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EDITORIAL NOTES

INFORMAA QUARTERLY is a publication of the Records Management Association of Australia. Members of the Association receive the **Quarterly** as part of their membership entitlement.

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This edition of **INFORMAA QUARTERLY** has been produced by the VICTORIAN Branch.

THE NEXT EDITION OF **INFORMAA QUARTERLY** WILL BE PRODUCED BY THE TASMANIAN BRANCH.

Editor

Judith Ellis

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The Future of INFORMAA QUARTERLY

At the Federal Council Meeting in Perth December 1989, it was agreed that the editing and production of this publication should be done from a central point. This will be through the appointment of an Editor, and a Production/Marketing Manager. Until these appointments are made, the next **INFORMAA QUARTERLY** will be produced by the TASMANIAN BRANCH. Contact either Craig Webb ph (002) 303278, or Geoff Williams ph (002)208021 concerning contributions. Copy deadline is 15 April 1990.

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FEDERAL PRESIDENT'S ADDRESS

1990 – A DECADE OF CHANGE

Last year at this time, I suggested that it was time to review broken New Year resolutions, to review what we had achieved at our work place, with regards to improving methods, evaluating new systems, employing new technology etc. Did you fulfill any of these resolutions in 1989?

1990 will see the start of a decade of change for the Records Management Association of Australia. At the last Federal Director's meeting the Federal Council carried a motion that an Executive be formed. The Executive will consist of the five senior office bearers of the Association that is, the President, Vice President, Secretary, Treasurer and Public Officer.

The Executive will meet four times a year – February, May, September (prior to National Conferences) and December for one day to review, plan and direct the Association. Two members of the Executive are on the Board of the Australian Information Technology Council and it is proposed that the meetings of the Executive and AITC will be timed to coincide.

The Executive's primary role will be to formulate policy and co-ordinate the activities of Federal Council. The Executive has been given the power to make decisions on behalf of the Federal Council. This will enable the Association to respond to changes more rapidly and efficiently. These decisions will be ratified annually by the Federal Council.

Functions of the Executive will include the publication of a quarterly report of Executive and Federal Council, and the responses received from the quarterly Agenda Reports compiled and circulated by the Federal Secretary. It will recruit a National Informaa Editor. This will be a paid position and will also include the role of National Marketing Manager. It will also supervise the centralising of the membership listing, production, billing service, banking of

membership dues, statement and verification of membership lists back to each state.

Finally, the Executive will co-ordinate the review of the Memorandum & Articles of Association. This was an undertaking given to the membership at the last Annual General Meeting, and included that a report would be made available to all members at the next Annual General Meeting.

This lists the major functions of the executive for this year, but over the next 10 years the Association must have in place the mechanism to financially support an Executive Director, and staff to manage our organisation, to produce the Informaa Quarterly, co-ordinate advertising, run the annual National Conferences and above all to provide support to enable the continued growth of the Association.

The Association will need more resources to ensure that the profession grows and that education courses are individualised to Records Management and not be part of some other profession's course. This is essential if the Records Management Association is to be in a position of being able to respond to the decade of change and to the changing environment.

Graham Dudley
Federal President, RMAA

VICTORIAN PRESIDENT'S ADDRESS

The 2nd International Congress of the International Records Management Council and the 6th National Convention of the RMAA held in Perth 10th – 14th December 1989, was an outstanding success. The quality of the speakers from overseas and Australia was first class.

The Records Management Association of Australia has shown over the past four to five years that it has the professional knowledge and experience to arrange, manage and conduct National Conventions of the highest standard. The Western Australian Branch are to be congratulated on continuing this high standard.

It should also be appreciated that less than 20% of our membership and only 32 members from Victoria attended the Perth Convention, and it must be recognized that the majority of our membership will never attend a National Convention, so more must be done at branch level to give our members records management training and education. This can be achieved if our administrative procedures are reviewed.

The administrative procedures of RMAA are outdated and require urgent review. The following are the major areas of concern

- membership lists
- payment of membership fees
- banking procedures
- financial management of the Association
- Informaa Quarterly production/posting etc.

The Association has grown to such an extent that management of our membership is being affected by outdated procedures. The procedures were functional and met the needs of the RMAA when it was established over 20 years ago, but with the establishment of eight branches they are no longer functional. The Association must make use of new banking systems available and the use of computer mailing lists to mention a few procedures needed.

The Victorian Branch Council consider that far too much time is spent on routine administration and more time must be given to records

management training and education. The Association must ensure that the members receive optimum return for their membership of the RMAA.

The reason the RMAA was established, was to provide and encourage the development, study and improvement of records management, and to this end improve the knowledge of those persons engaged in the work of records management.

I discussed the administrative procedures problems with the Federal Council in Perth in December, 1989, and I can only hope that change can take place. If it does I am sure we will all benefit and then we can get on with our primary role at branch level, that is the training and education of our members. I hope the Federal Council take up the challenge to bring our administrative procedures into the 1990's, change is long overdue.

Bill Williams
Victorian State President, RMAA

QUARTERLY INFORMAA National Advertising Manager

Mr Bill Williams, Victoria Branch President, is currently National Advertising Manager for the Quarterly Informaa. All advertising will be arranged and co-ordinated by Mr Williams. Companies and branches are asked to contact Mr Williams on:

(03) 658 9768 – Business Hours

(03) 580 5346 – After Hours

(03) 654 4854 – Facsimile

Address:

Mr Bill Williams
Records Management Association
of Australia
GPO Box 2270U
Melbourne Vic. 3001

LETTERS TO THE EDITOR

Dear Editor,

I cannot allow Bill Williams' statement that he is "in no way downgrading the professional status of Archivists .. but they .. must realise that they are not professional Records Managers and in most cases, have little or no understanding of how a records management system operates, let alone how one is reviewed or designed" (*Informaa Quarterly*, [August 1989], Vol. 5, No. 3, p.36) to pass unchallenged.

Mr Williams ignores or is unaware of the fact that the only training course for archivists for many years (at the University of New South Wales) has included a compulsory segment devoted solely to records management. This remains a major component of the archives course and is available now as an option to the librarians (another group whom Mr Williams denigrates). The unit has always been taught by people eminent in the field of records management.

As a graduate of the information management and archives administration course at UNSW, I have no hesitation in saying that anyone who has studied RM there is capable of undertaking the duties of a Records Manager and/or becoming a Records Management Consultant. Indeed, graduates of the course are doing just that: neither their competence nor their professional abilities have ever been questioned until now.

Yours faithfully
G. Anne Steel (Mrs)
4 December 1989

PS: It would be helpful if the Editorial Notes included the name and/or title of the person to whom items should be addressed for each coming edition of the *Quarterly*, together with an address. A deadline for receipt of copy should be included also.

[PS points noted with thanks. ED.]

Dear Editor,

I feel compelled to comment on the article by Brian Hunter in Vol. 5 No. 3 page 27 titled "Tencode - a Universal Classification Code for Local Government Records". Some of his gratuitous comments are not only misleading but show a complete lack of understanding of what the Keyword approach to records classification is all about. To say "There are a lot of trendy keyword salesmen about, but keyword methods will always corrupt over time, unless controlled by the discipline of a logical, exhaustive classification system. Keywords are not classification systems. They are indexes to be overlaid across underlying classification codes." indicates to me that he simply has not taken the trouble to find out what a true Keyword System is all about.

The whole purpose of a Keyword System is to establish classes of information (which I call keywords) and name these with names in common use whose parameters are clearly defined in a thesaurus.

To the Keyword is added up to four descriptor groups to form a file title.

It is almost axiomatic that any information system will corrupt over time unless discipline is maintained. For me this is the main task of a records manager. One starts classifying documents in accordance with a system discipline, then an index becomes necessary to find what files exist that have been created within this discipline.

I find totally unacceptable the very idea that we should go back to Dewey whose system, as many librarians will testify, is less and less able to cope with modern complexity. How does one classify a hovercraft?

How can Brian Hunter in all seriousness propose that in a "classification" system there be a class called "unclassified"? Is he really suggesting that we install in our offices a rubbish basket for lazy people? It is akin to

permitting such file titles as "miscellaneous", "general", "sundry", "memos to".

I never denigrate anyone's attempts to improve records management as this is our function as professionals. However, what we propose must be "logical and exhaustive" (to quote his own words), if our work is to be taken seriously. What is more, systems must be tempered in the fire of practical experience in the real world to make sure they work, before we let them loose on unsuspecting readers. It seems to me that the results of such a decimal system working down to 5 levels would produce file references that would be even more confusing than the outmoded Multiple Number System.

On a more positive note, my congratulations to Harry Haxton for his short but thoughtful and pertinent article on instigating change. It must

be instigated from the top level of management as Kalthoff and Lee say in "Automation and Records Management" Prentice-Hall (1981) page 51. "Traditionally, top management has been kept isolated from the records function.... top management realises ...malfunctions only when they erupt in visible and compromising ways. That they are seen at all at such a high level is mute testimony to their severity."

It seems that in many organisations it is not until the top person is embarrassed by something that goes wrong is some action started to rectify the records management.

Yours in Records Management
J. Eddis Linton
B.Ec. FRMA, CRM, FAIM, FCES.
12 November 1989



**NATIONAL EDITOR
and
MANAGER, PRODUCTION and MARKETING
INFORMAA QUARTERLY**

Expressions of interest are sought from people interested in producing the Association's National Journal, Informaa Quarterly. The Journal is published 4 times a year, with approximately 2,000 copies printed and distributed to all members. Two positions are available

National Editor

The Editor will undertake all editorial functions associated with producing the Journal. This entails obtaining and editing papers and other contributions submitted, liaison with state branches and with the Manager, Production and Marketing.

A knowledge of editorial work and records management work would be an advantage, but is not essential.

Manager, Production and Marketing

This position is responsible for the production phases of Informaa Quarterly, including liaising with the printer, arranging distribution, attracting advertisements and furthering the image of the Journal.

Federal Council is prepared to negotiate an appropriate level of remuneration with the successful applicants.

Please note that current members of Federal, State and Regional Councils are prohibited under the Articles of Association from receiving financial remuneration from the Association.

Additional information and expressions of interest should be forwarded to Mr Murray Stewart, Federal Secretary, Records Management Association of Australia, c/- GPO Box 1434, Brisbane, Queensland 4001 by 30 March 1990. Please mark envelopes 'Personal'. Telephone (07) 225 4060

STATE NEWS

NSW Branch

The NSW Branch is continuing its growth and sponsoring key development activities for members.

Current council members are:

| | |
|------------------|-----------------------------|
| President | Fiona Meyer |
| Vice Presidents | Wendy Duggan Peter Smith |
| Secretary | Pam Camden |
| Treasurer | Annthea Love |
| Membership | Anne Robinson |
| Special Projects | Chris Fripp |
| Education | Joyce Kirk |
| Minutes | David Lilley |

The 1990 programme currently being developed includes:

- Staff Development
- Space Management
- Time Management
- Quality Circles

A Conference – "Working Smarter" is being scheduled for March 1990.

Planning for 1992 National Conference in Sydney is well under way.

Fiona E. Meyer
NSW President

Queensland Branch

The main issue occupying the attention of the Queensland Branch at this time is, of course, the organising of the 7th National Convention "Managing Information Today" in Brisbane, 11-14th September, 1990. Planning is going exceptionally well under the chairmanship of Murray Stewart.

At the Federal Directors meeting in December, 1989, two of our Branch Councillors, Jim Shepherd and Harry Haxton were granted Life Membership of the RMAA in recognition of the

work that they have put into the Association over the years. Our congratulations and thanks go to both of them.

The Workshop Committee continues to be active in arranging workshops and seminars, including site visits to the State Archives and the Australia Post State Mail Centre. Recently a workshop was presented by Cameronic Industries on the use of colour and archival microfilm in micropublishing and was well attended by members of both RMAA and the Micrographics Association of Australia.

Other initiatives in achieving Branch Objectives include plans to hold a meeting early in 1990 to discuss the formation of a Local Government Special Interest Group in Queensland.

Western Australian Branch

The months of November and December 1989 have been dominated by the National Convention and International Congress held in Perth in early December.

Due to work commitments a few of the Branch Council members have been forced into resignation or leave of absence. The Council members are as follows:

| | |
|-----------------------|---|
| Margaret Medcalf | (President) |
| Graham Dudley | (Vice President, Treasurer and Federal Director) |
| Shirley Cowcher | (Acting Secretary) |
| Ron Sharpe | (Assistant Treasurer and Registrar) |
| Marita Hoo | (Chair - Education - Membership, Standards and Status and Programme Director) |
| Ken Ridley | (Chair - Membership Promotion) |
| Neil Granland | (Federal Director and Editor Informaa) |
| Jim Bonzas | (leave of absence) |
| Nigel Chartres | |
| Alan Howard | (leave of absence - Secretary) |
| Christine Shervington | |

Membership in Western Australia stands at 193.

| | |
|----------------|-----|
| Member | 1 |
| Associates | 18 |
| Affiliates | 33 |
| Corporate Nom. | 141 |

We are continuing to pursue an active membership promotion policy.

The one-day course at Port Hedland which was a joint effort between the RMAA and the WA Records Management Liaison Group was a success. 49 people attended the course. The feedback from participants was positive and other courses for regional areas may be considered in the future.

Shirley R Cowcher
Acting Secretary
WA Branch

Victorian Branch

1989 began with gusto as the Victoria Branch of RMAA and the ASA jointly participated in a three day study. Our Branch hosted a contingent of three visitors from England, one of which was noted author Anne Morddell. The group visited Melbourne City Council, Melbourne University and the Public Records Office. The visit culminated in a dinner hosted by our Branch at Gordon House on the 15 January 1989.

The end of the decade heralded a change in philosophy for our Branch. Emphasis over the last 12 months has been largely on providing assistance with conferences and education. Our conference associations over the year have no doubt benefited membership tremendously. Listed below are the conferences which were held in 1989.

| | | |
|----------|--------|---|
| May 1989 | AITEA | "Records Management - Organizing your Resources" held at Melbourne University |
| | VLGRMC | "Introduction to Records Management" held at Le Chateau Conference Centre |

| | | |
|-----------|------------------------------|--|
| June 1989 | Technisearch Ltd & RMIT | "The Australian Optical Disk Conference" held at the Southern Cross Hotel |
| July 1989 | RMAA AGM | Helen Smith spoke on "Legal Aspects of Records Management - A Practitioners Point of View" |
| | | Harry Nunn spoke on "The History of Records Management in Victoria" |
| Dec. 1989 | Longman Professionals | "Reducing Costs and Improving Productivity in Government Records Management", held at the Exhibition Buildings. Attended by 100 participants from around Australia |
| | 6th National RMAA Conference | "Excellence in Communication" held in Perth. 32 Victorian representatives attended |

Education continues to be the focal aim of the Victorian Branch. This last year has seen 11 students complete the Certificate of Records Administration course at Prahran. Melbourne University amalgamated with Melbourne College of Advanced Education. The Graduate Diploma in Information Management (Archives and Records) survived. 13 students completed the course and will graduate in 1990. There will be a 1990 intake in to the Masters course at Monash University. Congratulations to all students that successfully completed studies in 1989.

The Victorian Branch would also like to congratulate:

- Sue McKemmish (formerly PRO) on her appointment as Senior Lecturer for the Masters course (Monash Uni)
- Bruce Smith (formerly PRO) on his appointment as Course Co-Ordinator for the Grad-Dip Course (Melb Uni)
- Judith Ellis on her status upgrade from Associate to Member

1989 ended quietly with a Christmas Cocktail party held at Club One, Swanston Street, Melbourne on 4 December.

The Victorian Branch will continue with its commitment to assist members. The new decade signals the coming of an age of continued technological change. Together, the Victorian Branch and members can face up to the challenges that lie ahead.

Rosemary Kaczynski
Secretary
Victorian Branch

South Australian Branch

1989 Events

1. Presentation by management consultant Dennis Plonges to members meeting in August 89
2. Nine reps from SA attended the 6th National Convention in Perth
3. First edition of "new" style Branch INFORMAA - received favourable comment
4. Baby for Brigitte Stephen - Melanie - who attended November Branch Council meeting
5. Associate membership for Matt Selfridge - "WELCOME MATT" - excuse the pun!

1990 Events

The SA Branch will be revising and updating the admin. procedures manual during 1990.

The Branch Education Committee has continued its negotiations with both the Central Office Curriculum Branch and the Kensington College of TAFE with the view to commencing a Certificate level course in Records Management as soon as possible. There is reason to be optimistic that the first enrolments in the course will be made this year. The SA Institute of Technology is planning to commence an Associate Diploma course in Records Management in 1992.

Spiros Sarris
Secretary
SA Branch

Tasmanian Branch

1990 will be a very busy and informative year for all members of our Branch.

In July the Branch will be holding a two day Statewide seminar titled, "The Corporate Approach to Records Management" at the Sheraton, Hobart. The seminar is aimed at bringing together records personnel from all levels and senior administrators.

A broad programme has been developed with keynote speakers from inter and intrastate invited to address the seminar.

A trade-display will be held in conjunction with the seminar.

During 1990 the Branch will continue its training in Records Management and strive to promote the importance of Records Management to the Senior Management of Tasmanian organisations.

A.C.T. Branch

The A.C.T. Branch had Christmas in November last year. With the National Convention being postponed to December it was decided to incorporate our Christmas function with our November seminar. Our speaker, Mr Patrick Campbell of SMI Australia, spoke on "Motivation and Goal Setting" and there was a high level of audience participation with some lively discussion at times.

1990 promises to be a very busy year with planning for a number of seminars and workshops well underway and others in the pipeline. Those already planned include

| | |
|----------|--|
| February | Fax Paper – Its usefulness and threats/problems |
| March | Technological Change – Implications for Records Management and the Law |

The March seminar will be conducted as a full day seminar and will include speakers such as an industry representative and specialists in Freedom of Information, Archives, Privacy and Evidence Legislation.

Our membership has been very supportive in attending recent RMAA events held in Canberra and over 30 delegates and trade representatives from the A.C.T. attended the National Convention in Perth last December.

The A.C.T. Branch would like to take this opportunity to wish all members a happy, safe and prosperous new year and trust that all Association activities are a great success.

Northern Territory Branch

During October/November of 1989 the N.T. Branch went through a restructure. Three of our long serving Councillors found it necessary to resign either from the Branch altogether or from some of the positions they were holding due to work commitments. During the same period one Councillor returned from leave of absence and five applications were received for Advancement to Associate Status. Fortunately, four of the new members who were approved for Advancement also agreed to become Branch Council Members.

Elections for Office Bearers were held in November and the Office Bearers for 1989/90 are now:

Lorraine Baulch (President), Lyn Mayr (Vice President), Bronwyn Cook (Secretary), Greg Coleman (Treasurer) and Marelene Hewitt (Registrar). The two Federal Directors are Judy Watts and Ray Holswich. Other new members to the Council have shown their commitment by participating on sub-committees and I would like to welcome those members to Council.

Now that our administrative arrangements have been settled the Branch is working 'full steam ahead'.

1990 presents an exciting time for the N.T. Branch in education and with the preparation of the 1991 Convention.

The N.T. University is conducting Records Management Courses at the Centre for Continuing Professional Education. The N.T. Branch is negotiating with the Records Management Office of New South Wales in

relation to their team conducting Records Management Courses.

A Convention Committee has been elected, Ray Holswich is the Chairperson. This Committee has a lot of work to complete before the 1990 Brisbane Convention and has the whole hearted support of the N.T. Branch.

I hope all members had a happy and safe new year break and look forward to the coming activities in 1990.

Lorraine Baulch, ARMA
President
N.T. Branch

MAY INFORMAA QUARTERLY

To be produced by the
TASMANIAN BRANCH

Interested contributors can contact
either

Craig Webb (002)303278
Geoff Williams (002)208021

Deadline for material 15th April
1990

INTERNATIONAL RECORDS MANAGEMENT COUNCIL NEWS

Two new organizations have been established recently devoted to the development of records management as a profession. Both have seen fit to join the IRMC and participate in the international world with other kindred organizations.

The Records Management Society of Japan has started with 112 members from across the country. This is the first time an independent national group devoted to information and records management has been formed in the country. The other association to form was the Icelandic Records Management Association, which held a very successful 2 1/2 day seminar in Reykjavik to mark its launching.

This now brings to 35 the total number of nations affiliated with IRMC.

Members of RMAA should also be aware that an invitation is extended to any member of RMAA to contact members of kindred overseas associations. Some useful overseas contacts are

- USA - Bill Benedon
Lockheed Corporation
4500 Park Granada Boulevard
Calabasa, CA 91399
- Amy Jones
National Medical Enterprises Inc
11620 Wilshire Blvd
PO Box 25980
Los Angeles CA 90025
- England - Peter Emmerson
Barclays Bank, PLC
54 Lombard St
London, EC3P 3AH
- Europe - Gustav Danielsson
Kymmene Corporation
SF 45700
Kuusankoski
Finland

- Japan - Munehisa (Sam) Sakuyama
PO Box 10
Tsurumi
Yokohama, 230
Japan
- Africa - Andrew Evborokhai
National Archives of Zonal
Office - PMB 1480
Benin City, Bendei State
Nigeria
- Brazil - Maria Cristina Gameiro
City Hall
Ribeirao Preto
Rua Florencio
San Paulo CEP 14015
Brazil
-

FELLOWES ACQUIRES WILLCOX ENTERPRISES PTY LTD

Fellowes Manufacturing (Australia) Pty Ltd of Tullamarine, Victoria, announces the acquisition for an undisclosed sum of the assets and business of Willcox Enterprises Pty Ltd, Australia's leading manufacturer of expanding files and personal filing products.

Don Barton, Senior Director and General Manager of Fellowes said "This acquisition is part of our strategy to offer a wide range of Australian made quality products to the Australian consumer. Willcox leads the market with its line of expanding files and the famous 'Portafile' personal organiser, and these fit very well with the Fellowes range of records storage and filing products".

Fellowes will continue to operate the Willcox business from its premises in West Heidelberg, and Philip Cox, Director of Willcox will join Fellowes as Director, responsible for the Willcox business.

For further information contact Don Barton, (03) 330 3211.

FEDERAL NEWS

REPORT OF FEDERAL DIRECTORS' MEETING – DECEMBER 1989

In conjunction with the Sixth National Convention, the Thirtieth and Thirtyfirst Meetings of Federal Directors took place. The meetings were held on Sunday 10th December, 1989, Thursday 14th December, 1989, and Friday 15th December, 1989.

Directors attending were:

(QLD) M Stewart, J Shepherd
(ACT) R Thompson, T Kaufhold
(SA) A Wood
(TAS) T Howard, J Behrens
(NSW) A Robinson, P Camden
(NT) R Holswich, J Watts
(VIC) P Taylor, B Williams
(WA) G Dudley

Additionally, meetings of the Federal Executive were held over the three days of the Convention.

The success of these meetings is reported upon in this report and the outcome declares a forward step for the Association.

Election of Office Bearers

Election of Office Bearers for the 1989/90 year was held and the following officers elected:

| | |
|----------------|----------------------|
| President | Graham Dudley (WA) |
| Vice President | Phil Taylor (VIC) |
| Secretary | Murray Stewart (QLD) |
| Treasurer | Jim Shepherd (QLD) |
| Public Officer | Ross Thompson (ACT) |

Chairman of Committees were appointed and the following members approved by Federal Council:

| | |
|------------------------------|--|
| •Status and Standards | Peter Smith (NSW) (Chairman) |
| – Members | Peter McDonald (VIC) Harry Haxton (QLD) |
| •Education and Accreditation | Phil Taylor (VIC) (Chairman) |
| •New Technologies | Harry Haxton (QLD) (Chairman) |

Councillors

Judy Watts (NT)
Ray Holswich (NT)
Spiros Sarris (SA)
Andrew Wood (SA)
Pam Camden (NSW)
Ann Robinson (NSW)
John Behrens (Tas)
Tina Howard (Tas)
Tom Kaufhold (ACT)

Administration

Following meetings of the President, Vice President, Secretary and the Treasurer, it was decided to submit to the Federal Directors Meeting a forward plan looking to the future direction of the Association.

From these meetings it was decided to recommend that an Executive be formed comprising the President, Vice President, Secretary, Treasurer and the Public Officer, and that the Executive meet at least four times a year.

Meeting times nominated were February, May, August and November. The meetings were to preceed the release of Agenda Reports for Federal Directors by the Secretary.

This action will ensure decisions are reached and reported to all members via a Federal Report in each issue of the Informaa Quarterly.

Fee Structure 1990/91

The fee structure for the 1990/91 year will rise in accordance with the CPI of 8%. The new fee structure will read

| TYPE | \$ |
|--------------------------------|-----|
| Corporate | 125 |
| Additional | 50 |
| Nominee | |
| Affiliate | 50 |
| Associate | 60 |
| Member | 70 |
| Fellow | 90 |
| Full-time students will remain | 25 |

Joining fees will also remain at 1989/90 levels of:

| TYPE | \$ |
|-----------|----|
| Corporate | 10 |
| Affiliate | 5 |

Investment of Association Funds

Following an investigation by the Treasurer and two members, it was reported that there are a variety of accounts which all differed in interest being received and no uniformity of bank or financial institution.

It was agreed that the Association proceed to have one bank by 1st July 1990, with State Branches still operating under accounts in their home city.

Details of this proposal are to be in place by 1st April 1990, ready for the end of year financial changeover and propose that the Federal Treasurer be a signatory to all operation accounts, for the better financial management of Association funds.

Association Stationery

Due to a number of different designs in use for Branch stationery and a need to present a uniform approach to all administrative stationery, it was decided that Tom Kaufhold (ACT) investigate the viability of centrally producing and distributing all forms.

This report has been requested within 60 days.

Branch colours are to be reviewed as some appear to be very similar. Upon appointment the National Editor will undertake this review as part of the position duties.

Australian Airlines Flight Deck

To allow for use of this facility and to understand its benefits, a representative from Australian Airlines addressed the meeting. Benefits of joining include the use of Flight Deck Lounges for Executive Meetings, facsimile machines, photocopying, telephone calls,

stationery etc.

Membership was seen desirable to assist in the conduct of the Executive Committee Meetings and also during travel of the Federal Directors around the country.

Review of Memorandum and Articles of Association

The President read the statement of commitment made to the AGM, "That the Federal Council of the RMAA will undertake a full review of the Memorandum and Articles of Association and will present a position paper and draft copy to the next Annual General Meeting".

Mr Phil Taylor, Vice President, explained this involved a great amount of work and that there are other issues involved which could alter things done in the past. The deadline is September 1990.

Federal Directors gave their commitment to the review.

Association Insurances

There are insurance policies in some states, but as a National Association there is no cover Australia wide.

Following contact with one of Australia's largest insurance houses a draft policy had been prepared. This policy showed that the Association is open to a number of areas which could result in claims being made.

Federal Council have appointed Messrs Ray Holswich and Murray Stewart to investigate this matter and to report back within 60 days.

Branch Councils

It was requested that all Branches submit to ALL Federal Directors a list of Branch Councillors with mailing addresses, telephone numbers, facsimile numbers etc. This step will assist in conducting general business operations between States and Federal Councils.

National Editor - Informaa Quarterly

Discussion on the appointment of a National Editor resulted in a decision to place an advertisement in the Informaa Quarterly seeking a suitable applicant.

Also, it was decided that an additional position of Production and Marketing Editor be advertised in the "Australian" and/or "Financial Review".

Duty statements to cover these positions are to be finalised to allow for placement of the advertisements in the February issue of the Quarterly.

Members are reminded that no member of Federal Council, a State Branch Council or Regional Council may receive any financial remuneration of any kind. This should be kept in mind if you are interested in applying for either position.

Compilation of RMAA History

A member is being approached to undertake this exhaustive task. Further notice will be given in Informaas and all members are asked to give their assistance if they hold any information of value.

Anecdotes of past happenings will also be requested for future publication. Names will be suppressed if any hint of embarrassment may occur.

National Advertising

Last year's advertising campaign undertaken by Bill Williams was indeed very successful. The exact number of members drawn from campaign is hard to estimate, but state figures show a marked increase due no doubt to Bill's efforts in this regard.

The campaign will be conducted again this year, with \$5,000.00 allocated from the Special Projects Fund.

Sponsorship of Overseas Student

Mr Tom Kaufhold proposed sponsorship in some form of an overseas student. It was decided that the ACT Branch approach the President, IRMC, Mr Peter Smith and formally request active IRMC participation in co-ordinating one overseas student visit and/or training programme in the 1990 year with \$1,000.00 allocated from Special Projects Funds.

Membership

Investigations have been conducted as to the viability of appointing a national company to undertake the duties of a national membership mailing list, including a membership data base, payments, invoices, banking facilities, membership lists and also reporting to Branch Registrars on a monthly basis.

National billing will be introduced on 1st July 1990, and all state registrars are being instructed to have up to date registers submitted to the Public Officer, Ross Thompson on 1st April 1990.

Every step will be taken to ensure confidentiality of membership and a national company was favoured so that branches could contact a state office, whose responsibility it will be to forward to their head office any new or amended membership details for compilation.

Corporate Membership Certificates

A draft certificate was submitted to the meeting and several minor alterations are necessary. State Branches will be contacted shortly as soon as certificates are available for distribution.

National Corporate Membership

The Public Officer has been instructed to investigate this matter, considering the requirements of the Companies Act and the distribution of funds.

Life Membership

Mr Peter Smith was awarded Life Membership following a nomination by the NSW Branch. The presentation of a Life Membership plaque was made to Peter at the AGM.

Two other nominations were made by the QLD Branch for awarding of Life Membership to Messrs Harry Haxton and Jim Shepherd. Plaques will be awarded to these members shortly.

Congratulations to these members for their efforts over many years to the RMAA.

Upgrade of Status - 1989/90

A total of thirty-five Associate Certificates were awarded during the year. All recipients are to be congratulated on attaining Professional Membership.

Levies

In line with the increased fee structure, an alteration to the levy distribution rate was made. With the introduction of National Billing, the rate of distribution will be 50% Federal, 50% State.

The increased return to Federal Accounts will help offset the cost of the billing system and relieve some members, whose organisations now pay postage, photocopying and secretarial expenses.

Regulation 3 will be amended and submitted for approval of Federal Directors.

International Membership – RMAA

The Shell Corporation, Brunei, have expressed interest in the RMAA, and the NT Branch will service their membership.

Any other branch wishing to add this organisation to their mailing list should contact the NT Branch for further information.

Federal Council Objectives 1989/90

The following objectives have been set for Federal Council:

1. Improve the level of financial and administrative activities of Federal Council in a most effective and efficient manner.
2. Develop a business plan which would incorporate
 - a) improve and maintain communications at Federal and Branch Council levels
 - b) introduce quarterly meetings of the Federal Executive
 - c) have written and submit to the 1990 AGM a Discussion Paper and Draft Memorandum & Articles of Association
 - d) compile an Education Plan to define and further develop the specific goals to be achieved
 - e) implement the National Register of Members and operating system
 - f) appoint a National Editor and a Production and Marketing Manager for the Quarterly Informaa
 - g) develop a Marketing Strategy for the Association promoting its aims and objectives
 - h) in the year all Directors participate in the business of the Council by contribution to the development and implementation of policy

IRMC

Reports were adopted on the 1988/89 Activities and Projection of 1989/90 Activities.

RMAA membership for 1990 was approved, with Ray Holswich (NT) appointed RMAA Delegate for 1990. Ray was also appointed Vice President, Oceania and Australia.

The IRMC have decided that their Executive will meet twice yearly. This Executive Meeting will consist of the President, Vice President, Secretary and Area Vice President for the particular region being attended.

National Conventions

The venue is the Sheraton Brisbane Hotel and Towers. The Programme is produced in this edition of the Informaa.

8th National Convention

A document submitted by the NT Branch to host the 8th National Convention in Darwin 1991, was approved.

9th National Convention

Approval in principle was given to the NSW Branch to host the 9th National Convention.

10th National Convention

Also, the TAS Branch was given approval in principle to host the 10th National Convention in Hobart, 1993.

Federal Executive will undertake to produce a timetable for future conventions from 1994 onwards.

National Register of Consultants

The Federal Secretary is to approach the publishers of 'Information Directory' to enquire how RMAA members may advertise their consultant services.

Production of a register by the RMAA was considered unwarranted due to a lack of interest shown to the advertisement on this subject.

Facsimile Cover Sheets

The TAS Branch have agreed to undertake the placement of an advertisement calling for the design of a FAX cover sheet, with a prize of \$500.00 being awarded to the winning entry.

Sponsorship of the prize is being sought.

The advertisement is to be placed in the May issue of the Quarterly Informaa.

Australian Information Technology Council

A report on the activities of AITC was presented by the RMAA delegate, Jim Shepherd.

Following discussions on the report, a motion was carried that a second delegate be appointed. Phil Taylor, Vice President and Chairman, Education Committee accepted the nomination for this position.

Standards Association of Australia

A report was received from Ross Thompson on a meeting attended in Canberra.

A proposal to appoint two delegates to the SAA was adopted, with the Chairman, Status and Standards as the RMAA delegate with Ross Thompson, the second delegate.

Regular reports on future meetings will appear in the Quarterly Informaa.

1990 Year of Literacy (UNESCO)

It has been decided that stickers depicting the 1990 Year of Literacy be produced and circulated to all branches.

Closure

This report has been submitted for the information of all members. The length of the report shows the amount of effort your own Federal Directors give to the management of the Association.

I am sure that there will be reports in Branch Informaas by Directors which will give further emphasis to those items which particularly concern their Branch.

Murray Stewart
Honorary Federal Secretary

ANNUAL REPORT OF FEDERAL COUNCIL FOR YEAR ENDED 30TH JUNE 1989.

Ladies and Gentlemen

It gives me a great deal of pleasure, on behalf of my fellow Directors, to present the Fourteenth Annual Report of the Records Management Association of Australia, in respect of the year ended 30th June 1989.

Due to an industrial dispute in the domestic airline industry the Sixth National Records Management Conference was postponed from 25th September to 11th December 1989. As a result application was made pursuant to subsection 240 (5) of the Companies Act 1981 to postpone the Annual General Meeting. The Corporate Affairs Commission granted an extension of time to the 13th December 1989.

Administration

The members of the Federal Council during the 1988/1989 year were;

| | | |
|----------------|--------------------|-----|
| President | Graham Dudley | WA |
| Vice President | Philip Taylor | VIC |
| Hon Secretary | Murray Stewart | QLD |
| Hon Treasurer | Jim Shepherd | QLD |
| Public Officer | Ross Thompson | ACT |
| Councillors | Bill Williams | VIC |
| | Pam Camden | NSW |
| | Peter Smith | NSW |
| | Tom Kaufhold | ACT |
| | Helen Francis | SA |
| | Brigitte Stephens | SA |
| | Rosemary Longhurst | WA |
| | Jackie Elliott | TAS |
| | John Behrens | TAS |
| | Judith Watts | NT |
| | Ray Holswich | NT |

Two councillors resigned during the year and one was replaced in accordance with the Companies Act 1981.

Resigned Jackie Elliott TAS – Due to employment in another state, November 1988
Replacement Tina Howard TAS

Resigned Rosemary Longhurst WA – Due to ill health in March 1989
No replacement.

The administrative functions of the Federal Council have continued to improve with regular agenda reports being compiled and distributed by the Secretary, Mr Murray Stewart. However there is a need for continued diligence by all Directors to ensure prompt response to these reports.

Stable membership to the Federal Council is needed to ensure that projects commenced are completed in accordance with the required schedule. Branch councils should carefully examine the credentials of prospective Federal Directors to ensure that the person is willing, able and has a commitment to work on their respective states behalf.

Finance

The Association's financial position continues to show improvement as the membership levels grow and financial management practices are applied to ensure that monies held are invested wisely. The continued success of annual conferences assists in providing the funds needed to ensure that future success of the Association.

The Treasurer, Mr Jim Shepherd, has continued to assist Branch Treasurers in fulfilling their financial obligations, by providing reminders and fact sheets as to the financial state of each branch.

All branches contribute 40% of membership dues to the Federal Council and these amounts are further subsidised by a two thirds/one third split of Conference profits. This money is used to provide the Federal Council with a working capital, to cover administration, auditing and advertising costs and maintain a special projects fund for the Association. This Conference being

held in Perth would not have been possible without the financial support of money from the special projects fund. The special projects fund is also available to all branches who are able to demonstrate their need for additional funds for projects that will directly benefit the Association.

The fees for 1989/1990 are as follows:-

| | |
|-------------------|--|
| Corporate | \$115.00 + \$45.00 for each additional nominee |
| Affiliate | \$45.00 |
| Associate | \$55.00 |
| Member | \$65.00 |
| Fellow | \$85.00 |
| Full-time student | \$25.00 |

I would like to acknowledge with appreciation the assistance provided by the Auditors Deloitte, Haskins and Sells. This auditing firm has again supervised the consolidation of the Association's Final Accounts to ensure they are in accordance with the guidelines of the Companies Act 1981.

Branches

The objectives set by each Branch at the first branch council meeting of the new financial year continue to be met. It is encouraging to see some Branches exceeding these objectives. Branch INFORMAAS are continuing to improve both in quality and style, and reflective of respective editors. This vehicle of communication is essential if the branches are to grow both in numbers and professionalism.

Membership

Membership continues to grow in all branches. The national advertising campaign approved at the last Federal Director's meeting has had a twofold effect of firstly, advertising the Association and secondly attracting new members. See the table below.

The total figure represents an overall increase in financial members in the Association of 138, or a 9 per cent increase compared to the previous year's figures.

The INFORMAA Quarterly

Four INFORMAA Quarterlies were produced in this financial year and continue to provide a challenge for authors, reviewers and editors from the respective states. The Quarterly remains parochial by author content, however letters to the editor and advertising are attracting national input – which is encouraging to see. The efforts of Mr Bill Williams, National Advertising Manager has continued to attract advertising. This effort has assisted in offsetting the Quarterly's production costs.

The question of having a national editor has been raised many times over the years and your Federal Councillors have explored several approaches made by outside interests to publish the INFORMAA Quarterly. However on each occasion the Association's interests were not fully protected and the decision to share the work of producing the Quarterly state by state has remained. Federal Council acknowledges

MEMBERSHIP

| | QLD | NSW | ACT | VIC | TAS | SA | NT | WA | TOTALS |
|-------------------------------|-----|-----|-----|-----|-----|-----|----|-----|--------|
| Fellowes | | 2 | | 1 | | | | | 3 |
| Members | 2 | 1 | 1 | 8 | | 1 | | 1 | 14 |
| Associate | 36 | 49 | 24 | 49 | 17 | 19 | 17 | 15 | 226 |
| Affiliate | 28 | 78 | 26 | 78 | 19 | 16 | 8 | 37 | 290 |
| Corp. Nominees | 127 | 315 | 168 | 251 | 72 | 80 | 63 | 126 | 1202 |
| Honourary | | 1 | | | | | | | 1 |
| Total Individual | 203 | 446 | 219 | 387 | 91 | 116 | 71 | 179 | 1712 |
| Total Corporate Organisations | 52 | 132 | 65 | 111 | 32 | 32 | 21 | 42 | 487 |

this is not the most satisfactory arrangement but until a publisher can be found who will produce and publish a journal of professional material exclusively dedicated to Records Management then I believe the present system must remain. This of course, should not preclude the overall improvement of content, standardisation of layout etc. that goes hand in hand with professionalism.

Education

New South Wales, Victoria, Queensland and Western Australia have established courses in Records Management at Technical and Further Education Institutions. Victoria continues to lead the educational way with courses at associate and degree status.

At the last meeting of the Federal Council the Vice President, Mr Phil Taylor presented the final draft of the Association's education policy. Federal Council considered the document which was subsequently formally adopted as the Education Policy for the Records Management Association of Australia. The policy was published in the March 1989 issue of the INFORMAA Quarterly. All state branches have established Education Sub-committees which are now working with local education institutions to provide or continue to provide courses in Records Management.

At the Conference in Canberra contact was established with the Chairman, Higher Education Council. The Association has commenced dialogue with this Federal Government body with the aim of ensuring that funds are provided so that the education requirements of the Records Management profession are met now and in the future.

Annual General Meeting, Directors Meeting and Convention

The Thirteenth Annual General Meeting of the Association was held at the Lakeside International Hotel, London Circuit, Canberra at 6.45pm on Wednesday 7th September 1988. The Twenty Eighth and Twenty Ninth Meeting of Directors were held at the Olims Ainslie

Hotel, Canberra on the 5th and 6th of September 1988.

The Fifth National Conference hosted by the Australian Capital Territory Branch was very successful and attracted delegates from overseas and all states of Australia. The organising committee is to be congratulated on running this very successful conference on behalf of the Federal Council and the Association.

International Records Management Council

The Records Management Association of Australia continues to maintain strong affiliation with the International Records Management Council. The Immediate Past President of our Association, Mr Peter Smith, was elected International President at their annual general meeting held in Paris in August 1988. At the same meeting Mrs Helen Francis, Federal Councillor from South Australia was elected Vice President for Australia and Oceania and I was elected to the position of Executive Director. Mr Peter Smith was also elected RMAA delegate to the IRMC.

The International Records Management Council has financially supported the 2nd International Records Management Congress being held in conjunction with the 6th National Records Management Conference in Perth in 1989.

Major tasks undertaken by IRMC this year included the production of an International Glossary of Terms, and supporting the establishment of National Records Management Associations in Iceland and Japan.

As the Federal President of the Records Management Association of Australia I was invited to participate in a Conference held in Manila, Philippines on 16th and 17th May 1989. This Conference was enormously successful with over 1000 delegates attending from all parts of the Philippines. Whilst in Manila arrangements were made with the Australian Government with the aim of being able to provide education modules already established in Australia to educational institutes in Manila.

Australian Information Technology Council

The Records Management Association of Australia was admitted to full membership of the Australian Information Technology Council (AITC) in 1989. The Honourary Treasurer and Past President of the Association, Mr Jim Shepherd was elected by Federal Council to represent the Association as a Director of AITC.

Membership to the Australian Information Technology Council will enable this Association to be part of collaboration with other learned associations and societies related to information technology in Australia.

Reports will be made to the Records Management Association of Australia on the Australian Information Technology Council and its activities via the INFORMAA Quarterly.

General

The Directors of our Association continue to give freely of their time and work

enthusiastically to promote the Association and Records Management generally. I personally thank them all for their hard work and support during the year.

Finally, I would like to restate my objectives for the Association over this year:-

1. To promote professionalism within the Association.
2. To increase the awareness of educational needs of members of the Association.
3. To increase membership of the Association.
4. To promote the Association nationally as being the representative body for the Records Management profession.

I am sure that with your continued support these objectives can be met now and in the future.

Graham Dudley
Federal President, RMAA
Perth
8th December 1989.

D.A.R.T. (DOCUMENT ARCHIVAL RETRIEVAL TECHNOLOGY)

D.A.R.T. offers many organisations an efficient solution to a costly problem of storage and retrieval of large volumes of documents. With D.A.R.T. it is possible to manage millions of documents with retrieval of any document within minutes, compared to days, months or years with traditional methods. For example:

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pages of the document can either be viewed on the terminal or printed and taken away.

D.A.R.T. has a number of tangible and non-tangible **advantages** over conventional document storage.

- Radical reduction in storage floor space
- Data security
- Access security, restricting individuals to particular documents
- Library integrity, as documents are permanently stored on optical media
- Direct reduction in manpower to achieve the same results in a conventional system.
- Increased turn around time from time of document request to response.
- Significant cost savings including: reduction in staff costs, reduced storage costs, ability to process more information in given time, more timely data will provide for better informed decision-making.

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RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA
(Incorporated in the ACT)

FINANCIAL STATEMENTS - 30 JUNE 1989

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- 1. Directors' Report**
- 2. Auditors' Report**
- 3. Statement by Directors**
- 4. Profit and Loss Statement**
- 5. Balance Sheet**
- 6. Notes to and forming part
of the financial statements**

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA

(Incorporated in the A.C.T.)

DIRECTORS' REPORT

The directors of Records Management Association of Australia, submit herewith the balance sheet as at 30 June 1989, and the profit and loss account for the financial year then ended. In order to comply with the provisions of the Companies Act 1981, the directors report as follows -

The name and particulars of the directors of the company in office at the date of this report are -

| Name | Particulars |
|--------------------------|---|
| Thomas Hellmuth Kaufhold | A.C.T. - Records Manager |
| Ross Grafton Thompson | A.C.T. - Records Management Consultant |
| Pamela Anne Camden | N.S.W. - Records Management Officer |
| Ann Robinson | N.S.W. - Manager Information Services |
| Murray Raymond Stewart | QLD. - OIC Central Records Branch |
| Francis James Shepherd | QLD. - Director of Administration (City Council) |
| Andrew McRae Wood | S.A. - Manager Supply/General Administration |
| Spiros Sarris | S.A. - Manager Office Systems |
| William Robert Williams | VIC. - Records & Archives Manager |
| Philip Taylor | VIC. - Administrative Officer |
| Graham Vincent Dudley | W.A. - Director International Records Management Council |
| Alan Frederick Howard | W.A. - Administration Officer |
| Raymond John Holswich | N.T. - Administration Manager |
| Judith Watts | N.T. - Regional Director |
| John Bertram Behrens | TAS. - Records Officer |
| Christina Howard | TAS. - Records Manager |

The principal activities of the company in the course of the financial year were to provide and encourage the development, study and improvement of records management.

During the year there was no significant change in the nature of those activities.

The net amount of profit (loss) of the company for the year after extraordinary items and income tax expense of \$5,883, was \$55,126.

No dividends have been paid or declared since the commencement of the financial year. No amounts were transferred to or from reserves or provisions during the financial year.

During the financial year there was no significant change in the state of affairs of the company other than that referred to in the accounts or notes thereto.

There has not been any matter or circumstance, other than that referred to in the accounts or notes thereto, that has arisen since the end of the financial year, that has significantly affected, or may significantly affect, the operations of the company, the results of those operations, or the state of affairs of the company in financial years subsequent to this financial year.

In the opinion of the directors, disclosure of information regarding likely developments in the operations of the company and the expected results of those operations in subsequent financial years would prejudice the interests of the company. Accordingly, this information has not been included in this report.

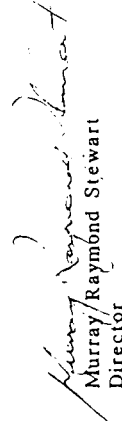
Since the end of the previous financial year, no director has received or become entitled to receive a benefit (other than a benefit included in the aggregate amount of emoluments received or due and receivable by directors shown in the accounts, or the fixed salary of a full-time employee of the company or a related corporation), by reason of a contract made by the company or a related corporation with the director or with a firm of which he is a member, or with a company in which he has a substantial financial interest.

Signed in accordance with the resolution of the directors made pursuant to Section 270(1) of the Companies Act 1981.

On behalf of the Directors



Francis James Shepherd
Director



Murray Raymond Stewart
Director

Date: 19/9/89

AUDITOR'S REPORT
TO THE MEMBERS OF

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA

(Incorporated in the A.C.T.)

It is not practicable to establish control over membership fees and other income until their initial entry in the accounting records. Our audit relating to membership fees and other income was therefore limited to the amounts recorded.

Subject to the above:-

We have audited the accounts in accordance with Australian Auditing Standards. In our opinion:

The accompanying accounts set out on pages 3 to 11 of Records Management Association of Australia, being the balance sheet, profit and loss statement and statement by directors, are properly drawn up in accordance with the provisions of the Companies Act 1981 and so as to give a true and fair view of:

- (i) the state of affairs of the branch as at 30th June, 1989 and of the results of the association for the year ended on that date; and
- (ii) the other matters required by that Act to be dealt with in the accounts; and are in accordance with Australian Accounting Standards and applicable approved Accounting Standards.

Deloitte Haskins & Sells

DELOITTE HASKINS & SELLS

M.A. Moreland

M.A. Moreland
Partner
CHARTERED ACCOUNTANTS

307 Queen Street,
Brisbane

Dated: 19/9/89

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA

(Incorporated in the A.C.T.)

STATEMENT BY DIRECTORS

for the financial year ended 30 June 1989

In the opinion of the directors:

- (a) The attached profit and loss account of the company is drawn up so as to give a true and fair view of the profit (loss) of the company for the financial year ended 30 June 1989;
- (b) The attached balance sheet of the company is drawn up so as to give a true and fair view of the state of affairs of the company as at 30 June 1989.
- (c) At the date of this statement there are reasonable grounds to believe that the company will be able to pay its debts as and when they fall due.
- (d) The attached accounts of the company have been made out in accordance with applicable approved accounting standards.

Signed in accordance with a resolution of the directors made pursuant to Section 269 of the Companies Act 1981.

On behalf of the directors

Francis James Shepherd
Francis James Shepherd
Director

Murray Raymond Stewart
Murray Raymond Stewart
Director

Date: 19/9/89

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA

(Incorporated in the A.C.T.)

PROFIT AND LOSS ACCOUNT

for the financial year ended 30 June 1989

| | <u>Note</u> | <u>1989</u> <u>\$</u> | <u>1988</u> <u>\$</u> |
|---|-------------|--------------------------|--------------------------|
| Operating profit (loss) | 2 | 59,009 | 53,940 |
| Income tax attributable to operating profit (loss) | 11 | <u>3,883</u> | <u>5,558</u> |
| OPERATING PROFIT (LOSS) AFTER INCOME TAX | | <u>55,126</u> | <u>48,382</u> |
| OPERATING PROFIT (LOSS) AND EXTRAORDINARY ITEMS AFTER INCOME TAX | | 55,126 | 48,382 |
| Retained profits (accumulated losses) at the beginning of the financial year | | <u>134,151</u> | <u>85,769</u> |
| RETAINED PROFITS (ACCUMULATED LOSSES) AT THE END OF THE FINANCIAL YEAR | | <u>189,276</u> | <u>134,151</u> |

Notes to and forming part of the accounts are included on pages 6 to 9.

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA

(Incorporated in the A.C.T.)

BALANCE SHEET

as at 30 June 1989

| | <u>Note</u> | <u>1989</u> <u>\$</u> | <u>1988</u> <u>\$</u> |
|---------------------------------------|-------------|--------------------------|--------------------------|
| CURRENT ASSETS | | | |
| Cash | | 96,606 | 68,286 |
| Receivables | 3 | 1,351 | 1,871 |
| Investments | 5 | 78,430 | 64,036 |
| Inventories | 4 | 1,843 | 73 |
| Loan to Convention Committee | | 10,000 | 5,000 |
| Deferred Expenditure | | 32,697 | 7,755 |
| Loan to 6th Convention Committee | | <u>14,492</u> | <u>1,749</u> |
| TOTAL CURRENT ASSETS | | <u>235,412</u> | <u>148,770</u> |
| NON-CURRENT ASSETS | | | |
| Inventories | 6 | 3,934 | 499 |
| Property, plant and equipment | 7 | <u>7,634</u> | <u>1,250</u> |
| TOTAL NON-CURRENT ASSETS | | <u>11,568</u> | <u>1,749</u> |
| TOTAL ASSETS | | <u>246,987</u> | <u>160,262</u> |
| CURRENT LIABILITIES | | | |
| Deferred Income | | 86 | 4 |
| Creditors and borrowings | 8 | 17,865 | 7,605 |
| Provisions | 9 | 3,883 | 5,558 |
| Loan for 6th Convention Committee | | 33,877 | 12,944 |
| Loan for 7th Convention Committee | | <u>2,000</u> | <u>-</u> |
| TOTAL CURRENT LIABILITIES | | <u>57,711</u> | <u>26,111</u> |
| TOTAL LIABILITIES | | <u>57,711</u> | <u>26,111</u> |
| NET ASSETS | | <u>189,276</u> | <u>134,151</u> |
| SHAREHOLDERS' EQUITY | | | |
| Retained profits (accumulated losses) | | <u>189,276</u> | <u>134,151</u> |
| TOTAL SHAREHOLDERS' EQUITY | | <u>189,276</u> | <u>134,151</u> |

Notes to and forming part of the accounts are included on pages 6 to 9.

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA

(Incorporated in the A.C.T.)

NOTES TO AND FORMING PART OF THE ACCOUNTS

for the year ended 30 June 1989

1. ACCOUNTING POLICIES

General system of accounting underlying the financial statements

The accounts have been prepared using the historical cost convention. The accounts have been prepared in accordance with Schedule 7 of the Companies Regulations as in force on 30 September 1987, Accounting Standards of the Australian accountancy bodies and comply with other requirements of the law.

Accounting policies which have been significant in the preparation and presentation of the accounts.

(a) Inventories

Inventories are valued at the lower of cost or net realisable value. Costs are assigned to stock on hand by the method most appropriate to each particular class of stock, with the majority being valued on a first in first out or average cost basis.

| 1989 | 1988 |
|------|------|
| \$ | \$ |

2. OPERATING PROFIT (LOSS)

The operating profit (loss) before income tax includes the following items of revenue and expense:

OPERATING REVENUE

Membership Fees

| | | |
|-----------------------|--------|--------|
| Affiliates | 11,804 | 8,760 |
| Associates | 6,280 | 5,750 |
| Corporate Members | 50,645 | 37,932 |
| Member | 290 | 160 |
| Fellow | - | - |
| Total membership fees | 69,019 | 52,602 |

NOTES (Continued)

2. OPERATING PROFIT (Continued)

Other revenue

| | | |
|----------------------------------|---------|---------|
| Advertising | 1,056 | 5,863 |
| Functions Receipts | 29,270 | 22,098 |
| Interest Received | 11,112 | 11,939 |
| Joining Fees | 1,090 | 1,027 |
| Sale of Publications | 10,793 | 2,407 |
| Loss on Sale of Badges & Ties | (17) | (23) |
| National Convention (Net Profit) | 33,731 | 31,148 |
| Sundry Income | 11,468 | 6,161 |
| Seminar Expenses | 8,586 | 8,710 |
| Abnormal Item | - | 645 |
| Total other operating revenue | 107,089 | 89,975 |
| TOTAL OPERATING REVENUE | 176,108 | 142,577 |

OPERATING EXPENSES

| | | |
|-----------------------------------|---------|--------|
| Auditors remuneration | 3,835 | 4,050 |
| Auditing the accounts | 2,315 | 650 |
| Other services | 780 | 968 |
| Bad Debts | 262 | 453 |
| Bank Charges | 1,110 | 610 |
| Depreciation on Plant & Equipment | 24,317 | 17,029 |
| Function Costs | 134 | 237 |
| Petty Cash | 6,317 | 5,867 |
| Postage & Post Office Box Rental | 7,460 | 9,081 |
| Printing and Stationery | 280 | 663 |
| Publicity and Promotions | 11,653 | 8,397 |
| Sundry Expenses | 100 | 100 |
| Insurances | 996 | 1,011 |
| Premises Costs | 4,340 | 2,569 |
| Secretarial Expenses | 2,123 | 2,394 |
| Subscriptions | 651 | 942 |
| Loss on Disposal of Stock | 13,293 | 8,630 |
| Seminar Expenses | 8,166 | 7,286 |
| Special Project Account Expenses | 17,411 | 7,147 |
| Publications/INFORMAA | 703 | 873 |
| Telephone Costs | 10,320 | 9,680 |
| Travelling & Other Meeting Costs | 533 | - |
| Advertising | 117,099 | 88,637 |

3. CURRENT RECEIVABLES

| | | |
|------------------------------------|-------|-------|
| Debtors | 1,351 | 1,871 |
| Less: Provision for Doubtful Debts | - | - |
| | 1,351 | 1,871 |

NOTES (Continued)

4. CURRENT INVENTORIES

- At cost
Badges & Ties
Scarves

1989
\$738
1,1051988
\$73
-

5. CURRENT INVESTMENTS

- At Cost

Investments at Bank

78,430

64,036

6. NON-CURRENT INVENTORIES

- At Cost

Badges & Ties
Primers
Scarves

2,163
-
1,771467
32
-

7. PROPERTY PLANT & EQUIPMENT

Property Plant & Equipment - At cost
Less: Accumulated Depreciation

9,426
1,7921,930
680

7,634

1,250

8. CURRENT LIABILITIES

Auditors Remuneration
Auditing the Accounts
Other Services
Fees in Advance
Creditors
Seminar Fees in Advance

4,060
1,050
1,835
120
10,8004,150
650
2,699
106
-

17,865

7,605

9. CURRENT PROVISIONS

Provision for Taxation

3,883

5,558

NOTES (Continued)

10. REMUNERATION OF DIRECTORS

Aggregate income received or due and
receivable by directors of Records
Management Association of Australia
company and related corporations

1989
\$1988
\$

11. INCOME TAX

a) The prima facie income tax
expense on pre-tax accounting
income reconciles to the
income tax expense in the
accounts as follows:

Taxable Interest Income

9,956

11,342

Income tax expense calculated
at 39% (49% 1988) of operating
profit Plus/(less) adjustments

3,883

5,558

Income Tax Expense

3,883

5,558

NOTES (Continued)

1989 1988

12. SUMMARY OF SOURCES AND APPLICATIONS OF FUNDS (continued)

APPLICATION OF FUNDS

Increase in assets

| | |
|------------------------------|---------------|
| Current assets | |
| Cash at Bank | 28,320 |
| Receivables | - |
| Investments | 14,394 |
| Loan to Convention Committee | 5,000 |
| Inventories | 1,770 |
| Deferred Expenditure | <u>24,942</u> |
| | 74,426 |

52,950

| | |
|----------------------------------|--------------|
| Non-current assets | |
| Plant and equipment | 7,496 |
| Loan to 6th Convention Committee | 3,000 |
| Inventories | <u>3,434</u> |
| | 13,930 |

13,292

Decrease in liabilities

Income Tax Paid

4,797

71,039

NOTES (Continued)

1989 1988

SUMMARY OF SOURCES AND APPLICATIONS OF FUNDS

SOURCE OF FUNDS

Funds from operations

Inflow of funds from operations

| | |
|-----------------|----------------|
| Membership Fees | 69,019 |
| Other revenue | <u>107,089</u> |
| | 176,108 |

115,989

Outflow of funds

60,119

54,550

Reduction in assets

| | |
|---------------------|----------|
| Current assets | 520 |
| Receivables | - |
| Inventories | 335 |
| Investments | 78 |
| Loan to N.T. Branch | <u>-</u> |
| | 520 |

413

Non-current assets

Inventories

574

Increase in liabilities

Current liabilities

| | |
|-------------------------------|---------------|
| Creditors | 10,260 |
| Deferred Income | 82 |
| Loan for National Conventions | <u>22,933</u> |
| | 250 |

Non-current liabilities

Creditors

15,502

71,039

When You Are Serious About Records Management See RMS II

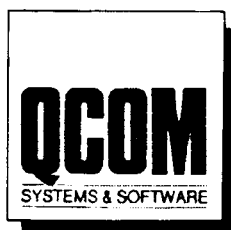
If your Records Management requirement is of similar dimension to some of our existing users:-

- . Brisbane City Council
- . Queensland Railways
- . Melbourne City Council
- . Golden Casket Office Queensland
- . Albert Shire Council
- . Australian Capital Territory Administration

then you need to talk to QCOM about RMSII (incorporating our Text Retrieval System *The Corporate Retriever*).

Versions are available for IBM MVS, UNISYS 1100, PRIME, HP3000, UNIX; and other versions for your favourite computer hardware can be developed

Contact Patrick Wood, Manager, Software Products Division.



QCOM Pty Ltd
Incorporated in Queensland
457 Upper Edward St
BRISBANE QUEENSLAND 4000
AUSTRALIA

PHONE: 07 - 839 3544
TELEX: 10718916 Via 021
FAX: 07 - 832 2100

The Corporate Retriever is a registered trade mark of QCOM Pty Ltd
Other Trade marks are acknowledged to their respective owners

IRMC/RMAA CONVENTION PERTH 1989

Congratulations to Perth for staging an excellent convention week. This was the 2nd International Congress (IRMC) and the 6th National Australian Convention (RMAA) held in Perth over 11-14 December 1989.

The week included

- three days of stimulating, informative, controversial and entertaining papers from a range of Australian and international experts
- a trade exhibition of more than 30 stands featuring a number of prominent organisations and records management products
- the not-to-be-missed social functions, including opening and closing cocktail parties, wine cruise, and convention dinner
- well attended technical tours giving delegates the opportunity to view operating records management systems
- a good program of functions and tours for delegates and accompanying persons

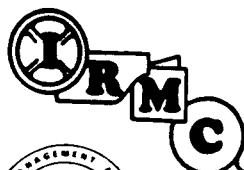
Despite the pilots' strike and postponement of the convention, there were approximately 251 delegates plus 43 day registrants attending from all over Australia and from overseas. It was well worth the effort for all who managed to go. New ideas were heard, old friends found, and international guests made to feel welcome to our country. Of course there were many empty pockets from the casino jaunts, tired bodies from the discos, and full stomachs from Perth's wonderful restaurants.

The Hyatt Regency Hotel, the Convention Committee and organisers, the exhibitors, the sponsorship and assistance, and the participants ensured that a profitable and happy time was had by all.

The Federal Council met before and after the Convention, and a report on the meeting is given by Murray Stewart in this Informaa.

For those who were unable to attend the Convention, the bound papers are available from the Convention Organisers at \$50 per set, plus postage.

Contact
Promaco Conventions Pty Ltd
Unit 9a Canning Bridge Commercial Centre
890-892 Canning Highway
APPLECROSS WA 6153
Telephone (09) 364 8311
Fax (09) 316 1453



International

RECORDS MANAGEMENT COUNCIL



2nd International Records Management

CONGRESS

6th National Records Management of AUSTRALIA

CONVENTION

Perth, Australia

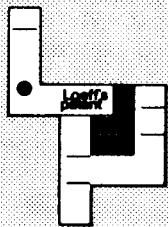


Peter Smith, President IRMC (left)
Graham Dudley, President RMAA

W.A. Organising Committee
L to R: Chris Coggin, Peter Smith,
Christine Shervington, Graham
Dudley (Chairman), Margaret
Medcalf, Alan Howard,
Ron Sharpe, Neil Granland



A group of happy delegates
at the Conference Dinner



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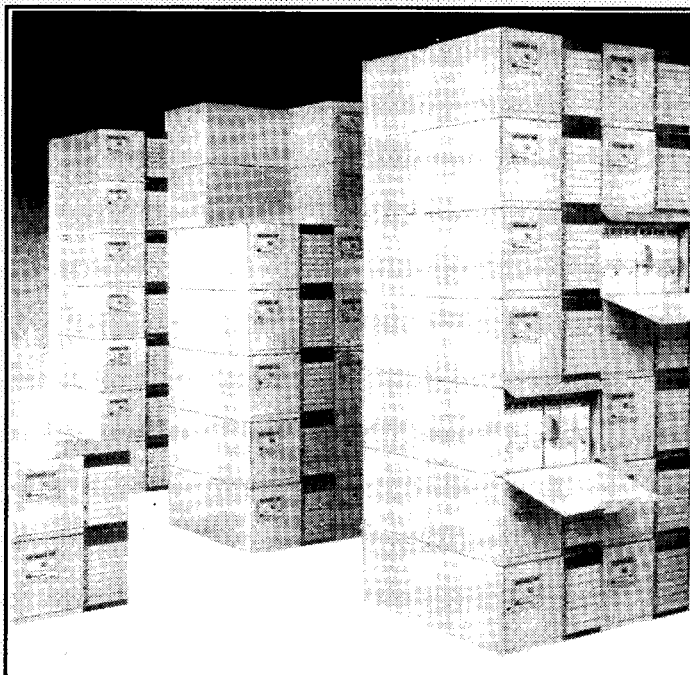
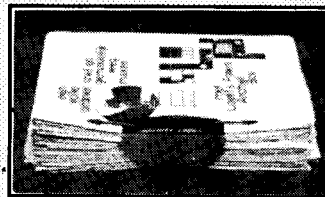


Place document bundles into Labelled storage boxes.

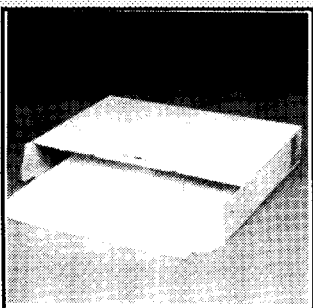
Then place the storage box into self supporting, FRONT OPENING archive Boxes. Your files are now accessible at all times.

Labels for Identification

These labels are available in 5 colours: red-white-blue-yellow-green for easy identification. Back-labels to show new contents of the lever arch files.

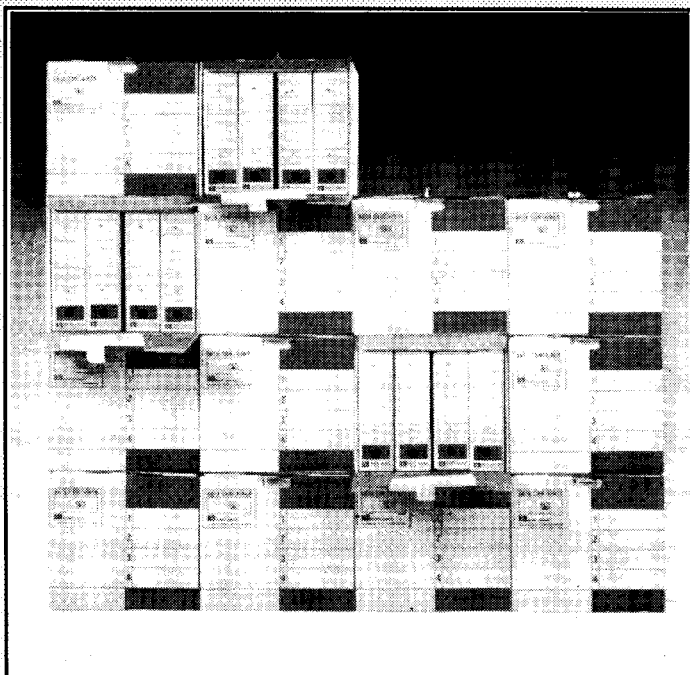


Computer paper files



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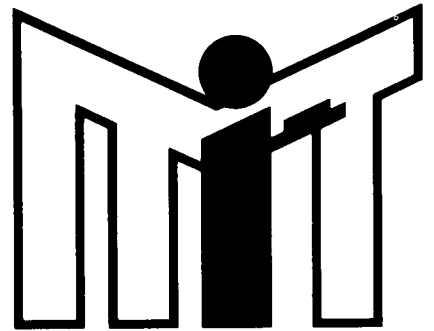
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AVAILABLE IN ALL CAPITAL CITIES

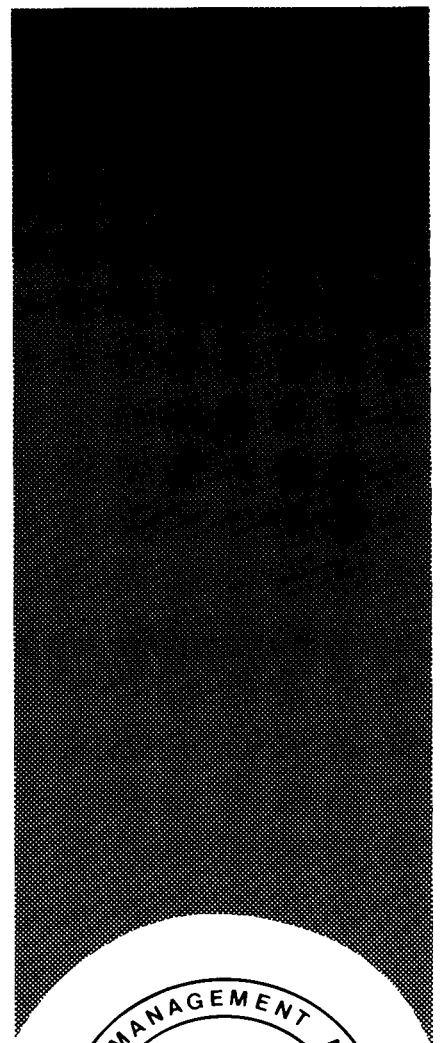
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MANAGING INFORMATION TODAY

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 | \$ 627.00 | \$ 709.50 | \$ 529.50 |
| M'bourne | 819.00 | 901.50 | 721.50 |
| Adelaide | 885.00 | 967.50 | 787.50 |
| Perth | 1355.00 | 1437.50 | 1257.50 |
| Darwin | 1155.00 | 1237.50 | 1057.50 |
| Hobart | 975.00 | 1057.50 | 877.50 |
| Canberra | 705.00 | 787.50 | 607.50 |

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 |
|----------------------|-----------|--------------------|-----------|--------------------|-----------|

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.

Airfares

All enquiries must be made to Organisers Australia. International delegates are eligible for travel concessions within Australia.

Social Functions

All fully registered delegates and registered accompanying persons are entitled to attend the Welcome Reception, the Convention Dinner and the Trade Cocktail Party. 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) or by purchasing required tickets at the registration desk in the Sheraton Hotel on Tuesday, 11th September 1990, only.

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. - 5.00p.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 |
| | Training Management |

Thursday, 13th September, 1990 (cont.)

- 11.30a.m. - 12.30p.m. Managing Inbuilt 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 Presentation
- 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
Reports 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



INFORMATION REVOLUTION OR STORM IN A TEACUP?

In the blink of an eyelid, this cup of tea is about to render several irreplaceable documents illegible. Irreplaceable because they're the last remaining copies of the originals or, worse, the originals themselves.

You see, this cup of tea happens to be sitting on top of your current 'filing system.'

You might have some of the information

stored in your computer but probably not the parts that are often so vitally important — signatures and graphics.

So you're probably wondering, "with all the technology of the Information Revolution, why isn't there a cost-effective solution to information storage and retrieval?"

There is. And it's from Canon. It's also one

REPORT - CHAIRMAN'S STATEMENT.

1988 BALANCE SHEET

BLUEPRINTS

of the lowest cost methods of data capture, storage and retrieval and that includes graphics and signatures.

As well as being less susceptible to all forms of damage, it is the ideal partner for computer-based information management systems for today. And tomorrow.

So if we haven't convinced you of the need

for better Information Management... have a chat to your tea-lady. Or call Canon on one of the numbers below.

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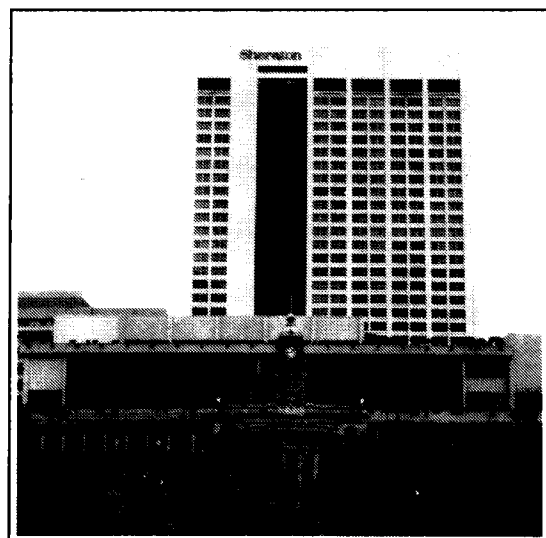
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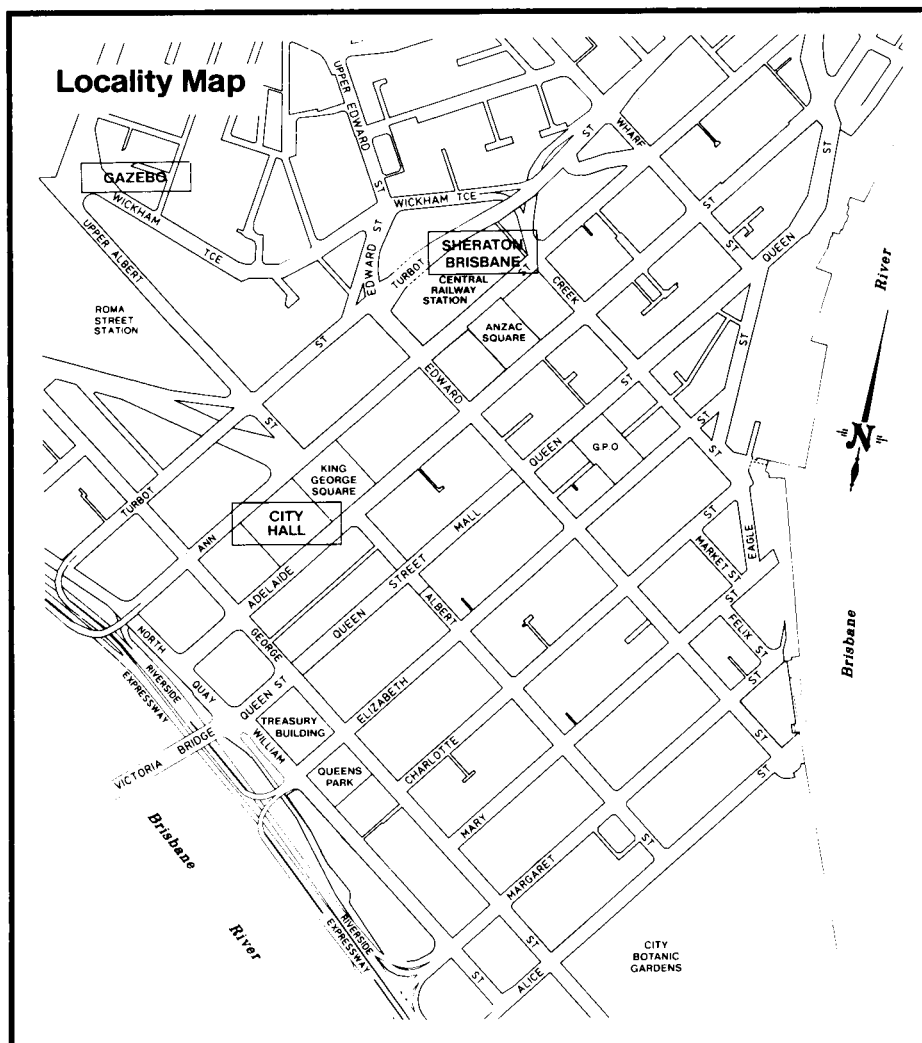
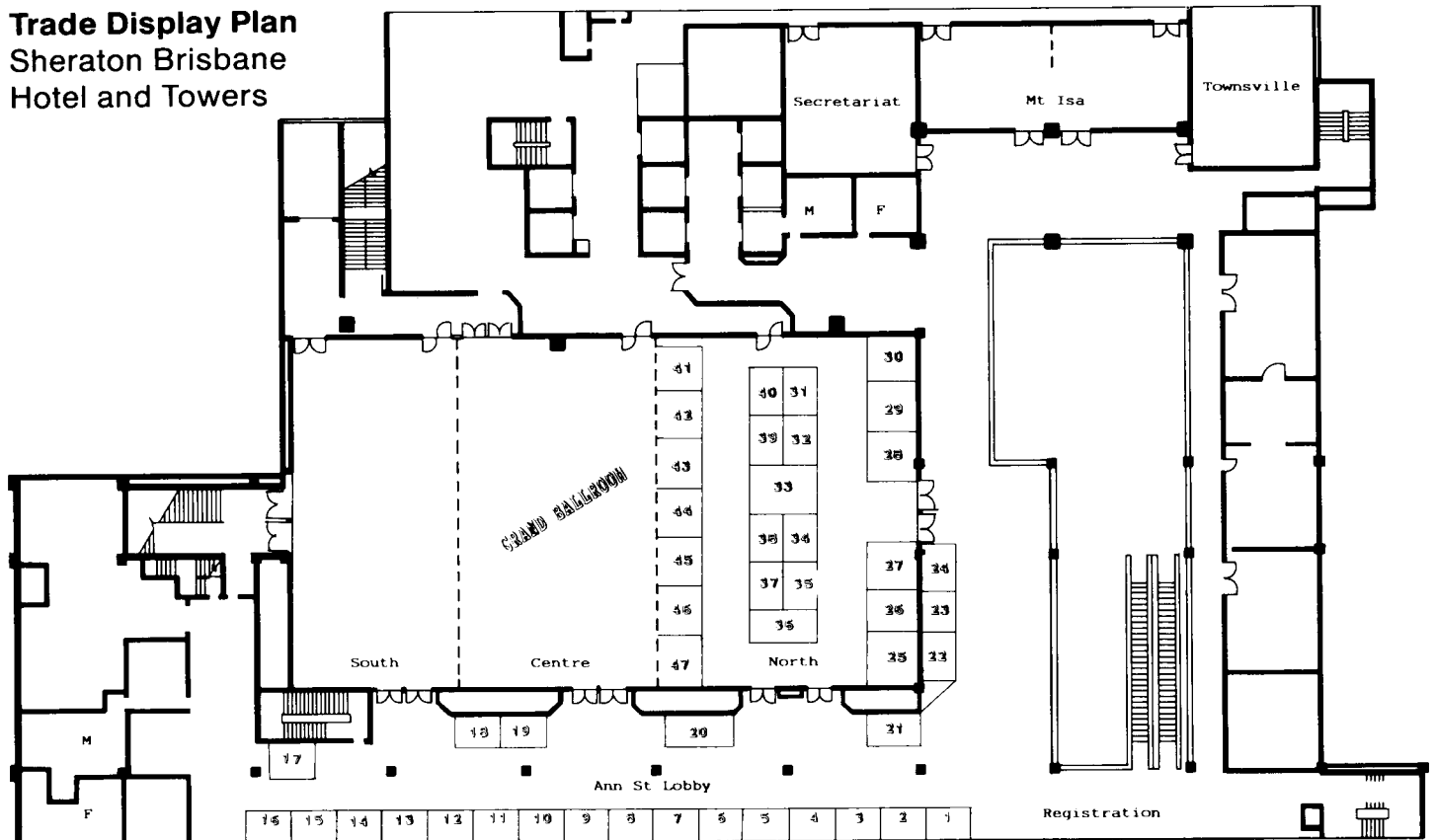
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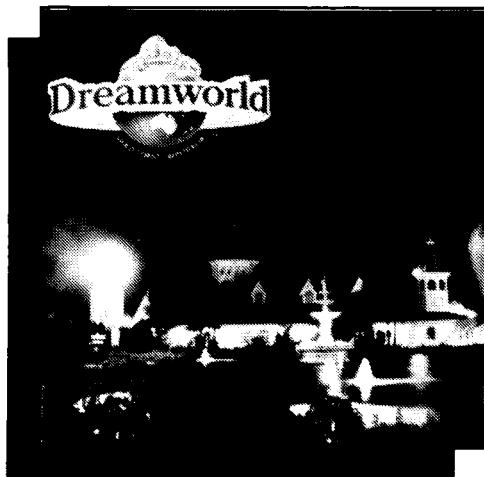
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Trade Display Plan
Sheraton Brisbane
Hotel and Towers



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BOOK REVIEWS

Suzanne M. Burwasser, *Files Management Handbook for Managers and Librarians*. 2nd ed. Pacific Information Inc, California USA 1988. 155 pp. ISBN 0-913203-15-7

Reviewed by Judith A. Ellis, BA (Hons), MRMA, AIMM

Judith Ellis is founding Director of Archival Systems Consultants Pty Ltd. Judith has extensive experience in all facets of archival, records and general information management in Australia and overseas. She is a Victorian State Councillor of the RMAA.

There are so few texts on practical, or even theoretical records management that any new word is welcomed with open minds. There is a strong need for authoritative, informative, creative and practical writings for, and about the records management profession. It is with regret I believe this book does not provide what we are seeking. For managers or librarians (at whom the book is aimed) it may be even less useful.

The author has a library background which is reflected in the concepts, approaches and terminology used throughout the book. At 155 pages, the format is plain, well spaced and easy to read. Whole pages are devoted to simple drawings of file folders/pockets, tab cuts and file labels.

In the preface the author warns us that traditionally "files management" is about "analysis of filing equipment", and that this book, instead, will interpret the term as "the application of the principles of records management to departmental, or decentralized files". The reader gets the feeling that neither of the above approaches is properly addressed in the book. Overall, there is a strong concentration on the traditional elements of records management, such as equipment, inventories, file covers and storage. These are covered by chapters headed Long Term Storage, File Equipment Analysis, Setting Up Filing Systems, File Maintenance. Much of this information would be available from vendors of

such products.

Although the book was written as recently as 1986 (with a reprint in 1988), there is almost no mention of information technology. This is certainly a difficult area, but it can no longer be ignored in today's information environment. The chapter on Long Term Storage discusses technology solely in the context of storage media. No thought is given to the revolutionary impact of technology such as optical disk or EDP for information distribution, retrieval and manipulation. However the chapter on storage does give a good overview of the legal status of microfilm.

On the "technical" aspects of records or file management, the book is fairly sketchy and only a few aspects are described or evaluated in any detail. These include: a good chapter on surveying techniques and the development of a records disposal schedule; types of classified filing systems; types of numbering systems. Some statements made on technical matters are questionable. For example a subject classification system with sequential file numbering (eg. annual single numbering) is called "Flash Filing". The author says this method "works moderately well for a small group of files with a limited range of subjects using an index as the primary access aid". Many records managers will have used, seen or installed very large systems of this type very successfully, usually using a KWOC index and register for control and retrieval.

The chapter headed Developing a Filing Classification System does not really tell you how to go about such a task. However, it does provide useful hints about how to undertake classification work in consultation with professional staff and with clerical/secretarial staff. This chapter also contains some useful ideas about records and professional staff education, although this would be better placed under a different chapter heading.

Chapter headings are slightly misleading as the above example shows. The chapter headed Staff Responsibilities contains discussion of specific

file management activities or processes, eg. Preparing To File, Filing Routines, New Files, Cross Referencing. These would be better placed under an alternative chapter.

Staff responsibilities are referred to throughout the book. However the Records Manager barely gets a mention until p.97. The context presented emphasises the roles of action officers and secretaries. The system architecture (physical layout) described appears characteristic of a large private sector organisation. A range of options or contexts is not discussed other than one small section "Centralized vs Decentralized" (under the chapter headed Files Maintenance Program).

There are some useful ideas and hints in this book. A few have been mentioned above.

Others include: useful hints about storage area rationalisation and how to measure costs of storage; characteristics of effective filing systems; a plea for simplicity and pragmatism in system design; rejection of traditional practices maintained for the sake of it; the need to sell a records management program to departments/units of your organisation. However, all these points are already well understood and practised.

The book is quick and easy to read, and is worth reading for those useful aspects outlined. However, for a practising records manager, or someone with responsibilities for record-keeping the book does not offer anything new, innovative or instructive for our technology driven and increasingly complex information context

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RECORDS MANAGEMENT 'ALL CONSTRUCTIONS NEED A FOUNDATION'

by Denise Druitt, BA, GradDipArts, FIPS, ARMA

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Introduction

The management of information is strategic to an organisation's competitiveness. Two factors that have had an impact on the management of information include: an increasing range of technology available to assist in managing this information; and the proliferation of technology throughout an organisation (often referred to as end-user computing or distributed computing). The combination of these two factors results in a dynamic and increasingly complex information system.

There are a number of functional areas traditionally responsible for managing information in organisations: Archives, Data Processing/EDP, Library, Word Processing and Records Management. The integration of these areas or their techniques is often advocated in order to develop a strategic and integrated approach to managing information.

This issue is frequently raised in the records management literature and at records management conferences. Computing professionals are also aware that records management expertise will assist in managing complex information systems. Menkus (1987) asked records managers for assistance and suggested a partnership between EDP auditors, software quality assurance specialists and records managers because of their common concern for the value of records.

The formation of partnerships though requires the identification of respective partners' assets and liabilities. From an information management perspective, this can be interpreted as identifying the principles and boundaries of each function.

Systems

In attempting to understand organisations and their operation it is possible to view them from many perspectives including: management theory, organisational theory, systems theory, control theory, information theory, communication theory, and decision theory. The systems perspective is useful for breaking down complex problems; it assists to identify system components and their interactions.

It is possible to view systems from different levels and perspectives. An organisation can be viewed as a system with functional areas being the subsystems. However, it is also possible to view functional areas as systems with their components being the subsystems. It is also possible to view systems in organisations covering disciplines, decisions, or activities.

A system, therefore, is a group of interdependent components that create an entity to achieve common objectives. Each system consists of inputs and processing to provide outputs. Processing in the system involves the interaction of components: each component affects and is affected by other components. The omission of any component of a system means that the system will not operate at its optimum. (Ahituv and Neumann, 1982, p81)

Records Management System

Current literature reflects the systems approach of records management for managing the life cycle of information (Penn and others, 1989, p11; Wallace, 1987, p8; Robek, Brown and Maedke, 1987, p43; Burwasser, 1986, p3).

Records management controls recorded information for archival, historical, legal, and operational purposes. It controls all of the recorded information in an organisation from creation to disposition. The objectives of a records management system may include: to ensure accurate and complete information is provided to users of records (Robek, Brown and Maedke, 1987, p8), to manage the quantity and quality of information (Penn and others, 1989, p6).

If it is accepted that records management is a system, the objectives of the system will not be met unless all of the records management components based on the life cycle of information are incorporated into the system. This means that individual components such as indexing or a retention schedule will not achieve the optimisation of the system, yet each component may operate at its optimum level.

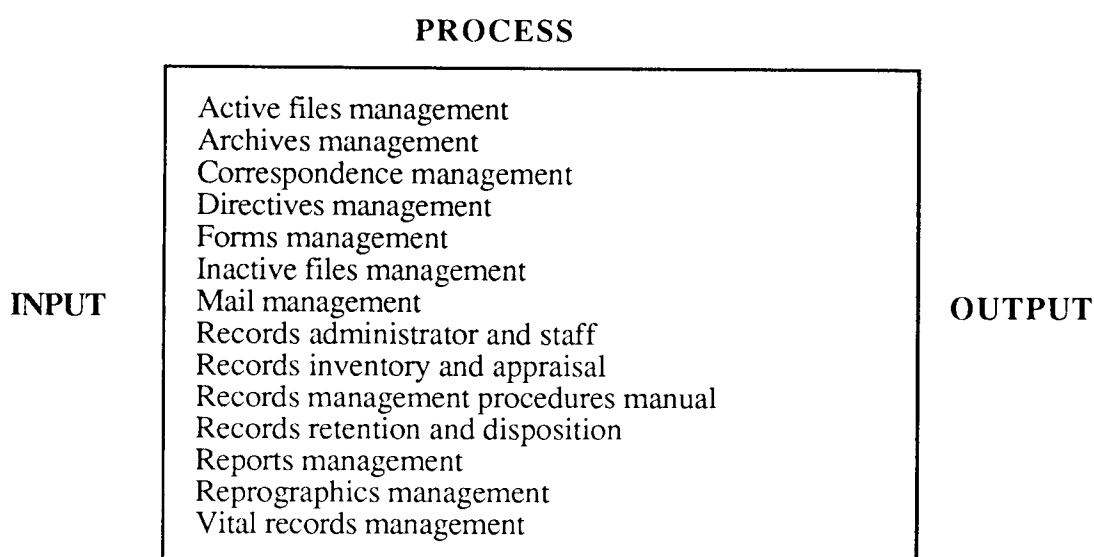
A number of authors outline records management elements (Penn and others, 1989; Robek, Brown and Maedke, 1987; Wallace, 1987), but each author/s uses slightly different approaches – different element names or

categories. There are also other aspects of records management such as the management support aspects of records management to include consultation and services.

Elements are based on the life cycle of information to provide control over creation, maintenance, and disposition of information. Possible components of a records management system are outlined in Diagram 1 below. The elements have been adapted from Penn and others (1989), Robek, Brown and Maedke (1987), and Wallace (1987). Elements specifically relating to storage media have been omitted because records management manages recorded information which includes the various types of storage media.

The interaction of these components will assist in achieving the objectives of a records management system. The phases of the life cycle of information as well as the components are interrelated, and the records management elements need to be managed in an integrated manner (Penn and others, 1989, p20).

Diagram 1: Records Management System



Meeting System Objectives

If it is accepted, therefore, that there is a records management system - systems require regulation and coordination through controls in order to meet system objectives. The more complex a system becomes, the more elements required to achieve system objectives. Higgins (1976, p41) alluded to this indicating that if complex systems have a variety of elements then the control system must also have a high variety of elements for maximum control to be achieved.

If an organisation recognises information is an asset, recognises an effective and efficient information system needs to be achieved, and recognises the importance of data integrity, management needs to set up a system of internal control (Weber, 1982, p10).

Internal control is a major component of systems design, auditing, and systems operation. Traditionally internal control was concerned with financial information – safeguarding assets. But with the increasing complexity of information systems, and the recognition of information as an asset and resource those boundaries are gradually being broken.

Internal controls can be divided into a number of different categories. For the purposes of this paper, the perspectives on internal control have been summarised as: System and Activity Controls.

System controls deal with management issues and are related to the planning process. They involve setting standards, methods and procedures that employees should follow to meet managerial and system objectives. These controls correspond to an organisation's management hierarchy (strategic, tactical and operational).

Standards enable measurement of the performance of the various components. This involves the cybernetic notion that any system can be maintained to achieve its objectives by measuring current performance, comparing this performance to a standard and adjusting the output to meet this standard.

Activity controls concentrate on methods and procedures for safeguarding assets and ensure the accuracy, completeness, and reliability of data. These controls are exercised at various stages in the data flow and are imposed on specific applications or activities. In computer-based information systems, for instance, some of these controls are built-in to the software.

It is also useful to classify controls according to **when** they occur: preventive, detective and corrective. Controls that prevent problems, rather than react to problems are desirable; but complete control of a system will only occur if all three types are covered (Walker, 1988, p19; Zmud, 1983, p168; Ahituv and Neumann, 1982, p440).

The development of system controls assists in the prevention of problems: determining management objectives, system objectives, standards, methods and procedures. Detective controls such as inspections, audits, and regular maintenance will assist in identifying inadequate controls. Corrective action can then be specified to change inputs into the system.

The development of effective records management system controls can be guided by looking at the control process. The following have been adapted from Zmud (1983, p165):

- Identify management objectives
- Identify system objectives
- Identify system components – elements by which performance will be monitored
- Identify specific indicators – actual measures used to represent system components
- Identify standards – performance indicators to meet management and system objectives ensuring ability to be met by staff
- Identify corrective actions – adjustments required in behaviour or controls to meet planned objectives

Of use are guidelines which Tichy (1983, p92) indicated are characteristic of effective control:

1. controls should be established with the participation of those being controlled
2. control measurements should be explicit and realistic

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3. responsibility for performance monitoring should be clearly identified
 4. procedures and responsibility for evaluating performance should be established
 5. responsibility and options for corrective action should be identified when performance does not match standards

This identifies the importance of planning and the involvement of 'management' in setting a management framework identifying specific controls and standards.

A systematic approach to the development of a records management system or a records management subsystem will ensure that all of the issues have been identified and their role in meeting system objectives clearly identified.

Role of Records Management

It is in the area of managing problems in information systems that the value of records management can be identified:

Information will always have a retention value; it will always need to be identified and retrieved; it will always have to be housed regardless of format; it will always have to be protected from loss; and most important, it will always need monitoring to keep it within reasonable cost limits. ...Records management is one of the principle systems needed to effectively evaluate and connect current and future technologies for successful applications (Benedon, 1987, p7).

The need to consider the management of data and documents, or data and information is frequently put forward by records management specialists. For example, in 1980 Horton (p12) highlighted that a systems approach to managing information as a resource would need to include data and documents. Morin (1980, p5) commented that systems designed solely on an automated data base are not adequate and all other data resources needed to be considered. In 1989, McDonald also identified the fragmented approach to managing information reflected in the backgrounds and skills of data management

and records management professionals and their respective tools and techniques.

The literature suggests many ways of managing the changes occurring with the implementation of computers in information systems: working alongside other functional areas; overseeing other managers; the integration of data management and records management; or an integration of information-related disciplines. Menkus (1987), for instance, suggested focusing on the intrinsic value of records; and a partnership between EDP auditors, software quality assurance specialists, and records managers – because they are all concerned with the accuracy, reliability and value of records.

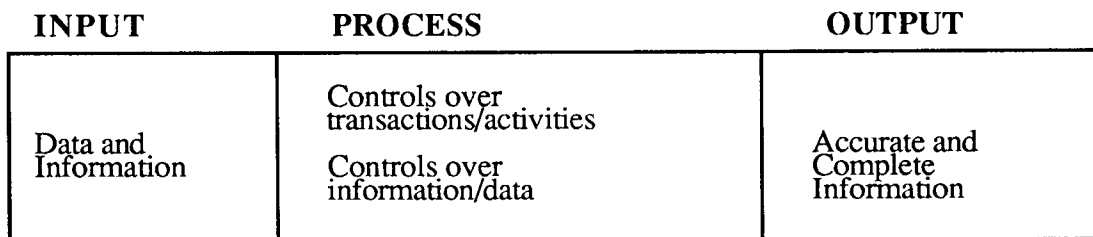
For those involved in setting standards and developing techniques, or involved in an interdisciplinary approach to managing information it is useful to identify records management and its relationship to computer-based information systems: EDP auditing, systems design and systems operations are all part of the internal control system.

There is support in the literature to indicate that controls in computer-based information systems concentrate on transactions and the activity/task (Hawryszkiewicz, 1988; McLeod, 1983; Ahituv and Neumann, 1982). For example, underlying the development of information systems is the system life cycle. This life cycle is based on the activity or steps of the tasks (Hawryszkiewicz, 1988, p28). So the primary focus of control in computer-based information systems is on the activity of processing data into information.

A records management system on the other hand focuses on the life cycle of information: the 'substance' the activity is concerned with.

Technologies now enable the input of data and information (in the form of documents) into information systems. The processing of these inputs involves control of the activity as well as the information/data. Both approaches are concerned with providing users with complete and accurate information for decision making. The integration of the controls may be illustrated as in Diagram 2 over.

Diagram 2: Managing Information Systems: An Integrated Approach



The systems approach can be used as a basis for identifying system components, their interrelationships, and standards to achieve system objectives. The systems approach provides a foundation on which to develop integrated approaches to managing information. It is one way of understanding the role of records management in organisations. The documentation of a records management system from a systems perspective will also assist in communicating to other professionals the 'role' of records management.

The future of records management rests with identifying clearly to personnel in organisations the activities and benefits of records management. Without records management a comprehensive set of system controls will not be developed, and the potential of information technology will not be achieved.

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RECORDS RESOURCE MANAGEMENT

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Introduction

There is no doubt that records are a fundamental resource, that they need management, and that if we can just find the right methods and rhetoric, we should be able to make this apparent to decision-makers and workers throughout organisations. But what type of resource are they, what style of management do they need, and can we start laying a base for the management of this resource in the future, separate from the management of information technology, or current management fads? This article addresses these issues with particular reference to information and knowledge resource management, and takes a brief look at what records management may be like next century.

Information Resource Management

The current trend is to hook records on to the coat-tails of Information Resource Management (IRM). It is a strong trend and one which, until recently, I have had no hesitation in following. IRM, as a term, has exploded beyond its original meaning, and I now believe we need to develop our own style of resource management. IRM can be little more than a synonym for "Information Management", or it can be used in a specific sense in at least five contexts. It can be seen as a way of co-ordinating the components of information systems and services, a managerial process in itself, a managerial process relating to computer

information resources, an approach which can be adapted by records managers, and a strategy which can lead to integrated information handling.

IRM – The Components

The United States Government was the first government to embrace Information Resource Management. It did so as a result of the reports of the Commission on Federal Paperwork in 1977. The reports placed emphasis on integrating the "information worlds". The nine information worlds they identified were:

- Reports Control and Inventories
- Records Programs and Depositories
- Computer Data Banks and Information Systems
- Word Processing Programs
- Microform Programs
- Printing and Reprographic Programs
- Libraries and Information Centres
- Paperwork Management eg. forms, correspondence, files, directives.
- Statistical programs and data¹

From a record-keeping viewpoint, the list establishes that many aspects are relevant and need to be managed so that they work together, not in isolation or in competition. While this approach was timely, and has continuing use, it does not help us establish the difference between information systems and records services. The fatal flaw of the components approach is that information systems and records services are relevant to all the information worlds, and to each other. All the worlds involve record-keeping and use information systems.

If we followed the components approach we would be inclined to establish Information Resource Management branches. We certainly need close links, but structures which simply amalgamate the information and records sectors are not likely to be a satisfactory solution from anyone's point of view. To consign computer data banks and information systems to one world and divide the rest of the information

services into another eight worlds makes little sense to information professionals. On the other hand, while IRM as adopted by the U.S. Government may have seemed to support the importance of records management, in reality it has not helped to attract the subsequent attention of government agencies. Most attention has continued to be given to information systems (as it should be, as long as those systems do not ignore record-keeping).

IRM and Management

As a means of integrating the components, the U.S. Commission's main emphasis was on management, leaving structural issues to be determined in the context of the organisations themselves. Unfortunately, from the viewpoint of implementation, the Commission picked up a range of inappropriate business management techniques. In the seventies, schools of Business Management like those at Harvard and Yale had found new management approaches and their influence is obvious in the IRM techniques that were developed. Corporate planning of a particular type became information planning of the same type, budgeting classification structure became information object classification structure, zero based budgeting became zero based report reviewing, and so forth. The methods have had a chequered, or discredited history in management theory. I will return to economic control in the next section.

At present, I tend to the view that records managers have only two general management approaches they can follow. They have to follow an incremental approach, progressively improving on their situation and what they are doing, and they have to live with whatever management style is in vogue within the organisation they serve. (I will mention a third non-general aspect when I discuss IRM and records management.)

Incrementalism (progressive improvement) has never been an offence against basic management theory. Some "boutique" styles of management have ridiculed it only to face the irony of the development of a new boutique style which actually rejoices in the title "Muddling Through".

When you do not attract substantial resources you can still aim for gradual improvement.

We need to match record-keeping to work places so the current management styles, whatever they are, go to the heart of records management. Today's large organisation, for example, is likely to have multiple workplaces carrying out multiple activities, and in such a context our management focus should be on seeing that record-keeping systems meet these needs first, and meet broader corporate needs where appropriate. Much of our current activity puts the emphasis the other way around, reflecting possibly outmoded "corporate resource" approaches.

The reorganisation of our work places is occurring in response to new ideas on enterprise management, including the search for excellence stream. It is affecting government as well as business. Apart from the very fact that this is occurring and thereby affects record-keeping structures, the ideas of enterprise management will have an impact on records management. We will need to put more emphasis on service delivery, quality, design, and global knowledge if the profession is to develop. Recent issues of Informaa, especially the Sydney issues, show that the process has started in Australia. Catching on to current ideas is not only needed for professional reasons; it is our main chance of getting increased funding.

IRM and Computer Information Resources

In most IRM literature, IRM is synonymous with Computer Information Resource Management, and should be thought of as CIRM. It is misunderstanding the nature of economic control of computer resources to think that much can be transferred from this stream of IRM into records management. Quite simply in the 1970's and beyond, the computer professionals came under pressure from the market because the expenditure on technology was not being transferred into productivity. The management techniques behind IRM, seen in books edited by IRM experts like Marchand and Horton, are responses which are appropriate to the control of high expenditure outlays – and

therefore almost by definition are inappropriate for control of records management outlays, which are usually low cost. In the few instances where records managers have managed to get their hands on some real money, IRM techniques would probably have killed their endeavours off before they began.

Many of the normal records management costs are well controlled by an agency's standard budgeting techniques. Some others, such as storage costs, can be justified by formulae already developed by records managers. We certainly need further techniques for economic justification, but they need to be our own, not those of others. One of our primary tasks, however, is to get appropriate record-keeping and data archiving costs incorporated in information systems budgets, not within those of records centres.

Fundamentally, record-keeping will always have a cost justification beyond economic rationalism. Consider, for example, the massive expenditure that went into optical disk technology within the U.S. nuclear industry after "Three Mile Island". Without proper records, information systems can be "a tale told by an idiot, full of sound and fury, signifying nothing". While I am raising matters about the significance of records, are problems like the ozone layer depletion, the green-house effect, and encroaching salinity best addressed by information systems, or by record-keeping systems?

IRM and Records Management

Some Records Managers have seen similarities between IRM and the life cycle of records and have produced definitions of IRM such as "the management of information from its reception or creation, through its processing, communication and use in decision-making, to its elimination or placement in permanent archives."²

In part, this is a healthy development. It has enabled the profession to broaden its perspectives within a traditional framework. Records managers are increasingly interested in record-keeping in any system, in any storage media, and irrespective of whether such record-keeping occurs within the framework of registry

style operations (control of records before they are actioned) or records centre roles (control of records after they have been actioned).

The life cycle concept has also served to draw attention to record-keeping at the time of creation, both in terms of the nature of the record, and its future storage.

Nevertheless the concept has little mileage left in it. Records are static, and if we deny this then we are denying that they have legal and evidentiary values beyond data. We need to break from the life-cycle approaches to records management if we are to manage records as a resource. Activities relating to the alleged life-cycle of records themselves need to be managed. They have nothing to do with resource management other than as work that must be done to keep our systems lean and functioning. It is important work, and professional work when it is done well, but it is not resource management.

For records managers, I suspect that our best approach to resource management is to develop our own concept (borrowing freely), and that it can be based on a three step approach. In order to specifically manage the records resource, we need to know what records are created within what systems, assess the systems and the records created within them (and this will include assessment from a service delivery viewpoint), and work to improve the situation in accord with the priorities which emerge.³ It sounds straightforward enough, but our techniques and our understanding of records management need further honing before we can do this in a simple and reliable manner across the profession.

IRM and Integration

So far, much of what I have written has involved a rejection of the concepts of IRM as a means of promoting records management. There is one strand dealing with the future which I accept as highly relevant, although I hope it will not come to us under an IRM label. Opticon, for example, at a 1987 RMAA conference, expressed a corporate belief that we "are moving into the era of information resource

management where the emphasis is on the integration of image processing, data processing, micrographics, and telecommunications".⁴

If we call this IRM, we run the risk of forgetting the role of records management in integration. As Graham Pratt (of Opticon) emphasized at a recent conference, we have to get the records management basics right for the technologies to work.

Knowledge Resource Management

If integration, in my view will not be known as IRM, what is the alternative? While I believe records are a resource in their own right, the most likely broad framework in which this can be expressed is within the newly emerging concept of Knowledge Resource Management (KRM). Given all that records managers have said about the evidential nature of records, and records as corporate memory, KRM would seem to be our natural environment.

One can get a sense of the naturalness of the rhetoric from the following quotation from Mike Turner, a designer of knowledge based information systems:

"The next stage of information management, on which a few organisations are now beginning to embark, is concerned with knowledge management, the exploitation of the knowledge resources of an organisation. Knowledge management has two roles, organising the creation of a formal knowledge resource and providing the conditions under which this resource can be used to actively support decision making."⁵

This might be the next stage in information management, but if Turner was writing about a broad knowledge base then it would sound like an early stage in records management. A Mesopotamian record-keeper more than 3000 years ago could have worked this up into a job summary (and when doing the job, would have received a salary five times that of the chief of police).⁶

Knowledge Based Information Systems (KBIS) is a systems analysis task, not a records

management one and Turner is writing about knowledge bases geared towards particular areas of decision-making. Decision-making is more complex now than it was in the ancient world. We should not, however, allow ourselves to miss out on the rhetoric, which is much more applicable to record-keeping than it will ever be to individual system design projects. Given a choice between bedding down with IRM or with KRM, which would you take? Barry Jones pointed us in the same direction as this article when he drew the attention of records managers to the line of T.S.Eliot: "Where is the knowledge we have lost in information".⁷

Hyper Records - The Resource of the Future

The relevance of Hypermedia and Hypertext goes well beyond the rhetorical significance of KBIS. I do not have space to explain the terms, or write detailed comments on why they are so relevant to records management. At this stage it is more important for those not yet familiar with our "hyper" future to understand the vision, because the full reality is some time away. The vision, however gives us something to work towards. (This does not mean hypermedia and hypertext have no current relevance. They are already here as a toy to play with on our personal computers, and as a means of designing individual knowledge bases. Nor does it mean that all those who are interested in hypermedia share a unified vision, or that all the computer design problems have been solved. Different camps are already developing, and there are some design headaches which apparently limit present hyper approaches.)

Hypermedia involves an approach which, in its fullest vision is vast. It refers to the bringing together of various media - text, graphics, audio and video, in a way that supposedly makes the connections unlimited and vastly interactive. Theodore Holm Nelson states:

"Not all roads have led to this. This new hypermedia synthesis does not come merely out of computer technology; it comes from literature and the printing arts evolving towards new forms; from movies, at last giving the viewer more detailed choices than whether to come or go; from instructional technology, (especially as

it sheds its linear and curricular biases); from board games, from video and adventure games; and from the imaginations of thousands of people everywhere."⁸

Another writer has suggested that "we stand at the edge of the intellectually possible; we are at the beginning of a knowledge explosion which could create a 'new heaven and a new earth'".⁹

Hypertext on the other hand is part future, part present. From a records management perspective the present part of greatest interest should be the information retrieval element which takes us a step beyond the primitiveness of free text retrieval. And it is a step beyond. Even at the level of the early hypertext systems such as Glasgow On-Line it is possible to see that hypertext is user friendly, that our systems will increasingly break from linear patterns of thought, and that systems can be built which allow for seemingly unstructured and random associations to be made thereby mirroring the ways of the human mind.

In time we may be talking about records as a "hyper-store" of knowledge, (unless some better terms come along). At present, knowledge bases are coming to us in individual form in the same way that data bases arrived. "Data base" now means much more, and in time, so too will "knowledge base". The parallel between hyper-stores and registries is obvious. A true knowledge base will consist of a store of knowledge which can be tapped from any point in an organisation, not a single knowledge based information system. A knowledge base will, in fullness, include a selection from a wide range of documents including all internally created or received documents, documents prepared specifically for the system, and documents brought in from external sources in the way librarians currently bring in published information. While I have suggested that a knowledge base has obvious parallels with registry systems, it will focus on serving individuals and will be a series of inter-related sub-systems from which a central store will draw.

I recently heard a very cogent case made that the registry is dead as a future approach, and is

dying at present. I would agree, except this refers to the registry as we knew it, not the registry as it will become. For most agencies with registries, it is probably sound advice to keep on making incremental changes to meet modern needs rather than undertake major reorganisations. Better record-keeping is needed at the workplace, but we need to keep a central co-ordinating focus if we are to avoid the development of a mis-match of individual information and record-keeping systems. (Something akin to the registry will also be needed to control the tidal wave of electronic documentation which may soon hit us.)

I would see skills acquisition as a far greater priority than organisational patterns. Organisational patterns are currently drifting about with the wind. Skills are a constant, and the future management of record-keeping and record use within organisations will require records management, archival, and library skills. Records technicians of quality will be required to maintain the systems on a day to day basis. Multi-disciplinary project teams will, of course, be involved as will anyone with a responsibility for an information system. Ultimately, however, it comes back to the record-keeping professions. Records resource management could have an exciting future, but only if we make it such.

We should not under-rate records management. As Luciana Duranti has written in her thoroughly documented description of the role of record-keepers through the ages:

"The creation of meaningful and usable records and the appropriate maintenance of those which are necessary to future action constitutes the pillar on which a society rests and evolves."¹⁰

The same is true of government and business organisations, and this may be about to be rediscovered through the idea of knowledge bases.

In time we won't need IRM. We can use KRM. Records Resource Management, however, can be record-keeping's own concept if we desire it.

References: see page 63

UNDERSTANDING INFORMATION MANAGEMENT IN A NEW AGE

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It seems so obvious: managing and controlling the information in an organization as part of everyday activities, so normal that no one thinks twice about it. It just happens as a matter of routine.

Information is received, disseminated, collated, retrieved and stored in such a manner that all information is controlled. Cupboards never get cluttered, file storage areas are well lit, all paper records are neatly shelved and the archives well organized and clearly labelled. All correspondence in the organization is on a file and people only have files for those matters they are working on. The rest are placed away in a convenient storage location ready for access at any time.

Sorry, but it is all a dream. Unfortunately, the opposite is usually true. Records fall out of cupboards, are jammed in shelves, files are lost and the secondary storage areas are bulging at the seams. Important documents are lost and no one follows the procedures for control of the records. Sounds familiar?

All too often organizations pay lip service to their information needs. Management thinks either that the problem is too big and complicated or there are more important things to do!

What could be more important than handling information? Information is the life blood of any organization. Information allows the organization to function, decisions to be made, policy to be formulated and compliance with the law. So what could be more important than making information work for you. It seems so logical and sensible.

Let's go back a little and reflect on the issues before examining the benefits to be achieved by managing information resources.

First, why have organizations not been able to cope comprehensively with the problems of information?

At the forefront has been the rate at which technological advances and social change have resulted in information being produced, disseminated and retrieved at levels never dreamed of previously. The complexity of our society is another element. Our society is subject to a tremendous rate of social change. Also, the nature of government is altering. Once governments were able to issue directions, make laws and implement policies with little resulting comment. Now methods of consultation, FOI and other types of administrative law are bringing into sharp focus the need to be properly organized, and to have various policies and practices properly and responsibly documented.

Technology has changed so rapidly that not all that long ago computer based records management systems were a rare item and an object of much awe. Today it is most unusual to find any reasonably sized organization which does not possess a computer to control its records.

I touched briefly upon the aspect of social change. Gone are the days when governments made decisions and that was the end of the process. Today, the various lobby groups and pressure groups are very effective at lobbying politicians about all sorts of issues. Organized write-in campaigns with thousands of letters descending upon government departments are a very effective way of cluttering up Ministerial correspondence systems. FOI legislation has enabled citizens and groups to gain access to a wide range of government documents not covered by an exemption. The consequence of

this is that decisions and policies need to be more adequately documented. The willingness of society to question the decisions of government has lead to increased demands upon how information is organized.

Information is clearly important to everyone working in organizations. Recorded information, whether on paper, microfiche or optical disc is important to the organization and if it is well managed it is worth the cost of properly organizing and managing.

Information management has probably turned the corner on the road to recognition as a separate profession. The central task of information management is to organize the information resources available into an effective tool for people to use. The marshalling of equipment, personnel and technology into a single unit with a primary purpose of managing records is a significant step towards improving information management techniques.

Many past problems have occurred because information was not perceived as a major component in business. The attitude was often that information is a free commodity and is a by-product of other, more useful tasks. Perhaps the reason that information was so unappreciated lies in the fact that it is a relatively new idea to the management scene. Finance, buildings and personnel have been traditionally seen as the important areas of an organization. It seems incongruous that a resource so vital to an organization has been ignored for so long. A glance at a selection of management text books will soon show that they mostly ignore the need to manage information effectively. Perhaps part of the problem lies in the very newness of the issue. Any new idea takes time to catch on and be accepted before it becomes clearly adopted.

Time delays have probably contributed to lack of recognition of information resources management. Years can go by before the principles are recognized and developed, a body of practice develops and is taught, and people get out to perform what they know and advance to senior management positions.

It is not uncommon to see organizations treat information in a manner in which they would treat no other resource. Responsibility for its collection, creation, retrieval is often delegated to the lowest level staff of the organization. Often these people have little or no training in information and records management, are the poorest paid and are the least effective in their jobs. Staff turnover is high, morale low, and retaining good people is difficult.

The development of a skilled workforce to manage information as a resource is long overdue. There are some encouraging signs that this is happening. For instance in the Victorian Government nearly every department now has a records management activity, with a records manager responsible for the management of the records of the organization. Local Government has also recognized the advantages of managing records on a properly planned basis. Private industry is also following the newly established pattern and is creating positions in records management.

As a first step, senior management positions are being created now for Records Managers with responsibility for the overall strategic planning and direction of records management throughout an organization. There are a range of positions developing. At the lower levels there are the specialists providing advice and engaged in the planning and implementation of records management plans and activities. At the other end of the scale are the positions for people engaged in planning and coordinating programs across organizations.

The evolution of a career structure in information management is an important component of developing an information resources policy. Until people are able to see records management as a career in which they progress as they achieve more experience, little can be achieved. The consequence is usually low morale and high staff turnover.

Records management has often been perceived as the poor relation in information management. Information management has been retarded for much the same reasons as records management.

Records management can certainly be hindered when there are no corporate policies, procedures or guidelines to assist staff understand the information requirements of the organization. For records management programs to succeed and be recognized as an important component of information management, records management must be accepted as a responsibility of everyone in the organization not just the people directly employed in maintaining the records.

Policies are required to define the objectives of the organization clearly and to provide a framework into which an information policy can be established.

The modern management approach is to develop corporate goals. These are usually a statement of overall direction and are usually called a mission statement. Supporting the mission statement are the goals and objectives. These are the things which are being aimed for and the method of achieving them. The next step is to indicate key objectives and develop an action plan. This addresses the key question of how the mission statement will be achieved, what resources are required and how the resources can be applied to achieve maximum impact and the best outcome. Thus, it can be seen that the linking of corporate goals and information management is important. The setting of corporate management goals now forms an integral component of modern management. Output oriented strategies are necessary in order to survive in an increasingly difficult environment. Modern strategic management contrasts with the more traditional bureaucratic approach where compliance to rules and regulations were more important than setting forward plans or planning strategic direction.

In this new environment, records management must be able to adapt and respond to new goals and directions set by management. Records management systems based upon past practices and aligned to more traditional management methods will be unable to cope with future information demands.

The future direction that the management strategy takes will have an effect on records

management. New goals in any organization impose different strains upon records management. The setting of new goals will impose additional responsibility upon the information systems. New goals will equal new records. Issues could emerge such as improving customer service and developing more responsive systems to cope with new goals. The impact of economic efficiency and the desire to use limited resources effectively will direct how the records management function will be organized.

Old records practices will find it increasingly difficult to cope with new management demands. Old records systems usually contain needless detail. Everything is recorded regardless of whether it is valuable or not. If computer systems are deployed it is usual to find manual records somewhere, which duplicate and overlap the computer records. Information on a computer screen is usually disbelieved unless it has also been confirmed in writing. Hence books and cards can still be found containing exactly the same information as the computer.

It is often thought that everything produced by the organization should be retained. The fact that the records to find things are poorly maintained has never been a barrier to those who maintain that nothing should be disposed of.

What arises is a mismatch between goals and the records systems. Records systems become unresponsive to changing needs. A change in emphasis or the taking on of new issues often bring pressures which result in systems failing. Key decisions are not supported by written documentation, letters are not answered or are completely lost, and lastly waste occurs. In these days of resource constraints the most must be made of existing resources. Needless waste is usually not sustainable.

It is clear that in order for corporate planning to succeed there must be improved links between the records manager and management. The records manager must be involved in planning strategic change directions which will result in increasing demands being placed upon record keeping systems.

In any analysis of information management resources two key objectives emerge. The first is to obtain maximum value from the information by organizing it in such a way that is usable, timely and accurate. The second relates to organizing the available resources so that the best value is obtained from them.

First, let's look at using information effectively. There are two aspects to this issue: managing the information process and managing the data resources of the organization. The first issue relates to the adequacy of the information processes used within the organization to support decision making. The second relates to harnessing the various technologies to support the decision making function.

The big questions are resolved at the management level about the information process. This is the more dynamic aspect of information management. The focus is upon the quality of the interactions and the relationships between people and information. This emphasis is importantly people orientated. It is very much about the quality of the process. How do individuals in organizations use information? What are their needs? Do they have the appropriate level of knowledge and training to use the data effectively and communicate it to others?

The other aspect is how well are messages and data communicated in the organization. Does important information circulate quickly? Does management get to see what it needs to operate properly? How well is the information process co-ordinated?

Managing data resources emphasizes the hardware side of information management. The issue is how to use existing and future technology to support the requirements and needs of the organization.

Traditionally, the products of the information process have been treated as functionally separate from the input aspects. The production of correspondence, reports, forms, directives, mail, files and courier services demanded distinct management approaches. The result has

been a lack of co-ordination and the use of technology which was probably inefficient.

The use of equipment has been perceived as a distinct issue. Different approaches have been used to manage records management, computers, libraries, telephones, word processors and reprographics with little sensitivity or appreciation for the interrelatedness of technologies in the information process.

Let's return to the central issue of managing information resources - the development of procedures which will bridge the gap in activities and induce a framework of co-ordination for the technologies which all contribute towards organizational effectiveness.

Unless those involved in managing information properly account for, budget, plan, organize and evaluate information, a valuable resource will continue to be wasted. Thus the link to corporate goals is fundamental.

Horton (1983) provided a detailed assessment of the constraints which can apply in information management. An understanding of these constraints will help provide signposts on how to overcome them. Theoretical constraints are a significant problem. Information management covers such a broad range of activities that it is difficult to develop a congruent and single approach. Many elements are interactive, overlap and are not mutually exclusive.

- Methodological issues. There is clearly a long way to go in developing an established body of standards and criteria to assess information systems. The existence of some 30 different records management software systems indicates that this is an important problem. The inability for records management to evolve a standard set of terms and definitions adds to the problem.

- Organizational constraints. The desire of organizations to establish their own unique structures makes it difficult to establish standards. The need usually arises to adapt procedures in order to meet particular needs.

- People in organizations. People in organizations are generally not receptive to changes in procedures which have an impact upon their own work. A lot of time needs to be spent selling ideas and reassuring people.

- Legal constraints. Laws are often an inhibiting factor in information management. Laws in relation to micrographics and computers are well out of date. How the law will cope with documents contained within an optical disc system is yet to be addressed.

- Fiscal constraint. No organization has a bottomless pit of money. Money has to be allocated according to priorities and demands. Information resource management has to fight with other conflicting options to attract dollars.

- Maintaining the status quo. Information management will lead to changes in procedures, policies, procedures and structures of organizations. Changes must gain acceptability and support at all levels to have any chance of success.

To this list can be added the lack of corporate policies, procedures and guidelines on information and records management which adequately address the issues. How many organizations do you know which have up to date, practical and fully implemented records management policies and guidelines?

Good records management practices reflect upon the management of the organization. A sign of good management is when correspondence and reports which are received and processed, can be retrieved when required.

In terms of people employed in the information industry, especially records management, the opportunities have probably never been better. As the modern aspects of records management have developed only since the 1940's, the opportunity to explore new aspects is wide open. The advent of computers has made records management a viable option.

It should not be forgotten however that the march towards technological change will not come without some cost.

The changes from card indexes to computers to optical discs cannot be achieved by applying past practices. The casualties in the process are generally the lower paid workers who become redundant or are denied base grade employment opportunities. A different skill level is now required and the employment of flexible well educated people is now the norm. But there is an even bigger danger in technology and that is the tendency to take skills out of peoples' heads and try to put them into machines. This overlooks the advantages of having a highly motivated, multi-skilled workforce to promote effectiveness in work. Over reliance on machines to do tasks is indeed dangerous.

The day of the records manager as an information professional who can lead and direct people without losing sight of organizational goals and effective use of resources is here.

Information is now a prominent resource and it is being recognized that it must be used effectively. In the information expansion age the need to manage people, improve productivity and control technology means that there is no other alternative but to - Manage Your Information Resources.

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LEGAL OBLIGATIONS AND LIABILITIES FOR RECORD KEEPERS

by Helen Smith, BA, Grad Dip (Archives and Records)

Helen Smith is Corporate Archivist at the State Bank of Victoria. Prior to this Helen worked for a number of years at the Public Record Office, Victoria.

Almost all of the activities which we take for granted such as using our car, purchasing a home, or going to the Bank are bound up with many laws which create a large number of legal rights and liabilities for us.

"Law consists of rules of conduct and regulations which may be enforced by legal action. It is designed to produce and maintain order in the community."

As average citizens our best hope is an elementary knowledge of a few important and basic legal principles which affect us, for the law is complex and occupies the time and energies of trained legal experts.¹ A first response may be to shrug our shoulders and turn to the slogan on the EOB tram.

"All Victorians are protected under the law from unfair treatment".

We may believe that all will be well. Yet we have all probably heard of, read about or know of incidences where the rights of people have not been upheld or respected purely because they have been unaware of those rights or because they cannot prove that they are entitled to them.

In the same way that we as individuals need to be aware of our obligations and the penalties for non-compliance with the law, we as information management practitioners must extend this awareness and understanding of the law to our organisations. Just as legislation affects the community, its ambit also extends to controlling enterprises and therefore to their record keeping practices.

The law places obligations on us regarding several aspects of records management. It can

dictate and regulate creation of records, their nature and form, the medium in which they are stored and who has access to them. The law also determines penalties when the prescribed record types are not maintained. As a result it is potentially able to influence our records management programmes in many indirect ways as well as several direct ones. But from all of this the benefit to our organisations is protection against perhaps costly litigation.

Examples of legal obligations are:

- Under the *Industrial Relations Act 1979*, penalties for non-creation of attendance records are monetary, or for false records, jail.
- Under the *Companies Code (Victoria)*, penalties for either non-creation or disposal of records such as minutes of general meetings and accounting records vary but both the company and the officer (employee) responsible incur the penalty. Disposal of any record is forbidden where the company is under investigation.

The list of Acts which prescribe aspects of our record management programmes is far too long to be covered in detail here. However I would like to look at some of the main tax acts in a bit more detail.

1. INCOME TAX

Governing Act:

The *Income Tax Assessment Act 1936*, (as amended) (ITAA) covers all income tax and includes pay-as-you-earn (PAYE), prescribed payments system (PPS) and withholding tax methods of collecting income tax.

Retention of Records:

Section 262A(1) covers retention of records. Basically all records used to prepare income tax,

PAYE and PPS returns must be retained/preserved for "... at least seven years after completion of the transactions, acts or operations to which they relate." Section 262A(2)(a) provides that the Commissioner may notify a taxpayer that preservation of certain records is not required.

Access to Records:

Section 263 permits that the Commissioner or his duly authorised Officers be provided with access to all books etc. The provision now requires that assistance in locating and provision of facilities to review these records etc. be given by taxpayers. Section 264 permits the Commissioner to request in writing that certain taxpayers attend in person or that specific information be presented before the Commissioner.

2. FRINGE BENEFITS TAX

Governing Act:

Fringe Benefits Tax Assessment Act 1986.

Retention:

Section 132(1) requires retention of all records for a period of seven years after completion of the transaction or acts to which they relate. Section 132(5) allows for notification by the Commissioner that preservation of certain records is not required.

Access:

Section 127 provides that access must be given and that reasonable assistance and facilities be given in providing such access. Section 128 permits the Commissioner to request in writing that certain persons attend or that certain information be presented before him.

3. SALES TAX

Governing Acts:

Sales Tax Assessment Act (No. 1) to (No. 9),
Sales Tax Administration Act.

Retention:

Section 70E(1) of the STAA (No. 1) requires retention of all records for a period of not less than five years after the completion of the transactions to which they relate. Subsection (2) permits the Commissioner to notify taxpayers that retention of certain records is not required.

Access:

Section 12E of the *Sales Tax Procedures Act* provides that access must be given to the Commissioner or his officers and reasonable assistance must be provided.

4. DEBITS TAX

Governing Act:

Debits Tax Administration Act 1982.

Retention:

Although there are no specific references to retention of records in the DTAA, contact with the ATO suggests a retention period of 7 years.

Access:

Section 58 requires that a fully and free access be given including reasonable assistance and facilities to assist the provision of access. Section 59 permits the Commissioner to request in writing that certain persons attend or that certain information be presented before him.

5. PAYROLL TAX

Governing Act:

Pay-roll Tax Act.

Retention:

Section 44(1) requires that records be retained for a period of not less than 5 years after completion of transactions to which they relate. Section 44(2) provides that the Commissioner may notify an employer that preservation of certain records is not required and also that

records of dissolved companies need not be kept.

Access:

Section 45 provides that access be given, but does not expressly state that positive assistance must be given. There are no provisions relating to written requests for information.

As can be seen from these examples, the question of legal status of commercial undertakings and of legislation affecting their records is important because it provides one means of efficiently tackling certain records management problems, especially that of document retention.²

It is, however, not sufficient for us to have a rudimentary knowledge of various Acts and their relationships to our records. We cannot look at pieces of legislation in isolation. We need to be aware of the fabric of the law and how several Acts can be interconnected, with their deeming provisions consequent upon or affected by other Acts.

To use another taxation example, S.77 of the *Financial Institutions Duty Act* 1982 requires financial institutions to keep records which give a true indication of dutiable receipts. Such records are to be retained for a period of 5 years subject to S.53Q of the *Evidence Act* 1958. To fully understand our obligations under the FID Act we need to know what S.53Q of the *Evidence Act* says.

6. FINANCIAL INSTITUTIONS DUTY

Governing Act:

Financial Institutions Duty Act 1982.

Retention:

Section 77 requires retention of records for a period of 5 years after completion of transaction to which they relate. Subsection (3) permits the Commissioner to notify a bank that retention of records is not required.

Access:

Section 78 permits the Commissioner to request in writing attendance of certain persons or presentation of particular records before him. Section 79 requires that access be granted, however, there is no requirement to provide positive assistance.

S.53Q deals with the use of microfilm copies in lieu of original documents and states that if a document is required for longer than 3 years a negative of the document shall suffice for evidentiary purposes providing it has been filmed with an approved camera as defined by S.53C of the *Evidence Act*.

So far so good. We would be able to reduce retention of our hard copy document from 5 years to 3 years if we so desired by using the interconnectedness of two pieces of legislation. But it doesn't stop there.

If we were part of a financial institution subject to the *Proceeds of Crime Act* 1987 we would have to determine whether any of the documents required by the FID Act which can be stored in microfilm format after three years are regarded as "essential customer generated financial documents" (S.76-77). In which case the *POC Act* requires them to be retained in their original format for 7 years.

We have now gone from 5 years to 3 years and back up to 7 years and so the law is affecting our records management programme by making demands on our storage facilities. At least under this scenario we would eventually be able to dispose of the record. However if we go back prior to the *POC* example another scenario may unfold.

If we are a public body under the meaning of the *Public Records Act* 1973, then even given the option of S.53Q we could not dispose of the hard copy document. S.53Q does not expressly authorise the destruction of any document which is a public record. That authorisation can only be given under S.12 of the *PRO Act*.

It would appear that the provisions relating to the preservation of contents of documents under S.53Q does not apply to documents which are public records because the *PRO Act* does not contain provisions which "require a document to be preserved for longer than three years", such being the criterion which is to exist for S.53Q to have any application.

Thus the fabric of the law must be understood in order for us to make sound judgements, especially about retention and disposal.

"Evidence is the information of proof. It is tangible testimony of performance, agreement or other action. Its value derives from its graphic qualities and its acceptability as the original instrument of transaction. Information with evidential value means documentation such as a form, letter, contract, receipt kept either on paper or in another legally accepted format"³, (as is the previous example of S.53Q of the *Evidence Act*).

Information which is used for proof is quite distinct from information which merely informs and it is this distinction which is important in a legal sense for us as information practitioners.

In the area of computerised information storage and handling this distinction becomes even more important. For instance, are business records entered directly to a computer and stored on tape or disk, admissible as evidence in law? Or are the original source documents required to substantiate the electronic data? Would the best evidence rule be sufficiently flexible to allow admission of computer-based records as evidence?

Certain provisions have been made for computer evidence. Subsection 1 of S.55B of the *Evidence Act* allows a document produced by a computer to be tendered in a court where direct oral evidence of a fact would be admissible, providing that the computer could be shown to have regularly stored and processed information over the period in question; that it was regularly used in the ordinary course of business; that over the period in question it was operating

properly or any problems did not affect the production of the document or its accuracy; and information in the document was derived from information entered during the normal course of business.

From this it should be noted that as information management practitioners we need to ensure that subsidiary records proving the continuity and regularity of use of computers are maintained in order for computer generated documents to be legally acceptable. Exception or error reports might be vital documents if the reliability of our system was questioned. Yet how far the law will permit the computer to be admissible still remains to be seen.

Controversy surrounded the attempted introduction of the Australia Card. We as citizens were fearful of the collection, storage and use of a personal dossier. Yet in the majority of our dealings with government agencies, eg Medicare and VicRoads, we make personal disclosures; and this is even more so when we want credit or loans, eg banks, Bankcard/Visa/Mastercard or Myer/David Jones. As we exchange our own personal details many of us obtain similar information in our jobs, eg employee records, patient information, ratepayers.

Personal privacy is becoming a prominent issue and one of which we should all be aware. The ramifications of ill-judged or inadvertant disclosure could at best embarrass our organisation but in the future could lead to more serious consequences.

The *Privacy Act* 1988 was assented to on 14 December last year and came into operation in January this year. Although at this stage its provisions are limited to Commonwealth departments or agencies, except for substantial penalties for misuse by private industry of the Tax File Number, it is appropriate to raise it as an issue of information management generally.

Section 14 of the Act contains the 11 Information Privacy Principles. They are:

-
-
- (i) Manner and purpose of collection of personal information
 - not for inclusion in a publication
 - not collected by unlawful or unfair means
 - (ii) & Solicitation of personal information
 - (iii)
 - make known the purpose and to whom the information will be made available
 - information is kept up to date
 - non-intrusive
 - (iv) Storage and security
 - protection against loss, unauthorised use, modification misuse
 - (v) Requirement on record-keepers
 - make known what records are kept, how used, how to gain access
 - (vi) Access
 - individual can have access
 - (vii) Alteration of records
 - to ensure accuracy, up-to-date relevance
 - if record keeper does not wish to/cannot amend a record a notation must be made signifying that amendment was sought
 - (viii) Check Accuracy Before Use
 - (ix) Used Only for Relevant Purposes
 - (x) Limits on Use
 - only for relevant purposes except with consent
 - other special reasons
 - (xi) Limits on Disclosure
 - only for relevant purposes except with consent
 - other special reasons

Kevin O'Connor, Commonwealth Privacy Commissioner has stated:

"The Information Privacy Principles in the *Privacy Act* 1988 seek to remind administrators and managers that they do not

own the personal information under their control. They cannot trade that information as though it was an inanimate (commercial) commodity. They owe duties of care and confidentiality to the individuals who have given up that information.

Subject only to certain public interest exceptions an individual's expectation of confidentiality should guide and limit the handling of personal information"⁴

It is well to note that an amendment Bill is currently before the Commonwealth Parliament which seeks to provide for regulation of the practices of credit reporting agencies and credit providers including Banks and Building Societies, and the types of information they may maintain and/or exchange. Its intention is also to provide an enforceable right of access to, and correction of, an individual's personal credit records.

From all I have been saying you may be concerned that I am suggesting retention of great quantities of information in order that your organisation be protected.

In terms of the law and its relationship to our records management practices there will always be a business risk element. Even though the law may only specify a litigation period of a certain number of years and we may apply this as a disposal guideline, our organisations may require that same information at a later date for other reasons. It is up to us to weigh the pros and cons of our records management decisions and complying with our legal obligations is one of those decisions.

I believe that we can separate the legal requirements into two business risk categories - those that are discretionary and those that are not. In order to do this we need to understand what our statutory obligations are - how we should comply with the law and, on the reverse side, what the specific consequences will be of non-compliance (eg absence of documents).

On the discretionary side we have in our favour the "best evidence rule". Against this is the financial cost of both non-compliance (penalties

under the Acts) and of litigation (especially if our organisation loses a court case). However, we need to also consider the fact that in some cases the existence of records may actually be damaging to our organisation. From a litigious perspective information has both positive and negative value.

In terms of business risk two points are relevant:

- avoid the "just in case" mentality
- endeavour to reduce your exposure to risk but weigh this against the cost incurred.

It is not good business sense to destroy for economies of space if substantial risk exposure is created.

The aim of any record system should be to control creation, use and storage so that all reasonable demands likely to be made upon them can be met in some measure by either the production of the physical document or a copy, or an abbreviated format. In this paper I have attempted to outline the obligations and liabilities attendant upon our record systems under the law. I hope I have, in some measure, succeeded.

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UNDERSTANDING INFORMATION MANAGEMENT IN A NEW AGE

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THE ESTABLISHMENT OF THE AUSTRALIAN BANKERS' ASSOCIATION'S RECORDS SECTION

by Loredana Drury

Loredana Drury is Records Manager at the Australian Bankers' Association where she has been since early 1987. Loredana has been instrumental in establishing and running the ABA's records management operations.

The Role of the Australian Bankers' Association (ABA)

The Australian Bankers' Association is a national organisation of banks in Australia. It represents 29 licensed banks operating in Australia.

The principal objective of the Association is to obtain maximum benefits for its members. To ensure this, the Association carries out extensive research on behalf of its members expressing their views to the government and other bodies on issues relevant to the industry.

Historical Background of the ABA's Records Section

Prior to 1954 administration records of the industry were kept and classified by industry groups which existed in each State. The groups were called Associated Banks in each state except New South Wales. The Bank of New South Wales acted as the liaison bank on industry matters for that State. These groups all controlled their own records.

The Australian Bankers' Association was founded in 1954 to handle banking industry matters.

In 1985, under a new constitution the "Banks Association" (4) became Branches of the new Australian Bankers' Association. Records were still controlled by the individual States.

There were four bodies that were united to form the present ABA – the Secretariat, Research

Directorate, Bank Education Service and later the Banks' Industrial Association.

The Secretariat, Bank Education Service and Banks' Industrial Association of the Australian Bankers' Association were based in Melbourne and the Research Directorate was based in Sydney.

These bodies collected and housed information only dealing with their specific duties. The information in these bodies was filed in alphabetical order.

Under the leadership of the new Executive Director in 1986, the Secretariat, Bank Education Service and Research Directorate were amalgamated and consolidated in Melbourne. The Banks' Industrial Association then joined the ABA in 1987.

The information contained in files from these bodies were integrated alphabetically. There were no formal records management procedures prior to 1987.

The ABA's Records Section

In early 1987 a central records system was established.

Assessment of files led to the creation of two repositories, that is, an active and an inactive/archival repository.

- Due to relocation of premises, the inactive and archival records were catalogued by temporary staff and housed off-site in a commercial storage facility.
- The current records were transferred from an alphabetical sequence to an alpha-numerical coding system by the Librarian and the Records Manager plus two temporary staff.

- These records were held in the ABA's Library previously and now make-up the existing Records Management Section within the Information Centre.

The past two and a half years has seen an increase in activities of the Records Section. Some of these activities include the development of records procedures, establishment and implementation of a coding system for the ABA and the Industrial Division, a large scale audit of on and off-site information, and the engagement

of a consultant to develop a Disposal Schedule, Vital Records Program and Disaster Recovery Plan.

1990 will see the planning and implementation of a computerized Records Management System, amongst other projects.

All the above would not have been possible without the support of the Executive Staff and the Records team.

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RECORDS MANAGEMENT AND THE PUBLIC RECORDS OFFICE, VICTORIA

A HISTORY

by H W Nunn, BA (Hons), CRM, FRMA

Harry Nunn was formerly keeper of Public Records Victoria, and is now co principal of Johnson Nunn & Associates, consultants. He is a Life Member and Fellow of the RMAA and has actively contributed to the RMAA at Federal and Victorian levels since the Association's inception, as well as the IRMF and IRMC.

The Records Management Association of Australia had its first genesis in Sydney when the RMAA (New South Wales Branch) was formed in 1968. Some six months later in December 1968 the RMAA, Victorian Branch was launched by a small group: Alan Sherman an archivist from the Brighton repository of the then Commonwealth Archives Office (now the Australian Archives), Peter Mulquinney from Australia Post Office, Alan Black from State Electricity Commission, and Murray Bassett, Records Manager at BHP. There is a story to the Records Manager position at BHP. A prominent journalist and Public Relations come author Clive Turnbull took the author (at that stage Chief Archivist at the State Library of Victoria) to several firms to expound the relationship of records management to archival management and as a result a Records Manager was appointed to whom Murray Bassett was the successor.

A brochure states that RMAA was formed in 1968 "following mutual recognition of the problem of records congestion by representatives of many prominent organisations and that it was spreading to other states and developing overseas affiliations" (International Records Management Federation).

Early Councillors in 1969 were M G Leigh (Ansett Transport) President, P J Mulquinney (Australia Post Office) Vice-President, T M Bassett (BHP), A A Baensch (Department Shipping and Transport), N Davis (Davy Ashmore Pty Ltd), R Lasser (Bayer Leverhusan

Ltd), B P Munro (Underwriting and Insurance Ltd).

One of the first activities of the Victorian Council was to form an Education Committee. It held its first meeting on 2 April 1969. The Chairman was Alan Sherman and members were P Mulquinney, A Burley (Nicholas Pty Ltd), E Ball (Broken Hill South), M Leigh, R A McGregor (Albright and Wilson Pty Ltd). I was invited to join both the Committee and the Victorian Council on 17 July 1969.

Early Presidents were M G Leigh, Alan Sherman, Harry Nunn, T M Bassett, A F Black and Bert Brewster (both from State Electricity Commission) and in the early eighties P Taylor. Other early members of Council were C P Hayes (Totalisator Board or TAB), A L Spicer (Country Roads Board), and P McBurney (APM). Messrs Sherman, Bassett and Brewster and later P Taylor served a number of terms as President and I served as President on three occasions and also as a Federal President for two terms and consistently as a Victorian Councillor for twenty years.

In May 1969 a study group was formed on Mail Management – a Review of Problems and Suggestions for their Elimination. Another study group was formed to 'Investigate and recommend on the Authority of a Central Records Office/Officers'. In October 1969 a three day seminar was held, the subjects were – 'The Importance of Records Today' (Ms Oxley Jones), 'History of Records Management' (H W Nunn), 'Is there a Records Manager in the House?' (P Mulquinney), 'A Decentralized System of Records Management' (M G Leigh), 'Records Disposal Scheduling' (C deGaris, Town Clerk of Brighton), 'Records Protection' (M Pogson, Chubbs' Safes), 'Conducting a Records Survey' (T M Lovett), 'Selling Records Management to Management' (Eddis Linton).

Other seminars typical of the sixties and seventies were 'Is Microfilm the Right Medium for all Applications?'; 'Productivity, Word Processing, Keyword Indexing'; 'Bugs, Slugs, Rats, and Mice'.

In the meantime and prior to the formation of the New South Wales and Victorian Councils a movement in Records Management had developed as early as 1957 in the Victorian Government Sector. I had been appointed Senior Archivist of the newly created Archives Division of the State Library of Victoria in 1955 and was bequeathed some 8,341 linear feet of departmental records (early Chief Secretary's Departmental files), transferred there at the instigation of the Trustees of the Library and the Royal Historical Society subsequent to a deputation to the Chief Secretary in 1919 'pending the establishment of a Public Record Office'. They were supported by academics during World War Two to prevent pulping of public records. The public records were placed in the State Library as indeed in libraries in South Australia, Tasmania, New South Wales and Queensland because there was 'no other place to put them!'. So began the muddled connection of official departmental records or public records which require a quite distinct philosophy and technical arrangement from librarianship and the Dewey system of cataloguing. There was no other philosophical or intellectual basis for a relationship with libraries other than the question of space. The same happened to the Archives or public records of the Commonwealth Government with the appointment of Archivists to the Commonwealth Library of the Prime Minister's Department later the National Library.

During World War Two the War Archives Committee appointed in 1942 was responsible for principles regarding destruction, collection and preservation of records and for co-ordinating the work of the National Library and the Australian War Memorial. In 1946 the work of the Committee was extended to post war records and the name changed to Commonwealth Archives Committee to make recommendations for a permanent archival system. It subsequently favoured the autonomy of the Archives division of the National Library

following a conference of Departmental Heads and the Public Service Board. This led to the Departmental Registrar Scheme and officers trained in principles of Records Management and the development by Ian Maclean of an admirable synthesis of classical and modern views of archives administration and the essential relationship between records management and archival management. Such leading personalities as Ernest Posner and W Kaye Lamb in USA and Canada respectively also understood and promoted this intellectual transition as indeed also the Grigg report of 1954 in Great Britain reporting to the House of Commons on departmental records. These matters were later enshrined in the Victorian Public Record Act of 1972 and Commonwealth Archives Act of 1983. The Dewey system of cataloguing was quite alien to the registry system of departmental records (the best examples are 19th century British and Colonial manuals on record making and keeping) and to their subsequent inventorying by the series concept in Archives establishments.

The first major task in Victoria in 1957 was to gain control of the departmental records and separate any private records for transfer to the LaTrobe Library which was then about to be built.

The second major and continuing project was to assess the accumulated backlogs in departments and to develop selection procedures that would prevent further backlogs and transfer selected records to the then Archives. Sitting like a beetle on a pile of dirty records in the dark subterranean Verdon Gallery basement I realized I could sit there forever muddling around the records and be paid a salary. The task I thought meant to service government and the public by providing access to evidentiary records with true archival and legal integrity. Records are preserved to be of use became the gospel not only documenting the 19th century but also the 20th century, that is to go out and get the vital public records. The method, the introduction of the composite, orderly, jointly authorised (departmental and Archives) disposal cum selection schedules based on the concept of the Records Management life cycle of records. I had visited the then Commonwealth Archives in

1956 and from them I learnt the principles of Disposal/Selection Scheduling and later that year I wrote my first paper for the Victorian Public Service – Disposal/Selection Scheduling – based on the concept of the life cycle of records. As well as gaining an intimate knowledge of departmental registry procedures this also meant the development of the Archives Division of the State Library into a statutory element of the centralised Government machinery, a Public Record Office with legislation to regulate relations with Government statutory and Local Government bodies, public access to records and Records Management procedures.

It became abundantly clear that the dictionary definition of an 'Archives' derived from the Greek 'Archeon' was a place in which public records were placed and that a departmental file did not mysteriously become an archive by transferring it to an official statutory body for that purpose and that efficiency in records creation, maintenance and disposition was an essential precondition to a successful archives administration. The new relationship between the Archivist and the new Records Manager shows the contrast between the 19th century classical 'keep the lot' and the modern schools of archives administration when the mass production of records made selection procedures vital. Upon the success of co-operation with the Records Manager depends the ease or difficulty in which records can be selected for preservation arranged in their original 'provenance' and described, made retrievable, accessible and available for use.

Neither miniaturisation or computerisation alters this basic fundamental. 'En passant' it may be noted that whereas the earlier gospel of Records Management has been selling the concept on the basis of efficiency and economy, that is past (although lingering on) and concentration should now be on the evidentiary nature of records and their integrity.

As a result of this early basement thinking as mentioned earlier I wrote a paper explaining the mechanism of the Disposal/Selection of Public Records and in conjunction with officers of the Public Record Boards in 1957 developed a

disposal schedule. This schedule and the mechanism procedure was the basis of two training seminars each of two weeks duration for public servants and registry officers by the Archives Division and the Public Services Board Training Section during 1958, almost a decade before the formation of the RMAA Victorian Council. In that same year of 1958 the State Librarian, (C A C McCallum) who had recently been a member of a National Library Committee of Inquiry in 1956/57, requested me to draft legislation on Archives. On investigation I wrote a treatise 'A survey of Recent Development in Archives and Archives legislation in Great Britain and the United States of America, the Commonwealth of Australia and the Australian States' (the latter were included as State Libraries' legislation contained snippets of Archival relevance). The emphasis was on two related issues, the constitutional position of a centralised Archives system and the relationship of Archival authorities in making effective a practical method of selection of records. This had occurred in USA with the National Archives Act of 1943, the Hoover Commission of 1949, the Federal Records Act 1950 and the creation of the National Archives and Record Service. The essential link with 'Record Service' represented immense gains to the Archives. Similarly in Great Britain the 1954 House of Commons Committee on Departmental Records (the Grigg Report) led to the Public Record Act of 1958 making provision for an officer in Departments to collaborate with the Public Record Office to facilitate selection and transfer of public records. All these centred on the integrity of public records and with the accommodation issues of records proliferation and accumulation or selection procedures. The 1957 report of the Board of Inquiry into the National Library had stated that 'archives service is a central element in the government machinery for the management of records' and my suggestion to the State Librarian in view of my survey and also the Commonwealth Government's 1955 document 'Arrangements for the Management of the Public Records of the Commonwealth Government' it was desirable to develop further the practical working relationship between the Archives Division and government bodies before legislation was prepared.

Schedules had been developed for Local Government, the Brighton Municipality jointly by the Town Clerk and the Senior Archivist as typical of a Metropolitan area and similarly Wangaratta as typical of a country area and seminars opened by the Minister (R J Hamer) were held in all country regions and the Metropolitan region. Other schedules followed, the Education Department, Treasury, Board of Works, and Country Roads Board the latter two as typical of statutory bodies. Importantly also as a member of Public Services Board Inquiry into the application of Microfilm, I also wrote a 94 page supplementary report defining 'Records Management as an administrative service, a Modern Tool' and 'Microphotography as a phase of Records Management'. The report in fact was a vehicle for a full exposition of Records Management and the life cycle of records concept and a detailed investigation of microfilm within that context to reach high places. In the event a Central Microfilm Bureau was established on whose Committee I served 12 years and the concepts of Records Management and Archives were more widely accepted. It is to be noted that concepts must be implemented rather than theorised and the Archives/Records Management relationship was carried out in practice. With practical schedules working, the report on Archival legislation was accepted as evidence by the Jungwirth Board of Inquiry into Library Services in Victoria in 1963. It recommended that policy decisions regarding public records and access to them should be laid down in legislation governing public records. The resultant 1970 Public Records Advisory Committee (by which time the RMAA had been formed) was appointed by Ministerial action and was composed mainly of Permanent Heads or their immediate representatives and I as then Chief Archivist acted as Secretary. The Committee recommended a Statutory base for the Public Record Office and outlined the elements that legislation should cover and amongst those elements was a record management programme and the appointment of officers in each agency to carry out those functions with the advice and assistance of the Public Record Office. Legislation was enacted in 1973 and the Public Record Act provided for records management

programmes and for officers to carry out those programmes and for the first time in Australia there was legislative recognition of Records Management and the Records Manager.

In July 1976 at the request of the Keeper of Public Records the co-operation of the Public Service Board was sought in the establishment of a Task Force on Records Management. It was formed in 1977 and its terms were to make recommendations for the development of an effective records management function in Departments consistent with the requirements of the Public Records Act and also the introduction of personnel management practices... to capably perform the records management programme.

The Task Force recommended amongst other matters the introduction of specific and appropriate classified positions of 'Records Management Officers' within the administrative officer structure, the introduction of career opportunities within records management and remedial programmes for the backlogs of records. As a result a career stream of Records Managers was introduced into the Victorian Public sector and quickly followed by career opportunities in the Local Government area.

In 1969 the Chairman of the Education Committee of the Victorian Branch had a discussion with the Curriculum and Research Branch of the Education Department and it was thought the Certificate of Business Studies was most suited to undertake a business practice stream in Records Management and this resulted in the Technical Schools Division promoting a Certificate Course at the Business Studies course at Prahran Technical College. The leading lights in drafting the syllabus were Peter Cutter in charge of Business Studies, Bert Brewster, Alan Sherman and Peter Mulquinney. In 1973 the course was underway with lecturers provided mainly by RMAA in Records Administration 2B and 2C. Bert Brewster became chairman in October and the course broadened, Records Administration 2A (Systems and Training), 2B (Control Methods), 2C (Disposal and Archives), 3 (Planning). A new syllabus was developed in 1975 when Prahran Technical College became the Prahran College of Advanced Education.

In February 1971 Tom Lovett of the NSW Branch produced a journal 'Information Efficiency' – subtitled the Australian Journal of Information Management, Records Management, Business Archives, Micrographics and Communication.' Copyright was by Infoman Press and it was published with the RMAA logo with a foreword by M G Leigh, Federal President, T R Lovett Contributing Editor. Eddis Linton explained the 'Dynamic Objectives of the Records Management Association of Australia'. Contributors to a limited circulation of 1000 were P Mulquinney, M Leigh, and K Hall of New Zealand State Service Commission.

Problems arose as to whether an independent publication by Infoman Press could be an official voice of RMAA, then consisting of branches in NSW and Victoria and this was subsequently declined. In Victoria an editorial Committee of Nunn (Chairman), Leigh, Sherman and Black developed a local 'Informaa' in September 1972 and in August 1979 Eddis Linton put up a submission for a "National Informaa" and developed guidelines for branch editions and their contents.

In NSW a pilot Committee developed a Draft Constitution and By Laws and subsequently in 1972 the Victorian Branch prepared its own Constitution after obtaining a copy of the American Records Management Association's 1967 Constitution and By Laws. On 12 December 1972 a Federal Constitution was presented by Branch Secretaries in NSW, Victoria and Western Australia by the Federal Secretary, M G Leigh. It was the result of some six months sustained effort by Eddis Linton of the NSW Branch. The Constitution and By Laws of the Society of Accountants was a useful guide and it was drafted and amended twice following two meetings of Federal Delegates, of which I was one at the time, correspondence and much interstate telephoning. On 31 July 1973 Messrs Linton and Nunn went to Canberra and it was presented to the Attorney General's Department applying for registration (subsequently granted) under the Australian Capital Territory Companies Ordinance 1962-66 (Section 24). The documentary evidence was seminar proceedings, letters from Sydney

Technical College (a course had been developed at the School of Commerce by the NSW Branch), Prahran Technical College, Membership lists, letters from Town Clerks (Vic), County Clerks (NSW), Corporation and individual members. Subsequently pursuant to Article 28 a regulation as to a Federal Levy on branches of 20% of Annual subscriptions was passed on 31 July 1973 and one regarding fees on 18 November 1974. As to my memoirs I served as a Federal delegate for some ten years and as Federal President for two terms. Some of the early Federal Council luminaries were Leigh, Linton, Lee, Partington and myself, and later on Haxton, Shepherd and Brewster.

The International Records Management Federation of USA, Canada, Australia and South Africa was formed in 1969/70. (Of particular interest was the Report of the Royal Commission on Government Organisation in 1962 and the development of Records Management and Archives in that dominion). A basic issue arose. It was a Federation of associations and although an individual would not be denied election as against an official delegate you had to be a member of a Records Management Association. There were those who pressed for individual membership and a proposal was put up by M G Leigh for a member-at-large classification. The problem was that an individual could claim to represent Australian Records Management and be mistaken for the official voice of the RMAA through its delegate. It became a controversial and confusing issue. In 1981 the Federation became the International Records Management Council allowing for individual and corporate membership. Good work has been done amongst which was a Joint International Council on Archives (ICA) and IRMF Committee, a subcommittee appointed in 1978 to report to IRMF and ICA on Archives/Records Management relationships on a global scale. The members of the Committee were W Benedon (Lockheed Aircraft Corporation and Editor of RMAA Journal), Artel Ricks (USA Archives and Records Services, Pacific Region) and Gustav Alseart (Chief Archivist Belgium) and myself. The Committee reviewed the UNESCO RAMP (Records and Archives Management Program) for the ICA London

Congress of 1980 and guidelines for Records Surveys and Schedules; the IRMC produced a Glossary of Terms, a paper on Transborder Data Flow, Privacy Legislation (the Federation's basic work), an International Records Retention Survey and Records Management in developing countries. I served as Vice President for Australia and Oceania for three terms. IRMC has now become strengthened with additional countries and W Benedon pioneered the IRMC Journal now edited by Yves Perrin.

In 1976 the Federal Council with M G Leigh organised an Australian tour for W Benedon, New President of the American Records Management Association who lectured in Sydney, Brisbane, Melbourne, Adelaide and Canberra.

Although the Australian tour was billed as 'Enter the Paperless Office' Benedon really talked on Records Management and did not go all the way along that track. The Queensland Branch had been formed in 1976 and 104 people attended the Brisbane session, 208 in Sydney, and 205 in Melbourne. In Canberra he met Mr Lawler, Secretary of the Department of Administrative Services and subsequently the ACT Branch was formed with the interest created. The visit to Adelaide was fruitful also. Although he met only 20 people, a South Australian Branch was formed. A Local Government chapter was also formed in 1976. In Melbourne I was able to organize a session presided over by the Chairman of the Public Services Board. It was my pleasure to act as a co-speaker with Bill Benedon for the session attracted a full house at the St Kilda Town Hall.

Dr Kaye-Lamb the Dominion Archivist of Canada was brought to Australia in 1972 to advise the Commonwealth Government on Archives Legislation. His report praised the Records Management Programme set up in the Reserve Bank and Records Management as an integral element of Archival Administration. The Australian Archives Act was enacted in 1983.

In New South Wales Archives and Records Management are taught by the former School of Librarianship at the University and now known as 'Information Management' being on the

bandwagon of the 'Information Age.' Unfortunately there appears to be little practical experience in Records Management in the teaching and curiously in the literature it is Archives and Records Management when logically it is Records Management and then Archives as a logical culmination of participation in the life cycle concept. The fifties and sixties saw muddled thinking as to the distinction between the two different disciplines and their philosophies. Unfortunately for the emergence of Records Management as a distinct discipline the title of 'Information Management' by the former School of Librarianship again masks the principles and philosophy of Records Management and registry systems. The same muddle occurred with the Archives and Records Management course at the post graduate Diploma in 1979 at Melbourne State College under the aegis of Librarianship, and similarly so more recently with the Degree Course at Monash University in 1986 in the School of Librarianship where there was lack of consultation with the RMAA Victorian Branch. With no disrespect to those in charge with a Librarian at Melbourne State College and a former Archivist of Commonwealth Archives at Monash it would seem difficult for RMAA to be involved in teaching the distinct philosophy and practice embodied in its incorporated constitution when there is too heavy an emphasis on Archives – possibly the unfolding events have been and are too related to power politics or personal advancement rather than the integrity in the Management of Records and objective teaching. As distinct from Librarianship, Records Management is a discipline and a distinctive art with a definite vocational objective to train personnel capable of establishing and managing records and information systems from a ground level up to highly skilled specialisation. Of more direct interest is the Graduate Diploma in Information and Records Management in the 'School of Liberal Studies' at Canberra College of Advanced Education. I had the privilege of acting as a member of the College's Accreditation Committee. It would not be amiss to mention the high level of work of the Board of Regents of the American Institute of Certified Records Managers, their Council of Advanced Studies and the excellent syllabus developed by the Records Management fraternity for the

teaching of this distinct discipline rather than as an adjunct to a school in tertiary institutions.

Two matters of importance may be mentioned in concluding these early years of Records Management. In 1977 at the invitation of the then Keeper of Public Records a joint Records Management Task Force was established by the Public Service Board and the Public Record Office and from its recommendations resulted a career structure for Records Managers in the Victorian Government, a philosophy which is traced to the introduction of disposal/selection scheduling of the late fifties.

In November 1979 the Public Record Office and the Public Service Board presented a two week seminar with discussion groups on 'The Management of Information in the 1980's'. The series featured two internationally recognised American authorities on the management of

information, Artel Ricks and Ed Johnson with particular emphasis on Records Management principles and emerging technology.

The 80's might also be called the 'Convention Age' of the Records Management Association of Australia with professionally presented Conventions the RMAA now needs to concentrate on teaching a discipline in its own right and concomitant with its gospels of economy and efficiency to stress the integrity of the evidentiary nature of the records that the professionally skilled Records Managers and Archivists administer and also the ethical standards that are a necessary adjunct to professionalism.

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