

iQ

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inForum

# INFORUM 2016: VIEW FROM THE FLOOR

The lowdown on the presentations,  
gala dinner, awards, trade exhibition



**Digital Continuity 2020 Policy –  
Australia got it right**

**Records management:  
an ‘inconvenient truth’?**

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Lisa Read White, Chair of the Board, RIMPA

## A new chapter for RIMPA



The 2016-17 RIMPA Board (L-R) are David Pryde, Paul Fechner, Jennifer Curley, Lisa Read White, Debbie Prout, Thomas Kaufhold, Rebell Barnes.



The proceedings at inForum 2016 kicked off with the Sunday night Welcome drinks – the convention was a resounding success.

inForum 2016 proved to be another successful event for RIMPA. In addition to hearing a range of interesting speakers and the opportunity to catch up with peers, the RIMPA Board met to discuss the way forward for the association.

At the AGM, Debbie Prout stepped down from her role as Chair after having served three years in the role and leading the Company through some challenging times. I am honoured to be taking on that legacy as Chair for the next three years and pleased to be sitting amongst a Board of very capable and passionate RIMPA members who work hard to ensure the future of RIMPA is bright and strong.

During the AGM, Debbie highlighted the reality of our declining membership and shared with members her concerns that without member help we would no longer have an association. In taking up the role of Chair, I'm not going to pretend that it will be easy, or that I have any magical solutions. As an association we have some serious hard work to do. We need to improve member value, membership levels and generate significantly more revenue. I bring to this role a business background and a good understanding of our industry having worked in both government and private industry over the last 20 years and running my own successful company.

This is not an easy task, especially with the current

economic challenges, mergers, reducing budgets and the changing nature of our industry. The Board has committed to these challenges and we are putting new initiatives in place to take this company and association forward. The Board has committed to KPIs and measures to gauge progress and performance.

Throughout inForum the RIMPA Board met every day from Sunday morning to Wednesday, and during that time we have made several decisions and explored many options.

Over the coming months you will see several new initiatives being put into place. We ask you all to support these initiatives as best you can. If at first you feel it is not right, you don't like it, or you want to understand more, contact Kate or any Board member and ask.

Please try to look at these changes pragmatically, and offer constructive feedback so we can improve and move forward together.

At no time will the Board put forward a change or new initiative that is not well thought through and have the best interest of the company and members in mind. This I can guarantee because we as directors are listed with ASIC, we have to comply with all the usual company rules and above all else we have you, the membership, to answer to.

So our request to you is to help the Board, and this association, thrive better than ever before by supporting the new initiatives, and providing constructive and detailed feedback. We are listening and acting on the feedback.

*At the AGM, Debbie Prout stepped down from her role as Chair ... I am honoured to be taking on that legacy as Chair for the next three years*

### BETTER MEMBER RESOURCES

One of the first initiatives we would like to put to you all is to help us build better member resources. The Board firmly believes that by improving member resources we will be able to increase membership by generating demand. We request that each of you stop sharing your templates and resources privately and start sharing via the members resource area.

In return, you receive five CPD points and a \$50 voucher to use on any RIMPA event for the first resource submitted, and two CPD points for every item thereafter. Your material will be de-identified and published with a credit reference back to you.

With this change of behaviour, next time I'm writing a policy or procuring something, I won't need to email the listserv, I can simply logon, browse the resources, and download.

Additionally, we will commence regular free live stream sessions for you to attend via Facebook. When you see these invites we want you to jump on and get involved. I will run the first few but we want all of you to get involved. These will be unpolished, but highly relevant topical discussions where you can ask questions and participate.

Members need to help and get involved!

The Board and CEO can't improve member resources alone. We need your help. We need you to get involved. RIMPA is your member association, which represents you, and your industry; it is recognised and weighs in on debates, and contributes to standards. RIMPA helps your career be recognised and stay relevant. RIMPA helps you to learn and stay up to date.

Several folk have commented that they no longer have membership due to their company reducing budgets. I personally struggle to understand this thinking when it is

your career, your reputation, your learning, your brand. It is not your employer's responsibility to keep you relevant in the workplace, it is your responsibility. You need to be in charge of your learning and career. You take your membership with you. Membership and CPD demonstrates to any employer that you want to stay up to date and skilled. So why not pay for your own membership?

One of our goals is to increase membership numbers. If each member encouraged one new member to join we would have achieved our Company goal in the next few months. We would also have many new peers to reference for experience, resources and potential speakers.

### INFORUM: A GREAT SUCCESS

I would like to thank all of the inForum sponsors for their support. I enjoy seeing what our industry providers are doing and what they have to offer. Many are bringing creative solutions to us for problems we are trying to solve in our workplaces.

Thanks to each of those who attended inForum presentations and the social activities such as the gala dinner – particularly those dressed in costume, a fine effort! Thanks to those who visited the sponsors, and made the most of their time at the event. I hope you all enjoyed yourself.

Special thanks to Kristen Keley for organising the convention, Wendy Morris, Kate Walker and all of the volunteers who helped make the event the success it was. A lot of hard work goes on behind the scenes that we don't see. Kristen is already working on inForum 2017 and 2018.

Please start booking for Brisbane next year.

**Lisa Read White**  
RIMPA Chair of the Board



# WORLDWIDE NEWS

## New data governance industry association launches in Australia

**A new independent data governance industry association, Data Governance Australia (DGA) was officially launched on 4 October.**

The new not-for-profit association will be chaired by former Australian Competition and Consumer Commission Chair and current Monash Business School Professor Graeme Samuel and comprises 12 founding board members from a cross-section of Australian industry, including major financial institutions, leading retailers, law firms, real estate corporations, airlines, and specialist data suppliers including technology, software and consulting service providers.

DGA will establish best-practice industry standards and benchmarks around the collection, use and management of data in Australia. It will provide education, thought leadership and advocacy services to its members to promote and foster understanding of how data can be used responsibly to drive innovation and competitive advantage while complying with all regulatory requirements.

Chairman of the Board Professor Samuel commented: "In a world of almost infinite data storage and use, it is incumbent upon all sectors of industry to ensure that stringent self-regulation and best practice is applied to retain consumer confidence and avoid heavy-handed federal regulation."

DGA will provide advocacy, education, support and thought leadership on all aspects of data usage and will operate alongside its sister associations ADMA (the Association for Data-Driven Marketing and Advertising), AIMIA (the Digital Industry Association of Australia) and IAPA (Institute of Analytics Professionals of Australia), all of which operate as separate associations, powered by a central expert team and resource base.

To find out more about Data Governance Australia, visit: [www.datagovernanceaus.com.au](http://www.datagovernanceaus.com.au) and look out for iQ's interview with Graeme Samuel in our next issue.



Graeme Samuel



Elizabeth Denham

## New UK Information Commissioner delivers first speech

**Businesses must be more open about how they use the personal data they gather from consumers, Britain's new Information Commissioner said in her first speech at a recent event in London where the digital and personal information economy took centre stage.**

Elizabeth Denham is responsible for leading the Information Commissioner's Office, the UK's independent authority that regulates the *Data Protection Act*, *Freedom of Information Act* and the rules around marketing calls and texts.

The Information Commissioner's Office is currently investigating changes that messaging app WhatsApp has made to the way it shares data with parent company Facebook, to determine if it is illegal in the UK.

"The personal information economy can be a win-win situation for everyone," she said. "Get it right, and consumers and business benefits.

"So where do you start? Firstly you need to make sure you're following the law as it stands – which is a blueprint for responsible data practices. You also need to make sure you're building something that is future proof to withstand the law of tomorrow. And most of all, you need to make sure that whatever direction you're taking with people's information, you're taking those people with you.

"But like anything worth doing, it starts with a plan – a privacy by design plan. The plan requires thought, care and a commitment to your customers – you need to build the considerations for privacy into your projects right from the beginning to make it work.

"And as you're constructing your privacy framework, you're also laying down the foundations of trust, which is integral to your innovation. Trust also builds reputation, and both can be easily lost when consumers discover you haven't been completely honest about how you are using their information," she said.

Ms Denham, who will serve a five-year term as Information Commissioner, has held senior positions in privacy regulation in Canada over the last 12 years.

Since 2010, she has been the Commissioner at the Office of the Information and Privacy Commissioner for British Columbia, Canada.

## MoMA releases digital archive of more than 30,000 exhibition images

**New York's Museum of Modern Art (MoMA) recently announced it has released an extensive digital archive that chronicles its exhibitions from when the museum opened its doors in 1929 to today.**

The archive features more than 3,500 exhibitions and more than 33,000 installation photographs, as well as primary documents such as press releases, checklists, catalogues, and artist lists.

Michelle Elligott, chief of the museum's archives, told

*The New York Times* on 14 September 2016: "This is like a dream come true for me, because I've been playing around with this material for 20 years and I know the depth of what's here."

Elligott, who worked with Fiona Romeo, the director of digital content and strategy, to realise the 'living archive' said that they made some surprising discoveries while working on the project. They learned that the date of the first show dedicated to a female artist was actually earlier than they previously thought. Titled 'Creative Growth, Childhood to Maturity', the 1939 exhibition presented works by Dahlov Zorach Ipcar. They also found that Pablo Picasso has been included in 320 exhibitions at the museum, which is more than any other artist.

In addition to the new archive, the museum also has over 70,000 pieces of art available to view online for free.

You can view the new archive at [moma.org/calendar/exhibitions/history](http://moma.org/calendar/exhibitions/history). You can view the individual pieces online at [moma.org/collection](http://moma.org/collection).



MoMA online photo archive

## National Archives begins moving millions of records to new facility

**The National Archives of Australia is due to begin moving millions of Commonwealth records to its new purpose-built National Archives Preservation Facility in November.**



Despite preserving an increasing number of digital records, the Archives still has a significant volume of paper, audiovisual and other analogue items it must continue to store.

Records kept by the Archives illustrate the history of the Commonwealth. The preservation and accessibility of these records underpin the nation's democratic progress and ensure public accountability.

The environmentally designed facility is capable of housing 104 shelf kilometres of paper and 9.6 shelf kilometres of audiovisual records, together with 150 staff.

The facility will give the Archives room to move, containing a digital archive as well as space for tangible records.

"The relocation of records to the National Archives Preservation Facility is the largest in our history. Between November 2016 and June 2017 we will be consolidating collections from three repositories. During this time, there will

be some disruption to public access to records as we move and unpack the collection in its new home. We will endeavor to minimise any inconvenience throughout this relocation process," said Archives' Director-General David Fricker.

Completion of the 17,500 square metre facility is on track for February 2017. The building will hold 25% of the Archives' current collection and the new Canberra site has the ability for future expansion if required.

## TalkTalk gets record fine after hackers got in 'with ease'

**TalkTalk Telecom Group Plc in the UK was fined 400,000 pounds (\$510,000) by Britain's data-protection regulator over a cyberattack that generated global headlines a year ago.**

The telecommunications company's "failure to implement the most basic cyber security measures allowed hackers to penetrate TalkTalk's systems with ease," UK Information Commissioner Elizabeth Denham said in a statement. Police have arrested at least six people in relation to the attack.

Hackers accessed the personal data of about 150,000 TalkTalk customers, including names, addresses, dates of birth, phone numbers and email addresses. The company's shares lost 19% after details of the incident were disclosed, before recovering on news that the impact was smaller than initially feared.

TalkTalk said it had been open and honest about the breach and had cooperated fully with the ICO probe.

"While this is clearly a disappointing decision, we continue to be respectful of the important role the ICO plays in upholding the privacy of consumers," the company said in a statement.

The ICO said TalkTalk failed to scan for possible threats after taking over Tiscali SpA's UK operations in 2009 and was unaware of vulnerable web pages. TalkTalk was also unaware it was using outdated software and had it been updated, the bug would have been fixed, the ICO said.

Source: Bloomberg, 5 October 2016

## 41% of mid-size EU businesses at risk of breaching incoming data privacy laws

**The full impact of the EU General Data Protection Regulation (GDPR), which has now been formally adopted by the European Parliament and will come into force on 25 May 2018, will come as a shock to many European mid-size companies.**

Four out of 10 mid-market companies – ie, with 250 to 2,500 employees – hold on to almost every record, regardless of official retention guidelines, according to storage and information management company Iron Mountain.

In a study undertaken with PwC, Iron Mountain found that one in 10 (11%) mid-market businesses in the EU retain information without taking into account variable retention and data-protection requirements, making it difficult, if not impossible, to identify the sensitive information they have no right to hold on to indefinitely.

The study found that most companies are retaining all their information because they want to exploit it for possible future



value (89%) or to provide a safety net in what is becoming an increasingly complex regulatory landscape (87%).

Many are doing so to ensure they can comply with e-discovery requests (42%). However, with Article 23 of the new GDPR stating that retention periods for all kinds of information – from emails and instant messages to proposals and contracts – need to be factored in from the moment the information is created, the risks and potential penalties associated with an unstructured approach to retention could prove severe. Failure to comply with the incoming legislation could lead to fines of up to 4% of annual global turnover or up to EUR 20 million. The higher of the two figures will apply.

When organisations do not have policy, process and guidance in place, they put themselves at increased risk by leaving decisions to individual employees. A study by global information trade body AIIM found that more than half (55%) of the companies it surveyed worldwide let employees save or delete emails as they see fit, leaving many businesses unclear and unable to prove whether or not sensitive information had been deleted in line with regulations.

“Knowing what information to hold on to and for how long is complicated for many European organisations, with different rules for different kinds of information in different countries. It is just as risky to hold on to something for too long, such as personal data or unsuccessful job applications, as it is to destroy something too soon, such as email correspondence or health and safety records that might be required for a lawsuit. Unsurprisingly, many companies have responded by simply keeping everything.

“However, particularly in the case of personally identifiable information, this cannot continue. From 2018, businesses will need to prove that their information is created with a built-in

end of life. Achieving this will require organisations large and small to know what they have, where it is, and how long they are entitled to hold on to it. We would advise businesses to seek expert guidance,” said Gavin Siggers, Director of Professional Services for Iron Mountain Europe.

Iron Mountain and PwC found that businesses older than 10 years are the most likely to hoard data (57%), while those that have been operational for less than a decade are more likely to seek expert help to support them with their retention needs: just over a third (35%) say they seek legal advice and act accordingly, while 29% employ a third party to manage their retention policies.

## Insider cyber leaks posing huge problems

**Australian companies are struggling to keep step with the growing threat of cyber leaks from inside their business, according to a report in *The Australian* on 30 August.**

Research commissioned by cybersecurity firm Forcepoint warns of malicious exposure by rogue insiders and accidental data disclosures.

As the government gears up to introduce laws to parliament that would force businesses to report data breaches, *The Australian* revealed the survey suggests 94% of enterprises have been exposed to a data breach caused by an internal threat.

This comes amid growing concern over breaches of sensitive data and cyber attacks in the wake of the recent collapse of the census website and a slew of other data breaches that have hit companies including Kmart, David

Jones and infidelity website Ashley Madison.

The research found that of the 35 chief information security officers surveyed, just 6% were able to categorically deny they had been exposed to a data breach.

The research – which spanned ASX-listed companies, state government departments and national non-government organisations – found that just half believed they have a solution in place to comprehensively protect against the ‘insider threat’.

Some 66% of those in the survey said they had been exposed to an ‘accidental’ insider threat; 32% faced malicious data leakage; and 39% had been hit by a ‘socially engineered’ threat where employees were tricked into divulging sensitive information.

Source: *The Australian*

## Carla Hayden takes charge of the world’s largest library

**Dr Carla Hayden is the first woman to take the position of Librarian of Congress in the United States, making her the leader of the largest library in the world. She was sworn in in September after winning a vote in the United States Senate in July. She was nominated by President Barack Obama in February.**



Carla Hayden

Dr Hayden is the former longtime chief executive of the Enoch Pratt Free Library system in Baltimore and a former president of the American Library Association. She is now the 14th Librarian of Congress.

Dr Hayden is also the first African American to serve as chief executive of the Library of Congress, the largest library in the world, with 162 million items in its collections. It also oversees the US Copyright Office and the Congressional Research Service. It serves

Congress and makes its research collections accessible on site and online.

Dr Hayden won high praise, during recent civil unrest in some Baltimore neighborhoods, for keeping library branches open citywide to continue service and provide citizens with safe havens.

She first served as a children’s librarian in the Chicago Public Library system, eventually rising to the post of deputy commissioner and chief librarian in that system. She also taught Library and Information Science at the University of Pittsburgh. She received *Library Journal*’s 1995 Librarian of the Year Award, and served as president of the American Library Association 2003-04.

The Library of Congress is the world’s largest library, offering access to the creative record of the United States – and extensive materials from around the world – both on site and online.

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

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## Next issue Technology: the latest, the greatest



**The February 2017 issue of iQ will feature a section on the latest and greatest in technology, plus general features. If you have an article on any RIM-related topic, we would love to hear from you.**

**Articles due: Thursday 1 December**





# CONFORM

## *Energise compliance with forcing functions*

Forcing functions are almost a requirement when it comes to changing email behavior.

By Craig Grimestad

**N**ever heard the term 'forcing functions' used in records management (RM) or information governance (IG)? Forcing functions are THE most powerful tool at your disposal when it comes to energising compliance.

I first learned the term in a systems engineering course. It was likened to a battery 'pushing' current around a circuit. Wikipedia offers the following applicable definition: "Any task, activity or event that forces you to take action and produce a result". So the point is to take an IG or RM action that forces departments and individuals to respond with an action that improves their compliance.

As a corporate records manager, there was a time when we had just approved our new RM policy that required active workforce compliance. The workforce was tasked with moving its electronic official records into an approved recordkeeping system (ARS), or assigning record class codes and the year of creation to their departmental shared drive folders (effectively another ARS). (Note: a prerequisite for this type of initiative is a comprehensive records retention schedule [RRS] so that there IS an assignable record class [and therefore a retention requirement] for each and every record.) The workforce was predictably slow in complying, and there were any number of sub-drives and folders for which a current owner could not be identified. In partnership with the chief information officer, a forcing function was set in place to force the workforce to comply. We determined to close all of the existing shared drives, and open a new directory of shared drives for new and transferred files – requiring assigned record class codes with the year of creation. We set a one-year termination of the existing shared drives to allow plenty of time for individuals and departments to carry on their primary business activities, as well as migrate the needed records to the new shared drive(s). If you didn't move it, by definition you didn't need it; the business didn't need it and it would be deleted.

As you have likely concluded by now, forcing functions commonly require strong support from the business, so a records manager typically would not be able to take the initiative and do this on their own. If you have a steering committee or a governance council, these would be great places to plan, support, promote and monitor the implementation of a forcing function.

We also used a forcing function to change our email practices and achieve compliance. In reality, forcing functions are almost a requirement when it comes to changing email behavior. We choose to use a forcing function on the existing email system, retaining the same account structure, but gradually, through a series of incremental steps, establishing new requirements and forcing compliance. Our starting point (might sound familiar) was individual email accounts with no limits, no standardised structure, and personal choice for disposal. If some individuals chose (and a few did) to keep all of their emails from the date of their employment, they would have a very large account. Our end point was to establish a common maximum account size for all, provide a 'safe haven' for official records, and subject the rest of the emails to an auto-delete function.

To begin, we reviewed the size of the email accounts and set an initial limit that only impacted a small percentage of accounts. We allowed sufficient time for those accounts to reach those limits with a good faith effort, and also (very important) provided some email management tips to identify email reduction



strategies to help individuals dispose of or relocate emails. We also established an exception process, whereby for business reasons, individuals, on a case-by-case basis, could temporarily be granted an exception to the current requirements until their business need subsided and they were able to rejoin the schedule of email maximums. Each time the maximum was lowered, new tips were provided to facilitate individual compliance.

During this process, individuals with official records in their email accounts were able to set up, within their email account, identifiable retention folders identifying the official record contents, exempting that folder from the auto-delete functionality. Allowing sufficient time for individuals to reduce their email, providing guidance on how to reduce email, providing a 'safe haven' for official records, and providing an email limit exception process for business reasons, proved to be a potent and successful approach in achieving our objective.

Forcing functions, while the most intrusive approach into normal business operations to energising compliance, are sometimes necessary where a significant change in process for improved business efficiency and consistency is required. Introduction of new technology such as a document management system (DMS) or an enterprise content manager (ECM) is a type of forcing function that usually meets with minimal cultural pushback.

People typically like new technology. Pushback for new technology typically comes from an unprepared workforce and/or an overly aggressive implementation. I'll talk about THAT next time.

### ABOUT THE AUTHOR

Craig Grimestad is a senior consultant with Iron Mountain Consulting. His specialty is designing RIM core components with a sub-specialty for RIM auditing. Craig holds a Masters of Science degree in Engineering and was the records manager for the Electro-Motive Division of General Motors where he participated in the development of the GM Corporate RIM program, and implemented and managed Electro-Motive Division's RIM program.

➔ He blogs to: [blogs.ironmountain.com/author/cgrimestad](https://blogs.ironmountain.com/author/cgrimestad)





# Is digital different?

*Is Digital Different? How information creation, capture, preservation and discovery are being transformed.*

Edited by Michael Moss and Barbara Endicott-Popovsky with Mark J. Dupuis.

Review by Tim Newbegin

## IS DIGITAL DIFFERENT?

How information creation, capture, preservation and discovery are being transformed



*... the authors explore the role of the information professional in a changing digital landscape*

professional in a changing digital landscape, which challenges the very existence in some environments of the traditional library, archive and even – dare I say it – what we know as records management. In particular, the authors identify and explore the multi-faceted issues of increasing digital access and the consequential increasing demand being imposed on us as professional custodians and information managers based on user expectations.

For instance, McCarthy and Morgan in chapter 8, 'Rights and the commons: navigating the boundary between public

and private space', provide the following comment:

"The belief that search and indexing tools would be able to locate relevant materials of evidential value in unstructured and distributed systems has been shown to be misplaced. Without intentional record creation and preservation process, it is almost impossible to identify a genuine record providing evidence of a transaction amid a sea of 'false positives' – for example, the drafts, the working documents, the widely distributed emails, documents and social media posts.

In a context where information is uncontrolled and created on a scale that is uncontrollable, the identification of records and materials that can act as evidence becomes increasingly problematic."

Thomas and Johnson in chapter 9, 'Has the digital changed the way we do research', state that "books provide a means of both storing and exchanging ideas and information". In chapter 7, 'Security: managing risk online', authored by Endicott-Popovsky, it is noted that Alvin Toffler, in his book *Future Shock*, claims that "The illiterate of the 21st century will not be those who cannot read and write, but those who cannot learn, unlearn and relearn".

I thoroughly enjoyed the opportunity to read a book and to learn, unlearn and relearn. As a professional in the field, I found the 180-pages of the book to be an enthralling read. Each chapter took me somewhere and either exposed me to something new, for instance the world of libraries and their scenarios, or alternatively reaffirmed current information management thoughts. I also took a number of notes of situations and reference links that will prompt further research and, in one instance, will prompt a discussion at work amongst my team. In conclusion, it's a worthwhile read.

### ABOUT THE AUTHOR

Tim Newbegin is Coordinator – Corporate Information at the City of Boroondara.

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*Is Digital Different?* is an easy to read and understand edited collection of articles and research papers written by a number of experts from across the globe. Amongst the authors is an Australian contingent, comprising Associate Professor Gavan McCarthy, Director of the University of Melbourne eScholarship Research Centre in the University Library and Helen Morgan, writer, archivist and research fellow, also of the Melbourne eScholarship Research Centre in the University Library.

*Is Digital Different?* seeks to explore the role and relationship of information professionals... be they information managers, archivists, librarians, born digital practitioners and – even more importantly, in a number of specific chapters – our major stakeholders, plus the end user or, if you like, the customer. It explores, over nine chapters, the role of these information professionals and outcome recipients in the transition from a paper-based analogue world to the provision of operational and strategic outcomes in digital environments.

Other contributors include David Nicholas, Valerie Johnson, Tim Gollins and Scott David. The innovation opportunities and daily work challenges afforded to us in the rapidly changing environment we work in are discussed from separate points of view using examples from not only the information management space, but library and archival environments from across the world. I found these distinctions to be both interesting and an excellent learning opportunity.

Key chapter topics include 'Search in the digital environment', 'Development of information management systems', 'Security: managing online risks', 'Long term curation and preservation', 'RDF and the semantic web', 'Crowdsourcing and engagement between institutions and individuals', 'Rights and the commons' and 'Finding archived records in the digital age'.

*Is Digital Different?*, in drawing on the examples provided of new and emerging technologies, globally re-emphasises and confirms that information systems – whilst they have always been shaped by available technologies, be they paper or digital, information management, archival or library system based – have always been cogniscent of the time-honoured staples of creation, capture, preservation and discovery of content based on compliance and governance requirements.

However, a number of examples presented explore the increasing challenges and opportunities the rapidly increasing customer-driven demand for instant service of access requests to trustable and reliable information / records present to us as professionals. They also explore the challenges and opportunities presented by the emerging digital technologies and increased capacity for enquiry and the impact this is having on the wider industry we know as information management.

Simply put, within the different perspectives of each chapter, the authors explore the role of the information

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Criminal records held at Archives NZ



Assorted attendees listening to Archives NZ staff  
Shaun McGuire and Moana Te Whaiti



Proclamation of Lower Hutt as a city by the Governor General, January 1941



Technology-independent microfilm from Desktop Imaging/New Zealand Micrographics



Archives NZ's Shaun McGuire holding the 1908 Coat of Arms competition – entitled 'Onward', and designed by 'Whakairo'

# THE GREAT BIG REPOSITORY TOUR

A vanload of RIM professionals toured Wellington's repositories recently – here's how it all played out.

By Kylie Welch

As a records and information management (RIM) consultant, I often spend time with and work with people who are really passionate about what they do. I often joke to my colleagues that it's funny what makes us happy. Seeing an old, bound volume of minutes from the 1800s is kinda cool for us. Seeing an electronic document management system being used effectively to track and trace information and archives is fascinating to us.

When it comes to passion and excitement, the RIM sector is definitely not lacking. Recently, I took a vanload of RIM professionals around the repositories in Wellington.

We started with a tour hosted by Shaun and Moana from Archives New Zealand, and the attendees were like kids in a candy store. We were enthralled by the archives Shaun showed us, and engrossed as he told stories about the archives he had to show us. Even going down to what Archives NZ call 'the Stacks' – where their shelving holds the treasures of the nation – was a treat for us. For some, seeing the Nation's founding documents, the 1840 Treaty of Waitangi, the Declaration of Independence and the 1893 Women's Suffrage Petition, for the first time, was an event they won't quickly forget.

The next stop on the InfoTrain Great Big Repository Tour was to the Hutt City Archive which proved to be a treasure trove of precious records dating back to the early 1800s. One of the archives we were shown by Jenny, Chris, Wendy and the team was a group of burnt minute books that had to be carefully restored following a fire. Seeing the careful preservation

of these volumes made us all appreciate how much hard work goes into ensuring these precious books will be able to stand the test of time. It made me think of the next generation, and how they will get to see these precious archives mostly because of the care and attention they received from this generation.

Following the visit at the Hutt City Archive, we drove to Recall where the team made sure we followed careful security processes and gave us all very stylish fluoro jackets to wear for the tour. The attendees were full of questions, which Richard and Junior answered with ease. Not only is the Recall repository full of actual information, the team there were full of relevant helpful information also. Recall in Grenada North holds over 800,000 boxes and to stand in the midst of the shelving is awe inspiring. We were able to visit the space where destruction takes place, and to see the paper bales that eventually put us at ease that the paper we send to off-site repositories does eventually end up being recycled.

It was hard to leave Recall (they had food and goodies for us!) but we had to. But it turned out OK, because the final stop of the tour was like stepping into the future. We visited the team at Desktop Imaging and New Zealand Micrographics. The tour started off on a high-note for the attendees as they examined the display cabinet which was full of interesting

... it's funny what makes us happy. Seeing an old, bound volume of minutes from the 1800s is kinda cool for us.



Warren Higham, InfoTrain Driver



(Right) Archives NZ staff Shaun McGuire showing attendees through the stacks at Archives NZ with Molly Kino (Te Puni Kokiri)  
(Below) Crest held at Archives NZ



Volume saved from fire  
held at Hutt City Archives

exhibits that the staff themselves had put together. This was housed in the reception area. Andy, Sheryl and Tyler showed us around (Steve was out of the city, but he's a great tour guide also!). We enjoyed, as Andy put it, "the dulcet tones of Tuakana", who demo'd the business process automation and digital mail room, while Hayley covered data extraction, metadata and indexing.

We always learn a lot from these people, and this tour did not disappoint. Did you know that Microfilm can smell very bad when it starts to deteriorate? We found out all about this and the process (and urgency) of restoration once this deterioration process happens. What I noticed during the tour was that everyone there is actually really passionate about what they do and, when an opportunity to make an advance in the field of technology makes itself known, they will ensure that they will make the most of that opportunity – to me, that is awesome and really beneficial for the whole RIM and GLAM (galleries, libraries, archives and museums) sector. The knowledge and experience of the team was prevalent on every step of this tour. Being at Desktop Imaging/NZMS really is like being in the future – for them, the future is now.

I would like to extend a big "thank you" to the companies and people that allowed us to tour their facilities, and we look forward to the next one in May when we visit Archives NZ, the Wellington City Archive, Desktop Imaging/NZMS and TIMG. I think you should definitely join us on that tour.

*The InfoTrain Great Big Repository Tour occurs twice a year in Wellington (May and August) and costs \$70. In the future tours may take place in Christchurch and Auckland also. Watch this space!*

#### ABOUT THE AUTHOR

Kylie Welch is principal consultant of InfoTrain Limited. InfoTrain delivers RIM workshops and consulting, and offers resources to help with professional development.

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# *All wrapped up in DNA*

The future of digital data continuation is in our genes

Can you imagine the colossal amount of data that National Archives holds being stored in an object the size of a sugar cube? Amazingly, this could be the future with digital DNA storage just around the corner.

By Linda Shave



**W**eb 3.0 semantic web also known as the 3D web has marked the evolution of the 'intelligent web' and continues to fabricate the connectivity in assembling the 'internet of things'. The 3D web has introduced new immersive techniques and tools, making it possible to collect, link, explore, interpret and use data in ways that can add meaning and structure. Semantic technologies open up access to data sources, connect data and combine information from disparate sources.

Fast on the heel of the 3D web is Web 4.0 the ultra-intelligent web, the internet-of-everything providing the connection of physical devices, vehicles, buildings, sensors, network connectivity. Enabling objects to collect and exchange data, the connection of people, data, processes and things and providing interactions between



humans and machines with artificial agents in the form of avatars who can chat with you and answer your questions.

This superhighway of the internet-of-everything (IoE), artificial intelligence, drones, 4D printing and other innovations will continue to evolve and will collect astronomical amounts of data. In addition to the superhighway of the internet-of-everything, governments and enterprises are also creating, capturing, managing and storing massive amounts of data digitally as outcomes of their business activities being available anytime, anywhere, anyplace.

The outcome of all of these activities is a world that is producing data faster than the capacity to manage it and store it. Data will continue to increase exponentially and yet, disturbingly, whilst stone tablets, parchment, paper and printed photographs have all lasted for thousands of years, digital data may not. So why does this matter? It matters, because it is taken for granted that digital data will be findable, accessible, readable and usable forever. This however is not necessarily the case!

Dr Vinton Cerf, Google's vice-president and one of the fathers of the internet, fears a 'digital dark age' in which the rapid evolution of technology will quickly make storage formats, data formats and technology obsolete. Furthermore, digital data can be prone to unseen damage where a 1 (one) may randomly change to a 0 (zero) or bits being 'flipped' – a phenomenon known as bit-flip or bit-rot. Bit-rot is insidious and can produce minor errors that are impossible to correct making digital data assets such as words, music, images, applications, documents, web browsers or databases inaccessible and unreadable for future generations. Are we heading towards the 'digital dark age' as Cerf suggests or is there a solution in sight?

Digital data continuation, security and privacy are challenges that governments and enterprises are facing, discussing and addressing as consequences of digital transformation initiatives, digital continuity agendas and the convergence of information, operational and consumer technologies. The solution to the challenge of data storage and the management of unimaginable volumes of data may just be all wrapped up in DNA.

DIGITAL DNA DATA STORAGE COULD LAST THOUSANDS OF YEARS

From an analytical view point the future of digital data continuation will hinge on semantic tools, analytics, emerging digital data classifications and information exploration techniques to determine the ongoing value of digital data assets, identify what data should be kept, tagging it, applying structure and using that structure to wrap and perpetuate digital data so it can survive into the future. Active perpetuation will provide a way to proactively prolong and protect digital data assets from 'obsolescence' and 'bit rot' as well as identifying digital data assets of value for DNA data storage. After all, why not? DNA has been reliably safeguarding genetic information for centuries.

*As Bill Gates declared: "DNA is like a computer program but far, far more advanced than any software ever created."*

*- This is a very different analogy to those that we are familiar with from either medical or forensic science.*

SO WHAT IS DNA DIGITAL DATA STORAGE?

We are all familiar with the term DNA, which is the abbreviation for deoxyribonucleic acid – a molecule that carries genetic information or, as Bill Gates declared, "DNA is like a computer program but far, far more advanced than any software ever created."

This is a very different analogy to those that we are familiar with from either medical or forensic science.

DNA digital data storage is the process of encoding binary data by converting binary digits (bit) of 1 (one) and 0 (zero) to letters. Each individual bit is converted to C or T for 0 (zero) and A or G for 1 (one). The letters A, C, G and T represent the four main compounds found in DNA: adenine, cytosine, guanine, and thymine.

To recover the data, the reverse process is undertaken – that is sequencing (determining the order of the four bases in the strand of DNA) then decoding the letters A, C, G and T back to the original sequence of bits of 1 (one) and 0 (zero). See Figure 1.

DNA DATA STORAGE HAS TREMENDOUS POTENTIAL

Storing digital data on DNA holds tremendous potential because it has the ability to overcome the inadequacies of current data storage solutions. This is due to the following reasons:



The current disadvantages of DNA digital storage is the cost. However, like all evolving technologies the expense over time will come down to the point where the technology becomes commercially viable on a large scale.

- ◆ It will not degrade with exposure to magnetic fields.
- ◆ It can survive extreme temperatures.
- ◆ It does not need power.
- ◆ It has endurance and longevity.
- ◆ It is high density – ie, able to store massive quantities of data in a very small space.

The current disadvantages of DNA digital storage is the cost. However, like all evolving technologies the expense over time will come down to the point where the technology becomes commercially viable on a large scale.

Having access to data now and into the future will depend on governments, enterprises and citizens understanding that digital continuation will depend on the value of information being constantly assessed, identifying what data should be kept, digital tagging and wrapping the data until it can be harvested and stored into digital DNA storage. Digital tagging would act like a 3D web within the digital DNA storage source – linking, connecting data and combining data from other disparate DNA storage sources. Each piece of data will be wrapped just like molecules are within DNA strands. These wrappers would provide the structure around content, security and privacy, as well as the encoding and decoding instructions.

THE FUTURE OF DIGITAL DATA CONTINUATION IS IN OUR GENES

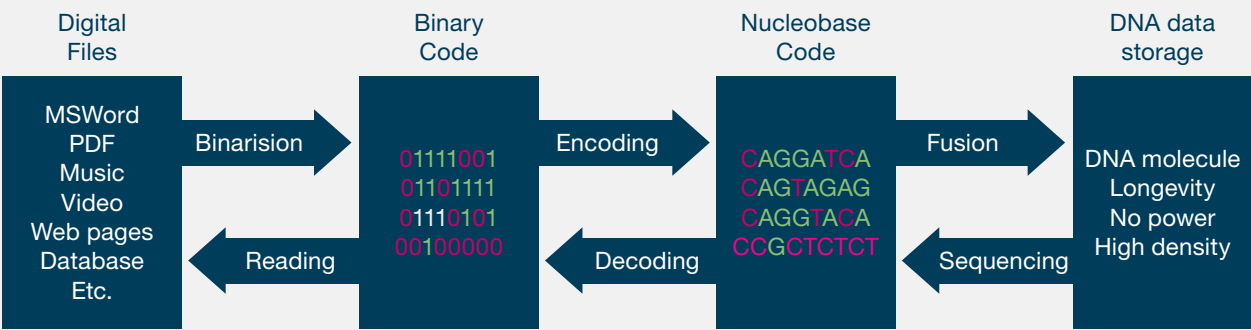
The future is already here. Digital DNA storage, whilst still in its infancy, is already a reality. For example, Microsoft in collaboration with researchers from the University of Washington are already testing DNA for long-term data storage. Our future is in our genes, it is now only a matter of time. Once digital DNA storage is commercially available a

new set of challenges will emerge, challenges that need to be considered and discussed further, for example:

- ◆ Who will be involved in the process of assessing the value of information, identifying what data should be kept, digital tagging and wrapping the data?
- ◆ Who will be responsible for converting and transferring data to digital DNA storage?
- ◆ Who will be the custodians of digital DNA storage now and into the future?
- ◆ What skills will be needed?
- ◆ What standards need to be set?

We are at the frontier of something tremendous, the digital world of the future, avatars recalling data, pictures, videos etcetera from wrappers embedded in digital data DNA storage. Digital data DNA lasting for thousands of years without degradation, being recovered by avatars, people, civilisations or information archaeologist for many generations to come. ♦

Figure 1 - Sample encoding and decoding binary code to nucleobase code for DNA data storage.



ABOUT THE AUTHOR

Linda Shave is acknowledged as a thought leader and architect of change. She is a researcher, consultant and auditor in areas of virtual information asset management, business process management, cloud migration, corporate governance and risk management. Linda is a former CEO, CIO and a member of numerous professional organisations. She can be contacted at [linda.shave@bigpond.com](mailto:linda.shave@bigpond.com)





# Records management – an ‘inconvenient truth’?

This article is a reflection on discussions about the role of information and records management and its relationship with our own organisations at two Information and Records Management Society (IRMS) events held in the UK in 2015 – the IRMS Ireland/UCD conference *Issues in contemporary records management* in October, and the IRMS Scotland/Perth & Kinross Council event *Information#Transformation: managing information to deliver business change*, in November.

By Alan Bell

*We provide the classic ‘support service’. Although we make (and should make) efforts to align strategically, the business isn’t that interested in us as long as our activities seem to be helping*

**W**e work in the margins. Coping as best as we can with the glut of information in modern organisations. Not able to discuss our work too widely and compelled to do so in the abstract. Aware that too many specifics in an inappropriate forum or an irresponsible act with the information for which we’re responsible has the potential to trigger the very risks we’re trying to foresee and mitigate. Aware that genuine harm can be caused by the mismanagement of information and it being disclosed, withheld, retained or disposed of inappropriately.

So no-one notices. Why should they? Our colleagues are doing their jobs. They’re creating, using and reusing information. Perhaps becoming grumpy when the information they need isn’t as organised or accessible as they’d like, but not grumpy enough to really care. There’s always another bit of data or information that they can substitute. It’s only the most significant of issues that generate concerns about the quality or integrity of the record.

No organisation, with the exception of certain national institutions, has record keeping as its substantive role. They exist to govern, service, educate, manufacture and so on. It’s important that we remember that our role is to engage with our organisations in ways that facilitate those principal functions.

We provide the classic ‘support service’. Although we make (and should make) considerable efforts to align strategically, the business isn’t that interested in us as long as our activities seem to be helping and don’t cause problems.

There might be recognition that our services are needed, but they’re not seen as core. They’re not the focus. They’re not desirable.

When record keeping suddenly, unexpectedly, becomes the focus, it’s usually time to find out what’s gone

Our arguments have to be grounded in real-world outcomes and expressed clearly according to costs, benefits or risks

wrong. A data loss? A negative ruling from a regulator? Key management data that’s unavailable or unusable? Whilst problematic, such fleeting moments of attention do create a chance to effect positive change.

Our soliloquies on the value of information and its status as a corporate asset, however lovingly-crafted, don’t resonate beyond our profession. We need to be confident enough to accept that, to seek instead the narratives that do connect with our managers and colleagues. Regulatory compliance (and its associated risks), though perceived as a chore by some, is one of those narratives. The challenge of the digital environment is another. We know how important compliance or the authenticity and longevity of digital information is to our organisations and to the communities we serve. We have to explain that. We have to find and articulate compelling narratives to people outwith the recordkeeping professions. In doing so we create opportunities to effect change outwith times of crisis.

We need to embrace the reality of our role. No matter how florid the language we use to describe it, our job is, at times, a trudge through the detritus of the information age. Doing our best to cope. Trying to make sense of it, to help others, to minimise risk, to help things improve.

Recordkeeping fulfils a valuable function. It’s important to acknowledge that. But let’s stop talking about intangible ‘benefits’ when we’re speaking to our paymasters. No-one beyond our immediate professional peer group could care less about benefits that they can’t recognise or quantify. When we’re making the case for records and information management within our organisations, let’s stick to explaining things clearly – if we do x, we get y. If we don’t do a, we risk b. Any attention that we do secure for our concerns and priorities with senior decision makers will evaporate if we express ourselves in vapid pseudo-management speak.

If we want others to listen, if we want to catalyse change, if we want to move our concerns from the margins to the centre, our arguments have to be grounded in real-world outcomes and expressed clearly according to



costs, benefits or risks. That is the only way to help record keeping attain a similar status within our organisations to that of HR, Finance or IT – as an operational asset and a key facilitative function.

So keep going. Know why you’re making your decisions. Know that they’re based on a bedrock of sound theory and practice. Understand the impact you’re having. Understand it in the context of your organisation. Understand it more widely. Be able to explain it to anyone who asks. Explain it in terms of their priorities. Don’t expect external validation, but appreciate it if it comes. Do your job. Do it well. Cope with limited resources, even whilst making the case for more or defending your position. Remember that record keeping is fundamentally important to your employer and to society. Try to improve things, but recognise you’ll do so incrementally. Accept that it’s an uphill slog. And good luck; whilst worthwhile, that slog is, to borrow Al Gore’s phrase, the ‘inconvenient truth’ of records management.

## ABOUT THE AUTHOR

Alan Bell is Head of Information Governance and Joint Assistant Director, Culture & Information at the University of Dundee in Scotland. Alan was elected an IRMS Fellow and won their ‘Author of the Year’ award in 2016.

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# OPTIMISING EDRMS TECHNOLOGIES FOR E-GOVERNMENT EFFICIENCY IN KENYA

This article is based on findings of a doctoral study on a framework for managing e-records in support of e-government in Kenya. It provides insights on the state of electronic documents and records management system (EDRMS) technologies implementation in Kenya in an attempt to improve efficiency and cost-effectiveness in government operations within e-government space.

By Cleophas Ambira

**T**his doctoral study looked at a wide range of issues regarding management of e-records in the e-government context. This article however speaks only on the role of effective EDRMS implementation as the driver of effective records management impacting on efficiency and cost optimisation, as it emerged from the study.

## INTRODUCTION

E-government refers to the use of information and communication technologies in general to provide citizens and organisations with more convenient access to government information and services (Fang 2002; Gilmore and D'Souza 2006; Kroukamp 2005; Ngulube 2007; Wamukoya & Mutula 2005).

Management of e-records (MER) is a critical success factor for e-government (An 2009; An, Sun & Zhang 2011; Feng, An, Liu and Dawson 2009). In order to realise successful implementation of e-government there has to be adequate and clearly structured EDRM systems and processes, as an essential technology underpinning e-government.

EDRMS solutions are important tools for effective and efficient management of e-records. They afford records managers the benefit of managing e-records seamlessly, efficiently and with greater accountabilities. They also enhance automation of the records management business processes, while ensuring consistency, better collaboration, improved security and control, better version control and even improved knowledge management (National Archives of Australia 2011; Fenton 2015).

management of records in Kenya, none of these studies has focused on MER in support of e-government implementation in Kenya. To address the knowledge gap, the current study sought to establish the current state regarding MER in support of e-government in Kenya.

The study investigated how MER supported e-government in Kenya with a view to develop a best-practice framework for MER in support of e-government. The specific objectives of the study were to: ascertain current status of MER in government ministries in Kenya; determine the current level of e-government utilisation; establish the effectiveness of existing practices for MER in supporting e-government; identify challenges faced by ministries in MER that could impact on implementation of e-government; propose recommendations that could improve MER in ministries to support e-government effectiveness and develop a framework for MER in support of e-government.

The theoretical framework was the European Commission's (2001) Model Requirements for Electronic Records Management (MoReq) and the United Nation's (2001) five-stage e-government maturity model. This was a qualitative phenomenological study anchored on the interpretive research paradigm. The study sample consisted of 52 respondents drawn from 18 government ministries, the Kenya ICT Authority (ICTA), the Kenya National Archives and Documentation Service (KNADS) and five e-government service areas. Data was collected through face-to-face interviews and analysed using thematic analysis. Broadly, the findings established the following:

*The study sample consisted of 52 respondents drawn from 18 government ministries*

## BACKGROUND

While studies have been carried out on

- ◆ The general status of MER in government ministries is inadequately positioned to support e-government.
- ◆ Utilisation of e-government in Kenya had grown significantly



and more ministries were adopting e-government services.

- ◆ Although some initiatives have been undertaken to enhance MER, the existing practices for MER require improvement to ensure they adequately support e-government.
- ◆ There exist several challenges in the MER that impact on implementation of e-government.

The study concluded that the current practices for managing e-records in support of e-government implementation were not adequate. A host of recommendations were made, as well as a proposal for a best-practice framework to enhance the management of e-records in support of e-government.

This paper, however, restricts itself to the findings with regard to application of EDRMS capabilities in the management of records relative to e-government.

## STATEMENT OF THE PROBLEM

There have been efforts to embrace e-government in Kenya through initiatives such as open data access, development of government websites, online transactions provided on the e-citizen portal and online whistle blowing. Some of the online transactions currently active include: application of public service jobs, filing of tax returns, application of higher education loans, application of driving licenses, application of business name registration, government tender applications and application of research permits.

In line with the e-government initiatives, there have been efforts to improve management of e-records in government ministries to support online delivery of government services. These include digitisation of paper records in some ministries, installation of systems for managing electronic records and policy directions from government agencies like the ICT Authority (ICTA 2015).

However, despite these initiatives in both e-government and MER, there is yet to be developed a framework to guide management of e-records within the e-government environment in Kenya. Lack of a clear framework for managing electronic records poses a major risk to the sustainability, stability and quality of services offered through the e-government platforms.

## E-GOVERNMENT IN KENYA

According to the United Nations e-government survey of 2016, Kenya is ranked among the top 10 countries on e-government in Africa at position 10 on the UN's e-government development index (EGDI) with EGDI of 0.4186. It stood at position 119 globally (United Nations 2016). The EGDI "is a composite measure of three important dimensions of e-government, namely: provision of online services, telecommunication connectivity and human capacity" (United Nations 2016).

The Government of Kenya established the e-government program in June 2004 (Directorate of E-government 2011). The objectives of the e-government strategy in Kenya were to: improve collaboration between government agencies through reduction of effort duplication and enhance efficiency and effectiveness of resource utilisation; improve Kenya's

competitiveness by providing timely information and delivery of government services; reduce transaction costs for the government, citizens and the private sector through the provision of products and services electronically; and provide a forum for citizens' participation in government activities (Directorate of e-Government 2011).

Among the services currently offered on the e-government platforms are: public service job applications and status tracking; national examination results confirmation and registration; Higher Education Loans Board (HELB) loan repayment tracking; business licensing e-registry; filing of tax returns; Personal Identification Number (PIN) and Value Addition Tax (VAT) registration; reporting of corruption online; access to government tenders and tender documents; custom services - long room clearance of cargo (Simba system); import declaration application; tracking status of national identity card and passport application (Directorate of e-Government 2012).

The Government has set up the e-citizen portal, which provides the Government's primary gateway for e-government services. The portal currently hosts 23 services from six Government services that attract mass demand. These six are: Registrar of Companies; Registrar of Marriages; National Transport and Safety Authority (NTSA); Department of Immigration; Ministry of Lands; Civil Registration Services. The key drivers for e-government in Kenya include pressure for public sector reforms, need for transparency, accountability and efficiency in delivery of government services, improved ICT infrastructure and Internet connectivity in the country and advent of mobile money transfer capabilities.

## OUTLOOK ON E-RECORDS AND E-GOVERNMENT IN KENYA

As the Kenyan government seeks to expand ICT-enabled services across all institutions, there is rapid generation of e-records across all government institutions accruing from various technologies at play. Some of these records are later deployed for access and use through the e-government systems.

However, Kenya has no national policy on records management and none on ERM. There have however been several efforts focused towards improvement of ERM in Kenya and boost delivery of services and access to information through e-platforms. These include: the Kenya Communications (amendment) Act 2008; the digitisation of most operations to increase efficiency and eliminate corruption that come with manipulation of paper documents; records management strategy released in May 2011; development of a manual for management of records in public sector in May 2010; and the Kenya freedom of information bill 2007 that requires all state agencies to computerise their records and information management systems (IRMT 2011; Government of Kenya 2011).

## FINDINGS ON EDRMS APPLICATION

The findings presented here are restricted to those regarding

the intergration of EDRMSs in the management of e-records (MER). These are in respect to responses obtained from the records management officers (RMOs) and ICT officers.

One RMO and one ICT officer were sampled from each of the 18 ministries involved. Seventeen (17) RMOs and 16 ICT officers responded to the study.

## DATA FROM RMOs

The following questions were posed to the RMOs:

- 1 Has your ministry installed any system for managing electronic records? If yes, please explain its features (Interview question 12).
- 2 Are there issues in management of electronic records (technical and organisational) that impact negatively on success of e-government in your ministry? (Interview question 19).

On the first question, only one ministry of the 17 had a system for managing e-records in place. The rest did not have a functional system. One other respondent reported that an EDRMS, Case360, had already been implemented and was currently being used to manage digitised documents. It did not manage online records generated on e-government platforms, even though the ministry had an e-government platform.

One respondent reported that the ministry was in process of implementing an EDRMS system. Two others noted that there was the Integrated Records Management System (IRMS) that was developed by the Directorate of Personnel Management (DPM) in 2011, which was once installed in the ministry but it had since collapsed and was no longer functional. Even then, the two respondents were unable to explain whether the IRMS had been designed to manage all forms of e-records including those generated on e-government platforms.

The second question was to establish if lack of suitable systems for MER could emerge as a challenge to MER in e-government. The following are the issues raised by the RMOs which they felt impaired MER's capability to adequately support e-government:

- ◆ "Poorly designed e-records systems that exclude e-government requirements" – from 13 respondents.
- ◆ "Selection of wrong systems for management of e-records in the e-government environment" – from 5 respondents.
- ◆ "Non-integration of MER in business practices and systems to enable capture and management of data and records generated on business systems" – from 13 respondents.

The following are some of the remarks made by the respondents in explaining the challenges of poorly designed systems and selection of wrong systems responding to question 19 as captured verbatim:

- ◆ "Ours is an ERP system but with no consideration for e-records management. As a result, there is no mechanism of managing all those records received online other than just holding them in the database."
- ◆ "The IFMIS systems and especially the e-procurement component has no provision for management of e-records. There is no standardised metadata or file plan."

- ◆ "We were told the IRMS was to help us manage e-records following the government's move to digitise. However when it was installed, we realised it could not manage e-records. The most it could do was to track movement of manual files."

- ◆ "Many of us are unable to distinguish between ERMS, EDMS and EDRMS. And also the ECMS which have also gained prominence. There is so much focus on workflows."

- ◆ "I am not aware of any ministry which has a proper system for capturing, managing and archiving email. Yet so much is being transacted on email nowadays."

## DATA FROM ICT OFFICERS

The study put the following questions to ICT officers which related to EDRMS integration in MER and impact on e-government:

- 1 Have you implemented any system for managing electronic records in your ministry? Please explain (Question 7 of interview schedule).
- 2 Is this system integrated with e-government systems? (Question 8 of interview schedule).
- 3 Have there been any other forms of records management automation projects in your ministry? Please explain (Question 9 of interview schedule).
- 4 In your opinion do existing practices of managing electronic records adequately support e-government in your ministry? Please explain (Question 13 of interview schedule).
- 5 What issues in the management of electronic records would undermine the success of e-government? (Question 14 of interview schedule).
- 6 Are there issues in the general design of the ICT infrastructure in your ministry that could undermine effective management of electronic records? (Question 15 of interview schedule).

On whether the ICT officers had implemented systems for MER or not, one respondent (6%) indicated the ministry had an EDRMS implemented in one of the parastatals under the ministry. However, at the parent ministry level, none of the respondents had a running system for managing e-records in place.

On the question on integrating systems for MER and e-government, none of the respondents reported availability or focus on such integration. Comments included the following:

- ◆ "I do not think this system was designed with e-government in mind because it has been around for a while before the e-government drive."



- ◆ “The ministry is in the process of obtaining an EDRMS to support management of documents received on e-procurement. However, it is not clear how the system will pull records from the e-procurement system – whether the design will incorporate inbuilt interfacing or not.”

On the question of whether there had been any automation of records management in the ministry, 11 of the 16 respondents indicated they had no any form of automation in place.

On question four above, which sought the officers’ opinions on whether MER supported e-government, all the 16 ICT officers responded in the negative. Among the reasons cited for this view were as follows:

- ◆ “There is nothing on e-records management hence support cannot be alive.”
- ◆ “The design of systems for managing e-records is weak.”
- ◆ “Existing e-government systems do not include management of e-records.”
- ◆ “The skills on e-records management in e-government context are low.”
- ◆ “General skills on e-records and even records management in general are low.”
- ◆ “ICT infrastructure in place is not robust in some ministries.”
- ◆ “No policy framework in place to embed MER in e-government.”

- ◆ “No standards on managing of e-records.”
- ◆ “Duplication of systems and data across ministries in place of robust shared services and data strategies.”

The fifth question above on issues in MER that undermined the success of e-government elicited the following responses as captured verbatim:

- ◆ “Weak capacity for management of e-records for e-government.”
- ◆ “Lack of ERM systems in place.”
- ◆ “The decision by ICTA to run with most issues on ICT including e-records systems’ implementation.”
- ◆ “Absence of strong e-records systems in the market.”
- ◆ “Failure of IRMS in ministries.”
- ◆ “Lack of comprehensive system analysis and design for

e-records systems.”

- ◆ “Disjointed systems.”
- ◆ “Lack of standards for e-records management across ministries.”
- ◆ “Duplication of data across government.”
- ◆ “Weak ICT infrastructure across government, specifically on internet connectivity.”
- ◆ “The proliferation of mobile data and transactions.”

- ◆ “Challenges of information and data security.”

Lastly, on the question on issues in the general design of the ICT infrastructure in your ministry that could undermine effective management of electronic records, ICT officers identified the following:

- ◆ “Poor design for metadata capture.”
- ◆ “Weak ICT systems analysis and design.”
- ◆ “Absence of provisions for long term preservation of e-records.”
- ◆ “Absence of standards to harmonise ICT systems acquired in Government.”

- ◆ “Weak electronic data security controls.”
- ◆ “Weak workflow designs.”
- ◆ “Selection of wrong systems due to poor needs analysis and stakeholder engagement.”
- ◆ “Some systems support only one format of digital records e.g. pdf only.”
- ◆ “Uncustomisable systems.”
- ◆ “Poor hardware and software support and maintenance by vendors.”
- ◆ “Duplication of data across government.”
- ◆ “Inability to handle mobile-based data.”

## CONCLUSIONS FROM THE FINDINGS

Based on the above findings, the study concluded that, whereas there was general acknowledgement of the value of MER in e-government, the existing infrastructure for managing e-records was significantly inadequate. There was virtually no optimisation of EDRMS in MER that could enhance proper management of e-records to support e-government.

Whereas there was evidence for integration of business applications in government service, including e-government platforms, the absence of EDRMS capabilities to blend these applications with e-government platforms hampered efficiency of e-government services. It emerged from the study that lack of knowledge and skills on EDRMS was a key driver for the prevailing deficiencies in optimising EDMRSs for e-government.

## RECOMMENDATIONS

The study makes the following recommendations that would enhance adequate integration of EDRMS technologies in MER to enhance efficiency of e-government:

- ◆ Kenya National Archives and Documentation Service (KNADS), in collaboration with Kenya ICT Authority (ICTA) and the Ministry of Culture, Arts and Sports, develop specification and functional requirements for e-records management systems within the Kenyan context to ensure that all software acquired for managing e-records capture the requirements for e-government, including capability to interface with the e-government platforms for push and pull of data.
- ◆ The ICTA and KNADS should champion adoption of standardised EDRMSs across government that have functionalities for interfacing with e-government systems.
- ◆ The ICTA develops training requirements for ICT officers on MER, including training on standards, principles and functional requirements for e-records systems and records within electronic office environments.
- ◆ The ICTA partners with RM stakeholders to define e-records elements that need to be integrated in the design of e-government systems to facilitate capture, management and preservation of e-records.
- ◆ The design and architecture of e-government platforms be reengineered to provide for interfacing and interoperability with systems for managing e-records (EDRMS).
- ◆ KNADS should implement digital archiving system to provide for long-term preservation of e-records to support e-government over time.
- ◆ Robust training should be provided to both records managers and ICT officers MER in the e-government setup with a focus on service delivery rather than internal process efficiencies. Such a program could be developed through collaborative efforts of KNADS, ICTA, DPM and the training institutions in Kenya.
- ◆ RMOs and ICTA develop partnership programmes with other governments that have made positive strides in MER and e-government. Examples of such include the governments of Australia, Turkey, Malaysia, United Kingdom, United States of America, New Zealand, Malaysia and China. This would provide benchmarking and learning grounds to foster alignment of MER to international standards.
- ◆ A framework for managing e-records in support of e-government has been proposed to enhance a collaborative approach to MER between e-government service owners and records management stakeholders in Kenya to achieve the desired synergies between e-government and MER.

## OVERALL CONCLUSION

The study concluded that the general use of EDRMSs has been inadequately optimised in the MER in Kenya, which undermines effective and efficient data and records management. Unless the situation is addressed, this would in the long term hamper progress in e-government. ❖

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# Up-skilling

## *for IM professionals in a changing digital world*

As information management professionals, we are increasingly employed in roles that did not exist just a short time ago. So what education paths should we consider to equip ourselves for the rapidly changing landscape of today's digital world?

By Chris Foley

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

Simply adding skills to a traditional role is not sufficient in this day and age. Skill acquisition must be purposeful lest the IM professional become a generalist project worker. As individuals we must reflect upon what we primarily do or want to be doing – whether it be the delivery of operational services, consulting advice or some other specialist activity – and upskill ourselves accordingly. The 21st century workplace rewards individualised career paths as the pace of change marginalises more traditional career paths.

### OUR WORLD HAS CHANGED

To say that the world has changed has become a truism. Technology has changed and work is no longer compartmentalised along lines of gender, geography or even time. Whereas once workers travelled 'to work' and performed

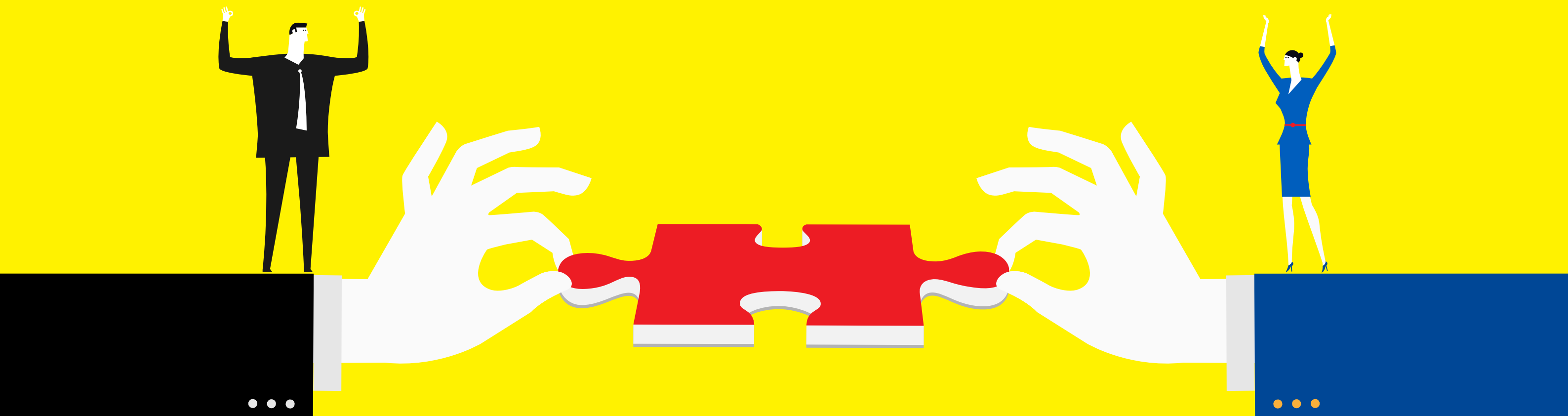
their work at the workplace of their employer during specified hours, workers now juggle work and personal lives wherever they may be. According to research conducted in 2014 by the Australian Communications and Media Authority (ACMA), 49% of Australian workers are described as digital workers, 'meaning they use the internet to work away from the office outside of standard hours or they are teleworkers who work away from the office for a part or full day'.<sup>1</sup>

ACMA's definition of the digital worker encompasses workers who self-identify as mobile workers: i.e. workers who spend some or all of their work time away from a formal office. However, analysis of home internet usage is more revealing about to what extent work has intruded into our domestic lives. The same ACMA study reported that 92% of Australians use the internet; 70% access the internet by use of their mobile phone whilst 50% do so using a tablet.<sup>2</sup> The impact of such usage on our work and private lives is more clearly articulated in a study by the Australian Bureau of Statistics (ABS) conducted in 2014-15 on Australian household internet usage. The ABS study found that 44% of employed persons over the age of 15 accessed the internet for home-based work at some time in the three months preceding the survey.<sup>3</sup> The same study found that home internet usage for work purposes is not evenly spread amongst occupations. Machinery operators, drivers, and labourers reported the lowest home usage for work purposes (16%). The highest usage was reported amongst managers and professionals (66% respectively).<sup>4</sup> An unstated message from the ACMA and the ABS research is that as long as you have internet connectivity, you can work.

On the train going home? No problem, I can check my messages. Need to spend time at home with the family? No problem, I can logon and review that document or join that teleconference whilst having family time. Work is all around us thanks to the flexibility offered to us by technology.







## IM PROFESSIONALS AT THE COAL FACE: MEET JOHN AND JOAN

Let us explore some of the impacts of digital technology and the changes in the workplace by focusing on two hypothetical information managers, John and Joan.

John and Joan are records managers in their respective organisations. As records managers, they are responsible for the development of organisational policies and procedures regarding the capture, access and retention of administrative and business records. They supervise the receipt and distribution of physical mail, create new files as requested, and retrieve files from storage.<sup>5</sup> In the past they were primarily concerned with the management of physical files and archive boxes; now, the greater proportion of their work relates to unstructured digital content (desktop documents and emails) stored across a range of corporate systems. With the rapid growth of digital information, they realise that they must get 'smarter' with how they manage information and records.<sup>6</sup> In support of these activities, their roles have expanded to encompass the management of staff, team budgets and outsourced contracts. However, those activities, whilst initially a stretch for their skills, now seem like a logical extension of working in a team.

A combination of on-the-job experience and completion of a recognised records management qualifications have equipped John and Joan for their roles. In Australia, a range of

university and non-university course options exist which are recognised by RIMPA. TAFE and other registered training organisations offer various Certificate and Diploma level qualifications for people wishing to enter the profession or obtain a grounding in operational skills.<sup>7</sup> Similarly, universities offer a range of Bachelor degree and post graduate degree (Graduate Certificate, Graduate Diploma and Masters) courses for qualified individuals seeking an entry qualification or to build upon earlier studies.<sup>8</sup> Traditionally such courses offered study in the core recordkeeping competencies associated with the interpretation of legislation and regulation relating to recordkeeping, development and use of records disposal authorities, RM policy and procedure preparation, and routine file and document management practices.<sup>9</sup>

John and Joan have earned the professional respect of managers across their organisations, and so their advice and participation is sought with a range of organisational initiatives. Their profile within their organisations rose considerably with the introduction of an enterprise-wide Electronic Document and Records Management System (EDRMS) in their respective organisations. No longer was records management merely

an activity of physical files and archive boxes in a back room somewhere. The implementation of the EDRMS brought recordkeeping onto the desktop of all network users within the organisation. Electronic documents are now managed alongside physical records.

Senior management have now decided to expand the scope of the EDRMS into a true Enterprise Content Management (ECM) system.<sup>10</sup> The new ECM will encompass all the unstructured digital content across the organisation, irrespective of authoring systems, and it will be underpinned by business process automation and business system integrations. Further, the new capabilities will be deployed across all infrastructure platforms: from workstations in the office to smart phones, laptops and tablets. Employees will remain truly networked irrespective of the time or day or whether they are located in the office or away from it.

Project management responsibility for the ECM rollout has been assigned to John and Joan. The former back-office staff workers now find themselves project managing a multi-million dollar technology transformation project. Their responsibilities have expanded to encompass far reaching technology

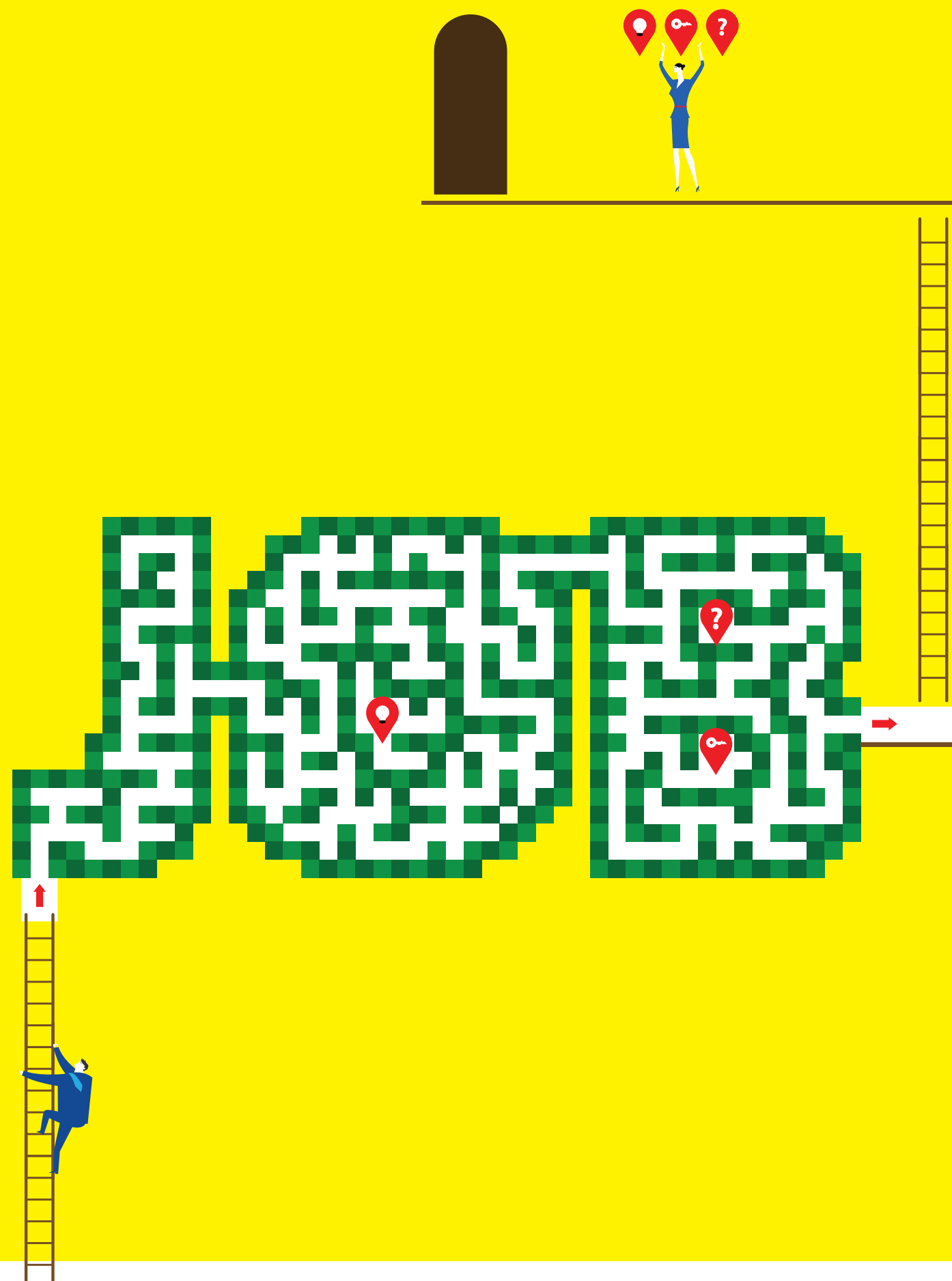
planning with their IT departments, process mapping a host of business and administrative processes, and the development of change management strategies.

Information knows no technological boundaries in the 21st century. Therefore, Joan and Joan know that they cannot simply shrug off responsibility by saying "Oh, that's information technology. It's not my problem".

Cloud computing initiatives require consideration of the data sovereignty implications of storing data in a foreign country.<sup>11</sup> BYOD (Bring Your Own Device) policies must insist upon the security concerns inherent in allowing business information exchanges and transactions to occur on devices that are not owned by the organisation.<sup>12</sup> Similarly, growing a digital workforce raises questions about how to provide IM leadership and services to a workforce that is widely scattered by geography and even time zone. John and Joan must now be conversant with methodologies such as PRINCE2<sup>13</sup>, UML,<sup>14</sup> and the Prosci® ADKAR® Model of Change Management<sup>15</sup> in order to deliver successful project outcomes.

John and Joan must grapple with these ever-expanding responsibilities whilst ensuring their own professional development is adequate for the task. However, their IM qualifications did not directly prepare them for such responsibilities. Indeed, depending on how long ago that they completed their qualifications, the relevant technology may not even have existed at the time.





## WHERE IS THE PROFESSION GOING?

With all these initiatives buzzing around us, we can be forgiven for feeling lost when it comes to pursuing a professional development plan as an IM professional in the 21st century. You might ask: "Can't I equip myself by simply enrolling in a single course?"

A brief examination of a few recent employment advertisements reveals some strong trends about the types of roles that now exist in our profession and the expected skill sets. The following advertisements were gleaned from job alerts for keywords 'EDRMS', 'HP TRIM' and 'Objective EDRMS' on [www.seek.com.au](http://www.seek.com.au) in a two-week period in May and June 2016.

For records officers, we see candidates with 'traditional' competencies being sought:

- ◆ (Records Officer, Brisbane, 3 June 2016): ... Placing attachments (correspondence) to file ... Scanning and uploading files onto the TRIM system ... Assist with archiving filing and retrieval of records ...<sup>16</sup>
- ◆ (Senior Records Officer, Perth, 3 June 2016): ... Coordinate daily operations to ensure the provision of a highly responsive and efficient records management service ... Ensure the Information Management systems and practices comply with relevant legislation, policy, standards and procedures ... [maintain] ... Classification Scheme, File Plan, Data Entry Conventions and Disposal and Archiving... Implement and maintain the retention and disposal schedule...<sup>17</sup>

The set of search keywords returned also a variety of other job titles that indicate the diversification of the IM profession: For example, business analysts, trainers and technical specialists.

For business analysts on ECM projects, we see a mix of some of the traditional competencies (metadata and classification etc) with a host of other skills including: technical skills in a range of related systems, workshop facilitation and functional requirements writing.

- ◆ (Business Analyst, Sydney, 24 May 2016): ... Functional and technical skills required ... Microsoft Office; SAP; TRIM; SharePoint; HP Quality Centre ... Facilitate workshops ... conceptual modelling skills to translate business view of the solution to bring business, technology and delivery groups together ... Be familiar with project management techniques and processes ... Experience in working in a SDLC environment ...<sup>18</sup>
- ◆ (Senior Business Analyst, Sydney, 3 June 2016): ... proved EDRMS implementation project experience ... Engage with stakeholders, produce high quality statements of requirements for technical and non-technical audience. This position will report to the Head of IT ...<sup>19</sup>
- ◆ (SharePoint Developer [Document Management Specialist], Melbourne, 5 June 2016): ... experience building metadata driven ... EDRMS ... solutions in SharePoint ... information taxonomy, information classification and architecture ... Run workshops to identify information hierarchy and metadata

structure and values of the business groups ... Develop document management best practices/guidelines and standards ...<sup>20</sup>

For trainers on ECM projects, we see also a demand for some of the traditional competencies combined with experience with systems-based training design and delivery. Further, trainers must have a broader knowledge of the technical context of the ECM.

- ◆ (EDRMS and Records Management Trainer, Canberra, 27 May 2016): ... Strong EDRMS knowledge to deliver holistic EDRMS training ... Knowledge of Active Directory and how this manages EDRMS profiles and Security and Access in the System ... Deliver and administer all EDRMS Basic User eLearning ... An understanding of Business Classification Scheme and the retention of records ... ability to troubleshoot EDRMS issues when conducting training sessions ... ability to deliver and administer face to face EDRMS and records management courses ...<sup>21</sup>

Finally, for technical specialists on ECM projects, we see a demand for data migration and database management in the context of specific ECM systems.

- ◆ (Data Migration Specialist / Developer (HP Trim / SQL Server), Adelaide, 24 May 2016): ... extract legacy files (including associated metadata) from HP TRIM to excel ... Skills Required ... Knowledge of HP TRIM ... SQL ... Minimum of two years experience in data migration ...<sup>22</sup>
- ◆ (Java Developer, Canberra, 24 May 2016): ...with over five years' experience with database design and development and understanding of Service Oriented Architecture ... [with] ... Objective Records Management System ...<sup>23</sup>

From these advertisements, it is clear that a range of skills, prior experience and qualifications are required by the IM professional in the early 21st century. Therefore, an IM professional could feel the pressure to acquire all these competencies and qualifications. However, it could be said also that there are distinct sub-streams of IM professionals evolving beyond entry-level roles.

For example:

- ◆ **Operational.** Internal service delivery within an organisation. Broad IM domain expertise is required (especially in core IM skills associated with records compliance, classification and disposal), combined with communications and service delivery.
- ◆ **Consulting.** Project-based skill sets around project management, business analysis and training, combined with deep knowledge of particular technologies (e.g. particular ECM products).
- ◆ **Specialist.** Deep skills in very focussed areas of ECM (e.g. Technical: DBA and programming skills; Records: sentencing and disposal, classification scheme development; Training: Training Plan design, eLearning).



## MAKING THE NEXT STEP

Career planning in the 21st century is not a case of finding a ready-made plan that is shared by your professional colleagues nationally and internationally, and experienced similarly across the generations. We are in a time of flux, both professionally and in our wider society. The earlier career progressions from records clerk to records supervisor to records manager and so on are no longer as clear cut as they once were. Role expectations and skill sets can vary widely between organisations, whilst even within organisations it is not always possible to acquire the skills required to be promoted to the next role.

21st-century careers are made by individuals. Those of us who've worked for 15 or more years know that we are fulfilling roles that did not exist, using technology that did not exist and even working in organisations that did not exist when we commenced our careers. Therefore, it is clear that career paths cannot be predetermined. They must be found and developed by the individuals themselves.

Four key tips for career planning:

**1 Build personal networks.** Use formal and informal networking opportunities to expand your personal professional community. Attend conferences and seminars, join LinkedIn and keep your profile current and detailed. Keep in periodic contact with your broader network. Invite people to coffee meetings to keep the connections current. Ensure

that your personal network includes people from a range of backgrounds, organisations and roles. You can be pleasantly surprised by the number of times that a chance meeting with someone with a slightly different background will in the future offer you some important career assistance. Also, be willing to give as much as you receive. The best networks work two ways.

*21st-century careers are made by individuals ... We are fulfilling roles that did not exist, using technology that did not exist and even working in organisations that did not exist when we commenced our career*

**2 Reflect on what you want to do.** In this paper I've suggested that there are at least three IM sub streams (operational, consulting, specialist). Be prepared to move between these sub-streams based upon changing opportunities and interests. Often any one role will require skills and experience that can most usefully be obtained from a role in another sub-stream.

**3 Investigate short courses.**

Mainstream Degree, Diploma and Certificate offer education that will mould your longer term professional capabilities. Short courses target the training of specific skills – training in specific IT applications, management, human resources, financial management, business analysis, training, ECM leadership and so on. Their brevity can mean that the training is grounded in up-to-date industry relevant training. Training companies and professional associations with short course offerings that cover those domains are worth exploring.

**4 Explore the non-conventional** to acquire the skills, experience and qualifications you require for your chosen career path.

This paper has grown out of my own experience. In my initial university degree, I intended to pursue a university-based academic career. It became quickly apparent to me that there was no great employer demand for political scientists or historians. I worked for a time as school teacher hoping to acquire useful experience whilst waiting for a university career to start. I found that school teaching in Australia during the 1990s was experiencing its own upheavals and conflicting expectations amongst graduates. I later found work in a data entry role supporting an archival sentencing project. Later again I moved into an operational RM role. From there I moved in a range of project-based strategy and project roles until finding my way to an ECM software vendor. My personal goal at the time was to become an expert with ECM implementations. I now work as a freelance ECM consultant specialising in business analysis and training.

This has been my journey. It might resonate with some of my audience. If so, then I encourage you to

focus on what you want and exploit opportunities that present themselves to build your own career path.

## CONCLUSION

The world has changed around us. Workplace technology and ways of doing work have changed beyond recognition in recent decades. The IM professional has moved out of the back office and become part project manager, business analyst, trainer and even information visionary. At the same time, we are expected to retain our competencies in our more traditional roles of records manager and archivist. The pressure can be felt for the IM professional to become all things to all people. Yet, if we do so then we lose sight of what the IM profession offers. We risk also losing control over our own careers. 21st-century careers are not predetermined due to the pace of workplace and technological changes. Individuals must reflect on their own career paths – with an operational, project or specialist focus – and to acquire the necessary skills and exploit available opportunities. ❖

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21. EDRMS and Records Management Trainer (Canberra, 27 May 2016 on seek.com.au)
22. Data Migration Specialist / Developer (HP Trim / SQL Server) (Adelaide, 24 May 2016 on seek.com.au)
23. Java Developer (Canberra, 24 May 2016 on seek.com.au)

## ABOUT THE AUTHOR

Chris Foley (BA (Soc Sci), BA (Hons), Grad. Dip. Ed. (Sec), MEd, MA, MIMS) has worked in many varied roles across education and information management. He holds also Australian vocational training qualifications. Each role performed and qualification completed have in some way prepared him for the next role in an ever changing world of work, including in his current role as an independent ECM consultant. His recent projects have included the design and delivery of automated business processes and the preparation of supporting user education.

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# Managing dynamic research data at higher education institutions with HPRM

When a research centre closed at Edith Cowan University, leaving thousands of boxes of records in its wake, our authors designed a solution to enable research data to be placed in the recordkeeping system at the point of creation.

By Frank Flintoff and Ben Brown

In 2015, an Edith Cowan University (ECU) Research Centre closed, leaving the equivalent of 2000 Type 1 boxes containing completed hardcopy surveys, project administration, funding documentation, planning and other related records to Records and Archives Management Services.

While preparing batches of completed surveys for sentencing, it became apparent that there must be a better way to handle this, particularly in an organisation where HP Records Manager (HPRM) is already implemented; if researchers used HPRM to capture their raw research data (instead of printing hardcopy surveys for participants to fill out), they could then relate their data to all other aspects and records of their research project, for example their Data Management Plan, funding applications and agreements, ethics documents and final thesis, student or staff files.

This paper is purely theoretical and has not been implemented at ECU –

we wanted to see if it was possible to design a solution to manage research data during the active data collection phase of a research project.

## GOALS

When designing a solution to enable research data to be placed in the recordkeeping system at the point of collection, there were a number of goals we wanted to achieve. We wanted the solution to:

- ♦ be available on various operating systems
- ♦ be available on tablets/multi-function devices
- ♦ be able to collect data from multiple human participants
- ♦ be able to link together the research data, project administrative documents, ethics applications, data management plans, finance documents etc. with each other
- ♦ promote digital research data and a 'born digital, stay digital' approach.

A large non-technical motivation of this design was a wish to make the entire research and data collection process – from creating a proposal, ethics application and data management plan to writing and storing the final paper and thesis – easier for the staff member or student carrying out the research. This not only benefits the researcher as you have one repository for your data, which is now very safe and secure, but also benefits the university by linking the Research Office's records (relating to ethics, grant funding etc) to the research data itself, creating an entire accessible, secure package which is easy to locate after a project ends and higher degree students or researchers move on.

## WHY HPRM?

Records professionals know why we choose to implement HPRM instead of promoting the use of network drives, thumb drives and saving to desktop. This is a space where records are safe, secure, can be tracked, have appropriate retention and metadata applied, and is now able to be used when you're not in your office – via WebClient on PCs, Macs and tablets.

If HPRM is used as the primary location for research data during the active collection phase, we can reduce or eliminate the need for the researcher to provide their own backup strategy. This has potential for hugely simplifying parts of a data management plan where researchers are required to outline how they will collect, capture and acquire digital data and reduce the likelihood of the primary location of data being a USB thumb drive, shared drive or cloud storage. A revised data management plan could outline details of HPRM storage and backup for them. Therefore, researchers are still responsible for their own data, but are providing a very effective tool for them in order to store it.

HPRM can ensure data and metadata are kept to the standard required by a university's research data management policy, and the Australian Code for the Responsible Conduct of Research, ie:

*HPRM can ensure data and metadata are kept to the standard required by a university's research data management policy*





- ◆ Research data is dated and well labelled.
- ◆ Digital research data and supporting documents are retained in durable and available formats.
- ◆ Descriptive and structural metadata are stored for all data.
- ◆ Research data is stored, maintained, made accessible and disposed of in line with compliance obligations.
- ◆ Data is dated and well labelled.
- ◆ Data and supporting documentation is kept in durable and available formats.

HPRM provides researchers with an easier and faster way to ensure their data is stored properly, accessible, accurate and secure, with appropriate retention applied. There is a learning curve involved which is not present if researchers are storing on shared drives, USB thumb drives or desktops. However it could be argued that the benefits of using a system such as HPRM for storing and using dynamic research data during the data collection stage far outweighs the risk of loss and vulnerabilities of data captured onto thumb drives and shared drives, even when considering the time needed to train researchers and research staff in the use of HPRM.

HUMAN RESEARCH DATA COLLECTION WITH IDENTIFIED PARTICIPANTS

A researcher is collecting data from multiple classes of school students. The researcher will know which students are present and have provided a response, but the final analysed data and published results will not identify any students personally. This is an example which has been previously carried out on paper: students fill out a printed-out survey, which means researchers then have to manually enter data and ensure the physical surveys are stored safely with appropriate retention. In this example, however, data will be collected in the form of survey responses, and each student will fill out a survey during class time on their laptop or tablet. In order to complete a survey, each student accesses HPRM Web Service, which eliminates the need to use guest logins. Each field in this web form is mapped to an additional field in an HPRM record type. Once the student has completed and submitted the survey, their response is automatically catalogued into the HPRM dataset.

HUMAN RESEARCH DATA COLLECTION WITH ANONYMOUS PARTICIPANTS

When collecting data from anonymous participants, it can be more difficult to carry out the option for participants to opt out of the study – an option that the researcher must include in any data collection with human participants in order to gain ethics approval – and have their entire participation withdrawn from the project. In this example, we build the letter to participants and consent form – both required in all human research and when submitting an ethics application – into the survey, and no personal information about the participant is required. As no personal information is submitted in this type of survey, participants are given a unique reference number (in this case, the

HPRM document number) on completion of the survey. This is then provided to the research team if they wish to withdraw their participation in the project. As HPRM allows the addition of notes and related metadata, if a human participant wishes to withdraw from a study or have their responses withdrawn at any stage of the data collection process, appropriate and accessible notes can be provided relating to the withdrawal and any changes to conditions for re-use, additional ethical considerations and similar information which would need to be communicated between researcher, research office and supervisor, and retained as usual.

RESEARCH DATA NOT INVOLVING HUMAN PARTICIPANTS

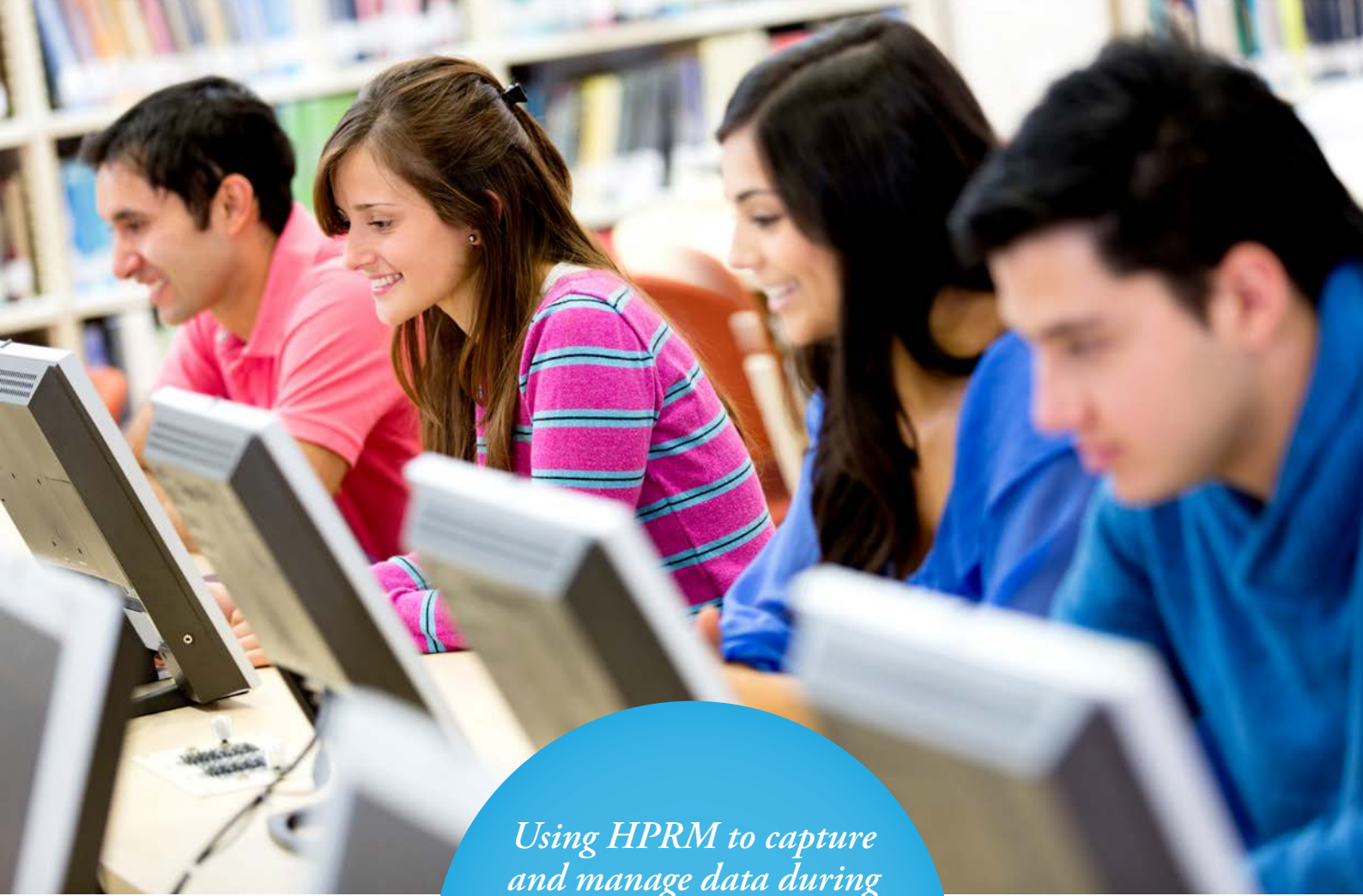
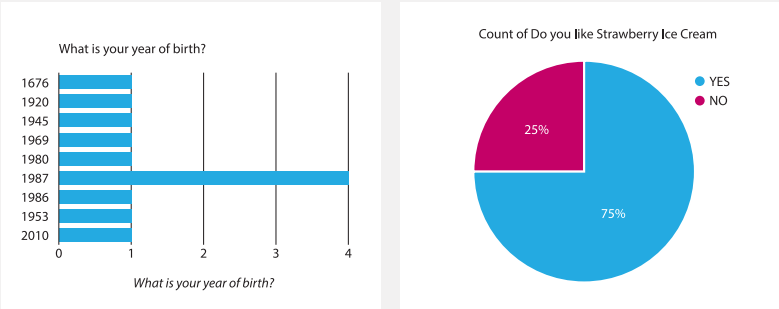
When research projects do not include human participants, research teams can place records into HPRM just as any other university staff member can – via drag and drop or using Microsoft Office integration.

USING LICENSED DATA

In some cases, researchers may choose to subscribe to or purchase pre-existing data or datasets which has been collected by another organisation. This is a valid way to gain access to large amount of data for analysis which the researcher may not be able to capture themselves. This purchased data does not belong to the university, and often the researcher cannot reproduce, modify, copy or distribute the data, which is only available while the researcher is paying for a subscription to it. The terms and condition of the use of this data may also state that it cannot be stored in a retrieval system. In the case of subscription data which cannot be stored, the original agreement between the university and data provider can be stored in HPRM with appropriate notes and relationships applied detailing which researcher and project it is connected to. If data can be downloaded and stored in HPRM, custom retention periods can be created, if required.

DATA ANALYSIS

When using surveys and responses from human participants, automatic reporting functions can be used to pull data – such as the completed student surveys – from HPRM into a Microsoft Excel spreadsheet. Once in Microsoft Excel, the data can be manipulated to display the results in various representations, such as graphs or percentages.



Using HPRM to capture and manage data during the active collection phase of a research project is also not a small undertaking and involves thoughtful consideration

CONCLUSION

We are not suggesting that HPRM is an ideal solution for every type of data produced as research output at higher education institutions. However, as a solution to address switching from solely placing research data and associated documents into a recordkeeping system at the end of the project, it has the potential to be very effective. Giving researchers the ability to link their entire process – from proposals, ethics applications, approvals, data management plans, grant and funding documents, supervisor communication through to data collection, analysis and their completed thesis or paper – to each other in HPRM from the point of creation has the potential to streamline how universities train, approach and promote research within their institutions. It is important to note that implementing a solution such as this comes with a large basket of non-technical issues to address, such as cultural change, training the research students, supervisors and research team staff, ensuring there's enough hardware to be taken offsite (e.g. iPads, laptops), and other teething issues as they arise. It is not suggested that these are easy tasks, however there's enough of them for a number of new papers. This is not an instant solution to the ongoing challenge of how and where to manage research data from the point of creation, which is ongoing, especially with massive datasets regularly being created as part of large and often long-term research projects. Using HPRM to capture and manage data during the active collection phase of a research project is also not a small undertaking and involves thoughtful consideration

towards system design, training and cultural change among other issues such as funding and the strategic goals of the institution. However, this does show that there is absolutely the possibility for change, development of new processes, and potential for growth in the way records management is applied at higher education institutions. ♦

ABOUT THE AUTHOR

Frank Flintoff currently works at Edith Cowan University and Information Proficiency. After starting in the GLAM sector 10 years ago, she moved into RM, gaining experience in the Health, Government and Private sectors.

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Ben Brown has 13 years of IT experience with customers and vendors of information management software. Previously he worked for Tower Software and Hewlett Packard Enterprise as one of the senior engineers on the TRIM / records manager helpdesk.

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# 5 SECRETS TO SUCCESSFULLY DEPLOYING SHARED DOCUMENT SCANNING SERVICES

A shared services centre for document imaging and data capture can pay big dividends.

By IBML

**T**he recession has forced organisations to look for new ways to reduce expenses and drive efficiency. And, the fact is, most organisations could be making better use of their operations infrastructure.

Recognising this, more companies are considering shared scanning services centres. By centralising tasks such as scanning, companies can eliminate redundant systems and processes, optimise their workforce, improve control and visibility over corporate information, and reduce overheads.

## A SHARED SERVICES CASE STUDY

One major insurer has achieved significant business benefits by implementing a shared services centre for its document imaging and data extraction. Through its shared services center, the insurer image-enabled business processes for its auto and property claims organisation as well as its financial area, centralising work from field locations.

Today, the insurer's shared services centre processes approximately 60 million pages a year, or a daily scanning volume of about 80,000 pages.

As a result of creating its imaging shared services centre and redesigning certain document processes, the insurer initially saved \$4.1 million a year. And bigger savings may be on tap. What's more, the shared services centre is proving itself as a key business partner and strategist for its clients.

The move to a shared services centre also provides the insurer's departments with a flexible workforce; on slower mail days, the insurer's shared services centre is able to leverage mostly part-time staff.

## STRATEGIES FOR SUCCESS

Unquestionably, shared scanning services can deliver big benefits. But there are five things that organisations should keep in mind to help ensure the success of their shared services initiative.

- 1 Perfect your own processes.*
- 2 Make processes repeatable.*
- 3 Invest time in understanding the scanning requirements.*
- 4 Make sure your hardware and software are up to the task.*
- 5 Win over other departments.*

**1** Perfect your own processes before taking on someone else's work. The move to shared document scanning services is about far more than economies of scale. Your group will be expected to provide leadership in improving your organisation's document-driven business processes.

**2** Try to make processes repeatable. This will help reduce your overhead, accelerate the on-boarding of new applications and allow you to apply best practices across applications, improving quality and throughput. Similarly, don't customise processes unless it's absolutely necessary.

**3** Invest time upfront understanding the scanning requirements. Since you'll no longer be the business owner of the applications you process, you'll have to work hard to learn their requirements. Take the time to thoroughly document the requirements of new applications and to map process flows. Also consider doing a pilot or proof of concept before you begin production. Not only will you avoid potential pitfalls, you'll have an opportunity to identify processes ripe for re-engineering.

**4** Make sure your hardware and software are up to the task of shared document scanning. You want to ensure that your hardware and software have the scalability to efficiently process additional volume, as well as the flexibility to handle a range of document types and capture requirements (eg, color and grayscale images, high resolution images). The service level

agreements (SLAs) you sign with clients may also place tougher reliability demands on your infrastructure.

**5** Win over other departments. The insurer's biggest roadblock to rolling out its shared services centre was garnering support from business owners and convincing them of the cost savings, as well as the potential process improvements. One way to convince other departments to outsource to you: develop strong SLAs. The insurer's shared services centre offers SLAs for each of its internal clients. While SLAs will vary by client, they will typically cover processing turnaround time and quality.

## THE BOTTOM LINE

At a time when organisations are looking for ways to improve efficiency and effectiveness, a shared services centre for document imaging and data capture can pay big dividends. And if you follow the strategies above, you can help ensure that your company achieves maximum return on investment.

### ABOUT THE AUTHOR

IBML is a global provider of end-to-end information capture solutions. For more information, go to [www.ibmml.com](http://www.ibmml.com)



# INFORUM 2016 VIEW FROM THE FLOOR

Interesting, diverse, current, thought provoking – these were just some of the comments regarding this year's inForum 2016, held from 11 to 14 September 2016 at the Crown Perth, in WA. Records and information managers from around Australia and New Zealand converged in Perth to network, learn and discuss 'the value of information' – the theme for the event. Here's a snapshot of the presentations, the social activities and the trade exhibition.



Best dressed winner Alison Dincsoy, with Mike Kirkby from EzeScan

## THE SOCIAL SCENE

### WELCOME RECEPTION

Following some networking and information sessions, inForum kicked off with its traditional Welcome Reception held at Crown Convention Centre and sponsored by HPE. It was a great evening of socialising, food and fun with delegates enjoying the opportunity to get in a round of mini golf and win a t-shirt for achieving a hole-in-one.



Delegates enjoy the chocolate fountain at the Welcome Reception

### THE GALA DINNER

Held at the State Reception Centre in Kings Park, the venue offered sweeping views of Perth and the Swan River. With the theme 'Australiana' and local identity Karen Tighe as the awards MC, there was entertainment in the form of a photo booth supplied by Miktysh and music from local band Hit Factory; the evening was a resounding success. Details about the Awards presented on the night can be seen on page 48.

Mike Kirkby from EzeScan, inForum's Platinum Sponsor, announced the winner of the best fancy dress and presented winner Alison Dincsoy with \$100 Coles Group gift card which she won for her Vegemite outfit. Not including the sea of flannelette from the 'bogans', other standouts were the Miktysh Surf Lifesavers, Frances Yang and Sushil Gajwani showing their 'Aussie Spirit', Rachael Richards as a koala, and Michelle Dean and Nancy Taia looking suitably country.

### WEDNESDAY PRIZE DRAW LUNCH

The Wednesday Prize Draw Lunch is a great opportunity for vendors and delegates to network over a more formal seated lunch, and to announce the winners of the many prize draws conducted by the vendors during inForum. There were a number of very happy people who were lucky enough to win a range of items including gift cards, headphones, wine, DVD boxsets, to name a few. This year the lunch was sponsored by State Records Office WA, and ended with an official close of the conference by incoming Chair of the Board, Lisa Read White.

### NETWORKING DRINKS

Networking drinks were held in Market & Co at Crown Promenade Hotel, hosted by RIMPA CEO, Kate Walker and sponsored by Objective on the Tuesday evening. Around 50 people took the opportunity to network and chat for an hour before heading off to Branch organised dinners at various locations around the Crown Perth Complex.



The 2016-17 RIMPA Board (L-R) are David Pryde, Paul Fechner, Jennifer Curley, Lisa Read White, Debbie Prout, Thomas Kaufhold, Rebell Barnes.

### RIMPA BOARD

The RIMPA Company AGM was held at inForum. The Board once again held a series of strategic workshops during inForum, taking advantage of being together to discuss a range of issues and ideas. Incoming Chair of the Board, Lisa Read White, made an impassioned plea at the closing lunch for members of the Association to reach out to their non-member colleagues and encourage them to join the Association. "It is not your employer's responsibility to ensure you are a professional RIM manager and keep up to date with the industry, it is yours and if you want to ensure your sustainable employability, you need to take personal responsibility for it," Lisa said.

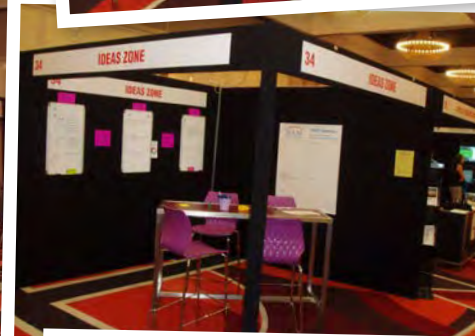




## THE TRADE EXHIBITION

As popular as always, the Trade Exhibition was the hub of the conference, the location for food, the place to recharge mobile devices at the NAA Recharge Station, to be involved in the iSquares activity and for the opportunity to learn more about the products and services available to the RIM industry. On offer this year were a series of 'zones' for the enjoyment and interaction of all participants. These included a Chill Zone to have a quiet catch-up; an Ideas Zone where delegates were encouraged to offer positive, constructive ideas for improving both RIMPA and inForum; the Coffee

Zone which provided free barista made coffee; a Relaxation Zone which provided neck and shoulder massages by trained masseurs; and the RIMPA stand where delegates could learn more about membership and also upgrade their membership status (see page 51). To further encourage delegates to visit the trade stands, there was a Trade Treasure Map where stamps were received at each stand and a completed map provided the opportunity to go in the draw to win a free inForum 2017 registration – the lucky winner was Michele Thompson, Attorney General's Dept, ACT.



Every year delegates are asked to vote on their favourite trade stands. This year, the winners of the People's Choice Awards were: (L-R) Most Interesting Stand – EzeScan; Trade\_EzeScan; Most Informative Stand – ACA Pacific / Kodak Alaris; Best Giveaway/Themed Stand – Steamatic.

## PRESENTATIONS

The Hon John Day, Minister for Culture and the Arts WA, officially opened the conference followed by a keynote presentation by Cathrin Cassarchis, State Records Office of WA and a live Skype presentation by Canadian speaker Chris Walker. It was unfortunate that Chris couldn't make the trip at the last minute, but despite some technical difficulties his presentation was well received.

'The value of information' was certainly the theme for the conference and there were case studies, panel discussions, presentations and workshops which all touched on this. Cleophas Ambira, Kenya, commented that he intended to encourage his peers at home to attend inForum in future, while USA keynote Jay Zaidi was particularly impressed with the NAA's Digital 2020 efforts and promptly wrote an article on the subject (see page 52). Jay also gave away four copies of his new book which we reviewed in the last iQ (August 2016). Colleen Egan was another keynote presenter who highlighted the value of information in her discussion of the legal case of Andrew Mallard, who was falsely imprisoned for murder.

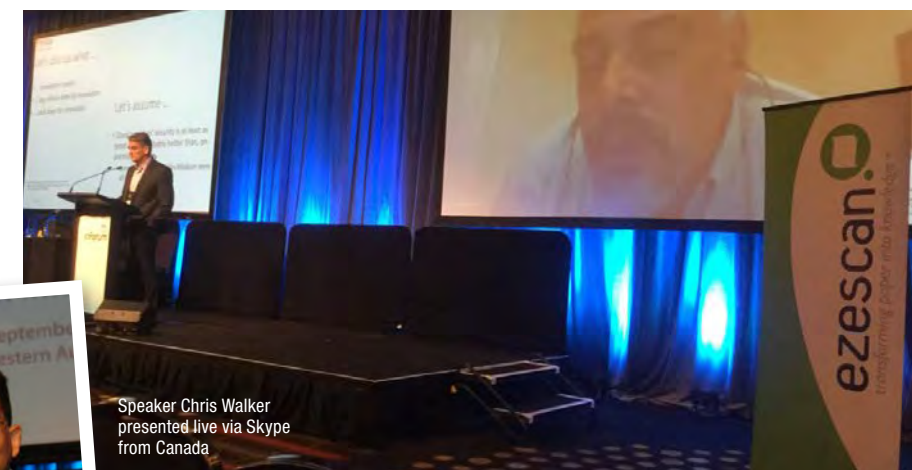
Several presentations highlighted the need for RIM practitioners to stay current, upskill and diversify in order to meet their employer's needs and the changing nature of the profession, as well as to make themselves more valuable.

Vendor presentations were added to the program and made available to anyone visiting the Trade Exhibition as a visitor, as well as being available to delegates to attend. Some of these presentations received high praise from attendees who were overheard quoting statistics and anecdotes in the following days.

And for the social media savvy, there were Facebook Live Streams and Twitter posts throughout the conference. It's not too late to view these posts either – see: #inForum2016AU #rimpa @rimpa\_rim



(L-R) Speakers Tim Newbegin and Jay Zaidi



Speaker Chris Walker presented live via Skype from Canada



(L-R) Chris Fripp, Debbie Cutts, Lisa Read White, Peta Ifould



## CONFERENCE APP

The inForum conference app is now in its third year, but it is not yet being downloaded and utilised to its full capacity. The app featured all of the available presentations accessible throughout the conference, as well as a game to encourage participants to navigate and use the functionality available to them. Kate Walker, RIMPA CEO, led by example and was the first person to reach maximum points. Every person who got 5,000 points received a gift and the top 10 people on the leaderboard won a \$100 discount voucher to attend inForum 2017, with top user Rachael Richards receiving a \$100 Coles Group giftcard.





(Below) Paul Kelly (Top right) Hon John Day, WA Minister for Culture & Arts (Bottom right) Luke Burns



(Top left) Catherin Cassarchis (Center) Nathan Kruger (Below) Jo Hanisch (Right) Michelle Goodwin

# SHINING A LIGHT ON INFORUM 2016

The saying goes that data is the new oil. If this is the case, then information is indeed a very valuable asset. The theme for inForum 2016 was the Value of Information and it certainly provided the context for many inspiring and thought-provoking presentations.

By Jenny McCallum and Alison Toohey

*...a full three-day program of keynote speakers, case studies, workshops...*

The Crown Perth proved to be the perfect venue for a full three-day program of keynote speakers, case studies, workshops and vendor presentations.

Monday morning saw the conference officially opened by Debbie Prout outgoing RIMPA Chair of the Board who gave a heartfelt introduction, noting that her association with RIMPA began at a conference in Perth 25 years ago and ironically would be coming to an end in the same city.

Catherin Cassarchis from State Records WA commenced proceedings with her keynote presentation exploring the holding of records and how the perception of the value of records changes over time. Catherin recognised that items may not have had 'value' when created but hold significant value as time progresses, for example, convict records of Fremantle Prison which were almost destroyed in the 1970s (prior to the WA State Records Act 2000). Now these records are the most accessed of the State Records' collection.

Catherin shared the story of CY O'Connor, the instigator of the Goldfields Water Supply Scheme in Western Australia. Using water pipeline scheme documents, the Royal

Commission documents on possible corruption of the scheme process, and CY O'Connor's suicide note, she tied together the story of the man responsible for engineering the scheme, and the pressure and media scorn that brought about his death.

Catherin's presentation highlighted the value of individual records and how used together make connections that can tell the complete story.

Kate Fuelling's presentation 'Postcards from the Edge' conveyed the frustrations that system users face with our ever-changing technology. Kate challenged us to empathise with the frustrations of system users and asked if our expectations were too high and whether we are setting the bar too high for our users?

How did Kate challenge herself? By taking Simon Waller's Digital Champions Club challenge and committing to

transitioning to purely digital engagement. To do this, Kate faced the same challenges and frustrations that our users face when we continue to push technology and digital transformation on them.

Her presentation succeeded in connecting record keeping and information management with mindfulness by using technology to empower us to be more mindful in our interactions.

Given that information is a valuable asset to any organisation, then our professional development in this dynamic discipline must also be extremely valuable. Chris Foley from Foley Business Consulting provided a thought-provoking presentation on how to upskill as information management professionals in a changing digital world.

Chris challenged us to take charge of our own destinies, to consider ourselves as information visionaries and to be information management specialists rather than generalists. Our profession is moving at a fast pace as the value of information expands into the world of data analytics, with technology being a key driver and enabler.

Chris presented interesting data gathered from job advertisements over a couple of months this year using key words from a typical role or position description for an information manager. This exercise highlighted that we must continually look to expand our tool kit of expertise to remain current. We must be agile and responsive to a changing world, particularly given that technology plays a major part in our roles.

He also emphasised the importance of building personal networks, to continually reflect on what we do and to explore the unconventional aspects of our roles.

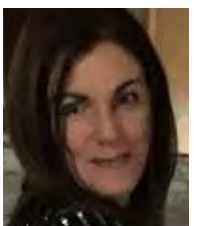
Chris spoke of his personal journey progressing from a records officer to a consultant and how he reinvented himself along the way by using existing qualifications and gaining new ones. This has ensured his skills as a professional are current and valued.

inForum was a platform for many networking opportunities and associated events including a Perth city sights tour, drinks and mini golf in the grand ballroom, RIMPA branch dinners and gala dinner. This year's gala dinner theme was Australian and it provided an opportunity for everyone

## ABOUT THE AUTHORS

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Alison Toohey ARIM is Records Team Leader at Wannon Water. She has worked in record keeping within the water industry for nine years. She spends her time working on project delivery and has recently delivered an EDRMS upgrade.

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to be creative. However, it must be noted that one of our popular vendors deliberately misread the invitation and came dressed in Austrian costumes! Fraser's restaurant in Kings Park, overlooking the night lights of Perth was a dazzling venue. After the annual industry awards were presented and our peers acknowledged for their wonderful achievements throughout the year, we danced the night away in fine form.

The formal seated lunch on Wednesday marked the end of the conference. Lisa Read White, newly elected RIMPA Chair of the Board, delivered her incoming speech and noted the need to increase member numbers. She challenged us all to be involved and contribute to the association to keep it alive, relevant and of benefit.

inForum 2017 will be held in Brisbane and we encourage you to attend. From our personal experience, we can guarantee it will be a worthwhile and a very valuable experience. ♦



# OUTSTANDING ACHIEVEMENTS AWARDED

The RIMPA Awards were presented at inForum 2016.

## INDUSTRY CONTRIBUTION

Introduced in 2014, these awards for industry contribution are presented to professional members of the association who have contributed to the RIM industry in a notable way. The awards cover the following areas:

- ◆ Involvement with Standards / Education
- ◆ Involvement with Company
- ◆ Involvement with Leadership / Mentoring
- ◆ Involvement with Innovation / Strategy / Governance

In 2016 the winners are:

- ◆ **Michael Steemson** – Contribution to iQ magazine
- ◆ **Linda Shave** – Contribution to iQ magazine
- ◆ **Cassandra Findlay** – Contribution to Standards
- ◆ **Trish O’Kane** – Contribution to Standards

## RELEVANCY RESEARCH & EDUCATION GRANT

This grant aims to promote quality research in order to assist, develop and improve the records and information management profession.

Presented by Chris Fripp, Relevancy to:

- ◆ **Chris Colwell** – Records as information, records as evidence: an exploration of the perceptions of records in the Gov 2.0 era
- ◆ **Katharine Stuart** – A comparative study between what is valued when recruiting New Zealand recordkeepers and recordkeeping competency frameworks



(L-R) Chris Colwell and Chris Fripp

## RECALL ARTICLE OF THE YEAR AWARD

Recognises and encourages quality written contributions to iQ by RIMPA members annually.



In 2015-6, shortlisted articles were:

- ◆ ‘What is the leadership coefficient?’ – Suparna Chatterjee
- ◆ ‘The Virtual Archive: the growing digital footprint’ – Gerard Rooijakkers
- ◆ ‘New security standards roll-out: will you be at the table?’ – Alison Toohey
- ◆ ‘Privacy and security in our complex digital world’ – Linda Shave
- ◆ ‘Why you need to think differently about information management’ – Alyssa Blackburn

**Winner: Alyssa Blackburn**

The judges commented that Alyssa’s was a “very good article and perspective on information management”, and that “it is an article most people could relate to and something we in the RIM industry need to take on board”.

Alyssa was not available to collect her award from John Marcello from Recall.



## J EDDIS LINTON AWARDS

For excellence in records and information management

### Category – Student of the Year: sponsored by Records Solutions

Recognises students who have completed their studies and achieved excellence in the preceeding year:



Shortlisted nominations:

Susan Conyard

Nicole Mathison

David Tredinnick

**Winner: Nicole Mathison**

Nicole was not available to collect her award from Keith Davis, Records Solutions

### Category – Innovation: sponsored by Information Proficiency / Sigma Data

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



Shortlisted nominations:

- ◆ National Blood Authority
- ◆ North Australian Aboriginal Family Legal Service
- ◆ WA Dept of Fire and Emergency Services
- ◆ Wannon Water

**Winner: North Australian Aboriginal Family Legal Service**

North Australian Aboriginal Family Legal Services collaborated with Ellyard Enterprises to implement the M-Files system across their organisation.

The project adapted an existing concept to the needs of our unique service, delivered to remote communities throughout the Top End of the Northern Territory.

North Australian Aboriginal Family Legal Services staff had previously been required to carry suitcases loaded with hard copies of confidential client files to communities. Now work is carried out via an iPad and all their work is tracked, they have estimated that implementing M-Files has resulted in 15-20% in improved efficiencies in office processes. The biggest efficiency savings have been in the reduction of duplicate and/or out-of-date versions of documents. In some instances, physical client files might travel with staff members for up to a week. Now, those same files are electronic and available for anyone to access and they are automatically updated in the central system when new information is added.



Information Proficiency (left) presented the award to Natalie Maher (centre)



(L-R) Dani Wickman received the award from Lisa Read White, Information Proficiency

### Category – Business Benefit: sponsored by Information Proficiency / Sigma Data

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



Shortlisted nominations:

- ◆ Logan City Council
- ◆ National Blood Authority
- ◆ Queensland Museum
- ◆ Territory Records Office and ACT Cabinet Office
- ◆ Victorian Water Industry Information Management Special Interest Group
- ◆ University of the Sunshine Coast
- ◆ WA Dept of Fire and Emergency Services
- ◆ Wannon Water



**Winner: Territory Records Office and ACT Cabinet Office – ACT Government Digital Cabinet Transformation Project**

The existing ACT Cabinet process was partially electronic, using an Access database to track workflows, but relying on manual processes and disjointed systems to move documents between users on a need-to-know basis.

The ACT Government's Digital Cabinet transformation project aimed to improve:

- ◆ consultation between agencies in the ACT Public Service in the development of Cabinet submissions
- ◆ security, to protect the confidentiality and collective decision-making of the Cabinet
- ◆ efficiency by supporting timely, fully developed information-sharing facilitated by more efficient processes.

Following a consultation phase a new RM system was implemented with an emphasis on change management and user engagement. The overall project benefits included:

- ◆ improved information governance
- ◆ increased organisational effectiveness
- ◆ improved information sharing and decision support.

**Category – Implementation: sponsored by FYB**

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



Shortlisted nominations:

- ◆ Air Mobility Group (RAAF – Dept of Defence)
- ◆ National Blood Authority
- ◆ WA Dept of Fire and Emergency Services

**Winner: Air Mobility Group**

The Air Mobility Group is one of the largest Force Element Groups in the Royal Australian Air Force, consisting of approximately 1400 active, deployed and reserve personnel. Air Mobility Group's 13 units/squadrons operate six aircraft types from four RAAF locations (Amberley, Canberra, Richmond, Townsville), delivering personnel, cargo and equipment wherever it is needed globally for Defence operations and humanitarian assistance, 24 hours a day, every day of the year. Aircrew personnel make up one third of Air Mobility Group staff and have hands on responsibility for the movement of over 80,000 tonnes and mid- air transfer of over 60 million pounds of fuel, each year.

Over 2015-16, the Department of Defence's Air Mobility Group completed a project that transitioned its staff to managing flying service records for all aircrew personnel (including pilots, air combat officers, loadmasters and crew attendants) solely via digital means. The digitisation of over 135,000 legacy paper records was championed by the senior executive in recognition of this project concurrently eliminating any existing duplications, identifying any missing records, and freeing aircrew of the need to be personally responsible for moving the physical file when they change units. This project has been a successful exemplary step within the Department, highlighting the relative ease of managing – and the benefits of completing – additional digitisation projects to further eliminate legacy paper records.



(Above L-R) Sponsor Chris Alday, FYB with Lyvern Slender and RIMPA Chair Debbie Prout  
(Below L-R) Alison Toohey, Ann Goode and award sponsor Mike Kirkby, EzeScan



**Category – Collaboration: sponsored by EzeScan**

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



Shortlisted nominations:

- ◆ National Blood Authority
- ◆ North Australian Aboriginal Family Legal Service
- ◆ Queensland Universities (Griffith University, Queensland University of Technology, University of Queensland, University of Sunshine Coast)

- ◆ Victorian Water Industry Information Management Special Interest Group
- ◆ WA Dept of Fire and Emergency Services
- ◆ Wannon Water

**Winner: Victorian Water Industry Information Management Special Interest Group**

After creating a Water Industry Information Management SIG, the SIG executive group, comprising Wannon Water, Goulburn Valley Water, Melbourne Water, and Central Highlands Water, then connected with all information management colleagues from each of Victoria's 19 water corporations and 10 catchment management authorities. The first meeting of the IM SIG was held in October 2014 at Melbourne Water.

As a group they believe they can collaborate to help each other develop their business' Records and Information Management (RIM) capabilities and as such assist to build compliance with the PROV Recordkeeping Standards.

Their charter ensures strong ties to RIMPA and outlines their intention for ongoing benefits to the Victorian Water Industry by:

- ◆ providing a forum for interaction around strategic and operational records and information management issues
- ◆ providing value to Information Management SIG members through continuing professional development
- ◆ sharing information, learning from each other's experiences to allow us to identify and adopt best practice RIM for the Water industry
- ◆ fostering further networking and communications between water industry agencies. ♦

**2016-17 Article of the Year Award**



**How you can be in the running for the 2016-17 award**

Every article/paper published in iQ between now and August 2017 automatically goes into contention for the 2016-17 Article of the Year Award. There is no need to fill in an entry form. As always, the judges will be looking for articles that inform, engage and inspire readers, while displaying the author's sound knowledge of their subject. So, set to work on your potentially award-winning article today.

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**CONGRATULATIONS – RECENT PROFESSIONAL UPGRADES**

During inForum members could drop into the RIMPA stand and talk to Debbie Prout or Kate Walker about their education, knowledge and work history, and as long as they met the appropriate criteria (and could be authenticated) their professional membership status could be upgraded; in most cases, this was done in under 10 minutes.

As a result we are pleased to announce the following upgrades to Certified Professional members:

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Lauren Binks	Nabil Luyer
Kate Birch	Natalie Maher
Julie Carpenter	Lyn Nasir
Kylie Davis	Delia Navarro
Kaylenne Dunn	Camille Peters
Lauren Gray	Jade Reed
Kelly Hartless	Mavette Sanut

**Certified Chartered Member**

Debbie Cutts	May Robertson
Christine Edney	Isabel Smith
Anika Moore	Joyce Steveni
Carolyn Murphy	Janet Villata

**Certified Fellow**

Trissa Dent	Lisa Read White
Pauline Joseph	



# Digital Continuity 2020 Policy – Australia got it right

Author of this article Jay Zaidi was a keynote speaker at inForum. His topic was 'Change your organisation's culture to make data and information quality a part of its DNA'. After inForum, he published this article on LinkedIn on 19 September 2016.

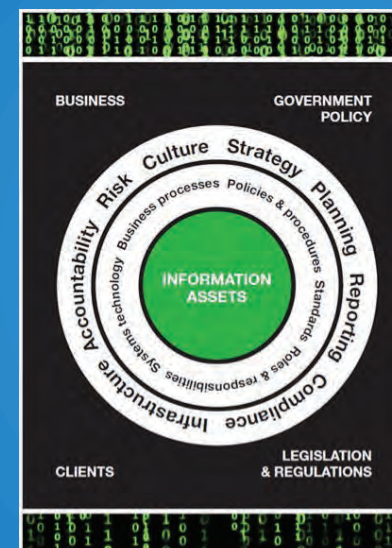
By Jay Zaidi

I spent the last two weeks in Australia meeting with leaders in information management and speaking at an international conference on records and information management. At the conference, I learned about the Australian government's Digital Continuity 2020 policy for e-government which began in 2011. The expectation is that all federal agencies will comply with this important policy and the associated standards by 2020.

The Digital Continuity 2020 policy enables the integration of information governance principles and practices into the work of agencies and their governance arrangements to:

- ♦ optimise the delivery of government programs and services
- ♦ enable information reuse for economic and social benefits
- ♦ protect the rights and entitlements of Australians.

The policy promotes a consistent approach to information governance across the Australian Government and within individual agencies. It applies to government information, data and records, as well



the necessary implementation support. NAA has done a tremendous job in building awareness and providing the necessary support and guidance for agencies looking for help in implementing the policy.

## 3 CORE PRINCIPLES OF DIGITAL CONTINUITY 2020

The Digital Continuity 2020 policy focuses on three core principles:

### Principle 1 – Information is valued

This principle focuses on governance and people. The Australian government believes that information is a key strategic asset and economic resource of the Commonwealth. Information is as important as finances, property, and equipment. It informs public policy and debate, ensures accountability and underpins how the government conducts its business.

Agencies will manage their information like an asset, ensuring that it is created, stored, used and managed effectively for as long as it is required.

### Principle 2 – Information is managed digitally

This principle ensures that paper documents are converted to digital assets and the appropriate processes are built to manage them. Developing end-to-end digital work processes provides opportunities for agencies to establish more mature and efficient procedures and services that engage the public directly and effectively while providing opportunities for process improvements and innovation.

Agencies will transition to end-to-end digital work processes, and will keep information in an accessible digital form for as long as it is required. Information kept in a digital form is more useable and can be shared more easily and at less cost.

### Principle 3 – Information, systems and processes are interoperable

This principle takes aim at metadata,

as systems, services and processes, including those created or delivered by third parties on behalf of Australian Government agencies. The Digital Continuity 2020 policy is aligned with the work of the Digital Transformation Office and builds on the foundations of previously issued transition policies.

The National Archives of Australia (NAA) is the lead federal agency responsible for guiding other federal agencies and providing

data quality and interoperability standards. The Australian Government's digital transformation initiatives will make government services simpler, faster and easier to use. These initiatives are enabled by interoperable information, systems and processes that make it less costly and easier to share information, improve information quality, reduce unnecessary duplication and reduce the impact of structural changes in government.

Agencies will have interoperable information, systems and processes to improve information quality, and enable information to be found, managed, shared and reused easily and efficiently.

## ACCOUNTABILITY FRAMEWORK

Each principle has a timeline associated with it and specific reporting requirements to ensure compliance. Agencies are required to create and manage their information as a public resource in accordance with the *Archives Act 1983* and the *Public Governance, Performance and Accountability Act 2013*, as well as the Protective Security Policy Framework, Commonwealth Resource Management Framework and internal corporate controls.

The NAA provides an accountability framework for the Digital Continuity 2020 policy including:

- ♦ annual agency survey reporting to the NAA
- ♦ National Archives annual reporting to the Minister responsible for the NAA.

The NAA will use annual agency reports and other information as part of performance monitoring.

This includes identifying agencies that need assistance to complete the recommended actions. The NAA will work with these agencies to improve their digital information management.

## WHY AUSTRALIA GOT IT RIGHT

A lot of work has gone into crafting the policy and many government and industry leaders were involved in its formulation. Just formulating an agency-wide policy focused on going digital is ➡

*The policy promotes a consistent approach to information governance across the Australian Government and within individual agencies.*





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*Professional organisations such as RIMPA provide a forum and industry expertise to advise and guide organisations in their digital journey.*

a great achievement and I believe Australia got it right since the policy is based on three principles that address the key aspects of data and information management:

- ♦ governance and skilled data management resources
- ♦ digital assets and processes
- ♦ metadata, data quality and interoperability standards.

Data practitioners have been emphasising these data management principles for decades and it is heartening to note that the Australian government has taken heed and is driving this.

Professional organisations such as RIMPA provide a forum and industry expertise to advise and guide organisations in their digital journey.

### CONCLUSION

As a data management practitioner, I believe the Digital Continuity 2020 policy adopted by the Australian government can benefit other governments as well. Many US government agencies are grappling with data management challenges and have hired chief data officers to drive these programs. The Digital Continuity 2020 policy can be used as a framework as they embark on their journey. In fact, commercial enterprises will benefit from this as well, since going digital and implementing the right level of governance, quality, metadata and system interoperability in a thoughtful and well-defined manner is desirable.

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### ABOUT THE AUTHOR

Jay Zaidi is a strategic data management consultant, thought leader and author. He is the founder and managing partner of AlyData. His firm provides advisory services, solutions, and training, to help companies improve decision-making and performance, using data.

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