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**Coming up in the February 2009 issue of *iq*:
OVERCOMING THE RED TAPE**



Send editorial submissions to editor.iq@rmaa.com.au by December 1





From The President

DAVID PRYDE
MRMA

RMAA President and
Chair of the Board



Making Records History

There is one of those sayings, not attributed to anyone, but manipulated by many others, that "history repeats itself".

It is no accident or cunning marketing ploy that the theme for the 25th International RMAA Convention in Sydney this year was *Adopting and Adapting*. In an "information hungry" world, where information is required instantly along many diverse communication channels dictated by our customers, the challenge is upon us to find new solutions to ensure continuity of business, security, maintenance and quality of the corporate memory.

SATISFYING THE DRIVERS

The foundation principles of exceptional records and information management will never change, but if business drivers and customer needs are to be satisfied in this shifting paradigm then we must adopt and adapt new thinking and embrace technology as we guide our organisations into the future. Organisations that are in love with the past, who want to follow the old ways, will be doomed to repeat the failures of the past.

Organisations, particularly government, are required to be more accountable and transparent through access to more of its information, business and government is learning that *transformation* from "personal transactions" to online services is reducing costs, building corporate efficiency and enhancing the customer service experience. Customers are converting in droves to online banking, purchasing and information sharing through social mediums like Facebook and MySpace.

Just look at the recent closure of branches by the ANZ Bank because counter traffic is down 25% over traffic 5 years ago and more organisations will follow. Government is following suit – just consider the number of services now available online when dealing with your local authorities and Councils.

Your mission should you wish to accept it – using the same sound records management principles of identification, capture, classification, maintenance, disposal and or permanent retention – ensure the integrity of the records as you strive to provide smarter, sexier and more efficient outcomes for users. Build new and lasting relationships with those IT professionals who will provide the hardware and software before they buy

it, so that you can guide them to a solution that works for the whole organisation.

Unfortunately, trying to engage this new thinking and technology can be like trying to get a drink of water from a fire hose. It smacks you right between the eyes, drenches you, and did you really quench your thirst? If only there was some way to filter the stream so that we could drink our fill without the overpowering duress and shower.

Thankfully, through advocates like the RMAA in association with legislators, much of the excess information can be filtered so that we can get the right information, advice and anecdotal qualification to ensure we can make informed decisions. This is facilitated by our CPD Scheme, annual International Conventions, quarterly journal, monthly branch meetings, online tools and through the plethora of opportunity to network with peers.

Talk to the people who have done what you want to do – see the tools that are available and talk to the vendor community about what you want to do. Undertake the CPD Scheme voluntarily even if you aren't a professional member, so that you can increase skills, knowledge and especially your worth in your organisation and the employment market.

Doing nothing is always a choice – a choice that carries its own risk – it must never be an option for us.

SUCCESSFUL SYDNEY CONVENTION

The RMAA Convention in Sydney has been a shining success, in terms of attendance, value for money, return on investment, seamless continuity, vendor participation, programme and content. As the jewel in the crown of the RMAA's yearly event calendar, the CEO and Board are very happy with the whole Sydney experience.

These events don't just happen. They require work and planning for years before the opening ceremony. It is my pleasure to thank Kristen Keley, our Marketing and Events Manager, for making our 25th International Convention something to celebrate.

I also need to thank her able lieutenants and Co Chairs – Christopher Colwell and David Pallot, who seemed to be everywhere over the three days, hosting key notes, directing and advising delegates. The NSW Branch Convention Committee of Toni Anderson, Chris Fripp, Justin Reading, Mary Whalan, Michael Mertens must also receive their plaudits for a job well done.

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From The CEO

KATE WALKER

FRMA MAIGD AMIM, MBA, BSC (BAdm),
AdvDipBus (Rkg), DipBus (Adm)

RMAA Chief Executive Officer



Getting IT to Understand RM

RMAA has recently formed an alliance with SNIA ANZ, an association of storage and information management vendors, channel partners and end-users who are all interested in promoting the use of storage networking and information management within the IT community of Australia and New Zealand. SNIA ANZ is a chapter of the world-wide Storage Networking Industry Association which is headquartered in the United States.

SNIA's Corporate Mission Statement is 'Lead the storage industry worldwide in developing and promoting standards, technologies, and educational services to empower organisations in the management of information'.

This alliance is brought to the forefront with *iQ*'s theme of Storage and Networking, and you will find a few articles written by SNIA ANZ members in this edition.

Recent articles by SNIA members in other publications indicate a lack of clarity regarding the difference between the functions "backup" and "archiving" and the management of the records. Much of this seems to stem from the perspective of the writers, who only represent the IT and system vendors' viewpoints.

THEY JUST DON'T GET IT

The responsibility for managing data lies elsewhere within an organisation, and is based on the regulatory requirements that establish retention periods for information. An organisation's records and information management staff typically manage these retention requirements.

A few comments clearly indicate the lack of understanding of records and information management principles by the IT department, with comments such as:

"... these technologies will be only stopgap measures if the uncontrolled growth in the amount of data requiring backup isn't curtailed. This becomes a real danger when a company treats backup as a single solution for both data protection and data retention, resulting in highly ineffective and inefficient data management."

This represents an inaccurate characterisation of the use of backup tapes and technologies. Backup tapes are never intended to serve as methods for "data protection and retention", nor are they intended

for "effective or efficient data management", or any other form of data management.

They are intended for use to restore systems in the event of a disruption in operations, a system failure or a catastrophic event. If they are being used for data management at all, it's because an organisation has no records management policy in place.

"... Add on the requirement to retain the backup data for a period of years to meet data retention requirements, you significantly increase your backup overhead. An increase in data equates to an increase in costs, particularly in terms of time, money and personnel."

A common thread through that particular article leaves the impression there are no established best practices related to records and information management. First of all, those in IT need to understand that in the present environment of increased regulatory scrutiny the need for retention of information for increased periods of time is not going to go away.

FRONT-END MANAGEMENT

There will be growing needs to manage larger volumes of information for longer periods of time. Rather than finding ways to minimise the impact on their systems, they need to find ways to embrace the needs of their clients, "step up to the plate", and offer viable solutions.

The concept that IT is able to offer "solutions" to problems they are unable to effectively analyse shows the lack of understanding of meeting the regulatory challenges facing organisations. The simple evaluation of usage patterns and identifying increasing volumes isn't enough. It's going to cost more money, and the need exists to determine how much more and ensure they can meet the challenges.

"File archiving can also meet regulatory requirements for data retention, managing files with complete knowledge of the file system and document metadata, as well as knowledge of the files' content. A file archiving system moves or copies files according to the value of the actual content. They also find and retrieve individual files based on their content, which could include any number of parameters..."

This is best accomplished inside an EDRMS using rules based processes developed in harmony with the management of information, not in a

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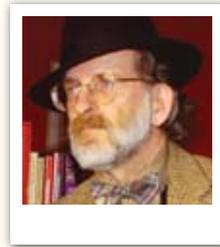
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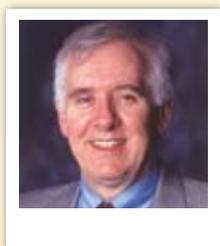
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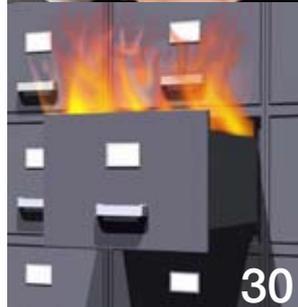
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LOUIS PASTEUR & AUSTRALASIA'S RABBIT PLAGUE?

How records allowed an incredible true story to be revealed.

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FROM THE EDITOR'S DESK

In this issue we review the RMAA's Sydney International Convention in September – in terms of delegate numbers and programme scope, the Association's biggest-ever convention.

We have a range of storage, networking and technology articles. Other authors discuss the 'big buckets' approach to retention schedules, the issue of insuring archives, take an historical look at rabbits and records, and assess an FOI study in Scotland.

And two reviewers from either side of the Tasman assess Steve Bailey's provocative new book, 'Managing the Crowd'.

OVERCOMING THE RED TAPE – WITH YOUR HELP

The theme of the February 2009 issue of *iQ* is 'Overcoming the Red Tape'. We're looking for article submissions: on legislation that affects RIM; recommendations on how to make FOI requirements work better; software solutions and work practices that make compliance easier; etc.

If you have an opinion or a case study to offer on overcoming red tape in any area in which RIMs work, we'd like to see it, by December 1.

Stephen Dando-Collins

Editor, *iQ* Magazine
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“DEAR EDITOR”...

Very Impressed

As I read the August *iQ* magazine, I was very impressed with the layout and graphics. Particularly how each article was laid out, with relevant graphics and appropriate highlighted text, and how each article blended into the next one with a similar theme and content.

Kudos to you and your team for a great publication!

Ganesh Vednere

New York City
 USA

SEND YOU'RE LETTERS TO:
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storage environment. The management of active records and information happens on the front end, not the back end of the process.

As information is generated, it needs to be properly classified/categorised, which is based on the content and establish the appropriate retention period for the information. The system should then capture and manage the information based on the required retention periods and procedures should be established to replicate and/or backup the information to meet the requirements. Backups should be retained ONLY as long as necessary to reconstitute the system in the event of a system mishap or failure.

Archiving, from the records and information management (RIM) perspective, is the long-term storage of information that has little ongoing value for daily operations and has met its required retention period. This concept isn't new, and it's well understood by both corporate and government business arenas. This information may have historic, enduring, or intrinsic value to an organisation and is typically held for researchers use. It may (or may not) be retained online, but generally it is supported by indexes or other "finding aids" and held off-line, with pointers indicating where the media that it's stored on resides.

The manner in which the storage industry (and IT in general) describes/defines archiving and lifecycle management, another concept that has been around RIM for decades, indicates they don't understand the concept of managing information as an asset to an organisation.

Now, if we could only get everyone to understand ...

Kate

continued from page 2

No event can work as seamlessly as this without the people behind the scenes – those working at the coal face ensuring that delegates, visitors, presenters, vendors and even some Board members had all the assistance they needed for a memorable event. Our staff, are the best in the business at dealing with everything that we can throw at them – you guys and girls are awesome – Tony Walker, Scott Walker, Susan Henshaw and Wendy Daw.

Thank you to our Diamond Sponsor, Microsoft SharePoint Server 2007, who also sponsored the "All that Glitters" Gala Dinner at Dockside. To you and all the sponsors, vendors and partners, we appreciate your support and commitment to the Association, our members and the profession.

On the first day of the International Convention, Chris Fripp made a presentation on his reflections of the RMAA and the profession for the last 25 years. He started with ancient history talking about the beginnings of recordkeeping back in ancient times, when recordkeepers were part of the ruling class, paid and exhorted above all others. This was an age when records were housed in fine palaces and not in the dungeons.

"Roll on history". Now that is the sort of history that I don't mind repeating, just so long as I'm around to see it. If you have a problem or concern – please feel free to contact me through the RMAA website.

David



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WORLDWIDE NEWS

OPEN TEXT RMAA SURVEY PREDICTS A/NZ RM SPEND TO GROW ON BACK OF COMPLIANCE

SYDNEY: A survey of Australasian records managers conducted by Open Text has found that 75% of organisations surveyed planned to increase their records management (RM) spend in 2009.

Open Text, the NASDAQ-listed multinational enterprise content management (ECM) vendor, surveyed 104 records managers attending the 2008 RMAA International Convention in Sydney in September.

The survey found that the key drivers for RM investment were considered to be ongoing regulatory compliance pressures, corporate accountability needs, and employee productivity.

Forty percent of respondents felt that RM will eat up a larger percentage of total IT budget investment in 2009 than in past years.

Many of those surveyed had recently been involved with new RM system deployments in their organisations. Twenty percent of organisations involved had been plagued by data quality problems during new system implementations, while a quarter considered that training to use these new systems had been time-intensive and costly for their organisations.

The biggest problems in new enterprise-wide system deployments had been in the areas of perceived lack of ease of use, integration with existing IT systems, and compatibility.

When choosing a records management IT provider, 88% of respondents considered supplier service and support to be the most important influencing factors. During the tender process, 65% of respondents had placed confidence in the vendor's track record of supporting its RM product line high on their list of 'musts'. The financial strength of the vendor was only seen as important by 25% of respondents.

Seventy-nine percent of organisations had chosen a new RM system which could easily integrate with existing applications.

A third of respondents felt that it was important to enable real-time information to employees. While 25% have given staff access to corporate records via mobile devices, 66% of respondents said that their organisations have no plans in place to make records available to employees via mobile devices.

"This survey indicates a strong resilience by organisations to continue their investment in records management in the year ahead," said Open Text's Vice President Asia Pacific, Graham Pullen, when releasing the survey results. Pullen believes that the 'culture of compliance' will continue to drive increased RM spend.

However, it should be noted that this survey was conducted just prior to the worldwide financial crisis of late September and October. Were the same survey taken today,

optimism about increased spending on RM might possibly be tempered by concerns about future cost-cutting within organisations whose budgets may be battered by the economic storm.

RMAA ELECTS A NEW PRESIDENT AND BOARD CHAIR

SYDNEY: At its September AGM, the Records Management Association of Australasia (RMAA) elected New Zealand Branch foundation member, David Pryde, MRMA, its new President and Chairman of the Association's Board.

David Pryde was immediate past Vice-President of the Association. Australian-born, Mr Pryde moved to New Zealand in the late 1990's. He worked in information management roles at North Shore City Council for eight years after emigrating from Australia. In September, too, David took up a new career appointment, as Records Manager at Auckland University of Technology.

David is the founding President of the Auckland RMAA chapter, and has revitalised recordkeeping professionalism in the 'City of Sails'. The New Zealand Branch was founded in November, 2002. The Auckland Chapter was formed six months later under David's leadership. From 2005 to 2007, David was a leading member of the committee that organised the RMAA's 2007 international convention, "Influence with Integrity", in Wellington.

David told *Informaa* NZ: "Although I hail from the land of Matilda, brumbies and the Wallabies, I have immersed myself in North Harbour football, French toast and the Hauraki Gulf.

"I am excited about the continued evolving hybrid of information and records management into knowledge management and I am passionate about the role that our Association must play. If our members are to come out of the other side of this, we must lead, have an opinion, and show the way."

NZ Branch President, Julia Harris, ARMA, welcomed the new leader, telling *iQ*: "David is a consummate professional, a great ambassador for the RMAA and for the NZ Branch, and a pleasure to work alongside. I know he'll make an excellent President."



CONVICTION FOR SELLING AFL FOOTBALLERS' HEALTH RECORDS TO TV

MELBOURNE: A couple who found the medical records of leading Australian Football League players lying in the street and sold them to the Seven Network has been convicted in the Heidelberg Magistrates Court.

Catherine Mitchell found the records lying in the street outside the Ivanhoe Rehabilitation Centre in July, 2007. She and her partner Robert Crouch sold the records to the Seven Network for \$300 and a promise of a total of \$3,000 for exclusive access to the documents. The Seven Network subsequently aired contents of the records in a news report.

The couple was fined \$300 and put on good behaviour for 12 months. There was no information as to how the records came to be lying in the street, or about any disciplinary measures at the centre responsible for the missing records.

CAIN ATTACKED FOR ATTACKING FOI SYSTEM

MELBOURNE: Former Premier of Victoria John Cain has been lambasted by the state's current Attorney-General for criticising Victoria's current Freedom of Information regime.

In August, Mr Cain, a strong supporter of the records management industry, wrote an op-ed article in Melbourne's *Sun-Herald* daily newspaper in which he was critical of the state of the current government's FOI system.

Mr Cain's government introduced Victoria's first FOI legislation in 1982. In his *Sun-Herald* article, Mr Cain said that to his mind FOI in Victoria had largely failed to satisfy all users apart from private individuals. The original intention of FOI in Victoria had, he said, been eroded over time.

The former Labor premier's criticisms came when the current Labor government of John Brumby attempted to push a package of changes to FOI legislation through state parliament.

Those proposed changes had included an extension of the response time to FOI requests to 75 days, the scrapping of conclusive certificates, the removal of fees for private users, and, most contentious of all, a ban on 'vexatious applicants'. The package was subsequently defeated in the state's upper house.

Victoria's Attorney-General, Rob Hulls, was quick to respond to Mr Cain's *Sun-Herald* article, saying that the extension of time provision had been included at the request of the Victorian Ombudsman.

Mr Cain had retorted that the government was under no obligation to accept the recommendations of its ombudsman. Mr Cain told the *Weekend Australian*, (August 16), that he was in favour of reforming aspects of the 1982 Act. Reform of the commercial-in-confidence provisions was vital, he said, for, 26 years ago it had been impossible to foresee the extent to which government would outsource work.

He also urged business to moderate demands for secrecy where public sector projects were involved, and called on the Victorian public service to be educated into dropping its culture of opposing FOI requests.

INSTEAD OF KILLING THE MARKET, SHAREPOINT HAS BROADENED IT

SILVER SPRINGS, MARYLAND: The latest enterprise content management (ECM) survey by US analyst firm CMS Watch has found that, far from dominating the ECM market, Microsoft's hugely successful SharePoint product has actually dragged competitors with it to sales success.

'Mid-market ECM vendors have become stronger and more diverse going into 2009,' says Alan Pelz-Sharpe, lead analyst on the CMS Watch ECM Report.

Far from killing the market, the survey of 30 ECM solution vendors worldwide has found, SharePoint has educated many more buyers to the need for ECM, amid growing awareness that Microsoft lacks key capabilities in the areas of Imaging, Capture and Retention, says the CMS Watch report.

In response, Laserfiche is one of several vendors to have expanded its imaging and process solutions for SharePoint.

Meanwhile, Autonomy's Meridio product is attracting buyers seeking federated compliance capabilities for complex SharePoint environments.

CMS Watch found that many mid-tier vendors are transitioning to services-oriented approaches to interoperate with the big infrastructure players such as Microsoft, IBM and Oracle.

The report says that a vendor such as Objective may appeal to buyers who don't want to deal with one of the industry behemoths but still want a platform approach to ECM. The same goes for open source vendors such as Nuxeco and Alfresco.

Meanwhile, new markets are opening up to ECM vendors who address local and regional needs. This approach has brought success for NewGen in India, InfoGrid in East Asia, EVER in France, and Saperion in Germany.

- To acquire the CMS Watch ECM Report, visit www.cmswatch.com

DOCSCORP GOES FOR LEGAL BUNDLES

LONDON: PDF integration specialist DocsCorp has partnered with LexisNexis Visualfiles in the UK to develop a document bundling solution for the legal sector.

Announcing the collaboration at the end of September, David Wollstencroft, DocsCorp Managing Director, in a press release claimed that the result would be a 'genuinely innovative and affordable solution.'

The new solution is designed to either work as a standalone offering or be integrated with LexisNexis' Visualfiles. It will enable the automation of court bundling, eliminating the current time-honoured, and time-consuming process of manually importing and collating large volumes of legal case-relevant documents into bundles and then formatting and indexing them for electronic presentation and printing.

The solution will also allow users to create PDFs from any application, combine multiple documents into a single PDF, mark up PDFs with drawings and annotations and to redact sensitive documents.

The project partners claim their solution will reduce the time involved in the case bundling process from hours, and often days, to just minutes. **iQ**

Recordkeeping Initiatives IN CANBERRA



Report by Marian Hoy, MRMA

RMAA FUNDS RECORDKEEPING EDUCATION OPPORTUNITIES FOR INDIGENOUS AUSTRALIANS

CANBERRA: At a seminar in September, a formal presentation was made by Maureen Lipinski, President of the RMAA ACT Branch, to Jill Caldwell of the Australian Society of Archivists (ASA), in support of the ASA's Loris Williams Scholarship fund.

The presentation formalised the donation of \$1,000 by the RMAA ACT Branch to the Loris Williams Scholarship fund, which was developed by the ASA to promote recordkeeping qualifications for indigenous students.

Branch President Maureen Lipinski, ARMA, said that the RMAA has a wide range of scholarships, grants and awards, and this donation by the ACT Branch adds to the commitment of the Association to promote recordkeeping education in Australia.

In thanking the RMAA ACT Branch for the Scholarship Fund donation, Jill Caldwell told the audience, "The ASA Loris Williams Scholarship programme provides funding and professional support for Aboriginal and Torres Strait Islander students of archives and records.

"Winners may spend the \$3000 available on fees, books, computing or other study costs. They are also linked with a mentor. Scholarship holders may undertake either university or VET sector study.

"The first awards were made this year, and one of our winners is at Edith Cowan University and one at TAFE South Australia. When we started out we had enough funds for two scholarships for

three years until 2010. But we would like to increase the value of scholarships and extend the programme. Your donation will help us to do that.

"Numerous government reports have highlighted the importance of archives and records to Indigenous people for more than 15 years – from the Report of Royal Commission into Aboriginal Deaths in Custody in 1991 to the Senate report *Unfinished business: Indigenous stolen wages* in 2006.

"But it was the Human Rights and Equal Opportunity Commission's *Bringing them Home: Report of the national inquiry into the separation of Aboriginal and Torres Strait Islander children from their families* (BTH), 1997 which particularly highlighted the importance of training Indigenous people for professional roles."

The scholarship fund is named after Loris Williams, the first Aboriginal person in Queensland and only the second in Australia to gain professional qualifications as an archivist. "She spent most of her working life with Telstra and its predecessors, but after being made redundant at age 42 she set out on a new career," said Jill Caldwell.

"Loris worked mainly with Queensland Department of Aboriginal and Torres Strait Islander Policy in their Community and Personal Histories Section, helping people to trace their family and community. Loris was very active in the ASA and was Convenor of IISIG when she passed away in 2005 at the much too young age of 56.

"Loris' dignity and strength is warmly remembered within the profession. She was an effective advocate for her people's right to have access to records and also for the importance of professional training for Indigenous archivists and records managers. And I can tell you that personally she was a good friend. So it is very appropriate that this scholarship should bear her name."



Tom Reding, CRM, of IBM USA, with Maureen Lipinski, ARMA, President of the ACT Branch of the RMAA

TOM REDING TALKS DIGITAL PRESERVATION IN THE CAPITAL

CANBERRA: At a post 2008 RMAA Convention breakfast seminar in the Federal capital, Tom Reding, CRM Executive Consultant, Governance, Risk & Compliance, with IBM USA, gave a summary version of his keynote address on 'Digital Preservation of ESI (Electronically Stored Information) for the 21st Century and Beyond'.

Tom urged his audience to be wary about stand alone storage solutions that did not regard business policies and procedures. He stressed that there was no 'silver bullet', rather systematic analysis and assessment were the best chance of workable solutions.

He explained many of the acronyms and tools that are emerging, such as the Open Archival Information System (OAIS) reference model.

- More information about the OAIS model can be found in a self-paced tutorial on digital preservation on the Cornell University website at: http://www.icpsr.umich.edu/dpm/dpm-eng/eng_index.html. **iQ**



Records Security Problems in Hong Kong? YOU CAN BANK ON IT



Special Report by Mike Steemson, ARMA

Fleeing back to a cool Antipodean winter from a British summer fierce with political punch-ups over lost government records, we hit Hong Kong in the middle of its own heat wave. The teeming ex-British colony is sweating in the global baking and the radiance of “the beautiful games”, its Beijing bosses’ Olympics.

Day three of mass heat, humidity and humanity: the *South China Morning Post* headlines look so familiar: “HSBC loses tape of 25,000 client calls”. Day seven it happens again: “Data leaks point to Immigration Department”. Talk about *deja vu!*

In the decade since the British lease ran out on this, its last valuable dependency, Hong Kong has changed up with a burst of apparent fabulous fortune – new and improved public utilities, extensive land reclamation and bigger and bigger tower blocks. How much of the new wealth is real is a matter of media and mogul conflict.

Other changes: The city streets are tidier because of new, swingeing HK\$1,500 (AU\$200) fines for littering, and feeding the feral pigeons. The royal crests on policemen’s cap badges have been replaced by the region’s new symbol, a representation of the native hibiscus flower. That’s also the centre of the “special administrative region’s”



sad little red flag that replaced the blue ensign of British yore.

What has not changed is more interesting. The swarming traffic still drives on the left, unlike the rest of China. The city’s huge, double-decker buses and crowded, dinky little wood-frame trams still rock through streets called Queensway and King’s Road to places like Stanley, Soho and Aberdeen. There are still underground Mass Transport Railway (MTR) stations called “Admiralty” and “Prince Edward”.

BRITISH HONG KONG PERSISTS

The Queen’s profile still appears on some coins of the realm and the Royal Hong Kong Yacht Club still flourishes in Repulse Bay, the latter named after a Royal Navy battleship. Major hospitals are still called after British royals, Queen Elizabeth, Princess Margaret, and Queen Mary, some of which had had their own

patient records losses earlier in the year. And, of course, the thronging Victoria Harbour between Hong Kong Island and its huge suburb, Kowloon, is still named after another long-lived British monarch.

So, it may not be too surprising to find the latest British disease is also there in spades: doleful, porous data security. News of such failings in Chinese government agencies is rare, which makes the *Post*’s revelation particularly extraordinary. Oriental bureaucrats are assuredly no better at records security than any others. But their media control is usually watertight.

So, when one of the region’s highest-profile, private sector giants and a public sector agency both get caught with records management failures, neither of them actually their first offences this year, that’s big news for Hong Kong and its wicked stepmother, Beijing.

The Hong Kong and Shanghai Banking Corporation, the HSBC, which with some justification calls itself “the world’s local bank”, admitted in mid-year¹ that a security contractor had lost one of 55 digital tapes being carried from a provincial service centre to Hong Kong. The acknowledgement that such data is still transported physically from A to HK, says a lot about the region’s



“THE CITY STREETS ARE TIDIER BECAUSE OF NEW, SWINGEING HK\$1,500 (AU\$200) FINES FOR LITTERING, AND FEEDING THE FERAL PIGEONS”





» « “FOLLOWING THE SECOND SLIP, THE BEST ANSWER THE DEPARTMENT COULD COME UP WITH WAS A LAME “THERE ARE NO SIGNS OUR COMPUTER SYSTEM HAS BEEN HACKED” » «

historic business culture residues and paucity of 21st C infrastructure.

The tape contained recordings of telephone conversations with 25,000 clients. The *South China Morning Post*, Hong Kong's leading English-language daily, reported that the calls “mostly related to credit card inquiries (and) business Internet banking for commercial banking customers”; highly sensitive material if finders could decode it.

GOLDEN GOOSE FOR E-RAIDERS

The massive HSBC bank is so commercially vital to the region that the *Post* got the number two boss on the Hong Kong Legislative Council's security panel, James To Kun-Sun, to comment. He warned that “the loss was a serious one and affected callers' bank accounts could be at risk”. The conversations “were usually loaded with callers' personal data given during identity checks and could be used to act against their accounts if stolen”, Mr To said.

Beijing's own English-speaking

newspaper, *China Daily*, got in on the story reporting HSBC's wide-eyed assurance that “specialised hardware and software are needed to access the recordings so the risk of data being leaked and information stolen was deemed low”. Yeah, right! In the digitally-savvy East, that's a problem for the cyber-sinners?

Both papers gleefully recalled the bank's earlier loss of a whole computer server, containing account details of somewhere between 55,000 and 159,000 customers, depending on which bank statement to believe, when another branch was being renovated; a Midas touchstone for Internet thieves if they could get into it. The *Post* said the bank “drew fierce criticism” over the breach and its Hong Kong boss later apologised.

Four days after the new HSBC breach, the *Post* revealed the Government agency failure: an Internet file-sharing program showing textual memos and minutes with names and other personal details on immigration offences by

foreign domestic workers. It was, said the *Post*, the Immigration Department's second leak in three months.

In the earlier leak, 27 files, most marked “confidential”, had been found on the same Internet site identifying individuals, travel documentation and an internal report on mistakes made by immigration officers. To make amends after that disclosure, the Immigration Department's chief signed a formal undertaking with the Hong Kong Privacy Commissioner making 10 changes to the department's security procedures.

Following the second slip, the best answer the department could come up with was a lame “there are no signs our computer system has been hacked”.

It all closely echoed the earlier British recordkeeping scandals that included lost digital data disks and a set of secret Ministry of Defence Iraq War intelligence papers and assessments of Al-Qaeda's vulnerabilities left on a railway carriage seat and handed to BBC Radio by a “concerned member of the public”.

BROMIDES AND THE USUAL SUSPECTS

British Home Secretary Jacqui Smith was questioned excitedly about those losses by Opposition MPs in the House of Commons and came up with the usual suspects and standard political bromides: middle management failings; policy reviews of data security systems.

As if they weren't already perfectly well

set out. The UK's own National Archives offers extensive, fully comprehensive recordkeeping guidance and public sector rulebooks bristle with security regulations.

The UK media joined the fun with dark suggestions of civil service security apathy; perish the thought, but probably the root cause.

That was no comfort to records guardians, like those attending the year's Silver Jubilee conference of the Records Management Society of Great Britain in April. They had no doubt where the fault lies: top management ignorance, perpetrated by subordinates reluctant

to rock budgeting boats and jeopardise high value work-place bonuses.

In Hong Kong, the media was soon taking the mickey, too. *South China Morning Post* City columnist, Ben Kwok, discovered an HSBC subsidiary company promotion trumpeting: "At HSBC Private Bank we understand that things do change, including what looks safe today." Columnist Kwok gibed: "You can say that again. We hope the advertising copywriter wasn't trying to be funny because we doubt (the clients involved) will get the joke."

It will probably be a long time before anyone admits responsibility or the

extent of damage in either London or Beijing although, in September, the Hong Kong Government earmarked HK\$35 million (AU\$5 million) to beef-up its hospital patient records security. While worldwide chief executives continue to ignore basic records management, State and commercial secrets will continue to leach into the hands of the ungodly to the momentary embarrassment of corporation captains and monetary burden of the poor bloomin' taxpayer/shareholder. **IQ**

Endnote

1. *South China Morning News* and *China Daily*, Friday July 4, 2008.

Report author Mike Steemson surveys steamy Hong Kong from on high, as he looks into its data security problems



Is the Sky the Limit?

One Solution to Make Your Data Both Accessible and Secure. Can the Vendor Deliver?

In the digital age, data storage and protection is top of mind with RIMs. As CommVault chief **GERRY SILLARS** tells *iQ*, CommVault, once seen merely as a backup technology specialist, has developed a product which it claims caters for both disaster recovery and routine e-document indexing and archiving, at the same time providing high levels of security, all in the one package.

Interview Snapshot

- CommVault's Simpana product has been eating big slices of the market once dominated by the likes of Symantec
- CommVault recognises that their product reaches beyond the realm of IT and into the RIM world

iQ: Gerry, CommVault has an interesting history.

GS: Yes, it started out in 1988 as an independent Bell Laboratories unit under the US AT&T communications umbrella, then spent time with Lucent Technologies as an owner. It became the subject of a management buyout in 1996.

iQ: When and how did your own involvement with the company begin?

GS: I joined CommVault in 2001 initially running the company's operation in Scotland, Ireland and the North of England.

iQ: What is the company's history in Australia & New Zealand?

GS: I moved to Australia in October 2002 to set the local subsidiary up. Prior to that we had a few customers in Australia, predominantly in Canberra.

iQ: CommVault has a number of clients Down Under now?

GS: We have significant number of customers in A/NZ now, and a large team here supporting them and selling to the large volume of new customers we pick up on a quarterly basis.

iQ: You have an airline and a major government scientific organisation on your client list. Do you lean toward any particular industry?

GS: The nature of our product means it fits every vertical market. Our business has a great spread both geographically in A/NZ and by vertical.

iQ: How many seats do your Australian system sales typically involve?

GS: The product will scale from a single server up to multiple thousands of servers. Our largest customer in Australia has several thousand servers.

iQ: Are there any emerging industries that offer potential for your products?

GS: Oh, yes. There are a number of emerging industries that are well suited to our technology. Archiving of email and file content in general continues to be a strong market for CommVault.

E-discovery is a market gaining rapid momentum worldwide, specifically in relation to data privacy and civil procedure requirements. Also, information access, flexible longer term ECM, DMS and records management retention, categorisation and exploitation are growing market requirements.

iQ: CommVault has been seen as an IT backup system vendor in the past. What is CommVault's focus today?

GS: CommVault has a unified approach to all aspects of data management from a single technology base. The addition of archiving and compliance solutions over recent years together with

advanced search/indexing and single instance data consolidation capabilities has enabled its solutions to address a broad range of IT problems from a single management platform.

These include consolidation of backup and archive data using advanced object level single instance to the broader search access and e-discovery of indexed content from backup, archive, online and offline data sources.

iQ: Who do you see as your major competitors?

GS: Generally, Symantec & EMC. However, in specific markets including archiving and e-discovery, companies like Autonomy (Zantaz) & Mimosa.

iQ: What can CommVault's flagship product do for the records and information industry?

GS: CommVault's unified data management technology is called Simpana, and it provides specific capability for the archive and data protection of content within a records management, ECM or DMS system – for example, Microsoft SharePoint.

Simpana has industry-leading capabilities for granular backup and recovery of file and document's from these environments. In addition, its archiving capabilities allow documents from all environments to be consolidated physically within online and offline media, rapidly reducing storage footprint and cost whilst maintaining virtual representation.

In terms of records management, our archiving solution provides flexible and efficient long term retention based on the archiving of documents by version, type, size and access together with a host of other policies.

iQ: What, to your mind, sets your product apart and makes it attractive to RIMs?

GS: Our key differentiators in terms of archiving and backup of RM data range from speed of single item recovery in terms of backup, the broad range of archiving policies available for document content, fast indexing and search, and integrated data security including 5 levels of encryption.

Everything from data backup, archive and replication can be managed from a single technology, single management interface and in turn a single infrastructure that can easily be scaled according to organisational requirements. Traditional views of data management involve implementing separate technologies, infrastructure, management and resourcing for backup, replication, archiving, SRM, snapshot and mirroring. Put simply, CommVault's Simpana delivers all these capabilities from a single code base.



About the interviewee

After transferring from the UK office of CommVault to become the company's Managing Director for Australia, New Zealand, and ASEAN, in little more than five years GERRY SILLARS has taken operations here from a staff of two to more than 40, with over a1,000 clients. In the last quarter, Gerry led the company in securing 90 new clients, with 70% of those new clients switching to CommVault from Symantec or similar vendors.

iQ: What can Simpiana do in the archiving area that other products cannot?

GS: What differentiates Simpiana is the way in which it rationalises data process and storage. For example when archiving documents from a file system, if it finds multiple instances of the same document that require archiving it rationalises these with any documents already archived that are the same - single instance storage - but also doesn't physically move the data if it already has a copy. Many traditional archiving solutions would move the data in every instance and then try to rationalise, which is unnecessary.

Simpiana also has industry leading object level single instance storage that allows the consolidation of files, documents and email attachments without the need for specific hardware such as CAS - content addressable storage. Simpiana also benefits from other integrated capabilities that other archiving solutions have to "add" with little integration. An example is encryption, something which is difficult to integrate with bolt on technology due to the complexity of longterm key management.

iQ: What about email archiving?

GS: Simpiana has a full suite of archiving capability including offline management of archive storage for end-users away from the office. It also has incorporated the fastest ingestion of Outlook PST files into an archive today, operating at speeds of 25GB per hour on average. Most other solutions operate at between 4-6GB per hour.

iQ: The replication aspect of CommVault's Simpiana platform sounds intriguing. How does it work, particularly in a disaster recovery situation?

GS: Scheduled data protection operations are no longer an effective disaster recovery (DR) strategy, especially when customers need to recover data as close as possible to the time of failure. Moreover, with the global nature of operations, exclusive backup windows no longer exist. You need to capture data and copy for DR as soon as it is created. This is especially true for data in remote offices where there is little control over it, and skilled data management administrators are lacking.

CommVault Continuous Data Replicator constantly monitors the data on production systems for changes and makes a near real time copy of the data at a secondary location, thus providing an immediate DR copy.

Additionally, with the ability to create application aware recovery points or snapshots, CDR provides multiple point-in-time copies to which data can be recovered to quickly. As with every other component of our suite, CDR is also closely integrated with the Simpiana architecture to provide the same powerful management interface.

An interesting application of replication, in conjunction with our Single Instance Store, is the ability to automatically and efficiently replicate archives and backup sets transparently, providing a DR copy of the archive or backup set. Moreover, recalls from the archives are transparent; if the original archive is unavailable objects are automatically recalled from the replica.

iQ: Can any one of Simpiana's modules can be deployed individually?

GS: Oh, yes. For instance, archiving of email can be deployed with alternative backup technology. This still allows an organisation to gain significant single instance and indexing benefit from stand along archiving.

iQ: Many of our readers have installed or are installing EDRMS products from the likes of Tower, Objective, Avand

» "THE TYPICAL PROBLEM IN MOST ORGANISATIONS IS THE IT-BUSINESS DISCONNECT" «

and KnowledgeOne. How can they integrate the CommVault product with those systems? And would they want to?

GS: In terms of backup, integration is seamless, as CommVault can support the majority of underlying database technologies for these solutions. In terms of broader archiving and data management integration, that can occur at a number of levels including file and index. Whether integration is required is dependent on the nature of the information and data to be managed.

iQ: Can you give us a brief problem and solution case study scenario about how your product has saved an organisation's data when it might otherwise have been lost?

GS: Sure. A large US organisation has implemented a Simpiana SharePoint & Exchange email archiving solution for its 10,000+ mailboxes, but also a compliance solution via email journaling. They also back up both their Exchange and SharePoint systems with Simpiana.

Although the physical storage requirement for document, mailbox and journal archives, together with backup, is consolidated and single-instanced for reduced cost, all content whether in archive or backup is content indexed. This customer uses Simpiana's advanced searching technology to provide a complete e-discovery process for their freedom of information act requests including the identification, collection and preservation - legal hold - of relevant records.

This has significantly reduced their e-discovery costs and provided a complete solution for the search and 'indexification' of both online and offline data sources in a way which does not impact live systems.

iQ: Some vendors in the past have aimed their sales pitches exclusively at IT people, the implementers of technology. What role do you see for RIMs in convincing their organisations to consider your products?

GS: The typical problem in most organisations is the IT business disconnect. Vendors have typically focused on IT because from a data perspective when considering backup it is a known and understandable area. The problem is with indexing and search technology, coupled with long term information retention requirements today's organisations face an information management and strategy challenge that reaches beyond the domain of IT.

Organisations are having to take ownership of their information requirements at a business level to understand what information they want to manage and retain. RIMs are key individuals in helping organisations to bridge the gap between the information needs of the business and the underlying IT solutions that can better manage the resultant data.

iQ: Where does CommVault see the future of data and information management?

GS: Put simply this, is in two areas. Better information access to all content across the enterprise regardless of location, media and application for improved productivity and reduced business risk. The future is all about unified management of data for reduced cost of storage and processing. **iQ**

RFID in the Legal Environment

RFID is a proven technology for document and records tracking in law firms and legal departments, with the earliest implementations beginning in 2001. The technology has received much publicity in recent years, and the diversity of applications has created some confusion and misunderstanding. This article is intended to provide a practical foundation in the application of RFID, as well as critical considerations for implementation of the technology.

BY TOM PEMBERTON

Before considering the use of RFID technology for your firm or department, it is important to understand the capabilities and limitations of the technology within your environment. As a technology, RFID has a lot to offer. Not only is it such a unique technology, but dramatic changes in the technology recently have opened a world of new possibilities.

Story Snapshot

- New developments in RFID technology have made it more effective and more cost-effective as a records tracking tool
- In the legal environment in particular it is proving its worth



RFID has provided many advantages over bar code technology since the mid 1990's. The ability to read stacks of tagged files at once without requiring line-of-site was RFID's chief advantage. However, the cost of tags in the US at about one dollar each, and short read ranges – ten inches (25 cms) at best – prevented wide-spread adoption. It would take a whole new generation of RFID technology to make it economically viable.

GEN2 TECHNOLOGY

In 2006, a new RFID standard called Gen2 fixed the limitations of HF RFID. Gen2 operates at a frequency of 915 MHz and was designed primarily to meet the requirements of Supply Chain Management. These requirements are not dissimilar from the requirements of tracking in a legal environment: tracking items that move among many locations, unattended capture of tracking data, a high degree of accuracy, and a long read range.



In contrast, HF operates at a frequency of 13.56 MHz, has short read ranges and is attended (requires deliberate action by a person). While HF will continue to be used in entrenched markets, such as Library, the bulk of all R&D dollars and manufacturer production will be for Gen2. Gen2 delivers significant advances in RFID capabilities, including:

- A reduction in the cost of RFID tags by 50% to 60%.
- Read ranges increased from 10 inches up to 12 feet.
- Read cycles increased to 400/second.
- Eliminating interference with shielded electrical devices.
- Tag-dense reading improves reading.

The improved performance and lower cost of Gen2 technology have made RFID viable for law firms and legal departments of all sizes.

The Disposable Tag

One result of Gen2 technology is that RFID tags are finally considered disposable. Many of our clients who implemented HF RFID, such as the US Department of Labor and NIST, devised special procedures to re-use their tags because of the high cost of HF tags. Clients implementing our Gen2 solutions are not re-using tags – the cost of labor to remove and reapply the tag is higher than the cost of the Gen2 tag.

Relaxed Tag Placement

Another result of Gen2 technology is that placement of RFID tags is no longer a concern. With HF RFID we had to train clients to place tags randomly because tags that were aligned in a stack of files would not be read. The tag-dense performance of Gen2 makes it cheaper to buy your folders and filing media pre-tagged, which saves a lot of labor.

PASSIVE TRACKING™

The new capabilities of Gen2 RFID have allowed FileTrail to pioneer the concept of Passive Tracking. Passive Tracking provides continuous automatic tracking as files move from desk-to-desk and office-to-office without need for staff compliance. The files virtually tell the system where they are.

One of the downfalls of bar code tracking systems is that they require active participants. The fact that attorneys and staff will not use the tracking system is so widely accepted that many law firms have no tracking system. These firms see little value in knowing who checked out a file when the file never remains with that person.

Yet other firms have remedied the shortcomings of bar code tracking by implementing an audit process. Each week staff use portable scanners in every cubicle and office to update the locations of files. Even with this effort the tracking system is only accurate once per week and somewhat accurate for the next few days.

RFID solves the problems of the bar code tracking system, eliminating searches and saving labor. In the lowest-cost implementation, RFID cuts audit labor by over 80%. At Sughrue Mion, the weekly audit of 5,000 to 6,000 files at 200 offices and cubicles used to take 32 hours. It is now done in about 4 ½ hours using FileTrail RFID.

In a full RFID implementation Passive Tracking captures every movement of every file, from desk-to-desk and office-to-office.

Sophisticated Middleware, designed to accommodate the processes found in law firms and legal departments, manages communication with Gen2 RFID readers and forms transactions for the RM system.

In a full RFID implementation attorneys and staff go about their normal activities. With proper placement of readers files virtually tell the system where they are. One Top 20 law firm that has implemented FileTrail discovered happily that with full coverage there is no longer a need to perform the check-out or check-in processes in their RM system.

HOW YOU CAN USE RFID

RFID is a powerful technology for automating processes in law firms and legal departments that are currently performed manually or using bar codes. There are several locations where processes can be impacted by RFID technology.

File Room Workstations

A key place where RFID is implemented is at workstations in the file room. At these workstations an RFID reader is directly-connected to the PC and is used to automate basic processes, such as check-in and check-out.

The RFID reader at a clerical workstation is also used in the most critical RFID process – cataloguing new items. As new files are being created an RFID tag is applied. Depending on your choice of methodologies, the reader will either be used to program the tag with a value, or to retrieve the value from a pre-programmed tag.

The decision of whether to program tags or use pre-programmed tags is an important decision with ramifications. However, your choice may be made for you by the selection of a vendor. FileTrail is architected with the processes to either use pre-programmed tags or program your own tags – few vendors support both approaches.

After-hours Workstation

Many law firms have workstations set up to make it convenient for attorneys to check out files they take from the file room after hours. Compliance is generally reported as being very low.

RFID eliminates the need for compliance. In most cases the attorneys can only access the file room using their security badge. The combination of a badge reader and a Gen2 RFID reader make the check-out process automatic. A monitor displays it all for the attorney to see, raising awareness that a new tracking technology is in place.

Automatic Check-In

RFID can be used to eliminate the check-in task in the file room. This saves time, but also avoids the fruitless situation where staff may be searching for a file they think is checked out, but is really sitting in the file room waiting for someone to check it in. A pair of RFID readers inside the file room door automatically read tagged files that come in the door.

Cubicles & Offices

One of the biggest issues with tracking systems in law firms and legal departments is that the files move after being checked out. After the first move, the tracking system is no longer accurate. Gen2 RFID provides the first practical solution to this problem.

The long read ranges of Gen2 RFID provide the ability to passively track files. With read ranges up to 12 feet (4 metres), RFID readers can be placed in the ceiling, under the desk, or

in the wall to track the movements of files from desk-to-desk and office-to-office. Each reader is associated with a specific person via the Middleware, allowing the RM database to be updated with the current location of each file.

There are a variety of readers available for the cubicle or office. In general, there are readers that connect to a workstation via USB or serial port, and readers that connect to your Ethernet network by standard cabling. Determining which is best for each situation in your environment should be part of a vendor's Site Survey.

Common Areas

RFID technology can also be used to track the locations of files into common areas. In the normal workflow, files often end up coming to rest in a case room, war room, conference room, or other area. Determining which locations have enough value to be worthwhile as a tracking location is something that your vendor can help determine.

Exits

One of the most interesting capabilities of RFID technology is the ability to use it in conjunction with other technologies and business rules to monitor exits. While this is most significant in high-value environments, like museums, it does have some value to law firms and legal departments.

As a partner in one firm remarked to me, the abilities to track, assign a location, and conduct inventories of assets with RFID are great capabilities but do little when a \$20,000 Chihuly glass sculpture is missing.

Exits can be monitored with the same type of readers used in offices and conference rooms. The difference is the application of business rules, combined with email, lights or alarms to alert staff when an item that should not go through a doorway has done.

RFID ON A PORTABLE PLATFORM

A portable RFID reader is one of the most valuable, time-saving tools for a law firm or legal department. Today's portable RFID readers are built on a standard PDA platform running Windows CE. A color touch screen makes operation simple and intuitive for anyone.

A portable RFID reader automates several common processes:

- **Locating Missing Files:** The single-most valuable function of a portable RFID reader is hunting for desperately needed files. The conventional approach involves manually searching every drawer, cabinet, and stack in every office and cubicle. Gen2 portable scanners can be adjusted to read up to five feet (152 cms), which make sweeping through an office very fast and reduces the disruption to attorneys and staff.

- **Office-wide Audit:** A portable RFID reader can complete audits of desks and offices in about 20% of the time as a bar coded inventory and 5% of the time of a manual inventory, with much less chance of inadvertently skipping some files in the process. Locations of files will be updated. The ability to get a reconciliation report depends on the capabilities of your RM system.

- **File Room Inventory:** A portable RFID reader can complete file room inventories quickly. An order-checking process can help you find missing files. The portable device will alert you to items that are out of place. However, if you have more than a few thousand active files, using colour coding is much more efficient from a labor stand-point.

- **Boxing Files:** A portable RFID reader speeds the process of boxing files for storage. Typically, boxes are only bar coded, which is okay as most portable RFID readers also contain an integrated laser scanner. The vendor software on these readers is typically built to use bar code and RFID interchangeably.

- **Shelving Files:** A portable RFID reader can assign files to a shelf. This is useful in an environment where the shelf-specific location is important, as when using dynamic filing



» “REMEMBER, JUST BECAUSE YOU HAVE A SHINY NEW HAMMER, NOT EVERYTHING IS A NAIL” «

system where files are re-filed on any shelf that has space and sorting is only done within the shelf. These file rooms typically do not use colour coding – if you are using colour coding this capability has no value to you.

PRACTICAL IMPLEMENTATIONS

Implementing a practical RFID solution does not necessarily mean you will automate all of the areas discussed previously. The unique attributes of your environment determines which areas warrant automation. Your vendor's Site Survey will determine much of these.

Below are generalised descriptions of three scopes of automation that are common, and areas where these are most applicable:

- **Full Coverage:** Full Coverage applies the Passive Tracking concept and automates tracking everywhere including the file room, cubicles, office, and common areas. Files are tracked from desk-to-desk and office-to-office automatically, without any participation by attorneys or staff. Full Coverage solutions are economically viable for IP Practices of large law firms, boutique IP law firms, and large (Fortune 500) legal departments.
- **Cubicle Coverage:** Cubicle Coverage automates tracking among the file room and staff cubicles. Files are tracked from desk-to-desk automatically, without any participation by staff. Cubicle Coverage solutions are viable for IP Practices of large law firms, and boutique IP law firms where person-to-person file transfers are normally handled by secretaries, and require less hardware than full coverage solutions.
- **File Room Coverage:** File Room Coverage automates all file room processes, including check-in, check-out, archiving, and more. In addition, a portable RFID reader is used to conduct periodic audits. File Room Coverage solutions are economically viable for large law firms, and small to medium sized legal departments. They provide good results with a minimal investment.

COMMON CONCERNS

There are several common concerns and traps in an RFID Tracking Solution:

- **Over-Reliance on the Technology:** Organisations acquiring a new technology tend to treat it as the solution to some issues for which it was not intended. RFID is a tool for tracking, as bar codes are. It can be used for detecting files out of order on the shelf – but it is not as cost-effective for this as colour coding. Remember, just because you have a shiny new hammer that you are proud of, not everything is a nail.
- **Selection of locations:** It is easy to overdo the selection of locations for RFID equipment. Always keep in the forefront of your mind that you are looking for locations where files come to rest in common workflows. Your vendor will help you stay focused on the value of each candidate location during the initial Site Survey.

- **Too much too fast:** It is easy to get excited about RFID and its capabilities. However, practicalities of what can be done in a short time, as well as budgets, may mean that you want to plan a multi-phase implementation. At the start of an RFID project there are many things to do that take time to complete, like tagging the active files.
- **Interference:** All RFID equipment is FCC regulated to limit interference. It is possible that poorly shielded equipment containing speakers will be disrupted if very close to an RFID reader. This will not happen with quality office equipment. Any issues of interference should be discovered and resolved during a vendor's initial Site Survey.
- **Safety:** Questions always arise about safety. In the US, all RFID equipment is FCC regulated to ensure safety in the work environment.
- **Architecture:** An RFID solution should be well-architected with a full set of offerings. A well-designed application should leverage the investment by tracking files, library materials, equipment, artwork, and other assets on a single RFID infrastructure. The ease with which tracking data integrates into the appropriate applications is important.

SUMMARY

RFID is a proven technology for tracking in law firms and legal departments. Recent advances in the technology have made it affordable to law firms and legal departments of all sizes.

Gen2 RFID eliminates the issues of compliance that have been the downfall of bar code tracking systems. A vendor Site Survey will help answer a lot of questions and determine good locations for tracking and what type of equipment to place there. **iQ**



About the Author

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experience in records management [RM] software began in 1991, consisting of various positions including development, product management, and consulting.

Tom has been implementing various RFID technologies since 1999, and has been with FileTrail since 2001. He holds an MBA from Haas School of Business, University of California at Berkeley, and a BS in Business Administration and Computer Science.

- Tom can be reached at tpemberton@filetrail.com.
- To learn more about the technology discussed here, go to www.filetrail.com. or www.rfid-file-tracking.com.

Solving Digital Preservation in the Business Data Centre

In the last five years, a radical shift has taken place in the data centre. The requirements of the business now dictate that digital information be retained long-term. But what is long-term? And what new standards are required to meet this radical shift?

BY PETER MOJICA, MICHAEL PETERSON, SIMONA RABINOVICI-COHEN, AND GARY ZASMAN

Based on the research¹ of the SNIA's Data Management Forum (DMF), long-term today is "Any period over 10-15 years is long-term." It is the period of time beyond which a data centre storage practices start losing information because their retention and preservation technologies are inadequate.

The DMF's research shows that regulatory compliance risk, legal risk (discovery), security risk (privacy), and digital asset preservation requirements have changed the game. The DMF's "100 Year Archive Requirements Survey" (Jan 2007) provides confirmation. According to respondents, the top five external factors driving current retention requirements are all driven by the "business."

Top five Retention Drivers

- 1 Protection and **preservation** of the organisation's history
- 2 Meeting regulatory requirements
- 3 Concern with litigation protection
- 4 Protection of business or intellectual property assets
- 5 Protection of customer privacy

MOVING FORWARD – NEW STANDARDS REQUIRED

The time dimension of the business problem is that very few organisations believe that they can actually meet these long-term retention and preservation requirements. The industry lacks a cohesive set of standards and best practices that will

Story Snapshot

- New data storage challenges require new strategies and initiatives worldwide
- New and emerging standards developed by SNIA are addressing the urgent issues

allow retention and preservation practices to start small and yet scale to the requirements of the data centre.

It is one thing to keep several hundred GBs around for 50 years, where you can archive or try to virtualise the storage environment itself, periodically migrating the information to new and improved media solutions in order to preserve it. It is quite another thing to deal with the needs of a typical data centre, especially a petabyte size information repository that is growing at 30% to 50% per year. Just the migration costs and time to migrate alone are prohibitive, not to mention the issues of preservation.

In addition, all the cost and work associated with retaining information for the long-term may be useless unless you can prove its authenticity and integrity, verify its provenance, audit its accesses, and understand its context.

For example, what's the benefit for your company in presenting information in court and not being able to 'prove' its integrity and authenticity? Actually, the inverse might be worse – a fine for presenting unverifiable or incomplete information. Successful preservation requires maintaining a comprehensive set of information attributes such as those outlined in Figure 1 on page 22.

About the Authors

This article was jointly written for *IQ* by the leadership of the SNIA Data Management Forum, Long Term Archive and Compliance Storage Initiative (LTACSI):



PETER MOJICA, Co-Chair, SNIA DMF LTACSI Reference Guide Committee, AXS-One.



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A WORLDWIDE EFFORT

The challenge of digital information preservation is complex. New practices and standards are needed. Many organisations are working on addressing this problem around the world as Figure 2, on page 23, illustrates.

SPECIFIC SNIA INITIATIVES – XAM AND SIRF

The SNIA eXtensible Access Method (XAM) and Self-contained Information Retention Format (SIRF) standards activities are designed to benefit all of the respective members of the information and application ecosystem – the storage vendors, application developers, and the information using communities.

The XAM interface specification “defines a standard access method (API) between *Consumers and Providers* (such as applications and storage systems) giving each the intrinsic knowledge needed to effectively participate in the long-term access and preservation of digital content.

One of the benefits of XAM is *interoperability* where applications can support any XAM-conformant storage system, allowing greater end-user flexibility with migration processes, across the ecosystem, and ensuring long-term readability. With XAM, technology-obsolescence is avoided through the standard application-independent structure.

The newly initiated SIRF standardisation effort, proposes a logical container format appropriate for the long-term preservation of digital information. The result will be a Self-Describing Self-contained Information Retention Format (SIRF) that will work in conjunction with other interfaces to ensure that users, applications and storage platforms can share information saved in a logical container, encapsulating both the content and associated *preservation* metadata, across various applications and storage systems.

This data format will provide data portability and accessibility even when the originating application is no longer available, providing content independence from proprietary applications.

WHERE IS THE WORLD GOING?

There is no turning back. New and emerging standards such as **XAM** and the recently initiated **SIRF** are underway and suited specifically to deal with the urgent issues of application independence, content mobility and accessibility, which are just a few of the many issues affecting retention and preservation.

These standards will eventually ensure that each member participating in the management and retention of digital information can effectively communicate and interoperate across physical and logical storage layers, and across a span

continued on page 49

Figure 1: Digital Preservation Requirements

PRESERVATION ACTIONS AND REQUIREMENTS		THINGS TO CONSIDER...
Future Readability	Ability to interpret the data in the future even when technologies for computer hardware, operating systems, data management products and applications are replaced with newer ones – and even as the data consumers (designated user-communities) change frequently.	Generic “viewing” technology and formats such as TIF and PDF are not adequate preservation methods for long-term retention. Properly preserving information includes protecting and providing “content and its context,” “meta-data plus accrued meta-data,” and “provenance and fidelity.” All of these are needed for complete and accurate [authentic] preservation.
Integrity	Data, including meta-data and log files, must be “correct,” “complete”, and unchanged.	Integrity extends to newly created data such as indices, and <i>correctness</i> and <i>completeness</i> extends to search and discovery. Both retention and preservation are rendered ineffective if search results yield incomplete or partial result sets or different copies of the same version.
Authenticity	Original information must be both maintained and verifiably proven to be unaltered. This is a paramount requirement for preservation.	Consider write-once, read-many (WORM) media as well accepted hashing methods for proving that your stored file is the original. Other proofs for authenticity include the access logs, provenance, chain of custody, and security records.
Meta-data	Both original meta-data and “accruing meta-data” must be preserved as “authentic” and maintained with original data (not separate and apart).	Meta-data considerations and planning should include re-indexing operations which can be performance and time intensive.
Audit	Un-audited data puts businesses at risk. Complete records of access and “use” must be maintained as “authentic.”	Consider “ <i>transparency</i> ” of electronic audit requirements through regularly scheduled quality control checks.
Electronic and Process Chain of Custody	Helps to establish the authenticity of evidence, proving it has been preserved from point of capture through its life cycle with complete audit of both manual and electronic reviews, and transportation.	Consider using binary signatures meta-data to log <i>How</i> and <i>Who</i> handled data – <i>chain of custody</i> includes electronic system processes including automated logical migrations, file integrity checks, compression and other system processes which interact directly against original data.

Figure 2: Example World-Wide Efforts on Long-Term Digital Information Retention and Preservation

ORGANISATION	STANDARD/PROJECT	WEBSITE	KEY ROLE(S)
CASPAR – Cultural, Artistic and Scientific knowledge for Preservation, Access and Retrieval	Integrated Project co-financed by the European Union within the Sixth Framework Programme	www.casparpreserves.eu	CASPAR will research, implement, and disseminate innovative solutions for digital preservation based on the OAIS reference model (ISO:14721:2002)
InterPARES	InterPARES 1, 2, and 3	www.interpares.org	Dealing with issues of authenticity, reliability, and accuracy during the entire lifecycle of records
ISO	OAIS, Open Archival Information Systems, ISO 14721-2003	http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=24683	The purpose of this standard is to establish a reference model and a system for archiving information, both digitalized and physical, with an organizational scheme composed of people who accept the responsibility to preserve information and make it available to a designated community.
NARA – National Archives and Records Administration	Electronic Records Archive, ERA	www.archives.gov/era	The “ERA” project will establish the “Archives of the Future,” which will preserve, manage and provide sustained access to all types of e-records, independent of any specific type of software or hardware.
NDIIPP – National Digital Information Infrastructure and Preservation Program	The Library of Congress – Digital Preservation	http://www.digitalpreservation.gov	The Library of Congress is the nation’s oldest federal cultural institution and serves as the research arm of Congress. It is also the largest library in the world, with millions of books, recordings, photographs, maps and manuscripts in its collections.
National Archives of Australia	Australian Government Recordkeeping Metadata Standard	http://www.naa.gov.au/records-management/publications/AGRkMS.aspx	Definition of recordkeeping metadata defined as structured or semi-structured information that enables the creation, management, and use of records through time and across domains. Recordkeeping metadata can be used to identify, authenticate and contextualise records and the people, processes and systems that create, manage, maintain and use them.
SNIA – Storage Networking Industry Association	XAM – (eXtensible Access Method)	www.snia.org/xam	XAM is a new standard in development by SNIA. It specifies an application-to-storage interface that allows storage independence and allows applications to add metadata to the data containers for management purposes.
SNIA – Storage Networking Industry Association	SIRF, Self-contained Information Retention Format	www.snia.org/forums/dmf	A new standard in development by SNIA to address logical migration and the long-term preservation and retention of digital information.



The Five Point Diagnosis: Creating better public sector information management systems by knowing why they fail

When an IM system isn't working, productivity is low, frustration and stress levels are high, stakeholders complain. Rather than searching blindly for a cure, there is a key to a good solution.

BY JON BARRETT

Story Snapshot

- There are 5 main ways that information management systems fail
- Diagnosis of the problems opens the way to a solution that works across the board

A successful Information Management system is one that strikes the right balance between productivity and compliance, and is easy to use.

Earlier this year, the National Archives of Australia (NAA) worked with the Australasian Digital Record Keeping Initiative (ADRI) to develop a national standard for recordkeeping software to help strike that necessary balance between productivity and compliance.

Microsoft Office SharePoint 2007 with third party add-on features is compliant with these requirements, as well as being certified against the VERS format developed by the Public Records Office of Victoria, and the records management standard ISO 15489.

As an Information Management Solution Specialist, I work every day with system integrators and government departments to implement IM systems based on SharePoint. After many years in the Australian marketplace and with 100 million users and 2400 partners globally, we see SharePoint as being a mature solution to the common IM problems.

The public sector provides perfect examples of what IM practices do and don't work, because of many factors that are even more acute in this sector:

- Government agencies attract significantly more public scrutiny than their private counterparts;
- They handle incredible amounts of information and must flex to keep up with policy and legislation changes;
- They handle extremely sensitive information;
- They struggle to attract and retain younger staff.

1 IS YOUR CURRENT SYSTEM EASY TO USE?

Numerous problems arise when an IM system is difficult to use. The main one being that the system generally won't meet compliance standards, and productivity will be low. The system may be technically brilliant, but if it's difficult to master, there will be flow-on effects.

Employees will revert back to old, inefficient habits, like saving documents to share drives or relying on email folders to store and distribute items.

Also, the cost of training increases. In a small organisation, sending ten people for training isn't a problem, but when in a government department with 4,000 employees, the cost of a two-day training session is compounded by 8,000 days of lost productivity.

Withholding training is unsustainable; it leaves you with an ineffective, unhappy workforce carrying the burden of operating a difficult system.

Lastly, and this is true for all information technology, if the system interface is tricky to navigate, it's as frustrating and ineffective for the user as having one that doesn't work. Even the best information system will be unproductive if difficult to use.

John Wise from Wise Technology has recently worked on SharePoint-based implementations with government agencies such as SA Water. He has found SharePoint to be at the more intuitive end of the spectrum, and has the benefit of incorporating recordkeeping functions into the document creation process.

"We surveyed the employees at SA Water before we began the implementation and it showed that staff inherently wanted to do the right thing and generally tried to save documents in an organised manner. Unfortunately, from a management perspective they didn't have the right tools," said Wise.

“The key vision for the implementation was right information, right time, right place, and that’s what we delivered using SharePoint and Microsoft Office 2007.

“Before the implementation, employees were losing track of document versions because they were saved in share drives rather than being filed into an accurate recordkeeping system. What appealed to SA Water about SharePoint was the fact that the document templates could be organised with inbuilt metadata classification, so enough information is collected as the document is being created to then store it correctly.

“If recordkeeping is a chore to be completed at the end of the process, it doesn’t always get done, but no-one has to worry if your system is set up to automatically capture the right information and file it in the right place from the outset,” said Wise.

2 HOW FLEXIBLE IS YOUR CURRENT SYSTEM?

An IM system needs to be flexible enough to work across the whole organisation and readily adapt to change.

Departments need to be flexible in the way they respond to policy changes, and changes within portfolios. With enough time and money, any system can be redesigned, but the best platform is one that can easily and cost-effectively adapt to change.

“SharePoint’s flexibility is key to its ease of use,” explained John Wise. “By allowing information to be easily organised based on how staff do their jobs, makes the information easy to find, use and share as required.”

3 WHAT IS THE BREADTH OF FUNCTIONALITY?

One of the biggest inefficiencies within an organisation is when information is managed with multiple, incompatible systems.

There could be one system for hard copies, one for scanned images, one for sound archives, but no single search engine that talks to all of them. As a consequence, employees need to be trained in a series of different systems which is time consuming and expensive as well as inefficient. There is also a greater danger of filing something away in the wrong area or making a mistake when multiple methodologies are being used.

A similar situation arises when each department has a system that works well for them, but none of those systems actually work together.

An ideal outcome is having one IM system that is flexible enough to work across individuals, teams, divisions and enterprises, and be suitable for extranet and internet access.

The system should have a consolidated set of content platforms – ideally, one platform, but you should aim to consolidate to three or less platforms across the enterprise to manage all forms of unstructured content, including electronic documents, Web content, images, email messages and archived Instant Message conversations.

Because of the breath of audiences and the breadth of content that can be created in and managed by SharePoint, I’d argue that it is in a prime position to be one of the three IM platforms in a modern agency.

4 DOES YOUR IM SYSTEM MEET THE WORK STYLES OF YOUR EMPLOYEES?

Working from home and in the field is increasingly common, so your IM system should accommodate this.

A system that is flexible in access methods, while maintaining security and governance controls, can increase productivity and

employee satisfaction. These flexible and available systems can also attract new and different kinds of workers to public sector agencies: younger (Generation Y) staff, semi-retired staff who want to be based in home offices and/or have flexible working hours. These systems help address both the ‘brain gain’ and ‘brain drain’ problems.

5 IS YOUR CURRENT SYSTEM WORKING FOR YOUR STAKEHOLDERS?

Think about your most important stakeholders. They could be the political arm of your agency, other businesses that rely on your services, or the public. Is your current IM system working for them? Or is your customer service department working overtime?

For example, can a customer’s information be easily accessed by a customer service operator (with the right security clearance) and presented in the relevant context when needed? If not, it’s time for a review.

Queensland based Productiv is a Microsoft Gold Partner specialising in enterprise content management, RM, governance and compliance. Led by Desmond Russell, the company recently completed an implementation for the Queensland Department of Tourism, Regional Development and Industry (DTRDI).

According to Russell, “The existing records infrastructure at DTRDI was outdated. It no longer had vendor support and was technically unstable. After reviewing the landscape the benefits of choosing SharePoint were clear. The platform infrastructure and environment was already established in the department and the continuing standardisation on Microsoft technologies also enabled integration with other key Microsoft components, such as the .NET application development framework, workflow and reporting.

“Importantly,” said Russell, “the total cost of ownership was also extremely competitive.”

CONCLUSION

Using the five point diagnosis is a good start when trying to identify weaknesses in your IM system. Knowing where the failures are will help you fix them, or choose a better system when it comes time to upgrade.

Microsoft Office SharePoint 2007 is an example of a mature, broad and flexible solution platform capable of addressing all these failures if implemented appropriately. Recent case studies in Australian Public Sector organisations are proof of that. **IQ**



About the Author

JON BARRETT is an Information Management Solutions Specialist with Microsoft Australia, designing information management solutions that aim to achieve the optimum balance between productivity and compliance.

For over 15 years, Jon has worked with public sector and utilities customers in Australia, New Zealand, Canada and the USA. He is currently a member of Microsoft’s NSW Public Sector team.

He holds a degree in computer science from the University of NSW and is a member of RMAA, ARMA and AIIM.

Government Access Cards: A key to fraud and identity theft reduction?

PART 1

Are government access cards worthwhile? Can they save money and reduce identity theft? This article looks at the historical situation in Australia. The next article in the series will review comparable systems overseas and assess future possibilities.

BY ROBERT BROMWICH

During 2006, the Australian government introduced legislation to establish a social services access card, requiring that possession of the card to access certain government benefits and concessions. The claimed benefits ranged from fraud reduction to improved access to benefits and refunds associated with certain medical expenditure. Despite claims of substantive savings over a long time frame, no independent verification of the savings claims have been produced.

The motivation to perpetrate identity theft varies by individual case. It ranges from vindictiveness to financial troubles. Possible sources of identity thieves come from the most unlikely of sources including family, friends and, work colleagues to more “traditional” category of total strangers.

The costs associated with identity theft are startling. A US Federal Trade Commission study (Aratia Jnr 2006) highlighted identity theft costs affecting America from 1999 to 2004:

- 27.3 million Americans had been victims of identity theft;
- The direct cost to American financial institutions was US\$33 billion, and to consumers, US\$5 billion;
- 50% of victims were unaware that personal information was stolen;
- The fraudster was known to victims in 25% of cases; and
- The fraudster was a relative in 35% of cases.

SHENK'S 'LAWS'

David Shenk, in his 1997 book *Data Smog*, sounded 13 alarm bells that can apply to the implementation of the access card. These include:

- Information, once rare and cherished like caviar, is now plentiful and taken for granted like potatoes;
- Silicon chips evolve much more quickly than human genes;
- Computers are neither human or humane;
- Putting a computer in every classroom is like putting a power plant in every home;
- What they sell as information technology is information anxiety;

- Too many experts spoil the clarity.

For the three governmental card access systems discussed in these articles, all of these ‘laws’ apply in various guises, some in how information is gathered, digested and processed for stakeholders; others by effectively excluding people from society by denying them elements that society has deemed “essential”.

AUSTRALIAN SYSTEM OVERVIEW

The Australian system has had a chequered and laboured journey, starting in 1985 with the Hawke Labor government proposing *The Australia Card* system that bore remarkable similarities to the 2006 Welfare Access Card system proposal of the Howard coalition government.

The Australia Card proposal was abandoned after the 1987 double dissolution election that saw the Hawke government returned with a reduced majority – but large enough to pass the proposal under a double sitting of parliament had it chosen to pursue it.

A consequence of the failure of the Australia Card proposal, the introduction of an alternative system called the Tax File Number (TFN). This system initially was restricted to taxation-related payments but has since gradually expanded to include Centrelink payments, interest earned on bank accounts, investment transactions, and the higher education loans scheme (previously HECS).

A major issue identified with the TFN system was the underlying information framework that formed the backbone of its operation. A parliamentary report found that in 1999 there were 3.2 million *more* Tax File Numbers and 185,000 *possible duplicate numbers* compared with the total population of Australia at the 1996 census. (Numbers on the Run 2000: vii, 2).

The same report suggested that the modernisation project the Taxation Office was conducting at the time “has not delivered improvements commensurate with expectations and investment in the project”. (Numbers on the Run: vii, 7).

The committee made 26 recommendations for improvement to the TFN system, covering areas from data security and integrity to cooperation with AUSTRAC on



certain matters (Numbers on the Run 2000: xv-xx). To date, the government is yet to respond to the report, making an informed review on any progress against the committee's recommendations difficult.

The above history provides a backdrop of political developments since the 1980s. The major political parties shifted positions completely – the ALP from support to opposition, the Coalition from opposition to support, whilst utilising the arguments their opponents used during *The Australia Card* debate.

On 26 April 2006, then Prime Minister Howard announced the launch of the Health and Social Services Access Card (HASSAC) programme with the following project aims:

- Reduce the complexity of access to Commonwealth benefits;
- Facilitate a more convenient, user-friendly and reliable method of accessing participating Commonwealth services;
- Reduce fraud in relation to Commonwealth benefits;
- Improve access to federal government relief in emergency situations; and
- Permit card-holders to use their cards for lawful purposes.

The card would serve as an identifier for a range of programmes offered by: Centrelink (unemployment, disability, veterans, study allowances); Health and Aging (Health Care Cards for seniors and general population); Medicare Australia; Pharmaceutical Benefits Scheme; CRS Australia Vocational Rehabilitation; and Child Support Agency.

Additional provisions of the enabling bill (section 7) included specifically excluding the Access Card from being utilised as an identity card and limiting interference with the privacy of individuals.

The framework was to be underpinned by two software platforms:

1 Card Management System (CMS): aimed at tracking individual cards throughout the 7-year card life cycle; and

2 Key Management system (KMS): aimed towards providing security for data collected as part of the framework.

To complement the software platforms, the information architecture comprised four major registries: customer, photo, biometric and client management.

In February 2007, the coalition government formally introduced the *Human Services (Enhanced Service Delivery) Bill 2007* with the purpose of establishing an "access card" to services offered by Centrelink, Medicare Australia, CRS Australia, the Child Support Agency Australia and the Department of Veterans Affairs. The bill would consolidate 17 separate concession cards across these agencies.

Information on the Welfare Access Card covered 18 different categories including:

- The full legal and preferred name of the individual (including military ranks and awards bestowed under the Australian and United Kingdom honours systems);
- Date of birth;
- Indigenous, citizenship and residency status;
- Contact details;

About the Author

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- Registration status;
- Proof of identity;
- Access card numbers of the individual;
- Access card currency, including exemptions;
- Digitised photo and signature;
- DVA information
- Information permitted under statute law including the *Privacy Act* and the *Freedom of Information Act*;
- Benefit cards issued by participating agencies;
- Emergency payment number; and
- Information concerning the death of the card-holder.

Registrations for the card were slated to commence during April 2008. All persons wishing to access the designated government services were, in effect, required to have the card within two years of the scheduled commencement of the Act. The Department of Human Services anticipated registering and issuing cards to 16.1 million adults, averaging 32,000 per day at Commonwealth agencies, assuming an average of 12 minutes per interview. Renewals of Access Cards would be conducted at Australia Post outlets.

A 2007 inquiry conducted by the Senate Standing Committee on Finance and Public Administration found major flaws regarding establishment of the Welfare Access Card system, access by government agencies, at all levels, and privacy to participants. Yet the majority report recommended that the proposal proceed without amendment.

The system, if enacted, ultimately would not have been limited to the proposed range of services. The broader Governmental Authentication Framework (AGAF), coupled with the prospect of function creep inherent with any major system rollout, other federal governmental agencies not included in the initial rollout, such as the Australian Taxation Office, were likely to insist on system access.

Coupled with function creep at the federal agency level, state government agencies were likely to insist on access on issues ranging from licensing to land transfers and payroll deductions. In May 2006, the Queensland Transport Minister (now Deputy Premier) Paul Lucas attempted to link the state's driver and 18 plus licensing administration into the access card regime citing cost pressures. (*Courier Mail*, 2006: 7).

November 24, 2007, saw the coalition government defeated at a general election, replaced by an ALP promising to scrap the scheme. Consequent to the election result, the system proposed by the former government was terminated by the Rudd government over Christmas, 2007. [iQ](#)

The EDRMS Missing Links

In the rush to implement an EDRM solution, the most important criteria can often be forgotten. And the questions that need to be asked, aren't.

BY ROSS BIDMEAD

What is the most important criterion in the successful implementation of an EDRMS? Quite simply, before they can be appropriately classified and marked for retention or disposal, the documents must be captured in the first place. The only way this can be achieved is if an equally important criterion is met – staff must use the system willingly.

Too many system implementations end up with staff irritated at best, and at worst, actively avoid using the system. The result can be that more than 80% of documents will be kept outside the system. This leads to ineffective compliance, and,

worse, staff are unhappy because sometimes crucial information is lost.

The key to avoiding this problem is ensuring you get the right solution in place from the start. The solution needs to fulfil technical and functional requirements, but it also needs to be easy for staff to use, so that it quickly becomes integral to their day-to-day work practices.

A good EDRMS, once implemented, will be around for 10 years, so part of the selection exercise has to be choosing solutions and partners that will continue to provide good value over that time.

DECIDING WHAT REALLY IS BETTER VALUE

Traditionally, when measuring up competing solution proposals, we write a tick list of required technical features, perhaps with a set of weighted scores.

This sounds fine if we know exactly what we want and can assess whether the offered products deliver. It also assumes that the installer will enable these features in ways that enhance our organisation. But, while many technical features can and must be defined, we need to maintain a balance to ensure we accurately weight all elements of success and risk.

To avoid this feature burn-out, divide the attributes of the proposed solution into three categories: Mandatory, Value-adding and Risk-reducing. Try to express requirements in terms of business needs rather than just as narrow technical descriptions.

Features that are Mandatory are usually dictated by specific standards as well as basic system requirements. No weighting is involved here; don't consider solutions that cannot meet Mandatory requirements.

Value-added features improve the return on investment in the solution. These will depend on your business and how it works, and they need to be weighted according to the value they bring to your organisation.

You can't know what all the value-adding features will be until you've seen each potential solution. A value-adding feature might be emailing PDF copies of documents with a single click, with the copy automatically linked to the primary document and an easily traceable history of the action.

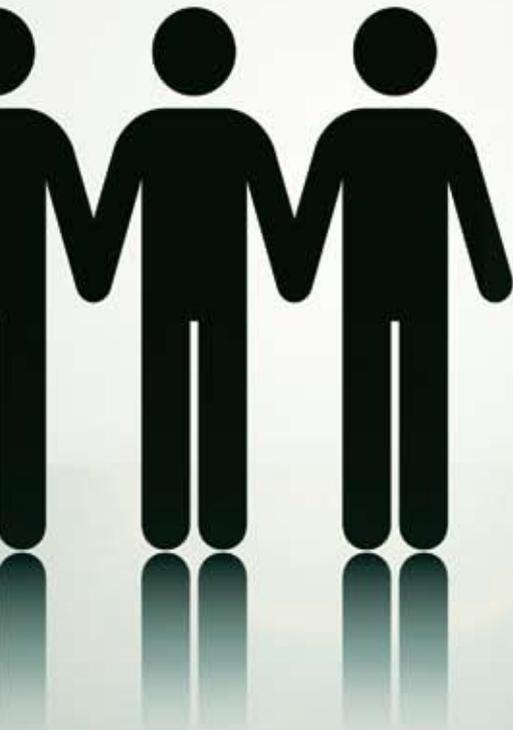
Maintain an open mind. Add points for each feature's impact on your organisation.

Risk-reducing features are those that increase the likelihood of a successful project and decrease the chances of delays, overruns and staff rejection. They can be weighted according to the potential value they bring.

THE CRITERIA

Technical Criteria for Records Management

Clearly, any records management system has to meet a series of technical handling requirements. In New Zealand, for organisations affected by the Public Records Act, Archives New Zealand provides comprehensive information on recordkeeping standards on its Continuum website, <http://continuum.archives.govt.nz/>.



About the Author



ROSS BIDMEAD is the former Managing Director TecTonics in Wellington, New Zealand, a company with a 16-year record in EDRMS development, implementation, and training. He now works as an independent consultant.

Story Snapshot

- Staff must willingly adopt a new EDRMS
- Up to 80% of documents can be kept outside an EDRMS if they don't
- If any of 7 selection criteria aren't met, you're in trouble

In Australia, the PROV provides a good service in measuring compliance with VERS, the Victorian Electronic Records Strategy – <http://www.prov.vic.gov.au/vers/vers/default.htm>.

Meanwhile, the US Department of Defence tests products for compliance and a tight security standard.

Staff Acceptance and Usage

Will staff use the proposed system willingly, and most documents end up in the system? Many solutions fail at this vital hurdle; there are numerous examples of systems that contain less than 20% of the documents they should. Staff find these systems cumbersome, slowing them down rather than making things easier for them.

Archives NZ recognises this and recommends that documents are captured into systems by managing workflows. However, workflows by themselves do not ensure staff acceptance. There are plenty of examples of badly implemented workflows that are resented and avoided.

Instead of ticking the box for “workflow provided”, look for reference sites that use enabling technologies that have not only delivered “workflow”, but have done so in a way that works for most staff. How well the system integrates with applications that staff use daily, such as email and word processing, and with the way staff naturally work, is critical to this success.

Another factor is the experience of the supplier in helping coach change leadership. Because, every staff member who uses email or Word is affected, and they need to learn new habits.

Measuring these criteria is difficult, but the effort is vital as poor acceptance means the project will ultimately fail to deliver on its main goals, even if functional requirements are met. The best approach is to conduct reference checks with other sites, remembering to ask carefully about real levels of user acceptance. There is a minimum score required here to pass the Mandatory requirements, and potential to add a lot to the Value-add score.

Criteria used to assess staff acceptance might include:

- Will the implementation be good enough to ensure 95% of documents are stored in the system?
- Will the system be regarded as ‘good’ or ‘very good’ by 75% of the staff?

Knowledge Sharing

One of the major benefits a well-chosen and well-implemented EDRMS delivers is that it won't just help you meet compliance requirements, it will enable your people to work much more productively, and to generate more value from business information.

Will the proposed solution allow anyone anywhere in your organisation to easily find and reuse the information they need, whether it's in documents, emails or other formats? Will it result in better decision-making, more consistent decisions, better

quality documents, and more business, or lower costs, or better service? This is where the real Value-add starts to appear.

A Platform for Further Development

Document and records management methods and capabilities are continuing to expand quickly. Will your chosen vendor keep up by both extending open integration options and continuing to invest in research and development? Are they committed to delivering successful solutions that will have a long and productive life, with the ability to change and adapt as your business changes?

Remember, this solution is likely to last you 10 years or more.

Implementation Competency

This is the core Risk-reducing component. Modern EDRMS software is extremely powerful, with a huge range of configuration options.

Implementation is about far more than knowing where and how to set parameters. It's about vendors being able to provide quality and advice and leadership on how to set them to the best advantage of the user.

This skill can only be developed over multiple installs; the alternatives being either a standard install that does not match the client's unique needs, or an inefficient one.

You need to know what experience the local vendor has with EDRMS implementations in general, and with the specific solution set you're considering. An in-depth understanding of both is vital to the success of the project. Does the vendor show vision and leadership with EDRMS implementations?

Partner Fit

An EDRMS is not just an ‘install once and walk away’ technology. You will probably implement many enhancements and extensions over the coming years to integrate new types of information and new ways of working.

So it's vital to ask:

- Can we work with these people to get the results we need now and for the next 10 years?
- Is there a long history of local, competent staff staying with the vendor?
- Does the company have a history of lengthy support engagements?
- Do we know who will do the implementation, and whether their style will suit us?
- Can we trust them?

Ongoing Support and Development

This is arguably the biggest element in the value proposition, but it tends to be discounted against the immediate project costs.

What value will the vendors add over the solution's ten year life-span, and what are the risks of support disappearing or being sub-optimal? Does the vendor have a track record of good, pro-active support? Are there alternative providers, to keep the vendor honest? What is the size of their annual R&D budget? Is the core product likely to survive?

Measurement and Evaluation

So now you know the questions you need to ask to measure and evaluate the right system for you. **iQ**

INSURING ARCHIVES

How to insure the irreplaceable

How do you insure what is arguably one of your organisation's most valuable legal, administrative and cultural assets? How do you put a market or replacement value on something that is 'priceless', cannot be replaced and has never been on the market for sale?

BY ROB THORNTON



Story Snapshot

- The NAA's records are valued at \$1 billion
- Records insurance should cover such things as claims and legal defence where records have been lost
- First Loss cover offers a cheaper option

Valuing archival collections for insurance purposes is a very complex business. There is no uniformity or consistency among archival institutions about how this should be tackled.

The only time a market value is ascribed to archives is when documents are put up for auction, which is quite rare. One example of this occurred in 2005 when the State Library of South Australia, with support from Adelaide City Council, participated in a state government bid to procure Colonel William Light's original 1837 plan of Adelaide being offered for auction by Christies in the UK; the bid was successful at \$150,000, so that document clearly has a monetary value placed on it.

VALUING METHODS

Various methodologies have been employed by archivists, accountants and insurers to determine required cover limits. The National Archives of Australia used a complex formula based on rates of depreciation of different 'classes' of archives by record format and therefore different deterioration rates.

Archivists chose to identify what the 'iconic' archival materials were, and these were valued by disinterested but knowledgeable valuers (the Cultural Gifts Program has them) and then statisticians chose a sample of the rest of the archival material and extrapolated value out over the whole collection.

The outcome of this process is that the National Archives collection is now valued at about one billion dollars.

Another approach involves calculating the value of the loss if a specific record or series were to be destroyed and a copy could not be obtained. For example if the City of Adelaide 'lost' its title deeds and had to defend its property rights in court without them, what would be the cost?

If an organisation were to lose its personnel records, and former employees suing for their rights against the organisation could produce records of entitlements which the organisation officials could not contest, what would be the loss?

The point is that when a business' records (of whatever vintage) help it defend itself – for example in legal disputes or before a Royal Commission – then they certainly have a monetary value.

The task is to identify the records which guard against risk and record rights and entitlements and calculate the cost of managing claims and legal defence in their absence. Unfortunately this is a hugely labour-intensive task, given the millions of pages of documents held in custody by most archives and the fact that any one or number of them may, at some point in time, need to be made available as evidence in a court of law.

A more straightforward, if somewhat subjective, method of estimating the value of archives for insurance purposes takes into account a number of other factors that may characterise a collection. Such factors are commonly based on the volume and nature of holdings and may well include the iconic or unique characteristics of the records themselves, availability of duplicate collections, existence of anything similar or comparable available elsewhere in the market, relationship to other records, nature of the content and interest in it or use of it, and so on.

State Records of New South Wales, for example, based their assessment of the value of their collection on the generic valuation of shelf metres of records according to the type of information held which was hundreds of thousands of pages of historic and more recent official documents, volumes, maps, plans, photographs from 1788 to the present. They estimated every 100 linear shelf metres of records to be valued at \$1 million.

This formula can be applied to smaller archives collections that may well contain a range of records of a similar nature, albeit not quite as archaic or extensive. A school, business or municipal archives, for instance, may currently hold 2,000 shelf metres of records.

Applying the NSW formula results in a value of \$20 million worth of archival records, broadly equating to \$10m per 1000 linear metres of records held in custody. This figure is based on the uniqueness of the collection as a whole, the type and significance of records held and their value to the collecting organisation and the community in terms of their continuing use and historic interest.

Of course, for insurance valuation purposes it must be established which archives are of significant value. This mainly involves hand or typewritten records of which no copies exist and which are therefore unique and not able to be replaced in case of a total loss in the event of a disaster.

» "OF COURSE, FOR INSURANCE VALUATION PURPOSES IT MUST BE ESTABLISHED WHICH ARCHIVES ARE OF SIGNIFICANT VALUE" »

One such disaster was a fire caused by a gas leak that wiped out Norwich City Archives in the UK some years ago, resulting in the loss of thousands of important historical documents including the 800-year-old Norwich City Charter and manuscripts dating back as far as 1090.

Taking out an insurance cover of, say \$20 million would cost \$20,000 to \$25,000 in annual premium payments at today's market rates. But in the event of a claim for damages that destroyed its holdings, an archives would never be able to reinstate its collection, because the records are unique documents and are not replaceable. In the event of a total loss, an archives may claim \$20 million, but would not be able to reinstate its asset.

FIRST LOSS COVER

With a conventional insurance policy, there is an obligation to reinstate, replace by same or similar, or rebuild. If damaged items can be restored, the fund will provide cover for this. With most commercial insurance policies the aim is to reinstate the asset(s) lost or damaged as close to original as possible via the loss payment by the fund. If, however, items are not able to be replaced, the insurer may agree to arrange a cash settlement so the money can be invested in something else.

A more foolproof (and much cheaper) option is to take out what's called a 'first loss' type cover. This is a policy that will

cover the recovery cost only, rather than replacement cost, for restoration of damaged materials expenses. Insurers prefer this type of cover because a readily identifiable money amount can be assigned to the restoration process and the insurers know the limits of their liability.

In addition to the problem of putting a value on a unique collection, the insurance carriers are not about to make themselves liable for the replacement or recreation of any item without a fixed idea of how much such a payout might be.

In many disaster scenarios large quantities of materials are damaged rather than completely destroyed. The cost of restoration work - repair, cleaning, freezing, smoke removal, etc - is calculable, so it is possible to assign a dollar value to each type of material for restoration work and so determine a reasonable coverage.

There is no good reason for it to cost more to insure for a million dollars worth of cleaning or restoration of old maps or plans than for a million dollars worth of cleaning or restoration of old buildings or furniture.



About the Author

ROB THORNTON has over 30 years experience with archives, a passion first kindled whilst completing an MA in History at Melbourne University. He now manages Records and Archives Services at Adelaide City Council.

His team of 17 - including an archivist, three archives officers, eight records officers, a museum curator, two materials conservators, a projects officer and a records trainee - manage the whole continuum of the Council's recordkeeping activities. This includes all mail processing and electronic filing services, records digitisation and disposal, TRIM training and support, and archives preservation and access at the City Archives public searchroom.

In addition to records, the team manages the Council's Civic Collections, comprising mainly gifts and presentations of artefacts and artworks acquired by the Council since the mid 19th century such as the historic Colonel Light and the Queen Adelaide collections, and the City's rich collection of public statues and sculptures.

- For details see: www.adelaidecitycouncil.com/archives

This obviously won't help much if the materials are totally destroyed. On the other hand, it is not uncommon to hear of organisations that recovered their materials after a disaster only to watch them slowly decay to worthlessness because they had no agreement with their insurer to cover damage control or restoration work.

In the event records were not totally obliterated by fire but only partially damaged, say in a flood or earthquake, the cost of restoring them to useable status could amount to a considerable sum, and it is this amount that can be insured against. This will then provide cover in the event some documents can still be retrieved and restored.

So, if a small archives collection values its holding at \$20 million, then a first loss type cover of up to \$2 million would need to be agreed with the insurers, based on the amount a specialised service provider, such as Artlab in Adelaide, would charge for its professional restoration services.

The insurance premium is calculated on the recovery costs factored against the risk. The cost of such an annual first loss premium could be expected to be around \$3,000. This is a much more realistic figure to insure a small archival collection to cover the cost of recovery and restoration in the event of a disaster.

Think seriously about the nature and scope of the insurance cover you have for your records. In all probability it is not adequate and needs updating. And if your worst nightmare occurs and the insurance cover was not comprehensive enough to cover restoration or recreation, who do you think will receive the blame? **iQ**

»» THINK SERIOUSLY
ABOUT THE
NATURE AND
SCOPE OF THE
INSURANCE
COVER YOU
HAVE FOR YOUR
RECORDS »»



The Freedom of Information (Scotland) Act 2002:

A Catalyst for Change in Scotland's Public Bodies?

The authors report on their research study into how Scotland's public bodies have engaged with FOI, and their perceptions of its impact.

BY DR ELEANOR BURT AND PROFESSOR JOHN TAYLOR

Story Snapshot

- The silo mentality remains
- FOI has been a major driver in website development
- FOI is perceived to be contributing to improvements in recordkeeping in Scotland

FOI has a historical and international provenance that stretches back across the centuries, the first FOI law being enacted in Sweden in 1766. Today, FOI can be found in varying forms in countries throughout the world.

Reflecting the pragmatic drivers underpinning the continuing expansion of FOI legislation on the global stage (Ackerman and Sandoval-Ballesteros, 2006; Banisar, 2006), within Scotland and the wider UK FOI legislation has been implemented against a public policy backdrop of modernisation and change, including the drive for more efficient and effective government and public administration¹.

Crucially, delivery of the modernisation agenda within the UK and Scotland is heavily dependent upon public bodies realising the considerable strategic and operational benefits to be gained from the acquisition and effective management of information.

It is in this context that this article sets out findings from our recently completed research study² that examined how Scotland's public bodies have engaged with FOI, together with their perceptions of its impact.

Specific questions that our study addressed include, has the Freedom of Information (Scotland) Act 2002 (FOISA) been a catalyst for strategic change within Scotland's public bodies? Has it been a catalyst for new arrangements in the way that

information is managed? What have been the benefits, problems and challenges associated with FOI? What have been the key enablers and inhibitors for Scotland's public bodies as they have sought to deliver FOI-related change?

Completed in September 2007, our research³ was based on a telephone survey supplemented by a number of in-depth organisational 'case studies'. The survey and case study participants were drawn from 4 sub-sectors of Scotland's public sector: Health Boards, the Police Forces, Local Authorities, and Scottish Government departments and agencies. A high overall response rate of 65% was achieved for the telephone survey, comprising 53 Scottish public bodies.

FOI – DELIVERING CHANGE?

FOISA offers opportunities to Scottish public bodies to generate strategic and administrative level organisational change centred upon the management and flow of information. This is so, because the Act places imperatives upon public bodies to manage information effectively and transparently, in ways that enhance access to information on the part of citizens and other stakeholders.

For these requirements to be met information needs to be managed as a 'corporate resource' supported by organisational arrangements that enhance the flow of information on an institution-wide basis, thereby breaking down the silo culture that is deeply embedded within Scotland's public bodies.

Our research findings show, however, that whilst FOISA is perceived as contributing to administrative-level changes within the majority of the public bodies that we examined, it has not been employed as a catalyst for managing information as a corporate resource. The 'silo mentality' was felt by some participants in our study to remain a considerable challenge and confounding factor.



About the Authors

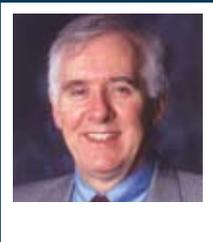


Dr ELEANOR BURT is a Senior Lecturer with The School of Management, University of St Andrews, Scotland. Her research and consultancy engages with the voluntary and public sectors, where her interests mainly centre upon information management,

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Professor JOHN TAYLOR is Professor of Government & Information Management at Caledonian Business School, Glasgow, and Research Associate, Oxford Internet Institute, University of Oxford, UK. He undertakes research and consultancy on aspects of organisational and strategic managerial change, particularly as they relate to the uptake of new information and communications technologies within public sector and voluntary organisations. His most recent project for the UK's Economic and Social Research Council, finishing in 2007, has looked at systems of citizen identification in varied agencies of public administration.



- Professor Taylor's email address is jta@gcal.ac.uk

We found a richly diverse set of arrangements in place to support the delivery of FOI, with some public bodies establishing dedicated central units operating as hubs of expertise and providing oversight in the processing of FOI inquiries. At the other extreme were highly devolved arrangements in which individual officers were supported by a departmental 'lead officer' whose 'other job' was FOI.

We also found that most (85%) of the public bodies responding to our survey were either adapting existing information systems or had introduced new systems to support the delivery of FOI. Typically these systems were a mix of manual and electronic arrangements of variable effectiveness.

We found that where new systems were introduced they were judged to be contributing to improvements in document handling and records management, as well as enabling the tracking, monitoring, and overall management of FOI requests, reviews, and appeals.

While all written requests for information are designated 'FOI requests' under the Act, our research showed Scotland's public bodies to be distinguishing and categorising 'types' of requests.

Requests judged to be 'routine' or 'business-as-usual' requests were differently managed from those classified as 'non-routine', this latter being typically referred to as 'FOI' requests. Routine requests tended to be deemed politically non-sensitive, straightforward, and amenable to quick turnaround.

Non-routine requests were deemed potentially politically-sensitive and, at the very least, as requiring notification to senior staff, while the most highly sensitive might require consultation

with senior executive staff, press office staff, and in some cases politicians.

Clearly there are circumstances where such consultation is both legitimate and necessary under the Act. It may also be helpful to the inquirer that such consultations take place, as these may lead to the emergence of new information including valuable contextual information that lends richness and/or clarity to the organisation's response, thereby assisting understanding on the part of the recipient.

However, segmentation of requests can also enable responses to be 'managed' in ways that may be neither legitimate nor necessary. We heard, for example, that an FOI designation had been used to slow a media inquiry. We also heard that an institution's press office was able to 'kill' a story by putting a positive perspective on what might otherwise be judged a negative story.

BENEFICIAL EFFECTS OF FOI

Our respondents perceived FOISA to have a number of beneficial consequences. Firstly, benefits were reported in respect of changing organisational culture. The majority of respondents were of the view that their organisation was now more open than before the Act came into force, both internally and externally⁴.

One organisation commented, "Now, it's very much a key management principle that information is a corporate resource." Another respondent told us that, "(We) have gone to lengths to make information available on the website, so not many requests come in that are not covered by the website."

We also heard from another of our case study organisations that, "FOI has been a major driver in website development. The authority's view is that it needs strong information management on the Web."

We heard, too, that FOI is perceived to be contributing to a "more professional" approach to the recording of information, removing what one interviewee referred to as the "mood music" of formal documentation, including email, and leading as a result to a more objective, better explained, and formal setting out of rationales behind policy decisions, for example.

We also heard that FOI is perceived to be contributing to improvements in records management. Almost three quarters of our survey respondents saw records management as one of the main operational benefits deriving from FOI.

As one of our case study interviewees noted, "FOI has generated need for a records management policy. No-one has responsibility for corporate records management currently." Another was of the view that, "FOI is forcing a closer look at records management, which is not as good as we thought it was, or as good as it should be."

Another interviewee told us that, "FOI has focused employees on the importance of good record-keeping practice. It's a platform...a catalyst...for new processes for document handling. It has moved information management up the priority list."

PROBLEMS AND CHALLENGES

Respondents and interviewees have argued strongly that existing organisational forms, practices, and resource limitations pose considerable difficulties in delivering the integrated, concerted and timeous responses needed for successful FOI.

We heard that some FOI requests can be particularly burdensome for individual officers. There are concerns, too, amongst some senior managers that responding to FOI requests conflicts with other operational priorities including delivery of frontline services.

A second perceived difficulty for public bodies in implementing

» “SOME SPOKE OF BECOMING ‘RESEARCH DEPARTMENTS’ FOR JOURNALISTS”

FOISA is what many refer to as ‘abuse of the Act’, particularly by some journalists. Where this occurs it is seen to add to the workload issues described above. Interviewees referred particularly to the difficulties posed by ‘round robin’ requests that may be valuable and legitimate methods of inquiry for journalists, but which pose handling problems for public bodies.

Others spoke of becoming “research departments” for journalists. Some public bodies, however, were finding that establishing personal contact and dialogue with journalists was helpful in establishing mutual understanding and in developing a more positive relationship.

A third issue of concern was the perception on the part of some respondents that less information is being formally recorded and captured under FOISA as people become more cautious about maintaining written records of meetings and decisions taken. As one survey respondent commented, “*It (FOISA) inhibits strategic thinking. We’re nervous of written records.*”

Another commented that, “*There is more off the record discussion because there is a fear of documenting discussion.*” Clearly, where this is occurring it could be placing key information outside the scope of FOISA and the public domain.

A fourth difficulty that our research highlighted relates to the ‘political environment’ within which responses to FOI requests are managed. Public bodies must serve political masters and they must also be aware that decisions made by them can have political consequences that can go beyond what might initially have been anticipated.

For these reasons, we have found that all of our case study organisations are making judgments about FOI requests and responses that give consideration to the perceived imperatives of the political environment. However, we also heard that, “*It’s very rare (for officers to take FOI request) to politicians. And when we do, it’s about forewarning of release and not to ask permission to release.*”

ENABLERS AND INHIBITORS OF FREEDOM OF INFORMATION-RELATED CHANGE

Our study highlighted a number of factors as crucial in generating FOI-related strategic change. Foremost amongst these was leadership from the topmost levels of an organisation.

As one case study interviewee summed-up “*Leadership, experience and vision on the part of the chief executive officer have been particularly significant in enabling a more open climate, with the chief executive using FOISA to help drive through changes.*”

Another interviewee spoke forcefully of lack of leadership being a major impediment to transforming his organisation’s records management and information systems in ways supportive of FOI.

Secondly, and relatedly, was the importance of having in place in a clear policy statement in respect of FOI together with a planned implementation process. This point was reinforced by interviewees in one case study organisation in which arrangements for the delivery of FOI were described as ad hoc. “*There is general support for FOI in principle, but organisational*

messiness and the silo culture are in the way. There needs to be senior management buy-in throughout departments and also at the highest corporate level, and an information policy for the Council.”

The third factor that was perceived crucial by some of our interviewees was the existence of an organisational culture supportive of acting in the ‘spirit of the Act’ as opposed to simply responding to the technical ‘letter of the law’.

This, too, was closely associated with championing of FOI at the topmost levels of an organisation. One interviewee summed this up in the following way, “*People are encouraged to ask ‘how can we give out this information, and not, can we withhold it?’*”

CONCLUDING COMMENTS

FOISA has clearly brought significant benefits and opportunities as well as problems and challenges to Scotland’s public bodies. Of particular significance is the increasing value being attached to records and information management together with signs that in some public bodies information is becoming valued as a corporate resource and managed accordingly.

These changes in the ways that information is perceived and managed bring opportunities to enhance the effectiveness of Scotland’s public bodies and for improved relationships with the communities they serve.

Alongside this, though, reports that an oral culture is developing where previously there would have been a formal written record must give pause for reflection. **IQ**

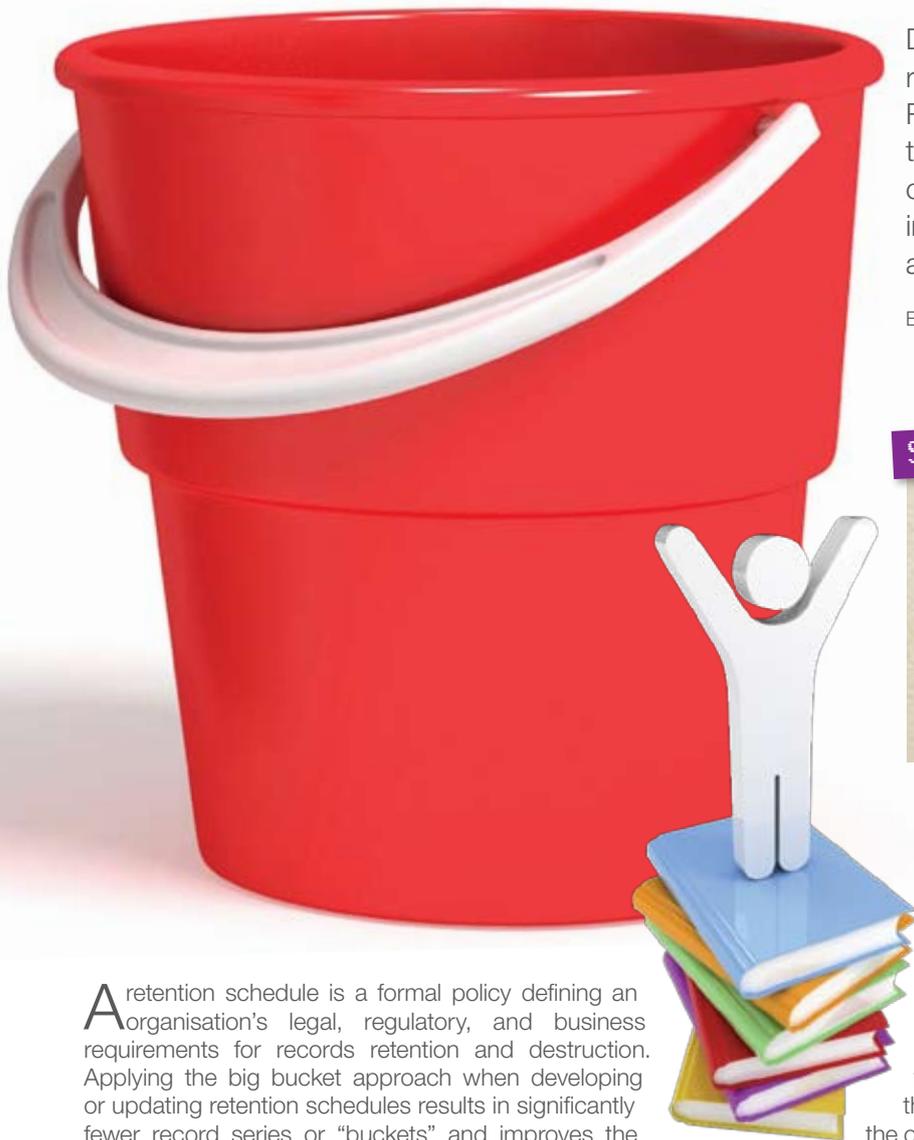


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delivered by Dr Eleanor Burt (School of Management, University of St Andrews) and Professor John Taylor (Public Policy Division, Caledonian Business School, Glasgow Caledonian University).
- ³ The full report is available in hard copy from The Scottish Information Commissioner, Kinburn Castle, Doubledykes Rd., St Andrews, KY16 9DS or for electronic download at <http://www.itspublicknowledge.info/home/SICReports/OtherReports/ResearchSeptember07.asp>
- ⁴ Our findings here are mirrored by Holsen, S., *FOIA 2000: The First Year – The Experience of Local Authorities in England in 2005*, The Constitution Unit, Department of Political Science, University College London. Presentation to London Connets FOI Forum, 17 October 2006 and The Constitution Unit (2007) *Freedom of Information in 2006-07: The FOI Practitioner’s Perspective*, Department of Political Science, University College London., respectively. Holsen’s study of English local authorities revealed that almost 30% judged FOIA to have contributed to greater openness in the first year of implementation, while the more recent survey by The Constitution Unit found 87% of respondents perceived FOI to have led to increased transparency within their organisations.

How to Win the Compliance Battle Using ‘Big Buckets’



Despite verbal skirmishing about how big retention schedule “buckets” should be, RIM professionals agree that reducing the number of records series buckets can help organizations win the battle to increase user accuracy and compliance and reduce costs and risks

BY SUSAN CISCO, PHD, CRM

Story Snapshot

- This article describes the controversy around applying the big bucket approach;
- Contrasts the benefits of using big buckets with its potential drawbacks; and
- Tells how to apply the big bucket approach to new or existing retention schedules

A retention schedule is a formal policy defining an organisation’s legal, regulatory, and business requirements for records retention and destruction. Applying the big bucket approach when developing or updating retention schedules results in significantly fewer record series or “buckets” and improves the ability of a user or an automatic classification tool to accurately and consistently classify recorded information for retention purposes.

Not everyone agrees that reducing the number of record series or buckets is a prudent approach to managing retention schedules, and lively discussions have ensued at conferences and on the records management listserv. For example, Chris Flynn’s big bucket theory blog contains this passage: *Today we are looking at the ‘bucket’ and trying to reconcile our traditional methods with a theory that has reached fruition in an alternative discipline ... a schism that is reaching a level of maturation in our profession. In one camp [are] the records managers that hold to traditional time tested and well established practices. In the other camp there are records managers that have leapt on the*

IT train. They are the prophets of radical change and the canonisation of their practices.

This article explores the controversy around the topic of fewer, bigger retention buckets by clarifying the terminology used to discuss the topic, suggesting the optimum number of buckets in a retention schedule, and explaining how to apply the big bucket approach when developing a new schedule or revising an existing schedule. (Steps for applying the big bucket approach to new or existing retention schedules are in the sidebar article on pages 38-39.)

The terms “information,” “records,” “content,” and “documents” are used interchangeably throughout the article, and no attempt has been made to distinguish one from another because the definitions vary so widely by discipline, country, and culture. In the end, all of an organisation’s recorded information must be managed efficiently and effectively to leverage its value and minimise the risk of retaining it too long or not long enough.

Many organisations have applied controls to the management of their “official records” (records that are legally recognised as establishing some fact and retained as evidence of business

transactions or decisions).

However, according to Elliot Gerard's presentation at a Microsoft Office SharePoint Conference in March, the official records of an organisation may constitute as little as 5 percent of its total volume of recorded information, leaving 95 percent to be managed using traditional rules and tools.

THE BIG BUCKET APPROACH

The US National Archives and Records Administration (NARA) is credited with being an early promoter of the "bigger bucket" approach for streamlining granular (usually departmental) retention schedules because the existing processes required federal agencies to commit too much effort to inventorying and scheduling routine records.

Initially called "flexible scheduling," the approach provided flexibility in defining record groupings composed of multiple records series in large aggregation retention schedules. Record series that were related to the same or similar business process and were supported by the same or similar legal and business requirements were aggregated into bigger buckets.

Private sector organisations also have found it necessary to streamline their retention schedules for effective implementation of enterprise content management, email archiving, and other recordkeeping systems to ease the classification burden on users, who were having difficulty selecting correctly from hundreds, or even thousands, of categories when classifying content for retention and information lifecycle purposes.

Another approach has as few as five buckets (for example, one bucket each for one year, three years, five years, 10 years, 25 years, and indefinite). The approach is being promulgated by various technology vendors, especially information lifecycle management (ILM) system vendors. ILM is a process for managing information through its lifecycle in a manner that optimizes storage and access by storing content on the most cost-effective media.

John Isaza, Esq., of the Howett Isaza Law Group LLP, observed in 2008 that: *This 'huge bucket' approach may be useful in managing data storage costs; however, it is not recommended for retention management because it does not effectively address event-driven conditional retention periods and is not granular enough to adequately address federal and state requirements for record retention.*

THE OPTIMUM NUMBER OF RETENTION BUCKETS

Records management and IT professionals are coalescing around 100 record series or buckets as a reasonable number of retention categories for most industries and organisations. Evidence for this conclusion includes:

- In *Records Retention Procedures*, Donald Skupsky, president of Information Requirements Clearinghouse, stated that even a large organisation's retention schedule will contain fewer than 100 record series, and 50 to 70 may be sufficient for most organisations.
- Bill Westcoat, who is a senior architect and records manager subject matter expert for EMC Documentum, has been involved in 60 implementations of records management and electronic document management technology over a five-year period. "I would say 95 percent of them have less than 150 retention categories," Westcoat said. "One client was successful in going from 7,000 record series down to 300 by leveraging the features and functionality now available in the latest version of their electronic records management software application."

- A 2007 white paper by this author and Lori Ashley, "Streamlining Retention Schedules: The Benefits of Big Buckets," reported that Cargill Inc., which has more than 158,000 employees, simplified its retention rules by reducing its retention schedule to 10 functional categories and 120 record series.

- The 2007 electronic records survey co-sponsored by Cohasset Associates, ARMA International, and AIIM included questions about the number of record series and their role in electronic records management. In response to the question about how many different record series the respondents' current retention schedule had, nearly one-third said they had fewer than 100 record series/retention categories, and more than half (57%) said they had fewer than 250.

Cohasset believes that these findings may be somewhat inflated because 40 percent of the respondents were with organisations with fewer than 1,000 employees and 67 percent were with firms with fewer than 5,000 employees. Nonetheless, there is at least a perception that fewer record series are better than more.

BENEFITS OF BIGGER RETENTION BUCKETS

The potential benefits of big bucket retention schedules are compelling:

- **They make it easier for users to classify content for retention.** An abundance of choices does not necessarily lead to better decisions, whether in classifying emails, selecting a pair of shoes, or buying pickles. Too many choices can lead to a random selection, a default (but sometimes incorrect) selection, or a refusal to make a selection. Offering users fewer, better-defined choices for classifying content is more likely to lead to accurate and consistent selections, less frustrated and more confident users, and simplified training.
- **They make it easier for technology tools to classify content for retention.** With automatic categorisation tools and automatic classification engines, ambiguity is reduced and accuracy is increased when these technology tools are presented with fewer, better-defined choices.
- **They lower the total cost of ownership.** Less complexity in a retention schedule requires less training and takes less time for periodic maintenance, which lowers the total cost for an organisation to maintain a retention schedule.
- **They mitigate the risk of retaining records too long.** When users are confident they know how to classify content correctly, they are more likely to do it consistently and retain less unnecessary information.
- **Approvers are more likely to approve dispositions.** In organisations that require pre-approval to dispose of information, approvers are more likely to approve destruction because they have more confidence that users are classifying content accurately and consistently.
- **They make it easier to apply retention, especially in enterprise resource planning (ERP) systems such as SAP and Oracle since they can accommodate conditional retention periods.** If a piece of equipment is a business object in an ERP, the retention period is "life of the equipment plus five

years,” and the trigger event is when the equipment is sold or disposed, so the ERP can pull the trigger for final disposition.

RESERVATIONS ABOUT BIG RETENTION BUCKETS

The most common argument against big buckets in retention schedules is that information within an aggregated record series or bucket may be retained longer than legally required. Retaining information longer than necessary can leave more records available for electronic discovery and increase storage costs for physical records.

For example, Dwight Wallis, a Portland, Oregon records administrator, made the following argument: *...the disadvantage in more complex environments is that this type of approach can result in the unnecessary retention of large amounts of records, as retention ‘big buckets’ default to the longest retention requirement of their components.*

The counter argument, however, is that more granular retention schedules discourage classification and leave a large volume of unclassified content available for review in court-ordered legal discovery.

Christian Meinke, CRM, with Southern California Edison Business Resources, said: *...if the big bucket approach allows you to index (and presumably better manage) these records, some of that risk might be mitigated despite the volume of records being large, i.e., the process allows me to identify and isolate potentially relevant documents better so discovery costs are reduced.*

Another argument against big bucket record series is that organisations will be unable to locate, retrieve, or dispose of records when needed if the retention schedule is less granular. This may have been true with physical records management when organisations relied heavily on the descriptive information embedded in retention schedules for locating content.

With enterprise content and records management systems, organisations can leverage additional metadata (such as creation date, creator, role, business function, or server) and powerful search tools (such as Google and Autonomy), so descriptive information embedded in the schedule is not the only metadata available for searching.

A final argument against bigger retention buckets is the changing legal environment. That is, if the legal requirements for a record series change, there is concern that it may not be possible to “undo” the bucket and apply the new requirements to the right records.

A posting from the records management listserv from Laurie Carpenter, CRM, who at the time was a compliance manager with Koch Industries, colourfully described the potential problem: *...if you take a bucket of yellow paint and a bucket of blue paint, it only takes a few seconds to mix them together into one green bucket. How long and how much would it cost to separate it back out?*

Using the approach described in the sidebar article in which records are organised by business function/process into a classification scheme comprised of record series or buckets, the entire record series or bucket would inherit the changes in a retention requirement. If it made sense to “undo” the bucket, either due to the retention length or volume of the records, it can be done by creating a new bucket.

Legacy content classified to obsolete record series will also need to be adjusted. Changing legal, regulatory, and business requirements for retention is to be expected, and a process for implementing changes will be necessary regardless of whether the schedule has 100 or 1,000 record series.

How to Apply the Big Bucket Approach to Retention Schedules

DEVELOPING NEW RETENTION SCHEDULES

1 Identify the physical and electronic records across the enterprise.

2 Organise the records by business function/process into a preliminary classification scheme composed of record series, or “buckets.”

3 Conduct legal research to identify relevant federal and state laws and regulations affecting retention and organise them into legal groups that are related by industry and subjects. Approximately 15 to 20 per cent of the records series in a schedule will *not* have legal or regulatory retention requirements, and business requirements for retention will need to be defined.

The process of mapping the record series related to the same or similar business processes to their relevant legal, regulatory, and business requirements produces the first draft of the retention schedule.

For a more detailed description of the retention schedule development process, refer to Tina Torres’ article on creating process-focused retention schedules in the October 2006 issue of *The Information Management Journal* and Ellie Myler’s article on the functional approach for retention schedules in the January 2008 issue.

4 Consolidate the buckets in the draft retention schedule into fewer bigger buckets by assigning the longest retention period among a group of consolidated buckets to its new bigger bucket.

Consolidation into bigger buckets is a collaborative process that requires participation from the legal, records management, IT, and key user departments and requires consideration of many factors, including an organisation’s risk tolerance, history of litigation, and resource constraints.

» CONDUCT LEGAL RESEARCH TO IDENTIFY RELEVANT FEDERAL AND STATE LAWS AND REGULATIONS AFFECTING RETENTION «

UPDATING EXISTING RETENTION SCHEDULES

1 Make sure legal research and business requirements for retention are up-to-date. Refreshing the legal research is recommended every 18-24 months in highly regulated industries.

2 Consolidate record series related to the same and similar business processes and supported by the same or similar legal and business requirements into bigger buckets and assign the longest retention period.

3 Provide crosswalks (tables indicating the relationship between two systems or data structures) to legacy content classified to the old schedule. Legacy content may need to be re-classified to the new retention schedule because any destruction must proceed under the retention schedule and laws existing at the time records are destroyed with a couple of exceptions.

According to Donald Skupsky, JD, president of Information Requirements Clearinghouse: *In the case where the old retention schedule periods have been used for years to establish destruction dates, the old system cannot be updated to the new retention scheme (eg, the boxes just reflect the destruction date, not the retention rule or period), and the old retention is generally longer than the new retention, then the organisation might elect to 'grandfather' the old retention scheme for these old records only.*

Alternatively, when the old records are not linked to a pre-existing records retention schedule or the content is generally unknown, and re-classification would be impossible for practical reasons, the organisation may elect to destroy the records after some standard, relatively long period such as 10 years after the last activity. This approach lets the 'passage of time' determine the 'valuelessness' of the records for any purpose without incurring the expense of re-classification to the new retention schedule.

BIG BUCKET APPROACH RECOMMENDATIONS

Involve the end user community to make sure consolidations make sense.

For example, accounts payable and accounts receivable are usually combined because they are related to the same business process and retention is mandated to the same laws and regulations. But some companies may keep them separate, putting accounts payable in the supply chain management function/process and accounts receivable in the accounting function/process.

Don't co-mingle buckets with fixed chronological retention periods (such as "six years") and buckets with conditional or event-driven retention periods (such as "as long as in force plus six years") in a single bucket.

This is not recommended because it is not practical to apply the retention period consistently, a records management and disposition best practice.

Consider record volumes, especially with physical records.

In the Nevada gaming industry, for example, retention periods for gaming records are mandated by the State of Nevada Gaming Control Board, and most records have a retention period of five years. It may appear reasonable to have a single record series for gaming records with a five-year retention period.

There is, however, one content type, slot machine payout tickets (wagering instruments), whose mandated retention period is only 90 days. The volume of tickets grows rapidly, and it would consume expensive casino real estate or offsite storage if the tickets were consolidated with other gaming

records into one bucket and retained for an extra four years and 266 days. In this case, the recommended approach is to create a bucket just for the payout tickets with a 90-day retention period and another for the rest of the gaming records with a five-year retention period.



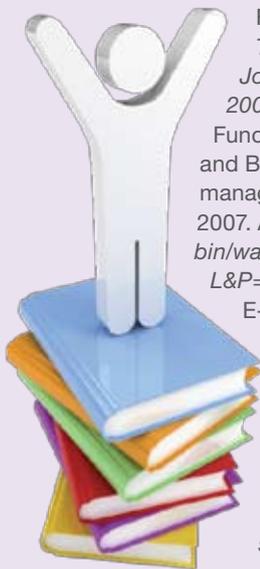


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In the final analysis, organisations need to weigh the odds of end users properly classifying content against risks of potentially retaining content longer than necessary. These risks are unique to each organisation and are based on its history of litigation and regulatory scrutiny, its culture for risk tolerance, and its resourcing constraints.

WHAT TO DO NOW

Increasingly, organisations are acknowledging that all recorded information retained by employees is potentially discoverable in a court-ordered legal discovery or regulatory investigation, and retention must be applied to all information formats and all media throughout the information lifecycle.

Applying retention to "official records" is already a challenge. The complexity of managing all recorded information for retention purposes is exponentially more challenging.

Another key change is the availability of a variety of additional metadata captured in enterprise content and records management systems, which may make location, navigation, and retrieval of information for litigation and other operational needs much more practical than it was in the world of physical records.

To address the challenges of managing all recorded information and leveraging the advantages of enterprise content and records management systems, organisations need to establish a cross-business function team, including representatives from legal, compliance, IT, records management, the user community, and other key stakeholders, if one is not already in place.

The team needs to lead the effort to create a unified enterprise content and records management strategy by developing:

- Information infrastructure with a common taxonomy to organise, describe, and link records (classification scheme), standardised indexing (metadata), and a single set of retention policies for all physical and electronic records, optimised for implementation with electronic records (big bucket retention schedule)
- Technology infrastructure, including an enterprise content management and records management solution architecture
- Approach for classifying content for retention and retrieval, preferably transparent to users by using techniques such as templates with embedded classification and automatic categorisation by role, department, and/or security profile
- Training and change management strategy, including the identification of information coordinators or specialists to become the local experts in rolling out the plans

The team will also need to assess the long-term impact of migration to 2007 versions of Microsoft Office and SharePoint (the fastest growing product in Microsoft history) on records and information management practice. Organisations are inheriting (at no cost, if they have already licensed the Microsoft Office 2007 suite) additional capabilities traditionally defined as enterprise content management and will need to determine how to leverage the records management functionality.

Several high-profile organisations have launched successful enterprise content and records management programmes. The reality for most organisations is that their leaders do not yet have the appetite for launching an organisation-wide content and records management initiative.

The Gimmel Group's Mike Alsup, writing for OmniRIM

Solutions Inc.'s February 2008 newsletter, said: *Management is not yet ready to spend enough money to train users and provide the time for them to properly identify and organise existing content, including declaring and classifying these documents as records. Advanced search and categorisation tools will become more and more critical in 2008 as a means of searching through the chaos of desktop, shared drive, email, and document repositories to classify existing documents.*

SO, WHERE'S THE FIGHT?

The big bucket controversy appears to be about how big "big" is. When "big" is defined as about 100 buckets or record series

in a retention schedule, stakeholders generally agree that having fewer retention buckets is better than having more. The challenge of managing electronic records with enterprise content, records management, and collaboration tools is bringing many long-standing records management practices, such as developing retention schedules, to the forefront for interpretation in a manner appropriate to electronic records.

By combining the electronic ways of working and traditional records management practices, bigger retention buckets should result in a system in which users can manage all recorded information with confidence and integrity. From this author's perspective, the fight is over; it's time to move on! **iQ**



About the Author

SUSAN CISCO, PhD, CRM, is a director in Gimmel Group's Enterprise Content and Records Management (ECRM) services organisation in the US, focused on helping large enterprises improve business performance and compliance through the effective planning, implementation and integration of: Enterprise Content and Records Management (ECRM), Geographic Information Systems (GIS), Web design, and user experience. She brings more than 25 years of experience in the records and information management field as a practitioner, educator, and consultant. Cisco has successfully consulted with companies in multiple industries, including oil and gas, hospitality, healthcare, insurance, utilities, and government. She holds an MLS and PhD in Library and Information Science from the University of Texas at Austin. She is a Fellow of ARMA International.

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Records, Rabbits, & Louis Pasteur's Australian Gambit

In 1888, world-famous French microbiologist Louis Pasteur sent a team to Australia headed by his nephew to win a \$10 million prize for wiping out the Australian and New Zealand rabbit plague. Recently rediscovered records played an important part in revealing the incredible story that ensued.

BY STEPHEN DANDO-COLLINS

As the dusty bundle of records was laid in front of me at the State Records of NSW repository at Kingswood in Sydney's outer west, I had no idea that the contents held evidence of a concerted campaign of spying by the Premier of New South Wales against a French scientific team sent to Australia by Louis Pasteur.

I did know that these records had been at the centre of an international incident in 1888-89 involving the governments of New South Wales, Great Britain and France, and which had embroiled the likes of the Prince of Wales and poet Lord Lytton – then British ambassador to Paris. But, after generating a rash of correspondence and much parliamentary debate, the affair had been brushed under the carpet.

It had all begun in late 1887. In Paris, world-famous microbiologist Louis Pasteur was recovering from a stroke brought on by money worries. Pasteur had established a public subscription to build his Pasteur Institute, a unique scientific research facility that would serve as his monument. But the fund was well below its target, and the French Government, headed by President of France Jules Grevy, was poised to take the project from Pasteur's hands if he could not finance it.

In November, Pasteur's loyal wife Marie read him an advertisement from the Paris press. The New South Wales Government of Sir Henry Parkes was advertising an international contest for a biological cure for the rabbit plague then ravaging Australia and New Zealand and threatening to render many farms useless.

With the booming Australasian economies based on wool and meat exports, the very viability of the colonies was threatened as pastureland was denuded by rabbits, which, since being released into the wild in Victoria in 1859, had grown to number into the hundreds of millions and spread throughout the colonies.

A government bounty scheme introduced in New South Wales in 1883 saw millions of rabbits trapped and poisoned each year in the colony, yet the plague had not diminished; it continued to spread. By 1887, NSW Premier Sir Henry Parkes – considered the 'father of federation', and after whom the NSW town of Parkes and a Canberra suburb are named – conceived the idea of an international competition to find a biological remedy for the rabbit plague. The prize offered for a competition winner, equivalent to \$10 million today, attracted 1,500 entries from around the world. But the most promising came from the famous Louis Pasteur.

Pasteur was convinced that he had the cure for the rabbit plague. In earlier experiments he had noticed that rabbits that came in contact with chicken-cholera swiftly died. He now

Story Snapshot

- Records show that NSW Premier Sir Henry Parkes spied on Pasteur's team in Australia
- The unlabelled personal records of Pasteur's nephew, unearthed in Canberra, unlocked many of the secrets of this amazing episode in Australasian history

had his twenty-four-year-old nephew and protégé, Adrien Loir, conduct laboratory tests, and then a field trial at the Pommery Champagne estate at Reims, all of which proved that chicken-cholera introduced into the feed of rabbits swiftly killed them.

PASTEUR'S TEAM IN AUSTRALIA

Announcing to the French press that he had the cure to the Australasian rabbit problem, Pasteur dispatched a three-man scientific team headed by Loir to Australia, to prove his remedy and collect the prize. At the same time, he let it be known in France that the contest prize-money was as good as his, and work began on building the Pasteur Institute in the Paris suburb of Grenelle.

Pasteur wanted his team to be on their way back to France with the prize-money within six weeks of their arrival in Sydney, fully expecting the competition's judges to waive the advertised competition condition that the successful remedy be tested in Australia over a period of twelve months. For, Pasteur could not afford to wait twelve months for the money.

But the competition's judges, who had been nominated by the governments of New Zealand and every Australasian colony except Western Australia, could not change the competition's rules, even if they wanted to.

In fact, as Pasteur's young nephew Loir discovered once he reached Sydney in the autumn of 1888, the most influential judges were violently opposed to the introduction of Pasteur's rabbit remedy. These were Sydney and Melbourne doctors who were 'anti-vaccinists', medicos who opposed Pasteur's work to vaccinate humans and animals against disease. They supported Pasteur's greatest scientific rival and leader of the anti-vaccinist movement, Germany's Dr Robert Koch.

Young Loir found himself locked in an extraordinary tussle with the competition's judges, several of whom even involved Robert Koch in a covert attempt to sabotage Pasteur's competition entry.



Above French microbiologist Louis Pasteur, who was desperate to win the Australasian rabbit competition's \$10 million prize. (Photograph courtesy of the Pasteur Museum, Paris)

The Pasteur Institute in Paris, 1889. Pasteur desperately needed the Australian money to open it. (Photograph courtesy of the Pasteur Museum, Paris)



Above Photographed in Brisbane, Pasteur's young nephew, Adrien Loir, who came to Australia to prove Pasteur's remedy and take home the prize. (Photograph courtesy of the John Oxley Library, Queensland Library, Brisbane)

Left The NSW ministry of Sir Henry Parkes, 1890. As the records show, Parkes, on the left, standing at rear, spied on the Pasteur team while they were in Australia. (Photograph courtesy of the Mitchell Library, Sydney)



Loir and Pasteur had one secret ally in Australia – Sir Henry Parkes. With long white hair and a bushy white beard, Parkes looked like a grumpy Father Christmas. This colonial colossus, whose friends included poet Lord Tennyson and nurse Florence Nightingale, famously had a mistress, would make a 23-year beauty his third wife, and would father his last child at the age of 80.

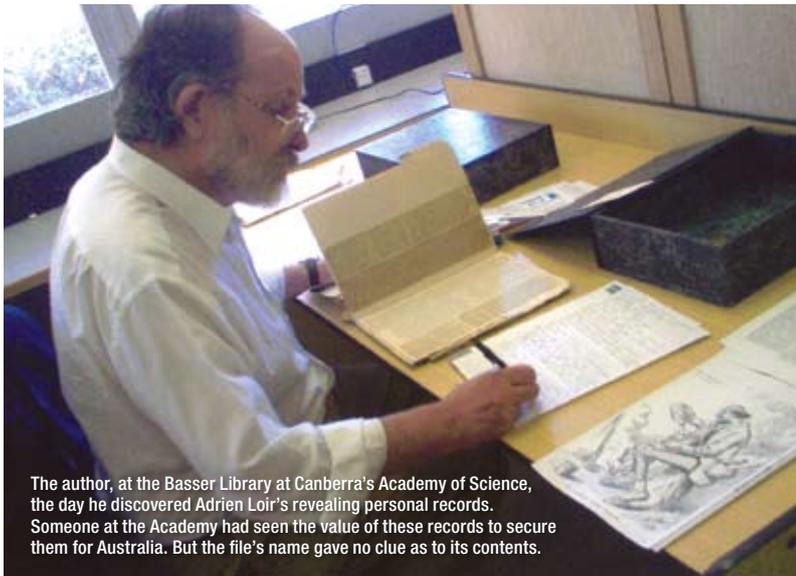
In 1888, the 73-year-old Parkes was at the height of his mental and political powers, and he was determined to see Louis Pasteur's science introduced into New South Wales, to the benefit of the colony. When the minister responsible for administering the competition inclined toward Pasteur's opponents, Parkes sacked him and took personal charge, even calling in and dressing down one of the NSW competition judge – a doctor and parliamentarian who was at the heart of

opposition to Pasteur. .

As the judges closed ranks against him, and against Pasteur, Sir Henry resorted to every method he could to help Pasteur behind the scenes. Most importantly, he approved the expenditure of \$1 million on the construction of a scientific research station on Rodd Island, in Sydney's Iron Cove, giving Adrien Loir and his team permission to conduct their chicken-cholera experiments to prove Pasteur's rabbit remedy to the judges – who attempted, unsuccessfully, to prevent Loir using the Rodd Island facility.

As the rabbit competition dragged on for month after month, Parkes' Mines and Agriculture Minister, Francis Abigail, asked Adrien Loir if he would conduct experiments to determine whether Cumberland disease, which was causing heavy stock losses in NSW, was in reality deadly anthrax, a preventative vaccine for which Pasteur had developed in France.





The author, at the Bassett Library at Canberra's Academy of Science, the day he discovered Adrien Loir's revealing personal records. Someone at the Academy had seen the value of these records to secure them for Australia. But the file's name gave no clue as to its contents.

“I'D DISCOVERED THAT THE LIBRARY HAD A FILE SIMPLY LABELLED 'ADRIEN LOIR', WITH NO RECORD OF ITS CONTENTS. NOT EVEN THE LIBRARIAN KNEW WHAT THE FILE CONTAINED”

Young Loir was indeed able to prove in the laboratory that Cumberland disease was anthrax, after which the NSW Government made preparations for a public trial by Loir of the Pasteur anthrax vaccine at Junee in front of a commission of experts.

At Loir's request, Pasteur sent a quantity of his anthrax vaccine to Australia by steamer, care of Premier Parkes' office. 'Premier' was then a courtesy title – Parkes was actually officially known as the colony's Chief Secretary. And all mail addressed to the Premier was in those days delivered to the Clerk of Records in the Chief Secretary's Department.

THE CLERK OF RECORDS' MISTAKE

One afternoon in the winter of 1888, a wooden box arrived on the desk of the Clerk of Records, off the French steamer *Oceanien*. There was a letter accompanying the box, which the Clerk of Records opened, only to realise that the letter and the box were from Louis Pasteur and were intended for his nephew Adrien Loir. The Clerk of Records handed box and opened letter to Chief Clerk Edward McKenny.

Chief Clerk McKenny was unsure what to do about the opened letter, but gave the box to the Post Office. For a week the Post Office attempted to deliver the box to the Bligh Street flat being rented by Loir and his French associate Dr Francois Germont. Loir and Germont were then staying on Rodd Island, so the box could not be delivered to the Bligh Street address.

McKenny knew that another member of the Pasteur team, Frank Hinds, was staying at the Bligh Street flat of the Premier's right-hand man, Under-Secretary Critchett Walker. So McKenny personally delivered the box and opened letter to Hinds.

The matter might have been forgotten had not another incident occurred shortly after. On the eve of the June anthrax trial, Pasteur sent a telegram instructing Loir not to proceed with the trial until the rabbit eradication competition had been satisfactorily concluded. In other words, Pasteur wanted the rabbit competition prize-money before he would allow NSW to benefit from his anthrax vaccine. As Loir quickly noticed when he opened the telegram, it had been received in Sydney 36 days earlier, yet it had taken all this time for it to be delivered. Intriguingly, on the bottom corner of the telegram was written 'Mislaidd. H.P.'

Loir's volatile colleague Germont exploded, and hurried to the Premier's office with Loir in tow, demanding to know what was going on. Not satisfied with this, and after two more letters from Pasteur to Loir arrived after apparently having been tampered with, Germont ignored Loir's attempts to cool him down and went to the parliamentary Opposition. Questions were now asked in the NSW Parliament.

When the matter was first raised, Sir Henry Parkes admitted that he had personally written 'Mislaidd' on the telegram and added his initials. Later, under pressure in both houses to explain why, his memory of the episode became clouded, and his defence more spirited. Germont was not satisfied – this delayed telegram, the delayed delivery of the anthrax box, the letters that had been tampered with, all raised his suspicions, and his ire.

Once Pasteur, in Paris, was appraised of the matter, he complained to the Prince of Wales, and to Lord Lytton, the British ambassador to France, who passed on the complaint to the British Prime Minister, Lord Salisbury, who wrote to NSW Governor Lord Carrington complaining that Sir Henry Parkes was up to something. But Carrington, a close friend of Parkes, brushed the affair aside.

Meanwhile, Adrien Loir was keen to win a NSW Government contract for his uncle's anthrax vaccine, and had not wanted Germont to stir up any controversy. Ignoring his uncle's instructions, Loir proceeded with the anthrax trial at Junee without waiting for the outcome of the rabbit competition, saying that preparations for the trial had advanced too far for him to pull out. The trial was spectacularly successful, and the commissioners supervising it recommended that the government introduce Pasteur's vaccine.

Now, Pasteur, who was only months away from opening his new Institute in Paris and was desperate for funds to equip it and pay its salaries, advised that he would agree to his anthrax vaccine being used in Australia – for a fee of \$40 million. Not unsurprisingly, Sir Henry Parkes, who was not going to be blackmailed by anyone, let alone Louis Pasteur, washed his hands of Pasteur from that moment.

This would all have been very disappointing to Parkes, who had been Pasteur's greatest supporter in Australia. As Germont had suspected, Sir Henry had even resorted to spying. But

he did so in Pasteur's interests. I know this because of what I discovered at State Records at Kingsford.

My wife Louise and I had been all over Australia looking at records connected with the rabbit eradication competition, and here we had a dusty file before us bound in red ribbon – the term 'red tape' refers to the habit of British bureaucrats to bind up their files with red tape like this.

RECORDS FROM THE SPYING CASE

As, wearing white gloves, we carefully unbound the tape, it was obvious that the file had not been opened in 120 years. Inside, we found copies of all the NSW parliamentary debates relating to Germont's accusations of spying. But more than that, we found the original 'Mislaide' telegram – on the pink telegram form of the New South Wales Electric Telegraph Office, its message handwritten, as telegrams were in those days. And, on the bottom corner, the note, in a different hand: 'Mislaide. H.P.'

Also in the file were handwritten copies of every other telegram sent by Pasteur to his team in Australia, noted down by Parkes' Records staff. It was apparent that Sir Henry Parkes had indeed acted covertly as far as the Pasteur team was concerned, copying and reading every one of Pasteur's telegrams before they were delivered, enabling him to know what Pasteur's instructions to Loir were before Loir even received them.

And as I researched the matter further, I learned that the telegram in which Pasteur had instructed Loir not to proceed with the anthrax trial until he had won the rabbit eradication competition had been delivered to Sir Henry Parkes one evening at his home. Parkes had subsequently sat on the telegram for the next 36 days, to ensure that Loir proceeded with the anthrax trial.

Several months after opening the file at Kingsford, Louise and I were at the Australian Academy of Science's Basser Library in Canberra. I'd discovered that the library had a file simply labelled 'Adrien Loir', with no record of its contents. Not even the librarian knew what the file contained.

After making an appointment to see the file, the day we turned up at the Basser Library we discovered that it consisted of two A4 file boxes, which, with pounding hearts and high hopes, we proceeded to open.

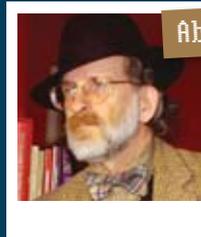
The boxes contained Adrien Loir's private Australian scrapbooks. A real hoarder, Pasteur's nephew had filled his scrapbooks with press clippings, rail and steamer tickets,

invitations, photographs, sketches, pressed flowers, you name it. Here was an intimate record of Loir's life in Australia – he ended up spending several years here.

These records, and others found in Sydney's Mitchell Library other libraries in Melbourne, Hobart, Brisbane and Canberra, opened the door to the full story of Pasteur's gambit in Australia. As I've found many times before, searching the records is like searching for buried treasure, and more often than not we strike gold by digging up some wonderful facts.

You may be wondering if Pasteur won the competition, and whether his anthrax vaccine was introduced into Australia. I'm afraid my publishers at Random House won't let me reveal the story's ending. But I can say that the Pasteur Institute did open in Paris, and went on to flourish, with the help of Australian money.

Today, there are Pasteur Institutes in 30 countries worldwide. There was one in Australia too, but the story of how that was forced to close, like the story of Adrien Loir's affair on Sydney's Rodd Island with famous French actress Sarah Bernhardt, will have to be told elsewhere. **iQ**



About the Author

STEPHEN DANDO-COLLINS is the author of 'PASTEUR'S GAMBIT: Louis Pasteur, the Australasian Rabbit Plague, and a Ten Million Dollar Prize', published by Random House. His last Australian history was

'CAPTAIN BLIGH'S OTHER MUTINY'.

Stephen is also the author of a series of a Roman histories, which Canada's *The Gate* magazine recently described as 'the best there is in this particular genre'. Stephen's latest American history, 'TYCOON'S WAR: How Cornelius Vanderbilt Invaded a Country to Overthrow America's Most Famous Military Adventurer', was published in August in the US, UK, and Canada by Da Capo Press, and is, according to the *Wall Street Journal*, 'a terrific read'.



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25th RMAA International Convention, Sydney: The view from the floor



How did the participants view the RMAA 2008 Convention? Here is a cross-section of opinions.

BY KRISTEN KELEY, MRMA, RMAA MARKETING & CONVENTION OFFICER

EXHIBITORS

'The organisation of the RMAA Conference was excellent. The RMAA team were professional and willing to help when needed. The breakfast and vendor seminar sessions were well received by the delegates that attended. This annual conference always offers a great opportunity to meet new contacts, catch up with our clients and network with partners.'

Paula Walker

Market Communications Consultant
Objective Corporation

'We found the show to be well organised in the setup and the attention given to us in particular from the RMAA staff to ensure all was in order was well received over the 3 days. The show itself seemed to run like clockwork with many delegates in attendance keenly interested in our product and many leads created as a direct result. This was a major initiative of Archive Security in attending the show to make our brand known, especially in the Australian market. Of course, nothing beats Gelato on a warm Sydney day near the Harbour, having this as part of our stall no doubt gave us an edge in spruiking our product on a consistent basis throughout the 3 days. RMAA staff throughout the show were informative and all too happy to assist.'

Jason Carr

NSW Assistant State Manager
Databank Technologies

DELEGATES

'I feel privileged to have had a paper selected as the student paper for the conference, particularly as it was my first attempt in submitting a professional paper.'

The ability to network with a wide range of organisations professionals from across the nation and the world

was excellent and offered me the ability to keep abreast of developments in the profession across numerous subject areas which I found a huge benefit.

Robert Bromwich

Speaker (Student Paper)

'I wanted to let you know how much I enjoyed the convention, as a 'newbie' I found it a very rich and exciting experience and am still trying to absorb all the great information that was provided.'

Michelle Van Weert

Information Management Controller
Woodside Energy Ltd.

'This year's conference was aimed to find ways to raise the profile of the industry by encouraging records management professionals to adopt new methodologies and processes to develop improved strategies to provide better record keeping systems and business solutions.'

The RMAA conference seeks to bring together experts in the field together with records management professionals with first hand knowledge in order to develop standardised mechanisms to meet both business solutions and legislative requirements.

'It is my opinion that the records management industry focus is to help business understand the roles and responsibilities with regard to this important industry and to obtain recognition for the profession through the delivery and capture of contextual information and content management by developing and applying business rules to capture informational context to enable organisations to manage knowledge to gain its value.'

'Many of the presenters used Microsoft Power Point to present their papers on knowledge management methodology to identify the importance of the following proper recordkeeping practices.'

'I must admit my notes were poor, as a majority of my time was spent networking with delegates. Many of the speakers stated that records managers are being confronted with the need to raise productivity – which could lean towards changes to job design, organisational structure and culture, and management systems. When this is coupled with the explosive growth in technology options and usage, it presents a genuine challenge to management which will be an important aspect to be considered.'

'If records staff are not involved in the development and implementation of e-business applications, including email, then there is the potential that the systems will be implemented without records management discipline. It was considered important to make management aware of the records management requirements of e-commerce. The records medium is changing but the need to manage records remains.'

'The convention provided me with the opportunity to enhance my practical and theoretical knowledge of records management, but also enabled me to maximise my time to network amongst conference speakers and interstate colleagues to discuss recordkeeping matters during and after convention hours. This does provide ongoing benefits and its probably the main reason why I attend each year.'

'The conference included presentations from a number of speakers over three days with numerous trade stands adjoining the exhibition. I attended demonstrations of some of the most up-to-date and improved records management and document management strategies. Many suppliers were exhibiting new developments in managing information and records demonstrating how these technologies can help to achieve accountability in an ever-changing work environment.'

'My participation at this RMAA conference was enjoyable and worthwhile, as it has helped to enlarge my professional knowledge and experience in the records management profession and keeps me up-to-date with the industry's latest technological systems.

I want to thank the Records

Management Association of Australasia including the organising committee for their time and effort in organising the

best ever RMAA conference.'

Murray Dri

Australian Department of Defence

Brief Overview

BY KRISTEN KELEY

As we put to bed another RMAA Convention and look forward to 2009, it is with great pride that I reflect on the recent 25th Convention held in Sydney, 7-10 September, and its theme of Adopting & Adapting.

Over 2 years in the planning, and with a supportive, dedicated and committed organising committee, the event boasted 53 sessions over 3 days, Special Interest Group meetings, User Breakfasts and social events. There was definitely something for everyone.

Product demonstrations and case studies provided by some of our leading industry vendors gave a practical insight into what people are doing in their organisations and some of the potential uses of new products being released. The SNIA ANZ stream provided a more technical bent to issues surrounding the capture, storage and long term preservation of digital information.

The most positive verbal feedback was received for Dr Julie McLeod, Judith Ellis, Lori Ashley, the Hypothetical, Tom Reding, E-Litigation and E-Courtrooms (particularly the latter two). In addition, the presentation on Managing Photographic Collections by Helen McLaughlin generated considerable interest and a number of people met with Helen after the presentation to exchange contact details, with the start-up of a special interest group being discussed.

Andy Carnahan's Wikis & Content Searching presentation, which challenged current classification and content management principles, generated a considerable number of questions and comments from the audience and provided lively and interesting debate.

The motivational Human Rhythms Drumming Workshop sponsored by Recall was an excellent start to the third day when people often start to become a little tired and bored. The nature of the session was kept under wraps for as long as possible and delegates were ushered into the Auditorium to the sound of drums to be confronted with their own drums in each seat. It wasn't long before many of the delegates were enthusiastically joining in. A number of delegates missed this session and after the positive comments by those who did attend, were quite disappointed.

Jenny Lincoln from Get Set for Success finished out the day with a session which saw the audience on their feet checking their muscle tone in a dynamic presentation about records management for your mind, covering things like improving your memory (access and data retrieval of information).

No RMAA Convention is complete without the vendors



From left to right: Joy Siller (Plenary MC), Justin Reading, David Pallot, Chris Colwell, Toni Anderson and Kristen Keley reflect on a successful event at the farewell

displaying their products and services and we have received many positive comments regarding the trade exhibition. People were not only pleased with the variety (which included several companies new to the Convention) but also with the excellent prizes and novelty items such as fairy floss and ice-cream.

One person was overheard saying she had brought a couple of her younger and newer staff members to the trade exhibition and they had commented that it was "Like the Easter Show for records managers".

Some new initiatives were introduced this year, these included a Newbies Orientation session on Sunday to allow people who were new to either the RMAA or to RMAA Conventions to meet with "oldies" being our more seasoned Convention-goers and long-term RMAA members to build networks prior to the beginning of the event.

This provided them with a guide as to the flow of the event and what to expect and gave them some friendly faces to talk to over the course of the Convention and some longer term contacts. Thank you to those "oldies" who volunteered their time for this initiative. "L" plate badges for Newbies were still being worn Wednesday as were the "Ask Me" badges, both of which helped identify people.

Another, was our charity initiatives, with RMAA members supporting the Shoebox Appeal (aka Operation Christmas Child) through Samaritans Purse and a trade stand donated to Australian Red Cross Blood Service to raise the profile of the need for blood donors. These initiatives will continue at future events although the charities may alter from year to year.

And of course there were the social events, always a great opportunity to catch up with old acquaintances, make new contacts, swap or create gossip and just have a good time. Sydney was no exception to this, with the Icons of Sydney Welcome Reception sponsored by Unique World being very well attended and the All That Glitters Gala Dinner sponsored by Microsoft 'going off' with the help of local band Jelly Bean Jam.

Judging by the number of congratulatory emails dubbing it "the best yet" I would say overall it was a well received Convention. **iQ**

SNIA ANZ delivers storage education to the RMAA Convention

In a first for both the RMAA and SNIA ANZ, the Storage Industry Networking Industry Association took an active role in this year's RMAA Sydney Convention, to deliver storage education to the RIM industry. Here, SNIA ANZ's GM Operations reports on the Convention from his association's perspective.

BY PAUL TALBUT

Earlier this year a strategic alliance was formed between the RMAA and the Storage Networking Industry Association (SNIA). To strengthen the alliance, Kate Walker, CEO of the RMAA, was invited to join the SNIA ANZ Board of Directors with a view to assisting the IT disk storage and data management industry to understand more about records management, and vice-versa.

One of the initial strategic objectives was to find ways to bring more IT based educational content into the RMAA membership and community, and to foster a greater understanding of storage and technology, but without so much of the technical jargon.

As a result, a decision was made to provide SNIA ANZ with a presence at the RMAA Convention and to allow them to host a technical presentation track to deliver educational material delivered by subject matter experts from the disk storage industry. An agenda was drafted with the help of SNIA ANZ members EMC, NetApp, SpectrumData and Redman Solutions.

A LONGTERM STORY TO TELL

Over two days, the presentation track covered topics such as data classification, data deduplication, long term data retention and preservation, SNIA standards, disk to disk backup, and Information Lifecycle Management (ILM). The sessions were, in the main, well attended, with a high degree of positive feedback from the audience, including requests for copies of the presentations from over 100 delegates.

The primary interests were around data classification technologies, and data retention and preservation best practices, and SNIA ANZ also used the opportunity to highlight the introduction of its standards development, namely XAM (eXtensible Access Method)

XAM is a standard that focuses on

fixed content: data that doesn't change over time, such as digital images, email, messages, presentations, video, medical imaging and cheque images. Fixed data tends to be kept for long periods of time, often to comply with government regulated retention periods and is growing at an exponential rate.

Currently there is no viable long term strategy to ensure digital information will be readable in the future. Digital documents are vulnerable to loss via the decay and obsolescence of the media on which they are stored, and they become inaccessible and unreadable when the software needed to interpret them, or the hardware on which the software runs becomes obsolete. Historically, storage vendors have approached this problem with new technology such as content aware storage (CAS), which is designed to store large volumes of fixed content over extended periods of time.

Due to the proprietary nature of CAS, the SNIA recognised that the long-term digital information preservation problem calls for a solution that does not require continual human intervention every time formats, software, hardware, document types, or recordkeeping practices change. The approach must be extensible, and it must handle current and future documents of unknown types in a uniform way. This is the goal of the eXtensible Access Method (XAM) specification under development by SNIA.

The benefit from XAM to information managers comes from providing standard technology solutions to ease the pressure of regulatory compliance, legal discovery, and data retention policies.

Part of the strategic alliance with the RMAA will be to examine how XAM overlaps with the Australian Standard on Records Management AS ISO 15489 with specific regard to metadata.

100 YEAR ARCHIVING PROJECT

Alongside XAM, SNIA is also driving a further initiative entitled the 100 year archiving project. As mentioned, more and more customers are demanding longer term retention periods for their data but as everyone is aware, technology refreshes occur with increasing regularity and it is difficult enough trying to read a file from five years ago let alone from 50 years ago.

Technically, the issue is not just about media life because periodic migration to newer media is often required, but in a large repository, how do you migrate multiple petabytes every year and at what cost? At some point migration becomes overwhelming and the digital retention process is broken – it does not scale.

Logically, long-term retention is about the ability to read the information and to be able to use it but applications have a relatively short life and rarely have the ability to read information older than a few revisions. Even standard formats evolve, change, and become obsolete.

At some point, information has to be migrated periodically to a new standard logical format, and then what about issues such as compliance, integrity, authenticity, privacy, and discovery? How are these critical aspects being guaranteed over the retention period?

The recent 100 year archiving requirements survey highlighted a crisis looming in the long term preservation of digital information. There are two principal challenges:

- 1 Losing stored digital information due to corruption, loss of access, loss of readability, or loss of discoverability.
- 2 Losing the ability to maintain pace with migrating an overwhelming volume of data onto new media and new logical formats.

SNIA is working closely with records management groups in the US such

as ARMA to address the technology demands for long term retention and readability of digital information. This collaboration is a good sign that the convergence between IT and records management is absolutely necessary to overcome some of the challenges we are facing.

Working with the RMAA is recognition that information management is a business issue not just an IT issue, and that corporate data has many stakeholders. If worldwide standards are going to be effective then collaboration of this nature is a pre-requisite to establishing a better understanding of the disciplines involved on both sides.

Here in ANZ we can influence the development of the global technology standards for data management by ensuring we understand what is considered best practice in records management, and what the regional, legal compliance and cultural differences are.

With the combination of the Technical Track presentations and the booth in the exhibition hall, SNIA ANZ were delighted with the positive response to our presence and with the number of people who took time to come and talk to us at the Convention. We hope that it is a forerunner of many more initiatives between our respective organisations. **IQ**



About the Author

PAUL TALBUT is the General Manager, Operations, with SNIA ANZ. He can be contacted at: paul.talbut@evito.net

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of different commercially available software solutions. Success means minimising and enabling smooth physical and logical migrations across the expanse of *time*.

So, if we keep the end goal in mind, which is simply – how to preserve and access digital information over the long-term, possibly infinitely, with ever changing business requirements – we have to recognise that “preservation” requirements are different than “production” requirements.

The ability to preserve and migrate information in a compliant, flexible, and cost effective manner must be achieved or the entire information retention system breaks down. Preservation programmes should not be treated as islands. Success will depend on implementing broadly accepted best practices, along with standards such as XAM and SIRF as they become available.

All organisations *must* prepare today to adopt standard logical formats in order to cope with the significant challenges of long-term retention and preservation. Success is also predicated on an organisation’s ability to collaboratively set the business requirements for retention so that information-centric management practices can be properly implemented.

New business drivers have changed the face of digital information retention and new standards and management methods have to be adopted to assure the proper preservation of the “world’s information” for generations to come.

- For more information on XAM and SIRF you can visit www.snia.org/xam and www.snia.org/dmf.

ABOUT THE SNIA DATA MANAGEMENT FORUM

The SNIA Data Management Forum is a cooperative initiative of IT professionals, vendors, integrators, and service providers working together to conduct market education, develop best practices and promote standardisation activities that help

organisations become information-centric enterprises.

Areas of focus include the technologies and services that support information lifecycle management, data protection, information security, and long-term digital information retention and preservation.

- For more information, visit www.snia.org/dmf.

ABOUT THE SNIA

The Storage Networking Industry Association (SNIA) is a not-for-profit global organisation, made up of some 400 member companies and 7,000 individuals spanning virtually the entire storage industry.

SNIA’s mission is to lead the storage industry worldwide in developing and promoting standards, technologies, and educational services to empower organisations in the management of information. To this end, the SNIA is uniquely committed to delivering standards, education, and services that will propel open storage networking solutions into the broader market.

- For additional information, visit the SNIA website at www.snia.org.

SNIA ANZ is the regional affiliate with responsibility for delivering SNIA programmes and initiatives throughout Australia and New Zealand. Other SNIA chapters exist throughout Western Europe, China, Japan, South Asia, Canada, India and Brazil. SNIA ANZ is a non-profit association funded by membership subscriptions.

- For additional information, visit the SNIA ANZ website at www.snia.org.au **IQ**

Endnote

1. SNIA-DMF’s “100 Year Archive Requirements Survey” (Jan 2007), www.snia.org/forums/dmf

Scaling the heights at the RMAA's 25th International Convention

When I first discovered that I was one of the three “lucky” registrants at the Sydney convention last month to win a Gift Certificate to climb the Sydney Harbour Bridge my heart sank – and then rose into my throat. All the opportunities at all the conventions in all the world (sorry Humphrey) and I had to win the one thing that scares me to death.

BY JULIA HARRIS, ARMA



I am terrified of heights, or at least heights without fences, railings, plate glass windows or other well-tried safety options, and my initial thought was “no way”.

Then I thought, I don't normally win raffles or prize draws, so why this one? Blame a long train trip home with no library book and a buffet car with alcohol, but I decided that if karma was facing me with this challenge – for free – then maybe I should accept it. So I did.

Then I told a lot of people about it to make sure I didn't back out. And I didn't back out, although I thought about it more than once in the first half hour. I did it and I have the evidence to prove it. And the fact that I'm willing to let *iQ* publish this highly unflattering photograph probably shows just how much that victory meant.

I'm very glad it was a warm, still, sunny day. If it had been blowing a gale, I suspect it would have been a lot harder to talk down those voices that keep telling you how crazy you are – and that just because no-one else has fallen off the bridge doesn't mean you can't be the first.

The initial 15 minutes walking towards the pylon, above the highway and under the road and rail tracks, nearly got me. Even though you are securely attached to the superstructure and there are rails to hang on to, it's still just scaffolding one person wide. And you can't hang on

with two hands all the time.

And then you have to climb up the side of the pylon. Four sets of steep metal stairs going straight up. I fixed my eyes on the step above me, took my time, and prayed I wouldn't freeze, because by that time the voices were telling me “It's probably safe but YOU don't have the bottle to do it.”

When I got to the top, our guide Milly said “Well done. That's the hardest bit. If you can get up here and still be willing to go on, you'll be fine.” And she was right. I was. And I did.

To be honest, it took most of the first half of the climb for me to relax enough to enjoy the experience. The stops to admire the view, have photos taken and let other tours pass us on the steps were a challenge to my equilibrium.

This photo on the summit of the arch was the first time I had the courage to take both hands off the rails, and I expect the look on my face says it all. But I can honestly say that I didn't freeze, I didn't lose my nerve, and I clearly didn't die.

I stood 134 meters above Sydney Harbour, looked down at the water, and knew that, for at least as long as the adrenaline lasted, I could do anything. I have the T-shirt to prove it.

Regardless of how you feel about heights, climbing the Bridge is an amazing

experience, particularly on the sort of day we had. You walk up to the center of the arch, cross over and walk back down the other side, so you see both sides of the harbour. You stop regularly to look at the city, hear about the history of the building of the bridge, and to acclimatise yourself to where you are. The whole trip takes about 3 ½ hours. If you're a romantic as well as sure-footed, you can go at night.

It is the most empowering thing I've done in years. I glowed like a lantern for days afterwards, as anyone at the convention will tell you. The bridge guides are used to managing people like me. Just tell them you're nervous and they'll make sure you're fine. And in the unlikely event you aren't, there are people at the two scariest points who can take you back down.

I enjoyed the Sydney convention a great deal, both the papers and the chance to catch up with people I only see once a year. But I would really like to thank the Convention Committee for the chance to soundly thrash a few of my internal demons.

I hope I managed to stop talking about it early enough not to bore everyone around me, but I'm still smiling as I write this. And one day I might even do it again. Some-one said the next challenge was sky-diving. Watch this space. **iQ**



Left Kate Walker and Susan Henshaw hard at work behind the registration desk
Below Dinner dancefloor at beginning of All That Glitters convention dinner

Convention Snapshots



Records Solutions won Most Interesting Stand in the People's Choice Award for their elegant theming





Silver Anniversary Convention Dinner theme was "All that Glitters"



Above Band "Jelly Bean Jam" Left SA Director Donna-Maree Findlay with new RMAA Chairman of the Board, David Pryde Below Left to Right – Suzanne Pickert, Jason Kornl (from PNG), Helen Onopko at the Welcome Reception



Right Left to Right – David Pallot, Perla Innocenti, Chris Colwell at Welcome Reception (David & Chris CoConvenors of Convention, Perla keynote speaker) **Below left** Chris Fripp and wife Lois (centre) with Julie McLeod at Pre Dinner Drinks (Chris was a speaker and on the organising committee, Julie was a keynote UK speaker) **Below right** Kate McCarthy & Amanda Harris glitter at Dinner **Bottom** Queensland members go for Gold at the Dinner





J EDDIS LINTON AWARDS

The 2008 J Eddis Linton Awards were presented at the RMAA International Convention in Sydney in September. There was no winner of the Student Award this year. The other award winners were as follows.

GROUP AWARD Records and Archive Management Services, Edith Cowan University

Edith Cowan University is located in Perth, Western Australia. The university's origins go back to 1902 when it began as a teaching college. Today it is WA's second largest university with approximately 23,000 students.

In 2006, the university was the recipient of a grant under the Workplace Productivity Programme for a project entitled "Enterprise Records Management Solutions". The project called for a team of four specialists to undertake a number of tasks related to records management at both ECU and Curtin University.

Stage 1 of this programme covered a Electronic Business Information Systems Gap Analysis and Compliance Review. This required the team to undertake a gap analysis of existing disparate recordkeeping systems in terms of compliance with approved standards, and to recommend methodology to obtain either compliance or integration with a compliant system.

The awards committee was impressed with both the thoroughness and quality of the submission as well as the depth and outcomes of the project.

Bart Gagatek, Project Team Leader, accepted the award.

INDIVIDUAL AWARD Margaret Pember, FRMA

Margaret Pember is an archives and records management lecturer at Curtin University of Technology in Perth. She recently completed a doctorate at The University of Western Australia. Margaret's PhD research focused on the extent of recordkeeping as a profession.

Margaret comes to the field of records and information management after 12 years experience as a secondary school teacher. An interest in archives motivated a return to university in the 1980s. Since then, Margaret has worked in the records, archives and



Above Records & Archives Management Services, Edith Cowan Uni – Left to Right; Bart Gagatek, Colin Meek, Sue Adams
Left J Eddis Linton Individual Award Winner 2008 – Dr Margaret Pember

library environment in Australia, the UK, Singapore and Fiji.

Her research interests include information disaster planning and risk management, information as a corporate resource or asset, the professionalisation of recordkeeping, and professional development and continuing education for records and information professionals.

Margaret also received RMAA Life Membership. She later told the the RMAA CEO and National Board, 'It has been a pleasure and also very rewarding to be associated with the RM Profession. I am sure that the profession will continue to go from strength to strength being in such capable hands. Who knows what the future holds! I will watch with great interest.' **IQ**

JIM SHEPHERD AWARD

OBJECTIVE CORPORATION

This award is presented to an organisation which the judges feel provided significant support to the RMAA and the Australasian records management industry over the past year.

To ensure our continued understanding of what records management professionals need to develop and utilise their skills and experience to leverage the value of records as corporate assets and as evidence of business activities, Objective participates in and supports the activities and events of the Records Management Association of Australasia, and the Association's internationally

respected publication for records management professionals, *iQ*.

Over the past eight years, Objective has played an active role in the industry, with continuous sponsorship and support of RMAA at both Branch and National level.

Objective has actively supported a wide range of activities and events in the industry, including: RMAA International Convention – 2001 through to 2008; Active participation in Branch Vendor showcases; Local Government Chapter Conferences; Christmas party sponsorship at Branch level; RMAA Article of the Year Award sponsorship since the award's inauguration; A wide range of Branch meeting sponsorships; Information



Tony Hughes accepts award on behalf of Objective (they also won it in 2006)

Awareness Month (IAM) sponsorship. On behalf of Objective, Tony Hughes accepted the 2008 award. **iQ**

OBJECTIVE RMAA ARTICLE OF THE YEAR AWARD

Objective RMAA Article of the Year AWARD

ALLEN HANCOCK, ARMA 'First Aid for Records'

Published in the May, 2008 issue of *iQ*, this article was an amusing but genuinely handy tool to help RIMs educate their work colleagues on what good recordkeeping is all about. The

article has subsequently been published in the UK and put up on a corporate intranet in Australia.

One of the Award judges commented: 'It was gratifying to be able to take something away and implement it in my own organisation. After spending the few moments to read the article I felt like I had been to a workshop. This article definitely had wow or X factor, and is my first choice because of its originality, value add to readers, and was just a good read.'

Allen is the Manager Records Standards and Consultancy with the Victorian Department of Human Services (DHS).

After he received his Objective award at the Sydney RMAA International Convention in September, Bronwen Ciolli, Senior Change and Communications Consultant with DHS, told *iQ*, 'Allen received a fantastic congratulatory email from the (Department's) Secretary, Fran Thorne, re the award, so we're all really proud of him.' **iQ**



Katrina Hinton (Objective) presents Allen Hancock with RMAA Objective Article of the Year Award

Reviewing

Two Views on a New View of the World of Web 2.0



AT A GLANCE

Title: *MANAGING THE CROWD: Rethinking Records Management for the Web 2.0 World*

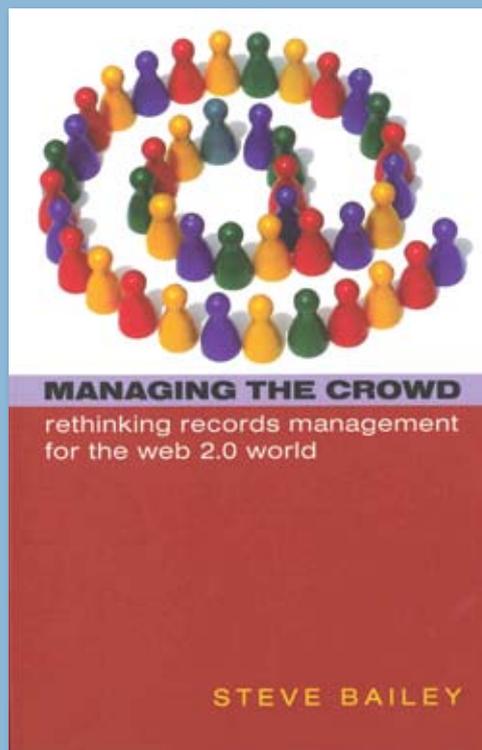
Author: Steve Bailey

ISBN: 978-1-85604-641-1

Published by: Facet Publishing, London

» "READ THIS ENGAGING BOOK FOR THE QUESTIONS AND CHALLENGES. BUT UNFORTUNATELY THERE ARE NO ANSWERS" « BARBARA

» "RAISES THE RIGHT ISSUES, ASKS SOME UNCOMFORTABLE QUESTIONS, AND PRODS A FEW SACRED COWS" « STEPHEN



AN AUSTRALIAN VIEW By Barbara Reed

Steve Bailey is a name to be reckoned with on the UK records management scene. A senior advisor at JISC, InfoNet, his provocative presentations and great questions about the success or otherwise of our professional records practices have made him a frequent guest on conference programmes, and his futurewatch blog continues his thinking.

Bailey's book *Managing the Crowd* is among the first records management texts to look forward to the world of Web 2.0. In Part One he explains the world of Web 2.0, exploring blogs, wikis, social bookmarking and networking, collaborative editing tools and other technologies lumped under this banner.

In Part Two he uses the refracting

lens of Web 2.0 to examine our records management practices. He finds them wanting: not scalable, too concerned with command and control, based too heavily on practices of the implicitly paper past and failing to meet the reality of today's technology, let alone the emerging user centric Web 2.0 world. He finishes in Part Three by providing 10 principles to guide the emergence of Records Management 2.0.

This book is intended to be a polemic, a discussion designed to raise issues, question apparently set-in-stone norms, and to provoke reaction. The personal voice is strong, the style is chatty, providing a good read, presented in short chapters, rather than a weighty scholarly piece. I read its 163 well-spaced pages in a 3-hour single sitting, not only because I was under pressure, but also because it is an engaging read.

So, what is the argument? Beyond the specifics of the technology, Web 2.0 represents a movement away from the somewhat ring-fenced organisational world as we know it to a very different emerging world. In reaction to this world, Bailey proposes that records managers are not even at the table.

He takes a long hard look at a number of records management processes. Classification is one. In a world of Google search, why do we bother? Now, here I take exception to some of the analysis. Actually, as Bailey himself identifies later, classification is not about information retrieval at all, but about context and meaning over time, and the base of a number of our tools such as security and access. So I find the characterisation of metadata schemas and classification as antique ways of managing information retrieval a bit hard to accept.

But, there is some really good stuff about degrees of specificity, who knows the business best, the effects of generalists determining specialist terminology, and responsiveness of our classification tools. Not to mention his terrific point about people being quite happy to tag in the Web 2.0 world but loath to conform to our restricting classification in the organisational context.

And why are we managing records? Bailey critiques the convenient notion that we manage records in records systems. This, he suggests, is another comforting fantasy that we perpetuate, as the line of business systems, increasingly outsourced and living on the Web, take over the storage of business documents.

Why don't we just keep everything? Bailey sets up and then works around this commonly asserted aggressive attack on appraisal and retention. His discussion of appraisal and retention is his longest on records processes. It is not a thorough examination, nor one particularly well cited.

Some of the dynamics of this book's target – records management practice –

might be country specific, but its basis is a reasonably familiar interpretation of the records management standard. The thrust of his arguments are well worth thinking about regardless of individual jurisdictional practice.

Bailey, who entered records management in 1997, looks at it from the perspective of a decade of experience. He bemoans the lack of change in practice during that time, and provides us, through a fictional scenario, with a dystopian picture of a profession clinging to old ways that is increasingly marginalised from where the organisation is moving to. As a child protégé, I have a longer view than this, and can count significant changes in professional practice over a longer time frame. This does not limit the impact of the arguments being made.

Bailey's questions are great and the challenges to practice should be taken on the chin. But unfortunately there are no answers provided in this book. And, Bailey doesn't claim to be providing answers. None the less, the single strategy suggested is that we should look to harness user perspectives and

user-tagging of resources for both classification and interpretations of 'value' as a tool for determining disposal. Let's experiment for sure, but is this it?

Bailey's 10 points for Records Management 2.0 proposed as the final part of the book fail to convince me. They read rather like a wish list – records management as scalable, comprehensive, extensible etc.

So, read this book for the questions and challenges. I loved the intentional iconoclasm. It reminded me a little of the bomb throwing of David Bearman's 1989 *Archival Methods*, which stated that the traditional ways of managing archives were failing their objectives by orders of magnitude (and that was before the electronic tsunami). As it is nearly 20 years since publication of that book, and not that much has changed, we can hope that Bailey's questions and challenges do not suffer the same fate.



The Reviewer

BARBARA REED, BA (hons), MA (hons), Diploma of Archives Administration, is Director and principal consultant with Recordkeeping Innovation Pty Ltd, Melbourne. She is a former lecturer at Monash University's School of Information Management, and headed the Australian delegation responsible to TC 46 SCII for development of ISO 15489.

A NEW ZEALAND VIEW by Stephen Clarke

Bailey is quite clear from the outset that this is "a book that provides few answers and seemingly little hope, and that [the hope] only applies to a small subset of the records management profession and the information [i.e. records] it seeks to control," as he says in his Foreword.

We are not left with a feeling that we are setting out on this journey in an optimistic frame of mind, so, what does his thesis offer us in the way of positive outcomes?

Bailey informs us that this is not a records management book but an attempt to challenge the *status quo* and examine a new paradigm; the book should leave us more aware of the meaning and impact of a paradigm shift in which we have to fundamentally rethink records management.

He gives himself a further objective in setting out to provide some specific examples of how records management 2.0 could actually be implemented.

These goals seem a bit more enlightening. We know what the book is not, and what it is setting out to achieve.

The central tenet seems to be that records managers and records management/archival theory is increasingly irrelevant in the digital information environment. The records management community, he says, should leave the management of digital information to IT specialists (or this will be the default position through inadequacy) or to the 'wisdom of the crowd' to decide what should be managed; what has ongoing value and manage only that which survives.

This 'fundamental re-thinking' and 'new paradigm shift' seems eerily

redolent of positions, or philosophical outlooks, discussed by those giants of the paper paradigm; Britain's Sir Hilary Jenkinson's administrator as 'modern destroyer' and US archivist Theodore Schellenberg's creator as sole arbiter on evidential value that, records contain on organisational and functional origins, but with i-pods and palmtops.

Bailey seems to be (perhaps unwittingly) arguing for a continuation of the status quo, where the records creator, or recipient, decides which, or whether, any information survives and take all the ultimate appraisal decisions, or is at best an unwilling advocate of the 'keep everything' approach rather than a 'radical new theoretical model'.

Certainly we are invited to view records management as finding itself in a post 'apocalypse' state of 'fatalistic resignation', with Bailey writing an epitaph for this 'tale of woe'. He sets out his stall and is upfront about being an *agent provocateur* putting up his 'Aunt Sally' to be knocked down by a baying mob of records managers' rebuttals.

He usefully reopens the old wound of 'records' versus 'information' - is there a meaningful distinction to be made, and is it a useful, or even useable, separation of terms? Not in the 'all records are information but not all information constitutes a record' approach, although he cannot resist going down this route, but in terms of 'is this distinction meaningful in the modern office/Web 2.0 world?'

He sees seven distinct types of Web 2.0. Blogs are number one on his list, both as one of the biggest conundrums that records managers face in the office/Web 2.0 world and as a potential records management saviour. The 'wisdom of the crowd' being that people are happy to voluntarily append metadata (blogs,

social tagging, etc.) and contextually describe the information they use, so that this aggregated 'wisdom' will allow us to judge whether information has value and how long it should be retained for.

I fear that Bailey is confusing what I will describe as the '99:1 Ego Theory'. The 1 percent of users who account for most contributions (Wikipedia contributors are only 1 to 2 percent of total site visitors) may exhibit these descriptive behaviors, but ninety percent of users are 'lurkers' who observe, but don't contribute. This over-emphasis on blogs and social bookmarking behaviour is a serious weakness in his argument that the 'wisdom of the crowd' will solve all our records management woes.

It is unlikely that the small proportion of users who actively post their opinions or other self-made material by writing blogs, social tagging, editing wikis, etc, represent a general trend towards users having insatiable desires to manually attribute metadata into corporate information systems. It is certainly not a sustainable alternative to the aggregation of records management theory, however outmoded.

Although Bailey certainly gives us plenty of food for thought, there are, sadly, no answers and no initial promises that they would be forthcoming. However, the book reads well and unsurprisingly has a casual and friendly tone reminiscent of a first person blog entry.

If you are looking for a good exposition of the issues and problems that we as records managers face in the emerging office/Web 2.0 environments then this is a good place to start. If you are looking for answers or critical analysis of the challenges, then you will be disappointed.

Bailey may not provide us with any

concrete or evaluative conclusions, but he certainly raises the right issues; asks some uncomfortable questions and prods a few sacred cows. Hopefully, his 'Aunt Sally' will tempt a few interested parties to throw some critical analysis and research at this target! **iQ**



The Reviewer

STEPHEN CLARKE, ARMA, is a Senior Advisor to Archives New Zealand's new Digital Sustainability Programme. He arrived from the UK in 2006 after working in local government archives and as records manager for the National Museums and Galleries of Wales. Stephen has produced a range of recordkeeping publications and studied for an MSc. Econ in Archives Administration and Records Management from the University of Wales.



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Snapshot:

The people who help make us tick:

Cathy Fyfe,

Tasmania Branch President

Cathy fell into RM in 1982 and over the years has worked for various Tasmanian State Government Departments, including National Parks & Wildlife, Department of Premier & Cabinet, Tasmania Fire Service, and Department of Health & Human Services.

She moved to the University of Tasmania in October 2000 to become Manager, Records & Information. In this role she is an educator, trainer, policy-writer, supervisor, advisor, archivist, system administrator, counselor, business analyst, documentation officer and troubleshooter, with just two assistants.

Cathy has undertaken further tertiary education, such as Associate Diploma of Business (Management) A, Filing & Records, Certificate III in Records Management, and has enrolled to take the Advanced Diploma in Business Recordkeeping.

She has been involved with the RMAA throughout her RIM career, initially as a corporate member with State Government. In 2000 she became an affiliate member and upgraded to an associate member in 2003. On and off branch council since the early 1990's, she enjoys the opportunity to contribute to progressing the branch's professional status, now and into the future. 'I love the networking opportunities,' she says.

Having attended the Association's International Convention a number of times, she would strongly recommend the value of participating in these conventions. 'And RM professionals know how to party!' she adds.

TRUE CONFESSIONS

iQ asked Cathy some personal questions:

A little known fact about you?

Prior to RIM, I worked for 18 months at a riding school and agistment centre, teaching people how to ride, taking trail rides and looking after horses.

Marital status/children?

Married to Andrew and have two daughters, Emma 16 and Maggie 13.

How did you get started in the RIM industry?

Like so many others, by fluke really. I registered with the now defunct Public Service Board employment register and was offered a temporary 8 month position as a 'Records Clerk' with the then National Parks & Wildlife Service. When first offered the position, my initial thought was of a little grey haired lady in a basement surrounded by four-drawer filing cabinets. I am glad to say, I found the environment I pictured quite different – we had windows, and no grey hair in sight!

Word that best describes you?

Stubborn, but in a nice way.

The thing you like best about your job?

It is a profession that is dealing with constant change and the never ending challenges that go with it, which include people, technology and culture.

The thing you least like about your job?

Lack of resourcing, resistance to change and the lack of recognition of the recordkeeping profession by senior management. Sometimes I think a hard hat should be a compulsory part of our uniform; saves the head from all that bashing against brick walls!

The most important lesson you've learned?

Focus on the things you can control.

Your motto for life?

Karma. What goes round, comes round.

The book that has influenced you most?

Not sure that I can pick just one.

Your favourite movie/s?

The Green Mile.

Your favourite singing artist/s?

John Butler Trio, Powderfinger, Ice House.



Cathy Fyfe,
Tasmania Branch President

Your favourite holiday spot?

East Coast of Tassie, or somewhere warm, where I can kick back and I don't have to cook.

Your favourite way to spend free time?

With my family & friends, riding my horse, reading and pottering around in the garden.

The vehicle you drive?

Suzuki Swift

The vehicle you would like to drive?

BMW coupe

The luckiest moment in your life?

Surviving after running over a cow in my car! Unfortunately between the log truck and my car, the cow did not survive.

Your business philosophy?

If at first you don't succeed, try, and try again.

Your personal measurement of success?

When a staff member finally gets what you are on about in regards to recordkeeping. "The lights go on"

Your ambitions for the RMAA in Tasmania?

To provide opportunities for members and associates to both share and expand their knowledge and skills to take back to their workplace. To lift the profile of records & information management in the eyes of senior management.

If you had the power to change one thing in the world, what would it be?

Global Warming

How would you like to be remembered by family, friends & colleagues?

Someone that can be relied on

Your secret dream or ambition?

That's a secret, even to me! iQ

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