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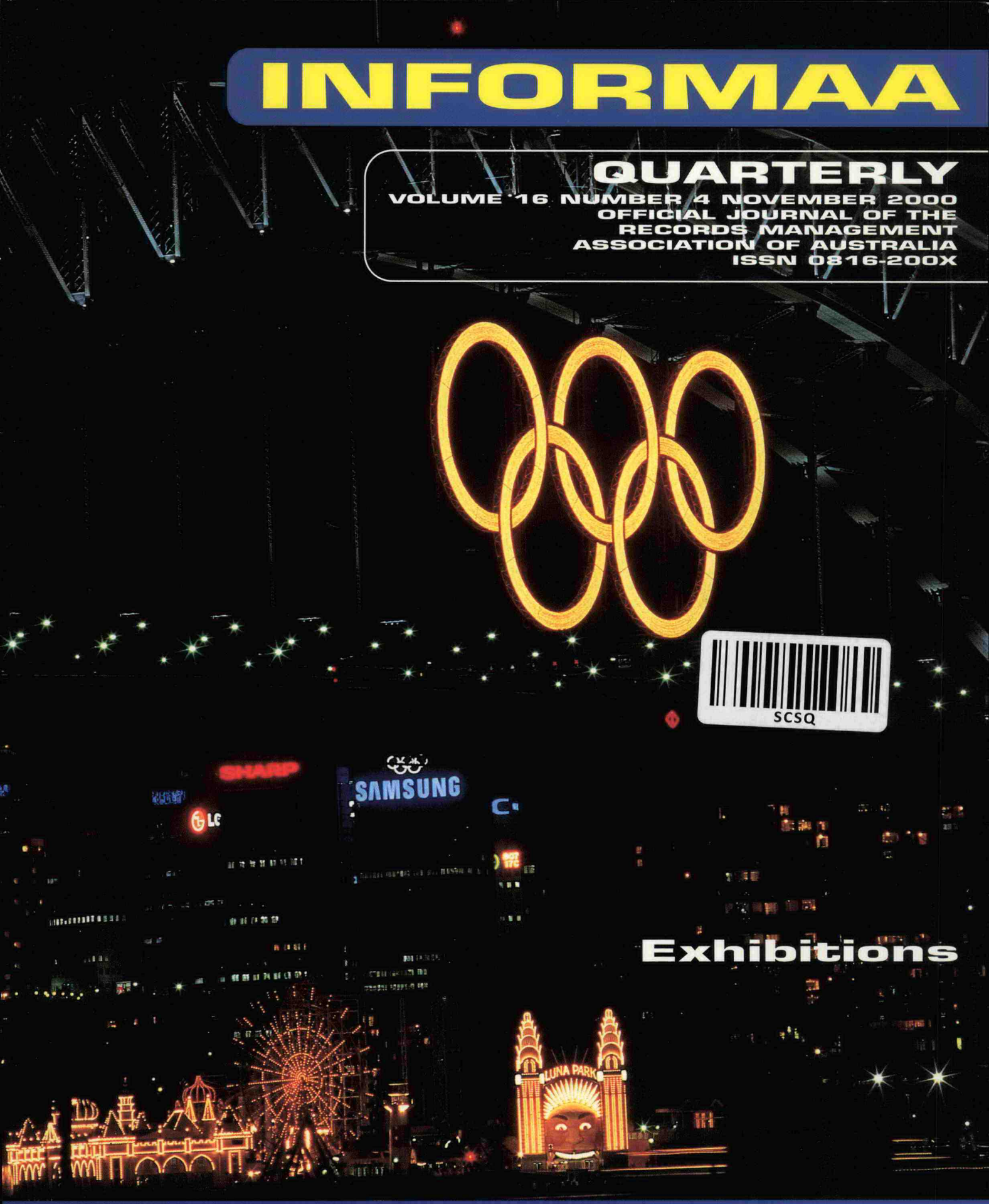


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# INFORMAA Quarterly

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# Federal President's Message

**The Olympic games have finished and everyone is going through POGS (Post Olympic Games Syndrome).**

For those who were lucky enough to attend events or just be in Sydney, the atmosphere was electric with Australians coming out of their shells to support the athletes and became very patriotic. We even had the jargon such as WR = world record, PB = personal best and many others including sayings like *"Dream the dream"*.

I was thinking, are we as records managers trying to beat our personal best, looking for ways to improve on what we have in place, lets take this opportunity to be inspired and be the best records managers that we can be and "Go for Gold".

As I was reviewing my first year as Federal President, I went back to the items I wanted to achieve. The first was a **communications strategy**, to get away from being a 'perceived' secret association. An area of improvement was communication between Directors, between the Board and Branches and between the Branches and the Membership.

To introduce this strategy a number of actions were taken.

- Regular communications between the Federal President and Branch Presidents
- Review of the Articles of Association
- Introduction of a member response policy
- Introduction of a 'members only' section on the web page
- Review of membership categories and status upgrade procedures

Changes to the Articles of Association will be put up at the AGM in December and if you wish to view the articles on our web site.

The membership response policy is also on the web and available for viewing.

By the time you receive this journal, we will have our new look web page. This will also be the launch of the 'members only' section, where you can gain access to papers, details of Directors and Branch Councillors and certain details of members.

A lot of work has also gone into the review of membership categories and the status upgrade procedures. This has been long overdue. Once the Board has adopted the new procedures, members will be able to apply for status upgrade over the Internet.

One of the major steps for the Association this year was to establish a National office to be maintained by paid staff. At present, the 2 ladies running the office are Sharon Hamon who is our Membership Administrator and Tamara Tipping who is Financial Administrator. Tamara is acting as treasurer for all the Branches with the centralising of the accounts.

The next big event in the RMAA calendar is the Sydney Convention. If you have not registered yet, it is not too late, the more the better. See if we can make this convention *"the best convention ever"*.

**Chris Fripp MRMA MAICD**
**Federal President**

# Editorial

As the Interim National Editor I wish to take this opportunity to thank Tony Eccleston who has recently stood down from the position of National Editor INFORMAA Quarterly. Tony has shown great dedication and professionalism in the role, and I'm sure Tony's next venture will be as successful and fulfilling.

The November issue has taken on a new section called *"International Articles and News and Issues"*. The editorial committee will endeavour to seek articles and issues internationally and exchange Australian articles and issues with International Journals.

The aim is to encourage professionals within the Information, Records and Archive Industries within Australia to further submit their articles and views with the opportunity of their papers being published on the international arena. Also aims to encourage international professionals to continue to support INFORMAA Quarterly.

These exchanges can only assist in the further education and greater understanding of global experiences and issues.

By the time this issue reaches you, many of the international visitors and sporting heroes will have left our shores. Taking with them many wonderful memories of the Sydney Olympian Games 2000, *"The Best Ever"*.

You all have the opportunity to experience some of the excitement which has surrounded Sydney for sometime as we have our own group of professional heroes who have been in training for three years and who will present a very memorable 17th National Convention of the RMAA. We hope to see you all there.

In this issue of INFORMAA Quarterly, we have the opportunity to share many international views relating to our industry.

These articles are from papers presented in Melbourne during the ARM Week. Many of the speakers have been invited back to our shores by our Branches to continue to share their experiences. **Dr Nils Brübach** *"Development and Traditions of Records Management and Archives in Germany"* a journey through history, **Philippe Barbat** *"Discovery Of Records Management In France And Its Consequences"* the discovery of Records Management by French Archivist and their changing roles and responsibilities, **Philip Jones** *"Context of Records Management in United Kingdom Local Government"*, the reengineering of records management within the United Kingdom, **Anki Steen** *"The Amazing Right to View Public Records"* Anki's paper made most delegates shudder at the thought of having free access to public records. **Mike Steemson** *"Cricket, Rugby and Records Management ... We've set the Standard"* Mike's paper has been placed under International Articles, but only because he lives overseas. In the short time we have known Mike he has become a true *"Aussie"* with his endless behind the scenes assistance to our Association, we thank you for your contribution.

Our own **Kerrie Monzo** has submitted a summary article from her research for Curtin University of Technology Bachelor Applied Science (Records Management) into the concept of *"Certification Records Management Program"*.

Kerrie's paper gives a solid recommendation, which I'm sure the Board Members will take into consideration as they continue to discuss the issues and benefits of such a program being introduced to the membership of Australian Records Management Professionals. Well done Kerrie, you have certainly broken ground on this issue.

**Julie Apps FRMA AIMC AICD**
**National Interim Editor**

# What Effects Will The Certification Of Records Managers, Based On The US Model, Have On Australian Records Managers And Australian Records Management?

**AUTHOR**

**Kerrie Monzo (MRMA)**

Kerrie Monzo is the Information Resource Manager at CSIRO's Division of Telecommunications and Industrial Physics where she has been employed for the past 6 years. Kerrie has worked in the records management field for some 20 years covering private, semi-private and government organisations and has completed TAFE and university studies in Records and Information Management. She has also contributed to the records management community by being a part time TAFE teacher, tutoring in Records Management.

## Introduction

In recent years, worldwide communication between record managers has dramatically improved. Because of this improved communication, particularly through e-mail, Australian record managers are now aware of the American record management certification system. Awareness though, does not mean that, within Australia, there is a depth of knowledge about the American process. It should not be assumed that the American system is a success, nor should its potential benefit to Australia be discounted. In Australia there is no certification system for records managers, either through the Records Management Association of Australia (RMAA) or any other body.

The American quest for certification started during the 1960's. Then it was recognised that professionalising the field was going to take a concerted effort. Nevertheless, certification is now a reality in the US and sufficient time has passed for in-house analysis. This analysis is of use in the Australian context.

There is a seemingly irreversible worldwide trend towards globalisation. This trend, which is across just about every industry and professional discipline, applies to the records manager as well. Globalisation often means outsourcing, downsizing, budget cuts and retrenchment. Information professionals of all types have to deal with these issues. For many, a globalised future seems bleak. If we do not act, and act quickly, we may not be able to influence the process. With planning and foresight we might be able to exert sufficient influence that the worst excesses of globalisation are slowed or deflected. That which seems inevitable does not have to be. Certification may provide Australian records managers a way forward in dealing with these issues. Certification may lie at the heart of a successful strategy for the profession.

Michael Pemberton writes in an article on *"confronting our professional issues that it is plain enough that the abilities of the individual to influence professional considerations are severely constrained."* He goes on to say that *"it is only the professional associations that can advance the profession, with effective leadership, over time."*[1]

There is a degree of public apathy regards government accountability and privacy issues. This is evidenced by the apparent acceptance of technological advancements in areas such as personal identification, e-commerce and home banking. The public display a seeming general air of complacency. In many organisations this complacency even extends to the senior executive level - at least until something goes wrong. Statements in the media in relation to surveillance technologies and their usage have a common thread. If you are not doing anything wrong then you have nothing to worry about. This is a concern to records managers.

What does this have to do with the certification of records managers in Australia? Since the introduction of certification in the US, there has been an increased awareness of record management and records managers. It is now standard practice for advocacy groups to address the media on records and information management issues. *"To be recognised as a profession by society, an occupation's professional value system must have a relationship to the values and concerns held by members of society outside the profession."*[2] In the Australian context this relationship is yet to be established and so the profession suffers a serious weakness.

Advocacy groups could be established in Australia, but without a certification program they would lack the credibility of our American counterparts. This would pose a serious threat to the positive outcome expected by employing an advocacy group. Australian records managers might become infamous rather than famous.

Richard Cox in an article on *"Certification and Its Implications for the American Archival Profession"* writes, *"The certification examination will help the profession to codify its core knowledge. There is no question that a basic knowledge is an essential component of any profession. This criterion distinguishes one profession from another. It is also the feature that provides a profession that*

*ability to negotiate its relative position and influence society."* [3] Cox's thoughts are a strategy for the future and positioning ourselves now and for the future is paramount. Through certification the records management profession can come closer to a bright future.

## Construct

Developing a Certification Records Management Program (CRM) will contribute to the RMAA's goal of increasing the acceptance of records managers as professionals. This professional acceptance will lead to job security and increased remuneration.

*Hypothesis 1:* Development and promotion of a CRM program within the Australian records profession will lead to increased acceptance of the professionalism of records management.

*Hypothesis 2:* Professional acceptance of the CRM program will lead to improved job security and higher levels of remuneration.

## Objectives of the Study

The broad purpose of this proposal is to better understand the American process for the Certification of Records Managers. If the outcomes of the proposal are adopted the status of records managers and records management in Australia would be enhanced. The study would have the following goals:

- To provide an overview of the certification process in America
- To review the American situation pre and post certification
- To investigate employer and community perceptions of records managers and records management in Australia
- To review the certification process associated with the Certified Practising Accountants of Australia
- To distribute the results of this research widely amongst the Australian records management community for peer review and discussion.
- To decide from the results if a hybrid of the existing RMAA professional membership and Certification may be an alternative
- To provide the basis of a theoretical and conceptual framework to allow Australia to move forward on this issue if it so desires

Accomplishing these objectives will be an important first step in improving recognition of the importance of record and information management in Australia. It will also strengthen record management research and may also encourage the wider record management community to improve its foundation. This will allow Australia, with confidence in its record-keeping practitioners, to move forward into the global information society.

B.W. Dearstyne in an article on 'Records management of the future', [4]considers nine issues that are transforming record management. These are:

- clarification of the concept of information
- clarifying the concept of record
- convincing institutions that records management is an operating necessity
- relating records issues to information policy development
- capitalising on knowledge management as an opportunity for learning and partnership
- redefining the knowledge, skills, and abilities of records managers
- improving educational preparation for records management
- developing a more effective research/development strategy; and
- transforming professional associations into leaders of change

Others describe similar attributes when outlining the features that typify a profession. *"The features that characterise records management as a profession are professional education; professional bodies; and professional literature."* [5]

## Significance of the Study

The advent of new record keeping tools has meant that records managers are facing unprecedented changes in their work practices and the expectations placed upon them. Some of these tools are:

- Developing and Implementing Record keeping Systems (DIRKS) methodology
- Administrative Functions Disposal Authority (AFDA)
- Electronic Transactions Bill 1999
- Victorian Electronic Record keeping Strategy (VERS)
- Australian Record keeping Meta data Schema (RKMS)
- National Competencies for Records Management
- Australian Standard AS4390 - Records Management and
- the long awaited, soon to be released International Standard ISO15489 - Records Management

Records Managers and their employers can now be held accountable for any poor record keeping. A failing in record keeping may well result in public humiliation, lack of credibility, diminished market share, or litigation. In Australia there is now a strong push, emphasised by the Australian Law Reform Commission[6] to *"place ultimate responsibility for effective record keeping in organisations at the very top with the Chief Executive Officer, to ensure that expected standards are applied and followed."* [7]

How will the implementation of these records management tools take place in the face of globalisation pressures? What impact will smaller budgets, out sourcing and reallocation of resources have? How will the implementation of these records management tools take place

when managers are expected to do much more with much less? Ensuring management is fully informed of the importance of records management means that adequate staffing to implement changes, keep abreast of recent developments and, contribute to these developments are required. *"To educate, one must be educated."* [8]

The area of certification for Australia is considered so relevance and importance that every effort should be made to ensure that a comprehensive study is conducted. In this way, all stakeholders will have confidence that the alternatives have been thoroughly investigated. It will also ensure that the most suitable course of action has been logically derived. Securing a government grant to conduct the study is considered the best way forward.

## Overview of the Issues

*"Why become a Certified Records Manager? The answer is professionalism."* [9]

The US CRM program deems those who successfully fulfil the objectives of the program to be the most professional practitioners. Some felt from the outset that the ICRM was *"an elitist society whose members were more interested in exclusion than in inclusion. It was not just coincidental that those who were the most vocal in these matters were those who could not qualify for certification by review."* [10]

Successful progression through the program produces people who are experienced across a broad range of competencies. These include micrographics, reproduction, form creation and control. To satisfy the requirements of the CRM program, individuals are required to meet both educational and work experience requirements. These requirements are established by the ICRM and individuals meet them by passing the required examinations. *"Community endorsement of the profession becomes strong enough over time so that the profession achieves the autonomy to set its own educational standards, curriculum accreditation, and a sanctioned licensing or certification system. This licensing system has the force of law; no one practices without proper credentials."* [11]

Ongoing CRM eligibility demands adherence to requirements of the Certification Board. It may also rely on an acceptance that the Board may revoke the certification of any CRM. *"The ICRM experiences in implementing both a dues increase and a Certification Maintenance Program serve as a classic reminder that professionalism has not yet overtaken the ranks of records managers. ...The situation is fraught with psychological complexity, but in simple terms it seems that with the attainment of the CRM, people are forced into the realisation that they are now at the top of a profession - that many of them never wanted to be in to begin with!"* [12]

As introduction of a certification program cannot be undertaken lightly. The following issues are a sample of what an in depth study would need to consider.

- How will certification be introduced (if at all), when and how long will it take?
- How will the introduction affect recent graduates/mature graduates?
- Will the introduction see a rise in salaries or improved status?
- Will organisations pay attention, employing only CRMs?
- Will it be compulsory to be a CRM to call yourself a Records Manager?
- Will we also need CRO (Certified Records Officers)?
- How will it be promoted to RMs and organisations?
- How will tertiary institutions cope with syllabus/teacher certification?
- Who will be the champions?
- Who will be the 'white ants'?
- Who will conduct the CRM exams, where and how?
- How will the CRM exam content be kept up to date?
- How will it affect the structure of the RMAA/those holding positions within the RMAA?
- What effects will this have if RMAA merges with ASA?
- How will it affect other sister professions such as information managers, knowledge managers, librarians, IT and legal?
- Will this be a catalyst to school students choosing RM as a career of choice as they do for accounting now?
- Will increasing litigation see the need for the introduction of certification?
- Will some form of allegiance with the legal fraternity strengthen our role?
- Will this allegiance lead to the 'licensing' of CRMs as in the medical records areas?
- Will this licensing of CRMs ensure that every organisation is legally required to engage a CRM to develop and maintain its record keeping systems as in the medical records areas?

## Conclusion

To be recognised as a profession by society, an occupation's professional value system must have a relationship to the values and concerns of society. In the Australian context, this relationship is not established and so the profession suffers a serious weakness. A way to establish the relationship could be through a model similar to the American certification system for records managers. Australia does not have such a system.

The seemingly irreversible worldwide trend towards globalisation affects every industry and profession. It applies to records management as well. With planning and foresight, we might be able to exert sufficient influence that the worst excesses of globalisation are slowed or deflected.

Records Managers and their employers can now be held accountable for any poor record keeping. A failing in record keeping may well result in public humiliation, lack of credibility, diminished market share, or litigation. In Australia, there is now a strong push to place ultimate responsibility for effective record keeping at the very top with the Chief Executive Officer.

A profession's ability to negotiate its relative position and influence society is a key strategic concept. Advocacy groups could be established in Australia, but without a certification program, they would lack the credibility of our American counterparts. Positioning ourselves now and for the future is paramount.

## Recommendation

Certification for records management in Australia is relevant and important. All stakeholders should be confident that the issues have been thoroughly investigated and so a study of the issues is recommended. Securing a government grant for the conduct of the study is considered the best way forward.

## Acknowledgements

Several persons assisted in the supply of information to produce this proposal, and their contributions were important to the overall success of the effort. The author wishes to acknowledge the assistance and effort of Kathleen Glasgow Sparks - President ICRM, Ray Cunningham - University of Illinois Foundation who conducted the *"Records Management Salary Survey 1998"*, Richard Cox - Associate Professor Department of Library and Information Sciences University of Pittsburgh, Rick Barry - Barry Associates, John O'Brien - Regent ICRM, Stephen Whitaker - Regent ICRM and the 70 or so persons who responded via an Internet questionnaire. Assistance was also forthcoming from Mr Chris Fripp Federal President of the Records Management Association of Australia (RMAA). The author also wishes to thank Mr Curtis Simmons Library Manager CSIRO Telecommunications and Industrial Physics for his contribution in the midst of a busy schedule, assisting in the area of literature searches and inter library loans.

## Responses

The following responses are a collation of comments received, during May 2000 in answer to a post that I placed on the international records LISTSERV. World wide there are about 1,800 people interested in records management and related issues who subscribe to the LISTSERV. To date, there are approximately 700 CRMs in the US and other countries. 78 responses were received to my post headed *"For CRMs or those who choose not to be."*

The following summary of responses is a representative of the comments received. There has been no attempt to statistically categorise the results at this stage however, an attempt has been made to categorise the comments into pro and con statements. For a full detail of the responses please contact Kerrie E-mail: **Kerrie.Monzo@tip.csiro.au**

## Pro CRM Comments

**Grandfathering**

- How else do you start the process off?

**Professionalism - Self**

- The CRM is the only method we have to demonstrate and quantify our knowledge
- Having the CRM after your name is the icing on the cake but it is not paramount
- Tired of inappropriate people being dumped into the profession this helps weed them out
- It is not designed to measure intelligence but to measure a level of competence
- Why would we NOT aspire to attain certification?
- One should never assume that they are so smart that they no longer need to challenge themselves with additional education
- The most valuable thing I received from seeking the CRM was the professional development experienced during the study and testing process
- Education is part of becoming knowledgeable and provides a broader perspective

**Professionalism - Public Awareness**

- The essence of what makes something a discipline is knowledge gained through study, reflection, research and experience
- The process was developed with the intention of professionalising the RM profession
- This is a world driven by credentials and by certifications
- The profession would be raised to a higher level
- I saw it as a means of promoting the profession and perhaps adding credibility to it
- One day your manager will ask you "why aren't you a CRM?" and what will be your answer
- I think ARMA and the ICRM should make it their principal goal to enlighten all HR about the CRM
- It makes our community (RM) stronger and places us in a more professional standing

**Recruitment**

- I became a CRM because companies began adding it to their job descriptions as a required qualification
- It is a measure that can be used by HR in the recruitment process
- More jobs now being advertised with this as a requirement
- I was interviewed for a position that would not consider interviewing non-CRM's
- I didn't have the CRM and it cost me a job 2 years ago

- I want my resume to be in the top 1% of the profession
- I don't want there to be any reason for them not to interview me
- From the employers point of view, a CRM can be viewed as evidence that a prospective employee has at least the minimum qualifications for the position

**CRM Exam**

- Studying helped fill those holes without requiring me to leave my job to study elsewhere
- Even those who say negative things about the exam finish off by saying they were glad they did it as they saw it as a major accomplishment
- Should there be any deficiencies in the testing, I am sure we can work them out
- There's a lot of insecurity among individuals about not taking the exam because if they 'knew' their stuff, they would not be insecure and take the test
- I took the CRM and learned a great deal from it despite the RM experience and formal education I had previously
- The exam questions are reviewed each year by a team of volunteers to include new material
- You cannot be a CRM and remain strictly theory based because theory alone does not qualify you to write the 6 examinations

**Salary**

- Most organisations will pay you a little more for the CRM
- The salary survey 1998 showed that our salaries are now about $4,000 US higher than those without the CRM and equal experience
- My marketability and salary level both increased substantially as a result
- I got a promotion after receiving my certification
- My employer does value the CRM and my salary did increase afterwards

**Certification Process**

- Levels of certification would be very helpful
- The networking amongst those who had or were going through the process was good
- The process is a very difficult one, harder than that of the certified archivist or certified document imaging architect
- The process is more stringent than many, but not quite as stringent as some
- We do need formal education programs in our field but it shouldn't be the only entry point into the profession
- Certification is one of a pair of bookends, certification maintenance being the other
- I believe the CRM would benefit from an increased international membership
- My vote - YES for the CRM in Australia

**Morale**

- I did it for the prestige and respect that it brings
- My personal confidence and public credibility both increased after certification as did the status and respect accorded to me by my peers
- I have learned a great deal and it has encouraged me to take up teaching
- I have found the experience to be a *"can't lose"* proposition
- I am not going to be deterred by the nay sayers the personal rewards are much TOO WONDERFUL to give up
- I have never regretted working towards certification and I learned so much while I was studying
- I am personally happy and proud to wear the designation
- We discuss real value as if personal satisfaction vs. money or degree vs. experience as if these are somehow mutually exclusive

## CON CRM Comments

**Grandfathering**

- Some of these people would never pass the CRM exam
- If you are already a bonehead, being a CRM is not going to change that

**Professionalism - Self**

- ARMA needs to develop job descriptions and levels of competency for RM positions
- Not having the CRM certainly does not make me less of a records manager
- I have been in the profession for 27 years now and I do not feel that I need a designation for the proven experience I have spending as much as 5 years of valuable time, obtaining 3 letters to place beside my name, confirming my experience, seems to be a backwards approach in my view
- We still have a vast number of us who learned on the job
- I work with someone who is not a CRM and she is a wealth of information and is so willing to share her knowledge with anyone who is willing to learn

**Professionalism - Public Awareness**

- Among the general public and business community I suspect the CRM remains a mystery
- CRM is not the same as CPA in the US if you're not a CPA you can't legally audit/represent a clients books in a court of law
- CRM is an honorary title only there is no RM function that you need a CRM to perform
- There is still not enough schools offering advanced degrees in our discipline
- We have to continually educate our employers and our clients
- We have failed to work with Human Resource and Personnel organisations on a national level to identify the various stages of a records managers career

**Recruitment**

- I would be surprised if all of the jobs posted with the CRM requirement were actually filled by CRM's

- In my experience, experience gets you hired, not initials
- I found that it did open doors especially with clients

**CRM Exam**
- Not based on practical applications
- Maintenance program too arbitrary
- Attacking any form of testing standard is becoming an epidemic here in the US
- I am concerned about the targeted audience of the CRM exam
- Why doesn't it cover the content management areas such as imaging, workflow and EDM?
- If we don't include the electronic areas, we will be viewed as obsolete
- The biggest challenge is keeping the exam up to date

**Salary**
- Attaining the CRM has not had an impact on my salary
- I see the most mundane and trivial archival jobs requiring the CRM but still paying in the low to middle $20k
- The university is advertising for an administrative assistant for about $4,500 a year more than I make with three years experience on the job it makes one seriously consider changing careers

**Certification Process**
- Does not have a reliable system of checks and balances
- Not uncommon for a employer to exaggerate the employees job description to enable meeting of the minimum requirements
- Changes in certification requirements not well advertised
- There is no established course of study that leads to the CRM
- I believe that a forced 1 year practical internship will have the same end result as this certification

**Morale**
- There is incompetence in every field; it doesn't get screened out by tests or certification or advanced degrees and sometimes an individual never gets fired don't you wonder how they do it?

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# Records Management in Sweden: The Amazing Right to View Public Records

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**Abstract**

Archives and records management in Sweden has a unique additional function, servicing the country's Freedom of the Press Act, which allows the almost totally unhindered right to anyone to inspect public records. It's a right the author is proud of but which gives archivist a number of extra headaches. In Sweden, archivist are the records managers. No differentiation is seen between the two parts of record keeping.

We have a long tradition of archives and records management in the public sector of Sweden. We often say that the tradition of managing records in an organized way for the whole country began with King Gustav Vasa in the 16th century. He had to have control of what he demanded of or promised to his sheriffs so he made copies of all letters he wrote. The copies of all his outgoing letters are still kept in chronological order in the Swedish National Archives (Riksarkivet) where we can admire them.

Dealing with documents and records in the public sector of Sweden is regulated by many rules. Some of these are of great importance and influence the way we organize archives and records management in many ways. I will try to give you the background.

We do not divide work with records into records management and archives management. They are parts of each other and the regulations are applicable to managing records one way or another. Records are, from their beginning, considered part of the archives and people working with archives and records management are all called archivist.

The rules that are most important in records management as well as archives management are:

- The Freedom of the Press Act, that regulates the public's right to access work carried out by a public authority
- The Act on Secrecy that limits the right of inspection
- The Archives Act and the Archive Ordinance which regulate the rules of the Freedom of the Press Act concerning archives and keeping of records in public authorities

Apart from these three, there are also other laws that regulate archives and records management, e.g. the Administrative Procedure Act and the Data Protection Act. But, I will not go into these as they are, in many ways, just further and more detailed interpretations of the first three when it comes to records management.

## Freedom of the Press Act

The Freedom of the Press Act is a fundamental law and the most important of the laws that regulate

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archives and records management in Sweden. A fundamental law is a bit difficult to change. A change can only be made after Parliament (Riksdag) has voted on it twice, with an election in between. It is a law on a very important matter and it should be difficult to change it.

The law has its roots in the way we made decisions in the early middle ages when we stood inside a stone circle and listened to the information given before voting on it. The first Freedom of the Press Act was constituted in 1766 when the two political parties we had in Sweden at that time needed something written down to give them a right to see what the other party did.

It makes it a bit old fashioned. Even though it has, of course, been modernised since 1766, it is not always up to date. This makes it hard to use sometimes, especially when it comes to digital records.

The most important function of the Freedom of the Press Act is to secure the Principle of Public Access. The law says that in order to encourage the free interchange of opinion and the enlightenment of the public, every Swedish subject shall have free access to official documents.

Therefore, the Act also defines the concept of a public or official record. It is a record that has been received by or drawn up by a public authority, regardless of media. This means that it includes email, fax, etc. And it is a public record as soon as it is received or drawn up. It has nothing to do with whether it is captured into a records system or not.

The access to public records also includes foreigners. It has to, because you do not need to say who you are or why you want to see the records.

You do not even have to know exactly what records you want to see. It is enough if you can simply describe it in some way. The rule is that any ordinary person can go into any public authority and, for instance, ask for the incoming mail for a particular day.

According to the law, the person responsible has to put the correspondence forward immediately. If someone asks to see records that are not quite defined, the personal still has to start looking immediately and not stop until the record is found. That can take a while and cause a great deal of trouble if the records are not properly registered. The authorities are not allowed to charge anything for this.

The Principle of Public Access means that everybody has a right to see public records as soon as they have arrived or been drawn up. This applies not only in the archival institutions but also in the offices of the public authority. Every authority has to be prepared to show their records at any time during office hours.

The Principle of Public Access is to us in Sweden a guarantee that the security of life and property is not violated and of the effectiveness of the work of the authorities. It also promotes the public's confidence in the authorities. We are very proud of it.

## Will Europe Follow?

The Swedish government considers this principle of such vital importance that Sweden is trying to make it a general principle in the European Union in Brussels. We have had some success and there is now more transparent organisation even if it has not been carried through all the way. Now, I hear that the United Kingdom is going this way, too.

Sweden has very active and very alert journalists working with the help of this law. They are very aware of their rights according to the Freedom of the Press Act to see all records. And the principle of public access is frequently used to dig out information about politicians and other public persons. We have had some *"affairs"* that has been dug out lately and forced some politicians to go into hiding for some time.

The journalists are, as I said, well aware of their rights but unfortunately not so often of their obligations. They can be very demanding. Some schools, especially those for journalists and archivist, are actually doing tests to see how well the authorities follow the rules.

- Are they aware of the principle of public access and what it means?
- Have they got routines to take care of the public and give them what they want?

The public's right to study public records is unconditional. An authority is accordingly, among other things, obligated to maintain the record for a certain period of time and to have a system where one can see which records are kept and where to find them.

In order to make this possible the Act on Secrecy states that all public records must be registered immediately and some information about the record noted. These rules also include electronically generated documents.

## The Act on Secrecy

As we all know it is not proper to reveal everything to everyone. Some information should be confidential for certain reasons. Therefore there are exceptions from the Principle of Public Access. These exceptions are all given in the Act on Secrecy.

The Act states those records that cannot be accessed by the public, records concerning the security of the state, records concerning competition oriented activities, information about people's health and parts of business transactions, for example.

As openness is the foundation, every exception from this given in the Act on Secrecy is just that, an exception. Nothing that is not in this Act can be confidential and has to be available to the public. We have just two levels, either open or confidential.

## The Archives Act

The third of the important laws concerning archives and records management is the Archives Act that is a general law with an Archive Ordinance and a number of statutes connected to it. The Archives Act, as such, is rather new. It was implemented in 1991. But we had archives laws earlier. The new one is just set up in a different way.

Its most vital rule is that the archives of public authorities shall be preserved, kept in order and maintained so that they satisfy:

1. The right of access to public records
2. The need for information for the administration of justice and public administration and
3. Research requirements

The acknowledgement that archives are a part of our national heritage and that government and municipal authorities are responsible for their own archives in a specific way is new to the Archives Act.

Each authority is responsible for the preservation of its own archive and for how it is maintained. They have the economic responsibility for shelves, classification and maintenance even after delivering the archives to an Archives authority.

This is mostly good. It makes the authorities interested in having good records management right from the start. It does not cost so much in the end when you classify and structure the records from the beginning and you probably do not need so many shelves. Most of the authorities can see that good records management gives an economic advantage both when you keep records and when you deliver them to the Archives.

As a base for the preservation of their archives, the authorities must pay heed to the importance of registration. It must be well organised to make it possible to search the documents with ease. There must be an archive index, and a description of the archive, if possible, to give the public an opportunity to study the public records as they have a right to do.

Writing material and methods required for long-term records must ensure that the records last for as long as they are required. Public records can be destroyed only if the National Archives gives its permission and therefore there must be no risk that they are going to deteriorate because of bad material or become unreadable because of bad hardware or software. We have standards on what material to use.

In the case of the government agencies, it is the National Archives that makes the decisions. The municipalities decide for themselves. They have their own archival authorities.

## Archives Act Controls

The Archives Act also states that documents and their contents must be protected against damage and inappropriate use. Proposals for construction or reconstruction of archival facilities must always be submitted to the National Archives for approval before the authorities are allowed to use them.

The records must be preserved and maintained in a way that makes it possible to keep them readable forever, if that is what is decided by the archives authorities.

This means that you have to have good storage conditions right from the start. Every public authority has an obligation to protect its records against destruction, damage, theft and unauthorized access. That means approved storage facilities and archival storage. Fortunately, we do not have to worry much about insects and earthquakes in Sweden but we have to consider temperature and humidity.

This regulation applies to the public sector both governmental and municipal but not government-ruled corporations; not yet, anyway. But a committee is going to look into the matter and perhaps the regulation will apply to all public authorities and companies owned by the public sector in a couple of years.

These laws are not mandatory to the private sector in Sweden but this long tradition of managing records that we have has in many ways rubbed off on companies because they can see the benefit of it.

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The private sector itself has many laws and rules that regulate at least part of its records management. There are laws regulating the handling of documents concerning economical transactions, taxes, environment, health and other conditions of the employees, buying and selling and so on.

The difference from the public sector is that there is a little about records in many laws, I think it was about 400 different laws when somebody last made a count. They are not, as in the public sector, kept together in three or four laws only.

And on top of that, we have the standards ISO9000 and 14000. I do not think that the private sector has it any easier than the public when it comes to rules and regulation about records. The difference is that private organisations can choose how to manage their records more freely than the public sector in Sweden.

## The National Archives

The National Archives is sector responsible and has general responsibility for all archival work within governmental bodies. It is authorised to issue statutes concerning public sector archival matters. The National Archives makes rules for the governmental sector but can only advise other parts of the public sector.

Municipalities make their own rules to comply with the Freedom of the Press Act, the Act on Secrecy and the Archives Act and issues statutes. The statutes and rules issued by the different archival authorities are the Swedish standards on records management.

The Swedish archival authority is divided into different parts. It is the Swedish National Archives that has the overall responsibility and works with central government authorities. Then there are nine provincial archives that deal with regional and local authorities. Most of them were founded at the beginning of the century and actually celebrated their 100th anniversaries in 1999.

The municipal authorities decide, as I said earlier, when it comes to their own work but often organize archives authorities to function in much the same way that the National Archives and provincial archives do in the public sector.

Almost every municipality has its own archives and is helped, advised and inspected by an archival authority specialized in this area of records management.

Also many of the big organizations have their own records and archives management with archivist working much the same way as in the public sector.

All archival authorities make inspections and visit their authorities to give advice and see that they are doing as they are told according to the law.

In Sweden, as everywhere else, there are many professions apart from archivist that use and work with records and information. We have, for instance, documentalists, plus those who work with different data-projects, and information operators. But, in Sweden, we also have three different kinds of archivist. I do not think that all of them would agree, but I think this is a fact.

These three kinds are the archivist working at the archival institution, archivist like me working in a public authority, and those working in companies. They all have different ways of doing their job, different approaches.

Working with archives and records management in an authority or a company means that you are not employed by the National Archives or any provincial archives, but by the organization for which you work.

It is the public authority that has the responsibility for the archives and for seeing that the requirement of the Freedom of the Press Act and the Archives Act are fulfilled and it is mostly the archivist that has to find the right way to do this. He or she must know the details of the laws concerning archives and records management and be able to interpret them.

## Archivist in Law Offices

Because of this, archivist often work in close contact with the legal department or, as I do, belong to the legal department. There is often more than one archivist each responsible for different parts of records management in big organizations.

This is the situation in bigger authorities, but smaller ones in many cases do the work without an archivist of their own or by combining the work of the registrar with managing records and archives. In those cases, the big decisions are made by the management in governmental authorities that can turn to the national or provincial archives for help. A municipal authority has its special archival authority to lean on.

An archivist in a company works in much the same way but has more decisions to make on how to handle the records because the rules are not so specific. They have laws to follow, of course, but as there are none dealing specifically with records management in companies, the work is more difficult.

Far from every company has an archivist and many of them do not consider records management important at all. But more and more of the Swedish companies see the benefits and create records management departments.

The really big companies like the forestry giants Stora and Modo, each just as big as carmakers Volvo, have well functioning archives and records

management. They tend to concentrate more on the archives managing part though and not so much on the present structure.

The archivist employed by an archival authority has a totally different role to play. This archivist takes decisions on behalf of public bodies about, for instance, disposition, including retention periods, and storage of both physical and electronic records. After thorough research, the public bodies recommend to the archival authority which records should be kept, which destroyed and when. But it is the archival authority that makes the actual disposition decisions.

The archivist also makes inspections and visits to see that the authorities themselves have all the routines they need to handle their records in an appropriate way according to the law.

## RM Not in Two Parts

I said earlier that all who work with archives and records management in Sweden are called archivist. That is not quite true. We do not divide management of records into two parts, but we have people doing parts of records management on different levels of the organizations. And they are not all archivist.

The archivist often makes the bigger decisions and decides on procedures and routines but there is always someone who works in a registry filing the records. Every public authority has to have a registrar or, if you prefer, a records manager. Then there are often different kinds of assistant archivist that are not really archivist but are doing the practical structuring of the archives.

In the Swedish Civil Aviation Administration (Luftfartsverket), we have to have different kinds of records managers and documentation coordinators, as we call them, to take care of the records, as it is a very decentralized organization. The CAA manages 19 airports and air navigation services at these and some private and municipal airports.

It is my responsibility, as head of Group Archives and Records, to make everything work according to the law and our own needs. I decide what the goals for archives and records management are to be. There are documentation coordinators or some equivalent in the different departments who actually carry out the work under my directions, one or two in each division. All together they are 10 persons. They, in turn, have assistants to carry out parts of the work.

I meet with them two or three times a year to talk things over and discuss different matters. In between, I keep in touch, give advice and am generally someone to lean on.

Apart from those coordinators, there are also registrars to take care of incoming and outgoing mail. At the smaller airports, the archival function and the registration is handled by the same person but at Stockholm-Arlanda and Gothenburg-Landvetter, both big airports, I have archivist working only with archives and records management and registrars to take care of the mail.

In Sweden, we aim at managing the records in a way that controls the formation of archives at an authority level, when and where the records are created. You should know at the beginning of a documents life cycle what is going to happen to it.

We make directories for the archives as soon as they are semi-current, sometimes even before that, at the authority level based on how archives grow and are used when handlers work with them. The structures made by those who create the records are never changed, not even when the archives are delivered to an archival institution. That is why records management is such an important part of archives management.

## Eyes on the Horizon

As an archivist, you work all the time with your eyes on the horizon, that is, thinking of the whole life span of a record. You decide from the beginning if this is a document that is to be destroyed ten years from now or kept for eternity. We try to get in early with the projects that start data systems. Even in this, you have to think of availability and preservation right from the start, so that you don't have to pick up the pieces and try to make the records available when the system is no longer needed and perhaps impossible to restore.

To make this possible in my organisation I issue instructions and manuals on how to handle documents. These contain rules about registration, how long records should be kept in different kinds of archives, if they are to be kept or, if not, when they are to be cancelled, the records' media and, sometimes, the serial structure of the future archives. All instructions are made to fit the records regardless of media. But we are more and more tending towards electronic records.

This way of working with instructions is common in public authorities and not just my way. These manuals also contain rules on how to handle different types of records in daily life, not just when they are put to rest. Not all authorities have exactly the same routines and procedures but we all have the same foundation in our laws.

Because of the laws, statutes and other rules issued by the archives authorities, all public authorities have much the same way of managing records.

These instructions are more and more created to make it easy for the ordinary handler to understand what to do, how to do it and when. I think it is very important to make every handler a part of this and really make him or her understand the purpose and worth of an effective records management. One way we do this is to have our records

system on an intranet to make it available to everyone in the organization.

Swedish authorities give their employees a great deal of responsibility when it comes to records management. Everybody should know that public records must be registered. In the Civil Aviation Administration, I have empowered the handler to see to the registration when a letter is written or e-mail received. It is their responsibility to have them registered. Then we have people, as I said before, who make the actual registration. These people also take care of mail that is addressed to the authority.

The handlers must also know the Act on Secrecy and make decisions according to it. Every time someone wants to see a public record, the document has to be reconsidered to see whether it is confidential or not. It is not decided once and for all but depends on the situation.

## My Ideal World

This is the ideal world but I am sure that you understand that it is not always like this in the real world, even in Sweden. It is my aim, though, to make the situation in my authority as close to the ideal as possible.

To make this happen I have to devote a great deal of my time to teaching. I give lectures every now and then to inform handlers and their bosses about the rules; make them understand that a functioning records management brings good economics and improved quality.

I also give lectures to those who work with classification and archiving to teach them how to do it my way - that it is a crime to break the rules. You could be put in jail for not following the rules of the Freedom of the Press Act or the Archives Act. You could, not that I know of anyone who actually has, but you could get a sentence of six years in prison if you violate these laws.

The work to design a good records management system and get people to accept it will never end and I and other archivist are needed to give advice, to help out from time to time and, above all, see to it that the whole system does not break down.

There are many demands for a good and smoothly functioning records management these days. The new standards in the area ISO9000 and 14000 demand that good records management is fulfilled. The work to each this standard has been laborious.

But, at least in Sweden, this has given the archival profession a push out into the open. We have been working with archives and records management for centuries and now suddenly there is a general demand for efficiency and order and for archivist to bring it in because someone got the bright idea to include those aspects in an international quality standard. It looks to me like the emperor has made yet another set of clothes for himself, but we are riding the wave.

## The Author

Anki Steen has been an archivist since 1977 when she joined the Provincial Archives of Gothenburg (Göteborg) and worked as an archives inspector and adviser to government and municipal authorities. She moved to the Swedish National Archives in 1987 to work on private archives (people, estates, companies, organizations). In 1990, she was appointed head of Archives and Records Management at Chalmers University of Technology, Gothenburg, where she developed a new records management system. She joined the Swedish Civil Aviation Administration (Luftfartsverket) in 1995.

This paper is also available on the Records and Information Management On-Line Service (RIMOS) at **http://www.caldeson.com/RIMOS/steen.html**


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# State of Australasian Records Management

## Cricket, Rugby and Records Management ... We've set the Standard

**AUTHOR**

**Mike Steemson**
Principal,
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**Abstract**

Triumphs in sport, triumphs in records management: Australasia shows the way to the world. A review of records management in the South Seas continent. A digest of the author's paper to the joint RMAA-ASA seminar in Melbourne in November, the full version of which may be seen at www.caldeson.com/crimby.html.

**The title was my own idea. I have no one to blame for its presumption. As is perhaps obvious, I thought of it when the New Zealand All Blacks were still being tipped to win the recent Rugby World Cup. It would have been a neat Australasian analogy - Australian cricket, New Zealand Rugby, Australasian Records Management. With hindsight, I should have added netball.**

The way things turned out, Australia certainly set the sports standards. Her cricketers easily won the first Cricket World Cup in mid-1999. Sadly, the All Blacks went down in clouds of chicken feathers and bok fur but to my relief and delight, the Wallabies saved my theme by giving the French Cocks a pecking. My proposition was saved.

Australia has set the standards. But, the standards this title is mainly concerned with are records management standards - the rapidly-developing ISO document and the now world-famous Australian standard, the six-part, ground-breaking Standard for Records Management, AS4390.

Let me, an Englishman living in New Zealand, say that publication of AS4390 on February 5, 1995, was the most exciting and significant global event for records managers since we emerged as a separate discipline. It gave us a set of rules and a code of practice to work by, and not just in Australia.

It has been the pivot, the catalyst, and the driving force behind almost every Australian government information management initiative since then. An exploration of Australasian recordkeeping clearly reveals this.

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Soon after AS4390's release, records managers in Britain, the United States, Europe and New Zealand began data mining its parts, stripping out seams of good advice and precedents for use in their own environments. The Australian Standards authority put AS4390 up to the International Standards Organisation in 1997 to be fast-tracked into place as a world code. The fast-track proposal just made the 70-vote break point, but its Australian sponsors weren't happy with that and a new ISO sub-committee was created to study the project. The rest is history.

In hindsight, it's perhaps just as well that AS4390 was not accepted in its entirety, judging by the argument and disagreement that has beset the processes since then. The Australian applications of records management principles, the *"how do's"*, don't fit every nation's procedures. But with the adoption of the two-part ISO document, the ISO15489 Standard and the Technical Report, the *"how do's"* log-jam was cleared early in 1999 and now we're on track for a world standard that will largely supersede AS4390 outside Australia.

That's not something to be sad about. AS4390 has done the job I believe it was made to do. It has massively raised awareness of the need for records and information management. It achieved this mainly by simply getting a nation's backing for the idea. But it did it also by giving us, the archives and records managers of the world, a code, a set of rules, to strengthen and support us when, as many have done, we wave it under the noses of chief executives and say ***"We need some of this!"***

Apart from the world-beating standard, what is the records management scene in Australasia? I can tell you that actually it is good. In Australia particularly, government and local government agencies using AS4390 to sharpen their record keeping, widen their control and management of rafts of processes in whole-of-government procedures that sometimes actually mean *"whole-of-government"* but often just *"whole-of-organisation"*.

The National Archives of Australia and many Australian State archives and records agencies are developing standards, guides and codes for almost every aspect of information management. In New Zealand, the National Archives and the Ministry of Justice particularly have devised policies, standards and codes for a number of records management processes, and more are under preparation by the National Archives.

Local government organisations are less adventurous in both countries but even this picture is becoming increasingly dynamic as bigger authorities grasp the technological nettle and re-engineer their processes to put AS4390 principles and 21st century software to work for them.

Our professional organisations have got heavily and publicly involved in records controversies. The Australian Society Archivist and the Records Management Association of Australia have been berating their governments, federal and state, for records miss-deeds, especially in Queensland and Western Australia. Across the Tasman, the Archives and Records Association of New Zealand, usually known by its acronym ARANZ, and the New Zealand Society of Genealogists, affectionately called *"the genies"*, have harassed one of their government departments with court action and hobbled plans to emasculate the country's National Archives.

## The Archives Intellectuals

Australia's role in the development of business records management wasn't just found under a Homebush[1] in the late 20th century. It began 50 or more years ago with early archives intellectuals like **Ian MacLean**, the first Australian Commonwealth Archivist. Then, **Peter Scott**, a young linguist who joined the Archives in the 1960's, proposed function-based file series, describing both a record's description and its administrative context, as a way of managing records. In those pre-electronic days, the word *"metadata"* was not known, but that's what Peter Scott was talking about.

The young Australian's thinking was not immediately understood or appreciated, even after its publication in the ***American Archivist***[2], but modern information academics have since acknowledged his breakthrough thinking, people like Canadian **Terry Cook**, the information management don at the University of Manitoba, who told an international archives conference 30 years later[3]:

*"Peter Scott is the founder of the post-custodial revolution in world archival thinking. Although he worked in a paper world, his insights are now especially relevant for archivist facing electronic records"*

Peter Scott's radical theories and Monash University lecturer **Frank Upward's** development of them as the continuum management of records, laid a firm foundation for AS4390 and the records manager's Day of Salvation in February 1995.

After that, records management in Australia began to take off. There has been a surge of interest and in-put by the Australian Government in recordkeeping. Listen to the Director-General of the National Archives of Australia, **George Nichols**, reporting to the nation in his review at the end of 1998:

*"Records management has a low profile in government agencies and consequently there has been a tendency to give it low priority as a result. The Archives has moved in recent years to address this problem by providing much more authoritative advice to government*

*agencies about best recordkeeping practice and through consultation and training programs has attempted to see that implemented."*

And how does the National Archives achieve this? By following AS4390. George Nichols says so in the first tenet of the archives' *"Statement of Responsibilities for Managing Government Records"* he sent to government Heads of Corporate Services before Christmas last year. **Mr Nichols** called it *"the most important information I have had to communicate to Commonwealth agencies"* [4]. The Statement says:

*"The National Archives will:*

*"1: Provide standards and advice to support recordkeeping systems that comply with the Australian Standard on Records Management (AS4390)."*

Mr Nichols could not have been plainer than that!

Second tenet of the Australian archives' responsibilities is the provision of a *"whole-of-government general thesaurus"* for titling and indexing administrative records and developing a disposal authority based on the Keyword Triple A (AAA) thesaurus to assist with the management of records from creation to disposal.

## That Hateful Acronym

For just a moment, an aside: I suggest we find a different term for *"whole of government"*. I say so simply because of the very unpleasant acronym it creates. Earlier this year, I was socialising with a group of records managers when a jolly, Caucasian member light-heartedly remarked how amusing it was that the **W.O.G.** systems had suddenly made the word *"wog"* politically correct again. We laughed, but I saw the faces of fellow partygoers whose ancestors are not all European. It was only a joke, but their hurt was palpable. Make no mistake, *"wog"* is still a very dirty word. It's down there with the worst of the four-letter words. It's still not remotely politically correct.

I offer *"all-of-government"* as an alternative. You can't make much of **A.O.G.**, can you? It could just conceivably be pronounced *"egg"*, like the curate's breakfast. That wouldn't be inappropriate. Most government is good in ***some*** parts. Alternatively, there's *"whole-government"*, *"government-wide"* or *"whole of organisation"*. That last one at least creates a sweet acronym, *"woo"*.

Back to Mr Nichols' *"Statement of Responsibilities for Managing Government Records"*. Here is the evidence: a government committed to the principles of records management.

In the past couple of years, National Archives has published a plethora of records management guides and codes. Its newest one, the ***Recordkeeping Metadata Standard for Commonwealth Agencies***, requires agencies to *"identify, authenticate, describe and manage"* their electronic records in systematically to meet business, accountability and archival requirements.

Metadata management is at the heart of Australia's record continuum, the ultimate though unrealised outcome of the MacLean and Scott philosophies that could, and I'm certain will, soon lead to extended use of automated registration and disposition of documents in government and, more particularly, in private business.

Strange, isn't it. Another unforeseen result of these two gurus' brainstormings is that the distinction between the work of records managers and archivist is becoming increasing indistinct. The argument amongst Australian recordkeepers for the merger of our records management and archiving professional organisations gains weight as a result.
As ASA President, **Adrian Cunningham**, the National Archives' Director for Intellectual Control of Records, put it in a conference paper in 1998[5]:

*"The case for a continuation of the strict separation of archivist from active recordkeeping has become completely unsustainable."*

But, I digress, again. I was dwelling on the efforts of Australia's National Archives to prepare government agencies for the technological tyrannosaurs of the 21st century with an armoury of recordkeeping standards and guidelines.

## Two Important Tools

National Archives is developing two important tools to assist users of the huge amount of government information on-line, the Australian Government Locator Service (**AGLS**) metadata standard and its related Australian Governments Interactive Functions Thesaurus (**AGIFT**).

The AGLS metadata standard is a set of descriptive elements that government departments and agencies can use to improve the accessibility of their services and information over the Internet. AGIFT will take advantage of the AGLS functions with, hopefully, search capabilities that help users get their heads around the bureaucratic terminology used by federal and state administrators. The thesaurus links over 30,000 plain English words with roughly 450 terms used by government bodies when describing functions created in official records. The thesaurus is still in development. One hopes it lives up to its optimistic acronym.

The Australian Government isn't keeping all its information management eggs in the National Archives basket. The Department for Communications, Information Technology and the Arts has two busy information management progeny, the Office for Government

Online (**OGO**) and the National Office for the Information Economy (**NOIE**), in its stable.

The Office for Government Online became part of the DCITA in October 1998, under the leadership of Chief Government Information Officer, **Glenys Roper**. It's developing what it calls a *"Shared Systems"* suite of information management software to help the burgeoning numbers of government agencies, federal and state, to link with one another on-line. Project Manager of OGO's Information Services section, **Greg O'Shea**, describes it as overcoming the *"Tower of Babel"* syndrome. It's a magisterial concept, trying to pull together a mass of different systems and system users into a compatible network that all staff can use and feel happy about.

First outward sign of the government's integrated service is the Commonwealth Government Entry Point service, at the web address http://www.fed.gov.au. It's a brave start, but when you wander through the labyrinths of the multitude of government websites - more than 80 per cent of government agencies have one - you quickly discover what a great deal of work OGO has to do to reach the Chief Government Information Officer's aim of easily accessed, reliable and complete information.

Some of the State government's too, have been hard at work getting their records management processes up to AS4390 scratch. In fact, responses to pretty much all the questions that daily engage records and information managers can be found amongst the services and information offered by the States records offices.

The New South Wales State Records Authority's comprehensive Keywords AAA thesaurus of general terms - the A's stand for *"Accuracy, Accessibility and Accountability"* - has been adopted by the Commonwealth government and the governments of New South Wales, Western Australia, South Australia and Tasmania. It's a pretty impressive outcome for a process that was implemented in Sydney only four years ago.

At least two States, South Australia and Victoria, have produced guides for managing electronic records. The Australian Capital Territory is setting up a government archive authority and it has an extensive on-line information providing project, ***Canberra Wired***, that needs considerable records management input. The Northern Territory is creating a completely new records management structure for the whole of its government. Western Australia has established a Freedom of Information Commission.

Queensland has a raft of guides and policies on records management concerns such as paper storage, management of *"visual resources"* - maps and pictures, but also video eventually, I suppose - retention and disposal, and a ***Disaster Preparedness and Recovery Manual.*** Almost every State has well-developed policies, guides or standards for the appraisal, disposal and retention of public records, most notably New South Wales, South Australia, Victoria and Tasmania.

## Local Government Action

All this advice, some of it backed with legislative big sticks, is beginning to take effect outside national and state governments. Many larger local authorities like Queensland's Ipswich City Council and RMAA President **Chris Fripp's** employers, the Council of Sutherland Shire, the huge district south of Sydney, have grabbed at the new technologies to improve their internal record keeping and service to ratepayers with new Australian information managing software - and Australia has ***world leading*** records management software designers and manufacturers.

High as is the government-based interest in recordkeeping, the same cannot be said generally for the private sector, driven as it is by market forces and commercial sensitivities. There may have to be more of the recent high-profile court cases for Messrs Slater and Gordon to battle with, cases like the Victoria gas crisis, the Sydney water contamination concern, the McDonald's prizes and the oyster suppliers' hepatitis scares, before the mass of private businessmen realises the dangers facing it from poor record keeping, the perils of records discovery, legal admissibility and evidential weight of archived documents.

Why then has Government made such huge strides in recordkeeping, grasping so willingly the tenets of AS4390 and the other guidance? Of course, there are responsible and clever men and women who have shown the way, but equally I am in little doubt it is in part to do with the large number of records scandals that have beset various state governments in the past decade:

The 1987 federal Royal Commission into Aboriginal Deaths in Custody in which allegations of improper recordkeeping got lost amongst the evidence of other malpractice but touched almost every State; Queensland's Fitzgerald Inquiry of 1988; the Heiner Affair and Western Australia's 1994 Royal Commission on Government.

These and other inquiries have been formative in Australian recordkeeping processes. I am certain they have had considerable impact on the legislators, mover and shakers in the Commonwealth and the States of Australia.

I almost wish New Zealand had something similar to put spur to its apathetic politicians and public. It's difficult not to let all this Australian activity overshadow what's happening in New Zealand. It's not as high-powered there, but there are excitements, too.

For the past decade or more New Zealand leaders of all political colour have been relying on market forces to drive the economy, clinging with

increasing desperation to the *"user pays"* dogma while the Kiwi market continues to show it hasn't force enough and the users get increasingly less able or willing to pay.

The whole ghastly process has had a shattering effect on archives and records management within government and the private sector. Many privatised or corporatised government departments have locked or thrown away former government archives and their management processes in the scramble to attain profitability, hiding the lacerated records behind business sensitivities, muddying constitutional challenges and depleting heritage records. Government agencies that formerly had good or at least adequate record-keeping systems have abandoned them in repeated cost-cutting exercises.

In the midst of this, the National Archives of New Zealand has been re-organised not once but three times. First came a ludicrous drive for the National Archives to make a profit. Then, the Archives' controlling agency, the Department of Internal Affairs, began merging it with a new heritage ministry, down-grading the office of the Chief Archivist, skewing the focus from a statutory-regulatory purpose to a history function and hiving its finances off into other projects.

## ARANZ Court Challenges

The Archives and Records Association of New Zealand, the equivalent to the RMAA, and the New Zealand Society of Genealogists significantly slowed but did not entirely halt this process with their long-running, hugely expensive court challenges. Now, there is yet another plan to separate the Archives into a stand-alone unit within a new Ministry of Culture, heaven forbid!

Despite these constant distractions, National Archives has produced a series of codes and standards for government agencies most of which could, like the Australian set, apply with equal value to private industry, if only it would pay attention. First was a code for managing electronic records. Then came standards for Public Records Appraisal and Records Transfer to National Archives. A standard for Record Storage by Creating Agencies was due next and all these documents are or will be freely available on the Archives' website[6].

These developments date largely from the arrival in Wellington of a man known to many Australian recordkeepers, Sydneysider **Chris Hurley**, once the keeper of public records in Victoria but now New Zealand's top archivist and the country's own recordkeeping guru. He joined the Archives as business manager in 1996 during the drive for profits and was promoted to head the institution a year later.

Despite New Zealand government apathy, records management research and development is struggling to the surface among larger government departments, most notably and commendably within the Justice Ministry. The Ministry's initiative has had an exciting outcome, the new records management strategy and policy of the Waitangi Tribunal, the agency that establishes the merits of Maori tribal land grievances and makes settlement recommendations to the Government.

Much of the information that the Tribunal receives during its investigations is what it calls *"primary evidence"*, memories and tribal history spoken, sometimes even sung by elders and tribal historians. This evidence is always voice-recorded. Increasingly, nowadays it is also video-taped. Often Tribunals are held near the land around which the historic grievance is centred. When witnesses speak about a mountain or area of bush, for instance, they may not use a name but look or gesture in the direction of the feature. The recordings help make clear to Tribunal adjudicators what was meant. It's a fascinating concept and is providing Waitangi Tribunal recordkeepers with a fascinating problem - not just the storage of many video tapes but also the indexing of their contents. How do you index body-language? The Tribunal is learning. It's cutting edge records management and I suggest of particular interest to Australia as it gets to grip with the grievances of its own indigenous people.

In the last couple of years a number of other Ministries have been nibbling at records management. The New Zealand Law Commission has published the country's first authoritative examination of e-commerce, which is available on the Web. The State Service Commission, the department that controls the running of government ministries, has issued its ***Policy Framework for Government-held Information***, a high-level document by Government department chief executives recognising information as a strategic resource. Metadata considerations are being given a higher priority by the Department of Internal Affairs, which runs the New Zealand Government Online gateway to the 200 agency sites. The Environment Department, responsible for the government-wide Officials Working Group on Metadata, published a ***Draft Metadata Framework*** early in 1999.

Like Australia, New Zealand has a number of adventurous local authorities that are embracing new recordkeeping processes and technologies. But too many others are still dissuaded from taking the plunge either into process or systems re-design for fear of ratepayer backlash.

Like Australia, too, many of the local branches of big, global corporations have plugged into their parental information management systems with some glowing examples of success. But in other companies, the story is no better than the ubiquitous filing cabinet and an over-worked secretary. It's not confined to the little men, either. One of the biggest conglomerates, a household name on both side of the

Tasman, has a well-developed records management department that tries hard to keep its organisation up to management standard.

After a recent period of navel-gazing within the company, the records management department was told to reduce its efforts at bringing departments into line with the agreed procedures. It seemed that, during the staff appraisal interviews, there had been complaints that the recordkeepers were *"making too much noise"* in departments that considered they already had proper systems in operation.

### The Australasian Evangelists

Here's where the real work of conversion lies. Company information workers can beaver away within, planting the seeds of sedition and recordkeeping progress. But the biggest challenge and the hope for improvement in the private sector lies with the records management evangelists like Australia's Len Asprey, Conni Christensen, Julie Apps, Judith Ellis and Neil Granland, or New Zealand's Susan Skudder, Miranda Welch, Rachel Lilburn or Liz Wilson.

Australasia is full of big names in recordkeeping, names that are known around the globe. Some I've already mentioned, but there are more. Names like Sue McKemmish, Frank McKenna, Brand Hoff, David Moldrich, Graham Pratt, Barbara Reed, David Roberts, Steve Stuckey and many others.

As we stare a new millennium in the face, with all its challenges and excitements, information highways and by-ways, these people and their successors will keep Australasia up at the continuum edge of record management. That's not a matter of doubt. You can bet on it.

### Endnotes

[1] **Homebush,** Standards Australia's Sydney home suburb.

[2] **Peter Scott,** *"The Record Group Concept: A Case for Abandonment"*, *American Archivist,* vol. 29, no. 4, Oct. 1966.

[3] **Terry Cook,** *"Archives in the post-custodial world: interaction of archival theory and practices since the publication of the Dutch Manual in 1898"*, 13th International Congress on Archives, Beijing, China, 1996.

[4] **George Nichols,** letter to Heads of Corporate Service, Government agencies, December 8, 1998.

[5] **Adrian Cunningham,** *"Dynamic Descriptions: Australian Strategies for the Intellectual Control of Records and Recordkeeping Systems"*, Royal Society of Archivist of the Netherlands symposium, Amsterdam, Netherlands, 23 October 1998.

[6] **National Archives of New Zealand, http://www.archives.dia.govt.nz/**


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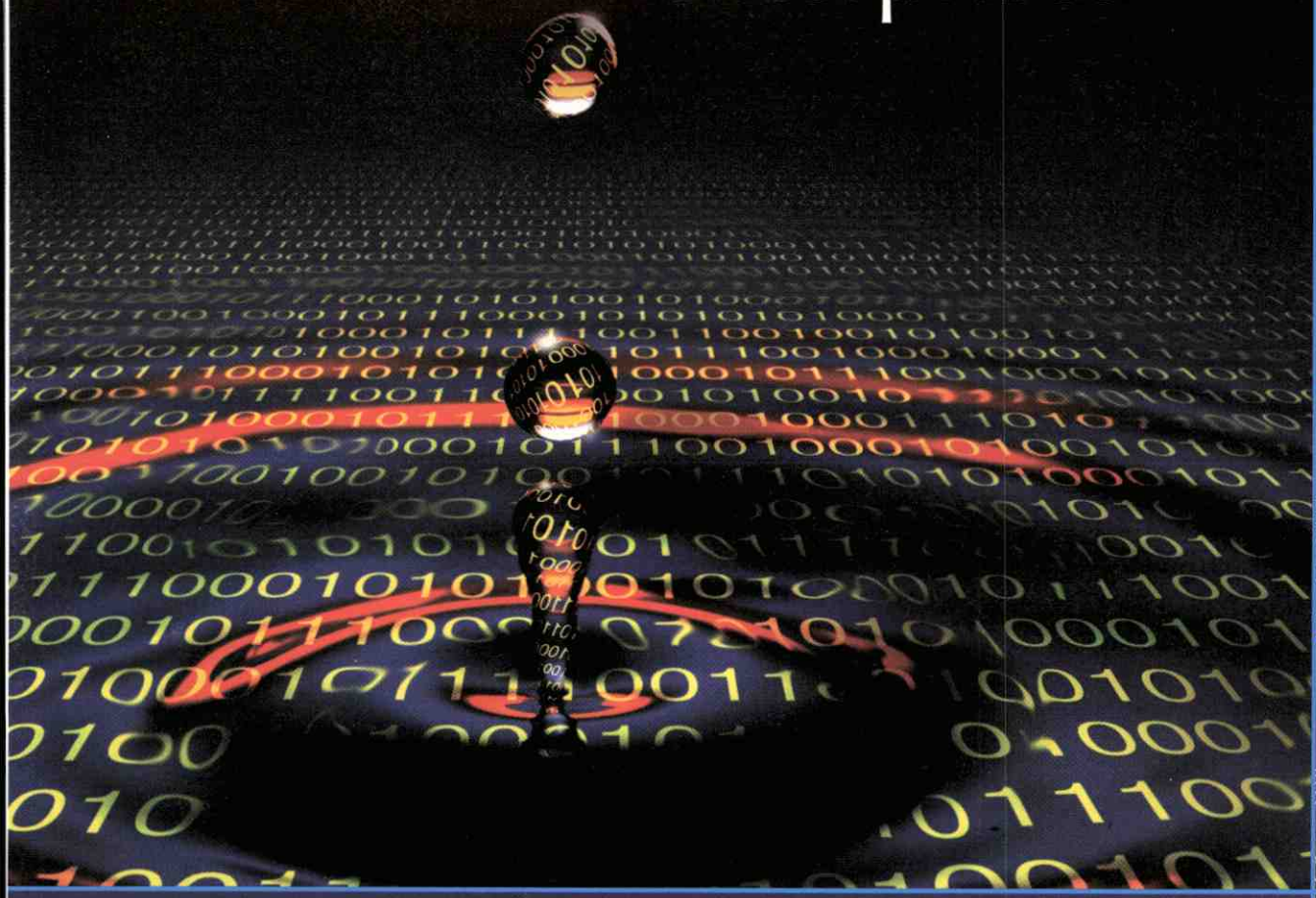

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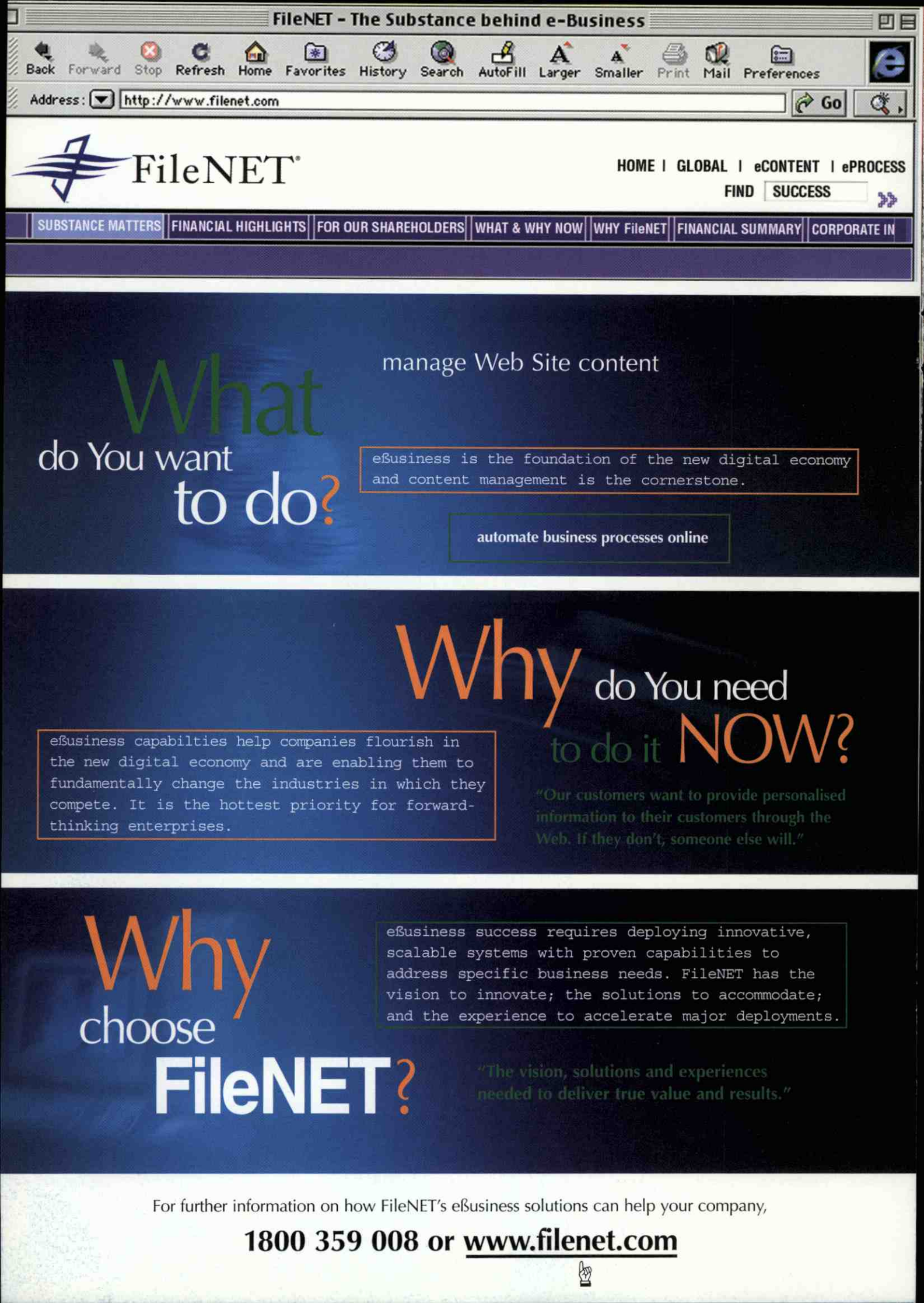
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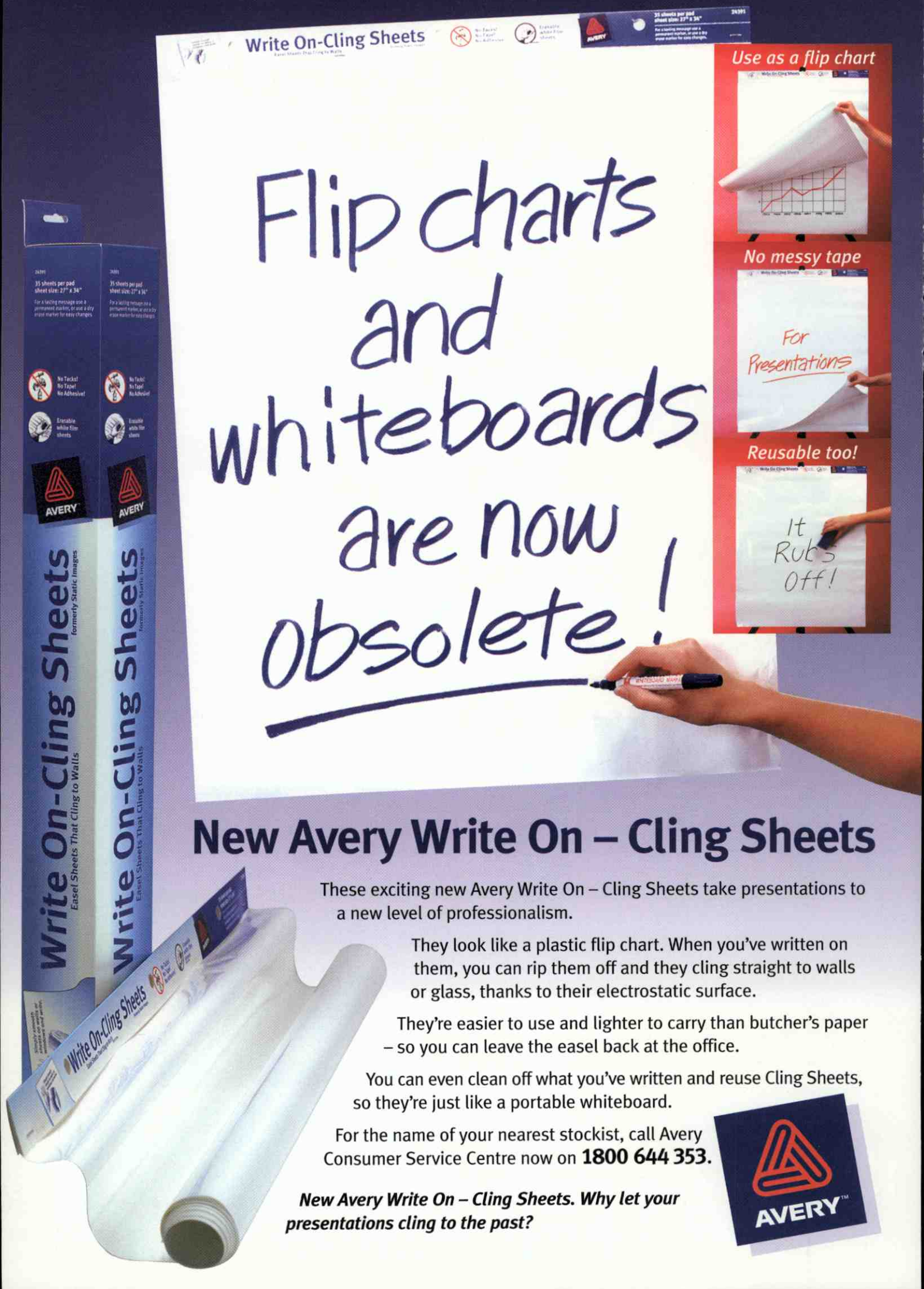


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# Discovery Of Records Management In France And Its Consequences

**AUTHOR**

**Philippe Barbat**
Curator,
French Records and Archives Directorate

## Abstract

Paris City Archivist Yves Pérotin first identified records management practices for France during fact-finding visits to the U.S. and Britain in the 1960's. His reports back to the Prefect of the Seine laid the foundations for French national archival practice and put archivist firmly in charge of recordkeeping in the republic. The author, curator of the French Records and Archives Directorate, outlines the unique history of the French development in this paper he presented to the joint RMAA-ASA seminar at the end of the Archives and Records Management Week in Melbourne in November.

## 1. Discovery of US & UK RM by French Pioneer Archivist

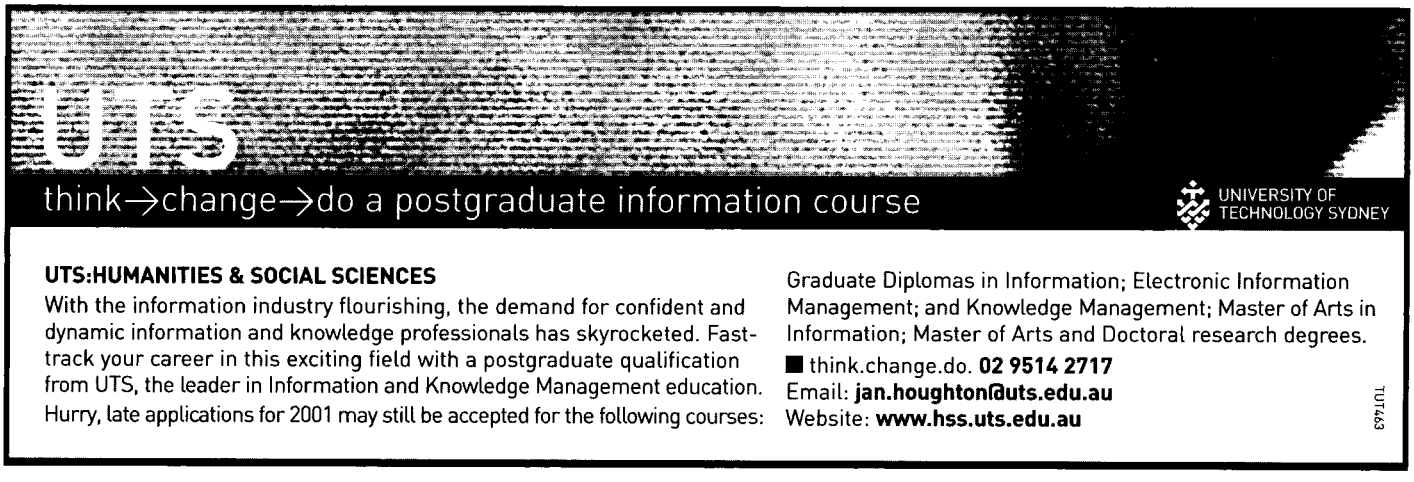
It is thanks to two fundamental articles by Yves Pérotin, archivist of the City of Paris, that French archivist discovered records management. The first was the report of a professional trip to the United States that Yves Pérotin, then Director of the Archives of the Seine (Paris), made on behalf of the Prefect of the Seine (Paris) in October 1961. The aim of the trip was to study solutions implemented in America to manage current and semi-current records. When he came back, Pérotin wrote: *"Records management and the American administration of archives"* which was published in 1962. Less than two years later, in January 1963, Pérotin went to London, again on behalf of the Prefect of the Seine, with the same object as the previous trip. He summed up his experience in a second article, published in the ***Gazette des Archives*** in 1964: *"Records management and the English administration of archives"*.

These two texts, although written more than thirty years ago, are certainly the best presentation of records management as a whole in French language to this day. It is not easy to summarise the conclusions that Pérotin drew from his two experiences. So much of his observation of the methods of records management is precise and detailed. It is obvious, however, that Yves Pérotin wished to see France follow the example of England and the United States on three points: the intermediate storage, the control by archivist of current records and the responsibilities of the records creators. These three lessons are among the most important French archivist have learned from the 60's. They have been a crucial foundation to the history of records management in France.

Around the end of the 60's and the beginning of the 70's they also produced much theoretical debate when intermediate storage was at the centre of French reflection on records management. Among a rich bibliography, one can mention a chapter of the ***Manuel d'archivistique***, a reference book for archivist published in 1970, entitled: *"The creation of the records and the intermediate storage"*.

## 2. The Intermediate Storage

Intermediate storage is the aspect of records management that most influenced Yves Pérotin. The wide place that he dedicates to it in his articles testifies to this. It quickly aroused great interest amongst French archivist who saw in the techniques a solution to the problem of dealing with the ever-increasing masses of paper produced by administrations and companies. This interest explains why France decided to build a records centre large enough to welcome the semi-current records produced by the various ministries.



Thus, the *"Cité Interministérielle des Archives"* was created in 1967 in Fontainebleau, near Paris. This huge records centre, dedicated in the beginning exclusively to intermediate storage, had its aims and objectives extended later on and is now devoted only to historical records from 1958. The semi-current records produced by administrations are nowadays stored in repositories close by in order to avoid waste of transportation time and cost.

## 3. Controlling Management of Current Records

The control by archivist of the management of current records within creating organisations appears among the fundamental principles of records management. French archivist are more and more convinced that the creation of historical archives usable by researchers depends on a supervision exercised upstream, while documents are still in offices. If current records are not properly managed, they can produce only difficult, extra work for archivist who are forced to reconstitute a coherence compromised by the disorder in which documents reach them.

Now, so that control can be exercised effectively, it is imperative that the field of intervention by archivist increases. Their job must not be just the final link in the chain of the world of the work, the only responsibility being the charge of documents when they are not of use any more to those who produce them. On the contrary, archivist must be able to exercise a right to oversee and give advice on the management of current records.

One of the proofs of this evolution within the profession appears in Article 2 of the Decree of December 3, 1979 (one of the decrees of application of the law of January 3, 1979 on records and archives) which explains that the French Direction on Records and Archives is tasked with *"the control of the keeping of the current records in the premises of services, establishments and public organisations, including the public or ministerial offices, that produced or received them"*. Thus, the control of the current records has been given a statutory value in the field of the public records since then.

## 4. Responsibilities of the Record Creator

The responsibility of the record creator is the most problematic area of records management in France today. Unlike Germany, for example, France has no tradition of registration or of classification of documents by those who produce them. This results in extreme contrasting situations, going from total carelessness to the most pushed attention, as within the police force, for instance. Throughout the country, control by record creators varies according to administrations or companies.

Establishing the responsibilities of the records creators is a hard task in this context. Nevertheless, since the end of the 60's, great improvements have been made, mostly at the instigation of Government Ministry archive curators who have been able to give evidence of the efficiencies to be gained.

So, the naming of officers in charge of records within organisations constitutes a fruitful initiative. It gives the archivist someone to speak to, someone who knows about questions connected with records and is responsible for their treatment. Also, the creation of records schedules and classification schemes, often created by negotiation between the archivist and the staff of an office, raises awareness that good management of records is profitable to all. The archivist demonstrates that he helps improve the efficiency of the work of each.Finally, the production of brochures giving practical advice on treatment of current records within offices contributes in a substantial way to a better understanding of those who produce documents.

From this point of view, the existence of an international standard giving guidelines for records management within organisations will be very useful in a country like France. It will certainly make the work of French records managers and archivist easier. That's why the whole profession takes a great interest in the work being done by the International Standards Organisation Sub-committee SC11 in preparing the Records Management Standard ISO15489 and looks forward to its publication in due course.

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# Development and Traditions of Records Management and Archives in Germany

**AUTHOR**

**Dr Nils Brübach**

## Abstract

The author, a senior lecturer for archival science at the *Archivschule,* Marburg, West Germany, analyses the emergence of records management and archives in Germany and their systems and functions. The topic is related to the participation of archivist from Germany and from English-speaking countries in the development of an international standard on archives and records management, the future ISO15489. In the process of defining the requirements of a code of best practice in records management, the international committee very clearly saw the need to examine the different traditions and structures of records systems - differences which did not hinder the development of an acceptable norm but whose traditions should be understood.

## 1. The Concepts of *"Archives"* and *"Records Management"*: From Unity to Separation of Functions

As a result of their long development, registries and archives have different functions in the German records system. One has to go back as far as the 14th century to understand the process of separating the two institutions, which before were seen as a unity. The German Empire originally lacked the strong central authority of one parliament and an administration at the central level of government of the realm. Germany was divided into more than 300 independent territories whose princes developed their own administrations and jealously kept and defended their rights and their sovereignty. Archives were the places for the storage of the charters on which those independent rights and that sovereignty were based. Some archival theorists of the 16th century defined them as the third fundamental of every state. These archives were secret and rated as valuable as the prince's treasuries. The archivist were keepers, and an unbroken custody was seen as vital to ensure the legal effectiveness of these secret archives' holdings.

The 14th century was also the time when a secret revolution took place in Europe: the diffusion of paper as writing material, an evolutionary process quite comparable to the electronic revolution of today. For the first time the chanceries were in possession of a writing material which was cheap, easy to obtain in the quantities needed and, from the beginning, in a nearly uniform format because of its production process. The older parchment was expensive, rare and came in different formats. However, the *"paper revolution"* might have been more effective in the German states than in England, where sheep-vellum parchment was a by-product of wool producing sheep.

The paper revolution had an enormous effect on the style of government, the conduct of business, the relations between oral and written information and the ways both were used. For the first time, the use of written information was not restricted to legal affairs and the descriptions of rights granted. With the possession of a writing material as abundant as paper, information of any kind could be produced in written form. As a result, the purposes and the structures of documents changed rapidly. The paper revolution gave birth to something new, what we now refer to as records.

The work of government institutions changed as well. What was done in oral proceedings before could now be done in writing. Collegial structures of a council discussing a broad variety of topics could be changed to a more effective type of administration, based on the division of labour. Actions could be diversified to technically specialized agencies and offices. An effective bureaucracy of this new model was, in Germany, first created during the 17th and 18th century in Prussia. This has been the model for effective government organization among the other German States ever since. Someone has only to read **Max Weber**[i]. His bureaucracy model is the blueprint of an ideal type of Prussian-style effective government[ii].

### The Paper Revolution

And the paper revolution's effects on the old secret archives? It changed their functions as well. To avoid an overflow of materials of non-legal value, archival institutions were established closely connected to the specialized offices and their chanceries. These institutional archives stood at the beginning of the separation of the functions of registries and archives. The registries' purpose was the organization of papers needed in the conduct of business. Their position was strong and important, as they controlled an intensified and increasing conduct of affairs in a written form.

The archives had kept those papers no longer needed for the conduct of business. Transfer to secret archives was done only at random or in cases of records with permanent legal value. But, during the 18th century, this changed. Appraisal and transfer became more and more important as the state governments began increasingly to value records about their internal affairs as being permanently required. The difference between the

primary and secondary functions of records was recognized. As a consequence, the institutional archives concentrated on the primary functions and became registries in today's sense of the word.

But these registries were not just filing-systems: The rules of procedures specially created in 19th century Prussian administration set standards for the organization and functionality of registries as logical and organizational systems, concerned with piloting records through the administration, administering control and guaranteeing a coherent management regime for those records needed for the conduct of affairs. The core point emerging from that time, and still important for the regulations of today's federal registries, is that the position of a subject, all the actions taken and activities undergoing and related to it, must always be coherent and present in the records.

The functions and structures of archives were completely changed in the Napoleonic era at the beginning of the 19th century: The more-than-300 quasi-independent states were abolished. Thirty states, forming the German Federation of 1815, remained, with a modernized government organization. The archives became responsible for the vast amount of records from liquidated administrations of the abolished states. These administrative reforms at state and local government level, as well as the development of history as a science using scientific methods, created an archival organization in which the archivist became keepers of records of permanent value for administrative and historical reasons. Methods of description, at first for medieval charters, were developed; access was gained not only for legal or fiscal reasons but also for historical research. However, a close relationship between registries and archives remained. The design of disposition schedules, appraisal control of disposal and transfer were and are the main areas of cooperation in the German archival system.

## 2. Registries, Archives and the Principle of Provenance

The proper organization and order of records in registries was behind the emergence of the *"principle of provenance"* as central to the arrangement of archival holdings at the turn of the 19th century. As described in a regulation for the Prussian State Archives dating from 1881 and further explained in the famous *"Dutch Manual"* of Muller, Feith and Fruin in 1898[iii], the principle of provenance was, in its earliest form, the *"principle of the original order"* ***(Registraturprinzip).***

The principle of the original order can be characterized by two main dimensions: Firstly, every fond was kept intact and separated from others. This was not really a new thing as archivist since the 1820's had acted in this manner in the Prussian provincial archives. More important was the second dimension of the ***Registraturprinzip***. For the internal arrangement of the archival fonds, the order of the records in registries of originating administrations was kept unchanged. This strategy had the advantage of keeping the interrelatedness, the internal structures and origins of the records completely intact. Its disadvantage was the dependence of the quality of the archival arrangement on the quality of the order in the registries. It worked out well as long as the registries worked well in a stable administrative environment.

After Germany became a democratic republic in 1918, the style of the conduct of business in government organization changed and, during the 1920's, the system of registries underwent a process of deep changes in what was called ***Bureaureform***, the reform of the offices. The strong position of the registry became undermined. It was no longer valued as all-important and was seen as inflexible and too expensive. Especially, its strong position in controlling the conduct of business was judged as incompatible with the new role of a democratic administration.

Employees in the lower ranks of government departments were no longer integrated into steep hierarchical structures, where the bosses gave the orders and the others had to obey. The government employees became more self-responsible, hierarchies were weakened and parliamentary control was established.

Combined with the industrialization of the offices, and the common use of new filing techniques and communicational devices, the functions of the registries were reduced to a minimum. However, the differentiation of registries' primary functions and archives' secondary functions remained. The work of the registry became more closely related to the administrative work on subjects. Instead of big centralized registries, normally one for each ministry or agency, registries were installed in different branches or at an office level.

During this period of reorganizing, the records management system in Germany's public administration standardization was reviewed as well. The Guidelines for the Registries in the Ministries were first published in 1926. These defined key elements for proper and coherent records management, which still can be found in the Guidelines for the Registries of today's German Federal Government. Standardization was seen as the core-element to ensure that management in the diversified registries was based on common regulations. Beside this, a well-developed system of filing plans for whole administrative areas was set up to ensure a divided but nevertheless coherent records management regime. Archivist were involved in the design-process of these filing plans as well as in the development of new disposition schedules and retention periods. They were well aware of the emerging gap between the registries and their own field. Close consultations between archivist and organizational functionaries were the archivist' initiative to close it.

Although so far no evidence of direct interrelationship between these changes in organization of the registries and the new approach towards the principle of provenance can be found, there is a striking time correlation. It was **Adolf Brennecke**, director of the Prussian State Archive and lecturer for archival studies at the Berlin Institute for Archival Science, and **Johannes Schultze**, a young archivist in Berlin, who formed a more flexible but practical interpretation of the principle of provenance. Provenance was seen as a catalogue of interrelated subjects based on a common origin. With this interpretation, provenance was freed from the chains of organizational interrelatedness and became an archival function principle for the arrangement and description of archival material, independent from the registries' order. This approach has formed the common understanding of the principle of provenance until today and makes it a very valuable and strong instrument for archiving electronic records as well.

## 3. Towards Electronic Registries and Electronic Archives

After World War II, the governments of both the Federal Republic and the German Democratic Republic (GDR, East Germany) returned to the developments and achievements of the 1920's, which had been abandoned during the anti-modern, fascist Hitler regime. The newly emerging gap between the diversified system of registries and the archives was bridged in both German states by the establishment of a third institution *"in-between"*, the record-centres or *"limbos"*. Their functions became closely related to both the other institutions. From the registries, records with on-going retention periods were transferred and could be re-transferred if the creating organizations should need them again. Record centres prepared and managed appraisal and disposal after the retention periods expired. The advantage was, and still is, that the records from the diversified registries could be managed in a centralized manner and filed according to filing plans for whole branches of the public administration. New concepts of appraisal, based on the principle of provenance and the analysis of functions, became adoptable. The establishment of record centres started in the former GDR as early as 1952 and in 1956 in the Federal Republic. However, the idea of the record centre was very popular in other countries as well. But, unlike England, in Germany it was the archivist who took the initiative and became responsible for the installation and management of the record centres.

Today's situation is determined by the regulations of the archival laws both on the Federal level and the level of the States. The development of archival laws in Germany during the 1980's and 1990's can be seen as a reflex to the strict rules for access to public records related to privacy established by the Federal Data Protection Law, 1976.

Besides guaranteeing a general access to public records after 30 years, or even shorter periods in certain circumstances, the archival laws define the position of archives and archivist' fields of responsibilities in a modern democracy. One of archives most significant functions in a democracy is that they allow control of decision-making processes as well as giving the results of those decisions. Another is the function of archives as collective memory as cultural institutions. Archives allow those who created the records to forget, but as a controlled process and not as amnesia. And they allow those who want to remember to follow up the traces of time. They guarantee permanent access for every citizen.

### Archivist Make Decisions

The archival laws also define the relationship between archives and the registries, due to the traditions described above. Archives advise registries on records management and participate in coordinating retention periods and disposition schedules, organizing transfer of records with continuing value, and appraisal.

The latter is one of German archives' core functions: The archival laws make it crystal-clear that every decision to keep, transfer or destroy records must be approved by the archivist, even in the registries. A proper appraisal and an organized transfer process can only be conducted with a thorough knowledge about the records management systems in the archival field. The common appraisal strategies applied in German archives are based on a functional approach and aim to allow insights both into the results and into the decision-making processes. Provenance is the framework and ground principle on which appraisal is based.

The distinction between the primary functions of records as instruments in decision-making processes and their secondary functions as insights into the methods used and the results, even after the records are not longer needed by their creating organizations, is vital for a coherent records management regime in the digital age as well. Neither analogue nor electronic records can be designed to fulfil archival needs from the beginning as this interferes with their primary functions. They become dysfunctional if administrations are not free to use them in ways they need. Their function as working instruments must be kept intact. Both analogue and electronic registries should solely support the functionality of records within an organization. They should provide a supportive organization for records management and the functional capacity to assist and organize records in a manner that best serves the administrative needs. Records managers should be distinct from archivist. They are not merely extended arms of archiving with the duty to fulfil their goals and functions in a different field.

One of the advantages of this functional approach is that it can be applied to

every kind of record, regardless of its physical format, media and logical structure. However, there are strategic fields that impact on both records managers and archivist, fields where cooperation is useful and necessary. Securing authenticity and integrity should be commonly undertaken by them, as well as measures securing the fixity and longevity of electronic records.

Moreover, requirements for electronic records to ensure functionality and access in both areas could be commonly applied. Decisions related to the role paper will still play in an electronic environment have to be taken. Registries and archives in the future will contain less paper, but they will not be paperless. To avoid both electronic and analogue quicksand, administrations and private organizations should decide where the creation and maintenance of electronic records or paper records is appropriate and guarantees the functionality required at its best. Archivist may act as observers and consultants and advise records-managers in undertaking this risk-based decision. Two elements might influence that process: The legal environment as a framework and the appropriateness of the records as working instruments in decision-making processes.

### Age-old Functions

The autonomous functions of archivist in an electronic environment are the age-old ones of securing access over time. They have the responsibility to undertake measures that guarantee the usability and evidential functions the records once had. This is not just a technical matter of conversion, migration or emulation combined with encapsulation. Applying appropriate techniques can ensure the physical access but not the logical access.

The interrelations of each record's elements that in an electronic environment are not *"intrinsic"* like in the paper world, is of overall importance. Fixity, authenticity, integrity and interrelatedness ensure the evidence of an electronic record. The principle of provenance becomes a framework and a valuable planning instrument for the design and organization of electronic record keeping systems and electronic archives.

The paper revolution showed that the use of written information caused a process of rapid change that formed both registries and archives in their present function. It created a functionary context for the use of new forms of written information in a new structure. Archives proved themselves fit for a flexible response. They will be capable as well of a similar reaction to the ongoing electronic revolution.

## The Author

**Dr. Nils Brübach**
Senior Lecturer for Archival Science, Archives School, Marburg, Germany.
Dr Brübach was born 1962 in Hanover and educated as an archivist, economic historian and librarian at the Universities of Erlangen and Bamberg, Duke University, and the Marburg Archives School where, in 1993, he gained a PhD with a thesis on the structure, function and information processes of trade fairs. He was appointed junior archivist at the State Archives at Magdeburg, from 1993 to 1995, with responsibilities including research into the record systems, the appraisal and transfer of records from former East German Heavy Industry Combines to the State Archive.

In 1995, he was appointed lecturer for Archival Science at the Marburg Archives School and promoted to senior lecturer in 1998. His researches have included the intrinsic value of archival material and development of archives migration strategies. Since 1996 he has undertaken consultancies in archives and records management for several organisations in the public sector. In 1998, he joined the German Standards group working on the international records management standard, ISO15489.

This paper is also available on the Records and Information Management On-line Service (RIMOS) at **http://www.caldeson.com/RIMOS/brubach.html**

## Footnotes

i **Max Weber,** born 1864 died 1920, sociologist, economist, founder of the theory of the ideal typus and a systematic scientific approach in German sociology.

ii **St. Breuer:** *Max Webers Herrschaftssoziologie*, Lang, Frankfurt & New York, 1991, p.15; seq. T. Parsons, *The structure of Social Action*, New York 1964.

iii **Muller,** Feith and Fruin, *Handleiding for het Ordnen van archiven,* The Hague, 1898 (German translation, Berlin, 1905).

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# Context of Records Management in United Kingdom Local Government

## Summary of Presentation

**Philip Jones**
in Melbourne, Australia
Nov 1999-11-23

Successive UK governments have placed different emphases on the drivers for Local Authorities. The commonality is that every central government will make local government administration the scapegoat for many issues not of their making.

Compulsory Competitive Tendering was meant to open local services to competition to allow economy and better performance. In reality, it was often a cost cutting exercise, which took away services and destroyed the idea of value. During these years Record Management was promoted mainly as a cost cutting facility when in fact this was not always the case.

Local Government Reorganisation during the mid 1990's was intended to rationalise the disparity in tiers of local government and promote more effective and dynamic organisations but in reality was a downsizing/dumbsizing exercise that did little to achieve this.

There are many other examples of this kind, which highlight the context in which Record Management has had to operate over the years.

One new initiative that is looking as though it might break the mode is BEST VALUE. It moves away from the notion of cost as the only driver for Local Government services and takes on board the concept of value. It is within such an initiative the some Record Management services are beginning to flourish.

There is also a legislative context that is contributing to this:

1. The Modernising Government Bill (Best Value legislation)
2. The Draft Freedom of Information Act
3. The New Data Protection Act

*Are all tools coming to the aid of Local Government records managers?*

### Identity

One of the interesting developments over the last few years has been the divergence of Archive and Record Management Services within Local Government. Archives have concentrated more and more on heritage and cultural issues and Records Managers have had a much more business focussed approach and in some cases taken over areas that formerly came under archive control e.g. organisational archives etc.

### Re-aligning Focus

There has been a degree of focussing on the records in the past, which is changing. Records Managers are asking the question what are the organisational needs and trying to make their services relevant. In some ways in is simply a case of better and focussed marketing in line with the needs of the corporate centre. Records Manager's are now talking about added value, best practice and knowledge as opposed to space, finding aids and records. They are getting involved more in organisational quality projects and driving the knowledge quest. *Records Management is starting to be seen as part of the solution.*

### Needs of Customers

The needs of customers to have accessible and sharable information are being taken on board, the need for global information accessibility, workflow are all on the agenda.

### Future

There is not only a recognition that the future is digital but in some quarters this is being embraced with enthusiasm. Working with the organisation to tackle new problems in a proactive way. This will not and cannot be achieved without a huge investment in continuous learning and a breaking down of traditional professional barriers. On balance it is fair to say that the opportunities for UK Local Government records managers are there for the taking. Only time will tell if there will be enough takers.

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# UNESCO WWW Gateway for Archivist and Archive Users

UNESCO has launched a new Archives Portal giving access to websites of archival institutions around the world. It provides a gateway to resources related to records and archives management and to international co-operation in this area, according to a September release from the agency's Information Society Division (ISD) in Paris. The new service may be accessed at **http://www.unesco.org/webworld/portal_archives**

ISD officer Axel Plathe said that visitors to the site could browse through pre-established categories or search for specific words. They could add a new link or modify an existing one. An electronic Newsletter will provide information on new entries. Visitors could also rank websites of archives and related institutions through an on-line rating system.

The Archives Portal gives access to a set of several hundred websites. Said Alex Plathe: *"UNESCO encourages all visitors to add links in order to increase their number rapidly. Webmasters of archive websites listed in the portal are invited to post its logo on their website to promote this new resource."* For more information, contact Axel Plathe at **a.plathe@unesco.org**

# Standards Australia on the Move

As Sydney's Homebush suburb becomes the new Olympia, long-term resident Standards Australia moves out to open new premises in the city's central business district.

Standards Australia, founded in 1922, moved to its new premises on the corner of Sydney's Bathurst Street and Sussex Street just a week before the 2000 games opened.

The organisation was originally called the Australian Commonwealth Engineering Standards Association, became the Standards Association of Australia in 1929 and Standards Australia in 1988.

In 1951, the association had 56 employees and revenue of some $300,000 compared with last year's $80 million revenue and 560 staff. It maintains about 6,000 standards.

The organisation's new contact details are:

286 Sussex Street,
GPO Box 5420,
Sydney, NSW 2001.

**Telephone: 00612 8206 6000.**


## 17th National RMAA Convention Sydney
## Bridging the Gap

The 17th National Convention of the Records Management Association of Australia (RMAA) will be held in Sydney from December 3-6, 2000 at Sydney Convention and Exhibition Centre at Darling Harbour. The Convention offers a stimulating and topical program for those with an interest in modern recordkeeping systems, information technology, knowledge management and change management.

The theme of the Convention is Bridging the Gap, and each day will address a different aspect of this theme:

¥The gap between information technology and records management
¥The gap between management and records management
¥The gap between traditional and modern records management

RMAA Conventions are also renowned for their facilitation of networking. Records and information management professionals from all over Australia and the world are brought together in an opportunity to share their knowledge and discuss issues. The Sydney Convention promises to provide a bigger and better vehicle for such networking.

Worthy of particular attention is the Convention dinner. This is always a highlight of the events, and something extra special and unusual is planned this year. Note the dates in your diary, and we'll see you there.

**3-6 December 2000 • Register at http://www.rmaa.com.au • Ph: (61 3) 9690 6744**

# NZ Govt "facing challenge" of Virtual Archives
## New Minister's Plea for ARM Community Support

**Christchurch, August 25**

**New Zealand's new Minister in charge of National Archives, Marian Hobbs, has pledged funding and baseline support aimed at *"Restoring the Archives' capacity to do its job".***

Ms Hobbs was addressing the annual conference in Christchurch of the Archives and Records Association of New Zealand (ARANZ) at which she announced the renaming of the National Archives as Archives New Zealand when it became a separate Government department on October 1. She said the title *"Office of Public Records"* had been considered but discarded as *"too colonialist"*.

The Minister called for backing from the archives and records management community to carry through the Government's plans. She told the conference: *" What we need, and what I would like to ask from you today, is a restoration of your harmonious support because you have an important stake in the Archives."*

Ms Hobbs outlined the Government's plans for the development of a national information strategy, protection and enhancement of the National and Turnbull Libraries and consideration of alternative public broadcast funding.

She recalled that, two years before, N.Z. Finance Minister, Dr Michael Cullen, then in Opposition, had spoken at an ARANZ conference about *"the ongoing saga of New Zealand's National Archives"*[1]. Ms Hobbs said: *"It was not a happy time for National Archives or for its supporters."*

Restructuring within the Department of Internal Affairs had resulted in court action between ARANZ, the New Zealand Society of Genealogists and the Crown. There was a feeling of uncertainty and apprehension about the Archives' future, she said. What had been needed was recognition of the Archives' constitutional role, new governance arrangements and archives legislation.

Ms Hobbs told the Christchurch conference: *"It has been my pleasure to implement that programme."*

She detailed plans for a 12 per cent increase in the Archives' 2000-2001 budget to:

- Augment the work of the Archives' Statutory/Regulatory Group
- Provide a much needed maintenance budget for the organisation's buildings and facilities
- Develop computerised finding aids and
- Bring archivist' salaries back into line

She went on: *"I have directed that work begin on a new Archives Bill to update the 1957 Act."* And she appealed to archives and records managers for help the Government formulate the new legislation, saying: *"We will want you to be involved."*

The Minister told delegates: *"These are all important steps in facilitating the work of Archives New Zealand. But they are only a means to an end, not ends in themselves. They must be enlivened by a vision of what Archives is doing and where it is going. I am still learning what Archives is about, where it has come from, and where it needs to go. Already, I know it faces huge challenges."*

She said that the traditional work of the Archives had to continue, and went on:

*"But the world is changing, has already changed. Now, records are made and kept electronically ... digitally. They exist not in physical space, but in cyberspace. We still have to appraise them, house them, and make them available. The question facing Archives New Zealand is how and whether we can go on doing these things in the same ways when the records themselves have changed so fundamentally. The objectives have not changed, but the methods we must use to accomplish those same ends may be different."*

The new Archives Act would address this, she said. Extra funding had been made available for the Archives to make proposals for future electronic recordkeeping and computerising finding aids.

She foresaw: *"Eventually, the reading room terminal, not a person with a trolley, will be the method by which (the Archives users) will have their records delivered to them. When that day comes, as it surely must, it may be necessary for Archives itself to become 'virtual' and to deliver its public services not in reading rooms but over the Internet."*

She said that there were no easy answers, but she and the Government recognised the need to face up to these challenges. She hoped that they and the information management community could work together so that *"we know where we all are and know where we are going ... with bells on!"*

### Endnotes

[1] Dr Michael Cullen's 1998 speech may be found on the Records and Information Management On-line Service (RIMOS) at http://www.caldeson.com/RIMOS/cullen.html

# Records Management "Dinosaur" Gets Top ARANZ Post

Alison Fraser, the self-styled *"dinosaur"* of N.Z. records management, has been elected President of the Archives and Records Association of New Zealand (ARANZ). She took over the controls of the association from retiring three-term President Thérèse Angelo after standing unopposed at the annual general meeting in Christchurch in August.

Scots-born Alison has been a records management consultant in Wellington since early retirement in 1987 from the position of Deputy Defence Registrar in charge of all records management in the Defence Department. She was the founding President of ARMA Wellington in 1988, a leading figure on the joint ARANZ-Genealogists' campaign against the previous Government's National Archives plans and has been, as she puts it, *"dogs body for yonks"*.

Always fearlessly outspoken on information management matters, Alison expounds: *" I believe the only way is up, and those who came after me are showing they mean to climb (and in many cases have climbed) the heights. One of the glaring anomalies in recordkeeping is the lack of formal education though many plans and/or concepts are being floated."*

She told IQ: *"I realise I am referred to as a Dinosaur in RM circles, but I stand by my views that there is no substitute for practical experience; if you can't control papers there is little likelihood of controlling e-records; if you can't sell the benefits to the highest on high, forget it, it's a waste of time, money and sanity; you cannot divorce RM creation from disposition - like the term or not, it's a 'life cycle': and RM is like 'sci fi', it's never static. As one part dies off, another is born - ignore it and chaos will ensue."*


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# Kiwi Bureaucrats Hi-jack New, Independent "Archives NZ"

**New Zealand federal government civil service managers have made a pre-emptive strike for control of the country's newly independent Government archives department, the former National Archives of New Zealand, now to be called Archives New Zealand.**

Two days before the Archives severed its aged umbilical link with the oppressive N.Z. Department of Internal Affairs and became a separate federal Government department, the head of civil service management, State Services Commissioner Michael Wintringham, appointed one of his own managers to head the institution, apparently without informing the Minister for Archives.

The move demoted the incumbent, Australian archivist Chris Hurley, formerly Keeper at the Victoria Public Record Office, and shocked the New Zealand archives and records management community, re-awakening its fears that the new department's professional integrity was again likely to be diluted by a jaundiced bureaucracy.

Suspicions of senior members of the two leading professional ARM societies, ARMA and the Archives and Records Association of New Zealand (ARANZ), were further aroused by the fact that one of the Archives' champions, Finance Minister Dr Michael Cullen, was out of the country, and another, Minister for Archives NZ, Marian Hobbs, was about to leave for a working-week Netherlands conference.

Official sources later confirmed that the State Services Commission appointment also came as a shock to Minister Hobbs' office. One source said: *"A poor statement. It was surprising that it did not mention Chris Hurley."*

The new Archives chief is Ms Lyn Provost, head of the State Service Commission's Machinery of Government branch and formerly an Assistant Auditor-General. For the past ten months, since the Archives' independence was decided by the new N.Z. Government, Ms Provost has chaired the State Services' *"Chief Executives' Steering Group"* to set up the new department.

The Commission's statement quotes Mr. Wintringham saying: *"Ms Provost's priority will be to establish the management systems and processes that are necessary for a fully-fledged department."* Her position is that of acting Chief Executive and acting Chief Archivist. Both these acting posts had been held by Chris Hurley since the former Chief Archivist, Kathryn Patterson, was arbitrarily sent packing by her civil service boss at the end of her contract in mid-1998.

Chris Hurley remains on the Archives staff and has been confirmed in his former role as Archives Business Manager. Other senior staff members have also been returned to their pre mid-1998 positions.

Archives personnel received little warning of the planned changes. Chris Hurley was instructed late in the week to clear his office because a new CEO would be in on the following Monday.

He was unaware of the changes when he wrote a feature for the September publication of the Archives NZ newsletter ***Out Reach.*** It was published under the headline *"Kia Ora[1] from the Chief Archivist".*

In the piece about his plans for the new, high profile Archives' authority, he wrote with grimly prophetic words: *"I don't expect everyone to share my vision. A redefinition of our role and functions will be one of the issues ahead when new legislation is discussed. Meanwhile, all those who use and support us can be assured of an exciting time ahead. Continue to watch this space!"*

There was no word of the changes when, a month before, Minister Hobbs publicly praised Mr. Hurley to his face at the ARANZ annual conference for his work in bringing the Archives to its readiness for independence.

At a subdued Archives' central Wellington soiree to mark the move to full federal department status, Ms Hobbs' celebratory message, delivered by her deputy, Acting Minister Judith Tizard, contained no reference to the changes or any welcome to the new leader. Ms Provost's introductory speech was brief and, understandably, nervous. In it, she too made no reference to her new position.

The gaping omissions in both statements intrigued Kiwi ARM community observers. As Chris Hurley said in his ***Out Reach*** article, continue to watch this space!

## Endnotes

[1] Kia ora: A Maori greeting meaning, *"may you be well"*. It is used for *"hello"* and, also, *"thank you"*.

# The Intellego Suite™ delivers an automated metadata and future proof Records Management solution

Insight has recently released the Intellego Suite™ that utilises Artificial Intelligence (AI) based business rules to automate the generation of metadata for unstructured content. Developed locally in Insight's Sydney research and development centre, the Intellego Suite also enables the automated output of an XML Managed Object (XMO™) ensuring that records and documents will readable in the future regardless of file format.

**The Intellego Solution - Automated Metadata Creation**

Insight has developed an intelligent rules-based processing engine known as the Intellego DPE™ (Dynamic Processing Engine), that automates the generation of metadata for unstructured information. This advanced software engine receives records, documents and data from disparate sources, applies self learning AI driven, pre-defined classification rules, and outputs a set of metadata as XML or in other formats for the documents. The DPE also outputs command fields to action other line of business applications such as a records management system or workflow engine. The Intellego DPE allows administrators to define a series of guidelines (rules) to the engine that it then applies to incoming documents in order to process them. As a result, the metadata created is output according to the classification rules and standards of the organization.

The automated process of metadata generation driven by the DPE results in a consistent and effective metadata layer for an organisation with minimal additional costs.

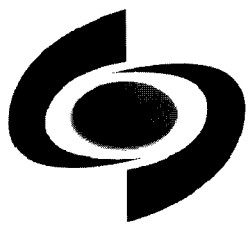
**The Intellego Solution - Output of a Future Proof Format!**

The Intellego Suite delivers a platform and system independent future proofing of disparate information assets through XMO (XML Managed Object) output. Intellego Suite enables the conversion and storage of any records, document, data type, or components to XMO. This ensures that your assets will be viewable regardless of the original file format into the future.

"Intellego offers organisations the unique ability to automate the creation of metadata and XML objects meaning that records can now be kept way into the future with a translatable XML wrapping. This is significant for any organisation that deals with records keeping" commented Insight's Managing Director, Sandra Clark.

**The Intellego Solution - Managing Records by Managing File References**

The Intellego Suite delivers a full range of records management functionality such as version control, check-in, check-out, sentencing and case management without the need to move or store the original records in a new central repository. The Intellego Suite allows the customisation to suit most environments, e.g. the inclusion of Digital Signatures for approval or the encapsulation of documents and metadata to be imported into a standard record keeping system.


The Intellego Suite from Insight delivers breakthrough Records Management:

¥Automatic classification of unstructured documents & records.

¥Automatic conversion of file formats to XML.

¥Automatic record encapsulation with inclusion of Digital Signatures.

¥ XML Managed Object (XMO)

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# "Cyberquery" Reporting Solutions from Cyberscience

Corporate and Government enterprises can now fully explore and utilise the treasure trove of information and evidence stored within their information management and recordkeeping systems by using Cyberscience's powerful database query and reporting tool - Cyberquery.

Many organisations are experiencing a rapid increase in the frequency of requests for additional information or a variance in presentation requirements. Cyberquery reports can be presented in a format that will assist users and management to understand the meaning of the information. These include management summary reports including a drill down facility to gain a better understanding of the data presented, detailed listings, graphical and spreadsheet output or documents formatted for web deployment. The ad-hoc query facilities of Cyberquery allow users to produce reports and present information on demand, providing a level of response that will satisfy the most demanding needs.

Cyberquery has been designed to cater for the differing expertise of users in an organisation, from the complete novice to the expert! As a result, Cyberquery's point and click, drag and drop interface allows anyone in the organisation to get the information they need regardless of their computing skills.

Learn more about how Cyberquery and Cyberscience Corporation may help with your information needs by calling (02) 9988-4800 or email julie@cyberscience.com.au, or why not pop in and see Cyberquery in action at Booth 60 at the RMAA Sydney conference 3-6th December 2000.

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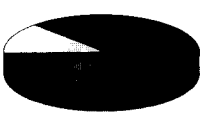
*Cyberquery Reporting Solution assists with Information Management*

- **Performance Monitoring**
- **Workload Management**
- **Outstanding & Overdue Matters Analysis**
- **History of Correspondence**
- **Graphical view of Statistical Analysis**

**No. Docs & % by Department**



**The Evidence is in your data. You just need the tool to find it.**

Access the information in your computer system with *Cyberquery* and ***take control*** of the knowledge at your fingertips.

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**Contact:** Julie Overall
Cyberscience Corporation
Level 2, Building 2,
20 Bridge St,
Pymble 2073
**Tel: (02) 9988 4800**

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# RMAA Notes

## Notice of RMAA Annual General Meeting

Notice is hereby given that the 25th Annual General Meeting of the Records Management Association of Australia will be held on:

**Tuesday 5th December 2000.**
**It is to commence at 11.45am and will be held at the**

**Sydney Convention and Exhibition Centre Darling Harbour.**

## To all Members

In accordance with the Articles of Association, notice is hereby given of the date and time of the Annual General Meeting of the Association. **The closing date for acceptance of any motion of business not relating to the ordinary annual business of the Association will be 5.00pm on 17th November 2000.**

## Business Proceedings of the Annual General Meeting

1. To receive and consider the duly audited statement of the accounts
2. To receive a report from the chairperson of the activities of the Company in the proceeding year
3. To receive the report of the auditor
4. To appoint the auditor for the ensuring year
5. SPECIAL RESOLUTION: Adoption of new Articles of Association (The new Articles have been have been placed on the website) **www.rmaa.com.au** for members viewing
6. To transact such other business as shall have been included in the notice convening the meeting; and
7. To elect the Board for the ensuring year.

**Michael Hangan MRMA**
**Executive Secretary**

# Papers Call for Joint RMAA-ASA Conference, Hobart 2001

The Australian Society of Archivist and the Records Management Association of Australia plan a joint national conference in Hobart, Tasmania, from September 2 to 5, 2001, the two organisations' first co-operative event of such size. The Organising Committee is seeking proposals from anyone interested in presenting papers to the conference.

Speakers invited to present keynote addresses will receive free return economy airfares for one person to Hobart, reimbursement of taxi fares to and from Hobart airport, four night's accommodation and meals at the Hotel Grand Chancellor and full conference registration. They may be asked to participate in other conference activities, such as workshops, debates etc.

Speakers chosen to present other papers will receive the same travel expenses, plus one night's accommodation and meals at the Hotel Grand Chancellor and conference registration for the day of their address.

The conference, entitled *"Convergence 2001 - Recordkeeping in a Digital Age"*, is expected to attract upwards of 600 delegates. It will cover issues surrounding electronic records such as distributed custody, data warehousing, e-commerce, preservation and recordkeeping standards.

**Proposals Should Be Submitted By 31st October 2000 And Include:**

- Abstract title
- Your name, organisation, position and full contact details including telephone, fax and e-mail
- The author and presenter(s) should be clearly identified
- The abstract - this should be approximately 250 words in length and can be submitted electronically or typed on A4 using double-spacing. It should indicate the overall purpose of the paper and identify major points to be made

## Topics

Within the general theme of CONVERGENCE the Program Committee would particularly like to see proposals for theoretical papers, case studies and workshops covering relevant topics.

The membership of both organisations includes people working at all levels of recordkeeping from operational to the development of policies and standards. It is the intention of the organisers to present a range of sessions to cater for this diverse membership. Papers may address but are not limited to the following topics:

Access/Privacy
- Access vs Privacy (current & archival records with WWW focus)
- Preservation and access to e-documents (all digital formats)
- Legal Aspects of access/privacy
- Case studies

Electronic Records
- EDMS and RMS case studies
- Security of information
- Quality Assurance issues (scanned documents and data migration)
- Designing web-sites (for records managers and Archivist who are responsible for sites)

Distributed Custody
- Is distributed custody just an excuse for using local drives as de facto records management packages?
- The use of web technologies for records management and archival purposes
- Access via a web interface:
  How do we deal with authentication issues?
  How to you find information?
  How do you search?

Datawarehousing
- Is Datawarehousing just a sexy new name for a database that will allow the IT tail to wag the records management dog yet again?

E-Commerce
- E-Commerce and the regulatory environment
- Large and Small institutions use of web sites to reach the *"Market"*

Preservation
- How to preserve different formats of electronic documents, bearing in mind that they will include a variety of digital objects (text, spreadsheets, images, etc.) with different management needs

Standards
- Metadata standards
- ISO records management standard
- The role of standards in recordkeeping

Timetable
- Abstracts are required by 31st October 2000
- Proposals will be reviewed by the Conference Program Committee and participants will be notified of acceptance by 31st January 2001
- Final papers will be required by 31st March 2001

## Proposals & Inquiries To:

Mures Convention Management,
Victoria Dock, Hobart 7000

Phone: (03) 6234 1424
Fax: (03) 6234 4464

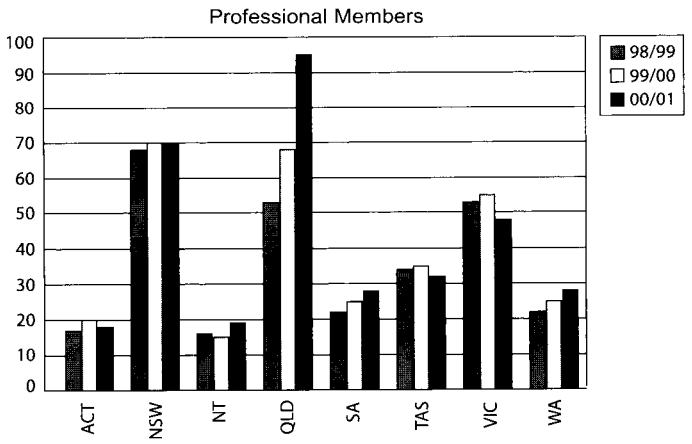
Email: **conventions@mures.com.au**

# Coordinator Reports

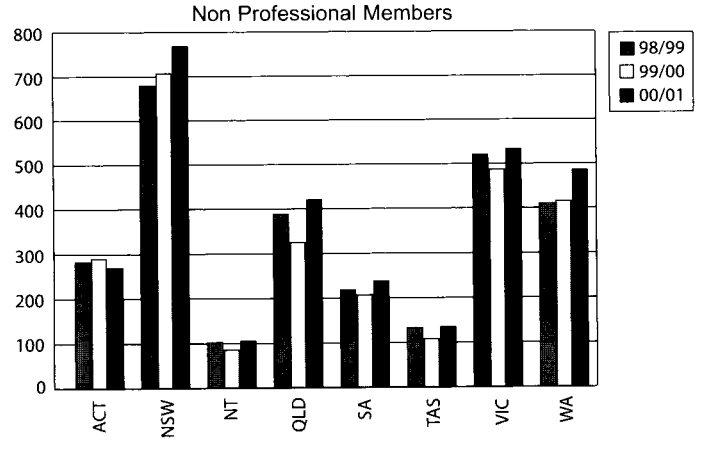
## MEMBERSHIP AND STATUS REPORT

During the year I have been encouraging members who may have been either corporate or individual members to become professional members. There are 3 levels of professional membership. Associate, Member & Fellow. Graduation through these levels depends on experience, numbers of years in records and contribution back to the records industry through writing of articles and/or lectures at educational institutes or Records management conferences. If you have any question, please feel free to contact your Branch Secretary.

Below is a chart of professional members over a 3-year period.




Below is a chart of the number of corporate, company & individual members who are not professional members. It was pleasing to note that membership has once again increased in all states except ACT.




As stated in the Federal President's report the Federal Membership & Status Committee has been working on updating the status upgrade guidelines to include continual professional development and make applications available over the web. The guidelines will be available in brief for anyone interested in joining the Association and through the 'members only' section, individual members will be able to apply for status upgrade on-line.

Over the past few weeks the committee has been evaluating a number of applications for Fellow status and this is very pleasing as we only have 4 Fellow's in Australia. This is the highest status to attain. I should also make a special mention to the Queensland Branch who has made a great effort in encouraging members to upgrade. This year their professional members have increased by 27, this is a fantastic effort and I encourage all states to follow suit.

As this is my final report as chair of the Federal Membership and Status Committee I would like to pass on my gratitude to the other members of the committee, Julie Apps and Trish Wichmann. These ladies have given me great support over the past 2 years and have made consistent evaluations of applications.

On behalf of the committee I would encourage all Records Managers, who are not professional members to apply now. If you are not sure please feel free to contact any one on the committee or your Branch President or Secretary.

Chris Fripp MRMA MAICD
Chair Federal Membership & Status Committee

# INFORMATION TECHNOLOGY REPORT

## Your Computer

At the risk of stating the obvious I would like to suggest there are a certain number of things you should do on a regular basis (at least weekly) to keep your computer running as well as it can. The list is taken from the Tourbus listserv and written by Patrick Douglas. You will note it is very Microsoft focused.

1. Update your Virus Definitions
According to Symantec, between 10 and 15 new viruses appears every day. In fact, from December 1998 to October 1999, the total virus count jumped from 20,500 to 42,000. An additional 5,000 new viruses have been discovered in the past year alone. Source: **http://www.symantec.com/avcenter/virus.backgrounder.html**

2. Run Windows Update
Windows is aptly named because it is full of holes. There are several *"open doors"* (or security holes) in the Windows operating system that *COULD* conceivably make your computer vulnerable to outside attack. Specifically, a mean-spirited hacker *COULD* *"walk through"* one of these open doors on your Windows PC and read any file on your computer, delete specific files or programs, or even completely erase your hard drive. When the folks at Microsoft discover a security hole, they release a software patch to close it. Without the patch -- and there are MANY -- your computer may be open to outside attack.

3. Run ScanDisk
ScanDisk is a built-in tool from Microsoft that scans and, in most cases, repairs errors on your hard drive. These errors usually occur when your computer crashes and has to be restarted.

The technical explanation is that 'your files are stored on your hard drive in data groups called *"clusters."* Sometimes these clusters can become *"cross linked"* with other clusters belonging to other files, or they can simply become *"lost"* from the rest of its fellow clusters. When you run ScanDisk the utility saves the *"lost"* file fragments into new files that you can view called *"check"* files (*.chk). It also repairs cross-linked clusters by making a copy and pairing it to two separate families (the original and the cross-linked one).' Source: **http://pchelp.ncms.org/HelpDocs/Scan_Defrag/Scan_Defrag.htm**

4. Run Defrag
ScanDisk stabilises your computer. A disk defragmenter speeds up your computer. According to WhatIs.com (the best technical glossary on the Net, and one of my top Web resources), 'when a file is too large to store in a single location on a hard disk, it is stored on the disk in discontiguous (not adjacent) parts or fragments. This fragmentation is *"invisible"* to the user; however. The locations of the fragments are kept track of by the system. Over time, disk access time can be slowed by fragmentation since each fragmented file is likely to require multiple drive head repositioning and accesses.' (There is nothing you can do to prevent fragmentation by the way.)

'A disk defragmenter is a utility that rearranges your fragmented files and the free space on your computer so that files are stored in contiguous units and free space is consolidated in one contiguous block. This also improves access time to files that are now contiguous.' Source: **http://www.whatis.com/WhatIs_Definition_Page/0,4152,211927,00.html**

5. Backup your Data
Here is a frightening thought: imagine what would happen if your computer just stopped working. All of your programs, all of your e-mails, all of the pictures and files you have downloaded from the Net ... gone. How would you react? How would you SURVIVE? I ask these questions because computer hard drives crash all the time.

In the world of computing, you either have a disaster recovery plan or you don't. Fortunately, backing up your critical data is no harder than downloading new virus definitions or running a disk defragmenter. In fact, on page 167 of the October 2000 issue of PC World Magazine, Stan Miastkowski has a wonderful article that tells you everything you could possibly want to know about creating your own disaster-avoidance plan. If you don't have this issue handy, you can find Miastkowski's article on the Web at: **http://www.pcworld.com/heres_how/article/0,1400,18040,00.html**

Miastkowski reviews the hardware, software, and media you can use to back up your computer. He even offers a checklist of the essential files you need to backup.

Tourbus Website - **http://www.TOURBUS.com**
**Geoff Smith** For Information Technology Committee

# Branch Reports

## TASMANIA

The Tasmanian Branch has made effective use of the RMAA Web site and has ensured relevant information is available on the Tasmanian page for members and other interested persons. Included on the page is a call for Expressions of Interest for Employment. The Branch maintains a Register of persons interested in temporary employment in the field of records management and is available for employees seeking personnel.

The Branch ran a series of free seminars on non-records related topics requested by members, covering such subjects as: managing change, stress management and working in a team. These were well received by members.

The Branch has awarded a *"Student of the Year"* for excellence in records management studies. Joy Marsh is the successful student. This is the second time Joy has won the award. Joy graduated this year having completed her Certificate in Records Management at TAFE Tasmania.

The Branch held a workshop on Status Upgrade in August conducted by Michael Hangan MRMA, along with senior members of the Tasmania Branch Council, so we hope that following this we will now have some more members applying for status upgrade.

Our Branch has suffered a severe loss recently with the resignation of Trish Wichmann and her husband Jorn Wichmann. They are off to Queensland to fulfil their dreams in the warmth. Trish has been a valuable member of the Branch and the Board and her contribution will be greatly missed. We wish them well with their endeavours.

**Kate Walker ARMA**

## NORTHERN TERRITORY

At the AGM in August it was pleasing to announce that more people were applying to be members of council than were resigning - possibly a unique situation in this branch.

We welcome Ellen Buckland of the Department of Education, Edith Nelson of Territory Health Services and we welcome back Ray Holswich of the Department of Lands, Planning and Environment. Ellen has a good education and training background and has already volunteered for the onerous task of New Technology Representative. Edith has a very extensive RM background and is also more than welcome on council. I guess the same can also be said for the third new councillor who, as we all know, has served extensively on the Federal Executive of the Association not the least as the Federal President - Ray's return to Darwin is a bonus for the branch.

We also thank the one departing councillor, Jenny Zerna of the NT University, who served valiantly as Minute Secretary for a couple of years.

With an enlarged council we are hoping that the NT Branch will be able to raise its profile in the records management community in the Northern Territory, especially as the extra members are able to provide a fresh perspective on the issues we face. I think the membership in the Territory can expect an increase in the services to be provided over the next 12 months or so.

**Barry Garside** ARMA NT Branch President

# QUEENSLAND

### 200 State Conference

The Branch conducted its 2000 State Conference on the 1 August. The theme of the Conference *"A Framework for Records Management in a New Era"* attracted over 110 delegates. A diverse range of speakers presented papers addressing issues such as Where to Now for Records Management, New Technology and Business Activity, FOI, Ethics, Electronic Records Management, Knowledge Management, Strategic Framework for Recordkeeping in Queensland and Initiatives in Recordkeeping the Commonwealth Government. The papers for the Conference are available through the RMAA web site.

### Seminar Series

The Branch has continued with its popular seminar series. Recent topics have included micrographics and document management systems and optical disc technology.

### Strategic Initiatives

The Branch has recently been developing plans for a number of strategic initiatives, which will contribute toward enhancing the profile of records management in the state. Discussions have commenced with the ASA Queensland Division on area of co-operation and it is hoped to hold joint functions in the near future. The Branch is also proposing the staging of a Queensland Records Management Award for 2001. The awards will recognise organisations and individuals, which have contributed towards records and archive management.

### Chapter Activities

Both the Local Government and State Government Chapters have recently conducted successful meetings. The opportunity for industry members to meet and discuss issues affecting their industry.

### New Professional Members

The Branch has approved a number of applications for Associate status. Congratulations to Troy Granzien, Nancy Taia, Meryl Bourke, Owen Lockett, Lisa Magnussen, Rose Carney, and Augustin Salcedo.

**Philip Taylor**
Vice-President
Education & Professional Development

# NEW SOUTH WALES

Work continues on organising the RMAA National Convention here in Sydney. The registration brochure has been available for some time in hard copy and via the Web. On behalf of the NSW Branch let me encourage all members and friends of the Association to attend. We have a great venue where space isn't a problem. I can assure you that it will be a time of learning, with a lot of fun as well. The Olympics will be over and it will be before the Centenary of Federation really takes off. Sydney is at its best in summer and, as daylight savings will be in full swing, there will be time to explore. After dark, the lights of the city are an equally impressive spectacle.

Our Annual General Meeting was held on 8 August. The presentation was by Jon Barrett, who discussed US Department of Defence standard for records management systems and briefly explained a standard that the Public Records Office in England has been working on. A very encouraging number of people stayed on for the AGM. We have two new people on Branch Council in Janet Knight of State Records (currently on secondment to the National Archives) and Michael Ryan of the Australian Broadcasting Authority. Janet has taken on editing the Branch newsletter. Steve Renouf chose not to continue and we thank him for his time on Council.

I also thank last years Council for their work and support. Let me especially thank David Lilley and Chris Fripp, as Branch Secretary and Treasurer respectively. Both hold very responsible positions but their work is often not as visible to the membership.

With an increased workload due to the Convention we are only intending on holding one member's meeting this year and it will be in October.

In late August, Mary Hooker and I attended the launch of Archives Investigator. This is a joint project between State Records NSW and the City of Sydney and provides a way of accessing the archives of both organisations. Kim Yeadon the NSW Minister for Information Technology, and Frank Sartor, Mayor of Sydney, launched the product. Well done to both organisations.

We trust that 2001 will be an even better year for RMAA members.

**Geoff Smith ARMA**
NSW Branch President

# WESTERN AUSTRALIA

The **Annual General Meeting "AGM"** is now recent history with the following committee in place for the 2000/2001 year.

**Laurie Varendorff ARMA**
Branch President and Federal Board Member
Chair of the Technology and Industry Standards Committee
Chair of the State Records Bill 1999 Committee
**Lesley Ferguson ARMA**
Branch Vice President
Minute Secretary
Branch INFORMAA Editor
**Maggie Exon ARMA**
Branch Treasurer and Federal Board Member
Chair of the Education Committee
Branch Secretary
**Josette Mathers ARMA**
Chair of the Mentoring Group
**Neil Granland ARMA**
Chair of the Marketing Committee and SCOPR Representative
**Martin Wray ARMA**
Chair of the Awards Committee
**Jim Bonzas ARMA**
Chair of the Membership Upgrade Committee
**Mark Robert ARMA**
Chair of the Continuous Professional Development Committee
**Marita Keenan MRMA**
Councillor
**Ken Ridley MRMA**
Councillor

Please feel free to contact any of the above Committee Members on any issue related to the Branch activities or particular issues related to their Branch responsibilities as listed above.

A successful breakfast meeting was held at Coco's in South Perth on the 22nd August with the subject matter being Knowledge Management [KM] by Janine Douglas ARMA, Director, Information & Knowledge Management, Agriculture Western Australia. The event was well attended with 132 persons gaining an insight on KM and also an insight to the KM activities and projects implemented by the Department of Agriculture, Western Australia. Our thanks go to Janine for providing an excellent presentation.

We have a number of new Councillors for the 2000/2001-year. We welcome them on board and congratulate them for taking the time and showing the interest to be on Council. With only ten of the possible fifteen places taken on Branch Council there are opportunities for those future aspiring leaders in our Profession to nominate. There are five additional positions available for those willing to improve their opportunities and to grow with this dynamic Profession. We welcome Professional members who wish to nominate for a Branch Council position.

The **State Records Bill 1999** was passed by the Legislative Assembly on Tuesday 12th September 2000 and read in the Legislative Council on the 13th September 2000. It is advised that the Bill will sit in the Legislative Council for a period so that Council members can review the content of the Bill before it is discussed. The Hon P G Foss, Attorney General, is managing the Bill in the Legislative Council. The Chair of the State Records Bill 1999 Committee has been in contact with all parties in Parliament in regard to further progress of the legislation.

The invitation to the State Government Records and Information Management Group [RIMLG] to become a chapter of the RMAA Western Australian Branch has been declined. We look forward to continuing interaction and cooperation with the RIMLG and its members in promoting the profession.

The Mentoring Group's meeting was held on Wednesday 23 August at 5.30 pm at the Great Southern Room, 4th Floor, Alexander Library Building, LISWA the subject being, **fundamentals of Keyword AAA.** Congratulations go to Josette Mathers as the Chairperson for the success of the evening and a continuation of worthwhile and interesting subject matters.

A marketing campaign has been implemented by the Chair of the Marketing Committee, Neil Granland with a mailer going to all Local Government Authorities in Western Australia advising them of the importance of Records Management in general and the advantage to Council's being members of the RMAA and the services provided. We look forward to all WA Councils joining as Corporate Member of the RMAA in 2000/2001. A marketing campaign with mailers going to private organisations has also been carried out.

### Thought of the Month:

With the impending release of the new Records Management International Standard ISO15489 and its supporting Technical Report in early 2001, where does the current AS4390 Australian Standard go from here?

**Laurie Varendorff ARMA**
President, WA Branch

# AUSTRALIAN CAPITAL TERRITORY

As I sit to write this write this report we are in the final phases of the Olympic Games and drawing closer to our Convention in Sydney in December 2000. I do hope many of you have put this date in your diary and I hope to see you there. If you need details please visit our website http//www.rmaa.com.au>

Our Branch AGM is over for another year. This year the ACT Branch held the elections for the vacant positions on Branch a week later. Branch Council decided we wanted to spend time networking with our membership at the AGM and enjoy our seminar. I would like to thank Nigel Carruthers-Taylor, Senior Business Analyst from Solution 6, assisted by his colleague, Roger Hogg, Senior Solution Architect for an excellent presentation. Nigel presented a paper on the technical solution to the concerns of capturing electronic transaction evidence at the ACT March Branch Seminar. Papers from the seminar are available for purchase for $44.00. Please contact either Veronica Pumpa 6289 6826 or myself on 6256 5386 for copies.

Our next seminar will be the Christmas Function in November the topic is to be about *"Outsourcing"*. All government funded agencies are in the process of marketing testing so we (Branch) thought it would be fitting to have another seminar discussing the pro and cons of outsourcing.

The only two changes to the Branch this year are our new Education Officer, Jan Fisher, and our Membership coordinator Jewel Gilbert, with Lesley Boye taking on Newsletter and Seminar Coordinator. If you would like to read the latest newsletter please check the RMAA website for the latest Branch news.

It is with sadness that I inform our membership of the passing of Peter Hanlin formerly of Defence. I thank the ACT network of the bush telegraph for the news. For those of us in Canberra Peter would always be there to assist any of us in the profession he had a wealth of knowledge. He was always willing to assist the ACT Branch Council we knew he was always in the background ready to give a lending hand. To his family we send our deepest sympathy. Those of us that knew him will miss him.

By the time this latest INFORMAA Quarterly hits your desk we will be preparing for the Christmas New Years Festivities. I would like to wish you and your family a safe, healthy and happy festive session. I wonder where 2000 has gone! I hope 2001 will be good to you all.

**Stephanie M Ciempka ARMA**
ACT Branch President

# VICTORIA

As I commence my term as Victoria Branch President, I would like to thank Sandra Pickett for her efforts and initiatives over the last 12 months. Many thanks Sandra, from all of us on Branch Council. Sandra is still actively involved in the Victoria Branch as one of our Federal Directors and has also been part of the ARM Week Committee.

On Thursday, 3 August 2000 the Victoria Branch held its Annual General Meeting. The new committee is dedicated to improving the service provided to members and comprises five new, and six previous committee members. Details of the Committee Members can be obtained from the RMAA Web site.

On Monday, 11 September 2000, the Local Government Chapter provided a one-day training course in Knowledge Management in conjunction with the Delphi Group. The course was very successful and the Branch Council is considering offering it to the rest of the Branch membership. The Local Government Chapter has been working hard to increase awareness of records management issues within Local Government and provide a forum for sharing information, achieving great results.

During the month of October, the Victoria Branch and the Australian Society of Archivist Inc. are hosting the Archives and Records Management Week (ARM Week) to be held in Melbourne from the 9th to the 13th October 2000. The theme of ARM Week is Records Management Solutions for the Electronic Age and will commence with the Records Management Awards 2000 (Sir Rupert Hamer Awards) recognising innovation and excellence in records management within the Victoria Public Sector. The Awards are an initiative of the Public Record Office of Victoria and the Branch is proud to be the major sponsor of the event, which will be followed by the Local Government Chapter meeting and the ARM Week Seminar, and ending with the Victoria Archives Official Opening, hosted by Hon Mary Delahunty MP, Minister for the Arts.

A review of ARM Week, including details of those who received awards, will appear in the next edition of INFORMAA Quarterly. The Victoria Branch would also like to congratulate Rodney Hose and Paul White on their upgrade to Associate, and acknowledge their commitment to the profession. Rodney and Paul were presented their certificates at the AGM by Sandra Pickett.

**Anthony Mohn ARMA**

# On a deadline?

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PRODUCT guide

**Yes, I would like to know more about the products offered by the following companies appearing in *INFORMAA Quarterly* - Volume 16, Number 4. (Please Tick)**

| | | |
|---|---|---|
| ○ | Inside Front | - *Objective Corporation (formerly CompuTechnics)* |
| ○ | Page 10 | - *Albox Australia* |
| ○ | Page 11 | - *Qualified Records People* |
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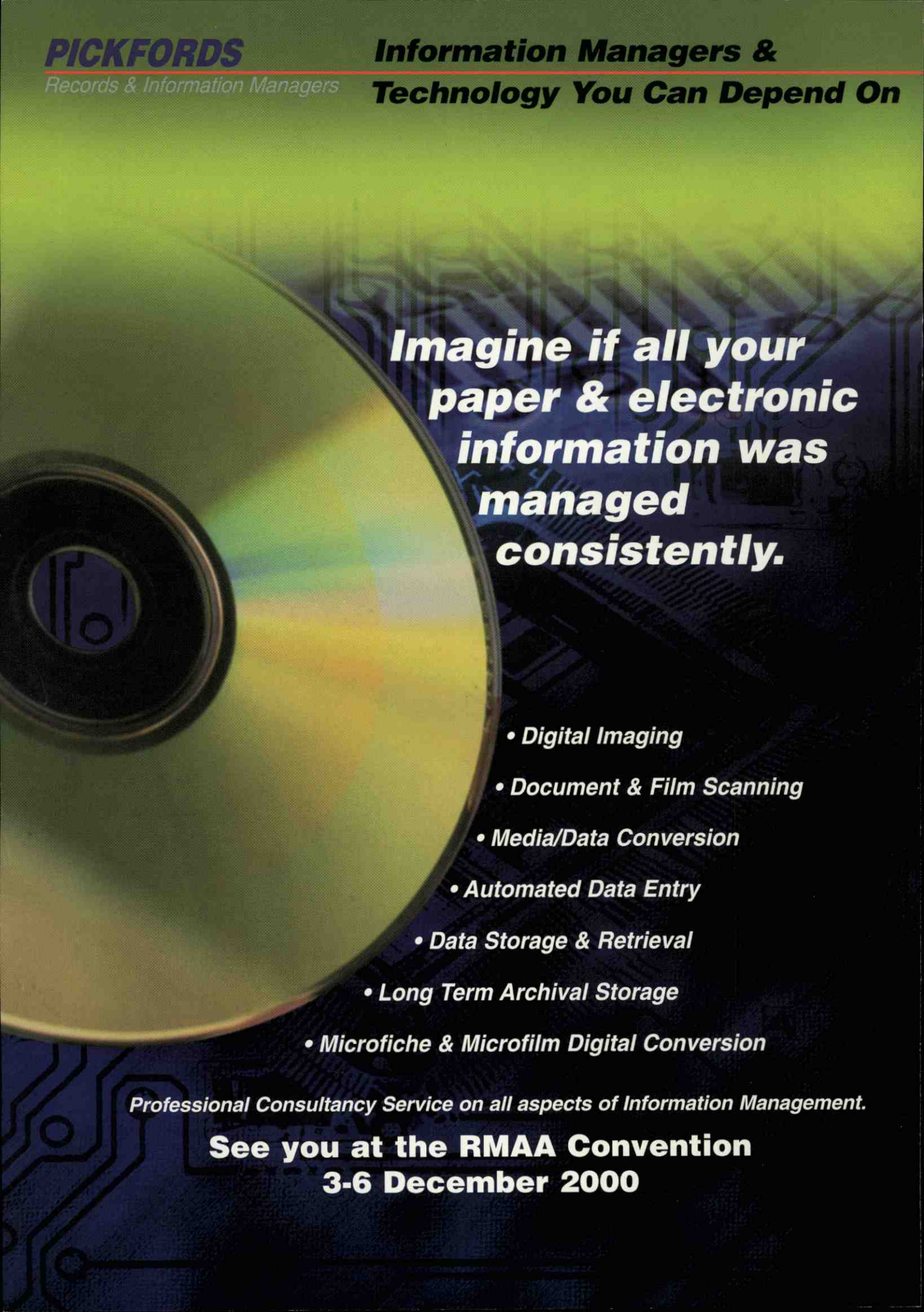

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