

# iq

## InfoRMAA Quarterly

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### Focus on CORPORATE GOVERNANCE:

From the File Room to the Courtroom

Computer Forensics

Are You a Sentry or a Censor?

The Case For the Whistleblower

Surviving in the IT Governance Jungle

Raising the Ethical Bar

Memo to the Board: *Good  
Information Managment Leads to  
Good Corporate Governance*

### NEW TECHNOLOGY:

RFID and MEAP

### INDEXING:

The Future of Information

### REMINISCENCES:

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ASSOCIATION OF AUSTRALASIA

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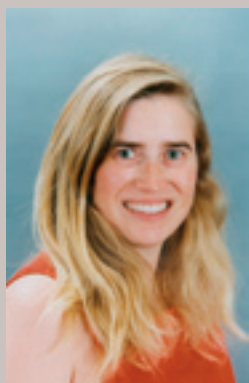
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Included with this issue - 2005-06 RM Calendar of Events Liftout

**This issue's Featured  
Interview:**

Geoff Moore of TOWER  
Software, whose TRIM  
solution is conquering  
the world. See IQ  
Interview, page 16





**Kate Walker,**  
CEO of the Records  
Management Association  
of Australasia

# From the CEO

## The RMAA, Communication & Change

**During my short term as CEO, among the major issues that have arisen have been communication and change. How do we address them? The Association is growing, and expanding its role, and the Board is putting out information in a variety of ways, but often we find that the message is not getting to members.**

When we use the word “communicate”, we are referring not only to the words one uses to transfer factual information to others, but also to other “messages” that are sent and received.

It is clear that if the Board, Management and Branch communicate effectively, they will be sending messages that decrease resistance and encourage moving through change more effectively and positively. The bottom line is that if we screw up communication with members, even the smallest changes can result in ugly problems.

There are all kinds of communication models, some basic, some complex. For our purposes communication can be described as CREATING UNDERSTANDING.

Through words, actions, body language, voice tone, etc we send many messages about change. This constitutes one-half of the communication process. The second half involves verifying that the message we sent was actually received and interpreted the way we intended.

The only way we can be sure we have created understanding is to listen to the members we are communicating with and encourage them to reflect back to us what they have heard (and what they make of it). We need to make sure we provide all the necessary tools to allow our members (and stakeholders) to have a clear understanding of (and input into) RMAA direction and outcomes.

Remember:

- A) Although we communicate in a way that seems clear to us, the receiver filters the information through a very complicated set of pre-conceptions that can function to distort the message.
- B) Receivers listen selectively. They hear and process some things and “gate out” other things. This means that while we think we’ve explained the “whole picture”, it is likely the whole thing wasn’t received.
- C) The ONLY way we can ensure we have created common understanding is by asking the other people what they have heard, and their reactions to it.

The RMAA has sometimes had a tendency to communicate about change on a “need to know” basis. However, the Association today recognises that almost any change will affect most members, no matter how removed they are from that change. We are better off over-including people in our communication than leaving them out.

The National Board and Branches need to communicate to the Directors, Branches and members, and the members need to communicate to the Branches and the Board. One person can’t be responsible for all communication. It is everyone’s responsibility to ensure they communicate with and listen to the Board, Branches and members. YOU need to be active, to access and use the tools now available to keep you informed of what’s happening.

When the Association communicates, we are trying to:

- A) Give information that will reduce uncertainty and ambiguity regarding a change.
- B) Pre-empt the hidden information system - the grapevine - so we can ensure that incorrect anxiety-provoking information is not spread.
- C) Provide forums for members to communicate their reactions and concerns.

The earlier we can communicate the less likely erroneous or upsetting information will come through the grapevine. We try to communicate early, but we should not assume that once we have done so the job is over (which is how it seems at the moment).

Communication should occur in anticipation of change, during the implementation, and after the change has been stabilised. It sometimes appears that people are not interested in the communication, and then our communication efforts lessen, and this needs to be addressed.

As a Board Member, Branch Executive, Branch Councillor or member of the RMAA, communication is your primary tool.

There is no substitute for good judgement and the Association and members need to be reflective and thoughtful about the ways they communicate. There is also no substitute for LISTENING, and receiving feedback from our members about how we communicate.

We may (and do) make communication mistakes, but the mark of an effective Association is that these mistakes are quickly identified through feedback and discussion and corrective action taken. Please check the RMAA website for news, and contact myself or your local Branch if you have any issues/queries that need addressing.

**Kate Walker,**  
MRMA MAICD AMIM  
Chief Executive Officer  
kate.walker@maa.com.au



# From the Editor's DESK

## IN-DEPTH ANALYSIS

This edition of *IQ* leads off with an exclusive interview with Geoff Moore of Tower Software, who discusses TRIM, the Australian EDMS software that's conquering the world. And, with Corporate Governance increasingly in the news and on the agendas of RIM professionals, we analyse a range of RIM-related corporate governance issues.

We talk to ASIC about RIMs and the law. We highlight how good information management can lead to good corporate governance. A leading UK criminologist looks at computer forensics as a corporate governance tool. Another correspondent puts the case for the corporate whistleblower. Another wonders whether State recordkeepers are sentries or censors. A leading IT expert suggests the best ways to get information governance onto the board's agenda, and we consider the industry's code of ethics.

Also in this issue, we analyse the future of an often overlooked RIM sector, indexing. In a Technology Update a British writer reviews the latest overseas developments of RFID barcode technology for document management. And we look at the new MEAP technology. Meanwhile, an industry veteran looks back over 40 years of records management in the delightful 'Recordkeepers Never Die, They're Just Filed Away.'

In our popular, must-read Industry News section we bring you RIM updates from around the world, including Contributing Editor Michael Steemson's overview of reaction to the new Freedom of Information Act introduced in the UK in January, which is the subject of much debate in that country.

Also with this issue you'll find the annual 2005-06 industry Calendar of Events.

## IQ ARTICLES BEING PUBLISHED IN UK

In the last *IQ* I told you how we'd established a working relationship with journals in the UK and US. That relationship has immediately borne fruit. The Records Management Society of Great Britain's journal the *Bulletin* has sought and received permission to reprint ten news stories and articles which appeared in *IQ* in 2004.

Three of those *IQ* articles were written by our contributing editor Mike Steemson. Others were by Laurie Varendorff, (his renowned Trojan Horse piece), Kristen Keley, Stephen Macintosh, Stephen Bedford, Duncan Holt, and Shadrack Katuu.

By way of reciprocation, with the RMS's permission *IQ* is bringing you selected articles from the UK *Bulletin*, starting with two in this issue.

Every article by RMAA members published in *IQ* can now not only be credited toward the author's professional development status, and qualifies for the Objective *IQ* Article of the Year Award, (see page 52 for details), it stands an excellent chance of also being published overseas. So, keep those submissions rolling in.

## IN THE NEXT ISSUE - FROM THE DUST OF 9/11

While *IQ*'s August issue will include a mini-feature on RIM Education and Training, our main focus will be on disaster management and recovery.

We'll bring you a story from a British company which attends 250 disasters a year. We'll also have an Australian disaster recovery case study. But leading the issue will be a world exclusive, 'From the Dust of 9/11', an in-depth interview with Alison and Robert Simko, New York City newspaper publishers who lost both their home and business when the World Trade Centre towers crumbled on September 11, 2001.

We here at *IQ* have been working on the Simko story for over a year. Alison and Robert's compelling story begins at breakfast time on September 11, and takes you through that horrendous day. In the second half of the story, you'll learn how the Simkos used their newspaper to inform and inspire the people of Lower Manhattan as New York threw off the clinging grey dust of 9/11 and bravely came back from disaster.

It's a deeply personal story, about how Alison, Robert and their two children came through that day and the difficult days, months and years that followed. It's also a story which highlights the need to be prepared for disaster.

The Simkos weren't prepared. No computer backups at a separate location. No provision for safekeeping of their vital business records. And no conception of the emotional pressures that would swamp them as, having lost everything but the clothes they stood up in, they found their community turning to them and their newspaper to provide leadership in the time of crisis.

Full of lessons on disaster preparedness and recovery, 'From the Dust of 9/11' is a story we're very proud of, a story you'll never forget.



*IQ*'s Editor **Stephen Dando-Collins** and his wife and business partner **Louise Dando-Collins** in Lower Manhattan to meet the Simkos. This photograph of Stephen and Louise was taken by Robert Simko a short distance from 'Ground Zero'.

**Stephen Dando-Collins**  
Editor

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# From the File Room to the Courtroom

With corporate records ranging from financial documents to emails increasingly critical to court cases, where does the RIM stand? *IQ* asked corporate regulator ASIC.

Australian corporate governance legislation is overseen by government watchdogs including the Australian Securities and Investments Commission (ASIC), the Australian Competition and Consumer Commission (ACCC), and the Australian Prudential Regulation Authority (APRA).

With ASIC, which has a high profile from the likes of the HIH Insurance and Henry Kaye court cases, overseeing all or part of eight different pieces of corporate and financial services legislation which affect the role of the corporate RIM, *IQ* put some questions to the Commission.

## 1 What is ASIC, what does it do?

ASIC began in 1991 as the National Companies and Securities Commission, becoming ASIC and taking on broader responsibilities in 1998. Reporting to Federal Parliament and the Australian Treasurer, ASIC employs 1,500 staff in every Australian state and territory. With a 2003-04 operating budget of \$193 million, it returned \$457 million to the Australian Government through fees and charges.

In 2003-04, ASIC concluded 220 cases of litigation involving major criminal offenses, (compared to 222 cases the previous year). As a result, 67 people were convicted and 28 sent to prison in criminal cases, and in civil cases ASIC made orders against 118 companies or individuals and had 60 illegal investment schemes shut down. See the ASIC Annual Report at [www.asic.gov.au](http://www.asic.gov.au) for full details.

Current ASIC Chairman Jeffrey Lucy, appointed by the Federal Treasurer in December 2003, is a former National President of the Institute of Chartered Accountants.

ASIC has a strong working relationship with the New Zealand Securities Commission. Prior to taking on the role of Chairman of the NZSC in September 2001, Jane Diplock was ASIC's National Director of Infrastructure and Strategic Planning. Last year, ASIC and NZSC agreed to strengthen cooperation in the light of increasing cross-border investment.

An ASIC spokeswoman told *IQ*: 'The Australian Securities and Investments Commission enforces and regulates company and financial services laws to protect consumers, investors and creditors.'

She added: 'From 1998 we became responsible for consumer protection in superannuation, insurance, deposit taking, and, from 2002, credit.'

## 2 Can a RIM be prosecuted under laws overseen by ASIC for following a superior's instructions to destroy records which later turn out to be of use in a court of law?

ASIC told *IQ*: 'The retention, preservation and management of records and documents is governed by a number of different pieces of legislation depending on who has created the document and the purpose for which the document has been created.'


For example, says ASIC, Section 1307 of the Corporations Act 2001 makes any officer, former officer, employee or former employee guilty of an offense if that person 'engages in conduct that results in the concealment, destruction, mutilation or falsification of any securities of or belonging to the company or any books affecting or relating to the affairs of the company.'

'Under this section,' says ASIC, 'any individual responsible for the destruction of records would be liable for prosecution.' The maximum penalties are either a fine of \$11,000 per offense, or 2 years imprisonment, or both.

But, under the terms of the Act, ASIC says, 'If an employee was able to establish that they were merely following instructions and that the destruction of the book was done honestly and without intention they may have a defense.'

## 3 What if a document later required in a legal case is destroyed as a part of an approved disposal schedule?

ASIC told *IQ*: 'It would be difficult in the absence of any other factors to initiate proceedings against a company or body corporate who has maintained and subsequently disposed of their books and records as required by the law.'

'Without further information on the factual scenario described above it is difficult to provide a more comprehensive analysis of the law.' 

They  
Told  
*IQ*...

Between 25% and 30% of the budget is allocated to R&D

TOWER Software's Geoff Moore. See *IQ* Interview, page 16

We also respect the work of the RMAA, and the contribution its members make to our industry

Tony Walls, Objective Corporation CEO. See page 52.

The breakthroughs that will really set the records management industry on fire will arise from partnerships between RIMs and software developers who genuinely understand how to program MFDs.

Peter Matthews, Canon Australia. See page 49.

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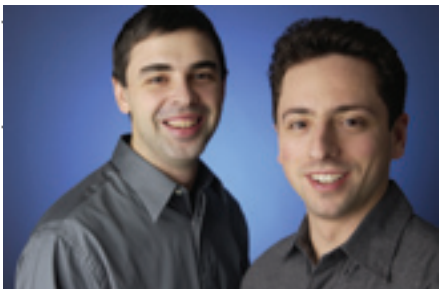
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## Oxford University Is All Agog About Google. No Wonder Larry and Sergey Are Smiling!



**The Google guys, Larry Page (left) and Sergey Brin**, founders of the Google internet search engine colossus. Says Page, "Google's mission is to organise the world's information."

**LONDON:** Oxford University's Bodleian Library has entered into the modern age by going into a partnership with search engine operators Google on a project which will see 1 million of its books digitised.

The Bodleian Library is Oxford's premier research library and the second largest library in the UK after the British Library. First opened to readers in 1602, the Bodleian contains more than 8 million books stored on close to 200 kilometres of shelving. It has a copy of every book published in England and Ireland over the past 400 years.

The long term digitising project sees Silicon Valley's Google setting up a digital scanning and processing unit in Oxford. The unit is expected to produce as many as 10,000 electronic books a week once it is fully operational.

The agreement between Google and Oxford University provides for two electronic copies to be made of each book selected for the project – one for the university and one for Google. Only books in the public domain are involved – primarily books published prior to

1920, whose copyright has expired.

Google's co-founder Larry Page, who set up the company with fellow Stanford PhD student Sergey Brin in 1998, said at the London launch of the initiative, "Even before we started Google, we dreamed of making the incredible breadth of information that librarians so lovingly organise searchable online."

Meanwhile, Oxford University's Director of Library Services, Reg Carr, is thrilled that the project is "making the wealth of knowledge accumulated in the Bodleian Library's historic collections accessible to as many people as possible."

The Google library digitisation project also involves university libraries at Harvard, Stanford, and the University of Michigan in the USA. Commented Larry Page at the London launch, "Google's mission is to organise the world's information." The way they're going, Larry and Sergey might just achieve their goal.

## Prison Sentence Likely For AOL Records Theft

**NEW YORK CITY:** A former software technician with America Online (AOL) is expected to be sentenced to a prison term on May 20 for selling 92 million AOL screen names and email addresses to a spammer, despite pleading guilty.

In February, twenty-four year-old Jason Smathers pleaded guilty to conspiracy charges in the US District Court in New York as a result of the theft and sale of online records from his employer.

Smathers was paid \$28,000 by an offshore gambling operator who wanted to pitch to AOL customers. Smathers later admitted to police he realised that the records could also be on sold to other spammers. The pirated addresses are believed to still be in use by a variety of spammers today.

Tried and convicted under the new US federal 'can-spam' law, Smathers is expected to be sent to prison for 18-24 months when he comes up for sentencing later this month. He is also expected to

be ordered to pay AOL up to US\$400,000 – that's how much it's estimated AOL spent trying to counter the affect of Smathers' theft.

## Records Suggest Hitler Had A-Bomb

**HAMBURG:** A new book by German historian Rainer Karlsch says that previously unpublished records prove Nazi Germany had developed and tested a basic nuclear weapon by early 1945.

Karlsch's book, *Hitler's Bomb*, published in Germany in March, describes tests on the Baltic island of Ruegen and at another site 100 kilometres south of Berlin in late 1944 and early 1945 during which hundreds of concentration camp inmates used as guinea pigs died.

The book is based in what Karlsch describes as Nazi government documents, scientific reports, and blueprints that have never before been published.

According to Karlsch, the weapon was too primitive and ungainly to be deployed tactically. Development was suspended as the Allies overran the test facilities.

## Watergate Records Revealed, But Not Big Throat

**AUSTIN:** The Harry Ransom Humanities Research Centre at the University of Texas had made public extensive records kept by Washington Post investigative reporters Bob Woodward and Carl Bernstein in relation to their 1970's Watergate scandal expose.

That expose, of a White House cover-up of a break-in at the Democratic National Committee offices in Washington's Watergate Hotel, ultimately won the two reporters the Pulitzer Prize and led to the 1974 resignation of US



President Richard Nixon.

Woodward and Bernstein, who were meticulous recordkeepers, sold their records to the University of Texas' Ransom Centre for US\$5 million several years back. The Centre preserved and catalogued the collection in preparation for public access. Many of the documents are handwritten notes relating to the reporters' interviews and enquiries, and the collection originally filled dozens of cardboard boxes.

The records now available do not reveal the identity of the Nixon Administration insider, code-named Deep Throat by the reporters, who gave the pair invaluable leads and tip-offs during their investigation.

The Woodward and Bernstein Watergate Papers can be viewed online, at: [www.hrc.utexas.edu/exhibition/online/woodstein/](http://www.hrc.utexas.edu/exhibition/online/woodstein/).

## Prozac Records Surface to Embarrass Drug Company

**LONDON:** The British Medical Journal has forwarded incriminating records regarding popular anti-depressant drug Prozac to the US Food and Drug Administration (FDA) after the documents mysteriously turned up at the journal.

The decade-old documents, records of medical trials, reportedly establish a link between Prozac and increased episodes of violence and suicide attempts.

The documents disappeared after relatives of the victims of a mass murder in Kentucky filed a lawsuit in 1994 against pharmaceutical company Ely Lilly, maker of Prozac. The suit alleged the company had known for years about the side effects of the drug, which is now believed to have the capacity to increase violent episodes and suicidal tendencies among some users, but had suppressed the information.

The case related to Joseph Wesbecker, who, with a long history of depression, in 1989 embarked on a shooting spree at his workplace in Louisville, Kentucky. Wesbecker

killed eight and wounded another dozen people prior to turning the gun on himself and taking his own life. Wesbecker's doctor had put him on a course of Prozac a month before.

Ely Lilly had won the legal case, but later admitted that it had made a secret settlement with the plaintiffs during the trial, invalidating the verdict.

An anonymous whistleblower, apparently a current or former employee of Ely Lilly, recently gave the incriminating records to the British Medical Journal. The journal has passed them onto the FDA, which is reviewing them.

The FDA only recently issued a warning that anti-depressant drugs can cause stimulatory side-effects such as agitation, panic attacks and aggressiveness.

## POW Records Release a First in Japan

**YOKOHAMA:** A Japanese community research group is behind the first public release of records detailing the deaths of Allied Prisoners of War in Japan.

The POW Research Network Japan (POWRNJ) was founded at Yokohama by local women in 2002 after they realised many families of deceased Allied POWs didn't know how or where their loved ones had died in Japan during World War II.

More than 30,000 POWs from Australia, Britain, the USA, Holland, and other Allied countries were held in 130 POW camps across Japan during 1942-45 and used as forced labour. Of those, 3,526 died in the camps.

POWRNJ co-founder Mrs Taeko Sasamoto, author of the 2004 book *Epitaph of Allied POWs*, said the group began by gathering data from cemeteries and war memorials. A breakthrough came with the discovery in the Library of the National Diet, the Japanese parliament, of a forgotten microfiche from Allied GHQ which recorded, in Japanese, details of POW deaths.

The material on the microfiche was faded and almost illegible in places. It took the group two years to decipher and tabulate the contents. The result was a

complete inventory of the dates, locations and causes of Allied POW deaths in Japan. This first ever list of Allied POW fatalities made public in Japan has been placed on the group's website: [www.homepage3.nifty.com/pow-j/](http://www.homepage3.nifty.com/pow-j/)

"A decision was made to release the data as valuable historical material so we will never repeat these horrors," Mrs Sasamoto told Japan's *Mainichi Shimbun* newspaper.

## Gates Opens Up On Top Secret Anti-Terrorism Plan



**William Gates III**, better known to the world as Bill Gates, co-founder, chairman and 'chief software architect' of Microsoft, who announced the new international security initiative.

**PRAGUE:** Microsoft Chairman Bill Gates revealed to a European government forum that MS has developed a new way of alerting governments to terrorist threats.

At the European Government Leaders Forum in the Czech capital in February, Gates announced that Microsoft was launching a "a special way of sharing information about security threats."

Gates went on, "We have 24-hour a day surveillance working with other companies and so we can work with governments around the clock when there is a 'challenge'. And so, having those channels of communication open, knowing exactly who to work with, what the messaging should be, that's something we're putting in place so that it never has to be a new challenge coming along."

Although Gates didn't elaborate, it's believed the new initiative involves surveillance of the world's emails. International electronic spy agencies

already use technology which scans telephone, fax and email traffic for key words associated with terrorist threats. But the bad guys know that too and would conceivably use innocuous code words. How the new Microsoft initiative differs from existing methodologies hasn't been revealed.

## Interwoven Rolls Out New Web Tool

**SUNNYVALE:** California-based Nasdaq-listed Interwoven Inc has launched LiveSite, a Web publishing tool designed to allow business users to easily create and publish dynamic websites in-house.

LiveSite Content Publishing Server gives IT managers the capability to create page-level templates and components which in-house users can then assemble and manage. Integrating with Interwoven's content management system, LiveSite can be adapted for internet, intranet or extranet sites.

At the LiveSite launch, an Interwoven spokesperson said that users can create websites as easily as they currently create PowerPoint presentations. In Australia, Interwoven is represented by Inform Systems Australia.

## Ulster to TRIM its EDRS

**BELFAST:** The Northern Ireland Civil Service has chosen the Australian TRIM Context solution from Tower Software to manage its electronic documents and records system.

The deal, worth close to \$2.5 million, will see the introduction of a system which will eventually support up to 18,000 central government users in Northern Ireland.



## Spammer Gets the Slammer

**LEESBURG:** Jeremy Jaynes was sentenced to 9 years in prison in April for breaking Virginia's new anti-spam law.

As reported in the last issue of *IQ*, Jaynes made an estimated US\$23 million peddling junk products and pornography via spam and was considered one of the world's top 10 spammers.

## 933,000 US Military Credit Card Records Missing

**HARRISBURG:** The US military has issued a fraud alert after Bank of America computer data tapes containing the records of 933,000 Department of Defense (DoD) personnel went missing.

The five lost tapes contain the names, social security numbers, account numbers and addresses of DoD Bank of America government travel card holders. The DoD sent a second letter warning recipients to be wary of fraud after an initial letter failed to advise that the missing tapes actually contained confidential personal information.

## Condi Contradicted By Records Release

**WASHINGTON DC:** A 2004 statement by new US Secretary of State Dr Condoleezza Rice about terrorist threats has been contradicted by the release of records from the National Security Archive.

In a March 22, 2004 column in the *Washington Post*, Dr Rice, then White House National Security Adviser, said that no details of a security threat to the US by al-Qa'ida had been passed to the new Bush administration by the

outgoing Clinton administration in 2001.

But the *New York Times* reports that among documents recently released by the independent National Security Archive is a January 2001 memo from Clinton National Security Adviser Richard Clarke to Dr Rice in which he said, "We urgently need such a principals-level review on the al-Qa'ida network." That review did take place, but only after the September 11 attacks.

Another document released by the Archive says that between April and September of 2001 the US Federal Aviation Administration received 52 intelligence reports on al-Qa'ida. Of those, five referred to hijacking operations and two to suicide missions. None of those reports was acted on prior to September 11.

## Scotland Yard Clueless About Most Paper Records

**LONDON:** The Metropolitan Police has admitted it has become overwhelmed by its own paper records.

The *RMS Bulletin* reports that Superintendent David Chinen, Head of Information Management Business Change at the Metropolitan Police has told a Police Information and Records Management Conference at London's Café Royal that his service's records occupy 36 linear kilometres of paper, with much of it stored in expensive prime office space and even in police cells.

Worse, said the superintendent, whose job it is to address the problem, inadequate or non-existent cataloguing means the Metropolitan Police don't even know what is written on most of their paper records.



## Records Reveal US Prisoner Abuse in Afghanistan

**NEW YORK CITY:** Hundreds of pages of US Army documents released as the result of a federal court order have revealed prisoner abuse by US troops in Afghanistan.

The court order was obtained by the American Civil Liberties Union (ACLU) under the US Freedom of Information Act.

Some documents recorded a US Army investigation into the interrogation of prisoners by its troops in Afghanistan. They revealed that US soldiers routinely took photographs of themselves holding pistols and rifles to the heads and backs of detainees during interrogation sessions. Investigators said the photos were quickly destroyed by the troops involved once the Abu Ghraib prison scandal broke in Iraq.

Other US Army documents obtained under the same court order showed that Iraqis detained at Abu Ghraib were aged as young as 8.

## International Records & Information System Case Studies Go Online

**LONDON:** The International Records Management Trust has made available case studies on managing records and information systems to achieve public sector reform involving 11 developing countries.

Funded by the World Bank, the studies cover the HR, financial, legal and judicial sectors in countries in Latin America, the Caribbean, and Africa.

Copies can be downloaded free of charge at [www.irmt.org/downloadlist/development.html](http://www.irmt.org/downloadlist/development.html).

## 5 Million War Medal Docs Go Online

**LONDON:** Details of the medal records of more than 5 million British and Commonwealth soldiers who served in World War One can now be accessed online.

The medal card indexes held at the National Archives at Kew have been digitised, and images of the original military decoration documents can be downloaded, for a small fee, at [www.DocumentsOnline.nationalarchives.gov.uk](http://www.DocumentsOnline.nationalarchives.gov.uk).

## Records Show Terminally Ill Don't Hang On

**COLUMBUS:** A university study of the medical records of 300,000 cancer victims has shown that the common perception that the terminally ill try to 'hang on' until after an event such as a birthday has no basis in fact.

A report of the study's findings by researcher at Ohio State University said that the records, covering the period 1989 to 2000, revealed that the people involved showed no special capability or willingness to stay alive until after their birthday, Christmas, or Thanksgiving.

## New FOI Act Boosts RMS Conference

**BOURNEMOUTH:** The Records Management Society of Great Britain's 'Strategies for Success' conference at the Royal Bath Hotel over April 24-26 has "exceeded all expectations."

Dr Paul Duller, new Chairman of the RMS, told *IQ*, "Both membership and conference numbers were swelled by the introduction of the Freedom of Information Act in the UK (on January 1<sup>st</sup>, 2005), which has led to the creation

of hundreds, if not thousands of new records management positions in the UK."

Two key focuses for delegates were speakers covering FOI and EDRMS implementation. During its AGM, the Society announced plans to introduce a professional accreditation scheme by December 2005, and set out an ambitious target to double its membership within the next three years.

## E-Health Records Plan Could Save 3,000 Lives

**SYDNEY:** Australia's health ministers have given the green light to a 3-year programme for the National E-Health Transition Authority (NEHTA), a joint state and federal initiative designed to standardise health records and make them speedily available to health practitioners.

"We believe that upwards of 3,000 people a year die prematurely because of inadequate information and recordkeeping," federal Health Minister Tony Abbott told the *Melbourne Age*.

The National E-Health Transition Authority was set up last year as a limited company whose directors are the CEO's of the state government health departments. It had an initial budget of \$9.5 million for 2004-5. Meeting in Sydney recently, state and federal health ministers approved an ongoing NEHTA budget of \$18.2 million for the next three years – half provided by the federal government, the balance by the states.

NEHTA is investigating a range of recordkeeping proposals including providing every Australian with an e-card containing their medical record. It will also work to standardise medical terminology across all states and territories.

The aim is for doctors to be able to easily access patient records from anywhere in the nation. Research has shown that errors decrease and both treatment and outcomes improve, often dramatically, when all doctors could access the same comprehensive medical



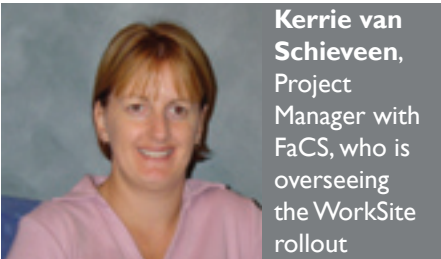
history and treatment information.

The Authority's CEO, Elise Wherry, said that no decision had been made on how individual records will be stored. A single national health records system will not necessarily eventuate. The Authority is looking at interoperable systems in each state which can be accessed by authorised medical personnel from other states.

The Authority is also investigating the privacy implications of the initiative, to ensure patient consent for records access and to prevent access by unauthorized personnel and also to prevent deliberate records hacking.

## FaCS WorkSite Rollout Is World's Largest

**SYDNEY:** The Australian Government's Department of Family and Community Services (FaCS) has opted for Interwoven's WorkSite EDM solution. With up to 2,500 seats, the contract involves the largest single WorkSite implementation in the world.



**Kerrie van Schieveen,**  
Project  
Manager with  
FaCS, who is  
overseeing  
the WorkSite  
rollout

Spending more than \$60 billion in taxpayers' money each year, FaCS is Australia's largest government department in terms of expenditure.

Explaining the WorkSite choice, FaCS Project Manager Kerrie van Schieveen told *IQ*, "We were looking for a proven, latest generation electronic document management solution used widely by industry rather than the traditional records management approach adopted previously by other departments."

WorkSite was chosen after a glowing FaCS internal evaluation team report. A key factor was the solution's ability to tightly integrate with Lotus Notes, which

stores the Department's mountains of emails.

In the past, says Van Schieveen, FaCS e-documents have been stored in disparate servers spread across the Department's eight offices around Australia, in email systems and on individual PCs, making information increasingly difficult to manage or locate.

FaCS believes that Interwoven's WorkSite will allow control over all documentation, with knowledge captured as it is created, and ensuring an audit trail.

The FaCS rollout, through Interwoven's Australian representatives, Inform Systems Australia, a wholly owned subsidiary of Alphawest, has begun with 110 users in New South Wales and is being progressively extended to all FaCS offices.

## Kiwi Legislators Pass Public Records Bill

**WELLINGTON:** After more than 24 years campaigning by national recordkeepers, NZ parliamentarians have agreed to up-date the nations' public recordkeeping practice, passing the embattled Public Records Bill 2004 on April 14 in an urgency debate.

The urgent passage of the bill was sped by the approach of a NZ general election, which must be held before the end of the year, and the determined support of Deputy Prime Minister, Dr Michael Cullen, a history PhD.

The bill was championed and largely drawn up by Archives New Zealand, the country's national archives. Chair of the Bill's Select Committee, Dianne Yates, Labour, Hamilton East, told the Parliament: "I'm very impressed with the work they have done on the legislation and the way they worked with the Select Committee. They did that very, very well."

Minister Responsible for Archives NZ, Marian Hobbs, commented: "This is a special day for a special community in New Zealand. They are dedicated to keeping our story alive and dedicated to ensuring accountability."

## NZ Parliament Goes For Objective

**WELLINGTON:** The New Zealand House of Representatives' Office of the Clerk has chosen Objective Corporation to develop an information management system to support the select committee process.

Clerk-Assistant (Select Committees) Andrew Beattie said that, via the Objective system, "Members of Parliament will be able to access documents for their committee electronically, while members of the public will be able to access publicly available select committee information via the internet."

The system will be piloted with two select committees for up to a year before further rollout. "We need to ensure that that any information system to support select committees is thoroughly tested and completely secure," said Beattie.

Objective was chosen from a shortlist of five companies after 23 providers initially submitted expressions of interest.

## AETL Mortgages Document Custody Future on RecFind-Corporate

**SYDNEY:** Australian Executor Trustees Limited (AETL) has chosen GMB's RecFind-Corporate software to manage the custody of its mortgage/property documents.

The 120-year-old AETL, formerly Tower Trust, is applying RecFind-Corporate to tracking the movement of mortgage document packets between the company's Corporate Trust division, mortgage brokers, and solicitors.

AETL Corporate Trust CEO Philip Joseph said that the GMB product was chosen because it was "a proven, robust solution that was absolutely secure and reliable."

After a Sydney rollout AETL will extend RecFind-Corporate to its Adelaide office, and while the system will primarily manage paper there are plans to eventually incorporate the product's EDMS and email capabilities.

## APP Now Screening All Air Arrival Documents



Australia's Immigration Minister  
**Amanda Vanstone**

**CANBERRA:** Australia has begun checking the documentation of all arriving air passengers and crew prior to their landing in the country, using a sophisticated electronic screening process covering 46 airlines.

Minister for Immigration and Multicultural and Indigenous Affairs, Senator Amanda Vanstone, says that Australia's border security has been enhanced by the full rollout of the Advanced Passenger Processing (APP) system.

In a media statement, Senator Vanstone said, "It not only allows verification of travellers' authority to enter before arriving, it acts as an early alert of expected arrivals, allowing time for cross checks against other systems, such as the Movement Alert List (MAL).

"MAL is a computer database that stores details about people and travel documents of Immigration concern to Australia. Many of the issues identified by APP can be resolved before flights depart for Australia."

An early version of APP was trialled with Qantas in 1995, with later versions extended to another 7 airlines. "Many thousands of minor travel document issues were resolved before arrival in Australia," said Senator Vanstone.

With APP now covering all 46 international airlines that regularly fly

to Australia, Vanstone's department is also trialling the system with some cargo vessels.

## Broadband to Go Via Power Lines

**HOBART:** Tasmania's state government-owned electricity retailer Aurora is to extend trials using existing power line cabling to deliver broadband internet to customers.

In an initial trial Aurora was able to transmit streaming video off the internet to several houses via existing power lines.

Aurora has access to technology capable of transferring up to 200 megabytes of information down power lines, doing away with the need for either fiber optics or satellites.

A more comprehensive trial backed by Mitsubishi and involving 1,000 Tasmanian households will be undertaken later this year.

## Medical Records Hotline Can Ignore Privacy Laws

**CANBERRA:** Australia's Privacy Commissioner Karen Curtis has exempted the new Prescription Shopping Information Service from privacy law restrictions.

The Service is designed to allow doctors to access medical records without patient consent where they believe the patient is 'prescription shopping' to obtain multiple prescriptions of the same drug.

Health Insurance Commission research indicates 22,000 Australians are each visiting at least 10 doctors to obtain prescriptions for painkillers and tranquilizers.

The Curtis ruling is supported by the Australian Consumers Association.

## Captain Cook's Journal Goes Online

**CANBERRA:** The National Library of Australia has completed digitisation of the Endeavour Journal, Captain Cook's day by day diary of the 18th Century exploratory voyage of the Endeavour.

The journal was originally purchased by the Australian Government at auction in London in 1923. A CD-ROM was created in 1995, but now every original page has been scanned and is available on the Web at [www.nla.gov.au/nla.ms-ms1-s241r-e-cd](http://www.nla.gov.au/nla.ms-ms1-s241r-e-cd).

The NLA's Director of Digital Collections Management, Cathy Pilgrim, told the *Sydney Morning Herald* that the digitisation project has put every original page of the journal online, where they can be seen just as Cook wrote them. "On some pages he's crossed things out," said Pilgrim. "It's a feel for the journal you can't get from a transcript."

As proof that the NLA considers the Cook journal its most important historical record, it has labelled it Manuscript 1.

## Brouwer Against Police Database Browsing

**MELBOURNE:** Victoria's Ombudsman George Brouwer says a Victoria Police database should be replaced by a system that would prevent police 'browsing' of confidential records.

The recommendations are the result of an inquiry into the Law Enforcement Assistance Program (LEAP) after complaints that police were misusing the LEAP database, which contains sensitive personal files on Victorian citizens, for personal reasons.

The Brouwer report recommends a \$30 million overhaul of all Victorian police databases, with the introduction of a random audit capability to identify file misuse.

## Viagra Beats Google, but Travel is Tops at Bigpond

**SYDNEY:** Telco Telstra's internet provider Bigpond, Australia's largest, puts Travel on top of its list of 300 search subjects most popular with its customers. Google only comes in at #193, with Amazon well ahead of it at #101. But both are way behind Buy Viagra, which is #16.

Bigpond's Top 10 is:

1. Travel
  2. Weight loss
  3. Autos
  4. Hotels
  5. Hosting
  6. Mortgages
  7. People search
  8. Health
  9. E-bay
  10. Insurance quotes
- The Bible ranks in 244<sup>th</sup> place.

## Redland Adopts 80-20 Leaders Online CGC Option

**BRISBANE:** Redland Shire Council has implemented 80-20 Software's Leaders Online to aid management of its corporate governance and compliance needs.

With 900 employees, Redland Shire Council covers 128,000 people in a shire which abuts the eastern suburbs of Brisbane, taking in much of the southern bayside and Moreton Bay islands.

80-20 Leaders Online provides a secure website for boards of directors, CEO's, leadership teams, compliance officers and company secretaries, who can access and exchange information and use the site's accelerated reporting tools. It is also designed to enhance corporate risk management and regulatory compliance.

Describing Leaders Online as "mature" and "well thought out,"

Redland Shire's General Manager Corporate Services, Ray Turner, says that the council chose the 80-20 product to strengthen and automate existing governance and compliance processes.

## Ortex to Sell CoL8 to Asia-Pacific

**SYDNEY:** Eight-year-old software company Ortex Global Solutions has been appointed master distributor for the Asia-Pacific of the British CoL8 content management and collation software.

Ortex spokesperson Stam Gambrellis told *IQ* that CoL8 is a high speed document collation tool that integrates with Microsoft Office to electronically compile new documents by extracting content from a variety of sources.

## Objective 7 Offers ECM Bells & Whistles

**SYDNEY:** In what it claims is a world first for Enterprise Content Management solutions, Objective Corporation has launched Objective 7, the latest major release of its ECM solution which is based on industry-leading Service Oriented Architecture.

Objective 7 provides a single content repository, delivering a seamless view of all enterprise content, regardless of format or origin. It features a Web content management capacity which provides a complete record of all content published online and which allows any authorised person within an organisation to publish material on their website.

Other features include a new approach to workflow and a drawing management capability. Objective 7 customers have the choice of a Windows client or browser-based portal interface.

All existing Objective customers will be provided with the relevant Objective 7 modules under their upgrade and support programmes.

## APPOINTMENTS

### Moldrich Moves to BHP Billiton

**MELBOURNE:** David Moldrich, immediate past president of the Victorian Branch of the RMAA and a National Director of the Association, has taken up a new appointment, with resources multinational BHP Billiton.

David, previously with Fuji Xerox, joins BHP Billiton as Corporate Manager, Information Management Network, with the company's Information Management Program (IMP).

### Murray Goes Up Interwoven Ladder

**SYDNEY:** James Murray has been appointed Interwoven's Vice President Asia Pacific Operations.

Formerly Vice President EMEA Sales, Murray joined Interwoven in 1999 and has previously been VP Sales for Europe, the Middle East and Africa.

In his new role Murray heads up Interwoven's push into the Asia Pacific ECM market, covering Australia, New Zealand, China, India, Japan, Korea, Singapore and Taiwan.

### Barker Does the CMS Two Step

**SYDNEY:** Iain Barker has joined content management consultancy Step Two Designs as a consultant.

Barker has over 10 years experience in the UK in CMS user research, information architecture and interaction design.



# Hot UK Reception for new Freedom of Information Act

Overview by IQ  
Contributing Editor  
**Michael Steemson,**  
ARMA



Bonfires of historical records lit Britain's bleak mid-winter - at least that's what British Parliamentary Opposition MPs would have the country believe - as the year clicked over to 2005 and the nation's long-awaited Freedom of Information Act came into force.

Shredding machines were running hot, too, according to the media, as the public sector was wrenched into 11<sup>th</sup> hour action as the new law's four-year lead-time ran out.

Last-minute regulations sent the recordkeeping community into tailspins as the government issued the Act's search fee regime and the Department of Constitutional Affairs (DCA) released its Implementation Guidance, [www.foi.gov.uk/execsum.htm](http://www.foi.gov.uk/execsum.htm), each raising as many questions as they answered.

The Fees Regulation, for example, set search charges at £25 (AU\$65) an hour but decreed that these sums should only be levied for tasks taking longer than 18 hours, costing £450 (AU\$1,100) or more. The regulations gave no guidance on document printing and copying charges.


The Blair Government has worked hard to staunch rumours of mass document shredding highlighted by the Tory opposition. Constitutional Affairs Minister David Lammy complained to Sky News: "The Tories are trying to disrupt the fact that the Government is wanting to be open, wanting to be transparent."

Government departments have, with wide variation in success, been preparing since 2001. One FoI Act trainer, Socitm (Society of IT Management) Consulting principal consultant Andrea Simmons, recently reported in the *RMS Bulletin*: "I have stood in front of several thousands of public sector employees in the last 18 months. On every single occasion, everyone has gone away feeling several emotions: scared, fascinated or in need of a drink, but mainly frustrated at their organisation for not doing something sooner."

The Act, in effect, allows anyone from anywhere to ask for anything from public bodies. It sets out 23 exceptions, including information already 'reasonably publicly available', some outright; some qualified, and specifies matters like a 20-day search period, application to information filed retrospectively.

A flood of guidance documents has appeared online and in book form. Weblogs abound. Most of the DCA papers and latest U.K. Government FoI news are available on [www.foi.gov.uk](http://www.foi.gov.uk). The U.K. Information Commissioner, Richard Thomas, has published a guide on [www.informationcommissioner.gov.uk](http://www.informationcommissioner.gov.uk). The National Audit Office has another on [www.nao.org.uk/publications/foiguide.pdf](http://www.nao.org.uk/publications/foiguide.pdf). There's a mass of information on the Act on Britain's all-of-Government website DirectGov, [www.direct.gov.uk/](http://www.direct.gov.uk/).

The British Computer Society has introduced its own Certificate in Freedom of Information. A popular FoIA Weblog is at <http://foia.blogspot.com> and its Scottish variant at <http://foisa.blogspot.com>, both maintained by Liverpool's John Moores University information management lecturer, Steve Wood.

The JISCMail listserv has an on-going lively discussion at [FREEDOM-OF-INFORMATION@JISCMAIL.AC.UK](mailto:FREEDOM-OF-INFORMATION@JISCMAIL.AC.UK). 



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# Taking TRIM to the World

TRIM has put TOWER Software among the big guns of world software makers. Where to now for TOWER and for EDRMS generally? The company's General Manager Asia Pacific GEOFF MOORE tells *IQ* how a singular focus and customer needs are shaping the TRIM software of the future.

EXCLUSIVE IQ INTERVIEW



**Geoff Moore,**  
General Manager Asia Pacific, Tower  
Software. His TRIM Solution is now  
among the big guns of world EDRMS  
Software.

“Our largest customer is the  
US Navy and Marine Corps,  
where the product is being  
rolled out to 360,000 seats”



**IQ:** Geoff, what was behind the establishment of TOWER Software back in 1985?

**GM:** With the increased advent of technological change, government organisations were looking to manage their corporate information more efficiently and provide access to end users. One of these organisations, Prime Minister & Cabinet, identified the need for a LAN based records management system. Their records were being managed on a mainframe system that was expensive to maintain and difficult to use.

Brand Hoff (TOWER Software's co-founder) believed that other agencies would see the benefit of moving their records to a much cheaper platform and a product that provided high levels of functionality that not only increased efficiency but allowed compliance and good corporate governance.

**IQ:** And TRIM was the result?

**GM:** Yes, TRIM Registry File Manager was released in June, 1985. The "launch" was a series of product demonstrations to specific Federal Government agencies. Some of these were conducted in Brand's kitchen!

**IQ:** What was the expected market?

**GM:** The target market was the records area – registry - in federal government agencies. We continue to be the dominant supplier to federal government agencies. In time this broadened to include state and local government, universities and utilities.

**IQ:** How did that first product do in the marketplace?

**GM:** It was quite successful - by 1990, TOWER Software had over 100 customer organisations. It's interesting to note that our retention rate for customers since 1985 sits around 96%. Our first product provided the platform for enhancements and continued improvements following feedback from our initial customers.

**IQ:** What lessons were learned from the first year in business?

**GM:** The company learned that establishing a product in a market was a costly exercise. The company supplemented its income by working on bespoke development projects and continued to enhance the product to meet customer requirements. It also confirmed in our minds that we had developed a product for which there was a demand.

**IQ:** Where did you go from there?

**GM:** The company consolidated its position in federal government. TOWER Software developed a number of other corporate applications for the same technology platform - Asset Management, Library Management, Delegations Management - and an Accounting system.

In 1992 we decided to rewrite the product for the Windows environment and at the same time took the conscious decision to focus on document and records management. The release of the Windows product coincided with a period of relatively fast growth - 50% per year for 5 years.

We continued to focus on our strengths and success - ie, the government sector and the management of information created and received.

**IQ:** What products do you market now, and to whom, and at what price?

**GM:** TRIM Context - Version 5 of the Windows product. We are continuing to market to all levels of government as well as researching the banking and financial sector. The price varies based on the modules purchased and the number of seats purchased. TOWER really has only one product - TRIM.

We decided to specialize in 1992 and concentrate on document and records management. All government organisations are required by legislation to manage their records. We have developed a solution that assists management to meet their legislative and corporate requirement as well as improve business processes and efficiencies.

In these days of doing more with less it is imperative that organisations have systems that are proven and work. In our 20 years we have prided ourselves on offering solutions that work and people use every day.

**IQ:** What companies and products are your main competitors?

**GM:** This varies by geographical and vertical markets. There are many different product offerings in this space including product pairings and organisations that have not built products upon records management foundations. Some of the vendors are, EMC, FileNet, IBM, RecFind and Vignette:

**IQ:** Who are some of your major clients?

**GM:** Our first customer was the federal Department of Administrative Services. This license is now used by the federal Department of Finance. Our largest customer is the US Navy and Marine Corps, where the product is being rolled out to 360,000 seats.

In the Australian Federal Government we have software in over 50 Australian Federal Government organisations including Centrelink; Defence; Health; HIC; Veterans Affairs; Foreign Affairs and Trade; DoCITA; Parliament House; Prime Minister and Cabinet; Agriculture, Fisheries and Forestry; Industry, Trade and Resources.

Apart from Australia and New Zealand, TOWER Software has sold its product into the USA, Canada, the UK, Holland, Iceland, South Africa, Uganda, Fiji, Brunei, and Malaysia,

**IQ:** Can you give a breakdown as to which countries account for what percentage of your sales?

**GM:** Yes. Last year - UK 30%, USA & Canada 30%, Australia 30%, all others 10%.

**IQ:** What countries do you see as your best prospects for future sales, and why?

**GM:** North America and Europe are perceived to be our largest growth markets. The markets are large and our market penetration to date is minimal. In particular the UK Government have a number of initiatives including



*TAKING TRIM TO THE WORLD:* Continued from page 17

Modernising Government that involve the implementation of document and records management systems. North America introduced the Sarbanes Oxley Act which has been impacting on the way records are maintained and managed..

**IQ:** What sets your product apart?

**GM:** At the end of the day it's the customer that sets our product apart because they make the final decision. What we have seen over time is that our offering gives our customers benefits like Virtual Filing – let's not change a tried and true method of organising information. And Information Architecture that intertwines Information, people and relationships.

Then there's Data Partitioning – allowing organisations to further filter information. And Thought leadership – access to not only a team of developers second to none but also practitioners that have worked in customer organisations and seek to stay abreast of best practices.

**Since 1997 our software development process has been influenced by ERM software standards**

**IQ:** What form does your after sales service take?

**GM:** We employ a help desk and post sales support team to manage after sales service. Service and support have always been a critical factor in TOWER Software's success. Many, if not most, of our sales are the direct result of referrals from other customers.

**IQ:** How much of your budget, time and effort does TOWER devote to R&D?

**GM:** Between 25% and 30% of the budget is allocated to R&D.

**IQ:** That's commendably high compared to the Australian corporate R&D expenditure average of around 3%, which itself is very low by leading international standards. What form does your R&D take?

**GM:** TOWER Software is a software developer and our R&D efforts are focused on keeping abreast of and incorporating functionality that takes advantage of technology changes. Our business involves managing business information.

When TOWER Software started this was primarily in paper form. Over the past 20 years technology has significantly changed the way organizations conduct business. Our products have grown to accommodate this in particular the proliferation of electronic documents eg email and Word.

**IQ:** In what area are you focussing your future R&D efforts?

**GM:** Service Orientated Architecture, mobile computing, instant messaging, web content management, voice over IP and management of rich media are all areas that TOWER Software is currently investigating.

**IQ:** How has ISO 15489 influenced RM software developments?

**GM:** I don't believe that ISO 15489 has specifically influenced software development. That is, I don't think that ISO 15489 is responsible for specific functionality or technical requirements. That said, this standard has raised the profile of RM generally and is probably partially responsible for the increased awareness of RM. Sarbanes Oxley is also a contributor.

**IQ:** Do you see industry standards like this influencing future developments?

**GM:** The ISO 15489 standard isn't so much about software as it is about process. Other standards such as the United States Department of Defence 5015.2, VERS have the capability to influence software development. However the greatest influencers those technology companies that develop technology platforms and environments are our customers.

But I think that ISO 15489 is important because it raises the awareness of the need to manage information. We have to be careful in the development of other standards that requirements meet the needs of organisations and their business processes rather than the academic need for managing information.

**IQ:** How active is the records and information management profession in providing direction for EDRMS software development? Or is it essentially supplier driven?

**GM:** I think that both suppliers and users contribute to the future direction of ERDRMS software development. Since 1997 our software development process has been influenced by ERM software standards - US DOD 5015.2 and UK PRO - as well as customer requirements.

**IQ:** What are your key strategies for maintaining and growing your market share?

**GM:** TOWER Software will remain focused on meeting the information and records management requirements of government organisations. We believe that we have a distinct competitive advantage in our understanding of government information management requirements.

**IQ:** Do you have a panel of advisers from the RIM industry off whom you bounce development, product, or marketing ideas?

**GM:** TOWER does use its informal contacts within the RIM industry as a sounding board for product ideas. Most of the functionality in our TRIM product is the result of ideas and requirements suggested by our user and potential user base.

*TAKING TRIM TO THE WORLD:* Continued from page 18

We are currently investigating the establishment of advisory boards.

**IQ:** What has proven to be your most effective marketing tool?

**GM:** Customer support, acceptance and referrals

**IQ:** How important is the RMAA to TOWER's development plans? What role can the RMAA play in those plans, if any?

**GM:** The RMAA has been an important organisation for TOWER Software's success since 1985. The RMAA consists of individuals who have traditionally been the primary users of our application. These individuals have had significant input into the development of our product over the years.

**IQ:** What are the key lessons TOWER Software has learned about its products and the market since its inception?

**GM:** Nothing beats success! No really, the key lessons are - listen, know the market, understand, employ good staff, and your product is only good if it is purchased!

**IQ:** Forecasting the future can be a tricky business. The story goes that in the 1880's a British professor forecast that,

based on all available information, within 100 years the Earth would be covered in a layer of horse dung three feet deep. But in your business you have to attempt to forecast future trends. How far ahead can you realistically plan your technical developments?

**GM:** For major releases that incorporate platform changes our development cycle is 24 months. Other releases are scheduled over either 12 months (major) or 4 months (minor). TOWER Software tends to adopt a slightly conservative approach when incorporating functionality to meet emerging technologies. This approach reduces costs associated with researching these technologies.

**IQ:** What do you see as the emerging trends in information management in the next decade? And how can software companies respond to those trends?

**GM:** There is a proliferation of information in the market place. It's easier to access and obtain information on any subject. Therefore the challenge is going to be how to present, organise and structure this information for the future.

Software companies have proven over time that they can respond to and at times lead innovation. The continuing challenge will be to develop software that works and meets the real requirements of users.

**IQ:** Thank you, Geoff. 

## TOWER SOFTWARE – It Was All Cooked Up in a Canberra Kitchen



**Brand Hoff**, who co-founded the company with his wife Peta.

It sounds like an American Midwest success story from the 1930's: After his first attempt at creating an innovative new product is knocked

back, a budding entrepreneur leaves his employer and sets up at home with his wife. Some of his subsequent sales presentations are conducted in their kitchen. From that humble beginning their product goes on to become a worldwide success.

In this case, the story starts in Australia's national capital in 1981. Australia's Department of Prime Minister and Cabinet had issued a tender for a LAN based records management system. Brand Hoff was working for Computer Sciences Australia and led CSA's bid. After PM&C selected an alternative product, Brand felt that the requirement identified by PM&C would also be needed by other agencies. In 1985 Brand left CSA and started TOWER Software, initially working from home, with his wife Peta.

In 1988 TOWER Software established resellers in Canada and the USA and in 1989 added a reseller in NZ. In 1995 it set up its own office in the US, followed in 1998 by an office in London. Today, in Australasia, the company has offices in Canberra, Sydney, Melbourne and Adelaide, with partners marketing the company's products in Perth, Hobart, Brisbane and Wellington.


Last year the company also established offices in

Canada and Holland. Last year, too, the RMAA presented TOWER Software with the inaugural Jim Shepherd Award, for its support of the records and information management industry in Australia and New Zealand over the years.

Brand and Peta Hoff have now retired. Brand is on a number of boards including TOWER Software, NICTA and Thiri. Peta is actively involved in organisations such as the Southcare Helicopter Service, concentrating on services to the community.


Martin Harwood became TOWER Software's CEO in 2001, having previously run Prime Australia and CVSI - a major reseller of TRIM, TOWER's landmark product. Martin has been responsible for growing the TOWER Software business as it emerges from an entrepreneurial phase and expands to become a global company.

Over the past 3 years the company's revenues and profits have been at record levels, and Martin will be managing the research and investigation into listing TOWER Software with the Australian Stock Exchange.

**Geoff Moore** is TOWER Software's General Manager Asia Pacific. Starting out as a primary school teacher in the ACT, he went to the Health Insurance Commission in Canberra as a business analyst. He joined TOWER Software in 1990 as training officer. From 1995 to 1999 he set up and ran TOWER's US operations. Today, he is in charge of sales and support for the company's customers in Australia, New Zealand, Malaysia, Indonesia, Brunei, Singapore, and Africa. 

# Memo to the Board: *Good Information*

By Jackie Bettington,  
ARMA



With few enterprises possessing fully functioning information governance regimes, directors and senior executives need to ask serious questions about the impact of information management on overall corporate performance and conformance.

**I**nformation assets are integral to effective corporate governance, and they present your organisation with both risks and opportunities.

Ensuring that information assets are managed and used efficiently, effectively and ethically to achieve enterprise value is the essence of information governance. This is a holistic and integrated enterprise-wide process for making decisions about information assets from the available strategic options.<sup>1</sup>

The central information challenge faced by enterprises has been described as 'how to apply IT and how to manage the information that IT provides.'<sup>2</sup>

Technology and information provide enterprise capability. In the electronic environment information is dynamic, fluid and free to move across time and space. Many enterprises assume that its information is cheap or free and therefore the more information the better.<sup>3</sup> This is not necessarily the case.

A recent study of corporate data integrity by the Data Warehousing Institute in the US found that nearly half the companies surveyed had suffered 'losses, problems or costs' due to deficient data. The total cost of so-called 'dirty data' – data that is inaccurate, inconsistent, out of date, etc – was estimated at \$US600 billion.<sup>4</sup> Further research indicates that anywhere from 10% to 30% of corporate data is unreliable.<sup>5</sup>

Not only is the quality of information a problem - the quantity is also a major concern. A 2003 survey of 158 corporate executives in the US found that the amount of information in their custody had increased by up to 300%.<sup>6</sup> Executives

reported that they were 'drowning in data' and that information was 'out of control.'<sup>7</sup>

Too much poor quality information creates risks and liabilities and has a negative affect on enterprise value. While technologies enable the creation of more and more information there is little evidence to show that high levels of investment in information assets result in positive returns.<sup>8</sup>

For maximum return on investment, information governance designed with a value-based approach that is aligned with the goals and obligations of the enterprise is essential.

## Overcoming the Information Governance Myths

While some executives acknowledge that information is an important asset, few enterprises have met the information challenge and fully control and exploit information.<sup>9</sup> This stems largely from misconceptions or myths surrounding the value and role of information assets and information governance. Myths such as...

### **Myth 1. Decisions relating to information assets are operational management decisions.**

To the contrary, research shows that it is the 'tone at the top' that is critical in shaping corporate culture and behaviour.<sup>10</sup>

'The tone at the top of enterprises which made headlines in 2001 and 2002 as a result of their corporate governance failures was clearly the driver of those failures.' As John Shaw wrote in 2003, 'The decisions, conscious or not, made by boards and executive management led to the outcomes that we have all witnessed. The feedback and learning that took place reinforced



# Governance Leads to Good Corporate Governance

the notion that the behaviour of the leadership not only was appropriate, it was the preferred way of doing business,' (Corporate Governance and Risk, p 78).

The destruction of documents relating to Enron, despite formal policies to the contrary, by Arthur Andersen's senior partner in charge of the Enron account<sup>11</sup> and the domineering influence of Ray Williams in shaping the recordkeeping culture at HIH illustrate the power corporate leaders have to dictate corporate behaviour, irrespective of internal and external rules.<sup>12</sup>

## **Myth 2. Governance is only about compliance**

This can be a costly mistake. In the current legal and regulatory environment, governance roles and activities tend to focus on compliance issues, encouraging a minimalist approach.<sup>13</sup>

An emphasis on risks - the negative aspect of governance - rather than on rewards, its empowering aspect, may have the affect of reducing the value of governance mechanisms in achieving business performance outcomes.

## **Myth 3. Information technology governance is sufficient**

Information and information and communications technologies (ICTs), while separate, are interdependent. Both resources are necessary in order to achieve business outcomes.

Many enterprises adopt a fragmented approach to managing information via structural silos and divorcing information from its enabling technology. A holistic and integrated approach that transcends conventional structures and mindsets is necessary to create governance mechanisms that address both IT and information.

## **Myth 4. Information governance creates more costs than benefits**

Wrong. While establishing governance mechanisms does create another overhead cost, it can also lead to significant improvements in performance and conformance.

Research conducted by Weill and Ross in the US in 2003-4 indicates that 'firms with above average IT governance performance also had superior profits as measured by three-year industry-adjusted returns on assets (ROA). The difference varied by strategy of the firm, but the firms with above average governance had average ROAs of more than twice the size of the firms with poorer governance.

'Governance was, of course, not the only factor, but good governance often comes with effective management practices in all areas.'<sup>14</sup>

## **Myth 5. Information governance is about structure**

Many executives interpret information governance as being about establishing committees to deal with information issues, leaving the rest of the enterprise to get on with business. Such a 'set and forget' approach on the part of directors and senior management can have serious business ramifications.

Because the majority of investments in information management assets are a 'blended investment' that directly impact on a number of business areas and processes, they represent information-enabled business change.

The governance and management of such investments involve business decisions requiring cross-functional business expertise and effort.<sup>15</sup> In other words, information governance is everyone's business.

## **Myth 6. Information is a passive by-product that does not require governance**

Information is a product, not a by-product. Researchers at the MIT School of Management's Total Data Quality Management Program in the US have found that to address quality issues enterprises must treat information as a product.

Typically, they say, enterprises 'focus on the systems or events that produce the information instead of the content.'<sup>16</sup>

Information is seen by these enterprises as a self-contained object that 'falls out' at the end of the production process with little regard for the current and future value of that product.<sup>17</sup>

Such mindsets also tend to partition technology, information and processes rather than seeing them as interdependent 'bundles of value' - the information product.<sup>18</sup>

## **The 7 Steps Your Enterprise Should Take to Ensure Prudent Information Governance**

In considering information and governance issues and challenges facing your enterprise you should ensure the governance framework you approve and implement is value driven, is enterprise-wide, includes all your information assets, recognises that information and IT are intangible assets, and is transparent, dynamic and flexible, and involves more than just structure.

While there is a significant body of knowledge and experience in IT governance, (See later article in this issue, 'Surviving in the IT Governance Jungle'), there is little material

**It is the "tone at the top" that is critical in shaping corporate culture and behaviour**

documenting holistic and integrated governance for all information assets.

The following seven steps to creating the ideal information governance framework are based on several existing models.<sup>19</sup>

**1. Research.** First, research and understand the legal, business and economic and social context in which the information governance framework will be applied.

**2. Identify & define your information assets.** The value of information assets rests in the synergistic relationship between them and the other assets of the organisation - the so-called value network.

MEMO TO THE BOARD: Continued from page 21

Because information is an intangible asset, do not commit too much time or energy to trying to establish precise measures. Canadian academic John Thorp, in his 2003 book *The Information Paradox*, recommended an analysis process he calls 'value networking' to gain a better understanding of the contribution information assets can make to generating the value of your enterprise.

**3. Now design your information governance framework.** Your framework should incorporate stakeholder value as well as the capacity to evaluate, direct, monitor and report the performance and conformance of your information assets.

**4. Approve this governance framework at board level.** By requiring board approval you provide an opportunity to highlight the need for board members to take a personal interest in the organisation's information governance.

Major information governance failures impact severely at board level, so it follows that to eliminate such failures an enterprise's information governance framework should be known to and approved by the board.

**5. Assign information governance roles, responsibilities and accountabilities.** The board should be actively involved in the assignment of key governance responsibilities. When selecting individuals for such roles their ethical backgrounds should be considered along with their expertise and position. Board dynamics in relation to candidates should also be considered.

**6. Establish governance mechanisms.** Your governance mechanisms should cover structural, process and communications elements.

Structural mechanisms define and assign decision-making rights to individuals or groups, and form the basis for competencies in conflict resolution, negotiation and coalition building which will be essential to the long-term success of information governance.

Process mechanisms include memoranda of understanding, service level agreements, capital investment and budget approval mechanisms, risk management and portfolio management.

Communications mechanisms facilitate transparent governance and provide means for informing stakeholders of issues and progress and also invite feedback. They can include forums, email stings, and a presence in corporate newsletters.

A board should satisfy itself that all these mechanisms are in place, because this step is where 'the rubber hits the road' as the information governance framework is rolled out.

**7. Regularly review and improve your information governance programme.** Kaplan and Norton's 'Balanced Scorecard'<sup>20</sup> and the 'IT Balanced Scorecard'<sup>21</sup> developed by the Institute of IT Governance in Illinois, USA, offer sample frameworks for performance review.

Your organisation should also develop a conformance management framework to ensure the management and operations of your information governance programme meet legislative and regulatory requirements and relevant industry standards.

## Over to You

This article has attempted to provide you with an overview of an information governance model which provides a basis for an efficient, compliant and ethical governance regime.

Increasing public exposure of deficient information management practices and the increasing capability of information assets present information managers with an opportunity to visibly and positively contribute to enterprise success.

To move information governance out of the basement and into the boardroom requires tenacity and time. Information managers need to be astute in identifying the value levers that grab the attention of their board, and should be prepared to act as the opportunity arises. Board members should be alive to opportunities to improve the information governance of

## Coke Chairman's View of Corporate Governance

The view from the boardroom is often very different to that from the information manager's office. According to Coca-Cola Amatil's Chairman David Gonski, things go better with corporate governance, but not too much of it.

Gonski told CO (formerly *Comperation*) magazine: "There is absolutely no doubt that corporate governance is important and some of the corporate disasters of recent times may have been avoided by an increase in such governance.

"However, while I would love to believe that increased


corporate governance and diligence on executive share and option remuneration would solve the problem, I don't honestly believe that it will do so."

He went on, "Improving governance is a good thing. Taken to extremes, it could paralyse a company and lead boards to look at what will be seen as right rather than to take steps for the overall good of the company."

From 'Beyond Corporate Governance', August-September 2004 *Comperation* magazine. Reprinted in *IQ* with permission of Comperation Pty Ltd.

David Gonski, Chairman of Coca-Cola Amatil, Australia

their organisation. Chairmen should take the lead and bring information governance issues to the boardroom table.

Breaking through the barriers of conventional wisdom and initiating a sustained effort is never an easy feat, but the opportunity and the rewards are there for the brave and the bold. 



#### The Author

Over the past 15 years **Jackie Bettington**, MA, DipIM-ArchivAdmin, Dip Ed, M Litt, MBA, AISM, ARMA, has held a variety of leadership, policy, strategy and governance roles in the public, private and not for profit sectors. Jackie is currently working from Brisbane, Queensland as a freelance management consultant specialising in strategy, policy, information management, business process re-engineering and creative thinking.



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MAP 5055



# COMPUTER FORENSICS

## as a Corporate Governance Tool



By Neil Barrett

**According to leading UK criminologist Professor Neil Barrett, smart organisations are today using Computer Forensics as a tool for combating fraud and the misuse of information resources.**

**F**orensics is the science of collecting data from the scene of a crime, and then turning that data into a form in which it is both admissible and understandable in a court of law. Computer forensics is the discipline of collecting and collating data from a computer source - or from some other, similar source such as a mobile phone - and of transforming it into evidence.

Computer forensics is both made more difficult and made easier by the very nature of the computer data that is being studied. On the one hand, the data is trivially easy to change, and therefore difficult to prove in court that it has not been contaminated in any way. On the other hand, computers record all changes that occur to their contents, making the tracking of a criminal's activities within a computer possible.

### Recording the Crime

Imagine your house has been fitted with a CCTV system in every room, the cameras carefully hidden away. In the event of a break-in we will be able to see how many people entered the house and in what fashion; we will be able to see what they do, where they go. We will know the true situation. Of course, we will still have to catch them and we will still have to make sure that the CCTV tapes can be used as evidence but our basic questions will have been answered.

Few houses are fitted with CCTV cameras, but all computers have the equivalent mechanisms for tracking and recording activity - criminal or legitimate - that is carried out on them. Information is stored on computers in files, arranged in a hierarchical structure of directories or folders. Each file and each directory has a time stamp associated with it, that records when the contents were last accessed or last altered.

In effect, it is as though fingerprints at a normal crime scene came with a precise time value, allowing a scene of crime officer to follow precisely the progress of an intruder through the house.

A file has been copied, for example, from a company's computer system. Did the intruder go directly to the file, or did he need to examine lots of files in lots of directories so as to locate it?

In the first case we might have an insider; in the second, an opportunistic hacker. The time stamps in the system will

**“ In high profile paedophile cases such as that of Garry Glitter, files and website access records that had been deleted were recovered ”**

indicate this, and will show whether or not the stolen file was a deliberate target, accessed as a result of prior knowledge, or merely a piece of interesting data taken as a totem or prize for a successful intrusion.

Provided that the time stamps aren't altered by subsequent users of the computer - or by police investigators - they provide an ideal indication of what was done, and even an insight into the intruder's motives.

If the corpse is pathology's Silent Witness, the computer is a determinedly garrulous and articulate one - but one that requires careful handling if the story it tells is to be admissible in court. That, for me, is the beauty and the challenge of computer forensics.

### Recovering Deleted Files

The other, important aspect is the immense range of potential evidence that can be recovered. Computers are, we know, remarkably lazy devices: they are programmed to do the barest minimum of work to satisfy a user's request. A perfect example of this occurs when a file is deleted.

Files are stored, obviously, on the computer's hard disk. The data is arranged into Clusters or Blocks that are read or written as an entire thing. A cluster might contain around five hundred or a thousand characters. To find the correct cluster on the disk, the computer keeps a track of the file and of its location.

First of all, a file is held within a directory: physically, the directory is a list of file names, together with the location on the disk where an information block for the file is to be found. That information block contains the time stamps that are so important for computer forensics, and it also contains a pointer to the first cluster in the file; that cluster has the file's contents, and also a pointer to the second cluster, and so on in a chain through the disk.

When a file is deleted, two things happen. First, a deleted marker is placed in the directory file beside the file

name - though the file name is still there. And, secondly, the information block is marked as deleted - though again, it and the actual segments themselves are still there.

With clever software - such as Encase, currently the most popular tool amongst law enforcement officers here and in the US - those deleted files can be read, and even reconstructed if parts of the file have been overwritten by other files. This aspect of computer forensics - the recovery of deleted files - is perhaps the most well-known part of the discipline.

In high-profile paedophile cases - such as that of Gary Glitter, for example - files and website access records that had been deleted were recovered and analysed by the prosecution, so as to show precisely what the computer user had been doing.

In other cases, as varied as a murder in which planning was performed using email communications, through stalking, to fraud and hacking abuses, the science of recovering deleted files has proved immensely valuable to the prosecution in being able to present precisely what has taken place.

Tools such as Encase achieve this by taking a precise, bit by bit copy of the computer's hard disk in a way that does not allow the disk to be changed during the copying. This includes all aspects of the disk, including any leftover traces from deleted or overwritten - or even, moved and changed - files in the file system.

Technically, these tools are very clever, and present the investigator with simple to use functions and an easy way of preparing reports. More importantly, they have been used extensively and successfully in court.

### Incident Response Strategies

To achieve this, though, it is necessary to have suitable controls in place even before the computer is touched. Most computer crime scenes are contaminated within the first few minutes of discovery, usually by clumsy system administrators who inspect the workstation or computer before it is passed to the forensic scientists for examination.

Of course, if a suitable record of activities is taken of these actions, then the court can still be reassured of the correctness of

**“ The first response aspect is easily summarised in the core motto of all forensic scientists: first, do no harm ”**

the evidence. In many cases, though, this does not happen, and the evidence has to be dismissed.

A perfect example of this is a paedophile case, *R v Wrigley* in Birmingham Crown Court, in which much of the computer evidence had to be dismissed once it was discovered that the system administrator had inspected - and thereby contaminated - the computer evidence before it had been frozen.

Because of these problems, growing numbers of companies are taking to training their staff in the first response aspects of computer crime investigation - and in some cases, in the complete computer forensics discipline.

CORPORATE FORENSICS: Continued from page 25

The first response aspect is easily summarised in the core motto of all forensic scientists: first, do no harm. Do nothing that might change the contents of the computer - including inspecting its contents, turning it on, or even closing it down - without careful consideration of what those changes might in fact be.

With suitable training, any organisation can put in place an incident response strategy - that can be used whether the suspected offence is a hacking intrusion, downloaded pornography, offensive email communications, or any other abuse - that allows them sensibly to react to a computer problem.

For example, several major (UK) financial organisations have established computer security incident management teams - in which forensics, investigation, legal, personnel and even public relations all work alongside one another to address the issues of handling a computer crime.

There is an important message in their efforts: computer crime handling is about more than simply freezing the contents of the computer; it is also about making sure that the contents can be worked upon and that the company is not damaged by the problems.

### Computer Competency Within the Judiciary

A significant problem faced by all working in computer crime is the low level of computer competence in the judiciary. From the counsel, through the judges, to the juries, there is a low level of familiarity with the basic concepts of operation of the computer, and an often serious misunderstanding as to the meaning of the terms of are that are routinely used in computer science.

Familiar terms - such as memory, for example - have very precise meanings in computer science, that are not always the same as the more vernacular uses of the terms. Complex concepts, often complex arguments - relating to a fraud, a hacking incident or similar - and strange words must therefore all be explained in such a way that non-expert jury members can understand their meanings.

Even after the computer evidence has been collected, this can be the most difficult part of a computer crime case, and is often the hurdle at which the case ultimately fails to convict.

The important message for organisations wishing to use computer forensics as a tool in their management of fraud and abuse of computer resources is this: plan early and well for how you will achieve the complete task of taking data from the computer and of making it valuable evidence in court.



UK criminologist Professor  
Neil Barrett

### The Author

Neil Barrett is Visiting Professor of Computer Crime at the UK's Cranfield University, and author of the book *Traces of Guilt*.

Neil studied Mathematics and Computer Science at Nottingham University, graduating in 1983. Just two years later he gained a PhD and the university's research prize. York University appointed him as the UK's youngest lecturer in 1985. In 1988 he left academe and became a consultant, specialising in

UNIX and computer security.

Neil joined IRM plc as Technical Director in June 1999 and is responsible for the development of security policies and contingency plans, penetration testing and computer forensic analyses.

He has appeared in court as a computer expert in a variety of cases. A frequent speaker at many conferences, Neil has also appeared on TV and radio programmes to discuss computer crime and is often asked to give expert comment and opinions for the national and specialist media.

His book *Traces of Guilt* was published by Bantam Press in February 2004 (ISBN 0593051866) and is available from [amazon.co.uk](http://amazon.co.uk) and other online bookstores.

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## Corporate Governance Fact File

### Global Governance Software Market Worth Billions

While the global market is still emerging, eight-year-old corporate governance solution specialist 80-20 Software estimates that it will exceed \$3 billion over the next four years.

80-20 recently received a \$2.5 million Australian Government grant, via the AusIndustry Start programme, to develop a new generation corporate governance solution.

According to the CEO of 80-20 Software, Mark Ross: "The automated real time compliance monitoring services we will deliver will dramatically reduce the cost of corporate compliance and improve corporate performance through enhanced compliance effectiveness."

### Emails Pose Governance Problems

A survey last year by Ferris Research of 400 records managers in the US found that while 69% of organisations surveyed had been required to produce email records for government investigations, litigation, audit or compliance, 75% of them said they had no technical systems in place for managing email records.

Ferris Research reported that most organisations surveyed faced a lack of necessary funding to address email retrieval requests.

For more information: [www.ferris.com](http://www.ferris.com).

### Handbooks Spell Out Standards

Two years ago, Standards Australia introduced new standards covering corporate governance issues:

**AS 8000** – Corporate Governance: Good Governance Principles


**AS 8001** – Corporate Governance: Fraud & Corruption Control

**AS 8002** – Corporate Governance: Organisational Code of Conduct

**AS 8003** – Corporate Governance: Corporate Social Responsibility

**AS 8004** – Corporate Governance: Whistleblower Protection Programmes

For Entities.

They're detailed in two handbooks, HB 400, *Introduction to Corporate Governance*, and HB401, *Applications of Corporate Governance*. For more information: [www.standards.com.au](http://www.standards.com.au) 



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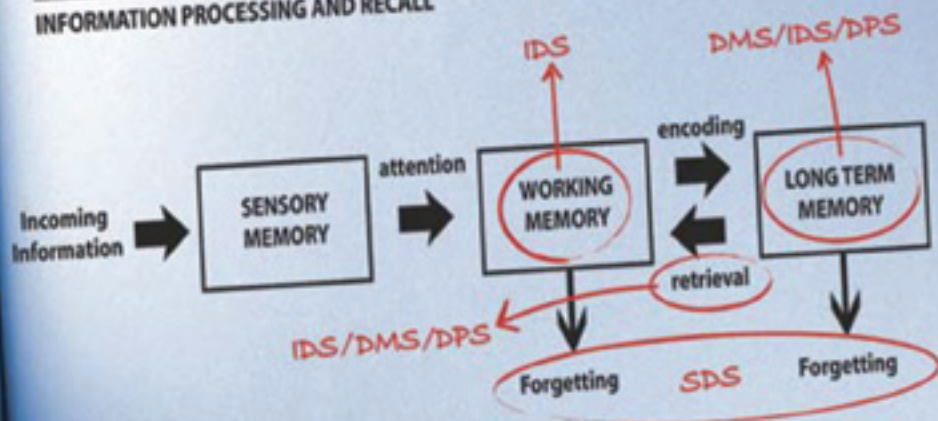
## THE BRAIN AND MEMORY FUNCTION

There are three types of memory - sensory memory, short-term (working) memory and long-term memory. Information is passed from sensory memory into working memory by attention, which filters stimuli to those which are of interest at a given time. Long-term memory function is used for storage of information over a long time. Information from the working memory can be quickly recalled as needed.



figure 11.a

### INFORMATION PROCESSING AND RECALL



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# Sentries or Censors?

By Leith Robinson, CARMA

While George Orwell's *Nineteen Eighty-Four* depiction of people control via the manipulation of information was intended as a warning about the dangers of State control inherent in totalitarianism, Leith Robinson wonders, with information managers today acting as gatekeepers of State information, who will draw the line between benign governance and Orwellian censorship, between employee compliance and the public's right to know?

**T**he information profession is faced with balancing neutrality, autonomy and answering to the authority of the State. These conflicts are compounded by ongoing changes, including technological, economic and social, which create new operating environments locally and globally.

Information management has at its core the collection and organisation of knowledge, and worker actions to this end are supposed to be unbiased. Ultimately, the rights of users to access data should be upheld. But are staff guarding this freedom, or censoring material?

Partridge (personal communication, October 6, 2004) advised that information professionals are meant to capture and manage but not govern information. However, it is contended this may be the intention but it is not the reality, because in meeting their obligations, the library and information science sphere cannot maintain objectivity.

In selecting, acquiring, cataloguing (eg metadata) and evaluating material, and subsequently referring patrons to the best sources, knowledge workers are exercising judgement, and thus these activities have elements of governance. This notion is complicated. Admittedly, the user's choice has been narrowed, yet due to the plethora of information available, could the situation be otherwise?

Whilst this dilemma has been exacerbated by the post-war 'information explosion', it certainly existed prior to this era. For example, manual indexing also represented decision-making as to what was important to record. Hence, if the seeker's and the information professional's search terms differed, the retrieval of material would be compromised.

Fortunately, now the capability of software for full-page indexing means this likelihood is diminished, though it still remains a problem. (See 'Indexing the Future of Information' on page 40 of this issue of *IQ*.)

Recently, the governance of human behaviour by the information profession has been altering, though it remains inherent in the structure of any system. Foster (2004) et al have reported the growth in people finding their own information - often on the Web.

Knowledge personnel roles have become less custodial and more facilitative: Staff act as a gateway, and frequently train the enquirer. Also, companies have transferred aspects of information management to users, such as file naming, checking documents in and out and contributing text to intranets.

## Ally or Enemy of Government?

It is widely recognised, though fiercely debated, that the information profession is used by the ruling body, (ie, government). Many authors have acknowledged that the packaging of information is one of the techniques used by governments for the construction of society, and the control of a nation's consciousness.

Knowledge workers are subject to laws and do experience institutional interdependence, but also counter their complicity by serving as 'watchdogs'.

Moldrich (2004, p. 60) noted that over a period of 20 years in Australia, the shift in many standards has been from a voluntary basis to enforced compliance, and stated, "Governance and compliance with record-keeping standards are by their nature inextricably entwined".

The government advises what is required, creators produce accordingly, users react, others respond and thus the cycle continues. This means the information profession is automatically serving the State. They are accessories to governance.

Governments not only direct how information should be made, but they also produce it, and in many countries they are responsible for most of the output. They then pass on only some material for storage. Therefore, there is a filtering of data, and decisions as to what memories of life society will retain.

The State also influences the information profession in the public, religious and not-for-profit sectors. Legislation such as State Record Acts and the Privacy Act guide functions, and copyright laws affect the availability of information.

When the state sets standards and then audits State-run libraries, archives and records offices, the societal maxim of the separation of powers is breached. There are numerous information organisations with a government link.

The Australian Bureau of Statistics (2001, p.2) reported, 'At



the end of June 2000, there were 505 local government library organisations with 1510 library locations, 8 National and State library organisations with 26 locations, and 8 National and State archive organisations with 27 locations operating in Australia'.

There is a paradox however, because in many circumstances only the government has sufficient resources to provide such services.

Yet the actions of information professionals may directly or indirectly oppose the State. The information profession uses the media to expose both public and private sector inadequacies – 'whistleblowing' – on a regional, country and worldwide basis.

As Koval (2000, p. 21) encapsulated, 'An educated citizenry is an informed citizenry, the very basis for democratic political life'.

Recent media examples in Western Australia include the lack of storage at the State Records Office, and the aging-book crisis in local libraries. Nationally, the Heiner case of the destruction – at the State's behest – of archives regarding a court trial was revealed. And there was global coverage of the document shredding at Enron.


## We Have the Power

In recent times the actions of the information profession in Australia have been questioned, and the binary of permitting or restricting knowledge – the sentries or censors conundrum – has been posed. At the same time, the compromise of the library, archive and records management discipline's tenet of objectivity is acknowledged.

Practitioners select, organise and interpret data, and though in principle are often answerable to the public, in practice they – or their parent body – are accountable to, used by, but can also affect, the State.

In Australia, the interweaving of the nation-state and the information field is complex. However, these relationships are fluid, and interdependence and influence have altered as society has evolved.

The strength of information control in terms of our government's hegemonic weaponry has actually lessened, as today's public has a greater awareness of global situations. But that does not mean it will always be the case? Will the gatekeepers always be able to put ethics before orders, to put public interest before the interests of their political masters?

The power to ensure that government information governance remains benign is in the hands of today's and tomorrow's information professionals. 



### The Author

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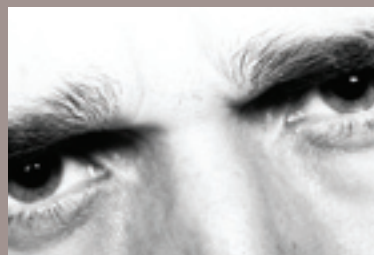
## What is THE STATE? What is GOVERNANCE?

There are a number of interpretations of the concepts of 'the State.' Broadly, it is the body politic of a particular community. The structure known as the Commonwealth of Australia came into being in 1901, when the separate British colonies within the continent amalgamated.

Governance is defined as 'the action, manner or system of directing and controlling the affairs, policies and functions of an organization or nation', (Collins, 1989). Whilst living without governance would be perilous (see Hobbes, 1983), theorists such as Kapferer (1996) have cautioned that a careful distinction must be made between intervention and interference.

Governance relies upon the knowledge industries, as what is seen, heard, and read determines how the population thinks and reacts.

## The Orwellian Vision of Records Governance



In George Orwell's classic 1949 novel Nineteen Eighty-Four, (Secker & Warburg, London), the State changed records to change history and eliminate all reference to events prior to Big

Brother. While the events of the past, Orwell wrote, existed in records and in memories, the State could easily change the records, and, with training, alter the collective memory too. But then you had to forget that you had changed the records and had altered people's memories, and only remember the amended history; this too was a technique that could be learned, he said.



# The Case for Blowing the Whistle

By Lorraine Bradshaw

**Corporate collapses and scandals involving large organisations in recent times have brought the issues of corporate governance and whistle blowing to the forefront of the attention of government, media and the general public. Is there a role for whistleblowers in the records and information management world?**

**G**one are the days of skeletons in closets and “we don’t like to talk about things like that”. Corporate collapses and scandals are big business in themselves, with the “entertainment industry” using the material to make squillions. The Insider, starring Russel Crowe, for example.

For those of you who haven’t watched the movie, it depicted the story of Jeffrey Wigand and his role in exposing the Tobacco scandal, revealing that executives of the major tobacco companies knew that cigarettes were addictive and that they added other carcinogenic ingredients to the cigarettes.

Other notable whistleblowers in recent times include Cynthia Cooper of WorldCom, Coleen Rowley of the FBI and Sherron Watkins of Enron. However, in order for credible allegations to be made, they require significant evidence.

Coleen Rowley documented her concerns about the failure of the FBI to act on specific pre-September 11, terrorist information in a 13-page memo to the FBI’s director. Sherron Watkins documented a series of audit reports to Enron CEO Kenneth Lay. Neither disclosure was anonymous. It does appear that in all cases, in order for credible allegations to be made, they need the backing of significant evidence of wrongdoing.

Of course these publicly scrutinised cases appear to be just the tip of the iceberg, with many more cases not making it into the media spotlight. For example, in 1996 Barry Adams, a Registered Nurse with a New England hospital blew the whistle on unsafe health care practices that he observed in his work setting.



Over a three-month period he precisely followed the organisation’s own guidelines on reporting to hospital administrators, instead of using the information to investigate and correct any areas of concern. Adams was fired.

The decision to blow the whistle on illegal or unethical practices in the workplace is not one that can be taken lightly. As we have seen with the cases of Enron, Worldcom etc, the intense media scrutiny, harassment and vilification of the person lifting the lid on such activities cannot be under estimated.

## Enter the Regulators

Recent legislation has attempted to protect those people who do decide to ‘go public’ with their findings. In the United States, the introduction of the Sarbanes-Oxley Act of 2002 (SOX) which was introduced after the collapse of the energy giant Enron and other corporate giants, now requires corporations to have systems in place for the internal reporting of misconduct to supplement surveillance by government agencies and reporting by third party organisations, such as accounting firms.

After the energy giant Enron collapsed, the role of its auditing firm - Arthur Andersen was investigated. Arthur Andersen, one of the “big 5” accounting firms, had been retained by Enron to ensure investors could rely on the company’s financial statements. However, Andersen was also a major business partner – soliciting and selling millions in consulting services to Enron.

Added to this conflict of interest, Andersen was also responsible for some of Enron’s internal bookkeeping, and some of Andersen’s executives ended up taking jobs at Enron. Whilst Andersen took the steps to fire the Enron lead auditor – Mr David Duncan, after it was discovered that he had ordered the destruction and shredding of documents pertaining to the audits performed by Andersen’s, it was not enough to save the organisation from being charged with obstruction of justice by the US judiciary system, effectively sealing its fate.

In addition to Sarbanes-Oxley, the 2002 Notification & Federal Anti-Discrimination and Retaliation Act (aka No FEAR Act) makes Federal agencies individually accountable for violations of anti-discrimination and whistleblower protection laws.

In Australia, the introduction of CLERP 9 (the Commonwealth Law Economic Reform Program - Audit Reform and Corporate Disclosure Act 2004) is the Australian

government's prescription for corporate governance reform. These reforms aim to remove conflicts of interest and encourage executives to maintain an open dialogue with shareholders. (CLERP 9 became law on July 1, 2004.)

As reported by the *Sydney Morning Herald*, (19/9/02), the CLERP 9 changes are extensive. Companies have to deny or confirm market rumours affecting share prices. Auditors must report companies trying to bribe, coerce, manipulate or mislead them. And employees blowing the whistle on corporate misdeeds are protected.

In addition, the cost of executive and director share options have to appear in financial statements. Top 500 listed companies must have audit committees. Audit partners must change the companies they audit every five years.

Also included are \$1m fines for insider trading, market manipulation and failure to meet disclosure requirements. Stockbrokers and analysts must disclose financial interest in stock on which they are reporting.

Shareholders can email questions for posting on a company website instead of attending annual general meetings (AGMs), while auditors are required to attend AGMs and answer 'reasonable' questions. And shareholders are able to vote electronically and over the internet at AGMs.

Audit firms must reveal fees when selling both audit and non-audit services to corporate clients, and there are tougher restrictions on corporate clients issuing loans to auditors.

## A Standard for Australian Whistleblower Protection

Standards Australia released a standard (AS 8004-2003) on Whistleblowing Protection Programs For Entities during 2003. The standard is a useful start in the encouragement of best practice within organisations and community acceptance of whistleblowing in an environment where reporting is sometimes seen as 'dobbing' (Australian vernacular for informing on others) or 'unAustralian'.

However, like associated corporate governance standards it is not mandatory and does not provide effective legal protection for whistleblowers.

## To 'Dob' or Not To 'Dob', That is the Ethical Question for RIMs

There are a number of questions to this debate: Under what conditions is whistleblowing the right thing to do? When is it in the public's interest to do so? At what point does company loyalty no longer play a part in the decision to make information known to the wider community? And what of the loyalty to one's colleagues?

How much is the whistleblower willing to risk by going public? By 'going public' the whistleblower is going to be brought under intense personal scrutiny themselves, usually in order to deflect the issue of any wrong doing with attempts made to discredit the integrity of the whistleblower themselves.

Of course there is another side to these questions. What are

the motives driving the whistleblower? Who is going to benefit from the disclosure? And is it a case of attention or revenge on the part of the whistleblower?

Whatever the reason for the disclosure, 'dobbing in' or whistleblowing, the question remains – who is the 'ultimate winner'?

It appears that those organisations who already have an open and honest interface with their staff, shareholders and customers will have no problem modifying their procedures to incorporate the changes dictated by corporate governance with legislation such as Sarbanes-Oxley and CLERP 9, whereas those organisations who choose not to, won't, and will continue to run the risk of being found out!

## The Advantages of an Internal Whistleblowing Programme

A good internal whistleblowing program can underpin corporate standards and codes of ethics (or codes of ethics that cover a particular profession). It will encourage employees


to bring legal, financial or other malpractice to the attention of an internal authority for action on a timely basis. It can minimise the organisation's exposure to the damage that can occur when employees circumvent internal mechanisms.

It can also obviate the need for intervention by another body, eg in response to inaction after concerns were brought to the attention of an authority within the organisation.

Impediments to a successful internal whistleblowing program may include a lack of trust in the

organisation's system for identifying and responding to malpractice, and perceptions that whistleblowers are 'dobbers'.

There may also be concerns about retaliation in the workplace (including a lack of legal protection). Other concerns will be about potential defamation or other litigation. And there may be expectations about little support from unions and alienation from peers.

However, red tape, under-staffing, and indifference by the organisation may preclude the use of such systems, and may determine that the 'story' needs to 'get out there', whatever the personal cost in order for a satisfactory conclusion to be reached. 

### Australian Whistleblower Laws

While CLERP 9 contains national whistleblower protection provisions, South Australia was the first Australian state to introduce specific protected disclosure legislation, with its Whistleblower Protection Act of 1993. Currently, four states have such legislation. Western Australia and Tasmania are the exceptions. (Source: Transparency International; [www.transparency.org.au](http://www.transparency.org.au))

### The Author

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### NOTES

For more on the Barry Adams case, see the Online Journal of Issues in Nursing, Dec. 31, 1998, 'Whistle blowing As A Failure Of Organisational Ethics', by James J Fletcher, PhD, Jeanne M Sorrell, PhD, RN, Mary Cipriano Silva, PhD, RN, FAAN [http://www.nursingworld.org/ojin/topic8/topic8\\_3.htm15489.2](http://www.nursingworld.org/ojin/topic8/topic8_3.htm15489.2), Standards Australia International, Sydney.

# Surviving in the IT Governance Jungle

By Kumar Parakala

**With increased pressure from regulators and stakeholders for more responsible reporting and demonstrable return on investment, there are basic steps your organisation can take to achieve both, via improved Information Technology governance.**

**W**e've all heard stories of organisations that engaged in major IT projects, only to have costs escalate to multiples of the original estimate. How do organisations allow massive cost blowouts without scrutiny from shareholders, boards or senior management? These failures highlight poor internal controls and corporate management practices, particularly in IT management and leadership.

In the wake of major corporate failures such as Enron, the US Congress passed the Sarbanes-Oxley Act (SOX) in 2002. It mandates reporting on internal control of companies listed on US stock exchanges, including ongoing assessment of controls by independent auditors.

SOX has had considerable impact on corporate governance, audit and assurance services and has also been adopted by some Australian companies. Locally, ASX disclosure requirements and the federal government's CLERP 9 corporate law reforms have also increased the focus on corporate governance.

The Australian Prudential Regulation Authority (APRA) has warned that major IT projects and related aspects affecting business sustainability will come under scrutiny.

IT is the single largest expenditure after labour for many companies and as IT spending grows, boards and chief executive officers will come under increased pressure for more responsible reporting and demonstrable return on investment (ROI).

My dealings with CEOs and CIOs (chief information officers) suggest that our organisational culture is failing to ensure effective governance to reduce the waste of public and shareholders' resources in unsuccessful projects.

Unfortunately, some CIOs maintain their traditional focus on hardware and software and are very techno-centric in defending their IT budgets, which creates a disconnect between business and IT.

There is also too much focus on complex methodologies and too much documentation. Many IT professionals have developed successful careers out of preparing voluminous documents to justify IT investments, but this does not equal better governance.

No amount of justification and paperwork will matter



**Kumar Parakala,**  
Chairman of the Australian  
Computer Society, NSW

of the CEO and the board are negative about it. They have very little time to understand the paperwork generated by CIOs. Boards have an obligation to shareholders to demonstrate that any IT expenditure clearly contributes to the company's sustainability and profitability.

As an ex auditor, I understand the need for transparency and accountability, as well as compliance with financial reporting requirements. However, merely complying with reporting requirements fails to satisfy boards and CEOs, who perceive IT as a major cost centre that is more of a necessary evil than a value-adding resource.

## These Steps Can Improve the Situation:

- \* Management should recognise IT as an important input and enabler for the business at the board level and seek regular reports from the CIO on how they are contributing to the business outcomes of the organisation. The reporting requirements should be defined by the CEO and the board.
- \* A CIO must have appropriate business acumen and a good understanding of the business in order to contribute strategically. It is the responsibility of the CEO to ensure that the CIO is informed and, as relevant, consulted on all major business decisions, not only IT related.
- \* Minimum IT skills and knowledge should be made mandatory for all business-executives. Ongoing training in management of technology solutions should be provided to these people.




## ‘This is not just about satisfying reporting, but about encouraging leadership and ethical decision-making’

- \* A C-level executives must actively look for opportunities to leverage technology to enhance/improve the bottom line of the company's core business. The CIO can lead and become the conduit in identifying suitable solutions.
- \* Rather than defending their IT spend, CIOs should use governance structures to effectively engage with business counterparts and co-own IT initiatives.
- \* Businesses should leverage their IT professionals' skills in risk management, project management, business analysis, change management and business process innovation.
- \* Effective IT governance requires leadership blended with a culture of business focus, accountability, transparency and risk assessment. It is the responsibility of the board and the CEO to meet legislative and corporate governance obligations including IT governance.

I strongly encourage companies to seek an independent audit or review of their IT projects and operations. Research by MIT's Sloan School of Management found that companies with good IT governance deliver higher returns for shareholders, employees, and the community.

Legislation like SOX and the Privacy Act, couple with complex IT infrastructure, security, e-business, ERP systems and

the need for greater corporate transparency and accountability, have made IT governance a top priority for boards and senior management teams. This is not just about satisfying reporting, but about encouraging leadership and ethical decision-making.

The more we can fill the knowledge gap about risk management, effective IT governance and the accountability of IT professionals in delivering what they promise, the greater the benefit, not only for the IT sector, but for Australia as a whole. 

### The Author

Kumar Parakala is Chairman of the Australian Computer Society (ACS), NSW Branch. An ICT professional for 15 years, Kumar has been director of online systems program with KPMG Australia and CIO of Queensland Government departments including Tourism, Small Business and Industry. He was awarded the Queensland Government's Leadership Excellence Award in 2000. Kumar sits on a number of NSW Government ICT panels, and has been a visiting lecturer at two Australian universities and a guest lecturer at leading US universities. This article first appeared in the October/November 2004 issue of CO (Chief Officer) magazine, and is published in IQ with permission.

## TRIM Context Solving real problems



The timely delivery of information to staff and constituents is a fundamental business requirement for local government. In 2001, Greater Shepparton City Council found its inability to store and accurately retrieve documents was creating inefficiencies in the delivery of information to constituents and staff alike.

The council selected TOWER Software's TRIM Context platform to address these inefficiencies.

TRIM Context is now used on every desktop at the council. Every business document created by the council is stored in the TRIM repository. All incoming correspondence is scanned and stored in the same repository. The application of consistent indexes and classification ensures that information is well organised and easily found.

Read the full story at [www.towersoft.com.au](http://www.towersoft.com.au)



# Raising the Ethical Bar

By Christopher Colwell, ARMA

**The introduction late last year of a new Code of Ethics by the RMAA is, according to Chris Colwell, just the first step on the road to setting ethical standards for records and information management which reflect the social values and desired future direction of the profession.**

**T**he news is littered with stories about how unethical practices strike at the heart of records and information management. The Enron and Heiner cases are but two recent examples. But what are 'ethics'?

Ethics are standards of conduct of a particular group of people in society – principles of right behaviour that serve as guides for individuals and groups (Pojman, 1995 in Ngulube, 2000). Put simply, ethics are concerned with 'doing the right thing' (Yorke, 1995; Sturges, 2003).

However they should not be confused with morals or values. Morals represent a set of mores, customs and traditions derived from social practice or religious guidance. These are known, but rarely codified. (Lester & Koehler, 2003).

Values are a sub-set of morals. "A value is an enduring belief that a specific mode of conduct or end-state of existence is personally or socially preferable to an opposite or converse mode of conduct or end-state of existence" (Rokeach, 1973 in Koehler, 2003b). The application of values is ethics (Koehler, 2003b).

## Ethical Questions

Ethics entails the underlying belief that encountering a 'wrong' behaviour or practice involves a duty to do something about it. If a person does nothing they become as guilty as the perpetrator (de Jager, 2002).

Yet, ethics are not constant. A shifting in the ethical norms of society can be seen with the increased use of information technology. In response to these challenges society erects new ethical barriers – in this instance the protection of privacy and personal information (de Jager, 2002).

Just as there is a difference between morals, values and ethics there is also a difference between the law and ethics. Ethics often call for a higher standard of behaviour than the law. As professionals we should not necessarily be content with something unethical just because it happens to be legal (Pemberton, 1998). But what are 'professional ethics'?

## Defining Profession and Professionals

It is not simply enough to behave professionally to be considered a professional. A professional's ethical commitment and obligation must go beyond one's work environment and professional association to society at large (Pemberton & Pendergraft, 1990).

At best it can be asserted that the information professions are already professions. At worst that they are slowly moving down the path of what Pemberton and Pendergraft (1990) call "professionalisation". If, as they assert, only society can truly grant professional status then it may be quite some time before



**Chris Colwell,**  
who argues  
that RIM ethical  
standards can be  
improved

they are regarded in the same way as law and medicine.

Mason (1990) states that every profession rests on four pillars – its theoretical knowledge, its procedures and methods, its history and its ethics. Many definitions of professions stress the importance of both formal education and ongoing training. Education being the development of an understanding of the theory and practice of the discipline, "not simply the technical skills necessary to do the job" (Pember, 2003).

This may be a controversial point, but it is an important one. One that I suspect will continue to be debated within the records and archives communities. However, whatever side of the "you must have a degree to be a professional" debate you stand, a professional can be defined as possessing specialised knowledge and they use this knowledge in the service of others (Mason, 1990).

A profession is defined as a disciplined group of individuals who adhere to high ethical standards and uphold themselves to the public as possessing special knowledge and skills in a recognized body of learning derived from education and training and that they exercise these in the interest of others (Professions Australia, 1990).

## Professions and Codes of Ethics

While professional ethics are generally associated with the more established professions such as law and medicine, they are no less relevant to the information professions. As the "gatekeepers" of information in society, information professionals have ethical and social responsibilities (Mason, Culnan; 1995).

Changes in the information environment have led to a renewed awareness of ethics, values and legal obligations in the information professions (Lester and Koehler, 2003a), yet there is still a relatively small body of literature specifically on ethics in records, archives and information management.

There is a larger body of literature on ethics in librarianship. The American Library Association took an early

lead in this area first enunciating its Code of Ethics in 1938 (Koehler, 2003b).

Recently there has also emerged a growing body of literature on information ethics – the ethical use of recorded information. This is largely a result of the widespread use of information technology (de Jager, 2002). Professional codes of ethics are probably the most important way in which information professionals receive guidance in aspects of information ethics (Bebbington, 2003).

In their generic code of ethics for professions, Professions Australia (1990) state the core emphases of a professions code should be on knowledge, integrity and fairness, together with concern for the general community, employers and clients.

## A good code should become “dog-eared” from frequent reference

### Three Kinds of Codes

Regulatory codes generally define in explicit detail acceptable or unacceptable behavioural norms. They tend to be lengthy and legalistic (Koehler, 2003a; 2003b).

Aspirational codes provide a goal to move towards – the ends that professionals seek to emulate (Koehler, 2003a ; 2003b). These codes are action-oriented and encourage doing the right thing as opposed to not doing the wrong thing (Pemberton, 1998).

Educational codes describe the reasons for any prescriptions and proscriptions but at the same time guide toward the desired end (Koehler, 2003a; 2003b).

The shape that codes of ethics take will generally reflect the function and the nature of the professional association that issues them (Koehler, 2003b).

### Beyond the Technical

All professions have responsibilities for ethical behaviour that go beyond the lower-order technical concerns of their work, (Pemberton, 1998). Codes of ethics tend to be two-tiered, with both important high level truths and micro-level standards of conduct, (Bebbington, 2003). Hill (1997) calls these “ethics for high days” and “everyday ethics”.

The first practical use for a code is a “reminder to members, especially new ones, that being a member of a profession does entail an obligation to conform to standards of behaviour”, (Hill, 1997). In this sense codes should articulate professional ethical concerns and not sit like bookends on a shelf. A good code should become “dog-eared” from frequent reference (Rogerson, 2002 in Sturges, 2003).

However, far from being of interest to practitioners alone a profession’s code of ethics communicates its social relevance (Pemberton, 2003). As a profession’s statement of position to the community it is a powerful public relations tool.

### Sanctions

Should a code of ethics include sanctions? This is certainly the case in professions such as law and medicine where the professional associations perform a regulatory role.

However, there is the belief that sanctions, usually centred

around rejection of membership, are unlikely to create the desired effect (Barnes, 1986 & 1990 in Froehlich, 1992).

Froehlich (1992) states that consequently codes should be both aspirational and educational. They should set the ideals for the profession, raise consciousness about important issues and educate the public and potential members of the profession and offer a basis for public evaluation of professional performance (Froehlich, 1992).

### Values of the Information Professions

Pemberton (2003) states the values of information professionals fall into two domains – the technical or practical and the larger professional values that “reach beyond technique and technology”.

In looking at this question Koehler and Pemberton (2000) conducted a survey of professional associations around the world, examining their codes of ethics and values statements in order to determine common themes. The RMAA, Australian Library and Information Association (ALIA), and the Australian Computer Society were among those associations surveyed.

Koehler and Pemberton identified 6 major areas of concern. Their results were closely paralleled by another study conducted by Rubin and Froehlich (1996). They identified nine similar areas of concern. See Table.

Koehler and Pemberton (2000)	Rubin and Froehlich (1996)
Client/patron rights and privileges	Privacy
Selection issues	Selection and Censorship Reference
Professional Practice	Intellectual Property Rights Administration
Access Issues	Access Technology
Employer responsibility	Loyalties
Social Issues	Social Issues

Koehler and Pemberton (2000) also found that most information management professional associations in common law countries did not perform regulatory roles and had aspirational codes of ethics.

### The RMAA’s New Code

The RMAA’s new Code of Professional Conduct and Practice (see Page 38 of this issue of *IQ*) is a great improvement. The new code is substantial and provides greater guidance for professionals.

It incorporates most of the foundational code of ethics common to the information professions as identified by Koehler and Pemberton (2000) and it encompasses the core aspects of Professions Australia’s (1990) generic code of ethics for professions.

It is primarily an aspirational code with educational commentary and thus reflects the mission of the RMAA.



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However, I believe that there are two major areas that need to be considered and discussed to further improve and develop the code.

## When setting up retention schedules we are making determinations about what shall survive as the cultural record of our time

### 1. Social Values of the Recordkeeping Professional

What are the social values of the recordkeeping professional? Are they the same as other information professionals or do we have unique concerns?

Strip away the trappings of the International Standard and de Jager (2002) believes that our core function is that of stewardship. As professionals we are chartered to protect information from loss, tampering and unauthorised access or use.

In the same vein Ghetu (2004) states that we are the “keepers of civilization’s documented past”. We play a key role in preserving cultural memory. The values statement of ALIA (2002) calls this “preservation of the human record”.

In this sense we also encounter what Koehler and Pemberton (2000) call selection issues. When setting up retention schedules we are making determinations about what shall survive as the cultural record of our time for the generations to come (Mason, Mason & Culnan, 1995).

Equitable access to information supports the free flow of information and ideas (Pemberton & Nugent, 1995). In the recordkeeping sense this also encompasses issues relating to maintaining the accessibility of technology dependent records over time.

Pemberton and Pendergraft (1990) state that we should also strongly resist any pressure or subordination to mishandle or misuse information or records – even when proper handling may have an adverse effect on the organisations for which we work.

As information professionals we also have an instructional function that includes helping others to develop information literacy and competency. This is not the exclusive domain of librarians (Pemberton & Nugent, 1995).

### 2. Who is a RIM?

The new code introduces the concept of the recordkeeping and information management (RIM) professional. Who or what is this person? Is it just the professional members of the Association or all members of the Association. Does it reach wider than our association?

It has been stated that the recordkeeping professional is a theoretical and ideological assertion (Cunningham, 2000). While this may be true at least we can define recordkeeping as consisting of the disciplines of records and archives management. But what is a RIM professional?

Pemberton and Nugent (1995) state that librarianship, records management and archives management all make up part of the discipline known as information management.

Does a RIM professional include librarians or only those information professionals from what Pemberton (1995) calls the “decision-support paradigm” e.g. MIS Specialists. Does it also include what Myburgh (2004) calls the ‘new’ information professions – competitive intelligence, content management and knowledge management? Or is it only those information professionals who practice recordkeeping in some way?

It should be noted that by definition the professional ranks in any field exclude the paraprofessional levels. As an association we should therefore be clear about what it is to be a recordkeeping and information management professional and articulate this clearly.


If we do not, there is a danger that by including all recordkeeping and information management personnel under the general heading of recordkeeping and information management professional it could reinforce “the widespread misperception that it is a fancy title for filing clerk” (Pemberton, 1994).

### RMAA’s Code – The Next Stage

Records managers have tended to see view their role in corporate rather than societal terms, whereas archivists and librarians have not. If we are to position ourselves as recordkeeping and information professionals we must address broader social and cultural concerns (Cunningham, 2000).

Recognition as a profession by the community will only come through demonstrating the relevance of recordkeeping and information management (however it is defined) to social values and through developing a code of ethics that embodies them. (Pemberton & Pendergraft, 1990).

If there is value in demonstrating our relevance beyond the workplace and that the ‘professionalisation’ of the recordkeeping profession is a viable goal to work towards then I believe the new Code of Professional Conduct and Practice should be used as a starting point for a code that reflects the values of the membership and the future direction of the profession.

The recordkeeping profession in Australia is a world leader in technical standards (Hurley, 2004). In line with our objective of fostering innovation and best practice, let us as an association utilise this opportunity to promote discussion and debate, so that we might become a world leader in setting professional standards as well. 

#### The Author

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# RMAA Code of Professional Conduct and Practice



## 1. The Public Interest

Safeguard the interests of your employer/client provided that they do not conflict with the duties and loyalties owed to the community, its laws and social and political institutions.

In performing work for an employer/client your priority should be to satisfy their needs and to meet the specifications to which you are committed. If, however, in meeting these requirements you are forced to breach law or inflict damage upon a third party, then you are professionally responsible to make the employer / client aware of these consequences and agree to an alternative course of action.

## 2. Integrity

Do not breach public trust in the profession or the specific trust of your employer/clients and stakeholders.

Observance of utmost honesty and integrity must underlie all your professional decisions and actions.

## 3. Confidentiality

You must not disclose information acquired in the course of your professional work except where consent has been obtained from the rightful legal owner or where there is a legal or professional duty to disclose.

This is applicable to most professions, but it is particularly applicable to you as a Recordkeeping and Information Management professional as you are likely to have access to employer / clients' information due to the nature of your work. You should be aware that information is the property of the employer / client, and must not be distributed freely or used for your personal advantage or that of a third party without the employer/client's consent.

## 4. Objectivity and Independence

Be objective, impartial and free of conflicts of interest in the performance of your professional duties.

In each professional assignment undertaken, you must be seen to be free of any interest which is incompatible with objectivity. Always make sure you are aware of your employer/client's objectives and the benefits they are looking for, and be careful not to lose objectivity created by the latest development technology or by the desire to promote your own product.

In the situation where a conflict exists between two or more employer/clients, a full and frank explanation and disclosure of the conflict should be made to the employer / clients.

## 5. Competence

Accept only such work as you believe you are competent to perform and do not hesitate to obtain additional expertise from appropriately qualified individuals where advisable.

You should always be aware of your own limitations and not knowingly imply that you have competence you do not possess. This, of course, is distinct from accepting a task of which the successful completion requires expertise additional to your own. You cannot possibly be knowledgeable on all facets of Recordkeeping and Information Management but you should be able to recognise when you need additional expertise and information.

## 6. Keeping Up-To-Date

Keep yourself, and subordinates, informed of such new technologies, practices and standards as are relevant to your duties.

Undertake, where appropriate, the RMAA CPD Scheme to assist in the gaining of new technologies, practices, standards and skills.

Others will expect you to provide special skills and advice; and in order to do so, you must keep your knowledge up-to-date. This is true for members of all professions, but particularly so in Recordkeeping and Information Management which is developing and changing rapidly. You must also encourage your staff and colleagues to do the same, for it is impossible to retain one's professional standing by relying only on the state of one's knowledge and competence at the time professional status is achieved.

## 7. Subordinates

Ensure subordinates are trained in order to be effective in their duties and to qualify for increased responsibilities.

Take action to ensure that your hard won knowledge and experience are passed on in such a way that those who receive it not only improve their own effectiveness in their present positions but also become keen to advance their careers and take on additional responsibilities.

Provide access to mentoring where appropriate and ensure that you pass your skills on to assist in the development of subordinates.

## 8. Responsibility to Your Employer/client

Actively seek opportunities for increasing efficiency and effectiveness to the benefit of the user/employer.

Whatever the precise terms of your brief, you should always be aware of the environment surrounding it and not work solely towards completion of the defined task. You must regard it as part of your duty to make your employer / client aware of other needs that emerge, unsatisfactory procedures that need modification and benefits that might be achieved. You, as an innovator, should take into account the relevance of new methods and should always be looking for the possibility of additional benefits not foreseen when the project was planned.

## 9. Promoting Recordkeeping and Information Management and the RMAA

Endeavour to extend public knowledge, understanding and appreciation of Recordkeeping and Information Management, and the RMAA.

People, for various reasons, can often be mistrustful or demonstrate resistance when it comes to Recordkeeping and Information Management and for that matter the Association as a whole. Aim to promote Recordkeeping and Information Management and the RMAA by educating people as to the benefits that can be achieved through its application or involvement to their business. You should, however, only express an opinion on a subject within your level of competence and when it is founded on adequate knowledge and honest conviction, and oppose any untrue, inaccurate, exaggerated or misleading statement or claims.

## 10. The Image of the Profession and the Association

Refrain from any conduct or action in your professional role which may tarnish the image of the Recordkeeping and Information Management profession or unjustifiably detract from the good name of your professional body.

The Association is aware that the public image of Recordkeeping and Information Management is of some concern. It is imperative, therefore, that members of the Recordkeeping and Information Management profession endeavour to maintain a professional standard that improves and enhances the profession's image.

**Issued:** 11 September 2004 – 69 Board Meeting



# An IT Governance Book With Less Emphasis on the I Than on the T

Reviewed by Jackie Bettington, ARMA

**IT Governance: How Top Performers Manage IT Decision Rights for Superior Results**, by Peter Weill and Jeanne W. Ross, Harvard Business School Press, Boston, Massachusetts, 269pages. ISBN 1-59139-253-5. AU\$59.95. Available online from [www.HBSPress.org](http://www.HBSPress.org)

**IT Governance** provides a practical framework for establishing enterprise-wide governance arrangements for information technology assets and achieving significant returns on those assets. These governance arrangements involve establishing a consultative and decision-making responsibility and accountability framework that encourages desirable behaviour in the use and management of IT.

IT governance is necessary because IT is pervasive, expensive, presents many new business opportunities and is critical to the operational and strategic success of organizations. Nonetheless, extracting value from IT is often elusive and dependent on a complex dynamic of resources, strategy, opportunities and risks.

According to Weill and Ross, effective IT governance involves aligning governance arrangements and mechanisms with the organization's value orientation (e.g. customer intimacy and operational excellence), strategy, other assets and the broader business context.

The authors say that effective IT governance needs to:

1. Identify the decisions that must be made to ensure that IT is effectively used. These decisions cover areas such as IT architecture, infrastructure and IT investment;
2. Assign the responsibility for making these decisions. This involves identifying the appropriate mix of people with IT and business expertise and positional roles for providing input and making decisions and assigning responsibility accordingly; and,
3. Establish mechanisms for ensuring that decisions are made and monitored. Such mechanisms include decision-making structures, alignment processes (e.g. service level agreements) and communication activities.


The framework is supported by research conducted by Gartner

EXP and the MIT Sloan Center for Information Systems Research on over 250 organizations in the Americas, Europe and Asia Pacific.

This research provides the basis for the several case studies used to explain the practical application of the framework in various organizations in the commercial, not-for-profit and public sectors. The research also shows that there exists a significant correlation between effective IT governance and achieving a 20% plus return on IT assets.

For the information manager, **IT Governance** provides a useful framework which may be adapted and extended to include all information assets, not just the technology. The framework is simple, explained well, and is logical and practical. It is geared to the needs of medium to large sizes enterprises.

Unfortunately, like many books of its kind, **IT Governance** neglects 'information'. This is particularly disappointing given that the authors acknowledge that 'the role and value of information has changed significantly in recent years', and that 'information and IT [are] the least understood and most poorly utilized key asset in many enterprises', (page 22)

Despite this significant weakness, **IT Governance** is well worth acquiring for those seeking an integrated approach to governing enterprise-wide information assets and who are prepared to invest the time and energy in adapting the framework to a specific organisational context. 

## The Reviewer

**Jackie Bettington**, MA, DipIM-ArchivAdmin, Dip Ed, M Litt, MBA, AImm, ARMA, has held a variety of leadership, policy, strategy and governance roles in the public, private and not for profit sectors over the past 15 years. Jackie is currently working from Brisbane, Queensland as a freelance management consultant specialising in strategy, policy, information management, business process re-engineering and creative thinking.



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# INDEXING

## The Future of Information

By Glenda Browne

**Indexing has a great future, with opportunities not imagined ten years ago. But continued technological change means it is also a very challenging future, with significant adaptation required.**



Indexer **Glenda Browne** with some of the many books she has indexed. She says that to stay aware of developments and remain relevant, indexers have to learn new skills and make contact with other related records and information professionals



**W**hat changes have occurred recently in the work indexers do? What are the implications for our future? The Australian Society of Indexers, (now the Australian and New Zealand Society of Indexers, or ANZSI), has run five conferences over the past ten years. Two themes have emerged – the importance of partnerships, and the need to consider our role in the electronic publishing environment. Fortunately, we discovered that we are still needed – in fact, we are crucial for quality information access.

The future is already here. Significant changes in information provision have occurred in the last few years. There have been great technological developments. As I remind my kids: “When I was your age, I had to walk to the TV to change the channel!”

On the other hand, some change has been overwhelming. As humorist Ashleigh Brilliant said: “There has been an alarming increase in the number of things I know nothing about.”

For us these new concepts are mainly reflected in acronyms. Are you up to scratch with XML, XFML, XTM, taxonomies, ontologies, OWL, RSS, CSS, CMS, DTD, DRM, DC, Semantic Web, RDF, RTF, PDF, DOI, ROI, EAD, wikis, NIPs and SEO?

The things I think are required of indexers and indexing now, which will be more important in the future, are:

1. Single sourcing using XML
2. Embedded indexing
3. Teamwork/distributed content indexing
4. Innovative specialised indexing/globalisation
5. User testing

### 1. Single Sourcing/Re-Purposing

Single sourcing means creating a document once, in such a way that it can be output in a number of different ways as required. This often means creating the document in XML format and outputting it in different print and online formats.

It can also mean outputting different levels of detail, eg, a briefer version for children. XML is more powerful than HTML for this purpose as it separates the content of a document from its display.

When fully implemented, single sourcing can involve the reuse of single paragraphs. You could, for example, write a definition of ‘maternity leave’ once, and reuse it in many contexts. This means when the definition changes it will only have to be changed in one place, and all other uses will be automatically updated. This level of single sourcing requires good organisation, and metadata to describe each of the separate document elements.

### Single Sourcing Example

The final annual issue of the NSW Public Health Bulletin, published twelve times a year; includes a subject and author index to the past year's content. In addition, a cumulative index is updated on the web every year.

From 2003 the NSWPH Bulletin has also been included in PubMed, a bibliographic database accessible online (<http://www.ncbi.nlm.nih.gov/entrez/query.fcgi>).

For PubMed, the NSWPH Bulletin publisher provides citation details in XML format, but PubMed provides the subject headings. The PubMed requirements are slightly different to those of the print index, requiring restructuring of data entry, for instance PubMed requires each part of each name in a separate field, whereas in previous indexing they were joined in a string. PubMed also requires a URL so it can link directly to the full text using its 'LinkOut' facility.

The solution for this project has been to use an MS-Access database with all the fields required for each different index. The database reporting feature is then used to extract the exact fields needed, and to add the XML coding. An MS-Word macro is used for some final changes (eg, converting 'NSW' to 'New South Wales').

The use of single sourcing for the Bulletin index means that data can be entered once, and output in different formats monthly, yearly, and in a cumulative version. This approach requires technical skills in database construction, and makes the indexing job much fiddlier and less concentrated on pure indexing.

## 2. Embedded Indexing

Embedded indexing involves the addition of tags in the text of the document to indicate required indexing terms, rather than the creation of a stand alone index that refers to the document,

Embedded indexing can also be used when one document is being split into a number of separate documents, or where separate documents are being combined. In these cases editing is needed to ensure that the index makes sense in its final context.

Embedded indexing is important for single sourcing. The indexer has to index for the most widely used format and accept that the index for the other formats may not be ideal. (If time permits you can, of course, tweak the index for each individual situation, but you have then lost the efficiency of single sourcing).

### The CUP XML Embedded Example

Cambridge University Press (CUP) has been asking indexers to embed their indexes in the text of the document (or provide them in a form that can be embedded) for the last year or so. This is a highly significant development as it is not a new approach for a new format, but impacts on traditional book indexing methods.

The rationale behind the approach is that embedded indexing will enable CUP to ask indexers to start indexing before copy editing has finished, thus cutting some time from the publication schedule. It also means they will be able to output their documents in different formats, and to issue later editions without totally reworking the index.

However, if copyediting results in significant changes to the text, then the index created with the earlier version will not be appropriate. And, even if changes are only minor, the person doing data entry will have to decide exactly where tags go when the indexer's copy and the final copy are not identical.

For indexers, it means the job takes longer, and has more clerical aspects to it. Indexers can work in their usual way, creating an index in specialised indexing software without

**There has been an alarming increase in the number of things I know nothing about**

but is not connected to it.

The advantages of embedded indexing are that the indexing flows with the text it refers to, so if pages are added or deleted the indexing doesn't have to change. Indexing can start before page numbers are finalised, and need not be redone for new editions, (although it will have to be edited if changes have been made to the content).

The disadvantages of embedded indexing are that it is more time-consuming to do, and harder to edit. It should be done on the 'live' copy of the document, that is, nobody should be making editorial changes to one copy of a document while the indexer is working on another copy. If this is not possible, indexing and editorial changes will have to be merged into the same document.

Embedded indexing is commonly used in technical indexing of computer manuals and other documents for which prompt publication is essential, and where updates are made regularly. It is also used in HTML Indexer web indexing software to automatically take care of addition, deletion and movement of pages.

adding page numbers. Then they have to allocate a unique number to each index entry, and either embed these numbers in the MS-Word or Adobe Acrobat PDF version of the document, or write the numbers in the printed proofs for later entry by others.

Some indexers transfer the index to MS-Excel in entry order and automatically add consecutive codes. Others use specialised indexing software that can automatically increment locator numbers.

Indexers report that the process takes extra time -15% extra working time, or double the time for data entry - and the publisher pays them for the extra time spent, although most indexers haven't claimed for the extra time spent working out how best to implement the new process.

As far as I can tell this approach may have practical and economic benefits for publishers, but offers nothing for indexers. It simply adds to the clerical load without adding anything to the quality of the work process or the final output. It may be that later refinements of the process can make the clerical load less daunting, for example by the provision of



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automatically numbered paragraphs.

A correspondent on Index-L wrote that CUP mainly has authors indexing their own works. If authors find the embedding process daunting, it might end up creating more work for indexers who can manage both the intellectual and technical aspects of the job.

It will be interesting to see whether this approach does offer CUP the benefits they expect, and whether other publishers will then take it up. The adaptable indexer will be the one with the best future.

**One example of teamwork in indexing is what I've dubbed Distributed Content Indexing**

### 3. Teamwork

Indexer involvement in larger projects, particularly intranet and website design, involves more work in teams.

There has also been convergence in the jobs people do, so that a metadata and taxonomy/thesaurus supervisor might be an indexer, librarian, or information architect. Indexers working in large teams need to be aware of the special knowledge and contributions of other people in the team, and have an idea of how they fit together.

Indexing is only one part of the whole information access plan. Work done on big projects depends to some extent on the capabilities of the software package being used. The computer is another partner in the project.

Most projects don't start from scratch, but bring data and metadata from pre-existing documents. One indexing challenge is to salvage the metadata that is useful, and build on this, and to discard the rest.

Sometimes this involves the NEHTBGE principle – near enough has to be good enough, as there is not always time to give top priority to all the content. The 80:20 rule is relevant here – often 20% of the content gets 80% of the use, so it makes sense to give this the best treatment. Sometimes, legacy metadata or simple full text search is used for the least used bits of content.

When starting a large project it is important to be aware of the client's priorities and aims for the indexing you are doing. These sometimes range from pure information access to issues such as personalisation (offering different content to different users), customisation (allowing users to adapt their view of the site for their needs) and branding (focussing on the image of the company that the site gives).

In practical terms it is important to be clear who the client is, and what the ultimate goals of the project are. Sometimes your direct client and the ultimate client are different. Good communication and written documentation are essential.

Finally, when quoting for work involving large teams and a number of stakeholders, you need to allow for time spent in meetings and incorporating feedback. It would not be unusual for this to take 30% of an indexer's time.

### Teamwork/Distributed Content Indexing

One example of teamwork in indexing is what I have dubbed DCI – Distributed Content Indexing.

Often, content management systems used for intranet creation allow Distributed Content Authoring (DCA) – that is, their workflow enables a number of people and departments within the organisation to contribute content, rather than just those within an intranet content group. Organisations with DCA will often offer DCI as well, that is, the people who author the content will also index it.

The advantages of DCI are that you can get prompt indexing – it can be done as soon as the content is created, with no delays waiting for a specialist indexer – and the terms used in indexing will be similar to those used in content.

For DCI to work, it is essential that the authors are committed to indexing, that there are sound policies to ensure good, consistent metadata creation, that authors are trained in the general principles of indexing as well as specific company policies, and that there is a metadata editor to oversee the project and ensure consistency and completion of metadata.

### 4. Innovative Specialised Indexing

There is a huge potential for the creation of innovative indexing projects to satisfy user needs. The great challenge is to identify the ones that could be financially successful. There are likely to be niche markets for specialist users and products from specialist indexers. For example...

#### The Dragon Index

Recently my son, a Dungeons and Dragons fan, decided to index his issues of Dragon magazine. While I thought 'author' and 'title', he thought 'prestige classes' and 'feats' – ie, he wanted to draw out specific aspects of the content, rather than just lead readers to each individual article.

This is a reminder that it is crucial to determine user needs before going ahead with any project. It is interesting that he used many singular entries, capitalised entries, and inverted entries, all of which may be avoided by professional indexers.

**Indexers are not the cake, we're not even the icing on the cake...**

After creating his index, my son emailed the editor of Dragon magazine to ask if he would be interested in seeing it. The editor replied that he was, but that there were already three free indexes to Dragon magazine on the web already.

This suggests to me that there is a demand for specialist indexes in this field, but that they are being provided free by hobbyists.

#### Globalisation of Specialist Projects

When indexing is very specialised it is most likely to have global implications. There are now projects involving specialist indexers from many countries, working together through the Internet to create large products.

INDEXING, THE FUTURE OF INFORMATION: Continued from page 42

In a virtual company there are few limits on where the indexer lives, so long as time zones can be calculated to allow occasional phone contact, and the indexer is willing to pay a bit in bank fees every time they cash a foreign currency cheque.

The Australian IT industry is predicting large-scale overseas outsourcing of IT jobs.

This is less significant in indexing, where language and context are so much more important, but it is already happening to some extent.

There are advantages to us being able to offer our services in the global market; there are also risks that people in countries with lower wages will be able to significantly undercut our charges, resulting in less work. I'm thinking Fiji sounds nice...

## 5. User Testing

User testing is crucial for large projects to ensure that the approach taken by indexers is one that suits the information seeking approaches of users. Unfortunately, the little research that has been done with users of book indexes has found that many of them have great difficulty with index use, and that features we take for granted are not clear to them.

Users often:

- Don't understand indexes
- Don't know the alphabet
- Don't like cross-references
- Want more entry points
- Search more broadly than indexers index
- Use only one term in search engine searches
- Appreciate alternative information access mechanisms

Indexers can:

- Involve users in index planning
- Consider alternatives such as 'best bets' links to the most popular pages
- Remember the 80:20 rule – 20% of the content gets 80% of the use
- Add more internal guidance
- Integrate thesauri to lead users to appropriate terms
- Use font variation to guide users
- Obsess less over minor issues
- Offer training in index use and search techniques

## Skills Needed

To manage all these new requirements, I believe indexers need the following skills:

- A. Sound knowledge of basic indexing principles
- B. Knowledge of the principles of metadata creation and search engine operation

- C. Knowledge of the principles of taxonomy/thesaurus creation
- D. The ability to evaluate and tweak automated systems
- E. Database design skills
- F. Project management skills
- G. Knowledge of usability issues, and user testing skills

## In Praise of the Indexer

'The compilation of an index is one of those labours for which the public are rarely so forward to express their gratitude, as they ought to be. The value of a thing is best known for the want of it...

There is far more scope for the exercise of judgment and ability in compiling an index than is commonly supposed.'


*Dr Austin S Allibone, A Dictionary for Authors, Trubner, London, 1859*

## Ongoing Themes

So, our two major themes continue – to be FutureProof we have to maintain and develop our skills, and find out what clients want and need, and how we can provide it.

In doing this we must create and maintain partnerships with other information professionals – with indexers, editors, publishers, records managers, archivists, bibliographers, librarians, information architects, taxonomists, web managers, database managers, technical writers and authors.

## Conclusion

In my conference talk I used a cake image, with the thought that indexers are not the cake, we're not even the icing on the cake, but we're the hundreds and thousands on the icing on the cake. To work at our best, we need to fit in with, and stick to, the icing and the cake. 

## The Author

**Glenda Browne** trained as a biotechnologist and librarian, and has been a freelance indexer of books, journals, online help, databases and websites since 1988. She teaches indexing and thesaurus construction. With Jonathan Jermy she has written *Website Indexing: Enhancing Access to Information Within Websites*, (2nd edition, 2004, Auslib Press – [www.auslib.com.au](http://www.auslib.com.au)), also available as a PDF from [www.webindexing.biz](http://www.webindexing.biz).

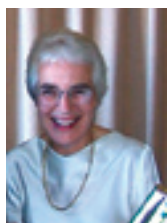
Glenda is Treasurer of the NSW Branch of the Australian and New Zealand Society of Indexers, (ANZSI), and edited the Society's Newsletter for three years.

This article is based on an address given by Glenda at the Australian Society of Indexers' conference 'Indexing the World of Information' held at the Carlton Crest Hotel, Sydney, NSW, Australia, on 12-13 September 2003. The full text of the speech was published in *The Indexer: The International Journal of Indexing*, vol. 24 no. 1 April 2004, pp. 32-36. The article, which has been adapted and updated by the author for IQ, appears with permission of *The Indexer*.

# Old Records Managers Never Die, They're Just Filed Away

By Jill Saunders, RMAA Life Member

**How much has recordkeeping changed in 40 years? When former RMAA federal director and branch president Jill Saunders started out in the RIM world, the recruiting manual suggested records staff should be tall and slim, to ensure ease of access in all storage areas.**



Jill Saunders has seen recordkeeping from the basement up over the past 40 years

**W**hen I was at school my teachers thought I would be too shy to stand in front of classes, so I was persuaded not to undertake teacher training. I was also not able immediately to get a position in my second choice which was librarianship.

My mother contributed "Well, you are not sitting around at home. Go out and get a job".

The one thing I was certain about was that I did not want to work in an office. I had not learned shorthand or to type as neither was necessary if you were going to be a teacher. The lady at the employment agency told me that records work was something like working in a library: "You index things on cards and retrieve information". So on that note, my 'career' in records management began.

I started work on 23 January 1964 as a Junior Records Clerk. My first Clerk-in-charge was an identity in the Department of Agriculture and in the early Tasmanian Public Service records world, Kevin Mulligan, known as "Boss".

The department was situated on the roof at 12 Murray

**“The mice have been at the files again!”**

Street, Hobart, where the lift only went to the first floor. Everything had to be carried in baskets up or down the stairs for all deliveries or collections. My first solo delivery was a frightening introduction. I lost my balance and the whole consignment spewed across the large tiled first floor landing, I had to scramble around to pick up all the sheets and then try to re-sort them.

On a later occasion I was just stepping out onto the roof

when I dropped the whole delivery into a puddle. By that time I was blasé enough to take it in my stride.

## The Chain Gang Run

It was known as 'the chain gang run' when archive boxes had to be moved to the basement. These left the top floor at 2.05 pm and everybody tucked an archive box under each arm. One person was left behind to guard the place, while all the others went down to the first floor to catch the lift to the basement.

We also had a small storage area adjacent to the main records office on the roof. This area tended to be plagued by hungry mice who would chew all the files from foolscap down to A4 size, provoking the cry, "Boss, the mice have been at the files again!"

The mice might have been a little more wary since our areas were next door to the Vermin Inspectors and we even used their specimen fridge to keep milk and food in during the warmer months. Those sent to store or retrieve at that fridge had to be among the less squeamish of our team.

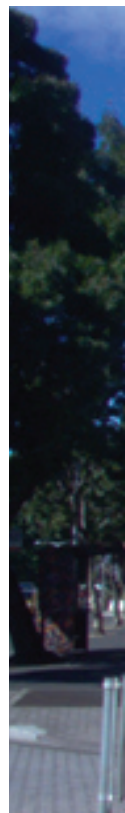
In those long ago days, juniors (all those under 21) received about £16 per fortnight in hand. There was no such notion as equal pay; males earned more and women were not normally employed at the Clerk rank. If a junior male married, he was put on adult wages.

Tasmanian Public servants had 15 days recreation leave plus grace days at Christmas and no flex time. Our Leave Clerk ruled the time book off at 8.45 am exactly and accepted no backsliding. We laboured until six minutes after 5.00 pm except for one hour for lunch, and with the privilege of time off for 'festivities' such as funerals or medical visits.

## Women Had to resign When They Married

Too many late arrivals required an explanation in writing to The Public Service Board and, in extreme cases, you could be fined. There was no maternity leave, since women had to resign when they married. In practice they could usually come back as temporary staff if any job was available.

In the Department of Agriculture I received a good grounding in Boss' basic records practices and procedures and I was fortunate to have started work there. There was a good subject classification system, a subject index and a nominal index, a resubmit system, a regular file transfer and archiving process, an efficient internal delivery and collection and





external receipt and dispatch processes.

Boss also ensured that cross-referencing was carried out. This was done with the aid of a form that indicated where the original was filed and a précis of the contents. The mail room was quite a favourite job as it was the only chance you had to be on your own and maybe even have some free time.

### Learning on the Job

It was all 'learn on the job' - no formal training was provided. The most training I received in this period was a half-day Public Service induction course.

Boss did try to ensure that we understood what we were doing and why. He had a textbook on records management which amused us. The only thing I remember from this was that it advised that you should recruit staff who were tall and

I realised that to get on you needed to gain experience in other departments. Once I was an adult (21 years) I started applying for positions and was fortunate quickly to secure the position of Second in Charge of the Records Section in the Health Department.

This proved to be quite a shock after Agriculture, but at least we had a nice warm room! Some things struck me as odd, such as an Executive Officer and the Records Clerk-in-Charge wasting their time overseeing the opening of mail.

### Caught!

Two junior staff were assigned to do a file audit of every office every morning. This took until morning tea at 10.00 am as they had particular chatting stops and just before their return for tea they would include a visit to the shop.

One morning on their way to the shop, they noticed a RAN vessel berthing at the wharf so they slipped down to watch and managed to get filmed by a TV crew. They were so very obvious in their horse-manure-



**Staff did their deliveries and collections with supermarket trolleys**

coloured government uniforms that they had to come back and tell me in case they appeared on the news that evening!

### The Basement Dwellers

The Health basement was much more refined than Agriculture's. It was next to the radioactive waste storage area and was secure and dry although one had to be careful that the 'juniors' didn't turn the lights off and lock you in!

Health had indeed different ways of doing things even if some were rather strange. Nonetheless this provided my first experience in supervision and provided the

wherewithal to satisfy my yearning to travel. As leave without pay hardly existed in those days, I needed to resign from the Public Service in order to do my big overseas trip.

On my return I started work in the Public Works Department. It was only a base grade job but it did get me back into the Public Service. Only three of us - the Records Clerk-in-Charge and the Second in Charge and myself - had desks. The other staff shared one table and spent most of their time looking for files, filing and doing deliveries and collections.

My stay in Public Works was brief. The opportunity to become OIC Records at Mines came up and I was fortunate to get the position and was quickly able to suggest two changes of

slim to ensure ease of access in storage areas. (I failed on both attributes). I decided then that one day I would return as the Officer-in-Charge of Records.

### Promotion

One had to be an adult of 21 years before you could apply for positions advertised in the Tasmanian Government Gazette. The only other route was to request a junior transfer to another Department. Under-age drinking was illegal so discussion was needed on the rare occasions when we ventured to the "pub" as a group. Which of us looked the oldest could order the drinks.

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method. The index cards were to be kept in alpha order. And it was easier to take the filing to the files rather than to pull out the files to use at one's desk.

It was a very happy workplace with several young people and none too serious. Photocopiers were still fairly rare and the main one was in the drawing office. Here the boys had strung up a dead rat on a pulley system. They would wait for some unsuspecting female to start using the copier and then let it down to dangle in front of her nose. Result, shrieks, and copying abandoned.

### Computerised Records Quashed

In the early 70's, whilst I was at Mines, one of the scientific staff first suggested that we should start to computerise the records system. It was to start with a relatively simple form of computerising the index cards.

The idea was quickly suppressed from higher levels but a "new" classification system was introduced that was nowhere near as innovative or exciting as a fully computerised system would have been.

In the office senior staff were still addressed as Dr, Mr, etc, and when one, not very senior, said to me: "Mr. X to you!" I said, "And Miss Saunders to you!" It was first name basis with him from then on.

### Wearing the Trousers

Women were now allowed to wear trousers but only if it was a proper matching trouser suit. About this time 'flex time' was introduced. No more time off for doctors' appointments. One took them out of flextime!

By this stage maternity leave had been introduced and even equal pay was promised. What a farce that was! It resulted in all male records clerks being promptly made Clerks in the clerical stream. Meanwhile all women were reclassified as Records Clerks in the clerical assistant stream.

The Union accepted this and even the majority of females were satisfied. As for me, I started to look around for a position that had formerly been occupied by a male and so would already carry a full Clerk's classification. The Records Manager at the Lands Department had been a male and I was able to succeed him in a proper Clerk's job.

### Still in the Basement

The Records Section was located in the basement of the old building on the corner of Davey Street and Salamanca Place. It enjoyed a delightful view of a small damp building-well and the men's toilets.

Once again I was working in an area where staff had no individual desks but shared a bench area crammed among the filing cabinets. I was, however, assured that we would soon be moving to a new building and it would be 'open plan'. This meant that everyone would walk through Records to get to Finance, Property and the typing pool.

It was at about this time too that the 'property file' as we know it in the Department of Primary Industry, Water and Environment (DPIWE) even now was introduced. We always had to have extra staff working on file conversion.

### Supermarket Trolleys and a Voodoo Doll

My next move was as Officer in Charge of Records at Education in order to broaden my experience in supervision in a large



The government office building at 12 Murray Street Hobart where Jill Saunders began her recordkeeping career in 1964

Department and once again we were required to revise the classification system. I picked up a lot of extra knowledge and there were some fun times too.

Staff did their deliveries and collections around the building with supermarket trolleys and, on their return whilst sorting at the long bench under the windows, they would carry out ballet exercises. One hand on bench, toes pointed and back nice and straight whilst they hummed a tune and did front point, back point, plié up in perfect time.

The Records staff had made a voodoo doll of one of their less popular staff which they kept amongst the school bus files at the far end of the room. When they went past they each stuck a pig sticker (lawyer's bodkin) into it. I didn't know whether to laugh or be horrified when they let me into their secret.

### Real Training

At the end of three years two jobs were advertised and, although the salary was no more than I was currently earning, I decided it was time to move again. I settled for going back to the Department of Agriculture

Kevin Mulligan "Boss" had retired whilst I was on leave and his staff were going through a difficult period of adjustment. A couple of days after starting there in April 1981, I received a very



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nice congratulatory letter from Boss wishing me all the best.

At last some real training was on offer. It was generally in-house type short courses, and related to such things as supervision and performance management. In 1983 the Department of Agriculture engaged consultants to teach and facilitate an "Information Engineering Project" which, although very interesting and educational, was never really carried through.

## RMAA Rumours

At this time there was much discussion about computerising records systems and a prototype was even written in-house. There were also a lot of rumours about an association called the RMAA!

One positive result of the Information Engineering Project was that once more the records classification scheme was under the spotlight as it had outgrown its original usefulness. After hours of consultation with staff it was finally decided that we

## The Association Arrives, and Drives Training

All this was certainly of value career wise as I was promoted by another grade. Anyway within a short time after this the RMAA arrived in Tasmania. All Records staff were summoned to a meeting and shortly afterwards I became an Associate of the RMAA and found myself on Branch Council.

The RMAA was certainly the catalyst for getting records management training off the ground in Tasmania. Up until the late '80's it was very unusual for anyone working in the field of records' management in Tasmania to have any formal records management qualifications. This unfortunately still applies today.

The Tasmania Branch was very conscious of this and set about lobbying authorities and writing a submission. This eventually resulted in the introduction, in the early 1990's, of the Certificate of Records' Management at TAFE, Tasmania. Most of us involved in the RMAA at this time were also involved in writing the syllabus.

In the meantime, even in the late 1980's, a number of us had become aware of the need to hold some formal

**He would rather be fined \$10,000 than keep a work diary**

would adapt the principles of the agriculture classification scheme known as "Agdex".

To continue this work we had for the first time to write a project proposal, itself quite a learning curve. Its acceptance involved even more time, effort and consultation. Should committees have their own classification? Or, should they be part of every major function? What about associations? Should we use the agriculture thesaurus, which didn't really work?

It was a lot of hard work, a lot of intrastate travel, but a lot of fun and interest as well. Users all had their say; some were satisfied, some were not. What is it we do? Why do we do it? What do we do it with, or to? My colleagues and I learned to distinguish between plagiarism and re-inventing the wheel.

Out of all this TasDex was born. We estimated that it would last around ten years, as at that time, agencies had major reshuffles about every five years. In fact it ended up lasting nearer fifteen.

Our biggest disappointment at the time was the decision not to pursue computerisation of the records system. Our then Manager fully recognised the importance of information and helped positively to raise awareness within the Department.

qualification and had started distance studying through the Queensland District Education College. From memory, I think we were all successful.

Perhaps the biggest learning curve of all for some of us was when we actually started teaching at TAFE. This certainly made sure we brushed up on our knowledge and skills.

Whilst all this was progressing, the Tasmania Branch of the RMAA was busy organising and running basic training in most aspects of records management. We ourselves wrote, organised and taught the courses. For example I remember one of the early and popular courses was named 'From the Cradle to the Grave'.

To help with all the training that the Branch Council was undertaking, a 'Train the Trainer' course was arranged to teach us skills for use both in our everyday work and in our RMAA training role.

## RMAA Creates Opportunities

Many opportunities have come my way as a result of my involvement with the RMAA. Suffice to say that I became a Branch Councillor, Education and Seminar Committee member and Chair of both, also a Federal Director, and Branch

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President, and I have been on the organising committees of both the RMAA conferences held in Tasmania.

From these tasks I gained and developed many skills such as report writing, public speaking, syllabi design and course writing and was able to experience a wide range of activities, for example, representing Tasmania at a Federal level on records-related matters.

### Computerisation, at Last!

In the late 80's we had had the major reshuffle and the coalescing of a number of State Government Departments. A number of staff were made redundant and it was a time of change and unrest. The Department of Agriculture merged with Sea Fisheries and became the Department of Primary Industry.



It was now at last obvious that they would need to have a computerised records management system and I was given the

for records, library and information management staff was also a very worthwhile group for keeping people informed and putting ideas forward. The group eventually disbanded but has now been re-formed as the Corporate Information Services Reference Group. This should prove to be a major avenue for advancing records, library and information management across the State Government.

### The Struggle with the Electronic World

All through the 90's we were hearing about the paperless office and the introduction of electronic records systems. Remember when we first heard the phrase "encapsulated metadata"? Remember the release of DIRKS - Designing and Implementing Recordkeeping Systems? Remember when VERS, the Victorian Electronic Records Strategy, was first heard of?

The recent launch in Canberra (by the National Archives) of the Australian Digital Record Keeping Initiative is another step forward. We have also seen the release of AS 4390, the

 **To make your way in the world**  
**means you personally need to do something** 

responsibility of drawing up specifications and implementing the system with the fancy title of Personnel Services and Information Management Consultant.

I was to advise on such things as staff development, occupational health and safety and administration of study assistance and FOI as well as my traditional role in providing technical advice to records.

Yet this job had no future. My immediate senior really did not like records. He said he would rather be fined \$10,000 than keep a work diary! He also was not impressed when his records staff refused to destroy documents at his command.

When the position of the Records Manager at the Department of Environment and Land Management (DELM) became vacant, I successfully applied. The last eleven years have been spent more or less in my current position striving to improve records' management practices and procedures.

### The Challenge of Amalgamation, Again

With the introduction of the new Administrative and Clerical Employees Award we have achieved advances in the status of the Records Manager and the Assistant Records Manager. In 1998 DELM and Department of Primary Industry and Fisheries merged and became the Department of Primary Industries, Water and Environment, or as a recent letter to the Department said, 'the Department of Everything'!

We were once again faced with the challenge of amalgamating two large and diverse agencies. At the time of the amalgamation DELM had started using Keyword AAA but its disposal schedule was rather scrappy. A functional thesaurus was written and a disposal schedule started – all useful experience. Once again the RMAA initiated training and was responsible for a number of its members undertaking the Assessment and Workplace Training Certificate Level IV.


The State Government Information Management Forum

Australian Standard on Records management in 1996 and then in 2002 the release of AS ISO 15489, the International Standard on Records management.

All these represent huge advances in formalising and standardising records management. However, despite these and other advances, most government agencies are still struggling to come to terms with the electronic world.

Looking back over my years in records management I realise that learning on the job is not all bad. It gives one the practical skills required and the perspective of the 'real world' if theory is to work. I certainly feel formal education is necessary to give a wider perspective and open one's eyes to the possibilities beyond the immediate workplace. A good balance between the two would be ideal.

However, to make your way in the world means you personally need to do something. It is no good relying on luck and the philosophy that 'the world owes you'.

Apply for other positions until you get one you are happy with. Do something positive, don't wait for it to come to you. I feel I have been lucky to work in the era I did. I found records work after all to be interesting and at times challenging. 

#### The Author

**Jill Saunders**, who retired last year as Records Manager with Tasmania's Department of Environment and Land Management after a four-decade career as a recordkeeper, became Tasmania's first life member of the RMAA in 2004 after twenty very active years at national and Branch Council level.

# Why MEAP Represents a Recordkeeping Revolution

By Peter Matthews

**There's a recordkeeping revolution in the making. All it needs is a partnership between RIMs and software developers who genuinely understand how to program MFDs.**

**S**cenario 1: A homebuyer enters a land titles office, strolls up to a multifunctional device (MFD), and selects the button on its screen that says 'Title Search'. When prompted, she enters the address of a property using the device's keypad, and then swipes her credit card to purchase a copy of every record that this government has ever held for a property that has caught her eye. Within minutes, she collects her prize from the MFD's output tray - a digitally printed and impressively bound book containing all she requested.

Scenario 2: A worker in a government registry identifies himself with a swipe card, places a paper record on the scanner of an MFD, and presses the Scan button. But the MFD doesn't immediately scan the document. Instead, it walks the worker through a series of steps that correspond exactly to the registry's policies and procedures.

First, the screen on the MFD shows the worker four buttons labelled Birth Certificate, Marriage Certificate, Death Certificate and Other — he must select one. Then, a series of messages on the screen ask him to enter essential information about the document, using the keypad. Finally, the MFD scans the document, converts it to a PDF containing searchable text, and automatically files it in the registry's document management system.

And because the MFD knows this particular record is a birth certificate, it even harvests data like date of birth. Last, the MFD prints a slip that shows the worker's name (remember the swipe card) and other essential information. The worker attaches the slip to the original document and dispatches it to the warehouse.

These scenarios show an MFD behaving completely differently within two organisations in response to their particular records management requirements. The scenarios are hypothetical, futuristic, and would require a substantial programming effort. However, our pioneering work at Canon with bodies ranging from Ernst & Young, where workers must swipe their ID card to collect their printing, to the Union of European Football Associations, which fitted the UEFA media centre with an MFD that automatically printing the latest soccer results at the press of a button, shows that customising the device to an organisation's unique needs is a realistic option today.

That's because profound changes are turning the humble MFD - once thought of "that large device that sits in the corridor and takes care of all printing, scanning and faxing" - into an intelligent and fully customisable interface between a records management system and its users.

The revolution began in 2003 when Canon released the world's first fully programmable MFDs, using a technology called MEAP (Multifunction Embedded Application Platform). But make no mistake, it's not just Canon that views this shift as a revolution


in the making. In fact, we expect all major vendors to bring at least limited programmability to their MFDs within the next two to five years.

To understand the kind of impact this could have, reflect on how the desktop publishing revolution transformed the publishing industry in the 1980s. In a similar vein, we expect completely new approaches to capturing, retrieving and sharing documents to emerge in the decade ahead, all made possible by programmable MFDs.

This will reinvent the role of the records and information manager, who will become a key stakeholder, and, hopefully, a key decision maker, in the development of every document-related business process and technology across the organisation.

Once the programmable MFDs are in place, it's software that will make the difference. The revolution is gathering pace in this regard too. In fact, the first 'off the shelf' MEAP applications have already arrived, including eCopy ScanStation, for automatically routing scanned documents to back-office software and systems, and NetSpot Accountant, for monitoring who is using an MFD and how.

But the breakthroughs that will really set the records management industry on fire will arise from direct partnerships between Records & Information Managers and software developers who genuinely understand how to program MFDs. Like CISRA (Canon Information Systems Research Australia), one of Australia's largest private R&D facilities and Canon's largest research centre outside of Japan.

By working together to build a unique solution for one organisation's fundamental information needs, these developers and RIMs will write the first page of the next chapter in the history of the records management industry. 



Canon's Peter Matthews

## The Author

Peter Matthews is Market Segment Manager, Software and Solutions, Canon Australia

# Radio Frequency Identification: the Next Generation Wireless Barcode Technology

By Clifford Campbell

**RFID promises to revolutionise the way documents are tracked and managed.**

At its core, RFID uses wireless RF (radio frequency) technology as a means of identifying and tracking items. Tags/labels are affixed to an item and when it passes within range of a reader, or is prompted to report to a reader, the tag is detected and interrogated for its information contents (i.e. document number, current location, status, history).

This information is then sent to a host/administration computer system. As this information is sent over RF then no direct line-of-sight is required and multiple tags/labels can be read simultaneously (unlike conventional barcodes).

RFID tags/labels come in a variety of shapes and sizes from miniature chips to flat sticky labels to large tags which are durable in harsh environments. A tag's memory can contain a variety of information from a simple unique I.D. number to a records metadata. This creates the ability to continually identify and track multiple documents throughout their lifecycle.

The implementation of an RFID system can:-

- Address the need for high quality records data in real time
- Enhance the flow/use of documents across an organisation
- Create/Enhance the ability to control document loss
- Reduce/minimise man-hours spent searching for documents
- Minimise paperwork through automation
- Reduce/negate human error element
- Reduce Costs/Increase productivity

## A BRIEF HISTORY, AND CURRENT MARKET DRIVERS

RFID, which was developed during the 1940's, first appeared commercially in the early 1980's. The technology has historically been used for niche applications, primarily high-end/value asset tracking (mainly agriculture, heavy industry & intelligence gathering). A lack of standards, relatively high cost and other barriers have prevented wider adoption previously.

However there are now several factors driving RFID development:-

- Agreed standards being implemented by a variety of suppliers
- The next level of standards being designed by EPCGlobal
- The per-tag-cost decreasing to \$0.25 (expected to decrease further)
- RFID mandates being implemented by US DoD and Wal-Mart
- Increasing number of libraries implementing/investigating RFID solutions

It is widely accepted that these factors will drive an explosion in the use of RFID during the next 5 years.

## TECHNOLOGY OVERVIEW

All RFID solutions consist of the same core components - the labels/tags (semi-conductor chip and antennae) and reader/

interrogator (a transmitter, receiver and controller).

RFID tags come in two major classes, active and passive. The primary difference is the power source, which in turn determines a number of key attributes, including signal strength, memory capability, size and cost.

Examples of  
Different Tags



## Passive Tags

A passive tag does not contain a local power source (i.e., a battery) for signal transmission, instead receiving power from the reader itself. Since energy from the reader supplies transmission power, passive tags operate only over relatively short ranges. Without an internal battery for memory, passive tags also have limited memory capability.

Passive tags are less expensive, smaller in size, lighter in weight, have longer lives and are subject to less regulation relative to active tags (see Tag Frequencies Para 2). Passive tags tend to be used in close-range tracking of lower-end assets, such as low value supply chain and records management applications.

## Active Tags

Active tags contain a battery that acts as a local power source for transmission purposes. This enables a stronger signal, which gives active tags a number of advantages over passive tags, including longer read ranges, less susceptibility to interference and greater memory capability.

However, due to the addition of the battery, active tags are typically larger, more expensive, and have shorter life expectancies than passive tags. Active tags are historically used to track high-end assets over longer ranges, such as containers in a ship or site yard.

## Tag Frequencies

The frequency employed is also an important factor in determining the characteristics of an RFID system. In general, the higher the frequency, the more robust set of RFID characteristics with respect to read-range and reading speed.

Higher frequencies also tend to be more expensive. It can be expected that supply chain related applications will be increasingly focused on higher frequency ranges, specifically the Ultra-High Frequency (UHF) band, which is 862MHz to 928MHz.

UHF has a read range of roughly 10-20 feet. Most item tracking and smart card applications will likely occur at the High-Frequency (HF) band, which operates at 13.56MHz frequency. Products at this frequency have a typical read range of up to eight feet.



When deciding to operate above 135KHz, it was previously necessary to acquire an operating frequency allocation from the regulatory bodies. In the second half of 2004 there was a relaxation of the rules governing RFID spectrum allocation in Europe, (bringing Europe in line with North America & Asia).

#### Key Features

- Tags vary in size from less than 1mm<sup>2</sup> to 60mm<sup>2</sup> and can be affixed to any asset or document
- Tags can be supplied as read-only or read/write
- Multiple tags can be read simultaneously
- Can be read or written to repeatedly over the life of the asset/document
- Does not require direct contact or line-of-sight to operate
- Can function in a variety of environments
- Provides a very high level of data integrity and accuracy
- Difficult to counterfeit

#### Key Benefits

- Real-time automated document management/control
- Eliminates manual data entry which creates reduced labour costs/increased productivity
- Greater level of data accuracy – human error element is greatly reduced if not negated

#### POSSIBLE IMPLEMENTATION OF AN RFID SYSTEM WITHIN A RECORDS MANAGEMENT FRAMEWORK

A similar process to the one currently used in most Records Management Units (RM staff manually tagging documents as they arrive/are produced in-house) with the traditional barcodes currently in use being replaced by RFID tags.

An array of readers would be installed throughout the office/workplace. These readers would then allow the instant identification of a documents location anywhere within the office. A check in-out process could also be implemented once all users have become acclimatised to its use.

Readers placed discreetly at the exits would also ensure that no tagged documents could be 'moved off-site' without notification/approval or an alarm being triggered. This system could also be

applied to any hardware/asset within the office/workplace.

Ideally, a system would be tested at one site and then scaled upwards by staggered deployment throughout the organisation.


#### CONCLUSIONS & RECOMMENDATIONS

RFID technology, whilst viewed in some quarters as relatively new, has a proven track record over several decades. Advances in technology, manufacturing techniques and the awareness of the potential impact on costs, productivity and accuracy of information are now driving the standardisation and reducing roll out costs of RFID solutions globally and make it imperative that Records Managers investigate RFID technology further due to the potential gains.

Privacy concerns and public pressure are affecting the rollout in retail environments, but these issues do not have an impact on the type of RFID solution that would be implemented within a records management environment.

The list of companies and governments embarking on RFID projects grows at an exponential rate. High-Profile examples include Wal-Mart, US DoD, Visa, Gillette & Bridgestone, to name but a few.

RFID technology and its uses will continue to change. Read/write technology can meet sophisticated application needs today but also provides the flexibility to accommodate future changes. This flexibility enables users to fully leverage their RFID investment by adapting the technology to meet future needs and extend the life cycle of the system.

It is my recommendation that records managers consult with various suppliers of RFID solutions to discuss in further detail how they would envisage the possible architecture and role out/deployment of an RFID solution within their own company/organisation. 

#### The Author

**CLIFFORD CAMPBELL** is a senior executive with Cairn Energy Ltd, in the UK. This article first appeared in the December 2004 issue of the *RMS Bulletin* and appears in *IQ* with permission.



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# Objective Award Will Recognise Work Published in *IQ*



The Award winner will receive a Canon 7.1 megapixel digital camera

As reported in the last issue of *IQ*, Objective Corporation has become the sponsor of this journal's prestigious award for a work published by an RMAA member in *InfoRMAA Quarterly* during 2004-2005.

The award was created last year to encourage quality contributions to the journal by members of the Records Management Association of Australasia. And that goal is already being met - *IQ* now receives large volumes of editorial submissions. So many, in fact, that editorial space is now allocated several issues in advance.

Objective Corporation, one of Australasia's leading ECM providers, came on board to sponsor the award, because, in the words of Objective's CEO Asia Pacific, Tony Walls, "Objective Corporation and *IQ* magazine are both leaders in the records and information management field in Australia and New Zealand.

"We also respect the work of the RMAA, and the contribution its members make to our industry," says Walls. "This award gives Objective Corporation the opportunity to help reward Association members who put many hours of their own time into researching and writing often very complex papers which help records and information professionals discuss, dissect and develop this increasingly challenging industry of ours."

The 2004-2005 Objective *IQ* Article


of the Year Award will recognise what the judges consider to be the most outstanding article by a member of the RMAA published in *InfoRMAA Quarterly* between May 2004 and August 2005.

The winning article will be one which makes a contribution to the

The three judges are Stephen Dando-Collins, Editor of *IQ*, (chairman), Katrina Hinton, Principal Consultant, Objective Corporation, and a member of the RMAA's National Board. Naturally, none of the judges is eligible for the award.

The prize is a Canon IXUS 700 7.1 megapixel digital camera valued at \$849 (rec retail) and an award certificate. In addition, the winning article will be reprinted in the November 2005 issue of *IQ*. The winner will be announced on stage at the 2005 RMAA International Convention in Perth, WA, in September.

All RMAA members who are published in *IQ* win in another way - publication is credited to their Association status upgrades.

There's still time to have your work considered for the August issue of *IQ* and so be eligible for the 2004-2005 Objective *IQ* Article of the Year Award. Send your submission to editor. [iq@rmaa.com.au](mailto:iq@rmaa.com.au). While the August issue will focus on disaster management and recovery as well as education and training, articles covering other subjects will also be considered. 

## Objective *IQ* Article of the Year AWARD

understanding or discussion of its subject matter and will be pertinent to the records and information management industry. Contents can be technical, academic or light, as long as the work is original, written in an involving, readable style, and shows the author's thorough grasp of the subject.

No nominations will be received for the award. Instead, all articles by RMAA members published in *IQ* automatically become eligible for the award. In August, shortlisted articles will be considered by the judging panel.

## J Eddis Linton Awards For Excellence in Records Management



**Named after J Eddis Linton, (pictured), one of the founders of the RMAA, the J Eddis Linton Awards celebrate his outstanding contribution to records management across three categories.**

**Outstanding Individual.** Candidates must be nominated by a peer or colleague and be a professional member of the RMAA. The award is judged on the contributions made to the individual's workplace or to

the profession as a whole - for example, the introduction of techniques or systems that improved the quality of records management, productivity and performance, or for outstanding achievement that has enhanced the profile of records management.

**Outstanding Group.** This award recognises the contribution by a group of at least three people to enhancing records management and which has resulted in innovation and best practice and led to improved business performance and efficiency. The award is open to groups, committees (not the RMAA's), vendors, business units or consultants who have achieved excellence in records and information management and created an increase in commitment to records and information management within their organisation.

**Student of the Year.** To be eligible for this award, individuals must achieve no less than a distinction in a recordkeeping course and write a 1000 word personal vision of the future of records management.

### Conditions & Prize Details

1. Candidates must respond to the selection criteria using the official nomination form.
2. Only financial members of the RMAA may nominate or be nominated for these awards.
3. In all instances the judges' decision is final, and no correspondence will be entered into.
4. The judges may, at their discretion, choose not to present an award in any category where no nominations are received or where it is deemed that nominees do not meet award standards.
5. Winners in all three categories will be announced and presented with a commemorative plaque at the 2005 RMAA International Convention at Perth, Western Australia in September 2005. In addition, winners will receive their choice of free 2005 Convention registration worth \$990 or \$900 in travel costs met to attend the 2005 Convention. In the case of the Group award, this prize applies to one representative, not the whole group.

## Jim Shepherd Industry Award Recognising Companies Who Support Us



Established in 2004 and named in honour of one of the RMAA's founders, (pictured), this award recognises services to the records management industry and support of the Records Management Association of Australasia.

### Award Criteria

The winning company must demonstrate the following:

- A minimum of seven (7) years continuous sponsorship of the RMAA at both Branch and National level. Sponsorship can be financial or 'in kind'.
- Active involvement/participation in advancing the records management industry.
- Their product or service must be specific to the records/information management industry.
- They must be a Corporate Member of the RMAA.

### Conditions & Prize Details

1. Applications covering the selection criteria and demonstrating the organisation's suitability must be submitted by either an individual member (who does not work for the organisation) or by a Branch of the RMAA, on the appropriate nomination form (available on the RMAA website).
2. The judges' decision will be final and no correspondence will be entered into.
3. This Award will not be presented in a year when, in the opinion of the RMAA, no application meets the all award criteria.
4. The winner will be presented with a plaque recognising their achievement in front of their peers and customers at the RMAA International Convention in Perth, Western Australia in September, 2005. In addition, the winning company will be featured in an article about the award in the November 2004 issue of *IQ* and will be given one (1) year's free advertising in the RMAA's online Product Directory in up to three (3) categories.

**In 2004 the inaugural winner of the Jim Shepherd Award was TOWER Software. Your company could be the winner in 2005.**

## Enter Now

Applications for the 2005 J Eddis Linton Awards and Jim Shepherd Award are now open. Application forms and full details are available on the RMAA web site [www.rmaa.com.au](http://www.rmaa.com.au) at the 'Award' page. Nominations should be forwarded with supporting documentation to:

RMAA Awards Committee  
Records Management Association of Australasia  
GPO Box 1059, Brisbane, Qld, 4001, Australia



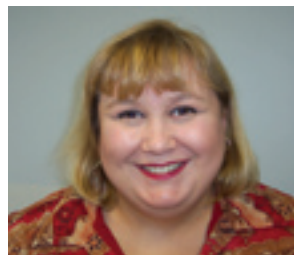
**Nominations close 1 August, 2005  
No late nominations will be considered**



# New Full-Time Focus For RMAA Marketing & Events

By Kristen Keley, ARMA

As far back as I can remember, even as a little girl, I was organising things. I was the kid who organised the others into teams for games in the front yard and it was me that set up the "clubhouse" in our cubby with a 20 cent membership fee which went towards buying lollies for everyone at the local shop.



**Kristen Keley,**  
RMAA Marketing &  
Events Manager

Little wonder I ended up working in the records management industry for 17 years, and even while working in that field ended up arranging a multitude of events for the local RMAA Branch. Not content with that I joined the National Board and after a couple of years took over Marketing. This resulted, amongst a large number of more subtle changes, in a complete overhaul of our image, with a new brand and new logo.

In February this year I began my new role as the RMAA's Marketing and Events Manager. It's a job I love. The people I deal with are enthusiastic, committed and professional. I believe in what the RMAA are trying to achieve for its members and I am proud to be a part of that, having been involved in the RMAA for more than a decade I understand the Association, the industry and its challenges.

When my appointment was announced I was gratefully overwhelmed to receive many congratulatory emails recognising my contributions to the RMAA so far and commenting that I was the right person for the job. I will do my utmost not to let these people, or you, down.

In addition to overseeing three National Conventions, at any one time a massive challenge in itself, I am working on a number of RMAA initiatives.

#### Current Initiatives include:

- Online Polls and Surveys appearing every month on the RMAA website to assist the RMAA to gain feedback from the membership. The online polls offer immediate responses while survey data is collected and reported back. Members taking the time to complete surveys go in the running for prizes.
- A Competencies Poster has been developed. Handed out at the

Competencies Roadshow, it will also be distributed through *IQ* and at the National Convention.

- Developing an InfoRMAA Quarterly Index which will provide access to articles and their reference information from every edition of *IQ* since its inception - a great research tool for students.
- A quick reference manual for Events organising.
- A 'how to' manual for running an RMAA Convention.

#### Other Ongoing Initiatives


You may have already noticed:

- A complete reformat of InfoRMAA Quarterly, with subtle changes over the past year culminating in a completely new look released in the February 2005 edition.
- The RMAA website Members Only Section including e-communities.
- The annual Calendar of Events - enclosed with this edition of *IQ* - incorporating key event dates for all Branches
- J Eddis Linton Awards
- Jim Shepherd Award
- Objective *IQ* Article of the Year Award.

#### Member Services

Did you know these services are available?

- A Professional's Directory on the RMAA website where Professional members can list their details for job hunting or networking, for others to view.
- "Week in Review" on the RMAA website each week overviews the week's events.
- We have a great range of RMAA branded gifts. They should be used by Branches for thank-you's. Updated occasionally, they're available through the RMAA website's Online Shop.

There are certainly many things happening to keep me challenged and the Board of Directors regularly provides me with new and exciting challenges. I'll try to ensure all Branches are kept up to date by communicating on a regular basis with your Branch Marketing Coordinators, however please feel free to contact me with any queries, suggestions or comments. 

**Kristen Keley, ARMA**

RMAA Marketing & Events Manager

08 82813302    marketing@rmaa.com.au

## RMAA Snapshot

People Who Help Make Us Tick

### Gary Barber

Gary Barber is the man who created and maintains the RMAA's website.



His firm, Radharc, in Perth, WA, specialises in creating efficient websites for government to SME throughout Australia and New Zealand. Since setting up the Association's site in 1997, Gary has been progressively building its capacity and scope.

Future website developments include: an *IQ* searchable archive, improved Product Directory admin, an improved Events Calendar, a youth-focused recordkeeping career site, and members only footy tipping.

"Through its website," says Gary, "the RMAA will be able to deliver more services and information to its members no matter where they are in Australasia."

For more about Radharc, contact Gary at web@radharc.com.au.

# Notice of RMAA Annual General Meeting

Notice is hereby given that the 30<sup>th</sup> Annual General Meeting of the Records Management Association of Australasia will be held on Tuesday 13<sup>th</sup> September 2005.

It is to commence at 4:45 pm and will be held at the Convention Centre, Perth, Western Australia.

To all Members:

In accordance with the Constitution of the Association, notice is hereby given of the date and time of the Annual General Meeting of the Association. The closing date for acceptance of any motion of business not relating to the ordinary annual business of the Association will be 5.00 p.m. on 23<sup>rd</sup> August 2005.

All items to be sent to Kate Walker, Executive Officer, PO Box 276, St Helens, Tasmania, 7216 or emailed to [kate.walker@rmaa.com.au](mailto:kate.walker@rmaa.com.au)

Business Proceedings of the Annual General Meeting

1. To receive a report from the President on the activities of the Company in the preceding year;
2. To receive and consider the duly audited statements of accounts and the report from the Auditors;
3. To appoint the Auditors for the ensuing year;
4. To transact such other business as shall have been included in the

notice convening the meeting;

5. To declare the Board members for the ensuing year in accordance with the nominations of persons put forward by each Branch;
6. To elect from the declared Board, the office bearers of the Executive as determined by the Board from time to time.

**Kate Walker, MRMA**  
RMAA Chief Executive Officer

## RMAA Members' Address Notification

The RMAA no longer sends out newsletters and notification of events in the post. Instead, details are posted on the Association's web site and notification is sent via email. To update your email address to ensure you receive prompt notifications, call 1800 242 611 during business hours or email [admin@rmaa.com.au](mailto:admin@rmaa.com.au).

If you don't have regular access to the Internet, and wish a hard copy of notifications sent to you, please complete and return this form to:

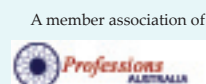
**RMAA**  
**GPO Box 1059**  
**Brisbane Qld 4001**

Please send me Association notifications in hard copy, to the following address:

Name: ..... RMAA Membership No: .....

Postal Address: .....

Postcode: ..... Country (If outside Australia) .....



A national organisation of professional associations

# RMAA Branch Reports

## QLD

**The Branch has commenced its 2005 year with an eye to providing a range of professional development programmes.**

The first seminar of the year focussed on the Law and Records Management and attracted a full audience. Future seminars on the topics of writing a records disposal schedule and the Education Expo will be held in forthcoming months.

The 2005 Queensland state seminar will be held at the end of May. A great program is being planned; full details on the website soon.

Members in North Queensland will have the opportunity to attend records management courses being held in Townsville in April.

The Chapters in Queensland have been busy planning a variety of activities for members. The Local Government Chapter will be hosting its 2005 Local Government Chapter symposium in Hervey Bay 26-28 May 2005.

The State Government Chapter has planned a complete seminar programme for its members. The topics to be covered are aimed at those entering the records management industry and keen to gain skills in various aspects of the work.

**Philip Taylor, MRMA**  
**Queensland Branch President**

## TAS

**Professional Development, enhance your skills, promote your profession, make a difference...**

How many times have we heard these words? There is a reason why you hear them over and over again, and that is because without your input records management will continue to live in the shadows of other recognisable professions.

One of those inputs can be to help your local RMAA branch provide functions and activities for members and non-members - you are all welcome to nominate for Branch Council at the AGM which will be held in July 2005. Even if you don't want or can't give a 12 month commitment, the Branch is looking for members to help with major events, sponsorship, promotion and training.

In addition, we (the Branch Council) also need your help with topics that you would like to see, suggested alliances and audiences we can target, and would love you to put your hand up and say you would like to give a presentation or a case study. If you are still not sure, why not come along to a Branch Council meeting and have a laugh with us – whilst we are passionate about our profession, we are the same as you and you are all welcome.

I know when I first went along to Branch Council I was petrified (still am sometimes), as I felt like I was just a bottom rung person who was trying to step into the big game with the likes of Jill, Tina and Trish. Well, Jill, Tina and Trish (and the others) just wanted to do the same as I did...promote the profession and ensure members had opportunities to develop themselves and welcomed me to the branch. It's not as scary as you think, and trust me, you will enjoy the rewards and have a good laugh at the same time.

On another note, I would like to encourage all members to try to attend the International Convention in Perth, WA in September 2005. Whilst I know that it is "right over there", the program is outstanding and you will come away enthused and with new ideas to help your organisation through the ever changing RM field.

Our lunchtime sessions are continuing to be well received and whilst we have attempted to run these free of charge, in future we need to impose a small cost to ensure that the lunch and speaker charges (where applicable) are covered. We will continue to monitor these and review options to ensure that we provide you with the most up to date information at the most reasonable cost. Remember though, that if you are a RMAA member, you receive very attractive discounts to these events.

Another service that the RMAA offers is mentoring, so if you would like to be a mentor or a mentee (mentee spelt wrong!), please do not hesitate to contact me. Our profession, once delved into, is not straight forward, so a shoulder to lean on, or an ear to listen to, can make all the difference.

In closing, I would like to as usual thank the current Branch Council – there may be only a handful of us, but we are trying to always make sure we provide as many opportunities to our members as possible.

Look forward to seeing you at the AGM and the lunchtime sessions.

**Kate Walker, MRMA**  
**Tasmania Branch President**



# NZ

**We have moved into a smooth pattern for New Zealand's Archives and Records Week. Nowadays there is always at least one RMAA seminar, the RMAA Recordkeeping Vendor Showcase, the ARANZ lecture, and a social gathering of councils and executives of NZ records and archives professional organisations.**

This paradigm has become the foundation of the event that, with the wide variety of other events around the country, once again ensured that the 2005 celebration (March 12 to 19) was very successful.

Canterbury region rowed in with a wide variety of museum and archives events. Dunedin had a big Archives Day. In Wellington, the Sole Archivists Group (SAG) joined forces with RMAA to provide a lunchtime Heritage Bus service around two of the capital's most important private archives.

Other organisations joined in like the newly-formed NZ Branch of the Australia and NZ Society of Indexers (previously the Australian Society of Indexers). The branch hosted librarians and publishers to its launch event.

Highlights of the week were, undoubtedly, Auckland's big RMAA Recordkeeping Vendor Showcase, and Wellington's School Records Rulz! conference, run jointly by RMAA and the Archives and Records Association of NZ. More than a score of NZ, Australian and international vendor companies showed off their products and ideas at the one-day event in the Ellerslie Convention Centre, attracting almost 200 delegates.

## **Recordkeeping Showcase Success**

Vendors unanimously considered the day hugely valuable and delegates were delighted with concentration of technologies, accessories, equipment and services. The success of this, our second Showcase, was the result of many hours of hard work by National Director and Auckland Chapter President David Pryde, ARMA, and Auckland City Council archivist Sarah Padey (nee McAlley).

The big School Records Rulz! conference nearly fell at the last fence. It was saved by staunch and supportive endeavours of the National Library and National Librarian Penny Carnaby, and quick thinking and reaction by the event convenor, Archives NZ archives analyst Jennie Gallagher.

Less than 48 hours beforehand, National Library realised that its massive refurbishment project, running late and urgent, would create huge drilling noise around the Auditorium where the conference was due. The work could not be further delayed. Between them, the National Library and Jennie found comfortable alternative accommodation at the Wellington Town Hall, rushed out email warnings to delegates and laid on shuttle bus services from National Library for those who had already left home.

As if this wasn't enough, conference day dawned dank and foggy, keeping Wellington Airport shut all day, delaying some out of town speakers and delegates dreadfully, putting others off entirely. NZ Branch's heartfelt thanks go to both Penny Carnaby and Jennie Gallagher for their magnificent efforts. It was enormously valuable as the conference was a great success, attracting 50 delegates to its very varied programme.

NZ Branch councillor Deirdre Wogan, ARMA, a member of both RMAA and the Wellington SAG, organised

the very successful Heritage Bus service to the Home of Compassion convent and Salvation Army archives over three of the week's lunchtime. A&R Week passengers were delighted with the archival displays and two-hour round trip in the old, 1978 Karori Heritage Bus Society vehicle.

## **National Convention 2007**

Convention Convenor, Michael Steemson, ARMA, has gathered a very strong committee to begin the serious planning for RMAA Convention 2007 in Wellington (September 9 to 12, 2007).

The committee comprises five portfolios:

Speakers and programme: Evelyn Wareham (Team Leader) and Trish O'Kane, ARMA.

Exhibition and vendors: David Pryde, ARMA (Team Leader). Entertainment and Gala: Jackie Jean (Team Leader) and Moire Morrison.

Business Opportunities: Jean Cavaney (Team Leader).

Marketing: Michael Steemson.

Alison Midwinter, ARMA, will act as secretary to the committee.

Each planning team will be recruiting more thinkers and doers to plan and apply their campaigns for the event which, coincidentally, falls on the centenary of the proclamation of New Zealand's national independence ... an auspicious moment.

The general conference theme "Influence (or "Influencing") with Integrity" will be developed into the three broad subject areas: Indigenous Records Management, Ethics and "People/Doing it". We've got to find a better description for that last stream, though.

## **RMAA Recordkeeping Roadshow**

Chief Executive Officer Kate Walker, MRMA, and David Pryde are taking the RMAA "Back to Basics" Records Management Roadshow around New Zealand. Early reaction to the programme, initially scheduled in Auckland, Hamilton and Wellington during the first week in April, was strong with enquiries coming from private and public sector organisations, some of them new to RMAA.

## **Presentation to Victoria University of Wellington Library Information Management course**

We have been invited to present the benefits of belonging to the RMAA to the students taking this course. Branch Councillor Trish O'Kane made a fine impression on behalf of the RMAA along with presenters from the Maori library and information society, Te Ropu Whakahau (TRW), ARANZ and LIANZA.

## **Public Records Bill**

Deirdre Wogan co-ordinated the RMAA submission to Public Records Bill Parliamentary Select Committee which reported back to Parliament on March 15. The Bill's Second Reading is imminent and it is hoped that the bill will be passed by mid-year.

## **Upgrade**

We are delighted that Matt O'Mara, Records Manager at Archives NZ, is the most recent Associate to be upgraded to Member. Congratulations, Matt!

## **Helen Hancox, ARMA New Zealand Branch President**

## NSW

### **2005 is well and truly under way.**

Our February lunchtime meeting went very well with Rosemary Milkins of NSW Health talking about how to attract senior management support for Records Management. It was great to hear we do have allies in management and we should, where they exist, find them and utilise them.

Our April meeting is set for 12 April where Conni Christensen of Synercon will talk about time spent on information management activities. Conni has spoken on this elsewhere and has been very well received.

On May 19 we have our Records Management Technology Expo at Dockside. Last year this was a great success and we anticipate similar this year. Apart from the Expo there is an interesting program of speakers. If you happen to be in town that afternoon feel free to drop into Dockside at Darling Harbour. If you can book first all the better.

That evening in a reception we will be presenting the Peter A Smith Award, a NSW Branch initiative to encourage students in records and information management. This will be the second time it has been awarded and plaudits to Stephen Smith for his work in pushing the award.

In March I chaired the 13<sup>th</sup> Annual IIR Electronic Document and Records Management conference at the Novotel at Darling Harbour. It is pleasing to see this has continued and grown to be approaching a joint venture where the program is a collaboration between IIR and the RMAA (through myself).

That collaboration with the Association, I believe, helps set it apart from other like conferences (and I've attended most of them). Our involvement can actually be traced back to those days when Conni Christensen and I both thought the RMAA needed to be involved in such conferences and set about putting this into action.

Before signing off I should say best wishes to Geoff Somerville of the University of Sydney who has recently retired. For those unaware, my first exposure to records came in the Central Records office of the University of Sydney in the late 1970s. There I developed an appreciation of the interest of records and learned much from Geoff, Ken Barker and then head of Central Records Noel Rogers. Best wishes for the retirement Geoff.

Also, best wishes to Steve Stuckey, Assistant Director-General Collection Management of the National Archives of Australia, also recently joining those in an increased leisure potential situation. Steve also has been a major force in my development and someone who has encouraged me with my roles in the RMAA. He will be missed and very difficult to replace.

**Geoff Smith, ARMA  
New South Wales Branch President**

## VIC

**Well, it is May already and we have all been busy organising interesting events, workshops and even high profile launches, all in preparation for the RMAA launch of the Information Management Awareness (IMA) month of May.**

This IMA month also includes our very successful Archives and Records Management (ARM) Week (last week of May). ARM Week is a joint initiative of the RMAA & ASA and in Victoria we are very fortunate to have this organised by Public Record Office Victoria (PROV).

PROV continues to impress us with a range of archival, historical, Koorie, RM and IM events to provide you with professional development and networking opportunities at both regional and metropolitan locations. Check out our IMA program and the ARM week program on the RMAA website, as you are sure to find something of interest!

In an endeavour to provide opportunities for collaborative partnerships in the RM/IM industry in Victoria, the RMAA Victoria Branch has facilitated the formation of a Strategic Alliances Network (SAN). Executive representatives were invited from organisations from within our industry circles, but specifically ASA (Vic Branch), IIM (Vic), ALIA (Vic), Museums Australia (Vic), HIMAA (Vic), PROV, and National Archives Australia (Melbourne branch).

The initial purpose of establishing this group was to share the dates of planned events, professional development opportunities, and information sessions to avoid potential clashing of dates for events that may attract similar target audiences and, to identify scope for collaborative partnerships and to not duplicate efforts for a similar target audience.

The creation of a calendar displaying all events run by the member organisations of SAN will be our first output. We hope this combined listing creates an awareness and inspiration for many of you to broaden your professional portfolio by attending a workshop/information session in a field of interest outside your current role. This calendar will be available on our website or our Branch newsletter soon.

Despite our best intentions and concerted efforts the second Victoria State Seminar planned for March/April was not able to be provided due to unforeseeable circumstances. Hence, the Branch is hoping the spread of events, workshops and activities we are providing within the IMA month of May will sufficiently compensate in lieu of a one day seminar.

The RMAA Local Government Chapter held their first meeting for the year at the Shire of Yarra Ranges on 4 February. These meetings always provide the participants with a wonderful opportunity to network and socialise with other records management professionals.

As always, the agenda was filled with items for general discussion and we were very fortunate to have a presentation from Roger Buhlert on the implementation of Data Works at the Shire of Yarra Ranges. A big thank you to all Council's who provide the venue and lunch for these meetings. It is most appreciated.

The next chapter meeting will be held as part of ARM week celebrations and we encourage all Local Government and Statutory Authorities to send a representative along. The exchange of experiences and ideas on current RM developments and the opportunity to share already developed policies, procedures and business cases, plus the formation or strengthening of your industry networks, is well worth the attendance. Cheers.

**Jeanette Inglis, ARMA  
Victoria Branch President**

## WA

### **It's all happening on the West Coast!**

There's much activity afoot in the West, thanks to the efforts of our WA contributors. The WA 'Box' Sessions commenced in April, focusing on the changing role of information professionals. The event was much enjoyed by all who attended, and we'd like to thank our speakers, in particular Keith O'Shea, David Stritch and Margaret Pember, FRMA. For all who attended, we trust you found the day enjoyable and informative.

ARM Week will be heralded by a breakfast seminar (details are yet to be confirmed at the time of this report) and a flurry of activity is occurring behind the scenes for additional events, seminars, and training days.

In September, WA will be hosting the RMAA 22<sup>nd</sup> International Convention. The convention theme, 'Expanding Horizons' is intended to demonstrate the changing focus and view of records management, looking at traditional RM theories and practices, investigating other less traditional areas of records management and discussing where are we going in records management, what influences are out there for us and what skills we will need to meet the challenge.

A full programme is available on our website. Or, to have a registration brochure posted to you, please call our National Office on 1800 242 611 (Aust. Freecall), 0800 400 625 (NZ Freecall), +61 7 3210 2171, or email [admin@rmaa.com.au](mailto:admin@rmaa.com.au).

With so much going on, we'd appreciate any assistance our WA members could provide. Our Annual General Meeting is to be held in July, and we encourage anyone with a couple of hours to spare a month to attend and join branch council. A variety of roles are available, with varying levels of commitment.

Please don't be intimidated; we were all new once! Living in a remote area is no excuse either, and we particularly encourage those from these areas to join and help plan and run events for other remote members – teleconferences can be arranged, distance is not a problem.

Also, for those members who are considering upgrading to professional status, now's the time to do it! The membership upgrade form is more user-friendly than ever, and there's plenty of support available for those who have questions regarding upgrading. For an upgrade information kit, please contact our National Office.

Wishing you all a wonderful Information Management Awareness month and we hope to see all of you at our events!

**Western Australia Branch**

## ACT

**Hi from the ACT Branch. It has been a while; apologies for the absence of a report in the last IQ, but work commitments and a lack of energy for volunteer work got in the way.**

The Branch held a successful Christmas presentation with Dr Elizabeth Kwan speaking about the 'History of the Australian Flag' and her research and findings. Thank you once again to Tower Software for their sponsorship of Christmas drinks. The Branch Associates held a luncheon prior to the

Christmas presentation with Marion Hoy speaking about her experience at a recent conference she attended in Vienna.

**Congratulations !!!** The marriage of Stephanie Ciempka and Thomas Kaufhold was recently held in Canberra. It was a lovely occasion and the RMAA ACT Branch extends a hearty congratulations and best wishes to them.

**Associate Upgrade** – Congratulations also to Christine Wood from the Australian Electoral Commission for her recent professional membership upgrade success to Associate. It is great to see members continuing to obtain this status to confirm and support the great range of experienced and skilled records managers we have in the ACT.

May is the start of 'Information Management Awareness Month' and the ACT Branch of RMAA will be having the annual dinner presentation for members; more details as they come to hand. As well there will be local activities planned with the ACT Records Office.

As the end of the financial year approaches I urge all members to consider supporting the local branch, particularly the professional members. It is up to you all to make sure the branch continues to operate and support local activities. This means putting your hand up to take on positions on Branch Council and helping continue the local flavour of events and network support.

Remember, at the July members meeting all positions are declared vacant, and there will be support needed to continue the Branch into 2006.

**Veronica Pumpa, ARMA  
Australian Capital Territory Branch President**

## SA

**The South Australian Branch Council had the pleasure of meeting the National Board when they visited Adelaide for their meeting in March. State Records hosted the get-together at the new State Records in Leigh Street, and Board Members were given a tour of the city facility.**

It was a great opportunity to show-and-tell some of the leading moves we are making here in South Australia, and to sound out the Board on some of our thinking around national issues. Donna-Maree Findlay continues the excellent work that Kristen Keley did as South Australia's Board representative.

**Moving and Shaking.** We don't hear anyone calling us the rust-belt any more! SA is doing some really good things in furthering the development of recordkeeping. In particular the proposed Digitisation Standard has created national debate on the listserv.

State Records has commenced the first of its accredited training programs, Certificate 3 in Business Recordkeeping, and the Across-Government Accredited Training and Education Strategy has been promulgated which details 4 strategic goals that need to be jointly pursued by agencies to ensure that records management practitioners are appropriately skilled to manage their agency's operational and strategic recordkeeping programs.

**RMAA Babies.** They say that Australia's population has "bottomed out" and is on the incline. Whether you think this has anything to do with government bonuses or economic indicators, our branch is very representative with three



Councillors having babies at the end of last year. Our best wishes to Bonita, Lisa and Kristen who have perpetuated the male dominance 3-2.

**Events.** The branch hosted a presentation in February by Fuji Xerox of their product 'Workbench'. Always entertaining, the FX team provided an engaging demo of the software which is on the panel of preferred products of State Records. The function was well attended, not only because of a good product and a good company, but the panel of preferred products is very topical here at present.

The other two products, OBJECTIVE and TRIM regularly show demonstrations. TRIM recently showed to regional local government councils in the mid-north; OBJECTIVE launched

their web content management at the Adelaide Convention Centre.

We look forward to forthcoming events around ARM Week and the lead-up to the National Conference in Perth.

**Helen Onopko, ARMA  
South Australia Branch President**

**NT**

No report received

## Coming Up

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Editorial deadline for the August 2001 issue of *IQ* is **July 1**. Send queries and submissions to [editor.iq@rmaa.com.au](mailto:editor.iq@rmaa.com.au)

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To contact officers in RMAA branches, create addresses from branch initials as below, for example, [nsw@rmaa.com.au](mailto:nsw@rmaa.com.au) or [qld@rmaa.com.au](mailto:qld@rmaa.com.au)

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