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Professionals Australasia

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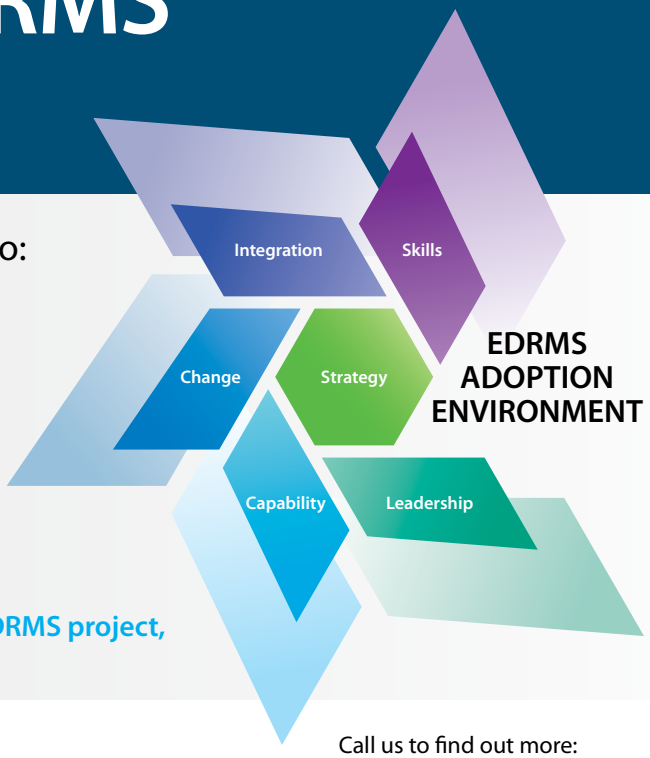

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Debbie Prout, Chairman of the Board, RIM Professionals Australasia

inForum 2014 looks to the future…

WHAT'S NEXT? – the theme of this *iQ* and the upcoming inForum is certainly an interesting question and, to be frank, I don't know. I am still trying to get a handle on Twitter, SMS, Facebook and all the alternative mobile technologies out there. Like a lot of people who are of the Baby Boomer generation, I still struggle to understand all the functions on my mobile phone, let alone understand where and how our profession is going to change in the future.

Asking this question at inForum 2014 is especially relevant as we contemplate where our profession is heading. Is it still relevant today or are we becoming like the dinosaurs, extinct?

Are records managers up to the challenge as changing technology drives us in a different direction? Do our foundation methodologies and practices remain solid or are we fooling ourselves? These are some of the questions that will certainly need to be answered as we try and figure out our place in the changing landscape.

What is the technology of the future going to look like and how does it impact on the traditional way in which we manage records? We have been travelling down the electronic path for over 20 years now but we are still grappling with understanding where we fit in. Our role has changed but is it still as valuable today as it was 50 years ago. I certainly think so.

EXPLORING POSSIBILITIES

I encourage you all to attend inForum 2014 – taking place in Adelaide from 7 to 10 September 2014 (see page 40 for more information) – where we will deliver many thought-provoking information sessions and you will also have the opportunity to attend a number of workshops which will also explore what could happen in our future. Added to this you will have the opportunity to participate in a panel discussion on Standards and, to add a light-hearted note, we are having a debate to address the question 'Will the paperless office ever happen?' If nothing else it will certainly be some fun as we explore the possibility.

I encourage everyone to come along and network with fellow records managers and see what new technologies are available in the market place as you mingle with all our wonderful sponsors. It is certainly the place to discover what's next!

With Branch elections coming up in July I would like to take the opportunity to welcome any new members to branches and to thank those members who are retiring. Our CEO Kate Walker will be visiting each state and New Zealand over the next couple of months to update each Branch on responsibilities and protocols for the company.

➲ If anyone has any questions or ideas they wish to bring to the Board please feel free to update Kate at kate.walker@rimpa.com.au, your branch director, or myself at prout.consulting@bigpond.com.

Debbie Prout
Chairman of the Board

Are records managers up to the challenge as changing technology drives us in a different direction?

Kate Walker, Chief Executive Officer, RIM Professionals Australasia

What's next? Transforming the world of RIM

This is a mind-boggling question that all RIM professionals constantly find themselves trying to address to keep their organisations operating effectively, efficiently and compliantly.

First off, how did we get to where we are at right now? Essentially there are three major disruptors that are simultaneously colliding to transform the world as we know it, as follows:

1 **Consumerisation**… transforming what users expect from applications. Many business people now assume enterprise solutions can be delivered as seamlessly and as simply as consumer-based solutions are delivered in their private lives. This is neither fair nor straightforward.

2 **Mobile and cloud**… leading to an expectation of anywhere, anytime access. Cloud and mobile have altered everything. They change our expectations of where we can work, when we can work, with whom we can work and on what devices we can work.
The challenge, of course, in all of this is that mobile and cloud technologies increase the volume, variety, and velocity of information in any business and therefore heighten the potential for information chaos.

3 **Changing nature of work**… forcing organisations to think flat and agile, not hierarchical and slow.
This flattening of hierarchies is accelerated by consumerisation and cloud and mobile technologies. While social technologies by themselves will not disrupt rigid hierarchies they can be a rapid accelerator for organisations committed to becoming flatter and more agile, raising levels of information chaos, as older and more rigid information workflows are disrupted, without a clear picture of what will take their place.

WHAT'S TRENDING NOW?

So, I guess, the trick is to turn the new trends into opportunities, rather than become frustrated with constant developments and changes. So what are some of the trends and thoughts that are being talked about?

- **Consumerisation and the tablet…** to prepare properly for tablet operations, organisations need to determine security guidelines and use profiles, build integration timeliness and shop around for critical vendor support if required.
- **The Infinite Data Centre…** to undertake effectively, Gartner suggests analysing asset us and working with facilities.
- **Resource management…** with greater emphasis placed on increased awareness.
- **Mobility…** requires a change in mindset.
- **Big data…** remember, it gets worse the longer you ignore it.

…the trick is to turn the new trends into opportunities, rather than become frustrated with constant developments and changes

TRENDING IN RIM

Some specific RIM trends already emerging include:

Records and information management shifting to 'information governance'
Enterprise architects and analysts continue to focus on business architecture, information architecture, more agile technology road maps and the adoption of standards. However, many businesses continue to lack confidence in the progress of their electronic records management programs, compliance initiatives and e-discovery preparedness – the traditional practices and tools used to manage electronic records are changing. New vendors are taking fresh approaches to addressing compliance, categorisation and retention requirements. The shift to a more comprehensive and proactive management of information across its entire business life cycle –rather than just at the end – has begun.

Cloud and social platforms render 'file and declare' ineffective
To adapt to this new world, professionals must be aware that traditional records management tools, are perceived to be too slow to make the leap into the cloud.

Digital preservation forces itself onto the governance agenda
Digital records that have a long-term retention schedule are at risk when hardware devices, software applications and file formats decay or become obsolete. Research performed by archives institutions shows wide swings in the lifespan of common archive and long-term storage media. Software file format obsolescence is also a significant area of research for archives and academic

institutions, now that many first-generation business and personal productivity tools are retired, and the inability to retrieve or view older digital records is becoming a reality.

There is a significant change in the software acquisition landscape by calling for deliberate adoption of open standards and open source

Open standards and open source change the sourcing landscape

There is a significant change in the software acquisition landscape by calling for deliberate adoption of open standards and open source. Governments are hedging against the potential loss of electronic information, software obsolescence and increased costs, as well as demanding more portable data.

Auto-categorisation becomes viable and approachable

Transactional, regulated and semi-structured content are ripe areas for automated capture, categorisation and application of retention policies. Opportunities to use auto-classification technologies for routine, high-volume, predictable electronic content are increasing as technology matures, more vendors provide integrated offerings and use cases are identified. Electronic information that uses a consistent structure and embedded metadata, or includes predictable patterns of numbers or text lends itself to content analytics, entity extraction and categorisation tools for ingestion and application of retention, disposition and security or privacy access controls.

These are just a few things that are worth thinking about, however, I encourage you to attend the upcoming inForum to listen to what presenters think and to discuss with your peers.

Kate Walker
FRIM MAICD AMIM, MBA, BSC (BAdm), AdvDipBus (Rkg), DipBus (Adm)

WORLDWIDE NEWS

Closure of the archives of the Royal Women's Hospital, Melbourne

On 22 April, the Australian Society of Archivists posted on its website its disappointment in the closure of the archives at the Royal Women's Hospital, Melbourne.

"In what appears to be an ill-conceived and rushed process, the internationally recognised and historic archives – which contains records of births at the hospital since 1856, and is one of the most extensive collections of historical medical information in Australia – is due to be closed and the collections dispersed within a matter of a few months," the post said.

"Such institutions are giving away their heritage," said Kylie Percival, President of the Society. "They fail to acknowledge the significant value that these collections have for the community and the evidence that they provide for how we have changed as a society. The work of archivists in making these records available for access, research and other uses is often not acknowledged by the organisations in which they work – which leads to organisations also failing to acknowledge their own history."

In a letter of response also published on the Society's website, Sarah White, Director Communications & Foundation at the Royal Women's Hospital, pointed out a number of 'inaccuracies and errors' in the Society's post. Ms White said:

"We simply cannot continue to risk the corporate (historical) memory of an extensive collection vesting in one single archivist (and the collective memory of a wonderful but very limited number of volunteers).

"The Women's has been researching and planning the measures required to address these issues for years. Far from being 'rushed and ill-conceived', we have expended a great deal of energy and time to develop a course of action that will ensure, through partnering with specialist organisations that employ expert preservationists and archivists, our collection is protected and made available for the wider public and for future generations."

Ms White went on to request the news post be removed from the Australian Society of Archivists website immediately.

The post remains in place as this issue of *iQ* goes to print.

NAA reports 95% digital by 2015

Australia's Digital Transition Policy is on course for 95% operability of records and information management in Commonwealth agencies by 2015, according to the latest National Archives of Australia (NAA) assessment.

NAA Director-General David Fricker reported to the Currency of the Digital Economy conference in Canberra in May: "This is a great result! It shows that across the Commonwealth we have the strategic leadership, the expertise, the technology and the commitment to achieve this essential public sector reform."

The Digital Transition Policy, announced in 2011, aims to migrate more than 200 Commonwealth government agencies from the Australian Broadcasting Corporation to the Workplace Gender Equality Agency (WGEA), to digital recordkeeping. It promotes the scanning of incoming paper records and requires records created digitally after 2015 be accepted for transfer to the National Archives only in digital formats.

"Of course, every silver lining has a grey cloud," said Mr Fricker recalling that last year more than a third of Commonwealth agencies reported they were still printing some digital records to paper and only 65% had adequate strategies for managing digital information as long as required.

A final assessment of Commonwealth agencies' digital information management maturity and capabilities would be undertaken from 1 July to 30 September, he told the conference, after which the NAA would report to government to determine future strategies.

➲ A webcast of the Currency of the Digital Economy conference is on line at theatre.deewr.gov.au/naa-may2014

Change of hands for City of Sydney Archivist role

A new archivist has taken over at the City of Sydney. Michael Smith was formerly manager at the Records & Archives Management Services at the University of Western Sydney from 2002 to 2014, and archivist at State Records NSW from 1995 to 2002. He commenced in the new role in June.


Michael Smith

Mark Stevens has now retired from the role. Mark worked at the New Zealand National Archives from 1980 to 1988 and then at the NSW Government Records Repository before taking over as the City of Sydney Archivist.

In this role, he managed and made accessible to the public a substantial and important collection of records that date from 1842 (when the City was incorporated) to the present day.

IM access and search lecturer for Victoria University SIM

The principal investigator and project manager for an Alabama information management training programme, Dr Jennifer Campbell-Meier, has been appointed as a lecturer at the Victoria University of Wellington's Information Studies program.


Dr Jennifer Campbell-Meier

She was an Assistant Professor at The University of Alabama's School of Library and Information Studies, teaching in the areas of information services, management, and information technologies.

Dr Brenda Chawner, Victoria's School of Information Management Information Studies Programmes Director, said: "Jennifer will be teaching courses in Information Access and Use, and Online Searching. Her research focuses primarily on organisational behaviour in information environments and is currently investigating issues of professional identity in communities of practice."

Dr Campbell-Meier's previous research projects examined stakeholder groups involved in project planning and project management in the development of institutional repositories.

She is the principal investigator and project manager of STAPLE (Sustainable Training for Alabama Public Library Employees) program to provide training for public library managers. She has published and presented on the topics of professional development, institutional repositories, information literacy, and information services.

⇒

Sir Rupert Hamer Awards 2014 – winners announced

On 22 May 2014, the Keeper of Public Records Justine Heazlewood presented the Sir Rupert Hamer Records Management Awards at Queens Hall, Parliament House.

The Sir Rupert Hamer Awards, now in their 16th year, recognise excellence and innovation in records management within the Victorian Public Sector. The Awards seek to highlight the importance of good recordkeeping in ensuring the accountability of governments and the efficient operation of public administration in the state of Victoria.


Sir Rupert Hamer

Victoria's 39th Premier, Sir Rupert Hamer, and his government, passed the *Public Record Act* in 1973. Sir Rupert Hamer understood that good records management; supports efficiency, lowers costs, enables accountability and ensures future generations are able to access their history. The awards were therefore named in his honour.

The 2014 winners were as follows:

◆ Small agency category

– Winner: Cardinia Shire Council

Paper Independence: Supporting the activity based working environment – a cultural revolution

The Paper Independence project focussed on training and improving business processes to enable a more efficient and responsive service throughout the council. This innovative project engaged staff throughout the whole organisation.

Cardinia Shire Council is the first council to adopt an activity based working model which has transformed the council from being totally dependent on paper into an office with a fully mobile workforce with a 100% TRIM user rate.

– Certificate: Wellington Shire Council

151-year-old records uplifted due to pending office closure

◆ Medium agency category

– Winner: Mildura Rural City Council

Electronic Records Capture Project – Family Day Care

Previously Mildura Rural City Council Family Day Care Field Officers were required to locate hard copy files and write notes for home visits then rekey the information back at the office. Now, using this pioneering system, Field Officers have laptops where they can locate the council network and capture information on the run, making operational and recordkeeping processes more efficient.

◆ Large agency category

– No winner

– Certificate: Department of Human Services

Records Management Program – addressing storage issues to meet regulatory and community expectations

– Certificate: The Royal Women's Hospital and Alfred Health

Womens@Sandringham Medical Record Project

◆ Regional / Rural agency

– No winner

– Certificate: Alpine Shire Council

Barcode Central

– Certificate: Wannon Region Water Corporation

Renovating Recordkeeping at Wannon Water

(turn to page 31 of this issue of *iQ* for more on this project)

– Certificate: Murrindindi Shire Council

Pilot Tenders and Contract Electronic Content Management (ECM): A Paperless System

◆ Most Valuable Transfer to Public Record Office Victoria

– Winner: Office of Public Prosecutions

Prosecutions and Litigation Records Transfers

Over recent years, the Office of Public Prosecutions has established effective and efficient recordkeeping processes taking great care to ensure they meet our specifications and requirements. The records management team have consistently transferred records whilst culling appropriately and ensuring permanent records, such as criminal briefs, are arriving at Public Record Office Victoria preserved and ready to be used as a valuable resource for researchers. This process is now part of the Office of Public Prosecutions and Public Record Office Victoria's standard practices.

◆ Community Archives Category – preservation of records of significance

– Winner: Gold Museum, Ballarat

Onsite and online… expanding access to the Gold Museum collections

As part of a complete upgrade of buildings and systems, the Gold Museum implemented a new Vernon Collections system which enabled all of its data to be published on the web providing online access to this incredibly important historic collection to users all over the world. In the last 12 months, the Gold Museum has published over 64,000 collection records online, over 6000 with accompanying images.

◆ Community Archives Category – providing enhanced records access

Winner: Australian Jazz Museum

Taking it to the World – a Jazz Digitisation Project

The Australian Jazz Museum created an extensive searchable web based catalogue, placing emphasis on enhancing the value of their digital resources by uploading over 1000 images to the database in 2013 enabling users to gain a deep insight into Victoria's rich jazz history. All this wonderful work was done by maximising their limited resources and using volunteers.

➲ See more at: prov.vic.gov.au/government/sir-rupert-hamer-awards

Man 'jailed' for destroying evidence staggered by Heiner no trial ruling

The *Brisbane Times* reported on 2 July that a man who in 2004 received a six-month suspended jail term for destroying legal evidence "is staggered" the Queensland government has ruled it is not in the public interest to send former ministers who allegedly destroyed Heiner Inquiry evidence to trial.


Kevin Lindeberg

Now Pastor Doug Ensbey wants privileges removed from the Goss Government ministers.

He said they should be fined $100,000 and the money given to whistleblower Kevin Lindeberg, who first questioned why the Heiner documents were shredded.

Queensland's new chief justice Tim Carmody last year ruled there was sufficient evidence to put Goss Government ministers on trial for shredding evidence gathered by retired magistrate Noel Heiner during an inquiry into a youth centre in 1989.

He asked the Office of the Department of Public Prosecutions to rule if sending the former politicians to trial was in the public interest.

On 2 July, Attorney-General Jarrod Bleijie announced it was now unlikely the ministers could be convicted.

The evidence was shredded in March 1990 – after the new Labor government came to power – on the advice of the Goss cabinet.

It is now 24 years since Mr Lindeberg first questioned why the evidence – sought by a lawyer in 1990 – was allowed to be shredded.

"I really think Kevin Lindeberg needs to be compensated," Pastor Ensbey told the *Brisbane Times*.

"He put his hand up 23 years ago and said 'you broke the law' and they have pretty much tried to run him out of town, vilified him, chucked off at him," he said. "I believe the guy deserves a medal."

Previous governments have given compensation to Peter Coyne – who managed the Wacol youth centre investigated by Mr Heiner – and in 2010, $120,000 to the woman pack-raped at the centre.

However Pastor Ensbey said the former politicians should have gone to trial, like he did in 2004.

Pastor Ensbey was pursued through the courts in 2004 for guillotining pages from a school girl's exercise book in which she outlined alleged sexual abuse from a parishioner. He mailed the guillotined remains of the 'diary' back to the girl's parents between May 1995 and July 1996.

This issue – where the Crime and Misconduct Commission in June asked for the 23-year delay to be investigated – was reported by Fairfax Media.

However a spokeswoman for Attorney General Jarrod Bleijie said there would be no further investigation.

The 24-year investigation has become known as the Heiner Affair.

➲ Source: www.brisbanetimes.com.au

Archives NZ reports 'progress' in government recordkeeping

New Zealand public sector offices made substantive recordkeeping progress during 2011-12. Government agencies offices audited all met the requirements of the *Public Records Act 2005*, Chief Archivist Marilyn Little announces in the report to Parliament two years later.

The audits were summarised in the Chief Archivist's report *State of Government Recordkeeping and Public Records Act 2005 audits 2011-12* tabled on 1 May 1 2014 and available on line.

Commenting on the report Ms Little said: "It's pleasing to note that in only the second year of a five-year audit program, public offices were increasingly aware of their requirements and responsibilities under the Act and were taking positive steps to build their recordkeeping capability.

"Good recordkeeping practices assist organisations to better manage business risks and ensure records are maintained to uphold government accountability and transparency."

A total of 43 randomly selected public offices were independently audited in 2011-12. Public offices are audited on a five-year cycle, with 200 being audited by the completion of the cycle in July 2015.

The report includes the Chief Archivist's recommendations for managing records in times of change and disaster, the value of digitisation in records management, and disposing of routine records coupled with the transfer of important ones to the archives. It also recognises the impact of cloud computing.

The report combines both the annual state of recordkeeping and audit reports required by the Public Records Act in a single document. Marilyn Little said Archives New Zealand had an active education and advisory program in place to assist organisations develop and maintain robust recordkeeping standards.

In response to criticism over tardiness of Parliamentary reports on earlier audits, Ms Little said that work was underway to ensure a "timelier finalisation" of the reports for 2012-13 and subsequent years.

Raising the bar for recordkeeping in New Zealand

A national roadshow, workshops with professional groups and on-line public consultations helped Archives New Zealand create the country's new, mandatory *Records Management Standard for the New Zealand Public Sector* that combines four earlier government information management standards.

Left: The Minister for Internal Affairs, Hon Peter Dunne, congratulates Derek Clear for a job well done. **Above:** Pictured in front of the Minister's tweet about the standard are, from left, Chief Executive Colin MacDonald, archivist Kylie Welch and archivist Toma Mason, who opened formalities with the mihi, blessing and karakia. **Below:** Key players in raising the recordkeeping standard, left to right, Chief Archivist Marilyn Little, Manager Recordkeeping Capability and MC for the event, Paddy Power, and Derek Clear.

Senior Advisor Derek Clear, who led the new standard's authoring team, told *iQ* that the re-write aimed to make the standards easier to understand and give public sector organisations a more effective tool with which to make good decisions about what records and information to keep and how to keep it.

"When we started working on the project it soon became obvious that combining the old guides into one was the best way to do this," he said. "As a result we've been able to cut back on duplication and bring the processes together in a simple and straight forward manner."

Stakeholder input was vital for the development of a new standard, he said. He met many users to find out what would work best for them in recordkeeping and information management. The formal advisory group was made-up of representatives from public sector organisations and professional associations including the Records and Information Management Professionals Australasia.

Good recordkeeping essential – Minister

The Minister of Internal Affairs, Hon Peter Dunne released the new standard at Archives New Zealand on 15 May. Speaking at the NZ Budget Day launch, Mr Dunne said good recordkeeping makes for more efficient business.

"Ensuring resources are spent managing only those records that are needed for business and accountability purposes presents some pretty powerful arguments for taking the time and trouble to make sure that we all get it right," he said.

"One of the primary objectives of the *Public Records Act 2005* is to give the Chief Archivist the ability to raise the standard of recordkeeping across all sectors of government. This reinforces many of the other ICT and information management initiatives in my portfolio and across the Department of Internal Affairs."

More than 50 people attended the event including stakeholders from the recordkeeping and information management sector.

Easy to read, understand – Chief Archivist

Chief Archivist and General Manager, Archives New Zealand Marilyn Little said she read a draft copy of the standard in her first week in the job and found it easy to read and understand, and that it would help communicate and explain records management requirements to non-specialists.

"The role of ensuring that government keeps full and accurate records is a necessary foundation for holding government to account, making it of constitutional significance.

"After all, good records make good archives. Some of the records being created right now by public sector organisations will become, in time, the equivalent of the 1893 Women's Suffrage Petition or Māori Land Court Minute Books or World War One personnel files.

"The new standard continues the good work done by Archives New Zealand in developing and maintaining standards for the management of government information," Marilyn said.

The new standard replaces Archives NZ's *Create and Maintain Recordkeeping Standard (2008), Disposal Standard (2010), Electronic Recordkeeping Metadata Standard (2008)* and *Storage Standard (2007)*. It is a requirement of the *Public Records Act 2005* and can be seen on-line at the Archives New Zealand website[1]. It came into force on 1July 2014.

Above: At the launch – Digital Collection Strategy Leader, Mark Crookston, Archives Council member Dr Gillian Oliver, and National Librarian Bill Macnaught.

Archives giant Terry Cook dies

An international giant of archival research and academia, Ottawa-based Canadian Dr Terry Cook, died in May, just three weeks before his 67th birthday. He had been fighting pancreatic cancer for a year.


Terry Cook

Tributes quickly filled listserves and blogs across the information management world. Former Chief Librarian and Archivist of Canada, Dr Ian E. Wilson, posted: "Terry was an archivist's archivist, enthusiastically supportive of students, a tireless advocate and engaged in society." He urged the community to "reflect on and celebrate Terry's intellectual legacy and his impact on archival development".

Dr Cook visited Australia and New Zealand on several occasions, working with National Archives of Australia and Archives New Zealand officials and university academics. His workshops and public addresses in both countries were always full houses.

From Ottawa, Dr Wilson wrote: "I always found my talks with him refreshing, invigorating and, as an administrator, often challenging. Terry could be provocative and forthright but in the most constructive way. His influential contributions to archival practice were solidly based in theory and his contributions to archival theory were informed by intensely practical experience."

First RCS Archive Fellowship

In the 1970s, Dr Cook took a history PhD at Queen's University, Kingston, Ontario, one of Canada's oldest universities. Later, he set up his world-wide, Clio Consulting business (Clio, the Greek muse of History) in Ottawa. He held professorial seats at the universities of both Manitoba and Ottawa in archive studies ad record management, and was a director of Canadian National Archives. The Royal Society of Canada awarded him a Fellowship, the society's first for Archival Studies.

Long time friend and colleague, Rick Barry, retired principal of Barry Associates consulting in Arlington, VA, described the death as "A Giant Canada Red Creek Fir Fell in the Forest, and Everyone Heard It". In his appreciation, he said: "He so enjoyed the workshops and relationships he had with Australasian colleagues.

"I'm sure that, like me, many were shocked by the early demise of this giant among us whose top-of-his game seemed to keep pushing the envelope ahead of him right up to the end. There can be no doubt that his shadow will extend long into the future."

Practitioners from across the IM world joined in. Verne Harris, Director, Research and Archive, at the Nelson Mandela Centre of Memory in South Africa, wrote that Terry was "pre-eminently amongst the giants of current archival discourses". Victoria University of Wellington archival PhD, Dr Kay Sanderson, posted that many NZ archivists had met Terry and been inspired by his work.

Dr Anne J. Gilliland, Professor of the Department of Information Studies at the University of California, Los Angeles, said: "He was an inspired and inspiring colleague and teacher, a wise and selfless mentor. He will be terribly missed."

Dr Cook is survived by his widow, Sharon, and sons, Tim and Graham.

Dunedin's IT girls aiming high

Dunedin girls' school Columba College is taking on the notorious IT gender gap and winning, with many graduates entering the field typically dominated by men, Techblog of the Institute of IT Professionals (formerly the NZ Computer Society) reports.

The 99-year-old college's Digital Technology curricular and extracurricular programme encourages students to explore careers in IT, explained the head of the Digital Technologies faculty, Julie McMahon, in a recent edition on-line. She commented:

"We actively support girls in IT, science and engineering at the school and we also have a strong robotics club and a senior Technology Prefect. Two of my former students are now successful mechatronic engineers, one at Bentley Motors and one at Fisher & Paykel."

Information Technology is notorious world-over for under-representing women, Techblog Editor Simon Eskow, suggests, writing[2]: "Research indicates that circumstances have improved in New Zealand. The percentage of women entering computing professions increased in the first half of the 2000s, while that figure decreased in Australia. But research says IT is still a male-dominated field."

"Columba's digital program belies the statistics. According to McMahon, Columba graduates are working in information systems while two are working for computer science degrees, with honours, at Otago University. One was a Google Scholar."

Ms McMahon told him: "There is also one doing mechatronic engineering at Canterbury, one doing sport technology at Otago University. There is a cadre of young women finishing their tertiary IT degrees at Otago Polytechnic and Otago University. I could find many more examples. We work really hard to ensure the girls and the school leaders and parents see IT as a valuable and highly rewarding career pathway."

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a.k.a.® Information Governance software is not a single project product but a tool enabling use and reuse of data to create information governance structures and entities for entire programs of work now and into the future. It can be used for describing and assembling metadata elements and combining them into a vast range of different information architectures: – metadata models, taxonomies, thesauri, ontologies, glossaries, retention schedules, data maps etc… in fact, your entire enterprise DNA can be assembled and managed in a.k.a.®. ❖

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

Coming up in the November issue of *iQ*:

Information: The future is in your hands

Do you have a story about an approach to records and information management that has influenced your workplace that you wish to share? Or about a project implementing next gen methods and tools? Or about RIM professionals who are making a difference? We would love to hear from you.

Articles due: Wednesday 1 October + **It's *iQ*'s 30th birthday!**

Archives Disaster DALEK comes to Whakatāne

By **Richard Overy**

It was Kate Ward, Information and Policy Manager of the NZ Office of Film & Literature Classification, generally referred to as The Classification Office (the office that is, not Kate) who put the announcement out there:

We have a spare DALEK (Disaster Archives and Library Emergency Kit) filled with supplies and equipment that will help staff to respond quickly to a records disaster. We will give the kit away to a good cause. Please call or email if you are interested.

Overlooking (with difficulty) the rather tortuous acronym, Barbara Clark and I, both of the Whakatāne District Council (WDC) Records Team, quite independently decided that we were definitely a good cause and so sent in our names asking for the DALEK. About 40 people from other organisations also felt they should have the monster.

A GOOD CLEAN DRAW

Because of the widespread interest and number of requests from people in records, archives, museums and libraries, Kate decided to have a draw for the DALEK. All the names went in a hat and the lucky winner was me, on behalf of the WDC.

Kate Ward explained neatly: "We had so many touching, pleasing claims for the DALEK. To keep us safe from murmurings of bias, we engaged the services of the New Zealand Chief Censor, Dr Andrew Jack, to make the draw out of his hat. That made sure of a good clean job."

It was obviously our lucky day at Whakatāne. The DALEK, actually two heavy storage boxes on wheels, contains dozens and dozens of useful items for an archives and records emergency, everything from bin strapping to glo-sticks, hazard masks and clothing, string, tape ('check regularly for stickiness'), sheeting, torches, batteries ('check charge every six months'), packs of 'wet material for freezing', waterproof biros and 'plastic fingernails' (what?).

Then the task was to get the DALEK to Whakatāne[1] (Aussies note: say it "fokker-tah-nay"). A courier company was ordered to pick it up from the Classification Office on The Terrace in Wellington but the man took one look at the monster and said, "Jeepers! Holy mackerel! I'm not taking that thing".

That was a setback, but not an insurmountable one. Time passed. Weekends intervened. Eventually, a freight company was found which agreed to bring it to us for a comparatively modest fee.

THE DALEK ODYSSEY

The journey from Wellington to Whakatāne was epic. At a stately pace befitting royalty, the DALEK progressed through the North Island. The turnout to witness the event was impressive. At Porirua there was a happy Fa'ataupati … *(There follows a lengthy, mightily detailed, I reckon entirely fictitious account of the Odyssey of the DALEK through Darkest NZ that space allows only in precis. Ed.)* … flying past Ohakea through Bulls and Marton (nobody was home) … Taihape all 28 inhabitants waving gumboots … Rotorua fumigation chamber, masks required ... and at last to Whakatāne by the sea where the reception was subdued … but sincere!

Now the Records and Archives Team and I await (patiently, not anxiously) an opportunity to practice the shiny new DALEK's records salvage drills and procedures.

NB: The town was inundated by the 'rainbomb of the century' only weeks ago with much flooding. It can happen again!

Sorry (not very) the rest of you could not win the DALEK and happy we did. Thank you to Kate and the Classification Office. ❖

From top: Information Manager Kate Ward with the redundant DALEK (Disaster Archives and Library Emergency Kit); Kate Ward and NZ Chief Censor Dr Andrew Jack draw lots for the deserving DALEK destination; Wondering Whakatane winners: District Council Records Team left to right: Barbara Clark, Richard Overy, Sandra Naude, Jennifer Topless

ABOUT THE AUTHOR

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Bibliography

1 Whakatāne traditionally means 'act like a man'. One of the 'Great Fleet' of immigrant Maori waka (canoes) arriving here was almōst lost after the crew rushed ashore to explore, leaving the vessel to drift back out. The chief's daughter, Wairaka, calling "Me whakatane au i au" (I will act like a man), plunged back into the surf and saved the ship.

WHO'S YOUR MAMA? ORGANISATIONAL PLACEMENT MATTERS

Information Governance is Records and Information Management come of age. If your company isn't ready to establish Information Governance as its own staff area, choose an area that is viewed as a 'power player'.

By **Craig Grimestad**

The question "Which staff area is the best home for Information Governance (formerly Records and Information Management)?" is a question that is often asked and debated. The 2013/2014 Cohasset/ARMA/AIIM Information Governance Benchmarking Survey identifies prominent candidates: Administrative Services/Facilities, Compliance/Regulatory Affairs, Legal, and Information Technology.

The answer at this time in history is NONE OF THE ABOVE. Information Governance is Records and Information Management come of age, with common structural and performance maturity standards and certifications available for practitioners. Understanding that records are a corporate asset – perhaps the most valuable corporate asset. It is time for Information Governance to take its rightful place as a staff area providing policy, management and oversight to this most valuable business function. After all, what is a company without its records?

Perhaps you are not there yet in your company's maturing of its business structure and processes. Who's the runner-up? Well, it does make a difference. Given the variables that exist within a given company including the level of reporting, budgeting potential, and the passion of the individuals in the chain of command, the best home for a given company will be its own solution. Psychologically, the organisation is more accepting and responsive to governance directions coming from a traditional 'power player' in the organisation. Therefore, starting at the bottom, Administrative Services/Facilities is the least likely to be a good home. You simply cannot effectively run a governance activity from a service organisation.

I digress, but I recall a time as the divisional records manager, when I reported to the chief information officer, and we were making great 'governance' improvements. I had his strong support, and we were systematically improving the awareness of, and compliance with, our records management policy and procedures. We had 'forcing functions' in place (more about that another time) to improve email and shared drive compliance and I participated in records repository change reviews – both for developing new and revising existing ones. One day I was asked to join an emergency meeting in Purchasing. There, I was given an overview of a problem by an executive, also on the CIO's staff: the ERP application was running out of memory, with only about a day left, and they needed to purge data (including records) – "That's OK right?"

I looked at him … (probably stared) … in disbelief. Do I know this man? Does he know me? Is this a joke? Is this a test? Is he serious? … He was. How could he possibly be the same person I had been working with?

As we all know, lack of planning, or lack of capacity, does not override the retention requirements of a company record. Information Technology can be an acceptable home, but beware, at the end of the day, when push comes to shove – Information Technology's highest priority will not be Information Governance.

THE BEST CARETAKER

Compliance/Regulatory Affairs is a close second as the best 'other' staff area home. This area typically has the zeal to make sure corporate policies and procedures are followed, but commonly lacks vision and budget. Information Governance would be one among many objectives.

The best 'other' staff area as a home for Information Governance is Legal. In short, Legal gets it.

Legal:

- understands that records are corporate assets that require maintenance
- understands how records transition from having high value as an asset to becoming a liability when its life cycle is complete
- has deep pockets – it is always provided with sufficient funding to properly defend the business from lawsuits and also gets funding for 'necessary' projects.

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

Legal many not want the responsibility – seeing this as taking resources and focus away from its primary responsibilities. But even that in a way makes it a good caretaker until the day when Information Governance takes its place as a staff area. In time, as organisations continue to develop and mature, it is likely that the Compliance/Regulatory Affairs and Information Technology areas will report into Information Governance. Both represent high value support activities necessary to accomplish the higher Information Governance objectives. ❖

This article was first published at blogs.ironmountain.com/author/cgrimestad

The death of recordkeeping

Video may or may not have killed the radio star but digitals are certainly tolling a death knell for recordkeeping, according to our author. He considers: "Computerisation ... has created problems for recordkeeping in organisations through decentralisation of specialised functions. Failure to recognise and deal with these could result in the present becoming unexpectedly inaccessible in the future."

By Simon Kravis

Recordkeeping is the process of making and maintaining complete, accurate and reliable evidence of business transactions, and government records are crucial to individuals seeking to establish their identities or ensure their entitlements to basic human rights. With their enormous capacity to store information quickly and cheaply over a timescale of years, the computerisation of the workplace should have made the task of recordkeeping within organisations easier. In fact, standards of recordkeeping in many organisations have declined over the 25 or so years since computers became common in the workplace.

David Fricker, Director-General – National Archives of Australia, comments: "When computers came in, all the processes for records management went out". A report by the Australian National Audit Office (ANAO) on recordkeeping within a number of Australian Federal Government Agencies conducted in 2012 found that "The large majority of the agencies' records were created, captured and/or managed in the agencies' records management and other systems" but noted that "The [non-records management] systems ... did not generally meet legal requirements relating to the management, and destruction or transfer of records". Responding to the report, National Archives of Australia observed that "...keeping records in multiple systems, particularly where digital records are duplicated in paper format... presents a multiplicity of problems and increased risk, including loss of context, increased costs and reduced efficiencies because of difficulty in locating and retrieving records when needed, and inability to identify the authoritative record."

The key to the paradoxical effect of computerisation lowering recordkeeping standards lies in the decentralisation of information storage. In the pre-computer workplace, corporate information was stored in paper files which were kept in a central registry and administered by a hierarchy of clerks, who had responsibility for the creation and naming of new files, specifying file keywords (metadata) and deciding how long they files were to be retained for.

The head of the hierarchy defined the taxonomy of corporate information. Files were delivered to and collected from people manually, with a check-in/check-out system to track responsibility. People using files would add new documents (or folios) to the files, or annotate existing ones. The integrity of files in government organisations is frequently enshrined in law: removal or defacement of a folio in an Australian Commonwealth Government file is a criminal offence. Non-file documents certainly existed, but the primacy of files as the definitive information repository meant that non-file documents were regarded as ephemeral and were not generally retained.

The centralisation of typing resources in the typing pool meant that the demarcation between file and non-file documents was very clear: any document relating to a corporate decision had to be typed, document drafts were clearly distinguishable from final copies and all documents had to be placed on a file.

As computers have become almost universally used for writing documents and electronic mail widely used for circulating and refining them, the responsibility for deciding which documents are corporate records and storing them appropriately has been devolved to document authors. Significant cost savings accrued from this as the central repository and its hierarchy of clerks could be eliminated or drastically reduced in size.

However, document creators are not necessarily aware which documents constitute records, and may not have the training, tools or time to perform records management. The 2012 ANAO Audit noted: "Staff often stored information in a variety of places, but did not have consistent rules about the records that needed to be created and where they would be captured."

story snapshot

Standards of recordkeeping have declined since computers became common in the workplace.

Keeping records in multiple systems, particularly where digital records are duplicated in paper format... presents a multiplicity of problems.

Difficulty in accessing old data will be the norm rather than the exception in the future, as suppliers of the applications to read the data files will only maintain backwards compatibility as long as it is commercially viable.

New forms of communication further tax the abilities of individuals to perform recordkeeping. The humble email, which has been used in many organisations for over 25 years, is frequently used to communicate organisational decisions and thus may constitute an organisational record, but its structure can be complex, with nested messages and attachments frequently present. The email subject rarely constitutes an adequate record title, but is often used as such.

Emails are difficult to transfer to other applications for long-term storage. SMS messages received on mobile devices may also constitute records but transferring these to any other storage device requires third-party software to be installed on the mobile device. Tweets and social media postings may also constitute records which require specialised skills to transfer to long-term storage.

FOLDER TREES V. THE EDRMS

The use of modern computing devices provides access to enormously powerful applications for the creation, exchange and manipulation of electronic documents. Documents created by these applications are stored either in file system folder trees or in document libraries within electronic document and records management systems (EDRMSs).

Folder trees have been used for information management and storage for many decades as they provide a means of grouping together files and other folders similar to that provided by the paper files and folios. The major difference is that electronic folders may contain sub-folders to create a hierarchical tree structure which is frequently 20 or 30 levels deep. Access controls can be applied to give users personal and group storage areas and data can be easily backed up if the computer hosting the folder tree is always connected to a network.

The major limitation of file system folder trees for recordkeeping is the lack of version control. Documents can be changed without any record of who made the changes or when they were made and there is no distinction between modifying an existing document and creating a new one.

Local conventions for version control are frequently used, such as appending a sequence number, date or author to the file name, but these cannot be enforced over the large number of applications used in organisations. User identity is linked to ownership of an active account, so that when users leave an organisation, any files of folders which they own lose ⇛

their ownership information. Users are also able to modify the folder structure in which they store their documents so the location in which documents may be stored is difficult to control. Search technology is helpful in dealing with these problems but is rarely deployed over shared storage due to expense and performance issues which arise in maintaining access control over search results.

PERFORMANCE POWER

Search results on document repositories are frequently much poorer than on the Internet as there is no hyperlink information to assist in ranking search results, leading to lack of use of search facilities even if they are available. A consequence of these limitations is that many different versions of the same document are found within file system folder trees.

Studies in widely different organisations have indicated that up to 40% of electronic documents created by desktop applications on file systems are different versions of the same document.

By providing access to documents only through a database, EDRMSs can address these issues and have become much more widely deployed in recent years. They offer access to documents via a web browser rather than a file browser, making them much more suited to use from mobile devices. Microsoft Office applications such as Word and Excel can be configured to save and open documents from such systems by default and prompt users for any additional metadata. Interfaces are available for many EDRMSs to use file browsers such as Windows Explorer so that users can continue to use a familiar interface for storage and browsing.

However, although EDRMSs can provide all of the functionality required for effective records management, organisations are reluctant to remove all access to shared file system storage as some applications require their data to be stored on a file system, and users are familiar with their operation. The performance of EDRMSs tends to be poorer than shared file systems. Where both EDRMSs and shared file systems are both available for document storage, the EDRMS tends to become used for storing the organisational 'good china', containing clean, well-organised, but seldom used documents, with the shared file system being used for temporary storage before filing in the official recordkeeping system.

The 2012 ANAO report noted extensive use of shared file systems in the reviewed agencies and observed that, "Significant delays in filing information to the official records management system expose records to alteration and deletion, ultimately impacting on the integrity and authenticity of the record."

Governments have always recognised the significance of recordkeeping as a means of controlling their citizens, as well as delivering services to them. The filing cabinets and Hollerith punched card machines of Nazi-occupied Europe were tools for the subjugation of local populations and for the implementation of the Holocaust.

In Cambodia, the Khmer Rouge destroyed all government records in 1975 as part of their 'Year Zero' program, on the basis that everything now belonged to the State. The operation of any legal system requires recordkeeping to record events and transactions, and in societies which use writing, this involves the creation and storage of physical records. In Tsarist Russia, one of the harshest punishments an individual could receive was 'legal death'. All the records documenting the victim's existence in law were destroyed. Such 'non-persons' could not travel, work, marry or own property. With no protection or recourse under law, they were vulnerable to robbery, assault, slavery, even murder, because such acts against non-persons were not crimes.

In more benign conditions, the exercise of government responsibilities requires recordkeeping over very long periods of time, sometimes in perpetuity. For example, the health records of Australian military personnel have to be retained for 75 years after their creation. The design of electronic systems to function over this period of time is a huge challenge. Whilst there has been some progress in making documents self-describing using Extensible Markup Language (XML), so that they can be decoded by future electronic systems, the lifetime of modern storage devices is measured in years rather than decades.

If the experience with domestic backups is any guide, difficulty in accessing old data will be the norm rather than the exception in the future

The current approach to long-term preservation of digital documents is to keep them in an isolated digital repository and translate documents into newer formats as support for older ones disappears whilst keeping the original digital files for reference. Files are copied to new storage platforms as old ones become obsolete. This approach becomes more attractive as the cost of keeping paper-based archives increases and the cost of digital storage decreases, especially for documents originally created in digital form (born digital), but for very long term storage, the reliability of paper-based archiving is still attractive.

STORAGE OF PERSONAL DOCUMENTS

With the high penetration of computers into the domestic environment, electronic storage of personal documents such as correspondence and financial data has become commonplace, and failures of domestic computers can cause considerable problems if data has not been adequately backed up. Whilst domestic recordkeeping does not present the same difficulties as organisational recordkeeping, the infrequent failures of modern home computers lead most domestic users to ignore the risk of data loss.

A 2014 survey by Kroll Ontrack, a provider of data recovery and ediscovery tools, found 36% of its Ontrack Data Recovery customers across North America, Europe and Asia Pacific experienced a personal data loss. Of these 35% did not have a backup solution at the time of loss.

Cloud storage of data for domestic users relieves users of the need to back up data on home computers, but adds other vulnerabilities, such as reduced privacy, reliance on a network connection to access any data and the possibility of their cloud provider going out of business. The rapid evolution of storage devices means that it may be difficult to read data from older devices, which were once commonplace, such as floppy disks or Zip drives. Changes in file formats used by common applications and in the applications themselves also cause problems in reading older data.

The grandchildren of today's 70 year olds will have far more trouble looking at digital photographs of their grandparents in 70 years' times than people now have in looking at paper photographs from the 1940s. The plethora of digital media files stored in most homes now is likely to be difficult or impossible to access in the future without application of the kind of systematic procedures used by archive organisations.

The advent of digital formats for books for delivery platforms such as the Amazon Kindle is likely to have similar consequences. If the experience with domestic backups is any guide, difficulty in accessing old data will be the norm rather than the exception in the future, as suppliers of the applications to read the data files will only maintain backwards compatibility as long as it is commercially viable. The use of public formats such as Adobe Portable Document Format (PDF) for text documents does not solve the problem, as extensions and variations are included in the many applications which read and write this format, resulting in difficulties in accessing many PDF documents. As a page description language, it is poorly suited to many information retrieval tasks.

THE SIGNIFICANCE OF CABLEGATE

The issue of management of electronic documents in governments has been highlighted by the ongoing saga arising from the publication of 250,000 confidential US diplomatic cables by Wikileaks, an event widely known as Cablegate. In the pre-electronic era, the 250,000 cables would have existed only as a pallet-load of paper files, presenting a massive obstacle to their copying and distribution around the world. In addition, access to these documents would have been available to far fewer people than those who could access the leaked cables.

The US Military classified intranet SIPRNet, on which the leaked cables were stored, has an estimated 4.2 million users, according to Wikipedia. Not all of these users would have had access to the cables, but potentially, access could have been granted to all of them. The ease of copying, distributing and searching these cables, together with the difficulty of managing access to electronic documents, makes Cablegate emblematic of the transformed environment created by movement of documents from paper to electronic form, where massive numbers of documents can be copied, distributed and searched with widely available computer systems.

The significance and moral status of Cablegate is energetically debated, but it is indisputable that it is the transformation of the information environment from paper to digital media which made it possible. Wikileaks could not operate in a non-electronic environment. The computerisation of modern society, whilst offering a level of access to information and ease of communication that was in the realm of science fiction 50 years ago, has created problems for recordkeeping in organisations through decentralisation of specialised functions. For individuals, problems arise through rapid change in storage hardware, data formats and applications to read data.

Failure to recognise and deal with these could result in the present becoming unexpectedly inaccessible in the future. ❖

This article was first published at Image & Data Manager, idm.net.au

ABOUT THE AUTHOR

Simon Kravis grew up and studied Physics in England. He remembers records marked Electrically Recorded and the British semiconductor industry. A keen reader of science fiction in the 1960s, he has seen some of its elements become reality but can recall none that anticipated the impact of information technology on modern life. After coming to Australia, he worked in the academic and public sectors in laser physics and geophysics before computers and seismic data processing came to dominate his working life in the 1980s, after which he worked on scientific visualization, parallel processing and developed software for drilling engineers. He discovered the anarchy of information storage and management after joining Intology in 2004. Since then he has worked on tools to deal with it with minimal user disruption at KAZ and Fujitsu before starting his own company Aleka Consulting in 2013.

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BRIDGING THE RECORD MANAGEMENT SKILL GAP

In order to be pragmatic and strategic, in order to gain enough respect as a profession to gain acceptance within the business to demonstrate the benefits of digital recordkeeping, records officers need to build key skills which are atypical of the skills required in the past.

By **Michelle Linton** and **Kevin Dwyer**

Physical recordkeeping was established even before humans evolved to walk. Like us, our ancestors were like bowerbirds, collecting and keeping things that were precious to them. Formality came in with the written word and the collation of wisdom in documents of clay and papyrus. Documents replaced talk as the accepted and consistent method of retaining and sharing important information. As the volume of information grew the need to record where it was located for findability was developed, and thus recordkeeping was officially born.

The premise on which recordkeeping was born and promulgated through the discovery of more effective writing materials was simple. Write down where the physical object is located. Make sure you write down sufficient information to enable identification of that unique object. Giving it a unique number and adding that to the document eliminates error. Today that premise has evolved into electronic document management.

Electronic document management involves recording the document information in an electronic database on a computer. Initially, the activity of recording that information was owned by record keepers. However, in modern implementations everyone has access to the database on the computer and they can register their own records and search for those records themselves. Even if the records unit still does the physical labelling and retrieval it is more efficient, especially in a large organisation, than visiting the records unit every time they need to make an enquiry.

Electronic recordkeeping for physical records has been a fairly simple concept for records officers and staff to understand. It is a direct parallel to fully physical recordkeeping.

Digital recordkeeping is proving to be another world – a new paradigm that is proving very difficult to master for the records fraternity

Digital recordkeeping is proving to be another world – a new paradigm that is proving very difficult to master for the records fraternity. The inability to truly master it is a major blockage point for the successful transition to fully digital recordkeeping and compliance with state and federal requirements.

Digital recordkeeping is registration of documents in their native format, such as MS Office applications, Adobe, etc. The same electronic registration of metadata occurs, but if the document is registered on creation (ie, as the MS Word document is first saved it is saved into the EDRMS), then how it is handled is very different.

TWO SCENARIOS

Examining two scenarios – the treatment of a physical record and that of a digital record – will help us to understand the difference. In each scenario the record goes through the same life-cycle phases, namely: Creation, Active Record, Closed, etc. Creation is almost the same between a physical and a digital record. The only real variation is metadata such as Home Location and Assignee. Any other data captured for a digital record could equally be the same if the record was physical.

However, once the Active phase commences, the treatment of the record changes dramatically. Let's consider the development of a proposal with an external client as an example.

Scenario 1: The physical record

The file is registered in the EDRMS and the file cover created. The original request for the proposal is printed and added to the file. Any documents created in response or received are printed and added to the file. Any communications (email, meetings or phone) with the client are documented and added to the file. If there is information from another record which relates to this case it will be copied, marked as a copy, and added to the file. The documents may or may not be registered in the EDRMS, depending on organisation policy.

The records officers' message to the staff member responsible is straightforward – add physical copies of any communications to the physical file.

Scenario 2: The digital record

The file is registered in the EDRMS. The original request for the proposal is registered in the file. The document created in response is registered in the file, workflowed via the EDRMS to your manager for approval, sent to the client as an attachment. The document received back from the client with tracked changes is saved as a new Revision. If the final document is created as a PDF this is to be saved as a Revision; Revisions to be saved are preserved, and the record is finalised. If further changes are required the original document is saved as a new Version and the last MS Word Revision promoted to commence the new Version.

And that is just the first document your bewildered staff member has added to the file! There is a multitude of similar process decisions that need to be made on all the related documents. Certainly some will be straight forward, but many will require a set of skills that are foreign to traditional recordkeeping.

THE RECORDKEEPING SKILL GAP

In an era of big data and social media dominating the new horizons of recordkeeping, it is easy to forget the skills required in this era to have a truly successful digital recordkeeping operation. The transformation from physical to electronic and then to digital recordkeeping has opened up a significant skill gap. If that gap is not closed, it will continue to have a detrimental effect on the effectiveness of digital recordkeeping to improve productivity and reduce risk and ultimately impact the ability of recordkeeping, as a fraternity, to gain acceptance at executive level as a highly valuable resource.

The key skill gaps to close in the digital era are:

- practical experience using EDRMS features for digital recordkeeping
- communications skill
- business process analysis

The transformation from physical to electronic and then to digital recordkeeping has opened up a significant skill gap

PRACTICAL EXPERIENCE WITH EDRMS FEATURES

When organisations move to digital recordkeeping the Records Unit invests their time and energy in configuring the EDRMS to be user friendly and appealing to the business. There is a narrow focus on technology readiness for Go Live. Rarely is there the required focus of equipping the records officers with practical digital experience.

Most records officers are unconsciously incompetent when it comes to using the EDRMS for handling digital records during the Active records phase. They are completely unaware of how to best harness the features, and how to align them for effective use as part of general business transactions. Whilst they may have experienced digital records in a final PDF form, the actual decisions made in relation to a 'live' document are foreign to them.

Records officers generally don't create a lot of documents in their role, and even when they do the transactions on those documents are frequently fairly simple and don't involve interactions with parties outside the unit. That level of interaction is at the record manager level. Therefore there is very little opportunity to have gained the required skill to support and direct staff in the organisation.

COMMUNICATION SKILL

Typically staff in recordkeeping support roles are introverted by nature. That often goes hand in hand with excellence in attention to detail, which is exactly what is required, but communicating confidently is also necessary. This is frequently a challenge for an introvert. The records officer is often placed in a very challenging position, with staff requiring discussion and facilitation of how to best apply the EDRMS features to their workflow. Records officers without active listening, rapport building, reflection, clarification and meeting management skills gives rise to poor problem solving and decision making. Developing communication skills and resources is critical to maintaining a team of officers who can support the business.

BUSINESS PROCESS ANALYSIS

Deconstructing and understanding a business process is difficult, even when it is one you are familiar with. Teaching others how to do it is equally difficult. What are the actual steps to deconstruct the process? What are the criteria to use to make the decisions on which step you will take? How do you describe something complex so that it is crystal clear to other people?

To appropriately direct people, in the use of the EDRMS for digital records, even on a single document, requires the ability to ask questions about the process within which the document sits and to map the flow of decisions being made.

Records officers are overlooked when it comes to development of business analysis as a skill and hence, it is the business analysts who are tasked with mapping the processes and the decisions made. For processes the

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Michelle Linton, Managing Director, Linked Training

Michelle is a Learning & Development professional with 24 years' experience in the planning, design and delivery of training programs. Michelle has developed and delivered innovative, outcome focused EDRMS training for over 30 government and private organisations since 2005. Michelle's pragmatic approach to learning strategies leading to application adoption has been enthusiastically welcomed by the industry, and she is a regular speaker at RIM events and contributor to industry magazines. Linked Training is the training partner in the REX project which was awarded the J.Eddis Linton Award for Excellence – Most outstanding group in 2010.

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Kevin Dwyer, Director, Change Factory

Kevin is a Change Management professional with more than 30 years' experience in the planning, design and delivery of change management programs. Since 2001, and the establishment of Change Factory, he has been involved in many Change Management projects ranging from re-engineering of customs processes to reduce risk to creating and revising performance management systems to improve customer service outcomes at five-star resorts. His first EDRMS project was as the Change Management partner for the REX project which was awarded the J.Eddis Linton Award for Excellence – Most outstanding group in 2010.

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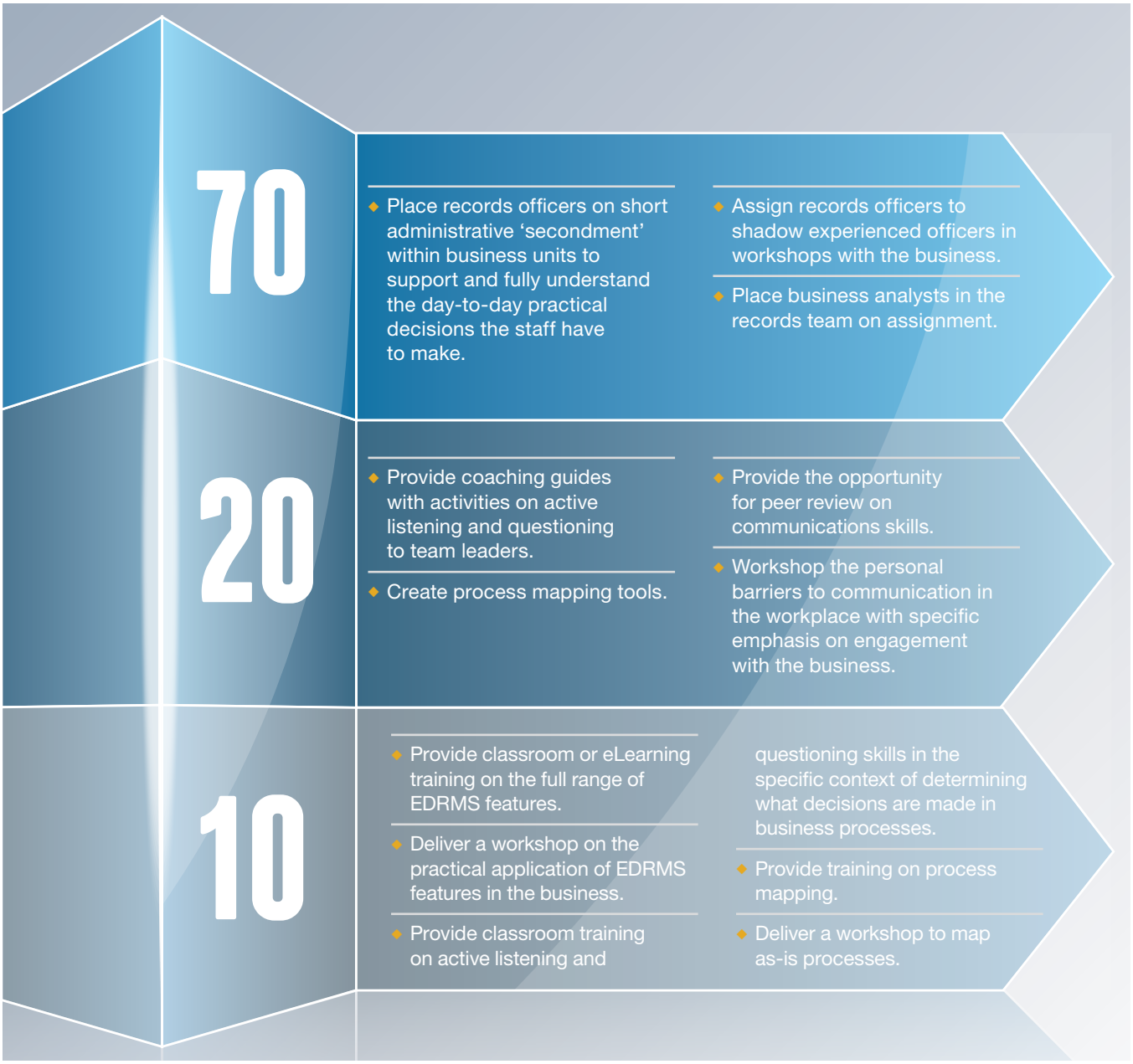

business analysts have worked on that may be okay, however, there are always many documents registered that are not part of a sufficiently vital process to have the process mapped by the business analyst.

THE WAY FORWARD | 70:20:10

For records officers to gain these new skills requires exposure to formal training, coaching and on-the-job learning. In the Learning and Development fraternity, this is now commonly assigned the ratio of 70:20:10, being the preferred ratio of learning experiences for adults:

- **70%**—informal, on the job, experience based, stretch projects and practice
- **20%**—coaching, mentoring, developing through others
- **10%**—formal learning interventions and structured courses

The table above shows examples of learning programs created for records officers to acquire skills to close their skill gap.

ALIGNING RECORDKEEPING WITH STRATEGY

The future of recordkeeping in the digital era is strategic rather than simply a means of recording where a piece of information is stored and enabling it to be retrieved and ultimately destroyed.

It is about integrating recordkeeping into the business process and its strategies. It is about demonstrating how recordkeeping better enables business strategies to be achieved and how better long-term outcomes can be achieved using recordkeeping.

It is about being pragmatic rather than purist in approach.

In order to be pragmatic and strategic, in order to gain enough respect as a profession to gain acceptance within the business to demonstrate the benefits of digital recordkeeping, our records officers need to build key skills which are atypical of the skills required in the past.

New technology is interesting, even exciting, however what is really exciting is when recordkeepers with appropriate business skills can adeptly assist the business in realising the benefits of the technology. That's what is new. ❖

Luxury or necessity? *Managing the future of information*

The future is full of opportunity, and the organisations that will benefit most are those who can best integrate, harness, use and protect information. Only then will they be in a position to analyse and extract the full value of their data and deliver personalised services that can increase loyalty and even open the door to new markets.

By **Phil Greenwood**

Today, organisations must manage ever-growing volumes of company and customer records securely in all formats as the data moves around the business at an unprecedented velocity. In an information environment characterised by increasing risk, shifting legal requirements and a growing awareness of the business value that information can contain, the careful preservation and considered management of organisational information have become more critical than ever.

Yet, for many, information management seems to remain a business luxury, a secondary consideration – nice to have, but perhaps not worthy of serious investment. Certainly, the research undertaken at Iron Mountain in Europe shows that information management and information risk often go ignored at the very top of the business. This may be particularly true in the mid-market. However, ignoring the need for good information governance can leave businesses over-exposed to risk, struggling to remain legally compliant and unable to mine the value their information may contain. I would argue that we are entering a new information age in which information management is becoming an absolute necessity for businesses of all sizes. Current economic pressures may make it all too tempting for organisations to cut corners on their records management policies, in both the public and private sector. Yet information management is more than just a matter of preservation, it is the best way to add and record value, to mitigate risk, and to understand customer and business trends. Information management has a dynamic role to play in the changing and increasingly complex business environment. It should be the beating heart of competitive advantage that delivers critical information securely throughout the organisation when and wherever it is required.

Consolidation, the use of digital technology and changes to the regulatory landscape combine to make organisations increasingly dependent on their information management systems to meet new challenges and prepare for future trends.

It is expected that in the coming years, organisations will become more confident about turning to the cloud for the storage of digital and digitised data, once current concerns about data movement and security have been addressed. With that will come an evolution in regulations and data retention laws, particularly those focused on digital communications such as emails, text messages and social media posts, which are currently the cause of widespread confusion and concern among organisations large and small.

We have taken a close look at the legal, financial, insurance and pharmaceutical sectors to better understand the predicted future trends of the industries as they face consolidation, digitalisation, and increased regulation. What will the long-term impact of these trends be and what might they mean for information management across sectors over the next five to ten years?

story snapshot

In an information environment characterised by increasing risk, shifting legal requirements and a growing awareness of the business value that information can contain, the considered management of organisational information has become more critical than ever.

This article takes a close look at the legal, financial, insurance and pharmaceutical sectors to better understand the predicted future trends of the industries as they face consolidation, digitalisation, and increased regulation.

CONSOLIDATION AND EXPANSION

In 2013, the European legal sector emerged from five years of economic downturn. Today's landscape for the legal services industry is defined by market consolidation, mergers and acquisitions, and a fundamental change in regulations stipulating how legal firms can operate.

The recent trend of mergers and acquisitions is likely to continue in the coming years, with 83%[1] of the top 25 legal firms in the UK believing a merger is very or fairly likely by 2016. Continuing reforms and cuts to legal aid funding are considered to be the biggest drivers behind these.[2]

Most mergers are expected to involve a non-UK based firm, highlighting a second important market trend: international expansion. This trend in the legal sector is driven by the globalisation of the business community it serves. This will, of course introduce new information challenges in terms of cross-border variations in laws and regulations.

To smooth the path of integration and geographical expansion across all sectors, organisations will need to fully embrace the digitisation of records to ensure that all documents can be easily stored and retrieved by staff irrespective of where they are located. Policies and practices for the digitisation of records, as well as what to do with all information formats, needs to be clearly communicated to help staff run an efficient practice. A merger or acquisition may be a good point to move to a paper-light approach,

where key documents are scanned and stored for easy access and older documents are securely archived offsite. For more information on the paper-light approach visit www.ironmountain.co.uk.

This is not the only sector experiencing this predicted trend. In September 2013, *The Lawyer* magazine summarised the future of the insurance sector in a single word: consolidation. It predicted that there would be far fewer insurance firms by 2023. In fact, *The Lawyer* anticipated that a decade from now the insurance sector will comprise just three global firms with the remaining number of companies reduced by as much as 50% as firms merge or are taken over.[3]

Mergers and acquisitions are notoriously complicated from the information management perspective and result in increased levels of information risk. The insurance sector seems comparatively, albeit slightly, more exposed to information risk. According to the 2013 Information Risk Maturity Index published by Iron Mountain and PwC, the insurance sector scored just 55.2 out of the ideal 100, placing it behind sectors such as manufacturing and engineering (58.1), the legal sector (57.9), financial services and pharmaceuticals (56.5 each). However, at 55%, insurance firms were the most likely to have a monitored information risk strategy in place.

Mergers and acquisitions, as well as globalisation have significant impact on information management. The way in which records and information systems are integrated among merged firms, or across national boundaries, will be instrumental to the organisation's operational efficiency. Information management policies should encompass not just newly created documents but historical paper archives. Moving forward, organisations need to be able to develop and roll-out a unified information management and retrieval process. This will need to be resolved – consistently, securely and seamlessly – to reduce the risk of data loss, duplication, overlap or exposure.

One thing is certain – staff training will be critical. Employees need to know where data is stored, how to search for it and how to analyse it in order to release its value. This is particularly important when records are managed offsite, and will be critical for long-term business efficiency, legal and regulatory compliance, and, most importantly, for customer service and satisfaction.

Major industry players agree that the trend towards the digital delivery of financial services will continue. However, one ramification often discussed is the effect of digitalisation on the UK high street. The UK is at present home to 11,600 bank and building-society branches. However, 348 branches closed last year and experts expect the closure rate to escalate. By 2020, half of Europe's bank branches are expected to have disappeared as more people use online and mobile banking, according to property advisory firm Jones Lang LaSalle.[3]

One bank has already noted that their daily mobile transactions are the equivalent of their top 40 branches.[4] In terms of information management, this means vast volumes of data will be moving into and around financial services organisations. Responding to this data in real-time, without compromising on information integrity or security will be a priority.

Mergers and acquisitions, as well as globalisation have significant impact on information management

A VIRTUAL FUTURE – MOVING BETWEEN THE PHYSICAL AND DIGITAL

As the world moves to more digital and fluid service delivery, organisations need to collect and store information in ways that maintains clear audit trails. To ensure information management processes keep pace with requirements, organisations need to take the time to understand and review the regulatory landscape often so that they are well placed to respond to change and can update their policies accordingly. They must be able to demonstrate effective measures to minimise information risk.

In this emerging, streamlined, commoditised and globalised industry landscape, many traditional bricks-and-mortar firms are beginning to see the value of shifting their services to a virtual presence. This allows for more flexible working among staff and for better management of costs.

Possibly the greatest impact of digitalisation will be felt in the legal sector. Running a virtual or distributed law firm depends on effective information storage and access across multiple locations and even geographies. Many courts still work from paper-based documents only, or require documents to be in hard copy to have evidential value, and these need to be available to the right people at the right time. The need to manage both newly created and historical, paper and digital records and to ensure that everyone is able to access, share and update the records they need will require a highly organised, digitised and secure information management system.

In its 2013 annual benchmarking survey of law firms, PwC[5] predicts that five years from now most law firms will comprise a small core team of permanent fee earners, supplemented by a pool of self-employed or zero-hours contractors. This move towards a more agile, virtual structure will enable specific skills and expertise to be brought in on-demand and help firms to reduce operating costs and compete with new market entrants. As more and more firms take steps towards a more de-centralised way of working, policies and

procedures for managing information need to be robust and updated to take account of this. The very nature of a legal business means that all documents and data must be secure yet fully searchable and easily retrievable in line with corporate governance and e-discovery guidelines. No matter where they are based, staff must be aware of and adhere to company document storage and retention policies.

The challenge over the next few years will be to integrate and analyse all kinds of information including structured and unstructured, digital and paper-based. This will help different types of organisations to enhance business intelligence, improve decision-making and underpin tailored services. Failure to do so could leave organisations at risk of being overwhelmed by the growing volume, velocity and variety of data.

THE GROWING POWER OF PERSONALISATION

Much of the current data growth is being driven by the growing popularity of internet-enabled mobile devices and machine-to-machine communications. Rapid advances in computer processing power and internet bandwidth capacity mean that firms in many sectors, including pharmaceuticals and insurance, can now gather and transmit a growing volume and variety of data from a wider range of smart devices, and then integrate and process that data using more sophisticated analytical tools.

For example, over the next few years insurers will extend data capture and claims submissions to mobile devices and be able to process and respond to such information in real-time. This will place heavy demands on insurance firms, for flexible, scalable, responsive information management systems that can cope with ever larger and more diverse volumes of information including emails, social media messages, and high data-volume images and videos.

The effective analysis of rapidly growing volumes and varieties of information is only possible with robust information management processes in place. In the first instance, organisations need to have the framewwork to store, organise and access huge amounts of information. They could start by defining a plan based on business goals. Then they will to need prioritise the data coming in; understand what they need or are required to keep and delete the rest. For the information retained it will help to segment data, for example by date, and then archive securely anything older than a particular date.

With pharmaceutical firms, this could impact the way new drugs are developed, tested and used. Estimates indicate that the volume of medical knowledge is currently doubling every two years.[6] From the growing adoption of mobile device healthcare and lifestyle apps, through sensors that remotely monitor health and medication, all the way to computer-based patient records and drug trial data, more information is created by and for the pharmaceutical industry every day.

And while much of this data is digital, not all of it is. Pharmaceutical firms that overlook the long term value of paper records take a risk. For many firms, the cost of new drug development is becoming prohibitive. Many realise they need to extract more value from existing data. By examining and re-evaluating research studies and trials conducted over the last 30 years or so, it is becoming easier to scope and target new drug R&D programmes. Such systematic reviews rely on assessing and integrating the results of trials published in both paper and digital formats.

Managing a company's information assets, across paper and digital formats and across past, present and future, is essential for extracting their full value and turning raw information into knowledge, intelligence and insight. A paper-light approach that encompasses off-site storage and document digitisation will enable fast access to documents, save time, cost and space and help tackle complexity. It will also significantly reduce information risk and allow people to work smarter, helping drive better drug research, development and production.

INCREASED DEMANDS, INCREASED REGULATION

All industries face growing customer demands for better service and quicker turnaround times. Meeting these demands depends on a firm's ability to integrate and use data while complying with ever stricter regulatory requirements.

The current European Data Protection Directive is widely understood across most sectors. However, with the European Parliament recently voting through an overhaul of data protection legislation things are set to change. In 2016 the directive will be superseded by the General Data Protection Regulation (GDPR), a single law unifying data protection within the EU. Among other things, the new regulation will address the impact of globalisation, emerging technologies and social

networks on data movement, hosting and security. Failure to protect personal data in line with the new regulations could lead to fines of up to five per cent of global turnover.

According to the European Commission, personal data is defined as any information relating to an individual, whether it relates to his or her private, professional or public life. It can be anything from a name, a photo, an email address, bank details, social media posts, medical information, or a computer's IP address. Organisations such as high street and business banks tend to hold significant volumes of such information. They are likely to feel the impact of the new regulation's information management burden very keenly. For example, one of the most widely publicised aspects of the new regulation is the so-called 'right to be forgotten'. Under this proposal, individuals will be entitled to request that an organisation deletes all personal information relating to them, providing it is no longer required for the purpose for which it was collected in the first place. Furthermore, the new regulations will require organisations to gain explicit consent from citizens before processing their data. For many businesses, meeting such demands will likely require significant review and revision of how sensitive information is currently managed.

The insurance industry in particular is no stranger to regulation and, on the whole, does well in terms of compliance. However, over the next decade, there are likely to be many more and stricter controls.

For example, Solvency II[7] is a European directive expected to come into force in 2016. It aims to create a single, united European insurance market, allowing insurers in Europe to operate in any EU country, providing they are compliant with the directive.

Solvency II is likely to require a major overhaul of risk and capital management. This will include ensuring that information and documentation is readily accessible in response to formal disclosure requests. For example, the so-called 'Pillar 3' of Solvency II imposes tight turnaround times for disclosing qualitative and quantitative information. PwC warns that this will "present a significant operational hurdle".[8]

Insurers in all parts of the world are also facing a raft of local regulatory changes, including tougher provisions on customer protection and anti-money laundering.

Organisations across every industry need to employ best practice for document handling and records retention to ensure they comply with existing and incoming legislation. They should consider a document management partner that uses a rigorous and secure chain of custody and audit trail to maximise accountability and visibility of where information is located.

Regulation in the pharmaceutical industry is essential, and should be designed to ensure that products are safe and effective. However, over the next five years regulation will need to get smarter to support rapid product development and promote agreed global standards.

Emerging markets provide new opportunities as well as competitive challenges for Europe's pharmaceutical firms. On the one hand, there is growing demand for newer, more effective drugs, while on the other there is competition from fast-growing, less regulated firms in emerging markets. Product and innovation lifecycles are under immense pressure to become shorter and faster. Global pharmaceutical firms face the additional information challenge of filing and protecting intellectual property and patents in a number of different markets.

To ensure information management processes keep pace with changing legislation, all industries need to understand and consistently review the regulatory landscape and update policies accordingly. They must be able to demonstrate effective measures to minimise information risk.

The legal, insurance, pharmaceutical and banking industries – are growing and should be reviewing the way their information is managed. The approach today will not fit the demands of tomorrow.

The future is full of opportunities for these sectors, and the organisations that will benefit most are those who can best integrate, harness, use and protect information. Only then will they be in a position to analyse and extract the full value of their data and deliver personalised services that can increase loyalty and even open the door to new markets.

In the meantime, all industries need to employ best practice for document handling and records retention to ensure they comply with existing and incoming legislation. Ensuring the foundations of an effective data analysis process are in place will be crucial too. Institutions will need a solid framework to store, organise and access information. They should prioritise incoming data based on their goals; understanding what they need to keep and deleting the rest. They can then segment retained information and securely archive older that is not required.

It is absolutely critical to accept that as industries are evolving information management is now far from being a luxury or an additional nice to have should the budget allow. The accelerated change of pace and the need to mine information for value, all while holding it securely means that information management is more essential than ever before. The more information an organisation can gather and use, the greater the opportunity for product and service innovation and the greater the risk. Higher levels of risk are going to lead to stricter regulation. Effective information management will be essential in meeting the demands of the evolving landscape. ❖

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ABOUT THE AUTHOR

Phil Greenwood is UK Sector Director responsible for delivering information and records management solutions into the UK's largest Public, Private and NHS customers. He has over 10 years' experience working with UK and international records management. Phil has worked within service delivery and customer facing roles, as well as in general management roles within the outsourcing and information management industries. Legally qualified, Phil has also spent time as a fee earner within law firms and has a strong understanding of the way that information and services drive the core business of client organisations.

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LOOKING BACK, LOOKING FORWARD

The Roman god Janus was visualised as having two faces: one looking towards the past, the other looking towards the future. This article takes a backward look at how the records and information management profession got to where it is, the events and influences that have shaped it and then, like Janus, looks forward to where the industry might be heading.

By **Linda Shave**

THE BIRTH OF RECORDS AND INFORMATION MANAGEMENT AS A PROFESSIONAL INDUSTRY

In 1969, the Records Management Association of Australia was formed with branches evolving in Victoria, New South Wales and the Federal Office being established in the same year. This marked the dawn of professional records managers and records management in Australia.

State agencies in most cases operated under various Library and Archives Acts. It was the State of Victoria in 1973 that was first to establish a Public Records Act. Twenty-four years before South Australia who followed in 1997, closely followed by New South Wales in 1998, Western Australia in 2000 (although it should be noted that in 1990 it had established a Records Management Branch) and followed by Queensland in 2002 (see Table 1).

STATE	RECORDS MANAGEMENT AS AN INDEPENDENT ESTABLISHMENT
Victoria	Public Records Act 1973
South Australia	State Records Act 1997
New South Wales	State Records Act in 1998
Western Australia	State Records Act 2000
Queensland	Public Records Act 2002

Table 1 – Time line of the establishment of records acts

1985 – 1995: A DECADE OF CHANGE

Much of the focus of these first records acts was on physical records and resulted from the hard-copy document invasion experienced from the post-World War II era and then again by the introduction of word processing from 1985. In 1995, the introduction of webmail tools such as Microsoft Outlook and business applications marked the beginning of collaboration to provide new frameworks, standards, policies and guidelines.

The introduction of scanning moved the information and records management profession towards the concept of 'digitisation' – that is, the scanning of paper documents into an 'image' eg, JPEG or TIFF format which is then saved into a portable document format such as PDF.

1995 – 2005: THE SECOND DECADE OF CHANGE

The second decade of changes delivered a great many influences and drivers for records and information management and brought with it some exciting transformations, for example:

YEAR	DEVELOPMENT
1995	• The first HTML 2.0 standard was published • The Dublin Core Metadata initiative begins • The Internet Explorer 2.0 web browser is introduced
1996	• The Australia's Preserving Access to Digital Information (PADI) initiative receives government funding • The National Library of Australia's PANDORA Project (Preserving and Accessing Networked Documentary Resources of Australia) • The PNG 1.0 image format approved as a W3C recommendation
1997	• The National Library of Australia assumes responsibility for PADI
1998	• HTML 4.0 standard is released • The Extensible Markup Language (XML) standard is produced • The Encoded Archival Description (EAD) Version 1.0 is introduced
1999	• The Bluetooth, short range wireless networking standard announced • The Google search engine officially launched • The Resource Description Framework (RDF) is introduced with the aim to provide metadata interoperability across different communities
2000	• The XHTML 1.0 (transition to XML) becomes a web standard • Electronic Signatures Act is passed in the US with the aim 'to facilitate the use of electronic records and signatures in interstate or foreign commerce' • National Archives of Australia announces that it will accept digital records into custody and provide for their on-going access over time
2001	• Microsoft SharePoint web application framework and platform developed and launched • The industry begin to use the term ECM (enterprise content management) to refer to integrated solutions
2002	• Development of an international standard that defines the use of the Portable Document Format (PDF) for archiving and preserving documents – this will be known as PDF/A
2004	• The International Organization for Standardization publishes: ISO 15836:2003 – Information and Documentation, the Dublin Core Metadata Element Set • Google begins work with the libraries of Harvard, Stanford, the University of Michigan, the University of Oxford and The New York Public Library to digitise books from their collections and make them searchable in Google • The term Web2.0 was coined in 1999 by Darcy DiNucci and was promoted by Tim O'Reilly at the Web 2.0 conference in late 2004. Web 2.0 referred to the second generation of services available on the world wide web that would let people collaborate and share information online
2005	• USB Flash Drives prosper

Table 2 – The second decade of change

2006 – NOW: THE THIRD DECADE OF CHANGE

The third decade of change has brought with it some thought-provoking developments. It is interesting to note that the term Web2.0 was devised in 1999 with Web 2.0 services such as on line forms for people collaboration and sharing information over the internet emerging from 2004. Open source Enterprise Content Management products surfaced around 2006. Handheld digital devices and software-as-a-service (SaaS) emerged around 2007 and online web forms 'smart forms' emerged under the banner of Gov2.0 in 2008.

From 2010 to date the acceleration of technology, savoir-faire and the disruptive forces of Cloud, Big Data, SaaS and Mobile information centric solutions are pushing for the next-generation of Government (Gov3.0) with many now mandating government agencies to buy 'cloud first' solutions and the concept of 'personal cloud' gradually replacing the PC is evolving.

YEAR	DEVELOPMENT
2006	• The National Library of Australia and the Australian Partnership for Sustainable Repositories develop AONS, a system which automatically monitors the file formats of digital resources in a repository • Twitter is founded and establishes the birth of a new social networking phenomena • Microsoft with SharePoint enters the entry level market segment of ECM • Open source ECM products are becoming available eg, Alfresco • Government standards, including ISO/IEC 27001:2005 which formally specifies a management system that is intended to bring information security under explicit management control are factors in developing and deploying ECM
2007	• Apple releases the iPhone marking the shift to handheld digital devices • Software-as-a-service offerings available eg, SpringCM
2008	• The new generation of e-government, labelled Government 2.0 (Gov 2.0), due to its foundations in Web 2.0. Sees all levels of government start developing on line web forms for government services also known as 'Smart Forms'
2009	• Government services move towards eBusiness with on line eServices and on line payment facilities • The Australian Government released the *Australia's Digital Economy: Future Directions* paper

IMAGE: SGM / SHUTTERSTOCK.COM

YEAR	DEVELOPMENT
2010	• The first iPad is released • Introduction of HTML5
2011	• Cloud computing • Mobile applications and media tablets • Social communications and collaboration
2012	• Mobile-centric applications and interfaces • Contextual and social user experience • Internet of Things (terminology appearing at CIO meetings) • App stores and marketplaces take off • Next-generation analytics • Big data • Cloud computing – as a disruptive force • Government digital strategies
2013	• Records management shifts to information governance • Mobile applications and HTML5 • Personal cloud (the personal cloud will gradually replace the PC) • Enterprise app stores • Organisations will deliver mobile applications to workers through private application stores • Smart machines, 3D printing and digital business • Mobile information centric solutions • The generation of government will be known as Government 3.0 (Gov 3.0)
2014	• Dynamic/Virtual BPM models to digitalise and reinvent business processes • Semantic web • Updated government ICT strategies mandating government agencies to buy 'cloud first'

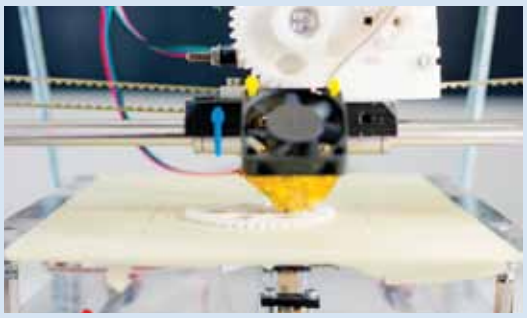

Table 3 – The third decade of change

LOOKING FORWARD TO WHERE RECORDS AND INFORMATION MANAGEMENT AS A PROFESSIONAL INDUSTRY MIGHT BE HEADING

The third decade of change has brought with it some thought-provoking developments. Mobilization, cloud, SaaS, big data and the accelerated speed in which new and evolving technologies and solutions continue to progress are challenging a number of the existing tools, strategies, methodologies and frameworks that records and information professionals work with every day.

The RIM Professionals Australasia mission is '*To advance recordkeeping and information management as a profession, whilst developing and enhancing excellence in information management*'. I believe that this mission statement is still sound and strong. It can live up to the new digital era, big data and mobile information centric challenges and government drivers for 'cloud first' initiatives such as Software-as-a-Service (SaaS) and Business Process as a Service (BPaaS).

By capitalising on our past knowledge, mistakes and learnings, dedication, passion, creativity, leadership and collaboration, we can embrace these new tools and opportunities in order to move forward and create new opportunities for the profession. It may require some creative thinking, leadership and agility to maintain both the old physical and new digital hemispheres. We will need to develop new tactics that drive change forward and continue to provide excellence in records and information management.

Nelson Mandela said "Where you stand depends on where you sit". This is very true of our profession today. The future is bright provided we learn from the past and look to the future. We must take Julius Caesar's advice about opportunities and 'seize the day'. ❖

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Linda Shave is a researcher, consultant and analyst in areas of virtual information asset management, business process management, workflow automation, corporate governance and risk management. She is a former CEO, CIO and a member of numerous professional organisations.

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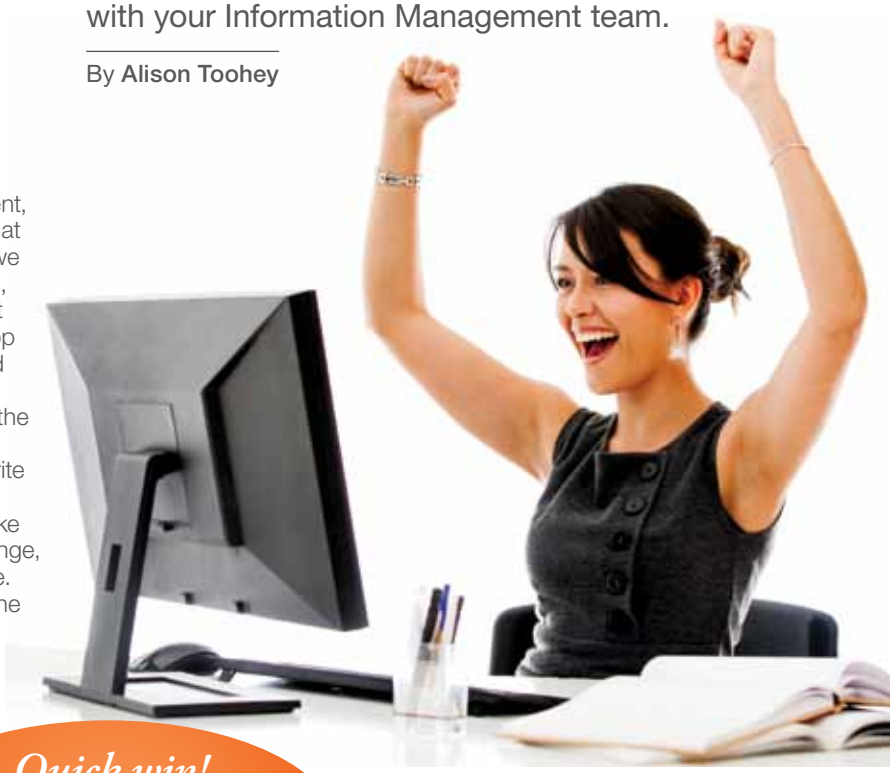
LOOKING AT THE SMALL PICTURE

Wannon Water is a regional water corporation servicing the South West region of Victoria. This article highlights the advantage of taking time to look at the small picture and identify small projects that can return quick wins and increase the end users' experience when they are dealing with your Information Management team.

By **Alison Toohey**



Big Data, Information Governance, Open Government, Amendment to *Privacy Act*… these are all terms that we know off by heart: we hear them in seminars, we discuss them in professional groups and meetings, we try and get our key stakeholders to understand what we mean and how important it is to ensure we are on top of 'the next big thing'. This all takes time, resources, and understanding. By the end of all the discussion, we are exhausted, daunted and somewhat disillusioned about the enormous task ahead.

Stop! Take a little time to think about one of my favourite terms, 'the quick win'. The quick win allows us to break down the huge projects we all have in front of us and take a little time to have a look at the 'small picture' for a change, instead of always being concerned about the big picture. Don't get me wrong, I'm not saying we should neglect the big picture in our ongoing drive to work out what's next on our ever-growing task list. Taking the time to have a quick look at the small picture may allow you time to take a breath and identify areas that could take care of important steps within your project, yet may take little resources to get them completed. Recognising this gives you a quick win for the team and you bask in the kudos and appreciation that sometimes identifying small positive changes can make to your end users' recordkeeping experience.

Quick win! Records manager – 1; End user excuses – 0!

How often do we hear the phrase "I just want to be able to find what I want in (*insert your EDRMS name here*)!"? Records managers and officers know how to find what an end user is after within a few clicks, but trying to convey that to our end users can sometimes be nigh on impossible.

So what's the quick win solution here? The first question should be "What do you want to find in TRIM?" Response: "I want subdivision information and connection applications, and trade waste agreements; that's what I use. That is what I need to search for."

So how can we make that happen for our end user? Make sure you know how your EDRMS works, and take the time to utilise all of the resources within your EDRMS, not just the obvious search strings or features. Creating quick 'saved searches' for this particular group means that now all they have to do is click on the saved search that runs the filtering for the type of documentation they want (eg, 'Trade Waste' in the title and 'Agreement' as a record type) without them having to do the work, and all they need to do is enter the address, or street, that they are looking for. This example of a recent quick win took less than 20 minutes to create in the EDRMS and farm out to the team of users, but now all they need to do is click on one of their team saved searches and type in the address they want. It's not the prettiest solution and it didn't require a workshop to create a customised development, but it answers a question quickly and fulfils a need in the short term. Quick win! Records manager – 1; End user excuses – 0!

Having scored here, don't just leave it at that. Make sure you get the news out about your win. Whether it's to your line managers or to other departments so that they can jump on the bandwagon, make sure you publicise your win. Don't be humble, or if you feel you need to, identify who you can go to and get them to publicise it for you.

So why don't you add to your 'What's next?' list an entry to take a look at what you can do to gain some quick wins in your organisation. It will give you great exposure and will help the confidence of the team. ❖

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Alison Toohey ARIM is Records Team Leader at Wannon Water. Alison has worked in recordkeeping within the water industry for seven years. She is currently assisting in the technical development of Wannon Water's Plans Database within TRIM to ensure a fast and accurate retrieval of all asset plans. She works closely with team members to provide functional and useful recordkeeping and EDRMS training to Wannon Water employees, and works on identified projects to enhance the end user experience when working with the organisation's information.

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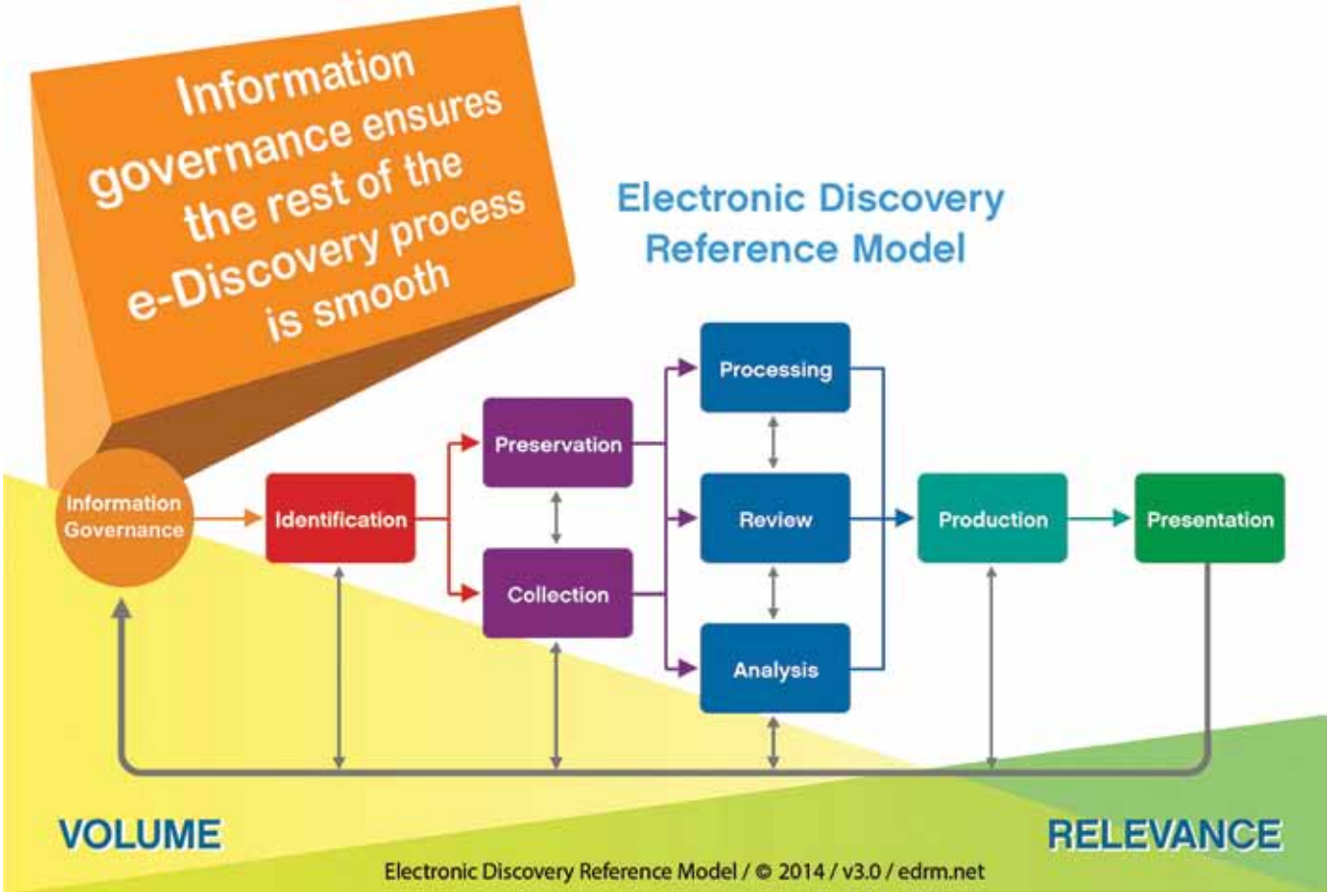
e-Discovery and information governance – what's the difference?

Moving beyond e-Discovery to full information governance means having well-defined corporate policies for information, enforcing those policies in-place at the information sources, and measuring the effectiveness of the program to ensure corporate goals and objectives are met.

By **Pierre Van Beneden**

In the traditional definition, e-Discovery typically refers to the process of identifying electronically stored information, which must be provided as part of civil litigation or some other legal procedure. However, over the past couple of years, e-Discovery has been expanding to cover the process of identifying all electronically stored information in an organisation. Think of this as leveraging the processes traditionally used to support discovery of information for legal procedures and applying those processes to all electronically stored information. It is taking what typically has been a reactive process to a legal event, and doing it proactively resulting in a good inventory of information assets within an organisation.

This is a good thing. You need to know what you have, how it is used, what value it provides to the organisation, so that the organisation can understand what it needs to keep, for how long it needs to keep it, and what can be disposed of. By understanding what the information assets are and the value each piece might provide to an organisation you are able to categorise that information for future use, or immediate disposal due to the information being outdated, redundant, or simply a work in progress. This is consistent with the Electronic Discovery Reference Model (EDRM), which is an applied best practice for many organisations. The EDRM was recently amended to include 'Information Governance' as a key component by formally renaming 'Information Management' to 'Information Governance' on the left hand of the model. This helps enforce the link between eDiscovery and information governance. The EDRM stipulates that you begin with a large volume of information to which you apply an identification and analysis process to determine what is relevant and must therefore be reviewed and preserved.



The discovery and categorisation of information typically enabled through e-Discovery allows an organisation to identify proper retention controls, storage hierarchy migration criteria, meta-data capture, security, privacy, and access rights, etc. Defining this information and enforcing the controls based on what is defined requires a true information governance platform. Information governance provides the facilities to define the policies by which information should be controlled, enforces those policies at all of the information sources, and measures the effectiveness of the policies. It does this while taking into account all of the jurisdictional laws and regulations that must be considered relative to the information being managed. Information governance exceeds the basic capabilities provided by e-Discovery. The discovery and inventory of information assets within an organisation is a necessary process and part of an overall information governance strategy, but on its own discovery and inventory do not provide full information governance. In fact, for some organisations, e-Discovery may be viewed as a starting point and subset of full information governance.

During litigation, often times an organisation may be required to place legal holds on any relevant content and ensure 'defensible' controls are in place to prevent spoliation. There have been several recent examples highlighting the importance of the 'defensible' part of defensible disposition. Most famously, Apple recently sought $2.5 billion in damages in a patent infringement lawsuit against Samsung. When Samsung failed to turn off its auto-delete feature on emails, despite legal hold implications, a judge determined that Samsung must have been trying to cover up information. The auto-delete was deemed spoliation – the indefensible disposition of content. The jury was then instructed to assume that the emails deleted would have contained information that would have hurt Samsung's case. With $2.5 billion on the line, deleting information without a clear, defensible audit trail is costly mistake.

In 915 Broadway Associates LLC v. Paul, Hastings, Janofsky & Walker, LLP, 34 Misc. 3d 1229A, a $20 million case was thrown out due to spoliation. One principal on the plaintiff side of the case actively deleted relevant emails, and like Apple v. Samsung, the plaintiffs did not suspend the automated destruction of company emails. The court ultimately dismissed the case.

PROACTIVE VS. REACTIVE INFORMATION GOVERNANCE – WHERE TO START?

The challenge is to have an information governance program that addresses both the historical content in the organisation as well as future-generated information. Tackling and achieving both at the same time may be a daunting task, and often an organisation must decide where to invest its time and resources. A great place to start is by better understanding

the information governance program drivers. Stakeholders must be on the same page in terms of objectives, priorities and timelines.

Objectives and priorities will vary by organisation. Some organisations will focus on minimising risk, others on avoiding litigation. Some may focus on reducing the cost of storage and associated IT spending, while some may look to enhance the value that is derived from corporate information assets. These are all realistic objectives that can be achieved with a solid information governance platform. However, it is critical for organisations to establish some goals at the beginning of the process so they can measure the effectiveness of their implementation and ensure that they are achieving desired goals and meeting objectives.

With goals and objectives established, the organisation can deploy a systematic and repeatable process to discover, classify, and enforce policy on all of the organisation's information assets. This includes legacy and new content across organisational and jurisdictional boundaries, IT systems, content repositories, shared drives, desktops, cloud storage, and even paper archives. Employees don't like 'governance', so the organisation will want to ensure that its approach to information governance is non-intrusive to the business.

Once deployed, a good information governance platform will provide the metrics and auditing facilities to ensure the organisation is meeting its goals and objectives. This could include audit trails and reports that validate that the organisation is in a position to defend corporate retention and disposition of records. It should also include executive-level dashboards that demonstrate the effectiveness of the information governance program. These could include reporting facilities that show reductions in storage use and related cost savings based on defined retention policies, as well as reports that summarise all outstanding legal holds across the organisation.

The bottom line: moving beyond e-Discovery to full information governance means having well-defined corporate policies for information, enforcing those policies in-place at the information sources, and measuring the effectiveness of the program to ensure corporate goals and objectives are met. ❖

Scan the QR code or go to www.rsd.com to download "Records Management Is Not Enough: 10 Reasons Why You Need Information Governance."

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.

PREVENTING FIRE IN RECORDS STORAGE ENVIRONMENTS

When there was a fault in one of the power factor correction units at Sydney Adventist Hospital, it was fortunate an oxygen-reduction fire prevention system had been installed just a few months before.

By **Janelle Mattila**

story snapshot

Can you risk a fire in your records and information centre?

An oxygen-reduction fire prevention system prevents fire proactively instead of suppressing a fire after it has started and damage and business interruption has occurred.

An oxygen-reduction system creates an environment of breathable, controlled oxygen-reduced air that prevents fire ignition.

The system is safe for people and the environment.

Australia's first oxygen-reduction fire prevention installation took place in June 2013 at the Sydney Adventist Hospital (SAH). The SAH is NSW's largest single campus private hospital, with approximately 2,300 staff, 500 volunteers and 750 accredited medical practitioners.

A few months after the installation of the oxygen-reduction system, there was a fault in one of the hospital's power factor correction units.

The oxygen-reduction system – **which creates an environment of breathable, controlled oxygen-reduced air that prevents fire ignition** – protects several rooms at the SAH, including the power factor correction room and the

Above: Bernard Jakovac, Director of Engineering Services, Sydney Adventist Hospital; **Right:** FirePASS® FP-500 Oxygen reduction fire prevention system, Sydney Adventist Hospital

hospital's main switch room that feeds the operating theatres; a volume of approximately 500m^3. The very early smoke detection apparatus (VESDA) system detected the fault and the oxygen-reduction system prevented a fire starting.

Bernard Jakovac, Director of Engineering Services at SAH, said: "The hospital is very pleased with the oxygen-reduction system and we think it is a great solution for the environment it is protecting. Our insurers are also very keen on the system and we are considering this for other high-risk areas across the large campus. We believe the oxygen-reduction fire prevention system is a wonderful product and a great innovation in fire prevention".

Benefits of oxygen-reduction fire prevention

- Certainty of avoiding the outbreak and spread of fire
- Continuous fire prevention without any interruption; no refilling or replacement required
- Straightforward installation process compared with a sprinkler system or a traditional fire suppression system
- Very small footprint and little building space required
- Environmentally friendly – no chemicals used
- Simple to install and maintain
- Easily installed into existing premises as well as newly built spaces.
- Retaining access to protected areas at any time
- Scalable to fit any sized area, large or small
- Slows oxidation and reduces deterioration of documents, materials, equipment and artefacts.

HOW DOES OXYGEN-REDUCTION FIRE PREVENTION WORK?

Oxygen-reduction fire prevention uses a technology that produces oxygen-reduced (hypoxic) air by partly filtering out oxygen from ambient atmospheric air. Normal atmosphere contains 21% oxygen. The hypoxic air injected into a protected space is 15% oxygen and 84% nitrogen (1% is made up of argon, carbon dioxide and other gases). A fire cannot start in this environment. Common flammable solid materials and liquids cannot be ignited with an oxygen level below 16%.

Fire must have three elements to ignite and spread: heat, oxygen and fuel. Removing any one of these three will prevent fire. The basic principle of oxygen-reduction fire prevention is that a fire will not start without sufficient oxygen.

This system works by taking oxygen out of the air as opposed to other systems that inject pure nitrogen into the area to be protected.

HOW DOES OXYGEN-REDUCTION TECHNOLOGY DIFFER FROM CONVENTIONAL FIRE PROTECTION?

Oxygen-reduction technology provides a continuous level of prevention rather than discharging an extinguishing agent once a fire starts, as is the case with traditional fire suppression systems. Oxygen-reduction fire prevention systems also have a smaller footprint compared to conventional gaseous fire suppression systems.

SAFE FOR PEOPLE AND SAFE FOR THE ENVIRONMENT

Oxygen-reduction fire prevention uses ambient air to produce breathable air for fire prevention. It is safe for people and safe for the environment. No chemicals or gases are involved. The oxygen-reduction fire prevention agent is simply oxygen-reduced (hypoxic) air.

Hypoxic environments created for the purpose of fire prevention are precisely controlled and monitored reduced-oxygen environments. They should not be confused with other environments where hypoxic conditions can occur in an uncontrolled, unwanted or unexpected way. Oxygen-reduction fire prevention systems are clean-air systems.

There has been extensive medical research in the UK, Europe and Australia to support the safety of working in a hypoxic environment of oxygen at 16% and below.

At sea level 15% oxygen content is equivalent, in terms of human physiology, to normal atmospheric air at an elevation of around 2,700 metres (9,000 feet) above sea level or being on a commercial flight. Millions of people around the world live at altitudes equivalent to exposure at or below 15% oxygen concentration at sea level.

Hypoxic air environments are currently used for physical training and rehabilitation of athletes, as well as in medical research.

WHAT ARE SUITABLE ENVIRONMENTS FOR AN OXYGEN-REDUCTION FIRE PREVENTION SYSTEM?

Oxygen-reduction fire prevention is best suited to any situation that requires the highest levels of fire prevention, and where uninterrupted operation is essential including high-value areas such as records storage and archive environments, data centres, and electrical rooms.

Oxygen-reduction fire prevention systems can be implemented as an alternative, but also as a complementary or supplementary option that enhances the conventional fire-safety means without interfering with their performance.

Oxygen-reduction not only prevents the outbreak of fire, avoiding any collateral damage by extinguishing agents, it also slows oxidation due to the reduced oxygen content of the hypoxic air produced. The hypoxic air reduces deterioration of irreplaceable items such as archived documents, museum exhibits, artworks and rare artefacts.

HOW DOES THE SYSTEM MONITOR OXYGEN LEVELS?

The system is designed to enable the oxygen concentration levels to be monitored on a continual basis by a minimum of two independent oxygen sensors, in different locations, in each protected space. The monitoring units are typically placed at eye level, at an appropriate distance from the door of the room. This is to provide for monitoring of oxygen conditions and alert if doors are wedged open or not closed properly, whilst minimising the amount of false, high oxygen alarms.

The oxygen sensors transmit to monitoring and control points (eg, the fire alarm panel and the building management system), as required.

Performance indicators show, as a minimum, for each protected space:

- Oxygen concentration level as indicated by every oxygen sensor
- High and low oxygen alarm conditions
- An output indicating the operation of any other system alarms

HEALTH AND SAFETY

The design aim of any oxygen-reduction fire prevention system is to create and maintain an atmosphere in an enclosure that is capable of preventing ignition of combustibles found within the protected area whilst simultaneously remaining safe for the occupants.

A risk assessment, in accordance with AS/NZS ISO 31000-2009, *Risk management – Principles and guidelines*, shall be carried out prior to any installation of an oxygen-reduction fire prevention system to ensure safety of both people within the protected area and those outside the protected area that may be exposed to output air from the oxygen-reduction fire prevention system. Such an assessment shall detail as follows:

1. The safeguards employed for persons having access to the protected space and oxygen-reduction fire prevention system equipment
2. Limitations to the number of people allowed in the protected enclosure and the level and duration of physical activity permitted to be undertaken

Applications

- Archive rooms
- Data centres
- Server rooms
- Electrical switch rooms
- Power factor correction rooms
- Control rooms in power plants
- Telecommunication rooms
- Laboratories
- Libraries
- Museums
- Warehouses
- Hazardous materials storage
- Food storage areas / deep freeze / cold storage rooms

INSTALLING AN OXYGEN REDUCTION FIRE PREVENTION SYSTEM

Oxygen-reduction fire prevention systems come readily mounted and tested. Once on site, the system is connected to the room sensors and to the power supply. The system is then connected to the rooms via the installed tubing. The by-product oxygen-enriched air is vented outside.

Oxygen-reduction fire prevention systems do not require rigid piping within the protected spaces. The only requirement is simple, minimal pressure piping to each protected area and to the ambient air, along with wiring of the oxygen monitoring units in the protected areas.

It is recommended that protected areas be equipped with highly sensitive smoke detectors such as VESDA or equivalent. This is to ensure that any smouldering combustion from cable faults, for example, is reported in its incipient stages.

A comfortable, breathable atmosphere is created inside the protected space by the ongoing ventilation with fresh, hypoxic air.

SEALING THE ROOMS

It is essential the protected area is well sealed in order to minimise the permanent leakage of air in and out of the room.

The key factor relating to running costs (energy consumption and maintenance) of an oxygen-reduction fire prevention installation is the leakage. This is the sum of permanent leakage of the protected area and the temporary leakage created by door openings. Investing in improving the sealing of the protected areas will have a direct impact on running costs, as they are directly proportional to the leakage rate achieved. Typically, the payback for such improvements is less than one year.

All spaces in the protected area must have split-type air cooling or closed, dedicated air recirculation systems.

To evaluate the current leakage of the area to be protected, it is recommended to perform an integrity fan test (accurately predicts the room's pressurisation and identifies any leaks in the room), prior to any works being commenced.

VENTING / COOLING

The area where the compressors and filtration units are housed is required to be well-vented in order to allow a permanent supply of fresh, ambient air to the compressors. Alternatively, the room can be cooled with chillers; this will also require a supply of fresh air. There is a requirement for a small drain in the machine room for the wastewater of the condensate cleaner.

MAINTENANCE

The highly reliable hypoxic air generators require very little upkeep and can operate for decades with proper maintenance. A maintenance cycle of six months is typical. Regular monthly inspections are recommended to ensure a fire preventative atmosphere is maintained. This cycle applies if the supplied fresh air is compliant with the required quality. If the air quality is lower (in the event of dust, humidity, temperature etc) the cycle of filter changes needs to be reduced.

LIMITATIONS ON INSTALLATION

Oxygen-reduction fire prevention systems will not be installed for use in areas where sufficient infiltration control cannot be achieved; an alternative source of oxygen is present; oxidizing agents exist that have the potential to reduce oxygen concentration by chemical reaction (eg, chlorine); substances or processes exist that evolve gases capable of modifying the atmosphere such that the oxygen concentration is reduced (eg, toxic displacement). ❖

ABOUT THE AUTHOR

Janelle Mattila is Group Marketing Manager for the ARA Group, an Australian company that delivers facility and infrastructure solutions for commercial, industrial and government sectors. Janelle liaises with operational and technical teams in ARA's five divisions (fire, electrical, mechanical, security and manufacturing) in the development and delivery of communication, marketing and customer relationship strategies.

Janelle has worked with ARA for nine years and specialises in researching and writing about ARA's innovative technologies, services and products sourced from the latest findings around the world. Janelle has written articles that have appeared in Australian and international publications.

✉ For more information on oxygen-reduction fire prevention systems, Janelle can be contacted at janelle@aragroup.com.au or visit www.arafirepass.com.au

Records management: being prepared should disaster strike at home or at work

RIM Professionals Australasia has developed two products that can help you with some basic preparation for the maintenance and protection of records in the event of a disaster occurring.

Bushfires, floods, cyclones, earthquakes and sinkholes are just some of the natural disasters suffered every day somewhere in the world. Add to that the other 'disasters' which can occur in homes and businesses such as electrical fires and smoke damage and you are looking at a whole lot to deal with. Insurance, clean up, re-building, loss of property, a very worrying time to be sure.

So in the midst of this wouldn't it be reassuring to know that you have done some basic preparation which will make life a little easier in the rebuild and ensure you haven't lost everything, or that at least you can recreate some things without a lot of stress?

THE ONLINE GUIDES

Records & Information Management Professionals Australasia has developed two products that you cannot afford not to know about:

1 Personal Continuity Plan for Household Records

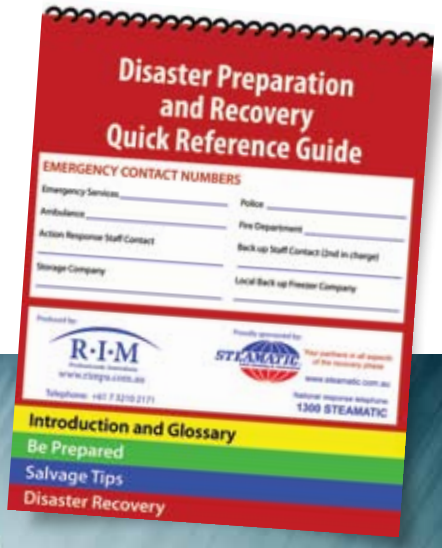
2 Disaster Preparation and Recovery Guide

1 The first is a simple to follow, quick reference guide to assist you in identifying and preparing important documents, photos and other information if there is potential for a disaster such as fire, flood or cyclone. This document is intended as a guide for the maintenance and protection of personal records in the event of a disaster occurring. It is intended for use by members of the public regardless of recordkeeping experience.

It is free to download from the RIMPA website: rimpa.com.au/resources/continuity-planning/

2 The Disaster Preparation and Recovery Guide is available in hard copy or electronic versions and is aimed at business. This quick reference guide provides easy-to-follow tips for preparing for a disaster, recovery tips for cleaning up after a disaster and salvage tips for saving as much as you can. It is not a replacement for professional assistance from a conservation/preservation expert but it offers practical advice for things that you can do to make their job easier and reduce your losses. It is available in either electronic format or hard copy, with a bonus CD from the sponsor Steamatic provided with the hard copy. ❖

Both versions are available for purchase through the RIMPA Online Store: members.rimpa.com.au/scripts/cgiip.exe/WService=RMAA/ccms.r?PageId=10089



inForum 2014 – What's Next?

Time is running out to register for this year's conference, from 7 to 10 September at the Adelaide Convention Centre, but it isn't too late yet! To view or download the program, or to register before 30 August, go to: www.inforum.net.au

This year's conference, with the theme 'What's Next?' will theorise where records and information management is heading as a resource, an industry and a profession while also offering observations on how it got to where it is.

Many of our keynote speakers were highlighted in the May issue however we are pleased to announce our opening keynote is the Lord Mayor of Adelaide.

Opening Keynote Presentation

Digital future of our cities

Right Hon Stephen Yarwood, Lord Mayor of Adelaide

Lord Mayor Stephen Yarwood will discuss the future of cities and how advances in technology will change the way in which governments interact and share information with the community. This will include the benefits of combining city-wide, free WiFi with smart buildings and transport technology, enabling a more efficient, accessible and enjoyable city experience.

Stephen will outline how classical challenges of community engagement can be overcome in a new era of communications using social media; bypassing traditional media and providing citizens with direct access to their elected representatives. Stephen will also canvass the impacts of open data for governments, business and the community.

ABOUT THE SPEAKER

Stephen is a town planner by trade and has post-graduate qualifications in regional and urban planning and environmental studies and an MBA. Stephen was also awarded a 2013 Planning Excellence Award for the Promotion of Planning by the Planning Institute of Australia (SA) and the Cycling Promotional Fund's 2013 Bicycle Achievement Award for Contribution by a Politician. He has worked as a researcher for the South Australian Parliament and was the principal planner at the City of Playford for six years.

Stephen was first elected to Adelaide City Council in 2007 as a representative of Central Ward and served as Deputy Lord Mayor in 2008-09. In 2010 he was elected as the City of Adelaide's youngest Lord Mayor at the age of 39. In addition, Stephen is the chair of the Adelaide Park Lands Authority, dual chair of the Reconciliation Committee and also sits on the Capital City Committee, Rundle Mall Management Authority and Adelaide Festival Board.

Stephen is passionate about Adelaide and describes himself as an urban futurist. He has an infectious sense of optimism and a high degree of energy, which he harnesses in striving to ensure Adelaide reaches its full potential.

He is an electric car and cycling enthusiast who has travelled extensively.

Other presentations

Are we ready? Do we have a say in the future of digital recordkeeping as we move towards Gov3.0 and semantic web?

Linda Shave

This session will explore the importance of RIM professionals understanding big data, open data, open source, semantic web and the next generation of government – Information Centric Gov3.0. This presentation discusses our need to embrace change, build relationships for collaboration and communication. We need to have a voice and we need to be become an integral part of the digital revolution.

Creative innovation and leadership for 21st century RIM practitioners looking for opportunities in the digital revolution workshop

Linda Shave

Technology is pushing the frontiers of knowledge and provides the opportunity for innovation. Innovation is about human creativity and imagination for solving problems, creating solutions and providing opportunities. This facilitated workshop aims to develop innovated and creative discussion. It will touch on some industry buzz words such as cloud, big data, open data, information-centric, semantic web, auto-classification, embedded metadata and multi-function intelligent mobile devices. It will provide you with ideas on how the future RIM professional might utilise existing technologies to track, report and manage virtual records regardless of their location.

All information gathered at this workshop will be documented and presented to the RIM Professionals Australasia Board as a research paper and each participant will be acknowledged and provided with a copy.

Do not miss this opportunity! Be part of the Think Tank thought leadership team.

ABOUT THE SPEAKER

Linda Shave was the winner of the J Eddis Linton – Information Proficiency/Sigma Data Outstanding Individual in 2013. She is a researcher, consultant and analyst in areas of virtual information asset management, business process management, workflow automation, corporate governance and risk management. She is a former CEO, CIO and is a member of numerous professional organisations.

OpenText Breakfast Session: Introducing OpenText ECM as a Service

Atholl Johnstone and Ian Poulton

Whether this involves better self-service capabilities, faster time to complete public requests or the ability to communicate across multiple channels, the common challenge consists of how do government agencies better manage their content to reduce time to service?

OpenText is uniquely placed to help agencies deliver a seamless end user digital experience. Longer term, the OpenText Agenda 2020 vision involves helping organisations manage their way through the digital disruption evolution that is taking place today servicing more demanding and digitally aware citizens.

Join OpenText at this one-time breakfast session to view a live demo which will track 'a day in the life' of a document, from initial correspondence and collaboration, through the approvals process, and finally the steps taken to manage external collaboration. Learn more about ECM 'as a service' components and the value-add for government agencies who are looking to drive transformation towards a digital organisation. Hear about pricing structure, support offerings, and professional services, and come prepared with a few questions of your own!

OPENTEXT
THE CONTENT EXPERTS

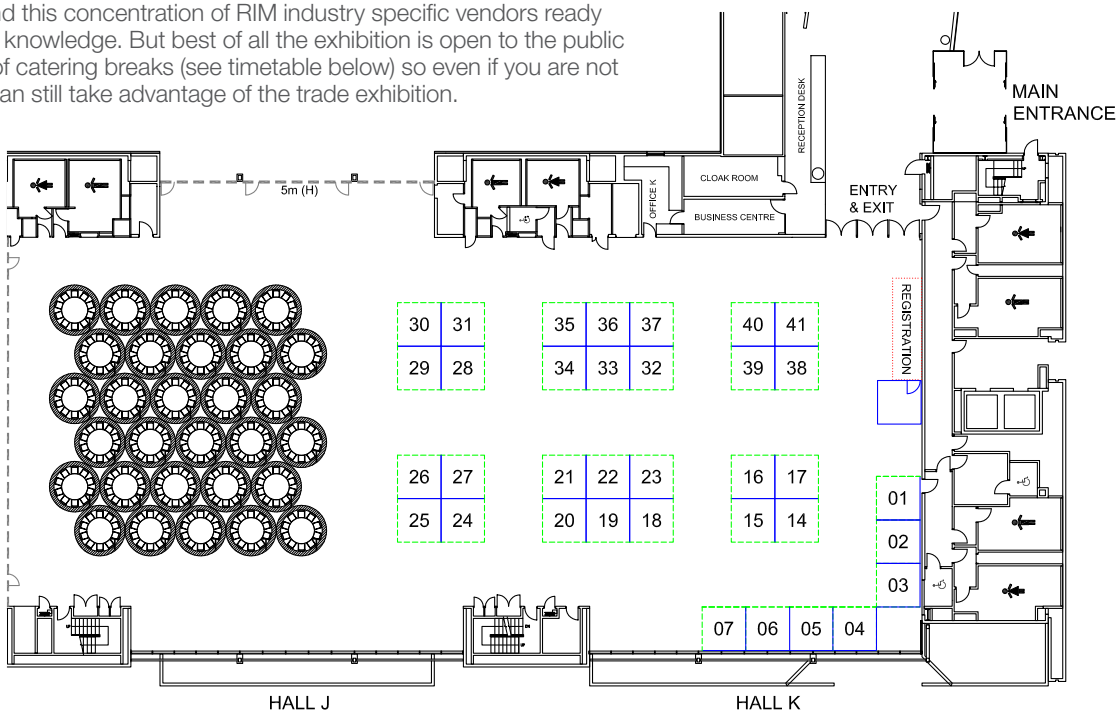
ABOUT THE SPEAKERS

Atholl Johnstone is director, Solutions Consulting, APAC at OpenText, and Ian Poulton is Senior Solutions Consultant at OpenText.

The exhibition

The trade exhibition is an integral part of inForum. Every stand is related directly to the records and information management industry and it is a unique opportunity for delegates to see a range of products, services and software solutions and discuss them with company representatives at their leisure over several days. Nowhere else will you find this concentration of RIM industry specific vendors ready and willing to share their knowledge. But best of all the exhibition is open to the public for free access outside of catering breaks (see timetable below) so even if you are not attending inForum you can still take advantage of the trade exhibition.

ADELAIDE CONVENTION CENTRE



TRADE EXHIBITION PUBLIC ACCESS TIMETABLE

As part of inForum, the largest records and information management convention held in Australia, we would like to invite you to visit the RIMPA and other stands during the public opening times. There is no charge to visit the Trade Exhibition during these times.

We look forward to seeing you there!

The inForum Trade Exhibition (Hall J/K, Adelaide Convention Centre) is open to the public during the following times:	
Monday 8 September	9.30am-12.00pm and 1.30pm-4.30pm
Tuesday 9 September	9.30am-12.30pm and 1.30pm-4.30pm
Wednesday 10 September	8.30am-12.30pm

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OPENTEXT THE CONTENT EXPERTS

Exhibitors (as at 1 July 2014):

Stand #	Exhibitor	Stand #	Exhibitor
1+2	TIMG (The Information Management Group)	24	TBA
3	Kodak Alaris	25	Information Proficiency / Sigma Data
4+5	RIM Professionals Australasia	26+27	Proscan
6+7	HP Autonomy	28+29	EzeScan
14	The One Umbrella	30+31	Laserfiche
15	Redman Solutions	32	Records Solutions
16	Linked Training / Change Factory	33+34	Objective
17	RecordPoint	35+36	Grace Records Management
18	Fuji Xerox	37	Kodak Alaris
19	Allfields	38	Alfresco
20	OpenText	39	Kapish
21	RSD	40	Votar
22	Steamatic	41	Recall
23	Fort Knox		

New conference app

There's an app for just about everything nowadays, and Records and Information Management Professionals Australasia is excited to announce that we will have one too – live on 1 August 2014! Our mobile app will bring the experience at inForum to a new level. Attendees will be able to see more, do more, and get more value out of the event – right from their mobile device.

FEATURES OF THE APP:

- See the full event schedule sorted by day, speaker, and/or track, and rate the sessions directly on the app
- Connect and exchange contact details with other attendees
- Share your event experiences on Facebook, Twitter, and LinkedIn
- Follow the event on Twitter at #inForum2014
- Find session and exhibitor locations with maps of exhibit halls and session rooms
- See details about all of the exhibitors and sponsors
- Find social functions with geo maps of the city
- Catch notifications about networking opportunities, contests, and other breaking event news pushed directly to your device

To download and install the app, click http://crowd.cc/ <http://crowd.cc/> RIMPA from your device. Or download the app directly from iTunes or Google Play using this Event Download URL: https://crowd.cc/s/2YW0 <https://crowd.cc/s/2YW0>. This URL will help you to directly download the app. By typing in this URL in your device web browser, it will direct you to the app store to download this app. If you have a Blackberry or Windows based phone then the link for you is: https://crowd.cc/inforum

This app performs optimally whether or not there's an Internet connection. When connected, the app downloads updates (like a schedule or room change). Once downloaded, all of the data is stored locally on the device so it's accessible even if there's no Wi-Fi. ❖

Future inForum dates

inForum 2015 – Melbourne
30 August – 2 September

inForum 2016 – Perth
11-14 September

GOOGLE PLAY/APP STORE IMAGES: 360B / SHUTTERSTOCK.COM

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

The Recall RIM Professionals Australasia Article of the Year Award will be presented next month, along with a host of other RIM Professionals Australasia awards, at the inForum convention in Adelaide in September.

All articles published in the last four issues of *iQ* – November 2013 to this August 2014 issue – written by RIM Professionals Australasia members or employees of organisations which are corporate members of the RIM Professionals Australasia, 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 RIM Professionals Australasia 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 Linda Shave for her article 'The changing landscape of information and records management' (August 2013).

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

- **NOV 2013**
  - *Lost, stolen or strayed in Britain's dirty data warfare.* Mike Steemson
  - *Screen capture software and follow-up strategies in an EDRMS deployment.* Kaye England
  - *Information skills for the digital workforce.* National Archives
  - *Like water dripping on a stone.* Adelaide Parr and Sally Newton
  - *Building a stronger records team without a bigger budget.* Michelle Linton and Kevin Dwyer
  - *A loyal sceptic is found.* Katharine Stuart
- **FEB 2014**
  - *Big data needs big classification.* Andy Carnahan
  - *Collaboration is key in open source solutions.* Linda Shave
  - *We need that in paper… or do we?* Kate Cumming
  - *Folders are not the solution, they are the problem.* Trish O'Kane

  - *Records management: back to the future.* Michelle Linton and Kevin Dwyer
  - *50 shades of record keeping.* Chris Simpson
- **MAY 2014**
  - *Managing demographic diversity in the public sector.* Suparna Chatterjee
  - *Business intelligence and big data: realising the value.* Suzanne Jones
  - *Transforming business: Making life simple.* Linda Shave
  - *Not the 6 o'clock news.* Michelle Linton and Kevin Dwyer
  - *Training staff: "I just put it in the bin".* Kylie Welch
- **AUG 2014**
  - *Bridging the record management skill gap.* Michelle Linton and Kevin Dwyer
  - *What's next? Looking back, looking forward.* Linda Shave
  - *Looking at the small picture.* Alison Toohey ❖

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INFORMATION MANAGEMENT PRINCIPLES – THE IMPOSSIBLE DREAM

The author sets out a set of information management principles to help guide a company or a council in how it manages its information.

By **Dave Stafford**

I've sat down on more than one occasion, with my fellow information management (IM) practitioners, and developed a set of IM principles to help guide a company or a council regarding the way they agree to manage information within the organisation.

Normally, these principles are created in fairly 'broad strokes', defining in a general way how information should be handled, in a number of logical steps that all staff can easily understand and follow.

That makes perfect sense, and I've always agreed with the principles that were decided on, because generally, a principle probably wouldn't have been put forward had not one or more of the IM practitioners noted a lack of proper behaviour from staff with our existing information – staff are not handling information well, so we need to create principles to give them guidance. You could say, that each principle is a direct response to an existing problem with the way staff have historically handled information within the organisation. Each principle addresses an existing shortcoming.

I believe that many organisations now have a set of guiding IM principles; however, it's more difficult to pin down exactly which organisations – and how many – are able to

successfully follow those principles with actual practices that bring them to positive life.

I want to push this concept out one step further: I am going to create here, a set of greatly extended 'super principles' that go far beyond any normal set of IM principles. This will be an overarching set of extremely extended principles that not only addresses the basic IM issues but also a much more extensive set of information, data and record management issues: bringing into the fold such related topics as spelling, grammar, standardised abbreviations and acronyms, even that most controversial of all topics 'presentation'. It will also encompass a whole plethora of wide-ranging additional principles – because, if a company or council were able to approve and engage a 'super set' of principles like the one I am about to propose, they could end up with data quality far beyond the norm, and the possible benefits of that are not to be taken lightly.

So here, if you will, are my 'fantasy' principles – an 'impossible dream' – a set of principles that, I admit freely, would be extremely difficult to get five people to follow, much less 50 people, or 500, or 5000. But – if you *could* get people to follow them (and, it's not that it's impossible – it just takes more discipline than normal!)… you would end up living in an information utopia. For me, after fighting against redundant, obsolete and trivial files all my life, after fighting just to get some of the six basic principles in place and operating… I'd love to see this peaceful, orderly, and extensive, utopia – I really would.

I believe it to be possible – but, like all man-made paradises, it is hard work to build and maintain. It means dropping all of your preconceptions, stepping back, starting all over again, embracing Total Quality Management of your IM principles. It means – a kind of discipline you've never exhibited before – but, that *is* within you – you just have to allow it to come to the fore.

I am going to create here, a set of greatly extended 'super principles' that go far beyond any normal set of IM principles

Let's begin though, with an 'ordinary' set of IM principles, as you might develop, that are pretty generic, fairly general in nature, and fairly reasonable in terms of the idea that a large organisation could actually follow them, and succeed, and make huge strides forward in data quality, and over time, by applying these six basic principles strongly, with conviction and commitment, make a huge impact on the quality of information that flows through, and out of, the organisation.

THE GOAL	BASIC SET OF IM PRINCIPLES
Ownership	Information is a valuable council resource – staff are custodians not owners
Responsibility	All staff are personally responsible for managing the information they create and receive.
Access & Security	Information must be as accessible as possible to both staff and public – restriction is the exception. There must however be appropriate security controls in place where needed.
Quality	Information must be complete, reliable and accurate. The council's main decisions and activities must be recorded and preserved appropriately.
Compliance & Standards	Information must be managed in compliance with legal requirements and agreed standards across the council.
Working Electronically	Information should be managed electronically wherever possible, to improve the way the council works.

So – hopefully, the concepts above are straightforward. They represent 'statements of intent' or attainable goals. And if we apply these principles in our day-to-day work, setting an example for others, demonstrating extreme personal discipline and commitment – eventually, these principles will help drive the quality of the information that staff produce upwards, until our information reaches a supremely high quality from the moment of conception, through creation, through use, when secured, when accessed, when updated, when managed, and – maintaining the highest quality throughout the information lifecycle – until the information is eventually securely destroyed, according to applicable retention rules and triggers.

That's great, and really, the power of something as simple as these six general-purpose statements should not be underestimated. You could do a lot worse than to adopt and follow these six philosophies, and the result would be dramatically improved information quality over time. I would note that to me personally, since a lot of my experience is with data management, using raw data to create structured information that can be used for reporting, updating, reviewing, etc – that to me, the single most important principle in the above table is this one:

Information must be complete, reliable and accurate.

In the 15 years I've worked with information, working with so many different data sets, large and small, I've always imagined this phrase being burned in fiery Tolkien-like letters on the backs of my eyelids: "complete, reliable and accurate".

I interpret this as meaning that both the raw data you construct *from*, and the finished information you *present*, that *both* should be:

story snapshot

We have a choice – we can just do the job, in an average sort of way – or we can be the best we can be.

This means doing everything we do with a sense of purpose, a sense of quality, and the commitment and conviction to a set of principles will bring us benefits that previously we could only imagine.

- complete in every detail
- nothing missing or omitted
- up to date and current
- trustworthy
- as accurate as humanly possible.

We are agreed then, that there is pretty much nothing but benefit from adopting a half dozen generic IM principles such as these, and that these examples are quite decent, and they cover a broad spectrum of disciplines – data creation, data access, information security, data quality, data management, data storage, working electronically wherever possible – these are all very positive, very powerful principles; and they work as underlying guidance for how we work and how we approach our everyday tasks. If we bear the principles in mind, and do our work according to the principles, the result should be an improved experience for everyone involved.

Improvements should be noticeable in both the speed and accuracy of file retrieval, the quality of folder and file names, the quick and easy accessibility of information with which to answer customer queries, and so on.

I felt very happy with this arrangement, with the adoption of the six basic principles, and I think that for most organisations, and for most people – this is enough. It is sufficient, it almost guarantees a certain level of quality (if followed and adhered to, of course!), and it's clear and easy to understand. What more could you ask for?

Well – actually – that is the question that eventually I asked myself – what *else* would I want, if I could have it? What if I could expand these principles outward, to draw in all of the other positive behaviours I had observed and tried over the years?

When I sat down to answer the question, the answers I found, really, truly surprised me – and I learned that if I could have my way, if I could have my most 'impossible' wishes, if I could have any additional principles that I wanted, with no limits – principles that would cover the areas that the six basic information management principles above do *not* cover – well, the answers that came, let's just say, they really, really did surprise me!

Now, I was beginning to think even more globally, I was extending the parameters; I was taking the basics and amending them with additional high quality principles that would result in every piece of work undertaken by every single staff member being of the highest quality possible… which may sound the stuff of dreams, but my practical experience tells me that this is… possible.

I was stretching these concepts to their bursting point; they would take into consideration not just the basic six IM principles, but instead, we could present a holistic, all-encompassing set of detailed, specific guidelines for the highest quality IM possible – an *extended* set of IM principles.

These new, extended, 'impossible dream' IM principles go far beyond the norm, incorporating spelling, grammar, vocabulary, the correct use of abbreviations and acronyms, rules for folder and file creation. They also include rules for the correct and proper naming of folders and files, rules for the handling of email attachments, and finally, embracing the oft-forgotten concept of 'presentation' – a quality which is often overlooked, and would and will forever change the way we do things, sort of like TQM (Total Quality Management – and if you remember *that*, then, you are getting old, like me) for IM principles.

Of course, from within these extended principles below, I refer to external standards such as the LGCRS[1], I refer to Council policy, strategy, guidance and procedure (PSGP, is my acronym for this). Basically, I am stating here that the

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principles do not stand alone, and there is a need to have a very, very robust and carefully thought-out and well-researched set of PSGP – Council policy, strategy, guidance and procedure) to underpin and support these extended principles. Developing the policies alone is a task that may take many, many months; ensuring that you have the correct guidance, strategy or procedure is just as or even more time-consuming than authoring policies. But – it must be done, because the principles are relatively short – it's the supporting PSGP that actually 'flesh out' the principles and give them a full, useful form that staff can follow.

Here then, are my 'impossible dream' IM principles, if I could have things 'the best way', where we truly approach IM in an utterly holistic way, and we embrace all of the related disciplines fully and with a sense of quality informing every decision, every rule, every inspiration for doing things 'the right way', 'the best way' indeed – and in doing so, accepting no compromise, doing it right; there is *no* point in doing things in half measures, and by making a true commitment, and by sticking to our new extended principles… taking our information quality from quite poor to the most incredible, the truly most excellent on the planet – I say "why not?"

Information is a valuable resource and must be managed as such

INFORMATION MANAGEMENT PRINCIPLES – EXTENDED VERSION 20130912

- The following principles will drive activities relating to three disciplines: information management, records management, and data management.
- Within this set of extended principles, we will use the single term 'information' to *represent* the three terms 'records', 'data' and 'information' – occasionally, certain principles may relate to only one or two of these concepts – this will be noted when appropriate.
- Information is a valuable resource and must be managed as such.
- Information is maintained in accordance with legislation, if related legislation is not available, industry or local authority best practice will be used in its stead, when best practice is not available, informed local decisions must be made in its stead.
- Information is stored within recordkeeping systems, rather than in personal filing, or in email accounts / email archives.

- Email systems will be used for communications purposes only, not for data or information storage, and will be monitored to ensure that any data or information stored in email attachments or in the body of emails, is removed from the email and stored properly in the recordkeeping system, and then permanently deleted from the email system.
- Information is shared and not duplicated.
- To that end, internal email attachments are hereby banned in their entirety (being the primary cause of file duplication); instead, staff must use agreed shared areas where a single, unique master file of each unduplicated document is stored, and is collaboratively worked on in that agreed shared area.
- External email attachments will be routed through a centralised mailbox, where incoming attachments are stripped off of email messages, filed in the appropriate folder in the recordkeeping system, and then the body of the email (sans attachment) is forwarded along to the internal recipient, along with the folder *location* (within the recordkeeping system) of the intercepted email attachment – which the user can then access as you would any other file. This prevents the attachment from being duplicated or re-forwarded to other recipients.
- Information is not to be stored on fragile or untested media, such as memory sticks, external hard drives, compact discs, or digital versatile discs (DVDs) – as the lifespan and hardiness of these media types has not been sufficiently tested and we cannot entrust our precious council data to untested media, that is not backed up regularly, and which are also insecure due to their portability.
- With the advent of Citrix, over time, all staff should move to this secure thin client application to access council information, and the use of ALL memory sticks, external hard drives or similar hardware should be discontinued immediately and permanently, and all such hardware shall be returned to ICT for disposal as soon as Citrix access is achieved for each staff member.
- All council information is to be stored on council networks, which are to be securely backed up at all times with multiple redundant tape drives or other tested, reliable backup media – to ensure business continuity in case of disaster.
- ALL information is stored in an orderly and consistent manner that reflects council functions and activities, using an appropriate standard (such as the LGCRS) wherever possible to define this orderly universe of information.
- Information that is identified as vital is physically identified as such, and is also afforded additional extra protection.
- Information that is identified as being of historical significance is preserved permanently in the council archives, and is provided the utmost in additional extra protection.
- Information that is confidential, sensitive or personal shall be handled with appropriate additional safeguards based on current published policy regarding such information. When information is 'eyes only' for a single user or group of users, special folders will be set up under the appropriate topic folder, with limited folder permissions controlled by ICT, limiting access to folders containing such information to only those persons authorised to view or receive that information.

- Information keeping systems are compliant with the requirements to manage information throughout its lifecycle.
- The information lifecycle is currently defined as:
  1 creation and style
  2 management and use
  3 security and sharing
  4 preservation and destruction.
- Information creation shall be to the highest standard possible – including adherence to common best practice of coherence, spelling, grammar and presentation.
- Information creation shall also utilise all four of the defined English language 'letter cases' as appropriate:
  1 lowercase (used for computer code and other high-speed-typed technical notation – limited and specialised use only)
  2 UPPERCASE (used only as appropriate for emphasis – use sparingly, as it has, sadly, come to represent 'shouting' in web use)
  3 Title Case ('Start Case' form) (for use on document or publication titles, and for headers)
  4 sentence case (for use in the internal text of documents – the most commonly used letter case – the ordinary English sentence).
- Information creation shall utilise the 'Start Case' form of Title Case, wherein *all* words in a title or header are capitalised, regardless of the part of speech. This makes consistency possible – because the rule is simple – in a title, capitalise every word … with no exceptions, per the rules for headers and publication titles. This is the simplest and easiest way to achieve conformity and also a very consistent and professional presentation within titles and headers.
- Information creation shall also take into consideration the use of consistent, agreed abbreviations and acronyms, (ie, all abbreviations and acronyms to be agreed, defined and unique) – which should be used sparingly ie, only when absolutely necessary – per an agreed council abbreviation and acronym guidance document, which will be made available to all staff. Certain terms must always be spelled out and these will be defined within the guidance.
- For electronic information creation, folder creation and folder naming will be limited to a relatively small number of fully trained staff – both activities must be determined by and approved by fully trained staff only, to ensure the proper creation of and placement of folders within the electronic recordkeeping system per the applicable standard, and to prevent the introduction of random folders and random folder names into the electronic recordkeeping system.
- For electronic information creation, folder names shall be governed first by the standard used to organise the information so that it reflects council functions and activities (such as: LGCRS), then by an agreed council folder and file naming guidance document, which will be available to all staff. This will include 'year folders' or 'fiscal year folders' at the lowest folder level, to enable folder-based retention.
- For electronic information creation, the creation of files and the naming of files shall be governed by the agreed council folder and file naming guidance document, which will be made available to all staff.
- The security of information shall be strictly controlled via well-established and enforceable security policies, with due respect given to both the confidentiality of information and the privacy of the human subjects that the information refers to.
- Information is easily accessible for as long as it is required, essential maintenance is tracked via incremented version numbers for as long as the information is in use.
- Once folder-based retention has been universally set up and has become operational (ie, all files now reside in 'year' or 'fiscal year folders', and in no other folders), a recall system shall be set up that provides notification of 'year folder' or 'fiscal year folder' retention triggering; each month, notifications will be sent out to folder owners, advising them that in the following month, folders are due for routine destruction.
- Information is then securely and regularly disposed of in accordance with approved records retention schedules, using folder-based retention as described elsewhere in this document.
- IM procedures are understood by all staff and staff are appropriately trained.
- Information is created, stored and managed electronically within the corporate EDRMS (or equivalent manual system), unless specifically required in paper format.
- IM is a responsibility of all staff that handle information, records, *or* data; in paper *or* electronic form.
- IM practices adhere to corporate policy, strategy, guidance and procedure (PSGP).
- IM practices are underpinned by applicable national (or international) standards.
- IM practices will support the council's values – the primary of which is transparency.
- We have a responsibility to be open and honest; to share and use information responsibly; to protect personal, confidential or sensitive data; to preserve data of historical significance; and to always act in the best interests of the council while engaging in these activities.
- Redundant, obsolete and trivial records (ROT) will not be tolerated, and will be removed from the recordkeeping system whenever and wherever detected.
- Data management efforts (de-duplication, information age profiling, information type profiling, identification of ROT and many others) will be coordinated closely with records management efforts and IM efforts.
- Records management efforts, including preservation and archival recordkeeping (records cataloguing, storage, preservation, retrieval, destruction and many others) will be coordinated closely with data management efforts and IM efforts.
- IM efforts (overview of all IM practices, definition of IM policy, strategy, guidance and procedure, definition of IM principles, coordination and integration of all related records and data management policy, strategy, guidance and procedure) will be coordinated closely with data management efforts and records management efforts.

This *can* be done. Imagine if you had *started out* with these principles, when you first set up the business – where you would be in terms of data quality, if you had adhered to these practices and disciplines! It's not too late to start – yes, it takes time, it's hard work, it involves a sense of discipline we are unaccustomed to – but once you start, and once you see the results – you will immediately see the true value in doing things this way – without cutting corners. It's cutting corners,

it's taking shortcuts, that always ends up hurting us in the end – then you have to go back, and spend three times as long, doing it a second or third time, this time, doing it right – when if you had just done it properly the first time (even if it took a little bit long) – then you would only end up DOING it one time. How nice would that be?

Answer: very, very nice.

Everything will change. Folders and files (and therefore, the information contained in them) will be much easier to find and retrieve; folder and file names will make sense; and when you read a file name, you will instantly understand what the file contains (instead of wondering what the file 'John's report.xls' might contain, for example).

When customers call, our information will be sorted into sensible functions and activities, in a topic-based folder structure based on a standard; and the answers the customer seeks will be at our fingertips – and, it will be current, accurate and easy to find, understand and share.

When your boss rings you up and asks you a question – instead of having to admit you don't know, you just look it up while he or she is on the phone – and then you provide that answer, which was right where it should have been, filed in the right folder, with the right file name, giving you and your boss the right information – every time. That is surely a good thing, and well worth the effort.

We have a choice – we can just do the job, in an average sort of way; or, we can be the best we can be, and do everything we do with a sense of purpose, a sense of quality, and the commitment and conviction that working to this extended set of principles will bring us benefits that previously we could only imagine. Now we can make them real, by committing to doing things the right way – the best way – the quality way.

Start now, and never look back. Leave all of those mistakes behind, and just start working through these issues one by one:

1 Define what policy you need to support the extended principles.

- **a** Research the technical aspects of each and every policy.
- **b** Study published policies of similar organisations for inspiration.
- **c** Build the policy according to your pre-established template.
- **d** Ensure that the policy covers every aspect of behaviour required to achieve the desired results as stated in the principles.
- **e** Publish the policy into your PSGP repository, making it available to all staff.

2 Repeat the above for strategy.

3 Repeat the above for guidance.

4 Repeat the above for procedure.

5 Now that your PSGP house is in order, you are ready to build out your extended principles; use the one published within this document as a template, or, start completely from a blank sheet and create your own; it matters now – just be sure to include every principle you could ever imagine wanting, the be-all, end-all list of extended principles to literally end all such lists.

6 Make sure that wherever possible, the principles refer directly to an appropriate policy, strategy, guidance or procedure document – that's the key, because the PSGP documents support and 'flesh out' the bare-bones outline of the extended information management principles.

A note about using 'precise terminology' (or – the 'pick one and stick with it' data rule).

By choosing four specific, precise terms, 'policy', 'strategy', 'guidance' and 'procedure', and *rejecting* all similar terms (so – we no longer use 'convention', 'guidelines', 'how to', etc – *we use these four terms and ONLY these four terms*) this brings a clarity that you do not get when you have very similar, confusing terms in use – for example, what IS the difference, really, between 'guidance' and 'guidelines'? (Probably – none!).

Well – you could argue that endlessly – but I won't. I just reject the too similar term 'guidelines', and I say, it's 'guidance'. ***Always*** – 'guidance', never – 'guidelines'. This is the 'pick one and stick with it' rule of data – a rule I've used successfully for many years now. It works – try it. Get rid of all of those useless, extra terms, and make a short list that works for your organisation – and stick to it! Circulate it so everyone knows. Write it into the rules.

Another example – look at the job descriptions that your HR department uses. I will bet that you have many, many slightly different job descriptions featuring very similar job titles – but, if you look at an HR list of unique job titles, you will find that there is a huge range of different terms used as titles, all used to 'mean' the same thing:

– SLA
– S.L.A.
– S L A
– SFLA
– Support For Learning Assistant
– Support For Learning Asst.
– Support For Learn. Assistant
– Support For Learn. Asst.
– Support For Learn Assistant
– Support For Learn Asst
– Supp. For Learning Asst.
– Supp. For Learning Assistant
– Supp for Learning Asst
– Supp. For Learning Asst
– Supp For Learning Asst.
– Supp For Learn. Asst.

… and so on, ad infinitum, with abbreviation, without abbreviation, with punctuation, without punctuation, and so on… giving the appearance that there are 17 different titles, when in fact, there is only one.

HR needs to 'pick one and stick with it' – and I would say that for clarity, they should just stick with 'Support For Learning Assistant' and get rid of the rest. If absolutely necessary, have ONE agreed abbreviation: 'SLA' – and NO OTHER. That would then be added to the council's list of agreed abbreviations and acronyms.

So – having very specific, chosen, picked, terms to represent a concept allows you to cut down the clutter and have a very unique, recognisable term to describe your concept – the way it should be – clearly, without the confusion of many, many very similar terms cluttering up your data.

This is the point of having unique, precise terms: they let us speak about a concept, and all understand precisely what is meant – because we've used a precise term – not a term confused with 17 other, very, very similar terms.

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7 Database maintenance – the real key to success. No matter how thoroughly and well-written your PSGP; no matter how complete or how innovative your extended information management principles are; once you begin to use them in the real world of your paper and your electronic data – you have to find ways to check that they are working. In the electronic arena, there are tools emerging, such as TreeSize Professional, that can help you track counts, percentages, and the content in your electronic folder areas. For paper – well, you will need to devise something that works for your organisation. Traditional records management techniques have worked for many, many years, but with the advent of trying to manage paper and electronic information side-by-side, new techniques are going to be needed to meet the challenges that this 'juggling act' – trying to keep a 'paper environment' AND an 'electronic environment' in order, under 'control' – well, that is the challenge. Share what you learn with colleagues, discuss strategies for dealing with the parallel worlds of paper and electronics, note similarities between them, note differences, until you have a strategy that works, in balance, for both formats.

8 Flexibility – it's important to realise that all rules, for both paper and electronic information, are made to be tested, stretched, and occasionally, bent, even more rarely – broken – if that's what is needed to succeed. So don't be afraid to improvise when you need to – use a technique borrowed from the world of electronic data management to harness paper records – apply an ancient technique used to control paper records on your electronic file problems – you might be surprised. Most important – what works, keep doing; what doesn't work – abandon, and try something else – until it *does* work.

9 Document, document, document – write it down! What did you do, how did you do it – amend the rules, change the related policy if need be; adjust your strategy, update your guidance, re-write your procedure – especially if you hit upon a faster / better / more efficient way of doing things – by all means, you should profit from what you learn – if you can shave five minutes, or even one minute, off of a task by using an innovative new idea – make sure you incorporate that idea into the IM principles, and if need be, into the related PSGP, too – capture what you learn, apply it, and as time goes on, your PSGP and your IMPs will get better and better and better – until such time as they can improve no more – and then you will look around, and realise that for quite some time now, you have been living in information utopia – and it's a pretty darn nice place to live. ❖

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1 LGCRS – Local Government Classification & Retention Scheme

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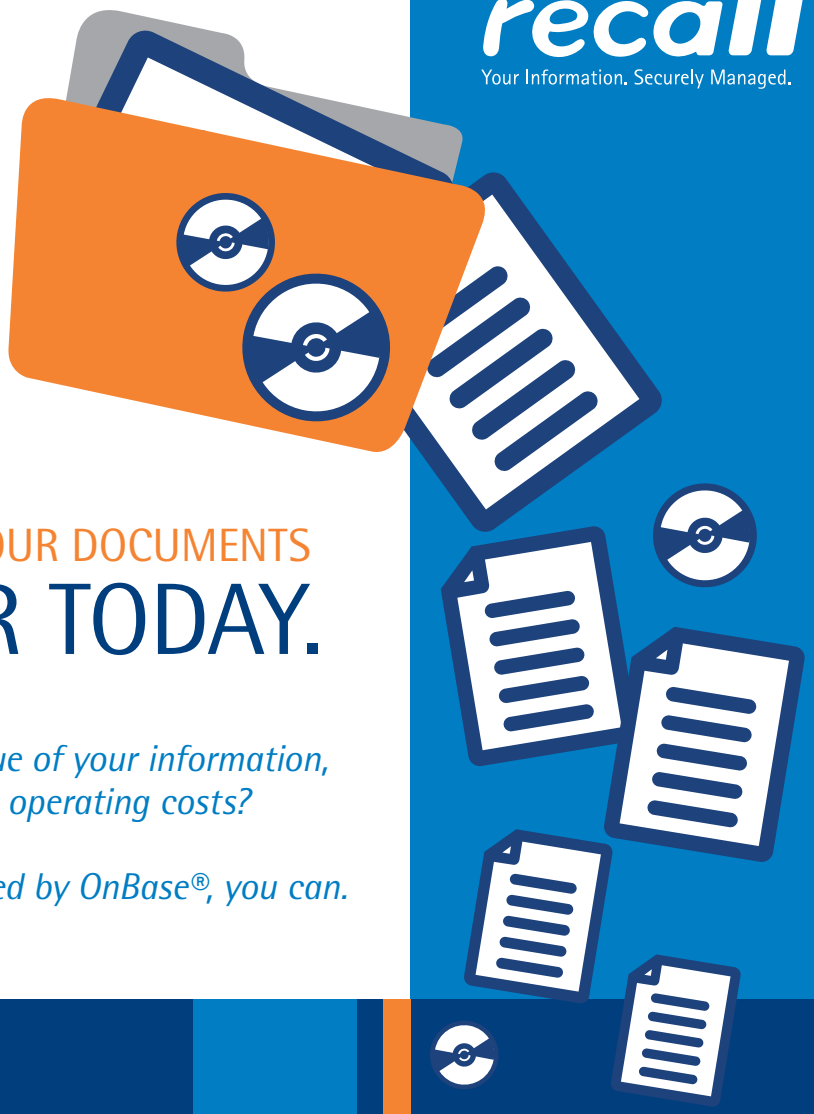

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