iQ / THE R·M·A·A QUARTERLY

The Red Tape Issue

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Coming up in the May 2009 issue of *iQ*:

DOING MORE WITH LESS

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Records Management
Association of Australasia

Send editorial submissions to editor.iq@rmaa.com.au.
Deadline for final accepted copy, April 1.

From The President

DAVID PRYDE
MRMA

RMAA President and
Chair of the Board

Overcoming the Red Tape

> **Red tape is a derisive term for excessive regulation or rigid conformity to formal rules that are considered redundant or bureaucratic and hinders or prevents action or decision-making. It is usually applied to government, but can also be applied to other organisational types such as corporations.**

Quote: "Red tape generally includes the filling out of seemingly unnecessary paperwork, obtaining of unnecessary licenses, having multiple people or committees approve a decision and various low-level rules that make conducting one's affairs slower, more difficult, or both". (From Wikipedia, the free encyclopedia – (http://en.wikipedia.org/wiki/Red_tape)

Is excessive delay and conformity to draconian legislation still the result of self-serving, and officious bureaucrats, adhering to a complicated and siloed process structure, and based on a human intervention and paper world? I think they exist but they are slowly being identified and dismantled by government legislators determined that government must be transparent, accountable and accessible.

In the Information Age, does the idea of "red tape" even exist anymore as organisations (including government) transform their business models from "personal attention" to "online availability"? Or has the phrase been digitally enhanced and rebranded as something else?

The terms "roadblock" and "bottleneck" are adjectives that describe problems or issues affecting process and information workflows in both the paper and digital environments. Yet, is another form of red tape permeating on the records and information landscape?

For records and information managers, "red tape" should be associated with anything that is a roadblock to achieving your strategic goals and objectives or complying with legislation. Should this include software partners who are unable or unwilling to provide the full functionality you originally required in the "Request for Price" process, or later as an enhancement?

What about the financial penalties that organisations incur for opting out of contracts with unsatisfactory or under-performing suppliers? Where is the accountability for poor performance?

Yet, we procrastinate over making the decision to change because of fear of the financial repercussions. Overcoming this form of red tape is as easy as knowing exactly what you want and being specific about how you ask for it. It might take longer to get to this point – but it will be well worth it in the long run.

By providing a "best practice" records and information management framework, we are providing the tools and advice to our organisation that will unblock the flow of information, and assist in the decision-making process leading to enhanced performance, reduced costs and elimination of red tape.

The Australian Public Service Commission (APSC) has produced a report through one of its Management Advisory Committees – looking at reducing "Red Tape" in the Australian Public Service. It is an excellent resource and an opportunity for information managers to add value to their organisation's risk reduction by self assessing and redesigning workflow to achieve greater efficiency.

One of the tools is a checklist that will take you through the process – (http://www.apsc.gov.au/mac/redtape8.htm).

OMBUDSMEN CRITICAL OF AGENCIES' RESPONSE TO OIA REQUESTS

Is it Karma, serendipity or just appropriate that while pondering these issues an article posted on the listserve flashes on my desktop? This is from the NZ *Herald* (dated Thursday 4th December 2008).

The article brought to light issues raised by New Zealand's Chief Ombudsman in her Annual Report to Parliament, suggesting that parts of the Public Service were guilty of "using intentional delaying tactics when responding to Official Information Act (OIA) requests".

It was reported that complaints under the OIA to the Ombudsman's office had increased by 10% over the last year. While it was conceded that in "some cases this was clearly a misunderstanding of their obligations" under the Act, "there is also a regrettable tendency to game the system and delay responses until the complainants' interest in the matter had passed".

As you ponder the articles within, I will let the reader draw their own conclusions on whether government and private corporations are still caught up in the officialdom of a "Dickens world". Or has red tape had a "makeover". I recommend the article for your perusal, as it is not all doom and gloom

From The CEO

KATE WALKER
FRMA MAICD AMIM, MBA, BSC (BAdm),
AdvDipBus (Rkg), DipBus (Adm)

RMAA Chief Executive Officer

iQ / THE R·M A A QUARTERLY

Red Tape Reflections

"It doesn't affect me."
"If I ignore it, maybe it will go away.'"
"'I don't have time for it.'"

These are just a few of the claims that I have been treated to whilst working with this most unpopular of topics, handling policy and compliance specifically relating to records and information management. Unfortunately none of this is actually true, regardless of the size, type or purpose of your business.

For those who haven't caught on, I'm talking about one of businesses' least favourite issues: red tape.

Records and information constitute the lifeblood of an organisation. Though often overlooked as red tape, they are vital strategic, financial, and information assets essential to the successful operation of a business. Many organisations, however, confess to their fundamental ineffectiveness in records and information management.

THE THREE REALITIES

But there are three realities you must accept when facing bureaucratic entanglements:

1 **Regulations are necessary.** You wouldn't intentionally discriminate against an employee because of their sex, disability or race, but sometimes people can feel discriminated against even if no offence was intended. Regulations protect them.

2 **Red tape is here to stay.** This is the hardest message to get across. The government should be praised for its pledge to reduce red tape, but regulations will never completely disappear. Many pieces of legislation may be simplified but few will be removed.

3 **The only way to avoid getting tied up in red tape is to deal with it.** Wishing it away, ignoring it or pretending it isn't there will only cause you problems in the future.

Understanding these three points will help you to beat the burden of red tape. However there are two more obstacles to your dealing with legislation. The first is to be aware of the regulations that affect you. This is crucial. If you don't know that laws exist then how are you supposed to comply with them?

The second is to understand how the regulations affect your business, and what you need to do to comply. It is vital to know what laws apply to you, but useless if you don't understand any of them.

TIPS FOR AVOIDING RED TAPE

Different regulations affect you in different ways, but by doing the groundwork from the word 'go,' you can make sure you are complying and save time, hassle and money in the future. Here are a few tips that get you started.

- **Take a step back from your business and look at it as an outsider.** You will find you can identify many potential problems before they get serious.
- **Don't do or say anything on impulse.** Think before you act. It is very easy to react to an explosive situation. All these procedures that you have to follow take time from the day-to-day running of your business and this adds up to red tape.
- **Know the law.** You would never dream of making a decision on a five- or six-figure contract without all of the available information, so you shouldn't make decisions without knowing what to do when dealing with legislation.

REINFORCEMENTS

No matter how prepared you are to deal with red tape, you'll eventually have to face some part of it. But the battle can be more bearable with help. RMAA provides you with a marvellous network to help you through those battles.

IAM (Information Awareness Month) – May 2009

The purpose of Information Awareness Month is to increase awareness of the breadth of the information industry and the importance of properly maintaining good records and information as it relates to everyone from global corporations through to small business and even the homemaker – in other words "*connecting information and people*".

This commonality of purpose reflects the fact that the various bodies identified are recognised as some of the most widely respected professional bodies in the information management community within not only Australasia but worldwide.

Information Awareness Month is a major collaborative event on the annual calendar. It showcases the various streams of information management and highlights the specialist areas. The ultimate goal of IAM is to ensure the importance and value of information management to the community and to the world as a whole.

Events are being run throughout May in all states and territories. Events can be run jointly or individually, but are marketed as part of IAM. If you would like to help arrange events for IAM, please contact me.

Kate

ABOUT OUR CONTRIBUTORS

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The Members Only section of the website
can be accessed with RMAA membership,
or, outside Australia and New Zealand,
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RMAA WEBSITE
http://www.rmaa.com.au

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NEW PRODUCTS:
Including a new way to
produce, present, and
consume information
electronically.

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FROM THE EDITOR'S DESK

Welcome to *iQ*'s Red Tape Issue. Red tape is today so pervasive in business and government, particularly in the area of FOI, we could have filled several issues of the journal with articles on the subject.

Thank you to everyone who submitted articles and suggestions. I particularly want to thank our industrious Contributing Editor, Mike Steemson, who helped lasso several articles and did much of the groundwork on the 'Brief History of Red Tape' item.

I had my own brush with red tape – the original kind – researching my latest book, *Pasteur's Gambit*. When State Records NSW staff handed me a dusty file from 1888, containing material referring to Premier Sir Henry Parkes' spying on Louis Pasteur's scientific team in Australia, sure enough it was bound with red tape. Faded, yes, but red tape nonetheless.

Enjoy this issue. And put on your thinking cap for the next. The theme is 'Doing More With Less.' As both this issue's lead Industry News item and our On the Record correspondent point out, 2009 is going to be a difficult year.

But, as someone famous once said, difficulties are really opportunities in disguise. So, if you have any ideas, examples, or recommendations on how RIMs can do more with less in every aspect of the job in 2009 and so turn difficulties into opportunities, let's see them!

THANKS TO THE RMS *BULLETIN*

For several years *iQ* has had a close working relationship with Editor Jamie Burton and his colleagues at the Records Management Society of Great Britain's journal the *Bulletin*, sharing knowledge and articles.

In last November's issue of *iQ*, for example, we reprinted an excellent article by Dr Eleanor Burt and Professor John Taylor about Scotland's Freedom of Information Act, which first appeared in the September issue of the *Bulletin*.

From the same issue of the *Bulletin* we have an article by Ibrahim Hasan in this issue of *iQ*, also about FOI.

Just wanted to say thanks for your ongoing help, guys.

WILL THE REAL JON BARRETT PLEASE STAND UP!

In November's issue of *iQ* we ran an excellent article by Jon Barrett of Microsoft Australia, 'The Five Point Diagnosis: Creating better public sector information management systems by knowing why they fail'.

Turns out that the author's photograph we ran with the article was not of Jon.

So, apologies to Jon. I'm assured THIS is the real Jon Barrett shown here.

I hope we got it right this time, Jon. Reminds me of the British brigadier who was highly offended when the *Times* of London referred to him in an article as 'a battle-scared veteran.' Apologising for the typo, the *Times* ran a correction in which it said that what it had meant to say was that the brigadier was 'a bottle-scarred veteran.'

Stephen Dando-Collins
Editor, *iQ* Magazine
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and other explanations are provided. (http://www.nzherald.co.nz/nz/news/article.cfm?c_id=1&objectid=10546136)

I will leave the last word to New Zealand's Chief Ombudsman, who says: "The situation presented an urgent need for agencies to pay closer attention to their statutory obligation under the Public Records Act to keep good records".

Amen to that.

David

10 Things Never To Put In Email

(Via Death By Email Blog by Roger Matus on 3/12/08)
What is the best way to catch the attention of legal searchers and e-discovery practitioners? Perhaps it is by using one of the top 10 phrases that ring alarm bells with them. Elizabeth Charnock, CEO of Cataphora, a provider of e-discovery software, lists them for us:

Thanks to the reader who sent us this from the ARMA Listserv

1 "I could get into trouble for telling you this, but…"

2 "Delete this email immediately."

3 "I really shouldn't put this in writing."

4 "Don't tell So-and-So." Or, "Don't send this to So-and-So."

5 "She/He/They will never find out."

6 "We're going to do this differently than normal."

7 "I don't think I am supposed to know this, but…"

8 "I don't want to discuss this in e-mail. Please give me a call."

9 "Don't ask. You don't want to know."

10 "Is this actually legal?"

If you find yourself typing one of these phrases, perhaps you should delete the entire email!

WORLDWIDE NEWS

12 EXPERT RIM PREDICTIONS FOR THE YEAR OF THE SLUMP

SILVER SPRINGS, MARYLAND: US analyst firm CMS Watch, which evaluates content-oriented technologies, has issued its annual predictions for the world of RIM in 2009, the year when the worldwide economic slump is expected to bite hard into government and business budgets and send RIM and IT executives looking for ways to save money.

CMS Watch founder Tony Byrne said, on releasing the firm's top 12 predictions on December 16, "Obviously, the economic slump will continue to influence buyers and vendors, but other technology developments, including the rise of mobile analytics and new version of MS SharePoint, will also significantly affect enterprise calculations."

CMS Watch expects there to be significant changes in content technology marketplaces in 2009. The firm's top 12 predictions are:

1 Open source enterprise content management (ECM) players will receive an initial boost because of the economic slowdown.

2 Office14 will cast a long shadow on SharePoint.

3 'Taxonomies are dead. Long live metadata!'

4 Regulatory compliance concerns will be reignited.

5 There will be renewed interest in pro-active e-discovery.

6 SaaS vendors will expand their offerings.

7 Oracle will fall behind in the battle for knowledge workers.

8 There will be a new emphasis on application search.

9 Social computing will diffuse into the enterprise.

10 Mobile and multimedia Web analytics will become key requirements, and disrupters.

11 Long-awaited consolidation comes to the Web content management (WCM) space.

12 Buyers will remain in the driver's seat.

Says CMS Watch principal Theresa Regi, "We're counselling buyers to negotiate aggressively."

The changing economy will change a number of business landscapes. So look out for vendors who sink under the economic waves. "Some vendors will endure eroding cash flows better than others," Regi predicts.

SURVEYS SHOW IT EXECUTIVES ARE RESISTING EMAIL ARCHIVING DEMANDS

SYDNEY: A survey of 63 organisations across Australia has found that IT executives are creating a major bottleneck to efficient email archiving.

Carried out by specialist email archiving software firm Proofpoint last October and November, the survey found a disturbing reluctance among IT executives to address the archiving of email.

Despite the fact that email has become the primary form of business communication, creating masses of content that must be managed, and retention of which is subject to increasing government legislation, 54% of respondents do not have email archiving systems in place, and 25% have no plans to implement email archiving.

When asked why they had not, or will not introduce email archiving, IT executives came up with a range of answers; 43% cited cost of email archiving systems as a barrier to procurement; while 30% said that email archiving was too complex and 24% said that email archiving systems are difficult to manage.

Could it be that IT executives are simply more interested in hardware than content,

as RIMs complain, or is the business of managing content just too complex for them?

Commenting on the survey results, Proofpoint pointed out that any organisation with a messaging system in place can and will be asked by the authorities to provide their messages for use in legal cases.

The time in searching emails for relevant records to meet compliance requirements can be daunting, said Proofpoint, citing a 2008 survey in the United States by Osterman Research which found that it took a median of 8 person-hours and two days of elapsed time to satisfy a single data retrieval request, from backups, compared to just 30 minutes for an organisation with an archiving solution in place.

A survey conducted by analyst firm CMS Watch in the US and UK at the same time as the Proofpoint Australian survey found that managers frequently simply fail to understand the difference between back-up and advanced archiving facilities.

"Typically, 80% of mail data consists of simple duplication," said CMS Watch analyst Alan Pelz-Sharpe. "Email archiving tools not only eliminate the redundant data automatically, they can in some instances take the place of existing and highly costly back-up and recovery installations."

• The detailed CMS Watch Email Archiving Report can be acquired online at www.cmswatch.com.

PUBLISHING ALTERNATIVE TO WORD, HTML AND PDF LAUNCHED BY EUROFIELD

SYDNEY: Australian-based Eurofield Information Systems has launched its eComPress Publisher Toolkit to give organisations the ability to produce their own comprehensive and powerful electronic reference and distribution solutions.

The eComPress secret, and chief selling point, is its ability to typically compress content to as little as 10% of its original size, saving disk space and network bandwidth, and is at the same time rich with features including impressive searching capabilities.

Employing its technology, Eurofield had produced electronic versions of publications such as the Macquarie

Dictionary for publishing houses such as John Wiley and Sons, Macmillan and Random House, as well as internationally for publications for the Organisation for Economic Cooperation and Development (OECD), the World Health Organisation, and the National Centre for Classification in Health (NCCH).

The Australian House of Representatives Practice Manual, House of Reps Standing Orders, and the Australian Constitution are used in the Australian Parliament on eComPress versions produced by Eurofield.

The eComPress Publisher Toolkit gives any organisation, large or small, the ability to produce its own electronic publications using its space-saving features. The Australian Broadcasting Corporation (ABC), for example, is producing its SCOSE electronic pronunciation reference in-house using the eComPress Publisher Toolkit.

Eurofield claim that their system is easier than PDF to access, navigate, search and read on screen, while maintaining unmatched compression and encryption, with distribution via CD and/or online.

• For more information, visit www.eis.com.au.

PLEA FOR OBAMA TO UNDO BUSH'S MUZZLING OF GOVERNMENT RECORDS

SACRAMENTO: Joseph Palermo, Associate Professor of American History at California State University, has made a plea for new US President Barack Obama to reverse the 2003 Executive Order issued by his predecessor, George W Bush, that prevented public access to millions of pages of US Government documents.

President Bush' Executive Order 13292 of March 25, 2003, froze the release of all documents that contained what he claimed to be 'sensitive information'. This reversed President Bill Clinton's earlier Executive Order 12958 that allowed the release of such material.

The Order sealed virtually all 'national security' related presidential records from public scrutiny. Worse, Bush gave Vice President Dick Cheney the power to block document disclosures, and authorised US federal agencies to 'reclassify' documents at will to prevent their release.

RMAA AND ARANZ SIGN UP TO INCREASED COOPERATION

WELLINGTON: The RMAA and the Archives and Records Association of NZ (ARANZ) have finalised a Memorandum of Understanding (MoU) for new areas of collaboration.

A joint statement from the ARANZ President, Joanna Newman, MRMA, and the NZ Branch President of the RMAA, Julia Harris, ARMA, issued in December said: "ARANZ and RMAA have many areas of common interest, as they work to support those employed in recordkeeping or otherwise involved as stakeholders.

"Although our two organisations have different focuses and ways of operating, in New Zealand it often makes sense for us to combine our resources or work together. By doing this, we can ensure that recordkeeping professionals have the best possible opportunities for development."

The two organisations already have a history of combined events in Wellington, not least of which is the now-traditional joint Christmas party.

Pictured signing the MoU in December, Joanna Newman (left) and Julia Harris were on their way to the two associations' latest Christmas frolic, *Greens, Jacks and Muslin Gowns*, held at the Victoria Bowling Club in Mt Victoria, Wellington.

During the evening, Joanna, seen here in 19th Century lady's sporting attire, presented a pictorial history of the bowling club, one of Wellington's oldest.

'Bush's ill-conceived and undemocratic order undermines faith in American democracy by creating the strong impression the government has something to hide,' Professor Palermo wrote on *History News Network*, (17/11/08).

Palermo, likening the Bush executive order to the practices of Soviet era governments in Europe, said that Americans could not credibly justify complaints about Chinese or Russian censoring of the Internet while tolerating such censoring of US presidential records.

'Openness and free access to our nation's public records, no matter how potentially embarrassing or shocking they may be, is essential,' said Palermo.

'I hope, and I know, that the vast majority of my colleagues agree with me, that President Barrack Obama will move with haste to reverse this stifling and censorious executive order that only serves to spread suspicion and paranoia about our government's intentions and past actions.'

MANY MORE PRACTITIONERS SEEK SNIA ANZ CERTIFICATION

SYDNEY: The Australasian arm of the Storage Networking Industry Association, SNIA ANZ, has announced a significant increase in the number of information storage industry executives undertaking the SNIA Certification Programme.

Chair of the SNIA Education Committee, Catherine Rosenbrauer, said in a media release that since August 2007 there had been a 100% increase in the number of SNIA certified professionals.

Over the past year SNIA ANZ has partnered with national training organisations to provide education courses providing high quality training to industry professionals.

INTELLEDOX SOLUTION RIGHT ON THE MONEY FOR 3,000 AXA FINANCIAL PLANNERS

CANBERRA: Intelledox, an award-winning Australian software firm, has equipped AXA Australia with a new system that arms more than 3,000 financial planners nationwide with new document creation technology.

Intelledox, founded in 1991, specialises in creating intelligent document automation solutions, with a strong emphasis on the financial services sector.

The Intelledox solution adopted by AXA uses drag-and-drop technology to create intelligent templates which can link to line-of-business software, extracting data from multiple sources to create Statements of Advice and other client-focused documents.

Financial planners all around the country can now access the same centrally-controlled content and styles to produce accurate, high-quality documents in significantly less time than before.

Intelledox claims that the benefits of their solution to users include efficiency gains and adhesion to stringent compliance and disclosure requirements.

In Australia the company has offices in Sydney, Melbourne, and Canberra. It has overseas offices in the UK and US and is represented in Singapore.

SCRAPBOOKS BEING RECOGNISED AS LEGITIMATE RECORDS

NEW ORLEANS: A US archivist has highlighted the need to consider scrapbooks as legitimate records that must be preserved.

Susan Tucker, archivist with the Newcomb College Center for Research on Women at Tulane University in New Orleans, has found that historians, authors, and university students are increasingly using the personal scrapbooks of the famous and the not so famous to increase their knowledge of individuals and their times.

Tucker told Associated Press that the scrapbooks of the likes of famous writers such as Alice Walker, T S Eliot, Ezra Pound, Anne Sexton, Lillian Hellman and Zeda Fitzgerald, wife of F. Scott Fitzgerald, have opened up whole new vistas for researchers, and that scrapbooks must be treated with the same reverence as other records.

RMS GOING BACK TO THE FUTURE AT BRIGHTON

NEWCASTLE UPON TYNE: The Records Management Society (RMS) of Great Britain's 12th annual conference in April returns to the popular south coast English venue of Brighton with a theme of 'Back to the Future'.

Expected to attract 350 delegates, the conference, at the seaside Hilton Brighton Metropole from April 19 to 21, will feature the latest RM trends, techniques and technologies.

The 2007 RMS annual event was held at Brighton, which proved to be one of the most popular conference locations for Society members.

"This year you can look forward to an extensive programme, a bigger and more innovative exhibition, and a fun-packed social programme," said RMS Chair Dr Paul Duller.

Key themes to be explored at the 2009 conference are 'Standards in Practice', 'Training and development', 'Technology', and 'Transformation and Change'.

• For more information, visit www.rms-gb. org.uk/conference.

KIWI PUBLIC SERVANTS OFFICIALLY BLASTED FOR DELAYING FOI REQUESTS

WELLINGTON: Parts of New Zealand's public service have been blasted by the Office of the Ombudsmen for using intentional delaying tactics when responding to Official Information Act (OIA) freedom of information requests, the New Zealand Press Association reported in December.

New Zealand's Chief Ombudsmen Beverley Wakem, in her annual report to the NZ Parliament, said the office had observed "an increasing tendency by a few government departments and ministerial offices to ignore the provisions of the OIA over the timing of responses to requesters".

She revealed: "While in some cases this was clearly a misunderstanding of their obligations, there is also a regrettable tendency to blame the system and delay responses until the complainants' interest in the matter had passed."

The number of complaints received under the OIA increased by 10 per cent over the past year to 897, said the NZPA.

The Office of the Ombudsman noted an increasing complexity in investigations because of information not being documented in an orderly manner, or not even recorded in writing at all, a situation highlighting an urgent need for agencies to pay closer attention to their statutory obligation under the Public Records Act to keep good records. The Act, legislated in 2005, is due to come into full effect in 2010.

Ms Wakem was also critical of government staff poorly trained in dealing efficiently with requests. She said: "In the absence of any other agency assuming responsibility for improving this situation, the Office of Ombudsmen has developed a training programme and is providing workshops on request to help agencies meet their responsibilities under the OIA and other information legislation." **iQ**

NZ Privacy Commissioner Reveals Secret of RM Success

WELLINGTON: The Office of the Privacy Commissioner has put its stamp of approval on a new records management system that has transformed the way the Office operates.

When the New Zealand Public Records Act 2005 was passed by New Zealand's Parliament, the Office of the Privacy Commissioner saw the opportunity to improve their knowledge sharing culture and information management processes, to place them at the forefront of information management best practice.

The Office of the Privacy Commissioner is an independent Crown Entity that was set up in 1993 under the Privacy Act. The Office works to develop and promote a culture in which personal information is protected and respected.

Located in Auckland and Wellington, the Office of the Privacy Commissioner is responsible for a wide range of functions. It monitors, researches and reports on matters relating to privacy, and has an educational and outreach role in promoting the understanding, acceptance and protection of individual privacy.

The Commissioner provides independent and impartial services to investigate and conciliate complaints of an interference with the privacy of an individual; scrutinises legislative and other proposals that may affect privacy; issues codes of practice; and assesses and monitors authorised information matching programmes carried out by government agencies.

BEST PRACTICE INFORMATION MANAGEMENT

With the need to manage an increasing number of electronic documents, the Office embarked on a project to implement a Document Records Management System (DRMS) to improve knowledge sharing and to meet the requirements of the Public Records Act.

Gary Bulog, General Manager, Office of the Privacy Commissioner, told *iQ*: "The Office of the Privacy Commissioner is an organisation that promotes the responsible use of information. Government organisations look to us for information management best practice. It is imperative that our information management strategy is correct."

> "THE OFFICE WORKS TO DEVELOP AND PROMOTE A CULTURE IN WHICH PERSONAL INFORMATION IS PROTECTED AND RESPECTED"

Prior to this project, the Office's legacy information management system consisted of network drives, databases and spreadsheets for recording information and managing processes. This system created significant challenges and fostered an organisational culture which inhibited collaboration and knowledge sharing practices.

With the support of the Privacy Commissioner, the Office launched a project to implement an enterprise-wide DRMS that would:

- Create a central information repository to break down information silos and encourage greater knowledge sharing.

- Ensure compliance with the Public Records Act 2005.

- Effectively retain and locate corporate memory and information assets.

- Maintain the integrity of information by creating a "single source of truth".

- Improve responsiveness to enquiries and customer service by streamlining processes.

- Replace a legacy complaint management system used to investigate and conciliate alleged breaches of individual privacy.

- Enhance knowledge management by improving the capture, access and security of information used to support decision-making.

- Improve management reporting and oversight.

"Prior to embarking on the project, our people were accustomed to doing things their own way," said Gary Bulog, "and there were no definitive guidelines on how information was handled or classified. This was particularly concerning as information is the core function of our organisation and it exposed us to considerable risks."

PARTNERING FOR SUCCESS
The DRMS project was a significant investment for Office of the Privacy Commissioner. They sought a supplier whom they felt could work with them in a true partnership.

"Choosing the right solution was important to us, but equally important was choosing the right partner and project team," said Gary Bulog. The

> **THE BENEFIT OF OBJECTIVE IS THAT IT MITIGATES THE RISK OF INFORMATION LOSS AND MAINTAINS THE INTEGRITY OF THE INFORMATION WE HANDLE «**

Office awarded the contract for their new DRMS to Objective.

"We met with the regional Objective project team during the tendering process and valued the commitment and credibility the team demonstrated to ensuring the success of the project. They invested time in understanding our business and what we needed from the project," said Mr Bulog.

CHANGING THE ORGANISATIONAL CULTURE
A significant component of the project was focused on change management to ensure the successful deployment of the system across the entire organisation.

"We were conscious that in order to be compliant with the Public Records Act and to address our existing information management challenges we needed everyone in the Office to be on board.

"To ensure the success of the project, we implemented and delivered a change management strategy. We were progressing from disparate pockets of information to a structured business classification. In doing so, we had to ensure continuation of business as usual", said Mr Bulog.

The staff were active participants of the selection and implementation process as a part of the change management strategy. The following key elements helped contribute to the change in organisational culture:

- The project team consulted each functional area about their information management and business classification requirements.

- Key representatives from each

functional area were involved at every stage of the project's design and implementation, including in the selection of Objective.

- Power users were identified as Objective advocates and supported by their in-house System Administrator.

- All staff were kept closely informed throughout the project.

"One of the main reasons why our change management strategy was successful was that the Privacy Commissioner saw the value of the DRMS, and she owned and sponsored the project. Having the Chief Executive's sponsorship meant that this project was driven both from the top down and bottom up. This is vital for the success of any project," said Mr Bulog.

BUSINESS CRITICAL BENEFITS
The solution had to provide an environment that encouraged information sharing and removed existing silos of information, while providing accountability and integrity of all records. It also had to act as a case management system to handle the investigation and conciliation of alleged breaches of individual privacy.

The Objective DRMS has become the 'single source of truth' for the Office of the Privacy Commissioner. It has allowed existing processes to be streamlined which in turn has helped increase productivity and efficiency across the organisation.

"The benefit of Objective is that it mitigates the risk of information loss and maintains the integrity of the information we handle" said Mr Bulog.

LEGISLATIVE COMPLIANCE AND QUALITY ASSURANCE

The creation of a single information store has made it easier for the Office to meet its reporting requirements – both for internal management purposes and for external reporting such as the Statement of Intent and Annual Report. Whereas before, the required information might have had to be pulled together from a variety of sources, it can now be drawn from a single source.

The system's reporting functionality allows the Office to monitor and report on its functions and activities with greater ease, consistency and reliability. The use of pre-defined reports saved within the DRMS streamlines the process and makes the Office less vulnerable to the absence of key staff.

Objective's ability to create documents from pre-defined templates has made the generation of standard or routine documents much more efficient. It has helped ensure a higher level of consistency, and improved the level of quality assurance reviews required for documentation. By providing a uniform approach to creating and managing documents, staff can more readily find the information they require to do their jobs.

SINGLE SOURCE OF INFORMATION

The Office's new DRMS is also used as a case management system which replaces an eight year old, stand-alone legacy complaint management system. Objective manages the process of investigating and conciliating alleged breaches of individual privacy in the same single solution.

To manage cases, the new DRMS is used to capture all incoming complaints. They are either scanned into the system or saved into it if received by email. The system's custody functionality and custom metadata then tracks the progress of a complaint as it is investigated and conciliated by the Office.

Investigators based in both offices create and maintain in their new DRMS all documentation in relation to complaints. The DRMS acts as both the case file and the repository for all information throughout the lifecycle of an investigation.

Eliminating legacy systems and information silos has helped cultivate an information sharing environment. This has allowed for improved communication between teams and offices.

OPERATIONAL EFFICIENCY

The Office of the Privacy Commissioner's operations are highly information intensive. They receive a vast array of information – both electronic and paper. Approximately 6,000 enquiries a year are received via phone, fax, email, letter or visit. This includes approximately 650 alleged breaches of individual privacy a year. All of these transactions contribute to the 200,000 documents that they manage.

The new DRMS is used as a holistic solution performing document management, contacts management,

Gary Bulog

case management and correspondence management. This has streamlined the Office's information storage, retrieval and security and has allowed geographically dispersed staff to focus on core functions while improving response times to customers.

To maximise user adoption, the Office of the Privacy Commissioner required a solution that could easily integrate with its existing information technology infrastructure so there would not be any major changes to how staff worked.

Objective's integration with Microsoft Outlook appealed to the Office because of its simple, familiar interface. It allows emails to be easily stored into Objective and helps minimise mailbox storage usage.

"Ease of searching within Objective has also improved the Office's response times to external enquiries, and confidence that the information provided is accurate and up to date," said Mr Bulog.

THE FUTURE

Because their new DRMS is scalable for the Office's needs – an important consideration as they have a small, geographically dispersed operation – management can now review future needs of the system and ascertain what other functionality they can utilise moving forward.

"We need to be at the forefront of sound information management and will continue to work closely with Objective to adhere to that standard," said Mr Bulog. **iQ**

Lighting the Way

Late last year, **DAVID PRYDE** became the new National President and Chair of the Board of the Records Management Association of Australasia (RMAA). Here, David discusses his role, the role of RIM in business and government, and the RMAA's role, in a stormy economic future.

iQ: David, congratulations on your election to the position of RMAA President and Chair of the Board late last year. When you first entered the records management profession in 1999, did you imagine yourself heading up the industry's Australasian peak body a decade later?

David: Thanks for your Kind words. No, I never would have believed it possible. I knew that I wanted to get involved and be a part of the Association, and would have been happy just as a member. Philip Taylor (longtime Queensland Branch President of the RMAA) was one of my tutors at TAFE, when I was studying for the Cert IV in Records Management in Queensland. He always talked about the RMAA with passion and sincerity, and about it being a support tool for us to plug into.

I was also fortunate enough to "learn the trade" under a records manager who was as committed to the Association as Phil was, who supported my personal development and created opportunities for me to engage with the RMAA – day registration to the International Convention in Queensland and other local events, for example.

iQ: **You have been involved in building the RMAA from the ground up, as founding president of the Association's Auckland chapter. What was it like, building that chapter of a new association – new to New Zealand – from scratch, in New Zealand's largest city and in competition for members with other industry bodies?**

David: Firstly, my personal experience within the RMAA leadership has been serendipity of "biblical" proportions. I'm not claiming divinity. Far from it. It's just that I have been fortunate enough to be presented with many opportunities for involvement since becoming a professional member.

With the withdrawal of ARMA from NZ shores, a core group of recordkeepers were looking for something to fill the void of personal development and association to a community of practice. The foundation of the RMAA NZ Branch went a long way to filling that gap, but due to the tyranny of distance, Auckland was isolated from this newly created network.

I was originally contacted to attend a meeting of Auckland's records professionals with a view to forming a chapter, but then I was telephoned by Mike Steemson, who asked me in his most "charming and unassuming way" to host it.

Mike attended, and chaired the meeting, and I spoke on my experiences with the RMAA in Australia and the value of a professional association to practitioners. After about an hour of presentations and answering questions we asked those in attendance to indicate their preference for the formation of a chapter, which was accepted.

I was nominated for president, not for my leadership style or experience in the profession but being one of only two professional members in the region – required by the chapter bylaws – probably helped. That was opportunity number 1.

In the beginning we had 2 to 3 events per year and attendances were good, confirming the decision to form a chapter. As with all groups, our hardest hurdle is to find people to fill gaps on our committee. Work commitments, family, sports, and employers who aren't interested in professional development make it difficult for people to commit to voluntary associations.

However there is a core group of people that have been involved from the beginning, and to whom I owe an enormous debt of gratitude. Today we have many new people involved in the chapter, from all sectors, who bring much enthusiasm and new ideas that will keep us fresh and exciting.

Interview Snapshot

- There are ways RIMs can impress senior management with the importance of RM in tough financial times.

- The RMAA has to adapt and adopt the same technology and business drivers as everyone else, only faster.

iQ: **What key lessons did you learn from that chapter-building exercise?**

David: That people, whether professionals or not, are always looking – sometimes unknowingly – for association with like-minded people. They are also looking to expand their knowledge base and skills, and if you can provide a channel to that enrichment, then people will support it.

An example of this can be seen in every branch, chapter and special interest group that the RMAA has. These all contain a base and formal membership which fluctuates up or down from year to year. They also contain a number of people who don't want to be formal members yet, but still attend events for the networking and personal contact.

I've also learned that our events management has to target the themes and issues that are important to our members, not be repetitive, and must appeal to all levels of the profession.

iQ: **You have previously said that the "honour" you were most proudest of was being nominated to the RMAA National Board by the New Zealand Branch of the RMAA. Did you have initial reservations about taking on that role?**

David: Oh, yes, I most certainly had reservations. Firstly, fear and self-doubt whether I had the experience and appropriate skills to contribute to the processes that affect all of our members. There are better educated, more experienced and more charismatic people in our membership than me. But it's not about me. We are a team whether at board, branch or chapter level, and it's integrating those traits that makes us stronger.

Secondly I was worried that the director's role would adversely affect my job performance, chapter responsibilities and time with the family. Time and stress management become important tools in your strive for balance across these areas. But I managed to keep the balance.

About the interviewee

DAVID PRYDE began his RIM career in Brisbane, Queensland, working in local government. In 2000 he moved to Auckland, New Zealand, where he worked in information management roles with North Shore City Council. He became a founding member and first president of the Auckland Chapter of the RMAA, NZ Branch member and later joined the National Board of the RMAA, becoming vice president in 2005.

At the September 2008 Annual General Meeting of the RMAA, David was elected Chair of the Board of the RMAA. That same month, David was appointed Records Manager at New Zealand's Auckland University of Technology.

iQ: **How did your preconceptions of the National Board, and your role on it, change once you joined the Board?**

David: I guess my misconceptions of the National Board were biased by the portrayal of high profile corporate boards in the media, literature and movies as self indulgent, junket taking figures that are estranged from the membership and have no clue as to what is really happening in the world.

Those misconceptions were quickly shattered when I attended the Directors Induction and my first meeting. Our directors are real people, no different to any other member of the Association. They are facing the same issues in their family and professional lives, have setbacks and victories, and come from a variety of employment sectors – bringing many skills and work experiences.

Members of the National Board, branch and chapter councils are not paid or remunerated for their time or efforts. They are volunteers who share a common desire to raise the profile of the records and information profession, ensure its sustainability for future generations and to facilitate a greater acceptance of the value of our members and the records they administer.

iQ: **So, what does the Association's National Board physically do? What sort of decisions does it make?**

David: I'm glad you asked that question. It gives me an opportunity to clarify the roles of the National Board and the CEO. In a "Not For Profit" organisation with a CEO, the board's role will be similar to that of a company board – to govern, not manage.

The basic precepts of good governance are fundamental to all organisations – having a board charter, well defined roles and responsibilities for board members, appropriate financial knowledge, accountability and transparency to members, shareholders and stakeholders.

The board of directors acts on behalf of shareholders – the members – and is accountable to them, in overseeing and governing the RMAA. It is the Board's responsibility to identify the RMAA's direction and goals and it is the CEO's responsibility to decide how to implement these plans.

iQ: **Specifically, what are the National Board's responsibilities?**

David: The board sets and reviews the medium and long term goals of the RMAA in consultation with management. In the financial area it approves budgets, monitors business performance, approves large investments, determines appropriate remuneration for the executive team, and makes any other major financial decisions.

The Board appoints the CEO, and evaluates their performance. It monitors the control framework to ensure major risks are identified and managed. Importantly, it challenges the assumptions of management. It has to ensure there is accurate financial reporting and that the organisation complies with all aspects of the law.

The board must also ensure the continuing development of the executive management team, and make provision for succession planning.

iQ: **How often does the National Board meet? And where does it meet?**

David: The RMAA Board is required by our constitution to meet at least 4 times a year. It meets at various locations, dependent on strategic direction and financial balance.

iQ: **And what responsibilities does the Association's CEO have?**

David: Our CEO is the head of the executive team and manages the day–to-day operations of the organisation, its people and resources. The CEO implements the board's strategy and ensures that the organisation's structure and processes meet the strategic and cultural needs of the organisation.

I think the board's most important role is to appoint and work with the CEO. In practice the two are mutually dependent. The RMAA National Board relies on the CEO to provide input into strategic development, implement strategy, communicate management's perspective and alert the board to growing issues.

The CEO relies on the board for clear direction, mentoring and support, and in turn develops and recommends business plans for the board's consideration, submits reports, budgets and financial statements to the board, and oversees the financial management of the organisation.

It is the CEO's job to maintain awareness of the business, economic and political environment as it affects the Association, and to ensure compliance with legal and regulatory obligations.

>> "I ENJOY RECEIVING QUESTIONS OR COMMENTS FROM MEMBERS – AS IT ALLOWS ME TO STAY IN TOUCH WITH HOW THEY ARE FEELING AND WHETHER WE CAN TWEAK SOMETHING TO IMPROVE OUR SERVICE DELIVERY" <<

iQ: So, it's not like the board of a business enterprise?

David: They're alike in name and structure only, I hope! The boards of corporations are singularly focused on one fundamental goal – to sell sufficient goods or services to ensure good dividends for their shareholders. As it should be.

Our strategic aim is to build a sustainable "community of practice" emphasising collaboration to promote, to enhance and develop the records and information management profession, the RMAA and our members.

iQ: How much of your time does the new role of President demand?

David: Whatever is required. Like all things, you can have quiet and busy periods. I'm finding that I have to read more, and certainly write more. I enjoy receiving questions or comments from members – as it allows me to stay in touch with how they are feeling and whether we can tweak something to improve our service delivery.

But I couldn't put a time on it. However, it is not burdensome or effecting other priorities in my life. I believe that once you make a commitment to anything, you should give it everything you have to give.

iQ: How do your employers at Auckland University of Technology feel about your work for the Association?

David: I'm fortunate that my employer is proactive in the support of their staff's personal and professional development. Every staff member at AUT has a personal development plan, budget and study leave to attend training that will enrich their expertise and increase their worth, personally and to the organisation.

Any activity that enhances the reputation or professional standing of AUT employees, is also seen to enhance the reputation of the university as well.

iQ: You once said that your favourite movies are 'Kelly's Heroes' and 'The Good, the Bad , and the Ugly' – both stories about rough and ready non conformists who shrug off heavy odds as they go in quest of success. Does that say something about your approach to getting things done?

David: I play by the rules, especially in a profession that expects others to. We must be exemplary in this area, if we want others to follow our advice. There are rigid rules and then there are rules which can be manipulated. Knowing the difference helps.

I have always loved these movies, and never tire of them. Putting them into my professional context, each starts with a man and a plan, no resources, and a team of oddballs that are considered worthless by everyone else. The hero must first motivate the oddballs to have faith and trust in him, although against perceived insurmountable odds.

Then, using the skills and experience of the oddballs, he finds solutions "outside of the box", for a successful resolution for each roadblock along the way. Does this theme sound familiar?

iQ: 'One Step Ahead,' a book by successful Australian national rugby coach Rod Macqueen, made quite an impact on you. That sounds like you're a rugby fan. Has your support for the Wallabies made life hard for you in rugby mad New Zealand? Or do you divide your loyalty between the Wallabies and the All Blacks?

David: Rod Macqueen was successful because he identified problems or roadblocks, then put processes in place that empowered every member of the team and encouraged them to find solutions together. Isn't that the "perfect world" that records managers are looking for?

I have to admit it has been "lean times" of late, but I still wear my Wallabies attire with pride, and am a financial member of the ACT Brumbies. I would like to answer your question in three words, particularly for my New Zealand friends – two World Cups!

I do like to see the All Blacks dismantle other teams, however I could never bring myself to barrack against Australia.

iQ: How do you perceive the role of today's records manager? As a guardian, or as a service provider?

David: We have always been guardians of the corporate memory and service providers and will continue to be so, that is the dilemma we face. Senior management has a perception that these are our only roles and many records managers support that perception by not looking to add value to the organisation in other areas.

We should be transforming into "enablers" of corporate enhancement through improved service delivery to the business as well as the customer, corporate advisors on all things that touch information and developing more methodology around processes that monitor and ensure data or records quality.

iQ: Can some records managers' customer skills be improved?

David: We should never stop learning – as new ideas and technology are always upon us. I believe that records managers should be improving Change and Project Management skills, as a reflection that this model is prevalent in most implementations.

iQ: The theme of this issue of *iQ* is 'Overcoming the Red Tape.' As a records manager, what is the most annoying form of red tape to your mind?

David: Anything that impedes the "real time" flow of information or hinders the decision making process. For example, numerous and siloed databases in an organisation carrying duplicate information that must be updated, one by one.

Then there's lack of attention to corporate workflow and processes that could be made more efficient and cost effective – if a records management framework was in place.

iQ: How would you go about overcoming those problems?

David: Education from within, and getting runs on the board. Spend some time learning how the organisation works, one process at a time and make recommendations – pilot projects preferred – that either improve efficiency or save money. Believe me, after you showcase a few successes, management will be coming to you.

iQ: And the best form of red tape?

David: A process that mitigates the risk of uninformed decisions being made due to lack of information or over-zealousness.

iQ: In your ten years in the industry, have you seen a change in the attitude of senior management to RM?

David: When I first joined the Association, three out of every four job descriptions that came across my screen included membership of the RMAA and or a qualification – usually Cert 4 – in records management as standard inclusions in any "Ideal Candidate" specification. Now there are maybe one in five.

Knowledge management and content management systems are being sold as "silver bullet" solutions and suddenly records management is a costly overhead. Records management is seen as an artifact of a paper world, forgetting that the record and not the media is our focus. Transformation to Web-based services, is also taking its toll, however the records manager can fight back, and better still, win.

The tide will slowly turn back to records management once it is discovered that these pretty new toys are still reliant on good, old fashioned records management principles. As tools for providing and managing information, reducing costs and improving services they are first rate, if they are founded on identification, capture, classification and disposition management.

iQ: How do you think the RMAA can influence changes in attitude of senior management in business and government to RM?

David: By providing more high level events aimed at their level, which is provided in language they understand. Further, by enhancing our relationships and alliances with legislating bodies to tackle the issue together. It would also provide much needed credibility to our case if more of our professional members submitted articles and case studies for publishing in "mainstream" information management publications as well as our own *iQ* journal.

iQ: We have seen the world economy take a severe blow recently, and many organisations have and will take a blowtorch to their budgets. With this in mind, the theme of the next issue of *iQ* is 'Doing More With Less.' What are the most constructive and effective ways that records managers can justify RM expenditure to senior management?

David: Many organisations still don't see the value of records management as a core business activity and facilitator of efficiency across that organisation. As a result many of our members have been doing "much with less" for a long time.

Actions speak louder than words. Identify small projects that can be achieved quickly, cost effectively and that will get "runs on the board". Ideally look for projects that can reduce storage space, make customers more efficient, or even generate a revenue stream.

In my own work sphere, I am undertaking a corporate audit of the university. As part of the discovery and documenting process – as we discover new secondary storage areas – we are remediating as we list, removing duplicates, folders or ephemera and boxing "like with like". This is already highlighting current inefficiency, identifying data sets and reducing storage costs. Saving money – on the bottom line – is always well received by management.

iQ: Will the economic downturn be a driver for some industry associations to more seriously consider joint activities, such as combined conventions, or even amalgamation, to survive?

David: Co-hosting of events has been happening for a number of years and is becoming more prevalent. While conventions and other events are increasing, the advertising and marketing budgets of vendors and the personal development budgets of organisations aren't.

Amalgamations may come into consideration for some organisations who fail to keep pace with the evolution of the profession. However, I don't believe that we will be forced into that option.

iQ: What can the RMAA do to make itself more visible to and more influential among leaders in government and business?

David: More events aimed specifically at them, lobbying and having more of our members on international and local RM forums and committees. And changing our message from one of "facilitating compliance" to "improving the bottom line".

iQ: What can the RMAA do to make itself more attractive to members?

David: We should continue to provide resources and tools that are specific to their needs, along traditional and contemporary communications channels.

iQ: What, to your mind, are the key roles that the RMAA performs?

David: Advocacy, governance, knowledge, community. That's what we're all about.

iQ: What's your pet hobbyhorse?

David: Australia and New Zealand have some of the finest business school faculties in the world, yet they hardly pay any attention to records management as a core business activity in their curriculum models. If we want records management to be acknowledged as a "career of choice" then it needs to be imbedded in all business qualifications as a starting point.

There is certainly an advocacy role for the RMAA here.

iQ: Where do you see yourself in five years time, personally and professionally?

David: Still playing a role in the RMAA, even as a mentor for a rising star in the profession. Where ever there is a need. You can take the records off of a records manager but you will never take records management out of his body and soul. While I still have the passion and love for what I do, I will continue doing it somewhere.

iQ: Where do you see the RMAA in five years time?

David: As the recognised peak body for records & information management in the Asia Pacific region. With legislators and the media coming to us for comment or advice on records and information management issues.

I would hope that our sphere of influence would have spread beyond our current shores by that time, and contain at least one branch in the Pacific and another in Asia.

iQ: If you could give the RMAA a slogan that embodied its future mission, what would it be? 'An agent for change.' 'Lifting awareness, standards, and professionalism'? '"Leading the information industry'? Or what?

David: At the 2008 RMAA International Convention the theme was "Adopting and Adapting". A recurring theme over the three days of that convention for me was just that. We have to be a little of all those things to all people – agents for change, lifters of awareness, standards, and professionalism, leaders of the information industry. If we cling to our niche role of the past then we will miss the opportunities presented in the future, to our own detriment.

The RMAA has to adopt and adapt to the same technology and business drivers, only faster, so that we are ably placed to guide our members with advice, resources and tools to cope with the changes they are experiencing.

iQ: Guiding the way through the storm?

David: Exactly! We must remain a lighthouse, built on deep and solid records management principles, utilising technology and new thinking and adapting it to our frameworks to enhance our services and corporate outcomes. **iQ**

iQ: Thanks, David. Best wishes for every success in your new role.

ON THE RECORD

Back to Basics and Managing Expectations in 2009

IT organisations may now be considering technologies for implementation. Normally, emerging technology trends, such as Web 2.0/cloud computing, would be nominated as reaching maturity for the year. But in 2009, we at IBRS believe, the focus will be on productivity increases, as well as cost savings and investments that must deliver.

BY **GUY CRANSWICK**

Consequently, technologies or applications like: Web-oriented architectures, social software and social networking will stop. These may not come back until 2010, depending on the depth of the economic slowdown.

When the economy takes a hit, IT departments tend to avoid 'risky' or unproven technologies. Cloud computing, enterprise mashups, Web 2.0 and collaborative applications will be put into the 'too risky' basket. During 2009 IT managers and their finance colleagues will defer non-value-adding standards and concentrate on the core business.

TWO WINNERS

The problem for some technologies, as they try to defend their purpose and role in a downturn, is their weak business case and lack of track record. Unified communications is a case in point here.

But IBRS does foresee two IT winners in the new landscape. Firstly, virtualisation will grow strongly this year. It delivers proven payback as it avoids and delays hardware purchases. The second reason for its growth in tough times is that virtualisation enables IT to align infrastructure SLA to business demands more efficiently.

The economic downturn, coupled with the rise of Intel Virtualisation, will accelerate the transition from proprietary UNIX/RISC server to commodity Intel server for large workloads, thus hastening Sun Microsystems' decline.

Secondly, Green IT may flourish as it can be applied tactically to save power on desktops, right through to larger structural changes within organisations.

IT security may not be a high profile issue in 2009, but it

> "GREEN IT MAY FLOURISH AS IT CAN BE APPLIED TACTICALLY TO SAVE POWER ON DESKTOPS, RIGHT THROUGH TO LARGER STRUCTURAL CHANGES WITHIN ORGANISATIONS"

will not be ignored either. Particular attention will be given to security technologies which can help deliver value despite reduced staff. Tools which help with provisioning users, as well as password resets, will rise in importance.

One other and very large non-technology consideration will be how to manage the reduced expectations in organisations that have experienced many years of growth.

With cutbacks, tight resources and staff losses, senior managers will have to manage people better and possibly help them through a new career experience. **iQ**

About the Author

GUY CRANSWICK is an advisor with information technology consultants IBRS in Sydney. He specialises in marketing communications, media platforms and channel strategy, including areas of business planning.

Guy has previously worked as Strategy Manager for Initiative Media in the UK and as director of European Operations for Modem Media (Poppe Tyson), a Web marketing and development company, in France.

In Australia, Guy was Senior Analyst with both Jupiter Communications and later at GartnerG2, covering Asia-Pacific business and online strategy. He was the winner of the Australian Institute of Management 2003 article prize.

Overcoming the Red Tape

Let us begin with
A Brief History of Red Tape

We have been bound up in red tape since time immemorial, or so it seems. Our lives are ruled by it. Probably the only people who have to deal with more red tape than records and information managers are lawyers. And it was legal petitions that we have to thank for it all.

The origins of "red tape" are somewhat obscure, but it is first noted in historical records in the 16th century, when Henry VIII besieged Pope Clement VII with around eighty or so petitions for the annulment of his marriage to Catherine of Aragon, says Wikipedia.

National Geographic magazine agrees, reporting: "The reams of red ribbon like those attaching the seals are said to be the root of the term 'red tape'. In spite of the ribbon and seals, the request was denied."

The petitions from Cardinal Wolsey and others of the king's toadies of the time are stored in the Vatican archives, rolled and stacked in original condition, each sealed and bound with the red tape. Red was and is the colour denoting a Cardinal, a senior official of the Catholic church.

The tradition of binding documents and official papers with red tape continued through the 17th and 18th century. Charles Dickens may have used the term before him, but the practice was popularised by Thomas Carlyle (1795-1881), the Scots essayist and satirist, in his protest against official inertia with expressions like "Little other than a red tape Talking-machine, and unhappy Bag of Parliamentary Eloquence".

An iQ Special Feature

HISTORY'S LEGACY
The small Derbyshire market town of Wirksworth, in England's Midlands, was said to be the primary producer of British Government red tape (by this time, actually not red but pink, because red dye was very expensive) in the 18th Century from two cotton mills, Speedwell and Haarlem, both of which are still manufacturing fibre products today.

The story goes that by the 19th century senior British civil servants in India were instructing their Indian clerks to bind documents which required their attention with red tape. The more red tape surrounding a document, the higher its importance.

Within British civil service ranks, for a file to be bound in a lot of red tape came to indicate that the contents were of the highest importance and were of a secret, delicate, or complicated nature, and as a consequence were invariably wearisome to deal with. **iQ**

>> "THE REAMS OF RED RIBBON LIKE THOSE ATTACHING THE SEALS ARE SAID TO BE THE ROOT OF THE TERM 'RED TAPE'" <<

Capture and Release:

The importance of recordkeeping in a pro-disclosure environment

Does RM have a role in helping government cut through red tape? Australia's Public Service Commissioner puts the case that good recordkeeping supports efficiency and accountability through the creation, management and retention of meaningful, accurate, reliable, accessible and durable records of important government activities and decisions.

BY **LYNELLE BRIGGS**

As you will be aware, there is an increasing amount of information available today and an ever-growing number of records created by public sector agencies. You may also know that the Federal Government is committed to increasing the transparency and accountability of government decision-making.

As a result, the need for excellent records management practices is paramount.

THE IMPORTANCE OF KEEPING RECORDS

Over the past few decades, recordkeeping in the public sector has been influenced by an increase in public scrutiny through administrative law reform and parliamentary oversight, and an increased emphasis on achieving results. This increased scrutiny means that recordkeeping needs to be an important part of every job.

It is important to remember that every public sector employee has an obligation to ensure that the records they create are kept appropriately and that useful or important information is available to other staff in their agency, where appropriate. This message needs to be given to staff regularly.

The latest Management Advisory Committee report number 8, *Note for file: A report on recordkeeping in the APS,* considers that it is timely for all public servants to have a sharper focus on effective recordkeeping. This report has an intentionally practical focus, providing clear advice to APS employees on what a record is and reminding us that not all documents created are of high value or need to be managed corporately.

From a service-wide perspective, the APS Values, together with the APS Code of Conduct, play an important role in defining key behaviours linked to performance. The APS Values require APS employees to:

- Be openly accountable;
- Be apolitical and professional;
- Be responsive to government;
- Achieve results and manage performance;
- Act with care and diligence; and
- Use Commonwealth resources in a proper manner.

With the Government's increased focus on transparency and accountability, these behaviours are important for ensuring APS employees meet the government's expectations and are themselves open and accountable.

STATE OF THE SERVICE RESULTS

There is a strong emphasis on improving recordkeeping across the APS. Each year, I report to Parliament on the state of the public service. In my most recent State of the Service Report, released last November, almost all APS agencies, in fact 98% of them, reported undertaking at least one measure to improve recordkeeping, with 86% of agencies using four or more measures.

The most common measures used by agencies include:

- Policies and/or guidance to help employees understand the information that needs to be created, received and maintained in agency recordkeeping systems;

- Specific training to assist record creators and users to meet their recordkeeping responsibilities, and

- Contingency arrangements aimed to ensure that in a disaster vital records are available to enable the agency to resume business.

Most progress has been made in agencies identifying vital records – both paper and electronic – as part of their business continuity planning processes.

The good news is that most employees continue to consider good recordkeeping practices to be very important.

However, employees are slightly less likely to agree that they understand their responsibility in relation to creating and maintaining records and think that an important aspect of their job is meeting their recordkeeping responsibilities.

It seems that, in spite of the high priority agencies have given to recordkeeping and the fact that employees themselves generally recognise the importance of recordkeeping, employees still don't have enough time to perform these functions adequately, nor do they feel that recordkeeping in the agency has improved.

It may be that employees' views will improve as more efficient and effective electronic systems are introduced to relieve the burden. Agencies, however, cannot rely solely on this but must continue to provide support and commitment from senior management in order to ensure that recordkeeping becomes an integral part of an agency's governance processes.

REDEFINING A RECORD AND HOW IT CAN BE USED

The Australian National Audit Office's 2006-07 performance audit on recordkeeping agrees that a 'key element of sound public administration and accountability is the adequate recording of the business of government'.

This report raised a number of concerns about the effectiveness of three APS agencies in managing records. In particular, the ANAO found that managing electronic records continues to pose challenges for agencies in ensuring compliance with relevant recordkeeping requirements, especially in relation to the capture and retention of all relevant records created electronically, and the capacity to ensure the long-term access, integrity and functionality of these records.

The definition of the term 'record' has evolved to encompass a greater range of pieces of information. A good rule of thumb, as you would all be aware, is that if you can read it or obtain information from it, then it is a record.

The Special Minister of State, Senator John Faulkner, announced on 23 October this year that the Australian federal Archives Act has been amended to clarify the definition of a record. This means that a record no longer needs to be in a concrete form and electronic records now have the same status as paper records.

Story Snapshot

- The Rudd Government came into office with a policy of increased government openness and transparency and improvements to FOI.

- A government commitment to good RM will facilitate a more open and accountable public service culture.

›› "IT IS MY VIEW THAT AS MUCH INFORMATION AS POSSIBLE ABOUT GOVERNMENT DECISIONS AND ACTIONS SHOULD BE IN THE PUBLIC DOMAIN" ‹‹

These changes will make it much easier for the National Archives of Australia, and agencies, to determine what's in and what's out in terms of recordkeeping, management and archiving.

The Minister's announcement obviously has implications for the disclosure of information, particularly through requests under Freedom of Information laws.

In my State of the Service Report, agencies were asked about the processes used to store corporate emails that are useful or important records, as the official corporate record in the agency. The responses show that agencies continue to rely on traditional practices designed for paper records, with most agencies printing and filing into registered paper correspondence files.

However, there is also recognition that an increasing proportion of records are being created electronically and this can be seen in the continuing growth of saving into a corporate electronic document and records management system (EDRMS).

While the use of electronic systems has improved many aspects of work in the public sector, it has also made it easy for agencies to adopt more ad hoc or substandard record-keeping practices.

In terms of the importance of certain records, if there is a degree of public interest in the subject matter, this will invariably raise the value of a record. This also demonstrates the importance of maintaining these records properly, as they are more likely to be disclosed.

TRANSPARENCY, ACCOUNTABILITY, INTEGRITY

It is my view that as much information as possible about government decisions and actions should be in the public domain. This is consistent with the Government's views on the transparency, accountability and integrity of the public service and government decision-making.

In other words, the more transparent the actions of governments are, the cleaner they tend to be – the higher their ethical and administrative standards. And the more comfortable the public will be that they are getting value for money, that policy challenges are being dealt with effectively, and that their personal information is open to scrutiny by them.

A greater focus on pro-disclosure would obviously have an effect on the way records are created, maintained and disclosed.

There are several pieces of legislation, aside from the Archives Act, which set out how Commonwealth records should be used, disposed of or disclosed. These records also assist APS employees to perform their duties efficiently, effectively and ethically.

ACCESSING GOVERNMENT INFORMATION

We know that Australians regularly and routinely get access to their personal information held by Government, and that more general government information is available today than ever before, particularly via the Internet. So, why all the fuss about accessing government information?

In a nutshell, to me the fuss is about effective government decision-making on the one hand, and about defensive government reactions to information requests and associated administrative imposts on the other hand.

Good recordkeeping supports efficiency and accountability through the creation, management and retention of meaningful, accurate, reliable, accessible and durable records of important government activities and decisions.

Retaining the corporate memory of government also ensures that we maintain audit trails necessary for public accountability and transparency.

The issue for public servants is that there is a category of information that is in the 'grey' area. This includes advice the public service provides to its Ministers and the records created in the development of that advice. It's not so much that this information if made public is a risk in itself, but the way it is used and interpreted, and how this can in turn damage and constrain the free conduct of policy development and advice, which is the risk.

The real possibility that documents may be released under the FOI Act, for example, reinforces the responsibility on employees to maintain a high degree of professionalism in their work and the importance of appropriate record management.

FOI EXEMPTIONS

Of course, under FOI legislation, agencies can refuse to provide access to a document where an exemption provision applies.

Exemptions are based on what is 'necessary for the protection of essential public interests and the private and business affairs of persons in respect of whom information is collected and held'.

The exemptions are designed to provide a balance between the rights of applicants to access documents and the need to protect the legitimate interests of the government and third parties who deal with government.

Exemptions exist to protect classes of documents, such as Cabinet documents and documents subject to legal professional privilege, irrespective of their content. They also exist to protect documents based on their content, where release would impact on an identified public or private interest.

I would like to see an increase in the amount of relevant information on government decisions being made publicly available on a more routine basis. This would mean agencies would only be able to claim an exemption in very particular circumstances.

DISCLOSURE OF INFORMATION

We gained an insight into how classified information might be used if releasable under FOI with the recent media coverage of confidential communications between the Secretary of the Treasury and the Governor of the Reserve Bank.

The media reported that the Governor of the Reserve Bank had raised concerns over the bank deposit guarantee scheme in a letter to the Secretary of the Treasury.

This letter was leaked to a national newspaper; the reported implication being that this was a matter where there was disagreement between the main economic players in a time of great uncertainty.

The reports were raised at a Senate Estimates hearing and resulted in further, significant media coverage. During the Senate Estimates hearing, questions were raised over whether it was in the public interest to reveal the details of the advice given to Federal Cabinet. This information was subsequently released, creating what might be considered a potentially risky precedent.

The nature and extent of coverage that this matter received reflected a misunderstanding about our system of government, the role departments play in providing advice to the Government, and the Cabinet system.

There are very few policy proposals that go to Cabinet with which all parties agree, or agree without qualification.

This difference of views serves to keep us sharp, stimulates debate, and ensures without prejudice that all the pros and cons are fully explored and understood by Ministers.

Ultimately it is the decision of the Government about what decision to take, and the Cabinet process ensures it makes an informed decision.

However, if this process becomes publicly accessible, the risk is that both public servants and the Government won't have the confidence to be so open and frank in the debate or to explore important new policy directions.

This could also potentially lead to records surrounding the discussion and deliberation of important policy directions not being created at all.

BEING RESPONSIVE, AND PROVIDING FRANK POLICY ADVICE

Public servants would not like a situation to develop where they are asked by their Ministers not to conduct research, not to give them 'bad news', not to present the full range of options or to pressure them to give softer advice that is closer to the Minister's known political position, and not to write anything down for fear of its release.

Ministers would feel equally annoyed if public servants self-censored their advice or refused to advise them in writing about the pros and cons of what may subsequently be revealed as a rather silly idea once implemented.

Of course, it is equally important for there to be open and robust public debate on many issues. And there are times within the policy process when this is appropriate and necessary.

The best public policy is informed by the widest spectrum of public views. Even an unpalatable but 'good' policy is made better by understanding why it is unpalatable and how best to ameliorate this.

I would like very much to see more open debate on policies. However, this requires more responsible behaviour on the part of the media, lobbyists and opposition political parties. And it requires public servants to ensure that they continue to provide comprehensive advice in writing, and for Ministers to accept that that advice should properly be made public as a true test of government accountability processes. ●●●⋮

I also agree that we have to be realistic about today's information age and the expectations of the public. We need to make sure we're keeping up with the technology and media available and use it for the public good.

And we need to ensure that effective recordkeeping is a priority for all public servants in order to deal with the increasing complexities of public administration. This is also the case when determining responsibility for recordkeeping in specific situations, such as with committees and task forces.

FREEDOM OF INFORMATION REFORM

On 22 July this year, Senator John Faulkner announced the first step in broad ranging reform of Australian Freedom of Information law, representing the most significant overhaul of the FOI Act since its inception in 1982. Senator Faulkner confirmed the Government's commitment to reforming the Commonwealth FOI Act and to promoting a pro-disclosure culture across the Government.

Cabinet has agreed to the first step in the process – to abolish conclusive certificates. This will remove the power of Ministers to use conclusive certificates to refuse access to documents despite a decision by the Administrative Appeals Tribunal that the documents should be released.

Applicants who are dissatisfied with an agency's decisions under the current legislation can seek a review of those decisions. The AAT can review most decisions of agencies under the FOI Act, including the decision to issue a conclusive certificate.

Once conclusive certificates are abolished, the AAT will be able to undertake full merit reviews of a decision to claim an exemption. The legislation abolishing conclusive certificates was introduced into Parliament in the last week of November and has been referred to the Senate Standing Committee on Finance and Public Administration, which is due to report by 10 March 2009.

Following consultation with external stakeholders and portfolio Departments, the Government also plans to release an exposure draft of FOI reform legislation for public comment and consultation by early 2009, with a view to introducing the bill in 2009.

THINGS TO CONSIDER

The Government could consider a number of things as it explores its options For example, Queensland's recent FOI review, which recommended that Cabinet papers should be released after 10 years rather than 30 years.

Meanwhile, New Zealand releases Cabinet papers immediately. It's important to understand that New Zealand exempts advice to Ministers, and Queensland's review recommends introducing specific exemptions for Ministers' briefs, possible parliamentary questions and estimates briefs for three years to ensure that the information flow between the Minister and the public service is protected.

The status of our exemptions is a key issue for public servants and the media alike. Internal working documents, confidential communications between officials and Ministers, and advice to Ministers are currently exempt, subject to a public interest test.

We need to consider carefully whether policy advice to Ministers and other such confidential material should be exempt or not and, if so, for how long? Alternatively, perhaps the public service could prepare more options papers that could be released so the pros and cons and factual analysis were made public as a

matter of course, leaving exempt the handling and directional briefs to Ministers that build on that advice.

Moving beyond FOI Act processes, the Government might consider simply making more information automatically available on the Web. It could be that statistics, survey reports, focus group outcomes and factual research work could be released immediately, with evaluations and discussion papers released after a period, giving Ministers and officials time to consider their implications first, and with Cabinet papers being released after 10 years.

There might also be value in a system of nationally uniform FOI and release laws across all jurisdictions in Australia, rather than the current hotch potch of different regimes.

In the latest State of the Service Report employee survey, a number of staff identified the need for more consistency in the application of FOI within and across agencies; for agencies to be more willing to give people information under FOI; and for a more open exchange of information with the public through websites and online discussion forums.

Consideration could be given to making information that has been released following an FOI request publicly available to all by publishing it on the Internet. This way the benefits of information released to one party would be provided at the same time for everyone in the wider community who has an interest, which might encourage a more balanced coverage of the issues.

Building on the Australian Government's desire for a much more open disclosure environment, it could encourage officials to move beyond administration of the FOI legislation along "black letter law" lines towards the spirit of the original legislation which was about access to information.

I note in this regard that the Queensland review found that it has become commonplace that if a document is classified as falling within an exemption, this provides a prima facie case against disclosure, and the review proposed that access should always be granted unless disclosure, on balance, is contrary to the public interest.

Much could be gained by encouraging open dialogue between public servants and those making FOI requests so that the requests can be narrowed down to what is actually required, thereby avoiding the collection and review of numerous documents, draft papers and emails, and thus ensuring that the person's enquiry gets answered at least cost to us and to the enquirer.

For obvious reasons, it isn't smart for governments to criticise the media, but as a public servant, I can say that the media should accept some responsibility for the current state of FOI. The extensive use of FOI by editors has contributed significantly to the current impasse by their flooding of government with deliberate fishing expeditions and requests designed specifically to embarrass Ministers.

I'd like to see more sensible – and less sensationalised – reporting of the information released within an accurate context, with the not unreasonable intention of informing the public, consistent with the principles under which most journalists operate.

CONCLUSION

Increasingly, we have a more educated Australian public who demand accountability in government decisions, would like to be more engaged in how those decisions are made, and who expect to be kept well informed.

About the Author

LYNELLE BRIGGS is the Australian Public Service Commissioner. Over 28 years with the Australian Public Service she has spent time in the former Department of Social Security, the Department of the Prime Minister and Cabinet, the Treasury and the then Department of Health and Aged Care. Lynelle also lived in Wellington NZ for two years in the late 1980s while working with the New Zealand Treasury.

In 2001, Lynelle joined the Department of Transport and Regional Services as Deputy Secretary. She was appointed Australian Public Service Commissioner in 2004, and was reappointed to the position in 2007.

As Public Service Commissioner, Ms Briggs is responsible for the ethical and employment leadership of the Australian Public Service. She administers the Public Service Act, and provides a range of support services to the Australian Public Service. She is most well known for her annual State of the Service Report.

This article is based on a speech delivered to a joint seminar of the Records Management Association of Australasia & the Australian Library and Information Association at the Australian National University, Canberra, ACT, on 4 December 2008.

They expect governments to behave accordingly - to release information at will and to engage in on-line policy discussions, new ideas summits and community cabinets.

These expectations are being replicated in the Courts, where material that would have once been withheld is now being released.

I have no doubt that the public's trust in government would increase if more information was released, and released willingly, rather than begrudgingly.

The Rudd Government came to power with a very clear policy to make government decisions and practices more open and transparent and to reform FOI arrangements.

As part of those considerations, I expect they will review what is happening overseas and in Australian States and Territories to find a way to both protect confidences between the public service and Ministers, and to provide more information in a timely and less process-driven and costly way.

In the words of Senator Faulkner recently to Transparency International: "Transparency and accountability are worthy aims in themselves. Their overarching significance, however, is found as a buttress for integrity in government, the bedrock of public trust for government action".

So, what does this mean for records management? In essence, I think it is important that we continue to encourage a more open and effective information disclosure environment, coupled with a commitment to improve recordkeeping within agencies, which hopefully will facilitate a more open and accountable culture within the public service.

I don't profess to have all the answers, and I acknowledge that change won't happen automatically, but I do want to see more of a pro-disclosure culture within the public service.

It is important that we all recognise that as our information environment changes, so does the importance of effective recordkeeping. **iQ**

Freedom of Information: Recent UK Decisions

CONFIDENTIAL

In the United Kingdom, the Freedom of Information Act 2000 (FOI) continues to surprise and baffle public sector information managers. Every month there are an average of twenty decisions made by the Information Commissioner and eight by the Information Tribunal.

BY **IBRAHIM HASAN**

Section 21 allows a public authority to withhold information which is reasonably accessible by other means. This means pursuant to another legal right of access, through the public authority's publication scheme or where the information can be downloaded from an accessible website.

Decisions about the section 21 exemption often place emphasis on the words "reasonably accessible". A public authority cannot just point an applicant to a large website for him/her to trawl through for relevant information to his request. It would be different if it provided a link or some other direct reference to where the requested information can actually be found.

This was the ruling of the Information Tribunal in Christopher Ames v Information Commissioner and Cabinet Office (28 April 2008). The Tribunal stated that the Information Commissioner was wrong to agree with the Cabinet Office's (27/09/2007 Ref: FS50150319) decision to apply Section 21 to a request for details of the person or persons who drafted the executive summary of the Iraq dossier just because some information relevant to the request was on the Hutton Inquiry website.

The Tribunal stated that Section 21 requires that the information requested is accessible by other means; it is not sufficient that there is other information (or evidence) accessible which is "relevant to the request".

FOI & LOCAL GOVERNMENT EMPLOYEE COMMUNICATIONS

Local authorities are increasingly being asked, either explicitly or by implication, for internal correspondence between officers and between officers and councillors. Section 36 (2) (b) allows information to be withheld if, in the reasonable opinion of the qualified person, disclosure: "would, or would be likely to, inhibit:

(i) the free and frank provision of advice, or

(ii) the free and frank exchange of views for the purposes of deliberation".

This exemption was claimed by Cumbria County Council (18/03/2008 Ref: FS50122585) when it was asked for details surrounding its decision to close a literacy centre in Carlisle. The information was identified by the council as correspondence in the form of letters and emails between officers and councillors, between different officers of the council, and also one letter received by the council from an MP.

Story Snapshot

- Recent British FOI decisions have found in favour of the public's right to know over government employees' right to privacy.

- Commercial in confidence cases show that, where a government agency is in competition with private enterprise, privacy issues can defeat FOI requests.

In his decision, the Commissioner emphasised that section 36 is not a blanket exemption. At paragraph 23 he states: "…The question is not "what would happen if this sort of information was disclosed", but the narrower question, "what would happen if 'this particular' information was disclosed". The distinction can often lead to a different outcome as the question requires a much more specific consideration of the relevant factors in the particular case."

The Commissioner concluded that it was unreasonable for the council to apply the section 36 exemption to emails between officers of the council. They were merely clarification emails between officers in the normal course of their employment and did not have a political element to them.

However in relation to correspondence between officers and councillors, the Commissioner ruled that the section 36 exemption was applicable, but that the public interest in maintaining the exemption did not outweigh that in disclosing the information in this instance.

He considered that the information was not particularly sensitive at the time the request was made as the policy had already been voted upon by councillors. Disclosure would be unlikely to cause a severe or frequent detriment to the decision-making process by inhibiting the ability of elected representatives and council officers to discuss matters freely.

The Commissioner gave greater weight to the public interest in the promotion of better government through transparency, and informed and meaningful participation by the public in the democratic process.

》》 **"DECISIONS ABOUT THE SECTION 21 EXEMPTION OFTEN PLACE EMPHASIS ON THE WORDS "REASONABLY ACCESSIBLE""** 《《

REVEALING IDENTITIES OF PUBLIC SECTOR EMPLOYEES

Another difficult FOI issue is whether the names of those public sector employees attending a meeting should be disclosed pursuant to an FOI request. The tension is between the individual's right to privacy and the public's right to know how those employed by the public sector are carrying out their official roles.

The Information Tribunal's decision in The Department for Business, Enterprise and Regulatory Reform v Information Commissioner and Friends of the Earth (29th April) gives further guidance on this point including whether the names of private sector employees should be disclosed.

The request was for information about meetings and correspondence between Ministers and/or senior civil servants in the Department of Business, Enterprise and Regulatory Reform's (BERR) and employees from the Confederation of British Industry (CBI). Some of the documents relevant to the request included references to individuals who had attended such meetings as spokesman or as note-takers or bystanders. The Tribunal had to consider to what extent such names were personal data and so exempt under section 40. At paragraph 101 it summarised the position as follows:

a) Senior officials of both the government departments and lobbyist attending meetings and communicating with each other can have no expectation of privacy;

b) The officials to whom this principle applies should not be restricted to the senior spokesperson for the organisation. It should also relate to any spokesperson.

c) Recorded comments attributed to such officials at meetings should similarly have no expectation of privacy or secrecy.

d) In contrast, junior officials, who are not spokespersons for their organisations or merely attend meetings as observers or stand-ins for more senior officials, should have an expectation of privacy. This means that there may be circumstances where junior officials who act as spokespersons for their organisations are unable to rely on an expectation of privacy;

e) The question as to whether a person is acting in a senior or junior capacity or as a spokesperson is one to be determined on the facts of each case.

f) The extent of the disclosure of information in relation to the named official will be subject to usual test; i.e., is disclosure necessary for the applicant to pursue a legitimate interest, and, even if it is, is the disclosure unwarranted due to the harm caused to the individuals by disclosure?

This will largely depend on whether the additional information relates to the person's business or professional capacity or is of a personal nature unrelated to business.

APPARENTLY CONFLICTING DECISIONS

Consider the cases of Calderdale Council and City of York Council who both received separate requests for details relating to the retirement packages of former directors. Both councils refused to disclose the information, stating that the information constituted personal data and so was exempt under section 40. The Information Commissioner agreed that the disclosure of personal data would, in both cases, be unfair.

>> "ON THE FACE OF IT, THIS DECISION SEEMS TO FLY IN THE FACE OF THE GENERAL PRINCIPLE THAT THE PUBLIC HAVE A RIGHT TO KNOW HOW THEIR MONEY IS BEING SPENT" <<

In the light of theses cases, it seems surprising that the Commissioner recently ordered Doncaster College (19/03/2008 Ref: FS50165354) to disclose the severance payment to its former principal following a disciplinary investigation. Again the issue is whether there is an expectation of privacy on the part of the subject and if that expectation is reasonable.

Doncaster College pointed to a confidentiality clause in the compromise agreement between itself and the former principal. This was similar to one relied upon by City and County of Swansea (02/10/2006 Ref: FS50071454) to refuse to disclose the severance payment to its former Chief Executive. In that case the Commissioner agreed that the section 40 exemption applied.

The distinguishing feature in this decision was that the principal would have known about the Learning and Skills Council's Guidance for Colleges on the Production of Accounts. This contains an express requirement on colleges to disclose the amount of severance costs for each year.

The accounts of the college, to be published at a later date, would therefore contain details of the principal's severance payment and would be a matter of public record accessible to anyone. Therefore the Commissioner did not consider that disclosing the information at the time of the request would have been unfair or that the principal's expectation of privacy was reasonable.

COMMERCIAL IN CONFIDENCE ISSUES

Over the years there have been many decisions of the Information Commissioner and the Information Tribunal on the section 43 (commercial interests) exemption. They have espoused the general rule that the price paid for goods or services by a public authority should be disclosed as being in the public interest.

It may therefore come as a surprise to hear that the BBC (17/03/2008 Ref: FS50086077) was recently successful in withholding the cost of its new weather graphics system on the grounds that disclosure would prejudice its and its suppliers (a company called Metra) commercial interests.

On the face of it, this decision seems to fly in the face of the general principle that the public have a right to know how their money is being spent. But in agreeing with the BBC the Commissioner gave weight to the fact that the system under discussion does not have an off-the-shelf price that is generally available, rather in each case purchasers are likely to enter into detailed discussions about which features of the current system are required together with any additional new features. This, together with a number of other factors, will affect the price at which Metra offers the system.

The Commissioner agreed with the BBC that disclosure of the price paid in isolation, is likely to place Metra at a disadvantage when negotiating other contracts. Potential customers will try to use this price as a bargaining tool, without being aware of the other factors taken into account when the BBC selected Metra as its supplier.

The Commissioner was also satisfied that disclosure of the information would, or would be likely to prejudice the BBC's commercial interests. In reaching this decision the Commissioner considered the fact that is not a one-off contract; indeed it is due to expire in less than three years time when it may be extended or a new system procured. If the price the BBC paid for this system was known to rival suppliers they would then be in a position to artificially inflate the winning bid.

In considering the public interest in transparency, the Commissioner's view was that it is not clear that disclosure in this case would be of significance to the public. In order for information of this nature to be of great value to the public they would require access to information about the costs to other broadcasters of commissioning similar systems.

Other Public Service Broadcasters are subject to FOI, specifically S4C and Channel 4, but the remainder of the broadcasting industry is not. Without information about other broadcasters' programme costs, the requested information is of less value to the public as a whole; however it would have particular value within the industry potentially exposing the BBC to commercial prejudice.

In short, the Commissioner felt that the BBC should not be placed at a disadvantage against its commercial rivals not subject to FOI by having to disclose information about costs especially where such costs would not add to the public understanding significantly and where value for money controls and information is already available through other mechanisms. **iQ**

About the Author

IBRAHIM HASAN is a director of Act Now Training and a consultant with IBA Solicitors, in the UK. He produces a two-monthly freedom of information podcast reviewing all the latest British FOI decisions. It can be downloaded from his website: <www.informationlaw.org.uk>

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MAKING RED TAPE TRANSPARENT
With an Enterprise-Wide Strategy

Organisations today are faced with the challenge of dealing with millions of documents for sometimes hundreds of years. All of it is bound up in figurative red tape of one kind of another, some imposed by legislation, some created by organisations themselves. Only by adopting an enterprise-wide strategy can that red tape be made transparent so that documents can be efficiently accessed and managed.

BY **GRAHAM PULLEN**

Story Snapshot

- Many organisations create their own internal red tape with information silos that slow, limit or prevent information sharing.
- An enterprise-wide content management strategy is the only way to ensure transparency.

The sheer volume of documentation and the duration of storage is a somewhat unique challenge that places extra emphasis on archival and long-term storage. As a result, control and management of active documents is too much of an overwhelming task to have them managed in silos throughout departments, divisions, and geographies, as is often the case.

Forward-looking companies are adopting an enterprise-wide strategy to consolidate document or content-centric applications, and create a holistic, centralised view of business information across the organisation.

An enterprise-wide content management strategy improves information sharing across departments and supports critical processes for the compliant management of all paper and electronic records and documents.

In the past, organisations have focused heavily on the document management aspect of content management, and neglected issues such as retention, archival, workflow and reporting. An enterprise-wide strategy encompasses the entire content lifecycle from creation and approval through to retention and disposition.

In addition to the benefits of information sharing and reduced duplication of efforts, companies and government agencies are recognising the pure cost advantage of a single enterprise content management (ECM) system for the housing of all business content.

By deploying a single ECM platform for areas such as the management of finance and operational content, research development documents, customer record information, standard operating procedures (SOP), and quality control documents, enterprises can lower the total-cost-of-ownership of content management technology.

With integrated business performance enhancement capabilities such as business process workflow, group collaboration, and intelligence reporting, organisations can automate processes on top of their content management platform.

A true enterprise approach touches on a wide range of technologies and business processes. For example, a content management system may support the following industry-specific applications:

- Regulated content approval and control.
- Submissions content management and assembly.
- Quality issues tracking and corrective and preventative actions. management
- And learning management.

    And the following enterprise applications:

- Records management.
- Contract and vendor management.
- SAP content archiving.
- Internal controls and corporate governance.
- Litigation support and eDiscovery.
- And email management.

OVERCOMING INTERNAL RED TAPE

As stated earlier, organisations are choosing enterprise-wide content management strategies to improve information sharing and decision-making among teams, and to address compliance requirements.

However, many departments tend to create their own internal red tape by retaining silos of information, making information sharing unnecessarily difficult, and even sometimes impossible.

Often, these silos are the products of an organisation's management history. Other times they are created and guarded by possessive managers. At best this barrier to information sharing costs the host organisation money; in health, social welfare, legal, policing and military environments, it can cost lives.

To be successful, organisations must choose to break down that red tape and open up those silos of information, identifying departments and processes that need to be incorporated into an enterprise-wide strategy.

Examples of two data and document-intensive processes that would benefit from a centralised approach to enterprise
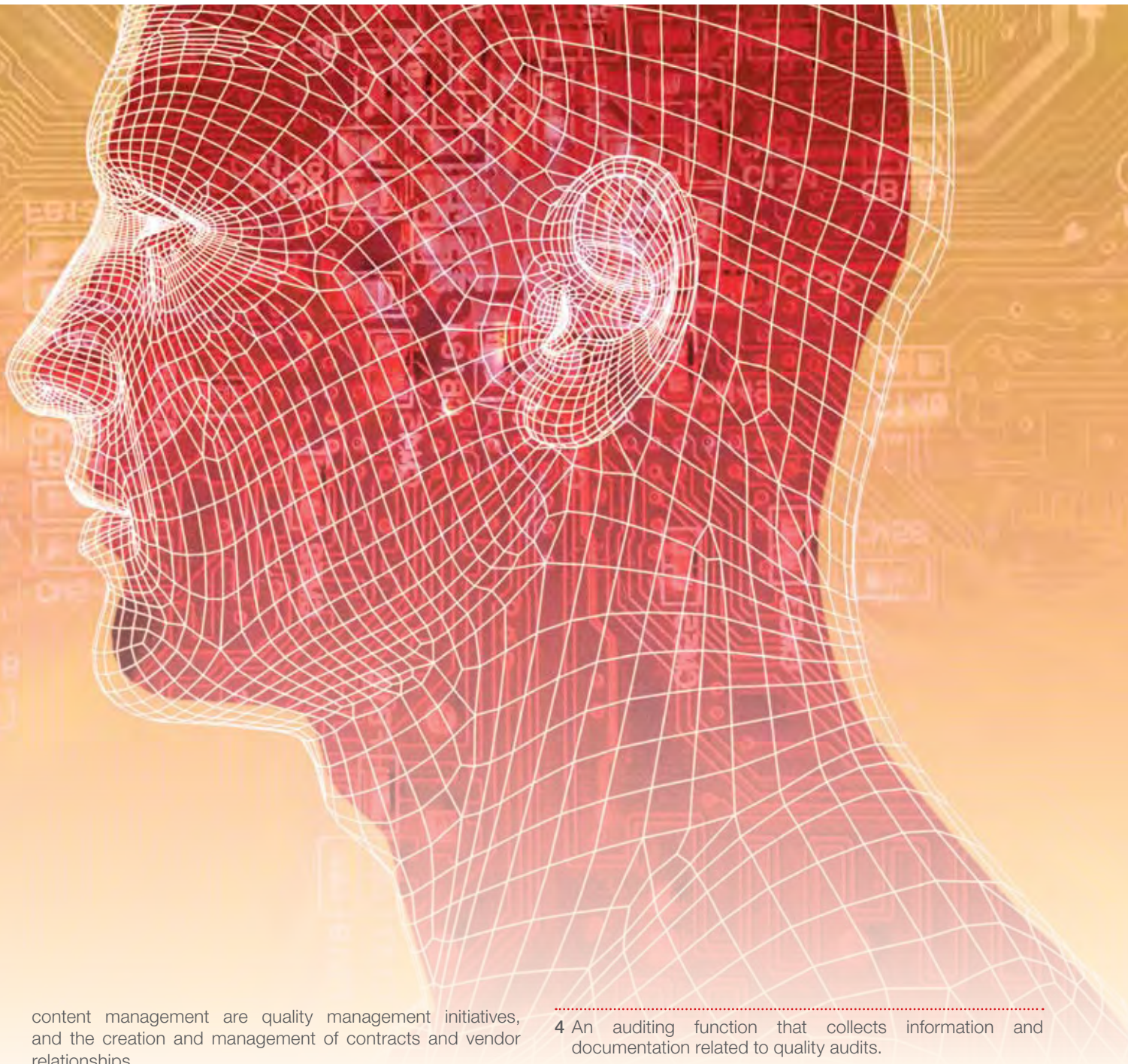
content management are quality management initiatives, and the creation and management of contracts and vendor relationships.

A typical quality management system has the following four components:

1 An issue tracking system which collects the required information for the issue, the investigation and the corrective actions. The information from this process is then compiled for the required regulatory filing.

2 An accreditation tracking system for the housing of procedural documents and other training material, the tracking of employees who are required to and have reviewed the materials, and the reporting on completed training.

3 A document management system which is used to house the documents associated with the quality management process, with basic document management functionality such as version control and check-in/check-out.

4 An auditing function that collects information and documentation related to quality audits.

All of the basic technology functions of a quality management system are inherent in enterprise content management architecture. Document and records management, workflow, collaboration and reporting are the technologies required to support the quality process.

Organisations are able to consolidate their quality management content into the rest of their organisational content using an ECM platform, bringing this critical information into the enterprise fold where it can be utilised where needed in other important business processes.

The management of contracts and vendor relationships tends to reside in siloed applications that only contract managers can access, leaving out other stakeholders who need access to contract information. With an ECM-based contract management system, contracts and supporting documentation are stored in a centralised system, and not redundantly stored in a separate system for a small group of users.

About the Author

GRAHAM PULLEN is Vice President Asia Pacific for Open Text. He is responsible for growing Open Text's sales and marketing presence in one of the company's fastest expanding regions. Graham is specifically responsible for the company's operations in Australia, New Zealand, the ASEAN region and North Asia, where the company either has a direct presence or sells through channel partners. He has more than 25 years of experience in the IT industry.

Sophisticated security and document control is applied to every document, so users cannot see content they are not allowed to see. Organisations can use the workflow tools to review and approve contracts similar to the way they would approve all content, and in compliance with governance policies and industry regulations, as required.

Contracts are actively managed throughout their lifecycle with key performance indicators and contract dates being tracked and acted upon by taking advantage of integrated ECM reporting capabilities. An integrated approach to contracts encourages wider collaboration and sharing of business content such as contracts.

ACHIEVING ENTERPRISE TRANSPARENCY

When drawing up your organisation's enterprise-wide content strategy, you should consider the following:

- **How will I unify and integrate the organisation's critical business content so that I can support multiple geographies and functions?** You want to include information from both structured and unstructured information systems in a seamless way so that the content can be searched, retrieved, and shared.

- **What can be done to eliminate information silos?** Rapid evolution of technology and a response to increasing regulatory requirements has resulted in environments that contain point solutions and information silos. Some processes can be transitioned into your ECM environment, supported through robust workflows, and detailed reporting; other processes will need to be supported through integrated point solutions.

- **Will the content management platform grow with the organisation?** There are a number of points to consider when it comes to the growth of your ECM system. Your organisation needs a system that can scale from a technical perspective to support more users and more applications over time, consider satellite offices and low-bandwidth connectivity in this analysis. Also, flexibility – if applications can be readily configured and deployed, the organisation can do more with the content management platform in a shorter time. Look for a system that can meet your needs through configuration, rather than customisation.

- **How much will it cost?** Do a full analysis up front. Make sure you understand the scope of everything that needs to be accomplished with your enterprise content management system. It is not just about buying the software. If you make investments in the implementation, training and the configuration of applications in the beginning, it ends up costing you less over the long run. The ideal system will provide you with the ability to create and modify applications without significant training and implementation costs.

Companies of all sizes in any industry market can take several steps to ensure they're on the right path to achieving enterprise transparency by leveraging existing technology solutions and content repositories, and coupling them with a next-generation enterprise content management framework.

Powerful enterprise search functions, security controls to ensure appropriate access, metadata capture, secure information retrieval with process automation tools, and intuitive retrieval capabilities are all required to ensure content is available to appropriate users when they need it and in the right context.

To help companies move to an enterprise-wide content management, ECM vendors today can not only manage content stored in their own repositories, they can also manage the metadata and lifecycle of content stored in enterprise applications from software systems, content repositories, email servers, and file systems.

The emerging industry need for an enterprise content management strategy will force organisations to break down their own red tape and more effectively leverage content and metadata investments across applications and the organisation, and provide a unified view of structured and unstructured business content for significant productivity gains and better decision-making. **iQ**

New Psychologies, RIM's New Frontier

Being faced with another part of the business mix proclaiming itself the key to organisation improvement and change management can take its toll emotionally and dishearten the most robust of support teams. So, are New Psychologies worth the time and effort?

BY **KENNETH TOMBS**

There is a blurring between what was HR and what is ICT. Technology has been the backbone of organisational change for decades, and has for the most part been haphazard in its outcomes. Perhaps not surprisingly as we shifted from 100% bespoke solutions and coding to almost 100% commodity applications, even the most specialist of requirements seem off the shelf to management today.

The world of hard projects and programmes is now the most skilled it will ever be at making machines help us do the day job better. Yet, contrary to sci-fi theory, people have not been made redundant by machines.

Living, breathing executives continue the drive for reduced costs, improved performance and fewer employees. Organisation Development, Leadership, Culture and a whole new wave of soft skills and techniques are now gaining major Board time as the way forward in making businesses better.

The world remains dominated by Microsoft Office and a few other core tools, despite ASP, thin clients, thick clients and all sorts of other clients.

OPPORTUNITIES & RISKS

Today, 'New Psychologies' increasingly promise a bottom line nirvana. New Psychologies are no longer academic. They're based on structured research and are generally in the remit of psychologists.

New Psychologies have spawned peripheral practices such as Neuro Linguistic Programming, which regardless of its merits, proven or otherwise, has at least focused our attention on how people perceive and work with the world at a practical not Cartesian scientific level.

Sitting on both sides of the fence, an engineer by apprenticeship and now shaping a business to use the 'New Psychologies' for positive affect, it's time to explore and link them into a perspective of whole organisation development.

New Psychologies are rarely measured scientifically with the scrutiny that ICT now receives for its contribution to the bottom line. We seem scared of being accountable and taking ownership, yet large sums are now being spent on faith on the New Psychologies, just like in the early days of computing. Little justification and even less benefit realisation are the norm. This must change or we will lose the undoubted benefits that the New Psychologies will bring us.

There are a huge number of risks that come with New Psychologies, as it's a very handcrafted affair. Like the start-up computer industry, New Psychologies customers tend to buy from 'experts', and for good reason. Yet, what is expertise in the complex world of New Psychologies?

New Psychologies delivered in-silo will be of limited value overall to an organisation. We spent years trying to optimise individual silos and made the whole organisation sub-optimal through it. It's taken us a long time to join up the ICT dots. The same mistakes are emerging in the New Psychologies arena.

New Psychologies have not developed, so far anyway, an analogous system of thinking that is as readily transferable as say Prince or Work Bench. Too much prior knowledge is assumed, and therein lays the danger. To use Soft Systems Methodology (SSM) you just have to be able to think that way; it's inevitably self limiting!

APPLYING THOSE NEW PSYCHOLOGIES

Taking the ultimate helicopter view of an organisation, any organisation of more than two people, each offers a unique view of how its dynamic components relate. Though presented here as being linear fashion, they are in reality a constant stream of Saaty's Analytic Network Processing (ANP) nodes, constantly reshaped and feeding back to each other through choices made:

⟶ The Executive together ⟶ shape Strategy ⟶ which shapes organisation DNA and in turn organisation culture ⟶ which defines leader characteristics ⟶ leading to new processes and operations ⟶ requiring delivery, embedding, operating and performance ⟶ which influences the Executive

To continue to compete in a world fast being reshaped by a tough new economic reality, it's not good enough to sit on our technological laurels and think about the 'good old IT days'. It falls to CIOs to link New Psychologies and Established Technologies, and to transfer learning and skills to newcomers.
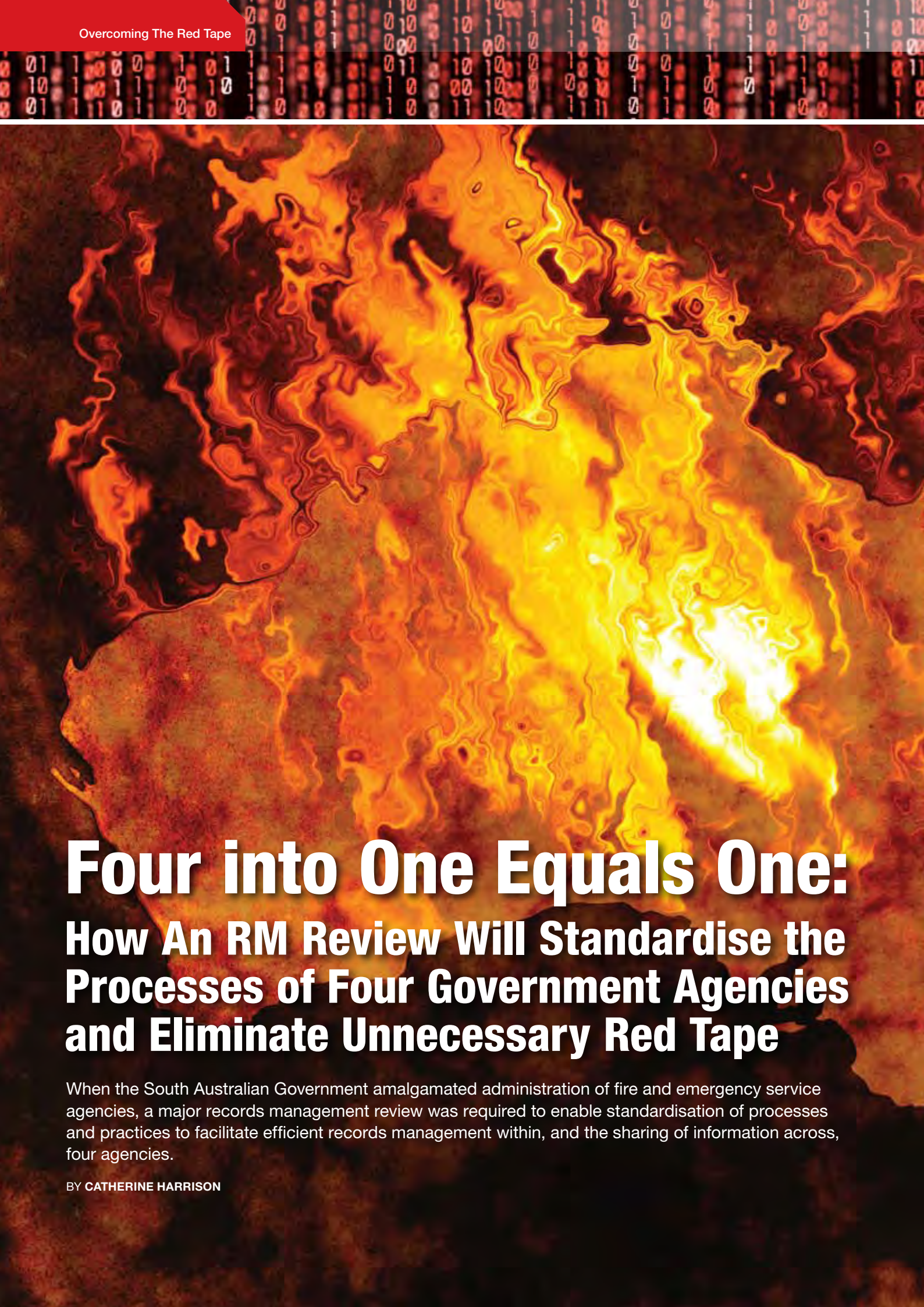
Here we go again. For me, this is one huge feeling of déjà vu. How about you? **iQ**

About the Author

Regular *iQ* columnist KENNETH TOMBS is Director, Public Sector, with CMEurope. His interests are in the emotional analysis of documents and improving government. He lives at St Ló in Lower Normandy, France with his partner Christine and three seasonal children.
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Four into One Equals One:

How An RM Review Will Standardise the Processes of Four Government Agencies and Eliminate Unnecessary Red Tape

When the South Australian Government amalgamated administration of fire and emergency service agencies, a major records management review was required to enable standardisation of processes and practices to facilitate efficient records management within, and the sharing of information across, four agencies.

BY **CATHERINE HARRISON**

Story Snapshot

- Differing cultures within government agencies meant differing RM processes and practices.

- Self-assessment had already found room for RM improvement.

- A review will standardise both overall processes and day-to-day practices.

Why is it important for agencies to review their information needs for areas such as disposal and records management? The answer is a single, often daunting word – change. It is probably true to say that, in life, nothing is as constant or inevitable as change. This relates as much to business as it does to our personal affairs.

Frequently, change is forced on us by circumstances. To effectively respond to or, even better, to anticipate and prepare for change leaves us and our agency in a position to do many positive things.

We can take advantage of new opportunities when they arise. We can comply with changes to legislation, standards, government policy, etc, and comply with recommendations of royal commissions, coronial inquiries and the like.

We can disaster-proof our agency. We can ensure that our agency's policies, procedures and practices are adaptable to changes in organisational structure and responsibilities.

We are able to meet the developing needs of personnel working within our agency, and to meet the needs and expectations of our ever-changing customer base. And we can take account of developments in technology, industry best practice, etc.

TRIGGERS FOR CHANGE

Review of records management practices, including those relating to disposal, is an integral part of this preparation for change. In South Australia, the emergency services sector has recently been undergoing a period of extensive review and development of its records management capacity.

This review was generated in response to several triggers. To begin with there was the across-government requirement for each SA agency to implement a compliant records management system. This and similar requirements are externally imposed and beyond the sector's control, but they must be complied with.

Of central importance was the recent establishment of the South Australian Fire and Emergency Services Commission (SAFECOM) as the body dealing with administrative aspects of the provision of fire and emergency services across the state.

This was also an externally imposed requirement. But it has meant that SAFECOM's records management team has had to undertake a comprehensive functional analysis of the sector, comprising the Commission and its three operational agencies – the Metropolitan Fire Service, the Country Fire Service, and the State Emergency Service – with a view to documenting current records management practices within each agency and then attempting to standardise practice across the sector. This has not been an easy task and much work remains to be done.

There was also a recognition, as a result of completing the SA records management framework self-assessment tool, that the sector has room for improvement in its records management capacity.

This self-assessment identified areas where the sector's information management practices can be significantly improved. These opportunities have been taken into account in the planning and configuration of the electronic document and records management system (EDRMS) that the sector is currently implementing.

On top of these factors there has been a growing awareness of the expense of ineffective records management, especially in relation to the cost involved in gathering information from across the sector for government inquiries such as a coronial inquiry held in the wake of the Wangary bushfires of 2005.

REVIEWING DAY-TO DAY PRACTICES

Of course, while this major review of records management capacity was being undertaken, constant review and updating of day-to-day practices has been ongoing.

This latter process to incorporate areas such as change to the value of particular records to the organisation. For example, while the incident files on the Wangary bushfire would have been retained permanently regardless of any subsequent inquiries or action, some of the supplementary records which may, under the prevailing legislative requirements, have had shorter retention periods now have greater significance and will therefore be retained longer.

In addition, the public access determination on the permanently retained files relating to this major incident may need to be reconsidered in light of the sensitive nature of some of the information relating to deaths, injuries, and property damage.

The distinct culture of each agency within the SAFECOM sector has also to be considered. The consultation and negotiation that has been undertaken across the sector, especially in relation to the functional analysis of the sector's business and activities and the development of the sector-wide records disposal schedule, has helped to break down barriers and increase collaboration between the agencies.

This will go a long way towards encouraging and facilitating the sharing of information that is held within each agency.

NEW STATE RECORDS GUIDELINES & TRAINING

New or updated guidelines, standards and disposal schedules from State Records SA have to be adopted. For example, changes to guidelines on the disposal of digitised records – those originally in physical form but for which the scanned and electronic version now becomes the official record – have needed to be taken into account in planning new mail room procedures and the integration of scanning software with the EDRMS application that the sector will be using.

>> "THE AIM OF THIS REVIEW PROCESS IS TO BREAK DOWN BARRIERS THAT MAY CONSTRAIN ACCESS TO INFORMATION HELD WITHIN THE EMERGENCY SERVICES SECTOR" <<

There is also a need to arrange formal training for records staff. This will ensure that staff can effectively carry out routine records management activities such as assessment of records, assignment of appropriate disposal actions, transfer of records to State Records custody and so forth. And it will assist in developing a career path for these staff and in succession planning as records staff are promoted or leave the sector.

Allied to this is the need for preparation and updating of records management training manuals, procedures and policies to ensure personnel across the sector know how to effectively access the sector's wealth of information using the tools that the organisation provides – PCs, the EDRMS application, email and internet facilities, etc – while ensuring that the integrity of that information is maintained.

There is a need to ensure that information provided to clients, both within and external to the SAFECOM sector, is correct, complete, and provided in a timely manner and in accordance with any security and access restrictions.

For example, in relation to ministerial correspondence, given the diversity and complexity of the sector, it has often been difficult to provide coordinated responses within specified time frames. A review of current practice has enabled us to ensure that the new records management system being implemented will facilitate the preparation of timely, accurate and comprehensive responses.

THE REVIEW'S GOAL

Ultimately, the aim of this review process is to break down barriers that may constrain access to information held within the emergency services sector.

Success will be judged not just by a demonstrated enhancement of records management capacity but in the ability to appropriately share information across all areas of the sector and with the broader South Australian community.

In a future issue of *iQ* we will give you an update on how we fared with our review, discussing the lessons we learned from it and the positives we took from it. **iQ**
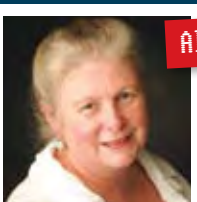
About the Author

CATHERINE HARRISON is currently employed with the South Australian Fire and Emergency Services Commission (SAFECOM) in Adelaide. Catherine's interest in effective records management was sparked as a result of her involvement in the documentation gathering process for the coronial inquiry held subsequent to the Lower Eyre Peninsula (Wangary) bushfire of January 2005.

Cate completed the Certificate III in Business (Recordkeeping) in 2008 and is now enrolled to undertake the Certificate IV course in 2009. With original tertiary qualifications in taxonomic botany, Cate has come to records management after a diverse career in NSW, the NT and South Australia.
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Recordkeeping Innovations and Presidential Records Issues in Korea

When the President of the Republic of Korea initiated a government-wide recordkeeping innovation he was widely praised. But his administration increasingly took control of records management, and when he left office he copied many presidential records, triggering serious public concerns and resulting in his secretaries being charged with breaches of the Presidential Records Act. The subject of political control of records, still an issue in Korea, reverberates far beyond the RoK's shores.

BY **DR SANGMIN LEE**, CA

- Korea does not have a lengthy government recordkeeping culture.

- A new President introduced much needed RM reform.

- But he contravened red tape by copying presidential documents, and archivists have been sidelined.

During its last administration, the Korean government went through a government-wide recordkeeping innovation. It was mainly initiated and supported by the former President, and supported by civilian professionals in a strong governance structure. The Public Records Management Act (PRMA) was revised to make it effective and the Presidential Records Act (PRA) was legislated. During the period, the National Archives of Korea (NAK) tripled in staff size and made significant government records innovations.

At the end of his term, the former President copied all of his presidential records in electronic form and kept them for his use while he transferred all the "authenticated" presidential records to the NAK.

His former secretaries were charged for violation of the Presidential Records Act by the NAK. The massive transferring and copying of the electronic presidential records triggered some serious and controversial political, legal, institutional and technological records issues in Korea.

In this report, I have summarised the records issues to give further consideration to electronic records matters as well as dealing with politically sensitive records in the public archives.

HISTORICAL SETTINGS

Korean history was well recorded and preserved in good records traditions. *The Authentic Records (Sillok)* were massive historical collections documenting the country from the 16th to the 19th century. UNESCO registered them in the Memory of the World. Private people also collected and preserved records at their homes and libraries.

Japanese colonial rule in Korea destroyed the traditional records systems but the Japanese left their "records systems" in Korea. From 1945 to 1948, the US occupied the southern part of Korea and the American military government produced many official records and took them back to the US national archives. Few records were left for the Korean government. The Americans also left "filing and records" systems in Korea.

Then the Korean War destroyed many records: public as well as old and private archives. In 1969, the Korean government established a microfilming office under the Ministry of Government Administration. It soon became the "Government Archives of Korea". The Government Archives built its first repository in 1984, mainly as a national emergency preparedness programme against possible North Korean invasion.

FIRST INITIATIVE:
PUBLIC RECORDS MANAGEMENT ACT OF 1999

In 1996, the new Director General of the Government Archives, Kim Sun Young, launched a series of reforms in government records management. The reforms were a top-down initiative by Mr. Kim who was the prime mover. Even the Ministry of

Government Administration did not really understand his work or its future impact.

He served Government Archives for five years; a long time compared with some of his successors who held the post for one year or less and had little time or interest in the archives.

Mr Kim recruited more than 20 professionals including 15 historians. No qualified archivists had existed in the Government Archives before. Under his leadership, digitisation of archives holdings and government-wide records scheduling followed. In 1999, the Public Records Management Act (PRMA) was enacted and came into effect on January 1, 2000.

THE PRMA 1999 REGIME

Records created in public agencies have to be managed according to the PRMA. Court records, army records, and parliamentary records are covered by it but are managed separately by the Court, the army, and the Parliament. The PRMA declares:

- National (public) ownership of public records and makes it illegal to destroy them without appropriate legal process and/or approval of the Government Archives.

- Presidential records are public records as well.

- All public agencies should establish their own records centres.

- All "permanent" public records should be transferred to Government Archives.

- Local government records should be transferred to Government Archives.

- At least one qualified records/archives professional should be employed in each public agency.

- Legal qualifications are required for records/archives professionals employed in public agencies.

But, after the legislation was enacted, it was largely ignored. No effective implementations followed, no progress made. The Government Archives, later the National Archives of Korea, was given no power and no support from the Ministry. No guidelines were issued and no professional staff engaged to implement the act until 2003.

As a low-level department of the Ministry of Government Administration (now the Ministry of Public Administration), the Government Archives had little control over the records of important agencies and presidential records. The PRMA was not much recognized or respected by the public or public agencies.

A GREAT LEAP:
RECORDS ADVOCACY BY THE PRESIDENT

However, in 2003, a new President, Roh Moo Hyun, (a former human rights lawyer) was elected. Civilian groups submitted a records reform agenda to Mr Roh's "Transition Office of President-elect." Later, a "Professional Committee for Government Records Management Innovation" ("the Professional Committee") was formed.

The Roh administration tried to change the bureaucracy emphasizing "Reform through Governance." Many presidential committees were established to direct and monitor the

>> "THE GOVERNMENT ARCHIVES BUILT ITS FIRST REPOSITORY IN 1984, MAINLY AS A NATIONAL EMERGENCY PREPAREDNESS PROGRAMME AGAINST POSSIBLE NORTH KOREAN INVASION" <<

reforms while the policies were implemented. Civilians joined the Professional Committee and established a significant reform *Roadmap* that covered government records system innovations for accountability, an open public information regime, a national security classified records system, and utilisation of historical records.

The President was concerned with government record issues from a business efficiency perspective. He was interested in the accountability of the government and developed a business information system to accomplish it. To achieve this he established the Office of Work Innovation and the Office of Records Management in the Office of the President. He wanted all government agencies to adopt the business information system and the records management systems of the Office of President as "a pioneering/guiding model."

Later, President Roh would claim to have designed the system and demand patent rights to it, although, actually, the NAK and the Ministry executed the system, provided the budget, the staffing and the policy priority. This system became a key engine for implementing the reform in government.

In 2007, the PRMA of 1999 was amended to make it more powerful, and a new Presidential Records Act was passed. The Presidential Archives was also established in the NAK in November that year, moves strongly supported by professionals.

A REVERSE COURSE?
SETBACK IN THE NEW ADMINISTRATION
Mr Roh supported the NAK strongly, but he was never aware of the importance of professional advancement and archival independence from the influences of politicians and career administrators to achieve his goal of reform. He was also not much concerned with history.

A Records Management Innovation Committee's recommendations for independent national archives were neglected. The President did not recognise archives as a cultural and historical institution. The Ministry of Public Administration bureaucrats used the President's rulings to enhance their own organisational power, and Roh depended heavily on the Ministry to implement the government records reform; but the Ministry never allowed the NAK out of its control.

In the new administration, there was a setback. Thirteen out of fourteen NAK professional supervising directors were removed and the positions filled with administrators. The Ministry tried to weaken the National Records Committee and to remove the Presidential Records Committee. Two effective governance committees designed to determine records policies and accessibility review issues independently from external influences.

A politically-appointed minister, secretaries in the Office of the President, and high-level administrators in the Ministry still control and direct the NAK. It has never been free from political and administrative directions and influences on policy, access,

contents and the rest. Professional archivists have lost all control and are mostly helpless. The professional staff in NAK has few powers to pursue archival principles and professional ethics. Some of them simply follow the Ministry's directions.

PRESIDENTIAL RECORDS
AND ARCHIVES ISSUES REVISITED
Before Mr Roh came to power, the Presidential Records amounted to just 200,000 items. But, by the end of his term, the records amounted to over eight million items including 5.4 million Web records, 700,000 photographs and 2.2 million other textual records with 1,663,341 electronic texts.

When Mr Roh left office in February 2008, all "authentic" presidential electronic records were transferred to the Government Archives through authentication and conversion processes using the VERS methodology. It was the first massive transfer of the presidential records held in the records management systems in the Office of the President and the Presidential advisory organisations.

What the NAK did not know was that President Roh copied all electronic records and took them home, though some argued that NAK knew but did not object while the President was still in office.

The government changed after the election and the new Office of the President discovered that records had been copied; or "illegally stolen". It protested. Political conflicts between the old and new administrations were already troublesome and the new administration blamed Mr Roh for "stealing' the records, leaving nothing for the new Office to use for the national business.

Mr Roh was labelled a "thief". The new Office of the President and conservative newspaper reports did not mention that he had transferred the records and kept only electronic copies. The new administration urged the NAK to "recover" or "replenish" the "stolen" records.

President Roh
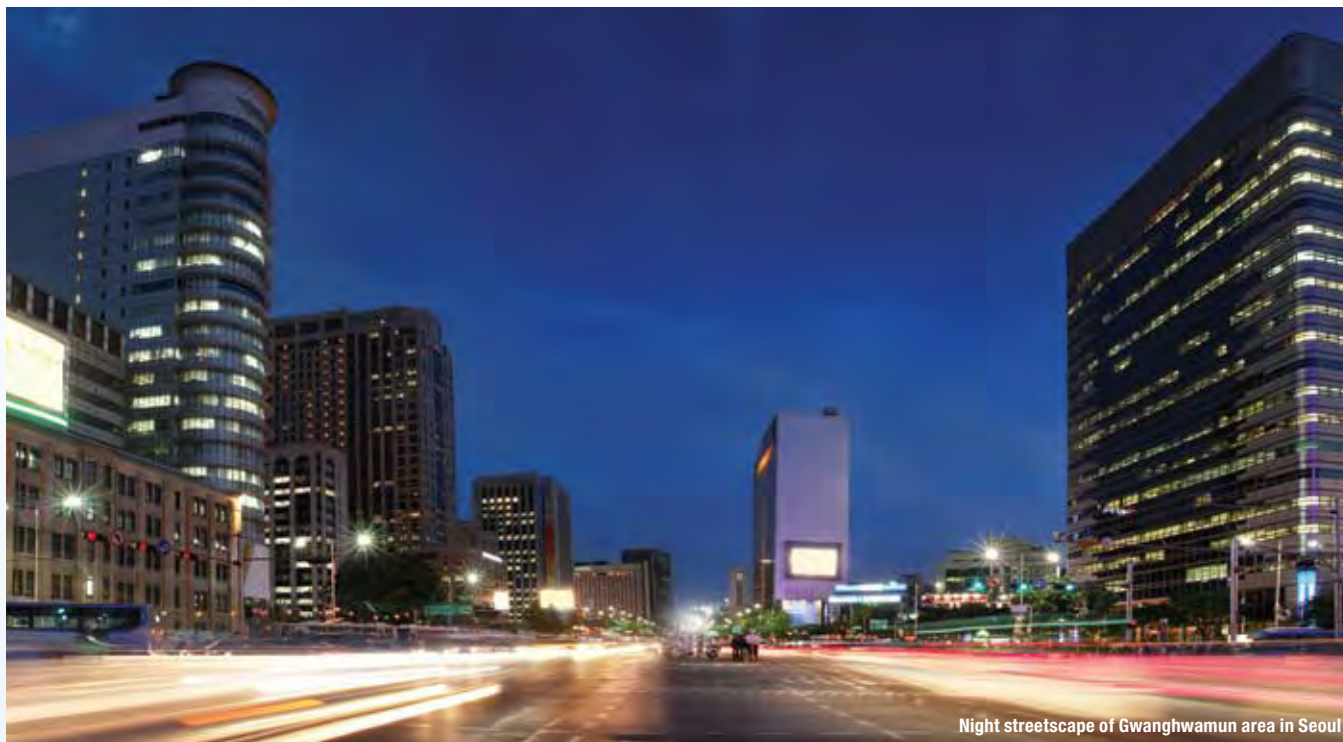
Night streetscape of Gwanghwamun area in Seoul

Many people did not know about National Archives, the records acts or the presidential records and some became angry over the "theft". Suddenly, it became a very hot national issue.

PRESIDENTIAL ACCESS PRIVILEGE: RECORDS AND RMS

From a professional perspective, it was a debate over Presidential access privilege, criminality of unauthorised coping of public records, and the legal status of copied electronic records. Among the copies, there was much classified information and records containing private information of thousands of people.

Mr Roh called the theft charge "mean political revenge" and argued that he had the Presidential privilege to use the records of his administration as guaranteed in the Presidential Records Act. He complained that the NAK did not give him access to his own records as the PRA directs.

The PRA stipulates only "unauthorized removal or destruction of the presidential records shall be prosecuted". It is not clear if this includes copies of the records or if it is legal for a president to copy his own records while he is in his office. It is not clear whether a former president holding copies of presidential records is criminal or a violation of the Act.

No one has been charged for holding record copies in violation of the Public Records Management Act. No former presidents have ever been charged even for holding their original records.

Some presidential electronic records are protected by the PRA as "presidential records designated for protection." These can be closed to public scrutiny for up to 15 years. They are technically "protected" by coding systems and not accessible by ordinary systems.

"Designated" records are ciphered using a special system developed by the National Intelligence Service. Only the Presidential Archives Management System in the Presidential Archives can manage them. After each Presidential term, NAK keeps the ciphered records but does not have access to them unless authorised. Thus, they are not usable legally or technically.

Mr Roh copied the records without the coding and ciphering so he could access them with the records management system (RMS) he privately copied from the Office of the President. Legal ownership and "privileged use" of the records management system was also questioned. Mr Roh's claim that as he invented the system he has a presidential privilege for using or copying the RMS has yet to be examined or clarified.

LEGAL PROCESS ONGOING

Eventually, under legal and political pressure, Mr Roh returned the electronic copies to the NAK on 28 hard drives, but the Prosecutor's Office continued its investigation. The Prosecutor's Office confiscated all returned hard drives to see whether there were any records not transferred to the NAK.

This was approved by the High Court and allowed under the PRA. The Prosecutor's Office also confiscated all Roh's Internet servers and the RMS in the belief that he may not have returned certain presidential records that may remain in the servers and the RMS.

The presidential records issue has not been discussed professionally among records professionals in Korea. Some worry it is a setback to records creation in important public offices like the Office of the President. The NAK has brought charges against former presidential secretaries and records management officers on violation of the Presidential Records Act. However, no charges have been laid against Mr Roh himself.

The issues have been left to the courts to resolve. Prosecutors are examining the list of the records to ensure they have them all. So far, they have not examined the contents of the records. The cases have been filed, but no trials have opened yet.

OBSERVATIONS

In Korea, people's awareness of archives/presidential archives has been much raised by the presidential records issue. It has also raised the issue of authenticity of electronic records.

Authenticity of the electronic records was given by law and by the electronic records system. Political environment and technological capability have been and are very important for public archives to fulfil their missions. Legal and political interference in the records issues should be minimised. For this, we need neutral and independent public archives.

Some presidential records must be protected. Records issues should be examined and solved by records professionals first. Prosecutors and judges are not records professionals and should not have access to some presidential records, and the new Office of the President may want to open them for political reasons.

Legal frameworks to handle, protect, and make useable, sensitive records like the presidential records should be designed very carefully in relations to records principles, professional ethics, people's right to know, technological considerations, and political and cultural environment. The legal status of electronically copied records should be defined. Records copying practice in public agencies needs to be reviewed and improved.

What should we do about the electronic records left in the RMS in the creating agencies after we transfer all electronic records to the archives? How long should we wait or preserve the records in the RMS until the archives make sure all records are transferred and safe?

Presidential privilege to access needs to be fully addressed and guaranteed. Without proper protection, there will be no "full and accurate" records guaranteed. The existence of neutral and independent archives with qualified professionals is necessary and very important to keep the archives operating objectively for the public good. It is important to recognise that the public archives are working for public accountability as well as for history: no records, no history.

We lack awareness of archives as cultural and historical institutions. It may jeopardise authority and political independence of national/public archives in a transitional period.

We should prevent the National Archives from falling into political disputes. In our old days, many people were killed because of information found by opening the royal records. Excessive political charges on records practices, a breaching of privacy, confidentiality and public safety information, and unnecessary opening of sensitive information held in public records can only be prevented by professional ethics and a legal framework guaranteeing such professionalism and archives independence.

Technological solutions should also be given to the records issue: authentication, checksum process, conversion and migration, selective opening, conversion of closed records to opened records, and coding/ciphering and decoding systems.

Methodologies of electronic records preservation including conversion and migration need to be tested in the future. They need to be fully reviewed and verified in advance. The issue of making digital archives for preservation and making electronic copies for use needs to be examined in the context of further democratic development and freedom of information development in the society. **iQ**

About the Author

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He worked for the Research Institute for Korean Archives and Records as Management Council Member from 2000 and was Team Leader in the "Government Records Management Innovation Committee" in the Presidential Committee for Government Innovation from 2004 to 2005. He is Treasurer of the ICA's East Asia Region Branch, EASTICA, and a council member of the Korea Society for Archives Studies.
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Cutting Through:

Managing Records in a Project Alliance Environment

One way to overcome red tap and reduce project costs is via a project alliance that combines the expertise of a group of partners. One such alliance involving both government and private enterprise has delivered the Northern Gateway Toll Road outside Auckland, with significant RM benefits for all concerned.

BY **GAYNOR RENSFORD**

Project alliancing is a form of procurement with one or more parties, public and/or private, that share the risks and responsibilities of delivering a project. There are many types of "alliance models" one of which has been used to procure and deliver the Northern Gateway Toll Road.

The Northern Gateway Alliance (NGA) is a commercial/legal framework between the New Zealand Transport Agency (NZTA), a crown entity (formerly Transit NZ) as "owner participant" with several private sector parties as service providers or "non-owner participants." These include Fulton Hogan, Leighton Contractors, URS New Zealand, Boffa Miskell, Tonkin & Taylor, and VSL and United Group as sub-alliance partners.

Both public and private records are managed in an integrated and collaborative approach, using an integrated management system in an "alliance" environment according to the requirements of the Project Alliance Agreement – all of which goes beyond that of previous infrastructure projects undertaken in New Zealand.

The project being undertaken is to construct a 7.5 km strategic motorway and infrastructure link north of Auckland with a projected completion date of early 2009. It is the first of its kind in many respects.

This is one of the largest infrastructure projects undertaken in New Zealand, the first to be delivered under the requirements of the Land Transport Management Act 2003 (LTMA) and has been advanced using a tolling system.

It is one of the first projects required to consider questions of economic development and integration, environmental

Story Snapshot

- An alliance of public and private partners has built one of NZ's largest infrastructure projects.
- Unnecessary red tape has been cut through by centralising records management for the project.

sustainability, public health and safety and major public consultation under the requirements of the LTMA. This has had implications for public recordkeeping. It is also the largest infrastructure project to fall under the scope of the Public Records Act 2005 to date.

AN INTEGRATED MANAGEMENT SYSTEM – THE RECORDS MANAGEMENT PLAN

The Northern Gateway Alliance's vision is 'to create a Northern Gateway that is a visual showcase of environmental and engineering excellence'. To achieve this vision, an integrated management system has been used which includes a Records Management Plan.

The Records Management Plan provides a framework. It outlines basic responsibilities of the NGA in relation to keeping records. It includes policies and appendices in the form of project instructions/briefs outlining the basic fundamental requirements of managing records.

The Northern Gateway Toll Road

It also makes recommendations on how an EDRMS should be configured to ensure that minimum requirements for recordkeeping metadata are met that will in turn assist transfer and access of both paper and digital records to all stakeholders.

One of the many deliverables is to ensure that complete and accurate records of the business activities of the NGA are created and maintained for as long as they are required to support business functions and accountabilities.

In many instances, the management of these records will extend beyond the life of the project and most records will be required to be transferred to the client, the NZ Transport Agency, and some to participants in the Alliance in accordance with legislative, regulatory and contractual needs.

The Integrated Management System has resulted in a successful collaboration of managing many complex interrelationships of workflows and business processes, recordkeeping and quality systems, all of which provide the evidence of what has been completed and testimony to a vision having been achieved.

There have been many challenges and lessons learned along the way:

- Business systems that are transparent and intuitive for the end user in order for them to create and maintain records.

- An ongoing training programme for everyone that has recordkeeping responsibilities, for the life of the project.

- A records manager who understands the business and client/user needs.

- Recordkeeping metadata and a function based classification of records for transfer at project close.

- To keep a certain amount of paper in a controlled environment given the challenges of digital preservation within the NGA.

- Management of emails and email attachments.

- Avoiding shared drive environments unless rigorous business controls and audits are in place.

- Management and audit staff turnover, recordkeeping responsibilities and outputs.

- A Disaster Management and Recovery Plan.

- The challenges and benefits of Web 2.0 Technologies for electronic recordkeeping and the emphasis that it is not the technology that counts but the content.

About the Author

GAYNOR RENSFORD is Document Controller with the Northern Gateway Alliance, Auckland, New Zealand. This article first appeared in the December 2008 issue of the RMAA New Zealand branch e-zine, and is reprinted in *iQ* with thanks to the author and editor.

And many interesting facts and figures:

- Overall number of project documents: 303,423

- Email: 13,5496; Drawings: 17,035; Design Reports: 1,063

- Calculations: 109; Transmittals: 29,892; Photos: 7,205

- Management System Documentation: 2,629

- Quality Assurance Documentation: 41,067

- Contract Documentation: 252

- Board Papers and Meetings Documentation: 929

- Incoming Correspondence: 10,967 (excludes email)

- Outgoing Correspondence: 3,183 (excludes email)

- General Documentation: 47,469

- In excess of 1500 A4 Lever Arch Files purged and approximately 40,000 folders and sub-folders in shared drives appraised and transferred into the approved recordkeeping system in accordance with the Retention and Disposal Schedule.

- A "weather bomb" hit the main project office in July 2007, resulting in major damage to the building but a successful outcome when all records were recovered.

All of which has made for a fantastic experience in managing both public and private records in a project alliance environment. **iQ**
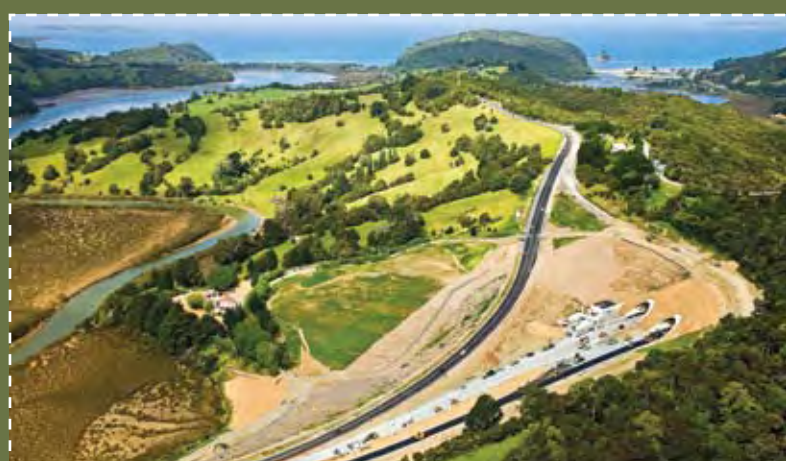
Government Access Cards:
A key to fraud and identity theft reduction?

PART 2

Are government access cards worthwhile? Can they save money and reduce identity theft? The first article in this series looked at the historical situation in Australia. In this continuation, the author reviews comparable systems in other countries and assesses future possibilities.

BY **ROBERT BROMWICH**

The enabling statute for the United Kingdom's card programme is the Identity Card Act 2006. The programme commenced during the early years of the decade as something similar to the Australian Government's Access Card proposal (called an "Entitlement Card"). After the September 2001 terror attacks in the US and the July 2005 London bombings, the system was incrementally expanded to become a fully-fledged identity card system.

A UK Home Office discussion paper on the 2002 proposal was issued with public consultations closing in January 2003. The foundation for the 2006 Identity Card proposal occurred with the 2003 redesignation of the project as an identity card by the then Home Office Minister David Blunkett, with the aim of having 80% of Britain's adult population holding the card by 2017.

According to publicly available documentation, the aims of the 2003 program as outlined by Mr Blunkett included:

1 Boost the fight against illegal working;

2 Tackle immigration abuse;

3 Disrupt the use of fake and multiple identities by terrorist organisations and crime groups;

4 Ensure the delivery of free public services by those who are entitled to use them;

5 Assist in the prevention of identity theft.

The 2006 proposal contained two core elements – a National Identity Register (NIR) comprising information of all United Kingdom residents, both native born and foreigners, and a card linked to the register.

The NIR specifies 49 data categories including, fingerprints – all 10 if mandated – digitised facial scan; digitised iris scan; current and previous places of residence, both in the United Kingdom and overseas; and passport information – progressively integrated when applying or renewing this document.

The Act permits the government, through the Secretary of State for Home Affairs, to establish additional information categories at the complete discretion of the Secretary.

Initially, the data collected was to be stored on a single registry costing an estimated £5.4 billion over a ten-year period. A decision in late 2006 by the Home Office minister revoked this directive and data held under this system will be held on three separate registries currently in operation, (British Broadcasting Corporation (5) 2006) In addition, direct costs associated with the programme are now anticipated to rise above £5 billion, (British Broadcasting Corporation (1) 2007).

Media reports during November 2007 speculated that the incoming Gordon Brown government would abandon the project due to cost and technical issues – reports that proved unfounded.

Further media speculation between November 2007 and March 2008 (BBC Online 2007 and Castle 2008) documented the following implementation timeline:

- **December 2008:** Registration commencement of non-UK nationals and those UK citizens working in sensitive roles, eg airport and 2012 Olympic employees;

- **December 2009:** Incentives for certain categories of UK citizens such as students and public sector staff to voluntarily register;

- **June 2010:** Deadline for formal parliamentary vote on whether the programme is compulsory for UK citizens;

- **December 2010:** Commencement of incentive registration programme for youth;

- **Calendar Year 2011:** Mass registration commencement in conjunction with passport renewals with options for card-only, passport-only, or both card and passport;

- **December 2017:** Universal (i.e. 80% plus) coverage of resident population.

THE SITUATION IN THE UNITED STATES

The REAL ID program was established under Division B of the Emergency Supplemental Appropriations Act for Defence, the Global War on Terror and Tsunami Relief Act 2005, (Public Law Number 109-3, 199 Statute 231).

Promulgation of the Act occurred on 21 May 2005, with DMV compliance established for 11 May 2008. Registrations would commence by 2010 with two deadlines:

1 Persons born after 1 December 1964 were required to have compliant cards by December 2014.

2 Persons born before 1 December 1964 were required to have compliant cards by December 2017.

The stated aims of the act were to deter terrorism and reduce identity theft by:

- Establishing national standards for state-issued driver's licences and non-driver's identity documents;

- Updating and tightening laws on the application of asylum and the deportation of aliens for terrorist activity;

- Introducing rules covering delivery bonds;

- Funding some reports and pilot projects related to border security; and

- Changing visa limits for temporary workers, nurses and Australians.

From 1 January 2010, the practical consequences of the statute include:

- Federal agencies may not accept for identification purposes identity cards or drivers licences unless the state is meeting the requirements of the Act;

- The Social Security Administration (42 USC s. 666(28)) requires that States maintain a new hire directory. Bearers of non-compliant documentation will be unable to secure employment.

- Bearers of non-compliant documentation will be unable to establish banking accounts with financial institutions.

The key data requirements for the programme include:

- Full legal name;

- Digitised signature;

- Date of Birth;

- Gender;

- Driver Licence/Identity Card Number; and

- Principal Place of Residence.

To register for the card, persons are required to furnish identity documents including:

- A photographic identity card or a non-photographic identity document that includes legal name and birth-date of the cardholder;

- Birth date;

- Legal status and Social Security Number; and

- Name and principal place of residence.

Access to the card will be by via common machine-readable technology of defined data elements. The federal Secretaries of Homeland Security and Transportation, in conjunction with participating states will oversee the coordination and the oversight of the classification and regulation of data elements, in addition to the integration of participating state's registry into the national scheme to provide a comprehensive record of individual driver's histories.

Provisions in the initial draft allowed participation by Canadian and Mexican provincial authorities in the programme, but were removed from the final statute due to legal concerns.

The broader issue of the involvement of foreign sovereign governments and supranational entities – like the European Union – is currently still unresolved.

A 2006 study conducted by the NGA, NCSL and the AAMVA highlighted the cost blowouts of implementing such a substantive programme. The study stated that the costs of implementing REAL-ID would be in excess of US$11 billion over the initial five years of operations, with the majority of the costs (US$10 billion) on recurrent expenditure items including support mechanisms, re-enrolment of 245 million card-holders, design requirements and document verification processes.

This figure excludes additional expenditures by state agencies and private citizens in compiling with State DMV requirements (Swartz 2007 (1): 12).

>> "WITH EVEN THE MOST ELEMENTARY INFORMATION, IT IS POSSIBLE FOR IDENTITY THIEVES TO "GHOST" SOMEONE AND MILK UNSUSPECTING VICTIMS FOR YEARS" <<

RECORDS DISARRAY IN WASHINGTON DC

A separate study conducted on the District of Columbia's OPLD highlighted that the District's business records were kept in "such disarray" that the Inspector General could not review them for integrity or accuracy.

The disarray was so great that no indexing arrangements were available and the digitisation project was significantly behind schedule. The consequence was that the system was identified as a security breach, as all employees of the DCRA had access to the files, regardless of their access rights (Swartz 2007 (2): 12).

THE PRICE OF A STATE'S NON COMPLIANCE – YOU DON'T EXIST

March 2007 saw two major developments. Firstly, the Department of Homeland Security (DHS) released its draft regulations under the REAL-ID Act for comment – with the receipt of some 12,000 submissions – and the first major delay to the programme when the initial compliance delayed until December 2009.

In addition, Congress during May 2007 undertook debate on immigration bills that significantly expand the utilisation of REAL-ID including the creation of a National Employment Eligibility Verification Scheme.

There were differences between the House and Senate versions of the initial bill – the Senate version excludes non-REAL-ID identification from 2013. The major commonality of these programmes is the authority of the DHS Secretary to mandate the use of a national identity card as the sole acceptable document to verify employment eligibility.

January 2008 saw the release of the departmental final rule and Privacy Impact Assessment (PIA) on how REAL ID implementation, along with the ability for states to apply for a second extension to March 2011 for compliance, subject to these states receiving an extension to December 2009.

States that have sought both extensions and are not ready to participate by May 2011 will be deemed "not in full compliance" – the consequence will be that their residents will not be able to enter federal buildings, board aircraft and other activity covered by the Act.

SEVENTEEN STATES REFUSED TO COMPLY

During 2007, 44 states considered 145 legislative instruments on the REAL-ID programme, of which 25 states endorsed some form of instrument – 21 of those passing some measure outlawing participation or urging repeal (Sudeen & Meadows 2008: 26).

As of May 2008, 17 states were refusing to implement REAL-ID, either through statute or parliamentary resolution, casting doubt on the overall success of the programme.

As at May 2008, a blanket extension was granted to all 50 states and the District of Columbia in an attempt to placate opposition coupled with an attempt to resolve underlying issues surrounding the programme.

INTERPLAY OF IDENTITY THEFT AND FRAUD REVIEW

Broadly defined, identity theft is the process of one person fraudulently utilising another person's identifiers to obtain financial or other benefit in the other person's name (Arata Jnr 2004: 5).

The Identity Theft Resource Centre has categorised identity theft into four principal themes:

1 **Financial:** The use of a person's identifiers to improperly obtain goods or services;

2 **Criminal:** Posing as another person when apprehended for an alleged crime;

3 **Cloning:** Using another person's identity for daily living; and

4 **Business/Commercial:** The use of corporate identifiers to defraud a specific organisation.

In addition, New South Wales' ICAC (2006: 15) further defined identity fraud as being:

• Dishonest misrepresentation of any major aspect of identity whether backed by documentation or not;

• Fraudulent use of business or corporate identities;

• Misuse or theft of an individual's user name or password to assume the individual's identity on a computer system to procure information or benefits;

• Public officials misusing position to steal, alter or otherwise misuse electronic or paper records pertaining to a third person held by the agency; fraudulently create identity documents; or create or assume false identities.

Acknowledgment of identity theft as the quickest growing crime in the United States (Abagnale Jnr 2002; Arata Jnr 2004) and Australia (ICAC 2006) has occurred in the popular press and some governmental agencies with a range of publications available on the subject. An estimate of the worldwide cost of identity crime is at US$2 trillion (Department of Human Services 2007(2)).

Governmental agencies and private organisations' actions have generally been at best imprecise and at worst reckless in securing and storing critical personal data, often resulting in media sensations when particular instances of data loss occur.

Since 2005, there have been literally thousands of data breaches across Australia, the United States and the United Kingdom, amongst others, involving many millions of records containing personal information. Some have been inadvertent – loss of laptops or external data drives – others have involved theft by insiders, and external intrusions obtaining personal information.

The impact of these breaches involve many untold millions of records profiling thousands of persons across Australia, the United States and the United Kingdom, allowing those with the contacts and opportunity to obtain data via nefarious means to do so without significant difficulty.

In the United States, the Transport Security Administration (TSA) reported during May 2007 about a loss of a computer hard drive containing personal identifiers on 100,000 persons. Other governmental agencies – including the Social Security Administration, Veterans Affairs and Defence Departments – have suffered similar or greater losses over recent years. Private sector organisations and educational institutions are just as careless. Choicepoint had 160,000 plus records improperly accessed during 2004 and several universities and schools have suffered data breaches since 2004.

The most high profile example of data loss was in October 2007 by the UK Revenue and Customs. Two archive compact discs containing identifiers of 25 million persons (comprising 7.25 million family units) – about half of the United Kingdom's total population and families respectively – were misplaced.

The government minister concerned, Alastair Darling, attempted to assure the broader population of the supposed integrity of the system, without much success. Revelations during January 2008 documented that the relevant security manual was restricted only to senior staffers, with junior staff only receiving a summary of the manual.

The month prior to this incident – and in response to findings that 171,488 cases of identity theft costing £1.7 billion during 2006 – the United Kingdom all-party parliamentary group on identity fraud called for the establishment of an ID Theft Tsar to coordinate corporate, governmental and police efforts on identity theft (BBC 2007).

An Australian parliamentary inquiry conducted during 1999 and 2000 noted in the report *Numbers on the Run* that, as at 2000, an estimated 3.2 million Tax File Numbers in excess of a total population of 16.1 million based on the 1996 census, with little effort by the Australian Taxation Office to correct the imbalance.

DUMPSTER DIVING

The lackadaisical approach to data security occurs even on a personal level. Identity thieves utilise a practice known as "dumpster diving" to obtain copies of accounts, ATM receipts or other information that people throw away intact. With even the most elementary information, it is possible for identity thieves to "ghost" someone and milk unsuspecting victims for years.

Individuals need to be more proactive when dealing with their personal information. Governmental agencies and corporations – even when utilising the best information protection strategies – are liable to data corruption, mismanagement, manipulation or other forms of information loss. Such pro-activity requires vigilance.

TOOLS FOR COMBATING IDENTITY THEFT

Various publications promoting individual awareness and strate-gies to combat identity theft are in the public domain.

A 20-step plan developed for US consumers by Frank Abagnale Jr (2007: 106-132) – the fraudster turned FBI expert made famous by the Leonardo DiCaprio

movie 'Catch Me if You Can' – provides a comprehensive guide that permits individuals to be proactive in protecting themselves from identity theft.

A 7-step plan advocated by John Vacca (2003: 19-21) covers broadly the same ground.

The Abagnale 20-Step Plan is as follows:

1 Check credit reports regularly;

2 Do not issue your social security number (of tax File Number) needlessly;

3 Protect your computer;

4 Keep track of your billing cycles;

5 Examine your financial statements like an obsessed accountant;

6 Guard your mail from theft;

7 Invest in a shredder;

8 Practice safe shopping;

9 Avoid suspect Automatic Tellers;

10 Be suspicious of unexpected calls or letters;

11 Put real passwords on accounts;

12 Keep your credit cards close when shopping or eating out;

13 Use cheques sparingly;

14 Secure your home and office;

15 Carry only what you need (cards, papers, etc);

16 Spring clean your credit cards;

17 Read privacy policies;

18 Use the Opt Out option when it is offered by merchants (to limit your data being shared)

19 Protect a deceased relative's estate; and

20 Place fraud alerts on credit reports.

INTERPLAY OF IDENTITY THEFT & ACCESS CARD REGIMES

A common aim of the three highlighted programmes is the reduction of identity theft generally and against government payments and services specifically. While laudable, the challenges confronting national governments in achieving the stated aim are immense.

The major challenge relates to three major integrity concerns:

• **Content:** Ensuring that information held on individuals is accurate, timely and associated with the correct person;

- **Infrastructure:** Ensuring that access points are secure; effective data security measures are in place; ensuring access controls are secure and relevant; and

- **Personnel:** Ensuring effective background checks are relevant; maintaining timely review and rotation frameworks.

From a definitional perspective, the Australian Privacy Commissioner's Office classifies the occurrence of an information security breach (2008) when "personal information held by an organisation (including governmental agencies) is lost, misused, mistakenly disclosed or stolen".

Typical examples of such breaches include:

1 The loss of laptops, removable storage devices or files (whether physical or electronic) containing personal identifier information;

2 The organisation mistakenly providing personal information to a person not entitled to said information;

3 A third party deceiving an organisation into improperly releasing personal information of others;

4 Databases containing personal information being illegally accessed by persons external to the organisation; and

5 Staff accessing personal information outside the scope of their employment.

The effectiveness of any identity card framework is dependent upon many factors and issues ranging from information security (hardware and content); personnel access and control infrastructure; information retention and disposal to facilities and function management. Events over the past decade have highlighted the potential for major information breaches by internal and external sources.

Recent years have seen repeated incidences of public and private sector organisations mislaying or misdirecting devices storing personal identifiers, physical infrastructure not being as secure as required, staff corruption and external interference amongst other catalysts.

An example of these threats was highlighted by a 2007 United States Congress subcommittee investigation into the cyber-security efforts of the Department of Homeland Security. During fiscal years 2005 and 2006, 844 cyber-security incidents were documented against the department (The Australian IT Online 2007).

The object of these incidents ranged from unauthorised computer access, firewall mis-configurations, virus and Trojan infestations, plus classified data "spillages". Concerns were raised that a digital Pearl Harbour attack could occur if serious efforts were not undertaken to promote effective cyber-security within government agencies and private organisations.

From an Australian perspective, the House of Representatives Standing Committee on Economics, Finance and Public Administration during 1999 conducted a review on the administration of the Tax File Number (TFN) system culminating in a report titled *Numbers on the Run.*

The report is damning of the administration of the TFN system. Yet, as of this writing, neither the previous Howard government nor the current Rudd government has yet to respond to the report, despite several members of the committee rising to relatively senior parliamentary or executive roles.

Despite a decade of modernisation by the Australian Tax Office prior to and during the committee inquiry process, there was major work still pending in overhauling the framework that underpinned the TFN's administration.

The lack of a response by the previous coalition government indicates that despite the rhetoric of clampdown, there was little political will to undertake serious remedial work to rectify identified programme deficiencies.

Notwithstanding claims by proponents about possible legislated limitations of any programme, function creep is a near certainty. Even to register (and verify the identifying documentation) the adult population would require systems and policy integration of multiple state and federal agencies to ensure effective document verification.

The ACCI (2005: 2) has highlighted this potential particularly in relation to increased costs for business in complying with any programme expansion. As highlighted by the Australian TFN system, function creep beyond the initial scope of the enabling statute will occur, as agencies demand access to the system for verification of individual's claims for specific services.

UNDERLYING ISSUES OF RECORDKEEPING

The ability of Australian federal governmental agencies to deal with the underlying issues of recordkeeping is also an issue to the success of any programme.

One driver for the adoption of some form of national standard is the interdependence of state and commonwealth agencies during the proof of identity (POI) process (ICAC 2006: 18). The potential for a fraudulent document being accepted by an agency resulting in the issuance of a genuine POI document resulting in a ghost identity is real.

A 2003 ANAO audit of four selected Australian federal agencies found, despite the agencies generally meeting various national standards, that there was "significant risk of non-capture and unauthorised disposal of records" (ANAO 2004) due to:

- Lack of attention on risks associated with recordkeeping, particularly relating to outsourced functions;

- Formal records systems not being fully utilised;

- Limited controls over electronic records, particularly relating to network drives and personal workspaces; and

- Formal long-term sentencing programs for records disposal were not in place.

In addition, the audit (ANAO 2004) identified instances of non-compliance with Disposal Authorities including:
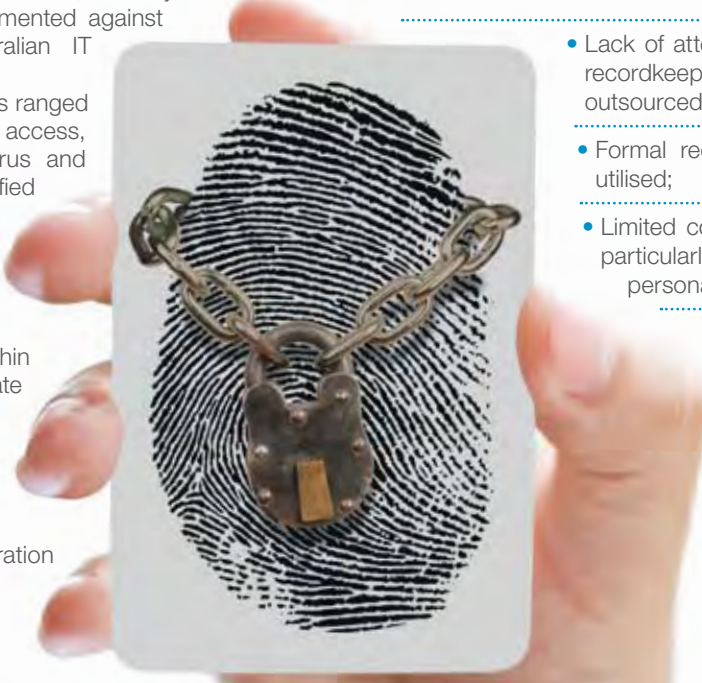
- Contracts with outsourced providers failed to include all elements recommended by National Archive Australia (NAA) with minimal monitoring and review conducted to ensure compliance;

- Physical records not in compliance with NAA standards; and

- Business Continuity Plans did not identify critical records.

An example of how the current POI framework operates was illustrated by a recent survey conducted by ICAC. As part of the survey, ICAC utilised four categories under the Proof of Identity Framework (POIF) adopted by the Standing Committee of Attorneys-General (ICAC 2006: 41):

- **Category One:** Evidence of right to be in Australia;

- **Category Two:** Linkage between identity and person;

- **Category Three:** Evidence of identity operating in community; and

- **Category Four:** Evidence of residential address.

Of 100 public sector agencies, excluding local government and public schools, invited to participate, 82 did so. Table 1 illustrates what identity documents were tendered by the public to the responding agencies:

IDENTITY DOCUMENT	NUMBER OF AGENCIES (82 maximum)	AGENCY PERCENTAGE (100%=82)
Document verifying employment	56	68.29
Rates notice	0	0.00
Public utility notice	3	3.65
Education cards	11	13.41
Membership of trade or professional association	11	13.41
Birth Certificate	1	1.21
Public employee ID Card	56	68.29
State benefit card	1	1.21
Student ID card	8	9.75
Child: letter from school	1	1.21

Table 1: Results from ICAC survey on types of identity documents produced to NSW public service agencies

≫ "IDENTITY THEFT, IN PART, FEEDS OFF A LACK OF SYSTEMS INTEGRITY…" ≪

In the United States, current iterations of state-issued documents such as birth certificates and driver licences incorporate minimal, if any, security features and the supporting information infrastructure is incomplete and aging (Abagnale Jnr 2004). Recent efforts have started to correct these flaws – time is needed to completely correct these deficiencies.

The biggest data breach of recent times was the inadvertent loss of two CD-ROMs containing critical data elements of 25 million United Kingdom residents receiving child benefits by Internal Revenue.

The resulting furore resulted in highlighting the sheer quantity of information currently collected and collated from citizens by governments for service delivery. Without the central index identifier of an identity card regime, the ability to link disparate data elements is somewhat impaired.

The interplay of reducing identity theft with an overarching access card regime would be illusionary. The examples highlighted in recent pages reveal the challenges of maintaining information and system integrity across current frameworks.

The costs associated with establishing any regime, coupled with ongoing compliance and regulatory issues, would serve to outweigh any claimed savings against the public purse. The ACCI has pointed out in 2005 that the costs associated with the Australian system could rise to $5 billion – just during the establishment phase.

Coupled with the infrastructure issues during the establishment and operational phases, having one centralised repository has the potential to encourage a "honey-pot tree" scenario. Here staff or external participants could be induced – by whatever means – to create false records, to delete or alter genuine records, or to access records in an unauthorised manner.

Identity theft, in part, feeds off a lack of systems integrity – the deployment of an identity card regime will be of minimal consequence in negating, and quite possibly aggravate, systemic integrity flaws. **iQ**

- In the next and final instalment of this three-part article, the author poses the question, about the government access card, 'Is it Worthwhile?' A detailed Bibliography, covering all three parts of this article, will appear with the concluding part of the three-article series in the May 2009 issue of *iQ*.

About the Author   ROBERT BROMWICH is a graduate student undertaking studies at Central Queensland and Curtin Universities specialising in Human Resource Management (CQU) and Information Management (Curtin) after taking a Bachelor's degree in Business Administration at Central Queensland University in 2006. Robert is keen to undertake doctoral studies of the interplay between governmental information management and its impact on citizen's involvement and participation in democratic life.

Professionally, Robert plans to develop a career in the Human Resource and Information Studies fields, particularly the influence of current information practices (corporate and regulatory) on the organisation and how they can adapt to global, national and regional changes.

Robert is a member of the RMAA and the Institute of Management.
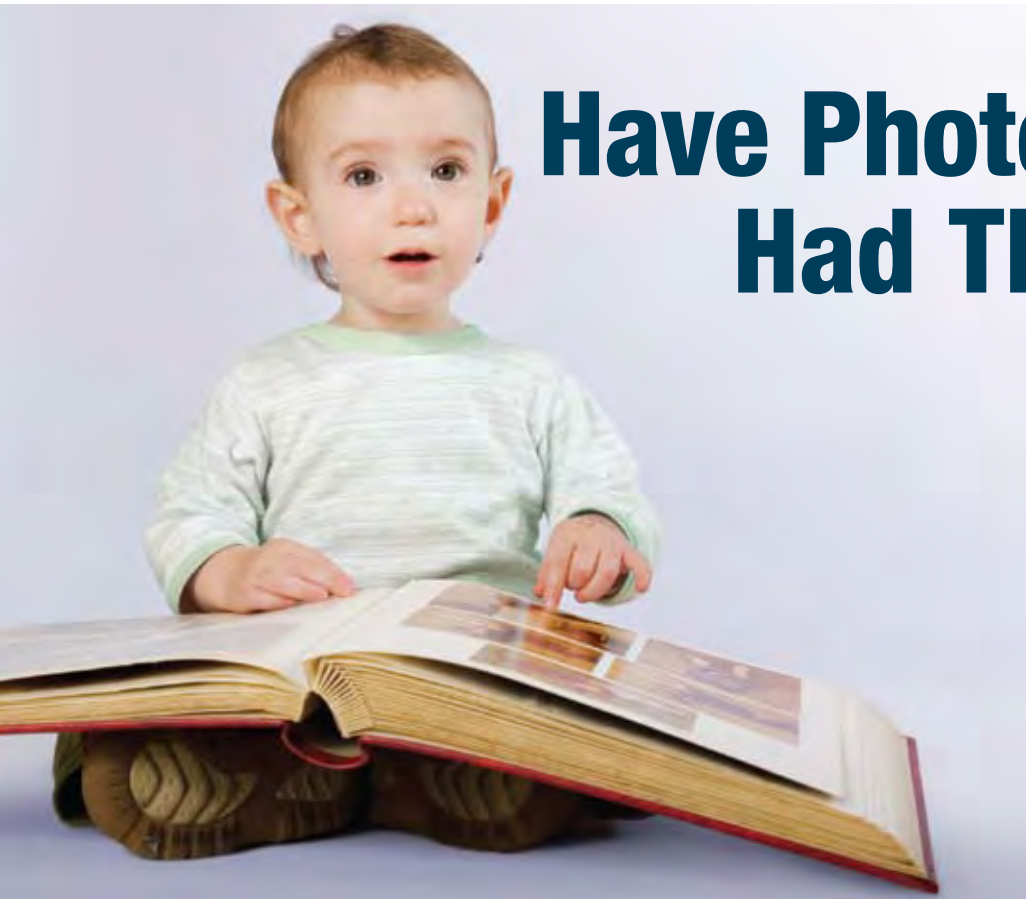
Have Photo Albums Had Their Day?

You would think that digital photography had put an end to the days of storing prints in photo albums. It turns out that we are making more photographic prints than ever before. And photos stored on CD break down over time. Making the choice of the best long-term hard copy storage for both home use and professional conservators still an issue.

BY **DARBY JOHNS**

Digital photography has brought many changes to the ways in which photos are being printed and kept. Although more photos are being taken, with great new low cost cameras and even cameras in mobile phones, the sales of photo albums have plummeted. The reasons are obvious. The ease of keeping pictures on your hard disk or on CDs is appealing and everyone is doing it.

What many people and even some archives do not seem to know or understand is that for long-term storage of photos, computer hard disks and CDs are not viable options. Until the technology improves, it is necessary to keep hard copies, slides and negatives in albums if the objective is to keep them for future generations.

Computer technology and programs are changing rapidly and if photos are required to be kept for many years it is a sure bet that your computer of the future will not be compatible with the programs of today.

Keeping photos on CDs is also increasingly popular and convenient but again it is not a good solution for long term storage according to German physicist and data control expert Kurt Gerecke. He is reported as saying that burned CDs will not last long, vary with quality, and do not offer a long term archiving solution.

MORE PRINTS BEING MADE THEN EVER BEFORE

The latest figures, (see panel) show that photographic prints made at walk-up retail counters such as supermarkets fell by 28% in the financial year 2007-2008, and prints by photo printers dropped by 22% in the same period.

At the same time, prints made at self-serve photo kiosks rose by 20%, and those made on home computers rose by 34%. There was actually a net increase of 12% in the number of prints being made per household. So, where are they being kept?

The problem with photo albums is that they have not kept pace with the times. It is not so long since the shocking "sticky" and "magnetic" albums, and albums made of PVC, were replaced in the market with products that were more photo-safe.

But the typical album sizes were and still are designed for display and the coffee table. When the time comes for filing them they are an awkward size for both the home and archive shelving.

When it comes to filing slides and negatives, even professional archives have had to resort to using such things as steel filing cabinets and suspension files – not the ideal things to have in archives.

And now a new factor has entered the scene –"sustainability". There is international agreement that we must all reduce the cutting down of trees and increase recyclability of the things that we use. How do photo albums made of paper and with metal rings score? Very badly.

THE ANSWER

Albums have not had their day. They are, the best ones, still the only way to go for keeping photographics long term. But new and better designs of albums are needed to meet today's standards.

There is one company in Australia that has lead the world in meeting the challenge of producing better and "sustainable" albums. Over a decade ago, my company, Albox Australia Pty Ltd, introduced significant improvements in ways to keep and display photographic items.

The albums were fitted with nylon rings. Pages for practically all sizes of photos, negatives and slides were designed to fit those albums. In response to requests from professional conservators, we also designed a box and file tray style album to enable the pages to be hung in suspension rather than being laid flat or hung from vertical spines in the albums.

All of these products feature polypropylene in both the pages and the album covers. The entire system is 100% recyclable, acid free, metal free and adhesive free. Because of the use of polypropylene the systems conform to "austainability" requirements. This system is now widely used by archives, libraries, genealogists and homes throughout Australia. Exports, I'm pleased to say, are growing.

"EVERLASTING" FOLDERS

Using the experience we have gained from years in the industry and the advice of many conservators, archivists and records managers, we have recently developed an additional archiving system. This new "Everlasting" system addresses the following criteria:

- All pages will be hung in suspension.

- A new type of folder will provide easier file management, access and display and can be stored/filed/archived very efficiently.

- The new system will be compatible with storage boxes for archive shelving.

- The new system will offer lower costs.

- "Sustainablity" standards of metal free, acid free and adhesive free are maintained.

This additional new system was developed because conservators pointed out that many photo albums are designed primarily for the retail market. They are often bulky and often larger than necessary for displaying a particular subject.

Existing albums can be pretty, but are expensive per unit, and they are not usually able to be filed with the pages in suspension. They have metal rings and do not meet archival standards. The new "Everlasting" albums overcame many of these problems.

DESIGNED TO HOLD VARIOUS PHOTO PAGES

These folders come with 12 pages of the type required. This means 96 6"x4" photos in each folder if those are pages that are chosen from the wide range available. Each page has its own suspension rod. The rods and pages can be removed
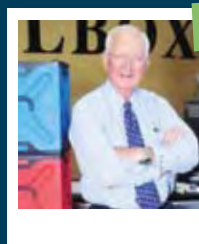
About the Author

DARBY JOHNS is the Managing Director of Albox Pty Ltd, in Adelaide, South Australia. Previously an Australian Government trade commissioner – hence his interest in export – he was the inaugural Chair of the State Records Council of South Australia.

from the folder. The folder spines and covers can be written on – permanent marker pens recommended. The suspension rod just slides into the slot provided in the many page options.

Six of the folders fit into a 180mm wide archive box which is designed to fit standard archival shelving. The box has an index card pocket on the end. Five folders fit into the lighter 150mm archive box.

The result of this system is a modular space saving unit that overcomes the problem in archives of what to do with albums. Conventional albums are not compatible with standard archive shelving and thus not space efficient. And the new system meets the National Archives of Australia's photographic activity test.

The display folder covers are sufficiently flexible to allow the addition of slip covers, which can also be written on and used for creative decorating artwork. Materials used can also be beaded or embroidered. Making the "Everlasting" system attractive for scrapbookers as well as for professional photographers, conservators, and the everyday shutterbug.

Just a little Australian innovation that keeps pace with the fact that photo albums have not had their day, they have just come of age. **iQ**

Australian Photo Print Facts 2007-2008

Percentage of households owning a digital camera	+ 12%	Number of prints made at print kiosks	+ 20%
Number of pictures taken per household	+ 54%	Number of prints made per household	+ 12%
Number of prints made at walk-up retail counters	- 28%	Respondents who had placed or intended placing photos taken during the year in photo albums.	54%
Number of prints made by photo printers	- 22%		
Number of prints made on home computers	+ 34%		

Figures from 'Imaging Industry Trends and Statistics based on 2008 Australia Survey', PMA Australia 2008 Imaging Technology Show, May-June 2008.

PDF Docs Binder:
A new way to produce, present and consume information electronically

Assembling large volumes of documents relating to a project, case or matter from different locations, different files types and formats, converting and distributing them as a single or multi-PDF document is a time-consuming and expensive exercise. Local Australian software developer DocsCorp has added another string to its PDF bow to tackle this very problem.

BY **DAVID WOOLSTENCROFT**

It's late in the afternoon, your manager asks you to assemble and collate 100 documents relating to a particular project and to convert them to PDF, complete with an interactive table of contents and cross-document bookmarks and links. An impossible task, you say to yourself, given that the documents are scattered across the network and some are in the records management system!

DocsCorp has added a new feature to its pdfDocs Desktop application that was developed for projects such as this. Essentially, it automates the process of converting and "binding" vast amounts of documents together into a format or presentation that is easy to read, consume and action. Since the process is less labour-intensive, it reduces costs and frees up personnel to work on other projects.

Three clicks is all it takes: create the binder; add the documents; generate the binder. Need to add or remove a document? Nothing could be easier. Simply add or remove documents and regenerate the table of contents and cross-document bookmarks and links.

MAKING A BUNDLE

Documents and folders, even folders with sub-folders from your system, network or an EDRMS such as TRIM Context can be easily added to the Binder interface. Documents and folders can be rearranged within the Binder with drag and drop ease.

All the documents in the Binder can be converted to PDF or some can remain in native format. You can select a document(s) as your cover page(s), which can be edited in its native application from within the Binder. This is useful if you need to write an executive summary or abstract about the contents of the Binder.

MAKING LIGHT WORK OF BINDERS

The Binder will automatically generate a table of contents, hyperlinks and bookmarks to help readers navigate through the collection of documents. The information they need is just a click away.

To bring all the documents together as a single unit, you can also apply page numbering, date and time stamps or information from TRIM Context itself such as author, Doc ID or version in the document headers and footers. Create and save header and footer settings, which can be applied to a single document or across a collection of documents at the click of a button.

To further reduce the amount of work involved in creating and generating your Binder, you can create templates from scratch or save an existing Binder as a template. Templates can include any security, numbering and watermark settings that are part of the Binder.

"THREE CLICKS IS ALL IT TAKES: CREATE THE BINDER; ADD THE DOCUMENTS; GENERATE THE BINDER"

MAKING CONTENT SECURE

Security settings that come standard are encrypted to prevent users from changing or modifying the content of the documents within the collection; redaction capability to permanently remove confidential or sensitive information from any of the documents; Binder Snapshots lock down folders and documents within the Binder to prevent users from moving or deleting content within the Binder. This protects your templates from being changed or modified or having individuals inadvertently remove core documents from the Binder.

DOCUMENTS IN, BINDER OUT

Once all the documents and folders have been added to the Binder, it is simply a matter of clicking on the Make Binder button. There are three Binder output options available to you: output as a single document, multiple documents or the cover page(s) and table of contents only.

Create the Binder and save it to your network, directly back into your EDRMS (single PDF and cover page only) or to your system. As part of the Binder creation process, Binder will generate an Autorun.inf file for you. This is required to launch your cover page automatically on a CD or a DVD if you decide to burn and distribute the Binder on a CD.

Considering how we currently receive and consume information – email attachments, zipped files, paper-based documents – all unorganised and unstructured – this new technology will change how we produce, present and consume information moving forward.

The pdfDocs Binder technology enables users to assemble and organise information quickly and easily; as a result, readers are able to find what they are looking for in a matter of mouse clicks. iQ

- For more information on pdfDocs Binders, or any of the other products that make up the pdfDocs Solutions Suite (pdfDocs Desktop, compareDocs, formFiller or OCR Server), please call 1300 559 451 or visit www.docscorp.com

About the Author

DAVID WOOLSTENCROFT is one the founding partners of DocsCorp, in Sydney. He is the Vice President of Sales and Marketing and also oversees partnerships and alliances. Prior to DocsCorp, David worked for a number of software companies, (professional services), in various management roles. He also worked for a number of years implementing and supporting ERP systems in Australia and the UK. David's background is in management accounting.

ECU HONOURS AWARD WINNERS

Kerry Cox, the Vice Chancellor of Edith Cowan University (ECU), Perth, WA, recently hosted a reception for the ECU team that won the Group Award in the RMAA's J Eddis Linton Awards for recordkeeping excellence in 2008.

The J Eddis Linton awards were introduced by the RMAA in 2000 to recognise outstanding contributions to the records management industry in three categories: student, individual and group.

The university's Vice-Chancellor formally acknowledged and congratulated the winning team on being presented with the Award. The ECU Records and Archives Management Services team consisted of Bart Gagatek (Team Leader), Darrell Taylor and Mohammad Hossain, with input from Sue Adams (Business Analyst) and Colin Meek (Manager).

The award-winning project had its beginnings in 2006, when ECU was the recipient of An Australian Government grant under the Workplace Productivity Program for a project titled "Enterprise Records Management Solutions".

The project called for a team of four specialists to undertake a number of tasks related to records management at

Pictured in the photograph with Vice-Chancellor Cox (right) are Janice Tracey, ECU Manager of Governance Services, and Colin Meek, ECU Manager of Records & Archives Management Services.

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

The J Eddis Linton Awards committee was impressed with both the thoroughness and quality of the ECU submission as well as the depth and outcomes of the project.

Entries for the 2009 J Eddis Linton Awards will open in May, with August 1 the close-off date. The 2009 winners will be announced in September at the RMAA International Convention in Adelaide. **iQ**

OBJECTIVE AGAIN GETS BEHIND RMAA AWARD

For the fourth year running, Objective Corporation has again stepped up to support the RMAA and recordkeepers throughout Australia and New Zealand by sponsoring the RMAA Article of the Year Award for 2008-2009.

Objective itself received the RMAA's Jim Shepherd Award last year for its support of the RMAA and of the records and information management industry generally.

Tony Walls, Chief Executive Officer of Objective Corporation, told *iQ*, "As the leading ECM solution provider Objective is proud to support the leading publication for records management professionals and a quality association like RMAA. By supporting RMAA Article of the Year we aim to encourage members to contribute editorial articles which foster professionalism in the association and the industry.

"We have been enthused by the range and breadth of topics, and invariably high quality articles submitted," said Mr Walls. "This invariably makes the judging process tough. Subsequently, selecting

Objective
RMAA Article of the Year
AWARD

a winner hinges on the value an article adds to the body of knowledge in the profession and whether it pushes the boundaries, asking new questions of the industry".

The award to open to all members of the RMAA, including people working for organisations that are corporate members of the Association, who have articles published in the *iQ* journal and online in the annual *iRMA* in 2008-2009.

Previous winners have been Michael Steemson of New Zealand, Elisabeth Wheeler of Queensland, Amanda Cossham and Kerry Siatiris of New Zeland, and, most recently, in 2008, Victoria's Allen Hancock.

There are no entry forms involved. Every article by an RMAA member published is automatically eligible for the award.

Articles should be original and creative, must demonstrate the author's thorough grasp of their subject and have the capacity to contribute to the discussion of records and information management industry both inside it and

outside, in Australia, New Zealand, and beyond - several articles that have won the Objective award have subsequently been reprinted overseas.

Elisabeth Wheeler's article, an account of a famous legal case in Queensland with recordkeeping at the forefront, made compelling reading. That article was Elisabeth's first attempt at writing. And it won her an award. There are many other RMAA members out there with stories to tell, experiences to share, and views to put. Like Elisabeth, all you have to do, is put it on paper!

The judges for the Objective RMAA Article of the Year Award are the Editor of *iQ*, a member of the RMAA National Board, and a representative of Objective Corporation. The winner will be announced at the RMAA International Convention in Adelaide in September, and, as in previous years, will receive a top-of-the-line digital camera courtesy of Objective. **iQ**

- If you would care to run an article idea by the Editor of *iQ* for comment or guidance, email editor.iq@rmaa.com.au.

ANNUAL EDUCATION PROGRAMME RECOGNISES STAR QUEENSLAND RECORDKEEPERS

The Queensland Departments of Transport and Main Roads held their annual Recordkeeping Education Programme in Brisbane on 29 and 30 October, which attracted more than 160 government staff from around the state.

The programme was presented by the Recordkeeping Unit of Queensland Transport's Information Management Division, and included guest speakers from Queensland State Archives, Department of Education Training and the Arts, and Queensland Transport's Freedom of Information expert Graeme Healey.

The programme covered topics such as the new Right to Information Bill, Records Management in the Electronic Environment, an interactive session on the discovery process in a litigation situation and Active and Inactive Records Workshops.

A highlight of the programme was the presentation of the annual Record-keeper of the Year Awards presented by Lloyd Carter, Director (Information Governance), Information Management Division.

QT INDIVIDUAL AWARD
Winner: Marion Lucht

The Queensland Transport Record-keeper of the Year Individual Award for 2008 was presented to Marion Lucht from the Southport Customer Service Centre. The award acknowledged Marion's outstanding commitment to records management through the review and implementation of recordkeeping processes in the Southport Customer Service Centre.

Julie Apps, Principal Recordkeeping Advisor told *iQ*, "Marion's hard work and dedication has put Southport Customer Service Centre on the right path to continue better recordkeeping".

"MARION'S HARD WORK AND DEDICATION HAS PUT SOUTHPORT CUSTOMER SERVICE CENTRE ON THE RIGHT PATH TO CONTINUE BETTER RECORDKEEPING"

Queensland Transport awardees Marion Lucht and Annie Boxall with Lloyd Carter, Director, Information Governance, Queensland Transport.

QT GROUP AWARD
Winner: Maritime Safety Queensland Gold Coast Region, Southport

The Queensland Transport Record-keeper of the Year Group Award for 2008 went to Maritime Safety Queensland Gold Coast Region, Southport. Julie Apps said that this team is dedicated to recordkeeping and has a proactive approach in dealing with inactive records. They have initiated practices that have streamlined business activities and processes across the region. Annie Boxall received the award on behalf of her team.

MR INDIVIDUAL AWARD
Winner: Julie Kerr-Reid

The Main Roads Recordkeeper of the Year Individual Award for 2008 went to Julie Kerr-Reid, Business Support Officer (Records), Engineering & Technology. The award acknowledges Julie's ongoing commitment to records management in an ever-changing environment. Julie's knowledge of recordkeeping practices has assisted business areas through major structure changes.

MR GROUP AWARD
Winner: Townsville District Office, Northern Region

The Main Roads Recordkeeper of the Year Group Award for 2008 was awarded to Townsville District Office, Northern Region. The award acknowledges this group's ongoing commitment to records management in a large and diverse organisation. This business area continues to raise the awareness of recordkeeping with regards to roles and responsibilities as government employees by providing ongoing support, education and career development. Jill Price received the award on behalf of her business area.

Lloyd Carter, Director, Information Governance, Queensland Transport, remarked that "the programme was a huge success and helps ensure the departments remain compliant with whole-of-government information standards and departmental recordkeeping standards". **iQ**

DID YOU KNOW?

BY **KRISTEN KELEY**, MRMA, RMAA MARKETING & CONVENTIONS MANAGER

REEL-INFORMATION COMPETITION 2009

The RMAA wants to encourage students to think about the records and information that they may come into contact with, and develop a concept for an awareness advertisement then design a 30 second TV commercial targeting records and information management use, aimed at targeting other young people.

The winners could have their ad professionally produced & shown on National TV, streamed as part of Career Expos, or used at our International Conventions!

The competition is aimed at students aged between 10 and 18 years in Australia and New Zealand. So, if you are a records and information management person with children in this agegroup here's the opportunity for them to learn more about our industry as they educate their peers.

Things to remember:

- Entries are accepted in two divisions: Division A (grades 5-8) and Division B (grades 9-12)

- Entries can be submitted individually or in teams.

- Teams can consist of a maximum of 6 members.

As the ideas and concepts developed are more important than the final product, the competition is also open to students who do not have access to cameras, computers or editing programs, but who can produce a storyboard to demonstrate their learnings and the message they intend to convey.

Great prizes to be won

PRIZES
Division Winners will receive…
$3,000.00 of equipment for their school (including a brand new Apple iMac), plus a $100.00 gift voucher for each team member.

Finalists will receive…
A new digital camera for their school, plus $50.00 gift voucher for each team member.

MORE DETAILS
A list or helpful research links has been included in the competition details document. For full details including Terms and Conditions, or for an official Entry Form please see the RMAA website: www.rmaa.com.au/reel-information/

This competition is being conducted by the Records Management Association of Australasia (RMAA), and runs from 27 January 2009 to 26 June 2009. The judges' decision will be final.

Any queries in regard to the competition or the RMAA can be directed to Kristen Keley on Telephone +61 8 82509374 during business hours.

RIM @ WORK BROCHURES

The first 3 brochures in this series have now been released, and the RMAA is calling for submissions for more brochures to add to the series.

Available for sale and download via the RMAA online shop, the brochures have an area on them for you to place your own corporate information for distribution throughout your company.

Currently available titles are: 'The Information Audit', 'First Aid for Records', and 'Records: Why Bother?'

RMAA members are being sought to write brochure content for the next practical RIM guides. Send us your detailed suibmissions.

- There is no word limit on submissions.

- Submissions should be written in plain English.

- Submissions should contain general information (ie, not be specific to any one type of industry).

- The author has the choice of being recognised on the brochure or remaining anonymous,

- Submissions will be peer reviewed and approved by the RMAA Board before release,

- Brochure content will be owned by RMAA and distributed at RMAA's discretion,

- Every submission will receive 20 CPD points,

- The final accepted authors will be paid AU$300 for their submission on completion of the document approval process and subject to the signing of a release,

- A template is available on the RMAA website to assist authors in their submission.

There is no cut-off date. Submissions are welcome at any time, and queries and submissions can be directed to Kristen Keley, RMAA Marketing & Conventions, Telephone: +61 8 82509374 or Email: Kristen.keley@rmaa.com.au.

- For full details see the RMAA website: http://www.rmaa.com.au/docs/about/rim/

IRMA 2008/2009 NOW AVAILABLE ONLINE

iRMA (Information and Records Management Annual) 2008/2009: Electronic Document & Records Management (EDRM) in Australasia, is now available electronically on the RMAA members only website for download absolutely free of charge.

It is offers 100 pages packed with researched and referenced reports and case studies. It was produced for the RMAA by Dr Margaret Pember (Curtin University) and Dr Roberta Cowan (Murdoch University). Download your copy today.

Snapshot:

The people who help make us tick:

Rebbell Barnes, ARMA
New South Wales Branch President

2009 sees Rebbell's 31st year with local government. "It seems like only yesterday," he says, "that I was a fresh faced 16-year-old beginning as a librarian at Kogarah Municipal Library. Is there anyone who remembers the fun and frivolous Ultimo TAFE Days, before UTS?"

During those 31 challenging years, Reb was seconded to various local government positions, including project management of two state of the art libraries, Botany and Randwick.

"I've agonised over customer services management, where the customer was always right according to the Councillors! Yet I believe my people skills and persona won a few hearts and gave me the impetus to manage this service collegially.

"I discovered a panache for planning and development after completing a planning degree, becoming the first NSW Duty Planner. All of these adventures set me up for my dream job in document management and records.

"The skills learned and earned and the people I've met have profoundly influenced who I am as coordinator of Document Management and Records for Rockdale City Council."

Rebbell's experience has equipped him to implement the latest technological software such as TRIM, which he considers another feather in his cap.

"I've been blessed and often times challenged. I sit and wonder where this exciting, nonstop, fluctuating, technology-driven, world of document management will take us into the future. I hope you celebrate with me the challenge and excitement we face in the world of document management – 'to infinity and beyond'!"

TRUE CONFESSIONS

iQ asked Rebbell some personal questions:

A little known fact about you:
I love all things Chinese, especially fine china. I support the Australian Ballet, as an ex dancer myself, and have a fetish for Louis Vuitton.

Martial Status:
I'm gay and have a wonderful partner Nigel. We have a dog called Montie – a standard Poodle.

How did you get started in RIM?
Went to a Local Government Chapter and was offered the world if I put my name forward; still waiting, people!

A word the best describes you?
Autocratic.

The thing that you best like about your job?
The different challenges each and every day.

The thing you least like about your job?
Bureaucracy.

The most important lesson you've learned?
Don't trust anyone.

Your Motto for life?
"Life, Be In It, and Have Fun With It".

The award/ honor you're most proud of?
Rotary award for Customer Service.

The book that has influenced you most?
Katherine Hepburn's biography – "Live each moment to the full".

Your favourite movie?
Desk Set, starring Katherine Hepburn and Spencer Tracy.

Your favourite singing artist?
Dianna Ross.

Your favourite restaurant or dining experience?
Hyatt at Circular Quay, with a view to die for!

Favourite holiday spot?
Noumea.

Favourite way to spend free time?
Chilling out with old black and white movies.

The vehicle you drive?
I don't drive.

The vehicle you would like to drive?
Bentley, of course with its own driver.

The luckiest moment in your life?
Anticipating on a weekly basis for those balls to drop in my direction. (Lotto, I'm talking about.)

Your business philosophy?
Work hard, achieve greatly.

Your personal measurement of success?
With a collegial approach to management, success lies within the team when we all agree together it was successful.

Your ambitions for the RMAA in NSW?
The attitude and ability to listen to our members and achieve our goals in relation to their needs. To increase our profile. To have a more grass roots approach to information sessions; which means what do you want to hear about and know? To be more involved with IM. To become the epicentre of all organisations, the heart, for without us, they remain only a skeleton in which to function.

Your prediction for RM over the next few years
We'll lose our technophobia and become 'one with the force' of electronic information. RM will become paperless.

How would you like to be remembered by family, friends and colleagues?
He came, He saw, He conquered, and achieved all that he was meant to; all with his flair and love for life.

Your secret dream or ambition?
A world without borders, where all humanity lives in harmony without any racial, religious and organisational violence. Where the human ideologies of love, respect and non judgment are held in high esteem. Where tolerance and peace win out against disrespect and war. For as the song suggests: "…for we are one, though we are many and from all the lands on earth we share…" *iQ*

Rebbell Barnes, ARMA
New South Wales Branch President

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