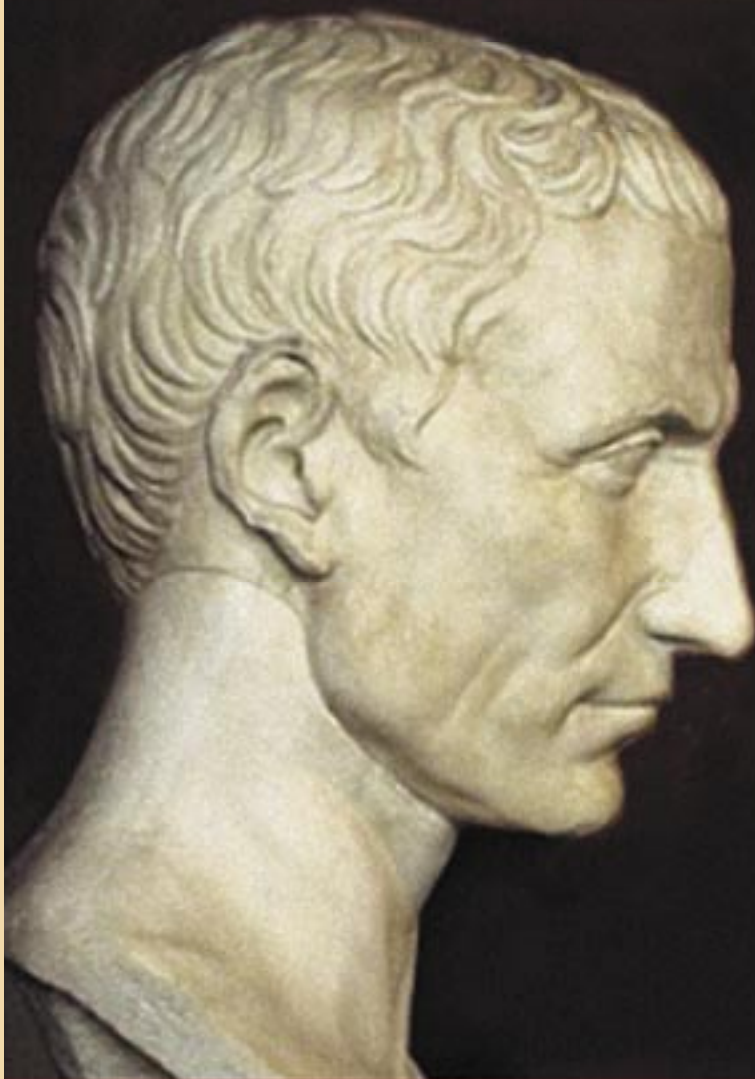# iQ

İNFORMAA QUARTERLY

With this Issue –
RMAA Product Directory Liftout

Records Disasters
Waiting to Happen

From RIM to Metacommunity

CAESAR'S ARCHIVES
Records Management in the Roman Empire

Listserv Contents:
Popcorn, or
Preservation Material?

Overcoming the Digital Downside
Exclusive Interview with NAA Director-General Ross Gibbs

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Included with this issue - The 2005 RMAA Product Directory Liftout

Front Cover:

Bust of Julius Caesar, Vatican Museum, Rome.
See story page 24
Photograph by Kalervo Koskimies

What Price Professional Credibility ?

I trust that all our members had a great Christmas break and were able to spend time with family and friends. By now you would be settled back in at work, refreshed and ready for the challenges of 2005. Sadly, as I sit down to write this report, the profession is again in the media focus on questionable practices on certain actions of the profession.

Yes, this media attention is usually not done to educate the general public, but to provide a sensational story and generate increased ratings for the network in question. But the ammunition for the story is all too available.

A question was recently raised: "Could the future we are compelled to inhabit be determined not just by our actions, but by a lack of action on our part?"

Many other professions have members who choose to practice with their clients' needs as a secondary concern. It would seem that records management has more than its fair share of these members, given the relatively small size of the profession.

Why is the profession at times considered the 'used car salesman' of information management, where the message is they can't be trusted to act in the client's best-interest? Whereas broad generalisations such as that above do an enormous disservice to the ethical and caring members of the occupation or profession, the mud does stick to all, to some degree.

The obvious question is, what can be done to address these unethical practices?

As an organisation whose primary function is in promoting the profession and providing information and education to our members, we have taken the stance of encouraging practitioners to approach practice in an evidence-based manner, utilising appropriate evidence and practice guidelines to enable you to remain current in your knowledge.

Although this would seem an obvious thing to do, some practitioners choose not to practice in this way, and substitute the lack of available evidence as an excuse to ignore and or misrepresent the current evidence. Even in the light of good quality available evidence, some practitioners choose to put the client's interest behind pecuniary gain.

It is somewhat ironic and in fact timely that, as you will have seen, the RMAA has recently introduced a Continuing Professional Development programme. It is apt that the programme is released at this time, as it also promotes improving and maintaining the quality of how we provide our services to our clients.

Many other professions have had such programmes in place for many years, and it is, in my opinion, essential for the continued growth and maturation of records management in Australasia, that such a programme be available to the profession. The programme is part of RMAA's contribution to assist the advancement of the profession's establishment of standards and self improvement.

In the era of accountability, with respect to regulatory bodies and third party players, it is vital that we are seen to be proficient at self-regulation and benchmarking to demonstrate a level of maturity and continuing growth. The alternative is that in light of some of the self-serving members of the profession the regulators will step in and impose the standards for us, and the outcome may not be all that we would desire.

For records management to self-determine our standards we need to show that we are mature and insightful and hence worthy of being called professionals.

Chris Fripp,
MRMA MAICD AMIM
National President, RMAA

Chris Fripp,
RMAA's National President

Expand Your Horizons West

Don't forget to write into your diary our next convention, which will be held in Perth, WA. In last November's edition of *IQ* you received details of the Expanding Horizons convention, which will be held from 11-14 September. Start planning now to be part of this great event.

From the Editor's DESK

IN THIS ISSUE

We've another packed issue of *IQ* for you, starting with an exclusive, 'Overcoming the Digital Downside', the first major media interview given by Ross Gibbs since his appointment as Director-General of the National Archives of Australia in 2003.

This issue's theme is LESSONS LEARNED. With the lesson of thinking beyond the bounds of current structures to elevate the RIM's status, Sue Myburgh's popular RMAA convention paper, which the author has reworked for *IQ*, discusses enhancing the status of the Records and Information Manager (RIM) via a metacommunity approach.

Two articles deal with lessons learned from research. An American correspondent discusses a survey she conducted in the US and Australasia to determine the evidential value of listserv content. Is it preservation material or merely popcorn?

'Records Disasters Waiting to Happen' reveals alarming results from a Queensland study of 43 government and private enterprise organisations into the state of their recordkeeping regimes - results published for the first time by *IQ*.

Revealing lessons learned from experience, Anastasia Govan delivers part 2 of her ongoing case study of the PowerWater Corporation's Darwin EDMS implementation, while a WA correspondent reveals lessons learned from setting up an e-zine.

And your humble Editor writes about the archives of ancient Rome, based on his many years' study of classical records. Here, history offers a key lesson – give your records maximum fire protection! That's me in the photo, beneath the Arch of Titus on a visit to Rome last year.

In this issue too you'll find an RMAA report covering the Association's management portfolios, and the 2005 RMAA Product Directory liftout.

We also look at the hot topic of copyright in the light of recent changes to Australian copyright law.

NEW EDITORIAL BOARD

IQ has a new Editorial Board. Joining Michael Steemson on the Board are National Director Kristen Keley and Queensland Branch President Phillip Taylor, volunteers all. I'm thrilled to have their support.

The role of the Editorial Board is to advise the National Board on RMAA editorial policy, to advise the Editor of *IQ* on journal content, and to act as a panel of review for editorial material for the journal.

In addition, in recognition of his unstinting work encouraging correspondents and sourcing material for the journal, Michael Steemson has been appointed to the honorary position of Contributing Editor of *IQ*.

Prior to running his own information management consultancy in Wellington, New Zealand, Mike had an extensive career in journalism in the UK. An internationally published author and presenter on RM subjects, he is also a past Editor of *IQ*.

LINKS FORGED WITH US & UK JOURNALS

Late last year, *InfoRMAA Quarterly* established links with the US Association of Records Managers & Administrator's *Information Management Journal*, and the journal of the Records Management Society of Great Britain, the *Bulletin*.

These informal links are designed to create a close working relationship between the three journals, which now share sources, news and information.

I will be recommending selected articles published in *IQ* for the attention of the editors of our brother (sister?) journals in the US and UK. So, in theory, any article we publish has the potential to also appear in the US and/or UK.

OUR NEW PUBLISHER

You'll notice changes in the look and layout of this issue. That's because the RMAA has appointed Sydney company Comperation to handle the ongoing production of *IQ*, including the selling of advertising space. New advertising contact details are on page 3. Comperation is updating our design to give us a 21st century look consistent with our status as the Australasian flagship of the evolving records and information management industry, without detracting from *IQ*'s core role as a scholarly journal. The changeover to Comperation put this issue's design and production behind a little; we'll be back to the normal production schedule for the May issue.

US NEWSPAPER CHANGES OUR LAURIE'S SEX

American national daily newspaper *USA Today* recently quoted from Laurie Varendorff's article about Trojan Horse programs which appeared in *IQ*'s May 2004 issue. That's the good news. The bad news was they called Laurie a girl! See the full story in this issue's Industry News, on page 13.

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editor.iq@rmaa.com.au

They Told IQ…

Questions of Copyright

1 Has Australian Copyright Law Changed?

Yes, on January 1, 2005, new copyright regulations came into force in Australia

The new federal Copyright Act extends copyright on printed works and published photographs from 50 years to 70 years. In the case of published literary works, both fiction and non fiction, copyright now lasts for 70 years from the death of the creator. Copyright in government publications and documents continues to apply for 50 years from the date of publication.

The extension does not apply to works already in the public domain prior to January 1, 2005. For example, author A B 'Banjo' Paterson died in 1941 and his works came into the public domain in 1991. Those works will continue to be in the public domain.

In Australia, copyright automatically exists from the date of publication. It is not necessary to register a work with a central copyright agency. However, publishers are required by law to lodge a copy of every published work with the Australian National Library in Canberra, and the record of this lodgment can act as a legal support to copyright infringement claims.

The copyright changes have been brought about by the Australia-US Free Trade Agreement, AUSFTA, negotiated last year. In the case of copyright law, AUSFTA required Australian regulations to be brought into line with US law, which has contained the 70 year copyright provision for some time.

Even though the changes to the law are of benefit to Australian authors, or at least to their estates, they have not been supported by writers' groups such as the Australian Society of Authors, which fear that other provisions of AUSFTA will be harmful to Australian culture.

2 Are Private Letters Subject to Copyright?

If a member of the public writes to your organisation, can you publish their letter/email in your publicity or advertising without obtaining their permission? Or is that an infringement of copyright, and can the author sue?

IQ put the question to specialist copyright lawyer Tony Anisimoff, principal of Sydney law firm Anisimoff Davenport. This is his response:

"The (Australian) law of copyright will protect the content of private letters in most cases, as the law would consider such letters to be literary works. (Copyright does extend to emails in the same way provided they are personally addressed. If you shotgun/spam them around the world, then copyright might be harder to argue.)

"Therefore, if a private letter was published by an individual or corporation for any commercial purpose, or simply to provide information, without the permission of the author of the letter, a copyright infringement would occur and the author could not only sue for damages, but also seek an injunction preventing further unauthorised reproduction."

Tony says there are some limited exceptions. For example, if the letter is reproduced for the purposes of education, research or news and the author is given attribution, and provided the reproduction is only to the extent necessary for the education, review or news reporting purpose, there is no copyright infringement. An 'open letter' could also very well fall within this category.

This is intended for your general information only. Please consult a lawyer with copyright law experience for advice on specific matters of copyright.

Bill Clinton's Presidential Library Opens, But His Emails Don't

Former US President
Bill Clinton

LITTLE ROCK: **The official library dedicated to the presidency of Bill Clinton has opened in his home state of Arkansas, four years after he left office**.

The $200 million Clinton Presidential Library was dedicated on November 18 last year, and the associated Presidential Museum including a life-size replica of the White House's Oval Office is now open to the public.

Located in a long, low building at 1200 President Clinton Avenue in Little Rock, the state capital, the new presidential library sits in a park-like setting beside the Arkansas River.

The library was designed by New York architectural firm Polshek Partnership Architects. The firm won a US National Design Award last year for excellence in architecture. Its other recent projects have included Carnegie Hall's new underground auditorium and the Brooklyn Museum's new entrance pavillion.

The Clinton Presidential Library's holdings include 80 million pages of documents relating to the eight years of the Clinton administration, plus 1.85 million photographs, 75,000 artifacts, and 18 million emails.

Of the emails, Clinton Presidential Library spokesperson Deborah Bush told *IQ*, "None are currently available for public access."

This is expected to change in time, once recordkeeping for the massive collection is up to date. The other presidential libraries all have active public programmes.

The Clinton President Library is operated by the Office of Presidential Libraries, (OPL), which is a division of the US National Archives and Records Administration, (NARA).

It is the eleventh such presidential library administered by the OPL. There is a presidential library for every president but one since Roosevelt. The exception is Richard Nixon. The OPL maintains a collection of materials from the Nixon presidency, as required by US law, but there is no dedicated Nixon library.

Pet Passports Will Lead to Mandatory Microchipping

BRUSSELS: **Recently introduced regulations requiring all pets entering European Union countries to possess a pet passport also provide for all pet arrivals to eventually be microchipped.**

Since late last year, all pets entering the EU from non EU countries such as Australia and New Zealand must possess a pet passport which certifies that the animal is healthy and has had a rabies shot. The animals must also have either tattooed or microchip ID on their bodies.

The little blue pet passports, valid in all 25 EU countries, can only be issued by veterinary clinics. In Europe, they cost around 9 Euros – 3 Euros for the passport booklet, and 9 for the veterinary consultation. The owner has the option of including the pet's photograph in the passport.

In addition to the passport, an arriving pet must also have either an ID tattoo or an implanted ID microchip. The EU says that, by 2012, tattoos will no longer be acceptable and only microchips will be valid for pet ID.

Microchips are increasingly popular in the US, where in many cities and towns the local dog catcher is equipped with a microchip reader which allows a stray to be immediately identified and returned to its owner.

US police also say that the microchip is a sure way for stolen animals, particularly very valuable pedigree dogs and breeding stock, to be tracked down by the authorities.

In the case of cats and dogs, the glass chip, the size of a grain of rice, is injected into loose skin at the animal's shoulder. Undetectable by the eye, the chip emits an AM radio signal which is picked up by the hand-held electronic reader.

Until recently, it was necessary to have a different reader for each brand of microchip, but now Schering-Plough Animal Health markets the HomeAgain microchip with a reader which the company claims can read any brand of animal chip.

Schering-Plough also claims that, unlike other American animal chip brands, the HomeAgain chip can be read by European electronic readers and is suitable for use in Europe.

Schering Plough says that there are currently upwards of 2,595,000 HomeAgain microchips implanted in American pets, and that at the last count some 232,800 lost pets equipped with HomeAgain had been recovered and returned safely to their owners.

At the moment, not all EU countries – especially the newer members - are equipped with pet microchip readers, and it is recommended that travellers intending to visit or move to those countries with their chip-equipped pets take along their own readers to be able to prove they comply with EU regulations.

No plans have been announced for a European pet database based on microchips records, but the potential for such a database will increase once microchipping becomes more widespread.

UK Gives Dublin Core OK

LONDON: **Britain's Museums Libraries and Archives Council (MLA) and the Joint Information Systems Committee (JISC) of the UK's further and higher education funding bodies have signed a joint agreement with the Dublin Core Metadata Initiative (DCMI).**

The signing by the UK's international representative bodies enables all UK public sector institutions to become formally involved in the continued development of the Dublin Cote standard.

Dublin Core (ISO 15836) is named after Dublin, Ohio, where the metadata standard was developed; (www.dublincore.org). The UK becomes one of 25 countries to have adopted Dublin Core for implementing and formatting metadata.

Chris Batt, MLA's Chief Executive, told the RMS *Bulletin*, "Once digitised, knowledge can flow in many directions at the touch of a button, so long as the underlying standards are common. Hence the importance of this new alliance."

Metadata Dictionary for Public Broadcasters Launched

SALT LAKE CITY: **Following testing in several states, the inaugural version of the PBCore - the Public Broadcasting Metadata Dictionary - has been launched in the US.**

Developed over 30 months by a team of US public radio and TV producers and managers, archivists and information scientists, PBCore is a protocol designed to aid delivery and exchange of content across digital exchange platforms.

"We can now control every aspect of production and distribution to a degree never possible with analogue technology," said a PBCore spokesperson at the University of Utah. "A common metadata protocol will make it easier to use content in new ways, on new platforms, by new constituents."

The need for a shared descriptive language for public broadcasters was highlighted by the results of research and testing with members of the industry.

PBCore is designed to provide a standard way of describing and using metadata in the context of public broadcasting, and to allow content to be more easily retrieved and shared among colleagues, software systems, institutions, educators, and community

partners. It can also be used as a guide for archival and asset management processes at an individual broadcasting station or institution.

PBCore is based around the Dublin Core (ISO 15836), an international standard for resource discovery, (see previous story also), and was reviewed by the Dublin Core Metadata Initiative Usage Board.

Version 1.0 is now available free of charge to public broadcasting stations, distributors and partners. Full details, including a User Guide, are available from the University of Utah, at: www.utah.edu/cpbmetadata/+PBCore&hl=en.

E-Records Now Legal in US for I-9's

WASHINGTON: Congress has passed legislation which allows US employers to now store the Employment Eligibility Verification Form, or Form I-9 as it is better known, electronically.

Under US law, I-9's must be retained for at least three years after the date of employment, and for twelve months after termination. But up till now it was only permissible to keep I-9's as paper records or on microfiche.

The new legislation passed the US Senate unanimously after passing the House of Representative on the voice.

Irish Aren't Joking About Paperless Exams

BELFAST: The Council for Curriculum Examinations and Assessment (CCEA), Northern Ireland's school exam regulator, is planning to conduct all major examinations online by 2006. And it isn't an Irish joke.

Between October 2000 and December 2003, CCEA and Edexcel ran a pilot programme where on-screen tests were conducted involving 20 schools and 1,416 students in Northern Ireland.

The pilot's initiators reported a positive response from both learners and educators, and the programme is now to be rolled out over all major examinations in Northern Ireland by 2006.

CCEA Chief Executive Gavin Boyd said, of the pilot, "This project has proven that we can deliver important examinations on-screen. We have also confirmed that the use of technology itself is no barrier to the students."

Conviction in Sarbanes-Oxley Document Case

SAN FRANCISCO: Thomas Trauger, a former partner with Ernst & Young, has been convicted of destruction of documents under the Sarbanes-Oxley Act.

In federal court, Trauger had admitted that he knowingly altered, destroyed, and falsified records in relation to a Securities and Exchange Commission hearing.

That hearing was into the collapse of consumer credit company NextCard, for which Ernst and Young had served as auditors. Trauger had led the E&Y audit team, and appeared at a 2003 deposition in relation to the SEC investigation into NextCard.

Trauger had testified falsely to the SEC deposition hearing in relation

to documents covering the 2001 audit of NextCard's books. Arrested by the FBI after an 18-month investigation, he ultimately admitted that he had knowingly concealed and covered up original versions of the documents, which it later transpired had been destroyed, with the intent of obstructing the SEC investigation.

This is one of the first cases in which an accused has entered a guilty plea under a Sarbanes-Oxley indictment for destroying key documents.

Disagreement Over Copying Historic Korean Texts

SEOUL: **Korean Buddhist monks have commissioned an industrial art company to preserve the text on one of the nation's most sacred relics, the Tripitaka Koreana, a 750-year-old set of Buddhist scriptures, laws and narratives.**

The Tripitaka Koreana is carved in 52 million Chinese characters on about 81,000 wooden blocks between 1236 and 1251. The Wooyoun company plans to make copies of the blocks in copper which will have a life span of 10,000 years.

The original 'volumes' survive in basements of the Haein Temple, Hapcheon, South Gyeongsang Province, despite numerous military invasions and fires. A research group has spent years studying the font used on the blocks and documenting them digitally. With that digital coding, Wooyoun will machine a slab with raised characters on one side, like the original.

The US$76 million project plans to make three sets: one for the Haein Temple, one for North Korea and a third to the project donor, when one is found. Unlike the 30 13th century monks who took 16 years, the modern process should take about 18 months.

The project has been approved by Korea's largest Buddhist sect and by monks at the Haein Temple, but other influential Buddhist groups are not happy.

Mr Kim Hee Wook, President of the Center for Buddhist Ethics and Policy, was quoted by the English-language *Korean Herald* recently, saying: "People believe the original blocks have some kind of power and it brings good luck to our country."

Unimpressed Suwon University professor Lee Ju Hyul commented: "These new blocks are made with a machine. What is so spiritual about that?"

The wood blocks are showing signs of decay and may corrode completely in 200 years. Temple guests may view the blocks on only two days of the year. The plan is for the copper copies to be on display year round, attracting more tourists to the area.

Problems Reading Famous Emails

LONDON: **The British Library is creating an archive of emails from Britain's top authors and scientists. But it also needs the hardware to read some of them.**

The London *Times* reports that electronic messages from British literary figures such as Ted Hughes, the late Poet Laureate, will form a new digital archive alongside the library's collection of paper correspondence, which includes love letters written by Oscar Wilde to Lord Alfred Douglas.

British Library curators are concerned that conventional letters are becoming rarer as writers and scientists abandon paper for more the convenient but perishable form. The library has appointed the world's first digital manuscripts curator to collect important material that would otherwise end up as deleted items.

The library has already acquired emails written by poet Hughes and has identified important people whose computer files it would like to collect, including Harry Potter author J K Rowling, novelist and biographer Dame A S Byatt, political spin-doctor Alastair Campbell and disabled scientist Stephen Hawking.

The institution is appealing to writers and scientists to allow it to store their correspondence in a way that will allow future generations to see their work.

So it can read many older messages, the British Library also wants to acquire the computers on which the emails were created, said the *Times*. It has appealed for old machines on which to open its already archaic e-files like the paper tapes containing the work of evolutionary biologist Bill Hamilton that it cannot decipher.

It has collected obsolete 8in disks, half-inch magnetic tape and IBM punched cards, and laptops belonging to Donald Michie, a pioneer of artificial intelligence and one of Britain's leading code-breakers during World War II.

The library has a list of 11 computers from the 1960s and beyond that it needs to locate, including rare British models such as the Whitechapel Workstation MG-1 and the Sinclair ZX80.

IBM To No Longer Be PC Manufacturer?

NEW YORK: **After making personal computers for 24 years, International Business Machines (IBM) is reportedly selling its PC arm.**

PC sales represent only 12 per cent of IBM's annual revenues, with other manufacturers dominating PC sales worldwide – Dell leads, with almost 17 per cent of the global PC market, followed by Hewlett-Packard on 15 per cent. IBM ranks a distant third, with some

5.6 per cent. Apple has around 4 per cent.

The most likely purchaser is tipped to be China's largest PC maker, Lenovo. If the sale goes ahead, IBM is expected to concentrate on the lucrative corporate server and computer services businesses. With IBM tight-lipped about a sale, there is no indication whether IBM branding would be included in the deal.

Printer Signature Identified

SALT LAKE CITY: Scientists from Indiana's Purdue University have announced they have developed a method for tracing documents to specific laser printers.

Purdue's Professor Edward Delp introduced his findings in three papers delivered at the NIP20 International Conference on Digital Printing in Salt Lake.

The Purdue method analyses a document for characteristics unique to each printer. Initially focussing on laser printers, the methodology is to be extended to inkjet printers in the near future. The scientists were able to identify which brand and model of printer was used to fake currency and documents in 11 out of 12 models tested.

Working with the US Secret Service and other law enforcement agencies, Professor Delp's team aims to enable authorities to determine the authenticity of passports and airline boarding passes, to detect fake dollar bills, and to establish in which country around the world and even which region in that country that a document originated, by identifying its printer signature.

Spammer On $1 Million Bail

LEESBURG: Bail for a North Carolina man awaiting sentencing in Virginia after being convicted of the illegal distribution of junk email has been set at US$1 million.

Jeremy Jaynes, who peddled junk products and pornography via spam, made an estimated US$23 million

before he was arrested and charged under a recently introduced Virginia anti-spam law.

Virginia law enforcement officers say Jaynes was one of the top 10 spammers in the world.

Microsoft Offers Govt Customers Free Tools

REDMOND: Microsoft (MS) is expanding its Solutions Sharing Network (SSN) to more government customers, after initial experience in Europe proved positive.

Under SSN, government customers, especially the smaller cash-strapped variety, will receive free MS tools for setting up web-based portals or conducting open forums related to specific technology.

MS worldwide programme manager Oliver Bell said that the programme has been used successfully in Sweden and Britain, and is now available to more government groups. Those groups can limit SSN to internal users or share the information more widely.

Seaport Museum Supporters Worry About Future of Collection

NEW YORK: Save Our Seaport (SOS), a support group of concerned New Yorkers born out of upheaval at Manhattan's South Street Seaport Museum, tells IQ it fears that the museum and its invaluable records covering New York's early maritime history are at risk.

Founded in 1967 and occupying a collection of historic waterfront buildings, the South Street Seaport Museum is the only history institution dedicated to interpreting the role of New York City as a port. Almost entirely

privately funded, it owns America's largest fleet of privately maintained historic vessels, houses a collection of two million items unearthed from the streets of New York going back to the original 17th century Dutch settlement on Manhattan Island, and maintains a library containing tens of thousands of books, photographs, drawings and important maritime records.

In 2003, four key museum workers were sacked. In 2004, almost all the museum's professional historians and curators were dismissed and the library's contents put into storage, all in the name of cost-cutting. Last October, the museum's attorney and development officer were also let go.

SOS was formed by concerned museum supporters including noted historian Mike Wallace, Pulitzer Prize-winning author of *Gotham*, who are demanding that the museum's executive director and board of trustees all be replaced for incompetence. But the museum's management is non-plussed.

"They are pleased with their cost-cutting," disgusted SOS member Lee Gruzen told *IQ*, "the continued shrinking of the staff, and their efforts to rent out the buildings that housed offices and library."

SOS has characterised the dismissal of the museum's dedicated expert staff as like an orchestra firing its musicians and offering audiences recordings instead of live music.

Fearful for the future preservation of the museum's collection, SOS has managed to convince the State Education Department to investigate the legitimacy of the museum's charter, as one way of forcing the removal of the existing board. But there is a fear that the commercial momentum in Lower Manhattan will subsume the museum.

"Our beloved museum is shrivelling up," said Lee Gruzen. "It is rapidly squandering the respect of its funders, public officials, neighbours, and supporters who have given it thousands of loving (voluntary) hours over decades."

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Canadian Conference to Be One Big Disaster

TORONTO: **The 2005 World Conference on Disaster Management to be held in Toronto in July is expected to attract 1,500 delegates.**

Running between July 10-13 at Toronto's National Convention Centre, the 15th World Conference on Disaster Management will feature speakers from around the world addressing the changing face of disaster management.

Presentations will cover real events and the lessons learned from experience, emerging trends in disaster management, the human element in dealing with and recovering from a disaster, technical issues, principles and practices, and research and development.

Conference organisers, the Canadian Centre for Emergency Preparedness (CCEP), is planning to cater for delegates from a cross section of inter-related fields – organisational management and planning, emergency response, communications, risk management, community planning, environmental, and resource management among them. Details of the conference can be obtained at www:wcdm.org.

(*IQ* will be running a feature, What If?, dealing with disaster management and recovery in its August 2005 issue.)

Kiwi Recordkeepers Make Headlines

NZ newsmaker, the RMAA's Helen Hancox

WELLINGTON: **Two New Zealand recordkeepers hit the**

newspaper headlines recently with stories praising their enterprise.

In December, RMAA NZ Branch President, Helen Hancox, ARMA, made a splash in the city tabloid *Wellingtonian's* 'Women in Business' feature about her company, Flying Filing Squad. The following week, the same paper ran a front-page story about freelance archivist Kevin Bourke unearthing forgotten NZ Government World War II plans to block harbours in the event of Japanese invasion.

Helen's work and company were described exotically. "There's nothing flighty about the Flying Filing Squad," said *The Wellingtonian*. "The scavenging Black-backed Gull logo, her office title 'Top of the Pecking Order' and office car 'Golden Egg' simply illustrate Helen Hancox's business credo 'It's got to be fun'."

The paper went on to quote Helen saying: "We deal in electronic and physical files with equal care and facility. We provide pragmatic, creative, cost-effective and long-lasting solutions to records management needs. In a nutshell, we put it away so you can get it back." And it highlighted the squad's cheerful motto: "We *love* filing (so you don't have to)".

Kevin Bourke's find was headlined, 'Archivist unearths NZ wartime plans'. The paper reported that a document from old Wellington Harbour Board archives entitled 'Denial of Resources to the Enemy' revealed wartime plans to blockade the port with sunken ships, to topple wharf cranes and sabotage factory machinery to prevent use by Japanese invaders, while the NZ capital was to be emptied of non-essential civilians.

Kevin was quoted: "There were also instructions about disabling cars, everyone doing the same thing. The authorities didn't want the enemy to swap parts between vehicles."

The plans were never put into operation, thanks to the USA entering WWII and the Pacific war moving away from New Zealand. Kevin described his find as "a bit of a surprise", adding: "People don't realise the fear there was at the time."

US Sex Change for Laurie Varendorff When His Trojan Horse Runs

PERTH: **The good news is that WA's hefty, hirsute RM consultant Laurie Varendorff, ARMA, has made headlines in the US media with his May 2004 *InfoRMAA Quarterly* feature, 'Trojan Horse Program: Is this the Records and Archives Management Armageddon?' The bad news is that they called him a girl!**

Laurie Varendorff, the Trojan Horse man

In a column headlined 'The Legal Implications of Self-Destructing Email', the online edition of the national daily newspaper *USA Today* cites Laurie's concerns over Microsoft Office 2003's Digital Rights Management and Information Rights Management programs that give email authors censorship control over messages after they are sent.

The bad news is that *USA Today* 'Cyberspeak' columnist, San Francisco lawyer Eric J Sinrod, a cheerful, curly-headed young man from the look of his by-line thumbnail picture, gets the big Western Australian's gender wrong in the 1,300-word story, referring to Laurie throughout as 'Ms Varendorff'.

Laurie got the good news, and the bad, in Perth the day after the September publication, from a gleeful US listserv friend, but Laurie is philosophical about the mistake.

Once he'd got over the sex-change shock, he was able to joke to *IQ*: "I had to make the supreme sacrifice and change my sexuality to get discovered. But, as

they say, if you are being mentioned who cares if it is for good or bad as long as you are on people's lips."

Before heading off to last month's ARMA International conference in Long Beach, California, Laurie emailed *USA Today* scribe Sinrod, "in light tone, to try to get him down to the ARMA conference. He may learn a thing or two".

Laurie wore his trademark Akubra, familiar to RMAA conference-goers across the Commonwealth, all through the US event, but reports that Mr Sinrod never made himself known to him. (Maybe he was worried Laurie would call him Erica.)

You can access the *USA Today* online feature 'The Legal Implications of Self-Destructing Email' at http://www.usatoday.com/tech/columnist/ericjsinrod/2004-09-22-sinrod_x.htm?POE=click-refer.

Individuals' Health Records Go Online

CANBERRA: **After a 2-year trial, the Australian Department of Health and Aging is launching its Health*Connect* programme, which enables patient records to be accessed online, in two states.**

An Australian first, Health*Connect* involves the electronic collection, storage and exchange of patient health information via a secure network and within strict privacy safeguards.

Initial trials began in October 2002 in one region of Southern Tasmania and the Outback Northern Territory town of Katherine. In 2003, as other states were brought into the trials, the Tasmanian programme was extended to all of Southern Tasmania, where 900 adult diabetes sufferers were the trial subjects.

Health care providers taking part in the Tasmanian trial included general practitioners, the Royal Hobart Hospital, pathology services, endocrinologists, pharmacists, podiatrists, optometrists, ophthalmologists, anaesthetists, and diabetes educators. Information collected in Tasmania included family medical histories, allergies or medical alerts, diagnoses and procedures, diabetes risk factors and monitoring information, and diabetes related pathology results.

In addition to their health providers being able to access the information, participants were able to view their own electronic health record via a secure internet connection. With training, they were able to input information themselves – their blood sugar levels and observations, for example, in the Tasmanian trial. The system also automatically prompted doctors via their desktops when patient tests were due, and integrated medication information onto the files.

The trial programme was underpinned by a privacy framework based on the Commonwealth Privacy Act 1988, and participants could withdraw at any time.

Apart from proving that Health*Connect* worked, with no technical or security problems and a high level of patient acceptance, the trials showed that uptake via a simple patient consent process was possible as long as well-trained interviewers undertook face-to-face contact with consumers.

While trials continue in other states, last December, after the Tasmanian trial wrapped up, the Department of Health and Aging was so pleased with the results that it announced it was rolling out the full Health*Connect* programme in Tasmania and South Australia. For more details: www.healthconnect.health.gov.au

SA Police Give Thumbs Up to Digital Fingerprinting

ADELAIDE: **The South Australian Police Force has adopted the Livescan digital fingerprinting technology, which will replace manual 'wet' prints in all but the remotest Outback areas of the state.**

Livescan has been chosen because the technology involved is far superior to the old wet printing method of taking fingerprinting, involving paper forms, where days might pass before freshly taken prints could be matched with prints held by the central police database. Now the process is instant.

Not only will Livescan speed up ID processes locally, it will allow

automatic print processing through a national database.

The kiosk-sized Livescan devices are manufactured in the US by Motorola subsidiary Printrak.

South Australia is the fifth Australian state to adopt Livescan for fingerprinting. In New South Wales, the state police also use the Phototrack facial recognition system at major police stations to supplement Livescan ID of suspects.

ECU Rapt in Wireless Mesh

PERTH: **Edith Cowan University (ECU) has opted for Nortel's enhanced wireless LAN system, known as wireless mesh.**

The ECU wireless mesh system will cover 132 hectares, incorporating 168 buildings on 4 campuses in Western Australia. The university's 800 staff and 23,000 students will be able to access the network via laptops and PDAs, using a wireless card.

Australian Broadband 99.7% Reliable According to Survey

CANBERRA: **Results of a service reliability study conducted by industry regulator the Australian Communications Authority (ACA) say that broadband service availability across Australia exceeds 99.7 per cent.**

"Data rates were found to be very consistent," said acting ACA Chairman Dr Bob Horton in a statement accompanying the release of the results of the survey, which covered DSL, cable, and satellite connections, "with each technology achieving around 80 per cent of the relevant plan rate."

Dr Horton added: "This reflects the limitations of communications protocols and the 'best endeavors' nature of the Internet."

According to specialist broadband

website broadbandchoice.com.au, there are now 240 internet service providers (ISPs) hawking more than 2,700 broadband plans in the Australian marketplace.

conference that editors had at times interpolated their own words when publishing colonial manuscripts. "They inserted moral messages which reflected their own middle-class values."

Historical Record Tampered With By Editors?

ARMIDALE: **A university history lecturer has told a national archeological conference that nineteenth century writings recording convict chain-gang life may have been invented by editors with ulterior motives.**

Dr Hamish Maxwell-Stewart, from the University of Tasmania in Hobart, was delivering a keynote address to the annual conference of the Australian Archaeological Association held at New South Wales' University of New England (UNE) in December.

At the conference, entitled Networks and Narratives, Dr Maxwell-Stewart put the view that the need to tell a good story and the desire to deliver moral Christian messages had influenced editors, who colored the writings of ex-convicts describing their years in penal servitude.

Dr Maxwell-Stewart told the

IT Outsourcers Reverting to Insourcing

SYDNEY: **A KPMG Asia Pacific Outsourcing survey has found that 41 per cent of organisations surveyed who currently outsource to IT providers are dissatisfied and planning to bring some or all components back inhouse.**

KPMG found that many organisations in Australia are reestablishing IT architecture, planning and project management skills inhouse, with a common motivation being a desire to focus on quality of service and human factors such as cultural fit.

Fewer than 10 per cent of respondents said that they planned to commence or increase their offshore IT outsourcing.

KPMG's Information Risk Management practice considers the survey results indicate that an increase in insourcing will lead to increased business agility and reduced leakage of sensitive information to competitors.

How Literate Will Future RIMs Be?

CANBERRA: **The Australian Department of Education, Science and Training Is calling for submissions to a national inquiry into the teaching of literacy.**

The inquiry is intended to be a broad independent examination of reading research, teacher preparation, and literacy teaching practices. Chair of the inquiry committee is Dr Ken Rowe, Research Director of the Learning Processes and Contexts research programme at the Australian Council for Research.

With RIM professionals having to read more, rather than less, to keep up with the almost daily advances in electronic recordkeeping and information management, the issue of the literacy of our students can be expected to be vital to the industry's future.

Submissions to the inquiry close on March 18. For more information: www.dest.gov.au/schools/literacyinquiry.

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OVERCOMING THE DIGITAL DOWNSIDE

EXCLUSIVE *IQ* INTERVIEW

‘ I certainly came to Canberra with a deep understanding of the significance of the digital records issue ’

Ross Gibbs,
Director-General of the National Archives of Australia.

Photograph by Angela Rea

Almost 2 years ago, Ross Gibbs became Director-General of the National Archives of Australia (NAA), at a time when he felt technology had 'corrupted and marginalised good recordkeeping.' Today, he tells *IQ*, in his first major interview since taking the Director-General's chair, technology is offering sensible solutions to the problems it created, and the NAA is providing leadership down the path to digital enlightenment.

IQ: Ross, your previous position was Keeper of Public Records in Victoria. How has your new role differed from that?

RG: It's bigger! And a bit more complicated. I now have about five times the number of staff spread right across the country with offices in every capital city. And about three times the number of records and six times the budget. But not surprisingly many of the issues are the same.

IQ: Did you come to this post in April 2003 with a clear, self-imposed mission for the preservation of government digital records?

RG: I certainly came to Canberra with a deep understanding - if not a mission! - of the significance of the digital records issue. As some of your readers will be aware while I was Director of the Public Record Office in Victoria we developed VERS, the Victorian Electronic Records Strategy, which is still a leading edge solution to the challenges presented by our need to preserve digital records for the long term.

The vastly increased importance to the NAA of managing and preserving digital records is reflected in our strategic plan and in our allocation of resources.

IQ: What is the relationship between the NAA and the National Library of Australia, and how does that relationship extend to the digital area?

RG: Well, our relationship with the National Library is similar to our relationship with Screensound Australia – we have much in common in that we deal with the same formats and genres of materials, but we also have certain responsibilities that set us apart. The Archives has a very specific mandate and responsibility to deal with government recordkeeping in the Commonwealth sphere and all that flows from that, while the Library has a more general collecting focus.

But that said, I think we have much in common – we're both innovative and strategic and, most importantly, we have worked closely for years, sharing information, discussing policies and priorities and jointly pursuing common goals and opportunities when they arise.

As far as digital records are concerned, the National Library and the National Archives have collaborated most closely in the area of web-based resources through the PADI and PANDORA initiatives.

OVERCOMING THE DIGITAL DOWNSIDE: Continued from page 17

In this area the Library is primarily driven by its interest in collecting and ensuring access to online publications, and we have produced joint guidelines advising government agencies how they should deal with online government publications to ensure their continued availability.

Even in this area, however, the National Archives' main interest is in the need to capture and preserve authentic evidence of web-based government activities and to do so taking account of all the usual government interests in security and accountability.

For this reason we've given a lot more emphasis to the actual long-term preservation strategies needed for web-based materials – in the same way as we have for other forms of government records in digital form.

IQ: **What percentage of your staff's time would currently be devoted to paper records and what percentage to electronic material?**

RG: That's rather difficult to estimate but the ratio would be somewhere in the region of 80:20 in favour of paper records, with the digital percentage increasing each year.

would demand a regime where major archival issues were dealt with up-front. To deal with that, the Archives had to be in a position to ensure that Commonwealth agencies had the tools that would enable them to implement good recordkeeping systems – the Standard is one of those tools.

Our assessment is that the International Standard is now a very important tool for all records managers in government agencies and has completely transformed the environment in which they have to work – and very much for the better. Of course there will always be room for improvement, both in the Standard itself and in its implementation in any specific situation, but I have yet to meet anyone who would suggest that we would be better off without it.

IQ: **Has DIRKS (Developing & Implementing a Recordkeeping System) played a part in improving recordkeeping standards across agencies?**

RG: The DIRKS methodology expands on the framework of the Australian Standard for Records Management, AS ISO 15489 - 2002. In effect it provides agencies with an implementation guide.

In 2002 the Archives surveyed agencies' recordkeeping practices including questions about DIRKS. At this time 54%

> **'One of the difficulties we face is the availability of qualified and experienced**

IQ: **How much groundwork in the digital area had been done by your predecessors as NAA Directors-General, George Nichols and Anne-Marie Schwirtlich?**

RG: The National Archives has been researching and considering approaches to the challenges presented by digital records since the mid-1980s. For a very considerable part of that period little progress had been made in any significant archival institution either in Australia or elsewhere, but in the mid-1990s the National Archives adopted the distributed custody approach that aroused great controversy.

Subsequently the Archives developed its more recent approaches that are at the forefront of national and international developments in this area. In all of this development the very considerable talents of the Archives staff were effectively marshaled by my predecessors and at critical times the necessary strategic decisions were made that moved the field forward.

I think the history of this development is a great credit to all involved and we have recently published on our web-site a brief history of it, written by one of the principal participants, Simon Davis, that sets out the twists and turns of the story for everyone to appreciate.

IQ: **How much influence has ISO 15489 had on your approach to digital recordkeeping?**

RG: Probably not that much – in fact the influence may have been the other way around.

In the 1990s the National Archives became involved in the development of the Australian Standard on Records Management, from which ISO 15489 arose, as part of a broader strategy aimed at positioning the organisation and the profession to be well placed to deal with the evolving revolution in digital recordkeeping.

Senior personnel in the Archives recognised that digital records

of agencies had used DIRKS in managing recordkeeping, including 89%of all large agencies.

Of the agencies that had used DIRKS 88% of agencies rated DIRKS usefulness as moderate to high. We know from our dealings with agencies that many more are now using DIRKS and we expect a significant increase to these statistics when we next survey. The survey results are available on our website.

IQ: **In an article in the last issue of *IQ*, ('Making DIRKS Work,' November 2004), the author of a case study on the implementation of DIRKS in a government agency felt that one NAA project manager only approached the project from the NAA's point of view, with little consideration of the client's needs.**

RG: NAA has a wider responsibility to the Parliament and the public for recordkeeping beyond the immediate business needs of an individual agency. It is often challenging to balance the sometimes conflicting needs of all stakeholders in the DIRKS process.

However we certainly are aware of, and try to accommodate the tensions faced by agencies who are generally trying to deliver outcomes with sometimes very limited resources. We are currently looking at how we might work more closely with agencies on their DIRKS projects so we can better understand and jointly resolve any conflicts that arise.

IQ: **In that article, our correspondent recommended that CARA managers spend time working in organisations other than their CARA, to learn the internal communication problems records managers face where their organisation's core business is not records or archiving. Is this 'work experience' suggestion valid, to your mind?**

RG: Any 'on the ground' experience is valuable and useful. We often recruit staff who have worked in information management roles in agencies and have agreed to a number of secondments for our staff to work in agencies for a period of time or on specific projects.

One of the difficulties we do face at the moment however is the availability of qualified and experienced staff in an industry that is fast evolving, particularly as it embraces the digital environment.

IQ: **Last May, the Australian Government launched the NAA's Australasian Digital Recordkeeping Initiative (ADRI), a collaboration between the NAA, Archives New Zealand, and the State and Territory archives of Australia. Who originated the ADRI, and how long did it take to be formulated?**

RG: The initiative for the ADRI arose from a question that the Parliamentary Inquiry into the Management of Electronic Information raised with us. I was asked what the differences were between the approach advocated by the National Archives and the VERS approach of the Public Record Office in Victoria.

In composing the National Archives' response our Digital

agencies? How is it influencing government recordkeeping in this country?**

RG: The ADRI is basically a collaboration between all of the archival authorities in Australia and New Zealand to develop a uniform approach to dealing with digital recordkeeping issues.

One of the main aims of this collaboration is to unify the Australasian marketplace so that vendors do not have to contend with significantly varying specifications and standards across the various jurisdictions.

The degree to which any of the ADRI products is implemented in practice or mandated upon agencies will vary depending on the specifics of each jurisdiction, but on the whole we believe that the advantages of standardisation will outweigh other issues.

We expect that, like the series system, this will in time simply become the Australian way of doing things, but of course the proof of the pudding will be in the eating – we all have an interest in ensuring that the outcome is practical and implementable and all of the ADRI partners will be working towards that end through their participation.

staff in an industry that is fast evolving as it embraces the digital environment '

Preservation project team drew attention to the essential similarities and convergences between the two approaches. This led to our realising that there were opportunities for synergy and collaboration here that would be beneficial to both organisations and to the field in general, so we organised several initial meetings between the digital preservation teams of the NAA, the PROV and of State Records NSW.

From these grew the idea of a more general collaboration, in which all members of CAARA quickly indicated an interest in joining. I guess the extent to which the objectives were common is indicated by the short time that this really took to organise – overall less than six months had elapsed between the initial idea being expressed and the full DRI being formally agreed between the partners.

IQ: **Did the ADRI influence the New Zealand Government's Digital Strategy, released last June? If so, to what extent? Or, are there areas of conflict between the ADRI and the Strategy? If so, what are they?**

RG: I'm not aware of the degree to which development of the NZ Strategy may have been influenced by the ADRI approach. I don't believe there is any inherent conflict between the approaches so far as they have been articulated to date.

The ADRI partner in New Zealand is Archives New Zealand (the National Archives)) and my understanding is that they will be fully participating in their own national digital strategy by bringing to the table their participation in ADRI developments. We are collaborating closely with Archives New Zealand through ADRI and watching their implementation environment with interest.

IQ: **Is the ADRI binding on Australian Government**

IQ: **Okay, but how much power does the NAA have to police the implementation of Government recordkeeping policy such as the ADRI within federal and state/territory government agencies?**

RG: The National Archives has no legal or functional role in relation to State or Territory agencies, but through the Council of Australasian Archives and Records Authorities (CAARA), all archival authorities in Australia and New Zealand collaborate to foster harmonized approaches to good recordkeeping policies and practices.

In relation to federal government agencies, the Archives has legal responsibility to authorize the disposal of records. The establishment and implementation of good recordkeeping policies and practices is a shared responsibility between the Archives and agencies and the performance of both parties is assessed by the Auditor General.

IQ: **One of the problems with digital preservation is that digital records including websites have been created using proprietary data formats, many of which are now or will become obsolete. How does the ADRI strategy overcome this to archive digital records and create an open source environment?**

RG: Basically the approach involves encapsulating digital objects in appropriately defined metadata based on XML, which is a publicly available configurable format that has a very high likelihood of being readable in several decades time. In some implementations, such as that of the NAA, it will also involve normalizing the digital objects themselves into specified XML formats against particular schema.

OVERCOMING THE DIGITAL DOWNSIDE: Continued from page 19

There is a great deal of technical information about this sort of detail on the National Archives website. Basically this approach solves the proprietary format problem by putting archival material into a format based on XML that we judge will continue to be readable for a very long time into the future.

IQ: **So many developments in the digital world start in the US. What steps is the NAA taking to work with NARA, the US government archives agency, to ensure Australia is not only conversant with the latest innovations but leading the way in the digital preservation area?**

operates eleven separate presidential libraries. How does the NAA approach Prime Ministerial archives, particularly in this digital era?

RG: The National Archives has embraced the 'virtual solution' to the problem of the records of Australia's 25 Prime Ministers being held by a number of institutions. We have developed the Australia's Prime Ministers website which allows the public to find and view digital copies of Prime Ministers' records wherever they are located.

The National Archives holds many Prime Ministers records - and all since Whitlam - but Prime Ministers' records are also

The National Archives of Australia HQ at Parkes, ACT

RG: The National Archives has very close relations with NARA and is in regular contact with senior managers, especially in their Electronic Archives Records project. I met with Lew Bellardo, the Deputy US National Archivist in Washington in August and again in November when Lew was in Australia.

Over the past year NAA staff have visited most major facilities in North America and Europe and we are confident on the basis of their reports that the work that is being done in Australia by the major ADRI partners is at the very forefront of this field internationally.

In August 2004 the National Archives hosted an International Digital Preservation Workshop for ADRI members at which speakers from NARA, the San Diego Super Computing Centre and the UK updated us on recent technical developments in the field. All participants came away confident that the work we are doing at NAA is second to none.

IQ. **In the US, NARA's Office of Presidential Records**

held by the National Library and State manuscript collections.

More recently, universities have established prime ministerial libraries, such as the John Curtin (at Curtin University), Bob Hawke (at the University of SA), and the Whitlam Institute (University of Western Sydney), which collect private, rather than official, records relating to the prime minister. They also maintain online collections which are linked to the Australia's Prime Ministers website.

IQ: **Among the millions of items in NARA's new Clinton Presidential Library in Arkansas (***see story in the Industry News section of this issue***) are 18 million emails from the 8-year Clinton administration. What is the NAA's attitude to the emails of Australia's PM's, and to public access to those emails?**

RG: One wonders how many of those 18 million emails really deserve to be preserved!

Our current recordkeeping advice to agencies is that

OVERCOMING THE DIGITAL DOWNSIDE: Continued from page 20
emails should be dealt with as corporate records and captured into appropriate recordkeeping systems with appropriately designed disposal arrangements in place that will sift the records according to their values, so we don't really see why they should be treated as something different. I don't suppose that answer will surprise any of your readers.

But to turn to the specifics of the PM's emails, at the moment electronic records of the Prime Minister's emails are still with the Department or his Office, but we would expect in the course of events that they would come within the Archives normal transfer arrangements.

We are currently completing construction of a secure Digital Repository that will hold archives in digital form within the XML structure that our approach has specified. We have already transferred some archival records from Royal Commissions, and we expect to be transferring other digital records that satisfy the usual appraisal criteria, starting in 2005.

As for public access – the period when archival records become available to the public is set by the Archives Act at 30 years after date of creation. We expect that this will continue to be the case for most digital records, although some of course may be available sooner.

We will probably be providing them through our usual web interface, but this is an area where there is still plenty of really interesting work to be done in collaboration with our ADRI partners to settle questions about the most useful and effective ways of presenting such materials.

IQ: **In 2001-2002, the NAA released policies and guidelines for approaches to the archiving of government web resources. Have these policies and guidelines been adopted by Australian government agencies? If so, to what extent?**

has been expressed more widely.

IQ: **What do you see as your biggest challenge in the digital arena in terms of dealing with government agencies?**

RG: The biggest challenge of course is getting on-the-ground implementations that make our advice and standards a practical reality. I don't think this will be news to anyone who is working in this field, either in a records authority or in an agency.

We're taking a really pragmatic approach now to getting results that agencies can engage with, in a serious business sense, and can see the benefits of investing in.

I think another really big challenge that all of us in this field face is the dramatic increase in the number of people whose behaviour we are trying to influence. Digital recordkeeping in practice means that every person in each agency, and in some cases even their clients, have to partake actively in the recordkeeping activity, and this means that the training and awareness task is immensely increased from what it traditionally was.

IQ: **So, talking training, with the digital revolution frequently propelling recordkeeping issues from the back room to the boardroom, and increasingly into the courtroom, do you believe that records managers generally should have better academic training and qualifications than at present?**

RG: How could I say 'No'? Of course, one would always hope that records managers would have the opportunities afforded to other professions to have training that gave them exposure to an established body of knowledge and practice, and qualifications that assured employers that they were

> **'Digital recordkeeping in practice means that every person in each category, and in some cases even their clients, have to partake actively in the recordkeeping activity '**

RG: Our 2002 survey indicated that 54% of agencies managed their web-resources in accordance with these guidelines. Given the limited time they were available before the survey we thought this was very encouraging. Of these, 98% rated the guidelines as having a moderate to high degree of usefulness.

IQ: **Australian recordkeeping initiatives have often led the world in the past. Have these web resource archiving guidelines had any influence elsewhere?**

RG: Up to this point, only the WA State Government and University of Tasmania have sought formal permission to use these guidelines although a lot of informal interest

capable professionals fit for the purpose of supporting business operations and good corporate governance.

There has been an unfortunate reduction in the availability of academic training in this field in recent years and I think that is very unfortunate, because at the same time we have been very successful in raising the standard and profile of the work in general.

Yes, I agree that training is an important issue – training that is well founded on current knowledge, that addresses known competency requirements and that also prepares people for effective practice in the real world.

IQ: **What is the NAA's biggest challenge in terms of addressing ongoing technological change?**

RG: Well, I think it is basically in getting value for money,

OVERCOMING THE DIGITAL DOWNSIDE:
the same as for any other type of organisation.

In terms of technology applied to recordkeeping, I think that most of the problems are soluble and I think in Australia we have made really good progress over the past 10 years. Change is now a part of the furniture and I think all archival institutions in Australia have come to terms with this.

IQ: Earlier, you mentioned the overseeing role of the Commonwealth Auditor-General. The Auditor-General's recent report on Recordkeeping in Government Agencies identified a number of deficiencies within those agencies. What steps are being taken, or are being recommended by the NAA, to address those issues?

RG: NAA has issued comprehensive advice to agencies on how to use DIRKS to address the Auditor-General's recommendations as well as arranging for ANAO officers to directly address agency forums that the Archives holds. The formal advice is available on our website.

IQ: Would there be advantages, particularly in today's digital environment, to all of Australia's government archiving bodies, state and federal, being combined? Is this something you would like to see happen?

RG: That is a very interesting hypothetical, isn't it! Whether or not I would like to see it is irrelevant because it is not likely to happen. However through the Australasian Digital Recordkeeping Initiative we are hopeful of getting better coordination and perhaps some degree of integration.

IQ: Are there any further observations you'd care to make about the future of the records and information industry in the digital age?

RG: Yes. What an exciting time it is to involved in recordkeeping and the broader information industry. Change and opportunity are everywhere. My involvement in the development of VERS in Victoria and now Xena here at National Archives are two of the most rewarding aspects of my professional career.

What I have learned over the past 10 years of involvement in digital record keeping and preservation is that there is no final 'solution' for us. Five years is a business lifetime.

We might as the Archives be aiming to preserve for the long term - 100 years - but to do that we will need to remain creative and flexible and be able to adapt our approach regularly. The digital age presents wonderful opportunities for the Archives but only if we remain vigilant and responsive.

IQ: Any predictions you'd care to make about the future of records management?

RG: While we should not be too sanguine based on what has been achieved in Australia over the past 10 years by the Archives and by the industry and the profession, there is good reason to be confident about the future.

Regulators in Government have become serious about the need for good recordkeeping and standards have been developed and widely promulgated. Most significantly for the future the technology that corrupted and marginalised good recordkeeping is now offering sensible solutions to the problems it had created.

So I'm optimistic. Much more so than I would have been if you had asked me the same question a couple of years ago.

IQ: **Thank you, Ross, for your full and frank responses.** iQ

For the Record - The When, Where, How and Why of the NAA

Australia's official archives organisation came into being in 1942, when Prime Minister John Curtin created the War Archives Committee which produced guidelines for the maintenance and destruction of war records.

Post 1945, the War Memorial and the National Library shared archival responsibilities, and by 1952 the Library was the sole archival authority. Nine years later an independent entity emerged, called the Commonwealth Archives, later Australian Archives, and in 1998, the National Archives of Australia.

Under the Archives Act 1983, the National Archives has responsibility for the 'conservation and preservation of the existing and future resources of the Commonwealth', and receives records that have been recognised as having archival value. Commonwealth agencies retain responsibility for arranging the long-term management of records that have continuing business value but are not of national archival value.
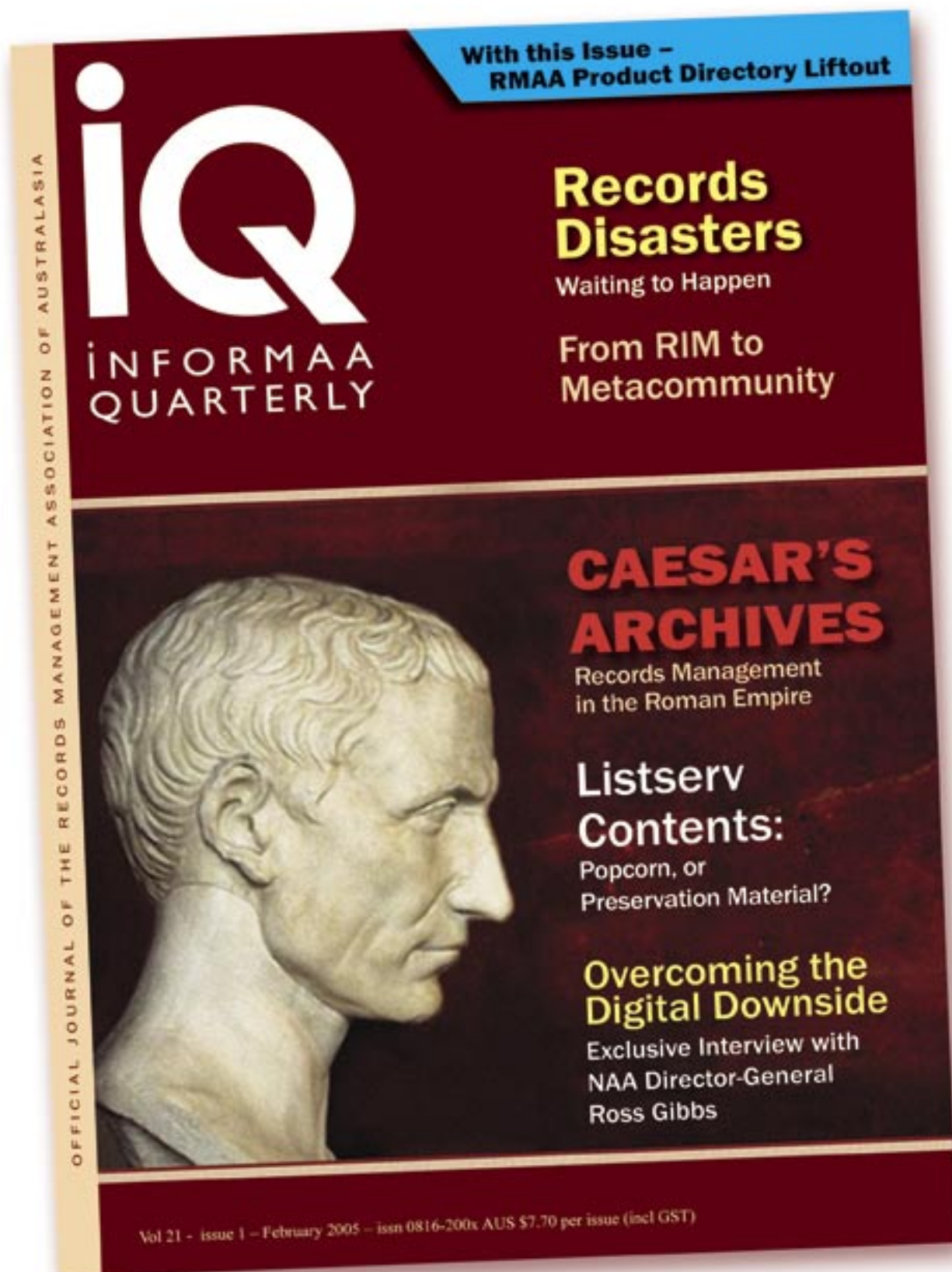
The Archives controls the transfer, custody and disposal of Commonwealth records and provides free public access to its holdings. It also promotes and publicises its collection through travelling exhibitions, publications and its website: www.naa.gov.au.

As a part of its role the Archives establishes and publishes standards and guidelines to assist all Australian Government departments and agencies to follow good recordkeeping practices. The Commonwealth Auditor–General uses these guidelines to assess the performance of agencies in relation to recordkeeping. But the responsibility for designation of agency-specific recordkeeping policies and implementations currently lies with each agency.

The NAA is an Executive Agency within the Department of Communications, Information Technology and the Arts. Of the NAA's 465 staff, 357 are located in Canberra, 32 in Sydney, 26 in Melbourne, 11 in Brisbane, 11 in Perth, 10 in Darwin, 10 in Hobart and 8 in Adelaide. The Archives' Director-General reports directly to the Minister for Communications - currently Senator the Hon Rod Kemp.

The NAA's holdings cover an estimated 50 million items, involving 300 kilometres of records shelving. In addition to records accumulated by Commonwealth agencies in the normal course of their operations the National Archives Act 1983 gives the National Archives the power to accept other records that relate to the history of Australia if it is appropriate to do so. In practice, the Archives has limited its use of this provision to the receipt of records from major Commonwealth figures such as the Prime Minister and other Ministers, through its Personal Records Service.

WHAT'S YOUR *IQ*?

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Records Disasters
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From RIM to Metacommunity

CAESAR'S ARCHIVES
Records Management in the Roman Empire

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Popcorn, or Preservation Material?

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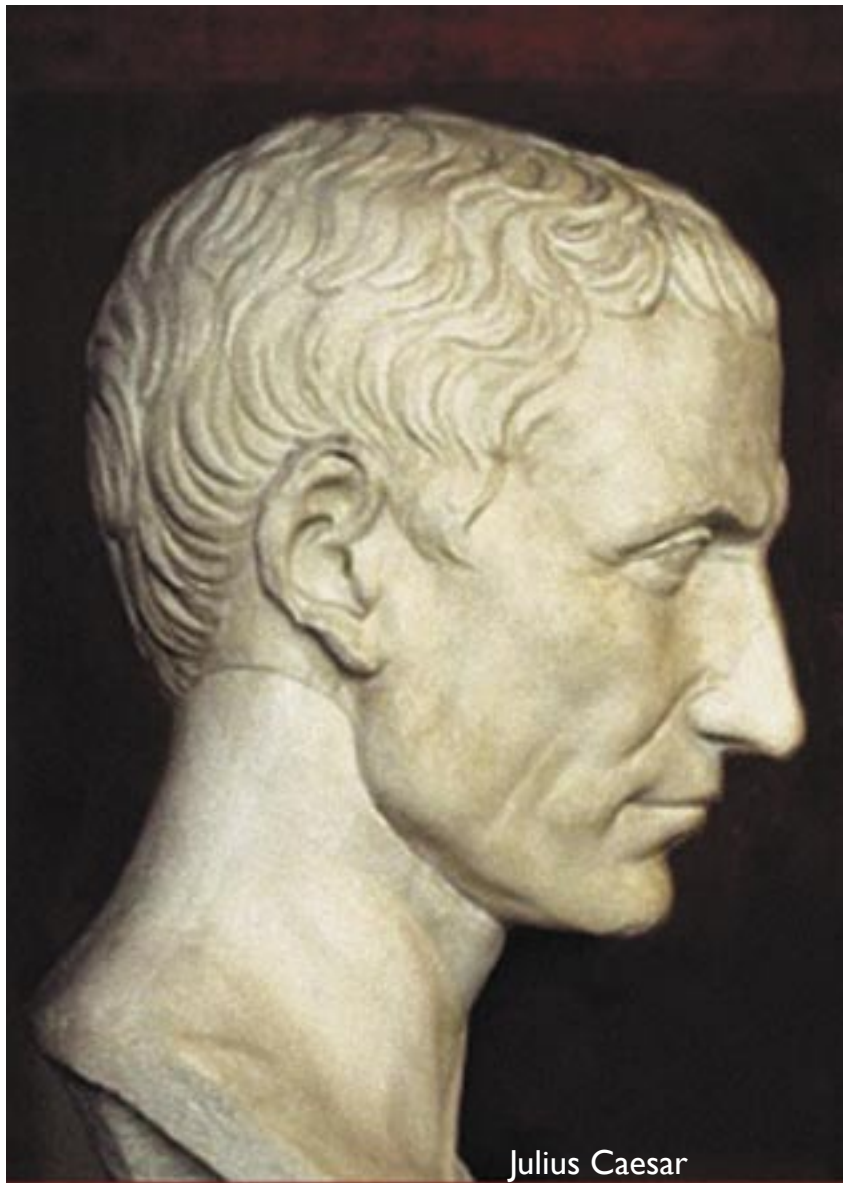
CAESAR'S ARCHIVES

Julius Caesar

Records Management in the Roman Empire

By Stephen Dando-Collins

Julius Caesar was not only a great general. He invented the world's first daily newspaper. He gave us the 365-day Julian calendar. And he established the model archives for the Roman world. In this article, *IQ*'s Editor, who has been studying ancient Roman records for more than 30 years, describes the super-efficient records system of ancient Rome.

Several years ago, a radio interviewer asked me what my favourite book was. Unhesitatingly, I answered, "The 'Annals' of Tacitus." Which left my interviewer a little perplexed. I doubt he knew of either author or book.

Toward the end of the 1st century, Tacitus chronicled the history of Rome between the years AD 14 and AD 70, a turbulent yet exciting period, from the end of the rule of the first Roman emperor, Augustus, through the reigns of Tiberius, Caligula, Claudius, Nero, Galba, Otho, Vitellius, and into the early reign of Vespasian - in his 'Annals', and in the briefer 'Histories' which only covered the last two years of the period.

It's from Tacitus that we know much about the lives of these famous and infamous emperors and the empire they ruled. His histories are full of wars, political intrigue, murder, and mayhem, as he recorded, in often minute detail, events at Rome and abroad.

Tacitus was only 14 by the time Vespasian came to the throne at the end of AD 69, so where did the historian obtain his information about all that had gone on in the preceding decades?

Some of it he took from the books of other authors. Some of it came from Rome's daily newspaper, the *Acta Diurnia.* Much came from the official records of the proceedings of the Senate. And some came from the letters, diaries and unpublished memoirs of emperors themselves. These varying sources had one thing in common – they were all lodged at the Tabularium, Rome's official archives, forerunner of our modern archives.

The façade of the Tabularium, the archives of ancient Rome, is today incorporated into the modern day Senate Palace at Rome.

Julius Caesar's Archivist

In the middle of the 1st Century B.C., more than 2,000 years ago, while Caesar was fighting a bitter civil war to gain control of the Roman empire, he still found time to think about science and the arts.

A rebel general with lofty ambitions, Caesar had gone to war against the Senate and its military commander Pompey the Great, in January 49 BC invading Italy with his legions. Pompey withdrew across the Adriatic to regroup, giving up Italy to Caesar, his former friend and ally. Caesar had then turned to Spain, where he had speedily defeated Pompey's inept generals and accepted the surrender of their seven legions.

The Senate's commander in western Spain, 67-year-old Marcus Terrentius Varro, was a famous author, who, although he had served extensively under Pompey, was a far better scholar than he was a soldier, and surrendered his two legions without a fight.

Caesar set Varro free after he gave his word he wouldn't take any further part in the civil war, and two years later, although still heavily engaged in the war, which would not end until 45 BC, Caesar gave Varro a full pardon and commissioned him to head up his library and archives at Rome.

Some speculate that Caesar, who considered himself a scientist and author as well as a soldier, took this step because he was wracked by guilt for destroying the famous Great Library of Alexandria. The library was part of the Mouseion, the academy of arts and sciences at the Egyptian capital, the greatest centre of learning in the ancient world.

Caesar had landed at Alexandria in 48 BC in search of Pompey, who had escaped from Greece after Caesar defeated him there at the Battle of Pharsalus. Just days before Caesar's arrival, the Egyptians had murdered Pompey. They then tried to do away with Caesar too, forcing him to barricade himself inside part of the city of Alexandria, where he took 21-year-old Cleopatra and her sister and two brothers hostage.

Caesar was accompanied by only 4,000 troops, and was heavily outnumbered by the encircling Egyptian army. During a desperate battle for control of Alexandria's harbours he set fire to the docked Egyptian fleet. The fire spread to the shore and quickly engulfed the city quarter occupied by the Great Library.

Some historians believe that the library's entire contents – 700,000 irreplaceable works by the greatest Greek scholars on mathematics, astronomy, geography, medicine, and numerous other subjects – were destroyed. Others say that at least 100,000 volumes went up in smoke. Either way, Caesar would be held responsible for the loss by his critics.

By the time that Caesar was assassinated in 44 BC, less than a year after terminating the civil war as undisputed ruler of the Roman world, Varro was hard at work collating, cataloguing and storing the laws and records of Rome. Caesar couldn't have chosen a better archivist. A man of immense learning, Varro himself wrote about the law, astronomy, agriculture, geography, education and literature, while also penning influential satires, poems, and letters.

The Original Hansard

The archives reorganised by Varro and consulted extensively by Tacitus were housed in the Tabularium, Rome's official archives building, built in 78 B.C. by order of the Senate at the foot of the Capitoline Mount and adjacent to the Forum, in the heart of the city.

The vast Tabularium was one of the first buildings to use concrete vaulting in its construction. Here, slaves and freedmen, (former slaves), worked under a senior archivist, a man of learning, to catalogue and store the records of the empire.

A principal source for Roman historians was the *Acta Senatus*, the official record of the proceedings of the Senate, the original Hansard. Julius Caesar had decreed that the record be kept, and thereafter freedmen sat in the Senate chamber noting down every word uttered by the senators.

The senatorial scribes used a metal stylus as their pen,

writing in Roman shorthand on small wax tablets. These tablets were passed onto slaves who in turn wrote out the proceedings in full, in Latin, using pen and ink on a parchment that was made of dried papyrus from Egypt and formed into rolls of writing paper.

These rolls were stretched over special writing frames that sat on a table. The frames enabled the rolls to be scrolled through with ease whether you were writing a new text or reading an existing one.

From the senatorial transcripts stored at the Tabularium, Tacitus knew precisely when a law or decree was promulgated, knew who said what in debates, had access to the greatest speeches of the day, and could follow the careers of the leading men of Rome.

Several times, the Senate had records eradicated wholesale – after Nero's demise, and also following Domitian's death, the archives were ordered to destroy all record of the reigns of the two cruel emperors.

Fortunately, other sources of information about them remained; Tacitus, for example, personally lived through the reign of Domitian and was able to give an eye-witness account.

New palaces were built on the Palatine by various emperors, and were always called the Palatium. Augustus's modest first palace came to be called the Old Palatium, and was incorporated into the vast imperial residence built by Domitian.

By the middle of the first century, large numbers of freedmen worked at the Palatium as imperial under secretaries, each served by a team of scribes. Palatium under secretaries reported to secretaries who were Rome's senior public servants.

The three most powerful were the Chief Secretary - a post occupied by the likes of the famous philosopher Seneca - the Secretary for Finance, and the Secretary for Petitions. These were generally men of Equestrian rank - Roman knights - or higher, but under some emperors, such as Claudius, talented freedmen rose to become Chief Secretary.

The Secretary for Petitions received all requests from around the empire directed to the emperor; for audiences, government appointments, citizenship, tax relief, legal appeals, and so on. It was up to the Secretary for Petitions to decide which requests he brought to the emperor's attention.

One of the busiest Palatium departments was that of the Correspondence Secretary. It was divided into two sub sections, Incoming Correspondence and Outgoing

' Julius Caesar created the *Acta Diurnia*, the world's first daily newspaper '

World's First Daily Newspaper
Back in 59 BC, when he was a consul for the first time, Julius Caesar created the *Acta Diurnia*, the world's first daily newspaper. This was hand-written at Rome by a vast team of slaves, and distributed throughout the empire in scroll form. By early in the 1st century a copy of every single issue of the *Acta* was being deposited at the Tabularium, and these too were consulted by Tacitus.

Rome's newspaper contained summaries of proceedings and decrees of the Senate, election reports, news of official appointments, details of court cases at Rome, the results of chariot races at the Circus Maximus, even stories about house fires at the capital.

Original copies of the *Acta* were read by Roman officials, while soldiers in legion camps around the frontiers of the empire and the general public could read copies when they were posted on notice boards. In the time of the emperor Tiberius, Augustus's stepson and successor, the *Acta* could reach the farthest corners of the empire within ten days of leaving Rome, via the carriages and riders of the government courier service, the *Cursus Publicus*.

By referring to the copies of the *Acta Diurnia* kept at the Tabularium, a Roman historian could discover exactly what took place at Rome on any given day, decades and even centuries before.

Palace Records
Other documents routinely lodged with the Tabularium included records from the Palatium, the emperor's palace. Named for the Palatine Hill, where it sat, the Palatium, origin of the word palace, was from the reign of Augustus the residence and administrative and military headquarters of the emperor, the equivalent of a combined White House and Pentagon.

Correspondence. The latter came to be called the Sardonychis, because the last thing applied to outgoing Palatium mail was the emperor's seal, itself called the Sardonychis, which for some time carried a profile of Augustus.

Treasury Records
All government financial transactions including taxation records were recorded in minute detail. Rome had two government treasuries, the general treasury, called the Treasury of Saturn because it operated from the basement of Rome's Temple of Saturn, situated just below the Tabularium at the edge of the Forum, and the Military Treasury. Both were run by praetors, (high-ranking judges), and employed teams of secretaries which included young noblemen in the early stages of their careers.

One such secretary was the famous poet Horace, (Horatius). As a young colonel he had fought on Brutus and Cassius's losing side at the Battle of Philippi in 42 BC, and initially his family had all their property confiscated by the winners, Antony and Octavian. But within three years Horace had been pardoned and given a government post as one of 36 treasury secretaries at Rome.

The Case of the Treasury Records Fire
Major cities and towns throughout the empire maintained their own *tabulae publicae,* public archives. There is a famous case where the archives of Antioch, capital of the Roman province of Syria, were destroyed by a fire in AD 70 which, after starting in the archives, spread to the adjacent marketplace and from there ravaged 20 per cent of the city.

The Jewish Revolt had only just been terminated in neighboring Judea, and Jewish agitators were blamed for the Antioch fire. But an official investigation by staff of the Roman

governor of Syria found that two non Jews, city merchants experiencing financial problems, had set the fire to destroy all record of what they owed the government.

No Copyright Law

It is likely that a copy of every book published at Rome was deposited with the Tabularium. Publishing was an unsophisticated business back then. An author wrote or dictated his work, and a team of scribes was then employed to hand-write as many copies as the author wanted published.

A book was sold in the marketplace in a bundle of rolled parchments. Called volumes, parchment rolls were of standard length. A book was usually a number of volumes long. Often, you will notice a chapter of a translated Latin work today seemingly rushing to a conclusion - because the author had realized that he was coming the end of a volume.

The Romans had great respect for contract law. So it's perhaps surprising that they had no concept of copyright. Once you put your book out into the world, anyone could copy it and sell that copy.

' Only archives staff and outsiders who had the emperor's permission could consult the records '

Emperors' Writings

Tacitus acknowledged that he used the books of earlier authors as source material, including that of Pliny the Elder, who served on the German frontier as a young cavalry officer and wrote about Rome's wars with the Germans. Pliny seems to have actually interviewed some of the participants to the history he recorded and which Tacitus subsequently related.

Most of the early emperors wrote their memoirs, but not for general publication. Called 'commentaries,' they were lodged at the Tabularium for the use of scholars only. For, the Tabularium was not open to the public. Only archives staff and outsiders who had received the emperor's permission to do so, via the City Prefect, could consult the records it contained.

These commentaries were archived along with the diaries and revealing letters of the emperors. A letter from the emperor Augustus, for example, to his stepson Tiberius, tells us that one of the favourite pastimes at Augustus's Palatium was playing dice for money - illegal for the general public…

'My dear Tiberius
We spent the (Festival of Minerva) very pleasantly, keeping the gaming table warm by playing all day long. Your brother Drusus made strenuous complaints about his luck, yet in the long run he was not much out of pocket.'

A Colourful Chief Archivist

This and similar excerpts from Augustan letters can be found in 'Lives of the Caesars,' by Roman writer Gaius Suetonius Tranquillus.

The author in the Forum at Rome. The tourists behind him are heading in the direction of the Tabularium, which is to the rear of the triumphal arch in the distance

CAESAR'S ARCHIVES: Continued from page 27

Of Equestrian rank, Suetonius served as chief archivist to the emperor Hadrian, and this gave him the opportunity to sift through imperial records as he researched his 'Lives', one of his many books.

Suetonius was promoted to Correspondence Secretary in AD 121, but was sacked the following year for having been rude to the empress Sabina while Hadrian was away in Britain.

No longer granted archival access, and apparently only having researched the early Caesars, Suetonius resorted to spicing up his accounts of later emperors with colourful gossip and sensational innuendo – and the book went on to become a bestseller and classic.

The Missing Records

The contents of the Tabularium did not come down to present day. By AD 410 Rome had been sacked by the Visigoths, and 45 years later the Vandals looted the city for 14 days nonstop. The booty-seeking barbarian invaders had no interest in documents. And papyrus and velum documents burnt well. Rome's records and 'pagan' books stretching back hundreds of years went up in smoke, then and later.

It's only from the likes of Suetonius and Tacitus that we have any contemporary records of Rome in the 1st Century at all. Likewise, the less than accurate Cassius Dio gives a picture of the 2nd and 3rd Centuries.

Only a handful of copies of many of these books have survived, often tucked away in remote and ancient church libraries. Even these are not originals, but copies made centuries afterwards, often with interpolations by later authors.

For example, the story related in Tacitus's 'Annals' about Christians being blamed for the AD 64 Great Fire of Rome and burned alive in the amphitheatre is thought by many scholars to have been invented and inserted by later Christian propagandists.

That we have any part of Tacitus's wonderful 'Annals' today is a miracle. Even so, a ten-year AD 37-47 section is missing, the entire reign of Caligula and the first six years of Claudius's reign, as is AD 66-68 - Nero's last two years. We have had to rely on the suspect Suetonius, Dio and others for much of what we know about these periods.

Now that would be something to shake up the historical records community – if the missing chapters of Tacitus's 'Annals' were to one day turn up in some musty library. It's not impossible. It was only half a century ago that the Dead Sea Scrolls were discovered. Such a discovery would mean a rewriting of the historical record of the 1st Century. And the creation of a modern bestseller. Then my radio interviewer would know who Tacitus was! iQ

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The Author

Stephen Dando-Collins has been Managing Director of editorial consultancy Fame & Fortune for the past eight years. Previously he was Chief Operating Officer for Australia of American market research group C&R. He was appointed Editor of IQ in 2004. The author of 14 books, both fiction and non fiction, he has researched Roman history for more than 30 years.

Stephen's first history of a Roman legion, *Caesar's Legion*, (Wiley, 2002), the story of the 10th Legion, was followed by *Nero's Killing Machine*, (published by Wiley in the US last November), the history of the 14th Legion. The third book in the series, *Cleopatra's Kidnappers*, about the 6th Legion, will be published by Wiley later this year. Stephen is also the author of the acclaimed American history, *Standing Bear is a Person*, (Da Capo Press), published last December in the US. His latest novel, *The Inquest*, a detective story set in Roman times, has just been released in the US this month by iBooks/Pocket Books.

The Photographers

The photograph of the Tabularium accompanying this article and that of the bust of Julius Caesar are by Finnish photographer Kalervo Koskimies and are reproduced with his permission. His photographs of Rome can be accessed at http://www.siba.fi. He can be contacted at kalervo.koskimies@siba.fin

The photographs of Stephen in the Forum, in this article and on Page 5, were taken by his wife and business partner Louise Dando-Collins.

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There are three types of memory - sensory memory, short-term (working) memory and long-term memory. Information is passed from sensory memory into working memory by attention, which filters stimuli to those which are of interest at a given time. Long-term memory function is used for storage of information over a long time. Information from the working memory can be quickly recalled as needed.

figure 11.a
INFORMATION PROCESSING AND RECALL
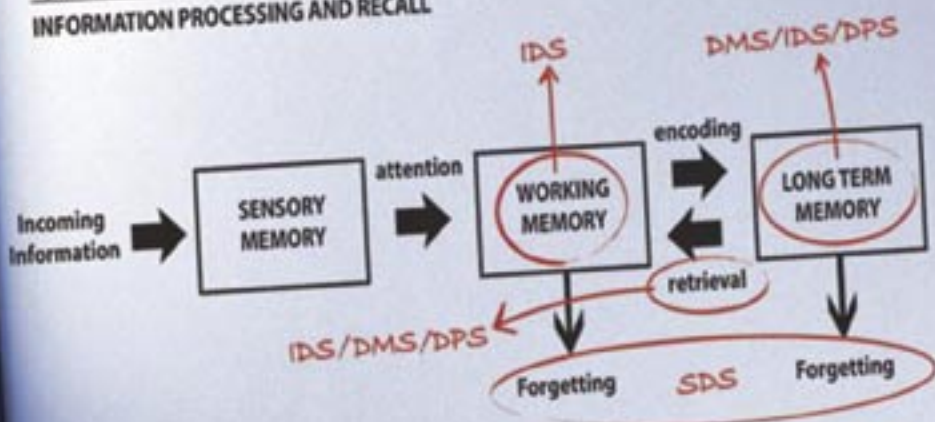
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FROM RIM TO METACOMMUNITY

The Development of the Modern Records and Information Manager

By Sue Myburgh

In many organisations, Records and Information Managers (RIMs) are literally on the rim of management. According to Sue Myburgh, the future elevation of the professional role of the RIM can be achieved through the creation of a collegial metacommunity.

Metacommunity promoter
Sue Myburgh

Because of considerable developments within the environment within which RIMs work, including social, cultural, political, commercial and technological change, the profession is being forced to respond. How it does this is still largely unclear: however, individual RIMs are interested in developing their strategic role within organisations, as well as putting themselves in the position of being able to develop their careers in meaningful ways.

This article examines two aspects of the development of the RIM: the development of the professional role of the RIM and the role they play in organisations; as well as the way in which an individual RIM may develop his or her career in the field. This involves a reconsideration of basic concepts, which might even lead to a paradigm shift at a professional level.

Introduction

There have been many changes in the practice of Records and Information Management over the last decade, for a number of reasons. Many of these are not unique to RIM: they are reflected in adjacent information professions, such as Archives Management, Museuology and Librarianship.

In addition, these changes have given rise to the

It is still the case that records managers are often obliged learn their profession on the job, rather than being specifically trained for a specific task. This is in spite of the fact that RIM is now recognised as a distinct profession, and there are many laws, regulations and standards which directly concern it.

To survive, the contemporary Records Manager must learn new skills, and the profession must continue to evolve.

Causes of Change in Information Professions

Often the rapid and pervasive development of Information and Communication Technologies (ICTs) is seen as the major reason for change in contemporary society, illustrated perhaps by the fact that we call ourselves the 'Information Society'.

What is meant by ICTs presently is the rapid development of the personal computer since the early 1980s, other machines that are able to digitize virtually anything, and the confluence of these with communication technologies, culminating in the Internet.

ICTs are also named as the principal force behind the merging of information professions, even though this has happened formally only to a limited extent.

Gililand-Swetland (2000) states that digital objects are primarily responsible for uniting the professions. However,

'Most recordkeepers would prefer brain surgery without an anaesthetic'

development of 'new' professions, such as Competitive Intelligence (CI), Strategic Information Management (SIM), Knowledge Management (KM) and Content Management (CM).

Because of the varied nature of these changes, we are seeing inter-disciplinary lines being blurred, and possibly the development of a new multidisciplinary metacommunity of information professionals, of which RIM forms but one specialisation.

Whether this comes about or not, we need to know what RIM will look like: the social and organisational objectives which are the chief responsibilities of RIM; the underlying theory or worldview of RIM as a profession to support its *modus operandi*, and the manner in which the objectives and theory are applied in practice.

The Changing Role and Status of Records Management

While records have existed for centuries, RIM as a profession is a fairly recent development which dates to the founding of the American Records Management Association (now known as the Association of Records Managers and Administrators (ARMA) International) in 1956.

RIM emerged as an area of expertise in its own right largely as a result of the necessity to manage the large number of organisational documents that were created around the period of the Second World War.

There are still enormous variations in understanding what records mean to an organisation, and the ways in which they were managed, as well as by whom they were managed.

being a new information professional does not mean doing the same things with digital documents, either together with, or instead of, other formats: it goes much further than that.

ICTs have influenced the information professions both directly (through the creation of digital documents and their associated methods of transmission) and indirectly (through creation of new crimes, revision of laws, and different ways of doing work, and even changing culture, *inter alia*).

But ICTs have additionally brought about changes in other areas, which then independently have a role to play in affecting the RIM.

ICTs and Society at Large

Trying to establish what records are being created, sorting out the records from the documents, identifying and validating records which have evidential qualities, and preserving their integrity, as well as coping with versioning, all create headaches.

Added to this is the possibility of invasion of computerised systems by unauthorised persons, and the issues raised by long-term digital preservation of such documents and records – the headache develops into a migraine. As well as this, many IT departments want to manage all electronic information, and most recordkeepers would rather prefer brain surgery without an anaesthetic.

Changes in communication and information flows have changed society at large; (see, for example, Manuel Castells, 2000). Several essential characteristics of society itself are still in the process of change: economics, education, law, entertainment, journalism, politics, business, the

'‘ICTs are not the only game in town when it comes to creating, encouraging or even determining change '

arts – indeed, any sphere in which the communication of information is important.

People at large now view information in a different way, not only because of the increasing virtuality of documents. Information users have higher expectations now of being able to find (and use) relevant information more quickly and easily, and possibly even use information in different ways.

More transparency and accountability is demanded of governments and organisations – this is an indicator of general social change. Information, to some is perceived to have a monetary value of its own and this has given rise to an area of study known as 'Information Economics'.

The Information Economy

The phrase "Information Economy" or "Knowledge Economy" refers to a world in which people use intellectual rather than physical skills. This concept embraces the manufacture and exchange of all information goods and services, such as publishing, entertainment, documents, and their transmission.

The Information Economy concept enforces the idea that information itself is the most important world commodity, even though, being intangible, the fundamental nature of information is abstract and complicated, and therefore described in terms of dollars and cents.

The value of information exists in subjective, relative, and existential ways, not as an absolute. Evaluation is dependent on the use that someone may make of information at a particular moment in time and space. Information cannot be consumed, but is easily and cheaply moved from place to place. At the same time, information is not lost in such transport – in effect, information gets duplicated when it is communicated.

The term 'Information Economy', therefore, often describes commerce in information technology goods and services, rather than transactions involving involving information itself, (Myburgh, 2003).

Globalisation and Internationalisation

One of the dramatic effects of ICTs is the ability to communicate information relatively effortlessly and cheaply, leading to the easy management of transnational and international activities. ICTs, for example, strongly support the growth of multinational companies.

Because of this, it is no longer possible for records managers to have only a domestic view of business, (Myburgh, 2003).

The 1997 Australian Information Policy Advisory Council (IPAC) reports that, "The information economy is a global society which transcends national borders and within which many activities are location-independent and geographically neutral. The governing parameter is globalisation, the emergence of institutions which are not primarily defined by

their being associated with any particular nation."

The word "globalisation" describes processes of social change having any kind of international dimension: changing economies, power relations, communication, cultures, and organizations. The term is used most commonly, however, to indicate inclusive, transnational processes that take place – completely or partially – outside the control of the individual nations, such as through multinational companies.

A globalised economy has resulted in increased competition, improved collaboration, wider-ranging legislation and standardisation and the elimination of boundaries in a 24/7 world as business crosses time zones.

RIMs now need to take account of international differences in access to information, privacy, security, competitive intelligence, intellectual property and retention, for example, not to mention differences in climate, language, local events and customs.

Legislation

Law has generally been struggling to keep up with changing technologies. It is sometimes only after a crime using ICTs has been perpetrated that a law forbidding a specific action can be passed.

While it is impossible to list all relevant laws here, suffice to say that many new laws (and many amendments to older ones) are being introduced internationally in order to provide safeguards for the information that only records can provide – integrity of content and context.

One of the more recent is the US Sarbanes-Oxley Act of 2002, which originated after several major records-related scandals (such as Enron and Arthur Andersen). In spite of its North American origin, it has implications for any globalised American company, or any company doing business in the United States.

Sophisticated Information Systems

Changing technologies create several new challenges. It is necessary to keep with the constantly developing and converging technologies – email has changed substantially in its use and format in the last decade. Multimedia files are no longer a novelty; scanning and electronic faxing are commonplace.

As well as this, we now have phones that can take photographs and play music, all issues with which the RIM must contend. But it is not only new technologies that cause headaches; how to deal with rapidly obsolescing technologies is perhaps even more critical, particularly with regard to digital preservation.

Postmodernism

As hinted at above, the ICTs are not the only game in town when it comes to creating, encouraging or even determining

'**The combination of these two notions can possibly form the basis of a new metatheory for information professionals** '

change. Society at large is changing as well.

Postmodernism has become, over the past two decades, a prevalent theory used to help understand contemporary society. There are few areas in which researchers and theorists have not used postmodernism in order to explain current social and creative phenomena, and information theory has been no exception.

In the postmodernist view, there are no universal absolutes; there is a focus on process rather than product, on becoming rather than being, and the dynamic rather than the static. Nothing is neutral, impartial or objective – everything is created for a set purpose, and there is no ultimate truth, (Cook, 2000).

This sense of multiple narratives and interpretations, flexibility, subjectivity and relativism has considerably affected information theory in general, and recordkeeping in particular. Upward, for example, has drawn heavily on postmodernism in their research in archival science, and their subsequent development of continuum theory.

Postmodernism has also had an influence on the recognition of the political nature of information work, in particular archives, who need to be certain that all points of view are kept, and not just the 'official' one.

The notion of postcustodiality also emerges from the confluence of postmodernism and ICT development, as no longer are recordkeepers custodians of warehouses of documents, but manage virtual documents in a more abstract way.

Paradigm Shift in Archival Theory

The continuum idea developed with Ian MacLean in the 1950s. He declared that recordkeepers were the true archivists, and that archival science should be directed towards the study of the characteristics of recorded information, recordkeeping systems and classification processes, (Upward, 2000, 118).

Since this time, there has been a continuing search for the continuity between records and archives, which has been

clearly enunciated in the continuum theory as developed by Upward and McKemmish.

Such a framework, as An indicates, can provide "common understandings, consistent standards, unified best practice criteria, interdisciplinary approaches and collaborations in the recordkeeping and archiving process for both the paper and the digital worlds", (An, 2001). The chain of responsibility for and the physical and intellectual custody of records can thereby be documented and remain unbroken.

Postcustodiality

It is true to say that the notion of postcustodialism applies to all information professions. This means that physical preservation becomes less important than intellectual (and contextual) integrity, as indicated above.

The record is seen to exist as a logical and dynamic entity, comprising content, context and structure.

Political Nature of the Information Professions

The emphasis on context and content gives rise to the realisation that recordkeepers have a political role. The context in which records are created is vital to recordkeeping processes, and assists in maintaining integrity and interpretation.

Records managers should now analyse the functions, processes and transactions (the context) which cause documents and series to be created (e.g. Cook, 2000). Recordkeeping clearly involves much more than managing documents. This locates users, technology and information professionals within a socially constructed and complex context.

In addition, we are seeing a shift in emphasis from managing documents to managing information. It is encouraged by ICTs and postcustodiality. As Rayward (1994) confirms, we need to go beyond providing access to documents and information systems – we need to consider the meaning of the content of the document.

Metatheory for the Metacommunity

As noted elsewhere, (Myburgh, 2000), a different way of regarding the relationship between documents, records and information provides a pragmatic foundation for new activities.

A document can be in any medium, and is a generic term to denote any physical information resource. Some documents (or information objects) are records, as they provide evidence of business process and transactions. Some of these have an additional value: they provide evidence of how things were done, and by whom – called 'memory' by archivists. This can, in some cases, be identified at the time of creation.

The combination of these two notions – the continuum model of the record (as a particular type of document) together with the reconceptualisation of the distinctions between information and documents, with the emphasis increasingly falling on the former with regard to corporate and social memory – can possibly form the basis of a new metatheory for information professionals.

Metacommunity

These are but some of the complex issues that have caused changes physically and intellectually for information professionals. Here I use the term to include records managers, archivists and librarians, specifically, as well as the newer professions such as CI, SIM, KM and CM, as indicated above.

Historically, these professions have been separated first and foremost by the notion of 'place' (a notion, incidentally, that changes the digital world): in particular, the institutions in which such professionals work. Respectively, these are registries, archives and libraries. They have also been separated by different professional associations with independently developed traditions, which have helped to maintain sectorial differences between these groups.

Rayward (1994) argues that the differences between librarianship, archives, records management, information systems and museology are based on historically different technologies, media, records and primary client groups. Each community brings a unique perspective developed out of its societal role and manifested in specialized paradigms and practices.

However, "Over the past 20 or 30 years…there has been growing awareness that what has been accepted as separating these professions may no longer be relevant and may have become dysfunctional", (Rayward, 1994, 163).

Increasingly, the areas of commonality between these professions have been identified, and there are a considerably number of similarities in praxis.

1. Alignment of provision of information with the goals and objectives of the organisation or society.
2. Identification of information and documents that might be used and must be managed.
3. Collecting the documents – whether physically or virtually.
4. Ensuring integrity of documents.
5. Describing the documents in order to organise them whether physically or virtually.
6. Providing access to documents – whether physically or virtually.
7. Preventing access to documents – whether physically or virtually.
8. Providing intellectual access to information contained in documents.
9. Preventing intellectual access to information contained in documents
10. Preserving documents – whether physically or virtually.
11. Discarding documents that have no continuing value.
12. Discerning, describing, arranging and protecting documents that have exceptional qualities and perceived long-term value.

As a result, these information professionals share a number of issues of concern, such as metadata, intellectual property and intellectual capital, security, digital document management and preservation, organisational management, database structure and use, systems analysis, user needs and behaviour, legal influences and professional education.

The convergence between recordkeeping and librarianship is evident particularly at the higher education level, where internationally, many programs in librarianship offer courses or specialisations in records management, even though specialised programs for recordkeeping and archives also exist.

The continuum model, however, extends beyond merely adding records and archives together. The formation of a metacommunity cannot be the result of addition, but should rely on a close examination and development of a satisfactory multidisciplinary theory upon which to base all information practice.

If the metacommunity were to consist, for example, of librarians, archivists, technical information specialists, information creators and records managers, it must be acknowledged that each of these professions owes its perspective to the acknowledgement of a unique societal role.

Metacommunity Imperative

As a dispersed community, we lack political clout. Steemson has noted that Australian government agencies, "do not have senior executive positions with nominated accountability for corporate information management, nor do they have information management plans integrated into their business planning processes", (Steemson, 1999).

Added to this, he has noted that, "the convergence of interests of previously separate functions such as records management, libraries, publishing and public affairs, and the development of tools which enable direct access to disparate data and document resources, now make it imperative to take an integrated approach",(Steemson, 1999).

An integrated approach is difficult, because information professionals have their thinking controlled by 'habitus' as defined by Bourdieu[1] . This allows for other professions to 'take up the slack' and develop professions around what is traditionally the domain of existing information professionals. KM and CI, for example, do work based on concepts that are used in both recordkeeping and librarianship.

The many joint issues mentioned above are seldom discussed across institutional boundaries.

Conclusions

Interpreting the situation in a postmodernist way, we can understand that there is no threat to individual professions in the notion of a metacommunity. No metanarrative will dominate, but different perspectives and narratives can be accommodated.

Reconsidering our basic premises leads to an 'as well as' perspective, rather than an 'instead of'. We might even be able to move away from a predominantly Western, developed nation perspective in order to accommodate the particular issues of the Majority world and the Digital Divide.

There are, of course, differences between a model of a metacommunity and the implementation of processes and procedures. However, uniting the professions conceptually will enable greater synergies to develop – as many have found on an individual level
– leading to

positive and close co-operation in multi-disciplinary teams.

This brings the realisation that we also need more integrated information management institutions and associations – particularly because the information that is obtained from each is distinctive and even sometimes unique. Such convergence will shatter forever the concept of information professionals being mere technophobic document shufflers, and they will become recognised as strategic partners, as records managers can then truly deal with information. **IQ**

The Author

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This article, revised for *IQ* by the author, is based on a paper first delivered at the 21st RMAA International Convention last September, which proved to be one of the most talked about addresses at the convention.

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[1] "A key concept in Bourdieu's analysis is that of habitus, a system of dispositions determined by past experience, particularly by one's class, education, and profession. Habitus functions as a matrix of perceptions, appreciations, and actions. Habitus is the means by which a field perpetuates itself through the voluntary actions of its members. It gives the appearance of rationality and internationality to behaviour that is less than fully conscious. How individuals interpret a situation and the actions that they consider possible are unconsciously constrained by their habitus. Action guided by habitus has the appearance of rationality but is based not so much on reason as on socially-constituted dispositions." Van House, Nancy A. (1996). The Panda syndrome: an ecology of LIS education. [Online] http://sims.Berkeley.edu/~vanhouse/panda.html

FOOTNOTE

EDMS:
Log It, Or Lose It!

Part 2

By Anastasia Govan, ARMA

In the last issue of *IQ*, (November 2004), Anastasia Govan summarised the Northern Territory PowerWater Corporation's first 6 steps down the road to implementing an EDMS. Here, she continues the story as she describes the pilot implementation, and planning for a review.

Background

PowerWater Corporation (PWC) provides electricity generation, power transmission and distribution networks, water and sewerage services, rural and remote services, and retail services across the Northern Territory from 15 physical locations. This makes PWC one of the largest and established businesses in the Northern Territory, with assets in excess of $1.2 billion and more than 700 employees.

As described in the last issue of *IQ*, implementing an EDMS requires a project management framework with the following steps;

1. Identify your business requirements
2. Senior management support
3. Scan the market
4. Implement your framework
5. Select and Procure
6. Design
7. Implementation pilot (rollout and training)
8. Review
9. Full implementation (rollout and training)
10. External audit

At the time of writing, PWC are moving from step 7 to step 8.

Continuing the Adventure: Steps 7 - 8

Step 7: IMPLEMENT YOUR PILOT

There are several documents that now become your most crucial assets along with adequate and skilled resourcing and project plans. The number and variety of documentation required indicates the degree of work required to get to implementation stage.

The most crucial documents that must be signed off by the senior management on your Reference Group before implementation include:

- Pilot scope
- Project Management plan
- Contingency plans
- Cutover strategy
- Handover checklist to IT Operations for servers and database maintenance
- Software architecture (including your field names, record types, interfaces)
- Server architecture
- Security matrix
- Functional specification
- Proof of acceptance of the environment by vendors who own your desktop, manage your servers or own the messaging (e-mail) environment
- Test strategy (including scripts and action logs)
- Training materials (including goodie bags made up of manuals, cheat sheets, screen cams, mouse pads, pens)
- Change management strategy
- Risk management strategy
- Issues register
- Helpdesk procedures
- Backup and disaster recovery strategies
- Report template for your Reference Group
- Budget forecast
- Training plan
- Definition of business process

These documents will assist particularly the Project Manager in keeping the project within scope, which also means it stays on budget and on time. All groups you roll out to have their own wish list of what the system should look like and do, but it may not be for the benefit of the whole organisation.

For those very stubborn users who wish to change your scope, a change control mechanism where the requestor must fill in paperwork and submit to your Reference Group for approval dramatically reduces the need to change the system.

The other control mechanism is an issues register (can be an Excel spreadsheet) where all users log their issues. The Project Manager can then categorise and rank, in terms of look and feel, bugs that must be fixed and performance issues. Presenting the rankings to your Reference Group on a monthly basis can help to manage any unexpected expenditure or pressure from users to change the system from what the scope originally defined.

Skilled Resources a Must

Skilled resources at the implementation stage are an absolute must. Your development partner becomes crucial to the underlying success of the implementation as they have the experience from several sites to know what configurations

and business rules will best suite your business environment. They will also complete specialised technical work such as configuring the system layer on servers and coding and testing interfaces that your IT section quite often does not have.

Detailed Project Plans

Especially during cutover, when stress levels are high, staff will have a natural tendency to revert to doing what they feel comfortable with, or helping those who are very stressed. Project plans keep everyone on track and can easily be published to websites to publicise progress of the project. Detailed project plans ensure the team knows who is doing what and when.

The Importance of Communication

Implementation not only covers good documentation for governance purposes but it also covers training and continual communication at all levels with the Project Sponsor, Reference Group and the affected users.

Poor communication and not staying in touch with issues as they occur can create mountains out of molehills. News spreads like wildfire through word of mouth, so you need to ensure that end users have a pleasant experience with the correct information.

Having excellent contacts with your IT section also becomes crucial at this stage. A new business system implementation such as an EDMS can highlight and exacerbate existing IT issues, and in particular network performance due to the movement of large amounts of data. Ensure you have a logging system that encourages the logging of what the user was doing when they experienced a problem and if any other staff or business system functionality was also experiencing difficulty.

A Few Drinks

You will also need to take care of your team during this high stress phase. The Project Manager needs to ensure that break points are identified and addressed so staff do not feel they are alone. Celebrate mini and large milestones with a few drinks, morning teas and lunches outside of the work place.

Providing such opportunities even when everyone is flat strapped gives a light, fun air to the project where the staff can joke and let of steam in a closed and trusted environment and build a strong team bond.

Step 8: REVIEW

An independent external review of your implementation gives credence to your implementation and will identify any major risks before rolling out to the entire organisation.

A scoping document outlining your expectations and referring particularly to the original business case and specifications for the system upon which vendors and development partners were chosen will highlight what the reviewer needs to check should be completed.

Depending upon the nature of your organisation - government or private sector - you will either go to tender or use an existing contract to acquire a reviewer. This may involve your current auditor, so the requirements could be included in your annual risk management audit program.

As part of the scope, define that engaging a reviewer who has knowledge of legislative, business and electronic environments related to information, document, knowledge management and records management is essential.

Summary of PWC progress

PWC migrated from db2 to Oracle platform and upgraded the database from Captura to Context 5.2.2 with the technical assistance of Alphawest and a Fujitsu project management methodology. The system was tested, resulting in a handful of 'bugs' that Tower are rectifying.

The Records Management Units in the regional locations of Alice Springs, Tennant Creek, Katherine and Darwin were trained in the use of the system, business processes and business classification in a three day course – two of which were hands-on using a laptop network.

Two weeks later, a second end-user group (a project team) and the EDMS project team were cut over from using existing file servers to save documents to, receiving incoming mail electronically to due trays after being scanned by Records Management Units and interfaces from Microsoft Office suite and Lotus Notes.

An external review took place in December 2004 to give the team a roadmap for finalising the system in January and February 2005, before full rollout from February until September 2005.

Issues with implementation so far have been centred around file server document migration, performance issues between TRIM and Lotus Notes email/Microsoft office, Records Management Unit business rules and scanning.

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

The Author

Anastasia Govan, ARMA is Project Manager of the of Information Governance Compliance Project with the Northern Territory's PowerWater Corporation. A more detailed biography accompanies her first article in this series, (*IQ*, November 2004).

QLD Survey Reveals Records Disasters Waiting to Happen

By Troy Pullen

Late last year, University of Southern Queensland (USQ) honours student Troy Pullen surveyed 43 government and private sector organisations in Queensland to determine the state of their recordkeeping regimes. The results, published for the first time here, show a frightening lack of preparedness for disaster recovery and reveal other major RM problems. This is Troy's report.

If people were angels, no records would be necessary (Cox 1998). Unfortunately however, people are not angels, and therefore the need for information management and the important role it plays in the operations of business need to be examined.

The major catalyst for a study investigating information management and its relationship with corporate risk was to identify the level of knowledge of, and interest in information management programs within private and public sector corporations.

While public sector organisations have a clearly defined set of guidelines and standards prescribed for them by Government agencies, private sector organisations may not be aware of the appropriate guidelines such as AS ISO 15489 (Standards Australia 2002) and its related components. However, private sector organisations face an expanding body of legislation and compliance requirements to ensure that they do not face excessive corporate risk (Iron Mountain 2002).

Information management has moved from operational obscurity to headline news and can be considered a major factor in a corporation's reputation (Iron Mountain 2002). Information management is becoming an increasingly necessary component of a successful organisation in order to meet government, stakeholder and consumer requirements.

This assertion is supported by Hughes (2003, p. 29) who states that, 'A defined and controlled information management policy will ensure that an organisation is protected against risks such as litigation or disaster, and that record practices meet complex regulatory requirements'.

This statement is supported by Hawley, Harris and Pollock (2003) who claim that a sound appreciation of recordkeeping helps to ensure an organisation can deal positively with legal and other risks.

MINIMISING RISK

An organisation is exposed to many risks in its daily operations, and together these can be referred to as corporate risk. The nature of these risks spans the financial, legal, operational, political and environmental areas. However, in order to manage and reduce the level of corporate risk an organisation faces, it must implement good information management practices.

Information management minimises the level of corporate risk an organisation is exposed to through improved compliance to laws and governmental regulations concerning the operations of business. An effective and efficient information management program will simplify the web of corporate risk surrounding organisations by identifying issues specific to individual organisations, and by keeping and maintaining accurate records in the event of litigation or audit.

THE COMPONENTS OF AN INFORMATION MANAGEMENT PROGRAMME

In guiding the implementation of an information management program, several key issues were assessed by key authors and Government authorities as being essential components of a recordkeeping system. Authors and Government authorities such as Cox (1998); Roberts (2001); Standards Australia (2002b); the Queensland Government (2002); Dietel (2003) and Hawley et al. (2003) have identified the following 11 components as being essential to any information management programme:

• Structuring Responsibility for Organisational Records
• Creation and capture of records
• Vital records and disaster management
• Physical storage of records
• Retention and disposal of records
• Control of records
• Maintenance of records
• Electronic document management
• Paper recordkeeping systems
• Electronic recordkeeping
• Staff and training needs

The identification of these components led to the development of research questions, and guided the development of a survey used to gather data in relation to organisations' information management programmes.

OVERVIEW OF RESEACH

The study addressed the following question: What is the level of corporate risk faced by private sector organisations compared to public sector organisations as a result of

> **"The majority of organisations were inadequately prepared for disaster, and if such a disaster occurred, would be unlikely to recover"**

information management practices? The question proposed:

1. That information management is not perceived by private sector organisations as a strong factor contributing to corporate risk; and

2. The level of corporate risk resulting from information management practices is the same in the public and private sector.

The second component of the question was divided into a number of sub areas relating to each element of an information management programme, as previously identified.

To find answers to the questions and gain a deeper understanding of the issues relating to information management practices and corporate risk, the quantitative phase of the research involved a self-administered questionnaire (*involving 75 questions*) issued to public and private sector organisations throughout Queensland.

The information management questionnaire was designed to gather respondent demographic data; to identify the factors respondents identified as contributing to corporate risk; and

importantly to gain data relating to organisational information management practices.

Secondary data from published journals, relevant texts, electronic and working paper sources concerning corporate risk and regulatory requirements relating to public sector and private sector organisations were used to provide a conceptual and theoretical foundation for the study.

Structured upon the information management components identified, and the themes used in Roberts (2001) survey, the survey was arranged into the following twelve areas:

1. Structure
2. Staff and Training Needs
3. Creation and Capture of Records
4. Vital Records and Disaster Management
5. Physical Storage of Records
6. Disposal of Records
7. Control of Records
8. Creation and Maintenance of Records
9. Electronic Document Management
10. Paper Recordkeeping Systems
11. Electronic Recordkeeping
12. Issues

THE LEVEL OF RISK

The study also aimed to ascertain the level of risk an organisation could potentially be exposed to as a result of their information management practices. This was achieved through the development of an information management risk construct.

The degree of potential risk an organisation faces can vary greatly as a result of the quality of information management practices employed by an organisation. The risk faced however, can be stated more specifically rather than simply declaring that an organisation is exposed to risk as a result of information management practice.

In order to state the potential level of risk an organisation could be exposed to, responses from each question from the survey were assigned a potential risk rating. After analysing each information management component, the relevant questions and their responses were identified, and a risk rating was applied.

The risk ratings were then averaged, and mean risk scores were assigned to each information management component. A risk score of 1.0 to 1.6 indicated that an organisation faced a low potential risk; a risk score of 1.7 to 2.3 indicated that an organisation was exposed to a medium degree of risk; and a score of 2.4 to 3.0 indicated that an organisation was potentially exposed to a high level of risk.

SURVEY RESULTS

Forty-three respondent organisations took part in the study. Twenty-eight operated in the public sector and 15 operated in the private sector. The majority of organisations were involved in Government, Administration or Defence type industries; with the Cultural and Recreational services industry the next most common respondent group; 86% of organisations operated only in Queensland, and the remainder also operated in other states of Australia.

The survey established that respondents perceived (a) data and information loss (b) information management and (c) regulation as the top three factors that impacted upon the level of corporate risk faced by organisations.

Analyses of organisational data identified several

inadequate areas of information practices. Primary areas of concerns included Records in the Organisational Structure; Staff and Training Needs; Vital Records and Disaster Management; Physical Storage of Records; Disposal of Records; Creation and Maintenance of Records; and Electronic Recordkeeping. A brief overview of each of these areas is provided below.

Records in the Organisational Structure

Results indicated that a number of organisations were failing to meet basic information management requirements. **Almost 40% of respondents could not indicate that they currently had an identifiable records management program in place.**

A similar percentage of respondent organisations indicated that documentation and communication of recordkeeping responsibilities were not provided to staff, and almost half of the responding organisations did not currently have a recordkeeping strategic plan in place. The relevant table compares public and private sector responses to a key question.

Does Your Organisation Have An Identifiable Records Management Program?

		Frequency	Percent	Public Sector	Private Sector
Valid	Yes	27	62.8	64.3	60.0
	No	6	14.0	14.3	13.3
	In Progress	7	16.3	21.4	6.7
	Total	40	93.0	100.0	80.0
Missing System		3	7.0		20.0
Total		43	100.0	100.0	100.0

Staff and Training Needs

Results show that staff were not receiving adequate training in regards to organisational recordkeeping practices. Approximately 44% of respondents indicated their staff were not provided with training about recordkeeping practices and the use of organisational records and systems. The table shown identifies responses to the key question from this section of the study.

Are Staff Provided With Training About Recordkeeping Practices?

		Frequency	Percent	Public Sector	Private Sector
Valid	Yes	24	55.8	53.6	60.0
	No	14	32.6	39.3	20.0
	Total	38	88.4	92.9	80.0
Missing System		5	11.6	7.1	20.0
Total		43	100.0	100.0	100.0

Vital Records and Disaster Management

Results clearly show that the majority of the sampled organisations were inadequately prepared for disaster, and if such a disaster occurred, would be unlikely to successfully recover.

Almost 59% of organisations indicated that they could not identify and list their vital records, while more than 65% indicated that their organisation did not have disaster reaction and recovery plans currently in place. Responses to the key question in this section of the report are identified in the table shown.

Does Your Organisation Have Disaster Reaction and Recovery Plans?

		Frequency	Percent	Public Sector	Private Sector
Valid	Yes	15	34.9	28.6	46.7
	No	12	27.9	39.3	6.7
	In Progress	10	23.3	25.0	20.0
	Unsure	2	4.7	3.6	6.7
	Total	39	90.7	96.4	80.0
Missing System		4	9.3	3.6	20.0
Total		43	100.0	100.0	100.0

Physical Storage of Records

Results indicated that physical storage of electronic records is considerably less likely to be approved and documented than that of paper records. Approximately 40% of paper records storage locations had not been approved by a records manager compared to almost 65% for electronic records.

Disposal of Records

Results show that almost 63% of organisations did not regularly dispose of paper records and approximately 81% of respondent

> **Many paper and electronic records are being retained unnecessarily**

organisations did not regularly dispose electronic records. These figures alone suggest that many paper and electronic records are being retained unnecessarily.

Approximately 49% of organisations could not indicate that they had documented procedures for the disposal of paper records. This figure was considerably more for electronic records, with approximately 80% of organisations unable to state that they had documented procedures for the disposal of electronic records.

Creation and Maintenance of Records

Over 51% of organisations had not identified and documented their electronic recordkeeping requirements. Additionally, results indicated that approximately 58% of respondents had not incorporated the Australian Standard into recordkeeping practices.

Electronic Recordkeeping

Almost 54% of respondents indicated that their organisation had not developed organisational policies for electronic records, and 60% had not developed user guidelines for electronic records. Another concerning element of electronic recordkeeping identified was the lack of strategies for maintaining electronic dependant records over time. Almost 70% of respondents indicated that they had not developed such strategies The table shown illustrates one of these issues.

Has Your Organisation Developed Policies for Electronic Records?

		Frequency	Percent	Public Sector	Private Sector
Valid	Yes	20	46.5	50.0	40.0
	No	14	32.6	35.7	26.7
	Unsure	3	7.0	3.6	13.3
	Total	37	86.0	89.3	80.0
Missing System		6	14.0	10.7	20.0
Total		43	100.0	100.0	100.0

POTENTIAL RESULTING RISK

Based upon the information management risk construct, the component with the highest potential exposure to corporate risk as a result of information management practices was the Electronic Recordkeeping component.

The mean risk score for this component was 2.12, representing a potentially medium level of risk exposure. The least risk exposed component was that of the Control of Records index. The mean risk score of 1.28 illustrates that this was the best controlled of the 8 information management components surveyed.

The information management components which were exposed to a potentially medium level of risk were:
• Staff and Training Needs;
• Vital Records and Disaster Management;
• Storage of Records;
• Disposal of Records; and
• Electronic Recordkeeping.

Results illustrated that there were minor, if not significant differences between sectors regarding the level of risk associated with information management practices.

CONCLUSIONS REACHED

The results outlined above relating to electronic records suggest that **electronic records could be posing a challenge to organisations**.

Because of the increased use of electronic records, the lack of polices, user guidelines, strategies for maintenance, control over the creation of these records, and the lack of control for disposal and retention of these records in many organisations could be of particular concern.

Areas For Concern

The data also revealed many areas of concern relating to both electronic and paper records. For example:

• **Results indicated that both paper and more commonly electronic records were being disposed of without the approval of relevant authorities;**
• **The data suggested that many paper, and specifically electronic records were being retained unnecessarily;**
• **Many organisations indicated they did not use information management products to assist in managing paper records**. Those who did not use information management products to assist in managing paper records potentially increase the strain on paper recordkeeping systems over time. It could

also be assumed that organisations were performing paper recordkeeping manually, therefore increasing costs; and
• **The majority of organisations stated they had failed to produce strategic plans for the maintenance of electronic records over time**.

As stated by Roberts (2001), the failure to develop such strategies highlights the risk to organisations' of losing long-term records critical to on-going organisational business. The lack of strategic planning for information management may also result in a lack of ability to attract funding to this functional area.

The study also sought data relating to a number of current and future issues that respondents identified in relation to records management. Prominent issues identified included the need to (a) improve user awareness of the benefits of recordkeeping, and (b) to improve organisational commitment to recordkeeping.

Additionally, budget constraints which were limiting current records management programs were identified as a concern. These issues have traditionally faced records managers over time.

The dissertation found that a link exists between information management and corporate risk. Five out of the eight information management components indicated a potentially medium level of risk (a mean of 1.7 to 2.3).

In fact, the majority of organisations sampled were facing a potentially medium level of corporate risk exposure as a result of their information management practices.

This level of risk could not be considered acceptable for any organisation. The burgeoning importance of information management and the risk that inadequate information management poses to organisations means that it should be managed systematically and not allowed to 'just happen'. **iQ**

The Author

This article is based on a survey conducted in September-October 2004 via the University of Southern Queensland's Faculty of Business at Toowoomba, Queensland, by honours student Troy Pullen, as a research project for the Bachelor of Business (Honours) degree at the USQ. The study was entitled 'Information Management and Corporate Risk'. The complete survey paper, including the 75-question questionnaire and all results tables, can be obtained by emailing doug05@tpg.com.au.

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POPCORN, OR PRESERVATION MATERIAL?

By Daria DeCooman

With listservs, or email discussion lists, almost 20 years old, Californian graduate student Daria DeCooman posed the question: Are contents of listservs valuable as evidence, to be archived like other records, or are they in effect the fast food of the records management industry, to be consumed then forgotten? When a study of scholarly literature, trade and news publications and websites didn't produce a definitive answer, Daria conducted a survey of information professionals in North America, Australia and New Zealand. This paper, published for the first time, documents her quest, and her conclusions.
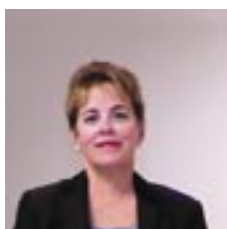
Daria DeCooman,
Californian researcher on a mission
to discover the long-term records
relevance of listservs

The term 'listserv' is widely in use and appears here to stay. According to Buckman, 'EDUCOM in Europe created the first list server software used on the BITNET network' (2001, The first list server). Per Buckman's chronology, EDUCOM's software appears to have debuted in the early 1980s.

In 1986, Eric Thomas wrote a program named 'Revised Listserv' (later shortened to LISTSERV) which automated adding or deleting subscribers (Buckman). Grier and Campbell (2000) observed that listserv programs managed email lists, distributed mass mailings and provided systematic archives of email (p. 32).

Within three years of the program's emergence, '46 sites had adopted LISTSERV, and the program was supporting the communication of over 130 different groups' (Grier & Campbell, 2000, p. 35). In 1993, Oberg observed the increasing popularity of listservs, noting they seemed 'to satisfy many of the conversational, practical, and even scholarly communication needs of librarians' (The Future of Listservs).

In 1998, Marcinko documented the growing line-up of email-broadcast-management software as including 'versions of Listproc, LISTSERV, Mailbase, Mailserv, and Majordomo' (¶5). Regarding their burgeoning use, he cited estimates of 150,000 to 250,000 listservs then found on the Net (Content and Capabilities,).

L-Soft international, owner of LISTSERV software, maintains a dynamically generated catalog of LISTSERV lists at http://www.lsoft.com/lists/listref.html. This site as of October 31, 2004, cited 63,074 public lists out of 306,620 LISTSERV lists.

The site does not appear to track lists enabled by software other than LISTSERV. For an idea of the large number and diversity of electronic discussion lists in use today, one may also visit TILE.NET/LISTS, 'The Reference to Internet Discussion & Information Lists,' at http://tile.net/lists/.

Today, the term 'listserv' seems synonymous with any mechanism sending email to a group of recipients with a shared interest.

Library and archives-oriented organisations have enthusiastically adopted listservs. But popularity is one thing. Evidential or enduring value is another. Considering the present and looking to the future, is it possible to determine the evidential nature of listservs, and to determine whether they warrant long-term archiving?

Relevant Questions

For examination of the value of listservs as evidence, and whether they deserve preservation (and if so how that should be achieved, for, as with a horse and carriage, the two – preservation and its logistics – go together), relevant questions include the following.

- Do listservs comprise records?
- Do listservs provide evidence of community or professional or scholarly activity; decision-making, and policy- or opinion- or trend-formulation; or authorship or ownership of research?
- Are listservs changing how professionals conduct evidence-seeking or research?
- Can creators of listservs, who are often their users, determine their evidential value?

To determine answers to these questions and gain understanding of evidential value of listservs, a scan and zoom approach has been used. The scan involved reviewing relevant literature as well as looking at pertinent web sites. While considering listservs regardless of subject or field involved, given the huge number and broad subject-coverage of listservs now in existence, the scan especially focused on listservs oriented to librarians, archivists and records managers.

What Does One Really Need to Know About Listservs?
While a listserv may be initiated and administered by one person, many listservs are associational or sponsored and managed by particular groups. Participation in a list requires joining or subscribing to it. Participants are referred to as members and membership rosters and numbers may be publicly available.

Participating in this form of communication is not difficult; benefiting from the one-to-many broadcast of a list simply requires an email account and access to the Web.

Listservs offer participants options in terms of delivery or receipt of messages; listservs may push messages out via broadcasts sent singly or in daily or weekly or otherwise periodic digests, and listservs may allow participants to visit a web site and pull or retrieve messages when desired.

Having passed into the vernacular, the term 'listserv' now enjoys a high degree of recognition yet suffers from a blurred definition. Savolainen noted, '"Electronic discussion groups" is

an umbrella term covering Usenet newsgroups and other types of groups, such as listserv, which use differing subscription processes' (2001, Electronic discussion groups as fora of communication).

For the purposes of this paper, listservs have been defined as involving email and asynchronous communication – regardless of the particular software enabling the distribution and storage of messages posted to a list. Synchronous computer-mediated discussion or chat groups were where possible excluded during research conducted for this paper.

Germane to determining if listservs comprise records are two aspects of electronic discussion lists: Many if not the majority involve email or constitute an application of email, and many if not the majority automatically generate archives, storing all posted messages. Whether archives are open to searching by list-members or the public is a different matter.

Do Listservs Comprise Records?
Why is it important to determine if listservs comprise records? Because records may offer evidential value and warrant archiving for the long-term.

Lindberg (2003) defined records as documents offering inseparable and meaningful structure, content and context (p. 5). In 'Introduction PowerPoint,' a presentation she delivered in 2004, Lindberg defined records as, 'Recorded information in any form created or maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity' (slide 8). This definition comes from the Australian Standard for Records Management, AS4390 – 1996, described at http://www.records.nsw.gov.au/publicsector/rk/sacramento/sacra_2.htm.

Given Lindberg's definitions, given that within a business or government email messages tend to be treated as records, and given that listservs may self-archive or be automatically recorded, the logical conclusion seems to be that listservs are records. Yet the literature, and websites of standards-setting bodies including the Society of American Archivists (SAA) and national governmental entities, are largely silent regarding whether listservs comprise records.

In reviewing scholarly, trade and news publications, no mention was found of the record-worthiness or record-ness of listservs. (Note the literature-search conducted for this paper was not exhaustive.) Searching websites of bodies setting standards or official guidelines, ones pertaining to defining records, proved a bit more fruitful.

Per the SAA, 'Electronic communications that are created, stored, or transmitted through electronic mail systems in the normal course of activities are records' (1995).

Searching the web site (http://www.archives.gov/) of NARA, the US National Archives & Records Administration, for 'listserv' returned 13 results but no immediately locatable statement relating to record-worthiness of listservs.

Notably though, Thibodeau's presentation 'NARA's

> **"Electronic communications that are created, stored, or transmitted through electronic mail systems in the normal course of activities are records"**

Electronic Records Archives Program' stated that a federal record is 'Information made or received in the course of business' and deserving retention due to providing evidence of 'functions, organisation, policies, decisions, actions' or information (2003, slide 4). Also per Thibodeau, an electronic record is simply one 'in a form suitable for processing by a computer' (2003, slide 4).

The State of California's homepage (http://www.ca.gov/state/portal/myca_homepage.jsp) when searched for 'listserv' also led to no immediately locatable statement regarding whether listservs are records. When searched for 'electronic discussion lists,' the site returned a link to the American Association of School Librarians site but no mention of policies determining consideration of listservs as records.

The Government of Canada's web site at http://canada.gc.ca/main_e.html led to 'Guidelines on Managing Electronic Mail Messages' at http://www.imforumgi.gc.ca/products/natres/natres3_e.html. These guidelines mentioned listservs under a section titled 'Which e-mail messages are transitory records?' (2.2.1).

The Government of Newfoundland and Labrador at its site 'Provincial Archives; Policy on the Management of E-mail Messages" (http://www.gov.nf.ca/panl/emaill.htm) addressed proper use of listservs. After citing the Canadian Archives Act's definition of a record as 'created or received by a department in the conduct of its affairs' and noting records must be managed per content versus form (2.01 E-mail as a government record), the site provided guidelines on use of email and listed four specifically pertaining to listservs (E-Mail Guidelines).

The Australian Government's site at http://www.australia.gov.au/ when examined in the (northern) summer of 2004 led to a site (http://listserver.nla.gov.au/wws) listing email discussion lists sponsored by or involving the National Library of Australia, but revealed no easily locatable details on whether listservs are records.

Similarly, a search for 'listserv' yielded about ten results on the web site (http://www.naa.gov.au/) of the National Archives of Australia, but no immediately locatable statements indicating record-worthiness of listservs.

Queensland's Department of Education though, in its online 'CM 12: Staff Intranet, Internet and Electronic Mail Usage Policy,' defined 'chat' as having many forms including discussion lists (5. Definitions) and defined 'Listserv' and its appropriate uses (Listserv, 6.19 – 6.21,http://education.qld.gov.au/corporate/doem/commuman/cm-12000/sections/procedur.html). Notably this site stated, 'The rules and guidelines for use of email also apply to the use of Listserv.'

Examining web sites of regulatory agencies, including ones affiliated with national governments, revealed scant direction on whether listservs comprise records possibly offering evidential value or warranting long-term archiving.

Examining state or provincial government sites revealed, in the case of the governments of Queensland and Newfoundland and Labrador, that guidelines for the use of email apply to the use of listservs.

Perhaps by not explicitly speaking to record-ness of listservs, scholars and administrators of standards-setting bodies are recognising the growing popularity of listservs and growing chances their contents are less than valuable. Perhaps such experts' silence indicates recognition of increasingly diverse technical structures of electronic discussion lists – powered by email or simply the Web.

Perhaps experts are implying listservs do not warrant policies regarding their status as records or their evidential value. Most plausible though – given findings from examined web sites including those of the SAA and the governments of Queensland and Newfoundland and Labrador – is that regulatory agencies intend policies pertaining to electronic communications or email to cover listservs.

Do Listservs Provide Evidence of Community or Professional or Scholarly Activity?

It is important to determine if listservs provide evidence of community or professional or scholarly activity because documents providing such evidence may offer evidential value and warrant archiving.

Evidence is a slippery beast, whether defined per Jenkinson's view (1944) as primary or intrinsic, per Schellenberg's (1956) view as secondary and more important to people other than creators of records, or per Cook's (2001) view as a post-modernist construct.

Undeniably, listservs often provide evidence of community or professional or scholarly activity. Marcinko (1998) enumerated types of listservs: subject-oriented, supporting products or services, goal-oriented, informing or disseminating information, education-related and friendship-related.

His examples, including a listserv which focuses on stamp collecting and STUMPERS-L which allows reference librarians to share answers to difficult questions, reveal community, professional and scholarly activity. Marcinko's categories or types indicate the range of community or professional or scholarly activities addressed via listservs.

Ataman (2004) found more than 20 headings, such as conservation and description, among topics addressed by archives- and records-management-related listservs. The range of topics he identified, and the number of lists he found devoted to the topics, indicate such listservs are being used for community, professional and scholarly activities.

Are Listservs Changing How Professionals Conduct Evidence-Seeking or Research?
The answer to this question is an unequivocal 'Yes!' Academics early predicted the importance of listservs to professionals. In 1993, Oberg described the role of listservs, when he said, 'Stevan Harnad suggests that this voice is akin to the scholarly

> ‘**Academics have been acknowledging diverse roles listservs have actually played in research**’

'**Sources of records with evidential value,
or mere gossip magnets?**'

letter writing that characterised an earlier era' (A New Voice and Its Problems.

In 1995, Burbules and Bruce wrote about how scholarly networks including listservs could 'create an entirely new niche of collaborative publishing').

More recently, academics have been acknowledging diverse roles listservs have actually played in research. In 2000, Mick and Ackerman mentioned recruiting medical-study subjects via a listserv.

Sixsmith and Murray in 2001 noted the 'increase in the number of studies being conducted on listserv and newsgroup material in health research' (Abstract). In 2003, Watkins, Alan Pincus, Tanielian and Lloyd described getting specific advice from experts via a listserv during development of a medical-treatment model.

And academics are acknowledging the emerging importance of listservs to researchers' own work. Among contents required for a graduate-level portfolio, Northern Illinois University's Physics Department names 'Listserv record' as evidence of professional activities and collaboration (http://niuhep.physics.niu.edu/~scienceed/comreq.htm).

In a 1999 study addressing effectiveness of the Internet to provide students with alternative sources of information, Ludwig described a collaborative learning project involving classes in different geographic locations and communication conducted via a course web site and listservs. McFann, in 'The Uses and Impact of Academic Listservs in University Teaching: An Exploratory Study,' wrote about listservs complementing in-person courses (2004).

The trade magazine *Searcher* published 'Information Authority and Integrity: An Example of Professional Development on the Fly,' an article extolling benefits of professional-development conducted via listserv (2004).

Large numbers of scholars and professionals subscribe to and participate in listservs. Ataman stated that when it comes to archivists and records managers, 'roughly half of the profession follows a professional mailing list' (Ratio of List Membership in the Profession).

Savolainen discovered that 'the higher the level of

education, the more active is the participation in electronic discussion groups' (2001, 3.2 Information seeking in discussion groups).

In the conduct of scholarly pursuits including research, listservs bring practical advantages: reaching many experts with one message; the ability to use an informal tone; the ability to participate or just follow or 'lurk'; and the ability to follow a discussion spanning time and place.

Branzburg (2004) and Oberg (1993) gave voice to a notable benefit delivered by listservs: They are inherently democratic. On a list, luminaries and beginning students mingle; joining a list often costs nothing, though some lists are accessible only after paying dues to certain associations; and posting to a list involves no official peer review, though some lists are vetted.

Ataman (2004, 2.4.2) observed some people are now following lists versus following professional literature. Lists may not have replaced scholarly or professional literature, but lists now hold their own secure and special place in the pantheon of research tools.

Do Listservs Provide Evidence of Authorship Or Ownership of Research?
Evidence of authorship or ownership of research may be a key type of evidence needed by professionals or academics and a key reason to consider listservs as offering evidential value and warranting long-term archiving.

During the scan, only Burbules and Bruce (1995) were found to speak to this. They noted that in a networked scholarly environment encompassing listservs, 'the distribution, revision, and continuous co-construction of knowledge can no longer be attributed to individual authors.'

Additionally, in the same article, in References, 10, Burbules and Bruce said: 'We know of at least one case: A faculty member successfully presented his work as moderator of an electronic mail discussion group as evidence for his scholarly production.

Participants in the e-mail group sent messages in support of his case, arguing that the scholarly value of the e-mail discussions, and his role in promoting these, were at least as valuable as traditional journal articles.'

Can Creators of Listservs, Who Are Often Their Users, Determine Their Evidential Value?
Why is it important to identify who is the best candidate for assessing evidential value of listservs? Because persons who may be charged with determining evidential value of listservs need to be brought into the discussion, and because such persons may play a key role in decisions about how and where to archive for the long-term listservs or their contents deemed to offer evidential value.

The scan did not reveal anyone speaking about assessing evidential value of listservs or deciding whether to archive

them for a long term. Various authors including Oberg (1993), Marcinko (1998) and Grier and Campbell (2000) spoke to the facts that listserv software can archive correspondence and list members or non-members may search such archives.

Zooming in on Librarians, Archivists and Records Managers
To obtain information professionals' input on evidential value of listservs, a one-page survey questionnaire was distributed via seven listservs. Twelve completed surveys were returned.

While, as a statistical exercise the results of the survey could not represent valid research due to the small sample, a dialogue sprang up which turned the survey into a virtual electronic focus group, with a variety of enlightening comments resulting.

The 12 respondents comprised three persons working in Australia or New Zealand and nine persons working in the US.

Three respondents worked in the private or corporate sector, three worked for public libraries or archives associated with public libraries, four worked for government entities, and one worked for a university. One was a student seeking the degree of MLS/ARIM (Master of Library Science, with a specialisation in archives, records and information management).

The Australian and New Zealand respondents were a records archivist, a records manager and an information coordinator. Records manager was the most common title given by US respondents.

> **Agencies need to consider their responsibility for managing the information created in listservs**

Survey Results
The survey asked respondents their opinions on a range of issues relating to evidential value of listservs. Survey goals included eliciting brief answers such as "no" or "yes," as well as comments.

The survey first asked whether listservs comprise records. Though the number of respondents was quite small, a regional divide immediately emerged; all Australasians provided answers falling into the category of "possibly," whereas US answers were divided almost evenly between "possibly," "yes" and "no."

The second question asked whether listservs offer value as evidence. Again, all Australasian respondents provided answers falling into the category of "possibly," whereas US answers were again divided between "possibly," "yes" and "no."

When it came to whether listservs are altering how archivists or librarians conduct evidence-seeking or research, respondents from Australasia were evenly divided between "possibly," "yes" and "no answer," while the majority of US respondents replied "yes."

Another question asked, 'How long should archives of archives-oriented or library-oriented listservs be maintained?' Here again a regional difference emerged. While all Australasians answered "permanently" or per policy or schedule, US respondents' replies included several other answers not chosen by any Australasian respondent.

The Discussion That Followed: Are Listservs Sources of Records With Evidential Value, or Mere Gossip Magnets?

The survey responses revealed the jury is out on whether listservs comprise records that offer evidential value.

Though it did not attract many respondents and lacked scientific design, the survey did have its up side. By offering free range to respondents, it drew a considerable amount of comment.

In response to question number one about record-worthiness, the following comment came in. 'For us the Aus-archivist list-serv does not comprise a record, it's a handy tool, but it is not a record of our business function.'

Regarding evidential value of lists, one respondent commented, 'It depends on how you define evidence… In one sense, mailing lists are transcripts of dialogues between members of a group, similar to video and/or audio tapes of discussion sessions or panel sessions at conferences.'

Other respondents said, 'Yes, they are evidence of the way that communities of learning are communicating,' and 'All do [offer evidence] to some degree. Though the obvious ones are Law-Lib, NOCALL, SANDALL and SCALL, Gov. Docs. Listserv, etc."

Another respondent remarked, 'For our specific purposes, no external list-servs are of evidential value. Only informational value.'

In response to questions about archiving listservs, comments included the following. 'Where is the "canonical archive" for the mailing list?' And, 'Whoever is willing to volunteer to maintain them?'

'Depends on the listserv,' said another. 'Smaller ones should be the responsibility of the sponsoring entity. Larger ones might be best served by a collaborative approach.'

Another response was, 'They warrant appraisal for archival value of content before anything is archived… Why waste server space on piffle?'

Consulting Experts for Clarification

To complement the scan and the survey, input from a few experts was sought.

In July and August 2004, email messages were sent to contacts listed on web sites of the SAA, NARA, NARA's National Historical Publications and Records Commission, the Canadian national government and the Australian government. Two questions were asked of each organisation: Does your group consider listservs to comprise records? And, does your group have a policy guiding archiving of listservs?

Only two responses ensued. The first acknowledged inquiry and suggested other avenues to follow. The second response came from Kathryn Swan, assistant director of the National Archives of Australia's (NAA) Government Recordkeeping.

She noted the government uses the DIRKS methodology to identify recordkeeping requirements and mentioned information on the methodology appears at http://www.naa.gov.au/recordkeeping/dirks/summary.html.

Swan further cited Section 3.8 of the Digital Recordkeeping Guidelines as outlining NAA's advice on digital records created in shared systems and cited the following URL as offering more information: http://www.naa.gov.au/recordkeeping/er/guidelines/3-framework.html.

She added, "The National Archives does not have a published policy specifically for the archiving of listservs. We consider listservs hosted by Australian Government agencies as shared systems. As such, agencies need to consider their responsibility for managing the information created in listservs as part of their overall recordkeeping requirements.

"Agencies hosting listservs should consider whether listservs generate records that relate to agency functions and therefore should be kept for business needs, accountability or community expectations." (K. Swan, personal communication, August 10, 2004).

As The DG Sees It

IQ **asked the Director-General of the National Archives of Australia, Ross Gibbs, (pictured) whether he personally considers listservs as sources of material which should be archived? This was his response.**

"There are many kinds of listservs and they meet the needs of different types of organisations, such as the RMAA. Some listservs may well have archival value but many probably don't.

"Each organisation that maintains a listserv should assess the listserv's value, and that value should reflect the content and what the record does. The archival value isn't based on the form of the record."

Conclusions

2005 marks more or less the 20th birthday of the listserv. In 1993, Oberg noted, 'The value of listservs to librarians has yet to be reckoned' (What Are Listservs?). Today, the situation does not seem much changed: The value of listservs to all professions and particularly information professions has yet to be reckoned.

The scan and survey conducted for this paper revealed a lack of internationally agreed recognition of the record-worthiness and evidential value of listservs. But this finding

seems shocking. Evidence of business-related reliance on listservs abounds. Marcinko stated, 'Listserv usage is flourishing in the information industry!' (1998, Results).

Cox (2000) noted, 'A large percent of North American and even foreign archives and records management jobs are now posted on the archives and archivists and related listserves' (The Challenges of Examining Job Advertisements). Ataman (2004) concluded that regarding archivists and records managers, 'the basic tool used for national and international communication and collaboration is mailing lists' (1.3 Basis of this study).

So, what is the problem? Why the lack of scholarly or expert examination of listservs' record-worthiness and evidential value?

As noted by several respondents to the survey, and as noted by Savolainen (2001), online discussion groups such as powered by listservs may comprise 'living encyclopedias or idle talk' (to paraphrase Savolainen's title for his article). One survey-respondent wrote, 'And it poses the challenge to separate the real issues from frivolous stuff.'

The issue of credibility too rears its ugly head. One survey respondent observed, 'You have evidence of what people were saying about a topic, but you don't necessarily have evidence that the stated speaker indeed said so.' This issue may be shrugged off; listservs may be authentic records regardless of credibility of their contents.

The issue of ethics may figure into resistance to in-depth scholarly examination of, or regulatory or recordkeeping treatment of, listservs. Sixsmith and Murray noted that ethical considerations regarding studies conducted via listserv have received short shrift (2001).

These researchers cited among such considerations 'consent, privacy, anonymity, interpretation, and ownership and authorship of research material' (Abstract). Marcinko (1998) mentioned privacy and confidentiality as issues pertaining to listservs.

Australasians on the Right Track?

The biggest obstacle may be a mindset. Australasians seem to be on the right track. They appear to be leaning in a more united fashion towards listservs possibly comprising records and offering evidential value.

In 1998, Upward and McKemmish explained the basic postmodern Australasian outlook, when they identified organisational accountability as involving a clear mission comprising 'the capture, maintenance and preservation of the records that tell the story,' (The International Literature).

Organisations need to change their mindset and recognise the evidential and historical significance of the lowly listserv. Surely challenges are inherent in any long-term or in-depth study of listservs. But what more fitting 20th-birthday gift could the listserv receive? As the use and value of the listserv mature, so must expert and scholarly appraisal of its record-worthiness, evidential value and archival value. IQ

The Author

This article is an edited version of a paper by Daria DeCooman, an MLIS student at San José State University, San Diego, California, USA, whose course includes archives and manuscripts. She can be contacted at: dariad@cox.net.

Note 1 – Survey Questionnaire

SURVEY ON THE VALUE OF LIST-SERVS AS EVIDENCE

**1** Do you consider list-servs to comprise records?

2 Do you consider list-servs to offer value as evidence?

3 If so, how are you defining evidence?

4 If so, which archives-oriented or library-oriented list-servs do you think offer evidential value?

5 Creators of archives-oriented or library-oriented list-servs are often their users. Do you think these creators can determine the evidential value of such list-servs?

6 Do you think list-servs are altering how archivists or librarians conduct evidence-seeking or research?

7 Do you think specific archives-oriented or library-oriented list-servs warrant archiving?

8 If so, which one(s) and why?

9 If you're the administrator for an archives-oriented or library-oriented list-serv, does it have an archiving policy in place?

10 If so, if this policy is publicly available online please provide the URL.

11 Who do you think should be responsible for maintaining archives of archives-oriented or library-oriented list-servs?

12 How long should archives of archives-oriented or library-oriented list-servs be maintained?

Please feel free to provide additional comments. Thanks for your help and time!

Editor's Note
As the survey discussed was conducted in confidence, the identities of respondents have not been revealed by *IQ*. Correspondent Kathryn Swan gave the author her permission to be quoted.

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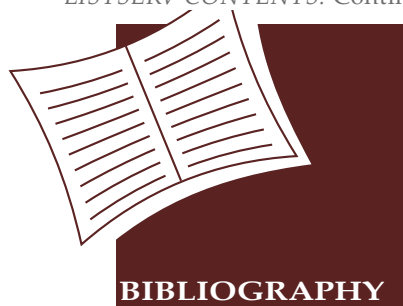
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Making an E-Zine
Work For You

By Lorraine Bradshaw

When Western Australian company Information Enterprises Australia (IEA) launched an electronic newsletter, it was to spread information and build their profile in IEA's immediate market. Today, *Information Overload* is read by subscribers around the world. Here, writing for *IQ*, the editor of *IO* explains how, despite the ever increasing e-clutter, a focussed e-zine can be made to work for you.

Lorraine Bradshaw,
Editor of e-zine *Information Overload*

The proliferation of electronic newsletters in recent times is quite staggering. A quick search of the Internet lists over a million items just on the term 'e-zines'. It appears that virtually every organisation that has something to say, advertise or recommend has jumped on the e-zine bandwagon. Consequently we are bombarded with more information on a daily basis than our email systems can cope with.

Plenty of Pluses

Why are electronic newsletters (e-zines) so popular? First of all they are quick and easy to produce; For example - Microsoft Publisher has a section devoted to newsletters. Pick your style, fill in the blanks and away you go. You do not have to wait for an editor to give you the all clear, and then wait for the printers to roll before a mail-out can occur.

Content is cheap. Material can be culled from existing brochures, articles and websites. However, as with all things, the content of the various electronic newsletters varies enormously – with material ranging from infomercials, advertorials, sales, latest products, and 'buy now.'

All of this is interlaced with information about the company and, if short on content – lots of images, cartoons and various attempts at humour – especially around holiday times. And then there are those newsletters that offer advice, inspiration and information.

They do not cost anything to post, as they are sent using the corporate email system (computer bandwidth notwithstanding).

And they can be an effective marketing tool. Of course this depends on the quality of the material and the image that the organisation is trying to create, and/or which products they are hoping to sell.

Add to this mix, the use of electronic discussion forums, message centres and chat rooms, it is fair to say that we are bombarded with more information than we can hope to deal with on daily basis. As Frank McKenna of GMB once said, "People are swamped with data and starved of knowledge."

Taking the Electronic Plunge

In order to make some sense of this clutter, Information Enterprises Australia decided to add another electronic newsletter to the ones currently circling the globe. This was not a decision we took lightly as we were unsure how the newsletter would be received, but we felt that whilst there was a lot of information doing the rounds of the many groups, most of it was not in a format that could be accessed and used quickly and easily.

Many discussions were held in-house to decide on the format, how many we should issue, how often we would send them out, and what we would cover. As an employment agency, consultancy and training organisation within the fields of libraries and records management, as well as business and people management, we felt that we had a lot of knowledge that we could share with the wider community, and, in 2002, *Information Overload* was born.

In making the decision to write and distribute the newsletter we decided that:

1. We would actually issue two newsletters - one for our client contacts and the other for our Registrants. The Registrant Resources edition was designed to cover employment issues, and has evolved to such an extent that we now have some readers receiving both editions;

2. We would issue the newsletters monthly. Current thinking in marketing circles recommends sending out a newsletter weekly, or at the very minimum quarterly, in order to remain in touch with people who may be interested in your products and services. Our decision to send the newsletter monthly has proven itself to be the ideal time frame allowing us to research our chosen topic;

3. We would use the one newsletter, one subject format;

4. Contrary to most newsletters, we would not advertise products or services in the newsletters; and

5. The newsletter would be limited to just a few pages, (although we would break that rule on occasion).

The Corporate Team at IEA, Fremantle. From left, Rachel Moylan, Lorraine Bradshaw, Shirley R Cowcher (Director), Gail E Murphy, Kay Hack

A Wary Beginning

Our first newsletters were issued in September, 2002, and covered the topics of Occupational Health & Safety and Communication. Since then we have covered subjects ranging from Training and Workplace Etiquette to Marketing of Library and Information Services, Compliant Records Management Systems and the epic – White Paper on Electronic Archiving.

Our registrants received topics on How to Network Effectively, CPD and advice on how to apply for jobs. To see a full listing of the subjects covered to date visit www.iea.com.au.

Less than 200 people received the first edition, predominantly by email, however a few registrants received and still receive a paper copy of the newsletter. Believe it or not,

'People are swamped with data and starved of knowledge'

not everyone chooses to have an email address.

Because of the laws regarding SPAM we were very wary when we hit the button to send the first edition of the newsletter, and we waited with bated breath wondering what the reaction would be. We made a decision at that point not to send notification to the listservs, just in case people objected.

Looking back at the strategy we adopted with the first editions, we feel that it was still the correct decision to take, in spite of its cowardly appearance. Instead, we opted to use word of mouth advertising and opt-in strategies. We also used a small notification at the end of our email signatures and of course the web played a tiny part – advertising the newsletter on 'The Other Page.'

However, to become a new subscriber people still had to tell us they were interested in receiving a copy. We also made sure that we added a disclaimer that said: 'If you would prefer not to receive this newsletter, please send an email to training@iea.com.au with "unsubscribe newsletter" in the subject line.'

Thankfully, we had more people say 'Please subscribe me' than those who said 'No I am not interested, please unsubscribe me'. So we breathed a sigh of relief and got ready to issue the next editions.

Staggering Growth

By early 2004 the subscriber base for the newsletters had grown by a staggering 300% since the first issue. We have also reached 9 countries (that we know of) with subscribers from India, New Zealand, United Kingdom, USA, Singapore, United Arab Emirates and Belgium, as well as all our own states and territories. It was at this point we decided to test the waters again and this time we advised the wider community of *Information Overload*'s existence.

The problem we faced was that the newsletter was only available as a PDF and we could not add attachments to the messages that we sent to the many listservs that we subscribe to. So we simply advised people that the new edition was available and to email the offices if anyone wanted to receive a copy. Again, we waited – we did not automatically sign people up to the subscriber base until they said they were interested in becoming a subscriber.

It would be November 2004 before the entire archive was added to the web, so there were times when all we seemed to do was respond to emails. The more controversial the topic – the more requests we seemed to get.

Our choice of topics is dependent on a variety of factors - for instance, looming deadlines prompted the newsletter on The Impact of the State Records Act. Discussions on the various listservs has given us ideas for topics, as do news items, journals and areas of interest to the team at IEA. However, all suggestions are gratefully received. We might not use them all, but we do try to fit them in.

The Future

As to the future of *Information Overload*, it is hoped that the Web will play a bigger part in getting the information out there not only to the library and records management communities, but to the business community as well, raising the profile of everyone who works within our industries. iQ

The Author

Lorraine Bradshaw is Marketing & Training Coordinator with Information Enterprises Australia (IEA), of Fremantle, Western Australia, and is the editor and principal writer of the IEA e-zine *Information Overload*. Lorraine is also the current editor of the Australian Record Retention Manual (ARRM). For more information on IEA or to view the newsletter archive, go to www.iea.com.au.

Professional Knowledge of Recordkeepers Defined

By Philip Taylor, MRMA

What makes a recordkeeper? What is expected of a recordkeeper? What skill do recordkeepers require? What is the core knowledge domain of a recordkeeper? As a result of a combined project involving the RMAA and ASA, these questions have been answered by the release of a 'Statement of the Professional Knowledge Required by Recordkeepers.'

In June 2004, during a session dedicated to considering the views of archives and record educators, attendees at the Archives and Records Educators Forum identified the need to define 'exactly what is the body of domain specific professional knowledge that recordkeepers require and that should form the content of courses'.

An outcome of the Forum was the formation of a Joint Education Steering Committee to develop a model. The model was recently released to members for consultation and feedback. The draft document can be found at http://www.rmaa.com.au/docs/branches/nat/pub/forcomment/DraftProfessional%20KnowledgeRequired.pdf.

Similar themes were discussed at the recent RMAA International Convention where there was discussion on the need for recordkeepers to 'have a much wider skills set to ensure their places in the burgeoning information management world.' The review of the 2004 Convention by Mike Steemson, 'Capital Capers in Review', *IQ* November, 2004, identifies the importance of the issue, which was addressed by several speakers.

Identifying the Unique Skills

The statement is an attempt to identify those unique skills that make a recordkeeper a recordkeeper. It identifies the key role of the recordkeeper as 'The trusted and impartial preserver of the memory of society, specifically responsible for:
- Capturing and controlling records.
- Maintaining completeness, reliability and integrity.
- Carrying the records through time and space.'

The core statement is taken from Livia Iacovino, Things in Action -Teaching Law to Recordkeeping Professionals, Ancora Press, Melbourne, 1998, and used with her permission. The core statement give some clues to who we are and what we do but there is still a considerable amount of additional information required before we start to properly understand ourselves.

The statement identifies the core attributes of a recordkeeping professional, what support or subsidiary knowledge is required and what knowledge and skills other professions have which are relevant to recordkeeping.

What's the Use of All This?

Well for a start it reveals much about ourselves. Setting down on paper (or seeing it in electronic format) enables us to identify the things that constitute a recordkeeper.

It not only highlights what skills and attributes should be possessed for those already being called a recordkeeper, but also what skills and attributes are required for those wishing to become a recordkeeper.

Educational institutions should find the skills and attributes a handy reference for ensuring that courses can be mapped against the core skills. For instance, a records manager should have an understanding of administrative context, classification schemes, electronic recordkeeping, understand metadata, be able to establish and maintain recordkeeping systems, know about legislation that impacts on recordkeeping, and understand access arrangements for records - to name just a few of the key skills.

Through this alignment, and using a quality checking process, courses should produce graduates with a variety of specialist skills but also skills like communications and the ability to manage entry to a workforce that today seeks highly skilled and flexible individuals capable of taking on many of the challenges of business. It is also useful for the planning of professional development programs.

In the longer term the values contained in the statement should flow through into job descriptions, duty statements and classification levels attached to positions.

Having a statement of our core professional knowledge also means that we have something that can be shared with the world and assists with a better understanding of what recordkeeping is.

For far to long archivists have been stereotyped as those who scratch around in dusty basements looking for treasures, and the records manager as the person hidden in the office at the end of corridor doing the filing.

This statement is an important step for recordkeeping professionals, for if we do not understand ourselves how will others understand us and what we do? It is our opportunity to define who we are and what we stand for. iQ

The Author

Philip Taylor, MRMA, is Queensland Branch President of the RMAA, and a member of the ASA/RMAA Joint Education Steering Committee.

2004 Sir Rupert Hamer Records Management Awards Announced

The 2004 Sir Rupert Hamer Records Management Awards were the showcase end-of-year event for the records management industry in the state of Victoria. With sponsorship from the Victorian Branch of the Records Management Association of Australasia, the Public Record Office of Victoria (PROV) conducts this annual awards programme in association with the Public Records Advisory Council (PRAC).

The 2004 Awards presentation ceremony took place on Thursday, December 9 in the Yarra Room at Melbourne Town Hall. Judith Ellis, a long-standing member of PRAC, delivered a well received keynote speech, with additional comments from Jeanette Inglis, President RMAA (Vic), and Rachel U'Ren, Convenor, ASA (Vic).

2004 WINNERS

Professor Bill Russell presented the awards to the winners, who were:

Inner Budget

Equal Winners:
Department of Justice, *The Department of Justice EDMS Project*; and Department for Victorian Communities, *Establishing Information Management at DVC*.

Special Award for Innovation: Public Transport Division/Department of Infrastructure, *CCTV Evidence Management Project*.

Local Government

City of Greater Geelong, *Integrated Document Management System*.

Regional/Rural Agency

Gippsland Water, *From Mice to Mouse - EDMS Implementation*.

Small Agency

Victorian Cervical Cytology Registry, *Retention and Disposal Authority for Records of the Victorian Cervical Cytology Registry*.

CERTIFICATES OF COMMENDATION

were awarded in the following categories:

Inner Budget

Department of Sustainability & Environment, *Records Management Audit, Education & Training Program*.

Local Government

City of Whittlesea, *Local Government General Disposal Schedule Email Group*.

IQ extends its warmest congratulations to all awardees.

Objective to Sponsor *IQ* Article of the Year Award

Objective Corporation has signed up to sponsor *IQ* Magazine's Article of the Year Award.

A key player in the supply of enterprise content management (ECM) solutions to the records and information management industry, Objective Corporation is sponsoring *IQ*'s premier award for an article published in this journal, details of which were announced in August last year. The **Objective *IQ* Article of the Year Award** is open to all members of the RMAA. All works by members published in *IQ* between May 2004 and August 2005 automatically become eligible for the inaugural award, which will be announced at the 2005 RMAA International Convention in Perth next September.

Look for more details of the award and Objective's sponsorship in the May issue of *IQ*.

Entries for the RMAA's J Eddis Linton Awards and Jim Shepherd Award open soon.
See the May issue of *IQ* for details.

RMAA Directory

Records Management Association of Australasia

Email contacts: To contact RMAA National officers by email, use addresses such as president@rmaa.com.au or secretary@rmaa.com.au

To contact officers in RMAA branches, create addresses from branch initials as below, for example, nsw@rmaa.com.au or qld@rmaa.com.au

National

President	Chris Fripp	Ph: (02) 9710 0627
CEO	Kate Walker	Ph: 0409 250 795
Postal	PO Box 276 St Helens TAS 7216	

NSW

President	Geoff Smith	Ph: (02) 9645 0102
Secretary	Christopher Colwell	Ph: (02) 9210 3546
Postal	PO Box N767 Grosvenor Pl NSW 1220	

VIC

President	Jeanette Inglis	Ph: (03) 9239 5307
Secretary	Debbie Maggs	Ph: (03) 9217 2290
Postal	GPO Box 1059 Brisbane QLD 4001	

QLD

President	Philip Taylor	Ph: (07) 3365 3140
Secretary	Jennifer Curley	Ph: (07) 3860 2205
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WA

C/- Wendy Daw		Ph: 1800 242 611
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SA

President	Helen Onopko	Ph: (08) 8339 4282
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TAS

President	Kate Walker	Ph: 0409 250 795
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NT

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NZ

President	Helen Hancox	Ph: +64 02 538 9312
Secretary	Alison Midwinter	Ph: +64 04 499 5595
Postal	PO Box 5643 Wellington New Zealand	

From the CEO

I was reading a recent issue of the Association Management journal and came across an interesting article, 'Managing a Professional Body in a Competitive Environment'. It pointed out that the issue of recruitment and retention of members had to be the priority of all membership bodies and associations (that's us).

It went on to say, 'The ability of an organisation to meet this priority starts and finishes with management. Administrators, marketers and other employees although essential, are powerless to perform essential tasks without competent management which in turn should equate to competent leadership.'

To meet the challenge of effective management of resources and offering a range of services, the following strategies were identified that should be implemented:
• A professional journal (as opposed to a newsletter).
• Use email and web technology to initiate and maintain contact with members and potential membership bases on a regular basis.
• Strong, present and pro-active leadership.
• Benefits and services are important if not more important than status issues in regards to value for money.
• A National body needed a physical presence in each state/territory/ jurisdiction to expand and legitimately call itself a peak body.
• National 1300 contact number.
• Training standards protocol.

Applying this to the RMAA operations, it is pleasing to see that, first of all, our Strategic Plan ties in with the factors identified above. Secondly, it is even better to see that we have already achieved and are continuing to achieve member benefits and services, and are continuing to strive to improve them.

In *IQ* we have a great journal, and we've recently undertaken a market analysis and appointed a new production house to further improve its marketability. Since the May 2004 issue we've had a professional editor. This role used to be undertaken on a voluntary basis by our members, but we understand how critical the journal is, and spare time is not something our members usually have, so we engaged the services of a professional. And as you will have seen over recent issues the journal is going from strength to strength.

Our website is a powerful tool. I often receive great comments about how easy it is to navigate and how it takes little time to download. Our website is used as a primary tool for generating interest in possible recruits who are surfing the web, however, we do have a secondary strategy in place to enhance our recruitment process.

The RMAA's new listserv and e-newsletter *Week in Review* are a great cost-effective way of getting information to our members, quickly and regularly.

RMAA is a national (international) body and to ensure members and stakeholders do not feel disadvantaged, a toll free number is provided. More importantly, this access to a toll free number gives members in regional and isolated areas the ability to contact us with east and feel part of the Association.

It is readily acknowledged, that to qualify our membership status standards, we needed to accredit/recognise courses to meet our specifications. Many training providers have now approached the RMAA to have their courses accredited because the have identified the added value RMAA accreditation gives their course. This added value also adds credibility to the RMAA as it again raises our profile to possible members. Our guidelines are currently under review to adjust to the changing demands and requirements.

Future things that are being looked at include conducting a thorough self-assessment of the RMAA, building a solid infrastructure, recognising the importance of relationship building, developing a road-map of the membership experience, creating a culture that values our assets…but this is another story.

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

Kate Walker,
CEO of the Records Management Association of Australasia

Our New Arrival
I would like to extend our heartfelt congratulations to Kristen and Mark Keley (SA) on the birth of their beautiful baby boy James Rhys Keley. James was born 6 weeks prematurely on 28 October 2004. He was 42cm long and weighed 1.83kg (4lbs 1 oz). After a short stay in hospital, James was soon home getting to know his family. We look forward to being able to watch the new generation of recordkeeping professionals develop…. KW

Jill Saunders, Life Member

By Tina Howard, ARMA

Jill Saunders, a long time member of the Tasmanian Branch of the RMAA, a former federal director, past Branch President, and a well known Tasmanian records management identity, was recently made a life member of the Association.

Jill Saunders is presented with her Life Membership by RMAA National President Chris Fripp

Jill Saunders' long career in records management spanned more than forty years. During this time, she made a significant contribution to both the RMAA and the local records management community.

Jill had been working in records management for more than twenty years before the Tasmanian Branch of the RMAA was established. Once the branch was set up, Jill quickly became involved and remained an active branch member up until 2002.

During this time Jill worked tirelessly for the Branch and was highly involved in the Education Committee and was instrumental in organising and presenting short training courses and teaching records management courses at TAFE.

Jill was also a member of the organising committees for two RMAA national conventions held in Hobart. She occupied the position of Branch President from 1999 till 2002.

In 2002 Jill decided it was time to step aside and let younger members take over. Jill is highly respected in the information management community in Tasmania and was always the first person nominated when a committee or project needed a representative who knew about records management.

Before retiring from her post as Records Manager with Tasmania's Department of Environment and Land Management last year, Jill made a significant contribution to the RMAA and the records management industry, and her active involvement will be sadly missed.

When Jill was appointed Tasmania's first Life Member of the RMAA, she spoke at length of her forty-year career in her own amusing style.

(An edited extract from Jill Saunders' delightful and insightful talk, 'Old Records Managers Never Die, They're Just Filed Away,' will appear in the next issue of IQ - Editor.) IQ

RMAA Members' Address Notification

R·M AA
Records Management
Association of Australasia

The RMAA no longer sends out newsletters and notification of events in the post. Instead, details are posted on the Association's web site and notification is sent via email. To update your email address to ensure you receive prompt notifications, call 1800 242 611 during business hours or email admin@rmaa.com.au.

If you don't have regular access to the Internet, and wish a hard copy of notifications sent to you, please complete and return this form to:

**RMAA
GPO Box 1059
Brisbane Qld 4001**

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

Name: .... RMAA Membership No:..

Postal Address: ....

Postcode:............................. Country
(If outside Australia) ....

Portfolios Report

Portfolios - another name for lumping someone with a job? No, a means of moving the Association and the profession forward and to achieve deserved recognition and rewards. Portfolio items, when identified, are listed in our Action Plan if they're not covered in the Strategic Plan.

So, just what does happen to those items that are listed on the National Board's action plan? Are they listed and then ignored, or does somebody actually do something with them?

Well, somebody actually works their little *** off and develops and works through the items. We are, after all, here for our members and in the interest of the profession; the suggestions are raised for a reason.

Previously, individual Directors were responsible for specific Portfolio areas, and in the past their individual reports have appeared in *IQ.* In 2004, Portfolio activities became the responsibility of National Board committees. As a result, for the first time we can bring you this single Portfolios Report.

So, what have we been doing so far this year? Remember, these Portfolio activities are listed in the Action Plan, not necessarily in the Strategic Plan.

Membership
- Reviewed status upgrade guidelines
- Benefits for Members
- Members Only Website

Marketing
- Appointed professional Editor for Informaa Quarterly
- Tender out for publishing services
- Develop poster to demonstrate career path
- Marketing tools
- Conventions/Seminars
- Sought full-time Marketing & Events Manager

Strategic Alliances
- Target 3 industries
- IAM Month / ARM Week
- Develop alliances

Standards and Legislation
- Collate relevant standards and legislation
- Create IT SIG
- SC11 and IT21 involvement

Governance and Ethics
- Board Induction Kit
- Policies & Procedures
- Toolkits
- ASIC Compliance
- Performance Indicators / Review
- Business / Strategic / Operational Plans

Professional Development
- Career books updated
- Formula developed for generic use (events)
- CPD Scheme
- Online resources

Education
- Research Grant
- Course Accreditation

Economics and Finance
- Member Benefits
- Budgeting policy
- Delegations and authorities

These are only some of the things we are doing. If you feel there are other things that we should also be looking at, (in addition to Strategic Plan items), please let the Association's CEO or a National Director know.

RMAA Branch Reports

VIC

Well, our State Seminar on Business Continuity Planning was a great success, despite nearly losing our interstate guest speaker who got lost in them there hills of the beautiful Nilllumbik Shire!! We had already commenced discussion on our 'Speaker Absence - Backup Plan' when he thankfully arrived with 10 minutes spare…

The speakers covered every angle of how to create a BCP, including an ISO15489 compliance framework; the relevant risk matrixes; identifying vital records for immediate business resumption; case study of what really happens to the 'Plan' when a disaster does occur; how to restore/save your records after a disaster; then finished off with a fantastic interactive session which provided a reality check on how many people are actually involved in the disaster recovery processes.

Sandra Ennor, (left), receives her Associate status certificate from RMAA Victoria Branch President Jeanette Inglis at the branch seminar

Caboolture Shire Council (Qld) also very generously shared their papers with their fellow colleagues in Victoria, on a flood they experienced in their offices. They have provided their Disaster Recovery Preparedness Kit, their Kit Costings & Contents Listing, and a Powerpoint presentation on how the disaster was managed. Thank you, Caboolture Shire Council.

The seminar papers are now available on the Members only section of the RMAA website, so leverage off this fantastic collection of knowledge and get your BCP approved and road test it.

Speaking of road testing, the Sir Rupert Hamer Records Management Awards 2004 provided some amazing examples of proven innovative records management practices that are occurring in the State of Victoria. The Victorian branch of the RMAA are the proud sponsors of this annual recognition of excellence in the public sector.

The 2004 Awards were the showcase end-of-year event for the records management industry in Victoria, with the Awards presentation ceremony taking place on December 9 in the beautiful Yarra Room at Melbourne Town Hall. (*See the Awards section of this issue of* IQ *for full details of the winners for 2004.*)

The joint Christmas cocktail party with the ASA Victoria Branch, the Records Management Network members and PROV was a great success, being held at the end of the Hamer Awards presentation ceremony. Our very appreciative thanks go to PROV (under the direction of David Brown) for organising this splendid Christmas event.

The Local Government Chapter held its fourth meeting of the year at the City of Hobsons Bay on October 29, 2004. David Taylor from Privacy Victoria was guest speaker for the day, providing an update on the Information Privacy Act and the issues that have arisen since its implementation.

There were various discussion items on the agenda including VERS implementation, Disaster Recovery Plans, e-mail procedures and the lodgment of planning and building permits online. As always, the topics generated spirited discussion and debate.

Statutory Authority representatives are always warmly invited so we can also be enriched with the experience and challenges they encounter with the different stakeholders that are thrown into their reporting mix.
Cheers.

Jeanette Inglis, ARMA
Victoria Branch President

QLD

As another year begins it is an opportunity to look back on 2004 and reflect on what has happened over the past 12 months.

The branch continues to have a strong membership (currently at 468 members) and active participation in various events and activities. Our professional development program has been well supported and our state conference was another resounding success. The breakfast presentations always attracted a faithful following of early morning risers.

The Queensland Branch met throughout the year and dealt with a wide variety of issues. And to cap it all off our own Kemal Hasandedic was awarded the J Eddis Linton Award for

Excellence in Records Management!

The chapters have also had a busy time with meetings and organising activities for members. The State Government Chapter took the initiative and organised a basic records management skills training course.

We finished off the year with seminars on designing a records management education course and privacy management for records management. The October breakfast presentation by Resource Options on Managing Images and the November breakfasts presentation by Security Shred were well attended. Our thanks to all those who made presentations during the year.

Congratulations to Gavin Parton, ARMA, on gaining his Associate status. Branch members and guests gathered in December for our annual Christmas get together. Good to see so many there and everyone having a great time.

2005 is a significant year in the history of the Queensland Branch as it marks 30 years since the first meeting of the Pilot Committee to consider establishing a Branch of the RMAA in Queensland. On 20 January, 1975 a meeting of interested individuals was organised and a Pilot Committee formed. It took another 12 months for the Branch to be formally established on 9 March, 1976.

Thirty years later, well, we are still here. The Branch will be conducting a number of events over the next 12 months culminating on the 9 March 2006 to mark this important occasion.

Not to rest on our laurels, the branch has been planning another year of activities for 2005. The professional development seminars resume early in the year. The 2005 State Conference, records management week, breakfasts presentations are just some of the things on the agenda for 2005.

Also, planning for the 2006 National Convention in Cairns continues. How many sleeps to go now?

Philip Taylor, MRMA
Queensland Branch President

TAS

Well, dear members, we have almost come to the end of another year (at least when I wrote this) and it is with great pleasure that I am able to report we have recorded a big 'tick' of approval for the many successful events that your branch has presented over the past twelve months.

The 2005 agenda is certainly carrying on from the standard established in 2004, and details of events will be continued to be circulated via email, the listserv and the website.

The branch has contacted other bodies when topics have been deemed to be of interest to them, and it is pleasing to see new faces, new industries and new associations represented at our lunchtime sessions.

Please continue to provide suggestions for topics and speakers to the Branch Council, and we will endeavour to fulfil your request.

The 2004 Christmas Party was a hohoho'ing success. Yes, we had our very own Santa turn up and hand out lots of Christmas presents, kindly donated by sponsors with some very special lucky seats and lucky door prizes on top of that. Our sponsors were very generous and we hope to ensure our

members support for these sponsors. Whilst I am supposed to keep Santa's identity secret, he is mentioned in this report – don't look too far from this line…..

The National President was in attendance to present Jill Saunders with her Life Membership award. (*See report in this issue's RMAA News.*) There were lots of stories, and laughs, as we heard Jill's RMAA life history.

Members enjoyed food and drinks and networking with family and friends in a relaxed atmosphere with no pressures of deadlines.

On a final note, it is with great pride that I let everyone know that little old Tassie has managed to approve close to 10 Associate upgrades this year – our members are finally being recognised for their skills and we hope that we can continue to assist them with their professional development.

I look forward to another successful year with a Branch Council that is inspired to effect positive change within their sphere. Their vision is what gives our branch their strength to continue to develop.

Kate Walker, MRMA
Tasmania Branch President

NT

NT Branch has been unable to arrange functions during the first half of 2004/05 year due to work and family commitments. We are only a small group.

NT Branch will be seeking input from other branches and possibly Federal Board members to assist us in providing more activities and events for 2005.

We hope to be conducting another membership upgrade workshop and a variety of records management workshops and also functions for Archives and Records Management week in May 2005.

I would like to encourage all of our NT corporate members to consider becoming more active in helping with the arrangement and delivery of these activities.

Pat Parry-Jones, ARMA
Northern Territory Branch President

WA

In the last *IQ* we advised that after a bit of turbulent time in relation to members finding time to volunteer to the RMAA, the WA Branch is back on track. Well, that certainly is true. Since then, the branch has held a couple of events which have been fantastically supported, and feedback has been great.

For those unable to attend the 21st International Convention in the ACT, we provided an overview of the convention and we placed these papers on the website.

At our Christmas Party, apart from the usual networking and food and the liquid necessities, we had Judith Ellis present a session on Stakeholder Engagement in Archives and Records. We are working hard to make sure our members have access to

top quality speakers and a diverse range of topics and I know that it is appreciated.

We also undertook a survey of our members to determine just what they want their branch to provide and what are the issues that they face. Some interesting feedback was received with the most requested topic of presentation being 'Promoting Records Management Within Your Organisation.'

The survey highlighted several issues, but again most importantly was the recognition of RM staff as a valuable asset to the company. Information collected from the survey is being used to improve the quality of services to our members.

WA is also the proud branch of the 2003/2004 winner of the J Eddis Linton Awards for Outstanding Group achievement - Fremantle Ports Authority was announced the winner of this category at the 21st International Convention – a category we hear was highly contested and of great quality. Well done FPA!

These awards are the pinnacle awards in the Association, and we encourage you to nominate persons and organisations who you feel excel in the industry – just go to the RMAA website and you'll find the nomination forms, etc.

The final bit of news, something you will just continue to hear and see much about, is the 22nd RMAA International Convention being held in Perth on 11-14 September 2005.

The Convention theme 'Expanding Horizons' is intended to demonstrate the changing focus and view of records management, looking at traditional records management theories and practices, investigating other less traditional areas of records management and discussing where are we going in records management, what influences are out there for us and what skills we will need to meet the challenge.

We invite all local delegates, as well as those from interstate and overseas to our friendly city, where you will be assured of a warm and hospitable reception. The venue for the Convention is the magnificent new Perth Convention Exhibition Centre, located on the City's doorstep overlooking our sparkling Swan River and within walking distance of a host of Perth's leading hotels.

We look forward to making everyone welcome and hope you have an enjoyable time in the most exciting and fastest growing state in Australia, while increasing your knowledge in our ever-evolving industry.

RMAA Western Australia Branch

NSW

2004 is now but a memory, a year of work, enjoyment and RMAA. It had been a busy year for us in NSW with another busy year ahead as we seek to plan activities, meetings etc.

Our November meeting saw David Roberts, Director of State Records NSW bring us an update on what was happening with the review of the State Records Act. We looked at what was involved in becoming a professional member of the Association, the Peter A Smith Awards, and were provided with some very helpful and most useful feedback from attendees to help us plan for 2005.

The Christmas Party at Tattersall's went very well indeed and my thanks to Toni Anderson and David Pallot on their work in organising. We had a very useful meeting earlier to

look at a program for next year including a Trade Expo with seminars in May to coincide with ARM Week.

In late November I attended the Strategic Issues for EDRM in Government conference in Canberra on behalf of the RMAA, where I spoke and took part in a panel discussion. It was good to see a number of familiar, friendly faces in the audience.

In February I have been asked to take two sessions and chair one day of an Unstructured Information conference in Singapore and in March IIR wil be holding it's 11th Annual EDRM Conference, this time in Sydney. The RMAA has been involved in these IIR conferences for the last seven or eight years and are now part of organising the program for that event.

In early November the ISO Committee on Records Management met in Sydney. Apart from the meetings as part of that, the National Archives hosted with State Records a reception and seminar on the Tuesday evening after which the committee members were taken to dinner. On the Thursday the delegates attended a reception for the 50th Anniversary of the University of Sydney Archives. Two of the delegates on the Friday visited National Archives in Sydney, then Sutherland Council.

And before signing off, I should say bon voyage to Rowena Loo of State Records NSW, who has now moved to Queensland to work with the Queensland State Archives.

I trust 2005 proves a great year for you and the profession.

Geoff Smith, ARMA
New South Wales Branch President

NZ

Great times for NZ Branch: Front-page fame in *Informaa Quarterly*, another ARMA upgrade, a second, bigger, better Recordkeeping Vendor Showcase success looming, membership soaring. It's all go in Kiwiland.

You can't have missed our four covergirls in the last *IQ*. Overtopped by the vast, vivacious volume of Queensland's cheery Kemal Hasandedic, MRMA, the four were quite properly identified on Page 3 as "Suzie Patrick of Dunedin and Lynn Williams, Lavina Edwin and Philippa Fogarty, all of Wellington". A good looking bunch, eh?

We thought you'd like to get to know them better. **Suzie Patrick** is boss of her own information management consultancy, Projex Unlimited Ltd, based in the Dunedin suburb of St Clair but spends most of her time whizzing around the country on records fire-fighting missions. She started up the company after serving her time in the information management section of Dunedin City Council.

She's small and savvy, and built for speed. A bit more than a year ago she won the NZ National Bodybuilding Championship for her weight (56 kg, but don't let on I told you!).

You may have heard **Lynn Williams**, ARMA, at the Canberra conference presenting common sense advice on competencies for recordkeepers. She's Manager of Wellington's SWIM Recruitment Services, a mother of six and grandmother of eight.

Her first career was as a secondary school teacher in home and general science, plus senior school biology and chemistry. She began information management as a public library

cataloguer in the '80s and joined the capital's information management consultancy SWIM Ltd a couple of years ago.

Lavina Edwin, ARMA, and **Philippa Fogarty** are both consultants with SWIM Ltd, too. SWIM, by the way, is the acronym for Skudder Wilson Information Management, named by the founding partners, Dr Susan Skudder, ARMA, and Liz Scott-Wilson.

Lavina, the brunet and the tallest in the cover-page Kiwi Quartet, (she just tops Kemal's shoulder, did you notice?), is a consultant in a wide range of information management areas such as classification structures, retention and disposal, EDM, and policies and procedures. Formerly, she was Team Leader in the NZ Department of Labour's Information Centre and Business Advisor for its Occupational Safety and Health Information Services

Philippa is a senior consultant specialising in information strategy and privacy. She was formerly with the NZ Ministry of Justice where she worked on the ground-breaking *Justice Sector Information Strategy* and, in 1997, compiled the guidebook *Managing Your Information*.

Pretty good bunch of Kiwi expertise. Branch Councillor Mike Steemson, ARMA, took the *IQ* cover picture during the Canberra convention's masked ball.

Success Story for Jean Cavaney

The NZ professional success has been for Jean Cavaney, now an Associate Member. We plan to present her certificate at the members' meeting in February. For the past year or so, Jean has been Document Management Advisor to Environment Waikato, the regional council for the lush farming districts bordering North Island's Waikato River. She returned to Wellington at the end of the year.

Less good news is that our Vice-President, Micky Stevens, ARMA, has resigned from the Council for personal reasons. The Council has expressed its sadness at her departure and grateful thanks for her participation in the branch's management.

Happily, she stays in the Association and was one of our highly successful presenters at members' lunchtime meetings. Her paper, *The True Costs and Changes of EDMS*, drew the nowadays regular big crowd at the branch's "Second Tuesday" buffet lunch events in the NZ Treasury conference suite. It was 2004's last lunchtime meeting.

To wind up the year, the branch joined with the Archives and Records Association of NZ (ARANZ) for a Christmas beano at a tiny, backyard showplace, the privately-owned Time Cinema in eastern Wellington. Members of the two societies mingled and toasted the year before enjoying a showing of the Marx Brothers' classic 1930's comedy *Duck Soup*.

Well, it was their choice!

Auckland Chapter's Winning Ways

The Auckland Chapter, under the leadership of Branch Director David Pryde, ARMA, scored another success with its exclusive seminar on taxonomy fronted by the dashing duopoly, Eddy Wilkinson and Conni Christensen, Sydney's Synercon management consultants in town to meet President David's organisation, North Shore City Council.

Once again, the event attracted many new faces, all potential members. The chapter is heavily involved with organising next year's Recordkeeping Vendors Showcase to be held in March at the big Ellerslie Convention Centre, just outside the CBD traffic jams.

Suppliers are showing great interest and the convenor, Auckland City Council archivist Sarah McAlley, reports that the vendor presentation slots are being snapped up.

And, talking of numbers, our membership convenor, Fiona Staples, reported to the year's last Branch Council meeting that membership had jumped around 15 percent up to 177 in the first 10 months of the year. We'll be able to report even better figures for the whole year.

Public Records Bill Submission
The NZ Public Records Bill was passed to a Parliamentary Select Committee after its first reading in the House of Representatives. The NZ Branch prepared its own submission, convened and co-ordinated by Branch Councillor Deirdre Wogan, ARMA, to the Select Committee.

The submission may be viewed on the RMAA Website in the NZ Branch section of the Members' Only pages. Deirdre warns that the document is private between RMAA members and the Select Committee and, until the paper is presented at

the Committee hearings, its details should not be made public.

The Branch Council has been reduced in size by various departures in the past few months and I shall not be standing for re-election this year. We are therefore in heavy recruiting mode for new Council blood. Any and all offers will be viewed with great interest.
Helen Hancox, ARMA
New Zealand Branch President

ACT, SA

No Reports Received

Coming Up

In The MAY 2005 ISSUE OF *IQ…*

- **Focus On CORPORATE GOVERNANCE**

  From the File Room to the Courtroom

  Computer Forensics

  Are You a Sentry or a Censor?

  The Case for the Whistleblower

  Surviving in the IT Governance Jungle

- **INDEXING THE FUTURE OF INFORMATION**

- **OLD RECORDKEEPERS NEVER DIE, THEY'RE JUST FILED AWAY**

- **2005-2006 RM CALENDAR OF EVENTS**

Editorial submissions for the May 2005 issue of *InfoRMAA Quarterly* close on **April 1, 2005**. To have your event included in the July-June Calendar of Events, email the details to admin@rmaa.com.au by the same deadline.

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