



Vol 26 / Issue 3 / August 2010 / issn 0816-200x
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RMAA Chief Executive Officer



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The 'Heiner Affair': A matter of professional concern

The Australian Society of Archivists Inc (ASA) and the Records Management Association of Australasia (RMAA) have joined with academics, legal practitioners and former judges in signing a statement. The statement expresses our concern over the unresolved Heiner Affair, and questions the legality of past decisions by the Queensland Government not to investigate the affair any further.

Submitted to the Hon Anna Bligh MLA, Queensland Premier and Minister for the Arts, and to the Leader of the Queensland Opposition, Mr John-Paul Langbroek, the Statement urges the Queensland Government to reconsider an earlier request for an independent inquiry on the destruction of the Heiner Inquiry records in 1990. The ASA and RMAA seek from this inquiry the establishment of an independent State Archivist, reporting directly to Parliament on matters relating to the creation and disposal of public records.

BACKGROUND

Following the disbandment of an inquiry into allegations of abuse at the John Oxley Youth Centre in Brisbane, the Queensland Cabinet requested the State Archivist's approval of the destruction of records generated by the inquiry. The records identified for destruction included those documenting allegations of abuse at the Youth Centre during the 1980's. The destruction of these records was authorised by the State Archivist in accordance with Part V of the *Libraries and Archives Act 1988*.

Poor recordkeeping controls during the inquiry, and the application of hasty ad hoc disposal practices exposed the malleability of the role of State Archivist where that position is not independent of political or bureaucratic influence and control. The affair also confirmed to practitioners and observers alike that the integrity of public records depends on transparent, accountable professional recordkeeping.

Despite the significant and ongoing public and professional scrutiny of the complex events that

became known as the 'Heiner Affair', there has never been a formal and thorough investigation into the matter. The joint statement seeks the government's support in establishing such an investigation as a key step in resolving the many issues arising from the Heiner Affair.

IMPORTANCE TO RECORDKEEPERS

At the time of the destruction of the Heiner Inquiry records, the destruction of public records could only be carried out with the approval of the State Archivist (s.55 of the *Libraries and Archives Act 1988*). However, the authority of the State Archivist was subject to directions from the Minister, the Library Board and the Director and the State Librarian (s.51(2)(b) of the *Libraries and Archives Act 1988*).

For recordkeeping professionals, the Heiner Affair cast a serious shadow over the capacity of a government archivist to effectively act as an agent of accountability where professional decisions may conflict with their obligations as employees and be overturned at the discretion of the archivist's superiors.

Additionally, the scope of appraisal decisions was challenged by some officials within Queensland as being limited only to determining the historical value of records. This view disregarded the established practice within Queensland State Archives, and more broadly across the archival profession, of applying multifaceted appraisal criteria covering the legal, administrative, historical and accountability values of records.

These criteria were outlined in the first edition of *Keeping Archives*. This book was published three years before the shredding of the Heiner Inquiry records, and confirmed that established archival appraisal practice was broader than just consideration of the historical values of records to support research interest in records.

Since the Heiner Affair, there has been much debate over professional principles, practices and, to a lesser extent, ethics in records appraisal and disposal. The engagement of the archival and records management profession in the core issues,

responsiveness to those issues, and integrity of the professional response was also extensively questioned, debated and criticised.

The Heiner Affair provided the catalyst for a raft of legislative and regulatory changes and the codification of records management principles and practices to provide the authority and professional benchmarks that were largely absent in 1990. Without a doubt, the Heiner Affair changed the profession.

KEY ISSUES

As representatives of archival and recordkeeping professionals in Australia, the ASA and RMAA condemn any actions (or inactions) that adversely impact on the integrity, transparency, accountability and trust in our profession and our practices.

The post-Heiner changes in legislative and administrative accountability frameworks for records and information were made on the premise of improving transparency and minimising the opportunities for corruption and misconduct. Recent reforms in recordkeeping, freedom of information and privacy laws highlight that recordkeeping is a matter of community interest within a broader push for more open and accountable government.

All of these changes have occurred in Queensland since 2002. While the role of the State Archivist is strengthened under the *Public Records Act 2002*, and includes independence in relation to disposal, in practice the role of State Archivist remains that of an employee of a department, and vulnerable to the budgetary control, direction and pressure of senior bureaucrats and ministers.

To act independently as an agent of accountability, the role of State Archivist must be fully independent and reporting to parliament in the same way as other

accountability officials – such as the Auditor-General. Recordkeeping is a critical and necessary mechanism within the accountability chain.

Lack of independence and authority is an issue that extends beyond Queensland. In the midst of rolling legislative reform in most jurisdictions of Australia, various administrative, cost-driven reforms serve to further undermine the authority and integrity of government archivists in this country. These changes occurring in one jurisdiction become dangerous precedents for others to follow.

Administrative reforms include: the merger in Tasmania and the Northern Territory of archival authorities with libraries (which are designed for purposes other than being agents of accountability); the reduction of the role of State or Territory Archivist to that of part time middle level public servant in Tasmania and the Northern Territory; the reduction of the nation-wide physical delivery of the National Archives in Australia's (NAA) access services in at least three states and territories over the next few years; and the centralisation of NAA's current recordkeeping services and regulation over the previous decade.

Each of these actions weakens government transparency and accountability and the impact of archives and records authorities.

CALL TO ACTION

As a first step in providing a full and independent inquiry into the Heiner Affair, and examination of the purpose, role and authority of the State Archivist and the centrality of proper public recordkeeping, the ASA and RMAA urge the Queensland Government to adopt the recommendations in the statement.

Kate



» “... SINCE THE HEINER AFFAIR, THERE HAS BEEN MUCH DEBATE OVER PROFESSIONAL PRINCIPLES, PRACTICES AND, TO A LESSER EXTENT, ETHICS IN RECORDS APPRAISAL AND DISPOSAL.” «

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COVER STORY: How digital document management streamlines business continuity planning.



iQ / THE RMAA QUARTERLY

VOL 26 / ISSUE 3 / AUGUST 2010

**OFFICIAL JOURNAL OF
THE RECORDS MANAGEMENT
ASSOCIATION OF AUSTRALASIA**

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iQ ONLINE ARCHIVE
Copies of articles published in iQ since 1984
are available at the Members Only section
of the RMAA website, in the iQ Article Archive.
Complete back issues from February 2005 are
available electronically at the Members Only
section of the RMAA website.

The Members Only section of the website
can be accessed with RMAA membership,
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with the purchase of an iQ annual subscription.

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

iQ Magazine is produced for the RMAA by
Strategic Path Publishing, 91-95 Liverpool St,
Sydney, NSW, 2000. Editorial management
by Fame & Fortune Pty Limited.

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FROM THE EDITOR'S DESK

Goodbye, and Thank You

After nigh on 7 years, I am handing over to a new Editor of *iQ*, and moving on.



Stephen Dando-Collins

With two new books on Roman history being published in the US and UK in September and October about the Great Fire of Rome and the legions of Rome, and my next book on Australian

history due out next April – *Crack Hardy: From Gallipoli to Flanders to the Somme, the true story of three Australian brothers at war* – I will shortly set off with my wife Louise to research my next books on Roman and American history in far-flung parts.

Back in late 2003, when I became *iQ*'s first paid editor, I had an open brief from the RMAA to make the association's journal a thoroughly professional publication, reflective of a thoroughly professional association.

I'm proud of what has been achieved. To remind you of how *iQ* has evolved, here are some of the innovations over the past 7 years.

In my first issue, I introduced the *iQ* interview, and we've had one interview, and sometimes two, in every issue since. The very first was with the head of electronic publishing's peak body in the US. Since then we've interviewed the chief government archivists in Australia, New Zealand and the UK, the President of the Australian Law Reform Commission, several university professors, the heads of industry associations in five countries, a raft of senior industry figures, and, in this very issue, with Australia's Information Commissioner.

The most memorable interview, for me, was with Alison and Robert Simko, the New York City newspaper publishers who told us such a chilling personal 9/11 story. The Simkos have since become personal friends of mine.

I've had a hand in numerous other innovations in *iQ*, including the Objective RMAA Article of the Year Award, which has been generously sponsored by Objective since the award's inception 5 years ago. I also recommended, and nursed into being, *iRMA*, the RMAA's online annual.

I was able to establish a close working relationship with journals of the Records Management Society of Great Britain and of ARMA International in the US, and we've been swapping material and ideas for several years now, which has been reflected in the increasingly international content of *iQ*. During my time, too, *iQ* has been officially recognised a peer-reviewed journal.

But enough about me. Time to thank a few people. Firstly, three presidents/chairs have headed the RMAA during my tenure, Chris Fripp, Kemal Hasandedic, and David Pryde, and I thank them for their assistance.

The RMAA's CEO Kate Walker and I have had an excellent working relationship, and I thank her for that. And to my 'boss,' Kristen Keley, sincere thanks; we have made quite a formidable team, I think.

Mike Steemson has been my secret weapon. Apart from developing a firm friendship with *iQ*'s Wellington-based editorial board member, I have benefited from Mike's vast industry knowledge, contacts and informed critiques. Many news stories and

feature articles have been generated via Mike's often unheralded work behind the scenes.

Thank you to the many regular contributors to *iQ*, and to the journal's current art director, Kerrie King, a class act.

YOUR NEW EDITOR

By the time you read this, *iQ*'s new Editor, Heather Millar, will have already commenced putting together November's issue.

Heather has a strong background as a journalist and editor with major newspaper and magazine publishers; those skills are vital in this job. Heather is learning more about RIM with each passing day, as I did when I started as *iQ*'s Editor.

Attendees at September's inForum convention will see Heather, who will be there in her dual role as inForum reporter. Please say hello, and make her welcome to the RMAA family.

iQ has become one of the most respected records and information management journals in the world. I've enjoyed (almost) every minute of my seven years working on it. And I know that it will continue to go from strength to strength. Good luck to it, and to you.



Heather Millar

Stephen Dando-Collins
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Coming up in the November 2010 issue of *iQ*:

EDUCATION & CAREERS

Professional development for the records & information industry

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To editor.iq@rmaa.com.au.**



Letter from London

Special
Report

By **MICHAEL STEEMSON**, *iQ* Contributing Editor



Beneath the surface of sweltering mid-summer London and its theatrical, regal, and sporting distractions, records and archives management have been hot and bothered, too; new standards, a new society, new keeper, new views and worries about old, old problems. Unsurprisingly, considering its global standing in the disciplines, Australasia has popped up in quite a bit of the activity.

The UK's National Archives was plunged into the heart of the political arena earlier in the year after the British elected a hung parliament for the first time in living memory. Government managers ferreted among old records at the archives to learn how to handle the constitutional crisis.

At a London conference on the history of archives and records, I-Chora 5, the UK National Archives Acting Chief Executive Oliver Morley spoke of the "fascinating time, politically, when public records came to the fore". He told the conference of the "long, long list of records and an outstanding amount of consultation based on these records".

Mr Morley later told me that a senior British bureaucrat flew to Wellington to study New Zealand's coalition government management, a regular requirement in Kiwi politics, searching the NZ Cabinet Manual, the big book of government process, for "how-to" tips.

Mr Morley has held the acting CEO post at the National Archives since his predecessor, Natalie Ceeney, was appointed Chief Executive and Chief Ombudsman at the UK Government's Financial Ombudsman Service in March. A permanent appointment is not expected until late 2010.



Keeper of Public Records and Acting Chief Executive of The National Archives in London, Oliver Morley.

SONS OF ISO15489

Revision of the International Standards Organisation's nine-year-old Records Management Standard, ISO15489, has been delayed for at least another five years. The recent meeting of the standard's authoring committee, TC46/SC11, in South Korea, re-confirmed ISO15489 without amendment.

Mystifyingly, re-confirmation came despite attempts by SC11's British delegation to at least match 15489's definition of "record" with one just written for the sub-committee's brand new series of RM standards, ISO 30300 Management System for Records.

UK delegation head, Alan Shipman, principal of a London-based RM training consultancy, (*who co-authors an article in this issue of iQ*) told me: "The definition difference is small, just a word here and there. It would have meant a single page addition to 15489. The working group approved the idea, but it wasn't voted on by the sub-committee so it fell by default."

The new Management System for Records standards are planned as a series of five "aimed at company management to bridge gaps between it and records management practitioners", Mr Shipman explained. "Drafts for Public Comment" of the first two, ISO30300 covering "fundamentals and vocabulary", and 30301 describing "requirements" were released by the British Standards Institution in June. See <http://drafts.bsigroup.com/>.

The new standards were developed by SC11 work groups headed by leading Australian RM consultant Judith Ellis and Madrid's Ruesta Carlota Bustelo.

They explained neatly: "We have been working on this project since May 2007. In this time, over 18 participating countries have been involved. The recently released texts are the result of this consultation process." (ISO 30300 series. See <http://isotc.iso.org/livelink/livelink?func=ll&objId=9332972&objAction=browse&viewType=1>)

RECORDS-ARCHIVES MERGER CREATES ARA

Straitened times and pragmatic reality have created a sensible merger of three records and archives professional societies in Britain: the Society of

Archivists, the National Council on Archives (NCA) and the Association of Chief Archivists in Local Government (ACALG). In mid-year, members voted to join forces in a new Archives and Records Association (ARA) for the United Kingdom and the Irish Republic.

The group leaders declared strong belief in the virtues of amalgamation, but couldn't help adding nervous hopes that "ARA will have the strength to meet challenges successfully", that it would work "quickly to establish itself in the minds of parliamentarians, new government ministers and others", and support "a more strategic approach to meeting public and government expectations of the sector".

The new society expects financial backing from The National Archives and the Museums, Libraries and Archives Council, but in view of the British Government's new fiscal pruning, this may prove something of a fond hope.

BUDGET CUTS CLOSE WEBSITES AND THREATEN RM

The UK government's swingeing cuts and whopping tax rises (GST equivalent now stands at 20 per cent) in June's "emergency budget", set alarms ringing across the domestic public sector, with dread warnings of draconian reductions in spending. Threats included hacking away at the £126 million (\$250 million) annual state Web spend by closing three-quarters of the government's 820 websites.

The Chartered Institute of Library and Information Professionals (CILIP) jumped quickly into the foray for funds, proposing that its members compose "compelling one minute messages" for media and government ministers to drive up support.

But the penny took a little longer to fall in other records management initiatives. RMAA's UK counterpart, the Records Management Society

(RMS), was later still plugging two one-day events, Records Management Compliance and Information Security and Data Compromise, offering early-bird registrations for the pair to "SAVE up to £600!"

That's around a whopping \$1,200 in real money. What the full cover price was to listen to recordkeeping case-studies by luminaries from various British banks, including 2009's nationalised Royal Bank of Scotland, and consultancies like "2gther", "Strategies for Change Agents" and "Control Risks", I can hardly imagine. It certainly wasn't obvious from the Web displays.

Another day's seminar entitled *Building Perfect Council Websites*, was offered last month for a more moderate £250 (circa \$500), but in view of the forecast Web clearances, it may have come a bit late.

LIBRARY NEVER CLOSED

The largest independent lending library in the world, the London Library (not to be confused with the British Library), established in the capital's swanky St James's Square 150 years ago, is in the midst of an £20 million (about \$40m) refurbishment and extension project. The job is more than half done in creating a third more book space,

a new art section and improved reading rooms. Rooftop extensions are also planned.

Extraordinarily, throughout the work, the library has remained open and fully-functioning. National Library of New Zealand managers, in charge of the multi-million dollar refurbishment and extension project that has isolated vast holdings from public use, take note. **iq**



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PROFESSIONALS CHALLENGE ARCHIVES NZ-NLNZ 'NO THREAT' MERGER

WELLINGTON: Chief Executives overseeing the sub-merger of Archives New Zealand and the NZ National Library into the Department of Internal Affairs (DIA) believe it poses "no threat" to their statutory roles. In a "Letter to Stakeholders", the CEO's agree: "There is no increased risk of neglect of the needs of Archives New Zealand or the National Library by the integration."

The statement, issued in late May, was signed by New Zealand's Chief Archivist, Greg Goulding, National Librarian Penny Carnaby and Secretary for Internal Affairs Brendan Boyle. They said that statutory roles of the National Librarian or the Chief Archivist would not be changed.

The assurances came after strong opposition to the "subordination" of the to cultural agencies was voiced by professional archives, records and history societies and organisations.

The National Council of the Archives and Records Association of NZ (ARANZ), in its May "position paper" declared: "For (a) small amount of money, the government is prepared to eliminate one of the key planks in our democracy – our ability to keep governments accountable for their actions through the records they create and maintain."

It went on: "ARANZ remains opposed to plans to amalgamate the National Library and Archives NZ into the Department of Internal Affairs."

Accountant and historian, Dr Don Gillling, a founding member of the Archives NZ Action Group in Wellington, wrote that "the proposal is ultimately a cruel combination of ideological policy, and a naïve belief in the wondrous powers of technology," adding, "It is certainly not designed to obtain synergies."

Gilling identified "a number of smoking guns" in the government plan including: evidence that DIA may not be able to cope with the merger; evidence from the UK that similar mergers have

not worked; evidence that the State Services Commission (SSC) is in a rush to complete this exercise, even though it is not a burning issue according to the minister for the SSC. And, evidence that for Archives NZ, at least, it is intended to undercut their independence and remove the statutory safeguards.

The Action Group, comprising archives, genealogy, research and history professionals, called for "the abandonment by government of the current proposal to subsume Archives New Zealand and the National Library into the Department of Internal Affairs".

Lecturer in the Centre for Business Interdisciplinary Studies at the Auckland University of Technology, Dr Julianne Molineaux, in a *Pundit* weblog feature headlined "Neutering an agent of our constitution", wrote: "The fate of Archives New Zealand and the Chief Archivist should not be left to the whim of Internal Affairs." And, she warned: "if we don't get the public sector recordkeeping regime right, there will be nothing for the public to access."

MINISTER WELCOMES PROTECTION FOR ARCHIVES NZ

WELLINGTON: The New Zealand Government's minister responsible for Archives New Zealand, Nathan Guy, has welcomed moves to protect the statutory roles of the Chief Archivist and the National Librarian.

"The State Sector Management Bill will be introduced within the next couple of months, and deals with the integration of Archives New Zealand, the National Library and the Department of Internal Affairs," said Mr Guy.

"Importantly, the independence and integrity of the Chief Archivist will be preserved. This position will be responsible to the chief executive of the new department and will be protected from any improper influence in performing his or her duties. This is important to maintain the principle of an independent check on government recordkeeping.

"The status and statutory role of the National Librarian will also be preserved. The Chief Librarian of the Alexander Turnbull Library will in future be appointed by the chief executive of the new

department, on the recommendation of the National Librarian. The status of the Alexander Turnbull Library will be unchanged.

"Overall the legislative changes are largely technical and minimal. Separate budget votes and ministerial roles will continue, and the public will be able to have their voices heard through the select committee process.

"I believe these provisions will satisfy most of the issues raised by stakeholders over the last few months. The integration will combine expertise and resources while sharing back office costs and functions. All savings generated by this project will be redirected into frontline services for the public.

"Archives New Zealand and the National Library are important cultural institutions that will continue to be trusted and preserved for future generations."

- For more information, go to <http://www.nznewsuk.co.uk/news/?ID=8884&StartRow=1>

HAITI'S DECLARATION OF INDEPENDENCE DISCOVERED IN UK ARCHIVES

LONDON: The only known printed copy of the Republic of Haiti's Declaration of Independence has been discovered at The National Archives in the UK.

As reported in the last issue of *iQ*, (May, 2010), the official archives in Port-au-Prince, capital of Haiti, were devastated in January's massive earthquake. The discovery of this vital document outside the country is a small but meaningful reason for the Haitian archives community to cheer.

Julia Garfield, from Duke University in the US, discovered the document at TNA's Kew HQ. The document, and the declaration, stemmed from an 1804 slave rebellion in Haiti, and is only the second such declaration of independence – the first being the USA's July 4, 1776 declaration.

Reprints of the Haitian declaration exist, but this is the only known original copy, which was sent to the British Government by the British lieutenant-governor in Jamaica.

A copy of the document can be downloaded, free, from DocumentsOnline.



Don Gillling

COMPUTERWORLD HONOUR FOR INFORUM SPEAKER

SYDNEY: inForum 2010 guest speaker, Linda Shave, Information, Integration and Compliance Manager for the City of Ryde Council, NSW, has been named a ComputerWorld Honours Laureate for her work establishing the eTRIM program at the council.

Her case-study inForum paper on the project, *Going for the Holy Grail of Information Management*, in conjunction with City of Ryde colleague Greg Navin, will be presented at the RMAA's international gathering in the Gold Coast's Convention Centre, Queensland, on September 8.

Linda is a former President of the Institute of Information Management. She has chaired and contributed to a number of conferences on a wide range of information and knowledge management topics after 30 years work on business solutions to public and private sectors in Australia and overseas.

The Honours Laureate awards ceremony was held at the historic Andrew W Mellon Auditorium in Washington, DC in June.

OPEN TEXT EXPANDS SOCIAL MEDIA OFFERINGS FOR BUSINESS

SYDNEY: Open Text, provider of enterprise content management (ECM) software, has expanded its family of social media offerings as part of the Open Text ECM Suite.

Open Text Social Communities allows organisations to engage with their customers, employees and partners. New enhancements support the creation of socially enabled websites along with social microsites that combine Web 2.0 functionality, with in-depth analytics and advanced social search.

It consolidates social applications, such as video galleries, photo galleries, slideshows, comments, ratings, forums, blogs, wikis, microblogging, social bookmarking, and group and moderation support.

The new release of Open Text Social

Workplace allows employees to network and interact with each other. The new release offers deeper integration with the Open Text ECM Suite and Open Text eDOCs, as well as new microblogging and instant messaging features.

Open Text Content Server Pulse, an enhancement to Open Text Content Server, allows users to collaborate on new content and share status updates, while continuing to use access controls, auditing, and other capabilities in their document management and compliance solutions.

AGENCIES RECEIVE FUNDING TO DRIVE ICT EFFICIENCY

CANBERRA: Twenty agencies have received approval to use nearly half of the federal government's ICT business-as-usual Reinvestment Fund, which has a \$502.4 million war chest.

Finance Minister Lindsay Tanner said more than \$230m was allocated until June 30, 2011 to power 44 new technology projects.

Finance figures show that \$54.6m from the fund was spent on 12 projects in 2009-10 that benefited nine portfolios. They include an email archival project and unified communications replacement at Customs, and application and database consolidation at Finance.

The fund will allow the National Native Title Tribunal to migrate to Voice over IP as its main telephony platform, and integrate an electronic document and records management system into its standard operating environment.

The Australian Human Rights Commission was given the green light to replace its complaints database application, and Austrade will use the funds to deliver lower international fixed and mobile phone costs.

The Commonwealth Ombudsman's office will have new "voice networking" systems for complainants, while Geoscience Australia will refurbish its storage facilities.

Foreign Affairs and Trade will remove legacy Lotus Notes applications and services, and the Migration and Refugee Review Tribunals can look forward to new archiving and tiered storage.

In 2010-11, 32 projects across various agencies will tap into \$175.4m from

the reinvestment purse. This includes Customs' data warehouse consolidation, cargo and passenger reporting legacy systems replacement, upgrade from Windows NT 4 to Windows 2003, mainframe optimisation to swiftly detect illegal consignments, and a perpetual software licence procurement programme.

A new enterprise reporting solution will be implemented at the Electoral Commission, while the Australian Securities and Investments Commission will be busy with a data centre refresh.

The Bureau of Meteorology will implement three projects to improve records management of weather and climate information, virtualise regional infrastructure, and application consolidation.



- For more information, go to <http://www.theaustralian.com.au/australian-it/lindsay-tanner-reveals-reinvestment-fund-winners/story-e6frgkx-1225868423047>

DDLs TO DELIVER TRAINING FOR SNIA

SYDNEY: The Storage Networking Industry Association for Australia and New Zealand (SNIA) has entered into a non-exclusive agreement with Dimension Data Learning Solutions (DDLs) to expand the availability of courses for the SNIA Storage Networking Certification Programme (SNCP).

DDLs will deliver SNIA courses at its facilities across Australia. This arrangement replaces the course programme previously managed by the SNIA ANZ management agency Eviso.

Evito will continue to monitor trainer accreditation and quality standards and will provide support to DDLS in the form of course content updates, marketing, and links into the certification exam refresh process.

DDLS will use its own qualified trainers to deliver the classroom based courses for all three certification levels: Storage Foundations, Management & Administration, and Assessment Planning and Design.

Chairman of SNIA ANZ, Craig Scroggie stated: "The increasing reliance on availability and security of information means that more IT professionals are realising that storage management needs to be a fundamental part of their credentials."

MID-MARKET WEB CONTENT MANAGEMENT VENDORS THRIVING IN 2010

BOSTON: The ranks of viable, mid-market Web content management solution (CMS) vendors continue to grow as more vendors exploit the relatively slow uptake of SharePoint as a Web publishing platform, according to new research by independent analyst firm Real Story Group (formerly CMS Watch).

Real Story's research evaluated 45 major vendors around the world, including expanded coverage of mid-market vendors who employ Microsoft's .NET platform, such as DotNetNuke, Ektron, EPiServer, GOSS, Kentico, Sitecore, Telerik, and Umbraco.

"Savvier customers remain wary of SharePoint's Web CMS capabilities, even in the platform's 2010 edition," said Real Story Group Analyst Apoorv Durga. "Many other vendors are filling the vacuum."

Several vendors, such as Ektron and Sitecore, have developed packaged intranet solutions promoted as less developer oriented than SharePoint.

"A year ago, we saw most of the mid-market Web CMS vendors working to integrate with SharePoint," notes Real Story Group Analyst Adriaan Bloem.

"Now increasingly, they're looking to challenge SharePoint more aggressively

and, perhaps more importantly, compete intensely with each other."

Microsoft-oriented Web CMS vendors compete with each other on several levels: price; orientation – product vs. platform; adherence to .NET and other Microsoft core technologies; and distribution model – reseller vs. direct.

Meanwhile, the slow decline of former mid-market stalwart RedDot (Open Text Web Solutions) and the impending demise of Immediacy (Alterian CMC) have not dragged down the mid-market as a whole.

"The good news for customers, Microsoft-oriented or not, is that you have lots of plausible choices," concludes Real Story Group President, Tony Byrne.

E-HEALTH RECORDS CLOSER TO REALITY

CANBERRA: Every Australian would be given an individual healthcare identification number should federal parliament pass legislation giving the scheme the green light, paving the way for the government's e-health reform agenda.

The automatically assigned 16-digit identifiers would store a patient's name, address and date of birth only. This will allow the government to introduce electronic health records down the track. Labor has set aside \$467 million in the budget to roll out e-health records from mid-2012.

Patients will be able to choose themselves whether or not to have an e-health record – unlike the identification number. The records could list the medication they're using, along with

previous test results and immunisations.

Health Minister Nicola Roxon has welcomed passage of the identifier legislation: "This is a key building block in the government's ambitious e-health reform agenda – helping to deliver a better, more streamlined health system for Australian families," she said. "Healthcare identifiers will improve the management and communication of health information for healthcare delivery."

The Federal Opposition opposes the e-health records initiative, on cost-cutting grounds.

ELECTRONIC RECORDS MANAGEMENT FALLING SHORT IN US

WASHINGTON DC: Electronic records management is not a high priority within the US federal government despite the fact that it needs improvement, according to the US Government Accountability Office (GAO).

What's more, agencies could be tempting litigation or risk losing important historical information, according to Valerie C Melvin, director of Information Management and Human Capital Issues at GAO, in a report presented at a hearing held by the Committee on Oversight and Government Reform on June 17.

In the report, *Information management: The challenges of managing electronic records*, Melvin quotes a National Archives and Records Administration (NARA) self-assessment survey which found that 80 percent of agencies were "at moderate to high risk of improper disposition of records".

The volume of electronic information is growing, the formats of electronic records are wide-ranging and it is decentralised across individual desktops at numerous agencies.

"Automation will not solve the problem of lack of priority, which is of long standing," said Melvin.

She recommended that NARA strengthen its oversight and guidance on electronic records management. She also recommended senior-level attention to records management at federal agencies.

• For more information, go to: <http://www.gao.gov/new.items/d10838t.pdf> **iq**





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Filling the FOI Gap

With **PROFESSOR JOHN McMILLAN** due to officially take the chair as Australia's first national Information Commissioner on November 1, *iQ* asked him about his new role and how he will approach it.



iQ: Professor, congratulations on your appointment as Australian Information Commissioner. Why is the Australian government setting up an Office of the Australian Information Commissioner?

JM: The Australian Freedom of Information Act (FOI Act) commenced in 1982, and has caused a major and beneficial change in government. It is now much easier for members of the public to gain access to personal and other records, and government agencies release a good deal more policy and operational information.

But the Act could work better. Some agencies are more open and cooperative than others, and members of the public find it expensive and arduous to battle an agency that is resisting disclosure.

The Office of the Australian Information Commissioner fills a major gap in the system. We are to be the champion of open government, to advocate for greater disclosure, keep watch on agency performance, and provide advice and assistance to the public.

iQ: What is your role, and when does the office formally commence its work?

JM: I was appointed Information Commissioner Designate in March 2010. My Office formally opens on 1 November 2010.

We have a comprehensive range of functions – reviewing agency decisions to deny access to documents; investigating complaints from FOI applicants about agency administration; promoting the pro-disclosure objectives of the FOI Act; publishing guidelines on the Act; providing training to agencies; monitoring and reporting on the FOI performance of individual agencies; reviewing the operation of the FOI Act and advising on legislative change; and, more generally, advising government on information policy and practice.

iQ: Where will you be based, and what support staff will you have?

JM: The head office will be based in Canberra. The existing office of the Privacy Commissioner – which is based in Sydney – is to be merged with the Information Commissioner Office from 1 November. There is expected to be about 90 staff, nearly two-thirds of whom work on privacy or data protection.

iQ: Will you be taking any specific lessons from the FOI oversight experiences of other countries?

JM: FOI legislation has been adopted in similar terms in over 80 countries; privacy and data protection legislation exists in

» “THERE IS EXPECTED TO BE ABOUT 90 STAFF, NEARLY TWO-THIRDS OF WHOM WORK ON PRIVACY OR DATA PROTECTION” ‹‹

many more. A few countries – notably Canada and Britain – have followed the same path as Australia in combining all oversight functions in a single independent office that is headed by one or more commissioners. Two Australian States, Queensland and New South Wales, have done the same in the last year.

There is now a strong global movement for government to be more transparent and to use web technology to improve public participation in government policy making and service delivery. This movement will strengthen if countries learn from each other's successes.

iQ: How do you see your new role affecting records management throughout the Australian public service?

JM: FOI works better when information is properly recorded and is easily accessible. My office is not directly responsible for reviewing agency records management, but we will draw attention to any problems we encounter. We will also work closely with the Archives Office, which has taken the lead in promoting better records management.

iQ: The Information Commissioner will be empowered to moderate disputes about access to information and will manage the Privacy and FOI commissioners. How will this work in practice? Will you sit as, in effect, a three-member bench? Or will you be the sole arbiter in disputes?

JM: Each of the Commissioners can review an agency decision to deny access to a document, and can decide that a document is not exempt from disclosure. All decisions will be made individually by a Commissioner – there is no appeal from one Commissioner to another. The FOI Commissioner is likely to do the bulk of the review work. The Commissioners will operate as a team in managing the other functions of the Office.



About the interviewee

PROFESSOR JOHN MCMILLAN, AO had, until recently, been the Commonwealth Ombudsman, a post he held for the past seven years, investigating complaints about misconduct and inefficient practices in the public service. The Australian Government announced as part of its 2007 election policies that it would reform the *Freedom of Information Act 1982* (FOI Act). In March this year, Professor McMillan was appointed as the first Australian Information Commissioner, to oversee this process.

Professor McMillan has been a strong advocate for open government throughout his professional career. He was a founding member in the 1970s of the Freedom of Information Campaign Committee, which led the public campaign for Australian freedom of information laws. He was later a founding member and President

of the Australian Institute of Administrative Law.

As the Alumni Professor of Administrative Law at the Australian National University, he researched and published widely on administrative law and government and is the co-author of a widely used text, *Control of Government Action*.

» “ACCESS DENIALS ARE MORE LIKELY TO BE CHALLENGED BY COMPLAINT OR APPEAL TO THE INFORMATION COMMISSIONER” «

iQ: What are the policy reforms that you will be overseeing in your new role?

JM: The FOI Act has been revised to inject a much stronger pro-disclosure philosophy. One element of the change is a new Information Publication Scheme that requires government agencies to publish far more information. This reflects a broader policy change, from a ‘reactive’ to a ‘proactive’ information disclosure regime. This is captured in a new objects clause in the FOI Act, declaring that ‘information held by the government is to be managed for public purposes, and is a national resource’.

iQ: This reform package is the most significant reform of Australian administrative law in over twenty years, and the Federal Government claims it will transform information management in Australian government. How so?

JM: The combination of FOI and privacy in a single scheme will heighten the responsibility of government agencies to pay close attention to information issues. The government has also insisted that cultural change in agencies is needed – or, as the Special Minister of State Senator Ludwig put it, ‘to switch the mindset in the public service from information control to information sharing’. The newly-established Office of the Information Commissioner can closely monitor whether agencies are achieving that aim.

iQ: The ground rules for information disclosure and publication are being rewritten. How will you develop this new culture of pro-active disclosure of information in the public service?

JM: Many government agencies are already implementing this change before the publication scheme formally commences. My office will provide further stimulus by publishing guidelines later this year. The Act requires me, in the first five years, to review how each of more than 200 government agencies are complying with the publication scheme.

An Information Advisory Council is also being established, with representation from in and outside government, to assist me in providing advice to government on information policy and management.

iQ: What actions should records managers be taking now to ready themselves for the reforms?

JM: FOI requests under the new scheme will start arriving in agencies on 1 November. The FOI request procedures and exemption criteria have been changed. Access denials are more likely to be challenged by complaint or appeal to the Information Commissioner. Agencies will need to act early to prepare for these changes – as many are already doing.

My office will be publishing guidelines and conducting training prior to 1 November. Another change is that the open access period under the Archives Act will be reduced in steps from 30 to 20 years, commencing on 1 January 2011. All these changes rely on effective records management.

iQ: Do you expect to see any challenges to the new laws, such as those in Britain, where attempts were made to have their FOI legislation overturned?

JM: No. Government agencies have worked with FOI laws for nearly 30 years and respect their legal obligation to make documents available to the public upon request. These reforms are also being led by senior ministers who are vocal about the importance of open government.

That said, I do expect there will be robust – but constructive – debate from time to time with agencies and ministers about whether a particular document should be disclosed.

iQ: In Britain, some records managers have been highly critical of what they see as ‘trivial’ and ‘time-wasting’ FOI applications by members of the public who have lodged a mass of requests, and have been particularly critical of what they see as ‘trawling expeditions’ by journalists hoping to stumble on evidence of government waste or ministerial wrongdoings via FOI applications. What is your attitude to, firstly, such complaints, and, secondly, to both practices?

JM: Two basic principles of FOI are that, every member of the public has a right to seek access to government documents, and that a person’s motive or need for a document is irrelevant. Agencies must therefore accept that FOI causes inconvenience and is a resource drain.

However, I do recognise from my time as Commonwealth Ombudsman that some applicants and complainants impose unreasonable demands on agencies. A strategic challenge for my office is to work with agencies and applicants to reach a sensible compromise in difficult cases. Often you can do that by reassuring a person, from your own inspection of an agency’s files, that there are no secrets being hidden from view.

iQ: Are you in favour of imposing limits on the number of FOI applications that any one individual or organisation can lodge in a year?

JM: The only direct option available to me is to declare a person to be a vexatious applicant. This can be done, for example, where a person is abusing the FOI application process or is making a manifestly unreasonable request. This power will be used sparingly, but it is an important tool in the Act.

Less directly, I can also decide in individual cases that it is appropriate for an agency to impose an access charge for the search time in acting on a person’s request.

iQ: Are you in a position to recommend, to the Federal Government, measures they can take to improve resources available to personnel charged with handing FOI requests?

JM: I am required to review the operation of the Act within the first two years of these reforms taking effect. The resource impact of the reforms is likely to be a core issue in that review. Another of my functions is to report to the Minister on any aspect of government policy and practice for information management.

I recognise that FOI laws need appropriate support from government, both in resourcing and in philosophy.

iQ: Will you be regularly surveying the length of time that it takes for FOI applications to be met, and releasing the results to the public?

JM: The annual report on the FOI Act published by the government currently includes a table on that issue, which indicates whether individual agencies are meeting the statutory time limits. I will continue that practice.

Another new function I will have is to grant an agency an extension of time to handle a request. If no extension is granted, an agency cannot impose an access charge. In summary, delay is an important issue, and one I will closely monitor.

iQ: What, in your opinion, does the current government's 'open government' policy mean for the Australasian records management community?

JM: The government's policy draws a clear connection between effective records management, transparent government and sound policy development and service delivery. The records management community has a vital role to play in maintaining those links.

iQ: Thank you, Professor. We wish you every success in the new role. iQ



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Protecting the Metadata in Your Word and PDF Documents

A decade has passed since the issue of metadata surfaced as a security threat to organisations and their clients in legal cases, but examples of metadata ignorance arise with alarming regularity. There are ways to manage your metadata to protect your organisation.

BY JOHN HECKMAN

As any RIM knows, metadata is “data about data.” Narrowly defined, it is data about a document that is inserted into the electronic document – a Word document, for example – without the author’s knowledge or permission, including information concerning the document’s editing history, including authors, revision time, etc, location on a firm’s server, length, and so forth.

A broader definition includes information that users intentionally insert, such as track changes and comments, whether hidden or not.

RISKS AND ETHICS OF METADATA

Many lawyers and even their support staff remain unaware of metadata, until it’s too late and is inadvertently revealed. The obvious risk of metadata is that it discloses unwanted or confidential information. Such revelations can range from embarrassing – as when Homeland Security in the US published a document from which you could identify all the authors and editors – to disastrous.

Courts have increasingly taken note of the impact of Metadata. The Arizona Supreme Court recently ruled that metadata

Story Snapshot

- Metadata, the data within data, can prove a security issue.
- Legally, metadata is discoverable.
- Tools exist that redact sensitive metadata.

attached to a public document is also public: *Lake v. City of Phoenix*, 222 Ariz. 547, 218 P.3d 1004 (2009). As this ruling demonstrates, courts are not likely to be sympathetic to the argument “Yes, the document is discoverable, but the metadata is confidential work product.”

So what qualifies as disastrous? Suppose a lawyer discovers metadata in a document that states, “the client is desperate to settle at almost any cost.” Obviously, such knowledge gives that lawyer a tremendous advantage in the process of negotiations. But is it ethical to use?

Aside from the initial knee-jerk reaction “anybody stupid enough to include that information deserves what they get,” state bars in the US have ruled in varying ways. The American Bar Association Standing Committee on Ethics and Professional Responsibility states that it is permissible for an attorney to look for metadata, but a number of states disagree. The ABA Legal Technology Resource Center lists the various opinions.

MANUALLY REMOVING METADATA DOES NOT PERMANENTLY REMOVE METADATA

Most programs make some metadata visible under File – Properties. You can then delete unwanted information. In Word 2007, click on the Office button, select “Prepare,” and then “Inspect Document” and delete as desired. However, the Properties function may not list all the metadata, and even if you do remove it, it may return as soon as you edit, save or even open the document.

PDF CONVERSION MAY NOT REMOVE ALL METADATA

It is important to distinguish between metadata automatically inserted by Word and over which you have little control, and metadata created by you and your colleagues such as comments or track changes. The difference is critical when you address the issue of how to remove metadata or redact a document.

Also, while most PDF applications do remove the Word file metadata when creating the PDF, it is important to note that some shareware and free PDF applications do not. In these instances, if you upload a PDF to the Web, content metadata – track changes or comments – and file metadata such as date created, author etc, from the original document may become searchable using Google and other search engines.

Many ineffective approaches stem from a belief in the primacy of paper – if you can’t see it when the document prints out, the information does not exist. Hence, techniques such as changing the font to white, using black boxes over the text, or using Acrobat’s annotation tools leave the underlying text intact, making it searchable. These methods provide a false sense of security, as they have no real effect.

HOW TO SAFELY REMOVE METADATA

As the Massachusetts District Court notes, the best way to redact a word processing document is to not include the unwanted text initially. In other words, remove it before creating the PDF version.

However, this is not necessary and it is not always possible. Instead, you will require a PDF application that has a redaction feature that will allow you to redact not matter what the PDF type. For example, you should be able to redact text PDFs, image PDFs and PDFs that have been OCR’ed.

Two approaches exist to cleaning up documents. The first is education. Document creators need training in the proper procedures for removing metadata: accepting all tracked changes, removing all comments, hidden or not, not relying on built-in redaction tools, etc.

» “THE OBVIOUS RISK OF METADATA IS THAT IT DISCLOSES UNWANTED OR CONFIDENTIAL INFORMATION” ‹

However, education is insufficient. Someone will always be in too much of a hurry or too careless to remove metadata thoroughly. And that does not even address the issue of removing metadata the application automatically creates.

The second approach involves technology. Word 2007 and later versions of WordPerfect have built-in metadata removal tools. However, these tools are unfortunately not reliable. Thus, a commercial metadata removal tool is critical. Many metadata removal tools exist, both as standalone applications and built in to other products. Depending on your practice, it is imperative for you to examine them carefully and pick one that suits your needs.

Since most documents today are transmitted via email, you need a tool that will pop up whenever you attach a file to an email message and offer to remove the metadata. This method also requires training, but the technology is easier to learn.

Optimally, such a tool should have a variety of security levels. For example, a lawyer may want to remove a limited amount of metadata if they’re sending the document to co-counsel or a client, and perform a more thorough removal when sending it to opposing counsel.

When the document has been cleansed of metadata, you should be able to convert to PDF directly from your metadata management application so you can send as a secure PDF document or redact sensitive or private information.

CONCLUSION

Metadata issues will remain and in fact increase in scope as more collaboration tools embed comments and other metadata information in documents. Furthermore, courts are increasingly likely to rule that metadata in a discoverable document is equally discoverable.

Thus, the need for tools that remove metadata and that securely redact sensitive information will only increase. **iQ**



About the Author

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This article was sourced for *iQ* by DocsCorp, Australian distributors of the US product Metadata Assistant, the world’s first metadata redaction tool.

How digital document management streamlines business continuity planning

During the 1990s, it was common for organisations to require a three-day window to recover from a disaster and return to normal operations. By 2001, a one-day delay was considered acceptable. But today, recovery time objectives (RTOs) are between zero and four hours. What's changed?

BY CHRIS WACKER

Today, organisations have more than just a server to recover. Now, there are several platforms that must be restored, ranging from mainframes and distributed processors to servers, PCs and telecommunications systems. More complicated data recovery solutions such as data replication, mirroring, clustering and tiered storage are required to help organisations cope with the unexpected, and to rapidly resume operations.

Also, organisations have begun to realise the impact of disaster. In 2004, ESG, a consultancy group focused on storage and information management, found that if applications were up and running, and if critical data were recovered within four hours of outage or system failure, odds were favorable the business impact would be manageable.

For organisations like online merchants or online brokerage firms, this recovery window is even shorter, as the value of data has increased and corporate governance requirements have mounted. Depending on the organisation and industry, the time to get critical applications up and running after an outage has decreased from hours to minutes, or even near zero.

For organisations that rely on their IT systems as a revenue generator, not solely as a recordkeeper, the importance of guaranteeing uptime is crucial. For these IT systems that function as revenue generators, value is attached on a minute-by-minute basis.

While losing organisational information is disastrous, losing transactional information—and its associated revenue—can be catastrophic. With more and more small- and medium-sized businesses relying on transactional data from Web sales, POS systems, email and fax archives and VOIP systems, losing access or connectivity through downtime means an extensive loss of revenue. Protecting your organisation from downtime is crucial to minimising its impact.

BUSINESS CONTINUITY PLANNING IS THE ANSWER

Business continuity planning is the solution to mitigating the impact of a disaster, no matter what its source. Industry estimates indicate that 40% of organisations without business continuity and recovery plans will go out of business within a few years of a major disaster. In fact, the Institute for Business and Home Safety, an insurance industry trade group, estimated that 25% of businesses that close during a disaster will not reopen.

This article discusses how a digital document management solution can help your organisation develop and implement a comprehensive business continuity plan. The key is to learn

Story Snapshot

- Disaster can come in many forms
- Business continuity planning will mitigate the impact of disaster
- Great BCP lessons have been learned from recent disasters

what disasters are, and how disaster recovery and business continuity planning work in tandem to help your organisation react more effectively. And you need to discover strategies for developing a plan of your own.

DEFINING "DISASTER"

Defining what a disaster actually is has become crucial as organisations shift their perception of disaster. When you think of a "disaster," natural disasters like floods, fires or earthquakes immediately spring to mind. But consider the following:

A pandemic. Recent projections show that an avian flu pandemic could potentially infect millions of people over an undefined period of time.

In fact, the USA's Congressional Budget Office estimates that in an avian flu pandemic, 30% of employees would become ill, missing an average of three weeks of work. Of those who become ill, 2.5% will die.

If a large portion of your workforce is incapacitated, do you have contingency plans in place to replace missing employees?

A transportation strike or public transit failure. If there is a disruption to the public transit system, whether by strike, infrastructure failure or natural disaster, it is likely that many of your employees will be physically unable to travel to work.

Do you have plans for virtual offices or offsite accessibility? What about alternative transportation plans for your employees?

A bombing. After the Oklahoma City bombing, 40 square blocks were barricaded off for weeks. Do you have a plan in place in case your office space is destroyed or otherwise uninhabitable?

It isn't just catastrophic disasters that you need to plan for, although they do get the most attention. Even minor incidents like brownouts or freezing rain can cause network outages ranging from minutes to days, and in these cases, rapid recovery is crucial to maintaining productivity and restoring revenue generation.



A reasonable definition of a "disaster," according to *Disaster Recovery Planning: Preparing for the Unthinkable*, is "the unplanned interruption of normal business processes resulting from the interruption of the IT infrastructure components used to support them."¹ This definition includes not only networks, hardware and software, but also data itself.

A 2007 IDG Research study showed that 92% of respondents have encountered at least one disruption to their business systems. While high-profile events like hurricanes, earthquakes and terrorism get attention, they serve as distractions from the real threats: 65% report disruption from power failure, 65% from network outage and 55% from hardware failure.

Focusing on natural disasters and terrorism diverts attention from the realities of today's business environment and the deteriorating state of IT infrastructure.

It is clear that the definition of "disaster" must be expanded beyond just forces of nature to everything that can impact your

organisation's operations, from employee absenteeism caused by an epidemic to corporate theft, vandalism and long-term unavailability of basic services.

With proper planning, your organisation will react with equal agility to something as commonplace as a server crash or something as seemingly unimaginable as asteroid impact.

LESSONS FROM PAST DISASTERS

2005's Hurricane Katrina in the US once again brought home the importance of comprehensive disaster recovery planning. With a cost of over US\$200 billion—with the greatest losses from disruption to businesses faced with damaged facilities, displaced employees and business interruption—Katrina caused organisations to face the question of whether they are truly prepared to recover quickly and continue operating after a disaster.

There was a surge in disaster recovery and preparedness planning after September 11, when organisations were forced



Shift Your Perception—Disasters A to Z

Acts of war, arson, blackouts, blizzards, bomb threats, bribery, bridge collapse, brush fires, chemical accidents, civil disobedience, communications failure, cyber attack, disease, disgruntled employees, earthquakes, embezzlement, explosion, fires, floods, hardware crash, high winds, hostage situations, hurricanes, ice storms, interruption of public infrastructure services, kidnapping, labor disputes, lightning, military operations, mudslides, network failure, plane crashes, railroad accidents, sabotage, SARS, server failure, snow storms, software failure, terrorism, theft of data, thunderstorms, tornados, transportation strike, vandalism, viruses, water damage ...
What else can you think of?





Specific Lessons Learned From Past Disasters

- Consider an off-site real-time mirrored failover location on a separate power grid, so that you can continue operations in the event of a power outage or natural disaster localised to your immediate area.
- Assign back-up roles in case key players are unavailable or missing.
- Plan for all possible communication issues, including use of satellite phones, hotlines and Web alerts.
- Establish accessible spending accounts for employees, make standing lodging arrangements near your recovery site and account for other logistics, like mail delivery and payroll.
- Plan for extended recoveries, in case business is displaced longer than expected.
- Keep your organisation's documentation, scripts and business continuity planning handbook up to date.
- Provide an alternative method of accessing your data and documents.
- Be sure all vendor contracts are complete and up-to-date, including those with providers of media storage, insurance and fuel.
- Plan for business continuity, because no one else will do it for you.

to consider how they would continue operations if their offices were uninhabitable for not just weeks, but months or years. But these plans began to gather dust as executives were lulled into complacency. Months, then years, went by without updating or testing disaster recovery plans.

When the Northeastern Blackout of 2003 hit the US, organisations were left with out-of-date and inadequate recovery plans. This massive power outage occurred throughout parts of the Northeastern and Midwestern United States, and Ontario, Canada on August 14, 2003, affecting approximately one-third of the population of Canada (10 million people in Ontario) and one-seventh the population of the United States (40 million people in eight states). Outage-related financial losses were estimated at \$6 billion.

The Northeastern Blackout was a huge catalyst in the changing perception of what disaster recovery planning actually means. As a result of the September 11 attacks, the US Securities and Exchange Commission (SEC) and other government agencies recommended that all Wall Street firms move their backup facilities from 50 miles outside of New York City to 125 miles, as well as put them on a separate power grid.

The establishment of "Wall Street West" in the Poconos allowed real-time mirroring of IT systems and, during the blackout, enabled financial markets—as well as many businesses—to continue operation by 'failing over' to their mirrored backups. Businesses that hadn't developed comprehensive business continuity plans, however, faced crippled operations and a significant loss of revenue.

The situation hasn't improved since. In a recent study conducted by the Association for Financial Professionals, only 37% of those surveyed feel their organisation could handle a Katrina-like disaster. Most telling, only 24% had tested their business continuity plans as a direct result of the hurricane, and 50% had no plans to do so.

DISASTER RECOVERY AND BUSINESS CONTINUITY PLANNING: MUTUALLY EXCLUSIVE, OR BETTER TOGETHER?

The terms "disaster recovery planning" and "business continuity planning" are often used interchangeably, but they are two different concepts that work together as complementary components of a business's overall recovery and continuity planning.

Disaster recovery planning (DRP) is chiefly concerned with the recovery of systems and infrastructure components. By definition, it is limited in scope to a set of defined IT systems and infrastructure, with the ultimate goal of complete recovery within a defined timeframe and with a minimum of data loss.

Because of the heavy emphasis on IT infrastructure, it may exclude non-IT business units such as accounting, marketing and sales, except in terms of software applications used by these departments.

One issue with disaster recovery planning is that, because of the IT focus, incorrect assumptions may be made, or subtleties or dependencies that are not hardware or application dependent—such as document management, document retention and security—may be missed.

Business continuity planning (BCP) is an attempt to blend the IT emphasis of disaster recovery planning with a larger-scope determination of which business components and functions must be prevented from interruption or, if interrupted, recovered immediately.

It is an iterative process designed to identify these mission-critical functions and enact the policies, processes, plans and procedures that ensure their continuation if an unexpected event were to occur.

The exact functions covered by BCP vary by industry and may include processes that are not necessarily software applications, but also infrastructure (office space), supplies (marketing materials and forms) and human resources.

BCP is also governed by industry-standard regulations, such as (in the US) the Sarbanes-Oxley Act, HIPAA and FDIC/SEC rules and regulations, as well as "quasi-regulations"—industry standards and best practices that should also be followed—such as FEMA 141, which covers disaster recovery planning for business and industry; ISO 15489, which governs records management; and NFPA 232, which concerns the physical protection and storage of documents.

Basically, your organisation can have a working disaster recovery plan without a working business continuity plan, but not vice versa. For organisations that have neither, the best move is to start by designing a plan that is a blend of both. For organisations that have already developed a disaster recovery plan, that knowledge can be leveraged into the creation of a business continuity plan.

The scale, cost and impact of a business continuity plan are enterprise-level and must be managed by a C-level executive. While some companies have begun creating the position of “Chief Recovery Officer,” usually the CEO or CFO manages the plan and assures buy-in from other executive-level staff.

IMPLEMENTING A BUSINESS CONTINUITY PLAN

An effective business continuity plan is more than just the result of effective backups and data replication. An effective plan must not only be based on sound knowledge of your organisation’s culture and structure, but also on well-defined policies and procedures that make the plan a part of your daily operations, rather than something that is referred to only in case of emergency.

Your business continuity plan should include policies regarding:

- **Emergency response procedures**, such as reporting and tracking.
- **An executive communication plan**, with information on communicating with organisational management and other stakeholders, if applicable, as well as what your organisational response will be if key leaders are incapacitated or unavailable.
- **A public relations plan**, determining who will speak with the media.
- **Damage assessment and insurance claims processing information.**
- **An employee communication plan.** How will you communicate with your staff if mobile phone, landline and other communications networks are destroyed? How will you locate employees to share crucial information with them? Also, your organisation should have a plan in place to manage critical personnel data, such as emergency contact information, user IDs and network passwords, in case systems are down or destroyed.
- **A communication plan for clients and vendors**, because you don’t want to lose contact with either group, especially if operations are disabled for a period of time.
- **Banking**, especially regarding payroll and emergency cash access. This is an area that is particularly essential and challenging during a crisis, but is probably most overlooked when planning for a disaster. If you can’t access funds during a crisis, your operations will grind to a halt, and disaster relief funding may not be immediately available.

- **Human resources systems that may not be immediately mission-critical**, but will become important in the weeks or months until operations are back to normal. Consider backups of salary information, payroll information and personnel and tax information as well.

- **A plan to handle phone calls, website updates, email and physical mail delivery.** What if your building is destroyed and there is no office to deliver mail to? How will you update your Website if your network is disabled?

NOT JUST IT

When designing your organisational business continuity plan, you should consider the full dimensions of your organisation’s operations, including not just IT, but also business processes, staff and compliance. Of course, the plan must be updated and upgraded periodically to ensure it still reflects the realities of your organisation. And finally, don’t forget funding—only 6% of IT budgets are allocated to business continuity.

The steps and phases of business continuity planning follow logically from the determination of what risks are most likely to affect your organisation, given your industry and physical location. If you are on the US Gulf Coast, for example, you are more likely to be hit by a hurricane than an earthquake.

When considering risks, think outside the accepted natural disasters and don’t forget to consider things like civil unrest, sudden changes in demand or hardware failure. For a complete guide to determining what disasters should be factored into your business continuity planning, please consult the first section of this article, “Defining Disaster.”

A gap analysis of needs and capabilities will help you determine, in a high-level way, how able your organisation is to meet the basic requirements of business continuity:

- Maintaining continuous business operations.
- Achieving regulatory compliance and meeting industry standards more quickly and cost-effectively.
- Integrating risk strategies to optimise resources.
- Providing data protection, privacy and security.
- Achieving and maintaining operational planning.
- Maintaining disaster readiness and preparedness.

Once you have identified your organisation’s particular needs and capabilities, you can design a strategy to mitigate the identified risks and integrate both business and IT objectives into the plan.



Be sure to consider the following:

- Workload division
- Hardware alignment/positioning
- Storage strategy
- Data replication strategy
- Recovery and availability strategy

Implementing Your Plan

- Network connectivity and capacity measures
- Shared services and infrastructure components for base operating capabilities
- Virtualisation alternatives
- Systems management mechanisms, command/control mechanisms, testing capabilities, physical and logical security features



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Since 1990, Wacker has led the Laserfiche team, which today includes 1,300 channel partners and serves more than 30,000 customers worldwide. He is a frequent author and speaker on how to use ERM and ECM to increase efficiency, reduce costs, and facilitate regulatory compliance.

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The plans and procedures you design should then be tested—along with your system architecture—to assure that your business continuity strategies will have the desired effect.

As a reminder, these plans are not static, and must be changed, evaluated, adjusted and tested on an ongoing basis. You should test and reevaluate your business continuity plan frequently, employing rotating technical staff to ensure that recovery efforts are not halted if key personnel are absent.

DIGITAL DOCUMENT MANAGEMENT AS A PART OF YOUR ORGANISATION'S BUSINESS CONTINUITY PLAN

Although most discussions of business continuity planning and disaster recovery planning focus on information that exists in electronic form, it is equally important to consider paper-based data.

According to IDG Research, 80% of survey respondents indicate that they are considering or evaluating technology services to enhance or replace their current business continuity plan. The leading approaches are storage replication, virtualisation, redundant data centers, fail-over and electronic replication.

While most organisations are quick to consider their IT infrastructure when planning for a disaster, it is easy to forget paper archives. Paper is a familiar, yet extremely vulnerable, archival medium, particularly threatened by fire, flood and theft, and may be just as important as your electronic records, especially when it comes to pre-computer historical archives.

While most, if not all, electronic records are backed up in some format, paper records are often forgotten—and once they are gone, they are gone forever. Some organisations duplicate records for off-site storage in an attempt to secure their paper records, but this is both time-consuming and expensive.

DIGITAL DOCUMENT MANAGEMENT

The solution is digital document management technology. With digital document management software, a digital image of your paper record is captured and preserved in unalterable format, guaranteeing its integrity.

Digital document management applications also manage your electronic documents—ranging from Microsoft® Word®, Excel® and PowerPoint® documents to Outlook® e-mails and digital audio and video files—from the same interface, providing a secure storage and recovery solution for both your paper and electronic documents.

Quality digital document management solutions enable you to convert both types of records to non-proprietary TIFF and ASCII formats and store them alongside imported electronic documents, providing for long-term access and security. Easily searchable and much more space- and cost-efficient than paper archives, digital archives can become a key factor in your organisation's data storage and recovery planning.

Digital document management solutions can play a part in your organisation's business continuity plan, by assuring that company records and documents are properly

maintained and accessible when needed.

This fits in with the emerging approach of "recovery management," which leverages disk-based technologies to meet user needs. Digital document management solutions can tie into your organisation's other IT solutions; for example, with CD/DVD publishing, your key documents will be available to your crisis team, even while your network remains down.

Storing these disks offsite keeps data secure, enabling work to continue even if your offices are destroyed or your network is disabled. Quality digital document management solutions not only allow you to easily transfer your records to CD or DVD, but equip them with integrated viewers and search solutions, so you will be able to access your records from any computer—regardless of whether document management software is installed.

A back-up of your information, stored securely off-site, provides a relatively easy way to secure your data. With digital document management technology, you assure data back-up and recovery while easily maintaining information off-site. Without access to your data, key steps of your business continuity plan cannot be carried out and there is little hope of recovery.

CONCLUSION

An effective business continuity plan must not just protect employees and physical resources, but also protect the integrity of your organisational information, especially if it is confidential, sensitive and critical to business continuity.

Digital document management helps secure data integrity, comply with government regulations, integrate risk strategies to reduce costs and scale rapidly as your organisation changes.

Despite its familiarity, paper is a vulnerable archival medium. Easily damaged, easily lost and not easily replaced, it can present a sizeable obstacle to any business continuity plan concerned with the preservation of documents and records.

Because these documents represent a crucial asset to most organisations, digital document management has an important part to play in business continuity plans. Digital document management technology enables your organisation to create a centralised repository to store all vital organisational information.

The method of storage can vary from off-site back-up to a redundant, mirrored site separated by geography, drawing from separate water and power grids. Effectively delivering on a continuity plan will not only enhance your ability to recover from a system failure, but will also help you to better define what records are crucial to your organisation and improve your overall records management strategy. **IQ**



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Confessions of a Chief Executive, and his **lost laptop**

It's a fictional story, but one familiar to too many workers in both government and commerce who have lost their laptops, and with them, vital information that can affect productivity, profitability, and even national security.

BY CHRIS BURCHETT



Story Snapshot

- While a fictional story, it's one based on a number of real cases
- Thieves will target you and your laptop
- The secrets your laptop contains will astound you

As the Chief Technology Officer of a data protection and encryption company, I hear many a tale of woe as other CTOs and CEOs confess to me the stories of how various laptops within their companies have gone astray, and the destruction these lost laptops have caused in their wake. With this in mind, here is one such tale of woe, albeit fictional, that I have heard time and time again.

'Where do I begin? If the evidence is to be believed it stems back to, what I assumed to be, a fortuitous meeting in the bar at London's Dorchester Hotel.

'Sarah Smith had been our top deal closer for the previous three years, and I personally was devastated when she announced she was defecting to our main competitor. It was lovely to bump into her and catch up with how life was going, and I actually thought that I might be able to persuade her to come back. How wrong was I!

NO NEED TO PANIC

'I didn't even realise that my laptop was gone at first. The new client that I had arranged to meet failed to materialise, and I'd wanted to check the arrangements in my emails. Initially, I didn't panic, and simply assumed that I'd left the laptop in my car. When this turned up a blank, I drove back to the office, convinced that it would be on the desk. Even after it became clear that it was missing, I still didn't connect the two – in fact I still can't believe it's true.

'To be honest, I assumed that I'd left it somewhere and it would turn up in a day or two. If it had been stolen, then it would be wiped clean and sold, probably on eBay. I know there had been numerous warnings from IT, and shed-loads of budget spent, to thwart the motivated thief who steals laptops to order – but that was just in Bond films, not in the real world, and certainly not in mine.

'I left it a few days in case it turned up, but eventually rang Simon in IT to ask for a new laptop, ASAP. He didn't seem happy that I'd left it a week, but I hadn't wanted to waste money on a new device unnecessarily, and I was unperturbed at his concern that I'd lost mine.

'I thought him patronising when he reassured me, "Not to worry, as everything will be okay because its protected by really powerful encryption software, the best money can buy – which would prevent anyone from actually accessing your files and data."

'His reaction of almost squealing down the phone, and then gasping for air, to my admission that actually I'd been too busy to install the software, a tad over the top. I was the CEO, after all! Yes, I had seen his email about following his simple, must do – instructions for our company's new "state-of-the-art" encryption solution.

'He also wasn't too happy that my password was my surname56 – he seemed amazed that every month, when I

was forced to change, I just increased the number. Surely I'm not the only one that does that? I couldn't understand what all the fuss was about.

WHAT ALL THE FUSS WAS ABOUT

'Simon came to see me. He wanted to know if there were any documents that could potentially cause a problem. And, of course, there weren't. Except perhaps the Microsoft Word document with the usernames and passwords I used, and the networking details to connect the laptop to the network. Who could remember all those codes and instructions?

'The colour seemed to drain from his face, and I think it took everything in his power not to strangle me. As he left, his passing shot was, "I'm disappointed". Well, so was I. How much had I spent on security software with no real return? And he was trying to make out that it was my fault the system could have been compromised.

'I received my new laptop, complete with encryption that I couldn't bypass, and I thought that was the end of it. In fact, it was just the beginning.

'At first, it was little things. The list of companies that had been identified by Tim, the new Business Development Manager, had all been approached by Sarah's company in the last few days.

'Any appointments that we did secure ultimately resulted in declined proposals – with prospects citing they'd been given a better deal. Tim was given his marching orders pretty quick – there's no point having someone with their finger on the pulse if it's the same finger as the competition's.

'I then started receiving complaints from existing clients, about some of the miscellaneous costs on their service invoices. Some clients had been with us for almost ten years, and never seemed to mind before. Although none of them would go on the record, a few that I considered friends informed me that they'd been approached by members of Sarah's team who'd 'made them aware' of what our mark up was.

This was something that the majority of our own sales team weren't privy to. So, how could Sarah's team know? Sarah didn't know, did she? How could she? Unless she'd seen something while she was still walking our corridors. We really must lock down sensitive information, I declared.

BEATEN TO THE PUNCH

'I think what first aroused a fragment of suspicion was Sarah's company launching 'Chrysoar' the week before we were due to release 'Pegasus'. I know there's usually some speculation in the market ahead of a big launch, and we'd certainly caused a few rumours during our development and testing phase. But I hadn't even heard a whisper suggesting our competitors were thinking along the same lines – let alone developing a counterattack. Just shows how much I know.

'Every TV station, radio channel, newspaper and magazine we'd booked advertising with was carrying the opposition's ads the week before ours. It really looked like we were the ones playing catch up when we went live. Even their press release was the same, and we'd had to spend a frantic few days getting that re-written and approved.

'Surely that couldn't have been coincidence? We won't be using that communications agency again, I said. They obviously can't be trusted. It's a shame, because they'd done some good work for us during the last five years.

'I think the penny finally dropped when all our top performing employees received approaches offering alternative

employment. Every offer played to what the individuals hold dear – Steve's remuneration package would include free travel and extra leave to visit his family in Barbados.

'You could argue that Sarah knew that was a gripe of his while she was with us, but she didn't know the new boy, Mark, had a passion for Formula 1, so his enticement included a Porsche as his company car, and annual tickets to the Grand Prix.

'Simon was told that the budget for security was as large as he felt it needed to be! For some strange reason David in HR didn't get approached.

THE BROWN MANILLA ENVELOPE

'When I received the brown manilla envelope, with pictures of me and my 'lady friend', with a request for £100,000 for it to remain between the three of us, I realised that perhaps my laptop might be haemorrhaging its secrets.

'The meeting between me, senior management, IT and the security team was an interesting one. You could have heard a pin drop when I confessed that perhaps there were some documents on my laptop after all that were potentially sensitive, in the wrong hands – ie, Sarah's.

'Tim had sent me an email sharing his short list of targets, Talia in accounts had sent me copies of the latest client contracts. I'm pretty certain I'd been copied in on the marketing plans for the product launch. I knew for a fact Brian in HR had sent me the employee database so I could send everyone a Christmas Card, in fact I don't think I'd even had to tell him that was why I'd wanted it.

'There were legitimate reasons for me having this information, and I hadn't realised it could ever cause a problem. I know IT had said that laptops could be targeted, but I never really believed it. If the truth be told, I don't think they did either; not really.

SECURITY WAS EVERYONE'S RESPONSIBILITY

'The lecture from the Security Officer was so degrading. Fair play to the IT team, they certainly did all they could to help me, both before and after the theft. And it is true to say that, if I'd followed the advice and adhered to the security policy, I wouldn't have been in this position.

"But still – did he have to say, "I told you how important it is



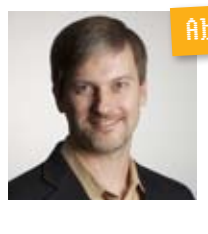
to encrypt your laptop". He loved pointing out how important it was to lead by example. "I can only do so much, but at the end of the day everyone within the organisation has a responsibility to protect the data they work with and rely upon."

'To top it all, the sniggering as I walk through the corridors is driving me insane – especially as I know I deserve it. Ah well, after today I'll be able to draw a line under the whole sorry affair. I wonder what it's going to be like not having to get up tomorrow to go to work? Fingers crossed I won't be unemployed for too long but I'm not going to sit by the phone.'

TAKE A LOOK IN THE MIRROR

I'm sure we all recognise the hapless executive in this sorry tale – and if you don't then may I suggest you take a long look in the mirror. It is true that our story is completely fictitious, and no names have been changed to protect the identity of those involved. But it is based on real events – events occurring in organisations every day.

Make sure it doesn't happen in yours. **iQ**



About the Author

CHRIS BURCHETT is Chief Technology Officer and co-founder of Credant Technologies, in Addison, Texas, USA. Chris is an expert in both embedded firmware and enterprise software, and is the author of numerous patents.

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Burchett previously served as Director of Research and Development for i2 Technologies, where he led the company's mobile wireless initiative as well as the first large-scale development of the company's forecast, supply, capacity, allocation and order planning products.

Prior to i2, Burchett designed and developed real-time embedded systems using artificial intelligence for top-secret projects. Burchett received his bachelor's degree in computer science from Texas Tech

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- This article first appeared in the March 2010 issue of the *Bulletin*, journal of the Records Management Society of Great Britain, and is reprinted in *iQ* with permission.

Digital Preservation and Sustainability: Challenges and Hurdles

Many people quite rightly have concerns about the long-term sustainability of electronic records. But, successful capture and retention of e-records is not all about technology. Human hurdles also need to be overcome.

BY RORY MCLEOD AND ALAN SHIPMAN

Story Snapshot

- There are 3 major hurdles to digital sustainability
- Metadata management is a critical element
- Electronic storage mediums are going to change

The only way you can ever tell whether something has been successfully electronically preserved is at the time when you need to access it. This could be many years from the date of preservation.

Will you be able to locate the electronic document? Will you be able to read the media upon which it has been stored? Will you have software to access the file format? Will you be confident that you can create an accurate representation of the original document?

Providing a sustainable environment for digital assets to reside in over a long period of time is challenging and only when you have all of these issues resolved can you claim any modicum of success.

THE 3 HURDLES

The first hurdle to address is generally human. Reluctance to accept the move to total electronic records or digital asset management, or content management is still an issue.

In the library sector, this reluctance is being challenged by the move to e-publishing and to the WWW. In science and technology, there are now more complex electronic databases and datasets being developed which are critical to future research.

In records management, the human issues are usually apparent, as many people (quite rightly) harbour doubts about the feasibility of sustainable long-term preservation of electronic records. This is particularly noticeable in the archival world, where a minimum of 30 year archiving often need to be achieved. Paper records have

proven that they can last the distance – assuming of course that the ‘single original’ is not lost or damaged in store – and indeed microfilm too has proven highly effective in storing information for the long-term.

Do people trust computer systems? How many times are computer records printed out ‘for the file’, just in case the computer fails? And how many organisations manage their electronic systems in a truly trustworthy and reliable manner? The perception is often that the computer is ‘for today’ and that paper records are needed ‘for tomorrow’.





The second hurdle is, of course, technology.

Being able to access and preserve digital objects in a sustainable way requires a tremendous dedication to hardware and software information.

Software and hardware changes are very common; few software packages, if any at all, are released without the need for a bug fix. Keeping software updated to the latest version is very important but the consequences to your sustainable environment must be understood.

Having a robust file format strategy is a good start, and, as the professionals who must look after the long-term future, it is important that we

set the standards in this area.

On top of this standards based approach, the tools and software required to access our digital assets are crucial. Inventories of software platforms and upgrades need to be planned carefully and recorded meticulously. These types of activities should be considered technology watch tasks, and should be monitored by the records management or digital preservation people within any business or archive.

Hardware dependencies are important to consider too. Computers are starting to be treated as almost a disposable device with 3 year lifetimes on average expected. The underlying data that you are trying to preserve will need to be considered as part of any moves to new hardware.

File system changes over the last 20 years and patents in some of the deeper areas of the realms of digital preservation mean that hardware changes must be considered as part of any sustainable strategy.



Processes represent the third area of concern for building long-term solutions to digital information storage. These processes today are often called information or knowledge management. Process controls and knowledge management are vital in keeping a sustainable information storage system operational.

The designs of the processes used are as important as any technical solution. Mapping out information and knowledge management processes is very important. This might include the constraints of the legal and regulatory environment, the value of the digital assets to the company, the costs related to the long

term retention of information and the potential risks should the information not be retained.

DON'T FORGET THE METADATA

Tying these three hurdles together is metadata, the information relating to the digital object that is not implicitly part of the digital object. In traditional paper-based record management systems, this metadata may consist of the file covers within which the individual records are stored, and the cataloguing or indexing systems used to enable effective retrieval of the records to be achieved.

Keeping metadata management information in an electronic environment is a critical part in achieving a sustainable environment for the digital objects. The metadata information allows the digital preservation functions to interrogate the information about objects without actually having to open them.

This obviously brings power to systems so that complex and laborious tasks can be done in a more automated way, and authenticity controls can be established separate to the object. It

also ensures that issues relating to the objects such as a required upgrade from one format to another can be done more easily.

So, a framework of information needs to be preserved to achieve digital sustainability as much more secure and robust method than just digital preservation alone.

ROLE OF THE RECORDS MANAGER

Should the Records Manager stick to the principle that paper based records preservation is the only safe answer, or should he/she get involved in digital preservation? Should a digital preservation project be led by IT professionals or by the records manager? Is there any value in records management involvement?

» **“IN A MODERN COMPETITIVE MARKET, THE ANSWER TO THE QUESTION OF PAPER VERSUS ELECTRONIC RECORDS PRESERVATION SHOULD BE BASED ON COST VERSUS RISK”** «

In the modern office environment, virtually all records are created electronically. For those records that are paper based, many organisations now scan the paper and work with the electronic copy. Should the well tested principles of good records management be applied to these electronic “originals”, or should paper copies be obtained for records management purposes?

One of the major criteria for good records management is the establishment and implementation of retention schedules, based on legal, regulatory and business requirements. Many organisations have developed these schedules.

However, how many have actually implemented these schedules? And if they are implemented, are they applied to both paper-based and electronic records? In many cases (the majority?), the disposal of records at the end of their retention period is only applied to the paper records. Why is this?

Is it because there is a visible end result – eg, more free shelf space – of paper disposal? How many computer based systems that hold records do not have a disposal function? Was the records manager consulted when these systems were designed and implemented?

COST VERSUS RISK

In a modern competitive market, the answer to the question of paper versus electronic records preservation should be based on cost versus risk. Such factors as the relative costs of paper versus electronic preservation need to be assessed. There is a long history of cost calculations in relation to paper storage.

Third party storage costs, staff time in managing input and output to the document store, and costs related to document destruction can easily be established. But what about the costs of electronic storage? How can one calculate the cost of sustainable long-term electronic archiving?

There is no simple answer here. The British Library is running the Life Project, currently in it's third phase, with an objective of developing a predictive costing tool which will enable the long term life cycle costs of electronic preservation to be estimated.¹

SUSTAINABLE PRESERVATION

Is it possible using existing systems to design a sustainable digital preservation system? What guidance is available to assist with such a task?

As discussed above, apart from the human challenge, the three issues that need to be factored in to any system design are:

- Storage technology;
- File format;
- Records management procedures.

STORAGE TECHNOLOGY

It is a fact of life that electronic storage technology will change over time. We have seen multiple technologies being used in electronic storage systems – magnetic tape, cassette tape, optical disk, magnetic disks etc.

Newer systems with increased capacity, better 'green' credentials and lower costs will emerge. The current development



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of solid state storage which uses substantially less power is an example of such a development.

Thus, the only practical strategy for long term storage technology is to be aware and ready for new systems as and when they are justifiable. The costs involved in implementing new technology, say, every 7 to 10 years, and in the migration of existing digital objects, along with their metadata, to the new systems, should be part of the long-term storage costs.

FILE FORMAT

Until recently, the choice of storage formats for records has been a challenging one. The majority of file formats were related to particular vendor software packages, and were thus non-sustainable in the long term. A number of attempts had been made over the last 20 years to develop an internationally recognised standard format for electronic archiving, without success.

That position has now changed. A couple of years ago, Adobe Inc took the decision to offer its PDF format to the International Standards Organisation (ISO) for standardisation. This has led to the publication of ISO 32000 1:2008². This move has made the PDF format sustainable in the long term, as it is fully under ISO control.

Whilst this work was continuing, the ISO committee experts were reviewing the PDF format for the long-term preservation of electronic records. It soon became apparent that a number of problems existed with the PDF format related to this requirement – the major issue being that, in order to render most PDF files on a PC screen or on a printer, external resources such as character font tables were required.

Such a requirement, which cannot be guaranteed in the long term, means that the 'normal' PDF format is non-sustainable.

The ISO experts then developed a new format, based on PDF version 1.4, which constrained the structure of PDF files to ensure long term sustainability. This format was published as ISO 19005-1:2005³, known as PDF/A. At the time of writing, the experts were close to publishing Part 2 of this standard, based on PDF Version 1.7 (i.e. ISO 32000-1).

There is now software from a variety of vendors that will create, either as one-off or on a batch basis, PDF/A files for long-term archiving. There is also software available for checking whether a particular document is in a format compliant with the PDF/A international standard.

RECORDS MANAGEMENT PROCEDURES

Technology alone cannot guarantee successful electronic preservation. As with paper records, proper procedures for the capture of authentic records into the preservation systems are essential.

Procedures will also be necessary to ensure appropriate retention schedules are assigned, that any media migrations and file format conversions are carried out without compromising authenticity, and that the right record is accessed when required. **iQ**



Acts, Facts, and Artifacts.

Questions for Records Professionals

By **GLENN SANDERS, MRMA**

I received an interesting comment in response to my question about artifacts versus content in the May issue of *iQ*, from a reader who pointed out that once we used to cull file contents, discarding working papers and minor variants, and ensuring that the file title accurately reflected the contents. However, failings in training and education have resulted in the loss of these skills, especially as we work more electronically, and if we focus too broadly on the artifact, we lose the very reason for creating the document in the first place.

The reader is right, and the result, electronically, is shared drive hell, documents saved with useless titles, in folders with no obvious structural logic, duplication and waste, and information irretrievable and eventually deleted in periodic cleanups with little or no RM input!

But, when we do get an EDM, do we still have the skills to participate in setting it up to manage the content, the information? If our priorities and skills are focused on the artifact, do we have an information role at all?

MADE WORSE BY DEVOLUTION

It's made worse by the devolution of RM, as it has become recordkeeping, and made the responsibility of end users. Make no mistake, I've been propounding devolution for many years, but unless we change our skill sets, we risk having no role to play.

With an EDM, and devolution, the RM function necessarily becomes one of setting policies and standards, training, QA and consulting. It won't be long before we see the first RM section with no compactuses, no trolleys and no hardcopy files. No tangible artifacts.

We've heard that before – but what are we doing about it? Have you recently brushed up your plain English writing skills, or public speaking? Classification and indexing theory? Business or systems analysis? Project or change

» “... UNLESS WE
CHANGE OUR SKILL
SETS, WE RISK HAVING
NO ROLE TO PLAY” «

management? Can you tell your MD or Executive, at zero notice and in less than two minutes, why they need RM, **without** mentioning compliance, or your state records act (because if you do, you just failed)?

BACK TO THE ARTIFACT

Mentioning state records acts brings me back to the artifact. Most records acts – and the majority of us work under one – address two areas: recordkeeping, and archiving. Given finite resources, sometimes priorities conflict, and too often we have to juggle information management against managing hard-copy artifacts. It's a dilemma for any professional.

We have long recognised occasional divided loyalties, to our employing organisation, and to our profession. For those in government, there is a third facet: our main responsibility to our organisation. Or, are we primarily agents of the state or national records and archive office? Ideally, all these synchronise, but in practice they often lack alignment. What do you think?

Next time, we'll look at the new ISO standards, and at the role 'standards' play when they are really just best practice. It's surprisingly controversial. And if I can't get a bit more RM debate going on, I'll just have to mention folio numbering again. **iQ**

- Give me your thoughts. Get back to me on the RMAA listserv, or at sandersinfo@gmail.com.



About the Author

GLENN SANDERS, BA, Dip Lib (UNSW), GDDM, MBII (RMIT), MRMA, has been involved in managing information in government and the private sector, for over thirty years. As a freelance consultant, he introduced computer systems into many organisations.

Long a proponent of decentralised operations, he has also set up two large central records facilities. Recently he has been involved in selecting and implementing electronic document management systems, and managing a large hardcopy cleanup prior to a major office relocation.

A Whole-of-Government eFile Request Form for the ACT

Agencies in the ACT are required to use a whole-of-government file request form for requesting file creations. This form, known as the eFile Request Form, has been modified to use a copy of the whole-of-government version of the aKa® database, improving its efficiency.

BY WAYNE FINLAISON

The ACT manages its records using a whole-of-government model based on the DIRKS methodology and the ISO 15489 Standard. All ACT Government agencies are required to adhere to standards and guidelines developed by the Territory Records Office (TRO). These standards endorse and mandate the use of a whole-of-government classification scheme to classify ACT Government records.

The ACT *Territory Records Act 2002* requires all ACT Government agencies to have a Records Management Program (RMP). The TRO also requires agencies to nominate in their RMPs which records disposal schedules, based on government functions, they will use.

In order to comply with TRO recordkeeping requirements, agencies are required to use a whole-of-government file request form for requesting file creations. This form, known as the eFile Request Form, is electronic and will be in use until the ACT implements an electronic recordkeeping environment.

HISTORY OF THE eFILE REQUEST FORM

The eFile Request Form was originally developed by ACT Records Services to allow clients to request new files. It was developed for use on the ACT Government network, and it allowed users to enter their details from the ACT Government Directory



and to select functions, activities and subjects from a database supporting the form. These then form part of a file title along with any free text.

The database was developed using aKa® records management software. It was split into smaller databases based on each agency's nominated disposal schedules. The form had a field to allow a user to enter disposal requirements, but this was not linked to disposal schedules and it was up to the user to determine an appropriate disposal action from another source before completing the form.

As recordkeeping matured within ACT Government agencies, the form required more and more small databases to support it, making it cumbersome and time consuming to maintain and update.

THE SOLUTION

To make the form easier to use, maintain and update, it was modified to use a copy of the whole-of-government version of the aKa® database. The form now selects functions for the individual user based on those nominated by their agency in its RMP. This allows the form to be managed with one database instead of the 27 it took previously.

The form also selects and displays all disposal classes associated with a chosen function and activity set. For example, if a user selects 'FINANCIAL MANAGEMENT – Accounting' as the first two levels of classification, the form will display all disposal classes for that classification set only, making the selection of an appropriate disposal class easier for the user.

The user selects an appropriate disposal class from those displayed and continues to the third level of classification, if necessary, before entering the final title in a free text field.

HOW DOES IT WORK?

When a user opens the form, their agency details are populated directly from the ACT Government Directory based on their login details or by details chosen by the user. The agency details determine which functions, activities and subjects are selected for inclusion in the form's drop-down selections.

This is achieved by making each significant agency a lead stakeholder of those functions nominated in their RMPs to each equivalent function in the database. The form then selects the aKa® dataset based on lead stakeholders selecting only those functions, activities and subjects based on the user's agency.

This requires the aKa® database to be modified each time there is a change in administrative arrangements – a relatively simple task as it requires only changing the details of affected lead stakeholder agencies in one database.

The selection of disposal classes is accomplished in much the same manner. When a user selects an appropriate function followed by an activity, the database is searched again against the chosen function and activity set and those within the whole-of-government records disposal schedules.

The form then displays only those disposal classes relevant to the chosen function and activity set. The user selects an appropriate disposal class and the form clears to allow the user to select a subject or to continue to the free text part of the form.

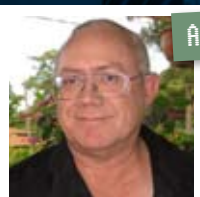
The form also allows users to assign security classifications and to limit distribution of the files to only those officers nominated in the form.

The form is sent electronically to a records management service provider, or to an agency's internal records creation area, depending on the agency's needs. **IQ**

Acknowledgments

The author would like to recognise the efforts of all those involved in making the form a success, including the following people and ACT Government agencies:

- ACT Records Services
- ACT Department of Education and Training
- Elizabeth Estbergs, TRO
- Sam Calvert, InTACT, whose efforts made it all work.



About the Author

WAYNE FINLAISON has been involved in managing government records and information for just over 33 years. He has worked as a freelance consultant and developed and implemented classification schemes and records systems into numerous organisations across all levels of government and in different jurisdictions.

He has also been involved in selecting and implementing electronic document and records management systems for organisations. Currently he is the Whole-of-Government Thesaurus Manager for the ACT in the Territory Records Office.

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Will Text Processing Developments Kill RM?

In April, Open Text announced that it was buying another company to extend its text analysis capabilities. They did it at the same time that Autonomy borrowed heavily to do something similar. Could this signal the demise of records managers as a species, or the emergence of the ultimate in document management?

BY KENNETH TOMBS

The end of records managers? Or the ultimate in records management? Probably neither! Most of this new software adds marginal capability unless you happen to work exactly the way the technology wants you to. I would argue that Open Text's acquisition of Nstein is speaking internally to Canadian investors, showing they can keep pace with Autonomy and emerging newco's such as the French AMISoftware.

Even service providers such as the rejuvenated British Formscan seem to be going for sophistication as the way forward. All roads lead to Rome in the EDRM space, whichever technology you start with, so supply side will just get ever more competitive.

CAN TEXT PROCESSING KILL A PROFESSION AND CURE VERBAL DIARRHOEA?

From experience, suppliers have to be careful with these sorts of acquisitions as competition grows. Buying-in another's

technology may appeal to shareholders, yet there is a huge opportunity for suppliers to score own goals.

I'm not convinced that bolting things on is strategically sound at this level of sophistication, yet it seems to be the preferred mechanism to technical evolution.

For example, regarding a well-known major supplier of software with text analytics added in, one American customer wrote on a very public blog recently: *"Anyone else who is beginning to get acclimated (...) finding it incredibly glitchy to the point of uselessness?"*

This is significant, as Americans are usually the most tolerant of suppliers' little foibles and shortcomings. Meaning, it must be really bad to warrant such a comment.

READING BETWEEN THE LINES

Returning to Open Text's press release, they write, 'Content analytics can, for example, help customers identify relevant

Story Snapshot

- Text analytics have the capacity to be both friend and enemy to the RM
- Will disprove replace text?

Facing extinction?

content for archiving. In the area of record management, records managers can depend on content analytics to automatically suggest which content assets end users should file as official records and where, based on the classification technology.'

Now, in reading between the lines, could this be the first steps in automating the human end of the RM process? Could the next step be to hand over the corporate record to an electronic person slotted into some ICT set up, off-shored three times removed, without oversight?

Ownership and responsibility apart, it seems risky to take any organisation down the first steps of absolute automation, which is I fear the way it will be sold. This maybe just my Luddite tendencies. However, reputations have been blown away in the past by over dependence on functionally limited computer systems.

More humorous is the sales-speak in OT's press release: 'With skyrocketing volumes' they say, expounding the virtue of their acquisition. Are these different skyrocketing volumes to those of ten years ago, or do we now have bigger skyrocketing volumes? Have rockets actually got that much bigger in the last decade?

Please, will future generations of marketers invent new phraseologies to go with their new technology – its becoming tedious and a tad condescending!

What would my proposed sales lines for future analytics developments be: 'Highly effective at...', 'realising the benefits of...', 'preventing ... happening'. I'd be avoiding like the plague 'powerful', or worse still, 'industry strength'. To me these mean 'we'll bust down your door to make you buy it!'

LESS TECHNICAL, MORE CONNECTED

Text analytics requires a high degree of intellectual input to make it work properly – let's not kid ourselves on this. This is what the profession has trained and evolved to be ready for.

Prospectively, the emerging newco's who deeply understand their technologies and subject will successfully empathise better with their customers than the existing majors. Provided that the newco's can step out of their technical silos and join up what they do.

It feels to me like a vacuum exists, and that many suppliers old and new who cope with EDRM are not handling advances into the more demanding uses of textual analytics.

SEXING UP THE TECHNOLOGY, LITERALLY

Now here's a thought for you. Could the smarter text analytics coming along that require more thought than point-and-click,



About the Author

This article's 'ecriver', KENNETH TOMBS, is setting up three businesses, Percipience, NorText and NorMed, with some smart guys in the South of France. Thirty-eight years ago he left school bright-eyed and bushy-tailed to face the world.

Thankfully he still enjoys working in it, when he really has to. And he's enjoyed writing for *iQ* and the *RMS Bulletin* in the UK; it's a hard habit to kick, he says.

Ken and his wife-to-be Christine live in Pont Hébert, France, in a 200-year-old house that's getting better every day, and is quite warm now in winter. His French remains *terrible*. They have two horses, a dog and a cat; and according to the season their three children and suddenly surprisingly large numbers of friends to visit. His favourite author is Terry Pratchett, and he will start *that* film script again soon. His carbon footprint is miniscule!

• You can contact Ken at: kenneth.tombs@percipience.eu

be female? Only because women can think multi tasking – allegedly! In the past it was 'what animal would you be'? The new perspective could be, 'What sex is your technology'?

Overall my take is that advanced textual analytics will end up under-used by most, and effective mostly for a few. So for my vote, I'm going with the psychology and the HR route, where the power of words can bring insight to the power of the character and organisation.

OR WILL DISPRODY BE THE FUTURE?

We all communicate primarily by the word and its intonation, spoken and written. 'Disprody' is the term, I'm told. Through this we can gain not just insight to what has been written by others as commercial documents. For me, corporate document management is the least interesting place for textual analytics to end up.

How we gain insight into ourselves our colleagues and businesses through words is for me exciting in many ways. No longer do we have to sample who we are as slices of salami any more. Text analytics can take us straight to the whole person – Gestalt – Bless you! **iQ**

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IMPLEMENTING ENTERPRISE INFORMATION MANAGEMENT

PART 2

A research-based approach in two Swedish municipalities

An implementation programme for organisation-wide recordkeeping systems in two Swedish local governments is being informed by a research-based approach in cooperation with Mid Sweden University. In the previous issue of *iQ*, (May, 2010), the author set out the parameters for the research. In this concluding part of the article, outcomes are discussed.

BY KAREN ANDERSON, MRMA

The Sundsvall and Härnösand municipalities provided the platform for the Research Centre's major project for 2009-2011, which brings together experience in researching recordkeeping issues in small and medium enterprises as well as expertise in enterprise information architecture and content management.

The municipality of Härnösand has recently completed a project to centralise the registration and documentation of its records into a single digital 'diary system' as they are created and received. However, the following discussion will focus on the Sundsvall municipality, (pictured above) which is in the process of designing and implementing both an Enterprise Information Management system and rolling out a records management system.

The team will be able to follow the roll-out of these systems in Sundsvall: The EIM system rollout commenced in October 2009 beginning in the committee system, to be followed by the implementation of the EDRMS system, which is still at an advanced planning stage.

Story Keywords

- Enterprise information management
- Enterprise architecture
- EDRMS
- Recordkeeping systems

MAJOR ORGANISATIONAL CHANGE

Sundsvall municipality is also in the midst of major organisational change: moving from a traditional hierarchical organisational structure to process-oriented workflows and information management. It had become apparent to the municipality that in the contemporary digital environment it could no longer work in traditional ways.

Like all organisations today, they must focus on the design and provision of customer-centred e-government services. Furthermore, they are under pressure to meet requirements that are familiar to all organisations: pressure to save money and demonstration of greater efficiency.

Although there are very few research-based studies in the literature that focus on the implementation of whole of



» “...THEY ARE UNDER PRESSURE TO SAVE MONEY AND DEMONSTRATION OF GREATER EFFICIENCY” «

their associated systems, large and small, that potentially create records.

The survey and interviews were undertaken by the two PhD students working within CEDIF on the Sundsvall-Härnösand project. In Härnösand, thirty-three current projects and five recently completed projects were identified.

These covered a wide range of activities; for example, a range of tourism development strategies, the municipality's part in a large railway infrastructure project that runs through the region, the centralisation of the records registry and digital archives project, environmental management projects and safety and emergency response.

At the current early stage of the investigation, Sundsvall appears to have a more integrated approach to project and information management. Furthermore, a lower number of separate development projects were identified. However, given that Sundsvall is four times larger than Härnösand this prompts the researchers to question whether some projects and systems have slipped through the net because documentation is incomplete.

Some important issues that impinge on recordkeeping quality have already been identified. In both municipalities, professional recordkeepers are not among the project leaders or included in project planning teams, with the exception of the Härnösand project to centralise the records registry and the Sundsvall ERMS implementation project.

Hence, most of the systems planned and implemented to manage the various projects are current case administration systems: they are not recordkeeping systems.

Furthermore, these systems are isolated, and communication across the systems is generally not considered. In Swedish, such systems are metaphorically described as ‘stovepipes’. Australians call them ‘silos’. This situation constitutes major barriers to the capture and management of digital records in the organisations, to knowledge sharing across the organisations and to the development of customer-centred e-services which require flexible access to information, often from several business units and their associated systems.

SUNDSVALL'S RECORDS MANAGEMENT AND EDRMS PROGRAMME

An important part of the Sundsvall municipality's makeover of its information management systems is the introduction of an EDRM system. Planning for the system is well under way, but it is not yet as close to implementation as the EIM system.

A thorough, standards-based approach to planning & designing the system has been used, with particular reference to:

- ISO 15489 Records Management
- ISO 23081 Metadata
- ISO/TR26122 Work process analysis for records
- ISO 14721 OAIS

organisation digital information and recordkeeping systems, a study in Pakistan by Henriksen and Andersen (2008) offers some very useful observations from the literature.

This focused on the aspirations, expectations and motives that are often present when new IT and IS (Information Systems) are being planned, together with an account of an organisational change to a workflow solution for document and file management, and the implementation of an ERM system.

The restructuring in Sundsvall municipality will fundamentally affect the organisation of records and archives management within the municipality, so the consequent effects on records management requirements and practices will also be documented and studied. These changes will inevitably be extensive in several ways.

Swedish public organisations, including local government, are legally required to reflect organisational structure in their archives, rather than capturing and maintaining records according to functions undertaken. While the hierarchical structure may have reflected functions in the past, with the provision of customer centred e-services these are becoming increasingly blurred.

Also, with the implementation of an EDRMS, the responsibility for capturing records into the system will shift to the creating officers, where formerly paper copies were delivered to the registrars for classification and management.

EXPLORING THE INFORMATION ARCHITECTURE

In order to explore and document the organisational information architecture, interviews across both municipalities were conducted to identify all current development projects and





Fig. 1: The learning cycle

Steps A-E of the DIRKS methodology set out in *ISO 15489-2* and elaborated in the *DIRKS Manual* (State Records NSW, 2007), have been used to guide a high-level planning process for the organisation-wide ERMS. Furthermore, all business units are required to undertake the DIRKS steps A-H to identify recordkeeping requirements and ensure they are met.

RAISING THE PROFILE OF RECORDS MANAGEMENT

Very early in the planning process for the Sundsvall EDRM system implementation, the registrars – officers required by Swedish law in every business unit, who are responsible for registering and retrieving records – were identified as a group crucial to championing the EDRMS rollout and the changes necessitated by extensive organisational change.

In moving from a classical hierarchical organisational structure with recordkeeping systems developed for paper records to a business process oriented digital environment, it became clear that this group would be required to undertake a greater variety and much higher level of records management tasks.

They are a key group whose strategic importance was formerly not recognised. Now they are targeted as an important means of articulating the coming changes in capturing and managing records and acting as advocates for the new EDRM system.

Under the old system, their responsibilities were confined to receiving and classifying records and retrieving records, since they were and still are more familiar with the classification system than are the action officers. Their new responsibilities will be markedly more extensive and more professional.

These include:

- coordinating the creation and maintenance of a records management plan for the administrative unit in which they work;
- ensuring that all tasks in the record management plan are fulfilled;
- implementing the action plan for developing records management in their own administrative unit; and
- providing an annual report to the municipal archives, evaluating how their unit's records management strategy is progressing towards meeting the Municipality's guidelines.

Therefore, one of the early decisions of the EDRMS Implementation Project was to commission Mid Sweden University to develop and provide an education programme for Sundsvall's municipality's registrars. The course is undertaken part-time over two semesters, with all group meetings taking place at Sundsvall municipality's facilities, rather than having the group travel to the University.

This strategy is a first step towards compliance with the ISO15489-1 recommendation to "establish an ongoing programme of records training". The recommendation is that training should be addressed to "all members of management, employees, contractors, volunteers and any other individuals responsible for the whole or part of a business activity of an organisation in making records during their work and in capturing those records into records systems. The training programmes can be designed and set up in cooperation with external organisations" (ISO 15489-1 Section 11).

The aim was to turn the 'registrars', a group whose original employment conditions did not require any professional qualification or training, into records managers, providing them with a greater understanding of the importance of their role, giving them the knowledge and tools necessary to meet their new responsibilities and setting them on the path to 'professionalisation'.

THE SUNDSVALL – MID SWEDEN UNIVERSITY TRAINING PROGRAMME; A REAL SUCCESS STORY

The records management education programme is a real success story. The registrars have experienced real empowerment through the education programme. Although they were previously isolated and scattered across the many organisational units and partly-owned utility providers of the Sundsvall municipality, they have developed a professional identity and a community of practice in records management within the organisation. Having overcome their former isolation, they now actively network and discuss administrative and professional issues.

Because one of the CEDIF project aims is to raise the profile of records management as a profession, and it is difficult to find research reporting on actual changes in the role of records managers in organisations undergoing structural change, an action case study of the participants in the records management education programme was made.

Action case methodology is appropriate when there is a mix of intervention and interpretation in the research (Braa & Vigden, 1999; 2000). In this project the research group was intervening through the provision of the education programme and through their interaction with the records managers, while also observing and interpreting the changes that occurred.

Over the course of the education programme, questionnaires, group interviews and formal discussions were used to gather data. When analysed, the data showed that the records managers experienced a learning cycle that can be conceptualised as shown in Figure 1 above.

Their increased competence resulted in enthusiasm for accepting responsibility for the new records management strategy in the municipality's administrative units. This enthusiasm, together with growing professional knowledge in turn stretched their capacity for new tasks and responsibilities.

These new tasks resulted in a need for further increased competence and so they experienced an upward spiral of learning, engagement and competence. This education project is more fully reported in Borglund, Anderson and Samuelsson (2009).

The education programme has also led the group to expect greater acceptance and understanding of their role in the organisation. Observing whether or how the professional standing of the group changes will be a particularly interesting aspect of the study. As in all organisational change, some resistance to shifting responsibilities and working methods has been observed.

Those completing the programme have been offered credit for the studies they have undertaken, which will allow them to continue their recordkeeping studies and also complete a bachelor degree. Some have expressed interest in taking up this option.

This customised records management education programme has also commenced in another large public organisation in

Sweden. The profile and responsibilities of registrars is being raised to that of records managers through an education programme inspired by ISO15489 and the need for record-keeping workforce that will advocate the changes in recordkeeping practices throughout an organisation.

CONCLUSION

Although the research project is still in its very early stages, issues of importance to the recordkeeping community are already emerging that will repay careful observation and deeper investigation.

In Sundsvall, implementation of both the enterprise information management and EDRM Systems is moving forward, but there is some reason to believe that some projects and activities are still under the radar, highlighting the difficulties of planning, designing and implementing systems that are truly enterprise-wide.

One of the major challenges for the future will be to draw in all of the outlying, project-specific systems and to ensure new projects are always created within the net of both the EIM and the records management systems.

It is also crucial to ensure that steps are taken so these two systems mesh well. They are currently being planned by two different groups, one IT-focused and the other records-focused. Although the two groups are each well aware of developments in the other, it is conceivable that a mismatch could happen.

A more pressing issue for the recordkeeping profession in general is the development of strategies to ensure that recordkeeping professionals are always on project planning and leadership teams from their inception. It is clear that recordkeeping quality is not a prime consideration of those who develop systems that support new projects within their organisations.

Recordkeeping professionals need to find and adopt more effective strategies to advocate their services as expert advisers and to have recordkeeping requirements written into all system development projects, large and small, within an organisation.

It is more crucial than ever to educate and train recordkeeping professionals to be outgoing within their organisations, to put forward their expertise and be prepared to audit information management programmes for recordkeeping quality. Without this effort on the part of our profession, enterprise information management risks covering far less than the whole of the enterprise, and will be more focused on IT systems than the information they purport to manage. **IQ**



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Statement of Knowledge for Recordkeeping Professionals: UPDATING TASKS, COMPETENCIES AND SALARIES

This article revises tables previously reported by Pember¹ on tasks and salaries for recordkeeping professionals in the February and May 2010 issues of *iQ*, and includes revisions to tasks and the mapping of relevant training competencies in each band.

BY PAULINE JOSEPH, ARMA, JANE LARKE, ARMA, DR ROBERTA COWAN, ALAN RALPH, ARMA, AND MEGAN WHITTLE

The *Tasks, Competencies and Salaries for Recordkeeping Professionals (TCSR)* is part of a suite of supporting publications to the parent publication the *Statement of Knowledge for Recordkeeping Professionals*¹. The sub-committees of the Western Australian, Records Management Association of Australasia (RMAA) and the Australian Society of Archivists (ASA) jointly developed the *TCSR*.

The *TCSR* is a guide for recordkeeping professionals on the tasks, competencies and salaries that can be expected at each band of their professional career. It also provides an insight into the various career progression levels professionals can aspire towards. As such, it complements the *Statement of Knowledge* that identifies the theories, standards and ethics of the profession with the associated practical skills, competencies and remuneration.

The revised version of the *TCSR* table is presented in the following pages. The salaries presented in the last column in each provide a range from low, medium to high.

MAPPING OF TRAINING TO TASK DESCRIPTIONS

Professional training in recordkeeping is available via vocational and higher education pathways. Vocational training is regulated under BSB 07ⁱⁱ and is provided either by TAFE or through private providers². The RMAA accredits vocational level training. Higher education is accredited by the various associations, including the RMAA and ASA³.

All Australian courses offered by the vocational and higher education sector were reviewed for the training competencies outlined in the *TCSR*. In order to keep the training competencies generic, only the minimum relevant training required is stated at each Band.

For example, a Certificate III in Business Administration has a number of core units but only a few

Story continued on page 52

About the Authors



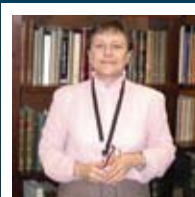
PAULINE JOSEPH, ARMA, is an Associate Lecturer at Curtin University of Technology in Perth, WA. In her 17 years as an information management professional, she has worked in both the government and private sectors in Singapore and Western Australia. Pauline is currently pursuing her PhD research at the University of Western Australia.



JANE LARKE, ARMA has 12 years experience in the field of records and information management, working in local government and the higher education sector. In 2007 she joined Curtin University of Technology to develop and implement an Information Governance Framework and revise Curtin's Recordkeeping Plan, subsequently being appointed the university's first Director of Information Management. Jane has a primary teaching degree and a graduate diploma in records management and archives. She is also secretary of the WA branch of the RMAA.



ALAN RALPH, ARMA has been State Director of the National Archives of Australia, Perth Office since July 2003. He has over 30 years experience in the field of archives and records management with the Australian government. He is also the Convenor of the WA Branch of the Australian Society of Archivists.




ROBERTA A. COWAN conducts research in information management and biological taxonomy in her adjunct role at Murdoch University Murdoch Library and School of Biological Sciences and Biotechnology. She is the Archivist at Santa Maria College (WA) for the Pallottine Community of Australia, and volunteers in the Curtin University Archives.

MEGAN WHITTLE, BA (L&CIM) has for the past 3 years, since completing her degree, worked in information management in public and private sector positions. Currently she is employed in an agency under the WA state government graduate programme. She is also a councillor for the RMAA's West Australian Branch.

Members of the sub-committee

- RMAA WA Branch Committee – Jane Larke, ARMA, Pauline Joseph, ARMA, Megan Whittle.
- ASA WA Branch Committee – Alan Ralph, ARMA, Dr Roberta Cowan, Dr Margaret Pember, FRMA.

BAND 1	DESCRIPTION OF TASKS	RELEVANT TRAINING	INDICATION OF SALARY
1.1	Processing mail – includes: • sort incoming mail – [according to agency policy and procedures] • record mail statistics – [according to agency requirements] • open mail – [according to agency requirements, should include date stamping] • mail distribution – [within the agency, may be to pigeon holes] • processing outgoing mail – [may include statistics for charge back, franking, etc]	<ul style="list-style-type: none"> • Certificate II Business* • Certificate III in Business* • Certificate IV in Business* • Certificate III in Business Administration* <p><i>*providing relevant elective units have been taken during course</i></p>	<p>\$20,000-\$45,000-\$49,000</p> <p>Description: operational records activities, works under supervision, often no previous experience required so may learn 'on the job'.</p> <p>Experience: experience and completion of relevant TAFE or tertiary qualifications (or demonstrated progress towards) usually required at higher end of salary range.</p>
1.2	Scan and OCR hardcopy records [according to agency policy and procedures]		
1.3	Attach records to file with file numbers assigned		
1.4	File returns – [includes logging back into the system and returning to correct location]		
1.5	Physical folder creation – [includes colour-coding, labelling, bar-coding]		
1.6	Physical folder maintenance – [basic file repair, relabelling as required]		
1.7	File tracking and audits – [barcode audits, within records area and across the agency]. May also include tracking of reference materials		
1.8	Process Bring-ups – [retrieving files and logging out to relevant action officer]		
1.9	Basic retrieval requests – [retrieving files from records area with file numbers provided]		
1.10	Preparation of temporary value records for off-site secondary storage [preparation of box contents lists, logging online request to collect/deliver boxes for offsite storage, update locations in system]		
1.11	Participate in disaster recovery (includes business continuity) activities and planning to provide the availability of and access to organisational records and information following a business disruption.		

BAND 2	DESCRIPTION OF TASKS	RELEVANT TRAINING	INDICATION OF SALARY
2.1	Registration in corporate system based on indexing provided following established procedures – data entry only [corporate system may be EDRMS or spreadsheet, hardcopy register, etc]	<ul style="list-style-type: none"> • Certificate III in Business Administration* • Certificate IV in Business Administration * • Certificate III in Business Administration (Medical)* • Certificate III Recordkeeping <p><i>*providing relevant elective units have been taken during course</i></p>	<p>\$40,000-\$46,000-\$53,000</p> <p>Description: previous operational recordkeeping experience and knowledge required.</p> <p>Experience: completion of relevant TAFE or tertiary qualifications (or demonstrated progress towards) usually required at higher end of salary range.</p>
2.2	QA of scanned images and/or OCR text – [against agency scanning standards and procedures, includes check for legibility, readability, completeness, page orientation and workflow initiation]	<ul style="list-style-type: none"> • Certificate IV in Recordkeeping • Bachelor level degrees with demonstrated : – minor component in RK – major and multiple component in RM • Diploma of Recordkeeping/ Graduate Certificate / Graduate Diploma of [recordkeeping units] • (Professional membership with the RMAA and ASA) 	
2.3	More complex retrieval requests – [eg, keyword file retrieval]		
2.4	Basic appraisal of closed files according to approved R&D schedule – [sentencing by applying retention codes based on class/series]		
2.5	Preparation of closed files for disposal – [may be off-site storage, destruction or permanent retention]		
2.6	Creation of destruction authority lists – [listing retention codes, record descriptions, approved schedule number and authority sign-off by responsible area]		
2.7	Assist in the preservation of permanent value records for archival storage [eg demetalling ¹⁰ , housing in archival quality enclosures and boxes]		
2.8	Migration of data following established procedures. This may include a review and cleanup of metadata		

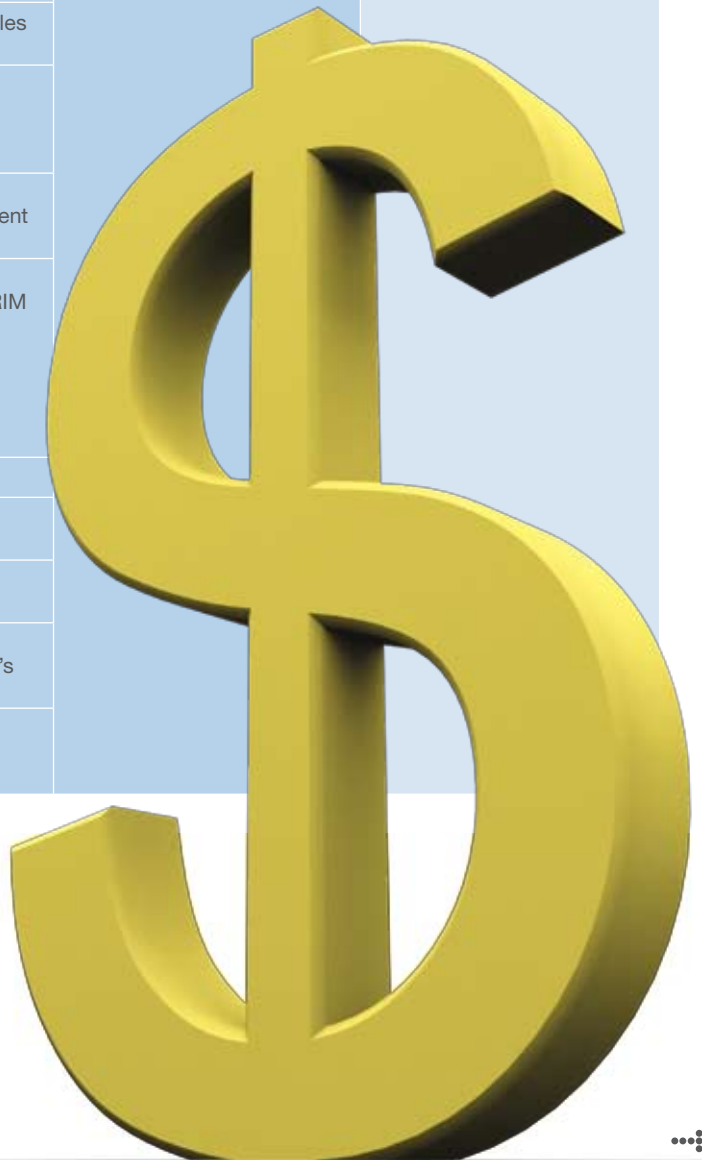
» “DEVELOP RIM USER-FRIENDLY GUIDES AND ADVICE SHEETS FOR RECORDS AND NON-RECORDS STAFF ALIKE” «

BAND 4

BAND 3	DESCRIPTION OF TASKS	RELEVANT TRAINING	INDICATION OF SALARY
3.1	Indexing/classification of incoming items using controlled language specific to organisation – [eg KAAA, KFC, BCS]	<ul style="list-style-type: none"> • Cert IV Recordkeeping • Diploma of Recordkeeping/ Advanced Diploma of Recordkeeping/ Masters (coursework) of [recordkeeping units] • (Professional membership with RMAA and ASA) 	<p>\$48,000-\$52,000-\$65,000</p> <p>Description: relevant experience with high level of proficiency and expertise in dealing with a range of complex tasks and problems with reference to established standards, practices and procedures; ability to manage small teams.</p> <p>Experience: completion of relevant tertiary qualifications (or demonstrated progress towards) usually required at higher end of salary range.</p>
3.2	File creation on system		
3.3	Appraisal of more complex items against approved R&D schedule – [more in-depth organisational knowledge required for decision making, includes classes out of scope of current approved R & D schedule]		
3.4	Assign security and access control from existing security model – [requires organisational knowledge]		
3.5	Basic supervision of small team – [less than 4 staff]		
3.6	Internal induction/training for own team		
3.7	More complex retrieval requests [complex research required]		
3.8	Legal support, including discovery, legal; hold, FOI, and so forth		
3.9	Contribute to records procedures development – [organisation-wide]		
3.10	Help desk enquiries [1st level support, escalate other queries as required]		
3.11	Support forms development program		
3.12	Provide input into selecting software		

BAND 4	DESCRIPTION OF TASKS	RELEVANT TRAINING	INDICATION OF SALARY
4.1	Develop and document procedures for all operational RIM processes performed at the lower levels. [Such as mail handling, delivery, help desk services, basic document control and maintenance.]	<ul style="list-style-type: none"> • Advanced Diploma of Recordkeeping/ Masters (coursework) of [recordkeeping units] with experience • (Professional Membership with RMAA and ASA) 	<p>\$57,000- \$65,000-\$80,000</p> <p>Description: manager or specialist with responsibility for projects or may manage a service, project, or range of smaller projects, may provide specialist advice to management.</p> <p>Experience: completion of relevant tertiary qualifications (or demonstrated progress towards) usually required at higher end of salary range.</p>
4.2	Develop RIM user-friendly guides and advice sheets for Records and non-records staff alike		
4.3	Conduct user training in RIM policies and practices according to the RIM project objectives for staff.		
4.4	Develop promotional activities and materials. [Skills required in multi-media formats eg Word/web based materials, flyers, presentations etc]		
4.5	Undertake basic project management ie, Low risk project. [Such as coordination of small projects covering any of the processes stated in the lower levels eg box transfers etc.]		
4.6	Prepare archival arrangement and description [in accordance with international best practice, principles and standards]		
4.7	Lead QA procedures to validate the integrity of registered records. [ie, monitoring classification, titling, security and other metadata for completeness and thoroughness of true record's content.]		
4.8	Management of physical storage facilities. [Including: resource and space requirements and humidity controls in accordance with ISO 15489 stated criteria.]		
4.9	Contribute to the organisation's disaster recovery planning, business continuity planning, and assessment of vital records programmes.		
4.10	Conduct records inventory		

BAND 5	DESCRIPTION OF TASKS	RELEVANT TRAINING	INDICATION OF SALARY
5.1	Provide RIM System administration [ie, ECM/BCM, EDRMS systems] which includes: creation of access control and security groups and the overall quality control of the system.	<ul style="list-style-type: none"> Advanced Diploma of Recordkeeping Masters (coursework) of [recordkeeping units] with Professional Membership RMAA or ASA 	\$72,000-\$85,000-\$95,000
5.2	Regularly conduct Business Analysis; appraising, monitoring and reviewing the organisation's business requirements and building in the appropriate RIM policies and procedures that achieve compliance with technology, legal and RIM requirements.		Description: senior professional manager or specialist with responsibility for significant organisational information management services/projects/programs; should have relevant experience with high level of proficiency and expertise in dealing with a range of complex and detailed operational, conceptual and policy-related issues.
5.3	Direct complex project management ie, High Risk activities such as: <ul style="list-style-type: none"> EDRMS implementation [ie, contract negotiation and some financial management]; Providing the necessary leadership and strategic direction to achieve a successful operation of an all encompassing RIM program. 		
5.4	Lead the development, implementation and maintenance of a controlled vocabulary for the organisation [eg, thesaurus, classification, BCS]		
5.5	Development and maintenance of the organisation's R&D schedules [Disposal Authorities] in accordance with the organisation's: recordkeeping policies, legal and regulatory requirements, and current business needs.		Experience: completion of relevant tertiary qualifications usually required at higher end of salary range.
5.6	Direct the implementation of the approved R & D schedules [Disposal Authorities]		
5.7	Management of a continuing staff training program. Maintain oversight of the program's content, principles, standards to keep abreast of change and developments within the professional IM industry.		
5.8	Actively partner with IT to assist in the design, specifications and implementation or ongoing improvement of an organisation's ECM System.		
5.9	Design and implement an all encompassing Risk Management strategy to identify and mitigate potential RIM risks. Including: <ul style="list-style-type: none"> Disaster Planning; Business continuity; Legal holds; Outsourcing; and a vital records program 		
5.10	Develop and implement a forms management program		
5.11	Manage records audit for RIM compliance (internal and external)		
5.12	Directing recordkeeping issues relating to organisational mergers and acquisitions		
5.13	Development of RIM marketing and communication plan to achieve awareness and integration of the organisation's RIM program.		
5.14	Review and evaluate the records program against stated Business plans and strategic objectives		



BAND 6	DESCRIPTION OF TASKS	RELEVANT TRAINING	INDICATION OF SALARY
6.1	FOI decision-maker/ coordinator	<ul style="list-style-type: none"> As for Band 5 with at least five years experience and demonstrated ongoing professional development. 	\$81,031-\$86,548-\$120,479 Description: top level professional manager or senior specialist – overall responsibility for significant organisational services/projects/ programs or provision of highly specialised advice to very senior management and/or government (at top end of salary range)
6.2	Overall RIM Security policy & model responsibility		
6.3	Perform HR tasks. Including PR and administrative aspects such as: <ul style="list-style-type: none"> Liaison with HR department for recruitment, succession, planning, etc. Actively work with staff to support opportunities for career development consistent with RIM program objectives and to ultimately provide opportunities to ensure team effectiveness 		
6.4	Project Leader, Sponsor and Coordinator. Demonstrated through: <ul style="list-style-type: none"> Sponsoring projects and programs by reviewing proposals and making recommendations to further the organisational goals and objectives Regularly provide program and project information to executive management and stakeholders Evaluate, authorise, and acquire the necessary organisational resources to administer the RIM program 		
6.5	Strategic policy & planning for Corporate Information Management (CIM) Develop a strategic plan for RIM using best practice methodologies to support and achieve long-range organisational goals.		
6.6	Demonstrate responsibility and the overall coordination of the organisation's RIM program. [ie, policy development and implementation through: the RK framework, and associated policy documents, regulatory obligations, knowledge of industry benchmarks, and organisational requirements to demonstrate RIM compliance and best practices], Providing the necessary governance skills of a successful RIM program to staff and stakeholders.		
6.7	Develop and establish the organisation's long-term preservation and maintenance plan for records in all formats.		
6.8	Assess and allocate the necessary resources to ensure efficient and effective implementation of an ongoing RIM program. [through contract negotiation and management which includes: agreements, contracts, tenders, EOLs etc]		
6.9	Overall Resource Management – Including: Accounting, Financial and HR.		
6.10	Advise and comment on relevant draft legislation, and regulations as required.		

» “DEMONSTRATE RESPONSIBILITY AND THE OVERALL COORDINATION OF THE ORGANISATION'S RIM PROGRAM” «

BAND 6



Previewing



GOLD COAST CONVENTION & EXHIBITION CENTRE, BROADBEACH

The AUD \$167 million Gold Coast Convention and Exhibition Centre is conveniently located in the heart of the Gold Coast, with beautiful Broadbeach as its backdrop. Broadbeach is situated just south of Surfers Paradise and is well known for its green parkland, restaurants and shopping. The Pacific Fair shopping complex, close to the Convention & Exhibition Centre, houses a cinema as well as over 250 speciality shops. Nearby Jupiter's Casino provides free entertainment in the Atrium Bar and you can take the monorail from the Oasis Shopping Centre right to the door.

Australasia's Annual Records and Information Management Main Event

Whether you're new to records management or a seasoned pro, there's something for everyone at this year's inForum convention on the Gold Coast.

The focus of the four-day programme is on information continuity for the business and government world, as well as for individuals, families, community-based organisations, and indigenous and minority communities.

inForum's guest speakers, both Australian and international, will present different perspectives on how information, memory and evidence support the identity of businesses and communities; and how all need to be understood and included in policy, practice and enabling technologies.

THE PROGRAMME

Sessions consist of the presentation of professional papers, workshops and roundtable discussions – see highlights on pages overleaf.

In addition to the keynote sessions, there will be two concurrent streams that participants can also attend: *Continuity of Evidence*, and *Safeguarding Community Identities*.

Ten workshops are on offer, and delegates can choose which one they want to attend each day. There will also be a site visit to Queensland State Archives upgraded facility.

Alongside the educational programme, there is a trade exhibition with over

50 stands relevant to the records and information industry. Turn to page 46 more on our sponsors and the benefits to you of visiting the exhibition.

IT'S NOT ALL ABOUT THE WORK...

Delegates can make the most of their time on the Gold Coast by participating in our 'extra-curricular' activities. You can take a sightseeing tour to Currumbin Wildlife Sanctuary, or a tour of the highlights of the Gold Coast.

There's also fun – and networking – to be had at our 'Aloha' Welcome Reception, and our Gala Awards dinner at MovieWorld, where our guests become stars on the red carpet.

First-time delegates can get the lay of the land at our newbies orientation session, as well as make some contacts with other new and some more 'seasoned' inForum attendees.

Other good chances to network include our special interest group meetings, and numerous other social occasions.

BOOK NOW!

The annual RMAA convention, now known as inForum, is widely recognised as the largest dedicated records and information event of its type in Australasia. It's a great opportunity for delegates to expand their

knowledge in the field, make and maintain networks and view the products and services on offer in the Trade Exhibition. **IQ**

- Don't miss out – spaces are limited to 20 for most workshops. Registrations close 1 September. Go to www.inforum.net.au

DON'T MISS... The Welcome Reception

Don your 'Aloha' tropical shirt and head to the Trade Exhibition area for the Welcome Reception on Sunday evening. You can have a sneak peek of the trade over cocktails and do some networking while inForum is formally opened.



Programme highlights

Keynotes

RIGHT TO INFORMATION IN QUEENSLAND – WHERE TO FROM HERE?



Julie Kinross



Janet Prowse

In this session, **Julie Kinross, Queensland's Information Commissioner** and **Janet Prowse of the Queensland State Archives** report on the reforms to the management of government information since the commencement of a new policy and legislative framework for access to information from 1 July 2009.

The Office of the Information Commissioner and Queensland State Archives have led significant work programmes to support these changes. There have been lessons learned in the importance of collaboration; what to look for in partners when delivering outcomes for government; and implementation approaches that represent the best return on investment for both the government and the public authority client.

THE FORGOTTEN RM: WHAT YOU SHOULD KNOW ABOUT RISK MANAGEMENT



Stephen Macintosh



Andrew Warland

Why is 'the other RM' so frequently overlooked or disregarded as a proactive recordkeeping strategy in favour of reactive work practices? Why do recordkeepers seem to know so little about the application of risk theory?

In a 'Socratic discourse', **Stephen Macintosh of the Dubai Municipality** and **Andrew Warland, City of Sydney** will explore this link.

Using examples from their many years of professional experience, Stephen and Andrew will outline the strengths and weaknesses of using risk analysis and management as a tool for building and managing a recordkeeping programme.

REMEMBERING IN THE COSTA CHICA: AFRO-MEXICAN COMMUNITIES AND NONTEXTUAL RECORDS

Using the Afro-Mexican community of El Ciruelo, Oaxaca (Mexico) as a case study, **Dr Kelvin White of the University of Oklahoma, USA**, will examine the interconnections



Dr Kelvin White

between the social, cultural, and historical contexts in which recordkeeping activities exist and the implications they have for marginalised or underrepresented communities. **iQ**

- For details on the following key note speakers, see the May 2010 issue of **iQ**: Dr Bettina Schmidt-Czaia, Prof Mariella Guercio, Dr Rod Dilnutt and David Schulz.



Safeguarding Community Identities Stream

WAYS TO SAFEGUARD YOUR RECORDS AGAINST DISASTERS

Detlev Lueth of Blue Shield Australia, Vic will give a brief introduction to the aims and objective of the BSA – ie, the protection of the world's cultural heritage threatened by wars and natural disasters – and will discuss the focus of disaster preparedness strategies.

These strategies help a collecting organisation to deal with risks and should be integrated into their everyday working structures and activities. Furthermore, these strategies should lead to the establishment of a local network/arrangement for assistance between similar organisations and emergency services with the ultimate aim of hardwiring the relationship and building a community which is 'disaster resilient'.

SWAMPED IN INFORMATION? CHALLENGING MINDSETS ABOUT WHAT WE THINK WE NEED

Imagine that you have just taken on the role of information manager for an organisation that has had little exposure to concepts and standards relating to managing information – whether paper or electronic, it's kept just about everything.

Sheryl Mapp of Energy Australia, NSW will introduce you to the Records Truth Test or RTT, a series of questions that you might ask to challenge the organisation's thinking around managing information. The RTT has no allegiance to legislative requirements, or to standards, or to policy and process.



SUSTAINING CORPORATE MEMORY: MANAGING RISKS TO PUBLIC RECORDS DURING OUTSOURCING AND PRIVATISATION

When work is not performed in-house, gaps in the corporate record may present risks to accountability and corporate memory. When outsourcing services, or during privatisation, the responsible organisation must make adequate arrangements for the safekeeping, proper preservation and return of records not in its physical custody. **Karen Morris and Louise Howard of the Queensland State Archives** will present strategies to minimise risk and give an overview of Queensland State Archives' new *Custody & Ownership Guideline: Managing Records during Outsourcing or Privatisation*. **iQ**

Continuity of Evidence Stream



GOVERNMENT 2.0 FUNDAMENTALS: WHERE THE RUBBER HITS THE ROAD

At a recent Government 2.0 conference in Australia, a delegate asked a question of the responsible Minister:

"All these Government 2.0 initiatives are great, but who is going to pay for it, where are we going to find the resources for the public sector to make it happen and how are we going to change the culture of Government to allow cross agency collaboration to flourish?"

David Eade of Objective, Queensland will address these key issues that are front of mind for most public servants.

CAPTURING COMMUNITY IDENTITY: DEVELOPMENT OF THE BROTHERHOOD OF ST LAURENCE TIMELINE

The Brotherhood of St Laurence (BSL) was founded in 1930 and continues today working for a better deal for disadvantaged people.

In 2007, the Brotherhood Executive team developed a new vision for its library by broadening its scope to include knowledge and records management. One of the main

challenges was to organise, capture and make accessible the history of the organisation.

Louise Segafredo of BSL will go through the steps involved in developing the organisation's first BSL timeline, utilising a PBWiki tool. **iq**

DON'T MISS... The RMAA stand

Find out more about RMAA's new career initiative – which incorporates banners, video, website, brochures, attendance at career expos.

Plus you can find out more about our recognised course providers, general information about the RMAA, and details about **inForum 2011**, to be hosted in Darwin, 11-14 September 2011.



Enjoy your off-duty convention time exploring all that the Gold Coast has to offer



For more information on inForum 2010 or to register please see the website: **www.inforum.net.au**

A Trade Exhibition Not to be missed!

As an inForum delegate, you will have the opportunity to visit the Trade Exhibition which runs throughout the convention. There are around 50 stands containing products and services relevant to the records and information industry.

In addition, some of our vendors will be taking part in the education programme, where you can see them talking in-depth about their particular product or service.

But don't just take our word for it that this exhibition is not to be missed – inForum asked some of the convention's major exhibitors why you should visit their stands.

CANON

Why is Canon sponsoring inForum?

inForum is a great opportunity for Canon to help businesses address issues around managing, accessing and protecting the huge volumes of both paper and electronic documents generated each day.

What will you showcase?

Earlier this year, Canon Australia launched Canon Managed Document Services (Canon MDS) as part of its global initiative to provide effective management of a customer's entire document environment. This includes printing devices, user printing behaviour, document management and workflow solutions.

Canon MDS is about partnering with a business to deliver a controlled yet highly flexible, integrated approach to workflow, document and print management. It's about working to find a solution that delivers continual improvement for the customer – saving money, increasing productivity and providing a sustainable approach for environmental responsibility.

After all, print might not be their core business, but it is Canon's.

Why should delegates visit your stand?

While many companies have implemented content management systems to bring order to their electronic documents, they often overlook paper documents. This can lead to significant cost burdens, inefficiencies and security compliance risks. Controlling access to paper documents and overseeing where they're stored and how they're managed can be a difficult process.

Canon's team will be able to discuss document management issues facing business leaders including complex infrastructure, significant document workflows and the management of security and compliance requirements.

The team will use customer case studies to demonstrate how businesses

can increase productivity and profitability while controlling costs and keeping information secure yet easily accessible to authorised users.

OBJECTIVE

Why is Objective sponsoring inForum?

inForum is the leading records and information industry event in Australia. Many of our partners, and current and future customers attend this event, and it's important for Objective to support them and the RMAA members whose contribution to the industry is invaluable.

What will you showcase?

We will showcase solutions that empower public sector effectiveness, efficiency and transparency, helping governments deliver better services to the community at a lower cost. We will demonstrate this through direct customer engagement.

Why should delegates visit your stand?

Delegates can learn more about uCreate and uEngage – our community and collaboration solutions – among other things. They can chat to our Government 2.0 evangelist and Local Government Industry Solutions Manager to find out more about the latest trends in the public sector.

How will Objective benefit from inForum?

Objective provides complete end-to-end solutions for specific business problems. inForum gives us the chance to learn about the different perspectives of business, government and community, as well as giving us direct input from delegates about how we can enhance our solutions to meet their needs.

What do delegates need to know about Objective?

Objective is an established leader and specialist provider of proven content, collaboration and process management solutions for the public sector. For over 20 years we have been trusted by government and Top 1000 corporations to deliver long-term valued business outcomes. Objective has developed world class expertise in meeting the challenges of public sector reform to provide better outcomes to the community.

HP

Why is HP sponsoring inForum?

HP Software and Solutions is excited about the opportunity to showcase our leading enterprise records management solution HP TRIM 7. We will focus on how TRIM 7 provides next generation records management capability to Microsoft SharePoint documents and sites, taking records management rigor to the masses.

Why should delegates visit your stand?

Delegates who wish to understand how TRIM 7 can drive business efficiency and records integrity should visit the HP stand. HP TRIM 7 provides a scalable policy-driven foundation to an organisation's governance and compliance strategy, enabling the management of all corporate information including: Content 2.0, email, documents and physical records.

What will be the benefits for HP being at inForum?

We see inForum as a great opportunity to discuss industry trends and the issues information management professionals are facing on a day-to-day basis.

In recent times we have seen many changes within the industry, with the introduction of new policies and amendments to various acts, such as Freedom of Information reform and the Govt 2.0 taskforce. These changes reflect the need for business and governments to keep in-line with what technology has to offer and how best to utilise this technology to deliver better outcomes for their customers and stakeholders. **IQ**

inForum sponsors





ARE YOU IN THE RUNNING FOR THE OBJECTIVE RMAA ARTICLE OF THE YEAR AWARD?

Objective

RMAA Article of the Year AWARD

All articles published in the last four issues of *iQ* – November 2009 to this August 2010 issue – written by RMAA members or employees of organisations which are corporate members of the RMAA, automatically go into the running for the award. Articles from similarly qualified authors which appear in the RMAA's *iRMA* online annual are also eligible for the award.

From a shortlist of three finalists, the winner will be determined by a panel made up of the incoming Editor of *iQ*, Heather Millar, a representative of the RMAA National Board, and a representative of the award's sponsor, Objective Corporation.

The judges are looking for articles which are original, engagingly written, display a thorough grasp of the subject matter, and which contribute to industry information and debate. Articles can be long or short, the subject matter can be highly technical or light and amusing.

Past winners have included a dramatic account of a famous RM legal case, case studies, and a light-hearted but very effective approach to educating colleagues on the importance of records management – which was republished around the world.

Articles eligible for this year's Objective RMAA Article of the Year Award which have appeared in *iQ* include:

- ***Achieving The Right Balance: Recordkeeping Informatics***, co-authored by **Barbara Reed**, MRMA, (Vic), November 2009 and February 2010 issues. An argument for an informatics approach to the problems inherent in the digital environment.
- ***A Business Classification Scheme As A Tool For Change at the Brotherhood Of St Laurence***, by **Leisa Gibbons**, (Vic), November 2009 issue.
- ***The Cost Of Poor Recordkeeping: Has the penny finally dropped?***, by **Andrew Warland**, (NSW), November 2009 issue.
- ***Barriers To Information Seeking In EDRMS: An empirical study***, by **Pauline Joseph**, ARMA, (WA), November 2009 and February 2010 issues.
- ***Announced NAA Office Closures Take Three States And Territories Off The Records Map***, by **Michael Steemson**, ARMA, (NZ), February 2010 issue.
- ***Malaysian Chapter The Rmaa's First Step Into Asia***, by **David Pryde**, MRMA, (NZ), February 2010 issue.
- ***Walking The Tightrope: Some simple solutions to capturing instant messages as corporate records***, by **Allison Hunter**, (Vic), February 2010 issue.

The Objective RMAA Article of the Year Award will be presented next month, along with a host of other RMAA awards, at the Gala Dinner during the inForum Convention on the Gold Coast. And a number of articles that have appeared in *iQ* over the past 12 months are in the running for the 2010 award.

- ***Mapping Recordkeeping Tasks and Competencies To Salaries: What are you really worth?*** by **Margaret Pember**, FRMA, (WA), February and May 2010 issues.
- ***Do Policies for Managing Electronic Records Matter and Do They Work? A Malaysian and Australian view***, co-authored by **Andrew Warland**, (NSW), February 2010 issue.
- ***Protests Force Rethink Of Naa Closures, But The Future Is Still Uncertain***, by **Kylie Percival**, (SA) May 2010 issue.
- ***Implementing Enterprise Information Management: A research-based approach in two Swedish municipalities***, by **Karen Anderson**, MRMA, (Sweden), May and August 2010 issues.
- ***Ways To Measure The Effectiveness Of A Records Management Programme***, by **Stephen Bedford**, (NSW), May 2010 issue.
- ***Next Generation Catalogues***, by **Leith Robinson**, ARMA, (WA), May 2010 issue.
- ***A Virtual Reprieve: But the challenges remain***, by **Joan Sohl**, ARMA, (NT), May 2010 issue.
- ***Statement Of Knowledge For Recordkeeping Professionals: Updating Tasks, Competencies and Salaries***, by **Pauline Joseph**, ARMA, **Jane Larke**, ARMA, **Alan Ralph**, ARMA, **Dr Roberta Cowan**, and **Megan Whittle**, (all WA), August 2010 issue.
- ***A Whole-Of-Government Efile Request Form For The ACT***, by **Wayne Finlaison**, (ACT), August 2010 issue.

The award's 2010 winner, to be announced at the gala awards dinner to be held at on the Gold Coast on Tuesday, September 7, will receive a 12.1-megapixel Canon IXUS IS digital camera valued at \$499 (RRP), courtesy of award sponsor Objective.

All three finalists, who will be advised prior to the inForum Convention, will also win free tickets to the awards dinner, each worth \$110 (including GST). **iQ**



Hamer Awards winners excellence in



Keynote speaker at the awards presentations, Richard Suhr, head of Google Asia Pacific

Projects which demonstrate excellence and innovation in records management across the public and community sectors in Victoria were recognised at the annual Sir Rupert Hamer Records Management Awards Ceremony held on Thursday 20 May, 2010, at Queens Hall, Parliament House, Melbourne.

The 'Hammers' are named after Sir Rupert Hamer, who was Victorian Premier when the Public Records Act was passed in 1973. Sir Rupert had a longstanding interest in records management and government accountability.

The awards, which are unique in Australia, are offered by the Public Records Advisory Council (PRAC) and have been held by Public Record Office Victoria (PROV) since 1998, and co-sponsored by the RMAA.

Amongst the 120 guests at the 2010 awards night were former premiers and patrons of the awards, the Honourable Jeff Kennett and the Honourable John Cain, as well as Judy Maddigan, MP, Member of the Legislative Assembly for the seat of Essendon, Des Pearson, Victorian Auditor-General, and Richard Suhr, Head of Google Enterprise, Asia Pacific, who delivered the keynote speech on the night.

Winning nominations for projects from the 2009 calendar year were considered by a judging panel consisting of members from PRAC, the Records Management Association of Australasia and the Australian Society of Archivists Inc.



In the Hamer Awards audience Peter Harmsworth, President, Public Records Advisory Council; The Hon. Jeff Kennett; The Hon. John Cain; Judy Maddigan, MP; Justine Heazlewood, PROV

recognised for records management

AND THE WINNERS WERE...

Victorian Government Agency Awards

- **Winner, Small Agency Category**
Municipal Association of Victoria's Enterprise Content Management Steering Committee, for *The Better Practice Guide*, developed for staff working in local government who have recordkeeping responsibilities, the guide was designed as a "how to do" manual and has now been circulated to all 79 Victorian councils..
- **Certificate of Commendation, Medium Agency Category**
City of Boroondara, for their project *Operation Accountability*. An electronic document registration tool, Smart Reg, was designed, developed and implemented at City of Boroondara, and has improved the council's reputation and ability to capture and store records.

- **Certificate of Commendation, Large Agency Category**
Victorian Department of Human Services, for *Linking Vulnerable Victorians to the Records of their Past*, the legacy records of child protection clients, former wards, child immigrants and youth justice clients were migrated into the DHS corporate system.
This has provided a comprehensive search engine for the records of children placed in out-of-home care between 1987 to the present day.
A further key initiative was the completion of the Ward Capture Project, which has added over 50,000 former child client files into their corporate system.

- **Winner, Large Agency Category**
Victorian Department of Transport, for *The Spotswood Exit Project*, which focused on the undesirable conditions in which 15,000 linear metres of records were kept at the Spotswood storage facility. By reviewing the required retention of all records, the Department of Transport transferred 60% of all permanent records to PROV as at January 2010.

Community Archives Awards

- **Winner, Preservation of records of significance to the local community and the state**
Bellarine Historical Society, for *Digitising and Indexing Original School Registers for PROV's Collection*. The project began after a committee member retrieved from the "rubbish" original school registers from two schools on the Bellarine Peninsula that no longer exist.



This year's Hamer Awards Winners: Back row, left to right: David Platt (Municipal Association of Victoria); David Ali (Department of Human Services); John Hennessy (Municipal Association of Victoria); Peter Harmsworth – PRAC; Di Reidie (Brighton Historical Society); Kerri Townsend (Shire of Campaspe). Front row, left to right: Sandra Papashalis (Department of Human Services); Liz Gay (Brighton Historical Society); Pam Jennings & Susie Zada (Bellarine Historical Society); Julie-Ann Mains & Lesley Milburn (City of Boroondara). Not in photo: Katherine Gallen (Department of Transport).

The Bellarine Historical Society has digitised, indexed and transferred the registers the records and a brief history of each school, into PROV's custody.

- **Winner, Projects or programmes that provide greater understanding and accessibility to the Community Archives' archival collection**
Brighton Historical Society, for *Cataloguing the Map and Plan Collection*, with volunteers contributing more than 500 hours of work to digitise their collection. The original records are now preserved and copies are made available for the public to use.
- **Winner, Innovative programmes that ensure local records of significance are accessible and that support Community Archives in operating, expanding and maintaining their collections**
Shire of Campaspe, for their project *Recognising Area Significant Records*. The shire was awarded for its work supporting community groups to become approved Places of Deposit, and for classifying and transferring large volumes of records of local significance to newly established Community Archives.

✱ **For more information on the Sir Rupert Hamer Records Management Awards**, including previous Awards winners, visit: <http://www.prov.vic.gov.au/events/rmham.asp> **iQ**

BY WENDY DAW,
RMAA BRANCH
MANAGER

On the RMAA Grapevine

TASMANIA NEEDS YOU!

The RMAA is always seeking expressions of interest from new and experienced speakers, but some branches struggle to find presenters more than others.

Our Tasmanian Branch is experiencing a drought of speaker interest. If you are a local Tassie information management professional and have something to talk about, we'd love to hear from you.

Alternatively, if you're a sales representative or consultant from interstate who regularly flies down to visit your clients, and would be prepared to give a presentation or host a workshop on a future visit, we'd also love to have you along to share your knowledge.

Most Tassie events are held at lunchtime, and we are happy to work with our speakers to organise events at mutually convenient times. Just don't leave us starved of further education!

- If you're interested in presenting in either Tasmania, another Australian state, or New Zealand, please contact: wendy.daw@rmaa.com.au

HUNTING FOR A VENDOR OR SUPPLIER?

Visit <http://marketplace.rmaa.com.au/>

The RMAA is a professional body, and as such, when we receive inquiries from members and the general public and our members about 'where to find' and 'who sells a widget?', we refer such inquiries to our website. There, interested parties can search under a number of categories to find a vendor, consultant or service provider.

If you deal with a company which doesn't currently advertise online, encourage them to email wendy.daw@rmaa.com.au, or phone 0419 718 820 for an application form. Advertising on the RMAA website is inexpensive and easy to organise.

The more companies that list, the more our members benefit by being able to quickly access information and contact details of companies who offer the services they need. And let's face it, when you're told to get quotes, or compile a list of consultants, the job is made a lot easier when you can find all of the details in one place! **IQ**

Notice of RMAA Annual General Meeting

Notice is hereby given that the 35th Annual General Meeting of the Records Management Association of Australasia will be held on Tuesday, 7 September, 2010. It is to commence at 5:00 pm, and will be held at the Convention Centre, Gold Coast.



To all Members

In accordance with the Constitution of the Association, notice is hereby given of the date and time of the Annual General Meeting of the Association. The closing date for acceptance of any motion of business not relating to the ordinary annual business of the Association will be 5.00 pm on 24 August, 2010.

All items to be sent to Kate Walker, Chief Executive Officer, PO Box 276, St Helens, Tasmania, 7216, or emailed to kate.walker@rmaa.com.au.



Business Proceedings of the Annual General Meeting

- 1 To receive a report from the President on the activities of the Company in the preceding year;
- 2 To receive and consider the duly audited statements of accounts and the report from the Auditors;
- 3 To appoint the Auditors for the ensuing year;
- 4 To transact such other business as shall have been included in the notice convening the meeting;
 - a Constitution of the Company
 - b Change of Company Name – Information Management Professionals Australasia
- 5 To declare the Board members for the ensuing year in accordance with the nominations of persons put forward by each Branch;
- 6 To declare the office bearers of the Executive as determined by the Board from time to time;

Kate Walker FRMA
Chief Executive Officer
Records Management Association of Australasia

Snapshot:

The people who help make us tick:

David Webb, RMAA Finance Officer

David was born in Victoria and has spent most of his life living in areas near the many beaches Victoria has to offer. His high school years were spent at Dromana Secondary College.

After completing high school, he joined the Army and became a Unit Pay Rep, based in Wodonga and then Townsville. After five years in the Army, David felt it was time for a change. He went to work for Child Family Services of Victoria as an administrator, then Crown Casino as a machine attendant and host.

Following that, he joined the Department of Defence in an administrative capacity, working at the Defence Pay and Accounting Centre in Melbourne as a team leader, at first with responsibility for overseas salaries and later for looking after finance discrepancies within the Pay/Personnel reconciliation area.

After seven years with the Department of Defence, David started working with the RMAA.

TRUE CONFESSIONS

iQ asked David some personal questions:

A little known fact about you?

I have a small collection of mystical dragons.

Marital status/children?

I have been married to Maree for four years. Both of us have been married before. I have three sons and Maree has a son.

Your first job?

Part-time baker's assistant at Austin's Bakery in Rosebud. I was 16.

Word that best describes you?

Enthusiastic.

The thing you like best about your job?

The variety in everyday work and the responsibility I have with my position.

The thing you least like about your job?

Being the Finance Officer at this

time of the year – gearing up for the audit!

The most important lesson you've learned?

The most important lesson I've learned was from my father-in-law, who was a fanatical golfer, and who, unfortunately, is no longer with us: "Keep your head down and look at the ball." I think it can be applied to everyday life, not just golf.

Your motto for life?

Nothing ventured, nothing gained.

The award/honor you're most proud of?

I have one award, and that is the Australian Defence Medal, which I received for my time served in the Army.

The book that has influenced you most?

Of Mice and Men by John Steinbeck.

Your favourite movie/s?

I like movies that have a lot of action, and I especially like Sci-Fi. My favourite movies would have to be the set of *Saw* horror movies.

Your favourite singing artist/s?

Michael Jackson, AC/DC, Trace Adkins just to name a few. I like all sorts of music, as long as I can understand the lyrics.

Your favourite restaurant, or favourite dining experience?

My favourite dining experience would be when my wife has whipped up a wonderful home-cooked dinner – you just can't beat Maree's cooking. She has this amazing talent in the kitchen. My favourite restaurant would be Flipping Pancakes in Sassafras, on Mount Dandenong Tourist Road.

Your favourite holiday spot?

Chocolate Garnett's at Apollo Bay.

Your favourite way to spend free time?

Watching movies, going out to the theatre, playing golf, and, of course,



David Webb
RMAA Finance Officer

watching the footy on the weekends – especially a magnificent win for the Brisbane Lions!

The vehicle you drive?

1997 Ford Falcon Futura.

The vehicle you would like to drive?

Ford Performance Vehicle F6 TYPHOON BF Mk II

The luckiest moment in your life?

Well, it has to be the day I met my wife!

Your business philosophy?

Take full responsibility for the job I do, and work hard every day so I can achieve all I want in life.

Your personal measurement of success?

Knowing that I have done my absolute best in everything I do every day.

The thing that has impressed you most about the RMAA?

The way everyone involved with the RMAA, staff and members, pitch in and work together. I am also impressed by the professional way the RMAA is run.

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

As someone who achieved as much as possible in both work and personal life, and who was always willing to help out when needed – no matter what was happening.

Your secret dream or ambition?

To play a round of golf with Vijay Singh, Stuart Appleby and Adam Scott. **iQ**

RMAA Directory

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Continued from page 38

Statement of Knowledge for Recordkeeping Professionals...

have relevance to the recordkeeping discipline, therefore a person with Certificate III in Business Administration applying for a Band 2 position would need to be able to demonstrate that they had completed the relevant recordkeeping units. Similarly, a person with a Bachelor of Applied Science qualification applying for jobs in Band 2 would need to demonstrate that they had completed units in recordkeeping.

Where both vocational and tertiary qualifications have been included in the table, this indicates these activities can be undertaken at different levels of complexity and with different components of theory and practice. The levels of training are suggestions only and need to be considered by the individual and workplace according to their particular contexts, and combinations of experience and qualifications.

It is important to point out that different training options or pathways are listed in each *TCSR*P band to provide flexibility in the remuneration awarded to an individual based on their qualification and relevant work experience. For example, employers may decide to award remuneration in the mid salary scale for practitioners with tertiary as opposed to vocational qualifications, taking into consideration the individual's work experience.

MOVING FORWARD

The contents of the *TCSR*P are currently restricted to Australia, and could be enriched with research to include the associations' membership in Australasia as well.

The WA sub-committee has completed its initial brief and has handed over to the Working Group of the Review of the Statement of Knowledge Coordinators, Marian Hoy, MRMA, Professional Development & Education Officer, RMAA, (marian.hoy@rmaa.com.au), and Dr Sigrid McCausland, ASA, (sigridmcc@optusnet.com.au).

Feedback and review for the *TCSR*P are to be directed to these coordinators. Given the dynamic nature of the *TCSR*P contents, it is subjected to the same review process as its parent publication the *Statement of Knowledge for Recordkeeping Professionals*.

ONLINE ACCESS TO THE TCSR

At the time of writing, discussions were in progress to publish the *TCSR*P with its introduction. This is to be made available in the public domains on the websites of both the RMAA and ASA under the education and professional development links. This will ensure the publication is accessible to members as well as non-members of these associations. **iQ**



BIBLIOGRAPHY

- i Pember, M. (2010). Mapping of recordkeeping tasks and competencies to salaries: What are you really worth? – Part 1. *iQ*, 26(1), 32-34. Pember, M. (2010). Mapping of recordkeeping tasks and competencies to salaries: What are you really worth? – Part 2. *iQ*, 26(2), 40-42.

- ii Department of Education, Employment & Workplace Relations (2007) BSB07 Business Services Training Package. Vols 1&2, Innovation & Business Skills Australia: East Melbourne, Victoria.

- 1 Jointly developed by the RMAA and ASA currently being revised (www.rmaa.com.au/docs/profdev/StatementKnowledge.cfm and <http://archivists.ivt.com.au/sitebuilder/education/knowledge/asset/files/3/sokasa-rmaa.pdf>).

- 2 Training accredited under BSB07 is expected to be delivered to an exacting standard by each provider. All unit outlines are available in BSB07.

- 3 See <http://www.rmaa.com.au/docs/profdev/education.cfm> and <http://archivists.ivt.com.au/sitebuilder/education/knowledge/asset/files/3/accreditation-policiesprinciplesprocedures.pdf> for details

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