ACT Government

ACT GOVERNMENT INFORMATION AND RECORDS MANAGEMENT STRATEGY -

Territory Records Office

Chief Minister, Treasury and
Economic Development

April 2020

Contents

EXECUTIVE SUMMARY 3

High Level Findings - Current state 3

Summary Recommendations 3

INTRODUCTION 4

PURPOSE 4

SCOPE 4

METHODOLOGY AND CONSULTATION 5

Methodology 5

Consultation 5

BACKGROUND 6

What is Information Management? 6

What are Records? 6

Key Stakeholders 6

FINDINGS 7

Strategy 7

ACT Public Servants 7

Information and Records Management Staff 7

Overall Themes 8

Technology responses 10

VISION 13

PRINCIPLES 14

RECOMMENDATIONS 14

APPENDIX 1 - DOCUMENTATION REVIEWED 16

APPENDIX 2 – ABBREVIATIONS 16

APPENDIX 3 – GLOSSARY 17

EXECUTIVE SUMMARY

High Level Findings - Current state

Managing and effectively using information and records is fundamental to the operations of the ACT Government and attainment of Directorates' strategic goals. The ACT Government produces vast amounts of information which, when managed appropriately, offer opportunities for improved efficiency and effectiveness. The ACT Government's current Information Management (IM) practices are disjointed and largely still paper-based, creating substantial operational inefficiencies, frustration and redundant processes. The current state of information management poses risks to Directorates and increased costs related to difficulty in finding and using information to provide services. This can have adverse impacts on both the ACT Public Service (ACTPS) and ACT citizens, the recipients of services.

Summary Recommendations

1. *Improve understanding of records management in the ACTPS*

   Recommendation 1 – Proactive and planned engagement with all levels of the ACTPS to promote the value and importance of efficient and effective information and records management and the role of the Territory Records Office (TRO).

   Recommendation 2 – Improve information and records management professionals' capability to improve service delivery and take advantage of technological advances to support seamless information and records management.

2. *Plan treatment of information and records in accordance with their value*

   Recommendation 3 – Provide Electronic Document and Records Management System (EDRMS) administrators with greater knowledge and skills to improve the design of EDRMS and promote the use of advanced EDRMS capability to support ACTPS business processes.

   Recommendation 4 – Use technology to provide joined-up capability for WhoG EDRMS to improve information and record findability and reduce searching time by the ACTPS.

3. *Improve incentives for whole of government projects*

   Recommendation 5 – Continue to build relationships with ICT partners to develop risk-based and in-place solutions for improving records, security and privacy requirements in business systems.

   Recommendation 6 – Collaborate with Shared Services ICT (SSICT) to finalise assessment and make recommendations for moving WhoG EDRMS to Cloud SaaS (Software as a Service).

INTRODUCTION

Information and records are key strategic resources for government. They are at the core of operations, underpinning all government services, and providing a foundation for policy development and planning. The quality, reliability and integrity of information and records is critical to good decision making.

The ACT Government is working to create a more open, inclusive, progressive and connected Canberra, promoting strong economic growth for its citizens and a community where everyone can share the benefits of a good life. To support this the ACTPS must be agile, use a one government approach to service provision and move to a predominantly digital way of working. This process is a journey, an ongoing series of evolving actions, which continue to change the way we work.

This information and records management strategy provides the ACT Government with an understanding of its current position and a point from which to continue to improve, ensuring foundational capabilities can be put in place across ACT Directorates, so more progressive and bold initiatives can be built on successes. Managing information and records as a strategic asset can help to solve problems and realise new opportunities and insights. Effectively using information and records can increase productivity and reduce operational costs. Technology can help to provide practical solutions, but first, we must build the foundations.

PURPOSE

In 2015, the ACTPS adopted a Digital Recordkeeping Policy, requiring all agencies to take steps to move their recordkeeping into the digital environment in support of open and accountable government. In 2018, the ACT Government endorsed the Digital Records for Digital Government initiative which aims to reduce reliance on paper records and thereby:

- make more efficient use of office space;
- increase the ACTPS's ability to share reliable and authoritative records, information and data across government, supporting efficient customer service, informed decision-making and improved data analysis capabilities; and
- provide greater environmental sustainability.

To support these initiatives the TRO has undertaken to develop a strategy for the efficient and sustainable adoption of new technology and capabilities to support digital information and records management across the ACTPS. This strategy articulates what whole of government digital information and records management should look like now and in the future for the ACT Government. It includes an examination of arrangements in other jurisdictions to ascertain the potential for shared services, a consideration of the maturity of the current market, and identification of available options to 'join-up' the two existing EDRMS used across ACT Government, such as through a shared interface and enterprise search capabilities.

SCOPE

The scope of this strategy includes:

- an identification of key information and records management issues and pain points currently facing the ACTPS.
- a set of principles which inform how Directorates should manage information and records and relevant projects.
- outlines a high-level programme of work which will provide the foundation to deliver capabilities required to effectively manage and use information and records.
- an update on current WhoG ACT EDRMS (Objective and Content Manager) initiatives, moving EDRMS to Cloud SaaS, and providing a solution to join-up both EDRMS.

The strategy promotes information and records as valuable strategic assets that, when used effectively, can solve problems, create new opportunities and reveal new insights. A corollary of effectively managing information and records is improved services to citizens as well as more effective collaboration and reduced costs in providing key services.

METHODOLOGY AND CONSULTATION

Methodology

The development of this strategy consisted of:

- A review of available strategic documentation and reports applicable to information, information management and records management
- Consultation with a wide range of stakeholders
- Discussions with vendors supplying ACT Government EDRMS (HP Content Manager and Objective)
- Market scan and demonstrations of applicable technologies
- Collaboration with ACT Government Procurement and SSICT to establish proof of concept projects for enterprise search solutions
- Investigation through Project FrontDoor of financial and practical viability of available cloud and SaaS arrangements for hosting WhoG EDRMS
- Analysis and formulation of conclusions

Consultation

Cordelta Pty Ltd, was contracted to support the development of information gathering methods. Cordelta ran a series of workshops:

- Workshop One – Territory Records Office staff
- Workshop Two – ACT Government high level stakeholders
- Workshop Three and Four – ACT Government mid-level stakeholders

All Directorates were represented at the workshops, as well as the ACT Audit Office, the Office of the Legislative Assembly, and the Canberra Institute of Technology. Agency staff at the workshops included CIOs and other IT staff, governance managers, finance personnel and information and records professionals. A workshop was also convened by the Territory Records Office with ACT Government information and records management (IRM) senior professionals.

The purpose of these workshops was to identify:

- high priority business problems;
- capability gaps in information, data, and records handling in Directorates;
- the most productive support options.

In addition, the TRO conducted two online surveys of ACTPS staff. The first survey was sent to all information and records management staff across the ACT Government. It gathered information on their existing skill sets and development needs, and their views on current and potential records management technology. The second survey was sent to a sample of 2,873 ACT Public Servants, with 576 responses, gathering data on information and records storage locations, risk, business information challenges and solutions, federated search tool capability and records management skills.

A further consultant was engaged from iThree, to assist with data analysis and strategy finalisation.

Members of the Council of Australasian Archives and Records Authorities (CAARA) where contacted to determine whether any of their jurisdictions managed EDRMS as Software as a Service (SaaS) and whether there was scope to share these arrangements broadly across jurisdictions. CAARA comprises the heads of the government archives authorities of the Commonwealth of Australia, New Zealand and each of the Australian States and Territories.

BACKGROUND

What is Information Management?

Information Management (IM) is the creation, collection, dissemination, archiving and destruction of information. It enables organisations to use their time, resources and expertise effectively to make decisions, fulfil their roles and achieve organisational outcomes (Source Gartner). The primary aim of IM is to ensure that the right information is available to the right person, in the right format and medium, at the right time. Information management involves information governance, data governance and management, information asset management, information security, records management and information access.

Good information management is dependent on getting strategy, governance, people, process, and technology right.

What are Records?

Records are a specialised form of information. The International Standard on Records Management defines them as "information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business". The *Territory Records Act 2002* draws on the Standard in defining Territory records, which are records made and kept, or received and kept, by a person in the course of exercising a function under a territory law.

Key Stakeholders

The creation of records and the management of information is closely tied to the business they inform and document. For this reason, all ACT public servants hold a stake in the ACT's information and records management environment. All ACT Government processes, should, in turn, have ACT citizens as their ultimate stakeholders. Within this broad group, there are many actors that have specific roles or interests in the ACT information and records regime. These are illustrated in the diagram below.

FINDINGS

Strategy

ACT Public Servants

The workshops with and survey of ACT Public Servants identified a range of information and records management related challenges and frustrations. Predominately, they are:

Searching for information – ACT Public Servants spend a large amount of time searching for information and records from disparate sources e.g. EDRMS, share drive or SharePoint. They may waste time in not finding the information or records they are looking for, or being unable to establish the reliability, authenticity or currency of information, and being unable to verify at what stage in the process an event has taken place. Almost 60 per cent of staff spend more than three hours per week searching for information — equivalent to over $157 million dollars per year in staff time.

Paper-based process - there is frustration about the reliance on paper-based process, and the lack of digital processes for standard WhoG ACT activities such as contract management, ministerials, tender and procurement processes.

Digital signatures - limited ability to make digital or electronic signatures, or a lack of understanding about requirements for wet signatures. There is a reliance on print, sign, scan and send on to the next person.

Information sharing and silos - inability to securely share current documents across teams, Directorates and externally, without creating duplicate documents. Information is held in repositories that other parts of the ACTPS cannot access.

Security and risk concerns - particularly around data, information and records loss, including concerns about information and records held in older business systems.

Records management - there is confusion about what information needs to be kept as a record and what 'counts' as a recordkeeping system, resulting in duplicated storage or important material not being stored or managed at all. There are concerns about legacy systems still holding data and records that may be needed in the future. Records management is seen as extra work by some in Directorates.

Systems – people identified several Directorate specific systems that require improvement. People are sometimes overwhelmed by the number of processes, procedures and systems required to do their jobs and the lack of system integration.

Lack of collaboration – lack of collaboration across the various teams responsible for information management.

Training - there is a lack of confidence and training in using business systems effectively and efficiently, including MS Office suite, TRIM, Objective and Directorate specific systems.

Information and Records Management Staff

Information and records management (IRM) staff are critical to improving information and records management practices across government. Like the wider ACTPS, information and records management professionals are concerned about information in silos, and information in systems and shared drives, not managed as records. They would like to see more digital processes and one search interface across all systems. They would also like to see automated records disposal in systems.

Generally, IRM people feel disempowered, undervalued and unsupported. They may lack confidence to do their jobs. They struggle with EDRMS that has been setup poorly, containing poor legacy metadata, leading to unreliable information about records. They report that they are often under resourced. It was noted that there is a disparity in the staffing levels across Directorates.

IRM people have expressed interest in improving their skill sets. Specifically:

- Information and records management skills - archival skills, knowledge of applicable legislation and policy, EDRMS administration and sentencing and disposal.
- People skills - people and team management skills.
- Generalist Skills – leadership, marketing, planning, project and strategic management and training.
- Technology and Software knowledge – being robust and accountable in a digital environment and digital preservation, and a desire to increase competence in specific software such as MS Dynamics.

Responses from IRM people regarding frustrations with TRIM and Objective, such as difficulty searching, lack of metadata controls, reporting, record types and disposal, indicate that more training is required.

Information and Records Management staff want:

- the TRO to provide greater advocacy to senior management and the ACTPS generally about their roles, expertise and needs, and to provide training.
- technology that incorporates IRM principles and standards.
- common information and records management goals across IRM and IT teams.
- IRM at the table at the start of IT projects, programs and technology contracts.
- more skilled staffing resources and general support to better fulfil their roles.

Overall Themes

The needs and frustrations of these stakeholder and expert groups, and the potential responses to them can generally be described in terms of three key themes.

Theme 1: Improve understanding of recordkeeping in the ACTPS

There is a general lack of understanding in the ACT Government about what it means to "manage records", and perceived distinctions between information and records more generally. It will be necessary to address the prevalent staff mindset that records are what you "do at the end" once the "real work" is done.

In some areas, there was lower than expected baseline awareness of the role and support offered by the TRO, and the availability of local information management experts within their own Directorate. A significant majority of Directorates do not have induction or training programs for staff explaining their obligations in relation to ACTPS recordkeeping, nor does the TRO offer such courses on a whole of government basis.

Staff were supportive of better education materials, as well as greater visibility of successful recordkeeping initiatives in other parts of the ACTPS. This was seen as a practical way to encourage innovative thinking and promote understanding of what capabilities exist.

Staff also endorsed the significant value of on-site TRO deployments where records experts could directly talk to line areas. While deployments were generally performed to support a targeted initiative, such as the TRO team working in Directorates to reduce paper record holdings, when TRO staff were on-site, the increased accessibility offered serendipitous opportunities to improve education and awareness. More broadly, the very presence of TRO staff onsite was perceived as tangible evidence that Directorate senior management supported and valued high-quality recordkeeping.

The TRO has limited capacity for intensive and ongoing engagement with Directorate business units. Building IRM professionals' capability will build confidence. Involving them in TRO-led strategic communications and marketing engagements would increase IRM exposure to staff in their Directorates and provide IRM with opportunities to offer support.

There was also general support for greater early consultation with the TRO, SSICT and the Office of the Chief Digital Officer (OCDO) when performing business case evaluation and solution design for new technology initiatives, to ensure that recordkeeping considerations were appropriately incorporated.

In summary, there is a low level of information and records management maturity across the ACTPS, including:

- constrained IRM resources
- a lack of skilled IM staff
- a weak information and records management culture
- a lack of role clarity and information and records management leadership, amplified by the lack of a clear programme of work and associated priorities
- insufficient ongoing information and records management training, policies and standards

Theme 2: Plan treatment of information and records in accordance with their value

There may be insufficient information and records management literacy across senior management staff, especially around how to evaluate information value and respond to information risks. Past failures to consider whole-of-life costs for past decisions are having a cost impact now, for example:

- dealing with the backlog of paper records, and the ongoing costs of paper record storage
- costly analysis of information and records management that is paper based, siloed, or unstructured

When information and records management value is not considered or quantified during the planning and implementation of projects and initiatives, it can have efficiency, reputational and financial impacts. Over-management can be just as problematic as under-management of information and records. A key principle that should be broadly adopted is that operational processes, whether digital or paper-based, should be supported by “right-sized” recordkeeping.

For example, HP Content Manager (TRIM) is reasonably well accepted in the ACT Government for multi-stage, document-centric clearance processes with tight governance such as cabinet submissions. However, a common complaint heard during workshops was that the software is inflexible, difficult to integrate with complex business processes, and is generally perceived as an expensive solution that is not fit for purpose.

There would be value in applying a greater consideration of the different values of and risks associated with records and information in different business processes, which could in turn drive productive discussions about embedding recordkeeping capability into business processes. Punitive approaches to records compliance generally fail to yield significant improvements in staff behaviour.

At the most basic level, the costs of storage need to be balanced against the costs of retrieval, and the risks of information and records loss. Cheap/easy records storage solutions may be entirely appropriate where the risk of loss is minimal, even if the in-built recordkeeping controls are less than optimal. Collaboration platforms such as SharePoint Online (Office 365) can yield productivity benefits with minimal loss of compliance, if supporting business process frameworks are developed.

Regardless of the approach chosen, it is important that decisions are deliberate operational choices, documented as part of the overall governance and process management of each Directorate. The TRO cannot evaluate or enforce the correctness of information and records value assessments, since these are ultimately a matter for each Directorate. The TRO could guide Directorates through the process of self-assessment by publishing a framework that encourages appropriate consideration of relevant factors. This could include how requests made under FOI or legal discovery processes are handled.

In summary, there needs to be a risk management approach applied to records and information management thinking, including an understanding that:

- risks exist in relation to information and records management, particularly in relation to paper-based information and records, and associated lack of formal and documented processes
- there are currently limited information and records assurance and associated processes and training including ongoing security risk assessments

- there is scope for increased use of standardised ways of working such as workflows which can streamline manual processes, increase productivity and reduce duplication

Theme 3: Improve incentives for whole of government projects

Workshop participants reported that, while teams recognised the need to engage in improvements to information and records management, there was a lack of will and resources to do so. This stemmed from a range of reasons including:

- the immediate costs and productivity dip from changing processes (this was especially noted as a problem when switching away from paper-based processes)
- staff fears about potential negative impacts to them and their clients from changing processes
- the squeeze on corporate budgets as the volume of clients and client transactions increases, without a commensurate increase in funding
- the time-consuming process of defining solutions in partnership with SSICT, who were sometimes seen as overly process driven and risk-averse in their engagements
- to the challenges for agencies in engaging in initiatives that would deliver whole-of-government benefits and/or savings, but leave some Directorates out of pocket
- a lack of communication and engagement from groups responsible for delivering centralised technology projects, leading to a lack of understanding or interest in the new capabilities on offer

In some cases, important whole-of-government initiatives such as the TRO's focus on preservation of community memory may have little to no immediate organisational benefit, but act as an important social good and a fundamental responsibility of government.

In other cases, projects deliver a minimum viable product which does successfully achieve a change, at the cost of a range of information quality of life issues remaining unaddressed particularly in cases where there is no budget set aside for further improvements. The Office of the Chief Digital Officer was recognised, however, as making important steps in bringing groups together that could facilitate information and records management sharing initiatives.

Overall, difficulties in implementing appropriate tools and technologies arise from whole of government or cross-Directorate barriers such as a:

- lack of understanding of where key information and records are captured, for example a variety of systems hold service requests/customer data
- currently incomplete enterprise data model to identify what datasets exists and any related issues (for example, data quality and ownership)
- partial roadmap for critical systems which clearly documents future enhancements and upgrades linked to business requirements. This is evidenced in the number of legacy systems which hold information.

Technology responses

This review also canvassed several changes in technology approaches that might deliver efficiencies or other savings that could further support improved records and information management. These were:

- opportunities for shared arrangements with other jurisdictions
- the potential for cloud and SaaS arrangements
- the availability of 'joined-up' EDRMS solutions and
- other mature technologies and capabilities that could further support digital information and records management across the ACTPS.

The findings showed that there is little being done in other jurisdictions on whole of government models, and therefore no existing capacity of which the ACT could take advantage. There is, however, potential to establish enterprise search mechanisms across the ACT's two EDRMS platforms, and to identify financial savings through cloud and SaaS arrangements for these systems.

Three potential vendors have been identified who may be able to provide a joined-up solution for WhoG EDRMS. Proof of concept projects are underway with SSICT, supported by the TRO. Each system will be assessed against the functional requirements identified from feedback provided by ACTPS and any technical and security requirements specified by SSICT.

An investigation by the TRO and Project FrontDoor suggests that financial savings are available by moving the ACT's two existing whole of government EDRMS platforms to SaaS arrangements. The TRO and Project FrontDoor will complete the investigation and submit a report to the Digital Records Governing Committee.

There are many technologies in the current market to support good information and records management, these technologies are continually maturing, particularly as industry responds to client needs. Emerging technologies provide options to better integrate records management technologies with other IT developments, purchases and outsourcing arrangements. Records management technology has moved from separate records repository solutions, like EDRMS, to in-place records management solutions, removing the onus from staff to save content into EDRMS and increasing the quality and coverage of compliance across the organisation.

This change has occurred with the increased focus on compliance and discovery internationally, the introduction of higher compliance reporting standards and the increasing number of specialised business systems and applications leveraged by business teams which do not meet international standards for records management. The solutions and techniques than have historically been deployed are not able to scale to meet growing data volumes, and the expense and overhead to train all staff to understand records and classify information appropriately, is not scalable or yielding the functionality outcomes that are needed.

There has been an acknowledgement by industry of the scale and complexity of modern records management, merging of records management functionalities from EDRMS into Enterprise Content Management systems and further transitioning to Content Services. In the last 5 years, a maturity for manage-in-place capability has been a popular trend to automate records management capability directly into collaborative and desktop applications, providing 'records management by stealth' and removing this task from staff as these systems automate many records management activities.

Other technologies manage information as a record at the end of its active life, offering options for migration to EDRMS or secondary storage solutions, to be preserved for as long as business or legal requirements prescribe. There are lots of advanced search capabilities and federated search engines, each system providing analytics to organise information, present it diagrammatically for an end user, improve automation, remove duplicates, and quarantine for archiving.

Technology is fast-paced and enticing. Whatever good technology is available today will be better tomorrow. Since investigation on this strategy began, technology has changed and the maturity for organisations to leverage automation has also changed with the expectation of modern business systems, to support manage-in-place options. Additionally, with heightened privacy and data security obligations, having visibility of risk areas across an organisation and being able to act on that risk to avoid security issues has also impacted the management of information.

The ACTPS can exploit these technologies, often cheaply, only when the foundations of good information management and records management exist. The following technologies are being used within in-place systems, EDRMS and federated search engines:

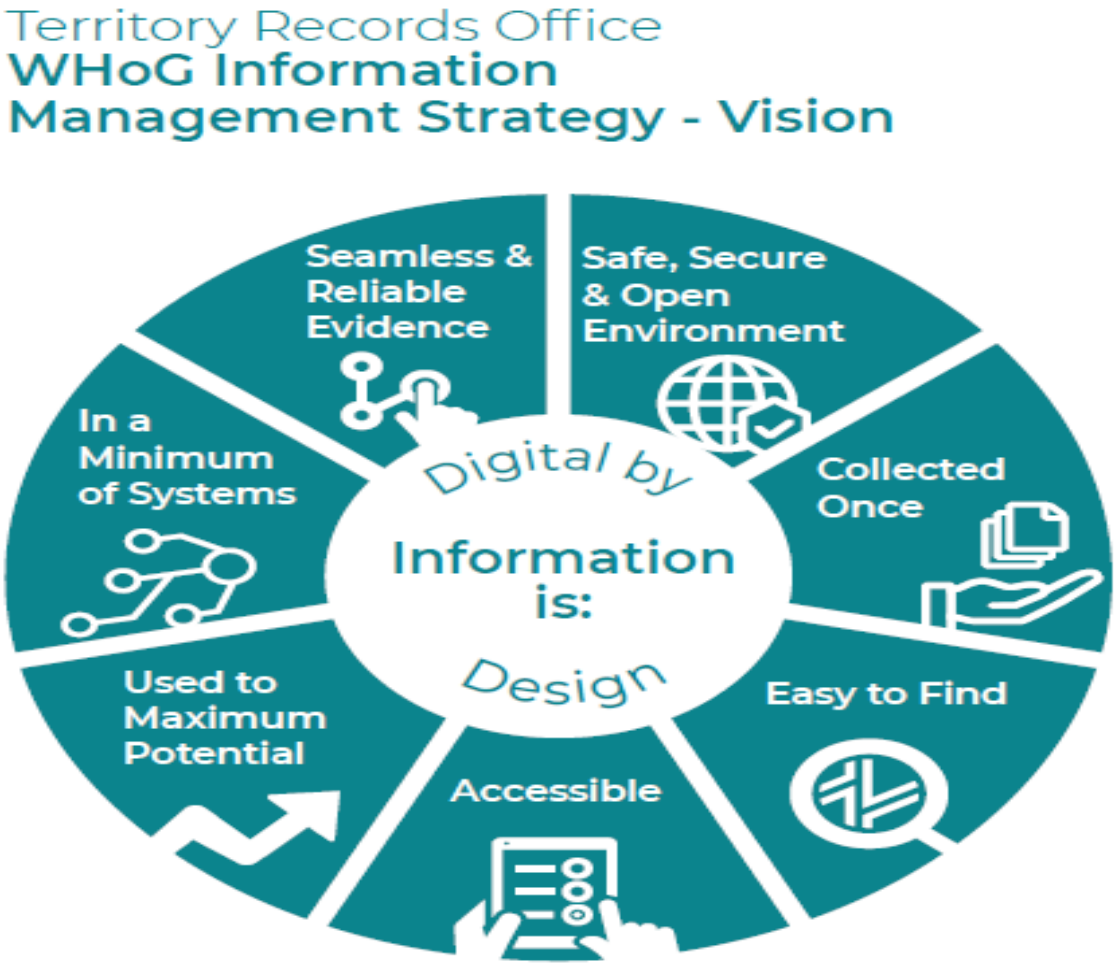
- Analytics
- Artificial Intelligence
- Machine Learning
- Privacy Detection (PII data detection and management)
- Reporting
- Robotic Process Automation
- Security Risk Detection

Specialised Services:

- Voice to transcript
- Image detection and insight enrichment
- Metadata enrichment
- Predictive trend modelling
- Misconduct detection
- Context clustering (visualising information grouped by topic/activity/transaction regardless of source system)

Deciding which IRM technologies to use should be guided by this strategy's findings and principles, which are discussed further below. One of the principles identified is to manage information and records in a minimum of systems. The three proof of concept projects currently underway use some of the technologies listed above, such as analytics, to improve searching and reporting. After evaluating and selecting an appropriate system for enterprise search, the ACTPS should consider using that system's capability to automate common business processes, improve the management of information and records in legacy systems and automate records disposal, managing records by stealth.

VISION



INFORMATION IS:

DIGITALLY MANAGED BYDESIGN

in a SAFE, SECURE AND OPEN ENVIRONMENT;

COLLECTED ONCE;

EASY TO FIND;

ACCESSIBLE;

USED to its MAXIMUM POTENTIAL;

IN A MINIMUM OF SYSTEMS;

MANAGED AS A RECORD SEAMLESSLY and RELIABLY.

PRINCIPLES

The information principles set out below provide guidance on the decisions and behaviours expected to achieve the vision described earlier for ACT Government records and information management. These principles should drive behaviours to promote a proactive, collaborative, digital first, information and records management culture. They have been derived from the feedback provided from the ACTPS.

Underpinning each principle is the concept of 'Digital by Design'**,** where business processes in their entirety are designed and built digitally from the outset, concentrating on the capabilities needed to make a process succeed and make a positive difference for those who use it.

Safe, secure and open environment – for people to have faith in the information and records they use they must meet certain criteria. Information and records should be safe and secure from unauthorised access, alteration, concealment or destruction. Preferably, they should be open by default, so that people can access the information and records they need, when they need them. Information and records need to be collected, kept and maintained in a manner compliant with applicable laws and to preserve privacy.

Collected once – information is collected once and systems are seamlessly integrated, where it adds value, to support streamlined business processes. This reduces duplication, minimises mistakes, saves time and costs, and improves productivity and information and record quality and reliability.

Easy to Find – information and records are easy to find with a preference for "google" like tools which search multiple repositories at once, use technology like artificial intelligence and machine learning to improve search results, and provide more meaningful search result presentation.

Accessible – for people to get to the information and records they need, when they need them, information and records need to be accessible, not held in silos or housed behind walls, unless required for security purposes.

Used to maximum potential – information and records are created, used, shared and reused, thereby supporting collaboration, capitalising on existing organisational expertise and work already created, saving time, sparking new ideas and supporting shared learning.

In a minimum of systems - having as few systems as possible reduces the number of information repositories to search, increases the reliability of information, and eases the establishment of information currency or process completeness. For a highly mobile workforce such as the ACTPS this reduces the number of systems staff need to learn and use effectively and efficiently and reduces the ongoing and end of life maintenance costs.

Seamless and reliable evidence – records management should happen with little or no conscious action from people carrying out business processes, they should not have to think about it or take time out from their job. In other words, records management by stealth. Processes to capture and manage records as evidence of business transactions should be automated as far as possible, through systems that are overseen by, and designed with the participation of, dedicated information and records professionals.

RECOMMENDATIONS

There is a wide range of potential actions that the Territory Records Office (TRO) could take, and support the broader ACTPS to take, in moving closer to the vision described above. This report identifies a small number of initial actions that can have a substantial impact on the performance of the ACT's information and records management framework, and which are relatively easily achievable in the short term. The recommendations are organised according to the key themes identified on pages 8 to 10.

In particular, the TRO should consider the following actions:

Theme 1: Improve understanding of recordkeeping in the ACTPS

1. **Communications and marketing engagement** – with assistance from CMTEDD Media and Communications team or external consultant, develop a marketing and communications plan, targeting key stakeholders, to promote:
    - the value and importance of information and records and their management
    - the benefits of working electronically to reduce paper-based records and improve productivity and staff satisfaction
    - the services and capabilities of information and records management teams across the ACTPS
    - an understanding of the role of the TRO and its services.

2. **Information and Records Management Capability** – continue current work on codifying records and information and records management capabilities for various levels of ACTPS staff and consider developing online training for the ACTPS in conjunction with industry experts and peers such as RIMPA, CAARA, Records Services and the Shared Services Digital Records (SSDR) team. The current role of records staff is largely focussed on traditional records management functions and activities which tend to be mainly paper based. This focus is no longer adequate to meet the complex information and records management requirements of Directorates. All survey methods revealed that IRM capability across Directorates is varied and more inclined to be basic. It would be ideal for IRM staff across the ACTPS to undertake studies at the Certificate III or IV level, or the Diploma or Advanced Diploma levels from a Registered Training Organisation.

Theme 2: Plan treatment of information and records in accordance with their value

3. **Maximise use of EDRMS** – drawing on the skills of Shared Services Digital Records and existing systems administrators, provide EDRMS administrators with greater knowledge and skills to improve the set-up and design of EDRMS system datasets, and promote the use of advanced EDRMS capability such as workflow and approvals, concentrating on common business processes.

4. **Federated Search Engine** – through the Digital Records Governing Committee, continue to support Shared Services ICT's work on the proof of concept projects that are currently underway with three potential providers, and pursue the implementation of an appropriate solution based on the results of these tests. 'Joined-up' searching across the two existing EDRM systems was a key solution identified by stakeholders, and one of the tasks of the Digital Records for Digital Government project was established to identify.

Theme 3: Improve incentives for whole of government projects

5. **Build Stronger Relationships** – continue to build stronger relationships with SSICT, CMTEDD CIO, OCDO and Project FrontDoor to develop a risk-based approach to managing information as records in systems, including business system designs and in MS Teams and SharePoint, to ensure recordkeeping, security and privacy needs are met. Records management built into systems requiring no intervention by the end user has been a strong message from all levels of the ACTPS. There are opportunities in the OCDO in design thinking processes and elsewhere to develop products, tools and advice that would help embed records management considerations into design methodology going forward.

6. **Move WhoG EDRMS to Cloud SaaS** - through the Digital Records Governing Committee, support Project FrontDoor to complete its investigation of cloud SaaS arrangements for EDRMS and pursue new hosting arrangements accordingly. An investigation by the TRO and Project FrontDoor suggests that financial savings are available by shifting the ACT's two existing whole of government EDRMS platforms to Software as a Service arrangements.

APPENDIX 1 - DOCUMENTATION REVIEWED

- ACT Auditor- General's Report, ICT Strategic Planning Report No. 6 / 2019.
- ACT Government 2019, State of the Service 2018 – 19, Chief Minister, Treasury and Economic Development Directorate.
- ACT Government, Chief Minister, Treasury and Economic Development Directorate, August 2019, Draft ACT Government Digital Strategy 2020 – 2022.
- ACT Government, Chief Minister, Treasury and Economic Development Directorate, Digital Strategy 2015 – 2020.
- ACT Government, CMTEDD, Strategic Intent 2018-2019.
- Recordkeeping Innovation Pty Ltd 2014, ACT Digital Recordkeeping Feasibility Study, Functional requirements for digital recordkeeping.
- Recordkeeping Innovation Pty Ltd 2014, ACT Digital Recordkeeping Strategy - Recommended governance and deployment model for digital recordkeeping, unpublished.
- Recordkeeping Innovation Pty Ltd 2014, Report on Current Digital Landscape with Current Issues and Preliminary Recommendations, unpublished.
- Territory Records Act 2002
- Territory Records Office, Information Maturity Survey 2018
- Territory Records Office, Information Maturity Survey 2019

APPENDIX 2 – ABBREVIATIONS

ACTPS – ACT Public Service

CAARA - Council of Australasian Archives and Records Authorities

CIO – Chief Information Officer

CMTEDD- Chief Minister, Treasury and Economic Development Directorate

EDRMS – Electronic Document and Records Management System

IM – Information Management

IRM – Information and Records Management

OCDO - Office of the Chief Digital Officer

RIMPA – Records and Information Management Professionals Association

SaaS – Software as a Service

SSDR – Shared Services Digital Records

SSICT – Shared Services Information and Communications Technology

TRIM – Total Records and Information Management (EDRMS)

TRO – Territory Records Office

WhoG – Whole of Government

APPENDIX 3 – GLOSSARY

Artificial Intelligence - Artificial intelligence (AI) refers to the simulation of human intelligence in machines that are programmed to think like humans, react like humans and mimic their actions. The term may also be applied to any machine that exhibits traits associated with a human mind such as learning and problem-solving. Some of the activities computers with artificial intelligence are designed for include speech recognition, self-driving cars, language translation. AI systems can easily roil through lots of information to recognise patterns and categories in data. This can be used to enable new ways to search, find, use and manage information, and add automated workflows to document management processes.

Business Process Automation (BPA) - Business process automation is the use of technology to execute recurring tasks or processes to replace manual effort. It is done to achieve cost minimization, greater efficiency, and streamlined processes. Business process automation is not to be confused with business process management, which is a larger discipline involving the management of complex organisation-wide processes using different methodologies.

Digital and Electronic Signatures – the terms digital signature and electronic signature are used interchangeably, but they are different. An electronic signature is a visible representation of a person's name or mark, placed by a person on a document or in a communication, by electronic or electronic and mechanical means, to identify the person and indicate that they put their mind to adopting the document or communication. An electronic signature is different in this sense from a digital signature, which is concerned with cryptographic authentication technology rather than a person signalling their assent to a document by marking it.

EDRMS - An Electronic Records and Document Management System (EDRMS) is an automated software application designed to facilitate the creation, management, use, storage and disposal of a range of both physical, most often paper, and digital documents and records. An EDRMS can support the automation of business processes with workflows and approvals, which can support teams which do not have dedicated business systems for specific processes. EDRMS can be integrated with other business systems to ensure information is managed as a record.

Machine Learning - Machine Learning is a branch of Artificial Intelligence that explores ways to get computers to learn by themselves based on its experience to improve performance.

Proof of Concept (POC) - A proof of concept is a demonstration to verify that certain concepts or theories or requirements have the potential for real-world application. A proof-of-concept proves or disproves a product's viability to meet requirements.

Robotic Process Automation (RPA) - RPA is the term used for software tools that partially or fully automate human activities that are manual, rule-based, and repetitive. They work by replicating the actions of an actual human interacting with one or more software applications to perform tasks such as data entry, process standard transactions, or respond to simple customer service queries. They essentially look at the screens that workers today look at and fill in and update the same boxes and fields within the user interface by pulling the relevant data from the relevant location. Chat bots for example, are often found on websites, they are almost always a robotic process automation tool, not a human. RPA can help to ensure that outputs are complete, correct, and consistent between tasks and between human workers.

Chief Minister, Treasury and Economic Development Directorate

March 2020