

iQ

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Professionals Australasia

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# CONTENTS

## From the CEO's desk

Kate Walker on RIMPA's continuing professional development program .....2

## View from the Chair

A word from Debbie Prout .....4

## Industry news

Worldwide RIM news .....5

## Privacy

Safeguarding privacy details – minimising risk. By Chris Cotterrell ..... 11

## Standards

New policy underlying selection of records to be included as national archives.

By Philip Taylor ..... 12

## Psychology of RIM

Energise compliance with motivation and training. By Craig Grimestad ..... 14

## Digital dreams

Evaluating automated approaches against records management principles.

By James Lappin ..... 16

Avoiding the digital dark age. By Linda Shave .....21

Are managers facing extinction in the millennium's digital expansion?

By Suparna Chatterjee .....26

Digital dreams vs digital nightmares. By Simon Waller .....32

From digital dinosaur to digital diva. By Peter O'Halloran .....35

## Knowledge management

It's knowledge management, Jim, but not as you know it.

By George Parapadakis .....40

## Information governance

Information governance for cloud storage systems and platforms.

By Pierre Van Beneden .....42

## Cyber safety

Helping suppliers towards cyber safety. By Trish Bailey .....44

## inForum 2015

Digital Dreams (not digital nightmares) .....46

## Awards

Article of the Year .....50

RIMPA Awards 2015 ..... 51



Kate Walker, Chief Executive Officer, RIM Professionals Australasia

## Are you getting the most out of your RIMPA membership?

Ever wonder why some people get more out of professional associations and networking groups than others? It's simply not enough to pay your membership fee and hope for the best. Here are some tips for making the most of your investment.

**S**ome of you may feel you have heard all this before... BUT, it is very disappointing to see RIMPA Branches struggling to find members to assist with their operation, and this article seems an appropriate forum to encourage *all* members to stand up and get the most out of their membership.

Even going to one or two events a year is unlikely to get you very far. Sure, you may meet some terrific people, but unless your profession is uniquely non-competitive, or you make an overwhelmingly positive first impression, it's unlikely that much will come of it. You make an investment of both time and money when you join a group.

Here are a few suggestions for making the most of your investment of time and money:

- ◆ Don't join every association available – maximise your experience by going for depth of involvement.
- ◆ Attend meetings and events regularly. Build a base of support with regular members and position yourself with new members as someone in the know.
- ◆ Join a Committee (or Branch) – take a leadership role in the Association and interact with members at a more meaningful level. Show them what you can contribute.
- ◆ Raise your visibility. Offer to organise an event, round up a speaker or greet people at meetings.
- ◆ Invite staff and colleagues. Share the learning and experience. It can be a win-win for you, your staff and the Association.

If you're working in the records and information management profession, RIMPA provides you with a great opportunity to build your skill set, develop

strong networks and demonstrate your commitment to ethical practice.

### GET CONNECTED AND GET INVOLVED WITH OUR COMMUNITY

- ◆ Come along to RIMPA's networking events to meet and mingle with industry peers and build contacts.
- ◆ Make the most of RIMPA's affiliation with organisations around the world.





- ◆ Discuss industry issues or just say hello through RIMPA's social networks.

- ◆ Join and/or create special interest groups and chapters based on your interests.

## DEVELOP YOUR PROFESSIONAL SKILL SET TO ENHANCE YOUR CAREER

- ◆ Undertake professional development opportunities involving national and international speakers.
- ◆ Receive discounts on training through RIMPA's Professional Development Program.
- ◆ Search for presentations, research, case studies and more in RIMPA's member resources.
- ◆ Read the latest articles from *iQ* – RIMPA's quarterly journal.
- ◆ Receive discounts at RIMPA's online store, industry events and inForum (our annual convention – see page 46).
- ◆ Earn credibility by sharing your knowledge (offer to present and/or write an article).

## BE RECOGNISED AS A LEADER IN THE INDUSTRY

- ◆ Become a professional member.
- ◆ Participate in the professional CPD program (professional members only).
- ◆ Be invited to sit on committees (local, national and international) relating to legislative and standards awareness, education, professional development and more.

## DEMONSTRATE YOUR COMMITMENT TO ETHICAL PRACTICE

- ◆ Gain industry credibility and confidence in your commitment to ethical practice.
- ◆ Use the opportunity to display post nominals *ARIM* / *MRIM* / *FRIM* after your name to demonstrate your professionalism (professional members only).

## KEEP UP TO DATE WITH THE LATEST NEWS AND JOBS

- ◆ Receive e-communication with the latest industry news and information.
- ◆ Interact on RIMPA's social media for members (Listserv, Forum, Facebook, Blog, Wiki).
- ◆ Browse RIMPA's job vacancies.

## MAKE THE MOST OF OTHER FANTASTIC MEMBER BENEFITS

- ◆ Develop your skill set and career potential through participating in RIMPA's mentor program.
- ◆ Gain access to scholarships.
- ◆ Save by using member discounts.
- ◆ Receive member marketing materials (posters, pens etc).
- ◆ Participate in surveys (including benchmarking surveys).
- ◆ Have a voice!

Whatever your current membership status you may be eligible to upgrade to a higher level, or if currently not a professional member become one.

In addition to the benefits of membership enjoyed by all members, professional members also benefit from the following:

- ◆ Further discounts to *all* RIMPA events (10% for Associates and 15% for Chartered Members and Fellows).
- ◆ Discounts on goods and publications in the RIMPA Online Store.
- ◆ The opportunity to attend local events supported by RIMPA for free.
- ◆ The chance to hold positions of authority and influence on Branch Council and the Company Board, giving you the ability to shape your Branch and profession.
- ◆ The ability to vote at the Company AGM, thereby having a direct influence on the Company and the RIM industry.
- ◆ Access to limited areas in the Members Only website.
- ◆ Continuing Professional Development Scheme – ensures you maintain and improve your current skills and knowledge.
- ◆ Recognition by employers (present and future) and peers that you are acknowledged as a professional by the peak industry association in your field and as such have an ongoing commitment to maintain and improve your current skills and knowledge.

Remember, your membership is important to yourself and also to your profession. Don't sit silently and question your membership – speak up, tell 'your association' what you want, offer to help, get involved – you will be rewarded for ensuring your profession and your professional association continue to grow and become stronger.

**Kate Walker**  
Chief Executive Officer

*Remember,  
your membership  
is important to  
yourself and  
also to your  
profession*



Debbie Prout, Chair of the Board, RIM Professionals Australasia

## Welcome to Melbourne for this year's inForum

Digital dreams (not digital nightmares) is the theme of inForum 2015 and I am very excited to welcome everyone to my beautiful home city of Melbourne.



It has been 10 years since we last welcomed everyone to Melbourne and it is the first time we will be having our convention at the iconic Melbourne Cricket Ground (MCG), home of Australian Rules football and cricket.

We are very proud of our sporting history, and that concept will be incorporated into our opening event, the Welcome Reception, on Sunday 30 August at the 'G', where participants are encouraged to wear their favourite sports team colours. I will be there proudly wearing the brown and gold of my football team the mighty Hawks; I am hoping that many of you will also be there wearing your sporting colours.

As always our convention will be an opportunity to network and liaise with fellow professionals while learning all about the changing landscape for Records and Information Management. Digital dreams are what many of us have been working on over the last two decades and I believe that we are finally making the transition. While we are now predominantly working in the digital environment I don't believe we have solved all the issues; the digital world just means that we are dealing with a lot more information than we did previously in the physical environment. So our job continues and in many ways is

even more challenging. The convention will explore the pitfalls and solutions for iCloud (or is that the dark cloud), EDRMS implementations, the new hot topic mobile technology and the changing face of archives.

For me, inForum is a great opportunity to catch up with old friends and make new ones while exploring the latest in technology with the wonderful vendors that continue to support us year in year out by sponsoring our events and providing us with wonderful new products to explore each year.

During your time in Melbourne be sure to check out our fantastic restaurants and, subject to Melbourne's changing weather, explore our exquisite gardens. For those of you staying in the city on your way to the MCG, I suggest you walk along the Yarra and explore the Birrarung-Marr Park before crossing over the William Barak Bridge and onto the MCG. For all you sports fans make sure you take time to explore the National Sports Museum – tours are offered at the MCG between 10am and 5pm daily.

I look forward to seeing you all in Melbourne.

*inForum is a great opportunity to catch up with old friends and make new ones...*

**Debbie Prout**  
RIMPA, Chair of the Board

# WORLDWIDE NEWS

## Anne-Marie Schwirtlich honoured

Director-General of the National Library of Australia, Ms Anne-Marie Schwirtlich, was made a Member in the General Division of the Order of Australia (AM) in the Queen's Birthday Honours for "significant service to the library and archives sector through leadership roles at state and national level, and to professional information management organizations". Ms Schwirtlich has led the National Library since 2011.



Ms Anne-Marie Schwirtlich

Previously she was State Librarian of Victoria and, from 2000 to 2003, was acting director of the National Archives of Australia. She was born in India to a French-speaking, Mauritania mother and a German-speaking, Czech father. In the 1970s, the family moved to Sydney where Ms Schwirtlich completed a BA (Hons) degree in ancient history at Macquarie University.

She once told the ABC in a TV profile: "In some ways I think that it was incongruous that here was an immigrant who had never studied Australian history to be working in the archives but I was intrigued and beguiled and loved working with historical material. In a way, my working life has not strayed very far from that."

She is a member of the Editorial Board of *Australian Academic and Research Libraries*, one of Australia's scholarly journals. The Australian Library and Information Association commented: "Anne-Marie has occupied some of the most senior positions in the field and has made a significant contribution to libraries, archives and the wider arts world."

*... I was  
intrigued and  
beguiled and  
loved working  
with historical  
material*

## Harris helps to complete Mandela's unfinished auto-biography

Director of Archives at the Nelson Mandela Foundation, Verne Harris, will lead a team of researchers completing work on the half-finished sequel to the South African former president's autobiography. Verne Harris, Nelson Mandela's personal archivist from 2009 to 2013, is widely known across the Australasian archives and recordkeeping profession from his conference appearances and participation. He is a recipient of archival publication awards in Australia, Canada and South Africa.

London's *The Times* newspaper reported that the sequel to Mandela's bestselling memoir, *Long Walk to Freedom*, would be published next year after his widow, third wife Graca



Statue of historic South African leader Nelson Mandela in Parliament Square, London.

## Annual General Meeting

## Records and Information Management Professionals Australasia

**Notice is hereby given that the Records and Information Management Professionals Australasia Annual General Meeting will be held as follows:**



**Time:** 9.45am-10.25am

**Date:** Tuesday 1st September 2015

**Location:** Members Dining Room, Melbourne Cricket Ground (MCG), Brunton Street, Richmond, Victoria

Due to the security requirements at the MCG, any member wishing to attend the meeting who is not attending inForum will need to register as a visitor by Friday 21st August (at no cost) using the Trade Visitor Registration Form available from the bottom of the Registration page at [www.inforum.net.au](http://www.inforum.net.au)



Machel, gave the project her blessing. Mandela completed between a third and half of the book before his death in December 2013. He set out a plan for the rest of the story.

Ms Machel told *The Times*: "Madiba (his clan name) started working on a manuscript provisionally titled, *The Presidential Years*, in 1998. I am very pleased that a team comprising former senior advisors of his has accepted responsibility for completing this task on his behalf."

#### "Candid and clear-eyed"

Publishers Pan Macmillan said the book would be "candid and cleared-eyed" about the difficulties he faced while in office and the fault lines that run through contemporary South Africa. It is expected to reveal Mandela's conclusions on living figures including the current South African president, Jacob Zume.

The Mandela Foundation says the book will "help clarify issues that have been misrepresented in the public discourse". Its statement continues:

"It is to be owned by Mr Mandela through the dominance of his thoughts and voice over the authors' narrative and analysis. These two threads should work with each other in both substance and tone, losing as little as possible of the manuscript."

#### "Decisive hand"

Verne Harris led the editorial team producing 2010's *Nelson Mandela: Conversations with Myself*, a collection from the president's letters, writings, notebooks and interview recordings made before and during the 27 imprisonment years and his subsequent election to head of state.

In his introduction to *Conversations*, Editor Harris described the genesis of the new work: "On 16 October 1968, (Mr Mandela) took a piece of blue notepaper and with a favoured pen he put down, in a strong and decisive hand, the date in Roman numerals. He followed this with what was his working title: 'The Presidential Years'. Underneath it he wrote 'Chapter One'."

But the vast pressures of presidency and political work thwarted the book's progress and, Harris wrote: "Ultimately, he simply ran out of steam". Harris's personal dedication when signing copies of *Conversations* was the war cry "A luta continua" (the struggle continues), a likely pointer to the tone of next year's publication.

Harris is scheduled to hold a one-day masterclass at the Victoria University of Wellington, NZ, on 16 September 2015, exploring his fundamental premise *The Work of the Archive is Justice*.



Verne Harris, Director of Research and Archives, Nelson Mandela Foundation, South Africa.

*It is expected to reveal Mandela's conclusions on living figures including the current South African president, Jacob Zume*

## Unique ANZAC war memorial by State Library of SA

The laborious investigation and filing work of dozens of Red Cross volunteers during World War I gathering fragments of information about the fate of more than 8,000 South Australian war casualties has become a world-leading web archive.

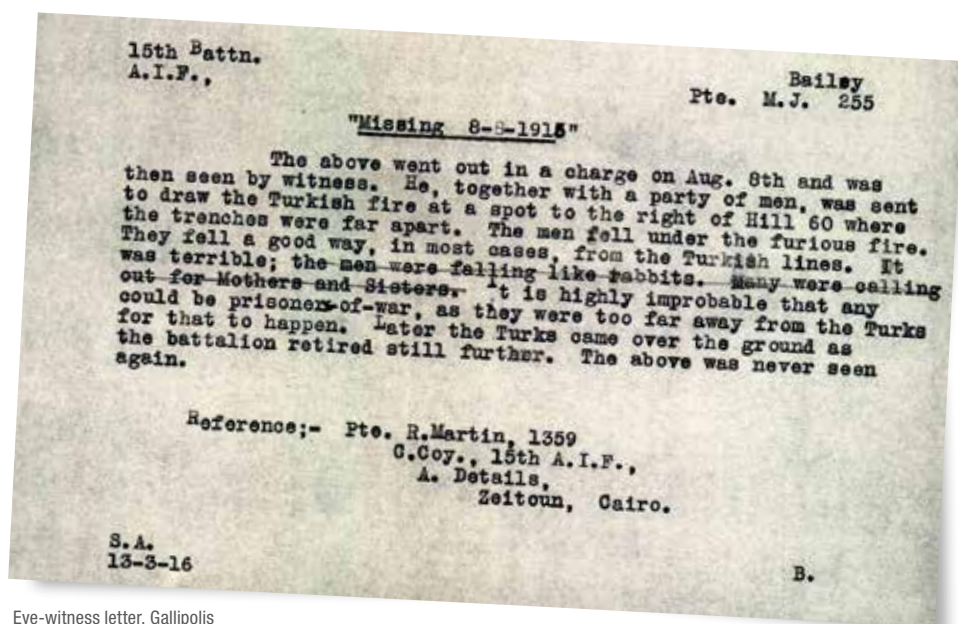
State Library of South Australia, to which the Red Cross donated its records after the war, has digitised the collection of letters from bereaved or fearful families seeking more information and eye-witness statements as its ANZAC centennial memorial. It was a mammoth task involving almost 77,000 hand- and typewriter-written documents and photographs.

The collection, formerly searchable only through the card index held at the North Terrace, Adelaide, library building, is now on-line – each serviceman's entry linked to National Archives of Australia records and, where known, to contemporary notices in the local *Chronicle* newspaper through the National Library of Australia's Trove service.

#### Heart-rending queries

From 1916 until 1919, the South Australian Red Cross Information Bureau researched more than 8,000 enquiries from family and friends of the state's missing Australian Imperial Force personnel. Families were desperate for news beyond the stiff, official messages sent about men posted dead or missing. The bureau volunteers created an envelope file for each heart-rending query and, in most cases, the information discovered about the serviceman sent to the enquirer. One mother wrote "for this favor (sic), if it be possibly in your power, to furnish me with the full details as to how my dear son met his death in this great struggle for King and Country". She pleaded to know "how he died and what his last words were, if any".

A survivor of the Gallipoli campaign later wrote from Cairo base camp of the death of another South Australian





16th Btn. MCDONALD, D.  
Pte. No. 1302

Informant states that to his personal knowledge Pte. McDonald was in the charge made by the 16th (S.A. and W.A.) Battalion at the Bloody Angle (between Pope's Hill and Quinn's Post) on the night of Sunday, May 2nd, 1915.

Informant says that he saw them all lined up awaiting the order to advance. The battalion was in an awful hole that night, and when the regiment returned early next morning it was practically extinct. When roll was called by informant casually failed to answer to his name, and it was known to informant for a fact that no prisoners were taken that night. During the armistice 3 weeks later informant was over the ground, but the bodies were unrecognisable, and were buried where they lay. There is absolutely no doubt in informant's mind that casualty shared the fate of the majority of "C" and "B" companies that memorable night.

Informant:- G.W. Duncan, late C.M. Sgt.  
16th Btn. "B" Coy.  
20 OCT 1915

Private address  
None given in letter

SOUTH AUSTRALIAN DIVISION FORM C.

Australian Red Cross Society

Surname: Christian Name: Date: 31/8/17.

Thurman William Sherrieff

Rank: Private Regiment, No. 43rd Battalion

File No.

333 - 44

AL REPORTS:

"Died of wounds about 1st August, 1917, at the Second Casualty Clearing Station, France."

Other information: Copy of letter received from mother of soldier - Mrs. G. Burman, mother of this gallant lad, respectfully ask you to do me this favor, if it be reasonably in your power, to furnish me with the full details as to how my dear son met his death, in this great struggle for King and Country.

In the first place I would like to know where he died and the attention he received during his illness.

Secondly I would like to know how he died and what his last words were, if any.

Thirdly, the place he was buried and how and by whom the burial ceremony was conducted.

Inquire's Name and Address: (Cont. Over.)

Mrs. G. Burman, Terowie, SOUTH AUSTRALIA. Relation: Mother

Instructions: Write Commissioners for all available particulars regarding soldier's death and burial - Photograph of grave desired by next of kin, as above.

Call Again: YES. NO.

Cost of Cable, etc.

Other information: Copy of letter received from mother of soldier - Mrs. G. Burman, mother of this gallant lad, respectfully ask you to do me this favor, if it be reasonably in your power, to furnish me with the full details as to how my dear son met his death, in this great struggle for King and Country.

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Instructions: Write Commissioners for all available particulars regarding soldier's death and burial - Photograph of grave desired by next of kin, as above.

Call Again: YES. NO.

Cost of Cable, etc.

Clockwise from top left: Eye-witness letter, Gallipolis; Red Cross Bureau record; The on-line database; Detail: Mother's plea

infantryman on 8 August 1915 in a charge on Hill 60: "It was terrible. The men were falling like rabbits. They were calling out for their mothers and sisters. The above was never seen again."

### "Right to the moment"

State Library On-line Services Manager, Andrew Piper, calls the records jewels revealing the "anguish of families; frank eyewitness statements that take the reader right to the moment".

The library's reformatting staff created 76,718 pages from the 8,033 servicemen's files. They were indexed by volunteers from State Library and Barossa Public Library staffs and students from the University of South Australia.

Mr Piper recorded: "More than 19,000 names were indexed and turned into individual records in the website - soldiers, nurses, eyewitnesses and enquirers were indexed to broaden the appeal and usefulness of the content."



The data entry work was a natural alignment for the project, he said, neatly creating a full circle starting with volunteers in 1915 and completed with volunteers in the 21st century.

➔ The database is on-line at <https://sarcib.www1.collections.slsa.sa.gov.au>.



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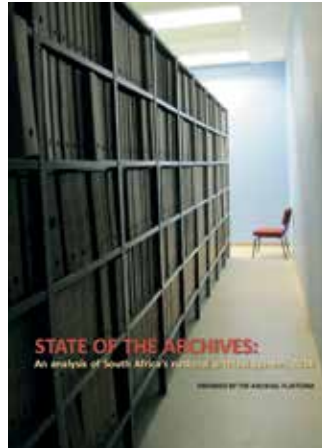
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## Troubled South African National Archives losing open democracy and “swathes” of public records: national watchdog

South Africa's National Archives is losing “swathes” of records, including valuable land title deeds, as apartheid-era secrecy cultures reappear, the nation's leading archival watchdog claims.

The allegations come from the multi-racial Archival Platform institution, a joint University of Cape Town-Nelson Mandela Foundation project, in a *State of the Archives* white paper<sup>1</sup> published in March. It slates the federal government over “disappearing” records and impending state information legislation that would revive “the old apartheid tool, the classified record”.



South Africa Archival Platform report

### “Archives neglected”

A leading South African news service, the *Mail & Guardian*, backs the claims. Headlining “Department fails to protect archive and democracy”, the *Mail & Guardian*, Africa's first on-line newspaper founded 10 years before the end of apartheid, protested<sup>2</sup>:

“Documents are increasingly being stolen out of archives – seemingly by people who want to stop claims being lodged on land they hold or to strengthen their own claims where there are competing or overlapping claims.” It went on: “In pursuing post-apartheid transformation the Department of Arts and Culture has largely neglected archives.”

The Archival Platform team reached its conclusions after a two-year study published early this year. Its 180-page report contends:

- ◆ The state of South African government recordkeeping is embarrassing.
- ◆ The huge potential of digitisation has not been harnessed.
- ◆ Apartheid-era patterns of archival accessibility have been resilient.
- ◆ Swathes of documentary memory, especially electronic, have been lost.
- ◆ Some 90% of public records are being destroyed against the public interest.

### Public access restricted

The report says: “Ironically, public access to archives has become more restricted. The 1990s vision of ‘open democracy’, which saw archives opened in ways that had been impossible under apartheid, has been lost.

“The Archival Platform's analysis reveals a national archival system in trouble. After 20 years of democratisation and transformation the system reminds us of nothing so much as the 1980s State Archives Service and its ‘homelands’ subsidiaries.”

The watchdog concludes: “The recommendation is not that the system needs ‘help’. Rather, we are recommending that it needs to be reviewed fundamentally. The Minister of Arts and Culture must meet the challenge by acting decisively to avert what could become a national disgrace.”

The *Mail & Guardian* feature writer, Dr Mbongiseni Buthelezi, a senior researcher in the Archive and Public Culture Research Initiative at the University of Cape Town, was similarly uncompromising. He wrote on-line: “What remains now is bitter disappointment among overworked and demoralised archives staff and records managers, as well as academics and the public who are being failed by the state.

“The archival system is in trouble. To think that we can have a well-ordered land reform process in light of the failure to take basic steps to secure and make accessible what records are available is unrealistic.”

## Saving digital music: “the dinosaur in the room”

**A New Zealand music archivist has challenged the information and librarian professions to tackle the “the dinosaur in the room”, the perceived and/or actual hazards of preservation and access around modern digital music rights and global licensing practices.**



Sholto Duncan, Web archivist, Alexander Turnbull Library

The idea was highlighted by Sholto Duncan, web archivist at the Alexander Turnbull Library, a division of the National Library of NZ, following up on his part in a digital music preservation debate in Wellington. In a review of the discussion, he blogged<sup>3</sup>:

“I think we can be more proactive and receptive to the changing online environment. We just need to stop being analogue institutions in the digital world. This is where I think we can learn a lot from our less constrained DIY archivists.

“Are we focusing too much on access and not enough on preservation? It is apparent that there is an expectation for content to be readily accessible upon deposit to an archive and this is largely driven by the way in which digital media, and music in particular, is so readily available online through platforms like Spotify, iTunes and Bandcamp.”

## Bibliography

- 1 *State of the Archives: an analysis of the state of South Africa's national archival system, 2014*, Archival Platform, University of Cape Town, Rondebosch, South Africa, March 2015, [http://www.archivalplatform.org/news/entry/state\\_of\\_the\\_archives/](http://www.archivalplatform.org/news/entry/state_of_the_archives/) and [http://www.archivalplatform.org/images/resources/State\\_of\\_the\\_Archive\\_FOR\\_WEB.pdf](http://www.archivalplatform.org/images/resources/State_of_the_Archive_FOR_WEB.pdf).
- 2 “Department fails to protect archive and democracy”, *Mail & Guardian*, Johannesburg, South Africa March 27, 2015, <http://mg.co.za/article/2015-03-27-department-fails-to-protect-archives-and-democracy>
- 3 *History sometimes repeats*, Sholto Duncan, National Library of NZ, Wellington, May 4, 2015, <https://natlib.govt.nz/blog/posts/history-sometimes-repeats>





### Archives practice differs

This was where practices and decision-making processes of archives began to differ, he said. When dealing with digitally born-content and proprietary distribution platforms, the decision to provide full access became more difficult. There would, inevitably, be a gap between preservation and access, he contended. The digital music preservation discussion was part of the NZ National Digital Forum program last year.

Mr Duncan commented: "Because digital music is so freely accessible online the expectation is that we should provide this level of access to our archived content. We need to ask ourselves: 'Is it better for clients to be asking why they can't access this music rather than wondering if the archive has it?'"

"Walking the line between respecting musicians' rights to an income and the public's desire to access archived music is something we need to be acutely aware of.

"The general consensus is the more access the better, but I think this needs to be tempered with a respect for the commercial interests and rights of content producers," he said.

## Archives NZ halts sale of Walter Nash 'personal' papers

**Archives New Zealand has halted sale of a box of personal papers of Sir Walter Nash, NZ's Labour Party Prime Minister from 1957 to 60, offered for auction from the holdings of biographer, Colin Mackenzie.**

A day after the sale plan was announced, Lower Hutt's Central Markets auctioneer Alan Fisher reported: "The Walter Nash papers have been withdrawn from auction while Archives NZ do a bit of research into them. They may be back, they may not! Watch this space."



Sir Walter Nash

The story had broken in Wellington's *Dominion Post* daily which said that the documents included a letter Nash was writing to his sister, Emily, in 1960 when the Labour Party lost a general election and National Party leader Keith Holyoake (later Sir Keith), strode into the PM's office to take charge.

The newspaper reported that political scientist Barry Gustafson described the collection as interesting but not seeming to cast any fresh light on Nash's time in politics. Archives New Zealand chief archivist Marilyn Little was aware of the collection and would determine its provenance, the *Dominion Post* said.

A month after the withdrawal, Mr Fisher had heard nothing further from Archives NZ. He said: "A man arrived and took them all away... about an archives box full. Later, the vendor said the collection had been donated to the archive. I would certainly have liked to sell them but I don't suppose we'll ever see them again."

### "Estrays under PR Act"

In a statement, Archives NZ said the collection contained identifiable public records, "estrays under the *Public Records Act 2005*" that required the Chief Archivist's authorisation for disposal. It was appropriate for the institution to retain the papers, "a natural part of the wider Nash collection that Archives New Zealand holds". The statement added:

"During processing by Archives New Zealand, the records will be checked to see if any contents of the public records should be restricted for security reasons. If necessary, the appropriate restrictions will be put in place. Any records that can be made publicly available and open will be."

Walter Nash was knighted in 1965 and died in 1968 aged 86. A mass of personal, political and prime ministerial records filled the family garage at his home in Lower Hutt, Wellington. Most of it was taken over by the national archive and parts are on-line as Archives NZ's *Walter's World: The Nash Collection*<sup>4</sup>.

## Jamaica's \$16 million lost Customs Agency records

**Jamaica's Customs department has been condemned for misplacing a handful of records resulting in abandonment of more than 16 million Jamaica dollars (Au\$180,000)<sup>5</sup> in duty revenue. The West Indies nation's Auditor General, Mrs Pamela Monroe-Ellis, has called for "an independent investigation to determine culpable officer(s)".**

The loss was identified in the Auditor General's 2014 annual report of "Financial Transactions and Statements" to the Jamaica Government, highlighting Customs duty "exposed to revenue losses of \$16.25 million due to poor file management." The loss was discovered during a routine audit of the Jamaica Customs Agency (JCA).

The annual report announced: "During our review, it was revealed that 14 case files with assessments and penalties totalling \$16.25 million were misplaced in a relocation exercise. The JCA was also unable to provide any evidence of investigations conducted to confirm the circumstances under which the files were misplaced."

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<sup>4</sup> *Walter's World: The Nash Collection*, <http://archives.govt.nz/events/walters-world-nash-collection>, Archives New Zealand, Wellington, 2010.

<sup>5</sup> At time of writing, Australia and NZ dollars worth +/- 90 Jamaica dollars.





Jamaica Auditor General, Mrs Pamela Monroe-Ellis, in her office at Knutsford Boulevard, Kingston, Jamaica, W.I.

### “No evidence of assessments”

From a hearing of the island’s parliamentary Public Accounts Committee in April<sup>6</sup>, the Jamaica’s leading newspaper, *The Gleaner*, said Mrs Monroe-Ellis insisted that, during a relocation exercise, Customs should have secured documents of significance.

The paper quoted her saying: “As there is no evidence of the assessments conducted by the JCA, the amounts should be treated as revenue losses. I do not believe it is beyond them to determine who is responsible for the misplacement of these files. Someone should be held to account.”

*The Gleaner* said the Head of the JCA, Major Richard Reese, confirmed that the files had been misplaced during a relocation exercise at the agency, adding: “We have written to request a write-off, but the Ministry of Finance has requested additional information.”

Missing records were not the only cause of Jamaica customs duty losses. The Auditor General’s report<sup>7</sup> disclosed revenue “arrears” totalling more than J\$650 million (AU\$7.3 m) through objections, “waiver requests”, court proceedings, “importer cannot be located” and other matters.

## Nepal’s historic Kaiser Library wrecked in killer ‘quake

**Among the dreadful damage of Nepal’s killer earthquake earlier this year, Kathmandu’s century-old Kaiser Library has been reduced to a dangerous ruin, around a third of its 28,000 historic and international books damaged, many of its art treasures destroyed.**

Chief Librarian Ms Janaki Karmacharya, 58, working from a tarpaulin covered ‘office’ in the library garden, told the AFP news agency<sup>8</sup> it was two days after the 25 April ‘quake before she found the courage to investigate. She said:

“I was speechless for a while. It was hard to believe the extent of the damage. I cried when I got came back home, I couldn’t help myself. The books are like my children, and I love them very much.”

The 7.8-magnitude quake killed more than 8,000 people and triggered a deadly avalanche on Mt Everest. The library was closed because it was a Saturday, but the day before it had buzzed with Nepali students, researchers and tourists attracted to the collection of rare books, maps and ancient manuscripts housed in the opulent former palace of maharajah and Prime Minister Shamsher.

### Invaluable scripts

An Education Ministry official said: “The damage in the library is a huge loss to us as it was not only a home for books but an archive of invaluable historic scripts of archaeological importance. We are concerned about the security of the books, paintings and other antique items that were kept in the library.”

The library was begun by Kaiser Shumshere, a son of the maharajah. The library’s website explains that, as a teenager, the young prince visited England with his father. It records:

“He was very much impressed by the ruling system of England, as well as by the library system and the proper management of books there. Book collection was his hobby and his visit to Britain and British libraries led to an increase in the number of his books and a change in the structure of his own library. From England, he bought and brought with him many books to Kathmandu.”

He gifted the library and the palace to the nation on his death in 1964. The AFP feature reported that the Nepal government had said it would restore the building but might convert it to an art gallery.

## Brits want public to record seaside sounds

**Britain’s National Trust is asking the public to record the sounds of the UK seaside to create an audio archive. The trust wants thousands of recordings uploaded onto a digital map which will be curated by the British Library.**

The ‘Sounds of our Shores’ project is a joint scheme between the National Trust, which protects historic places and spaces in England, Wales and Northern Ireland, the National Trust for Scotland and the British Library.

Kate Martin, of the National Trust, said the recordings would be valuable to future generations and would “bring back memories” in years to come.

Recordings can be uploaded along with pictures and text via the Audioboom website<sup>9</sup> until 21 September. Recordings could include ship and shore foghorns and other man-made sounds of a busy port.

All the sounds recorded around the UK’s 10,800 miles of coastline will be added to the British Library’s Sound Archive, joining 6.5 million recordings dating back to the 19th Century.

... Industry News continued on page 52

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7 *Report of the Auditor General on the Financial Transactions and Financial Statements of the Government of Jamaica for the Financial Year ended 31 March, 2014*, [http://www.auditorgeneral.gov.jm/files/u5/AuGD\\_ANNUAL\\_REPORT\\_FINAL\\_2014.pdf](http://www.auditorgeneral.gov.jm/files/u5/AuGD_ANNUAL_REPORT_FINAL_2014.pdf)

8 *Nepal quake leaves century-old library in ruins*, Claire Cozens, L’Agence France-Presse, May 11, 2015. <http://news.yahoo.com/nepal-quake-leaves-century-old-library-ruins-055035868.html>

9 “Sound of our Shores” website: <https://audioboom.com/channel/soundsofourshores>

# SAFEGUARDING PRIVACY DETAILS – MINIMISING RISK

Cyber-crime is no longer fiction. For many companies it is a reality. The threat of lost or stolen data is very real. The cost is considerable both in terms of financial and reputation. The best offence is defence.

By Chris Cotterrell

**T**he data gathered and managed by businesses has increased exponentially over the past 10 years. We can lodge, receive and access information through many forms particularly digital. The move to paperless records brings challenges in information management and retention. New government initiatives such as online checks for Verification of Identities have added another element of risk for companies.

Today, the responsibility of companies and particularly those professionals charged with managing and safeguarding records has also significantly increased.

Taking steps to safeguard data and minimise any potential loss will ensure that both companies and their clients are protected.

Secure off-site vault storage is one option. Office premises are not necessarily secure. They can be easily broken into or at risk from disasters such as fire or flooding. Backups on data tapes or external cloud facilities provide another measure of security.

Secure destruction of documents is another preventive measure, often this is when data is most at risk. Records that have been discarded or left unsecured in basements still hold important details which can be easily accessed to set up false identities.

The responsibility rests firmly with companies – large and small to take all possible measures to protect data in their care.

## PRIVACY EVERYDAY

Earlier this year, the Office of the Australian Information Commissioner (OAIC) released a series of resources for businesses and individuals to raise awareness of their privacy rights and obligations, as part of the Privacy Awareness Week activities. The theme for Privacy Awareness Week 2015 was *Privacy everyday* which emphasised that privacy awareness should be an essential component of everyday life, including when we use services such as internet banking, social media and online shopping.

According to the OAIC, as businesses, we must take steps to protect personal information we hold from misuse, interference and loss, unauthorised access, modification or disclosure.



An entity has an obligation to destroy or de-identify personal information in certain circumstances.

The recently released *Privacy Management Framework* (Framework) provides steps the OAIC expects you to take to meet your ongoing compliance obligations under Australian Privacy Principle (APP) 1.2.

The Australian Privacy Commissioner, Timothy Pilgrim, said that the OAIC recognises the need to help organisations with the fundamentals of privacy governance.

“Privacy management is an obligation that is continuous and proactive and for it to be successful it must have support from an organisation’s leadership team,” Mr Pilgrim said.

The Framework provides practical guidance on how to establish and implement a privacy management plan, including a four step approach that will help organisations protect privacy and improve their processes.

“I expect all organisations that have responsibilities under the Privacy Act to make a commitment to implement this Framework. This will put organisations in the best position to address privacy challenges head-on, meet their obligations under the Act, and ultimately get ahead of the game,” said Mr Pilgrim. ♦

➔ For more information on the Privacy Management Framework go to: <http://www.oaic.gov.au/privacy/privacy-resources/privacy-guides/privacy-management-framework>



### ABOUT THE AUTHOR

With more than 30 years in the IT industry, Chris Cotterrell, General Manager, TIMG, is proud to have led the company for a third of that time. During his stewardship, TIMG has grown from a NSW- and Vic-based operation to a national company with 200 employees, serving businesses across Australia and New Zealand. Chris’ personal goal is to continue to nurture the growth of the company and lead by example, helping the TIMG team to focus on developing innovative solutions which best serve the needs of our clients. He is instrumental in guiding the company to implement its core service value of treating all people with respect and dignity, and delivering an exceptional personalised service.

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# New policy released for selecting records to be included in the national archives

Life cycle versus continuum – this is the conundrum faced by our archival institutions. As space – both physical and digital – is at an ever-increasing premium, are we at risk of losing the continuing value of our records as policies change on what constitutes our national archives?

By Philip Taylor

The National Archives of Australia has recently published a revised policy statement concerning the principles underlying selection of records to be included as national archives. The policy statement emphasises that archives are 'selected' from the broader records generated by Australian government agencies. The Archives only keeps Australian Government information that is identified as being of permanent (or continuing) value – that is, information of national significance or public interest that will continue to have value to the Australian Government and the community for generations to come. These materials that are selected for permanent retention are known as 'national archives'.

The statement sets out a range of selection principles to help determine what information to retain as national archives, explaining that: "Our selection principles are considered in conjunction with a number of additional factors which may impact on the ability to preserve or make information accessible."

## ADOPTION OF THE LIFE CYCLE MODEL

It is disappointing to see the adoption of the theory of the records life cycle over the more comprehensive continuum approach where the approach is not on 'selecting' records but focusing on the continuing value of records. As McKemmish has previously stated:

*A continuum is something continuous of which no separate parts are discernible, a continuous series of elements*

*passing into each other. A records continuum perspective can be contrasted with the life cycle model. The life cycle model argues that there are clearly definable stages in recordkeeping, and creates a sharp distinction between current and historical recordkeeping. The records continuum, on the other hand, has provided Australian records managers and archivists with a way of thinking about the integration of recordkeeping and archiving processes. The life cycle model sees records passing through stages until they eventually 'die', except for the 'chosen ones' that are reincarnated as archives. A continuum-based approach suggests integrated time- space dimensions. Records are 'fixed' in time and space from the moment of their creation, but recordkeeping regimes carry them forward and enable their use for multiple purposes by delivering them to people living in different times and spaces.*





The emphasis on picking the appropriate records that fall into the identified categories of records suitable for becoming the national archives is a step away from the more modern approach. While it might be appropriate for a museum or library to select things they wish to collect, it is disappointing for an archival institution to adopt this strategy.

It is also of concern that the statement neglects to include reference to the standards applicable to managing records such as AS ISO 15489, AS NZS ISO 30300-2012 and AS NZS ISO 30301-2012. The argument can be made that the way the policy statement emphasises the 'selection' of records to identify the archival records is inconsistent with the words and intention of the above standards.

## THE CONTINUUM APPROACH

In contrast, the NSW Records Office has adopted the continuum approach with advice to agencies "to identify and preserve records providing evidence of the source of authority, foundation and machinery of the NSW government and public sector bodies." To do this they advise that they will identify records that document the establishment and functions of the government and public sector bodies and that establish the nature and extent of their jurisdictions, obligations, responsibilities and powers.

In a similar vein, the Public Records Office in Victoria in its recent statement Appraisal Statement for Public Records required as State Archives specifies that records required for preservation as State Archives are identified through appraisal; the evaluation of government activities to specify what records should be made and to determine how long records need to be kept to meet the government's needs, support organisational accountability and meet community expectations.

The Appraisal Statement for State Archives sets out the key appraisal considerations for specifying and identifying permanent value records. It is designed to:

- ◆ support consistent and transparent appraisal by Victorian government
- ◆ assist government agencies to appraise and identify public records to be preserved as State Archives
- ◆ communicate our collecting objectives to our stakeholders
- ◆ describe in summary the types of records we will preserve as Archives for future discovery and use.

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## ABOUT THE AUTHOR

Phil Taylor is a Chartered Member, Life Member and former director of RIMPA. With a career spanning over 35 years in the records management industry in both state government and higher education sectors, he has also had a long-held interest in education for records management staff. Philip is currently a member of the Editorial Committee for *iQ*. Now retired, he enjoys his time travelling and perusing a number of other interests.  
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So what is to be made of the variations in the way that these important archival institutions approach the issue of records management, specifically the archival records? It is unfortunate that key archival institutions have taken different approaches on how those records of enduring value should be handled by the archival institution. What message does this send to managers of records about how they should construct systems to capture records of their business? In the end, does it matter? Well, it does matter. If there is inconsistency in the principles governing how records should be identified, captured and stored for business purposes, then the ability to promote records management as a critical aspect of business processes is devalued.

The idea that records created in the normal course of the business activity of an organisation, whether it be private or public, are changed from active business records into archives via a 'selection' process is hard to understand. Records are created in the business environment and used for business purposes. Records are of enduring value regardless of whether or not they are in active use. It is a concern when archival authorities cannot agree on one of the basic principles of recordkeeping. ♦

# ENERGISE COMPLIANCE WITH MOTIVATION AND TRAINING



Company-wide compliance of all individuals is achievable – and maybe not even that difficult to achieve, with the right motivation and training.

By Craig Grimestad

Information governance (IG) and records and information management (RIM) initiatives often stall when it comes to full compliance for individuals at the desktop level. Some of this is due to a perception that understanding what a record is, the records retention schedule, managing email, and following IG/RIM policies and procedures, are too difficult, too complex and too problematic to accomplish for individual workers. Yet in other areas of their work responsibilities,

workers are not only compliant with operating policies and procedures, but are problem solvers and innovators. It also happens that the workforce shows innovation and creativity in retaining records; unfortunately this is often misdirected, and focused on finding ways to retain records (and emails) they really want to keep, but shouldn't. The workforce clearly has the capacity to understand what a record is and to properly manage them.

## OK, SO WHAT IS THE PROBLEM?

The problem is twofold: motivation and education. Simply stated, the workforce is not motivated to become IG/RIM compliant. Even when company leadership understands that records are corporate assets that need to be identified, secured and maintained, the resources, actions, and priority to accomplish that are often slow in developing, leaving a workforce without motivation to manage, maintain, and dispose of records and information in a compliant way. There are other ways to motivate the workforce, but let's consider for a moment that a company was so focused on becoming fully compliant that they offered each individual a \$1,000 bonus to personally become fully compliant within a year. Is there any doubt of their success?

That offer of a bonus sends a very clear message of corporate priority as well as providing personal motivation. I expect that individuals without a good understanding of the requirements would be motivated to seek them out and educate themselves to obtain that bonus.

Speaking of education, that is often a problem as well. I recall a conversation at a local ARMA chapter meeting where the lack of worker compliance was being lamented. As the conversation unfolded it was identified that the workforce was not trained. Small wonder. No training or poor training leaves individuals to grapple with the definition of a record, the entire records retention schedule, and uncertainty about storing and disposing of records, including what to do about email.

I digress, but I recall as a child sitting in the back seat of the family car and looking intently at the dashboard. I focused

*I once heard an executive laying out a new program say "Simplicity comes from familiarity". He was absolutely right.*

### 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](http://blogs.ironmountain.com/author/cgrimestad)



on what I later learned were the heater controls and thought they were really complex. Sadly, I concluded I would never be able to drive a car – it was too complicated! Well, I am glad to report that I have been trained and learned to drive a car, and actually operate the heater controls as well! To tell the truth, it doesn't seem that complicated anymore.

Requirements for, and the process of, managing records may seem complex when first viewed, but they aren't really.

## SO WHAT SHOULD THE TRAINING INCLUDE?

Certainly some basic knowledge on why managing records is important, the definition of a record, what an 'official record' is (that needs to be retained for a prescribed time), what a courtesy copy is (to be disposed of as soon as no longer needed) and the applicable portion of the records retention schedule. I say 'applicable portion' because an individual only needs to know the portion of the records retention schedule that applies to the records they handle. No one expects the accountant to have 'official engineering records', or the engineer to have 'official accounts payable records'. So customise the training by business activity and focus on the records handled on a regular basis.

I once heard an executive laying out a new program say "Simplicity comes from familiarity". He was absolutely right. What can seem complex initially (like the car's heater controls to a young child), soon becomes easy as familiarity increases. So yes, there is a learning curve. But employees are quick to learn, and fast to adapt.

Provide employees with personal motivation and appropriate training, and you might be amazed at how engaged they become in achieving personal compliance, and supporting corporate compliance. ♦





# EVALUATING AUTOMATED APPROACHES AGAINST RECORDS MANAGEMENT PRINCIPLES

**A**s a profession we are very proud of our principles. If you ever discuss technology with a group of records managers, one of us is bound to say, "Records management principles are timeless, regardless of how much or how quickly technology changes."

But what exactly are these principles?

The time when you most need a set of principles is when new ideas, tools, technologies or approaches come into being. By definition we have little or no practical experience of these new ideas/tools/technologies. We need a set of principles which distills our past experience of what has and has not worked in order to predict whether these new approaches are likely to work.

## NARA'S REPORT ON AUTOMATED APPROACHES TO RECORDS MANAGEMENT

In March 2014 the US National Archives (NARA) issued a report on the different ways in which records management could be automated. The approaches have little in common with each other except that they all aim to reduce the burden of records management tasks on end users as compared with the more established electronic records management system approach.


The approaches discussed in the report were extremely varied, but can be boiled down to the following:

- ◆ An in-place approach – based on holding a records classification and related retention rules in one application, and applying them to content held in the various different native applications of the organisation (SharePoint, email accounts, shared drives, etc).
- ◆ A workflow approach – the definition of workflows for each activity that include provision for the capture of records at particular points of the process.
- ◆ A defensible disposition approach – the definition of policies to apply to aggregations of content around the organisation. For email accounts, you might have a policy that the email

The current standards for recordkeeping were developed before the widespread uptake of email, networked computers and shared drives. The resultant disconnect between the standards and the modern-day corporate environment must be evaluated and overcome to ensure reliable records systems across organisations.

By James Lappin



A man with a beard and glasses, wearing a dark suit, white shirt, and dark tie, is looking down at a tablet computer he is holding with both hands. He is smiling slightly. The background is a blurred office environment with white shelves and a window.

accounts of individuals deemed to have important roles in the organisation are kept permanently, whilst the email accounts of less important individuals are kept for six years. You might set a policy that content in SharePoint sites/shared drives is deleted after five years/15 years or kept permanently, depending on the importance of the functions carried out by the team concerned. There is no retention schedule and no records classification, just risk based decisions.

- ◆ Automated filing by a rules engine through the definition of rules to enable a rules engine to recognise which content arises from which particular activity.
- ◆ Automated filing by an auto-classification tool through the use of machine learning to learn the attributes of content that arises from particular activities, without the organisation having to write a rule set.

(I have taken the liberty of changing NARA's categories slightly. This summary sticks more closely to NARA's definitions.)

These new approaches are very different from the previous electronic records management system approach, but there has been no change in records management theory in between the two approaches (unless you count the new ideas ⇒⇒)

*story  
snapshot*

The ability to implement systems on a corporate scale is currently lacking.

A reliable records system routinely and comprehensively captures records.

End users must be able to rely on their records system so that it is an accurate reflection of the business.

from the information governance world – such as “Everything held is a record”, “Big buckets are better than granular hierarchies”, “End users should not have to bear the burden of records management”).

NARA gives the pros and cons of each automated approach, without favouring any of them, and without stating whether or not they believe each approach will keep records to an acceptable standard on a corporate scale. This is not NARA’s fault. It is simply recognition of the fact that at the moment we, as a profession, have no handy set of criteria to evaluate these approaches against.

In this article I am going to nominate what I think is the most useful and concise set of criteria for judging a records management system or approach, namely the five characteristics of a reliable records system that were developed in Australia in the early 1990s and ended up as section 8.2.2 of the International Records Management Standard ISO15489.

### THE FIVE CHARACTERISTICS OF A RELIABLE RECORDS SYSTEM

Reliability is the most important characteristic of a records system. A records system exists to perform a paradoxical function. It exists to both enable external stakeholders to scrutinise an organisation and to enable the organisation to defend itself against external scrutiny. This paradox is fractal. It is present at any level of aggregation.

A record system enables an organisation to scrutinise a team, and it enables the team to defend itself from scrutiny. It enables an individual to be scrutinised and to defend him/herself from scrutiny.

The only way that a records system can resolve this paradox is by being trusted by all parties. In other words, all parties must consider the system to be reliable – that is, the individuals carrying out a piece of work, their immediate colleagues and line management, the rest of the organisation, and external stakeholders.

Section 8.2.2 of the ISO 15489 standard states that in order to be considered reliable, a records system must:

- 1 routinely and comprehensively capture all records arising from the activities that it covers
- 2 act as the main source of reference for the activities it covers
- 3 link records to the activities from which they arose
- 4 protect records from amendment or deletion
- 5 preserve access to records over time.

### WHY THE FIVE CHARACTERISTICS OF RELIABILITY ARE ESSENTIAL, RATHER THAN MERELY DESIRABLE

These characteristics are not ‘nice to have’, they are ‘must-haves’.

Think what would happen if a records management system did not meet even one of these characteristics:

- ◆ If records were not consistently captured into the records system, then external stakeholders could wonder whether there was a bias in record capture – for example, whether

content that could be incriminating/embarrassing was deliberately kept off the records system.

- ◆ If a records system does not comprehensively capture all records arising from an activity, then this will leave gaps in the record and weaken the organisation’s ability to defend or learn from the way it carried out that activity. It will also lead to external stakeholders looking to other sources of information outside of the records system – sources that may be more time consuming and more embarrassing for the organisation to search.
- ◆ If a records system does not serve as the main source of reference for the activities within its scope, then any gaps in the record will go unnoticed and uncorrected. It is particularly important that the records system is used as a source of reference by colleagues carrying out the piece of work itself because they are the only people in a position to know that there is content missing from the record.
- ◆ If records are not linked to the activity from which they arose, then the organisation will find it impossible to apply a precise retention period to those records. Retention periods are specific to a type of activity – managing staff, designing a building, managing a project, bringing a pharmaceutical product to market, adjudicating on a citizen benefit claim, etc. The trigger point for that retention period to start is even more specific. It is specific to a particular

*Reliability is  
the most important  
characteristic of a  
records system*





instance of each activity – the date a particular member of staff left employment, the date a particular building ceased to exist, the date a particular project finished, the date a particular pharmaceutical product was withdrawn from the market, the date a particular citizen ceased receiving benefit, etc.

- ◆ If records are not protected from amendment or deletion, then an external stakeholder will have cause to doubt whether or not content detrimental to the organisation, or to a particular team or individual, has been deleted from the system prior to them viewing the record.
- ◆ If access to records is not preserved over time, then an organisation cannot be sure that it will be able to defend itself from scrutiny/challenge if that scrutiny or challenge comes at a date in the future. By the same token, external stakeholders cannot be sure that they will be able to scrutinise the organisation at a future date.

## WHY HAVE WE LOST SIGHT OF THESE RELIABILITY CRITERIA?

At first sight it seems odd that we, as a profession, have lost sight of these criteria for judging a records system.

These criteria are not obscure. They were a fundamental part of the drive by the records management and archives professions to manage the transition from the paper age to the networked digital age by expressing the attributes

of good recordkeeping systems in an abstract, non-format specific way.

Although these criteria are trying to be as timeless as possible, they are also very much of their time. They were written at the start of the 1990s, just before the mass adoption of email and networked computers with shared drives by organisations in what were then called developed economies. They were embedded in the Australian records management standard which later became the International Records Standard (ISO 15489, published in 2001).

The reason why we have lost sight of them is that we have not been able to implement systems that meet all five of these criteria on the scale we want to work at (the corporate scale) since the mass adoption of email, nor is there a realistic likelihood that any of the five automated approaches discussed by NARA will meet all five of these criteria.

## EVALUATING EXISTING RECORDKEEPING SYSTEMS AGAINST THE FIVE RELIABILITY CRITERIA

When you compare existing systems within organisations to these reliability criteria you find the following:

- ◆ Line of business systems (case file systems and sector specific systems such as insurance claim systems) can be set up to routinely meet all five reliability criteria. They can use functional email addresses and/or web forms to divert correspondence related to that function away from private



email accounts directly into the system, which means they can routinely and comprehensively capture correspondence arising from the activities that they cover. However, each line of business system can only cover one area of the business. Organisations carry out so many different types of work that it is impossible to have a line of business system for each of them.

- ♦ Generic document management repositories such as shared drives, electronic records management systems and SharePoint cannot routinely and comprehensively capture business correspondence sent and received through email. They are dependent on individuals exercising their own judgement on which emails (if any) they upload or push to the system. None of these three types of repository serve as the main source of reference to all or most of the activities that they cover. Individuals tend to use their own email accounts as the first place to go to find records of their work. Of those three repositories, electronic records management systems and, to a lesser extent SharePoint, do a better job than shared drives at protecting records and linking them to the business activities that they arose from.
- ♦ Email archives routinely and comprehensively capture electronic correspondence. However, they do not relate records to a business activity which leads to problems with applying access and retention rules. They cannot be used as the main source of reference for activities by anyone except legal counsel because private and sensitive emails are undifferentiated from other correspondence.

## EVALUATING AUTOMATED APPROACHES AGAINST THE FIVE RELIABILITY CRITERIA

- ♦ The automated approaches described in the NARA report either do not meet all five reliability criteria or they do not scale across an organisation.
- ♦ The in-place approach currently lacks an answer to the question of how to routinely and comprehensively capture important emails and relate them to business activities. It is dependent on either individuals dragging emails into folders (which is not routine or comprehensive because many individuals never file email into folders) or one of the automated filing approaches (see below).
- ♦ A workflow approach works well, meets all five criteria, but cannot scale across an organisation because of the time taken to analyse processes and define workflows.
- ♦ A defensible disposition approach does not protect records. A disposition rule is applied to a part of a shared drive or a SharePoint site, but individuals can delete or amend content before the time at which the disposition rule is applied.
- ♦ Automated filing by a rules engine – the time spent to write the rules means this approach does not scale to a whole organisation.
- ♦ Automated filing by an auto-classification tool – a typical organisation carries out a great many different types of activity. For each type of activity, it carries out a great many different instances of that activity. An auto-classification tool has to be trained in each container/category it is asked to file records into. The more containers/categories you have, the higher the cost of training. Organisations trying to implement auto-classification corporate wide have had to compromise and ask the tool to file into 'big buckets' rather

than into a container for each instance of each activity (project/case/matter/relationship, etc). This means that on a corporate scale, auto-classification does not currently meet the criteria of linking records to the business activities that they arose from. I explained above that although retention rules may be set on broad swathes of activities (eg, records of all our projects are kept for 10 years after the project ends) to apply that rule, you need to have each record allocated to a particular project so that the 10 years can be triggered by the end date of that particular project. The buckets also end up being too big to be navigable or useable by end users, meaning the system ends up not being used as the main source of reference for the activities it relates to.

## CONCLUSION

At this point in time we need to be honest and say that we have no approach to implementing systems on a corporate scale that will routinely and comprehensively capture business correspondence, protect it, link it to the business activity it arose from, maintain access to it over time and serve as the main source of reference for the activities it covers, nor do we have the prospect of such an approach any time soon.

Until we get such an approach, organisations will suffer problems with their records management/information governance.

We have seen organisations establish electronic records management systems/SharePoint implementations and hope that access to information requests/e-discovery can be confined to those systems, only to find themselves searching email accounts, shared drives and maybe even back-up tapes. This is because their official records system does not routinely and comprehensively capture records. Their external stakeholders have responded in effect by treating all the organisation's applications as being part of their records system.

We need approaches to records management that result in systems that are both reliable and relied upon. If end users do not rely upon a records system, but instead refer mainly to content outside the scope of the records system, then they will neglect to point out omissions in the records system, and there will be a disconnect between the records available to the individuals carrying out the work and the records available to those wishing to scrutinise or continue their work. ♦

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# AVOIDING THE DIGITAL DARK AGE

Technology is rapidly evolving and the speed at which it does so is creating a possible digital dark age where storage formats become obsolete and files unreadable and, therefore, lost forever. RIM professionals are among those who are faced with the challenge of how to prevent such a phenomenon.

By Linda Shave

Google's vice-president, Vinton Cerf, seeks 'digital vellum' (page 4, of the last issue *iQ* Vol. 31, May 2015) to preserve old software and hardware so that out-of-date files can be recovered no matter how old they are. What perfect timing for the inForum 2015 event with its theme 'Digital dreams (not digital nightmares)'. Not discussed previously is another nightmare which Vinton Cerf fears, the 'digital dark age' in which the rapid evolution of technology quickly makes storage formats obsolete thanks to a phenomenon he calls 'bit rot'. How might we as RIM professionals replace this digital nightmare with a digital dream? Where do we start?

## 1 THE NEXT GENERATION DIGITAL ENTERPRISE

As RIM professionals we need to understand the driving forces behind the new 'digital' information age. We need to be challenged and think beyond our normal spheres and comfort zones. We need to research, explore and become part of the 'digital enterprise'. This article will take you on a journey (at warp speed) and introduce you to an evolving paradigm and some thought-provoking notions.

### A new 'digital' information age

The journey starts with Web 3.0 semantic web. Web 3.0 is the third decade of the web and the next step in the evolution of the 'intelligent web'. Web 3.0 will introduce a new 'digital' information age for business as semantic technologies add meaning to linked data, open up access to data sources and combine information from disparate sources. The predominance of digital data assets will provide supremacy in the new digital economy. The challenge will be how to sieve through the volumes of digital data to find, read and unlock its value, given the fast pace of technology change and the shortening of time to obsolescence.





## story snapshot

Bit rot corrupts data and files (also known as bit flip).

A digital risk officer is charged with addressing the digital risk to a business.

Web 3.0 is the semantic web, signalling a new digital information age.

### What is digital?

In today's hyperconnected 'digital' world, the Internet of Things (IoT), cloud-based offerings, cloud deployment models and the interconnection between people and mobile technologies, large volumes of 'digital' data is being created. This digital data is generated, stored, processed and transmitted with digital technologies using a series of ones and zeros (bits and bytes). This method of computation is also known as a binary system.

So what is digital? Basically, 'digital' means something that fundamentally is a string of ones and zeros. Such binary codes of ones and zeros can be encoded into words, music, images, applications, documents, web browsers or databases.

### Digital dilemmas

The digital data explosion will bring similar dilemmas as those associated with Big Data. A point of difference might be the warp speed of technology advancements accelerating the speed in which storage formats, digital data formats and technology become obsolete. Moreover, digital data can be prone to unseen damage where a 1 (one) may randomly change to a 0 (zero) due to digital obsolescence. Other factors, such as business trends to swap from one Software as a Service (SaaS) product to another, will require numerous migrations between applications creating a potential risk called bit flip or bit rot that can cause data to become corrupted and obsolete.

Bit rot is insidious and can be due to bits in the files being 'flipped' producing minor errors that are impossible to correct, making data/files unreadable into the future creating a possible 'digital dark age'. The digital dark age principle argues that the rapid evolution of technology will eventually make storage formats obsolete, and data will not be accessible to generations to come. The 'digital dark age' is aptly defined by Wikipedia, as follows: "The digital dark age is a possible future situation where it will be difficult or impossible to read historical electronic documents and multimedia, because they have been in an obsolete and obscure file format." This phenomenon, according to the 'Father of the Internet', Vinton Cerf, is bit rot.

Obsolescence and bit rot pose a major threat to the survival of digital data assets and the continued existence of the business. RIM professionals and organisations are at a new crossroad requiring new business models, management strategies and tactics for a digital foundation. RIM professionals should be proactive and take the first steps to work with management to review existing strategic plans and digital strategies.

## 2 DIGITAL ASSET MANAGEMENT

As we move to cloud solutions, there is an expectation that applications, digital assets and data will be available anytime, anywhere, any place. Digital assets as previously defined can be words, music, photos, videos, audio, documents, presentations, applications, web browsers and databases.

### Digital asset life cycles

Managing digital assets requires an understanding of the four phases of the digital asset life cycle: create, manage, distribute and preserve (Table 1):

Phase	Description
Create	Creating the data/content and storing it in a defined storage location and/or content management system (Enterprise Content Management, Digital Asset Management, Cloud Storage etc.).
Manage	Including capture (ingest), version controls, metadata, approvals, appraisal, classification, retentions, accessibility and security.
Distribute	Internal and external groups that may be involved/part of the workflow process.
Preserve	Preservation of digital assets short or long term as well as active perpetuation to preserve digital assets from obsolescence.

Table 1 – The four phases of the digital life cycle.

*Obsolescence and bit rot pose a major threat to the survival of digital data assets and the continued existence of the business*



### Digital risk and digital risk management

The digital era brings a paradigm shift. 'Digital risk' is a term describing the risks arising from increased dependency on information technology, systems and digital processes. According to Gartner, there is a new emerging player in the field, the 'digital risk officer' (DRO). The DRO will require a mix of business expertise and the necessary technical knowledge to assess and make recommendations for appropriately addressing digital business risk.

Digital risk management is the next evolution in digital risk and security strategies. It is about re-defining corporate governance and digital perpetuation and should form part of the digital risk

management plan. Table 2 (below) outlines some of the areas that may need consideration in a digital risk management plan.

### What is 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 data 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. Data-driven decision-making can be categorised into four groupings: availability, accuracy and reliability, analysis, and usability. (Table 3):

Category	Brief description	Digital risk management (strategy component)
Obsolescence	Digital perpetuation – Active preservation against storage formats, digital data formats and technology becoming obsolete.	Digital risk strategy
Digital bit rot	Digital perpetuation – Active preservation against unforeseen damage such as bit flip or bit rot.	Digital risk strategy
Intellectual property (IP) and assets	Digital security – Protecting Enterprise IP and assets to ensure ongoing enterprise sustainability.	Digital security strategy
Cyber defence	Digital security – Identify and understand cyber security threats to secure business operations.	Digital security strategy

Table 2 – Components for consideration in a digital risk management plan

Data decision group	Description
Availability	Digital data should be available when and where it is required.
Accuracy and 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 – The four groups of data-driven decision-making





### 3 DIGITAL PERPETUATION

As previously mentioned, Web 3.0 semantic web is the next step in the evolution of the 'intelligent web', expanding connectivity of devices beyond smartphones, tablets and PCs to the Internet of Things. Web 3.0 will see the general corrosion of old models of enterprise operation, disrupting and changing business, jobs and lives. One area of change is to understand the difference between perpetuation and preservation. The following definitions have been sourced from the internet and may help.

#### What is preservation?

| Meaning/definition | *Cambridge English Dictionary*

The act of keeping something the same or of preventing it from being damaged.

#### What is perpetuation?

| Meaning/definition | *Askdefine online English dictionary*

The act of prolonging something; "there was an indefinite prolongation of..." The act of prolonging existence, of keeping something alive or active.

#### What is digital perpetuation?

Digital perpetuation, in the context of digital asset management, is the process of actively preserving digital data assets in databases (on premise or cloud-hosted) from obsolescence and bit rot. Digital perpetuation will be an essential process for business, not only for their continued existence into the future but in preventing a digital dark age. This is an evolving area and is currently in the domain of digital risk managers, CIOs and executives.

Digital preservation, on the other hand, is the formal task of ensuring that digital information such as archives, books, collections, artefacts, analogue, digitised and born digital records of continuing value remain findable, accessible, readable and usable. This has been the domain of information and record management professionals, archivists, librarians and curators.

Table 4 highlights the people, process and technologies used in digital perpetuation and digital preservation. As we move to Web 3.0 and beyond, digital perpetuation will have a heavy dependency on analytical tools for managing, assessing and reporting on the continued value of digital assets to the business, much the same way as Big Data analytics.

While the same active preservation and analytical tools might be used for both digital perpetuation and digital preservation, how they are applied will be fundamentally different. Digital perpetuation analytical tools will be essential for enterprise profitability and continued sustainability.

Accountability	Culpability	Activity	Technology/tools
Executives, CIOs and digital risk officer.	<b>Digital perpetuation</b> Enterprise (private and public).	<b>Active preservation</b> Digital data assets and digital risk management.	Automated 'active preservation' technologies and analytic tools for enterprise profitability and continued sustainability.
Responsibility	Task	Activity	Technology/tools
Archivist, curators, librarians & record managers.	<b>Digital preservation</b> Archives, educational institutions, libraries and museums.	<b>Archiving and long-term preservation</b> Archives, books, collections, records and artefacts.	Technology tools for managing the process of long-term preservation.

Table 4 – People, process and technologies for digital perpetuation and digital preservation



### Analytical tools for digital perpetuation

Web 3.0 will see a continued explosion of digital data being created. This will bring about a new set of challenges for digital data asset management. In addition, to benefit realisation of digital perpetuation, competitive advantages will be accomplished by using analytical tools for analysing both structured and unstructured digital data to identify its continued value, improve market shares and remain competitive.

Cloud-based storage and the interoperability between Software as a Service (SaaS) will provide new efficiencies in capturing, storing, managing and accessing digital data. This will provide new platforms, opportunities and capabilities for introducing the use of analytical tools for RIM professionals.

### WHAT TO DO NEXT

As previously indicated, the digital dark age principle argues that the rapid evolution of technology will eventually make storage formats obsolete, and data will not be accessible for generations to come. The digital era also brings a paradigm shift requiring new business model innovation that exploits the use of the Internet of Things (IoT). Therefore, obsolescence and bit rot pose a major threat to the survival of digital data assets and the continued existence of the business.

RIM professionals are at a new crossroad. There is an opportunity for RIM professionals to place digital perpetuation

into their digital records management plans, introduce analytical tools as a core competency for digital data-driven decision-making and expand current roles or transition to new evolving roles. We need to start dialogue with the business, build and play a key role in the developing, implementing and maintaining of digital risk teams to address digital asset management risks arising from the increased dependency on technology, the speed of technology obsolescence and the possible risk of bit rot. ♦



#### ABOUT THE AUTHOR

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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# **ARE MANAGERS FACING EXTINCTION IN THE MILLENNIUM'S DIGITAL EXPANSION?**

As organisations deal with the ever-increasing demands of digitisation, a new model of management is emerging. A supportive leadership style with a focus on strategy and soft skills could just be the game-changer that is needed to move with the times.

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By Suparna Chatterjee

**M**anagement theorists have amassed a significant body of research at the group, organisational and macro-institutional levels which impresses upon us the need for a strategic response to the impact of digitisation. Surprisingly, little attention has been devoted to how leadership needs to change as organisations accept and reconcile with the digital reality. As scholarly and empirical research continues to explore the leadership role in the digital era, practitioners must clarify their practice. The old ideas on leading a group are fast becoming irrelevant as new technologies lead to new work cultures. The intersection of technology, motivation and organisational imperatives demands a fresh leadership paradigm along with a re-arrangement of scholarly constructs. Digital leadership presents an attractive and potentially impactful integration of research on leadership and the transformation of the digital context of work organisations, yet it appears that the prospect of many managers becoming extinct as they fail to rise to the challenge rapidly gains momentum. This paper argues that managerial leadership factors, such as grasp of strategy and possession of soft skills, can be catalysts for transformation in organisations as they adopt digitisation. Increasingly, the verdict is clear: we have a choice in deciding where we go from here.

## LEADERSHIP PRIORITIES IN THE DIGITAL AGE

In today's world of unprecedented reliance on technology, data growth is spiralling at an increased rate every day. In this data-enriched environment, a phenomenal transmission and diffusion of technologies is happening. A pattern slowly emerges: data tells a story, develops an approach, analyses business impact through different algorithms and resolves business problems. Even a new method or re-establishment of an existing model occurs through data reading, data analysis and data mapping, resulting in the prediction of trends that effectively assists businesses to cope and excel. This emerging driving force (data energy) not only explores existing evidence but also leads the way to finding new evidence. In a world of competing technology, data expertise is sky rocketing but will this reduce our need for subject matter experts? Do we notice a shift from those who relied once on knowledge and wisdom to a more clinical analysis based solely on available information, facts and figures? Are we on a new journey from being 'domain experts' to being 'data experts'? Although the extent of data dialogue over leadership may vary, it is widely acknowledged that work environments everywhere have been impacted by the advent of the digital economy. For example, the leadership context of any agency now consists of opportunities and threats that were unknown even a few years ago. We have always believed that an agency without a manager was a rudderless ship. However, with technology predicting the weather and our growing confidence in the machinery of the ship itself, are managers becoming superfluous? Has an organisation's journey to success become only a linear co-relation, as shown in the figure below?

story  
snapshot

The digital age gives rise to the need for a digital leadership mindset.

Digital leadership must come from the top.

A digitised organisation must increase its human element to keep pace with its data elements.

Numerous researchers have proposed new leadership frameworks for managers, suggesting they design alternative architecture for their role, to avoid becoming redundant. This paper will argue that rather than enrolling for extinction, managerial leaders have become more significant as organisations embrace digitisation. Unlike a century ago when their managerial role was in balancing capital, labour and technology, the new reality of the digital millennium challenges managers to become 'idea leaders'. Managers who cannot re-invent themselves, and concentrate on freeing the imprisoned human actors with a freshness of ideas, will certainly not be relevant to the new institutional realities. The digital era demands an innovative mindset that combines both the soft and hard skills of management. Paradoxically, managers who need to be trailblazers frequently become trapped by their old mindset. As a result, escaping the mindset of the past – opinions, beliefs, values and plans – becomes a key managerial challenge.

Emerging competitive demands in finance, trade, communications and amazing digital opportunities are transforming the work culture of organisations around the world. Employees in public enterprises have better solutions at home than at work. Digital maturity matters for leadership and this paper explores this dimension – creating leadership capabilities that can drive digital transformation through vision and intensity, avoiding the digital nightmare. Industries with leaders who mature in their digital understanding are outperforming others where the status quo still dominates. Unlike many other ideas where 'a thousand flowers bloom' and change comes from the bottom, digital leadership must come from the top.

The digital leadership context is best explained in the figure below. 'Capabilities nurtured' identifies the individual potential for leadership. It includes self-management (a knowledge of self, and trust in one's own personal attributes like strengths and weaknesses, values and desires) and relationship management ie, resources needed in working with business. 'Digital leadership mindset' maps out an organisation's need, as is evident in the present day agency culture. The strengths and opportunities for improvement that will influence a leader's behaviour are identified in the leadership quadrant as high or low, recognising individual strengths and crippling weaknesses, resulting in digitally mature leadership that incorporates both self-awareness and a creative response to technical opportunities and challenges to achieve corporate goals.



Fig: 1 Linear progression of performance





## BEYOND NUMERICAL READINGS

A department's success is inseparable from its management practice and is built on the fundamental values, attitudes, abilities and behaviours of an agency. Over the years, we note a decline in the traditional leadership of preaching with an expectation of respect and loyalty. Rather, in this contemporary techno-economic paradigm, there is improved understanding of the context and an inseparable tie between managers and employees where what matters

more is collaboration. A paradigm shift has occurred with this collaborative leadership and we have journeyed from the days of 'controlling employees' to 'motivating employees'. In facilitating a suitable environment where the organisation's vision will be met, the modern day reliance is on technical metrics. In obtaining results through systematic research and theoretical computation, and persuaded by its accuracy, the more complex human context and challenges of soft resources seem to be temporarily abandoned. As is inherent in any model or approach, there are obvious elements of orthodoxy in numerical readings. Yet, we find increasingly that a pre-existing preference is given to the digital reading of a department's target setting, in analysing its stakeholder relationships or financial performance, in general to predict its growth or execute their various operational processes.

A displaced prominence is placed on the regular capture of granular data, and projects are increasingly becoming more data driven in spite of the risks associated with it, and we are gradually being engulfed in an overall prominence of data governance. A shift has occurred in our orientation; we have moved too far away from the old days of a manager's gut feeling drawn from being an expert in their field, to a more clinical case-by-case approach, as is adopted by a physician in the medical sphere. This paper argues that the buzz word 'digital' is often misleading as it points to an expertise in technology. The key question of leadership is how to 'rethink' and 'reboot' organisational strengths as a result of digitisation. Digital leadership is less about the leader and more about the vision and competencies associated with an empowering culture.

In our global inhabitancy, a purposeful blurring of boundaries has occurred in our culture, language, dress code, food, etc. It has now extended to how the government of the day and various institutions are run – both public and private – and also how the individual's behaviour is exhibited at the operational and strategic levels. In enhancing a happy and high performance environment, focus is often more on quantitative engagement rather than qualitative. This leads to the formulating of success plans for the greater good of a country, agency and its people. To do so, we look at the transformative technology and create digital information which impresses upon us an ability to anticipate and envision strategic changes. Even though it is critical to have the right business context based on technology to form a well-informed decision, staff may still suffer from lack of confidence and stakeholders may still have security fears, all of which comes from the lack of a leader's engagement with their people, processes and systems and good management of employee performance and agency resources. The ability to understand and influence change happens through both the interpersonal and technical skills of a leader. Managing human capital is the most critical skill for success in any institution and for any societal advancements. Strategic leadership is only successful when it is built on a business approach that is aligned with the social context in which it operates.

*Managing human capital is the most critical skill for success in any institution and for any societal advancements*

## SHARING AND INTEGRATING THROUGH TRUST

In the end it needs to be remembered that ideas are owned by teams, groups or organisations, so the leaders need to learn to trust. An organisational system is a whole comprising context, culture, competencies and resources, and it should not be divided. Every part has emerging properties that cannot be considered in isolation; each affects the behaviour, aim, activities, structure and methods of an organisation's operation. Context shapes the behaviour of an organisation with a direct impact on staff commitment and satisfaction. A strong culture helps an organisation adapt to the changing environment, managing the fear of change. It means people are more functional and motivated and achieve goals, producing results. As can be seen nowadays, awareness of 'supportive leadership' is growing.

Wide scale research has gone into the making of a good manager where impacts of both emotional and social intellect in influencing staff have been highlighted. Yet, as technology progresses and we witness its many miracles, like the imminent introduction of computerised cars with no driver, perhaps it also opens up the debate on the necessity of a leader. In organisation management, we have already seen a shift – an intuitive approach displaced by a systematic approach, moving away from knowledge and wisdom, leaning more towards data and information. In this millennium, information has increased rapidly and with



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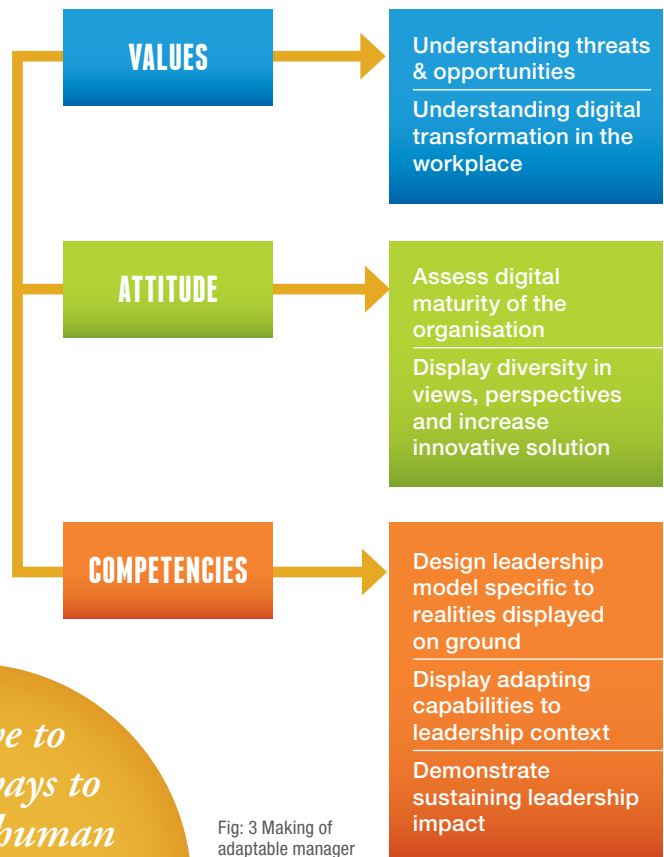
it opportunities to combine data have also expanded, giving rise to bigger and better data that provides both a panoramic and granular view. The question we speculate on is: can a department in our data informed society also be driven through a series of complex algorithms without a driver/leader? It is unquestionable that technology has assisted improvements in the facilities and service sectors and has introduced many initiatives and activities that determine today's success. However, to know what is going on, it is important to know the domain so that the right questions can be asked to retrieve accurate data. Managers have to focus more on their creative abilities, their leadership skills and their strategic thinking to negotiate effectively and lead a motivated team. If we rely more on algorithms to find out about business issues, determine methods that are purely driven by technical metrics or results of computation theory, we will miss out on the complex human context – the 'soft resource'. We have to explore ways to integrate human intelligence and human behaviour in our process of data analysis.

In the wake of the data revolution, exploring the consequential question: are managers becoming obsolete in this day and age of data and advanced technology? One could only say that there is yet to be an application made that can combine business intelligence with domain knowledge – tacit and/or explicit – along with creative abilities to find a solution to a problem that also knows when to press the 'step back' key. For any organisational transformation or team performance, we still need the engagement and management from our managers who have to adopt a more collaborative control method to build a creative climate, striking a balance between being data driven and intuition driven. From a smorgasbord of possibilities in a high-pressure, fast-paced workplace, there are many unprecedented problems and, although we acknowledge the value of well-designed, structured and efficient data, most likely they are to be spread through multiple systems. Data tends to be fragmented and the expectation of a good manager is that he/she will design data strategies incorporating analysis and intuition, thereby working in a symbiotic manner. Traditionally, intuitive decision makers were primarily in the fields of medicine, nursing and education, or in creative fields like marketing and advertising, but now in the millennium's digital dream world, we also have managers who move with a positive attitude and a holistic cognitive style, with a high level of professional expertise, experience and risk tolerance. Yet, regardless of their substance, the overriding concern weaving its way in and out of their entire managerial daily activities is: is their decision data driven or intuitive, or could it be a combination of both? The reality is that a "digitised organisation" cannot be separated from "digitally literate managers."

*We have to explore ways to integrate human intelligence and human behaviour in our process of data analysis*

## AVOIDING EXTINCTION

After synthesising the above arguments and reviewing the outlined conceptual frameworks, what emerges is an unquestioned need for a responsive and adaptable manager who fosters engagement at work. But how do we measure and assess these new managers? Generalising the results of the above arguments, a model of the contemporary leader's characteristics is shown in the figure below:



The increasingly complex nature of issues that emerges both in the public and private sector could well be driven by a combination of external factors like globalisation, diversity of age and gender, and downsizing as a cost-saving measure, but technology has an immense effect on management, and an influence on leadership more generally, in the modern century. Being at the threshold of a digital millennium, we find technology appearing to move quicker than organisations, placing complex challenges on managers everywhere. Dramatic changes have occurred to the way work has been done over the past decades as technology and information become inseparable.

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## WHERE DO WE GO FROM HERE?

So, the managerial challenge for today is this balancing act of new realities. Along with the organisational tradition of maintaining hard skills, they have to create new capacities by rewarding new skills. To survive and flourish, they have to move away from the 'statuesque' to a more engaging form of corporate entrepreneurship, generating a new belief system through the dynamic creation of team. Our old culture of routine never required managers to engage but our new technology-enabled culture has created conditions which impress upon managers the need to develop into 'idea leaders' and flourish. The emerging competitive scenarios of global trade and worldwide engagement have set the scene for a change in the way managers operate. To create a survival recipe, managers today need to find a position that is somewhat in the middle, borrowing heavily from areas of specialised knowledge in a certain field gathered through years of experience and pattern study, emerging through the intricate labyrinth of the use of advanced technology. Everyday evidence increasingly shows the impact of active workplace engagement on any highly performing organisation. In the pursuit of building a productive organisation, implementing technology driven solutions will only lead to disengaged personnel. In this data intensive environment, technology driven dialogue is insufficient. The answer lies in a synthesis between data and people becoming 'idea leaders'. ♦

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# *Digital dreams vs digital nightmares*





story  
snapshot

Automation of white collar work is becoming more prevalent.

E-discovery has revolutionised commercial law.

Digital technology can limit repetitive tasks but also risks making us redundant.

Since the Industrial Revolution we have seen a steady shift away from physical 'doing' work towards knowledge-based 'thinking' work. In fact, the work of Richard Florida would suggest that more than 30% of the workforce is now involved in thinking or creative work, and only 20% or so are involved in doing or manufacturing-based work. The balance is largely involved in service-based work.

The reason for this shift has been automation. We have found ways of standardising and scaling manufacturing processes that allow us to deliver greater throughput at a higher quality by using fewer people. In general, these improvements in productivity are seen as a good thing. They have contributed to a higher standard of living around the world and also have allowed many workers to shift to safer and often more fulfilling non-manufacturing jobs.

It is perhaps for these reasons that we have become a little blasé about the automation of manufacturing jobs. Although we should never forget that these are people's jobs that we are talking about, we see automation as being somewhat inevitable and generally desirable. But would we feel equally at ease if the same thing happened to white collar work?

## HERE COME THE SOFTWARE ROBOTS

For a long time thinking workers have felt somewhat insulated from the changes affecting their doing worker cousins. There has been a lingering belief that thinking work is too diverse or too unique to be automated, but there is ample evidence that this is not actually true. Increasingly, we are seeing that software robots have the same impact on thinking work that manufacturing robots have had on doing work.

Perhaps the best of these examples is the rise of e-discovery in the legal industry. E-discovery is the application of algorithms and machine learning to the sorting and assessment of documents in legal cases. Especially in commercial law, there is often a need for thousands or even millions of documents to be sorted and assessed to uncover usable evidence. Most of the documents will be of little value, but just a handful might be the difference between whether a case is won or lost. Historically, the only way of undertaking this process was an army of junior lawyers going through the documents one by one. But now this task is being undertaken by software robots that can do it with higher accuracy in a fraction of the time, and at a fraction of the cost of the human alternative.

Although e-discovery is still relatively niche, it is a powerful example of the automation of thinking work. This is not low level administrative work that is being automated. This is the work of highly trained and skilled lawyers. What this shows us is that if a task is valuable enough and if it occurs often enough, we will most likely create a technology to do it for us. ➡

Business in the 21st century is being dominated by two trends. The first has been a shift away from physical work towards knowledge work. The second has been the scaling of technology to the human level. At the intersection of these two trends, there is an opportunity to revolutionise the way we work. But for many organisations, this realisation may come too late and, for many people, the digital dream may turn out to be a digital nightmare.

By Simon Waller



## THE AUTOMATION OF THINKING WORK

Key to the automation of thinking work has been the standardisation of information. Since the start of the PC era in the late 20th century, we have seen steady growth in the digitisation of information. It is estimated that in 2002 the amount of information in the world stored in digital formats first exceeded the amount stored in analogue formats. Since then, it has continued to grow, and by 2011 it was estimated that more than 95% of the world's information was now digital.

By digitising information and standardising how it is recorded and stored, we have opened up thinking work to automation. Because of the limitations of OCR (Optical Character Recognition), software e-discovery is of little use if information is handwritten. But now that the dominant form of communication in organisations is typed text, e-discovery can automate the process and outcompete humans.

The automation of thinking work is somewhat confronting. We have not been conditioned to it and for many people reading this article it is also a little closer to home. There are jobs at risk, but is this really any different than the automation of manufacturing jobs? On one hand, the productivity gains that technology enables will continue to raise living standards around the world and this is for the benefit of all. But unlike the automation of manufacturing jobs, we do not necessarily have any other ready-made professions available for displaced thinking workers to go into.

The automation of doing work leads to a dramatic increase in both creative and service industries. But as we automate these industries, we are going to very quickly run out of new industries for people to work in. Although technology has always destroyed jobs and professions, there has always been the view that new jobs and professions will be created, but currently more than 90% of the workforce is still employed in professions that were created more than a century ago. There is genuine concern about whether we can create new jobs that are less likely to be destroyed.

And herein lies the dream and the nightmare of digital technology. On one hand, it is likely to free us from repetitive, unenjoyable work, but on the other it risks making us redundant altogether. There is a chance that we will create a new breed of high touch jobs that are insulated from automation for at least the near future, but there is also a chance that we will not.

*One thing is for certain: if you want to be relevant in the new world of work, you are going to need to develop your digital skills and knowledge*

### ABOUT THE AUTHOR

Simon Waller is the author of a book called *Analogosaurus: Avoiding Extinction in a World of Digital Business*. He wrote it because the intensity of digital technology in business is increasing rapidly and many people are unprepared for the changes this will bring. He believes that our future relevance will depend on understanding how technology works and being able to apply it effectively.



Simon's mission is to prepare people for the future of work (even though it is kind of happening already). Apart from speaking to audiences about the changing nature of work and the impact of digital technology, he also mentors executives and business owners on how to use their technology effectively, and he also runs training programs for businesses, especially leadership teams to teach the practical skills that make digital technology useful.

✉ He can be contacted at [simon@simonwaller.com.au](mailto:simon@simonwaller.com.au)

### SO WHAT'S NEXT?

One thing is for certain: if you want to be relevant in the new world of work, you are going to need to develop your digital skills and knowledge. Research conducted on behalf of the UK Government suggests that 90% of jobs require at least basic digital literacies, and well over half the workforce is going to require a medium to high level of digital expertise.

We might take comfort that we have got through the first 20 years of the digital revolution, and there is no reason why we cannot get through the next 20, but what happens next will make the last 20 years pale in comparison. In the words of technology commentator Kevin Kelly: "There's a sense that all the big things have happened, but relatively speaking, nothing big has happened yet." ♦

Simon Waller is presenting at inForum 2015 on '21st Century business tools: How digital technology can help you cope with anything and everything.'



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Ben Harrison, Master of Library and Information Management student.



University of  
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# FROM DIGITAL DINOSAUR TO DIGITAL DIVA

**R**esponsible for the safe, secure and affordable supply of blood and blood products across Australia, the National Blood Authority's 78 staff manage contracts worth \$1.2 billion per annum with not-for-profits and commercial companies to ensure that appropriate blood and blood products are available to meet all appropriate clinical demand.

Established in 2003 as an Australian Government statutory authority under the National Blood Authority Act 2003 (Cwlth), the Authority is subject to the *Archives Act 1983* (Cwlth) and Australian Government policies and guidance.

story  
snapshot

A case study  
of digital  
transformation  
of a small  
Commonwealth  
statutory authority

Over the last two years, the National Blood Authority has transformed its organisational culture and records management function from a paper-rich model to a digital-first culture where over 98.5% of records are born digital, managed digitally and will eventually be digitally retained or cremated.

By Peter O'Halloran

## THE PROBLEM

The Authority's record-keeping over its first decade of operations was a highly traditional print-to-file style of operation, combined with an increasing reliance on ICT line of business systems to record some approvals and decisions. Over 10 years, 530 shelf metres of records were created, split evenly between off-site storage and on-site storage based on usage and sensitivity of the relevant records.

An internal review of the records management function in 2012 identified a range of issues including:



- ◆ extensive time spent by officers printing off records to file and an associated back-log in some teams
- ◆ the growth of on-site file storage facilities included each desk having one or more filing cabinets in addition to a compactus and file-storage room and the associated costs of leasing such space and moving accumulated files when officers relocated desks
- ◆ excessive time to retrieve files, including regular lost files 'somewhere in the office'
- ◆ an inability to access records when not physically onsite
- ◆ a potential loss of key records covering multi-year, multi-billion dollar contracts if the building was destroyed by fire
- ◆ a lack of appropriate records management controls over records contained in line of business ICT systems.

### THE SOLUTION

The appointment of a new head of the Authority in April 2012 resulted in an increased focus on internal business process efficiencies. This, combined with an impending office relocation in early 2013 provided the ideal opportunity to move the Authority's record keeping to a digital-first model.

A two-year project plan was established with a modest amount of additional resourcing that aimed to:

- ◆ improve real-time access to information from both inside and outside the office
- ◆ enable the agency's operations to continue uninterrupted if the Authority's only office was unavailable for any reason
- ◆ reduce the amount of time required by staff to locate information and to eliminate the tedious and time-consuming process of printing to file
- ◆ reduce direct costs through a decrease in the floor space required for records storage and off-site storage requirements.

*Problem:  
excessive time to  
retrieve files, including  
regular lost files  
'somewhere in  
the office'*

### Establishing the project

A small project team led directly by the Authority's chief information officer was established and a full-time experienced records manager was recruited to fill a long-vacant records management position within the Authority. Limited resourcing meant that the records manager was the only member of the project team solely focused on the project – all other team members juggled their other responsibilities with their new obligations as part of the project team. As the project progressed this became a clear benefit to the project, helping to ensure that the project was always focused on meeting the end business need, rather than being side-tracked into IT or records management centric demands.

The development and implementation of a new information management strategy, framework and policy was the first tangible delivery from the project team. This new suite of





documents provided a clear roadmap to all Authority staff on upcoming changes, timelines and the desired end-state. From a compliance perspective, it also clearly documented how the Authority would implement the Australian Government's Digital Transition Policy issued in July 2011.

Strong communication focusing on the objectives of the project, honest assessments of progress and setbacks and the impacts on all staff quickly became a hallmark of the project. Fortnightly updates were provided along with highly visible floor-walking and training (both in groups and one-on-one) for all staff assisted greatly in the change process.

An early decision was made to insource the majority of work on the project, enabling it to be delivered with minimal resourcing and to enable the project team to have both strong control and an ability to rapidly evolve the methodology as the project progressed.

### Executive support

The support of the Authority's head from day one was critical to the success of the overall project. Simple actions such as all senior managers making clear to staff that they would only review files or documents if provided to them electronically through a link to our EDRMS system demonstrated to staff that this was a project with complete management support.

The appointment of the Authority's chief information officer to directly lead the project delivered a range of benefits including:

- ◆ an elimination of the traditional us vs them mentality between records management and ICT staff – the co-location of these staff physically side-by-side also led to considerable cross-pollination of skills and understanding and enabled issues to be dealt with quickly and easily
- ◆ a strong champion for the project, able to interact with other managers readily to address issues, encourage uptake and explain the business benefits for the work.

The establishment of a standing agenda item at the Authority's weekly senior executive management meeting provided a forum for the Authority's senior staff to discuss the project in detail, in addition to providing a forum for any issues or concerns from staff to be addressed in a timely manner. Although at times this felt like both a blessing and curse for the project team, it was critical to our success constantly driving the project team to deliver a high quality outcome.

### Technical solution

The Authority's existing HP TRIM system was expanded in scope, moving from a basic file registration and management system to a full-blown EDRMS. Like all such functionality migrations, this required considerable effort to upgrade the back-end infrastructure (such as storage, new virtual servers and upgrades to the then latest versions of TRIM) in addition to the front-end including upgrading to the then latest version of the HP TRIM end-user client.

The engagement of iCognition (our long-time support partner for records management guidance and HP TRIM support) in this stage was crucial – enabling best-practice approaches to be quickly adopted whilst reducing the burden on the project team.



The provision of an excellent end-user experience was a key component of the project and our analysis of the issues and feedback from staff indicated that they needed both hardware and software enhancements to ensure an optimal experience.

The opportunity of a hardware refresh for end-users by our ICT infrastructure team was seized upon and all staff were provided with dual 24" monitors. This enabled staff to readily view the contents of files and individual documents on one monitor, whilst working on other documents or systems on the other monitor.

A web-based front-end was also nominated by many staff as a key requirement, and the team implemented iCognition's RM Workspace (formerly Diem Portal) as a web-based front end to TRIM.

Known across the Authority as 'DREAMS' following a staff competition to name the tool, it enabled us to:

- ◆ provide a user-friendly interface where we could suppress many features not required by staff on a daily basis to reduce the screen clutter and confusion
- ◆ enable staff to quickly limit searches to certain records types through a simple drop-down selection – feedback from users was that this reduced their returned results often from thousands down to a handful in two or three easy mouse clicks
- ◆ replicate a network file storage-type hierarchy through individual team-based tabs so that users can access records whether they prefer to search, tag or browse through a folder-based structure.

We customised the header of the webpages in the tool so that a range of photographs of current and former Authority staff engaged in both work and social settings are displayed in the banner across the top of the screen. Whilst many staff will never perceive records management as 'fun', we have managed to personalise the experience and staff notice and comment positively when their photo is displayed in the banner.

Providing access to staff on the go on a range of devices was challenging, but has been a key feature that has been



well received by our staff. Initially, we implemented, and then decommissioned (when we decommissioned our iPad fleet) Kaphish's goTRIM app. This app provided staff with ready access to our document repository wherever they were and a great deal of positive feedback was received. Now that we have implemented virtual desktop infrastructure (where the computing power is based on the server and the desktop equipment simply provides the 'front-end' where a user can interact with their desktop session) which is available both within and outside our office environment, users simply use DREAMS or the full TRIM client and have access to all of the functions whether they are at their desk, in the field (such as in a Pathology laboratory on a tablet PC) or working from home or an airport lounge.

### Migration of electronic records

Business areas and individual staff members were tasked with migrating their records from personal drives, network drives and email accounts into the EDRMS. Specific user education focussing on Normal Administrative Practice (NAP) and how to decipher which records were required to be retained helped to minimise the migration of items which were not records and no longer needed to be stored.

Whilst we examined various migration tools to assist in the process, ultimately we decided not to adopt any of them. We made a clear decision that each team was required to evaluate and then migrate documents into the EDRMS, with those items left behind evaluated by the records manager before destruction.

Monthly organisation wide reporting on team progress with migration occurred and network drives were decommissioned on a regular basis. The implementation of email quotas, personal drive quotas and network drive decommissioning helped to encourage staff to not fall back into old practices and to continue to file items into the EDRMS. Over 90% of the historical contents of network drives were migrated and the drives shut-down.

### Migration of active paper-based records

Staff were allocated time to 'clean-up' their existing paper information. This involved filing current and legacy paper information and destroying low value facilitative information, such as printed reference material, under NAP. This increased staff engagement with the project and assisted in identifying what information needed to be digitised.

With assistance from each business area, active files were temporarily closed and moved to a secure location within the office for scanning. This ensured new information was not added to the files while the work was being completed. Quality assurance testing was done to ensure the original paper information would be accurately replicated in the digital version. The paper files were then individually scanned in-house using the standard operating procedure developed during the testing period.

After scanning and quality assurance steps (including both the scanning officer and an independent QA officer reviewing all pages of each migrated file) were completed, the digital version (which was searchable through Optical Character Recognition processes undertaken at the time of scanning) was saved in the EDRMS. A certificate documenting how the file was scanned, and the date and time of the scanning was included for accountability purposes.

Scanned files were retained for three months following scanning and quality assurance tasks, and were then destroyed under the authority of the National Archives of

Australia General Records Authority 31. Given the sensitivity of many of the files, the destruction of all records was undertaken in-house using a secure cross-cut shredder. The volume of files being shredded at the height of the project caused some issues and we commissioned a supplier to build a custom cupboard with the shredder head mounted on top. The cupboard then contained a 240 litre wheelie bin underneath the shredder head and shredded material dropped straight into the bin. We still wonder what the driver of the recycling truck thought we were doing with 78 staff filling nine 240-litre wheelie bins each week with shredded paper!

### Migration of inactive paper-based records

In parallel with the migration of active paper-based records, a process to sentence all records stored off-site was undertaken with just over 50% of records sentenced so far. Records with a retention period of 10 years or greater (the majority of our holdings) were then digitised using the same processes and staff which we employed for the active paper-based record migration. Likewise, records due for destruction were destroyed in a similar manner.

During the sentencing process, we noticed that greater than 20% of the storage cartons were significantly damaged, with boot prints, boot-sized holes, torn handles and bird droppings on the lids common-place. We changed service providers to a facility that better met our needs and re-housed all file covers in new storage cartons.

## THE OUTCOME

Two years after we commenced, the project is complete and we have transitioned to a business as usual model of operation. The project delivered above and beyond our initial expectations and we have achieved the following:

- ◆ 98.5% of agency records are now created and managed digitally.
- ◆ Staff have access to complete, accurate and authentic information and the ability to work across teams is greatly enhanced.
- ◆ Staff can access over 99% of agency records at any time, from any device and from any location with the EDRMS solution available to all staff from both inside and outside the office. This was made available through the concurrently conducted desktop virtualisation project. The NBA can now operate with minimal disruption even if the agency's only office is unavailable.
- ◆ Storage space has been reduced by 66% with 175 shelf metres (167m off-site and 8m on-site) of records now retained in physical format. The significant reduction in on-site storage has resulted in a decrease of office space requirements of 2.4 square metres per staff member which is saving the agency over \$50,000 in rent per annum.

The greatest achievement is in freeing up our workforce. No longer are they tied to their desks to access our corporate records. Staff can access records from anywhere, at any time on any device. This benefits not only frequent travellers, or road warriors, but also ordinary staff who can now work from home if required with full access to all resources. Since commencing the project, two staff members (2.5% of our workforce) have relocated interstate from Canberra due to family commitments and they have access to all resources as

though they were in our office. Two further staff members are now actively exploring a similar change and, within two years, we expect that up to 15% of our workforce could be based far away from our office in Canberra.

## THE FUTURE

With the initial project now complete, the project team would like to take a well-deserved rest. However, there being no rest for the wicked, we are continuing with a range of projects. Over the coming two years, we aim to:

- ◆ upgrade our HP TRIM environment to HP Records Manager
- ◆ continue the digitisation of legacy paper-based records and we are planning to have completely migrated or disposed of our remaining 175 shelf metres of records by 2020
- ◆ implement electronic workflows in HP TRIM for the remaining business processes that have not yet been digitised – our plan is to eliminate ‘wet’ signatures for all internal documents by the end of 2016

### ABOUT THE AUTHOR

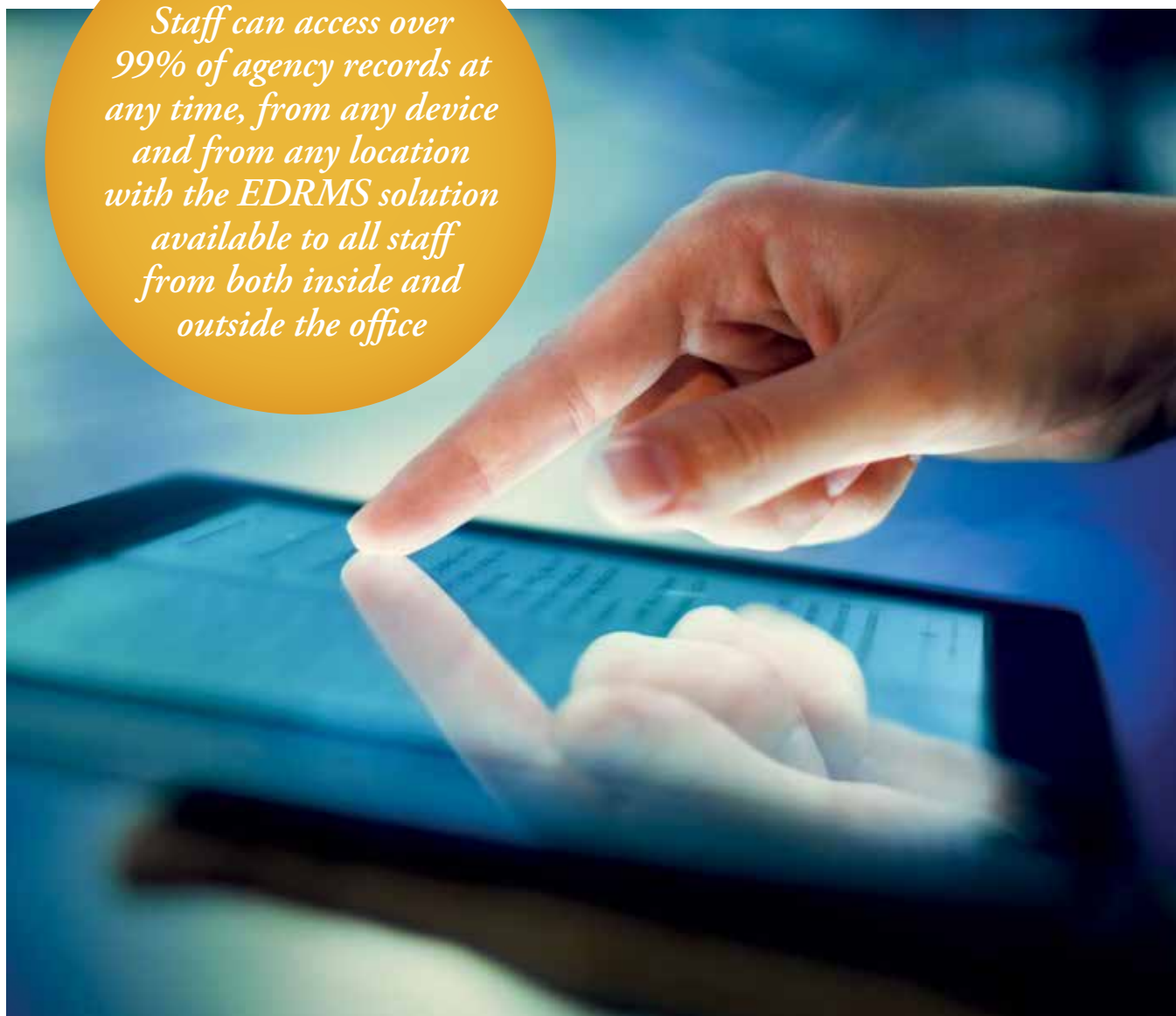
Peter O’Halloran is the National Blood Authority’s Chief Information Officer, responsible for the provision of services to health providers and ICT systems supporting the Australian blood sector. A self-confessed agent of change, Peter uses ICT systems to reform and reshape the Australian blood sector in a collaborative manner that improves patient outcomes whilst saving money. Peter joined the Australian Public Service in 2006 after more than a decade designing and managing service delivery in the university and not-for-profit sectors.

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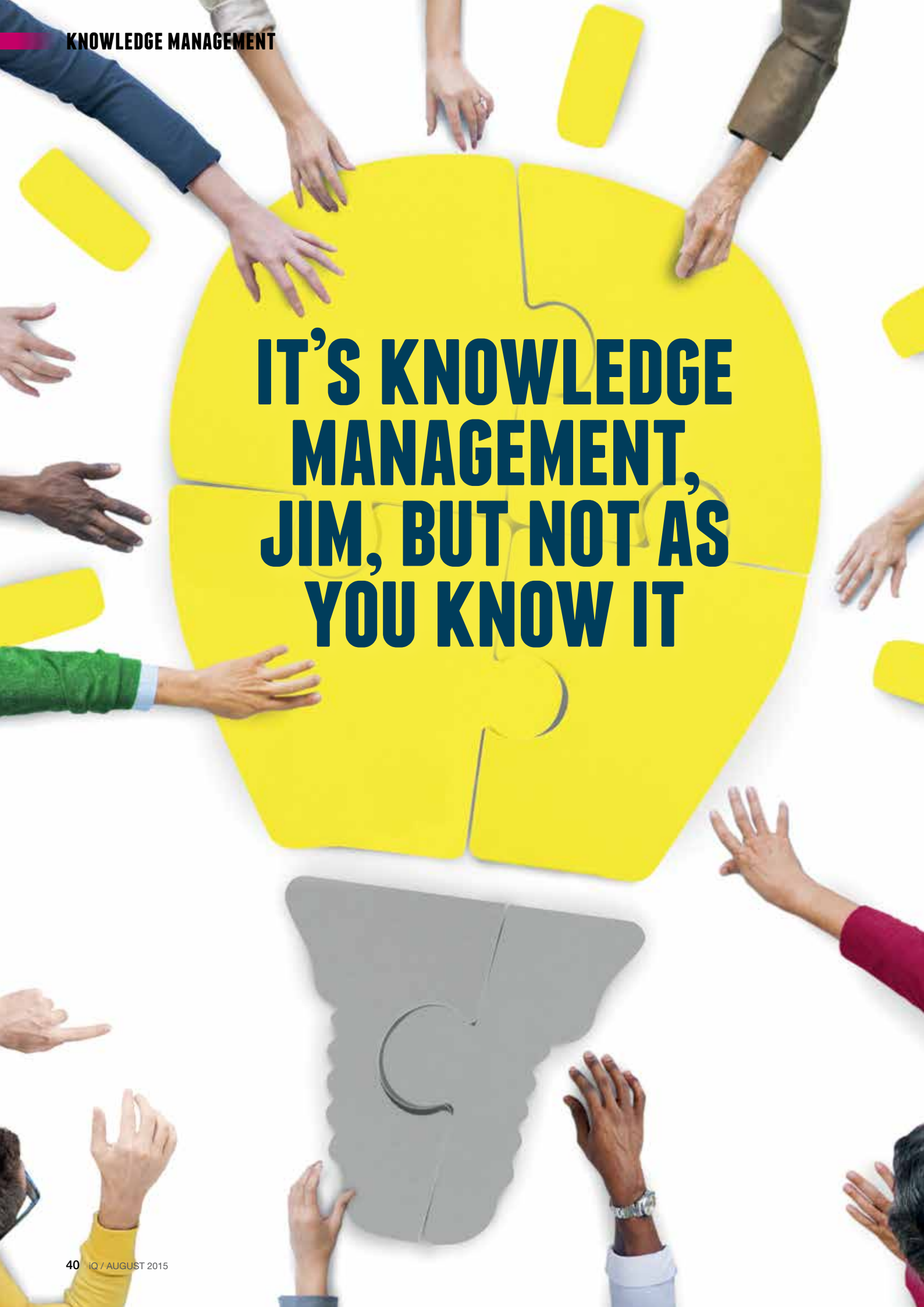


- ◆ migrate content from line of business applications from the applications into our EDRMS for long-term management
- ◆ commence sentencing of digital records, with a view to commencing the transfer of digital records assessed as ‘Retain as National Archives’ or RNA to the National Archives of Australia. ◆

*Outcome:  
Staff can access over  
99% of agency records at  
any time, from any device  
and from any location  
with the EDRMS solution  
available to all staff  
from both inside and  
outside the office*







# IT'S KNOWLEDGE MANAGEMENT, JIM, BUT NOT AS YOU KNOW IT

Knowledge management, once reviled in the information industries, has had a cultural makeover with the advent of social media and a new propensity to collaborate. Now that the focus is on sharing knowledge, the connections that result are limitless and have benefits that knowledge management could never have achieved.

By George Parapadakis

A recent conversation with a colleague sent me searching back to my archives for a conference presentation I did nearly 16 years ago. The subject of the conference was on the impact of document management as an enabler for knowledge sharing in the enterprise.

Driven by three different technology sectors at the time – document management, search and portals – knowledge management was all the rage back then. However, no good deed goes unpunished and, after several massive project failures and even more non-starter projects, knowledge management lost its shine and became a dirty phrase that no self-respecting consultant wanted to be associated with.

## WHY DID KNOWLEDGE MANAGEMENT FAIL IN THE 1990S?

They say 20:20 hindsight is a wonderful thing. Reading again through my slides and my notes made me realise how different this market has become since the late 1990s. There were a number of factors at the time that made sure that knowledge management never took off as a viable approach but, in my view, two were the most dominant.

The first one was the much used phrase, “Knowledge is power”. Leaving aside the fact that knowledge in and of itself very rarely has intrinsic value – it is the application of knowledge that creates the power – the phrase was quickly misconstrued by the users to mean, “I have knowledge, therefore I have power”. Guess what? Who wants to dilute their power by selflessly sharing out knowledge? Not many users felt altruistic enough to share their prized knowledge possessions, their crown jewels, for the greater good of the organisation to the effect that, “As long as I hold onto the knowledge, I hold on to the power and therefore I am important, valuable and irreplaceable”. Nobody said so, of course, but everyone was thinking it.

The second one was the incessant focus on the information itself as the knowledge asset. Technology was focused almost exclusively on extracting tacit knowledge from individuals, encapsulating it in explicit documents, categorising it, classifying it, archiving it and making it available to anyone who could possibly need it. There

were two problems with this approach. The moment tacit information became explicit, it lost its owner and curator; it also started ageing and becoming obsolete. Quite often, it also lost its context too, making it not only irrelevant but often dangerous.

## WHY ARE WE TALKING AGAIN ABOUT KNOWLEDGE MANAGEMENT IN 2015?

The last decade has brought a silent cultural revolution on knowledge sharing. We have all learned to actively share. Not only did we become a lot less paranoid about sharing our ‘crown jewels’, but we are all actively enjoying doing so, inside and outside the work environment on Wikipedia, blogs, Twitter, self-publishing, Facebook, Pinterest, LinkedIn, SlideShare, Open-source, crowdsourcing, etc. – all technologies that the millennium (and the millennials) have brought to the fore. All these technologies are platforms for sharing information and knowledge. The stigma and the paranoia of “Knowledge is power” has actually transformed into “Sharing is power”. The more we share, the more we are valued by our networks, and the bigger the network grows, the more power we yield as individuals. And surprise surprise, it is reciprocal! The bigger the network we create, the bigger the pool of knowledge we can draw upon.

What could not have been envisioned in the late 1990s or early 2000s is that by 2015 the knowledge power would be contained in the relationships and the connections, not in the information assets. Not just connections between knowledge gurus inside an enterprise, but amongst individuals in a social environment, between companies and consumers, and amongst professional organisations.

Social media and collaboration environments have proven to us that the value of sharing knowledge is significantly higher than the value of holding on to it. We may or may not see the term ‘knowledge management’ resurrected as an IT concept, but the reality is that knowledge sharing has now become an integral part of our daily life, professional and personal, and it is not likely to change any time soon. ❖

This article was first published at [4most.wordpress.com/2015/03/19/knowledgemanagement](http://4most.wordpress.com/2015/03/19/knowledgemanagement)

*The stigma and the paranoia of “Knowledge is power” has actually transformed into “Sharing is power”*

### ABOUT THE AUTHOR

George Parapadakis is a solution strategist with over 25 years’ experience in Content, Process and Information Governance. He has delivered solutions and consultancy in various regulated industries including healthcare, banking, insurance and legal. He is a regular speaker and social media contributor on Information Management topics. George is a Certified Information Professional (CIP) by AIIM, and has been awarded the Master of Information Technology (MIT) Award for his contributions to the Content Management industry.

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# INFORMATION GOVERNANCE FOR CLOUD STORAGE SYSTEMS AND PLATFORMS



The adoption of cloud technology has rapidly increased in the last two years. Forrester<sup>1</sup> predicts that the market for cloud computing will grow from \$41 billion to \$241 billion by 2020. This is creating challenges for organisations, which must consider information governance solutions that govern information stored both on-premise and in the cloud.

By Pierre Van Beneden

**T**he range of benefits offered by using cloud services and the maturity of cloud vendors is driving adoption at the global level. More and more companies are using cloud technologies and managed services to accelerate business initiatives, allowing them to be more agile and flexible, and reduce costs. Employees are utilising cloud-based storage technologies for corporate records and this is raising new challenges for organisations.

Every organisation has information stored across a multitude of systems, computers, shared drives, repositories, and now much of that information is moving to the cloud. This is going to require a new approach and new technologies in order to address the challenges arising from the growing volume and format of information being generated within the traditional IT infrastructure as well as within cloud-based storage systems and repositories.

Managing cloud-based content may be new to an organisation and as a result there might be uncertainty over the risks involved and the various approaches to mitigate them. Sometimes the content is already in the cloud and was originally created by a cloud-based collaboration system, social media application, a cloud-based ECM system, or simply stored there by an end user. In other cases, use of the cloud means that an organisation's content has left the confines of the internal corporate network and has been relocated to the cloud. Most of the cloud





repositories currently lack information governance and record management capabilities. This means that an appropriate architecture and supporting processes have to be put in place to ensure that content is properly governed and managed.

By coupling a cloud-enabled information governance platform with those cloud content repositories, your organisation will be able to immediately turn those cloud-based repositories into a compliance system while letting business end-users continue to make use of them.

## INFORMATION GOVERNANCE IN A HYBRID WORLD

Information governance must be able to be deployed within a traditional IT infrastructure, a cloud-based environment, and a hybrid of traditional and cloud, and information governance must be able to govern information stored on-premise or in the cloud. Information governance is rapidly moving toward an enterprise service model – enabling companies to deploy shared services across the complex IT infrastructure. Information governance, as standard shared services of IT infrastructure, eliminates dependence on users and enables uniform governance across all applications and systems.

In order to remain competitive and maintain costs, organisations must consider information governance as

*...appropriate architecture and supporting processes have to be put in place to ensure that content is properly governed and managed*



### ABOUT THE AUTHOR

Pierre Van Beneden, Chief Executive Officer at RSD, brings over 25 years' experience driving growth at software companies through leadership and a results-focused approach. Prior to joining RSD, Pierre was VP EMEA for Adobe Systems Inc. From 1995 to 2001, Van Beneden was with Lotus Development Corporation where he served in a variety of executive roles. Prior to his time with Lotus, Mr Van Beneden spent almost a decade at Oracle Corporation driving global growth strategies.



a service. The days of proprietary governance capabilities that are tied to silo proprietary applications or systems are coming to an end.

Technologies with a flexible central policy engine, capable of managing the challenges of complex, federated governance environments are going to be the ones that enable organisations to make the most strategic use of information. These technologies have an enforcement model not tied to a specific store or repository of assets, but leverage standards to enable automatic enforcement across all systems, repositories, applications and platforms.

It's clear that the cloud is here to stay, making it that much more important for organisations to consider information governance solutions that provide both on premise and cloud-based deployment enabling governance of information either on premise or in the cloud. ♦

### Bibliography

- 1 Forrester report *Sizing The Cloud*, published 21 April 2011

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# HELPING SUPPLIERS TOWARDS CYBER SAFETY



In lock-step with the Cyber Essentials scheme, Orbit has instituted a staged approach to help guide suppliers towards full accreditation in the fight against cyber attacks. Here's how.

By Trish Bailey

In April, the UK Government published its Cyber Essentials certification scheme, which covers the basics of cyber hygiene. The scheme has had input from a range of partners, including professional bodies and individual businesses, and focuses on internet-originated attacks against a company's IT system.

When the scheme came out, our procurement team were going through a busy period but, as soon as the Cabinet Office published a note on the scheme (PPN 09/14), we knew we had to act. Although we had a grace period, the team needed to know what the new scheme meant for them, so we brought in our information governance team.

We put in place a plan of attack for our supply chain based on the scheme. The first step on that plan is to revisit our approach to PQQ, ITT and contract requirements. In line with

the 'supporting SMEs' agenda, which gave birth to Cyber Essentials, we strongly feel that a staged and handheld approach down this route is the way to go.

In fairness, we have had this kind of approach in place for a while. About two years ago, we started using our PQQs to ask more targeted questions, using the technical language of the information governance arena. We also built in a requirement for a tender stage/preferred bidder stage commitment to an information assurance assessment where we felt there were enough risks to warrant it.

There are great benefits to this approach. From a buyer's perspective, we know at an early stage where potential bidders are in terms of information governance and we can tell those with a good understanding of the whole information governance arena and those without. We did not make this



**ABOUT THE AUTHOR**

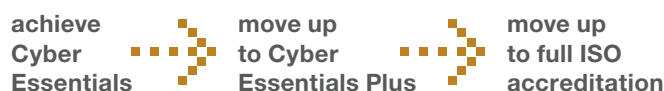
Trish Bailey is an information governance specialist at Orbit Group in the UK.

✉ She can be contacted at [trish.bailey@orbit.org.uk](mailto:trish.bailey@orbit.org.uk)



have done it, and an ISO is just too much of a cost for many smaller businesses.

This is where Cyber Essentials comes back into the story. In simple terms, it is a minimum level secure data management certification which gives a degree of independent quality assurance for buyers without overburdening suppliers. Of course, this will be a moving target because, as the risks increase, the minimum standard (and all those above) will likewise move upwards, but the scheme gives smaller organisations a staged approach to certification if they want it, as follows:

**THE LANGUAGE OF CYBER ESSENTIALS**

So back to our plan: we will help our suppliers and our unsuccessful bidders by starting to talk in Cyber Essentials language. We are starting by referencing it in our PQQs as one way of achieving a reasonable information governance score. Next, we will require it as a contract condition, but we will work up plans to advise and assist any smaller firms to do this, if it is the only thing casting doubt on their preferred bidder status. And the stage after that? Well, after a period of time we will require Cyber Essentials as a minimum pass/fail on high risk contracts at PQQ stage, then a pass/fail on all but the lowest risk contracts at PQQ.

Of course, the full impact assessment prior to contract will remain in place where the risks are sufficient to warrant it, and we will support all this with a handbook for procurers and potential bidders explaining our approach. It is a measured approach and, because of that, is one that we think will really help support partners (especially SMEs) rather than hamper them.

We are looking to develop not only our 'actual' suppliers but also those who did not quite make it on to the contract, but learned something valuable from their touch point with us. That might be just a tiny bit of social value, leaking out around the edges of what we do, but there are some leaks that we would not want to stop up. Indeed, if we can open that learning valve a little wider, we will happily do it. It is in all our interests to protect against those cyber-baddies. ♦

*While we  
continue to take  
information governance  
seriously, we have to  
keep insisting that our  
supply chain proves they  
have strengthened  
theirs*

criteria a pass/fail though, because we know good suppliers are willing to up their game on information governance and we have the skills in-house to help.

We ran the first few tenders on this basis and got far more queries than previously. Recently though, the number of queries is dropping significantly and more considered responses are coming through. The word about information governance is spreading – it only takes a few buyers to take a serious stance – but we procurement specialists need to keep driving the message home. While we continue to take information governance seriously, we have to keep insisting that our supply chain proves they have strengthened theirs. However, there is cost associated with this, both of actually doing that and of proving you

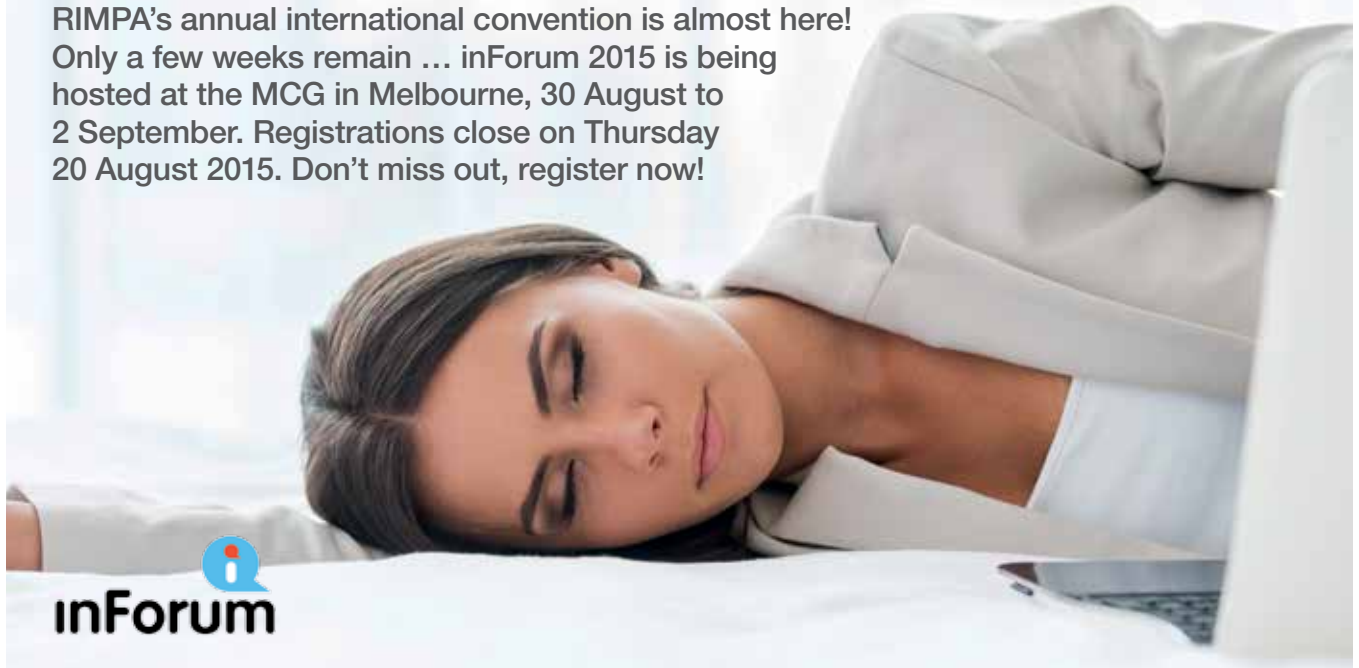
**Bibliography**

- 1 [www.gov.uk/government/publications/cyber-essentials-scheme-overview](http://www.gov.uk/government/publications/cyber-essentials-scheme-overview)



# inForum 2015: Digital Dreams (not digital nightmares)

RIMPA's annual international convention is almost here! Only a few weeks remain ... inForum 2015 is being hosted at the MCG in Melbourne, 30 August to 2 September. Registrations close on Thursday 20 August 2015. Don't miss out, register now!



**W**ith its theme 'Digital Dreams (not digital nightmares)', inForum 2015 will touch on a range of areas of interest including: data, the cloud, digitalisation, digital repositories/disposal/destruction, automation, content management, context management, EDRMS and mobile technologies, as well as personnel areas such as up-skilling staff, networking and behavioural profiling for effective workplace performance.

The program features keynote speakers from the US, Hungary, Austria, New Zealand and Australia, and other great speakers from New Zealand, Belgium and across Australia.

*"Delegates consistently report that they were reinvigorated and implemented something that benefited their organisation immediately on return to their workplace after attending the conference."*

the May issue of *iQ*, we featured keynote speakers and workshops... but that is only the tip of the iceberg in terms of the inForum experience, as there is a huge array of diverse and interesting sessions to view.

Need more? Then there is also the opportunity to network, exchange ideas and just generally enjoy your conference experience.



# NEW KEYNOTE SPEAKER:



Simon Waller

## Simon Waller

Simon Waller is the author of the book *Analogosaurus: Avoiding Extinction in a World of Digital Business*. He wrote it because the intensity of digital technology in business is increasing rapidly and many people are unprepared for the changes this will bring. He believes that our future relevance will depend on understanding how technology works and being able to apply it effectively.

Simon's mission is to prepare people for the future of work (even though it is kind of happening already). Apart from speaking to audiences about the changing nature of work and the impact of digital technology, he also mentors executives and business owners on how to use their technology effectively, and runs training programs for businesses, especially leadership teams to teach the practical skills that make digital technology useful. (See Simon's article on page 32.)

### Simon's presentation topic is:

## 21ST CENTURY BUSINESS TOOLS – How digital technology can help you cope with anything and everything



Business in the 21st century is being dominated by two trends. The first is a shift away from physical work to knowledge work. The second is the scaling of technology down to the human level. Combined, they are redefining the way we work and creating significant shifts in information-related professions.

To fulfill its purpose of maintaining the integrity and quality of organisational records, it is more important than ever that Information Management Professionals shift their focus to individuals. For over 150 years, the knowledge worker's tool kit consisted of a notepad and pen, but with the growth of computing power over the last 20 years, this has meant that there is now a new breed of digital tools at our disposal. Are apps, tablets and other personal devices the new frontier for information management?

➔ **Note:** Simon will also be available in the Wednesday morning tea break to speak to delegates and sign copies of his book

# Trade Exhibition

Always a fixture and mainstay of  
inForum is the trade exhibition.

### This year, the exhibitors include:

◆ ACA Pacific / Kodak Alaris	◆ Kapish
◆ Alfresco	◆ Linked Training
◆ AvePoint	◆ Miktysh Solutions
◆ Epson	◆ Objective
◆ EzeScan	◆ Optimisation Group
◆ Formfile	◆ Proscan
◆ Fuji Xerox	◆ Recall
◆ Grace Records Management	◆ RecordPoint
◆ iCognition	◆ Records Solutions
◆ Information Proficiency /Sigma Data	◆ The Information Management Group (TIMG)
◆ iPlatinum	◆ The One Umbrella
◆ Iron Mountain	◆ Votar Partners
◆ iText Software	

The company representatives are at your disposal for three days to discuss their RIM-related products and services, taking advantage of 'this makes good business sense'. It would take weeks to view all of the products and services in your normal work environment and even if you are committed to a particular product, it is smart to know what else is available.

The trade exhibition is also available for non-delegates to visit at no cost, however due to the security at the venue visitors will need to pre-register their intention to attend. The form is available on the Registration page of the inForum website.



For more  
information  
visit

[www.inforum.net.au](http://www.inforum.net.au)

### SPONSORS:

#### Platinum sponsor



#### Gold sponsor



#### Silver sponsors



#### Bronze sponsors



### Exhibition Public Opening Times

Sunday 30 August  
N/A

Monday 31 August  
9.30am-12.00pm  
and 1.30pm-4.30pm

Tuesday 1 September  
9.30am-12.30pm  
and 1.30pm-4.30pm

Wednesday 2 September  
9.30am-12.30pm





# SOCIAL CALENDAR:

## the events you won't want to miss

### NEWBIES ORIENTATION

We know it can be daunting to attend a conference on your own. Whether you have been a RIMPA member for a while or are completely new to the Association, if this is one of your first inForum conventions, make an effort to come along and meet other first-time attendees as well as some seasoned veterans – listen to a presentation by 'old timers' Paula Smith and Chris Fripp, which will help you understand and get more out of both inForum and RIMPA, and enjoy the afternoon tea too!



### Gala Awards Dinner

Held at the Plaza Ballroom, the RIMPA Gala Awards Dinner – proudly sponsored by EzeScan – is a celebration of achievement throughout the previous year where professionals will come together to network, eat and dance along to live local band Essentials in a themed event we have become noted for.

This year will be no exception with a 'Roaring Twenties' theme. Fancy dress is always an option on the night (think *The Great Gatsby*, *Downton Abbey* or *Mr Selfridge*).

The awards MC on the night is Melbourne identity Pete Lazer.



#### About Pete Lazer:

From hosting a top-rating dating show, to sporting crowds of over 100,000 people, from Miss Universe finals to gala award dinners, Pete Lazer is one of Australia's most sought after hosts.

Whatever the show, whenever the event, Pete is a true professional who has made a career out of talking about anything, to everyone, from the most famous sports stars or prime ministers, from rock legends to the everyday man or woman on the street.

Pete currently MC's live events such as the AFL Premiership Season, Cricket Australia / Cricket Victoria, Netball Australia / Netball Victoria, Qantas Socceros, Melbourne Victory, Melbourne Storm, F1, Live match day host of pre & post-game on-ground entertainment and Player interviews, match commentary and special presentations.



Pete Lazer

### Welcome Reception

Sponsored by Objective the Welcome Reception is the unofficial opening of inForum. It is an opportunity to catch up with familiar faces and make new contacts over some fabulous food and wine, in a casual atmosphere before the convention gets into full swing. This year it is being held at the MCG and participants are encouraged to wear their favourite sports team colours (in whatever sport they follow) or even wear their local team uniform.



### LISTSERV DRINKS

Whether you are a RIM listserv regular, lurker or are even just considering joining, come along to this annual networking event at the Pullman Melbourne on the Park. Buy your own drinks and RIMPA will supply the nibbles – courtesy of our sponsor TIMG. Make contacts,

put names to faces, stay on afterward or join a group for one of the Branch Dinners. What have you got to lose?



### WEDNESDAY SEATED PRIZE DRAW LUNCH

It's an all-in event on Wednesday when vendors and delegates get to network and socialise over a two-course seated meal. The trade stands will find out who has been the People's Choice winners for 2015 and, if you are lucky, you may even win one of the trade stand prizes on offer.





# Do you get the most out of networking opportunities?

Let's face it, for most people it is uncomfortable to put yourself out there and meet new people, but knowing how to network effectively can be beneficial for you and your company.

If you feel you could benefit from improved networking, and what better place to practice than at inForum, you should attend 'Networking and building networks for success':

No doubt about it. Networking is a game changer! Whether it's forming partnerships for your company, finding a job, acquiring clients, fundraising, seeking mentors or climbing the corporate ladder, your relationships can have a profound positive impact on your success. Your professional network can also be an amazing source for knowledge, information, expertise and advice.



Ron Gibson

Ron Gibson is a leading professional expert in networking, business relationships and word-of-mouth referrals and will give you the answers to those questions that have been holding you back in your networking efforts and results. Ron's talks distil more than 20 years of experience and insights gained from building his own successful consulting firm exclusively from networking and building relationships. Be prepared to be engaged by a dynamic and highly practical presentation that

offers clear direction on how to network your way to greater success in both your professional and personal life! Ron's presentation will cover:

- ◆ How to make valuable and lasting connections
- ◆ Where to network for the best results and what to say when you get there
- ◆ How to follow up so that you capitalise on the good connections you make
- ◆ How to keep your network alive and serving you
- ◆ Fitting networking into your already-crammed schedule
- ◆ Creating your networking action plan



## iSquare Exhibit and Hands-On Activity

inForum 2015 is pleased to be able to offer delegates the opportunity to view and contribute in a unique display as part of inForum.

For a century, 'information' has been theorised and defined by information scientists and yet its nature remains obscure and highly contested. This alternative event will provide 'new visions' – actual images – of information that have emerged from an empirical research project.

Employing a visual data-gathering method known as the draw-and-write technique, approximately 200 research participants, who were asked "What is information?", have responded by drawing upon a 4" by 4" piece of paper, coined an information square or iSquare, for short. The drawings of information have been analysed using compositional and thematic analysis techniques adapted from precedent visual studies. The results of the research will be reported in the presentation and free workshop session. This alternative event utilises the iSquare study and its outcomes as a springboard to imagine and discuss the nature of information today. The title, 'Dreams (visions) of Information in RIM', has myriad referents: the diverse images of information displayed in the iSquares and the spontaneous discoveries of inForum

attendees who participate and draw their own iSquare. There are three components:

**1** Presentation (80 minutes) includes an overview of the project; demonstration of the data-gathering method; and audience discussion.

**2** iSquare Exhibit – Available throughout inForum. An artful display of the original approximately 200 iSquares.

**3** Hands-on Activity – Available throughout inForum. An opportunity for all RIM professionals to draw an iSquare to add their own interesting images and participate in this research project. ◆

➤ **Note:** Delegates are not required to attend the iSquare presentation workshop in order to be involved in the exhibit or hands-on activity.



# 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 awards, at the RIMPA Gala Awards Dinner on Monday 31 August at the Plaza Ballroom, Melbourne.

**A**ll articles published in the last four issues of *iQ* – November 2014 to this August 2015 issue – written by RIMPA members or employees of organisations which are corporate members of RIMPA, automatically go into the running for the award.

From a shortlist of three 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 which went on to be republished in the UK's *Bulletin* – and last year's winner Kate Cumming for her article 'We need that in paper... or do we?' (Feb 2014).

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

## ♦ NOV 2014

- *Innovation and leadership for the 21st century RIM practitioners.* By Linda Shave
- *Developing future RIM leaders.* By Michelle Linton & Kevin Dwyer
- *Finding the users of tomorrow, today.* By Chris Foley
- *Cloud computing – opening a new world.* By Linda Shave

## ♦ FEB 2015

- *Is your RIM program sustainable?* By Michelle Linton & Kevin Dwyer
- *Setting up a successful RM department.* By Kylie Welch
- *Driving business forward.* By Linda Shave
- *What's next?* By Kate Cumming and Janet Villata

## ♦ MAY 2015

- *Practitioner, 'pracademic' or just plain mad?* By Chris Colwell
- *Making the most of lifelong learning.* By Linda Shave
- *Developing your toolbox of tricks.* By Linda Shave



- *Which recordkeeping qualification level is right for me?*  
By Michelle Linton
- *Knowing the unknown – managing future risks.*  
By Robin Smith

## ♦ AUG 2015

- *Avoiding the digital dark age.* By Linda Shave
- *From digital dinosaur to digital diva.* By Peter O'Halloran
- *New policy underlying selection of records to be included as national archives.* By Philip Taylor
- *Are managers facing extinction in the millennium's digital expansion?* By Suparna Chatterjee ♦



**This year's award winner will receive a Coles Myer GiftCard valued at \$300.** Three finalists will be advised prior to inForum, and the winner announced at the awards dinner.

## A word from our sponsor

Recall is very pleased to be on board as sponsor of the RIMPA Article of the Year award. All the articles this year have been extremely engaging, entertaining and informative. They show that our industry continues to create and maintain very high standards.

In the same way Recall is committed to maintaining the exemplary quality of records management that we enjoy here in Australia and the Pacific and we continue to lead the way forward by bringing together innovative technologies and quality industry experts to provide the best service and solutions for our customers. Our aim is to be their partner in business, and provide effective, secure and technologically advanced solutions.

**recall™**  
Your Information. Securely Managed.

# NOMINATIONS SHORTLIST FOR THE 2015 AWARDS



Nominations for  
our annual awards  
closed on 30 June.

## JIM SHEPHERD AWARD

### National / Multi-national Category

- ◆ Kapish
- ◆ Records Solutions

### Regional Category

- ◆ No nominations received

## J EDDIS LINTON AWARD

### Student

(sponsored by Records Solutions)



- ◆ Elizabeth Charlton
- ◆ Carolyn Murphy
- ◆ Tegan Valentine

Nominations can be made for one or multiple categories in the remaining categories, therefore names may appear more than once.

### Innovation

(sponsored by Information Proficiency / Sigma Data)

Recognises leadership through the practical application of innovative solutions for new and existing market needs resulting in a commercial, environmental and/or social benefit.



- ◆ City of Perth with Curtin University
- ◆ Federal Court of Australia
- ◆ Queensland State Archives
- ◆ University of Southern Queensland

### Implementation

(sponsored by FYB)

Recognises individuals and organisations that have achieved outstanding results through excellence in implementation of a project



- ◆ Federal Court of Australia
- ◆ Moreton Bay Regional Council
- ◆ National Blood Authority
- ◆ University of Southern Queensland

### Collaboration

(sponsored by EzeScan)

Recognises an exemplary skills development collaboration between a department, employer or industry body and, at least, one other stakeholder (including vendors and consultant).



- ◆ City of Perth with Curtin University
- ◆ Federal Court of Australia
- ◆ University of Southern Queensland

### Business Benefit

(sponsored by Information Proficiency / Sigma Data)

Recognises individuals and organisations that have achieved outstanding success for business improvement.



- ◆ Federal Court of Australia
- ◆ University of Southern Queensland
- ◆ University of the Sunshine Coast

## Quick guide to the nominations:

### City of Perth / Curtin University

Since 2013 these two organisations have jointly offered the Records Officer Paid-Cadetship program. This Cadetship at the City of Perth is offered to part-time or full-time postgraduate students, who are due to complete their Diploma or Masters in Records and Archives Management at Curtin University.

The program is aimed at assisting students to transit successfully into our records and archives management profession with paid work experience, whilst studying in their chosen careers.

### Federal Court of Australia

The Federal Court is the first Australian court to implement Electronic Court Files (a fully digital file of all documents filed with or created by the Court) and is a leader globally in the practice of management and archiving of electronic court documents.

The Federal Court interprets and exercises the general law of the Commonwealth of Australia with an original jurisdiction conferred by 150 statutes of the Parliament. It sits in all capital cities and elsewhere in Australia as required. The Court's registry also provides services to the Federal Circuit Court (formerly the Federal Magistrate's Court). Together they receive more than 12,000 filings and action in excess of 125,000 documents each year.

### Moreton Bay Regional Council

Project to introduce the use of EDRMS workflow for process automation





## Directory

### Chair

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PO Box 276  
St Helens TAS 7216

### National Blood Authority

The National Blood Authority (NBA) has completed a project that transformed the agency's operations from a highly-traditional paper-heavy approach to a digital-first culture. An active program of digitisation of legacy paper records was accompanied by decommissioning of over 80% of shared drives/email storage and strong senior executive support resulted in an immediate migration to digital information management.

### Queensland State Archives

Queensland State Archives (QSA) has had a complete 180 degrees turn on how promotion of legislation, standards, guidelines and best practice concepts are being communicated with Qld agencies.

QSA recognised that the needs of the agencies were changing, so they have taken a new approach to providing advice and responding to agency needs. Rewriting advice rather than repackaging products. Listening to feedback and using simpler language ensures that the agencies have clear and practical information at the SPOT (Single Point Of Truth). The QSA website now offers a range of products including Myth busters, Customer Charter and Records Connect – the QSA blog.

### University of Southern Queensland

The Policy Refresh Project was set up in response to identified inconsistencies and inefficiencies with the University of Southern Queensland's policy and procedure framework. Corporate Records staff were approached in February 2012 to collaborate with the Policy Coordinator on the development of the Policy Library structure within the e-DRMS (TRIM). They worked towards three key aims and in collaboration with the Policy Coordinator and later the Manager, Policy Services, TRIM was used to develop the structure of the USQ Policy Library so that the integrity, security and compliance of the Library was maintained.

### University of the Sunshine Coast

University of the Sunshine Coast has a vision for information management culture where information is created, managed, used and shared effectively to advance the University's strategic priorities. In the past 12 months, the organisation has achieved outstanding success in applying information management principles for organisational business improvements, which includes 11 key outcomes. ♦

### Next issue

## Improve your management skills



Records and Information Management Professionals also need to be proficient in a range of more general management skills to be effective in their workplace. Do you have any stories about upskilling to improve your management ability in the RIM arena? Topics include: change management, upskilling staff, motivation, managing budgets, writing skills etc. We would love to hear from you.


**Articles due: Thursday 1 October**

The Recall logo, featuring the word "recall" in a white, lowercase, sans-serif font with a trademark symbol (TM) to the upper right. The logo is positioned in the top right corner of the advertisement.

*recall*<sup>TM</sup>

# Information Management Simplified.

Recall Portal provides you with unprecedented visibility, access and control of your information. You can now manage your documents and digital information seamlessly and securely anywhere, anytime.

A close-up photograph of a person's hands holding a white tablet. The person's right index finger is touching the screen, which displays the Recall Portal interface. The interface includes a blue header with the Recall logo, a central circular graphic, and several data visualizations like bar charts and line graphs. The background is blurred, showing what appears to be a hospital or clinical setting with people in white coats.

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# RIM Professionals Australasia supports members' professional development throughout their careers



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Records Coordinator



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