles. It is expected that IM professionals must now juggle such roles as project manager, business analyst, trainer and even information visionary as well as the more traditional roles of records manager and archivist. Indeed, as IM professionals, we are employed increasingly in roles which did not exist when we commenced our careers. What education paths should we select that will equip us for the changed landscape within which we find ourselves? In truth there is no single education path for IM professionals to select, or indeed for any professional in the 21st century. The workplace does not offer defined roles and employment security. Instead, career success goes to people willing to take risks where there are no guidebooks to follow.

Optional workshop

Transform your organisation: Practical strategies for transition to digital recordkeeping

Annette Senior and Wendy Buttel, Recordkeeping Innovation

Annette Senior

Wendy Buttel

How can an organisation realise the value of information? How can records and information managers apply control over information which is being created and retained in a multitude of business systems? What do we do about file shares? What do we do about email? How can we meet our user's needs? How can we get involved in digital transformation in our organisations?

Digital transition is not just about software and technology platforms but a much broader perspective across the organisation that encompasses processes and people and the interactions with the technology tools. This workshop will focus on the process and people aspects.

The workshop will provide participants with strategies that can be taken away for implementation or adoption within their own organisations.

Topics include the following:

- Embedding records management into business processes

- Transforming thinking – there are new ways to adopt

- Staff roles, responsibilities and skills

Journey to a digital future – Main Roads WA case study

Shane Culbertson, Main Roads WA

This case study will explore the business initiatives taken at Main Roads WA to produce a roadmap to a digital future with the goal of enabling work to be conducted anywhere, anytime, on any device, and make recordkeeping as invisible as possible.

To be in a position to plan for the future, it is necessary to understand strategic imperatives, foster cooperation within the business and market value in a cultural context to the organisation.

Main Roads WA recognises that a key component to becoming a more agile and responsive organisation is a sound, functional, digital records system that will:

◆ improve business efficiency and productivity through better knowledge capture and data storage

◆ enable faster communication and access to information through the use of digital methods of business to reduce costs and clutter

◆ enhance protection of documents and records within an established security regime to support accountability and transparency.

Traffic stops to be explained on the Main Roads WA journey to a digital future will include the following:

◆ **People**
Restructuring, upskilling, coaching, buddying, recognition, partnering within the ICT Branch, with the Strategic Communications Branch, the recently formed Business Reference Group and liaison with other Transport Portfolio agencies.

◆ **Process**
Executive support, training review and content refocus, new MRWA Records Framework impacting policy review, business planning, business classification, document naming conventions, change management effects within business areas and disposal strategies.

◆ **Technology**
Future MOE and movement from W7 to W10 and Office 2016, Trim/RM8/Sharepoint Roadmap impacting upgrade paths, content indexing, search simplification, collaboration, system support and monitoring. Kofax scan solution upgrade to Total Agility 7 with workflow.

◆ **Content**
Network data migration, digital invoice and mail processing, Ministerial initiatives, customer documentation review, toolkits, system data imports and the impact of cloud computing for records.

The goal – enabling work to be conducted anywhere, anytime, on any device, and make recordkeeping as invisible as possible

FOR MORE INFORMATION on our speakers and presentations please visit the inForum website: inforum.net.au

3 reasons to attend inForum

1 THE PROGRAM

Incredibly diverse, interesting and informative range of 49 presentations, representing speakers from five countries, including:

- ◆ 2 x discussion panels
- ◆ 3 x workshops
- ◆ 5 x keynotes
- ◆ 5 x case studies
- ◆ 15 x vendor presentations

You'll be eager to take home and implement all you've learned from the best in the profession.

2 THE TRADE EXHIBITION

Our trade exhibitors are always eager to show you their latest products and services, and they have dedicated three days to providing you with their undivided attention. Learn what is available and what it can do for you and compare it to what you have now; then go back to the office comforted in the knowledge you have chosen the right products and services, or understanding there are alternatives that would work for you. Either way impress the boss with your newly expanded industry knowledge!

3 NETWORKING

We cannot emphasise enough the value in making new contacts *in person* – records and information management professionals are supportive and generous with sharing knowledge. inForum 2016 provides a myriad of networking opportunities to make valuable connections with other information professionals and the companies that have the solutions you're seeking. ❖

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ARTICLE OF THE YEAR AWARD:
ARE YOU IN THE RUNNING?

The Recall RIM Professionals Australasia Article of the Year Award will be presented next month, along with a host of other RIM Professionals Australasia awards, at the RIMPA Gala Awards Dinner as part of the inForum convention in Perth in September.

All articles published in the last four issues of *iQ* – November 2015 to this August 2016 issue – written by RIMPA members or employees of organisations which are corporate members of the RIMPA, automatically go into the running for the award.

From a shortlist of six finalists, the winner will be determined by a panel made up of the Editor of *iQ*, Heather Millar, Debbie Prout, Chairman of RIMPA's Board, and a representative of the award's sponsor, Recall.

The judges are looking for articles which are original, engagingly written, display a thorough grasp of the subject matter, and which contribute to industry information and debate.

Past winners have included a dramatic account of a famous RM legal case, case studies, an entertaining look at the future of recordkeeping – and last year's winner Kylie Welch for her article 'Setting up a successful RM department', which was reprinted in the UK IRMS *Bulletin*.

Articles eligible for this year's Recall RIM Professionals Australasia Article of the Year Award include:

◆ **November 2015**
– *Decision making skills – driving change when agility is everything.* By Linda Shave
– *Management lessons from the climate change debate.* By Michelle Linton and Kevin Dwyer
– *The future is digital: an information revolution.* By Kye O'Donnell
– *inForum – an investment in yourself.* By Jennifer Curley
– *My inForum – learnings, revelations, validations.* By Bonita Kennedy
– *A newbie's impression.* By Jade Koekoe

◆ **February 2016**
– *Changing of the guard.* By Barbara Reed
– *An update on Standards Australia's IT 21 committee.* By Barbara Reed
– *World's first RM standard is 20, but who remembers?* By Mike Steemson
– *Business continuity for small business owners.* By Lisa Read-White
– *Implementing an EDRMS from a new records manager's eyes.* By Kylie Welch
– *Back to the future intrapreneurialism.* By Linda Shave
– *Staying sane in records management.* By Michelle Linton and Kevin Dwyer
– *What is the leadership coefficient?* By Suparna Chatterjee
– *Australian Information and Knowledge Management Benchmarking Survey.* By Kye O'Donnell
– *The Virtual Archive: the growing digital footprint.* By Gerard Rooijakkers

◆ **May 2016**
– *New security standards roll-out: will you be at the table?* By Alison Toohey
– *Privacy and security in our complex digital world.* By Linda Shave
– *Managing change in information security.* By Michelle Linton & Kevin Dwyer
– *Information management and major disasters.* By Janita Stuart
– *Digital hoarding: perils, pitfalls and paradoxes.* By Chris Foley

◆ **August 2016**
– *Why you need to think differently about information management.* By Alyssa Blackburn
– *In the beginning there was BHPS, SAP and "What's RM?"* by David Moldrich, OM
– *New ISO15489 moves the goalposts much closer to format neutrality.* By Barbara Reed
– *The value of information.* By Linda Shave
– *From Woolongong to Wellington: a new RIM rootstock.* By Mike Steemson
– *Unlocking the value of information.* By Michelle Linton & Kevin Dwyer

WIN

This year's winner will be chosen from the articles listed here, and will be announced at the Gala Awards Dinner as part of inForum 2016. **The winner will receive their choice of a $300 Coles Group GiftCard or $300 in RIMPA membership & events.**

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J EDDIS LINTON AWARD

NOMINATION SHORTLIST 2016

Records Solutions Student
– Susan Conyard
– Nicole Mathison
– David Tredinnick

Information Proficiency Innovation
– National Blood Authority
– North Australian Aboriginal Family Legal Service
– WA Dept of Fire and Emergency Services
– Wannon Water

Information Proficiency Business Benefit
– Logan City Council
– National Blood Authority
– Queensland Museum
– Territory Records Office / Cabinet Office
– University of the Sunshine Coast
– Victorian Water Industry SIG
– WA Dept of Fire and Emergency Services
– Wannon Water

EzeScan Collaboration
– National Blood Authority
– North Australian Aboriginal Family Legal Service
– Queensland Universities (Griffith University, Queensland
  University of Technology, University of Queensland, University of Sunshine Coast)
– Victorian Water Industry SIG
– WA Dept of Fire and Emergency Services
– Wannon Water

FYB Implementation
– Air Mobility Group (RAAF, Dept of Defence)
– National Blood Authority
– WA Dept of Fire and Emergency Services ❖

The J Eddis Linton Award winners will be announced at the Gala Awards Dinner as part of inForum 2016. **The winners will receive their choice of a $500 Coles Group GiftCard or $500 in RIMPA membership & events as well as a plaque valued at $250.**

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