



# 'THE **informaa**' *Quarterly*

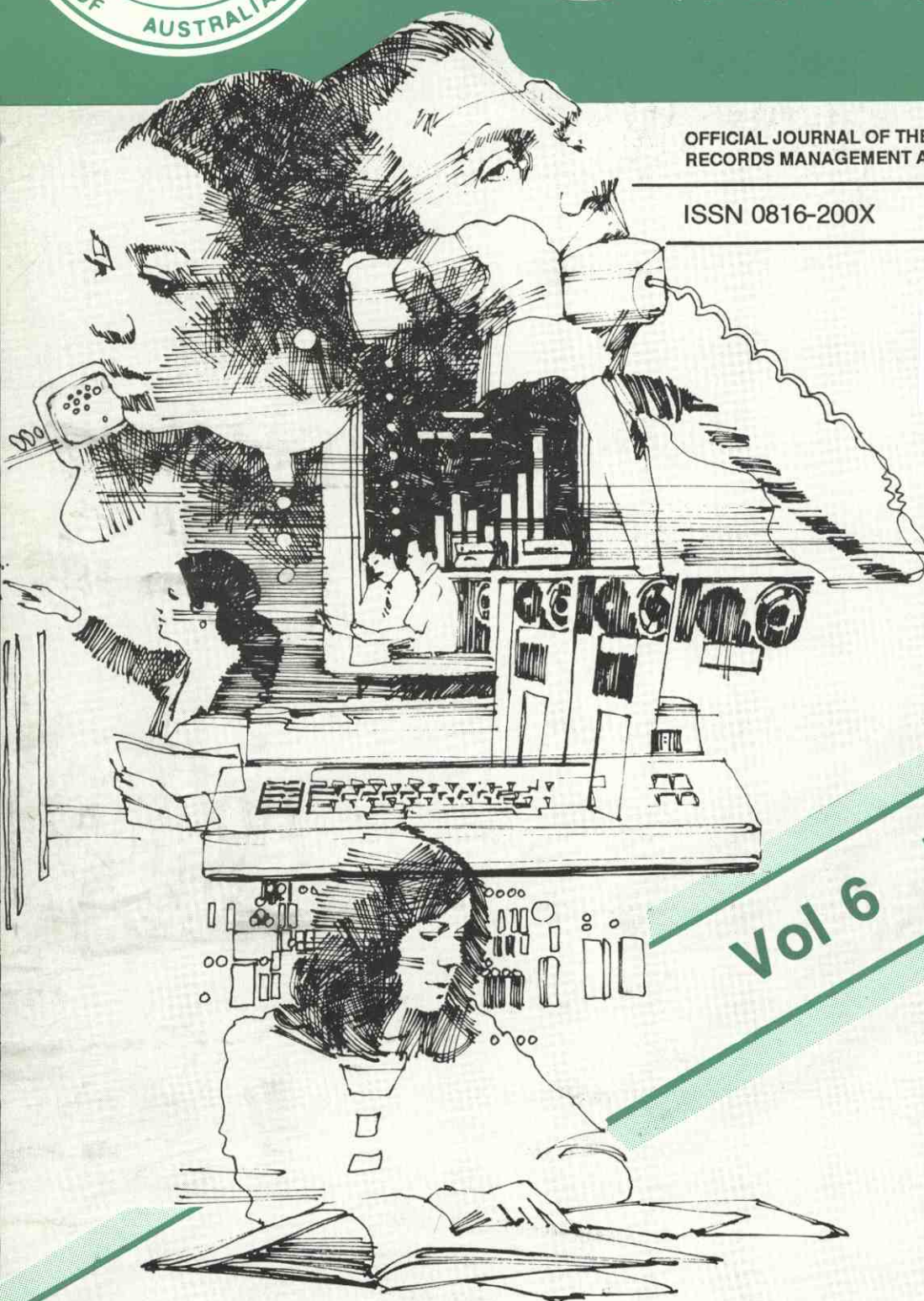
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## **EDITORIAL NOTES**

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## Letter to the Editor:

### "The Informaa Quarterly"

I read with interest the article "Look, Dad, our Eddie is the Only One in Step" by J Eddis Linton.

Medical Record Administrators are "experts" in Disease and Procedure Classifications for use in health institutions. Public hospitals in NSW utilise the International Classification of Diseases 9th Revision Clinical Modification and the International Classification of Producedures in Medicine. Some Private Hospitals complete their own "Coding" and the various Health Statistics Units in Area Health Services and Department of Health complete the remainder. The former text "classifies" diseases into "classes" ie:

- 1 Infectious and Parasitic Diseases
- 2 Neoplasms
- 3 Endocrine, Nutritional, and Metabolic Diseases and Immunity Disorders
- 4 Diseases of the Blood and Blood-Forming Organs
- 5 Mental Disorders
- 6 Diseases of the Nervous System and Sense Organs
- 7 Diseases of the Circulatory System
- 8 Diseases of the Respiratory System
- 9 Diseases of the Digestive System
- 10 Diseases of the Genito urinary System
- 11 Complications of Pregnancy, Childbirth and the Puerperium
- 12 Diseases of the Skin and Subcutaneous Tissue
- 13 Diseases of the Musculoskeletal System and Connective Tissue
- 14 Congenital Anomalies
- 15 Certain Conditions Originating in the Perinatal Period
- 16 Symptoms, Signs and Ill-Defined Conditions
- 17 Injury and Poisoning

The latter text classifies procedures into:

- 1 Operation on the Nervous System
- 2 " " " Endocrine "
- 3 " " " Eye
- 4 " " " Ear
- 5 " " " Nose, mouth and Pharynx
- 6 " " " Respiratory System
- 7 " " " Cardiovascular System
- 8 " " " Hemic and Lymphatic System
- 9 " " " Digestive System
- 10 " " " Urinary System
- 11 " " " Male Genital Organs
- 12 " " " Female " "
- 13 Obstetrical Procedures
- 14 Operations on the Musculoskeletal System
- 15 " " " Integumentary System
- 16 Miscellaneous Diagnostic and Therapeutic Procedures

All discharges and deaths in Private and Public Hospitals in NSW are assigned codes. This allows ease of retrieval of patients who have had the requested diseases and/or procedures. Record Clerks can then retrieve the medical records of these patients for research and epidemiological purposes.

*Cassandra Rodley  
Medical Records Administrator  
Hunter Area Health Service  
Locked Bag 1  
NEW LAMBTON NSW 2305*

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Dear Editor

In August of 1989 I forwarded you a gratis copy of our publication, The Records Management handbook, for review within the February 1990 issue of The Informaa.

I am writing to advise you that since that time the book has undergone reprint. Subsequently, the price of the book is now \$93.00. Therefore, could you please arrange for the new price to be noted in the review.

In addition, we have moved premises to the following address:

**Gower Publishing Australia**

Units 1- 6 Level 2  
100 Harris Street  
Pyrmont NSW 2009

Phone: (02) 552 2366 Fax: (02) 552 1905

It would be most appreciated if you could document these changes.

Thank you for your assistance.

I look forward to receiving a copy of the review when it is published.

Yours sincerely  
*Helen Littleton*  
Marketing Assistant  
15th January 1990

Dear Editor,

Please allow me to reply to Mr. Linton's imperious censure of TENCODE.

Alas, his didactic assault comes too late for Local Government. Queensland Local Government has waited too long for someone (anyone) to roll up the sleeves and do the real work of exhaustive classification. I have personally waited for 33 years. The problem

demanded solution by someone with an exhaustive overview, someone from the inside, and someone at the very top of Local Government administration.

You can use Keywords with a companion thesaurus, or you can use TENCODE with the thesaurus built in. Either way, the critical factor is not the file nomenclature. It's the quality of classification and the extent of classification. If it is totally accurate, it must of course be exhaustive.

In dealing with the unusual diversity and subtle abstractions in municipal material, the control of descriptors is difficult unless we forsake the cryptic conciseness beloved of DP contractors. The catalogue method is immeasurably superior and leaves no room for error.

As for comparing Dewey with TENCODE, what can I say? It's like trying to compare a Britannica index with the Kochel catalogue of Mozart. The first is always open ended, always incomplete, written by generalists, the latter is exhaustive and definitive, and written by a specialist.

As to the rest of Mr Linton's unfortunate diatribe let me just say two things:

(1) TENCODE will be the **first** universal classification model for Local Government records in Queensland; and,

(2) TENCODE will be the **first** Local Government classification to be exhaustive.

Brian Hunter has 31 years experience at senior executive level in Local Government. In 1988, He resigned as Town Clerk of the City of Gladstone to start Hunter Consulting, Queensland's first full time Local Government management consultancy. He was recently appointed a Commission of EARC (the Electoral and Administrative Review Commission) the primary reform body established pursuant to the Fitzgerald Enquiry in Queensland.

*Brian Hunter*  
GLADSTONE  
26/4/90





**RECORDS  
MANAGEMENT ASSOCIATION  
OF AUSTRALIA**

INCORPORATED IN A.C.T. UNDER SECTION 24.

**FEDERAL PRESIDENT'S ADDRESS**

**FEDERAL COUNCILLORS**

"The Federal Council will be composed of two members holding professional status from each branch council. Each Branch Council shall be the 31st of July each year appoint its members to Federal Council. These Federal Councillors are then registered with Corporate Affairs in Canberra by the Public Officer and become Directors of "The Company", The Records Management Association of Australia." Taken from the Memorandum and Articles of Association.

Federal Councillors are appointed by each State Branch Council to ensure that the interests of the State that they represent are protected. The Council is democratic, items listed for discussion are circulated by the Federal Secretary in Agenda Reports at least four times a year enabling matters for discussion to be reported to Branch Council and then a reply returned to the Federal Secretary for inclusion in the next agenda report. Items not resolved or new items are then discussed at Federal Council meetings held annually in conjunction with National Conferences. In all cases the items are voted on, with the President having the casting vote, if necessary.

Once elected to the position of Federal Councillor, that Councillor cannot hold any one office for more than three terms, except the position of Federal Secretary. Branch Councils should consider very carefully the election of Federal Councillors. To ensure consistency a Branch Councillor should make a long term commitment to support the Branch and the Federal Council. In my experience it takes at least two years to learn the Articles of Association and the workings of the Federal Council. To ensure continuity replacement Federal Councillors should be elected in different years.

A Federal Councillor being a Director in "The Company" should be prepared to support the Federal Council in undertaking allocated work for the Council, preparing submissions to Council that reflect the views and wishes of their Branch Council. A Federal Councillor should be appointed for the work they will perform not as a reward for past work within the Branch. Consideration should be given to electing people whom the Branch Councillors would be happy having as a Director in any Company in which they had a financial share holding in. A Federal Councillor should be prepared to work as a team with other Federal Councillors, ensuring that the common goal is the smooth, efficient, effective running of the Records Management Association of Australia.

I recommend to all professional members of the Association the need to closely monitor the activities of their Federal Councillors. Question the position and activities of each Federal Councillor and ensure that work allocated to your state Federal Councillors is being completed on time, offer assistance where needed or form committees or small groups to assist in preparing submission to the Federal Council.

It is important to remember that it is an honour to be elected a Federal Councillor representing your state. With such honour comes commitment and responsibilities.

*Graham Dudley  
Federal President.  
April. 17th. 1990*

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## STATE NEWS

### Tasmanian Branch

#### TASMANIAN PRESIDENT'S REPORT

It is now three years since the inaugural meeting of the RMAA in Hobart on 20th February, 1987. Since its formation, the Branch has continued to grow and now has a membership of 118. The majority of our members are employed by Local Government, Commonwealth Government and State Government Agencies.

During these three years the Branch has increased the status of Records Managers and the awareness of the importance of Records Management to organisation.

The promotion of Records Management in all areas of the State is an objective of the Branch for 1990/91. A function was held in Launceston on the 1st May 1990 to launch RMAA in the North of the State. It is hoped that a northern chapter will be formed which will include the northern and north-west coast areas.

The Tasmanian Branch is committed to improving the status of Records Management Staff and have tasked our Education Committee with the further development of training for Records Management Staff. In particular the development and implementation of Diploma and Certificate Courses in Records and Information Management through an accredited education institution in Tasmania. A submission has been presented to the State's Director of Further Education. It is hoped that Records Management subjects will be offered as part of a Business Management Course in Tasmanian Technical Colleges in 1991.

A two day Seminar and Office Expo is being organised by the Branch, to be held at the Sheraton - Hobart on the 18th and 19th July, 1990. Papers will be presented by both local and interstate speakers, which will give members and their colleagues the opportunity to hear expert speakers and view the latest in Records Management and office equipment and products.

The combination of producing this edition of the INFORMAA together with the Seminar and Office Expo has meant a heavy workload for many Branch Councillors.

I would like to thank members of both Committees for their efforts and congratulate the Publicity Committee on the production of this edition of the INFORMAA.



*Tina Howard ARMA*

### NSW Branch Report.

1990 is proving a year of change for the NSW Branch.

Whilst Branch Membership remains strong, participation in Branch activities seems to be restricted to "old faithfuls".

We have moved premises to History House in Macquarie Street which is providing superior accommodation.

The March conference at Holroyd Centre:- working smarter not harder, was a great success drawing participants in from across the Sydney Region.

We have a solid schedule planned between now and July 1990: The Council is hoping to encourage new participants onto the executive

*Fiona Meyer  
Branch President*

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## Victorian Branch

To the graduates of the records courses held in Victoria in 1989, well done and we hope this is your first step in a long and rewarding career in Records Management.

Education continues to be the aim of the Victorian Branch in 1990 as the Branch Council considers true professional status will not be achieved without education and it is very encouraging to see our numbers up in 1990 -

- (1) Certificate of Records Administration  
Pahran  
New students enroled in 1990 : 17  
Returning students 1990 : 12
- (2) Graduate diploma in Information  
Management  
(Archives and Records) Melbourne  
University  
47 Students enroled 1990, this is the full  
quota for 1990.
- (3) Archives and Records Management  
(Masters and Diploma)  
Monash University  
8 New Students

The Victorian Branch Council decided at its meeting held on the 13th March, 1990, to sponsor an annual award for the top student of the Records Management Study components who are enroled in each of the courses conducted at Pahran College, Melbourne University and Monash University.

Training courses in Records Management are being conducted throughout Victoria during 1990, courses contain training in indexing, classifying, retention, disposal, barcoding and computer system. Contact Mr Gary Omond of Victorian and Local Government Records Management Consultants on 7010667 for details.

A number of seminars and workshops have been planned for 1990 -

- (1) Mr Ian Watt National Manager MSS  
subject off site storage  
8 May 1990

- (2) One day workshop entitled  
"On the - Cheap"  
Every aspect of obtaining PC's filing,  
shelving RM System etc at Lower 'prices'  
June 1990
- (3) Annual general meeting, dinner and 1/2 day  
workshop  
July 1990
- (4) National Conference in Brisbane  
11th-14th September 1990  
"Details in February 1990 Informaa  
Quarterly"
- (5) 1/2 Day review of the National Conference  
in Brisbane and discussion on some of the  
Papers Presented October 1990

Remember if you have any problems or suggestions regarding any aspect of Records Management, please contact our Girl Friday on 4173738 and we will contact you as soon as possible.

*BILL WILLIAMS  
President  
Victorian Branch*

## S.A. Branch

Since the previous report members of the South Australian Branch have been working towards the running of a one day seminar on the legal aspects of Records Management. This seminar will cover both Commonwealth and State legislation, including SA FOI and Privacy Legislation which has implications for Records Managers.

Among the speakers will be the Privacy Commissioner, Mr Kevin O'Connor and representatives from both Federal and State Attorney General's Departments.

The seminar is planned for 5 June 1990 at Adelaide's new Hindley International Hotel.

Brochures are expected to be distributed in late April.



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Also on our plans are demonstrations of new Records Management systems. SA Branch members will be informed of details later.

The South Australian Branch has managed to arrange a telephone answering service. This will enable us to promote a higher profile by advertising our existence in the yellow pages. The South Australian Branch can now be contacted by phone and messages left for councillors by phoning:

**(08) 269 0100**

Two of our Branch Councillors have undergone moves in their careers. Firstly Tony Aldous returned to Australian Archives after a period with the Australian Submarine Corporation. Tony should now be able to involve himself more in Branch Council activities. Kate Houreld has a new job with CSIRO after a brief interlude in landscape gardening.

*Andrew Wood  
President SA Branch.*

## **A.C.T. Branch**

The past few months have been extremely busy but very rewarding for the Branch and our calendar of events for forthcoming months is filling rapidly.

In March we held a full day seminar entitled "Storage Media and the Law". The seminar was a great success and was attended by 250 people, many of whom were not RMAA members.

The April seminar was conducted by Bell and Howell and looked at the use of optical disk and micrographics for Records Management.

As part of the Branch's commitment to education, the Branch will be holding a one-day workshop on Documenting Procedures, later in April.

Forthcoming seminars include:

Future Directions in Records Management Training

The impact of multiskilling, devolution and restructuring in the workplace

Australian Archives - New Directions in Disposal

Electronic Mail.

The ACT Branch recently provided \$1000-00 sponsorship to the Australian Society of Archivists to assist with their ACT Heritage Week activities.

*Ross Thompson  
President*

## **Northern Territory Branch**

The N.T. Branch has had a busy and productive start to 1990 with an influx of interstate visitors we have been able to attend some very informative seminars. The seminars have included:

- Privacy Commissioner - Privacy Legislation Seminar
- Department of Administrative Services - Recycled Paper Seminar
- Computer Micrographic Services - Optical Disk Storage Systems Seminar and Display

In April a representative from Intermec Australia will be holding a Seminar and display of bar-code equipment. This will be of great interest to N.T. Government Departments as the N.T. Government Computing Centre is replacing the current Records Management System with RMS/STATUS and bar-coding is one of the facilities.

The N.T. University is holding a range of Records Management Courses from April through to June and the Records Management Office of N.S.W. as agreed to send a team to the Territory to hold courses in both Darwin and

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Alice Springs. These courses will be held over a two week period in July-August. It is great to see educational courses being held in the Territory at long last.

On top of all the hard work we have still managed to socialise and the two major events recently celebrated was Judy watts, one of our Federal Directors, who celebrated 20 years working in Records Management and Gloria Corliss, our Workshop Committee Chairperson, who has left for a three month tour of Europe.

In conclusion I would like to assure all other Branches that Records Management in the Northern Territory is alive, well and thriving.

*Cheers!*



*"A relaxed Northern Territory President"  
Lorraine Baulch  
N.T. Branch President*

## Queensland Branch Report

The major focus of effort for the Queensland Branch this year is the organisation of the 7th national convention in September. Planning continues to go exceptionally well under the chairmanship of Murray Stewart.

Registration details can be found elsewhere in this Quarterly INFORMAA.

The Trade Display is generating a lot of interest. Over 25% of the available booths have been reserved by our regular exhibitors and indications are that over 50% will be reserved by the time this publication goes to press.

Organisations wishing to participate in the Trade Display at the 7th National Convention in Brisbane should take action immediately to ensure that they don't miss the opportunity.

Another corporate opportunity exists for companies to sponsor various activities at the convention. Just imagine the prestige of having your company's name being the major sponsor of the Convention Dinner, the motivation breakfast, the trade cocktails or some of the other interesting activities that the Committee has lined up.

Full particulars on both Trade Display and Sponsorship can be obtained from  
**ORGANISERS AUSTRALIA, PO BOX 1213,  
MILTON QLD 4064, PHONE (07) 369 7866.**

Membership is continually on the increase with current membership levels standing at

Members	2
Life Members (With Member Status)	1
Associates	38
Affiliates	24
Corporate	65
Corporate Nominees (With Associate Status)	9
(With Life Membership & Associate Status)	1
(Other Nominees)	165
Retired	9
Total	314

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The branch will be participating in the careers market to be held in July by manning a booth and providing brochures for distribution to enquiries.

On the education scene, our education chairman Harry Haxton, has been involved in developing a course for trainee teachers in the basic principles of records management.



*RMAA (Queensland Branch) Councillors 1989/90*

Front Row (from left to right):

Robyn May, Wendy Morris, Jackie Elliott

Back Row (from left to right):

John Goodell, Micheal Hangan, Terry Tolhurst, Murray Stewart, Russel Fraser, Allan Kavanagh

Missing from this happy group are:

Jim Shepherd, Harry Haxton, Christopher Whinnett, Terry Kelly and Clive Finter.

## Western Australian Branch

The new year has seen an active push by the Education Committee of the Branch to improve the status of the records management units offered through TAFE. This has been frustrating for all involved with little or no commitment from the students. We are hoping that the proposed national meeting of Education Chairpersons in June may provide us with some ideas and support as to how best to handle this situation.

It has been decided by Council that the monthly general meetings should become bimonthly and

occur on the alternate month to the release of the Informaa Newsletter. It is hoped that this coupled with alternate lunch and evening meetings may encourage more members to attend. The February meeting, the first for the year, was held in the evening and was well attended. It provided an insight into the workings of Australia Post, particularly the automation being applied to the postal system. Future meetings planned are on the topics of:

- Records management in an international perspective.
- A tour of the new commercial repository purpose built for Brambles Records Management.
- Micrographic systems.

The Council is also considering the organisation of a post-conference seminar, particularly for those in WA who are unable to attend the Brisbane Conference. The topic of Optical Disks and their role in Archival Disposition is currently being considered.

The Informaa Newsletter is flourishing under the control of Neil Granland who has been instrumental in organising advertising for each edition as well as the production of coloured photographs and putting the whole thing together.

The Council has now put the Perth Conference to bed with the submission of the Conference accounts to the auditors. We believe, given the

circumstances, that the conference was successful. We are now putting all our support behind the organisers for the Brisbane Conference by encouraging members to attend.

The Council is always seeking new members and Ken Ridley and Neil Granland have been working hard to promote the RMAA and encourage people to join. In addition, we have been promoting the RMAA in an effort to achieve a higher number of professional members. We are particularly concerned at the number of people offering training courses and consulting services in the field of records management who do not hold professional status with the Association.

] A date has been set for the AGM. It is planned for 17 July 1990. It will be an early evening event.

*Shirley R. Cowcher  
Secretary  
9th April 1990*



*LEFT: Shirley R. Cowcher - Secretary RIGHT: Marita D. Hoo - Education Chairperson  
Membership, Status & Standards Chairperson*

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## INTERNATIONAL RECORDS MANAGEMENT COUNCIL

In the March 1989 edition of the RMAA INFORMAA Quarterly, Peter Smith gave us all a Brief on the aims and objectives of the International Records Management Council.

The Records Management Association of Australia is a member of the IRMC and as such we should all have an interest in what is happening in other parts of the world insofar as records and information management is concerned, particularly in the underdeveloped countries.

During 1989,. both Peter Smith and Graham Dudley presented papers at the 3rd National Convention of the Philippines Records Management Association, and at that particular time the Philippines was considered as being an underdeveloped country, so much so that the Assistant Secretary of the Department of Agriculture was quoted as saying "Past and recent experiences in records management show that practically nothing has changed for the past 31 years and that the records manager has become an endangered specie, mainly because of the failure of us all to appreciate his or her role in records management development". I think there is one very clear message from that statement and that is **HELP!**

The 1989 RMAA convention theme "Excellence in Communication" was very appropriate, and we in Australia can help to improve the situation overseas by offering our professional help. That help can come from two sources;

- (a) by the presentation of papers through the medium of video recording, as was the case at the Perth Convention or
- (b) by writing articles for inclusion in the IRMC Journal.

It is well known that the RMAA is fortunate to have as its members some excellent Records Managers and Consultants and the quality of their work is highly regarded, so come on Australia, how about strutting your stuff overseas as well!, past attempts to encourage

members to write articles for the IRMC Journal have sometimes fallen on deaf ears, I sincerely hope that won't be the case in the future.

Dialogue has already been exchanged with interested parties in New Zealand and Brunei regarding records management activities, and they have been invited to submit articles for inclusion in both the IRMC Journal as well as the RMAA INFORMAA Quarterly, I will continue to shop around the other countries within the Australia/Oceania Region for input as well.

The IRMC will be holding their mid year Executive Meeting in the United States in either June or July of this year and as soon as I receive the Minutes of that Meeting I will report back to you all accordingly.

As the Area V.P, I am also responsible for providing a Monthly and Quarterly Report, and I would appreciate your advice about significant activities and any forthcoming records management events that may be happening in your State or Territory.

Articles for inclusion in the IRMC Journal and other significant State/Territory Reports can be forwarded to me

c/- of the Northern Territory University,  
PO BOX 40146  
CASUARINA  
N.T. 0811.

Ray Holswich. ARMA  
Area Vice President  
Australia and Oceania

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## FEDERAL NEWS

### REPORT OF THE FIRST FEDERAL EXECUTIVE MEETING

The first meeting took place in Sydney, Saturday, 17th March, 1990 and was attended by the following Federal Executive members -

Mr. Graham Dudley	(W.A.)
Mr. Phillip Taylor	(VIC)
Mr. Jim Shepherd	(QLD)
Mr. Ross Thompson	(A.C.T)
Mr. Murray Stewart	(QLD)

A report will be published following each meeting, in the Informaa Quarterly, to keep members informed.

With these meetings, the Federal Directors' meetings will not need to be as long as they have been in the past and it is hoped that decisions can be reached in shorter time-frames.

I submit this report as an abstract of the minutes.

### Banking and Investment of Funds

Mr Jim Shepherd, Federal Treasurer, has been conducting meetings with various financial businesses, with a view to having the Association's funds managed more effectively and where they are working for the members.

This action does not mean State Branches will lose control of their individual accounts. It is simply efficient business sense to have a Fund Management Plan.

Investigations reveals a variety of Banks being used, with varying amounts of interest being earned. These accounts, when looked at in isolation do not attract better rates, but on a national basis, prove attractive to Banks.

A report on this investigation will be presented to Federal Council before a final decision is made.

### Credit Card Facilities

As part of the 7th National Convention, credit card facilities are available for payment of registration fees.

A report on the success or otherwise of this will be made to Federal Directors' meeting in Brisbane in September, and a recommendation will be made whether to continue or not.

### Australian Airlines Flight Deck Membership

Negotiations are continuing on this subject, but progress to date has been slow due to communications between State and National sales offices. The Federal Secretary is preparing a Position Paper for presentation to Federal Council.

### Draft Regulations

As more Branches conduct Training Courses and Seminars, which require entering into formal or informal agreements with organisations or indeed individuals, it has been decided that a method of protecting the Association's interests is necessary.

Guidelines for the conduct of State Workshops and Seminars were formulated and processed as a new Regulation.

Also, another draft regulation was tabled formalising the Federal Executive Committee.

All regulations are being circulated to Federal Directors and will be published following their decision.



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## **Sponsorship of an Overseas Student**

Sponsorship was discussed at length, but there appears to be problems, including those which were experienced by 6th National Convention participants.

These problems need to be addressed and Federal Executive is taking action to ensure no such hurdles still exist before such an undertaking is finally decided.

## **RMAA Flag**

A motion was passed to produce a RMAA Flag and that alongside the National Flag, it be displayed at each National Convention.

The Flags are to be handed over to each subsequent Organising Committee as part of the Official Closing Ceremony.

## **Review of Memorandum of Articles**

Federal Vice-President, Phillip Taylor, reported good progress on the review.

A draft document and position paper will be presented to the Annual General Meeting in September 1990.

This task is not an easy one. Phillip has given the task his priority and this was evident by the length of his report to the meeting.

## **Index to Informaa Quarterly**

The Victorian Branch tabled a draft index of the Informaa Quarterly. This publication would be mandatory for all interested in Records Management and it is hoped to be able to present it as a supplement to a magazine or publish it as separate reading. I am sure all members will look forward to its appearance.

## **Work Practises and Award Restructuring**

Federal Government Departments and Agencies have been through the exercise of Award

Restructuring and as it will ultimately involve all aspects of industry, it has been decided to approach the ACT Branch to undertake the investigation of the total impact on the Records Management profession.

Identification for the issues involved and what can be done are vital to our industry and its existence as a professional career.

## **National Billing**

A quotation has been received from an organisation to undertake national billing. I am working towards a final paper which will be placed before the next Federal Executive Meeting.

## **Association Insurance**

Insurance to cover all aspects of Association business dealings, equipment, records and travel is being sought. This cover will protect those Councillors who are required to attend meetings, damage and replacement of equipment and records and most, importantly, Professional Indemnity.

It is anticipated that agreement will be reached shortly and a final report published for the information of members.

## **Federal Executive Meeting**

The next meeting of the Executive has been set down for Saturday, 19th May, 1990 in Sydney.

## **Summary**

I would like to point out that the meeting lasted eight (8) hours. The aim of the meetings is to prevent long meetings each September, involving the entire Federal Council, reporting to members on a quarterly basis, ensuring you are informed as to what events are occurring within the Association.

*Murray Stewart ARMA  
Federal Secretary*

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## INTERNATIONAL LITERACY YEAR 1990.

International literacy year was launched at the start of the World Decade for Cultural Development under the auspices of the United Nations and Unesco. World wide 38% of an estimated 475 million students who enrolled at primary schools in 1985 will remain illiterate. Around 98% of illiterates in the world live in developing countries. Nearly two thirds of these are women, a majority live in rural areas. If present trends continue, there will be well over 900 million illiterates by the end of the century.

The International Association of Arts jury selected this logo for International Literacy Year. The winning logo was designed by Japanese graphist, Mr Kohicki Imakita. The logo was approved by the Federal Council of the Records Management Association of Australia for use on official correspondence to highlight the Associations recognition of International Literacy Year 1990.

You as a member of the Records Management Association of Australia (RMAA) are affiliated to the International Records Management Council (IRMC). The IRMC has category C status with Unesco through its affiliation of the International Non-Governmental Organisations (NGO). NGO meets annually and reports on activities of related associations to Unesco, the next meeting will be held in Paris, 11-15th June 1990. One of the most important items on the agenda will be consideration and recommendations of the follow-up to the World Conference on "Basic Education for All".

The Federal Secretary of the Records Management Association of Australia will arrange for all branches to receive this logo embossed on roll out stickers in the near future. I would be grateful if you could ensure its wide diffusion and use. The International literacy Year Secretariat would appreciate receiving all documents and material on which this symbol appears.

*Graham Dudley  
Executive Director. IRMC.  
April, 15th 1990.*

### **Australian Information Technology Council (AITC) Activities**

As reported in the August 1989 edition of Informaa Quarterly, RMAA has joined other learned societies and been accepted as a full member of the Australian Information Technology Council (AITC).

RMAA at its Federal Directors Meeting in Perth in December, 1989 also appointed Vice President Phil Taylor as its second co-nominee representative on AITC.

The following is a summary of AITC activities over the last several months.

A major area of activity within the AITC has been membership promotion and cross promotional activities between member organisations. In this regard the following has been undertaken:

- \* A membership and promotional booklet has been produced and this together with a letter from the AITC President, has been forwarded to some 30 organisations, inviting them to join as non-representated, non-voting affiliate members. The booklet has also been forwarded to a wide range of Government organisations to raise the AITC profile in this area. (This booklet has also been distributed to all RMAA members).

- \* The AITC President has written to the Presidents of all AITC full member organisations seeking to develop plans for AITC's public profile.
- \* The President has requested all member organisations to provide details of office bearers and other relevant persons in each member organisation for cross distribution to aid co-operation in appropriate areas.

AITC has written to the Federal Ministers for Education and Transport & Communications on issues relating to Higher Education Funding and Telecommunications policy respectively.

AITC has in the planning stages, proposals for seminars in the areas of

- \* OSI (Open Systems Interconnection)
- \* Telecommunications Policy (Austel)
- \* Course Curriculum Planning

At the invitation of the then Minister for Transport & Communications (Hon Ros Kelly) AITC is preparing a submission on Telecommunications Services Framework.

This will cover the areas of

- \* Perceptions of opportunities arising from technology and market developments and prospects for availing these by Australian Companies.
- \* Strategies to take best advantage of these opportunities.
- \* Policy development to assist the above.

AITC is preparing a submission to member organisations on how it can best maximise cross publicational opportunities in the various member publications.

*Jim Shepherd,  
A.R.M.A. Federal Treasurer  
RMAA'S Delegate Tto AITC*

## TAILORED TO LOCAL GOVERNMENT NEEDS.....

A keyword controlled language system  
which streamlines information retrieval

**GADM/LOGOV      THESAURUS**



- \* ensures correct placement on file
- \* ensures correct disposal to archives
- \* ensures correct, swift retrieval
- \* covers all major functions

### ENQUIRIES::

Records Manger  
Glenorchy City Council  
PO Box 103  
GLENORCHY 7010  
Ph. (002) 740700

Records Management Office  
N.S.W. Level 3  
66 Harrington Street  
THE ROCKS 2000  
(02) 2370125

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## **Freedom of Information and its Impact on Records Keeping in New South Wales**

Denis Comber, B.A. (Library Science), Dip. Industrial Law, Cert. Personnel Administration, ALIA, ARMA.

Denis Comber is Manager of the Records Management Office of NSW. His interests include the promotion of career path structuring and the development of tertiary courses for information and records personnel.

The aim of this paper is twofold, firstly it looks at the importance of records management practices in relation to the implementation of the FOI Act. Secondly, a brief overview of the impact that FOI has had on the community, is given.

Following its election, the NSW Liberal Government introduced as part of its public policy the "Freedom of Information Act".

The purpose of this legislation is to provide better access to government information, by giving the community the legal right to look at and obtain copies of documents produced by Government Agencies within NSW. The introduction of this Act now means that three government bodies within Australia, have acknowledged the need to recognise the importance of making public information available to the community.

Prior to the introduction of the Act, it was clearly recognised that provision had to be made for staff training. Arising out of this general need was the specific requirement to ensure that records management systems could cope with new demands. Consequently, the NSW Records Management Office was approached to provide its input at special training workshops for senior executives.

Our input focussed on three areas:

- the life cycle of information,
- use of technology in records management,
- records management practices,

The text of these areas are outlined as follows:

### **1. Life Cycle of Information:**

There are a number of stages through which information passes during its lifetime i.e. "the birth to death concept". Government employees must understand that all information has a finite life and that good housekeeping practices demand formalised disposal practices.

The various stages through which information passes must be outlined to records users especially as it relates to how information can subsequently be accessed from a variety of storage mediums e.g. active, semi-active and archival systems. The connection between and procedures for, ensuring prompt access, must be explained in detail. In addition, all staff must be aware of the interrelationships between indexing, file tracking and general disposal guidelines which operate in a given Agency.

### **2. The use and application of Technology in Records Management:**

The impact of records management software and electronic storage and retrieval hardware poses particular problems for Agencies. Depending on the information strategy of an agency, consideration may need to be made to ensure that any FOI requests can be processed quickly using newer technological formats. However, the failure to satisfactorily evaluate and implement new systems as well as ignoring the operational requirements of staff, often results in the implementation of poor quality information systems.

Some of the factors which affect the ability of Agencies to satisfactorily introduce newer information formats include:

- The matter of cost. Staff training costs are a major factor in the effective implementation of most systems. It is therefore vital, that consideration be given to the amount of time it will take to train staff and the cost of this training. All too often, insufficient funds are allocated to properly train operator and user staff. The consequences of poor decision making will subsequently result in the degradation of information.

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- Agencies need to be totally aware on the information needs especially as it affects their dealings with the community. Too often, there is a tendency to ignore the need to consider the reformatting of information. Rather, information is simply "computerised" without first examining the operational capacity of the technology. Especially as it relates to its capacity to extract information in a variety of formats. Conversely, electronic systems can also prevent the easy access of information if data is not properly input, staff adequately trained, etc.

- In some instances, information resources are in such a mess that it is physically impossible to convert existing records onto an electronic format. Consequently, there is a very real danger of making costly mistakes if Agencies insist on converting data which has not been properly formatted or formally examined prior to data conversion. A particular example relates to the inability to cull existing records prior to data entry. It is not uncommon for Agencies to waste time inputting information which is of little or no administrative use. When coupled with poor classification and indexing techniques, the task of efficiently retrieving essential information is virtually impossible. Imagine then, trying to meet the needs of an FOI request.

Obviously some criteria must be applied when evaluating information needs. In this case, some of the factors that can be taken into consideration relate to:

- the proper identification of information usage, including predicted needs.
- examination of the need to reformat information
- the capacity to maintain long term financial support for training programmes.
- tangible, financial benefits.
- the development of performance indicators.
- the possibility of information needs changing.
- the capacity to dramatically improve information retrieval and accuracy.

### **3. Records Management Practices:**

There are several matters which require consideration when assessing how records management practices can improve the ability of an Agency to respond quickly and accurately to an FOI request. These are regarded as:

#### **a) Storage**

Storage systems should be capable of providing suitable conditions for the security and preservation of all types of records, irrespective of their format. In addition, systems must be capable of offering ease of access and be easy to operate.

#### **b) Classification and Indexing:**

The classification and subsequent indexing of information is the most important element in the management of information resources. The proper implementation of these practices not only enables an Agency to correctly name its records, it also enables it to accurately retrieve specific and/or related files.

Information retrieval has long been the focus of information analysts and the advent of electronic information management systems has imposed a greater need to ensure that retrieval systems are capable of providing rapid responses to enquiries. Consequently, adherence to sound classification and indexing practices is the only means by which recall, relevance and accuracy in information retrieval can be guaranteed.

#### **c) Tracking:**

In most cases the tracking of information is generally overlooked in Agencies. Consequently, very little or no importance is attached to maintaining the accuracy of file locations.

Past experience has shown that in most cases senior management is too lax in policing the unauthorised movement of records. With the advent of FOI this practice can no longer be ignored. Fortunately, this is one area where technology can impose comprehensive controls over the movement of information throughout an Agency.

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**d) Records Integrity and Quality of Recorded Information:**

Occasionally, there are times when Agencies fail to police the procedures for ensuring that information is properly recorded. There are instances when papers and documents are so out of order that no useful chronology is available. Consequently, the historical development of cases can sometimes inhibit the preparation of satisfactory responses to requests for information.

In addition, it is not uncommon for action officers to make unnecessary personal remarks on submissions and reports. These comments whilst significantly damaging in their own right, can severely embarrass an Agency should matters of this nature be accessed by a member of the public.

Overall, Agencies are obligated to adopt measures which will ensure that the integrity of their information resources are maintained i.e. by introducing folio numbering, controls for maintaining chronological order and publishing standards for letter, report and submission writing.

**e) Training:**

Staff training in records management is generally one area which is overlooked by a number of Agencies. In addition, staff training should not merely be limited to operators of systems. Often, the users are completely ignorant of the operation of the records registry and in particular, classification and indexing techniques.

Since information retrieval is the major focus and function of the registry it would be sensible to ensure that not only is there a standardised system of classification but that users and operators alike are trained in the most up to date methods of subject analysis and retrieval.

**f) Creating a Separate File Series for FOI requests:**

The nature of FOI suggests very strongly, that a separate series of files be maintained for requests. It is essential that the creation and tracking of requests be dealt with as expeditiously as possible and that officers are aware of the time limits imposed on answering these matters.

The prompt reply to a request under FOI is directly affected by the ability of an Agency to identify and quickly locate all matters related to an enquiry. Other factors which assist in the processing of a matter will depend on the quality of record information, its presentation and the consistency between a file title description and its contents.

In order to obtain a satisfactory level of performance, Agencies are required to look at their records management procedures and practices as well as their staff training programmes. In general, these issues have been confronted and effectively dealt with by NSW Agencies. In addition, the assistance of the Freedom of Information Unit and the NSW Records Management Office is freely available.

**Review of Performance - Implementation of FOI**

Within the first six months of the implementation of the Act, well over 1,000 applications for access to public records had been processed. More than 73% of all applications were granted in full. Cases where documents were unable to be supplied amounted to only 11% of the total number of applications. This rate is lower than either the Commonwealth or Victorian figures.

The Agencies which received the most number of applications included Police Force, Department of School Education, Central Sydney Area Health Service, and the Department's of Housing, Family and Community Services and Health. This pattern is similar to trends which have developed Victoria and the Commonwealth, where the community is accessing information from agencies which have high levels of contact with people.



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Unlike its Victorian counterpart, the NSW Freedom of Information Act covers Local Government Authorities. In all, a total of 13.5% of the applications received, dealt with local issues. Although Local Government is only required to deal with matters of a personal nature, many local authorities have decided to implement full FOI policies.

The most notable of these is the Byron Shire Council which has dealt with 28 applications of a non personal nature. As long ago as eighteen months prior to the official implementation of FOI legislation, Council decided to introduce improved community access to its records. The benefit to the community has been that it has permitted the monitoring of local issues and developments before Council.

Average fees for dealing with requests was about \$24 - less than the usual fee of \$30. In the majority of cases applications took about 10 hours of processing and were finalised within 30 days from receipt of an application which is well under the 45 day limit set on replies and to quote the Premier, Mr. Greiner, "it shows how well the public sector is dealing with this major change".

Finally, the Premier has said recently that "In introducing this legislation, I said it was one of our major reforms to the public sector to promote greater openness, accountability and responsibility. Clearly on all fronts these aims have been achieved. Furthermore, we expect that not only will usage of FOI by the citizens of this State increase over time but also that the public sector will increase its efficiency in dealing with FOI matters thus increasing its openness and accountability". (1)

### **Conclusion:**

It has been clearly demonstrated that the introduction of FOI Legislation has resulted in improvements of the records keeping practices of many Agencies. The subsequent need for better information retrieval, has directly resulted in the introduction of more sophisticated classification and indexing systems.

In addition, a greater awareness of the needs of the community has prompted Agencies to be more responsive to making certain that enquires and requests can be met with a minimum of delay.

(1) The assistance of the NSW FOI Unit in providing information about the effects of the legislation is gratefully acknowledged.

(2) There are a large number of references to FOI matters in journals and newspapers. Many of these articles provide invaluable information about community issues and the administrative processes of government agencies which are rarely incorporated in text references. These sources of information are recommended to persons seeking a broader view of the social implications of FOI Legislation.

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## Medical Records at the Royal Hobart Hospital

When asked to write a piece about the management of medical records at the "Royal", it occurred to me that most readers manage systems similar to our own where classification and identification are concerned. The major differences relate to the use to which the records are put. In our case, the records are used in life or death situations. I wondered whether people were aware of the range of activity covered by the Medical Records Department and thought this might make more interesting reading.

I have attempted to show in the first place the role of the record, then the range of duties, followed by the presentation of an imaginary patient from the viewpoint of accumulation of data. The whole is concluded with a breakdown of staff and their individual duties.



*Kerrie Pieters - Medical Records Department*

### The Roll of the Medical Records

The purpose of the record is to provide a means of communication between health professionals contributing to the patient's care. It serves as a basis for planning individual care and furnishes documentary evidence of the course of a

patient's treatment. It provides the basis for analysis, study and evaluation of care given to the patient from a quantitative and qualitative point of view and assists in protecting the legal interest of the patient, the hospital and the doctor. It also provides clinical data in research and education.

### Range of Duties

The Medical Records Department of this 573 bed major teaching hospital performs services of a widely varying nature.

- \* Emergency Department reception and registration
- \* Specialist Clinics Booking and Reception
- \* Dental Clinic Booking and Reception
- \* Antenatal and Obstetrics Booking-In and Clinic preparation
- \* Neonatal Registration, Birth Notification and Coding
- \* Maintenance of Hospital Waiting Lists
- \* Booking of Elective admission, Notification and Follow-up
- \* Allocation of beds for Emergency, Elective and Direct admissions, (including Inter-hospital transfers).
- \* Interviewing of all admissions
- \* Administration and Interviewing of all Pre-Assessment and Day Surgery cases.
- \* Maintenance of Infection Control Alert Register
- \* Maintenance of Death Register
- \* Maintenance and Cross Referencing of all Clinical Photography slides and Print files.
- \* International Classification of Diseases and Procedures in Medicine (ICD.9.CM) - Coding and Indexing.
- \* Typing of all medical reports, police reports, surgical operations, Discharge summaries, Case presentations, medical/surgical committee minutes and medico-legal correspondence.
- \* Management of medico-legal requests and subpoenas, including the preparation of documentation and attendance in Courts of Law in litigious matters as "Custodian of Records"

- \* Control and maintenance of smaller decentralised records filing areas including Staff Clinic (2000 records), Oatlands District Nursing Centre (1000), Psychiatric Unit (10000) etc.
- \* Planning, control and maintenance of storage areas including a 3 storey building adjacent to the hospital and the basement of the Douglas Parker Rehabilitation Centre in New Town.
- \* Preparation of inactive records for microfilming on roll film and maintenance and quality control of microfiche filing system.
- \* Maintenance of record tracing system and central returns area, involving movements of approximately 16,000 records per month.
- \* Filing of all diagnostic reports and correspondence into medical records, involving approximately 150,000 documents per month. Filing of all medical records proper.
- \* Supervision, training and performance evaluation of all hospital data entry operators on hospital computer system.
- \* Production of departmental procedures manuals with continuous review, trialling and streamlining of procedures.
- \* Continuous in-service training of personnel in new methodology, quality assurance concepts, medical terminology including provision of opportunities for staff to attend State Service Training courses.

### Accumulation of Data

We installed a colour coded, terminal digit unit record filing system in January 1983. This replaced the dual system of alphabetically filed Outpatient records and serially numbered Inpatient files. The current system allows us to raise the record at birth, or on first presentation to the hospital. The patient's identification details are checked against our Patient Master Index and if no exact match of details is found, a new records is raised containing a 6 digit Unit Records number which, when matched with name, date of birth and sex will uniquely identify the patient to the R.H.H. for the rest of

his life. Address, telephone number and marital status are added as additional identifiers, although these change regularly and are not considered reliable data.

In the case of a person presenting to the Emergency Department for the first time: At this stage the record consists of a numbered, named cover, an ALERT sheet, an Emergency DIVIDER, a plastic data holder containing sheets of computer generated identification labels and an Emergency department history sheet to record the presenting complaint and treatment.

The Doctor will probably order a blood test or an ECG or perhaps an x-ray in the course of diagnosis and treatment, so the next addition to the record will be a DIAGNOSTIC section divider and a Diagnostic report backing sheet. If the patient is referred on to a Specialist Clinic, an appointment is made for the appropriate clinic and a reminder slip given to the patient. If admission to hospital is recommended, a set of admission papers is raised, the patient is interviewed, all new details are added to computer which then generates an Admission form. At this stage nursing, medical, paramedical and laboratory staff take over, each adding to the history with examination, progress, observation, therapy investigations and drug charts. On discharge, a 1ST ADMISSION divider is added, the admission papers sorted and checked that all is in chronological order, the discharge summary is typed and included and all demographic and morbidity data are coded and indexed according to the ICD.9.CM.

Over a period of years, the medical record builds to give an extremely valuable social and medical profile of the patient which provides a unique source of data for teaching, research, epidemiological study and statistical collection (the patient's identification is removed in these instances).

The variety of procedures mentioned is carried out by between 38 and 45 staff who are a mixture of day workers, rotating shiftworkers and night shiftworkers. There is a pool of 10 permanent medical typists who are occasionally required to relieve specialist unit secretaries.

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## Breakdown of Staff and their Duties

A very broad outline of staff responsibility follows:-

Five day shift workers interview elective, emergency and 'same day' admissions with one of these clerks interviewing around the wards where patients have gone from the Department of Emergency Medicine direct to a ward. Two day shift workers prepare documentation, interview and complete admissions for pre-assessment and same day cases, one of these is always located on the same day surgery ward. One day shift worker processes all admissions, registrations of new born babies and all antenatal and post natal clinics for the Queen Alexandra Obstetric Division. One day shiftworker processes all expected admissions to ensure that any Infection Control alerts are notified to the I.C. Team and to the receiving ward. One day shift worker organises and continues culling to archives (with a general call to all staff when a major shift of records is required).

Two day shiftworkers maintain the microfilm and clinical photograph sections. One day shift worker controls the procedures and rotating shiftworkers on the Triage desk in the Emergency Department, maintaining documentation and registration of patients brought in by ambulance, police or relatives. Two day shift workers maintain the hospital Waiting Lists and Elective surgery system including all notifications, cancellations, re-bookings and theatre lists. The Controller of admissions also allocates beds for all admissions (where available) or makes alternative arrangements. Three day shift workers are responsible for full time coding of all diseases and operations from the records of patients who have been discharged. All shiftworkers enter patient movements throughout the hospital onto the computer from information recorded onto a Vocophone answering service (tapes are cleared at 30 minute intervals). The same personnel are responsible for overseeing and distributing computer generated midnight patient census to the wards for verification. Two night shift workers work on a 7 on 7 off basis from 1130 p.m. to 7.30 a.m. performing clinic processing,

registrations, admissions, handling telephone enquiries and sorting diagnostic reports.

One permanent relief and 9 permanent shiftworkers process the clinic lists, records and reports for the 128 Outpatient Specialist Clinics held each week. Three day workers receive patients, handle telephone and personal enquiries, one day worker manages and maintains all Dental clinic appointments, clinics and registrations and one day worker is responsible for receiving monies for pharmacy items and other miscellaneous items. Four day workers manage the 4 daily ward rounds, clinic "pick ups", sorting, checking and maintenance of all records returned to the department.

Four people supervise the daily running of the Department, including myself, the second-in-charge, a supervisor of outpatients and a supervisor of inpatients. Each supervisor relies upon Controllers in the various areas and daily action meetings are held for problem solving and staff allocation. The medical typists operate away from the main department under their supervisor.

The Department has a motor vehicle allocated from the pool and two runs are made daily to the D.P.R.C. basement at New Town to collect records required for research and legal requests. Two extra runs are made on Rehabilitation Clinic team assessment days when records are delivered. Films are left with the photography processing plant and slides and prints are collected at this time. Of course, these trips may multiply if records are required urgently by the Emergency Department. Several trips are made to the Collins Street repository per day as this department proper can store only the records back to October 1988 (with some important exceptions based on medical criteria).

The Department carries out quantitative analysis of records on a random sampling basis and takes part in other quality assurance programmes regularly. Accessing records for research projects plays a large role in the life of the supervisors and as many as 3 or 4 projects can be "on the go" at any one time. The hospital recently "survived" its 3rd Accreditation survey

when quality assurance was of foremost importance. The staff have recently been discussing the concept of Quality Circles within each individual area and are keen to begin studying the ground rules for implementing Circles.

A cross training programme began in the Department in 1984 as a necessary and valuable means of both retaining dedicated staff and maintaining their interests. The recently installed McDonnell Douglas Health Computer System has shown a shift in emphasis on the workload of some areas and has meant engineering a wider spread of man-hours to cope with additional data entry requirements. Streamlining of manual procedures prior to implementation led to a relatively trouble free transfer to computerisation. We have taken delivery of the following modules"-

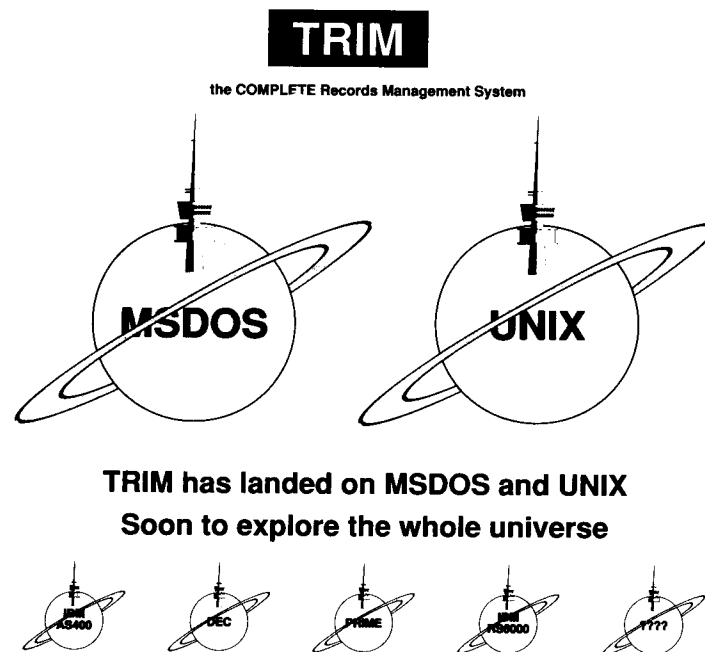
- \* PATIENT MASTER INDEX
- \* ADMISSIONS, TRANSFERS AND DISCHARGES
- \* MEDICAL RECORDS MORBIDITY
- \* RECORD TRACKING

- \* APPOINTMENT SCHEDULING
- \* WAITING LIST AND WORD PROCESSING
- \* BIRTH REGISTRATION AND MATERNITY BOOKING
- \* ACCIDENT AND EMERGENCY

Apart from the ever present "Gremlins" in the system which occasionally cause some angst, the system has improved the speed at which patients can be processed and has delighted staff with the major reporting functions, eliminating some of their laborious statistical gathering procedures previously taken from the manual systems.

As with all departments, there is much more activity than it is possible to describe. I hope I have given a broad outline of our role and responsibility within the public hospital section of the Department of Health Services.

*Kerrie Pieters  
Medical Records Department  
Royal Hobart Hospital  
December 1989*



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## Plain talk about document management.

**If your organization once plodded along at the pace of paper, now it can cruise at the speed of sight.**

Phone calls. Angry, frantic, desperate phone calls. They're what really drive managers to seek better ways to handle documents. You know the type of calls:

"Am I speaking to the adjustments supervisor? This is the fourteenth time I've called about my claim. Do the words 'class action suit' mean anything to you? Cut me a check today or else?"

"The trucker won't unload at Acme Products, because his order says C.O.D. Acme claims they prepaid. Get their file over here immediately."

"We've got a sticky situation over here at Central Processing. The courier van collided with a molasses tank truck. You did back up yesterday's transactions, didn't you?"

A lost, misplaced, or delayed document can be a nightmare. You probably have your own favourite war story. But with today's ever-increasing volumes of documents, it's no laughing matter. So what's the answer?

**Introducing the paper panacea: a document management system.** "A document management system," Sounds pretty high-tech, doesn't it? And most articles and brochures are just as imposing. You need a chain saw to cut through the thickets of buzzwords and acronyms. But then you can't see the forest anymore. It's enough to make you want to forget the whole business.

Take heart. You don't need a guru to unravel the basics at the heart of document management systems. If you sort documents into manilla file folders, you already have a document management system. Technology just provides ways to handle documents faster and more efficiently. Much more efficiently.

## Span the gap between documents and data.

Remember the whiz-bang debut of the computer? A few keystrokes at a data terminal, and the information you needed popped up on a screen. Today, you probably take online access to a data base for granted.

But what if you could have the same type of access to the information stored on your documents?

You can. The secret is to convert your documents into a form that can be managed electronically.

Relax, it isn't as complicated as that may sound. You simply replace the actual paper image with a picture taken on microfilm or a computer file of scanned bits and bytes. In effect, you build an image base, a data base of stored document images.

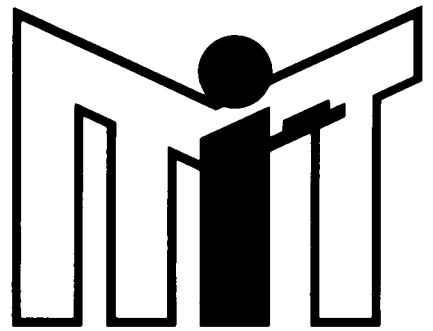
Once you've done that, you can interact with the image base in much the same way you do with your data base. Except now you query the image base to retrieve information stored as document images.

A few keystrokes at an image terminal, and the document you need appears on a screen - complete with marginal notes, endorsements, diagrams, and signatures. And that image can then be printed, faxed, distributed over a network, or even read aloud to the person on the phone.

If your organisation once plodded along at the pace of paper, now it can cruise at the speed of sight. And the benefits don't end with faster access to information. By freeing yourself from paper, you will require less space, fewer footsteps, and less labour to maintain your records. When you convert to an image base you'll be adding efficiency you can measure in dollars.

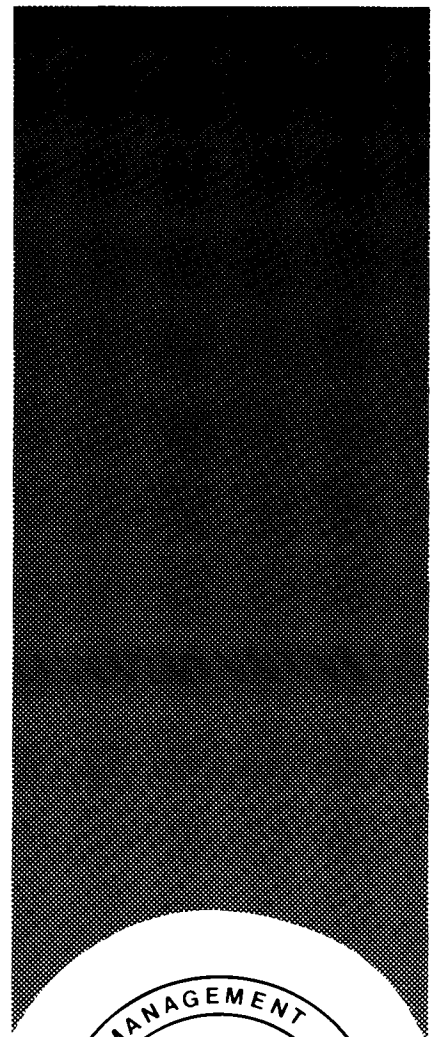
**Demystifying the mumbo jumbo.** Document management sounds easy so far, doesn't it? You're just replacing paper with microfilmed or scanned images. But things tend to turn complicated when you go shopping for a system. Some vendors will juggle ODs, WORMs, CPUs,



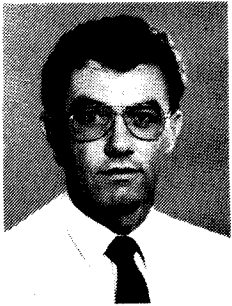


# **MANAGING INFORMATION TODAY**

BRISBANE 11th - 14th SEPTEMBER 1990



**7TH NATIONAL CONVENTION  
RECORDS MANAGEMENT  
ASSOCIATION OF AUSTRALIA**



On behalf of the Convention Organising Committee, I invite you to join us in Brisbane in September 1990 for the 7th National Records Management Convention.

The theme of the convention is "Managing Information Today", a most appropriate topic for the first year of a new decade. As we approach the end of the century, information - now more than ever before - will be the lifeblood of organisations, both public and private. Decisions made today will reflect upon us all as we pass into this exciting period.

Delegates will hear presentations covering a range of information and management topics. Each paper will enable a sharing of knowledge and will assist in the professional development of Records Managers. In conjunction, trade exhibits will demonstrate advances in computer technology, filing systems and other Records Management products.

The setting for the convention is the Sheraton Hotel and Towers, situated in the heart of our beautiful city. Delegates can be assured that Brisbane's climate, and it's well known hospitality, will make the 7th National Convention a successful and important event in our business calendar.

I look forward to seeing you in Brisbane in September 1990.

Murraray Stewart  
Chairman, Organising Committee

## Registration Fees

### Full Delegates

Registration and payment of fees by all participants is essential. This page contains all the necessary information to complete the attached registration form. Please read it carefully before filling out your registration which, together with your cheque, should be returned to the Convention Secretariat.

Australian delegates may pay by personal cheque, made payable to the Records Management Association of Australia 7th National Convention, or by Australian Bankcard. Payments from abroad must be made by bank draft in Australian dollars. No other forms of payment will be accepted. Your name and full address should be clearly marked on the back of your cheque. **Please Note** - your payment should cover: registration fees and deposit for hotel accommodation (one night). All fees do not include insurance of any kind.

Your registration details will be confirmed in writing in accordance with your form, a copy of which will be returned to you.

Any cancellations must be in writing to the Convention Organisers before 1st August 1990. Refunds of cancellations received after this date will be made only in exceptional circumstances. Should the convention have to be cancelled by the Organisers, fees minus deduction of expenses already incurred would be refunded.

All Full Registrants are entitled to:

- Attend all sessions of the Convention
- Published Papers
- Morning and Afternoon Tea, and Lunches
- Reception
- Convention Dinner
- Satchel containing various programmes
- Trade Cocktail Party

### Accompanying Persons

Accompanying Persons are defined as spouses or friends of Full Registrants who wish to participate in the Social Programme, but not the technical programme. Older children wishing to accompany adults to functions should register as accompanying persons.

All Registered Accompanying Persons are entitled to:

- Lunches
- Convention Dinner
- Satchel
- Reception
- Trade Cocktail Party

### Day Registration

It has been decided to allow a limited number of day registrations with a maximum of two days to each person. Should you wish to be a Day Registrant please acknowledge promptly.

All Day Registrants are entitled to:

- Attend all sessions of the day chosen
- Morning and Afternoon Tea and Lunch of the day chosen

Should Day Registrants wish to attend any of the Social Functions, tickets can be ordered with this form (please include payment).

### Session Preferences

The Daily Programme is shown on the registration form. Where concurrent sessions occur, to assist with seating arrangements, it is important to mark which session you wish to attend.

### Accommodation Only

Hotel	Single	Double/Twin
Sheraton		
Brisbane - Standard	\$ 150.00	\$ 150.00
Towers	\$ 205.00	\$ 205.00
Gazebo		
Brisbane -	\$ 85.00	\$ 85.00

## Accommodation and Airfare Packages

Based on 3 nights - in on 11th September and out on 14th September, plus economy class airfare. Airfares are subject to price increase. If extra nights are required, above costs apply. (Deposits listed below remain the same, regardless of number of nights accommodation required.) Balance of all payments to be finalised personally upon departure from hotel.

Below rates are per person for Twin/Double Share accommodation only.

	Sheraton Standard	Sheraton Towers	Gazebo Standard
Sydney	\$ 872.00	\$ 1037.00	\$ 677.00
M'bourne	1074.00	1239.00	879.00
Adelaide	1142.00	1307.00	947.00
Perth	1586.00	1751.00	1391.00
Darwin	1426.00	1591.00	1231.00
Hobart	1238.00	1403.00	1043.00
Canberra	954.00	1119.00	759.00

For single supplement please add the following costs to total package amounts: (All deposit amounts remain the same for Single or Twin/Double).

Sheraton Standard	\$ 225.00	Sheraton Towers	\$ 307.50	Gazebo Standard	\$ 127.50
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All accommodation will be allocated in order of receipt of registration. Deposits shown must be paid to confirm your reservation. This payment must be included with registration fees.

Please note, these rates have been specially arranged for the convention only, therefore your reservation must be made through the Convention Secretariat.

For those visitors with flights arriving in the early hours of the morning, to avoid confusion, accommodation must be reserved for the day before as check in time is not before 10.00am. Please indicate date and time of arrival and departure and also Airline or Coachline you will be travelling on.

### Social Functions

All fully registered delegates and registered accompanying persons are entitled to attend the Welcome Reception, Convention Dinner, Trade Cocktail Party and the Motivational Breakfast. To assist with catering arrangements please mark intention to attend.

The Social Functions will commence in the evening Tuesday, 11th September, 1990 with a Welcome Civic Reception at Brisbane City Hall, hosted by The Lord Mayor of Brisbane, Alderman Sallyanne Atkinson.

On Wednesday evening join us for the Convention Dinner which will be held at the wonderful Dreamworld Theme Park. Coaches will transport delegates from the Sheraton Hotel and back. Many of the Dreamworld attractions are outdoors so bring casual clothing suitable for a possible cool evening. "Wear comfortable footwear." Cost to all other interested persons \$60.00 per person. Others (Non-Registrants) wishing to attend any or all of these functions may do so by completing this section on the registration form (please include numbers and payment) **no later than Tuesday 4th September 1990.**

## **Tuesday, 11th September, 1990**

- 12 noon - 5.30p.m. .... Registration
- 5.30p.m. - 6.30p.m. .... Welcome Civic Reception in City Hall by  
The Right Honourable Lord Mayor of Brisbane  
Alderman Sallyanne Atkinson.

## **Wednesday, 12th September, 1990**

- 8.00a.m. - 9.00a.m. .... Registration
- 9.00a.m. - 9.30a.m. .... Official Opening
- 9.30a.m. - 10.30a.m. .... Keynote address - Managing Information Today
- 10.30a.m. - 11.00a.m. .... Tea or Coffee
- 11.00a.m. - 12.00p.m. .... Managing Information Needs
- 12.00p.m. - 1.30p.m. .... Lunch
- 1.30p.m. - 2.30p.m. .... Trade Display Opening
- 2.30p.m. - 3.00p.m. .... Trade Display
- 3.00p.m. - 3.30p.m. .... Tea or Coffee
- 3.30p.m. - 4.30p.m. .... Trade Display
- 5.30p.m. - 12.00p.m. .... Convention Dinner

## **Thursday, 13th September, 1990**

- 8.00a.m. - 9.00a.m. .... Day Registration
- 9.00a.m. - 10.00a.m. .... R.M.A.A. Annual General Meeting
- 10.00a.m. - 10.30a.m. .... Tea or Coffee
- 10.30a.m. - 11.30a.m. .... Facilities Management
- OR
- Learning Management

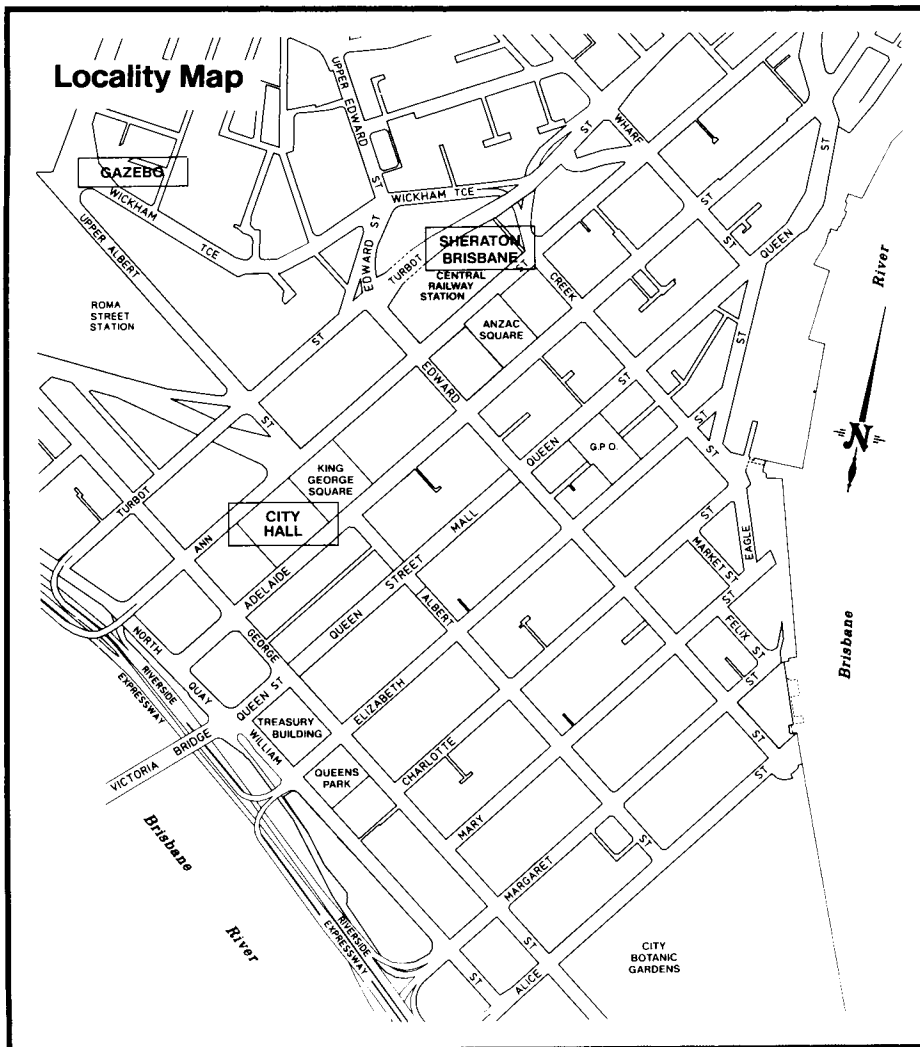
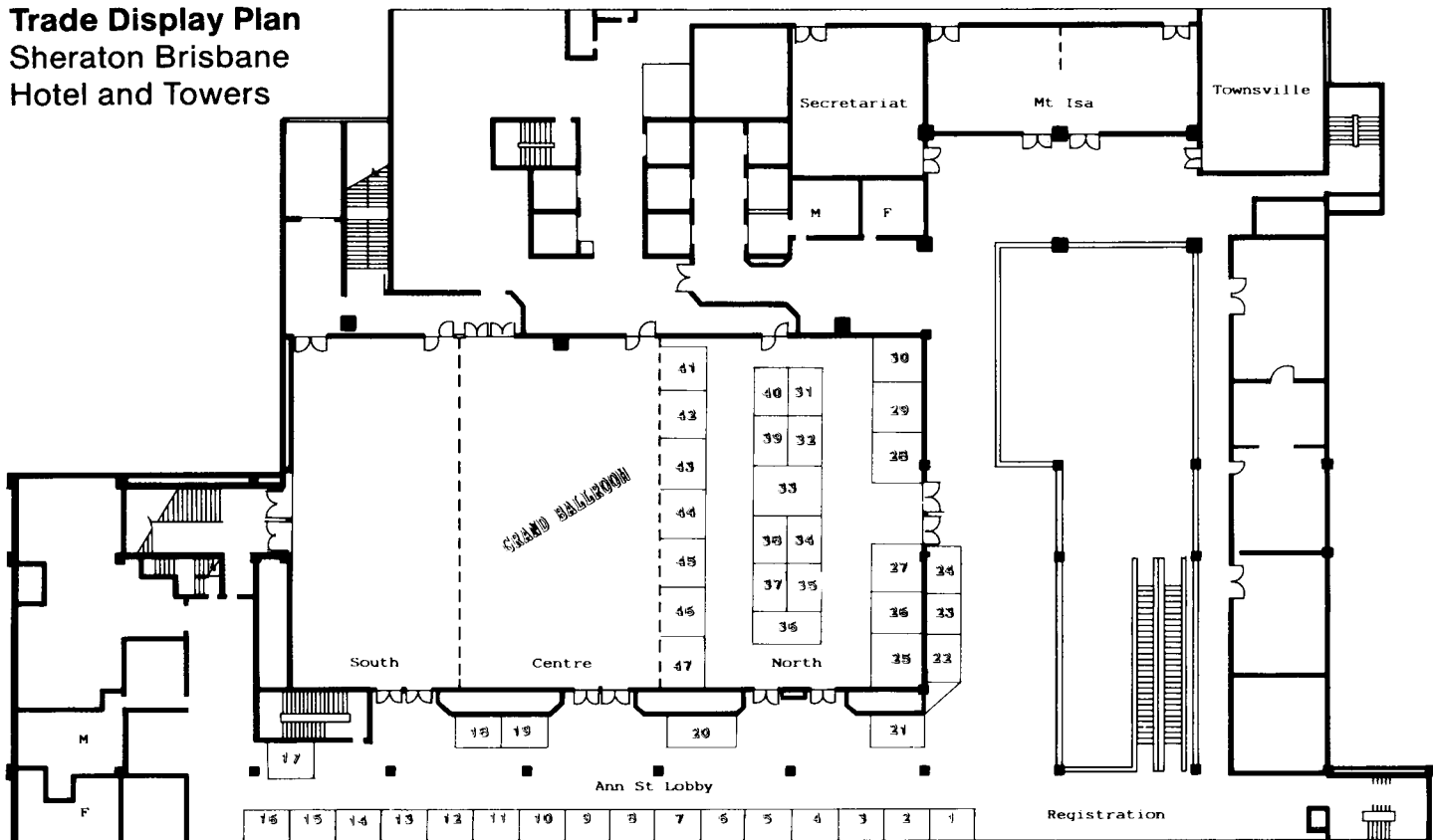
**Thursday, 13th September, 1990 (cont.)**

- 11.30a.m. - 12.30p.m. .... Managing Obsolescence in Technology  
OR  
Managing People in Information Services
- 12.30p.m. - 2.00p.m. .... Lunch
- 2.00p.m. - 3.00p.m. .... Managing Change  
OR  
Management Planning & Controlling
- 3.00p.m. - 3.30p.m. .... Tea or Coffee
- 3.30p.m. - 5.30p.m. .... Trade Display
- 6.00p.m. - 7.30p.m. .... Trade Cocktails *Not available to Day Registrants  
unless prior booking made*

**Friday, 14th September, 1990**

- 7.00a.m. - 8.30a.m. .... Motivational Breakfast
- 8.30a.m. - 9.00a.m. .... Day Registration
- 9.00a.m. - 10.00a.m. .... Corporate Archives Management  
OR  
Managing the Communication Network
- 10.00a.m. - 10.30a.m. .... Tea or Coffee
- 10.30a.m. - 11.30a.m. .... Managing Corporate Libraries  
OR  
Managing Systems Development
- 11.30a.m. - 12.30p.m. .... Forms Management  
OR  
Conversion Management
- 12.30p.m. - 2.00p.m. .... Lunch
- 2.00p.m. - 3.00p.m. .... Managing Information Tomorrow
- 3.00p.m. - 3.30p.m. .... Tea or Coffee
- 3.30p.m. - 4.00p.m. .... Closing Address
- 4.00p.m. - 5.00p.m. .... Welcome Darwin 1991 Farewell Function

# Trade Display Plan Sheraton Brisbane Hotel and Towers



## Conference Organiser

Organisers Australia  
P.O. Box 1213, Milton, QLD 4064  
Phone Number (07)369 7866  
Fax Number (07)368 1786  
51 Railway Tce, Milton Qld 4064



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and data fields until your eyes cross. Beware. The hocus-pocus may hide some holes.

When you strip away the jargon, a computerised system ought to be almost as straightforward as your filing cabinet. What matters most is that a system should enable people in your organisation to interact with documents in the most efficient way possible.

So how do you make sure a system has the hardware and software to do the job? The following is a simple checklist - written in English - of the functions a document management system must perform in order to be a complete solution to your problem. Be suspicious of weakness in any category.

#### **Six steps to a complete document management system.**

Capture - convert the paper document to an image.

Store - file that image in a secure, retrievable form.

Index - keep track of the location of every document image.

Manage - manipulate individual images and groups of associated images.

Retrieve - find and display the desired document image.

Distribute - provide a way to share the document with other people.

One note: The stuff you store images on is called "media". It might be microfilm, optical disk, or magnetics. You should know that each medium has its own strengths and weaknesses. In fact, the most appropriate system for your need might combine all three. The best vendor will keep this option open.

Take your decision off "hold." Now that you know the basics behind document management systems, you're ready to select a vendor. Here's a tip: look for a vendor who will work with you to identify and answer your requirements. After all, the best system will be one that fulfils your needs, not simply what a vendor needs to sell.

With your system up and running, the sound of the phone will no longer fill you with dread. A

few keystrokes, and you'll be a hero to the party on the other end of the line. In fact, you might even send the document to his or her facsimile machine directly from your system. And you'll never wake up in the middle of the night thinking "Where is that file?"

*By Kodak (Australasia) Pty. Ltd.*

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## **Microforms as Archival Materials Abstract**

General Department on Archives to the Council of Ministers, P.R. Bulgaria. Paper presented at the XIth International Congress on Archives held in Paris, France on 22-26 August 1988.

In the course of its social development mankind has invented a great number of methods to increase the efficiency of its activities. Miniaturisation and magnification are among those of basic importance. Microforms as information media are a result of miniaturisation. In this paper, we shall discuss microforms produced by means of photographic representation and reproduction of information. All kinds of microforms involving code transformations of data fall outside the frame of our study. Next, having in mind micrographic technologies we shall analyse the typology of microforms in view of their application in archives and in the work of archivists. Summarising the experience of our colleagues all over the world, we shall attempt to formulate some conclusions concerning micrographic policies in archives.

### **What are Microforms**

Paper, reigning for almost twenty centuries begins in contemporary times to concede the first rank to other information media. Among them, and quite a favourable one, was a flexible transparent medium allowing a high density of information recording, microfilm. All systems and processes involved in microfilm production, including microfilm devices and utilisation of microforms thus obtained, were, for a long period of time described by the term "microfilming". Gradually, the accumulation of knowledge and experience in the field led to the

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differentiation between two separate terms, "microfilming" and "micrography". Microfilming is the process of producing microforms. Micrography, being a part of reprography, is the totality of methods and means necessary to create and utilise microforms in human activities.

It must be noted, that different as they are, all definitions of microforms have one common feature - none of them treats microforms as original documents in the archival sense of the term "original". Usually definitions refer only to the medium and the way the image has been created - microimage.

The definitions above mentioned as well as the fact that in some countries microforms have not been defined, permits us to draw together the various opinions and to formulate the following conclusion: Microforms are microcopies of already existing documents but on another medium and produced by means of technical devices. This applies to all types of microforms, sometimes including CIM and COM. For that very reason microforms cannot be viewed as archival materials in the context of traditional archival theory.

Why then should we discuss microforms as archival materials and what is their actual place in our work? Why, furthermore, all answers to our question "Do you consider microforms produced in your country as archival materials?" are emphatically identical - "Yes".

### **Microforms and the Law**

The legal and professional mission of the archivist is to document the past for the future. Meeting the challenge to preserve all valuable records, archival theory and practice do recognise collecting copies in place of missing originals. On this ground the presence of microforms in archival collections is justified:

- \* In case this is the only method by which an archive can add valuable documents to its collections.
- \* In case of deposit of certain recordings. This for example is provided by Canadian archival legislation, including the National Archives of Canada Act of June 11, 1987.

- \* In case agencies retain original microforms as permanent records, after disposal of the original records. Such a practice is considered and regulated by the National Archives and Records Administration Act of 1984 of the USA.

Those are the main reasons for references to microforms as archive materials in the archival legislation of 18 (the majority) of the countries who answered the questionnaire. In 4 of them (Bulgaria, England, France and Japan) microforms are included in the more general formula: "other documents". The archival legislation in Austria, Romania and Czechoslovakia does not treat microforms as archival materials.

Even more complicated are the problems concerning the legal validity of microforms.

Our brief review of the present state of the legal validity of microforms proves once again that microforms are not equivalent to original documents. All the restrictions enumerated in the answers to our questionnaire, as well as the unwillingness of some countries to legalise the admissibility of microforms as evidence, would not have existed if microforms were documents in the exact meaning of the word.

So, microforms are copies of documents, previously created on some other medium and thus possessing provisional evidential value. Their actual presence in archives is mainly due to the necessity to expand collections by acquiring copies when acquisition of originals is, in one way or another, impossible.

The answers to our questionnaire show that acquisition of microforms is regular in the archives of 6 countries (Australia, Canada, China, England, Italy and USA); occasional in 12; both forms are practiced in Denmark, Poland and USSR. In the German Democratic Republic, acquisition of microforms depends solely on the type of medium on which written records have been preserved by the creating office. In India and in Bulgaria, microcopies of documents relating to their national history and preserved in foreign repositories are acquired according to definite programmes. Though to a

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large degree regular, the acquisition of microforms by the National Archives of France depends, as is clearly noted, on various circumstances.

Generally acquisition of microforms is carried out in accordance with the normal practices relating to the acquisition of archival holdings. Such is reported to be the practice in the majority of countries (19 of them).

### **Appraisals**

The answers to the question about the appraisal of microforms are much the same. All our colleagues do appraise and select them. In the majority of cases, this is done in the traditional manner - before acquisition and in the creating offices. Acquisition of microforms from other countries is usually on a selective basis.

To our question "Is your acquisition policy regarding microforms based on specialised evaluation criteria?" : 16 answered "Yes" and 5 "No" Federal Republic of Germany, Korea, Malaysia, Netherlands, Czecho-Slovakia, France and Japan have no experience in this field. In the questionnaire, we mentioned the two main groups of criteria, based on content evaluation and technical characteristics of the media. In 10 of the answering countries, appraisal takes into account both content and technical characteristics. In the remaining 16 countries, microforms are appraised and selected depending on the value of the information they contain. Appraisal of microforms on technical characteristics alone is not mentioned in any answer.

As Computer Output Microfilm is more or less a new form, archivists still reserve judgement on its acquisition and appraisal.

Analysing the answers regarding acquisition and appraisal of microforms, we reach the conclusion that if microforms are accepted, traditional methods are most widely applied. It is the value of primary information that is first taken into account. The specific characteristics of media as well as the technology of microform production are not sound reasons for formulating and applying some new of different principles and regulations. So, there is no need for any

new approaches to evaluation and selection of microforms. Their presence in archives does not require major changes in traditional archival methodology.

### **Applications**

The application of micrography in archives is for security microfilming, that is, for safeguarding the most valuable information on another medium and placing the master negative in a safe, environmentally-controlled storage vault. The fact that all the responding countries do make security copies is explicit enough. No better medium has yet been found.

All other applications of micrography in archives are divided as follows: preservation microfilming in 22 countries; reference microfilming (including production of microforms to meet customer orders) in 21; microfilm publications in 10; microforms as comparative copies in restoration in 9. It is only natural that in everyday work security, preservation and reference microfilming are very closely interwoven. Once created, the security microform can be reproduced for use in the reading-room, for copies for sale or diffusion by other means.

Generally documents that should be security filmed are selected upon one or several specialised criteria. Those mentioned in the answers to our questionnaire are not very different in the different countries. Most often these are the value of information recorded, the physical state of the records and the frequency of their use. Next come the completeness of processing and current importance of the series. Where security microfilming is concerned, specialists are unanimous that it must be done on silver halide roll film (35mm or 16mm).

Each of the archival institutions answering our questionnaire has commented on its micrographic equipment, the types of microforms it produces and the conditions for their long-lasting preservation according to its national standards. A common feature that can be clearly observed is the ambition to secure valuable information regardless of the money and efforts spent on achieving that goal. Microfilming systems may be installed in every

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archive or one microfilm laboratory may serve the needs of several archives, as is the case in the USSR and Bulgaria.

### **Equipment**

As for micrographic equipment, it does not differ greatly from country to country.

We have attempted, on the basis of the statistical data supplied, to calculate the ratio between number of cameras and number of readers in the archives. It is from 1:5 to 1:10 in favour of readers. This alone is a demonstration of the high estimation reference and preservation microfilming have received among the members of the archival community.

The special characteristics of microfilm media require special preservation conditions: vaults, special devices, strict temperature-humidity control. Yet, the replies to the questionnaire show that all archival institutions have made provision for the preservation of microforms - methodologically as well as in practice. Once again it may be asked are all these efforts justified? The fact that preservation and security measures have been undertaken in each of the responding countries in the true answer to this question. All the energy and money invested do make sense, because until now we know of no other method of securing the preservation of the original documents which is better than micrography. No wonder that all consider micrography a continuing element in their policies.

Publication on microforms, the so called microfilm publication; has long been practiced in the USSR, USA, England, Canada, Australia and some other countries. Its main advantages are: less work to be done and lower prices to be charged.

And finally as has been already mentioned, microforms are used as a comparative copy in the process of restoration of paper documents, and especially those heavily damaged.

### **CONCLUSIONS**

- \* Microforms are copies of documents previously created on some other medium. Hence, they have not yet achieved complete

acceptance as a credible replacement for original documents and their legal validity is provisional. The actual presence of microforms in archives is mainly due to the necessity to expand our holdings by acquiring copies when acquisition of originals is, in one way or another, impossible. Consequently microforms are archival materials but they are not documents in the professional meaning of the word.

- \* In the acquisition of microforms: content evaluation of the primary records plays the leading role. The specific characteristics of the media and the technology of their production are not reasons for preparing and introducing new and separate rules for their management. Different approaches are not needed when evaluating and acquiring microforms. Their presence in archives does not require any important changes in traditional archival methodology.
- \* At present micrography and microforms are the best means for securing archival information on another medium. The next basic applications of microforms in archives are preservation and reference microfilming. The well known advantages of microforms make possible micro-publishing and the application of microforms in restoration processes.

The main theme of this congress is "New Archival Materials". As the present report indicates, microforms do have their definite place and functions in our profession. Computer Input Microform and Computer Output Microform will to a great extent change and complicate the archivists' vision of these materials. This is a matter that belongs to the future but we must be ready for it. As Helen W Samuels has put it, our "modern, complex information-rich society requires that archivists re-examine their role as selectors. The changing structure of modern institutions and the use of sophisticated technologies have altered the nature of records". Archivists are challenged to select the lasting records and preserve them for the future. What they need are modern strategies and techniques to respond to these problems.

*By Maya I. Burmova and Janna S. Kraitcheva*

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## Computer Generated Records: Some Legal Aspects

### Introduction

As neither a lawyer nor a computer specialist, it is with some trepidation that I write this paper. However, as a records manager, I can present some of the problems as I see them, generate some discussion and, perhaps, draw out from those with more specialised experience, some potential solutions. That said, as a records manager, I perhaps see these problems more clearly than the more senior professionals. There is a greater awareness among my fellow practitioners of the problems presented by electronic media than seems to be the case with lawyers and computer professionals. We recognise that records are records, irrespective of the medium in which they are held. It is that clear link with the transaction of which they form a part that gives records, as opposed to the information they contain, their peculiar evidential value.

It is a source of some amusement to me that there have not been greater difficulties regarding the admissibility and acceptability of computer based records, than the available case law would seem to suggest. Much of the case law which does exist tends to hinge on the technical aspects of admissibility whether computer generated records should be allowed as evidence at all, rather than on the inherent reliability of the information they contain. The laws of evidence are difficult to apply in computer terms, despite efforts, in recent years, to make them more relevant.

### General Background

Many of the potential problems arise from the development of the English Common Law system. Broadly, this is an adversarial system. This involves a dispute between two parties with the judge deciding between them. Each party calls and examines witnesses under oath in open court and the other party has the opportunity to cross-examine those witnesses. Cross-examination is the primary feature of this system and has led historically to the development of a general rule that if a witness cannot be cross-examined then the evidence is not admissible.

Such evidence is called hearsay evidence. Over the years the "hearsay rule" has been adjusted to allow for a number of exceptions. This includes the presentation of documents, suitably supported by oral testimony, or suitably validated, but under very strict rules. Since the documents could not be Cross-Examined they would be admissible as "best evidence" and their weight would be evaluated accordingly.

In 1965 the House of Lords decided that the courts could no longer create new exceptions to the hearsay rule and this was now the role of parliament. In the same year parliament passed the new Criminal Evidence Act which, unsurprisingly, made no mention of computers or automatically generated records, although it did extend scope for the presentation of documents on microfilm. There is little doubt that the problem is more complicated than it appears on the surface. Case law up to now has tended to hinge on the question of "personal knowledge" of the matters described in the document put forward. On this basis internal computer operations, of which no individual could have personal knowledge, and which subsequently affect the output of the computer, have been deemed to be inadmissible. Nevertheless, it would seem that the English courts will become more liberal in their interpretation of the relevant hearsay rules in connection with computer based material, if only because of the increasing use of computers in normal business administration. If computer generated material is not to be admitted, there may be very little documentary evidence available. However, the most important thing to recognise is that the standard of accuracy required for court proceedings will be somewhat higher than that which would be acceptable in commercial operations. It is essential, therefore, that all computer installations, and all associated procedures, including rules for the retention of records, should be clearly stated and consistently applied at the earliest possible stage in the record/information processing operation.

### Laws of Evidence

Efforts have been made over the years, to cope with the problems arising from the presentation of computer generated and machine readable

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evidence in criminal and civil cases. In many ways however, these developments have left the law in an unsatisfactory state. The time that it takes legislation to come into being, combined with the exponential development in computer systems and the way they operate, has meant that the problems being addressed have changed substantially by the time the necessary law is in place.

### **Criminal Evidence 1965**

This act arose from a decision in the House of Lords (*Myers vs DPP*) concerning the admissibility of microfilm records of production cards in a car factory as evidence of car component numbers in a case involving stolen vehicles. The judges felt that it was up to parliament to introduce new exceptions to the hearsay rule. the 1965 act was passed as an interim measure pending the report of the Criminal Law Revision Committee on Evidence. The report of this committee was not acted upon and ministers decided that government should not promote legislation on the law of evidence until the Royal Commission on Criminal Procedure had reported. This report was published in 1981.

### **Section 1 of the 1965 act states:**

In any criminal proceedings where directed oral evidence of a fact would be admissible, any statement contained in, and tending to establish, that fact shall, on production of the document, be admissible as evidence of that fact if: (a) the document is, or forms part of, a record relating to any trade or business and compiled, in the course of that trade or business, from information supplied ... by persons who have, or who may reasonably be supposed to have, personal knowledge of the matters dealt with in the information they supply.

At the same time the person who supplied the information must be unable, for a number of stated reasons, to give the evidence in person.

In estimating the weight to be given to computer records in criminal proceedings the court has to consider the statement and, in particular, whether the information is contemporaneous with the event and also whether the person

making the statement had any incentive to conceal or misrepresent the facts.

### **Civil Evidence Act 1968**

On the face of it this act is a more comprehensive attempt to deal with the problems of computerised records. The computer is defined in the act as "any device for storing and processing information" and embraces a number of computers used in combination or in succession.

A document is defined as including "any disc, tape, soundtrack or other device in which sounds or other data (nonvisual images) are embodied so as to be capable, with or without the aid of some other equipment, of being reproduced therefrom.

A number of conditions are laid down governing the admissibility of computer generated documents in civil proceedings. A document produced by a computer is admissible as evidence of any fact of which direct oral evidence would be admissible provided that:

1. The document has been produced by the computer in the course of its regular activities of storing or processing information for the purposes of any of its regular activities.
2. Information of that kind (or information derived from it by calculation, comparison or any other process) has been supplied to the computer in the ordinary course of those activities.
3. That throughout the material time the computer was operating properly or if not, any fault or breakdown was not such as to affect the production of the document or the accuracy of its contents.
4. The information reproduces or is derived from information supplied to the computer in the ordinary course of its activities.

In civil proceeding evidence produced by a computer and introduced must be accompanied by a certified signed by a person occupying a responsible position in relation to the computer or to the management of its activities and must, among other things, identify the document and

describe the manner in which it was produced, describe the computer system for the purpose of showing that the document was produced by a computer and demonstrate compliance with the conditions set out above.

#### **Police and Criminal Evidence Act 1984**

This particular piece of legislation, where it deals with evidence, attempts to tidy up the provisions of the Criminal Evidence Act 1965. It repeats the provision of that act in connection with the admissibility of documentary evidence, including the condition under which "the person having knowledge" should not be required to attend.

Section 69 deals with evidence from computer records. It states that in any proceedings the statement in a document produced by a computer shall not be admissible as evidence of any fact stated therein unless it is shown that there are no reasonable grounds for believing that the statement is inaccurate because of improper use of the computer, that at all material times the computer was operating properly or that any malfunction was not such as to affect the production of the document or its accuracy and that any relevant conditions specified in the rules of court should have been met. The term computer is not defined.

In Schedule 3 Part II there are supplementary provisions to the section. These state that in any proceedings where it is desired to give a statement in evidence in accordance with Section 69, a certificate:

- a. Identifying the document containing the statement and describing the manner in which it was produced.
- b. Giving such particulars of any device involved in the production of that document as may be appropriate for the purpose of showing that the document was produced by a computer.
- c. Dealing with matters outlined in Sec. 69 (1).

There are some qualifications of this position in paragraph 11. In estimating the weight, if any, to be attached to a statement, regard should be had to all the circumstances from which any

inference can reasonably be drawn as to the accuracy or otherwise of the statement. In particular:

- a. Whether or not the information which the information contained in the statement reproduces was derived from or supplied to the relevant computer, or recorded for the purpose of being supplied to it, contemporaneously with the occurrence or existence of the fact dealt with in that information.
- b. To the question whether or not any person concerned with the supply of information to the computer or with the operation of the computer or any equipment by means which the document containing the statement was produced, had any incentive to conceal or misrepresent the facts.

An important new provision has also been added. Paragraph 12 states for the purposes of paragraph 11 "information shall be taken to be supplied to a computer whether it is supplied directly or (with or without human intervention) by means of any appropriate equipment". Essentially this appears to mean that the "personal knowledge" restriction in the 1965 act has been removed.

On the basis of the above legislation, it now appears very unlikely that computer generated evidence will be considered to be inadmissible. However, some doubt has been cast on the validity of the provisions of this legislation, largely because of the way in which the software dimension of computer systems has been ignored. Although it may be perfectly possible to describe and certify the system as indicated in the laws of evidence, it is almost impossible to provide a comprehensive statement on the infallibility of the operating or applications software driving the computer at the time.

Bear in mind that the computer essentially is an idiot, and can only function with instructions provided by human beings. Generally it requires two sets of instructions, operating software which actually makes the machine work in itself and applications software which is designed to manipulate the data supplied in a particular way.

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Although quality control standards in computer software have been much improved there remain doubts as to the complete efficiency of such products, particularly in the microcomputer market. No software can be considered to be totally error free and any claim to that effect should never be taken seriously. It is always possible that a set of circumstances may produce an error that was not discovered in the original testing procedures.

The physical problems associated with hardware do not have to be repeated here. Breakdowns in the equipment can occur at any time. What is required of course is adequate knowledge and a record of such happenings.

### **Weight of Evidence**

Argument generally will be on the weight, validity and accuracy of information produced in evidence. As suggested this is much more difficult to establish in an electronically captured and generated document than one manually produced in hard copy. Undetected retrospective amendment of computer based records is undeniably easy. How do we establish accuracy of information, bearing in mind that greater accuracy will be required for court use than that necessary for normal commercial operations? Small errors at the margins may be acceptable in normal commercial usage but where the liberty of the subject is involved, this level of consistency would not be acceptable. There remain problems of verification. Who has all the information relating to the operation of the computer system, its software, peripherals and related storage facilities? Is it possible for any one single individual to be aware of every aspect of the operation and control of the computer system? Generally speaking a competent individual will only be able to provide such certification "to the best of his ability". The weight of his evidence at the same time must, therefore, be open to challenge.

That said, every precaution must be taken to ensure that, at least within these limitations, the system was operating efficiently and effectively and that any breakdowns or failures have been recorded. It is necessary to consider the legal

requirements at the point of creation. The following operational records would seem to be the minimum necessary to begin to satisfy these needs and it is important that records managers should liaise closely with their DP department to ensure that such records are retained.

1. A log, signed by the operator and countersigned by the appropriate manager, recording the computer system, including its operating system and applications software, noting any malfunction but also including negative statements that no malfunction has occurred during an operation.
2. A register of complaints from users about deficiencies in information received from the computer service, including the date on which the run in question took place.

The log and the register must be retained for the same period as the records to which they relate. Retention must be co-ordinated with that of related documentation in other media.

What is required, at the very least, is "a good housekeeping system" which seeks to minimize the errors which can occur and make the statements of the expert witness more susceptible to direct corroboration. It is essential that any computer operation should be well set up, well established and have comprehensive operating procedures and every effort should be made to minimize the possibility of error, fraud, malfunction and corruption of data. This will at least ensure that when evidence is given it is the best available.

There are other problems, however. Data may be corrupted particularly in transmission over telephone lines from one system to another. In interactive systems with a number of users it is possible for data to be changed by one user affecting that used by others. This is a problem which has been exacerbated by the development of microcomputing systems linked in networks and to mainframe computing facilities. While it may be possible to check and control the use of dedicated terminals on a mainframe system it is somewhat more difficult to exert this control over the use made of data taken down from a mainframe onto the micro system and



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reprocessed. It is also more difficult to control the final form of corporate records held on personal systems, much in the way that it is with hard copy records in personal filing cabinets.

What is the final record or document in the system? It is essential when setting up electronic systems to identify at the earliest possible time, the final record in the system, the one which is contemporaneous with the facts contained, to arrange for this document to be locked (i.e. fixed and unchangeable) and for this record to be properly authenticated. Everything should be checked and double checked.

Even following all these procedures it may well be difficult to assert conclusively that the document produced is accurate and that the system which produced it was functioning correctly in all respects. All that one can do in these circumstances is to provide a system which demonstrably minimizes the risks involved.

### Conclusion

What I have attempted to do, however imperfectly, is to highlight the dangers of complacency over the accuracy and validity of records produced by a computer and in doing so to draw attention to the legal difficulties which might arise should such documents be produced in evidence. There is no doubt that errors are endemic in the use of computers and that there are signs of complacency on the part of computer professionals, lawyers and indeed records managers as to the level of accuracy of the output of such systems. There is a need to be aware of the problems which can arise and to seek to manage the risks involved in a sensible professional way.

The legislation, in so far as it exists, is vague and in many ways inadequate. Although there is a general consensus that allowing for the use of computer generated material in court, and indeed as an alternative record keeping medium under various statutes, and the legal implications of such use, should be catered for, the inherent weaknesses of the system should be recognised and the necessary action taken. Records managers have a continuing duty to ensure that the right record can be produced at the right time, including the satisfaction of legal needs,

irrespective of the medium in which that record is held or produced. Their fellow professionals in other disciplines must take a similarly wide view of their responsibilities.

*Reprinted from "Approaches to Problems in Records Management" from a seminar at the University of Liverpool, by permission of the Records Management Group of the Society of Archivists.*

*Peter Emmerson, Chief Archivist  
Barclay Bank, PLC and Executive  
Vice President of IRMC*

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## **Information Privacy: Australian and International Trends**

Records management skills are becoming increasingly important in the modern business and government environment. We are well aware of the rapid and continuing improvements in technology that have occurred over the last twenty years. Computer technology even by the late 1960's was relatively expensive and cumbersome and not easily applied to general record systems. Today in most organisations it is, for the most part, inefficient and costly to continue to handle general records entirely by manual means. We now see in many organisations total reliance on computer processing and storage for handling items of information that are repetitive, routine or simple in character, with idiosyncratic information only being held in manual form.

### **Global view**

Coupled with these developments in technology, the public and legislators in many western industrial countries have expressed concern over the implications for the civil liberties of the community. Concerns have focussed particularly on the capacity for surveillance open to big bureaucracies, both in government and the private sector, through the use of techniques such as data linkage and data matching. In the case of government, fears have also related to the possibility that legislation could be enacted which was very intrusive in relation to the kind of questions which could be asked and the systems of surveillance which could be put in place, with penalties being imposed on those who failed to comply. Consequently we now see throughout the western world national laws on protection of privacy. As at 1989 about twenty countries have national data protection and privacy laws. These include the United Kingdom (legislated in 1984), Canada (1984), Germany (1978), France (1978) and Sweden (1973). In 1988 Australia legislated by passing the Privacy Act 1988 creating the position of Privacy Commissioner which I occupy. Also in 1988 the Netherlands, Ireland and Japan legislated. In the case of the European countries they have passed

laws in response to their commitment to the Convention of the Council of Europe on data processing, while the non-European countries such as Australia and Japan have acted in response to similar commitments made in the Organisation for Economic Co-operation and Development (the OECD).

### **LEGISLATION**

All the countries that I have mentioned have adopted schemes for the protection of the privacy of personal information which have as their centrepiece a regulatory official or agency, broadly similar to the Privacy Commissioner in Australia. I should note that the largest western nation, the United States, has not adopted this regulatory approach. At federal level, there are a number of laws on privacy, notably the Fair Credit Reporting Act (1968) and the Privacy Act (1973) but they simply confer rights of action in the ordinary courts on individuals who claim to have suffered harm because of breach of their provisions. By and large U.S. legislation does not establish monitoring and audit controls over data collection, storage and processing activity. A variation from that approach is found in the Computer Data Matching Act, passed during 1988., regulating federal government data matching programs.

While all the national laws, except for those of the United States, ultimately rely on a regulatory official or agency for their implementation, there are wide variations in the extent of coverage. Some lay down standards which legally bind the whole of the public and private sector, but only as to computerised records (e.g. United Kingdom); this sometimes leads to oddities where record-keepers seek to keep non-computerised some categories of sensitive records for fear of the law applying. Others take a sector-by-sector approach - a pattern evident in federal countries such as Canada and, now, Australia. Canada's federal law only binds Canadian federal government administration, with the Canadian Privacy Commissioner urged to encourage adoption of standards voluntarily beyond that area. On the other hand, the Canadian law does not discriminate between computer and manual records in its application. A broadly similar approach is found in the

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Australian law. Its principal area of application is federal government administration, though it does also apply to the country's tax file number system and in that regard binds the whole community. The Australian law does not discriminate between computer and manual records. Like the Canadian law, it stresses the role of the Privacy Commissioner in encouraging adoption of standards voluntarily by the private sector.

### THE AUSTRALIAN SCENE

The core element of the laws to which I have been referring is a statement or charter of information privacy rights, which apply in detail the OECD or Council of Europe standards. In Australia this charter of rights is known as the "Information Privacy Principles" and is set out in section 14 of the Privacy Act. The Principles set out the standards to be applied by Commonwealth administration to the collection of personal information, its solicitation, storage and security, notifying the public of the existence of systems, access, correction, accuracy and relevance and to the internal use and external disclosure of information. The principles cover four and a half pages of the Act and have over 1500 words - I understand that the somewhat more socially significant Ten Commandments took up less than 200 words!

I will not recount in detail the text of the Information Privacy Principles. But to give you some examples. The principles dealing with collection of information require that data be collected lawfully and fairly and that the purpose of collection, ordinarily, be notified to the individual. Reasonable steps must be taken to ensure that the information is up to date and complete. Security measures for protecting the confidentiality of personal information must be reasonable in the circumstances. The public notice of systems must contain a good deal of basic detail about agency practices, and is to be published annually by the Privacy Commissioner in the form of a Personal Information Digest. Broad access and correction rights are stated in the principles, with the formal mechanism for access to Commonwealth agency records to remain an application under the federal Freedom of Information Act 1982. In the event that an

individual is denied access to a personal record on the basis of an exemption contained in the FOI Act, the individual may seek the intervention of the Privacy Commissioner to examine his grievance and if appropriate request the agency to make an alteration or correction.

In terms of ensuring the continued confidentiality of personal information, Information Privacy Principles 10 and 11 are probably the most significant; they seek to define the conditions which govern the internal use and external disclosure of personal information. Both principles commence by prohibiting the handling of information for a purpose other than the one for which it was collected. But IPP 10 (the use principle) allows for uses unrelated to the original purpose where the subject consents or to prevent a serious or imminent threat to the life or health of the individual concerned or another person. The principle also allows use which is directly related to the purpose for which the information was given. These modifications of the strict principle are not, in my view controversial. Apart from the directly-related purpose modification similar modifications are made in relation to the external disclosure principle.

More significant for confidentiality are the other two exceptions common to both the use principle and the disclosure principle. These allow for data to be released if it is "required or authorised by law" or if it is "reasonably necessary" for "the enforcement of the criminal law" or for "the protection of the public revenue".

Finally, the disclosure principle also allows for disclosures of which the individual is reasonably likely to have been aware at the time of collection of the information.

I should add that both principles require a record-keeper to log law enforcement or public revenue disclosures.

My office has in recent months been undertaking an extensive federal government training program on these new responsibilities for agencies. I am pleased to report that as at October 1989, almost 600 Senior Executive

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Service officers have attended three hour training courses held in Canberra, Melbourne, Sydney and Brisbane. And full-day training courses for middle level officers appointed by their agencies as privacy contact officers have been attended by several hundred. I am gratified by the initial response on the part of federal administration to the new Act and believe that this augurs well for the principles quickly becoming part of the administrative culture.

As time passes, we will, see extension of the information privacy principles to other areas of community life. Already in 1989, the federal parliament has given consideration to two significant extensions to the Act. The first bill to be considered has now passed - the Crimes Legislation Amendment Act 1989 which lays down limitations on the collection and use of old, minor federal convictions. These standards bind the whole Australian community, while the same standards are required to be applied to all convictions - whether federal or state - by federal administration. The new scheme will come into operation not later than 30 June 1990. As at October 1989, the other bill had yet to pass. The Privacy Amendment Bill 1989 seeks to cover the national credit reporting industry. The database operated by the Credit Reference Association of Australia (10 million individual files on credit history) is probably the most significant to be found in the private sector.

Under the Privacy Act 1988, the amendments in relation to spent convictions and (if and when passed) the current bill on credit reporting, individuals are given a right to complain of breach of standard to the Privacy Commissioner. The Privacy Commissioner has extensive powers of investigation and powers to make final, binding orders directing change in practice and awarding monetary compensation. The Privacy Commissioner has also - and often these powers will be more significant in practice - wide powers are given considerable emphasis in the original Act and also in the bill on credit reporting.

## COUNCIL OF EUROPE

The work of the Council of Europe provides the best guide overseas to areas of record-keeping of particular concern to technologically advanced countries. We can expect, that the issues being canvassed at the Council of Europe are likely also to be significant in Australia. The Council of Europe has made formal recommendations on automated medical databanks, direct marketing, social security, police and employment records. Currently it has a major project examining electronic funds transfer and banking and financial records practices. Alongside this European activity the OECD has been actively seeking to obtain voluntary adoption of its principles by major international record-handlers. It has negotiated codes with the International Air Transport Association (IATA), the Canadian Bankers Association and the Centre for Financial Industry Information Systems in Japan.

So this review of trends in the information privacy area will, I trust, reinforce for you a view which many in this audience will hold - that information privacy requirements will increasingly become an essential part of good record management practice in organisations. Similarly, the community as it becomes more aware of its rights in this area is likely to become more exacting in its demands that the confidentiality of personal information be respected. Australia has, as we have seen, been a relatively late entrant to the table of nations with information privacy laws. Nonetheless the remedies given to individuals under the Australian law, viewed internationally, are particularly strong. This indicates, I believe, a significant commitment by the Australian Parliament to the protection of privacy and already we are seeking major proposals to extend the legislation being brought forward.

*Kevin O'Connor*  
*Privacy Commissioner, Australia*

# **SUBJECT INDEX OF ARTICLES PUBLISHED IN THE INFORMAA QUARTERLY 1984-89**

*H. W. Nunn, B.A. (Hons), C.R.M. (USA), FRMAA*

## **SUBJECT INDEX**

### **ARCHIVAL PAPER**

Lavrenic, Tamara

Paper - Here Today, Gone Tomorrow

Aug 1989 Vol.5, No.3, p.21

Archival paper is manufactured in Australia and stable for "several hundred years" if stored properly. The work of Archival Paper Action Committee as a sub-committee of the Australian Institute for the Conservation of Cultural Material.

### **CONFERENCE REPORTS**

Francis, Helen

ARMA Conference October 1989 - A Report

May 1988 Vol.4, No.2, p.46

A resume of the 32nd Annual Conference of the Association of Records Managers and Administrators at Anaheim Convention Centre, California. IRMC and RMAA shared a booth at the exposition. An excellent conference and a rewarding experience. Australian conferences compare favourably with American.

Tolhurst, Terry

Outline of 1987 Directors Meeting

Sept 1987 Vol.3, No.3, p.13

### **CONSULTANCY**

Ellis, Judith A.

The Future of Information Consultancy

May 1988 Vol.4, No.2, p.41

The scope for information consultants has increased. It is not just a case of "hanging out your shingle" and "voila" instant success. Objectivity, expertise and commitment are essential.

Lovett, T.

The Records Management Feasibility Study

Sept 1985 Vol.1, No.2, p.25

Discursive article on objectives, necessity and benefits of records management; the role of a consultant and functions as a change agent; the staff function and user's acceptance.

Williams, Bill

Consultants - The Use of

Aug 1989 Vol.5, No.3, p.36

Records Management is no place for untrained information professionals. The Records Management Association provides a list of Consultants and advocates use an experienced qualified

Records Manager to carry out your review. You have to live with and operate any Records Management System designed by a consultant.

### **DISASTER RECOVERY PROCEDURES, VITAL RECORDS**

Duggan, Wendy

Disaster!

Feb 1988 Vol.4, No.1, p.17

An account of flooding of storage areas during building extensions and a weekend heavy rainfall and the recovery procedures set in motion. Practical advice for a disaster recovery plan.

Finn, Sandra

A Fire Story

Nov 1989 Vol.5, No.4, p.29

Fire in the Records Section, Great Lakes Shire Council, Forster, NSW. Lack of a disaster plan caused improvisation and heavy rain impeded recovery. The records strong-room was intact and a plan of the Records Section pre-fire drawn up. A recovery room and a new records area was instituted - a "clothes line" procedure adopted; some wet files placed in plastic bags and boxed to prevent drying out and sticking together pending recovery; dried filing photocopied and then thrown out; information transcribed from wet file movement cards and new files started. Evacuating the damp strong room and dehumidifying was successful. The new Records Section included an alarm system, smoke detectors, fire equipment and fire proof storage. Other lessons learned were documentation of all record types held, a vital records program, a plan of records areas showing location and contents and a disaster plan. A practical article.

McDougall, John

Planning Ahead for your Company Security

Aug 1989 Vol.5, No.3, p.17

Lists seventeen potential hazards, especially weaknesses in computer security standards. More than 70% of businesses whose paperwork and computer programs are lost in fires go out of business within three years of the fires. A well researched contingency plan is essential - the procedures are listed.

Smith, George R

Vital Records

Nov 1985 Vol.1, No.5

Justification of a vital records programme in the light of potential natural and man-made disasters. The history of records-keeping indicates we are capable of protecting the legal

financial and ethical interests of organisations by establishing vital records protection as a policy.

## DISPOSAL (DISPOSITION), RETENTION SCHEDULES

Crux, Narelle  
BHP Archives

Nov 1986 Vol.2, No.3, p.14

Australia's largest company and one of the largest corporate collections. Following the Australian Archives and Victoria's Public Record Office the principal finding aid is the series list now being automated. A semi-current records repository is operated and general disposal instructions lie with the transferring department. Disposal schedules are advocated by Archives.

Destruction - The Final Question

Sept 1986 Vol.2, No.2, p.31

A composite article of assignments by twelve students at a records management course at North Sydney Technical College covering pulping, burning, shredding and dumping as land fill.

Dudley, Graham

The Life Cycle of a Record

Nov 1988 Vol.4, No.4, p.36

An outline of four media: paper, microform, magnetic tape and electronic records and the life cycle of creation, control, disposal and retrieval.

Godfrey, Denis

Disposal of Records, What to do and Why

May 1986 Vol.2, No.1, p.9

The development of a Disposition or Retention Schedule, the Inventory Form, determination of values and depository practice. A useful guide.

Kaufbold, Thomas and Seto, Darryl

Drafting a Disposal Schedule

Sept 1987 Vol.3, No.3, p.26

A disposal programme is an important part of records management and schedules are a well-based records management practice and partly a classification exercise. Disposal classes of records in the Commonwealth Department of Social Security including ADP outlets.

Reed, Mervyn C.

The Management of Security for Off-Site

Storage and Destruction of Records

Nov 1985 Vol.1, No.5

The Federal Government allows 5 percent of total floor accommodation for on-site storage and off-site storage in purpose built secure areas is provided for short-term records and is five times cheaper than prime office space. The private sector generally considered information poor (1985), carries excessive temporary records and is a target for espionage leaks, etc. Off-site storage is economic and security systems are described together with safeguards of effective disposal.

Saul, Lindy

Records Disposal - Towards a New Methodology

Nov 1988 Vol.4, No.4, p.21

A lengthy article advocating records disposal as a management tool enhancing productivity and profitability, but arguing the comprehensive records survey technique is a luxury. New names for older procedures [the concept of scheduling as a management tool was around in the fifties in Victoria and probably earlier in USA. Correctly linked with archival selection

it inevitably updated filing systems. Across the board general schedules, accounting, personnel, transport, etc. also has an earlier history and Organisation and Methods studies also dates from the fifties]. Information Systems Planning is a new name for a basic concept and the post war advent of commercial microfilming brought emphasis that "a record is a record regardless of concept". [Early scheduling in Victoria in the fifties and probably elsewhere was a team effort of Archivist, Senior Departmental Officer and O & M personnel]. A very useful article with a commercial thrust in the current "Information Age" terminology with excellent diagrammatic outlines.

## EDUCATION

Bate, Gordon

Melbourne College of Advanced Education: Graduate Diploma in Information Management (Archives and Records)

1985 Vol.1, No.3, p.5

A Graduate Diploma course commencing in 1985 admits a limited number of students without formal academic qualifications but with appropriate experience. Concentrating more on generalities than specifics there are four introductory subjects and two major subjects - Archival and Information Resources Theory, Archives Administration Land Records Management Practices and a Practicum. An early imbalance favouring archival rather than records administration.

Dickson, Ian

Victorian College, Rusden Campus, Applied Science Degree in Scientific Information Services.

1985 Vol.1, No.3, p.7

A three-year undergraduate degree with four major components: Foundation Studies; Science Sequence; Professional Study (draws together the scientific disciplines, media, computer science, communication and administrative skills); Optional Studies (a wide range of personal choice).

Hoo, Marita D.

Musings on Australian Records Management Education for the 1990's and its Relationship to Other Information Professions.

Nov 1988 Vol.4, No.4, p.18

A qualified librarian who has worked in the Records Management profession advocates integration of information resources and, à la librarianship, a distinction between technician and management levels in names and contents of courses. Current "islands of information management" require closer cooperation.

See also TECHNOLOGY AND INFORMATION SCIENCE AND MANAGEMENT.

Kreiberg, Dale

Teaching Records Management

Feb 1988 Vol.4, No.1, p.29

A personal perspective gained from the North Sydney Technical College "Introduction to Records Management" course. Discusses education, teaching, motivation, the student and the need for skilled Records Managers.

Kreiberg, Dale

Growth Through Education

Sept 1986 Vol.2, No.2, p.18

Away with the untrained clerk "to do the filing" and educate records staff with on job training and vocational courses. An incomplete listing of courses in the various States is given.

McDonald, Peter W.  
Pahran TAFE College - Certificate of Business  
Studies (Records Administration)  
1985 Vol.1, No.3, p.12

A four year part-time course of 20 units entitling the student to a Certificate of Business Studies (Records Administration). A Certificate of Records Management is granted to students who complete the Records Administration subjects and Middle Level English 1A and 1B. The subjects described are Records Management 1A (Principles), 1B (Disposal), 2A (Manual Systems), 2B (Mechanical Systems and Machines), 2C (Reviewing Records Programs) and 2D (Training and Management).

Patterson, N.  
Graduate Diploma in Information Management (Archives & Records),  
Melbourne College of Advanced Education  
May 1988 Vol.4, No.2, p.12

An account of the Award Conferring Ceremony for the first graduates. The course was developed by the College in association with the Records Management Association of Australia and the Australian Society of Archivists.

Sandy, Geoff and Ervine, Christopher  
Footscray Institute of Technology: Bachelor of  
Business (Information Management and Communication)  
1985. Vol.1, No.3, p.30

A three-year course of twenty-four units with twenty compulsory core units and three major studies in specialist business disciplines of Office Information Systems, Electronic Data Processing or Administrative Studies. The concept, role and historical significance of the Records Management process is dealt with within Office Information Systems.

Taylor, Phillip  
Education in Records and Information  
Management - Learning for the 1990s  
May 1988 Vol.4, No.2, p.9

Penetration of the labyrinth of bureaucracy in the education systems of Australia has established courses of good quality and relevance but the ideal blend is a mix of formal class training and on the job training. Functions, seminars and conventions an excellent avenue for updating technological change. Lists a chart of 17 courses directly concerned with Records Management or elements of same in course studies.

Taylor, Phillip  
The Education Policy of the RMAA  
Mar 1989 Vol.5, No.1, p.5

The Association was formed to provide a means by which persons involved in records management could associate with others of similar interest. From these humble beginnings a constitution was developed and the Association incorporated as a Company in the Federal Territory of Canberra. A dual approach to education has been developed, a policy formulated and adopted by Federal Council in September 1988 (see Vol.5, No.1, pp6-8) to set standards and provide an outline of courses and to have courses accredited with the RMAA. It is not expected the policy will remain static in a changing education environment.

## FORMS MANAGEMENT

Barnett, Robert  
Forms - The Forgotten Record  
Sept 1985 Vol.1, No.2, p.14

A prime tool of trade, proliferation, costs and evolution of Forms Control - a Forms Control Department? Specific Forms

Management Objectives, why some programmes fail.

## HISTORY, DOCUMENT USAGE, REMINISCENCES

Borlase, Jim  
A Historical Perspective  
Sept 1986 Vol.2, No.2, p.5  
Personal reminiscences in records management.

Hupalo, M.  
A Time to reflect  
Aug 1988 Vol.4, No.3, p.6  
In praise of pioneers. What will the next generation think of our response to challenging times.

Lovett, T.  
Records Management Association of Australia -  
History Highlights  
Nov 1987 Vol.3, No.4, p.13

Mainly personal activities of the author in relation to New South Wales Branch. Written on the occasion of the 20th anniversary of the formation of the pilot committee in New South Wales in 1986. The editor of this Informa Quarterly notes the first seminar in 1950 on Records Management under the auspices of the Business Archives Council of New South Wales and the Department of Economic History, University of New South Wales, on "Retention, Scheduling of Business Records". [In the fifties the Department of Economic History, Melbourne University, and the Archives Section of the State Library of Victoria similarly established a Business Archives Council of Victoria - the forerunner of Melbourne University Archives].

Nunn, H. W.  
National Australia Bank - "Select Documents of  
the Nineteenth Century"  
May 1988 Vol.4, No.2, p.39

Two volumes of edited documents give an insight into events which helped shape our modern day economic and banking development. The first time an Australian Bank and probably those in other countries has published its early documents. The edited documents represent a major culmination of the Records Management/Archival work flow where the selection of records for preservation is, as far as possible, made available to a wider public in a documentary publication.

Thin-Smith, Tam  
RMAA - Retrospective - Prospective  
Feb 1988 Vol.4, No.1, p.4

A brief "Retrospective" history of Records Management in the light of new technology with little of basic evidentiary legislation. Corporate challenges to Records Management prophesied in the immediate future.

Walker, I.D.  
Historical Officers and Records Management  
Sept 1987 Vol.3, No.3, p.21

A Departmental Historical Officer believes historical working documents should be in their own series as distinct from the subject files but does not define "historical". Such a file however is conceived of as a record of the research and writing on a particular subject. Argues historians should interface with records managers.

## HUMAN RESOURCES

Comber, Denis

The Records Manager: Change Agent or Victim of Changes?

Aug 1988 Vol.4, No.3, p.14

The active records manager eradicates poor records practices and suits the information needs of both users and corporation.

Crush, Peter J.

Who controls the information?

Nov 1985 Vol.1, No.5

A number of job categories are identified as "information workers" and specialists within an organisation. It is the Records manager who can work with these specialists to implement programmes for information co-ordination, systems integration and effective retrieval.

Duggan, Wendy

The Human Side of the Equation

Feb 1988 Vol.4, No.1, p.33

Cites the information industry as an unstable environment with greater expectations for Records Managers and staff. People issues must be addressed by today's managers. It is easy to get lost in technicalities and forget the real reason for successful systems is the human side of the equation.

Farrell, Linda

Effectively Motivating Records Staff

Nov 1987 Vol.3, No.4, p.8

The act of motivating another human being to be all that he/she can be is the most important function any manager can perform. Lists characteristics of effective motivation.

Lapworth, P. B.

Management Attitudes to Information Work

Nov 1987 Vol.3, No.4, p.6

Experiences of a free lance consultant in information and library areas mainly with mining companies. Found most companies using the consultant reluctant to employ a suitably qualified person to run systems after their installation. A mixed bag, some companies appreciating the importance of accessible information procedures and others not.

Lovett, T.

Job Enrichment in Records Management

Nov 1985 Vol.1, No.5

Information Resource Management achieves the objectives of records management while creating substantially more meaningful jobs and improved working conditions for records management operatives. The need for a co-ordinated approach. Job enrichment and Information Resource Management are defined.

Nairn, Malcolm J.

Motivation

Nov. 1985 Vol.1, No.5

Managing people - a machine won't sulk, be late, disappear, argue - but people will. Three elements of motivation are discussed - recognition, feeling and human relations.

Porter, Graham

Records Management Problems - a Personal View

June 1989 Vol.5, No.2, p.26

Discusses the low importance attitude of senior management towards records management, the diversity of products available in records management areas and the differing types of storage facilities used mainly in Government areas.

Rosenthal, M.

Implementing Automated Records Management Systems

Feb 1987 Vol.3, No.1, p.14

Considers such issues as confidence, modifications, manuals for

use of the system, training, publicity, pilot phase, maintenance and support.

Smith, Peter

I find, I File, Am I a Fool?

Nov 1989 Vol.5, No.4, p.19

The lack of acceptance and recognition by management of the vital tool of records management. Education and qualifications can achieve this recognition. Extols the promoting of an image and the setting of goals for responsible self-growth.

Smith, Peter

Production through Effective Records and Information Management

June 1989 Vol.5, No.2, p.13

A paper presented to the Philippines Records Management Association Symposium, May 1989. Technology a tool of management and not the master. The important cog in the wheel is people and training, in-house and academic formal education, is extolled lest creditability as managers be lost. Both Graham Dudley (Executive Director IRMC and Federal President RMAA) and the author (President of IRMC) pledge support to see what avenues exist for training and education schemes between PRMA and RMAA with government assistance.

Williams, Bill

Records Management and How to Get That Pay Rise

May 1988 Vol.4, No.2, p.21

Preparation and presentation for that pay rise. Power dressing, know the core of your case with supporting evidence, the work load of the new technology and the skills required. Develop a co-operative strategy.

## IR.M.F., I.C.R.M.

Lovett, T.

Origins of the International Records Management Council

Vol.1, No.6, undated

IRMF origins and activities during 1970-72.

Nunn, H. W.

The Institute of Certified Records Managers

1985 Vol.1, No.3, p.3

ICRM (USA), a non-profit organisation for professional certification of records managers. Developed by ARMA in 1966, sponsored by ARMA and allied associations and incorporated in 1975 as an independent organisation. Organisational structure (Board of Regents), objectives, an outline of the main study and examination subjects. A CRM a prime position classification.

## LOCAL GOVERNMENT APPLICATIONS

Camden, Pam

Bar-code Tracking - Efficiency Plus

Nov 1989 Vol.5, No.4, p.24

Bar-coding replaced a manual system using cards for file tracking at Blacktown City Council. Equipment purchased was portable touch screen units with laser guns, fixed readers, a bar-code label printer and terminals located in various areas. The system is audited every second day. Commenced in 1988, the pressure taken off the Records Section is "absolutely incredible".



Fraser, Russell

Implementing the Local Government Disposal Schedule

Aug 1989 Vol.5, No.3, p.34

Outlines the five stages of Logan City Council developing its own disposal schedule using the General Records Disposal Schedule for Local Government prepared by the Queensland State Archives.

See also RETENTION/DISPOSAL SCHEDULES.

Hunter, Brian

Tencode - a Universal Classification Code for

Local Government Records

Aug 1989 Vol.5, No.3, p.27

A new code classifying all municipal matters into ten primary classes. An analysis of Local Government functions without a thesaurus or keywords or any other index and a place for every file a possibility. The system is written for Queensland practice with plans to edit the system for New South Wales use. Supported by graphs to illustrate the main logic and a secondary code index.

See also THESAURUS AND KEYWORD CONTROL

Irvine-Smith, S.

Compilation of the General Records Disposal

Schedule for Local Government in New South Wales

Mar 1989 Vol.5, No.4, p.27

Preceded by individual schedules in the 1960's a General Record Disposal Schedule for Local Government was developed in Victoria by the Public Records Office in the early eighties. It emanated from responsibilities under the Public Records Act. Queensland State Archives also have a legal responsibility for local government records and in New South Wales an Ordinance of the Local Government Act in 1985 prepared the way for a General Records Disposal Schedule.

Following the activities of an action committee formed in 1981 a Ministerial Working Party was set up in 1983 under the Department of Local Government with funding by a bicentennial grant under the control of the Archives Authority of NSW Government Records Repository. As distinct from other states with a central authority, legal responsibility for its records remains with the local authority and it is hoped all local authorities throughout New South Wales will make use of the Schedule. On sale for \$35.

Kerr, Ruth

Queensland Local Government Records Disposal Schedule

Nov 1987 Vol.3, No.4, p.19

A General Disposal Schedule for Local Government Authorities issued by the Queensland State Archives and the Queensland Library Board under Part IV of the Libraries Act 1943-79. It mentions the Victorian Public Record Office publication of a Local Government Schedule in 1985 which is a General Schedule. [Individual schedules for Brighton and Wangaratta Municipalities and subsequently others had been developed as early as 1957].

See also DISPOSAL/RETENTION SCHEDULES

Love, Annthea

Keywording Local Government Records

Feb 1988 Vol.4, No.1, p.22

Property based records require a simple index as a separate series but administrative records benefit from keyword indexing. The hierarchical classification scheme requires descriptors and a thesaurus and is suitable for KWOC indexing. Free text schemes eliminate a classification manual but a list of keywords and their definitions is required for control at file creation level and can be inconsistent. The hierarchical system although more complex is economic and the more accessible system.

See also THESAURUS AND KEYWORD CONTROL, FREE TEXT, INDEXING

Mackey, Lindy and Holland, Kathy

A Local Government Thesaurus

Aug 1988 Vol.4, No.3, p.9

Glenorchy City Council's development of a Thesaurus in conjunction with the Records Management Office of the New South Wales Archival Authority. It replaces classification of properties by decimal numbering by keyword control and uses a Thesaurus for subject files. The LOGOV Thesaurus is marketed to local government authorities jointly by the Council and the Records Management Office. Implementation of a major project in conjunction with running day to day records.

See also THESAURUS AND KEYWORD CONTROL

McGregor, Lee

General Records Disposal Schedule for Local Government

Aug 1989 Vol.5, No.3, p.33

Prepared by the Queensland State Archives with assistance from a Committee of the Records Management Association.

See also DISPOSAL/RETENTION SCHEDULES

Shervington, Laurence

Success in Local Government Records Management

Nov 1988 Vol.4, No.4, p.14

Laments the inadequate observance of the statutory requirements of the Western Australian Library Board Act and an amendment to the Local Government Act regarding the preservation of records. Describes the vicissitudes of filing clerks at the City of Subiaco, a records storage problem prompting inefficient culling by Senior Officers, the employment of staff under a Community Employment Programme in 1985/86, a Manual of Records Retention Schedules and Procedures and the appointment of a Records Manager/Archivist.

Smith, Lorraine

Records Management in the City of Subiaco

Feb 1987 Vol.3, No.1, p.18

Placement of selected backlog of records in the Battye Library; the introduction of a records retention schedule and a procedures manual and a new storage area for financial records; culling of property records and transfer of a percentage relevant to the City's archives to the Battye Library.

Smith, Peter

Shortland County Council -

Co-ordinating Office Automation Technology

Sept 1984 Vol.1, No.1, p.30

Total Office Automation, Advantages, Human Issues.

Smith, Peter

A Controversial Look at Australian

Local Government Records, Dirt Roads,

Dunnies and All

Feb 1988 Vol.4, No.3, p.39

Prefaced by a brief account of Local, State and Federal Government relationships especially in relation to finance, gives an account of the goals of the "first Annual Conference of Records Management in Local Government in Australia" held in 1976 [Conferences and Seminars had been held in Victoria under Local Government Ministerial patronage throughout the 1960s]. Laments there are no dramatic changes to the attitude of Local Government towards information as an organisational or corporate resource. Gives details of the New South Wales Local Government Chapter of RMAA formed in 1976 and stresses the need for leadership by RMAA.

Wright, Christine

Records Management and Local Government

in the United Kingdom: The Way Forward?

Nov 1988 Vol.4, No.4, p.7

Personal reflections of an English Archivist who migrated to

Perth in 1988 and an account of the relation of Archives and Records Management following the abolition of Metropolitan Counties in U.K. in 1986 by the Local Government Act of 1984. Although it affected only six counties, records management became a priority and the important function of those six counties was no longer archival but managerial. The discovery that archivists' existence "might depend upon records management came as a shock". The training of records managers is discussed in the light of the inadequacy of a degree course in Archives Administration. [Wales, U.K.]  
See also RECORDS MANAGERS AND ARCHIVES

## MICROGRAPHICS

Kirkman, Leo  
Microfilm or Not?  
1986 Vol.1, No.6, p.27

An efficient substitute for paper. Computers and microfilm filing parallel and complement technologies. Microfilm not a "dying" technology, is known and proven. Warning of the "literary aura" that surrounds optical disk technology. Microfilm and optical disk can co-exist serving different purposes.

## PUBLIC RECORD OFFICE

Nunn, H. W.  
The Public Record Office, Victoria, and Records Management  
May 1988 Vol.4, No.2, p.43  
An account of the Records Management clauses in the Public Record Act - in particular the carrying out within the public office of a programme of records management with the advice and assistance of the Keeper of Public Records. The first disposal schedule (selection procedures) developed with the Public Service Board in 1957. The Records Management Task Force, and the series of seminars "Management of Information in the 1980's" with Artel Rickes and Ed. Johnson, consultants from USA of international recognition, to implement records management procedures.  
See also DISPOSAL/RETENTION SCHEDULES, TECHNOLOGY, INFORMATION SCIENCE AND MANAGEMENT

Siebert, Val  
Public Record Office in South Australia  
May 1987 Vol.3, No.2, p.3  
Established as a Division of Local Government in 1985. Separation from the State Library highlights the fact that archival services are different and separate from library services and the importance of Records Management programmes to Government. Legislation separate from the Libraries Act is in progress. The divisional manager is titled Manager of Public Records and implements an Agency Services and a Reference Services Branch. As a joint tenant it operates storage and ancillary facilities in a State/Federal Records Repository.

Taylor, Phillip and Walker, Peter  
Selling Records Management as a Concept  
1985 Vol.1, No.3, p.23  
The giant strides taken in the Victorian Public Sector in the late 70s and 80s with the creation of the Public Record Office (1972) and the Records Management Task Force initiated by the Public Record Office and appointed by the Victorian Government. The need now for Records Managers to harness technology and use it as an effective tool in information management.

## RECORDS MANAGEMENT ASSOCIATION

Lovett, T.  
RMAA - Retrospective - Prospective  
Feb 1988 Vol.4, No.1, p.10  
Pointing towards excellence in Records Management - compares 1967 with 1988. Argues for an association for the profession rather than for consumers.

Reed, Barbara  
RMAA - Retrospective - Prospective  
Feb 1988 Vol.4, No.1, p.7  
The Association as seen by an Association Member. Laments lack of control over endorsement of consultants and also general lack of communication. Views the information industry undergoing radical change rather than evolution. Advocates a review of the Articles of Association more open voting, a formal position of Editor of the Quarterly.

Tolhurst, Terry  
RMAA - Your Association  
Sept 1987 Vol.3, No.3, p.16  
Registered as a Company in the Australian Capital Territory under the Companies Ordinance 1962. A description of membership and legal meetings with a summary of proceedings of the 25th meeting of Directors September 1986.

## RECORDS MANAGEMENT AND ARCHIVES

Kaczynski, Rosemary  
Master or Servant?  
June 1989 Vol.5, No.2, p.16  
A discursive article on the emancipation of Records Managers and Archivists. The roles of the respective professions in the life cycle of records are linked and upgrading in status called for. [Supplementary reading on the historical background would be useful for Records Managers.]

## RECORDS MANAGEMENT AND LIBRARIANSHIP

Department of Trade  
Can Library and Registry Functions be Integrated?  
1986 Vol.1, No.6, p.23  
Reorganisation of the computer services and amalgamation of the registry outpost, library functions, staff and information holdings under a Director of the Information Section (IMS). Abandonment of the Dewey classification system and introduction of a trade orientated Thesaurus. An on-line database Master Index (DTRINDEX) with a thesaurus. Movement of staff between Divisional and Central Units ameliorates a schism similar to that previously existing between library and registry personnel.

Exon, Maggie  
Librarians and Records Managers - Birds of a Different Feather?

Aug 1985 Vol.1, No.4, p.13  
A lengthy and useful article but with generalisations, e.g. librarians as "forerunners in the field of information management", "modern technology has blurred ... the clear distinction between the record and the book/serial". Writes of the traditions of the Library Association of Australia. [Since the time of writing (1985) there have been considerable strides in education of and classification for Records Managers. The traditions of records making are also of equal interest, e.g. the chancelleries in England and Europe, the civil services in

Britain, Germany and also in France following the 1789 Revolution, the House of Commons Report (UK 1984), various commissions in USA and Canada, the National Library Committee (1956/57). Students would do well to read these Commissions and the writings of Posner, Bautier, Jenkinson, etc.]

Goodell, John  
Organisation of Information in Libraries  
May 1986 Vol.2, No.1, p.18

Of general rather than specific interest to the Records Manager describes the increase in collection size, the general trend to diversification of formats and types of material and the increase in and complexity of knowledge in the modern library. States some of the differences between librarianship and Records Management stem from the kinds of material acquired, although some still collect archival type material relevant to local or institutional histories. The article deals with access to information, i.e. classification, subject headings and names, etc.

Love, Annthea  
Visits to British Archivists and Records Managers  
May 1986 Vol.2, No.1, p.14

The Records Officer of the University of Western Australia visited the Universities of Glasgow and Liverpool, British Petroleum, The Times and the BBC, some with successful records management and archives programmes, others not. A concluding generalisation "like Australia, British Records Managers are recruited from the ranks of Librarianship and Archives" requires qualification. [Inspection of the Public Records Office, similar institutions and Government Departments in UK, USA, Canada and Australia (Australian Archives - approx. 350 employees) may temper this viewpoint.] See also UNIVERSITY ARCHIVES

## RECORDS MANAGEMENT LITERATURE

Hill, Sue  
Records Management Literature in a Library  
1985 Vol.1, No.3, p.17

A bibliography taken from the State Library of Victoria's microfiche catalogue of holdings.

Kirk, Joyce  
Devising a Professional Reading Programme  
Nov 1989 Vol.5, No.4, p.34

Apart from conventions, meetings, the network of professional colleagues, the periodicals are an invaluable source of current information and continuing education. Records Managers should select core periodicals and other literature about the issues that relate to them, e.g. Freedom of Information literature. Many articles are task-related, others are substantive articles dealing with trends, development and state-of-the-art reports. Periodicals are of two groups - those published by related professional associations, others commercially by general periodical publishers or largely scholarly or book publishing companies.

## RECORDS MANAGEMENT PLANNING

Druitt, Denise  
Planning for Records Management  
June 1898 Vol.5, No.2, p.5

Elements in planning include the definition of responsibilities, technological and legislative uncertainties, communication changes in the organisation, storage at what stage of the life-cycle of records and the media of storage, dangers to records survival, decentralisation, management risks, the wider

implications of automation, the negative aspects of not following a co-ordinated approach to managing information, action required, user education, quantitative and qualitative measures, timetables, etc.

Finter, Clive  
Main Roads Head Office Records System Evaluation  
Aug 1989 Vol.5, No.3, p.23

Committed management support for workshops and a users survey resulting in a strategic plan for on-going development of Records Management in Main Roads Department. The concept of an Information Resource Centre proposed, also an Archival Management Program.

Holswich, Ray  
Records Management in the Northern Territory  
Aug 1988 Vol.4, No.3, p.17

Smaller agencies remain on manual record-keeping systems but the larger agencies are adopting automated systems. An Office Structure Integration Programme requiring agencies to restructure their organisations and re-design jobs. Multi-skilled staff are likely to bring a new appreciation of records management practices despite "lean times" and "the need to do more with less".

Parr, Bill  
Records Management in the District Office of  
Main Roads, Queensland  
Nov 1987 Vol.3, No.4, p.22

A Head Office with decentralised District and Divisional Offices. A Records Review Committee of Senior Departmental Officers and Records Officers developed District Records Seminars over a period of two years explaining the purpose and scope of Records Management, identification of problems, action plans. Subsequently operator and user manuals were developed and District Records Assistants appointed, trials conducted with computer software.

Parr, Bill  
Records - The Main Roads Way  
Aug 1989 Vol.5, No.3, p.22

A historical perspective of departmental records management, the development of a Review Committee and the appointment of new personnel, including a Records Manager.

## SMALL BUSINESSES

Camden, Pam  
Does Small Business Need RMAA  
Feb 1988 Vol.4, No.1, p.32

Any kind of records management has a low or minimum priority in small businesses. The Association should seek recognition through the Office of Small Business and accelerate assistance in this area.

## TECHNOLOGY, INFORMATION SCIENCE AND MANAGEMENT

Browne, Mairéad  
Information and Information Sciences -  
an Emerging Field of Study  
Nov 1988 Vol.4, No.4, p.43

Discusses literature in the field of information sciences. "There is no definition acceptable across the board. Individuals from a wide range of disciplines describe themselves as information scientists and the boundaries of information science remains fuzzy." Outlines the set of principles on which the courses

provided by the School of Library and Information Studies at Kuring-gai college of Advanced Education are based with the field or discipline of information science encompassing the theoretical foundations of information practice.

Crockell, Barton

Anti-Virus Security Checkup

June 1989 Vol.5, No.2, p.29

The "worm" virus that coursed through USA research networks - the role of network managers in analysing security weaknesses and dialogue with systems administrators as a team effort.

Department of Defence CENREG (Central Registry) Computer Installation (IBM Quarterly Reproduction)

Vol.1, No.6, p.8

An IBM 4341 L10 model with IBM package STAIRS (Storage and Text and Information Retrieval System) Central Registry no longer "the pits in terms of job satisfaction".

Dockeary, Ian

Mechanical and Computer Control System

Nov 1988 Vol.4, No.4, p.39

Points out that Records Managers are achieving greater input into systems and overcoming the "arrogance" of the "elite" information technologist with their new terminology which originally tended to dazzle management. Advocates the development of a records system by a project team, with the Records Manager as leader and involving a "champion" that is a senior manager aware of the benefits of a modern records management system using technology. Records Managers should gain a knowledge of computer application to records management and develop communication skills. System planners should realise that a two-way dialogue is necessary for convincing management.

Duggan, Wendy

Technology - Who's Leading Whom?

Nov 1989 Vol.5, No.4, p.9

The awakening to the potential of automation occurred at the peak of the rule of the technocrat. Large Data Processing Sections with their strange dialects and "mystique" decided what should and should not be automated. A few did write their own software or took a library package and adapted it, but the advent of personal computers caused programmers to "ask" rather than "tell". Records Management still has not produced a state-of-the-art package. Some factors have been lack of recognition as middle managers and so to negotiate for resources; many lack communication skills to write adequate reports and skills to analyse operational problems and systems and have been slow to acquire technological skills; lack of control over hardware selection limits the choice of software and leads to some "atrocious records management modules" for the corporate computers operating system. The present generation must take the lead to avoid expensive, technological dead-ends.

Eastley, Carol

Integrated Information Resources

Aug 1988 Vol.4, No.3, p.15

A description of the data base developed at Australian Newsprint Mills Ltd, a medium sized company with several operating sites including a research division and a large technical library.

Finter, Clive

Is all the Red Tape Necessary?

May 1986 Vol.2, No.1

The trials and tribulations of a Records Clerk in a Government providing an efficient Records System during technological

change.

Goodell, John

CD-ROM: Possible Implications for Records Management

May 1987 Vol.3, No.2, p.26

Compact Disc - Read Only Memory. The discs are secure since readers cannot alter data as they can on magnetic data and are an area storage medium which allows a large amount of data to be placed in a small space cheaply. Implications on use for archival storage, security, ease of making copies and as a component of total records management systems. An informative article.

Hanger, Ann

Main Roads, Information Resource Centre - The Dark Horse

Aug 1989 Vol.5, No.3, p.24

Establishment of an Information Resource Centre comprising the Library, Records Management Office, Archives and Museum. Regarded as a "dark horse" as the announcement by senior management was made with little prior consultation with middle management.

See also RECORDS MANAGEMENT AND LIBRARIANSHIP.

Hill, Sue

The Guise of Records Management under an

Information Services Umbrella, BHP Petroleum

Nov 1986 Vol.2, No.3, p.20

The integration of Records Management within the Information Services Department as a "new look". The scope of Records Management redefined to correspondence only; indexing and retrieval address individual documents; filing paper into files eliminated; significant correspondence registered, computer-indexed and microfilmed prior to the delivery of the original to the recipient; the original retained in local departmental files. Computer-output-microfilming is progressing.

Hume, Pat

Understanding Optical Disk Based Document Imaging Systems

June 1989 Vol.5, No.2, p.23

Reviews the varying scanning performance of different systems.

Jones, Barry

Technology - Master or Slave?

Nov 1989 Vol.5, No.4, p.5

The Minister for Science and Technology, The Hon. Barry Jones, notes that very few politicians and economists have devoted time and effort to the "information explosion" and the "Information Revolution" is never raised as a election issue but it has a unique capacity to change work, personal capacity, leisure and quality of life. Records Managers hold a vital key to the information explosion and the development and objectives of the RMAA and are strongly linked to the strategy of maintaining a knowledge about information management at both a cultural and economic level.

Discusses new technologies for mass storage capacities and as a means to ends need to be debated and the "soft" area, i.e. people, must manage information not just automate it. The RMAA has a dynamic role in developing policies to create an environment to harness the information explosion.

Longhurst, Rosemary

Information Management - A Wider Perspective?

Feb 1987 Vol.3, No.1, p.7

Argues that Information Management requires individuals with an understanding of all three of the established information professions, records management, librarianship, DP or IS, but neglects miniaturisation with film. Argues record management principles are basic and librarianship concerned with published material.

Meyer, Fiona E.  
Marketing Records Management  
Feb 1988 Vol.4, No.1, p.27

Records Managers have a responsibility in deciding their own fate within the information industry. Three strategies for developing the traditional records management programme: the information audit to broaden assets, data base design, strategic planning to include records management strategies into information strategic planning processes.

Meyer, Fiona E.  
Software Appraisal - The Issues and Methodology  
Nov 1989 Vol.5, No.4, p.12

Discusses survey and appraisal methodology; functional requirements (meaningful only in the context of user specifications); hardware and operating equipment (in the context of a total information strategy); background of the supplier company; training, support and education; other issues such as performance history, discussions with users and user groups and the evaluation process to establish the specification requirements and ranking of priorities are also mentioned.

Minnick, Robert L.  
Security Pacific National Bank, Los Angeles  
Sept 1984 Vol.1, No.1, p.1

The Vice President, Central Services Department of the ninth largest bank with second largest branch system in USA describes the focus of Information Management Services in the Department, previously known as the Records and Information Services. Detailed appendices include the Records Retention and Vital Records Program, Word Processing, File Management, Records Storage Equipment Inventory, Records Centre, Records Inventory Control System, Personnel and Activity Management System, Computer Aided Directory and Computer Assisted Retrieval System.

Pratt, Graham  
Records and Information Management - Some  
Thoughts on the Next Decade  
May 1988 Vol.4, No.2, p.17

Advocates the development of the "integrated information environment". Discusses the emergence of the Information Resource Manager and the need for tertiary courses to integrate the technical and managerial aspects of information resources.

Rae, Alex  
Computerised Records Management in the  
National Capital Development Commission  
Sept 1987 Vol.3, No.3, p.5

A description of the installation of QCOMs Records Management System (RMS) and the Corporate Retriever (TCR) for the text retrieval system of the National Capital Development Commission (NCDC).

See also THESAURUS AND KEYWORD CONTROL, FREE TEXT

Rucinski, B.  
Solutions and Theories, Computer and Records Management  
May 1988 Vol.4, No.2, p.13

Computers are not a tool for laxity but an aid to assist those who have effective management of records as their main aim. To automate a mess achieves an automated mess. Stress is laid on installation of good Records Management principles before that of computer software or hardware. The myth of the paperless office is explored, the legality of information via electronic media queried and the increase in the use of paper despite technology is noted.

Sadow-Quirk, Mary  
Planning a Course in Information Management  
May 1986 Vol. 2, No.1, p.24

The Department of Library and Information Studies at the Queensland Institute of Technology has proposed the introduction of an undergraduate degree in Information Management. The awareness of employers that they need an "Information Manager" is shown in the growing number of advertisements for such positions. Of various titles they all carry the word "Information". Noted, and perceptions strengthened by, is the Victorian Public Service Board's career path for Information Managers in government departments following the Records Management Task Force recommendations and the relevant duty statements at various levels of policy, including co-ordination of resources operations, and a high level Senior Executive Officer. The paramount areas of skills are defined and the course objectives will meet the needs of generalist Information Managers.

See also EDUCATION

Saul, Lindy  
Records Management in BHP  
Nov 1986 Vol.2, No.3, p.2

Centralised control of records was abandoned in 1983 in favour of de-centralisation. The Records Management Group at Head Office has developed a standard filing system and a classification scheme of approved terms provided for each department. All information relating to filing systems, control documents and retrieval is automated. Disposal had not been undertaken on a large scale and there is a non current backlog which is being addressed on a department by department basis. The Records Management Group and Corporate Archives have a responsibility for developing a Records Policy. The attitude of information being "owned" by groups is a handicap to overcome.

Simms, Jed  
Lessons for Records Management from Office Automation  
March 1989 Vol.5, No.1, p.18

Office technology (photocopiers, word processors, facsimiles, etc) has swamped the office with paper and, with floppy disk drives and with hard disks attached to word processors and personal computers the control of computer records is no longer within the scope of the DP Department. The battle of control between DP and office automation resolves itself into both coming under line-management such as a Chief Information Officer. Technology rarely replaces current processes but value adds, e.g. word processing has not replaced typing but changed its nature and volume with the greatest change being that of authors. People are the key to successful use of technology, success requires senior management commitment or a "champion", and people rather than technological orientation. Shifts in power bases must be recognised and handled for access to information is consequent power.

Records Management should link with the Office Automation Group in their approach to the Data Processing Department and establish a support infrastructure providing for basic and advanced technological training, good business skills and an implementation plan for introducing technology to the management of records. The overall thrust is that people are the key to success.

Sless, David  
Winning the Paper War  
Aug 1989, Vol.5, No.3, p.10

Winning the paper war may mean less depletion of our forests and our planet's delicate atmosphere. New technologies are affecting everything we do but there is no clear evidence they are improving productivity. Lists the major areas where new technology fails to live up to its potential and concentrates on

forms, "the beasts of burden of the information age", and the work of the Communication Research Institute of Australia. The introduction of computers has led to an increase in paper consumption - the public and users need to be protected from paper bombardment.

Southwell, Don

The Optical Disk

Sept 1987 Vol.3, No.3, p.43

The optical laser disk may transform the way information is stored, processed and conveyed. By 1990 a mixed-media storage capability on personal computers is likely: magnetic disk, optical disk and magnetic tape as a back-up. Discusses the advantages and drawbacks. The optical disk will have an increasing impact on Records Management.

Stevenson, Douglas

Buy the Right Computer Solution

Sept 1986 Vol.2, No.2, p.9

Remember the age old business rule "let the buyer beware". Practical pointers on contracts and agreements and how to avoid computer disasters.

Terry Tolhurst

Voice Mail

Sept 1987 Vol.3, No.3, p.11

As distinct from ordinary mail, voice mail captures the spoken word and transmits it to the users. Driven by a computer and usually linked to an automatic branch exchange it is tone generated. A serious problem of electronic media storage is that user administered it can be destroyed without trace once read.

## THESAURUS AND KEYWORD CONTROL, FREE TEXT, INDEXING

Comber, Denis

Free Text and Thesaurus Control

Feb 1988 Vol.4, No.1, p.47

Uncontrolled and controlled vocabulary. The difference between files and library items. An overview of literature of free-text versus controlled vocabulary reveals opinions expressing the need for both free-text and controlled vocabulary in assigning subject headings and in online searching. An informative article on the advantages and disadvantages of both for classification and retrieval of information.

See also RECORDS MANAGEMENT AND LIBRARIANSHIP

Hooker, Mary M.

Keyword Chapter RMAA (New South Wales Branch)

Feb 1988 Vol.4, No.1, p.37

A pilot committee for a special interest group formed in 1987 for those working with Keyword Filing Systems and to encourage and extend the use of such systems. Have six members (1988) and require seven to form a chapter.

Hooker, Mary M.

Rapid Transit Records Management

Nov 1989 Vol.5, No.4, p.26

Disadvantages of a document rather than file-based system for a Rapid Transit Engineering Project. Although not resourced properly, working documents (design, construction, contracts) filed according to contract number, and only administrative documents indexed.

Linton, J. Eddis

"Look, Dad, Our Eddie is the Only One in Step" -

A Personal Observation

Nov 1989 Vol.5, No.4, p.7

A perusal of "Records Management Handbook" by two Americans and two Britishers expresses puzzlement at no index entries under classification, indexing on thesauruses and therefore presumably not in the text. Reference to other text books led to the conclusion of lack of a common terminology in the Records Management discipline. e.g. in American text it is synonymous with sequencing such as alphabetic, geographic and numeric classification - arranging files in alphabetical sequence etc, being sequencing rather than classification. Classification is setting up classes of information - a thesaurus is advocated and software packages are too important to be left in the hands of programmers without any real records management experience. More debate on "classification" is advocated and the Association should specify acceptable principles on which software should be based.

Love, Annthea

Operating Keyword Indexing at University of  
Western Australia's Records Office

Aug 1985 Vol.1, No.4, p.3

An account of the mechanics of replacing a consecutive numbering classification system with keyword indexing. The use of KWOC (keyword out of context) index developed with the use of administrative on-line computer and a software package adapted to a records management function. Classification Manual and its companion, a Thesaurus of General Administration and Functional Keywords and Descriptors are described. The overcoming of problems of implementing a keyword classification system with computerised retrieval, notes on numbering system, keyword and archival control, staff training and user education.

Love, Annthea

Thesauri - The Essence of Intellectual Control?

Nov 1989 Vol.5, No.4, p.15

First introduced in the fifties as a retrieval tool to form search paths in special collections in libraries, the research thesaurus is distinct from the records management thesaurus which is used to name source material, and to create file titles as well as to retrieve information. The research thesaurus is used only to retrieve already titled documents, e.g. books and journal articles. Building a classification order is the first step, keywords and descriptors being the equivalent of "facets" and "sub-facets". Records Management thesauri must be built around the functions and the classification scheme arising out of an organisation using its specialist language. Retention can be established at file creation. (Adaptation of standard thesauri can be perilous and should only be used as a guide). The use of a thesaurus at the time of file creation in the context of an organisation is an essential element of the concept of intellectual control.

May, Robert

Filing Medicine; A Challenge to the Non-Professional

Feb 1987 Vol.3, No.1, p.21

Transfer of Medical Administration records from an alphabetical to a "keyword" filing system and culling of files. Considers a thesaurus is inadequate to cope with ever-changing medical technology.

Onopko, Helen

Records Management in a Trade Union

May 1987 Vol.3, No.2, p.20

The Municipal Officers Association in South Australia appoint an Information Services Officer. Use of a thesaurus of terms for indexable headings. Retrieval and tracking by a manual card system. Sentencing files to inactive storage. Creation of a retention/disposal schedule authority in conjunction with the Mortlake Library which is the major holder of a Trade Union archival material in South Australia.

Ridley, Ken

Towards an Automated Records Management System  
at the Department of Occupational Health,  
Safety and Welfare, Western Australia

Nov 1988 Vol.4, No.4, p.11

The development of a functional thesaurus, software evaluation and an analysis of registry operations and other benefits; retitling administrative files, colour-coding, culling of "old" files, a revision of staff duties, improving user service and registry staff morale. At the time of writing (1988) software has not been implemented pending hardware tender evaluation.

Seto, D.

A Plea for Indexing

June 1989 Vol.5, No.2, p.21

A review of the indexing system should precede automation and should be responsive to an organisation's work practice and designed as such.

Taylor, Philip

Indexing and Classification

May 1988 Vol.4, No.2, p.35

The Librarian has the author and title to assist in indexing and classification but the records officer has to be able to read and comprehend a wide range of records and the retrieval of information relates more closely to a subject rather than a document basis. Classification can be described as the "tree of knowledge" and the control of vocabulary by a thesaurus is important and in particular in the control over synonyms. KWIC (Keyword In Context) and KWOC (Keyword Out of Context) both need to restrict in size. Boolean searching as a form of searching data basis. An ability to accurately retrieve documents is an essential component of organisational structure.

Wood, Pat

QCOM's Experiences in the  
Records Management Market Place

Sept 1987 Vol.3, No.3, p.8

An account of the development of their free text retrieval system, the commissioning to upgrade the RMS system of the Brisbane City Council and subsequently that of Melbourne City Council. Holds the view that "the ability to retrieve information from free text is far superior to keyword retrieval which in itself demands language control and problems associated with it".

See also THESAURUS AND KEYWORD CONTROL, FREE TEXT, INDEXING

## UNIVERSITY ARCHIVES

Australian National University (ANU) Archives of  
Business and Labour

1986 Vol.1 No.6 p.13

A collection mainly for academic research by bona-fide researchers of tertiary institutions. An access agreement for any work substantially based on the records requires submission to the owner (depositer) of the records before publication. The collection holds records of various companies, trade unions and employees organisations and ANU.



# Innovative Records Management

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