

# INFORMAA QUARTERLY

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## CAPITAL CAPERS: 21st RMAA International Convention in Review



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<http://www.rmaa.com.au>

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Kiwis & Kemal. Award-winning RMAA Queensland National Director Kemal Hasandedic gathers up an armful of Kiwis at the Canberra Convention's masked ball. From left: Suzie Patrick of Dunedin, Lynn Williams, Lavina Edwin, and Philippa Fogarty all of Wellington. See stories Pages 36 and 40-46

# RMAA Directory

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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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# PRESIDENT'S REPORT

Over recent years, the RMAA has undergone a number of changes, which have resulted in the Association being more focussed as a professional body. Our commitment to continual professional development of our members was evident with the recent release of the CPD scheme.

I would like to encourage all our professional members to be part of this scheme and say thank you to all of our members who have sent letters of support on the introduction of the scheme.

I would like to also remind all our members that you should get in the habit of bringing your membership card to all RMAA events. This will ensure you access to discounts to events, plus your membership card allows you to visit the members' only site.

From Concept to Reality was the theme of the 21st International RMAA Convention, held in Canberra, and was a huge success. Many positive comments were received, both from the members attending - stating it was very informative - and from the vendors, who were very impressed with the response from visitors to their stands.

This year the RMAA celebrated a number of significant milestones. As you can see the convention in Canberra was the Association's 21st and this was celebrated with an official 21st birthday cake-cutting ceremony at the welcome reception on the Sunday night. The Association is also 35 years old and at the conclusion of this year's Annual General Meeting I had the privilege of introducing all the Presidents for the last 21 years.

The past Presidents, in order of serving from 1983 were: Harry Haxton, Peter Smith, Graham Dudley, Ray Holswich, Denis Comber (who was not in attendance for the photo above), Ray Holswich (again), and Chris Fripp. It should be noted that Harry Haxton and Peter



Four RMAA Past-Presidents with current National President Chris Fripp, (right), at the RMAA International Convention in Canberra: From the left, Harry Haxton, Peter Smith, Graham Dudley, and Ray Holswich

Smith were also on the committee that organised the first convention.

The other milestone this year was that the *InfoRMAA Quarterly* was in its 20th year of production. It has come a long way from its humble beginnings when each branch was responsible for the writing and producing, but it has always been our flagship magazine.

Thank you to all who contributed to making this convention another successful event on the RMAA calendar, and I look forward to welcoming everyone to the 22nd International Convention in Perth, where the theme is Expanding Horizons.

I would like to congratulate the following members on their appointment to the National Board, and I would like to ensure all our members that these Directors of the company will continue to lead the Association forward as set out in the Association's strategic plan.

The appointments to the National Board for 2004/2005 are as follows:

**Chris Fripp** - National President  
**Thomas Kaufhold** - National Treasurer  
**Kemal Hasandedic** - National Vice President  
**Kristen Keley**  
**David Pryde**  
**Lyn Kickett**  
**David Moldrich**

With the new direction the Board is taking, combined with the Chief Executive Officer providing not only tremendous leadership skills but also building an effective management team, the appointment of a Business Support Officer, a professional journal Editor and the soon to be employed Marketing and Events Manager, I am looking forward to another successful year.

A year where the Association will strive for professional identification in various vertical markets and in particular in the career industry - where the RMAA will strive to encourage more young people to take up a career in Records Management.



**Chris Fripp MRMA MAICD AMIM**  
**National President**



# CHIEF EXECUTIVE OFFICER'S REPORT

**What's happening on the home front? You will be pleased to know that the Association has continued to be proactive, and is moving from strength to strength.**

For those of you who have not yet read the RMAA's Annual Report, please go to our web site, [www.rmaa.com.au](http://www.rmaa.com.au), log on to the Members Only section and see what happened for the 2003-2004 year. I hope you will be happy with our direction. Below, I have copied my letter to members from that report, as it demonstrates that YOU make our Association, and this must never be forgotten.

*I am constantly pleased to see the high level of enthusiasm from our membership. From Student Members, Full Members, Branch Councillors to the Directors, the level of dedication to each and every member is the envy of any organisation.*

*This level of dedication and enthusiasm is our organisation's greatest asset and combined with sound management and a business approach, our organisation can flourish beyond expectations.*

*One important fact to remember is the members of the RMAA who voluntarily dedicate their time and energy to participate in the running of the Association are our most important asset. From the Board of Directors, Branch Councillors, SIG's, Committee Members to members who attend our workshops, seminars and conferences, their skills and talents I can complement but not supplant.*

*Despite a year of tremendous change and difficulty, which is a combination of internal issues and marketplace conditions, I can see a host of opportunities in front of our unique Association.*

*The reinvigoration of the RMAA's Course Accreditation Program and the introduction of the RMAA's Continuing Professional Development will be integral to improved membership benefits and services.*

*To capitalise on business opportunities that complement our corporate strategy and company mission, we are in the process of repositioning and reprioritising to become more responsive to marketplace conditions. Maximising our organisation's potential will ensure a continual delivery of services and benefits to all our members.*

*In conclusion, the force behind our Association's turnaround is the members and employees of the RMAA. Working collaboratively as teams, they are the greatest strength of the Company – committed to creating great opportunities, focused on providing outstanding service and dedicated to ensuring benefits to all members. Lastly, all of us appreciate the encouragement and support we have received from our members during the year and we thank you for your continued support.*

## SEPTEMBER BOARD MEETING

The RMAA National Board met in September and a summary of key issues follows:

### Branch Review – Consultation Paper

The RMAA National Board is undertaking a review of its branch structure. The operation of this structure is essential to the health and wellbeing of the organisation and the profession.

To assist in this process, members were invited to comment on the operation of the existing structure and how it could be improved to enable the RMAA to best meet the needs and aspirations of its members and to facilitate the continued and further development of the profession.

Comments closed on 7 October 2004, and a report will be prepared based on the comments received.

### RMAA Governance Manual

The RMAA is developing a Governance Manual and a Board Toolkit which includes statements of positions, policies and operational matters. One of the most important policies is the **Code of Professional Conduct**.

This has been reviewed and covers things such as the public interest, integrity, confidentiality, objectivity and independence, competence, keeping up to date, subordinates, responsibility to your employer/client, promoting recordkeeping and the RMAA, and the image of the profession and RMAA. A copy of the Code of Professional Conduct is available on our web site and other policies and statements will be uploaded as they are approved.

### RMAA National Committees

The Board reviewed the roles, purpose, functions and delegations of their committees. There have been standing and ad hoc committees identified and will be open for contribution from our members when issues are identified – keep a look out on the web site for expressions of interest when they arise.

### ARES – Statement of Professional Knowledge

A joint working party (RMAA/ASA) was developed to prepare a joint definitive statement of the professional knowledge required by recordkeepers.

The statement was to be one that differentiates recordkeepers from other professions and defines the unique core knowledge of recordkeepers.

This has been developed and is out for public comment – see the web site for more information.

### Professional Status Upgrade Guidelines

Finally these have been updated in line with the current day and age. The guidelines have changed significantly for all levels of professional membership. The guidelines, which include examples and key recordkeeping skills identifiers and are hopefully now easier to understand, can be accessed on our web site, but the basic criteria now include:

#### Associate

- Minimum of 3 years current industry experience.



## CEO's Report, Continued from page 6

- Have experience of and/or responsibility for activities which contribute to the management of organisation operation and other functions within the scope of the Association.
- Demonstrate understanding of 5 of the recordkeeping skills.
- Commitment to develop the skills, knowledge and professionalism appropriate to the records and information management industry.
- A member with the status of Associate shall be entitled to vote or hold office within the Association.
- Commitment to develop the skills, knowledge and professionalism appropriate to the records and information management industry.
- Commitment to undertaking the RMAA Continuing Professional Development Scheme.
- A member with the status of Member shall be entitled to vote or hold office within the Association.

**Member**

- Minimum of 5 years membership of the Association (NZ and International Members may demonstrate 5 years membership of RMAA/ARMA/ARANZ).
- Have managerial experience and/or responsibility for organisation operation, management function or department(s) within the scope of the Association.
- Have formal qualifications to a minimum of a diploma level.
- Demonstrate understanding of 6 of the recordkeeping skills.
- Demonstrate application of an additional 3 of the recordkeeping skills.
- Provide evidence of outstanding contribution in the area of records and information management (a minimum of 3 criteria outlined within this document).
- Provide evidence of contribution to the Association.

**Fellow**

- Minimum of 7 years membership in the Association (NZ and International Members may demonstrate 7 years membership of RMAA/ARMA/ARANZ).
- Must have previously attained the status of Member of the Association.
- Held office within a Branch Council or National Board for a total of two years (minimum).
- Have formal qualifications to a minimum of an Advanced Diploma level.
- Provide evidence of outstanding contribution in the area of records and information management (a minimum of 5 criteria outlined within this document).
- Demonstrate understanding of 9 of the identified recordkeeping skills.
- Demonstrate application of additional 5 identified recordkeeping skills.
- Provide evidence of contribution to the Association.
- Commitment to the RMAA Continuing Professional Development Scheme.
- Commitment to develop the skills, knowledge and professionalism

appropriate to the records and information management industry.

We will be organising a roadshow to help introduce and launch the new guidelines, so if you have ever thought 'I should be upgrading', make sure you come along.

**Marketing & Events Manager**

In conjunction with the Association Management Institute, the RMAA has recruited an outstanding candidate for this position, who will take up the post next January. Until that time, the Association's Director of Marketing will continue in this role. Full appointment details in the next IQ.

Please feel free to contact me to discuss any issues you may have, at kate.walker@rmaa.com.au or 0409 250 795.



**Kate Walker, MRMA MAICD AMIM**  
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.

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:

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Please send me Association notifications in hard copy, to the following address:

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# FROM THE EDITOR'S DESK

**What a great 21st annual RMAA convention it was! As you'll see in the Capital Capers review in this edition of IQ, this was the overwhelming consensus of opinion from delegates to the convention in Canberra over September 12-15.**

I wasn't able to make it to the Canberra convention – I was attending a convention of a different kind, the annual PowWow of the Ponca Indians in Nebraska, USA. More about that shortly.

## In This Issue

In addition to a comprehensive Canberra convention review and a survey of delegates' views, in this issue we publish a cut-down version of Dr Peter Shergold's keynote convention address, E-Government, the Big Picture. And you'll find details of all the RMAA awards presented at the convention.

In this issue too, we review the New Zealand Government's recently released digital strategy. Western Australia's Director of Public Records discusses the SRO's new archival management system. And a case study suggests how to better make DIRKS work.

We're also delighted to include not one but two articles from Northern Territory correspondents, both dealing with complimentary aspects of a major EDMS implementation in the Top End.

Another writer asks, When Is a File Not a File? A South African correspondent wonders how to apply open access in Third World countries. And we look at how you can deliver Fearless Feedback.

## IQ Articles Have Impact

Articles appearing in IQ stimulate interest and discussion throughout Australia and New Zealand, and further afield. For example, the thought-provoking article by Perth's Laurie Varendorff about Trojan Horse Programs in our May issue created such interest in ACT Government circles that they asked and received permission to put the article on their intranet.

Meanwhile, Stephen Bedford's August article about Access Schedules is to appear in the journal of the Records Management Society of Great Britain.

By the way, those readers who wondered whether Glenn Sanders might be offended by Stephen's comment that he was worried that if he continued to write in such an impertinent manner he'd be mistaken for Glenn Sanders, Glenn has since remarked to IQ, "I'm glad to see a bit of levity creeping in."

## Whooping it Up With the Indians

As I mentioned, I was fortunate enough to join the Ponca Indian tribe of Nebraska at their three-day annual Pow Wow in September. This opportunity came my way because I've written a book about the tribe, *Standing Bear is a Person*, being published in the US in December.

This is the true story of how Chief Standing Bear of the Poncas in 1879 sued the US Government to prove he was a person in the eyes of the law – Native Americans had previously been afforded no legal rights.

During the Pow Wow, my wife and I not only literally danced with the Poncas we attended their first ever language workshop. The tribe was split in two by the government in the 1800's, and while the Southern Poncas in Oklahoma retained their language and customs, in the 20th century the Northern tribe was legally 'terminated' by the government and its members scattered.

After decades of protest, in 1991 the US Senate finally voted, unanimously, to reinstate the Northern Ponca tribe. The Poncas have been striving to rebuild the tribe and rediscover their traditions including their language ever since.

Interestingly, we encountered a records management issue here. While the language of the Poncas was recorded for posterity in written form by missionaries in the 1800's, it turned out the missionaries only spoke with male members of the tribe – and the women sometimes used quite different words and phrases to the men to describe the same things. For over a century academics were largely ignorant of this 'women's language,' working as they were from the missionaries' records.

Fortunately, the Southern Poncas retained their 'women's language' orally, and more recently this has been recorded by tribal elders, so it can be taught to new generations of the northern tribe along with the 'men's language.'

I look forward to hearing of any similarly colourful RM encounters our readers may have had.

## STEPHEN DANDO-COLLINS

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**Members of the Ponca tribe of Nebraska perform a ceremonial dance at their 2004 Pow Wow** Photograph by Louise Dando-Collins



# WHAT IF? And Other Editorial Questions for 2005

The following themes have been established for *InfoRMAA Quarterly's* 4 issues in 2005. Whether you're an advertiser or are considering an editorial submission, start planning your material and/or make your booking now to avoid disappointment.

**FEBRUARY, 2005 Issue**  
**Theme: 'Lessons Learned'**  
**Special Reports: RMAA 2004**  
**Portfolio Reports**  
**Supplement: Product Directory**  
**Lift-out**

Lessons learned from history. Lessons learned from research. Lessons learned from recent on-the-job experience. Lessons learned from education and continuing professional development. These are subjects we're tackling in February. To submit editorial or to secure your advertising booking, the deadline is December 1.

And we're once again running the popular Product Directory lift-out in February's issue. To secure a free listing, to update your current listing, email the RMAA at [admin@rmaa.com.au](mailto:admin@rmaa.com.au) by December 1.

**MAY, 2005 Issue**  
**Theme: 'Corporate Governance'**  
**Supplement: 2005-2006**  
**Calendar of Events**

With RM legislation becoming increasingly complex, with continuous developments in technology creating new governance issues, Corporate Governance has gone to the top of management agendas. In May, we'll be looking at various aspects of Corporate Governance. Your contribution will be welcome.

In May too we'll include a Calendar of records management events for the period July 2005 to June 2006. To ensure your organisation's events are listed in *IQ's* 2005-2006 Calendar of Events, make a diary note to notify us at [admin@rmaa.com.au](mailto:admin@rmaa.com.au) no later than April 1.



New York City newspaper publisher Robert Simko (left) gives *IQ's* Editor Stephen Dando-Collins a tour of the World Trade Centre 'Ground Zero' site on Stephen's recent study tour visit to the US. Robert and his wife Alison will be the subject of an exclusive *IQ* interview in 2005. Photograph by Louise Dando-Collins

**AUGUST, 2005 Issue**  
**Theme: 'What If?'**  
**Feature: Preview, RMAA 22nd**  
**International Convention,**  
**Perth WA**

What if your organisation were struck by a catastrophe? Maybe an extended power outage which stops the flow of information. Or a monumental disaster which destroys not only your records, but your entire business. A fire? A massive flood? An earthquake? Terrorism?

Is your organisation ready for just such a disaster? Are you? Do you have a disaster recovery plan? If so, have you tested it lately? Are your records backups in place? For everything? How would you and your colleagues cope emotionally with such a disaster?

In our August issue we'll canvas all these questions. And we'll run a story about recovery from a major disaster that you'll find both sobering and inspiring.

Got your own 'What If' story to tell? A view to offer? Then email us at [editor@rmaa.com.au](mailto:editor@rmaa.com.au). You might test your organisation's disaster recovery plan between now and next July; if so, let *IQ's* readers share your experiences - tell us about the outcomes.

In August, too, we preview September's RMAA international convention in Perth, which promises to be the biggest ever.

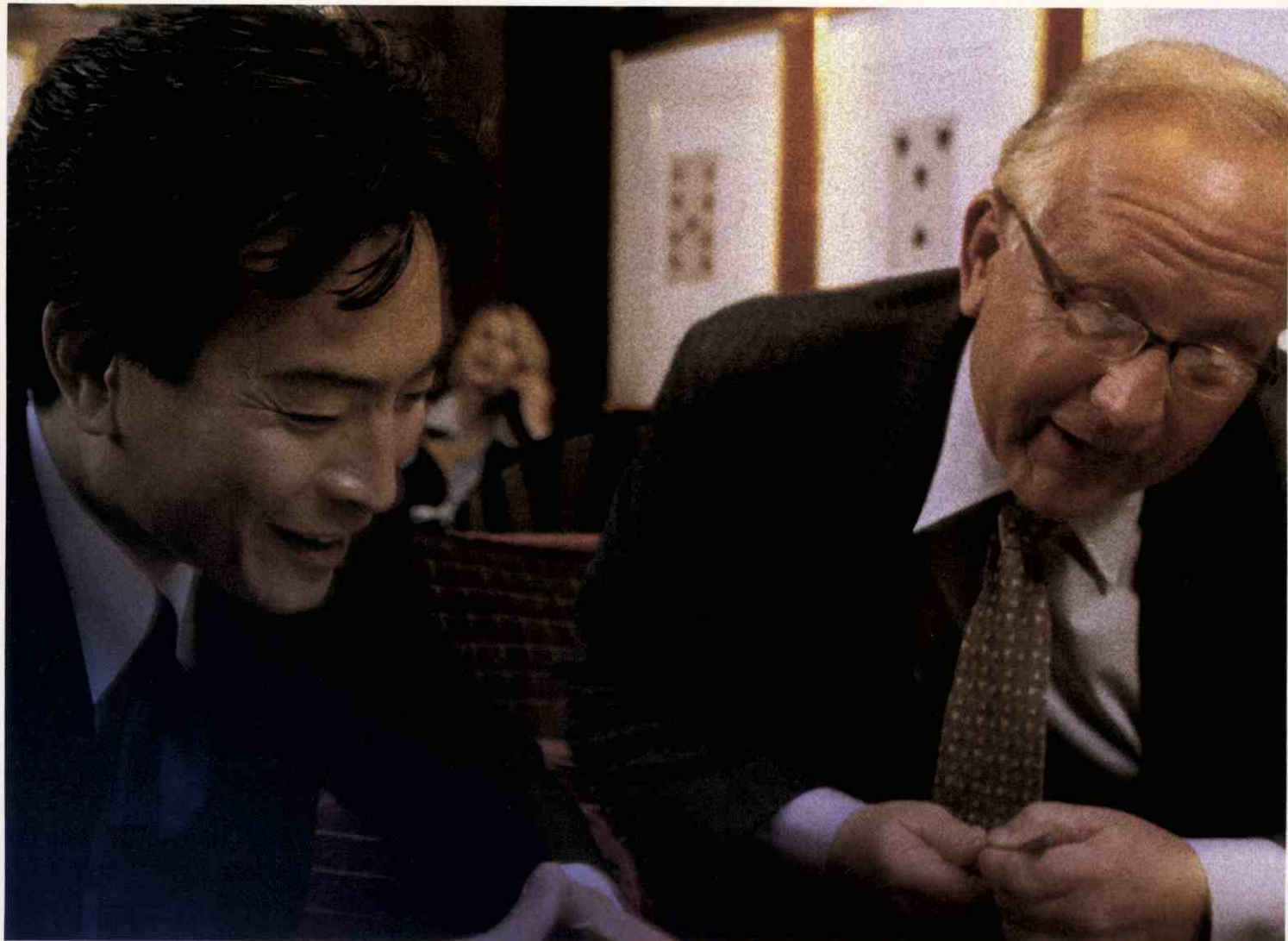
**NOVEMBER, 2005 Issue**  
**Theme: 'Expanding the Horizon'**  
**Feature: Review of Perth**  
**International Convention**

Our perceptions of what's just over the horizon often proven quite wrong. A survey of leading Australian thinkers 20 years ago predicted we'd all be watching 3DTV by now, that the Soviet Union would continue to dominate half the world, and robots would be in the home.

In today's RM industry a great deal of time, effort, and money can be saved by expanding the horizon, by foreseeing change and preparing to meet and greet it. Technological developments have blurred or even obliterated borders which once kept RM in the management basement. RM professionals have to step up and lead as their industry moves up the corridors of influence and power.

The theme of Expand the Horizon applies to the RMAA's Perth Convention in September, and in *IQ's* November issue we'll review the convention and explore issues that truly expand the records management horizon.





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# RMAA CONVENTION KEYNOTE ADDRESS: E-GOVERNMENT, THE BIG PICTURE

By Dr Peter Shergold

**The following article is an edited extract from the keynote address made by Dr Shergold, Secretary of the Australian Department of Prime Minister and Cabinet, on September 13, 2004 to the 21st RMAA International Convention in Canberra.**

On Thursday, September 9, we witnessed the appalling terrorist attack on our Embassy in Jakarta. Within minutes public servants had to link government - through the Prime Minister, who was on the hustings in Melbourne - and the key agencies of public administration to wield an effective response.

What was the information from our Ambassador? Luckily, Embassy communications equipment remained functional in spite of the huge explosion. What did our intelligence agencies know? What medical, transport or security assistance needed to be provided by Defence? What forensic and explosives expertise could be provided by the AFP to their colleagues in Indonesia? What changes to travel advisories did ASIO and DFAT believe necessary?

Government had to be connected as a matter of urgency. And at the moment of crisis e-government worked. In just over an hour the Prime Minister was able to make an informed statement to the public and within three hours the Foreign Minister and accompanying team of intelligence, police and counselling staff were in the air en route to Jakarta.

The power of communications technology combined with a recognition of the need for close cooperation ensured that 'interoperability' in its most profound sense worked.

The challenge is to ensure that what can happen in moments of crisis - the bringing together of technology, organisational structures and workplace culture - can become part of the everyday way in which government is delivered to citizens.

That, to my mind, should be the goal of e-government.

## E-Government Solutions

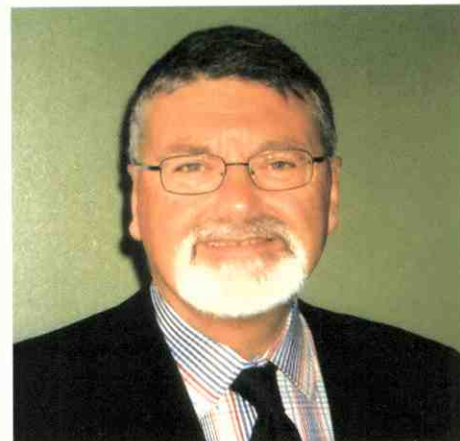
It is in that broad sense that e-government solutions need to be at the forefront of thinking at every stage of public policy development and implementation, from:

- **anticipating** future policy challenges - gathering, sharing, synthesising and disseminating information to identify emerging issues;
- **developing and coordinating** policies to address these issues - taking full advantage of the connectivity that can be built between agencies;
- **delivering** those policies - making government and its services more efficient, convenient and immediate for citizens;
- **monitoring and evaluating** those policies - and, by providing feedback to relevant agencies improving government responsiveness;
- **securing** the electronic records - to protect both the confidentiality of government and privacy of citizens; and
- **ensuring accountability** for electronic decision-making - through the management and archiving of digital records.

How far have we come? In terms of our potential not nearly far enough. In terms of our progress, a surprisingly good distance.

In truth I feel ambivalent. A common view to which technological luddites like myself often subscribe is that we have seen an explosion in the use of IT communication and connectivity. Information - the stock in trade of public servants - is greater, arrives faster and circulates more widely. We have become 'wired'.

Yet trying to persuade government organisations to invest in new technologies, to appreciate ICT capacity or, even harder, to change organisational cultures and processes in order to



**Dr Peter Shergold, Secretary,  
Department of Prime Minister & Cabinet**

maximise opportunities has proved an uphill battle.

A quick stock-take of innovations persuades me that we have made progress. Perhaps I am too easily impressed but perhaps, too, others forget the transformation of their home and workplace that has occurred in the last decade. Certainly in most international surveys of e-government service delivery, Australia ranks in the top three or four countries.<sup>1</sup>

According to John Rimmer, Chief Executive of the former National Office of the Information Economy, "Australia is now recognised as a world leader in the application of technology to deliver better government information and services, whether that be on the Internet, through call centres or in the office."<sup>2</sup>

## World Class Solutions

Australia now boasts many world-class innovative technological solutions to government service and information delivery. For example, anyone around the world with an Internet connection can now apply on-line for a visa to migrate to or visit Australia.

The Australian Taxation Office's online lodgement is used by over 300,000 citizens. More than 20,000 Activity Statements are lodged online.

Another instance of an innovative e-government solution to a policy problem, the Immunisation Register was developed in response to a decline in childhood immunisation in Australia and an alarming increase in preventable childhood diseases. The database, managed by the Health Insurance Commission and integrated with Medicare, records vaccinations given by health professionals to children under the age of seven.

Each day, approximately 2,000,000 pages of information about jobs and the Australian Labour market are viewed through the Job Network Internet site. The fleet of 3,000 touchscreen kiosks (the largest in the southern hemisphere) displays a similar volume of information to unemployed Australians.

Just as the introduction of touchscreen kiosks was a world first for a publicly funded employment service back in 1996, so today is the use of mobile telephone SMS technology. Some 30,000 SMS messages are sent each day to jobseekers advising of possible job opportunities that match their employment background. SMS messaging has proven to be three times more effective at getting people into work than other, more traditional, communication channels.

### **Online Uptake**

Seeking information and transacting business on-line have become a normal part of domestic life, raising expectations of e-government. Internet usage rose from 31% of adults in 1998 to 58% in 2002. More than one in five (21% in 2002) adult Australians now access government services via the Internet for private purposes (compared with one in six, or 16%, in 2001).<sup>3</sup>

None of this should blind us to the fact that the digital divide remains. Those most likely to access government services electronically have university degrees and/or incomes of more than \$40,000. Those least likely to make use of the Internet are aged over 65 years and/or unemployed.

### **Information Integration & Sharing**

Nevertheless e-government is successfully transforming external relationships between government and citizen or government and business. It has reduced the costs of recruitment, contracting and the delivery of information and services.

And yet, I think, e-government should offer more. We have not yet been sufficiently committed to using e-government to facilitate and transform government-to-government transactions. In part the fault is mine. Only on occasions such as this do

**'A policy decision made by email, or acknowledged by SMS, needs to be treated as a public record and managed accordingly'**

I focus on e-government as an effective vehicle for integrating information and bringing a holistic approach to the development of policy.

There is a strong case for departments to ensure that their systems can be integrated and, on occasion, to share investment in high-priority data collections. The devolution of organisational management, which has contributed so much to increased productivity in the public service, cannot be used as an excuse for not agreeing to common approaches to the sharing and security protection of electronic communication.

The incompatibility of agency IT systems, security concerns and privacy constraints together stand as barriers to information sharing. Too often they reinforce behavioural patterns that eschew whole-of-government collegiality. Solutions must be found. It's not simply a matter of saving costs. Data sharing can open the doors to different ideas about how government services are designed and delivered.

At present, information sharing occurs mainly within particular programmes and on an ad hoc basis through individual public servants working on similar problems. We still have a long way to go

in establishing structured electronic data sharing arrangements.

I find it particularly frustrating when I hear that existing data collections are under used. When an agency wants to answer a question, too often it initiates its own data collection and management exercise. There is an immense, untapped potential for the reuse and sharing of existing electronic information sources.

Early collaboration on data collection among agencies with overlapping public

policy responsibilities is crucial. Common standards for the reuse of existing data sources would improve the cost efficiency and timeliness of government.

### **Privacy**

A key issue in relation to data sharing is privacy. The Federal Privacy Commissioner has responsibility under the Privacy Act 1988 to ensure the protection of personal information handled by Australian Government agencies. Agencies have an obligation to comply with National Privacy Principles, most notably that agencies may only collect data for a purpose that is directly related to their function.

This principle can persuade agencies not to share information. That would be wrong: the legislative goal is for agencies to make clear the multiple purposes for which the data could be used at the outset.

My discussions with the Privacy Commissioner suggest that an opportunity exists for Government to develop good data gathering and sharing practices within the context of community privacy expectations. The vision of 'seamless' government would loom closer if we could build such a framework.



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There is progress. The process of circulating proposals for comment by other agencies – so vital for the initiative

Keeping e-government records for posterity is equally important. The improvements in efficiency and

In this environment it is crucial that internal and external email communications are protected and that staff fully comprehend the protocols that are in place for transmitting information. Nothing will undermine the sharing of electronic communication so much as the threat of unauthorised entry to information which may be used against the government.

**'Each day the Department of Prime Minister and Cabinet detects an average of 140,000 unsuccessful attempts to penetrate or gain information about our networks'**

development of policies – is now largely carried out by email, fax and telephone. Documents can be modified almost instantly by different people, while retaining progressive drafts. Files can be shared. So can ideas.

### Records Management Challenge

Another challenge is to ensure that public servants, who are skilled at the management of paper records, understand that it is also their responsibility to preserve their digital records. Some can be lulled by the informality and apparent ephemerality of electronic communication into thinking that they are engaging in a private discussion rather than creating records that are public property.

It is important to understand that a policy decision made by email, or acknowledged by SMS text messaging, needs to be treated as a public record and managed accordingly. Digital records are subject to the same accountability requirements as other forms of records.

effectiveness of government we gain from using ICT will be lost if we do not preserve the records of those communications in their digital form. Again, we are making progress.

The new *Australasian Digital Recordkeeping Initiative* will ensure that authentic and reliable digital records are kept in their original form. Agencies are taking up the challenge. We are seeking the implementation of electronic document management systems to ensure that staff are trained to maintain, manage, access and archive their electronic documents.

### Security of Information

Security of information is also paramount. It is not easy. Each day the Department of the Prime Minister and Cabinet's secure Internet gateway (which also supports the Prime Minister's Office) detects an average of 140,000 unsuccessful attempts to penetrate or gain information about our networks – networks on which sensitive and classified information is stored.

Fedlink – a virtual private network using interoperable network encryption – was developed in 1997 to provide secure communications between agencies across the public Internet. Already 35 agencies are operating on the Fedlink system, and remaining agencies are to connect to the network as soon as possible.

While not all classifications of material can be transmitted on the network (it is limited to 'protected' or 'in-confidence' material) it has nevertheless dramatically improved the security of government communications.

The introduction of the CABNET system to circulate highly sensitive submissions securely has vastly enhanced the preparations of Cabinet. Of course, other purpose-built secure networks have been developed for the transmission of national security and foreign policy information between agencies in Australia and with our embassies overseas.



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### In Conclusion

In the 16 years I've been in the Australian Public Service IT has transformed the way in which public service has worked and the manner in which government has been delivered.

My department, Prime Minister and Cabinet, is unlikely to win any glittering awards for the excitement of its intranet and internet sites, yet their basic functionality perhaps best epitomises the scale and breadth of the communication revolution under way.

The public can search the alphabetical range of our bureaucratic endeavour from 'additional estimate statements' and 'agency contracts' to 'tenders' and 'workplace diversity'. They can access on-line material as controversial as the recent Report of the Inquiry into Australian Intelligence Agencies and as timely as the Caretaker Conventions. Aficionados of records management can even pore over our indexed file lists.

Today, it all seems so mundane: a decade ago it was barely thinkable. Yet the power of information technology continues to increase faster than the comprehension of those who use it. It can be overwhelming.

But of this I am certain. Access to information, and the potential to share, store and manipulate it, has power to transform the relationship between

citizens and their government. Even more, it has the capacity, still largely untapped, to raise the timeliness and effectiveness with which the structures of governance anticipate the future, develop appropriate policy, deliver services and administer themselves.

I envisage the opportunity to overcome the traditional barriers of bureaucratic enterprise and to drive a truly whole-of-government approach. Computers provide the capacity to allow agencies to work as teams across organisational boundaries, "focussing on citizens rather than individual agency needs".<sup>4</sup> The technology is there. All it needs are the public servants with the vision, commitment and collegiality to make it happen.

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### THE AUTHOR

A graduate of the University of Hull, UK, Peter Shergold obtained an MA at the University of Illinois and a PhD from the London School of Economics. He has lectured at universities in the US and UK and has twice been a Fulbright Scholar. His extensive career with the Australian Public Service culminated in his current appointment in 2003.

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# BEST FOR THE WEST: SRO WA's New Archival Management System

By Tony Caravella

**Earlier this year, Western Australia's State Records Office, the SRO, announced plans to implement a major new archival management system by year's end. In this article, for IQ WA's Director of State Records, Tony Caravella (pictured), talks about the new system, which goes online this month, and looks to the future.**

The implementation of the State Records Act 2000 has without doubt greatly strengthened the recordkeeping regime in Western Australia.

One of the many significant benefits flowing from this new regime is that the state's archives are better identified (through Recordkeeping Plans) and therefore accessibility to such records will be improved.

To support this good work, the need to improve the information systems to support managers, and to enable improved access to the State archives has become a paramount issue for the State Records Office of WA.

To address this issue, the SRO is currently implementing a new archival management system which incorporates an online search tool to allow anyone with internet access to explore the State archives catalogue through the SRO's website.

The State Records Office has in fact been aiming to introduce a fully-fledged archival management system for many years. The introduction of an internal database to record the metadata for State archives in 1991 partially met that need, but lack of resources limited public accessibility to this system. The current implementation project therefore brings to fruition a long-held aim.

## System Sourced From SRANSW

The new system has been purchased from the State Records Authority of NSW and sincere thanks must go to SRANSW

Director David Roberts for making this system available for Western Australia.

The system actually consists of two main components - the backend database (called Business Operations Systems, or BOS), that supports the core archival business functions and the web-based search tool which the State Records Office has named AEON - Archives Explored Online.

## Why AEON?

Although public suggestions for a name for the search tool were called for, unfortunately few were forthcoming. AEON was chosen from a large selection of names that SRO staff had put forward, and was chosen by a vote.

Some of the suggestions such as the Archives and Records Search Engine, or Pro-State, were not considered quite suitable on the basis of the unintended and unfortunate acronym for the former, and on the basis of confusion with another word in the case of the latter! However, there was clearly some very creative thinking given to this matter!

AEON will be formally launched in late November and thereafter will be accessible to the wider community through the homepage of the State Records Office ([www.sro.wa.gov.au](http://www.sro.wa.gov.au)).

AEON not only lists the vast majority of the government records that currently comprise the State archives collection, but also documents the context in which these records were created. In addition, AEON supports the viewing of digital copies of archival records and the SRO plans to take advantage of this feature.

We will shortly be conducting a special data-entry project to ensure that remaining listings for the State archives collection which are not yet on the system will be added in coming months.

## Confidentiality Considerations

The only archives that will not be listed online are those in which the record



titles present confidentiality issues. The State Records Office is applying the "Exempt Records" section of the Freedom of Information Act to make such determinations, but it should be noted that this is applied to the title of the record rather than the contents of the record itself, (which may still be subject to a restricted access status).

In practice, approximately 99% of the State archives collection will be publicly listed and those that are not will be records such as Major Crime Squad investigations or Juvenile Detention files where the identifying details of some individuals might be listed in the record's title.

## Scope For the Future

Finally, there is scope within the new archival management system for the State Records Office to document State archives not only in the SRO's custody but also those remaining with government agencies.

There is a requirement in Section 73 of the State Records Act 2000 for the State Records Office to document these records. Such a facility of course strongly supports government accountability and transparency processes.

## THE AUTHOR

Tony Caravella is Western Australia's Director of State Records, in Perth. He is a corporate member of the RMAA.

# MAKING DIRKS WORK

By Stephen Macintosh, ARMA

**This case study outlines the author's experiences introducing DIRKS at the Australian Human Rights and Equal Opportunities Commission, (HREOC) in Sydney. It includes the many positive aspects he found and some of the challenges he encountered. He also makes several suggestions aimed at improving implementation of DIRKS by central archives and records management authorities.**

## Identifying the Needs

Over a period of two years, the records manager with the Human Rights and Equal Opportunities Commission and I - who was working in the capacity of a consultant - recognised a number of recordkeeping tools that had to be developed in order to strengthen the agency's recordkeeping program.

We needed to develop a function based business classification scheme and disposition schedule, to ensure the systematic management of records that documented agency specific functions and activities.

We needed to identify a set of recordkeeping or evidence creation requirements for each of the agency's functions and activities.

Finally, we needed to identify the risks associated with the agency not creating full and accurate records of each of its functions and activities.

## DIRKS Gave us the Methodology

The first three steps of DIRKS (A, B and C) appeared to be a methodology we could use to develop these tools. We were sure that they could help us to fundamentally strengthen the agency's recordkeeping program.

We applied to the National Archives Australia (NAA) to become part of their DIRKS work program, and were accepted.

### Step A - Initial Analysis

Step A involved an initial analysis of the agency's business. This was set up as a series of questions. When completed, it gave a clear picture of the agency's history, what it did, what it planned to do, and what constraints and opportunities were created by the agency's operating environment.

## DIRKS - Developing and Implementing a Recordkeeping System: A strategic approach to managing business information

This is a methodology for designing records management systems that was developed in Australia and has been incorporated into the International Records Management Standard ISO 15489-2. It has its origins in business systems analysis methodologies that have been in use in the information management field for many years. This methodology consists of eight principal steps, as outlined in the DIRKS Manual summary:

- Understand the business, regulatory and social context in which they operate (step **A**);
- Identify their need to create, control, retrieve and dispose of records (that is, their recordkeeping requirements) through an analysis of their business activities and environmental factors (steps **B** and **C**);
- Assess the extent to which existing organisational strategies (such as policies, procedures and practices) satisfy their recordkeeping requirements (step **D**);
- Redesign existing strategies or design new strategies to address unmet or poorly satisfied requirements (steps **E** and **F**); and,
- Implement, maintain and review these strategies (steps **G** and **H**).

We were able to use the completion of step A to introduce senior management to the DIRKS process, and several senior managers agreed to become part of a DIRKS working party.

This working party proved to be a very effective conduit for getting senior management involvement and for getting feedback on our understandings to date. We found that when we linked the process to identifying requirements for evidence, rather than records, most of the managers were happy to give up some of their time.

It is important to note, however, that this commitment was conditional on the whole process not becoming bogged down in

concerns about records management jargon and pedantry. As is shown in the outline of DIRKS step C, when the process becomes locked up with such concerns managers of the core business of the agency will become frustrated and step back from the process.

### Taking Step B - As Awareness Grows

Step B involved using business systems analysis (BSA) tools to analyse the business activities of the agency, and developing a business classification scheme (BCS). This scheme identified the overarching functions of the agency and created clear definitions for each. It then identified and defined the different activities that supported the functions.



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Finally, it identified and defined the individual transactions associated with each activity. These were clearly items of great interest to senior managers and helped greatly to gain their involvement and commitment to the remainder of the work.

Gaining such interest first opened the door to making senior managers more aware of the role and importance of records and recordkeeping as part of the broader information management equation.

This awareness also meant that managers became aware of the utility of records management tools, such as the BCS, to address other information management challenges within the agency, such as the implementation of metadata sets to facilitate information generated for a Sharepoint Portal.

### **Creating a Work Scheme**

As you can imagine, even for a relatively small agency, this was a challenging process. With the help of the project officer from National Archives of Australia (NAA) and engaging agency senior management to validate definitions, interfaces and organisations involved, we were able to produce a scheme of the work the agency does.

This scheme facilitated a risk analysis in relation to the risks associated with the agency not creating records, or creating incomplete records, of its functions and activities. It also facilitated the creation of a disposition schedule, and a set of recordkeeping requirements. In addition, the scheme is now being used to devise a means by which electronic records are titled according to the function and activity they document.

### **The Demands of a Function Source Document**

In order to satisfy NAA requirements, we also had to complete a Function Source Document (FSD) that clearly identified where we had acquired the information

to complete the Business Classification Scheme.

I think the documentation required by NAA is necessary. It does, however, make DIRKS a heavy, time-taxing process. Indeed, the amount of time and detail required needs to be fully understood by managers before they approve their agency's undertaking this process.

This is not unique to DIRKS. Management involvement and careful articulation of business process and activity definitions is common to most business system analysis projects, whatever methodology is used. Which is why they typically yield both good information results, plus significantly improved management understanding and appreciation of organisational information (including records) assets.

**'The amount of time and detail required needs to be fully understood by managers'**

### **Step C – Two Goals, One Major Problem**

Step C involved identifying the recordkeeping requirements, developing disposition classes and linking them to internal and external stakeholders, for each function and activity of the agency.

We were hoping to end up with two things:

1. A clear set of reasons why the agency kept records for each of its functions, which would be disseminated throughout the agency so that each officer had a clear understanding as to what records they needed to create.
2. A functions-based disposition schedule that facilitated the systematic disposition of records and ensured they could be managed over time.

We did this by working closely with the agency managers and the NAA project officer. We ended up identifying and documenting the recordkeeping requirements and disposition classes for

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the three functions established in the creation of the Business Classification Scheme.

This process was also able to show us that the steps of DIRKS are incrementally arranged. Recordkeeping requirements and disposition periods seemed to almost fall out of the activities and transactions we had identified in step B.

Step C was the most challenging part of the DIRKS process. Halfway through step C our NAA project officer left to take up another position.

It is worth noting that at the outset the agency and NAA appeared to have different priorities. For the agency, the project officer was going to help develop a series of recordkeeping tools. I think

document produced was in line with the NAA perspective.

The changing feedback from NAA frustrated agency managers. They could not understand why their decisions regarding recordkeeping requirements and disposition periods were being questioned or complicated in order to fit in with NAA requirements.

The lesson I learnt from this challenge was the need for clear and carefully documented communication between all parties during the DIRKS process.

### **What Did We Get Out Of The DIRKS Process?**

- A clear inventory and understanding of the functions, activities and transactions of the agency, and how they produce records.
- A significantly improved understanding of organisational business functions/ processes on the part of management and a greatly improved appreciation of the role of recordkeeping.
- A functionally based Business Classification Scheme, and a Disposition Schedule that can be used for a range of information management tools.
- An understanding of who our stakeholders are and how they affect our record creating requirements.
- An understanding of the risks associated with not creating full and accurate records for each activity.
- A capacity to title records according to what function and activity they support, and a capacity to use this titling as a records management tool.
- A better appreciation of, and increased skills in, business systems analysis.
- A functions-based Disposal Authority for agency-specific functions.

### **What Could We Have Done Differently?**

- Clearly document and explain to NAA why we were conducting this exercise.
- Ensure that NAA documented and explained what their priorities and perspectives were, and what support

### **'CARA officers need to spend time in organisations where records and archives are not the core business'**

the NAA wanted the project officer to ensure that we conformed to a National Archives perspective in relation to any of the tools we produced.

This, I surmise, was because NAA were required, by the legislation they administered, to ensure that any disposition schedule that resulted from the DIRKS process met particular requirements.

Despite these different priorities we had worked constructively with our project officer, who had come to understand the agency's work culture and the particular relationship the records section had with the rest of the agency. Our project officer had acted as a facilitator in a way that meant that the BCS was a reflection of both the agency's and NAA's priorities.

The replacement project officer, while being very helpful with regard to practical issues such as helping us reformat some of the DIRKS tables, appeared to be more interested in ensuring that any



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- they could provide.
- Attempt to more clearly understand the NAA perspective, and attempt to harmonise NAA and our own priorities.
  - Make a more realistic assessment as to the time and resources involved in this task.

DIRKS, steps A, B and C had taken 18 months to complete. It had delivered us the tools to implement a comprehensive records management program. It was a worthwhile exercise.

### Constructive Suggestions

In the light of my experience, I want to make a few suggestions to managers in central archives and records agencies (CARAs). But I need to precede my comments by saying that the National Archives of Australia has embarked on an innovative and exciting direction with their work developing and implementing the DIRKS methodology. I hope that they will consider any suggestions made as being supportive and constructive.

Central archives and records agencies are in a unique position in most public sectors. They are the only agencies whose core business is archives and records management.

In contrast, the position of records management sections in most organisations is, for a whole range of reasons, quite peripheral.

In order to initiate and implement projects, such as DIRKS, records managers and workers have to work very hard at winning support from management, who, quite correctly, do not regard recordkeeping as part of their core business.

**Central archives and records agency officers need to spend time in organisations where records and archives are not the core business, to really understand the challenges records managers and workers face.**

**Central archives and records agencies need to realise that public sector agencies, particularly the smaller agencies, are acting with increasing autonomy in relation to their day-to-day management.**

**This means that broad, cross-government programs, such as DIRKS, need to be implemented in a flexible, facilitative manner, that allows client agencies to develop a sense of ownership about the outcomes of the program.**

If the client agencies feel that the outcomes do not reflect their needs, and have been arrived at in order to meet the requirements of CARAs, DIRKS will only act to reinforce the peripheral nature of records management in many public sector agencies. Further, and more importantly, the many agencies will not feel committed to meeting their recordkeeping requirements.

### THE AUTHOR



Stephen Macintosh, ARMA is a professional recordkeeper who has designed and implemented a range of recordkeeping and information management tools and systems for Australian state, federal and international government organisations. He is currently editor of the RMAA's NSW Branch newsletter.

Stephen wishes to thank Rick Barry for providing editorial assistance during the writing of this article.

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## Tales From The Top End I

**EDMS: LOG IT, OR LOSE IT!**

By Anastasia Govan

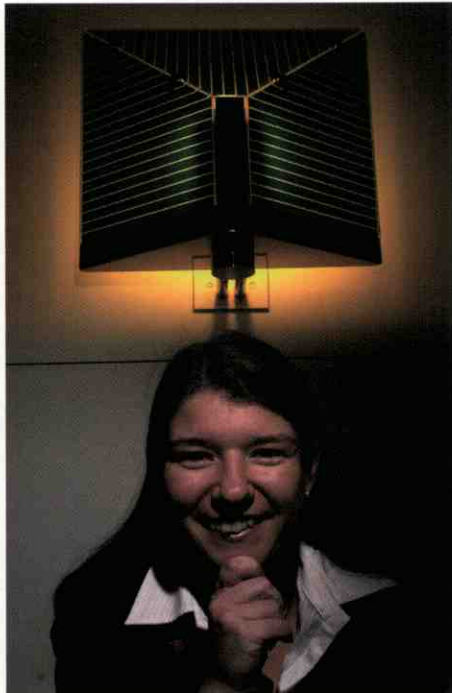
The legislation was passed so you have your big compliance stick. The staff are aware of their recordkeeping responsibilities thanks to your outstanding awareness campaign, but now they're voicing concerns about time consuming printing and filing tasks. Time to investigate the Electronic Document Management System (EDMS) zone. This article, the first in a series on the Northern Territory's PowerWater Corporation's journey down the EDMS road, is designed help others make the same journey at their work sites.

**Background**

PowerWater Corporation (PWC) provides electricity generation, power transmission and distribution networks, water and sewerage services, rural and remote services, and retail services across the Northern Territory from 15 physical locations. This makes PWC one of the largest and most established businesses in the Northern Territory with assets in excess of \$1.2 billion and 680 employees.

Once the Northern Territory's Information Act was enacted in July 2003, PWC, along several other government agencies, identified compliance shortfalls and set about rectifying the gaps. The agency was ahead of some because it had appointed an Information Manager in 2000 who conducted Information Audits through some of the diverse lines of business. These audits identified information flows, types and issues.

Due to the diversity of staff, services and locations, compliance became a bigger job than one Information Manager could handle. In March 2003 - after considerable lobbying by the Information Manager and General Counsel - the Information Management Committee (IMC) endorsed a three-stage Information Governance Compliance Program.



**Anastasia Govan, who sheds light on PWC's EDMS implementation**

After the business case was submitted, the Committee also endorsed the appointment of a Project Manager, Records Manager and Project Officer so the Information Manager could continue to focus on operational tasks.

The project consisted of the following three phases;

1. Minimal compliance with the Information Act (NT) 2002 compliance, (completed July, 2003).
2. Good record keeping including registry insourcing and clear desk policy, (completed 30 June, 2004).
3. Select and implement an Electronic Document Management System (EDMS) for best practice record keeping, (due for completion in December 2005).

**The Steps**

Implementing an EDMS requires a project management framework with the following steps;

1. Identify your business requirements
2. Senior management support
3. Scan the market
4. Implement your framework

5. Select and Procure
6. Design
7. Implementation pilot (rollout and training)
8. Review
9. Full implementation (rollout and training)
10. External audit

At the time of writing, PWC are moving from step 5 to step 6.

**Tips for the adventurous: steps 1 - 5****1. Identify Your Business Requirements**

As an Information Manager, Records Manager or Librarian you may have already identified the hot spots of poor information management within your organisation during the course of your daily job.

Information Audits can assist to further identify these hot spots. Information audits often consist of a set of standard questions forwarded to select staff in all work areas at all levels; followed up by an interview to clarify responses and map workflow processes.

Questions may cover topics such as what information is created, in what format, who is it shared with, applications used, are there any legal requirements surrounding its creation, storage and disposal, confidentiality level, where is it created, saved and disposed of, ICT usage and support issues including training needs.<sup>1</sup>

You should establish a Reference Group consisting of representatives from across the organisation which will also highlight and endorse information issues during a well facilitated round table brainstorming session.

The audit results, your knowledge of the organisation's hot spots and brainstorming results become your business requirements which need to be formulated into a business case for



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management. This can later form part of a tender, key performance indicators or Request for Information document/s.

## 2. Senior Management Support

Even though compliance is like a red rag to a bull for most Executive Committees, when it comes to Information Management it can often not be a priority. The Information Act compliance gap for PWC was repeatedly flagged as a code red issue on monthly Executive Reports. It did not get onto the agenda of Senior Management meetings such as the Information Management Committee until the resident General Counsel at PWC raised the red flag.

You will need to educate senior management that Information is manageable. So, having someone in senior

**'Once you've got the bulls running down the compliance route encourage them to fund an EDMS conference and site visits'**

management to champion your cause is essential. Continuing Senior Management support is also essential to encourage change throughout the organisation.

PWC's Information Governance Compliance team overseeing the EDMS project is fortunate to have the support of and direct access to the Managing Director and reports bi-weekly in written and physical form to the Information Management Committee.

## 3. Scan the Market

Your scanning of the market would have started way before this point, with the reading of articles and internet searches on implementations and the vendors currently visible in the media.

Contact the vendors who appear to be the big players in the market. Many will be willing to visit your organisation to demonstrate their product against your business needs, put you in touch with similar organisations that have implemented their software and accompany you on site visits.

Once you've got the bulls running down the compliance route - particularly your legal, financial and any other Corporate Governance senior managers - encourage them to fund an EDMS conference and site visits to places which have implemented the software that may fit your business needs.

Be sure to exchange business cards and take detailed notes on these occasions - you'll see these contacts as angels during your own rollout, and it could substantially reduce your consultancy costs. An initial \$5000 investment in making contacts and viewing installations could result in substantial savings further down the EDMS road.

## 4. Set Your Governance Framework

Any project cannot run smoothly without

a consistent recordkeeping framework, endorsement of business rules from a cross section of the organisation, a continually updated project schedule, and cashflow spreadsheets.

A recordkeeping framework is essential for good governance of your project. Ensure your physical and electronic information is organised into the stages of the project and reflects the different activities in the project's life cycle.

The project schedule main headings should be the same as your electronic - ie. file server folder names until your EDMS is up and running!! - and physical information stores, ie. registry files.

The hierarchy of governance during the project should also be established. For PWC the two project staff report to the Project Manager, who reports to the Chief Information Officer.

The role of the Information Governance Compliance Project Team is to identify possible solutions and implement them on time and on budget. The Project

Team's activities are guided by the Reference Group which at PWC is made up of twenty staff representing all units of the organisation including Information Management, Records Management and the Project Team.

The Reference Group makes recommendations to the Information Management Committee (IMC) on business rules, the look and feel of the solution on the desktop, training materials and format, etc.

IMC endorses Reference Group recommendations. Any funding and expenditure requirements are approved by the Business Review Committee after endorsement from the Information Management Committee.

The checks and balances of this governance model have worked well so far at PWC, with one exception - the Reference Group proved to be too large for effective decision making. This was rectified by breaking the group into several sub groups to consider pilot processes and business rules.

Decisions were brought back to the large Reference Group for ratification before proceeding to the IMC for approval. Well documented approvals and the reasoning behind decisions will be invaluable when in 12 months time staff say, "Why are we doing this in this way? I'm not changing!"

Other governance issues include the project management framework. You will need several documents such as a project schedule, change management strategy, minute and agenda templates, risk register, budget and cashflow statements and a marketing strategy - including a logo and/or catchphrase.

## 5. Select and Procure

There are several EDMS available in the Australian market. Ways to efficiently select and procure include the following.

If in a Federal or state government agency contact your procurement and

Log It, or Lose It,

Continued from page 21

or IT department to determine whether a government single or panel contract exists for the purchase of licenses, hardware (ie servers and scanners) and implementation help (ie a development partner) for an EDMS.

After researching, site visits, Information Audits and reference group brainstorming, develop a Request for Information document as a precursor to a tender and submit it to the leading vendors to respond in writing.

Invite vendors to demonstrate at your site how their product will fit your business needs, and then have your reference group rank them.

After narrowing down the field, invite selected vendors to tender. This may need to first be approved by your organisation or government procurement body.

#### 4. Design

Design includes more than what the end user will see on the desktop and how best to convey the training message. Many Information and Records Managers do not have knowledge of IT software and hardware architecture, so you will need to enlist help to map out a server architecture, archiving mechanism and software configuration.

To meet these needs approach your IT Manager or Chief Information Officer who can point you to staff within or contracted to your organisation who administer databases such as Oracle and manage your server environment.

Your preferred vendor will need to meet with your IT specialists to ensure that decisions like how many servers and where to place them to optimise performance across a WAN are made with all the information available simultaneously.

In terms of software configuration your development partner now becomes crucial. The development partner could be the vendor you purchased the software from or a combination of several vendors, depending on your solution. The development partner may be referred to you by the vendor or you've found staff during your site visits who have nipped it all out.

Development partners can build interfaces, migrate data, have their own contacts to resolve technical issues and have experienced what works and what does not for installations of the same software in similar organisations or distributed environments to yours.

#### Summary of PWC progress

So far, PWC has purchased 80 concurrent Tower TRIM licenses, has put development partner and server contracts to the relevant Northern Territory Government panel contracts, and has the Reference Group with the project team defining business rules - such as when should I check an email into the EDMS??

Four pilot processes have been put in place to replace current workflows and IT applications - correspondence tracking, NOR switching, complaints and policy and procedure framework.

PWC envisaged that interfaces to Microsoft Word and Excel, Lotus Notes email, high speed scanning, an intranet driven search facility and the four pilot processes will be ready for reference group rollout and testing in November 2004.

In my next report, I'll let you know how we fared with that rollout.

#### End Notes

1. See Corral S, (2000), *Strategic Management of Information Services: A Planning Handbook*, AsLib, London; or, Orna E, (1999), *Practical Information Policies*, Gower, Hamps.

#### THE AUTHOR

Anastasia Govan has a Bachelor of Arts (Information Management/ Librarianship) majoring in Psychology, a Graduate Diploma of Management and is currently undertaking Masters level studies in Information Technology.

She is: an active member of the Australian Library and Information Association Top End's Mentoring Group, National Chairperson of the Australian Computer Society Young IT Committee, information related professionals representative to the Council of Professions 'Young Professionals Australia Round Table 2003/2004' and Principal Consultant of Inforg.

When Anastasia is not managing the Information Governance Compliance Project for PowerWater Corporation she enjoys reading, travel, history and running with the Hash House Harriers. She can be contacted at [anastasia.govan@powerwater.com.au](mailto:anastasia.govan@powerwater.com.au).

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## Tales From The Top End 2

# SCRABBLE ANYONE? How to Create a Corporate Thesaurus and Retention & Disposal Schedules in 15 Months

By Lynnette Kickett, ARMA

**In March 2003, as a member of PowerWater Corporation's Information Governance Team, Lyn Kickett commenced her journey on a preliminary stage of the project overviewed in the previous article by project manager Anastasia Govan. Lyn's role was to review and update the functional thesaurus and develop the retention and disposal schedules. She had committed to fulfilling her task in 15 months. Any longer and she would hold up implementation of the Corporation's EDMS. She was determined to deliver on time. To do that, she found herself creating a novel word game.**

## Stage One - Research

For the first month I researched, reading everything I could possibly put my hands on about water supply, wastewater, power generation, transmission and distribution, tapping into resources already available.

I identified the need to extract and evaluate corporate knowledge without having to recreate the wheel in three years time – as, under legislative requirements, retention and disposal schedule need to be reviewed every three years. So, if I achieved maximum results the first time, the process for the next round would be easier.

My research covered, but was not limited to:

- Organisation Chart
- Information Audits
- Business Systems
- LAN Server
- The Internet for similar Utilities
- Intranet for the functions of the business units
- Annual Report
- Relevant Legislation (approximately 35 pieces)
- Thesaurus Terms with scope notes
- Titles of records already created in and over a 30-year period.

With Stage One completed I still had 14 months to go. But although I had previously completed similar tasks with other agencies, I knew the biggest challenge I faced was to complete this project within the specified time. I needed to get in and stay in fifth gear if I was going to be successful.

From the research, I had gained a broad knowledge of the Corporation's functions, and with this information I began to develop a strategic plan, with a timeline covering consultation/negotiation time involving internal and external stakeholders, process time, development time, and review time.

**'What goes around comes around tenfold if you don't proceed in great detail'**

## Stage Two – Consultation & Negotiation

The challenge for the second stage began with the Business Units, and this is where my journey really began. For the next three months I had regular weekly meetings with the Northern Territory Archive Service (NTAS), PWC general managers, and recordkeepers. I introduced myself, and included several magic phrases for the marketing theme of records management that included how, when and why I needed cooperation to meet the project deadlines.

Next, I met with people within business units whom I had identified as playing an important role in the project. My only self-doubt was, how could I maintain recordkeepers' interest on a daily basis? Records management is not the hottest subject on the conservation list, is not acknowledged as a corporate asset, and to some extent isn't identified as a primary function.

I became very persistent, and with the assistance of my colleagues through RM compliance workshops raised the awareness across the Corporation to the stage my quote became, "Hello,

I'm back again; just need clarification".

It did not take long for my colleagues to realise that I am a detail person, and although I allowed some flexibility I was not prepared to compromise the detailed information I felt was required for the professional outcome I expected.

One of the most difficult things for recordkeepers to accept was 'there is no quick fix solution'. Another of my quotes became, "There are no short cuts in this business – for what goes around comes around tenfold if you don't proceed with great detail."

## Stage Three – Thesaurus Development. Let's Play Scrabble!

As we progressed to workshops, my strategy during this period was, "Let's play Scrabble, people. We are going to have a game with words."

This caused mixed reactions from participants, so I began each workshop by explaining that we weren't actually going to play Scrabble, but we would play a word game of sorts which would assist us in determining our outcomes. After I explained that we needed to do this in partnership to produce a valuable, useable RM document, participants became more responsive, positive and enthusiastic.

Our first task within the working groups was to develop thesaurus terms with scope notes that identified true and accurate business functions and activities. This document also became the foundation tool for the development of the retention and disposal schedules. The desired end result was a workable tool for current and future recordkeepers, researchers and archivists.



## Scrabble Anyone?

Continued from page 23

I have found the following word game one of the most effective tools for the development of a thesaurus. It keeps all stakeholders focused on the outcome, and allows recordkeepers at all levels to participate, have ownership, be involved and enjoy the process of development of thesaurus terms which suit the business needs.

By writing on a board, 'A (keyword) is the function of...', a whole new world opened its doors. I then added the description that was stated on the Web page describing the business and Keyword scope notes.

Enlightening comments came from participants: "We don't do that." "That's out of date." "I didn't know that."

As we created appropriate definitions I encouraged all participants to express their views, always asking direct questions such as, "Do you do this particular function or activity?" It was truly amazing what this wonderful word game developed.

I used the same set of question in all workshops, and from my experience it was just magic to watch words unfold from recordkeepers who have this enormous amount of corporate knowledge to share. The more we played the game, the more recordkeepers wanted to be part of the process. I was achieving maximum results by using a novel participatory tool.

Results were always the same.

- What do you do? Result - Produces Business Statement
- How do you do it? Result - Produces Business Activities
- Where do you do it? Result - Business Systems Large and Small
- Why do you do it? Result - accountability, legislative requirements, standards, compliance.

### Stage Four – Development & Review

The project progressed in a continuing cycle across all business units and stakeholders. The process covered:

- Develop and agree on Thesaurus terms with all stakeholders
- Research to confirm information

- Commence development of Retention Schedules as a tool
- Consult with stakeholders
- Review schedule
- Modify schedule as agreed
- Consult and meet - again, again and again if required
- Develop Authorisation Class reports for each record class
- Develop Change to Thesaurus Log
- Approval of schedules by the NTAS

During this time several versions of the Thesaurus, Retention Schedules and Class Report were circulating with various stakeholders for review, checking, advice and opinions.

I found you should allow for an extra two to three weeks for reflection after each stage of the project. This provides time to analyse and evaluate the results. Everyone needs time to reflect, including the project officer.

### "I'm losing it!"

Although I remained very positive in achieving my goals, there were moments when not all things went exactly as I had planned. And how dare it actually change my mode of thinking!

The target dates for the project at times seemed unrealistic. Throughout the project my manager would occasionally pass my desk and so kindly remind me it must be finished by the end of June, 2004.

On any given Friday my favourite quotes during this project were, "I'm sure I'm losing it!" Or, "I have to get a life!" Or, "What have I committed to?" Or "I have to stay focused". Isn't it funny how we continually repeat ourselves?

By March, 2004, I had 12 schedules in draft form, and these schedules were now in the hands of the stakeholders for decisions. The remaining two schedules were waiting for me on return from annual leave at the end of April.

### Stage Five – Classifying, Indexing, Application

After review from the stakeholders I was now on my 3rd and 4th version of the

schedules. By the end of May all schedules were forwarded to the NTAS for approval. On receipt of approved schedules two outstanding tasks remained.

- 1) Final classifying and indexing within the electronic records management systems
- 2) Retention Schedules imported into electronic record management system.

### Stage Six - Completion

What a relief! I had delivered my project on time from start to completion.

My personal thanks go to the management and staff of Power and Water Corporation for their knowledge, time, and expertise. Also to Jim Bamber, Chief Information Officer, who monitored and ensured the project was on track, Anastasia Govan, Manager Information Governance - our Project Manager - who kindly bought me back to reality on several occasions.

As for my role in PWC's subsequent EDMS project, now well under way - that is another story!

### THE AUTHOR



Lynette Kickett, ARMA has been involved in the records management industry across all tiers of government - commonwealth, state/territory, and local government - for some 30 years. She is an active member of the RMAA both at the branch council level and as the NT National Board Director.

This paper was written by Lyn in response to several long discussions with colleagues who suggested that members within the RM industry may benefit from her experience. For more information about issues covered in this article, contact Lyn at [lyn.kickett@powerwater.com.au](mailto:lyn.kickett@powerwater.com.au)



# WHERE INFORMATION & TECHNOLOGY MEET: New Zealand's New Digital Strategy Reviewed

By Amanda F Cossham

**As reported in August's IQ, in June, New Zealand's Associate Information Technology Minister David Cunliffe made the draft NZ Digital Strategy available for consultation, touting it as his government's 'vision for New Zealand to become a world-leader at using information and technology.'<sup>1</sup> In this review of the Strategy from the perspective of the library, records and archives sectors, Wellington correspondent Amanda Cossham finds both problems and reasons for optimism.**

Critical submissions from professional associations, organisations and individuals have been made to the authors of the NZ Digital Strategy since its release. I agree with many of them. There are huge gaps in the strategy and it isn't particularly well put together.

On the other hand, I'm very enthusiastic about the existence of the strategy in itself. For too many years, the concerns of information management professionals have been overlooked, ignored, sidelined, and disregarded, while the 'toys for the boys' approach to ICT (information and communications technology) has pushed the technology at the expense of content. Despite the Digital Strategy's shortcomings, it is most welcome.

The key areas of emphasis include improving access to New Zealand content such as national heritage collections and government information; developing the digital confidence and capability of all New Zealanders and ensuring the ICT environment is trusted, secure and reliable.

It talks about supporting grassroots developments to build the ICT capability of communities; increasing the potential of ICT to create value for businesses in all sectors; and using ICT to improve the delivery of government services to citizens, particularly in health and education.<sup>2</sup>

## Phase I - Developing the Strategy

The Strategy grew out of a desire by government to present one coherent and coordinated information and communications technology strategy, rather than the wide and diverse range that currently exists. A Knowledge Wave conference, held February 2003, and the Growth and Innovation Framework, which already had government funding, were also important drivers.

Late in 2003, a steering committee was formed lead by the Ministry of Economic Development (MED) with members

**'The advantages of such a short timeframe seem to have been enthusiasm and momentum'**

drawn from a range of government agencies and Local Government New Zealand, an organisation representing the country's 86 local councils. These members were either key agencies for ICT or were selected to represent a particular sector.

The National Library of New Zealand has represented the library, archives, cultural heritage and museum sectors for much of this time. The Ministry for Culture and Heritage joined the steering group recently<sup>3</sup> to provide a voice specifically for the sector.

The National Library made considerable effort to provide appropriate representation for sectors with which it was generally less familiar and consulted regularly with Archives New Zealand, the Ministry for Culture and Heritage, the Museum of New Zealand Te Papa Tongarewa and Creative New Zealand, which were thus enabled to contribute substantially to the drafting of the Digital Strategy.

National Library's position on this was to some extent informed by the Library and Information Association of New Zealand Aotearoa (LIANZA) national information strategy, published in 2002<sup>4</sup>, and by

its involvement in the Government's "Connecting Communities Strategy" e-Government strategy and education sector strategies. Other organisations, including Archives New Zealand, had input into the actual writing of the Strategy.

The Digital Strategy presents three interrelated "areas for action":

1. Content – information made available via digital networks.
2. Confidence and Capability – the necessary skills to use ICT effectively.
3. Connection – affordable access to ICT infrastructure such as telecommunications networks, computers and mobile phones.<sup>5</sup>

It is largely due to the efforts of the National Library that 'Content' is included. Initially the strategy focused simply on wiring New Zealand widely and securely, failing to recognise that there is no point in having a wired country without there being something significant at the end of the wire!

Selling the idea of the importance of content to the Steering Committee was challenging, given that the initial impetus for the draft Strategy was largely ICT driven, the intention being to co-ordinate various ICT strategies, address the digital divide, etc.

The published vision of the strategy states: 'New Zealand will become a world leader at using information *and* technology to realise our economic, social and cultural goals.'<sup>6</sup> (emphasis added). That 'and' is important. The strategy focuses not just on IT, but also on information on the one hand, and technology on the other.

The issues important to the information industries are frequently overlooked in

governmental ICT programmes, but that has not happened in this case. National Library and agencies like the State Services Commission's e-govt Unit and the Department of Labour helped focus on the end users and their requirements.

### **Phase 2 - Consultation**

Each Steering Committee member sought feedback from his/her sector. For each, the process differed according to the way in which stakeholders preferred to be consulted. A number of organisations acted as co-ordinators for their wider sectors.

## **'No major surprises, no world shattering ideas, nothing particularly new'**

Due to the short, two-month response period, there was a heavy use of electronic media to promote the Strategy and gather responses. The Strategy was printed in an extremely limited run, but PDF and HTML versions were made available from the MED website and a wide range of other organisations' sites. Three main documents were made available: the complete strategy, a summary version, and a feedback form.

The MED sought submissions directly from interested parties through its website and through ICT industry consultation. Community consultations were held throughout the country during July and early August by the Community Employment Group of the Department of Labour.<sup>7</sup> The Ministry of Education's ICT Unit of the Tertiary, Curriculum, Teaching and Learning Division sought feedback from the education sector.<sup>8</sup>

A large number of organisations made initial information about the Strategy available on their websites. However, it is not known at this stage whether they followed through and made submissions as well. It was expected that MED would make a summary of the collated submissions available on its website at the end of October, 2004.

Most commentators were very positive about the strategy, or at least about the fact of consultation, when providing the initial information. Telecom, for example, openly welcomed draft strategy.<sup>9</sup> Some Members of Parliament held meetings,<sup>10</sup> while many smaller organisations encouraged their members to participate in the process.<sup>11</sup>

The disadvantage of providing such information predominantly via electronic media is that those who do not already have good electronic access are likely to miss the opportunity of providing feedback. The meetings held become important in generating feedback from different groups although in many cases the meetings were only advertised electronically.

The advantages of such a short timeframe for consultation seem to have been enthusiasm and momentum. The original timeline put October as the month for a final version of the Strategy from MED but, given the larger than expected number of submissions to be collated and analysed, it is anticipated that the Strategy will now be finalised around March 2005.

### **Archives' and Libraries' Consultations**

As one of the major stakeholders represented by the National Library, Archives New Zealand was responsible for coordinating comment relating to archives and recordkeeping matters.<sup>12</sup> Archives New Zealand initially put information about the strategy on its website, and held meetings with its two existing advisory groups, archives users, and Māori.

National Library held a pre-release briefing for a range of Wellington-based library stakeholders the week of the draft's release to help communicate the importance it attached to the project. Each of those attending (the author was fortunate enough to be one of them) went away with considerable enthusiasm for the potential offered by the Strategy.



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General information about the Strategy was posted to listservs in the week following its release: nzrecords (records management and archives), nz-libs (librarians), pubsig (public librarians), and law-lib (law librarians). Later on, specific requests for feedback were posted on these and other listservs (such as slis - special librarians).

Information was also posted to websites, with organisations providing a version of the initial press release, and either links directly to the MED website or copies of the three documents.<sup>13</sup>

LIANZA (Library and Information Association of Aotearoa New Zealand) held a number of well-attended meetings throughout the country with the assistance of National Library policy staff. RMAA ran a two-hour workshop in Wellington in July, and the ARANZ Council sought members' views on the Strategy through an online survey on "the merits of this strategy".

Other industry groups drafted feedback to the Strategy and then sought endorsement from their members (for example, Public Library SIG of LIANZA, and the Law Librarians Group).

### Reaction to the Strategy

The consultation period finished on 16 August 2004. Around 200 submissions were received directly by the MED while the National Library received 22. The National Library is currently in the process of analysing these and preparing a sector report for the Steering Committee. The report will be posted on to the National Library website along with copies of the original submissions.

Archives New Zealand did not receive many submissions directly, with archives groups going directly to the MED with their submissions.<sup>14</sup> They also made their own submission, via National Library.

Most information industry groups agreed with the overall vision of the Strategy. The

significant points to note concerned the sorts of information which should be made available digitally and covered commercial, intellectual property rights, funding, content creation, privacy, format, relevance, e-literacy, and accessibility issues.

Others included the need for appropriate ICT skills and professional development, the importance of context, rights management and copyright, technical and skill support as well as equipment and broadband. The development of a national content strategy was also endorsed. The People's Network in Great Britain was seen as a good model to use.<sup>15</sup>

LIANZA emphasised that 'Collaboration' should join the other three C's: "Collaboration is a crucial factor in tying the other three C's together. There needs to be collaboration between all sectors, institutions, organisations and groups for this Strategy to work."<sup>16</sup>

The Association also suggested that, "The Education and Research Sector was a key sector for 'realising the benefits' of the Digital Strategy", and should be listed along with the existing Government, Community, and Business sectors.<sup>17</sup>

ARANZ Council and members '...all whole heartedly support the vision and direction of the Digital Strategy. Some concerns, however, have been raised around the ability to realise the vision through the identified action points, and appropriate participation', the Association submitted.<sup>18</sup> It noted that 'enhancing information content to be digitised and ensuring the right people are developing the required skills should support the ICT vision.'<sup>19</sup>

The NZ Branch of the RMAA supported the 'benefits of digitisation' but emphasised that digitisation was not an end in itself but one means of delivering information.

There was some lack of clarity and focus in the Strategy, RMAA thought, stemming from its inherent assumption that

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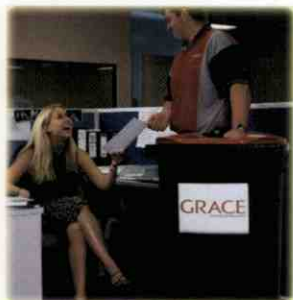


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information should always be digitised. A more useful strategy would be to consider what channels suited what information, what information could be most usefully digitised, and what information was better left in non-digital form<sup>20</sup>.

The RMAA also noted that, "This statement omits the cultural dimension referred to in the main vision statement, and speaks only of social and economic aspects ... does not address the challenge of the recordkeeping aspects of digitisation ... does not address the challenge of affordability ... focuses more on data quantity than quality". And it did not take the end user sufficiently into consideration.<sup>21</sup> Points emphasised by other groups too.

RMAA highlighted the recordkeeping implications of the strategy, and the need for the recordkeeping groups and organisations to address this issue with Archives New Zealand as the lead agency.<sup>22</sup>

Te Rōpū Whakahau, Māori in Library and Information Management, generally agreed with the vision, but 'believes the process employed to gain feedback was problematic and may not have solicited quality comments from Maori due to at least, the short time frame and the delivery of the whole document and almost all the consultancy rounds, in English only.'<sup>23</sup>

The Library & Information Commission (LIAC) saw the lack of 'mātauranga Māori' (Māori knowledge) mention in the Strategy as a missed opportunity. LIAC and some other submitters felt 'mātauranga Māori' offered a unique dimension which could have distinguished the New Zealand strategy from others of its ilk in the rest of the world.<sup>24</sup>

National Library seems to be the only participating co-ordinator which has made submissions directly available to the public so far. By September 2004 there were seven submissions available on the website, with others to be published there.<sup>25 26</sup>

## Conclusion

Some of the draft NZ Digital Strategy is 'what we all know should be happening'. There are no major surprises, no world shattering ideas, nothing particularly new.

The difference between this strategy and previous governmental ICT strategies and projects is the focus on information, building user confidence, and on content in the sense that we are familiar with it. Technology is still heavily promoted, but not at the expense of information.

Along with the ICT sector and others, librarians, archivists and records managers have been consulted and their views taken into account. There has been acknowledgment that the information industries' perspective is a valid, integral part of the wider one. A slightly dramatic way of putting it, but a contrast to so much else in the NZ Government's policy environment.

The Strategy is noteworthy for several reasons:

- It is an all-government project which will affect an enormously wide number of individuals across government, local government, community and business sectors.
- It was put together by a multi-department Steering Committee with very tight timeframes – meaning it has both a broad perspective and some lack of clarity about its writing which hinders understanding in places.
- The steering Committee included direct information industries representation (National Library).
- Issues important to librarians, records managers, archivists and museum specialists were incorporated into this Strategy - in particular, the importance of content and context.
- Issues important to the culture sector and creative industries were also taken account of.
- There has been widespread consultation in many sectors, albeit over a very short timeframe.
- There is funding for some elements of the



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strategy through the NZ Government's Growth and Innovation Framework (GIF).

The Strategy is not perfect; there are flaws. It certainly leaves a lot to be desired, and the information industry submissions make it very clear what is missing. Overall, however, the direction is endorsed generally by most NZ information industry organisations and it is a major step forward in the development of a national digital policy for all sectors.

The revised Strategy will be available early in 2005, after which Phase Three, implementation, will follow.



## THE AUTHOR

Wellington-based Amanda Cossham has 17-plus years' experience as a librarian and library educator. For a number of years she ran the current awareness service for MPs in the New Zealand Parliamentary Library.

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# WHEN IS A FILE NOT A FILE?

By Duncan Holt

**When you implement an electronic document and record management system (EDRMS), says Duncan Holt, who has recently done just that, many old concepts need to be cast from your mind. Failure to do this, he says, will simply result in an electronic representation of your traditional paper based model. While you could then claim to have an EDRMS up and running, Duncan says you will have missed many of the benefits it can deliver.**

In the paper based world of records the most common relationship for containment of records is a document, in a file, in an archive box. To achieve a change in paradigms this thinking needs to be largely abandoned.

In the electronic world it's no longer a document, it's truly a record. It could be a voice recording, digital photo or some other record which has never, and may never be produced on any physical display medium. There is no file or archive box in a physical sense, it's purely a concept.

An electronic record only needs to be contained in a logical structure for a couple of main reasons. Firstly the ability to find it again, being classification. Secondly the ability to archive and potentially purge it, being retention. These two needs often do not align. So what's the solution?

One solution would be to manage retention like a paper based system, record by record while containing records in navigable structure. Another would be to sacrifice navigation. Yet another would be to maintain a complex web of records being contained and alternatively contained in various structures. These solutions don't really raise the EDRMS above a paper system for benefits of operation.

There is of course another option - contain your records using a classification

structure linked directly to your retention schedules and find alternate navigation methods.

Computers are very good at repetitive tasks like indexing, they can do this all day and night without complaint. Having well-indexed records allows the request and return of results very quickly. So why not use this?

If your paper system had files containing records spanning different functions, then archiving by function was incredibly labour intensive. When moving to an EDRMS you should look at dropping those files spanning multiple functions and add some keyed metadata which is common to all the formerly contained records. In the case of local government it was quite the norm to have a property file.

A property file is one file per address, where all records relating to that property were kept. The records were across many different functions and retention categories, for example development applications which are effectively permanent retention, mixed with other details like dog complaints which need to be kept for 6 years. Unscrambling this omelet requires having an archivist read and sentence every document, which is exceptionally labour intensive.

The solution is to contain records in functionally based containers in an EDRMS, then add a piece of keyed metadata, being a property identifier, to each record as its saved in the EDRMS.

This allows a simple search by the property number creating an instant virtual property file regardless of the container the records are contained within. The search can be performed within the EDRMS or another software application 'plugged' in the EDRMS via a software development kit.

Abandon the paradigm of thinking where records must be contained in the way a customer wants to see them. With an EDRMS you can deliver the results in many

ways. This includes the way customers want it today, and tomorrow too, all without having to change your containing structures.

## THE AUTHOR



Duncan Holt has been Manager Information Systems with South Australia's City of Charles Sturt for the past three years, after previously working in IT service and distribution and manufacturing. He is a corporate member of the RMAA and holds a Masters in Business Administration, (MBA).

His last article for *IQ*, in the August 2004 issue, dealt with the matter of integration when implementing a new EDRMS system, based on his recent experience with City of Charles Sturt.



# OPEN SOURCE EDRMS: A PIPE DREAM?

By Shadrack Katuu

**In this article, South African correspondent Shadrack Katuu ponders the possibilities of 'Open source' EDRMS for Third World countries.**

Some weeks ago, the President of South Africa, Thabo Mbeki, warned the UN Security Council<sup>1</sup> that the developed world is not doing enough to assist developing countries facing the "hurricanes of poverty", an allusion to the terrible atmospheric hurricanes that have been battering the Caribbean and Central Americas.

I was listening to the news bulletin while I was busy chatting online with an IT entrepreneur friend from Hong Kong. Suddenly, in the midst of the conversation I had a brain wave. I asked him: "How about recruiting some programmers who would build an electronic records or document management system that could be open source?"

It would be a great help to support recordkeeping programmes and address the prohibitive cost of systems developed in the first world, the greatest restriction to their implementation.

After taking quite a bit of time discussing how this project could be funded, my friend and I realised the futility of my brainwave. Even if there was someone with the kind of money required to fund the basic requirements of the project, it would take a lot of volunteer work for programmers and testing experts actually to get the product off the ground.

The ill-fated 'brain storm' was spawned by my recent interest in projects claiming to develop 'freely available' software products that will assist in records management activities.

Why do we put 'freely available' in quotation marks? Well, we all know nothing technological is entirely free but even though the product might be free, it requires hardware, product

configuration and implementation as well as comprehensive user training, all of which require substantial capital investment.

## RMCAS project of IRMT

One such product is being developed by the International Records Management Trust<sup>2</sup>, an initiative backed by University College, London. The main objective of this yet to be unveiled Records Management Capacity Assessment System (RMCAS) is to provide 'an objective means of assessing the strengths and weaknesses of records management systems.'<sup>3</sup>

## 'Has someone out there actually started thinking and doing something like this?'

The project, funded by the World Bank, has no doubt been groundbreaking in envisioning 'a means not only of evaluating whether the infrastructure of laws, organisational structures, policies, procedures and facilities exist to manage records effectively, but also to provide a methodology with which to identify problems and begin to plan solutions.'

The product is still in the early stages of real-life testing and we are yet to see its full impact. However, having participated in some parts of the product building and testing process, it amazes me how revolutionary the RMCAS has been and can only imagine what the process already lasting, perhaps, more than three years, has cost so far. That said, whatever the cost, the project is certainly aimed for a noble goal and one that should certainly be supported.

## Benetech's Martus tool

Another project, one I have only recently heard about, is a product called Martus. Built by the Benetech Initiative<sup>4</sup>, a non-profit US venture in Palo Alto, California, it aims to create effective applications of technology to address unmet social needs.

Martus is described by Benetech as 'an information and documentation

management system based on client software and Internet based infrastructure'.

The idea is to allow users to 'document incidents of abuse by creating bulletins, uploading them at the earliest opportunity, and storing them on redundant servers located around the world.'<sup>5</sup>

According to the official web site, approximately US\$650,000 was required for the initial development, outreach and training campaigns. That is a lot of money by anyone's standards.

Reading through the software documentation, it would seem to me there are two major areas of concern. Firstly, its reliance on the Internet is very inappropriate for reaching the most needy of organisations. Grass-root organisations in the developing world do not necessarily have the wherewithal to seamlessly join the digital age bandwagon. Their experiences are tempered by realities of poor computer literacy skills, high costs of hardware, software and Internet access, even the challenge of regular and reliable electricity access.

Second, while the product's idea of providing electronic bulletins management facilities is good, I am convinced it would be more worthwhile to have a system that electronically manages; not just extracts information in bulletin form, but has a holistic records management-oriented regime to manage supporting information.

## Get academic help!

With this kind of information roaming through the highways and by-ways of my brain while I chatted away with my Hong Kong programmer friend, he suggested that maybe I could contact a tertiary institution to assist in building the product I was dreaming about.



### Open Source EDRMS: A Pipe Dream?

Continued from page 32

Immediately after our conversation, which had drifted into other noble but equally vague 'save the world' issues, I started searching for such a tertiary institution. I had no joy, but that got me wondering if there was already a clearinghouse out in e-sphere that, a step ahead of me, had started creating an inventory of such products.

UNESCO seems to have done exactly what I was thinking about for other products<sup>6</sup> but I could not find an electronic records or document management system.

This takes me to the original point of my meanderings. Has someone out there actually started thinking and doing something like this in the records and information management area? Talk to me at [skatuu@yahoo.com](mailto:skatuu@yahoo.com). I would like to know about it.

### THE AUTHOR

Shadrack Katuu is an Information Analyst at the South African History Archives, <http://www.wits.ac.za/saha>, at the University of Witwatersrand in Johannesburg, South Africa.

A Kenyan national, he took his degree at the Faculty of Information Sciences, Moi University in Kenya, <http://www.mu.ac.ke/finform/finform.htm>, and his graduate



education at the School of Library and Information Studies, University of British Columbia in Canada, <http://www.slais.ubc.ca>.

He has worked in among other places, the Museum of Anthropology in Vancouver, Canada; as the Corporate Archivist for Rapid Transit in Vancouver, and as a lecturer at the Department of Library and Information Studies at the University of Botswana.

His interests include 'orality', information security, and electronic records management. He is Deputy Editor and Board Member of the East and South African Regional Branch of the ICA (ESARBICA), and an Advisory Member of the InterPARES 2 Project. His virtual residence is <http://skatuu.8m.com>.

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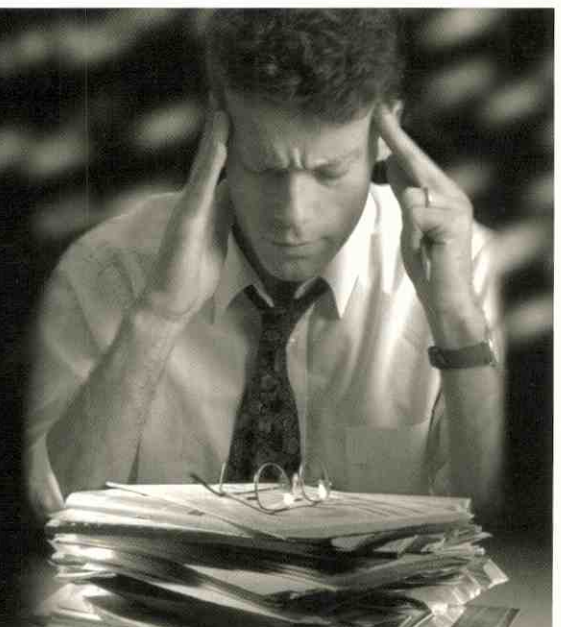
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# FEARLESS FEEDBACK

By Deborah Sullivan

**For people to improve in their work roles, they need specific and timely feedback. But feedback can be a harrowing experience for managers, even when positive, and many organisations have a serious deficit of effective feedback. This author offers a framework for the generation of effective feedback.**

In organisations that do have a strong feedback culture, individuals continuously solicit, receive and use formal and informal feedback to improve job performance. But in many other cases it is stressful for

Acceptance takes time and represents rational thinking restoring its place as the regulator of emotional energy. 'Now that I'm not so angry or shocked, I am prepared to look at this more rationally and see the validity of what has been said to me.'

Depending on the situation, a request for help may then follow, or at least some acknowledgment that the individual has accepted the feedback and is ready to move on.

Taking action is the last phase of the proactive feedback process and involves coming to conclusions about, and acting on,

prefer to see is that you wait until they have finished before putting your views across."

5. Describe possible or desired outcomes. Eg "...that way, I'm able to focus and give thought to each person's views."

Remember, to begin with these steps may take some time and effort, but eventually, being specific about behaviour and providing effective feedback becomes a natural part of management style.

Feedback needs to become an essential part of the way work is done, and coaching encourages a strong feedback culture, according to Smither and London in their 2002 research report, 'Feedback Orientation, Feedback Culture and the Longitudinal Performance Management Process', published in *Human Resource Management Review*.

## The Benefits of Coaching

Coaching provides the platform for conversations to take place on individual performance and development. This includes the ongoing role of feedback, which may focus on improving skills, performance or development.

In addition, external coaches can assist executives interpret 360 degree feedback survey results and to act on them by incorporating the feedback into specific development plans. This is then followed by a period of coaching to deliver the desired results.

As executives begin to experience the benefits of powerful coaching, they learn to coach their subordinates more effectively. As such, coaching can be promulgated throughout the organisation and in this way strengthen the organisation's feedback culture.

## THE AUTHOR

Deborah Sullivan is Co-Director of Sydney-based Creative Coaching Solutions, (02-9528-7222). A version of this article originally appeared in the November 2003 edition of *HR Monthly* under the title 'Delivering Effective Feedback.' The article appears in *IQ* with permission.

## 'Regular feedback guarantees there are no surprises'

both deliverer and receiver, and is avoided. The key for managers is constructing and delivering specific messages based on observed performance.

Feedback is an opportunity to develop and grow both professionally and personally, says Amanda Jackson, Human Resource Manager (NSW) for Carlton and United Breweries.

"Regular feedback guarantees that there are no surprises in the annual review process," says Jackson. "It helps to increase employees' self awareness throughout the year and provides a platform for ongoing development and performance enhancement."

Before looking at a simple three-step process for delivering effective feedback, it is helpful to explore the typical emotional cycle individuals go through when receiving negative feedback, no matter how well it is presented. The cycle is described as SARAH – Shock, Anger, Rejection, Acceptance and Help (seeking development).

There is always some degree of shock when we receive feedback inconsistent with our self-image. None of us is able to move immediately from shock to acceptance without first getting somewhat angry and rejecting the feedback (perhaps also the giver) in some way.

the information received. It is wise to allow a person time to process negative feedback and move through to acceptance before beginning to work on development plans and actions.

## Three Steps to Effective Feedback

Three steps for delivering effective feedback are:

1. Describe and clarify the specific situation in which the behaviour occurred. Eg, "In the team meeting earlier this week..."
2. Describe the observable behaviour (the most important and time consuming step). Use verbs to describe the actual behaviour, not a judgement about what the behaviour might mean. Describe not only what they do, but also how they do it. Eg, "You continually cut across your team members while they are speaking."
3. Describe the impact that the person's behaviour had on you – not how you think the behaviour might affect the business, team members or any other third party. Eg, "I was frustrated by this and found it hard to keep focussed on what they were saying."

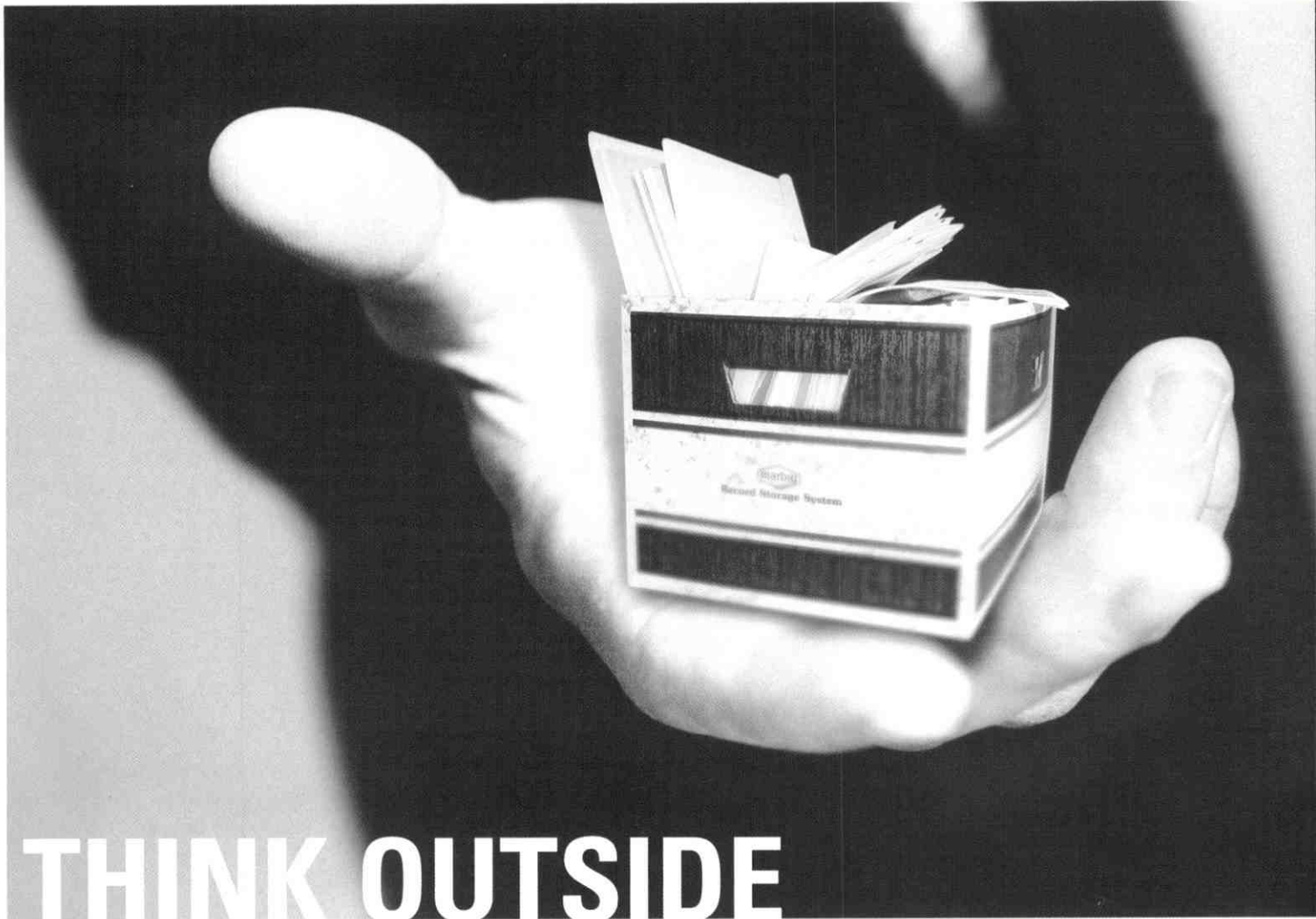
## Two More Steps Managers Can Use to Improve Performance

To use the above model for improving performance, two steps can be added:

4. Describe alternative action. Eg, "In the team meeting earlier this week, you continually cut across your team members while they were speaking. What I would



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# AWARDS

**At the RMAA's 2004 international convention in Canberra during September, the Association was delighted to present the following awards:**

## J EDDIS LINTON AWARDS 2004

Now in their fifth year, the Eddis Linton Awards continue to recognise excellence in records management and an outstanding commitment to the records management industry. This year the awards were proudly sponsored by the Queensland Branch of the RMAA.

### Outstanding Group Award - FREMANTLE PORTS



Fremantle Ports, a trading enterprise fully owned by the Western Australian Government, is the overall strategic manager of WA's principal general cargo port. In 2000, with the new WA State Records Act about to be introduced, Fremantle Ports commenced an extensive Integrated Records and Document Management System Project with the goal of supporting the organisation's strategic objectives by capturing, managing and preserving full and accurate records of its operations and intellectual property.

The project, which was implemented in stages, involved the introduction of appropriate technology along with the further development of appropriate policies, procedures and work flows. Skills development training and an awareness raising program were part of the rollout.

The electronic document management component of the project incorporated the utilisation of cross-divisional teams and a detailed assessment at the end of each phase to monitor the software's performance.

The Awards Committee felt that Fremantle Ports had demonstrated an extensive and detailed long term project incorporating a thorough approach and a high level of commitment to 'getting it right'.

Accepting the Award on behalf of Fremantle Ports was Gwen Martin, the organisation's Supervising Records Management Officer, shown left with the RMAA's National President Chris Fripp.

### Outstanding Individual Award - KEMAL HASANDEDIC



Kemal Hasandedic has 19 years experience in records management in local government and was one of 4 records management professionals in local government to foster and promote the creation of a Local Government Chapter under the Queensland Branch of the RMAA, having held executive roles on the chapter for its entire seven years of existence.

Those who nominated Kemal describe him as an individual who has promoted and supported the interests of

Queensland local government records management through active involvement in the establishment and ongoing development of the Local Government Chapter.

Kemal actively takes records management 'to the streets', campaigning 'where no man has gone before' into such difficult and tasking places as Rockhampton, Cairns and Townsville.

His passion for the promotion of Queensland's Information Standards has seen him infiltrate other organisations to initiate and stimulate interest in his ever consuming passion. In doing so, Kemal has created a growing awareness of the need for responsible records and information management, particularly in Northern Queensland.

The Award Committee felt that Kemal had demonstrated a passionate commitment to the records management industry which extended well beyond his RMAA responsibilities, to the extent that he is seen as a role model in Queensland local government by his peers.

Kemal, who was recently elected National Vice President of the RMAA, is seen here being presented with his award at the Canberra convention by the Association's National President Chris Fripp.

### Outstanding Student Award

No nominations were received in this category for 2004.





Accepting the Jim Shepherd Award from the RMAA's Chris Fripp was Geoff Moore, Tower Software's General Manager, Asia Pacific

## JIM SHEPHERD AWARD 2004

This year saw the presentation of the inaugural Jim Shepherd Award, which has been created to recognise services to the records management industry and support of the RMAA. And the winner for 2004 was...

### TOWER SOFTWARE

Tower Software have a long history of supporting the RMAA since their humble beginnings in 1985, when they also became a corporate member.

That support has included purchasing exhibition stands at every National Convention, placing advertisements in every issue of InfoRMAA Quarterly, providing major and minor sponsorship for events at both Branch and National levels, providing speakers for RMAA events, and actively raising the profile of the RMAA at their own events.

Through its products, Tower Software has championed recordkeeping practices within organisations in Australia and overseas. They have been a leader in the development of records management software, and have helped to ensure a competitive industry environment.

Tower's annual event, TUF, has provided opportunities for records and information managers to discuss and debate both

the application of the TRIM product and recordkeeping issues generally.

The Jim Shepherd Awards Committee unanimously agreed that Tower Software was a most deserving recipient of the inaugural Jim Shepherd Award.

**The RMAA extends its congratulations to this year's award winners and looks forward to receiving nominations for similarly outstanding candidates for the 2005 awards when they are called for next year – watch IQ for details.**

## OTHER RM INDUSTRY AWARDS

### Academics Win \$10,000 NAA Margaret George Awards

**Academics from Melbourne's Monash and Sydney's Macquarie Universities have won inaugural Margaret George Awards from the National Archives of Australia for their scholarly use of the archives' holdings.**

Dr Christina Twomey, a Monash history lecturer, and Dr Nicole Moore, a Macquarie lecturer in Australian Studies, each receive three months' research assistance valued at up to \$10,000 in national archives facilities in any of Australia's capital cities.



Dr Christina Twomey

The awards were announced by NAA Director-General Ross Gibbs. He said of Christina Twomey's award: "Dr Twomey's keen interest in the wartime experiences of Australian civilian internees neatly dovetails with the rich holdings on that topic in our collection.

"This award will allow her to complete her research for a book commissioned by Cambridge University Press, and provisionally titled *Australia's Forgotten Prisoners: Australian Civilians Interned by the Japanese in World War II*."



Dr Nicole Moore

"Dr Moore's award will assist her in researching and writing a planned monograph about what was considered obscene in 20th century Australia and why it was found to be so," said Ross Gibbs.



Margaret George Awards,  
Continued from page 37

"Australian literary censorship has been a history of institutional decision-making and regulative regimes, federal surveillance, stolen libraries and police raids, famous court cases, libel and defamation, prison terms," said Dr Moore when accepting her Margaret George Award.

Margaret George, after whom the award is named, was a young Australian historian whose book *Australia and the Indonesian Revolution* was the first detailed account of Australia's approach to 1945-49 Dutch Indonesian relations. It was published by Melbourne University Press in 1980, six years after George's premature death.

## RAT Wins Buch Award



Gwen Buch of the WA Department of Conservation and Land Management (CALM) has won in the Information Services category of the inaugural Early Career Awards hosted by Western Australia's Edith

**Cowan University. Her award was for, among other things, developing an online Recordkeeping Awareness Training (RAT) package.**

The Early Achiever Awards were launched this year to recognise professionals who have achieved excellence within the first five years after university graduation.

The fields covered by the awards are Information Services, Computer Science, Advertising, Nursing, Policing, Public Relations, and Teaching. Judging for the Information Services Award is conducted by the Records Management Association of Australasia, the Australian Library and Information Association, and the Australian Society of Archivists.

Winner of the 2004 award for Information Services was Gwen Buch, (pictured), who studied part time at Curtin University while raising two small children.

The judges said that Buch had been a consistently high achiever at Curtin, seven times earning a place on the Vice-Chancellor's list of the top 1 per cent of undergraduate students, and graduating with the John Dean Award for academic excellence.

Buch joined CALM WA in 2002 as a project manager, and has worked on several major projects based on establishing compliance with the State Records Act, the most innovative of which has been the RAT project.

The RAT project won the CALM Records and Information Management Liaison Group Excellence in Records Management Award in 2003, and is being implemented by five other WA government agencies.



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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.

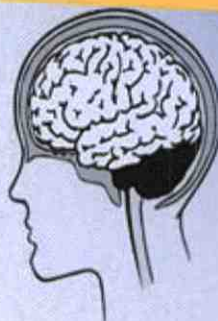
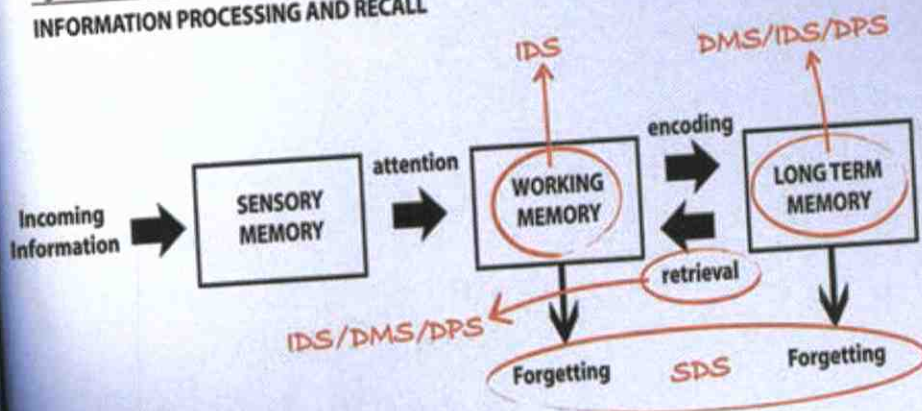


figure 11.a

### INFORMATION PROCESSING AND RECALL



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# CAPITAL CAPERS IN REVIEW

## Concepts of Some Harsh Realities Delivered at RMAA's 21st International Convention

By Mike Steemson, ARMA

**It was called From Concept to Reality, but the Records Management Association of Australasia's 21st National Convention in Canberra sometimes produced realities a tad uncomfortable as speaker after speaker questioned the expertise and value of recordkeeping and records managers.**

"Recordkeepers have moved out of the filing cabinet, but only just", said an academic. "What, if anything, is records management?" asked a private sector guru. A British presenter suggested: "Records management is the least visible part of the information spectrum." A knowledge manager: "Records and information managers must take some responsibility for promoting good RK practices." And an American speaker: "(Information) professionals are being challenged by an ever-changing e-business environment."

What was the message? Just this: to survive, recordkeepers have got a lot more to learn.

It could have been very disheartening but delegates seemed delighted. In *IQ*'s informal 'vox pop' survey of some of the 450 delegates at the big September talkfest, (the results of which follow this article), many picked the challenging speakers and their papers as conference highlights. And, of course, the papers weren't all like that, but the frequency of the harsh realities was striking.

University of South Australia Project Director in Knowledge Management and Internet Communications Strategies Sue Myburgh seems to have started it with that stern "just out of filing" challenge. She described a new "multidisciplinary metacommunity" of information professionals of which records management formed only one specialisation.

She talked of the "turf wars" developing in the metacommunity as groups like

information technologists, systems managers and accountants bid for the tasks.

Electronic records management had become very important to records management, she said. Establishing what records were being created, sorting them from other documents, validating and preserving integrity and controlling versioning all created headaches.

The possibility of invasion of computerised systems by unauthorised persons and issues raised by long-term digital preservation of such documents and records made headaches develop into migraines.

### Needing new skills

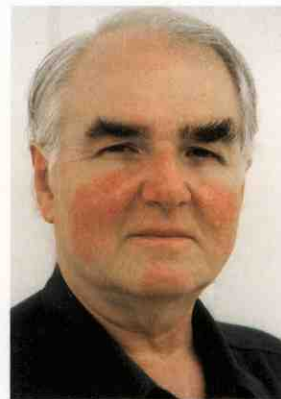
"Add to this the fact that many IT departments have taken it upon themselves to manage all electronic information, and most recordkeepers would prefer brain surgery without an anaesthetic." Myburgh warned: "To survive, the contemporary Records Manager must learn new skills and continue to evolve."

What records managers needed, she said, was expertise in subjects like organisational theory, information systems design, database management,

Not surprisingly, the paper raised some passion in the attentive audience and prompted some pretty forthright questions. (For those who missed the address, Myburgh's paper will be published in the next issue of *IQ*.)

### Into the Hurley-Burly

And the theme continued. It was pursued by Commonwealth Bank of Australia information specialist, Chris Hurley, ARMA, (pictured below), with his intriguingly titled paper *What, if anything, is Records Management?*



As a former Victoria State Keeper of Public Records and New Zealand Chief Archivist he, of course, knew the answer to his question, but opened provocatively with statements like: "The beauty of this title

**'For every good one of them who understands the place of RM in the world, there is a shonky one of them who doesn't'**

legislation and the public administration, organization of knowledge.

"This is because of new ways of doing business, new emphasis on strategy, the economic value of information, intellectual property, knowledge management and corporate memory. Records managers will ultimately have to specialise in some of these areas."

She added: "We need to be able to accommodate different perspectives and narratives."

is that it allows you to discuss something that may not actually exist. An allowable answer to the question may be: records management isn't anything."

He took his audience on what he described as a helicopter ride over the period he had been involved in the information industry, flying over the "three great rivers" of technological infrastructure, the way business was conducted and the way recordkeeping had changed as a result. Over this third 'river', he picked up the 're-skilling' theme.'



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### Re-engineering Recordkeeping

Information technology had brought huge change, Hurley said. "The alteration in the means by which information systems operate has indeed been striking, but it is doubtful that we have gone far enough in re-engineering the methods which those means support. In other words, re-engineering of business systems has not been matched by appropriate re-engineering of the recordkeeping systems which support it."

In the broad spectrum of information and knowledge management, he placed records management, "the handmaiden to evidence solutions", as a sub-set. But he was not suggesting it was a subordinate position.

He explained: "I am saying that we can no longer expect to be able to establish and maintain recordkeeping except in collaboration with others. Individually, we may expect to move out beyond recordkeeping and there is no reason why we should not occupy positions requiring a broader skill set."

His reality saw the future of recordkeeping as a specialist strand within information and knowledge management. He said: "Eventually, our speciality may even disappear as a discrete skill set within I & KM but those who proceed on the assumption that this has already happened are mistaken. I & KM projects are still failing, in my view, to establish fully robust recordkeeping solutions in the digital environment."

### Leavening the I & KM World

Hurley went on: "Our value add lies partly, of course, in the contribution we can make based on our specialist skill-set to the work of each multi-disciplinary team being led by someone who understands the need for records management to be part of the mix."

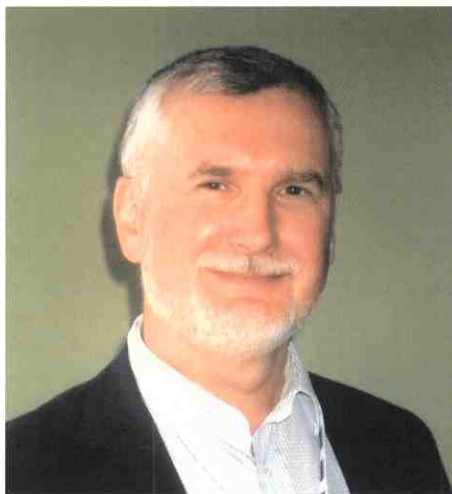
"But our real value add is, I reckon, to be a kind of professional leaven inside the emerging world of I & KM. For every good

'one of them' who understands the place of RM in this world, there is a shonky 'one of them' who doesn't."

Until the dust settles, we continue to sustain an abiding knowledge of what RM is and why it is needed. Through us, the possibility exists of keeping the chain of skill and knowledge between the past and the future unbroken."

### Visible Orr Not

The British keynote came from Stuart Orr, (below), the Assistant Director of Information and Workplace Strategies Directorate at the UK's vastly powerful Department of Trade and Industry. It was he who used that "least visible" crack.



The intriguing concatenation of 'information' and 'workplace strategies' in his directorate made his comments particularly pointed, especially from his paper nerve-wrackingly entitled 'Records Managers – who needs them?'

It got worse! He told the conference: "There is in my view no records management profession in the sense that there is a medical profession." He softened the blow a little by adding: "There is clearly a theory behind our profession even if it could, in the sense of an agreed corpus of theory, be seen to be in its infancy or childhood. Although the position is changing, most of the records management

texts are still what could be considered as basic textbooks or guidance."

"We must take steps to create a controlled and respected profession; respected that is outside our own ranks. We exist in a world where few people other than surgeons think they can carry out surgery, but most people think they can manage information as effectively as anyone else."

### Learning from Related Disciplines

Orr continued: "We need to learn from as many related disciplines as possible. Because these disciplines overlap, there are many who would rush to fill the void left by departing records managers."

Recordkeepers should "encourage people to extol our virtues more widely", he said. Many works on information management barely mentioned records. There was a huge opportunity for records managers to demonstrate their added value, particularly if they could talk the language of business, "rather than talk as if records management exists in an ivory tower".

Then came the awful reality: "There remains a danger that records may help to sort out the challenges caused by the current regulatory framework, then be discarded. As Chang Tzu wrote in the 4th Century BC 'Fishing baskets are used to catch fish. But when the fish are caught, men forget the baskets'."

### Lack of Fixity

British Columbia University's Professor of Master Archival Studies, Italian-born Luciana Duranti, raised another recordkeeping wraith in her paper Meeting the Challenge of Accuracy and Authenticity.

Dr Duranti warned of the dangers inherent in dynamic records because of their "lack of fixity" and in data migration for which "we have to define parameters and develop standards" in the maintenance of record identity and integrity."



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**Dr Luciana Duranti**

But, she said, the challenge of accuracy and authenticity in the digital world was much more than just creating policies and procedures, metadata schema or digital signatures.

Dealing with accuracy, Duranti insisted: "There is no silver bullet that can get rid us of the problems presented by digital technologies. The ability to deal with them stands at the heart of our profession as records specialists.

"We need to re-examine the concepts that constitute the fundamental tenets of our profession and ensure that we find solutions that are consistent with the nature of the records, with their function and purpose and with our mission as the trusted custodians of accuracy and authenticity."

There were solutions to be found in civilisation's "formidable and record cultures developed over millennia". But if they failed, Professor Duranti advised: "It is always useful to look at other disciplines and environments and wonder 'what if?'"

### **According to Hoyle... and Clark**

Two law dons from the ACT's Canberra University had similar concerns. In a joint paper, Dr Eugene Clark, Professor of Law, and Arthur Hoyle, Lecturer in Law and Technology, highlighted legal and management issues impacting on recordkeeping saying: "There is still

much we do not know about records management in a digital environment.

More research is required in finding the best regulatory measures for an online environment, they said. Legal uncertainties remain about how traditional laws will be applied to this new context."

They went further with a frightening list of new tasks for recordkeepers: "Standards development, re-engineering and analysis of paper flows, software and human resources training, greater appreciation of the risks inherent in electronic records, the development of best management theory and practice, more accurate measurements and costings are necessary."

To which they added "continuing research in the application to records management systems of new technologies such as web-based solutions, mobile phone technology and wireless applications."

### **Managing Human Factors**

Knowledge management consultant Tracey Dalitz, took another tack asserting that, "Despite the formal concept of records management, the reality is that recordkeeping in organisations is becoming increasingly informal."

And she identified the responsibilities. "Records and information managers need to adopt a more flexible, human-orientated attitude and take some responsibility for promoting good recordkeeping practice of both hard copy and electronic records within their own devolved work environments."

However, the informality of modern organisations did not have to mean the end of records management. She averred: "Such an environment mean that records managers have the opportunity to expand their roles, to diffuse information about the importance of records management practices and to redefine their roles as trainers."

With what she described as "a bit of strategic learning" recordkeepers could widen their realm. "We must evolve and adapt to informality so that records management as a discipline goes from managing records to managing people and their abilities to manage their own records," she said.

### **A Warning From Dickey**

American Lois Dickey, (pictured), focussed on that human-factor, too. She's Corporate Vice-President of the Science Applications International Corporation, a US company dealing in document processing systems using optical character recognition (OCR) techniques.



She warned delegates: "RMAA and ASA professionals are being challenged by an ever-changing e-business environment. New records management requirements and technologies are requiring significant changes in the industry.

"Managing change presents difficulty for most people. The importance of the human factor is often overlooked or given relatively limited attention. The fact can, however, have significant impact on the ability to deliver effective and successful records management and archival solutions."

### **Plan For Resistance**

She had some solutions. For instance, she reminded delegates of something many had already learned: a change



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management strategy should plan for resistance.

She explained: "What employees resist is usually not the technical changes but social change... the change in their human relationships that generally accompany technical changes. Resistance is usually created because of certain blind spots and attitudes which employees have as a result of their preoccupation with the technical aspects if new ideas."

### Finding the Competencies

Thankfully, at the end, after all these honest but onerous realities, another speaker had a raft of solutions. Personal Competencies for Records Managers was how Lynn Williams, ARMA, Manager of SWIM Recruitment Services in Wellington, N.Z., put it.

Her business is as much to do with training as recruiting and she put the answers this way: "Personal competencies represent a set of attitudes, skills and values that enable practitioners to work effectively and contribute positively to their organisations, clients and profession. Personal competencies range from being strong communicators to demonstrating value-add of their contributions."

Now, we could all relate to that, but how? Lynn had an answer: "Effective records management needs a persuasive spokesperson for the records management



service or information centre who is able to step outside the comfort zone organising, facilitating and acquiring.

Find out what records or information other people need. Stay uncomfortable and energised. Take risks and lead. Establish credibility outside the organisation and anticipate the next change or opportunity. Read widely outside the field. Choose staff brighter than yourself."

She seemed to sum up the opportunities in one final thought: "Look for white spaces in the organisation where there are unmet needs and fill those you can. Take on seemingly unrelated projects. In other words, be proactive."

### The Courage To Do It

Which seemed, pretty much, to cover the issues. Now all we need is the courage

to go out and do it. Undoubtedly, we'll hear more about that in Perth next year (September 11 to 14) and Cairns in 2006 (September 17 to 20). I guarantee we will in Wellington from September 9 to 12, 2007, because I'm on the planning committee.

### THE AUTHOR

Mike Steemson (pictured left) heads the New Zealand-based Caldeson Consultancy in business information management after 35 years in London journalism. In the 1990's, he was for two years chairman of the Records Management Society of Great Britain and chaired a London-based consortium of IT consultants, vendors and academics that created the British Standards Institution's 1996 code of practice for the legal admissibility of electronic documents, PD0008.

He was a member of the Australia delegation on ISO's authoring sub-committee that created ISO15489 and on the RMAA's New Zealand Branch Council.

In 2002, he was appointed technical writer to the DigiCULT Forum of the European Commissions' Information Society directorate. He has spoken at information conferences in London, Edinburgh, Vienna, Istanbul, China, Singapore, Sweden, the Netherlands, Australia and New Zealand. He is contactable at [steemson@caldeson.com](mailto:steemson@caldeson.com).

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# CAPITAL CAPERS: The View From the Floor

## How Attendees Rated the RMAA's 21st Annual International Convention in Canberra

"Some excellent speakers." "Great opportunities." "Good trade." Just some of the comments from conference-goers in Canberra. For the first time, IQ held a 'vox pop' poll of delegates, and came up with some intriguing takes on the event entitled **From Concept to Reality** which ran from September 12 to 15 at the Australian national capital's National Convention Centre.



Convention delegates Tracey Crouch, Janet Tombleson & Amanda Mumme

**Tracey Crouch**, Manager, Corporate Support Customer Services, Willoughby City Council, NSW: "The highpoint for me was the quantity of intelligence, the knowledge that lay behind all the presentations I heard. I really appreciated the trade opportunities available in the exhibition, too."

**Anthony Duffin**, Information Co-ordinator, Swan Hill Rural City Council, Victoria.



"A couple of the keynotes were thought provoking, Jon Stanhope (ACT Chief Minister) and Anthony Willis (Phillips Fox senior partner). The new storage devices in the exhibition were exciting. They're getting much more efficient, now, aren't they. This is only my second RMAA conference. I thought the meal times were better at Melbourne last year."

**Judy Commiss**, Records Manager, Department of Employment, Education and Training, Northern Territory.



"The interaction of delegates has been great. Everyone seems to have similar issues and the discussions have been invaluable. The best presenter was, I think, Sue Myburgh on how records managers can raise their status. And I enjoyed Robert Gotts' workshop on the ACT Government EDMS implementation."

**David Goodstone**, National Sales Manager, Codafire NZ.



"I'm a bit of a novice in records management. I've been involved only since January. The conference has held lots of pearls of wisdom for me. It's been most enlightening. The presentations were very informative and I've made some good contacts."

**Amanda Mumme**, Communications & Information Co-ordinator, Willoughby City Council, NSW: "You see the big picture, all the things that affect so many people. It's a positive overview of the profession. I particularly liked the case studies, other people's stories."

**Ray Holswich**, Immediate Past President of RMAA and Divisional Records Manager, CSIRO Sustainable Ecosystems, ACT.



"This conference was one of the better ones for some years. ACT Branch put a lot of thought into the three conference categories, worked hard to get industry leaders for the presentations and it paid off. The speakers were outstanding."



*Capital Capers 'The View from the Floor',*  
Continued from page 44

**Lesley Church**, Project Manager Records, Australian Prudential Regulatory Authority, who got up very early one morning to make a hot air balloon flight before the day's session.



"There was a good mix of speakers and subjects. Some were okay, some were really good and hit the mark. National Convention is a great place for catching up with people and picking other people's brains."

**Matthew Lipscombe**, Director, DocBanq Pty Ltd., NSW



"This was the company's second RMAA conference and, once again, it was very exciting to meet so many potential customers. Conference helps us keep a grasp on where the theoretical aspects of records management are moving. It enables us to keep practice and product development in line."

**Terri Kearns**, TRIM Administrator, Department of the Prime Minister and Cabinet, ACT.



**Gwen Martin**, Supervisor, Records Management Officer, Fremantle Ports, WA.



"ACT Branch should be proud of what it has achieved in the conference. It was right on the money. I really liked the presentation from David Wardle (Director, ACT Records Office) and Sue Myburgh (University of South Australia Knowledge Management Director). The masked ball was fun and all the facilities were well done."

**Stephen Macintosh**, Australia Human Rights and Equal Opportunities Commission, NSW.



"The conference exceeded my expectations. The presentation of Secretary of the Department of Prime Minister and Cabinet, Dr Peter Shergold, was fascinating. It helped me understand how records and information professionals really are key components of any attempt to create digitally based, government wide and seamless services. Later on, Chris Hurley's (Commonwealth Bank of Australia) somewhat whimsical presentation helped me think further about the place, value and importance of recordkeeping in the unfolding information management milieu."

"The conference has been full of knowledge, stories of people's experiences. It's been a great learning event. The profile of records management has come a long way, hasn't it?"

**Rob Stevens**, Information Co-ordinator, City of Greater Shepparton, Victoria.



"It's been a great opportunity to network. It's great to be able to discuss similar problems and discover the ways other people have developed solutions. Best presentation, for me, was Dr Luciana Duranti, from British Columbia University, on the challenges of accuracy and authenticity."

**Janet Tombleson**, Records Team leader, Willoughby City Council, NSW: "It gave us an international view, a useful interpretation of the recordkeeping environment. I liked the legal and training stuff. The whole event was quality not just quantity."

# CAPITAL CAPERS: Convention Snapshots



**Unmasking RMAA's CEO –**

Kate Walker at the Convention's Masked Ball



**Belle of the Ball –**

RMAA ACT Branch President and Canberra Convention Chairperson Stephanie Ciempka



**Legal eagle,**

Convention keynote speaker Anthony Willis, senior partner with Phillips Fox, Canberra



**The TRO man,**

Australian Capital Territory Records Office Director David Wardle, another popular presenter



**Newsman,**

Canberra Times Editor in Chief Jack Waterford, also a keynote speaker



**RMAA Directors (past & present) attending the Association's Annual General Meeting in conjunction with the Convention in Canberra:**

(From left to right ) FRONT ROW: Jeanette Inglis (Vic), Helen Onopko (SA), Jan Fisher (ACT), Brigitte Stephen (SA), Julie Lenson (ACT), Julie Apps (Qld), Anne Cornish (Vic), Veronica Pumpa (ACT), Harry Haxton (Qld), Ross Thompson (ACT), Tina Howard (Tas), Lyn Kickett (NT), Kristen Keley (SA). BACK ROW: Mike Steemson (NZ), Geoff Smith (NSW), Peter Crush (SA), Ray Holswich (ACT), Peter Smith (NSW), Thomas Kauffhold (ACT), Graham Dudley (ACT), Kate McCarthy (ACT), David Moldrich (Vic), Kate Walker (Tas), Allan Kavanagh (Qld), Chris Fripp (NSW), Kemal Hasandedic (Qld), David Pryde (NZ), Mike Hangan (Qld)



# RMAA PROFESSIONAL STATUS GUIDELINES REVIEWED & APPROVED

**After a comprehensive review process, the Association's Professional Status Guidelines have been approved.**

## **Why become an RMAA Professional member?**

A formal qualification (diploma, degree etc) or work experience, may not be enough to deliver your career opportunities and satisfy your career aspirations.

RMAA professional membership provides you with the credential of being a Professional Associate, Member or Fellow.

These professional designations signal to employers and clients that:

- You have the right educational background and/or experience.
- You have already demonstrated competence in performing the required roles and tasks in the work-place.
- Your competence has been verified at many stages throughout your qualifying path for admission to membership.
- You are committed to continuing professional development, maintaining the knowledge and skills needed to perform your role (compulsory for Member/Fellow but optional for Associate).
- You are committed to an ethical framework of a professional body that sets high technical, ethical and behavioural standards.

Being a member of a professional body (RMAA) sets you apart from other people who do not have the benefit of a professional credential and all that goes with it. A professional designation, on top of an academic qualification and/or experience, will open doors in your career.

In addition to the value of your professional qualification, Association membership admits you to a community

of diverse professionals, with opportunities for social interaction, fellowship, advice, mentoring and support.

You will be entitled to enjoy a range of services and other benefits that come with belonging to a pre-eminent professional body, including:

- A comprehensive programme of continuing professional development activities.
- Networking prospects through an extensive branch network of Association members.
- Special arrangements with a select number of product and service providers.
- Access to on-line services, including electronic library and search facilities.

## **How to qualify**

You can qualify as a Professional member of the RMAA by demonstrating your competence in meeting the Association's admission requirements.

To become competent, you need to develop and demonstrate key attributes (or capabilities), which may be expressed in terms of the required:

- Knowledge
- Skills
- Professional values.

The RMAA's status upgrade process aims to develop and assess these attributes. To see if you qualify for an upgrade, go to [www.rmaa.com.au](http://www.rmaa.com.au) and check out the new Status Upgrade Guidelines.

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# INDUSTRY NEWS

## Judge Rules Against FBI in Patriot Act Records Case

**NEW YORK:** A federal judge has ruled that part of the controversial US Patriot Act relating to customer records is unconstitutional.

District Judge Victor Marrer rejected a provision of the Act that says communication companies, credit card companies, banks and casinos must produce customer records the FBI deems relevant to their terrorism investigations and also must not disclose they have done so.

The actual production of the records was not at issue. It was the non disclosure component that generated the legal challenge.

The American Civil Liberties Union had filed on behalf of an anonymous client who had been directed by the Federal Bureau of Investigation in a so-called National Security Letter to provide their records but not disclose anything about the letter or even disclose they had even received such a letter – as provided under the post September 11, 2001 Patriot Act.

Bizarrely, the ACLU's application to the court had even been made in secret, under seal, so as not to break the Act's disclosure requirements.

Judge Marrer condemned the non-disclosure provision of the Act, declaring it contrary to the US Constitution. He gave the US Department of Justice 90 days to appeal via the US Appeals Court. A Justice spokesperson said that no decision as to whether an appeal would go forward had yet been made..

Commentators expected a Government appeal, as the ruling, uncontested, exposes the Patriot Act to further legal challenges.

The Supreme Court has yet to rule in a case involving the Patriot Act, but this past June it ruled against another of the Bush Administration's anti-terrorism initiatives when it declared that prisoners deemed 'enemy combatants' are entitled to go into US courts to contest their detention.

The *Wall Street Journal* reports that a second legal challenge involving the Patriot Act and records is pending in a federal court in Detroit. At issue there is the Act's provisions that allow secret surveillance of business records and authorises the FBI to obtain warrants to search bookstore and library records as a part of terrorism investigations.

## Breakthrough in SA Apartheid Arms Deal Records Battle

**JOHANNESBURG:** Investigators seeking links between Swiss arms dealers and the old South African Apartheid regime have broken through in a long-running battle to see records held by SA arms corporation Armscor.

The documents have been released to researchers for the Swiss National Science Foundation Project working with the South African History Archive (SAHA) after the project threatened legal action and involved the republic's Minister of Defence.

New SAHA Director, Sello Hatang, commented: "The outcome of this case is welcome, but it is disturbing that Ministerial intervention was required to ensure compliance with the most basic provisions of the Promotion of Access to Information Act (PAIA). Armscor's swift action to process this request after the Ministerial intervention appears to indicate that it has now taken steps to ensure that its staff appreciate the potentially negative consequences should they fail to comply with the PAIA."

The records' release followed eighteen months of obstruction and obfuscation by the arms corporation, said Mr Hatang's statement. Finally, the Swiss investigators wrote to South African Minister of Defence, January B. Masilela, foreshadowing a complaint to the South African ombudsman, the Office of Public Protector.

The SAHA campaign to archive complete details of the country's unpalatable past was described by the former SAHA Director, Verne Harris, in his August 2002 *IQ* feature article, 'History Archive unearths more Apartheid secrets with South Africa's new Fol Act'.

Sello Hatang can be contacted at [sahas@Library.Wits.ac.za](mailto:sahas@Library.Wits.ac.za).

## New US Biometrics Security Starts Smoothly

**NEW YORK:** New biometric security measures introduced last month at US international arrival points covering visitors from countries including Australia, New Zealand and the UK are said to not be disrupting arrivals flows.

The new measures, now standard at all US international airports, seaports, and 50 land crossings from Mexico and Canada, require all visitors from 27 'visa waiver' countries to now undergo electronic scans of their two index fingers and to have their faces photographed before they are permitted entry to the US.

The scanning/photography was designed to take an average of 15 seconds per subject, and so far there have been no major disruptions to arrivals.

Reuters reported US Department of Homeland Security spokesperson Garrison Courtney saying, "It is going smoothly. There are no problems."



If nothing else, the mass of new ID records now being accrued via these enhanced security measures means more employment for US records management professionals.

## Clusty Takes on Google and Yahoo

**PITTSBURGH:** A new internet search engine, Clusty.com, has launched in the US, with the aim of challenging the industry giants by offering its 'cluster' technology.

Clusty, owned by Vivisimo, a company with 20 employees, uses technology that clusters results, or breaks them down into related categories, instead of collecting them in a single listing as its competitors do.

Clusty handled some 6 million search requests last month, compared to Google's 6 million every hour. But Vivisimo is confident of claiming a sizeable share of the search engine market.

Google is currently the market leader, with upwards of 40 per cent of US search engine business. Yahoo has close to 30 per cent. Meanwhile, Microsoft has its own search engine, MSN.com, under development.

## New Look For RMS of GB



**LONDON:** Following the lead of the RMAA, the Records Management Society of Great Britain (RMS) has launched a new

## corporate look and revamped its journal.

The new RMS logo, (left), was introduced to members at the twenty-one-year-old Society's annual conference earlier this year, with new stationery, a revamped web site and changes to the way the Society communicates to members being implemented since.

Those changes have included the termination of the Society's newsletter, with the information focus now being on the Society's web site and its hardcopy journal, *The Bulletin*.

RMS spokesperson Jude Awdry told *IQ* that *The Bulletin* has now been "wowed" by a UK graphics company. The journal's new look and a new format were launched recently.

"There will now be six issues per year of *The Bulletin*," said Awdry, "which incorporate Forthcoming Events and any news items."

## NZ MP's Express Varied Concerns Over Public Records Bill

**WELLINGTON:** With public submissions on New Zealand's new Public Records Bill, the long-awaited successor to the country's 1957 Archives Act, closing on November 5, the bill now moves to Select Committee after first reading debate.

At the Bill's first reading on September 16, all parties were in support, but expressed a series of concerns.

New Zealand First's Jim Peters said his party would seek to clarify what guidance the proposed Archives Council would get in its consideration of tikanga Māori (Māori customs).

Green Party MP Ian Ewen-Street said the Greens approved the independence of the Chief Archivist from "ministerial direction". He raised concerns over provision for "the Archives Minister" to defer the transfer of records for any period, warning MPs: "Ministers may well prevent the release of material, not for real security reasons but to protect their departments from public embarrassment."

ACT spokesman Stephen Franks was anxious about imposition of the "heavy obligations" of recordkeeping and the "likely result will be that the record will either never be created or will mysteriously disappear".

United Future's Bernie Ogilvy commented about the proposed level of fines for non-compliance, \$2,000 for individuals, with a \$5,000 maximum: "I wonder whether the amounts of the fines will be adequate deterrents."

National MP Lindsay Tisch, a member of the Bill's Select Committee, hoped that during the select committee stage organisations like the Archives and Records Association of New Zealand would make submissions.

The Minister responsible for Archives NZ, Marian Hobbs, the Bill's sponsor, told MPs: "The bill continues the authority of the Chief Archivist to decide which Government records may be destroyed or otherwise disposed of and confirms independence from ministerial directive in discharging this duty."

The Select Committee plans to report by March 15, 2005. The Hansard report of the NZ Parliamentary debate on the Bill's first reading can be seen at [http://www.clerk.parliament.govt.nz/Content/Hansard/Final/FINAL\\_2004\\_09\\_16.htm](http://www.clerk.parliament.govt.nz/Content/Hansard/Final/FINAL_2004_09_16.htm).



## More Hacking, or More Reporting?

**SAN JOSE:** US privacy officials have warned more than 600,000 students and staff at top Californian tertiary education institutions that personal data about them has been compromised this year in a series of apparently unconnected computer hacking raids.

The largest single incident involved data for around half a million individuals when hackers broke into computer systems for San Diego State University and the University of California, San Diego.

A 2003 California law compels notification of such security breaches, leading Investigator Joanne McNabb of the Office of Privacy Protection in the California Department of Consumer Affairs to comment that the incidence rate of such events has probably not increased despite the alarming number of incidents on record since the law came into effect.

McNabb told the San Jose *Mercury News*: "It's just that we know about them now," she said, "when we didn't hear before."

## SMANZ Hopes Old Kiwi Songs Will Find New Audience

**WELLINGTON:** New Zealand songs which have not been heard for over 100 years, unearthed by the Sheet Music Archive of New Zealand (SMANZ), will be performed in the Kiwi capital as a part of archives and records celebrations next March.

Lower Hutt music historian and Director of SMANZ David Dell has included the archive's oldest treasure in the repertoire to be performed at a central Wellington venue as a part of Archives and Records



Former Premier of Victoria, the Hon John Cain, with Marita Dunbar and Mick Batskos at the FOI Resources launch

Week 2005. This is the rambustious Thanksgiving Anthem for HRH the Prince of Wales, originally sung by Wellington's Wesley Church Choir in 1872 and not heard since.

Another colonial piece being dusted off by Dell for the Archives and Records Week concert is the quaint 1898 number *Our Bykes and We*, written by noted Kiwi feminist Clara Algar.

Archives and Records Week 2005, jointly organised by the New Zealand branch of the RMAA and the Archives and Records Association of New Zealand (ARANZ), will be New Zealand's third annual festival celebrating and publicising the work and expertise of the country's information management professionals.

The 2005 A&R Week will run from March 12 to 19, with events in numerous centres around the country, from provincial town archives and library open days to the high-profile recordkeeping Vendor Showcase in Auckland.

SMANZ's A&R Week concert is the most novel event on the calendar, which also includes the 2005 ARANZ Lecture in Wellington and a Maori information workshop.

For more information on any aspect of New Zealand's A&R Week, contact

joint programme coordinator Michael Steemson at [mike.steemson@xtra.co.nz](mailto:mike.steemson@xtra.co.nz) or telephone (+61) (0)4-380-9323.

## FOI Consultancy Launches

**MELBOURNE:** FOI Resources, a unique new business that assists government agencies to process freedom of information (FOI) requests has been launched in the Victorian capital.

FOI Resources is headed by Executive Director Mick Batskos and Managing Director Marita Dunbar. Batskos has in excess of 16 years experience providing legal assistance on FOI matters, for the past six years with the law firm he established in 1998, FOI Solutions, which is affiliated with FOI Resources.

Dunbar had previously handled FOI requests with the Victorian Department of Justice for more than 5 years.

The partners believe that the innovative service is ideal for agencies experiencing staff shortages or smaller bodies which can neither find nor afford staff with the expert freedom of information knowledge and experience required.



That belief was endorsed by leading figures attending the firm's launch, including former Premier of Victoria John Cain, prominent barrister Jason Pizer, and Senior Lecturer in Law at Monash University Moira Paterson.

"Our expertise means that freedom of information requests can be dealt with expertly, confidently, and quickly," FOI Resources' Mick Batskos told IQ.

"We provide assistance with all aspects of the process," added his partner Maria Dunbar. She said that included location and identification of relevant documents, liaison with their client's relevant staff to ensure informed decision-making, and document assessment to determine whether exemptions apply.

## Shredding Documents to be Illegal

**MELBOURNE:** The intentional destruction of documents which could be used in court as evidence will be outlawed by the Victorian Government in 2005.

Victoria's Attorney-General Rob Hulls told the *Sunday Age* in October, "Document destruction to avoid litigation undermines the sanctity of the administration of justice and we will act by introducing legislation next year to outlaw such practices."

Attorney-General Hull's announcement comes on the heels of a review conducted at his behest by Victorian Crown Counsel Professor Peter Sallman which concluded that the destruction of evidence relevant to court proceedings should be a criminal offense.

That review had been sparked by the 2002 legal case in which lung cancer victim Rolah McCabe sued British American Tobacco Australia (BATAS). In April 2002, the Victorian Supreme Court struck out BATAS's defense after determining that

McCabe could not have a fair trial because pertinent BATAS documents had been destroyed.

Another of Professor Sallman's recommendations is that judges be given the power to strike out all or part of a defence where it is proved that document destruction has occurred.

## Canon Launches MEAP-Equipped Colour MFDs

**SYDNEY:** Canon Australia has launched its new generation colour multi-function devices (MFDs), which incorporate the world's first Multifunctional Embedded Application Platform (MEAP), heralded as a breakthrough in embedded software applications for the records management industry.

To illustrate the impressive features of the Canon iR C3220, the newly released colour MFD which supports MEAP, a Canon Australia spokesperson conjured the following hypothetical scenario for IQ:

An archivist approaches a Canon multifunctional printer/copier/scanner/fax device – an MFD. A proximity reader on the MFD detects the swipe card around the archivist's neck and identifies this as Janet Smith, who is authorised to conduct certain activities but not others.

Instantly, the MFD touchscreen display brings up five large buttons which correspond to Janet's duties and security level, courtesy of a program written for Janet's organisation.

Janet's first document needs to be converted to editable text via OCR, then emailed to a process worker for checking. Janet presses button #1, and inserts the document. All required tasks are performed automatically by the MFD.

Her second document needs to be scanned, compressed, and encrypted at the highest security level. Janet presses button #3, and inserts the document. The MFD does the rest.

This would have been science fiction ten years ago. Today, via MEAP, it's available in any office in Australia or New Zealand.

"Records management professionals," says the Canon spokesperson, "could streamline or even transform archival processes using MEAP. It enables you to customise your MFD to your organisation's specific document management needs."

Canon Australia is gearing up for the release of further new MEAP-equipped hardware in 2005.

## Strong Interest in 2004 Hamers

**MELBOURNE:** The Public Records Advisory Council of Victoria (PRAC) reports strong interest in the 2004 Sir Rupert Hamer Records Management Awards, nominations for which closed on November 5.

The awards, a PRAC initiative, and sponsored by the RMAA, began in 1998. They reward excellence and innovation in records management in the Victorian public sector.

Each year at this time, nominations are considered in five awardee categories: Inner Budget Government Agencies Outer Budget Government Agencies Local Government Authorities Regional/Rural Agencies Small Agencies

Judgment criteria include preservation of records of permanent value while adhering to Public Records Office Victoria (PROV) RM standards, and innovation in RM practices.



The awards are named in honor of the late Sir Rupert (Dick) Hamer, a doyen of RM in Australia, who passed away earlier this year, (see obituary, May, 2004 issue of *IQ*). During Sir Rupert's period in office as Premier of Victoria the Public Records Act was passed, in 1973, and PROV first opened its doors, in 1975.

## Hoyle Leaving Archives NZ

**WELLINGTON:** The head of Archives New Zealand's Government Recordkeeping, Michael Hoyle, (pictured) is leaving his post after ten years to re-settle in the US with his American wife.

Wellington-born Michael, an Australian citizen, joined the then National Archives



of New Zealand in March 1995 on secondment from the then Australian Archives based in Sydney.

He held various management positions until, in September 1996, he was appointed Manager of the NZ institution's Statutory-Regulatory group, a post he retained when the institution became a separate government department and the group was renamed Government

Recordkeeping. He has acted as Chief Archivist on occasions during absences of the Chief Executive Dianne Macaskill.

Hoyle told *IQ*: "After almost 10 years at Archives New Zealand and eight years managing the department it's time for a change to pursue other interests. My big regrets are that I won't see the Public Records Bill enacted nor will I complete my first term as PARBICA President, or continue on the executive committee of the International Council on Archives."

Hoyle and Siiri Bennett married in Wellington in 2002. Ms Bennett is Manager of the Research Unit at the Accident Compensation Corporation of New Zealand. The pair heads for Seattle, Washington State, early in 2005.

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MAP 5055



## SA Govt Panel Takes Objective Approach

**ADELAIDE:** The South Australian Government has appointed leading enterprise content management (ECM) company Objective Corporation to its newly established preferred supplier panel for Document and Records Management Systems.

The panel has been established by the SA Government to assist its agencies meet government and international standards for recordkeeping.

"The South Australian public sector is an important market for Objective," the company's CEO Asia Pacific, Tony Walls, told *IQ*.

Objective Corporation already counts both the South Australian Department of Treasury and Finance and the SA Department of Premier and Cabinet among its customers for ECM solutions.

## Objective Docks in Queensland

**BRISBANE:** The Port of Brisbane Corporation has chosen Objective Corporation to provide it with enterprise-wide knowledge management.

The Port of Brisbane Corporation manages Australia's third largest capital

city port, which currently handles 24 million tonnes of cargo a year. That figure is expected to double by 2025, and the Corporation has embarked on a major expansion project to cater for that growth.

As a part of the expansion project the Corporation is implementing an enterprise content management (ECM) solution from Objective Corporation. The aim is to build a foundation for knowledge management, to automate business processes, and to improve recordkeeping practices.

The Corporation also needed to be able to comply with increasingly stringent recordkeeping legislation and standards such as the Queensland Public Records Act (2002) and Information Standards 18, 31, 40, 41, and 42, and ISO 15489.

Port of Brisbane expects Objective Corporation's solution to improve its electronic document management including email, document control, workflow, and records management.

But, according to Port of Brisbane Corporation's CEO, Jeff Coleman, it was the usability of the Objective system that was the deciding factor.

"Objective has an easy to learn and easy to use interface which we found familiar and intuitive," he said. "We expect this to have a major influence on system uptake and acceptance by our staff."

Coleman said that the new Objective system will give his staff access to a

powerful search and retrieval browser, together with the tools to assist them to manage electronic information and contribute to corporate knowledge.

"We expect the Objective system to be in place by December 2004 and are very confident that it will facilitate the efficient management and necessary security of the corporation's knowledge assets."

## Biometrics Company Has Image Problem

**PERTH:** Biometrics Limited, which launched on the stock market in November 2003 with a prospectus touting ambitious plans to develop Australian biometrics technology for the worldwide security industry, has experienced major upheavals, with shareholders voting out its four original directors.

The biometrics technology we all know about uses fingerprints, facial and eye recognition factors for identification purposes, and is now employed around the world, most significantly at US airports; (see Biometrics feature article in the May, 2004 issue of *IQ*.)

Quite how Biometrics Limited, a WA company, planned to exploit this technology is unclear, but hopes among investors that it was on a winner rose when in August of this year it announced it had acquired 35 per cent of Compliance Certification Pty Ltd, (CCS), saying

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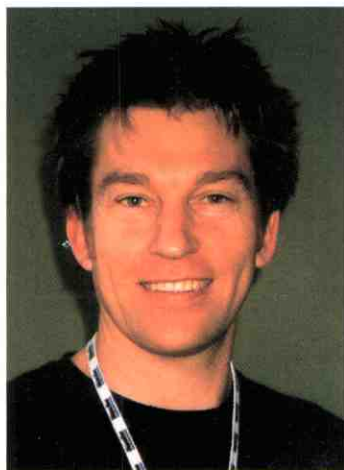
that CCS developed and manufactured miniaturised security technology devices that could monitor and record information.

But before long Biometrics had an image problem. With the company's ownership of the biometrics technology it had claimed in its prospectus coming under dispute by another party, and the company's share price plummeting in September, shareholders lost confidence in the Biometrics board and moved to sack all four directors.

There is no indication whether Biometrics Limited will actually produce any biometric software or hardware in the foreseeable future.

## APPOINTMENTS

### ANUVA's Swan Becomes Legal Eagle



**AUCKLAND:** After fronting New Zealand-based EDMS software sales for small to medium businesses, ANUVA Corporation's Clinton Swan (pictured) has joined national NZ law firm Simpson Grierson as Business Development Manager for the firm's corporate, commercial and intellectual property teams.

RMAAers at this year's Canberra Convention will remember Swan bustling about the vendor exhibition sporting crutch and medical boot after sustaining a painful ligament and cartilage injury just before the show. At the law firm, he'll be even busier.

He told *IQ*: "I'll be involved with X-Tech, corporate commercial, capital markets, corporate advisory, mergers, acquisitions, takeovers, sales and marketing, private equity, intellectual property, e-business, IT, venture capital and transport. I'm really looking forward to it."

"I wasn't actually looking to move jobs but the opportunity is a good one and I've a lot of respect for the people I'll be working with. I will also undoubtedly be keeping a finger in the ANUVA pie."

He leaves Anuva on the crest of a wave. "We've been making sizable inroads in the US in the last three to four months with around 30 very enthused US resellers coming on board."

### NTAS Opens Alice Door, Appoints Jackson & McCargill

**DARWIN:** The Northern Territory Archives Service (NTAS) has opened an office in Alice Springs.

The Alice Springs office, at 58 Hartley Street, is the NTAS's first office outside the Northern Territory capital, Darwin. Pat Jackson has been appointed the Archivist at the new regional facility, assisted by Gavin McCargill.

## IN MEMORIAM

### Lyn Smith, ARMA, Recordkeeper

**She did what ordinary record-keepers do: sorted, solved, and sweated. But Lyn Smith was intent on leaving an archive to help future researchers. Sadly, the Records Officer for the Rail, Tram and Bus Union (RTBU) in Sydney died in September after a short leukaemia-related illness.**

In last November's *IQ*, Lyn wrote of her RTBU brief to "rationalise records", a job meant to last three months. After two and a-half years she was "only somewhat nearer the end goal of achieving a lucid set of records" at the Noel Butlin Archive of Business and Labour of the Australian National University.

She recalled: "It came as something of a shock to realise that there are no records professionals engaged in maintaining trade union records. True, there are a few archivists around, but the rank and file trade union employees operate with a 'let's keep everything' approach."

She wrapped up her *IQ* feature in upbeat mood: "The union's records are an historical treasure trove of the Australian Labour movement. I am in the privileged position of being able to mine them for my own benefit and to put them into a form suitable for study by researchers in the future."

She will be sorely missed by colleagues, friends and family.



# RMAA BRANCH REPORTS

## VIC



Victorian delegates to the Canberra convention get into the swing of the masked ball

**Firstly, congratulations to the Canberra Branch whose combined efforts with the convention organiser provided a fantastic 21st RMAA International Convention. The networking opportunities were endless and there were many topical subjects with very prevalent presentations on corporate governance, risk management, business continuity planning, standards for the control and management of e-documents, just to name a few!!**

There was a broad mix of local, national and international speakers. An excellent representation of the Victorian Branch councillors was there in force, with only 1 councillor unable to attend. Please contact anyone on Branch if you wish to borrow the papers that were burnt to CD. (See the great picture above of RMAA Victoria attendees at the masked ball. L – R: David Moldrich, Anthony Duffin, David Brown, Jeanette Inglis, Judith Ellis, Fiona English, Rob Stevens, Paul Ferridge, Sandra Ennor, Debbie Prout.)

So apart from keeping abreast of the latest developments at the convention, just what has the Victorian Branch been working on over the first quarter of this financial year? Well, our framework for outcomes to be achieved in the year ahead has been defined in our Business Plan. Our major planned outcomes to include:

- Establish New Private Sector Memberships
- Provide two information Sessions and one training workshop
- Facilitate Provision of Mentoring Relationships
- Two State Seminars
- Four Member Networking Functions
- Six Branch Communications
- ARM Week Program of events – May 2005
- Ten Branch Council Meetings – every 3rd Thursday of month
- Three Local Government Chapter Meetings
- Collaborative Partnerships with ASA/IIM/RMAA/ALIA
- Establish a Marketing Program to Secondary Education

Planning is in full swing for our first State Seminar which will be held at the Nillumbik Shire Council on Tuesday, 23rd November 2004. The theme is based on Business Continuity Planning for that unforeseeable “The day after ....” scenario.

Topics are now being locked down, with subjects thus far including: Disaster case study, Conserving Damaged Records, Business Resumption Planning, Risk mitigation incorporating corporate governance.

In his capacity as Education Co-coordinator, Ross Latham was a guest speaker at the Clayton campus of Monash University, to talk with the School of Information Management and Systems (SIMS) students. Ross spoke about the role and function of the RMAA, the benefits of membership and our Business Plan activities in the financial year ahead.

Jeanette Inglis and David Moldrich also attended a Monash University SIMS alumni night and appreciated the opportunity to meet and chat with current & past SIMS students, and the SIMS lecturers.

The youth of today who are a leaders for tomorrow, need a forum in which they can network, voice their opinions and share future visions on the discipline of records management. Just as importantly, they seek avenues to access the diversity and depth of existing experiences and knowledge in the RM industry to prepare themselves for career progression opportunities.

The Victoria Branch is keen to hear from any one working in the industry interested in becoming a part of a Youth Chapter linked to the RMAA Victoria Branch. Please send an email to [vic@rmaa.com.au](mailto:vic@rmaa.com.au)

Sandra Ennor from the Chisholm Institute of TAFE has successfully applied to upgrade her status to Associate. Well done Sandra!! I am also the branch's Membership & Status Co-ordinator and can advise on how to prepare a submission for status upgrade and what details are required.

Sandra is the Marketing Co-ordinator on branch and has provided Victoria with a fantastic quarterly newsletter and is always looking for a short story, or an outline of a great achievement within your field.

Stay tuned for our next Local Government Chapter meeting to be held at Hobson's Bay on October 29th with a representative from the Office of Privacy Commission being our guest speaker. Come and share your experiences with implementing the requirements for the storage, security and non-disclosure of personal information while not negating the need for the smooth flow of information that the public would reasonably expect to be available. Cheers.

**Jeanette Inglis, ARMA  
Victoria Branch President**



## WA

**After a bit of a turbulent time in relation to members finding time to volunteer to the RMAA, the WA Branch is back on track, and a whole lot of people have stuck their hand to reignite activities, promote the industry, provide feedback and assist with consultation.**

There has been some confusion lately in relation to requirements for operating a Branch Council – these are being worked through and a letter will be going out to all members giving them an update on what's happening and an invitation to attend a meeting to get things back on track.

We are looking at having an event every two months, (on alternate month to IIM), which means that our members will have something to gain valuable information from every single month (if they so desire). It also means that those members undertaking the RMAA CPD Program, will have events that assist you gain those valuable points easily.

A questionnaire was circulated to all WA members, asking what they wanted from their Branch and that information is currently being collated and will assist us plan the direction for the Branch; this includes events and suggestions for a whole range of things.

If there is something in particular that you would like to see/hear, we want to know about it. For now, send your emails to either [kate.walker@rmaa.com.au](mailto:kate.walker@rmaa.com.au) or [admin@rmaa.com.au](mailto:admin@rmaa.com.au) – we like to hear what you have to say, (both good and bad!)

It is pleasing to report that several members of the WA Branch are upgrading their status within the RMAA – good on you.

## NZ

**The New Zealand Branch's biggest ever monthly members' meeting in September attracted 80 people to hear Greg Goulding, Senior Analyst, Archives NZ, flesh out details of the new NZ Public Records Bill, replacing the out-of-date Archives Act. The bill got its first reading in the NZ Parliament on Thursday 16 September.**

Greg joked that the last time such a bill was introduced to Parliament it brought the Government down. That was in 1984. Soon afterwards, Prime Minister Robert Muldoon called a snap election. More PR Bill explanatory meetings are planned for members in Auckland and Hamilton.

**National Conventions:** New Zealand's strong contingent flew home from the Canberra Convention buzzing with excitement.

– we look forward to presenting certificates as this occurs, and we will keep everyone posted on who these forward moving people are and duly recognise them.

And last, but certainly not least, the RMAA's international convention in Perth in 2005 – we hope everyone makes the effort to come and there are certainly some ways you can negotiate attendance with your employer. Don't take NO for an answer. NEGOTIATE!

We are a great state and offer great scenery, friendships, venues, accommodation and after hours relaxation events. We have a committee that is excited about the convention and a very enthusiastic Director of Marketing, Kristen Keley, who has committed a great deal of time to ensuring that you will enjoy and remember this convention. This is not the last time you will hear from us on this!

### RMAA Western Australia Branch

It was a great show. Convention speaker Lyn Williams, ARMA, of SWIM Recruiting Services Ltd, Wellington, gave a splendid presentation. She presents her paper and a conference review at our members' meeting in October.

NZ Branch is delighted with the news that Councillor Michael Steemson, ARMA, has been appointed Master of Ceremonies for the 2006 National Convention in Cairns, Queensland.

We were also relieved that National Board confirmed the 2007 National Convention for Wellington scheduled for September 9 to 12, 2007. We've got to get a message out from our Government minister to all Australian state ministers persuading them to let staff go 'foreign' for the Wellington event. We'll be plugging the Continued Professional Development angle, cheaper accommodation and travel costs, etc, etc, to ministers.

**NZ Archives and Records Week:** We are planning this for the third NZ A&R Week jointly with the Archives and Records Assn of NZ (ARANZ) from March 12 to 19, 2005. Events fixed so far include a school records conference convened by NZ Branch Vice-President Micky Stevens, ARMA, a Wellington concert of archived NZ music, (see the Industry News section of this issue of *IQ* for more details of this event), and the Recordkeeping Vendor Showcase in Auckland.

**Auckland Chapter:** Chapter President, David Pryde, ARMA, NZ National Director, is doing a grand job of developing the membership in Auckland. The Chapter recently duplicated the branch's AGM experts seminar 'Making Things Relevant to

Recordkeepers'. The event attracted 40 delegates, of whom over half were first timers. Now to convert them to members of RMAA!

David reports: 'There has been good response to our drive for members to upgrade. The Chapter Council has grown from two to six. We have made contact with the ARANZ Auckland Branch and presentations on the NZ Public Records Bill are jointly planned in Auckland and Hamilton. I have no doubt there will be high attendances.'

**Helen Hancox, ARMA  
New Zealand Branch President**

## TAS

**WE'VE GOT A SECRET!!!! But, I'm no good at secrets, so I'm going to spill the beans - actually I hope the secret is already out before this goes to print.**

Tassie has the privilege of having one of their members receive the honour of being accepted as a Life Member of the RMAA. Who? Should I tell? Yes, it's our own little JILL SAUNDERS. Look out for the next issue of *InfoRMAA Quarterly*, where Tasmania will provide a little history on our beloved Jill – some stories cannot be printed, but we are so proud of her and love her to bits. Well done Jill.

After this news, all other Tassie news seems irrelevant and boring. But, a President's report in *IQ* is a must, so here's a bit more for you...

Our Branch is working hard to ensure our members have regular lunchtime sessions (a free feed usually helps attendances!) And we have been lucky to be able to provide one every month, with the exception of September where we provided two. Yes, we may be small, but we work really hard.

So what sorts of sessions have we had this quarter? We've had a presentation on VERS, Scanning Technologies, an historian's expectation of our industry, and a case study....very good, and a varied platter for our members.

We've had a handful of members finally take the plunge to Associate status – they are to be congratulated and I look forward to seeing more take that step, especially with the new guidelines.

So, what next? A Christmas Party of course. What else would one expect? Party, party, party with a special visitor. You will have to wait for the next edition to see who!

Take care, work hard.....

**Kate Walker, MRMA  
Tasmania Branch President**



## NSW

**Another National Convention has now passed, and I congratulate the organising committee for their excellent job; it was a conference to remember. It was particularly good to catch up with and, in some cases, meet many people from NSW as well as colleagues and friends.**

Our annual branch dinner was a wonderful evening and hats off to Toni Anderson for organising it and dealing with balancing the books afterwards.

My congratulations to those who won the Lyntons, especially Kemal, a most worthy winner indeed, though I'm not sure what Eddis would make of Kemal's wardrobe at convention dinners. We have one more branch member meeting this year in November, and the Christmas Party at Tattersall's - established when the racetrack was in what is now Hyde Park. (Hands up all those who remember that. No-one?)

In our last branch newsletter Joy Siller put forward her views on the Association and the direction it is taking. These comments resulted in some criticism that I believe was not warranted. If you read her piece she is providing an insight into the Association based on her experience over a very long time, and it is my view the Association would do well to consider her comments seriously rather than dismiss them.

In August I attended KM Australia 2004, a knowledge management conference held annually. I was there representing the RMAA and took part in a panel discussion.

In early October I visited Singapore (yes, again) and took part in an EDM conference giving a presentation on the links between EDM and Knowledge Management, (thanks to Rowena Loo, from whom I borrowed heavily), and gave a half-day workshop on Developing Taxonomy and Metadata Standards for EDM Implementation. This also provided the opportunity to once again catch up with friends at the National Archives of Singapore.

And before signing off I should apologise for an error in my last report where I referred to Rowena Crossman of State Records NSW, when I should have used her married name of Loo. Sorry Rowena.

I trust what remains of 2004 is good to you, and all the best for 2005 as it rolls around.

**Geoff Smith, ARMA  
New South Wales Branch President**

## QLD

**The Local Government Chapter held its first meeting for 2004/2005 on 28th August at Toowoomba City Council. The agenda included presentations/discussions on membership and advancement of professional status, the professional development programs in regional areas, and retention and disposal issues. Planning for a 2005 symposium is well under way.**

The State Government Chapter has been busy planning a range of activities for the next 12 months. The Commonwealth Agencies Chapter has also recently met and discussed a range of activities for the coming months.

The branch recently endorsed a proposal from the Queensland University of Technology to offer a Master of Information Management course from 2005. The course will include specialisations in records management subjects.

The monthly Professional Development seminar continued with sessions on 'On-the-Job Training' and 'When Systems Fail' recently presented. Future seminars will be conducted on 'Developing a User Education Program' and 'Privacy & Records Management'.

Congratulations to Geoff Beck, ARMA on the award of professional status at Associate level.

**Philip Taylor, MRMA  
Queensland Branch President**

## ACT

**The ACT Branch has recently played host to the 21st RMAA International Convention and I am pleased to say the convention was an outstanding success.**

The early indications from evaluations are that all aspects of the convention were seen by most as enjoyable, worthwhile and relevant to their needs. It is pleasing to see that RMAA can produce quality programs that address current and topical issues and the ACT Branch has certainly contributed to that.

The feedback from delegates was that the program and speakers were of high quality with a well thought out theme that provided scope for a variety of topics and issues to be covered.

It was also pleasing to see so many delegates attending the masked ball and really embracing the spirit and the theme of the night. It was a fabulous night and much fun was had by all who attended.

My thanks is extended to the ACT Branch particularly the volunteers who worked so hard to help make the convention a

success. A special thanks to Kate McCarthy, Lesley Boye, Grant Williams, Renate Croker, Julie Lenson, Ray Holswich and Ross Thompson.

Also a thanks to the chairpersons of concurrent sessions without your help and support the convention would not have run as smoothly as it did. The Convention Committee is grateful to all who helped make the convention such a success.

I personally was pleased to be a part of the Convention Committee, together with Stephanie Ciempka (chair), Kristen Keley (RMAA Marketing Director), and Thomas Kaufhold. As Stephanie pointed out in her closing address, we can be proud that we have achieved a great event and look forward to supporting next year's event in Perth.

**Veronica Pumpa, ARMA  
Australian Capital Territory Branch President**

## SA

**Branch elections in July saw renewed interest in the SA Branch. We are enjoying one of the largest councils in our history with 15 councillors. The mix within this group is diverse – even numbers of private consultants, local government, commonwealth government and state government specialists and private enterprise professionals.**

Whilst this means lighter work loads for each participant, one wonders why the fresh interest. I think this emanates from several areas:

- The excellent work of the previous council stimulated many members to seek professional status, and a general desire to contribute their time and skills to the network. Several members of the previous council remain, creating a smooth hand over and mentoring for the new councillors.
- State Records SA has also recently completed their metamorphosis – coursing its maturity into a city building, consolidating archival collections at one repository, and releasing a raft of standards and guidelines they have been developing in recent times. State Records has a youthful team of enthusiastic and energetic professional staff and RMAA (SA) looks forward to a close and mutually rewarding relationship.
- State Records released its panel of preferred products – Workbench, TRIM and Objective – at the 2-day conference in August. This state-based conference provided an excellent

opportunity for renewed networking in our state on a scale we have not done before. State Records is to be congratulated for a fabbo couple of days.

Other activities the branch has conducted included a breakfast seminar at which Gwen Lally, SA Account Manager from Tower Software, gave an excellent presentation on her experiences implementing EDRMSs from a global viewpoint. Gwen spent some years in the United Kingdom with Tower and we are pleased she has returned to this state.

Another indicator of current interest in recordkeeping was the attendance at the National Convention in Canberra of 25 South Australians. The conference was informative and entertaining; minimal in controversy, and taking our body of knowledge forward, but always wonderful for networking and re-acquainting with colleagues. The ACT Branch is to be congratulated for its efforts.

**Helen Onopko, ARMA  
South Australia Branch President**



## NT

**We have just returned from a most relevant RMAA conference. These events are a fantastic opportunity to learn by listening to speakers about their interesting papers, networking and sharing ideas. It is also an opportunity to view new technologies and record keeping products.**

The Northern Territory was represented this year by the following agencies: Department of Business, Industry & Resource Development, Department of Corporate & Information Services, Department of Employment, Education & Training, Department of Infrastructure Planning & Environment, Power & Water Corporation, NT Treasury, Northern Territory

Archives, National Archives (NT) and Department of Workplace Relations (NT).

This year saw the largest number of delegates sponsored by their agencies from the NT. Our appreciation is given to those agencies which provided this support to their delegates.

We are now planning to meet with other records managers to exchange ideas, planning our Christmas social function, and of course, to continue our council meetings.

**Pat Parry-Jones, ARMA  
Northern Territory Branch President**

## Coming up in the FEBRUARY 2005 ISSUE OF IQ...

- **CAESAR'S ARCHIVES:** Records Management in the Roman Empire
- **THE FUTURE OF EDRMS:** A View From Atop the Tower  
– Exclusive IQ Interview
- **ON THE RIM** - The Status of the Records & Information Manager
- **LISTSERV CONTENTS:** Popcorn, or Preservation Material?
- **RMAA ANNUAL PORTFOLIO REPORTS**
- **RM PRODUCT DIRECTORY LIFT-OUT**
- **And More**

Deadline for reports and editorial submissions for the February 2005 issue of *InfoRMAA Quarterly*, which has the theme of 'Lessons Learned,' is **December 1, 2004**. Submissions of papers, articles, reviews, news releases, appointment announcements, etc, for this and future editions are welcomed by the Editor.

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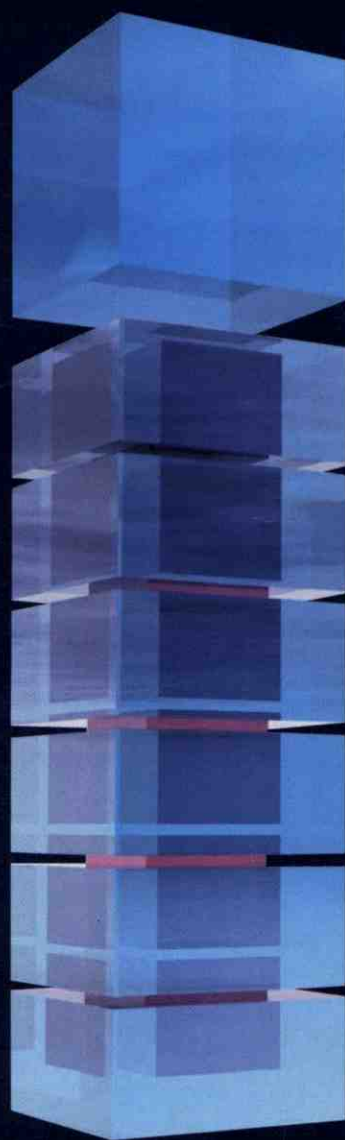
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