WALKING THE LINE

POLICY, LAW & COMPLIANCE

Managing Documents & Risk

Developing an INFORMATION MANAGEMENT POLICY

Is it Time Lawyers SHREDDED THE PRINTER?

Bringing Kiwis Into the Game

23rd RMAA International Convention

ARCHIVES NZ IN BLACK & WHITE
We Interview Chief Executive Dianne Macaskill

In This Issue

Front Cover:
Policy, law and compliance? In today's world it's a delicate balancing act. A number of authors discuss the subject, starting on page 26.

Coming to Grips With Compliance

Worldwide, compliance concerns are driving organisations to make major changes in the way they manage information. But most are in the early stages of reacting to those concerns and many are struggling to address the new legal, regulatory and business requirements.

The highly publicised missteps of several notable companies, and the consequences – lawsuits, fines and even jail terms - have brought records management and corporate accountability to centre stage, particularly in the areas of electronic recordkeeping and email storage.

Guided by law, regulatory statute and business policy, the records manager has the tough responsibility of establishing proper compliance-oriented recordkeeping guidelines, policies and processes.

The quantity and complexity of regulatory requirements that records managers must abide by is staggering. They must deal with the exponential growth of electronic records whilst maintaining and enforcing compliance.

Without consistent policy enforcement, entire records management programmes may be compromised. Without enforcement, records may not be captured in the right place, RIM policy may not flow across business systems and records may not be destroyed when due, kept too long and/or destroyed too soon.

If you are required by law to have it, a missing document presents a serious problem. Alternatively, any record kept past its disposition date becomes a serious liability as it is discoverable in a lawsuit, and the addressing discovery process can also be financially costly.

Without knowing the potential consequences, organisations routinely keep information too long and/or destroy it too soon. While data retention and back-up have been a priority in recent years, in reality, very little information is actually needed for institutional memory. By most estimates, around 95% should ultimately be destroyed.

Industry analysts including Gartner Inc believe that Business Process Management technology is key to enforcing records management policies and lifecycles.

Worldcom and Enron had business policies in place for their records. Yet, when push came to shove these policies were overridden, and records were altered and destroyed. These actions were not properly authorised and there was no enforcement.

So, in addition to managing content, best practice records management requires business process management and rules automation to manage the entire RIM content and lifecycle.

Pre-defined workflow operations can be used to automate records capture and disposition. This ensures RIM policy enforcement so that records are destroyed at the right time, for the right reason, as overseen by the right person.

As a result, processes, including those critical to RIM and compliance, are tightly controlled. Additionally, all records processes can be easily modified and optimised, enabling organisations to address new requirements as compliance regulations come into effect as well as reduce the ongoing compliance costs.

The original Australian Standard on Recordkeeping AS4390 provided a very useful checklist any organisation should follow to ensure the compliance of their EDRMS.

Those organisations wanting to apply good corporate governance principles and ensure compliance need to ensure their records management strategy has addressed the following:

1. Good policies and procedures: With the development of electronic documents, organisations must have made, or be planning to make, changes to the way they manage information. Information management policies are the starting point.

2. Executive-level programme responsibility: Senior executives clearly need to take a more visible role in information management. Many record managers haven't received guidance on information management from senior executives, and many organisations do not have an executive statement of support for the information management programme.

3. Proper delegation of programme roles and components: Some organisations are not bringing the right people to the table to develop and administer information management programmes. Organisations have done much more in information security and paper-based records management than in the area of electronic records management, a huge inconsistency given that most documentation processes are now electronic.

4. Programme dissemination, communication and training: Gaps in communication and training threaten to undermine the effectiveness of information management programmes. Many organisations fail to provide regular employee training, and the training that is conducted often focuses on RIMs rather than executives, IT and other staff.

5. Auditing and monitoring to measure program compliance: While only a minority of organisations involve auditors in the development and administration of information management programmes, internal auditing and monitoring will be enhanced and accountability issues addressed by a compliant recordkeeping system.

6. Effective and consistent programme enforcement: Good intentions are not enough. Records and information management directives need to be consistently enforced, otherwise the work to develop them is useless.

7. Continuous programme improvement: Every organisation has room for operational improvement. In a volatile and constantly changing environment, records management programmes and procedures constantly change and need to be reviewed.

Compliance should no longer be considered a burden to an organisation. It should form an integral part of the corporate strategy, ensuring a business advantage in today's competitive marketplace.

Kemal Hasandedic, FRMA
National President, RMAA

Kemal Hasandedic,
RMAA's National President

From the CEO

Good News Comes in Fours

This is one of the more important columns I have had to write, as I have the very pleasurable task of reporting prestigious awards received by our members recently.

The RMAA has awarded two Life Memberships, an honour established to recognise deserving members whose information and records management activities have brought credit to the Association and who have contributed to the growth of information and records management and its recognition as a profession.

The two latest awardees are:

Philip Taylor, Life MRMA – QLD

- Philip joined the RMAA on 1 May 1976 and was granted Member status prior to his move to Queensland in 1991.
- Philip was an active Director in 85/86, 89/90 (held position of Vice President), 90/91, 91/92,01/02 and 02/03 and has been on the National Education Committee for more years than I can count.
- He has served on Qld Branch Council since 1991 and as Branch President since 2001.
- Was active on the Victorian Branch Council prior to relocating to Queensland.
- Participated on and chaired the RMAA National Education Committee ("for ages").
- Developed Qld's successful Professional Development series, which has been running for a number of years. Phil is currently working on an improved half & full day program format for 2006. The new format will make the program more attractive to regional delegates who need to justify travel arrangements to attend.
- Has established and maintained regular contact with tertiary institutions, such as University of Southern Queensland, in an effort to have Records Management studies included on their curriculum. This has included assistance to the institutions in developing content for the Records Management modules.
- Phil has facilitated numerous seminars conducted by the Association both as Qld Branch President and the Branch's Professional Development and Education coordinator
- He has been presenting papers since Noah was a boy. And he is a member of *IQ*'s Editorial Board.

Chris Fripp, Life FRMA – NSW

Chris has held nearly every position possible, and helped steer the Association to the direction it is heading in today.

At Branch level:
- NSW Branch Councillor 1986 – 2006
- Chairman, Special Projects Committee 1986 – 1989
- Secretary NSW Branch 1989 – 1991
- Treasurer NSW Branch 1991 - 1992, 1998 – 2006
- President NSW Branch 1991 – 1994

- President of the NSW Local Government Chapter 1995 - 2000
- At National Level:
- National President RMAA 1999 – 2005
- Director of the Board 1989 – 1994, 1998 - 2005
- Federal Treasurer 1994
- Federal Secretary 1992 – 1993
- Company Secretary 1997 – 1999
- Chair Federal Membership and Status Committee 1998 – 2002
- Member of National Membership and Status Committee 2002 – 2006

Award:

Inaugural Eddis Linton Award for Excellence for Outstanding Individual Contribution to the Records Management Profession 1999

Two More RMAA Members Honoured

The good news doesn't stop there. David Moldrich (Vic) has been awarded an Order of Australia Medal (OAM) for his work in records and standards development, in the Queen's Birthday honours.

But wait… there's more! Anastasia Govan (NT) has been named Young Professional of the Year. Anastasia has demonstrated her incredible professionalism and has achieved results well beyond her years in her professional and personal sphere.

(See this issue's Industry News for more details of David and Ana's awards.)

This is the best start to a column that a CEO could ask for, recognition for members for their continued efforts to strive towards recognition for their chosen profession.

Remember, any member or organisation that you feel has made a significant contribution to the profession, nominate them for the Eddis Linton Awards. And Branches, you can members for Life Membership.

Strategic Plan Approved

I'm pleased to advise members that the RMAA National Board, in consultation with Branches, has approved their Strategic Plan for 2006/07 - 2009/10.

The purpose of this strategic plan is to guide RMAA's course for the four-year period to 30 June 2010. The plan outlines the strategic focus and value that RMAA seeks to deliver to stakeholders through implementation of strategies and initiatives, and by measuring progress against the strategic performance objectives (SPOs). This document is used as a key input into all of RMAA's planning processes and work programmes.

While projections and strategies for the future are reflected in this plan, it is recognised that the records management profession is undergoing continuing reform and development. For these reasons, the strategic plan is regularly updated to reflect profession and market changes.

The years ahead are challenging, but we must continue to develop our vision and mission to meet the needs of our members, the Association and the profession. Together we will achieve these.

Kate Walker
RMAA Chief Executive Officer
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Kate Walker,
CEO of the Records Management Association of Australasia

From
the Editor's
DESK

A KIWI FLAVOUR

We have a Kiwi flavour right through this issue of *IQ*, starting with an interview with the Chief Executive of Archives New Zealand, Dianne Macaskill, followed by an article on RIM qualifications in New Zealand.

In addition, our RMAA Snapshot is of the Association's Auckland-based Vice President, and in this issue's RIM Relics we have a great story about the journals of Kiwi athlete Jack Lovelock, who held the world mile record and won the 1,500 metres at the 1936 Berlin Olympics.

POLICY, LAW & COMPLIANCE

With policy, law and compliance becoming all-important issues to the RIM community, we feature a number of articles on these subjects.

One author asks if it is possible to design an EDRMS that supports compliance and is also easy to use and administer. From the UK, we have an article on information management policy. From two Sydney academics, there's a paper on managing documents and risk.

We look into how the legal community is coping with the documents and law in the digital age. And both RMAA President Kemal Hasandedic and regular columnist Ken Tombs weigh in on the issue of compliance.

CAIRNS CONVENTION PREVIEW

The 23rd International RMAA Convention takes place next month in sunny Cairns, and in this issue we preview the event, inclusive of an interview with keynote speaker Susan McKinney, President of ARMA International in the US.

If you haven't already registered for the RMAA Convention, do it now – I'm predicting it will be the best attended ever.

ORDER YOUR *IQ* ANNUAL NOW!

We've been working on this superb production for a year. Published next month, the *IQ* Annual is more a book than a magazine. This once-a-year journal is packed with RIM information you will read, keep, and use. Don't miss out, order you copy now. See page 51 of this issue of *IQ* for details.

Stephen Dando-Collins
Editor, *IQ* Magazine and *IQ* Annual
editor.iq@rmaa.com.au

'Dear
Editor...'

Australia's National Archives Responds to Question About Security Reclassification of Government Documents

The May issue of *IQ* reported the reclassification of previously released archival material in the United States and its withdrawal from public access *(see 'War on Terror Targets Documents in Government Archives')*.

The National Archives of Australia can confirm that there is no similar programme of reclassification occurring in Australia in relation to archival material of the Commonwealth Government.

In Australia, the Archives Act 1983 governs public access to Commonwealth Government records over 30 years old. Under that Act, the National Archives itself makes the decisions on whether or not to release records to the public.

That is done in consultation with government agencies when we need to ask whether or not information proposed for release still has some current sensitivity. However, ultimately the decision to release or withhold records rests with the National Archives.

The Archives Act makes the process of releasing records of the Commonwealth Government very transparent. If information is withheld from public release, this is recorded on our online catalogue, RecordSearch, available on the National Archives website at www.naa.gov.au. It is also recorded on the record itself.

People have the right to ask why information has been withheld, and they may have the right to appeal through formal appeal mechanisms against any decision of the national Archives to refuse or restrict access.

Each year the National Archives releases many shelf metres of records for public access. For example, in 2004-05, we released more than 245,000 records. These include many records that were previously high classified.

As our Annual Report notes, more than 98% of records released in 2004-05 were wholly released for public access. One hundred and seventy-one of the 245,000 records, (or 0.07%), were wholly withheld because they consist entirely of exempt information.

When information is withheld, it is as likely to be to protect personal privacy as it is for defence, security or intelligence reasons.

The Archives Act protects against information being withheld on whim or because it may be embarrassing to the government agency that created it.

People can be assured that no programme of reclassification of previously released Commonwealth government records is running in Australia.

Anne McLean
Director of Access & Information Services
National Archives of Australia
Canberra

They
Told
IQ...

'The digital revolution is having a profound impact on records management. As a relative newcomer to the world of records management, but not to the world of information, it's hard to see what's happening as other than a paradigm shift'

Natalie Ceeney, Chief Executive of the National Archives of Great Britain
(See her article of the future shape of RIM in the upcoming IQ Annual*)*

ECM...
in focus

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Two RMAA Members Honoured For Their RIM Work

Moldrich OAM a World First for RM

MELBOURNE: David Moldrich, RMAA Victorian Branch President, was awarded an Order of Australia Medal (OAM) in the Queen's Birthday honours in June for his services to records management and his standards development work.

The award's citation reads, 'For service to the records management industry, particularly through the development of industry standards.'

A humble David, who is Information Management Policy Network Manager with BHPBilliton, told *IQ*, "This award is a sign of the maturity of the records management industry, and a recognition of the importance of recordkeeping today."

A widely published, internationally recognised and respected RIM expert, David has been, since its inception, Chair of the Standards Australia IT/21 (records management) committee. He is also Chair of the International Standards Organisation TC46 SC11 Archives/Records Management.

Both committees have published a number of groundbreaking standards, including AS4390, AGLS-AS5044, AS5090, and the landmark ISO 15489. And both are currently developing new innovations in the areas of compliance, metadata, workflow and technology delivery standards.

A Fellow of the RMAA, David has been a National Director of the Association. In 2003, he won the J Eddis Linton Award for Most Outstanding Individual within the profession. David is currently working on an innovative project for BHP Billiton, details of which will be shared with *IQ* readers later this year.

David Moldrich, who has been awarded the Order of Australia Medal for his services to records management and standards development

Believe it or not, despite his busy job and extra-curricular industry activities, he actually has time for hobbies – he is a part-time musician. "Anyone need a band?" he asks. Perhaps he'll be up for a Grammy Award next.

David has been made immensely proud, and a little embarrassed, by his OAM. He told *IQ* that, to his knowledge, records management has not been recognised around the world in this way, and he hopes that his award will unleash a torrent of recognition for practitioners internationally.

Young Professional of the Year
Anastasia Govan

Anastasia Govan is Young Professional of the Year

DARWIN: **Enthusiastic Northern Territory RMAA member and *IQ* contributor Anastasia Govan has been chosen as 2006 Young Professional of the Year by Professions Australia.**

Anastasia was nominated for the award by the Australian Computer Society, of which she is also a member.

In announcing the award in June, the President of Professions Australia, Dr David Thompson, said that Anastasia "has made an outstanding contribution to her profession across Australia through her work as a part-time university lecturer and also through contributing to the local information and communication technology community."

Dr Thompson said, "Ms Govan has had significant involvement in the Australian Computer Society Young IT Forum since its initial meeting, and is currently the Board Director.

"Her obvious commitment to young people through the initiatives and activities she has undertaken as part of the Forum confirm her commitment to helping other young people find their way in her profession."

Anastasia is currently principal consultant with Inforg in Darwin. Previously, she led the EDRMS implementation at the Northern Territory Power/Water Corporation, a journey which she documented in a series of three articles in *IQ* in 2005-06.

"I get a real buzz out of achieving goals," she said after learning of her selection as Young Professional of the Year. "Particularly in helping young people, regardless of their profession, to make the most of what they've got."

Send Media Releases to:

editor.iq@rmaa.com.au

National Archives Launches Xena into Digital Arena

CANBERRA: **The National Archives of Australia has released what it hopes will be the answer to obsolescence in the digital age, the Xena software application.**

Speaking at the Chief Information Officer Forum in Canberra on June 7, the Director-General of the National Archives, Ross Gibbs said that Xena (XML Electronic Normalising of Archives) was designed to ensure that Australia's digital heritage survives into the future.

"As the official custodian of Commonwealth records, the Archives has a significant role to play in ensuring the preservation and accessibility of digital records well beyond their creation," Mr Gibbs said.

"In 2002 the Archives determined that digital records of archival value, created in any format, were to be preserved. This principle has guided our research and development of software and hardware infrastructure to support digital preservation."

This year the R&D work culminated in a working prototype of a digital archive, including Xena, which converts digital file formats into a small number of open formats based on XML.

Cornel Platzer, the Archives' Director of Digital Records, said, in a June 7 media release, 'A digital document created 20 years ago would have been created on a personal computer running DOS using something like WordStar, saved to floppy. Here's the problem: PCs 2006-style don't read floppys!'

The National Archives' digital preservation facilities house processing networks, a digital archive, and a separate laboratory for staff. The facilities are in two access-controlled and network isolated rooms at the NAA's Canberra HQ, with back-up power, environmental monitoring and a fire-suppression system.

The NAA is offering a complimentary copy of Xena. For your copy or more information, contact: Cornel Platzer, Director Digital Records, National Archives of Australia, on (02) 6212 3694 or 0409 444 039.

Tax Man Cautions on Service Arrangements

CANBERRA: **The Australian Taxation Office (ATO) has released a new ruling that will affect businesses operating in the RIM sphere that use service arrangements.**

The ruling affects businesses which use a related company or trust to provide services such as recruiting staff or clerical or administrative work.

ATO Small Business and Alliances & Information spokesman Greg Rawson told *IQ*, " Case work showed that in some cases fees from these arrangements were grossly inflated, and in some more serious cases it appeared that the services had not actually been provided."

To help taxpayers ensure the fees paid to related parties are tax deductible, the ATO has finalised a new ruling and a guide.

"We are giving affected taxpayers until 30 April 2007 to use the guide to review their existing arrangements and make changes as necessary," said Rawson.

The new guide, 'Your Service Entity Arrangements,' can be found at www.ato.gov.au

Recall Launches Professional Services Division as Part of New Business Drive

SYDNEY: **Document management specialist Recall has launched a Professional Services Division to consult to customers and help them with their document and records management strategies and services.**

Known primarily for its storage, retrieval and secure destruction services worldwide, Recall has become a major business focus for its owner, Australian company Brambles.

As reported in February's *IQ*, Brambles has been divesting itself of businesses other than Recall and Chep Pallets. That divestment was completed at the end of June with the sale of UK waste disposal business Cleanaway, to a French buyer.

With Brambles cashed up, several recent strategic RIM industry acquisitions have been added to Recall's RIM armoury.

Business process outsourcing (BPO) has been one of Recall's fastest growing service areas, but in the past the company has confined the business process outsourcing work it did to such things as data entry and data capture, for clients in the banking, finance, insurance and logistics fields.

With the acquisition of Commercial Computer Centre, Recall has given itself the technology and the experienced staff to be able to capitalise on the BPO market's growth potential.

The new Professional Services Division will offer clients the full range of Recall services, including BPO.

Tim Whiteside, Recall's President Asia Pacific, said, in a media release, "Recall's Professional Services division is there to consult with customers to help design better systems and processes for their information.

"This may result in that company outsourcing business processes to us, or, in the case of compliance, in the form of strategies and services to best satisfy the requirements of legislative and regulatory bodies."

Catholic Education Takes Objective Approach

ADELAIDE: **Catholic Education South Australia has chosen an Objective ECM solution to manage its information.**

The Catholic Education Office provides services such as professional development for teachers, financial management, special education, and curriculum development across 108 Catholic schools in South Australia.

The Objective solution will serve 165 users at two locations. It was selected after the Brisbane Catholic Education Centre in Queensland recently rolled out the same system to 200 users.

First EDRMS Seminar Attracts Large Audience
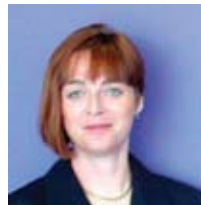
Information Enterprises Australia's **Lorraine Bradshaw**

PERTH: **The first EDRMS seminar conducted by WA company Information Enterprises Australia (IEA) attracted a large audience to the University Club at the University of Western Australia over three days in June.**

IEA may have held its breath going into the event, but with "upwards of 100 delegates", when similar seminars frequently attracting 40 to 60 delegates in the eastern states, they can rate it a great success.

"We had quite a few early implementations showcased," IEA seminar organiser Lorraine Bradshaw told *IQ*, "and delegates thought it would be a fantastic idea to revisit these organisations further down the track, which makes sense as some other delegates hadn't even started implementation.

"The launch of the Digital Standard on the Friday afternoon by Mark Brogan of the (WA) State Records Office was also well received."

New pdfDocs Releases Offer 'Cleaner' Doc Distribution

SYDNEY: **DocsCorp, Australian-owned creator of the pdfDocs document processing and exchange software, has released its latest offerings, emphasising their capacity to transmit 'clean' e-documents.**

DocsCorp says that pdfDocs Desktop 1.8 and pdfDocs OCR 1.1 offer significant advantages to their users, notably guaranteeing

that documents can be communicated to external parties without the risk of exposing embarrassing or confidential information.

The PdfDocs solutions suite produces documents that contain no metadata from the original document and cannot be changed or modified in any way. At the same time, users can redact PDF documents, completely removing text or an area of text/graphic.

Using a DocsCorp product, any document or email can be converted to PDF, and can then be saved to any leading EDRMS, optimised for the Web, or emailed.

Pharmac Dispenses With Old System in Favour of Objective ECM

WELLINGTON: **New Zealand's Pharmaceutical Management Agency, or Pharmac, has chosen an Objective ECM solution to manage its information.**

Pharmac, a six-year-old New Zealand government agency, manages a list of subsidised pharmaceuticals and promotes their responsible use.

The agency was looking for a system that would more effectively manage its documents and records than the system it already had in place, would more easily monitor contracts with drug companies, and would manage critical workflows such as funding applications.

The big attraction of the Objective solution was, in the words of Pharmac's Manager Analysis and Assessment, Matthew Brougham, in a media release, "Objective offered the whole package, a single ECM solution built from the ground up."

Because of the sensitivity of the information Pharmac deals with, Objective will also assist with classifying the security of information, at the same time supporting the agency's compliance with New Zealand's new Public records Act.

The Pharmac win for Objective comes on the back of a prestigious contract in April to supply the New Zealand Department of Prime Minister and Cabinet with an ECM solution, a contract that was competed for by twelve vendors.

80-20 Flies into Auckland Airport

AUCKLAND: Auckland International Airport Limited (AIAL) has implemented 80-20 Software's Leaders solution to streamline the process of creating and distributing board papers and materials to its board and executive team.

"Since we implemented Leaders," said AIAL Company Secretary Charles Spillaine in a media release, "we have seen a rapid shift towards a paperless boardroom."

Leaders, from Melbourne-based 80-20, is designed to give board members instant access to an organisation's confidential information no matter where they are in the world.

"Our directors have taken to the new system," says AIAL's Spillane, "and are using Leaders to review board information on their laptops securely, at their convenience."

The Heavens Opened But NARA Survives the Flood

WASHINGTON DC: The National Archives & Records Administration is recovering from flooding after very heavy rain.

Closed for 3 weeks in June-July, NARA's HQ used major drying and dehumidifying equipment to dry out facilities, but no records were damaged.

Security Diagnosis Poor for UK Health e-Records on Portable Storage Devices

LONDON: A UK survey has found that almost two-thirds of portable storage devices used in the National Health Service (NHS) provide little or no security, putting potentially sensitive patient information at risk.

The UK's *Computing* magazine reported on June 27 that the survey had been conducted by Pointsec Technologies UK and the *British Journal of Healthcare Computing & Information Management.*

The survey found that half of those storing data on mobile devices were using their own equipment in breach of security requirements.

Twenty percent of mobile storage devices being used within the NHS had no security at all, while another 40 percent have nothing more sophisticated than password-controlled access. Computing says that hackers can bypass a password in seconds using software available on the Internet.

Twenty-five percent of respondents use passwords plus one other form of security – encryption, biometrics, smart card, or two-factor authentication.

Upwards of half of the respondents routinely carry patient records on their portable devices.

The devices used include memory sticks (76 percent of respondents), laptop/tablet PC (69 percent), PDA/BlackBerry (51 percent), smart card (nine percent), and mobile phone (2 percent).

European Court Rules Against Information Sharing With US

LUXEMBOURG: The European Court of Justice has ruled that an agreement between the European Commission and the USA where European airlines would have to provide personal information about US-bound airline passengers to the American government had no legal standing.

The agreement, which took eighteen months to negotiate and was to have run until 2007, was supposed to support US efforts to fight terrorism.

The New York Times (May 30) said that the European Parliament had taken the agreement to the court, objecting to the extent of the personal data which would be handed over. The agreement would have given US authorities access to 34 categories of information about passengers boarding US-bound aircraft in all 25 members countries of the European Union.

That information included names, addresses, telephone numbers, itineraries, payment information, and credit card numbers.

The court has given both parties until the end of September to negotiate a new, more acceptable agreement.

EU Gets into E-Government Bed With China

BRUSSELS: **The European Union has allocated 15 million euros to a four-year project to help China develop e-government in its provinces.**

The project, ARMA International reported on May 22, will fund specific projects in individual Chinese provinces.

In one province, it will focus on integrating e-government service delivery. In another, it will aim at unifying emergency service response. In another, the focus will be on developing welfare smart cards. While in another the project will extend online services to rural communities.

Martin Luther King's Records Snatched from Under Auctioneer's Hammer

NEW YORK CITY: **The personal records of civil rights leader Dr martin Luther King have been saved from auction by an initiative by the mayor of Atlanta which raised US$32 million in a matter of days.**

The King collection, which was due to be sold by auction house Sotheby's in New York, where the items went on display in June, totalled more than 7,000 items. These included telegrams, 800 index cards containing sermon ideas, a spiral notebook used by King when he spent time in gaol, and an early handwritten draft of the famous 'I have a dream' speech.

The London *Guardian* of June 28 reported that the Mayor of Atlanta had pulled together a coalition of Atlanta businessmen and philanthropists to raise the $32 million to purchase the collection in just several days.

The King collection will be housed at Atlanta's Morehouse College, the black liberal university which King attended from age 15. The money from the purchase will go to Dr King's four children.

CIA Secretly Sifting Bank Records

WASHINGTON DC: **In a secret White House programme begun shortly after September 11, 2001, the CIA has been covertly sifting through bank records obtained through a vast international database.**

It was revealed on June 22 by *The New York Times* that the US government had not sought individual court-approved warrants or subpoenas to examine millions of bank transaction records.

In a detailed expose, *Times* reporters Eric Lichtblau and James Risen wrote that several people in government agencies who had been familiar with the secret programme 'believed they were exploiting a "grey area" in the law and that a case could be made for restricting the government's access to the records on Fourth Amendment and statutory grounds.'

Two days later, US Vice President Dick Cheney lashed *The Times* for making the operation public, according to MSNBC describing that operation as "absolutely essential" to the fight against terrorism.

Critics of the programme voiced the view that it was not what was done and was still being done that they were unhappy about, but how it was done.

On June 24, the *New York Times* stated in an editorial that such records sifting operations must be undertaken 'under a clear and coherent set of rules.'

25 Million Emails a Day Costs Spammer $10 Million Court Judgment

AUSTIN: **Described as 'one of the world's worst spam operators', Ryan Pitylak will pay US$10 million in fines and legal fees, and has agreed not to send**

another spam email ever again.

Pitylak and three partners were taken to court by the State of Texas and Microsoft. *The Austin Business Journal* (June 8, 2006) reported that the settlement had been reached in the US District Court on June 7. Pitylak had admitted sending 25 million spam emails a day in 2004.

In addition to paying the fines and legal costs, 24-year-old Pitylak, a recent Texas University graduate in economics and philosophy, has agreed to never again send a spam email.

Texas Attorney General Greg Abbot, in a June 7 media release, said, "Today's crackdown effectively shuts down one of the world's worst spam operators and sends a warning to others who would engage in spam emails for profit."

Pitylak, who is said to be selling his Austin home and BMW car to help pay the judgment, has offered his services to Internet companies as an anti-spam consultant.

Documents Seal Fate of Enron Chiefs

HOUSTON: **It was no surprise to anyone when former Enron Chairman Kenneth Lay and his CEO Jeffrey Skilling were both found guilty of fraud on May 25. Nor that it was reams of corporate documents that proved their guilt.**

The New York Times of May 26 reported that during the trial, which lasted 16 weeks and involved 56 witnesses. 'They (the jury) were shown thousands of pages of corporate documents and spreadsheets' and 'they took 27 boxes worth of evidence with them into the jury room where they deliberated.'

News analyst with *The Times*, Kurt Eichenwald, wrote on May 26, 'The testimony and the documents admitted during the case painted a broad and disturbing portrait of a corporate culture poisoned by hubris'. Kenneth Lay died of a heart attack on July 5, in Colorado.

Anti-DRM Activists Target U2's Bono

BOSTON: **The Free Software Foundation (FSF) launched an online petition at the end of June aimed at winning the support U2 vocalist and good cause advocate Bono for its campaign against digital rights management (DRM).**

Associated Press reported on June 29 that FSF says that copy-protection technologies unnecessarily restrict consumers' rights, and has launched the petition to win the support of Bono in its ongoing campaign against the likes of Apple Computers and Sony.

FSF is behind the license used by the Linux operating system and other open source software. It wants to eliminate DRM restrictions through its Defective By Design campaign, which it hopes Bono and other high profile celebrities will endorse.

US School e-Records Programme Goes Haywire

NEW YORK CITY: **Multi-billion dollar projects to electronically collect student information across all American states have reportedly gone way off track, with budgets blown, contractors dumped, and systems failing.**

It was reported in *The New York Times* of May 15 that the state-by-state drive to computerise school records, one of the nation's largest e-records projects, is way behind schedule and over budget in many states.

The projects, set in motion by President George W Bush's 2002 education law 'No Child Left Behind', have set out to record and centralise attendance logs, test scores, school expenditures, and other records normally collected in US public schools.

The worst problems have been encountered in the states of Idaho and North Carolina. In Idaho, a private foundation put $21 million toward a data system for public schools, but pulled out of the project when estimated completion costs blew out to $180 million.

In North Carolina, a statewide school computer system called NC WISE (Windows of Information on Student Education) is years behind schedule, with estimated costs running at $250 million. *The New York Times* says that North Carolina teachers have labelled the project NC STUPID.

IBM, the second contractor employed on NC WISE, had its contract cancelled last February. The state hopes to complete the system by 2008, at a further cost of $140 million.

In California, a $60 million has been spent on their state's system, but it will cost another $60 million to connect it to California's public schools.

Some states have bucked the negative trend. Georgia's system is up and running, and is set to track grades and test results for the state's 1.3 million students from year to year and school to school. In addition to identifying problem areas, the Georgia data will permit educators to compare student achievement with school expenditure.

The Georgia system cost just $14.5 million. That's the good news. The bad news is that previous unsuccessful attempts to get a similar system up in Georgia cost $85 million.

The problems across the country have much to do with the fact that there is no coordinated national programme. Each state is doing its own thing. The federal Department of Education offered technical assistance, but was frequently ignored.

The federal government has spread $52.8 million around 14 states that are building 'longitudinal' computer systems aimed at tracking student records year by year, but the majority of states are going it completely alone, with different objectives, budgets, systems, and contractors.

Some states have opted for simple projects to link existing databases, because separate databases currently store different information – one for grades, one for tests, one for disciplinary measures, one for finances, one for personnel, and so on. New York State, for example, is spending $32.1 million to build a central data repository system.

More comprehensive projects have broader objectives. Some states are even striving to give parents the ability to track their child's attendance and achievement through secure websites.

The New York Times reported Shawn
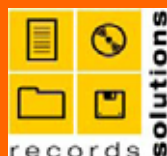
Bay, founder of eScholar, a software company that has helped build successful student data warehouses in 20 US states, as saying, "If you're tracking boxes of toothpaste, all are essentially the same flavour. But every student is different, and tying together all the information schools collect about them is incredibly complex."

Is MDR Better Than FOI? NARA Workshop Discusses Options

COLLEGE PARK: The US National Archives and Records Administration (NARA) conducted a workshop on June 30 to brief researchers, the media and the general public on the options available under Mandatory Declassification Review, (MDR), an option to Freedom of Information requests at NARA where security classified documents are concerned.

Transferred to the College Park Maryland NARA facility after severe flooding in the national capital disrupted activities at NARA's Washington DC headquarters, the free workshop was conducted by the National Archives Information Security Oversight Office.

The workshop was designed to inform the public of their rights in obtaining the maximum information from the National Archives and the Presidential Libraries via a request for a declassification review of classified national security documents.

The subject of reclassified national security documents has been a sore point for NARA ever since it was revealed earlier in the year that US security agencies had been conducting secret ongoing reclassification of documents held by the National Archives for years. (See 'War on Terror Targets Documents in Government Archives', May 2006 *IQ*.)

Led by William Leonard, the Director of the Information Security Oversight Office, the workshop's aim was to tell the public that it has the right to insist that a classified record be reviewed in order to ensure that it still meets the standards for

continued classification.

The workshop set out to train attendees on how to file a mandatory declassification review request and to school them in what that their appeal rights are should a government agency refuse to declassify a record.

In some instances, said NARA in a June 28 media release, it can be to the advantage of the public to file an MDR rather than a Freedom of Information request.

New York State Archives to Give US$9.65 Million to Community Records Projects

ALBANY: As part of Governor George Pataki's 2006-2007 State Budget, the New York State Archives (NYSA) is giving grants to hundreds of local government and community organisations for records projects large and small.

In a June 30 media release, the NYSA, part of the New York State Education Department, announced grants under the Local Government Records programme and the Documentary Heritage programme.

The records projects included in the grants vary enormously, covering areas of both preservation and education. Some involve judicial transcripts from the 1600's when New York was the Dutch colony of New Amsterdam to sophisticated electronic geographic information systems.

Local government records grants range from $915 to permit the town of Lisbon to repair, restore and rebind dismantled volumes of its birth and death records, to $125,000 each for e-government, imaging, and storage and retrieval projects in five counties.

Grants under the Documentary Heritage Programme cover projects from the third stage of the Domincan Studies Institute's study that has been documenting the Dominican community in New York, to a Cornell University project that is documenting the grape-growing and

winemaking industries of New York State.

Other projects being supported are the creation of a Latino communities record, the accessing of the records of the High Rock Knitting Company of Philmont, and a study that will document the impact of the World Trade Center destruction in 2001 on Staten Island.

Competition for the grants was intense. A panel of records management and archives experts from throughout New York State determined the successful applicants.

New York State Archivist Christine W Ward said, in the June 30 media release, "The high degree of interest in these grants demonstrates a statewide appreciation for the importance of records, whether it is managing today's records for the smooth operation of municipal government or preserving older records to save local history."

The grants are funded from a small percentage of the fees paid when the public files or records documents with the clerks of state counties or with the Register of the City of New York.

Canada Releases Its New E-Records Standard

OTTOWA: The Canadian Government has approved a new Canadian national standard to help both the private and public sectors in Canada ensure their electronic records and transactions are reliable, trustworthy and recognised as authentic by the Canadian legal system.

Arma International reported on May 22 that the new standard – Electronic Records as Documentary Evidence (CAN/CGSB 72.34.2005) has finally been released.

The standard also outlines the documentation policies, procedures and practices that organisations need to establish the integrity and authenticity of recorded information as an e-record in an e-record management system.

The standard may be ordered at www.techstreet.com/cgi-bin/detail?product_id=1252845. iQ

Archives New Zealand in Black & White

As a part of this issue's focus on RIM in the Shaky Isles, *IQ* talks to Archives New Zealand's Chief Executive DIANNE MACASKILL, and asks her about the challenges facing both her and the Archives.

IQ: **Dianne, you were appointed Chief Archivist in 2001, having previously been Deputy Government Statistician. How did your previous post prepare you for the role with Archives New Zealand?**

DM: My career has been focused on information and on the management of and access to that information. While the methods used to collect, document and make archives and records accessible are different to those used for official statistics, many of the underlying issues are similar.

For example, you need to remain aware of how technology advances and how it can be leveraged to provide better access as well as more cost effective management. Making large volumes of information easy to access and understand is also central in both roles.

IQ: **How many staff, and how many records come under your charge at Archives NZ?**

DM: There are about 120 staff at Archives New Zealand, and 82 kilometres of records. Currently we have about 2.5 million items on Archway, our electronic system for

DM: Overall, the position has less of a media profile as there is not an ongoing media interest in the work that we do.

I would like to see the media taking more interest in archives and records and their importance for informing who we are as a people and for keeping government and government agencies accountable.

Often there are significant records issues associated with perceived failures in both government and business. Reviewers will often identify the records issues but these are not usually picked up by the mainstream media.

IQ: **How much influence do you have in shaping recordkeeping practices within New Zealand's public sector?**

DM: The Public Records Act 2005 provides significant powers that help shape recordkeeping practices. For example, the Chief Archivist can issue mandatory recordkeeping standards and from 2010 onwards agencies will be audited against these standards.

Another example is the requirement for the Minister Responsible for Archives New Zealand to present a report

> ' **When you lead a government agency and an archives institution the real challenge is to make sure you focus on the future** '

managing archives and making them accessible over the internet. Archway is a new system, and items are still being added on a daily basis, and the number is expected to reach 4 million.

IQ: **What has been your most interesting discovery since taking up the job?**

DM: The most interesting learning for me has been the complexity of effective records management both in the paper and the electronic world and the need to continue to find new and innovative solutions to recordkeeping challenges. For example, preservation of electronic records, and access to those records.

IQ: **What has been the steepest learning curve for you at Archives NZ?**

DM: No one issue stands out. When you lead a government agency and an archives institution the real challenge is to make sure that you focus on the future. You need to develop the judgment to ensure that the decisions you make today will result in a more effective organisation in the future.

IQ: **The position would appear to have a much more prominent media profile than your last job. Has that required some adjusting by you?**

on the audits to the House of Representatives.

The Act puts the responsibility on each public office to maintain effective recordkeeping systems. Archives New Zealand has very skilled staff who are sought to provide advice to many agencies on recordkeeping issues.

Our recordkeeping products, branded as Continuum, are considered to be authoritative and very widely used by recordkeepers. The confidence in our products means that Archives New Zealand has a lot of influence in shaping recordkeeping practices.

The Act also has two sections which set out requirements that every public office needs to follow. One of the requirements carries over from the Archives Act and states that no public office can destroy or otherwise dispose of a record without the approval of the Chief Archivist.

The second requirement is new, and requires public offices to create and maintain full and accurate records in accordance with prudent business practice. The Act also requires documents to be kept in accessible form while they are still needed as administrative documents.

IQ. **How has the New Zealand Public Records Act of 2005 changed the face of recordkeeping in New Zealand?**

DM: The Act has raised the profile of the importance of recordkeeping. While agencies within the ambit of the Act

ARCHIVES NEW ZEALAND BLACK & WHITE: Continued from page 17

are aware of their legal obligations, it is clear that private companies are also realising the business value of good records management practices.

There is a high demand for our products from both public and private sectors. Communities are also becoming more interested in their own records and the value of these for telling their own stories.

Last year, Archives New Zealand undertook a Government Recordkeeping Survey to use as a basis for the Minister to present the annual report to parliament that is required under the Public Records Act. This survey showed that there had been a lot of positive change since the last survey was undertaken in 1998.

IQ: Anecdotal evidence suggests that the Act created a number of new jobs in the records and information management field. Did the Act's introduction also mean that Archives NZ had to hire more staff?

DM: The number of staff working at Archives New Zealand has been gradually increasing over several years. This is not directly associated with the introduction of the Act but rather a response to the need to be more active in providing advice on managing current records as well as continuing to ensure that records of enduring value were properly managed.

The new Act provides specificity about the current recordkeeping role but it was one that we had been doing for some time.

In New Zealand, the job market for records managers is very active and this has probably resulted from the recognition that professional, skilled staff are needed to manage the complexities of effective recordkeeping and meet the requirements of the Public Records Act.

IQ: What changes still have to have to be made in NZ public sector recordkeeping practices to meet the Act's requirements?

DM: There are still a number of areas that need to improve in the lead up to the first audits in 2010. When I talk to Chief Executives I advise them to make sure that they have a recordkeeping policy and that someone at the senior management table is responsible for its implementation and making regular reports on progress.

We have also noted that agencies with a central recordkeeping budget find it easier to implement consistent standards. There is still a lot of work to be done on the management of electronic records.

For example, recordkeeping policies are often focused on paper records. A number of agencies hold records exclusively in electronic form but don't have a recordkeeping system for managing these records.

IQ: The Act provides for substantial financial penalties for non-conformance. What role can Archives NZ play in preventing infringements getting to that point?

DM: Our aim is to provide agencies with all the information they need to effectively manage their records. We recognise the complexity of this task and have a suite of products - Continuum - which can be accessed on our website, www.archives.govt.nz.

Continuum contains guidelines, standards and advisory notices on a range of recordkeeping issues. In addition, we hold quarterly recordkeeping forums. These are important because the people who attend are able to provide us with advice on the kind of products they need to assist with recordkeeping within their agencies.

We also intend to develop self assessment tools for each mandatory standard so that agencies can assess their own performance prior to recordkeeping audits.

IQ: Archives NZ is now a member of the Council of Australasian Archives and Records Authorities (CAARA). Are there more ways of improving communication between archivists in Australia and New Zealand?

DM: There is already great communication between New Zealand and Australian archivists. We value our relationship with our Australian colleagues very highly.

There are many very active networks that operate on a reasonably informal basis as well as formal projects that have been set up by CAARA because we have common recordkeeping interests. The most high profile of these is the Australasian Digital Recordkeeping Initiative (ADRI).

IQ: How far away is Archives NZ from providing public access to large numbers of digitised documents on the Web?

DM: Archives New Zealand has been focusing on implementing Archway so that our finding aids are available through our website. Archway was launched in July 2005 and items are still being added to the system.

In the future we hope to be able to digitise commonly used archives and have them accessible through Archway. We are also doing some early development work on a digital repository so that we can store and manage access to digital records in the future. The ADRI is the key project for progressing this work.

IQ: What more needs to be done to facilitate this?

DM: Over the next few years we hope to develop Archway software so that digital images can be readily accessed.

IQ: Does Archives NZ endorse the DIRKS methodology for EDRMS implementations?

DM: Continuum is still being developed, but the principles underlying our advice and standards will on the whole be consistent with the DIRKS methodology.

IQ: **Earlier in the year, Archives NZ was in the headlines after the discovery of classified documents in the public release of the Lange Papers. What steps has Archives NZ taken to ensure this cannot happen in the future?**

DM: We have thoroughly reviewed our processes and put in place some additional steps before issuing documents from Ministers' papers. In addition, Mel Smith, a former

The Chief Archivist retains control of the documents at all times and a visible audit trail is maintained so that any future user can see that a document has been removed and is not currently available for access.

IQ: **The Kiwi author of an article in this issue of *IQ* laments that official educational standards in relation to recordkeeping are not as high in NZ as they are in Australia. This is something that the RMAA is working toward correcting. Is there a role that Archives NZ can play in convincing educational institutions in NZ to offer more courses that provide improved recordkeeping qualifications?**

> " **Agencies with a central recordkeeping budget find it easier to implement consistent standards** "

New Zealand Ombudsman, is undertaking a review of the processes and systems used at Archives New Zealand to manage the papers.

IQ: **In the US, it was discovered in February that intelligence agencies had been secretly reclassifying thousands of documents that had previously been released to the public. Has the NZ Government withdrawn documents from Archives NZ shelves for security reasons in recent times?**

DM: No. We are currently examining some Ministers' papers with the Ministers' permission to determine whether security classified documents are in the collections.

If such documents are identified and they are not able to be declassified they will be removed from the collection and put into secure storage until they can be declassified and returned to the collection.

DM: I would agree that overall recordkeeping education and training in New Zealand is not as mature as it is in Australia. However, New Zealand is making good progress.

A post graduate Archives and Records Diploma is now being offered by Victoria University in Wellington and the Open Polytechnic offers records management courses through distance education. Both courses have a healthy number of students.

The Wananga õ Raukawa also offers a Batchelor of Mãori Information degree. The professional associations are also looking at developing formal competency systems for archivists and records managers. Some of these will be based on Australian models.

Archives New Zealand is also developing an internal training programme for our archivists. This programme is targeted at developing the skills needed within the institution.

IQ: **What influence does the NZ recordkeeping community, and in particular Archives NZ, have outside New Zealand?**

DM: Archives New Zealand takes a very active interest in international recordkeeping issues. We send staff to relevant conferences overseas, often as speakers, and actively participate in ICA programmes.

There is a lot of

interest overseas in the work of the National Archives of Australia and Archives New Zealand. Our approaches are very similar and we regularly have international visitors on study tours.

In addition, there is a lot of interest in the Public Records Act from those countries developing new legislation.

IQ: **Is there a role that Archives NZ can play in developing RIM standards among Pacific nations?**

DM: We are an active participant in PARBICA, which is the Pacific Regional Branch of the International Council of Archives. Archives New Zealand provides the secretary of PARBICA, and is an active participant in the workshops that are held every two years for all regional members.

Pacific countries also find the products that we have developed for Continuum useful, and we understand that some of the guidelines are in quite wide use across the Pacific or have been adapted for a specific situation.

From time to time we will also undertake consultancies in Pacific countries.

IQ: **What is the thing that you are most passionate about in your job?**

DM: A really difficult questions to answer, as we have responsibility for so much interesting work.

I am however very interested in the development of systems to ensure that electronic records will be preserved for future use. We need to find good pragmatic workable solutions to ensure that the records being created now will be accessible in the future.

Technology offers a lot of opportunities and our challenge is to work with the ADRI to identify solutions that meet the requirements for evidence and accountability as well as for future historical research.

There is a growing interest in archives and their value to society. While the role of Archives New Zealand is focused on public records we also have a lot of skills which we can share with business and community archivists and recordkeepers.

This is an emerging role for Archives New Zealand and one which could eventually have a significant impact on the way we as a country manage our records and benefit from their stories.

We are about to take the first step to support community archives by appointing an archivist who will work with archives outside of government.

IQ: **What can Kiwi recordkeepers teach their Aussie counterparts?**

DM: Australia is considered a world leader in the work they have done to set standards for the management of current records and the long-term preservation of electronic records.

New Zealand has learnt a lot from Australia. However, I think the answer to your question about what Kiwi recordkeepers can teach their Aussie counterparts lies in the Public Records Act.

The Public Records Act is a comprehensive framework for the management of records in all public offices. The Act also draws from the legislation in New South Wales.

Over the next few years New Zealand will be implementing the Act and learning a lot about the best ways to facilitate improvements in recordkeeping and measuring this progress through comprehensive audits. These learnings will be shared with my CAARA colleagues.

IQ: **Next year, the RMAA will be holding its international convention in Wellington. If delegates could learn just one thing while they are in NZ, what would you hope it was?**

DM: I am really excited that the RMAA international convention is to be held in Wellington. Last year, a joint ASA/ARANZ (Archives and Records Association of New Zealand) conference was held in Wellington. That conference was very successful because of the quality of the speakers and the networking opportunities for Australian and New Zealand archivists.

At the RMAA conference I would like to see the idea that we need to be looking for joint solutions firmly fixed in delegates minds and I would hope that the networking that occurs will identify ways in which this can be progressed.

The challenges we face are very similar and there are real opportunities to allocate the work that needs to be done so that we can share and use resources effectively.

And of course I do want all the delegates to leave Wellington having had a wonderful time and knowing what a great city it is.

IQ: **Thank for your time, Dianne.** IQ

Always a Wellington Girl

Dianne Macaskill was born in Wellington "and never really left." She obtained her degree from Victoria University and then spent most of her career in official statistics work prior to being appointed Chief Executive of Archives New Zealand, in Wellington, in 2001.

RIM WORLD OBSERVATIONS

by Kenneth Tombs

OFF the RECORD

Wrestling with the Cost of Complying

Long live Franglais! *Vivre du Système pour Expert.* Life's a beach when in you're the South of France. But, once more, your intrepid columnist has found himself there as he travels the world in search of warmth, Ray Banns, flimsy blouses, fine food and … er, yes … technology!

For this record, *Monsieur l'Editor de l'IQ* demanded something on the subject of 'Compliance'. How on Earth could I comply, and link the South of France with that?

Well, we wandered along to this lean, mean, research machine in the Montpellier sunshine, and listened. These four doctors (technical) and a lady lawyer have been able to provide for the French health service a 'Système Pour Expert' to guide medical staff in the treatment of cancer patients. Surprisingly, it works!

Yet, what on Earth has this to do with records management? Actually, they took their software and applied it to the smart production of contract document templates. The result is a brisk stroll towards compliance and policy fulfilment.

As doctors and lady lawyer explained their new process, I realised how important it could be to the way we practitioners cope with the real world while wrestling those costs of compliance.

The neat bit was how they had transformed the gutty and technical elicitation process into something even I could follow. They were swiftly able to turn professional and managerial experience into rules and guidance to help doctors and, potentially, lawyers cope with complex and often conflicting situations.

During a boring bit, I sat back in my chair and reflected on how Expert Systems are about to come of age and what the impact of this might be for those out there, like me, flogging compliance consultancy. "Not good!", I mused to myself.

Generally, as a consultant I say: "Well, I wouldn't start from here!" But, in this case, I actually would start from here. We now have quite a body of knowledge about 'how to' with Sarbanes Oxley, and Basel II for most corporate purposes. What is missing is a tool to hang it all together. An "Experts System", could be an answer!

As the new world of governance settles into the regime of daily compliance, why would a corporation continue to pay significant sums for the same advice regurgitated? They won't, of course, because as we fearfully run up to 'Basel' day in 2007 (remember the Millennium Bug run up?) executives will sit back and ask "What on earth are we spending all this money on?"

There is an opportunity here for some smart purchasers to divert their spending from just buying people to collecting experience within a 'system for experts' such as my Compagnie Normind friends provide. What a management coup to say: "I haven't actually spent any more and we will dramatically reduce our costs for the near future from this."

We can follow the herd, or we can adopt an approach that moves our businesses into a new realm of document management. And when we have learnt to do this once, we can repeat the process, and build on that fundamental platform of documentary evidence and process.

Let's face it, handling questions and answers with a bit of smart software when you need to know that best practice suggests X and not Y, is no more difficult than getting your neck round a detailed thesaurus or the semantics of an inventory or catalogue!

Instead of breaking our necks in the office, we could use our brains on the beach, and do the real thinking that our bosses reckon they pay us for. So, don't buy people, buy expertise … mostly in the form of a system for experts; something that doesn't tell you the answer but suggests it, allowing you to resolve the conflicts or over-ride the possibilities.

Now, I realise this may not fit with the commercial models of management consultancies where day rates prevail. Yet, I can't help thinking that this is the future for compliance support, if not for implementing it in the first place.

So, sitting at an airport, may I offer a bottle of champagne to the first business to fly a 'Figure of 8' or, in records management terms, demonstrate a real AI compliance system to me. Provided I can write about it, of course, and that it's in some exotic location at the time.

Vapourware providers need not apply! IQ

The Author

Kenneth Tombs is a director of Document Law and the Performance Trust in the UK. He can be reached at kenneth.tombs@documentlaw.com.

For an explanation of the 'Basel run up' and other terms mentioned above, see Kenneth's article "Coming to Terms With Compliance Jargon' elsewhere in this issue.

BRINGING KIWIS INTO THE GAME

How do we create qualification rewards for New Zealand recordkeepers' skills and experience? A plea for recognition and equality.

By Don Norman

Where go the skills and experience of the recordkeepers of New Zealand? To me, they don't seem to be getting meaningful recognition.

My interest and involvement in training and education goes back a number of years, far too many for me to want to be exact. My more recent background of experience includes facilitating the development of standards and qualifications in two service sector industries, and the development of workplace assessment programmes and moderation plans for those qualifications.

The RMAA's recent flurry of activity in the area of continuing education and professional development (CPD) has been of particular interest to me. But there is work to be done in the areas of standards and qualifications to ensure New Zealand's records management workers have the opportunity to 'get on board'.

A Problem for Many Specialists

There is a paucity of educational programmes available to NZ recordkeepers who work at the operational level. They are the people who work in the industry either at an introductory stage with recordkeeping as a component of their job, or at a higher level holding responsibility for a small records management system within their workgroup.

This problem is not confined to recordkeeping but to many sectors of industry that have specialist populations generally working as small units within larger work groups.

Currently there are over 20,000 standards on the New Zealand National Qualifications Framework (NQF)1, and nearly 1,000 national qualifications. These standards and qualifications cover almost every industry and many of the professions, more particularly at the operational activity level.

The Qualifications Framework has ten levels. Level 1 is the least complex and level 10, the most. Levels are dependent on the complexity of learning, with the levels between 1 and 3 being of approximately the same standards of complexity as senior secondary education and (the 'old World') basic trade or technical training. Levels 4 to 6 approximate to the advanced trade, technical and business qualifications.

My interest is in the recognition of the complexity of learning (and experience) of recordkeeping staff working at levels 3 and 4.

Subtle Australia-NZ Differences

There has always been an acceptance that standards that have been developed in one country may well be quite acceptable in the other. For some years, there has been talk of harmonising standards and qualifications that fell into this category

The Australian Qualifications Authority has developed a qualifications framework along lines similar to the NQF but there are some key differences. Both are made up of competency standards but subtle differences are in the development of the standards, the accreditation process and the on-going management of standards and qualifications.

Australia tends to be much further ahead, particularly in the level of funding that is received from both federal and state governments.

Dismayingly, 'Records Management' once existed as a domain on the NZ Qualifications Framework. In 2000, the domain and its accompanying twelve standards (ranging widely from level 4 to level 7) were removed by the Qualifications Authority because no provider had shown any interest in developing and delivering training programmes to those standards.

However, in December last year the New Zealand Qualifications Authority published guidelines and criteria developed to assist New Zealand standard-setting bodies move towards using Australian 'units of competency in the setting of national skill standards and the development of training resources for their industries.'2

These guidelines are designed to support a Ministerial Declaration of Confidence (between the two countries) on the mutual recognition of vocational education and training qualifications that came into effect in January 20003.

Formal Recognition of Skills and Knowledge

At this point, I declare my bias towards the educational and vocational qualifications model that is the NQF.

There is evidence that many who work at an operational level in the recordkeeping industry do not have an appropriate, formal qualification. In the 2005 salary survey conducted by the RMAA4, nearly 74.0% of survey respondents indicated that they had no formal recordkeeping qualifications.

I acknowledge that this is only a small part of the whole picture gathered in the survey but it demonstrates what, to me, is a real problem – an apparent inability to have the skills and experience of those working operationally in records management in New Zealand, formally recognised.

In my own organisation of 400 staff, only three people have specific recordkeeping tasks in their job descriptions. None of those three has those tasks measured as part of their performance management.

I wonder about those organisations that have yet to come to terms with the requirements of the NZ Public Records Act. How active are they in responding to the challenges that are now enshrined

offered by the Open Polytechnic of New Zealand.

It is possible that recordkeeping or records management may be included on KiwiQuals as a part of numerous other 'business' programmes that are available at levels 3 and 4.

In 2002, the NZ Open Polytechnic offered its undergraduate Diploma in Records and Information Management for the first time and this has proved to be extremely successful. In 2005, it was accredited by the RMAA. However, I feel it is more advanced than is needed for the group of recordkeepers that I am concerned about

The Australian experience may perhaps offer us a solution to the present dilemma.

RMAA Pushing Continuing Education & Training

The Chief Executive Officer of the RMAA6 at an education seminar held during the Association's 22nd International Convention last year, re-stated the Association's commitment to the promotion and provision of education and training for records management workers.

RMAA, representing records management workers in Australasia, has a strategic focus on the need for continuing education and training. To that end, a road show was promoted in 2004/2005 called 'Back to

Source	Process for SSB	Outcome	Use of Credits
Australian units of competency	1 Use the Australian material as the basis for unit standards	NQF standards (unit standards) registered on Framework	Credits appear on Record of Learning (RoL)
	2 Register Australian units of competency with 'critical registration data' cover sheet	NQF standards (Australian) registered on Framework	
	3 Benchmark units of competency against unit standards	Australian units of competency included in credit transfer arrangements as equivalent to unit standards in national qualification	Credit used for award of a specific national qualification - they do not appear on the RoL
	4 Benchmark units of competency for the purposes of the Recognition of Current Competence process	Individuals deemed to have met the outcomes of unit standards - credit for the unit standards reported on the NQF	Credits appear on RoL

Figure 1

in legislation? I guess that we are all, in our own way, working on strategies, procedures and processes that will deliver what is needed.

Training Avenues

What avenues are currently available for formal training and development for recordkeepers and information managers who lack a formal and appropriate qualification?

I have searched the KiwiQuals website (a service maintained by the Qualifications Authority listing all quality assured qualifications that have been approved)5 for recordkeeping and records management programmes and qualifications at the lower levels of the NQF.

There is one lower level qualification available through the Auckland University of Technology (at an unspecified Framework level) and the level 5 Diploma in Library and Information Studies

Basic Competency' and ran as workshops in both Australia and New Zealand. In general, those workshops dealt with education and training at the lower levels with a particular emphasis on the Australian situation.

In Australia, an enormous amount of work has been done over the last eight years to develop the Business Services Training Package (issued in 2001) of which recordkeeping units are part.

The response to this initiative has been very positive and I am aware of a number of Australian tertiary institutions that offer one or more of the four Australian certificates and diplomas that are based on the competency standards.

The Australian standards and qualifications have matured. Is there a way in which RMAA's New Zealand membership can participate in this success story?

Where to Now?

There are several hurdles that would need to be tackled before we can progress any serious attempt to introduce the Australian standards and qualifications into the New Zealand National Qualifications Framework.

Standard Setting Bodies (SSBs) are expert groups that represent a particular industry or profession. They are responsible for the quality and credibility of standards (units of competence) that are submitted to the Qualifications Authority for registration on the Qualifications Framework.

'Mutual recognition' projects between the two countries would rely on a New Zealand Records Management SSB being established to provide the expert evaluation of the Australian units of competency as fit for purpose within the New Zealand setting.

To enable the Australian recordkeeping units of competence to be adapted for use on the New Zealand Qualifications Framework the New Zealand records management 'industry' would need to gain status as a SSB and then enter into one of the processes set out in Figure 1 below.

This is a lengthy process and one that could result in the New Zealand industry deciding either to develop its own unit standards, or adopt the Australian units of competence, or make a combination of both of these.

An SSB would be a stand-alone organisation established solely for the purpose of developing unit standards and national qualifications for the industry.

Questions of financing and staffing the organisation would need to be addressed and the Qualifications Authority would need to be satisfied that the SSB was fully representative of the sector that it was representing.

Australian units of competency may be used by SSBs in relation to the National Qualifications Framework (NQF) in any one of four ways. (See Figure 1.)

Australian Units of Competency

It seems quite logical that New Zealand recordkeepers access the Australian standards and qualifications in the absence of Kiwi standards. The process of the harmonisation of standards and qualifications covered earlier encourages the standards setters in each country to recognise their vocational education and training (VET) qualifications so that industry and training providers work together and reduce duplication.

.There is a process for this to happen and it is a successful one. Recently, for example, a consortium of nine New Zealand industry training organisations adopted Australian standards in the area of competitive manufacturing and other industry training organisations have also taken this initiative.

Would New Zealand employers readily use units of competence and qualifications that have been developed by the Australian records management industry?

By far the largest employer of recordkeepers in New Zealand is government, both local and central. One would imagine that there would be absolute acceptance by employers of the Australian qualifications as long as there is no equivalent qualification available in New Zealand - after all, the Australian model is a world leader in this area.

Training Providers – Where Are They?

The majority of specialist, vocational training in New Zealand and Australia is still delivered through tertiary training providers, the largest being the polytechnics or institutes of technology. Several Australian institutions offer the Certificate III and Certificate IV in Business (Recordkeeping). In some instances the programmes are offered online.

There are no providers offering recordkeeping training at levels 3 and 4 in New Zealand at this time. Until this happens, New Zealand recordkeepers will find it difficult to have their skills, knowledge and expertise formally acknowledged.

The Public Records Act signals the need for a well-trained and skilled operational workforce. The Act offers a significant challenge and opportunity for New Zealand tertiary education providers to develop and offer training programmes that will provide that workforce.

Recordkeeping and records management is still struggling for recognition as an emerging profession in New Zealand. The perception is that those working at the operational level are the filing clerks of yesterday.

Soundly based training programmes based on agreed competencies would be a positive influence in overcoming this perception. Formal training and education at the introductory and basic level will offer a qualifications pathway for recordkeepers, evidence of promotability and an entry point for higher qualifications.

We would be doing the NZ recordkeeping profession a huge service if we could get records management unit standards and, ultimately, national qualifications, on to the New Zealand Qualifications Framework again.

I believe this would be possible by, at first, adopting the standards of competence and national certificates presently on the Australian Qualifications Framework, then persuading training providers to take them up. The process will involve a great deal of hard work over a period of time. I would be happy to help. iQ

The Author

Don Norman has been Records Coordinator for the New Zealand Qualifications Authority, Wellington, since 2004 after eight years with industry training organisations where he facilitated development of units of competency standards, national qualifications for the service sector and a quality management system that supports standards and qualifications.

Previously, he had worked for eight years in library management.

He holds a Diploma in Business Administration from Massey University and a New Zealand Certificate in Librarianship from the Wellington College of Education, now part of the Victoria University of Wellington.

This article is based on a presentation by Don to the RMAA NZ Branch members' meeting in Wellington on February 14, 2006.

To discuss issues raised in this article, contact Don at: don.norman@nzqa.govt.nz

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6 RMAA Chief Executive Officer, Kate Walker, MRMA, MAICD, AMIM. kate.walker@rmaa.com.au.

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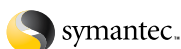
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Walking the Line

Is it Possible to Design an EDRMS that Supports Compliance and is Easy to Use and Administer?

By Sally Algate, ARMA

It's a balancing act. Today's Electronic Document and Records Management Systems (EDRMS) combine functionality and business rules than can appear to work against each other. But it is possible to walk the fine line between risk and reward.

As the words of the song go 'It's a fine line between pleasure and pain'. Implementing an electronic document and records management system (EDRMS) is often like that, particularly in a government environment where rules and regulations impact heavily on recordkeeping.

Government records are subject to compliance requirements that necessitate systems that capture and maintain the integrity of records in a secure environment for as long as is deemed necessary.

**' To achieve
the right
balance, the
right choices
need to be
made '**

The concept of EDRMS appeals to government as it combines those things closest to its information management heart: the functionality and agility of electronic document management with its automated workflows, document version control and collaboration facilities with an orderly and accountable recordkeeping system that meets legislative compliance and corporate governance requirements.

In framing the business case for EDRMS, the following benefits are often cited:

- Productivity gains through more efficient business processes.
- Compliance with legislative and records management requirements.
- Enhanced access and sharing of information.
- Ability to secure and protect confidential information.
- Flexible, streamlined business processes and automated workflows.
- Saves time by being easy to use and simple to administer.
- Meet business needs by being highly configurable and multi featured.
- Ability to manage both electronic and physical information in one system.

In most cases the benefits are not focused on direct financial gains but relate more to improving capability, enhancing compliance and reducing risk through better management of the organisation's information assets.

However, by its very nature, EDRMS combines functionality and business rules that appear to work against each other. These include: efficiency and accountability, accessibility and security, flexibility and automation, ease of use and multi-featured, simple administration and highly configurability and the ability to manage both physical and electronic items.

Efficiency and Accountability

Records are evidence of business conducted and accountable recordkeeping demands that records are accurate, reliable, structured, meaningful and captured in their business context.

The simple fact that you are managing both 'documents' (those items not having the integrity or value of records) and 'records' in the one system presents challenges. While staff can more easily make their electronic documents into records, most people do not understand if or when this should occur.

To ensure those 'documents' which should have been made records are kept for as long as they should be, the system can be designed so that all documents and records are classified and disposed of as if they were all records.

This can result in a myriad of worthless documents clogging up the recordkeeping system. Because of the volume it is also likely you will once again need to rely on non-records staff to classify the documents which can be difficult for many without significant training.

The modern workplace has resulted in an explosion of document and record creation by all staff, many of whom are untrained and unskilled in this area. Modern workplace demands mean people need systems that allow them to work more efficiently, creating and sharing information quickly.

They won't be keen to adopt a system that imposes unfamiliar and time consuming classification rules every time they want to create a document. Combating this requires creative approaches to system design which may or may not be possible depending on the software being used and the compliance requirements to be met.

Accessibility and Security

An EDRMS allows for wide access to the organization's documents and records repository meaning staff are using reliable, accurate and timely information.

Wide access is also a key factor in ensuring staff are not unnecessarily 're-inventing the wheel'. Access to reliable records also means staff are making decisions based on the evidence of what has occurred or been determined.

However, in certain situations the information required may be highly sensitive and the system needs to ensure confidential information is protected from unauthorised access or inappropriate use.

In protecting these documents and records it is not only critical that the wrong people do not have access, it is also

critical the right people do.

Many government organisations have information security policies that operate on the 'need to know' principle which implies staff should only have access to the information they need to do their job.

While it is possible to design systems that provide wide access to unclassified information as well as the ability to restrict access to confidential information, it requires careful planning and additional training for users and often imposes a heavier system administration overhead.

Flexibility and Automation

Often perceived as one of the most significant benefits of implementing EDRMS is the ability to streamline and automate document based workflows.

In government organisations most workflows involve a document going through several hands with certain notations and approvals being added and other related documents created and attached through the process as well.

These workflows normally have a series of deadlines that need to be monitored and escalation processes put in place if they are not met. As the workflow progresses, the documents become records and information about the workflow becomes an important part of the business context surrounding these records.

Automating to ensure a consistent workflow with built in timeframes and escalation processes and minimal user intervention necessitates locking the workflow down as a standardised process.

However, large organisations need a flexible system that can manage a wide variety of business processes. Workflows do not always follow the same defined pathways.

They can quite legitimately vary and it can be extremely difficult and costly to design and manage a multitude of workflows to suit a number of individual business processes. It may be that certain documents are unique in the way they need to be dealt with and that some areas need the flexibility to make up their workflows 'on the fly'.

The EDRMS will likely be used to manage different types of documents and records relating to different business contexts and different criteria or metadata is often also required for searching, storing, retrieving and delivering information to users. All of this points to the need for a highly flexible and configurable system.

User Friendly and Multi Featured

Everyone wants a system that's easy to learn and easy to use. It's also good if the system works intuitively so users don't have to think too hard to know what to do. It makes it easier to implement and much more attractive to users so they are more likely to take it up and use it effectively.

Less effort is required in managing the change from their old systems to the EDRMS. This includes less training so the overall cost of implementation and ongoing support is reduced.

But as we know, people also want a flexible EDRMS that can perform a wide variety of functions and follow appropriate standards for recordkeeping. EDRMS by its very nature is multi-featured as it combines functions previously done by many systems such as electronic document management, records management, workflow and email management.

More functionality will probably allow a greater number of business processes to be managed in the one system, reducing the need to invest in implementing other business systems.

But multi-featured also means there are many more things to learn. More buttons to click and menus to navigate. While an advanced user will delight in the richness of functionality, the low end or casual user could find it confusing, intimidating, hard to learn, hard to use and thus be more reluctant to use it.

This then leads to avoidance of the system, severely reducing the capacity to realise any benefits at all. It also means more resources have to be put towards the training and support of users leading to increased implementation and support costs.

Simple to Administer and Highly Configurable

A system that is simple to administer can be maintained more easily by lower ranked, less experienced staff with minimal training. Microsoft Access is a case in point where people can design simple databases with minimal training.

'Simple' is the key word here. A multi-featured, flexible and integrated EDRMS is not simple. It requires complex products or combinations of products that are highly configurable and multi functional.

The use of different technologies in undertaking business processes needs to appear as integrated and seamless as possible to the user. In fact, it all needs to done in such a way as to present an attractive and intuitive user interface with minimal keystrokes required to perform most tasks.

But of course, increased configurability means greater complexity which in turn means greater administration and maintenance overheads. System administrators need to be more highly skilled, will probably be more highly graded and will require more training leading to greater implementation and ongoing maintenance costs.

Managing Physical and Electronic objects

While electronic documents are on the increase, most government organisations still create and handle a multitude of paper documents and the ability to manage both physical and electronic items in the one system presents challenges.

Efficient management of electronic documents and records is not simply a case of making manual processes electronic. In most cases, the process needs to change to achieve the efficiencies to be gained from electronic processes.

In many instances, paper documents are digitised or scanned and converted into an electronic image. Managing the capture of emails as opposed to incoming hard copy letters, is also slightly different yet they are essentially the same business process.

While we still tend to group electronic documents in

folders, unlike the paper based File, each document needs to be individually registered to be a part of the folder or 'file' in an electronic environment.

Authorisation is normally managed by the electronic workflow system rather than by written signatures and the workflow system also provides the delivery and alert mechanism to staff that a document has been sent to them to deal with.

While storage of electronic documents still costs money in terms of server or SAN (storage area network) space, it is often cheaper than using office floor space and retrieval is almost instant for all staff, regardless of their physical location.

The other thing essential to electronic document management is the need for staff to have access to a networked computer, preferably at their desk, so there is an inherent overhead in providing this capacity.

Government organisations have been dealing with paper documents for a long time and many still have mountains of paper based files that need to be kept and managed for many years to come. It is unlikely to be cost-effective to 'back-scan' these items, particularly those accessed only occasionally.

As such it is highly likely the EDRMS will be a hybrid system managing both paper and electronic documents. One of the challenges with this is not only do paper and electronic documents have different management requirements, in many situations there exists both paper and electronic renditions of the same document and it is essential these are managed in a coordinated fashion.

Finding the Right Balance

So how can we reap the benefits of implementing EDRMS when so much of what is wanted seems to work against itself? To achieve the right balance, the right choices need to be made around the following four areas.

Corporate Priorities. Consider the corporate vision and culture of the organisation. Does it see information sharing as critical to its responsiveness or is it an organisation with a security culture that promotes a 'need to know' attitude?

Corporate priorities normally arise from the kind of business an organisation is involved in while the culture is often driven by the major professional group within the organisation.

For example, an educational organisation is often keen to promote information sharing while a police or military organisation will demand a high level of information security.

Business Needs. Similarly, the business needs of the organisation are paramount when choosing and designing the EDRMS. EDRM systems support business processes so the emphasis must lie with meeting business needs.

In a large organisation with a wide range of business processes or ones that vary and change on a regular basis, it may be impractical to implement automated workflows to any great extent.

Consider user's requirements as well. Can the system

be implemented to provide low end users with a simpler interface, while still providing high end users with greater functionality?

Cost. Any responsible organisation must consider the cost versus benefit of a major system implementation such as EDRMS. While the system being considered may be highly sophisticated with a high degree of functionality, is it really going to provide a reasonable return on investment?

A less sophisticated system may not provide the same level of functionality but it may still be able to provide significant benefits for much less cost. So long as it can meet the bulk of requirements and the vendor can demonstrate a commitment to improvement, or better still, a commitment to develop the system in partnership with the organisation, it may be the better option.

Risk Management. Every business decision made has an element of risk and this applies to EDRMS design as much as anything else.

What is the risk to the organisation if the system is designed to provide easier access and relies on user intervention to apply security rather than automating it? Unless the organisation deals with highly confidential information this may be very low.

What is the risk to user acceptance if highly sophisticated functionality is implemented when the user base is highly computer literate? Probably very low but if the user base is not then the risk is high.

In considering all these aspects in relation to the specific organisation the right balance can be reached and hopefully the pleasure will outweigh the pain.

However it is also essential to build in monitoring and review mechanisms so that any conflicts or issues that do arise can be identified and remedial action undertaken as quickly as possible. iQ

The Author

Sally Algate, ARMA spent around 14 years in Queensland State Government before joining Records Solutions as a consultant in late 2005. She led two major government EDRMS initiatives including the Education Queensland EDRMS Project, winner of the J Eddis Linton group award in 2003 and a pilot in the Department of Employment and Training for the EDRMS recently selected for use by all Queensland Government agencies.

This article is based on papers Sally presented to the 2005 Asia Pacific e-Government Summit in Beijing and the 2005 Document and Content Management Evolution Conference in Canberra.

Readers wishing to contact Sally to discuss the issues raised in this article are invited to email her at sally.algate@recordssolutions.com.au

Documents & the Law:

Is it Time For Lawyers to Shred the Printer?

By Shaun Drummond

Even though there are still warehouses of paper being generated, there are signs that the paperless law firm is looking possible. But while law firms are among the most sophisticated managers of documents, there remain significant barriers to this long-awaited digital promised land, with its compliance, discovery and workflow benefits.

The UC Berkely School of Information Management 2003 study 'How Much Information?' estimated that about 90 percent of all documents in organisations are stored in digital form. This would appear to indicate that we are well on the way to a paperless society. But the study also noted the number of printed documents continues to rise – by 36 percent between 1999 to 2002, the vast majority of these created in offices.

Sandra Potter, of legal consultancy Potter, Farrelly & Associates, says it is interesting that even though "99.9 percent" of documents are created digitally, in many areas if law it is still the case that these will be printed out and the hardcopy will be presented as the 'original'.

"It's a preconceived idea that paper is original and electronic is not. It is actually the other way around."

Internally, however, many law firms are well on the way to dealing in digital exclusively. Michael dal Maso, Business Solutions Manager in the information management practice of Alphwest, says it is now technically possible to do most things electronically.

"Document management systems have now been upgraded. Rather than being a static repository, they are more an e-filing, that all their matters are now stored in a more logical way, so

management has been digital, with documents going out as Word or PDF files."

While not directly an end in itself, most law firms, especially the larger ones, would prefer all documents related to their work were digital. This ensures all matters can be tracked and are auditable, as well as reducing time and the costs of purchasing and disposing of paper.

Emily Holborrow, and industry marketing specialist at Canon, says there are several other factors driving firms to go paperless. "I think (for) the larger firms, a lot of it is around storing client information, improving knowledge management, improving client service and improving billable productivity."

To this end, many of the big law firms, and increasingly the mid tier, have been undergoing major upgrades or moving to entirely new, firm-wide document management platforms that integrate closely with practice management and financial systems. The goal is a single matter file, where all documents are communications related to a client are in the one place.

The key element that firms are working to integrate into their document management systems (EDMS) is the massive amounts of correspondence now conducted via email.

"The missing link is really email and faxes," says Craig Ng, IP and technology partner and co-manager of in-house IT

' Once all lawyers are using this system, it means documents can be discovered far more easily, and all work on a matter can be tracked and audited '

that when they receive faxes, they get filed in that electronic file."

He says people are starting to be able to do a search across all documents related to a legal matter, including time and billing information from their practice management systems, their file notes.

Other technology is automating manual processes and reducing or eliminating the duplication of largely similar drafts of documents.

"In a couple of firms we have been dealing with recently, the big drive was just reducing the time and effort that it's taking to negotiate contracts and making the changes and iterations," dal Maso says.

"They email out the attachment, and the other party makes some proposed changes. They don't need to go through as much printing it out."

Simon Lewis, director at Sinch Software, says law firms are not generally operating in a completely paperless environment, but the trend is definitely in that direction.

"Law firms that have integrated technology into their processes are actually attracting new clients as a result," he says. "I recently met two principals from a three-office firm in Sydney who told me that they have not used a printer in more than a month. All their correspondence and document

resources at Maddocks. "WE have a fax server that sends out electronic versions of faxes. With fax and email now locked in, we will have a (full) client record."

Most agree, this will go a long way towards ensuring they have a complete 'e-file'. Maddocks will be one of the first to complete the move to a new system from Interwoven's latest version of its WorkSite EDMS.

This replaces the law firm's previous EDMS, Worldocs, which is particularly popular in the US. Maddocks was the largest user of this system n Australia. Maddock's new system will allow emails to be simply dragged and dropped in, as well as faxes.

Some are finding email integration to be a difficult task, however. Manuel Del Valle, Baker & McKenzie's national manager of information systems says the bulk of their data storage is taken up by email archives, accounting for around a quarter of a terabyte, and says it's "constant battle" to manage them. As in most organisations, these are all stores on individual hard drives and inaccessible to anyone else in the firm.

Baker's attempt to move to EDMS software vendor Hummingbird's latest version, had "failed" to come up with an effective way to integrate email into the new system.

"The e-filing concept has failed, so we have stopped because of the functionality of the EDMS. " Del Valle said

even though emails could be filed in the new EDMS, they couldn't be accessed as easily or searched, as they can now be in Outlook.

Although some are "persevering" with the new EDMS, most have found it "very limited and difficult." Bakers is now contemplating a separate EDMS and email management system, and will work with the two vendors to integrate them.

Ease of Legal Discovery

As indicated by Baker & McKenzie's problems, one of the major issues faced is compatibility with software, and sometimes hardware, provided by other vendors.

In Maddocks' case it has forced them to move all staff to Microsoft Outlook email and to reduce a plethora of PDAs to one type – BlackBerry. This means that virtually all documents and communications related to a matter will accessible while on the move.

one of the most traditional professions. It has been slow to move into using technology at all. You look at our courts. The Supreme Court of Victoria, all of their rules are based on hardcopy documents being filed."

Lewis at Sinch Software agrees that approached to workflow management vary dramatically. "I know of a US lawyer whose secretary downloads and prints all his emails for him to read. He then dictates replies for the secretary to type. She has to print out drafts for him to review before she finally sends a reply by email."

On the other hand, he says a lawyer in a Sydney practice reads his emails on one 19-inch screen while composing his reply on another. "This kind of workflow is far more expedient and allows very quick responses. Why two screens? Because he says he can think more clearly without a small cluttered screen or desk."

Craig Ng at Maddocks stresses ease of use is paramount.

> ## Much of the work involves developing standards that can be incorporated into software

As well as the directory structure being integrated with the firm's practice management system, Ng says the EDMS automatically generates a client matter file. It is very easy to store documents and "knows who has got what matters." Once all lawyers are using this system, it means documents can be discovered far more easily, and all work on a matter can be tracked and audited.

The new system also allows Maddocks to operate more effectively across interstate offices. The form has two main offices in Melbourne and Sydney and separate databases.

Under the old set up, there was a noticeable delay when accessing files, especially very large ones, stored interstate. By caching documents when first downloaded, the new system means users accessing files stores in either office should not notice any difference.

Paper Culture

Most firms are keenly aware that to make any new EDMS work, they have to be easy to use. Practices vary between lawyers, and when it comes to using paper of electronic documents it often depends on what era you're from, as well hat generation of software you're using.

Del Valle says one partner he knows of at Bakers "scans everything", but others are "old school". He remembers one, who has since left the firm, who used to have a whole extra office just for their files. As well, lawyers often work with very large documents that, for many, are easier on the eyes in paper form.

Potter says much also depends on the institutions of law and ability to accommodate new technology. "I think law is

The key thing really is that (the new software) has a better system of storing all sorts of documents we create. People store emails in different ways, and there is no central repository for all matters. (The new system) encourages people to drop everything into a central repository."

"I guess as you have young lawyers coming out of university that have grown up with computers, (the reduction in paper usage) will move a little bit faster," says Potter. "But if you have a look at who is sitting at the top of most law firms, it's still people that may not feel comfortable with computers."

Clients to Blame

The use of paper also varies according to practice areas. This means it is often not the fault of lawyers that they still pass a lot of paper around, but their clients.

Del Valle points to the real estate practice of balers as particularly paper heavy. "They… have a lot of paper, because of leases and agreements," Potter agrees. "If you buy a house, then you are asked to sign a hardcopy contract, which you then supply to your lawyer."

"There's certain parts of conveyancing that will always have some paper-centric element to it," says dal Maso. "A lot of workflow technology is starting to penetrate the sausage factory churn of how you process that.

"Ultimately (though) a document comes in physically – it may get digitised, it may stay in electronic format for some time and a lot of iterations of the new document get generate electronically – (but) out pops a physical file that people will still physically exchange."

Potter says the building industry is another where she has found a preponderance of paper. " I have worked for a couple of the bigger construction firms, looking at their document management issues. A lot of things are form based, so that sort of stuff is still generated in hardcopy."

Dal Masso says that firms that have introduced new scanning technology may use this in their mailroom, to ensure [accounts] become part of the digital matter file.

Litigation Trends

In litigation, although lawyers are still seen wheeling in trolleys laden with boxes of documents into court, e-filing of documents is becoming more prevalent.

"The litigation group has gone more and more electronic because of scanning technology, and most of the evidence that they review is on a CD-ROM or on a database," says Del Valle. He says it's more efficient to search electronic versions of documents, avoiding the need to trawl through "reams and reams of documents."

Dal Masso says where firms would outsource the scanning of sometimes hundreds of boxes of documents, now they are bringing a lot of technology to do that in-house.

But in litigation, of course, firms are reliant on individual court rules and whether they are technically able to deal with electronic evidence. "A lot of evidence would still be in hardcopy form. Things like people's diaries, schedules; if they've made a handwritten note on a file," Potter explains.

Ultimately, in litigation, though, any moves to using digital documents exclusively will be driven by the courts. Potters says that the magistrates court in Victoria is "fully electronic" and New South Wales is starting to take electronic files. "It's slow and steady cultural change that is taking place."

Digital Authentication

Craig Ng says they only have two things that they still have to use paper for at Maddocks – bills and the "execution" of documents.

"Until digital signatures and encryption become stronger and proof of authenticity comes through, it's unlikely that we'll rely on totally electronically signed documents."

However, given the means to do it, he can foresee that in perhaps five years time people may get used to accepting digitally authenticated documents.

Standards

Governments and professional organisations in virtually every area where there is an exchange of paper are working to create a digital equivalent, but this hasn't been straightforward.

Much of the work involves developing standards that can be incorporated into software such as EDMSs, which dictate the form they should take and how they should be handled.

Potter chairs one of the Australian standards bodies, the E-discovery Standards Working Group (ESWG), which is working with the Supreme Court of Victoria to devise e-discovery standards for accepting electronically discovered

documents. Other jurisdictions in Australia will rely on the work of the ESWG to inform any e-discovery standards they introduce.

She notes that a lot of the "smoking gun evidence" in cases like HIH involved emails because they embody evidence of communications between parties to litigation, and who actually saw those exchanges. However, there are still many legal questions that arise when dealing with electronic evidence, which the standards will address.

"Until you can get these standards in place, it is going to be very difficult for people to move into a completely paperless office," she says.

The ESWG includes a Supreme Court judge and several barristers. It is still investigating what can be utilised from work that has already been done, including Standards Australia's 'Guidelines for the Management of IT Evidence', released in 2003, as well as looking at the work of other jurisdictions, to assist them to write standards in the discovery area.

Potter says the Standards Australia guidelines have only provided a framework and there are still many details to fill in. "What we've found in actually practice is that there are a lot of things that aren't actually in (the Standards Australia guidelines) that need to be addressed."

For example, electronic documents contain a lot of metadata, which includes information about who created the document, who edited it and when they edited it.

"If I have an expert witness statement, and I type the expert witness statement and print it and hand it to him and he signs it and takes it to court, nobody knows that I typed it." She says that legal questions remain over whether that data has to be given to opposing litigants, or whether aspects of that can be hidden from them, as well as what has been revealed to the courts.

How Far away is the Paperless Law Office?

Most can't foresee the complete elimination of paper from law firms for at least another five years, especially not in external dealing, but firms themselves are well on the way to the paperless office.

"The rate of change we will see in the next two years will be extraordinary," says Sinch Software's Simon Lewis. "Every [law] firm which intends to stay around needs at least one lawyer with some vision and legal IT nous."

Right now, few have them. Those that do, are the ones who are really ahead of the game and in the right place for the next era in legal practice management. IQ

The Author

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The Things You Shouldn't Skip When

Developing an Information
Management Policy

By Danny Budzak

Your organisation has policies covering how its assets
are managed – assets such as its people, buildings,
and financial resources. But does it have a tangible
management policy for arguably its most important asset
of all, its information resources?

Exact figures are hard to come by for total ICT spending in the UK, but estimates suggest that around AUD$2.5 billion will be spent this year1. And that is on top of all the money that has ever been spent on software, hardware, infrastructure, project management and so on in the past.

Given the huge amounts of money spent on the 'technology' part of ICT, maybe a trick or two is being missed by the lack of attention from many organisations to the 'information' side of the equation.

The quality, accuracy and relevance of much organisational information resources remains patchy, uneven and of questionable value. Just where does that $2.5 billion go?

My opening vignette in workshops and presentations is that the key resources of most organisations are people, buildings, money and information resources. While there are rules, policies and guidelines on how people should be treated, buildings managed and money spent, this often falls down for information resources.

As information resources are part of the raw materials of production or service delivery, this lack of clear management can be disastrous or an ongoing costly expense which is leaking resources away without giving back much in return.

Information management needs to be raised much higher on the agenda as a 'must do'. To help do this successfully, a corporate information management policy, created and supported by key stakeholders, clear to understand and user friendly can be a big step forward.

In this article I'm going to paint some broad brush strokes about

clarity, rather than buzzword compliance. Working on definitions is also a good ice breaker. This can be an excellent starting point in workshops and can help people to focus and start thinking about the whole domain of information management.

Principles

As Groucho Marx once said, "Here are my principles. If you don't like them, I've got others".

This might work for comedy, but it doesn't work when trying to manage the potentially thousands upon thousands of information resources and information products that organisations might have. Everyone in the organisation needs to be working to the same principles, not their own individual eclectic pick 'n' mix.

The principles are the foundations of the policy, the rules and guidelines. The principles can cover accountability, sharing, accessibility, legal compliance and so on. An example of a principle is 'information resources are the property of the organisation as a whole'.

The principles could cover accountability, rules of exchange, accessibility, legal compliance and privacy and confidentiality and more besides, but it's preferable for the people in the organisation itself to develop these.

Policy Statements

'Policy statements' already sounds like it is more complicated than it actually is. A policy statement sets out a statement of intent, or a commitment to do something. A policy statement can be thought of as like a contract.

Here are my principles. If you don't like them, I've got others

developing an information management policy, rather than setting out the explicit content. The references at the end of the article cover the subject in much more depth.

Policy and Strategy

The information management policy (IMP) should set out how information will be used and managed by the organisation, what principles will be applied to managing information, the obligations of all the stakeholders and a set of policy statements. It can also reference the standards which the organisation will aim to be compliant with (e.g. e-Government Metadata Standard, ISO 15489) and could include information practices.

The strategy is the plan of action. It is how the policy, once it has been drafted, consulted on and approved, will be applied.

Coverage of the Policy

Definitions. An information management policy does not need to include definitions, however, I personally think this is a very good place to start. It can be particularly useful when dealing with suppliers to ask what their definitions of data, information, knowledge, documents, records and so on actually are.

Alarm bells always start ringing for me if the replies are woolly, stuffy or full of management speak. The policy needs

There could be 10, 20 or more policy statements, depending on the goals and requirements of the organisation. An example of a policy statement is 'The organisation will keep information up to date and accurate'.

Another example is, 'The organisation will ensure information resources are available in formats which are accessible and suitable for the users'. This can be fleshed out to be more specific, for example to explicitly say that information products will be available as html files, electronic documents, as PDFs and in paper versions.

What Should it Express?

The IMP needs to reflect the business requirements of the organisation. If the organisation provides social care, then privacy and confidentiality of information resources will be key principles and may need to be prioritised over others.

It may seem glaringly obvious, but it can be worth setting out (on paper if need be) what the organisation actually does and what its objectives are. Some organisations seek to deal with information in real time environments (news agencies, stock markets, emergency services), others work to different measurements of time (building society loans, passport applications, planning decisions). This will impact on what the IMP will express.

Related Policies

The information management policy can be a useful top level policy which helps to join up lots of related policies. The IMP can be the core document which brings the records management policy, metadata policy and strategy, information security policy all together.

Information Audit

The IMP needs to be related to the actual (as opposed to perceived) use of information resources and products within the organisation, and between the organisation and the outside world. The most effective way to determine what information the organisation has, what information it needs, and how it should be used, is to carry out an information audit.

I hear the cry from the finance officer of 'scope creep!'. Well maybe, but information audits should be seen as integral to information management policies, not as a possible extra. Having said that, information audits themselves can come in different shapes and sizes and a lot can be learned by pilot projects in specific key areas of the business.

Even small information audits can quickly produce the type of facts and figures that Chief Executives and senior mangers can understand and digest. For example, 'the information audit has revealed that there are 100 database with the same customer information in them, we could save a great deal by having a single database'. Slide rules and calculators are not needed to suggest the much demanded efficiencies could be produced.

The information audit can be useful to establish management information. How many information requests does the organisation receive? Who are they from? How many are internal, how many external? What are the frequently asked questions? If 80% of the information requests to the organisation are student grant applications, then this should help to shape the policy.

The information audit can also be used to soak up a great of informal thoughts and act as a focus for volumes of unsolicited comment. This can be invaluable. Asking front line information workers what can be done to improve information management should not be shirked (although consideration is needed to manage expectations).

Asking staff direct questions, and seeking their views, always seems to me a very productive strategy. They do the job, they know most, if not all, of what needs to be done to create positive change.

The Business Case for the Information Management Policy

So far so good? My hobby horse is information management and I think it intrinsically helps people to describe, organise and find information resources. However, in the world of competing interests, national initiatives, ever changing priorities and endless organisational re-organisation and upheaval, it's good to have a business case, nay, probably essential.

There are other reasons as well, such as the exponential growth of information resources (a study in 2003 estimated that every year, 800 MB of information is produced for every person on the planet[2]). There is a developing environment of standards and legal compliance.

There are some people who say 'it's not about the technology'; I disagree, the technology is having a huge impact on the way we live, work, socialise, shop and interact and communicate[3].

Freedom of Information needs no introduction in this journal; it is a key driver for developing an IMP.

Cost Effectiveness

Local government now under review through Gershon efficiencies but any business or organisation is going to have to ask at some point – what are the total costs of ICT and what benefits are being realised?

The information management policy is not the golden key which will unlock all the problems of the organisation, but its development can help to raise the issue of costs and part of the policy itself should include a section on the measuring and assessment of ICT costs.

That way, over time, it should be possible to see whether all this huge investment is actually producing any meaningful benefits.

Integration

Without a corporate information management policy which brings together key statements, commitments, guidelines, rules, standards and principles, it is difficult to see how integrated information can be achieved. Lack of integration will increase the problems of duplication, inaccuracies, inefficiencies and risk.

Risk Management

Unfortunately there continue to be a depressing number of news stories where a key problem has been poor information management. Agency A knew person x was a problem but didn't manage to tell Agency B. We are all too familiar with the tragic consequences this can lead to.

Is it really possible that despite spending over $2.5 billion a year in the UK this can continue to happen? By stating the policy and the principles, the IMP can begin to address the management issues about information organising, sharing and so on.

It pushes the need for cultural change around information management up to the top of the agenda, and in some organisations, not a moment too soon.

Unleashing the Value of Information Products

There are two paradoxical problems with the exponential growth of information resources. The first is the all too familiar information overload. We cannot deal with the number of emails, references to websites, discussion forums and copied and re-copied documents.

The second is the inability to find things we actually need quickly and when we want them. By establishing some rules, the IMP can start to untangle this for the benefit of the information users.

Tangible and Non-Tangible Benefits

The business case is also the place to expand and outline the tangible and non-tangible benefits of information management. Rather than set these out, I strongly recommend that these are discussed by stakeholders in the organisation in workshop settings, captured, and circulated for further comments and views.

It is worth thinking about this both quantitatively (how many benefits can be identified) and qualitatively – are these benefits tangible or intangible? It is also worth exploring who will be the main recipients of the benefits.

Managing the Political Layer

This is undoubtedly one of the most challenging issues people face in the workplace. I for one would be all in favour of an extension to the eGMS which include an element called something like 'political implications'.

Developing an information management policy helps because it can reduce political friction. Without a policy, disputes can be allowed to escalate or stop the organisation from moving forward.

I cannot be alone in discovering organisations which have an 'official' Internet and an 'official' intranet and then a series of 'unofficial' Internets and intranets, either tucked away in particular departments or even sections.

Some parts of the organisation frustrated that their particular service was not on the front page of the website had quietly developed unilateral declarations of independence and are running their own information systems and websites, complete with home made versions of the organisations logo.

In the absence of any agreed corporate information management policy, disputes around these issues often just ended up with 'my manager is bigger than your manager'.

If the policy says 'information must be accurate and up to date' then if someone sends you something internally that isn't, you have a higher authority to appeal to (the agreed corporate policy), regardless of where either party are in the food chain of the organisation.

This can be very beneficial for staff working on the front line and operational side information provision when dealing with more senior staff who are dealing with strategic issues.

Practicalities – the Information Management Policy Group

Information Management should be seen as a dedicated project in its own right, not something tacked on to something else to tick a box to satisfy bureaucrats. My own rough blueprint for this would be as follows:

1. Create a specific information management project which will produce the policy
2. Create an Information Management Policy Group with a range of stakeholders
3. Get someone who is TOTO (Top of the Organisation) to give support
4. Organise workshop or workshops with relevant stakeholders to identify what the issues are in the organisation
5. Organise an information audit to discover what information is needed to support the business, where this is, what format it is in, how it flows (or doesn't) around the organisation
6. Have both formal and informal feedback mechanisms (short surveys on the intranet can be helpful; a Friday afternoon cybercafé in a training room where people are encouraged to drop in and talk about how they use information can be useful)
7. Create a draft policy and circulate it as widely as possible for comments – there are invariably people who cannot come to meetings but have valuable insights and ideas.
8. Once the policy is produced, promote it and be prepared to revise it on a regular basis
9. Given the importance of information management, keeping a dedicated group together in the organisation can be a good thing.

Taking the First Steps to Developing the Policy

My experience of doing this in practice is a bit like learning to drive. In theory, it looks fairly straight forward. The problem arises when getting in the car and trying to drive down the road.

The books don't say much about all the unexpected obstacles, the other vehicles moving in opposite directions and the random hazards such as dogs running at the wheels and the fact that roads have to be navigated, roundabouts, junctions and traffic lights negotiated. There is no straight road.

However, experience also suggests that in every organisation there is a core of people who are grappling with information management issues and want to be able to move these up the agenda and develop them. They are often unaware of like minded spirits and welcome initiatives which are going to push information management to be a core activity.

These people need organising. In a great number of organisations, the time has come for information management itself to be managed. iQ

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An information management policy template has recently been produced collaboratively by the CRM (Customer Relationship Management) National Project and is available from the esd-toolkit. This is a work in progress and comments are welcome. The toolkit is at <www.esd-toolkit.org> – you need to go to the CRM discussion forum once inside the toolkit.

The CRM National Project also produced a more detailed information management policy which is available from <http://catalogue.localegovnp.org.uk/>

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Avoiding the Dangers!

Managing Documents & Risk in the Age of Corporate Accountability

By Professor Wai Fong Chua and Christine Van Toorn

Sound document management is a fundamental element of the drive for greater corporate accountability and good governance. This article by two UNSW academics sets out establish critical policy issues and suggests tactics for document management to avoid the inherent dangers.

The management of documents may seem a rather mundane organisational activity, yet it carries major strategic, reputational, compliance and operational risks. Digital documents in particular are ubiquitous, and their advantages of cost efficiency, speed and reach of circulation are also potential sources of risk requiring constant and careful management.

Document management cannot consider documents in isolation, as they exist in networks that also involve machines (hardware and software) and people.

People are clearly important as authors of documents, but perhaps even more important are the people and machines that control the fate of a document once it has been created.

Cautionary Tales: Risks Associated With Documents

The 2001 collapse of Enron and subsequent ruin of Arthur Andersen, its external auditor, is instructive. Despite knowing that the Securities Exchange Commission was investigating Enron, Andersen destroyed many Enron-related documents and deleted electronic files (although these actions did not destroy one of the key pieces of evidence in the case – a 'simple' email sent out by Andersen's lead partner for Enron).

Arthur Andersen claimed its document retention policy was that any document not part of its "final work papers" must be discarded[1]. Unfortunately for Andersen, the court found that it had obstructed justice through 'spoilation'[2]. The US Supreme Court has since overturned the conviction[3], but too late to save Andersen.

In an Australian case, heavy long-term smoker Rolah McCabe developed cancer and sued British American Tobacco Services Limited (BAT). The initial trial judge found that BAT, on its lawyers' advice, had established a deliberate program of destroying documents 'in anticipation' of litigation.

The trial court struck out BAT's defence, ruling that this program had effectively denied McCabe a fair trial. The case was overturned on appeal, but the issues remain – when should documents be destroyed? What should be done to ensure that destruction is not construed as an obstruction of justice?

More recently, the potential for electronic documents to affect reputation was illustrated by an exchange of emails within large Sydney law firm Allens Arthur Robinson.

The email trail began innocuously – two secretaries discussing a missing sandwich lunch. Unfortunately, the messages rapidly became quite abusive and disclosed personal details. The 'Reply to all' button

Above, the University of New South Wales' Professor **Wai Fong Chua.** Below, whitepaper co-author **Christine Van Toorn**

escalated circulation. Within hours the exchange, together with photographs, had reached numerous firms interstate and overseas.

Another risk, that specific documents may not be easily retrieved when required, hurt Morgan Stanley in May 2005 when it was ordered to pay US$1.45 billion in damages to corporate raider Ronald Perelman. US$604 million of the damages awarded was due to Morgan Stanley's inability to produce the electronic documents required by the judge.

As Smith (2005)[4] reports, Morgan Stanley kept producing new back-up tapes of its emails, and technological problems prevented comprehensive searches of its databases. Consequently the information provided was often incomplete or late, to the exasperation of the judge who finally decided to switch the burden of proof onto Morgan Stanley.

The presence of 'smoking gun' documents can have major economic consequences, and email repositories have become good hunting grounds for incriminatory evidence.

Indeed, a recent statistic indicated nearly one in 20 companies have gone through some form of legal action as a result of an employee's email[5].

Smith (2005) again reports that a senior manager at Royal Dutch Shell wrote an email saying he was "sick and tired about lying" over the company's inflated oil and gas reserves. That single email reduced Shell's market value by billions of dollars and led regulators to impose fines on the company.

'Smoking gun' emails led in separate incidents to the conviction of Credit Suisse First Boston analyst Frank Quattrone[6], and hefty fines against Merrill Lynch equity analyst Henry Boldget and his employer.

Naturally, concern about 'smoking gun' documents or 'careless' emails that admitted wrongdoing would be unnecessary if such behaviour were not present to begin with. Consistently ethical practice is an essential element of effective document management.

Email evidence offers benefits as well as threats. A US law firm describes the case of TechCo that in 2001 faced a multimillion dollar suit claiming entitlement to company stock by one of its former consultants in a contract sent over email. TechCo's practice of taking regular email 'snapshots' allowed it to defend itself and subsequently prove that the 'contract' was a fake[7].

Developing a Document Management Policy

Document management policy is, in part, a matter of compliance. In the United States, in direct response to the events at Arthur Andersen, section 802 of the Sarbanes-Oxley Act 2002 specifically

requires that organisations focus on managing documents to ensure integrity and retention.

In Australia, companies conforming to Australian Standard AS15489 - Records Management require a document or records management policy.

Importantly, effective document management is also a matter of good business practice. Recent research by IDC has found that sound document management principles are 'correlated with above industry average in profit growth and agility in responding to changing market conditions'[8].

The following sections address many of the issues to consider in developing a formal document management policy.

Which Documents to Create and Retain?

Documents are created and kept for many reasons – as a source of evidence and proof (for example, of ownership), to provide an auditable trail of events, for analysis and research and of course to comply with legislation.

Each of these purposes will help inform policy decisions about which documents ought to be created and the various retention periods that should apply, balancing the usefulness of producing and retaining documents against the costs and risks of doing so.

In some cases it would be infeasible to retain all documents – for example, storing all emails. Some commentators have suggested the concept of only capturing emails with sensitive key words[9]. Wilkins (2002)[10] highlights email's potential as a fully-fledged 'repository of documentation and accumulated business acumen', and suggests that an integrated email, document management and customer relationship management structure is required to effectively capture the knowledge in emails.

Document retention policies will require regular compliance audits – for example, to check that routine backups are occurring as intended. Further, organisations need to mesh document retention policies with their business continuity and IT disaster recovery plans.

Paper-Based or Digital?

Digital documents come in many forms, including imaged documents, files, emails, event log files, transaction records and Web pages.[11] Storage methods include document management systems, databases and applications.

Many businesses unequivocally support digitisation and imaging of all documents[12]. Digitisation offers clear advantages: improved access; reduced search, retrieval, circulation and reproduction costs; and the ability to streamline business processes and workflows.

Without digitisation, it is extremely difficult to store and manipulate data in large databases. Structured or standardised documents are usually easily digitised, and modern technology overcomes traditional imaging challenges like large formats, colour, embossing, and double-sided print.

A disadvantage of digitisation is the speed with which technology becomes obsolete. One Big 4 audit firm involved in the HIH investigations reported it was 'lucky' to have sourced an obsolete computer to read its digital files. It may therefore be advisable to archive not only documents but also their associated hardware and software.

Section 288 of the Corporations Act permits organisations to store their records in either electronic or paper-based format, but requires that hardcopies be produced within a 'reasonable time'.

Structuredness and Riskiness: Classifying for Retention, Storage, Retrieval and Dissemination

The Morgan Stanley case highlights the importance of designing appropriate document classification and search engine functionality to deliver on digitisation's potential for speedy retrieval.

Structured documents (eg forms, statements, invoices, ERP system records) are inherently compatible with an organised retention policy, and enable easier storage. Unstructured documents (eg word processing documents, spreadsheets) present challenges.

They are often stored in a decentralised manner, including on individual employee's personal computers or mobile devices, with nonstandard filenames and storage divisions.

Classification of documents by level of risk influences where and how different documents should be stored and who has access to them. Riskier documents should be matched with storage formats and facilities that require a higher level of security clearance.

Which Metadata?

Metadata – information stored about a document – can describe the document's source and destination and the media through which it has traveled[13].

By tracking the path of a document, metadata can enable surveillance technology to monitor 'illegal' forwarding, manipulation, downloading and retrieval of documents. Metadata can attest to documentary authenticity, and by appropriate tagging can also assist retrieval.

Privacy and Security

Document management policies must consider who may access documents, the use of security access levels to enforce this, the type of access (read, write, or both) and the use of encryption during transport.

Document policies should be integrated with more generic information security management, and specifically with access control policies. Section 9 of Australian Standard AS17799 – Information Technology Code of Practice for Information Security Management specifically discusses the design and use of access controls. Document management policies also need to take account of relevant privacy legislation.

Document Integrity

The ease of editing digital documents highlights the need to manage their integrity. This is assisted in part by physical or 'machine-based' security.

In business environments where several team members may work on a single document, version control is essential. Tracking changes to documents and records, along with logs of who has accessed them, assists with the verification of document integrity and content authenticity, and with establishing an effective audit trail.

Cryptographic techniques such as digital signatures, which uniquely verify data integrity and the identity of the 'author', are also discussed within Australian Standard AS17799. Such encryption generally uses a dual public and private key system.

Before using digital signatures, it is important to ascertain their legal acceptability as identifiers. The Electronic Signatures in Global and National Commerce (e-Sign) Act[14], which was itself signed with an electronic signature by Bill Clinton in 2002, made digital signatures the US legal equivalent of written signatures.

Just as the party accepting a written signature has a responsibility to ensure its validity, the party accepting a digital signature has a similar duty of care. A digital signature is itself a special case of an electronic document whose integrity is crucial.

Document Authenticity

The authenticity of documents is vital if they are to prove reliable. The Electronic Transactions Act[15] (section 12(2)) specifies several requirements for electronic records, and such records are satisfactory "if and only if the information has remained complete and unaltered".

Australian jurisdictions adopt differing approaches to establishing authenticity. The Queensland State Government[16] acknowledges that authorities may be "disadvantaged if called upon to authenticate certain

records", requiring that all original copies be kept and only destroyed with the permission of the state archivist.

By contrast, the Commonwealth Evidence Act 1995 (No 2)[17] allows that copies produced "by a device that reproduces a document" are just as good as original documents.

The Australian Tax Office accepts electronic records as long as they are not altered, are retained for five years and can be retrieved by Tax Office staff, and will accept such records as authentic if they are a 'true and clear reproduction of the original paper records'[18].

Time Limits

The document management policy should acknowledge any applicable legislative storage timeframes. A summarised sample of required retention periods is:

- Income Tax Assessment Act 1936 – s2 2A and TR 2004/D23: 5 Years
- Corporations Act – s286: 7 Years
- Sarbanes-Oxley Act (US) – s103(a)(2)(A): 7 Years

Document Destruction

Taking cases such as Enron and BAT into account, it is clear that once legal action has commenced, or a particular issue is known to be under investigation by regulators, relevant documents should not be destroyed.

tape, while the data itself remains recoverable. Physical destruction methods and overwriting techniques may be required to ensure effective data destruction.

A Litigation Document Management Plan

A litigation document management plan is advisable to set processes in place for the retention and timely retrieval of documents in the event of legal action.

One object of such a plan would be to prove that document destruction is routine and follows policy, ruling out charges of spoilation.

In a litigation situation, the plan should also address the safe and secure retention and custody of potentially relevant documents that would otherwise be destroyed.

Managing Emails

It remains extremely difficult for organisations to monitor and enforce compliance with email policies. This is due, in part, to volume and the tendency to treat organisational email systems as 'personal messaging systems', with emails often written in an informal, short and potentially careless manner.

It also reflects the ease with which emails can be forwarded to multiple recipients, and sent without the ability to retract.

Tips for Effective Document Management

- Make document management part of strategic risk management
- Don't just manage documents; manage the machine and people networks in which documents travel
- Set up a clear document creation, retention and destruction policy
- Use this policy to constantly review and update your organisation's hardware and associated software
- Integrate this policy with other systems and processes that support your organisation's values and business operations
- Train and regularly update your employees in active risk management
- Set up a litigation document management plan
- Do not destroy documents at the first sign of an investigation by regulatory agencies or of litigation

Apart from this special circumstance of known or possibly 'anticipated' litigation, document destruction in accordance with a clear, formal, consistently followed policy does not appear to pose legal difficulties.

In the absence of litigation, and once legislative document retention timelines have been met, the policy decision about which documents to destroy, and how regularly, should be driven by business needs and the cost of retaining or destroying the documents.

An effective policy also considers the destruction of multiple copies of the same document. This may be difficult under a decentralised environment where numerous copies of documents can easily arise.

At a minimum, audit and document tracking trails should be utilised to ensure all persons have destroyed their copy and that the policy has been followed.

Particularly sensitive or high risk documents should be formally authorised for destruction. Maintaining a record of the documents that have been destroyed as part of routine processes should allow the organisation to defend itself against spoilation and other such charges.

Destruction of Digital Files

Document destruction requires robust methods. Deleting a file may simply remove the operating system's 'pointer' to the file on disk or

Separate email policies in accordance with Section 8.7.4 of Australian Standard AS17799 are prudent. This Standard lists the security risks and guidelines for items to include in such a policy.

Disclaimers as footers are now customary, but as the Allens case indicates, these are not always effective. Some email systems incorporate 'pop-ups' to remind users that emails are potential legal documents and need to be written carefully. Regular staff training and/or staff reminders may also be useful.

Ethical Practices – Values and Actions

Organisational hypocrisy has obvious ramifications for document management. Employees who do not feel that their senior manager protects the privacy of individual performance appraisals might not comply when asked to protect the privacy of organisational documents more generally.

Staff members who see that incriminating documents are destroyed by senior managers – unwilling to be accountable for their actions and with little regard for formal policies – are unlikely to respect such policies.

Investigations into Enron revealed a reward system and culture that generated employee fear that performance targets would be missed and bonuses not paid. While Enron formally espoused values

of integrity, in practice it only valued increased profits.

Document management practices and policies need to be integrated within, and supported by, a corporate culture with congruent values and actions.

Simons (1990)[19] refers to an organisation's 'belief control systems'. What kinds of values are espoused and rewarded by managers? Is ongoing training provided that regularly reminds employees of the expected values and behaviours?

Do managers 'act' the talk of ethical behaviour? Are they fulfilling their role as mentors and exemplars? Does document management policy reflect the values that are formally espoused?

Are document management policies integrated with desirable corporate values of transparency, accountability and integrity?

Compliance, Accountability and Active Risk Management

Fostering a culture of active risk management through strong corporate belief systems, integrated recruitment, training and performance management systems is also essential to effective document management.

Much has been written about the value of greater corporate accountability and the need to comply with new governance requirements.

PricewaterhouseCoopers (2005)[20] highlights the importance of inculcating a corporate culture of compliance and developing strong self-monitoring and self-control among employees.

This is useful advice, but what if the required behavioural standards are not well known or ambiguous - particularly for operating environments where communal standards differ?

Active risk management, on the other hand, requires employees to make decisions about documents and act by considering a diverse set of risks. Compliance risk – the risk of breaching regulatory or organisational policy – is just one important risk.

Documents can also pose operational risk to the smooth functioning of the everyday business of an organisation. Emails can pose substantial reputational risk, both for individuals and firms, and strategic risk, exposing the organisation's core strategic uncertainties or its future business plans.

Conclusion

Effective document management in line with clearly defined policies is necessary both for effective use of knowledge resources and for corporate governance.

Documents serve many business purposes, and their use carries opportunity and risk. Documents are not isolated entities, and can only be managed in the context of the technological and human networks through which they travel. IQ

The Authors

This article is an extract from a Canon-sponsored whitepaper entitled 'Documents, Risk and the Fate of your Organisation: Document management in the age of corporate accountability', by **Professor Wai Fong Chua**, School of Accounting University of New South Wales, and **Christine Van Toorn**, School of Information Systems Technology and Management, University of New South Wales.
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To download the full whitepaper free of charge, please visit www.canon.com.au/business/accounting

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How to Join the Jargon Hunt

By Kenneth Tombs

After he wrote his Off the Record column on the subject of Compliance for this issue of *IQ*, (see page 21), Kenneth Tombs struck a hurdle. It's called jargon.

Now, you have to take criticism onboard, especially when it's from *IQ*'s contributing editor, who is also offering to buy you a round – allegedly! He took me to one side, electronically that is, and said, "Jargon. European jargon!" Well! I thought, as I read his suggested footnotes; and personally, I have my doubts about people who can stream off such urls from memory! However, a 'wet is a wet', and so here are some explanations, as an alternative to the two hundred footnotes at the end of the dynamic and racy column that he wanted.

SOX. Or the PCARAIPA

The USA's Sarbanes-Oxley Act 2002, is also known as the Public Company Accounting Reform and Investor Protection Act of 2002 and commonly called SOX (July 30, 2002) is a federal law in response to major corporate and accounting scandals involving prominent companies in the United States. Enron, et al (allegedly).

Britain suffered the same a decade ago with the Robert Maxwell, Mirror Group debacle, so it's clarifying corporate governance and responsibility for fraud.

Have a browse, if you've time, of: www.sarbanes-oxley.com/section.php?level=1&pub_id=Sarbanes-Oxley.

Now tell me honestly, could you be even bothered to remember that lot?

The Basel Run Up. Or, ICOCMACS Here we Come!

Basel-II is a bit closer to my home in that the European Central Bank's governors and the heads of Europe's bank supervisory authorities (the Basel Committee on Banking Supervision) endorsed the International Convergence of Capital Measurement and Capital Standards: a Revised Framework (Basel II), June 2004, revised November 2005.

What on earth is this all about? Well, by having better documented processes and proven compliance, you can as a bank, work with reduced liquidity, because, allegedly, you actually know what your real financial commitments are.

Again, have a browse if you've a moment of: http://www.bis.org/publ/bcbs118.htm

Beware of Vapourware

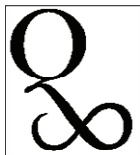Finally, where suppliers demonstrate software and content that is incomplete, vapourware is the colloquial name for this. See, http://en.wikipedia.org/wiki/vaporware

That French Crowd

And finally, finally, the url for Compagnie Normind, is: www.normind.com, or www.normind.free.fr.

Happy jargon hunting. 🔲

The Author

Kenneth Tombs is a UK Rim consultant and a director of Document Law. He writes the Off the Record column for *IQ*.

Preview:
23rd RMAA International Convention
Cairns, Queensland, September 17-20, 2006

Where Records Meet the
Rainforest and the Reef

R·M AA
Records Management
Association of Australasia

5 Great Reasons to Attend

1 **A Fantastic Programme, Great Keynote Speakers**
The Cairns Convention promises standout local speakers, a unique behavioral profiling session, industry awards presentations, top-rate vendor exhibition stands, three social functions – welcome cocktail part, Convention dinner, and farewell party - and the highest quality keynote speakers available.

András J. Riedlmayer directs the Documentation Centre of the Aga Khan Program for Islamic Architecture at Harvard's Fine Arts Library.

A specialist in the history and culture of the Balkans, he has spent much of the past decade documenting the destruction of archives, libraries and other cultural heritage during the wars in Bosnia-Herzegovina (1992-1995) and Kosovo (1998-1999).

Susan McKinney, CRM, has been the Director of Records and Information Management at the University of Minnesota since December, 1995.

She also serves as owner/host of the Records Management Listserv, and is the President of the Association of Records Managers and Administrators International (ARMA International), the RMAA's sister association in North America.

To learn more about Susan and her views, see IQ's interview with her on page XX of this issue, and the extended interview in next month's *IQ* Annual.

Becky Mayhew is the Director of Data Quality for Spencer Stuart, an Executive Search Firm. She specialises in the firm's proprietary database overseeing data integrity, audit, maintenance, and referential integrity.

Becky has been with Spencer Stuart for twelve years, having roles in training, design and development of the firm's proprietary database. She was instrumental in the conversion of all of the firms various independent databases into one, shareable, global database.

Her work has focused on data integrity and the global impact of the firm's information, legal issues surrounding data capture and policies surrounding data retention and purging.

Wayne Bucklar is director of Truecom Pty Ltd and Urban Digital Publishing Pty Ltd, and a board Consultant with the Professionals Real Estate Group and the Queensland Audit Office. He is a columnist for the Queensland Business Review and Technology Commentator for ABC Radio 612 Breakfast Show and ABC TV2, as well as host of a weekly radio "Technology and Internet" segment.

Wayne has extensive experience in consulting to business on networking and internet processes to improve the bottom line, and consults to a range of internet and government bodies and serves on e-commerce advisory committees with the state government.

A regular speaker and presenter at conferences and events, Wayne says he is primarily a translator allowing management and technologists to understand each other.

2 Comprehensive Trade Exhibition

At this convention you'll find trade stands representing many of the leading vendors in the records and information management industry.

See software, products and equipment demonstrated live, meet the representatives and discuss your needs first hand. Talk to them for a couple of minutes or an hour. This is the only 100% relevant trade show of its size held for the RM industry each year in Australasia.

Not to mention the relaxed atmosphere of our themed Exhibition area or the dozens of free giveaways that delegates manage to collect over the course of the Convention. A map will help you traverse through the Exhibition area to ensure you don't miss any of the hidden "treasures" that make up our Trade Area.

3 Behavioral Profile

Most delegates to this Convention will be given the opportunity to participate in a selection of professional profiling assessments, incorporating measures of personal behavior, communication style, values and work preferences.

Profiling is a burgeoning discipline that provides valuable insight into the motivations, styles and characteristics of individuals. Profiling individual characteristics provides greater personal awareness that can result in increased levels of job performance, organisational commitment, performance and productivity.

As part of the Convention, delegates will be provided with the unique opportunity to gain personal awareness, it is purely voluntary - and it is included in the cost of a full registration.

4 Unparalleled Networking Opportunities

400-plus peers located in one place at one time? This opportunity only presents itself once a year.

Meet with hundreds of other people with similar (or completely different) experiences from your own, sharing knowledge and gaining valuable insight from people who actually work in your industry.

5 Incomparable Cairns

Tropical Far North Queensland – what a location! This beautiful, lush, tropical city has everything. Wonderful food, great sights, diverse culture, literally hundreds of things to do pre and post convention (or for your family to do while you increase your knowledge).

And once you've exhausted the onshore possibilities in Cairns and nearby Port Douglas and the Daintree Rain Forest, there are all the wonders of the Great Barrier Reef awaiting you offshore, where you can swim, sail and dive in the world of Nemo and his friends.

We have even arranged a Tour Desk right next to the Registration Desk, plus hourly sightseeing tours of Cairns for delegates on the afternoon of Sunday, September 17. [iQ]
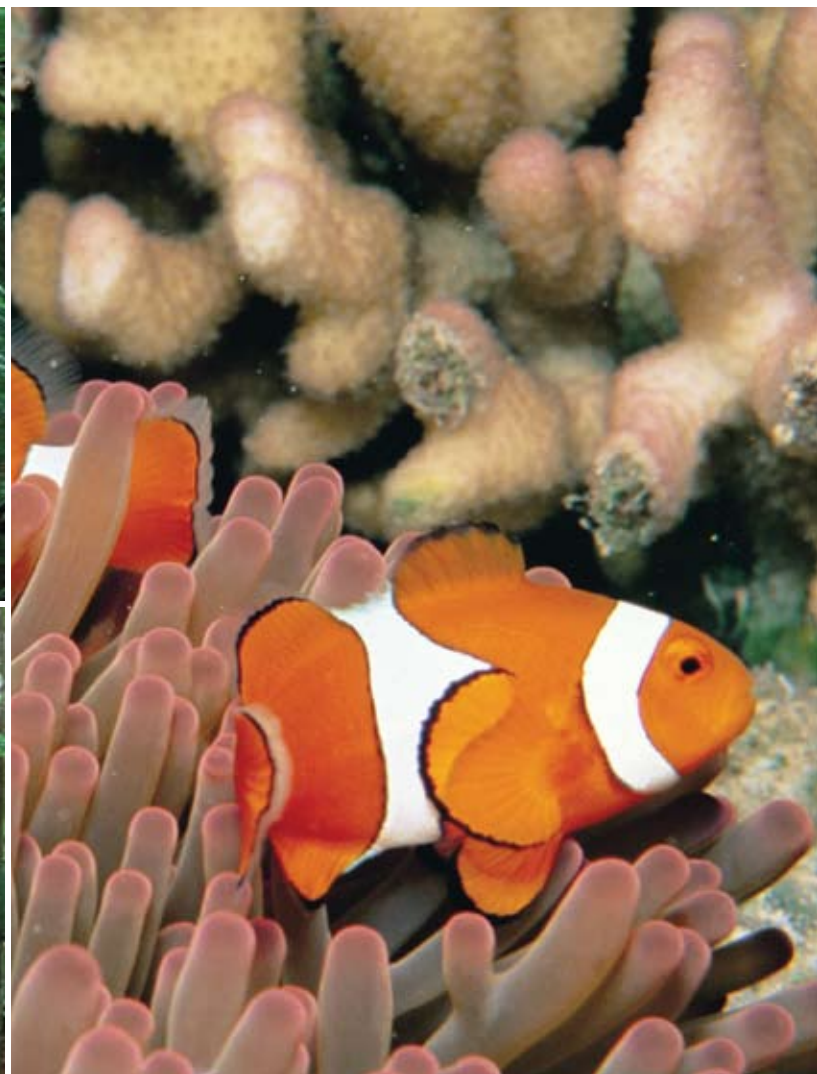
Meet the Vendors, See their Products at the Convention Exhibition

Records Management Association of Australasia
International Convention 2006

Cairns Convention Centre
17th - 20th September 2006

1. **KnowledgeOne**
2. **Fort Knox Records Management**
3. **DocsCorp**
4. **Lateral Minds**
5. **AKA (Synercon)**
6. **Interwoven**
7. **Integrated Business Improvement Services (IBIS)**
8. **Rolls Manufacturing**
9. **Archival Survival**
10. **Outback Imaging**
11. **Tower Software**
12. **Tower Software**
13. **Info Vision Technology**
14. **Info Vision Technology**
15. **Records Solutions**
16. **Proscan**
17. **Tower Software**
18. **Tower Software**
19. **Kodak**
20. **Recall**
21. **Recall**
22. **Codafile**
23. **Avand**
24. **Conservation Resources**
25. **Conservation Resources**
26. **Grace Records Management**
27. **Active Classification Systems (Term Tree)**
28. **Hummingbird**
29. **Hummingbird**
30. **Alphawest**
31. **Access Office Systems**
32. **Objective**
33. **Objective**
34. **Iron Mountain**
35. **Iron Mountain**
36. **Zetta Florence**
37. **Zetta Florence**
38. **Canon**
39. **RMAA 24th Convention – New Zealand**

RMAA 23RD International Convention Proudly supported by:

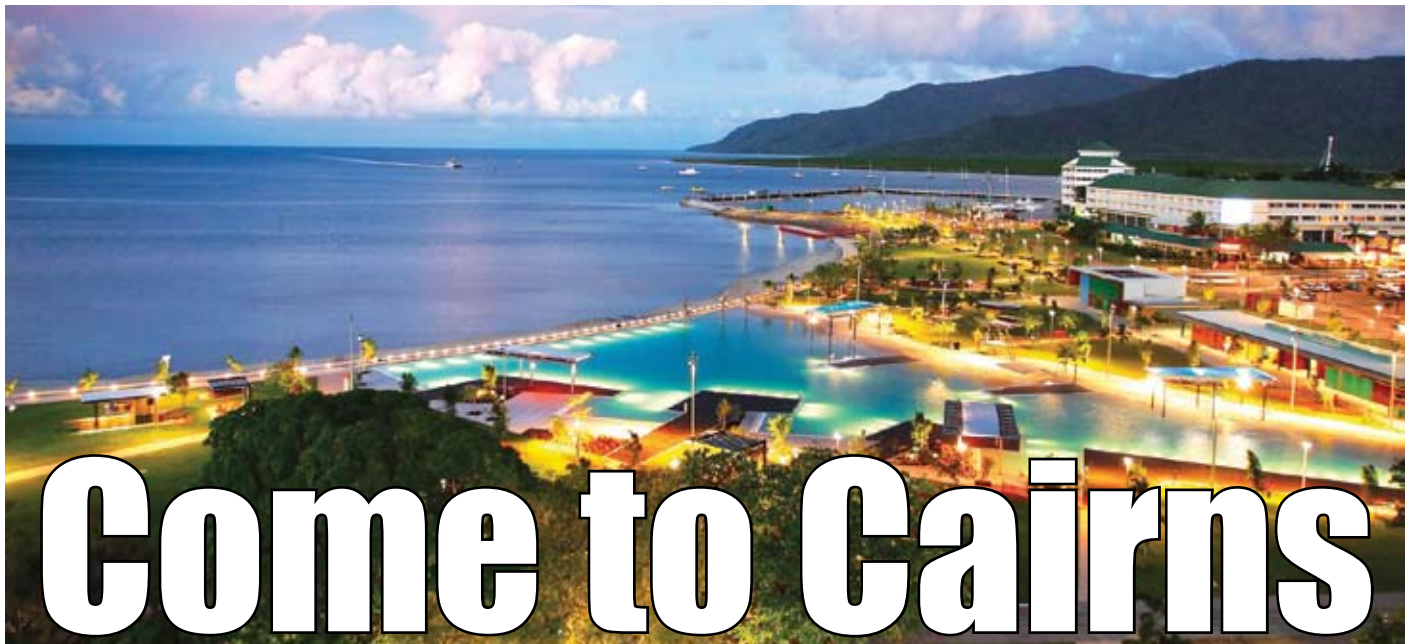**Diamond Sponsor**

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Come to Cairns

By Kemal Hasandedic, Organising Committee Chair

What better time to hold an RMAA Convention in Queensland but in the Queensland Branch's 30th Anniversary year? And with the location of the Convention being warm and tropical Cairns, what better theme than 'Where Records meets the Rainforest and the Reef'?

The streams for this year's event are:

Respice: Survey the Past looks at the transition of records management practices over recent history.

Aspice: Examine the Present looks at topical issues and their impact on records management.

Prospice: Look to the Future will take you beyond traditional records management roles and arm you with skills to show leadership when you return to your workplace.

Cast aside your inhibitions and come back to 1976 as we celebrate the 30th anniversary of the formation of the Queensland Branch of the Records Management Association of Australasia.

Our Organising Committee has put together a programme comprising a talented mix of respected international and local speakers to regale stories of the past 30 years and to share their thoughts on what's in store for us in the years ahead.

Where better to do that than in spectacular Cairns Tropical Far North Queensland, Where Records will meet the rainforest and the reef. Our venue, the Cairns Convention Centre, was voted World's Best Congress Centre in 2004.

On Monday September 18, you will be invited to reflect on the last 30 years; what has been delivered on our early expectations and what has come and gone. We are fortunate in having our American colleague Susan McKinney, ListServ goddess and President of our sister organisation, the Association of Records Managers and Administrators, to share an international aspect on this discussion with us.

Tuesday brings highly respected historian András Riedlmayer who will expose you to the horrors of the crimes against culture in Bosnia and Kosovo, and the resulting records management implications. While Becky Mayhew, a data integrity specialist, will enlighten us on the current challenge of globalisation.

In looking to the future on the last day of the Convention, you will be challenged beyond your comfort zone with an exciting array of speakers led by Wayne Bucklar, an acknowledged computing and e-commerce expert. This will be a challenging and rewarding management experience as we identify areas for personal and organisational development.

Sights to See and Sample

On Sunday Septmber 17, a chartered coach will leave Cairns convention centre on the hour to take participants on a scenic tour of Cairns and environs. Tony, raconteur and brilliant communicator will guide you as you visit points of interest around town including the Esplanade, Pier, Port facilities, Botanical Gardens and all of the best places to shop!

Cairns is a tropical haven for visitors from all over the world. This "paradise" is a destination of immense natural diversity. From the breathtaking colours of the Great Barrier Reef to the green splendour of the Daintree, it is a showcase of natural beauty. Nowhere else can you find two World Heritage ecosystems – rainforest and reef – side by side.

Social Events

There are three big events planned for your enjoyment.

Welcome Reception. Hosted in the Outdoor Plaza of the Cairns Convention Centre, start your Convention experience with the opportunity to make new acquaintances and catch up with old ones as you sample Tropical Far North Queensland's fabulous cuisine.

Official Dinner. Step back to 1976. While theme dressing is completely optional, many of our 'older' delegates should have no problem finding appropriate dress in the back of their wardrobes! And we guarantee if you lived through the sixties or seventies you'll recognise the music, even if you can't remember all the words. So join us for a sumptuous seafood buffet and step back in time for the night.

Farewell Function. Hosted on the Pool Deck at the Sofitel Reef Casino, only a 5 minute walk from the Cairns Convention Centre, this is your last chance to network, swap details and discuss the past few days before heading home, back to the office and in most cases away from the tropics.

So, even if you only attend one industry event this year, make sure it's the biggest and the best, the RMAA International Convention. See you in Cairns. iQ

A Conversation With Susan McKinney

SUSAN McKINNEY, CRM, President of ARMA International in the US, will be a keynote speaker at the RMAA's Cairns Convention. *IQ* **interviewed her before she set off for Australia.**

IQ: **Susan, you will be a keynote speaker on September 17 at the RMAA International Convention in Cairns. Will this be your first trip to Australia?**

SM: Yes, my first trip to Australia.

IQ: **What will be the subject of your presentation at Cairns?**

SM: The title of the presentation is, 'Records Management: Have We Had An Impact?'

IQ: **Why have you chosen that subject for this Convention?**

SM: The keynote on the first day of the conference is about looking back at our past and what the RIM profession has accomplished.

I think we are sometimes too critical about what either our profession or associations haven't done. It is certainly time to celebrate our past and look forward to what the future can hold.

IQ: **ARMA International is the largest records management association in the world. When was it founded?**

SM: ARMA International was founded in 1955 with the formation of ARMA and AREA. In 1975, ARMA and AREA merged to form ARMA, and in 1986, ARMA added International to its name.

IQ: **How many members does the Association have? What staff does it employ, and in what roles?**

SM: ARMA International has approximately 10,000 members, with most of those being from the U.S. or Canada. The Association has 27 staff members based at our headquarters in Lenexa, Kansas.

That number includes Directors for Education, Professional Resources and Standards, Sales and Advocacy, Brand Integration and Marketing, Finance and Administration, Alliance and Partnerships, Member Services and Publications.

IQ: **What services does ARMA International provide to its members?**

SM: Education is at the top of the list of services ARMA International provides. We do that in a variety of ways including webinars, publications, the Information Management Journal, newswire and our annual conference.

In addition, ARMA has an ANSI-certified standards
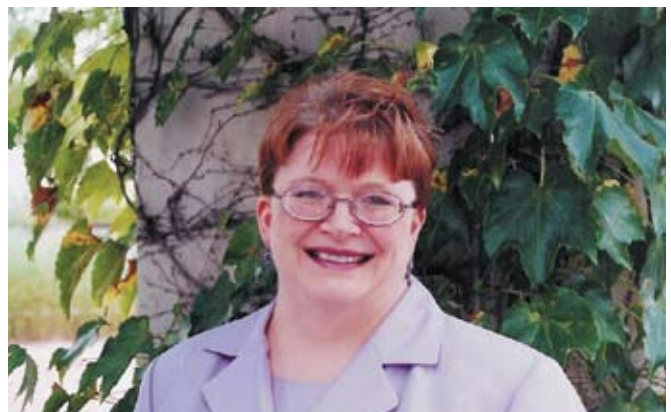
Susan McKinney, Certified Records Manager, 'godmother of the listserv', and President of ARMA International in the US

program, and provides monthly legislative and regulatory updates to members.

ARMA has alliances and agreements with other allied associations and industries such as the Society of American Archivists (SAA) and the Storage Networking Industry Association (SNIA).

ARMA also has a network of chapters which provide local education opportunities to the members.

IQ: **Does the Association have members outside the US? Where, and in what numbers?**

SM: We have around 350 International members, including 31 in Australia and New Zealand.

IQ: **Does the Association have ambitions to expand that international membership?**

SM: ARMA International's focus on International is not necessarily to expand international membership, but to ensure the RIM profession is promoted consistently globally.

We want to help our members who work for multi-national companies gain the knowledge they need to do their work. We want to be the recognised resource on RIM practices, and work

A CONVERSATION WITH SUSAN McKINNEY: Continued from page 49

with other associations and organisations to raise awareness of the profession.

IQ: **ARMA International director Diane Carlisle led the US delegation to the ISO subcommittee that created ISO 15489. Yet the US has not adopted the standard nationally. Why, do you think, has the US Government been reluctant to embrace ISO 15489? Is it because it didn't originate in the US?**

SM: No, in my mind it has nothing to do with the fact that it did not originate in the US. I believe that when we look back on the history of our profession, ISO15489 will be looked at as a turning point in RIM.

Although the US has plenty of rules and regulations relating to records, it is our history that most of them have been promulgated in response to a perceived crisis, where public opinion has been clamoring for a legislative response.

After all, the US has over 35 laws and regulations governing privacy, with more being proposed in each legislative session at all levels of government. I think the fact that ISO 15489 has not been officially adopted is more an issue with our system of governance.

IQ: **What do you see as the biggest challenge for ARMA International?**

SM: I think the challenge for ARMA and the RIM profession is to move the profession forward and continue to be relevant as business needs change around us.

ARMA needs to continue to market the benefits of RIM and partner with those allied associations and professions that can help us to meet our strategic goals.

There is great potential for ARMA International and the profession right now, and we need to take advantage of the opportunities that are in front of us. We have the tools, abilities, knowledge and resources to do this, what we need to do now is move on it.

IQ: **Personally, what is your biggest concern about the future of RIM?**

SM: I worry that if the members of our profession do not raise their skills and abilities in the areas of electronic records, that the profession will become irrelevant and we will lose all the ground we have gained in the past few years.

Certainly, many of our members are taking advantage of the opportunities that are in front of us, but we need to make sure that the profession as a whole realises the challenges and takes steps to move forward.

IQ **Thank you Susan. We look forward to your Convention presentation at Cairns next month. Enjoy your time in Australia.** 🔲

To see the full *IQ* interview with Susan, read the inaugural *IQ Annual,* published in September, in which she discusses subjects including standards, RIM legislation, US perceptions of RIM in Australia, the new Archivist of the United States, tells of how she got into RIM, enters the qualifications versus experience debate, and offers advice for people just getting into the profession. See page 51 of this issue of *IQ* for details on how to order your copy of the *IQ Annual.*

IT'S ALL IN IQ THE ANNUAL

iQ Annual 2006-07

How EDRMS Became a Life & Death Matter in Lewisham

Three people who were integrally involved at the London borough of Lewisham tell their Electronic Social Care Records story.

Just Because We Don't Know Doesn't Mean We Should Do Nothing!

What's the future of RM in a digital world? Chief Executive of the National Archives of Great Britain, Natalie Ceeney, has strong views, which she expresses when she writes for us.

PALM ISLAND: Records Management & Accountability

The path to the truth – Elizabeth Wheeler delivers a sobering study of the Palm Islanders' wage claim against the State of Queensland.

COMMON FEARS, COMMON GROUND

Susan McKinney is many things. American university director of information. 'Godmother' of the listserv. And new President of ARMA International. Here, she shares her thoughts with *IQ Annual* about the challenges RIM faces, and the things that bind RIMs everywhere.

PREPARING YOUR ORGANISATION FOR EDRMS

Sooner or later, your organisation will have to face up to replacing their existing records management system with a new generation EDRMS. Jackie Bettington & Trish Wichman say the experience need not be a nightmare, if you prepare your colleagues.

WHY TRIM HAS TAKEN OFF AT JETSTAR

TRIM has taken off at Jetsar Airways. TOWER Software's Geoff Moore tells the how and why of a solution that's managing the low-cost airline's crew records, accounts payable, customer services and HR needs.

Ten Strategies for Taking the Pain out of Implementing EDRMS

After years at the coalface implementing EDRMS across a range of agencies, leading New Zealand expert Matt O'Mara provides the benefit of his experience.

WORLDWIDE E-GOVERNMENT: The Garbage Heap Is Only Going to Get Bigger

Award-winning *IQ* Contributing Editor Mike Steemson assesses the progress being made in the area of e-government around the world.

TOP RM SOLUTIONS REVIEWED

A leading US authority gives detailed reviews of four top name RM solutions covering an ECM suite, a pure-play RM solution, a vertical industry oriented solution, and a niche product.
This is in-depth information on today's top software! You can't be without it.

GIVING RM A LOCAL GOVERNMENT PRESENCE

Meryl Bourke tells of how her RM staff got together to teach the Logan City Council the value of records and recordkeepers.

THE GOOGLE STORY
A New Chapter, or the Last Page?

Instead of Googling, we could have been giving the Internet a BackRub. And Larry and Sergey really did start in a garage, just eight years ago. But have the Google guys peaked? Has the information industry behemoth that is Google run out of new ideas?

PLUS!

Putting Six Government Ministers on RIMS. RIM 5 Years On, 5 Years Back. Good RecordKeeping Staff are Hard to Find Down Under. Objective *IQ* Article of the Year Award Shortlist. The 2006-7 RMAA Product & Services Directory.

The *IQ Annual* is not included in your RMAA Membership or your *IQ* Magazine subscription. You must order it separately. Published in September.

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Ian McLean Award Winners Make Recordkeeping an Art

The National Archives of Australia Ian McLean Award for 2006 has been awarded to two art world professionals, who will undertake a groundbreaking project to recover neglected archival records of Australia's art schools.

Award winners Steven Miller, archivist with the Art Gallery of New South Wales, and art curator Eileen Chanin, will put the $15,000 Ian McLean Award grant toward their project aimed at identifying and locating valuable art school records Australia-wide.

The pair had collaborated on a book, Degenerates and Perverts, (Melbourne University Press, 2005), and in the process stumbled on a great art world recordkeeping dilemma.

Steven Miller told IQ, "It was whilst researching for this book that we were continually frustrated by the difficulty in locating art school records, and surprised by what seems to have been destroyed over the years."

NAA Director-General Ross Gibbs, when announcing the award in May, said, "Although it may be hard to imagine valuable and important documents relating to famous Australian artists not being retained in a systematic way, the lack of formal artistic teaching institutions in the 19th century has contributed to the current dilemma."

"We have identified around 65 schools which we want to document and list," Miller told IQ. "We will be attempting to make an inventory of what survives, surveying schools from the late 19th century until today, and who currently holds what."

Early art training in Australia was conducted on a studio basis by individual artists such as John William Lewin from 1811 and Richard Read from 1814. Later,

NAA Ian McLean Award winners **Steven Miller** and **Eileen Chanin**

mechanics institutes, which were founded to educate workers in the trades, taught drawing and modelling.

Among the students of Melbourne's first public art school, the Artisan School of Design, founded in 1867, were Frederick McCubbin and Tom Roberts, who went on the become two of the country's most renowned 19th century artists.

Surprisingly little study has been conducted on the records of the nation's artistic education heritage. Miller and Chanin were impeded in their research by the absence of significant art school records from national archival repositories and libraries. Where records exist, they are often incomplete - the National Art School's lists of diploma students and teachers since 1883 are prime examples.

One reason for the absence or incomplete nature of art school records, Miller and Chanin discovered, was the fact that many 19th century art schools went through major administrative changes, with records suffering in the process.

"We will be targeting public records and art gallery records, both in public collections and still in private hands," Miller said. "Mostly paper-based – student enrolment registers, course outlines, assessment records, also photographs and other such things.

"Our aim is make an inventory which can then be used as a guide by researchers. The grant goes from June 2006 to June 2007, but we will probably keep adding to the inventory."

Canon Digital Camera Prize for Objective *IQ* Article of the Year Award Winner

The winner of this year's Objective *IQ* Article of the Year Award will receive a Canon digital camera worth $699 (rrp).

The article by a RMAA member published in *IQ* or the *IQ Annual* which the judging panel consider best meets the judging criteria will receive a Canon IXUS 750 digital camera, courtesy of award sponsor Objective Corporation.

All articles by RMAA members published in the November 2005 and February, May and August 2006 issues of *IQ* and the forthcoming *IQ Annual* are automatically eligible for the award. No nomination is required.

The award judges are the Editor of *IQ*, an Objective Corporation representative, and a member of the RMAA National Board.

Articles shortlisted for the award will be announced in the *IQ Annual*, which is published next month. The award winner will be announced at the 23rd RMAA International Convention in Cairns in the third week of September.

Objective

IQ **Article of the Year** AWARD

CORRECTION - J EDDIS LINTON AWARDS CHANGES

In the May issue of *IQ* there was an error in the changes announced to the J Eddis Linton Awards. Please note that it was incorrectly stated that, for the Individual Award, members who are not Professional Members will also be required to address the Associates' criteria.

In fact, only Professional Members are eligible to nominate or be nominated. The RMAA apologises for any confusion caused.

RMAA Snapshot:

The People Who Help Make Us Tick.
David Pryde
National Vice President

David 'Recman' **Pryde**, New-Zealand-based Vice President of the RMAA

David Pryde joined the RMAA is 1999 after completing the Certificate IV in Records Management at QLD TAFE. He was an Information Resource Officer at Redland Shire Council, Queensland, from 1995-2000, where he left as a Team Leader.

In 2000 he moved to Auckland, New Zealand, where he joined North Shore City Council as Records Supervisor.

Over the last 5 years he has been part of teams; that implemented an electronic document management system, undertook remediation and conversion of legacy documents to electronic form and is currently engaged in a new role as Knowledge Coordinator, implementing a corporate wide taxonomy.

When the New Zealand Branch of the RMAA was formed in 2002, David was asked to assist in the formation of an Auckland Chapter, of which he is still the president.

David lives in the Auckland seaside suburb of Browns Bay with his partner Paula.

TRUE CONFESSIONS

IQ asked David some personal questions:
A little known fact about you? I was electrocuted at age 3 – bare wire and power sockets do not mix. But I learned to fly!
Goal yet to be achieved? I haven't given up on being Prime Minister of Australia yet, however I would like to complete a BA or Masters in Records or Information Management.

Word that best describes you? Pugnacious – I don't like to lose or fail, because I didn't do all that I could to be successful.
The thing you like best about your job? Helping people enjoy their jobs better because of a knowledge/records management solution that made their job easier or more efficient.
The thing you least like about your job? When sound records management principles are devalued for any reason.
The most important lesson you've learned? Never give up. Never give up. Never give up!
Your motto for life? Having survived a heart attack - live everyday as if it was your last, and don't come to its end with regrets. Make decisions and live with them.
The award/honor you're most proud of? I don't have any awards – my proudest moment was being nominated by the NZ Branch to represent them on the RMAA Board. "What were they thinking"?
The book that has influenced you most? The Bible obviously, and Rod Macqueen's One Step Ahead.
Your favourite movies? Kelly's Heroes, and The Good, the Bad and the Ugly

Your favourite restaurant/dining experience? Seafood: Swashbucklers - West Harbour, Auckland. Fine Dining: The Hunting Lodge - Auckland
Your favourite holiday spot? Port Douglas (Queensland), and Tutakaka (New Zealand).
Your favourite way to spend free time? Reading Military History. War gaming with 10 -15mm figures. Fishing.
What vehicle do you drive? RECMAN is a 98 Mitsubishi Diamante 3.5L SEI sedan (Magna in Australia).
Your business philosophy? It's all about customer service. As records managers we are service providers. By keeping multiple communication channels open and showing a willingness to act with financially responsible but innovative solutions, records managers should understand the needs and wants of their customers.
Your personal measurement of success? In my job: Educated and satisfied customers utilising "best practices" and standards within a compliant organisation. In the RMAA: Educated and satisfied members utilising the tools and the opportunities provided by the Association

to increase their self worth and value to employers. Overall: To leave either environment knowing it is a better place than when I arrived.

Your tip for people starting out in the industry? Be a sponge and soak up every experience possible. Go to any event to develop your skills and experience, and get to know the people in your area. This enables you to swap experiences and anecdotes that might help you at a later date and make lifelong friends in the meantime.

If you decide that you have a career in Records Management then you must do 3 key things:

1. Join a professional RM association like the RMAA.
2. Subscribe to the NZ & Australian listserves.
3. Go to a conference to see the big picture.

If you want to seek high levels in Records or Knowledge management then look into further education, at Cert IV level as a minimum.

At your place of employment learn quickly and demonstrate your understanding through accuracy and efficiency.

Your ambition for the RMAA in New Zealand? The NZ Branch has made an enormous impact on the records/ knowledge industry in NZ. We have over 200 members and continue to attract new visitors to every event, because we are prepared to deal with the issues that our members are engaging at the coal face.

My personal ambitions for the RMAA in NZ are twofold: Firstly, to improve the profile of records management, our members and the profession.

Secondly, to prepare the way for the next generation of recordkeepers through accredited training, competency standards and professional membership.

Your ambition for the RMAA as a whole? Through the leadership of the RMAA and its strategic partners, that records management becomes a professional 'career of choice' at the school leaving level.

And that the value of being a member of the RMAA is reflected in improved employment opportunities, career development and remuneration in public and private sector organisations. IQ

Colwell Completes MA With Help of RMAA Research Grant

Sydney RMAA member Christopher Colwell has been awarded a Master's degree in Information and Knowledge Management, after his research was supported by an RMAA research grant last year.

Chris, Information Manager with the Australian Prudential Regulation Authority, is a past branch secretary with the New South Wales branch of the RMAA and is currently a member of the Association's National Board.

He completed his studies for a Master of Arts (Information and Knowledge Management) degree at the University of Technology, Sydney, (UTS), with a thesis entitled 'Ethics for High Days: The social values of recordkeeping and information management professionals in Australia'.

UTS Graduate Advisor in Information and Knowledge Management, Dr Michael Olsson, told *IQ* last year (August 2005 issue), "I think recent corporate scandals both here and in the US have shown how important ethics are in the information and records management fields."

An edited version of Chris' Masters paper, 'Integrity, Accountability, and all that Jazz,' will be published in the *IQ Annual* next month. IQ

Christopher Colwell, MRMA, who has completed his MA in information and knowledge management

Queensland Branch Celebrates 30th Birthday

RMAA Queensland Branch President **Philip Taylor** and the Association's National President **Kemal Hasandedic** recently cut a cake at a Brisbane gathering to celebrate 30 years since the inception of the RMAA's Queensland Branch.

RMAA Website Tips

By Kristen Keley, RMAA Marketing & Event Manager

Did you know that the RMAA website is a treasure trove of valuable information? Try following some of these links from the home page and see what you can find.

Homepage – www.rmaa.com.au
Members Only area available via the Homepage or, at www.rmaa.org.au
Logo: Click on the '?' near the logo to find out the logo's meaning.

Giftshop
Did you know that we have RMAA branded items available for sale?
1. Hover your mouse pointer over the Membership dropdown menu until it expands
2. Click on the last listed item "Giftshop"
3. Browse through the range

Posters and Brochures
The RMAA have produced numerous records related brochures and posters. They are available electronically and in hard copy. Interested?
1. Hover your mouse pointer over the Library dropdown menu until it expands
2. Click on the eighth listed item "Brochures & Posters"

Survey Results
The RMAA has run a number of Surveys and Online Polls over the past 12 months on a range of issues. Would you like to see the results?
1. Hover your mouse pointer over the Library dropdown menu until it expands
2. Hover your mouse pointer over the third listed item "Survey Results" until it expands
3. Click on the Survey you are interested in viewing from those listed
4. Open the document

Survey Prize Winners
Have you been wondering who the lucky winners of the Survey prizes were?
1. Hover your mouse pointer over the Library dropdown menu until it expands
2. Click on the third listed item "Survey Results" (no need to choose a sub-menu)
3. Browse through the list of Survey winners and their prizes

Personal Continuity Plan
As part of its inaugural Information Awareness Month the RMAA developed a Personal Continuity Plan for public use, ie a document offering suggestions on protecting your personal or household records.

It is available for download from the RMAA homepage under "Items of Interest". OR
1. Hover your mouse pointer over the Library dropdown menu until it expands
2. Click on the first listed item "Shared Resources"
3. Browse through the list of helpful documents, the Personal Continuity Plan is the first one on the list

InfoRMAA Quarterly - Full Electronic Issues of *IQ*
Full issues of *InfoRMAA Quarterly* are available electronically from February 2005 onwards. If you are a member of the RMAA you can access them as follows:

Option 1
1. Log into the Members Only area
2. Click on "Information Resources"
3. Click on "Magazines"
4. Click on "*IQ – InfoRMAA Quarterly*"
5. Choose the issue you would like to read and click on it to open it.

Option 2
1. Log into the Members Only area
2. Go to the RMAA homepage by clicking "RMAA Home" on the left hand side
3. On the RMAA homepage hover your mouse pointer over the "Library" drop down menu until it expands
4. Hover your mouse pointer over the fifth listed item "*InfoRMAA Quarterly*" until it expands
5. Click on the fifth listed item "*IQ* Full Issue Archive"

6. Choose the issue you would like to read and click on it to open it.

Electronic Copies of *IQ* Articles
Every article ever written for InfoRMAA Quarterly since its first edition over 22 years ago is also available in the *IQ* Article Archive.

To access articles you must be a member. But remember that they are subject to copyright and cannot be republished or put on an intranet or website without the permission of the RMAA and the author.

For access, follow these instructions:
Log into the Members Only area
1. Go to the RMAA homepage by clicking "RMAA Home" on the left hand side
2. On the RMAA homepage hover your mouse pointer over the "Library" drop down menu until it expands
3. Hover your mouse pointer over the fifth listed item "InfoRMAA Quarterly" until it expands
From here you have two choices, either
1. Click on the fourth listed item "*IQ* Article Archive"
2. Search for your article by Title, Author or article type
OR
1. Hover your mouse pointer over the fourth listed item "*IQ* Article Archive"
2. Click on the type of article you are looking for (eg Technology)
3. Search for your article by Title or Author

Search Facility
There is a search facility located in the top right hand corner of the RMAA homepage.

By choosing the right option you can search our Product and Services Directory for vendors, search the meaning of a term used in the Australian Standards in our Glossary, or search the whole RMAA site. Try it!

Members Only Site
To log in to the Members Only area you need to know your membership number.

Your password is your Last Name (if your last name is less than 6 digits add zero's to make it up to 6 digits eg Harrison, Smith0, Chan00, etc)

Occasionally this will not work. If you happen to be in the minority, then you can have any problems fixed with a quick telephone call, Freecall Australia 1800 242 611 or Freecall NZ 0800 400 625.

Enjoy the website. It's there for you to use. IQ

What **Chatterbox** Heard

By The Informer

More Heiner Heat

For years, State Archivist **Lee McGregor** has been denounced for agreeing document destruction related to the Heiner Inquiry (into John Oxley Youth Centre, Wacol child abuse allegations), for her State Government masters.

Now, three ALP State Government backbenchers have claimed the destruction was ordered by law officers, a claim supported by the State's Department of Communities and reported on ABC TV's 7.30 Report in May.

The Australian Society of Archivists, long critics of Ms McGregor's part, has demanded clarification.

Life on the Listserves

Lack of interest on the listserves? All human life is there. Witness the deluge that **Deborah Talbot**, Information Resources Officer for Western Australia's international mining conglomerate Iluka, unleashed on herself recently when she sought advice from RMAA lurkers about piloting EDRM systems.

"TEST TEST TEST PILOT PILOT PILOT" came the instant response, followed by "REVIEW REVIEW REVIEW" in another. Then, more scornful, came: "If you're not prepared to pilot then you shouldn't be let loose with a new EDRMS". And: "That is like buying a car without a test drive".

Another listie warned that the alternative, big-bang risks, offered only small chance of recovery, "assuming that you don't drown in the spittle in the corridors". Yet another recommended "a roll-back strategy", aka an escape plan, or immigration.

It was left to listserve soap-boxer Sydney MRMA **Glen Saunders**, Document Manager at Energy Australia, to call off the dogs with: "My goodness, aren't there a lot of us out there covered in scar tissue." He mourned the job and legal constraints that prevented more open discussion on EDRMS failings, "except in the pub at RMAA conferences".

Surprises for Rachel

Surprises for Victoria University of Wellington School of Information Management lecturer **Rachel Lilburn** when she read, hot off the press in May, Douglas Lilburn: His Life and Music, (Canterbury University Press).

Her famous great uncle, New Zealand composer Douglas Lilburn (1915-2001), is widely acknowledged as the 'father of New Zealand music'.

Philip Norman's biography revealed that the maestro, whose gay inclinations were acknowledged in later life, had a 1942 affair with the almost equally eminent NZ artist Rita Angus (1908-70), and made her (briefly) pregnant.

Great niece, Rachel's reaction? "He put her up the … What?"

Yeah, Right !

Kodak will soon offer CDs and DvDs that will last up to three centuries. Their 'Preservation' disks feature a 24-karat gold reflective layer. Kodak says they will be especially useful in the archival market, such as storing business, military, government and financial data (secrets), and medical and dental x-rays (records that must be deleted so-many years after subject's death).

Yeah, right!

Australian Federal ministers have been pushing plans for a $1 billion medical and social services smart card timed for 2008. Human Services Minister **Joe Hockey** has offered reassurances like, "This is a consumer card. A supermarket or a doctor or a pharmacist will only be able to read the information that the consumer wants them to read".

Yeah, right!

Chinese government initiative with the nifty nom de guerre "Let the Winds of a Civilized Internet Blow" makes online content conform to government expectations, the New York Times reported in May.

Students are key to the effort. At the Shanghai Normal University, for instance, 500 students serve as Internet monitors, steering blogs and on-line conversations away from objectionable topics like freedom of speech and Tiananmen Square. They report unhealthy content to campus officials who delete it. A monitor told the NYT: "Our job consists of guidance, not control."

Yeah, right!

Talking listserves, did anyone else see that cri de cœur from a 'Business Operations' officer of a public library services department who'd seen a posting about IQ's '90 Questions you should be asking EDMS Vendors' (February 2006). The librarian wailed, publicly and apparently unashamedly: "Does anyone know where I could get a copy of this article? Can't find the magazine!"

Yeah, right!

Attorney for the US Electronic Frontier Foundation, **Fred von Lohmann**, complained to on-line news C-Net is April about movie and recording network demands for action by 40 Stateside universities against students who trade copyright films and music across local area networks.

Said Fred: "The entertainment industry should make licensing arrangements with colleges and universities and let the students do what they're going to do anyway."

Yeah, right!

Got a snippet for the Informer? Send it to editor.iq@rmaa.com.au. PS: The Editor of *IQ* is not the Informer – he just passes on goss to your unnamed correspondent via a series of secret drops in brown paper bags.

AS IF RUNNING ON AIR: THE JOURNALS OF AN ATHLETE

By David Colquhoun

From the depths of a New Zealand archive comes the story of a remarkable series of journals and diaries kept by New Zealand runner and Olympic gold medallist Jack Lovelock (1910-1949).

Some biographical introduction may be necessary, especially for *IQ*'s Australian readers. Lovelock is best known for his victory at the Berlin 'Nazi' Olympics of 1936, where he won the gold medal and broke the world record for the 1500 metres. It was the first Olympic Athletics Gold medal win, and one of the greatest sporting victories ever, by a New Zealander.

It is a very well known sporting moment in New Zealand, enhanced by two classic clips of sound and film. The

Jack Lovelock the medical student, 1936

first is a crackly BBC radio race commentary by Harold Abrahams.

As the race developed Abrahams gradually lost his upper class English poise and, when Lovelock burst into the lead at the 300 metre mark, became gloriously incoherent:

"Lovelock leads Lovelock! Lovelock! ....A hundred yards to go! Come on, Jack! My God, he's done it. Jack, come on! ...Lovelock wins. Five yards. Six yards. He wins. He's won. Hooray!!"

The second piece is a clip from Olympia, Leni Reifenstahl's famous film of the 1936 Games. The 1500 metres is at its heart and Reifenstahl shows the race in full. It is a dramatic four minutes as the runners surge and test each other before the little figure in black makes his break.

New Zealand television has superimposed Abraham's radio commentary onto the Olympia film clip - a somewhat non-archival moment of sports history, shown repeatedly in the lead-up to Olympic and Commonwealth Games, and always bringing a smile to New

On the following page:

1. Jack Lovelock, running for Oxford University, receives the baton for the last leg of the 1932 Oxford vs Cambridge mile relay.
2. 'He smiles at miles.' 1933 American cartoon after Lovelock took the world mile record.
3. He did not always win. Lovelock comes third in the Southern England Championships in 1934.
4. Preparing for a training session in 1934.
5. A page from Lovelock's 1933 diary; describing the race in which he broke the world mile record.
6. The 1934 London Empire Games mile race. Lovelock easily won the gold medal.
7. Lovelock surrounded by spectators after his victory over Glen Cunningham in America in 1935.
8. A 1934 photograph from an Oxford University magazine showing Lovelock and his girlfriend of the time during a social game of lacrosse.
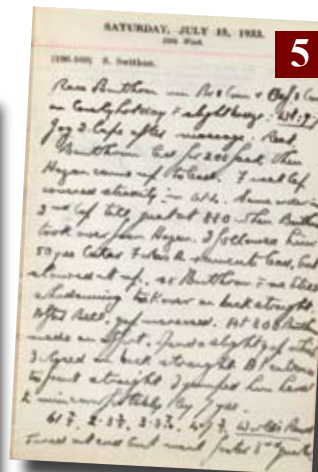9. A caricature of Lovelock by a Budapest cartoonist, when Lovelock raced there in 1935.

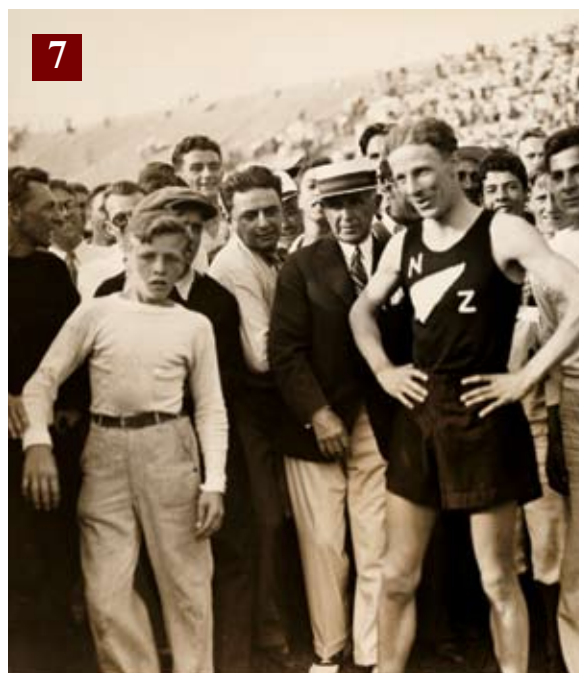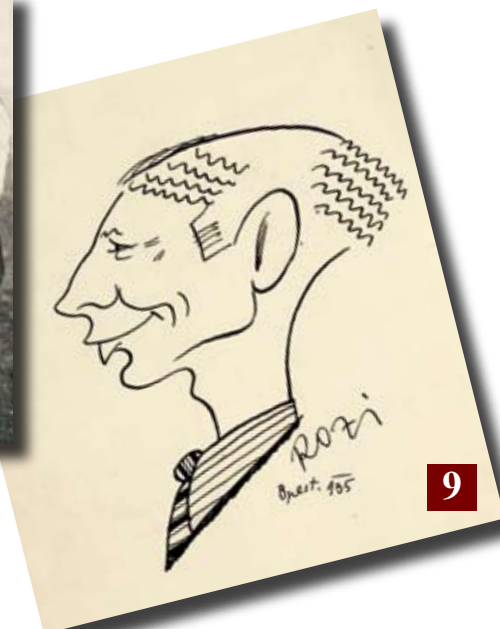Zealand sports fans.

Lovelock had become one of the world's leading middle distance runners well before his Olympic victory. In 1931, after showing some talent as a runner in New Zealand, he won a Rhodes scholarship to Oxford to study medicine.

Oxford and Cambridge Universities dominated British running in the pre-war years, and Lovelock thrived. In 1932 he broke the British mile record and was seen as a favourite by some for the 1932 Olympics.

He ran a disappointing race there but the following year he broke the world record for the mile, in America. From then on he was an international sports star, running many much-publicised races in Britain, Europe and America against equally well-known rivals.

This sporting life is well documented in Lovelock's own papers, now held at the Alexander Turnbull Library in Wellington. These consist of four small training diaries and a series of twenty-four journals and scrapbooks, also mainly about his running career.

It is very likely that no other sports star from this era, or later, has left such detailed, carefully compiled, and revealing papers.

The four little training diaries cover the years from 1933 up to Lovelock's retirement from running soon after his 1936 triumph. Training diaries are common among today's athletes, but were more unusual in Lovelock's time, when the amateur ethos of Oxford and Cambridge dictated that you were not to be seen to be training too hard or taking sport too seriously.

Lovelock was different. He tried to be scientific about his training, was determined to succeed, and recorded everything that might possibly affect or improve his performance.

His diary entries include details of the training he did each day (a much lighter programme than modern runners), his weight, his injuries and his treatment of them, as well as details about other physical activities, such as swimming, tennis, riding and his other main competitive sport, boxing.

Hints of a full social life are given in many brief entries recording dancing and parties. Several brief entries mentioning cricket are harder, at first, to understand, as their time and place meant they could not refer to the game itself. In fact they are almost certainly Lovelock's code

for various sexual relationships. For those who might be interested, he noted "my first boundary" in January 1933.

He also wrote up short accounts of every race. He ran over thirty a year from 1932-1934 and only a few less in the last two years of his career. Most were minor events that he ran as part of his training, using them to help peak for the big championship and international events.

The diary entries were quickly written, often note-like, but very readable. Lovelock was a good writer, able to capture the essence of a race, the tactics used and his thoughts about it within a small notebook page. At more leisure he then compiled his journals and scrapbooks.

Lovelock, like many sports stars, carefully kept photographs and newspaper cuttings about his sport, dating from his school days. Around the same time that he began his training diaries he decided to paste this material into larger exercise books, no doubt because by then his burgeoning career meant he was accumulating a lot of such material, and because he was a methodical person. Some examples of the photographs and cuttings accompany this article.

What is particularly different about these volumes, however, are the long, reflective, accounts he wrote about each race, which elaborate on the briefer entries in the training diaries. These are best described as journal entries in contrast to the shorter, diary, entries.

Not only were these journals done as part of his continuing analysis of his training and tactics but also because he simply enjoyed exploring his talent for writing. Together with the photographs and clippings they provide a remarkable record of his career, and of international athletics in the 1930s.

Lovelock stopped the longer journal entries at the end of the 1935 season, because he was by then very busy as an athletics sports writer, which meant his literary inclinations were deflected elsewhere.

He continued to collect photographs, cuttings and ephemera, however, and to carefully compile them into what were now just scrapbooks. This means that for 1936, the year of his Olympic triumph, we only have the briefer entries in the last training diary as a record of his personal thoughts about his running.

Jack Lovelock beating American **Bill Bonthron** in London in 1934. Lovelock was embarrassed by his smile of victory and wrote in his journal that once he realised he had won "I started to smile to myself - and it is this smile of self satisfaction that the photographers unfortunately caught. Though it may look to be one of mockery and derision, it is certainly not that."

There is no space here to do justice to Lovelock's journal and diary writing. They comprise over 40,000 words. But some brief passages will give an impression. His account of the breakthrough 1932 race in which he broke the British mile record, for example, begins with how it…

'…was a very enjoyable and pleasant race under good conditions….It was my first run since I had been beaten five days before – five days in which I had not turned out on the track at all, but had watched eights and been on river parties. The complete rest had done my training the world of good and throughout the race I was feeling absolutely on top form as if running on air.'

His enjoyment of running always comes out. During the mid 1930s, for example, he captained the English Universities team that competed in, and won, the unique 'Across Paris Relay', comprising teams of 50 running along the Seine.

His journal for the 1934 relay records it as 'one of the brighter and more amusing spots in my athletic career. None but a continental mind could have conceived such a race'.

He ran the first leg, and then 'ran out, still in my spikes and leaped into the car of the Juge Arbiter in which I was privileged to follow the rest of the race. It was one of the most exciting things I have ever followed, the lead changing continually. I yelled and shrieked myself hoarse'.

He became very nervous, however, before the big international races. After his 1933 mile world record race in America, in which he beat the new American star Bill Bonthron, he wrote that:

'Though I did not feel tired at the end of the race later on in the evening and all that night I felt very weary, aching in all my joints from the jarring of the hard track, and mentally decomposed after the fortnight of tension I had been through. I should say that it takes anything from a week to a fortnight to recover from such an effort, mentally and

Top: **Jack Lovelock** wins the gold medal at Berlin, with **Glen Cunningham** of the USA in second place. Bottom: The 1500 metres medal winners at the Berlin Olympics. **Lovelock** wears gold, **Cunningham**, silver. Third place-getter, Italian **Luigi Beccali**, gives the fascist salute

physically.'

It was, he wrote, 'he sort of race that one really enjoys – to feel at one's peak on the day when it is necessary, and to be able to produce the pace at the very finish. but it is the sort of race that one wants only about once a season.'

He felt even more pressure when he returned to America in 1935 to run a much-hyped 'mile of the century' against Bonthron and the tough American runner Glen Cunningham. Cunningham now held the world mile record, and was seen by Lovelock as his main international rival.

The tension is evident in his journal account of the race. It is the longest of any of his race entries, an intense and involving seventeen pages describing his training and preparations, his discussions about tactics with his trainer, his theories about the possibility of a four minute mile, and much more; as well, of course, as his lively description of the race itself.

In the end he won the race easily, by shadowing his rivals and unleashing his usual devastating finish down the home straight.

Then, he wrote, 'Down came the seething crowd from the stands, right into the centre of the ground. I was mobbed by "kind" but thoughtless enthusiasts, hundreds of whom appeared to want to clap me, none too gently, on any portion of my anatomy they could lay a finger on....

'Such terrific enthusiasm seemed a little misplaced, but totally in keeping with the false sense of values of the great American Public.'

After retiring from competitive running, Lovelock completed his medical qualifications in London. In 1940 he suffered a bad fall when foxhunting on horseback, which left him with ongoing eyesight problems and occasional dizziness.

During the war he served as a medical officer responsible for the rehabilitation of wounded soldiers, and afterwards he married and shifted with his

American wife to a new job in New York. In 1949 he was killed when he fell in front of a subway train.

Lovelock's life has intrigued New Zealand writers, who have made up for the relative lack of records from his later life with some imagination. A recent coffee-table book, New Zealand's Top 100 History Makers, concludes a Lovelock essay asking if his death was 'accident or suicide? It was the final mystery of enigmatic personality's life'

The most widely read book about him has been a 'faction' novel, Lovelock, by James McNeish. In this account Lovelock is depicted as a fragile personality, who is particularly upset by an encounter in a gay nightclub after his Olympic victory, and whose later life is a troubled one.

The reality, however, is less dramatic. Lovelock seems instead to have been rather normal. The occasional anxiety revealed in his diaries and journals is that same as that felt by many elite sportspeople competing in individual sports. There was certainly no traumatic nightclub episode in Berlin.

His diaries show he was back in training the day after his victory, preparing for some final races before he retired from the sport. His life after competitive running, although initially set back by the serious foxhunting accident, was successful professionally, and happy domestically.

His tragic death is most easily explained by his ongoing eyesight and balance problems, exacerbated by medication for influenza. He most likely lost his balance as he returned home after feeling ill at work.

But it is his running career, and his recording of it, that concern this article. There seems no better way to finish

A man of many talents. **Jack Lovelock's** other sporting interest was boxing. Here he is shown on his way to winning an amateur tournament in early 1936

than to quote from Lovelock's diary entry for his Olympic victory. It is a longer entry than most, spreading to two pages.

It begins with 'Lovely, mild still aft. v. fit but v. keyed up'. At the start he 'moved out fast but kept pretty well out down the long back straight'. As his main rival Cunningham moved up, Lovelock shadowed him. At the bell Cunningham took the lead but, 'Just before entering the back straight I felt the tension of the field relax and realised, subconsciously perhaps, that everyone was taking a breather – ready for a hard last 200. So at the 300m mark I struck home, passed Cunningham and gained a five yard break before he awoke… It was as usual a case of getting first break on the field, catching them napping, and for all practical & tactical purposes the race was over 300m from home. '

He concludes, 'It was undoubtedly the most beautifully executed race of my career, a true climax to eight years of steady work, an artistic creation.' iQ

The Author

David Colquhoun is Curator of Manuscripts and Archives at the Alexander Turnbull Library in Wellington, New Zealand, and a keen runner. He is currently editing the Lovelock journals for publication.

All images in this article are from the John Edward (Jack) Lovelock papers, Alexander Turnbull Library, and are published in *IQ* with permission.

Coming Up

In The November 2006 issue of *IQ*…

- RIM in Asia
- Healthy Records
- Storage & Data Management
- What Happened When Records Met the Rainforest & the Reef?

The Copy Deadline for the **November 2006 issue is October 1.**

Submissions on any subject are welcome, to: editor.iq@rmaa.com.au

iQ The ONLY industry magazine that reaches EVERY RMAA member in Australia, New Zealand and the Asia/Pacific

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To contact officers in RMAA branches, create addresses from branch initials as below, for example, nsw@rmaa.com.au or qld@rmaa.com.au

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