on the record

Risk Management
(contributed by Samara McIlroy)

New tools are being developed by GRK to help maximise the opportunities of transitioning to digital while still managing the risks.

Shortly, we will be releasing a guideline about applying risk management processes to identify the risks associated with managing State records. An associated advice and customisable templates will also be developed to assist government agencies and councils to implement risk management processes to uncover their information risks. We expect to follow that up with a new training course offering in 2015.

The consequences of information loss, theft or leaks due to insufficient consideration of the risks could be very serious. Adopting a risk management approach will assist agencies to identify and prioritise high risk business areas so they can apply appropriate levels of control where risks to core information assets are likely to be highest. The application of risk management processes to address information risks will also assist agencies to comply with the Archives Act 1983.

At our next IM Forum on Friday 26th September 2014 we will be looking at Managing Information Risk. The Forum will include industry and expert presentations, as well as GRK staff giving you an update on what we have been doing in the Government Recordkeeping Unit at TAHO in the last year, and what new and exciting challenges lie ahead for us all!

If you would like to attend please register with the Training Consortium
http://events.ttc.tas.gov.au/pub/pubType/EV/pubID/zzzz53f3de179231f339/nc/zzzz53f3fd08bb17f095/interface.html

Decommissioning Business Systems
(contributed by Samara McIlroy)

GRK recently released an update of Advice 18 – Managing Records in Business Systems, based on Queensland State Archives advice on decommissioning business systems. The updated Advice is designed to assist agencies to decide on a suitable records management, preservation and disposal strategy before decommissioning or shutting down business systems.

The Advice describes the processes involved in appraising, sentencing and disposing of records in business systems before migration and decommissioning commences, and also covers assessing recordkeeping functionality in business systems. Part One includes a checklist which steps through the decommissioning process, and Part Two includes a checklist for determining if new systems meet minimum recordkeeping requirements.

Agencies MUST contact GRK staff before disposing of State records in legacy business systems. The State Archivist will not authorise disposal of State records in business systems without sufficient supporting evidence. The information gathered by following this Advice will form part of supporting evidence to be submitted with the Destruction Authority Checklist which accompanies Advice 10 - Disposal of Unscheduled records or as evidence that standards for reproduction have been met if sentencing under an approved Disposal Schedule.

New Guideline 1 and Recordkeeping Auditing

Guideline 1 has recently been re-written and will be re-released shortly. The Guideline has been updated to reflect the level of recordkeeping that will now be required from all agencies. **2015 will see the commencement of Recordkeeping Auditing** across all government agencies, local councils, GBE's, Authorities, State Owned Companies etc.

The aim of the Audit is initially to provide a baseline, so that each agency can see how well (or not) they are managing their Information Assets. Each agency with be Audited and rated, and the results published. We encourage the agency to publish the results of their Audit in their Annual Report. We will provide a Report after the Audit, identifying areas where work needs to be done to improve the agency recordkeeping rating. Over the next two years, we will work with the agency to improve their recordkeeping, consequently improving their business processes and lowering their vulnerability to risk.

On a whole of government level, at the end of the first two year Audit cycle, we will have an accurate picture of the level of maturity of information management across Tasmania, and this in turn will assist us to produce targeted Advice in the areas where it is most needed.

After the initial Audit cycle, the process begins again. We would be expecting to see improvement in the results of the Audit each time the process is undertaken.

At the back of the new Guideline 1 there is a Checklist, which will form the basis of the Audit questions. I encourage you to begin implementation of the mandatory requirements in Guideline 1 as soon as it is released, in preparation for your agencies' first Audit.

New procedures for developing Retention and Disposal Schedules

As you know, we froze work on reviewing Retention and Disposal Schedules (expect for those that were already underway) earlier this year. The freeze has allowed us to work on an Appraisal and Disposal Project and to produce the tools for a more streamlined Disposal Schedule Approval process.

We are currently personalising software called ORDA, which is being used widely by our counterparts on the mainland. This web based software will provide a platform that can be used by the agency to develop the Schedule and by us to review it.

We are also developing a series of Templates so that all background work required before a Retention and Disposal Schedule can be written, can be thoroughly documented. It is only when the background work has been completed to our satisfaction, that the relevant agency staff member/s will be given a Login to commence work in ORDA.

The new procedures will ensure that all Schedules presented to us for review are at an acceptable standard, which in turn will save a lot of time in the review process.

All Schedules not already on our Workplan, will need to be developed using ORDA and the new Templates. We will not accept draft Schedules in any other format.

Training Calendar

Information Management Forum
26 September Hobart

Digital recordkeeping on a shoe-string budget
15 October Hobart

Disposal Procedures
5 November Hobart

Digital recordkeeping on a shoe-string budget
3 December Launceston

Spotlight:

Deborah Drinkell – Consultant Government Recordkeeping TAHO

What is your role at TAHO?
I am one of the Team in the Government Recordkeeping Unit at TAHO.

How did you become involved in Information Management?
After completing my Undergraduate Degree in 1987, I was lucky enough to be selected for a 2 year traineeship at what was then the Archives Authority of NSW (Now State Records NSW). After my traineeship was completed I obtained permanent work with them, and completed my Postgraduate Studies part time. I worked in Reference, Collections, and Appraisal before going to their new off budget organisation - the Government Records Repository. There I worked in the Consultancy Section for several years before moving back to State Records to implement and run their Volunteer Program until 2005, when we moved to Tassie.

What's the thing you like best about your job?
Liaising with the records people in the agencies. There are so many wonderful, enthusiastic, committed people out there, trying to do the best they can, often with very few resources.

What's the thing you like least about your job?
People who don't understand that Information is an agencies' most important asset.

What do you see for the future of Information Management?
I don't know what the future will bring, I feel that we are currently at the crossroads. Recent scientific advances could see 'information stored on clusters of microscopic particles suspended in liquid.' (1) Try applying your Retention & Disposal Schedule to that! We have to start managing Information in completely new ways in order to manage its vast complexity. Information is morphing and we are having to work hard just to play catch up.

What do you do for Professional Development?
Every day of my life contains Professional Development. I am always reading and researching. I attend some Conferences. Later this year I am off to Canberra for the Council of the Australasian Archives and Records Authorities (CAARA) Working Group on Appraisal.

Share with us something about your life away from IM?
I'm a wife, carer, stepmother, mother in law and mummy to my dog and two cats. I am a passionate gardener and love growing our own fruit and vegetables on our tiny suburban block (organically of course). If I'm not in the garden I might be found reading, writing or painting in my studio, at the beach with my Bernese Mountain Dog (Mr Darcy) or somewhere quiet… meditating. I am currently undertaking training to become a Reiki Practitioner.

(1) New Scientist 23 July 2014.

New Retention & Disposal Schedules Approved

As promised, we have been completing Retention and Disposal Schedules that were commenced before the freeze, namely;

Aurora Energy Distribution Business
Tasmanian Home Education Advisory Council
TasWater Corporation
Department of State Growth
Sport and Recreation Tasmania
Tasmanian Registry of Births, Deaths and Marriages
Tasmanian Community Fund
As well as adding another function to DHHS – Client Health Records.

Congratulations to all agencies involved. Now you can get on with some disposal!

Social Media
(contributed by Sam Foster-Davies)

Studies of government use of social media show that these communication channels can enable government to reach new audiences, establish communities of practice, provide services and deliver important and effective messages to the community. Information generated through social media can provide value to business and the community, and should therefore be well managed in order to maximise this value. There are increasing business mandates for social media use and large numbers of government organisations are adopting social media applications. It is therefore important for all organisations to consider what corporate and business information is moving to social media platforms and to develop strategies that ensure this information is maintained and accessible as required.

Management strategies must be planned and proactive, and different strategies may be required for the management of information contained in different social media applications.

In order to assist agencies to identify, assess and implement strategies, extensive revised advice for managing social media information will soon be made available by TAHO. The new advice has been broken into four parts, namely:

Information Management Advice 57 – Managing Social Media Records Part 1 Overview

Information Management Advice 57 – Managing Social Media Records Part 2 Strategies for implementing Social Media Recordkeeping

Information Management Advice 57 – Managing Social Media Records Part 3 Determine what Records need to be kept

Information Management Advice 57 – Managing Social Media Records Part 4 How to Capture Social Media Records

Information Management Advice 57 – Sample Social Media Acceptable Use Policy

TAHO advice examines various strategies for the management of social media information, including some of the associated risks of each approach:

- Leave the information where is it strategy
- Low level information management strategy
- Monitoring-based information management strategy
- Needs-based information management strategy
- Reporting as an information management strategy
- Information for reuse strategy
- Information management for accountability strategy
- Information management through broadcast systems strategy

Agencies are encouraged to identify the strategy that best meet business needs and technological environments, and undertake a full assessment of the potential risks involved.

Once the new Advices are published to the TAHO website, an email will be circulated to advise of their availability.

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