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Federal President's
Message

This year Australia is celebrating a Century of Federation, of bringing all states together as one. Last year the Association celebrated 25 years as a company. At the end of the year the Association established its very first national office and brought all membership and financial processes together under one roof. It is great to see all states working together as one Association and fulfil my theme for last year to *'Think nationally act locally'.*

This year I have chosen the theme *'Together we achieve the extraordinary'.* This year the Association will be looking at further developing strategic alliances with the ASA, ALIA, IIM and records professionals in New Zealand.

Last December the Association held its 17th National Convention at Darling Harbour in Sydney. I would like to congratulate Geoff Smith and his team on providing a stimulating Convention. At this Convention we saw the largest trade exhibition ever assembled, with over 50 stands. The exhibition was open to the public for the first time and over 200 non-delegates attended the exhibition.

In another historical event, just prior to the Convention, the RMAA Federal Board met with the ASA National Council for the first time to discuss a number of issues including strategic alliances and a refinement of the Memorandum of Understanding developed 6 months ago. It was noted at the meeting that the MOU should not be read as a blueprint for amalgamation. Key issues in working together included membership, education, competency and records management standards.

Later in the meeting we were joined by Mairead Browne, President of ALIA, and Jackie Jean, Trish O'Kane and Mike Steemson representing the Wellington Chapter of ARMA. The meeting was very successful and significant, seen by many as a good foundation for building collaboration between the associations.

A proposal arising from that meeting was the formation of an Australian National Council on Archives and Records (ANCAR). It was felt that there was a need, when approaching Government, for a broad-based organisation that will present a unified voice on issues. This organisation would also be a more effective lobby group. Other issues discussed included the Joint Conference in Hobart, competency standards, international standards and continual professional development.

For many years the Directors of the RMAA Board had been discussing the need for a Public Relations Plan that would compliment our Marketing Plan. Tenders were sought and the Board interviewed 3 companies. McCalls Pty Ltd were selected and Cory Heathwood commenced work during the Convention by writing media alerts and interviewing members of the trade. You will find a questionnaire within this issue and it will be appreciated if you could take time out to fill this in and return it. Information obtained from the questionnaire will form a crucial part of the Public Relations Plan.

I hope you have checked out our new look web site at www.rmaa.com.au Bookmark it now and use it every day. It is being updated regularly and provides information on seminars, meetings, conventions and contact details. We are in the process of adding a *'members only'* section that will include many benefits to you as a valued member.

Chris Fripp MRMA MAICD
Federal President

Editorial

INFORMAA Quarterly now has a new Editor - in fact it has two new Editors. We would like to take this opportunity to thank Julie Apps for being the Interim Editor for the last issue, for producing such a fine issue and for facilitating a smooth handover.

Our aim is to provide you with an informative and educational journal including articles from both Australia and overseas.

We share the aim, expressed by Julie in her last editorial, of encouraging professionals within the Information, Records and Archives Industries within Australia to submit their articles and views. We will continue to maximise opportunities to have these papers published internationally and to encourage international professionals to support *INFORMAA Quarterly.*

So make sure you share your knowledge and experience by submitting articles and encouraging others to share also.

The National Convention in Sydney is now a memory. The summing up provided by David Roberts, Director of State Records NSW, on the final day of the Convention is included in this issue. In the next issue we intend to publish a different perspective on the Convention, provided by Mike Steemson.

This issue also contains details of the winners of the Eddis Linton Awards, presented during the National Convention.

Mike Steemson provides a summary of the ISO Technical Committee 46/SC 11meeting on ISO 15489 held in Stockholm last November. It provides a summation of the outcomes of that meeting and what we can expect in the not-to-distant future.

Also in this issue is a paper by Gillian Colledge on electronic records management. Electronic records management is becoming an integral part of our work. It can also provide us with much to worry about. This paper brings together a number of theoretical views on how to manage electronic records and the issues involved.

In a similar vein, is a paper by Andreas Engel and Dr Michael Wettengel on the disposition and archiving of authentic electronic records in Germany.

In addition, there are items of Australian News and the regular reports of the Branches and coordinators that help keep us all up-to-date on what is happening in our Association.

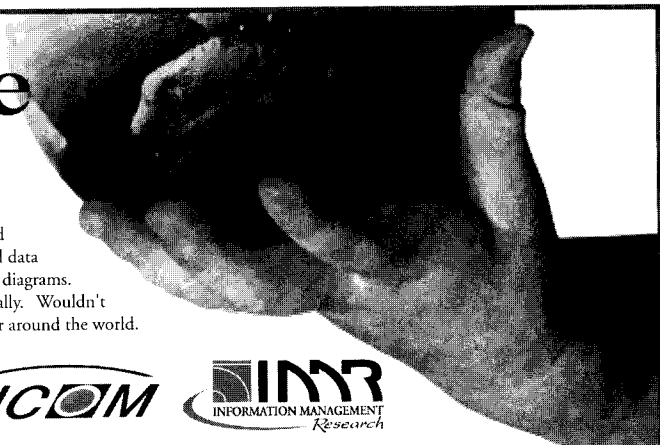**Janet Knight ARMA and Geoff Smith ARMA**
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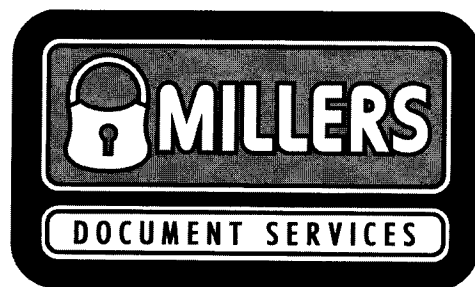
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ELECTRONIC RECORDS MANAGEMENT: THEORETICAL VIEWPOINTS

Author

Gillian Colledge
Sales and Marketing Administrator with
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Abstract

Records management is no longer only about the management of paper records but increasingly reflects the challenge of how to manage electronic documents. Traditional practices must be adapted to the new media so that records remain authentic, reliable and accessible over time. New methodology and tools for electronic records management (ERM) are rapidly developing. This paper reviews some theoretical concepts and projects related to the current changes.

Introduction

Recordkeeping is an important human activity. Without records from the past we would know much less about our history as inhabitants of the earth. Between the 15th and 18th centuries all the knowledge of the ancient world was put into print form. Now, with the enormous advances in technology, we are on the threshold of being able to *represent the entire corpus of human civilisation in digital form*' (Bearman 1994b, p. 1). At a practical level, in terms of recordkeeping, it is becoming possible to electronically document enormous collections of information and records (Bearman 1994b, p. 1). However, the methodology for recordkeeping has to be adapted to modern conditions, which demand a new regime if electronic records are to be successfully managed.

The role of records managers and archivists has been to maintain records essential to the business of an organisation and dispose of them when they are no longer useful. Traditional practices for recordkeeping stress the importance of the maintenance and storage of physical materials such as paper documents, objects and maps as evidence of activity. Archivists, who are responsible for the long term preservation and storage, have emphasized the physical characteristics and location of records. With the increasing digitisation of information, records can be stored electronically and the physical location of these records is much less significant. However, it is not just the storage and location of electronic records that have surfaced as management issues but also how to maintain records as reliable and authentic evidence in a digital environment.

A research team at the School of Library and Information Science at the University of Pittsburgh pioneered the development of a new records management methodology. The team of experts, headed by Cox, and with Bearman as the project consultant, began work in 1993 with a goal to test the viability of *using archival functional requirements as a framework to manage electronic records*' (Cox 1995, p. 1). The development of recordkeeping functional requirements was the *'heart of the project*' (Cox 1995, p. 3). *'The requirements are intended to assist the archivist, records manager and other professionals concerned with the maintenance of records by providing an unambiguous, verifiable definition of a record*' (Cox 1995, p. 1). In other words, the requirements provide a means of ensuring that records created in electronic systems can be maintained as *'organisational evidence*' and are able to meet legal and accountability requirements (Cox 1995, p. 1). Records are vital to the functioning of an organisation in that they provide evidence of the business transactions of its activities. Without records it is not possible to find out how decisions have been made, who has made them, why and when.

Many projects are in progress to test and put into practice new strategies and ideas. Major contributions in defining the methodologies have been made around the world. For example:

- In Australia, the NSW Government has produced a publication and strategy, entitled *Documenting the Future: Policies and Strategies for Electronic Recordkeeping in the New South Wales Public Sector* and the Public Records Office of Victoria has produced the Victorian Electronic Records Strategy (VERS)
- In Canada, there is the Information Management and Office Systems Advancement (IMOSA) project, and, at the University of British Columbia, The Preservation of the Integrity of Electronic Records Project (now evolved into the international InterPARES project)
- In the US, there is Indiana University Project and the University of Pittsburgh project
- In the Netherlands, there is the PIVOT project
- In Sweden, ASTRA, a Swedish pharmaceutical firm is working jointly with the Swedish National Archives.

Internationally, the World Bank and the UN have conducted considerable work (Barry 1997, p.7). In many instances the practices have been experimental and innovative and have consequently evolved in the course of implementation. Some of the major players in this evolution are Duranti, Eastwood, McKemmish, Cook, Upward, Roberts, McDonald, Bearman and Cox. The focus of their research is described in this paper. The discussions centre on matters such as: authenticity and reliability, accountability, the life-cycle approach versus the records continuum approach, centralised versus distributed custody, terminology, new roles and responsibilities for recordkeeping and the functional requirements for recordkeeping.

The researchers unanimously agree that fundamental change is required for recordkeepers and archivists to manage records successfully in the electronic environment. There are new players in the recordkeeping process. Information technologists are now significant participants, and together with record managers and archivists their roles must be clearly defined, possibly re-defined, in this new environment.

Editors Note: some of the author profiles used here may be slightly out of date as most were taken from the articles used.

Duranti and Concepts of Reliability and Authenticity

Luciana Duranti is Professor and Associate Dean of Arts at the University of British Columbia (UBC). She was the Principal Investigator working with Terry Eastwood on The Preservation of the Integrity of Electronic Records Project at UBC. The project resulted in the DoD 5015.2 standard used as an accreditation benchmark for vendors supplying Records Management products to the US Department of Defense.

Terry Eastwood is Associate Professor, Archival Studies Program, School of Library, Archival and Information Studies at the University of British Columbia, Canada.

Duranti's focus is the study of diplomatics and its relationship to modern day archival science. She identifies and discusses the significance of the essential qualities of records, those of reliability and authenticity. In Europe, the tradition of archiving is founded on diplomatics and paleography. The term diplomatics comes from Latin terminology *'res diplomatica'*, which referred to the critical analysis of forms of diplomas, typically, in Roman times decrees conferring privileges of citizenship. As a science practiced in earlier times, it arose from the need to determine whether a document was a forgery or not, hence the link with paleography (the study of ancient writing and inscriptions). The science of diplomatics was born out of the competing efforts to establish the authenticity of documents. The competition came to a head with the

publication of a treatise in 1681, *De Re Diplomatica which established the fundamental rules of textual criticism* (Duranti 1989, p. 13). This is considered to be the birth date of diplomatics.

Although initially diplomatics was concerned with the management of current records, after the French revolution, archivists took on the care of historical sources (Duranti 1989, p. 10). The challenge in our modern society is to adapt the rules of diplomatics used for recordkeeping between the French Revolution and now, and make them useful in the modern situation (Duranti 1989, p. 10).

Diplomatics is concerned with the study of documents: a document being a piece of written evidence which can present on a variety of media, e.g. paper, magnetic tape, disc, plate (Duranti, 1989, p. 15). For Duranti, *'there are three fundamental requisites of the document for diplomatic study. These are, the circumstances of the writing, the juridical nature of the fact communicated and the form of the compilation'* (Duranti 1989, p. 16). Diplomatics is *'strictly linked to determining the authenticity of documents, in the sense of legal authenticity and not historical authenticity and thus an authentic document will include all the necessary elements to establish its authenticity'* (Duranti 1989, p. 17). Diplomatics makes the distinction between an original, a draft and a copy of a document. This distinction, applied since medieval times, has yet to be revised to reflect the contemporary environment.

Guaranteeing the authenticity of documents is an essential part of the role of the archivist. Diplomatics provides the archivist with a methodology for the archival work of *'identification, appraisal, arrangement and description of documents'* (Duranti 1989, p. 24). A record must possess both authenticity and reliability. Reliability is *'provided to a record by its form and procedure of creation'* (Duranti 1995, p. 6). A record can be authentic without being reliable and so both characteristics are essential. The two concepts are intellectually separate even though at times their jurisdictions overlap.

Duranti is explicit about these concepts. Electronic records must be both authentic and reliable but reliability is the first requirement that should be satisfied. Electronic records present particular problems because of *'the easiness of electronic records creation'* coupled with freedom from bureaucratic structures. The result, Duranti says, is the *'sloppiest records creation ever in the history of record making'*. There are too many people creating records, too many forms, too many duplicates, too many different technologies which means that, although there are many authentic records, they are not reliable (Duranti 1995, p. 9). The solution to this is a methodology of *'business procedures in which the recordkeeping function is a highly regulated and integral part of the usual and ordinary conduct of affairs'*.

McKemmish and Accountability

Sue McKemmish is an Associate Professor in the School of Information Management and Systems at Monash University. With her Monash colleagues she has developed innovative, integrated, multi-disciplinary approaches to records management, archival and information management education at postgraduate and undergraduate levels within the framework provided by records continuum and information continuum theory. Professor McKemmish was Principal Chief Investigator for the 1998-99 SPIRT research project, which developed a national framework for standardising recordkeeping metadata.

The sloppy recordkeeping referred to by Duranti has resulted in what several authorities in the field regard as a crisis in accountability. In her work, McKemmish describes some accountability crises in government and corporations that have manifested themselves since the 1980s (McKemmish 1993). McKemmish reinforces the views expressed by Eastwood that archives exist as *'arsenals of democratic accountability and continuity'* and are essential elements of our social fabric (Eastwood 1989, p. 36).

McKemmish provides several examples of poor recordkeeping practices that have been exposed in cases of investigation of government. Such practices often lead to the improper handling and use of the recorded information (McKemmish 1993, p.12). McKemmish describes some of the state government initiatives developed to counter this state of affairs, and to strengthen accountability.

In Queensland, an Archives Bill has been passed; in Western Australia a Royal Commission has been held and in Victoria, Freedom of Information legislation has been introduced.

In Queensland the focus has been legislative change whereas in Western Australia the focus has been to change the 'organisational and recordkeeping cultures' (McKemmish 1993, p. 15).

McKemmish's comments confirm Duranti's view that, although there are massive amounts of information produced, the information it is not 'complete, accurate, reliable and usable' (McKemmish 1993, p. 19). The kinds of records being kept and the way they are being kept are not appropriate or satisfactory for providing evidence because meeting evidential requirements is not presently a part of the recordkeeping process. In order to ensure the proper management of records at the state government level, McKemmish states that 'we need a powerful and shared conceptual framework within which to operate... one that recognises the role of recordkeeping in our society and the relationship between organisational and recordkeeping cultures' (McKemmish 1993, p. 21).

Part of the problem in developing this conceptual framework is society's present understanding of recordkeeping and the dominant concept of information in our society. At the Commonwealth level, information is seen as a free 'good', a resource, a commodity and there is no reference to 'recordness'. The value of recordkeeping and archival documents is not well understood. This may be why, in McKemmish's view, the legislation that was introduced in Queensland had insufficient provisions to ensure accountability (McKemmish 1993, p. 23). The 'information society' in which we live focuses on the allocative qualities of information. McKemmish contends that this is a threat to the concept of the archival document that has both allocative and authoritative qualities (McKemmish 1993, p. 23).

McKemmish's comments on the need for a strong independent archives authority and the importance of 'corporate and societal accountability' (Australian Society of Archivists 1999, p.5) are especially meaningful given the subsequent events in Queensland known as the 'Heiner affair" (Australian Society of Archivists 1999 p.1). The 'affair' centres on an inquiry into allegations of inmate abuse at the John Oxley youth centre and the subsequent destruction of records that were used as evidence in the aborted inquiry. The Queensland State Archives were asked by the government of the time to destroy the records, which they did. A further enquiry has indicated the relevance of the destroyed documents.

The view of the Australian Society of Archivists on the Heiner affair is that the destruction was carried out with an insufficient appraisal process and that 'political pressure was, at the very least, a contributing factor to the faulty appraisal of the Heiner documents.' The Australian Society of Archivists has stated that 'the greatest threat to the integrity of the public record is the unwarranted destruction of important documents'. The disposal or destruction of public records 'should be orderly and guided by established administrative procedures which are based upon internationally recognised archival principles' (Australian Society of Archivists 1999 p.5).

Upward & Cook: Post-Custodiality and the Records Continuum

Frank Upward has worked as a consultant for the Victorian Public Service. He is a senior lecturer in the Department of Librarianship, Archives and Records at Monash University.

Terry Cook is the former Director of the Records Disposition Division at the National Archives of Canada. He is a former General Editor of Archivaria, and remains on the Editorial Board, as well as that of the American Archivist.

Upward and Cook maintain that records management is in the process of moving from the 'custodial, life cycle' model for recordkeeping to a 'post-custodiality and the records continuum' model.

'The dominant principle structuring the development of records management in Australia during the past 40 years has been the life-cycle concept, based on the birth, life and death of the physical record' (Upward 1993, p. 230). The life cycle is basically a concept developed in America from the European model of archiving. The modern archives created in the US, was to be 'traditionally custodial, but with an interest in the front end of records creation' (Upward 1993, p. 230). Authoritative records management was confined to archival institutions. The understanding of archivists was that records managers looked after the mine and archivists applied their contextual style of documentation to the quarried product (Upward 1993, p. 230).

However, Upward says, records managers rejected the parental influence of archivists and created their own concept of life cycle that terminated at the disposition stage. Moreover, they were not very concerned with evidence but rather with allocative ends supporting the decision-making role of administrators (Upward 1993, p. 230). As a result, records management has become very vulnerable because it lacks the necessary structural principles to withstand technological change.

Records management has operated within a custodial framework 'dictated by the life-cycle and focused upon the storage of existing records' (Upward 1993, p. 233). Upward defines a replacement of the life-cycle model with a new model, called the records continuum, which supports a system of 'total' records management. The records continuum model applies from before

records creation (to systems design decisions) through to storage and disposal. In this way the model involves the interests of records managers and archivists.

The methodology, developed by Cox, Bearman and their colleagues at the University of Pittsburgh, supports this approach through the definition of the functional requirements for recordkeeping. The functional requirements aim to ensure that *'the business transaction must create a record which requires continuing management for retention and use'* (Upward 1993, p. 231). This represents a *'shared goal'* (Upward 1993, p. 231) for records managers and archivists. The new system of management focuses attention away from the records themselves and onto the *'contextuality and transactionality'* of records.

Cook is optimistic about the post-custodial model for recordkeeping. He sees it as an opportunity for recordkeepers *'to stop being the custodian of things and start being the purveyors of concepts'* (Cook 1994, p. 405). The traditional archival principles and theories hold the key to the organisation of records in the electronic world, since the concepts can be divorced from the *'physical and structure centered approach'* and applied to *'virtual'* objects (Cook 1994, p. 305). The post-custodial approach does not imply a future with no physical custody of records but rather with the focus on how recordkeeping is approached and must change to reflect an emphasis on control through *'context, purpose, intent, interrelationships, functionality and accountability'* (Cook 1994,p. 308).

Hofman and a More Centralised Approach

Hans Hofman is Director of the Electronic Records project in the Netherlands, the objective of which is to develop a policy for arranging and archiving electronic records for certain archives departments of the Dutch Government. Hofman is the European representative on the InterPARES project.

Hofman discusses the challenges posed by information technology to archival management. He writes from the perspective of the archives *'as a separate institution that preserves archival records of government agencies'* (Hofman 1994, p. 1). The National Archives, Municipal Archives, and other major archival organisations in the Netherlands are involved in the project to develop a new electronic records archiving policy.

In his description of electronic records management in the Netherlands, Hofman identifies a number of issues, which are the result of the technological changes and the fact that there are now four players in the recordkeeping and archival process. These are the agency, the archive, the information specialist and the end user (civil servant). As Hofman sees it cooperation between all these players is an important factor in successfully achieving good recordkeeping practice.

Hofman approaches the analysis of recordkeeping from the perspective of the life-cycle framework but adds to it two extra stages. One is referred to as conception, which occurs at the front end of the life cycle, and the other is re-use/service delivery at the end of the cycle. For the conception stage of electronic records it is necessary to be involved *'as early as possible and to stress the common responsibility of both agencies and archives for the whole life-cycle'* (Hofman 1994, p. 3). However, this life-cycle description does not result in a coherent model due to the gaps between information specialists and records managers, between the end user and the records manager, and between the agency and the archives (Hofman 1994, p. 3). There are different reasons for the gap in each of these situations. In order to fulfil the archival requirements of electronic records, an appraisal of the functions or activities of an organisation is necessary at the conception stage, thereby establishing *where* the potential archival records will be created. This means that records managers, archivists and IT specialists must cooperate in order to implement their differing requirements.

To meet all the requirements for keeping government records, cooperation is needed between record creators, organisation consultants, lawyers, records managers, archivists and IT specialists (Hofman1996, p.6). In many instances these groups do not use the same terminology and this makes agreeing to common goals difficult. The word *'document'*, for example, has different meanings for these groups.

Overall, Hofman's strategy reinforces a role for a centralised archive but *'a much strengthened relationship between records managers and archivists, agencies and archives who share a common responsibility in preserving records'* (Hofman 1994, p. 9). Like McKemmish, he believes that the public needs to be educated in the significant role that records play in preserving society's evidence of the past and in underpinning *'legal security and democracy'* (Hofman 1994, p. 9).

David Roberts and Defining Electronic Records Documents and Data

David Roberts is the Director of the State Records Authority of New South Wales (formerly the Archives Authority of New South Wales). He had previously worked in a variety of positions for the National Archives of Australia. He was member of the IT/21 committee that developed the Australian Standard for Records Management. He has played the major role in the development of the new recordkeeping strategies for the New South Wales Government. These strategies are outlined in *Documenting the Future, Policy and Strategies for Electronic Recordkeeping in the New South Wales Public Sector.*

Roberts was a key player in the development of the Australian Standard for Records Management AS 4390 (Standards Australia 1996), which has subsequently been used as the basis for developing the ISO standard for Records Management.

In the introduction to *Documenting the Future, Policy and Strategies for Electronic Recordkeeping in the New South Wales Public Sector,* Roberts makes it clear that the

strategies in the paper are based upon the new approaches developed by theorists and practitioners in the previous five years. In this regard he acknowledges the influence of Bearman and his colleagues at the University of Pittsburgh, the work of McDonald at the National Archives in Canada and Hedstrom at the New York State Archives and Records Administration.

In his investigations Roberts found that there was little common understanding of the fundamental concepts of records, documents and data in the Australian and International archives and records management communities. Roberts also points to the confusion in understanding of the word 'document'. Computer scientists, archives and records managers and the Australian Government Information Exchange Steering Committee (IESC 1993) all have differing definitions. In particular, the IESC appears to make no distinction between records and documents. In the IESC Guidelines 'electronic records' do not appear anywhere (Roberts 1994, part 3 p. 1).

Data and data management are also elements of the information structure. It is important to have a concept of what they are and where they fit in with records management. Roberts defines electronic documents as 'a class of electronic data files possessing certain characteristics' (Roberts 1994, part 4 p. 1). The management of these data files is often referred to as data management. (Roberts 1994, part 3 p. 1). Data management and data administration are becoming increasingly relevant to the work of records managers and archivists. There are important recordkeeping implications for teaching data management principles to individuals and workgroups and in the 'tactical use of data management and data administration as part of the design of electronic recordkeeping systems' (Roberts 1994, part 2 p. 2).

Records play a crucial role in supporting accountability, and because of the evidential requirements of records, as opposed to simply documents, they require specialised software for their management. Roberts

comments that much of the archival practice of the past few years has been concerned with 'managing databases as machine readable or electronic records' (Roberts 1994, part 2 p. 2). However, if these databases are examined as evidence, then they will fail the test as 'records' because they are produced by electronic information systems and not electronic recordkeeping systems.

McDonald and the Use of New Technologies for Recordkeeping

As Director-General of the Government Records Branch at the National Archives of Canada, McDonald was an early participant in the research for improving electronic recordkeeping in the office environment. McDonald was the coordinator of a National Archives-led partnership that comprised representatives from the public, private and academic sectors who joined together to form the Information Management and Office Systems Advancement (IMOSA) project. The objective was to examine the impact of new office technologies and to look, amongst other things, at their impact upon recordkeeping.

The IMOSA project explored the effectiveness of existing tools for recordkeeping and in developing functional requirements and 'management guidance that could be used by organisations to procure technical solutions for keeping both hard copy and electronic records generated in the office' (McDonald 1994, p. 2). For these purposes a prototype for recordkeeping was developed and tested by a small user group in a work environment. McDonald noted that, although sophisticated office software tools are available, they are not being applied to business processes. As a result, the 'creation, transmission, use and retention of electronic records is under the control of the individual user' (McDonald 1994, p. 2).

The initiatives that developed from the project were aimed at introducing consistency amongst users; for example, establishing common filing systems and a function-activity-based classification scheme.

McDonald notes that, while it may be recognised that electronic information is the way of the future and that recordkeeping is an essential part of it, the role of the recordkeeper has not been fully understood. The records manager of the future will need to understand recordkeeping requirements and be able to work with information specialists to ensure that the systems designed meet the requirements. McDonald comments that the skills and knowledge abilities of present records managers do not meet this need. In this respect, he echoes the remarks of Hofman and Upward who both see a need to redefine the role and upgrade the skills of record managers.

Bearman and a New Basis for Recordkeeping

David Bearman is an acknowledged expert in the field of electronic records management. Many would say he is the leading expert. Formerly Deputy Director of the Information Resources Management at the Smithsonian Institution in Washington D.C., Bearman is now President of Archives and Museum Informatics, a Pittsburgh-based consulting firm specialising in electronic records and museum information systems. From 1990-95, Bearman served as the principal consultant to the NHRPC funded research project at the University of Pittsburgh defining Functional Requirements for Evidence in Recordkeeping.

Bearman contends that most archival structures in the past, viewed record systems as passive mechanisms for storing records 'rather than as the forges in which they are formed' (Bearman 1994a, p. 285).

Traditional methods for managing records in both current and archival situations focus on the physical arrangements of records. In storing records the original order was retained according to the office filing procedures by which they were created (Bearman 1996, p. 1). The document series were referred to as 'fonds' and the internal arrangement of these documents within the series was fundamental to the integrity of the records.

In this way, the *physical order was preserving the logical associations between records* (Bearman 1996, p. 2).

The concepts of series used by archivists in the past were both logical and physical. However, electronic records do not need a physical context and do not conform to a physical custody model. The relationships between electronic records are *established by the capabilities of the software environments in which the records are used*' (Bearman 1996, p. 2). In an electronic environment *the ways in which records are 'filed' depends on the assignment (or lack of assignment) of data values or, on structural links defined in the software architectures*' (Bearman 1996, p. 2). Thus, Bearman says, it is not the ways in which electronic records are organised that can provide evidence of their use or transactions, but rather the metadata (information about information systems) created with the record that can provide this evidence. It is the metadata stored with the business transactions that guarantees that the *'data object'* (record) will be usable over time (Bearman and Sochats 1995, p. 2).

This places a special responsibility on archivists who, if they are to continue to fulfill their role and ensure that the evidential qualities of records are retained, must become involved in the development of recordkeeping systems and in how electronic records are created, stored and made retrievable with content, context and structure. Bearman maintains that it is not possible to separate the context and structure from the record in electronic systems. He says that archival systems have always been *'information systems about recordkeeping systems'*, or what data administrators call *'metadata systems'* (Bearman 1994a, p. 246). The simple data structures used by archivists, such as finding aids, cannot adequately describe all the connections of electronic records and the transactions associated with them. It is for this reason that new systems are needed that will meet these requirements.

For Bearman, the ability to retrieve records with content, context and structure depends upon the specification of the

metadata created with the record. Specifying the metadata of a record depends upon being able to define what Bearman refers to as the *'functional requirements of the recordkeeping system'*.

The functional requirements define *'the corporate requirements for any recordkeeping system, not the application requirements for archives and record management systems'*. They are intended to be universal for any recordkeeping system and may be used by archivists, records managers, auditors, lawyers and any organisations which have rigorous requirements for maintaining accurate records (Bearman[3] 1994a, p. 296).

Bearman maintains that the first step towards effective control of recordkeeping is to apply the functional requirements. Next, the organisation needs a strategy to satisfy them. The strategy may involve *'new policies and procedures, designing new systems, implementing systems in a way that satisfies the requirement, or developing standards'* (Bearman 1994a, p. 296). The strategies can be applied separately or in combination and will depend on the particular business requirements of the organisation concerned.

Several projects addressing the issues of electronic recordkeeping are underway in organisations in different countries. The Pittsburgh project, and the definition of functional requirements for recordkeeping systems, has provided an important theoretical framework to guide the present initiatives.

Conclusions

The new era requires greater cooperation and a multi-disciplinary approach, and archivists, as a professional group, must play a leading role in the electronic environment being developed.

An important current initiative is the InterPARES project - International Research on Permanent Authentic Records in Electronic Systems. This project is a follow-on to the Preservation of the Integrity of Electronic Records Project commenced by Duranti and Eastwood at the University of British Columbia. The

research is directed by an International team under the leadership of Duranti and is composed of experts in the records management field from around the world. Included in this team are Eastwood, McKemmish, McDonald and Hans Hofman, all previously mentioned in this article. The project aim is to 'develop the theoretical and methodological knowledge essential to the permanent preservation of electronic records and, on the basis of this knowledge, to formulate model strategies, policies, and standards capable of ensuring their preservation'. 'Concrete findings' are expected by December 2001 although the work will likely continue beyond that date.

Richard J. Cox of the University of Pittsburgh comments that perhaps the InterPARES project will provide a top-down approach for large organisations but the fact remains that archivists at all levels need to know how to work with all records systems (Cox 2000, vol. 1 no. 5). Cox also notes that, although there have been a number of projects in the last decade, *'most archivists and records professionals ignore Electronic Records Management (ERM) except to hope that one or more of these projects bring the magic answer to all ERM issues and challenges'* (Cox 2000 vol.1 no.5 p.11).

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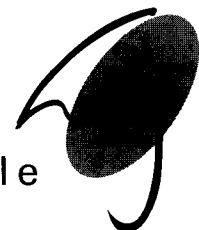
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Bridging the Gap:

Closing Address from the 17th National Convention, Sydney 2000

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Abstract

This is an edited version of the closing address for the 17th National Convention of the Records Management Association of Australia, held in Sydney on 3-6 December 2000. Drawing on papers and discussions of the previous three days, the paper looks at the gaps in focus on each day and asks if records managers, as a profession, have indeed built the bridges needed to cross them. For readers who could not attend the convention, the endnotes identify papers and speakers referred to in this address.

Introduction

I would like to start by noting how delighted I am to have the opportunity to present the closing address for this convention. I want to use the opportunity to review various aspects of the theme of the convention: *'Bridging the Gap'*.

I do not intend to review or summarise the convention - in the time available, I could not do it justice, let alone say anything of my own - but I will draw on what we have heard in many of the papers over the last three days. I apologise in advance to any speaker on whose paper I may swoop and pluck something out: it is no reflection on the worth or relevance of the paper as a whole.

I should note that my written paper in the convention proceedings was prepared some months ago and concerns only one of the things that I want to talk about, albeit in greater detail than is possible in this presentation.

What have we learned during the last three days? To start with, I was much taken by Irene Moss' story in her opening address about using an Internet search engine to look for humorous ice-breakers for her paper: a search for *'archivists'* + *'humour'* produced 900 hits; *'records managers'* + *'humour'* produced 13,000 hits. We must conclude that records managers are funnier than archivists....

I will return in a more serious vein to the differences and similarities between records managers and archivists later.

The Gap between Information Technology and Records Management

The sub-theme for Monday [4 December] was the gap between information technology and records management. I took the *'Workshop 1'* stream, with its sessions on knowledge management, knowledge portals and web content management. To a significant extent, much of Monday was really about the relationship between knowledge management and records management, in Cedric Israelsohn's presentation[1] - and indeed in Jane Diplock's presentation on Tuesday[2] - as much as in Therese Bendeich's[3] and Graeme Cox's.[4]

As it turned out, these presentations taken together, addressed this topic from two perspectives, each equally valid:

1. the extent to which there is a gap in records managers' understanding of knowledge management
2. the substantive question of how records management *relates* to knowledge management.

Let us look at each in turn.

1. Our Understanding of Knowledge Management

If knowledge management is a big part of our future, it is legitimate for records managers to ask: is there a clear, commonly accepted view of what knowledge management is? And did the papers presented here help us to gain that clear, commonly accepted view of what knowledge management is?

Certainly, Cedric Israelsohn helped. He noted that knowledge management has nothing to do with technology, and especially with any specific technologies. Rather, he emphasised, it is a philosophy. He highlighted one of the key features of the concept of knowledge management: capturing and harnessing what is *in people's heads,* that is, the knowledge, memory and experience that cannot be found in the records and other information resources available in an organisation, no matter how well managed.

Cedric tantalised us with the idea of a SCSI port (William Gibson might call it a *'cranial jack'*) sucking knowledge from people's brains. Here is a new role for the records manager: the knowledge vampire.

Interestingly, it was Jane Diplock, a senior executive and lay person (at least in relation to records management), who gave us some concrete insights into how to get knowledge from people's heads: investigation staff of her organisation must give briefings to pass on to others what they have learned at the end of an investigation.

Cedric gave us yet another label for the role that we records managers play or could play - the '*Information Services Professional*' - and talked a little about this role. This was fair enough, but how does this role fit into what we understand as records management, or indeed knowledge management? Or vice versa? It is a pity that we did not have the opportunity to find out.

When we came to look at knowledge portals, both in Cedric's presentation and in Graeme Cox's, we saw a much more conventional '*information management*' view of making information resources available to users across an organisation, albeit with some great new tools. Isn't knowledge management more than this?

So, do we have a clear, commonly accepted concept of knowledge management that records managers can take up and implement? The answer has to be '*not yet*'.

2. How Records Management Relates to Knowledge Management

On the other side of the knowledge management gap - how records management relates to knowledge management - there was little to enlighten us. I found Therese Bendeich's arguments the most compelling. In her case study she saw the records manager's role as a facilitator: helping everyone to be an effective knowledge worker and enabling corporate knowledge bases.

Cedric Israelsohn gave records management a place in relation to the corporate (i.e. internal) portal, but no role in relation to the e-business portal; yet this is where business transactions with the outside world are going on.

Do we have a clear, commonly accepted view of how records management relates to knowledge management? Based on this limited evidence (and there is precious little elsewhere either), the answer is an even firmer '*not yet*'.

Technology Runs Amok

Here in the last three days, and elsewhere, e-mail - the defining form of business communication in the digital age - has been described as a records management problem, because of the vast numbers of messages sent every day and because they are uncontrolled.

On the other hand, Irene Moss noted that e-mail provides an opportunity to document the decision-making process that was previously verbal. Sir Paul Hasluck once characterised the telephone as the robber of history. Maybe e-mail just climbed in the window and put the family silver back in the sideboard. Of course, Irene's observation helps us only if we systematically capture e-mails as records.

On Monday, Tony Poynton,[5] in his inimitable style, showed us convincingly how easy it is to promote bad records management by enabling clients to send out invoices with content different to what their databases think they sent. Fortunately, Tony has a middleware solution, focusing on control of templates for document creation.

It might be better, as Hans Hofman[6] argued, to return to fundamentals - in this case, to identify the recordkeeping requirements for invoicing and set up systems that will ensure their satisfaction through the capture of authentic, reliable records of actual invoicing transactions.

The Gap Between Management and Records Management

To a great extent, Tuesday [5 December] was about filling the gap in our skills: the range of skills that we need today in addition to the unique skills of our profession.

It was a good practical day. I want to talk about just one thing that came out of these sessions.

Three speakers told us of their passion:

- Jane Diplock said she was passionate for knowledge management
- Kerry Nicholls[7] told us that we need passion to be successful on the 'people side' of records management projects
- Conni Christensen also told us to be passionate about our projects, as we institute and manage change.

In a similar vein, Eddis Linton, presenting the inaugural J Eddis Linton Award on Monday, spoke of the *joy* of working in records management.

Yet both Kerry and Therese Bendeich (and I apologise most of all to these committed records managers for using them as examples to make this point) felt they had to avoid referring to a '*records management system/project/ whatever*' and use '*document management*' instead.

There is a real gap between the passion - the love - that we have for what we do and for work to which we have given our professional lives, on the one hand, and the fact that, when doing that work, we do not feel we can use the term that defines our profession, on the other. We have been reminded more than once over the last three days that change is cool and records management is not; that knowledge management is sexy and records management is soporific.

We produced the world's first national standard on records management: it is not about anything else. Why can't we be both passionate and proud?

The Gap between Traditional and Modern Records Management

We started Wednesday [6 December] with, in many ways, a gloomy picture from Russ James.[8] The challenges he identified, however, are serious and his call for action is welcome.

It was great that Chris Fripp[9] was able to follow straight after and, while not the primary focus of the session, show us a little of what our Association is doing to meet some of these challenges.

It was great also to hear Toni Mackain-Bremner,[10] showing us a strong, vital and successful records management program in a large global company operating in the environment that Russ described. This was an excellent case study in modern records management.

If there is, or at least perceived to be, a gap between traditional and modern records management, what is modern records management from the point of view of the professional engaged in it?

I have time only to look at this question quickly. Fundamentally, it is what we have always done - managing the organisation's records - but it is also:

• developing corporate policy
• setting corporate standards
• identifying internal and external recordkeeping requirements
• working with other people to build recordkeeping into business processes and information systems that support them
• auditing the performance of recordkeeping systems
• auditing compliance with standards and recordkeeping requirements
• providing advice, training and assistance to users.

Most, if not all, of these roles were explicitly reflected in the discussion today.

If this is modern records management, what is a modern records manager? We can start to answer the question by distinguishing the *records manager* from the *record keeper*. Let us step back for a moment to what Justice David Levine, Chairperson of the Board of the State Records Authority of NSW, said on Sunday night at the Welcome Reception:

'While I am not a records manager, however, I am, like almost everyone in modern society, a record keeper. Making and keeping records

are so much a part of so many aspects of employment and personal life that we are not often conscious that we are engaged in recordkeeping....'

So, a record keeper is anyone who keeps records as part of their working and personal life. Records managers are record keepers: the nature of our work demands it. The difference is that, uniquely, we manage records for a living.

While neat however, that is too simple a view. There are many members of the records management profession - many sitting in this auditorium - who do not, strictly speaking, manage records for a living. There are (in no particular order):

• records management educators
• records management consultants
• vendors and developers of records management products and services
• people like Tony Newton[11] and Kerry Scott[12], regulators of records management in their jurisdictions
• managers of records management units and programs.

All of these people are records management professionals.

We could replace *'records management'* in this list with *'archives and records management (ARM)'* [13] or *'recordkeeping'* (in the sense of records managers and archivists being *'the recordkeeping professionals'*) with equal validity. This leads us to another sub-theme of the day: the relationship between records managers and archivists.

I agree strongly and fundamentally with the general views expressed by Chris Fripp and Adrian Cunningham this morning. I have my own views about some of the detail, but I will not pursue them here. Rather, I want to zero in for a few minutes on the notion of a *'records management and archives authority'* in the government context, to make a point that is otherwise easily overlooked.

At State Records NSW, we use this phrase interchangeably with 'archives and records management authority'. The order is immaterial in any practical sense and is varied only according to the audience. We use these phrases, rather than, say, 'recordkeeping authority' - despite our endorsement of the concept and language of recordkeeping - simply because, where it matters, the idea of an archives authority is well understood and accepted and again, where it matters, the idea of a government records management authority (i.e. a coordinating agency setting and monitoring standards for records management performance across government) is increasingly understood and accepted.

We accept the risk that these phrases may suggest that we are one organisation performing two separate functions, when the reality is that the 'archives' and the 'records management' sides of our work are highly interrelated and, in some areas of our operations, are so overlapping and connected as to be indistinguishable. Two examples are explored in my written paper in the convention proceedings.

The very names that my organisation adopted on the commencement of the State Records Act 1998 at the beginning of 1999 - 'State Records Authority of New South Wales', along with the short name 'State Records' - were chosen to be appropriate and meaningful for us as:

• a coordinating agency Government
• a provider of services to the people and Government of NSW
• the protector and preserver of the State's archives as an irreplaceable part of our community's collective memory and archival heritage.[14]

The names are prescribed in our legislation.[15] The State Records Act itself is constructed in such a way as to combine the regulation of government records management and archives management into a coherent whole.

As an organisation, we have combined these roles for more than twenty years, with the former Archives Office and Records Management Office - along with the Government Records Repository, which continues to operate as our commercial business unit - functioning together under the umbrella of the Archives Authority from 1978 until 1998. Our organisational structure today reflects this more closely: there is no Archives Office or RMO, just State Records.

Lest you think that this arrangement is peculiar to New South Wales, let us look at the other government jurisdictions around Australia.

Commonwealth

In the Commonwealth Government, the National Archives of Australia has had the function of promoting '...by providing advice and other assistance to Commonwealth institutions, the keeping of current Commonwealth records in an efficient and economical manner and in a manner that will facilitate their use as part of the archival resources of the Commonwealth' since the commencement of the Archives Act 1983 (Cwlth).[16]

This provision, while limited compared with those in more recent records legislation in other jurisdictions, has provided the legal basis for the National Archives' work to improve records management in the Commonwealth Government, of which the 'e-permanence' initiative is only the most recent example. A major review of the Archives Act conducted by the Australian Law Reform Commission noted that '...Without doubt, the major weakness of the present Act is its failure to treat recordkeeping as a single continuum that needs to be managed in an integrated way from the creation of records to the point of disposal or archiving and beyond'[17] and has recommended, among other things, that new Commonwealth archives and records legislation should aim, among other things, to

'ensure that the Commonwealth administration creates records sufficient to:

• manage current Commonwealth functions efficiently and accountably
• record and safeguard the rights, entitlements and obligations of individual citizens
• document the history of the Commonwealth and the nation by maintaining a record of significant events, policies, movements & people'[18]

and should '...authorise the making by the NAA, as legislative instruments, of mandatory standards in relation to the creation, maintenance, disposal and preservation of Commonwealth records'.[19]

The National Archives of Australia is now developing draft legislation that will implement these and the greater part of the other recommendations of the review. The result will be a much firmer statutory basis for the National Archives' role as the Commonwealth Government's 'records management and archives authority'. Meanwhile, as a result of a recent reorganisation, the National Archives now has a Government Recordkeeping Branch, with a range of responsibilities similar to ours, and led by newly appointed Assistant Director General, Kathryn Dan.

Victoria

In Victoria, the Public Record Office has had the power to '...establish standards for the efficient management of public records and in particular with respect to...(a) the creation, maintenance and security of public records'[20] since 1973. The same legislation requires the officer in charge of a public office to '...cause to be made and kept full and accurate records of the business of the office' and makes that officer '...responsible, with the advice and assistance of the Keeper of Public Records, for the carrying out within the office of a programme of records management in accordance with the standards established under section 12 by the Keeper of Public Records.'[21]

In addition to setting standards for records management, the Public Record Office provides guidance and advice to agencies on records management, runs a Records Management Network and even organises annual awards - the Sir Rupert Hamer Records Management Awards - to encourage high quality and innovation in records management across the Victorian public sector.

South Australia

In South Australia, the *State Records Act 1997* gives State Records SA the power, among others, '...*to issue standards (following consultation with the [State Records] Council) relating to record management and assist in ensuring that agencies observe the best record management practices.*'[22] State Records SA can conduct surveys of agencies' records management practices and can report to the Minister on inadequate practices.[23]

Western Australia

In Western Australia, the very new *State Records Act 2000*,[24] seeks to improve public sector recordkeeping through an independent State Records Commission, advised and assisted by the State Records Office. The Commission has a standards-setting and monitoring function based around '*record keeping plans*' that agencies are required to prepare. A key accountability for the Commission is to ensure '...*that State record keeping is of a standard that best serves the interests of the people of this State...*'[25]

Again this legislation provides a new statutory basis for a role that the State Records Office of Western Australia has played for some years, for example, through the issue of records management policies and standards since 1992, supported by a range of guidance, training and tools.

Queensland

In Queensland, a Public Records Bill, introduced into Parliament in October 1999, requires each public authority to make and keep full and accurate records of its activities and to take all reasonable steps to comply with any relevant policy standards set, or guidelines issued, by the [State] archivist about the making and keeping of public records.[26]

Under the bill, the State Archivist has the functions, among others, of developing and promoting '*efficient and effective methods, procedures and systems for making, managing, keeping, storing, disposing of, preserving and using public records*' and of conducting research and giving advice '...*about the making, managing, keeping and preserving of public records*'[27] and has the power, among others, '...*to set policy and standards, and issue guidelines, about the making, keeping, preserving, managing and disposing of public records*'.[28] Again, this new legislation will provide a proper legislative framework, with appropriate functions and powers, for the Queensland State Archives to seek to improve records management across the public sector, a role which it has undertaken under a more limited existing power[29] for many years.

Tasmania

While Tasmania does not have specific records management provisions in its archives legislation,[30] the Archives Office of Tasmania, too, acts as a '*government records management authority*' by providing advice on recordkeeping systems and functions, issuing policies, guidelines and procedures and offering training courses and consultancy services.

Northern Territory

The Northern Territory does not have records/archives legislation but it too has a government-wide framework for records management, in this case endorsed by Cabinet in March 1998, based on a comprehensive records management strategy document released in 1997. Within this framework, the NT Archives Service issues records management policies and guidelines and is implementing a Whole-of-Government recordkeeping system and thesaurus.

With one brief exception,[31] there has never been a separate government records management authority in Australia. Nor, as the above summary demonstrates, have any of the government archives authorities been limited to archives management for many years. Despite the names and/or governing legislation of some, each functions as the '*government records management and archives authority*' for its jurisdiction.

Whatever our views as records managers or archivists (or '*recordkeeping professionals*') may be about the similarities or differences between records management and archives management, governments around Australia have (in some cases, long ago) decided that they belong together, and have made their laws and have structured their single records management and archives authorities on this basis.

In Conclusion

What have we achieved in the last three days? We have proved the organisers right in choosing this theme and in structuring a program around its strands. If anything, we have found more '*gaps*' than we could cope with in just three days of discussion.

How many of these gaps have we successfully bridged? We still need to know more about knowledge management. We need to have the confidence to apply our fundamental principles and pursue our goals in a dynamic, globalised e-world. We need to build a range of more general management that we require, in addition to our unique skills, to play our role as modern records managers. We need to keep building our unique skills and developing our professional theory and practice. As Eddis Linton reminded us on Monday, there is always a better way.

Most importantly, we need to keep building bridges, as many of the papers show that we doing effectively already, with *people*:

- people in other parts of our broader recordkeeping community
- people in related disciplines, both in specific projects, such as DIRKS

implementations, and in ongoing processes, such as knowledge management

- people in management and business areas in our organisations, no matter how soporific they may find our concerns.

We could not have had a better stimulus to do so than this convention.

[1] 'Emerging Technology and Records Management', Cedric Israelsohn, Director, Education and Training, Delphi Consulting.

[2] **Keynote Address for Tuesday 5 December 2000**, Jane Diplock, Regional Commissioner, Australian Securities and Investment Commission.

[3] 'Where Does Records Management Fit Into Knowledge Management', Therese Bendeich, Information and Knowledge Management Consultant, Synercon Management Consulting.

[4] 'Knowledge Portals: What are They and How Can They be Used Both Inside and Outside an Organisation?', Graeme Cox, Director, ISA Consulting Ltd.

[5] 'Capturing the Ethereal - Dynamic Compound Documents', Tony Poynton, Managing Director, XL Print SE Asia Pty Ltd.

[6] 'Recordkeeping in the New E-conomy', Hans Hofman, Senior Advisor, Netherlands Ministry of the Interior.

[7] 'Case Study - From Business Case to Realisation', Kerry Nichols, Administrator, Document Manager, Western Power Corporation.

[8] **Keynote address for Wednesday 6 December 2000:** 'Challenges for 2000 and Beyond', Russ James, Principal Consultant, PricewaterhouseCoopers.

[9] 'What's In a Name? RMAA & ASA', Chris Fripp, RMAA Federal President (with Adrian Cunningham, ASA Vice President and immediate Past President).

[10] 'Recordkeeping and the Challenge of Globalisation', Toni Mackain-Bremner, Manager, Global Records Management & Document Strategy, Compaq Computer Corporation.

[11] 'Implementing AS 4390', Tony Newton, Manager, Government Recordkeeping, State Records NSW (with Cassandra Findlay, Rodney Teakle and Ann Robertson).

[12] 'Introducing Recordkeeping Standards in the Federal Government Environment', Kerrie Scott, Director, Communications and Training, National Archives of Australia.

[13] See Rick Barry's unpublished paper, 'Making the Distinctions Between Information Management and Records Management', available at http://www.rbarry.com/IMT-ARM1/IMT-ARM1.html

[14] **Introducing State Records: Who, What, Where, How** (September 2000), our introductory leaflet.

[15] *State Records Act 1998* (NSW), section 63.

[16] Section 5(2)(c).

[17] Australian Law Reform Commission, *Australia's Federal Record: A Review of Archives Act 1983* (Report No 85), 1998, para. 3.19.

[18] ibid., Recommendation 1.

[19] ibid., Recommendation 36.

[20] *Public Records Act 1973* (Vic.), s. 12.

[21] Section 13(a) and (b).

[22] *State Records Act 1997* (SA), s. 7(h). See also s. 14.

[23] Sections 15 and 16 respectively.

[24] Assented to on 28 November 2000.

[25] Section 60(2)(a).

[26] *Public Records Bill 1999* (Qld), clause 7(1).

[27] Clause 30(a) and (f) respectively.

[28] Clause 31(1)(f).

[29] Under section 58 of the *Libraries and Archives Act 1988* (Qld) the State Archivist may make recommendation to public authorities concerning the making and preservation of public records and their Chief Executive Officers are required by the Act to take all reasonable steps to implement those recommendations.

[30] *Archives Act 1983* (Tas).

[31] The Records Management Office in NSW was initially part of the Public Service Board following its establishment in 1976, but functioned as an operational arm of the Archives Authority from 1978.

Disposition and Archiving of Authentic Electronic Records in the new Germany's "Information Network Berlin-Bonn"

Archiving the United Germany: II

The Authors

Dr. Andreas Engel and
Dr. Michael Wettengel

Dr. Andreas Engel[1], since 1989, has lectured in information technology for public administration at Koblenz University. In 1997, he was appointed head of the university's Information Technology in Public Administration research institute, participating in many projects concerning electronic records management and workflow management in public administration. From 1996 to 1999, he was project leader for the research institute in the DOMEA-project (Document Management and Electronic Archiving in computer-assisted business processes), in which a standard for workflow and document management systems was defined for the federal administration in Germany. He is a member of the group of DIN, the German Standards Institute, working with ISO/TC 46/SC 11 in preparing the international records management standard, ISO15489.

Dr. Michael Wettengel[2], b. 1957, holds a PhD in history. Since 1989, he has worked as an archivist at the German Federal Archives (Bundesarchiv). In 1991, he became the head of the newly established machine-readable archives section of the Federal Archives, and since 1999 he has been reponsible for government records and electronic records management. He lectures archivists on electronic records at the Federal Archives and at the Archival Institute (Archivschule) in Marburg. He is a

member of the board of QUANTUM (Association for Quantification and Methods in Historical and Social Research) and participates in projects, committees and working groups concerning electronic records management and information technology in public administration, including the pilot project on Document Management and Electronic Archiving (DOMEA) in the Federal Ministry of the Interior. He is a member of the Committee on Electronic and Other Current Records of the International Council on Archives (ICA), of the DLM (Donnees' lisibles par machine - Electronic Records), the Monitoring Committee of the European Commission in Brussels and the records management sub-committee 11 of ISO/TC 46. He chairs the records management sub-committee NABD/AA 15 of the German Institute for Standardisation (DIN).

1. Implementation of the Information Network Berlin-Bonn (IVBB)

Since the middle of 1999, the German Bundestag (Federal Parliament), the Federal Government and some of the federal ministries have been resuming their seats in Berlin. Six federal ministries will keep their headquarters in Bonn and will also have offices in Berlin, the seat of parliament and government.

This is also a crucial test for the Information Network Berlin-Bonn (Informationsverbund Berlin-Bonn, IVBB), which is supposed to help ensure the functioning of the federal administration and the co-operation of federal offices in various locations. With regard to information technology,

a number of important pre-conditions are already fulfilled. For example:

- Electronic mailing, using the X.400 standard
- Internet-access and a central firewall for the federal administration
- Establishment of an IVBB-intranet, where official documents can be accessed, for example, documents of the European Union Council, documents of the Bundestag and the Bundesrat (Federal Council, the representation of the German states, "Länder"), laws, decrees and ordinances as well as organization plans of federal offices, databases, advertisements and announcements
- Multipoint-video conferences
- Implementation of an electronic address list (X.500 standard) which provides centralised connection and application data in a standardised format
- End-to-end-encoding of electronic mails.

The biggest challenge that remains for the Information Network Berlin-Bonn (IVBB) is the step-by-step transformation from paper-based to electronic document exchange between Berlin and Bonn. The benefits of information technology in the IVBB can only be fully exploited if priority is given to the electronic transmission of documents and records. This requires the implementation of an information technology system that supports records management, the creation of electronic records and cooperative business processes over long distances.

For this purpose, the Co-ordinating and Advising Agency of the Federal Government for Information Technology in the Federal Administration (KBSt) introduced a pilot project on Document Management and Electronic Archiving (DOMEA) in the Federal Ministry of the Interior *(Bundesminister des Innern)* in 1996. The project group should provide a government-wide *"once-and-for-all"* solution and was advised by a sub-committee of the Inter-Ministerial Co-ordination Committee (IMKA).

This paper sets out the results of the pilot project, core requirements of the DOMEA concept and their implementation, and finally the recommendations on disposition and archiving, which are part of the DOMEA concept.

2. Project DOMEA and the Introduction of Systems for Document Management and Electronic Archiving in Federal Administration

2.1 The Record Concept in DOMEA

The ICA-Committee on Electronic Records has defined a record as *'recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity regardless of the form or medium.'*[4] In workflow and document management systems, content, context and structure of records are stored as different objects. The DOMEA concept introduces a three-level object hierarchy for documents, folders and files:

a) The basic objects in business processes are documents. These are the most important carriers of the content (primary information). Accordingly, documents are the basic units for storing primary information in the DOMEA concept.

b) Documents produced in the same business process are linked in electronic *'folders'.* These folders are the results of particular transactions or operations that are, from a functional point of view, elementary units of action. In the electronic folders, the working process is documented by notes, endorsements, annotations, comments, instructions, orders and approvals. They provide contextual information that gives evidence on business transactions. All relevant contextual information is automatically stored by the system together with the folders in a way that it cannot be changed or altered.

c) During the course of business, all documents and folders become part of *'files'.* Electronic files provide the functional and organizational framework for record creation. The identifiers that link documents and folders to particular files (meta-information) are kept evident after registration. Files remain the primary criterion for a subject-oriented systematic arrangement of records in the context of electronic archiving and workflow management. Folders serve as sub-units of files, because they contain the contextual information.

2.2 Requirements for Electronic Records and Principles for Electronic Recordkeeping in Business Processes

Electronic records also have to meet the requirements for recordkeeping in public administrations, which are prescribed in laws, standing orders, regulations and instructions.[5] They include important points, such as:

• The completeness, integrity and authenticity of official records, which means that official documents cannot be subsequently altered, changed, removed, destroyed or deleted.

• The records principle of public administration, which means that documents have to be appropriately joined together in systematically arranged subject files according to the functions of a particular office.

• The accountability and lawfulness of administrative procedures, which means that accountabilities and responsibilities have to be documented in records in the course of business and that the state of affairs and the development of transactions in a given case has to be completely evident in records at any time.

Citizens, as well as administrations, will benefit from the observance of these principles, because they guarantee objectivity and continuity of public service as well as government transparency. A subject-oriented, systematic structure of records and the observance of the records principle will also provide essential requirements for a successful implementation of IT-supported working processes.[6]

The following *'principles for electronic recordkeeping in business processes'* resulted from the implementation of these requirements for recordkeeping during the DOMEA project:

• Records and workflow management systems have to give complete evidence on all records and on all relevant business activities and processes. This means that all documents, folders and files have to be registered and captured in the system. Furthermore, the system has to ensure an automatic and user-independent documentation of activities in the IT-supported course of business and to give evidence on business processes.

• The objectives of the introduction of workflow management are the overall IT-support of business processes and the creation of electronic records. If there are still

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paper-based working processes in the administration, paper documents will have to be digitised and intergrated into the electronic records.

- In principle, paper versions parallel to electronic records should be avoided. If paper documents have to be produced, they should be managed as parts of digital hybrid records. These paper parts of hybrid records have to be digitized completely before transfer to the Federal Archives.

These principles for electronic recordkeeping in business processes were emphasized in the final report for the DOMEA project. They will be valid for the subsequent project Electronic Office (Papierarmes Büro).[7]

2.3 Step-by-step Concept of Implementation

The implementation of systems for records and workflow management bring about considerable changes in the working processes of the employees. Therefore, the DOMEA concept proposes for the federal administration a step-by-step implementation in three stages:

1st Stage: Registry System
In the first stage, the meta-information of the objects of workflow management (documents, files) are registered and managed regardless of whether the documents are in electronic or in paper format. The objectives of IT support during this stage are the capture of evidence on records and relevant meta-information for the management of records, such as retrieval and renewed submission. Business processes during this stage are predominantly paper-based.

2nd Stage: Electronic Records
With the creation of electronic records, not only the meta-information, but also the primary information will be electronically stored and managed. The DOMEA system provides functions for the import of data files from office communications, email and fax as well as a scanner interface for the import of digitised paper records.

Information on working processes (notes, comments, instructions, approvals, etc) is not captured at this stage of support with information technology. It has to be written in print and subsequently scanned, or typed and digitally signed in the electronic document in order to prove the working process by means of textual annotations and digital signatures.

At this stage, electronic capture of primary information has the advantage that folders and files that are often dispatched or submitted can be electronically mailed in the business process. The storage of primary information enables the full text retrieval of documents, folders, and files. The introduction of the first and second stage of implementation will provide the prerequisites for an electronic document exchange with the help of the IVBB, without parallel mailing of paper records.

3rd Stage: Workflow Management
In the third stage, the DOMEA system is also used for document-based working processes and for the exchange of documents, folders and files. Comments and instructions are automatically captured with the electronic folders and serve as a means of control for business processes. Folders are electronically transmitted and participations and approvals are automatically documented by the system in the course of business. Using DOMEA as workflow management system enables complete creation of electronic records and evidence on working processes.

3. Concept for Disposition and Archiving Electronic Records

3.1 Requirements and Objectives

Under the framework of the DOMEA, a project group was set up in spring 1998 in order to find solutions for the disposition and archiving of electronic records. Members of the team were experts from the Co-ordinating and Advising Agency for Information Technology (KBSt), the Federal Archives (*Bundesarchiv*), the Research Institute for Computer Applications in Public Administration at the University of Koblenz and the firms Infora and Siemens. The aim was to find a suitable and efficient way for the disposition of electronic records created and maintained in office systems.

This procedure should facilitate appraisal in an electronic environment and enable federal agencies to meet their obligation to transfer non-current electronic records to the Federal Archives. There was a consensus among the members of the project group that established and functioning records management practices should be transferred into the electronic environment. Moreover, the project group wanted to show how, in the existing technological situation, electronic records of archival value can be permanently preserved.

As a result of the work of the project group, the *Concept for the Disposition and Archiving of Electronic Records in Federal Agencies* was published in September 1998.[8] The concept became part of the overall *Electronic Office*.[9] The system DOMEA, which was developed by Siemens/CSE, served as a model and a background for experiences. Nevertheless, the conclusions of the concept should be applicable to all electronic records in federal agencies, regardless of the system in which they were created.

The objects of disposition are defined as complete, authentic and reliable electronic records that are no longer needed for current business. However, electronic records do not form physical units like paper files. As a consequence, they probably never become 'complete'. In contrast to that, folders are quickly closed because they are the results of particular transactions. Therefore, folders that are no longer needed for current business are selected after certain periods of time and joined together in their appropriate files. In this way, electronic files contain all complete folders for a certain period of time, arranged according to the file level of a filing plan. The folders within an electronic file are in chronological order. After the transfer to the Federal Archives, each electronic file represents an archival item.[10]

After the expiration of retention periods, the electronic files are to be offered to the Federal Archives. These files are supposed to contain all relevant contextual information on business activities and transactions. For example:

• Instructions and orders
• Participations and approvals
• Notes, endorsements and comments

The development of transactions as well as the responsibilities for these activities has to be completely and automatically captured in the records by the system. Contextual information has to be stored as part of documents or document versions or as attached documents. Meta-information that is created in the process of registering documents, folders and files is also captured together with the related objects.

Hybrid files, that is to say files that consist of paper and of electronic parts, are not acceptable for archiving. Because of the problems connected with the management and archiving of hybrid files, a single file may be transferred to the Federal Archives either in electronic or in paper form, but not in a mixture of both. Nevertheless, the paper and electronic files of an agency have to be registered in only one recordkeeping system.

3.2 Concept of Appraisal and Disposition

Only a small selection of the official records of the federal administration is permanently preserved in the Federal Archives. For an efficient and economical way of disposing of government records, only electronic records of archival value (already appraised records) should be transferred to the Federal Archives. In order to achieve this objective, different stages are defined in the concept:[11]

1. In an initial stage of the disposition procedure, a 'disposal list' has to be prepared on the basis of the filing plan of the agency that offers the records. The disposal list contains all records and series of records, which the Federal Archives does not want to take over because they are of no archival value. These records can be destroyed by the agency. For an automatic selection of records, the metadata of documents, folders and files have to contain a data field 'disposition status' which can either receive the entry 'delete' or 'offer to the archives'. The disposition status should be registered on the file level and transferred to all folders and documents of the particular file.

2. Secondly, all records which have to be offered to the Federal Archives are listed in a 'schedule' which contains the metadata of all files and folders of the portion as well as information on the lowest classification level of the filing plan related to that portion. The schedule is transferred electronically in a database table format into the IT system of the Federal Archives. Every file on the schedule is automatically numbered during the in-put process.

3. In the Federal Archives, the files listed in the schedule are appraised with the help of its IT system. The 'decision' whether a particular file is of archival value is entered in a specific data field of the database table. The appraisal decisions are reported back electronically to the creating agency.

4. On the basis of this appraisal decision, the agency automatically selects files of archival value and converts them into an archive format. Together with a 'transfer list' and a count of all files and folders of the portion, the records are transferred electronically to the Federal Archives. The transfer list and the count serve as means of checking the completeness and correctness of the delivery. The agency also hands over a document that certifies the authenticity of the transferred records up to the point of delivery.

3.3 Technical Procedures

In the Federal Archives, electronic records are kept independent of their original system environment. Consequently, they also need to be accessible independently from their original system. So far, there is a lack of established and stable standards for the long-term preservation of electronic records. Therefore, the project group decided on flat and generally applicable formats. Primary and contextual information - the content of the documents and evidence on business activities and transactions - are received from the creating agencies in the image format TIFF, version 6.0, CCITT/TSS group 4.[12]

This is a relatively stable and widespread format which is supported by most imaging systems. Graphs, diagrams, pictures and layouts are preserved in their original presentation. All meta-information related to documents, folders and files, which usually is stored in a database format,

has to be delivered as ASCII-files in order to keep it retrievable. For the present, these formats seem to provide the best standards for digital preservation.

Different alternatives to TIFF have been under consideration, such as SGML (Standard Generalized Markup Language), which has become an international standard (ISO 8879), and XML (Extensible Markup Language), which seems to be very promising for the future. However, conversion into TIFF is a standard routine not only in DOMEA, but also in many other office systems, whereas conversion into SGML or XML still proves to be a special requirement. This fact was very important in the decision making of the project group.

The Federal Archives refrains from preserving the functionality of digital signatures, because this would require permanent care and re-signing procedures as well as archiving the complete signature documentation. Electronically signed or encoded documents have to be opened for public access before their transfer to the Federal Archives. All documents have to be legible and understandable without the help of specific keys or software. They have to present the names of issuers and recipients, the date of creation and of reception of a document as well as the names of participating persons. The authenticity of the document after its transfer to the Federal Archives is guaranteed by organizational procedures and by documentation, not by technical devices or attributes.

4. Prospects

A government-wide communication infrastructure has been created by the installation of the IVBB-network as an intranet of the federal administration, the integration of electronic mail, document management, digital archiving and business process support. It has centralized services such as the implementation of an electronic directory system and end-to-end-encryption. This infrastructure ensures a reliable exchange of documents and records between offices over long distances.

Moreover, the concept for the disposition and archiving will guarantee IT-support of business processes in the federal administration over the full life cycle of electronic records. This fulfills the requirements for the implementation of electronic document exchange and digital archiving within the IVBB as a routine alternative to paper-based procedures.

The DOMEA concept for electronic records and IT support of business processes prepares the federal administration for cooperative work between offices in different locations. At the same time, it represents a milestone on the way to a modern administration in the information society.

However, the permanent preservation of digital records remains a challenge not only for archives, but also for research, administration and industry. At present, the Research Institute for Computer Applications in Public Administration at the University of Koblenz and the Federal Archives are planning a project on digital preservation and access. Looking at the rapid technological development, the search for improved formats, methods and procedures in this field will remain a permanent mission.

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[3] Information Network Berlin-Bonn - Overview and implementation concept *(Informationsverbund Berlin - Bonn - Übersicht und Realisierungskonzept)*, pp. 43-52. Co-ordinating and Advising Agency of the Federal Government for Information Technology *(Koordinierungs und Beratungsstelle der Bundesregierung für Informationstechnik in der Bundesverwaltung*, KBSt), KBSt publication 39, Cologne (Köln: Bundesanzeiger), 1998. For more information, see http://www.kbst.bund.de/papers/sr/39

[4] Committee on Electronic Records: Guide for Managing Electronic Records from an Archival Perspective (Studies 8), p. 7. International Council on Archives (ICA), Paris, Feb. 1997. cf. Leitlinien DLM-Forum 1998, p. 12.

[5] For Federal Ministries, see Common Standing Orders of the Federal Ministries, general part *(Gemeinsame Geschäftsordnung der Bundesministerien, Allgemeiner Teil,* (GGO I)); Registry Instructions, first attachment on the GGO I *(Registraturrichtlinie (RegR), Anhang I zur GGO I)*, and Law on Administrative Procedures (Verwaltungsverfahrensgesetz), from 25 May, 1976 (BGBl. I p. 1253). Cf. Hoffmann 1993.

[6] Document management and electronic archiving in the IT-supported course of business (Dokumentenmanagement und elektronische Archivierung im IT-gestützten Geschäftsgang), Federal Ministry of the Interior (Ed.) (Bundesministerium des Innern), KBSt-letter Nr. 1/98 (DOMEA-Telegramm 1998a), Bonn, Feb. 1998. For more information, see <http://www.kbst.bund.de/papers/briefe/>

[7] ibid, 1999, pp. 8f

[8] Concept for disposition of electronic records, part 1: Federal Archives' recommendations for disposition of electronic records; part 2: Creation and archiving of electonic records in the DOMEA project *(Konzept zur Aussonderung elektronischer Akten. Teil 1: Empfehlung des Bundesarchivs zur Aussonderung elektronischer Akten. Teil 2: Erfahrungen zum Aufbau und zur Ablage elektronischer Akten im DOMEA-Projekt)*, KBSt publication 40 *(Schriftenreihe der KBSt, 40)*, Federal Ministry of the Interior (Bundesministerium des Innern), Bonn, 1998.

[9] Document management (see Footnote 4), 1999, p. 16.

[10] Concept for disposition (see Footnote 6),p.24.

[11] ibid, pp. 25ff.

[12] TIFF = Tag Image File Format; CCITT/TSS = Consultative Committee for International Telegraphy and Telephony. Precursor of the Telecommunications Standardization Sector (TSS) in the International Telecommunication Union (ITU).

Updates

RMAA Annual Convention

The biggest event on the records management calendar in the last months of 2000 was the Records Management Association of Australia's Annual Convention, *Bridging the Gap*, from 3-6 December at Darling Harbour. No need to say more about the convention here, as it is well summarised by David Roberts in his article in this issue. Papers are available on the RMAA web site for those with the code and password supplied at the convention. They can also be purchased by contacting the National Office at rmaasec@rmaa.com.au

ALIA Conference

The Australian Library and Information Association's Conference, *Capitalising On Knowledge, The Information Profession In The 21st Century* as held from 24-26 October 2000. The conference papers are progressively being made available on the web site at http://www.alia.org.au/conferences/alia 2000/proceedings/ Papers include a number bound to be of great interest to recordkeeping professionals, such as articles on knowledge management, change management, web management, leadership and management, intellectual property, and best practice recordkeeping in the digital age.

Information Online 2001

The Information Online Conference 2001 was held from 16-18 January 2001 at the Sydney Convention Centre, Darling Harbour. The conference explored a variety of issues for the online community. Day one featured streams including digital issues, working online and explorations

of the web. Day two explored search and delivery issues (including metadata), designing systems for retrieval, business downtown and access issues. Day three streams looked at information partnerships, information literacy strategies and intranet strategies. The Information Online Exhibition also gave delegates an opportunity to see and discuss new information products and technologies.

For more information about the conference, check http://www.csu.edu.au/special/online2001/

IIM Conference

There are also some interesting conferences on the way in early 2001. The Institute for Information Management Ltd is hosting a conference and exhibition from 7-9 May 2001 at the Burswood Convention Centre, Burswood International Resort Casino, Perth. *Information Flow - Fitting the Pieces Together* is designed to bring together users, vendors and consultants to a learning environment in which they can explore how their organisations can benefit from each other to develop improved ways to conduct business - both internally and externally. See their web site at: http://www.iim.org.au/events/default.h tm for details.

ACS Conference

The Australian Computer Society, who kindly endorsed the RMAA's Sydney convention, are also holding a conference of their own from 16-18 March 2001 at the Cumberland Resort in the beautiful seaside town of Lorne, Victoria. Themed *Living in a Connected World*, the three-day conference boasts high calibre speakers,

covering three key issues:
• E-business
• Technology Trends
• Innovators in the Digital Domain

See the ACS Web site at: www.acs.org.au/conf2001/welcome.htm for details.

RMAA-ASA Conference

Of course, the highlight in terms of conventions and conferences in 2001 will be the combined RMAA-ASA Conference in Hobart, Tasmania from 2-5 September 2001. This will be the first co-operative event of this size ever. Don't miss it! More information about the conference is provided elsewhere in *INFORMAA Quarterly* or via the RMAA website at www.rmaa.com.au

Smaller Conferences and Seminars

RMAA hosted a number of smaller conferences and seminars during 2000, which may be of interest. For example, the Queensland Branch held a State conference *A Framework for Records Management in a New Era*. The summary and papers are available online on the RMAA web site.

Listservs

The big news is that we now have our own RMAA Listserv. Details on how to subscribe can be found on the RMAA web site at http://www.rmaa.com.au The listserv has been very active lately, featuring positions vacant, inquiries, suggestions, news, innovations and changes to litigation. Make sure you explore this long awaited platform of communication.

Standards

ISO 15489

The records management industry and associated industries in Australia continue to move to further standardisation. Of course, the biggest news on this front concerns Australian involvement in the development of ISO 15489. Progress was summarised by Mike Steemson in our last issue of *INFORMAA Quarterly* and updates also feature in this issue.

Business Services Training Package

There have also been developments with the competency standards and associated training package. See the Federal Education Report in this issue for more information.

Draft Knowledge Management Framework

Standards Australia has also been busy preparing a draft of a National Knowledge Management Framework. The Framework is being developed by Standards Professional Services, a division of Standards Australia, to increase confidence in knowledge management where previously confusion and distrust has dominated. The framework will provide a basic explanation of the field and outline approaches that will enable organisations from any industry to implement a KM strategy.

Seminars were conducted in Brisbane, Melbourne and Sydney in November to facilitate public input into the draft. As a result of the seminars and numerous offers of support and contributions, Standards Australia has decided to publish a complementary product which will detail case studies that directly support the recommendations made in the Framework. It is expected the Framework will be published in April 2001.

Risk Management Case Study

While on the topic of case studies, in December 2000, Standards Australia released a new case study handbook on risk management. HB250 *Organisational experiences in implementing risk management practices* was developed by Standards Australia in cooperation with Arthur Andersen. The Handbook draws on the underlying principles in the Australian Standard for risk management, AS/NZS 4360:1999, the risk management expertise of Arthur Andersen, and the experiences of AMP, Ansett Australia, BHP, Pioneer International Ltd, Qantas, Sydney Ports and Telstra.

The objectives of the Handbook were to:

- understand the extent of risk management implementation using AS/NZS 4360:1999
- provide practical illustrations and insights into risk management from leading Australian companies
- understand the key challenges facing the participant organisations as they implement risk management.

The case study approach involved research with the participating organisations through interviews with key staff and documentation of the results for publication in an anonymous format.

Legislation

There have also been moves afoot in the last few months to bring in new legislation relating to recordkeeping. See the Western Australian Branch report for details about the new State Records legislation there. In addition, there is a new Freedom of Information Amendment (Open Government) Bill 2000. This is a private bill, introduced in the Senate on 5 December 2000 by Andrew Murray of the Democrats. It was drafted in response to the Australian Law Reform Commission's

Report, *Open Government: A review of the Federal Freedom of Information Act 1982* published in 1995. For further information, try the URL:http://search. aph.gov.au/search/ParlInfo.ASP?action =browse&Path=Legislation/Current+Bi lls+by+Title/Census+Information+Legi slation+Amendment+Bill+2000/Text+ of+the+bill&Start=3&bnV#top

For those of you interested in the extension of privacy legislation to the private sector, have a look at the Privacy Amendment (Private Sector) Bill 2000 at:www.search.aph.gov.au/searc h/ParlInfo.ASP?action=browse&Path=Legi slation/Current+Bills+by+Title&Start=3&j jQ#top

World taken by Surprise:
Nations Agree Best "how to's" for ISO154879

by **Mike Steemson**
Principal, The Caldeson Consultancy

After three years of debate, division and doubts, the world's recordkeepers have agreed that there is really only one way they can recommend to get the best out of a records management system. They are as surprised to discover this as anyone.

The new unanimity was revealed as international records professionals met to discuss the make-up of the applications guide, officially the *Technical Report*, to accompany the ISO Records Management Standard ISO15489.

An eight-nation meeting of the International Standards Organisation's TC46/SC11 sub-committee[1] in Stockholm in November agreed to adopt a radical Australian re-working of the Technical Report (TR). The decision reduced a burgeoning *'monster'* draft of 170 pages to less than 50 and abandoned the original plans to match the TR precisely to the structure of the Standard and give alternative *'how to's'* from different nations' processes.

Most importantly, it means that the TR, an essential appendix to the Standard itself, should be ready for publication concurrently with ISO15489 later this year, possibly in May or June.

The shorter, tighter TR is currently before ISO National Member Bodies (NMBs) for amendment and approval. The SC11 ad hoc TR authoring group, lead by German Federal Archivist **Michael Wettengel**, will receive amendments in February and hopefully, present the final form to the ISO in time for publication as the Standard gets its world launch in Europe, possibly in France.

Final Standard Vote

Voting by NMBs on the last draft of ISO15489, the *Draft International Standard* or *DISS*, as it is known from the acronym, will also be completed in February. Provided no large changes are necessary, the document will then be passed to ISO for publication as a full Standard. No fundamental changes are expected from NMBs after the Standard's past tortuous, three-year process of debate and multiple re-drafts.

The SC11 sub-committee is planning to launch the Standard at an international information management or IT conference, coincided with a multi-lingual Media campaign. Publication will be followed by a series of national launches around the world. A number of preliminary events are also planned, notably in Australia[2] and Britain[3].

The sub-committee is studying further projects to undertake once ISO15489 and the TR are complete. These may comprise the preparation of further Technical Reports on metadata, privacy and access, competency and knowledge management relationships with document management, workflow and records management.

SC11's parent Technical Committee, TC46, that has dealt with Information Technology standards for the past 50 years, has lacked a secretariat since its first sponsors, the German federal standards institution, DIN *(Deutsches Institut für Normung)*, relinquished the task last May. The secretariat is being transferred to the French standards agency, AFNOR *(Association Française de Normalisation)*. The Greek standards body also bid for the role but was not favoured by ISO.

Fierce TR Debates

SC11 is to advise member bodies to prepare national *'workbooks'* to provide detailed advice to each nation's information professionals. This follows the realisation that the sub-committee's original plan to create a single volume covering all major legal environments would make the TR impossibly cumbersome and expensive.

The need for a TR to accompany the Standard was identified early in 1999 when early drafts of the major work themselves became too cumbersome. Worse still, NMBs could not agree on the process applications then included, most of them taken directly from the Australian Records Management Standard, AS4390, on which the ISO work is based. Delegates held fierce sometimes almost angry debates as they tried to find compromises over *'how to's'* that they could not agree to recommend as standard.

The division of the work into Standard and TR seemed the perfect solution to an apparently insuperable problem. The Standard would contain only records management principles and the TR, which would not strictly comprise a standard, could describe as many processes as were thought necessary to cover procedural variations around the world.

Not surprisingly, within the following year, the TR draft grew into a monster, with a multitude of annexes setting out a variety of schedules in English, German and French. The annexes made up more than half the total number of pages and included various models from the Australian Standard on such matters as disposal and retention scheduling, policy documents and storage contracts.

They included a French-language model disposal schedule from the French national police department, a list of rather obscure 'industry specific regulations' in German and a 25-page *Bibliography of Publications from International Bodies and Institutions* containing extensive web links and contacts.

However, with the exception of a small alternative for records system analysis that was considered too little different to warrant inclusion, only single acceptable processes for applying each tenet of the Standard were proposed by the member nations.

Break Through to Agreement

A number of NMBs considered the bulky, 170-page TR must be severely pruned. Leader of the U.K. NMB, Australian-born **Susan Healy**, a records manager with the U.K. Public Record Office, calculated that at that size, the TR would cost around £150, about $AU400.

The Australian group, under National Archives' Assistant Director, Government Services, **Jill Caldwell**, proposed an extensive re-write to the entire document. The unit recommended ending the TR's layout and structure parallel with the Standard, thereby ending the need for some TR sections to carry either superfluous text or none at all. It also proposed abandonment of all the annexes and recommended publication of the big 'bibliography' on an ISO-approved website where the many URLs could be kept up to date.

German delegate, **Nils Brübach**, a senior lecturer at the Archives School of the University of Marburg, western Germany, suggested that his students might be able to mount and maintain the web site bibliography as part of their courses. He proposed that the discarded German and French annexes should be included in locally produced workbooks.

After Jill Caldwell's explanation of the Australian proposals, the Stockholm meeting was quick to accept broadly the pruned draft and Michael Wettengel's ad hoc group set about a close examination

of the detail. A small amount of discarded text was returned to the document and one or two sections were further re-arranged. By the end of the three-day meeting, the new TR was complete and delegates agreed their NMBs would be happy with the results.

The TR in Detail

The new draft contains a short introduction making clear that both it and the Standard apply to records in any format or media, created or received by any public or private organization during the course of its activities.

In the past months, articles have appeared in two international journals criticising early drafts of the Standard for being respectively either 'too much about e-records'[4] and 'concerned only with paper'[5].

In the TR, a short Scope Note follows describing the purpose of the document as providing 'a set of generic methodologies which will facilitate the implementation of ISO15489 in all organizations'.

Policies and responsibilities: The first working section, *Policies and responsibilities*, deals with the principals set out in the Standard's section 6 of the same name. The opening paragraphs illustrate how the Standard's statements of principle are fleshed out in the TR.

The Standard says, for example: 'The policy should be adopted and endorsed at the highest decision making level and promulgated throughout the organisation. Responsibility for compliance should be assigned.'

The TR explains: 'The policy statement should ... identify a senior member of staff with lead responsibility for records management. This person should take responsibility for overseeing implementation of the records management policy and any subsequent programmes'.

The TR expands into an explanation of the purpose of defining these authorities, saying: 'The overriding objective of defining responsibilities, authorities and inter-relationships is the establishment and maintenance of a records management regime which meets the needs of internal and external stakeholders.'

It details responsibilities at all levels of management from senior management ('the allocation of resources at a lower level and promotes compliance'), records management professionals ('responsibility for implementing the standard'), and other managers ('ensuring that their staff create and keep records as an integral part of their work') to all staff members ('keep records as part of their daily work').

Strategies, design and implementation: The next section in the TR, *Strategies, design and implementation*, expands on the Standard's section 8 *Design and implementation of a records system*.

The section follows closely the Design and Implementation of a Recordkeeping System (DIRKS) methodology designed by the State Records Office of New South Wales and the National Archives of Australia. It includes the DIRKS format from *A. Preliminary Investigation* to *H. Post-implementation Review*.

At the Stockholm meeting, the U.K. delegation suggested that DIRKS diagrams and flowcharts would be of value to the section. Jill Caldwell is discussing with copyright-holders State Records and National Archives this possibility. A DIRKS diagram may be seen at http://www.naa.gov.au/recordkeeping/dirks/dirksman/part1.html#Understanding_DIRKS, after the text *Understanding the DIRKS Methodology*.

Records processes and controls: By far the largest and most important section of the TR is *Records processes and controls,* a heavily edited version of the original, referring to the Standard's section 9 *Records management processes and controls.*

The Australian group's report on its re-write typified its view of the German-founded original: *'The operations are described in a linear sequence. In practical implementation records management operations do not take place in such a sequence. Several specific operations may take place simultaneously. Certain threshold operations depend on the existence of instruments created by processes described later in the sequence.'*

The document went on to explain: *'Rather than follow the Standard's order of operations this clause seeks to guide implementation by identifying:*

- *The instruments, which are needed for a number of different records management operations, and their development;*
- *A number of factors which will affect, or determine the nature of, records management operations in various organisations and jurisdictions;*
- *The processes which uses the instruments.'*

SC11 accepted the points almost entirely and the Australian work was adopted with little alteration. In fact, in its newly-found zeal for simplicity, the Stockholm meeting dropped a sub-section left intact in the Australian re-write, *'Factors affecting records management decisions',* as being too obvious.

A Summary

The co-operative enthusiasm in the SC11 committee has developed gradually and almost imperceptibly, carefully nurtured by the group's excellent chairman Australian **David Moldrich,** knowledge management strategist with the Planpower Consulting group. The unanimity over the TR application processes came as a happy surprise to many SC11 delegates.

On reflection, it was obvious what had happened. In the three years they have been working together, national members had learned to understand one another, and one another's views. Hitherto non-negotiable nationalistic pressure points faded away as understanding brought the realisation that they were all really talking about the same things. Success in picking a daisy path through the sometimes labyrinthine complexities of the three-year negotiations is largely due to the willingness of the authoring Australian delegation, and particularly its leader, Sydney RM consultant **Barbara Reed,** to compromise, listen and, most importantly, to play down its own, crucial contribution to the project. The sustaining cry from the Australian delegation has been *'No triumphalism!'*

Many of the latest text edits have brought greater clarity to the TR, although I have misgivings about the cavalier removal of some of the material. I particularly regret the dumping of the annexed AS4390 policy and practice models that I consider to be valuable.

However, in the enthusiasm for brevity at the Stockholm meeting, it was impossible to argue against some of the editing proposals. However, nothing removed is vital and can be either re-introduced in later editions of the TR or added to national workbooks.

The TR and the Standard will be valuable resources for all recordkeepers the world over. They will provide irresistible weapons in the armoury of besieged archives and records managers struggling to convince reluctant managers and staff that their organisations need to control the vital information resource, call it what you will, records management, recordkeeping, archiving or knowledge management.

[1] Nations attending the meeting: Australia, Canada, France, Germany, the Netherlands, Sweden, the United Kingdom and the United States.

[2] The Australian RM Standard committee IT/21 plans ISO15489 workshops at a series of Standards Australia

ISO9000 seminars in Sydney (14 March), Melbourne (15 March), Hobart (19 March), Adelaide (22 March), Perth (23 March) and Brisbane (28 March). Information: Jan Van Dyke, Events Manager, janice.vandyke@standards.com.au

[3] The Records Management Society of G.B. holds a conference *'Raising the Standards',* in Nottingham (April 1-3). Information: Jude Awdry, Admin. Secretary, awdry@rms-gb.org.uk

[4] Professor Luciana Duranti, principal, Master of Archival Studies Program, School of Library, Archival and Information Studies, University or British Columbia, Vancouver, Canada, *'Concepts and principles for the management of electronic records, or records management theory is archival diplomatics',* **Records Management Journal,** vol. 9, no. 3, Aslib, London, December 1999.

[5] Dr Ulrich Kampffmeyer, director of AIIM Europe, CoE of Project Consult GmbH, *'E-Documents - It's all legal, or is it?',* **E-docs,** vol. 1, issue 4, AIIM Europe, Monnickendam, Netherlands, October 2000.

Information Orienteering

5 April 2001

Hotel Heritage (203 Goyder St, Narrabundah ACT)

This forum will be unique; it will provide the opportunity to discuss key issues in information management. Participants will be involved in a combination of seminars and facilitated discussions leading to the production of a thought leadership paper for the information industry.

Your input will help to develop information orienteering principles and determine where information is going in the 21st century.

Smashing the silos

Individual Standards and terminology, yet a common goal.

A collaborative approach is essential for effective information management.

Coordinated strategies are required to move ahead in the 21st Century.

Speaker: Warwick Cathro, Assistant Director-General, Information Technology, National Library of Australia

Where is Your Information?

Is your information easily accessible?

Do you have to access multiple systems to reach it?

The challenge is not only knowing where information is in our organisations, but also providing the most efficient means of accessing it.

Joy Siller, Director
Siller Systems and Administration

Working to Build a Cooperative Knowledge Base

This session is structured to stimulate critical thinking and action:

Æ Influencing change
Æ gaining momentum
Æ Managing trust and mistrust

Peter Murphy, Director
Cross Cultural Management Services

Balancing Technology with Culture Imperatives.

The ongoing debate - technology or culture.

Understanding the roles of technology and organisational culture can help to put the information needs of an organisation into perspective.

Bob Pymm   Shawn Callahan
Screensound Australia Knowledge Management

Case Study

In the ABS, knowledge is a corporate asset. Collaboration and sharing is strongly supported by technology and information. In building its knowledge infrastructure the ABS is seeking to create an organisation-wide working environment (not just a set of networked productivity tools)

Dale Chatwin, Director Australian Bureau of Statistics

Information Orienteering

Aligning information strategies to provide a consistent view that values information enabling it to become a core component of your business strategy.

Eddy Wilkinson, Consultant
Synercon Consulting

For further information see: www.bigfoot.com/~InformationOrienteering or
email: InformationOrienteering@bigfoot.com

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Archive Management Company (ACT)

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Information Orienteering, 11 Dinnison Cct, Kambah ACT 2902 InformationOrienteering@bigfoot.com
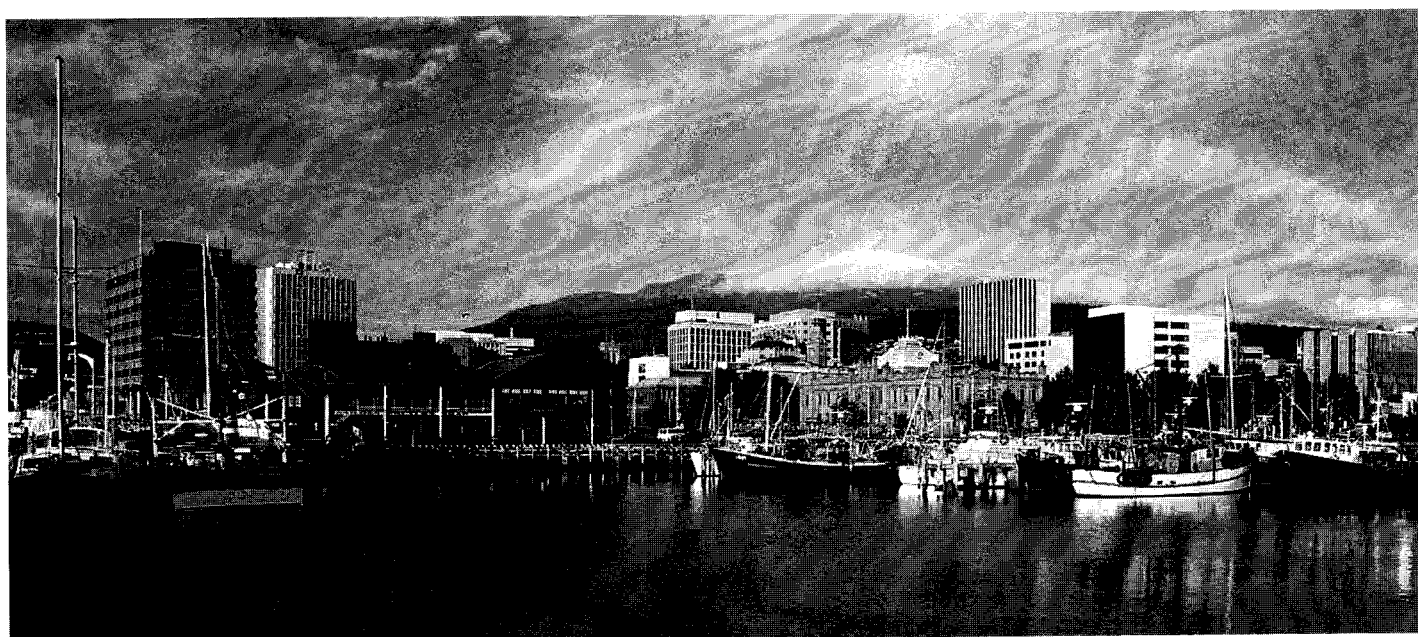
The history-making first joint conference between the two organisations promises to be the major records and information management event in the 2001 calender

Joint National Conference
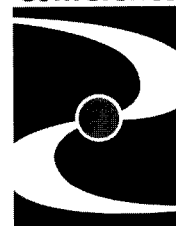
CONVERGENCE

Australian Society of Archivists
Records Management
Association of Australia

2nd to 5th September, 2001
Hotel Grand Chancellor, Hobart, Tasmania

"Convergence 2001 - Recordkeeping in the Digital Age" examines some of the principal issues driving the seemingly inevitable convergence of the information professions and the convergence of the technology and methods they use.

The program aims to provide vigorous discussion on the issues that effect all information management professionals, from the practitioner to the senior manager - there will be something for everyone. The conference provides a unique opportunity for networking between the two professional associations, discussion of common problems and common achievements.

In addition to attending the conference, this is an opportunity for you to fulfil that long held dream to explore Tasmania. A great variety of pre and post conference tour ideas will be available.

FURTHER INFORMATION

- Web page www.rmaa.com.au/events/natconf2001/index.html or www.archivists.org.au/events/conf2001/
- Registration will be approximately $530 early bird including GST
- Exhibition booths $1,850 including GST
- Further information will be provided in the Registration Brochure available in May 2001
- If you would like more detail before that contact Mike or Beth at Convention Wise (incorporating Mures Conventions) on Phone 03 62 341424 Fax 03 62 315388 or e-mail mail@conventionwise.com.au

RMAA Notes

RMAA Annual Awards

From 2000 the awards will be known as the J Eddis Linton Awards for Excellence in Records Management ('*The Lintons*'). Many in the profession believe J Eddis Linton to be the '*father of records management*' in Australia.

At the Darwin Convention Edddis was presented with a special award honouring his lifetime contribution to the Records Management Profession. For over 50 years Eddis has been a major participant in the field of records management. Early in his career he formulated ideas about the need to manage business records in an organised and systematic manner. He developed and implemented these ideas, incorporating keyword filing systems, inactive records storage and micrographic programs etc long before they became mainstream practice. Eddis has published and consulted widely in the field and has been heavily involved in education and mentoring programs. Eddis was a founding member of the RMAA in 1969.

In 1977 Eddis was admitted as a foundation member of the USA Institute of Certified Records Managers and in July 1979 Eddis became the first Fellow of the RMAA. He was granted Honourary Life Membership on 15 September 1985.

Eddis Linton has a deep and abiding commitment to spreading the gospel of best practice records management. Who better to honour in the records management profession?

Most Outstanding Student

Kye O'Donnell

Kye completed his Bachelor of Applied Science (Records Management) at Curtin University of Technology in December 1999 with a grade average of 78.5%. In November 1999 he was awarded the '*John Dean Award*' for academic excellence in an undergraduate course by the Department of Information Studies at Curtin University and in 1999 was also inducted as a Golden Key National Honour Society Member.

While studying for his degree Kye worked in the records management industry, gaining valuable on the job experience. He is currently working with the City of Perth.

Award Presentations 2000

Most Outstanding Individual

Peter Smith

Peter has been working in the records management industry for more years than even he probably wishes to remember, having been actively involved in the RMAA at State level (NSW Branch) since 1970 and at Federal level between 1980 and 1988.

Having co-authored a book on records management in 1995, and either written or presented numerous articles and papers in Australia, New Zealand, the Philippines, the USA and Scotland, he has been widely recognised as an authority in the industry.

Peter has an impressive career spanning over 30 years, which cannot easily be summed up in a few words, but which makes him a most deserving winner.

Most Outstanding Group

WA Department of Conservation and Land Management (CALM)

Jenny Moss collected the award on behalf of the group.

The WA Department for Conservation and Land Management (CALM) has recently completed an extensive and diverse records management initiative which incorporated:

• Developing a thesaurus
• Introducing standard records practices to regional offices (including digital research datasets)
• A metadata collection project
• Upgrading the records management system
• Extending keyword classification to 9 regions
• Developing a register of research datasets
• Developing a disaster prevention and recovery plan as well as virtual records guidelines
• Introducing cost recovery models for some retention and disposal activities for converting individual regions to keywords.

Chris Fripp MRMA
Federal President

Coordinator Reports

INFORMATION TECHNOLOGY COMMITTEE REPORT

Well no 2001K Bug to worry us at the start of what really is the new Millennium!

This is my first report in this position since being appointed in early December 2000. My first request is that I hear from all those technical people who have been elevated to the heady position of Information Technology representative for their Branch. If I have your e-mail details I can establish a regular discourse.

In a recent AIIM e-doc publication one article titled *'Chief Information Officer - A job or an adventure?'* indicated that the meaning of the acronym CIO could be *'Computer Idiot in the Office.'* Well one has to start somewhere!

The IT section of the Australian on 9 January 2001 featured an article called *'E-today...gone tomorrow.'* E-commerce, e-business,

e-procurement, e-ordering and e-shopping were the buzz words of 2000, used by vendors to push an array of products and services. However, according to enterprise resource planning software specialist and Intentia Chief Executive, Bjorn Algkvist, the terms have had their day. *'The e- will disappear 12 months from now and e-business will become simply business again,'* he said.

Based on that wonderful prediction Mr Algkvist advised that *'any manual transaction will become electronic.'*

What value will there be in an Electronic Records Management SIG?

Laurie Varendorff ARMA
Chair, Information Technology Committee
Laurie.Varendorff@bigpond.com

MARKETING COORDINATOR'S REPORT

The focus of marketing efforts over the last quarter has continued to be the RMAA web site - which we use as our primary vehicle for communications and for marketing the RMAA and it's members.

The first stage of the web redevelopment has been completed. On the redesigned home page you will notice first the new RMAA *'look'* - based on a colour strip of grey, yellow and green. This strip will become a recognisable symbol of the RMAA, firstly on the web page and increasingly in all RMAA communications, including letterhead, brochures and in our stand materials.

The web site has been reorganised to accommodate our expanding requirements with a changed layout to simplify navigation around the site. Most frequently used services can be accessed using the tabs at the top of the page.

The conversion of the product directory from paper to fully electronic has taken longer than expected. In the past, selling

and collating the product directory has involved hundreds of volunteer hours. To continue to provide this service, we need to minimise the amount of effort involved. Therefore we have commissioned the development of a program to minimise the data entry and automate the production of the web database and the new PDF format. Work on this database is progressing well, but once again we are dependent on the availability of volunteer labour to see this project through to completion.

In conjunction with the automation of the Product Directory database, other initiatives are underway to reduce the dependence of the association on volunteer labour. By the time this issue goes to publication we should have appointed a part-time Marketing and Communications Support Officer in our National Office to assist with a range of marketing services.

Conni Christensen
National Marketing Coordinator

Federal Education Report

Representatives of State Branches met in Sydney on 3 December 2000 to discuss a number of education issues and to report on education activities within the various states. As education is an important part of the Association's activities it was encouraging to have most branches represented at this meeting. Issues discussed at the meeting included: course recognition and assessment panels; ASA/RMAA joint recognition of courses; the maintenance of the list of available courses; and the revised recordkeeping competency standards and their incorporation in the business services training package. Discussion at the meeting mainly focused on assessment panels for course recognition and the competency standards.

Course Recognition

Philip Taylor was appointed by the committee to take charge of course recognition assessments and to co-ordinate a list of suitably qualified members to form assessment panels when required. I would like to thank Philip for accepting responsibility for this important role. A list of courses recognised by the Association is available on the RMAA web site at www.rmaa.com.au

Competency Standards and Training Package

At the time the education meeting was held it was apparent that there was considerable uncertainty surrounding both the revised competency standards and the training package. Business Services Training (BST), the ITAB developing the Business Services Training Package, conducted meetings in most States in late November and early December to consult with Industry and Registered Training Organisations (RTO's) on the draft training package as part of the process leading to endorsement of the package by ANTA. Little notice was provided for these meetings and insufficient information was provided. Several RMAA members expressed concerns, particularly in relation to the qualifications packaging and the lack of a specialist recordkeeping qualification at level 3. Industry members were invited to provided feedback on the package. BST have reported that the feedback received about the recordkeeping units was five times higher than other units in the package.

BST's timetable for endorsement estimates that the package will be presented to ANTA for endorsement in early February. The RMAA and ASA members of the technical committee providing industry advice to BST, arranged a meeting of the two organizations and the other professional associations involved in the recordkeeping units, to discuss concerns and to present a united voice to BST. The meeting highlighted that most concerns had arisen because of a lack of understanding of the training packages.

At the conclusion of the meeting a BST representative met with the group to discuss the qualifications packaging and the endorsement process. Following the meeting an additional three recordkeeping units at levels 2 and 3 have been included in the recordkeeping competency standards. Two of these units are from the first standards and the third is a completely new unit. The addition of these units has provided more options for qualifications packaging at the lower levels which may result in a specialised qualification at level 3, or alternatively enable the professional associations to market a package of units that will be recognised by the professions.

A training package consists of endorsed and non-endorsed components. It is the endorsed components that are endorsed by ANTA. The endorsed components can be downloaded from the BST web site at www.bsitab.org and consist of:

• Competency Standards
• Assessment Guidelines
• Qualifications Package

Once the package is endorsed, ANTA provides funds for the development of the non-endorsed components. The non-endorsed components assist RTO's in the development and delivery of courses and consist of:

• Learning Strategies
• Assessment Materials
• Professional Development Materials

In conclusion, I would like to report that despite there being some concerns about qualifications packaging and the endorsement process, feedback from the Industry has indicated wide acceptance of the reviewed competency standards and the training package.

In the coming months the Association will develop information about the training package and qualifications and make this available on our web site for members. We will also need to encourage RTO's to include the recordkeeping units in their scope of registration, so that members can have competencies assessed and gain the relevant qualifications.

The coming year will be an important year for the Education Committee and I look forward to reporting on progress with the training package during the year.

Tina Howard ARMA
Convenor

Branch Reports

TASMANIA

With our Federal Board and Conference Committee members being in Sydney in early December 2000 to attend the meeting of the RMAA Board, the RMAA AGM, the 18th National Convention and Trade Exhibition, and also promote the Hobart Conference, it has been a busy time for Branch Members. Additionally, a number of Tasmanian members attended the convention and trade exhibition to gain from the valuable interaction with their interstate peers, listen to interesting and informative convention sessions, view products and see software demonstrations etc.

During November and December, a number of Branch Members worked with our ASA counterparts by providing comments to Business Services Training (BST) on the draft Business Services Training Package incorporating the Recordkeeping Competency Standards. We look forward to a positive outcome and the official launch of the Training Package in the middle of this year.

The Christmas Party was a success and gave members a chance to catch up socially and enjoy good food, drink and gossip.

As you will be aware the National Conference next year will be at the Hotel Grand Chancellor in Hobart, Tasmania and will be the first Joint Conference of the Australian Society of Archivists Inc and the Records Management Association of Australia with the theme *Convergence 2001 - Recordkeeping in the Digital Age*. A number of papers have already been submitted to the Program Committee for consideration and it is expected that the program will provide vigorous discussion on issues affecting all information management professionals.

Conference Committee members attending the convention in Sydney were kept very busy on their 2001 conference stand at the trade exhibition. A large number of people from interstate and overseas expressed their intention of coming to the 2001 Convention in Tasmania and a number of sponsors and exhibitors have already signed up.

The Conference Committee is now tackling the social program and expects to provide some lively times. Don't forget to take some extra time and take in a pre or post conference tour. Despite the small size of our Island State there is a diverse range of activities to undertake and a number of beautiful places to visit.

Last year was a difficult year for the Tasmania Branch, as due to work and family commitments, members find it more difficult to devote time to RMAA activities. However, the faithful keep on and my thanks to all those who have supported the Branch and the RMAA. As we start the New Year we look forward to providing regular member meetings and seminars for our members and of course providing local members with the opportunity to attend a national conference.

Jill Saunders ARMA
Branch President TAS

SOUTH AUSTRALIA

Well you're back at work after the festive season and I take this opportunity to wish you a belated Merry Christmas on behalf of the SA Branch.

The SA Branch held its annual Christmas Lunch on 12th December at the Wakefield Hotel and a small but faithful group of 20 attended. This is the one event that we have purely for getting together and *'catching up'*. Those who attended seemed to enjoy themselves (as well as a bottle or two of red).

Our next event will be in March - further details will be forthcoming, so check our local newsletter and the Web site for more details.

Regards

Kristen Green
Branch President SA

QUEENSLAND

New 2001 Professional Development program

In March this year a new professional development program will be launched by the Queensland Branch. Entitled *The Explorer Series - Contemporary Issues in Records Management*, a topic of general interest will be presented each month in a seminar/workshop format. The series commences with a discussion on *'What is Recordkeeping?'* Full details can be found on the Qld Branch web page.

Training Packages

The last couple of months have seen intense activity relating to the development of training packages. Several meeting have been held with the local ITAB. Various issues have been raised and it is hoped that further developments will occur during the forthcoming year.

New Associates

The Branch recently granted Associate status to Irene Thompson and Karen Robinson.

Chapters

The Local Government and State Government Chapters have been organising a range of activities for members. Recent meetings have examined issues such as whole-of-government recordkeeping and its implications and ways of improving the standard of records management in organisations.

Public Records Bill 1999

The fate of the *Public Records Bill 1999* is presently unknown. The Bill has been on the notice paper since late 1999 and, despite some encouraging signs in 2000, it still remains undebated. This is a great disappointment to records professionals who had anticipated a new beginning for public records management with the passage of the new legislation. The Branch continues to lobby for the passage of the new laws.

Philip Taylor MRMA
Vice President Education & Professional Development
Branch President QLD

NEW SOUTH WALES

After years of preparation and planning the RMAA National Convention in Sydney is now behind us. From the comments we received, and continue to receive, it was an outstanding success. On behalf of the NSW Branch, let me thank the delegates, exhibitors, visitors and guests who helped make this convention so enjoyable. The venue, the Sydney Convention Centre, was excellent. Although some people were disappointed that the convention dinner venue was forcibly moved from Sega World to Daltone House, in retrospect I believe it was to our advantage.

With the convention over, we now turn our attention to other matters. We need to look at increasing the proportion of professional members. This means that we (the Association, not just the Branch) need to be able to explain the benefits of professional membership to members and to employers. The Competency Standards should be able to assist us with this aim.

At the convention the long-serving member and stalwart, Peter Smith, was awarded Fellow status within the Association and the Eddis Lynton Award for Lifetime Achievement. Both

are well and truly deserved. Also richly deserved was David Lilley's upgrade to Member status.

In December, Chris Fripp and I both attended the official opening of the State Records Centre in the Rocks district of Sydney, a joint facility of State Records NSW and the National Archives. The building was opened by Justice David Levine, performing his last official duty as Chair of the Board of State Records, a period which included the introduction of State Records legislation and many other changes. Also in December, I attended a meeting with two visiting Japanese dignitaries. Under the auspices of the International Council of Archives, this was a fact-finding mission to assist in the development of courses in Japan.

We trust that 2001 will be a great year for RMAA members. Our best wises for our Tasmanian colleagues organising the next convention in September.

Geoff Smith ARMA
Branch President NSW

WESTERN AUSTRALIA

Well the start of the real millennium!

A happy and prosperous New Year to all.

Well the year 2000 was a momentous one for records management professionals in Western Australia. Why was that? The long-awaited and hard fought for legislation, the *State Records Act 2000*, is finally with us. It has taken many years to achieve this result, with much hard work and dedication from many quarters.

Congratulations go to the Government of Western Australia; the Minister for the Arts, the Hon. Michael Board JP, MLA; the Leader of the Government in the Legislative Council, the Hon. Norman Moore BA, Dip.Ed, MLC; the Hon. Peter Foss QC, MLC Attorney General; the Leader of the Opposition the Hon. Thomas Stephens BA, MLC; Sheila McHale BA, Dip.Soc.Sci, Shadow Minister for Health; the Australian Democrats; the Western Australian Greens; and the Independents, Dr Elizabeth Constable, Ph.D., MLA and Hon Phillip Pendal MLA.

A special thanks goes to the member for South Perth, the Hon. Phillip Pendal MLA. Without the support of Phillip over many years, this particular mountain would not have been climbed. Also, a special thank you to the Director of the State Records Office (SRO) who started the process and kept it moving forward with the assistance of his supportive staff over many years.

The *State Records Act 2000* has now received Royal Assent and awaits proclamation in stages as the various sectors are addressed. The Western Australian Branch of the Records Management Association of Australia wishes the Government, the Commission and the State Records Office success in the implementation of the legislation. We offer our support and the availability of the expertise of its members in the process of improving records management best practice within Western Australian Government agencies.

A breakfast meeting was held at the Rydges Hotel in central Perth on the 12th December. It featured presentations from Marita Keenan with a summary of the IIM Conference in Melbourne earlier in 2000, a summary by Josette Mathers on the ASA Conference in Melbourne earlier in 2000 and a summary by Neil Granland and Laurie Varendorff of the RMAA's 17th Annual Convention held in Sydney on 3-6 December. A new format was followed, which consisted of the proceedings, followed by a refreshing breakfast for networking and social interaction. Based on feedback from the event, it was a good morning, appreciated by all.

The National President, Chris Fripp, will be visiting the WA Branch later in the year, with events being organised for the 21-22 March 2001. The Australian Standards roadshow is scheduled for Friday, 23 March with an emphasis on the ISO9000 and the new ISO15489 standards. We will be advising members of details once we have them in hand.

A successful Mentoring Group meeting was held on Monday, 23 November 2000 at 5.30 pm at the Great Southern Room, 4th Floor, Alexander Library Building, LISWA. More of the same in 2001.

Thought of the Month:
Is Records Management the management of correspondence or is it greater than that?

Laurie Varendorff ARMA
Branch President WA

NORTHERN TERRITORY

It was pleasing to see several local members making the trek across the continent to attend the RMAA's National Convention in Sydney in early December. It was also pleasing from a government recordkeeping perspective that those who did attend were from the key NT Government agencies, the Department of Corporate and Information Services, the NT Treasury, Territory Health Services and the Tourist Commission.

As those who attended the Darwin convention in 1999 already know, the Territory's capital city is a long way from civilisation and is not an inexpensive place to visit. It is tough either getting experienced southern consultants to come to Darwin, or for Territory records practitioners to convince their bean-counters to fund their attendance at any of the now multitude records/information seminars and conventions (E-Docs, for example) that are held in the major cities.

This may be where the Branch can contribute to furthering the profession in the north. By subsidising 'experts' to come and deliver their presentations to the die-hards struggling on up here, or even assisting members to attend the u-beaut conventions held seemingly continually in the south (with a commitment to provide feedback to the membership as a whole in the Territory), the Branch will ensure that we at least keep in touch with the latest developments in technology and thinking in our discipline.

Barry Garside ARMA
Branch President NT

VICTORIA

On behalf of the Branch Council, I would like to wish you all a very happy and prosperous New Year. By the time you read this, we will be in 2001, the new millennium! The Victorian Branch Council has been quite active over the last couple of months - normally a quiet time for the Branch. Major improvements have been made by the Branch Council in responding to members' enquiries and requirements. For example, we have upgraded the Branch web site to permit a faster response to issues and events, and we have supplemented mail-outs with e-mail notifications (if we don't have an e-mail address for you, please use the feedback form on the Web site to help us update our records).

Archives and Records Management Week commenced on 9 October, with the Sir Rupert Hamer Records Management Awards 2000 being presented to dual recipients, the Department of Infrastructure and Museum Victoria. The Department of Infrastructure was given their award for the development and implementation of Records@DOI; an electronic records management information system that is strategically linked to the Departments' knowledge management platform. Museum Victoria received their award for the identification, development and pilot implementation of an organisation-wide records management program to manage paper and electronic records, a considerable achievement given the Museum's other major projects at the moment. Congratulations to both winners! The ARM Week Seminar, held on the 11th October, was quite successful, with over one hundred people registered.

Equally well attended was the Christmas function, held on 13 December 2000 at the Melbourne Town Hall. Over 50 people came to hear Susan Henry speak about the Recordkeeping Competency Standards, not to mention the excellent food and drink and entertainment provided. We have received many favourable comments about the evening.

The Branch is also resuming its monthly information sessions. These sessions will be held on the first Thursday of every month commencing 1 February from 12.00pm to 2.00pm at the Public Records Office, Casselton Place, Melbourne. The topic of the session is 'Working in a Paperless Office' presented by John Hartley, Chief Executive Officer, CoInvest Long Service Leave. Judging from replies already received, it promises to be a well attended event.

The Branch Council would be interested in suggestions for future information sessions to ensure that we are providing members with relevant topics. The feedback form on the Branch web site is an ideal way of providing us with comments and suggestions, and we are quite pleased with the response we have been receiving.

Once again, have a happy and prosperous New Year (and Talofa Lava to those in Samoa who contacted us about the RMAA!).

Anthony Mohn ARMA
Branch President VIC

PRODUCT

guide

Yes, I would like to know more about the products offered by the following companies appearing in *INFORMAA Quarterly* - Volume 17, Number 1 (Please Tick).

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Name

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Type of Business

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