# INFORMAA

## QUARTERLY

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Contributions in the form of articles, case studies, letters, book reviews, are welcome. Please include brief biographical information e.g. position, place of work, previous experience and qualifications and a black and white photograph. Submissions may be also made in electronic format on a 3 1/2 inch diskette with Wordperfect 5.1 preferred or alternatively as a standard ASCII text file from other word processing software.

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# INFORMAA

# QUARTERLY

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# Federal President's Message
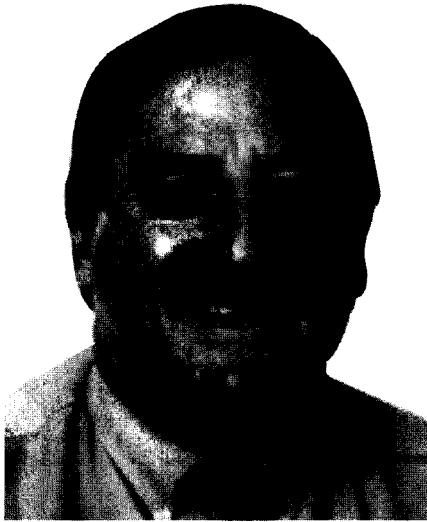
At the recent meeting of Federal Directors held in Canberra in conjunction with the RMAA 13th National Convention, Federal Council sought to embark on what we hope will be a rewarding and eventful year for 1996/97.

In his report to the membership in August 1996, Denis Comber mentioned some of the key achievements of the Association during 1995/96. I trust that we will continue to be achievers and with the assistance of the membership, Federal and Branch Councils 1996/97 will be another excellent year for the Association.

Before proceeding any further, I would like to acknowledge the direction and guidance given by Denis Comber during his two years as Federal President. He turned the Association around insofar as administration arrangements were concerned and he can be justly proud of his efforts. Thanks again, Denis.

In a brief summary I will try to touch on some of the more important issues dealt with during the Council meetings and the Annual General Meeting:

- Approval by resolution of the new Articles of Association.
- Adoption of the new Code of Ethics.
- Adoption of a new Code of Conduct which will be mentioned later in these pages.
- Adoption of the marketing plan, involving the Federal and Branch Councils.
- Centralisation of The Associations membership base.
- The Associations continued support towards the development of competency standards.
- A stronger and greater commitment by members of Federal and Branch Councils to ensure we achieve our aims and objectives.

I have no doubt that more will come out as the year progresses.

A very special congratulations must be offered to the organising committee of the 13th National Convention recently held in Canberra, once again a dedicated group of members proved their worth not only with the high level of professionalism within their own committee during the lead up to the Convention, but more importantly, the manner in which they operated during the three days of the Convention and the Trade Exhibition, no task was too great. Well done! Another successful National Convention and another "notch" in the belt for RMAA.

I would now like to turn to the Code of Ethics. Members will recall the Ethics being published in an earlier edition of the INFORMAA Quarterly and at the same time they were open for comment. The replies totalled seven. Obviously with that number of returns there was no clear majority either way as to the real feeling of the membership or indeed whether we should have a Code of Ethics. It is very appropriate to point out that the

Ethics were adopted from an approved model and were in fact written by three very astute members of the Association with a great deal of consultation in the past twelve months, and credit must go to them.

At least we have our Code of Ethics now and don't have to use or rely on those adopted from another country.

I look forward to communicating with the membership through the pages of the IQ during the next twelve months.

**Ray Holswich ARMA**
**Federal President**

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# Editorial

The Australian Securities Commission has given positive encouragement to paper conservation in our society by allowing companies to issue prospectuses electronically from October 1 1996. A copy of the ASC'S electronic commerce policy is available on their home page: http://www.asc.gov.au. Investors will have immediate access to documentation from the Internet and companies will save by not having to print large volumes of information, but at this stage, investors must still complete a paper application form when applying to buy shares - a situation not unlike a typical office where some information is held electronically, but most is still held on paper. I have no doubt, however that we will soon see more electronic records and less paper. As evidence of such a trend, the recent national convention held in Canberra featured a large number of hitherto unseen document management and image processing vendors.

Speaking of the Internet, the RMAA now has its own home page: http://www.taunet.net.au/rmaa.

In this edition we feature an electronic records keeping survey undertaken by Kylie Barrett in NSW and although the results are not surprising, we all recognise that "limited" approaches to managing electronic records is a less than satisfactory scenario and falls a long way short of best practice as set out in the Australian Standard on records management. Monique Jose from Edith Cowan University details the government accountability implications for outsourcing record keeping and Toni Adami from the Commonwealth Grants Commission tells us how to make do with limited resources and lots of enthusiasm.

Finally, it is with great pleasure that we are able to announce the presentation of the prestigious Emmett Leahy Award to Peter Smith MRMA. Congratulations, Peter!

Ken Ridley ARMA
National Coordinator
Informaa Quarterly

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# Letters to the Editor

**Dear Editor,**

I would like to respond to Mary Ann Rosenthal's letter, published in the August issue, about whole of government records management software. In particular I would like to clarify some of the issues that Mary Ann has raised, at least in relation to the New South Wales Government.

In New South Wales two records management software products, RecFind and TRIM, were approved for a Common Use Period Contract in April this year. This followed a thorough tender evaluation and selection process, managed by the Government's Information Technology Service and involving the active participation of a large group of records managers from New South Wales public sector agencies.

It is worth noting, first of all, that this exercise was part of a larger program, the Government Selected Application Systems (GSAS) program, whereby a range of corporate application software is being placed on State Government contract. The records management exercise was preceded by contracts for human resource and financial management systems and is being followed by one for electronic mail products. The aim of the program is to reduce the costs associated with the procurement, implementation and operation of these corporate applications across the New South Wales public sector, partly through increased buying leverage and partly by reducing the human and other costs of incompatibility between common applications in different agencies. At the start of 1995, nineteen different records management products were in use across the New South Wales public sector, with similar figures applying to the other corporate applications.

The Archives Authority strongly supported the records management exercise and, through the Records Management Office, took an active part in it. From our point of view, there were additional benefits to be gained, besides the Government's overall objectives. The use of a less diverse range of records management software will contribute to a consistent level of best practice in public sector agencies: while software and the practices they support are two different things, there is no doubt that the adoption of the right software influences and promotes good records management practices. Reducing the number of records management products in use should also help make records management skills more transferable across the New South Wales public sector.

To address Mary Ann's specific concerns, we certainly have not argued that one software product will solve all of an agency's problems. No software will do that. However, a choice of two products, already selected under rigorous common specifications, provides some flexibility to meet an agency's specific needs without sacrificing the benefits that I noted earlier. While it is Government policy that agencies use GSAS products for new acquisitions and major upgrades, the policy also allows for exemptions where compelling reasons can be demonstrated.

The arrangements in New South Wales will not threaten competition. The contract runs for four years and vendors who missed out this time now have the opportunity to develop their products to compete better next time. As to Mary Ann's second issue, I couldn't agree more (though I can't imagine that records managers are too scared to discuss this or anything else).

This is just one of many issues in modern records management that deserve lively national discussion.

David Roberts
Manager
Records Management Office
Archives Authority of NSW
The Rocks, Sydney NSW

# CALL FOR PAPERS

Readers are invited to submit articles for publication. They may be in the form of case studies, conference papers, book reviews, surveys or any report which may be of national interest.

Contributions should be typed & double spaced. Please include a short biography together with a black and white photograph.

Submissions may also be made in electronic format on a 3 1/2 inch diskette with Wordperfect 5.1 preferred or alternatively as a standard ASCII text file from other word processing software.

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**Deadline for the February 1997 issue:**

**23rd December 1996**

# Letters to the Editor

**Dear Editor,**

I am writing this letter in reply to Peter McDonald's article 'Records Management Tomorrow'.
(IQ AUGUST 1996 )

I am the Manager of Records Services at Blacktown City Council. The records services area is centralised with one decentralised records station manned by Records Services staff.

I must admit at the outset that I have only ever worked in a centralised records area; however, I wonder why staff who have a records area which provides them with speedy information retrieval would want to start up their own filing systems. It makes me wonder what kind of records managers these organisations employ, and more importantly, what is the next level of management doing to allow this type of situation to occur.

It is the records manager's responsibility to ensure that staff are given the best possible system of information retrieval, and that it suits the organisation's needs.

In providing this type of service you are lifting the esteem of records staff in the organisation.

Peter mentions "placing too much emphasis on tracking a file or correspondence rather than ensuring the users have the required information they need and the right file for correspondence". Well, all I can say to that is if you have more correspondence for the right file, and can't find the file, what kind of a service are you providing to the users. You need to have a good file tracking system in place.

Let me say that if you provide users with good records management they will bring the records to you to place on the correct file because they want to be able to find it again when needed. Today's records manager does not only look after records, they are responsible for staff management, budget management and liaising with senior management, as well as keeping up to date with changing legislation and technology, including electronic records.

Budgetary constraints are the main reason that most records managers can't introduce change as quickly as they would like and I'm sure most of us work under these constraints.

Not all centralised records areas are strenuously regulated. All records managers should be constantly striving to provide their users with the best records management system they can.

I don't believe that Peter should have taken such a broad brush approach to centralised areas. Without some type of control what have you got !

**Pam Camden MRMA
Blacktown NSW**

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# Reasons to be Cheerful
# or How to do More With Less

**Author:**

Tom A. Adami BA MA

*Tom A. Adami BA MA [Wollongong] Information Control Manager, Commonwealth Grants Commission. Currently undertaking studies at Canberra University, Graduate Diploma in Library and Information Management. I have had 4 years experience in records management in Defence and over the last 2 years at the Commonwealth Grants Commission in Canberra. I have been a member of RMAA [ACT & NSW Branches] and the Australian Society of Archivists. I am also a self confessed Internet junkie or should that be cyberjunkie.*

**Abstract:**

*This paper details the trials and tribulations recently experienced by the Commonwealth Grants Commission in the process of evaluating and analysing the way we operate with regard to maintaining our corporate memory.*

*Initially conceived as an IT compromise due to financial constraints placed upon our much heralded Corporate IT Plan, we decided that the project should also encompass the delivery and control of all information at the Grants Commission. The optimistic wish list we had developed before cuts in finances and human resources demanded a rethink, was rewritten along the lines of 'what can we do for ourselves with minimum cost outlays?'*

*The final strategy adopted was a realistic approach to setting in place a model for information control that involved cooperation between IT, records management and the library of the Grants Commission. We hope that other small to medium sized organisations can take heart in what we have achieved with limited resources but lots of enthusiasm. I have not gone into any*

technicalities of what we undertook, I have kept it fairly light and therefore fairly interesting. I hope this article will stimulate others to begin thinking of the issues involved, I am not offering solutions as such.

It is almost as if we can divide the Public Service into periods designated by the suffixes BH [Before Howard's administration] and DH [During Howard's administration], well it certainly applies to the operations of the Commonwealth Grants Commission. Well laid plans that were aimed at achieving a standard of service second to none were seemingly decimated by cuts in available resources. The Corporate Information Technology Plan [CITP][1] was the document that would realise a level of efficient delivery of services to the staff at the Grants Commission as well as to the Department of Administrative Services and to the States and Territories of the Commonwealth.[2] However, circumstances demanded that we amend, reassess and re-evaluate the CITP.

It had been planned to put in place a records management policy that would set us up as a leading practitioner in the control of our corporate memory. The so-called 'problem' of electronic records management was seen as more of a challenge than a 'problem'. Although not implicit in the CITP it was envisaged that we would develop a system in-house that would best suit our own specific needs. We were not starting from scratch as it were but we approached it from this angle. We already had the basics of a very good system but there was room for improvement. The Grants Commission being what it is [a small organisation with some 50 staff][3], it was clear we

didn't need to go for all the 'bells and whistles' in any system we adopted. As good as some of the scanning and imaging document control systems on the market are, it was like using a sledge hammer to hit in a tack in our case. We never considered going for this sort of over kill and we knew we had the talent to come up with some adequate in-house ideas.

Nevertheless, all was not lost and this brings me to the point of this case study. Cut backs in resources are not necessarily a death knell to the efficient delivery of records management services or the more general delivery of IT services. On the contrary it has made the Grants Commission more effective users of the limited resources available to us. We developed solutions that involved the technology that we already had at hand. Although every thing we thought we needed in the CITP didn't eventuate we have arrived at the point where we can safely say that we are complying with all required legislation and more in certain circumstances.

Things like external e-mail were knocked on the head but that wasn't a fatal blow. Internet access has been approached slowly and a trial stand alone has been set-up. Security of the LAN is a major concern with the Internet access. With Commissioners living inter-state we need to find a document delivery system that does not involve excessive cost and I personally would tend to state that the Internet does this sort of work beautifully.

Some of the things undertaken to enhance records management was to set up a keyword thesaurus committee, a file naming protocol committee, training seminars in the use of the

TRIM records management system and issuing instructions to all staff reinforcing the obligations we have under the Archives Act 1983, Privacy Act 1988 and Freedom of Information Act 1982. These instructions emphasised the point that format does not matter with regard to records and electronic records are to be treated in a similar fashion to paper based records.[4] Another important aspect was to update the records management procedural document that was last updated in early 1993.[5] Things have developed so quickly and so far that the 1993 document was basically useless. All items dealt with by the records management staff no matter how minor were itemised and detailed for all staff to see. The regular section newsletter was also a useful vehicle to impart information to all staff on new developments. It is vital to keep records management issues in the fore front and provide a forum for staff reactions and views on new developments.

An interesting point that I would like to reinforce here is that records managers should take it upon themselves to instruct and/or inform IT staff of our obligations to maintain records in a certain way. By this I am referring to the types of legislation that we normally deal with as records managers. I was surprised to come across the situation [well not all that surprised actually] where knowledge of the Archives, Privacy and FOI Acts was negligible in the IT area. After all it is the domain of records managers to know this sort of information and is not necessarily widely known outside the circles of records management. This sort of information should not be kept a secret from staff but widely disseminated.

The work undertaken at the Grants Commission demanded some lateral thinking and some innovative solutions be implemented. Staff in the

assessment and expenditure sections gather data from all over Australia and work closely with State and Territory governments as well as the Australian Bureau of Statistics [ABS]. Data gathered from these sources is then placed into spreadsheets that have complex formulae embedded into their structures and do not lend themselves easily to long term storage on paper. To remain in a useable form the spreadsheets must be maintained as working documents in their electronic format. Recent instructions from Australian Archives [AA] has demanded of us the long-term [permanent] retention of these electronic records.[6]

Some commentators have said that creating organisations have been instructed to maintain electronic records in lieu of AA fulfiling their role as custodians of public records. Professor Luciana Duranti, from the University of British Columbia, a world authority on archival and records management matters, has publicly stated that this state of affairs is laughable. The stance taken by AA has been described as an abrogation of their duty.[7] I digress, however, so back to the main theme.

Having established that we proceed basically on an in-house basis, it was important to keep up to date with new developments in other agencies and departments and membership of RMAA provided for this. The seminars arranged by the ACT branch are a good area to garner information and to network. The Society of Archivists is also a wonderful forum. Our small library also provides a good source of literature. Then there are the helpful staff at Australian Archives who are a great source of information.

Some of the major points we have learnt that may be fairly obvious but still helpful to others going through a similar exercise are:

- Keep staff involved in decision making all along the line;
- Involvement of the Executive is vital and should be a priority;
- Keep all instructional documents and procedural statements up to date;
- Treat all information sources as one whole when devising control systems [paper records, electronic information on networks and library][8]
- IT, library staff and records managers should form close working relations and generate joint submissions on records management issues;
- Acquire copies of Australian Standards AS4390.1-.6 Records Management, Australian Archives *Managing Electronic Records - A shared responsibility,* and documents from the Information Exchange Steering Committee;
- Form networks with other members of RMAA, ASA and perhaps even attend privacy contact officer and FOI meetings;
- Encourage staff to undertake training perhaps as a formal training program to keep up with new developments and new trends in records management;
- Devise a disaster plan that covers all contingencies and all areas of information storage and retrieval [the computer network, the registry and the library].[9]

To sum up I think that even small agencies / sections / organisations can do a lot with very limited resources but lots of enthusiasm and professionalism. Everything does not have to have a black and white solution, there are many shades of grey in the world and quite a few in the records management field. Don't always go for the quick fix either, it is sometimes more prudent to admit what is realistically achievable and go for that. So, despite all the pessimism that is evident in the public service at the moment there really are some reasons to be cheerful.

## References:

1. Commonwealth Grants Commission [CGC] Corporate Information Technology Plan 1996. This Plan had major implications for the records management section in that it dictated to a large degree the way we would be dealing with electronic records.

2. Commonwealth Grants Commission Act 1973 as amended, see CGC Annual Report 94-95 Appendix A.

3. See CGC Annual Report 1994-95 organisation chart p.56 & Appendix F.

4. See Archives documents *Managing electronic records - a shared responsibility* by Greg O'Shea & *Keeping Electronic Records* by Greg O'Shea et al [Exposure draft V.2 Sept. 1995] & IESC documents.

5. CGC Records Management Procedures Manual, September 1996.

6. Australian Archives Managing Electronic Records p.5-7.

7. RMAA and University of Canberra seminar November, 1995 - Prof. L. Duranti "Diplomatics and Records Management".

8. See paper by Adrienne Kebbell, New Zealand State Services Commission *Case Study in the Use of Technology*, Electronic Records Management Conference, Canberra Nov. 1994.

9. The National Preservation Office [NPO] at the National Library of Australia is a great starting point for information. Conservation Access of the State Library of NSW regularly runs courses on disaster planning such as *Re-defining Disasters*, September 1995.

Tom A. Adami BA MA [Wollongong]
Information Control Manager,
Commonwealth Grants

# Electronic Record Keeping in NSW
## A Survey of RMAA and ASA Members

## Author
Kylie Barrett
M.A. Grad.Dip.IM. M.App.Sci.
*Kylie is the Information Manager at the Australian Payments Clearing Association (APCA). She has previously worked as an Archivist at the Reserve Bank of Australia and various NSW State Government Departments.*

## Abstract
*A survey of New South Wales records keepers was undertaken in August/September 1995, to ascertain what approaches were being taken to save electronic records. The survey was distributed to NSW members of the Australian Society of Archivists (ASA) and the Records Management Association of Australia (RMAA). Employees in organisations can create and have access to a range of electronic information, this project was aimed at determining who is currently making decisions regarding storage, selection, preservation and destruction of this information. The management of electronic documents is the first stage in ensuring that records are selected and preserved. Responses to this survey indicated that records keepers are currently taking limited approaches to managing electronic records.*

## Introduction

The purpose of this project was to examine what approaches record keepers are taking to manage electronic documents and save electronic records. Many organisations business transactions are conducted in electronic form, and need to be saved for accountability and evidential purposes. However, many record keepers appear to be reluctant to take up the responsibility of ensuring that electronic records are being maintained in accordance with record keeping requirements. The term "electronic records" was used as a general term in the survey, in order to keep the survey simple and accessible. Electronic records can be distinguished from electronic documents, by their transactional origin and evidential nature.[1] The record keeping profession in this paper refers to both archivists and records managers.[2] Record keepers often see the management of electronic records as the responsibility of information technology staff.

## The Survey

These issues of accountability, access and continuing value that surround the management of electronic records were incorporated into a survey instrument. Surveying was chosen as the method of data collection, primarily as it was not possible to personally interview the large number of record keepers involved. The data collection method was a census of the record keeping profession in New South Wales. The surveys were distributed in early August 1995. The survey was three pages long, consisted of 16 questions and a reply paid envelope was included. Respondents had 3 weeks to return the survey, but late returns were accepted. The raw response rate for the survey was 33%. However, it must be noted that some record keepers are personal members of both societies and the organisation in which they are employed may be institutional members of the societies. Therefore, an individual could receive four survey instruments. Thus, it can be inferred that the actual response rate is above 33%.

## Survey Findings

The survey was divided into four sections: guidelines, PC applications, other applications, e-mail and respondents details. Records keepers were 71% of respondents, *see Table 1.* Discussion of the results of the survey will mainly focus on records keepers responses, as the objective of this paper is to examine what approaches they are taking in the management of electronic records.

## Guidelines

By cross tabulating the results with position title, 56% of records keepers did not have guidelines in their organisations for the control of electronic documents (word processing documents, spreadsheets and e-mail), *see Table 2.*

Where records keepers responded that they did have guidelines, these were primarily formulated (49%) by the records keepers themselves, *see Table 3.*

In only 12% of organisations that responded to the survey, were guidelines being jointly formulated by records keepers and information technology personnel. Responses by information technology personnel indicate that they do not consult records keepers at all in the formulation of guidelines for the control of electronic records, only a small percentage of administrators consulted records keepers.

## Approaches to Managing PC Documents

PC documents appear to be stored in an ad hoc manner as naming conventions for directories, folders and files in word

processing and spreadsheet applications are not widespread. Approximately 30% of records keepers stated that a subject classification system was in place and that 8 character file names were used, *see Table 4*. No naming conventions were apparent in 35% of organisations that had records keepers.

Although electronic document management software[3] is not widely implemented at this stage into organisations in New South Wales, 27% of record keepers responded that their organisation used the software. However, many respondents misinterpreted electronic document management software with records management software (for managing paper documents and files).

The major criterion for records keepers in determining retention periods for electronic documents is legislative requirements and when a paper copy of a document is produced. Freeing up space on the server and when the document is no longer active are other criterion for determining retention periods. Record keepers, users and information technology staff all determine retention periods.

## Approaches to Saving PC Records

The first step in saving electronic records is to manage and save documents, as records are a class of documents distinguished by their evidential and transactional nature. Final versions of documents are tamper proof (protected from alteration and deletion) in 26% of the organisations that had record keepers, *see Table 5*.

Record keepers who responded that documents were tamper-proof, were asked how these documents were made tamper-proof. Most record keepers (64%) stated that password and log in protection was the main method, *see Table 6*.

PC documents are retained by records keepers in both electronic and paper (printed) form, however some records keepers were not sure where PC documents were retained. Half of the record keepers responses were that non-current electronic records were being backed up and secure. Many records keepers indicated that they were instrumental in determining retention periods, but the responses clearly indicate that users are deleting electronic documents.

## E-mail

The responses from records keepers indicated that 75% had electronic mail, and that in most organisations it was available both internally and externally, 36% stated that e-mail was available internally only, *See Table 7*.

When e-mail messages are printed they are predominantly stored on file in the Records section. From the data gathered in this survey 42% of records keepers answered that e-mail messages were retained electronically in their organisation, and that it is primarily users who decide what e-mail messages will be retained electronically, printed and deleted.

## Discussion of findings
### I. Accountability

Only 34% of record keepers had guidelines for the control of electronic documents, which means that most users in organisations have no idea of requirements for achieving organisational accountability. Accountability depends on being able to demonstrate managed access to information which is required for internal purposes or as future evidence. Of those organisations that did have guidelines and record keepers, in some cases it was information technology personnel and administrators who were the authors of the guidelines. The implications of non record keeping professionals formulating these guidelines are that accountability requirements have probably not been considered.

### II. Access

Naming conventions can add structure to the plethora of documents created in a department by numerous users; which enables easier access to required documents. The results of this survey indicate that naming conventions are embraced in a minority of organisations, and it can be inferred that users in organisations do not adopt a consistent document filing system. In the next few years it is anticipated that electronic document management software will be implemented in more organisations, when there are high profile organisational examples of the software's effectiveness.

### III. Value

The survey findings reveal that records keepers have limited involvement in formulating retention periods, but users are ultimately determining when documents are deleted. For evidential purposes final versions of documents need to be tamper-proof, protected from alteration and deletion. The implications of the results (*Table 5*.) are that final versions of documents are largely unprotected and can be tampered with, altered or deleted; which removes the documents' evidential value. A significant proportion of records keepers were unsure if non-current records were backed up and secure, indicating that some records keepers have little input into the management of electronic documents or selecting electronic records. It is primarily users and information technology personnel who are deleting electronic documents and e-mail, who have little knowledge of the concepts of continuing and permanent value.

## Conclusion

The survey of records keepers in New South Wales has shown that limited approaches are currently being taken to manage electronic records. A small proportion of records keepers have formulated guidelines for the control

of electronic documents and records. This is an encouraging step towards ensuring access to desired information, accountability and the preservation of the corporate memory in organisations. However, at present in most organisations it is users and information technology staff who are determining what electronic documents and records are retained and destroyed, and accountability requirements are probably not being considered. Perhaps we need to examine the reasons why records keepers are at this stage reluctant to manage documents and records in electronic form, and offer training in both information technology and communication[4] to ensure that record keeping requirements are met in organisations.

## References

1. Roberts, D.. Defining Documents and Data , *Archives and Manuscripts*, Volume 22, May 1994; p.19.

2. Upward, F. Challenges to Traditional Archive Theory, in B. Reed and D. Roberts, *Keeping Data: Papers from a workshop on appraising Computer-based records*, 1990; p.105.

3. Examples of electronic document management software include PC Docs Open, Soft Solutions, Recfind Corporate.

4. Communication in this instance refers to the ability to liaise and negotiate.

## Table 1. Respondents to survey

| Position Category | % of Responses |
|---|---|
| Record Keepers | 71% |
| Information Technology personnel | 9% |
| Others (administrators/ sales/librarians) | 20% |

## Table 2. Record keepers responses to Guidelines

| Record Keepers | % of Responses |
|---|---|
| Guidelines | 34% |
| No Guidelines | 56% |
| Guidelines being developed | 6% |
| Don't know if Guidelines exist | 4% |

## Table 3. Record keepers responses to who formulated the Guidelines

| Who Formulated Guidelines | % of Responses |
|---|---|
| Record Keepers | 49% |
| Information Technology personnel | 22% |
| Others (administrators/ sales/librarians) | 17% |
| Record Keepers & Information Technology | 12% |

## Table 4. Record Keepers responses to naming conventions

| Naming Conventions | % of Responses |
|---|---|
| Subject classification system | 30% |
| No naming conventions | 35% |
| Did not know | 9% |
| Varied from section to section | 7% |

*Note: Each item in the table is a separate variable, thus the total does not add to 100.*

## Table 5. Record Keepers responses to making final versions tamper-proof

| Protecting Documents | % of Responses |
|---|---|
| Documents are tamper- proof | 26% |
| Documents not tamper- proof | 45% |
| Did not know | 29% |

## Table 6. Record Keepers responses to how final versions are made tamper-proof

| How Documents are Made Tamper-Proof | % of Responses |
|---|---|
| Read only | 12% |
| Password & login protection | 64% |
| Back up tapes | 4% |
| All (read only, password & login protection, back up tapes) | 16% |
| Electronic records management system | 4% |

## Table 7: Record Keepers responses to making a paper copy of e-mail

| E-mail Practices | % of Responses |
|---|---|
| Paper copy of e-mail messages | 21% |
| Don't know if a paper copy was made | 17% |
| Sometimes a paper copy is made (users discretion) | 32% |
| Paper copy not produced | 30% |

# The RMAA 13th National Convention
## "Re-engineering: The Electronic Records Future"



*RMAA 1996 Convention-Canberra Convention Centre*

## A Chairman's Review

The 13th National Convention of the Records Management Association of Australia was held at the National Convention Centre, Canberra between 8-11 September 1996.

The underlying theme of the Convention had been developed as a progression starting from identifying users' requirements for information resources in the contemporary managerial climate, then demonstrating how collaborative application by information professionals can respond to those requirements, and concluding by describing the technical tools available to those information professionals to achieve their objectives.

To respond to the theme, the ACT Branch of the RMAA imported some highly recommended speakers from the USA and Europe, and selected local content to provide balance in each field. Dr Ben Graham, Jr represented the Nth American view; Carl Newton, the British, while Rick Barry and Paul Heath, with their trans-continental commitments, were able to use a broader brush.

The Convention was opened on a nostalgic, literary, but generous note by Sir Peter Lawler, OBE. His expectations of the proceedings were high, recognising the 'scholarship of the keynote and sessional speakers', but concurrently warning of the seductive nature of technical innovation, and the drive to raise 'productivity'. The relevance and percipience of Sir Peter's introduction was to be revisited on a number of occasions through the following three days. The first day's proceedings were designed to reflect user needs, corporate and researcher. In the event, the first speaker, Dr Ben Graham, Jr with his wide experience of managerial change, concentrated more on the social and economic outcomes of Business Process Re-engineering in the business sector. His message of diversification and adjustment in the face of managerial change was in some measure lost to a sympathetic, but nevertheless, predominantly public sector audience. Also, rather unfortunately, the effects of Business Process Re-engineering on the demand for, and provision of information in the functional operations of business received scant attention.

The choice of the second speaker was made on the basis of demonstrating the information requirements of an active political analyst and contemporary historian, how that information is acquired, and the effects the re-engineering process would have on the

means of both access and retrieval. Dr Gwynneth Singleton used anecdotal examples to demonstrate her experiences in the transformation of means to acquire information from the traditional hands-on, dustcoat approach, to the contemporary world wide web. Though Dr Singleton was, and is, a confirmed patron of the Noel Butlin Archives Centre, attendees from the Australian Archives were surprised at her admitted lack of awareness of the holdings of their repository.

The integration of all data sources, in all their varying formats, to support the decision process for senior management in a complex and dynamic business environment, was the thrust of Murray Jackson's forceful presentation. The diversity of information resources in the Snowy Mountains Hydro-electric Authority, both tangible and intangible, structured and informal, authoritative and unsubstantiated, are drawn into their corporate information base. The value of this material is reflected in its ready availability, and the means of controlling it requires the collaborative effort of the technologists, the users and the keepers.

The second day started with a workshop breakfast hosted by Joy Siller on information management as it relates to the Internet. Regrettably, your reporter was unable to attend this well supported and highly spoken of event.

Rick Barry, whose audiences over the past few years have been in the United States, Canada, Britain, the West Indies, and Africa was the keynote speaker of Day Two. Rick Barry's thesis was to develop the concept that each of the various players in the information industry has an essential part to play: the

records managers, archivists, information scientists, and information technology specialists. But it is only through the integration of their functions and the collaborative application of their tools of trade that an effective service to the users can be provided and maintained. His metaphor of using a 'salad' rather than a 'soup' approach, where each ingredient maintains its own identity whilst being part of the composite dish, was particularly useful.
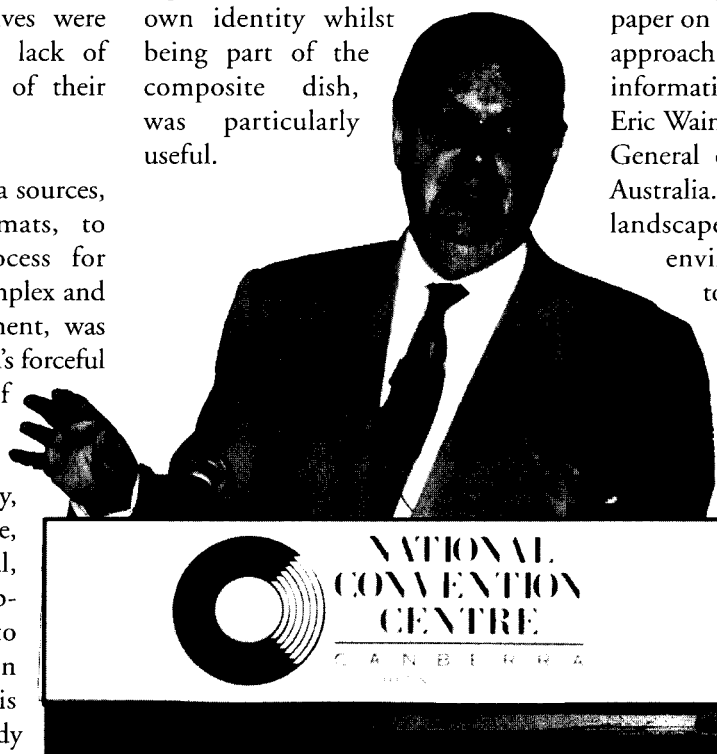


*Richard Barry*

After lunch, the Department of Defence's Director of Publishing and Visual Communications, Bruce Cann, introduced his team: Frank Wood and Cheryl May. They described the leading edge technology and tools in document management processes now being used in Defence. The first of these, as explained by Frank Wood, is an application independent Document Generator which provides a range of standardised word processing templates linked to an SGML tagging structure which is invoked at the time of document creation. The second, described by Cheryl May, is an integrated electronic forms application designed to facilitate both access to, and use and transmission of the multiplicity of forms used in the

Department. The essential elements of content, context and structure as part of the evidentiary components of records have apparently been recognised, though an admission that the records management community was not consulted in the development process generated some interesting comment.

A very timely and informative paper on the Australian Government's approach to the management of its information, was then presented by Eric Wainwright, the Deputy Director General of the National Library of Australia. After having painted a landscape of today's information environment, with the trend towards electronic creation, storage, and retrieval of records, combined with communication across international boundaries, he reflected on changing public expectations and concerns, and projected government responses. These responses were listed in terms of the work of the Information Management Steering Committee, and their objectives of providing increased public access to government information, and, of crucial interest to records managers in the public service, improved efficiency and effectiveness of government management of its information.

The morning of the third and final day started with a breakfast talk given by the Chief Government Information Officer, Dr Andy Macdonald. Partially complementary to, and in reinforcement of Eric Wainwright's paper of the previous afternoon, Dr Macdonald emphasised the technical commitment to the 'Whole-of-Government' approach to information and service delivery using the Commonwealth's Information Technology infrastructure . . . and the Internet.

An entertaining, but no less intellectual presentation followed, with Carl Newton decrying a series of myths which purport to complicate approaches to electronic document management. He advocated the proposition that meaningful control over documents presents organisations with the opportunity to maintain evidential and contextual stability of their information resources, to ensure accurate and timely retrieval, to avoid problems of organisational change, and finally, to provide automatic, demonstrable destruction of redundant material.

A short interlude before lunch was filled by an amusing depiction of the contradictions and compatibilities experienced by Laurie Sletten, who has a concurrent professional commitment to the management of both archives and to records. From this unusual perspective, she expressed a need for collaboration in the respective processes of each function to provide a basis for more effective outcomes, despite the reality that those outcomes may, in essence, be quite different.

The assertion made by Paul Heath, the final speaker, that the '. . . future is in everybody else's hands' was given substance as he listed occupations and functions that have benefited, and are continuing to benefit from the effects of new technological innovation. Paul Heath proceeded down the time worn path of the records life cycle, advancing with technology in document capture, the capacity and cost issues in document storage provided by electronic document warehousing, and prodigious competencies in access and retrieval. The devolution of functionality in recordkeeping to technologists, he

suggests, will allow the records manager to concentrate on business processes and information flow, rather than on the technology itself.

The anticipated concentrated nature of the papers given, and the depth of intellectual demand on the delegates, had
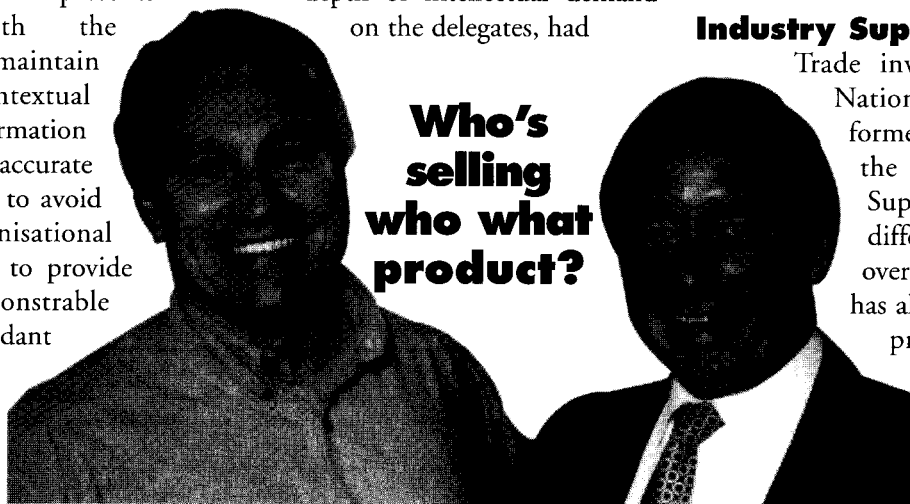
**Who's selling who what product?**

suggested to the conveners that one of the keynote speakers be asked to summarise the overall tenor of the Convention. In response, Rick Barry identified the following threads:

- the importance of linking documentation to business aims and processes, recognising that information needs to be treated and managed as a resource rather than as an expense;
- the implications of emerging technologies such as intranet, multimedia and object metadata, electronic mail and forms, workflow applications and groupware, and the associated problems of integrating legacy processes to the emerging electronic systems;
- the importance of the human and social dimensions of technical innovation in the workplace, and its effects on recordkeeping including privacy issues, and government to governed access and response; and
- the importance of collaboration between all stakeholders.

*Two software industry adversaries enjoying a lighter moment at the convention [Left Frank McKenna (gmb), Brand Hoff (Tower Software)]*

Rick Barry aptly closed the Convention proceedings by using Sir Peter Lawler's words, that we are in an unfamiliar but 'daunting world . . . but lush with opportunities'.

**Anthony Eccleston ARMA**

## Industry Support

Trade involvement in the National Convention formed a critical part of the overall program. Support by many different organisations over the last few years has allowed planning to proceed with the knowledge that the financial aspects of arranging a convention of this type are largely covered. This helps to keep costs for delegates to a minimum. This is reflected in the relatively low fees compared to other conferences of this type and magnitude. The industry exhibition was an important part in this support. We would like to thank again all exhibitors. At the same time we congratulate IBM Corporation for being judged the best single stand and Filenet Corporation Pty Ltd, the most original special display incorporating more than one stand.

We would like to thank our Silver sponsor, Ausdoc, and our dinner sponsor, Brambles Records Management. Also Tower Software Engineering for support in covering speaker expenses and W.C. Penfold who provided the stationery. Thanks too to those organisations who contributed by having promotional material inserted into satchels.

**Arthur Langford-Smith ARMA**

# Implications of Outsourcing Record Keeping and The Effect on Government Accountability

## Author

**Monique L Jose B App Sci (ILS)**

*Monique's work experience includes over seven years in the library and information field. From 1993-96 she was employed as Acting Archivist/Archivist at Edith Cowan University (Perth, Western Australia) and has pursued her interest in this field through external studies towards a Grad Dip Sci (Archive Studies) degree at ECU.*

*Monique is currently a member of the WA government sector Records and Information Management Liaison Group Executive Committee and is employed as Records Manager at ECU.*

I n considering the possible implications of outsourcing within government sector agencies and its effect upon government accountability, it is firstly necessary to define what outsourcing is, why agencies look to outsourcing and its possible pitfalls.

## What is Outsourcing?

What is outsourcing and what does it involve for an organisation? DeRose and McLaughlin (DeRose & McLaughlin, 1995, p. 51) define outsourcing as the

"*transferring [of] responsibility for an area of service and its objectives and activities. It involves multiple functions. It means a long term relationship and a high degree of interdependence with an external provider who becomes a kind of partner*". More succinctly, (Gorecki & Hatzi, 1993, p. 20) "*the central idea of outsourcing is that an organisation should focus on its core business, whilst less important business functions should be handled by external service providers*". It is important to highlight that outsourcing does not involve merely the handing over of task completion to an external service provider but more importantly a transferral of responsibility (DeRose & McLaughlin, 1995, p. 51).

The last few years have seen the emergence of "razor gangs" and budget cuts at all levels of the public sector, concurrent with moves towards the rightsizing/downsizing of agencies, cost cutting, streamlining, and the privatisation of entire government agencies in order to make them more efficient and, if possible, self funding (Iacovino, 1993, p. 32; Renehan, 1993, p. 66; Wettenhall, 1992, p. 26, 29). The outsourcing of record keeping is also being investigated and, to date, has been implemented in at least one West Australian state government organisation and is being contemplated by several others (M. Corbett, personal communication, 16 March 1995; Commission on Government, 1995, p. 104). This trend looks set to continue (Emy & Hughes, 1991, p. 431; Commission on Government, 1995, p. 101-102; Hurdles, 1993, p. 22; James, 1992, p. 46; Pemberton & McBeth, 1995, p. 13-14; Plunkett, 1991, p. 8; Wettenhall, 1992, p. 23, 26, 29). Recent developments in the public sector reaffirm this view - as

evidenced by the Kennett government's leaked plans to cut public sector jobs through outsourcing (ABC 7.30 Report, 27 March 1995).

## Positive Aspects of Outsourcing

The perceived benefits of outsourcing, appear to stem largely from the belief that business will be more competitive, resulting in significant financial savings (Croft, 1995, p. 5 & 7). Some sources have estimated that savings of 9% can be made, in addition to a 15% increase in capacity and quality (Kelley, 1995, p. 40), while other sources estimate overall savings of between 20 and 40 percent (Jurney, 1995, p. 5).

Areas of savings include a reduction in the costs of employing full-time staff such as taxes, leave loading and superannuation, a reduction in overheads and other costs such as company fleets (James, 1995, p. 47; McDonald, 1993, p. 17), savings achieved through economies of scale (McDonald, 1993, p. 17; Smith, 1995, p. 31), and taxation advantages (ie outsourcing fees may be claimed as a direct operating expense and are fully deductible) (McDonald, 1993, p. 17; Plunkett, 1991, p. 8). Savings appear to be the highest in the public sector (James, 1995, p. 48).

Another cited benefit of outsourcing is the ability to increase the level of expertise and service available. It is maintained that existing staff are able to provide limited experience and knowledge when compared with external specialists or "experts" with a proven record of performance (Bers, 1995, p. 44; Croft, 1995, p. 5 & 6; DeRose & McLaughlin, 1995,

p. 52; Smith, 1995, p. 31). Therefore outsourcing is seen as a way of promoting the delivery of a quality service (Kelley, 1995, p. 41) which may be harder to provide with inhouse resources. "Improved service" has been quoted as the main benefit of outsourcing (Croft, 1995, p. 5).

Changes in the way people work and the ways in which information is shared have in turn led to demands for a more flexible workforce. It is contended that outsourcing enables staff to work in more flexible ways - by allowing them to work part time or from home (James, 1995, p. 52) - by creating situations in which staff are committed for periods of time (e.g. a contract period) rather than permanently, and are paid for the work they do, rather than in wages (James, 1995, p. 49). Furthermore, it is stated that outsourcing facilitates the establishment of well developed career paths for staff - opportunities

unlikely to be available in small organisations (McDonald, 1993, p. 17; Pemberton & McBeth, 1995, p. 12; Plunkett, 1991, p.14). It has been suggested that staff employed under the above conditions are more likely to be satisfied and motivated in their work, leading to higher quality service provision.

Importantly, some organisations have indicated that the outsourcing of specific functions has enabled a change of organisational culture not achievable previously (DeRose & McLaughlin, 1995, p. 52; James, 1995, p. 48; Hurdles, 1993, p. 23). This in turn has led to financial and time savings through changes in workflow and procedure.

The key advantage of outsourcing to the parent organisation is linked with this in that it provides an opportunity for the refocussing of strategic or core functions, the

development of an overall plan for the organisation (DeRose & McLaughlin, 1995, p. 52; James, 1995, p. 48, Jurney, 1995, p. 18), and encourages the channelling of resources to meet this end (Croft, 1995, p. 5). Additionally, outsourcing urges the organisation to "*focus on the strategic activities...[of]...the organisation*" (DeRose & McLaughlin, 1995, p. 52) - that is, what the organisation "does best" and areas in which it has advantages over its competitors (DeRose & McLaughlin, 1995, p. 52). Outsourcing can encourage a long hard look at where the organisation is headed.

### "Not so Positive" Aspects of Outsourcing

Despite the potential benefits of outsourcing DeRose and McLaughlin (1995, p. 52) are quick to warn that "*reducing costs makes sense only when linked to at least one of the other objectives. Otherwise, an outsourcing effort can focus on cutting costs without*
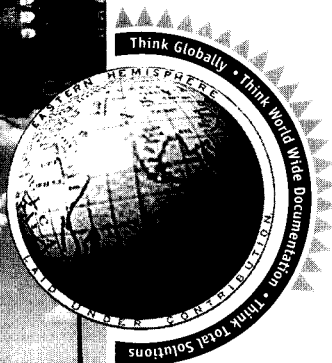
*regard for long-term effects."* Other authors add that management primarily looks for *"immediate benefits"* (Kelley, 1995, p. 40; Plunkett, 1991, p. 8) and cost savings, with little thought for the future. Such an outlook is short sighted and unlikely to be successful (Kelley, 1995, p. 40).

A review of the professional literature indicates that there are still reservations concerning the overall success of outsourcing and whether or not the perceived benefits actually lead to better business and organisational structures in the long term. These concerns are outlined in more detail below.

Some argue that the *"improper use of outsourcing has been a significant factor in the decline of many western businesses. ... often companies are ... committing themselves to a long-term decline in competitiveness"* (Bettis, Bradley & Hamel cited in James, 1992, p. 49; Plunkett, 1991, p. 9). It is reasoned that staff directly involved in an organisation and its business are best qualified to develop new systems and services, given their more detailed inside knowledge and that an external operator *"either finds it hard to keep up with you or charges a premium to meet your needs"* (Plunkett, 1991, p. 9-10).

This has been evidenced by the outsourcing experiences of Melbourne Water (a public utility) where a *"strategic dependence on MITS"* [the outsourcer] developed, *"particularly in relation to specialist technical knowledge of Melbourne Water's key business systems"* (Hurdles, 1993, p. 23). In this case over-reliance on one company led to reduced competition - in terms of both service and cost. Thus, instead of developing a mutually beneficial relationship, an organisation may become subject to the terms and conditions of an individual outsourcer.

Outsourcing even non-core functions of an organisation leads to a real or perceived sense of loss of power and

control (Gorecki & Hatzi, 1993, p. 20; Kelley, 1995, p. 42; Plunkett, 1991, p. 9). James (1992, p. 50) argues that a loss of control over organisational activities is dangerous in today's business climate given that the unimportant activity of today could be the very function that gives an organisation the competitive edge tomorrow. This argument is backed up by Gorecki and Hatzi (1993, p. 21) who state that *"an organisation cannot achieve total quality management (thus long-term prosperity) if large parts of its operations are outside its direct control".*

This perception of loss of control can be experienced by personnel at all levels and can lead to difficulties in staff relations and co-operation (James, 1992, p. 49). Gorecki and Hatzi (1993, p. 21) assert that this lack of unity runs contrary to the principles of Total Quality Management and that *"an outsourced business function is isolated not only physically but also in an organisational and legal sense",* weakening corporate goals. This issue of personnel interaction and unity may be further complicated by the very real threat of staff retrenchment as a result of outsourcing which, Croft notes, *"is a particularly sensitive issue for government"* (Croft, 1995, p. 6; Bers, 1995, p. 44).

The literature indicates that many of the difficulties associated with outsourcing stem from poor planning and implementation. Hidden costs, poor forecasting, lack of trust, and "hidden conflicts of interest" can easily lead to incomplete and inaccurate costings of outsourcing (James, 1992, p. 50) - ultimately leading to budget blowouts and little benefit or even the incursion of considerable cost.

Furthermore, lack of standards and accreditation programmes have increased the risk of employing less than qualified service providers (Hurdles, 1993, p. 22). Service providers not only need a solid financial base but must be able to

provide high quality services for the duration of the contract - qualifications which may be measured by reputation, experience and documentation of performance (Croft, 1995, p. 6; DeRose & McLaughlin, 1995, p. 53; James, 1992, p. 50; Kelley, 1995, p. 42).

Organisations considering various service providers should not only consider the quality of the service but also whether or not the vendor meets the needs of their own organisation, ensuring that the objectives and goals of the companies concur (DeRose & McLaughlin, 1995, p. 53; James, 1992, p. 52; Kelley, 1995, p. 42), giving the partnership a greater chance of success.

Organisations must also consider the complexities of dealing with several outsourcers if more than one function is outsourced (Plunkett, 1991, p. 14). It can be difficult to manage the total business of the organisation if the responsibility for various functions is held by different service providers with inherently different corporate cultures. Negative effects can be reduced by the careful selection of service providers.

One area often overlooked is that of the need for ongoing review of service provision and future directions once an outsourcing programme has been implemented (DeRose & McLaughlin, 1995, p. 54; Hurdles, 1993, p. 23; Kelley, 1995, p. 41). Regular reviews help to ensure that the partnership is working, established performance indicators are being met and that real benefits are flowing through to the organisation.

While outsourcing may promote strategic planning and a refocussing of goals Bettis, Bradley and Hamel (cited in James, 1992, p. 52) note that *"It is important to view outsourcing in strategic and offensive terms, instead of merely as a defensive technique for trying to fix problems. Outsourcing cannot fix*

*a strategically sick business".* Therefore, goal setting and refocussing activities should be occurring in organisations independent of outsourcing moves.

Finally, outsourcing *"is at risk of becoming the latest fashionable quick fix for business. ... Australian managers' often superficial approach in grabbing on to fads usually results in little meaningful change"* (Cahill, cited in James, 1992, p. 52; McDonald, 1993, p. 16). Change should not be made just for the sake of change (Kelley, 1995, p. 41) - if there is no overall benefit outsourcing is not worth pursuing.

## Outsourcing Record Keeping Functions

How, then, do these arguments apply to records keeping functions? General advantages and disadvantages as outlined above apply in the same way that they do to any function,

however, there are a few notable points to bear in mind with regard to records services.

## Security

Firstly, the levels of confidentiality and security provided by an outside service provider are an important consideration for any agency. It is suggested that in contracting out record keeping functions *"an organisation exposes itself to significant risks in terms of security, accuracy and completeness of information"* (Commission on Government, 1995, p. 102; Iacovino, 1993, p. 34). It is inconceivable that some records currently created and managed by particular government agencies (e.g. Federal Police, ASIO, Royal Commissions, Taxation Department etc.) should become the responsibility of outside organisations, but rather they should be managed by the owner organisation (Crofts, 1995, p. 6;

Commission on Government, 1995, p. 106) - the government - as the representative of the people.

Should, however, records services be outsourced proper regard for confidentiality and security should be given to records which contain security, surveillance (Stokes, 1991, p. 79) repatriation, migration, and aboriginal affairs information, as well as records of a personal nature which identify an individual's welfare, medical, taxation, and other details (Stokes, 1991, p. 74). It is recommended that the outsourcing agreement also include a short confidentiality/non-disclosure clause to be signed by employees of both parties (Sharpe, 1991, p. 72). *"These requirements are of vital significance in relation to government outsourcing agreements"* (Sharpe, 1991, p. 73).

Furthermore, access security protection provided by a third party may not be comprehensive enough to meet the needs of the organisation (Crofts, 1995, p. 6). Sharpe (Sharpe, 1991, p. 70) notes that "*outsourcing arrangements require high level security. This requirement should have contractual force*", a view affirmed by the recent West Australian Commission on Government (1995, p. 105, 107).

## Is Record Keeping a Core Function?

Secondly, can record keeping be defined as a core function, and therefore a suitable candidate for outsourcing? Corbett (Corbett, cited in Kelley, 1995, p. 41) comments that "*just because a function seems mundane or isn't described in a mission statement doesn't make it unimportant ... the outsourced function is often crucial to the company's overall success*". Record keeping and management has "*usually been viewed as a service in government and industry*" - as opposed to a core competency (1995, Crofts p. 6).

This may be the perception of government and industry, however the West Australian Commission on Government concluded that record keeping functions should not be outsourced as they are a core function of any enterprise (Commission on Government, 1995, p. 102, 106). It has also been argued that "*paper files and electronic documents are retained in organisations because they are perceived as crucial proof of workload and supporting evidence for actions and decisions*" [emphasis added] (Crofts, 1995, p. 6).

## Government Accountability

The issue under consideration then is the role of records in organisational accountability, particularly in the public sector. Accountability contextually is that "*which reflects and reinforces a value system in relation to government and administration which is solid and*

*good*" (Temby cited in, Iacovino, 1993, p. 31). It is proposed that proper recordkeeping is a core function of Westminster government given that "*the representatives who are members of Parliament and Ministers of state are not only chosen by the people but exercise their legislative and executive powers as representatives of the people. And ...of necessity are accountable to the people for what they do*" (Australian Capital Television Pty Ltd v Commonwealth of Australia cited in, Royal Commission, 1992, p. 1.8) and that "*the proper operation of democratic government requires that ... the public have confidence in the integrity of its government and public officials and employees*" (Cava, West & Berman, 1995, p. 29). If the actions of government are to be brought into question "*proper record keeping serves two purposes. First, it is a prerequisite of effective accountability, proper record keeping and effective record security are essential to good public administration*" (Royal Commission, 1992, p. 4.6) and "*foremost ... is the preparation and preservation of an adequate record of matters*" (Royal Commission, 1992, p. 1.12). Without such evidence the government can only remain unaccountable for any decision or action it takes.

Bearman and others support this view - "*accountability depends on being able to demonstrate managed access to information which is important for reasons of ongoing need or future evidence, from the time of its creation*" (Bearman, 1993, p. 15; Acland & Taylor, 1993, p. 97; Commission on Government, 1995, p. 106; Iacovino, 1993, p. 32, 34; Renehan, 1993, p. 63). "*Recordkeeping is not the province of archivist, records managers, or systems administrators alone, but an essential role of all employees*" (Draft Australian Standard Records Management, cited in Raj, 1996, p. 24).

It would appear, then, that record keeping is a core competency and that it is not a suitable candidate for out-

sourcing (Kelley, 1995, p. 39, 41). The Records Management Office of New South Wales supports this view, noting that "*...outsourcing...can involve the dismantling of structures and practices supporting the systematic creation and keeping of records*" (Records Management Office, c1995).

If responsibility for the record keeping function at the agency level is passed over to the private sector there is no guarantee that continuous, complete and accurate documentation of public activities will be made unless extensive agreements are made with private organisations to regulate these responsibilities, including the need to transfer significant records to the public archival authority (Iacovino, 1993, p. 39-40) or otherwise ensure their long term management and preservation.

Fourthly, not only is the responsibility for the management of government agency records being outsourced but the records associated with the provision of these services are owned by the private sector. Fowler (cited in Commission on Government, 1995, p. 105) noted that "*if [outsourcers] are paid by the government for the job, then they are technically responsible to the government and therefore any paper-work should be involved with the government as well*" so that it can be audited and the service provider held accountable. Furthermore, "*evidence is fundamental to the audit process - it is a key element of the audit process and the credibility of the office is dependent on its availability*" (Renehan, 1993, p. 64; Commission on Government, 1995, p. 107). There is considerable concern that accountability for the use of public funds will be reduced unless clear record keeping and audit requirements are given contractual force (Commission on Government, 1995, p. 102). In Western Australia at present, outside of current government tendering and purchasing practice, there are no guidelines standards or legislative

requirements which give any direction regarding accountability or record keeping stipulations to be included in the devising of such contracts.

This argument holds true for Freedom of Information legislation and other access requirements also. While agency documents stored with a service provider are defined as records of a government agency, subject to the provisions of FOI, records regarding the provision of outsourced services to a government agency created by a non-government service provider are not (Freedom of Information Review, 1995, p. 71, 73-74). In order to overcome this situation contractual force is required to ensure that the agency is entitled to immediate access or possession of such documents.

Concerns have been expressed by the Auditor General (Victorian Office) regarding access to records such as those mentioned above. "*Until the question of Parliament's right to information relating to financial arrangements with the private sector is clarified, regardless of any commercial confidentiality clauses my right of access as Parliament's auditor to records relating to transactions with private sector bodies involved in the infrastructure program will always be challenged*" [emphasis added] (Renehan, 1993, p. 66). If access to such records is challenged and denied the democratic right of accountability is also denied.

Government Trading Enterprises (GTE's, also Government Business Enterprises) also operate along private sector lines and see record keeping and accountability legislation as "*an unnecessary bureaucratic burden that hinders their attempt to be competitive*" (Commission on Government, 1995, p. 96). However, it is contested that "*public sector bodies* [whether GTE's or not] *are publicly funded and should be openly accountable for any actions undertaken*" (Commission on Government, 1995, p. 97) in the same way as other government agencies. A number of these agencies have sought exemption from relevant records legislation which excludes them from a large range of controls and accountability measures such as Freedom of Information and privacy legislation, and the Library Board Act (Iacovino, 1993, p. 40).

Similar concerns have been outlined for those government agencies which are privatised. Iacovino (Iacovino, 1993, p. 32) notes that "*privatisation ... in most countries has resulted in minimum public accountability and general secrecy. Privatised bodies are known to place less emphasis on social obligations*". It would seem, therefore that privatisation of the record keeping function could lead to less open and accountable government, limited access to records

the lessening of social concerns - such as the preservation of records of cultural/historical significance. It has been suggested that pre-existing records of privatised agencies be "sold" along with the body (Commission on Government, 1995, p. 103) and that the succeeding body be required to transfer publicly created records of ongoing significance to the Public Records Office (Commission on Government, 1995, p. 104; Iacovino, 1993, p. 40). How this would work in reality is not certain.

## Conclusions

It is recognised that there are several operational aspects of records management which may be suitable for contracting out with limited risk to most government agencies, including: storage, distribution, data base management and some file management functions (Commission on Government, 1995, p. 104).

It is not recommended that indexing systems and control, policy development and implementation functions be outsourced as this would relinquish the core competency and decision making role - intellectual control and responsibility - from the creating agency (Commission on Government, 1995, p. 104, 106).

While it is perceived that there are advantages to be obtained from outsourcing, the outsourcing of the responsibility for government sector record keeping is not beneficial to agencies and, more importantly, public sector accountability. There are grave concerns over confidentiality, security and accountability issues which at this point in time are not adequately covered by legislation, standards or guidelines.

Finally, all organisations contemplating outsourcing should ask the question "*if the service provider can run [the] business function well and profitably, then why can't [we]? It is simply a question of managerial and technical*

*competence*" (Gorecki & Hatzi, 1993, p. 21). An alternative to outsourcing may be to develop an internal service which competes externally also. In this way competitive, efficient and effective services are encouraged (James, 1992, p. 47) without sacrificing the core competencies of an organisation.

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# RMAA Founding Member Recognised Internationally

Foundation and Life Member of the Records Management Association of Australia Peter Augustus Smith MRMA has been awarded the prestigious Emmett Leahy Award for 1996 for his outstanding contributions to the field of records and information management. It is the first time that the award has been awarded outside the United States of America.

Emmett Leahy is considered the father of modern records management in the United States. His work with the federal government during and after World War II established the fundamentals and principles that we follow in our programs today. From government to the private sector, Emmett Leahy continued to sow records management concepts and standards enabling a fledgling professional organisation to become the paramount vehicle for education and recognition of the records management profession in North America and the world, the organisation was of course ARMA International.

How do we assimilate Peter A Smith to Emmett Leahy? Peter Smith has been working in and has been an advocate of records management for over forty years. He has been active as an educator, leader and role model for records management at a Federal, State and International level. He not only promotes the image of the profession, but more importantly, leads and continues to work on committees that have a bearing on positive change and impact in the profession.



*Peter Augustus Smith MRMA*
*Life Member Records Management*
*Association of Australia*

Some of Peters accomplishments include:

* the formulation of National records management courses for the educational system in Australia. He has secured funding, developed and produced a national survey, structured courses and course materials and co-ordinated the production of 22 core records and information management modules;
* the development of records management competency standards as Secretary and member of the National Records Competency Standards Steering Committee;
* the creation of a Certificate in Information Services course which is designed to be the common thread between the disciplines of records management and library services.
* the negotiation of funding to expand the National records management

course into flexible delivery mode, using technology to enable participants to have access to course material throughout the country;
* the articulation of records and information into courses at higher education institutions in Australia.

In addition to his work in setting educational and professional standards; Peter has been a real stalwart of the Records Management Association of Australia and internationally with the International records management Council. Nationally, he has served terms as Federal President, Secretary and Treasurer; Peter also formed the first industry chapter namely that of the Hunter Region Local Government Chapter. Internationally, Peter served as the IRMC President.

Although Peter's career accompishments and innovations are known to many they are too numerous to list in this brief overview. It is safe to say however, that Peter A Smith is one of the pioneers of modern records management in Australia and has influenced not only Australians but many people internationally.

The membership of the records management Association of Australia extends their sincere congratulations to Peter as the recipient of the Emmett Leahy Award for 1996.

**Ray Holswich ARMA**
**Federal President**
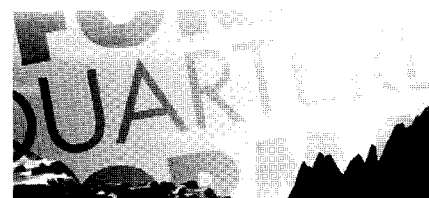
# National Award to Kandy Jane Henderson

The award of Laureateship of the Australian Society of Archivists was presented to Kandy Jane Henderson at the Annual General Meeting of the Society held in Alice Springs in May, 1996.

The award is a recognition of outstanding commitment and achievement in the affairs of the Society and in the recordkeeping profession.
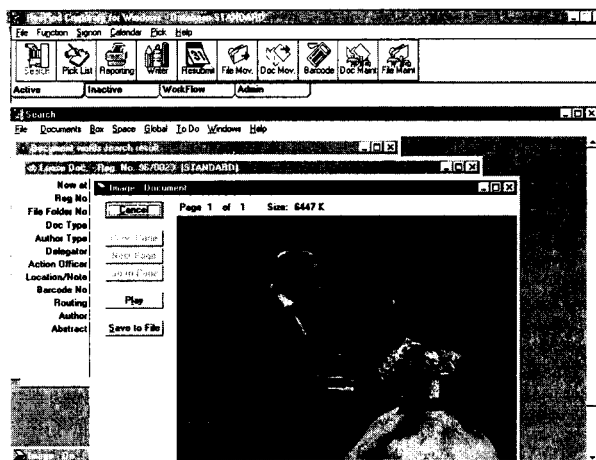
The citation includes references to Kandy's work for the Society at State and national levels, her involvement in initiating and arranging training courses, and her participation in the activities of the Records Management Association of Australia.

Up until August 1996, Kandy had been Team Leader: Recordkeeping Services at the Public Records Office of Western Australia. In October 1996, Kandy took up the position of Archivist for the John Curtin Prime Ministerial Library at Curtin University. This brings to an end twenty four years of dedicated service with the Library and Information Service of Western Australia, almost eighteen of which have been with the Public Records Office.

Warm congratulations are extended to Kandy in receiving the honour of Laureate of the Society as well as in securing her new position.

# Development of Education Programs for Records and Information Management

## Abstract

*The School of Communication and Information Studies at the University of South Australia has recently introduced a new program for the education and training of records and information managers. This is the Graduate Diploma in Information Studies (Corporate Information and Records Management) (GDCIRM). This article outlines the context in which this was developed, the structure of the award, and the potential possibilities for people who complete this award. Mention is also made of other developing aspects of education in the field, such as undergraduate and continuing education.*

## The Information Age

To start with, it is necessary to describe the context in which we are living and working - that of the Information Age. Features of the Information Age which are significant here are:

- The increasing amount of information which is produced. This includes both information which is published in the public domain, and information generated for internal use by organisations of all kinds.
- The different ways in which this information is communicated and disseminated. This includes new methods of transacting business, and the problems involved in documenting such transactions.
- The different formats in which this information may be communicated and finally stored and preserved, including imaging, hypermedia, COLD, microfiche, etc. and the characteristics of these.
- The different legislation that is evolving, partly in response to the

different media used for communicating and storing information, and partly because of the changing society in which we live. (Some of the demands of this society are, for example, increased awareness of privacy rights, industrial espionage, accountability, public and community responsibilities, and so on.)

Each of the points mentioned above is a challenge for us, both personally and professionally. In both our public and private lives, we are aware of information overload, increasing rates of change, and new demands on our abilities to function in organisations and society. We are also aware that we need to be on a constant, and often steep, learning curve, in order to cope.

It is clear that the Information Age has been thrust upon us by several simultaneous forces, not least by developments in Information Technology (IT). IT most commonly refers to the convergence between computers and telecommunications. Information is thus transformed, processed and distributed by IT. In the area of records and information management, this affects the very core of our business.

- We are experiencing a rapid transformation from a paper-based business, to one which increasingly includes IT in all its manifestations. "The use of electronic systems to create and store records should not diminish organisation control over records, adequacy of documentation, processes for establishing accountability, individual rights to access records, or protection against the inappropriate or unauthorised use of records." (SAA: 1995)

- We have seen increasing differentiation and specialisation of skills
- Lastly, and possibly most importantly, we have seen other disciplines assuming responsibility for areas which we rightly claim as ours, as well as increased interchange between related disciplines (displayed in the interesting debate which has recently raged in the records management LISTSERV group, for those who followed this on the Internet!).

## The Development of Records Management Education at the University of South Australia

I joined the University in 1994 to teach the subjects Communications and Technology in Organisations, Computerised Records Management and information Retrieval. Each of these subjects is a one semester subject, and they attract students from the BA (Information Management and Presentation) and the BA (Library and Information Management). Both of these courses had been developed in 1993.

The opportunity did not exist to examine the Records Management profession in great detail within these constraints. As far as South Australians were concerned, the only other alternatives were to study interstate (usually as external students), to complete the Certificate in Records Management offered nationally by the TAFE system, or attend the occasional workshops and training sessions offered by State Archives, which were never constructed as formal professional training.

Shortly after I arrived, it was time to review the Graduate Diploma in Information Studies. At that time there were in fact two separate diplomas, one to train librarians, and the other specifically for teacher librarians. These had in fact been offered by different organisations prior to the amalgamation of institutions that now comprises the University.

After a brainstorming session, we decided that several aspects deserved especial consideration. These included:

- Changing jobs available for information workers;
- Changing expertise and skills required from our graduates;
- Changing staffing resources within the School, as lectures with different skills had recently come and gone.

A great deal of discussion therefore centred on what we considered to be 'core' or 'fundamental' aspects of an education in information work. It was agreed, as a matter of principle, that these did exist, and that, further, there were some aspects that were essential to specific areas of interest in the broad discipline. An essential aspect of our deliberations was that we needed to provide our graduates with several things. These included:

- The 'small' picture: Competency-based skills, so that employers would know what they could expect.

- The 'middle' picture: An increased core of knowledge, so that information managers could be of more service to their organisations.
- The 'big' picture: A framework or infrastructure of information work, so that graduates would be able to 'fit' into a variety of positions as the professions changed and grew, and/or as their careers developed.

In particular, it was recognised that in view of the changes mentioned above, and in particular the changing nature of records management, it was necessary to provide education and training which would enable records managers to face the current challenges, deal with the future - and have their skills and abilities recognised as important and valuable by the organisations for which they worked. For this reason it was vital to introduce, in South Australia, a Graduate Diploma specialising in this area, which could be simultaneously a first qualification in the area, and as a professional degree. As Rick Barry has discussed in a most interesting article:

*"Archivists and records managers are among the oldest of the information management professions, though they may not see themselves that way. Many in these fields never obtained a technology background or, if they did, do not keep their technology skills up to date. They do not always understand the lingua franca of IM&T, to embrace both IM and IT, and therefore often do*

*not take advantage of modern information engineering tools that information management specialists use to exercise logical control over large information sources. By not engaging their IM&T counterparts, ARM professionals help retain the (inappropriately) separate treatment of information management and records management functions. They also help perpetuate the growing and very risky disconnect between paper and electronic documents and records. There is little hope for bridging this growing gap in information and records management practice, short of either great insight on the part of IM&T and ARM managers or intervention of the highest executive levels to cause the engagement, integration and attention to corporate level interests in information both as a strategic asset and as a matter of record. And that is something a lot of people should care about."* (*Barry : 1995*).

It was therefore suggested that there should be a Graduate Diploma in Information Studies which would recognise three main areas of information work: Librarianship, Teacher Librarianship and Corporate Information and Records Management. The name of 'Corporate Information and Records Management' was decided upon because of the increasingly blurred distinction between records (as documents) and information (which documents either contain, or which is used to describe them), as well as the simultaneous need for a class of

professionals who understood these distinctions and similarities. Examining all of these distinctions - between information, records and documents - would comprise a fundamental part of the course.

It was recognised that some subjects contained material which was a vital and generic component of education for each of these areas. These included, for example, an understanding of the practice of management, in the area of Information Management; skills in using computers in a variety of ways; understanding how to construct and use a database; an understanding of the area of Information Retrieval (both the construction and use of such systems) and identification of useful sources of information - those useful for our organisations, and those useful for our continued lifelong learning process so that information workers can stay abreast of developments in their field.

Four core units were therefore identified:

• Management for Information Professionals;
• Computing for Information Managers;
• Introduction to Information Studies G ; and
• Information Retrieval G.

However, In order to earn the Diploma in the CIRM strand, four professional subjects were developed. These take into account all aspects of enterprise-wide information management, and include:

• Computerised Records Management;
• Electronic Document Creation and Retrieval;
• Corporate Information Resource Management; and
• Research Methods.

To describe these subjects in some more detail, and to explain their relevance for Records Managers:

## Introduction to Information Studies G :

This subject includes basic concepts, principles and interpretations of information management; communication processes; economics of information; information literacy; contribution of information to society; role of the information professional in society; impact of current developments on information work; issues and legislation; censorship, privacy and freedom of information.

## Computing for Information Managers:

Here, the student is provided with an overview of electronic information delivery systems; introduction to computers; using computers as information management tools; principles underlying the application of computers to information storage, retrieval and dissemination; introduction to application packages including word processing; database processing; database construction; maintenance and searching using appropriate text retrieval software; Internet as an information source; telecommunications access for remote database interrogation; evaluation of computerised information sources.

## Information Retrieval G:

General information and reference sources are described, including electronic information sources - bibliographic, full-text, online and CD-ROM; identification and correction of search strategies; the reference interview; users, analysis of their requests and information needs; provision of information to meet users' needs; AARNET/Internet related sources.

## Management for Information Professionals:

Here the student is introduced to organisation and management theories. Additionally, the topics of decision making and evaluation;

industrial relations in Australia; a marketing approach to the planning and evaluation of programs and services; job design; human resource management; financial management; and management of building and equipment are dealt with.

## Electronic Document Creation and Management:

This subject deals with information generation and the need for control; text and image retrieval; document organisation and control; thesaurus and database construction; the search interface; data integration and security; examination of relevant classification, indexing and filing methods, storage and disposition of electronic records; expert systems; identification of the needs of various users of an information system; conducting a user needs analysis; theoretical and practical aspects of database construction using text/image retrieval software, and in

particular Intranet technology; methods of indexing, filing, classification, thesaurus design and construction; and assessing the results of a search for information.

## Computerised Records Management G:

Here the student is introduced to the management of recorded information within an organisation using the record continuum approach, from record creation to destruction or archival retention, in all media; archival studies; medical records; records management software; legal and moral issues; evaluation and use of a records management software package; storage methods, including handling, preservation and conservation techniques; ethical and legal obligations of the records manager. This subject bears in mind the newly developed standards.

## Corporate Information Resources Management:

The subject describes information as an integrated corporate resource; the information life cycle; information overload; identification of the strategic uses of information; the politics of information and the value of information; the role of the corporate information manager; the uses of the Internet in business; applications of information technology; business process re-engineering and workflow analysis; project management; evaluation of information systems; recognition of the appropriate uses of information technology within an organisation; identification of relevant sources of information, including environmental scanning and competitive intelligence.

## Research Methods:

This subject is designed to assist the information worker in conducting research and interpreting findings as a component of information retrieval. It includes the basic concepts of measurement; research methodology; planning research projects; data collection; sampling theory; surveys; basic statistical methods; measures of central tendency and dispersion; statistical significance and confidence intervals; null hypothesis; chi-square test; analysis of variance; linear regression; correlation evaluation of results of research; application of results of research; writing research proposals; dissemination of research findings.

Because it is advantageous for our students to be able to be recognised by professional associations, and to belong to them so that they can participate, the development of this strand was monitored by two professional bodies: The Records Management Association of Australia (RMAA), and the Australian Library and Information Society (ALIA). The GDCIRM has been fully recognised by both these groups, and industry members from both Associations sit on the Consulting Committees of the Graduate Diploma. This Committee meets regularly - at least annually - in order to monitor progress and developments. It also ensures that, for example, the course can be changed where necessary to ensure compliance with the newly-developing National Records and Archives Competency Standards Project. (Peter Crush and Ray Holswich are the South Australian members of this Project's Steering Committee. Peter Crush serves on the University Committee.)

Last, but not least, the University is presently engaged in looking at least two important developments in this area. The first is the introduction of a specialisation in CIRM at an undergraduate level. This will, as far as we know, be fully HECS-funded. Also, we are hoping to introduce, possibly by next year, a Master's degree in the area. This will enable students who have completed the GDCIRM to convert it to a Master's by an additional 6 months of study, which will comprise independent research in an area of their interest, and the submission of a dissertation. After that, students can proceed to a PhD.

We will also be looking at the institution of a Continuing Education Series of Workshops, for those in the field who wish to update specific areas of their knowledge.

The GDCIRM is a full fee-paying course. It presently costs $725 per subject. It may be completed on a full-time or part-time basis (no time restriction); internally or externally. If you are completing the course on a part- time basis while working in the field, a substantial amount of this money can be reclaimed from the Tax Office. Please consult a tax officer for full details. For those who choose to study full-time, I have secured a Scholarship from AUSDOC, which will pay all fees. Criteria include potential to contribute to the professional and academic abilities, while equity issues are noted and seriously considered.

## PLAN AHEAD!

### RMAA National Conventions

Perth      1997
Brisbane  1998
Darwin    1999
Sydney    2000

### RMAA

Promoting and developing Records Management as a vital business activity.

Admission to the GDCIRM is normally by bachelor's degree from an Australian university or equivalent. In line with the University's policy on Recognition of Prior Learning and Experience, applications are nonetheless invited from prospective students who may not have such a qualification. We believe that this GDCIRM will prepare students for a rapidly changing future, as well as preparing them for career paths which acknowledge their importance in organisations. Furthermore, because of the context and spirit in which it was developed, I feel confident that the GDCIRM will suit a wide diversity of applications and uses.

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Susan Myburgh
Senior Lecturer
Information Management
University of South Australia

# Education Report

## COURSES IN RECORDS MANAGEMENT AS OFFERED ACROSS AUSTRALIA

| ORGANISATION | COURSE INFORMATION | LOCATION |
|---|---|---|
| **ACT** | | |
| University of Canberra | BA in Information Management<br>3 years f/t, can be undertaken p/t<br>Faculty of Communication<br>(06) 201 5064 | Belconnen |
| Canberra Institute of Technology | Dip. in Business (Records Mngt)<br>2 years f/t or equivalent p/t<br>Certificate IV in Business (Records Mngt)<br>1 year f/t or equivalent p/t<br>Rita O'Brien (06) 207 3263 | Canberra |

### NEW SOUTH WALES

TAFE:

| ORGANISATION | COURSE INFORMATION | LOCATION |
|---|---|---|
| Northern Sydney Institute | Diploma of Information Technology<br>(Records & Information Mangement) | Nth. Sydney Campus |
| Western Sydney Institute | Same as above | Mount Druitt |
| Western Sydney Institute | Certificate in Information Technology<br>(Records Administration) | Mount Druitt Campus |
| | Certificate 111 in Information Technology | Most metro. locations |
| Western Sydney Institute<br>Wagga Wagga<br>Hunter Institute Technology | Statement of attainment in Records<br>Management Skills<br>(Students can do a records elective in the<br>Certificate 111 in IT, and may then<br>proceed into the Certificate 1V and progress<br>into the Diploma) | Mount Druitt<br>Wagga Wagga<br>Newcastle |

It should be noted that for semester 1, 1997, application for the Diploma is through UAC (University Admission Centre). Applications closed on 27 September, 1996, but late applications may be submitted. Please refer also to the 1997 TAFE NSW Handbook, (pp 230 -231) for individual course descriptions.

| ORGANISATION | COURSE INFORMATION | LOCATION |
|---|---|---|
| Charles Sturt Uni Riverina | BA (Lib. & Info Studies<br>Distance Ed. 3 years f/t, 6 p/t<br>Roy Sanders (069) 332 417 | Wagga Wagga |
| University of NSW | Grad Dip. Info. Mgt. - Archives/Records<br>1 year f/t, 2 p/t | Sydney |
| University of NSW | Master of Info. - Archives/Records<br>4 years p/t, 3 f/t<br>Ann Pederson / Ray Locke (02) 385 3438 | Sydney |
| University of Technology | Bach. Applied Science<br>3 years f/t, 6 p/t<br>(02) 330 1222 | Sydney |

### QUEENSLAND

| ORGANISATION | COURSE INFORMATION | LOCATION |
|---|---|---|
| Southbank Institute of TAFE | Advanced Certificate in Records<br>Management<br>2 years p/t<br>(07) 324 46025 | Kangaroo Point Campus |

### TASMANIA

| ORGANISATION | COURSE INFORMATION | LOCATION |
|---|---|---|
| Hobart TAFE | Certificate in Records Management<br>Charmaine Baker (002) 337 342 | Hobart |

The list of courses in records management offered across Australia is provided "as to the best of knowledge" at the publication date. Courses may change between now and the beginning of the 1997 academic year or some may be withdrawn. I have provided a list of State Education Chairs and their contact numbers for the benefit of those students who require more information. Those interested in commencing a particular course are strongly encouraged to contact the institutions listed within their area and check course and enrolment details.

## State Contacts:

Western Australia
Margaret Pember
(09) 351 2732 (bh)

South Australia
Debbie Ophof
(08) 834 64588 (bh)

Tasmania
Jill Saunders
(03) 62 332611 (bh)

Victoria
Chris Hurley
(03) 9905 9204 (bh)

NSW
Peter Smith
(02) 9413 0900 (bh)

ACT
Tony Eccleston
(06) 254 7616 (bh)

Queensland
Phillip Taylor
(07) 3378 0889 (bh)

Northern Territory
Ray Holswich
(08) 8946 6076

Dennis Wheeler
Coordinator
Federal Education Committee

## COURSES IN RECORDS MANAGEMENT AS OFFERED ACROSS AUSTRALIA

| ORGANISATION | COURSE INFORMATION | LOCATION |
| --- | --- | --- |
| **SOUTH AUSTRALIA** | | |
| Adelaide Institute of TAFE | Certificate in RM | Light Square |
| SA Institutes of TAFE | Advance Cert. in Office Procedure Assoc. Dip. of Business (Office Admin.) George Smith (08) 269 0100 | Elizabeth Gillies Plains Panorama |
| Uni of South Australia | Bachelor of Arts in Library & Info. Mgt. | Magill |
| | Grad Dip Info Studies (Library & Info. Mgt.) | Magill |
| | Grad Dip Corporate Info & RM Prof. Michael Brittain (08) 302 4410 0r 302 2376 | Magill |
| **VICTORIA** | | |
| Monash University | B. Information Management 3 years f/t David Foott (03) 9905 2955 | Clayton |
| | Grad Dip (Archives & Records) 1 year f/t or 2-3 years p/t Frank Upward (03) 9905 2949 | Clayton |
| | MA (Archives & Records) 2 years f/t or 4 years p/t Frank Upward (03) 9905 2949 | Clayton |
| RMIT | Grad Dip Info Mgt (Archives & Records) 1 year f/t or 2 years p/t Bruce Smith (03) 9660 5818 | Melbourne |
| | Grad Dip Info Mgt (Info Services) 1 unit in RM Bruce Smith (03) 9660 5818 | Melbourne |
| | B. Business in Info & Library Management 1 unit in RM Bruce Smith (03) 9660 5818 | Melbourne |
| | M. Bus (Info Technology) 1-3 units Bruce Smith (03) 9660 5818 | Melbourne |
| Swinburne Uni of Technology | Certificate in Records Certificate 2 1 year f/t or 2-3 years p/t Joan Brain (03) 9214 6776 | Prahran |
| | Certificate in Records Management 4 1 year f/t or 2-3 years p/t Joan Brain (03) 9214 6776 | Prahran |
| Victoria Uni of Technology | B. Business Management 1 unit in RM Janet Souter (03) 9365 2394 | St Albans |
| | Grad. Dip. In Administrative Mgt. 1 unit in Information Management Penny Bassett (03) 9365 2285 | St Albans |

# Education Report

COURSES IN RECORDS MANAGEMENT AS OFFERED ACROSS AUSTRALIA

| ORGANISATION | COURSE INFORMATION | LOCATION |
|---|---|---|
| **WESTERN AUSTRALIA** | | |
| Curtin Uni of Technology | Bachelor of Applied Science (Records Management) 3 years f/t or p/t equivalent; available on-campus or external mode HECS | Perth |
| | Honours 1 year f/t or p/t equivalent; available on-campus or external mode HECS | Perth |
| | Graduate Diploma in Records Management and Archives 1 year f/t or p/t equivalent; available on-campus or external mode HECS and full fee option | Perth |
| | Masters of Applied Science (Information Management) 2 years f/t or p/t equivalent; available on-campus or external mode HECS and full fee option | Perth |
| | Doctor of Philosophy 3 years f/t or p/t equivalent; available on-campus or external mode HECS and full fee option | Perth |
| Edith Cowan Uni | Bachelor of Science (Communication and Information Technology) 3 years f/t or p/t equivalent (includes a minor in records management: 6 units) Available on-campus mode HECS | Claremont |
| | University Certificate in Public Sector Records Management 1 year p/t (4 units); available external mode Full fee paying option | Claremont |
| | Graduate Diploma of Science (Archives and Records) 1 year f/t or p/t equivalent (8 units), available external mode Full fee paying option | Claremont |
| | Master of Science (Information Science) (Research or Coursework mode) 2 years f/t or p/t equivalent; available on-campus or external mode HECS | Claremont |
| TAFE | Full details not yet available, but will confirm to National ACTRAC Modules as resources permit. A structured framework showing course progress and pre-requisites is being developed. The Diploma of Records Management will be available full-time from 1997. | |

# Branch Reports

## NSW Branch Report

The following Councillors were elected:

*President*
Ann Hampson

*Vice president*
Denis Comber

*Secretary*
David Lilley

*Treasurer*
Allan Tibben

*Minute Secretaries*
Maureen Swords
Cassandra Rodley
Taline Babikian

*Education Chair*
Peter Smith

*Status and Ethics*
Joy Siller

*Technology and Industry*
Geoff Smith

*Special Projects*
Maureen Swords

The NSW Branch Special Project Committee is enthusiastically planning this years calendar of activities. A special Christmas event this year will incorporate a Mini Trade Expo focusing on electronic documentation and open to the general public, followed by a cocktail party in the evening.

The bi-monthly meetings are proving reasonably successful. The topic for the August meeting was "Future directions in the management of electronic and hard copy records", and was presented by Brand Hoff, Tower Software. This meeting was well attended and it is hoped that interest will be even better now we are into the warmer months. Breakfasts

also appear to be popular with our members and more of these are being planned for the coming year.

As part of improving the Associations profile Denis Comber has done presentations to the Chartered Institute of Company Secretaries and the Facilities Management Conference. Both of these were well received and raised awareness in the importance of records management and the RMAA.

Membership is continuing to grow steadily and we also would like members to seriously consider upgrading their membership. To this end consideration is being given to a workshop to advise and help members with their applications.

**Ann Hampson ARMA**
**NSW Branch President**

## ACT Branch Report

The ACT Branch held its Annual General Meeting on Tuesday 23 July 1996 at the CSIRO Limestone Avenue Site. The incoming Branch Council for 1996/97 includes the following members:

*President*
Julie Lenson ARMA

*Vice President*
Stephanie Ciemka ARMA

*Honary Treasurer*
Thomas Kaufhold ARMA

*Honary Secretary*
Jewel Gilbert ARMA

*Registrar*
Cathy Heaps ARMA

**Seminars and Workshops**
Veronica Pumpa ARMA

*Education Co-Ordinator*
Tony Eccleston AAILA, ARMA

*Marketing Co-Ordinator*
Stephanie Ciempka ARMA

*Federal Directors*
Julie Lenson ARMA
Cathy Heaps ARMA

*Competency Standards*
*Co-Ordinators*
Jewel Gilbert ARMA
Lesley Boy'e ARMA

*Councillors and Assistants*
Elaine Eccleston BAFIBS, ARMA
Peter Hanlin ARMA
Ross Thompson ARMA
Kate McCarthy ARMA
Margaret Kenna
Cathy Coppie

The Branch is recovering from what has been a very successful National Convention. We have received some positive feedback about the Conference which will be included in our report and passed on to the Western Australian Branch for their information.

The Branch is looking forward to a productive year and will set objectives to ensure a continued service and commitment to our members.

**Julie Lenson ARMA**
**President ACT Branch**

# Branch Reports

## Tasmanian Branch Report

The Branch AGM was a success with a good turn-out of members attending. Guest speakers from the Workplace Safety Authority kept members enthralled with details and information relating to Tasmania's new workers compensation legislation. It is a veritable minefield and the Authority can take severe action against errant employers in both the public and private sectors.

A new Branch Council was elected - closely resembling the old one, with new members Leanne Cook from Department of Transport and a recycled John Behrens from the Hydro Electric Commission filling vacancies left by the retirement of Jane Norris, who is off to increase Tasmania's population, Dot Prior and David Pyke. Welcome to the new members and sincere thanks to the retiring ones for the hard work performed during their time on Branch Council.

Once again, Jill Saunders is chairing the Education Committee and a wide range of educational offerings is expected from that group.

Our major focus this year is to be on marketing - coincidentally just as well since the federal thrust is also to be on marketing. We have some great ideas and look forward to implementing them in conjunction with Anne Comish and the Federal Marketing team.

**Trish Wichmann MRMA**

## Victorian Branch Report

**Branch Councillors**
The Office Bearers for 1996/97 were elected as follows:

*President*
David Moldrich

*Vice President*
Rosemary Kaczynski

*Secretary*
Candace O'Shaughnessy

*Minute Secretary*
Sandra Pickett

*Treasurer*
Russ James

*Registrar*
John Sim

*Federal Director*
Julie Apps

*Federal Director*
Ann Cornish

*Local Gov't Chapter*
Roz Johntson

**Status**
Kerryn Smart

*Education*
Chris Hurley

*Functions*
Garry Edgecumbe
Judith Ellis
Peter White
David Taylor

**Membership**
The Branch would also like to congratulate Rita Maiuto on her upgrade of membership status to Associate. Well done Rita!

Recently the Branch conducted a full day presentation by Carl Newton, Managing Director of Document Strategies Ltd for members and other interested Records Management professionals. Carl, who is based in the UK has an international reputation in the field of records and document management and spoke extensively on the topics of classification & coding reference, retention, data management as well as a number of other areas. Many of those who attended were impressed with Carl's presentation and encouraged the Branch to conduct more of a similar nature in the future.

Speaking of the future, we have already commenced the organising of the 1997 State Seminar to be held around early April at the Pinnacle Valley Resort. Discussions are currently taking place as to the viability of it being a joint State Seminar with other Information professionals. We are also looking at merging the professions together for the annual Christmas party to be held on 11 December at the Botanical Gardens!

In the education side of things, we recently conducted a survey of all Victorian Branch members on their requirements for workshops and presentations. The training survey is currently being evaluated and is already indicating definite needs in specific areas of Records Management.

**Candace O'Shaughnessy ARMA**
Secretary
Victorian Branch
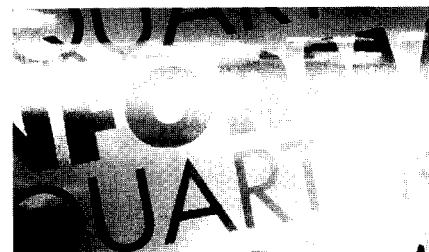
# Branch Reports

## Queensland Branch Report

The Branch commenced its monthly seminar series in August with a presentation on the availability and content of records management courses and the categories of membership of the Association. Over the next few months further seminars are planned which will cover a wide range of issues relevant to managing records. Topics include Managing Personal Records, Folioing - Is It Worth It?, Active vs Post Active File Attaching, and Windows '95 and records management. Each seminar is being videotaped with the tape being available for purchase for $20.

Classes in the Advanced Certificate in Records Management recommenced in September for the final term in 1996. The modules of Security and Control and Conservation and Storage of Non-Current Records are being presented. The number of students enrolled for the term has increased.

The Branch participated in the visit by Rick Barry in late September with his presentation on managing electronic records as part of his post convention tour.

The Branch elections for 1996/97 resulted in Ray Chambers being elected Branch President.

**Philip Taylor MRMA**
**Vice President**
**Education and Professional**
**Development**

## Western Australia Branch Report

Twenty West Aussies made the trip to Canberra for the Convention. Congratulations to all on the Organising Committee for a job well done. We also thoroughly enjoyed the social activities. Contrary to popular opinion at least one "intrepid balloonist" will not be bungee jumping at next years conference!

The 1997 Conference Committee has already held more than 20 meetings. As you can see from the quality of the brochures and the video presented in Canberra, the 1997 Conference is going to be a great success if detailed planning and attention to detail are anything to go by. I think we can promise you all a very interesting conference!

The past year has been extremely busy in the West. The Branch continues to offer a variety of seminars and information sessions to members, the latest being a joint meeting with the ASA where Karen Anderson and Ann Pederson presented their impressions on Beijing and a lively session on Archivists + Records Managers = Recordkeeping. The next offering is an expo where members can browse the latest in technology.

The winner of the 1996 RMAA Medal for Academic Excellence was Merilyn Kingsley. Merilyn graduated with the Graduate Diploma in Records Management and Archives from Curtin University at the end of 1995. She is now Records Manager at the Town of Cambridge and we wish her well in her records management career. Merilyn has already been co-opted onto the Education Committee.

The 1996 RMAA Certificate of Excellence was awarded to Ken Ridley. This award is presented to a practitioner in the field in recognition of outstanding contribution to the theory and practice of records management in Western Australia. As well as being at the forefront of records management practice in WA Ken has been active at the branch and federal level for a number of years. Congratulations are also due to Ken on the way the *Informaa Quarterly* has developed over the past two years. Presentation has improved enormously and it now looks like a professional journal worthy of any professional association. Congratulations also on the fact that for the first time the *Informaa* has been produced without any additional financial support from the Association, a major milestone!

The RMAA Scholarship was launched by Dr Lynn Allen in April. The Scholarship has been developed to help practising records management professionals (in WA) gain undergraduate degree qualifications in records management. It is recognised that as information and archives management becomes more complex and sophisticated the need for further and/or continuing education in the field becomes critical. Furthermore, many practitioners have reached a stage in their career development when the successful completion of a formerly recognised qualification would be a distinct advantage to continued professional progress. However, many members of the RMAA are unable to take advantage of further study because of the financial burden involved. Even if employers supported students/ staff by giving time relief, they may not be able to pay the fees involved. The RMAA Scholarship aims to provide fee support for the successful applicants.

**Margaret Pember ARMA**
**Co-ordinator Education,**
**W.A Branch**

# FileMaster Version 3

FileMaster Version 3 has arrived. This release incorporates many new features, improvements to existing features as well as an improved user interface. Considering the ease of use and intuitive design in previous versions, this is an impressive achievement.

For over 5 years, FileMaster has been the only serious Records Management software to run 'native' on a Macintosh, 'native' in Microsoft Windows (version 3.1), and run 'cross platform' on virtually any network using any mixture of Macs or Windows machines. Now FileMaster runs native in all the following platforms: Macintosh 68000, PowerMac, Windows 3.1, Windows 95, Windows NT and OS/2.

**"The Reserve Bank of Australia is one of the first FileMaster users to upgrade to Version 3"**

The user interface is virtually identical regardless of the platform. Any differences are designed to take advantage of the features of the various operating systems and do not change the way FileMaster looks or operates. While re-training may be necessary to teach a Macintosh user how to use Windows 95, converting from FileMaster on a Mac to FileMaster on Windows 95 requires no training.

So what's the advantage of software that will run on all these computers that you may not even own? David Blaymires, managing director of DB Developments, says, "We like to think that FileMaster is future-proof. We put in a lot of effort to ensure that FileMaster and the crucial information it maintains will move with an organisation through a wide range of structural changes. We've had users convert from Macintosh to Windows 3.1 without losing a single day's productivity. One site was involved in a merger. One of the merger partners used Macs, the other used Windows machines. FileMaster didn't miss a beat."

FileMaster has the reputation of being one of the easiest Records Management software to use. According to Blaymires, "It's no accident. Our philosophy from the start has been that people other than records managers and IT professionals need to have access to the corporate memory. We've made it our business to ensure that people who know very little about records management, can master the basics of FileMaster in less than an hour, and use it when and if they need it. It's a challenge to incorporate sophisticated records management tools and maintain that ease of use, but we think we've got the mix right."

Jeff Buchanan, National Sales Manager states "think of FileMaster as a tool, designed to simply do it's job without a lot of fuss. There is no computer jargon in FileMaster. The FileMaster interface is simple, straightforward and easy to understand. Commands are in English. Buttons have words on them, not arcane symbols."

Version 3 of FileMaster incorporates a number of new features and enhances many others. Perhaps the most obvious is the inclusion of a LifeCycle system, the simplest and most comprehensive retention scheduling module available. The search engine has been enhanced, is faster and includes many new options without noticeably adding complexity. A flexible system of internal cross referencing and file relationships has been added.

*Shown are: Steve McGrone (RBA), Chris Whittingham (RBA), Kirti Bala (RBA) and David Blaymires (DB Developments)*

The system now automatically updates the from/to dates of a file's contents as documents are added, and all reports have the option of including that information. Comments about a file or a document may now be up to 10,000,000 characters in length - all of which is indexed and searchable. A wide range of "Batch" functions have been added to allow the user to perform actions on many files at once.

One of FileMaster's strengths is its security system. By eschewing security 'levels' and incorporating a unique 'targeted' security system, FileMaster has given the system administrator the ability to specify with great precision which files a user can change or see. Version 3 enhances this feature by allowing you to determine whether a user can view a file's title, comments, information about it's documents - even it's current location!

The official release of FileMaster Version 3 is scheduled for 1 November, 1996.
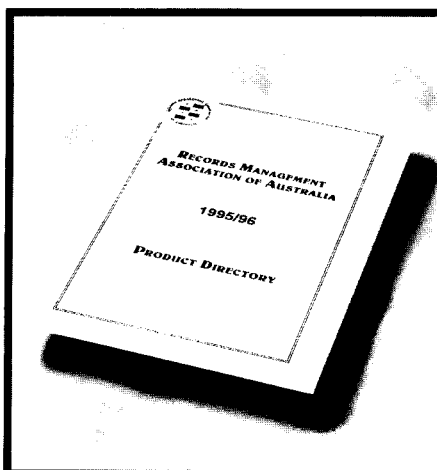
Enquiries:
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Fax:   (02) 9954 5381
email: 100240.1500@compuserve.com
www: http://members.aol.com/
        dbdevaus/index.html



# PRODUCT DIRECTORY 1996/97- CORRIGENDUM

Rack and File (Commercial) Pty Ltd
PO Box 111
Abbotsford 3067
Unit 2
19-29 Cromwell Street
Collingwood 3066

Systematics Pty Ltd
*e-mail address:*
sisw@systematics.com.au
*Internet address:*
http://www.ozemail.com.au/-sisnsw/

# Brambles Launches New Identity

Brambles Records Management sponsored the RMAA Convention dinner again this year and the Great Hall of Parliament House provided a truly magnificent setting for a very entertaining evening, hosting around five hundred delegates and exhibitors.

Convener, Mr. Arthur Langford-Smith, welcomed delegates to the dinner and introduced the two speakers for the evening.

The guest speaker The Hon. Justice Terence Higgins, Supreme Court of the ACT, thoroughly entertained guests, regaling them with humourous anecdotes of record keeping in the legal world, beginning with the Magna Carta.

Mr. Mike Wilson, General Manager of Brambles Records Management, took the opportunity to announce that his organisation would be changing its identity to Recall Total Information Management from October 1.
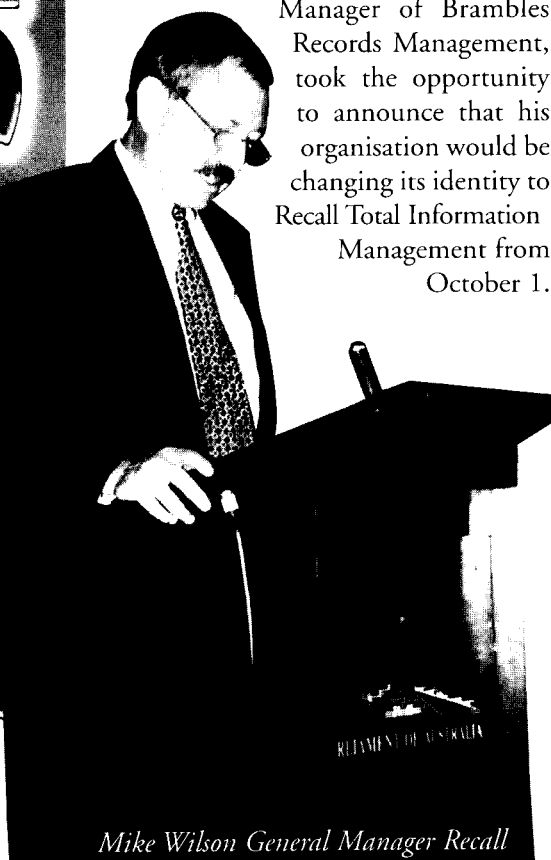
*Mike Wilson General Manager Recall*

Mr. Wilson said that Brambles Records Management had enjoyed an excellent relationship with the RMAA since its establishment, both nationally and at state level, and it looked forward to continuing its sponsorship in the future as Recall.

Recall has confirmed its sponsorship of the National Convention dinner next year in Perth.

Brambles Industries Limited, has designated records management as one of five global core businesses that will take it into the 21st Century. The announcement at the Canberra National Convention signalled the commencement of the identity change for its many records management businesses around the world, commencing with Australia, and followed by New Zealand, the United Kingdom, Europe, Canada, USA and Asia. This move by Brambles is a significant first step in creating the first fully international, records management company.

Recall Total Information Management was selected as the name which best reflects the power of information retrieval as the principal focus of records management today and in the foreseeable future.

Brambles commenced the records management outsourcing industry in Australia over twenty years ago. At that time the focus of both customers and suppliers was almost entirely on low-cost mass storage for business records with a very low retrieval requirement.

Over the past 2 decades, that industry focus has progressively changed towards the ability of

*New Recall Exhibition Stand At RMAA Convention*

outsourcers to retrieve information rapidly, reliably, and cost-effectively on behalf of their customers, as increasing numbers of records of a mission-critical nature have been outsourced.

Mr Wilson stated; "We have now entered the third phase of this evolution, where vast numbers of electronic records are being generated in machine readable form, alongside their physical counterparts. We are witnessing, and indeed we are a part of, the gradual evolution of physical records into electronic records."

"We should not however, lose perspective on the balance between physical information and electronic information. I can recall being told as early as the 1960s that the "paperless office" and the "seamless business environment" were just around the corner. In 1996, they still are!".

"However the technology which was to deliver this fully electronic, paperless world, has turned out to be the means by which more paper-based information is being generated than ever before. Personal computers, laser copiers,

facsimiles, and high-speed photocopiers, have all contributed to an explosion of physical records in both business and government".

"Global market research has shown, that by the year 2000, machine-readable electronic records will have increased from about 2% of the world's information base, to about 5%. However, the same research also shows, that for the same period, paperbased information will have reduced by only 2%, from 94% to 92%. We should therefore conclude that while electronic records are growing exponentially, paper-based records are still the dominant information base, and will remain so, for at least the next decade."

"The name Recall was, in part, chosen for its ability to represent our core competency as an information management outsourcer, to recall information into clear focus for our customers, regardless of whether that information is stored in physical or electronic form".

Mr. Wilson stressed the distinction between information management and information processing, saying that Recall will not be a processor of

information, in the way that an information technology services provider might be a processor of electronic information.

He emphasised that Recall will not be competing with IT outsourcing companies "in any shape or form". "Recall's business will be focused on the management and retrieval of customers' electronic information consistent with its ongoing physical information".

"Records managers are changing rapidly to accommodate the requirements of electronic information management, as evidenced by the theme of this Convention. For exactly the same reasons, Recall has positioned itself to provide new electronic storage and retrieval outsourcing services to its customers, complementing our traditional paper-document-based information manage-ment services."

**Enquiries**
**Bob Neely**
**National Manager**
**Recall**
**Ph:    (02) 9427 3155**

# Preserving Yesterday, Managing Today and Challenging Tomorrow

The 1997 Records Management Association of Australia National Convention will reflect on the continuum of responsibility for the record from yesterday through to tomorrow and from creation through to disposition.

## Preserving Yesterday:

The first day of the conference will look to the past. It will examine our history - our successes and failures both nationally and internationally. It will discuss our contribution to the capture and preservation of the corporate and national memory. It will examine the relationships and partnerships we need to build to effectively meet our responsibilities for yesterday's records.

## Managing Today:

On the second day we will shift our focus to issues of immediate concern. We will examine our existing records management practices, look at industrial and policy issues, and debate our present roles and responsibilities. We will also look at how best to educate and train ourselves and our successors to be more efficient and effective in the future...

## Challenging Tomorrow:

On the third day we will discuss the continuing impact of ever-changing technologies on our evolving organisations and carve a vision for our future contribution to Australian society. We will face our anxieties and look to the world to see what we can learn from our international colleagues.

## Expressions Of Interest

Would you like to:

I. Present a paper?
II. Suggest topics for papers?
III. Suggest speakers?
IV. Suggest organisations that may wish to be a convention sponsor or a trade exhibitor?

Papers are needed which put forward new ideas, have not previously been presented and are practically oriented.

Students and new practitioners are particularly encouraged to submit papers.

## Venue

The Radisson Hotel is situated right on Scarborough Beach overlooking the Indian Ocean. With its superb beachfront location, Radisson Observation City Hotel has created a unique environment for business meetings-conducive to clear thinking in relaxing yet stimulating surroundings.

## Perth - The Host City

Perth is the Western gateway to Australia. We are closer to Asia and Europe than most other capital cities and have established a reputation for clean air, safe streets and open spaces. We are renowned for our hospitality and easy going lifestyle - come and see for yourself!

## Enquiries:

Secretariat
Congress West
PO Box 1248
West Perth WA 6872
Phone: (09) 322 6662, or 322 6906
Fax: (09) 322 1734
E-mail: conwes@icenet.com.au

# Records Management Association of Australia

# Code of Conduct

## (Adopted From the Articles of Association of the Australian Institute of Company Directors)

1. A Director/Branch Councillor must act honestly, in good faith and in the best interests of the company as a whole.

2. A Director/Branch Councillor has a duty to use due care and diligence in fulfiling the functions of office and exercising the powers attached to that office.

3. A Director/Branch Councillor must use the powers of office for a proper purpose, in the best interests of the company as a whole.

4. A Director/Branch Councillor must recognise that the primary responsibility is to the company's shareholders as a whole but should, where appropriate, have regard for the interests of the stakeholders of the company.

5. A Director/Branch Councillor must not make improper use of information acquired as a Director/Branch Councillor.

6. A Director/Branch Councillor must not take improper advantage of the position of Director/Branch Councillor.

7. A Director/Branch Councillor must not allow personal interests, or the interests of any associated person, to conflict with the interests of the company.

8. A Director/Branch Councillor has an obligation to be independent in judgement and actions and to take all reasonable steps to be satisfied as to the soundness of all decisions taken by the Board of Directors or Branch Council.

9. Confidential information received by a Director/Branch Councillor in the course of the exercise of their duties remains the property of the company from which it was obtained and it is improper to disclose it, or allow it to be disclosed, unless the disclosure has been authorised by the company, or the person from whom the information is provided, or is requested by law.

10. A Director/Branch Councillor should not engage in conduct likely to bring discredit upon the company.

11. A Director/Branch Councillor has an obligation, at all times, to comply with the spirit, as well as the letter of the law and with the principles of this Code.

# PRODUCT INFORMATION GUIDE

Yes I would like to know more about the following products which appeared in INFORMAA Quarterly - Volume Twelve Number Four. (Please Tick)

Name: ...........................................................

Company: ....................................................

Address: ......................................................

........................................ Postcode: ..........

Type of Business: .........................................

Position: .....................................................

Telephone: (...............).................................

Facsimile: (...............).................................

**Please post or fax a copy to:**

MAP Marketing
Corner Scott Street and Parnell Place
Newcastle NSW 2300
Ph: (049) 29 7766
Fax: (049) 29 7827
Email: map@mapmarket.com.au

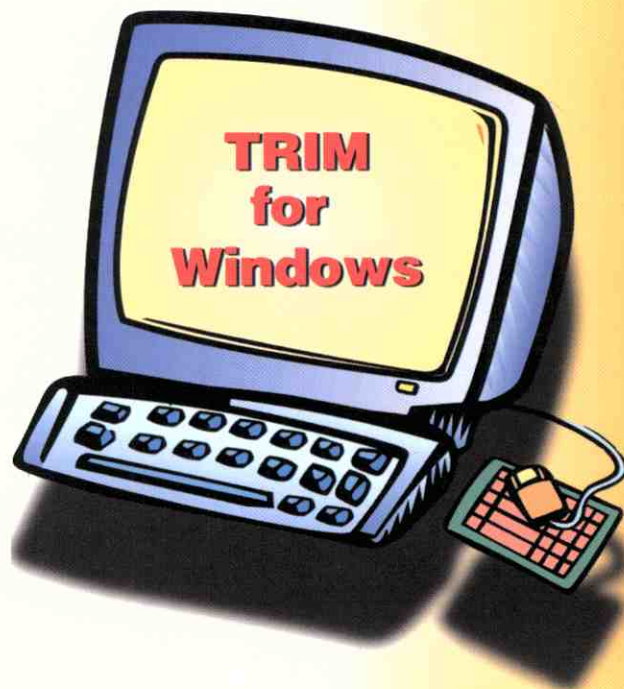| | |
|---|---|
| ☐ Inside Front | DB Developments |
| ☐ Page 3 | Dexion |
| ☐ Page 9 | Pickfords Records Management |
| ☐ Page 17 | Trimagic Software |
| ☐ Page 19 | Centretech |
| ☐ Page 21 | Recall |
| ☐ Page 23 | Logical Technology |
| ☐ Page 25 | gmb Developments |
| ☐ Page 26 | University of New South Wales |
| ☐ Page 26 | Curtin University |
| ☐ Page 26 | RMIT |
| ☐ Page 26 | Monash University |
| ☐ Page 26 | University of Canberra |
| ☐ Page 28 | Curtin University |
| ☐ Page 29 | Triad Data |
| ☐ Page 31 | Edith Cowan University |
| ☐ Inside Back | Tower Software |
| ☐ Back Cover | Unistat |

# Unistat's World of Filing Solutions

## CREATE CUSTOMISED STRIP LABELS

With the patented Colorflex label system, you can design top- or side-tab strip labels exactly the way you want them including color bands, text, numbers, bar codes, corporate logos or anything else you choose.

## PRINT LABELS ON-DEMAND

Our easy-to-use patented label printing systems let you conveniently print color strip labels whenever you need them. The Inprint ™ System outputs up to 720 labels per hour.

## IDENTIFY FILES AT A GLANCE

The Colorflex Label System identifies individual files at a glance. It ensures easy, mistake-free filing using standard or customised colors, an array of text options, and high resolution sequential and non sequential alpha and numeric barcodes.

## OR LET UNISTAT DO IT ALL FOR YOU

Unistat can work with you to design, print and even attach unique strip labels to folders at our factory and deliver them to your location. As the leading innovator in filing technology, we offer the systems and flexibility you need for efficient, effective file management. When you've got a filing problem, come to Unistat for the solution. We're flexible!