' THE informaa '
Quarterly

THE LAW, TECHNOLOGY AND RECORDS MANAGEMENT

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The next edition of INFORMAA QUARTERLY will be in May 1991.

Cover photograph : The High Court of Australia, Canberra, ACT.

CONTENTS

EDITORIAL

The law is a cornerstone of our society. We look to the law to provide guidance on how we behave in society. The law has many aspects to it. The Parliaments of the States and Commonwealth formulate the legislation which puts down in writing what we should do. Law enforcement agencies ensure that the laws are complied with and the courts interpret the law.

The law is critical to records managers. Individual laws often contain complex requirements applicable to record-keeping, even if the initial purpose of the law is to administer some other activity. eg. taxation and company law. Some laws have direct relevance to records managers, such as the Public Records Act, Freedom of Information Act and Privacy Act.

Perhaps the greatest problem for a records manager is coping with the issue of records and technology. In this area the law has quite simply failed to keep pace with the changes occurring.

This is a problem at all levels of society. Politicians have failed to address the issues with workable legislation. For example, the 1987 Australian Law Reform Commission's Report Into The Laws Relating To Evidence has still not been acted upon.

The use of optical disc technology and its ramifications have yet to be addressed. Law enforcement agencies seem to be disadvantaged in administering laws which are unclear or complex, such as investigations into white collar crimes.

Lastly, the courts have maintained their conservative stance when interpreting laws relating to technology, for example, requiring production of original documents in courts.

The outcome for records managers is that often they are left in the middle. On one hand they recognise the advantages of technology but on the other hand are restricted by the absence of laws relevant to today's technology.

The end result is that the ultimate advantages of technology are never quite achieved. The loss is borne by the community; we as records managers have to endure the frustrations of knowing but being restrained.

In this issue of Informaa two articles discuss some of the legal implications of record-keeping in The Legal Importance of Keeping Mail Room Records by Phillip Reynolds, and Document Management and The Law by Michael Roder. Barbara Reed's paper on permanent and recycled paper also alludes to the long term legal implications of record media.

There are also articles relating to specific information technologies - optical disc and barcoding, and some legal implications of using such technologies are discussed.

The law and record-keeping is a large area and is attracting much research and debate amongst the legal and information management professions. This is useful, necessary and we hope to hear more, so we all may learn to undertake those aspects of our work in a thoughtful and accountable manner.

THE EDITORS

STATUS

Members, apply now to upgrade your status

- **Ordinary** ➔ **Associate ARMA**

- **Associate** ➔ **Member MRMA**

- **Member** ➔ **Fellow FRMA**

Contact your local Branch Secretary

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Records Management Office

TRAINING COURSES
FEBRUARY - APRIL 1991

COURSE	DATE	COST
Keyword Compilers 3 days	February 12-14	$500
Keyword Users 1 day	March 12 April 10	$110
Records Operations 1 day	February 15 March 13 April 9	$110
Records Management 1 day	February 18-22 March 18-22 April 15-19	$670

Suitable For: Company Secretaries, Administration Managers, Records Managers and Staff Development Officers.

If you are interested in attending any of the above courses, please contact the Course Coordinator - Mark Aggar on (02) 237 0124, for reservations and additional details.

VENUE: **Records Management Office**
Level 3
66 Harrington St
THE ROCKS
Sydney 2000

STATE NEWS

ACT

The last two months have been a quiet time for the ACT Branch due to the Christmas break. However, a number of events are being organised over the next four to six months. The first of which is a one day seminar on 20 March 1991 entitled 'Productivity in Information Management' which will focus on imaging technology and will feature the Privacy Commissioner, Mr Kevin O'Conner. Other speakers are from the Australian Archives, Australian Government Solicitors Office, Department of Lands Administration WA and Brisbane City Council.

Other workshops planned are:

* Managing Information Needs, Bill Parr
* Office Automation, D Druitt
* A Forum on Electronic Mail - Records Management Implications

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NEW SOUTH WALES

The NSW Branch has had a successful 1990. Membership is now at the 500 level and continues to grow. Whilst the majority of members are Corporate based, we have also experienced growth in upgrade applications.

The 1990/91 programme is drawing a lot of interest. In particular, the two sessions on Optical Disk technology have been of interest. This area seems to be of great interest to members right across the Association. Many are relearning old lessons
* understand your requirements
* plan your investment
* don't miniaturize your mess; traditional indexing and classification skills are of greater importance in this new field

The Branch will hold meetings in Newcastle and Wollongong during 1991. Topics identified for discussion are
* Demonstration of Optical Disk Technology
* Sentencing in Relation to Law
* Environment Issues

One of the great leaps forward by the Branch was the introduction of a Secretariat during 1990. This has streamlined our operations and removed a significant burden from Councillors. Perhaps this is something the entire Association should be addressing during 1991?

Fiona E. Meyer
President, NSW Branch

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NORTHERN TERRITORY

Apart from the effort of the Branch towards organising the 8th National Convention, a major focus of Council activity is being directed towards endeavouring to obtain greater commitment and participation by the membership in general to the Association and its activities. Towards this goal, Council has committed itself to ensuring the bi-monthly production of INFORMAA, to improving both its content and its presentation, and to making it more of a vehicle for two-way communication with members. A comprehensive pro-forma survey of the records management and related developmental needs of records managers and their staff has been issued with the latest edition of INFORMAA, and the results of the survey will be used to plan the Branch's activities for the rest of the financial year and beyond.

Another of the Branch's goals for the year is the promotion of membership, to which end the Registrar has despatched letters to all Northern Territory and Commonwealth Government departments who are not already corporate members. In the interests of encouraging the upgrade of membership status, an article on the various categories of membership and eligibility criteria for them was included in the INFORMAA.

The President, Mr Graham Dudley, was in Darwin in October to conduct a records management workshop with Ray Holswich and Judy Watts at the Northern Territory University. A very pleasant evening followed with Branch Council at the home of one of the Councillors, and Graham did well to avoid the crocodile in

the spa after winning over $1000 worth of alcohol at the University Club!

While in Darwin, Graham addressed managers who are members of either the Australian Institute of Management or Royal Australian Institute of Public Administration in Darwin on records management and what it can do for managers. The address appeared to have an impact, as evidenced by the discussions afterwards, during which several managers were talking about their individual situations with records management and about plans to improve it.

The Branch's Christmas function was a purely social occasion held at a local restaurant. Although not well attended, those who were present thoroughly enjoyed themselves!

The Project Officer of the Human Resources Division of the Northern Territory Government's Office of the Public Service Commissioner attended the December Council meeting to present to us the Government's competency Manual for AO1-level staff on "Operating a Registry". This Manual is to be a service-wide procedure and training manual, which is the first of a series being produced by the NT Government in association with the Award Restructuring Process. The Branch's comments on the content of the Manual have been sought, and we have been asked to provide a representative on the Government's Expert Review Panel to meet in February. Discussion took place about how training might best be delivered, and about the Government's obtaining RMAA certification of the Manual.

Judy Watts
President, Northern Territory Branch

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QUEENSLAND

Freedom of Information

Freedom of Information is the current issue in Queensland. The Electoral and Administrative Review Commission called for submissions in July 1990. The Queensland Branch submitted a paper, and members of Council attended the public seminar subsequently conducted by EARC.

To bring the topic to the attention of our members and others in the field, we are holding a Branch Seminar in March. The Queensland Attorney-General the Honourable Deane Wells MLA, The Chairman of EARC Mr Tom Sherman and the Privacy Commissioner Mr Kevin Connor are among the speakers presented.

Education

Do you know you have until March to enrol in Records Management by correspondence with the Queensland Distance Education Centre. For further information contact QDEC by phone (07) 840 4844, fax (07) 846 1869, write GPO Box 1326, Brisbane 4001.

Wendy Morris
President, Queensland Branch

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SOUTH AUSTRALIAN BRANCH

Since our last report a business dinner with the Federal Executive was held. It was an opportunity to meet the Federal Executive and to discuss problems. A very enjoyable Christmas luncheon was attended by a small number of members.

Our President, Brigitte Stephens has joined the private sector. Her high level of skills in the records management and archives environment has led to her accepting a position with SANTOS.

The Branch Council has received a number of applications for upgrade to Associate status.

Tony Aldous
Vice President, South Australian Branch

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TASMANIA

1991 brings the implementation of the Freedom of Information Bill in Tasmania. The Bill is currently before the Legislative Council and is expected to be passed as legislation in early April 1991.

The FOI legislation will include all State Government Authorities and will extend to Local Government authorities no less than 12 months after gazettal.

The State Government will, over the next six months, organise training for designated officers within Departments. They have been informed about the effects FOI has on records management and ensure us that we will be involved in the implementation and training phases.

Kathy Holland
Registrar, Tasmanian Branch

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VICTORIA

Victorian Public Record Office - Change In Direction

Controversy erupted in Victoria following the removal of Mr Chris Hurley from his position as Keeper Of Public Records in October 1990. The action was based on the grounds that the Public Record Office needed a new direction and should be more involved with displaying the archival heritage of the State. To achieve this, the Government has announced a new Archival Heritage program although it has yet to provide any details of what will be incorporated into the program. Mr Hurley has been appointed to a new position of Chief Archivist.

The removal of Mr Hurley and the appointment of Ms Lorretta Hambly, previously Manager Corporate Services at the Department Of Property and Services prompted newspaper articles and several questions in the Victorian Parliament.

Suggestions were made by the media that the real reason for Mr Hurley's removal was his determination to pursue embarrassing actions of alleged illegal destruction of public records.

The records and archival communities were very concerned with the Government's actions. Questions were asked if a change in role meant that the traditional and statutory obligations performed by the PRO would be amended.

The RMAA (Victoria) and the ASA (Victoria) formed a working party to plan actions that could be taken to ensure that the activities of the Public Record Office were not diluted in any way. The then Minister for Property and Services, Mr Ian Baker agreed to meet with a joint deputation of the Associations on the 9th November 1990.

The submission put to the Minister sought answers on a number of issues. They were - no amendments to the Public Records Act which would diminish the role of the Keeper or PRO; resources with the PRO not to be diverted away from essential tasks towards displays; the Government's intentions concerning the introduction of a 30-year rule and improving the access rights to closed records be clarified; improved records management practices by Victorian Public Officers, and private sponsorship of displays and staffing of the PRO.

In response, the Minister indicated that he had no intention of amending the statutory powers of the Public Records Act. In regard to resources, the Minister indicated that the current financial difficulties within Victoria precluded additional resources being directed to the PRO, therefore resources would have to be diverted from other areas of the Department. Improvements to accessibility of public records by the community was seen by the Minister to relate mainly to conducting exhibitions. Future actions in relation to implementing Government policy on the 30-year rule would be subject to future funding. The Minister expressed concern in the way that some public organisations managed their records and indicated that he expected that the new Keeper of Public Records would be examining the issue.

On the question of public sponsorship, Mr Baker indicated that he saw this as the only real way to get the "goodies" out of the archives and into the public domain where they could be seen.

Lastly the Minister gave an assurance that all vacant positions of Archivists would be filled - sometime.

It seems fairly clear that the Government is intent on altering the role at the Public Record Office.

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It is not new to have questions asked about the public records policy and the PRO. Major reports in 1979, 1986 and 1989 and annual reports of the Keeper have all highlighted problems. However, little has been achieved due to a lack of resources and commitment from the Government. The financial problems of the State make it difficult to forward plan without a clear indication of likely resources beyond the current financial year.

The Government has introduced the Public Records (Amendment) Bill 1990 to the Parliament. The purpose of the Bill is to enable funds to be raised through public donations and corporate sponsorship for the Archival Heritage Program. The Bill will be held over until the Autumn 1991 sitting of Parliament.

The Government's desire to raise the profile of the public records in this State is to be applauded, however, if history is any indication, the chances of success and the instigation of worthwhile long term reforms are limited.

On 17th January, as a result of a Government reorganization, the Public Record Office and the Archival Heritage Program have been moved to Ministry for Arts. The previous Department of Property and Services has been dissolved.

[EDITOR'S NOTE

A Public Records Support Group has been formed and can be contacted by writing to PO Box 789, Mt Waverley Vic 3149. A newsletter has commenced and can be subscribed to at a cost of $20.00 per year.]

Careers Booklet

Victoria University of Technology, Department of Information Services have published a booklet aimed at Year 12 students interested in pursuing careers in Information Management. The book's authors, Graeme Johanson and Marianne Broadbent felt that there was a gap in providing information about an information career. They compiled a book which would bring together information on jobs, skills required and how to qualify.

In launching the booklet, Mr Phil Ruvin drew attention to the importance of future planning, particularly in attracting well qualified people to work in Information Management. This was critical if Australia was to achieve eminence in this field.

The booklet outlines careers available in fields such as librarianship, records management, indexing and bibliography.

Copies of the booklet are available from RMIT Bookshop, 330 Swanston Street, Melbourne 3000 at a cost of $10.00 per copy plus $1.50 postage in Victoria and $2.50 for postage in other States.

Events

The final quarter of the calendar year has been a busy one for the Victorian Branch. Special thanks to David Moldrich and the rest of the Functions Committee for their efforts in organising functions and conferences for Victorian members.

October 31st saw the first joint conference with the ASA in a long while. The conference was on "Award Restructuring". For those who missed out don't despair, this session will be repeated at the Victorian State Conference to be held on April 11th and 12th 1991.

November included an interesting seminar about Records Management in the USA. All participants enjoyed the comparison of methodologies between Australia and the United States.

Our Christmas function took a totally new look. This year instead of having a formal speaker, attendees were treated to the hilarious magical antics of Harry Houdidn't. Dinner and drinks followed. A fun time was had by all - a refreshing break from the tough climate we currently face.

Phil Taylor, Victorian Federal Director

Rosemary Kaczynski
Secretary, Victorian Branch

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WESTERN AUSTRALIA

After a hectic 1990 including Christmas and New Year the Western Australian Branch has started planning many different types of seminars, meetings, displays and visits for 1991.

Our major activity is our seminar on Storage Media and the Law to be held at the Hyatt International Hotel on the 7th March. An outstanding list of speakers from around Australia has been engaged to ensure the seminar's success.

The Branch Council has had some further internal movement in the past months. With the resignation of Marita Hoo and Shirley Cowcher we have lost a lot of experience and knowledge. We wish them well for their future and thank them for the time and contribution they gave while Councillors and Office Bearers.

Our last meeting held in November incorporated our Christmas function. The meeting was held at the Fremantle Port Authorities. Some 45 members attended the presentation of the computerisation of FPA's registry. Afterwards a happy hour followed by dinner at Cherries Bar and Restaurant proved to be very successful. A casual, relaxed night was enjoyed by an encouraging number of members who welcomed the early Christmas cheer. All agreed it was an extremely successful meeting.

Membership is again on the increase. Jim Bonzas has taken over from Ken Ridley who is now responsible for Standards and Status. Both Councillors have worked hard to increase our membership over the years. Jim is in the process of infiltrating some previously untouched areas. He has produced a thought provoking questionnaire which is of course attached to our membership form.

Branch Councillors look forward to the coming year in a positive fashion and although many are new to RMAA Branch Council activities their endeavour, attitude and commitment will ensure our success.

Neil Granland
Vice President, Western Australian Branch

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FEDERAL COUNCIL ACTIVITIES

FEE SCHEDULE FOR 1991-1996

At the September meeting of the Federal Council of the RMAA, the current fee structure was reviewed, along with the projected expenditure patterns of the Association. A series of issues were identified and analysed.

It is apparent that once branches get to a certain size, that is about 350-400 members, the economics of running the branch change. It is no longer possible to run the branch without assistance beyond the free service of members. This includes automated membership lists, secretarial assistance and the like. These activities have often been sponsored by employers. In some branches, when a member leaves an employer, the access to these facilities also ceases, leaving the branch in a difficult position.
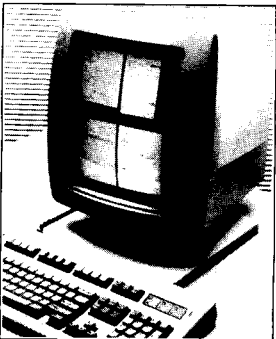
Certainly, the costs of the production of the Local Informaa change once the numbers increase; a larger branch tends to generate a larger journal and this increases production and mailing costs.

Secondly, the Association has relied upon the generosity from employers and individuals to fund or sponsor many of its activities over the years. This type of funding, whilst always gratefully appreciated, is not likely to be forthcoming during harder economic times. The Association must stand on its own feet financially and must where possible put away a capital base to provide for future growth.

It is with these measures in mind that the Federal Council made three significant changes to the traditional manner of fee increase.

Traditionally, fees have been increased in accordance with the consumer price index. For the duration of the next five years, fees are to increase on a 20% per annum compounded rate. This will effect a positive increase in available resources to the Association above and beyond the rise in prices within the community and will strengthen the Association's economic base.

Secondly, the price differential between the professional categories of membership (that is Associate, Member and Fellow) will gradually be eroded over the same five year period. Federal Council considered that the costs of servicing these members is much the same and that the existing structure penalised senior members and in some circumstances was a barrier to a member applying for upgrade.

Finally, the once off administrative fee has been increased. The administrative costs in commencing membership, mail costs, database entry and so on are high and it was considered that Branches needed to be able to recover these costs.

Should you have any queries, you should address them to the Federal Councillor in your State. The table of fees is set out on the next page

FEDERAL COUNCIL
27 November 1990

LETTERS TO THE EDITOR

Due to space limitations
and deadlines
we are unable to produce
Letters to The Editor in this edition.
All letters will appear in the May issue.
Thankyou to members
who have contributed,
and other members please send in your
views.

EDITOR

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FEDERAL COUNCIL ACTIVITIES (Continued)

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA
FEES - 1991/92

Membership	90/91	91/92	92/93	93/94	94/95
	$	$	$	$	$
Corporate					
Joining Fee	10.00				
Subscription	125.00	150.00	180.00	200.00	250.00
Additional Nominee	50.00				
Affiliate	50.00	60.00	75.00	90.00	110.00
Joining Fee	5.00				
Associate	60.00	75.00	95.00	120.00	150.00
Joining Fee	5.00				
Member	70.00	85.00	100.00	120.00	150.00
Fellow	90.00	110.00	130.00	140.00	150.00
Student	25.00	25.00	30.00	30.00	35.00

4 categories of Membership Fees

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REPORT OF THE FIFTH FEDERAL EXECUTIVE MEETING

The fifth meeting took place in Adelaide, on Saturday 17th November 1990. Attending were the following Federal Executive members

> Mr Ray Holswich
> (NT)   Acting Chairperson
>
> Mr Jim Shepherd
> (QLD)   Federal Treasurer
>
> Mr Ross Thompson
> (ACT)   Federal Public Officer
>
> Mr Murray Stewart
> (ACT)   Federal Secretary

The Federal President, Mr Graham Dudley, was unable to attend, due to business commitments in Hong Kong and Singapore. Mr Ray Holswich tabled a proxy from Mr Dudley.

The following report is submitted for the information of members.

Financial Matters

The Federal Treasurer presented a report on the current statement. In presenting the report mention was made of the slow return of fee levies from Branches. At the time of the meeting approximately half of expected levies had been forthcoming.

The One Bank system is finally starting to take shape. Problems were experienced by both the bank and the Association. The guide prepared by the Federal Treasurer was not followed as required, which caused a few problems, but it is expected that all accounts will be operational by the end of the year.

The Public Officer has been requested to contact the Auditors to have a suitable form prepared for declaration by all Federal Directors regarding non-receipt of remuneration from Association funds. This is a requirement under the Companies Act, and a statement on this is made in the Annual Report by the Auditors.

There is also a new Corporations Act, 1989, which requires an "Australian Company Number (ACN)" to be used on all Statutory Returns and also on all public documents, instruments and the Common Seal of the Company. The new Act will supersede the Companies Act, 1981, on 1st January, 1991. Tom Kaufhold will ensure that the requirements of this legislation will be addressed in preparation of stationery etc.

National Manager Production/Printing and Marketing

A contract has been drawn up by the Association's solicitors and is being forwarded to all Federal Directors for their approval. Following receipt of approval, the document will be forwarded to the respective company for signing. The period of the contract is for four(4) issues of Informaa Quarterly.

All members are reminded that this publication is your voice throughout the Association. Intending authors should forward papers to their respective Branch who will in turn forward them to the Editorial team.

State Branches are reminded that publication deadlines are set as advertised and any late news will not be published if it means a delay in production.

ARMA Reciprocal Printing Rights

Mr Bill Williams, Co-Editor, Informaa Quarterly, is approaching the Editor of the ARMA Quarterly on the matter of reciprocal printing. This will give Australian authors the opportunity to have their papers presented to our American counterparts with the same occurring on our side of the world. It will prove an interesting exercise to see how different we are in our current practices.

IRMC - International Records Management Council

Mr Ray Holswich, Federal Vice President and RMAA delegate gave a verbal report to the Executive on his attendance at the ARMA Conference and IRMC Meeting. Ray's comment that it was "bigger than Ben Hur" is borne out by the 3000 delegates who attended. A more detailed report is being circulated to Federal Directors and will be published in the next edition of Informaa Quarterly.

History of RMAA

Compilation of oral histories was a matter which followed on from the recent Federal Directors Meeting.

As a starting point, an approach is being made to a member of the Association to prepare a Retention Schedule for the Association's papers etc.

Also, Mr Ross Thompson was requested to discuss with the ACT Branch, their approval to co-ordinate the compiling of records for lodgement with the ANU Archives of Business and Labour.

Marketing Survey on RMAA

Mr Ross Thompson presented a draft covering letter and document which, after approval by Federal Council will be directed to companies identified by the ACT Branch. This project is of vital interest to all members of the Association and when finalised should give a clear path of action on which the Association should focus its resources.

Referendum to Alter the Memoranda and Articles of Association

The results of the referendum of all professional members of the RMAA were that all questions were resolved in the affirmative. The Public Officer is lodging the appropriate documentation with the Australian Securities Commission to amend the Articles accordingly.

Murray Stewart, ARMA
Federal Secretary

REPORT OF THE RMAA
FEDERAL EDUCATION COMMITTEE

by Dennis G. Wheeler

Federal Director, RMAA Tasmania Branch
Chairperson, RMAA Federal Education Committee

Prior to the commencement of the RMAA National Convention in Brisbane in September of this year, the Federal Education Committee met to discuss issues pertinent to the branches and members. Objectives to be achieved at the Federal level during the latter part of 1990 and for 1991 were also discussed and set.

Although informal meetings had been held at the Perth and Canberra Conventions, the last formal meeting of this Committee was held in Melbourne in 1987. The attendance in Brisbane was good with most States and Territories represented by either their Education Chairperson or an official observer, notification of the intention to convene the meeting having previously been circulated to the State Branches. The importance of the issue of education to members of the RMAA was perhaps illustrated by the example set by the South Australian representative, Peter Crush, who flew to Brisbane specifically for the meeting.

Status of Formal Courses

The status of formal courses running in each State and the Territories through TAFE and other higher education bodies was presented by the chairpersons. It was interesting to note that whilst Tasmania and South Australia are endeavoring to get a TAFE course up and running, the ACT has lost a course through the lack of numbers. An updated list of courses available throughout Australia is attached as part of this article. From this you will note that South Australia has been successful in achieving a course in 1991. Tasmania is still progressing, a course having now been written and passed on to the local division of TAFE for approval. The provision of funding may well be the problem for the Tasmanian course in 1991, an issue only too familiar to all of us at present!

Where a certificate course or similar is not readily accessible or available to intending students the Queensland Distance Education College runs a part time external study course, Associate Diploma of Business. This offers four units in Records Management which can be taken in isolation, or students can continue with the business/management units on offer to achieve the final award.

Those in, or associated with, records management and who want to undertake graduate or higher level post graduate study in the area are not so well catered for in some States and the Northern Territory. As far as I can determine, only one institution offers a course at this level that can be undertaken externally, either with or without compulsory live-in sessions throughout the academic year. Curtin University of Technology in Western Australia offers a Bachelor of Applied Science (Records Management) through the School of Information and Library Studies. Only the records management components are available externally.

Those in the information management field who want to undertake any study in this manner should contact the Education Chairperson in their State. If the numbers are there some action or lobbying by the Federal body may well be necessary.

Main Issues Discussed

Certificate Course

The main item of discussion at the Federal meeting was the Goodell Paper. John Goodell is the Education Chairperson for the Queensland Branch of RMAA and had been requested to prepare a Discussion Paper for the Association on "Education for Records Management". The purpose of the paper was to present a suggested certificate course to be offered by TAFE Colleges along with comments on how to

develop a proposal for such a course. As part of his paper John suggested eight goals/objectives that students would need to achieve to fulfil course requirements. Some of these were taken from the RMAA's "Policy on Education Courses" and others he had added as he felt necessary. These goals are

i)   Understand the functions, operations and purposes of records management
ii)   Understand the nature, sources and uses of information including legal ramifications
iii) Thoroughly know and understand the phases of the information lifecycle
iv)   Know the different technologies used to control records and be able to list their advantages and disadvantages
v)   Understand the basic office and administrative practices
vi)   Know how to evaluate and implement basic changes to records management practices
vii) Communicate effectively with clients and co-workers both orally and in writing
viii) Understand management principles and practices

The feeling at the September meeting was that education courses should be introduced in TAFE colleges with the view to developing basic skills in records management and other related topics. By including other related topics provision is being made for those smaller states where numbers dictate that certain units from other business courses must be included in the records management syllabus. This stipulation has other benefits in that it provides cross training which may well be essential with the increasing importance of award restructuring and multi-skilling. The inclusion of records management in college handbooks and the presence of records management students within other management units will also be beneficial to the profession. It will lift the records management image and raise awareness. Also, it will acquaint educators and potential management graduates with the importance of the subject and the value that it provides to organisations. Those taking, as electives, the units in records management will be better able to understand and appreciate the records management role within todays working environment.

The outcome of the ensuing discussion was that the paper was perhaps directed towards a course at a standard higher than Certificate level. The proposal adopted was that the RMAA should aim towards a course at the TAFE level but which will also provide for "streaming in" for those who wish to further their study. However, the issue of accreditation was given a higher priority for the moment and the reasoning behind this is detailed below in the section under that title.

It was interesting to note that Mary Rosenthal in her article "Taking the Plunge, Making Records Management a Profession", discussed the issue of automatic eligibility for professional membership of the RMAA once certain formal qualifications have been achieved. This issue was also discussed in Brisbane by the Education Committee, particularly in relation to John Goodell's paper and its implications. If this approach were to be adopted, which courses lead to Ordinary, Associate or whatever status would depend very much on the RMAA's accreditation of the courses on offer throughout Australia.

Accreditation

The issue of accreditation of existing and possible new courses was identified as the major issue that should be pursued over the next twelve months. According to the Minutes, a blanket accreditation was approved in Melbourne at the 1987 Meeting and covered:

TMS 216A / TMS 217B (Queensland)Stage 1&2
Victorian Course (Prahran College) Stage 2
NSW Course (TAFE) Stage 1
WA Course TE77 TE78 Stage 2

This accreditation was provided until the Annual General Meeting in 1989 but the issue has not, I believe, been taken up as yet.

The RMAA is coming under increased pressure to develop and implement procedures for accreditation. If action is not taken within the next twelve months some units may well be dropped or replaced by other subjects. Whole courses may simply disappear. Federal Government funding is now directly related to

the jobs presumed available to course graduates. The RMAA as a professional body must therefore be seen to be active in accreditation as in so doing it is acknowledging that positions are available and there are desirable, or essential qualifications required to obtain them.

Following on from the Brisbane meeting, the State Branches have been re-affirming / re-considering the goals previously listed and as set out by John Goodell. Any amendments will be forwarded to the Western Australian Branch which is working on an accreditation paper and guidelines. Peter Crush has also provided invaluable assistance with this project having previously worked on accreditation guidelines for the Australian Society of Archivists (Inc).

The courses on offer and as set out in this article, may be lacking in some areas or unavailable at present to some within the profession. However, as they are all we currently have available to us, any loss would be unacceptable. According to Penn et al, training at the professional level within the UK is limited, with a few archives diploma or MA programmes which offer one or two records management classes. Within the US there are a few degree programmes for the discipline, but not within the schools of "management". Any decrease would be to the detriment of this area of information management within Australia. The retention of courses, particularly those totally committed to records management, and the provision of same where there is currently a lack is vitally important for the credibility of this growing profession in Australia. This applies to courses at all levels not just those offered through TAFE.

For well trained managers of the future the courses must be available now.

For recognition and viability of records management as a profession, courses must be available and maintained at an acceptable standard.

It is for the above reasons that the Federal Education Committee of RMAA has given priority over the next twelve months to accreditation procedures and guidelines.

Branch Training

The Federal Education Committee is fully aware of the invaluable service provided by RMAA branches in the area of continuing training. Most branches have been running training programmes and seminars. These have not only been directed at those working in records management. Senior managers and administrators have been catered for, particularly through the various seminars that have been conducted which deal with topics such as Freedom of Information, Recycling of Waste Paper, Technology and its application to Records Management and many others. These training sessions not only help to keep management and other employees informed, they also ensure that the profession of records management receives a high profile. The programmes must continue both for those at the "grass roots level" and for management. They provide a regular update of knowledge on industry and professional changes and advances. They lend credibility to the work performed and provide an all important forum for the dissemination of ideas.

An interchange of ideas is required between the branches to ensure that a varying programme of training sessions is provided throughout Australia. Hopefully, this will be achieved through the annual meeting of those involved in education and training of records management personnel. However, the ideas and input from those within the profession are required to ensure that what is really needed is being provided. The quality of courses, both formal and informal, should be monitored by participants and students and fed back to the branches for action where required.

* * *

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1. Penn, Morddel, Pennix and Smith, *Records Management Handbook*, Gower, England, 1989.

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EDUCATIONAL COURSES IN RECORDS MANAGEMENT, ARCHIVES AND "INFORMATION" FIELDS OF STUDIES IN AUSTRALIA - 1991

STATE	ORGANISATION	COURSE NAME	DURATION
VIC	Victoria College	Bachelor of Arts (Office Management)	1 Unit Records Management 3 yrs Full-time 6 yrs Part-time
VIC	Prahran TAFE	Certificate of Records Management	2 yrs Part-time
VIC	Melbourne University	Graduate Diploma in Information Management (Archives & Records)	2 yrs Part-time
VIC	Victoria University of Technology	Master of Business (1 unit of Records Management)	4 yrs Part-time
VIC	Victoria University of Technology	Bachelor of Business (Information & Communication)	3 yrs Full-time 6 yrs Part-time
VIC	Melbourne University	Bachelor of Social Science (Information Management)	1 semester of Records Management 3 yrs Full-time 6 yrs Part-time
VIC	Victoria University	Graduate Diploma (Information Services)	1 semester of Records Management 1 yr Full-time 2 yrs Part-time
VIC	Monash University	Master of Arts (Archives & Records)	2 yrs Full-time 4 yrs Part-time
VIC	Monash University	Diploma of Archives & Records Management	2 yrs Part-time
VIC	Royal Melbourne Institute of Technology	Graduate Diploma in Information Services	2 yrs Part-time
VIC	Footscray Institute of Technology	Bachelor of Business (Information & Communications)	3 yrs Full-time
ACT	Canberra CAE	Graduate Diploma in Information & Records Management	4 yrs Full-time
ACT	Canberra University	Graduate Diploma in Office Management	2 yrs Part-time

EDUCATIONAL COURSES IN RECORDS MANAGEMENT, ARCHIVES AND "INFORMATION" FIELDS OF STUDIES IN AUSTRALIA - 1991

STATE	ORGANISATION	COURSE NAME	DURATION
NSW	North Sydney TAFE, Mt. Druitt, Newcastle	Records Management Stage 1	1 yr Part-time
NSW	TAFE	**Proposed** Records Management Stage 2	3 yrs Part-time
NSW	Riverina CAE	Bachelor of Arts - Library and Information Science	3 yrs Full-time 6 yrs Part-time
NSW	University of NSW	Graduate Diploma in Archives Administration	1 yr Full-time 2 yrs Part-time
NSW	University of NSW	Master of Archives Administration	4 yrs Part-time
NT	**No Courses to Date**		
QLD	Kangaroo Point TAFE	Associate Diploma of Business Management (For Records Management specialist)	$5^{1}/_{2}$yrs Associate Diploma 2 yrs Part-time for RM subjects
QLD	University of Technology	Information Management Major (as part of Bachelor Courses)	3 yrs Full-time 6 yrs Part-time
QLD	University of Technology	Bachelor of Applied Science (Information)	1unit in Records Management (Elective)
QLD	Qld Distance Education College	Associate Diploma of Business Management	2 yrs Part-time (available to all States)
SA	SA Institute of Technology	Associate Diploma of Business (Records Management)	4 yrs Part-time
TAS	**No Courses to Date**		
WA	Curtin University of Technology	Bachelor of Applied Science (Records Management)	3 yrs Full-time 6 yrs Part-time

INTERNATIONAL RECORDS MANAGEMENT COUNCIL REPORT

1 November 1990 I attended the Annual Board Meeting of the International Records Management Council held in San Francisco in my capacity as the Area Vice President Australia/Oceania and more importantly as the RMAA Delegate to IRMC.

The meeting much to my disappointment, was attended by seven Board members, three of which were Australians. I wondered at that point who had the greater interest in the activities of the Council, with the President, Executive Director and an Area Vice President all from Australia. It was and is a shame that other countries cannot contribute the same interest as those from downunder.

After going through the formalities of the meeting, with the presentation of reports and election of office bearers etc., there were several items of business discussed, one of which was the concern of the Federal Directors of RMAA about as communication and what benefits we as an Affiliate Member of IRMC were actually deriving from that membership. The concern by Australia was duly noted and I was asked what the IRMC could do to improve their image. I offered to discuss the matter further with my fellow Directors, however there was no need because the Board agreed that a Strategic Plan using a SWAT analysis (Strengths, Weaknesses, Opportunities and Threats) be developed and four preliminary objectives were discussed. They are

* To attain and maintain financial viability
* Timely publication of a quality, professional journal
* Increase and improve member involvement and co-ordination with Area Vice Presidents
* Work closer and in more harmony with the Affiliate organisations

As I mentioned in my report to Federal Council only time will tell as to whether the exercise will prove to be of benefit.

The production of the IRMJ was also discussed and it was generally agreed that the journal should have an international content and use international terminology and reflect the needs of records practitioners as well as management. It was also suggested the journal be used as a tool for the review of records management publications. The journal will be printed in two languages in future, English and French. (Helps cut down on production costs I suppose).

Those members who know Bill Benedon will be pleased to hear that the IRMC Board appointed him as a "Fellow" of IRMC. Bill has made a significant contribution to IRMC in his executive capacity over a long period of time. The award will be presented to Bill in the UK in September 1991.

I urge Australians to remain aware of the IRMC and their activities and assist the Council in their endeavours by contributing articles for inclusion in the IRMJ and by promoting professional records management in under developed countries.

Ray Holswich ARMA
RMAA Delegate to IRMC

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LIFE MEMBERS RMAA-VICTORIAN BRANCH (continued from last issue)

Murray Bassett, MRMA

The role of Murray Bassett in helping to establish the RMAA was one that saw an unselfish commitment towards establishing a new profession.

Murray was one of the original signatories to the Memorandum and Articles of Association after attending early meetings. He immediately became involved in Victorian Branch activities by sitting on the Branch Council. Murray is perhaps best remembered for his considerable efforts in the fields of functions and production of the Branch Informaa. For several years Murray edited the Victorian Branch Informaa, producing on a monthly basis an informative newsletter for members. For many years

Murray also organised an intensive professional education program which was well attended and appreciated by members. He was awarded Life Membership in August 1983.

Murray was Senior Records Manager for BHP Co Ltd. He managed the records at a time of great organisational change and was instrumental in changing many attitudes about records management in Australia's largest private company.

Murray retired several years ago and is now living on the Gold Coast.

* * *

CANON BACKS RECORDS MANAGEMENT PROFESSIONALS

In Canon's view, today's records manager is the true professional in the information management business.

The company, the world's largest marketer of micrographics peripheral equipment, says that advances in technology necessitated by the sheer volume of information generated has made this a dynamic and critically important discipline, especially where the success or otherwise of a business is determined by how it manages and uses its information.

To strengthen awareness of the records manager's role, Canon has undertaken a number of initiatives in recent months. For the first time ever, the National Exhibition is to be held this year in Darwin, and has received major sponsorship; the organisers have already banked the Canon donation of $30,000 to ensure its success. While Canon was a major sponsor of last year's Brisbane Convention, the level of support for the Darwin Exhibition is ten times greater; and the company will be helping in many other ways.

In November last, Canon sponsored Peter A Smith as President of the International Management Council to its Annual General Meeting in San Francisco.

Canon also initiated the first significant Annual Award for records management in Australia - the Annual Award to the NSW Records Management Student of the Year, organised through the TAFE records management course. The prize is a Canon computer and software equipment to the value of $7000. The Award goes to the best essay on a topical records management issue. This year's subject is "The Impact of EDI on Records Management".

In addition, Canon will compile winning essays in book form and publicise and distribute them free of charge, as tangible evidence of records management expertise.

The company says that, having learned first-hand some of the industry's most pressing problems, it is determined to promote the interests of qualified records management professionals.

The time for talking is over, and at least one major player is putting its money where its mouth is.

* * *

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HOW IT FEELS TO HANDLE 300 ENQUIRIES A DAY.

Not perturbed in the slightest. You see, this man's company has a Canon C.A.R. system.

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McMURTRY SHERBON VARTAN/R504

MEMBER PROFILE

**PAM CAMDEN
MRMA, Office
Supervision
Certificate,
Records Manager
Blacktown City
Council NSW**

When Pam commenced her working life in 1952 as a Filing Clerk at McPherson's Ltd in Sydney she had no idea what she was letting herself in for. It was to be her first taste of Records Management.

Pam worked for McPherson's for 13 years and left to start a family. Five years later she worked for a local builder and stayed there for three years. Around this time things were becoming depressed in the building industry and when she saw a position advertised for a Filing Clerk with the local council she decided to apply, as filing had always been a job she liked.

Today Pay says "I can say with complete honesty that if someone had told me that one day I would be in charge of the section, I would have thought they were out of their tree".

Towards the end of 1982 Pam decided she would like to go to Tech. She commenced an Office Supervision Certificate in 1983. Having passed that course, Pam then undertook the Introduction To Records Management course. It was while doing this course that she became aware of the Records Management Association which she joined in 1984. It was also in this year that she was promoted to the position of Records Management Officer with Blacktown City Council which was 2IC of the section. In 1987, following the resignation of the Records Manager, Pam was appointed to the position.

Blacktown City Council, on a population basis, is one of the biggest Local Government Authorities in NSW. The Central Records Section has a total staff of 17, and the pace is quite hectic as nothing much happens without a file being involved. Anyone working in records would be able to relate to the hectic pace described by Pam. Towards the end of 1988, Council commenced a system of barcode tracking of file movements (see article Informaa Quarterly, Vol 5 No 4) and from this followed a computerised correspondence register, Council Minutes register, and resubmit system, along with lots of other wonderful things you can do when you are fortunate enough to have a mainframe computer, and a DP Section who are supportive when you need to make changes. Due to this support the Records Section staff are constantly able to upgrade their work practices as they find better ways to do things, and so improve their efficiency.

With regard to the Association, Pam became involved in Branch activities soon after joining, and in 1985 when the NSW Branch was responsible for hosting the 2nd National Convention Pam was a member of the Organising Committee.

In 1985 she was granted Associate status. She joined the Branch Council in 1986 and was elected to the position of Branch Secretary. In 1987 Pam was elected a Federal Director and held both these positions until July 1990. Pam has been involved with several committees, and has helped to organise several one and two day seminars.

The NSW Branch has a strong Local Government Chapter and Pam has held the positions of Secretary, Vice President, and President over recent years.

In September, 1990 Pam's application for an upgrade in status to Member was approved.

Pam says "I've never been sorry that I made Records Management my career. The work is a constant challenge to do things better and so improve the service to the users. In doing this you get a feeling of satisfaction that you have succeeded".

DOCUMENT MANAGEMENT AND THE LAW

by Michael Roder, LLB (Hons)

Michael Roder graduated with an Honours degree in Law in 1984 from the University of Adelaide. He is employed as in-house counsel and is a senior associate at Norman Waterhouse and Mutton, a medium/large Adelaide firm practising in the areas of commercial law and litigation, especially well known for acting for and advising local government throughout South Australia.

This article is an abridged text of an address given by Michael Roder to a seminar held by the RMAA South Australian Branch in June 1990 entitled "Records and the Law". It covers the maintenance and production of documents for use in litigation before the courts. It also considers the effect of the law relating to the production of documents by records managers in the private sector.

Documents are normally the most crucial factor in any litigation before the courts. Documents are made at the time of the events which come before the courts some years later and the contents thereof are not distorted by the reduced memory due to lapse of time or by any deliberate attempt by a party to litigation to mislead a court as to what transpired at the time. Without the aid of documents the court is only able to judge a dispute by having reference to its own observations of a witness trying to remember events some years after they happened and often a particular witness is only in the witness box for a brief time. Documents are an objective standard by which the court can come to a decision.

The focus of this paper is to outline certain aspects of the law that will affect records managers and, in some cases, how it is possible to manage the records so that some of those records will not need to be produced by you in litigation. Also covered is the issue of holding confidential documents and ensuring that they not be released other than if they clearly come within the terms of a particular court order or obligation to the court.

The production of documents can be divided into four main areas:

1. Producing documents to the court under a subpoena
2. Producing documents by way of discovery if you are a party to litigation
3. Allowing access to documents for the Commonwealth Police or other enforcement agent pursuant to a warrant issued by the court
4. Documents required to be produced and kept by records managers pursuant to various statutory obligations and, in particular, pursuant to the Income Tax Assessment Act

Documents Produced Pursuant to a Subpoena

The practice of issuing subpoenas to third parties who are not parties to litigation to produce documents to the court is common to almost every court and tribunal in this country. For example, this is provided for specifically in the rules of the Federal Court and of the South Australian Supreme Court. The provisions of rules of court for subpoenas are standard throughout all courts and tribunals.

Subpoenas must be issued by the clerk of the court at the request of any party to an action. Subpoenas must be in the form specified by the court rules. A party issuing a subpoena is obliged to specify the documents which he is seeking with reasonable particularity.

If a party issues a subpoena which is so vague that the subpoenaed party is embarrassed in complying with this subpoena as he is not sure exactly what records are sought, the subpoenaed party should apply to a court to have the subpoena set aside. Also, if a subpoena is oppressive in that it is so wide that it requires the collection and production of such volumes of information, the court may in its discretion set a subpoena aside. A subpoena to a bank requesting all banking records of a customer

would fit into this category. A party issuing a subpoena should identify which particular records of the customer, and if possible for what periods, he requires them.

The courts may punish disobedience of a subpoena as a contempt of court. The powers of the court for punishing for contempt include imprisonment of the responsible records manager who does not comply with a subpoena.

Contempt of a court is action or inaction of a person amounting to an interference with, or obstruction to, or having a tendency to interfere with or obstruct the administration of justice. It need not be intentional.

A subpoena is to produce documents to the court and not to the party requesting the documents. It is not compliance with the subpoena to send the documents to the solicitor requesting the documents and is a most dangerous practice. The documents should be left with the registry of the particular court and a receipt for the documents should be requested and obtained.

Generally it is advisable for a manager served with a subpoena to obtain advice on the subpoena prior to complying with the subpoena. In particular, it is essential the compliance with the subpoena not go outside the actual terms of the subpoena. Whether you are involved in banking, insurance, accountancy or any other professional field, you owe a duty of confidentiality to your clients and this, of course, extends to documents of and relating to your clients.

While in most cases a court subpoena or order will override your duty of confidentiality to your client, if more documents are produced than are required, you are in danger of breaching your duty of confidentiality owed to your client. If such documents which are released have the result of damaging your client's legal position, you will be exposed to an action for breach of confidence. For example, I was recently involved in acting for a bank, and the bank was asked to produce documents relating to certain transactions of its customers. The information on the bank's files contained some quite damning evidence of the customer's financial

transactions. It was necessary to go through each document in all of the bank's files relating to the customer and make a decision as to what documents could fairly be said to be relating to a particular transaction. This involved difficult decisions in relation to particular documents. If the bank had provided documents which in fact did not relate to those particular transactions, it could well have exposed itself to potential litigation from its client.

Equally with respect to governmental organisations, there are legislative restrictions on what documents and records should be produced to the public. It is important for governmental agencies to go through the same exercise and in some cases to determine whether, even if documents do come within the terms of the subpoena, they are restricted at law from complying with the subpoena as a result of the various acts that they administer.

Production of Documents by Way of Discovery

The second method by which managers will be compelled to produce documents to the court is by way of discovery normally as a party to an action. Generally parties are required to discover documents which are or have been in their possession, custody or power relating to a matter in question between the parties. Discovery is often required to be given on oath by the responsible officer of a corporation. Failure to produce complete discovery can result in judgment being entered against a defaulting party in an action and in that person being in contempt of court. It is the duty of an officer of a corporation required to make discovery to make all necessary enquiries to discover particular documents. Discovery is to be of documents not only in the actual possession of a party but also documents in the custody or power, which includes any documents which the party has an enforceable right to retain possession of from a person who in fact has that document. For example, a party to litigation would be obliged to discover documents in the possession of his accountant and in fact his accountant's files if they were relevant to issues, even though those documents are not actually possessed by the party. Equally there are

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documents which have at one stage been in the possession, custody or power of a party but are no longer so, which must also be disclosed to the other party. The obligation to discover documents is a particularly high one and careful search must be made for all relevant documents in the party's own possession and proper enquiries and efforts made with regard to those which are not.

Accordingly, it is most essential that documents be maintained in an orderly fashion so that you are able to find them if litigation arises. It is essential so that particular documents which favour your case are able to be produced to the court. It is quite often the case in my experience that parties are unable to find documents, such as letters of confirmation, notes of agreements and the like, which could materially assist them in litigation. Just as importantly if there is a document which has been in your possession or power and you have lost it, or for some reason are unable to produce it to the court, various inferences may be drawn against you for your failure to produce it and the court would be entitled to make a finding that the contents of that document tended to support your opponent's case rather than yours.

It is essential that records be maintained in an orderly fashion and that gratuitous and irrelevant parts are not included in official documents.

Of less drastic significance but of more frequent occurrence is the practice of litigants who receive letters and documents which later become the subject of litigation to write notations on those documents indicating their distaste for the person who wrote the documents or passing the document on with an attached memo with words to the effect that the other party is mentally incompetent, senile or some other abusive expression. These notations seem at the time to be quite appropriate but in the cold light of day two years after the event they appear to be inappropriate and can be used to damage the credibility of the party who made them and can be most embarrassing when produced.

It is also important to maintain documents which may obtain the benefit of legal professional privilege in such a manner so that the privilege is not lost unnecessarily.

Generally the privilege exists to encourage the confidential seeking of professional advice from lawyers. Such advice may be sought by private individuals, companies or the Crown and may be in respect of private practitioners or communications with crown lawyers.

It is clear that only documents which are created for the sole purpose of obtaining legal advice or for use in contemplated or actual litigation are privileged. If even a minor purpose of the document coming into existence does not relate to litigation, the document will lose its privilege.

One example of this is a document which had to be produced in a case which is currently before the courts, being a claim by an infant and the infant's mother against a South Australian hospital for alleged negligence against the hospital and its doctors, resulting in the child being born with severe brain damage. The practising doctor completed, at the request of the hospital, on the day after the incident occurred, a thorough and complete report of the incidents of the day in which she made a number of admissions regarding her treatment of the mother which were very useful to the plaintiff. The documents were apparently prepared at the request of the hospital's insurer that it might obtain early legal advice. However, the document also appeared in its full text in the records of the hospital regarding the treatment of the patient. The court held that the documents clearly had another purpose other than litigation, being a record of the patient's treatment forming part of the hospital records, and therefore had to be produced to the mother. It would have been quite possible for the hospital in that case to have required the doctor to make two records, one being a standard and brief report of the treatment that the mother received and another a full and frank disclosure of all the events and mistakes of the day which were kept for impending litigation. By this means only the brief official medical notes would have been discoverable to the other party.

Another example is in the field of insurance. It is quite common when an insured person claims

from his insurance company for loss and damage suffered by him that the insurer pays the claim and then commences litigation in the insured's name to recover its loss. Generally, at least in the field of motor vehicle insurance, a client is required to complete a detailed claim form for the insurance purposes and this involves providing a detailed description of the accident so that the company may assess its prospects in litigation. It is quite clear, however, that this document is discoverable and does not attract privilege as one of its purposes is quite clearly to enable the insurer to assess whether it has a liability to pay the claim. Accordingly, an insurance company is at a disadvantage in litigation because it is required, if requested, to produce a copy of the statement from its insured which can be used by the other party in court whilst the other party is under no obligation to do so. It would be quite possible to introduce a system whereby details relating to the insurer's liability to pay a claim were included on one form and a detailed statement simply relating to the circumstances of the collision for use of litigation could be produced on another form. I know that this practice has been introduced by at least one insurance company in Adelaide in recent times.

Access to Documents by an Enforcement Agency

An ever increasing problem confronting records managers relating to documents, especially in the private sector and especially banking, accounting and solicitor's firms, is the prospect of Federal Police, NCA or other enforcement agencies entering your premises with a search warrant to search and seize documents. It is a power that many enforcement agencies have used more and more frequently over recent years and in particular it would be fair to say it is a power which is used in several notable cases by the Australian Federal Police acting on instructions from the Commonwealth Departments. A notable recent case is the Lukin case which is still before the courts. Federal Police, on instructions from the Taxation Office, simultaneously searched and seized documents from the Lukins accountants and solicitors. It is of course a most daunting prospect for a records manager to be placed in a position where without

warning the police are demanding entry into your premises and demanding access to documents of a client which you have a duty to safeguard. Generally an officer enforcing a warrant is obliged to communicate his intent to the person responsible for the premises, stating his authority to enter and requesting permission to enter unless he has reasonable grounds for believing that if he alerts the occupier to the object of the search, it would be frustrated and that documents on the premises would be removed or destroyed. An officer is obliged to identify himself to you, produce the warrant to you and generally provide you with a copy of the warrant.

The search under the warrant may only be a search to the extent required for the purpose for which the warrant was issued. A search under warrant may not continue under the authority of the warrant once all things specified in it have been found or the officer in charge of the search is satisfied that the documents are not on the premises. Officers are obliged to conduct a search with consideration for the property and privacy of the occupier of the premises and with no more disturbance than necessary. If the occupier wishes to have another person present to witness the search he will generally be allowed to do so unless the officer in charge has reasonable ground for believing that this would hinder the investigation. He will also be given a reasonable time to consider a claim for privilege to documents. The investigating officer, however, need not wait an unreasonable period of time for this to occur.

The officer in charge after satisfying himself that material may not be taken from the premises without his knowledge, must ask for documents or other records concerned to be produced. He may also ask to see the index to files held on the premises if there is one and the officers may inspect any files which, according to the index, appear to contain any of the materials sought. A more extensive search of the premises should only be made if the person responsible for the premises refuses to produce the material sought or to allow access to the index, if it appears that the index is inaccurate or incomplete or if there are other reasonable grounds for believing that a further search is necessary.

Prior to obtaining a warrant the enforcement agent must satisfy a justice on oath that there are facts justifying the issuing of such a warrant. As the application is made without notice to the party who has control of the documents, there is a duty on the enforcement agency to candidly put all facts which are relevant before the court including those which favour the other party's case. They have a duty to state the source of all documents and information relied upon and to disclose all relevant documentation and information. Such warrants will be issued if the information discloses a criminal wrong rather than a civil wrong. If the searching officer does not comply exactly with the limits of the warrant or if there is some irregularity in the application to obtain a warrant the warrant may be set aside. It is important to know that although the documents have been seized, the person who holds the documents is entitled to apply for the warrant to be set aside and documents returned to him and to obtain an undertaking or an order that the enforcement agency not inspect the documents until their application is determined.

Statutory Obligations To Provide Information

A new area of concern for the records manager is the ever increasing statutory duty to provide certain information. I do not propose to deal with Freedom of Information legislation and like matters. I will focus on the Income Tax Assessment Act.

<u>Income Tax Assessment Act</u>

It is the policy of that Act to give the Commissioner wide reaching powers to obtain information so that he can ensure that the Act is being complied with. Section 263 (1) provides that the Commissioner or any officer authorised by him in that behalf shall at all times have full and free access to all buildings, places, books, documents and other papers for any of the purposes of this Act and for that purpose may make extracts from all copies of any such books, documents or papers. Section 263 (2) provides that an officer is not entitled to enter or remain on in any building or place if upon being requested to produce a proof of original authority he does not do so. Section 264 provides that the Commissioner may by notice in writing require any person, whether a tax payer or not, including any officer employed in or in connection with any department of a government or by any public authority, to furnish him with such information as he may require and to attend and to give evidence and to produce books and documents. The reference to "for the purpose of this Act" in the legislation has been construed to mean for the purpose of assessing taxable income.

The Commissioner is entitled to free access to all buildings, places, books and documents. Access to all buildings has been judicially decided to mean access to buildings and anything within those buildings. Accordingly, for instance, the Commissioner of Taxation is entitled to inspect the contents of a safety deposit box in a bank. If the bank is not in possession of a key the Commissioner of Taxation is entitled to use reasonable force to force the box open.

The scope of the Commissioner's powers were extensively litigated by Citibank whose premises were searched pursuant to Section 263 in six simultaneous raids on different branches of Citibank. Searching teams were on the premises for approximately four hours during which time they inspected and copied many documents. Most documents related to a redeemable preference share arrangement investigated by the Commissioner. Many others concerned other taxation matters. Citibank's employees were surprised by the extent and intensity of the search and with one exception had no opportunity to segregate documents which might be covered by legal professional privilege.

Three senior officers of Citibank asked for the search to be suspended whilst legal advice was obtained but the request was only granted in one case. Each officer had been given what is known as a wallet authorisation signed by a Deputy Commissioner authorising the officer to exercise all powers under Section 263 of the Act as well as other powers. The authorisation was not specific and did not specify as with warrants the extent of permissible search.

It was held by the court that a written authorisation under Section 263 did not need to be produced unless requested and that it did not

need to specify the premises to be searched or the documents which are to be the subject of the search. However, the court held that the doctrine of legal professional privilege applies to restrict the Commissioner's powers under Section 263 and therefore his powers to search and make copies of documents should be read as not referring to documents to which legal professional privilege attaches. Further, as a bailee of its client's documents, Citibank was under a duty to its client to ensure that a claim for legal professional privilege, which might reasonably be expected to exist in the client, was not lost.

Accordingly, the taxation officer was obliged to ensure that Citibank and, in particular, its employees had adequate opportunity to make claims of privilege in respect of its client's documents. Relevant factors as to what constitutes an adequate opportunity are the confusion which the contemplated search would create amongst Citibank's employees and the fact that Citibank was a large concern holding many documents on behalf of many clients. It was held that if Citibank had been given adequate warning that the Commissioner of Taxation would be seeking access to the premises and to documents of a particular nature, it could have been prepared to make effective claims. However, Citibank did not have such warning and, accordingly, it was unreasonable for the Taxation Officers to refuse the requests from senior officers of Citibank to suspend the search whilst legal advice was obtained and to refuse to supply copies of documents which had previously been copied.

The Commissioner is also able to use his powers under Section 263 to conduct random audits of a company's affairs. His power to do so was challenged by Industrial Equity Limited which on the 13th April 1989 was subject to an entry pursuant to Section 263 to the premises of Bankers Trust which held books, documents and other papers relevant to IEL's affairs. The Deputy Commissioner authorised the Taxation Officer to have full and free access to Bankers Trust premises and to the books, documents and papers or classes of books, documents and papers relating to all transactions conducted with, for or on behalf of IEL and associated entities for any of the purposes of the Income Tax Assessment Act. The document also authorised the officer to make extracts from copies of books, documents and papers located or found on relevant premises. The power of the Commissioner to conduct random tax audits pursuant to this section was challenged by Industrial Equity.

It was held by the Full Court of the Federal Court that the audit was directed to ascertain the taxable income of IEL and its associated entities. Accordingly, it came within the Commissioner's powers conferred by Section 263. Further, the Commissioner was entitled to examine the affairs of persons or corporations for the purpose of ascertaining the amount of tax if any payable by them, a process which was ongoing or continuing. It was for the Commissioner to determine who would be selected for examination. If he chose to select persons or corporations at random or by reference to a criteria such as size, he was entitled to do so.

The scope of Section 264 of the Act and its relationship with Section 263 was challenged by Perrin Investments. In that matter three related companies and a solicitor and and an accountant who acted for the companies were served with Section 264 notices by the Commissioner who suspected that the companies had been involved in a tax avoidance scheme. The notices issued to the three companies required them to provide documents or copies of documents and to answer a large number of detailed questions relating to transactions. Two of the companies were given six weeks in which to comply and the third company was given nine weeks in which to comply. The notices to the solicitor and the accountant required them to appear at the Commissioner's office to give evidence and produce documents. They were given two weeks in which to comply although in both cases there had been previous correspondence.

The Commissioner's powers were challenged extensively.

The Federal Court held that Section 263 and 264 are independent of each other and the Commissioner is at liberty to require the production of documents pursuant to Section 264 without first exhausting his right of access pursuant to Section 263. Similarly, the Commissioner is at liberty to require the

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production of documents pursuant to Section 264 after gaining access pursuant to Section 263. Further, documents sought under Section 264 must relate to the income or assessment of a named tax payer. The provision is limited to original documents and copy documents already in existence and does not authorise the Commissioner to require the making of copies of existing documents. Further, a company or its public officer can be required to furnish information pursuant to a Section 264 notice and the Commissioner is not confined to asking a relevant director to do so.

A reasonable time for compliance with a Section 264 notice must be allowed by the Commissioner and must be judged, having regard to the evidence including the requirements of the notice and the ability of the person to whom it is addressed to comply with it in the time stipulated. On the facts of this particular claim the time allowed was not unreasonable. In particular the period of two weeks given to the solicitors and the accountant was not unreasonable when taking into account previous correspondence and conversations between Taxation Officers and those bodies. It was clear that the principle of legal professional privilege again overrides the provisions of Section 264 of the Act. It was also held by the court that the privilege against self incrimination was most probably applicable to an objection to complying with a Section 264 notice. This privilege will be available when there is a real risk of complying with the notice leading to a prosecution against a person so asked to comply.

RMAA

RECORDS MANAGEMENT ASSOCIATION OF AUSTRALIA

8TH NATIONAL CONVENTION
DARWIN, NORTHERN TERRITORY
15-18 SEPTEMBER 1991

'The Information Environment - Towards 2000'

Proudly sponsored by

Canon
INFORMATION MANAGEMENT
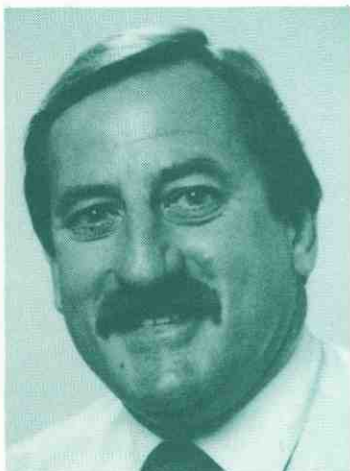
CONVENERS MESSAGE

On extending an invitation to prospective national and international delegates, accompanying persons and trade exhibitors to attend the 8th RMAA National Convention in Darwin in September 1991, the convention organising committee was confident of a positive response. I am pleased to advise that our confidence is becoming greater every day.

The response we have had to date to the convention theme "The Information Environment - Towards 2000" and the related topics to be discussed has been overwhelming and you can be assured that the very best of speakers will be in attendance.

I am sure that you will take advantage of the airfare and accommodation packages available, not only to attend the 8th National Convention, but to "take a break" as well. The offer of Top End hospitality still stands and I encourage you to register early.

Ray Holswich
Chairman,
8th National Convention, Organising Committee

DELEGATES' PROGRAM

Sunday 15 September 1991

12 noon	- 5.30pm	Registration
5.30pm	- 6.30pm	Official welcome and cocktail party

Monday 16 September 1991

8.00am	- 9.00am	Registration
9.00am	- 9.30am	Official opening
9.30am	- 10.30am	Keynote address "The Information Environment - Towards 2000"
10.30am	- 11.00am	Tea or coffee
11.00am	- 12.00am	Effective use of Technologies in Information Management
12.30pm	- 1.30pm	LUNCH
1.30pm	- 2.00pm	Trade Display Opening
2.00pm	- 5.00pm	Trade Display Viewing
5.00pm	- 6.00pm	Trade Happy Hour
6.30pm	-	International Food Market

Tuesday 17 September 1991

8.00am	- 9.00am	Day Registration
9.00am	- 10.00am	RMAA Annual General Meeting
10.00am	- 10.30am	Tea or coffee
10.30am	- 11.30am	The Impact of Technology on Archival and Information Management
		or
		The Administrative Requirements and Trends Affecting Information Management
11.30am	- 12.30pm	Records and Facilities Protection - Are we prepared in the event of a disaster?
		or
		Law and its Affect on Information Management
12.30pm	- 2.00pm	LUNCH
2.00pm	- 3.00pm	Educating Tomorrows' Information Manager
		or
		The Role of Tomorrows' Information Manager
3.00pm	- 3.30pm	Tea or coffee
3.30pm	- 4.30pm	Public Concern for the Environment - Its impact on the Information Manager
6.30pm		Sunset viewing, pre dinner drinks and Convention Dinner

Wednesday 18 September 1991

8.00am	- 9.00am	Day Registration
9.00am	- 10.00am	User Requirements of Information Management - Academic/Vocational and Occupational Research Needs
10.00am	- 10.30am	Tea or coffee
10.30am	- 11.30am	Managing Information and Cultural Heritage
		or
		Our Multi Cultural Society - Its Impact on Information Management
11.30am	- 12.30pm	Achieving More with Less Resources - Challenges and Opportunities
		or
		Physical Facilities and Environmental Requirements for the Keeping and Preservation of Records
12.30pm	- 2.00pm	LUNCH
2.00pm	- 3.00pm	Plenary session
3.30pm	- 4.00pm	Tea or coffee
4.00pm	- 5.00pm	Motivational Talk
5.00pm	- 5.30pm	CLOSING
5.30pm	- 6.30PM	WELCOME SYDNEY 1992 AND FAREWELL FUNCTION

ACCOMPANYING PERSONS' PROGRAM

Sunday 15 September 1991

12 .00pm	- 5.30pm	Registration
5.30pm	- 6.30pm	Official welcome and Cocktail Party

Monday 16 September 1991

8.30am	-	Departure (pickup from hotels) for city sight seeing tour including fish feeding, Botanic Gardens, Fannie Bay Gaol, Museum, luncheon, Territory Perspective and Indo Pacific Marine. Return approximately 4.00pm.
6.30pm		International Food Market

Tuesday 17 September 1991
FREE DAY

6.30pm   -   Sunset viewing, pre dinner drinks and Convention Dinner

Wednesday 18 September 1991
9.00am   -   Pick up from hotels for Shoppers' Special

Morning visit to exclusive Darwin jewellery, art gallery, pottery and craft shops offering the best collections of local creations and Aboriginal crafts. Lunch at the international food market at Casuarina Shopping Square (at own expense). There will be time to shop. Return to hotels at approximately 3.30pm.

5.30pm   -   Farewell function and cocktail party

REGISTRATION

Registration fees	before June 1 1991	After June 1 1991
Delegate (member)	$585	$645
Delegate (non member)	$655	$715
Accompanying person	$285	$335
Day registration	$230	$230

Delegates registration includes attendance at all sessions, trade exhibition and happy hour, morning and afternoon teas, lunches, welcome cocktail party, international food market, convention dinner, farewell function and satchel containing various programs and published papers.

Accompanying persons registration includes welcome cocktail party, trade exhibition and happy hour, convention dinner, satchel, a special full day sightseeing tour of Darwin (including lunch), and a special shopping tour.

Day registration (limit 2 days) includes attendance at sessions of the day chosen, morning and afternoon tea and lunch on that day (does not include social functions).

Cancellations must be advised in writing to the convention secretariat. Before August 15 a refund less $80 (administration costs) will be made. Refunds after that date will be at the discretion of the convention secretariat.

GENERAL INFORMATION

Registration Desk: All delegates, accompanying persons and guests **must register** at the Official Registration Desk, which will be located adjacent to the ballroom at the Beaufort Hotel.

Name badges are your entry to convention activities. Your name badge must be worn at all times during the convention.

Dress: smart casual clothing is recommended for all activities. A shady hat and sunscreen are necessary for outdoors. Some evening functions require "Territory rig" which is, for men, slacks and a shirt, and for ladies smart casual "after five".

Convention Secretariat: All enquiries to CONVENTION CATALYSTS, GPO Box 2541, Darwin NT 0801. Phone: 089 811875, Fax: 089 412815.

ACCOMMODATION

All accommodation is within easy walking distance of the Convention Centre. See accompanying map. (Note: rates shown do not include 2.5% government tax which is payable directly to the hotel).

Code	Hotel		$ Room Only (per night)
BEA	Beaufort	5 star	145 (twin/double or single)
SHR	Sheraton	5 star	155 (twin/double or single)
TRA	Travelodge	4 star	114 (twin/double or single)
ATR	Atrium	3 star with kitchenette	120 (twin/double or single)
AST	Asti Motel	Budget	65 (twin/double) 59 (single)
CTY	City Gardens	Family apartments	110 (family)
PEN	Peninsular	Apartments	77 (twin/double or single)

ACCOMMODATION AND AIRFARE PACKAGES

The packages include 4 nights accommodation and discounted airfares to and from Darwin. If extra nights are required, above room rates apply for additional nights.

Rates shown are **per person**. (Note: 2.5% tax on accommodation is payable to the hotel).

Code	Hotel		Syd/Melb $	Brisbane $	Adelaide $	Perth $	Canberra $	Hobart $
AAB	Beaufort	Twin/Double	1099	1025	987	1084	1131	1182
		Single	1389	1315	1277	1374	1421	1472
AAS	Sheraton	Twin/Double	1119	1045	1007	1104	1151	1202
		Single	1429	1355	1317	1414	1461	1512
AAT	Travelodge	Twin/Double	1037	963	925	1022	1069	1120
		Single	1265	1191	1153	1250	1297	1348
AAA	Atrium	Twin/Double	1049	975	937	1034	1081	1132
		Single	1289	1215	1177	1274	1321	1372
AAM	Asti Motel	Twin/Double	939	865	827	924	971	1022
		Single	1045	971	933	1030	1077	1128
AAP	Peninsular	Twin/Double	963	889	851	948	995	1046
		Single	1117	1043	1005	1102	1149	1200

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

TRAVEL AND TOURS

Travel should be booked as soon as possible. A full range of fares and special packages is available with the official carrier, **AUSTRALIAN AIRLINES**, and can be booked through Convention Catalysts. Examples of discounted airfares are:
- the Save 30 fare which offers a 30% reduction on economy fares and requires a minimum stay of 3 nights in Darwin
- the Apex fare which offers a 35% reduction on economy fares and requires a minimum stay of 7 nights in Darwin

Booking restrictions and cancellation fees apply to these two fares.

Overseas destination options
Delegates also have the option of combining the convention in Darwin with a visit to Southeast Asia, for very little extra. Suggested destinations are Singapore, Bangkok, Bali, Hong Kong, Brunei, Kuching, Timor. Enquiries and reservations should be made through Convention Catalysts.

Optional tours
The following tours have been specially organised for the 8th National Convention. As seats are limited you are advised to book early.

One day Kakadu tour (Code KK1)   **Thursday 19 September 1991**
A very full day which starts with coach pickup at 6.30am. The day includes a visit to Nourlangie Rock art site, Park Headquarters, Jabiru and a cruise on Yellow Water Billabong. Take advantage of the opportunity to see the wildlife.
Cost: $88 per person (includes lunch).

Two day Katherine/Kakadu tour (Code KK2)   **Thursday 19 September 1991**
This tour combines visits to Nourlangie Rock,Yellow Water Billabong, Jabiru and Park Headquarters in Kakadu with a cruise on Katherine Gorge and a visit to historic Pine Creek in addition to other attractions. Overnight accommodation is in Kakadu. Return to Darwin on Friday 20 September, approximately 7.30pm.
Cost: $325 per person (share twin basis) all meals included.

Two day Kakadu tour (Code KA2)   **Thursday 19 September 1991**
Includes a tour of the famed Ubirr Rock art site as well as Nourlangie Rock, a visit to Park Headquarters and a cruise on Yellow Water Billabong.   Overnight accommodation is in Kakadu.   Return to Darwin on Friday 20 September, approximately 7.30pm.
Cost: $299 per person (share twin basis) all meals included.

Bathurst and Melville Island (Code BMI)   Daily
Home of the Tiwi people. A tour of these islands offers visitors an insight into Aboriginal culture. See craftsmen at work and take the opportunity to purchase woodcarvings, pottery and items screen printed with the renowned Tiwi designs. Tours are available on a daily basis and can be purchased from Convention Catalysts. No minimum numbers apply. Transport to the island is by air.
Cost: $199 Adult, $130 child 12 years and under.

DARWIN CITY

Mindil Beach

MINDIL BEACH RESERVE

GILRUTH AVENUE

BOTANICAL GARDENS

Cullen Beach

CHIN QUAN RD

ROAD

LARRAKEYAH

GARDENS PARK RESERVE

PACKARD

DOCTORS GULLY RD

PENINSULA APARTMENTS
Walking time = 10 min

ST

STREET

STREET

GARDENS

DALY

STREET

STREET

DARWIN TRAVELODGE
Walking time = 2 min

DINAH BEACH RD

TIGER BRENNAN

McLACHLAN

STREET

Park

STREET

SHEPHERD ST

ST

CITY GARDENS APARTMENTS
Walking time = 15 min

CONVENTION VENUE BEAUFORT HOTEL
Starting Point

Bicentennial

BRIGGS ST

LINDSAY

ST

WHITFIELD ST

SMITH

McMINN

Beach

Lameroo

PEEL ST

ST

Darwin Fishing Harbour Kulaluk Basin

ATRIUM HOTEL
Walking time = 5 min

ESPLANADE

MITCHELL

WOODS

MANTON ST

GARDINER ST

BAY DRIVE

KNUCKEY

STREET

SHERATON HOTEL
Walking time = 10 min

CAVENAGH

FOELSCHE ST

MALL

BENNETT

STREET

SMITH STREET MALL
Walking time = 12 min

ESPLANADE

HARRY CHAN AVE

FRANCES

KITCHENER

DRIVE

Fort Hill

Stokes Hill

CIVIC CENTRE CITY COUNCIL
Walking time = 20 min

Stokes Hill Wharf

PORT DARWIN

Disclaimer

The information contained in this brochure is correct at the time of printing. The Records Management Association of Australia and the conference managers, Convention Catalysts, reserve the right to alter or delete items from the conference or social program and the exhibition program, and to alter or delete information supplied in the brochure on tours, accommodation, venues, prices and all other information contained herein. The organisation shall not be liable for any cost of damages arising from any action based on the information in this brochure.

Please complete this form and return to   Convention Catalysts   Tel: (089) 811875
GPO Box 2541, Darwin NT 0801   Facsimile (089) 412815

Delegate Details

Mr/Mrs/Miss/Ms _____

        Surname   Given Names

Postal Address _____   Phone: Bus _____

_____

               Post Code _____   A/H _____ Fax _____

Preferred name (badge details) _____   Organisation _____

Accompanying Person Mr/Mrs/Miss/Ms _____

Preferred name (badge details) _____

Registration Fees (please tick box)	before June 1 1991	before August 30 1991	$ Payment
Full program			
Delegate (member)	☐ $585	☐ $645	$ ....
Delegate (non-member)	☐ $655	☐ $715	$ ....
Accompanying person	☐ $285	☐ $335	$ ....

Day registrants			$ Payment
☐	Monday 16 September	$230	$ ....
☐	Tuesday 17 September	$230	$ ....
☐	Wednesday 18 September	$230	$ ....

No accommodation required ☐   **No air required** ☐

Accommodation/Air Package

First preference   Code [ ][ ][ ]   Hotel ....

Second preference   Code [ ][ ][ ]   Hotel ....

Type of room required (single/twin/double) [ ]

Date of arrival [/ /]

Number of nights required [ ]

Capital City of departure [ ]   Full payment required $ ....

Accommodation only

First preference   Code [ ]   Hotel ....

Second preference   Code [ ]   Hotel ....

Type of room required (single/twin/double) [ ]

Date of arrival [/ /]   Deposit required equal to

Number of nights required [ ]   one nights accommodation $ ....

Air only

From City _____ Date _____ Return Date _____

Class required: First ☐   Business ☐   Economy ☐   Concessional ☐

(Fares will be advised when bookings have been secured)

Please send information on flights via Singapore ☐   Bali ☐   Other ....

Social function costs (included in registration fees for delegates and accompanying persons).

Additional tickets are available for day registrants and others at the following costs:

Name _____	International Food Market	$25 x =	$ ....
Name _____	Convention dinner	$75 x =	$ ....

Optional tours

Date	/ /	/ /	/ /	
Tour code	[ ]	[ ]	[ ]	
No of persons	[ ]	[ ]	[ ]	
Cost	[ ]	[ ]	[ ]	Tours sub total $ ....

PAYABLE TO CONVENTION CATALYSTS INT.   -   **TOTAL PAYMENT** $

Credit Card   Bankcard ☐   Mastercard ☐   Visa ☐

No _____ Name _____

Expiry date _____ Amount _____

Signature _____

ASA

BIENNIAL CONFERENCE

"DOCUMENTING MODERN SOCIETY"

Date: 11-16 June 1991

Time: 9am - 5pm with related social activities (some evenings)

Venue: Sheraton-Wentworth Hotel and State Library of NSW

Cost: Fees vary depending on the registrant's choice of activities

Approximate fees • 3 day conference $180
• individual registrations
for workshops/seminars $50 - $190 for each one

More effective use of information is the key to an economically productive and socially satisfying future. The information locked in documents on paper, magnetic tape, laser disc and photographs determine how well our institutions and businesses function in the present and how they will be judged in the future. Professionals responsible for the creation, management, use and preservation of information sources and services face escalating constraints and change in resources, technology, regulation and user demand. These challenges and the tools and strategies needed to confront them are the focus of an exciting week of conference sessions, workshops, seminars and visits.

Distinguished information professionals from the US and Australasia will contribute their insights and expertise. Keynoting the conference are DAVID BEARMAN, President of *Archives & Museum Informatics* and his wife DR. TONI CARBO BEARMAN, Dean of the School of Library and Information Science at the University of Pittsburgh and incoming President of the American Society for Information Science (ASIS). Both Bearmans are world authorities on information policy, technology and education with particular concern to ensure that our society has a valid information "heritage" available and accessible now and in the future. Archivists, record managers, librarians, academics, museum/gallery curators, researchers, in fact, EVERYONE will enjoy and benefit from contact with the galaxy of exciting and dynamic speakers we have assembled for this meeting.

In addition to formal session are tours, social events and visits.

For more information contact

Robert French or Fiona Burn
ASA Conference
PO Box 72
Strawberry Hills NSW 2012
ph.   (02) 29 6352
fax   (02) 29 3253

THE LEGAL IMPORTANCE OF KEEPING MAIL ROOM RECORDS

by Phillip Reynolds

BA (Librarianship); LLB, (Melb), Grad Dip Info Man (Archives & Records) (Melb), ALIAA, ARMA

Phillip Reynolds is a member of the Commercial Litigation Group of Minter Ellison, Solicitors, and 1989 winner of Australian Society of Archivists Award for excellence in archival studies.

A recent decision of Mr Justice McKenzie in the Supreme Court of Queensland[1] is the instructive to records managers as to the importance of maintaining records in respect of both outgoing and incoming correspondence and as to the fatal consequences poor record keeping practices can sometimes have, particularly where legal documents are concerned.

The Facts

Ocean Distributors Pty Ltd operated a business of manufacturing and selling trawl nets. During the course of business the company incurred debts to Ocean Packers Pty Ltd in the sum of $147,904.00. When the debt was not duly paid a notice (pursuant to section 364(2) of the Companies (Queensland) Code) was allegedly served on Ocean Distributors by a receiver appointed to Ocean Packers for the winding up of the company. Service of the notice was to the registered office of Ocean Distributors at a firm of accountants.

The Issue

One issue to be determined by the court was whether there was due service of the notice under section 364.

The Law

Pursuant to section 528 of the Code, which deals with the service of documents on companies generally, a document may be served on a company by delivering it at, or by sending it by post to the registered office of the company. This provision is embellished by section 15 of the Companies and Securities (Interpretation and Miscellaneous Provisions) (Queensland) Code which provides as follows:

> "where a relevant Code authorises or requires a document to be served by post.... then unless the contrary intention appears then service shall be deemed to be effected by properly addressing and posting (under prepaid post) the document as a letter to the last known address of the person to be served and unless the contrary is proved to have been effected at the time when the letter would have been delivered in the ordinary course of post".

The Decision

In his reasoning McKenzie J contrasted the methods of records management employed by the receiver with those of the company and its accountants.

The receiver's evidence was that an employee working for the receiver had personally delivered the notice to the receiver's mail room. His Honour noted that in the mail room "there is a system employed ... of recording the details of mail to be sent out in a book and the checking of the items in the book against items collected by the post office at the end of each day. The records of this process indicate that the letter to the company was sent out according to that system. It has not been returned as unclaimed or undelivered."

As against this, the alleged debtor's accountant could only depose that the notice had not been received. Neither the accountant or the company could provide as evidence any written records which might rebut the presumption that the document had been duly served, ie. received. His Honour made the following observations regarding the accountant's records management:

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"..... it is his office practice that all mail received there, whether addressed to his office or to companies to which list his office as their registered office, is directed to and perused by him on a daily basis upon receipt. Those documents or that correspondence which should then be brought to the notice of such companies as use his office as their registered office are brought to the attention of the office bearers of the company by forwarding either the original or a copy thereof to the secretary of the company.

There is no evidence before me of what record, if any, is made on the file of the receipt and transmission to the company officer of such documents."

His Honour noted that the combined effect of the legislation referred to above was twofold. These were:

"..... (a) the deeming of service to be effected properly addressing and posting under prepaid post the relevant document to the company's registered office; and

(b) a presumption that service has been effected at the time when the letter would have been delivered in the ordinary course of post."

The presumption is sub-paragraph (b) above is rebuttable but "... the onus of rebutting the presumption created (by the legislation) lies on the person alleging non delivery." His Honour concluded ".... there is evidence that none of the correspondence despatched... has been returned as undelivered to the receiver and manager and as the circumstances deposed to by (the company) do not leave me with a conviction that the notices were, on the balance of probabilities, not delivered to his office, I hold that the notice was duly served on the company."

The result of McKenzie J's finding was that the company was ordered to be wound up.

Conclusion

It is important to note that the court did not explicitly base its decision on the fact that the creditor's records management was better than that of the company, or its accountants. However, it is not stretching credulity too far to suggest that had the company or its accountants maintained an effective system of records management this would have been of greater evidentiary weight than mere personal recollection in rebutting the presumption of delivery and thereby service. Conversely, the evidence of the receiver's system of records management was of some significance in establishing effective service.

Records Managers should be familiar with all documents issued by or received in their organisations which have formal statutory requirements regarding their service or handling. The records maintained by the organisation should be capable of providing complete and conclusive evidence relating to the handling of those documents.

References

1. Re Ocean Distributors Pty Ltd (1990) 8 ACLC 953

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INFORMAA QUARTERLY

Many thanks to people who have contributed articles for the journal; however we still need more. To produce a balanced and interesting publication we need articles from all states and territories. Papers may be articles, seminar or conference papers, discussion papers or any report which may be of national interest.

Articles must be ready for inclusion in INFORMAA QUARTERLY by the following dates: 1 May 1991
                                                                                                                      1 August 1991

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IMAGE SYSTEM APPLICATION IN
THE BANKING AND FINANCE INDUSTRY
- A Records Management Perspective -

by Peter W. McDonald, ED, MRMA

Peter is currently Manager, Records Management for the ANZ Banking Group. This job involves acting as a full time internal consultant for the Bank. Prior to joining the Bank in 1982 Peter worked for the Commonwealth Attorney-General's Department.

This article is the edited text of a paper presented by Peter to the IMC Document Imaging 90 Conference in Sydney, September 1990.

Introduction

The ANZ Bank is a complex financial services conglomerate. It operates more than 2000 points of representation in Australia, New Zealand, the Pacific, United Kingdom, Europe, Africa, the Middle East, North America and Asia. Around 47,000 people are employed worldwide and business is conducted in at least 17 major languages. Australia and New Zealand continue to form the bank's important domestic base and ANZ's world headquarters are located in Melbourne, where the Bank of Australasia opened in a two-roomed cottage in 1838. This paper is based on my experience as a professional Records Management and Work Review Practitioner for more than 28 years in both the public and the private sectors. I will not be giving a Banker's view, nor will I be presenting any view or policy of my employer, the ANZ Group.

From my observations and information available to me, it appears that the banking community in Australia is currently very active in its research into the image technologies, with the major aims of:
- Providing a better customer service
- Maintaining a competitive edge
- Containing and reducing costs
- Meeting the never ending appetite of organisations for information
- Enhancing the work environment for employees
- Reducing the reliance on paper and thereby conserving trees

When an information storage or retrieval problem arises, the records management team more often than not gets called in to assist when others have given up, key documentation has been mislaid, or enlightened management identifies a need for professional advice on how paper records can be managed more effectively and at a lower cost. As a result, Records Managers are usually in a unique position to see into a problem from the bottom up or from where the users see the problems and work overloads. I also believe, that Records Managers are better trained for this type of task.

With this background I can see potential for the emerging technology of imaging in at least five key areas:
- Recorded Information Management
- Item/Cheque Processing
- Signature and Authority Verification
- Customer Case Files
- General Information Routing and Management

I will give my views in very general terms on the first four of these and I will also touch on some of the legal and ethical hurdles which should be considered.

Recorded Information Management

As you all know, the Data Processing people will tell us 'they have up to now captured only 5% of data used by corporations', although within the banking and finance industry it is probably closer to 25%. The other 95% (75% for banks) is being held un-encoded, mostly on paper. We are also told by some image vendors that image technologies will, with a press of a button or two, take care of this 95% (75%) paper information.

From the records management perspective, my opinion is that image processing must be considered only as one more tool of trade as it is not the complete answer. Its integration with other technologies must be complete if we, as

records managers are to obtain the full benefits of this potentially powerful technology.

My view is that image technologies will best serve records management needs in the electronic capture (scanning) of the documents received from outside the organisation. That is, the first piece of paper or form completed by the customer to request action, to open an account, to give authority to change the operations of an account, to request the transfer of monies, to request new insurance and make a claim, and so on.

With a planned approach to the integration of technologies, data processing systems can then take over. However, for the information user, the image/data must be 'media transparent' and be accessible through one output device.

While customer created documents (source documents) can be stored and managed in a very cost effective way by imaging technology, the next key records management requirement is for a system (a software manager) that will receive, classify and index, file away/store and retrieve completed (signed off) electronic documents that would otherwise be paperbased reports and documents such as external despatched memos. These documents after they have been produced should, in the most perfect scenario, be retained independent of the information/data processing software. These electronically stored documents must also not be able to be altered in anyway because the integrity of the documents is important for both administrative and legal reasons.

Software that can store computer generated documents (as print text files) is more cost effective than image technology and has the added plus of being more accessible through data base search techniques currently available. However, to my knowledge there is still a shortage of this type of software system to choose from. This is unfortunate, but will, I hope, change very soon.

For an imaging system to be fully functional, the availability of this type of software is very important from the records management point of view. Records management professionals must be completely satisfied that the documents

produced at the end of the data processing run on which management has made a decision, are stored in a separate software system from the data processing system. This separate system should also indicate how it would be printed (including paper size, fonts used and layout etc). The integrity of the document must be preserved and if altered, a new document should be created and the original preserved.

In using these tools, managers of records management should then consider becoming managers of recorded information management. A big move towards a paperless office!

Irrespective of what changes are made to the systems, recorded information management objectives remain unchanged and should include:
*   Security of information
*   Integrity of information
*   Elimination of unnecessary paper
*   Integration of stored data forms
*   Adequate levels of indexing
*   Information classification groups
*   Cost efficiency

Because information remains the life blood of an organisation, skilled management can reduce costs and provide better service to customers with image technology as part of a total recorded information service using a number of appropriate technologies. When these two, or more technologies are integrated and the records management requirements are met, it will be only then that paper volumes will be dramatically reduced.

Item/Cheque Processing

A study initiated by a major computer vendor was undertaken sometime ago to examine the feasibility and applicability of image technology for item processing in the Australian banking environment. This study was one of a series in this area. Unfortunately the detailed findings and costings are still subject to a confidentiality agreement between the vendor and participating banks.

However, any casual examination of image technology reveals that the costs of implementation are going to be high. The returns to the banks from the enhanced level of customer service after a number of years will

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probably cost justify the technology. Reduced paper storage costs alone will not do so.

Most large Australian banks have their own feasibility studies underway because image item processing implementation is seen to be imminent and any major bank not keeping pace with this technology will risk slipping behind in customer service. One bank is committed to total voucher imaging processing implementation by 1995.

From the records management/methods practitioners view, opportunities are there to address all the banks' objectives of item processing in the areas of:
* reduction in operating costs through more effective staff use, greater productivity of that labour and time consuming paper processing tasks
* customer service enhancements by being able to respond quickly and more completely to request for information contained in images but not available as data
* improved management of float

With image technology the greatest cost benefit and improvements in customer service are in using the technologies for image capture and processing in the very early stages of vouchers' life cycle. Using the technology in proof centres, major reductions in manual data entry can be achieved. At present for non-MICR data the amount field must be key entered. Automated recognition of this data will reduce the number of vouchers requiring key-entry by approximately 50%. However, improvements in this area will need to be made by the software and hardware industry in Optical Character Recognition (OCR) and Image Character Recognition (ICR) to gain the full potential benefits.

This processing operation with minimum human intervention and determination has the potential to reduce the volume of work requiring proof machine and teller operator involvement. Benefits will also be achieved in truncation, that is the ability to route images electronically to any delivery point without the necessity to return paper vouchers back to their point of domicile. This will make both internal and interbank truncation a viable option. Image technology will also enable the prioritisation of image captured vouchers in a sequence that will reduce float costs by not missing exchange deadlines.

An area in which the Records Management team have responsibility is in bulk filing of processed vouchers, boxing them, collecting and recording these cartons, transporting, storing, retrieving them, accessing and eventually destroying them, to meet the bank's own operational needs, together with customer and Government requirements. Over one and a half million cartons of vouchers (that is over 1.8 billion items) are currently stored in a fully accountable and item retrievable system by the ANZ Bank alone. One of my tasks is the responsibility for the systems used to manage these billions of uniquely identified pieces of paper. It might be surprising to some to know that this function is still achieved at a fraction of the projected operating costs of any other available automated system including imaging and micrographics.

Image and other technology in the voucher/item storage area would only be an add-on cost savings. The use of image technology for archive/secondary storage alone could not at this time or in the forseeable future be cost justified because the Records Management teams have already developed cost effective means of storage and retrieval of these items.

Signature and Authority Verification

Customer signature and authority verification in the banking and finance industry is costly and labour intensive. Due to this cost, a number of banks have implemented dollar cut-off points so that amounts below are only given a cursory check. This is a commercial decision taken after an evaluation of cost versus risk.

The use image technologies could assist this situation in three ways.

Significant savings could be achieved if image and OCR/ICR technologies were integrated, as vendors are now doing, and are adding this feature to the item/cheque processing systems at the same time as the data is captured and processed at the proof centres, as discussed earlier. I understand that there are Pattern Matching systems on the market now that can read two, six or more key characteristics of a

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signature in a very accurate and timely manner. This is the first way of using image technology for signature and authorisation verification. Imaging could also be used by the bringing together for viewing on one screen the signature on the voucher and the bank's record.

Improved customer service and risk management by being able to access an image of a customer's signature or the most current authority at any and all points of the bank's representation. This could be achieved a number of ways:

- An online image system from a central computer
- Central produced data sets/disks and indexes that can be copied and despatched to all representation points
- A combination of both

In a distributed type environment, numerous options exist for the dissemination of this information. For example, floppy disks or optical disks can be used, or even an Australian developed product, the Hudson Card, which can be reproduced at the same cost of fiche copies. Our Bank currently holds at least one and quite often more signature cards and a manilla folder for Authority documentation for each open account. By law we are required to keep these items for seven years after account closure.

Customer Case Files

As I indicated the ANZ Bank, in common with the other major banks in Australia, does more than just traditional banking. We provide services in the fields of factoring, fleet leasing, hire purchase, cash management, life and general insurance, investments, superannuation, custodian services and many more. In all these operational areas and in traditional banking business hundreds of thousands of individual customer case files are created, maintained, assessed and worked on. In order to manage these files and make the information readily accessible when required, enormous resources are expended in sorting, filing, storing and refiling this paper. This can lead to problems where documents are sometimes lost, misfiled or mislaid.

Although each file is made to hold documents to fulfil one type of service provided by the Bank,

all are similar from a records management perspective. In most cases files have one or more forms or correspondence completed by the customer, one or more internally produced document to keep record of the action taken by staff to process the customer request; decision record documents, and ongoing case review and changed customer requirements. In the main the files remain relatively small consisting of about 6-12 documents.

There are only a few examples where the customer's case file explodes in size. That is when the paper on the file builds up because of the need to collect debt or the resolution of a dispute.

As a 'customer' dealing with a large banking and finance company I would expect to see just one file held with all my dealings with the company. You could ask, how can this financial institution efficiently handle my affairs if records of any dealings, assets, financial affairs are not collated at one point? However this has not been possible because of both practical, legal and ethical considerations. I do not believe that this will never be completely desirable, but a move towards linking all the separate case files through one central index is very feasible. For obvious good reasons, customer privacy will need to be given careful consideration in such a scenario.

To ensure optimum case file efficiency, with these constraints a case file system must contain a number of key records management standards. The standards that must be established and maintained include:
- Standardization in file titling
- Complete and accurate indexing
- Classification by subject or action group
- Removal and destruction of information/ documents no longer required
- Appropriate file covers
- Effective file housing

Unfortunately, most only consider the last two as important. This is even more unfortunate when others are considering converting to image technology, the replacement of file covers and file housing are the major elements of their plan. However, as we all know, information and case file access and retrieval is completely dependent

on the first three: file titling, indexing and the classification system used.

Although a fully integrated image system will effectively replace file covers and file housing equipment and therefore dramatically reduce clerical staff costs, together with the floor area needed to keep them, miniaturisation of the current system is all that will be achieved unless full professional consideration is given to file titling, indexing and classification systems.

Systems and procedures must be set in place to ensure that when the information and image/paper records have reached the end of their operational and legal lives they are removed and destroyed. This destruction must be thorough and complete. It goes beyond the removal of the document index reference.

On the positive side, some vendor representatives and other practitioners tell us we cannot cost justify an image system to replace a four draw filing cabinet. I disagree with this, as in most cases four key factors are not included, these being:

- Management and other key staff time is wasted when information they need is not available. This wasted time is not very often admitted to or costed as it is the same managers who are responsible for the system.
- In many cases when introducing records management improvement programs, the hardware is often already in place for accounting or other resource management tasks and therefore only software and a small number of peripheral equipment items will be needed.
- When introducing an imaging system as a replacement for a filing cabinet, without any of those add on bells and whistles, it is a very good starting point for management and staff to learn about and become familiar with the new technologies.
- It is an easier task using electronics to make and provide backup copies of key/vital documents than the current manual systems.

This is not to say that substantial benefits will not also be accrued with add on functions such as:

- Direct receipt and capture of documents from electronic mail systems
- Document processing functions and routing procedures
- Management reporting of work throughput and status
- Indexing systems using barcoding and OCR
- Dispatch of data and reports to points of representation

Care should be taken to ensure that high end solutions do not represent the use of an elephant to crack a nut in terms of your requirements.

The introduction of image case file management will also need the use of recorded information software as discussed earlier. A move in this direction is also being retarded by past methods of operations where many of these types of files are held at small branch office sites. We need to reconsider this aspect of operations if imaging/recorded information systems are to be effective and cost justified.

We recommend to the computer and imaging technology industry that now you have the key hardware and software procedures to bring to the market user friendly, customised turn key solutions with a strong emphasis on the records management/file management principles and requirements.

Legal and Ethical Considerations

Australian banks and finance institutions as corporate citizens are subject to rules of conduct and to laws and regulations which can be enforced by the Commonwealth and State Governments and by the courts. The key Acts which control aspects of our records management and therefore the use of image technology and microform systems are:

- The Income Tax Assessment Act (as amended) Under Section 262A(1) we are required to retain all records used to prepare income tax and PAYE returns for at least seven years after the return has been finalised.
- Sections 263 and 264 of the above Act give the Commissioner of Taxation access to all the required records including vouchers. We are required to provide assistance in locating the records or giving information.

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- The Sales Tax Assessment Act and Sales Tax Administration Act requires the maintenance and availability of records for up to five years when those records could affect assessment of sales tax.
- The Debits Tax Administration Act allows the Commissioner or appointed officer to have full and free access to records and must be given reasonable assistance and facilities.
- The Payroll Tax Act, requires us to keep records for five years.
- Section 77 of the Financial Institution Duty Act requires the bank to keep records for five years after completion of the transaction to which they relate.

In addition to these, the finance industry is (as all others are) subject to the Evidence Act which is different in each State and Territory.

A key issue in the legal requirements of the Evidence Acts is of course the use of microfilm. In most cases we can make use of microfilm copies in lieu of original documents if we are required to keep the documents more than three years and we do so by using approved cameras and in some cases make and also film an Affidavit.

The Victorian Evidence Act, Section 66B allows documents produced by a computer to be tendered in a court where direct oral evidence of a fact would be admissible, providing that the computer systems that are used are fully documented and used in the normal course of business.

How this will effect imaging is not known and we will not know until one of the banks use the new technologies and take a reproduced document to court and win the case. We note however, that the majority of large users of imaging in Australia are from the Government. If it is good enough for them within the constraints of the Evidence Acts, why is it not good enough for us?

Of course there is always the 'best evident rule' and the hope that those on the other side of the

misunderstanding do not have any original documentation as evidence.

Then, if this is not enough, all banks and finance institutions are subject to the 'Proceeds of Crime Act 1987'. Through this Act we are required to keep nearly everything for seven years and to keep those documents classed as 'Essential Customer Generated Financial Transaction Documents' in their original format (hardcopy - paper records) for seven years after the account has been closed or loan repaid.

Two other Acts have a major bearing on our operation and our use of new technologies. They are the Cheques and Payment Orders Act and the Cash Transaction Reports Act 1988.

I can see, just around the corner a 'Privacy Act' similar to that now effecting Commonwealth Government Departments.

In addition to these requirements to keep records to meet our legal obligation, the Records Management team have the task of reducing our exposure to risks and litigation.

We must therefore consider, as well as the legal requirement to keep records, the need to ensure that when records are no longer required they are destroyed and completely removed from the computer/image/recorded information system.

Conclusion

Records Managers should follow imaging closely as it represents a useful and powerful records management tool. However, it is only one of a number of technologies available to the banking and finance industry. In the final analysis, the application of technology must produce great efficiencies and be cost justified considering both the tangible and subjective advantages of implementation.

Most of my colleagues are very keen to move in this direction and would be glad to be at the leading edge of technology. We do not want to be on the bleeding edge, however. Whichever way we go, good records management practice will always be needed!

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DIARY DATES AROUND AUSTRALIA

DATE	TOPIC	LOCATION
March 7	THE LAW & STORAGE MEDIA	HYATT HOTEL - PERTH
March 12-13	BASICS OF RECORDS MANAGEMENT COURSE	HOBART
March 13	SENTENCING IN RELATION TO LAW	SYDNEY
March 20	FREEDOM OF INFORMATION SEMINAR	WANGANUI GARDENS YERONGA - BRISBANE
March 20	PRODUCTIVITY OPPORTUNITIES IN GOVERNMENT	CANBERRA NATIONAL CONVENTION CENTRE

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DATE	TOPIC	LOCATION
April 11-12	MANAGING RECORDS - STRATEGIES FOR RECORD MANAGERS & ARCHIVISTS IN THE NINETIES	WORLD TRADE CENTRE MELBOURNE
April 13	FEDERAL EXECUTIVE MEETING	MELBOURNE
April 17	PRESENTATION OF OPTICAL FILING SYSTEMS, COM, MAIL PROCESSING	HERMES PRECISA FORTITUDE VALLEY BRISBANE
April 17-18	2 DAY SEMINAR	HOLROYD CENTRE MERRYLANDS SYDNEY

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DATE	TOPIC	LOCATION
May 8	CONSERVATION & RECORDS MANAGEMENT	NEWCASTLE - NSW
May 22	LUNCHTIME PANEL DISCUSSION MOTIVATING YOUR STAFF	BELLEVUE HOTEL BRISBANE

THE ROLE OF BARCODING IN RECORDS MANAGEMENT

An Overview of the Capabilities and Limitations of these Technologies in Records Management

by: David Moldrich, Grad Dip Info Man, MRMA, AACS, AAIM

David is Senior Records Manager for BHP Co Ltd. Prior to this David has worked in senior records management positions at the Commonwealth Attorney General's Department, the Victorian Department of Management and Budget, Australia Post, and was Senior Consultant at Opticon Australia Pty Ltd until August 1990 when he joined BHP.

Introduction

With the advent of computerised records management systems, many of which are packages off the shelf, the use of bar code technology has now become extensive throughout the government and private sectors.

Definition

Bar Code. One definition that I often use is "Reading bar codes is a fast, accurate means of capturing data and in its simplest form, replaces the use of a keyboard for data entry". Another provides for the following...."A composition of varied width bars and spaces, and provides a means of expression for human-readable characters in a form decipherable by machines".

File Movements

The most time consuming function (for the least return) within traditional records management systems is that of file movements. In many organisations the location of files and/or documents is somewhat a hit and miss method of identification. The system depends on a number of variables. These are

i) The use of transit slips by action officers - almost non existent

ii) Files can be identified only to a branch level designation with some certainty (below this level the degree of certainty decreases rapidly)

iii) File movements are available only to the action officers (users) via enquiries to the file movements officer in the Records Management Office of the organisation

Distribution on Information

Another concern to organisations is the amount of time consumed with the distribution of files and information throughout the work environment.

In manual systems staff are usually discouraged from moving files by hand without notifying the relevant records management officer. Under a bar coded system officers are encouraged to move files themselves as the use of bar code technology will quickly identify the location of that information. Further, it is in a minority of cases where a piece of information is classified to the actual officer responsible. In most cases the information is directed to the head of a branch or section. Because locations and file numbers are machine readable (and therefore easily updatable) through the use of bar codes, this technology gives both the user of records and the records management officers the ability to direct information, or queries regarding information, to the actual officer responsible.

Bar Code

Why use Bar Codes?

Reading bar codes is a fast, accurate means of capturing data and in its simplest form, replaces the use of a keyboard for data entry. Scanning bar codes with a wand is at least twice as fast as data entry via a keyboard with a skilled operator and the use of other devices such as laser scanners is even faster as witnessed in supermarkets and other retail type outlets.

A comparison of accuracy rates for data collection between keyboard data entry, Optical

Character Recognition and the reading or scanning of bar codes provides some interesting results. Tests undertaken by Bell Telephone Laboratories in the USA have shown that a skilled keyboard operator will make one error out of every 208 to 230 characters keyed. This error rate increases as the operator skill level decreases.

Manufacturers of hand held OCR equipment claim fewer than one character substitution error out of 10,000 characters scanned. The substitution error rate is much higher for handwriting.

Bar codes, on the other hand, have a substitution error rate in the order of one in every 3.4 million characters scanned. This is dependent on the print quality of the labels and the type of bar code used.

Types of Bar Codes

What types of bar codes are there? Which ones are more suitable for records management applications? There are currently about 30 different types of bar code (or as they are otherwise called "symbologies") in use around the world. Some of these codes are application dependent and have been developed in response to particular system needs. For example, the UPC (Universal Product Code)/EAN (European Article Number)/WPC (World Product Code) was developed to handle point of sale transactions in supermarkets. It should be added that this code is now being used throughout the whole retail industry for other applications such as distribution of goods, stocktake, warehousing and storage, etc.

Code 39 and its Records Management Application

Code 39 or Code 3 of 9 is the most popular for records management applications and is the commercially accepted standard. In Victoria alone there are some 30 sites that have used Code 39 for various records management functions.

There are a number of reasons why Code 39 is preferred over most others. Firstly, Code 39

has a large character set that is alphanumeric. In other words it can cater for the numeric set 0-9 and all alphas a-z. This is a very powerful tool in records management in that Code 39 can cope with all existing and future file numbering systems as well as plain English text such as the names of officers or locations.

Secondly, this Code is self-checking. In most records management applications the fact that the bar code equipment would make a substitution error once in every 3.4 million characters would not be a problem when consideration is given to how much human error is in the system at the moment. If the substitution error rate is unacceptable than a further check digit can be added to the bar code message using modulus 43.

Any single alpha or numeric character represented in Code 39 always has a constant width. The character is made up of nine elements, three of which are wide and the remaining six narrow. Also of the nine elements, five are always bars or black lines whilst the remaining four are spaces or white lines. Code 39 also has a full "ASCII" capability and is therefore able tor represent all 128 characters of the ASCII character set.

Code 39 also has the ability to cope with variable lengths of encoded information and is only limited by the physical constraints of the reader equipment used and the steadiness of the hand of the operator as that person tries to read the bar code. The aspect of variable length is especially important in records management as in many cases we are trying to read more than one field of information during the total data capture exercise. For example, during file audits we need to capture both the file number and its location. This would not be able to be accomplished if we were constrained by a bar code that could only accept for example, 5 digits at a time.

Code 39 also has high data security. As discussed previously discussed, Code 39 has strong self-checking properties and the chances of a misinterpretation of a symbol is negligible, therefore giving the operator an excellent opportunity for an ideal first read rate. For example, if the operator of a bar code reader had

to scan a code more than once for whatever reason and the code was four characters or less it would be quicker for a skilled person to key the information in via a keyboard, therefore a code with high data security is required. Code 39 has this ability.

Last of all Code 39 has a simple structure.

What are the Advantages of Bar Code for Records Management?

The main reasons for the use of bar code technology in records management applications is that it will deliver substantial productivity gains and/or staff savings through the use of equipment and codes that cost relatively little in comparison to most system implementation projects.

Fast Changes in Volatile Information

Bar codes and the associated technology have the ability to handle fast changes in volatile information. In records management there are two types of information data bases or indices:

i)   volatile information - that information that can change on a regular basis. For example, file movements register, resubmit or bring up register, officer locations.
ii) static information - that information that rarely changes. For example, schedule of classification, subject index.

Records management applications are ideally suited to handling the changes in volatile information and release staff from these boring and mundane tasks into more productive and challenging records management functions. For example, the Department of Management and Budget used to have one officer responsible for the function of file movements. This officer was fully occupied with making changes to the file movement register, removing and replacing files to and from the shelves - in all some 400 file movements per day were recorded. After the introduction of bar code technology this function now utilises only 20% of one person day. This officer has now been freed from the task of file movements for 80% of his work day and is being trained in the function of classification.

Easy Identification of Users

One problem that is often a nightmare for records managers is keeping up with staff changes throughout a building. In records management, bar code technology is especially useful for the easy identification of users. This is accomplished by remembering that as records managers we should be more interested in the physical location of a file rather than the person at that location.

Once we have established this fact it is relatively easy to allocate a bar code to the desk or function that is currently occupied by any one records management user. In other words, we as records managers are not as concerned about who is currently utilising the file but rather at what desk or location the file is currently residing. This in turn will also, hopefully, give us the user's name.

File Audits

An obvious use for bar code technology in records management is to enable the records management staff to successfully carry out file audits. There is no function in records management that is more time consuming and often unproductive. More often the audit is resented by many staff in an organisation and is seen as being disruptive, expensive, and a complete waste of time.

File audits should be completed on a regular basis so as to confirm the file movement register against the file location. By using bar code technology this function can be completed with relative easy and little cost. At DMB a file audit of the entire Department is completed every two weeks. The audit takes approximately five hours and is conducted in all branches of the department except the Central Registry itself and normally takes into account some 6,000 files that are out of the registry at any one time.

Lost Files

The use of bar codes has also made the issue of lost files less of a problem as records management staff are able to rely on the bar code equipment to identify and subsequently locate lost files as part of the regular file audit. If there

is a situation where a file is required urgently the bar code readers can be programmed to alert the operator when the file is located. In other words there is little human effort required in looking for a lost file.

Security

At the Department of Management and Budget and at Australia Post one feature of the bar code file audit that stood out was the security aspect of records management. As a Records Manager, I was constantly appalled at the way users of records would pass confidential and restricted information to other users that were not cleared or entitled to access at a classified level. The use of bar code technology in conjunction with most records management software packages can quickly and efficiently identify any breaches that have taken place by comparing the access privilege of a user with the access privilege requirement for the file.

Better Use of Human Resources

One area of records management that always suffers during an economic climate of resource cutbacks is that of quality control. By allocating the correct tools of trade to the operational aspects of records management (for example, file movements and distribution), human resources will be freed up to cope with the growing problems of archival action, file examination, etc. In certain instances, direct staff savings may be achieved. This is more likely in the larger departments where massive resources are required to manage, store, locate and retrieve information.

Cost Benefit

When implementing a computerised records management system the cost can often be high especially in the areas of conversion, hardware and software. These costs will obviously vary according to the size of the organisation and the number of records that will be entered onto the system.

The cost of bar code equipment and related incidentals is normally about 10% of the all up cost. However, when a cost benefit analysis is applied to the total project, the use of bar code technology can often justify in excess of 30% of the entire project. These figures were verified in both the Department of Management and Budget and Australia Post situations.

Two Bar Code Case Studies

Department of Management and Budget

The Department currently has approximately 70,000 files and 120,000 documents registered onto the computerised records management system. A bar code label was placed on all files registered in the system, select documents and all desks in the Department. With the use of the records management software, which includes a text retrieval component, any officer of the Department, via a VDU has the ability to identify and subsequently locate any article of information throughout the Department. This, of course, is dependent on the officer's access level.

The Records Management Unit of the Department currently utilises one portable bar code reader, five online readers, six digital reader wands and one bar code printer. This equipment adequately services the Department's information location needs.

Australia Post

The Australia Post sites (there are seven in total - six State Head Offices and one National Headquarters) are similar in configuration to DMB, although much larger. The organisation (at implementation stage) had approximately 500,000 files registered on the computerised records management system (the conversion of prior implementation documents was not considered viable nor could it be cost justified). New files registered on the records management system nationally approximates 38,000 per annum.

A bar code was placed on all files registered in the system, select documents and most desks (in certain instances areas or locations) throughout the organisation. As with DMB, by using a records management software package, which includes a text retrieval component, any officer

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(via a VDU) has the ability to identify and subsequently locate any article of information at any Australia Post site throughout Australia.

At the stage of implementation, the Records Management Offices of Australia Post used 15 portable bar code readers, 30 online readers, 34 digital reader wands, 1 laser scanner, 7 bar code printers. This equipment adequately services the organisation's information location needs.

Lessons Learned

The major lessons to be learned from the Australia Post and the Department of Management and Budget projects are:

* Early commitment to the technology is required by management.
* Be careful not to underestimate the potential use of the technology. (The same equipment can be used for other projects. e.g. Asset Management, Library, Plant and Equipment, Time and Attendance)
* Implementation of bar code technology increases the cost justification of the records management system.
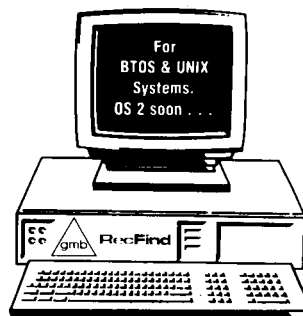
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CONFERENCE
INFORMATION SYSTEMS - THE RECORDS MANAGEMENT PERSPECTIVE

18 - 20 September 1991
Reading University, UK

The Records Management Society of Great Britain is staging an International Conference and anyone professionally involved in the control of information - whatever the level of expertise - should be there.

Delegates are expected from Australia, North America and Canada, as well as Europe. Multi-level tracks will cover: **Basic Skills Training; Professional Development; Office Automation** and the **European Dimension** (with all the implications of 1992).

Keynote speakers include **DR DAVID BEST**, partner with Touche Ross Management Consultants, and specialist in information and imaging management opportunities; and **CARL NEWTON**, consultant, and internationally known writer and speaker on strategic information management.

There will also be a wide range of visits to places of professional interest including **Burmah Oil plc Archives and Records Centre, Eton College Library** and the **BBC Written Archives Centre.** There will be a small but comprehensive **exhibition** of the latest services and equipment about which records managers need to know. There will be opportunities for "hands on" experience, and for advice from the experts on your Company's particular needs. No conference is complete without the opportunity to socialise. There will be a **drinks reception** and **banquet** as well as other meals in the University at which delegates can exchange news and share problems.

This Conference, which is being held in association with the International Records Management Council, takes place from **18th to 20th September 1991, at Whiteknights Parks, University of Reading, England, UK.**

For further details (including early booking discounts) contact Sally Templer at the Conference Office, Templer Associates, 25 Chiswick Lane, London W4 2LR England, UK

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MANAGING OBSOLESCENCE IN TECHNOLOGY

by: Roger Worthington

Roger's career in the computer industry stretches back to 1963. He has held positions as Engineer, Operator, Programmer, Analyst, Project Manager, State Manager, and is now Chairman and Managing Director of QCOM, which he joined in 1969. Roger and QCOM have been involved in Records Management through the text retrieval system "The Corporate Retriever" and a Records Management System developed in conjunction with the Brisbane City Council, known as RMS-11. Roger is foundation secretary of AITEX (Association of Information Technology Exporters of Queensland) and finalist in the 1987 Business Executive of the year.

This is an edited version of Roger's presentation to the 1990 RMAA National Convention in Brisbane.

Introduction

I am the Managing Director of QCOM, a Queensland Company which has developed a number of products around its Text Retrieval System "The Corporate Retriever" (TCR). They are RMS-II a Records Management System and Just Imagine, an Image Retrieval System. The Software Products Division has sold and installed 12 major sites of RMS-II in Australia and about 1500 sites of TCR in 11 countries. QCOM employs 75 staff most of whom are attached to our Professional Services Division which performs large scale contract development. I have been in the Computer Industry for 27 years and the company has operated in Queensland since 1973. I've seen an alarming amount of obsolescence over those years.

Definition Of Subject

Think about when you buy that new car, video, TV, fridge, computer or software package to replace the old one. What triggers us to believe we need a new one?
- Is it that the old one has broken down and cannot be repaired?
- Is it that the old one is dirty and scratched and cannot be restored?
- Is it that the cost of maintenance is too high?

- Is it that our needs have changed and the old one cannot be adapted to satisfy our new needs?
- Is it that we are sick and tired of seeing the same old reliable thing and we feel that we would like a new one?

These are questions we ask ourselves often and the answers often are not logical gems, they are, more often than not, a following of the heart.

What Is Obsolescence?

The obsolescence I want to talk about is "How to avoid waste by making educated decisions" and certainly not just "Not the latest". I believe that not being the latest is not of great importance on its own.

It is often said that the life cycle of software is very short.

QCOM's text retrieval system was initially designed in 1981 and it has not reached its peak of sales yet. RMS-II sold nothing between 1979 and 1985 except to the BCC, its co-owners. In 1987 we sold 2, in 1988 we sold 4, in 1989 we sold 5. The product is 11 years old. We have updated it but fundamentally it is the same product. It just shows the foresight of its designers from the BCC and QCOM.

Everything can and will eventually need to be thrown away and replaced - become obsolete. The real challenge is to minimise its occurrence.

I will talk about the computer industry although the word "technology" is very much broader than that, as it includes all science and industry. Managing, I interpret as - Living with it, directing it. Let's talk about "Living with Computers without wasting too much of someone else's money".

The Computer Industry

In computer terms obsolescence only occurs when a device fails and it is then too expensive to repair it or its on-going maintenance costs are greater than the cost of replacement with a similar item including its maintenance.

Let's look at the history of the computer industry. Someone in 1964 decided that there had been a number of generations of computer equipment. This has been one of the most useless decisions ever made as almost everybody now claims that their new computer is the N+1th Generation where n is the generation of the computer owned by the person you are talking to. However, there have been a number of landmarks in the history of computers.

- Generation Zero - from 1949 Experimental
- Generation One - from 1951 First Commercial
- Generation Two - from 1958 Transistors
- Generation Three - from 1964 Integrated Circuits
- Generation Four - from 1975 Microprocessors
- Generation Five - from 1990 Parallel, Object Oriented

We certainly cannot wait for the next release because it is better or may be cheaper. If you can justify the cost today then that is all that matters. The cost/benefit analysis is what you must perform and there is no slot in that for the rate of change of technology.

Keeping Up With Change

You do not want to buy products which are inflexible because our requirements do and will change somewhat, even if we are careful. Therefore we must try to keep up to date. We must also be careful not to spend so much time keeping up to date that we do not do anything else. Here are a few ways of keeping up to date

- Speed read - get a book on the subject
- Headline - just read the headline and first paragraph to determine if its worth reading in full
- Precis - buy a periodical that summarises everything
- Tender - get the experts to tell you all about it

The latest buzz word in our industry is Open Systems. Open Systems rely on a defined set of relationships, established through standard interfaces, that enable computers, sub-systems, and software products made by different vendors to operate together.

Computer Hardware And Operating Systems

The story so far.

The industry has developed a number of hardware processor chips to which have been ported a single operating system. For the first time we can buy from IBM, NCR, ICL, PRIME and the rest and they can all run our programs because they all have the same operating system.

No, it's not that simple. Each vendor, starting from the same point, is now diverging again by adding little blisters to the base product so that there is a differentiation between them. This is so that they can say, "Buy ours because the others haven't got this or that valuable feature".

On the hardware side, common disk and terminal interfaces have been defined so that it is possible to source hardware from vendors other than the one from which you bought the CPU.

This common operating system and common hardware interface is important to you so that you will not get tied in to a single vendor. So that, for instance, you do not have to pay that extortionate price for an add-on disk.

Is there an Open Systems standard yet? Open Systems sales in Australia are running at about 30% of all hardware sales. That is pretty good! In Europe that figure is only 20%. The standard is not well established but it is looking good.

Failure Of A Vendor

If your vendor ceases to manufacture and support the product you use you are in big trouble. Some of the following options may help you to minimise the effect of this but the best way to avoid this problem is to investigate the supplier thoroughly before ordering. Do not suppose that if they are an international company you will be safe. Marketing can create an impression that a company is bigger and stronger than it is. Many international firms are weaker than our local organisation. Numbers of sites alone also does not indicate a strong company. They may not be making money. Profit is very important to survival. Ask about Profit! Don't be fooled by investment in R & D eating up all the profit. They must make a profit to survive.

The Standard Operating System

In fact there are three operating systems. They are
- DOS for PC's; and
- Unix and Pick for multiuser computers

Remember the definition of open systems does not just mean UNIX!

The Proprietary Operating System

IBM has MVS, DEC has VMS, ICL has VME, HP has MPE and so on. Why don't they all just abandon these and all go to open systems?
1. Because there are more users out there using proprietary systems than open systems
2. Because it is difficult to differentiate if they do
3. Because they have a major financial commitment into their proprietary systems which has not yet been repaid

Why don't we all stop buying proprietary systems?
1. Many of us have a big commitment and therefore it would cost too much to change and a gradual change would also be difficult
2. Some of us do not believe that Unix or Pick provide as good an environment as proprietary operating systems
3. Some of us believe that we must make some commitment to our vendor before we can expect him to make much to us. They believe that if they stick with him he will take care of them. This is an extension of the "Can't get sacked for buying IBM" syndrome

The vendors do not know what is going to happen either but they know more than you. Most vendors are taking two bob each way. They have released UNIX or Pick or both on their equipment or have bought in a third party box and badge engineered it.

Portable Software

Instead of changing to Open Systems hardware and operating systems we could look for compilers and data bases which are available over a wide range of hardware platforms including Unix based equipment. In response to this need the following products have emerged

- Development
  Ingres, Oracle, DBQ and Powerhouse etc. These products allow us to design systems and write programs which will run on say a DEC VAX running VMS and can be transferred to an IBM Mainframe running MVS
- Tools
  TCR - The Corporate Solution, Lotus, Word Perfect. These application products have versions which have been specifically written for many hardware platforms. They should have the same "look and feel" on each platform.
- Application Systems
  RMS-II, FMIS, Accounting Systems

Again vendors may have a version for a number of different hardware platforms which will provide some flexibility for you. These types of software products are probably your best chance to avoid having to keep changing software or hardware vendors.

People

When we look at the cost of computing one of the most overlooked components is the cost of training people. It is not surprising then that the cost of re-training is similarly ignored often by people who are changing their hardware or software vendor.

If one takes the example of a Records Department which installs a perfectly good software package on its multiuser hardware platform but which is forced to re-evaluate the software because it has outgrown the hardware. If it can keep the same software package (it might be written in one of the portable languages or it may have a version specifically designed for the new target hardware) it can provide its users with an almost seamless switch-over from the old environment to the new. If however, it has to retrain 50 registry staff and 100 other casual users, convert the data and retest the system then there will be major problems and expense. This expense is not just the training period itself but the losses due to unfamiliarity with the new software product.

If you are a DP Department with 50 programmers, and you change your

development environment, the problem is even greater. There is no point in buying the latest language only to find you cannot get anyone who has any experience in it. After all these years Cobol is still the most widely used language.

Quality - "Getting It Right The First Time"

This may be a little away from the point of this paper but it is something of a hobby horse for me. The "she'll be right mate" attitude, which certainly is not exclusive to Australia, will have to be modified or else we will never be able to survive on the world market.

We all must decide that we will improve how we do our job regularly. We must install check lists to avoid stuff ups. We must appoint quality Officers to police our standards and most importantly we must try to build a quality attitude in all our staff. Near enough is not good enough on the international scene. If you buy a quality product or service there is every chance that you will avoid early obsolescence because the manufacturer or provider will have put extra thought into its design and functionality and will continue to improve it whilst still retaining compatibility with the original product.

Conclusions

Don't throw something out just because you are too familiar with it. It is not obsolete just because it is superseded.
Don't put off that decision to buy that new product for fear of reductions in price - do a cost benefit analysis. If you can justify it now, buy it now.
Don't always insist on buying the latest.
Learn techniques to assist you to keep up-to-date.
Open Systems are not the answer to all our problems but may limit the risk.
Your major commitment to a vendor will often be repaid.
Software portability is as important as hardware.
Don't forget the cost of re-training your staff.
Buy quality products and improve the quality of your work and those around you.

* * *

OCCUPATIONAL HEALTH IN THE OFFICE

by Dr Peter Sharman, MBBS, FACOM

Peter Sharman is the Senior Medical Officer at the Hydro Electric Commission, Tasmania where he has worked for four years. Before that he was Resident Medical Officer at the Hydro Electric Commission at Tullah. Peter has particular interest in the areas of vocational rehabilitation, health promotion in the workplace and issues associated with absenteeism.

In contrast to the mining and construction industries with relatively high injury rates, offices have generally been considered to be safe places to work.

The 'RSI epidemic" of the 1980's however indicated that health problems can be associated with office work irrespective of whether you believe that office work actually caused the problem or not.

Technological and other changes occurring in our society are having impact on the office environment with the potential to affect the health and well-being of office workers. These changes include increasing use of computer technology, re-organisation and restructuring of industry and changes in the role of women in the workforce.

In addition recognition of hazards previously unsuspected eg. health hazards from passive smoking, and the potential for illness to be transmitted through inadequately maintained air conditioning systems has emphasised that health issues in the workplace need to be considered by office managers.

One of the biggest issues likely to confront office managers is work stress. The introduction of new technology, changes to work practices and re-organisation within the workplace have the potential to cause problems for employees if they are not adequately planned

and managed. A strategy to deal with work stress is more than just providing stress management sessions for employees. Employee involvement in planning for change and considering how changes in work practices might affect employees are important considerations in preventing problems. Providing an opportunity for employees to express feelings about changes occurring in the work environment and providing professional help for troubled employees (counselling services) are also important aspects of dealing with this issue. Workplace Health Promotion Programmes (eg. fitness programmes, blood pressure screening, Quit smoking courses) not only have a role to play in improving employee physical health but can also contribute to stress reduction and improved productivity. Office managers need to be aware of health and safety issues in the workplace and know where to go to get specialised advice on issues where they find their own knowledge lacking.

* * *

PRIVACY VERSUS ACCESS TO RECORDS

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Menzies Theatrette

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USING THE APPROPRIATE PAPER: PERMANENT AND RECYCLED PAPER

by Barbara Reed, MA,Dip Arch Admin, ARMA, ALIAA

Barbara Reed is a Director of the Sydney based consulting firm Records Archives and Information Management Pty Ltd. Initially trained as an archivist, Barbara has over 10 years experience in the information industry and has been actively involved with records management in all its guises. She has operated as a consultant in the field of records and archives management for over five years.

This is the revised text of a paper given to the seminar on Recycled and Permanent Paper organised by the Australian Society of Archivists on 18.7.1990 in Sydney.

* * *

A part of the responsibility of the records manager is the identification of that small percentage of records which are required for permanent retention. As a rule of thumb only between 1 and 5% of all of the records created by any organisation will be determined to be permanent records. The remaining 95-99% can be destroyed after compliance with statutory and business requirements.

On the one hand our professional concern is for all aspects of the creation and maintenance of the records, including those designated to be permanent. On the other, we are heavily involved with the identification of those records which do not require long term preservation and determining when and how those records should be destroyed.

Both of these areas of activity bring the records management profession into close contact with the issues of recycled and permanent paper. We are vitally interested in the media used to create records, particularly the permanent records, and we are also involved in the destruction of great quantities of paper by the most efficient and cost effective methods.

Records Creation

The relatively small quantities of records which are required for permanent retention are kept for a variety of reasons:

- they document certain basic facts about individuals, such as birth and death registers, citizenship records
- they document issues of real property; such as rights to ownership through title deeds, land use and zoning records
- they document rights in and ownership of intellectual property such as patents, copyrights
- they provide succinct documentation of activities and decisions about the operations of organisations which are available as proof of actions and intentions at particular times
- they provide insights into the manner in which organisations (and therefore collectively, society) operate, regulate and control their actions and relationships

It is becoming increasingly imperative that we find a way of identifying these records at the point of creation. In this age of ever changing technology, many records which were once as safe as houses are very vulnerable. The medium on which they are created is often not suitable for their long term preservation. Unless the records are identified and protected at an early stage, there will be no record to preserve.

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It was estimated by an American study for the Micrographics Association in 1988 that over 90% of records still appear in paper format at some stage of their life. Paper, at present, remains the single most important medium for records managers to consider.

We need to ensure that the paper used to create records is commensurate with their end use. Permanently valuable paper records should be created on paper which is suitable for long term preservation. Material which is not of permanent value can be created on paper which meets a lesser standard. It is this issue of matching the end use of the record to the appropriate paper which involves records management at the front line of issues of permanent and recycled paper.

Brittle Book

The American library profession and increasingly the Australian library profession are performing a magnificent job in raising the awareness of the public and publishers of the implications of creating books on inferior paper stock. The Brittle Book Programme has been a very successful project, highlighting the fact that a very significant proportion of the contents of major libraries in the United States are in danger of disappearing through the pervasive actions of acid embrittling the paper. Costs of addressing this problem institution by institution are staggering. The programme is aimed at disseminating the responsibility for creating better quality books by the use of permanent paper in their production. The costs of preservation are therefore spread over a far greater base and the benefits of the use of permanent paper are felt by everyone.

If the case is valid for books, it is clear that the reasons for extending such action to permanent records are even more pressing. Books are generally produced in editions of at least several hundreds. Permanent records or archives are unique. The documents recording the title to property, or evidence of birth, death or marriage are not available as a matter of routine anywhere else than in the organisation which created them. The manuscripts of Henry Lawson, the convict indents, the sketch books of Fred Williams, the plans for the Sydney railway system, the location of the nuclear waste dumps - records

such as these are not reproduced as a matter of routine. If we loose the originals, there are no substitutes.

While the loss of records will happen from time to time through natural disaster, loss through neglect and inappropriate use of media is avoidable.

Use of Permanent Paper

One way of cheaply addressing the problem is to create permanent records on archival quality or permanent paper. Archivists have been advising this course of action for many years. Manufacturers of paper have used terminology differently than we would perhaps like, so that archival paper has meant in the past paper which is more alkaline than acidic or which has a pH of 7. Certainly this is a vast improvement on the quality of paper used for the most records creation, but there is still no defined standard for permanent paper, although work is continuing apace.

While use of permanent paper will not be as cheap as using ordinary paper, the costs are minimal when considered against the costs of performing expensive conservation work necessary to stabilise and repair records of permanent value at a later date. For example, we were recently asked for an opinion on whether a set of late nineteenth century records relating to the history of medicine should be kept. The records had been created on paper which by modern standards was quite good, but which had been subjected to terrible conditions including insect damage, flooding and resultant mildew and embrittlement and which required page by page attention. As an indication of the costs involved to fumigate, stabilise, deacidify and strengthen to allow use, a modest conservation quote was received at between $100 and $150 per page. There were about 150 volumes with about 200 pages per volume. The cost of this work would have been about 4.5 million dollars.

This detailed level of conservation treatment is labour intensive and time consuming. It is much cheaper and more sensible to prevent the deterioration of records and avoid such costs.

Recycled Paper

Appropriate paper to meet the end use of the record does not always mean using permanent paper.
Records Managers have enthusiastically taken up the call to use more recycled paper in their organisations. However there needs to be some thought given to what records are going to be created on such paper.

It is known that the recycling process shortens the lengths of the fibres which, if the concentration of short fibres is too great, severely weakens the strength of the paper. The elimination of the bleaching process is also part of the recommended procedures for recycled paper. To quote Dr. Lyall:

> "It cannot be categorically stated that unbleached paper is not permanent: permanence depends on whether harmful substances remain in the paper as a consequence of not bleaching".[1]

Similarly the effects on performance of residual ink in recycled paper which has not been de-inked is not known. The origins of the paper stock used to make each batch of recycled paper is not uniform and there are no standards for the production of recycled paper. Various recycled papers are being commercially produced with a mixture of recycled fibre to virgin fibre. Most freely available are the 80% recycled and the 100% recycled paper. While some recycled paper can claim to be alkaline buffered, it cannot be regarded as a permanent paper.

For these reasons recycled paper should not be used to create records for permanent value. However, there are the 95% of records created in an organisation which do not require permanent preservation which should be considered to gauge whether recycled paper is an appropriate medium.

Some of the factors which should be taken into consideration when determining whether or not to use recycled paper should be:

- whether the records are subject to lots of handling in which case a more durable paper should be used

- whether the recycled paper will cause problems with the operation of the office machines (the amount of dust created by the use of certain recycled papers has been cited as a cause of mechanical problems in certain equipment)
- whether the records need to be kept for more than 10 years. If so, use a more durable paper

However, for throw away applications such as office notepads, envelopes, phone messages, etc. - move to recycled paper now.

For further details on what applications are suitable for recycled paper, the material which has been produced by Australian Archives as part of the Department of Administrative Services Review into Recycled Paper, is strongly recommended. Much of this material is now available in the DAS publication "A Guide to the Use of Recycled Paper".[2]

What is needed is a thoughtful approach to the adoption of the use of recycled paper in organisations. It is not necessary to go to extremes and create everything on recycled paper. There is at least one organisation in Sydney which is creating its most important permanent records, the minutes of its Board, on recycled paper. Such use of recycled paper needs to be rethought. Why not create one official copy on permanent paper and then as many as required on recycled paper for circulation?

Public pressure for complete conversion to recycled paper is also mounting. To quote from Leo Schofield's column in the Sydney Morning Herald of July last year on exactly this subject:

> "Not all SMH readers are convinced by the arguments in favour of recycled paper. Robert Lawrie, the archivist of Parliament House in Sydney, points out that recycled paper is not of archival quality. Correspondence on recycled paper, he says, may be of historical importance and if companies use recycled paper a large part of our corporate and business history will be lost to us sooner than would otherwise be the case. I think our forests are more critical

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than business records. Besides, most company records are these days surely on micro chip."[3]

Well meaning, but essentially uninformed comment from the members of the public needs to be countered with workable alternatives which will ensure that the appropriate records will survive permanently and that the remainder, that vast majority of records, are created using the most appropriate recycled paper.

A responsible attitude is needed. The use of recycled paper should be used wherever it is appropriate, but we must not create more conservation nightmares down the track.

Destroying Records

Another area where records managers are involved with the recycling issue is in organising records for destruction.

All the major destruction of paper with which I have been involved with has been done through the recycling of paper. I claim no special status here. Almost every records programme has been recycling paper for years. Our repositories are geared for annual or biannual destructions. When we had obtained appropriate authority to destroy, we used to ring up APM at Botany and organise trucks, transport the paper to the plant and load it onto the conveyor belt and watch it disappear into the pulping process. We were even paid for the paper we delivered.

Things have changed over the past 18 months. Lots of people are interested in recycling their office waste. Now there is considerable difficulty in organising to have the annual load of records recycled. Paper manufacturers are oversupplied with paper of certain grades for recycling. The typical annual load from a records repository is a mixed bag. It will contain computer paper, ordinary office paper, photocopies, file covers made from manila, various types of binders used to keep records together. Until recently certain plastic binders were recycled as a matter of course, but it was optional. The resulting accumulation is known as mixed waste.

With the oversupply of paper for recycling, many repositories are using contracting companies to take their stock. It is becoming increasingly clear that this is not going to be a free service for much longer. More and more companies are charging those who wish to recycle their paper. Also it is becoming increasingly likely that it will be necessary to sort the records into grades of paper before collection. Similarly the ubiquitous fax paper is spread through the office files of the last five years. In some quarters it has been suggested that this paper too will need to be sorted out before collection.

Such sorting is a fine and efficient and achievable thing in a current office situation, where a choice of bins is available for on the spot sorting; but think of what is entailed for a repository to sort through their records due for destruction each year. In a small company this will be in the vicinity of 20 to 50 linear metres. For large Government departments this could be up to 4000 linear metres per year.

If it is necessary to go through all these records and manually sort the material before giving it to a contractor to recycle, the practical result will be that this method of destruction will be too expensive to be used routinely. This would be an ironic conclusion for a profession which has supported recycling for much longer than many would suppose.

*   *   *

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Records Management : "All Constructions Need A Foundation"
February 1990 Vol 6 No 1
The partnership between information management and records management is explored with an emphasis upon understanding the relationship using systems theory. By using this approach a broader understanding is gained of the controls required, both systematic and activity, to ensure that the life cycle concepts of records is recognised and integrated into how information is managed in an organisation.

Drury, L
The Australian Bankers' Association's Records Section.
February 1990 Vol 6 No 1
This article sets out the steps taken to establish a records management programme for the organisation.

Nunn, H
Records Management and the Public Record Office, Victoria.
February 1990 Vol 6 No 1
The early establishment of the RMAA in the late 1960's and early 1970's was paralleled by the establishment of the Public Record Office, Victoria. This article sets out details on the early organisation, those involved and activities undertaken especially education. The history of public records in Victoria is also documented tracing its progression through the years until the early 1980's.

Smith, H
Legal Obligations and Liabilities for Record Keepers.
February 1990 Vol 6 No 1
The law places certain obligations on records keepers to properly maintain records which in the eye of the law are identified as being of interest due to the information they contain. The author outlines some of the more important Acts which contain provisions relating to records keeping - especially in the private sector.

Taylor, P
Understanding Information Management in a New Age.
February 1990 Vol 6 No 1
The need to understand how information is used in an organisation is important especially if records management is to be recognised as an integral part of the processes. But there are blocks to this occurring. These constraints are a significant problem and need to be overcome in order for the true value of records to be recognised.

Upward, F
Records Resource Management
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Records Management has been linked to the concept of Information Resource Management but does this raise more questions than it answers. In this article the author raises issues of what type of resources are records and how are they best managed. There is an examination of the influences of knowledge systems and hyper records as well a glimpse of what the future is likely to hold for records management.

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Microforms as Archival Materials Abstract
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A commentary upon the use of microforms especially in archival work. The article includes defining what microforms are, legal implications, appraising microform records, and the application of the technology to archival situations.

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Freedom of Information - and its Impact on Record Keeping in NSW
May 1990 Vol 6 No 2
This paper explores the important link between good records management practices and the implementation of FOI, together with a brief overview of the impact that FOI has had on the community.

Emmerson, P
Computer Generated Records: Some Legal Aspects.
May 1990 Vol 6 No 2
The author reviews case and statutory laws of England in relation to the acceptability as evidence in courts of computer generated records. Issues such as accuracy, amending or deleting records are considered. The author highlights the dangers of assuming computer records are any more accurate than other forms of record storage and retrieval.

O'Connor, K
Information Privacy: Australian and International Trends.
May 1990 Vol 6 No 2
The advent of computers capable of processing huge amounts of data has been recognised as an issue in which the rights of individuals to privacy when dealing with governments have to be safeguarded. Legislation has been enacted in several overseas countries and in 1988 Australian legislation came into place. The author contrasts overseas experience against the expected problems to be encountered in Australia.

Pieters, Kerrie
Medical Records at the Royal Hobart Hospital
May 1990 Vol 6 No 2
A description on the range of functions performed by a Medical Records Section. Includes how files are created, their structure and contents. There is also a detailed review of management procedures.

Hoo, M
The Role of Document Management in Office Productivity
August 1990 Vol 6 No 3
The author expands upon past papers to re emphasize the important part that correspondence/ document control has in effectively managing records. The article outlines various types of methods that can be used and describes the key features and productivity benefits that can be achieved.

Linton, E
Keywords Indexing Systems
Successful Solutions Are Satisfying - A Case Study
August 1990 Vol 6 No 3
A case study of a records management problem at Diabetes Australia and how keyword indexing was used to retrieve registration forms.

Ridley K
Is Your Records Centre Successful?
August 1990 Vol 6 No 3
There is much more to records management than just managing records. This article outlines several contemporary management issues such as using performance indicators and critical success factors.

Sharpe, R
Records Managers "Have you heard the call?"
August 1990 Vol 6 No 3
An examination of the role of a Records Manager in an organisation. Using the author's experience and knowledge, various issues are addressed which the modern Records Manager has to contend with.

Sprague, R
Converging Technologies : The New Opportunities for Document Management
August 1990 Vol 6 No 3
The convergence of technologies used in the library, office and EDP areas has created a new area called Electronic Document Management. In this article its origins, characteristics and values are analysed and predictions made about likely future directions.

Toohey J
Freedom of Information
The proposed WA Freedom of Information Act.
August 1990 Vol 6 No 3
An outline of FOI legislation and the issues associated with its introduction in Western Australia.

Douglas, J
Corporate Information: A Management Focus.
November 1990 Vol 6 No 4
If an organisation wishes to survive in the turbulent environment currently existing then they have to learn better ways to manage their information resources. This paper argues that this can only be achieved by developing a planned approach to the issues. What is required is not a list of components and expecting this to work but to be customer orientated and to develop a management perspective.

Morrow, J
Information Technology - It's Impact on Management
November 1990 Vol 6 No 4
There can be no doubt that technology has had a major impact on records management questioning many of the fundamental principles.
This article examines those impacts and provides a direction on future challenges.

Newton, S C (Carl)
Strategic Information Management, and Concept and Reality
November 1990 Vol 6 No 4
Successful systems design and implementation can only be achieved through a corporate view of the organisation, its disciplines and activities. A six stage method is proposed for achieving strategic information management.

Rosenthal, M
Taking The Plunge: Making Records Management A Profession.
November 1990 Vol 6 No 4
A critical view of the difficulties associated with establishing records management as a profession. The author focuses upon what the RMAA has to do in order to lead the process.

After you've filed it, how will you find it?