INFORMAA quarterly

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fficial journal of the records management association of australia



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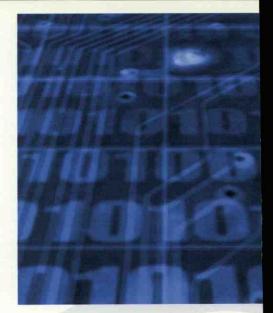
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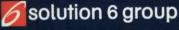
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INFORMAA Quarterly Deadlines 2002

Issue	Booking deadline	Material deadline	Publication
February Records Management Systems	20 December	18 January	7 February
May Consultants	5 April	12 April	7 May
August Exhibitions	5 July	12 July	7 August
November Imaging & Training	4 October	11 October	7 November

ederal President's lessage



president's message

1002 I would like to encourage all members to become active and get involved in implementing the International Standard on Records Management -15489. It has been a long time in the making, and I proud to say that Australia played a big part in pulling ogether. If you have not caught up with the news, 15489 was officially launched at the ARMA conference Aontreal on 3 October 2001, followed by an Australian ach in Melbourne two weeks later.

as now been adopted as the new Australian Standard will replace AS 4390. ISO 15489-1 provides guidance managing records of originating organisations, public private, for internal and external clients. All the nents outlined are recommended to ensure that quate records are created, captured and managed. cedures that help to ensure the management of records ording to the principles and elements outlined in ISO i89-1 are provided in ISO/TR 15489-2 (Guidelines). e Standard is easy to follow and makes it simple for ryone to implement good recordkeeping practices. It is ected that the Standard will be available from Standards stralia soon for under \$100. I would encourage every anisation to buy a copy and put it into practice.

equired, workshops can be organised by the RMAA both State and Regional level to assist organisations to plement the standard.

is February, the Board will be meeting to put together B-year management plan and all Branches have been ed for input. As you are aware, a number of w initiatives have been put into place over the past years. As stated in my last report, future priorities l include the development of a continuous professional velopment program; a mentoring scheme; further velopment of our website; improvement of e-business pabilities; a review of the listserv; and a review of the ucture of the Board. The Federal Executive recently undertook a review of the National Office and a number of changes were implemented. It was decided that the RMAA now requires two (2) full time staff to meet the needs of the Members and Branches. Wendy Daw is the new Office Supervisor who is responsible for membership, the product directory, day to day running of the office and finance. Maria Mason assists Wendy but her main role is finance and GST, but both staff are available to answer most inquiries or will advise whom to contact.

Kate Walker, as the Executive Secretary, has overall responsibility for the office, including expenditure, duties and responsibilities of the staff. The office is staffed from 9am-5pm, 5 days per week. Members are encouraged to ring for inquiries or to make changes to their membership details on our free call number 1800 242 611. If you feel that you are not satisfied with the service you are getting please feel free to contact Kate or any member of the Board.

A National Archives and Records Management Week has been set aside for 27-31 May 2002. This is commonly known as ARM Week. I would encourage all members to get involved in State activities and also to arrange activities at your own workplace. This is a great opportunity to further raise the profile of records management. Please contact your Branch President if you would like to be involved with this activity or watch the RMAA website for more details.

As a records manager, are you a thermometer or a thermostat? A thermometer reacts to the environment, while the thermostat controls the environment.

In 2002 I would encourage all members to learn to control his or her own environment and excel beyond all expectations.

Chris Fripp Federal President

Editorial



The records management world is still celebrating after the launch of the International Standard on Records Management, ISO 15489, in October 2001 at the ARMA Convention held at the Palais des Congrés de Montréal, Canada. Indeed, everyone involved should be treated to a resounding pat on the back!

To reflect the importance of this development, this issue is primarily dedicated to the new standard. We feature two articles on the topic from members of the Australian delegation on the authoring sub-committee, ISO TC 46/SC 11.

The first article dedicated to this theme, by Kate Cumming, compares the Australian Standard on Records Management, AS 4390, with its international counterpart. It is a valuable insight, which demonstrates just how large a contribution the Aussies made to this international codification of records management practices. The quick reference table will also assist those of you who need to quickly and easily update your standards and policies to reflect these new developments.

The second article, by Mike Steemson, chronicles the history of the standard's development process. It leads us through the terminology battles, the drafts, the major decisions, the compromises, the defining and refining that led to this revolutionary initiative. The other major article in this issue is Part 1 of a 1 paper delivered by Mike Steemson at a conference Netherlands Government managers. It examines some or e-Government programs around the world and what we learn from these experiences. Part 2 will be published in May issue of Informaa *Quarterly*.

We also feature a short human resources article f Jody Urquhart on the fine art of acknowledg good performance.

Janet Knight ARMA and Geoff Smith ARMA National Editors

Note: The marvels of modern technology, especially w you transfer documents across platforms. Please note tha Glenn Sanders' article in the last issue (Metadata with tears, Informaa *Quarterly* 17(4), Nov 2001), the endu references have disappeared from the body text. T original positions were:

Endnote Placement

- 1 Para 3, after usability
- 2 Para 4, after failure
- 3 Para 4, after archiving
- 4 Para 9, after time
- 5 Para 9, after information
- 6 Para 10, after years
- 7 Para 10, after systems
- 8 Para 14, after available

Caught in the Act: How to acknowledge people without turning them off

y U**rquhart,** fessional Writer, ividual Development Organisation

v Urquhart is the author of the k, 'All Work and No Say'. She has lished work in over 45 magazines trade journals and regularly speaks neetings and conventions on how build a passionate and committed kplace. Jody works for the ividual Development Organisation, ch specialises in human resource nagement and has been operating over 32 years.

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ephone: 1-877-750-1900 or nail: jody@idoinspire.com

ostract

this short article, Jody explores the ects of employee acknowledgement emes, which don't always have the sitive results one might expect. Jody es tips on how to create a culture of preciation to encourage staff morale d improved performance while nieving corporate objectives. 'This project was my baby for over a year. After all the hours I invested, management had the nerve to pat me on the back and give me a cheap gold pen. How patronising! I have news for them - I didn't do all that hard work for empty praise or a cheap prize. I did it because I'm the best person for the job. I wanted to see it happen and it did. This makes me feel like my accomplishments are ordinary. I didn't just fix the fax machine or something.'

Everybody likes to be acknowledged and appreciated for their efforts, or do they? Most companies have a formal way of acknowledging employees with such things as annual award banquets, top sales awards and certificates. There are a couple of major pitfalls to these programs:

- The reward is handed down from management and reinforces imbalances in power
- It can be patronising to receive a small award for a large accomplishment
- The accomplishment is often a team effort. It fosters resentment when just one person gets the reward
- It creates competition
- The most common flaw of award programs is that they often reward people for doing work they were supposed to do anyway.

The best form of acknowledgment is grounded in the idea that people work because they are committed and want to work. This assumes people work for reasons other than a pay cheque at the end of the week or an award at the end of a project. Many people do work for these external reasons but sometimes this is because the workplace encourages them to. Work and accomplishment is natural and should be treated as such. As Alfie Kohn observes in Punish by Reward, 'When responsible action, the natural love of learning, and the desire to do good work are already part of who we are, then the tacit assumption to the contrary can be fairly described as dehumanising.'

A Culture of Appreciation

How do you acknowledge others? To answer this, consider a company with an attitude of appreciation that is a routine part of every day. Everyone is continually appreciating everyone else. You don't have to be a manager to acknowledge someone else. Employees are aware of the specific projects or roles their colleagues are involved in and what their strengths are, and are on the lookout to catch people doing well. This culture assumes people are out to do their best and regularly notices them doing it. Sincere and genuine appreciation is forthcoming. Employees are at their best because their standards of excellence are their own.

australian articles

Keys to Better Performance

How do you create this kind of a culture of appreciation?

- Avoid awards that set people apart from each other, such as programs for the top sales person. Only one person can win this award, so only few will try. It also separates winners from losers. Instead have employees aim at beating their own sales from the previous month.
- Let employees set their own goals, help them understand how it helps the team and company, and acknowledge their contribution.
- Encourage employees to acknowledge others daily. Set up an informal network, like a newsletter or bulletin board where people can brag about their colleagues.

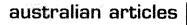
- Give employees the opportunity during meetings to talk about what they accomplished that week. In other words, let them brag about themselves.
- Recognise people for their strengths on more than specific projects or achievements. How does each individual's strength contribute to the team as a whole?
- Make every employee aware of others' strengths and give them a chance to learn from one another.
- Continually recognise the achievements of the group as a whole. Savour the feeling of achievement.
- Reinforce the value of the work itself. How employees function contributes to the community and their customers.
- Celebrate the vision of where the company is going and how the group, made up of the individuals in it, is helping get there.

 Design incentives to aw. departments as a whole, wh everyone is awarded for the grou accomplishments.

Bottom Line

Companies with an attitude appreciation are proud of achievements of all employees departments. They are aware of strengths of each individual helping realise the corporate vi Communicating this vision is strong point. Acknowledging pe this way can dramatically change way people interact with each of and with customers.





Two Peas in a Pod:

Comparison of ISO 15489 and AS 4390



te Cumming, te Records NSW

e Cumming, State Records NSW, an work with the National Archives of tralia (NAA) in 1995 after completing Honours degree in Australian History he University of Sydney. During her e with the NAA she worked in many rational areas in both the Canberra Sydney offices. In June 1998 Kate ame the Australian Postgraduate ard holder for the Monash University recordkeeping Metadata Research ject. Since May 1999, she has n a member of the Government ordkeeping section of State Records W. Kate is the Australian Society of chivists representative on Standards stralia's IT/21 records management nmittee and is also a member of the ernational Standards Organization's C46/SC11 records management nmittee, which drafted ISO 15489.

bstract

D 15489 is the new International ndard governing records management ictices. ISO 15489 has now replaced the stralian Standard AS 4390-1996: Records anagement as the prime Australian cords Management Standard. This icle briefly describes ISO 15489, hlights its significant relationship with 4390 and lists some of the differences at exist between the Standards.

Overview of AS 4390

AS 4390 had, and continues to have, a significant impact on the Australian business environment. Possibly its greatest influence is in demonstrating the importance of recordkeeping to organisational efficiencies and effectiveness. It is also significant for emphasising the role records management plays in the strategic directions of an organisation by indicating the close relationships between recordkeeping and accountability, risk management, information management and quality management.

Key components of AS 4390

Features of AS 4390 that helped to achieve these outcomes were its:

- Definition of a record as evidence of business transactions. The notion of transactionality and evidence are a focus of the standard and are used within it as a key means to differentiate records from other forms of organisational information and to show the intrinsic association between business and recordkeeping.
- Codification of continuum-based thinking to ensure appropriate management of records through time.
- Coverage of electronic records which, in 1996, was a significant achievement.
- Codification of the methodology for Designing and Implementing Recordkeeping Systems (DIRKS).
- Focus on the importance of record creation and the need to build triggers for creation into business processes and systems.

- Extension of the definition of appraisal to include the identification of which records to create and capture, as well as how long they need to be kept. Basing appraisal on business activity is also a key requirement of the standard.
- Recommendation of multiple uses of business activity based classification schemes, to implement language controls, facilitate disposal activities, assist with storage requirements and assist with the implementation of access controls.
- Scalability, which means the document, is applicable in both the public and private sectors, in a major department or small office.

All these benefits are explained in more detail in David Roberts' paper, 'The New Australian Standard on records management', 1996, available via the State Records Web site at <u>http://www.records.nsw.gov.au/publics</u> <u>ector/rk/sacramento/sacra 1.htm</u> (as at 5 December 2001)

ISO 15489

ISO 15489 carries through all these main components of AS 4390, but internationalises the concepts and brings them up-to-date. The standard thereby codifies Australian best practice but is also progressive in its recommendations.

ISO 15489 Part 1: General provides a high level of framework for recordkeeping and specifically addresses the benefits of records management, regulatory considerations affecting its operation and the importance of

australian articles

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assigning of responsibilities for recordkeeping. It also discusses high level records management requirements, the design of recordkeeping systems and actual processes involved in records management, such as record capture, retention, storage, access etc. It concludes with a discussion of records management audit operations and training requirements for all staff of an organisation.

ISO 15489 Part 2:

Guidelines provides practical and more detailed guidance about how to implement the framework outlined in Part 1. For example it provides specific details about the development of records management policy and responsibility statements and outlines the DIRKS process (known as DIRS within the standard) for developing recordkeeping systems. Part 2 also provides practical guidance about the development of records processes and controls and specifically addresses the development of key recordkeeping instruments such as thesauri, disposal authorities and security and access classification schemes. It then discusses the use of these tools to capture, register, classify, store, provide access to and otherwise manage records. Part 2 also provides specific guidance about the establishment of monitoring, auditing and training programs to promote and effectively implement records management within an organisation.

Differences between AS 4390 and ISO 15489

As the above indicates, there is great similarity between the standards. However, some differences exist and these are principally in the areas of terminology and structure.

Terminology

To promote international consistency, certain terms, which are commonly describe in Australia to used recordkeeping activity, could not be used in the international standard. For example, the word recordkeeping itself has a specific meaning in Europe and America that is inconsistent with the Australian definition. Because of these differing meanings the word could not be used in the standard and consequently ISO 15489 makes no reference to recordkeeping. As a result it looks quite different to AS 4390 as the DIRKS methodology, which is a key component of the international standard, is known as the DIRS methodology in the international environment etc. The term appraisal too has no internationally agreed upon definition, and so it also could not be used within the standard. There are significant terminological differences then between AS 4390 and ISO 15489, but it is important to realise that the concepts represented in the standards are the same. For example, Australian of appraisal based notions as represented currently in AS 4390 are

carried through in the new stand specifically in clause 9.1, 'Determi documents to be captured int records system' and 9.2, 'Determi how long to retain records', they are not referred to as appraisal. This r issues for the Australian environmer deal with in terms of the terminolo now regards as appropriate, but wh most important is that the concept have developed and used are still international benchmarks, even the a number of them now appear un different names.

Structure

As has been briefly mentioned ab the new international standard comprised of two parts. ISO 154 Part 1 is the standard proper and document known as ISO 15489: Pa is the guideline document develope support the high level requirem of the standard. This latter docum is informative only and can country-spec supplanted by guidance if required, but it cont much practical guidance and has b designed as a tool to assist with implementation of the concepts practices outlined in Part 1.

Within each part of the stand: information has been quite restructu and is not presented as it is in AS 43 A good example of the restructurin the translation of the 'full and accu records' requirements outlined in Pa of AS 4390, which were actuall

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fusing mixture of record, and system red requirements. ISO 15489: 1 separates these requirements clause 7, records management irements, detailing the principles of rds management programs and the facteristics of records and clause 8, gn and implementation of a ords system which discusses the gn of systems and the characteristics z should possess. Overall, this ructuring makes for a better flow of cepts and leads to a simplified and re succinct presentation.

w components of D 15489

addition to their significant ilarities, ISO 15489 contains a nber of new areas. These include:

O 15489: Part 1, Clause 4 which sts the 'Benefits of Records Aanagement'.

Fuidance about managing the rovision of access to records. This rea was not really covered by S 4390 and so is an important nclusion in the international tandard. The guidance relating to ccess includes recommendations bout the system design onsiderations needed to manage or provide access (Part 1: 8.3.6) and the development of access frameworks to facilitate or automate access (Part 1: 9.7). Part 2 covers the development of a security and access classification scheme (4.2.5) and describes the process of assigning access and securities (4.3.5) to records and personnel.

- An explicit emphasis on metadata, when it should be captured and its role in facilitating and automating records management practices.
- A greater incorporation of electronic recordkeeping requirements.
- A structured identification of records management processes and controls. For example, Part 2 identifies the instruments needed for a number of different records management operations which include a classification scheme based on business activities, a records disposition authority and a security and access classification scheme, and how these should be developed. It then goes on to explain the processes that use these instruments and how these instruments assist with records management activities. This again is part of the logical restructuring of the standards to enable a clear flow of concepts.

In terms of practical additions, the standard also contains:

- More linkages between their sections to show how their components relate and interrelate
- An index and extensive table of contents to facilitate access.

Conclusion

AS 4390 has played a very significant role in the development and codification of the records management discipline, both here and overseas. It has laid the foundation for ISO 15489 and its key concepts are still reflected in the new standard.

Appendix: Comparison of AS 4390 and ISO 15489

The following table compares at a broad level the requirements of the Australian Standard AS 4390-1996: Records Management with the International Standards Information and Documentation - Records Management ISO 15489: Part 1 - General and ISO 15489: Part 2 - Guidelines. This table demonstrates the compatibility between the standards.

-evino	18(9 15489: Pare 1	ISO 15489 Part 2
t 2: Responsibilities		
Responsibility	6 - Policy and responsibilities	 2 - Policies and responsibilities Introduction Records management policy statements Responsibilities Objectives of defining responsibilities and authorities Authorities and responsibilities within the organisation
Regulatory requirements	5 - Regulatory environment	No additional guidance
Policies, procedures and practices	6 - Policy and responsibilities	2 - Policies and responsibilities.

australian articles

AS 4390	150 15489 Part 1	1SO 15489: Part 2
8 - Training	11 - Training	6 - Training Introduction Training programme requirements Personnel to be trained Training for records management professionals General Methods of training Evaluation and review of training
Part 3: Strategies	and the second	
5 - Standards for general application	 5 - Regulatory environment 6 - Policy and responsibilities 7.1 - Principles of records management programmes 7.2 - Characteristics of a record 8 - Design and implementation of a records system 8.2 - Records systems characteristics 	2 - Policies and responsibilities3 - Strategies, design and implementation
6 - Implementation	 8.3 - Designing and implementing records systems - general 8.5 - Discontinuing records systems 11 - Training 	3 - Strategies, design and implementation 6 - Training
7 - Monitoring and compliance	11 - Monitoring and auditing	5 - Monitoring and auditing
 8 - Cases Decisions and recommendations Recordkeeping systems based on paper files Electronic recordkeeping systems Quality records Outsourced functions Media and formats for making records 	 Scope Design and implementation 8.3.3 - Physical storage medium and protection of records 8.3.4 - Distributed management 9.1 - Determining documents to be captured into a records system 9.6 - Storage and handling 	 2.3.2 - Authorities and responsibilities in the organization of a records system 4.3.7 - Storage 4.3.7.3 - Digital storage 4.3.9.4 - Transfer of custody or ownership of records
Part 4: Control		
5 - Responsibilities	6 - Policy and responsibilities	2 - Policy and responsibilities
6 - Registration	9.3 - Records capture 9.4 - Registration	4.3.3 - Registration

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(Kate)		
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Classification of business activities	 9.5 - Classification 9.5.1 - Classification of business systems 9.5.2 - Classification systems 9.5.3 - Vocabulary controls 9.5.4 - Indexing 9.5.5 - Allocation of numbers and codes 	 4.2.2 - Business activity classification 4.2.3 - Vocabulary 4.3.4 - Classification 4.3.5 - Access and security classification
Indexing	9.5.4 - Indexing	4.3.4.3 - Indexing
Tracking	9.8 - Tracking	4.3.8 - Use and tracking
- Monitoring and compliance	10 - Monitoring and auditing	5 - Monitoring and auditing
rt 5: Appraisal		
- Responsibility	6 - Policy and responsibilities	2 - Policies and responsibilities
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- Disposal	9.9 - Implementing disposition	 4.3.9 - Implementation of disposition 4.3.9.2 - Continuing retention 4.3.9.3 - Physical destruction 4.3.9.4 - Transfer of custody and ownership of records
- Monitoring	9.10 - Documenting records management processes 10 - Monitoring and auditing	4.3.6 - Identification of disposition status5 - Monitoring and auditing
urt 6 - Storage		
- Records storage concepts	9.6 - Storage and handling	4.3.7.1 - Record storage decisions
- Characteristics of a storage facility	9.6 - Storage and handling	4.3.7.2 - Facility considerations
- Characteristics of records	9.6 - Storage and handling	4.3.7.1 - Record storage decisions4.3.7.3 - Digital storage4.3.8 - Use and tracking
Preservation & protective storage	8.3.3 - Physical storage medium and protection	4.3.7.1 - Record storage decisions 4.3.7.3 - Digital storage
- Characteristics of services and processes	9.6 - Storage and handling	4.3.7.1 - Record storage decisions
- Choosing a storage option	9.6 - Storage and handling	4.3.7.1 - Record storage decisions 4.3.7.2 - Facility considerations
- Service contract	9.6 - Storage and handling	4.3.7.2 - Facility considerations

australian articles





Global Experiences:

What we can learn from other people: Part



Mike Steemson, Principal, The Caldeson Consultancy

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Abstract

In a paper delivered at a conference of Netherlands Government managers, Achter de schermen van de elektronische overheid ('Behind the curtains of electronic government'), held in the historic Ridderzaal castle in the Hague, November 2001, the author in examines e-Government programs world wide and, sometimes, wonders missing the why a few are recordkeeping point.

Part 1 of this article features in this issue. The remainder will be presented in the May issue of Informaa Quarterly 2002.

In the estimation of leading international management and technology consultants, Accenture, the Netherlands ranks seventh in the world for e-Government development.¹

Canada is first with the USA ranked only third, surprisingly, after Singapore. Judgement is based on the achieved levels of what can potentially be done. Also ahead of the Netherlands, but only just, are Norway, Australia and Finland. Britain is eighth with my new homeland, New Zealand, next.

Another survey, by the British Government Cabinet Office's so-called Office of the e-Envoy (OeE), puts the matter in a very different light. In its 2001 *International e-Government Benchmarking*² report, the OeE highlights Australia's aim to have all its appropriate Federal Government services delivered electronically via the Internet by the end of this year.

The e-Envoy notes approvingly that the Australian's National Office for the Information Economy (NOIE)³ reported earlier this year that 90% of Commonwealth agencies are on track to deliver services on time.

OeE records that the U.S.A. and Japan plan to have their services up and running by 2003. Canada aims at 2004. The British want to have all their government's services carried out electronically by 2005. The Office reported that more than 40% were already on-line and almost 75% would

be available at the end of 2 Germany is also trying for 2005 China hopes to get 80% of municipal government administr services up by then, too.

The OeE reports, with a straight the Irish plan to have mounted 'all the most complex of integrated ser by end of 2001.' I wonder what Irish regard as 'the most comp Only the Office of the Prime Mini the Taoiseach,⁴ which is in charge o program, knows.

That's not really fair. The Irish focussing hard on standards setting keeping. The Taoiseach's Office prepared the republic's Web publica guidelines covering presentat accessibility and metadata standards has put them on-line. Indeed, inter-agency Geographic Informa Systems (GIS) group has been establis and given the task of defining a stan approach across the public sector.

But, what of the Netherlands? Office of the e-Envoy reported in this year that the Netherlands' p were for 'at least 25% of public serv at both central and local level to delivered electronically by 2002.'

In Sweden and Spain, there were stil high level targets set yet, but wit proper, true blue British sense of play, the OeE insists, 'we have sought to rank or produce a lea table of countries' e-Governm developments. League tables are only unhelpful but are also hig ambiguous because Governments organised differently and it impossible to compare like with like

mparisons are odious

my late, lamented English ndmother would have said, more ntedly: 'Comparisons are odious!'

hetheless, it is difficult not to draw ain conclusions from the e-Envoy's s. The British, Canadians and tralians are doing e-Government well. s of others are trying hard. Some are making much of a fist of it, so far. And tems to contradict some of Accenture's gements. Confusing, isn't it?

e European Commission's Global iness Dialogue on Electronic Commerce up, thank goodness called GBDe for ort ⁵, on the other hand, agrees more h the Accenture profiles.

De was formed in 1998 after meeting of world business leaders. e meeting decided to build on successful experiences of existing dels of industry cooperation and focus on providing input on ulations and business self-regulatory les of conduct in consultation th governments and international ganisations.

BDe has undertaken its own survey e-Government projects worldwide. is pleased with Canada's efforts. e survey reports: 'This initiative... s updated Canadian legislation and licies, developed community ternet access sites and will help fund padband Internet access to rural and note communities.'

applauds the Australian's strategic iorities and highlights Singapore's ain policies, including what the rusting South East Asian republic ls 're-inventing Government in the gital economy.'

nd the Netherlands? GBDe reports: cording to the IDC/World Times formation Society Index, The etherlands is one of the most veloped countries in the world in terms of information society and is ranked among 'the information elite', alongside the United States, Singapore and the countries of Scandinavia.' ⁶

It seems that we can judge nations' e-Government efficacy many different ways. You pay your money and take your choice.

So, let's try it from that tack. How do nations shape up in money terms? In the European Community, the sums are huge. The British consultancy Kable Limited, ⁷ an independent authority on public service IT and telecommunications markets, calculates that Western Europe will spend a total \$EUR50 billion computerising their public services this year.

How much of this will be spent on e-government? GBDe estimates it at almost \$EUR17 billion in 2001, with Britain the biggest spender at \$4.3 billion (\$200 per capita of population) followed by Germany at almost \$3.7 billion (\$155 per capita) and France's \$2.8 billion (\$160 per capita). Sweden, the Netherlands and Denmark come next, each likely to spend around one billion Euros this year, GBDe estimates. At the bottom of the European list are Portugal and Greece spending \$56 million and \$42 million respectively. This compares with the estimated U.S. e-Government annual budget of \$US11.6 billion.

What have they got?

So, what is it that has guided the high-energy nations, given them direction and format, and the courage to spend such colossal sums on such intangible outcomes. A single word covers a large part it: Standards.

The GBDe founders called them 'codes of conduct'. That's precisely what they are codes by which to conduct a process or maintain a best practice, a common language for a virtual society. Standards give understanding. They provide information. They create level playing fields and reduce costly re-invention of process wheels. In our increasingly globalising communities, especially the ethereal world of computer networks, they provide a new, universal *lingua franca*. Multi-lingual Europeans know better than I of the value of that functionality.

At the start of any new information system like e-Government there are, primarily, two sets of standards to consider - information technology and information management. These are NOT synonymous. Far from it!

It is clear that most advanced nation's have grasped and understood the standards for the information technology. Fewer have yet absorbed the importance, the over riding importance I would suggest, and difficulties of managing the information.





In the information world it's called records management or recordkeeping.

Listen to the National Archives of Australia. Its view was made plain in its 1995 on-line publication *Managing Electronic Records - A Shared Responsibility*, in which it said:

'Unplanned and uncontrolled recordkeeping systems and accumulations of records are a danger to sound administration and cost the administration and ultimately the community.' ⁸

Sound advice coming from a serious source. In the six years since that was written, it has matured into an immutable truth. And it's worth reminding ourselves that the Australians were the first in the world to create a modern records management standard. They call it AS 4390 and published it in February 1996.



Super Standard ISO 15489

Since then, many of the world's leading information technology nations have created their own such 'codes of conduct'. Now these have largely been superseded by the world's first global records mmanagement standard, ISO 15489, the new Super Standard. It is a distillation of all the recordkeeping codes that have, or could have guided leading e-Government planners over the past few years.

What are those codes? They include the ISO 9000 series of quality standards and AS 4390. They are lead by ISO 15489 and an array important national and international records paradigms like the:

- British Public Record Office's e-Government Policy Framework ⁹ and Records Management Standards and Guidance ¹⁰
- German Federal Government's Information Network Berlin-Bonn '' (Informationsverbund Berlin Bonn, IVBB¹²)
- Dublin Core Metadata Initiative ¹³ and the Australian's *recordkeeping Metadata Standard for Commonwealth Agencies* ¹⁴
- Canadian Treasury Board Chief Information Officer's *Electronic Imaging Standards TBITS 34*¹⁵
- United States Defense Information Systems Agency's Design Criteria Standard for Electronic Records Management Software Applications' DoD 5015.2-STD ¹⁶ and
- European Commission's Interchange of Data between Administrations (IDA) initiative, the *Model Requirements for the Management of Electronic Records*, known as the MoReq project. ¹⁷

And there are many, many more.

What these products provide is guidance, of course. They give assurance, peace of mind, the certainty that what is planned

will be done at the best available leve expertise. Most significantly, applica of standards ensures that everyone we to the same targets and understands w the other fellows are doing.

What they have in common is planguage signposting for business processes, the processes that make almost all the needs of e-Governme

The world leaders in e-Government referring to these needs when they about metadata, records, access a longevity. They don't ignore technological standards that provide their systems' interoperability, secur and privacy, but they take them as re

No Australian doubts

In a speech to an IBM conference Seoul, Korea, a couple of months a the chief executive of the Austral National Office for the Informati Economy (NOIE), John Rimm left no doubt where his pressures One of the first priorities to achie his nation's ambitious 2001 target w he said:

'The facilitation of enablers su as authentication, metadata standar electronic publishing and recordkeepi guidelines, accessibility, privacy a security.'

It's not an easy answer, though. Rimmer told the conference:

'Progress by agencies in t implementation of these standards encouraging, but it is lagging behi the deadlines set by the Government

'Nevertheless, the standards ha clearly had the intended effe of accelerating progress acro Government Online. Australia appea to be unique in pushing this hard o minimum standards, and we will ne to keep them under review to ensu they remain relevant to actual agen operating environments.' ¹⁸

one that I've heard has said it fairer that. e-Government in Australia eeds or fails by standards.

British are in no doubt, either. ir e-Envoy's program is structured ily around a series of information dards and guidelines set out in U.K. Public Record Office's overnment Policy Framework for tronic Records Management. The nework says it boldly at the top of Executive Summary:

ctronic Records Management is key technology underpinning tronic government.'

e Australians say it louder, but no says it plainer than that.

e policy goes on to decree that 'newly eloped records management systems uld adopt the UK Government Metadata Framework (e-GMF) and the UK Government Metadata Standard (e-GMS)'.

The policy emphasises that 'export and import between records management systems will be much simplified by a common metadata structure and a common vocabulary - by using standard ways of categorising descriptive elements and standard terms for their description'.

It insists: 'In addition, common metadata standards on issues such as authentication - what information to keep with records of authenticated transactions, for example, in order to demonstrate continued authenticity over time - will improve reliability and accountability.' It also gives this stern warning: 'Up to the present time, new information systems development often generates electronic records that do not fall under any formal corporate management and control. Effective electronic records management to support information age government will require a formalisation of control over electronic records already existing in departments and agencies, as well as planning for those that will be generated by new service delivery and policymaking systems.'

And that means identifying and applying standards; making them work and making them stick.

Words for e-Govt planners

I could go on quoting from the PRO's policy framework forever. It has words for all e-Government planners to live by. However, I'll content myself with just one more piece of advice from London.

Introducing **IDOCS**, a secure web browser-based Internet/Intranet Document Control System Automated Notification View and Download/ **Full Text Searching** by E-mail of New or Upload Selected Capabilities **Revised Documents** Documents Full Audit Trail of Range of User/ Supports all Managements Reports Document Distribution **Document Formats IDOCS**, the business tool for fast and easy access to your documents from anywhere in the world ... FREE TRIAL AVAILABLE! DATA MAGIC PTY LTC IDOCSYSTEM.COM Ptv Ltd Triad Data Magic Pty Ltd http://www.idocsystem.com.au http://www.tdm.com.au Tel (03) 9866 6866 Contact TRIAD or IDOCSYSTEM.COM for details. Tel (03) 9696 4866

'Greater commonality between records management systems, including metadata standards, standard logical and physical formats, and compatible procedural control, will support interoperability and joint working between departments and agencies, and enable the managed sharing and exchange of records.'

"The longer term requirements of public records will require public sector organisations to plan for migration of records, as hardware and software platforms change, to ensure continued access and authenticity."

I could not have said it better myself.

Canada's e-Government project leaders have their Strategic Directions for Information Management and Information Technology. It's a program that took root in the Dominion back in 1998 within a broad strategy called 'Connecting Canadians'. A Government On-Line Project Office was set up within the Treasury Board Secretariat and headed by the President of the Treasury Board, Lucienne Robillard, the federal government Minister responsible for Infrastructure.

In April 1999, Canadian Ministers approved a Strategic Infrastructure Initiative, the first tenet of which is that it should be 'standards based'. They declared it was the 'hardware, software, applications and standards' that would provide secure access, authentication, authorisation, confidentiality, data integrity, non-repudiation, and brokering services.'

The Canadian Government has allocated \$CAN160 million in seed money to launch the project and Minister Robillard's team is working with 28 key Government departments and agencies¹⁹ towards the dream of becoming' the most connected country in the world', as they put it.

Inter-departmental collaboration

This collaboration is crucial to the success of the massive project. The Canadian Government Chief Information Officer, Linda Lizotte-MacPherson, makes that clear in her preamble to the Treasury Board's *Strategic Directions for Information Management and Information Technology* report. She says:

'Our success in delivering on the promise of these Strategic Directions will depend on how well we continue to work together. Technology and information are powerful enablers, but their potential can only be fully realised through collaboration. This is fostering a public sector service revolution across the country, a revolution that is bringing governments together to integrate and rationalise services.'

How to achieve this? Minister Robillard spoke to a global forum on *Fostering Democracy and Development through e-Government* in Naples earlier this year. She identified key elements to successful e-Government, beginning with leadership, access and what she called 'generating conditions and climate for change'.

The fourth element is, she said: '... matching citizen needs and interests by presenting and organising information and services in a way that is intuitive. We need to build step-by-step a critical mass of integrated services.'

She said: 'We have also organised the information around 35 subject and community interests.' ²⁰

Now, that's records management. Add this to the federal plans for what Canadians call their 'Common Look and Feel (CLF) standards²¹ to make them easier to navigate and accessible to persons with disabilities', due for full implementation by the end of next year, and you have an unbeatable team. United States Senator Joseph Lieberman's Committee on Governmental Affair, been working on the nation's prop 'e-Government Act of 2001', legislati

It will create the new post of Fee Chief Information Officer, to known as the CIO, whose du would include:

- 'Leading several councils or forur (e.g. interagency, cross-branc federal/state/local, and priva /academic/public sector), focuse on sharing best practices, settir standards, resolving IT concern designing process innovation, ar developing pilot projects',
- 'Establishing IT interoperabili standards and standards for categorising and electronical labelling electronic information, the enhance search capabilities'.

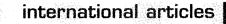
What Senator Lieberman's Commi is talking about here is... rece management. To achieve these ai the committee directs, the Fed officer will consult with governm agency Chief Information Officers a the country's National Institute Standards and Technology ²³ (NIST)

The first federal government effe FirstGov²⁴, has not been with critics. It opened last year promis 'easy, one-stop access to all on-line U Federal Government resources.'

FirstGov criticised

Media commentators have slated service for partiality to particu agencies and private sector partners a poor information security. Ot observers have questioned whet users found the early agency portals any real value.

FirstGov now boasts access to o 22,000 federal Websites, 31 million pa of information and what it describes 'new search functions for information forms, transactions, and services from 50 states and the District of Columbia



te Federal administration is certainly ting many more of its duck in a row, w. Senator Lieberman's committee is example and, in one of Bill Clinton's t acts before ending his volatile m of office, the President signed propriations legislation granting the S. National Archives and Records iministration ²⁵ (NARA) every last cent the 50 per cent budget increase asked for... raising the year's penditure to almost \$US317 million.

he Archivist of the United States, hn Carlin, was exhalant: 'We are ateful and truly excited to be able to ke major additional steps in carrying it our mission...', etc., etc. He added at it would greatly advance the dministration's major initiatives to prove records management in the ederal Government, meet special challenges posed by electronic records and expand public access to records. In fact, only two million dollars of the extra was ear marked for electronic records management but, well, \$300 million will certainly help, won't it!

It gets better. Since then, George W. Bush has approved a budget for 2002 that includes another \$US20 million. dollars increase just for electronic records management development. George W. also okayed a further six million dollars for the National Historical Publications and Records Commission, a separate public commission that looks after historic records and funds projects like the California University San Diego Supercomputer Centre's research on long term preservation of softwaredependent electronic records.

Part 2 of this article will feature in the May issue of Informaa Quarterly.

Footnotes

¹ Accenture's report Governments Closing Gap Between Political Rhetoric and eGovernment Reality. URL: <u>www.accenture.com/xd/xd.asp?it=enWeb&xd=</u> industries\government\gove_research.xml

² Office of the e-Envoy report International e-Government Benchmarking. URL: <u>www.e-envoy.go</u> <u>v.uk/publications/reports/benchmarkingV2/intro.htm</u>

³ National Office for the Information Economy (NOIE). URL: <u>www.noie.gov.au</u>

³ Irish Department of An Taoiseach (the Prime Minister). URL: <u>www.irlgov.ie/taoiseach</u>

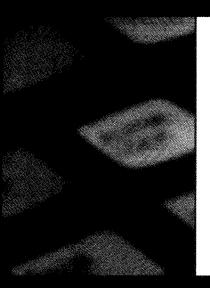
⁵ URL: <u>www.gbde.org/</u>

° See GBDe URL: <u>www.gbde.org/egovernment/data</u> <u>base/netherlands.html</u>

Kable Ltd. URL: <u>www.kablenet.com/</u>

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⁸ National Archives of Australia report *managing* electronic records - a shared responsibility. URL: <u>www.naa.gov.au/recordkeeping/er/manage_er/</u> contents.html

⁹ Public Record Office e-Government Policy framework. URL: <u>www.eenvoy.gov.uk/publications/</u> <u>frameworks /erm2/index.htm</u>

¹⁰ **PRO's** *Records Management Standards and Guidance.* URL: <u>www.pro.gov.uk/recordsmanagement/standards</u> /default.htm

¹¹Information Network Berlin-Bonn. URL: <u>www.caldeson.com/RIMOS/ivbb.html</u>

¹² Informationsverbund Berlin-Bonn. URL: <u>www.bund.de/ivbb/</u>

¹³Dublin Core Metadata Initiative. URL: <u>http://dublincore.org/</u> ¹⁴ National Archives of Australia recordkeeping Metadata Standard for Commonwealth Agencies. URL: <u>www.naa.gov.au/recordkeeping/control/rkms/</u> introduction.html

¹⁵ Treasury Board of Canada *Electronic Imaging Standards TBITS 34*. URL: <u>www.cio-dpi.gc.ca/its-</u> <u>nit/standards/tbits34/crit34 e.asp</u>

¹⁶ US Defense Information Systems Agency *DoD* 5015.2-STD RM Application Design Criteria Standard. URL: <u>http://jitc.fhu.disa.mil/recmgt/</u>

¹⁷ European Commission project Model Requirements for the Management of Electronic Records. URL: <u>www.ISPO.cec.be/ida</u>

¹⁸ John Rimmer speech Electronic Government in Australia's Information Economy. URL: <u>www.noie.gov.au/publications/speeches/Rimme</u> <u>r/Seoul_Sept01.htm</u> ¹⁹ Canadian Government On-line Pathfinder Pro URL: <u>www.gol-ged.gc.ca/pathfinder-expl/pathfi</u> <u>expl_e.asp</u>

²⁰ The Hon. Lucienne Robillard, President o Treasury Board, speaking to The Third Global Fo Fostering Democracy and Development The E-Government. URL: <u>www.tbs-sct.gc.ca/medi</u> dp/2001/0316_e.html

²¹ Canadian Common Look and (CLF) standards. URL: <u>www.cio-dpi.gc.ca</u> <u>upe/a e.asp</u>

²² U.S. Outline of E-Government Act of 2001. URL: <u>http://www.senate.gov/-gov_affairs/egov/</u>

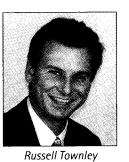
²³ National Institute of Standards and Techno URL: <u>www.nist.gov/</u>

24 FirstGov. URL: www.firstgov.gov/

²⁵NARA 2001 budget. URL: <u>www.nara.gov/nara/pressrelease/nr01-27.ht</u>



Stephen Wellington





Greg Townley

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ISO 15489 Set it to Music: You're gonna need it!

chael Steemson,

ncipal, The Caldeson Consultancy

e International Standards Organisation Management Standard cords 0 15489.1 and its *Guidelines*, D TR 15489.2 are complete and re published in October 2001. The k of writing the documents, in which author joined as a member of the stralian delegation to the ISO horing sub-committee TC46/SC11, s fraught with pressures that few of creators envisaged when they began rk at their first meeting in Athens in 98. The paper good-humouredly ails these tribulations and analyses finished publications, judging them ine standard for records managers'.

e International Standards Organisation's ng-awaited records management rk, ISO 15489, is complete and s launched at a special ceremony ring the ARMA International annual nference in at the Palais des Congrés Montréal, Canada, in October 2001.

his epic event, attended by the good d the great of world recordkeeping d telecast simultaneously to a Public cords Office *Records Management Government* conference in Britain, a fanfare for a fascinating document at is already so successful that it currently being prepared for adoption Australia to replace its own Standard. itain also plans to adopt it as a itish standard.

ther nations are expected to follow ecause ISO 15489 is vital to cordkeepers all over the globe. onvergence? Yes, it helps us all work the same way and, in the growing obal community, that's a huge plus. It is guiding the world's professionals into the best records management practice; telling them what's required and how to do it. It's:

- A bible for the community
- A manual for the coalface workersA teaching resourse for the academics.

ISO 15489. Say it 'one-five-four-eightnine' or, if you prefer, 'fifteen-foureight-nine'. What does it signify?

ISO stands for International Standards Organisation of course. It's Organisation Internationale de Normalisation in French, the institution's other official language, though all nations, including the French, refer to the institution as 'I.S.O.' or 'I-so'.

Fifteen-four-eight-nine has no significance other than that the Records Management Standard was just the 15,489th document to enter the ISO catalogue.

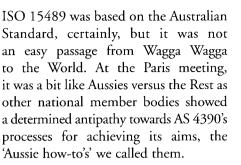
It may have occurred to you to wonder why I, a well-ripened Englishman too fast approaching his sell-by date and living on the Lower East Side of the Tasman Sea, should be lecturing knowledgeable Aussies on this subject.

After all, Australians invented the world's first modern recordkeeping standard, Standards Australia's AS 4390. It was the inspiration for ISO 15489 and provided the basis for its content. In fact, it almost became the world standard without alteration. At a specially-convened meeting of the new ISO sub-committee in Athens in 1998, delegates voted to adopted the Australian document by exactly the 75 per cent majority required by ISO rules. Had the Australian sponsors wished, AS 4390 could have become the world standard there and then. Fortunately, and this is another feather in the sponsors' Akubra hats, they decided that the document should be worked through anyway and ISO's three-year consultation clock was set a-ticking. So, how did I get in on the act?

Joining the Aussies

It happened because I had the backing of some good friends in the recordkeeping business in Australia and New Zealand and because of some generous sponsorship by the Records Management Association of Australia. In 1999, I was invited by AS 4390 and ISO 15489 committee chairman, David Moldrich, to join the Australian delegation on the world standard authoring sub-committee, ISO TC 46/SC 11. You don't have to remember that number. It just means sub committee number 11 of ISO's 46th technical committee, the one that deals with information technology.

The members of SC 11, including archivists and recordkeepers most notably also from Germany, France, Ireland, Sweden, Britain, Canada and the United States, had already got through a lot of work by the time I joined and met them at their third six-monthly, three-day brain-storming This one was session. at the headquarters of the French standards institution, AFNOR, l'Association Française de Normalisation, in the Paris suburb of La Defense, a not inappropriate location in the event. We argued quite a lot, in the nicest possible way, of course!



Australian delegates, lead by Sydney consultant and world-known recordkeeping guru, Barbara Reed, sat and gritted their teeth as other national group leaders explained. While they didn't necessarily disagree with our recommended procedures, of course, they didn't do it like this or that in their countries and other nations shouldn't be pinned down to doing it like this or that, either, if they already had established national processes. Not such an unreasonable point of view!

It was a memorable show of Aussie restraint, though Barbara's fierce doodling - her conference doodles could earn an exhibition at the National Gallery - reached new heights of furious complexity and colour. Chairman David Moldrich maintained his legendary cool. My other new colleagues, Monash University's soft-spoken Frank Upward, Standard Australia's energetic committee secretary, Peter Treseder, and National Archives of Australia's kindly Director of Collection Documentation, Jill Caldwell among them, all kept their heads. They harkened to their leader's insistence that there be 'no triumphalism' by the delegation.

Us Aussies were not going to be accused of pushing our weight around. And it worked!

The German delegation came up with an answer. Nils Brübach, a top lecturer at the University of Marburg's Archives School, suggested confining the world standard to a statement of high-level recordkeeping principles about which there was little or no disagreement. Then, the German team suggested, we could put all the 'how to's' into what ISO calls a 'Technical Report', a 'TR' for short. A TR does not have the status of a Standard, they explained, but could offer advice on processes by which the Standard users might apply its tenets. The TR wouldn't have to stick to just one process, either, but could offer alternatives thereby, they supposed, satisfying all comers.

A Solomon judgement

It was a Solomon judgement, swiftly accepted by the meeting. You could feel the tension lift as David Moldrich determinedly moved us on to the mammoth task of filleting the current draft of the Standard to separate application from principle. And we did it by the end of the meeting - a quick and dirty cut but a start. The Technical Report for the Records Management Standard ISO 15489 was born. We call it the Technical Report, but its formal name is Guidelines, catalogue ISO TR 15489-2.

I later reported to my sponsors, the then National Archives of New Zealand (now Archives New Zealand): 'Log jammed with irreconcilable views on basic management practices, the International Standards Organisation's records management sub-committee has completely re-designed its approach and begun work on two separate documents, a standard and a technical report. It was a bold move. After a year's deliberation, Sub-committee 11 has left itself just six months to complete a 'Committee Draft' of the standard, designated ISO 15489, if it is to conform to the Organisation's new time limits for standard making."

My conclusion balefully exposed my lack of understanding of my fellows' capacity for hard work. I wrote, further: 'I wonder if the work the committee has given itself and, in particular, Barbara Reed, who is the chief author-cumeditor of the Standard, can be completed by November.' My do were unfounded. She did it, we d and it was good.

The second re-write

A year later, the Standard underwe second major overhaul, this time a the publication to national men bodies of the Committee Draft, or Member bodies' responses had been and large, positive, though there a fair amount of criticism of p structure, woolly terminology repetition. A number of mem complained of 'inconsistencies' espec concerning metadata. This time, it the Canadians who came to the reso

The Ottawa-based SC11 group, lec the Canadian Office of Governm Records senior project officer Cathe Zongora, went through the CD w by word and came up with a comp re-draft. It was endorsed by Bark Reed and her Editorial Group agreed at the next SC11 meeting at Berlin headquarters of the Gern national standards institute, *Deutsches Institut für Normung* (DI in May, 2000.

It improved the document enormou Its tenets were now set out in m logical order. Duplication had b removed and detail deleted or, in so cases, moved to the Technical Repor

The committee further re-arranged number of clauses in the new draft a made some textual additions a amendments. Working right up the last minutes of the three-or schedule, SC11 approved the n format and cleared it for release a Draft International Standard or 'D as its known in the industry fro its acronym.

It was a very different document the 'first cut'. The most striking chan centred round the Terms a definitions. A number of terms w more carefully written. Some w

pped, SC11 members considering v needed no descriptions beyond se given in contemporary tionaries or other ISO Standards, ably *ISO 5127 Information and cumentation Terminology.* That's an raordinary document, by the way. nost half of it is index to the terms. ly the remainder is the lexicon.

D 15489's new list of terms and initions was shorter, simpler and more cise. A number of terms disappeared ause the sub-committee considered y did not need further definition. The case 'records capture' was amongst se, and the term 'storage'.

vas glad of that. It seems to me that , as a culture, tend to re-define our minology too much, often getting rselves thoroughly bamboozled in r attempts to explain in, say, six rds what lexicographers would take ragraphs to describe.

me ISO 15489 terms were also tensively redefined. 'Metadata' was ginally described rather too simply as ata describing data'. Smart, but t very informative! The new definition is more useful: 'Data describing ntext, content and structure of records d their management through time.'

he definition of 'records' became ocuments created, received, and aintained as evidence and information an agency, organization, or person, pursuance of legal obligations or the transaction of business'. The rlier definition began with the ord 'information' not 'documents'... other sensible change, though I have ondered if yet another definition 'records' takes us much further understanding.

he word 'document' was itself defined link more precisely with this ew 'records' definition. Instead of ructured units of recorded formation, logical or physical, not xed as records', ISO 15489 now describes a 'document' as being 'recorded information or object which can be treated as a unit'. The new description makes clear it refers only to the noun 'document' as opposed to the verb 'to document'. And so, the process of defining and refining the embryonic standard went on.

Recordkeeping v. Records Management

At an early stage, SC11 even stumbled over the name of the Standard. How fundamental can you get? The Australians wanted the Standard to refer exclusively to 'recordkeeping', but the North Americans objected. We discovered that our concepts of 'recordkeeping' and 'records management' were diametrically opposed. Personally, I use the terms synonymously, but I'm in a minority, I find.

It appeared that in Australia, we mostly use 'recordkeeping' to mean the whole process of looking after and manipulating records for an organisation's business function, a process that involves, in part, 'records management'.

In North American, conversely, the terms are used in precisely the opposite way. U.S. delegation leader Diane Carlisle, ARMA International's director of Professional Resources, told us that 'records management' is often the whole process, 'recordkeeping' is merely part of that. This time the non-English speaking delegates sat back and watched the Anglophonic groups fight it out.

Amused, Nils remarked laconically: 'In German, we interpret it to the same word. Translation is always something of a modification, anyway?'

Once again, the Aussies bit their tongues and gave in gracefully, this time to the North Americans. It was, after all, a pretty unimportant point, so long as everyone knew what we were talking about, and there wasn't any doubt about that. But it took us ages to weed references to 'recordkeeping' out the documents. They kept creeping back in subsequent amendments.

International criticism

By the end of the second year's consultation, a considerable number of different 'drafts' were beginning to circulate world-wide and were being read by large numbers of recordkeeping experts outside the SC11 groups. As I've said, some of these versions were simply rough copies, quick and dirty cuts at the huge task. Involvement of the wider recordkeeping community was entirely planned and sort after but, inevitably, from these early rough drafts some of the experts got the wrong end of the stick.

We should have been able to put the drafts up on the ISO website as we progressed, but the organisation, with its eye on future sales, I suppose, declines to do this. The Australian Society of Archivists did it with one of the later drafts and got knuckles wrapped by ISO. its The American National Information Standards Organization (NISO) mounted a .PDF version of the DIS at www.niso.org/DIS15489.html that is still up there, or was the last time I looked. NISO is accredited to the American National Standards Institute (ANSI) so I guess it carries a bit more clout.

An unsought for result of the proliferation of drafts and our difficulties with global version control, was that some pretty high-powered personalities went into print with stinging criticisms. The miss-conceptions boiled our blood but, in a sense, served a useful purpose. The criticisms drew the SC11 members together, helped clear heads of small xenophobias and focused our purpose.



First of the barbs came from the Canadian records management icon, Professor Luciana Duranti, the fiery Italian-born head of the University of British Columbia's Archival Studies Program at its School of Library, Archival and Information Studies. She's a leading light in the on-going InterPARES Project, the International Research on Permanent Authentic Records in Electronic Systems.

Professor Duranti is well known to Australian recordkeepers and was a keynote speaker at the Records Management Association's Perth conference in 1997, where I met her.

At the end of 1999, the Professor went public with her views after seeing an early draft of the Standard. Writing in the London *Records Management Journal*, she berated ISO 15489 from a number of angles. She said it 'does not define its terms, most of which are inappropriate and inconsistently used, and recommends procedures that are badly conceived, applicable only in a few environments, simplistically and inconsistently presented and either so general as to be useless or so detailed as to be inappropriate for most contexts'.¹

The draft certainly needed more work on it but... Phew!

After seeing a later draft, Professor Duranti was somewhat mollified, but still managed a sting: She emailed me: 'It seems much improved to me, apart from a certain amount of repetition.' But then added: 'Generally speaking, the entire document is written as if it primarily referred to electronic records.'

Too much, too little

Quaintly, that same later draft was, during the next year, lambasted for precisely the opposite reason. A German IT consultancy boss, Dr Ulrich Kampffmeyer, a director of the European board of AIIM International, no less, had a big dig at

the Committee Draft because: 'Unfortunately, this standard does not go beyond traditional writing on paper and is therefore of little or no use for electronic documentation ...'.

His comment was published in the European edition of AIIM's e-doc magazine that circulates in Australia and New Zealand.²

It was utter nonsense, of course, and was made worse by the fact that Kampffmeyer was a member of the German National Member Body for SC11. His statement infuriated his committee chairman, Dr Michael Wettengel, a top archivist with the German national archive, the *Bundesarchiv*, who was aghast at his colleague's ill-advised attack. The two learned doctors had a stiff exchange of telephone and email messages. Wish I'd been a Deutsche bluebottle on the wall.

However, published comments on ISO 15489 were not all bad. ARMA International has always been a staunch supporter of the Standard and its Australian progenitor. In a year 2000 edition of ARMA International's *Information Management Journal*, contributing editor David O. Stephens, avice president of records management consulting division of North Carolina's Zasio Enterprises, wrote: 'It is hard to overstate the new standard's significance.'

He said it was 'probably the most significant initiative in records management today', adding that it provided 'an officially endorsed benchmarking model of best professional practices for global emulation'. In its entire history, he said, the 'records and information management discipline' had never had anything like this.³

That was more like it!

SC11 was ruffled by the critics but unbowed. We knew we were on the right track and the job went on.

Pruning the Technical Report

By the end of the May 2000 Be meeting, we were well on the way. T Draft International Standard complete and the Technical Report *Guidelines*, was taking shape. In fithey were taking gargantuan shape. now the document ran to 150 pa and some 50,000 words, some them German and some Fren and including a massive nine p *Bibliography of Publications fi-International Bodies and Instituti* formulated by yours truly.

With the DIS duly deposited w national member bodies for final 'y or 'nay' approval, the committee v now able to turn the full glare of united attention onto the mass TR-Guidelines and found it wanting well, actually wanting less! The Brit team, lead by Australian-born Sus Healy, a records manager at the Pub Record Office, Britain's nation archive, calculated it would cost arou \$US200 at that size.

The committee was unanimous its wish to reduce the document around 50 pages and so began a sla and burn campaign that had a me surprising result.

It began with a complete re-write the Australian national member boo orchestrated largely by Jill Caldwe My lovely bibliography was reduced a shadow, hopefully to be resuscitat on someone's website one of these day and out went all the German an French sections, to be retained for the own language editions, of course.

Our original plan to match the structure of the Standard with suitable explanations, section by section was abandoned as being to cumbersome. All the annexes, barring the emasculated bibliography, we dumped, somewhat unwisely in notew because they contained somewhat somewhat with the somewhat somewhat with the emasculated bibliography.

ul examples of policy and planning regies, mostly lifted from AS 4390's digms. However!

the best result was the committee's nimity, brought about I'm sure that cutting criticism and the v three-year-old understanding each other. Remember all that tering about the Australian 'how and the inclusion of world-wide rnative procedures? Well, the ted committee now discovered that could, after all, really only ommend one, single model process each principle.

one was more surprised than we re. We realised that despite the barent world differences in process, y were all, basically the same. did, in fact, have two methods for e procedure, in the Standard's ategies, design and implementation tion, but decided that the variation s too little different to warrant lusion. Amazing! After all that od, sweat and tears!

opposed to any remaining ionalistic concerns anywhere, the nmittee blithely agreed to ommend that, if national member dies felt their methods deserved lependent acknowledgement, they ould produce their own 'workbooks' compliment the Standard and its nidelines, much as we are doing in tw Zealand.

rly last year, the national member dies voted unanimously to adopt th the DIS and the Guidelines, with ly minor editorial amendments, and was all over bar the shouting... and e launch party in Montreal.

hat's the fuss about?

, what is all the fuss about, then? hat is the world coming to with its w Records Management Standard?

In some ways it's almost a bit of an anti-climax. To us committed and, hopefully, knowledgeable recordkeepers, it might be a bit ho-hum; blindingly obvious, even.

Sure, ISO 15489 is about records management but we already know lots about that, almost everything there is to know.

Whether that's true or not, it misses the point entirely. Much more importantly, ISO 15489 is the World's records managers saying with one clear voice: 'This is important. This must be done. Here's how to do it.'

So, what does ISO 15489 say?

Here is the Standard's raison d'etre:

'The standardisation of records management policies and procedures ensures that appropriate attention and protection is given to all records, and that the evidence and information they contain can be retrieved more efficiently and effectively, using standard practices and procedures.'

That's almost the first paragraph in the book and, right up there at the top, it introduces that vital word 'evidence' to business process. How about this:

Records contain information that is a valuable resource and an important business asset. A systematic approach to the management of records is essential for organisations and society to protect and preserve records as evidence of actions. A records management system results in a source of information about business activities that can support subsequent activities and business decisions, as well as ensuring accountability to present and future stakeholders.'

That's telling 'em about the Fourth Resource of Business - Money, Product, Manpower... and Information. It comes in Section 4, Benefits of Records

Management. The Standard's full of such wise aphorisms. Here's another one, just above that one:

'Records management governs the practice both of records managers and of any person who creates or uses records in the course of their business activities.'

That's the bit about everyone being a records manager, one way or another. That's how the Standard works. It describes, but not prescribes, in plain unequivocal language, the tenets of the profession we know and love. You and I have heard most of it before, one way and another, but not with the backing of the whole world's practitioners... barring, of course, the Luddites whom we know and can judge for ourselves.

So many will benefit

The Standard runs to a modest 7,800 words and around 25 A4 pages, not a lot to show for so much hard labour by so few. But so many are going to benefit.

After those opening great truths, ISO 15489 gets straight down to the work setting out its scope and what ISO calls 'normative references' which really amounts only to a plug for associated ISO Standards like the ISO 9000 series and that amazing ISO 5127 vocabulary, all of which the organisation hopes you will feel compelled to buy as well. That's I-so Business!

The Scope carries one of its few notions that I dislike, a footnote... and I don't like end notes either, despite what you'll find at the end of this paper... a footnote that makes a point of telling users that the Standard does not apply to archives management. The footnote explains it thus:

'In some countries, the management of records also applies to archives management. Archives management is not covered in this Standard.'



Actually, the Scope makes the point twice. After carefully setting out the four major functions by which it seeks to 'ensure that adequate records are created, captured and managed', it blows another hole in its foot by insisting again that it 'does not include the management of archival records within archival institutions'.

That is a mistake. All right, I understand archives management is not just records management by another name, but why did we in SC11 make such a thing of it when, as we admit, they indeed are almost synonymous in some countries. It was, I believe, included as a sop to those old Luddites I spoke about who still get a sort of xenophobic prickly heat over the ceasefire slowly being brokered into peace between recordkeepers and archivists, especially in Australia.

I suppose, in a way, it helps to defuse negative reaction from any myopic reactionaries, but I call it appeasement.

That small point apart, the scope usefully sets out the Standard's purpose and its intended audience: all managers, information professionals, all other personnel in organisations and anyone with a duty to create and maintain records. Pretty much covers the field, even, apparently, popstars and the Australian First XI. Well, they create records, don't they? And they maintain 'em pretty well, too!

Then come the terms and definitions, a short and sweet list of just 21 words and phrases SC11 considered either were not adequately defined elsewhere, or had some special meaning to the Standard. They range from 'access', which was defined as the 'right, opportunity or means of finding, using, or retrieving information', to two definitions of 'transfer', one meaning a change of custody or ownership, the other just the simple movement from one location to another.

A crib sheet for advocacy

Now comes one of the best bits of the Standard, I reckon, *Section 4 Benefits of Records Management*. It's magic! Anyone wanting a crib sheet to compose a convincing argument for a proper recordkeeping regime needs to look no further. It's all there, in 300 or so simple words. We've heard them all before, but not so neatly and succinctly tabulated.

Just a list of the bullet point imperatives gives the taste of the guidance: conduct, facilitate, provide, meet, support, protect, deliver, establish and more. Good stuff!

A short section on what we called the 'Regulatory Environment' simply jogs memories that 'regulatory' means a good deal more than just abiding by the law. And it returns to that important fundamental: 'An organisation should provide adequate evidence of its compliance with the regulatory environment in the records of its activities.'

It sounds obvious when you say it now, but it's amazing how often that gets forgotten in the excitement of new recordkeeping process.

The sixth section in the Standard gets down to some detailed and explicit guidance on *Policy* and Responsibilities. An early paragraph says the records management policy 'should adopted and endorsed be at the highest decision making level and promulgated throughout the organisation. Responsibility for compliance should be assigned'.

I, and, I'm sure, almost every speaker on recordkeeping policy has said the same thing, probably in much the same words. But this is not just Mike Steemson or Josie Bloggs saying it but The World.

The World speaking

The Standard has all the fam phrases: 'derived from an analysi business activities', 'organisati environment', 'current business ne and, once again, 'need for evider It goes along with its AS 4 parentage by assigning responsibil for recordkeeping far beyond the professional with the title; executives for support, to sys managers for useable documenta and all employees for accurate complete records of their work.

The seventh chapter, *Rec Management requirements*, does n than just tell us to manage records, It requires that records managem policy should decide what records created in each business process what information is included in th It wants the policy to determine form and structure in which reco and metadata are created and captu and which technologies used.

It calls for requirements for retrievi using and transmitting records a retention rules to satisfy th requirements. It seeks assessment the risks through failure to k authoritative records of activity, to m business requirements and commun expectations, of complying with le and regulatory requirements, applica standards and organisational policy.

Not satisfied with that, it wants programme for identifying a evaluating opportunities for improv what it calls 'the effectiveness, efficier or quality of its processes, decisio and actions that could result fro better records creation or management

It insists: 'Rules for creating a capturing records and metadata aborecords, should be incorporated in the procedures governing all busin processes for which there is requirement for evidence of activin There's that word again - 'evidence'. rops up again in *Chapter 8, Design implementation of a records system*, clause, which is dear to my heart, one I rode shotgun on throughout production.

gal admissibility concept

apter 8 talks of compliance with all uirements arising from business, ulation and community expectation. ays with great clarity: 'Records system npliance with such requirements uld be regularly assessed and the ords of these assessments retained for dential purposes.' ⁵

at's what we used to call 'legal nissibility', a process that will allow in the event of legal challenge, to we that our system was working as it uld at any time in its life.

ntification of this recordkeeping nciple marks a high point in a npaign that I've championed since ting involved in the creation of a de for the legal admissibility of ctronic records ⁶ with the British indards Institution in London ck in the early 1990's. It was a ntentious subject. Lawyers shook eir heads mournfully over the odds judges accepting these strange, new perless documents.

It the code was written and the dges were a lot worldlier than their niors gave them credit for. Now, the incipal of routine, regular assessment records systems to confirm e-records' idential weight is picked up by orld recordkeepers. It's a very tisfying result.

hapter 7 deals with requirements of cords while this succeeding section als with the needs of the records stem. Superficially, they look much ike but, of course, have many fferences. It is here that you realise e lengths the authors have gone to in usuring that the 'all-paper-no-paper' iticisms are not sustained. The

Standard concentrates on 'records management strategies', 'information management strategy plans', 'records systems', 'environments' and 'media'.

In fact, throughout its length, the document rarely specifies media or environment except, of course, where a process is unique to one. ⁷ It relies on its definition of 'records system' as being 'information system which captures, manages and provides access to records through time' which, of course, covers any process... paper, electronic or any other yet to be devised.

The Standard's Chapter 9, *Records Management processes and controls*, is its largest and the one that, singly, engaged SC11 most. Filling a third of the document's pages, it contains all the directions for deciding which records to keep, how long to keep them, how to look after them and how to dispose of them once their useful life is ended.

It sets out the types of documents that may be required for what is describes as 'continuing retention'. It's a fairly long list but it really simply covers records of evidence (of actions and interactions) and rights.

The Standard is clear about the purpose of retaining records in a system. The process establishes the links between author, record and its business purpose; links records to others and establishes their relationships. ⁸ Put like that, it seems blindingly obvious. Nonetheless, by saying it, the Standard identifies and nails down tenets that can be hard to isolate and express to, perhaps, disinterested or disingenuous organisation executives.

Now we are getting to the heart of what ISO 15489 is good for. It contains no new, shocking truths or dramatic recordkeeping revelations. If you are looking for Road to Damascus eye-openers, you Western worldly recordkeepers won't find them here.

If anything, ISO 15489 tends towards conservative approaches in deference to cultures where the concept of professional management of records may be a novelty or even a nuisance.

ISO 15489 is a nuclear weapon in the armoury of information managers. It adds power to the elbows of recordkeepers fighting their corner for greater support and recognition for both their systems and themselves.

For you lucky ones with established and recognised systems, the Standard will still hold some surprises. For our lessfortunate colleagues, ISO 15489 offers back-up from contemporaries from all across the globe. For the records noviciate, it's a bible, a keystone, a bright light illuminating the most indistinct corners of the world we know and try to love.

The TR-Guidelines

Which sound like the end, doesn't it. No, the Standard has two more chapters: my favourite, the shortest, *Monitoring and auditing, and Training.* The Standard deals with these matters briefly because they involve more process than principle. The TR more than makes up.

The TR's Chapter 5 *Monitoring and auditing* was my personal responsibility because of my interest in the legal admissibility concerns. Not all my colleagues shared my sensitivities, but I and those who saw the need fought the good fight with the result that the chapter opens with the statement:

'There are three reasons for monitoring and auditing records systems:

- 1 To ensure compliance with the organisation's established standards;
- 2 To ensure that records will be accepted as evidence in a court of law should this be required; and

3 To improve an organisation's performance.'

And it contains a sub-section, 5.3 Evidential weight, which deals with the subject in more detail and emphasises: 'Records managers employing electronic information storage systems need to be aware of the potential for legal challenge if documents from such a system are presented in evidence to a court of law.'

But enough of banging my own drum! The TR-*Guidelines* contain much to help Recordkeepers apply the Standard's principles, an'implementation guide' it calls itself. ⁹

SC 11 didn't quite make its target to contain the Guidelines in 50 pages. It has nearer 60. But the sub-committee succeeded in one sense. Some 15 pages comprise invaluable tables identifying complimentary sections in the two 15489 documents, the necessary and preferable corollary to our decision to end the slavish matching, section by section, of Standard format and the Guidelines'. It's a small price to pay for ending such an unwieldy plan.

The Guidelines set out in considerable detail how to prepare a records management policy statement and how to apportion records responsibilities within an organisation. The document offers a massive, eight-step programme for the design and implementation of a records system and 15 pages of instruction on records processes and controls from 'business activity classification' to 'transfer of custody or ownership of records'.

A thorough manual

Even on training, the Guidelines give precise indicators of who needs records training and why, how this may be achieved and when, and what needs to be done to maintain levels of expertise ... a thorough manual! It is an amazing document, a condensation of the records world's experience and expertise. It reveals that although the world may use a variety of methods, there is an agreed best way to undertake the principles of good recordkeeping. The Guidelines are, as they indicate, only a guide to the Standard and not part of it, but it is clear that the processes described will in time become the basis of all records systems, a boon for recordkeepers all over the world.

Have no fears that you will have to be making big changes in the way you or your organisation operates recordkeeping. Despite the changes, the Standard and its Guidelines fit snugly within the Australian recordkeeping culture, partially because the world guide is based on the Australian work, of course, but also because a bunch of notable Australians were in there punching for us when the argument was fiercest.

No, no macho posturing or triumphalism! Just quiet diplomacy and gentle persuasion. Sound like anyone we know?

Triumphalism? Let me, a non-Aussie in an Aussie delegation, be a bit triumphant on our colleagues' behalf. We can be proud of the nation's part in the creation of the world recordkeeping standard.

It's the single most important global development in information management. It's happened because of the single-minded work of Australians like David Moldrich, Barbara Reed, Jill Caldwell, Frank Upward, Peter Treseder, Kate Cumming, Judith Ellis, Justine Heazlewood, Kathryn Dan and Anne Picot and more. Proud of them all? Damned right we are!

FOOTNOTES

Duranti, Prof. Luciana,

'Concepts and principles for the management electronic records, or records management the archival diplomatics', *Records Management Jo* 9(3) (December 1999) 153 -75. <u>Aslib</u>, London.

²Kampffmeyer, Dr Ulrich,

'E documents — It's All Legal, or is It?', (European edition), 1(4) (September/October 31-33, AIIM International, Monniker The Netherlands.

³Stephens, David O.,

⁶International Standards and Best Practices in I Information Management Journal, 34(2) (April 2 68 -71. ARMA International, Prairie Village KS,

ISO 15489.1 Records Management, sub-section 7.1 Principles of records management programmes.

⁹ISO 15489.1 Records Management, sub-section 8.2.3 Compliance.

⁶BSI DISC PD0008:1999, Legal Admissibility Evidential Weight of Information Si Electronically, British Standards Institution, Lon 1999.

⁷For example, ISO 15489.1 sub-sections 8.2.2 Inte and 9.6 Storage and Handling.

^sISO 15489.1 Records Management, sub-section

9.3 Records capture.

"ISO TR 15489.2 Guidelines, section *1. Scope.*

IZ Archivists go Silverfishing

y wriggle, lurk in dark corners and us out of sorts. So how do we rid shelves of those tiny, wee monsters ong the manuscripts that chomp y records, bookbindings and glues?

er being inundated by silverfish, angarei Hospital archivist, Liz tthews, raised the matter on the NZ ords listserve the other day and got warm of advice. She calls her place land of lepismatidae'. Not nice!

pleaded: 'My organisation has this blem - how do other people combat dreaded, voracious silverfish? I uld be interested in methods, costs l success ratings.'

ky Bradley, Records Officer with Wairoa District Council, came back ftly. She recommended consulting a st eradicator' and advised: 'My derstanding is that silverfish have a ort life-span so if your archives were nigated at the right time of their -cycle, you should be able to get or under control. We have our hives fumigated once a year and this ms to have them under control.'

ellington City Archives Team Leader, inne Newman, revealed that they nigate quarterly. Triona Doocey orted that at Archives New Zealand's iristchurch office they fumigate every weeks.

inistry of Economic Development formation Services Team Leader, role Edwards, also wanted to know e answers, explaining in a delightful pment of intimacy: 'Found one of e blighters in my bath yesterday'. She d not explain how she rid herself of e beast. Now, the solutions had begun flooding in. Manawatu-Wanganui Regional Council's Noelene Wevell offered: 'Try the silverfish bait sold by Conservation Supplies, Porirua. I've never seen a silverfish since I started using this bait about eight years ago.'

Chris Deane, National Sales Manager at Crown Records Management in Auckland, recommended: 'Pyrethrin (sic) powder is effective, is cheap in large quantities (5 gallon drum), is nontoxic to humans, is effective on most paper-based insects and does not evaporate, i.e. has a long residual effect. You spread/broadcast it 'by hand or with a puffer.'

Finally, the Hocken Library came up with the whole answer. Well, they would know, wouldn't they. Hocken's Archives and Manuscripts Curator, Anna Blackman, recommended getting advice from a conservator before beginning 'an expensive fumigation program.' The National Preservation Office at the National Library might be able to help, she suggested.

'At the Hocken Library we don't fumigate the stacks, only the occasional collection when it is acquired, if it is infested. We get the stacks cleaned about once a year but we are lucky to have a lovely renovated building which is easy to keep clean,' she said.

Anna recommended Ross Harvey's book, *Preservation in Australian and New Zealand Libraries*, which suggests that the best line of defence is keeping everything clean, dust free and dry... silverfish love dust and damp places but if everything is clean and dry they leave you in peace. Anna added cautiously, 'in theory', and continued: 'Harvey is not keen on regular fumigation programs because whatever chemical is used is toxic and will only have a temporary effect on the bugs. You are better to create an environment that silverfish don't like in the first place. He also recommends removing carpets in the case of silverfish as apparently they love hiding in them.'

After all that, the Kiwi silverfish must be regarded as an endangered species. Please don't tell Nandor Tanczos.



www.rmaa.com.au

International New

World RM Standard is Published

The International Records Management Standard, ISO 15489, and its supporting Guidelines were published on 1 October 2001 and are available to purchasers from Standards Australia or the International Standards Organisation's websites. The Australian site has the two documents in electronic PDF format for Internet delivery.

The Standard, formally identified by the world organisation as ISO 15489-1:2001 Information and documentation - Records Management -Part 1: General, runs 19 pages. Hard copies can be obtained from Standards Australia, on <u>www.standards.com.au</u>, at a cost of \$AUS132.46 (including GST).

The Guidelines, formally ISO/TR 15489-2:2001 Information and documentation - Records Management -Part 2: Guidelines, costs \$AUS187.9 for its 39 pages making the total for the two documents \$AUS320.38. Postage of \$6 for express services or \$3 surface should be added.

The PDF documents from Standards Australia are available. Prices are \$AUS119.20 for the Standard and \$AUS169.12 for the Guidelines, a total of \$AUS288.32 (GST included). The documents are delivered on-line.

The ISO webstore <u>www.iso.ch/iso/en/</u> <u>prods-services/ISOstore/store.html</u> prices are 86 Swiss francs for the Standard and 122 Swiss Francs for the Guidelines. Delivery charge is 50 Swiss francs making a total of 258 Swiss francs including shipping.

The two documents were launched at a special ceremony on Wednesday 3 October 2001 during the final day of the ARMA International annual conference in Montreal, Canada. The launch was to be telecast live to a Government recordkeeping conference in Stratford-on-Avon, England. Officials at the launch included ARMA International President Terry Coan, ISO authoring committee chairman, Australian David Moldrich, U.S. Deputy Archivists Lew Bellardo and Marilyn Osborne, the Director-General of the Government Records Branch at the National Archives of Canada.

For a review of the documents, see Mike Steemson's on-line paper at www.caldeson.com/hobart01.html

Descriptive Standards Developments

There has been quite a lot of activity on the archival descriptive standards front recently.

There have been two meetings of the Australian Society of Archivists Descriptive Standards Committee, one in Hobart in September and another in Canberra in November. There have also been meetings of the International Council on Archives Committee on Descriptive Standards, on which Australia is represented, in Brussels in late September/early October. Finally, there was a workshop on Encoded Archival Description (EAD) attended by Daniel Pitti, the father of EAD, in Sydney in September.

The ASA Committee coordinated Australian input into the review of the ICA's International Standard for

Archival Authority Records (Corp. Bodies, Persons, Families) - IS (CPF). Submissions were forwa from two Category A members o ICA, the National Archives of Aus and New South Wales State Rec The ASA Committee is coordinating a project, being le NSW State Records, to codify Australian 'series' system of arc intellectual control. Other topic discussion for the ASA Committee included Australian implementatio EAD, the role and future plans Hurley's Common Practice F (formerly known as the Austra Common Practice Manual),



elopment of the Monash University IRT' recordkeeping metadata nework as a national standard, and ire options for sharing Australian nival data over the Web.

the November Committee, Barbara d stepped down as Chair of the mmittee after three years in the . She was replaced by Adrian nningham of the National Archives. ine Delaney has been appointed a New Zealand member of Committee.

e Committee intends to provide ormation on its membership and ivities, including drafts of work in gress and minutes of meetings on ASA website. This should be in ce some time in early 2002.

rian Cunningham attended etings of the ICA Descriptive ndards Committee in Belgium. At e of these meetings the Committee veloped a set of functional uirements and a development ategy for free archival software that l support intellectual control and the ndardised encoding of archival scriptions for web access purposes. A ort with recommendations has been bmitted to the ICA and UNESCO their consideration. It is hoped that s initiative will assist archives in veloping countries and also smaller chives in developed countries the provision of free rough wnloadable software and associated cumentation via the ICA website.

he main agenda item for the Brussels eetings was the scheduled review and vision of the ISAAR (CPF) standard. he Committee considered bmissions from various countries ound the world and decided to pand the ISAAR by creating two new eas in the standard - a Relationships ea and a Related archival materials ad other resources area. A number of her improvements to the standard ere also agreed upon in Brussels. A draft of the revised standard will be made available for general comment late in 2002.

The Committee hopes that the new ISAAR standard will complement and be consistent with the emerging standard for machine readable encoding of descriptions of archival provenance entities, Encoded Archival Context (EAC). Through the efforts of Gavan McCarthy, Joanne Evans and Adrian Cunningham, there has been considerable Australian input into the development of EAC. It is hoped we will complement EAD in the same way as ISAAR (CPF) complements the other ICA Descriptive Standard, the International Standard for Archival Description (ISAD), a second edition of which was published by the ICA in 2000.

Meeting of the International Council on Archives Committee on Appraisal in Andorra, 7-11 November 2001

The inaugural meeting of the International Council on Archives' Committee on Appraisal was held in early November 2001 in the Principality of Andorra, on the French/Spanish border.

The International Council on Archives (ICA) is the peak professional body in the world for archives and archivists. The Committee on Appraisal was established by the ICA's Council Executive early in 2001 to advise member nations and develop products, including guides, bibliographies and study aids, in the area of records appraisal and disposal. There are fifteen Committee members, from countries as diverse as France, Spain, Italy, China, Tunisia, Finland, Germany, USA, UK, Costa Rica, Burkina Faso and Australia.

Eleven Committee members attended the meeting in Andorra, the purpose of which was to discuss the Committee's program of work over the next three to

four years. Over the course of four and a half days the committee drafted outlines for two products; an online, annotated bibliography and a set of guidelines on the theory and practice of appraisal, including a range of illustrative case studies. The Committee also reviewed and made comments on a questionnaire developed by the European branch of the ICA, the aim of which will be to gather intelligence on appraisal practices and criteria from ICA member nations. Results from this survey will assist the Committee in tailoring its products to the needs of the international audience it serves. The Committee also made plans for future meetings and events, including a joint seminar to be held in 2003 with the ICA's Committee on Legal Matters and the Committee on Current Records in Electronic Environments.

The Australian representative and Secretary of the Committee on Appraisal, Cassandra Findlay from State Records NSW, reported that it was a rewarding opportunity to discuss the contexts and practices of appraisal with international colleagues. While on some matters there was complete accord (the importance of stakeholder involvement in the appraisal process, for example), on others the views and experiences differed. The timing of appraisal and its integration with recordkeeping system design, were, in particular, topics of some debate. Matters were occasionally complicated by language barriers amongst the Committee members, but, with patience and the aid of a French/ English glossary of recordkeeping terms, most of these difficulties were overcome.

Products of the Committee on Appraisal such as the bibliography and guidelines will eventually be made available via the ICA's website, at: <u>www.ica.org</u> In the meantime, this site is a useful resource for general information on the ICA and its activities.

Convergence 2001: Recordkeeping in a Digital Age

The first joint conference between the Records Management Association of Australia (RMAA) and the Australian Society of Archivists (ASA), *Convergence 2001: Recordkeeping in a Digital Age*, was held in Hobart, Tasmania from 2-5 September 2001. The conference was held in Tasmania's latest and most exciting venue, and the home of the Tasmanian Symphony Orchestra, at the Hotel Grand Chancellor.

The conference examined issues surrounding electronic records such as distributed custody, data warehousing, ecommerce, preservation, recordkeeping standards and provided a balance of theoretical papers, case studies and practical workships. It featured a large and diverse exhibition and a chilling theme dinner! The event was a fun-filled opportunity for members working in all areas of both professions to meet, share ideas, experiences and discuss issues of joint interest.



David Roberts, Cassandra Findlay and Martyn Killion from State Records at their exhibition booth



Lyn Peacock receiving the first Sharman Award from Bob Sharman



Tina Howard and Trish Wickman at the Exhibition.



Ice Capades! The setting for the convention dinner, wh had an Antarctic theme



Carolyn Mason and Alan Tupper from the Roads and Traffic Authority were among the participants in the conference



It's snowing! The entrance to the Antarctic



The conference dinner sponsors, Objective, with some actors playing the role of Antarctic explorers

Records Management Association of Australia

19th National Convention Adelaide, South Australia 15-18 September 2002

a new convention format for the new era

The Adelaide 2002 Convention will have a changed format. This new format will give delegates the opportunity to attend a 2-day convention. In addition, delegates can choose to book for separate workshop/s arranged for the following day. The Convention will incorporate an interactive trade show, featuring leading edge solutions.

Topics to be Presented

Specifically, the 2002 Convention will focus on the evolution of records/managing records/recordkeeping, including topics such as:

- Revisiting the paperless office
- Managing Web content
- Return on investment
- Managing electronic issues/transactions
- Retention/disposal in the e-doc area
- Legal issues addressing e-business/digital signatures
- Where does KM & RM fit into the new workplace

The RMAA 2002 National Convention will explore the evolution of recordkeeping in the knowledge and electronic information management environment. Speakers will address the issues and challenges facing the recordkeeping professional in today's evolving workplace.

- Have emerging standards, business practices and technology assisted in this process?
- How has this elevated the status, viability and 'value' of record-keeping within business?
- How has records management evolved to encompass other areas of information management?
- What does records management mean in the new era?
- What is the evolving role of the records manager?
- How can we ensure that the fundamental principles of records management are maintained whilst embracing new and emerging trends and technologies?
- Is the role of the records manager evolving in line with the current records management environment?

The Adelaide 2002 Convention program will focus on addressing these questions that are confronting records managers in the new knowledge and information management era.

Convention Secretariat

To register your interest in attending or for further information contact the 2002 Convention Secretariat:

Festival City Conventions Pty Ltd PO Box 949, Kent Town SA 5071 Ph: 08 8363 1307 Fax: 08 8363 1604 Email: info@fcconventions.com.au

Public Records Bill 2001 Introduced into Queensland Parliamen

For over a decade, new public records legislation in Queensland has been proposed by a succession of bodies and governments as the most appropriate policy instrument for enabling accountability through improved public recordkeeping. On Wednesday, 12 December 2001 the Minister for Innovation and Information Economy, the Hon Paul Lucas, introduced the Public Records Bill (QLD) 2001 into the Queensland Parliament.

The policy objectives of the Public Records Bill 2001 are to:

- (a) Facilitate the documentation, management and preservation of Government business through full and accurate records, irrespective of the technological or administrative environment in which Government business is conducted or the custodial arrangements for public records; and
- (b) Better align access principles for public records in the custody of Queensland State Archives (QSA) with certain access principles in the Freedom of Information Act 1992.

The Public Records Bill 2001 replaces Part 7 (ss. 56-67) of the Libraries and Archives Act 1998 and the Libraries and Archives Regulations 1990 with a new statute devoted specifically to the management of public records.

The legislative framework proposed in the Bill will enable Queensland State Archives to establish policies, standards and practices reflecting national and international best practice in electronic recordkeeping. The Bill complements the requirements of the Electronic Transactions (Queensland) Act 2001 for producing, recording, retaining and providing access to records generated in the course of electronic communications.¹

A consistent and equitable approach for access to government information is an essential part of the democratic process. The framework proposed in this Bill for classifying restricted access periods for records in QSA's custody has been aligned with the provisions dealing with exempt matter under the Freedom of Information Act 1992. The Bill also recognises that the sensitivity of most information declines with the passage of time and that it is appropriate at some point for older records to be available for public inspection.

The Bill seeks to strengthen and clarify the role of the State Archivist in making disposal decisions. The establishment of a nine-member Public Records Review Committee comprised of community and government representatives will provide a formal mechanism for key stakeholders to work together on strategic decisions regarding access to public records and their disposal.

1 Sections 20-21 Electronic Transactions (Queensland) Act 2001 Sections 36 (Cabinet matter), s.37 (Executive Council matter), s.42 (law enforcement or public safety), s.43 (legal proceedings), s.44 (personal affairs) and s.46 (matter communicated in confidence) of the Freedom of Information Act 1992.

The Bill and its accompanying explanatory notes are available on the Queensland Office of Parliamentary Consel's website at: http://www.legislation.qld.gov.au/l B1150 01.htm

Details of the introduction of the into Parliament are available <u>http://www.parliament.qld.gov/ha</u> <u>d/Documents/htm_files/011212dv</u>

Jackie Bettington

Senior Policy Officer Recordkeeping Policy Unit Queensland State Archives

Email:

Jackie.Bettington@iie.qld.gov.au website: http://www.archives.qld.gov.au

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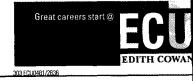
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ordinator Reports

ederal Education Report

Federal Education Committee of the RMAA is made up he Education coordinators from each of the eight ches of the RMAA, i.e. the six states and two territories.

e members of the committee have a particular role or taken an interest in certain aspects of the work of the nmittee. Without this it would be very difficult for the nmittee to function. It is an entirely voluntary nmittee with a lot of work on the agenda.

ie of the State education representatives who have a ific role on the Committee are:

ina Howard (TAS) - who is keeping tabs on the cordkeeping Competencies and the Business Services aining package and works with the ASA inda Bell (NT) - who is the Federal oard representative hil Taylor (QLD) - who is looking after the RMAA ourse Recognition Program

her members of our busy committee are:

osemary Kaczynski (Vic) ndrew Wood (SA) ye O'Donnell (WA) n Fisher (ACT) ephen Smith (NSW and Federal)

02 - A Year of Developments

ere are a lot of issues the Committee will be working with s year such as:

- The review of the Course Recognition Program
- ducation and career development matters
- iaison with the ASA
- "he development of courses from the new
- ecordkeeping Competency Standards
- Maintenance of lists of records and information
- nanagement courses
- he promotion of training in records management

e development of the new recordkeeping Competencies well as the new ISO 15489 have increased awareness the need for career development and its relationship qualifications and particularly specialist qualifications recordkeeping.

Surveys

How important are records management qualifications in relation to renumeration and career development in the profession? This question has resulted in three surveys which are currently being compiled. One was conducted at the joint Convergence conference in Hobart with conference attendees. A second is being conducted by the Tasmanian Branch and is available on our website. The third is being conducted by a student at Edith Cowan University, with the assistance of the NSW Branch, and is specifically aimed at NSW record keepers. Already there has been an excellent response to these, indicating that the issue of qualifications and salaries is guaranteed to raise interest! More about this in the next issue.

Vocational Records Management Courses

NSW TAFE and the RMAA have recently completed the re-drafting of the TAFE Records Management courses to accord with the new Competency Standards. The existing course outcomes were mapped to the elements of the Competency Standards and the gaps were filled in with the new syllabus material.

This work was carried out by members of the RMAA under the auspices of TAFE NSW. The drafts have now reached the final stages of the accreditation process, so it is hoped they will be ready for release by the time this edition of Informaa Quarterly hits the streets.

Once released, the courses can be delivered by TAFE or other registered training organisations.

ASA liaison

Most universities now have both records management and archives administration incorporated into their recordkeeping courses. As the recordkeeping Competency Standards are the basis in the vocational sector, virtually all courses now cover both records management and archives administration to varying degrees. So it makes sense for the RMAA to work together with the Australian Society of Archivists in areas of mutual concern on issues of recordkeeping career development. This accords with our Statement of Joint Purpose and Cooperation with the ASA and builds on existing alliances.

Stephen Smith

Federal Education Co-ordinator

Branch Reports

Tasmania

Members have recently been participating in professional development workshops focusing on the use and application of the recently endorsed Business Services Training Package. The workshops are aimed at accelerating the implementation of the new Training Package. Those who attended found them very informative but rather rushed. Members have also been involved in the Business Services Training Package Implementation Working Group in relation to the proposed certificates and diplomas in Business (recordkeeping). Tasmanian members have worked closely with BASS over a number of years and it is great to see the light at the end of the tunnel. It is hoped that, shortly TAFE Tasmania will once again be offering recordkeeping training packages.

It was good to see Federal President Chris Fripp in Tasmania last month. Chris attended a meeting of the Local Government Chapter and then a general members meeting. Chris gave an overview of the newly released remanagement Standard ISO 15489. Tina Howard was present and gave a presentation on the Business Ser Training Package BSB01 Units of Compet Recordkeeping and the implications of the package gaining qualifications in recordkeeping.

The Christmas function provided an opportunity members to catch up and mingle socially. The function year was an informal lunch and very much enjoyed by t who attended.

Jill Saunders ARMA Branch President, TAS

Gueensland

2002 Professional Development Program

The Branch has finalised its Professional Development Program for 2002. Each month a seminar will be presented which will focus on an aspect of records management. Early seminars will look at scanning for document control and there will be a follow up with two seminars on document management systems. Full details are on the RMAA website.

Increased Professional Membership

The Branch has been considering new initiatives to increase the number of professional members. A series of workshops are being arranged to help potential members through the application process.

Records Management Week 2002

In conjunction with the Australian Society of Archivists (ASA), the Institute of Information Management (IIM) and the Health and Information Management Association (HIMA), the Branch has been planning a weeklong program to mark Records Management Week. The program, in

October 2002, will include trade presentations, seminar and worshops. The inaugural Queensla Records Management Awards will also be presented as p of the program.

Electronic Newsletter

The Branch has launched it electronic newslet QE-Informaa. The newsletter supplements the norr Branch newsletter and is received directly by e-mail.

Chapter Activities

The State Government Chapter has been involved with range of activities. A guide on how to handle suspicious m was produced to assist staff to identify potential hazards a respond appropriately. The Commonwealth Governme Chapter is finalising its plans for 2002. The Lo Government Chapter has recently held a successful meetir which attracted wide participation. The Chapter is planni a major seminar for 2002.

Philip Taylor MRMA

Branch President, QLD

ictoria

Victoria Branch has enjoyed another year of strong vth. Branch Council has worked diligently to organise vities and information that will assist RMAA members to elop their professional knowledge and skills. While our ectors have been involved in national activities such as ISO Standard and recordkeeping competencies, the nbers have expressed the need for more local activities. s year we are offering a wide choice of activities, from rds management training to information sessions on the nging Them Home Report' and 'Loss of Innocence Report'.

incillors and members of the Branch have been busy ressing issues such as the implementation of the Privacy The Branch has also been represented on several special rest groups. Reports on these are featured our Branch sletter on the RMAA website.

1 was marked by many 'good-byes.' Sadly, Betty Powell Rex Hibbert, members and Councillors of the Branch, ed away recently. Early in the year we said good-bye to Heise and John Williams, Branch Vice President. ently we farewelled Sandra Pickett and Anne Cornish who collectively have contributed more than 20 years of service to the RMAA., Rita Maiuto, who assisted in the organisation of ARM Week 2001 and secured our venue for the 2003 National Conference, resigned for personal reasons. The Branch extends their heartfelt thanks to all who have contributed to a very successful 2001.

The loss of so much experience and talent meant that those remaining had to work hard and encourage other members to participate more fully in Branch activities. Luckily we have attracted some 'new blood' and fresh ideas, a healthy balance to the collective knowledge and experience of the existing Councillors. We have attracted growth in membership as well.

Information and training sessions will continue in 2002. Initial topics planned include 'The Longford Disaster', 'Preparing for the Sir Rupert Hamer Award' and 'Applying for Upgrade Status.' Check the website for details.

Ruth Edge Branch Vice President, VIC

<u>lestern Australia</u>

e Branch Action Plan is in draft and we are looking for dback from members. We identified three major comes. Improving the profile of records management; isting educational and professional development of mbers; and Encouraging research and development in ords management. To achieve the outcomes a number of ions have been identified. The actions have been oritised, allocated broad timeframes and recommended action via Branch Council, a sub committee or ordinator. Our aim is to continue to build a strong records nagement community by keeping members informed, ilitating access to education and research, encouraging pressional development, group mentoring and other working opportunities.

line with the Federal initiative to foster strategic alliances WA Branch is now part of the Information Management iance. ASA, ALIA, IIM and RMAA branch presidents and her interested members met in October 2001 to discuss w the group should be constructed and agreed ground es. To get things started we organised an informal Xmas rty which was well attended by members from all ociations. The group also discussed reciprocal rights, joint marketing, website links, joint program planning and other opportunities to align. The Federal alliances already fostered between ASA, IIM and RMAA has been beneficial allowing the branch to move ahead quickly on opportunities to align.

The State Records Commission has drafted principles and standards under section 61 of the State Records Act. There are six standards each containing a number of principles. Managers of government information subject to the Act will have a busy two years working with their organisations to create the Recordkeeping Plan. Branch Council is keen to support our members during this period and will be working to keep relevant issues in our CPD. The first CPD event linked to this will be a breakfast in February 2002 when State Records Commissioner Mr Des Pearson will present a progress report on the Act's implementation.

Finally I would like to welcome our new Branch Councillors Alan Ralph, Brian Soares, Jenny Moss and Tony Caravella.

Lesley Ferguson ARMA Branch President, WA

Australian Capital Territory

Happy 2002 to you all! I hope and trust you all had a happy and safe Festive Season. Well another year is on the way - I wonder what this year will hold for us all?

The ACT Branch held its Christmas Seminar at the Canberra Club on 27 November 2001. Thank you to Tower Software for sponsoring the cocktail drinks after the seminar and to the presenter, Elwin Hall. Elwin spoke on the theme of 'Projecting Yourself/Getting the Message Across'. For many of us this presentation was an enlightening exchange. At the seminar I was able to present three awards: Life Membership to Thomas Kuafhold; the J. Eddis Linton Most Outstanding Student Award to Gillian Drew of the University of Canberra; and the ACT first Honorary Membership to Brand Hoff, formerly Managing Director of Tower Software. We are very proud of you all, congratulations and our best wishes.

For many of us in the Commonwealth Governmer Canberra the changes resulting from the recent election having an impact on our portfolios again. There are l workloads as we move functions and transfer the corp files. I wish you good luck and patience as we go through exercise again. If only those people on the hill realised workload! For my agency we have gone a full circle in th 20 years.

The ACT Branch of the RMAA has planned an intere seminar schedule for the next 6 months. This schedule be published in the next ACT Branch Informaa Newsl and on the RMAA website at http://www.rmaa.com (under ACT Branch).

Stephanie M Ciempka, ARMA Branch President, ACT

New South Wales

The NSW Branch held its Christmas Party at the Duxton Hotel in Milson's Point on 10 December. It was a superb evening of eating, drinking and dancing for the 40 people who assembled. Our thanks to Chris Fripp for his organising efforts, and to Objective for sponsoring the dinner. We had special guests, Kim Gek Kwek-Chew from the National Archives of Singapore and her niece Corinne, who were here on holiday but took the time to catch up with the professional community in Sydney and Melbourne.

In November, Jan Murphy, Council member and long-term supporter of the RMAA, formally advised the Branch Council she was leaving to join her husband in Brunei. Her energy and enthusiasm will be sadly missed and we wish both Jan and her husband well for the future.

South Australia

On behalf of the SA Branch, I wish you all a Happy New Year and hope that you had a safe and festive Christmas.

The SA Branch held its annual Christmas Lunch at the Bristol Hotel with approximately 20 regulars attending. Every person received an entry into a raffle for a Christmas basket. I would have to say a number of members had an exceedingly good time.

NSW is looking forward to a busy year in 2002. example, we are looking at staging an Archives and Recc Management Week in conjunction with the ASA and S Records NSW. Any ideas and assistance in this endeav would be greatly appreciated.

For 2002 we are looking for thoughts and suggestions on direction members want us to take for the next three ye This is in line with the plans of the Federal Board and i important to have targets to be achieved. Members a friends of the RMAA can direct thoughts and ideas to a member of the Council.

I look forward to the year ahead.

Geoff Smith ARMA Branch President, NSW

The 2002 Convention Committee is running full ste ahead and we are all brimming with enthusiasm over various sub-committees.

There are a number of small events planned for the first l of this year but locals will need to stay tuned for m information as we get closer to the actual dates.

Kristen Green Branch President, SA

est kiss

nit Tzubera and Dror Orpaz were the tual winners of a kissing contest held at n Square, Tel-Aviv, Isreal, after kissing for rs 45 minutes, on April 5, 1999. So devoted Dror and Karmitthey didn't take a single k during their kissathon - not even to sit n!

vest swim

ember 19, 2000, Eric Moussambani swam slowest 100 meters freestyle ever recorded in Olympics. Only learning to swim nine months ier, and having never even set eyes on a size swimming pool. Eric won his heat rding a time of one minute 52.72 seconds r his two fellow competitors had been ualified for false starts.

test pint of stout

l "Les" Behan of Aylesbury, Buckinghamshire, nk a full pint of Guinness in 3.9 sec at the nness Brewery, St. James's Gate, Dublin, and, on March 16, 2001. The record attempt held to mark St. Patrick's Day.

gest cricket spit

great distance anyone has spat a dead ket from their mouth is 9.17meters ft 1.2in) by Danny Capps of Madison, consin, USA on June 26, 1998.

test time to pluck a turkey

cent Pilkington of Cootehill, County Cavan, ublic of Ireland, plucked a turkey in un. 30 sec. on RTE television in Dublin on rember 17, 1980.

test 10-km. pram-push

fastest time to complete the 10-km. 8-miles) pram-pushing race is min. 26 sec., achieved by Mal Grimmett, en he pushed his daughter, Natalie, at the mpic Dream fun run, Melbourne, stralia, on November 21, 1999.

idest Burp

April 5, 2000 Paul Hunn recorded the loudest p when he competed live on British TV and w away the opposition with a record breaking p measuring 118.1 decibles.

ngest-standing current math problem

e current longest-standing math problem was ed by Christian Goldbach, a Russian thematician, in 1742. Goldbach's Conjecture tes that every even positive integer greater in 3 is the sum of two (not necessarily tinct) primes.

Greatest distance on a pogo stick

June 22, 1997, Ashrita Furnman of Jamaica, New York, USA set a pogo stick jumping distance record of 37.18km (23.11 miles) in 12 hours 27 minutes on June 22, 1997 at Queensborough Community College Track, New York, USA.

Golf ball stacking

Don Athey of Bridgeport, Ohio, USA, stacked nine golf balls vertically, without the use of adhesives, on October 4, 1998.

Best selling designer underwear

The world's most popular designer underwear brand is Calvin Klein (USA). In 1998, the company sold 30 million pairs of underpants with a total retail value of \$425 million.

Greatest distance walked with a milk bottle balanced on the head

The greatest distance walked by a person balancing a milk bottle on the head is 130.3 km. (80.96 miles), by Ashrita Furman of New York, USA. Ashrita walked around Victory Field track, Queens, New York, on April 22-23, 1998 for over 27 hours.

World's Largest EDMS/RM Rollout

TOWER Software secured the World's Largest EDMS/RM Rollout to deliver the TRIM Electronic Document and Records Management Application to over 350,000 desktops in the United States Navy and Marine Corps. on June 21, 2001.

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t Tzubera, Dror Orpaz, Eric Moussambani, Paul "Les" Behan, Danny Capps, Vincent Pilkingtoni, Mal Grimmett, unn, Christian Goldbach, Ashrita Furman, Don Athey, Calvin Klein and TOWER Software

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