# iQ

## InfoRMAA Quarterly

## FROM THE AUDITOR-GENERAL'S ANGLE:
### Government Records, and the ANAO

## FOI: LOSING THE INFORMATION GAME

## RECORDS & INFORMATION RISKS
### In the Age of the Flexible Workplace

## MAKING SEARCH WORK

## RECORDS & THE LAW REFORM COMMISSION
### We Interview Commission President, Professor David Weisbrot

# iQ

## infoRMAA Quarterly

**CONTRIBUTIONS & EDITORIAL ENQUIRIES**
Articles, reports, reviews, news releases, Letters to the Editor, and content suggestions are welcomed by the Editor, whose contact details are above.

**_IQ_ ONLINE ARCHIVE**
Copies of articles published in *IQ* since 1984 are available at the Members Only section if the RMAA website, in the *IQ* Article Archive. Complete back issues form February 2005 are available electronically at the Members Only section of the RMAA website.
The Members Only section of the website can be accessed with RMAA membership, or, outside Australia and New Zealand, with the purchase of an *InfoRMAA Quarterly* annual subscription.

# In This Issue

**Front Cover:**
In this issue, our *IQ* Interview and several feature articles cover the subjects of policy, law and compliance, including the must read article Making Search Work on page 40.

# From the CEO

## What's Your Value Proposition?

Today's competitive business environment demands that not only must companies continuously improve themselves, but also the people who run them. As a professional, you must constantly evaluate your skills based on market demand and formulate a professional development plan.

It is your responsibility, and yours alone, to ensure that you continuously educate and elevate yourself. It's your accountability to constantly assess your skills, develop your education plan, and execute against it.

There are no excuses allowed. Instead, it's up to you to model a determined, unshakeable mindset in which, "I will work hard every day to be the best at what I do and continue to enhance my skills so that I'm always a value-add to my customers and organisation."

Ask yourself…."What's my value proposition to the organisation?" I don't mean, what do you do, I mean what value do you provide to the organisation on a daily basis?

A professional and personal value proposition quickly, clearly and indelibly communicates the unique value you bring to an organisation in terms of success, however it may be measured or treasured.

Whether it's revenue, profitability, customer satisfaction, retention, risk mitigation, compliance or something infinitely more personal (eg: education, certification, skills, experiences) you must be able to articulate your acumen and leadership – in short, your value proposition.

Strive to improve and expand. What I want you to do is leave behind being a victim of your own choosing and take control of your own career and development. Remember this one simple, abiding rule: Take advantage of every opportunity.

### Get out of Your Comfort Zone. Risk. Learn. Stretch. Grow. Develop

The experience, skills, and knowledge that you will gain will be life-changing. You will be intelligently and strategically focussed on delivery support value that brought the business goals to life.

So how do you become an agent for positive change? Ask yourself three simple questions:

1. What did I do today to make a difference and add value?
2. What did I learn today?
3. What did I learn today to make a difference and add value tomorrow?

If you never want to stop adding value, then you must never stop learning. With that in mind, the RMAA has made Continuing Professional Development (CPD) compulsory to be recognised as a professional member within the Records and Information Management industry.

### Obligation and Compulsion

Motivation to undertake CPD springs from a desire or need to maintain professional excellence or competence. Without CPD, these personal professional qualities will suffer.

Life's plan should recognise CPD to be just as necessary to the ongoing professional career as appropriate education and training were at earlier stages. Hence, the professional will sense (almost as a matter of conscience) an obligation and compulsion to undertake CPD, or suffer the consequences.

### Employability and Career Advancement

A basic need of most professionals is continuing appropriate employment. Early in a career it becomes apparent that key to value as a professional are current skills and knowledge, springing from education, training and experience. CPD is the professional way to updating skills and knowledge.

It should be seen to help maximise a professional's potential for lifetime employability. Without CPD, one may not remain employable as a professional person.

Without CPD credentials (including professional qualifications), career advancement may be impaired, and new employment opportunities may be reduced. CPD should open the way to improving employability, and finding new career opportunities.

It can provide the professional polish to succeed as an individual, and contribute to business success. All this may lead to opportunities for promotion and mobility of the professional person.

### Professional Registration

The hallmark of professional education and training is professional qualification, leading to registration with a recognised professional organisation (i.e. RMAA). As with other credentials, professional registration can be crucial to career success and fulfilment in life.

Increasingly, in line with an ethos of establishing and maintaining professional excellence or competence, RMAA is stipulating CPD as a duty of professional membership. Written evidence of CPD is required at professional review.

Professional standards must also be maintained current by means of CPD, otherwise professional membership will not be continued. Professional registration, if achieved, may lapse or be forfeit. For Emeritus professional members there is a reduced level of requirements.

### Code of Conduct Requirements

These generally include:

- Undertake appropriate self-management, systematic planning, achievement, evaluation, recording of CPD.
- The preparation, for production, evidence of all this.
- Support of the learning and CPD of others.
- Demonstrate commitment to CPD, as above.

According to the code, CPD may be monitored (for example by audit, a feedback questionnaire, or otherwise) as a key requirement of professional registration.

For more information on the RMAA's CPD Scheme see www.rmaa.com.au or contact me at kate.walker@rmaa.com.au

And a reminder that all CPD logs for professional members are now due.

Finally, congratulations to all RMAA members whose efforts have resulted in their professional status being upgraded over the past 12 months – all of you are listed on the facing page. Keep up the good work.

**Kate Walker**
FRMA MAICD AMIM  MBA BSc (BAdm)
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**RMAA Chief Executive Officer**
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**Kate Walker,**
CEO of the Records Management Association of Australasia

# From the Editor's DESK

This issue of *IQ* is slimmed down a little, to compensate for our bumper Convention-promoting issue last quarter. Yet, somehow, we've managed to squeeze in an amazing quantity and variety of information.

The theme of this issue is 'Policy, Law & Compliance,' and it is crowned by an absorbing interview with the President of the Australian Law Reform Commission, Professor David Weibrot, who, just for *IQ*'s readers, articulates his views and hopes on the subject of records, law and reform involving government, business, and the individual.

The Australian Auditor-General, Mr Ian McPhee, was also good enough to allow us to reprint his very appropriate recent speech to the NAA about the task faced by the Australian National Audit Office in the changing world of government agency compliance and e-records.

In this issue too, regular UK columnist Kenneth Tombs will put a smile on your compliant face, while University of Tasmania law lecturer Rick Snell discusses what he sees as Australia's failure in the FOI arena.

Meanwhile, two industry authors look at the risks entailed in the new flexible workplace and ask, does working away from the office create new information dangers?

We review the recent Sydney Microsoft SharePoint Conference and its RM implications. A British author suggests measures that will make Search work better for us all. And we look at how the Queensland Department of Child Safety is making advances in the way its recordkeepers help protect children in care.

We continue two ongoing series on EDRMS. And in Information Awareness Month (IAM) reviews, three authors in Queensland, the ACT and WA tell us how they and their colleagues made May's IAM hugely successful in their spheres – food for thought for all those considering IAM activities for next May.

We learn about the RMAA's Pacific initiative, and a new RMAA scholarship, and get the lowdown on some debatable issues at next month's RMAA International Convention in Wellington, New Zealand - have you registered? It's still not too late!

## LOOKING FOR RIM TOOL TALES

If you have a story to tell or a solution to sell, *IQ* is looking for submissions for our November issue on the subject of the tools that records and information managers use and need.

We want to hear about everything from storage to disposal, and all things in between. We want to give our readers tips on new ways to overcome old challenges.

So, send me an email if you have an editorial submission. Final copy deadline for November's issue, when we're back to normal size, is October 1 - but the sooner you have your submission in the more likely it is to be accepted.

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

# RMAA Member Status Upgrades 2006-7

**Life**

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|---|---|
| John Behrens | TAS |
| Tina Howard | TAS |
| Brigitte Stephen | SA |

**Member**

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|---|---|
| Sally Algate | QLD |
| Karen Anderson | WA |
| Meryl Bourke | QLD |
| Stephanie Ciempka | ACT |
| Trissa Dent | WA |
| Anastasia Govan | NT |
| Chris Hurley | NSW |
| Kristen Keley | SA |
| Larry Knowles | WA |
| Josette Mathers | WA |
| Trish O'Kane | NZ |
| David Pryde | NZ |
| Veronica Pumpa | ACT |
| Lisa Read White | WA |
| Trish Wichmann | QLD |

**Associate**

| | |
|---|---|
| Sharon Abraham | QLD |
| Sue Adams | WA |
| Carolyn Atkinson | WA |
| Lana Badenko | WA |
| Rebbell Barnes | NSW |
| Lorraine Baulch | TAS |
| Judith Baumann | WA |
| Janet Bethel | WA |
| Robyn Bryan | WA |
| Emoke Burdeu | ACT |
| Alissa Burger | NSW |
| James Butterfield | WA |
| Marilyn Cameron | NZ |
| Maria Carvalho | WA |
| Daniel Chan | NSW |
| Suparna Chatterjee | WA |
| Stephen Clarke | NZ |

| | |
|---|---|
| Cyril Clayton | WA |
| Diane Cooper | WA |
| Maureen Coopers | WA |
| Raelene Cottrell | WA |
| Keith Davis | QLD |
| Gaynor Deal | WA |
| Michelle Dean | QLD |
| Martin Dickerson | ACT |
| Triona Doocey | NZ |
| Clem Dunkley | QLD |
| Tony Ferinda | WA |
| Michael Fraser | QLD |
| Elissa-Jane Fyfe | WA |
| Angela Garnett | QLD |
| Natalie Goodban | WA |
| Rebecca Grumley | VIC |
| Maria Gutmann | WA |
| Dorothea Hanson | WA |
| Dianne Harley | WA |
| Bernadette Harris | QLD |
| Julia Harris | NZ |
| Peter Henderson | ACT |
| Patrick Higgings | QLD |
| Tracy Houston | QLD |
| Carol Jackway | VIC |
| Debra Jones | WA |
| Vereka Jury | WA |
| Ken Kearney | QLD |
| Moira Kennedy | WA |
| Lydia Kimovitch | NZ |
| Susanne Kinghorn | VIC |
| Greg Leigh | QLD |
| Stuart Mackenzie | QLD |
| Michele Marsburg | NZ |
| Shane Martin | ACT |
| Fiona McRostie | VIC |
| Keith Metcalf | QLD |
| Ben Musgrove | WA |
| Lisa Oliver | WA |

| | |
|---|---|
| Hazel Packard | QLD |
| Shona Powdrill | WA |
| Leon Power | WA |
| Helen Quaggin-Molloy | NSW |
| Sean Quigley | WA |
| Helene Rajsic | NZ |
| Mark Roberts | WA |
| May Robertson | NSW |
| Gerard Rooijakkers | NZ |
| Justin Rowsell | QLD |
| Ron Russell | QLD |
| Jenny Ryan | ACT |
| Debra Scully-Simpson | QLD |
| Barry Shields | NSW |
| Ross Smerdon | QLD |
| Wendy Squires | WA |
| Joanne Standing | WA |
| Joyce Stevani | WA |
| Bill Tang | Hong Kong |
| Peter Turner | NZ |
| Monica Van Buerle | WA |
| Diane Weatherhead | NZ |
| Marie Waldeck | WA |
| Marg Warry | QLD |
| Grant Watson | QLD |
| Sarah Welland | NZ |
| Jacqueline White | WA |
| Tegan White | QLD |
| Neil Whiteley | WA |
| Alison Wood | ACT |
| Anne Woodhams | WA |

**RMAA**
Records Management
Association of Australasia

# Recordkeeping Milestone at Queensland's Department of Child Safety Aims to Keep Children Safe

**BRISBANE: The 2007/08 Department of Child Safety budget has provided for the permanent appointment of 48 recordkeepers as it strives to meet the requirements of Information Standard 40: Recordkeeping and enhance its role in the protection of children in care.**

The 2004 Queensland Crime and Misconduct Commission (CMC) report into the former Department of Families, 'Protecting Children: An inquiry into abuse of children in foster care', described departmental recordkeeping as 'wholly inadequate' (page 43).

As a result, the Department of Child Safety was established and a suite of reforms were initiated including the Recordkeeping Improvement Project.

Department of Child Safety Records Management Services Manager Nicole Atkinson told *IQ* that the transformation of recordkeeping relating to children in care is now well under way.

Nicole, who has been with the department since its inception, describes the latest developments as "truly exciting".

She said the Recordkeeping Improvement Project drove the development of a recordkeeping programme encompassing policy and procedures, a Business Classification Scheme and a retention and disposal schedule.

Reviews were conducted to identify and process all records that had not been managed appropriately in the past and, as a result of a pilot, seven temporary records officers were appointed - one officer located in a child safety service centre in each of the seven zones across Queensland.

Nicole said the pilot was a "huge success" that led to the appointment of 48 temporary records officers - one in each child safety service centre in Queensland.

"We already know that the benefits of these positions are significant and measurable," Ms Atkinson said.

"We are now able to create and record 5,000 client files each month, up from 1,000 before the appointment of records officers."

While staff are responsible for their own filing, having dedicated records officers who can create, register, maintain and track the physical files as well as respond to all requests for information provides significant benefits to child safety service centres.

"Records officers train staff on good recordkeeping practices to embed the culture that recordkeeping is everyone's responsibility," Nilcole Atkinson said.

Child Safety Officers now have access to well organised, easy-to-locate information



**Nicole Atkinson**, Manager of Records Management Services with the Queensland Department of Child Safety

that can be used to make better decisions for their clients.

As a result, 48 designated records officers and five strategic recordkeeping positions have now been made permanent.

"Although there is still some way to go before the department can fully comply with Information Standard 40: Recordkeeping, there is clear progress towards this," Ms Atkinson said.

"The commitment to permanent designated record keepers confirms that recordkeeping is a priority in the department and that the inadequate recordkeeping of the past will not be repeated."

# An Objective Look at Criminal Files Sees Cold Cases Solved in 38 Minutes

**PERTH & HOBART: Western Australia Police (WAPOL) and Tasmania Police recently combined to rapidly track, compare and collate cold case evidence using WAPOL's Objective EDRMS, resulting in a suspect being charged with a string of previously unsolved crimes.**

After the WAPOL Crime Files Coordination Team received an urgent request in June from Tasmania Police for a file check regarding a suspect being held in custody in Hobart, the Perth team swung into action.

The WAPOL team employed their EDRMS to search their files and find matching unsolved case information, compiling a comprehensive portfolio of data on the suspect.

Old case files were linked by the EDRMS, physical documents located and converted to PDF, and all the information emailed to the Tasmania Police Criminal Investigation Branch (CIB) in Hobart. Total time involved was 38 minutes.

Serious charges were laid against the suspect by Tasmania Police, and further charges are expected pending the suspect's extradition to WA.

According to a 19 June Objective Corporation media release, several other suspects have also been charged by WAPOL with various unsolved crimes using the same method of scanning cold case data via their EDRMS.

# Auto Comparison of Docs in Different Formats Now Possible

**SYDNEY: DocsCorp has released an enhancement to its pdfDocs Solutions Suite that automatically compares documents from different formats.**

Said DocsCorp President Dean Sappey, in June media release, "While there are a few document comparison solutions available that compare Word-to-Word, or PDF-to-PDF, there are no products on the market that allow you to compare apples with oranges, so to speak."

Sappey enthused about the new DocsCorp product, CompareDocs: "With CompareDocs there are no restrictions – you can now compare anything to anything – Word-to-Word, PDF-to-PDF, Word-to-PDF, Word-to-anything, PDF-to-anything."

For more information, go to: www.docscorp.com

# New Ipswitch Servers Maximise File Transfer Speeds and Document Security

**SYDNEY: US developer of network monitoring, messaging, and managed file transfer solutions, Ipswitch Inc, has released new servers in Australasia designed for swift, secure information transfer over the Internet.**

Ipswitch's WS_FTP Server 6 models have expanded its WS_FTP Server to maximise high-speed delivery, security, auditing, compliance and remote administration capabilities.

According to Ipswitch, the servers' security and logging capabilities exceed compliance and governance requirements, and enable compliance with Sarbanes-Oxley, HIPAA, PCI DSS, BASEL II, and J-SOX.

Ipswitch's A/NZ master distributor is Digital Networks Australia.

# Two Tassie Councils Go Live with DataWorks

**HOBART: Glenorchy Council in Hobart's populous northern suburbs and Circular Head Council in the island state's far north-west have both rolled out a new DataWorks EDRMS from Avand.**

Having launched stage 1 of its DataWorks EDRMS in the HR department in January, Glenorchy Council moved to stage 2 in July by extending it to all property files, involving 150 desks.

Initially, some Glenorchy Council staff were concerned about the internal security of electronic HR files. Said the Council's Information Management Coordinator, Anna Holland, in an Avand media release, "We've proven,

however, that security within DataWorks is first class and only the people who need to access the files can do so."

Meanwhile, in the rural north-west corner of the island, the Circular Head Council became the 11th of 29 councils in Tasmania to adopt DataWorks when it rolled out the system in its HR department on June 1.

John van Gaalen, Manager, Corporate Services with Circular Head Council, said, in an Avand media release, that Council liked the fact it would be able to contribute to the evolution of its DataWorks system.

## British Columbia Goes All the Way with TRIM

**VICTORIA: The government of the Canadian province of British Columbia (BC) has committed to a whole of government deployment of TOWER Software's TRIM Context EDRMS.**

The BC Ministry of Forest and Range reviewed their RM processes in 2003, and a key recommendation of the review was the training of 3,000 staff in RM business practices using a Web-based training tool. That was where TRIM Context came in.

Initially, the Ministry converted all physical records from a legacy system and inventoried all backlog records. It then adopted TRIM's email function. Soon, the Ministry of Transport followed suit.

Today's 11,000 TRIM Context users across the 2 departments will be steadily joined by users across all aspects of BC Government.

## WA Factors Objective into its Plans

**PERTH: The Western Australian Department of Planning and Infrastructure has selected an Objective solution to meet the RM needs of more than 1,700 staff.**

The 7-year contract, worth a minimum of $3.6 million, provides for Objective EDRMS implementation and support covering all

Planning and Infrastructure Department areas of responsibility, ranging from city planning to taxi regulation.

This contract was the first new business to be awarded under WA's recently established preferred supplied panel for EDMS. Within weeks, Objective was also announcing that it had also been selected to provide WA's Health Corporate Network (HCN) with a 650-user ECM.

These contracts came shortly after Objective gained full VERS compliance certification from the Public Records Office of Victoria. Objective became the only Australian vendor currently certified on both VERS Specification 1 and Specification 2 of VERS Version 2.

## Poor Recordkeeping No Excuse for Rejecting Pension Application

**WELLINGTON: A High Court judge has ruled against a decision by New Zealand's Secretary of War Pensions to reject a war pension application by a former member of the Royal New Zealand Navy because of inadequate records.**

Toby Hikaka served during the Malayan Emergency in 1959. When he applied for a war pension, Secretary of War Pensions Jessie Gunn and the Social Security Appeal Authority both rejected his application.

The Government claimed Hikaka's ships had not been involved in active operations, and that only limited records had been kept by the Navy about what HMNZS Royalist had done in 1959 when Toby Hikaka was an able seaman aboard her.

Hikaka, 68, had not taken no for an answer. He took the Government to the High Court, and won his pension.

On June 27, Justice Ronald Young ruled, "It was obviously unsatisfactory for the Crown to refuse a pension because of inadequate proof arising from its failure to keep proper records." (Wellington *Dominion-Post*, June 28, 2007.)

## Cheney in Eye of Records Storm

**WASHINGTON DC: Twice within a week in June, US Vice President Dick Cheney was the central figure in failed attempts to obtain records kept by his office.**

On June 21, Congressman Henry Waxman, Chairman of the House Oversight Committee, disclosed that over several years Cheney had repeatedly refused to comply with routine annual requests by NARA's Information Security Oversight Office (ISOO) for data on classification of internal documents. This audit is required by presidential executive order.

According to *The New York Times* of June 22, in 2004 Cheney also blocked an on-site inspection of records in his office. The notoriously circumspect Cheney claims he is not subject to oversight. He has suggested the ISOO be abolished.

A week after the Waxman disclosure, the Senate Judiciary Committee subpoenaed Cheney's office for documents relating to President George W Bush's controversial 5-year programme of eavesdropping on US citizens without warrants.

With Cheney demonstrably determined not to release his records, this affair is tipped to go the US Supreme Court.

## SNIA ANZ Sets Education High on New 3-Year Agenda

**SYDNEY: The Storage Networking Industry Association of Australia and New Zealand has announced a new 3-year strategic plan for the Association.**

SNIA says that education lies at the heart of its new strategic plan. 'SNIA ANZ intends to use its extensive marketing programme through events and regional conferences to deliver a diverse mix of educational content to a wider audience,' said an Association media release in June.

Said Association chairman Jacob Van der Eyk, in the media release, "We have a unique

opportunity to influence the growth and adoption of technology because of our vendor neutrality and the depth of our contents based on standards and best practice."

# Singapore's City Gas Makes EDRMS Connection

**SINGAPORE: National gas supplier City Gas has opted for an Objective solution to enable its entry into the digital RM world.**

In 2002, City Gas was spun off from PowerGas Ltd, which had been supplying gas to Singapore since 1861. City Gas produces and retails town gas and natural gas to the domestic, commercial and industrial sectors.

Ninety percent of new high density building estates in Singapore are connected to the City Gas pipelines, as are many landed properties, via a 2,600-kilometre pipe network.

In an Objective media release, City Gas IT Manager Lawrence Siow said that the new EDRMS will serve a variety of City Gas divisions – Customer Service, HR & Corporate Services, Sales & Marketing, Finance, and Production.

# Documents Reveal Chaotic CIA-Mafia Plot to Kill Castro

**WASHINGTON DC: Among US Government documents declassified in June, a 1961 Central Intelligence Agency memorandum spelled out the spy agency's plot to assassinate Cuban president Fidel Castro, with the then CIA Director's approval.**

According to MSNBC on June 26, the 5-page CIA memo declassified that same day made it clear that 'the DCI (Director of Intelligence) was briefed and gave his approval' for Castro's assassination. The CIA proposed to pay the Mafia US$150,000 to engineer Castro's 'removal.'

At the height of the plot, says the memo, mob boss Sam Giancana asked his CIA contact to find out whether his girlfriend, a member of the McGuire Sisters singing group, was having an affair with Dan Rowan - of the Rowan and Martin 'Laugh In' duo. To keep the Mafia onside, the CIA agreed,.

The CIA operative sent to bug Dan Rowan's Las Vegas hotel room was arrested by Sheriff's deputies, who led them to his CIA boss. The CIA was forced to ask Attorney-General Robert Kennedy, President Kennedy's brother, to intervene to prevent the CIA men from being prosecuted.

The memo says the plot was cancelled after the Mafia hit man employed to kill Castro developed cold feet.

# IN MEMORIAM

# J Eddis Linton, RMAA Co-Founder



A robust-looking **Eddis Linton** at the RMAA International Convention in 2004, then aged 83

The RMAA family regrets the passing on June 1 of one of the Association's co-founders, J (John) Eddis Linton, at the age of 86, at Berkely Vale, New South Wales.

A veteran of the 2/9 Field Regiment (WWII), he is survived by his daughter Shari, 4 grandchildren, and several great grandchildren.

RMAA CEO Kate Walker said of Mr Linton, "Eddis is a legend in the records and information community, and continued to be involved with the Association to the end."

J Eddis Linton was a driving force among the small group of recordkeepers who founded the then Records Management Association of Australia in 1969. He was New South Wales Branch President from 1969 to 1970, and National President of the Association from 1972 to 1975.

Another early records management pioneer in New South Wales, Peter A Smith, a Life Fellow of the Association, has written the following tribute to Eddis:

'There are some special people who have vision and purpose in life, and the ability and dedication to fulfil their dreams. I have had the privilege to have known two people who have done just that, these two people, Tony Poynton and J Eddis Linton, have had a profound impact on my professional life and my attitude to life in general.

'I first met Eddis in the early 1950's, and it was very evident that he was one of those special people. When recordkeeping and its management was still a fledgling industry in this country, he was intent in giving records and information management credence in our society.

'Eddis was gentle man and a gentleman, and in some respects a private person, but his belief in the importance of recordkeeping and the status it deserved left no doubt in the minds of those who met him of its significance and of its future.

'I am sure that Eddis would see his life's work as a "work in progress" to be carried on by others with a similar dedication.

'He was a driving force for the improvement in the standard, quality and recognition of the profession and our Association. His love and passion for the industry gained him respect both in this country and internationally.

'I deem it a privilege to have known J Eddis Linton as a colleague, and more importantly as a friend.'

In 2000, in recognition of the formative role played by Mr Linton in the records management industry, the RMAA inaugurated the J Eddis Linton Awards, which recognise excellence in recordkeeping in Australia and New Zealand, with categories covering individuals, groups, and students. Like J Eddis Linton himself, the 'Lintons' have become leaders in their field.

"Eddis meant a lot to me and the Board," said Association CEO Kate Walker, "and whilst many of our members were not born when he was practising, we have and will continue to remind them of the community and excellence he built, and the traditions he started." iQ

# Shedding Light on RM and Compliance

Microsoft's **Tony Wilkinson**

A Microsoft SharePoint Conference Report, by TONY WILKINSON, Director of the Information Worker Group with Microsoft Australia

**SYDNEY:** **When Microsoft hosted the APAC SharePoint Conference in Sydney in mid May, one of only three such conferences held around the world, records management and compliance were key focuses of over 650 attendees from throughout the APAC region.**

The introduction of records management and compliance functionality into Microsoft's Office System 2007 (MOSS 2007) - which includes Microsoft Office SharePoint Server 2007, Exchange Server 2007 and Office Communications Server 2007 - represents a significant shift for many records managers.

The Conference's 'Records Management and Compliance' session provided insight into information management policies, records repositories, litigation hold, and email records management capabilities in MOSS 2007.

In June 2006, Microsoft commissioned an analysis of how organisations manage records and compliance. It found many relied on 'point solutions' to meet compliance needs – small-scale, often line-of-business deployments of a high-end solution to address new laws or regulations. The end result can be several compliance silos using overlapping technologies. Microsoft published these findings in its 'Regulatory Compliance Planning Guide'.

Microsoft's analysis suggests organisations would prefer a more holistic framework featuring a common set of underlying document and records management services that can be applied to any part of the organisation when a new regulation appears.

"Delivering a holistic records management framework through Microsoft Office is also viewed as the critical next-step to reducing the overall cost of records management and compliance projects," said Jon Barrett, Solutions Specialist, NSW Public Sector & Utilities at Microsoft Australia.

"Cost savings are achieved not only by adding enterprise-grade records management capabilities to the Microsoft Office System, but also by

leveraging integration across the Microsoft Office architecture – for example, taking advantage of the integration between Exchange Server 2007 and SharePoint to set and enforce records management and compliance policies relating to email."

With this in mind, Microsoft demonstrated new features of Exchange Server 2007 and Office System 2007 integration designed to streamline records management and compliance functions.

A new role has been added within the Exchange 2007 topology. Known as the Microsoft Exchange Server 2007 Hub Transport server role, it is designed to handle all internal email flow.

Importantly, it enables IT administrators to set up business rules to monitor and make compliance decisions based on characteristics of the email traffic. The Transport Rules agent enables organisations to create rules based on conditions, exceptions, and actions. Conditions apply to users, distribution lists, and message contents. Exceptions enable the exclusion of specific users, distribution lists, or SMTP connectors.

If an 'ethical wall' is required to prevent two internal groups from sharing information, the organisation can set up one group's email addresses in 'List A' and the other's in 'List B'.

If someone from 'List A' tries to initiate email contact with a recipient from 'List B', the hub can automatically block email delivery and forward a copy of the message to an internal Compliance Officer.

Compliance Officers can also establish business rules to check the content of incoming and outgoing email through the hub. This could be used to recognise and delete sensitive content or to add a legal disclaimer to outgoing email.

In a more complex scenario, the rule can be used to determine whether an email qualifies as a record and to quarantine, store and archive it.

Conference attendees also viewed demonstrations of Messaging Records Management (MRM), a new Exchange Server

2007 feature. MRM uses managed folders to quarantine and periodically process messages according to the mailbox policies. MRM is particularly useful for temporary archiving of emails not attached to a specific project.

For longer-term archiving, Exchange Server 2007 can copy it to either a SharePoint repository or external records management system, using a process known as journaling.

Emails can be sent to any location with an SMTP email address, including another Exchange mailbox. The records management system then picks up the email and can either check it into the system or place it in a queue for a Records Manager to classify manually.

Microsoft partner Unique World showcased a records management solution built on MOSS 2007 platform targeting organisations subject to ECM legislation.

"We are currently working with various records standards administrators to deliver SharePoint-based solutions that are compliant with various Australian records regulations," said Unique World's sales director, Elon Aizenstros.

Attendees heard that SharePoint hold features are designed to respond to events such as litigation by superseding the expiration policy of specified records without losing the record's original retention data.

Microsoft's new Enterprise Search engine built into SharePoint Serve can index SharePoint sites and repositories, Exchange Servers, Lotus Notes servers, websites, file systems and line-of-business data via the Business Data Catalog.

SharePoint's Enterprise Search also has the ability to index other repositories or federate searches to other repositories, and many third-party content management solution providers have taken advantage of this to allow SharePoint Search to return results from their repositories alongside the results from repositories that SharePoint natively indexes. **iQ**

**SPECIAL REPORT** *SPECIAL REPORT* **SPECIAL REPORT** *SPECIAL REPORT* **SPECIAL REPORT** *SPECIAL REPORT* **SPECIAL REPORT**

# Effectively control your data.

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# Records, the Law, and Reform

**The President of the Australian Law Reform Commission, PROFESSOR DAVID WEISBROT AM, discusses a range of records-related law reform issues with *IQ*, including electronic records and discovery, children's health records online, criminal record access, privacy and FOI.**

*IQ:* **Professor, when was the ALRC created, and when did you become President?**

DW: The ALRC was established in January 1975. The first head was Justice Michael Kirby, and other inaugural Commissioners included Gerard Brennan (later to become Chief Justice of Australia), Gareth Evans, John Cain (later to become Victorian Premier), and Professors Alex Castle and Gordon Hawkins. I became President in June 1999, and my current term extends to August 2009.

*IQ:* **In a nutshell, what is the role of the Commission?**

DW: We are the legal and social policy 'think tank' for the Australian Government, working on major projects formally referred to us by the Attorney-General, which require detailed research, extensive public consultation and then sensible and creative policymaking.

Some of the projects during my time here include a review of the federal civil justice system; the protection of human genetic information; gene patenting; the handling of classified and security sensitive information; sentencing of federal offenders; and sedition laws.

We are currently reviewing (a) Australian privacy laws and practices,

circumstances under which they may legally be destroyed both on the front page and on corporate agendas. The Victorian Government has responded to that case with relevant legislation. Would the ALRC like to see uniform Australian law on this subject?

DW: Absolutely. This is very much the flip side of our current inquiry into legal professional privilege, in which we are calling for a national approach. Similarly, in our relatively recent report on Uniform Evidence Laws (ALRC 102, 2005) we argued strongly for a uniform, national approach to evidence law and related practice—and that is now looking more promising than ever.

The federal Attorney-General has strongly endorsed the report and recommendations, and happily the Standing Committee of Attorneys-General (SCAG) has given this priority handling.

*IQ:* **In your view, is there a need to update laws about how electronic records are kept and accessed in relation to legal cases in Australia? If so, what improvements would you like to see in relation to e-discovery law?**

DW: In the Uniform Evidence Laws report, the ALRC recommended

> **'Given the changing technology and pattern of communication, we've sugggested using a much broader definition of an electronic communication'**

and (b) legal professional privilege in relation to federal investigatory agencies and royal commissions.

*IQ:* **What is the Commission's role regarding Freedom of Information legislation?**

DW: The ALRC has no formal ongoing role in this area. However, the ALRC completed a review - in association with the Administrative Review Council - of the FOI Act 1982 (Cth) over a decade ago, culminating in the Open Government report (ALRC 77, 1996), which made many recommendations aimed at improving the law and practice in this important area.

For example, we recommended the creation of an independent, statutory Information Commissioner to monitor and improve the administration of the FOI Act and to assist applicants and agencies.

Other key recommendations involved rationalising the exemption provisions to apply only where there is a clear public interest in withholding; and ensuring that cost should not be an obstacle to gaining access to an applicant's personal information.

Unfortunately, these recommendations have never been implemented. There have been a number of attempts to revisit these reforms by Parliamentary committees or through private member's bills, so the ALRC has been called upon to make submissions and comment on these efforts.

*IQ:* **The 2002 legal case of McCabe versus British American Tobacco Australia put questions relating to the destruction of records and the**

a number of key improvements in this area. For example, s 71 of the Evidence Act (Cth) currently refers to documents 'recording a message that has been transmitted by electronic mail or by a fax, telegram, lettergram or telex'.

Given the changing technology and patterns of communication, we've suggested using a much broader definition of 'an electronic communication', drawn from section 5 of the Electronic Transactions Act 1999.

Similarly, the Evidence Act (sections 160–163) currently facilitates proof of postal articles, telexes, lettergrams, telegrams and letters sent by Commonwealth agencies, by applying presumptions relating to the sending (or transmission) and receiving of these communications.

However, there is no equivalent provision facilitating proof of electronic communications, meaning that the transmission and receipt of these must be strictly proved. We have recommended amendment of the Act to fix this up. As far as I am aware, this has not been a controversial suggestion, and I hope that both reform and uniformity will soon be achieved through the SCAG process.

*IQ:* **The British author of an article in this issue of IQ, (Making Search Work), believes that it will not be long before larger corporations employ fulltime Information Search Managers, or Discovery Managers, to make sure that all their e-records are managed to meet discovery law requirements. Would you like to see that?**

DW: I agree with both the assumption, and the compelling logic of this

development. It would now be the rare major corporation or government agency that does not employ a Chief Information Officer (CIO) or equivalent, and law librarians have shifted their primary focus from books and materials to online databases and search facilities.

We are certainly hearing in our Legal Professional Privilege inquiry that many problems can be avoided, or at least minimized, in dealing with subpoenas for electronic documents if a firm has developed intelligent practices in relation to the creation, designation and storage of files—and it seems that some are better than others at this.

Although it is early days, I expect that most of our ultimate recommendations in this area will focus on best practice and procedure by law firms and regulators, rather than on amendments to the legislation.

*IQ:* **Late in 2006, the ALRC commenced a review of Australia's privacy laws, with the final report to be presented to Government**

pages? Or, will an HR Manager in 2017 think to themselves, "Well, that's typically risqué, but not alarming—if I disqualified every candidate with an embarrassing photo on the web, I wouldn't be able to hire anyone. And I'd have to resign myself!"

Whether or not legislative action may be required, there is definitely a need for good information, education and further study.

The Office of the federal Privacy Commissioner (OPC) has issued guidelines on the development and display of privacy policies and notices on website, and the Australian Direct Marketing Association (ADMA) publishes tips for parents about how to protect children's privacy online.

A sound longitudinal study of changing attitudes in Australia also would be helpful to future policymakers.

*IQ:* **Is it possible to legislate controls on what goes on the Internet? We are already seeing corporations suing other corporations over copyright infringements on websites? Will the Internet become self-regulatory to an extent?**

> **In my day you might write an angry diary entry about how awful your family, friends or teachers were; but then in the morning you'd come to your senses, rip it up, and no harm done. Now, it's just out there**

DW: Perhaps what's most surprising is what a huge project this has turned out to be - with the increasingly pervasive reach of electronic information and communications technology, privacy issues arise in almost every area of life, from work to shopping to a day at the beach.

*IQ:* **The ALRC has been conducting youth workshops around the country to learn the privacy concerns of young people. We hear that young people are worried about their privacy in cyberspace, about unauthorised photos taken with mobile phone cameras going online, and there are horror stories of Internet 'postings gone wrong'. Is this what the ALRC is finding?**

DW: I think their parents are a lot more worried! Yes, we are hearing some horror stories. In my day you might write an angry diary entry about how awful your family, friends or teachers were; but then in the morning you'd come to your senses, rip it up, and no harm done.

Now, it's just out there, with much more limited options for retrieving and deleting material others have seen. The ALRC is exploring whether there is an emerging fundamental, generational shift in attitudes that should be reflected in law and practice, or whether this is just the eternal recklessness of youth played out in a new medium.

Young people certainly seem to be much more comfortable in disclosing personal information and images than I was at that age (and still am), and far more comfortable than my parents' generation.

The question is, will they feel the same way when, in coming years, potential employers or in-laws can access their MySpace or Facebook

DW: We need sound legislation, industry codes and practice standards to provide the policy framework. For example, we need to make every effort to prohibit material that promotes hatred and violence, or child pornography or other horrible exploitation, or attempts to perpetrate fraud or other criminal activity.

We can attempt to enforce such laws domestically, and internationally with the cooperation of other national and international law enforcement authorities. But that's not to underestimate the challenge of enforcement in this technological environment, where it's not too hard to host websites in places with little or no capacity or appetite for regulation.

I think we need to concentrate law enforcement activity and resources on high priority areas and worst offenders. For the most part, the internet operates pretty well—amazingly so, actually—on the basis of self-regulation.

In common with other mass media for expression and commerce, there inevitably will be some mega-lawsuits and prosecutions, but there will be much more compromise, cooperation and common sense.

*IQ:* **At what age does a young person's right to privacy begin?**

DW: Article 16 of the United Nations Convention on the Rights of the Child 1989 - to which Australia is a signatory - provides that: 'No child shall be subjected to arbitrary or unlawful interference with his or her privacy, family, home or correspondence, nor to unlawful attacks on his or her honour and reputation'. There are also some international standards in relation to children caight up in the criminal process - eg the Beijing Rules 1985.

There is no minimum age for privacy protection specified in the Privacy Act 1988 (Cth). When the law was extended to the private

sector in December 2000, there was some discussion about requiring commercial services to obtain parent consent before collecting, using or disclosing personal information from a child aged 13 or under. However, this did not find its way into the law.

The Internet Industry Association (IIA) has developed a Privacy Code of Practice which is currently under consideration by the OPC. The Code includes a specific provision requiring that a parent or legal guardian provide consent on behalf of a child under 13 prior to disclosure of sensitive information collected from or about the child.

Finally, there are also some specific areas cutting across privacy in which children's privacy rights and interests are specifically regulated—for example, in relation to censorship; the reporting of children's court and family court proceedings; access to school records; the capacity to consent to medical treatment and organ donation; the capacity to enter into a contract; and so on.

*IQ:* **With health records increasingly going online, should parents be able to access the electronic health records of their adolescent but underage children?**

DW: This is a tough one, speaking as a policymaker and a parent. Privacy rights are not absolute, whether for adults or children—their exercise is always contingent upon the need to balance other competing rights and interests -national security, law and order, child welfare, etc.

In the area of health, there is often a natural tension between the rights and interests of children and their parents. Similar issues also arise in relation to adults who lack decision-making capacity.

As mentioned, the Privacy Act and other Australian health information laws reflect the approach taken in medical practice and do not prescribe age limits at which a young person is assumed to have, or not have, the capacity to make important decisions on his or her own behalf.

The position of the Australian Medical Association (AMA) is that if a young person is able to make autonomous decisions regarding medical treatment and wishes the treatment to remain confidential, his or her doctor must respect and maintain that confidentiality.

Basically, when a doctor sees a child or young person without the attendance of a parent or guardian, the doctor has to assess the young person's capacity to consent to the recommended medical advice or treatment.

The doctor should take into account such factors as: the maturity of the young person; the capacity to understand and appreciate the proposed procedure and the consequences of the treatment, as well as possible consequences of not receiving treatment; the gravity of the presenting illness and treatment; and family issues.

In most cases involving sensitive or serious health concerns, parental involvement is normally encouraged—and experience suggests that the the involvement of supportive parents may be a key element of successful treatment.

However, it is not always possible or desirable to involve a parent or guardian in this way—the most obvious case being where there is evidence of child abuse by a parent or guardian.

In 2003, the Health Insurance Commission changed its privacy policy, increasing the age to 14 (from 12) when children are required to give consent before their parents can access their Medicare records.

The policy now provides that: (a) if a child or young person of any age has their own Medicare card, no information related to the use of the card can be released to a parent or guardian without the consent of the child; (b) for a young person aged 14 or 15 on their parent's Medicare card, information generally will not be released without that child's consent—but the parent or guardian may request Medicare to approach the doctor to determine if he or she will disclose any information they hold about the child's treatment; and (c) disclosure of information relating to a young person aged 16 and over on their parent's Medicare card only will be made available to a parent or legal guardian with the young person's consent.

The ALRC's privacy review is currently consulting about the extent to which this policy is well-judged and is operating effectively in practice.

*IQ:* **In the US, crimes where a conviction is recorded, even for minor misdemeanours, are entered onto massive databases. Anyone can access those criminal records – law enforcement officers, potential employers, even nosy neighbours. US companies can download and sell court records.**

**What is the situation in Australia? Is there legislation controlling access to criminal records here? Should Australian laws governing access to criminal records be reformed, to either limit access or broaden access?**

DW: The ALRC looked at this issue 20 years ago, in our report Spent Convictions (ALRC 37, 1987), and most of the basic recommendations

*RECORDS, THE LAW, AND REFORM*: Continued from page 15

were adopted federally in the states and territories.

Basically, in Australia, after a period of time, the records of criminal conviction are 'sealed' where the sentence imposed was a fine, bond or community service order, or where imprisonment was for a period of less than 30 months.

Although discrimination on the basis of a criminal record was not made unlawful, the Human Rights and Equal Opportunity Commission (HREOC) can conciliate disputes in this area, and the Federal Privacy Commissioner can investigate breaches of the spent conviction legislation.

A number of things have changed since that time, however. For example, sentences are getting longer, so, there will be a higher proportion that exceed 30 months. In terms of privacy, however, there is major issue with what is captured electronically.

We can seal the files of the courts and correctional authorities—but increasingly it will be the case that news reports or other material will be available on the internet, and easily found by a journalist, juror or prospective employer using a search engine.

There are also issues more generally about access to public databases—court records, council records, voter rolls, etc. These were relatively unproblematic when the files were on paper or microfiche, but bigger problems arise when anyone can do an electronic search from their home computer.

These are interesting issues that the ALRC, or someone else, will need to look at in the near future.

*IQ:* **Would you like to see the records and information management (RIM) community play a more proactive role in discussions regarding the reform of laws that affect their domain? If so, what can they do?**

DW: Definitely. The major challenge in this area always will be keeping the law and regulation up to date. Records and information management professionals can play a critical role in ensuring that lawmakers and policymakers are kept abreast of changing technology and practice—especially where such changes may compromise the effectiveness of, or compliance with, the existing legal regime.

When the ALRC undertook its first major review of privacy laws about 25 years ago, no Commissioner had a PC on their desk. All of the relevant files were paper-based; there was no email; there was no internet, Amazon, MySpace or YouTube; mobile phones were rare, and could not take or disseminate photos; electronic surveillance technology was in its infancy; high speed computing and data-matching was possible only (perhaps) by governments and the largest corporations; and little or no personal information was sent, stored, processed or accessed from overseas.

The ALRC has established a specialist, expert committee to advise us about the next generation/s of emerging technology that will have implications for privacy protection—but we would welcome hearing from others with this expertise.

And after our inquiry is completed, the OPC, the Australian Communications and Media Authority (ACMA) and others will require this advice on an ongoing basis.

*IQ:* **What's the best thing about your job?**

DW: It's an enormous privilege being given such exciting and topical issues to work on—national security, sedition laws, law and genetics,

privacy protection—with adequate time and resources (both the funding and the brilliant staff) to do the research and consultation, and then the attention of the Government to our final report and recommendations.

The extensive community consultation effort is always really fascinating. We get to interact with—and receive amazing levels of candour and cooperation from—the leading experts in their fields, as well as members of the general community who have relevant experience and ideas.

Justice Michael Kirby used to say that "law reform is too important to be left to the experts", and he was right.

In our inquiry into the protection of human genetic information, we learned an enormous amount about genetic science and technology from our top scientists and doctors, but we learned as much about the daily challenges of living with a genetic condition from affected persons and their families. Good policymaking involves coming to terms with both dimensions.

*IQ:* **What's the worst thing about your job?**

DW: Only that it will come to an end some day! I can't think of anything else that I'd rather do.

*IQ:* **Finally, what is the one thing, above all else, that you would like to see the ALRC achieve over the next five years?**

DW: Much greater harmonisation of law, practice and procedure—this presents as Problem Number One in virtually every inquiry we conduct.

Take privacy—we have privacy laws federally and in every state and territory, and NSW and Victoria also have separate health privacy laws.

Our legal system is far too complex and unwieldy, especially for a nation of only 21 million people.

*IQ:* **Thank you, Professor.**

DW: My pleasure. iQ

## A Record of Reform

Emeritus Professor **David Weisbrot**, AM has been President of the Australian Law Reform Commission since June, 1999. He holds a BA (Hons) from Queens College (City University of New York) and a Juris Doctor (JD) degree from the University of California, Los Angeles, (UCLA).

Previously he was a member of the law schools of the Universities of New South Wales and Papua New Guinea, and Dean of Law and Pro-Vice Chancellor of the College of Humanities and Social Sciences at the University of Sydney, which made him an emeritus professor in 2004.

Professor Weisbrot has also been a member of the Law Reform Commission of Fiji, is a Foundation Fellow of the Australian Academy of Law, is a Member of the Human Genome Organisation (HUGO), and is an Associate Member of the International Academy of Comparative Law.

He has authored/edited 8 books and hundreds of official reports, journal articles and conference papers.

In 2003, Professor Weisbrot was awarded the Australian Government's Centenary Medal for services to law reform, and last year he was made a Member of the Order of Australia (AM).

## RIM WORLD OBSERVATIONS
# by Kenneth Tombs

# OFF the RECORD

# First, the Last Word on Policy, Law & Compliance

This may well be my last article on compliance. Hurrah some might say! OK I'm hedging my bets here a little, writer's licence and all that, but compliance isn't in the national headlines like it was.

Been there, done that, taken the money, or at least so according to my recent straw poll of a few consultancies in London! Customers are now into the late adopter stages of product development and the big boys are looking at what comes next. Hmm! what does come next anyone know?

Having had this conversation with said consultants, there is a feeling of moving on before we've really finished the job. Once more in our rush towards the next hot topic for career building, there are risks from not just a few loose ends to tidy, but an ever unravelling flying carpet. Compliance won't stand still, politicians can't allow it to.

Perhaps unlike any other business function, compliance is the one that can always come back to bite us. It's serious to my mind if corporate executives truly believe 'they've got the T shirt' and are looking for the next issue.

The external drivers for compliance will initiate ever more bureaucratic dragging at the heels of those seeking to fly away. Systems get more complex, never simpler.

Look at the land of the not so free, the United States of America, which is now crippled by compliance costs. Within a year or two, the number of corporate 'un-incorporations' into partnership or other forms of enterprise, will initiate a new wave of compliance-chasing.

US legislators will be rushing to prove they can stay one step ahead of their corporate foes, so compliance just ain't coming off the agenda.

In English law we have the 'Golden Rule or Principle' to guide judges as to the exact intent of an Act of Parliament, just in case the drafting turned out plain nonsense! Wouldn't life have been so much simpler if we had clear and explicit principles for governance compliance such as in the European Data Protection directive?

The golden rule guidance seems to have been washed away in the tidal flow of the compliance world, if it ever really existed. Official regulators seem hell bent on a rigid prescriptive view of the way business works.

So, when a business is challenged, the tick-box approach means you can lose by default. Simply, not every box was ticked, you're at fault! This is why we must ensure the loose ends are tied off, for its easy for a few extra tick boxes to sneak in when no ones expecting them.

My concern is that we as implementers have become absolutist in how we set things up. We're loosing flexibility fast. If a Regulator says jump through hoops of raging fire, that is what we expend vast resources doing; even when the legislator really meant lean over a candle burning dimly.

For me there are real risks to our organisational well-being by becoming rigid instead of being pragmatic and rational.

Probably, the time is right to use that science of hindsight, and see if our fears have been justified, or the Regulators as misguided as some might suggest.

Is it time for the honest and vast majority, to kick back on laws that are most likely not achieving what the legislators intended or worse the public expected?

With the burden now firmly on the corporate shoulders, our policing system is let off the investigative hook and the corrupt will find ever clever ways of hiding their miss deeds. Meanwhile, the honest cop the costs!

The compliance debate for me is far from closed. We should now be arguing with the legislators that we need to rationalise compliance, not create ever straighter jackets.

So maybe this isn't my last article on compliance after all, and I was right to hedge my bets, despite what the consultants may believe. IQ

## The Author

*IQ* columnist **Kenneth Tombs** is Managing Director of Legal Insight. Based in London, it is a company experimenting with computer techniques that can actually read voluminous or complex documents to save us the effort.

Kenneth lives near Saint Ló, Normandy (that's France) with his partner Christine, several horses, a dog, numerous chickens, bees, sheep; and of course, according to the season their three children. His carbon footprint is terrible!

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# FROM THE AUDITOR-GENERAL'S ANGLE:
## Government Records, and the ANAO

From historical records to emails, security issues to missing documentation, the Australian National Audit Office, itself going through the process of implementing an EDRMS, is finding old chestnuts and new problems as the public sector auditor of the records practices of Australia's government agencies.

**By Ian McPhee, Auditor-General for Australia**

There has been an increasing recognition about the gap between the explosion in the quantum and types of information that we now generate, and the systems and practices traditionally used to manage information.

Many agencies now realise the imperative of finding solutions to closing this gap to meet not only their recordkeeping responsibilities, but also to meet their business needs more efficiently.

The Australian National Audit Office (ANAO) has, over the last few years, contributed to the discussions/debate on recordkeeping in the public sector by undertaking three audits specifically directed at recordkeeping in a number of public sector agencies, as well as commenting on recordkeeping practices in undertaking audits of specific agency programmes or activities.

As an aside, you wouldn't be surprised that I and my immediate predecessor are not the first Auditors-General with an interest in good recordkeeping, albeit with a somewhat different focus than some years ago.

One of the office's contributions to our centenary celebrations was to publish a one hundred year history of the Audit Office. It devotes a chapter to the period covered by the First World War.

A discussion about audit procedures adopted at the time included the following passage that related to the audit work undertaken in the Department of Defence:

'Detailed instructions dictated the work routines. Auditors insisted on checking the purchase of rifles on the basis of a deferred payment system. Staff had to "ascertain" whether the regulations relative to rifles on deferred payment were adhered to, and periodically advise the Auditor-General as to instalments outstanding.

'Accounts for empty cartridge cases were also examined and staff instructed to "ascertain whether these are rendered annually as required by the Standing Orders". Audit inspectors would demand to see the returned empty cartridge boxes as proof their contents had been used.'

Hopefully we have moved on a bit. At least we are now more concerned about keeping track of tanks and aircraft!

I do not intend to delve into our reports in great detail, but I would like to canvass 5 factors that agencies should take into account in determining their recordkeeping responsibilities:
• environment issues impacting on good recordkeeping;
• when to make a record – an easy question to ask but not one that has a straightforward answer;
• future directions in recordkeeping – which strategies should agencies be adopting in this electronic age;
• some common recordkeeping challenges – these will be drawn from a number of our audit reports; and
• the ANAO's access to records – this is an integral part of the conduct of our audits.

Finally, I will mention what the ANAO is doing to address its recordkeeping responsibilities.

## Environmental issues that impact on good recordkeeping

There is general acceptance that a key element of sound public administration and accountability is the adequate recording of the business of government. As such, recordkeeping is a fundamental function of all Australian Government entities.

The Public Service Commissioner, in successive State of the Service Reports has highlighted recordkeeping as being an integral part of developing and maintaining organisational capability. In the 2005-2006 State of the Service Report, the Commissioner has stated that:

'The maintenance of effective recordkeeping systems is a key part of overall organisational capability, as well as an important component in an agency's governance arrangements.

'Effective recordkeeping assists agencies in achieving their business goals by ensuring the accessibility of required information and allowing employees to meet their obligations of accountability to the Government and the community. It allows agencies to demonstrate that due process has been followed in actions and decisions'.

The Better Practice Guide Implementation of Programme and Policy Initiatives developed in conjunction with the Department of Prime Minister and Cabinet, states the need for recordkeeping and accountability in the following succinct terms:

'The greater the pressure on an agency to progress initiatives over a short time period, the greater the demand for discipline in recordkeeping and accountability as part of a sound control environment. This is integral to robust and successful corporate governance. In short, keep records of key decisions and the basis for those decisions'.

So why is recordkeeping an area that we all need to improve on? Why is it that not all agencies aren't fully on top of their recordkeeping responsibilities and haven't, historically, made the appropriate level of investment from both a systems point of view and also a business practice perspective? The answer to these questions is due to a number of factors.

Although good recordkeeping is increasingly being accepted as an integral part of 'doing business', investing, or more accurately increasing an entity's investment in recordkeeping still needs to compete with the many other demands that exist on agencies' budgets and their people.

Generally, to do this, a business case needs to be developed and it needs to get the attention of senior decision-makers. One of the factors that can make this difficult is that agencies can often continue to 'get by', even though their recordkeeping practices are far from ideal.

Inbuilt inefficiencies, for instance, can simply be accepted as part of 'that's just the way things are done here'.

Where there is a crisis of some sort or a demand for access to information such as through an FOI request or a discovery process, with a fair bit of effort and some good fortune in tracking the issue back through personnel rather than official records, agencies are often able to find the information that is required in the short term.

This can, in fact, encourage managers rather than discourage them to continue on as business as usual.

While good recordkeeping should result in direct and indirect business benefits, such benefits are often qualitative in nature and therefore are difficult to measure.

Conversely, the costs of poor recordkeeping, as alluded to earlier, are often accepted as the way things have always been

priorities etc, something that is not always comfortable to do.

Another relevant issue is the proliferation of systems where records are created, stored and managed.

In large agencies in particular these systems can be counted in the hundreds, and even in well-managed agencies there might not be a central repository or record of all such systems as they often are developed, and implemented, by line business areas to meet particular, specialised business requirements.

An important step, therefore, in improving our recordkeeping practices is to do a thorough stock take of all systems and applications that are currently used to create and store records.

The final factor, but it is certainly not the least important, is the many legislative policy and administrative requirements that agencies need to consider when they are looking for solutions to their recordkeeping responsibilities.

In this regard we have suggested to Archives, and I am pleased to say that Archives has responded positively to the recommendation, that it takes a lead role in better identifying and disseminating the increasing array of legislative and policy requirements, standards and guidance that currently impact on agencies' recordkeeping responsibilities. In doing this, there may be opportunities to identify any duplication or overlap that can be rationalised.

## 'Many agencies find themselves in what amounts to a twilight zone'

done. They also can be difficult to identify with any degree of precision and therefore quantify.

Almost invariably, increasing the importance and priority on recordkeeping will require changes to agencies' culture and business practices. And I am sure that all of us have had experiences, not all of them good, where business changes have only been partially achieved because of the difficulties in shifting well-entrenched cultures and business practices.

Technology can assist here by, for example, enforcing some degree of structure in how records will be classified and stored. But technology is no substitute for informed decisions by agencies and individuals.

Strategies to improve recordkeeping practices must recognise that all staff will be affected. Not only that, it is likely to impact staff on an ongoing and day to day basis. Recordkeeping is an ongoing issue that impacts all of us day in, day out.

Improving recordkeeping also requires sometimes difficult judgements to be made about just what a record is, who is responsible for creating it, who is responsible for managing it, and who is responsible for disposing of it, as well as who might require access to it while it exists within the agency's recordkeeping system.

In some ways, it reminds me a bit about when we were first confronted with the need to develop Business Continuity Plans. These required us to look, sometimes for the first time in a formal sense, at what were the business critical functions we were undertaking, how long we could be without them, and to identify

On a positive note, it is encouraging to note that the State of the Service Report reported that many agencies are making recordkeeping a higher priority. Almost all APS agencies had taken some measures to improve recordkeeping during 2005-2006, with the most common measure being a review of the implementation of systems to support recordkeeping.

It is also encouraging to note that the Commission also found that the large majority of APS employees considered good recordkeeping practices to be very important.

The soon to be released Recordkeeping report by the Management Advisory Committee is also a reflection of the increasing attention being given to recordkeeping in the public sector.

### When to Make a Record

One of the issues that we have highlighted in our audit reports is deciding what a record is, and then what should be done with it once it has been created.

The starting point in discussing this question needs to take account of the definition of a record in the Archives Act.

That Act defines a record as: 'A document (including any written or printed material) or object (including a sound recording, coded storage device, magnetic tape or disc, microfilm, photograph, film, map, plan or model or a painting or other pictorial or graphic work) that is, or has been, kept by reason of any information or matter that it contains, or can be obtained from it or by reason of its connection with any event, person,

circumstance or thing'.

I think most people would agree that that definition isn't terribly helpful to determine what a record is from a practical perspective.

Even the definition in the Australian Standard on Records Management:

'information created, received, and maintained as evidence in information by an organisation or person, in pursuance of legal obligations or in the transaction of business' is quite a handful.

What our audits have highlighted is that, to assist individual staff members who, in practice, are the ones who make the majority of decisions about the creation and storage of records, individual entities are responsible for establishing and clearly communicating:

- the policies that guide recordkeeping practices – ideally these should be framed in the context of a broader Information Management Strategy;
- the types of records that the agency will maintain to meet its particular legal and business requirements;
- the records that can be discarded as normal administrative practice (as you would be aware, the Archives Act does allow for records to be destroyed without formal Archives' authorisation, and cover records such as those that are duplicates, are unimportant, or are for short term use only); and
- work area recordkeeping guidance.

Our audit report on Magnetic Resonance Imaging Services canvassed quite extensively the issue of recordkeeping as part of good administrative practices.

It contains the following discussion that has general application: 'The level and standard of documentation considered necessary to support an administrative process is always a matter of judgment for management as part of an organisation's control environment.

Nevertheless documentation is important for an agency to:

- demonstrate it has taken all reasonable steps to identify and manage risks;
- provide assurance to management that the administrative processes are adequate and have integrity;
- record significant events and decisions;
- be able to review its decisions and processes thereby identifying strengths and weaknesses in the process, drawing out lessons for the future;
- in some circumstances provide support for the Commonwealth's position in the event of a legal challenge; and
- meet its accountability obligations to the Government, Parliament and other stakeholders.

'The level and standard of documentation needs to match the circumstances. However, it would be expected that both the level and standard of documentation would increase as the consequences of decisions and actions increases.

'Often it is considered that maintaining paper or electronic records is too burdensome. This is especially so in an environment where there are time and resource constraints.

'However, such considerations may be substantially lessened by a soundly based corporate governance framework that is set up to deal with such demands.

'Perversely, it is just such a constrained environment that often requires adequate documentation for accountability purposes. In this context, sound public administration requires key deliberations, decisions and resolutions to be recorded.'

Keeping records is not a static issue as the extent and nature of records will change and evolve over time in line with the changing business of agencies. Effective recordkeeping also needs to have regard to, and factor in, the different requirements and perspectives of a number of players.

These include the National Archives that, amongst other things, is responsible for preserving Australia's national collection; the responsibilities of APS agencies; system requirements including the array of security considerations that are embedded in the Protective Security Manual, and the Australian Government Information and Communications Technology Security Manual, ACSI 33; and individual staff members.

Recordkeeping environments need to recognise and cater, to the extent practical, with the different ways individuals meet their recordkeeping responsibilities.

### Future Directions in Recordkeeping

In our recent recordkeeping report, we (ANAO) suggested that many agencies find themselves in what amounts to a twilight zone – they continue to rely on traditional systems and practices best suited for paper records, while at the same time recognising the business reality that an increasing proportion of records are being

created electronically.

Entities in this situation, probably the majority, are facing decisions about the benefits of adopting a strategy of managing their records electronically.

The ANAO suggests that, for the big majority of entities, the adoption of a medium to long term strategy of managing records electronically is more than likely to be the most appropriate one.

The business imperative for entities to adopt this approach, as distinct from continuing to adopt a print to paper policy for the majority of their records, include an increasing recognition that:

- a large and increasing proportion of records are being electronically, and it is generally more effective to manage records in the same medium in which they have been created;
- electronic recordkeeping can, and in fact should, directly contribute to an entity's broader information and/or knowledge management strategies and practices. This could be achieved, for instance, through quicker and easier access to records and information;

staff who require it.

Another important point to note is that electronic management of records will generally not eliminate the need for entities to maintain some paper records and to use records and information in paper form in conducting day to day business.

Importantly, in this regard, records with a security classification above the security level of an agency's corporate network and other electronic systems will need to be maintained and stored in paper form to meet Australian Government security requirements.

One of the common findings of our recordkeeping audits has been that, at times, records with a security classification are held in electronic systems inappropriately. Another factor is that records that have historical significance will often need to continue to be maintained in paper form, as will many records that simply lose their original functionality if converted from paper form to an electronic medium.

Agencies also need to identify circumstances where, even where paper records are converted into an electronic form, the original of these records may still need to be retained in paper form to meet legal requirements, to satisfy judicial proceedings, or

> ' **Some agencies need to increase their commitment to the training of staff to assist them to understand and meet their recordkeeping responsibilities** '

- a number of the risks associated with poor recordkeeping can best be addressed through the electronic management of records. These include the lack of access to records and the unauthorised alteration or deletion of records
- (as I alluded to earlier) the embedded cost of inefficient and ineffective work practices that are the result of poor recordkeeping practices is often very significant, albeit difficult to measure with any degree of precision;
- the cost of maintaining paper records, including the need to print records created electronically, and store records in appropriate facilities is increasing. On the other hand, the cost of storing records electronically continues to reduce; and
- the effective implementation of an electronic recordkeeping regime is likely to result, or has the potential at least to result, in a higher level of compliance with recordkeeping requirements.

The electronic management of records will, nevertheless, not necessarily require the implementation of a single corporate-wide electronic document and records management system, or EDRMS.

In fact, for many agencies, the management of records in a corporate EDRMS, in addition to selected electronic business systems, that has recordkeeping functionality, will be the most appropriate in meeting their recordkeeping requirements.

This means that the real challenge for many agencies, particularly in the context of an entity's broader information or knowledge management strategy, is to identify cost effective ways that these multiple systems can be integrated or linked to help facilitate access to records and information by all those

to meet specific government policies.

While for the majority of agencies such records will represent a small proportion of their total record population, they are still important issues that agencies need to consider and factor in to their recordkeeping policies and guidance material.

In my view, the bottom line is that with very few, if any, exceptions, entities will need to manage their records in a combination of both paper and electronic form but with the large majority being managed electronically in the future.

To be successful requires the sustained support and commitment from senior management, from the Chief Executive down. There is also no substitute for a senior manager having responsibility for a significant change project such as this. This officer will require the commitment and resilience to overcome inevitable obstacles and setbacks, and likely resistance, to change.

In the context of policy implementation, the Better Practice guide, Implementation of Programme and Policy Initiatives, puts it this way:

'To be effective, policy and programme implementation requires there to be a senior responsible officer who is accountable for the success of the policy's implementation. This is the person to whom the relevant Minister and executive turn for progress reports and details of emerging risks'.

## Some Common Recordkeeping Issues

Let me now mention a few of the more common issues that our audits have identified in both our specific recordkeeping audits

and other audits undertaken over the last few years.

In reviewing agencies' recordkeeping policies, one of the common observations is that they often do not address, in a comprehensive manner, the agency's recordkeeping environment and, as a result, do not, systematically, address the range of systems that are used to create and manage agency records.

In a strict sense, this casts doubt on the status of systems that are not encompassed by the agency's recordkeeping policy. It also significantly reduces the likelihood that any supporting guidance material prepared by the agency will address these systems.

No discussion on recordkeeping would be complete without mentioning risk. Like all business activities, agencies should manage their responsibilities underpinned by a considered assessment of their recordkeeping risks.

While accepting that these will generally not feature in agencies' top five risks, they are nevertheless important operational risks and, therefore, they should be identified and mitigation strategies or actions put in place to manage them. Our audits have found that some agencies have not undertaken this important step.

Another common issue is the absence of supporting

## ANAO Access to Records/Emails

The ANAO has broad powers of access to records and information to enable us to do our job. In the good old days, of course, what auditors would simply do was call for the relevant registry files, as these could be expected to contain all the relevant records relating to a particular decision, event, activity etc.

Well, as we all know, those days are long gone and we find ourselves requiring access to a whole range of business systems where relevant records may be stored.

This, inevitably, can lead to the need to access the email records of agencies. This can, in turn, create some tensions between the ANAO and agencies or individual agency staff for at least a couple of reasons.

The first is that we may be traversing territory that is new to some agency staff who are simply unfamiliar with the ANAO's right of access, and there is some degree of education required here.

The second, and more difficult, issue is that, inevitably, access to email records will also involve access, or at least potential access, to both official records and personal communications.

This is simply a reflection of the fact that email systems, like the telephone, are used for both official and personal use.

# 'All information contained in an email and other systems belongs to the entity, not individuals'

guidance material designed to assist individual staff members meet their recordkeeping responsibilities.

In situations where such guidance has been prepared, our audits have consistently found that the recordkeeping practices are better than in situations where no guidance exists.

In this context, we see it as an important step that agencies should, for each one of their major programmes or business activities, identify the information that needs to be created, received and maintained as a record of the business activity.

By doing this in a logical and systematic manner, agencies will have a solid platform on which to make informed decisions about their recordkeeping needs and, in turn, the best way for these to be managed in the future. Even though the cost of doing this needs to be recognised, it should be seen as a worthwhile investment.

We also have found that some agencies need to increase their commitment to the training of staff to assist them to understand and meet their recordkeeping responsibilities.

Our other audit reports also continue to highlight instances of inadequate recordkeeping. We particularly find problems in relation to procurement activities where, for example, there is little or no evidence to support procurement decisions and agencies are unable to find copies of contracts although contract payments continue to be made.

In one large agency our audits have continued to identify deficiencies in financial records that have lead to qualifications of their financial statements.

While the ANAO is obviously not concerned with personal communications that are held in agencies' email systems, and protocols for extracting the required electronic records can be developed, it would be unrealistic to suggest that the ANAO's access can be limited to only official information that is contained in email systems.

This also underlines the fact that all information contained in email and other systems belongs to the entity, not individuals.

The other point I think that is worth mentioning is that, while we will of course discuss arrangements for access to email systems with agency management, it is ultimately the ANAO's and my decision as to what records we consider it is necessary to access to be able to perform our auditing responsibilities effectively.

## Developments at the ANAO

One might legitimately ask what the ANAO is doing about meeting its recordkeeping responsibilities. I suspect like many small agencies, we have spent some time contemplating the best approach to take.

But in mid-2006 we issued a tender for the implementation of an electronic document records management system. After a fairly extensive evaluation process, we recently signed a contract with a provider to implement an Interwoven system.

We will shortly be conducting a pilot roll-out and, all going well, we are looking for a full roll-out of the system in the third quarter of this year.

As a small agency, we are looking for a solution that encompasses the majority of our recordkeeping requirements, although for some time we have used an electronic system in the conduct of our financial statement audits.

A particular focus has been on finding a system that can assist us in being able to electronically store evidence to support our performance audit reports. There has been significant input from relevant business areas of the office to date, and this will continue right through the implementation period.

This, of course, makes good business sense but also is recognition of the fact that, over time, we expect that there will be a need to make significant changes to existing recordkeeping cultures and business practices so we can take full advantage of the new system.

We are seeing this project as a medium to long term one, and one that, over time, will involve the automation of certain workflows, but more importantly will help improve our information management practices by, for example, improving access to information by having on-line search capability and by mandating the use of key fields such as file name and number, and standardising the classifications of documents.

## Key Points

Let me emphasise a couple of key points. Putting in place and sustaining an effective recordkeeping regime isn't necessarily that easy to achieve. It has a range of elements: scale, cultural change; technology; funding and risk, that says this demands the attention of the agency CEO and the executive team.

It also requires an investment in training, the development of policies and supporting guidance, as well as an understanding and acceptance by all staff of why it is important to maintain good records.

Effective recordkeeping also requires an analysis of recordkeeping risks and a good understanding of the records that are created and received for each major programme or business activity.

I also look forward to the release of the Management Advisory Committee report on Recordkeeping that will give further prominence to the importance of maintaining good records as part of sound public administration. IQ

### The Author

**Ian McPhee** was appointed Auditor-General for the Commonwealth of Australia on 11 March 2005.

His previous position was as Deputy Secretary/General Manager, Financial Management Group, Department of Finance and Administration, where his responsibilities included managing and providing policy advice to the Finance Minister on the budget and financial management framework; budget and financial reporting, and analysis for whole of government purposes; public sector superannuation; and the Office of Evaluation of Audit.

From 1998 to January 2003, Ian was Deputy Auditor-General at the Australian National Audit Office (ANAO), where he was responsible to the Auditor-General for the delivery of the performance and assurance audit programs of the Office.

Prior to his appointment at the ANAO, Ian held various positions at the Department of Finance, at the Australian Bureau of Statistics, and at the ANAO, where he commenced his career as a Commonwealth Cadet.

This article is based on an address given by the Auditor-General to the National Archives of Australia seminar, 'Check Up: Audit Issues and Electronic Records', at Parliament House, Canberra, on April 4, 2007. It is reprinted in *IQ* with the permission of the Auditor-General and the Australian National Audit Office.

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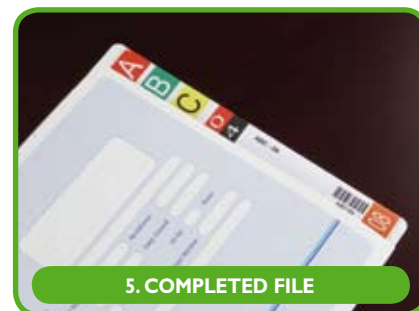
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# FINDING A FIT

# EDRMS & YOUR ORGANISATION

## Enhancements, Consolidation & Beyond

In last year's *Information & Records Management Annual* and in February's *IQ*, IBIS principals Jackie Bettington and Trish Wichmann presented the first two articles in this series. Here, their new IBIS colleague JONATHAN WHITING wraps up the series by discussing how to make an EDRMS the organisational star it should be.

Although EDRMS technologies offer great promise, it takes a great deal of effort and money to deliver these promises to all users of technology. In this context, achieving the basics is a huge undertaking. There may be pockets of greater capability, but across the board it is achieving the basics that should be the goal for the majority of organisations.

There are many tales of disappointment and stress related to the implementation of EDRMS products, but a startling lack of success stories from which others can learn and improve.

Stories tend to be negative and focus on the technology problems and lack of willingness for people to change. There is also a lack of well documented and objectively reviewed implementation experiences. This lack of evidence begs the question: is implementing an EDRMS really worth it?

This final article in our three part series discusses how an EDRMS may be enhanced and consolidated to become the organisational star it deserves to be. The article will also discuss how the records manager can prepare for the day when the EDRMS becomes a dead dog and he or she may need to become the EDRMS undertaker.

## All Bells and Whistles

Once there was the humble records management system, now there's the EDRMS, with electronic hybrid document and records management workflow imaging and other whizzy bits functionality.

EDRM systems are also highly configurable: Functionality can be turned on and off, settings can be tweaked, and options toggled. But, do we really need it all? Should some functionality be regarded as crucial and some as enhancements?

## What to Ring and When to Blow

Deciding what functionality is needed and how the system should be configured is best done during the system design stage. Even if certain options are not part of the first phase of implementation, they need to be factored in and their impact properly assessed.

These decisions should be based on:
• Business imperatives - what needs to be fixed and in what order;
• Organisational capability - what are we able to do;
• Product functionality - what will the system let us do.

Functions that are introduced later can be regarded as enhancements.

## Business Imperatives

Recent research by IBIS reveals the most pressing business reasons for organisations to implement EDRMS to be:
• Compliant and systematic management of emails;
• Reducing physical storage costs;
• Managing digital legacy data;
• Systematic capture and disposal of information;
• Establishing routine and easy access to information assets;
• Embedding document and records management processing into other support and core business processes via workflow.

These roughly fit into two categories: compliance drivers and performance drivers. Typically the category of driver dictates the number of modules or integrated components of an EDRMS that an organisation chooses to implement.

For instance, if compliance were the primary driver, then the configuration and implementation approach would differ from an implementation driven by performance improvements.

The table below provides a comparison between the functionality that may be required for compliance and that which may be required to support performance improvements.

While there is overlap between the two, generally the requirements to support business improvements are more sophisticated than those for compliance and often incorporate integrations or interfaces with third party software to produce the desired outcome.

## Organisational Capability

As Captain Jack Sparrow (of Pirates of the Caribbean fame) said, when it comes to implementing an EDRMS, "The only rules that really matter are these: what a man can do and what a man can't do".

I think what he meant to say was, "What an organisation can do and what an organisation can't do". He also omitted to mention what an EDRM product can and can't do is important too!

Regardless of the driver for EDRMS, aligning the scope of implementation with organisational capability is key to success.

Experience has shown EDRMS implementation is complex and too many organisations try and eat the elephant in one sitting even though they only have plastic cutlery and paper plates, and no real appetite.

If organisational capability is not sufficient for certain system functions, then it is important to keep things simple and meet only a limited set of business requirements until a greater level of organisational maturity is reached.

As capability grows functionality can be incrementally 'turned on' and more of the elephant can be eaten.

## Product Functionality

Typically the ears, tails and trunks of functionally are the bits that bring real value to an organisation, so it's important to consider your longer–term requirements before the system is acquired.

Systems may appear similar on paper and they may claim conformity with various standards, but it's only through defining your own organisation's requirements and through proper testing that the best match can be made between what you want and what's available.

## Dead, or Simply Dying?

There comes a point in the life of any software application where decisions must be made about its future.

With a dying old dog, its owner must decide whether to euthanise it or let it languish until nature takes its course and it breaths its last without assistance.  We would all be aware of organisations that have done one or the other with their EDRMS.

The first things to consider when making decisions about its future are the business drivers behind those decisions and the desired key business outcomes.  Strategic upgrading or replacement should be considered on a needs basis and not a reactionary one.

There are many reasons why an EDRMS may need to be upgraded or replaced, a primary one being that it is redundant or aging technology that no longer meets business needs.

## Changes in the Technological Landscape

The current rate of technological change is breathtaking, and often changes in platforms and supporting technologies make a system redundant very quickly.

Public records and documents generated and stored in digital format today may not be accessible in the near future simply because the proprietary software and document formats used for these documents can not be read by other software or successive versions of the same software.

This situation poses significant legal, business, financial and political risks for any organisation.  It may be time to consider non-proprietary products and formats

Open Document Format (ODF) enables documents to be saved in an editable format that does not increase the file size and reduces the risk of loss of data integrity.

With an estimated 90% of documents being created by over 400 million users* using document formats in Microsoft Office, conversion of the market to ODF is a formidable challenge for many reasons.

There are many individual organisations that have implemented ODF and open source ECM systems.   However, only a few whole-of-government examples have made the switch to ODF.  These include the State of Massachusetts and the Belgian Government.

These governments are small but they appear to have started a wave of interest from others including the Danish and Norwegian Governments and the European Union (EU). If the EU does adopt ODF, then there could be a significant flow-on effect to the private and public sector organisations of its member countries.

Open source standards and the widespread adoption of ODF is regarded by many archival authorities around the world as critical for ensuring full and accurate records remain accessible and valuable for as long as they are required.

Not only is ODF suitable for long term retention or archival requirements, its interoperability makes it suitable for groups seeking to share documents across different applications and platforms.

Open source ECMSs have emerged to provide basic ECM functionality.  Vendors of open source enterprise content management systems are clearly intent on destabilising the

| Compliance | Performance |
| --- | --- |
| Vital records protection | Content Authoring |
| Records capture | Document Management Processing |
| Reporting | Records Management Processing |
| Search and retrieval | Web Content Management |
| Integration | Content Management |
| Interoperability | Email Management |
| Data conversion, migration and transfer | Archives Management |
| Capture and maintenance of minimum metadata elements | Collaboration and Productivity |
| Access and security management | Search and Retrieval |
| Auditing | Reporting |
| Storage and space management | Audit Management |
| Location management | Holds Management |
| Capture of records in multiple renditions | User Management |
| Repository management | Security and Access Management |
| Records disposal management | Content Rights Management |
| Preservation management | Content Quality and Organisation Controls |
|  | Business Intelligence |
|  | Storage Management, Movement and Location Management |
|  | Content/Input/Output Management |
|  |  |
|  | Identity and Relationship Management |
|  | Library Services |
|  | System Design, Implementation and Deployment Requirements |

commercial proprietary ECMS market.  Some also intend to challenge niche products such as search tools - eg Google - and provide what most enterprises seek – a simple low cost enterprise-wide solution for most information assets.

Industry analysts and commentators are divided on the impact of open standards and systems on the market and information management.   Some experts predict the open source ECMS will markedly grow and penetrate the market over the next few years.

Many, however, remain sceptical about the current maturity levels of open source ECMS when compared with existing offerings.   Additionally, the compliance and recordkeeping capabilities of open source ECM products have yet to be confirmed

through archival certification or approval. Nonetheless, they certainly show much promise.

## Conclusion

It is a popular misconception that implementing an EDRMS will be the panacea to all an organisation's information management ills. In fact, it may be the beginning of a completely new, and additional epidemic of ills if the organisation is not adequately prepared for its arrival, both in the frameworks and tools it has in place and in its capability to maximise the benefits such systems can facilitate.

This is not something to be entered into lightly and it is vital that the kennel is in order before doing so.

EDRMS use and effectiveness should be monitored regularly to ensure ongoing benefits realisation and its continuing relevance in a constantly changing environment.

Too many organisations implement an EDRMS and then promptly forget about all the upkeep, maintenance, monitoring and promotion that is required to make it the organisational star for managing that most vital organisational asset – its information assets. **IQ**

### The Author

**Jonathan Whiting** has over a decade of experience as a practitioner and consultant. He has a Master's Degree in Archives and Records Management from University College London and is an AIIM Certified ERM Specialist and Electronic Content Management Practitioner. He is also a Certified Management Consultant.

Experienced in developing, maintaining and promoting information management strategies, policies and practices, Jonathan has also worked on several large and complex information management programmes in the UK, Ireland, USA and Australia.

Jonathan recently joined Integrated Business Improvement Services (IBIS) in Brisbane as Senior Consultant after emigrating from the UK.

**Refererence**

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# THE HUMAN FACTOR

# The Workforce Impacts of EDRMS Changes, Stage 2

By Jodee Allanson and James Allen

In the last issue of *IQ* the authors discussed the preparatory stage for an EDRMS implementation at the Queensland Department of Primary Industries and Fisheries, presenting international research associated with the workforce impacts of EDRMS in organisations. Here, they provide practical application of this research along with sample tools and techniques for measuring EDRMS change impacts.

### Step 1 – Change Impact Analysis

The first step to managing the workforce impacts of EDRMS changes in organisations is to measure what these impacts are for the organisation. Armed with this knowledge key organisational decision markers are then in a better prepared position to determining cost effective, targeted strategies to ease the workforce transition to EDRMS and ensure a successful business and technology implementation.

### What is the purpose of the analysis?

The workforce impacts of EDRMS can be measured through a change impact analysis. The purpose of a change impact analysis is to understand the impact that any of the EDRMS changes will have for DPI&F staff and managers. An important consideration for implementing any change is accurately managing workplace perceptions.

The change impact analysis enables the EDRMS team to

understand workforce perceptions so as to more effectively guide the workforce through the intended changes. The analysis helps the team to improve the accuracy of their understanding of staff perceptions. Using strategies to address staff perceptions helps to:

- minimise disruption to business
- reduce stress associated with change
- to create improvements in the work life of employees which ultimately enables a successful transition to occur and
- as a method of stakeholder communication, engagement and rapport and relationship building.

## What are the key objectives of the analysis?

The key objectives of the change impact analysis are two-fold:

1. To collect data to better understand stakeholder perceptions so as to tailor transition activities to increase the success of the change.
2. As a strategy for stakeholder communication, stakeholder engagement, relationship building and to facilitate perception. This process of engagement provides greater credibility to the program, stronger workforce involvement and encourages improve relationships with individuals and stakeholder groups.

## What methodologies are recommended?

Several different methodologies can be used to conduct the change impact analysis. While essentially the same data will be collected, each change will require a different method of data collection depending on the audience or stakeholder group.

Each stakeholder group will have preferred methods of giving feedback and providing information. Tailoring the method of data collection to these groups will improve the richness and accuracy of data you receive and help to enhance stakeholder relationships, including program credibility. It is also important to think about the key purpose of your data collection. Is it to improve stakeholder relationships, find out information or an equal combination of both?

## What methods of data collection can be applied?

The recommended methods of data collection include:

1. Electronic Survey Administration. Circulating the survey to the intended audience using a tailored and clear email message.
   The benefit of this method is being able to collect a large amount of data from the greatest number of people within a shortened period of time.
2. Group Survey Administration. Administering the survey in a group setting so questions can be answered and to ensure the survey is fully completed.
   The benefit of this method is collecting survey data with a greater number of people to maximise the potential of complete surveys returned and to address individual questions using a more personalised approach.
3. Interviews. Personalised one-on-one or small group interviews could be conducted using the survey to ask questions and collect responses. The interview can also elicit richer information through discussion and dialogue on about the questions.
   The benefit of this method is collecting rich data from a smaller number of people which also helps to more strongly build stakeholder relationships and address individual concerns and/or issues.
4. Focus Groups. Focus groups could be conducted with larger groups to elicit richer information about each question. This will provide greater discussion and enable group members to have a voice with other stakeholders present.
   The benefit of this method is collecting richer data with a greater number of people in a group setting yet not being as time consuming as individual interviews.
5. Multiple Methods. Using a combination of electronic survey administration, group survey administration, interviews and/or focus groups.
   The benefit of this method is to use multiple approaches with different stakeholder groups at different points in the project. This approach helps to maximise the advantages of each data collection method and to maximise project outcomes.

## Who should I collect data from?

It is always VERY IMPORTANT to collect two forms of data:

1. from the project team members and
2. the stakeholder group being assessed.

This rule of thumb is essential as you will be able to determine any variations in the team's perception to stakeholder perceptions. The process will also help you to achieve alignment between your understanding of the program outcomes and impacts with stakeholders understanding to create a shared understanding. This shared understanding will promote more effective communication and enhance the success of the program as well as enable the team to identify any concerns/issues upfront to avoid longer term pitfalls.

## How do I determine which method of data collection to apply?

Your choice of data collection will need to be assessed case by case depending on:

1. The stakeholder group preferences. For instance, some individuals and/or groups have a preference for face to face; others for electronic methods.
2. Purpose of data collection. Your main purpose may be to collect data or to use the process as way of establishing rapport and building relationships and enhancing stakeholder perceptions of the change or it may be a combination of both.
3. Impact of the change in the stakeholder group. You may identify certain stakeholder groups that are key groups to the success of the program and/or those that are most strongly impacted (eg., super users, program sponsors). As a consequence a more personalised data collection method is recommended eg., interviews, focus groups etc.

## How do I interpret and analyse the data?

All data should be entered into the change impact analysis data collection excel spreadsheet. Numerical analysis (eg., descriptive statistical analysis and/or multivariate statistical

analysis) can then be conducted on this information and used to guide project decisions.

## What tools can I use?

Example items and dimensions of measurement are offered in Table 1. These example items can be used to help you develop suitable measures in your organisation.

### Table 1. Example Data Collection Measures

| Dimension | Examples |
|---|---|
| Nature of Change | Perceived impact of past changes. (Symon & Clegg, 2005) |
| Nature of role | Change to staff autonomy. (Gregory, 2005) |
| Role Identity | Stakeholder's perception of the change to their role. (Korunka & Vitouch, 1999) |
| Skill Acquisition | Staff skills changes. (Vyhmeister, Mondelo, & Novella, 2006) |
| Level of Perceived Stress | Staff stress levels over time. (Collerette, Schneider, & Legris, 2003) |
| Communication | Change impact on communication. (Munkvold, 1999) |

The checklist, in Table 2, has also been provided as guide for you to implement a change impact analysis. It is at the discretion of persons responsible for the change to develop suitable measures according to organisational change environment, organisational conditions and organisational cultural issues. The guidelines presented in this article may used to assist you in developing these measures.

### Table 2. Change Impact Analysis: Checklist

| | |
|---|---|
| Determine your data collection purpose and objectives: | ☐ |
| Information Gathering | |
| Stakeholder relationship building | |
| Combination of both | |
| Identify stakeholder groups (Refer to stakeholder analysis) | ☐ |
| Determine appropriate method of data collection: | ☐ |
| Electronic survey administration | |
| Group survey administration | |
| Interviews | |
| Focus Groups | |
| Multi-methods | |
| Taylor the survey instrument to your needs | ☐ |
| Collect data from: | ☐ |
| Team | |
| Identified stakeholder group | |
| NB. Brief stakeholder group – pre, during and post data collection | |
| Enter data into excel spreadsheet | ☐ |
| Analyse excel spreadsheet data | ☐ |
| Produce report including recommended strategies | ☐ |
| Provide feedback to stakeholders on outcome of data collected | ☐ |

In the next article Jodee and James will discuss how to use the change impact analysis data for developing practical strategies so as to ease the workforce transition to an EDRMS. iQ

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# Records & Information
# RISKS
# in the Age of the Flexible Workplace

## By Alan Hansell and Joe Sweeney

The trend to flexible workplaces, with many professionals working at home or in the field away from the normal office, can be great for employees and for employers. But with the benefits come a range of inherent record and information management risks that demand new policy approaches which factor in compliance obligations.

There is a strong trend in Australia towards flexible workplaces, where the office environment is extended to home-based workers, telecommuters, day extenders and mobile field staff. This trend is being driven by a tight labour market, increasing demands for work-lifestyle balance and the need to keep mobile staff in the field and close to their customers.

The good news is, new technologies are making the deployment of flexible workplaces easier to implement. Fixed line broadband and wireless network coverage continues to expand and mobile devices are becoming increasingly standardised. Add to this the rise in popularity of collaboration tools and we have a great recipe for flexible workplaces in Australia.

The bad news is, in the rush to deploy flexible workplaces, information risk management, may be overlooked and if so come back to hurt the organisation. .

### Emerging Technologies – Emerging Risks

As workers become more mobile and access information using a broader array of devices, the risk of sensitive information leakage or unauthorised transactions being processed increases.

For example, while some PDAs (Personal Digital Assistants)

can be secured, most end-users still have completely open and unlocked units.

With PDAs now storing gigabytes of data, including confidential customer records, documents and emails, the probability that sensitive data may be leaked and made public is high. With smartphones now nearly as fully featured as PDAs, the threat is exponentially increased.

However, it is not just mobile devices that should give us cause for concern. When workers are isolated, peer and supervisory control and sound classification of records and documents, dissipates.

In Australia we have already seen cases of staff breaching privacy laws by looking up information on friends, lovers and neighbours using data bases managed by the police, Centrelink and firms in the financial services arena.

While home workers with full access to internal data may be completely innocent of malicious intent, they often have little knowledge of who else is using their unattended computer and potentially compromising their access privileges.

### Management's Challenge

The challenge for management in 2007 is to ensure that the new

business processes and technologies of the flexible workplace - unheard of 15 years ago – are implemented appropriately and the risks associated with them minimised.

Put simply, management cannot rely on the risk management frameworks, including evaluation and treatment processes, developed for technologies used in the 90s. They must make sure their organisation's information security risk management guidelines and practices are current and exercise greater vigilance in identifying and treating today's risks.

Whilst what needs to be done in steps b) and c) in the diagram opposite - courtesy of Standards Australia - is well understood in most organisations, the steps which need clarifying for remote operations are, a) Developing the Framework etc. and d) Evaluating Risks. This is because these steps require a meeting of the minds from the strategic and operational arms of the organisation, as opposed to steps b) and c) which are operationally focused.

### Management Initiatives

Set out below is a synopsis of what needs to be considered at meetings where a) and d) are on the agenda.

### a) Risk Management Framework

General Principles. While some general principles apply to every organisation's information security risk management framework - e.g. the need for mutual trust and preparedness to share technical solutions between connected groups - the diversity of electronic services and types of records in use today inhibits a one-size fits all approach.

Matters to be considered when revising or developing the framework to cater for remote operations include, but are not limited to:
• Imperatives for managing risk, such as why it is important the data and systems being used by staff operating remotely must be protected against unauthorised access and destruction.
• Management's roles and responsibilities for minimising risks

and escalation. processes when a major incident occurs or a significant threat is imminent
• Expected outcomes from better management of risks.
• Business systems and data used by staff in remote operations and generic risks associated with them.
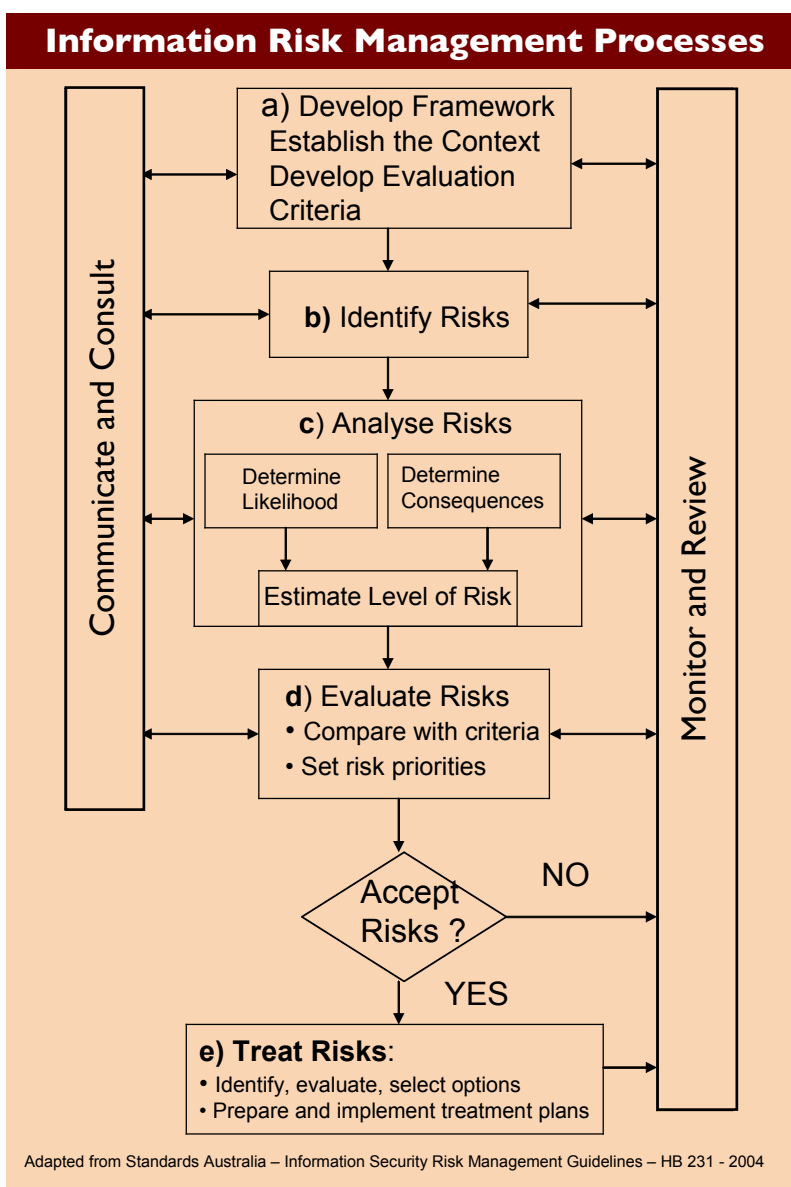
**Business and IT Context.** Management needs to examine the strategic context or business drivers of the organisation and what risks might adversely impact them, such as network disruption for online ordering of goods and services.

This examination should include for instance the impact on i) the business model or how income is earned, ii) how stakeholders such as clients or other government agencies might be effected, and iii) the organisation's inability to meet regulatory compliance obligations.

The business context should also include:
•    The organisation's management capabilities, such as its capacity to manage data and secure its network connectivity.
•    Strategic imperatives, such as need to protect commercially sensitive data, or resume business operations in a defined period after an unexpected shutdown as it applies in retail banking operations.
•    For remote operations what work will probably be performed in the home and mobile offices or overnight hotel accommodation or at client sites all of which are insecure environments.
•    The consequences of empowering staff in remote operations to act unilaterally, e.g. when electronically purchasing and receiving spare parts to service mining equipment or selling goods electronically at a discounted price to long standing customers, without prior reference to a supervisor.

While employee empowerment, as illustrated above, arguably gives the organisation greater agility, it may be a cause for concern when tighter control of compliance obligations and management

## Information Risk Management Processes



Adapted from Standards Australia – Information Security Risk Management Guidelines – HB 231 - 2004

accountability is needed.

**Risk Evaluation Criteria.** Understanding the context, as above, is important because it helps develop sound information security risk evaluation criteria needed to set treatment priorities.

an enterprise wide remit for day-to-day risk evaluation, treatment and reporting responsibility to the Senior Leadership Team.

One of the roles of the

If the context is flawed and the risk evaluation criteria weighted towards rigour in one area of the organisation - e.g. adverse impact on administrative costs - with minimal consideration of another area such as remote sales, it needs revision.

Risks need to be evaluated, not on the value of the assets effected, but on the business impact of their loss or non compliance, such as the unintended disclosure of sensitive data leading to a breach of privacy obligations or an aggrieved employee providing customer sales data to a competitor.

The evaluation criteria must also consider the location of the potential risk. For example the probability of a report being mislaid and compromised may be lower in the home of a member of the senior leadership team than at a joint venture construction site, where shared computing facilities, including printers, are used by engineers from all firms working on the site.

### d) Evaluate Risks

It is important those participating in an information security risk evaluation exercise thoroughly understand the organisation's context and the risk evaluation criteria so informed risk treatment priorities can be set.

Conversely, when participants in the evaluation phase do not understand the organisation's broader context, including ramifications of extensive remote operations ill-informed and time-wasting discussion is likely. To ensure everyone is informed, articulate the context and rationale for the criteria before evaluating the risks. It will be time well spent.

Each risk needs to be assessed against the agreed criteria, which should include probability of an event occurring and its potential business impact. For instance, assuming the evaluation criteria regarded the risk of accidental disclosure or loss of data by construction engineers assigned to a joint venture and using shared internal computing facilities as high, it would probably regard it as low using the firm's network from a secure office.

However, if the same engineers needed to access the firm's network from the shared facility to review an RFT response for another client, the risk of accidental disclosure of sensitive data using the criteria would probably be assessed as extremely high.

In this case, the treatment priority would also be high and immediate, e.g. provide each engineer with a lap top PC and network access and direct them to use it in a secure location.

### Risk Management Responsibilities

Most organisations appoint a Risk Manager or equivalent with

manager must be to alert the team of potential exposures in using new technologies that expand the range of electronic services and make an informed assessment of the potential risks from their use.

The risk manager must also work closely with HR management to ensure that policies and measures, such as ensuring a safe working environment exists and providing a locked office, are put in place to minimise the OH&S and data security risks for mobile and at-home workers.

Only by factoring in the flexible workplace into the development of a risk assessment framework as defined above, can organisations hope to meet their compliance obligations and avoid unexpected legal costs. iQ

### The Authors

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Most recently Joseph has worked for various governments and private enterprises, including Fortune 500 telecommunication firms, and technology manufacturers. He is also engaged in research focusing on technology's role in the education sector.

# FAILING THE INFORMATION GAME

**By Rick Snell**

Is the knee-jerk need of governments to preserve their 'secrets' at odds with the professed desire of law makers to meet their Freedom of Information (FOI) obligations? And is New Zealand getting it right while Australia continues to get it wrong?

Peter Costello and his Treasury officials probably celebrated long and hard the High Court's judgment over Michael McKinnon, the FOI editor of The Australian, but this was no victory for good government in Australia. Scarce departmental resources diverted to protect stale data and old policy recommendations.

But, more worryingly, this was done to protect a classic Westminster approach to ideas that is inefficient and ineffective in the information age. Rather than fighting a rearguard action against modern principles of transparent and accountable public administration, Treasury, and other agencies, should embrace the marketplace of ideas.

In the 21st century the main game is information. Relying on dysfunctional records systems and administering information as a static and low value resource is not the way to stay in the game.

Compounding this 19th century style of information management is an attitude or mindset that prefers, or craves, the need for secrecy instead of exploiting the energy and opportunities that come from vibrant information flows.

The problem is recognisied at senior levels in Canberra but the search for a solution is government centric and anchored to an antiquated conception of information management.

In his recent Valedictory Lecture, Ric Smith, retiring Secretary for the Department of Defence, recognised the impact of the information revolution but perceived the issue as one simply of better internal management rather than embracing the opportunities of networking and information exchange with those outside the ranks of the public service.

Dr Peter Shergold, in responding to the lecture stated 'the pressures, which Ric describes so eloquently, of turning that information into knowledge at the disposal of government, underlies (at least for me) many of the public service challenges implicit in the findings of … the Cole Commission".

Yet neither Smith or Shergold, or other Departmental Secretaries, seem receptive to some of the ideas from the field of information economics which could assist in this information conversion task or would change the perception towards FOI as being a valuable information tool rather than a troublesome problem.

Joseph Stiglitz, the 2002 Nobel Prize winner for Economics, has argued that public policy marketplaces (as with the private sector) become more distorted, inefficient and dysfunctional as the asymmetries of information deepen between citizens, government, media and the Opposition increase ( Stiglitz 2002).

Information imperfection favours the government of the day and the existing bureaucratic leadership and they have great incentives (retaining of public office and power or simply to avoid accounting for mistakes) to increase those asymmetries of information or information imperfections further.

Campaigns or ideas for improved freedom of information laws and practices, greater campaign funding disclosure and public interest disclosure laws will therefore be seen as unnecessary or even undesirable. Yet for Stiglitz the most undesirable outcome is the decline in political contestability and the quality of public governance that accompanies high levels of information imperfection in a political system (Stiglitz 2001).

The public sector dividends from FOI and greater open

government have been exhaustively recounted but include improved records management, higher quality decision making and the capacity to detect and be informed of shortcomings in administrative processes.

Yet these dividends have been largely uncollected, as public service managers have dismissed FOI either as a threat to 'normal operations' or merely an occasional intrusion that is suffered as an intangible and minor community service obligation.

Over the last two decades tremendous effort, resources and importance have been devoted to ensuring all levels of public sector decision making meet stringent requirements of financial management, integrity and pro-active responsibility.

In sad contrast the pursuit of democratic integrity has been left as an optional extra. Ignorance or a lack of rigour in scrutiny are unacceptable defences to charges of lapses in financial accountability. Yet "I wasn't told", "I didn't check" all are plausible and defensible defences when the issue is non-financial accountability.

The leadership of the Australian public sector have allowed Freedom of Information to operate on the fringes of public sector decision making but have quarantined it from areas of important and controversial decision making whether by the use of conclusive certificates, ambit exemption claims, exorbitant fee calculations or simply excessive delaying tactics.

In the terminology of Stiglitz, the preference has been for, and even to increase, information imperfections for the unfounded fear that greater openness threatens rational, informed and candid decision making. All qualities that are difficult to find in the Palmer Inquiry, the AWB Royal Commission and the recent Commonwealth Ombudsman reports on Immigration Detention.

FOI has for too long been a neglected tool of public administration or used for its secondary purpose – providing citizens access to their personal affairs information (in most years 90%+ of requests are for personal information). A process that in the 21st century should be routine, unproblematic and in most cases not requiring resort to the FOI Act.

It is time to use the legislation to remove the unnecessary information barriers between citizens and the state (as compared to New Zealand), reap the accountability and efficiency dividends and use the legislation as a 21st century information tool rather than treat it as an unnecessary legacy of the Woodstock generation.

Alasdair Roberts (2004), a Canadian academic based at Syracuse University, and Paul Monk (2002) have argued that the public sector often deprive themselves of a critical commodity namely informed external advice and critiques by over zealously protecting their information holdings.

*"If I, as a civil servant, write a Cabinet paper which I expect to be sought for public release I am going to be extraordinarily careful to get my facts right, to avoid trespassing into politics, to give comprehensive reasons for and against a proposal, and to think very carefully about my recommendations. My advice will therefore be balanced, accurate and comprehensive."*

Marie Shroff, currently New Zealand Privacy Commissioner and previously NZ Secretary of Cabinet and Clerk of the Executive Council for 15 years, (2005)

These authors argue that greater transparency empowers or enables citizens to contribute to public policy at a higher analytical level. In part this is linked to the debates over open versus closed source software. Indeed, a driving force behind the eventual embracing of FOI in New Zealand was the realisation of the benefits it could bring to public policy development, implementation and evaluation.

A more immediate necessity to revive FOI is the need to deal with the issue of trust in the public service. Federal Ministers can use Chinese Walls, alternative activity (preferring to read magazines to departmental briefings) and techniques of plausible deniability to distance themselves from accountability or responsibility – the public service is left with the problem of broken trust.

Trust is an essential element in any marketplace whether for goods and services, or the trading of ideas. The curse of high levels of information asymmetry is that mistrust festers and misplaced trust takes longer to recover.

For Stiglitz, FOI is a necessary information tool to both improve public policy dialogue between public sector decision makers and citizens and to restore or increase the level of trust within a political system (Stiglitz 2002).

An ideal public sector governance model hinges on two things: effective records management, and access to information. Effective records management captures information and evidence of business so as to enable organisations to provide proof of being transparent; to enable them to account and be held to account; and to be able to prove that they transact all public affairs within the confines of the law.

Access to information, especially by virtue of FOI legislation, enables citizens to ascertain the level of transparency of public sector organisations. Citizens are then afforded a legally sanctioned, and non-rationed, opportunity to hold organisations accountable for their performance as well as to enable them to evaluate whether all the organisational functions were conducted within the ambit of the relevant laws and regulations.

The 2003-04 report Recordkeeping in Large Commonwealth Organisations released by the Australian National Audit Office, argued that records management 'is a key component of any organisation's good corporate governance and critical to its accountability and performance'.

The same report also argued that 'sound recordkeeping can assist an organisation's performance by: better informing decisions; exploiting corporate knowledge; supporting collaborative approaches; and not wasting resources, for example by, unnecessary searches for information and/or redoing work'.

A more effective, responsive and citizen-centric FOI scheme is not the sole, or even the best, way of creating a culture of access to

government information but it is a necessary pre-requisite.

In 2002, the Canadian Access to Information Review Task Force recommended that government institutions manage their FOI responsibilities in the same way that they manage other programmes, and establish resource planning mechanisms, including resource forecasting, performance measurement and system analysis, as part of their operations (Access to Information Review Task Force 2002).

Freedom of Information has been apart of the Commonwealth public service framework for 23 years, but it is administered and funded as a temporary, ad hoc and marginal exercise rather than as a key and permanent part of the Government's information management efforts.

At several critical junctures, Australian public sector decision makers, law makers and the judiciary have squandered opportunities to create or enhance the informational infrastructure necessary for an information age.

When critical decisions have had to be made the preference has always been to favour non-disclosure over disclosure or to accept only the changes that would cause the least disruption to a classical conception of Westminster governance.

The AWB Royal Commission Report and the Commonwealth Ombudsman reports on Immigration Detention now join a long line of official critiques over the last ten years that have found

management, a fundamental disjoint between training and culture on the one hand and the requirements of legislation and acceptable governance on the other. All deficiencies which an effective FOI process can assist in addressing and removing.

Pleas for secrecy, or a high level of sheltered protection, which the majority of High Court judges in the McKinnon case were sympathetic towards pose a threat to effective public sector governance and its democratic integrity.

The AWB Commission has indicated that we may need to start rethinking our views on secrecy, non-disclosure and information transparency. Attorney General Phillip Ruddock has asked the Australian Law Reform Commission to conduct a review of legal professional privilege, following one of the recommendations from the Cole AWB Royal Commission.

Blanket claims for non-disclosure have the potential to be abused or at the very least encourage sloppy information management practices. Whether they are blanket claims for legal professional privilege, all Cabinet information or the use of Conclusive Certificates to protect internal working documents that have the perceived potential to raise critical questions about government policies.

In a recent case study, involving nine separate FOI requests for access to documents in relation to kickbacks paid to the Hussein regime in Iraq by the Australian Wheat Board, Alhadeff (2006), a student intern working for Kelvin Thompson, then Opposition spokesperson on public accountability, was able to demonstrate the

## ' Relying on dysfunctional records systems and administering information as a static and low value resource is not the way to stay in the game '

various areas of the federal bureaucracy riddled with information asymmetries, dysfunctional information flows and a remarkable incapacity to deliver, and act upon, timely, high quality and relevant information to those who need ,or ought, to know.

Yet senior officials, including agency heads, wax lyrical about the threats to 'effective and sound' decision making that would occur if the Freedom of Information Act was allowed to put more information in the public domain.

We are warned that senior professional civil servants would hesitate to record full and accurate information, that they would resort to oral briefings to avoid leaving an accountability trail and that their advice would become timid, insipid and spineless.

However you must wonder what would have happened in DFAT (AWB), Immigration (Rau and Tampa) and Defence (Children Overboard and Tampa) if the 106 reform recommendations from the joint 1996 Australian Law Reform Commission and Administrative Review Council report Open Government had been implemented.

The Cole Commission revealed to full public scrutiny a container load of documents which if requested under FOI would have remained hidden.

The wheels of decision making in Canberra did not falloff or grind to a halt with the revelations. Indeed we ought to expect that warnings of future problems or programme failures will be better assessed and somehow penetrate to a Minister's early warning system so as to avoid similar embarrassment before any future inquiry.

Professor John McMillan, in his reports on Immigration Detention, paints a picture of systemic failures in records

limited effectiveness of using FOI requests to access information Alhadeff.

Alhadeff concluded: 'Overall, the principal problem which Thomson's requests revealed is the government-fostered culture of frustrating contentious FOI requests. The responses received from DFAT suggests the decision-makers attempted to exempt as much information as possible, instead of reviewing requests with a view to releasing information unless there is 'good reason to withhold it'. It is this culture of resistance to access requests which represents the most significant challenge to FOI in Australia.'

Sometimes, the simplest comparisons can be the most telling. New Zealand implemented the Official Information Act at the same time as Australia's Freedom of Information Act in 1983. A visit to the websites of New Zealand government agencies will reveal a plethora of Cabinet Papers, minutes and internal policy documents that have been released under the Official Information Act.

See the New Zealand Ministry for Environment Climate Change web pages for an example (http://www.climatechange.govt.nz/resources/cabinet/index.html) which provide access to Cabinet documents dated as recently as October 2006.

The release of this type of material has often embarrassed the New Zealand government, posed difficulties in trying to persuade informed critics and limited the capacity to spin a policy development when the media has access to the full set of policy and briefing papers.

Yet there has been little sign of the nightmare scenarios that have been painted by senior Australian civil servants ever since Senator

Lionel Murphy tabled a proposal for a Freedom of Information Act at the first full Cabinet meeting in 1973.

Not every cabinet document is released in New Zealand. However the decision about release is conducted on the basis of each document's information content and the assessment of benefit and risk of releasing the information. In Australia no consideration is given to these factors all cabinet documents are classified automatically with the same stamp.

The New Zealand experience demonstrates that a Cabinet system of government and a Westminster civil service can tolerate, and benefit from, a significantly more open system of government. In terms of independent access to high quality and informative government information Australian citizens run a distant second in comparison to their New Zealand counterparts.



Department of Prime Minister and Cabinet Secretary **Dr Peter Shergold,** one of the Departmental Secretaries seen as perceiving FOI as 'a troublesome problem'

There are five immediate steps that need to be taken to ensure that Freedom of Information can make a positive and lasting contribution to better public administration in Australia.

The first four steps include removal of conclusive certificates, the adoption of the Australian Law Reform and Administrative Review Council recommendations in regards to creation of a Federal Information Commissioner, improvement in the objectives clause of the legislation and a more stringent set of requirements that need to be satisfied before agencies withhold information on the grounds of public interest.

Most of these have been addressed in the ALP's Freedom of Information Amendment (Abolition of Conclusive Certificates)Bill 2006.

The final step is the need to create an institutional champion for FOI external to the public service (Snell 2006). An institution that is a 'credible, professional representative body to promote and advocate open government principles, and FOI laws that work to achieve those objectives' (Timmins 2006).

For those with long memories in Canberra this would be an organisation similar to the Rupert Public Interest Movement of the 1970s and early 1980s - many of whose members were public servants who went onto distinguished careers.

Those behind Rupert made a fatal mistake when they packed up their bags after the passage of the Commonwealth FOI Act believing that their job was done and that the information game could now be left in the hands of the public service and the government. The information game needs to include as many informed players as possible.

The irony for Treasury is that McKinnon, whilst a victory in the narrow sense of self-interest, severely undermines its own wellbeing mission. The first paragraph of the Wellbeing Framework policy states "Treasury's mission is 'to improve the wellbeing of the Australian people by providing sound and timely advice to the Government, based on objective and thorough analysis of options, and by assisting Treasury Ministers in the administration of their responsibilities and the implementation of Government decisions'."

Which approach to ideas best contributes to the wellbeing of the Australian people? A secretive and proprietary control of knowledge, or transparent, modern and democratic principles of access to and exchange of ideas? IQ

### The Author

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# MAKING
# SEARCH WORK

**By Martin White**

Search within an organisation has become essential to managing electronic records and to discovering material to meet compliance and legal case requirements. But is your Search capacity as good as it could be? Should your organisation be employing an Information Search Manager or Discovery Manager?

To this day I can remember sitting in the main hall at the Institution of Electrical Engineers in the summer of 1974 and watching a demonstration of what was then called the DialTech online search service. I could not quite believe what I was seeing. Thousands of abstracts searched for relevant citations in seconds.

Even in 1974 the technology was not new, as the beginnings of the Lockheed Dialog and SDC Orbit online services date back to 1963. All the initial development work in scientific literature searching was soon supplemented by the demands of enterprise search as a number of large antitrust suits required IBM and others to be able to find a few relevant corporate document amongst millions to make or defend their case.

I had a similarly memorable experience just over twenty years later when Alta Vista arrived on the web, having indexed 16 million web pages. Now Google, Yahoo and Microsoft (the GYM group) have given up counting, and search has come centre screen.

Web search is free, supported mainly by advertising and we don't think for a moment about the technology that lies

two hours a day searching for information, and more than 50 percent of the information they obtain has no value to them.

In addition, only half of all managers believe their companies do a good job in governing information distribution or have established adequate processes to determine what data each part of an organisation needs.

Nearly three out of five respondents (59 percent) said that as a consequence of poor information distribution, they miss information that might be valuable to their jobs almost every day because it exists somewhere else in the company and they just can not find it.

This is just one of a number of studies which indicate that a failure to be able to find information that the organisation has already invested in creating is endemic in all types of organisation.

Search has been a technology that few IT departments have needed to understand until probably this century. Now the rate at which information is being accumulated, especially as attachments to emails, is totally outstripping the capability of IT departments to provide solutions.

Certainly there have been quite a number of companies

> ## ' I am sure that before long the position of Information Search Manager will emerge '

behind the box on the screen.

But times are changing, and many of the advances in search software designed to search enterprise servers are emerging from the Web search companies.

Google was the first to move with its Search Appliance, Microsoft has substantially upgraded the search functionality of SharePoint in the 2007 release, and Yahoo! has a joint venture with IBM to provide free downloads of the IBM Omnifile Yahoo! Edition which can be used to search collections of up to 500,000 documents.

Over the last few years a great deal of attention and column inches have been devoted to the benefits of content management software as a means of adding content to websites and intranets.

Now companies have vast repositories of information and have discovered that they can't find anything, especially if it is on one of the hundreds of shared drives that lurk in every corner of every organisation.

### The Information Black Hole

Middle managers spend more than a quarter of their time searching for information necessary to their jobs, and when they do find it, it is often wrong, according to results of an Accenture survey released in January 2007.

The purpose of the online survey of more than 1,000 middle managers of large companies in the United States and United Kingdom was to uncover wide-ranging insights about the way they gather, use and analyse information.

Among the key findings were that managers spend up to

offering search applications, notably Verity, Autonomy and Fast Search, but collectively the revenues of these companies are only around $700 million, less than a tenth of the size of the market for business intelligence (how I brindle at that description!) software.

The best selling search products are probably Ultraseek and Isys Search, but my guess would be that less than 50,000 companies worldwide have made any substantial investment in providing good search solutions for employees.

### Website Search

It is important not to forget that most websites also fail to provide any thing like decent search functionality for visitors.

If you want to see good examples go to www.rnib.org and www.nature.com. Their search experience is tailored for a specific group of visitors, and that is just what it should be.

On the other hand you can go to the website of a central government department, enter the word intranet and in January this year find with items that have titles which include File30958, Microsoft Word – errs32.doc, file 22013, Business Case and Sarah in the top ten relevant documents.

Those results exemplify one of the major problems with search. It does not matter how good the search software is, if the content is poor then so will the results of the search.

There is really only one metric of search, and that is that the user trusts it. The moment that trust is lost people will use other ways of tracking down information and documents.

It is not just smaller companies who have failed to invest in good website search. At the time of writing this, putting the

search term 'hydrogen' into www.bp.com produced as a 99% relevant item the document "Issue one – 2004". I rest my case.

Many organisations use open source Web search software to save costs without realising that in common with most software products the price-performance of search application is improving all the time.

The Google search applicances are a good example, but there are now many low-cost/good functionality products from the 50+ vendors now active in the market.

As in the case of intranets, search applications will not paper over cracks in poor content or poor information architecture, but if the IA and search work well together (try the preview facility in the search results pages of www.usa.gov) then the results on even massive websites can be very rewarding.

### Search Software is Stupid

No, that is not a misprint! One of the major issues in implementing search software inside the enterprise is that there is usually nothing in the form of metadata attached to a document to tell the search engine that the document has a restricted circulation. (If the word 'sex' is the most searched-for term on the Web, inside the enterprise the word is 'salaries'!)

What usually happens is that someone shares a confidential document with a small group of colleagues by email. They all add it to a folder on their shared drive 'just in case' but work on the basis that no-one will ever find it. Then along comes the spider from the search engine, finds a new file and the damage is done.

One of the most challenging aspects of search implementation is the development of what are referred to as Access Control Lists (ACL). These ensure that access to documents is limited to people with the right to see those documents.

The technology is fairly easy is if it can be implemented at a server level, but at a document level (because on any given server there is a mixture of documents with different circulation lists) both the technical and political issues involved are usually very difficult to resolve. Even a single

## Making Website Search Work in Your Organisation

Step 1 – What will be the benefits to visitors to the site?
Step 2 – Consider the technical options
Step 3 – Develop and gain approval for a business case
Step 4 – Write a project plan
Step 5 – Agree the outline search parameters
Step 6 – Design review
Step 7 – Enhance content quality
Step 8 – Select a vendor
Step 9 – Install and test for usability
Step 10 – Review and revise

breach could have serious consequences for the organisation.

This is probably a good point to bury the idea that enterprise search is for large multi-national companies. In my view 'enterprise search' means being able to search any content on any server running any application. That's probably an ideal world, but in comparison intranet search applications tend to focus on Web servers and related applications.

The distinction is a blurred one, but it is certainly not related to the size and complexity of the business, but the complexity of the information systems architecture.

Content management software is very light on hardware requirements but search requires a much more rigorous view of the systems environment. The indexes themselves may be 20-30% the size of the original collection of documents, and when defragging the indexes there has to be enough spare memory around to hold the rebuilt index.

Memory may be cheap but that does not mean there is spare capacity when you need it. Global businesses add to the problems. Finding a document result and then finding that the document server in Sydney is down for maintenance can be very frustrating.

### Counting the Cost

An essential element of specifying search applications is to be fairly certain about the number of documents that are going to be searched. This is not as easy as it sounds and the number will almost certainly be larger than anticipated.

There are two basic business models for search licensing (including search appliances). The first is a server-based licence and the second (and more common) is a licence based on the number of documents. So knowing the number within perhaps 10% is quite important.

An essential outcome of this work is to define a collection of documents that can be used as a test file in evaluating a search engine, and in the initial implementation to check that everything is functioning according to specification.

The size of the test file cannot be specified on the basis of a percentage of the total document collection, and it may be that there is more than one test file.

Ideally there should be three test collections.
• A few documents from every one of the current and

projected file types to check how the search engine will handle these file types. Microsoft Project can be one common file format that often cannot be searched, and the way in which Excel files with multiple workbooks are handled is another area for evaluation.

- A large set of typical documents that will be a prime collection for searching by the persona types developed in the business case. This could be HR policies, engineering reports or business plans.
- If appropriate a smaller set of very large documents to test out summarisation and keyword-in-context functionalities

This really is the only way to evaluate search software and it takes a lot of time and effort.

But the hard work only really begins once the search software has been implemented. On a regular basis search logs have to be analysed, the reasons for failed searches investigated and changes made to relevance algorithms, as well as fine-tuning the servers and network management.

In larger organisations there may be perhaps 10,000 searches a day, resulting in some very large log files. As a result there may need to be a team of three or four people working behind the scenes, and there is certainly a role here for information professionals.

I am certain that before long the position of Information Discovery Manager will emerge.

### Are You Basic or Advanced?

The search interface also needs a lot of attention. It is important to appreciate that search is often a process of finding and then searching again. Rarely will all the relevant results be found by the initial search.

The search interface must therefore support a dialogue with the user, and this is where functionality such as clustered and faceted search can be very valuable in supporting alternative views of the document collection.

Without doubt the most useless piece of data on a search screen is the time it took the search engine to carry out the search. Who cares?

Another common feature of search screens is the use of the terms 'basic' and 'advanced' search. Why should employees have to put up with a basic level of search. Why

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## Making Intranet Search Work for Your Organisation

Step 1 – What will be the benefits to employees?
Step 2 – Consider the technical options
Step 3 – Develop and gain approval for a business case
Step 4 – Write a project plan
Step 5 - Define a test document set
Step 6 – Scope the user interface
Step 7 – Select a vendor
Step 8 – Install and test for usability
Step 9 – Optimise search performance
Step 10 – Have a development strategy

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not 'standard', and then perhaps use the adjective 'enhanced' for the more complex option.

### The Devil is in the Detail

To be able to select a search engine requires a reasonable level of knowledge of how search software works, and this is why the expertise of information professionals is so important in the selection team.

I have already mentioned the need to understand the document collection, and then there is the need to develop metadata schemes and taxonomies, and of course to work with users to find out the role that they want search to play in the process of information discovery.

Searching has to result in finding. This is why I feel that there is a real opportunity for the role of Information Discovery Manager, heading up the team that provides search applications that staff trust.

What I am certain about is that the technology of search is going to improve very rapidly over the next few years as enterprise software giants like IBM, SAP and Oracle compete with Google and Microsoft, and still leave a lot of room for innovative new companies.

Now is a good time to look at the search performance of your website and your intranet. Search has to work. Does yours? iQ

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### The Author

**Martin White** is Managing Director of Intranet Focus Ltd., in the UK, and author of Making Search Work, which has just been published by Facet Publishing.

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# Three Views of Information Awareness Month (IAM) 2007

In May, the RMAA joined with a number of other information industry organisations to promote Information Awareness Month. Here, three correspondents report on a range of IAM activities across Australia.

## The ACT's Successful Education Mini-Market

By Marian Hoy, CMRMA
RMAA ACT Branch Councillor

Information Awareness Month, May 2007 in the Australian Capital Territory (ACT) was a great success with 21 events spread throughout the month, and all being well attended. One of the contributions by the ACT Branch of the RMAA was an Education Mini-market held on 28 May at the National Archives of Australia in Parkes, ACT.

The two hour mini-market was an opportunity for local professionals to learn about a range of courses provided by a selection of Canberra-based educational institutions offering vocational and tertiary qualifications relating to archives, information, knowledge management, information architecture and systems analysis.

The speakers were:

•Dr Zbigniew Stachurski, Director, Centre for Science and Engineering of Materials at the Australian National University. He spoke about a new post graduate course, entitled 'Systems approach to management of government information'. Modules examine preservation, systems analysis and managing information systems.

•Ms Maria Dealy and Ms Denise Madden of the Canberra Institute of Technology, who took participants through the Certificate III Business Services (Recordkeeping) and aims for future courses. This qualification has only been offered by the CIT since 2005 and enrolments are steadily growing. The course is based on face to face delivery, although there are flexible



A moment with the speakers before the ACT mini-market commenced. From left **Maria Dealy**, **Marian Hoy** (RMAA ACT Branch Council), **Denise Madden**, **Sally Burford**, **Trish Milne**, **Kate Walker**, **Zibigniew Stachurski** and **Stephanie Ciempka**, (President, RMAA ACT Branch)
Photo by Stephanie Ciempka

study arrangements. Students study the four core recordkeeping units for a Certificate III and undertake other units depending on their interests and experience.

•Associate Professor Trish Milne of the University of Canberra, who talked about the Masters in Knowledge Management, an online program that examines principles and processes of knowledge management and affecting change in the culture of organisations.

•Sally Burford, also of the University of Canberra, who described a Masters in Online Communication, which includes topics on metadata, resource discovery and information architecture, so relevant to the IAM audience.

Following the four speakers, Kate Walker, RMAA Chief Executive Officer talked about the links between education, knowledge and the growth of the professional outlook of the RMAA. Ms Walker emphasised the importance of education for the profession and for individual membership.

The format differed from the standard seminar but worked well. The first hour was devoted to the speakers who each had about 10 to 15 minutes to talk about their courses, explaining content, enrolment processes and delivery methods.

As any questions arising from the speakers would have an individual focus, the second hour gave participants the opportunity to talk individually to the speakers about how the courses might suit their needs or those of their team. Students from some of the courses were also available for questions. There were also plenty of handouts and they all went!

The mini-market was informal and practical, and with show bags for goodies and handouts, everyone had something to take away with them. Being held in the last week of IAM was a bit of a worry – that no one would want to come, after being able to attend so many other events.

Sixty people attended (this was more than was expected), so it really shows that the profession is interested in education. The time of day (3.30 pm – 5.30 pm) also helped as most people came on their way home from work.

These events always need support, and the ACT Branch and the IAM organisers would like to thank the National Archives of Australia and Objective for their generous support by providing the venue, ICT support, show bags and refreshments. iQ

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# QT Embraces Information Awareness Month

By Amanda Chalmers

Queensland Transport (QT) promoted Information Awareness Month this year across the Transport portfolio (Queensland Transport and the Department of Main Roads) by implementing a range of promotional activities designed to get employees talking 'information'. IAM also served as a vehicle to lift the profile of one of QT's newest business areas.



At the QT IAM stand in Brisbane, (left to right), **Amanda Chalmers**, (Director, Information Management & Performance), **Paul Summergreene**, (Executive Director, Information Management Division), **Debra Scully-Simpson**, (Senior Advisor, Recordkeeping), and **Marion Bradfield**, (Communications & Change Manager)

Led by the Information Management and Performance (IM&P) branch of QT's Information Management Division, IAM created more conversation within the department this year than ever before.

QT's Communications Manager, Marion Bradfield, explains: "With IM&P branch being a newly established business area in Queensland Transport, our team embraced Information Awareness Month as an opportunity to raise our profile within the organisation and bring information management back onto people's radar.

"We wanted to get people thinking again about the way they're managing their information and remind them about good recordkeeping practices by providing practical tips.

"Amanda Chalmers, Director IM&P Branch, and her team, are responsible for information management across Queensland Transport. This includes spatial information, and coordinating and providing leadership on organisational performance reporting."

As well as being responsible for the above, the IM&P branch is also responsible for providing a range of strategic recordkeeping advisory and planning services to assist the Transport portfolio and its external clients to improve their recordkeeping practices and to comply with Whole-of-Government standards and requirements.

The recordkeeping unit within the IM&P branch were awarded the RMAA's 2006 J Eddis Linton Award' for 'Outstanding Group Contribution to the Records Management Profession'.

Receiving this award was an excellent recognition of the outstanding work the recordkeeping unit contributed not only towards the records management profession, but improving recordkeeping within the Transport portfolio.

The IM&P branch marked the launch of IAM with the release of a new intranet site. "This site is a central point of reference on matters relating to information management, performance reporting and recordkeeping for over 8,000 employees across the Transport portfolio," Marion said.

In it's first month of release, the site received over 800 hits. "This is an amazing number of hits," said Marion, "which proves just how much interest IAM generated throughout the department."

Other IAM communication strategies included weekly tips and facts. Topics included 'Top ten facts of recordkeeping' and 'Top five tips to help you manage your emails and working documents'.

IAM was a great opportunity to reinforce good recordkeeping practices across the portfolio with internal recordkeeping posters, RMAA and IAM posters being distributed to over 80 Queensland Transport and Department of Main Roads offices statewide.

To give staff an opportunity to interact with IM&P branch staff, a promotional stand was manned by two IM&P branch employees to answer questions, hand out brochures and run a lucky draw competition.

"This was a fantastic idea to get IM&P branch and IAM out there, with over 200 employees visiting the IAM stand during the week", said Marion Bradfield.

An element of fun was added with a word jumble competition run over the month, testing employee knowledge of information management related terms. This generated a lot of staff interest with over 600 entries received.

"Working with our divisions Marketing Communications unit, we developed a communication and marketing plan containing a mix of on-line and face-to-face strategies that generated awareness thanks to IAM," said Marion.

"With the increased interest IAM has generated within the Transport portfolio we will continue educating staff about good practice, and to promote new initiatives we have on the horizon."

Based on the great success of this year's IAM promotion, IM&P branch have planned to lock it in as a regular event in their annual promotion awareness activities. iQ

## The Author

**Amanda Chalmers** began her career as a clinical psychologist in the child protection and youth justice field. Moving into the private sector, she focused on counselling and delivering training in psychology, and commenced her Masters in Organisational Psychology. She subsequently took strategic planning and policy roles within Queensland Government portfolios including Child Safety, Communities, Disability Services, Housing, and Premier and Cabinet.

Amanda also spent a year working for the provincial government in Ontario, Canada, helping develop the Affordable Housing Program public-private partnership.

She joined Queensland Transport in 2005 as a Strategy Director, working on major changes to external service delivery - including components of the Smart Service Queensland initiative – and to internal systems and policies. Since becoming Director, Information Management and Performance in 2006, she has established a skilled team to meet the challenge of managing Queensland Transport's Information Management and Performance initiative.

# City of Mandurah's Amazing Race

By Tatum Puro, Records Management & FOI Coordinator, City of Mandurah

May started with a bang - of a starting pistol as, city-wide, staff began an 'amazing race' around the world. Prestige, prizes and pride were at stake - this was Information Awareness Month at WA's City of Mandurah.

Our 'racers' had to complete tasks as they raced from country to country (on a large poster map) answering questions on records management, technology and the City - tasks aimed at connecting people and organisation outposts.

Utilising City technology tools and our recordkeeping and business information systems, teams not only had to find the right answer but figure out who the keeper of the next clue was – key to connecting our people with the information they need and the keepers of that information. The networking with a senior manager task was particularly successful.

IAM offers RIM professionals the opportunity to step up and be noticed throughout an organisation, and, dressed in matching navy shirts replete with catchy info-phrases, the City of Mandurah records management info-evangelists promoted our profession with event after event.

Lunchbox seminars included topics such as communicating with the deaf; getting better acquainted with your digital camera; online photo albums, and the very popular 'learn to play' Nintendo Wii'. There was also TRIM and RM awareness training, and FOI and privacy legislation seminars.

Events were tied together under the IAM theme of 'connecting information and people', and we kept people informed with regular updates, posters, newsletters and our intranet.

Maintaining momentum, particularly when May spanned 5 weeks, can be difficult, so it's crucial that records staff are on board and ready to carry the torch. The enthusiasm of my team certainly kept the ball rolling.

It didn't hurt that we began planning in February - we swept management along a very hectic road. The City of Mandurah embraced Information Awareness Month, with senior management taking active roles in networking and information sharing events. IAM is unparalleled in its ability to raise the profile of RIMs and give you a platform, and captive audience, for IM issues in your organisation.

I would like to thank the RMAA marketing team for their support. Local suppliers also supported us with promotional goodies as prizes and carrots.

In Mandurah, IAM was a great success. Our racers made it round the world mostly unscathed, and there isn't a City employee who doesn't know who the records managers are.

Are you looking forward to May 2008? I know IAM!

# What **Chatter box** Heard

**By The Informer**

## What's Tops on Your Bookshelf?

What are on records managers' bookshelves, the listserv asked. Good question! ISO 15489 and ISO 23081? Back numbers of *IQ* and the RMS of GB's *Bulletin* journal? Frank Upward's 'In Search of the Continuum' and Julie McLeod's 'Managing Electronic Records'? Hilary Golder's 'Documenting a Nation'? How about your bookshelf?

## Spam and Dregs of British Email

The 21st Century Domesday Book? An electronic time capsule?

The 'Email Britain' project – collecting a month's UK email, was dreamt up by Microsoft's Live Hotmail and sold to the British Library, 'to capture the biggest possible cross-section of emailing life'. Brit media solemnly equated it with the Magna Carta and Shakespeare's First Folio.

Contributions, of more than 22,000, were gems like, "Ha, ha. The temp in reception got fired after sending this," and "I really, really, really ridiculously enjoy eating chicken and bacon sandwiches."

Spelling and grammar? IP rights? Porn and spam? A terabyte-sized tragedy!

## The Best Australasian RM Blog?

As a 'Collector of Unconsidered Trifles' Melbourne University's Helen Morgan, cultural informatics research fellow at the Australian Science and Technology Heritage Centre, unearths fascinating details in her helenmorgan.net blog.

Lately, she's come up with an embryonic list of archivist blogs. Among the best, Canberra historian Anne-Marie Conde's chatty Archivestragic.com.

Do we have RM equals? The Informer offers succulent spoils for the best Australasian RM blog identified to *IQ* before next month's RMAA Convention in Wellington, to be delivered at the gala dinner.

## Dangerous Praise for NARA

The US National Archives and Records Administration has been praised by *The New York Times* for challenging Vice President 'I'm outside recordkeeping law' Dick Cheney. (See Industry News, this issue)

After Cheney tried to shut down the records auditing unit rather than comply, NARA protested to the Justice Department. *The Times* lauded them as 'the new macho heroes of Washington'.

Beware, guys and gals - Guantanamo Bay is stinking hot this time of year.

## Cheerful But No 'Cheers' In Dubai

Well-known Sydney RIM and *IQ* contributor Stephen Macintosh recently began a dream RM job with the Municipality of Dubai in the United Arab Emirates. He's loving every minute of it.

Stephen says he hasn't touched a drop of alcohol since he's been in the Islamic state, and is shedding weight fast!

# DON'T MISS THE WELLINGTON BUS or the Great RM Debate

## By Convention Chair Mike Steemson, ARMA

The Wellington Convention Bus, the Great Debate, the Private Sector RM review – they're among the myriad features of the RMAA 24th International Convention opening next month in the beautiful Marae at Te Papa, the Museum of NZ, in Wellington.

Seven keynotes and more than 30 other speakers will address the theme 'Influence with Integrity' over the 4 days of conference and workshops in the New Zealand capital.

The Great Records Management Debate will be the fun-based finale to the main event. US courtroom attorneys Jonathan Redgrave and Lori Ann Wagner will lead the debating teams, one for the proposition 'Recordkeeping Requirements: Who needs them!', the other against it.

. As friends and business partners in Washington DC and Minneapolis-based law firm Redgrave, Daley, Ragan and Wagner LLP, they know a good argument when they hear one. Who will lead which team? They haven't decided yet. They just want to argue against one another.

Supporting the anti-RM standards and processes cause will be Australian recordkeeping star Barbara Reed, arguing against the principles she has, for decades, been evangelising in Australia and across the globe. Who better than an evangelist to reveal the weaknesses of the principles she espouses?

When Barbara accepted the negative role, she asked: "Can I do the 'no' case? You'd have to promise me that no-one will ever throw the words of provocation back in my face as my real stance!" We promised! So, dear delegate, you have been warned. Don't do it!

Other recordkeepers will be there for delegates to cheer, and techies to berate, under the control of adjudicator Kenneth Tombs, Managing Director of London document content mining group Legal Insight Ltd, and *IQ* columnist.

The Private Sector RM Review is a first for RMAA Convention. Led by Auckland RM consultant Helene Rajsic, ARMA, it will feature two Australian and two NZ experts discussing how the private sector does it.

The event grew out of discussions with private sector RM ace David Moldrich, FRMA, at last year's convention in Cairns. He was concerned that conventions paid too little attention to non-government recordkeeping issues.

NZ organisers listened, and the Wellington review, timed for the morning of Wednesday, September 12, will go some way to redress any imbalance.

RM standards evangelist **Barbara Reed**, who will be going against her principles at the RMAA Convention

The Review's four wise heads will be
- David Pallot, National Records Manager, Business Solutions, at PricewaterhouseCoopers, Sydney;
- Elsa Roberto, Records and Document Management Administrator for Papua New Guinea's Oil Search Limited, based in Sydney;
- Joan Davies, Administration and Records Manager for Energex New Zealand Ltd, and
- Lyn Maguire, ARMA, Records and Library Manager, Vector Ltd, Auckland.

There will also be keynotes on ethical issues, indigenous recordkeeping, data warehousing, standards, professional development, records management principles and purposes.

Speakers will discourse on RM in the USA, England, Africa, the Pacific, and, of course, Australia and New Zealand.

## Workshops Innovation

Another innovation will be the Convention's fourth day series of workshops, led by experts who featured in the Convention programme.

On Thursday, September 13, full-day and half-day workshops will be held on subjects such as Influencing senior management to get a "Yes" for your RM programme; the records pitfalls of e-discovery and litigation; the perfectly informative website, etc.

And those Convention buses! On September 9, the day of the Welcome Cocktail party at Te Papa, a one-hour scenic bus tour will leave from the Convention venue, the Wellington Convention Centre's Michael Fowler Centre.

The short trip will take in scenic views points around the hilly city, like Oriental Bay, the Beehive, and St Paul's Cathedral. There are two times available to fit in around other events and it will cost only a few dollars - but you need to include it on your registration form.

It will all be fun. There will be many things to learn, many old friends to meet, and new, useful contacts to make. Where will you be from the 9th to the 13th next month? A part of all this, or office-bound, wishing you'd worked harder on the boss to send you to Wellington? See you in NZ! iQ

**For more details and last minute registrations, visit the Convention website at: www.rmaa.com.au/natcon2007/index.cfm**

# New RMAA Recordkeeping Scholarship Among Awards at CIT Award Night

**By Marian Hoy, CMRMA**
**Education Officer, RMAA ACT Branch**

In the spacious surrounds of Canberra's National Museum of Australia, the Canberra Institute of Technology (CIT), Faculty of Business and Technology held its 18th annual Scholarship and Prize Presentation evening in March, with a new RMAA recordkeeping scholarship among the 34 awards presented.

The Faculty is responsible for a wide range of vocational qualifications, including information technology, library and information services, accounting, management and recordkeeping, introduced in 2005 through a Certificate III Business (Recordkeeping). (See www.cit.act.edu.au/bit/ for details.)

During the awards evening, 34 awards were presented by 22 businesses, educational institutions, professional associations, Australian Government and Australian Capital Territory Government agencies. Scholarships and prizes were presented for information technology, management, library and information services, auditing, accounting, taxation, marketing, and, for the first time, recordkeeping.

Ms Stephanie Ciempka CARMA, President of RMAA ACT Branch, presented the inaugural RMAA Recordkeeping Scholarship to Natalia Bogomiagkov of the National Archives of Australia for academic achievement during her studies towards a Certificate III Business (Recordkeeping). The scholarship includes a contribution to course fees and a year's affiliate membership of the RMAA.

Teaching staff at the CIT selected the winner following a nomination process involving submissions prepared by the students. The RMAA ACT Branch Council elected not to be involved in the selection process as most of the students were known to Branch Council members; the decision was left to CIT teaching staff.

Students are eligible for the scholarship during their course or upon completion. Annual scholarships are an added incentive for students as they do not have to wait until they finish their course, which can be a while for those studying part time.

Engaging with teachers and students through scholarships or awards is a pro-active way for the Association to make a contribution to the industry and present opportunities to increase its visibility.

For many of the 200 teachers, students, industry representatives, friends and family attending the CIT awards it may have been the first time they had heard of the RMAA or that there were qualifications for recordkeeping.

The organisations involved regard this annual event, along with internships, mentoring programs, work experience and holiday work as crucial to being seen as an attractive employer.

Employers at this event knew that it was no longer an option just to wait until students have finished their qualifications. Visibility early on can help employers get a 'foot in the door' to a competitive workforce.

For students, the opportunities to engage with potential employers gives them confidence that there will be jobs during and at the end of their courses. With 8 of the 22 organisations presenting awards being professional associations, students can be confident that the respective industry bodies are interested in their education and future career prospects.

For more information on all awards and scholarships offered by the RMAA, visit the Awards section at www.rmaa.com.au See what you could do, as a branch, or as an employer. iQ

**Stephanie Ciempka**, President RMAA, ACT Branch (left) and **Natalia Bogomiakov** with her RMAA Recordkeeping scholarship.
Photograph by M Hoy

# Canon Digital Camera Prize for Objective RMAA Article of the Year Award

Once again, the winner of the 2006-07 Objective RMAA Article of the Year Award will receive a $699 (rec retail) state-of-the-art digital camera courtesy of the award's sponsor, Objective Corporation.

This year's prize is a Canon IXY 1000/IXUS 900Ti, a 10-megapixel camera in a titanium body with a 4x zoom lens, video capture, a 2.5-inch LCD screen, auto focus, auto exposure, and a DigiC III imaging processor.

## Objective

**RMAA Article of the Year AWARD**

All articles by RMAA members published in *IQ* between November and August are eligible for the award, as are the RMAA authors of all papers that appear in the RMAA's *Information & Records Management Annual*, (*iRMA*).

There is still time for RMAA members to submit material that is eligible for this fabulous prize - submissions to *iRMA* are still welcome, but will close off very soon. So, if you have a case study, send it now to editor.iq@rmaa.com.au.

The winner of the Objective RMAA Article of the Year Award will be announced at the RMAA International Convention in Wellington next month, with the Award prize being posted to the winner. iQ

# Pacific SIG's Profound First Splashes in the International Pond

Over recent months, the RMAA has launched initiatives that take the Association and the benefits it offers to records and information management colleagues in the Pacific, culminating in a coup of our own in Fiji.

## By David Pryde, National Vice President of the RMAA

It was an overcast Thursday in Suva, where a few palm leaves on the ground were the only evidence of the high wind and storm of the previous night. Humidity was high, and my shirt clung to my back as surely as if I had entered a wet T shirt competition (ugly thought).

Inside the room used for these occasions, the air-conditioning was doing its job, pumping out the air at about 20 degrees Celsius. The board members were sweating, and the locals were shivering.

It had been a successful day as far as RMAA events go. Starting at 9.00am, each member of the National Board had led at least one seminar, some two. And now we were waiting for our National President, Kemal Hasandedic, to conclude the events and ask the important question.

In his amicable, unassuming way, Kemal thanked our hosts, the catering and hotel staff, and the local records and information management community for their support. Finally he asked for a show of hands from those present - who would support and be active if we set up a special interest group?

All arms were raised in unison, and apart from some minor administrative matters, our first International Special Interest Group was born in Fiji. It is no secret that within 3 hours of the CEO putting notification of the SIG on the listserve that the Records and Information professionals of Papua New Guinea formed their own SIG under the catchy name 'PNGRAMA'.

That is the end of the story, something for the Association to be proud of and to celebrate. As National Vice President I welcome our new friends with open arms and invite them into our community. In this article I would like to tell you the story behind this story, the ups and the downs, the opportunities and reasons why we are expending resources outside Australia and New Zealand.

It is no mistake that the theme of the 24th RMAA International Convention is 'Influence with Integrity'. We preach compliance with the standards and legislation that governs our practices, we maintain the records so that our organisation's can spread their influence from a position of fact or integrity.

Australia's international reputation was enhanced in the records management field with the publishing of AS 4390 1-6 and was again recognised with New Zealand when driving ISO 15489 to a successful sign off. But to be a truly, international, professional Association, the National Board recognised the need to institute measures to enhance our international presence.

If we are to live up to our vision

or mission – 'The recognised leader in professional development, research and networking for the benefit of records management professional', then the RMAA must extend its efforts into the global arena.

Our first attempt to take the Association offshore was the creation of the New Zealand Branch, and the inclusion of the first international member on the Board. Now five years strong and hosting our first truly International Convention in September, Wellington 2007 will be a milestone and a measure of our success.

As the Board struggled to find ways to introduce an international strategy into the RMAA Strategic Plan, looking at International based conventions in Asia Pacific or taking the Master class concept to Singapore, Japan, Hong Kong or the pacific region, finance and resourcing were found to be prohibitive.

Implementation of a number of the strategies considered would require additional staff time to administer and require financial support in the budget, which was unacceptable at a time when fiscal restraint was required and many local strategies had precedence.

It is not surprising that the first kernels of ideas came to us, as they frequently do from the Branches, in this case the ACT and then South Australian Branch. Firstly ACT put forward a paper recommending that the RMAA support the region particularly Fiji and advised us that AusAid were offering grants to organisations to do so.

This was readily accepted and the CEO was directed to make an application on behalf of the Association. That application is still pending with Ausaid and Department of Trade and Foreign Affairs officials. We will be advising you of any outcomes.

The South Australian Branch (through Helen Onopko) made a recommendation that $10,000 uncontrolled funds be provided to the Pacific Regional Branch International Council on Archives (PARBICA) to support their work in the region.

This request for funding was not approved, however other initiatives of support were identified such as free *IQ* subscriptions, workshops, educational assistance and PARBICA membership.

A further request from the SA Branch (Helen Onopko) that RMAA provide events in the Pacific region was supported by responses to an RMAA survey in which we received direct requests for Fiji assistance.

After further discussions with Helen and local leaders in Fiji it was agreed that the Board would provide a seminar in conjunction with the December 2006 Board meeting in Nadi, Fiji.

Obviously cost was a major consideration in this decision, as sending 7 representatives to Fiji for 3 days would certainly tax our resources. Fortunately at the time, some very good opportunities for flights and accommodation packages were available which enabled us to budget the seminar and the Board meeting cheaper than if we had held just the Board meeting in Australia.

The budget was prepared with an opportunity statement for the Board's consideration which was passed. It was also made clear that personal expenses for directors outside of the normal expectations would be born by the individual directors.

A programme was developed to be delivered by Board members, which included alliance talks in the afternoon session on education, competencies, training, resource materials, membership and assistance.

This was advertised across Fiji, of which we received just on 50 reservations of attendance. This was a remarkable number for any Branch event, let alone outside of Australia. After our bookings were made and confirmed, fate took a hand in the form of Commodore Josaia Voreqe Bainimarama.

For the 2 weeks leading up to the event the possibility of another coup in the island group was becoming more of a reality, according to Department of Foreign Affair warnings in both Australia and New Zealand. At the same time, a number of Directors found their personal situations were changing and a number had to withdraw from the trip. Due to the increasing probability of a coup, a full refund for those not attending was achieved through our insurance company.

Although it was anticipated that the coup would take place on the day of the seminar, the National President, Vice President and CEO attended and delivered the full programme and undertook the alliance meeting to a reduced audience of around 30. The Ministry of Information had warned the locals to stay at home that day.

During the alliance meeting, we discussed possible accreditation of Records Management courses at the University of South Pacific (USP), the benefits of an alliance with RMAA in some form, international membership and whether the format of the day had meet their needs.

The seminar was extremely well received, with information being shared, and the Board requested to follow-up on this successful event. As a result of this event we received applications for membership from a handful of attendees, alliances were developed and a number expressed interest in attending the 24th International RMAA Convention in Wellington 2007.

The foundation had been laid, there was enthusiasm in the eyes of these people that I have not seen in a long time, and they are burning to learn everything they can.

After each presentation, the audience asked knowledgeable questions, made informed suggestions, and endeavored to apply what they were learning to their individual situations – they knew their stuff, which ensured that we knew ours.

It didn't matter whether it was during a break, or over lunch the main question being asked was - when are you coming back, and, will others be coming. The thirst for what we had to offer always present.

After we left, a few of our new friends made their presence felt by participating on the RMAA and NZ Records listserves. While our Head Office and particularly our CEO fielded numerous requests for support and a return visit.

With confirmation from our insurance company that losses from those who had not attended in December would be refunded, and the costs of flights and accommodation were still quite reasonable, the possibility of a return visit was put in a paper for Board discussion.

The Board agreed that the gains made in December should be reinforced and the original concept of a Seminar and Board meeting should be held in Suva in the following March 2007, if prices were acceptable and within the budget. The President also stipulating that like all RMAA events, this one would be cost neutral or at least cover the seminar costs through a charge for attendees.

This was promoted as a follow-up visit to cement the relationship or alliance with the intention of coming away with a SIG or Chapter - a branch not being considered at this time until the SIG could prove itself to be sustainable.

## The Second Fiji Foray

For those of you who have visions of Directors on deck chairs in the sun, sucking on Margaritta's at pool bars, forget it. Let me paint you a portrait of our reality. After our planes arrived in Nadi between 4.00pm and 7.30pm we met up for our bus ride to Suva which we anticipated would take a couple of hours (nobody telling us about the 4 hour trek).

Our bus was slightly bigger than a mini bus – something like a Bowls Club uses to take members on trips. (Are you getting the picture?) There are 7 of us, a family of four and a young couple on the bus with our luggage in a trailer towed behind. It is extremely humid and a tropical storm can be seen coming around and hiding the mountain tops – perhaps it will cool us down.

We have traveled in the bus for approximately an hour; the road is one lane each way, pot holed and full of strategically placed speed traps to prevent you speeding through each village as you go. There are cows and horses roaming freely on the road and our drivers only uses two speeds, fast or stop. He must be a popular young fellow because of his cell is in his ear much of the time.

Another 30 minutes and we drop the young couple at their resort. As we make our way back onto the highway (term used loosely) our electrical system in the bus starts to act up. In darkness we sit on the side of the road, sheets of lightening at high altitude to announce the storm is this side of the Mountains.

After a few calls our driver heads us towards his depot in the opposite direction, our anxiety abated by the sight of a coach in the yard after only 15 minutes. We are directed to the coach and then past it, to a waiting mini bus that has its motor running in anticipation of our arrival.

Our luggage is collected from the trailer and distributed to its owners. This going to be scary! Somehow we manage to fit in with our luggage and we are on the move, as our attention turns to our lack of food or water.

As the first drips of rain forced the wipers into intermediate mode the driver was showing concern about whether we had enough petrol to make the distance to Suva. Suddenly we turned off into another resort and bid farewell to the other family who wished us good luck at the prospect of getting the remainder of the ride to Suva - we were only half way there.

For the next two hours we were buffered by 100 km winds, rain that sounded like hail as it crashed onto the roof, unseated by pot holes hiding in the water filled road and occasionally surprised by the illuminated eyes of stock roaming the road's edge looking for nourishment even in those terrible conditions. There was plenty of bravado in our groups as the jokes continued about 'mother of all bus rides', and the 'bus ride from hell'.

In those last few hours everyone quietly retreated within, all cramped and uncomfortable but in their solitude willing that bus around every corner and over every hill until well after midnight we arrived at our destination.

We quietly found our rooms and ordered something to eat, I unpacked while I waited for dinner and ironed my clothes for the next day. It was after 2.00am when I found my bed and the guests would be arriving at 8.30am, I found sleep easily…

The return journey began at 3.00am Sunday morning when a coach did pick us up for our transfer to Nadi airport – funny, I can't remember a thing about that journey.

## Why We Should Dip Our Corporate Toes in Bigger Ponds

As a leader in the records and information management community, the RMAA should promote communication among records management professionals worldwide. To do that we need to dip our 'corporate toes' into bigger ponds and build our credibility outside the comfort zones of Australia and New Zealand.

At this point I am going to make some comments, because I know you will have questions about our decision-making process.

## Given the deteriorating political situation why did we still go to Fiji?

There was no civilian unrest or rioting like in the Solomon Islands, we had made the arrangements and were expected. Had we pulled out the opportunity may have been lost for a long time. The National President, CEO and I agreed that a small presence should still attend to sew the seeds for a return visit later in 2007.

## Were we Ever in Danger?

Never. What next in Fiji and PNG? We have provided the model and the foundation for them to start to help themselves; however that is not to say that we won't call on the branches or volunteer members to take themed seminars to these areas during Information Awareness Month etc, on a cost neutral basis.

## Why all this Interest Outside of Australia – What About our Members in Regional Australia and New Zealand?

Personally I would love to put money aside to take a roadshow to regional Australia and New Zealand, but the problem with the tyranny of distance is, who is going to do it (the overworked volunteers in the branches) and how do we pay for it knowing that the exercise will probably lose money?

National ran an additional 18 events across the branches (in addition to the branch events) over the 2006-2007 year, and many of those were in regional areas.

In 2007-2008, it is planned that an additional 27 events will be offered. We are focusing on our core members, but

*PACIFIC SIG'S PROFOUND FIRST SPLASHES IN THE INTERNATIONAL POND* : Continued from page 51

we are also extending and expanding the knowledge and professional across regions close to us.

Another exciting development is the closer working relationship with ARMA International - together we are strengthening memberships and working on areas that are supported for incorporation within the relevant professional body, and we are listening to the community.

A call went out for our help, and the call was assessed (through normal risk management channels) and the call was answered.

We are also in the process of redesigning our website, to more efficiently give members the tools they need and the ability to communicate with each other. This will incorporate technology advances in internet hosting that adds value to your membership and brings our isolated members a little closer to their branch.

We might have an international strategy, but we have 10:1 things in our strategic planning for all members to benefit.

I want to make a very public recognition to the real architect of the successes in both Fiji and PNG. When I say we did this or that, I mean our CEO, Kate Walker and her very talented team have done all the communicating, the alliance building, negotiating, arranging and managing to ensure that the Association and the National Board have looked good through the process – thank you, Kate. 

## The Author



**David Pryde** is National Vice President of the RMAA. Having worked in RIM in Australia, since 2000 he has been based in Auckland, New Zealand with the North Shore City Council. He helped found the Auckland chapter of the RMAA.

# DID YOU KNOW
## May was Information Awareness Month?

By Kristen Keley, RMAA Marketing & Event Manager

The purpose of Information Awareness Month (IAM) is to increase public 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'.

In May 2007 the RMAA, Australian Society of Archivists (ASA), National Archives of Australia (NAA), Health Information Management Association of Australia (HIMAA), Institute for Information Management (IIM), Australian Library and Information Association (ALIA) and Public Records Office of Victoria (PROV) collaborated in running events and promoting the initiative.

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.

May 2006 saw the inaugural Information Awareness Month with the theme 'Personal Records'. In 2007 the theme for Information Awareness Month was 'Technology as a Tool', which aimed to highlight the ways in which we use technology in our day to day activities and the relationship between them and information.

A new independent website was introduced in 2007 to promote IAM, and was well received, with 86,425 hits to the homepage over the month of May. The themed poster was also well received.

There was an extensive calendar of events run over the month with 67 events being run in Australia and 1 each in Canada and the USA all being listed on the Information Awareness Month website Event Calendar, the breakup of who ran events is as follows: 21 by ALIA, 7 by ASA, 5 by IIM, 1 by NAA, 9 by PROV, 16 by RMAA, and 9 that were either jointly held or held by an independent group.

In the case of the RMAA, every branch held at least one event and a number of those held were full day seminars. It was particularly encouraging to receive approaches by our RMAA members taking advantage of IAM to promote records management within their companies.

There are several excellent articles earlier in this issue of *IQ*, in 'IAM In Review', describing some of those initiatives, written by the RIM professionals who organised them. I recommend you read them for ideas on what you might do as a part of IAM 2008.

# RMAA Snapshot:

## The People Who Help Make Us Tick.

### Philip Taylor, MRMA, Queensland Branch President

Philip first became involved in records management in the early 1970's, when he applied for a job with the Public Service and was offered a position in the filing department of a government department.

Philip told *IQ*: "Soon after starting and enjoying the work I heard about this group called the Records Management Association of Australia. I went along to a meeting and there meet people like Alan Skerman and Peter Mulquinney who had a great influence on me in the early years, and furthered my interest in records management.

"I did a records management course and joined the Association around this time."

He first became involved in the RMAA in the early 1970's, in the Victorian Branch. "It was about then that I became interested in the educational issue for records management. I believed that, if records management was to become a career instead of a vocation, then improving the availability of education course was imperative, a belief that I have always retained."

In the late 1980's, Philip became a member of the then RMAA Federal Board, and President of the Association's Victorian Branch.

In 1991 he moved to Queensland, joining Queensland University, and several years later joined the Queensland Branch Council of the RMAA. He became Queensland Branch President in 2000, a post he continues to fill.

He is also a member of the Editorial Board of *IQ* magazine.

### TRUE CONFESSIONS

*IQ* asked Phil some personal questions:

**A little known fact about you?** I hate eating olives.

**Marital status/children?** Partner and two dogs.

**How did you get started in the industry?** From memory I was offered work in accounts, payroll, stores and filing areas. Not being one for accounting or stores I opted for the job in filing.

**Word that best describes you?** Reliable.

**The things you like best about your job?** Making things happen, and the opportunity to help people.

**The things you least like about your job?** Lack of resources, and people who are not prepared to contribute but take the rewards. The most important lesson you've learned? Don't take life too seriously.

**Your motto for life?** Get on and do it.

**The award/honor you're most proud of?** Life membership of the RMAA.

**The book that has made the greatest impression on you?** Tyranny of Distance: How Distance Shaped Australia's History, by Geoffrey Blainey.

**Your favourite singing artist/s?** The Beatles.

**Your favourite film?** Gandhi.

**Your favourite restaurant/dining experience?** Any Indian restaurant.

**Your favourite holiday spot?** England, especially the Cotswolds.

**Your favourite way to spend free time?** Getting away in the bush, camping and bushwalking.

**Your dream job?** Being a grey nomad.

**The vehicle you drive?** Toyota Prado.

**Your business philosophy?** Use resources effectively, and target those things that will make the biggest difference.

**Your personal measurement of success?** Knowing that I have done the best I can do.

**Your ambition for the RMAA in Queensland?** For the Branch to continue to grow and prosper and be the most active Branch in the Association.

**A goal yet to be achieved, or your secret dream?** To enter into later life with good health and personal happiness.

**What would you like your epitaph to read?** Remembered for his honesty and integrity. IQ

# RMAA Directory

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