Appraisal in the digital era

workshop
22 June 2017
BNP Paribas – Paris - France

eabh in cooperation with BNP Paribas and Banque Lombard Odier

eabh
we do history

Appraisal strategies in central banks

Decommissioning the network drives at the ECB:
a pragmatic approach
Maria Luisa Di Biagio (ECB)

Archival appraisal In the Croatian National Bank
Egon Kraljević & Tvrtko Ujević (Croatian National Bank)

Document appraisal at Banco de Portugal
António Gil Matos & Filipe Fernandes (Banco de Portugal)

Appraisal strategies in international organizations

Archival appraisal in a digital context at the HAEU
Samir Musa (Historical Archives of the European Union)

Application of the UNESCO/PERSIST guidelines for the
selection of WBG social media content for long-term
preservation
Esther Y. Abangma & Paloma Beneito Arias (World Bank
Group)

The e-Domec records management policy of the European
Commission
Seth van Hooland (Université libre de Bruxelles)

Appraisal strategies in commercial organisations

Redefining the archival strategy at a multinational firm in the
digital era
Lourdes Fuentes Hashimoto (Total)

Achmea Holding appraisal policy from the perspective of the
adopted maturity model
Vincent Hoolt (Achmea Holding)

Creating a platform for digital appraisal at HSBC
James Mortlock (HSBC)

Automatic appraisal in the era of GDPR
Chris Winter (Hewlett Packard Enterprise)

EUROPEAN CENTRAL BANK

EUROSYSTEM

Decommissioning the network drives at the ECB: A pragmatic approach

by Maria Luisa Di Biagio

EABH workshop „Appraisal in the digital age" - Paris, 22 June 2017

- **Migration of information from the network drives to the EDRMS**

    – **Background**

    – **Project organisation**

- **Criteria for the selection of the information to be migrated**

- **How we supported users**

- **Some reflections**

- **Conclusion**

The European Central Bank

At the heart of the Eurosystem and the Single Supervisory Mechanism
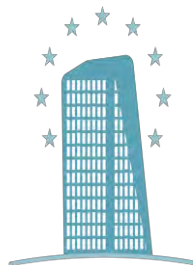
**~3.500 staff
25 business areas**
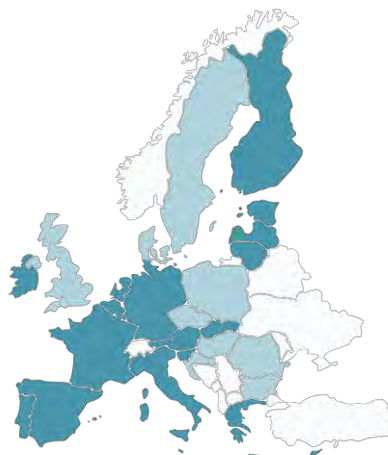
Maintain the stability of the euro

Conduct monetary policy in the euro area

Conduct banking supervision on euro area banks

Ensure smooth functioning of payment systems
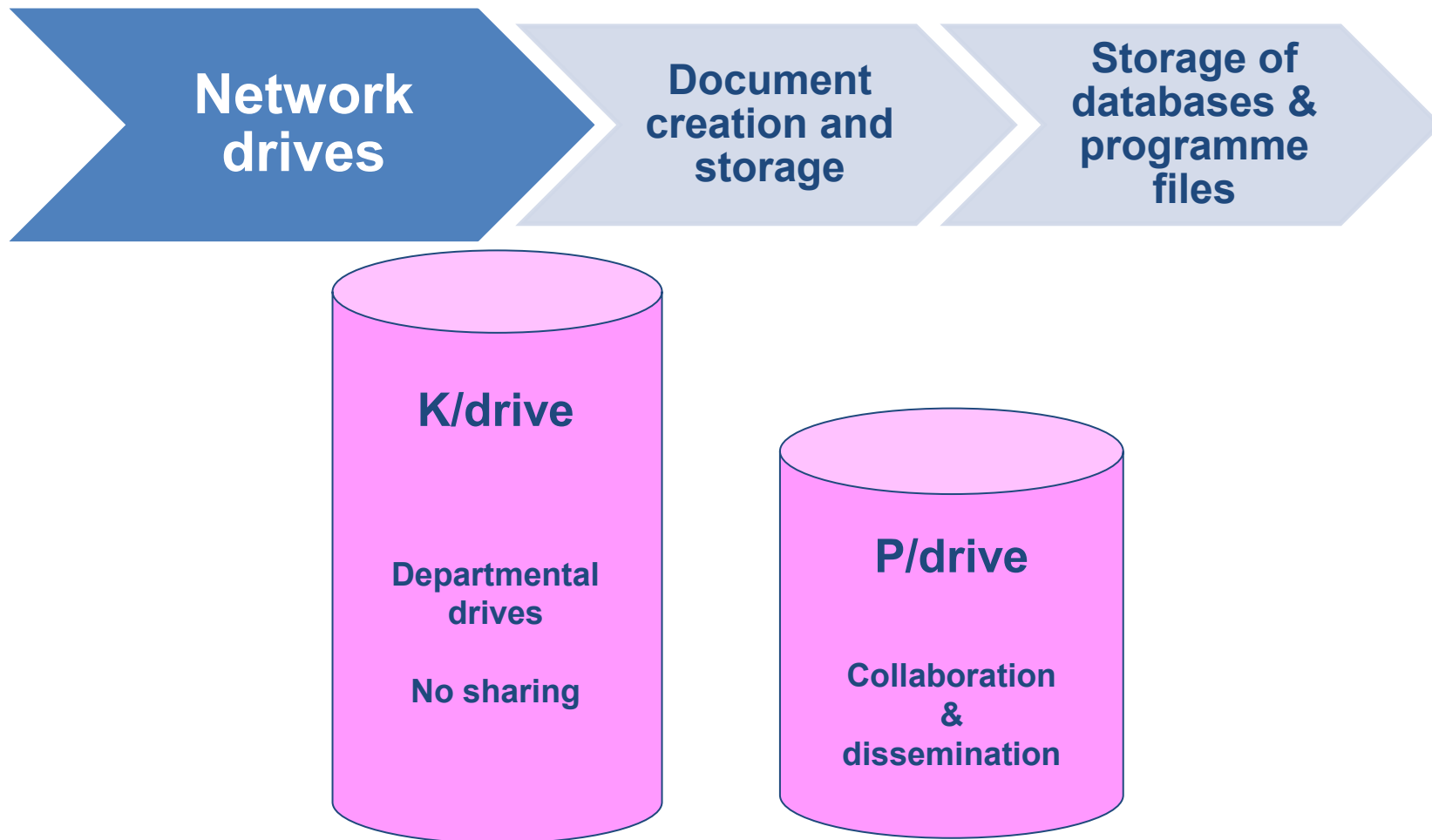
European Central Bank

Information is key to prepare decisions and perform our assigned tasks

A knowledge organization

**EDRMS since 2007
~10 million documents
~18.000 users**

3

Use of network drives before EDRMS (1998 – 2007/2009)

Network drives	Document creation and storage	Storage of databases & programme files

K/drive

Departmental drives

No sharing

P/drive

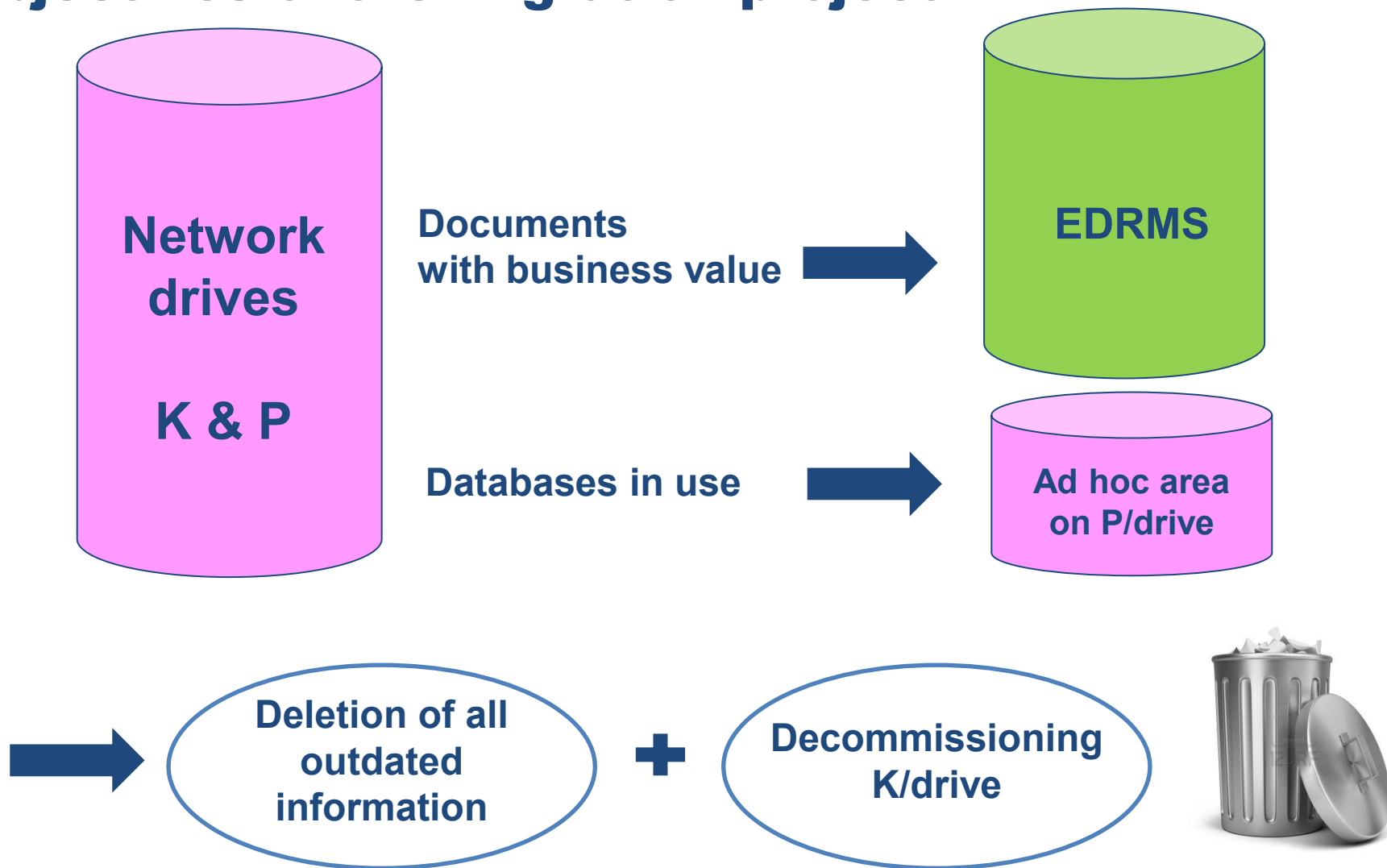**Collaboration & dissemination**

Upon introduction of EDRMS

Recommended freezing of K/drive to prevent further use

- **Not possible for all areas**
- **Some critical databases & programme files on K/drive**

Recommended migration to EDRMS of business information of relevance

- **Partially carried out for decision-making bodies, HR, accounting, legal documentation**

Objectives of the migration project

Network drives

K & P

Documents with business value ➡️ **EDRMS**

Databases in use ➡️ **Ad hoc area on P/drive**

➡️ **Deletion of all outdated information** **+** **Decommissioning K/drive**

Why migrating information from the network drives

Impossibility to apply ECB IM policies	• **Retention** • **Digital preservation**
Compliance risk	• **Increased time for public access requests** • **Non compliance with data protection rules**
Reduced information security	• **Non transparent access rights** • **No audit trail** • **Limited access reconciliation**
Poor records management	• **Unclear identification of final records** • **No version control** • **Limited use of metadata**

The project preparation

Feb 2010	Consultations users & IT	Sept 2013

Start of discussion with business areas

Major effort in some business areas

Need of extended timeline

Limited IT support for database migration

IM guidance and support needed for document migration

Start of project
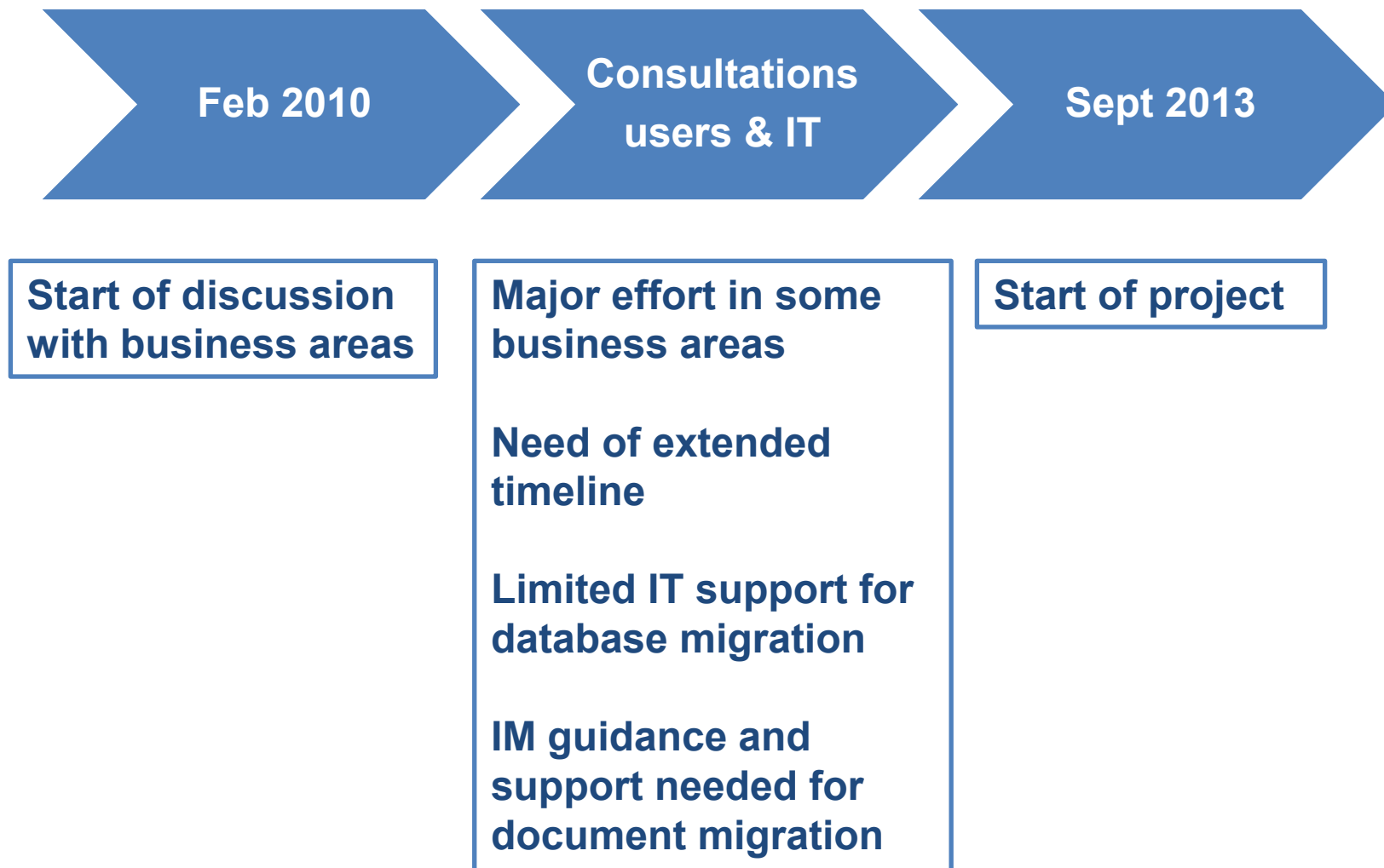
Phase 1 - Migration of databases

Select databases for migration	Move databases to new destination	Freeze network drives

Phase 2 - Migration of documents

Analyse content of network drives	Select documents to be migrated	Migrate documents	Authorise deletion of outdated documents

Phase 3 – Decommissioning of K/drive

Remove user access from K/drive	Decommission K/drive

What we migrated

| DATABASES & PROGRAMME FILES IN USE | DOCUMENTS WITH NON EXPIRED RETENTION as per ECB retention policy |

Databases

Programme files

Econometric packages

Calculation tools

Complex excel sheets with macros/links

Documents with permanent retention

Documents with retention > 10-15yrs

Documents used on a regular basis and closely-related items

Recently created documents, if any

What we did NOT migrate

Outdated databases & tools	**Content extraction (.pdf) in some cases**
Documents with short retention periods	**<10yrs, e.g. personal data**
Draft documents or superseded versions	**Only final versions in EDRMS**
Documents submitted to formal fora	**Migrated as part of the master files of these fora**
Password protected, encrypted documents, zipped files, un-supported formats	**Recommended un-protection, decryption, un-zipping before migration**

How we supported users

Written guidance on what and how to migrate

MIGRATION OF INFORMATION FROM NETWORK DRIVES – TOOLKIT FOR BUSINESS AREAS

Tips for moving files in Windows Explorer and Microsoft Access 2007/2010

Guidance on migration of documents from the network drives to DARWIN

Templates to document migration activities

Phase 1 - IDENTIFICATION AND MIGRATION OF DATABASES / PROGRAMME FILES

No.	Activity	Deadline	Responsible BA or unit (BA / unit acronym)	Status
1.1	Identify databases / programme files in use in the BA	Q2 2014		

To guide users along the process

List of databases / spreadsheets / programme files to be migrated to new business area folder on P\ECB business areas - [BA or business unit]

Number	Name of database / programme file	Owner / responsible unit	Current location (path)	Linked files (Y/N)	Comments

How we supported users

Overview of size & content of drives by business area & file type

- Container files
- Office files and documents
- Program files
- Miscellaneous files
- Graphic files
- Video files
- Mail files
- Text files
- Data files
- System files
- Audio files
- Database files
- Temporary and back-up files
- Help files
- Internet files
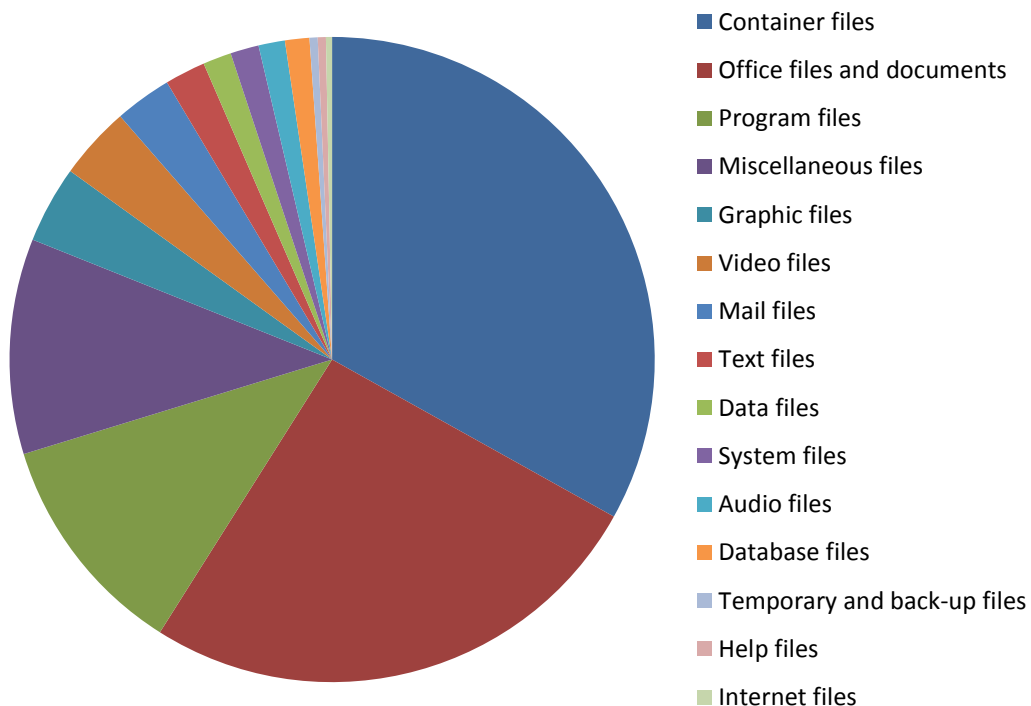
To assess effort for analysis & migration

Overview of folders by business area

\\DIMECB01\LS-Data\LS-Common\01-L E G C O\
\\DIMECB01\LS-Data\LS-Common\02-ECB Consultations\
\\DIMECB01\LS-Data\LS-Common\03-D G - L\
\\DIMECB01\LS-Data\LS-Common\04-Member States\
\\DIMECB01\LS-Data\LS-Common\05-Third countries\
\\DIMECB01\LS-Data\LS-Common\06-Community Institutions - general\
\\DIMECB01\LS-Data\LS-Common\07-International Organisations -general\

How we supported the selection of documents to migrate

Records managers carried out initial high-level analysis of content of drives against the retention periods

Indication of sets of documents for migration, content assessment or deletion

Based mostly on folder names

\\GIMECB01\Data\General\Training BdE\	3.6.5 - Training & development - 5 yrs retention
\\GIMECB01\Data\Project\ESCB\Finance Kit Projects	8.8.2 - 5 yrs after closure of project
\\GIMECB01\Data\Project\ESCB\MOP	8.8.2 - 5 yrs after closure of project
\\GIMECB01\Data\Committee\Market Operations Committee	1.4.9 Support to MOC - Permanent
\\GIMECB01\Data\Contribution	not clear which activity is referred to

To guide & facilitate the selection of documents

How we supported the migration of documents to the EDRMS

Define process for migration

Prepare documents for migration in network drives (delete drafts, duplications, password protected, etc.)

Assign appropriate metadata and permissions in destination folder in EDRMS

Move documents to EDRMS

Check completeness of migration

Adjust names & declare as records

Provide import tools

Ad hoc bulk input of documents via workflows

Consistent metadata input

Provide resources for migration

To help meet deadlines

To ensure accurate and smooth migration

What went well

Rigorous project management	• **Tracking of activities** • **Quarterly status reports**
Communication with users & management	• **Regular reporting in different fora** • **Liaising with users on status of activities**
Co-operation with IT function	• **Timely reporting of technical issues** • **Joint communication to all staff on project milestones**
Targeted migration where possible	• **Focus on missing information with permanent retention in EDRMS (e.g. formal fora)** • **Check after migration**
Delayed deletion of information	• **~1 year after completion of migration** • **Possibility of retrieval via IT department**

Lessons learnt

Long deadlines lead to loss of momentum	• Requests of extensions caused project delays • Last-minute uncontrolled migration close to final deadline could not be avoided
Select staff with the right profile	• In-house knowledge of databases & tools • Historical knowledge of pre-EDRMS practices
Exceptions must be kept to the minimum	• Only upon justified business reasons • Increased tracking and monitoring effort
Use IT tools for analysis & migration	• Automatic identification of duplications / unsupported formats • Keeping of some original metadata

To conclude…

- **The ECB has achieved an important milestone in its information management journey**

- **The concerted effort of IM, IT and users has paid off**

- **A big step forward for the ECB information governance!**
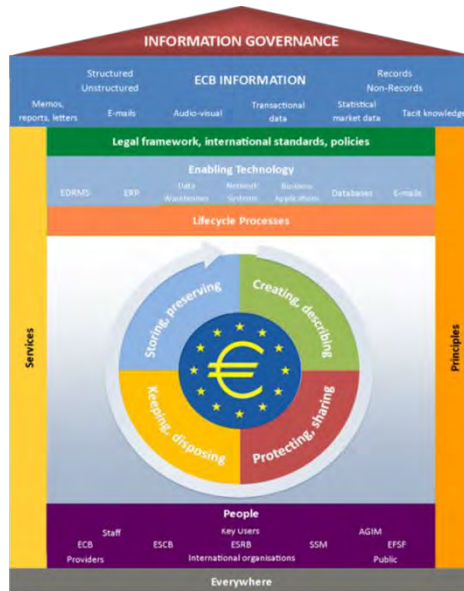
Any questions?

Archival appraisal in the Croatian National Bank

Egon Kraljević and Tvrtko Ujević

❑ Archives of public institutions are directly subordinated to the system of state archives

❑ every public institution is obligated to draw up a schedule of the type of documents/data originating from its work with a records retention schedule and submit it to the competent state archives.
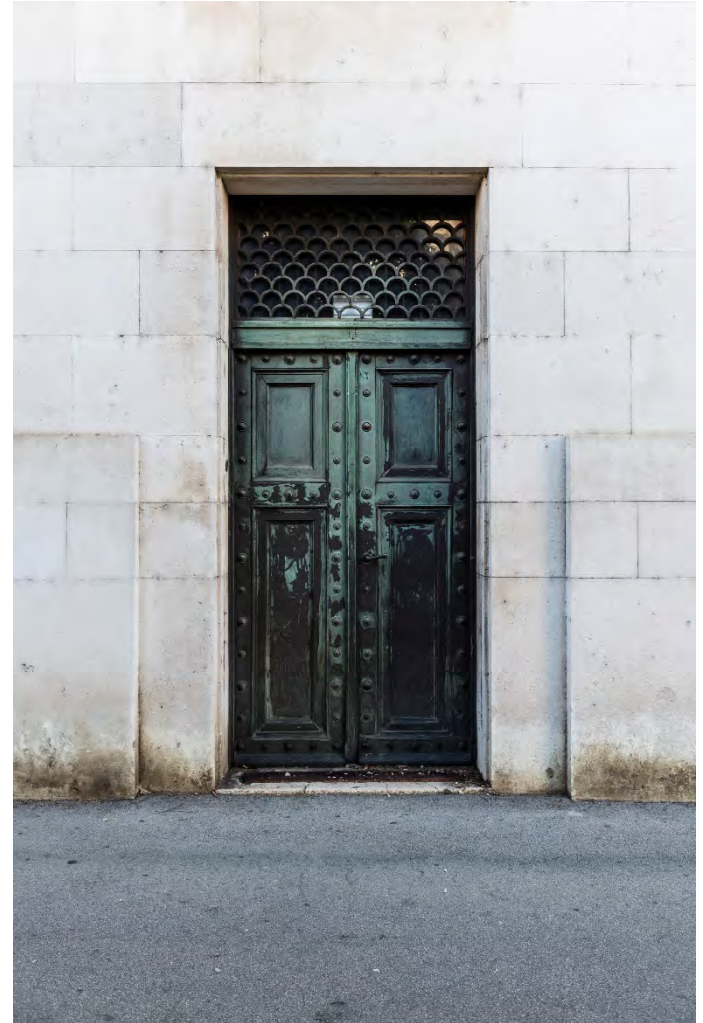
Creation of the new retention plan of the Croatian National Bank (CNB)

□ The creation of the new schedule as an opportunity to reappraise the CNB's records
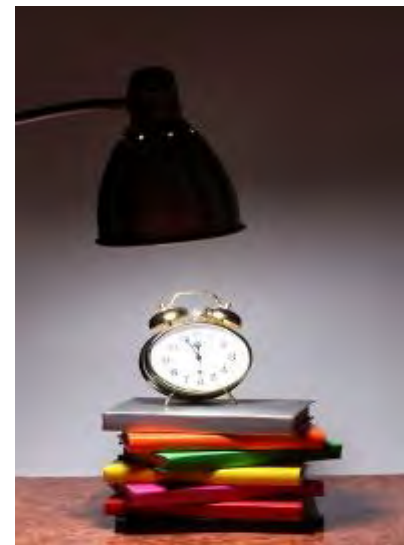
Appraisal of records characteristic for the CNB

- Appraisal paradox: how to assess, at the present time, which documents, for cultural and historical reasons or on some other grounds, may be important for the future, and as such, worthy of preservation.

Some appraisal guidelines

- Documents created as a result of the operations of the Bank's management are bound to have greater value than the documents created during the operations of subordinate departments. At lower business operation levels, documents recording operations that affect the scope of economic activity in the long-term, such as exchange rate setting, bear more relevance than those recording daily activities carried out on a large scale (e.g. daily payment transactions).

Misunderstanding of the concept of permanent custody

- ❑ Permanent records are those that are relevant for business operations;

- ❑ All the data that employes assumed they might need for doing business in the medium and long term have permanent value.

- ❑ This interpretation, led to a surge in permanent retention designations, resulting in the overcrowding of our storage areas

Some other things we learned from the appraisal process

□ Interestingly, electronic data were not perceived as archive materials by CNB employees, which proves that the notion according to which archive materials comprise only documents in traditional paper form is still very common.

Some other things we learned.....

- It is impossible to complete the work in just one cycle. An archivist must not give in to frustration if there is a lot of planned, but unfinished work left after appraisal that will have to be completed on another occasion. It is only after several cycles that personal expectations can be met, after which the following appraisal processes will only consist of smaller updates.

Digitalisation and microfilming

- The permanent retention designation will serve as the main point of reference used to select materials for microfilming, which will mostly be directed at the protection of the most valuable materials in terms of business and cultural history.

- Since it is evident that the Croatian National Bank will digitalise more documents than will be recorded on microfilm, it is necessary to consider introducing retention periods for digitalised archive materials as well (which has not been the case so far). In our view, similar, if not the same criteria should be applied as in traditional appraisal.

Thank you for your attention!

Appraisal in Banco de Portugal

A. Gil Matos • Head of the Archive Unit
Filipe Fernandes • Record Manager

EABH Archival Workshop • Paris, 22 June 2017

Summary

Introduction

Appraisal role

EDRMS Implementation

Historical Archive digitalization

Future Developments

Banco de Portugal's Archive Unit

Created in 1959, in the Statistics Department, responding to its need to gather and organize a great deal of information for analytic purpose, it become three years later, a autonomous service. In 1976 it become a part of the Documentation, Editions and Museum Area;

It gathers the documental collections resulting from the over 170 years of the Bank's existence, as well as from extinct institutions related to the bank;

BANCO DE PORTUGAL
EUROSYSTEM

Banco de Portugal's Archive Unit

Continuous role in the selection and classification of documents, working with the bank's departments to establish preservation schedules and selection tables, as well as managing long term and permanent storage of records.

Banco de Portugal's Archive Unit

- In 1990 a committee with the purpose of establishing retention schedules and disposition for documental series, was created – *Comissão de Apreciação de Prazos de Guarda (CAPG)*. This committee is composed by members from the archive, the organizational and the juridical services, and gathers whenever is needed to decide about a record series classification, with it's issuing service.

- In 2012, a regulation for the recently implemented Electronic Documents and Record Management System was created. It was established that appraisal and selection of records would be managed in the same way for both physical and electronic documents.

Before 2010

Ingestion of documents to the Archive Unit

• Physical documents only (paper, tapes and CD /DVD);

• No systematic audit on records in the departments. Archive Unit and departments would approach due to the necessity to keep long term records, or the interest in permanent record keeping for the historical archives;

• Although very comprehensive, it didn't cover all the records produced in the bank.

Before 2010

Intermediate archive management (retention and disposal)

• Retention schedules established by CAPG;

• Record shipping for the deposits were officialised with a detailed consignment note, where later on the physical localization of volumes were also updated;

• Storage, retention and disposal managed by a Ms Access database (Arquint);
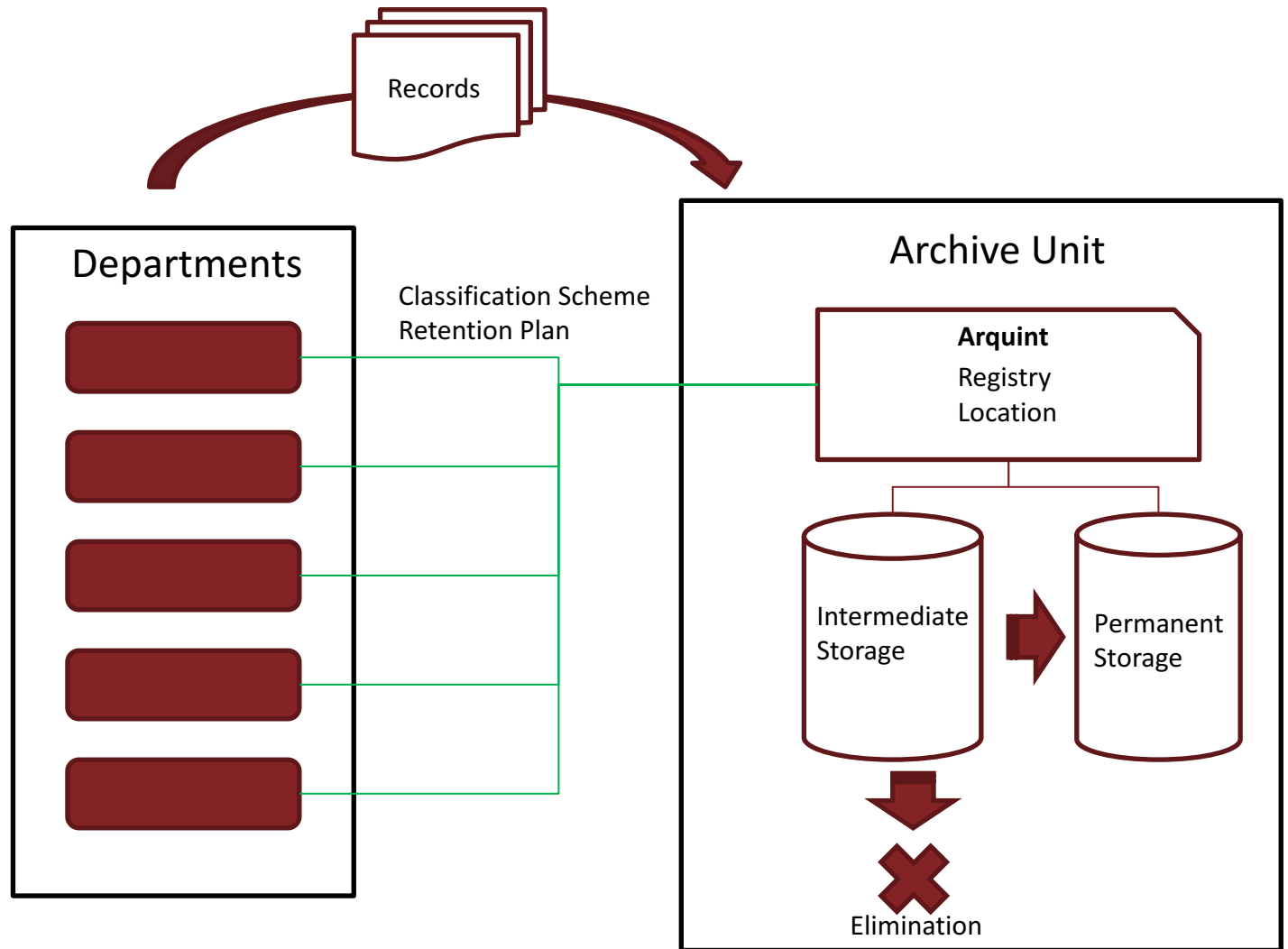
Lifecycle management
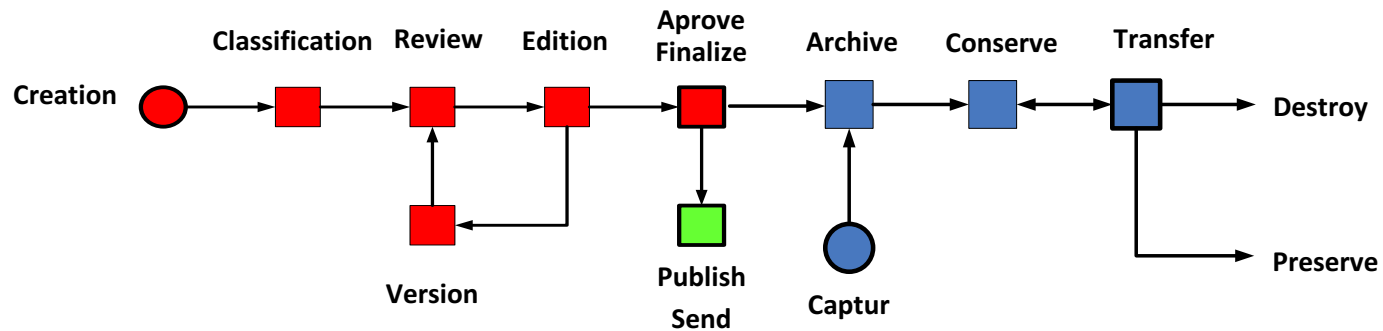
Document Management **Archive Management**

BANCO DE PORTUGAL
EUROSYSTEM

Business Plan

Classification Scheme

110

001

002

Funtional structure:

Functions

Activities

Document Series
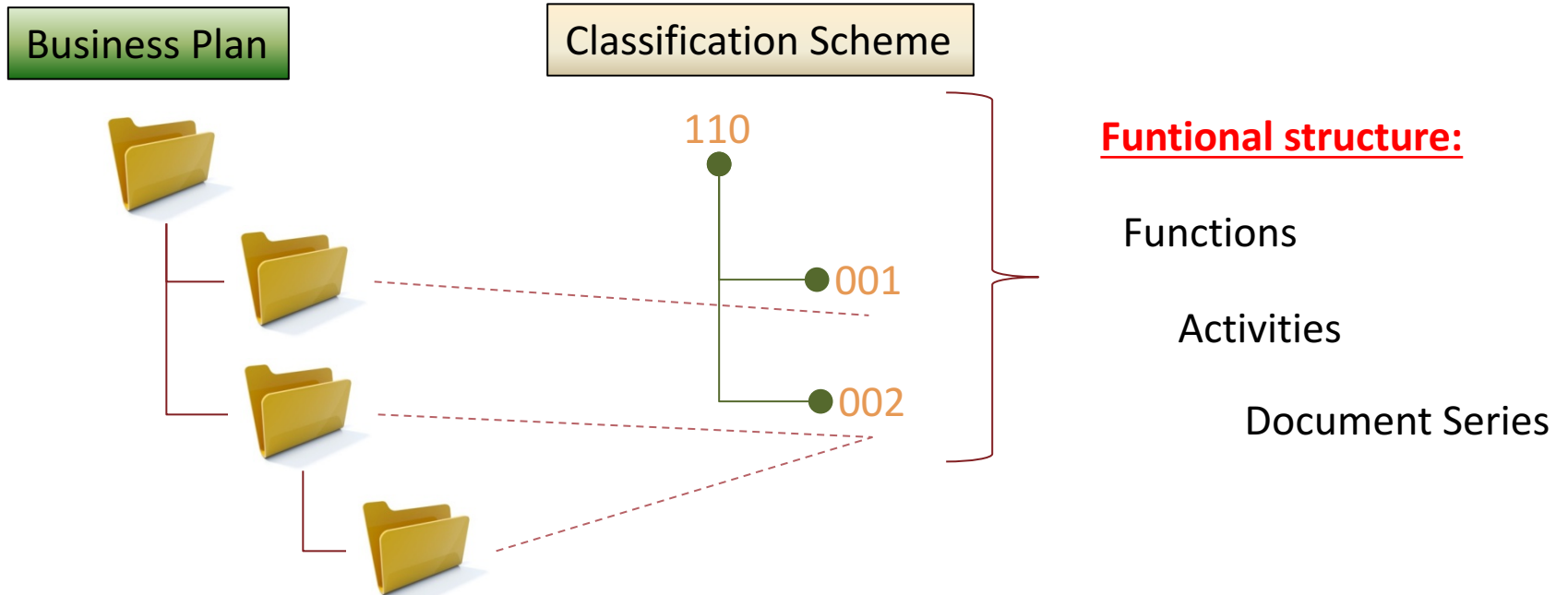
Classification scheme defines, for each folder:
• archive classification code;
• archival designation;
• retention schedule after the folder is closed;
• disposal rule (destruction or permanent preservation on the historical archive).

BANCO DE PORTUGAL
EUROSYSTEM
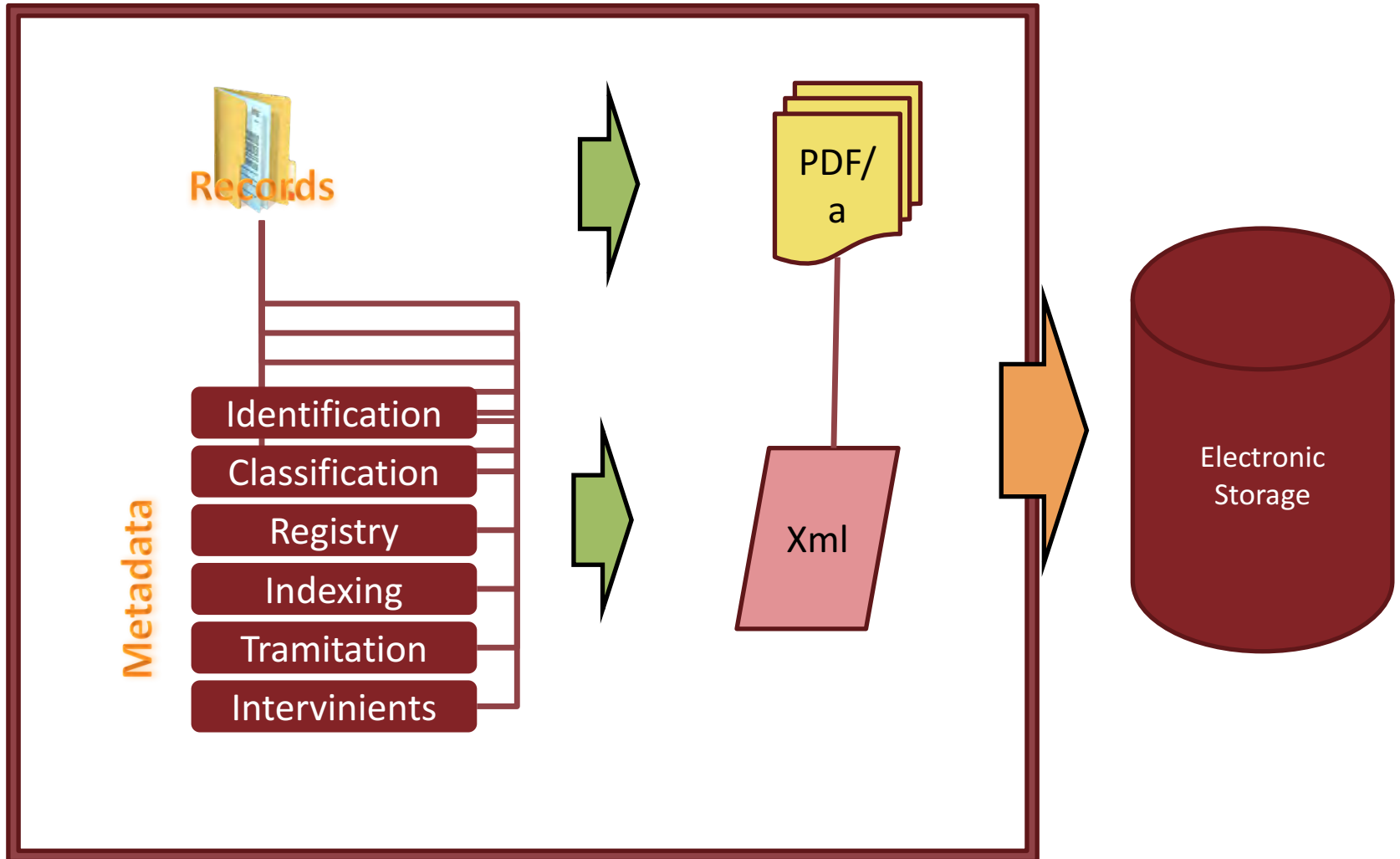
- Creation of a network of interlocutors with the Archive Unit;

- Designing a workflow for physical documentation requests;

- Adaptation of Arquint to Livelink, and record registry migration;

- Creation of a correspondence digitalization system;

- Implementation of a electronic storage system (Centera).

- Conversion of the digitalized records on CD's to Tiff images (2010-2012);

- Generation of Pdf rendition of documents;

- Upgrading Winlib to Nyron and uploading the Pdf files (2013);

- Creation of database with the location of all documentation in deposit;

- Link to online search and digital record access on the Banco de Portugal's website.

- Implementation of archive server and electronic storage system;

- Redacting our set of rules for record managing and archiving, and reviving the Retention Schedule Committee (in progress);

- Creating a support line with an intranet platform;

- Tutoring and presentation to newcomers;

- New historical archival system.

Archival appraisal in a digital context at the Historical Archives of the European Union (HAEU)
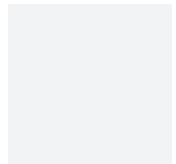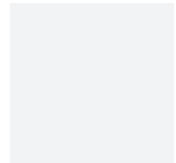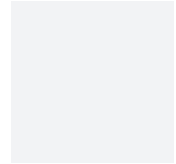
Appraisal in the digital era

22 June 2017
BNP Paribas - 14 rue Bergère - 75009 Paris
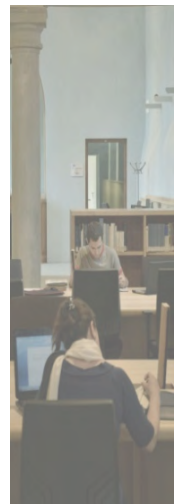
Samir Musa
Historical Archives of the European Union
Samir.Musa@eui.eu
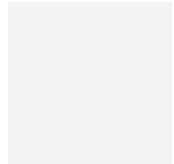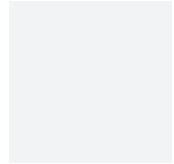
INTRODUCTION
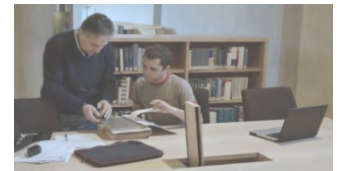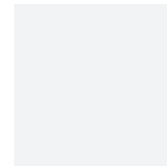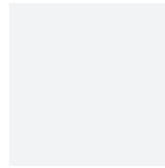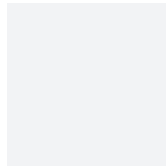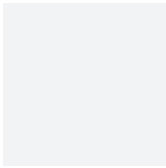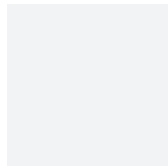
The HAEU **mission**

- Specialized archives on **European Integration** and **cooperation**

- Collect, preserve and make accessible historical archives of the **EU Institutions**, of **private persons** and **organizations** with European scope

- Main objectives:

  – encourage research on the **history** of the EU Institutions;

  – promote the public interest in the process of **European integration**;

  – Increase **transparency** on EU institutions' work

- Established in 1984 at the **European University Institute**, an internationally renowned centre of academic learning
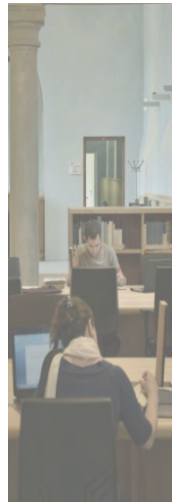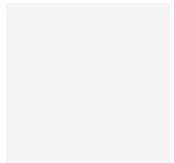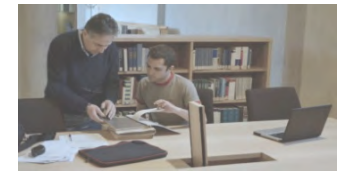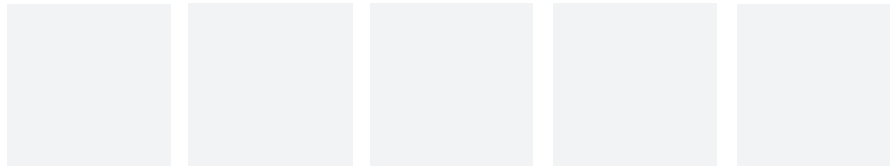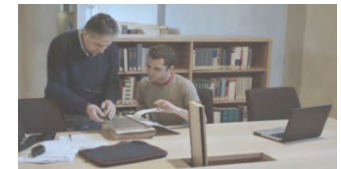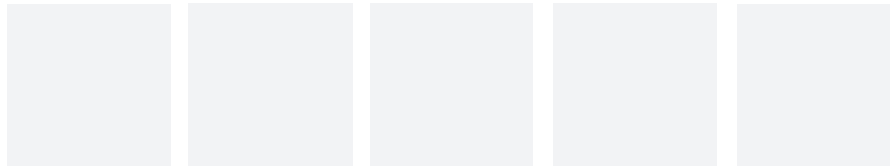
The HAEU **holdings**

- EU historical archives declassified and open for consultation after **30 years**

- **5,500 linear meters** of paper files covering the years 1951 to 1983 (1999) with yearly transfers of **250 lm/10,000 files**

- Online-database contains **230 000 records** and **16,000 digital copies** of paper files

- **800** reading room **users** yearly produce 120 articles, monographs and doctoral theses

- **350.000 web site visitors** and **15,000** file **downloads** per year
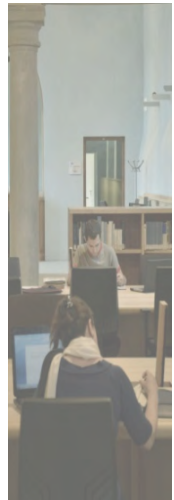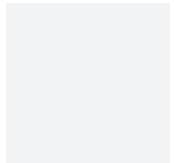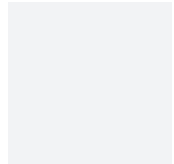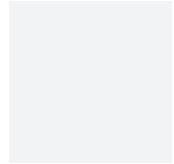
The HAEU **holdings**

EU Institutions:

- European Parliament
- Council of the EU
- European Commission
- Court of Auditors
- Economic and Social Committee
- Investment Bank
- Centre for the Development of Vocational Training

Private archives and collections

- Founders of the European Communities
- Pioneers and Federalists

Private Archives of Groups

- Political Groups of the European Parliament
- European Federalists
- Non-EU Organisations
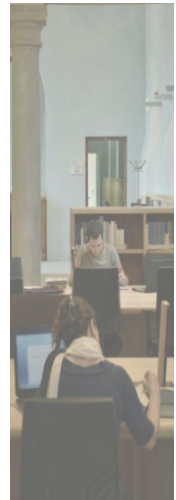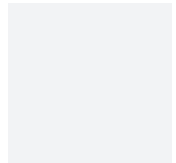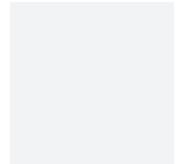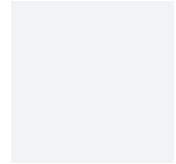
DIGITAL SERVICES
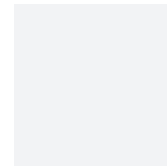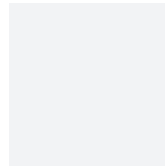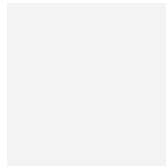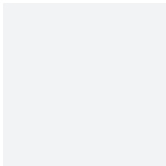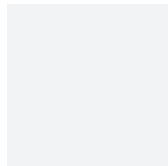
The HAEU **digital collections**

- **Multilingual**, **multimedia** and **multiple provenances** collections

- Databases and digital collections:

  – Archival fonds including **textual documents**, **still images** and **ephemeral materials**

  – **Audio collection** (Oral history): interviews to EU personalities

  – **Audio-visual material** (not yet published due to copyrights)

  – **Digital-born archives** (not yet published due to thirty years rule)

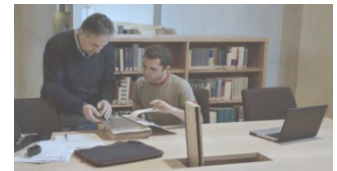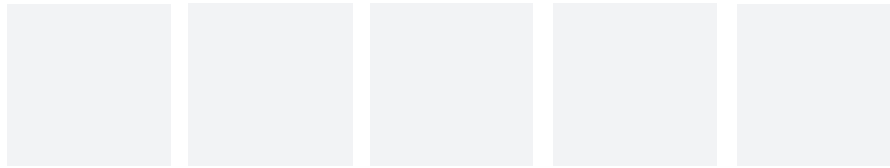 – **Websites** collections
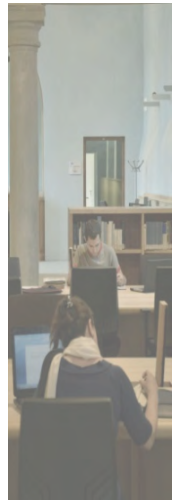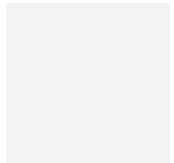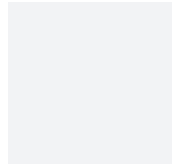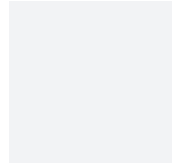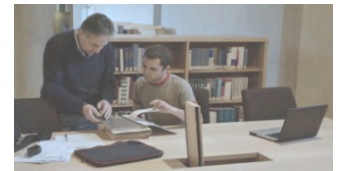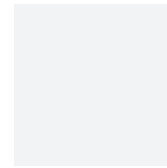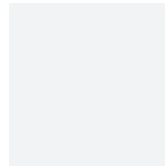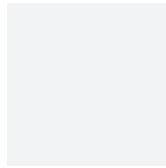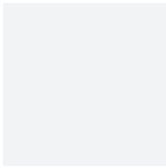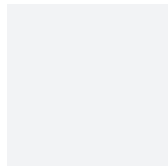
The HAEU **digital services**

Main goal:

•**Dissemination** of **digitised resources** (mainly paper-based documents), NOT (yet) born–digital records through **online inventory**

Main services:

•**Digitisation** of analogue material: paper-based documents, videotapes (VHS), photographs (negatives and positives), slides, audiocassettes, minicassettes

•**Webarchiving project**: EU websites crawling

•**Digital preservation system**: born-digital records (in progress)
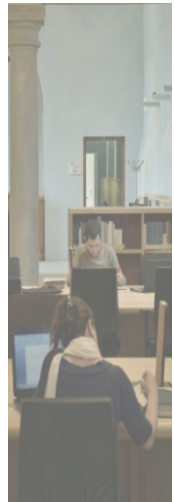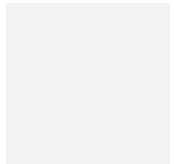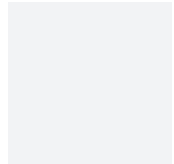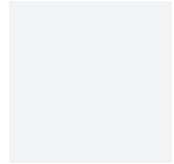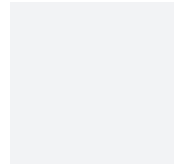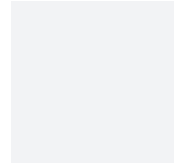
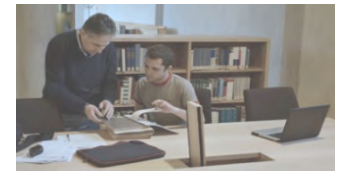# The HAEU **digital services**

Acquisition of both digitised and born-digital material needs:

- Rules for description harmonisation (syntax and semantics)

- Rules for data transmission (exchange protocols)

- Rules for file formats

- Rules for authority files and file naming

The HAEU issued a series of **Policies** and **Guidelines**
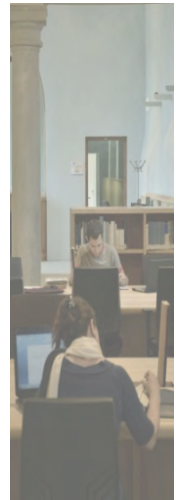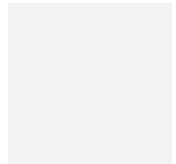
ARCHIVAL APPRAISAL POLICIES
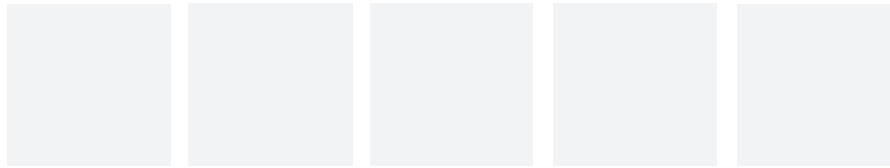
Archival Appraisal at the HAEU

Archival appraisal has be defined by the HAEU practically as:

"The **selection** of **records** that are judged worthy of **permanent preservation** as **archives** and that will form a relatively small percentage of the EU Institution or Agency's records"

(HAEU *Guidelines on the management of the Historical Archives of the European Union Agencies* - Definitions)

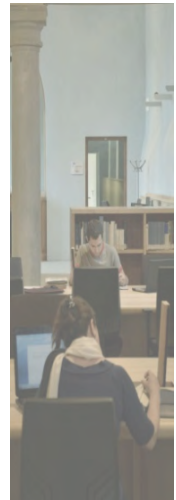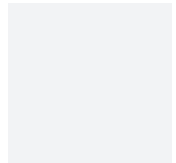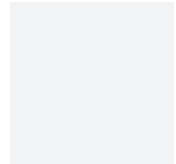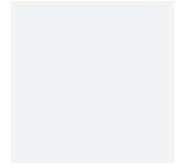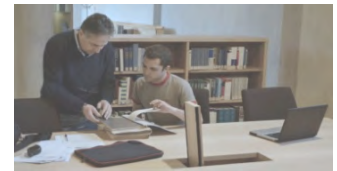# **Archival Appraisal** at the HAEU

- Appraisal has always be based on a practical (and subjective) approach by archivists due to:

  – Heterogeneous fonds

  – Responsibility of description

  – Nature of records transferred to the HAEU

- HAEU **Guidelines on the management of the Historical Archives** of the European Union Agencies was submitted to the plenary session of the EU Agencies Working Group for definitive approval on **21 February 2017**.
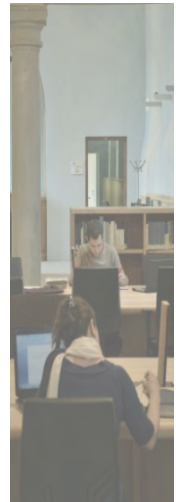
HAEU Guidelines: methodology

- Roles and responsibilities (EU Agencies and HAEU)

- **Section 1** – Paper-Based Archives

- **Section 2** – Audio-Visual Archives

- **Section 3** – Digital Archives

- **Annexes**:

  1. Description metadata for Textual documents (file level)
  2. Description metadata for Textual documents (other level)
  3. Description metadata for Audio-Visual documents
  4. Preferred file formats
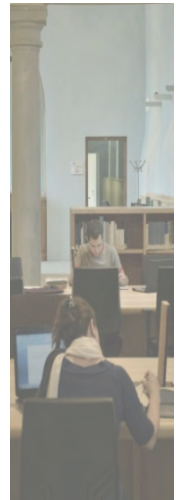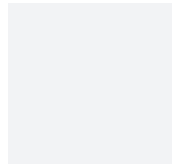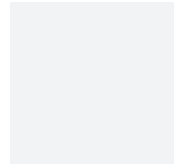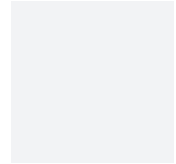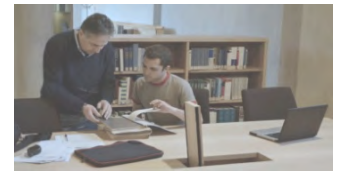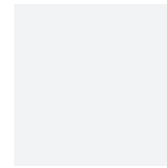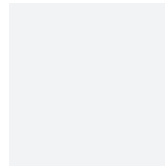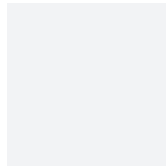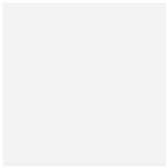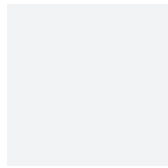
Paper-Based Archives

- **Appraisal** Policies and Guidelines
    - Records which should be kept as EU Agency Archives
    - Records which should not be kept as EU Agency Archives

- **Destruction**

- **Transfer**
    - HAEU Guidelines on archival description for the Historical Archives of European Union Institutions XML/EAD
    - Annexes 1 and 2 – .xls or .csv

- **Conservation**
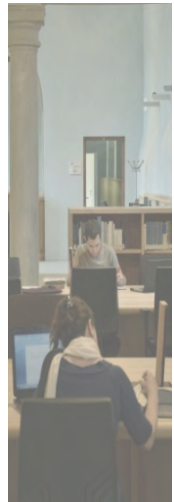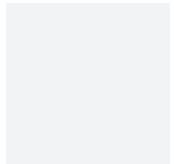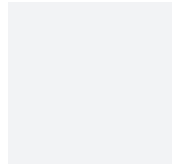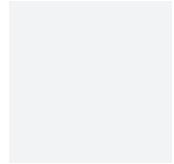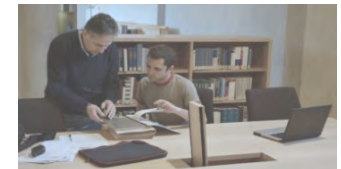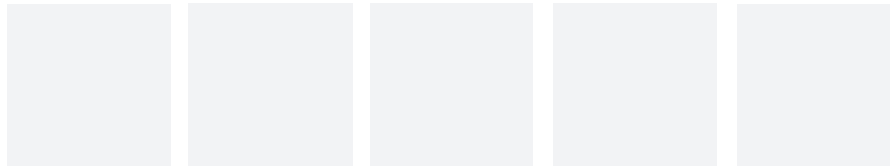
Audio-Visual (analogue) Archives

- **Appraisal** Policies and Guidelines

  – Records which should be kept as EU Agency Archives

  – Records which should not be kept as EU Agency Archives

- **Destruction**

- **Transfer**: Annex 3 (.xls, .csv)

- **Conservation**: general recommendations
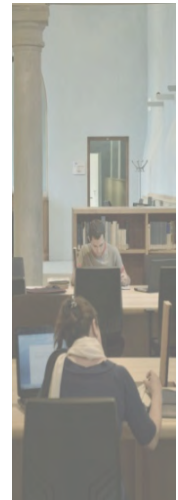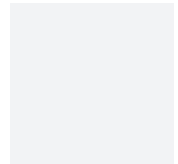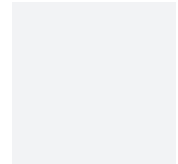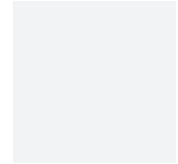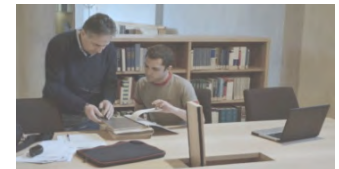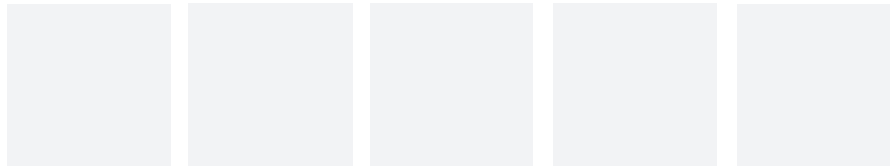
Open issues

- **Intellectual Rights Management** for audio-visual material
- **Data protection**
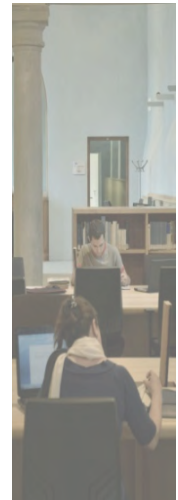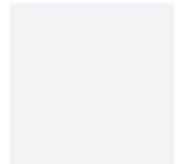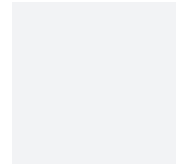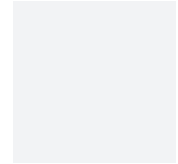
APPRAISAL IN DIGITAL CONTEXT
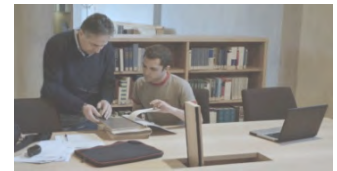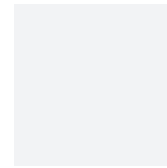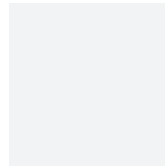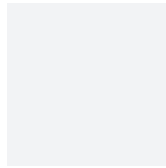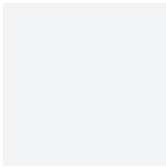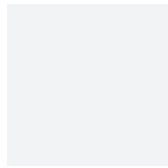
Digital Archives: **peculiarities**

- **Long-term preservation** depends on
    - improved records management programs (best practices and policies)
    - a clear statement of the archives jurisdiction in the matter
- An integrated system for managing both **electronic** and **hard copy records** is needed (hybrid archives)
- **Schedules** have to be developed **at the time of design of systems**
- **Appraisal** needs to be anticipated at the creation stage
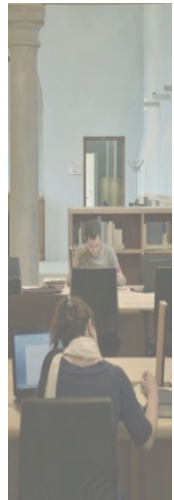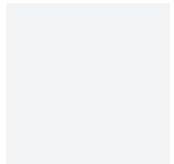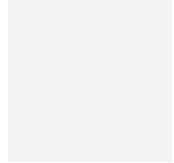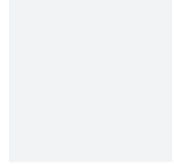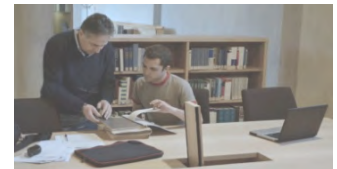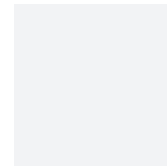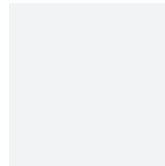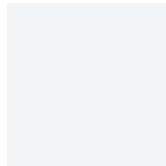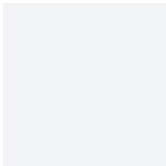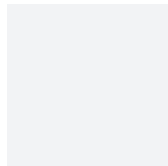
Digital Archives: **state of the art**

- Permanent retention of digital records: **responsibilities**
  - In house vs. outsourcing
  - EU Institutions and Agencies ownership
  - HAEU digital services

- **Policies** and Procedures:
  - Preservation Plan (ISO 16363)
  - OAIS data and workflow model

- **Best Practices**:
  - Archiving Electronic Records
  - Integrity of Data
  - System Parameters
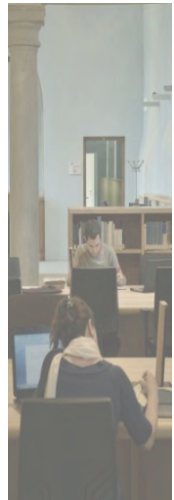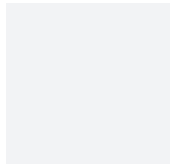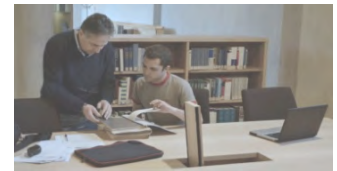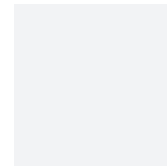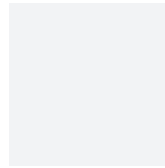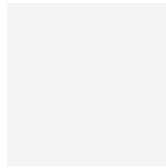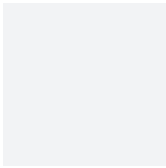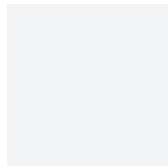
HAEU Digital Preservation System (DPS)
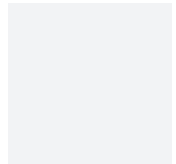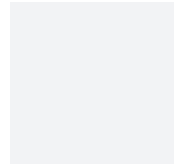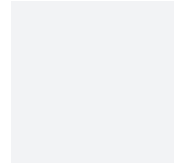
- Beginning 2016: launch of project and call for tender

- Four years timescale

- Recognized project management standards (PMI)

- Formal approach to documentation

- Use of standards and open source code
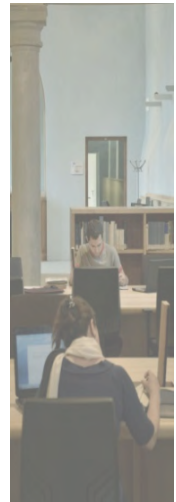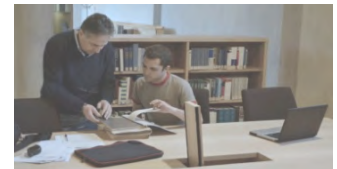
OAIS Reference Model – **Functional entities**
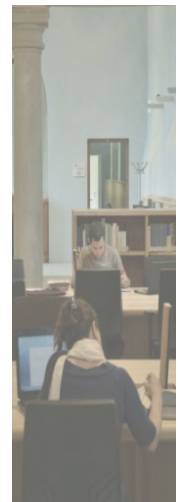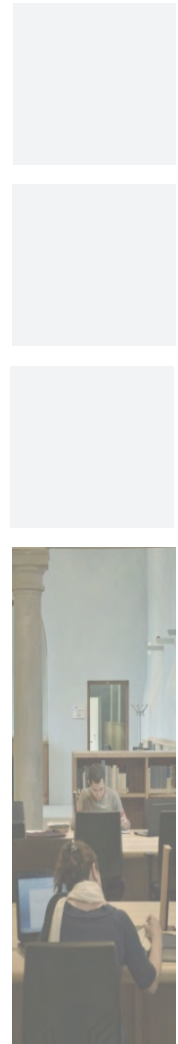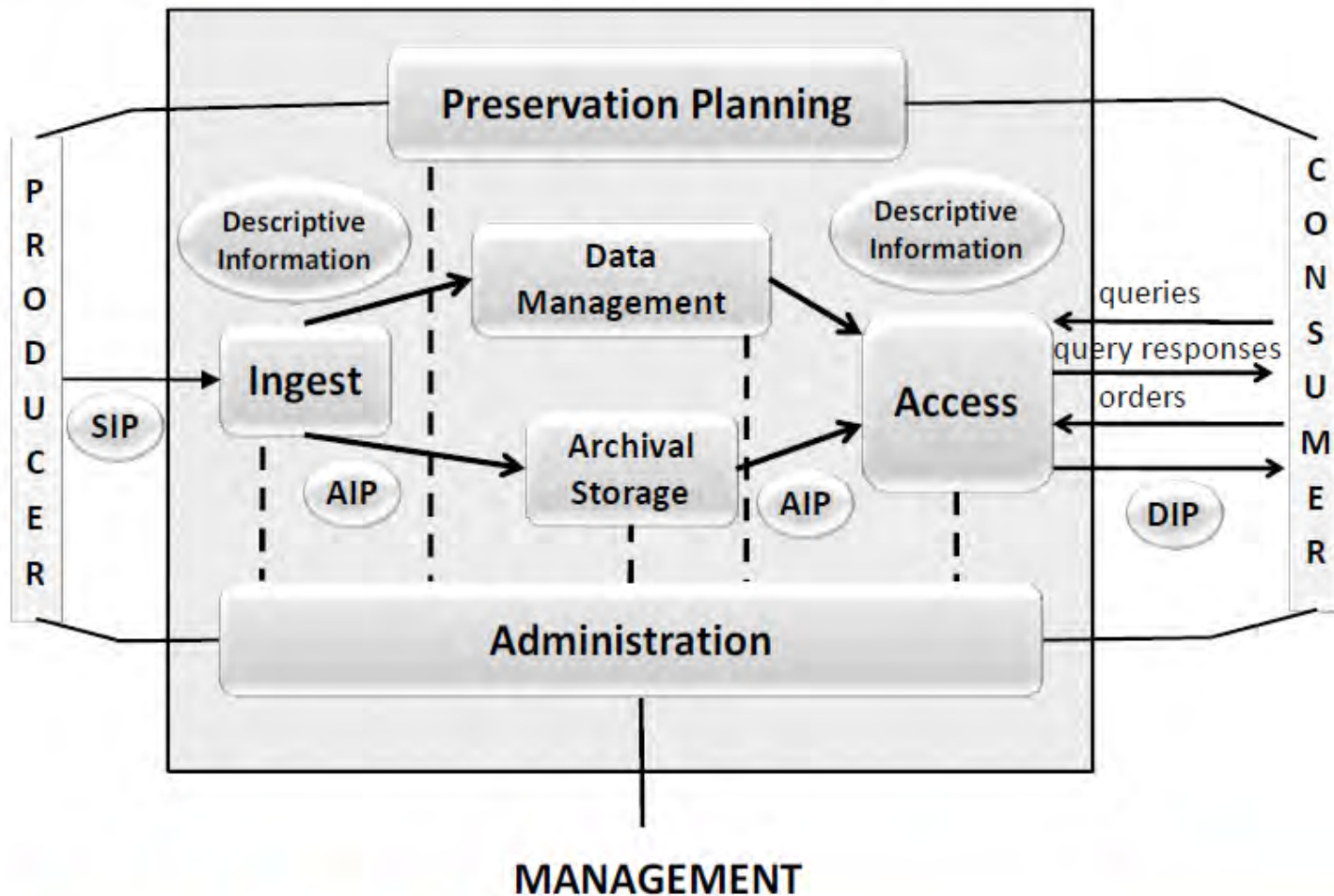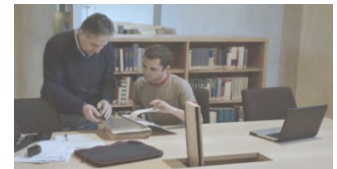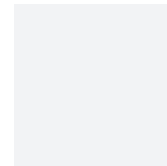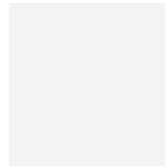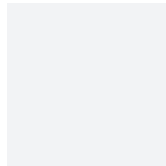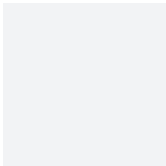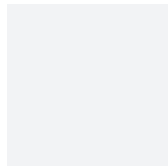
Appraisal in the **digital context**

Appraisal in digital preservation system – focus points:

•Selection must be performed at Ingest stage (SIP) but also at
Archiving stage (AIP)

•Submission agreements with External Producers: reference
documentation

•Preservation plan: workflows

•Metadata control: scheduling automation
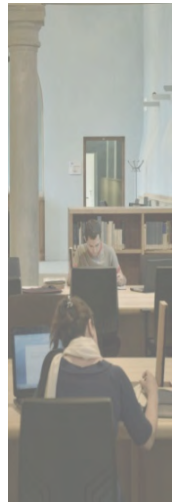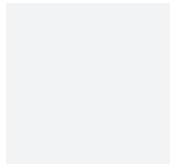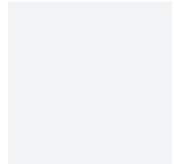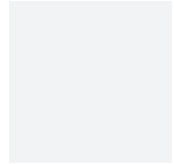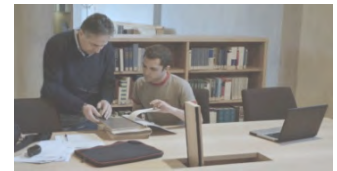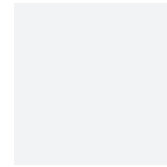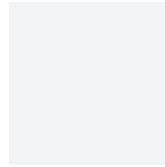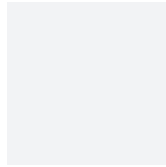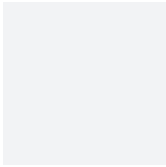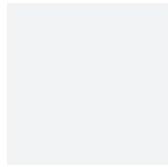
Thank you for your attention
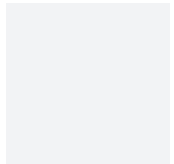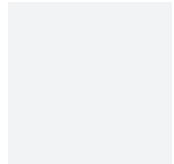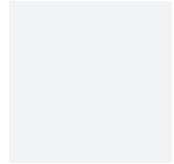
Samir Musa
Historical Archives of the European Union
Samir.Musa@eui.eu
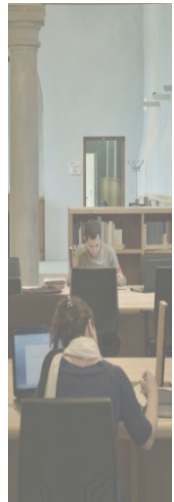
APPRAISAL AND SELECTION OF SOCIAL MEDIA CONTENT FOR LONG-TERM PRESERVATION

WORLD BANK GROUP

Esther Abangma

Paloma Beneito

Paris, 22 June 2017

The World Bank Group

- Established July 1944 to rebuild Europe after World War II

- Comprises 5 institutions: IDA, IBRD, MIGA, IFC and ICSID

- Provides finance and technical assistance

- Twin Goals:
  1. End extreme poverty by decreasing the percentage of people living on less than $1.25/day to no more than 3%
  2. Promote shared prosperity by fostering the income growth of the bottom 40% for every country

Appraisal and selection of social media content for long-term preservation

WORLD BANK GROUP

The World Bank Group
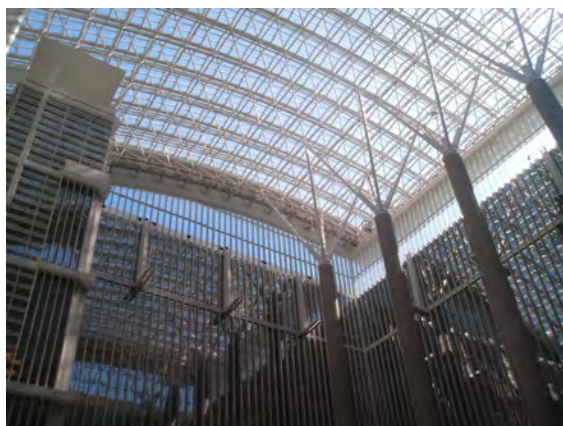
10,000+
Staff from 174 countries

189
Member Countries

25
Executive Directors

+120
Offices Worldwide

WORLD BANK GROUP

Appraisal at the WBG

- Strong functional macro-appraisal tradition and multi-faceted appraisal environment: Assessment of records values (operational, legal, cultural..) primarily based on comprehensive analysis of functions executed by the business. Context of records creation and use & records nature and characteristics guide appraisal decisions.

- *Big Bucket* approach to retention

- Appraisal decisions documented in *General Records Schedules* (GRS) for common and administrative functions and Records Retention and Disposition Schedules (RRDS) for specific functions.

- GRS and RRDS instruments applied to paper records, records captured in official record keeping system (e.g. EDRSMS, Documentum based)

- For highly disorganized, technically complex and/or very large digital collections, functional classification and application of retention instruments too resource intensive and costly, so complementary selection criteria identified and applied.

WORLD BANK GROUP

Appraisal at the WBG

Collection	Appraisal approach	Retention rules	Examples
Digital records captured in official record keeping systems	Macro-functional appraisal	RRDS / GRS	WBdocs / IFCdocs / Image Bank / ADAM records.
Paper records created and managed in accordance with RM policies	Macro-functional appraisal	RRDS / GRS	Paper records managed by business units
Low volume / organized / well described collections (not captured in official systems)	Reclassification (macro-functional appraisal)	RRDS / GRS	Orphan records
High volume / metadata	Selection (based on criteria such as significance - incl. capstone-like approaches - sustainability, etc.)	Selected content retained permanently	Spark social media Lotus Notes databases, audio-visual material non captured in official RM systems, etc.

Appraisal and selection of social media content for long-term preservation

WORLD BANK GROUP

Background

- SPARK (Jive Software) used for collaboration / social media since 2011

- Bank's RM policy: "*Records created using social media are electronic records and should be captured in a WBG records management system*".

- Spark place owners informed of this requirement upon site request

- BUT, do they capture?

- Not systematically, so WBG Archives decided to select and capture most valuable content for long-term preservation.

- Given very large volume of non-traditional social media records (non classified functionally), complementary section criteria needed to be identified.

WORLD BANK GROUP

Objectives

In 2016´s content clean up initiative, **3824** Spark sites identified as inactive

3 objectives

Appraisal criteria to select most valuable sites for archiving	Improve governance of social media sites	Select technical solution to capture sites as Bank records

Appraisal and selection of social media content for long-term preservation

WORLD BANK GROUP

Multi-expertise team

- 1 senior IT officer

- 2 appraisal archivists

- 1 web archivist

- 1 web developer

Timeline

Nov-Dec 2016
- Appraisal criteria identified and applied
- 373 sites selected for capture
- Site owners informed

January 2017
- Technical solution selected
- Governance improvements introduced

April-May 2017
- 2nd appraisal performed
- 244 Spark sites captured as WBG archives

Appraisal and selection of social media content for long-term preservation

WORLD BANK GROUP

1. Definition of appraisal criteria

Team considered:

- Large volume of content to be evaluated: 3824 sites with over 300000 items (documents, blogs, discussions, wikis, etc.)

- Limited resources and short time available: appraisal at individual site or item level in order to apply Bank's official retention rules impossible

- Policy and technical issues related to long-term accessibility and preservation

- Inspired by 2016 UNESCO/PERSIST Guidelines for the selection of digital heritage for long-term preservation

WORLD BANK GROUP

Significance

✔
- Only sites with 10 pieces of content or more

- Sites shedding light on the activities, influence, style, and personality of significant WBG staff members, such as blogs created by WBG Managers, Vice-Presidents and the President

- Sites containing obvious significant evidence of the Bank's policies, business, mission and decisions, e.g. Definition of the Nigeria Corporate Governance Banking Program

✘
- Empty sites

- Sites that never received any traffic

- Sites created for social, sport or testing purposes

Sustainability

✔
- Sites for which the Archives have the required access rights to migrate to different systems.

- Sites that the Archives can make accessible in the long term for research, exhibition or other uses to meet its public's expectations

✘
- Private, restricted, confidential sites

* Availability and legal obligations criteria not applied as not relevant in this case

Appraisal and selection of social media content for long-term preservation

WORLD BANK GROUP

✓ Only business related sites containing 10 pieces of content or more and highly relevant ones with less content, classified as "public", "open" and "members only" were archived.

✓ Application of criteria reduced number of sites to be archived from 3824 to 373:

Application of appraisal criteria for the selection of Spark content to be archived					
Summary	All	No content/ no traffic	10 pieces of content + very significant / VIP	10 pieces of content Open , public and member only access	Minus non business / test sites Minus sites with active children
Inactive spaces	1217	464 (38%)	314 (25%)	153	143
Inactive groups	1297	182 (14%)	500(38%)	135	125
Inactive projects	1310	500 (38%)	200 (15%)	105	105
Totals	**3824**	**1147 (30%)**	**1015 (26%)**	**393**	**373**

WORLD BANK GROUP

✓ All site owners informed and asked to take action to capture those that we were not archiving, if needed.

📄 **FAQ - Closing Inactive Spark Places**   Version 6

created by Robert Malloy on Jan 6, 2017 4:39 PM, last modified by Robert Malloy on Feb 7, 2017 11:04 AM
Visibility: Open to anyone

This reminder is being sent to ALL inactive place owners (If you previously contacted us to keep your site active there is no need to contact us a second time).

We are extending two more weeks the closure of inactive Spark places. Although the identified inactive sites are correct the owners of "Projects" was misaligned in the spreadsheet. This has been corrected. Sites in the attached spreadsheet will be either Deleted or Archived – please search the three tabs for your email address to see if any of your Spark communities are on the list.

- WHY – This effort is part of a larger Intranet cleanup and revamp that will improve the new intranets search as well as improve search within Spark. This will be repeated annually.
- HOW - ITSKI will archive the business related public, open, and member only Spark places identified for closure that contain 10 pieces of content or more. If your place was restricted, private or secret, of a social or cultural nature, and/or did not exceed 10 pieces of content, it will be deleted. **If you wish to keep any of the documents from places marked for deletion, you'll need to download and save them.** You can find guidance here: http://file⧉. For questions and support, contact ✉ ITSKI IM STAFF.
- WHEN – On February 10th inactive sites will no longer be discoverable in Spark.
- HELP - For questions, support or to ask for your place to remain active, contact ✉ ITSKI IM STAFF or check out the FAQs in Spark⧉.

WORLD BANK GROUP

2. Governance improvements

Site request form updated to include information about RM policy, where records should be captured, etc.

Site request form informs requesters upfront of selection criteria for the future

Sites are only created if there is a strong business purpose

Users directed elsewhere if other applications better meet their purposes

WORLD BANK GROUP

Request a Place

Please include the following fields in your request:

1. Place name:
2. Place description:
3. Access level: Open to all, Members only, Private, or Secret
4. Information that will be shared within the group: WBG Internal Use Only, Official Use Only (OUO) - WB, OUO - IFC, OUO - MIGA, OUO - ICSID, or Confidential
5. Place administrators:
6. What results you are trying to achieve and how you will measure them:
7. Key activities:
8. VPU:
9. Allocated resources (staff/STC time of a core team) - if applicable
10. Sponsoring Unit-Department - if applicable

CLICK HERE TO SUBMIT A GROUP REQUEST

GROUP TYPES

	OPEN	MEMBERS ONLY	PRIVATE	SECRET
VIEW	Anyone	Anyone	Members (Invited or Approved) (membership request is open to anyone)	Members (Invite Only)
CONTRIBUTE	Anyone	Members	Members (Invited or Approved) (membership request is open to anyone)	Members (Invite Only)

Please be advised that for technical and policy related reasons we will not be able to archive restricted, private and secret places once they become inactive.

BEFORE REQUESTING A NEW PLACE OR SUPPORT, PLEASE REVIEW THE RESOURCES PROVIDED BELOW:

- Have you already searched in Spark for a similar place? As much as possible we would like to avoid duplicating places.

- Are you familiar with the Spark platform? If not, good resources are the 📄 Tipsheets, 📄 Spark 101 Handbook, 📄 Technical Guide for Place Administrators.

- Are you familiar with the WBG information classification and records management rules? If not, check the 📄 Note on Information Classification

- Do you need any training? If you do please consider taking the self-paced course ⧉ or take a look at the resources provided in the 📊 Help and Training Center

- Do you need any technical help? If you do please ask a question in the 📊 Spark Help Desk

- Do you need information/records management support? If so, contact ✉ archivesandRMguidelines@worldbankgroup.org

A NOTE ON RECORDS MANAGEMENT

As established in AMS 10.11 Management of Records: Procedures ⧉, *"records created using social media are electronic records and should be captured in an appropriate form and entered in a WBG records management system"*. Accordingly, if your Spark place will contain records ⧉, please make sure that:

- Any records ⧉ shared in Spark are also captured in an official records management system, such as WBdocs or IFCdocs [1] ⧉.
- To avoid duplications, do not upload records to Spark. Instead, publish links to the records already captured in an official records management system.

[1] ⧉ To capture blogs and discussions as records you need to convert them to PDF first by clicking on "Actions">"View as PDF". Once converted you may save it in the relevant official repository.

3. Selection of technical solution

- Extensive market research to identify best tool to capture sites

- Several larger and smaller software providers considered and consulted

- Ultimately, decision to use open source software https://www.httrack.com

Tool	e.g.
Open Source web crawlers	HTTract Heritrix WGet
Commercial web capture tools	Hanzo Archives (privately developed web crawler)
APIs to pull content	Pagefreezer Proof Point Actiance Smarsh
Aggregators or manual methods to capture content	RRS feeds Converting to PDF

HTTrack WEBSITE COPIER
Free software offline browser

| About | Download | Manual | Forum | Blog | Information | Français |

Version 3.49-2 (05/20/2017)
Engine fixes (keep-alive, redirects, new hashtables, unit tests)

Installing HTTrack: Go to the download section now!
For help and questions: Visit the forum, Read the documentation, Read the FAQs, Browse the sources

Welcome

HTTrack is a free (GPL, libre/free software) and easy-to-use offline browser utility.

It allows you to download a World Wide Web site from the Internet to a local directory, building recursively all directories, getting HTML, images, and other files from the server to your computer. HTTrack arranges the original site's relative link-structure. Simply open a page of the "mirrored" website in your browser, and you can browse the site from link to link, as if you were viewing it online. HTTrack can also update an existing mirrored site, and resume interrupted downloads. HTTrack is fully configurable, and has an integrated help system.

WinHTTrack is the Windows 2000/XP/Vista/Seven release of HTTrack, and WebHTTrack the Linux/Unix/BSD release. See the download page.

© 2017 Xavier Roche & other contributors - Web Design: Leto Kauler..

WORLD BANK GROUP

SPARK

WORLD BANK GROUP

Lessons learnt

Persist criteria helpful to facilitate selection of large amounts of digital content if meaningful metadata (at record, system, level, etc.) is available

Some risks of missing out significant records

Httract fully adequate to capture Jive sites, with some additional programming

A second appraisal at site level was required as 25% of sites were deemed not relevant as Bank records

- reduced sites from **373 to 269**.

- next exercise will only consider sites with + 20 pieces of content

Not all sites qualified to be archived as websites.

in 20% of cases just the documents were extracted (also with Httrack) and captured in EDRMs.

Appraisal and selection of social media content for long-term preservation

WORLD BANK GROUP

Questions?

Contact us:
eabangma@worldbankgroup.org
pbeneitoarias@worldbankgroup.org

WORLD BANK GROUP

e-Domec records management policy of the European Commission

Seth van Hooland
June 22th 2017
EABH 2017 Annual Meeting - Appraisal in the digital era

new project   end of project   end of ARP

Registration | Filing | Management dissemination | Preservation during ARP | Elimination or Transfer

current records
active files

intermediate archives
closed files

definitive archives
files with historical value

new file   file closure   appraisal

document → file → filing plan → common retention list

appraisal
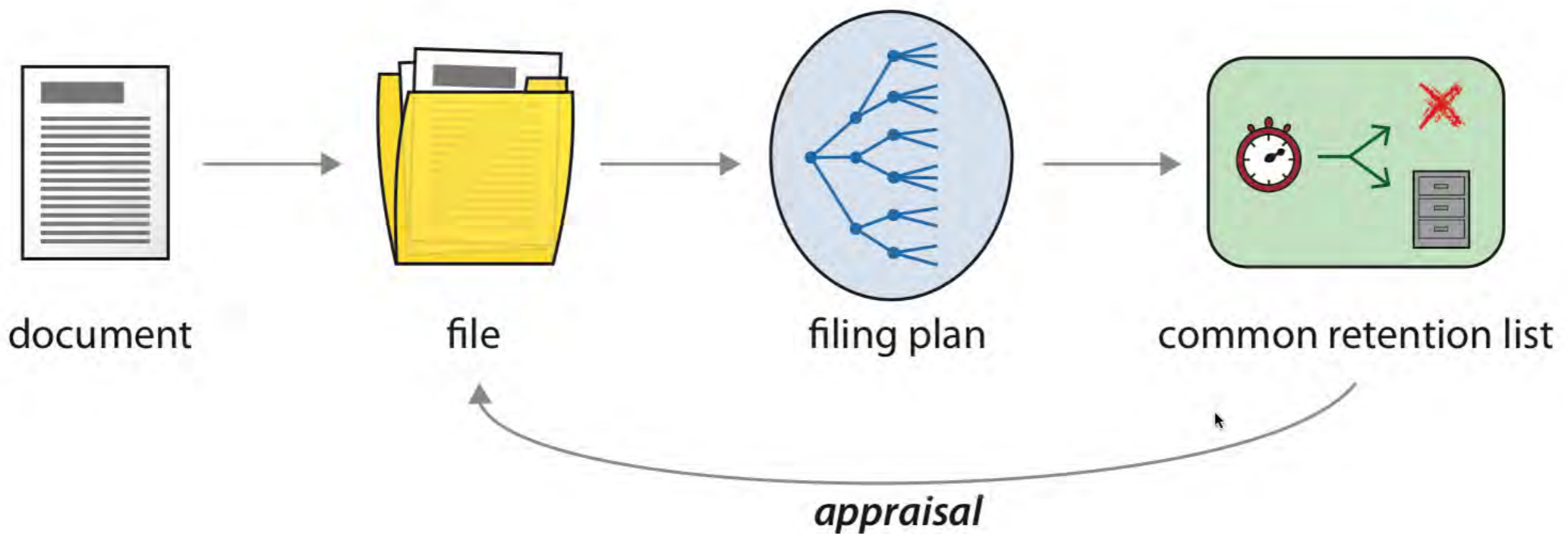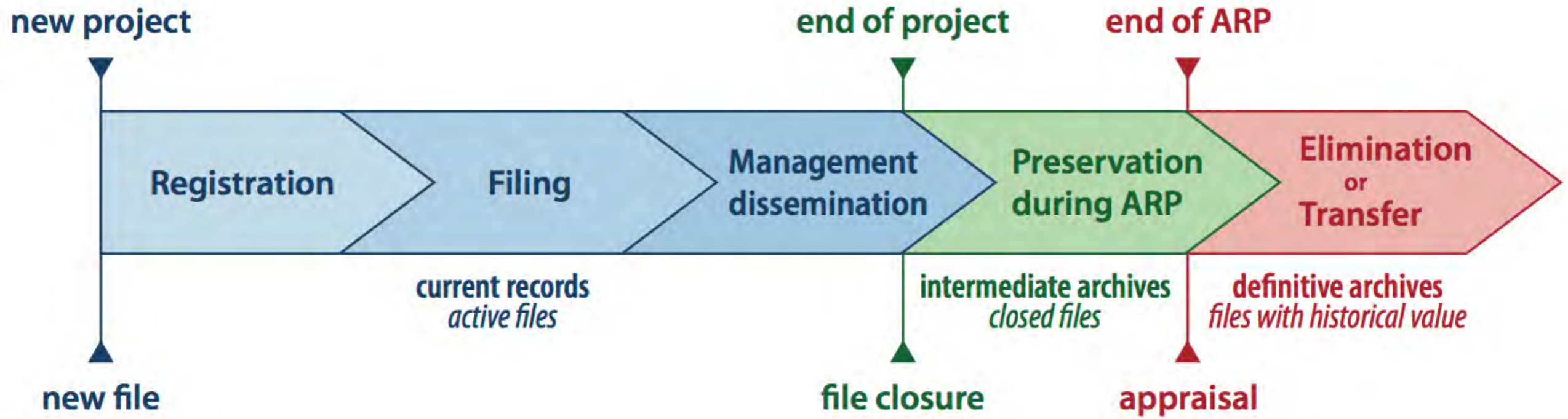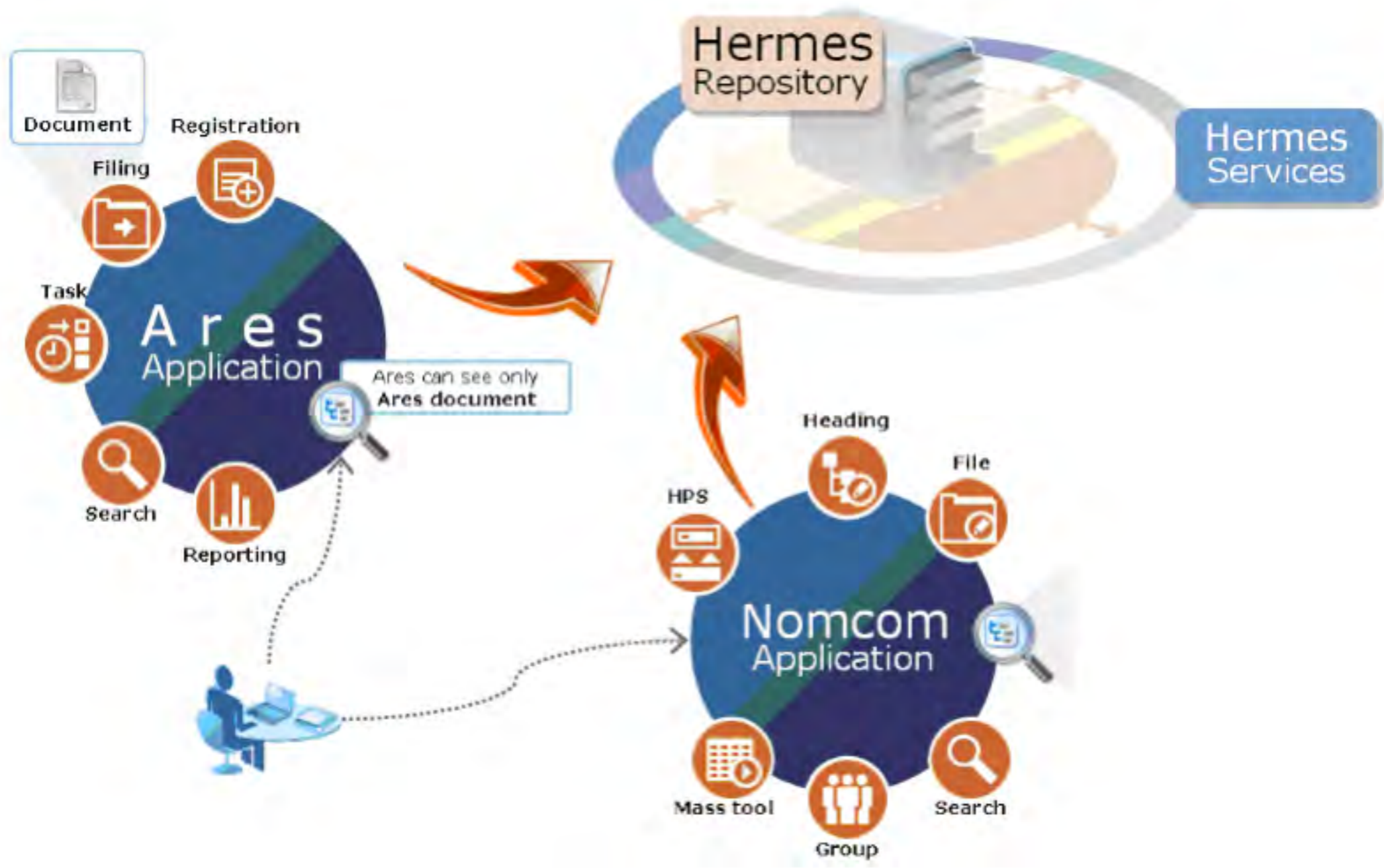
Source : eDomec EC training materials

Filing plan

Common Nomenclature	04.04.02	**Public health**
	04.04.03	**Food security**

DG SPECIFIC	04.04.03.050	**Food legislation**
	04.04.03.050.020	**Packaging of food products**
	04.04.03.050.020.010	**Information for consumers on food packaging**
	04.04.03.050.020.020	**Nutritional information**
	04.04.03.050.020.030	**National notifications**

Source : eDomec EC training materials

Common Retention List

- Institutional and governance issues
- Strategy and coordination
- Commission decision-making
- EU financial system and the budget
- Policy development
- Implementation of policies and legislation
- Programmes, projects and grants
- International activities and enlargement
- Transparency, information, communication and relations with citizens
- Monitoring the application of Community law
- Legal proceedings
- Administration

Common Retention List

h_code	h_name_en	h_retention_period	post_arp_action
7.1.1	Work programmes, annual action programmes, planning and reporting, including where appropri	5	THA
7.1.2	Procedures for award of grants	10	SAM_SEL
7.1.3	Management of grant agreements and decisions (financed projects)	10	SAM_SEL
7.1.4	Procurement procedures	10	SAM_SEL
7.1.5	Contract management (following award of contracts)	10	SAM_SEL
7.2.1	Implementation of agricultural aid (intervention, programmes and direct payments)	10	SAM_SEL
7.2.2	Implementation of aid programmes under the Structural Funds (ERDF, ESF, FIFG), the EAFRD a	10	SAM_SEL
7.2.3	Implementation of other Community aid programmes	10	SAM_SEL
7.3	Decentralised management of programmes, projects and grants	10	SAM_SEL
7.4	Indirect centralised management of programmes, financial instruments and pilot projects	10	SAM_SEL
7.5	Evaluation of expenditure programmes	6	THA

Source : eDomec EC training materials

Division of responsibilities

Source : eDomec EC training materials
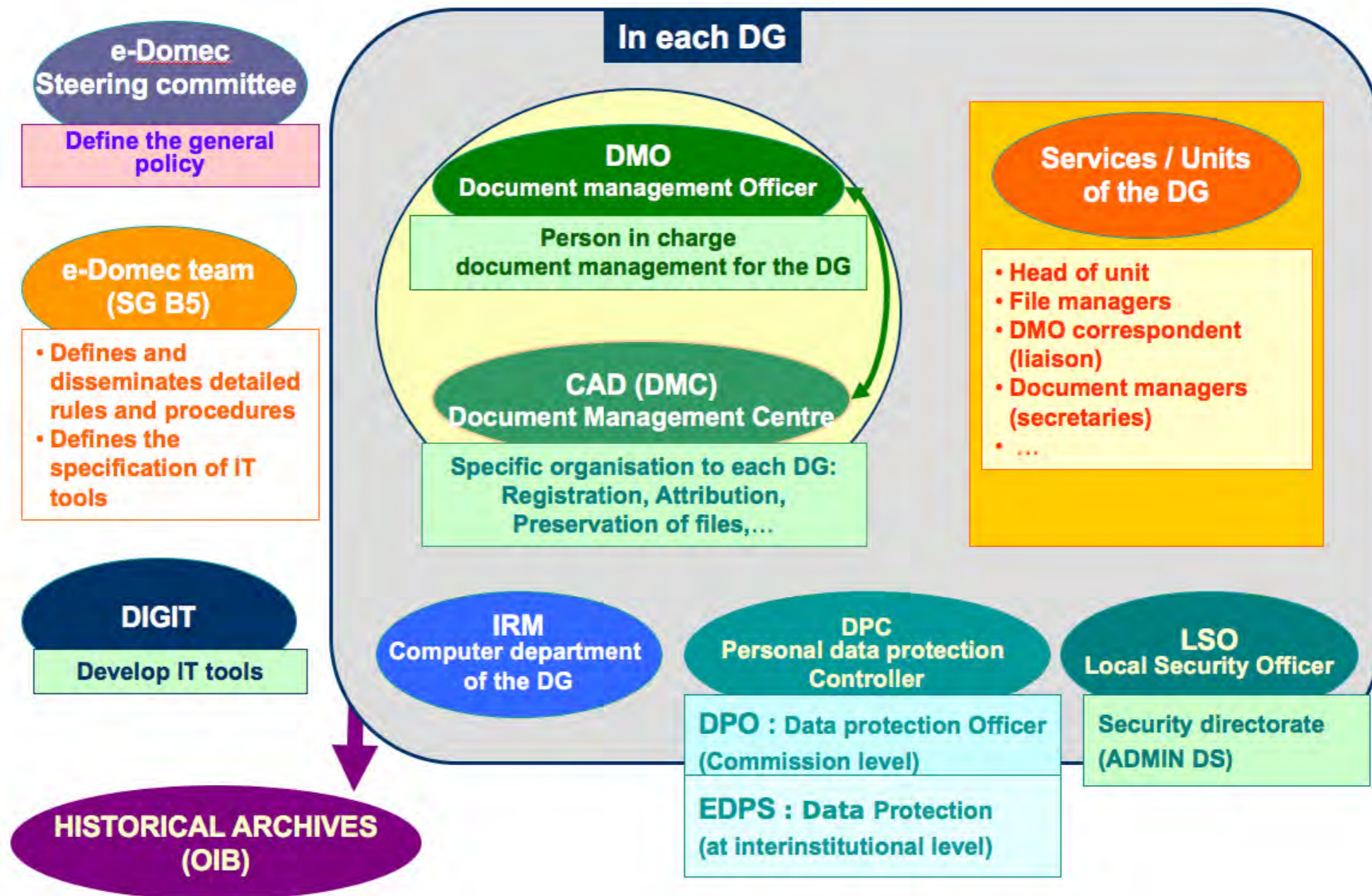
Change management

- Importance of investing in training across the hierarchy :

    - Head of Units

    - Policy officers

    - Secretaries

Contact

- svhoolan@ulb.ac.be

- https://twitter.com/sethvanhooland

- Looking for trainees / employees ?

- Collaborate on case-studies ?

Agenda

1. Total's organizational structure: developing information services at a multinational firm.

2. Total's records management policy and archival strategy : are we dealing with the right information produced by the company?
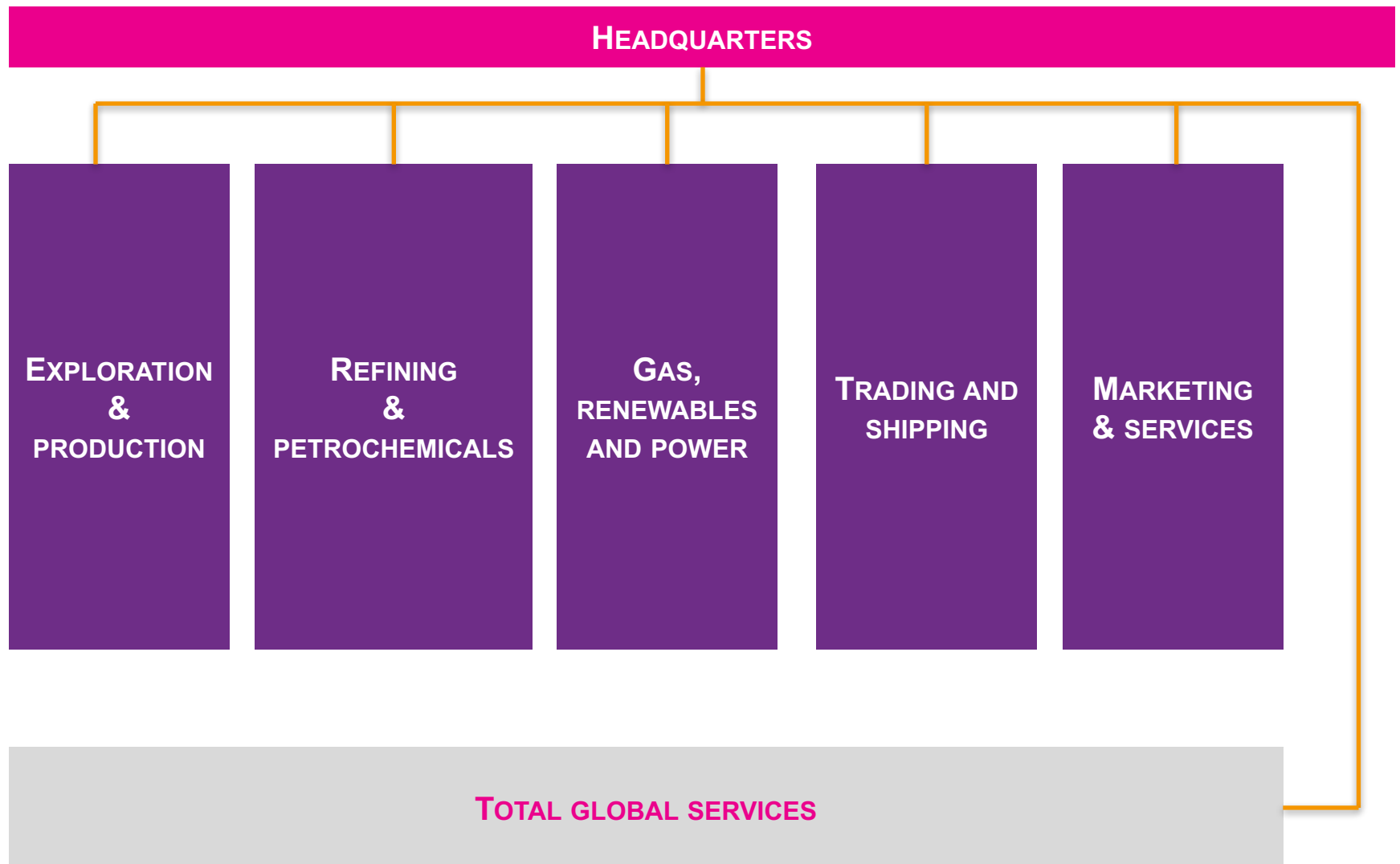
TOTAL
COMMITTED TO BETTER ENERGY

1) Total's organizational structure

HEADQUARTERS

| EXPLORATION & PRODUCTION | REFINING & PETROCHEMICALS | GAS, RENEWABLES AND POWER | TRADING AND SHIPPING | MARKETING & SERVICES |

TOTAL GLOBAL SERVICES

Information Services, Competitive Intelligence and Records & Archives Management at Total

- The Information Division belongs to Total Facilities Management Services.

- We are located in Paris.

- Our services should cover all the activities of the Group.

- We work with all of the branches and subsidiaries all over the world.

TOTAL
COMMITTED TO BETTER ENERGY

Total at a glance : a major energy operator

2nd FRENCH COMPANY BASED ON ITS ANNUAL TURNOVER

4th LARGEST INTERNATIONAL COMPANY IN THE ENERGY SECTOR

PRESENT IN **130** COUNTRIES ON THE **5** CONTINENTS

100 000 EMPLOYEES

A WIDE RANGE OF ACTIVITIES AND PROFESSIONS COVERED

A VERY RESTRICTIVE LEGAL FRAMEWORK TO IDENTIFY AND APPLY

A RECORDS & ARCHIVES MANAGEMENT GENERAL STRATEGY SINCE **1980**

3 INFORMATION GOVERNANCE POLICIES DEPLOYED

TOTAL
COMMITTED TO BETTER ENERGY

TOTAL'S ACTIVITIES

EXPLORE AND PRODUCE

1. OIL AND GAS
2. SOLAR
3. BIOMASS

TRANSFORM AND DEVELOP

4. SPECIALTY CHEMICALS
5. POLYMERS
6. REFINING - PETROCHEMICALS

SHIP AND MARKET

7. TRADING - SHIPPING
8. PRODUCTS AND SERVICES

What kind of information does a multinational firm produce?

Oil and Gas

Solar

Bioenergies

Refining - Petrochemicals

Developing, Producing and Marketing polymers

Specialty chemicals

Trading and Shipping

Products and Services

2)Total's records management policy and archival strategy

1. Deploying one general retention schedule for the entire company : a challenging approach in a decentralized Group.

2. A specific strategy for vital records : identifying the most important documents within the company.

3. A new system for managing digital/non digital records & archives : how to collect and preserve digital materials?

One framework, many different legal entities

D1 - Purchases
D2 - Purchases, sales and chartering of oil and gas products
D3 - Insurances
D4 - Communication
D5 - Creation and life of company (Subsidiaries and equity holdings whatever the percentage interest)
D6 - Finances
D7 - Knowledge management
D8 - Governance, Compliance, Management, Strategy and Public Affairs
D9 - HSE Q DD
D10 - Real property
D11 - Infrastructures and technical studies
D12 - Legal
D13 - Logistics & transportation
D14 - Facilities
D15 - Operations / Exploitation
D16 - Mining assets
D17 - Research and development
D18 - Human resources
D19 - Security
D20 - Information Systems
D21 - Sales and marketing

A specific strategy for « vital records » since 2005

- The company has never tried to control all the information produced, it will be impossible.

- Total launched a vital records program in 2005, the aim of this program was to identify within the company, and its affiliates the most important information that is necessary to prove our rights and obligations.

How to collect and preserve digital archives?

- Total decided in 2014 to stop making the difference between digital/non digital records and archives.

- We have a new policy and a new system launched in 2016 : e-Traces.

- E-Traces is the one single point of entry for the users. If an entity has a project and asks for archival services, the Archives & Records management Departement provides assistance without thinking in terms of format.

Avec e-TRACES toutes vos archives à portée de clic

e-Traces, l'application de gestion des archives physiques et numériques du Groupe Total est désormais ouverte aux utilisateurs.

Merci

lourdes.fuentes-hashimoto@total.com
Tél. : (+33) 1 41 35 56 55

TOTAL
COMMITTED TO BETTER ENERGY

Appraisal policy and RM maturity

22-June 2017│ Vincent Hoolt│ Paris

achmea

Contents

- Achmea; history
- Records management policy
  - Appraisal
- Records management implementation
  - Maturity model
- Summary

Est. 1811, today Achmea is the largest insurance provider in the Netherlands.
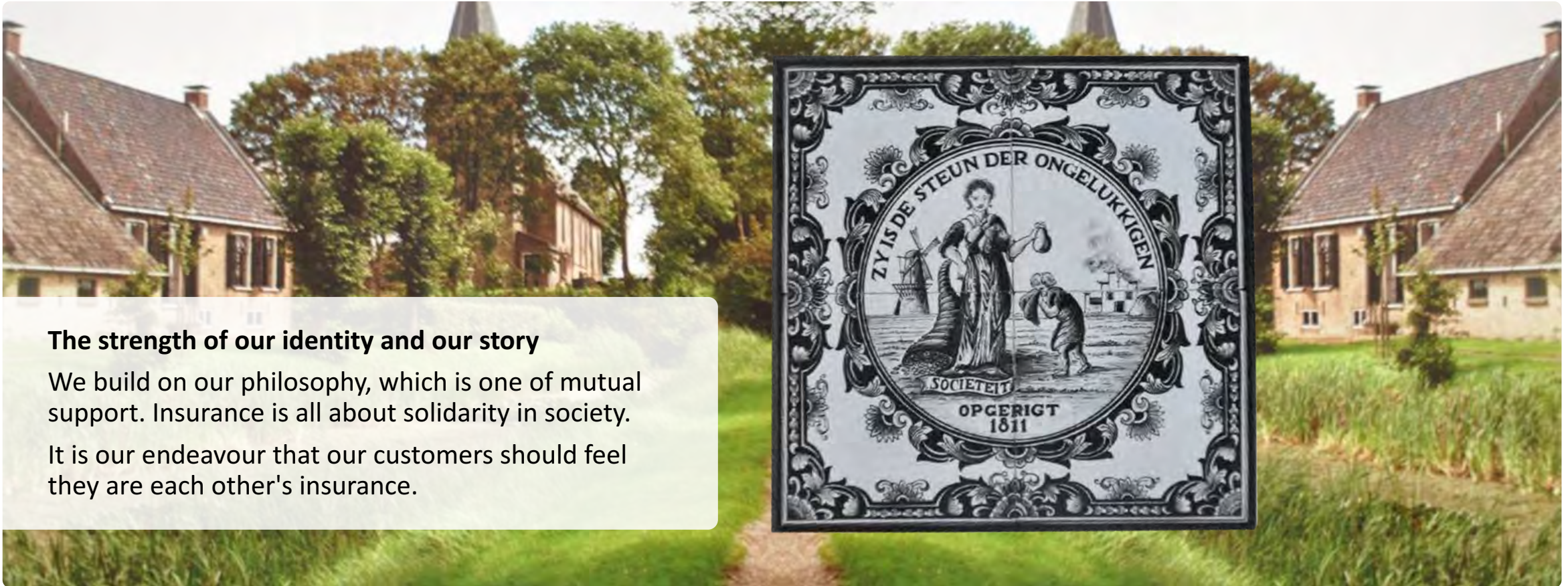
The strength of our identity and our story

We build on our philosophy, which is one of mutual support. Insurance is all about solidarity in society.

It is our endeavour that our customers should feel they are each other's insurance.

Achmea's core activities: Non-Life, Health, Pension & Life and Asset Management

Non-life €3,2 billion	Health €13,1 billion	Pension & Life €1,8 billion	Assets under Management €116 billion

17 % Non-Life Netherlands

67 % Health Netherlands

10 % Pension & Life Netherlands

6 % International
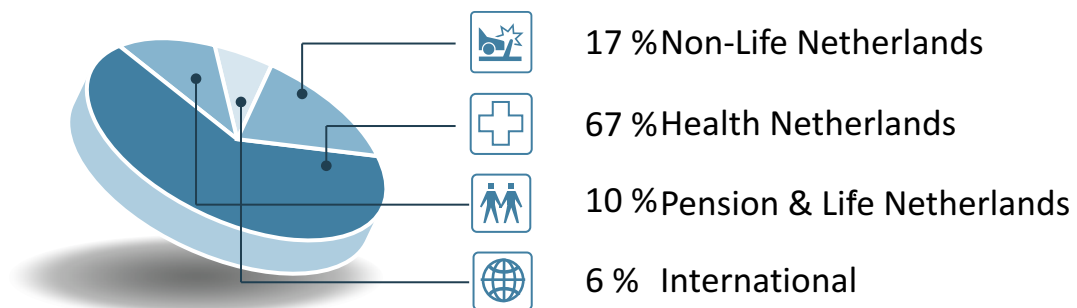
Distribution of Gross Written Premiums in 2016

Dutch Financial Market Regulator (AFM) Customer Centricity Score	Avg. Customer Satisfaction Score Non-Life 7,4	Avg. Customer Satisfaction Score Health 8,0	Avg. Customer Satisfaction Score Life 6,9

achmea

Our history, from Achlum to where we are today

The history of Achmea begins in Achlum, in the Netherlands	A group of Dutch mutual insurance companies forms Coöperatieve Vereniging Centraal Beheer	Zilveren Kruis founded	First Dutch direct writer FBTO founded
1811	**1909**	**1949**	**1956**

Achmea merges with Interpolis, Rabobank becomes second largest shareholder	Achmea takes over Interamerican Greece	Achmea takes over AVCB and Zilveren Kruis	Centraal Beheer and Avéro Verzekeringen merge to become AVCB
2005	**2001**	**1995**	**1992**

Achmea acquires an 80% stake in Eureko Sigorta; Achmea and Agis merge	Achmea launches InShared	Achmea merges with De Friesland and takes over Independer	Accelerate & Innovate programme of change
2007	**2010**	**2011**	**2013**

	Foundation of Centraal Beheer General Pension Fund (APF)	Concentration of asset management activities in Achmea Investment Management
Delivering Together	**2016**	**2016**

achmea

Current state of the historical Archives of Achmea

- Recently established as part of the Records Management policy

- Haphazard collection of records:

  - Backlog of appr. 1.000 metres of paper records

  - Part of the collection at a provincial Archive

  - Some collections of electronic records of archival value exist, mostly of marketing material.

  - Appraisal? We're lucky to have some records

- However this is all part of a larger issue;

- **No Records Management policy and well-established RM practices at Achmea**

achmea

Records management at Achmea

Records Management Policy approved in November 2016. This states:

- Definition of records

  - Historical value one of the criteria

  - Format independent

    - Meaning; paper, electronic, in databases, on social media etc.

- Relation to Data Governance

- Place of historical Archives as part of Records Management

- Governance model

- Monitoring and measuring state of Records Management

  - Use of the ARMA Generally Accepted Recordkeeping Principles (GARP) maturity model

- Establishment of a Records Management programme for each Business Area of Achmea running since 2012.

RECORDS MANAGEMENT

achmea

From Data to Records

Data
- Captured expression of a fact

Information
- Data that can be interpreted

Record
- information object created, received, and maintained as evidence, historical value and information by an organization or person, in pursuance of legal obligations or in the transaction of business.
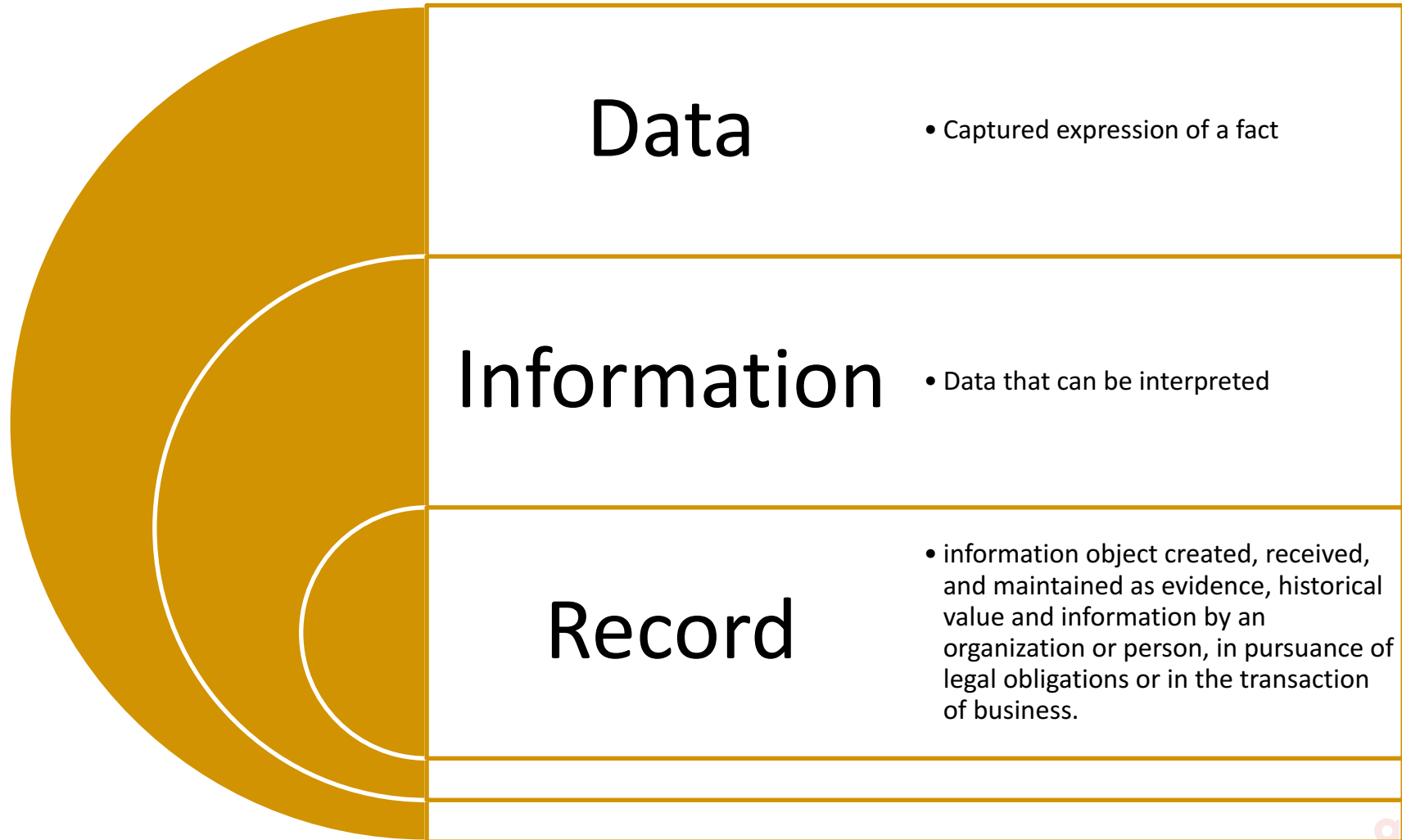
achmea

Appraisal of Records as part of Records Management

At Achmea we realised:

- Digital born records are the main source, also for historical archives.

  - Example; replacement of employee magazine by vlogs on the Intranet

  - Example; Facebook campaigns

- It's a flood, not a stream of information

- Without proper Records Management in place we'll never be able to ensure we retain the information of historical value

- We need the business to be pro-active

achmea
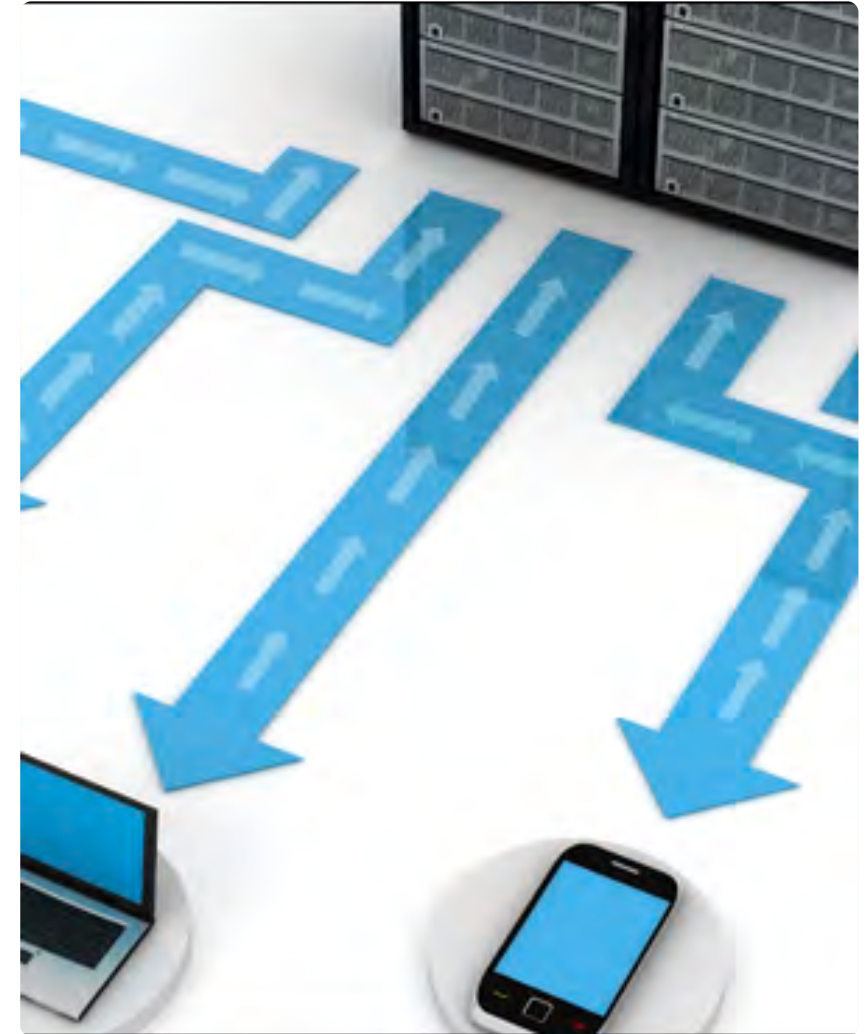
Appraisal of Records as part of Records Management

- Appraisal is part of our records retention strategy

  - Determining value of information in a process upfront (i.e. before creation)

  - Managing the lifecycle from the moment of creation

  - Challenge: exceptional occurences in standard processes with a finite life.

- Establishing Records Management programmes key in retaining electronic records

- Corporate project forces development of file and retention plan

achmea
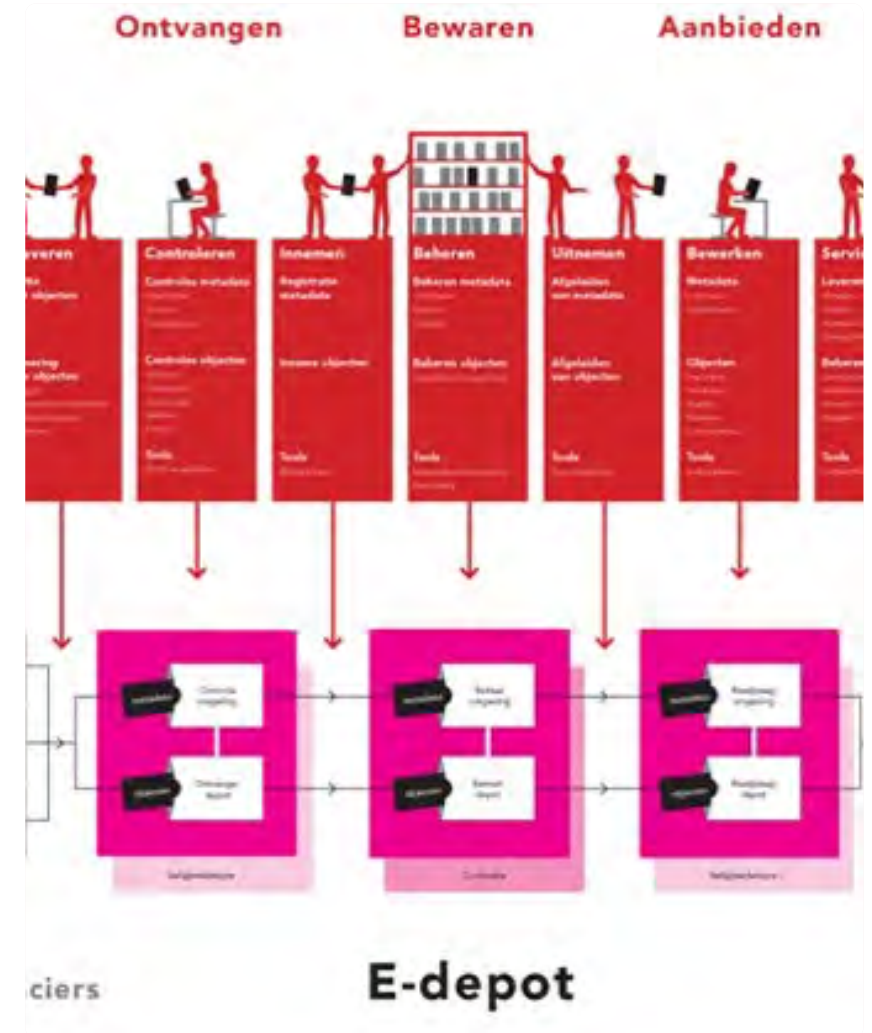
Implementation of Records management programme

Standardisation of steps for each Business Area

- First step:

  - Gap analysis; 8 principles; current level vs. Desired level

    - Interviews with the business

    - Check with Records management policy

- Second step:

  - Project plan

  - Assignment of project responsibility within the business

  - Establishment of a Records Official role within the business.

- Third step:

  - Develop policies and procedures

  - Create inventory of all records and record holding systems

  - Create a file and retention plan

- Fourth step:

  - Implementation and/or improvements to record holding systems

  - Implentation of procedures

- Final step:

  - Monitoring and reporting established

  - New gap analysis

achmea

Generally Accepted Recordkeeping Principles (ARMA)

8 principles:

1. Accountability

2. Transparency

3. Integrity

4. Protection

5. Compliance

6. Availability

7. Retention

8. Disposition

Arma based these on ISO 15489 and business.

Maturitymodel consisting of five levels:

1. Substandard

2. In Development

3. Essential

4. Proactive

5. Transformational

The Records Management Policy mandates level 3 for all Business Areas of Achmea.

achmea

Reasons for using a maturity model

- Achmea is familiar with the concept of a maturity model to improve

- The Data Management Maturity Model is the core of the implementation of the data governance policy

- Achmea desires the use of standards and established models

- Creating a sense of urgency; call to action

- It provides a clear path for improvement.

WORK IN PROGRES

achmea

Results of the approach; overview status

Totaal overzicht maturity
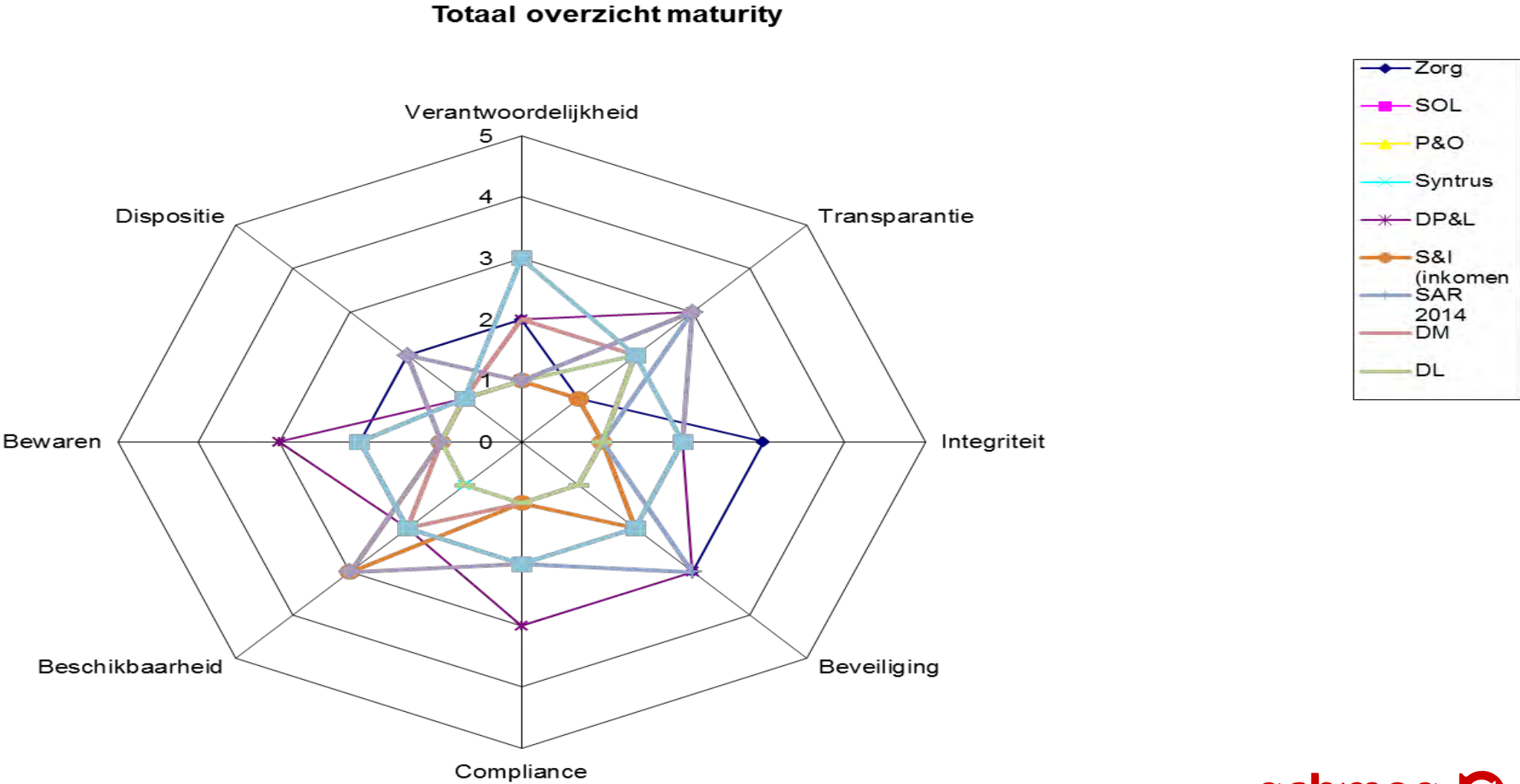
Results of the approach; before and after a business project
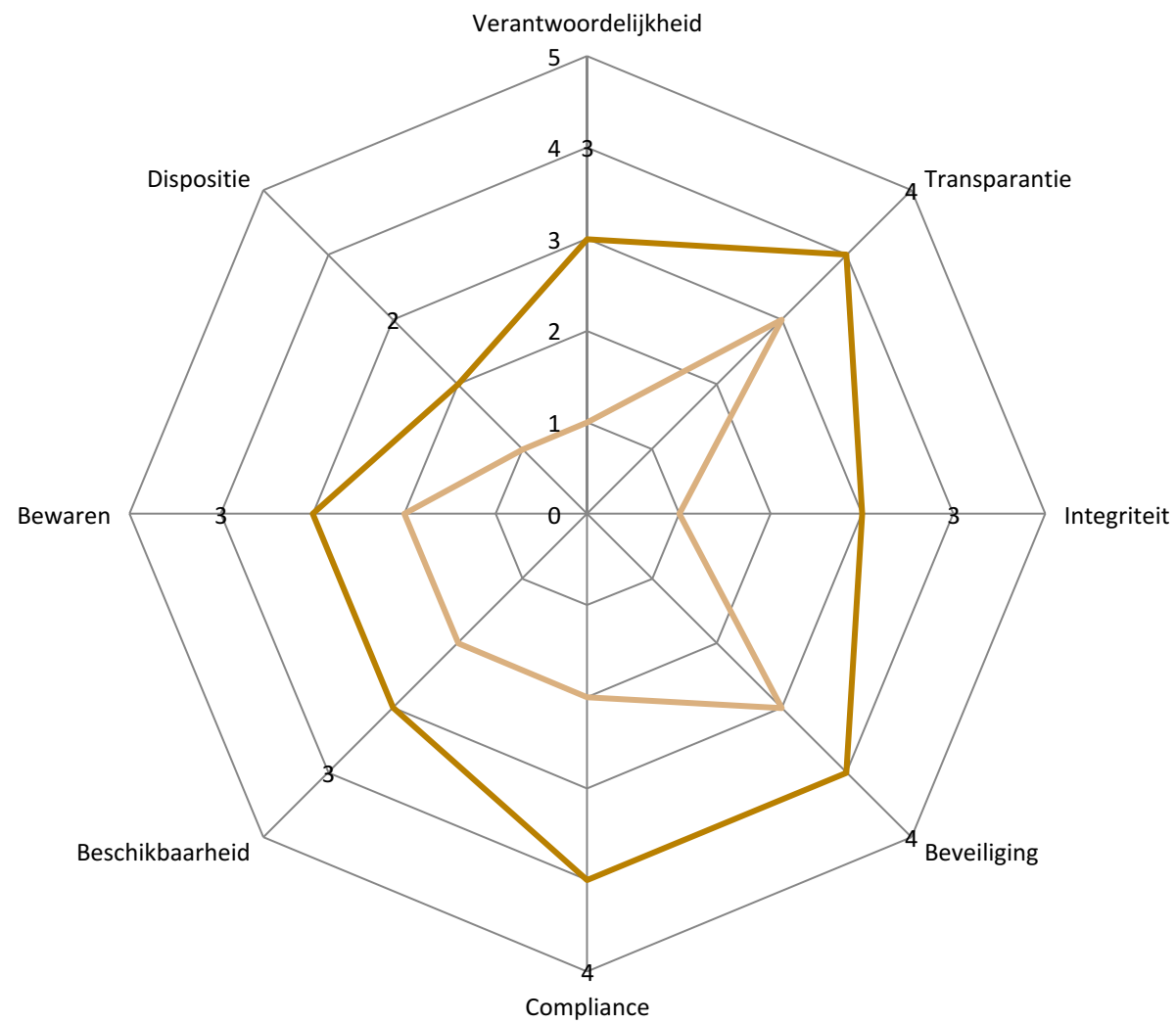
Results of the approach; lessons learned

- Approach works

- Establish goals upfront

- It's slow going

- Reuse elements approach of Data Management Maturity;

- Establish corporate programme

- Work together with Data Governance and Compliance
  - They're in the same boat and want the same thing

- It's all about managing risk

achmea

Summary

The Achmea Approach:

- Core is establishing Records Management practices in the business

- Electronic records, in all forms, can be of historical value

- Appraisal up front as part of the Records Management practices ensures we retain at least what we know we require

- Using an established maturity model is effective in a commercial environment

- You will always require a policy as the foundation.

achmea

Creating a Platform for Digital Appraisal at HSBC

James Mortlock, Digital Archives Manager, HSBC
22 June 2017

#HSBCArchives

HSBC ◨

HSBC Archives – a brief overview

- Digital Archives system in operation since 2015

- Active collecting programmes > encountering born-digital records on a day-to-day basis

- Large volume of digital copies through project work; but no wholesale digitisation plans

- Close collaboration with Records Management, IT, Information Security, Legal and Compliance

- Physical records still play a key role; strong focus on enhancement of descriptive and management metadata

HSBC

HSBC has archivists working in **London, Hong Kong, Paris** and **New York**. They preserve a variety of materials including ledgers, banknotes, photographs, letters, films and digital records

Our archives contain information from
86 countries

We have **171,211** catalogued items across **5km** of shelving

There are more than **500** hours of recorded interviews with employees

We welcomed **3,015** visitors to the archives last year including **90** researchers

The archives contain **83,325** digital items, taking up **4** terabytes of storage

We answered more than **650** enquiries in 2016

Visit or get in touch
www.hsbc.com/history
or history@hsbc.com

PUBLIC

HSBC's global digital archives system

Global PRESERVICA digital repository

Regional CALM catalogue | Regional CALM catalogue | Regional CALM catalogue | Regional CALM catalogue

Preservica's Enterprise Edition software provides secure ingest, storage and preservation strategies to safeguard born-digital records and digital copies of physical records. It provides sophisticated search and access functionality.

Axiell's CALM software provides regional Archive catalogues for both physical and digital content. It stores descriptive metadata and provides search functionality. It does not store the actual content; one-click links take the user to digital records.

3

System design

- 4 regional Calm catalogues covering our four archival regions (HQ/UK/US/HK) with FR to be added this year. Customised API communicates with the digital repository

- 1 instance of Preservica Enterprise Edition (customised for HSBC use) which creates and links to records in Calm.
  - Preservica creates records in Calm upon ingest

  - All catalogue metadata from Calm synchronised to Preservica on a nightly basis (including physical records)

- Digital repository and associated cataloguing system have been designed to follow OAIS (where possible)

- Hosted in the UK

- Hourly snapshot back ups, we also have Disaster Recovery and Testing systems in place

The HSBC journey…

- Peer research and initial scoping of potential solutions

- Robust business case presented and a detailed requirements document produced

- Formal RFI/RFP process carried out; valuable input from business analysis to reassess all procedures (physical and digital)

- Vendors selected and contract signed

- Development work started with vendor; extensive collaboration required with IT, ISR and Legal

- Testing; migration of data/records; staff training

- System goes live at the start of 2015

- Ongoing research and training requirements

- Regular software upgrades and occasional hardware upgrades; disaster recovery testing

A growing platform

File formats in GDA

- Other (10%)
- Tagged Image File Format (3%)
- Acrobat PDF 1.4 – Portable Document Format (4%)
- WordPerfect for MS-DOS/Windows Document (8%)
- JPEG File Interchange Format (12%)
- Microsoft Word Document (13%)
- Acrobat PDF/A – Portable Document Format (50%)
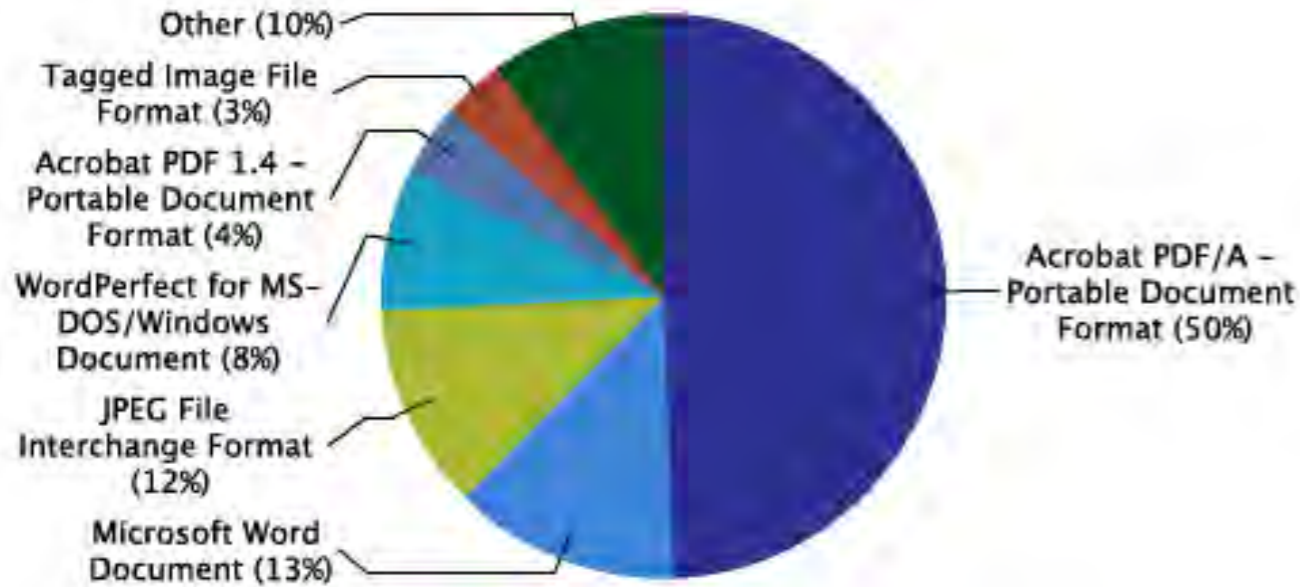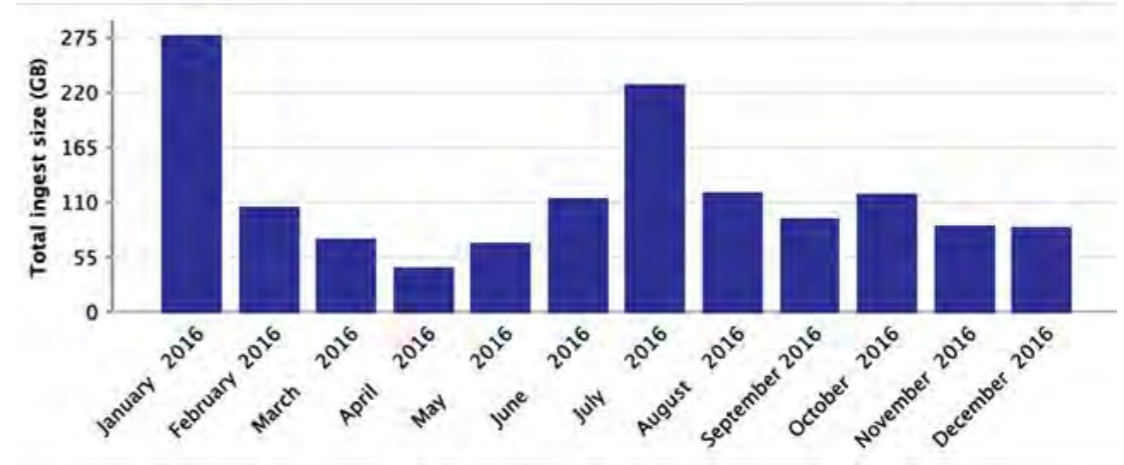
Ingests by size in 2016

Start date: 01 Jan 2016
End date: 31 Dec 2016

Ingests by file submission in 2016

Start date: 01 Jan 2016
End date: 31 Dec 2016

6
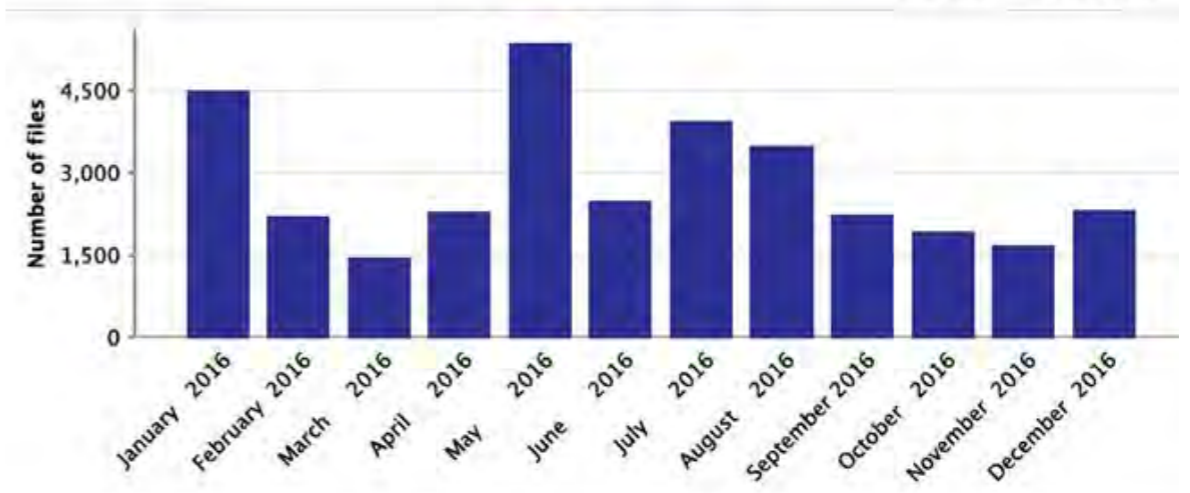
Why post-ingest appraisal?

- Security (Integration with information governance rules)

- Compliance checks (ISR file format agreements)

- Depositor expectations

- Audit trail

- Preservation

- Storage costs

- Ability to review (e.g. searching through contents)

- Better understanding of the accession
  (e.g. characterisation of file formats)

- Indexing and technical metadata profile

- Provision of robust disaster recovery support
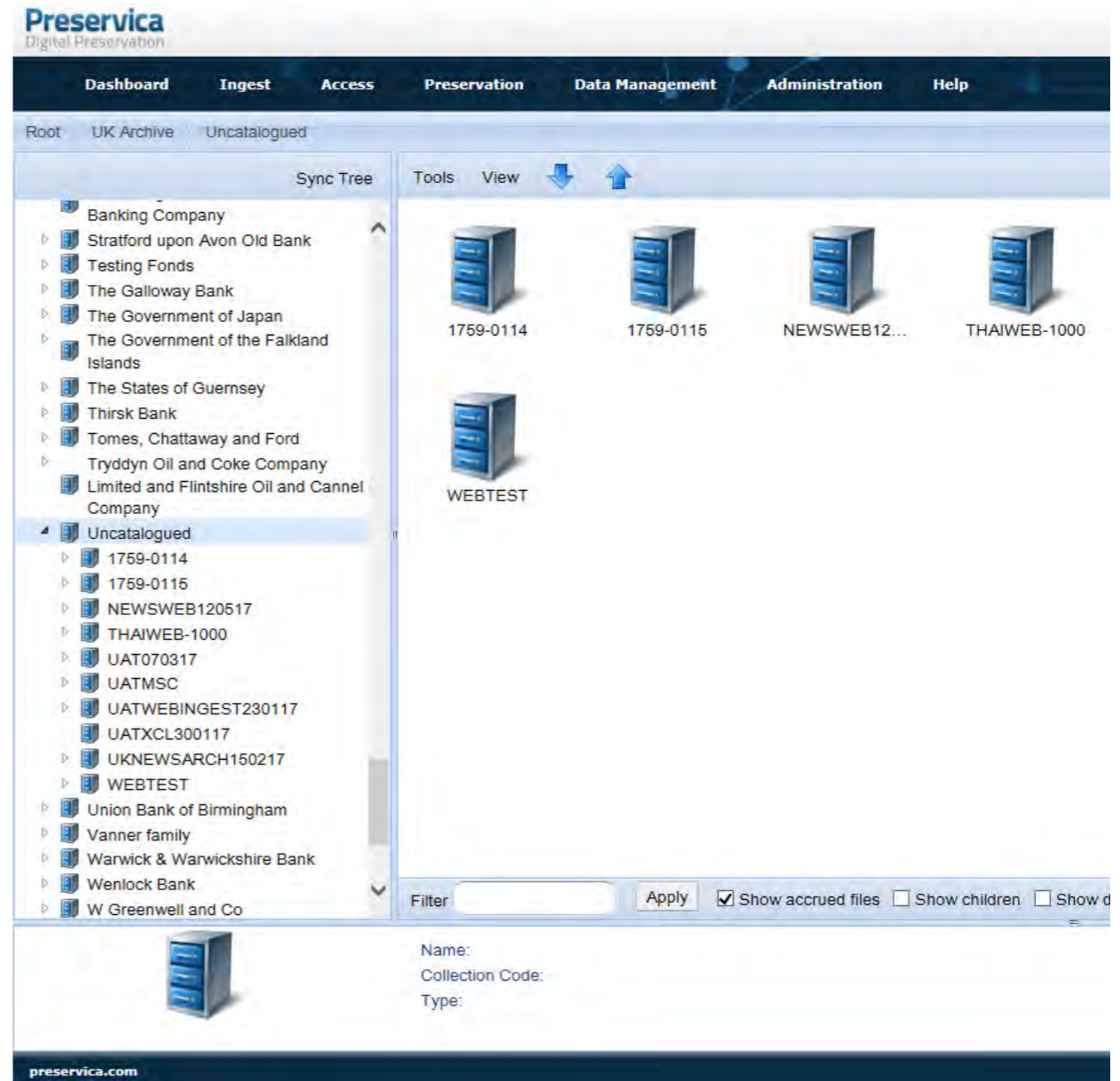
Post-ingest appraisal in practice

- Accession reference generated (regardless of whether collection is accepted)

- Sensitivity review (security tagging)

- Automated or manual SIP ingest

- Technical metadata harvesting

- Searching/discovering of deposit

- Removal of unwanted material (audited, but reasons documented in accession record)

8

Future appraisal plans

- Automated depositing

- Records Management integration
  - Historical records collecting framework

- Depositor access

- Improved discovery tools

- Systems integration

- Open to new ideas from the sector…

Should we retain the original file structure?

- Can we be sure of what the 'original' file structure was?

- Does the folder structure contain contextual value?
  - Valuable information on how the records were used
  - …but also masking records

- How do we judge a creator's intent? Can assessing an existing file structure lead to subjective judgements by the archivist

- For the corporate archivist working with a strong records governance framework, do we have access to the original file structure?

- Should we have to make case-by-case judgements on large digital accessions?

- If it is a matter of access to records, do new discovery techniques remove the need for structure?

- The role of technical metadata – does this make the maintenance of an original structure unnecessary?

Moving beyond functional macro-appraisal

- The same benefits for large organisations and businesses in the digital world as currently exist for physical records

- Greater level of digital record creation and maintenance means the modern archivist is faced with more records to appraise

- Requires a greater reliance on collecting frameworks for automated collection and appraisal

- Functional context easier to appraise in a large organisation than individual record types

- Reconciling discovery techniques with parsimonious appraisal
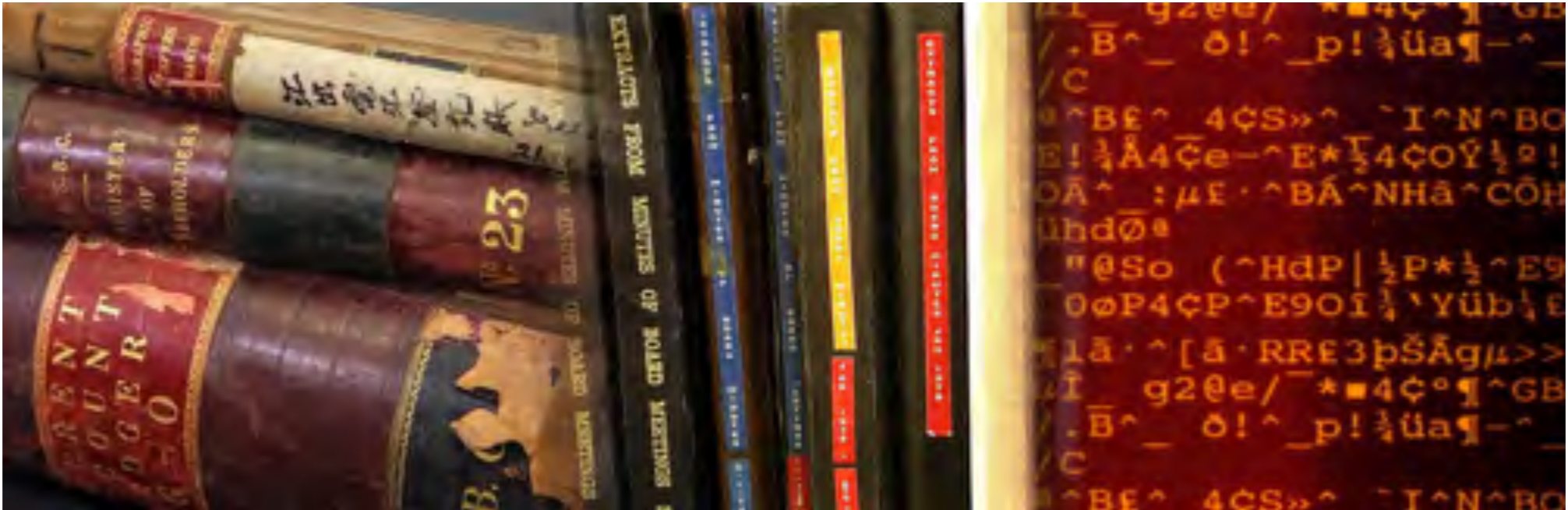
Thank you

- www.HSBC.com/history

- history@hsbc.com

- #HSBCArchives

Automatic Appraisal in the era of GDPR

Hewlett Packard Enterprise

Challenges of the digital information age

The Internet of Things, streaming video, machine-to-machine data, emails, texts, and social media/mobile/web data + shrinking budgets is forcing organizations to rethink how they manage and govern their data

Siloes

Cost

Find-ability

Control

Retention

And the trends that affect our ability to manage information

Evolving Services
- •Online 24/7
- •Single view
- •Timeliness & accuracy
- •Efficiency of service
- •Productivity & delivery

Digital Transformation
- •Cost to manage paper
- •Manual vs Automation
- •Volume & variety
- •Streamlined processes
- •Long term accessibility
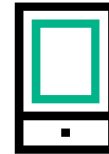
Mobility
- •Access anywhere
- •Range of devices
- •Support field workers
- •Asset management

Cloud
- •Cost of legacy systems
- •Scalability & flexibility
- •Data sovereignty
- •Private, Public or Hybrid
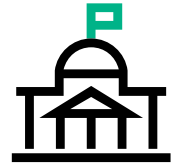
Global Transparency
- •Statutory compliance
- •Privacy & security
- •Safe Harbor, GDPR
- •Auditable records/archive

Hewlett Packard
Enterprise

3

How mature are our Policies, People and Systems?
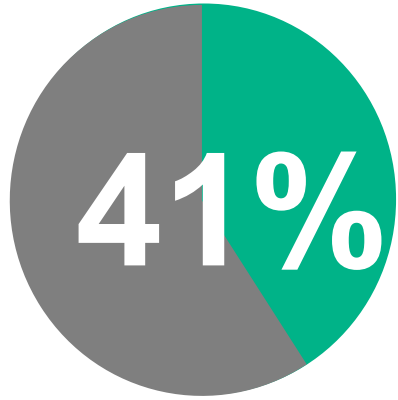
41% of organizations describe their email as **"chaotic"**
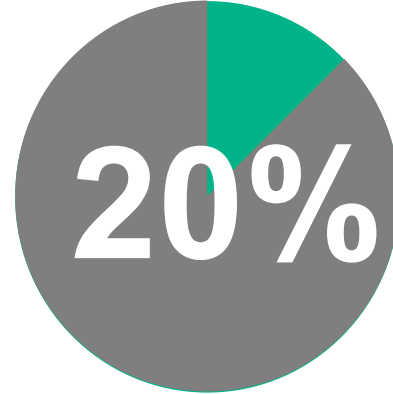
20% of organizations say **bad IG** practices is the most likely cause of **data loss**
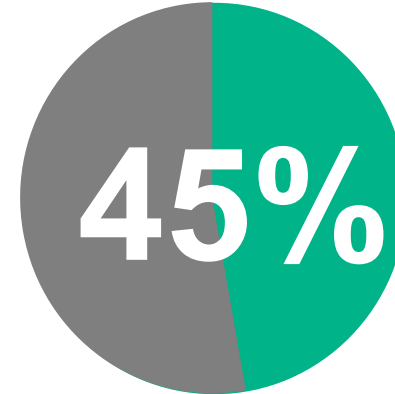
45% of organizations say a lack of IG leaves them open to litigation risks
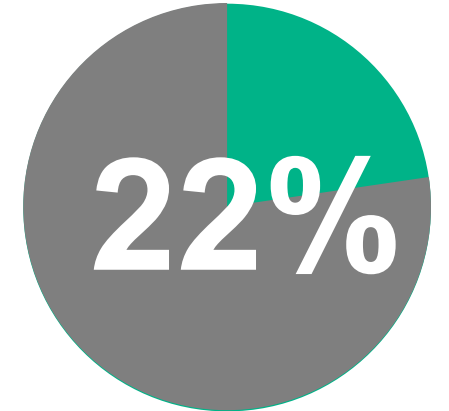
22% reported **negative financial impact** from cases involving electronic records

Statistics taken from: AIIM Industry Watch Survey 2015: Information Governance – too important to be left to humans

Information Governance

For internal or organisational reasons
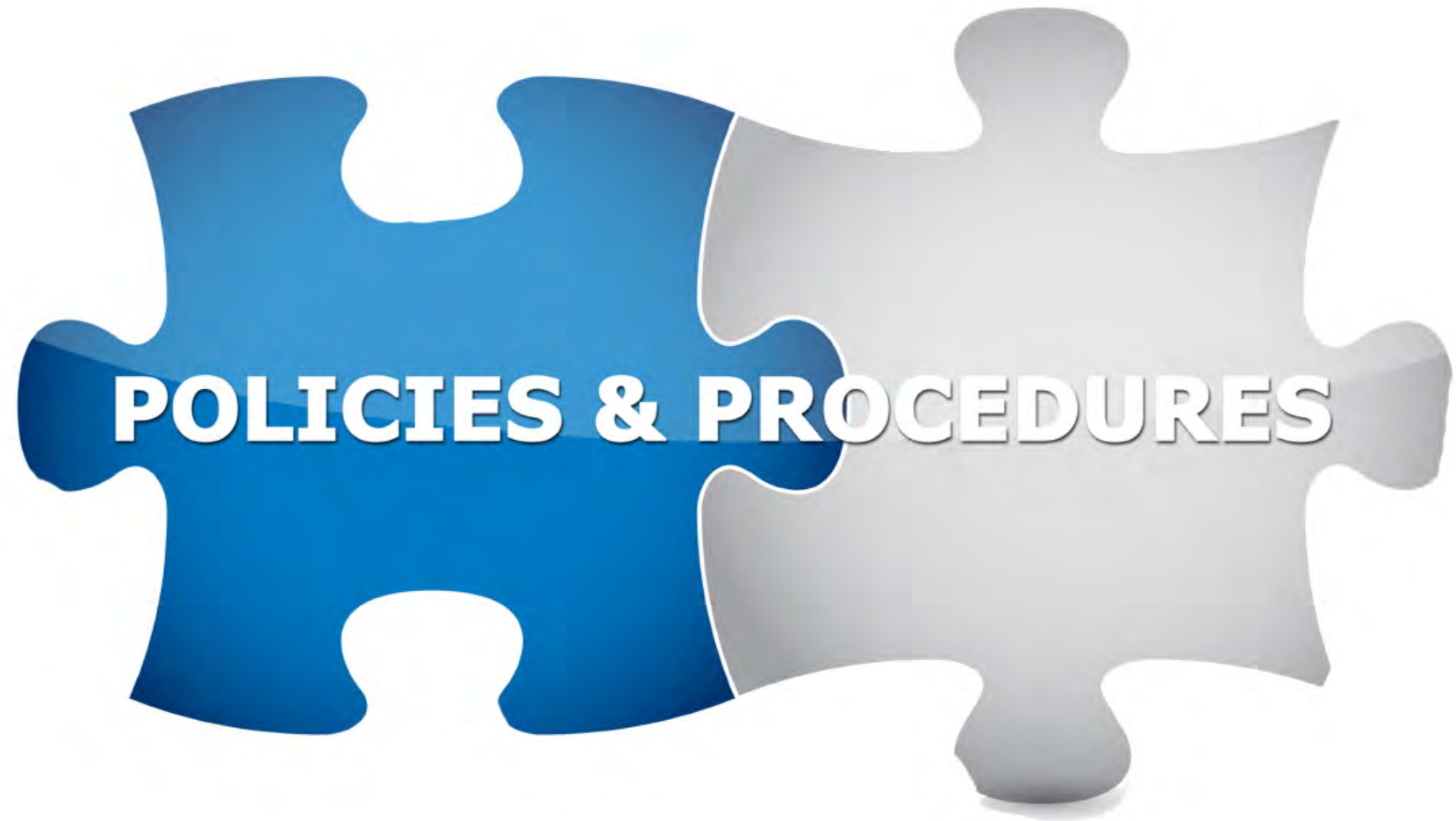
"We have real issues in successfully capturing and selecting the right digital information so as to avoid non-appraisal"

Head of Archiving at a European National Bank.

Hewlett Packard
Enterprise

...and Information Governance

For external reasons.

An Example: GDPR

- GDPR replaces the previous Data Protection Directive

- Data Protection Directive created to regulate control of Personal Data

- GDPR seeks to harmonize data protection laws across 27 EU member states

- Clearer rules for data transfer across borders

- Better control over individuals' Personal Data

"The level of risk associated with the GDPR has catapulted data protection into the boardroom."

Jane Finlayson-Brown, PARTNER, Allen & Overy

Hewlett Packard
Enterprise

What Information is affected?

- Any information by which a individual can be identified
- No distinction between a person in private, public or work roles
- Obvious type:
  - Name, email, national identification number, address
- Characteristic data
  - Medical, physical, genetic, mental data
- Inferred data
  - IP Address, cookies, profiling data

Anything that be linked directly to a person

What actions need to be taken under GDPR?

- **Tracking and Management of Consent**

- **Data Protection by Design**

- Formulating Retention Decisions on Personal Data

- Implement Data Breach reporting

- Appointment of a Data Protection Officer

Hewlett Packard
Enterprise

Compliance hinges on Lifecycle Management
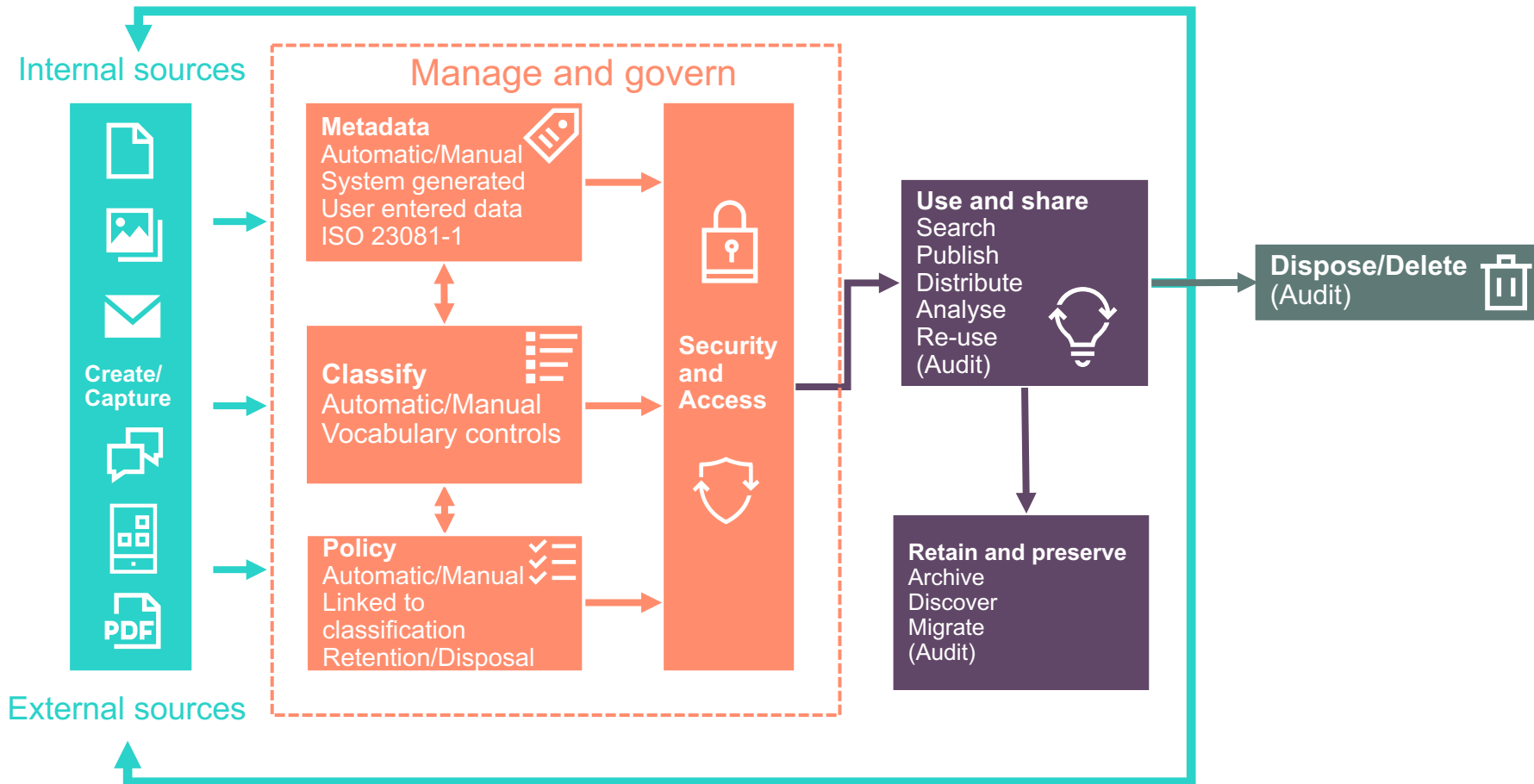
Compelling business logic for sound appraisal strategies

- Fine
- Reputation damage
- Government contract pre-requisite
- Enforcement action

- Strategic records management
- Move to cloud accelerator
- Security and compliance accelerator

Compliance

Operational Efficiency

Information Governance Policies

Revenue Generation

Brand Loyalty & Data Mining for improved customer service & Data Exploitation
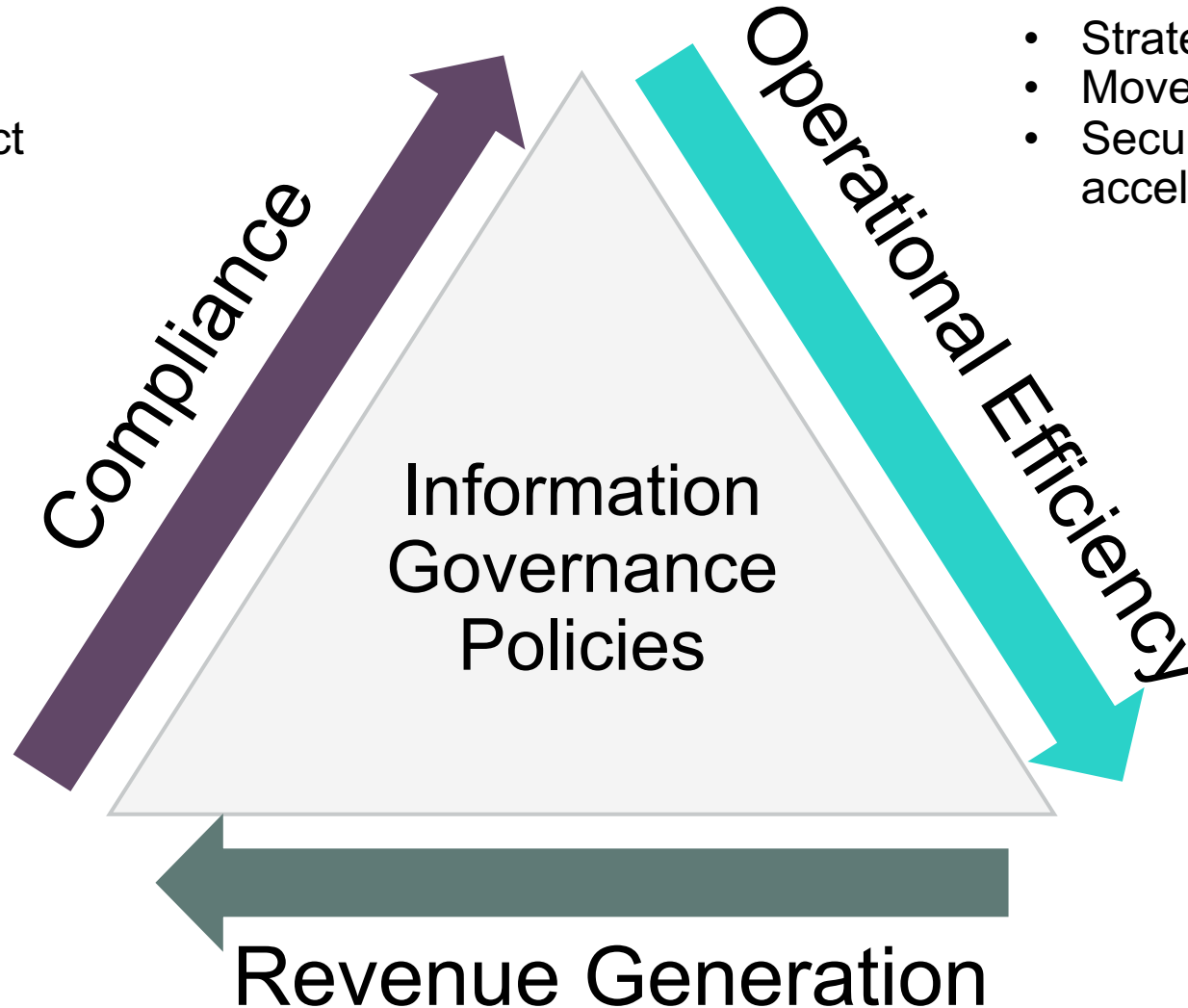
HPE's long-term Information Governance vision

Access & understand
Find

Unstructured enterprise data repositories

Structured enterprise data repositories

Cloud-based repositories

Other key repositories

Offsite or removable data repositories

Organize & control
Classify

Information insights

Common policies

Leverage & take action
Govern

Prepare & govern

Secure content management

Litigation readiness & response

Personal data assessment

Defensible disposition

Protect & monitor

Adaptive backup & recovery

Encryption & Pseudonymisation

Breach response

Breach prevention

Mine & extract value

Cross-silo analytics

Enterprise search

Content management

Employee productivity

Protect sensitive customer data in use, in transit, and at rest

Hewlett Packard
Enterprise

Automatic Appraisal of Unstructured Data

Hewlett Packard
Enterprise

Unstructured Data Analysis in five steps
With HPE ControlPoint

Identify & index
- Index metadata and content of documents
- Extract PII entities (SSN, emails, phones…)

Analyze
- « ROT » analysis
- « Technical » analysis (size, type, age…)

Organize
- Creation of Categories based on entities, metadata and/or content

Reduce

Manage & migrate

Dispose ROT

Archive

Declare

Manage-In-place

Migrate to Cloud

Hewlett Packard
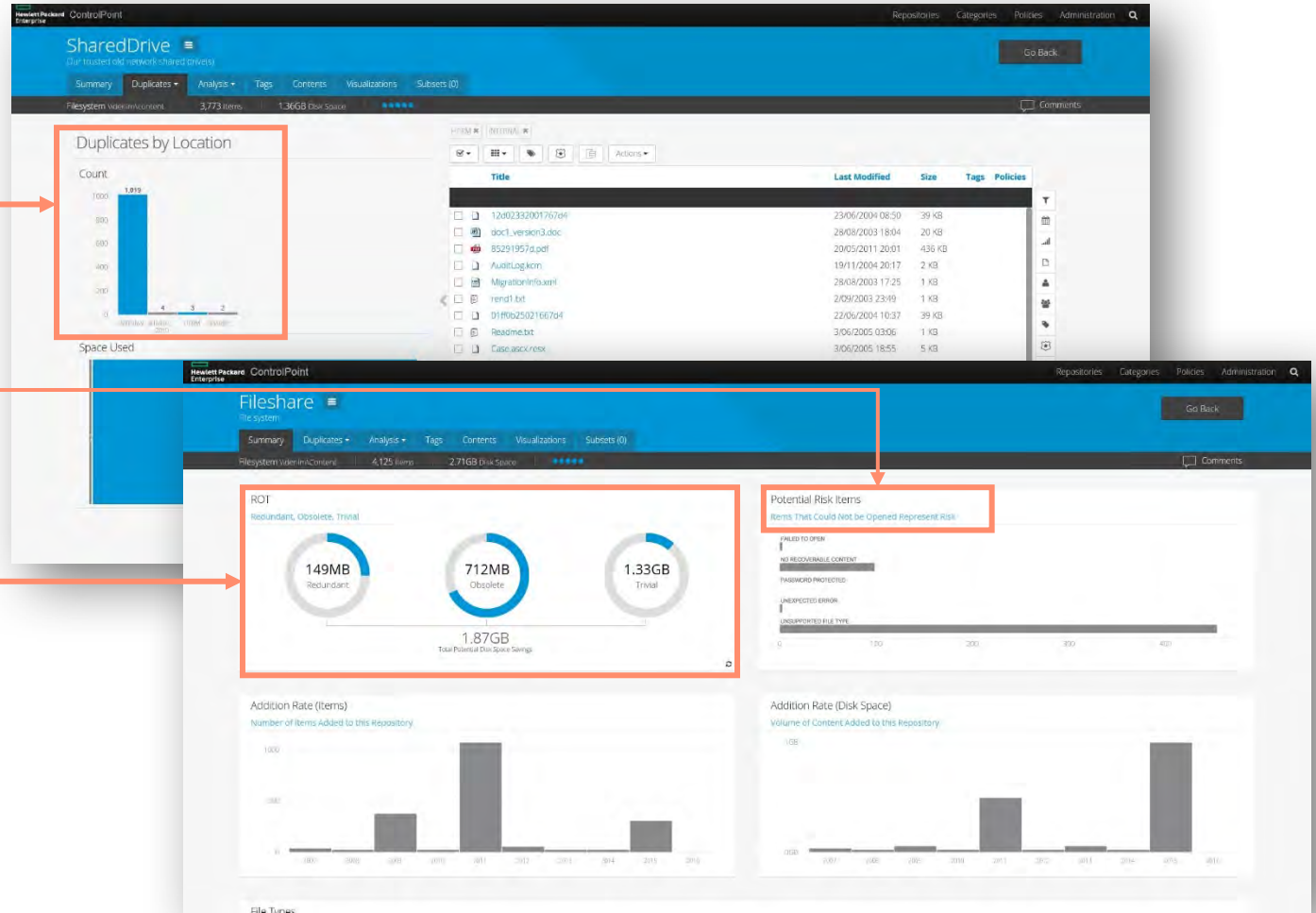Enterprise
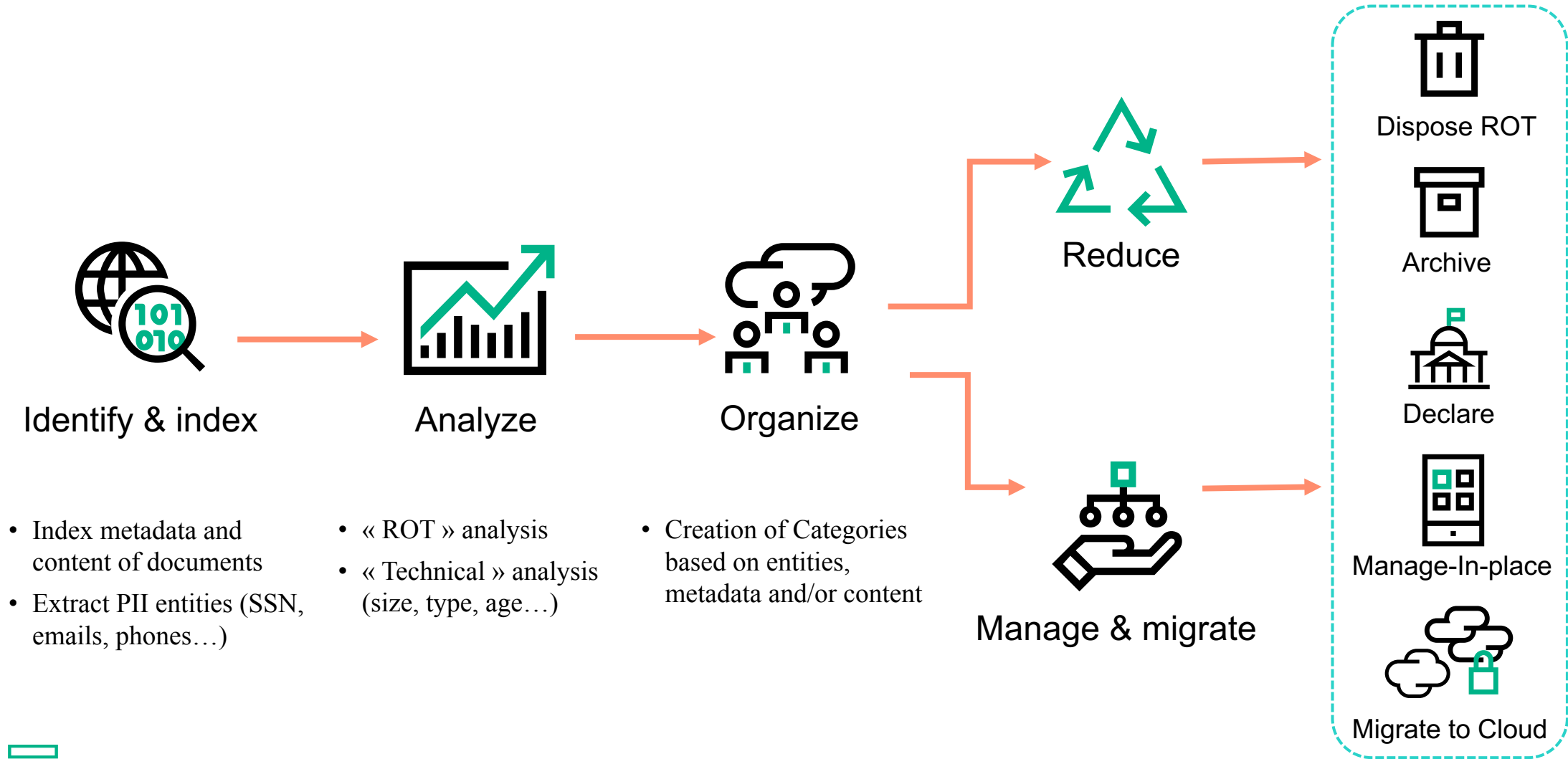
Content curation Dashboards
Policy to drive content clean-up, management or migration

Identify

– ROT data

– Items of interest to protect

  – Sensitive information

  – Records and critical content

  – Intellectual property

Apply policy to drive action

– Dispose

– Migrate

– Manage-in-place

Hewlett Packard
Enterprise

Automatic Data Classification and Clustering

- Group data by topic automatically

- Build categories using training documents, Booleans, keywords and confidence degrees

- ...and Grammars. Add structure to fundamentally unstructured information

Contracts

HR data

Outliers

Personal Data
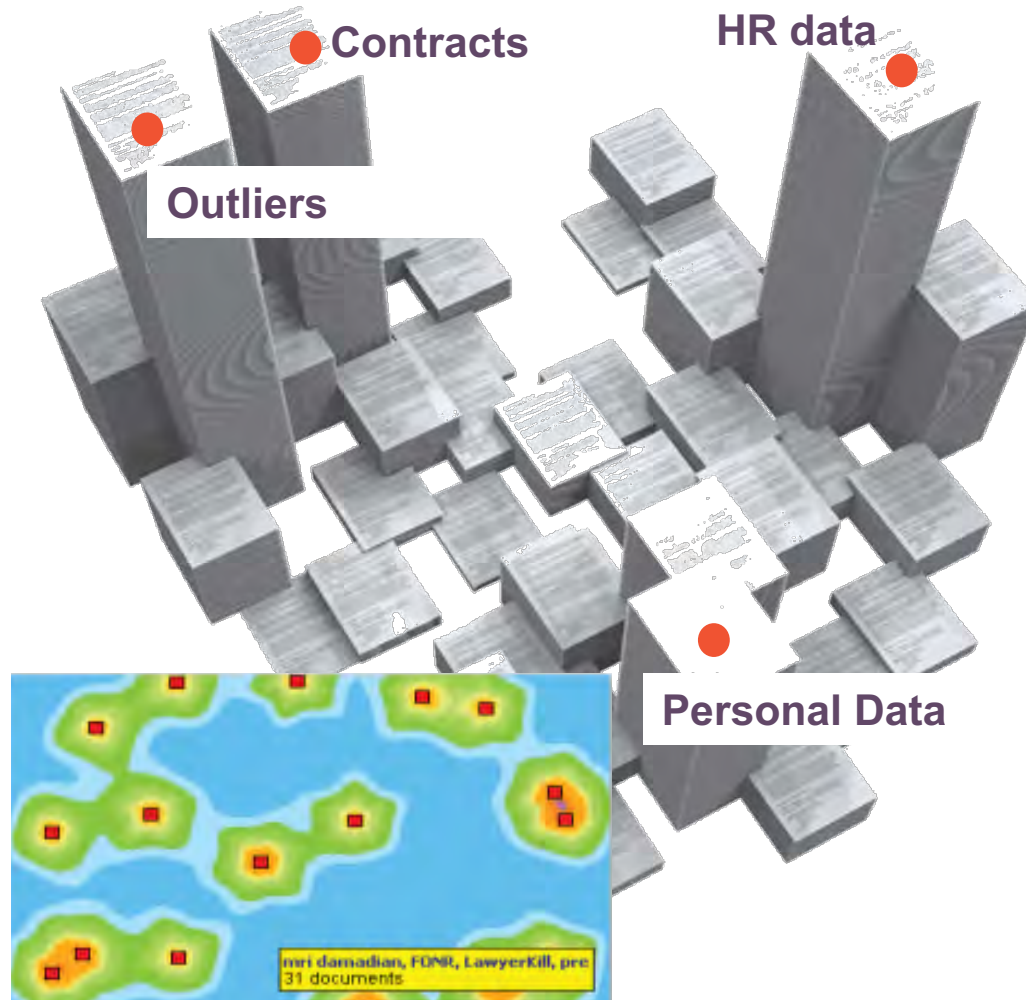
Categories
- TRAINED CATEGORIES
  - LIFECYCLE CATEGORIES
    - 1 - Transient Content
      - eTrash
    - 2 - Work in Progress
      - Email - Content Disposal
      - Filesystem - Content Disposal
      - Filesystem - Content Migration
      - SharePoint - File Accounting Conte...
      - SharePoint - File Contract Drafts
      - SharePoint Retention
    - 3 - Business Records
      - ACC - Accounting Statements
      - CON - Contracts
      - FIN - Financial Reports
      - HR - Job Descriptions
      - MED - Medical Reports
      - MKT - Marketing Brochures

mri damadian, FONR, LawyerKill, pre
31 documents

Visualisation and Sample Data

Automatic Appraisal of Structured Data

Analyze your Line Of Business applications

– Browser based management console

– Application Retirement "Wizard"

– Reporting Interface for Archived Data

– Free Text Search

– Custom Interfaces (Extensions)

Design an Archive flow per LOB Application

– Visual modeling environment to define business transactions

– Edit and Enhance pre-packaged modules

– Create Modules for:
  – Data Movement
  – Data Extraction
  – Data Indexing
  – Reporting

– Build bespoke modules to integrate into almost any application

– Define tasks as part of a workflow

– Produce process documentation
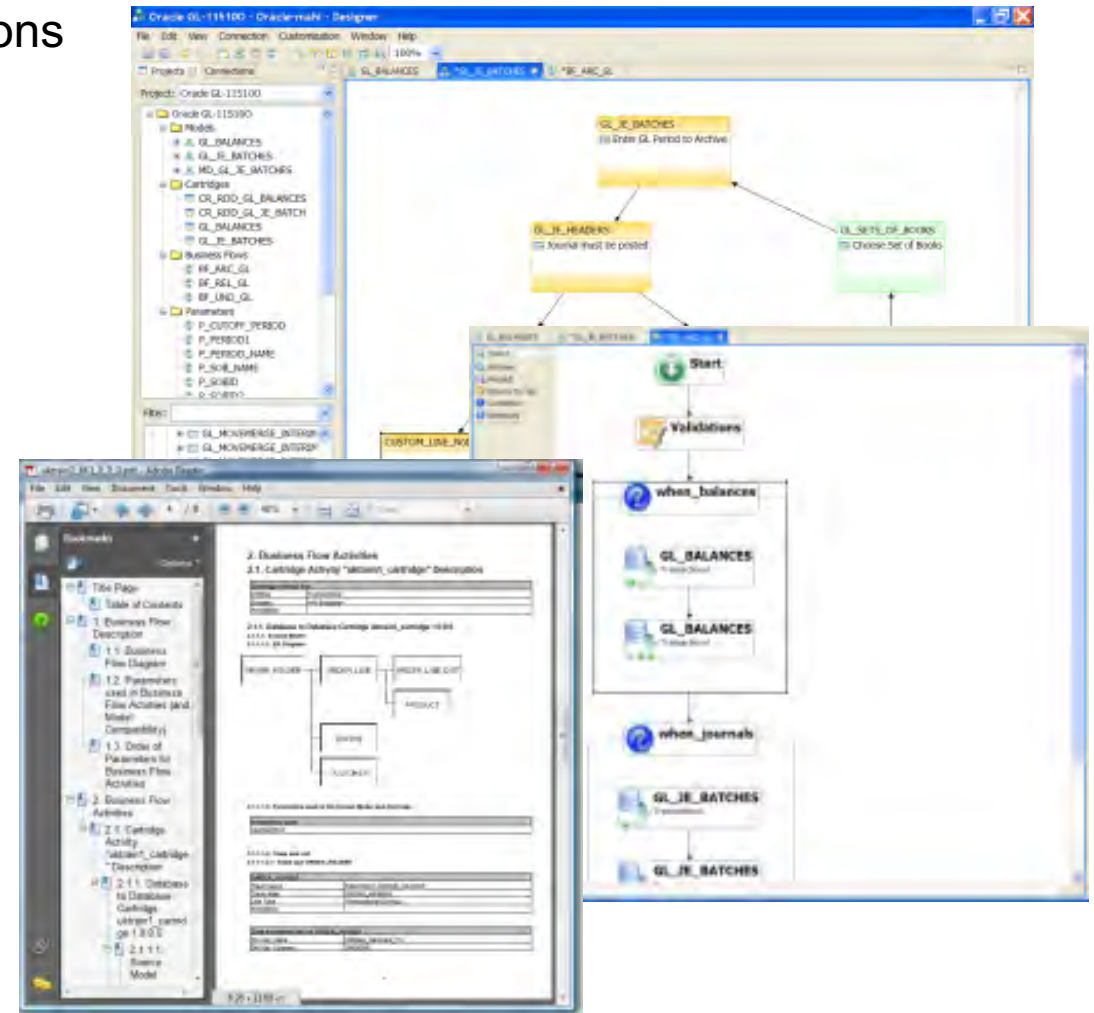
Employ Data Masking

–Data Masking routines can be added to any source object at design time

–Can be applied to archiving and/or subsetting

–Data is masked using native DB routines or scripted functions.

–Supports both pre-supplied, custom developed and third-party routines

–Data is masked during the movement process before writing to the source to ensure data security

Masked Data

Archive or Subset Files

Source Database containing Personal & other sensitive data

Archive or Subset Databases

Hewlett Packard
Enterprise
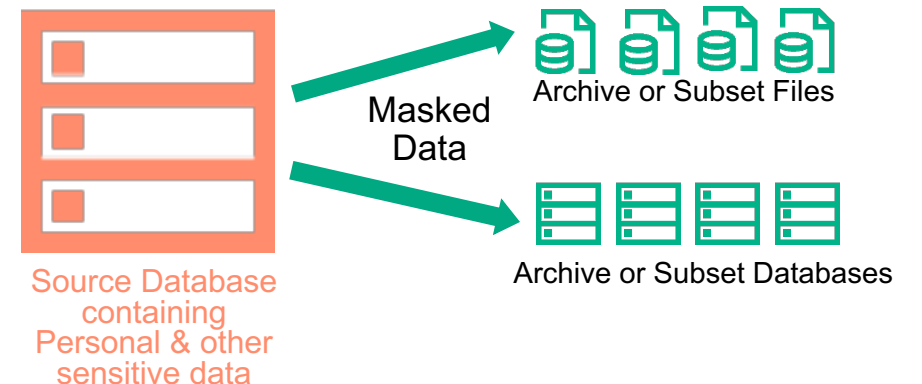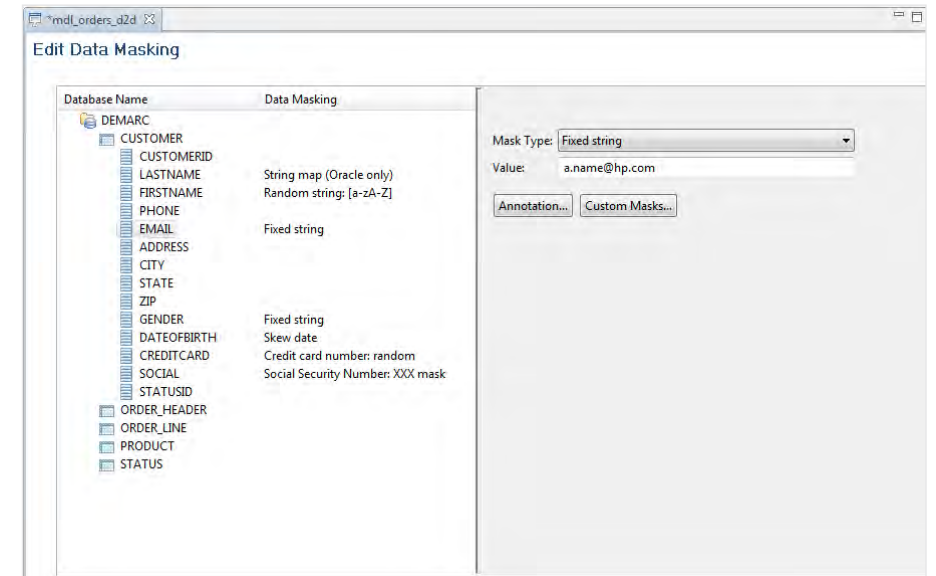
Automatic Classification of Archived Records

Hewlett Packard
Enterprise

Securely and Intelligently Manage data across the lifecycle
with HPE Software's Secure Content Management Suite

Capture

All data, unstructured, structured, electronic & physical, Email integration, OCR

Desktop, SharePoint & LOB integration Manage-In-Place, High volume ingestion

Manage

Auto-classification ISO15489, RM & DM Check-in/out, Versioning, Renditions

BCS or Matter Centric Extensive security Workflow, Approvals Reporting

Share

Security & access controls Contextual search Mobile access

SharePoint exposure Secure links Web publishing

Retain

Detailed metadata, Retention & disposal Complete audit trail VERS, Archiving

DoD5015.2 security, Single instancing Tiered storage Retention policies & triggers

Hewlett Packard
Enterprise

Your Classifications
The key to Records Management

- File Plans follow your processes

- They enable Retention decisions

- This facilitates Disposition
  - Document deletion
  - Document transfer to another archive section or solution, either internal or external to the corporation

Actions de Communication
  Actions de Communication - Relations avec la presse
    Actions de Communication - Relations avec la presse - Relations avec la presse
      Actions de Communication - Relations avec la presse - Relations avec la presse - Communiqués BDF
        Juin 2013
        Mai 2013
        Avril 2013
          Document1
          CP-Bdf-AMF18-04-2013
          Guide de Discussion_EN
        Juillet 2013
          CP-BDF-gouverneur-propose-baisse-taux-livret-A-12-07-2013
          CP-BDF-2013-07-09-rapport-oer-2012
          CP-BCE-20130703-application-mobile-banque-de-france
          CP-17-07-2013-BDF-UNCCAS-partenaire-lutte-contre-surendettement
        Aout 2013
        Septembre 2013
      Actions de Communication - Relations avec la presse - Relations avec la presse - Diffusion des discours du gouverneur
  Audit
  Publications Economiques et Traductions
  Sharepoint

Auto-Classification

– Train Categories from Classifications
  – Using notes
  – Using historic records
  – or both

– Holding Classifications
  – Where records get stored "to be classified"

– Target Classifications
  – Linked to IDOL categories
  – Confidence threshold
  – Automatic folder creation

Hewlett Packard
Enterprise

Automatic Updating of Classifications and Retention Decisions

Hewlett Packard
Enterprise

How do we better connect legal regulations to our content?
The first and last mile of retention
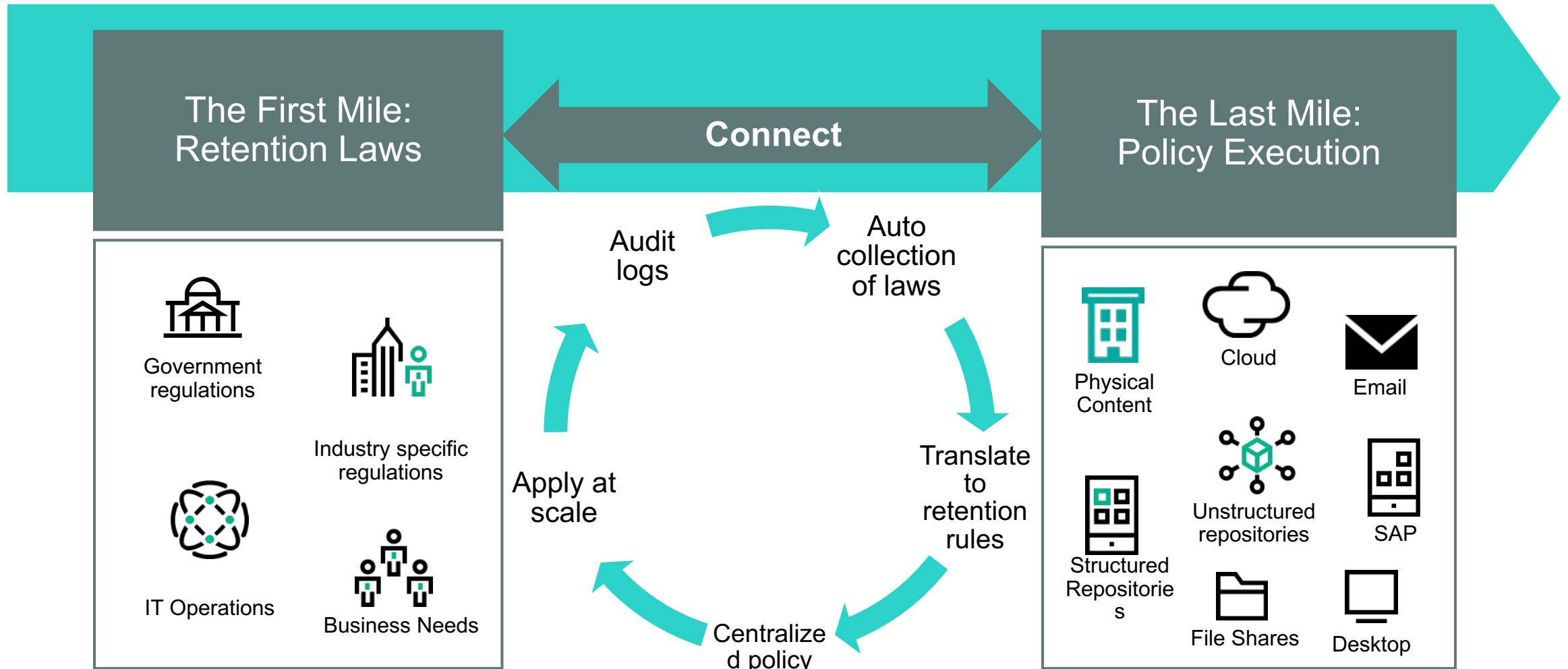
Policy Center Data Model

90 Jurisdictions

35.000 Legal Citations

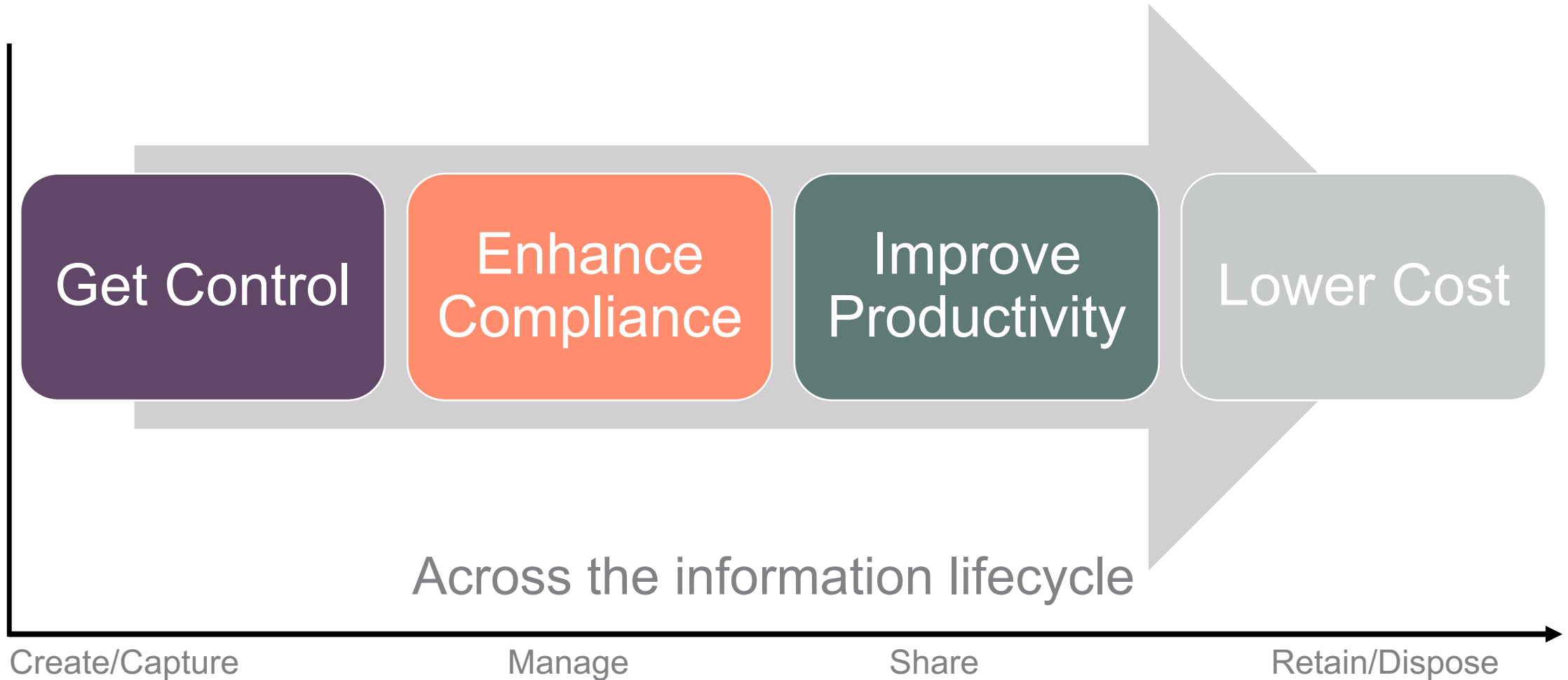| Retention Minimums | Retention Maximums | Production | Administrative | Limitation of action | Limitation of assessment |

Verticals and Industries

Summary

Hewlett Packard
Enterprise

Automatic Appraisal and Classification allow you to

Get Control
Enhance Compliance
Improve Productivity
Lower Cost

Across the information lifecycle

Create/Capture   Manage   Share   Retain/Dispose

Hewlett Packard
Enterprise

Q&A

Hewlett Packard
Enterprise

Thank you!

Thank you for your attention!

bankinghistory.org

@bankinghistory