

iQ

THE RIMPA QUARTERLY MAGAZINE

Capturing Record and Information Management News since 1984

Building Trust in the Public Record

Update on National Archives
of Australia's new information
management policy

DAVID FRICKER

Director-General
National Archives of Australia

SPECIAL FEATURE: TURNING THE TIDE:

A New Perspective for Records,
Information and Data Managers



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NOMINATIONS OPEN FOR BRANCH EXCELLENCE AWARDS
HUMANIZING AI – COMMON SENSE KNOWLEDGE
THE FUTURE OF DOCUMENTS

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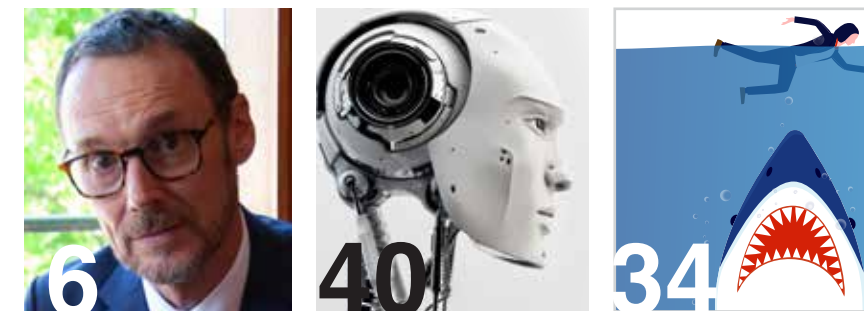
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ANNE CORNISH MRIM,
GENERAL MANAGER,
RIMPA

**"RIMPA WILL
BE CONDUCTING
AN EDUCATION
SUMMIT TO REVIEW
THE CURRENT
EDUCATION
ENVIRONMENT
AND DETERMINE
WHAT WE IN THE
INFORMATION AND
RECORDS SECTOR
NEED FOR THE
FUTURE"**

VIEW FROM THE GENERAL MANAGER

2021 is finally here, but did not start out exactly how we all thought with restrictions in place for some of us and the concern from all of us – is this ever going to end?

In saying that, all Branches have been working hard to enable members to receive professional development opportunities and where possible, the activity we all miss the most, NETWORKING.

The end of 2020 saw some of the Branches bring back "in person" networking events, but numbers were still not on target and we are all hoping that 2021 brings members out of the office to re-establish their networking contacts at both Branch and Company events.

Information Awareness Month will be celebrated in May with many Branches holding local events whilst the grand opening of IAM will occur in Canberra with the support of NAA. 2021 IAM will resemble some of what was planned for 2020 and hold roundtable discussions amongst all of the collaborative groups and subject specialists on topics that impact all of us in the information, knowledge, data, library, and records industries. The outcomes of the round tables will be shared with the industry via a virtual session, allowing everyone who is interested to contribute to the proposed objectives and outcomes. The final results will be published and provided to the members of each collaborative group.

To further compliment IAM, RIMPA will be conducting an Education Summit, inviting representatives from both Australian and New Zealand Universities, RTO's, student bodies, lecturers, education associations and more. The aim of the summit is to review the current education environment and determine what we in the information and records sector need for the future.

2021 sees RIMPA's webinar and virtual event programs continuing to ensure that all members have access to professional development sessions, workshops and much more in conjunction with a big RIMPA Live program scheduled for October in Canberra. RIMPA Live is aiming to provide access to sessions by holding in person events at various locations across Australia and New Zealand. RIMPA have been successful in obtaining a government grant that provides 50% assistance to vendors and non-government entities to attend RIMPA Live or one of the planned local events.

Portfolio actions were presented, discussed, and mapped out for the imminent RIMPA strategy plan update at the Board meeting held in December 2020. Each of the leads were enthusiastic about their chosen portfolios and provided an insight into what was required to meet the objective to "increase member pride in RIMPA". New professionals and education topped the list with the Board focusing on ensuring that RIMPA is a sustainable company by enticing members to join and participate earlier in their careers. The Board discussed providing members with payment options when renewing their membership and attendance at RIMPA Live. A business case identifying all aspects of a RIMPA RTO is going full steam ahead with many months of work to catch up on since being suspended due to COVID.

Overall, I envisage 2021 to be a year of "R's". I see us all **recovering** from 2020, **reinstating** our networks, **reinventing** our roles, and **returning** to RIMPA events.

I hope to see you all soon in person.

Anne Cornish MRIM

Member Update

Welcome to the first member update for the first iQ Edition for 2021!

Despite budget cuts surrounding COVID-19, RIMPA continued to gain new members in the last quarter of 2020. Due to our new virtual program, we are now seeing members join from across the seas and we welcome England and Papua New Guinea to our RIMPA Family.

In the next quarter, membership is expected to flourish with the opening of RIMPA Live 2021 Early Bird registration, the delivery of the RIMPA Virtual Training Calendar and continued membership benefits such as the RIMPA Community (online forum), webinar program and of course, the iQ subscription.

NEW CORPORATE COMPANIES

ESSEX (ENGLAND)

Leadership through Data

QLD

Queensland Corrective Services

NZ

Inland Revenue

WA

RM-Files Australia

Archdiocese of Perth

NEW INDIVIDUALS

NATIONAL CAPITAL DISTRICT, PAPUA NEW GUINEA

Solomon Andili

NSW

Tim Mifsud - National Archives of Australia

Tanya O'Dea - Transport for NSW

Anne Wright - NSW Aboriginal Affairs

Sheridan Coelli - Balranald Shire Council

Michelle Bloomfield - Port Stephens Council

Neetha Porathur Joseph - Curtin University -

Bentley Campus (Student)

Danielle Bignell

QLD

Jess - Bruhn (1st Year Student)

Charles Davies (Student)

Johnathon - Petersen - Avanaide

SA

Guanmin Hu - UniSA (1st Year Student)

Tessa Morris - UniSA (1st Year Student)

VIC

Christine Obery (Student) - Monash University

Stuart Murdoch (1st Year Student)

Maree Thorsell (1st Year Student)

NZ

Ian Brown (1st Year Student)

Jess Moss - Marlborough Lines Ltd

Lisa Huria - Far North District Council

WA

Barbara Outhwaite

Kimberly Boulton

CONGRATULATIONS TO THE FOLLOWING

UPGRADED MEMBERS

LIFE MEMBERSHIP

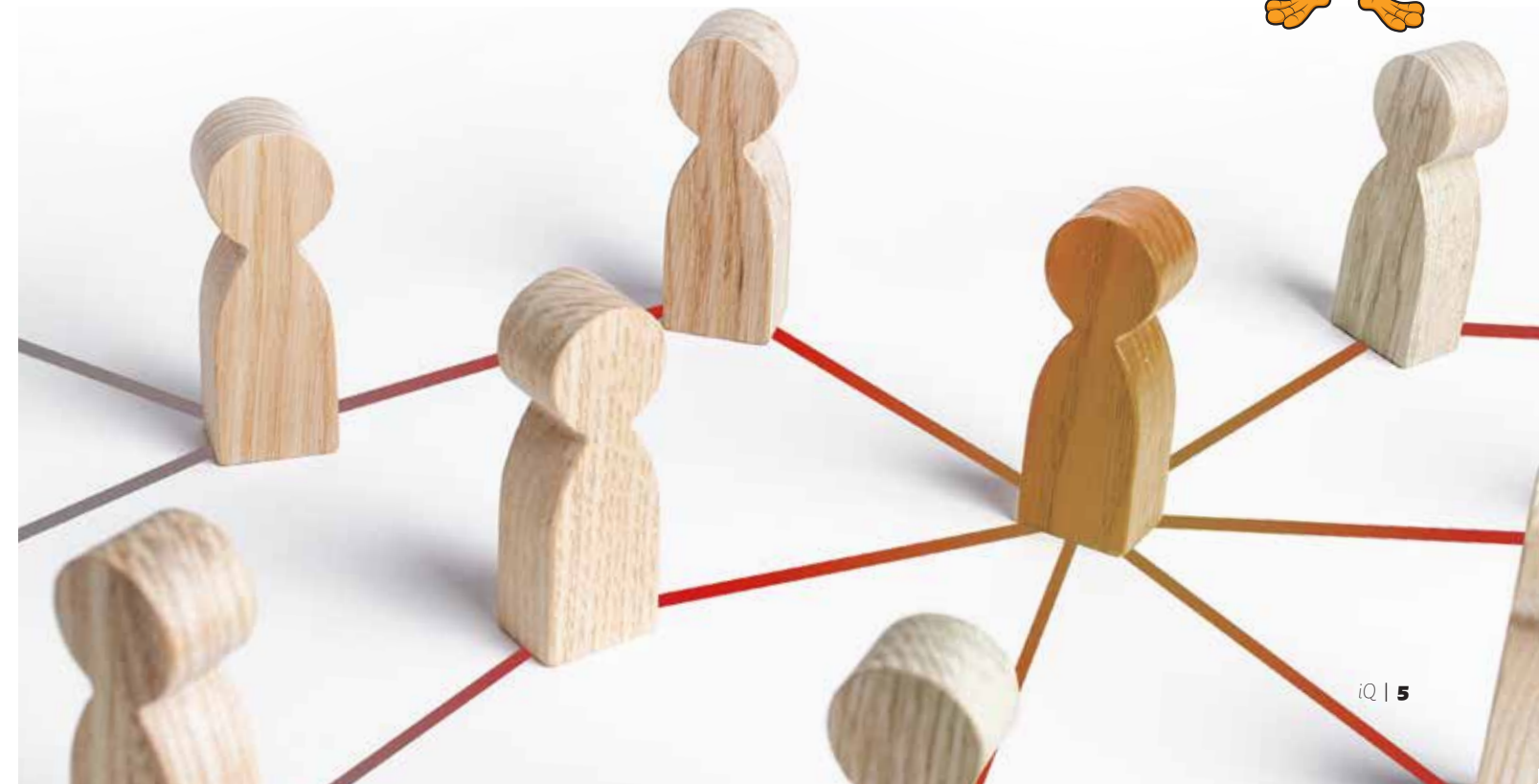
Paul Fechner Life MRIM

Debra Prout Life MRIM

John Sim Life MRIM

Do you have colleagues that would benefit from a RIMPA Membership?

Pro-rata pricing is available now and only for a limited time. Available on the website at www.rimpa.com.au



BUILDING TRUST IN THE PUBLIC RECORD

National Archives of Australia's new information management policy

The National Archives of Australia's new whole-of-government information management policy 'Building Trust in the Public Record: managing information and data for government and community' came into effect on 1 January 2021. The policy will remain in place until at least 2025. It supports Australian Government (Cwth) agencies to improve how they create, collect, manage and are able to use their information assets. It builds on the achievements of the National Archives' previous policy Digital Continuity 2020 which ended on 31 December 2020.

The Director-General of the National Archives issued the policy under the authority of the Archives Act 1983. The Hon Christian Porter MP, Attorney-General and Minister for Industrial Relations endorsed the policy prior to its release in November last year.

ABOUT THE POLICY

The policy applies to all Australian Government (Cwth) records, information and data, using the term 'information asset' to refer to them collectively.

It identifies 3 key requirements to build Australian Government information capability and address areas of lower performance. These focus on:

- the importance of appropriate governance and reporting, aligning information management with organisational strategic objectives to improve business outcomes
- implementing fit for purpose information management processes, practices and systems to ensure information is created and managed so that it is available and accessible when needed
- reducing areas of information management inefficiency and risk such as identifying systems which are vulnerable to risks, including cyber-attacks.

Consistent with the National Archives' previous policies, Building Trust in the Public Record supports a number of whole-of-government agendas through its improvement of Australian Government information management. These include Australian Public Service reform, data use and re-use, digital transformation of service delivery to the community and building public trust in government.

TRUST, GOVERNMENT AND COMMUNITY

The policy has a clear focus on continuously improving information management to build trust that stakeholder needs for information will be met. The Australian Public Service (APS) requires systems which capture needed information as seamlessly as practicable to support timely access to accurate and complete information. This enables the APS to develop informed policy, improve service delivery to the community and meet evidentiary and accountability obligations. Members of the community need certainty that the Australian Government will manage information so that it is appropriately protected and made available when required. They may need Australian government information as evidence of their rights and entitlements, to understand the basis of government decisions, or to reuse it for community benefit.

IMPLEMENTATION

The policy contains 17 actions to assist implementation of its key requirements. These range from developing governance mechanisms such as an information governance framework or a register of information assets, through to assessing interoperability maturity with plans to address gaps. The policy gives agencies flexibility to prioritise implementing these actions in the order that best suits their business and user needs.

To assist agencies implement the policy the National Archives has published a schedule of available practical tools and supporting advice on its website. In consultation with Australian Government agencies, industry and professional associations, further advice will be progressively provided throughout the policy period.



FURTHER INFORMATION

Further information about the policy and supporting tools and advice can be found on the National Archives of Australia's website: www.naa.gov.au. If you have any queries about the policy or if you work in an Australian Government (Cwth) agency and would like assistance planning for its implementation, please email National Archives at: information.management@naa.gov.au

Update from Public Record Office Victoria



Emails are a vital part of doing business and considered public records under the Public Records Act 1973. Since the 1990s, the Victorian Government (VG) has used Lotus Notes (LN) as a principal communication tool. In its current format and storage volumes, retrieval of emails for analysis and evidence of decisions can be difficult, expensive and time consuming. Meaning its value as an information source cannot be fully realised.

Public Record Office Victoria (PROV) has been developing and testing solutions to appropriately store, appraise and dispose of LN emails. The second stage of the project was completed this year.

For Stage 1 PROV undertook a Proof of Concept (PoC) testing an eDiscovery tool on 4.6 million LN emails.

The PoC focused on disposal, including:

- identifying duplicates
- identifying non-public records by analysing domain names
- manually reviewing results for accuracy.

For Stage 2 we used 1.2 million emails to explore further approaches for:

- de-duplicating emails
- threading emails
- identifying non-public records using email header and domains
- converting emails into VEOs.



Download reports via: www.prov.vic.gov.au/recordkeeping-government/research-projects/email-appraisal-disposal-preservation-project

NEXT EDITION: JUNE 2021

Value of Information

Information is an asset for all organisations and one that is yet to be effectively valued.

How do you value something that is intangible but relied upon?

How do you value an asset that is not purchased but created and doubles in size every 24 months?

The value of the information directly affects the overall outcome of business processes as a genuine reliance on records, information, content and data. How valuable is it and what are the characteristics required to define its value and quality?

Want to contribute to iQ?

Refer to iQ's submission guidelines and author checklist before submitting articles
Visit www.rimpa.com.au/news for submission guidelines.

COPY DUE: 12 / 4 / 2021

Submit your story to:
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MEET THE NEW CHIEF ARCHIVIST FROM NEW ZEALAND

Stephen Clarke

"We need to take a leadership role to show what good practice looks like and dangle the carrot of the benefits that improved practice can offer. There is clearly a balance to be struck in this area..."



Q1 Where were you born? What has been the career that led to leadership of Archives New Zealand?

"I was born in Glasgow, Scotland. I started off my working life as a precision engineer, before moving to London and civil engineering work. I realised what I really enjoyed was the original source records rather than the topic. Practical experience and basic knowledge of the language used for government/legal records pre-1770s was required for entry to the Post-Grad Archives Administration & Records Management course at Aberystwyth University, Wales."

After working at the National Museum of Wales, Archives New Zealand offered me a role in the Government Recordkeeping team rolling out the (then new) Public Records Act. I jumped at the chance to move to Aotearoa. I moved into digital archives and then into the broader Information Management (IM), Business Intelligence (BI) and data analytics space. My most recent role was at NZ Transport Authority as their Chief Data Officer.

Q2 In a public service bureaucracy like New Zealand's, how much influence does the Chief Archivist have to set the direction of Archives NZ?

The Chief Archivist works with the Department of Internal Affairs (DIA), the National Library and with our stakeholders to set the direction for the organisation. Comprehensive stakeholder engagement was undertaken to determine the focus areas of our long-term strategy Archives 2057. The Chief Archivist has independent statutory power conferred by the Public Records Act, which is respected by DIA, but ultimately our direction is set by emerging technologies and practice, and by the needs of our stakeholders and partners across the whole Government system.

I REALISED WHAT I REALLY ENJOYED WAS THE ORIGINAL SOURCE RECORDS RATHER THAN THE TOPIC.

Q3 Do you have the authority and independence necessary to verify that mandatory public recordkeeping and disposal standards are met by public entities?

The Chief Archivist is mandated through the Public Records Act 2005 to set mandatory and discretionary standards for public recordkeeping. The Information and records management standard is our mandatory standard, issued in 2016.

Archives New Zealand manages its regulatory role in line with the provisions of the Act. The independence of the Chief Archivist's role is primarily in the area of authorising disposal of records and in reporting the findings of the recordkeeping audits to Parliament.

I don't really see the primary role as wielding a stick to beat bad practice with. We need to take a leadership role to show what good practice looks like and dangle the carrot of the benefits that improved practice can offer. There is clearly a balance to be struck in this area and poor practice is highlighted in our reports to parliament and by other players such as the Ombudsman and Privacy Commissioner, which we can act upon.



Stephen Clarke admires the badly-damaged, original Treaty of Waitangi document signed between the British Crown and many Māori tribal rangatira (chiefs) in on February 6, 1840.

Q4 What do you consider the key constitutional and administrative functions prescribed by the Public Records Act 2005? How do these fit with an emphasis on heritage?

Archives New Zealand is the regulator of information created by the public sector. Our regulatory role is to ensure the creation and maintenance of public records and information, including data, to support transparency and accountability of government, the shift to digital government, and the rights and entitlements of New Zealand citizens.

For me, our regulatory role is critical to enabling our role in the documentary heritage sector; as mentioned above without regulation, there would be no public archive to collect, preserve and provide access to.

As I see our functions, they are to regulate and monitor Government recordkeeping, act as a trusted repository for the memory of Government and provide access to that memory to support the rights and entitlements of our people and enrichen our culture.

Q5 Resources allocated for active government recordkeeping have been 'cut to the bone', according to commentators. Few public records have been transferred to Archives NZ custody over the past three to four years. How can this legislative responsibility be restored?

Archives New Zealand suspended the transfer of physical records to the Wellington repository in May 2017. This was to allow for the repair and replacement of shelving damaged during the Kaikoura earthquake of 2016, and reflects the fact that the Wellington repository has reached capacity. Archives New Zealand finalised a number of planned transfers before the suspension of transfer and has encouraged public offices to focus on the destruction of paper records no longer required, in line with respective disposal authorities. We remain open for digital transfers, and for transfers to our offices in Auckland, Christchurch and Dunedin.

Funding received through recent Budget cycles have enabled the design and resource consent planning and development of a new Archives Wellington building.

We anticipate that the new building will be completed in late 2024 and that physical transfers will be able to recommence shortly after.

Q6 A new government generally is given 100 days' grace to demonstrate establishment of many of its election promises. What would you like to do or achieve in the first 100 days of your Chief Archivist job?

Get a really deep understanding of the organisation, people, culture and capability. I may be an archivist by profession, but my role is also to be the leader of an effective and efficient organisation, that meets its stakeholder expectations. We need to be the best that we can be to have the licence to operate and continually strive for improvement in a far from certain world. So, although it may sound a little unexciting, just getting the basics right is a stretch target for my first 100 days.

Q7 Tell us a secret about Stephen Clarke that nobody would have guessed or known.

As a bit of a Sci-Fi geek, I am secretly quite proud that I had my artwork published and credited on the cover of a 2000AD comic (many years ago!).

Stay tuned for **part two** in the June edition of *iQ*.



RIMPA Branch Excellence Awards 2020/21

The 2020/21 RIMPA award season has commenced! The RIMPA Branch Excellence Awards are now open for nomination and will close on 1 March 2021.

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

The awards honour those who have made significant contributions to the advancement of our profession and who are leaders in the records and information management industry.

They culminate in the recognition and celebration of organisations and individuals that implement initiatives and industry leading services that raise the visibility of records and information management across industries.

The recipients of all Excellence Awards become the nominees in the Company Outstanding Achievement Awards.

Categories

The Awards are presented in the following categories:

- New Professional
- Outstanding Student
- Outstanding Group
- Outstanding Individual

NEW PROFESSIONAL

Presented to a new professional to the records and information management industry who has been working in the industry for less than 5 years. The recipient of the New Professional award shows a penchant for the records and information management industry and have demonstrated significant potential to succeed.

OUTSTANDING STUDENT

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

OUTSTANDING GROUP

Open to groups (other than RIMPA Committees) who have either implemented initiatives that have made an outstanding contribution, increased collaboration in either their respective organisation/s or the wider records and information management industry OR groups that have made a significant impact in their organisation or the wider records and information management industry in the preceding 12 months.

OUTSTANDING INDIVIDUAL

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

HONOURING CONTRIBUTIONS TO RIMPA

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

ACT Branch

- Rob Barnett Award, Outstanding Individual

NSW Branch

- Peter A. Smith Outstanding Student

NZ Branch

- Dr Gillian Oliver Award, Outstanding Student
- Dianne Macaskill Award, Outstanding Individual

QLD Branch

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

SA/NT Branch

- Lisa McDonough Outstanding Individual Award

VIC/TAS Branch

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

WA Branch

- Marita Keenan Award Outstanding Student
- Neil Granland Award Outstanding Individual



Urgent

Strategies to control urgency, reduce stress and increase productivity.

By Dermot Crowley, Best-selling author of Smart Work and Smart Teams.

REVIEW BY SUPARNA CHATTERJEE MRIM

Dermot Crowley is one of Australia's finest leaders on productivity. Dermot can easily combine an inspirational approach with practical guidance as a successful coach turned bestselling business author. This combined passion is evident throughout his book "Urgent".

I couldn't have read this book at a more appropriate time than now, as Coronavirus has defined urgency in true colours across the globe. Perhaps unseen, we may have shared a reaction of disbelief about frequent matters unnecessarily flagged as 'urgent'; whether it be at work or home.

Interestingly, this book had its final touches during the trying times of the COVID-19 pandemic when we were driven by an unknown fear into self-isolation. With genuine insight and inherent wit, the author explains that even though the world will continue to change, businesses must cautiously decide on the right thing to do rather than make decisions fuelled by urgency; which causes more harm than good.

Crowley explains how our work is increasingly infested with emails and disruptions driven by social, corporate, financial, infrastructure or administrative systems.

THIS BOOK HAD ITS FINAL TOUCHES DURING THE TRYING TIMES OF THE COVID-19 PANDEMIC. THE AUTHOR EXPLAINS THAT EVEN THOUGH THE WORLD WILL CONTINUE TO CHANGE, BUSINESSES MUST CAUTIOUSLY DECIDE ON THE RIGHT THING TO DO.

We are sinking into a conundrum of tight deadlines, yet we must remain focussed and continue to operate in an "active zone" where we gain maximum proactivity and productivity. Crowley believes that the "active zone" can be achieved by following Goldilocks' principle, her preference for porridge not too hot, not too cold, but just right, i.e., the middle ground.

This book provides practical strategies for prioritising work such as filtering, scheduling and sequencing. It also gives a great understanding on what constitutes as urgent and from the author's shared experiences, readers learn tips and tricks to dial down rather than dialling up depending on the situation. Most importantly, the reader learns how to moderate urgency with a clarity in thinking about how to help their team prioritise tasks and remain focussed on what's important.

While the author acknowledges every individual's role in managing a situation, he places the ultimate onus on leaders for effectively managing the red flag of urgency.

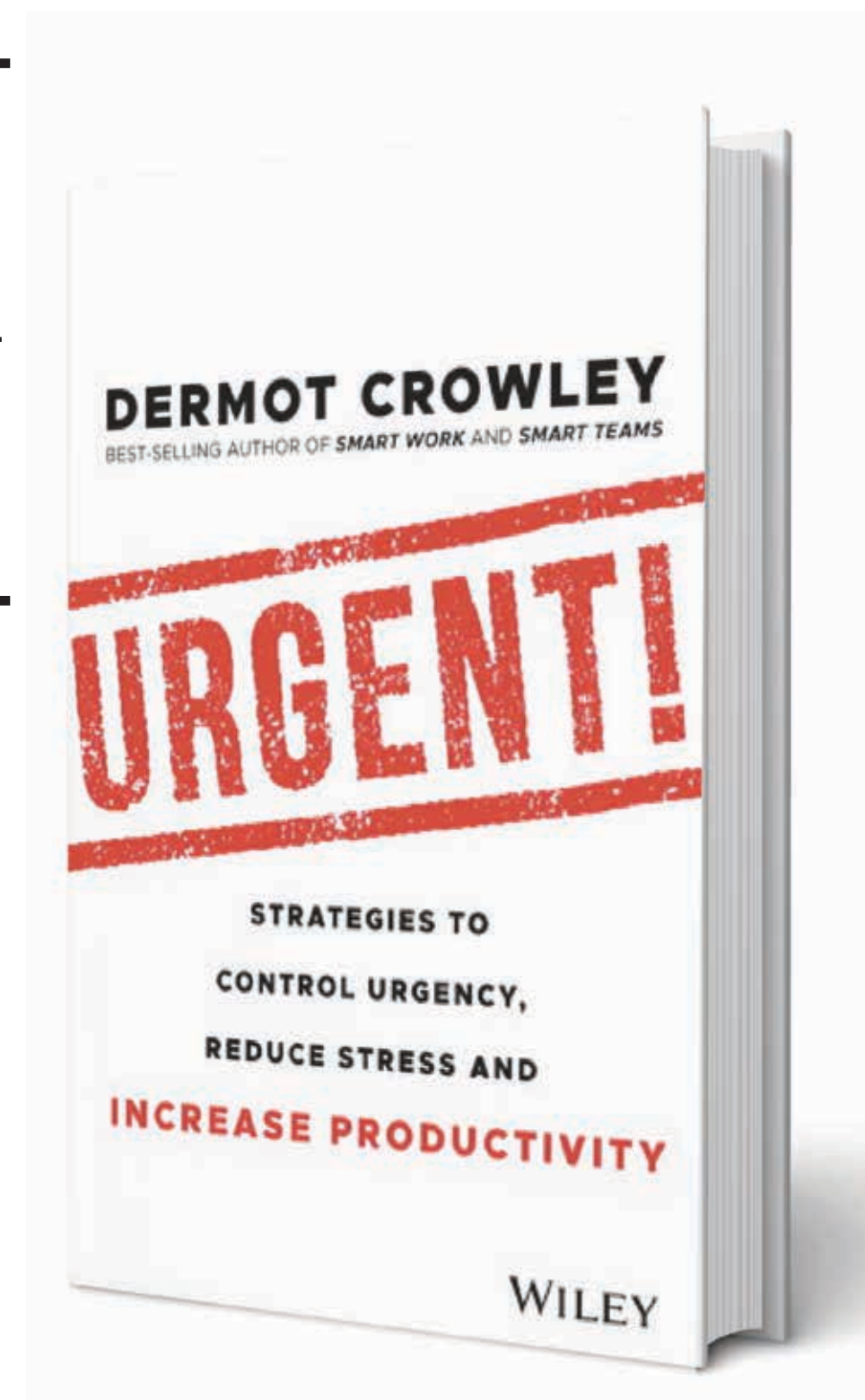
THE AUTHOR GUIDES LEADERS DEALING WITH URGENT, FRANTIC FEELINGS IN TODAY'S WORKPLACE WITH A MEANINGFUL ACTION LIST ON HOW TO: RESPOND, ABSORB, MOBILISE AND ULTIMATELY DEFUSE 'URGENCY'.

He guides leaders dealing with urgent, frantic feelings in today's workplace with a meaningful action list on how to: respond, absorb, mobilise and ultimately defuse 'urgency'.

A measure of our current workplace is practising 'safety culture', however, its measure is often vague. This results in business leaders facing the challenge of incorporating new technologies in contextual realities then ending up becoming victims of unproductive urgency. In this fast-paced technology driven time that we live in, this book provides us with a handy guide on:

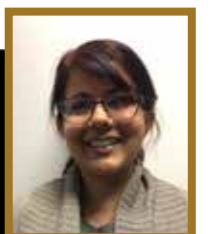
- how to step out of any crisis pendulum swinging between extremes,
- how to gain effective clarity of mind,
- to understand, evaluate and respond effectively to urgency, and most importantly
- to distinguish productive and unproductive responses when faced with urgency.

As I finished reading this book, I learnt to distinguish between responding and reacting. Crowley shares critical lessons on eliminating stress, overcoming burning out and sense of fatigue; all common features of a contemporary workplace. This book offers a survival mantra for leaders and a positive way to turnaround productivity. I very much enjoyed reading the book, I loved its common sense and logical approach to analysing any situation before responding and I feel confident that the several takeaway lessons will make it a popular read across the corporate domain.



ABOUT THE AUTHOR

Suparna Chatterjee MRIM has completed a Bachelor of Arts with Honours and a Post Graduate Diploma in English Literature. She has worked in State Government, in Records Management for 20 years in many strategic roles and is currently in IT projects and assessments.



Turn the Tide Seize the Day

Multiple factors have come together to provide an environment favorable to maturing Records and Information Management programs. It is an opportune time for organisations to move forward in maturing their Records Management program. Records have gained increased visibility within companies and in public view, with frequent records related stories in the news. Hacking attacks, data breaches, identity theft, new and expanding governmental privacy laws, as well as workforces needing to access, create, collaborate, and manage records while working from home. Security needs, as well as records and information access requirements for the workforce, are clearly in focus. Practitioners have an opportunity to “Seize the Day” and advance the maturity of their Records Management / Information Governance program.

Perhaps now that the need to protect an organization's records has become a highly visible top priority, there is a clearer understanding that records are a company's greatest asset. It is not the product, it is not the property, and it is not the people. Product can be replaced, property can be disposed of or acquired according to company needs, and people come and go. Records however, are both the lifeblood of a company and the company jewels. They need to be identified, managed, and protected as the company's most valued assets.

The need has never been greater for a company to shield its records, information, and data against external threats. With many in the workforce working remotely, there is an increased vulnerability to cyberattacks in addition to a requirement for ready access into company websites, applications, and records and data repositories in order to perform their jobs efficiently.

The need for efficient management of records throughout their lifecycle has never been greater.

Records created at this time, need to be created well, used for their intended purpose, managed to be fully available and usable until no longer needed, and disposed of in a timely manner. All in a secure environment.

THE NEED HAS NEVER BEEN GREATER FOR A COMPANY TO SHIELD ITS RECORDS, INFORMATION, AND DATA AGAINST EXTERNAL THREATS.

ELIMINATING (OR REDUCING) PERSONAL REPOSITORIES AND ESTABLISHING OFFICIAL REPOSITORIES (ELECTRONIC AND PAPER) WHERE EMPLOYEES ARE CERTAIN TO BE ABLE TO STORE AND RETRIEVE THE LATEST VERSION OF RECORDS, EASILY PRODUCES A SIGNIFICANT IMPACT ON PRODUCTIVITY.

The opportunity to establish good disciplines throughout the company has never been better. Records Management disciplines have matured and standardized, with measurable standards of maturity and excellence.

Many companies have yet to take advantage of the maturity of Records Management disciplines. Practitioners can obtain best-practice training, receive certification, and measure their company's processes and practices against standards, which can also be used to establish a path for improvement. Curriculum is also available to train the workforce in the disciplines of Records Management, including their necessary role.

In support of those disciplines, there are many applications available to develop, manage, store, and protect records. No longer should individuals be expected to personally retain important company records.

A particular company's path forward will be determined by its current status, areas of greatest need, and available resources. This is a time to be aggressive in your proposal. Commonly there are many opportunities for improvement that will generate good returns. Let us look at some of the most common areas for improvement:

SAVE MONEY

Storage – Most companies are paying more for storing records than necessary. Whether it is non-business records, duplicates, or records that have fulfilled their retention requirement, there is a lot of potential saving in bringing your records storage into compliance with your Records Retention Schedule (RRS).

Litigation – Discovery costs are driven higher as the volume of records to be searched is higher. This occurs when records that are eligible for disposal

are retained and records are dispersed in personal repositories across the company. Whether paper or electronic, reducing the volume of records to be searched and reviewed by disposing of expired records, convenience copies, and non-records, as well as replacing personal repositories with company repositories, can reap significant savings.

IMPROVE EFFICIENCY

Creation, Storage, Retrieval and Disposal – Efforts to standardize and facilitate the creation and management of records through their entire lifecycle can reap large dividends. Eliminating (or reducing) personal repositories and establishing official repositories (electronic and paper) where employees are certain to be able to store and retrieve the latest version of records, easily produces a significant impact on productivity. Consider a digitization project. First establish the full utilization of records in digital form going forward, with designated repositories. Next, transfer needed paper records to digital records, again in designated repositories, disposing of Redundant, Obsolete, and Trivial (ROT) records in the process. If you can save, on average, just 5 minutes out of every hundred for the average employee – that is a 5% savings! 5% of each individual's salary, with the time redirected to gainful activity is a very significant savings.

REDUCE RISK

Elimination – As records complete their lifecycle and fulfil their purpose, they transition from having high value as an asset to becoming a liability. Having a legally validated Records Retention Schedule that provides confidence in satisfying all legal and

regulatory requirements, provides confidence in initiating a records disposal project. Disposing of records per the Records Retention Schedule saves the organisation money as noted above, and also reduces corporate risk. If you have no further use of your records – who are you keeping them for?

When establishing your path forward it is best to represent the cost and the benefit in financial terms. Not just – it is the right thing to do. Work to estimate the saving in employee and lawyers' time.

Management teams often know instinctively that they need improvement in the management of records. Multiple factors have come together to provide an environment favorable to maturing Records and Information Management programs. Seize the Day. Your thoughtful considered plan (a multi-year plan?) for improving Records Management, with improved security and business efficiency while reducing cost and expense, is what your company needs. You have the opportunity to be a significant contributor to the well-being of your company. Seize the Day!



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10 Resilience Building Initiatives that will Create a Culture of Confidence

BY BRIAN SANDS

In an organisational context resilience is a label that often attaches to its leader's ability to take on the full force of disruption, to dust themselves off and to soldier on.

Resilience is actually about emotional strength - our ability to adapt and bounce back when things are not going to plan, to not only endure adversity but to become stronger emotionally whilst dealing with it.

A resilient organisation is one that has the capacity to proactively react to change and to grow through and from it. This is the culture of confidence – the unwavering optimism that despite challenge, the people within the organisation are motivated to strive for stretch targets, or to extract more with less, or to create better not bigger - as a group.

Ultimately it is the successfully resilient leader that will unlock this group discretionary effort in any circumstance. They will have empowered a cohort of equally resilient people who can, know and want.

Traditionally, crisis may have a single cause. However as rapid, disruptive change is today's normal this single cause will often multiply into numerous significant scale effects as we are now seeing amidst the Covid-19 pandemic. The trick is in making good decisions, despite the circumstances.

Individuals are good at understanding linear trends and not so good at understanding responses that come out of left field. We are wired to pay attention to threats and uncertainty, we can become anxious at alternatives, and yet at all costs we will attempt to persuade outcomes.

From the perspective of leading through crisis, here are 10 resilience building initiatives that will create a culture of confidence in your organisation:

1. STABILISING.

Organisational stability provides people with a sense of confidence, security, and optimism during any form of disruption and will enable them to slow down and make effective decisions as the situation evolves.

2. ENQUIRING.

Permit a culture of why and why not enabling you to not only receive different perspectives as a means of potential problem-solving, but to also get closer faster, to what success needs to look like on the other side of this.

3. PRIORITISING.

Focus on what matters most, and then what is critical in keeping the business running. This will dilute uncertainty and declutter decision-making. The critical success factors to this are discipline and communication.

4. INCLUDING.

This is really about being 'all in' with your people and not being selective about who needs to know what, a sure-fire barrier to performance which will undermine organisational stability and individual confidence.

5. LEARNING.

Through an environment of safe conversation focus on the 'what worked' and 'what didn't' dialogue rather than blaming and shaming. Consider documenting these as the foundation for new ways of doing.

6. PLANNING.

You will not succeed in building resilience without a plan for recovery. Even an indicative, dynamic this is what success could look like kind of plan with a few contingencies, will give your people something to look forward to, to align themselves to, and something they may deploy discretionary effort for.

7. PROMOTING.

Stability comes about through portraying confidence, strength and positivity. This does not mean to deny reality and provide a false sense of hope, in fact acknowledging setback and moving forward is promoting optimism.

8. REASSURING.

Alleviate people's fears by recognising their role in managing crisis, the value they create in doing so, and their future from a capability and career perspective. Acknowledging their worth allows them to look beyond 'the job.'

THE TRICK IS IN MAKING GOOD DECISIONS, DESPITE THE CIRCUMSTANCES.

9. OPTIMISING.

It is not always possible to do more with less however you must consider an overall picture of organisational well-being and relieving individual pressure. Exhausted and distracted individuals will become disengaged.

10. STORYTELLING.

Those Leaders that are prepared to put themselves out there sharing stories of success, failure and learning are truly leading with care and compassion. We will all go the extra mile for an authentic boss we can trust, right?

The great thing about resilience is that it is a skill that can be learnt. Learning from challenging experiences will allow you to move forward differently, and positively.

Today's leaders require a reservoir of resilience to not only cope with numerous business-defining effects, but also to enable them to dig deep at times through the personal, social and community relationships that crisis often impacts, all the while dealing with their own 'invisible backpack' that they may be carrying around.

There is no doubt that sh!t happens. It is all about how you deal with it.



A RESILIENT ORGANISATION IS ONE THAT HAS THE CAPACITY TO PROACTIVELY REACT TO CHANGE AND TO GROW THROUGH AND FROM IT. THIS IS THE CULTURE OF CONFIDENCE – THE UNWAVERING OPTIMISM THAT DESPITE CHALLENGE, THE PEOPLE WITHIN THE ORGANISATION ARE MOTIVATED TO STRIVE FOR STRETCH TARGETS...

ABOUT THE AUTHOR

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Capture

in the age of COVID-19

BY DEMOS GOUGOULAS

2020 was the year of change, and for many organisations the impact of COVID-19 meant drastic changes in the way they operate. Issues such as keeping in business, providing essential services, keeping staff employed has taken priority over many typical functions including record-keeping.

Behavioural change is hard enough at the best of times. Staff have experienced the upheaval of moving from the office to home and becoming remote workers overnight. Many have had to improvise in order to keep working, including using their own devices with limited access to their corporate network and resources. Information and records managers who have traditionally struggled in getting their workers excited and involved in record-keeping have now been faced with the additional challenge in the age of COVID-19.

In fact, capturing records of all activities is mandated by legislation. This means little to the government worker trying desperately to function under the “new normal”.

The traditional record keeping model involves centralised teams of record-keeping professionals, capturing and registering documents and emails that flow in and out of their organisations. Even digital transformation initiatives require a record of the transaction to be captured. For everything else records managers have had to rely on workers naming their documents something remotely identifiable and filing it somewhere that hopefully can be found again!

This is where an enterprise capture strategy that satisfies the records obligations around governance, compliance is a critical necessity. However just throwing the job on to your everyday knowledge worker, with no training in records management, is not the answer. If team members do not perceive it as part of their core duties, it will not be done.

As for applying the fully automated “AI” approach, there is always the risk of information not getting to where it needs to be. Even worse, not being actioned or ending up in the hands of those who really should not be looking at it.

There are many tangible benefits to record-keeping beyond improved governance and compliance such as high-speed information capture, faster distribution, better search, improved analytics and more importantly adding value to the business.

...AN ENTERPRISE CAPTURE STRATEGY THAT SATISFIES THE RECORDS OBLIGATIONS AROUND GOVERNANCE, COMPLIANCE IS A CRITICAL NECESSITY.

Record-keeping professionals have been lobbying for some time that the practice of record-keeping should become a function of the business process as opposed to an obligation at the end of the information life cycle.

It is this thinking in capturing information at the source that was behind Outback Imaging, the home of Ez-eScan, developing a range of Web Applications designed to take the hard work out of enterprise capture of both hard copy and digital born information.

With EzeScan, making records capture invisible to the end user in the age of COVID-19 has never been easier. Information and Records Managers can now have their business rules associated with the capture of information including naming conventions, file locations and work-flows automatically applied without the end user being aware of what is happening in the background.

For the end user it's as simple uploading their digital born documents via a web browser interface on any device from any location.

The EzeScan Remote Indexing WebApp (RIA) also provides simply drag and drop functionality to upload documents of any file format and without the need of any local EzeScan or EDRMS client software.

In the background EzeScan maintains and automatically applies naming conventions, filing locations or EDRMS metadata.

The EzeScan Digital Forms Assistant WebApp (DFA) also provides remote workers the ability to capture any type of business transaction on the fly. Forms can easily be setup to capture records such as telephone conversations, file notes, expense claims or even more detailed web forms. Ultimately EzeScan automatically creates a digital record of the form, names and files it correctly in the EDRMS, distributes it or actions any critical workflows.

Desktop: Record view
Tablet: Email view
Phone: File view

By implementing an enterprise capture solution such as EzeScan WebApps an organisation has the knowledge that their information is being handled correctly while at the same time ensuring their team members are not overwhelmed by the task at hand.

ABOUT THE AUTHOR

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RIMPA

Why join RIMPA?

The Records and Information Management Professionals Australasia (RIMPA) is the longest serving peak body for industry practitioners in the southern hemisphere. RIMPA actively promotes best practice, sets industry standards and fosters professional development across all business sectors and educational institutions.

Established in 1969, RIMPA is a not for profit company who represent over 2,000 professionals and organisations in the private sector, Commonwealth, Federal, State and Local Governments.

RIMPA has active Branches and Chapters operating in all states and territories across Australia and New Zealand.

Through its international partnerships with other peak bodies, RIMPA provides its members with access to an accomplished framework of professional associations.

RIMPA's vision is to advance, connect and encourage excellence in records and information management while advocating the values of the profession.

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13. Member e-newsletter
14. Discounted Advertising Rates
15. Discounted memberships with alliance partners

WHAT KIND OF MEMBERSHIP SHOULD I HAVE?

Individual membership is open to individuals who have an interest in the records and information management field, in allied professions or those who support RIMPA's objectives. Individual membership is an excellent starting point with the Association and provides the ability to strive to achieve professional recognition.

Each Corporate Membership specifies nominees to receive membership benefits while in the employ of the company.

Membership provides the nominated staff within the organisation the opportunity to develop and maintain industry knowledge while employees keep abreast of industry changes, ensuring your organisation is compliant with various Acts in Australia and New Zealand.

Join today. Visit rimpa.com.au/join-now or contact admin@rimpa.com.au to discuss your membership options.



Are we really setting things up for our successors?

ELO
Digital Office

A brief review of recent changes in our industry.

BY RAINER KRAUSE, MANAGING DIRECTOR, ELO DIGITAL OFFICE AUSTRALIA/NEW ZEALAND

Things had changed way before COVID and if there is anything positive coming out of our current situation then it is based on acceleration and forced re-thinking, whether we like it or not.

Since ELO was incorporated in Australia in 2005, a lot of things have changed; some for the better, some not. Back then, the Australian public service market was essentially dominated by one EDRMS. Large private and some large Government entities had other systems but the majority of Records Managers were limited in their choice.

Back then it was OK as the world was still ruled by paper and a system that mimics paper management was well perceived. This system provider was able to create a "fan community" that knew if they continue supporting this system, their influences will remain high.

Fast forwarding to 2020/21 and things have changed dramatically. The average toner consumption in Australia fell by at least 50% (most likely more). This means that we have started to think differently – at least some of us. This dramatic drop coincided with a more simplified way of meeting compliance structures. It is now much cheaper to store electronic content for longer and the sources of content grew exponentially. The regulators had to adapt their thinking to not the new content but the new sources of content.

We have looked at the trends over the years and in no particular order, we noticed some shifts in thinking:

- Responsibility shifts in Cyber Security
- The rise of the multi-purposes systems
- You will never be fired for buying IBM – oops SharePoint
- Is Artificial Intelligence / Auto-classification helping us?
- The death of the legacy system may be exaggerated but ...
- Cloud vs. On-prem – or better, large versus small.

RESPONSIBILITY SHIFTS IN CYBER SECURITY

Software vendors have become much smarter over the recent years, yet the hackers became even smarter. While three years ago we all associated data breaches mostly with accidental human behaviour, today's data breaches have increased as a result of targeted "intrusion". This does not mean that humans became better, rather the other's increased their activities.

While IT departments can somehow manage (or at least influence) human behaviour through training, limitations, smarter access rights and increased restrictions they also fight battles they can't win. Business processes and the people's desire to "do it their way" often contradicts the need for more security and access control. In the early 2000's the IT departments mostly defined what software was bought, irrespective of whether the software properly meets the business process. That shifted after 2010 when IT started to become more of a service department for the business yet now the IT departments are blamed for data breaches. Naturally, they need to take again a leading role but not within the business process but the access security to the content.

BUSINESS PROCESSES AND THE PEOPLE'S DESIRE TO "DO IT THEIR WAY" OFTEN CONTRADICTS THE NEED FOR MORE SECURITY AND ACCESS CONTROL.

Thankfully, many software vendors have predicted this and a variety of packages and services are available to help IT departments meeting the "almost impossible" targets. We may not be able to stay ahead of the hackers, but we will find ways to make it harder. However, there will always be the human.

THE RISE OF THE MULTI-PURPOSE SYSTEM

Five to ten years ago, we had systems that could do one thing really well, and we spent a lot of money in managing all the systems that could do that one thing well. ERP, accounts payable, HR, warehouse, paper storage, paper management, time sheets, drawings, workflows, feeds, emails, calendars, you name it. We had so many systems and they were all good – well, almost all.

Management realised that the costs and managerial efforts to keep this under control were unaffordable and created stress at all levels.

As an example, it became clear that an entity would not necessarily need to separate a records management system from a business process system; that workflows are made to help the decision-making process not only in regard to records but actually to improve business processes. Yet even today there are almost no vendors who offer both, Records Management and Business Process Management. Larger ERP system providers have started to offer an "all in one technology" but have opted to close their system, so that entities who select them, need to stick with them or pay a hefty price. Multi-purpose doesn't mean restriction; it should mean that everybody can work, manage and maintain their business environment for the better of the entity. Multi-purpose systems need to be based on an open architecture, otherwise companies and Government entities are stuck with a dependency where it is hard (or costly) to get out of. We see a big trend in incorporating contract management, HR Personnel file, Accounts Payable automation, eSignature and knowledge management throughout companies while maintaining the open architecture requirements. Yet recently we have seen various Government tenders seeking e.g., a Contract Management solution that "must" interface with their current legacy system. Replacing the legacy system with a system that can do both may reduce the cost over time.



YOU REMEMBER THE TIME WHEN YOU COULD NEVER BE FIRED FOR BUYING IBM?

IBM has been and still is a quality provider of hardware and software, but of course the market dominance has faded.

Today, things have changed by replacing the word IBM with SharePoint. It looks like everybody is jumping on it. It is a good system, yet it remains a framework, and that framework requires everybody to create what is needed. Product vendors look at frameworks very differently. Products merge international best practices into a powerful and fast to deploy solution. Yes, modifications may cost money but we see that more and more decision makers want to simplify processes and follow those who have done it before. But it appears that an integration into SharePoint must be a minimum requirement. We ourselves are using Teams, SharePoint, and OneDrive, yet we decided to align business processes with products, so we do not need to re-invent the wheel. Recent tenders appeared to favour solutions that are based on SharePoint. The wording was aimed at deflecting from the favourite yet the analysis of the requirements showed a clear trend.

Herewith lies the challenge for product developers. They are doomed if they do and they are doomed if they don't. It doesn't matter whether a product can deliver 100% of the requirements and may be less costly – they have an uphill battle. The old monopolistic situation based on a paper-based system has been replaced (or will be) with another.

This doesn't make the new trend bad yet we need to act with caution when selecting a framework versus a product.

IS AI AND AUTO-CLASSIFICATION REALLY HELPING US?

Yes, they are! But here comes the "but". The rise of smart technology, artificial intelligence and auto-classification cannot be stopped, nor should it be stopped, yet we need to be ready to embrace this and I am not sure that we are. It is clear that AI can help us in many ways. The flood and unimaginable amount of content

WORKFLOWS ARE MADE TO HELP THE DECISION-MAKING PROCESS NOT ONLY IN REGARD TO RECORDS BUT ACTUALLY TO IMPROVE BUSINESS PROCESSES.

currently created will show humans their limits. It's not that AI is smarter than a human – at least not today - but we need to be able to use AI where it makes sense. The battle lines are drawn very clearly when looking at Records Management. On one hand, auto-classification shall simplify and help users to add content / information into the system while the aim is to achieve higher level of compliance. On the other hand, we humans, don't know enough yet. Some records managers may believe that auto-classification will make them "redundant" while others see this as an opportunity to spend more time on managing information rather than filing a document because the user does not know where to put it.

The one item that appears to be agreed upon by everybody is a certain level of mistrust. All agree that it's fine if an auto-classification tool declares something as "classified" which will somehow – at least a little bit – protect the information. But who checks the

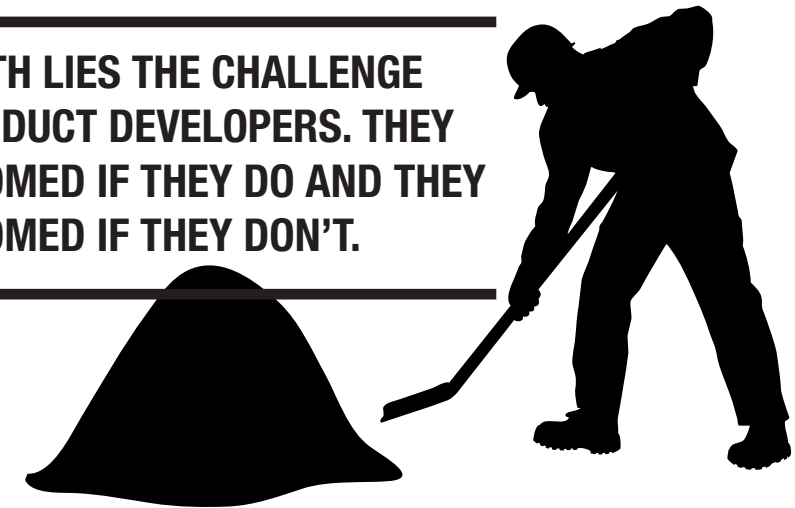
content when the AI has decided that this content is "unclassified"? Every system needs to learn and so it will take time to get to a good trust level. Until then, we need the symbiosis between a good EDRMS product (not framework) and the auto-classification tool. Once we reach that trust level, everybody will see that AI / auto-classification will help but everybody will understand as well that AI / auto-classification is not a replacement for common sense and people.

THE DEATH OF THE LEGACY SYSTEM MAY BE EXAGGERATED BUT ...

This looks like the biggest mover for the past 2-3 years. A system that was taken for granted in our industry looks like it becomes a burden. In its core it remains a good system but the associated costs with a single purpose system combined with prices and fees that are significantly higher than other alternative systems created question marks for the long-term. More and more Government entities are reviewing their choices of the past and evaluating true, less costly, and more user-friendly alternatives.

Things like MS Office integrations, web access, file system access, Outlook integrations and other functionalities are standard, no-cost features of modern systems. Even APIs are available for those who need them, essentially free of charge. What keeps it alive is the "fan community" but even these communities start to realise that stagnation means going backwards. Some companies have created front-end interfaces to mask the real software and some companies jumped on the bandwagon to offer Records

HEREWITH LIES THE CHALLENGE FOR PRODUCT DEVELOPERS. THEY ARE DOOMED IF THEY DO AND THEY ARE DOOMED IF THEY DON'T.



MORE AND MORE GOVERNMENT ENTITIES ARE REVIEWING THEIR CHOICES OF THE PAST AND EVALUATING TRUE, LESS COSTLY, AND MORE USER-FRIENDLY ALTERNATIVES.

Management in the Cloud. Nothing new but it shows that other providers, who have offered this for some time were ahead of the legacy system.

Thankfully, the records management community as a whole has realised that change is the only constant in this world and they are more open to explore the combination of records management and document management i.e. records management and business process management.

CLOUD VS. ON-PREM – OR BETTER, LARGE VERSUS SMALL

The rise of the cloud is inevitable and that is good. With the increase in internet speed, decrease of storage costs, increased security and more modern deployment techniques the cloud will become the platform of the future – it may already be here. The cloud, driven by large global enterprises has started to replace on-premises infrastructure and is slowly changing the jobs of IT departments. While this has many benefits with regards to simplifications and adoption of

best practices it also creates a divide between the haves and the have nots. Although the costs have significantly dropped over the past years, the cloud “appears” still to be expensive for small and medium entities. While hardware was a CAPEX expenditure and could be written off over the years, it had a burden on the balance sheet. Cloud provision is usually an OPEX investment that goes straight to the Profit & Loss as an operational cost.

CURRENTLY IT APPEARS AS IF LARGER ENTITIES EMBRACE THE CLOUD MORE THAN SMALLER ENTITIES.

The mindset of management has changed significantly during the past years. Three years ago, management procured hardware and the cashflow was hit once, thereafter one could forget it. Today, management sees a bill every month and will continuously be reminded of the operational costs of the cloud. What management usually doesn't see are the benefits of the cloud with regards to backup, security, lower internal maintenance and the Business Continuity Plans (disaster recovery plans) that a cloud provision “automatically” provides.

That is specifically true for small and medium entities. Currently it appears as if larger entities embrace the cloud more than smaller entities.

Furthermore, there are cost aspects of the cloud that are less predictable, for example, storage, bandwidth, CPU, and the way it is deployed (reserved instance, 24h uptime, etc). Because smaller entities need to know exactly what cashflow they'll

need next month, unpredictability is hindering them to proceed.

This will change once the cloud is competitive on the cashflow side as well. Last but not least, smaller entities still believe that they need a cloud instance for themselves. Modern Records and Document Management Systems can share infrastructure resources within instances and therefore allowing for a significant saving. This can be achieved while maintaining clear separation of content, access and privacy.

SO, WHAT IS THE ANSWER?

Smart, forward-looking people will never set up or buy a system that is good for today and is good for themselves. They will go for systems that can handle the future requirements by the people of the future. We will see a clear movement towards secure, multi-purpose systems that can be deployed in the cloud and on-premises, while also have an open architecture allowing it to interface to 3rd party systems. Whether we will see a tendency towards “best practice products” vs. costly frameworks is to be seen.

ABOUT THE AUTHOR

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ELO[®] Digital Office

One user should be one user!

Private Companies as well as Federal, State and Local Government entities need to continuously improve their business processes while also staying compliant. And herein is the catch. While many software vendors provide good solutions for compliance or business processes, very few – if any – offer both.

Records Management is the key for compliance and business process optimisation is the key to savings and improvements. Contract Management, Asset Management and Accounts Payable Management are areas in need of optimisation at almost every entity. And the software market offers a myriad of different solutions, specifically developed for the one purpose.

Unfortunately, buyers need to procure user licenses separately, meaning that one user may need to have various licenses for just doing their job.

ELO is a multi-purpose system that combines business process functionality with Records Management needing just one license for one user.

With ELO Digital One means One.

ELO's Accounts Payable solution covers the entire process from filing purchase orders and matching incoming invoices. The embedded workflow engine will forward incoming invoices to the right approvers. Once all is approved, ELO will make the data available to the ERP system for payment.

Whenever appropriate, any document can be declared a record, ensuring the compliant preservation of all information. With ELO you don't need a second license – one license per user – whether you are working on the business process or the records management.

The creation of a Contract requires many parties to engage, negotiate and agree on terms, values and timeframes. ELO's Contract Management solution uses your templates and ELO workflows to generate the contract and when finished can use DocuSign to make it a legal document.

Declaring the contract as a Record may finalise the process. No need for a records management license. If you can work with contracts, you can work with the EDRMS.

Cover all your needs

Companies and Government entities can save thousands when selecting ELO as their multi-purpose system.

ELO offers the best of both worlds: Business Process Management and Records Management.

Address your challenges and pain points with ELO and select your solution without the worry of paying double or triple, just because one person needs to work with Contract Management, Asset Management, Accounts Payable Management, Digital Personnel File or eSignature.

Imagine the time and money you save by having one vendor. One ELO license per user for all our solutions.

Call ELO or one of our Certified Business Partners to find out more.

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Turning The Tide

A New Perspective for Records,
Information and Data Managers

BY LINDA SHAVE

*The ultimate measure of a man is not where he stands
in moments of comfort, but where he stands at times of
challenge and controversy.*

– Martin Luther King Jr.

How true are the words of Martin Luther King Jr.? 2020 saw the COVID-19 pandemic drive overwhelming societal and organisational changes, challenges, and controversy. It has seen the resilience and adaptability of the records and information management professional industry and workforce to withstand disruption, uncertainty, and change.

It has provided records and information professionals with the opportunity for ‘turning the tide’ and building a new future; a future that is a sustainable vision for tomorrow.

A NEW FUTURE - A NEW PERSPECTIVE

The central hypothesis of Turning the Tide is to “reverse a situation”. The positive connotation is to move in a new direction and to change into something different, in this instance, the records and information profession can build a new future with new perspectives. At this point, I would like to take a slight detour to the past. In 1969, the Records Management Association of Australia (RMAA) was formed, and this saw the dawning of professional records managers and records management in Australia.

In 2010, RMAA transformed its name to the Records and Information Management Professionals Australasia (RIMPA). This marked the ‘turning of the tide’ and a change in direction to include ‘information management’ into the portfolio. It was the launch of records and information managers and records and information management as we know it today.

Ten years later, we see from the article scope on page 7 of the November 2020 RIMPA iQ quarterly magazine, the inclusion of ‘Data Managers’ in the title for the March 2021 edition of iQ. Taking advantage of the inclusion of ‘data managers’ this article will introduce records and information management professionals to the role of data managers, data management, data science, data analytics and end with the role of data-decision making. We will start by asking the question what is data?

THE RESULT OF DATA PROCESSING IS ‘INFORMATION’, AND THE OUTCOME OF INFORMATION ARE ‘RECORDS’.

WHAT IS DATA?

In simplistic terms, ‘data’ is collected, processed and stored in datasets. Data can be collected from multiple sources such as business transactions, data entry, smart grids, and citizen/customer digital transactions. Until processed into a usable format for easier access and analysis, the data has very little meaning. The process of sorting or calculating data is called ‘data processing’. The result of data processing is ‘information’, and the outcome of information are ‘records’. There are four data set types; these are structured, semi-structured, unstructured and sensor data. Table 1 provides an overview of each data set type.

WHAT IS DATA AND MASTER DATA MANAGEMENT?

In brief, data management systems are built on data management platforms and can include databases, data lakes and warehouses, big data management systems, data analytics, and more. Data management refers to the practice of recognising, creating, collecting, transforming, exchanging, processing, analysing, sharing, protecting, reporting, and preserving data in databases efficiently and effectively.

Master data management is focused on gathering, mapping, cleansing, enriching, storing, distributing, publishing, and maintaining data. Master data management’s aim is to optimise the use of data in a database to support business processes and solutions.

The overall goal is to provide quality data so that an organisation can make informed decisions and take actions that maximise and provide benefit realisation to the organisation.

Data management activities are concerned with:

- Data Architecture
- Data Warehousing
- Data Standards
- Data Quality
- Data Security (including cyber, privacy and data protection)
- Metadata Management
- Master Data and Master Data Management
- Business Intelligence
- Data Wrangling
- Data Integration
- Data Sharing
- Data Governance
- Data Retention and Archiving

Information and records management activities, on the other hand, refers to people, processes and technologies that support the creation, collection, storage, use, management, security transfer and disposal of record assets.

WHAT IS THE ROLE OF A DATA MANAGER?

A data manager sits in the realms of the IT department and is concerned with supervising the numerous business data management systems and networks. Their duties include designing, developing, organising, managing, securing, tracking, visualising, analysing, monitoring, and reporting on datasets, databases and providing support for data management activities in order to provide:

- Data (internal and external) that is accurate, trustworthy and reliable
- Data that is readily available and timely when and where required
- Data analysis to be able to identify the value of data
- Data that is significant and in a usable format if it is to be successfully used in decision making
- Data that is secure and protected

Although not necessarily the role of a data manager a senior data manager might also be involved in managing data across a diverse but unified data tier. A data tier is a logical database management entity that defines all the SQL (structured query language) server objects and keeps data independent from application servers or processing logic and improves scalability and performance.

A senior data manager might be involved in:

- Identifying, alerting, diagnosing, and resolving faults in the database system or underlying infrastructure
- Allocating database memory and storage resources
- Making changes in the database design
- Optimising responses to database queries for faster application performance
- Data lifecycle from collection of data to the point of data exploitation
- Network point cyber security (in some cases)

Information and records managers normally sit in the business area and their roles include such tasks as overseeing the scanning, capture and management of electronic and/or paper-based records. Identifying the most appropriate records management resources.

Designing and developing filing systems, business classification schemes and undertaking record surveys. Setting up and reviewing documenting record systems, establish retention schedules, advising on record management policies, training, and ensuring compliance with relevant legislation and regulations for the management of records.

WHAT DOES A DATA ANALYST DO?

The role of a data analyst is to collect, process and perform statistical analysis on large datasets in order to answer questions and solve problems. A data analyst will normally undertake data analysis tasks such as inspecting, cleansing, transforming, and modelling data with the goal of discovering useful insights to support decision-making. A data analyst will normally use such skills and tools as SQL, statistical programming (e.g., python), data visualisation, machine learning and presentation skills to:

- Collect, process, create data sets
- Writing code and testing
- Coordinate with teams
- Solve business problems
- Explore and model data
- Communicate results
- Propose solutions

WHAT IS DATA SCIENCE AND DATA ANALYTICS?

Data science is an umbrella term for a multi-disciplinary field that uses scientific methods, processes, algorithms, and systems to extract knowledge and insights from structured and unstructured data. Data analytics is devoted to realising actionable insights that can be applied immediately based on existing queries.

Data science through a combination of disciplines such as artificial intelligence, machine learning, robotics and data analytics can extract valuable insights from vast datasets. The collaboration between data science, artificial intelligence and machine learning has provided us with such things as smart assistants, da Vinci surgical robot and autonomous cars. Data science covers areas such as:

- Statistical modelling (model planning and building)
- Statistical computing
- Data technology
- Data research (discovery and data preparation)
- Data consulting
- Real-world applications
- Scientific Methods
- Visualisation
- Operationalisation
- Communication of results

DATA SET TYPE	DESCRIPTION
STRUCTURED	<ul style="list-style-type: none"> • Fixed Layout • Defined Content • Consistent Formats
SEMI-STRUCTURED	<ul style="list-style-type: none"> • Unknown Layout • Defined Content • Variable Formats • Tabular Data"
UNSTRUCTURED	<ul style="list-style-type: none"> • Unknown Layout • Variable Content • Multipage Documents
SENSOR DATA	<ul style="list-style-type: none"> • Data generated by various machines. <p><i>For example, personal devices, smart grids, cyber physical systems, smart cities, autonomous vehicles, drones, and objects.</i></p>

Table 1 – 4 data types structured, semi-structured, unstructured and sensor data.

...DATA SCIENCE, AI AND MACHINE LEARNING HAS PROVIDED US WITH SUCH THINGS AS SMART ASSISTANTS, DA VINCI SURGICAL ROBOT AND AUTONOMOUS CARS.

WHAT IS DATA GOVERNANCE?

All organisations need to govern data in order to avoid inconsistent data silos in different business areas and reduce the risk of out of date and inaccurate data. There needs to be an agreed common data definition so that the business can share and understand data, improve data quality, fix errors in data sets to optimise the use of data to make informed decisions. Data governance also includes the need to implement and enforce policies that help prevent data errors, misuse and helps ensure compliance with cyber security, data protection, data privacy laws and other regulations.

AUTONOMOUS DATABASES AND DATA ARCHAEOLOGY THE FUTURE?

Moving forward, we are seeing two trends emerging, these are:

1. Autonomous Databases

In order to reduce the need for manual data management activities, we are seeing data management technology evolving in the form of autonomous databases. An autonomous database leverages

artificial intelligence (AI) and machine learning to provide full, end-to-end automation for provisioning, security, updates, availability, performance, change management and error prevention.

The introduction of autonomous databases will no doubt see the role of 'data managers' change over time. Autonomous databases might enable an organisation to refocus its database management workforce to a higher-level of skills. Skills that create greater business value, such as data modelling, data visualisation, data wrangling, data architecture, ontologies and planning for future capacity.

2. Data Archeology

Data archaeology refers to the art and science of recovering computer data encoded and/or encrypted in now obsolete media or formats. Data archaeology can also refer to recovering information from damaged electronic formats after natural disasters or human error.

Digital perpetuation could be seen as a sub-set of Data Archeology. Digital perpetuation is the process of 'actively' preserving digital information/data assets from 'obsolescence' and 'bit-flip or bit-rot'. Especially given the fast pace of technology change and the shortening of time in which storage formats, digital data formats and technology become obsolete.

Moreover, digital data can be prone to unseen damage where a 1 (one) may randomly change to a 0 (zero) making files unreadable. Bit-rot is insidious and can be due to bits in the files being 'flipped' producing minor errors that are impossible to correct making data/files unreadable into the future.

This is in contrast to digital preservation which is the formal task of ensuring that digital information such as archives, books, collections, artefacts, audio, images, analogue, digitised and born digital records of continuing value remain findable, accessible, readable and usable.

THE ROLE OF DATA-DRIVEN DECISION MAKING

At the beginning of the article, we learnt that until data is processed it has very little meaning. The result of data processing is 'information', and the outcome of information are 'records'. We also learnt that the role of data managers sits within the realms of IT whilst the role of information and records managers sits within the business. The demarcation of these roles is important as they play a vital function in data-driven decision making. For example, information (an outcome of data) is the primary resource for the development of

THE EVENTS OF 2020 HAVE ALSO HIGHLIGHTED THE IMPORTANCE OF PROTECTING, PRESERVING, CONSERVING AND RESTORING DOCUMENTS, COLLECTIONS, VIDEO, AUDIO AND ARTIFACTS TO ENSURE THAT HISTORY IS PRESERVED AND ACCESSIBLE TO FUTURE GENERATIONS.

products and services. Extracting the value of 'information' is fundamental for all levels of enterprise, government and their agencies for data-driven decision making.

Data-driven decision making in brief, is an approach to business governance that values decisions based on and backed up by information that can be authenticated. The success of the data-driven approach is reliant upon the availability of data and its quality, accuracy, reliability, analysis, usability effectiveness, interpretation and use.

As such the value of information in data-driven decision making is crucial to all levels of enterprise, government, and their agencies for example:

- As it responds to economic demands
- In policy development
- In supporting decision-making
- In making evidence-based decisions
- In embracing economic opportunities
- In administering programs and services and
- In ensuring transparency and accountability to the public.

IN CONCLUSION

As indicated at the start of this article, the central hypothesis of Turning the Tide is to "reverse a situation" and to change into something different. Data has increasingly underpinned our everyday lives and it has been a crucial weapon in the battle against COVID-19. The collection and use of information on the other hand is a powerful and growing commodity for the global digital economy and a force for government, citizens and in society. The events of 2020 have also highlighted the importance of protecting, preserving, conserving and restoring documents, collections, video, audio and artifacts to ensure that history is preserved and accessible to future generations.

Data managers, records and information managers, library and archive managers collectively play a vital role at different times, in providing, managing, delivering, and protecting data, records and information assets to the enterprise, government, agencies and citizens. Yes, times are changing and what the future holds is still to be determined. However, one thing is for certain, the records and information management profession is on a journey to something different.

ABOUT THE AUTHOR

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



DATA HAS INCREASINGLY UNDERPINNED OUR EVERYDAY LIVES AND IT HAS BEEN A CRUCIAL WEAPON IN THE BATTLE AGAINST COVID-19.

Advocating for Change

BY CASSANDRA BISSET



We need heroes to advocate for change in how we address recordkeeping and governance, or we risk the workaround culture halting our transformation plans.

In the early 2000's, a programme commenced to address business risk after evidence relating to an alleged paedophile was lost. The Executive Leadership team swore they would never allow a situation like this to occur again. The whole organisation was deeply impacted – devastated. Devastated by failing to protect children and their families, failing to prosecute, and failing the public.

This disaster compelled the organisation to act. I still think about it today, along with a dozen other remediation projects I've been involved with since, all relating to significant failings around business process, information protection and systems to support staff.

Process indeed is a complex area – we do so many things because 'that's how we do things here'. As new people join the organisation, they may be trained by a colleague, or the work procedures may be documented...or not...and over 6-12 months, people learn how to get things done. More and more, I observe significant process workarounds in place - workarounds that are not visible at the executive layer, though eventually become evident after an incident.

BUSINESS COMPLEXITY AND THE IMPACT OF WORKAROUNDS

The impact of workarounds is becoming more significant every year. We have seen annual trends to reduce headcount, staff re-deployment, secondment, and significant restructure activity through machinery of government transformation, as well as a rapid pace of acquisition and divestment in private sector. The regulator spotlight points to the disconnect between how we operate, what we think is being done and what our obligations are – particularly evident in the volume of Royal Commissions in Australia over the last couple of years enquiring in to:

- National Natural Disaster Arrangements
- Violence, Abuse, Neglect and Exploitation of People with Disability
- Aged Care Quality and Safety
- Misconduct in the Banking, Superannuation and Financial Services Industry
- Institutional Responses to Child Sexual Abuse
- The Detention and Protection of Children in the Northern Territory
- Trade Union Governance and Corruption

With business complexity increasing and budgets under pressure, organisational priorities tightly align to strategic initiatives. It is increasingly difficult to address issues that don't directly appear to be a core strategic priority.

After two decades of seeing what gets attention in the public sector and financial services, I frequently see a lot of the same patterns and missed opportunities to make sustained change for the better. Citizen centric service delivery and customer experience have become a key focus for most (notwithstanding crisis response right now). And rightly so – it is the ‘Customer’ we serve. The question of service deserves some deeper reflection, particularly how we support the teams working behind the scenes.

BUILDING A DATA LED CULTURE IS A SIGNIFICANT CHANGE AND IT REQUIRES STRATEGIES THAT SCALE AND ARE RESILIENT, AND A LEADERSHIP TEAM THAT UNDERSTAND THAT INVESTING FOR THE FUTURE IS A STRATEGIC IMPERATIVE.

As discussed by Phil Gaetjens, Secretary, Department of the Prime Minister and Cabinet in a recent Work With Purpose podcast on a purpose-driven public service:

‘...things are happening instantaneously, with email, iPhones...there’s now much more of an expectation from both social views and work views that things happen instantaneously and that’s put a lot of pressure on systems and people, and work now is 24x7.’

A look at the numerous recommendations formed during the Independent Review of the Australian Public Service and the reform agenda, particularly how we provide strong foundations to deliver better outcomes, transform for the future, embrace data and digital,

strengthen digital governance, and empowering leaders – shows there’s a few jobs to be done. Building a data led culture is a significant change and it requires strategies that scale and are resilient, and a leadership team that understand that investing for the future is a strategic imperative.

This is evident when considering how organisations presently perform records management, privacy, data protection, e-discovery, file analysis and search. Most organisations don’t yet do parts of these capabilities, or typically have a different product to handle each problem – often this is reflected by the business sponsor being in a different team and having applied for funding to solve an issue in their area. It is not unusual to find three recordkeeping systems (I’ve seen just over 80 in one organisation), several search tools, and hundreds to thousands of repositories. The short-term tactical path needs to be put aside or we will never have enough capacity to evolve.

The operational backbone – sadly deemed the ‘back office’ has not attracted a lot of attention and is suffering from years of neglect. Reformation requires reflection on the outcomes or mission we are trying to achieve (design thinking) and a deep understanding of the business activities performed by staff (and user experience), how processes flow across the organisation, systems they touch, which stakeholders are involved and may need to approve change. It needs strong sponsorship from the top down and support and engagement from the bottom up – nothing new here, but it’s necessary. Too often we see symptoms being addressed over and over in different business units, often in different ways, or remaining neglected with manual workarounds. Sometimes the problem may be addressed – rarely the root cause is uncovered.

Staff frustration and fatigue increasingly impact the performance of the organisation. To describe the experience, HBR article Burnout Is About Your Workplace, Not Your People, Jennifer Moss highlights her discussion with Christina Maslach, expert social psychologist:

‘...First, ask yourself as a leader, what is making my staff so unhealthy? Why does our work environment lack the conditions for them to flourish? How can I make it safe for them to work here every day? We have to dig

into the data and ask our people what would make work better for them. More generally, we need to better understand what causes people to feel motivated in our organizations, and what causes them frustration.’

In a recent engagement with a government organisation, I saw that experience first-hand. A significant increase in information requests, creating countless out of hours effort from staff to perform manual discovery across some 20 repositories, then double checking, curating and authorising content sets to be sent out. The Minister has no idea of the pain and effort to perform the task, they get their answers as usual, as expected, and get on with the job. The leadership team have no real visibility either, because staff don’t realise how bad things are – there is acceptance that this is how things are done and that burnout is part of being a good corporate citizen. The team deeply care about doing the right thing, the strain and exhaustion was evident. I really feel for teams that are under enormous pressure. For any doubters thinking that burnout is a cop out, the visual analogy shared by Maslach in the same article provides a helpful paradigm:

‘...picture a canary in a coal mine. They are healthy birds, singing away as they make their way into the cave. But, when they come out full of soot and disease, no longer singing, can you imagine us asking why the canaries made themselves sick? No, because the answer would be obvious: the coal mine is making the birds sick.’

With a greater focus on data, dashboards, and insights to anticipate issues, pressure on systems is building, particularly following the rapid transition to digital ways of working, enabling staff during the pandemic. The current manual processes are too slow, we miss things and make poor decisions.



As organisations progress with transformation initiatives like robotic process automation and predictive data modelling, accessing the right, curated, unstructured data (documents, emails, chats and the things that don't make it in to your core line of business data systems) is essential to supporting transformation activities. For a controlled process, such as a licence application or claims management, this is a well-trodden ground, as the process entry point is controlled and enables a mandate on the data collected and pre-requisites for the process.

Our back office is another story. We know this is a problem, it's the 'death by a thousand cuts' each day, where we:

- have to retrieve something, like how a decision was made by our predecessors,
- or need to find all our active contracts in the organisation to see if we have appropriate termination clauses or appropriate force majeure clauses covering COVID,
- or find out what 'we' said last time that topic came up.

People are busy, they are stretched by the ongoing grind, things go wrong, literally every day, and very few people put information in the right spot or the central records system to find it again tomorrow. Segway a change, like the amendments to the Privacy Act 1988 in Australia (and GDPR impacting some organisations) – how do we apply these new changes across all our business systems and repositories, how do we see what the impact is with this change and know we are covered. In a climate of increasing regulation, compliance, and legislation, we expect more and more change every year. How do you plan to implement these changes? A re-think of our previous strategies is due.

WITH A GREATER FOCUS ON DATA, DASHBOARDS, AND INSIGHTS TO ANTICIPATE ISSUES, PRESSURE ON SYSTEMS IS BUILDING, PARTICULARLY FOLLOWING THE RAPID TRANSITION TO DIGITAL WAYS OF WORKING, ENABLING STAFF DURING THE PANDEMIC.

SOFTWARE MUST BE AN ENABLER OF THE NEEDS OF THE ORGANISATION AND ITS PEOPLE

With professional service firms doing significant research in public sector transformation and compliance - PWC with Government Matters, Deloitte with their Government Trends 2020 report, peak bodies such as AIIM, along with analysts and advisors, notably IBRS's Dr Joseph Sweeney and Gartner, and specialists at Recordkeeping Innovation, having all raised these issue for years, I remain optimistic that leaders are starting to have enough of the right conversations to activate change. Martin Stewart-Weeks provides valuable points in his recent Reflections on Government and COVID19 blog, particularly how we might see the pandemic as being a big enough disaster to drive sustained progress, particularly collaboration and inter-agency cooperation.

There is renewed concern across government and regulated sectors to

address recordkeeping, transparency, and governance, following the rapid rollout of systems to support working from home – Microsoft Teams commonly. It is not unrealistic to expect a Royal Commission in the near term, but as Martin postulates, do we need another one to change?

Why is it that change seems to need a lone pioneer on a quest to succeed? A transformative leader, who is amazing at team collaboration, with exceptional intrapersonal skills and a magnet for luck? This summary from recent Deloitte research Government Trends 2020 What are the most transformational trends in government today? really highlights the transition from a reactive to a preventative culture:

'...governments will need to be more intuitive, to sense and respond to new technology opportunities, social challenges, and citizens needs as they emerge. And to serve citizens well, governments will need to be more integrated. Breaking down silos and seamlessly connecting and streamlining data and process flows are integral to finding new solutions, enhancing security, and creating

personalized and engaging citizen experiences. In short, transformation will require uprooting outdated systems and practices and replacing them with new models better suited to the age of artificial intelligence (AI).'

This 'uprooting' comment is one worthy of a little more digging. I passionately advocate that software must be an enabler of the needs of the organisation, without imposing the traditional risk, change impact, expenditure, and delayed time to outcome. This is a significant factor in why changing the status quo is such a big ask and why leaders don't really want to take it on. No one wants a black mark on their career, and who has the time to spur on hundreds of teammates, keeping them motivated and on course?

Leveraging SaaS capabilities or managed SaaS keeps systems evergreen and moves away from traditional upgrade approaches which we all loath for all the right reasons – they are time consuming, costly, and slow progress. Smaller organisations get benefits they could not afford in the past and generally speaking, the pace of feature enhancement is excellent, evolving to the emerging needs across customers. Our team has spent years thinking about this challenge, working through strategies to safely transition and change the way information management, recordkeeping and governance is done.

It's extremely rewarding to see the Department of Finance advocating change in Federal Government with The Digital Records Transformation Initiative, following years of effort and an acknowledgement that continuing to do the things that got us here will not get us where we need to go. Automation, AI, and ML approaches are needed to manage the enormous data growth ahead of us. McKinsey insights on antipatterns are helpful here:

'...Are you focusing on system replacement rather than improving existing systems in a way that is faster and more cost-effective?'

It is not for every situation, however there is merit in considering this hybrid approach. We know how much content and investment has gone into existing recordkeeping strategies and ECM systems, so instead of asking government to throw that out, EncompaaS provides a connector framework to continue to add value to those systems and enable organisation to move forward in a hybrid mode, at

a pace that makes sense. This model means our attention can go to solving our critical problems first versus data migration and re-designing entire capability sets that have been heavily integrated to other systems.

Most organisations want to continue to get value out of the embedded processes. They want flexibility to re-locate sensitive records to these secure repositories. With the significant push for staff to be working in SharePoint, Teams, and specialist business systems like ServiceNow and Salesforce, supporting staff to work natively in those systems, without having to remember to perform a recordkeeping task is liberating for staff, and a relief for information managers. Everyone wins.

SOFTWARE HAS HIT ITS STRIDE; IT IS GROWN UP AND IT SHOULD BE DOING MORE THAN JUST GIVING US A COMPLIANCE TICK.

Finally, records staff are supported to perform their role at scale, across the business systems and automate the classification approach with ML techniques. For me, one of the most wonderful outcomes is to finally have visibility - visibility of our high-risk and high-value records across the enterprise and have a central policy, with supervision from the records team. Policies help us determine what should happen when we discover and manage our records, particularly high risk/value categories - should they stay in the shared drive and be managed in place, or should they be re-located to a secure repository – we can finally see and make those decisions.

We now have strategies to do the heavy lifting around the complex mess we have created for ourselves over 20+ years, to get us in shape and to support us going forward. We can now work with business teams to define simplified ways of working and providing better access to information - a significant help.

Software has hit its stride; it is grown up and it should be doing more than just giving us a compliance tick. It does the heavy lifting to support appropriate decision making and saves us from having to deploy the old workarounds and stop gaps. It replaces the old integrations that grind IT to a halt. It gives us understanding and prevents risk, ahead of time.

We can safely retire content, particularly duplicate content, which is an epidemic created by the workarounds we wade through every day. Through partnership with IT, we can target systems to sunset, classify the content, and safely sentence it, meeting our compliance obligations, freeing up cost and reducing the legacy burden on the organisation. With access to curated, enriched data, we help fuel transformation for business leaders and their teams.

To all the amazing people out there taking action and making change for the future, keep on going! For those of you who are curious, start discussions internally and think of the changes you would want to make in your team. It is our calling to enable all the heroes out there to complete their quest. We would love to hear from you and welcome your reflections.

ABOUT THE AUTHOR

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is a Technology Evangelist at EncompaaS and has spent 20 years working predominantly with Government and Banking, specialising in information governance, records management, automation, and machine learning. Researching and synthesising analyst trends is an obsession, helping organisations to uncover and articulate the root-cause of problems and gain sponsorship to move forward a passion. Freeing staff up to spend time where it matters most and addressing business risk, makes no day the same and each day count. Partnering with product engineering to change the way we solve long standing problems for the better, makes this an incredibly rewarding calling. Contact cassandra.bisset@encompaas.cloud



The Future of Documents: Content Creation is Ripe for its Own Digital Disruption

BY CHERYL MCKINNON, PRINCIPAL ANALYST

I remember the first time I saw a Google Doc. It was sometime in 2008, and people interested in collaboration and “Enterprise 2.0” on Twitter were circulating a link to a list of like-minded tech professionals. I clicked on the link, and my jaw dropped. The document looked like it was alive. There were about a dozen other people already in the document adding their names and contact info to the list.

I saw these people typing and bouncing around the page. The document had a pulse, a heartbeat of activity, and I felt connected to these kindred “content” spirits. We were all working together to document something new.

I do not think I have felt that rush, that sense of something different in the world of content and content management, so viscerally since then. That brief moment aside, however, most document authoring habits have not really changed in over 30 years.

Forrester just published the first piece in our ongoing coverage of “The Future Of Documents” (subscription required) — a central theme for me in 2021. The research is supported by a fantastic team of collaborators and contributors from other Forrester research teams. This short report highlights the coming disruption we expect to see over the next few years in that very first phase of the classic content lifecycle: content authoring.

DOCUMENT AUTHORING NEEDS DISRUPTING

The lights are flashing — the signals that the current state is hitting the limit of its usefulness are here.

- We still assume that documents are files. Increasingly, they are not. Documents can be assembled sets of objects, with context and meaning wrapped around them (i.e., metadata). Or for truly cloud-native authoring tools, documents are Blobs in a giant cloud database, never files at all. Yet many of our popular content management systems are designed to manage files.
- We are still trapped by the mental model of paper — pages, folders, files, labels. It’s time to learn the term “skeuomorphism” and understand how it limits our imagination when it comes to born-digital information.

- Heroic efforts — such as content fracking — are needed to get usable data out of documents. There is a mismatch between the needs of document authors and document receivers. Every single demo I see of AI- or machine-learning-based document processing or next-generation optical character recognition features common document types — like invoices — needing to be blasted apart into useful chunks of data before bills can get paid. Senders are generating static, inert file formats when receivers want structured data.

THE LIGHTS ARE FLASHING - THE SIGNALS THAT THE CURRENT STATE IS HITTING THE LIMIT OF ITS USEFULNESS ARE HERE.

EXPECT TO SEE SHIFTS BY 2027

Innovation is happening in related and adjacent markets, and application development and delivery (AD&D) and information management pros need to pay heed.

- Robots will be your co-author. It is happening today, and experimental deep learning algorithms are already showing some early promise for text generation.
- Content authoring and consumption habits will transform. Documents that are enriched with structured data will become more mainstream to help with high-volume transactional document processing — no more fracking of static formats required. Content will also become more componentized and interactive. Watch for mega vendors such as Microsoft, Google, and Adobe to innovate in these areas.
- Blockchain will complement and extend current records management use cases. Look for content repositories to support more of these use cases, particularly when the records include proprietary or other sensitive information.

- Governance will be messy and forced to transform. Traditional folder- or file-level governance will not scale to many of these documents of the future. Information management pros need to have a seat at the table as content authoring becomes disrupted to proactively seek fresh approaches to protect and preserve digital documents.

The COVID-19 pandemic response has fast-tracked adoption of new cloud tools for content authoring and collaboration. Moreover, distributed and hybrid workforces will persist even beyond the pandemic, with over half of workers now working remotely hoping to stay remote post-pandemic.

The report details where enterprises should start in their journey to modernize, evolve, and embrace the future of documents.

This post was written by Principal Analyst Cheryl McKinnon, and it originally appeared here: <https://go.forrester.com/blogs/the-future-of-documents-content-creation-is-ripe-for-its-own-digital-disruption>

ABOUT THE AUTHOR

Cheryl McKinnon is a principal analyst serving enterprise architecture professionals; she helps them support their firm's need for content and collaboration technology capabilities in the age of the customer. Cheryl delivers research and advisory services in areas including enterprise content management (ECM), content archiving, enterprise file sync and share, document-centric collaboration, life-cycle management, information governance, and file analytics.



The Precondition to Humanizing

AI

- common sense knowledge.

KEITH DARLINGTON AI CONSULTANT AND AUTHOR

Much has been made in recent years about the power of AI applications with some justification. AI can now outperform humans in many domains – such as medical diagnostic systems, image recognition, and chess playing. AI systems can recognize faces and other objects; they can drive cars as well as we can; they translate speech to text, understand natural language, detect credit card fraud, and perform thousands of tasks in ways we could only dream about a decade ago. AI has also helped immeasurably with tackling the coronavirus pandemic in several ways as I described in the August 2020 issue of *iQ*.

However, unexpected glitches have sometimes appeared in AI systems. For example, Google's human photo recognition system did at one time incorrectly classify some humans as gorillas. Google apologised for the errors. Other problems have arisen in understanding natural language. Users of Google Translate, a very useful language translation tool, will sometimes be aware of its difficulty in translating adages. These problems emanate from a failure of understanding due to a lack of common sense knowledge.

HUMAN COMMON-SENSE KNOWLEDGE

Common sense is the knowledge that all humans have. Such knowledge is unspoken and unwritten - we take it for granted. We acquire it imperceptibly from the day we are born. For example, “animals don’t drive cars” or “my mother is older than me”. This knowledge is often used by human experts even when solving very narrow, domain-specific tasks. This common-sense knowledge is something that we learn through experience and curiosity without even being aware of it. We also acquire a great deal of it in our lifetimes.

AI systems don’t have common sense knowledge and acquiring it has been seen as an important goal from the start. Furthermore, from all the efforts made over many years, it has become evident that building common sense reasoning systems is a work-intensive and costly task. In this article, I show why common sense reasoning is so important, and describe some approaches that have been used to incorporate common sense in AI systems. These approaches have enabled common sense reasoning tasks to be used as add-ons to AI client programs – such as Chatbots that were described in my article in the iQ November 2020 issue.

WHY IS COMMON SENSE KNOWLEDGE SO IMPORTANT FOR AI SYSTEMS?

One of the founding fathers of AI, John McCarthy, was amongst the first to realize the importance of common sense. He wrote a paper that was the first to propose common sense reasoning through a hypothetical program called Advice Taker in 1959. This paper only described a specification for what a common-sense program should do. However, it soon became apparent that there was a need for working common sense knowledge programs to assist decision making in AI expert systems. These systems represented the first commercial boom period for AI, so common-sense knowledge became seen as an essential adjunct for their success.

One of the reasons why common sense was seen as important was that even those that were considered to be

very competent at problem-solving, were also brittle. This was because, they often gave meaningless answers when trying to reason with unusual problem data that they had not previously encountered. For instance, as I show later, a medical diagnostic AI system didn’t realize that it was given car data when it diagnosed a car with measles. These absurdities would never happen using human experts because their common sense would mean that they immediately reject the data. Also, human experts sometimes reason in ways in which common sense might override their specialist domain knowledge. For example, a medical expert might be considering life-threatening surgery on a very elderly patient with a short life expectancy.

A HUMAN EXPERT ENCOUNTERS CHANGES IN A DOMAIN WITH WHICH THEY HAVE SOME FAMILIARITY, THEY CAN ADAPT IN WAYS IN WHICH AI SYSTEMS CANNOT.

The expert may rule out the surgery given his or her common sense understanding of the circumstances. An AI expert system, without common sense knowledge, would not have this broader perspective to make such a decision.

Also, most AI programs today use deep learning algorithms that excel at pattern recognition, such as recognizing a human face or classifying an object. However, they still struggle with changes – even when small modifications are encountered. This means that they have to be re-trained with large amounts of data again from scratch. In contrast, humans can adapt with more ease by making logical inferences from common sense knowledge. This gives us capabilities for generalization and analogizing from situations. For example, if we humans learned to play a video game

with a mouse on a notebook computer and then tried to play the same game on a touchscreen smartphone we would probably cope without too much difficulty, unlike a deep learning program that would have to be re-trained with a new large data set. We would cope because we would reason from generalities - such as the rules of the game are the same, the screen icons mean the same, and so on. This means that when a human expert encounters changes in a domain with which they have some familiarity, they can adapt in ways in which AI systems cannot.

SOME COMMON SENSE REASONING PROJECTS

A number of common-sense projects have been developed over the last 30 years. The first was CYC that started in 1984. This was a very ambitious AI project that attempted to represent common-sense knowledge explicitly by assembling an ontology of familiar common-sense concepts. It was named CYC taken from the word ENCYCLOPAEDIA because it was attempting to store a vast amount of real-world knowledge. The project was originally based at the Microelectronics and Computer Technology Corporation (MCC) in Austin, Texas. The project leader and founder Doug Lenat was quoted as saying: “The motive behind CYC is that the first generation of expert systems lack common sense. This has caused them to be “brittle”. This has meant that many first-generation expert systems performed very well but only when confined to the narrow boundaries of the domain knowledge used by the systems. The first-generation AI systems would be unable to respond sensibly to broader real-world common sense knowledge which human experts frequently use because they didn’t have any”.

As an example of this problem, Lenat considers the following skin disease diagnosis expert system dialogue with a patient who is actually a Chevrolet car.

Program: *Are there any spots on the body?*

User: Yes.

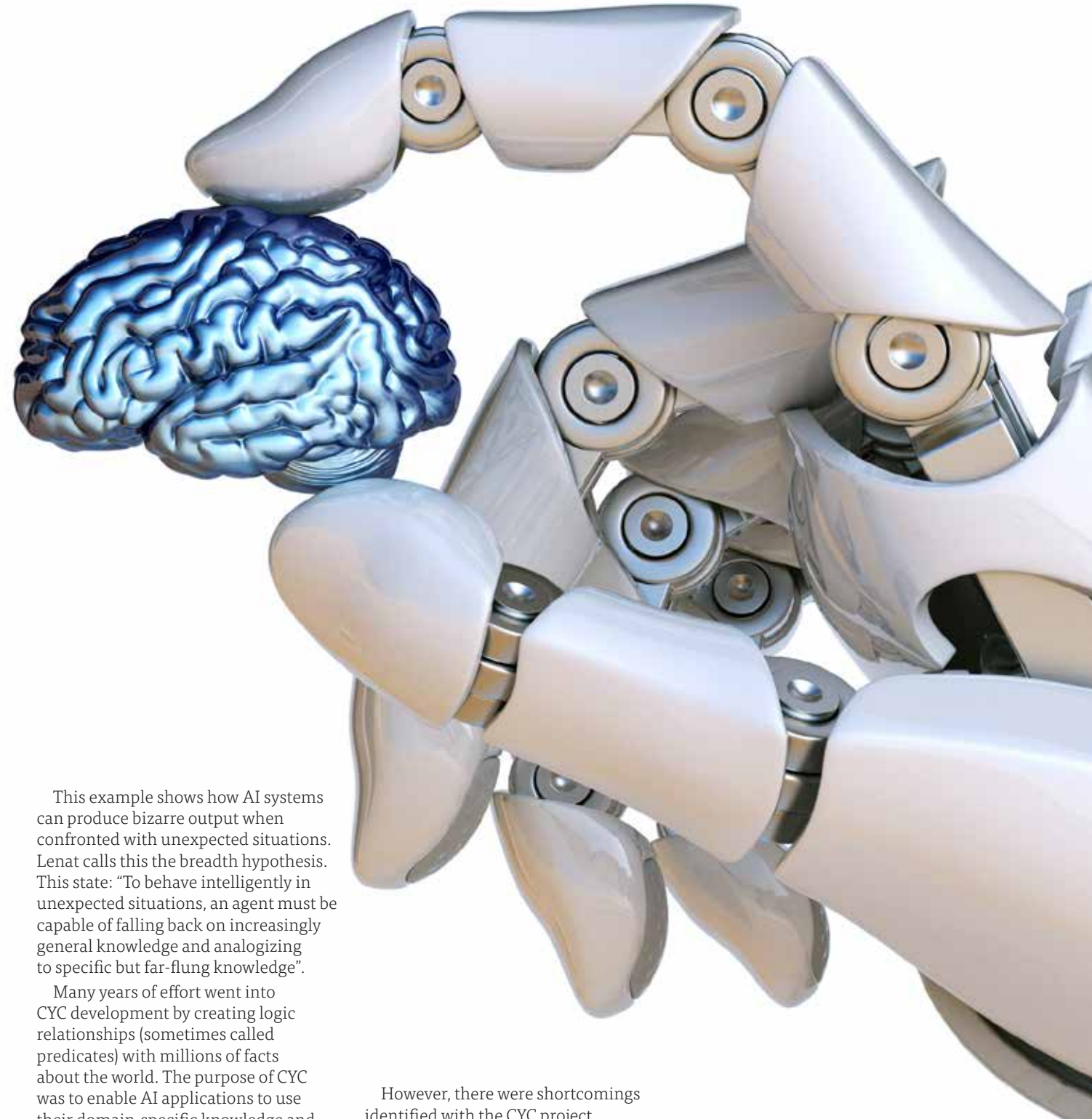
Program: *What colour spots?*

User: Reddish brown

Program: *Are there more spots on the trunk than elsewhere?*

User: No.

Program: *The patient has measles.*



This example shows how AI systems can produce bizarre output when confronted with unexpected situations. Lenat calls this the breadth hypothesis. This state: “To behave intelligently in unexpected situations, an agent must be capable of falling back on increasingly general knowledge and analogizing to specific but far-flung knowledge”.

Many years of effort went into CYC development by creating logic relationships (sometimes called predicates) with millions of facts about the world. The purpose of CYC was to enable AI applications to use their domain-specific knowledge and perform human-like common sense reasoning. It has been operational for many years and has many commercial customers. According to the CYC Website “CYC has the world’s broadest and deepest common sense knowledge base (KB), by orders of magnitude”. The knowledge base is not a database – it consists of real-world axioms that CYC uses to reason about the world and understand common sense data. CYC’s knowledge-base includes more than 10,000 predicates, millions of collections and concepts, and more than 25 million assertions”.

However, there were shortcomings identified with the CYC project – particularly dealing with the ambiguities of human language. Some critics think the goals of the project are admirable, but CYC is still too incomplete on its own to have an enormous impact. The project required a huge amount of handcrafted labour – meaning there are many expert staff required to develop this system and was estimated to have cost more than \$200 million to develop.

Other less costly approaches to common sense reasoning have used an open-source model for capturing data on the Web.

Open-source means that a community of users who come to the Website can help in its construction. For example, ConceptNet is a freely available common sense knowledge-base and natural language processing toolkit – designed to help computers understand the meanings of words that people use. It does this by using a means of representing knowledge called, semantic networks. These use graphical methods to describe relationships between concepts and events to describe common sense activities.

THE ABSENCE OF COMMON SENSE PREVENTS INTELLIGENT SYSTEMS FROM UNDERSTANDING THEIR WORLD, BEHAVING REASONABLY IN UNFORESEEN SITUATIONS, COMMUNICATING NATURALLY WITH PEOPLE, AND LEARNING FROM NEW EXPERIENCES.

This semantic network knowledge-base contains over 1.6 million assertions of common sense knowledge such as the spatial, physical, social, and psychological aspects of everyday life. It was launched in 1999 at the MIT Media Lab and began as a system called Open Mind Common Sense but has gone through much improvement over the years. It has been successfully used in Chatbots and some natural language AI systems.

Another approach has been to get the computer to learn to read on the Web (called Web scraping) to acquire common sense knowledge. One such effort has been through a system developed at Carnegie Mellon University that began in 2011 called NELL (Never Ending Language Learner). The basic idea here is that NELL is programmed to search the Web and identify linguistic patterns to deduce its meaning. It reports on its recently-learned facts via its Website (<http://rtw.ml.cmu.edu/rtw/>). For example, it recently learned that Oliver Stone contributed to the film JFK, and that day lily leaves are a vegetable. These are, perhaps, not particularly exciting finds but nevertheless, NELL contributes to a knowledge-base of over 50 million beliefs with, the developers say, high confidence.

DARPA, the US defense department's research agency, has also recognized the absence of common sense as being an important issue. (<https://www.darpa.mil/program/machine-common-sense>). They recently launched a project called Machine Common Sense. As they say: "The absence of common sense prevents intelligent systems from understanding their world, behaving reasonably in unforeseen situations, communicating naturally with people, and learning from new experiences. Its absence is considered the most significant barrier between the narrowly focused AI applications of today and the more general, human-like AI systems hoped for in the future". DARPA's approach

is to use a two-pronged strategy. The first strategy in their proposal involves building computational models that learn from experience. The second strategy seeks to develop a service that learns from reading the Web, like a research librarian, to construct a common sense knowledge repository.

CONCLUSIONS

Despite many valiant efforts, there is a general feeling that there is still considerable room for improvement in common sense applications for AI. Users of AI systems need to be aware of these limitations. Of course, there are many AI systems at work that need little or no common sense. But for those that do, we need to be aware of their limitations, otherwise, we run into the problems discussed in this article.

ABOUT THE AUTHOR

Dr. Keith Darlington, AI Consultant and Author: I am a recently retired university lecturer in Artificial Intelligence (AI) living in Wales. My PhD was in AI specialising in explanation facilities for intelligent systems. I graduated in pure mathematics and also taught mathematics and computing during my career. I have written several books in computing and expert systems, and presented several conference and journal papers in AI related topics. My current interests include machine learning, robotics, and common sense reasoning.



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Gartner Identifies Data Governance and Cyber Security as Top Risks for 2021.

Gartner have conducted interviews and surveys from across its global network of client organisations to identify the top 12 risks, or “Audit Plan Hot Spots,” facing boards, audit committees and executives entering 2021 (see Figure 1). The Audit Plan Hot Spots Report revealed that IT governance is displacing data governance, which was the top entry for 2020 and is in second position for 2021.

“While the pandemic has created new challenges for audit executives to grapple with, what’s most notable is how the current environment has accelerated existing risk trends,” said Leslee McKnight, research director for the Gartner Audit practice. “The volatility and interconnectedness of the two most important risks, IT and data governance, also shines a light on the importance for firms to rethink their risk governance. Audit leaders should apply dynamic risk governance in order to rethink their approach to designing risk management roles and responsibilities.”

While the top three hot spots audit executives must focus on for 2021 all made appearances in last year’s list, they have all been altered by the nature of working in the pandemic:

IT GOVERNANCE

Abrupt work-from-home mandates have accelerated digital roadmaps, causing many organisations to vault years forward in the space of a few weeks. This move has spurred the rapid adoption of new technologies both on the employee and customer side, presenting new challenges to productivity, consumer preferences and guarding against security vulnerabilities. New technology adoption may be hobbling IT departments’ plans, with IT support incident requests doubling in early 2020 to support a huge increase in work-from-home employees. Additionally, managing access rights for many more remote workers presents new risks such as “privileged user abuse,” which is expected to climb over the next 12 to 24 months according to a Gartner IT executive survey.

This dashboard compares the Audit Plan Hot Spots over the last five years.

2017	2018	2019	2020	2021
Cybersecurity: Technological Vulnerabilities	Data Privacy	Cybersecurity Preparedness	Data Governance	IT Governance
Data Privacy	Cloud Vulnerabilities	Data Governance	Third-Party Ecosystems	Data Governance
Cybersecurity: External Threats	Strategic Workforce Planning	Third Parties	Cyber Vulnerabilities	Cyber Vulnerabilities
Pace of Innovation	Information Security Behaviors	Data Privacy	Data Privacy	Business Continuity and Disaster Recovery (BCDR)
Change Fatigue	Business Continuity and Disaster Recovery (BCDR)	Ethics and Integrity	Risk Culture and Decision Making	Talent Resilience
Organizational Sustainability	Digital Preparedness	Operational Resilience	Project Management	Corporate Responsibility
Third-Party Relationships	Corporate Culture	Cloud Computing	IT Governance	Third-Party Management
Strategic Workforce Planning	Fraud	Digital Business Transformation	Regulatory Developments	Risk Culture and Decision Making
Political Uncertainty	Shareholder Intervention	Regulatory Uncertainty	Organizational Resilience	Corporate Financial Management
Budgeting and Forecasting	Growth and Innovation Pressures	Strategic Workforce Planning	Supply Chain	Data and Analytics
Strategic Decision-Making and Execution	Geopolitical Volatility	Acquisition Integration	Strategic Workforce Planning	Supply Chain
International Tax Planning	New Revenue Recognition Standards	Trade and Tariffs	Artificial Intelligence (AI)	Total Workforce Management

Figure 1. Audit Plan Hot Spots Dashboard

<https://www.gartner.com/ngw/globalassets/en/newsroom/images/graphs/11-19-20-auditplanhotspots2021.jpg>

“THE PANDEMIC IS FORCING MANY AUDIT AND RISK EXECUTIVES TO ADDRESS THEIR ORGANISATION’S DEFICIENCIES IN THE MOST CRITICAL AREAS,”

DATA GOVERNANCE

The pandemic means that organisations are expected to collect more sensitive personal information from employees and customers than ever before. Yet, data governance practices are regressing, with fewer dedicated resources to data privacy than in previous years. Organisations face increasingly complex data environments where their data is housed. Growth in software-as-a-service (SaaS) and delays to upgrading legacy systems have created work environments where data is distributed across disparate platforms, software and servers. Such complexities continue to test audit executives, with only 45% expressing high confidence in their ability to manage data governance risk.

CYBER VULNERABILITIES

Cyber vulnerabilities are especially acute this year, due to the rapid organisational changes needed to protect employees and serve customers in the midst of a pandemic. Despite increased cybersecurity spending, only 24% of organisations routinely follow cybersecurity best practices, this will result in cyberattacks that are expected to cost organisations \$6 trillion annually by 2021. Drivers of this risk include lapses in security controls and increased employee vulnerability to social engineering. More than half of employees are currently using personal devices to do work remotely, while 61% have indicated their employer has not provided tools to secure these devices.

Additional security lapses include a lack of attention to employee’s home network security and status of antivirus software.

“The pandemic is forcing many audit and risk executives to address their organisation’s deficiencies in the most critical areas,” said Ms. McKnight. “Inadequate data governance and IT security practices will have even steeper consequences in the current environment than pre-pandemic, particularly when considering the types of data many organisations feel compelled to collect as a result of new health and safety measures.”

Learn more at www.gartner.com/en/audit-risk.

CASE STUDY



Yarra Ranges Council

THE CHALLENGE

Council had an overwhelming need to quickly find information across the organisation for FOI requests, customer requests and general business outcomes. Their email archive was very large and information was stored in various locations in network drives and a variety of corporate systems.

THE SOLUTION - IFERRET

Providing a single search capability across key document repositories including Pathway and ECM ensuring that nothing can fall through the gaps when performing searches.

THE BENEFITS

There are now some 38 users of iFerret who undertake searches for FOI information, insurance discovery, governance, compliance, customer service. Feedback from users has been very positive and the FOI discovery process has reduced previous search times by at least 50 percent.

YARRA RANGES COUNCIL

Area:	2470 sq km
Population:	150,000 plus
Income:	\$203m*
Expenditure	\$174m*

Yarra Ranges is the 12th largest local government in Melbourne in terms of population and the largest in terms of geographic area. The Yarra Ranges Council area is located in Melbourne's outer east - between 30 and 110 kilometres east of the Melbourne CBD.

The Yarra Valley has local and international recognition for its fine food and wine producing area. Each year more than 4.5 million tourists visit the wineries of the Yarra Valley as well as the gardens.

*Annual Report 16/17

YARRA RANGES TURNS THE KEY TO GET ITS SEARCH PRIORITIES CORRECT

Outlining the background to the implementation of iFerret, Yarra Ranges enterprise systems business analyst, Michelle Harris explains "we had an overwhelming need to find information for FOI requests, our email archive was very large and information was stored in various locations in network drives, rather than the corporate document management system.

"Each system we use - ECM, Pathway and Email Archive - has its own searching capabilities but we were after a single means of searching and collecting documentation and data in the one place," she said.

One of the challenges confronting Yarra Ranges in configuring the machine on which iFerret would operate is the Council's policy to keep all emails, such that its email archive is very big and slow to search.

So it commissioned iPLATINUM to supply a dedicated machine on a turnkey basis. This machine has not only exceeded Yarra Ranges search performance needs but makes the implementation and ongoing upkeep seamless from the Council's perspective.

Ms Harris says using a single search capability across key document repositories including Pathway and ECM ensures that nothing can fall through the gaps when performing searches.

She explains that if something were to fall through "we may not be able to fully meet our requests for information, whether it is Freedom of Information, Subpoena and Protected Disclosure requests or investigations."

YARRA RANGE COUNCIL PERSONNEL USE IFERRET DAILY TO HELP DISCOVER ARCHIVED MATERIALS FOR STAFF ACROSS THE ORGANISATION.



In its initial evaluation of search solutions, Yarra Ranges spoke to several other iPLATINUM customers about their experiences with iFerret. They had compelling stories to tell, expressing their enthusiasm about realising some great time savings said Ms Harris.

She was involved in the testing and roll out of iFerret. In testing the product the main consideration was that the iFerret achieved and upheld the same level of security as the source system it was searching and that the search results provided everything that was expected to be found.

In a production environment there are some 38 users of iFerret who undertake searches for FOI information, insurance discovery, governance, compliance, customer service.

"Feedback from these users has been very positive," Ms Harris said. "They love it. Our FOI discovery process has reduced previous search times by at least 50 percent."

Typical of the ease with which searches can be accelerated was a request from one of the Yarra Ranges directors for historical documentation relating to grants commission road files.

The particular difficulty was the possible retention of files/documents in personal folders or 'nonobvious' locations on disparate network drives formerly assigned to staff who had since departed the organization.

The Council's FOI officer completed some initial research in the EDRMS system regarding the specific subject matter, keywords and dates.

About iFerret: iFerret is an enterprise search product developed by iPLATINUM that works like "google" over your corporate information. iFerret enables you to find information, including detail residing in scanned documents, that may exist in a variety of corporate repositories including email systems, records systems, corporate systems and shared drives. iFerret is now widely accepted in local government and installed at a large number of councils.

These search terms were then used in iFerret to run a number of queries, enabling the Director to find and compare historical and current information very quickly.

The Director reported to the FOI Officer “those 10 minutes with you and iFerret have saved hours of searching through normal means and reinventing what has previously been done”.

Yarra Ranges information management personnel use iFerret daily to help discover archived materials for staff across the organisation. A typical example of such a search task concerns records formerly held in an onsite archive facility which were catalogued before transfer to an Approved Public Record Office Storage facility.

A large portion of the collection was catalogued into the EDRMS system through the use of individual ‘Inactive Records’ forms. These are Word documents with multiple lines of text representing the content of boxes. For example, one archive box might contain up to 50 to 100 septic tank permits, or 50 individual building permit envelopes or 20 client files.

iFerret enables the information management staff to pinpoint the exact box location of specific files by entering the data i.e. name, address, permit number, which appears as an individual line item in the Inactive Record form.

AS THE IMPLEMENTATION OF IFERRET HAS GAINED MOMENTUM ITS USE HAS DEFINITELY IMPROVED THE SPEED AND ACCURACY WITH WHICH DOCUMENTATION CAN BE LOCATED FOR FREEDOM OF INFORMATION, SUBPOENA AND PROTECTED DISCLOSURE REQUESTS AND INVESTIGATIONS.

In current interactions between a customer and the Council, iFerret is also helping Yarra Ranges move to customer-centric searching, with the objective of better decisionmaking.

“By using iFerret and getting a trail of correspondence we can make more informed decisions for our customers, including members of the public and constituents,” Ms Harris said.

The push towards customer-centric searching is already benefitting from iFerret’s key search results screen which provides everything relating to a customer.

Elsewhere, iFerret’s managed result set function is being used to provide council planning submissions to third parties by making it easier to provide a variety of documents from different sources as a single batch.

Ms Harris explains when the Council receives objections regarding Planning Scheme Amendments those objections must be sent to authorities such as energy provider SPAusnet or Yarra Valley Water. Sending a result set provides an easy to navigate and reference set of documents.

As the implementation of iFerret has gained momentum its use has definitely improved the speed and accuracy with which documentation can be located for Freedom of Information, Subpoena and Protected Disclosure requests and investigations.

With the limited application of high-level access, the FOI Officer is able to locate documentation that is kept in corporate systems, email repositories and business unit/ personal network drives with a high degree of precision and promptness.

Ms Harris says the challenge still exists to sort through often vast returns of data.

“It is only through repeated use and familiarity that the operator can become adept at refining search strings to be more targeted in locating relevant information.”

iFerret provides the capability to narrow the search return information based on dates, document types, metadata filters and classifications enabling the operator to find only the specific piece of information they are looking for.

And, as the Council moves onto data cleansing, Michelle Harris expects iFerret’s document duplication identification process will deliver yet another benefit to Yarra Ranges.

INTERVIEW WITH

Simon Rawson MRIM



I work as an independent advisor focussing on records, information, and knowledge management. I have a passion for innovation and process improvement, being fortunate to contribute to several initiatives and ideas which are now regarded as best or common practice. Most projects are in the context of Office 365 however I also work developing information strategies which are platform agnostic. In my spare time I enjoy tennis, scuba diving, cheese making and cooking.

GET TO KNOW OUR MEMBERS

What brought you to the records, information management industry?

When I started, green screen technology was the latest and greatest. I was fortunate to be involved in development operational systems using information as a strategic resource. Plan versioning, electronic approvals, workflow, and audit trails were integral aspects. Well before terms such as workflow or content management came to be.

Throughout your career what has been your proudest achievement or milestone?

Designing an airline scheduling solution which is still in use (much upgraded) 30 years later. The solution is a great example showing the blend of information management with process automation.

Who has had a significant influence on your career?

My first manager, Paul Edwards at Trans-Australia Airlines. His vision for the use of computer systems influenced my thinking and the precepts remain as fresh today as they were then.

How long have you been a member of RIMPA?

I’ve been a financial member of RIMPA for just 18 months but have ‘hung around the edges’ since 2010 when Microsoft SharePoint first included records management functionality.

Where do you see the profession heading in the next decade?

I believe records and information management professionals need to become more involved in process management and automation. All business information is generated and consumed by business processes. Application of classifications and metadata is best done at first generation but cannot be done effectively without the involvement of records and information professionals. Collectively we need to be proactive and show how we can add value.



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